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"Francis Sparshott's musical types and the austerity of Jean Sibelius's modernist period works"

While it is often dangerous to too closely see biography in a composer's work (looking for signs of depression in a sad work, for example), there are times when major changes in a composer's idiom coincide with major changes in his life circumstance. In the case of Jean Sibelius, the composer himself seemed to feel a change coming as he approached his 40th birthday, writing his friend Axel Carpelan, "My inner self is in the grip of change. I have observed it with feelings of melancholy and concern." (Tawaststjerna 1986, 15). This new inner development in part initiated and in part was fed by Sibelius's decision to leave Helsinki for the small village of Järvenpää. The Sibelius biographer Erik Tawaststjerna notes the change and its musical manifestation this way:

> Sibelius's musical crisis coincided with a change in his attitude to the world around him. Up to the age of 40, he had to a large extent lived gregariously and responded to the world of nature; lived, as he put it, 'among people and animals.' ... But now he began slowly to turn away from the world, at first almost imperceptibly, and then more noticeably. (18)

The popular image of the "silence of Järvenpää" (referring to Sibelius's unexpected (and unannounced) retirement from the world of composing nearly 30 years prior to his death in 1957) is sometimes mistakenly carried in the mind backward into Sibelius's active career.

Järvenpää, though a safe distance from Helsinki (roughly 20 miles), hardly represented for Sibelius a sudden shift into hermitage; quite the contrary, the village was already a bit of an artists' colony, as several prominent painters (including Sibelius's brother-in-law, Eero Järnefelt) had homes there. Nevertheless, the physical separation from the place of his youth to a new place for his middle age is indicative of Sibelius's musical needs.

As the composer approached his fortieth birthday in 1905, he could look back on his young career with a certain amount of satisfaction. He was clearly Finland's brightest musical talent. He had written two symphonies that had achieved a certain degree of broader success, *Finlandia* and the *Valse triste* were well known, and he had a budding reputation abroad. Yet he could also see that he was not a major modernist figure, like Strauss, Mahler, or Debussy; in short, he was not viewed as fully "serious." If he were to take his career to the next level, he would need to adapt his style and ambition to developments on the Continent. Among other things, he would need to soften his distinctly "Finnish" inspirations; although the *Kalevala* had inspired his *Kullervo* symphony and his "Lemminkäinen" *Legends*, and (of course) *Finlandia* was his most recognized work, these subjects inclined to reinforce the perception that Sibelius was a regional composer, "an apparition from the North." He would also, thus, need to adjust his style somewhat, softening the modal materials that made his works seem "nationalist;" his whole approach needed to become more cosmopolitan, more universal.

Furthermore, Sibelius would have to make a name for himself as an innovator; progressivism was a requirement for fulfilling his ambitions. The hallmark of progressivism in recent years (if not decades) was enlargement: an enlargement of the harmonic vocabulary and an enlargement of the forces at one's disposal (in the size of the orchestra). Claude

Debussy was experimenting with remarkable new sonorities, Richard Strauss was introducing extravagant dissonances and lush orchestrations, Mahler was making symphonies bigger than ever before (their bigness manifesting itself in the size of the orchestra, the lengths of his pieces, and in the expansion of cultural associations, through quotation and reference, all in keeping with his later expressed opinion that a symphony "must be a world"). To differentiate himself, Sibelius determined to write not even lusher music, but to adopt what James Hepokoski (1993) calls "a modern-classical" project: to intentionally harden his style, making works that are more difficult because they were less sensuous (p. 11). Thus, austerity became the hallmark of Sibelius's middle-period works.

The period we will be discussing involves roughly the years 1906-1914. It is in 1906 that Sibelius begins serious work on the Third Symphony (although sketching had begun in 1904). *Pohjola's Daughter* (a work that, while still *Kalevala*-inspired, placed Sibelius more in the Continental mainstream of progressive composers) was written in 1906. 1914 is the year of *Luonnotar* and *The Oceanides*, works that are still severe (especially *Luonnotar*), but which Hepokoski (1996) sees as pointing the way toward the Fifth Symphony and Sibelius's final period. Among the major works between these guideposts are the Fourth Symphony (1911), the tone poems *Night Ride and Sunrise* (1908) and *The Bard* (1913), and the String Quartet in D minor ("Voces intimae") (1909).

Perhaps we should be a bit more explicit about what we mean by austerity. The austere is characterized primarily by two things: 1) its "seriousness" of tone; and 2) its intentional avoidance of ornament (if not the sensuous entirely). Austerity is not mere sparseness; it is a rough terseness. [One is reminded of Sibelius's quote with reference to his Sixth Symphony that while others offered colorful cocktails, he offered cold water.] Austere

music is “severe” and “uncompromising.” Theodor Adorno (in championing a later manifestation of austere modernism) pointed out the need for an “uncompromising” attitude. Francis Sparshott (1994) asserts that Adorno argued that “what music today demands of composers and listeners is a renunciation of sensuous pleasure and a devotion to the inner dialectic of music...” (42).

If we are going to speak of austerity, we must ask ourselves what status “austerity” as aesthetic category occupies. The most obvious answer to this question is the phenomenological one: that “austerity” is the lived experience of this music. In *Music As Heard: A Study in Applied Phenomenology*, Thomas Clifton (1983) offers this explanation of the nature of phenomena and phenomenological descriptions:

> Etymologically, a phenomenon is anything that appears to consciousness, or more simply, anything of which one is conscious. The specifically phenomenological interpretation of a phenomenon is that its essences are manifested in its appearances; that is to say, appearances are appearances of essences. ... I am suggesting that, as listeners, what counts as lived musical experiences are such intuited essences as the grace of a minuet by Mozart, the drama of a symphony by Mahler, or the agony of Coltrane’s jazz. If we hear the music at all it is because we hear the grace, the drama, and the agony as essential constituents of, and irreducibly given in, the music (19).

Thus, while “austerity” is not an empirical reality, it is a phenomenal reality. Indeed, very little of what we experience or describe in music is empirically real. Even to speak of high and low pitches is to speak metaphorically; the empirical reality is of long and short wave lengths. Furthermore, *sound* events are not necessarily *musical* events. Clifton (1983)

writes that "the difference between music and nonmusic lies in the use that the experiencing person makes of the sounds" (2).

What advantages does austerity as a stance provide to an ambitious composer? First, of course, is the association of austerity with seriousness. The anti-sensualism of these middle-period works is *prima facie* evidence of difficulty (and, thus, progressivism). You will note that we are not speaking (as of yet) about technical compositional features, but rather about a values-laden stance toward the question of what music should offer its audience. But, inevitably, technical questions must be addressed. What features would austere music have? or perhaps, more productively, how did Sibelius's style change to reflect his new aesthetic requirements? To frame these issues, I will draw on Francis Sparshott's three musical types.

The Canadian philosopher and poet Francis Sparshott has written extensively and elegantly on the aesthetics of music, perhaps no more effectively than in his essay "Aesthetics of Music: Limits and Grounds," the center of gravity of *What is Music?*, a collection of philosophical essays edited by Philip Alperson (1994). Sparshott's underlying foundational point is that music is a *praxis*; it is something that people do. In this regard, he argues that philosophy of music should be largely focused on the interactional nature of musical experiences. He writes, "The nature and purpose of music can really be determined only by the actual interests of musicians and their publics" (52).

In keeping with this emphasis on activity, Sparshott identifies three kinds of music, each of which represents a different way of being in the world. *Conative* music is rhythmic music, reflecting the physical aspects of being in the world. Sparshott argues that conative music serves a stimulative function. Conative music is, literally, stirring. *Affective* music is

melodic music, analogous to feelingful speech. Melodic music is associated with human feelings; according to Sparshott, affective music (among other things) generates the interest of sympathy. The composer enlists his audience, asking for its sympathy, asking that it recognize the intent of the message. The third kind of music is *cognitive* music. Cognitive music is intellectual music, engaging the world of thoughtful reflection. The emphasis in cognitive music is the simple patternability of sound. It is clear that cognitive music (in this abstract formulation) cooler and less social than the other kinds. It should also be recognized that for the insider, cognitive music is the most valued type. Obviously, hardly any piece of music belongs exclusively to one type; however, there are degrees of emphasis in piece to piece and composer to composer.

For the composer, this question of being in the world is especially acute; the style that he adopts (or forges) fundamentally sets the parameters for the audience, both their makeup and their reactions to the work. The composer's way of being in the world sets the limits on what and how much of himself he wishes to show. A personal crossroads or crisis can lead a person to radically reconsider his relationship to the universe.

We have already seen that in his modernist period Sibelius began a withdrawal from the world. And we have briefly asserted that an anti-sensualist austerity is the central feature of his approach to progressivism. Perhaps examining the relative emphases given the three kinds of music can illuminate more of Sibelius's aesthetic intent in these middle-period pieces.

Let us begin with the conative. Again, conative music is concerned with physical being in the world. As a representative conative work from Sibelius's national romantic (or early) period, let us consider *Lemminkäinen's Journey Home*, the fourth of the

"Lemminkäinen" Legends, Op. 22. This is highly active, stirring music. There is a great variety of rhythmic ideas, heavy accents (including those that result primarily from orchestration), and syncopation. One can't help but move here, appropriate for a journey.

Contrast this national romantic work with a journey work from Sibelius's modernist period, *Night Ride and Sunrise*. Tawaststjerna (1986) writes "*Night Ride and Sunrise* is perhaps less immediately appealing than any of its predecessors. It is less designed to beguile the ear with beauty of incident and, specially in the ride itself, the orchestration is more directed at making rhythmic points rather than expressive sonority" (101). Whereas the "Lemminkäinen" journey represents a hero's return home, *Night Ride and Sunrise* depicts "the inner feelings of an ordinary man riding along through the darkness of the forests" (Tawaststjerna, 101). This journey is, while clearly rhythmic, exceptionally monotonous, perhaps radically so. Here, "being in the world" is hardly delightful and sensuous. The main difference in the approach to these conative pieces is that in the modernist period, the conative aspect is reduced as rhythmic differentiation is reduced. *Lemminkäinen's Journey Home* has a lot of activity, a lot of different kinds of rhythmic patterns; *Night Ride and Sunrise* has less differentiation and fewer distinct patterns. The result is that even though *Night Ride and Sunrise* is highly active, its rhythmic surface is smoothed out (and, indeed, toward the end of the "ride," Sibelius changes his basic pattern to continuous sixteenth notes, active but undifferentiated).

While these two pieces are obviously conative in intent and thus make for good illustrations, the pattern holds as a stylistic trend. The modernist period works are relatively less rhythmic than the national romantic period works. The conative (the physical being in the world) reduction, thus, parallels Sibelius's relative physical isolation during these years.

In terms of the affective dimension of music, we see a similar de-emphasis in the modernist works. Sibelius's national romantic works are primarily affective. Even his tersest melodies from these pieces are full of feeling and relatively conventional in structure. *Finlandia*, for example, has Sibelius's most memorable tune as its second half. Let us consider two other famous examples, *The Swan of Tuonela* (the second of the "Lemminkäinen" Legends) and the second movement of the Second Symphony. Both examples are primarily affective; *The Swan of Tuonela* may be the most purely affective piece in Sibelius's entire output, and both melodies are full of pathos.

By way of contrast, examine the opening of the Fourth Symphony (the Symphony is unusual in that it begins with a slow movement). After the opening gesture in the basses, there is a melody in the 'cello. It is (in essence) a simple arpeggio that moves to higher instruments and up by thirds, eventually losing its tonal bearings. It is a moving tune, clearly affective, but it is not as conventionally well-formed as the Second Symphony tune, nor as "pathetic" as the *Swan* utterances. Instead, it is cooler, less sensuous, less tuneful, and more abstract.

Another example is from the first movement of the String Quartet in D minor, Op. 58 ("Voces intimae"). This example shows the reduction in rhythmic differentiation in the modernist works, but it also illustrates this fragmented, cool approach to melody. The tunes are not long, arched, soaring melodies, but scraps of conventional material, mostly stepwise patterns. The reduction in the affective is the crucial necessary feature of austerity in music, and it implies a more cognitive approach to listening (even if one wonders about the intellectual depth of the material itself).

The cognitive in music has always been the most highly praised aspect by connoisseurs. The more music as an art is intended to be taken seriously, the more strongly the cognitive dimension is emphasized in musical discussion. As we have mentioned, Sibelius's effort to be seen as serious seems mostly to have manifested itself in a stance that minimizes (or at least reduces) the sensual aspect of the art. This does not require a proportional increase in the complication of pieces, that is, in the intellectual dimension. However, Sibelius does seem to have considered cognitive aspects a hallmark of seriousness, and we find the cognitive dimension more emphasized in these progressive pieces than they are in the national romantic ones. This is most obviously manifested in motivic working out and connections between different ideas. It also reveals itself in new formal procedures. Hepokoski (1993) identifies five compositional principles that seem to gain heightened interest for Sibelius in this time frame (although he emphasizes the later years of this modernist period). They are: 1) content-based forms, in which the standard forms are more or less abandoned in favor of more "organic" sequencing; 2) rotational forms, in which material (or blocks of material) are continually cycled with variations; 3) teleological genesis, in which we begin with a small motive and gradually a full-blown idea emerges; 4) *Klang* meditation, in which a timbre or chord quality becomes a significant idea on its own; and 5) interrelation of movements, in which different movements have connected musical ideas. [The exemplar of this is the Fifth Symphony itself, in which what had been two distinct movements in the first version of the work are fused into the first movement of its final version.] This principle is anticipated in the Third Symphony's third movement (which seems to combine a scherzo and finale) and *Voces intimae* (in which the second movement follows the first without pause and is motivically related to it).]

What all of these principles have in common is their cognitive emphasis. Content-based forms, rotational forms, and teleological forms all demand that the listener follow a process, a "logical" progression. The listener must recognize the pattern that is emerging in order to appreciate the work. *Klang* meditation and interrelationships of movements signal the listener to notice connections between nonconsecutive events.

The most famously "intellectual" movement in Sibelius's modernist output is the third movement of the Fourth Symphony. Scraps of material (rather than fully-formed ideas) are introduced and gradually expanded, combined, and reconciled; the listener follows the pattern and developmental processes. But *The Bard* may be the best exemplar of all of these techniques. Its sparseness encourages the listener to try to follow the "logic," recognizing restated sequencing of material, recognizing newly introduced elements.

In summary, as Sibelius gained middle age, he made a distinct effort to be taken seriously as an artist. In an effort to satisfy this ambition, he pursued austerity in music. This stance of "difficulty" manifested itself technically as a reduction in rhythmic differentiation, a reduction in the pathetic and sensual aspects of melodic writing, and a greater concentration on motivic development and process-oriented formal structures. Francis Sparshott's formulation of three kinds of music, representing different ways of being in the world provides a conceptual framework in which to productively discuss and communicate these stylistic alterations.

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1. Title: A linguistic perspective on the early recordings of colloquial Parisian French

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6. Abstract:
Early recordings of authentic Parisian vernacular are extremely sparse. Although interviews from the 1910-20s (recorded on sapphire discs) and sound clips of street vendors cries are available at the Paris National Sound Archives, these are both few in number and of poor sound quality. Linguists therefore rely on 1930-20s films and music-hall singers as some of the oldest documented examples of français populaire. In this study, I quantify and thereby isolate the salient phonological, syntactic and lexical features of the once denigrated Parisian vernacular by means of these audio and video recordings. My aim is to provide an auditory impression of early 20th century popular Paris and compare its vibrant, linguistic characteristics with those of contemporary spoken French.

The Question of Identity and Nation in the Poetic and Literary Practices of Ilokano Migrant Writers of Hawaii

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Title: The Question of Identity and Nation in the Poetic and Literary Practices of Ilokano Migrant Writers of Hawaii

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ABSTRACT

The negotiation of identity and the transaction of the sense of nation are two sites in which the artistic vision of the migrant Ilokano writer of Hawaii comes into a contestation. For one, there is always that prevailing binationality/biculturity as he puts shape and form to the raw materials of his art: his experience as migrant in a new land, his need to assimilate and change the references of his everyday life, and his desire to remain faithful to his heritage language and literature.

The paper looks critically into how the writer eventually negotiates the borders of his previous identity, cultural consciousness, and socio-political affiliation in order to account the fluidity of his experience and exilic life and transform this multiple negotiations in poetic and literary forms. Some of the writers included here are: Pacita Saludes, Perlie Fernandez, Ric Agnes, Amado Yoro, Mario Albalos, Artemio Ignacio.

1. Musical and Textual Accents in the Second Movement of Dallapiccola's Sicut Umbra

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Abstract

Musical and Textual Accents in the Second Movement of Dallapiccola's *Sicut Umbra*

This paper examines the relationship between the musical accents and meanings of the text in the second movement of Dallapiccola's *Sicut Umbra* (1970). The piece is a twelve-tone composition for three clarinets, three strings, and a mezzo soprano. To perceive first the accents and the climax in the musical processes, the paper utilizes Roeder's theory of calculus of accent (1995). It is a useful tool in analyzing the musical accents especially in the twentieth-century music. The results from the application of Roeder's theory help to appreciate the varying accent pattern over time, and thus to reveal the internal divisions as well as the formal design. This paper then compares the musical accent pattern to meanings of the text. Their correlated roles enable appreciation of the music as well as the text. This paper focuses on the development of the musical accents throughout the piece, its coherence and internal division for designing the form, and the relationship between the musical accent pattern and meanings of the text. This

examination of the second movement of *Sicut Umbra* will help to show the profound interconnections found in Dallapiccola's textural settings.

Donald H. Rumsfeld's Veils of Obscurity

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Donald H. Rumsfeld's Veils of Obscurity

Donald Rumsfeld has been the Secretary of Defense for four years now. As such, his job has been to act as a liaison between the military, the administration, and the public, to communicate events and strategies, and in some cases, to obfuscate or distract. While I am being somewhat sarcastic with my reference to "obfuscate or distract," when it comes to Donald Rumsfeld and his utterances, it is difficult to not be sarcastic and cynical.

In the process of examining one of Rumsfeld's transcripts in order to analyze the underlying modal qualities, I found it necessary to look beyond a great deal of cynicism. The particular transcript to be looked at is from June 6, 2002. It was given the title, "Rumsfeld Urges NATO to Transform Alliance Militaries." The conference took place after a meeting of Defense Secretaries where the subject was potential terrorist attacks.

I hope to establish that the modality of Rumsfeld's utterances is strikingly consistent, explicit, and stable. Ironically, despite those positive ideological characteristics, I believe Rumsfeld's intent is to be obscure and ambiguous. He exploits ambiguity in order to evade more concrete issues inherent to his position.

While many of you may be aware of what it is when I say "modality," a basic overview of what modality is 'could' be in order – 'would' be in order – no, 'should' be in order. Could, would, should: these are modal verbs. Will, can, and must are still more modal verbs, along with their negative constructions. These verbs indicate the conviction with which a writer or speaker communicates. Through that conviction, a writer or speaker establishes credibility, trust, integrity or the lack thereof. That conviction can be labeled as "high" or "low:" high modality representing a high degree of conviction, and low modality representing a low degree of modality. An example of low modality would be the sentence, "He might have maybe gone to

either the mall or soccer practice." (Who knows where he is?) Conversely, high modality could be expressed as, "He will definitely be at the mall."

In the example of high modality I just presented, the word 'definitely' also contributes to the modality of that expression. So the word 'definitely,' an adverb, can be considered to have modal qualities. In fact, everything we say and every way we say it contributes to the mood and modality of our words. Context, mood, diction, and lexicon all contribute to modality. As noted by R.L. Trask in Key Concepts in Language and Linguistics: "It is by no means easy to separate modality from the more traditional category of mood. (189)" In addition, modality and mood are also expressed and complicated through pragmatics and the sense of context. Anna Papafragou states in the introduction to Modality: Issues in the Semantics-Pragmatics Interface: "Pragmatics thus starts where linguistics leaves off" (13). The context of Rumsfeld's world and its pragmatic implications are crucial to remember as we look at the transcript.

The passages do not themselves contain many actual "modal" verbs. However, as noted in Modal Expressions in English:

> the same types of semantic considerations which are reflected in the syntactic properties of the modals also appear to underlie the defining syntactic characteristics of non-auxiliary modal expressions." (Perkins 159)

As mentioned, merely because modal verbs do not appear on the surface does not mean that modal intent is not present. The twist in these excerpts is how Rumsfeld utilizes modality to refute possible objections to what he states, even before he is finished stating it. The combination of high modality, simple and generic sentences, complex logical assertions, and ambiguity result in a challenge for the listener or reader.

I will look at one key transaction along with what serves as an introduction to that key transaction. As mentioned, he was at a meeting in Brussels with other defense ministers. A pragmatic perspective on these transactions is important. This is not your average man on the street, nor is this a chance encounter at a shopping mall.

On June 6, 2002 at a Press Conference at NATO Headquarters in Brussels, Rumsfeld gave a short opening comment, at the end of which, he opened the conference to questions with the statement, "And with that I *would* be happy to respond to questions." Interestingly, he did not say that he *was* happy. He did not say, "And with that I *am* happy to respond to questions." Nor did he say, "And with that I *will* be happy to respond to questions." The use of the lower level modal verb "would" lessens his commitment to what he states. The implication is that his happiness is conditional: he would be happy *if* some condition existed. While this may seem to place him at a low level of modality, he doesn't stay there.

Rumsfeld then responds to the first question of the press conference which was: "Regarding terrorism and weapons of mass destruction, you said something to the effect that the real situation is worse than the facts show. I wonder if you could tell us what is worse than is generally understood." Rumsfeld makes a few direct and definite statements and then launches into a 96-word illocutionary act:

> And I found that, not to my surprise, but I think anytime you look at it that way what you find is that there are very important pieces of intelligence information that countries, that spend a lot of money, and a lot of time with a lot of wonderful people trying to learn more about what's going in the world, did not know some significant event for two years after it happened, for four years after it happened,

> for six years after it happened, in some cases 11 and 12 and 13 years after it happened. (Rumsfeld Transcript)

Interestingly, there are no modal verbs at work in this long and convoluted passage. He begins convincingly with "I found that, not to my surprise," only to undermine that stability and certainty with the cautious construction, "I think." He did not say "but I know that anytime you look at it …," and he did not more directly say "but anytime that you look at it." The clauses and preposition phrases that follow have the effect of distancing and obscuring what is a simple observation – some wealthy countries did not know when something happened – and making it seem complex and knowledgeable. He then expands the frame of time to which he refers from 2 years to 4, to 6, to 11, 12, and finally 13 years. By stretching time, he stretches comprehensibility, leaving the observer with a distinct sense of approaching incomprehensibility. Despite the scope and sense of incomprehensibility that he establishes, he seems convinced and/or convincing. After this long introduction, we are led to the transcript's centerpiece.

A version of this key transaction has been isolated and presented as a poem in a book compiled and edited by Hart Seely. The book is entitled, Pieces of Intelligence: The Existential Poetry of Donald H. Rumsfeld and is offered as a 'book of found poetry'. The transaction, as it appears in Seely's book is as follows:

> The Unknown
>
> As we know,
> There are known knowns.
> There are things we know we know.
> We also know
> There are known unknowns.
> That is to say
> We know there are some things
> We do not know.
> But there are also unknown unknowns,
> The ones we don't know
> We don't know. (Seely 2)

This “found poem” was from a February 12, 2002 Department of Defense news briefing – almost a full four months before Rumsfeld repeated the transaction, nearly word for word, at the June 6, 2002 press conference. Obviously, he felt it was worth repeating.

While I will be focusing on the subsequent June 6 excerpt, it is interesting to see the extent to which Rumsfeld reconstructed the transaction. To put the June transaction in the form of a poem, ala Seely, the poem would appear as follows:

The Unknown (Revised)

The message is that
there are no "knowns."
There are things we know that we know.
There are known unknowns.
That is to say
There are things that we
now know we don't know.
But there are also unknown unknowns.
There are things we don't know
we don't know.

So when we do the best we can
and we pull all this information together,
and we then say
well that's basically what we see
as the situation, that is really only
the known knowns
and the known unknowns.
And each year, we discover
a few more of those
unknown unknowns. (DefenseLink, 6 June 2002.)

As you can see, a new stanza has been added. Even without this added portion, the exchange was confounding enough for Britain’s Plain English Campaign to award its Foot in Mouth prize to Mr. Rumsfeld in December of 2003.

I want to point out what appears to me to be an error in the second line of the “Revised” version of this utterance which states that “there are *no* “knowns.” Looking at the previous

version, he had originally stated that there are *known* knowns. Either the speech was transcribed incorrectly or Mr. Rumsfeld misspoke. If it was Rumsfeld's error, that it occurs early in the exchange could indicate, in similar fashion to the long introductory sentence, that he was anxious. That anxiety could have come about as a result of knowing that he was about to restate a particularly obtuse passage, and he wanted to get it right. Despite the error, the new exchange reads closely to the original.

Furthermore, these are basically simply sentences with simple words, and many of the sentences are generic. Because of the simplicity of structure, the modality is heightened: things *are* what they *are*. Doubt does not exist. Whatever he says, because he uses short sentences with simple words, there is the appearance of understandability. The fact that he uses generic sentences has a significant effect on modality. A generic sentence "proclaims a universal truth" (Carter 285). Rumsfeld is fond of using generic sentences, because the use of generic sentences establishes a simplistic incontrovertible quality to his propositions. The sentence, "And each year, we discover a few more of those unknown unknowns" is a perfect example. He does not suggest that each year we *will* discover more unknown unknowns; he omits the already strong modal verb "will" and explicitly states that "each year, we discover a few more … unknowns." We are not going to do it in the future – we already do! It is a given. The use of generic sentences turns his statements into axioms. While we may ultimately argue as to the truthfulness of his pronouncements, the delivery and modality with which they are presented is unquestionable. Jean JacquesWeber similarly points out the universality and authoritarian quality that accompany the generic sentences of Dickens's Hard Times (99). This same authority is produced with Rumsfeld's use of generic sentences. Also significant is the use of the pronoun "we" in this sentence, as well as in the entire excerpt.

By repeating what *we* do know and do not know, Rumsfeld establishes not just himself or the Defense Department as the experiencers of knowing, but he includes everyone. It is like the poetry of John Lennon of the Beatles: "I am he as you are he as you are me and we are all together" (The Compleat Beatles, 202). We do not simply experience knowing; we, along with Mr. Rumsfeld, share the experience. He pulls us into proactive responsibility for knowing. Yet, what we 'know' is both bewitching and bewildering.

We aren't even sure if *we* are the *we* he is talking about. He could be referring to an exclusive rather than inclusive *we* – that is, the *we* of let's say the Defense Department or the Administration. In which case, we can't even know what they know as a known known. All we can know is that *we* either know what he knows or we don't know what he knows. Whichever it is, it's certain.

Rumsfeld's use of a word to describe itself is equally beguiling, as in known known and unknown unknown. It is extraordinary how something as intangible as an unknown unknown can be concretized. Instead of absurdity, the expression is certified. After all, it would not seem reasonable to imagine that the man responsible for the largest military industrial complex in the history of humanity would utter absurdity. Yet, if something is unknown – isn't it simply unknown? What Rumsfeld is alluding to, through indirection and evasion, is the ability to imagine what might be unknown. Rather than speak clearly, he weaves his way, letting inversions and repetitions confuse and confound. In fact, the notion of an unknown unknown looks suspiciously like the beginning of an infinite regression. By Rumsfeld's reasoning, he could be discussing known unknown unknowns rather than unknown unknown unknowns. And what then differentiates a known unknown from a known unknown unknown? How may layers of "knowing" or "not knowing" do we have to unravel?

Despite the layers and levels of understanding, Rumsfeld creates labeled entities: things known, things unknown, things known to be known, and things not known to be known. By naming these "things," we, or at least he, has gained dominion over them, and through that control, or rather because of that control, he displays a high degree of modality. Even when he doesn't know, he knows.

As important as what he says is the way he says it. As Secretary of Defense of the United States of America, the fact that he utilizes a lexicon surprisingly free of military jargon or bureaucratic pedantry is noteworthy. He speaks with what some have referred to as a plainspoken vernacular, reminiscent of the satirist Will Rogers or the poet William Carlos Williams. There is no nonsense in his manner of speaking. And yet, when he says, "well that's basically what we see as the situation," which sounds reasonable, he deftly follows such clarity with "that is really only the known knowns and the known unknowns." He suddenly introduces a gap in what we know and an even larger gap in which we understand him to be saying. He takes us, as he takes a breath, from a simple press conference to a logistic epistemic nightmare.

Now I believe his true intention is to keep inquiry at bay. The high modality with which he expresses himself leaves little doubt with regard to the conviction with which he presents himself and his ideas. If there is doubt or uncertainty, it is not his, but ours. By expressing minimal doubt and high conviction (or modality), Rumsfeld forces any skepticism back onto the listener or reader. His mastery at weaving words and establishing conviction are, I am sure, a large part of why he has the position of Secretary of Defense.

Rumsfeld concludes the press conference by twice interrupting a reporter who asks about the consensus of NATO nations with regard to attacking Iraq. Rumsfeld finally ends the press conference with:

> I think I answered that, that subject did not come up in this meeting. The subject of Iraq and other terrorist states came up in exactly the context that I described. Thank you very much.

As though he caught himself being less than certain and direct with the opening subject-verb "I think I answered," rather than the more certain "I answered," he regains high modality with the phrase "in exactly the context that I described." And then, with a quick "Thank you very much," he concludes and exits.

Hart Seely calls Rumsfeld's 'poetry' "occasionally structurally challenged and always structurally challenging" (viii). It is through the challenging structure that obscurity and ambiguity set in. Through the juxtaposition of certainty (through the use of modality) with ambiguity (through the use of complexity of logical inferences), Rumsfeld slips onto a plateau of wide-eyed wonderment, where the audience can only be sure that we do not know where we have been led.

By establishing himself as authority through the use of simple lexicon and generic sentences, and then by including us as co-experiencers of that authority through the use of the pronoun "we," Rumsfeld subverts the expected political register. He creates high modality and ambiguity at the same time which creates gaps in expectation and understanding. Rumsfeld uses those gaps to obscure and keep private the world in which he operates. I believe he deliberately and aptly speaks and acts more forthcoming than he actually wants to be. Consequently, I am filled with distrust and suspicion; why does he hide behind veils of obscurity?

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Questions of Conjure: An Examination of Feminist, Philosophical, and Sociological Implications of the Use of Rootwork in *Sula*

By

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INTRODUCTION

When I finished reading Toni Morrison's *Sula* at one o'clock on a rainy Tuesday morning, I flipped right back to the first page and began consuming, word by word, the first line, like a mad scientist dissecting an eviscerated piglet -- "In that place, where they tore the nightshade and blackberry patches from their roots to make room for the Medallion City Golf Course, there was once a neighborhood" (3). What was it about *Sula*, beyond the brilliant language and imagery, that grabbed my imagination?

Was it the touch of otherworldliness, from Ajax's rootworking mama to Sula herself, with her peculiar birthmark

"that spread from the middle of the lid toward the eyebrow, shaped something like a stemmed rose" (52), that element of conjure present in the book that secured my reverence, like a moonlit-made pact between myself and the author? That had to be it. I have always been intrigued by such folk practices, and Morrison's use of these practices in *Sula* is captivating on several different levels. From a feminist perspective, conjure empowers the otherwise powerless female practitioner in the novel and provides her with the means to survive in a hostile environment. Philosophically speaking, this so-called "forbidden practice" prompts the reader to question the very nature of evil and its function in the novel. Lastly, Morrison uses her knowledge of the sociological impact of rootwork to create a fictional situation that exposes religious hypocrisy in Medallion through the church-going people's clandestine use of the services of the mother of one of Sula's lovers, Ajax, juxtaposed with their condemnation of this rootworker. Thus, conjure penetrates almost every aspect of life for characters in *Sula*, coloring the way they treat each other and themselves and their contemplation, or conviction, about such cosmic concerns as the nature of good and evil.

BACKGROUND ON CONJURE

Morrison either directly or indirectly makes dozens of references to conjure throughout the novel. The most overt of these references involves Ajax's mother, Medallion's resident conjure woman, who earns her living by her craft. Carolyn Morrow Long writes in *Spiritual Merchants: Religion, Magic, and Commerce*, "The occult practitioner not only prepared charms for positive and negative intentions, he or she also prescribed herbal remedies for physical ills. The medical role of the conjurer became even more important after emancipation, when freedmen were responsible for their own health care" (74). Such a role must surely have been crucial in the African American community, yet Morrison describes Ajax's mother as "an evil conjure woman" (126). Long offers the following as an explanation for this stigma: "Many nineteenth- and early twentieth-century writers, both white and black, viewed the retention of African language, customs, and beliefs as evidence of 'savagery,' which had to be overcome in order to achieve the 'civilization' exemplified by European culture" (Introduction xxiv). Though conjure, rootwork, and hoodoo[1] bear little resemblance to pure African religions, they carry with them vestiges of traditional African belief systems, and were, therefore, threatening to the dominant white power structure.

This same white power structure sought to convert Africans entering America as slaves to Christianity in the effort to impose upon them the conviction that their traditional beliefs and practices were inferior to those of the ruling race. Rod Davis, author of *American Voudou: Journey Into a Hidden World*, elaborates on the conversion experience: "Eliminating the slave religion, and replacing it with Christianity, required centuries of repressive laws, executions, maimings and brainwashing" (12). Davis goes on to state that "The equation of African religion with evil had been a long-standing Christian theme. . . . Little in that perception has changed over the centuries" (98-9). This mentality -- the equation of African tradition with degradation and evil -- was passed from slaves to their progeny, hence the belief of the townspeople in *Sula* that Ajax's mother is evil. [2]

But what qualifies Ajax's mother as a full-fledged rootworker, someone capable of casting or lifting hexes and curing illnesses? An analysis of the historical and sociological elements present in the novel is necessary to derive an answer. This analysis, though specific to Ajax's mother, reveals a broader view of conjurers and their practice.

First of all, it is apparent that Ajax's mother understands the significance of specific herbs and other ingredients used in conjure:

> She was an evil conjure women, blessed with seven adoring children whose joy it was to bring her the plants, hair, underclothing, fingernail pairings, white hens, blood, camphor, pictures, kerosene and footstep dust that she needed, as well as to order Van Van, High John the Conqueror, Little John to Chew, Devil's Shoe String, Chinese Wash, Mustard Seed and the Nine Herbs from Cincinnati. (126)

Among the many herbs and herbal concoctions that Ajax's mother uses in her rituals and spells, all are mentioned in such books as Carolyn Morrow Long's, Jim Haskins's *Voodoo & Hoodoo*, Catherine Yronwode's *Hoodoo Herb and Root Magic*, and *Rodales's Illustrated Encyclopedia of Herbs*[3] as ingredients sold by spiritual merchants or herbs grown for medicinal or magical purposes, thus lending credence to the character's knowledge of herbal magic.

Ajax's mother also knows the power of human hair and other body "by-products," as Long puts it (11). "Magical control was thought to be achieved by introduction of one's own body parts or by-products into the food of another, or by possession of the target's bodily products or unwashed clothing" (11). Faith Mitchell, author of *Hoodoo Medicine*, concurs: "Magical medicines," she writes, "akin to voodoo in Louisiana, used animal parts like feathers, blood, and bones, human substances

like hair clippings and fingernails, and other natural substances like leaves, sand, and water to cure problems that appeared to be caused by other people's magic, to put spells on people, to attract love and money, and so forth" (30). That explains why such items as underclothing, fingernail parings, footstep dust, and blood are listed on Ajax's mother's charms ingredients list. But Long presents an additional use for blood -- animal blood, that is -- in conjure on page 92 of *Spiritual Merchants* when she describes the practice of a rootworker in South Carolina: "'The spirits that he worked with lived in large iron wash pots, and had to be fed regularly with animal blood, rum, tobacco, or money.'" Maybe Ajax's mother consults with spirits before or during the casting of her spells. If so, these spirits, according to experts like Long, must be sustained with such food as animal blood. Should this be the case, then that would explain her need for white hens.

Camphor, mentioned on page 64 of *Hoodoo Herb and Root Magic*,[4] and kerosene, mentioned on page 154 of *Voodoo and Hoodoo*,[5] are also listed as special conjure ingredients. Lastly, the replication of a victim's image, Ajax's mother realizes, has the power in rootwork to cause him great harm. Thus, securing a photograph of someone a customer wishes to hex is a valuable component of a spell and something one would need to present to the conjurer. "Obtain a photograph of the individual," writes

Haskins of a specific hex, "and place it in a small coffin specially made or purchased for the occasion. Bury it deep in the ground and the person will go away" (135). He does not indicate *how* the person will go away, and the reader is left to imagine all manner of chilling scenarios.

The rather short list of ingredients Morrison provides on page 126 implies a great deal about Ajax's mother as a professional conjure woman and about rootworkers in general. It reveals her to be extremely astute in the practice of rootwork, well aware of the chemistry of the art as well as the spirituality. The exactness of the section on Ajax's mother and the care paid to detail where folk beliefs are concerned also reveal Morrison's cognizance of and respect for folklore. For example, it is no accident that Ajax's mother has seven children, as seven is a magical number in rootwork. Long explains that "many African American hoodoo workers attributed their abilities to having been born with a 'veil' (caul) or to being a seventh child of a seventh child" (15). Though Morrison provides no information about Ajax's mother's genealogy, the mere fact that she has mothered seven children of her own causes the reader to question whether she is herself the seventh child of a seventh child.

AJAX'S MOTHER

Though Morrison devotes little of the narrative to Ajax's mother, the character's influence is felt because, like Sula, she rejects the traditional female role of her community[6] by devoting her life to the practice of conjure. "Her [Sula's] elusiveness and indifference to established habits of behavior reminded him [Ajax] of his mother, who was as stubborn in her pursuits of the occult as the women of Greater Saint Matthew's were in the search for redeeming grace" (127). Ajax's mother is a woman who has earned her seven children's respect for the vast knowledge she has amassed of herbs and roots and signs. So diligent is she in the pursuit of her career that she "sat in her shack with six younger sons working roots" (126), rarely leaving, as her children are only too happy to bring her whatever ingredients she requires. As a black woman trying to survive during the early twentieth century, a time when most white women were forced by society to conform to male-dominated rules of behavior, she has daringly rejected the notion that she must rely on a man for her survival or adhere to a specific restricting feminine code of conduct in order to live in society. In fact, Ajax's mama manages to earn a living by her rootwork: "She knew about the weather, omens, the living, the dead, dreams and all illnesses and made a modest living with her skills" (126). Through conjure, Morrison not only creates a

female character who refuses to play by patriarchal rules, but also establishes her as a woman who can earn her own living at this forbidden trade.

BLACK FEMININE POWER(?) IN A PATRIARCHAL SOCIETY

Given the significance of such a character as Ajax's mother in *Sula*, it is perplexing that Morrison never names her. Such a powerful conjure woman has no name, but, instead, is known as the mother of her son -- a son who has no special talents, except, perhaps, at seducing women. This namelessness suggests the conjure woman's subordination to her male child, and it further suggests the state of female impotence in Medallion. Not just *female* impotence, but *African American female* impotence. As Nel states to Sula near the end of Sula's life, "'You can't do it all. You a woman and a colored woman at that. You can't act like a man. You can't be walking around all independent-like, doing whatever you like, taking what you want, leaving what you don't'" (142). There are rules of behavior for women that affirm the subordination of women to men, and, taking the time period of the novel (early- to mid-twentieth century) into consideration, the subordination of black women to white women. Both Nel and most of the other women of Medallion recognize and abide by these rules, but Sula refuses.

When Sula returns to Medallion after a lengthy absence, she is disturbed to find that the girls she grew up with, including her beloved friend Nel, so easily scrambled to men to fulfill their childhood romantic dreams of love and security when it is obvious to her that marriage and family, more often than not, shatter such dreams and provide little more than a suggestion of sanctuary from the harsh life women, especially African American women, endure in a patriarchal society:

> Those with husbands had folded themselves into starched coffins, their sides bursting with other people's skinned dreams and bony regrets. Those without men were like sour-tipped needles featuring one constant empty eye. Those with men had had the sweetness sucked from their breath by ovens and steam kettles. Their children were like distant but exposed wounds whose aches were no less intimate because separate from their flesh. They had looked at the world and back at their children, back at the world and back again at their children, and Sula knew the one clear young eye was all that kept the knife away from the throat's curve. (122)

Morrison uses the image of a "clear young eye" to show that, though the African American women of Medallion find themselves powerless and disillusioned with their marriages and children,

they are able to survive because they maintain the dream, the vision of a better future. This image creeps into the text repeatedly -- for example, on page 147 when Sula recalls her youthful friendship with Nel when both girls possessed "'two throats and one eye'"; i.e., when the girls were two entities with a shared passion for their youth and excitement over their futures. Nel loses sight of this vision as a woman, but after Sula dies and life as Nel has always known it in the Bottom changes, she has a realization, which indicates that she may be experiencing a clearing of her own clear young eye: "Suddenly Nel stopped. Her eye twitched and burned a little" (174).

Sula never loses her vision, though. She knows that playing by the rules set by men does not guarantee fairness or security; thus, she shirks these rules and does exactly as she pleases. As Michele Pessoni asserts in "'She was laughing at their God': Discovering the Goddess Within in *Sula*," "Morrison's novels critique and condemn the white patriarchal system which is still accepted, tolerated, or endured by men and women of all colors. This system hierarchies human beings, as Sula Peace and Nel Wright soon figure out" (par. 15). As though in rebellion against this patriarchal system, Sula sleeps with whomever she likes, travels around the country with man after man, and refuses to alter her behavior simply because the people of Medallion disapprove. In this respect, she resembles Ajax's

mother and is even suspected by the townspeople of dabbling in the black arts. But, unlike Ajax's mother, Sula faces the wrath of the community for her refusal to conform. But why?

CONJURE AND HYPOCRISY

Trudier Harris offers the following suggestion for why the citizens of Medallion tolerate Ajax's mother but not Sula: "Perhaps because of her commitment to her sons, and theirs to her, this woman [Ajax's mother] has found a place in the community; Sula is too antithetical to everything they believe in for them to accept her as readily" (64). Harris suggests that Ajax's mother is an acceptable member of Medallion black society because the townspeople find her devotion to her children admirable. She is engaged in what her neighbors consider to be deviant behavior, but the people are willing to overlook it because she is a good mother, yet these same people cannot accept Sula because her behavior lacks any redeeming qualities. I must disagree. There is no doubt that Ajax's mother loves her boys and that they adore her, but there is no evidence that the people of Medallion are committed to their resident conjure woman, at least not because she is a good mother. In fact, Morrison leaves room for the reader to speculate about that detail:

> Had she any teeth or ever straightened her back, she would have been the most gorgeous thing alive, worthy of her sons' worship for her beauty alone, if not for the absolute freedom she allowed them (known in some quarters as neglect) and the weight of her hoary knowledge. (126)

The fact that Ajax's mother permits her children to run around town without any supervision challenges the notion that she is a great mother, which further reveals the townspeople's hypocrisy in their acceptance of her and not Sula.

If Ajax's mother is tolerated it is out of necessity -- nothing more. Ajax's mother has something the people of Medallion need; Sula does not. It is easy for them to reject Sula and tolerate the "evil conjure woman." The church-going people of Medallion may scowl at the practice of rootwork, but when they are desperate, they turn to this same woman they have labeled evil, an act that reveals their religious hypocrisy.

It is clear that Medallion's African American community claims to be a Christian one. Throughout the story, there are mentions of Wednesday night prayer meetings (40), religious funerals (65), Eva's spouting of Bible verses (93), neighbors' crying to God when Hannah is burned (76-7), among numerous other examples. They cannot rely on the white power structure for equal treatment, as Jude discovered when he struggled in vain

for years to find work on the New River Road. "All of Morrison's characters exist in a world defined by its blackness and by the surrounding white society that both violates and denies it" (7), writes Cynthia A. Davis. So it is to a higher power -- God -- they turn for hope and comfort and salvation.

Unfortunately, they also use their religion to condemn various acts and people whom they believe step outside the bounds of the strict tenets of Christianity. At Jude and Nel's wedding, "the church women who frowned on any bodily expression of joy (except when the hand of God commanded it) tapped their feet" (Morrison 79). Their condemnation reaches a crescendo when Sula has an affair with Nel's husband and commits Eva to a nursing home:

> When word got out about Eva being put in Sunnydale, the people in the Bottom shook their heads and said Sula was a roach. Later, when they saw how she took Jude, then ditched him for others, and heard how he bought a ticket to Detroit (where he bought but never mailed birthday cards to his sons), they forgot all about Hannah's easy ways (or their own) and said she was a bitch. (112)

Sula did not honor her mother and she coveted her neighbor's husband. She broke the laws of Christianity. There are rules by which one must abide, according to the townspeople.

Christian rules. And Sula refuses, as does Ajax's mother. To the Christian community, it is easy to condemn Sula, as she offers them nothing but trouble. But in extreme cases, when religion fails to meet their needs, Ajax's mother does.

More evidence of religious hypocrisy exists after the people of Medallion discover Sula's betrayal of Nel. "So they laid broomsticks across their doors at night and sprinkled salt on porch steps. But aside from one or two unsuccessful efforts to collect the dust from her footsteps, they did nothing to harm her" (113). Sula's neighbors may judge her as evil, just as they do Ajax's mother, and pretend to be pious, but their fear of falling prey to what they believe are Sula's mysterious ways lead them to resort to the same sort of behavior for which they have labeled both Sula and Ajax's mother evil. Carolyn Morrow Long mentions salt numerous times in her book as a powerful ingredient in spells. "Salt," she writes on page 11, "the universal preservative, was used for protection from evil." And brooms may have been used for the same purpose. An ad from a spiritual merchant, which appears in Long's book, boasts of a special "Cast Out Evil Floor Sweep . . . 'to help you cleanse your home of all evil influences and be ready to thrive in 1995'" (143). Clearly, the aim of the townspeople in the aforementioned instances is to secure their safety.

The matter of their collecting dust from Sula's footsteps is more complicated. Menacing and often life-threatening hexes are thought to be prepared with the dirt from a person's footsteps. Jim Haskins presents one example:

> Follow the person and take three grains of sand or soil from his footprint. Place them in a small bag and carry them with you for three days in order to acquire power over them. On the night of the third day, take them to the crossroads and toss them in the direction you want the person to go. Three days later he will leave town by that road. (133)

By attempting to capture Sula's footprints, the people of Medallion go beyond passively-aggressively protecting themselves; at this point, they are trying to inflict harm on (or at least control over) Sula. Since Morrison mentions Ajax's mother's use of footstep dust in her conjure practice (126), there is the chance that the townspeople are not themselves doing the rootworking, but rather delivering the goods to Ajax's mother and employing her to do the deed. Either way, the fact that they are engaged in such potentially deadly activities while passing judgment on Sula demonstrates the danger of religious hypocrisy in the novel.

UNCONSCIOUS INTEGRATION OF AFRICAN AMERICAN FOLK BELIEFS INTO DAILY LIFE

But perhaps Morrison wanted to show that African American culture is so deeply ingrained in the lives of these characters that even though their traditional customs, beliefs, and practices have been denigrated and denied them through the centuries, they still maintain fragments of those traditions and turn to them despite what they have been conditioned to believe. That is precisely what happens throughout *Sula*. Trudier Harris expounds upon this idea in *Fiction and Folklore*:

> Morrison's community has its superstitions and folk beliefs in addition to its folk characters. Traditionally, the natural world has been the logical place for people in folk communities to look for signs and meanings to be revealed to them. The unnatural and peculiar things that happen before Hannah's burning are a sign to Eva that some significant occurrence is about to take place. She cannot find her comb, which is out of its "natural" place; there is an unusually strong wind that does not bring the release of rain; and Hannah dreams of a wedding in which the bride wears a red dress, the color of which Eva will later interpret to mean that it portended Hannah's burning death. Her knowledge that dreams go

> by opposites strengthens her interpretation of the death; the wedding, a happy occasion, really portends some impending misfortune. The plague of birds before Sula's return to the Bottom is looked upon as a portent of evil, for, like Eva, the folks have learned, from their closeness to nature, to read its signs and prepare themselves for whatever is coming. (70)

It is interesting to note here that Harris's views seem in contrast to those of Pessoni, who states in her article that Morrison's characters are in need of "The Great Goddess archetype" (par. 6), represented in *Sula* by Ajax's mother and Sula herself, because the other characters are at odds with nature. Again, this conflict with nature and all things anti-Christian stems from the townspeople's adherence to behaviors and beliefs they have been conditioned to accept as superior to their traditional ones. Morrison, however, by saturating her novel with folklore, seems to imply that these same townspeople really are very much in tune with their natural surroundings:

> What was taken by outsiders to be slackness, slovenliness or even generosity was in fact a full recognition of the legitimacy of forces other than good ones. They did not believe doctors could heal -- for them, none ever had done so. They did not believe

> death was accidental -- life might be, but death was deliberate. They did not believe Nature was ever askew -- only inconvenient. Plague and drought were as "natural" as springtime. If milk could curdle, God knows robins could fall. The purpose of evil was to survive it and they determined (without ever knowing they had made up their minds to do it) to survive floods, white people, tuberculosis, famine and ignorance. (90)

A key phrase in the previous quote from the novel is monumentally important when analyzing Morrison's use of conjure in *Sula* as a tool to expose religious hypocrisy: *without ever knowing they had made up their minds to do it*. The people of Medallion -- the same people who praise God on Sunday and turn up their noses at such activities as dancing, "except when the hand of God commanded it" (79) -- believe in "signs" of good and bad luck and are determined to survive in a precarious world any way they can. Nowhere does Morrison state that these "signs" come strictly from the Christian God. And the townspeople's determination to survive takes many forms, including folk practices like rootwork, which they may not even admit to themselves they are engaged in.

At one point in the novel, Eva burns strands of hair from her comb: "She was sitting in her wagon, her back to the window

she had jumped out of (now all boarded up) setting fire to the hair she had combed out of her head" (91). The use of hair in conjure is considered powerful. Long writes that "many people burned their hair combings to prevent incorporation of these bodily products into a malevolent charm" (91). Eva obviously knows this and is protecting herself from the possibility of conjure. Even more fascinating is that she performs this ritual minutes before quoting Bible verses to Sula and chastising her granddaughter for inappropriate behavior. Somehow Eva has managed to separate her knowledge of rootwork from Christianity, or to subconsciously incorporate her folk practices into her daily life without considering them evil or even considering them at all. It is exponentially easier to condemn others for corrupt acts when you have convinced yourself you are innocent of those same acts.

QUESTIONS OF GOOD AND EVIL

One of the most complex concerns in the novel, which the injection of conjure complicates, is the question of evil. Earlier discussion regarding the description of Ajax's mother as "an evil conjure woman" (Morrison 126) assumes the judgment comes from the people of Medallion. But there is the possibility that the description is merely Morrison's authorial comment rather than the townspeople's assessment. If that is

the case, then one has to question Morrison's motives in depicting the character in that manner. Since Morrison has such a profound knowledge of folklore and its anthropological, sociological, and historical implications, which she uses to tell a more richly layered story, it appears to me that if she is indeed the voice behind the description of Ajax's mother rather than the townspeople, then she is more than likely being ironic or cryptic. Michele Pessoni presents the following theory:

> The Great Goddess archetype which appears in Morrison's novels functions as a unifying force, connecting human beings to one another and to nature in moral, social, and psychical interdependence. Morrison's characters are all in desperate need of such spiritual connection because they inhabit disconnected and nonregenerative patriarchal societies. While the term patriarchy is most often associated with the historical attitudes of the West's white, male, Judeo-Christian elite, as Morrison's novels so clearly point out, the patriarchal attitude is neither gender-bound nor race-bound. Rather, it denotes a psychic state of mind, a consciousness which often exhibits signs of hostility toward nature as well as toward any quality traditionally associated

> with the feminine: nurturance, community, contiguity. (par. 6)

In other words, Morrison uses Ajax's mother to represent a feminine force outside the patriarchal Judeo-Christian world which she inhabits. This force, functioning in the natural world, which is both positive and negative, physical and spiritual, would be deemed evil in the patriarchal Judeo-Christian society; thus, Morrison, in an effort to be both ironic and to force the reader to reexamine the character and his own thoughts about the character, presents her as evil. It is certainly conceivable, but it seems more feasible to me that the people of Medallion judge Ajax's mother as evil, given their Christian convictions and their tendency toward condemnation of anyone who challenges those convictions.

The earlier quote from Long regarding a child's being born with a membrane covering his head also brings to mind Sula and her mysterious birthmark. There is speculation around Medallion that Sula is in league with the Devil, and her birthmark, according to the townspeople, is her mark of evil:

> Mr. Finley sat on his porch sucking chicken bones, as he had done for thirteen years, looked up, saw Sula, choked on a bone and died on the spot. That incident, and Teapot's Mamma, cleared up for everybody the meaning of the birthmark over her eye; it was not a

> stemmed rose, or a snake, it was Hannah's ashes marking her from the very beginning. (114).

From that moment on, the people blame Sula for any misfortune, natural or not, that befalls them. Trudier Harris writes, "Many characters believe that Sula is evil; when they view the birthmark, they project onto it features reminiscent of those assigned to boogie men" (70). And, in a way, Sula does become the boogie man of Medallion. She becomes their scapegoat, because she is different and makes no apologies for it: ". . . she lived out her days exploring her own thoughts and emotions, giving them full reign, feeling no obligation to please anybody unless their pleasure pleased her. As willing to feel pain as to give pain, to feel pleasure as to give pleasure, hers was an experimental life" (Morrison 118). If being taunted by the townspeople hurt Sula's feelings, she never let it show, and she certainly never made any effort to temper her behavior to appease them.

Whether Sula is actually evil is debatable. She even questions Nel when Nel visits Sula on her deathbed about this very issue: "'How you know?' Sula asked. 'Know what?' Nel still wouldn't look at her. 'About who was good. How you know it was you?' 'What you mean?' 'I mean maybe it wasn't you. Maybe it was me'" (146). Sula's proposition is a startling one. How could Nel, a woman who lived by society's and Christianity's

rules all her life, an African American woman who "kept her place" in her community, how could she not be considered good? And more troublesome, how could Sula, a woman who did none of these things, be good? But Sula's point, and Morrison's as well, seems to be that, unlike most western religious theology purports, the lines between good and evil are largely blurred. They are not absolute concepts, kept sterile from the other in vacuum-sealed cases. As Morrison writes, "In their world, aberrations were as much a part of nature as grace" (118).

So, what right had Nel or any of the townspeople to feel superior to Sula? What right had they to be so sure, as Sula pointed out to Nel, that they were good and she was bad? "God had a brother," Morrison writes on page 118, "and that brother hadn't spared God's son, so why should he spare them?" In other words, the idea of good and evil are so closely aligned as to be linked by blood. If that is the case, then it is problematic to insist that one is absolutely evil and one is absolutely good, because the states of being are too closely related. For the Medallion townspeople to relegate Sula to the role of evil, devil-worshipping, rootworker is both cruel and unsubstantiated, especially since they refrain from doing so to Ajax's mother.

CONCLUSION

Sula captivates me for many reasons, not least of which are the vibrant language and fresh imagery Morrison uses to create her moody story of love and betrayal and survival. Ultimately, though, it is her use of conjure that most excites me, not only because of the magical atmosphere Morrison creates by incorporating elements of folklore like conjure, but also because of the messages she sends, like signs read in a hoodoo doctor's fire. In *Sula*, Morrison demonstrates the dangers of religious hypocrisy, questions evil, and empowers African American female characters to stand on their own in the face of adversity in a patriarchal society -- all through the use of conjure. She also suggests that even though African Americans have been stripped of much of their traditional culture, a great deal of it remains, buried, denied, and, sometimes, spread out unapologetically for all to see. It is here, she seems to whisper through the pages of her novel -- no need to sweep it out the back door and watch it whirl in the wind like the remnants of a dirty secret. It is here. Claim it. And celebrate it.

Notes

[1] Carolyn Morrow Long explains the use of the different terms, which, ultimately, all refer to the same thing: "Even after most African Americans had converted to Christianity, there existed a parallel African-based tradition referred to in nineteenth-century accounts as conjure, tricking, or goofer, or, less often, by the English terms *witchcraft* or *cunning*. *Hoodoo* and *rootwork* did not appear as designations for this practice until the twentieth century" (73-4).

[2] Long concedes that some African Americans held onto their heritage in spite of pressure from white society: "Africans were adept at incorporating the deities and practices of others into their own belief systems" (14). This is especially true in places like New Orleans where Catholicism and Vodou came together to create a conglomeration of the two belief systems. Conjure, Rod Davis states, "evolved, depending on one's point of view -- into a form with an unmistakable African core but mixed, in different regions, with a wide variety of other beliefs and faiths. From Brazil to New Orleans, transplanted voudou borrowed freely from native Indian cultures, European witchcraft, and other non-voudou African slave religions, for example the Kongo-based palo mayombe" (8). Obviously, conjure is a complicated and varied practice. No matter its survival, most African Americans distanced (and continue to do so)

themselves from any association with the practice at the encouragement of not only white society, but also black ministers and teachers, "believing that these 'remnants of heathen Africa' were an impediment to racial progress" (Long 81).

[3] According to Long, "Van-Van, was made from alcohol and oil of lemon grass" (60). The purpose of Van-Van is primarily for luck (64). "High John the Conqueror, a phallus-shaped root with a name that connotes power, is used to conquer enemies, bring good luck, and achieve sexual mastery over women" (Introduction xvii). Devil's Shoestring is used to "counteract bad luck," as is Chewing John (244). Long writes that Chewing John "(probably galangal root) differs from tradition in that one is instructed to chew the root, spit it out, and swallow the juice" (244). On page 105, Figure 5, Long writes: "Chinese Wash was a popular cleanser used to promote spiritual purity and good luck and to drive out evil influences." To prepare the herbal concoction, the conjurer must combine "vetiver, palma rosa, citronella, and lemon grass. The liquid is transparent, with just a hint of sunny yellow to convey the idea of cleanliness" (183).
Jim Haskins notes that Van Van, John the Conqueror, and devil's shoestring are often included in lucky "hand" bags (155-6). On page 147, he includes mustard seed as a protective ingredient from "Ha'nts, like witches."

Yronwode mentions numerous uses for High John the Conqueror, Devil's Shoe Strings, Mustard Seed, and Little John to Chew between pages 209 and 214.

Rodale's Illustrated Encyclopedia of Herbs states the following about mustard seeds: "As a medicine, black mustard was preferred over the milder, white-seeded species. Early herbalists recommended taking it internally to relieve digestive problems, and applying it externally to encourage blood flow" (393).

[4] "Camphor resin is said to be a natural purifying curio with psychic benefits."

[5] "Another protective activity involving the shoes is to wear them on the opposite feet when you go out. You might consider wearing your underclothing inside out. And two informants recommended putting nine drops of fresh turpentine into each shoe under the innersole."

[6] Eva tells Sula she is selfish because she hasn't "settled down" and abided by the "rules" of womanhood: "'Ain't no woman got no business floatin' around without no man'" (92).

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[5] "Another protective activity involving the shoes is to wear them on the opposite feet when you go out. You might consider wearing your underclothing inside out. And two informants recommended putting nine drops of fresh turpentine into each shoe under the innersole."

[6] Nel states some of these "rules" to Sula when the old friends have one last conversation as Sula lies, defiant and unrepentant, on her deathbed: "'You *can't* do it all. You a woman and a colored woman at that. You can't act like a man. You can't be walking around all independent-like, doing whatever you like, taking what you want, leaving what you don't'" (Morrison 142). Much earlier in the narrative, Eva tells Sula she is selfish because she hasn't "settled down" and abided by the "rules" of womanhood: "'Ain't no woman got no business floatin' around without no man'" (92).

Title :The Disguise of Imperialism in the Configurations of the Non-European "Barbary" Character in the Barbary Captivity Narratives of James Riley and Eliza Bradley .

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Abstract:

Barbary as a region was a major source for a real threat of cultural domination for Europeans .It was probably understood by both sides that piracy ,as described by the Europeans ,was in fact an underlying cover-up of religious and a cultural warfare . Similarly ,the Barbary Corsairs themselves were a testing ground for the newly-established republic of the United States .While passengers boarding European and American ships in the late eighteenth and early nineteenth century time were probably oblivious to the political as well as the economical significance of the corsairs in international affairs ,the stories of captivity both real and fictitious were very popular among readers and were used especially in the United States for the purpose of political propaganda .In both cases ,the argument was based on the cultural notion manifested in those narratives that the "Barbary" character was a negative and pejorative type .For the American reading public of the nineteenth century ,the trajectory and fashioning of the Barbary character in terms of a negative "other" carries a psychological fear of cultural , economic ,and political consequences .A close examination of the Barbary captivity Narrative as exemplified by James Riley's *An Authentic Narrative of the Loss of the American Brig Commerce ,Wrecked on the Western Coast of Africa ,in the Month of August ,1815* and Eliza Bradley's *An Authentic Narrative of Shipwreck and Sufferings of Mrs .Eliza Bradley ,the Wife of Capt .James Bradley of Liverpool ,Commander of the Ship* Sally ,*which was wrecked on the coast of Barbary ,in June1818* shows how the construction of the Barbary character in those narratives follows a pattern of applying pejorative connotations that reveal a fear of cultural contamination of an inferior "other." Moreover ,both narratives illustrate a prelude to imperialism that depends on contrasting the two cultures of the "civilized" white slave and the "uncivilized" slave masters to hide or disguise a positive portrayal of colonial motives.

Raja Al Khalili

Research Paper:

The Disguise of Imperialism in the Configurations of the Non-European "Barbary" Character in the Barbary Captivity Narratives of James Riley and Eliza Bradley .

"And miseries worse than death ,on the barbarous shores of Africa." James Riley ,*An Authentic Narrative* ,13.

European narratives of encounters with the Barbary States ,including the captivity narratives ,appeared as early as the sixteenth century .The geographical closeness of Barbary or what is now known as the nation states of Morocco ,Tunisia ,Algeria ,and Libya resulted in an abundant number of narratives of European ,especially English and French accounts .American encounters with Barbary ,on the other hand ,gained importance after American independence and the eagerness of the newly formed state to engage in international trade .American ships at that time were primarily involved in the traffic of people going to the United States as well as the carrying of commercial goods . At the beginning ,the United States had to resort to European naval assistance but later on the United States had to ensure a safe passage for American ships and ,therefore ,had to pay tribute money to the Barbary states .Nevertheless ,treaties were continuously breached and captivity was continuously going on from both sides .According to Paul Baepler ,the Barbary corsairs were partly a source of resistance to defend North Africa from European invasion) 3 .(Slavery was not only active in West Africa but also in Muslim North Africa .European ships were heavily involved in the profitable slave trade and instances of captivities were very frequent on both the European and Barbary states. The corsairs were important in providing economic and political stability in the Barbary states .According to Wolf ,piracy in the region declined after the marine battles of the American naval forces and Barbary in 1805 and 1815 .The consequent outcome was that

a decline in piracy left the region vulnerable to imperialistic pursuits .The second war of 1815 practically freed European ships from the Barbary corsairs and shortly afterwards the

French occupied Algiers in 1830 .Some former white slaves after their return wrote their narratives to document their sufferings and others appealed to audiences to consider the horrors of slavery .Regardless of the national origin of the captives what remains particularly appealing about the Barbary narratives themselves is the fact that they represent an example of a cultural encounter that denotes political and economic significance .

While many passengers boarding European and American ships in the late eighteenth and early nineteenth century time were probably oblivious to the political as well as the economical significance of the corsairs in international affairs ,the stories of captivity both real and fictitious were very popular among readers and were used especially in the United States for the purpose of political propaganda .The abolitionists used them as a source to argue against slavery ,others found in them an appeal in favor of slavery .In both cases ,the argument was based on the cultural notion manifested in those narratives that the "Barbary" character was a negative and pejorative type .For the American reading public of the nineteenth century ,the trajectory and fashioning of the Barbary character in terms of a negative "other" carries a psychological fear of cultural , economic ,and political consequences .A close examination of the Barbary captivity Narrative as exemplified by James Riley's *An Authentic Narrative of the Loss of the American Brig Commerce ,Wrecked on the Western Coast of Africa ,in the Month of August ,1815* and Eliza Bradley's *An Authentic Narrative of Shipwreck and Sufferings of*

Mrs .Eliza Bradley ,the Wife of Capt .James Bradley of Liverpool ,Commander of the Ship Sally ,*which was wrecked on the coast of Barbary ,in June1818* shows how the construction of the Barbary character in those narratives follows a pattern of applying pejorative connotations that reveal a fear of cultural contamination of an inferior "other." Moreover ,both narratives illustrate a prelude to imperialism that depends on the contrasting the two cultures of the "civilized" white slave and the "uncivilized" slave masters to hide or disguise a positive portrayal of colonial motives.

One of the temptations of reading the Barbary captivity narratives in terms of a cultural encounter rather than in terms of purely racist terms stems from the fact that Barbary as a region was a major source for a real threat of cultural domination for Europeans .It was probably understood by both sides that piracy ,as described by the Europeans ,was in fact an underlying cover-up of religious and a cultural warfare .The fact that the Dey of Tripoli declared a holy war on the United States when it failed to comply with the terms of the tribute money seems to emphasize that assumption .Similarly ,the Barbary Corsairs themselves seemed to present a new test for the pride of the newly-established republic of the United States) Gallagher 230 .(James Fennimore Cooper in *The History of the Navy of the United States of America*) 1893 (shows how the United States' newly formed naval force shows a display of power not only for the Barbary states but also for other European nations as well .

The cultural importance of the Barbary captivity narratives stems from the popularity of the captivity narratives as a genre in the nineteenth century .While some accounts were authentic and can be verified other accounts are considered works of

fiction .Nevertheless ,both fictional and non-fictional accounts existed side by side and were popular .The Riley narrative ,for example ,was very profitable and sold about a million copies .According to Gerald McMurty the narrative was presented to Abraham Lincoln and it influenced his ideas on slavery) Qtd in Baepler 18 .(It was also later transformed into a children's book .Similarly ,Eliza Bradley's narrative is culturally significant because her narrative was taught in Sunday Schools .However ,Eliza's narrative

is considered by Baepler for the most part a work of fiction) 18-9 .(This opinion is also shared by Huntress ,who also considers that the narrative was probably invented as large parts of the story are taken from Captain Riley's account) 110 .(

So what accounts for the presence of a female captivity narrative that might be purely fictitious ,possibly written by an editor impersonating a female narrator ?It first raises questions about the purpose and aim of a woman's writing incarcerated by a male editor .In her article ,"Captivity and the Literary Imagination" Katheryne Derounian-Stodala examines the appeal of the captivity narrative ,especially the Indian captivity narrative ,as a genre to nineteenth century American women writers .According to Derounian-Stodala women writers at that time sought to explore potential roles and fashion new identities and ,therefore ,captivity has such a hold on that imagination of women because it implies a female ideology with its emphasis on family and feelings) 106 .(

The same applies to the Barbary captivity narrative .Eliza Bradley appears in her narrative

as a support for her husband and other members of the crew in their ordeal ,urging them to seek consolation from a divine Providence -confined that is ,to conventional notions of female behavior in the nineteenth century.

The presence of possibly invented female narratives ,that are read with as much zeal as real narratives written by men ,brings to the foreground cultural issues and imperialistic motives that are represented in the narratives .For a woman in captivity gives an emphasis on the presence of the vulnerable female that ends by reuniting relatives . Moreover ,since the aim of the captivity narrative is to horrify the practice of captivity to a larger audience the presence of an image of weakness strengthens the argument .The subjugation of a white female by male captors is considered more natural than the subjugation of Riley ,who was left along with a group of male captives in the charge of two old mistresses .Moreover ,the captivity narratives were involved in issues of propaganda that questioned not only issues of slavery but also women's public and private lives) Derounian-Stodola 107 .(In these narratives women's roles were as opposed to other inferior cultures supposed to be maintaining respectability .Moreover ,female narratives portraying appropriate roles for women also mark an instance of colonial discourse in which a captivity story of the female becomes a rationale for European conquest and the need to establishing a nation based on white supremacy) Farey 12 .(This is especially true in the Indian captivity narrative of Mary Rowlandson .It also applies to the Barbary captivity narratives in which propaganda progresses to interpretations of larger issues of imperial conquest and international affairs .

Even though the captivities of both Riley and Eliza Bradley ,which occurred respectively in 1815 and 1822 are not primarily concerned with the wartime period ,they portray an embedded public concern of the consequences of white captivity .At the same time the captives seek to integrate into their society by portraying their ability to sustain

themselves through their faith in their superiority .In the narratives the cultural diversity and the geographical range of Barbary are emphasized for two reasons .The first is to emphasize the civilized status of the captive as being attentive to his surroundings .The second is to emphasize racial inferiority in the African masters' religious ,social and political systems which serves as a pretext for conquest.

The initial fear that appears in the two Barbary captivity narratives is the shock of being transformed from civilized free men and women into captives to what is regarded as an inferior other .Riley describes how the captives were upon immediate contact with the Arab masters all stripped down of their clothing and that only a Mr .Savage was allowed the privilege of wearing a pair of trousers .This task of stripping down clothes is a sign of loss of national identity as well as character .Matar explains that:

> at a time when sailors and soldiers did not own more than one garment ,and when clothes were made and worn in a style that defined them nationally ,losing that garment and wearing another invariably changed the way the individual looked and moved ,implying a loss of personal nationhood and character) 36.(

The captives' fear of losing identity is a consequence of being overpowered and therefore being left vulnerable to cultural transformation .The strongest psychological fear of the captive appears to be the threat of having to renounce their religion and become part of the community as many slaves had to "take the turban" to avoid harsh treatment from their Muslim captors .Moreover ,the literary allusions to being culturally overpowered in the captives' narratives are intended to remind a Christian public of the real danger of that threat.

The stripping of a woman's clothes described in Eliza Bradley's narrative also invokes themes of national identity .However ,her position as the only white woman among male captives seems to stimulate the readers in looking on the act of stripping down of her clothing in terms of gender and race .Clothes denote not only her national heritage but also her respectability .Her position as a woman captive leaves her with a few items of clothing that keep her decency but at the same time reveal her naked ,white skin vulnerable to the harsh sun .She then appeals to the readers and describes the cruelty of how "]t [he unmerciful Arabs had deprived me of my gown ,bonnet ,shoes and stockings , and left me no other articles of clothing but my petticoat and shimmy ,which exposed my head and almost naked body to the blazing heat of the sun's darting rays")256 .(We also see a similar approach of maintaining respectability in slavery in *The History the Captivity and Sufferings of Mrs .Maria Martin* ,another American fictitious captivity tale) Baepler 18 .(Maria Martin's plight is basically that she was forced by her Arab captors to wear shackles of chains that threatened to kill her if she moved .Her situation may seem odd , but her personal insistence seems to magnify the likelihood of the chains strangling her if she dared to stir .Nevertheless ,both narratives invoke the image of a fragile white woman made to suffer by a different racial other ,which was also common trope in Indian captivity narratives also .They also make apparent that threat of a social contamination becomes more real as the susceptibility and vulnerability of women in that environment is accentuated .

What the two narratives are trying to illustrate through the female perspective in the

captivity narrative is to highlight the importance of national and cultural identity in an environment of confrontation .The stress is on motivating the readers of the need for some

kind of probably military action to stop that kind of physical attack .Therefore ,the emphasis on race is not only intended to show any trace of superiority of the white slave from the "black" master but to stress the importance of hindering any kind of prominence of the natural "white" superiority through imperialistic means.

Issues of race also gains importance in light of the fact that these two narratives were intended for an American audience .In *Barbary and Enlightenment :European Attitudes Towards the Maghreb in the 18th Century* Ann Thomson states that European racial classifications based on physical attributes were popular in Enlightenment thought .

Philosophers were inclined to group North Africans as different from other Africans and considered as inferior shades of the "white prototype." However ,according to Thomson in the nineteenth century European and especially English philosophers based inferiority on grounds of cultural rather than racial classifications .Thus ,the importance of moral factors were privileged in considering the forces that determined human development . Accordingly ,moral factors that emphasized the religious ,social and political systems put the peoples of Barbary as inferior .Moreover ,the environment was seen by nineteenth century philosophers as an indirect influence on that inferiority) 67 -74 .(James Riley and

the Eliza Bradley character go into great detail in their description of the Barbary people and their systems to emphasize the inferiority not only of the Barbary character but also the Barbary culture as well.

The racial allusions in the description of the Arab masters that permeates both

narratives and their imperialistic implications are significant in the interpretation of the characters ,scenes ,and events in the captives' new world .One can notice in Eliza Bradely's description of her Arab masters not only the physical ,but also the culturally inferiority of her Arab captors .She describes the Arabs in the following manner:

> These ferocious monsters whenever they uttered a murmur ,appeared so enraged against them ,that when they spoke to them ,the fire flashed from their eyes ,and their white ,so perceptible in the Moors and the Arabs ,could not be distinguished- even in their most depilated state ,they were guarded with such vigilance ,that an Arab with a spear or a musket in his hand ,attended them on every occasion ;the barbarians being apprehensive that they might escape ,or that their prey might be taken from them by force) 265.(

The Arabs are constantly being portrayed in both narratives in racial terms and are regarded as closer to ferocious animals guarding their prey very closely .In the fervor of their propaganda against the unnaturalness of the institution of slavery ,the narratives of both Riley and Eliza Bradley portrayed the social systems of the Barbary people as one in which a sense of community is not present beyond the confinement of the tribe.

However ,in James Riley's as well as in Eliza Bradley's narrative a great part of the account seems to stem from the captive's observance of the culture ,the Arabs' daily life and social governance .Both captives portray themselves as fully engaged in surveying the

new setting .For example in James Riley's narrative ,he comments on how attentive he was to the details of his surroundings:

> the strange events of the desert ,and the novel objects and scenes which I had an

> opportunity of witnessing in the country of the Moors ,were not suffered to pass without awakening and exercising my curiosity as well as interest ,and becoming the subject of careful and habitual reflections) 4 .(

At the same time the captives seem to be constantly reminding the readers of the reverse side of subjecting the new environment to a cultural observation .The ever present plausibility of a cultural encroachment on the individual Christian captive is made more apparent in the instance of learning the new language of the Arab masters.

The fact that Riley and Eliza Bradley learned the Arabic language fairly quickly seems to portray the reality of a cultural domination for a Christian slave .While both emphasize the necessity of learning a new language ,they are aware of the influence of the

language on their character .Therefore ,Riley rejoices that his liberation came in the form of a letter that made him see " a soothing and sympathizing friend in a barbarian ,and one who spoke perfectly well the language of a Christian nation")275.(

An important cultural factor that emphasizes the need for an imperialistic pursuit is the religious factor .According to Nabil Matar the humiliation of being a slave to Muslim masters carries a religious dimension .In the introduction to *Piracy ,Slavery ,and Redemption* ,a collection of English Barbary accounts ,Matar states that:

> the former captive sometimes aided by a narrator or editor encouraged the reader to recognize that in the encounter between the powerful Muslims and the enslaved English ,what was at stake was the certainty that the Christian God was the true God and that a faithful Englishman would always emerge victorious) 36.(

The captive therefore considers that their individual struggle is basically a clash of two cultures that are based on different religious doctrines .Clearly ,the hostage slave is

in a situation where his surrounding metonymizes complex ,confusing cultural issues into

simplified binary of self and other .The ability of captives to sustain themselves and resist

Moreover ,the appeal to religion seems to incorporate with it the notion that slavery is

basically anti-Christian and could only be practiced in a heathen land .At the same time the

author/narrator seems to have spared herself the burden of questioning directly the

practice of slavery in the United States at that time or the fact that it was acceptable as

long it is practiced by Christians .At the end of his narrative Riley dwells on the

detrimental effects of slavery and at the end he vows that he will try to do his best with the

help of pious citizens to end slavery ,which he deems a form of unholy oppression)532.(

This method employed in both narratives of comparing and contrasting the two

cultures also serves as a form of social discipline and reminder of the blessings of freedom

and social as well as political stability . .Riley and Eliza Bradley stress their cultural

identity as distinct from that of their surrounding .In their observance of the culture the

two narrators point out their cultural superiority.

What is emphasized in both narratives in civilized government of the “barbarous”

Arab masters .In both narratives the careful and almost identical description of the battle

between the Arabs over the ownership of the slaves shows their lack of governance .

What probably epitomizes their lack of superiority is their status of wandering in

the desert ,a sign of lack of stability ,which is also understood as a primitive unevolved

way of life .Therefore ,while the captives are continuously emphasizing their cultural

identity ,they are also noting how the lack of civilized government hinders the Arabs from

any advancement politically .The emphasis on their lacking political institutions is not only

considered as a legitimate prelude to colonization as Ben Rajeb argues) 34-55 ,(but also as

a provocation to imperialistic pursuits.

Reading the Barbary captivity narrative in terms of its imperialistic connotations seems to be consistent with the fact that two different cultures are in position of a power struggle .Critics such as Baepler and Lewis have illustrated that the Barbary captivity narrative is imperialistic in its outlook .Baepler in his essay " White Slaves African Masters" draws on Edward Said's interpretation of imperialism as a form of denying narrative to those people who are being represented) xii-xiii (and considers the narratives of Riley and Ray as examples of imperialistic narratives) 90-104 .(Other critics ,however ,

have argued against a reading of the Barbary captivity narrative as part of a colonial discourse because such an interpretation might present a one-sided outlook on the nature of culture) Johnson 374 .(But is it not a fact that in the white slave's confrontation with the Barbary character a one-sided outlook takes place and is already being understood and implemented from both sides ?One can even detect that the white slave's depiction of inferiority can be only seen as a prelude to an imperialistic process that formulates in his

or her attitudes and behavior towards the master "other".

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Sean Allan

True Grit: Masculinity and Technocrises in the Work of Harry Crews

Topic Area: English/American Studies

Presentation Format: Paper Session

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Abstract:

True Grit: Masculinity and Technocrises in the Work of Harry Crews

Harry Crews is a chronicler of poor white masculinity, often in its most extreme forms. Crews calls his people—the inhabitants of Bacon County, Georgia, and all those with elective affinities with those inhabitants—"Grits". Crews' analyses of individual male figures could be thought of as a search for the true Grit, a search for the possibility of a spiritually fulfilling masculine self within the confines of the world.

A certain strain of American male writing in the late 20th and early 21st century identifies a crisis of male representation and the relationship of this crisis to issues of technology. Crews fits within this strain, and yet he is unique because he identifies the relationship between crises of male identity and issues of technology in mechanistic terms. The relationship between masculinity and technology typically investigates the phenomena of cinematographic representation (the male role model as action hero) and the displacement/erasure of masculine ritual and role modeling due to the abstracting effect of the Information Age. Crews' take on the crisis is grounded in the fear of man being overtaken by machine or reduced to the machinic, a fear often thought to be outmoded. In Car, a man desperate to make a living sets up a publicity stunt in which he will consume an entire Ford Maverick, a perverse attempt to reclaim human worth from the cultural tendency to fetishize the machine. (In a sub-plot, a man and woman can only connect physically and emotionally through ritualized courtships in the back of a car.)

Central to Crews' mechanistic conception is the writing of technocrises onto the body. In the paroxysms of masculine gun violence explored in Crews' novel A Feast of

Snakes and essay "Climbing the Tower," a man becomes an extension of the gun. In The Knockout Artist, a failed boxer develops the ability to knock himself out in a brutally mechanistic way. Crews' Grits are not just consigned to repetitive factory work as a result of the technological displacement of the working class; they are forced to perform repetitive violence against themselves because of such displacement.

Crews' Grits are often, to use a term comfortable within Crews' sensibility, "freaks." Crews' obsession with such characters—an obsession often reduced to an expression of Southern Gothic convention—very literally manifests displacement, and more subtly explores the exceptionalism of the human spirit in Crews' view: the imperfect human may find grace, whereas the perfection of the machine (and perhaps even the very notion of perfectability) only leads to such absurdities as the culture of the automobile.

The paper will show Crews' dedication to masculine representation and the consideration of technology's effects on the individual spirit. The paper will consider recent trends in the study of masculinity. The paper will situate Crews' work by considering trends in the representation of masculinity in late 20th century American culture. In the consideration of Crews and related writers, the paper will delineate the role of technology in both masculine representation and in the termination of masculine value. Ultimately, the paper will situate Crews as a unique voice within a certain trend of late 20th/early 21st century male writing.

A Presentation for the 3rd Annual
Hawaii International Conference on Arts & Humanities

MUSIC AS PERSONAL CREED:
THE SONGS AND PIANO MUSIC OF PETR EBEN

MUSIC: PERFORMING ARTS

PERFORMANCE PRESENTATION

Dr. Sheila M. Allen, mezzo-soprano
Associate Professor of Music
Texas Christian University
School of Music,
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Dr. David Yeomans, piano
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MUSIC AS PERSONAL CREED:
THE SONGS AND PIANO MUSIC OF PETR EBEN

"Fifty years without liberty. That might strike you [as] a catastrophic life for a composer." Yet, as the eminent Czech composer Petr Eben reflected in 1996 at age 67: ". . . it may appear a paradox but it seems for me to have been the optimal life. It's astonishing."[i]

Under the German occupation and later the communist regime, contemporary trends in the West--from the impressionists to the serialists to the avant garde--were forbidden and scores or recordings unobtainable. Composers were urged to create a "Czech idiom," to write like Smetana and to avoid every dissonance." But according to Petr Eben, this lack of contact with world music actually put him and his colleagues in the middle of a debate about "Music as a Personal Creed, or Music as a Message to Mankind." That period of oppression, with its "limitation, chicanery, isolation, lack of contact with world music, nevertheless . . . led [him] to the wellsprings of music, to the meaning of music and of art in general."[ii]

That environment also encouraged Eben to speak more directly to his musical audience in ways that would not have been otherwise possible:

> *In literature and painting it was quite difficult because the censors understood if there was something against the government. But music was abstract and it was not so easy to survey. So if I quoted a Gregorian motif, the people from the churches would know it and enjoy it; they would know that this was a spiritual work---but the Union of Composers would have no idea! In this way composing for me was a sort of message for the people. I wanted to write something that would be modern but at the same time understandable. That formed my whole way of composing: it wasn't all this experimentation, there was no desire to shock. I wanted to offer a message of something spiritual for the people.*[iii]

From these quotes and the discussion of Eben's biography and organ works during the earlier paper session, it is obvious that he has chosen music as an expression of his personal credo, a strong statement of personal faith, and a belief in the universal and ageless truths of human experience. This performance session will demonstrate the ways in which the composer's humanitarian outlook is reflected in his works for piano and for solo voice.

Petr Eben has a large list of works to his credit: a catalogue published in 1990 lists no fewer than 99 titles, many of them pieces of some scale. But his principal reputation is perhaps as the world's finest improviser, both on the piano and on his main instrument, the organ. No one who has heard Eben improvise is likely to forget it in a hurry: in his hands a small motif can grow into a towering edifice of sound, contrapuntal ingenuity married to a melodic spontaneity that leaves his audiences deeply moved.[iv] His organ and choral works are known worldwide. His less well-know compositions for piano, including a piano concerto, a piano trio, a piano quintet, and numerous solo-piano works, are equally strong. The solo works offer great variety: pieces for children and intermediate students, a collection based on authentic folk tunes, a cycle based on the letters of Kafka, a fantasy on early Christian hymnody, a charming suite for piano duet based on Czech folk tunes, and a monumental piano sonata. His piano music fervently captures the passion of Romanticism, the charm and diversity of folk-music styles of Bohemia, Moravia, and Slovakia, and a profound spirituality. The piano works presented will include a movement from

the youthfully exuberant and romantically inspired piano sonata of 1951, a sampling of the numerous piano teaching pieces of the 1950's and 60's which reflect his interest in the musical education of young people, and two pieces of the post-Soviet 1990's--one based on the correspondence of Franz Kafka, and the other based on early Christian hymnody.

Eben's solo songs, through their texts and musical adaptations, clearly reflect his spirituality and desire to transcend time, place, and language to demonstrate humanity's common experience. Like the piano works, they offer a wide range of style and difficulty, consisting of simple folk song settings suitable for educational purposes, songs with lute (or guitar) accompaniment on medieval texts, cycles for voice and piano, religious works for voice and organ, and a cycle for mezzo-soprano and solo viola. Eben's introductory notes for each cycle present his personal motivations for the work, but clearly link it to life experiences shared by all mankind.. His choice of texts further underscores his desire to transcend time, place, and language to demonstrate humanity's common experience; ranging from medieval to contemporary sources, texts in English, Italian, French, German, Russian, and Czech appear---sometimes within the same cycle. Songs with medieval texts evoke the age and national origin of the text through modal melodic gestures and characteristic rhythmic patterns while sometimes employing these elements in a polytonal manner. Other works are bolder in their innovation and use of dissonance, as in the complex work for mezzo-soprano and solo viola: it symbolically portrays the emotions of a failed personal relationship through driving rhythmic patterns, sharp disonances, and the starkness of the counterpoint between the two solo voices---possibly as a metaphor for the isolation imposed by a totalitarian regime. Performances of representative songs will demonstrate the congruence of Eben's personal credo and creative artistry .

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[i] Martin Anderson, "Fifty Years of Plus and Minus: The Czech Composer and Organ Virtuoso Petr Eben Talks to Martin Anderson," Fanfare, 1996.
[ii] Jana Marhounová, *Czech Music in the Web of Life,* Prague: Empatie, 1993, p. 228.
[iii] Anderson, ibid.
[iv] Anderson, ibid.

A Presentation for the 3rd Annual
Hawaii International Conference on Arts & Humanities

THE TRIUMPH OF ART OVER ADVERSITY: THE MUSIC OF PETR EBEN

MUSIC: PERFORMING ARTS

PAPER SESSION

Dr. Sheila M. Allen, mezzo-soprano
Associate Professor of Music
Texas Christian University
School of Music,
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Dr. David Yeomans, piano
Professor Emeritus of Music
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THE TRIUMPH OF ART OVER ADVERSITY:
THE MUSIC OF PETR EBEN

> *There was one minute which was very important for me. We were taken to one building [in Buchenwald] where we hadn't been before. They said that it was for* Entlausung---*delousing. . . . We had to take off our clothes and they brought us into a room where there were about twenty showers. We didn't know what would come out of them. I took the hand of my brother and we had to wait for one minute. We knew that if it wasn't going to be water, if it was gas, we would have to breathe as quickly and as deeply as we could so that it would be over as soon as possible. And in this one minute I had to decide if the whole of life had some sense, or if it was just bad luck that I was born at that time, in that family, and also to realise what there would be after death---would life continue or was it a wall without nothing behind it? It was for me the most important minute in my life because suddenly I was quite sure that there must be something continuing. Then the water came out . . .* [i]

Petr Eben, one of the foremost twentieth-century Czech composers, shares this 1944 experience as a fifteen-year-old youth in an interview with Martin Anderson. With "startling equanimity that may derive its strength from his deep Christian convictions," he further acknowledges the effect that the ideological restrictions of naziism and communism had on most of his creative life:

> *. . .under the Nazis I wasn't free, and under the Communists I wasn't free. Fifty years without liberty. That might strike you a catastrophic life for a composer—yet when I look back from the vantage point of my current age [. . . 67], it may appear a paradox but it seems for me to have been the optimal life. It's astonishing.*[ii]

During the twentieth century many composers, performers, writers, and artists labored under political restrictions, each finding his or her own voice of protest or accomodation. This paper identifies the forces that helped shape Petr Eben's creative vision and strength through decades of totalitarian rule, employing his own personal quotations and a discussion of his life and creative output. The impact of history that shaped his belief in the borderless humanistic mission of art, his use of poetry from diverse eras and languages in his vocal works, and his blend of folk song, plainchant, and improvisation in his compositions make such a study especially suitable for an interdisciplinary conference such as this.

Eben spent his boyhood in Ceský Krumlov, a village in southern Bohemia rich in history and cultural artifacts. This environment provided an exposure to folk music, as well as medieval and renaissance art, architecture, and the literature from which many of his song texts come. Although the region offered little opportunity for formal musical education, and public performances and printed music were in short supply, his began study of piano at the age of six, and his own keen musical intuition enabled him to benefit from what little was available. He studied harmony and counterpoint on his own and gained a certain amount of keyboard facility playing chamber music with his father on violin, his brother on cello, and himself at the piano. Eben recalls that they played with poor intonation, "slowly, and with mistakes----but *beautifully,*" and remembers these evenings during the depths of the war as being some of the most enchanting of his life. Because the older men in the community were away serving in the military, the local priest asked the ten-year-old Eben to play organ for services at the St. Vitus Cathedral. Although at an age where he could hardly reach the pedals he gained the opportunity to fully explore the possibilities of the large, three manual instrument. Alone, after hours, in the blackout-induced darkness of the cathedral's Gothic architecture, he explored the instrument's stops and colors, improvising extensively. He also assumed the duties of choirmaster at St. Vitus and discovered Gregorian chant, which became a second powerful source of thematic inspiration throughout his life. In his own words: "if it hadn't been for the war, bad enough as it was, I would never have become an organist, nor incidentally a choirmaster either."[iii] [to this one could add: a world-renowned improviser!]

During the German occupation of Czechoslovakia his musical and formal education was curtailed; expelled from school at the age of fourteen for his nonconforming beliefs, he worked first as a printer's apprentice, then at a building site. He was then imprisoned for two years at Buchenwald, as mentioned earlier. His

faith and his humanistic vision of art undoubtedly built a personal fortress against his first-hand experience with the horrors of the Holocaust and later, with his ideological struggles in Soviet-dominated Czechoslovakia during most of his career. These conflicts drew him to repeated meditations on mortality and an affirmation of the supremacy of God over life and death in his compositions.

In 1948 Eben entered the Prague Academy of Music, where he studied piano with František Rauch and composition with Pavel Bořkovec. He considers his earlier lack of formal training to have been an advantage for his understanding of music:

> *. . . when I . . . compared my knowledge with that of the Conservatoire students newly arrived at the Academy, I found I sometimes had to help* them. *They had taken these things as 'subjects' and didn't know too much about them, whereas I had learn[ed] them the hard way.*[iv]

He also reflects on the restrictions upon his musical tastes imposed upon him by his teachers and administrators at the Conservatoire:

> *The years 1948-1954] were the years of the Ždanov dogmas, when there were people teaching musicology . . . who deplored Debussy and Ravel as decadents, Janáček as an expressionist and naturalist, Martinů as a traitor and Stravinský as a spineless émigré . . . . Suddenly we weren't allowed to play [these composers]. These weren't just forbidden, they were unobtainable. You couldn't even get scores or records. While the West was experimenting, going through the twelve-tone period and so on, we were trying to create our 'own idiom', which meant that our department heads kept telling us to write like Smetana and crossed out every dissonance.*[v]

But paradoxically, he considers the isolation, both from the West and within the Czech communist society, to have ultimately been a great advantage:

> *My colleagues in the West have sometimes regarded music as . . . non-committal experimentation [and] self-fulfilment . . . . but we [in the Soviet bloc countries] actually grew up in the middle of the debate about Music as a Personal Creed, or Music as a Message to Mankind. And I could never have had that experience elsewhere! So that period of limitation, chicanery, isolation, lack of contact with world music [actually] led us to the wellsprings of music, to the meaning of music and of art in general.* [vi]

In 1955 Eben assumed a teaching post at Prague's Charles University, where his rank was restricted to the lowest level and he was allowed to teach only in the department of music history, not organ or composition, because he was not a member of the communist party: his overt declaration of religious faith made such a membership impossible. By the late 1970's, however, his reputation as both a performer and composer extended into the West, and he was allowed to accept numerous opportunities outside his homeland. In 1978-79 he was professor of composition at the Royal Northern College of Music in Manchester. Finally, in 1990 he became Professor of Composition at the Academy of Performing Arts in Prague and president of the Prague Spring Festival. As a performing artist, especially as an improviser on piano and organ he has presented concerts in London's Westminster Cathedral, Paris's Notre Dame Cathedral, and at festivals in Melbourne, Edinburgh, Vienna, Berlin, and in the U.S.

Eben's contemplation of the meaning of music and the arts, grounded in his faith and classical education, has resulted in compositions of integrity and beauty, strongly expressing his personal credo. These works encompass all genres, many as commissions for festivals and organizations around the world: the oratorio *Apologia Socratus*; the ballet *Curses and Blessings* (written for the Holland Festival 1983); the Concert Symphony *Night Hours* (for Leipzig); *Prague Nocturne* for the Vienna Philharmonic; the *2nd Organ Concerto* for the opening of the new organ of Radio Vienna; *Missa cum populo* for the Avignon Festival; the oratorio *Sacred Symbols* for the Salzburg Cathedral; the Church-Opera *Jeremias* and more.

Even the titles of this brief selection of works, while not necessarily revealing opposition to repression, suggest a world-view of steadfast adherence to inner truth, from Socrates to Jeremiah. It is astounding that, living in an aethistic society, Eben's greatest compositional output is in the form of organ works and liturgical music for chorus. The massive organ works, many of which began as concert improvisations, are multi-sectioned pieces articulated by narration taken from scripture or mystical writings. The many prizes awarded his works include a 1990 award from the Czech Government for his organ cycle *Job*. This eight-movement work followed his organ cycle *Faust* and deals with the same theme, the wager of Satan and God on the fate of a human being. Where Faust relied on himself and failed, Job accepts his trial humbly and overcomes. Eben's commentary on the work provides insight into the interaction of his personal beliefs and his creative drive:

> *The book of Job interested me for three reasons: firstly because of the social and theological revolution it represented in its time; until then every poor, sick or unfortunate being was regarded as forsaken and punished by God. Secondly, I was deeply impressed by the dramatic depth of this Book, which gives men once and for all the key to overcome a trial of faith. Finally, I find the Book extremely topical. It answers on of the most difficult questions on life asked to this day: why do good people suffer misfortunes? The Book not only demonstrates the unimportance of personal sorrow in relation to world events, but it reveals God, who does not ask Job to approve his sufferings, but just to accept them, and, standing beside the unfortunate, He suffers and carries the pain with him, helping Job overcome it.*[vii]

The work is divided into eight movements, each preceded by a spoken quotation from the Book of Job. The titles are: *Destiny, Faith, Acceptance of Suffering, Longing for Death, Despair and Resignation, Mystery of Creation, Penitence and Realization,* and *God's Reward*. Eben draws on various liturgical sources for some of the thematic material. In the second movement, *Faith*, he employs the plainchant of the *Exsultet* and *Gloria in Excelsis*. The chorale melody *Wer nur den lieben Gott lässt walten* ("If thou but suffer God to guide thee"), familiar from Bach's use, appears in the next movement, *Acceptance of Suffering*. The fourth movement reflects the misfortunes massing against Job by the use of the Baroque *passacaglia* form, where one melodic pattern is relentlessly repeated throughout the movement. The well-known plainchant *Veni Creator Spiritus* represents Job's understanding as it appears in dialogue with arching patterns on the flute stop. The final movement takes the form of a set of chorale variations on a melody by the Bohemian Brethren, *Kristus, příklad pokory* („Christ, the model of humility").

While the organ works, by their very nature, provide a logical outlet for Eben's parables of strength and faithfulness through adversity, his abundant repertory for solo piano and art song offers an equally fine introduction to the compositional, spiritual, and philosophical unity of his creative art. These will be discussed in general during this paper session and in more detail during the subsequent performance session.

Petr Eben has written extensively for piano in a variety of styles. These include a piano concerto, a piano trio, a piano quintet, and numerous solo-piano works which include children's pieces, intermediate-level repertoire, a collection based on authentic folk tunes, a cycle based on the letters of Kafka, a fantasy on early Christian hymnody, a charming suite for piano duet based on Czech folk tunes, and a monumental piano sonata. His piano music fervently captures the passion of Romanticism, the charm and diversity of folk-music styles of Bohemia, Moravia, and Slovakia, and a profound spirituality.

Like the piano works, the solo songs of Eben offer a wide range of style and difficulty. They encompass simple folk song settings, songs with lute (or guitar) accompaniment, cycles for voice and piano, religious works for voice and organ, and a complex work for mezzo-soprano and solo viola. His introductory notes for each cycle present his personal impetus for the work, but are linked to life experiences shared by all mankind. His choice of texts further underscores his desire to transcend time, place, and language to demonstrate humanity's common experience; ranging from medieval to contemporary sources, texts in English, Italian, French, German, Russian, and Czech appear---sometimes within the same cycle. A

general discussion of individual songs will explore Eben's musical treatment of medieval love poetry, folk song, the poetry of Rilke, dramatizations of failed personal relationships, and liturgical themes.

BIOGRAPHIES

Mezzo-soprano **SHEILA ALLEN** holds degrees from Oberlin Conservatory and the Eastman School of Music, and studied in Stuttgart, Germany as a Fulbright Scholar, where she also performed with Helmut Rilling's *Gächinger Kantorei*. A pupil of Helen Boatwright, Kammersängerin Lore Fischer, and Helen Hodam, she was a national finalist in both the Metropolitan Opera Auditions and the National Association of Teachers of Singing Artist Awards. Other honors include a summer as a Vocal Fellow at Tanglewood. Dr. Allen is currently Chair of Vocal Studies of the School of Music, Texas Christian University, Fort Worth. Prior to joining the TCU faculty, she taught at Washington State University, Pullman, and at the New York State University College, Fredonia.

Dr. Allen has appeared as recitalist and soloist in operatic, orchestral and chamber music repertoire across the United States and in Germany. In the spring of 2004, Dr. Allen presented masterclasses and a series of recitals featuring songs of American, Czech, and Korean composers in South Korea and performed works of Schumann at the Liszt Academy in Budapest, Hungary. A champion of contemporary music, she premiered Stephen Albert's *To Wake the Dead* in New York's Alice Tully Hall. Her recent research and performance has centered on the repertoire for mezzo, viola, and piano ranging from composers of the Baroque period to the works of Czech contemporary composer Petr Eben. Many of the performances have been from her own editions of arrangements by Dutch/German violist Rudolf Nel or of manuscripts found in his collection.

In 2002 she was on the international jury for the Canadian National Music Competitions, and in 2003 judged the San Diego Musical Merit Competition. She regularly adjudicates for the Metropolitan Opera Regional auditions, NATS, and MTNA.

Pianist **DAVID YEOMANS** holds degrees from Oberlin Conservatory, the Juilliard School, and the University of Michigan, where his studied with Emil Danenberg, Irwin Freundlich, and György Sándor. Professor Emeritus of Music at Texas Woman's University, he also taught piano at the State University of New York at Fredonia, Washington State University, and the University of Texas at Austin.

He has a national reputation as soloist, accompanist and chamber musician, having performed in recital at New York's Town Hall and Carnegie Recital Hall, as well as across the U.S., Canada, Austria, Germany, Switzerland, Great Britain, and South Korea. He is author of *Bartók for Piano*, published in 1988 and 2000 by Indiana University Press, and has written a chapter on Bartók's "Romanian Christmas Carols" for *Bartók Perspectives*, published in 2000 by Oxford University Press. He has also presented papers at Bartók symposia in Radford, Virginia, and Los Angeles.

In 1998, Dr. Yeomans received a research grant from the International Research and Exchanges Board for a three-month period of study in Prague on the Czech piano literature. In addition to numerous performances of the Czech piano literature, he presented a lecture recital on the piano music of Bedřich Smetana for the Texas Music Teachers Association convention in Houston, and a recital on the piano and vocal music of Zdeněk Fibich for the European Piano Teachers Association in London. He is currently negotiating a contract with Indiana University Press for the publication of an annotated anthology of Czech piano music. He has been Master Teacher certified from the Music Teachers National Association since 1986 and has adjudicated numerous music competitions, including the University of Texas at Austin Sidney M. Wright Competition for Accompanists, the finals of the Music Teachers National Association South Central Division Competitions at Norman, Oklahoma, the finals of the 2003 Musical Merit Competition in San Diego, and the finals of the 2003 Canadian National Music Competitions in Calgary. He is currently

President of the Fort Worth Piano Teachers Forum and a member of the Van Cliburn Foundation Executive Board.

For thirty years the **ALLEN-YEOMANS DUO** has appeared throughout the U.S., Germany, Switzerland, and England and South Korea, performing repertoire from many historical periods and genres. In addition to premiering some half dozen works dedicated to them, the Duo, with violist David Hermann, commissioned and premièred *Five Irish Poems* by Martin-Beatus Meier at the MTNA national convention in Dallas. Most recently their repertoire has explored the vocal music by Czech composers, including a program of music and drama dedicated to the Czech romantic composer Zdeněk Fibich which was presented in the United States and England. These programs included Sheila's English language adaptation of Fibich's monodrama *Vodník*. They have maintained a personal relationship with Petr Eben over the past decade and have performed a number of his works in the U.S. and South Korea.

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[i] Martin Anderson, "Fifty Years of Plus and Minus: The Czech Composer and Organ Virtuoso Petr Eben Talks to Martin Anderson," Fanfare, 1996.
[ii] Anderson, ibid.
[iii] Jana Marhounová, Czech Music in the Web of Life (Prague: Empatie, 1993), p. 223.
[iv] Marhounová, p. 227.
[v] Marhounová, ibid.
[vi] Marhounová, p. 228.
[vii] Petr Eben, Job (liner notes, Prague: MultiSONic digital CD, 1992), p. 1.

Using Service Learning as a tool to understand race in your neighborhood

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Using Service Learning as a tool to understand race in your neighborhood

Abstract

The university setting has long been instrumental in its attempt to reduce racism through education. Courses focusing Race and Ethnic Relations, Multiculturalism, and Diversity are taught on nearly every college campus. The question bears asking. How successful have we been in affecting students perceptions of race and ethnicity? As an instructor of race and ethnic relations I have found only limited success in the standard classroom setting.

This project hypothesizes that service learning projects will be more successful in changing ideas about race and ethnic relations. The focus of the project was developed in agreement with the local chapter of the NAACP.

This paper examines the use of service learning by college students as a means to better understand dimensions of social inequality, particularly racism. Two diversity classes have engaged in service projects to survey and discuss employment opportunities for African Americans in a small to midsize town in Indiana.

Using Service Learning as a tool toward understanding race in your neighborhood

Project Notes

As the fiftieth anniversary of the murder of Emmett Till draws near, one question that continues to be raised in my courses focusing on diversity and multiculturalism is "Are we less racist today than we were fifty years ago?" Consider the events surrounding young Emmett Till. At fourteen years old, he was sent to visit family in Money, Mississippi. The simple action of speaking to a white woman would be instrumental in his kidnapping, torture and murder(William,1987). Mamie Bradley, mother of Emmett Till allowed a photograph of his battered body to be printed in Jet magazine for the nation to see what racism had done to her son. The photograph helped spark the Civil Right's Movement that affected how we see race relations in our communities.

I asked 50 students in a lower level diversity class if something like this could happen today. The students were split along racial and ethnic lines. Blacks and Latinos were vocal in expressing the possibility in a situation like this occurring now in the South. White students were less likely to believe that hatred to this extent is still in existence. Both groups were surprised at the reactions of their classmates. It seemed clear that students needed more information and a way to better understand the social environment around.

Teaching race and ethnic relations in a predominantly white Midwestern college town presents some interesting challenges. There are no obvious signs of racism that are seen by the majority. They consider racism little more than a nuisance that creates minor disruptions but overall has no effect on their daily lives. A recent survey of community residents illustrated the extent to which many residents view race issues as the problem of

those effected. In a telephone survey of 390 community residents, white respondents overwhelmingly reported no dissatisfaction with the treatment of people of color in their community. Although less than 10% of those survey were people of color nearly all reported dissatisfaction with their treatment in their community in various public places from their places of employment to the mall to educational institutions.

This response challenged me to consider a new way to teach students to better understand race relations in the community. One sector of the survey was selected; employment. The challenge for students was to survey communities of color and examine satisfaction with employment opportunities. A paper based survey is being distributed throughout the communities of color to better understand if individuals are dissatisfied with their employment situations and if so why?

The students are also expected to better understand the real face of poverty in their community. This study engages students in community outreach programs including food drives for the local food bank, clothing collection for the homeless shelter, and participating in the local soup kitchen. The intent is to have students see inequality not as an issue of people of color but to see who really is in need.

Project outcomes will assess how student engagement affected their view of racism and social inequality in their community. A comparison of the pre and post test is expected to illustrate if students attitudes have been affected by their service learning projects.

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On Ornamentation

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Abstract

Historically, the question of architecture's borderlines appears hinged on ornamentation. To know architecture appears synonymous with knowing what to exclude from it as ornamentation. John Ruskin made a concerted effort, however, to follow a different path. His attempt to subsume ornament within architecture was in part a strategic move to exert greater control over ornament in hope of overcoming the inconsistencies and paradoxes in those aesthetic theories that choose the path of marginalization or exclusion of ornament. Ruskin's specific strategies for the incorporation of ornament, however, eventually encounter problems and paradoxes similar to those he had hoped to resolve. The problem is not ornament, which is not even an element. Rather the problem is what architecture is desired and presumed to be: an autonomous, self-referential aesthetic object. The considerable concern and debate over the place of ornament reflects the fact that it is by identifying the ornamental, by separating the additive from the essential that the principal and the peripheral are both made to appear as such. To subsume ornament within the aesthetic object, as much as its marginalization and exclusion, is tantamount to losing the aesthetic object. The ornamental can neither be incorporated nor expelled. This is the "danger" and the paradox that neither inclusion nor exclusion can overcome. Ornamentation perpetually traces and erases the borders of the autonomous, self-referential aesthetic object architecture is persistently desired to be.

I.

At the outset of the "Pioneers of Modern Design",[1] Nicholas Pevsner summed up "the basic doctrine of nineteenth-century architectural theory" in what is now a well-known quote from Ruskin's "Lectures on Architecture and Painting" (1854). "Ornamentation," Pevsner quoted Ruskin saying, "is the principal part of architecture." Ruskin's "surprising" proclamation on ornamentation has since assumed the burden of more responsibility and blame than any one sentence could readily assume. Emblematically, if not directly, it is held accountable for the state of architectural practice at the end of the last century from one end of the spectrum, to having "effectively repelled generations of readers from making a serious attempt to find out if there was any substance behind the bluster,"[2] on the other end of the spectrum.

What I wish to pursue through a close reading of Ruskin's discourse on ornamentation is that which is purported to be "silly," "preposterous," "nonsensical," "absurd," or generally "wrong" with this proclamation. Exactly what in this sentence propelled it to a position of such prominent infamy?

At face value, the problem with the sentence, "Ornamentation is the principal part of architecture," is a problem of place or placement. The purported nonsense in Ruskin's sentence is in its "surprising" equation of the peripheral with the central, the supplemental with the pivotal. Ruskin's sin was his attempt to incorporate into architecture what is by definition, as Alberti put it, "somewhat added or fastened on, rather than proper and innate."[3]

Although ornament is persistently defined as additional, extra, other, auxiliary, there is, it is important to note, no architectural element or group of elements that can be labeled an ornament, or for that matter not. Every architectural element could be an ornamental element depending on its place and the circumstances of its placement. This is because ornament is not so much an element, as it is a certain placement of any element with respect to another element - each of which appears as what it is in reference to the other. The measure of ornament is never itself. The ornamental is always measured against another body as an appendage and a

subordinate element. Ornament does not have an identity or a place of its own, because it is fundamentally a creature of placement.

If the place of ornament has been of considerable concern, if we find virtually every major movement in architecture since the Renaissance define its unique identity by assuming a distinct posture on ornamentation - internal or external, principal or peripheral - this is in part because it is by defining and identifying the ornamental, by separating the additive from the essential that the principal and the peripheral are made to appear as such. To lose control of the ornamental is in a manner tantamount to losing sight of the essential. This is one reason why Ruskin's proclamation has appeared so problematic. At face value, it appears to confound two things whose identity depends on their distinction: the architecture and the ornamentation. Ornament cannot be principal, because ornament is judged against the principal.

There is yet another dimension to the problem. Ruskin's elevation of ornamentation to a principal part of architecture creates a crisis of identity for the latter. Architecture is, according to a pervasive Western tradition, what transcends building. For instance, "when a thing responds to a need," Le Corbusier proclaimed, "it is not beautiful; .... Architecture has another meaning and other ends to pursue than showing construction and responding to needs."[4] From Le Corbusier's text we may trace our steps through virtually every major, influential treatise on architecture back to Virtruvius' triad "commodity, Firmness, and Delight," or forward to Venturi and Scott Brown's reiteration of it, to find in each instance the same emphasis on the beautiful as the condition of the elevation of building to architecture. Without "delight," there is building, but not architecture. Architecture is synonymous with aesthetics and beauty.

Over time, the proposed ways and mean of rendering a building beautiful have been as diverse and varied as the cultural and paradigm shifts they reflect. Nevertheless, there is remarkable consensus, in principle, on what constitutes the beautiful. Alberti set the foundation when he proposed to follow "the opinion of Socrates" and define beauty to be that to which "nothing could be added, diminished or altered, but for the worse."[5] The beautiful is, in principle, self-sufficient, and complete. It gathers itself all in one place. Its borderlines cannot be breached. It is neither missing a part to require addition, nor does it have anything extra to require subtraction. Attachment to or detachment from the beautiful is tantamount to its loss and destruction.

Alberti's definition of the beautiful has been principally and consistently upheld by the succeeding generation of architectural theoreticians. It is precisely in reference to this pervasive understanding of the beautiful that the question of ornamentation has assumed a critical dimension in theoretical discourse on architecture. It is also precisely in reference to this definition that Ruskin's equation of ornamentation to a principal part of architecture has been viewed as absurdly comic and/or sadly tragic.

Although Ruskin is purported to have lost sight of ornament's place in architecture, with dire consequences, the difference between him and his opponents have been greatly exaggerated. Ruskin and his opponents differ only over where to place ornament, and not over the adamant need to place and control ornament. Ruskin's attempt to subsume ornament within architecture was in part a strategic move to exert greater control over ornament in hope of overcoming the inconsistencies and paradoxes in those aesthetic theories that choose the path of marginalization or exclusion of ornamentation.

Elsewhere, I have discussed the problems and paradoxes of ornamentation's marginalization and exclusion.[6] Here, I wish to critically examine Ruskin's alternative path of inclusion and domestication of ornamentation. My intent is not to argue for or against ornament. I am not certain one is afforded this choice, even though one may readily and customarily exercise it. Rather, I am interested in the reasons for the preoccupation with ornamentation. The question for me is why ornament, which is not even a thing, but a role that can be assumed by virtually anything, has managed to stir so much passion and controversy in theoretical discourse on architecture. Why placing ornament, placing and positioning oneself with respect to it, has been of central concern within this discourse, so far sketched with broad stokes?

II.

The fact is, Ruskin boldly notes, by way of clarifying his position on ornamentation:

> … that a noble building never has any extraneous or superfluous ornaments; that all its parts are necessary to its loveliness, and that no single atom of them could be removed without harm to

> its life, … And I use the words ornament and beauty interchangeably, in order that architects may understand this: I assume that their building is to be a perfect creature capable of nothing less than it has, and needing nothing more.[7]

Ruskin keeps well within the bounds of tradition in assuming that architecture's objective is a *perfect* creature that requires nothing less than it has and is able to accept nothing more without loss, i.e., without ceasing to be autonomous and singular. However, refuting the traditional distinction between beauty and ornament as a misunderstanding of the limits of the architecture's domain, i.e., of what falls inside or outside it, Ruskin effectively re-positions or re-draws these limits to incorporate ornament as an interchangeable word for beauty. He re-proposes the distinction between things that fall inside or outside architecture as one appropriately made between two kinds of ornament: the "inner" or the "only true kind" that is conducive to beauty and the outward or untrue kind that is extraneous and dispensable. In other words, despite its internalization as another word for beauty, a certain *kind* of ornament remains extraneous. "It is of curtains, pictures, statues, or else things that may be taken away from the building and not hurt it," i.e., things that fall outside and are as such unrelated and unnecessary to architecture's "inner loveliness." Curtains, paintings, statues and other similar ornaments are not, however, as we shall see later, inherently extraneous. Within limits that are yet to be defined, placed or drawn, each could be an inner ornament and integral to the beauty of the building. To define these limits and clearly draw the line separating the inner from the outer, the inside from the outside of architecture - we need first and foremost "to determine a matter of very essential importance, namely, what *is* or is *not* ornament" which is also to ask and determine what is or is not beauty, and therefore what is or is not architecture.

Art, "generally, as such," Ruskin tells us, "with all its technicalities, difficulties, and particular ends, is nothing but a noble and expressive language, invaluable as the vehicle of thought, but by itself nothing."[8] Assuming a distinct hierarchy between "language" and "thought," i.e., between the "technical" or the "constructive" and the "reflective" or the "imaginative," in "all our speculations on art" - Ruskin goes on to set the ground rule - "language is thus to be distinguished, and held subordinate to, that which it conveys."[9] This implies that in the "outset of all inquiry" into the subject of architecture, it is "very necessary" to "distinguish carefully between architecture and building."[10] The name Architecture must be "confined" to that "art" which has "building" as "condition of its working" and as condition of elevation to *art* "impresses on its form certain characters venerable or beautiful, but otherwise unnecessary," i.e., "unnecessary" or "useless," "in the well understood and usual sense, as meaning, inapplicable to the service of the Body."[11] This unnecessary or useless addition is the ornamentation without which there is no architecture.

Ruskin's distinction between architecture and building, adamant as it is, has many precedents. What is different here is the radical nature of the divide between architecture and building, and Ruskin's exclusive focus on those ideas or "characters venerable or beautiful, but otherwise unnecessary" that transform buildings into architecture. He divides these into two broad classes: the one "characterized by an exceeding preciousness and delicacy, to which we recur with a sense of affectionate admiration;" and the other "by a severe, and in many cases, mysterious, majesty, which we remember with an undiminished sense of awe, like that felt at the presence and operation of some great Spiritual Power."[12] The difference between these two impressions, Ruskin warns us:

> … is not merely that which there is in nature between things beautiful and sublime. It is, also, the difference between what is derivative and original in man's work; for whatever is in architecture fair or beautiful is imitated from natural forms; and what is not so derived, but depends for its dignity upon arrangement and government received from human mind, becomes the expression of the power that mind, and receives a sublimity high in proportion to the power expressed. All buildings, therefore, shows man either as gathering or governing: and the secrets of his success are his knowing what to gather, and how to rule. These are the two great intellectual Lamps of Architecture; the one consisting in a just and humble veneration for the works of God upon the earth, and the other in an understanding of the dominion over those works which has been vested in man.[13]

The beautiful that is always gathered and imitated – we will return to the question of governance later - has to do with certain outward qualities, of certain *forms* and *colors*, i.e., ornaments, the simple contemplation of which gives us pleasure. The "feeling of mankind on this subject," by "the simple will of the Deity," is

"universal and instinctive."[14] Hence, Ruskin tells us that the "impressions of beauty" are "neither sensual nor intellectual, but moral."[15] They are *moral* because, "these common and general sources of pleasure are, I believe, a certain seal, or impress of divine work and character, upon whatever God has wrought in all the world."[16] Therefore, "men," despising "all that is not of God, unless reminding it of God," are to attempt the "noble rendering of images of beauty, derived chiefly from the external appearance of organic nature" in all the visual arts, inclusive of architecture.[17]

Therefore, Ruskin goes on to conclude, "the proper material of ornament will be whatever God has created; and its proper treatment, that which seems in accordance with or symbolic of His laws."[18] For instance, "all perfectly beautiful forms," i.e., all forms inwardly ornamental, Ruskin tells us, "must be composed of curves"[19] because "every curve divides itself infinitely by its change of direction," displaying the "seal" or "impress" of that "divine character" or "attribute" it is ordained to bear: "infinity."[20] The ugly is, in turn, simply any form that does not bear the "seal, or impress of divine work and character."

Ruskin's fusion of aesthetics and theology is both overt and forceful. Ruskin Scholars broadly contribute this fusion to his deep-seated religious convictions.[21] Ruskin is, of course, quite candid on the subject. However, it is important to note that the fusion of aesthetics and theology in architecture has a long history. It begins well before and continues well after Ruskin. Theoretical speculations of Pugin, Boulleé, Laugier, Wotton, Palladio and Alberti from one end of the spectrum to Sullivan, Wright, and Le Corbusier on the other, are just a few examples. There must be, in other words, more to this story than the strong religious convictions of any one individual.

Theoretical and aesthetic speculations on architecture are, historically, if not per force, both prescriptive and proscriptive. They impose distinct boundaries. They seek to delimit the practice of architecture, in each instance, to the one mode or style particularly arranged to embody and promote the worldview of the culture articulating the theory through the author and/or the architect. This delimitation is accomplished, and perhaps it can only be accomplished, in the name of beauty and truth, rather than ulterior - cultural, social, or political – motives. It is presented to be not arbitrarily, but following "immutable laws." The power of exclusion that is imperative to the delimitation of practice mandates this transformation of culture into nature and the variable into the invariable. In other words, universalizing the particular with recourse to theology and thereby disguising culture as nature is not a choice that can be readily avoided, given the intended purpose of the enterprise. For instance, what Ruskin propagates as an aesthetic architecture - Venetian or High Victorian Gothic – indubitably reflects the cultural and historic context within which it was formed. However, placing the weight of his authority to prescribe this and proscribe other modes of design on a divine ordinance has a strategic utility in excess of his particular religious convictions. He prescribes curvilinear forms not because they had, as they did, a particular meaning to a particular culture at a distinct point in time, but because they bear the seal, or impress of a divine character, truly, naturally, exclusively, and eternally.

The beautiful has no overt place in the vagaries of the cultural domain for another important reason. In language, which Ruskin proposes art and architecture to be, there is no positive term, no original event and no autonomous element. Difference and deferral constitute the identity, or what is not absolutely different, the non-identity of every element. In language, nothing simply is what it is, immutable and present. A "perfect creature capable of nothing less than it has, and needing nothing more," i.e., a creature that is self-referential and autonomous has no place in language. This immutable creature may only emerge and find shelter on a theological domain, i.e., the domain of simple presences, clear origins, and explicit hierarchies. So long as one conceives and defines the objective of architecture as a perfect creature capable of nothing less than it has, and needing nothing more, one has little choice but resort to and place architecture within a theological frame. Placing and securing beauty's place within this frame is not, however, without considerable difficulties.

Keeping in mind that in architecture each ornament is "an expression of a beautiful thought," that is, the thoughts or divine attributes impressed and sealed on natural forms of frequent occurrence, Ruskin asks us to:

> .... consider for an instant what would be the effect of continually repeating an expression of a beautiful thought to any other of the senses at times when the mind could not address that sense to the understanding of it. Suppose that in time of serious occupation, of stern business, a companion should repeat in our ears continually some favorite passage of poetry, over and over again all day long.[22]

The effect "at the end of the day," Ruskin tells us, is that "the entire meaning of the passage would be dead to us" leaving behind only a *sickening* and *wearisome* form or rather "no form" because here form is to be disallowed the name without meaning or thought. Repetition incurs a loss. A loss not only of meaning, but also of form, and "it is the same with every other form of definite thought:"

> Apply this to expressions of thought received by the eye. Remember that the eye is at your mercy more than the ear. "The eye it cannot choose but see" … Now if you present lovely forms to it when it cannot call the mind to help it in its work, and among objects of vulgar use and unhappy position, you will neither please the eye nor elevate the vulgar object. But you will fill and weary the eye with the beautiful form, and you will infect that form itself with the vulgarity of the thing to which you have violently attached it. It will never be of much use to you any more; you have killed or defiled it; its freshness and purity are gone.[23]

The place of ornament has thus everything to do with its life or worth conceived and defined as the presence of "meaning" or "definite thought" in form. Placed in the company of vulgar objects - conceived as a violent gesture - or in places of "active and occupied life," where no aid could be received from the mind, ornament loses its freshness, purity, "sharpness" and "clearness." It is infected, defiled, killed and destroyed forever.

> Hence then a general law, of singular importance in the present day, a law of simple common sense, - not to decorate things belonging to purposes of active and occupied life. Wherever you can rest, there decorate; where rest is forbidden, so is beauty.[24]

The determination of what *is* or what is *not* the place of ornament follows, not accidentally, the application of one and the same test determining what is or is not *true* ornament: the presence vs. the absence of "meaning" or "definite thought." Where meaning can be perceived that *is* the place for ornament. Where ornament's meaning is killed or defiled that is *not*. Contrary to common practice, for instance, ornaments that "adorn temples and beautify kings' palaces" have no place on "a tradesman's sign nor shelf nor counter in all the streets of all our cities."[25] There - all socio-political implications and all socio-political lines and limits at stake withstanding - Ruskin tells us, "absolutely valueless - utterly without the power of giving pleasure, they only satiate the eye, and vulgarize their own forms.[26]

Hence, that "general law" of "singular importance" that is to end vulgarity and violence, on the one hand, and the absolute loss of value and aesthetic pleasure, on the other. This is not only because, we should note, misplacement here constitutes a negation, but also because the misplaced cannot be contained within that place as a simple negation. True ornaments, misplaced, do not only satiate the eye, lose their meaning, purity, life and value, but in so doing they also, as a matter of "singular importance," vulgarize their own forms. Of the ornaments "violently attached," for instance to the signs, shelves or counters of tradesmen, Ruskin writes, "many of these are in themselves thoroughly good copies of fine things, which things themselves we shall never, in consequence, enjoy any more."[27]

The consequence of misplacement is not a simple inability to read a "beautiful thought" at a given time or place. Rather, it is the impossibility of reading, if not always already, at least thereafter at any time or in any place. Once violently attached anywhere but its place, ornament can never be enjoyed any more or in any place. Misplaced, ornament is forever displaced - dispossessed of its meaning in every place. Placed outside its place, i.e., outside the limits protective, if not productive of its meaning, what ornament loses is not only its place inside but the very possibility of being placed inside (limits). This passage is the passage of limits, leaving a violated, vulgarized, valueless form or "no form" inside and outside. It is a death or an absence that is not, can no longer be conceived, the opposite of life or presence still in place but the impossibility of both in every place.

What is the condition of this possibility or impossibility? How can the *good* copy destroy the original? How can a form whose power to please was said from the outset to be owing to the "written or sealed impression" it bears of divine attributes be denied that power inside or outside its place? In sum, why the very question of place?

To appear or be read as what it indeed is - a meaning-full or a formed form - ornament, Ruskin tells us, must be placed - retained - in its place. The condition of this possibility is the impossibility of the form ornament is desired to be - the written or sealed impression of a beautiful thought - in its place or any place. The meaning of ornament, i.e., its reading as form(ed), could only be said to depend on its place - formed in one, de-formed

in another - if this form did not precede its place or its reading in place as the form of a seal or an impress, if there was no *place* where ornament appeared formed or, for that matter, where it did not appear informed by its place or placement. The good copy, misplaced, could only deprive the original of its value if that value was not intrinsic but construed in place. That ornament must forgo the possibility of bearing the form of a seal in every place in order to appear or be read as the form of a seal in its place is precisely what the misplaced ornament points to. If Ruskin finds it impossible to enjoy ornament, once it is misplaced, any more or in any place, if he can no longer read it as the written or sealed impression of a beautiful thought in any place, that is precisely because the misplaced, the very possibility of misplacement, which is also the very possibility of placement - the possibility of dependence of meaning on place or placement - displaces the relationship between meaning and form, conceived and read as a seal or an impress, always already. Misplaced, ornament fractures its own seal, exposing a gap in its place between form and meaning, which Ruskin confessedly can never re-seal. It points to its reading, if not reading in general, as a matter of place or placement and to the latter as a form, always already, of misplacement, if, of course, misplacement here is to imply a reading that is conditioned by its place or placement - a reading that marks a violence and vulgarity that must always have befallen placement already as the condition of possibility of reading form as (de)form(ed). So long as form could be misplaced, so long, that is, as the reading of form is dependent on its place, every place is the missing/missed place of the desired seal.

Therefore, where the misplaced or rather the possibility of (mis)placement leads Ruskin is, in a manner, his point of departure and what it leaves him is what he had to start with: a displaced form or a form with "no form." This is no *form* for which Ruskin has or could have an allotted place. This is no form which in order to be read, to give itself to a particular reading, be this as a true or a false form, a living or a dead form, a pure or a violated form, need not have been placed - as within a frame - and this is only in the absence of a place or any place for reading that does not always point to a placement already.

Therefore, to read the ornamental form as the written or sealed impression of a beautiful thought, which is a reading, we should note, already placed within a theological frame as the condition of its possibility, Ruskin must again place and then insist on the placement of the ornamental form in its place - the place of rest - for fear of the misplaced. This place, however, provides no relief. It provides neither simply a background nor a protective shield against which or within which the ornamental form can give its form to reading as the form of a seal, pure and simple. What this place provides, it denies in one and the same gesture. If it marks the place where ornament appears sealed, it also marks the place of its disappearance as sealed. It gives to the ornamental form what the form lacks without its protective limits and it gives precisely because the form lacks. It adds and fills only to expose a gap. It intervenes and does only to construe from outside the seal that is desired to have come from inside and the seal that then appears to have come from inside. As such, ornament in its place - the place of rest - has, in a manner, no place. It is neither in place nor out of place. It is neither protected nor exposed, but both in one and the same place. It is at once placed, misplaced, and displaced. Where then to place ornament? Where indeed is ornament's place? Where is the place in the place of rest where the desired seal falls in place or, for that matter, out of place? Where to locate ornament its desired place indeterminable - here or there - in its place - the place of rest? The answer - the very possibility of providing an answer - as we may expect, requires still further placement and/or displacement. It requires further separation, distinction and opposition on two sides of a line called to place in what amounts to a perpetual placement in search of the ever missing/missed place. This time at the limits of the domain of architecture, on two sides of the line that was said to separate what falls inside architecture as "inner" and "true" ornamentation from what falls outside it as "outward" or "superfluous" decoration. Ruskin tells us:

> If to produce a good or beautiful ornament, it were only necessary to produce a perfect piece of sculpture, and if a well cut group of flowers or animals were indeed an ornament wherever it might be placed, the work of architect would be comparatively easy. Sculpture and architecture would become separate arts; and the architect would order so many pieces of such subject and size as he needed, ... But this is not so. *No perfect piece either of painting or sculpture is an architectural ornament at all*, except in that vague sense in which any beautiful thing is said to ornament the place it is in. Thus we may say that pictures ornament a room; but we should not thank an architect who told us that his design, to be complete, required a Titian to be put in one corner of it, and a Velasquez in the other; and it is just as unreasonable to call perfect sculpture, niched in, or encrusted on a building, a portion of the ornament of that building, as it would be to hang pictures by the way of ornament on the outside of it.[28]

No *beautiful thing*, therefore, is an ornament in anything but a vague sense, if in its place, the place of rest, it is *wherever* that it might be placed. A *good* or a *beautiful* ornament, which is, appears, and is read as such in its place, is one and only one that in the place of rest has or could be assigned a specific place. To this place, the place of ornament in its place, however, there is first a condition to admission. No perfect ornament can be allowed in as an architectural ornament. Perfection places ornament outside the domain of architecture as decoration "outward" or "superfluous." As to what may allow ornament in, Ruskin tells us:

> The especial condition of true ornament is, that it be beautiful in its place, and nowhere else, and that it aid the effect of every portion of the building over which it has influence; that it does not, by its richness, make other parts bald, or, by its delicacy, make other parts coarse. Every one of its qualities has reference to its place and use: *and it is fitted for its service by what would be faults and deficiencies if it had no especial duty*. Ornament, the servant, is often formal, where sculpture, the master, would have been free; the servant is often silent where the master would have been eloquent; …[29]

The place of ornament in its place, which is the only place where it might appear beautiful, is a place marked by deficiency and fault, and there the condition of ornament's admission is imperfection. The objective here, i.e., the very point of ornamentation or ornamental addition to architecture, is, we should recall, to create "a perfect creature capable of nothing less than it has, and needing nothing more." Where ornament that is inner and true fits in its place is at that borderline between the capacity for nothing less and the need for nothing more - the line bordering the perfect. Where ornament fits is where it adds to complete as a part to a self-enclosing, self-perfecting chain of imperfect parts. Admitting ornament on the condition of imperfection, Ruskin makes virtue of a vice. Whereas the perfect ornament is tied to no specific place, which is to say that it could always be misplaced and as such displaced, to the imperfect ornament every place is a missed place, unless it is in the only place from where it cannot be misplaced. This is the only place that excludes the possibility of misplacement in being the one and only place where the imperfect appears as a good or beautiful form or what amounts to same, where it does not appear as what it is outside that place - bad and ugly. This then is the place of ornament inner and true in its place. A "most difficult question," however, remains. Where to locate the parameters of this place or rather within what parameters to place this place: the place of deficiency and fault fitted with imperfection in the place of rest? What to define as deficiency or fault and what to admit in as imperfection? Where to draw the line between the master and the servant, the perfect and the imperfect, the "inner" ornamentation and the "superfluous" decoration? The answer lies in "abstraction."

Architecture, Ruskin tells us, "delights in abstraction and fears to complete her forms."[30] These are the forms architecture borrows or imitates from natural forms of frequent occurrence. Architecture fears completion, however, not because completion or full realization of the imitated form is always "wrong" or that perfect sculpture may not "be made a part of severest architecture," but because "this perfection" is "dangerous."[31]

> It is so in the highest degree; for the moment the architect allows himself to dwell on the imitated portions, there is a chance of his losing sight of the duty of ornament, of its business as a part of the composition, and sacrificing its points of shade and effect to the delight of delicate carving. And then he is lost. His architecture has become a mere framework for the setting of delicate sculpture, which had better be all taken down and put into cabinets.[32]

The perfect form may step out of its place or appear to step into it as a work of art into a frame. This is the danger, in the highest degree. In the presence of the perfectly imitated form, one may readily lose sight of architecture as a work of art, and let it become a mere frame. It is against this danger that abstraction is meant to guard, for the sake of ornament's fit in its place, here, by definition, at the line separating architecture as a work of art from a mere frame.

> The question is first to be clearly determined whether the architecture is a frame for the sculpture, or the sculpture an ornament of the architecture. If the latter, then the first office of that sculpture is not to represent the things it imitates, but to gather out of them those arrangement of form which shall be pleasing to the eye in their intended places. So soon as agreeable lines and points of shade have been added to the mouldings which were meager, or to the lights which were unrelieved, the architectural work of the imitation is accomplished; and how far it shall be wrought towards completeness or not, will depend upon its place, and upon other various circumstances.[33]

Before ornamentation or ornamental addition, there must be a clear determination of what architecture is or what it ought to be: a work of art or a mere frame, the master or the servant. This is a determination, we should note, which at once presupposes and seeks to maintain a clear distinction between the work of art and the mere frame, as the master to the servant.

Where are we to find or locate this distinction and there what are we to mark as the work of art and what to leave out as a mere frame? If anywhere, it is, as Ruskin points the way, to the place of ornament in its place that we must turn in search of an answer and there we must make the determination. The place we must turn to, however, could we have ever left it, is the place of danger, in the highest degree. It is a place that is neither clear nor distinct. It is a place where, before ornamentation or ornamental insertion, the work of art as the master and the mere frame as the servant are merged as one, which is also to say none. This is where what is neither a master nor a servant emerges as one or the other only after ornamentation, depending on the ornamentation. What we find in this place, if we can find our way in or around it, is neither the master nor the servant, but both and neither awaiting an imitated form which itself, by itself, is neither free nor enslaved. This is a dangerous indeterminate form that can free or enslave the building as a work of art or a mere frame. It is a dangerous form precisely because it is indeterminate, because it is not nor can it be readily reduced to one thing or another, a master or a servant, and as such placed and kept clearly in one place or the other, inside architecture as a work of art or outside architecture as a mere frame, without losing one or the other, which is to say, losing the distinction altogether. Also, this is a form whose indetermination - its ability to be the master *and* the servant and its inability to be, or be reduced to the one *or* the other - is the condition of the possibility of the work art and the mere frame conceived, conceivable as an opposition only after ornamentation, and yet on whose determination and reduction to one thing or the other, the master or the servant, here or there, depends not only the clarity of the distinction between architecture as a work of art and the mere frame, but at that also a clear hold on the line separating the inside from the outside, and what is from what is not, architecture, beauty and perfection. In a manner, the authority of this entire discourse on architecture, on what is or is not, what falls within or outside architecture as a work of art depends on its authority over the imitated form, and its ability to reduce it to a servant inside *or* a master outside, clearly and simply. Hence:

> Lose your authority over it, let it command you, or lead you, or dictate to you in any wise, and it is an offence, an encumbrance, and a dishonor. And it is always ready to do this; wild to get the bit in its teeth, and rush forth on its own device. Measure, therefore, your strength; and as long as there is no chance of mutiny, add soldier to soldier, battalion to battalion; but be assured that all are heartily in the cause, and that there is not one of whose position you are ignorant, or whose service you could spare.[34]

Soldier to soldier and battalion to battalion we must add in the cause of architecture, beauty, and perfection, to make certain there is no chance of mutiny, i.e., no chance of the servant becoming the master and architecture a mere frame. We must be certain of our strength and control over the ornamental insertion not to let it lead us, inevitably, to that "dusky debatable land" which this dangerous form is always ready to lead us, and wild to command and take us. This is the place where the work of art and the mere frame become one and the same and "each and all vanish into gloom" for want of a clear line or limit.

How are we to exclude the chance of mutiny from within the parameters that define architecture as a work of art? How are we to guard against the ever-present possibility of losing authority, command or lead over the imitated form always ready to rush forth on its own devices from its place within architecture as a servant? This is the chance or danger of mutiny that architecture always faces from within its parameters, to the authority and clarity of those parameters, and not from outside where the imitated form may be allowed the position of the master, as in a cabinet or a frame, so long as the work of art and the frame appear clearly distinct and easily detachable. The possibility of commanding and leading ornament to its place - the place of servitude - the possibility, that is, of reducing ornament to a servant within architecture, lies somewhere in between complete abstraction and full realization of the imitated form. However, neither the two extremes nor the various degrees of realization in between, in and by themselves, present or exclude the chance of mutiny. The line separating ornamentation "inner" and "true" from decoration "outward" and "superfluous," resides not in between complete abstraction and full realization but in between the presence and the absence of a clear expression of servitude or subordination of which a fully realized form is not capable, while anything less, depending "upon its place, and upon other various circumstances" is. The question, in other words, insofar as

the line between what is and what is not architecture, between what falls inside it as ornament inner and true and what falls outside it as ornament outward and superfluous, is a question not of abstraction or full realization per say, but of the place and the circumstances within which the imitated form may express its subordination simply and clearly. A question of:

> How far this subordination is in different situations to be expressed, or how far it may be surrendered, and ornament, the servant, be permitted to have independent will; and by what means the subordination is best to be expressed when it is required, …[35]

A question, Ruskin tells us, that is "by far the most difficult question I have ever tried to work out respecting any branch of art." This is a most difficult question, we should note, only in so long as the desired answer is a precise line, a distinct place and a clear expression of subordination from a form that does not easily submit itself to the determination of its being and place as what is *or* is not, inside *or* outside of architecture and this is in spite of Ruskin's best constructive efforts. What has been and remains clear to Ruskin is that for buildings to become architecture, there is a need for ornamentation or ornamental addition of forms expressive of divine attributes impressed and sealed on natural forms of frequent occurrence, as such only in the place of rest, and there only in a specific place as a part in proportion to a perfect whole, and in that specific place only in a clearly subordinate position. The only thing that is not clear or is the most difficult question in this successive placement of limits within limits around the ornamental form is the ways and means of determining the place, the circumstances or the limits within which the ornamental form, which is synonymous with architecture, may be confined and controlled. These are the limits that may limit the movement of the ornamental form, giving it no chance or possibility of crossing beyond and as such to that dusky debatable land from which Ruskin has sought architecture refuge through ornamentation or ornamental addition for the clarity of distinction between architecture as a work of art and the mere frame. These are the limits of architecture itself. The limits indistinct before ornamentation and limits over which command and control remain most difficult questions after ornamentation.

Therefore, having made every effort to determine the place of ornament and the circumstances surrounding its addition to architecture, Ruskin finds himself in the end, as many of his predecessors did before him, at the border of architecture and there or rather somewhere in between the inside and the outside of the work of art, in between the work and the mere frame, confronted not with the clear line or limit which he, as his predecessors before, had assumed to find there, but instead with a most difficult question. The question, at the risk of repetition, of the place of ornament inside or outside the work of art pending the distinction and to that end the location of the missing borderline, the condition of the possibility of which is itself ornamentation. The question of the place of ornament found not on the sides, but at the border, as the border, irreducible there to a line, irremovable there to the sides, in a dusky debatable land from where ornament at once is the condition of the possibility of departure and the impossibility of exit.

There is in this predicament, however, a notable difference between Ruskin and his predecessors. Whereas the theoreticians of the Renaissance and the Enlightenment made every effort to place and keep ornament outside the place of beauty and perfection as a mere frame, only to find it intrude on the border from its assigned place out, Ruskin, having made every effort to find ornament a specific place inside the place of beauty and perfection in architecture, finds it very difficult to keep ornament from protruding on the border from its assigned place inside. In either case, however, we should note, the difficulty encountered in achieving the desired effect is not so much one inherent to ornamentation, conceived and placed differently in each instance, as it is a difficulty encountered in every search for a place with defined or definable limits within which beauty may appear as an autonomous, self-referential entity in need of neither addition nor subtraction. The difficulty, in other words, is not ornamentation, rather one named by ornamentation. The problem is the ever-elusive architecture itself. It is that "perfect creature capable of nothing less than it has, and needing nothing more" which only appears placed within successive frames, each of which is put in place to overcome the perpetual dependence of the beautiful on place and placement.

III.

In the preceding discussions, my intent has not been to point out inconsistencies or contradictions in Ruskin's aesthetic theory per se, much less attribute these to his deeply felt religious convictions. I do not see Ruskin as having somehow failed to effectively address and resolve the problem of ornamentation. I do not presume that

a stouter critic may somehow overcome the obstacles he faced and succeed in curbing and placing ornament in its place. To the contrary, I have tried to point out how thorough and systematic Ruskin's argumentations are and why the problems he faces are endemic to the theoretical enterprise and not merely a reflection of personal failings or inconsistencies.

The difficulties Ruskin faces are endemic because, concerned as theoretical speculations on architecture are with the place and the placing of architecture's borderlines, the borderlines themselves are presumed to precede speculation over their place. Ruskin's is a case in point. If architecture's borders were a given, however, speculation over their place would be at best redundant. Though architecture is presumed to precede theory, from a certain vantage point, there is no architecture before theoretical addition, supplementation, and/or ornamentation.

To design is to face multiple possibilities and no ground for the delimitation of formal options. The functions of an edifice suggest no one form and much less a direction. In deference to biological needs, function is nebulous and multi-directional. However, it assumes a trajectory and becomes highly prescriptive, when it is appropriated by culture and transformed into a ritual. Though by no means singular, a ritual is distinct and unidirectional. It has unique spatial requirements. It demands a specific setting. It is this and similar prescriptive cultural appropriations that make architecture possible.

The relationship between architecture and culture is neither passive nor neutral. Architecture, dependent as it is on cultural appropriation, transforms the body of beliefs, views, and ideas that shape it into a factual, lived experience of them. A culture's view of the world and its experience of the world are synthesized and turned into mirror images of each other through architecture and the rituals it shelters. Through architecture, metaphysics assumes the aura of physics and culture the guise of nature. There is, therefore, much at stake in appropriating, delimiting, and controlling architecture. Much is at stake, regarding a culture's power and authority, in fabricating a world that persuasively bears witness to assumptions about it.

The primary medium of cultural appropriation and delimitation of architecture is architectural theory in its various guises.[36] Focused as it is on the place and the placing of parameters around architecture, theory's power to delimit, much as it's authority to exclude is vested in aesthetics. In turn, the considerable power and authority of the beautiful, in whose name Western culture has variously shaped and controlled Western architecture for much of its history, is founded on a metaphysics that presumes the ideals that it sums up in a word – full-presence, truth, authenticity, origin, autonomy, etc – as a given, a ground, a foundation, before their negation and complication in the figure of beauty's nemesis: the ugly. The persistently stated desire for beauty in architecture is a double take. It frames, shapes, and controls architecture and it uses architecture to effectively realize, evidence and validate the ideals subsumed under the name beauty.

The only, and at that the all-consuming problem is that the autonomy, singularity, and originality on which depends the power and the authority of the beautiful never appears un-appended, un-supplemented, unframed. The beautiful does not appear without ornamentation, i.e., without the introduction and construction of a borderline that separates and delimits the beautiful. This borderline is neither internal nor external to the body beautiful. It can neither be subsumed within it nor detached from it. It is also not a thing. The measure of the beautiful is the ornamental and visa versa. It is only by identifying the ornamental, by separating the additional from the essential that the principal and the peripheral are both made to appear as such. The border of the beautiful is never there. There is no ornament. There is only ornamentation perpetually construing the border of the beautiful.

What might accept "neither addition, nor subtraction without loss," must accept an addition that is neither internal nor external to it. This is the problem and the paradox of ornamentation that neither inclusion nor exclusion of the ornamental can overcome. This is, however, a problem and a paradox only insofar as one wishes to sustain the power and the authority to exclude and delimit in the name of the beautiful, i.e., the power and authority to control architecture. Hence, the preoccupation with the place and placing of ornamentation, with its marginalization or domestication, if only to sustain the pervasive and persuasive illusion of architecture as an autonomous aesthetic object, self-governing, self-regulating, and self-imposing.

Notes

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[1] Nikolaus Pevsner, Pioneers of Modern Design [1936] (New York: Penguin Books, 1986), p. 19

[2] John Unrau, Looking At Architecture With Ruskin (Toronto: University of Toronto Press, 1978), p. 65

[3] Leone Battista Alberti, Ten Books on Architecture [c.1450], 1755 Leoni Edition, (New York: Transatlantic Arts Inc., 1966), p. 113. See also Leone Battista Alberti, Ten Books on Architecture, Joseph Rykwert, Neil Leach, and Robert Tavernor, trans. (Cambridge: The MIT Press, 1988), p. 157

[4] Le Corbusier Towards a New Architecture, Frederick Etchells ed. (New York: Holt, Rinehart and Winston, 1960), pp. 102-103

[5] Leone Battista Alberti, Ten Books on Architecture, p.113.

[6] See: On The Exorcise of Theory, Architectural Theory Review, Sydney, Vol. 4, No. 1, April 1999, pp. 8-19, and Writing On, The Margins Of Architecture, Art History, the International Journal of the Association of Art Historians, London, vol. 16, no. 2, 1993, pp. 336-348.

[7] John Ruskin, The Stones of Venice, vol.1 (New York: J. Wiley, 1885), p. 400

[8] John Ruskin, *Modern Painters*, vol.1, (London: John Wiley & Son, 1855), p. 8.

[9] Ibid.

[10] John Ruskin, The Seven Lamps of Architecture [1849] (New York: Farrar, Straus and Giroux, 1979), pp. 15-16.

[11] Ruskin, The Stones of Venice, p. 399.

[12] Ruskin, The Seven Lamps of Architecture, p. 70.

[13] Ibid, pp. 70-71

[14] Ruskin, Modern *Painters*, vol.1, p. 27.

[15] Ibid, p. 11.

[16] Ibid, p. 24.

[17] Ibid, p. 17.

[18] Ruskin, The Stones of Venice, pp. 219-220

[19] Ruskin, The Seven Lamps of Architecture, p. 104

[20] John Ruskin, *Modern Painters*, vol.2, (London: John Wiley & Son, 1855), p. 45

[21] See Kristine Ottesen Garrigan, Ruskin On Architecture: His Thought And Influence (Madison: University of Wisconsin Press, 1973), pp.137-210; Frederick Kirchhoff, John Ruskin (Boston: Twayne Publishers, 1984), pp. 41-60; George P. Landow, The Aesthetic and Critical Theories of John Ruskin (Princeton: Princeton University Press, 1971), pp. 81-84, 135-37, 147-50, 162-63, 243-65; George P. Landow, Ruskin (Oxford: Oxford University Press, 1985), pp. 10, 40, 48; Paul L. Sawyer, Ruskin's Poetic Argument, The Design of the Major Works (Ithaca: Cornell University Press, 1985), pp. 84-85; John Unrau, Looking At Architecture With Ruskin (Toronto: University of Toronto Press,1978), p. 50; Gary Wihl, Ruskin And The Rhetoric Of Infallibility (New Haven: Yale University Press, 1985) 168-82. Also see Dinah Birch, Ruskin's myths (Oxford: Oxford University Press, 1988); Susan P. Casteras, John Ruskin and the Victorian eye (New York: Harry N. Abrams, 1993); Sheila Emerson, Ruskin: the genesis of invention (Cambridge: Cambridge University Press, 1993); C. Stephen Finley, Nature's Covenant: Figures of Landscape in Ruskin (University Park: Pennsylvania State University Press, 1992); Elizabeth K. Helsinger, Ruskin and the art of the beholder (Cambridge: Harvard University Press, 1982); Robert Hewison, New approaches to Ruskin (London: Routledge & Kegan Paul, 1981); Robert Hewison, John Ruskin : the argument of the eye (Princeton: Princeton University Press, 1976).

[22] Ruskin, The Seven Lamps of Architecture, pp. 113-114.

[23] Ibid, p. 114.

[24] Ibid, p. 115.

[25] Ibid.

[26] Ibid.

[27] Ibid.

[28] Ruskin, The Stones of Venice, p.236.

[29] Ibid.

[30] Ruskin, The Seven Lamps of Architecture, p. 120.

[31] Ibid, p. 130

[32] Ibid.

[33] Ibid, p. 127

[34] Ruskin, The Stones of Venice, p. 256-257

[35] Ibid, pp. 236-237

[36] A building used as a model or precedent is as much a theoretical construct as any text labeled theoretical.

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On the Figure of the Digital in the Space of Ideation

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Abstract

The ongoing debate over the place and role of the digital media in architecture is, in many respects, an extension of the debate over mechanical fabrication and reproduction that began over a century and a half ago. That debate did not end. Neither the various attempts then to deprecate and exclude mechanical reproduction, nor the various attempts to include and domesticate the media were in the end successful in warding off the ideational challenges that instigated the reactions. The potential lessons of that historic debate are what I wish to explore through a close analysis of Ruskin and Wright's ostensibly opposite stances on mechanical fabrication and reproduction.

Neither Ruskin's rejection of the machine, nor Wright's attempt at domestication of the machine in the end succeeded to safeguard the originality, authenticity, and immediacy they both sought in fabrication. This was not due to any fault of the machine. Rather the problem was and remains today the impossibility of the idealized concept of production predicated on an indivisible bond between an animating intention and an animated form. The mechanical then and the digital now are merely forceful reminders of this impossibility. They merely resist various inclusionary and/or exclusionary attempts at their ideological appropriation.

I.

Whether the digital media should assume an additive role and take a place alongside traditional modes of re/production in architecture or displace and supplant those, and what the exact ramifications of this displacement may be have proven themselves contentious questions that readily divide and polarize the parties to the debate rather than lead to consensus. This is owed to both the unique challenges of the digital media and the extent to which these challenges are intertwined with broader cultural and ideational trepidations about representation, reproduction, duplication, and imitation. It is this broader cultural and historical context to the current debate that I wish to focus on in this essay.

The current debate over digital re/production is, in many respects, an extension of the debate over mechanical re/production that began over a century and half ago. That debate did not end. Neither the various attempts then to deprecate and exclude mechanical fabrication, nor the various attempts to include and domesticate the media were in the end successful in warding off the ideational challenges that instigated the reactions. The potential lessons of that historic debate are what I wish to explore through a close analysis of Ruskin and Wright's ostensibly opposite stances on mechanical fabrication and reproduction.

II.

Ruskin's reservations and apprehensions about the use of machines and mechanical reproduction in architecture, much as it has in common with early reactions to digital reproduction, may be readily traced to what Walter Benjamin refers to as the loss of the aura of the work of art, i.e., its authenticity and historicity, in the age of mechanical reproduction (Benjamin 1978: 217-25), Addressing the question in some detail in the Seven Lamps of Architecture under the "Lamp of Life," Ruskin attributes his reaction to the immediacy of a need - impertinent before the 19th century - for a clear, qualitative distinction between two very different modes of production in architecture: the one relying on hand, the other on machines; the former producing authentic, individual forms or building components, the latter generic, spurious forms.[1] He argues that even though we may suppose "the abstract beauty" of "forms" to be "the same whether they come from the hand or the machine," the use of machines in the production of architectural forms is impermissible, because along with the abstract beauty of form there is another and equally important source of "true delightfulness" in all works of art (Ruskin 1979 [1849]: 55-56). He argues:

> …. things in other respects alike, as in their substance, or uses, or outward forms, are noble or ignoble in proportion to the fullnesses of life which either they themselves enjoy, or of whose actions they bear the evidence, as sea sands are made beautiful by their bearing the seal of the motion of the waters" (ibid: 142).

Works of architecture "become noble or ignoble in proportion to the amount of the energy of that mind that has visibly been employed upon them," of which they bear a visible *impress* or *seal* as sea sands bear the "seal" of the motion of the waters. The "true delightfulness" of a work of art, Ruskin asserts, "depends on our discovery in it the record of thoughts, and intents, and trials, and heart-breakings - of recoveries and joyfulness of success" (ibid: 56). This is "the worth of the thing, just as the worth of anything else we call precious" (ibid).

Given this outlook, it is evident why Ruskin considers the formal products of machines "worthless." There is, however, more at stake here than the question of worth. The "substitution of cast or machine work for that of hand," Ruskin tells us, is "an imposition, a vulgarity, an impertinence, and a sin" (ibid: 55).

If Ruskin deems the condemnation and deprecation of "cast or machine works" imperative it is because "cast or machine works" fracture the "seal" that "bears" the "impress" of thought. Lost to the reproductive capability of the machine and its formal products is the causal link between the "thoughts and intents" that Ruskin presumes to animate, in-form, and direct the human hand to leave a visible, external "record" of their presence. This link is not present in "cast or machine works," even though the external form - the visible "record of thoughts, and intents, and trials, and heart-breakings" - is. This is the impertinence and the sin of machine products. Their only "effect" is, Ruskin tells us, "to cast shame and suspicion over every part of the building" to which they are affixed as substitute for the work of "hand" (ibid).

I will return to the peculiar "effect" of cast or machine made products later. For now, it is important to note that, using approximately the same line of reasoning, the use of machines can just as readily be defended as it is condemned. A case in point is Frank Lloyd Wright's position on the use of machines a half-century after Ruskin. Wright tells us:

> John Ruskin and William Morris turned away from the machine and all it represented in modern art and craft. They saw the deadly threat it was to all they loved as such - and eventually turned again to fight it, to the death - their death. They did, however, remind us of what we were losing by using the machine or, as they might have said, letting the machine use us ...
> The Machine Ruskin and Morris believed to be the enemy of all life. It was and is still, but only because the artist has shirked it as a tool while he damned it; until now he has been damned by it (Wright 1975 [1927]: 135).

The machine for Wright is, in hindsight, "The architect's tool - whether he likes or not." It is "an engine of emancipation or enslavement," the agent of "life" or "death," a "savior" or a "monster," "according to the human direction and control given it, for it is unable to control itself" (ibid: 131). The machine, Wright argues, is similar, if not superior in function to our "Hands and arms and legs and feet" (ibid). Its worth, as with hands and arms, depends on "the mind that drives it or puts it to work and stops it" (ibid). Therefore, "how foolish," he argues, "to take a prevalent abuse of any thing for the thing itself" (ibid: 136). The "deadly threat" to architecture, as Wright envisions it, is not the machine but the lack of "creative-imagination," or in Ruskin's terms of "thought and intents," in those who have put it to use or rather abuse. The unwarranted, if not foolish, deprecation of the machine by the "imaginative artist" has left the machine to the abuse of those whose:

> ... "technique" may therefore be said to consist in reproduction, imitation, ubiquity. A form of prostitution other ages were saved from, partly because it was foolish to imitate by hand the work of another hand. The hand was not content. The machine is quite content. So are the millions who now have as their human understanding, things that were once the very physiognomy of the hearts and minds - say the souls of those whose love of life they reflected (ibid: 132).

As different as Wright's and Ruskin's positions on the use of machines are, it is important to keep in mind that they are both motivated by the same goal in their specific exclusionary prescriptions, and driven by the same vision in their particular delimitation of the modes of production in architecture. They are both, in their unique ways, looking for the impress of mind on an architecture whose external forms are the "very physiognomy" of the internal creative thoughts and intents of those who produce them. Imitation and reproduction are, for both, "An imposition, a vulgarity, an impertinence, and a sin." Whereas Ruskin, cognizant of the "deadly threat" of machines, took no chance with them, for Wright the gamble is not a matter of choice. The machine is here to stay and we may rest assured that there is little chance of losing our gamble with machines because "to the extent that creative-imagination takes concrete form in the human fabrications," regardless of the mediation of the hand or the machine, "it makes the fabrication live as a reflection of that life any true man loves as such - spirit materialized" (ibid: 145)

The difference between Wright's and Ruskin's visions of the imagination's role in machine production is not as great as Wright would have it appear. After his vehement condemnation of "cast or machine works" and what might have appeared as a clear distinction between two different modes of "production" in architecture, the one by hand "bearing the impress" of "mind," the other by machine bearing only its *appearance* – a sure sign of "death" - Ruskin gives an interesting twist to the argument Wright was to advance in defense of the use of machines. Ruskin informs us that the deprecation of the machine does not by itself guarantee "life" in human production, because "It is, indeed, possible, and even usual, for men to sink into machines themselves, so that even hand-work has all the characteristics of mechanism" (Ruskin 1979 [1849]: 57-58).

The line separating what we were told to be two distinct modes of "production" in architecture is not, therefore, as sharp and clear as one might have hoped. The "deadly threat" to architecture, that otherwise may have been readily delimited and dismissed as peculiar to a new and foreign mode of production is, it turns out, an endemic threat. It is possible to find the very mind-less reproduction that is characteristic of machines in the works of hand. It is possible for men - Wright may well have agreed - to sink into machines, to re-produce the "impress" without the engraving "seal." However, Ruskin assures us that this perilous possibility is a form of "disease and decrepitude," i.e., a form of infection and extrinsic imposition, that he can diagnose and cure with recourse to the "immutable law" of Life.

In an attempt to identify the cause and diagnose the "disease" at issue, in an argument reminiscent of Wright's contempt for the abuse of machines, Ruskin tells us that, "when we begin to be concerned with the energies of man" that are "visibly" employed in the "production of things":

> ... We find ourselves instantly dealing with a double creature. Most part of his being seems to have a fictitious counterpart, which it is at his peril if he do not cast off and deny. Thus he has a true and a false (otherwise called a living and a dead, or a feigned or unfeigned) faith. He has a true and a false hope, a true and a false charity, and, finally, a true and a false life. His true life is like that of lower organic beings, the independent force by which he molds and governs external things; it is a force of assimilation ... His false life is, indeed, but one of the conditions of death or stupor, even when it cannot be said to animate, and is not always easily known from the true. It is that life of custom and accident in which many of us pass much of our time in the world; that life in which we do what we have not purposed, and speak what we do not mean, and assent to what we do not understand; that life which is overlaid by the weight of things external to it, and is molded by them, instead of assimilating them; ...(ibid: 143).

The distinction between the true and the false lives and their respective modes of production, we should note, supposes a *true* and a *false* relationship between the internal and the external, or mind and matter. In the "true" life, the internal assimilates the external. Here the mind of 'man' "molds and governs." Here signification proceeds from the inside. Hence, what is said is what is meant and what is done is what is intended done. This is the state of the normal, of life "living" and "true." Characteristic of production in this life is what Wright were to call - in the abstract - an architecture that "develops from within outward in harmony with the conditions of its being as distinguished from one that is applied from without." "Spirit materialized." (Wright 1975 [1914]: 122)

In the false life, in contrast, the life of death marked by accident and custom, all is feigned. The internal in this life - the mind of "man" - is molded by things external to it. Signification here proceeds in spite of any intention, whereby what is said or done is neither what is meant said, nor intended done.

It is perhaps needless to point out that for Ruskin the only "healthy and vital" mode of production in architecture is the one that "molds and governs" things external to it as opposed to being "molded by them." His critical quest is to restore architecture to this state of health and vitality. The task is not, however, Ruskin informs us, without its difficulties. Whereas the works of machines are, for the most part, "always distinguishable, at a glance" (ibid: 58), the difference between the formal products of the two mutually exclusive modes of *human* production "is not always" - if ever - "easily known." The formal product of the "fictitious" production has the same external appearance as that of the real or the "true." Nevertheless, Ruskin insists that it is imperative to make a clear distinction between these two modes of production. To facilitate this admittedly difficult distinction, Ruskin offers us the Lamp of Life.

To the light that Ruskin offers, I will turn shortly. First, however, it is important to note that if the difference between the two modes of production in question "is not always" - if ever - "easily known," it is not for want of illumination. No amount of light is likely to ease the distinction, in part because the condition of the possibility of the "false" production is, in a manner, the impossibility of the "true" conceived as one engraving a "seal" or leaving an "impress" on the outside. The formal product of the true production can only be imitated, if its external appearance is imitable. This is to say that it can only be "feigned," if its external appearance was not *molded* or *governed* by an internal force; if this appearance never bore the undivided "impress" or "seal" of that internal force. The condition of possibility of

signification, true or false, is the absence of a causal relationship between intention and signification, the "impress" and the engraving "seal." Else, signification would necessarily and always depend on the presence of an assimilating intention, and "impress" on an engraving "seal." Humans would then never be able to "speak" what they "do not mean" or "do" what they "have not purposed."[2]

The impossibility of a "true" life marked by productions impressed and sealed from the inside should not imply that humans cannot, for instance, "speak" what they "mean" or "do" what they intend, but that meanings or intentions do not *intervene*, *assimilate*, *mold*, or *govern* signification. Their presence or absence neither simply commences and halts signification, nor does it constitute a critical difference between a true and a false production. The only implication is that a gap persists in between the internal and the external, intention and signification, the "seal" and the "impress," as the condition of possibility of the original and its "feigned" imitation. This gap, we should note, is precisely what Ruskin here wishes to seal by appeal to a "seal." Its exposure, on the other hand, is the "deadly threat" of mechanistic production to which both Ruskin and Wright repeatedly allude. If Ruskin sees the exposure of this gap as a deadly threat it is because at stake is the adequacy and the authority of Ruskin's exclusionary critical model.

What is at stake in the question of living production for both Ruskin and Wright is the power of exclusion that is imperative to the delimitation of practice in the field. What prompts both to condemn and deprecate mechanistic production is the authority to delimit architectural practice not in the name of ulterior - cultural, social, or political - motives, but of truth, not arbitrarily, but according to "immutable laws."

What Ruskin and Wright propagate as a living architecture - Venetian or High Victorian Gothic by Ruskin and Organic-Modern by Wright - could not be more different formally and to a large extent conceptually. Each is a reflection of the cultural and historic context within which it was formed. However, both Ruskin and Wright place the weight of their authority to proscribe other modes of design, and for that matter each other's, on the life analogy. Both justify their preferred mode of design as the only acceptable mode, not on ideological grounds, but because its external forms are professed to be assimilated, molded, and governed internally as opposed to externally. Each is "spirit materialized," which is "not a matter of seeming but of being" (Wright 1975 [1927]: 149).

The critical distinction that each author makes is based on the assumption of authoritative control over external form and its potential for signification. At issue in each instance is the ability to tie signification not to context but to intent and purpose. An architecture that is imbued with the signs of life is one that is not subject to interpretation or changes in signification. It bears its meaning within as a seal. It is this privilege, however, that is threatened in the age of mechanical re/production.

There is, in other words, a great deal at stake in safeguarding the viability of a vital production. The difficulty that confronts any author who may wish to maintain this viability in the age of mechanical re/production is, on the one hand, identifying what the signs of vitality are in a living architecture, and on the other hand, making the external manifestation of this vitality immune to the threat of reproduction.[3]

What indeed are the signs of life and vitality in the age of mechanical reproduction? How does the seal borne by external forms of internal intents manifest itself in any age? What justifies the preference for one mode of design over others, short of its ulterior motives?

It is these admittedly difficult questions to which Ruskin tries to provide answers under the Lamp of Life.

III.

To be imitated, repeated or re-produced, the original must itself be marked by the very characteristics that are assumed peculiar only to imitation, repetition, or re-production. The original, once produced, must already be in the position of the re-produced. On this point, however, we may seem in agreement with Ruskin who tells us that, "I suppose there is no conceivable form or grouping of forms but in some part of the universe an example of it may not be found" (Ruskin 1979 [1849]: 102). Every human "production" is an imitation or a re-production, because there is no conceivable form or grouping of forms of which an example may not be found in some part of the universe. Furthermore, every example, Ruskin tells us, bears "a certain seal, or impress of divine work and character, upon whatever God has wrought in all the world," as "the necessary consequence of the perfection of God's working" (Ruskin 1843: 24, 85). Human "production" begins with re-production - be it dead or alive, true or false, "noble" or "ignoble." Although this supposition renders the work of humans derivative, though it attributes imitation to them, nevertheless, it is founded on the supposition of an original production of which their work is an imitation.

In origin, therefore, as a certain theological/creationist model of production would have it, there is "life" and "production," i.e., a "true" life and a sealed, signed, and stamped "production." Re-production follows as a form of

"disease and decrepitude." This supposition may appear to render the imitative work of humans "worthless," if not perilous. It appears to render this work the re-production of a sealed production, which by definition bears the very mark of "death and stupor" that Ruskin here wishes to "cast off and deny." However, Ruskin tells us that, "It is no sign of deadness in the present art that it borrows or imitates, but only if it borrows without paying interest, or if it imitates without choice" (Ruskin 1979 [1849]: 145). Ruskin thus re-assimilates imitation within the confines of his theoretical construct as a source of "true delightfulness." He renders the diseased "imitation," as he puts it, "healthy and vital," pending the payment of an "interest."

What began as a simple distinction between the work of hand and that of machines, rapidly transformed into a distinction between mechanistic and vital production because of difficulties contingent upon the former distinction. The latter has its own difficulties. Imitation, it now turns out, is not unique to mechanistic reproduction. It covers the entire field of human production. At every turn, the "deadly threat" that Ruskin has tried to set aside and to keep outside the realm of architectural production turns out to have already come from within. The "deadly threat" has thus far refused to be externalized in the name of machine or mechanistic production. Now, in a final defense, i.e., in defense of healthy and vital imitation as submitted to the questions of "choice" and "interest," Ruskin offers the same argument that we earlier saw Wright advance in defense of machines. Despite the similarity of the arguments, imitation is, we should note, a point of contention between Wright and Ruskin. Whereas Ruskin in his search for the signs of life took no chance with the machine, Wright took no chance with formal imitation. Whereas for Ruskin every formal production is a form of re-production, Wright assumes man's "creative-imagination" to be the "divine in him" that "differentiates him from a mere reasoning animal into a God himself." A "creative being," Wright argued, "is a God" that produces forms anew as testimony to his creative-imagination at work (Wright 1975 [1927]: 145). Ruskin, on the other hand, tells us that:

> Men's use and function (and let him who will not grant me this follow me no further, for this I purpose always to assume) is to be the witness of the glory of God, and to advance that glory by his reasonable obedience and resultant happiness. (Ruskin 1843: 4)

For Wright the novelty of form constitutes the sign of life, for Ruskin the evidence is in "reasonable obedience" and the interest paid. Both, however, we should note, try to overcome the "deadly threat" of reproduction with recourse to an established theological model of creation that readily lends its authority to the "seal" that is presumed to bind production to intention in origin. The difference is that for Ruskin vital human production is an imitation of divine production, for Wright it is a reenactment of it. The critical model is, nevertheless, the same, and its inevitable recourse to theology, it is important to note, speaks not solely of the critic's religious disposition but as well of a strategic necessity. Without recourse to a theological model of production (creation) neither Ruskin nor Wright can posit a clear distinction between living and dead production predicated upon a seal between intention and production in origin.

Whereas for Wright all formal imitations constitute dead production, for Ruskin imitation, covering the entire field of human "production" or re-production, is a sign of "deadness," if and only if it does not or cannot *give* more than what it receives; if and only if no interest is or can be paid in return. The latter is, we should note, the only type of imitation that Ruskin considers "an imposition, a vulgarity, an impertinence, and a sin." The problem, however, is how to decipher the difference that Ruskin has told us: "is not always easily known," that is, the difference between "vital" and "dead" imitation conceived as two mutually exclusive modes of production in architecture? What are the signs of life as distinguished from the signs of death? What to venerate as a vital imitation and what to condemn as a diseased imitation? In short, as Ruskin asks it: "How is imitation to be rendered healthy and vital"? He answers "that two very distinguishing characters of vital imitation are, its Frankness and its Audacity."

Frankness is that absence in imitation of "any effort to conceal the degree of the sources of its borrowing." Audacity is the "unhesitating and sweeping sacrifice of precedent when precedent becomes inconvenient." Neither, however, as Ruskin realizes can give us a sure hold on the line separating living and dead imitation. Both could be imitated and one may never know whether the presence of either is a sign of "vital imitation" or the product of a dead re-production. Hence:

> Nobler and surer signs of vitality must be sought - signs independent alike of the decorative or original character of the style, and constant in every style that is determinedly progressive.
> Of these, one of the most important I believe to be a certain neglect or contempt of refinement in execution, or, at all events, a visible subordination of execution to conception, commonly involuntary, but not unfrequently intentional (ibid: 147).

The most important sign of "life," of "vital" or "healthy" imitation is, therefore, a visible subordination of execution to conception. It is the "struggle toward something unattained, which causes all minor points of handling to be neglected" (ibid: 148). It is the "contempt of exact symmetry and measurement which in dead architecture are the most painful

necessities" (ibid: 149). It is those "variations" that are not "mere blunders nor carelessnesses, but the result of a fixed scorn, if not dislike, of accuracy in measurements; and a determined resolution to workout an effective symmetry by variations as subtle as those of Nature" (ibid: 159).

These are the "nobler and surer" signs of "vital imitation." When we see them we may rest assured that the architecture says what is meant and it is what it was purposed to be. There is, however, a paradox in this enumeration. If a "nobler and surer" sign of "life" is indeed a "visible subordination of execution to conception," a "contempt of exact symmetry and measurement" or "variations as subtle as those of Nature," if, in fact, "life" has a "sign" or "signs" that can be marked, enumerated, stated in a text and given the status of a law that can then be intentionally applied - has been applied - to architectural "production" with uniform result or signification, would not the "sign" or the "signs" of "life," marked and then re-produced, at once bear the very mark of "death" they are meant to efface?[4] Would not the application of the law of "life" as such necessarily amount to and indeed require imitation, so long as a living production, in order to be recognized as such, must display a "visible subordination of execution to conception," a "contempt of exact symmetry and measurement" and "variations as subtle as those of Nature?" Is it not in fact only through dead imitation or machine like re-production of the "signs" of "life" that the imitation or re-production of a thing or anything is rendered "healthy" and "vital," in so long as the recognition of life is dependent on the presence of specific signs? In short, has Ruskin, within the confines of his theoretical construct, any choice but to rely on "death" to ensure the desired "life" in "production"?

Once one is caught in between the desire for "life" and the stated impossibility of defining or communicating "life," of separating "life" from "death," "vitality" from "stupor," without resort to a number of imitable, imitated "signs," the paradox is indeed only unavoidable. The "signs" of "life," enumerated, become the "signs" of "death" that were cast off and denied. Also, enumerated, these "signs" at once point to a certain gap or lack, a certain missing "seal" in "life" that mandates the supplementary reinforcement of those "signs" without which the difference between "life" and "death" cannot be "easily" marked. If "vital" imitation did indeed bear the "impress" of the "mind" of its producer as "sea sands" bear "the seal of the motion of the waters," if "living" imitation was not already in the position of "dead" imitation, this enumeration, if not impossible, would at best be superfluous. Once enumerated, however, the "signs" of "life" in the same gesture efface the very dividing line they produce or re-produce. The latter two amount, in a manner, to the same.

As a matter of course, Wright and the other proponents of Modernism were to fair no better than Ruskin. Their condemnation of formal imitation and their emphasis on the novelty and originality of form as the sign of life could not succeed in overcoming the deadly threat of imitation any more than Ruskin's condemnation of machines and his emphasis on "a visible subordination of execution to conception" as a "nobler and surer" sign of vitality. Wright's bitter article of 1914 is a vivid testimony. After every effort to ground his forms in intention and more specifically in function, Wright finds himself left witnessing in "dread" the originality that he took for a sign of life, traded on and sold as "mere form" by "disciples, neophytes, and brokers." This "piracy, lunacy, plunder, imitation, adulation," Wright tells us, "endanger the cause, weaken the efficiency of genuine work, for the time being at least; lower the standard of artistic integrity permanently; demoralize all values artistically; until utter prostitution results" (Wright 1975 [1914]: 123). As a final defense he asks us to "let his forms alone," less they be rubbed of their authority as the bearers of the signs of life (ibid: 129).

IV.

What I have tried to point out thus far is not that Ruskin or Wright failed to achieve what they wanted. I do not presume that a more stout critic may somehow overcome the obstacles they faced in trying to enumerate the signs of vitality in production. It also has not been my intention to argue that Wright is as much a Romantic as Ruskin. If nothing else, it is the rational outlook of the one and the Romantic outlook of the other that makes the similarity of their struggle noteworthy.

What I have tried to point out are the difficulties contingent upon any rigorous distinction between originality and imitation, production and repetition, authenticity and duplication, hand and machine. What I have tried to take issue with is not the role of intention and purpose in formation and production, but the attempt to establish a causal link between them. What I have tried to point out is that the persistent distinction between hand and machine or mechanistic and vital production is related to a broader desire for control over signification. It is related to the wish for a causal link between intention and formation or meaning and form. This link is the condition of control over signification. The attempt to bring signification to closure requires the exclusion of every threat, i.e., every other mode of re/production or every other mode of design but the one that through exclusion provides the illusion of control.

Focusing on the machine as a reproductive tool, Ruskin saw it as an irredeemable treat to that idealized model of production that the 'work of hand' had readily lent itself to before the advent of mechanization. Wright, on the other hand, hoped to purge the machine of its reproductive ills and turn it into a tool for production capable of authenticity and immediacy, evidenced by originality of form.

Neither Ruskin's rejection of the machine, nor Wright's attempt at domestication of the machine succeeded to safeguard the originality, authenticity, and immediacy they both sought in production. This was not due to any fault of the machine. Rather the problem was and remains today the impossibility of the idealized concept of production predicated on an indivisible bond between an animating intention and an animated form. The mechanical then and the digital now are merely forceful reminders of this impossibility. They merely resist various inclusionary and/or exclusionary attempts at their ideological appropriation.

The challenge posed by mechanical media has not dissipated, but perhaps irredeemably amplified by the digital media. Whereas the seemingly distinct functions of the mechanical media as a tool for passive representation and duplication or a tool for active manipulation and creation allowed Ruskin to focus on the former and Wright on the latter, what distinguishes the digital media among other tools of the industrial and post-industrial age is precisely its overt overlapping of passive representation and active fabrication to the point of indistinctness.[5]

The digital media combines, patently and indiscriminately, what has been latent in other comparable tools of the industrial age, e.g., the camera. The latter and similar mechanical tools for representation have always been susceptible to fabrication and actively involved in isolating and constituting the subject of their representations. Nevertheless, these tools have the aura of neutrality and objectivity, i.e., of merely looking at and reflecting reality. This is because their visual representations are irrevocably tied to what they represent—their referents. They ceaselessly testify to the past presence of the referent out there "in the real world."[6] This is the presence they confess to merely re-present. The digital media, on the other hand, does not merely re-present. It can fabricate representation. It can simulate reproduction. The computer's representations require no subject and no referent outside themselves.

The digital media's ability to fabricate the subject of its representation collapses the spatial and the temporal distance that separates the subject from its representation in other comparable tools. The camera is irrevocably temporal. The digital media is unique in erasing the time and the space that had hitherto separated the subject from its representation.

The digital media's ability to create virtual realities, independent of the actual as the point of departure and return, radically disturbs the economy and the structure of representation, as we once knew it.[7] It further diminishes the aura of the *real* that began, to a good measure, with the advent of mechanical re/production in general and the invention of the camera, in particular.[8] The latter allowed the visual content of reality to assume different substantive contents (from photographic paper to beams of light emanating from a picture tube). The digital media dispenses with any potential or presumed tie between the visual and substantive contents of reality altogether.

The new tool's indiscriminate overlapping of representation and fabrication takes away from representation the claim to innocence and objectivity that comparable tools readily supported in the past. The digital media is not, however, unique in its overlapping of representation and fabrication. There is, for instance, the pencil, among other comparable tools. The digital media is unique, however, in the manner in which it overlaps the tasks of representation and fabrication. The digital media's representations come too close to the "real" in a manner that the pencil's representations never can. In this respect, the digital media is similar to the camera. Whereas the pencil maintains a safe distance and the camera's representations can readily be referenced to reality, the digital media actively creates a representation that is neither sufficiently distant nor readily reduced to an existing referent outside it.[9]

The digital reproduction's dispensation with the referent as the point of origin—without the loss of pretense to objective representation—brings to surface, with greater force than before, a gap between the visual and the substantive contents of reality. This gap between form and substance, or image and identity, may be covered but never bridged. The exposure of this gap offers a serious challenge to the privileged antecedence and alterity of reality as measured against representation. The antecedence and alterity both Ruskin and Wright did their best to safeguard through deprecation of machine reproduction. Digital reproduction subjects the aura of humanist reality to radical query insofar as the possibility of its fabrications and the proximity of its representations strip reality of its endowed authority as the site of a causal link between form and substance, or image and identity. The visual content of the real can only be made to precede and be independent of its actual substantive content in the virtual world if the two had not a causal, but a conventional relationship in the real. The digital media can only give visual content spatial and temporal mobility, if reality that is always rigorously distinguished from representation is itself already a form of representation. Subject as it is to digital media's manipulative interventions and virtual doubling that forgo the possibility of a site for causality, humanist reality stands to disappear as a selfsame entity, only to surface as a suppressed virtuality and a purposed construction.

Our response to digital media's challenge to humanist presuppositions about the nature of reality and representation has closely followed the trajectory of the debate surrounding mechanical re/production.

Advanced from one end of the spectrum are arguments reminiscent of Ruskin's express fear of an impending loss and his ensuing preoccupation with maintaining a proper relationship between inside and outside, mind and hand, thought and action, living and dead reproduction. For instance, "images that once were fabricated *within* the mind's eye," we are told, "are now being manipulated *external* to the body via the keyboard and the mouse." (Ellis, p.37) In contrast to this new *external* impediment,

> The pencil carries with it a history of use and iconography. Its graphite trace is an extension of the human hand, its thickness contingent on the pressure exerted by the body behind it. … As an instrument of the architect's vision, the pencil is a direct conduit from the mind to the outside world. In capturing the quickness of a brilliant thought on paper, the pencil becomes transparent. No mediation exists between idea and tangible expression. The computer mediates by being placed between the "point of the pencil" and the "paper." (Ellis, p.43)

In contrast to the ideal or rather idealized immediacy and transparency of pencil – its virtual non-existence:

> Operations on the computer are so mysterious that we have no idea how they are performed. Because all technique happens automatically, there is less opportunity for the autonomously free decision. We begin to unlearn how to make rational decisions and become totally dependent on the correct functioning of the technology. (Ellis, p.44)

This is in Ruskin's words, that "feigned" life and production in which "we do what we have not purposed, and speak what we do not mean, and assent to what we do not understand; that life which is overlaid by the weight of things external to it, and is molded by them, instead of assimilating them." In consequence of our reliance on the digital media, another author tells us, we are witness today to the emergence of:

> …. an architecture that casts no shadows. An electro-shadowless architecture made by vampires for vampires, forever condemned to live a soulless immortality in front of the flickering phosphorescent glow of computer displays as cities crumble around them. An architecture without the presence of angels in the global space of temporalized flows? The birth of an inbred couture culture groomed to watch space, rather than to directly participate in it? (Beckmann, p.15)

It is important to note that digital media's re/productions, much like mechanical reproductions before, are not seen as merely bad, lifeless, and ineffective, but also dangerous. They are seen to effect, infect, and supplant the very immediacy, transparency, authenticity they are said to lack.

> These are such seductive and divisive technologies that there is a pressing need to establish a critical appreciation of the ways in which they will disturb, even undermine, conventions in teaching and practice. This is particularly true in the way the medium tends to depersonalize the theoretical and historical measures that have characterized the formation of architecture throughout history. …. The problem is very simple - all representational softwares and the machines on which they run … when mastered, not only produce convincing artifacts but also persuade the user that they are personal creations. They give the user remarkable confidence and a sense of fulfillment, so much so that the desire to build is potentially diminished. (Balfour, P.268)

The way to curtail the "seductive and divisive" power of the new tool is, by another account, to return to "what has traditionally given architectural representation its particular power of conceptualization - that is to say, its necessary degree of abstraction, the distance interposed between the thing and its representation." (Stan Allen, pp.246) Another solution coming from the other end of the spectrum, reminiscent of Wright's dream of a non-representational engagement with the machine as a tool for fabrication rather than reproduction, is the call for non-mediated, non-representational engagement with digital media.

> Outside of the realm of 3D modeling and 4D animation, there exists a dimensional domain of computation that is directly (that is, nonrepresentationally) spatial. Fuzzy logics applied to computer vision, autonomous interactions among distributed robotic systems, and self-organizing neural network structures exemplify computers' extension of spatial dimension beyond D into a realm in which space is engaged (and even, in some cases, invented) in an n-dimensional framework.
>
> To critically engage computation, we must escape intra-representational spatiality. (Lonsway, p.25)

We must, the author insists, “transcend our seduction by the representational effects of software's D and to enlist the numeric, structural, and (hardware) architectural aspects of computation,” if we are to see and take advantage of what computation is, rather than what it is made to pretend or make believe to be.

In all of the above and numerous other examples one may site, there is a shared and persistent assumption that behind every representation, every doubling, every make-believe, every virtual, there is, at a critical and unabridged distance an authentic, actual, original, real phenomenon in contrast to which the former is a complication, negation, and nevertheless a seductive mask that leads us inevitably astray. However, if the prolonged debate over mechanical reproduction has an abject lesson to offer us in this regard, it is that what is illusive and perpetually desired is the authentic, the real, the immediate and the causal. What is presumed susceptible to loss and disappearance is in fact what is never had and always desired.

As a final note, if the preoccupation with the place and the role of the digital media in architecture appears particularly acute, if it generates as much passion as it does, this is in part because of a particular affinity between architecture and the digital media. Architecture itself is a medium that is literally and overtly engaged in the fabrication of our cultural or virtual reality. It is a medium through which our cultural beliefs, ideas, and values assume spatial and formal dimensions by allowing subjectivity to assume the guise of objectivity and the virtual to assume the aura of the actual. It is the medium or place of passage where the line between the virtual and the actual is most volatile and the distance most acute. Traditionally, the field has maintained the distance between its virtual productions and its actual products—between what it does and what it produces—with recourse to various modes of representation, whose abstraction did not cross or shed doubt on the presence of the line between the actual and the virtual or between reality and representation.

The distance that drawings and models, in their abstraction, have carefully maintained is now threatened with collapse by the digital media. The field’s available modes of representation—indissociable from its modes of conception and creation—are subject to radical transformation by the digital media.

This transformation is unavoidable, because even if we choose not to engage the tool, we must nevertheless contend with its products. These have us see in ways that we had not and could not before. Insofar as the digital media constitutes a particular way of looking at and manipulating the world, its impact on our perceptions and conceptions is as unavoidable as it is problematic.

The futile exclusion and deprecation of the digital from the space of production much as various attempts at its domestication are not likely to fare better than similar postures toward mechanical fabrication, because the problem is not mechanical or digital in nature, but ideological. What should be interrogated is not the digital per se, but the desire for originality, authenticity, and immediacy in various guises that guide and frame much of the debate over the place and role of the digital. It is this desire framed as it is by broader trepidations about representation, reproduction, duplication, and imitation that require close critical scrutiny, if we are to fully explore how and why we engage the media, put it to use and/or abuse. Be the medium architecture or the digital. There is, in a manner, no difference.

Notes

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[1] This is not to imply that machines had no role in architectural production before the 19th century, but that their profusion and prevalent use in the 19th century took on a critical dimension.

[2] For a comprehensive discussion of this issue see Jacques Derrida, 1982.

[3] This is regardless of whether in the end the machine is totally rejected or conditionally accepted.

[4] The intention to re-produce "life", we should note, does not exempt the re-production of "life" from the realm of dead imitation, because it is simply an intention to re-produce an original. This intention is assumed present in all dead imitations.

[5] The computer's potential for representation and fabrication is in inverse ratio: The more active the computer's fabrication, and the more forceful its intervention, the closer is the appearance to passive representation.

[6] This is regardless of whether the subject is actual or fabricated for the occasion. The merits of the subject do not bear on the representational functions of the tool.

[7] For a discussion of the impact of duplication on the economy of representation please see Jacques Derrida 1981.

[8] For a comprehensive discussion of the impact of mechanical reproduction, in general, and the camera, in particular, please see Roland Barthes, 1981 and Walter Benjamin, 1978. See also J. Hillis Miller, 1992.

[9] The computer also forgoes the traditional dependence of the pencil and similar tools of representation on the hand. It does not lend itself to the idealization that the hand readily lent itself to by simulating a direct relationship between mental images and their graphic representations. The computer's representations are at best mediated and never direct.

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Science Envy in New Criticism and After: the Return of the Repressed

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Abstract

In this paper I will argue that it was competition with science, in all its prestige, that motivated New Criticism's attempt to find "objective" ways of talking about literature. From Aristotle through the 18th century, literary theory had positioned literature between history and philosophy, more moral than history and more persuasive than philosophy. But as science increasingly usurped the place of its parent philosophy and reshaped the course of human history through its applications, it increasingly marginalized all the humanistic pursuits. The New Critics responded by searching for "intrinsic" criteria to use in talking about literature, rejecting moral or political concerns just as science did, or seemed to do. They even used scientific metaphors to describe literary qualities--see T.S. Eliot's famous description of the creative precipitate in "Tradition and the Individual Talent." Thus they saw literary value in terms of the number and variety of elements "fused" in the literary work, not in some 'subjective' notion of sublimity, ennobling qualities, delight. This "objective" yardstick found value in Donne and Eliot but less value in Shelley and Milton, as is well known. It preferred figurative language to plain (more elements for the same

money), and the lyric or
dramatic to the didactic or allegorical (inescapably
extrinsic or reductive). The
critics' word for everything they rejected in literary
works was "sentimental." No
sentimentality in physics. At the same time, they
proclaimed the superiority of the
language of poetry to that of science, finding science too
singleminded, too
oblivious to the complications, conflicts, and divagations
of life so well set forth in
the multiple elements of literature.

The whole maneuver failed, of course. The problem was that
the many
disparate elements (ambiguities, paradoxes, metaphors,
patterns of imagery,
allusions, irregular sounds, rhythmic disruptions) had to be
integrated or
controlled by the "form" of the work--otherwise
dictionaries or encyclopedias
would outshine Shakespeare. "Form" here is a metaphor:
it can be traced to
Coleridge's fusing power of the imagination, and adding
"organic" to it doesn't
bring us any closer to biology, or to intersubjective
criteria for proper control. So
New Criticism fared poorly as an emulous rival of science,
even in its own system,
let alone in university funding, for example. The next
thing you know, Northrop
Frye ejected any discussion of literary value from the realm
of theory. Calling New
Critical preferences a kind of stock market in reputations,
he argued that
evaluation is always private and subjective and cannot be
systematized by any kind
of criteria. And went on, in The Anatomy of Criticism, to
follow Linnaeus into
critical botany.

Structuralism and Poststructuralism, despite their
differences, continued the
newer scientific agenda, developing a specialized (or
'scientific') vocabulary for
literary theory (no longer even called "criticism," with

its evaluative associations).
But, in a strange turn, the rise of theoretical feminism and various forms of cultural identity and diversity politics led to a new reliance on 'extrinsic' criteria for literature, on the very moral and political values whose relevance the New Critics had denied. We seem to be out of the chemistry lab and back to Victorian high-mindedness. However, since these recent approaches deny the objectivity of science itself, placing it firmly in the political arena, possibly the studies of both literature and nature are now to be considered social sciences (natural scientists disagree), and we can emulate scientists by doing what we have always done.

3rd Annual Hawaii International Conference on Arts and Humanities

Title of the submission:
Impervious Pleasures: Three Artist's Explorations into Media Hybrids

Topic area of the submission: Visual Art
Presentation format: Workshop

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Impervious Pleasures: Three Artist's Explorations into Media Hybrids

Impervious Pleasures will begin with a group presentation by three artists who are currently working within the area of mixed-media and cross-disciplinary photography, and will be followed by three separate demonstration style workshops, where participants can learn through direct observation.

Traditional photography saw the medium as a darkroom-based practice developed through attention to scientific principles of optics and chemistry. Current textbooks explain camera control functions, lighting, exposure techniques, and film and paper processing. Under this model the technical aspects of photography constitute the primary means to creative expression. However, within the past twenty or thirty years, photography as an artistic practice has changed. Contemporary artists use a full range of media and images at their disposal, to create mixed-media works, installations and projects, very often including some use of photography. No longer isolated from other media, photography is now a tool used by those who may have little training in the traditional craft of constructing photographic imagery.

Artists' Amundson, Gour and Jaye do not simply define themselves as photographers. Like their contemporaries they use the medium as a vehicle to express their ideas, to document performance, to take collage into painting, or to fuse images into other media. In addition, in academic and artistic environments the theory and history of photography has become essential to the study of image production and interpretation. In any academic environment a critical approach to conceptual photographic issues further stimulates intellectual development in a variety of disciplines.

In order for participants to consider how the intermingling of photo and nontraditional media can connect various concepts and topics in a more fluid manner, this presentation will focus on methods for using simple non-darkroom techniques such as: cyanotype, collage, transfers, manipulation, and digital means. The session will create opportunities to impart a sense of history and reference the past, to stimulate creative use of media, to foster critical thinking in student projects, and to present ideas about bringing together diverse material into one cohesive project.

DRAGON*WAVE*: CHINA'S DIGITAL BROADBAND FUTURE

CYBERCULTURAL SOCIOLOGY

PANEL SESSION

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DRAGON*WAVE*: CHINA'S DIGITAL BROADBAND FUTURE

Objective:

The proposed project will involve comprehensive research into the social, cultural and economic dynamics inherent in the development and utilization of China's digital broadband entertainment infrastuture.

Research will center on Hong Kong SAR (and to a lesser degree Shanghai) to discover major trends in China's digital broadband entertainment development. Hong Kong was the first

Research will be initiated that comprehensively analyses the structural components of the digital media infrastructure and their dynamic interactive relationship with China's digital media producers.

Methodology:

Research will be conducting utilizing a combination of online interviews; face-to-face interviews with top Hong Kong officials responsible for digital media infrastructure executives of fixed and wireless broadband companies; interviews with representatives of multimedia software companies in Hong Kong;on-site observations of digital media productions at the CyberPort facility, City University of Hong Kong, and other boutique digital production houses in Hong Kong and in the surrounding Pearl River Delta area, and analysis of the multimedia software being utilized for digital media creation and the method of their application.

Additionally, a cyber-festival will be initiated which features a digital media content produced by Hong Kong content producers. This will provide the researcher with a unique opportunity for analysis of aggregated content produced by Hong Kong digital content creators.

The research will contribute enormously to aiding China's digital media content producers by giving them an unprecedented opportunity for the assessment of the available digital media assets residing in Hong Kong's newly developed digital media production and distribution infrastructure. Analysis of the data generated from the research will further aid China's digital producers by aiding them in understanding how they can create content that will more efficiently utilize the local digital media infrastructure to produce and distribute their work locally, regionally, and globally.

The research will also further the field of cybercultural studies through its comprehensive analysis of the digital content production/distribution infrastuture of one of the world's newest, and hottest digital media content creation communities. Cybercultural studies researchers will be able to utilizes the information

generated from this research to better understand the depth and scope of the epoch-making dynamics that are reconfiguring aesthetics of global culture; redefining the nature of interpersonal relationships; shifting the process of identity formation and laying entirely new foundations of interactive global media communications for creative work and dynamic play.

A website will be set-up to facilitate the dissemination of the results of the research. Participating individuals and institutions and key members of Hong Kong's media community and Cybercultural Studies (and allied Departments) will be notified of the website with hyperlinks (online and via cellphones).

Background And Expectations:

The rapid rise in broadband internet use in China is being driven by powerful, dynamic technological and social forces that are converging within the Middle Kingdom. A July 2004 report by the China Internet Network Information Center (CINIC) revealed that China with over 31 million broadband users had surpassed the number of US (26 million) broadband users.

These forces are braking down institutional and regional barriers within China while simultaneously creating new productive, distributive, and exhibitive environments for communication, and collaborative work and play.

The dynamic mix of policy initiatives hardware and software infrastructure development, creative and technical innovations taking place within Hong Kong's digital broadband entertainment industry, glimpses of China's hyper-digital broadband future and the enormous potential it has for social, scientific, cultural and economic development can be clearly seen.

The former British colony of Hong Kong, home to over 6.7 million residents, is not only the bejeweled metropolis of China's Pearl River Delta, but is also a socio-psychological landscape of interlocking and constantly shifting, multicultural identity and memory formations.

Hong Kong's geographical location, at "the doorstep" of the heart of China, and its river-basin typography, which has made it a trading gateway, has also given birth to the province's twin-dragon cultural traits of way-faring adventurism and an eagerness to provide social space for cultural hybridity. It is upon these shores of Hong Kong's social, historical, and cultural foundations that the global digital broadband revolution is cresting.

Broadband Production Hubs

Created in 1997 by the Commerce, Industry and Technology Bureau of Hong Kong SAR, the multi-staged Digital 21 Strategy initiative laid the social policy framework that has guided the rapid development of Hong Kong's multi-billion dollar digital technology infrastructure.

It was because of the Digital 21 Strategy that the US$2 Billion hyper-modern, CyberPort, which serves as a central hub for the multimedia production was created. The facility contains multimedia

workstations for the production of digital animation, motion capture equipment and a digital media center that provides hardware, software and marketing support for video game producers and other multimedia content creators.

Digital multimedia content creation thrives in collaborative work environments. The central location of the hardware and software within the CyberPort aids the collaborative nature of multimedia production and furthers the goals of creating a working environment that emphasizes the dynamics of working in the team-based field of digital media creation.

These inherent collaborative features of the CyberPort makes it ideal for broadband-based production.

Collaboration and Regional Development

It is expected that digital content creators should be able to utilize high-speed broadband connections and collaborative content creating and editing software to work with their colleagues either across the room or in Shanghai. This would speed production time, eliminate distance as a barrier for team-based productions in China and reduce overall production costs for multimedia content creators. The CyberPort facility should also be linked to other digital media production facilities in the Pearl River Delta, and throughout China, like the new CCTV facility being built in Beijing. This would further team-based production projects and encourage the sharing of hardware and software media assets, thereby reducing the cost of production. It would also encourage new models of digital media asset distribution.

Additionally, because of the high-speed nature of data transfer and the constant need for the geographically dispersed scientific community to utilize different methods of analyzing research data, collaborative initiatives could be instituted that focused on linking research scientists with multimedia content creators in order to aid China's top scientist in creating visualization data software which would enable China's leading research scientist to actually "see" their research data.

Because of the fact that the scientific process is both rational and intuitive, the creation of new, powerful, rich media software developed jointly by multimedia content producers and China's top scientists would revolutionize the fields of health, nanotechnology, biotechnology, alternative fuels research. The collaboration between multimedia content producers and China's scientific community would also do the following:

1) Aid in speeding the time of project development in the fields of health, nanotechnology and biotechnology.

2) Spur innovation and creative thinking of scientists and multimedia content creators.

3) Create mini-industries that synergistically link scientists and multimedia content creators, thereby, creating more jobs and better products.

4) Develop new, high quality software that would be licensed and globally exported. This would increase the demand and respect

for Chinese made software.

Wireless Broadband Content:
Because Hong Kong has one of the highest 3G (multimedia) cellphone penetrations rates in the world and the SAR government has setup a wireless development center in the CyberPort facility, it is also expected that wireless broadband content will also be a major feature of the digital broadband content production landscape of China (particularly in Hong Kong, Shanghai and Beijing).

To underscore China's commitment to the development of wireless multimedia content development, the Chinese government has also recently announced on April 5, 2004, that it will join with Japan and South Korea to develop the next generation of multimedia cell phones (4G).

3D Animation:
It is expected that the nexus of the digital broadband hardware and software infrastructure, millennia-long creative, story telling traditions through illustrations, and institutional support, will encourage the development of a cottage Chinese 3D animation industry.

Video Game Development:
It is also expected that due to the creation of video game industry trade events, governmental support, domestic and international demand, the Chinese video game development community will utilize the digital broadband infrastructure to create online, wireless and console games.

Digital Television Content:
Additionally, because of the aggressive push towards mass Digital Television (DTV) adoption, (380 million Chinese households by 2015),
DTV should also play a key role in creating the demand for new, creative digital media content. It is expected that China's digital media content producer community will take advantage of the new exhibitive/distributive dynamic created by the introduction of the interactive digital television platform.

It is also expected that the adoption of digital television in Chinese households will lead to the convergence and centralization of digital media content accessibility within the Chinese home and lead to the changing of China into a hyper-digital society.

China is on the verge of an incredible transformative moment in its history.
The digital broadband platform provides China's multimedia content producers with enormous alchemic opportunities to unleash China's creative imagination upon a world starved for new aesthetic and technological direction.

"Perfect as we are": A Character Study of Jo as presented in Mark Adamo's *Little Women*

Music/ Cross-disciplinary

Paper Session (30 minutes)

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ABSTRACT

"Perfect as we are": A Character Study of Jo as presented in Mark Adamo's *Little Women*

by Christine Anderson

Since its premiere performance at the Houston Grand Opera Studio in March of 1998, Mark Adamo's *Little Women* has received over twenty stagings, and is already well on its way to taking a place in the standard operatic repertoire. Its astonishing success serves as evidence of both the audience's regard for the novel and the notable craftmanship of the composer. Certainly the story and characters of *Little Women* have been beloved by generations of readers and will continue to be so. Of interest here is the impressive retelling of Alcott's story on the operatic stage and how the character of Jo has been interpreted by Adamo.

Mark Adamo approaches *Little Women* through a widely varied musical language, combining twelve-tone techniques with unabashedly tonal writing. In fact, it is Adamo's stylistic palette, coupled with his facility in text-setting, that serves to bring the characters in the opera to life. In the preface to the score, the composer states that he wants the listener to "hear Jo's music of stubbornness and resistance tangling with and at last yielding to an ardent but unstoppable music of change."

The primary focus of this study is an examination of the musical characterization of Jo in light of the composer's statement of intent. The inevitability of change as seen from Jo's Act One *scena*, "Perfect as we are," to Laurie's Act Two, Scene Five statement, "Perfect as it was," is central to this investigation. The areas to be addressed are: the character of Jo in Louisa May Alcott's novel; the character of Jo in Mark Adamo's operatic setting of *Little Women*; the musical language of the opera and its use to effect dramatic change; and the dramatic impact of specific aspects of the vocal writing.

Mr. Brown's Unpleasant Truths: The Imperialist Counter-Voice to Twain's Sentimentalist in Letters from Hawai'i

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Mr. Brown's Unpleasant Truths: The Imperialist Counter-Voice to Twain's Sentimentalist in Letters from Hawaii

A sense of duplicity or ambivalence complicates many of Mark Twain's longer works, leading to consternation and frustration on the part of readers and critics alike who try to align his publicly expressed sociopolitical beliefs with the themes and directions of his narratives. This sense of Twain's sociopolitical ambivalence has led to, among other things, the labeling of Huckleberry Finn as a racist novel and the characterization of Mark Twain as "surely the most duplicitous" American novelist of all (Fiedler 277). Whereas this sense of duplicity, often constructed with a dizzying parade of tongue-in-cheek ironies and throwaway comic lines, has been most often discussed in the context of Huckleberry Finn, which is framed by a false author's warning and narrated by the unreliable Huck, Twain's duality confounds many of his seemingly more straightforward narratives. Even beyond the Twain/Clemens persona, Twain often structures his narratives around a system of duality that allows the works to express multiple and contradictory points of view. Critic Susan Gillman refers to this process in Twain's works as "twinning," which she generally describes as the author's "fascination with alternative selves" and "mistaken, switched, and assumed identities" (131). This tendency toward the schismatic can be most obviously observed in Huckleberry Finn and the more didactic Pudd'nhead Wilson, as Gillman notes, but it has perhaps been undervalued as a prevalent

device and important rhetorical force in his earlier travel writings such as those collected in Letters from Hawaii (132-133). In this collection of dispatches from the Sandwich Islands, Twain creates a traveling companion in the dualistic voice of the cantankerous Mr. Brown. While Brown provides humor through discord and candor, his role can be seen as more expansive than mere pestering sidekick or a "low comic" stereotype of an American tourist (Sumida 589). Brown's protestations and arguments often provide a belligerent Imperialist counterpart to Twain's more reasoned and cautious observations, and the humor that surrounds the conversations allows Twain to comfortably distance himself from Brown's less-refined implicit arguments for Hawaiian annexation.

While Brown's general role as a cantankerous or sarcastic alter ego to Twain's more genteel travel correspondent is obvious (Brown is said to look over Twain's shoulder as he writes, arousing suspicion that the companion is a specter), the consistency and urgency of Brown's ideological slant has perhaps been left unexplored or understated. Twain's dispatches from Hawaii have been taken on their surface as a collective argument for U.S. annexation and control of the Sandwich Islands. Collectively, the letters do present such an argument, and Brown as an argumentative nemesis plays an essential role in propagating this thesis. Brown provides more than simple humorous diversion through his boorish denunciations and sour gesticulations; he is the voice of the unapologetic

imperialist that supplements Twain's reasoned, logical accounting of the economic and physical attributes of the islands.

In light of the view that Twain later recanted his position on the annexation of Hawaii and famously aligned himself with the Anti-Imperialist movement, the schizophrenic nature of the Hawaiian letters and the Twain/Brown persona makes more sense (Foner 311). Just as Twain both denounces and praises the work of the missionaries in his letters, his imperialist views on the Islands as a whole seem in some ways undecided or contradictory. It is as if he is wrestling with the issue of imperialist control of Hawaii, and the letters constitute a rather reluctant defense of Twain's deterministic sense that the islands would eventually fall under Christian control (Bridgman 143).

If Twain's letters present a kind of dialogue on the Sandwich Islands and the appropriateness of United States political control, Brown serves as a pestering anti-conscience or countervoice within that dialogue. Even outside the biographical context of Twain's later capitulation on imperialist issues, it is apparent that Brown's voice provides the pessimistic counterpart to Twain's sometimes overwrought poetic/sentimental musings on Hawaii's natural attributes. In Brown's first significant appearance in the novel following the episode of Dennis the pig aboard the *Ajax*—in which Twain establishes Brown as a petulant yet sympathetic supporting character—the traveling companion punctuates a lyrical description of Honolulu with his counterpoints on the

physical beauty of the town. Twain's description unfolds as a study in contrasts of the various beautiful sights and smells of tropical Honolulu against the blights and problems of the quickly overdeveloping San Francisco:

> In place of the grand mud-colored brown stone fronts … I saw neat white cottages, with green window shutters; in place of front yards like billiard tables with iron fences … I saw those cottages surrounded by ample yards … thickly clad with green grass … in place of the customary infernal geranium languishing in the dust and general debility on tin-roofed rear additions … I saw luxurious banks and thickets of flowers, fresh as a meadow after rain. (30)

Twain continues his poetic comparisons, pitting "wide-spreading" forest trees against "painful sharp-pointed shrubbery," picturesque and content cats against "tiresome" goldfish, and idyllic "long-haired, saddle colored" young women against hard-living "roughs and rowdies" (30-31). The comparison culminates rather self-consciously in an allusion to the tranquility of the Garden of Eden, and Twain loses himself in an overblown poetical musing peppered with such near-meaningless descriptors as mountains "clad in refreshing green," "chasmlike valleys," and "a long white line of foamy spray dashing against the reef" (31). As if finally weary of his own overwrought poetics, Twain introduces Brown to provide a realistic though pessimistic counter-argument: "Yes, and hot. … Go on, now, and put it all down, now that you've begun" (32). Brown bemoans the

islands' less-desirable physical qualities, including constant heat, "santipedes," cockroaches, fleas, lizards, ants, scorpions, and spiders.

As an alternative to Twain's description of Paradise reborn, Brown's complaints provide more than a few realistic details, focusing as they do on pestilent and dangerous insects and unbearable heat. Just as Hawaii may be seen to embody the attributes of Paradise, Brown reminds Twain (and hence the reader) that the islands may just as well embody the attributes of damnation and hell. In the guise of humorous discord, Twain's narrative imparts a truth that is somewhere in between: Hawaii is indeed beautiful, but it is not godly and not beyond the grasp of imperialist improvement.

Twain closes the letter with the tongue-in-cheek admonition (much like the notation at the beginning of Huck Finn), that Brown "is one of those men who always looks at the unpleasant side of everything, and I seldom do" (34). Just as Huck Finn's prologue invites criticism and probing of the novel's more complex themes, so this warning weakens Twain's position with respect to his alter-ego's, self-consciously suggesting that Twain perhaps does "look at the unpleasant side."

In writing of Twain's Roughing It, which includes material originally conceived in the Sandwich Islands letters, critic Rogers argues that the shifting of points of view between Brown and Twain owes its origins to the traditions of early nineteenth-century burlesque travel literature (32). This formal historical

placement is useful in that it helps to establish the narrative as structured in its intent and effect, for Rogers' argument positions Twain as the central gullible character who, "in his extreme sentimentality and his frequent soliloquies upon picturesque or melancholy scenes," must reconcile his views with the grim reality before him as presented by Brown (33-34). Rogers points out that "such a manipulation of the point of view, in itself a relatively simple affair, has enormous consequences for the art of fiction which strives to build the illusion of objective reality" (43). Thus the character of Brown must not be interpreted as a simple rough-edged comic mouthpiece; he is a character designed to counter or mock Twain's sentimentality and poetic vision on the question of the Hawaiian Islands. While Twain's sentimentality helps to establish romantic impressions of the islands, Brown's negativism mitigates that sentimentality through a mocking (or burlesque) comic response. While his later, more complex novels such as A Connecticut Yankee in King Arthur's Court satirize social systems of the late nineteenth century in the tradition of, as Goldman notes, Jonathan Swift, here the aim is to gently mock Twain for his internal, sentimental misgivings about imperialism (Goldman 15).

Brown's mocking point-of-view is most conspicuously and broadly employed when he literally vomits aboard the *Boomerang* upon hearing Twain's doggerel rendition of Polonius' speech from Hamlet. Again, Brown's noteworthy appearance comes on the heels of a particularly ornate passage in which the

narrator describes stepping onto deck and being overwhelmed by the vision of the ship's sails against a "glittering sea of liquid silver." As Twain the narrator again steps into a contrast of dark/light similar to the Eden/Hell of chapter 4, he describes a scene of "no darkness, no dimness, no obscurity" (198). Even the Kanakas are "sharp and distinct" in Twain's vision. The description finally falls upon the contrasting image of Brown, whose "white" face is "glorified" while his body remains obscured by the black shadow of the ship's mainsail (198). The narrator Twain discovers Brown outside the realm of the idyllic image and fallen seasick. While Twain attempts to relieve "this bitter enemy to sentiment" of his sickness through "pathetic narratives," "eloquent declamation," and "humorous anecdotes," it is his rendition of the famous "borrower/lender" speech from Hamlet that finally succeeds in bringing Brown to the point of regurgitation. The speech of course reflects on the nature of self and truth, and as critic Florence has pointed out, it is often Brown, not Twain, who is "unto his own self true, presenting the more discerning views of life" (54). In misinterpreting and disfiguring the original poetry of the speech, Twain points to the narrator's own insincerity and overblown sentimentality. Gerber refers to this use of schism as a sentimentalist "pose of superiority" usually assumed to "give Brown a chance to demolish it" (129). In negating Twain's sentiment, Brown provides the truer and more sympathetic voice, in that it relieves the reader of judging Twain's comically awful poetry and, in turn, his poetic descriptions of the Hawaiian

seascape, by providing an escape through an immediate response within the narrative.

Twain as narrator again uses poetry to induce vomiting in Brown aboard the *Emmeline*, and the episode similarly follows a passage in which the author has lapsed into a sentimental mindset, musing on the "amazingly unselfish and hospitable" nature of the Kanakas. Tellingly, he characterizes this unselfishness as an inborn trait, no more changeable than the native tendency toward "licentiousness" (282). While not rendered in the purple prose of his earlier natural descriptions, this notion of the uneducated "savage" as the object of romantic elevation owes its origins to Rousseau; such an elevating view ironically reduces the native to a specimen of zoological wonder, unaffected in his natural state by the complications of modern thinking. Twain in other parts of his letters works to disprove the idea that the Kanakas cannot be "refined"; here, he succumbs to a sentimental romantic view of the natives. As if to underscore this irony, the passage is immediately followed by reactionary vomiting from Brown.

To induce vomiting in this instance, Twain uses an intertwining combination of romantic lines from Charles Wolfe's "The Burial of Sir John Moore" and Byron's "The Destruction of the Sennacherib." This mishmash of eulogies for fallen war heroes, composed of British Romantic poetry, provides a convenient sentimental target, following the poetical musings on the unselfish natives, for Brown's sickness.

That British Romantic poetry induces sickness is telling, for the imperialistic vision that Twain champions is uniquely American, deriving its power from the capitalistic possibilities of the population of the islands to both contribute to and reap from its own takeover. In this same vein, Twain elsewhere in his narrative describes the work of the missionaries as giving the natives the "freedom and the right to enjoy whatever the labor of their hands and brains produces" (54). Critic Amy Kaplan refers to Twain's unusual brand of imperialism as a kind of "triangulated" reconfiguration of the idea of Empire: "The opposition Twain poses between the U.S. and Europe contributes to a discourse that represents the U.S. as an anticolonial power" (240). In Kaplan's paradigm, Twain positions himself as the masculine, "unassuming" Western American (as opposed to the previous roles of whaler, missionary, or bureaucrat) who "transcends" above the feminine European imperialist and the primitive natives (239-40). Thus, Twain's implicit anti-British sentiments are not inconsistent with his American imperialist vision. When the sentimental narrator admonishes Brown for "desecrating" an unseemly monument to the fallen Captain Cook, Brown retorts vehemently: "I don't see nothing so very high-toned about this rotten old chunk" (242). Brown then directs his rage against the excesses of the royal family, a key target for attack in delineating the differences between American and European models of imperialistic conquest. Spoken in the humorous but sympathetic vernacular of the rural American, Brown's voice aligns

itself with the sensible and pragmatic American everyman. As the letter closes, Twain admits that Brown's "vaporings sound strangely plausible sometimes," and the episode once again through mocking tones negates the misgivings of the sentimental Twain. Just as Kaplan notes that Twain often places Hawaiian native culture safely in the realm of what is dead or dying, the "glory" of Cook's English conquest is here relegated to the forgotten past (Kaplan 242).

Twain by way of Brown more directly comments on native culture and tradition in the context of Princess Victoria's funeral rites. As Twain respectfully observes the "touching expressions of mourning," Brown disparages the wailing as "a racket" (166). Brown's complaints, officially admonished by the narrator as "shameful" and "uncharitable," actually align themselves with the overall stance of the section, subtitled "More Heathen Deviltry" (166). With his mocking incantations of "Jesus Wept," Brown forces Twain into a weak position of protest, but the humor only serves to point to the absurdity of the narrator's comparison of the "barbaric" rites to those of the Christian tradition. As a way of synthesizing these counterpoints, Twain follows the Brown episode with an injunction against the bishop for allowing the funeral rites, as well as the "lascivious" hula dance, to be reintroduced to Hawaiian culture. Again, in Twain's Hawaiian worldview, these traditions had safely been "half-forgotten" and relegated to the bone pile of native history and the responsibility lies with the imperialist caretakers to maintain "progress" (170).

The indictment of the bishop rather than the natives for the presence of the "strange and unpleasant scenes" of the funeral rites only temporarily displaces blame. While he "finds no fault" with the natives for their attachment to ancient custom, a view that presupposes the inability of the natives to govern their own culture in a successful imperialist system, Twain finally admits to no value in the traditions as observed: "I could not disguise from myself that the gentle grief of the Savior was but poorly imitated here" (168). Once again, with his candid observations, Brown succeeds in altering the narrator's view and thus changing the overlying direction of the imperialist argument. That Brown works insidiously through the guise of humor helps to mitigate Twain's responsibility for his own American-imperialist leanings. He repeatedly attempts to champion the sympathetic and sentimental viewpoint, but is challenged and finally overridden by the pragmatic Brown.

Much of Brown's boorish, tourist-like activity in the narrative centers, as in the episode involving Cook's monument, on his proclivity for collecting souvenirs, bones, artifacts, and even coconuts. In his description of Twain's "comic poses," Gerber argues that in these confrontations Twain often becomes "the Gentleman" in contrast to Brown's inept traveler (129). In another view, Florence notes that "Twain sometimes blurs the line between Brown and himself, suggesting the artificiality of distinctions" (55). More simply viewed, these digressions represent small, comic triumphs of Twain the narrator and do not alter

the schism of the persona of the sentimentalist/imperialist. Rather, in most of these episodes, Twain idly comments on the antics of Brown; he does not prove himself up to any of the tasks directly. When Brown cannot scale a palm tree to gather coconuts, Twain does not proceed where Brown has failed; he only impotently considers correcting Brown's grammar and sentimentally remarks on the beauty of the tree. Brown counters with an anti-sentimental view gathered from his recent real-world experience:

> I don't see it …. People that haven't clumb one are always driveling about how pretty it is. And when they make pictures of those hot countries they always shove one of the ragged things into the foreground. I don't see what there is about it that's handsome; it looks like a feather duster struck by lightning. (229)

Brown's rural American dialect and unusual metaphor provide a more immediate response to Twain's useless sentimentality, and the narrator responds with his typical bemused silence. Brown's words, while positioned for comic effect, also figure as the final argument on the issue of the palm trees. Interestingly, in his frustration Brown dismisses the palm tree exercise as "tabu," irreverently adopting the word representative of Hawaii's most-often-criticized religious facet. In associating the trivial yet painful act of climbing a palm tree with the ancient system of taboo, Brown dismisses the system as capricious and punitive.

Through simple actions and cursory remarks, Brown mitigates or at least Nsignificantly diminishes the effect of the narrator's empty sentimentalities.

In 1873, Twain the public persona contributed two letters to the New York Tribune to officially announce his opposition to U.S. annexation of Hawaii (Foner 312). In these missives, Twain decries the decimation of the indigenous Hawaiian population, chastises the economic motives of the sugar plantation owners, and bitterly suggests that annexation would introduce Hawaiians to the "novelty of thieves" through the American government (Foner 312-313). How had Twain's position thus shifted in the space of a few years, when his Letters from Hawaii had mocked the inefficiencies of Hawaiian government and speculated on the bottom-line economic possibilities of American control of Hawaiian sugar plantations and native labor? Is it, as Kaplan suggests, that Twain was "dislocated" or confused by the unexpected cosmopolitan character of a country already in the midst of a transformation from monarchy to republic? (Kaplan 239). Or is it simply evidence of the growing presence of pessimism and cynicism in Twain's sociopolitical views? Within Letters from Hawaii, various contradictory positions have led to assessments such as Sumida's that the collection do not present a unified report or final text on Hawaii and are better seen as raw material (588-89). In Roughing It and in his popular speech "Our Fellow Savages of the Sandwich Islands," Sumida argues, Twain adopts a "pastoral, paradisiacal view of Hawaii" as presented paradoxically by a civilized

and enlightened lecturer. The imperialist arguments no longer seriously counter these sentimental views.

Yet it is too easy to dismiss the potential cohesive nature of the imperialist argument in Letters. In reconciling the biographical and textual evidence of Twain's imperialist views, one must ask what final vision of imperialism is presented. If, as Hunt Hawkins suggests, Twain was virtually unaware of the imperialism question before his public stances on the issue in the 1890s, Letters must represent only an implicit, *de facto* treatise in favor of an exploitative economic relationship with the United States (Hawkins 35). In enumerating the economic and quantitative possibilities of the islands' sugar production and whaling industries, often illustrating his descriptions with numerical tables, Twain presents Hawaii as a veritable paradise. However, it is not the paradise of religious myth or tourism. Rather, Twain's paradise is a paradise of economy and American opportunity, wherein all involved may profit and benefit. This "paradise proposed" sets forth various economic scenarios that Twain suggests will increase production in Hawaii and drive up profits on the mainland, and it thereby differentiates itself from the Euro-imperialist model of domination and non-beneficial exploitation. Yet Twain's anti-imperialist conscience ironically reveals itself in the contentious voice of Brown, who mocks and negates the narrator's moral and cultural objections to Hawaiian annexation. Through Brown's mocking tone and protestations as to the barbaric nature of Hawaiian

customs and traditions, Twain repeatedly closes the dialogue with himself and realigns the narrative with the position that Hawaiian traditions are better left dying or buried. While Twain and Brown frequently argue, they do so only as a rhetorical route toward agreement. Twain presents possible cultural objections masked by sentimentality, and Brown dismantles those objections through mockery and appeals to Christian decency and good taste. The humor inherent in the verbal sparring allows Twain to couch his imperialist arguments in the positive terms of comedy while distancing himself from the crass, severe stances of Brown. Gerber notes that Twain's comic pose allows him to make his sociopolitical views more implicitly while avoiding the sarcastic, alienating tone that often characterizes his later, more direct prose arguments (Gerber 137).

Twain's later visits to and writings about Hawaii suggest that he considered the islands an unsolved problem and a lyrical mystery. Interestingly, in his adaptation of the Hawaii letters for Roughing It, Twain eliminates the character of irascible Brown, while retaining but toning down many of Brown's realistic assessments. By dispensing with the unpleasant companion, Twain rids himself of the nagging self-doubts and embraces a more fully rendered vision of the islands as a real-world paradise peopled by natives who are, in Twain's words, "no less savage" than the white man.

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Title: The Shah's Admission into the United States: "A Trigger" or "An Excuse" for the Iranians to Capture American Diplomats As Hostages

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The Shah's Admission into the United States: "A trigger" or "An excuse" for the Iranians to Capture American Diplomats As Hostages

When its Embassy in Tehran was seized and its diplomats were captured as hostages on November 4, 1979, the United States faced an acute diplomatic crisis which challenged its authority both in Iran specifically and in the Middle East generally. Rarely in its history has the United States encountered a challenge as difficult, frustrating, and emotionally charged as that of freeing the captured hostages. Its attempt finally succeeded on January 20, 1981, minutes after Ronald Reagan was sworn in as the President of the United States.

Some critics believed that the Shah's admission into the United States for medical treatment on October 22, 1979 was a "trigger" for the seizure. On the other hand, many scholars were convinced that the admission was just an "excuse" exploited by Iranian militant students and fundamentalists to create a confrontation with the United States. In light of this controversy, this research, through historical perspectives, reevaluates the origin of the Iranian hostage crisis to ascertain its causes.

The hostage crisis was an effort on the part of militant students to follow the line of Ayatollah Khomeini to achieve the aim of the Iranian Revolution, establishing an absolute Islamic Republic guided by the principles of Shia Islam. They were willing to sacrifice their lives to drive the United States out of Iran, to resist American culture, and finally to draw world attention to Iranian grievances against the United States. In addition, the religious leaders had some other reasons to support the seizure as well. They wanted to use the hostages as an issue to sever relations with the United States. The clergy could replace the moderate secularists in controlling political power and thus transform Iran into a solid Islamic Republic. They were also afraid of the propaganda of the secular leftists against the United States because it might make them popular with Iranian people. They did not want the leftists to lead the attack like the incident on

February 14, 1979, when the Fedayeen-e-Khalq guerrillas, one of the leftist groups, attacked the United States Embassy and held its officials as hostages.

The research reaches a conclusion that the Shah's admission into the United States for medical treatment on October 22, 1979 was an "excuse" to capture American diplomats as hostages. The admission was used to justify Iran's attempt to stop the United States from interfering in Iranian internal affairs – possibly to prevent repeats of the incident of 1953 when the Americans took part in the coup that brought down Prime Minister Mossadeq and restored the throne to the Shah. To sum up, the origin of the hostage crisis is the Iranian fear and lack of trust in the United States foreign policy towards Iran.

Title page

a) Title: The antiquity of Tourism

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Abstract

Tourism is commonly understood as a typically modern phenomenon associated with leisure time and paid holidays. Now one of the world's major industries, we assume that tourism is somehow a result of the recent development of more efficient means of transport and better accommodations. However, amongst the Cuiva, nomadic hunters and gatherers of Eastern Colombia, individuals occasionally embark on relatively long visits to distant neighbors for no apparent social, economic, political or religious purpose. In fact, it seems that such journeys are undertaken for the simple pleasure of breaking the ordinary routine, seeing new faces and exotic landscapes, as well as for the advantage of having, afterwards, many good stories to tell. If we can extrapolate from this example, the suggestion would be that tourism and the desire to visit distant and different lands and peoples is not a recent invention but an interest as ancient as humanity itself.

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Submission Title

Lysergic Acid Diethylamide and Chromosomal Damage: A rhetorical analysis of five scientific journal articles

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Abstract

The amount of popular literature regarding LSD's psychological effects outweighs the amount of scientific literature on the subject, but a great deal of scientific discourse exists regarding LSD's physiological effects. This paper examines scientific discourse regarding a reported link between LSD and chromosome damage in five articles published in prestigious journals — the first three articles written on the subject, an article from a slightly later date, and a landmark review. The analysis employs Latour's statement typologies and an ad-hoc linguistic analysis that examines word meanings (particularly verbs and nouns), highlights implications of agency, and deconstructs sentences.

Lysergic Acid Diethylamide and Chromosomal Damage:

A rhetorical analysis of five scientific journal articles

by Jonathan Arnett

for Dr. Ken Baake

ENGL 5384 – Rhetoric of Science

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Introduction

The subject of psychedelic drugs, particularly lysergic acid diethylamide (commonly referred to as LSD), is a difficult subject for scientific investigation on two accounts. First, psychoactive drugs are a politically sensitive subject in American society and research on LSD is tightly controlled by the federal government. Accordingly, the amount of scientific literature available regarding LSD is somewhat limited because of the restrictions placed upon research and is far outstripped by the vast amount of popular writings. Second, obtaining data on LSD's psychological effects is very difficult; these effects are limited to the individual, subjective perceptions of the persons who ingest the drug, which is beyond the scope of typical scientific investigative techniques; firsthand reports from individuals who recount their experiences after ingesting LSD are necessarily subjective and also cannot be independently verified or replicated. Also, this kind of report, because it often veers into a discussion of the author's reflections upon the numinous, is usually classified as popular literature, not scientific discourse.

However, the one area in which scientists can investigate LSD's effects using traditional scientific methods is the realm of physiology, where macro- and micro-level examination of drug effects is a common undertaking. As such, this article attempts to analyze the discourse in five articles published in prestigious journals — the first three articles written on the subject, an article from a slightly later date, and a landmark review — that address a reported link between LSD and chromosome damage.

Each article is ostensibly a dispassionate report of the authors' experiments or a review of other authors' studies; however, research into the rhetoric of science clearly indicates that all authors display subtle biases in their choices of language, visual displays, and argumentation. This paper's focus is on the authors' justifications of their studies and their characterizations of LSD within the articles' text. Specifically, this analysis uses Latour's statement typologies and an ad-hoc linguistic analysis that examines word meanings (particularly verbs and nouns), highlights implications of agency, and deconstructs sentences.

Analytical Criteria

Latour's Typologies

Latour (1979/1986) described a 5-point hierarchical system that can be used to classify assertions of fact in scientific discourse. The higher levels describe statements of widely accepted fact; the lower levels describe conjectural statements.

- Type 5 statements concern knowledge that doesn't need to be communicated explicitly because the information is "a well-known, unremarkable, and uncontentious fact" (Latour, p. 76); they are extremely rare in written scientific discourse.
- Type 4 statements present uncontested facts; they are relatively uncommon in journal articles and often take forms that would be familiar in a textbook.
- Type 3 statements contain modalities – qualifications about the facts within the factual statement – and present the information as somewhat tentative. Deleting these modalities results in a Type 4 statement.
- Type 2 statements contain several modalities and are highly qualified; the modalities may highlight problems with evidence or suggest further research.
- Type 1 statements are essentially conjecture.

Linguistic Analysis

In terms of linguistic analysis, this paper employs an ad-hoc method. When the author deems it interesting, he examines words for subtle shades of meaning that may shed light on different interpretations of certain passages. In other areas, the authors attempts to highlight implications of agency. In other areas, the author analyzes sentences' grammatical structures to draw attention to the authors' emphasis.

Statements of Purpose

Comparing the different ways in which the authors justify their articles' relevance through statements of purpose is an interesting endeavor. The standard introduction in journal articles provides a review of the existing literature on a subject, characterizes the current state of discussion, and includes a statement of purpose that locates the new article within the discussion and justifies its existence. The authors of the following articles generally follow this format, but examining the specifics of how the authors introduce their articles sheds light on the authors' thinking.

Cohen, Marinello, & Back – March 1967

The original article on the subject of linking chromosomal damage to LSD, by Cohen, Marinello, & Back in the March 1967 issue of *Science*, did not provide a clear justification for the authors' investigation. Instead, the authors stated:

> The induction of chromosomal abnormalities by various exogenous agents has been studied extensively (*1*,*2*). In addition, compounds with specific pharmacologic and chemotherapeutic value cause chromosome damage (*3*). The psychotomimetic agent lysergic acid diethylamide (LSD-25), when added to cultures of human peripheral leukocytes, produces a marked increase in the frequencies of chromosomal breaks and rearrangements compared to untreated cultures (p. 1417).

The first and second sentences are generic statements in which the authors attempt to characterize this article as a logical follow-up to previous research. However, the link between the ideas that other chemicals are known to cause chromosome breakage and that LSD is a worthwhile subject for similar examination borders on a Type 5, or "taken-for-granted" (Latour, 1986, p. 76), statement. This connection may not be absolutely clear to the readers, and making the readers forge this link may create a sense of reader ownership in the study's concept, thus making the study's results more believable.

The third sentence is a Type 4 statement as described by Latour, in which an author expresses an uncontroversial relationship; in scientific journal articles, this is a relatively common sentence structure. However, using a Type 4 statement in this particular context is a questionable rhetorical move on the authors' part because, in this sentence, the authors simultaneously introduce their study and describe its results as an established fact. This combination is contrary to the accepted procedure in IMRaD-format articles, which is to restrict the introduction to providing a brief literature review and justifying the study. If the authors preview their conclusions, they do so in a separate sentence, normally phrased as a Type 3 statement.

Ultimately, this introductory paragraph is unsatisfying. It leaves important questions unanswered, such as what prompted Cohen, Marinello, & Back to perform this study, what were their motives in doing so, and did they enter into the project hoping to find the results they reported?

Irwin & Egozcue – July 1967

The second article on the subject, by Irwin & Egozcue in the July 1967 issue of *Science*, has a clear statement of purpose in which the authors cite the Cohen, Marinello, & Back study and summarize its findings:

> The addition of LSD-25 to cultured human leukocytes produces increased chromosomal abnormalities. Similar damage was observed in a schizophrenic patient tested 8 months after he had received 15 treatments with LSD-25 over a 4-year period (*1*). The present study was undertaken to validate these observations among users of LSD-25 (p. 313).

The first two sentences are rhetorically interesting. On the surface, analysis appears to be simple; the first sentence is a classic example of a Type 4 statement, and the second sentence is a Type 3 statement. However, outside this classification, the sentences' implication of factuality can be interpreted in two radically different ways. The most intuitive reading is to interpret the first sentence as a simple, definitive statement of fact and the second sentence as a tentative description of research findings; this reading is congruent with the basic analysis of statement types according to Latour's classificatory scheme. On the other hand, the parenthetical citation following the second sentence signifies that the first two sentences are a summary of Cohen, Marinello, & Back's results, not the uncontroversial statements of fact that a Type 4 classification implies. In addition, the verb "to validate" in the third sentence implies that the results described in the first two sentences have not been confirmed, so the reader does not need to take the reported findings as gospel, even though the Type 4 statement implies the in vitro results' truthfulness.

The word "validate" in the third sentence is also interesting for another reason. This may be a simple case of common scientific phrasing, but to validate observations connotes confirming and therefore reifying experimental results, which is more than simply replicating studies.

The phrase "among users of LSD-25" highlights a subtle justification of Irwin & Egozcue's in vivo study as a follow-up to Cohen, Marinello, & Back's mostly in vitro study. The former is ultimately of more importance because LSD is a drug that people use, not just a test-tube chemical found in cytologists' laboratories. If LSD actually does cause chromosome damage in humans, then the effects found in an in vivo study will be more relevant than results found in any in vitro study.

Cohen, Hirschhorn, & Frosch – November 1967

The third article on the proposed link between LSD and chromosome damage, by Cohen, Hirschhorn, & Frosch in the November 1967 issue of *The New England Journal of Medicine*, contains a somewhat presumptuous statement of purpose:

> The induction of chromosomal aberrations by exogenous agents, such as viruses, radiation and chemicals, is an area of active cytogenetic investigation.[1] Recently, the psychotomimetic hallucinogen, lysergic acid diethylamide (LSD-25), has been added to the list of chemicals capable of causing abnormalities in the chromosomes of human leukocytes.[2,3] Such preliminary studies report the in vitro and in vivo chromosomal effects of LSD, and the present communication extends these observations to include additional in vitro findings and a significant sample of patients (p. 1043).

The second sentence is a Type 4 statement that characterizes the Cohen, Marinello, & Back and Irwin & Egozcue articles, which Cohen, Hirschhorn, and Frosch describe as "preliminary," as valid

and confirms the link between LSD and chromosome damage, even though those two articles describe the only studies performed on the topic at that time. The third sentence is a Type 4 statement in which the authors further reify this link by using the word "report," which implies objective conveyance of facts, to describe the authors' communication of their results. In addition, although Cohen, Marinello, & Back describe the cited studies as "preliminary," they state that their new study "extends these observations," which implies that their new study contains the same information as but is superior to the previous studies.

This article, which was published in the New England Journal of Medicine, includes an appeal to the journal's audience by using the word "patients" instead of "subjects" to describe human participants in the experiments. (Further implications of this word choice will be discussed in the next section.)

The authors include another justification for their study in the Discussion section. The first paragraph states, "That LSD should come under scrutiny at this time is particularly pertinent considering the supposed widespread use of this drug and almost total lack of knowledge concerning its basic biochemical or pharmacologic properties" (p. 1047). The reader must assume, then, that the exception to the "almost total lack of knowledge" is LSD's biochemical property of breaking chromosomes, as described by the authors. Thus, this statement also has the effect of creating *ethos* for the authors by casting them as definitive authorities on the esoteric subject of LSD and chromosome damage.

Sparkes, Melnyk, & Bozzetti – June 1968

The Sparkes, Melnyk, & Bozzetti article, published in the June 1968 issue of *Science*, contains a hedged statement of purpose:

> Effects of various environmental factors on human genes and chromosomes are receiving increased attention. Recent studies indicate that certain drugs, including lysergic acid diethylamide (LSD), may lead to chromosomal damage; although some workers have demonstrated damage by LSD (*1-3*), others have not (*4*). Two studies agree on the effects of LSD on chromosomes in vitro (*3*, *5*), but reported effects in vivo are conflicting. Because relatively little is known of the biochemical effects of LSD in relation to human chromosomes, the answer to the question of whether it does damage chromosomes depends on further observations. We have found no significant damage in vivo (p. 1343).

In direct contrast to the previously discussed articles, Sparkes, Melnyk, & Bozzetti do not use Type 4 statements to characterize other studies' results as firmly supporting the idea that LSD causes chromosomal damage. Instead, the authors use internally contradictory sentences in order to characterize previous research results as mixed. A simple example of this is the third sentence, which contains two Type 4 independent clauses:

- "Two studies agree on the effects of LSD on chromosomes in vitro," and
- "reported effects in vivo are conflicting."

In combination, the second clause casts great doubt on the first clause's validity.

A more subtle example of this technique is the second sentence, a compound complex sentence, which contains two Type 3 statements:

- "Recent studies indicate that certain drugs, including lysergic acid diethylamide (LSD), may lead to chromosomal damage," and

- "although some workers have demonstrated damage by LSD,"

and one Type 4 statement:

- "others have not."

It is interesting to note that the authors employ Type 3 statements for conclusions they presumably disagree with and a Type 4 statement for the sentence that most closely parallels the preview of their study's conclusions, "We have found no significant damage in vivo."

Including this Type 3 statement in the introduction is unusual, as was summarizing the study's conclusion in the Cohen, Marinello, & Back article; however, the authors' approaches differ greatly. Cohen, Marinello, & Back employ a Type 4 statement, which expresses their findings as an established fact, while Sparkes, Melnyk, & Bozzetti use a Type 3 statement, which expresses a claim.

Yet another significant difference between this and previous articles lies in the authors' use of a Type 2 statement to justify their study. In the fourth sentence, a Type 2 statement, the authors employ explicit phrasing — "Because relatively little is known...the answer...depends on further observations" — that expresses uncertainty about the state of knowledge relating LSD and human genetics, and they provide a suggestion designed to "elucidate the value of the relationship at issue" (Latour, p. 79).

Dishotsky, et al. – April 1971

The Dishotsky, Loughman, Mogar, & Lipscomb article, published in the April 1971 issue of *Science*, contains a relatively short, but telling, introduction:

> Chromosome damage in human white blood cells, leukemia, malformed infants, and animal mutations have been reported in man and other organisms that had been exposed to lysergic acid diethylamide (LSD). In the past 4.0 years, 68 studies and case reports directly related to this issue have been published. We have undertaken to review these studies in order to clarify what is now known, and to help resolve the problems relating to the use of this drug. The questions we attempt to resolve are whether LSD is a chromosome-breaking agent and whether it is a carcinogen, a mutagen, or a teratogen in man (p. 431).

This introduction is rhetorically interesting on several accounts. First, the authors summarize and describe four years' worth of research in a Type 3 statement without going into any detail, whereas the other studies, with the exception of Cohen, Marinello, & Back's original article, describe at least one previous study's results in detail. In the introduction of a critical literature review such as this, a broad survey of this type is rhetorically appropriate, for the authors will go into detail later, but it is still interesting that Dishotsky, et al., do not mention any historical details about their article's topic in the introduction.

Second, the introduction's third sentence, "We have undertaken to review these studies in order to clarify what is now known, and to help resolve the problems relating to the use of this drug," contains no hedged language; Dishotsky, et al., present their goal simply: they intend to provide definitive answers and settle the debate.

Third, the final sentence's subject, "questions," emphasizes that the reported links between LSD and chromosome damage, cancer, mutations, and birth defects are far from settled. This does not cast Dishotsky, et al., as searchers for chromosomal damage, breaks, aberrations, or abnormalities — in other words, as searchers for problems — as the other authors in this sample portray themselves;

instead, the emphasis on "questions" creates *ethos* for the authors by casting them as skeptical truth-seekers.

Fourth, the first and fourth sentences' structures preview the authors' strategy, *copia*, for discussing the various issues present in the text. All told, the authors address 10 subtopics (in vitro, in vivo, impure LSD, pure LSD, post-treatment with medical LSD, pre- and post-recreational use, cancer, mutations, DNA changes, and birth defects) and provide a detailed analysis of at least three studies within each subtopic.

Characterization of LSD

The different authors characterize LSD in different ways, each of which sheds light on the authors' mindsets.

Cohen, Marinello, & Back – March 1967

Cohen, Marinello, & Back (March 1967) refer to LSD as a "psychotomimetic agent" (p. 1417) in their article's introduction. Psychotomimetic is a pejorative term meaning "mimicking mental illness" (Bunce, 1979, p. 223), and, even at the time this article was written, psychotomimetic was an outdated term. Ten years previously, Osmond (1957) stated that the term psychotomimetic, which implies a drug has the "capacity to mimic the mental illnesses called psychoses" (p. 418), "is far too narrow a general term, and...suggested several that imply alternation in the normal mind...[his] own preference being 'psychelytic,' or 'psychedelic'—mind-manifesting" (p. 432). Psychedelic became the generally accepted term for LSD and similar psychoactive drugs, but the negative connotations associated with the original scientific descriptor "psychotomimetic" linger in the public consciousness (Bunce, 1979).

An interesting characterization of LSD that appears regularly throughout the literature first appears when Cohen, Marinello, & Back employ the ancient rhetorical technique of *prosopopoeia*, or anthropomorphization, and use a Type 4 statement to ascribe independent agency to LSD. They state, "Lysergic acid diethylamide also shows an apparent affinity for these chromosomal regions" (p. 1417). The use of "affinity" is likely a case of standard cytological terminology, but in common use, the word "affinity" contains the implicit idea that LSD has preferences, which implies LSD possesses independent agency and motivation, in this case a predatory motivation.

Similarly, the authors state that "LSD-25 is apparently another agent which is capable of quickly producing chromosomal damage in vitro" (p. 1418). In this Type 3 statement, the term "agent" implies LSD is an independent, malignant entity which can take action and "quickly produc(e)...damage."

It is important to note that independent agency presupposes the potential for autonomous, directed action. Thus, denying LSD independent agency would not imply that LSD is a psychologically or physiologically inert substance, for although LSD can and does produce effects in the human body, its effects are predicated upon a person exercising agency and ingesting the drug.

Irwin & Egozcue – July 1967

In the article's body text, Irwin & Egozcue characterize LSD in terms of its cytological effects twice, in terms of its ingestion twice, and in terms of its users nine times. In particular contrast to the language in the Cohen, Marinello, and Back article, the authors' language does not imply that LSD has independent agency.

At face value, the first reference to LSD's cytological effects, "The addition of LSD-25 to cultured human leukocytes produces increased chromosomal abnormalities" (p. 313), appears to be an uncomplicated Type 4 statement that characterizes LSD as possessing agency. However, as discussed in the previous section, this introductory sentence summarizes Cohen, Marinello, and Back's findings; it does not necessarily represent Irwin & Egozcue's attitudes. Thus, it is difficult to analyze this sentence properly; its tenor is not representative of the authors' general approach when characterizing LSD (as will be discussed below), and its strong phrasing clashes with the highly tentative phrasing of the conclusions. Ultimately, it seems proper to regard this statement as a non-representative artifact.

Irwin & Egozcue's second reference to LSD's cytological effects comes in the conclusion and is much more tentative: "The chromosomal abnormalities, for the moment, appear to be induced by as little as four doses of LSD-25 exceeding an estimated 200 μg" (p. 314). This sentence is a Type 2 statement, which indicates great uncertainty regarding the results. The authors may have intended to write a Type 3 statement, which would imply only some tentativeness, but the piled-up modalities "for the moment," "appear to," and "an estimated" display Irwin & Egozcue's uncertainty.

The authors' verb choice in this sentence is interesting, for the verb "to induce" may be interpreted differently, depending upon the circumstances of its use. In common usage, "induced" is a relatively weak verb that means "persuaded" or "influenced," not "forced" or "brought about directly"; however, in a medical sense, as in "induced vomiting" or "induced labor," the verb takes on the latter meanings and connotes bringing about physically unpleasant events. At the same time, the passive voice verb construction "to be induced," which is traditional in science writing, effectively removes direct agency from the drug. In the end, the authors' conclusion is much more tentative than the introduction and does not impart independent agency to LSD.

The authors' characterizations of LSD as "doses" do not ascribe agency to the drug, either. The authors address dosages in two sentences:

- "The mean estimated dose of LSD-25 taken was between 200 to 600 μg, with a peak dose intake ranging from 400 to 2800 μg" (p. 313); and
- "The last dose of LSD-25 taken by six of the eight users before sampling was between 1 to 30 days" (p. 314).

In these sentences, LSD was "taken" by the experimental subjects, which denotes that the subjects used the drug, not that the drug acted independently on them. Similarly, the authors refer to "LSD users" nine times, which denotes that LSD is an object of use, not an independent agent.

Cohen, Hirschhorn, & Frosch – November 1967

Cohen, Hirschhorn, & Frosch's characterization of LSD differs greatly from the other articles; the authors describe potential adverse psychological reactions, use highly connoted language, and strongly imply that LSD has independent agency.

Unlike any other authors in this sample of documents, the authors mention "a bad LSD 'trip'" (p. 1048) and state that "One of the well documented dangers of LSD exposure is prolonged or acute behavioral derangements. Recurrence of psychiatric disorders has been observed at least a year after the last exposure to the drug" (p. 1048). The other authors restrict their commentary to LSD's potential physiological effects and do not mention psychological effects at all, much less characterize LSD's effects with the loaded terms "derangements" and "disorders." These choices strongly suggest bias on the part of Cohen, Hirschhorn, and Frosch.

Another example of the authors characterizing LSD negatively also appears in the description of experimental subjects. When the authors originally describe the source of data in Table 1, they write, "Peripheral leukocyte cultures were initiated from 22 persons who had ingested LSD (Table 1)..." (p. 1043). Somehow, these "persons" became "patients" in Table 1's caption, "Chromosomal Damage in Patients Ingesting LSD" (p. 1045), and in the sentence, "The 18 patients with a history of LSD ingestion are listed in Table 1" (p. 1046). Attributing hidden bias to the authors may not be entirely justified in this case, for as previously mentioned, this article was published in the *New England Journal of Medicine*, and referring to "patients" may be a simple rhetorical appeal to the article's readers. However, the word "patients" also implicitly asserts that people who ingested LSD need medical treatment; thus, the authors medicalize the issue, gain *ethos* as great authorities in the field, and reify their findings.

Another example of negative characterization occurs in the introduction, where the authors write, "Recently, the psychotomimetic hallucinogen, lysergic acid diethylamide (LSD-25), has been added to the list of chemicals capable of causing abnormalities in the chromosomes of human leukocytes" (p. 1043). As in the Cohen, Marinello, & Back article, the authors use the outdated, pejorative term psychotomimetic; they also ascribe malignant agency to LSD, in this case through the phrase "capable of causing abnormalities." The alert reader will notice that, like the sentence in the Irwin & Egozcue article discussed above, this sentence is in the introduction and summarizes previous research. Unlike the Irwin & Egozcue article, though, this characterization of LSD is similar in tone and content to the other references to LSD in the paper; therefore, in this case, the sentence appears to be an integral part of the authors' position, not a stylistic artifact, and worthy of close analysis.

Regarding independent agency, Cohen, Hirschhorn, & Frosch include a Type 4 sentence in the body text that implies LSD has independent agency: "It is now apparent that LSD is capable of causing chromosomal damage in human leukocytes in vitro and in the circulating white blood cells of the 'user'" (p. 1047). Although the authors ostensibly note that LSD must have a user in order to take effect, the quotation marks can be interpreted ironically, to mean that a person who ingests LSD is being used by the drug, rather than vice versa.

The authors also employ several Type 3 statements that imply LSD possesses destructive agency:

- "Table 5 shows the induction of chromosome breakage by LSD" (p. 1044);
- "The centromeric regions of all elements (except Group D) appeared to be very susceptible to breakage by LSD" (p. 1045); and
- "Since LSD appears in the circulation, it presumably has free access to germ cells" (p. 1048).

At the same time, the authors also provide nonjudgmental suggestions of agency through the verb "to expose":

- "Successive cultures on a baby exposed to LSD *in utero* (Case 1) showed 24/100 and 33/200 breaks, respectively" (p. 1047), and
- "Dicentrics and exchange figures, however, were seen only in the cells exposed to LSD from both experiments" (p. 1047).

In each sentence, primary agency rests with the entity which "exposed" the baby and cells to LSD, but in a medical sense, the word "exposed" means "to subject or allow to be subjected to an action, influence, or condition" (Dictionary.com), as in the common phrase "exposed to chicken pox." Thus, in this context, the reader will necessarily infer that the baby and cells were brought into direct

contact with LSD, and that LSD caused a physiological reaction after direct contact, not that LSD took action at a distance or sought out the baby and cells.

Sparkes, Melnyk, & Bozzetti – June 1968

In their introductory paragraph, Sparkes, Melnyk, & Bozzetti write,

> Recent studies indicate that certain drugs, including lysergic acid diethylamide (LSD), may lead to chromosomal damage; although some workers have demonstrated damage by LSD (*1-3*), others have not (*4*). Two studies agree on the effects of LSD on chromosomes in vitro (*3*, *5*), but reported effects in vivo are conflicting (p. 1343).

In these sentences, the authors characterize LSD as possessing the ability to bring about physiological changes in human cells and as a possible, yet unproven, cause of chromosome damage. This is congruent with their conclusions, that they did not find any significant damage in vivo, but further research is necessary "to explain the differences in the results so far reported" (p. 1344). Accordingly, these sentences can be likely interpreted as genuine reflections of the authors' cautious, yet not condemnatory, attitudes toward LSD.

Outside these sentences in the introduction, the authors do not actively characterize LSD or its effects. They generally confine their remarks to their study's methods and results, and thus, only rarely characterize the ultimate object of their study. The few times the authors do refer to LSD, it is either in the context of describing its users or people/cells that had been "exposed" to it.

In terms of LSD users, the authors write:

- "The subjects who had taken LSD privately were selected from patients seeking psychiatric help, usually after use of LSD..." (p. 1343);
- "The third group comprised patients who had been treated with LSD for medical reasons" (p. 1343); and
- "Furthermore persons who use LSD privately may not know the amount of LSD to which they are exposed, or indeed whether it is only LSD or really LSD" (p. 1343).

The first two sentences use the term "patients" to describe the experimental subjects, just as in the Cohen, Hirschhorn, & Frosch article, but in this case, the authors cannot be suspected of medicalizing the problem. As the first sentence clearly states, the experimental subjects were mental patients. The third sentence is very interesting for a different reason. This is the first time any authors characterized LSD as possibly impure, which is a previously unaddressed, yet crucial, confounding variable in studies involving recreational users of LSD.

In terms of LSD's effects, the authors characterize LSD as possessing limited agency to cause physiological changes after people or cells are "exposed" to the drug:

- "Moreover the results show no correlation between the total degree of exposure to LSD, or the proximity of the last dose, and chromosomal damage. However, one should note that quadriradials were observed only in persons exposed to LSD, while chromosome interchanges were found in one control and one 'user'.... There was no difference in distribution of the chromosome counts between the controls and the subjects exposed to LSD" (p. 1343-4);
- "Thus data obtained before and after exposure to LSD of the same person..." (p. 1344);

- "The positive effect of LSD on isolated cells in vitro may not be representative of exposure of these or other cells in the intact person" (p. 1344);
- "Apart from meiotic studies, which have not been reported for persons exposed to LSD, one can evaluate children of parents who have taken LSD..." (p. 1344);
- "...there appears to be no definite effect of LSD in this regard on humans" (p. 1344); and
- "The final answer will probably result from additional studies of persons exposed to LSD..." (p. 1344)

One particularly sentence referring to LSD exposure is, "Although exposure to LSD is a common factor among the subjects studied, most had been exposed to other drugs, so that correlation of any observed chromosomal changes with LSD is less clear" (p. 1344). In this Type 2 statement, Sparkes, Melnyk, & Bozzetti write of LSD producing "chromosomal changes," which is distinctly less pejorative than the chromosomal damage, aberrations, and abnormalities to which other authors refer.

Dishotsky, et al. – April 1971

The Dishotsky, et al., article is significantly longer than the other articles, and a thorough analysis that dissects every instance in which the authors characterize LSD is not feasible within the limited scope of this paper. However, this problem is somewhat mitigated by the fact that the article is a literature review; it does not contain any new experimental results, and, as such, the authors' approach to characterizing LSD itself is somewhat constrained by the content of the articles they review. As such, the analysis of the authors' characterization of LSD is restricted to a discussion of specific elements in the introduction and several general themes that recur throughout the body text.

Regarding the introduction, Dishotsky, et al.'s skeptical attitude toward the link between LSD and chromosome damage can be divined from their introductory comments. Specifically, the authors characterize LSD in the introduction's first and fourth sentences. The first sentence, a Type 3 statement, is, "Chromosome damage in human white blood cells, leukemia, malformed infants, and animal mutations have been reported in man and other organisms that had been exposed to lysergic acid diethylamide (LSD)" (p. 431). Although this sentence is a summary of previous research, as is expected in journal article introductions, it is nonetheless significant because the grammatical structure implicitly casts doubt on the reported link between LSD and the four listed problems and thus previews the authors' conclusions.

Breaking down this sentence reveals a two-part structure: a root sentence of the form (subject) + (verb) with a prepositional phrase attached. The root sentence, "Chromosome damage in human white blood cells, leukemia, malformed infants, and animal mutations have been reported," is noteworthy on two accounts. First, its subject is the four listed problems, not LSD; in fact, LSD is not even mentioned in the root sentence. Second, the passive voice verb construction "have been reported," while being a stylistic convention of scientific journal articles, also implicitly expresses some doubt about the reported problems' link to LSD.

The prepositional phrase, "in man and other organisms that had been exposed to lysergic acid diethylamide (LSD)," can be further subdivided into a main clause and a supplementary clause that further describes the objects of the preposition. The authors mention LSD at the very end of the supplementary clause and, as previously discussed, characterize it as a non-autonomous agent by using the verb "had been exposed." This phrasing places responsibility for exposure on humans, not on a pernicious nonhuman agent that infiltrated society.

The second characterization of LSD appears in the introduction's fourth sentence: "The questions we attempt to resolve are whether LSD is a chromosome-breaking agent and whether it is a carcinogen, a mutagen, or a teratogen in man" (p. 431). In this case, breaking down the sentence reveals a root sentence of the form (subject) + (verb) + (object) + (object). "Questions" is the sentence's subject, and "whether LSD is a chromosome-breaking agent" is the first object. Within that object, the word "whether" specifically posits doubt about the assertion LSD is a chromosome-breaker.

Regarding the body text, several consistent themes emerged. First, Dishotsky, et al., consistently place responsibility upon people by characterizing LSD as a chemical substance people take, ingest, receive, or are exposed to.

- "Cohen and associates added LSD to cultured human leukocytes in five concentrations ranging from..." (p. 431);
- "We believe...that the results obtained in vitro would inadequately predict the effects of LSD exposure in man" (p. 432);
- "Does ingestion of LSD by humans produce chromosome damage?" (p. 432);
- "...subjects in the group given pure LSD..." (p. 432);
- "...subjects in the group taking illicit LSD..." (p. 432);
- "...subjects given pharmacologically pure LSD" (p. 432);
- "Nielsen *et al.* studied five subjects treated with pure LSD..." (p. 435); and
- "Of the 53 individuals who ingested pure LSD (three studies), 50 (94.3 percent) showed no increase in breakage rates" (p. 435).

Second, like Irwin & Egozcue and Sparkes, Melnyk, & Bozzetti, the authors characterize LSD as possessing limited agency in that it can produce physiological effects on animal and human tissues after it is taken, ingested, received, or otherwise "exposed" to a recipient. Sentences in which this position is clear include:

- "However, the evidence of LSD intercalation into the DNA helix seems to provide the physical mechanism for the mutagenic effects of high doses in drosophila and the fungus, as reviewed above" (p. 437);
- "Early reports of an LSD-chromosome interaction suggested the need for direct observation of the effect of LSD on DNA" (p. 437);
- "Wagner described LSD as a planar, cationic, aromatic molecule that has the molecular characteristics necessary for interaction with the phosphate anions and for stacking between the bases of the DNA helix" (p. 437);
- "Auerbach and Rugowski reported that low doses of LSD administered early in gestation induced a high rate of embryonic malformation in several strains of mice" (p. 437);
- "An autoradiographic study on pregnant Yale Swiss mice showed that C-labeled LSD easily penetrated cell membranes, rapidly crossed the placental barrier, and entered the fetal circulation" (p. 437); and

- "In three studies ingestion of illicit LSD by pregnant women resulted in elevated numbers of chromosome breaks in their offspring" (p. 438).

In each of these sentences, the authors characterize LSD as an active chemical agent, but in one unique instance, the authors reverse the discussion of agency and characterize LSD as the subject of action:

- "If the metabolic degradation of LSD is considered, then the effective concentration in vivo of unchanged LSD would be approximately 0.0001µg/ml..." (p. 431).

Third, the authors characterize LSD as either being chemically pure or of doubtful provenance; in Dishotsky, et al's terms, the latter is "illicit" LSD. (The author's use of the term "illicit" is rhetorically interesting in itself, in that the word connotes that LSD itself is illegal, not that its unapproved possession or recreational use is illegal.) These discussions of LSD's purity usually mention a "user" and/or discuss the manner in which the user ingested the drug. For example, just on p. 433, in a discussion of studies reporting chromosome damage, the authors use the phrase "exposed to illicit LSD" five times and the phrase "used illicit LSD" twice. Other examples include:

- "Irwin and Egozcue reported the initial findings of chromosomal damage in illicit LSD users" (p. 432);
- "Of 310 subjects that have been studied, 125 were treated with pure LSD. The other 184 were exposed to illicit, 'alleged' LSD" (p. 432);
- "In 11 of the studies, LSD groups consisted of individuals exposed to known quantities of pure LSD in experimental settings. In 14 studies, subjects were exposed to illicit substances alleged to be pure LSD, but which were of unknown composition and potency. The significance of distinguishing between medically supervised groups treated with pure LSD in contrast to groups exposed to illicit LSD was suggested..." (p. 432);
- "The studies of pure LSD users can be divided into two classes" (p. 434);
- "When chromosomal studies of users of pure LSD were made, the potency, purity, and frequency of exposure to LSD did not depend on the subject's presumed knowledge or recalled estimates" (p. 434);
- "In tabulating exchange figures and fragments, the pure LSD subjects were combined with subjects exposed to illicit LSD" (p. 435); and
- "...subjects exposed to pure or illicit LSD" (p. 436).

Conclusion

Scientific writing purports to be objective and dispassionate; however, scientists are people, too, and analysis of these articles reveals that their authors possess subtle biases that come out through language usage.

In terms of the authors' justifications for their studies, the first articles did not include strong rationalizations for existence; in general, the approach seemed to be "it might be, so we must check." Even so, the first justifications include Type 4 statements, which indicate that the authors held relatively strong opinions regarding the subject of their investigations and the validity of their conclusions. As time progressed, though, the authors based their justifications on the existing

articles and the used fewer Type 4 statements. Instead, the authors began to employ more modalities, leading to Type 3 and Type 2 statements, and included explicit statements of uncertainty.

In terms of the authors' characterizations of LSD, the authors' attitudes were more transparent. The articles which Cohen lead-authored, in particular, seemed to be written from an anti-drug stance; this position was evident from their inclusion of a pejorative term for LSD, an implication that LSD is a independent agent with malign intentions, and references to adverse psychological reactions. The other authors, though, were more cautious in their descriptions and used tentative language, carefully constructed sentence structures, admonitions that LSD may not necessarily be pure, and either implicitly or explicitly notes that LSD is an object of use that has physiological effects, not a fully independent agent. Overall, the authors' characterizations were more neutral as time wore on.

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The 3rd Annual Hawaii International Conference on Arts and Humanities

1. "The Effect of Quizzes upon the Learning Process of a Foreign Language"

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6. Abstract: please see the next page

The effect of quizzes upon the learning process of *hiragana* strokes

In this paper, I argue that evaluation tools such as quizzes and examinations, which are often employed in classroom situation, have positive influence upon foreign language learning.

It has long been argued that quizzes and examinations may cause negative influence on learners' attitude toward language learning, because examinations may cause classroom anxiety and because they do not directly match the goal of language learning, but are merely tools for instructors to evaluate learners' knowledge of a target language.

In order to determine if these statements are true, I conducted an experiment, employing quizzes on *hiragana* stroke orders.[1] Subjects are 50 students in elementary Japanese classes at a university. The subjects are divided into two groups; one consists of 19 subjects (Group A) and the other consists of 31 subjects (Group B). On the first day of instruction---the day where the subjects have no knowledge about the Japanese language---both groups are given a questionnaire, as shown in (1), that reveals learners' instinctive manner of *hiragana* strokes, and the result of this quiz is used as the basic value for other quizzes, which learners take after learning stroke orders.[2]

(1) Native language:_____ Name:_____

Complete characters are shown in the leftmost columns and, depending on the number of strokes, a certain number of characters in shaded lines are given in the right columns. Trace the line of the indicated stroke in each box, showing how you'd write the given character. Don't think. Follow your instinct.

Completed	1st stroke	2nd stroke	3rd stroke
あ	あ	あ	あ

The result of this questionnaire shows that there is no significant difference between the two groups.

The subjects in Group A were informed in advance that they will be given three quizzes similar to (1): after stroke orders are introduced and studied, the subjects in Group A took three quizzes on three different days. On the other hand, the subjects in Group B were not given such quizzes, although they were given the same instruction and homework assignments as Group A (except for the three quizzes).

One month after all *hiragana* strokes were introduced, both groups were given a pop quiz, which is the same as (1). Also, three months after the *hiragana*-stroke introduction, both groups were given the same pop quiz. These pop quizzes should show whether there is any difference on the performance and the retention of stroke orders between the group which was given three quizzes while learning stroke orders and the group which was not given any quizzes.

The results of the experiment show that there is a significant difference between the two groups: the number of errors among the subjects in Group A is significantly fewer than that of Group B in both one-month and three-months later pop quizzes. This means that quizzes and examinations have a positive effect on the process of learning a foreign language.

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[1] Each of 46 *hiragana* letters has a certain stroke order. Although there are a few general rules regarding how to write, there are some exceptional orders to the rules.

[2] The *hiragana* letters in the quiz are "*a, o, ga, ki, se, na, nu, hu, ho, mu, mo, ya,* and *yo*."

Curriculum development to introduce American multi-cultural society to Japanese k-12 schools

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Abstract

A curriculum development team is now working together to introduce American multi-cultural society to Japanese public schools. The project has worked together since April 2003, and aims to develop inter-disciplinary material and curriculum for Japanese students about the multi-cultural environment in the US. The goal of the project is for students to think more about living with other people ethnic groups and understanding people different from them.

The developed material will be used mainly in general studies classes in all grades of Japanese pubic schools throughout Japan. The general studies class has been implemented as part of the current educational reform in Japan. Each school creates and offers its own cross curriculum program which can include international studies, environmental studies, computer studies, or experimental learning. All educators and schools have been making efforts to crate the new curriculum and ideas for the general studies classes.

The project team is developing teaching plans and materials for the model curriculum in Japanese general studies classes. The team members of the project include one university professor and six public school teachers, all with varying years of experience and subject matter knowledge. All team members have worked together to establish the curriculum, teaching plans, and materials. All team members' ideas will be combined together in one package called a trunk-kit. The trunk-kit is designed to be adapted by individual teachers to use in his/her own school.

In my unit plans, the goals of my unit plans are to allow students to develop international attitudes, 'cultural flexibility.' This will be a foundation of future international learning and through this attitude, I want students to think about what we should do for world peace.

The Material for classes in my plans is American films. Although there are translations by film directors and script writers, it can serve as a visual medium and basis of class discussion. Also, students can have an image of authentic atmosphere by watching films. American films provide an ideal introduction of US multi-culturalism.

Introduction

The current world has been changing and becoming smaller and smaller due to the rapid improvement of technology and the expansion of globalization. A borderless environment may develop in the future, and perhaps we have to re-define what the world is. At the same time, each country or ethnic group preserves its heritage and traditional culture; as if we are making sure that each race is still different from each other. The smaller the world has become, the more people tend to try to maintain and obsess about each distinct culture (Drucker, 2002). We have to realize the two environments in the world: maintaining our own heritages, and living with people from different ethnic groups symbiotically and peacefully. In order to actualize such environments, it is vital to understand, accept, and respect other cultures.

The US is one sample of the multi-cultural society. Learning about the US social environment focusing on the way in which people from many ethnic groups live together and what problems have been produced will be one of the interesting tools for understanding the world. Since Japanese society is an almost homogeneous society, with the intention of being familiar with other cultures, we, Japanese educators, are tremendously interested in the internationalization of curriculums, schools and communities; that is, how we will be able to develop future human power; i.e., people who have the ability to integrate with others in the world.

With the aim of allowing Japanese students to get to know multi-cultural environment, one project has been established to develop material and curriculum to introduce the US multi-cultural society in Japanese k-12 schools. I am a member of the project, and this project is quite unique and interesting. In this paper, first, in order to clarify the Japanese context, the transition of the Japanese k-12 education and the current

Japanese educational reform will be described. Second, based on this Japanese context, the material development project in which I am engaged will be introduced. Third, my own plan of the curriculum will be shown, which has been established based on the international education perspective aiming to realize 'cultural flexibility' (Mestenhauser, 2004) among Japanese students.

Japanese education

The transition of Japanese education

Around 1900, after Japan ended its policy of isolation, Japanese feudal society ceased and modernization started. The democratic Meiji government promoted modernization following political, social, and educational systems of Western countries as a role model. Both the Japanese government and people were eager to imitate western style and believed in the slogan of 'Catch up with the West.'

The Japanese educational system was also established to follow the western mode before World War II and was re-built under the leadership of the United States after World War II. Since the traditional way of Japanese people's thinking is that education is one of our most important duties to our children, educational reforms were implemented in order to equally distribute primary educational opportunities to everyone through the consistent control of the government. After World War II, due to the breakdown of the class system, elementary and junior high school became compulsory for all children, and technically, equal educational opportunities for advancing to higher education were also made available to everyone. This made Japanese people believe that education was their children's path to social success during a time when society was reacting to rapid economic growth (Hamada, 1998; Horio, 1998). That is, until 1979, based on the belief that education is a foundation of human power for the society, both Japanese society and people promoted a focus on high

academic achievement with a goal of modernization and economic growth. At the same time, effective mass schooling reinforced the unique factors of Japanese society, homogeneity and uniformity (Horio, 1998). Accompanying modernization and economic growth, Japanese society needed to raise human capital which had sufficient ability for industrial expansion to respond to the requirement of more complex technology(Fuller, 1999). Both people's ambitions and social necessities were perfectly matched, and as a result, human capital with high school diploma was born rapidly and consistently.

However, this tendency finally created competitiveness in schools, and too much focus on academic achievement resulted in leaving lots of students behind, and various problems arose among youngsters. As a result, Japanese education came to a turning point in 1980. While Japanese education hitherto had devoted itself to creating useful human capital by effectively cramming knowledge, the policy of focusing on high academic achievement was reversed, and Japanese education started to promote concepts of diversity, freedom and variety for choice, originality, and creativity. This is the first time that Japanese education began releasing students from uniformity and competitiveness. The Japanese educational system abandoned its effectiveness and uniformity, and it dared to change its direction to ineffective and time-consuming curriculum which aimed at diversity (Amano, 1995; Kadowaki, 1998).

The current Japanese educational reform

The fact that the current Japanese educational reform, which started in 2002,was planned for nearly twenty years before it was implemented tells us how radical and wide-range this reform is. Every school system, from kindergarten to graduate school, is targeted to be changed.

Focusing on the current curriculum reform, main changes are (1) reduction of the

content in each subject content (2) a five-day school week (3) importation of general studies (4) assessment reform (5) importation of market principles into Japanese education. The most significant change in this curriculum reform is importing, into elementary through high school, the class of 'general studies,' which is such a totally new idea to everyone that there has been no proper English equivalent for this concept of this class. Sometimes it is also called comprehensive hour, or cross curriculum class. The class is given basically 100 minutes (two periods) per week during which each school should create and offer its own cross curriculum program such as international studies, environmental studies, computer studies, or some experimental learning. The program should be taught throughout the entire school or grade. It is prohibited to teach ordinary subjects in this class, there are no text books and no guidelines; therefore, each school must do something new and creative in this class on its own. The Ministry of Education has emphasized that in this class of general studies, schools have the liberty to create their own class by applying experience-learning ideas and activities to their own schools. Students will be able to have opportunities for empirical and experiential learning either inside or outside of school instead of only learning academic knowledge in the classroom. Each school throughout Japan has been absolutely busy implementing its own plan for the class of general studies.

The material and curriculum development project

The project of material development for introducing US multi-cultural society into Japanese general studies lasses started in April 2003, and will finish in March 2005, funded by the Center for Global Partnership (CGP) in Japan Foundation. The project aim is to develop interdisciplinary material and curriculum to introduce the US multi-cultural situation to k-12 schools throughout Japan. The aim of this project is to introduce the US multi-cultural society and think more about other ethnic groups which hardly happens in

Japanese schools. In fact, most students do not really know about the multi-culture situation and bi/multi-racial people, of which the United States is the one sample country; that is, numbers of ethnic groups are living together in one country creating a new domain/culture. Although Japan is a comparatively homogeneous country and still the current social situation has not dramatically changed, Japan also belongs to the global world, and we should learn about living peacefully with people of other ethnic groups. Therefore, we can learn from the US social situation, as one example, for our role model in both positive and negative ways. Since US society has received immigrants for a long time, it has been accustomed to accepting different and various cultures and has strategies to integrate new and different cultures into the society (Drucker, 1968).

The members of the project include one university professor and six school teachers, and the disciplines and levels of these teachers are a high school social studies teacher, a high school English teacher, a junior high school English teacher (myself), a high school music teacher, and two elementary school teachers[1]. The members are facing every day classroom scenes in Japanese schools; therefore, they are able to develop plans and materials responding to the need of Japanese students' reality.

The developed material will be used mainly in general studies classes which were explained in the previous section of this paper. Until now, all educators and schools have been making efforts to crate the new curriculum and ideas for the general studies, and already, lots of ideas for the general studies have been prepared and published. Our project team members are also gathered to develop concrete teaching plans and materials for the model curriculum of the general studies classes. Each of the members establishes one unit of curriculum, teaching plans, and materials based on our own ideas and then we will

[1] See Appendix A of introduction of the members and their curriculum design plans.

merge them into one package.

The method to develop the material and curriculum for the project is left to each member's discretion. Each member of the project researches and learns about US multi-cultural education, and develops an appropriate progressive teaching plan by him/herself. After the development of each plan, we should pilot our plans in our own classroom on a trial basis several times to improve them. At the end of the project, the plans will be collected in one package, which is called 'a trunk kit,' so that every school and teacher will be able to bring the trunk to his/her school and use these packaged plans in his/her own general studies classes.

There are three benchmarks of this curriculum development: quality, appropriateness, and applicableness. In terms of quality, we should develop teaching plans and material with creativity, which is quite new, interesting, and attractive to students and teachers. There have already existed lots of ideas of activities for general studies; our project should include fruitful knowledge of the topic, and also the knowledge should be precise, up-to-date, and authentic.

As for appropriateness, the teaching plans and material should be developed so that it is suitable for Japanese schools. We should consider and take into account what and how much Japanese students already know about the US, to what extent the knowledge is accurate, and whether students are interested in knowing about the US or not. We are doing surveys in order to meet such requirement, and try to produce appropriate plans as much as possible.

Finally, we should develop plans which are applicable for any school in Japan, even though it is difficult to do this due to wide gaps among schools circumstances. Since in Japan, all levels of schools, from elementary schools and high schools, include 'good,'

‘bad,’ ‘violent,’ ‘low academic achievement,’ or ‘collapsed’ schools, our developed plans might possibly not be able to be used due to schools’ situation. However, still, we should always be careful to consider that our plans are not only for our own classrooms but for every classroom in Japan. As a matter of course, each teacher who chooses to use our plans should and will be able to apply our plans to his/her own contexts and can change them if necessary.

My unit plans

The aims

Through the classes of introducing the US multi-cultural environment, my ultimate purpose of the project IS to create teaching plans that allow students to have international and global attitudes, an idea which is termed ‘cultural flexibility’ by J. Mestenhauser (2004). Mestenhauser (2004) insists that in k-12 schools, classes of international education will be the first, preparatory, and foundation step for the future learning. In k-12 school classes, students should learn the basic attitude for accepting and respecting any other cultures. This type of approach is different from giving university style detailed disciplinary lectures in that it is more similar the immersion environment one experiences when living abroad. Also, in k-12 school classes, since students have classes of foreign languages, geography, world history, or current issues, they will be able to learn about other countries and cultures from many perspectives. In such an environment, in order to foster the future internationalized people, offering opportunities for students to understand ‘cultural flexibility’ serves as a foundation. ‘Cultural flexibility’ is a vague expression, but it is crucial, by all means; educators can apply the phrase depending on their own contexts and grade levels. Also, according to Mestenhauser (2004), ‘cultural flexibility’ is not related to people’s personality but is only related to their attitudes. Therefore, although changing personality is challenging,

learning new attitude is possible for every student.

'Cultural flexibility' also teaches students to preserve our own traditional culture. That means, we have duty to maintain our culture as a heritage in the current world where the hybrid has been increasing. While we should respect the hybrid situation and its new culture, we also have to keep deep-rooted tradition as a treasure of human history. Making efforts to maintain our traditional cultures also allow us to know ourselves more.

By teaching students 'cultural flexibility,' we will ultimately move toward the goal of achieving world peace, because 'cultural flexibility' establishes peaceful minds that accept and respect people who are different from us. Therefore, in my construction of the unit plans, the first six units are about multi-cultural issues and the last unit is about international issues. Concretely, after learning to accept and respect other cultures using US multi-culturalism as a model, in the last stage, student will learn to take a broad view of the current world and pay attention the world problems, needs for assistances, and roles of the world institutions.

In addition, fostering 'cultural flexibility' will lead to peace in our daily lives. For example, accepting and respecting other people might decrease bullying and discrimination in schools, which is one of the biggest educational problems in Japan.

Theoretical base of developing the unit

Cross-cultural education

In order to develop my unit plan for junior high school and high school students, aiming for the establishment of 'cultural flexibility,' I will apply the theories of two educational researchers. First, to develop my teaching plans, I enlist the ideas of Robert Hanvey (1976), regarding the four level of cross-cultural awareness, and second, as the basis of my teaching method, I look to James McCaffery's (1976) experiential approach.

Although these were developed for the curriculum of higher education and 'intercultural education is a highly specialized form of instruction designed to prepare persons to live and work effectively in cultures other than their own' (Paige, 1993), pp 1), the two concepts are equally applicable for junior high school and high school teaching; moreover, it is useful to take into account the international education in higher education as an entire view from k-12 to higher education.

Hanvey (1976) introduces cross cultural awareness as one of the five dimensions to attain of a global perspective.[2] Cross cultural awareness means knowing the diversity of ideas and practices in human societies in the world. We should realize the limitation of our views and make efforts to make it broader to understand other viewpoints. Such respects of cross cultural awareness are suitable for the aims of my plans.

To develop concrete unit plans, I teach the levels of cross-cultural awareness (Hanvey, 1976). There are four levels of the awareness from I to IV. Level I is a tourist level, which introduces superficial aspects of culture such as stereotypes and various cultural traits. Learners' attitude is 'unbelievable.' In level II, learners' attitude is still 'unbelievable,' yet a comparison between 'ours' and 'theirs' begins to appear, and the differences between the two are recognized. Level III is still at the level of the comparison; however, learners begin to understand other cultures intellectually and the attitude becomes 'believable.' At the final level, IV, learners obtain the awareness of the insider, and culturally, learners are in the environment of immersion.

Hanvey (1976) recommends that the attainment of level III is satisfactory as international education in higher education because level IV is only the situation

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[2] The five dimensions are: perspective consciousness, 'state of the planet' awareness, cross-cultural awareness, knowledge of global dynamics, and awareness of human choices.

experienced by those living and studying abroad. In my plan's case, learners are junior high school and high school students and they are not necessarily supposed to go abroad or integrate with foreign people in the near future; therefore, it is reasonable to set a goal of reaching level I and II, and if possible III. Namely, my unit plan includes the introduction of other cultures using the environment of US society.

In terms of choosing materials, when we use authentic ones for introducing other cultures, we should be careful that we might reinforce the stereotype images and might be unconsciously controlled by the bias of the material (Morimo, 2002). For example, newspaper article are always written from the writers' perspective. Namely, educators carefully choose materials recognizing how and why the materials had been developed. However, at the level I, it is impossible to avoid some stereotypes during the introductory levels. If necessary, educators should lead students to pay attention to the perspective of bias, and help students to think critically.

Experiential approach

As pedagogy, I will apply the experiential approach to my unit plan. McCaffery (1996) explains that learning from experience is one of the most effective approaches for cross-cultural training. The range of experience in this case is broad, and considering that the classes (training) is supposed to be conduced before going abroad, experience does not mean a real cross-cultural experience but some kinds of simulations. The range of activities includes case studies, films and slide shows, role plays, games, and so on. The key of this approach is the way in which we can authentically create the similar environments of the other culture for student learning (McCarffery, 1993).

Consequently, using films and TV programs seems to me to be appropriate for my plan in order to allow students to experience foreign culture. There are three reasons for the

decision: one is that students will be able to have a broad image of the other culture by watching films, the second is that films are usually created to be easily understandable, and the final reason is that seeing is one of the effective ways for understanding. Although films are intended to be entertainment, and there is also an interpretation of film makers, I believe films including documentary and entertaining films are efficient to introduce other cultures and societies. So, materials for my unit plans will mainly be visual aids; entertainment films, documentary films, and TV programs and commercials which I videotaped in the US.

The report of the trial sessions

In June 2004, I conducted the trial sessions using my own plans in one high school in Tokyo. The plan I used was piloted during two periods of the 4th unit of my plan and also offered some concepts in the class. The class was a general studies class, which has eleven 2nd grade students (the 11th grade in the US). The high school was a quite ordinary Japanese high school.

The procedure of the class was (1) evaluating the students' knowledge about the US, (2) discussing about ethnic groups in the US, (3) letting them know about discrimination and bias against minority people, (4) briefly watching the film- 'Stand and deliver,' and (5) small discussion about the film. In total, the session was around100minutes long and due to the time management, they watched the film very briefly. The procedure had no problem, and the students enjoyed the film very much.

There are two aspects as new findings I realized after the session. First, the students had limited knowledge of the US and its culture. They did not know about ethnic groups other than African American, and they had no concepts of discrimination and bias among different ethnic people. This might be because they have limited experience to

encounter and integrate with foreign people. Some students wondered the reason why African American people are discriminated; in the youth culture, usually African American culture is admired in Japan. The students did not know about Hispanic people at all, and so, the film seemed to be quite interesting for them.

Second, my explanation of cultural flexibility was appealing for the students. The students will move to the higher education stage next year, and they have begun to think about their future lives as adults in the society. The students will imagine their future somewhat related to the world, not only in Japan; therefore, they agreed with my explanation 'the world has become smaller and smaller.'

I have come to believe that my plans might possibly be effective for Japanese students. I will see the students one more time and interview them more in detail in October. Then based on the interviews, I will reconstruct my plans again to improve them.

Appendix A

The project members and their unit plans

Team Leader:
Morimo, Takeo (Chuo University)
Methods and perspectives of the introduction of US multi-cultural society

Isoda, Mitusko (Tokyo Gakugei University)
Unit plans of music classes focusing on the cultural hybridity in the US

Nakayama, Kyoko (Tokyo Gakugei University Setagaya primary school)
Unit plans for promoting awareness change by introducing Native American culture

Tajiri, Nobuto (Tukuba University high school)
Unit plans to introduce lives and cultures of African American in world history classes

Narita, Kiichiro (Tokyo Gakugei University junior high school)
Unit plans to introduce the diversity of American culture in social study classes

Tajima, Eiji (Igusa high school)
Unit plans for introduction of changing American society and culture in English classes

Aso, Kumiko (University of Minnesota, School of Education, phD student)
Unit plans for developing 'cultural flexibility' in general study classes

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Chamber Music for the Trio of Flute, Clarinet, and Piano: An Overview

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Abstract

The combination of flute, clarinet, and piano has proven to be a viable and expressive chamber ensemble. With the continuing interest in piano, the current emphasis on developing wind musicians (particularly in the United States), and a growing fulfillment in playing chamber music, there is need for information about quality music for this ensemble for all levels of players, from the young student to the seasoned professional.

The author has located 150 compositions for the chamber trio of flute, clarinet, and piano. The earliest known work is Jean Jauch's Introduction et Variations Brillantes, op. 9, published in 1830 in Paris. Most of the nineteenth century pieces for this chamber group are salon works and would be considered rather trite by today's musical standards. The first half of the 20th century produced many solid works including Maurice Emmanuel's Sonate, Ernest Bloch's Concertino, and Florent Schmitt's Sonatine.

Prolific composition for this trio began the middle of the twentieth century and continues today. Approximately 110 of the 150 pieces were written after 1950 and include works by composers such as Libby Larsen, Luigi Zaninelli, and Anthony Iannaccone

Along with the increase in quantity of music for this instrumentation has come the development of performing groups. In the 1980s, the author was aware of only one such ensemble, the one in which she continues to play flute, the University Trio at the University of Tennessee at Martin. Now there are more groups. While there is not yet enough substantial literature to support professional touring ensembles, there is certainly enough, both in quality and quantity, to provide core literature for creative and satisfying programming.

Trends for College Bound Choral Singers

Benjamin Ayling and Katherine Johnston

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Abstract
Trends for College Bound Choral Singers
By
Benjamin Ayling and Katherine Johnston

Retention of active high school choral singers is an issue facing all post secondary institutions. This study focused on an investigation as to why students who have been involved in high school choral programs join or do not join choirs once they attend college. Oftentimes, highly capable musicians never join choral programs at their particular university; this is a legitimate source of frustration for choral program directors and music educators around the world.

High school seniors who were four-year choral participants were surveyed during May 2004 (their senior year). Each participant was enrolled to attend a four-year university that offered a program in choral music in the fall of 2004. A follow-up survey was used to determine whether or not students continued singing as university freshmen

and the perceived factors surrounding their decision. Subjects were all members of successful competitive high school choral programs from around the state of Ohio.

The significance of this study is high as the topic is crucial to continued growth in choral music programs. It is hoped that by better understanding the self-perceptions of the college bound singer, choral conductors may better retain and serve their students. Furthermore, by acquiring data as to why singers do not continue, strategies may be developed to retain participants in choral music. The choral music field will have much to gain from this line of inquiry, as the problem of adequate retention within the field is an international concern.

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Title: **Creativity, Cognition, and Poetry**

Topic area (interdisciplinary): Literature, Language, and Cognition

Presentation format: Paper Session

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Abstract of paper:

Creativity, Cognition, and Poetry

It has been said that poetry is freedom and one can with equal justification add that poetry is also knowledge: Not knowledge about bypass surgery or about the farthest reaches of the Hubble telescope, but knowledge about the structures of our vision of the real. "Creativity, Cognition, and Poetry" has two objectives. The first is to propose, define and refine the concept of dynamic patterns and metaphors as units of meaning. The second is to identify the kind of knowledge that poetry conveys.

Relying on literary studies of texts and on advances in cognitive sciences, the methodology or approach is interdisciplinary in its assumptions and comparative in its practice. It advances a cognitive view of literature and places memory at the center of both reading and writing. *A dynamic pattern is not a verbal description but an enactment of an event in the mnemonic world, which is strategically parallel to the outside reality.* Dynamics patterns, whether metaphors or not, are true units of meaning and should not be identified with the concept of "cross-domain mappings" advocated by George Lakoff and Mark Johnson (Philosophy in the Flesh 1999, 123), and the concept of image schemas described by Turner (The Literary Mind 1996, 16-17). The concepts overlap in some respects. But those defined by these writers are systems and categories while dynamic patterns are individual units that have a minimum context and are processed by the involuntary memory.

The consequences of this research lead to the understanding that dynamic patterns in the form of metaphors represent literature's instruments of discovery and validate its

claim to knowledge. Other implications of the analyses of textual language and dynamics are no less significant. They reveal that poems from different periods and written in different languages acquire new energy and value when their relations are seen in a mnemonic perspective.

Pertinent examples of my published work:

"Reading Poetry: Metaphors as Instruments of Discovery." Symposium 57 (Winter 2004): 211-29.

"Signs and Reality: The Tiger Effect." Symposium 56 (Winter 2003): 179-95.

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"Where are you from? -and- Where are we going? Technological and social space across contemporary global sites."

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Abstract:
This paper discusses a project that explores the convergence of technological and social space in six urban centers in the Americas and Europe. It investigates the public sphere around issues of migration, nomadism and notions of a better life. It sketches a genealogy of media practices that are a backdrop for the project, and draws attention to how new media forms amplify these traditions. It concludes by addressing some of the difficulties of integrating technological and social space across contemporary global sites, due to the digital divide between technologically developed and developing zones.
Details of the project including charts and audio-visual material may be found at:
http://www.hometransfer.org/w/index.html

Keywords:
global media spaces, webcasting, online video, public sphere, visual ethnography, cultures/languages/identities, migration, nomadism, better life.

Introduction

"Where are you from?" synthesises many of my explorations regarding translocality, the hybridisation of media, and the convergence of technological and social space in the urban environment. It received a Canada Council Media Arts Research Grant in 2002.

The project is entwined with a set of existential concerns encapsulated in the title of Paul Gauguin's 1897 painting: *Where do we come from? What are we? Where are we going?* [1] It juxtaposes culture and technology to explore the boundaries between how we imagine the world and our place within it. Broadband and IP protocol will be used to explore aspects of globalization such as migration, nomadism, hybrid identities, language convergence, and electronic mediation. Video taped stories from transitional human subjects in six world cities will be Webcast Live during public performances. These testimonies will reveal notions of belonging.

I frame the project around my personal geography in six cities: Montreal, Toronto, Chicago, Mexico City, Buenos Aires and Paris. These cities I have lived in occupy a position of centrality

or periphery that are relative in the cultural universe. For example, Buenos Aires may be a center in the imagination of a migrant from Peru, but a periphery for a nomad/passer-by from Tokyo, itself a globalised center containing numerous local peripheries. I am interested in this intermingling of centers and peripheries as they relate to local and global environments. In the "Where are you from?" project, I seek to reveal these complex relationships through testimonies that integrate images of self and translocal experiences. The project creates communicational spaces in public urban locations where citizens-at-large will share personal stories. These will be broadcast Live on the Internet to viewers world-wide. I will launch conversations with a simple question that everyone can relate to: "Where are you from?" Through a system I have developed and tested during research interviews, I will involve participants in a conversation. Discussions will reveal where people come from and where they are going, presumably to seek a "better life".

The online environment will be a transcultural space of reception and exchange where viewers will not only see Live, video taped strangers telling stories on the Internet, they will also be able to participate by contributing a story of their own. The project converges the movement of populations and technologically mediated stories of these populations on the Internet. The aim is to explore cultural identity issues around notions of a "better life".

Locating culture

The quest for a better life -- often located elsewhere -- is endemic of modern living where "home" is no longer a fixed place. In his book *The Location of Culture*, Homi K. Bhabha (1996) claims that: "It is the trope of our times to locate the question of culture in the realm of the *beyond,* " [2] a word that marks progress by promising the future. Bhahba claims that for many, the promise of a better life allows for the re-definition of place and belonging in a hybrid site often located between cultural traditions and historical periods. Along similar lines, social anthropologist Arjun Appadurai (1996) views electronic mediation and migration as the most important factors defining today's global world. He claims that territoriality is replaced by translocalities, thanks to migrating peoples as well as to the electronically mediated movement of ideas, values, life-styles, and everyday lives that modify cultural spaces and cultural worlds. [3] My research interviews conducted between 2002 and 2004 in preparation for the Webcast, support Bhabha's and Appadurai's arguments by presenting "social actors" that negotiate hybrid identities and multilevel affiliations to home and nation (http://www.hometransfer.org/where/stories.html).

The authentic lived experiences of speaking subjects have become central to recent ethnographic documentarists such as Janet Cool (*Home Economics*, 1994), who rely on the immediacy of video to record social actors in contemporary cultural settings. Paralleling these intentions, "Where are you from?" aims to create a forum for discussion and an archive on contemporary notions of a "better life". I incorporate techniques of investigation and recording used by visual ethnographers who acknowledge the importance of understanding people's cultural practice from within the everyday settings in which they take place. The project is inscribed at the cross-roads between current documentary ethnographic practices, and new media forms that rely on the technologies of our times in order to distribute Live video content through Webcasting.

Mediated encounters and the networked city

Webcasting uses the Internet and streaming media. It reflects yet another attempt in the development of video since the 1960s, to go beyond the usual broadcasting frame of television. Its basic concepts of simultaneity and translocality are not new. Artists like Kit Galloway and Sherry Rabinovich have explored real time-space that collapsed geographic boundaries since the

1970s with Live performances through Satellite. But, while Webcasting inherits a number of features from media such as television, it also departs from it in several ways. Because videos are distributed over the Internet, Webcasting has an entirely different production and distribution model than TV broadcasting. This subverts the power systems that underlie traditional broadcasting and provides the artist with a new platform for the free distribution of video content. In this sense, it allows for the re-appropriation of personal power within the context of the public sphere and the dissemination of a more eclectic range of views. These factors transform how one produces and exchanges knowledge. Furthermore, Webcasting can depart from the one-way delivery characteristic of traditional broadcasting. It can be interactive and participatory by establishing a two way systems of communication through Webconferencing, or by creating a Web space for image and text-based exchange where multiple threads from participants may coexist with the Webcast. Additionally, as bandwidth increases, one could explore the use of mobile, wireless devices with video-capture capabilities. In all of these instances, "virtual/real communication allows users to coexist/operate in several 'worlds', to be 'atHome' and at the same time itinerant and 'distributed', offering alternative possibilities of presence and encounters." (Paraguai / Pardo, 2001) [4]

Connectivity has become the defining characteristic of our times, with nodes where electronic information flows, mobile bodies, and physical places intersect. William Mitchell (2003) postulates that in the past, "networks would mostly have been maintained by face-to-face contact within a contiguous locality - a compact, place-based community. Today, they are maintained through a complex mix of local face-to-face interactions, travel, mail systems, synchronous electronic contact through email, and similar media." [5] He argues that increasingly, our sense of continuity and belonging derives from being electronically networked to widely scattered people and places. But, despite this claim about decentralisation, the city seen as brain or centralised communal 'thinking space' still applies today, with the electronically wired city becoming a prosthetic extension of the human body. At the same time, one should not overlook the factors that enable the existence of these networks and people's access to them. There happen to be "particular combinations of fixed capital and human expertise that enable specific nodes within the global urban system, to play enhanced roles in the arena of cultural and economic production." (Grandy, 2004) [6] That is to say, these electronically networked spaces -- the type of spaces that would enable my proposed Live Webcast -- have a geographic shape and result from a marketing synergy -- investments in specific places -- made by institutional and corporate interests that establish and maintain them. In addition, these entities can control the form these networks take, as well as their content.

Electronically networked sites have a significant impact on public space. Wired as well as wireless-enabled urban spaces attract new social formations in specific physical structures: "stable institutions of hospitality" (Raqs Media Collective, 2003) [7] such as universities and libraries, corporate and commercial spaces -- "Starbucks" being one example. These sites where technological and social space converge, contribute to the evolution of new communities, social systems and cultural meanings. But, while such electronically networked spaces in cities are quickly becoming a reality that affect small pockets within certain urban centers, one cannot ignore the real state of global media spaces: the fact that there exist devastating polarities and exclusions determined by economic disparity and access to technology in different cities in the world. The increasing divide between networked and non-networked spaces within cities as well as globally, will result in increasing polarities in social formations and cultural meanings. I witnessed such polarities in the process of conducting research for "Where are you from?" in

Buenos Aires, Mexico City, Chicago, Paris, Montreal and Toronto. Interestingly, this project has brought to light the latent dichotomy in the relationship between social space and technology. I reiterate that the Live Performance/Webcast is based on the principle of connectivity and it seeks nodes where electronic information flows, hybrid mobile bodies, and physical places intersect. Webcasting has a production and distribution model conceptually adapted to these notions. It privileges the "authentic" experience characteristic of "real-time". It favours the re-appropriation of the public sphere and the dissemination of varied and eclectic viewpoints to a broad audience. Most importantly, it embodies a different model for creating networks and collaborations, and therefore offers a viable alternative to dominant culture. But, what came to light out of my investigation in the above-mentioned cities, is the almost impracticality of the project across all borders. This is due to the disparities between electronically networked and non-networked public zones where the project could best intersect with geographic social space. Many of the disparities were related to economic issues and technical expertise in institutions of "hospitality": cultural agencies, New Media Centers and Web Servers, who were for the most part, unable to embody an alternative position to dominant culture. Additionally, linkages between cultural organisms within cities as well as between different global sites that are available through the utopian logic of the "networked society", linkages that favour reciprocity among local and remotely situated locations of cultural production, were in many cases absent, difficult to establish, or under negotiation.

In their book *Mapping Cyberpace*, Dodge and Kitchin (2001) explain that a new urban spatial logic designed around electronic networks, has not replaced the old one around which many diverse social relations are built. In their words: "geography continues to matter – as an organising principle and as a constituent of social relations." [8] I prefer to see the new spatial logic as an extension rather than as a replacement, as an amplifier that can generate new hybrid social spaces. In my project, I am interested in seeking out the urban locations where networked spaces, old and new, geographic and electronic, intersect. The problem is that, as it stands right now, the sites where technological space and face-to-face social space intersect in interesting ways, are still few and far between. Interests that do not attract a hybrid population across different constituencies and age groups, control these new spaces that are, in turn, scripted by the nature of the homogeneous inhabitants they attract. In the majority of the cities I researched, this audience tends to be predominantly young, affluent, male, and white. This is not at all the type of population that would shed light on cultural identity across differences of race, class, gender and historical traditions, as cited earlier in reference to Homi Bhabha's viewpoints.

Cities continually adapt to the movement of ideas, values, life-styles, and influences that are brought in by migrants (people who immigrate), nomads (passers-by between places), locals who travel and return, by electronic mediation, and by an economic and technological synergy that takes advantage of urban resources. But, because technological development is linked to economic production, and because there exists an economic disparity between developing and developed cities, change happens at different speeds in different local and global zones. I have witnessed such a phenomenon while living in six cities in the Americas and Europe over a couple of decades, and confirmed it recently while conducting research for the "Where are you from?" project. Access to technology throughout global sites is dramatically unbalanced. This phenomenon is inhibiting the development of electronically networked spaces, as well as the social systems and cultural meanings that can evolve from them. Finally, transformations will inevitably happen, but they will happen at different rhythms, implicating initial polarities and exclusions. I think that one should take advantage of the fact that a new spatial logic is in the making and take measures to influence its shape by creating networks of communication where new and old forms and

modalities can co-exist in diverse ways. These could be visible or invisible networks, small group or large group networks, linking geographic and electronic environments. Whatever their form or scale, I think that they would function more equitably if they embodied restorative communal strategies that circumvent established power relations. In spite of the impact of globalisation (and the electronically networked city is a contributing factor), old social networks around which the functioning of cities depend: community and its rules, its language, its exchanges, its behaviours, and its memories, can and should influence the way in that new electronic networks intersect with them. It is my belief -- and I do not think that this is an impractical utopian wish -- that the new spatial logic should be inclusive and hybrid, and should create a culture that people will want to be a part of because it is woven into the rhythm of the everyday, with its variability and plurality, respectful of the specific relationships between the local and the global that make up the cultural landscape of each place.

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Ecstatic mobility:
Visual representations of bodies against graviotropism

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Lightness of body manifesting itself as levitation and flight was once believed to be a sign and effect of the strongest spiritual power and mastery. The imagery of such hyper-mobility of human bodies and objects hasn't disappeared from the modern world and we can still find it in art works by e.g. L. Athila, P. Rist, A. Kapoor, G. Orozco, M. Mori and in films like e.g. "Matrix" and "Crouching Tiger, Hidden Dragon".

In my paper I would like to examine two coinciding aspects of ecstatic mobility:1. an external mobility manifesting itself by overcoming gravity and actual moment of flight; 2. an internal mobility of bodies as an ability to become something else (a type of transubstantiation).

Because we live in a culture of gravity, the feeling of weightlessness is destabilizing for culture structures and for the state of mind evoking a vertigo effect. In a way "vertigo of excess" mentioned by R. Barthes in respect to Loyola, "vertigo of not knowing" described by M. de Certeau in respect to other mystics, and *ilinx* (dizziness) or 'vertigo of voluptuous panic' which R. Caillois distinguishes as a game category, are still desired conditions of contemporary embodied but volatile subject.

"The Beneficent Spider": Giving and Taking in *The Waste Land*

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It is now a critical commonplace to regard T.S. Eliot's *The Waste Land* as one of the most brutal and bleak works in literary history. E.M Forster writes, "It is about the fertilizing waters that arrived too late. It is a poem of horror. The earth is barren, the sea salt….And the horror is so intense that the poet has an inhibition and is unable to state it openly" (qtd. in Unger 15). *The Waste Land* is a poem of failure, of the inability of characters to find what they seek as they move toward a resolution that continually evades them. It is a catalogue of absences, of things that are lacking in each speaker, and of instances of each of the character's failing to give meaningfully to others. In fact, the word "give," in several languages and incarnations, forms a fundamental theme of the poem, and is its organizing principle.

Critics continually try to locate the pivotal point of the poem, leading either to the poem's solution or to the dissolution of the speaker's psyche. Milton Miller, in his essay "What the Thunder Meant," regards the poem as a progression, with the final lines representing Eliot's acceptance of grace, their multilingual nature being an instance of glossolalia (448-451). In his view, the poem resolves with Christian assent on the part of the speaker, who is ostensibly the thinly veiled identity of Eliot himself. Though accounting for the piling up of languages at the end of the poem, this reading does not account for the five-year gap between the poem's publication and Eliot's public acceptance of Anglo-Catholicism in 1927. It also does not explain why the final line is specific to Hinduism; after all, why should a newfound Christian as educated in biblical language as Eliot borrow from another religion in order to state his beliefs? Is the language of Christianity inadequate to testify to the speaker's final conversion? I find it more probable to accept Forster's view of the ultimate desperation and hopelessness of the poem. In that case I take the pivotal moment of

the poem to be that which follows the final arrival of the rain: the voice of the thunder speaking the monosyllable "DA."

Miller is right in saying, "No doubt when the thunder speaks in the voice of a god it says DA, but a god who does not speak in the tongue of men needs interpretation" (447). Such interpretation is accomplished in the poem through an understanding of the allusive quality of the word DA. As Hugh Kenner indicates, DA is endowed with an abundance of allusions: "[DA] underlies its Latin infinitive 'dare,' and all its Romance derivatives; by a sound-change, the Germanic 'geben,' the English 'give'" (174). Charles Sanders likewise notes the Romance language connection: "[DA] is the basic 'root' binding into 'one family' of humanity the languages called Indo-European" (389). Both statements are a partial acknowledgement of the word's significance, since they recognize its power as a unifying force, both structurally and linguistically. In fact, Eliot must have been aware that "da" is a conjugation of "dare," meaning "to give" in Italian and Latin. Conjugated here into the second-person indicative, it is one way in which DA is a command from the thunder to mankind.

Thus DA contains within it the first reply given in *The Waste Land*, the reply of men, "datta." But significantly, it is not the first response to Prajapati in the Upanishad. Rather, the first response there is "damyata," the reply of the gods (Jain 189). The significance of the reversal prioritizes mankind while increasing the number of instances of the command "give" in the short passage. Thus the necessity of giving is foregrounded with nagging immediacy. DA's significance is due to its exigency and to its allusive power: the word, which can be read as a command to give, asks of the speaker what he cannot do in this late stage in the poem. The sudden introduction of the word brings to the fore a central issue: what is the

speaker's relationship to giving and to its opposite, not-having, lacking or taking in *The Waste Land*? The result for the speaker of the repetition and of the Eastern advice is madness, reflected in the insanity of the final cluster of allusions and made evident in the acknowledgement that "Hieronymo's mad againe" (432). This madness comes after over four hundred lines that chronicle three failures of characters in the poem with respect to giving: the inability of human beings to give meaningfully to each other, the inability of the speaker to take anything from the world that is offered, and a related topic, the inability of the world of the wasteland to give anything to the speaker.

DA is found in the Upanishad in a passage in which gods, men and demons demonstrate to the god Prajapati that they have understood the lessons of their formal spiritual education. As Manju Jain indicates, the god, through the thunder, utters the syllable DA. "Each group interprets this reply differently…When the groups, in turn, give their interpretations, Prajapati responds with 'Om,' signifying that they have fully understood" (189). Each reply to Prajapati's utterance contains the god's word in it: datta, dayadhvam and damyata, each beginning with the syllable "da." The repetition of this syllable heightens its significance in the Upanishad as well as in *The Waste Land*.

The story in the Upanishad is one of enlightenment, but *The Waste Land* lacks any such epiphany. K. Narayana Chandran has noted the irony of the repetition of "shantih" at the close of the poem; rather than being an ending of peace, the word is a benediction "not so much wished as wished for" (683). The failure of the threefold repetition of the word as an actual blessing, to the speaker or to anyone, is due to what he regards as a "seemingly intentional avoidance" of an essential element to the blessing: the word "Om," is always spoken prior to the chanting of "shantih" (682). The failure of the benediction mirrors Eliot's

deliberate alteration of the order of the speeches of the gods, men and demons, resulting in an inversion of the original meaning of the passage and a further indication of the hopeless state of the speaker at the conclusion (Jain 189). Just as "Om" is missing from the final benediction, demonstrating that *The Waste Land* cannot contain anything more than fragments unsuccessfully shored against personal ruin, the ostensibly deliberate alteration of the Upanishad in the poem makes apparent an issue that simply cannot be ignored by the speaker in the poem: the importance of giving.

Relationships in Eliot's wasteland are estranged, incomplete, as sterile as the rock that gives no water and as fruitless as Stetson's planting of the corpse at the end of "The Burial of the Dead." Characters speak in incomplete sentences, speak past each other and rarely do more than play human (or rather, inhumane) games of chess. What is lacking here is the ability of people to engage with each other, positively or negatively. It seems that if only there were a fight in this barren land, at least the individuals could relate. But fretful and fruitless sound, the "wind under the door" (118), which in actuality is silence, is the predominant trait of human relations in *The Waste Land*.

"You gave me hyacinths first a year ago; / They called me the hyacinth girl," (35-6) says the first voice of estrangement from the spiritually parched environment. The encounter, ostensibly between former lovers, requires a reconstruction of the event, since we encounter it *in media res*. Wagner's beautiful music that precedes it ("Frisch weht der Wind"…) seems to represent the remembrance of this romantic encounter, but we watch it fade into a colloquy of sadness in which the woman attempts to coax the man, through memories of what has passed, into loving her again. The urging fails, not because the man does not listen, but because he does not seem to know what to do with his own intensity. "Yet when we came

back, late, from the Hyacinth garden, / Your arms full, and your hair wet…" says the male speaker; so far we can surmise that he is speaking in the language of romance, as she is. But his words quickly lose their romantic tone: "…I could not / Speak, and my eyes failed…" Finally, he makes a complete break with her sentiments and language, revealing that he addresses himself more than her, and perhaps always did:

> I was neither
>
> Living nor dead, and I knew nothing,
>
> Looking into the heart of light, the silence (39-41).

Ultimately, the male speaker cannot give the girl what she seeks, and an encounter full of potential for romance and fulfillment ends with the mysteriously bleak line, "Od' und leer das Meer" (42), "desolate and empty the sea."

The passage is mirrored by another that has as its most important quality the linguistic estrangement of the earlier one, this time in more exaggerated form. Possibly an autobiographical reference to Eliot's own failed relationship to his sickly wife, Vivian (Gordon 95-6), the conversation is even more exaggerated in its tendency to seem like two monologues posed as a dialog. The female character says, "My nerves are bad to-night. Stay with me. / Speak to me. Why do you never speak" (112). The reply of the male character demonstrates both the hopelessness of the situation and the irrelevance of coupling the lines as a dialog at all: "I think we are in rat's alley / Where the dead men lost their bones" (115-116). These characters do not even speak in human tones; the woman's entreaty, "Why do you never speak" contains no question mark, the lack of punctuation not likely to have been a mistake. Despite her heightened emotional state, she speaks as an automaton, just as the typist who "smoothes her hair with automatic hand" later in "The Fire Sermon" (255).

Thus conversation in *The Waste Land* is hardly conversation at all. Each individual withholds from the other what ought to be given, leaving both dissatisfied and empty. And sex in this environment is just as sterile and estranging, ultimately bearing marked similarities to the impotent and failed conversations earlier in the poem. The first reference to sex is in a reference to Philomel, who in Greek mythology was raped and her tongue removed. In Ovid's *Metamorphoses*, she is turned into a nightingale; traditionally she is a bird who sings beautifully, representing the poet who sings of beauty and glory. Here, she can only cry "'Jug Jug' to dirty ears" (103). The next reference to sexual relations comes in the pub conversation concerning Lil and her husband. Though the scene is not an overt denouncement of sex, it gets a negative connotation and becomes frightening and tainted in the passage by the associations that it is linked with: the ugliness of everyday life, which represents a commonness that Eliot seems to equate with vulgarity, extramarital affairs that can only be avoided if Lil would buy a nice set of extra teeth and the fatuous final lines of the passage: "Goonight Bill. Goonight Lou…Ta ta…" (171).

Tiresias, the figure "throbbing between two lives" (218), is both an observer of the ugliness of sex in *The Waste Land* and a testament to the estranging nature of his own sexual condition. By hermaphroditically representing both sexes in one figure, he represents a kind of universality while inculcating a sense of horror in the reader; he is "blind, throbbing between two lives, / Old man with wrinkled female breasts" (218-20). Eliot's note about the encounter is invaluable in establishing giving and failed giving as the essence of the poem: "Tiresias, although a mere spectator and not indeed a 'character,' is yet the most important personage in the poem, uniting all the rest…What Tiresias sees, in fact, is the substance of the poem" (CP 52).

But what is it that Tiresias sees, and why is it of such central importance to the work? Momentarily serving as the narrator, Tiresias sees a futile sexual encounter involving a clerk and a typist. This encounter is yet another example of failed giving, not only in the sense that no love is involved, but because each of the characters in the scene do their best to avoid any kind of awareness of the other, an avoidance that is largely successful. As Genevieve W. Foster indicates, "the theme is the absence of true psychological relationship. The clerk's chief emotion is vanity, the typist's is boredom; in truth they care nothing for each other and hence the affair between them is absolutely sterile, void of real values" (573). The clerk's "vanity requires no response, / And makes a welcome of indifference" (241-2), possibly the most scathing line against male solipsism in *The Waste Land*. Her reaction to the encounter, regardless of the fact that she seems almost to have been raped, is one of studied, deliberate indifference: "She turns and looks a moment in the glass, / Hardly aware of her departed lover" (248-9).

Though bereft of any kind of sexual or romantic fulfillment, the wasteland is not without beauty, even if in markedly short supply. But the beauty of the wasteland and the instances of things that the depicted world could give are inevitably undercut by the fact that characters cannot do anything with what is offered and can take nothing either. An instance of this is the multitude of allusions in the poem. Often beautiful lines, whether from Shakespeare, Wagner or from Eastern and Western religions, in *The Waste Land* they are only "fragments I have shored against my ruins" (431), and we can safely doubt their efficacy with respect to the goal of fighting spiritual ruin. The characters in the poem either do not know what to do with their allusions, like the futile Wagnerian "la la" (307), or use them in merely ironic ways. Even a departure from this, the apparently unironic reference to

Magnus Martyr, holding "Inexplicable splendour of Ionian white and gold" (265) does not mention the fact that the church was about to be razed at the time of the poem's creation. Ultimately, in this land, the characters are surrounded with a beauty that cannot be accepted or recognized, even if genuinely present.

Another example of the lack of ability to accept what is offered is the so-called "Emmaus" encounter. While Eliot's note attributes the encounter to "one of the Antarctic expeditions" in which explorers "had the constant delusion that there was one more member than could actually be counted," (CP 54), a more notable allusion is omitted. According to Miller, Emmaus reference "also evokes the Christian analogue to the protagonist's experience, in the journey of the two disciples who meet the new-risen Christ on the road to Emmaus and do 'not know him' though they 'had trusted that it had been he which should have redeemed Israel" (445). Also present in the passage is a possible reference to Walt Whitman's "When Lilacs Last in the Dooryard Bloom'd," in which the third figure is death:

> Then with the knowledge of death as walking one side of me,
>
> And the thought of death close-walking the other side of me,
>
> And I in the middle, as with companions…. (Stanza 15)

The fundamental reality, it seems, is that a strange combination of the knowledge of death as well as salvation occur in the guise of this mysterious personage, and the pilgrims do not perceive him, or it, aright. The wasteland genuinely has something to offer, a revelation, but the darkness of the wasteland cannot comprehend it.

As Forster has said, "*The Waste Land* is about the fertilizing waters that arrived too late" (15), an indication that even the water that finally rains on the Ganges is futile. Is it possible that the desperation for water, a recurring image throughout the entire poem, is a lie,

something not even sincerely wished for? It may suffice to say that water is to be feared even as it is sought after; it is responsible for Phlebas' death, and by this late point in the poem, its utility seems long past. In actuality, it is the recurring image of thirst that initiates the pivotal moment in the poem, as the watering of the Ganges is followed by the voice of the thunder. In tracing the thirst of the speakers and the dryness of the wasteland, we can understand the shape of the poem as a whole and better perceive the implications of the drought. Of the rain image, Miller says:

> Drought becomes a metaphor for spiritual drought, despair, doubt, need for spiritual certainty; and throughout the poem the protagonist continues to suffer his unallayed thirst, though it is in the final section, with the death of the fertility god, in his specifically Christian form, [that] the fiction of thirst is brought to a climax (444)

The drought signifies the inability of the poet's world to give anything to him; as Miller points out, it is easy to allegorize the drought of the poem.

The image of water enters the poem within the first few lines, as the speaker reverses the Chaucerian brightness of the opening of the *Canterbury Tales* (Southam 104). Reversing and parodying the *Tales*, rain only exhumes painful memories, taking the form of lilacs that recall those of the "Lilacs Elegy," with their value as death's tokens. An image of futility, the rain at the outset of the poem seems at best irrelevant, and at worst, a cause of alarm; it seems the speaker would rather have his memories buried in the "forgetful snow" (6). Rain is briefly mentioned to signify spring, a part of the depiction of the scene in the Hofgarten, but it is merely a memory. We cannot know if the rain in the first lines has exhumed it or not. By the second stanza of the poem, the drought begins. In the elevated language of Ezekiel, the water disappears which was initially taken for granted by a speaker unable to receive what is

offered him. Water meets its opposite in stone in this passage; this dichotomy and the relationship between drought and rock are references to Moses and the Israelites in the Wilderness of Sin found in Exodus. There, the people of Israel "chided with Moses" begging him to give them water (17:2). Through Moses, the Lord grants the people their request. God commands Moses to "smite the rock [Mount Horeb], and there shall come water out of it, that the people may drink" (6). In the biblical account, the entreaty of the people is answered, and almost at once. But just as the word "shantih" in *The Waste Land* is missing the essential element "Om," the blessing cannot be consummated, but only hoped for; likewise, in the passages of drought no one strikes the rock, and no water flows.

In "What the Thunder Said," the drought becomes acute, the desire for water being monomaniacal and obsessive. With Christian and Eastern imagery reverberating in the atmosphere, the speaker attempts to beg and reason, although it is hard to know who is being begged. Almost immediately, the speaker reveals his own awareness of the obsessive nature of his thirst: "If there were water we should stop and drink / Amongst the rock one cannot stop or think" (335-6). Not only is the speaker obsessive, he is incapable of thinking clearly about himself or his situation; speech here happens for speech's sake only. What is missing, significantly, is an entreaty to God--after all, it worked for Moses. Is it possible that the thirst of this character would not be allayed by the same God? Gradually, the bargaining devolves into a depraved singsong in which the speaker is content to be deceived into thinking water is present. The lines are at once comical and pathetic: "If there were the sound of water only….And dry grass singing….Drip drop drip drop drop drop drop" (353-359). Content with delusion, the speaker will not "speak the word only" (CP 63) as the speaker does in *Ash Wednesday*, Eliot's poem of Christian conversion.

It is in "What the Thunder Said" that the rain finally comes. The sound of thunder has been heard before in the poem, but to no avail. In the longest passage pertaining to thirst, we are told that "There is not even silence in the mountains / But dry sterile thunder without rain" (341-2). Thunder without rain is yet another example of the incapacity of the speaker's world to give him what he needs, serving only to mock him. The nagging voice that is content to bargain with no one for the sound of "dry grass singing" (355) is repeated back, almost as an echo, by the mountains. Separated from its function, the sound of thunder forms a kind of sympathetic landscape for him. When the rains finally come, they come with thunder, but the pairing of the two is what results in something closer to a successful contribution of the world to the speaker.

The coming of the rain is mentioned so abruptly that it could easily be missed, but it is the catalyst for the final moments of the poem. Kenner points out the religious overtones of the first falling of the rain: "The cock crows as it did when Peter wept tears of penitence" (174). As the rains begin to fall over the Ganges, the thunder speaks the syllable DA, with its many associations and allusions. What follows are a series of three answers, all taken from the Upanishad and representing genuinely useful Eastern wisdom to the characters of *The Waste Land*. It seems that the drought, and all that it represents, is over.

Each of the three passages in which the syllable DA is spoken are illustrative of a virtue lacking in the speaker. They are necessary to his final reformation and salvation. The scene is the longest moment of brightness in *The Waste Land*. The reversal of the order of passages found in the Upanishad foregrounds the importance of giving and places two uses of it in close proximity in two languages; DA, the Latin or Italian command 'to give,' is followed by the same word in Swahili. What follows is a question that must be answered by

the speaker: "what have we given?" (402). The subsequent passage is apparently an example of the speaker's giving, although no such act is recorded before in the poem itself. Kenner takes "The awful daring of a moment's surrender / Which an age of prudence can never retract" (404-5) to be "the first surrender…[of] our parent's sexual consent," (175) but I do not think this is the case. Rather the passage recalls the self-possession of the male speaker in *Portrait of a Lady*. As such, the passage in *The Waste Land* demands of the speaker a self-surrender regardless of its implications and embarrassments, while highlighting the necessity of altruistic giving.

The thunder speaks again with the same monosyllable, and a new reply is given: "Dayadhvam," meaning "sympathize." The lesson here is that human beings ought to recognize that all are in bondage, "each in his prison / Thinking of the key" (414-15). Kenner regards this prison as "a prison of inviolate honor, self-sufficiency, like that in which Coriolanus locked himself away" (175). Perhaps the self-imprisonment described refers to the character who begs for delusions of water because of his unwillingness to ask the person or god who could be of aid to him. To the speaker, to sympathize means to cease to be a merely solipsistic and to become aware of the universality of this imprisonment. Here, Coriolanus, a figure of pride, stubborn integrity and rigidity, can be revived, and the wasteland appears capable of redemption.

The third phrase of Eastern wisdom comes in the form of another command: "damyata," or "control," as Eliot translates it. What follows the command, again with the word "give" buried in the first syllable as an allusion, is an illustration of the consequences of the lesson, if well learned. The scene is an autobiographical reference, as Eliot's friend John Hayward indicates: "In his youth, T.S. Eliot was a keen and experienced yachtsman" (qtd. in

Southam 143). The image is of the joys of youth, and of the possibility that a life can be controlled in the same manner as a boat, perhaps a relieving thought after a drought that, like all droughts, was fundamentally uncontrollable by mankind.

The three answers to the thunder represent a potential solution to the speaker. They exist in continuity with "The Fire Sermon," in which Christian and Buddhist asceticism boil in the speaker's mind unresolved. For the briefest moment, the speaker in the final lines seems to have taken the advice, and to have profited by it. This voice, the first of several within a space of eleven lines, speaks sane and peaceful words: "I sat upon the shore / Fishing, with the arid plain behind me" (424-5). However, the passage is ambiguous; the narration is in the past tense, and seems to problematize any assumption that the moment of sanity is occurring in the present moment of the poem. The second ambiguity almost represents a pun, as the speaker says, "Fishing, with the arid plain behind me." We are tempted to ask the speaker whether by "behind me" he means "in the past," a former event looked upon retrospectively, or if he means that the arid plane, presumably the wasteland, is merely physically behind him, visible simply with a backward glance. No ready resolution presents itself. Following this seemingly orderly and sane comment are eight lines of quotes, taken from nursery rhymes, from the anonymous Latin poem "Pervigilium Veneris," from a Tennyson poem (Southam 144). Latin, French, Italian, an older English idiom and Swahili are all represented here, circulating with seemingly no resolution.

What can it all mean, and how can we relate it to the wisdom of the East that came just before? After the three chants of "shantih," there is no punctuation. It seems that, as Chandran has indicated, the final line is one of hope, possibly tinged with despair; it is more a repetition by one in a panic than the words of an individual who has become a sage through

suffering. Miller's claim that the final lines represent the final "peace which passeth all understanding," actually experienced by the speaker, seems untenable. Instead, these lines are evidence that the speaker is in a panic; the line "O swallow swallow" (429) is an allusion to Procne, who like her sister Philomela was turned into a bird. But the word "swallow" can be another command to the speaker spoken to himself to remain calm. The speaker confesses exactly what the passages are: they are "fragments I have shored against my ruins" (431), and one can surmise that the shoring is ultimately unsuccessful. Instead, the speaker remains in a confessional mode as he claims that "Hieronymo's mad againe" (432). Following this statement of madness is an attempt to remember the wisdom of the East in the vain repetition of the three Swahili commands, this time without being accompanied either by the lessons or by "Om."

Without "Om" being present in these, we have no reason to assume the peace there that Miller claims. Thus the final lines represent the madness of the speaker. But why should this be the case if the thunder's message is actual wisdom? Because the poem chronicles the many ways that giving fails, the command of the thunder to give comes as a mockery; it is only "dry sterile thunder without rain." Lacking so much, seeing a world utterly bereft of anything to give to the speaker, uncontrollable and unsympathetic, the advice comes long after the speaker has a capacity to obey it, true or not. Instead of being the nourishing rain so long hoped for, the Eastern wisdom precipitates the speaker's insanity; while the wisdom remains in his mind in skeletal form, it and the final benediction become mere allusion, fragments just like all the rest.

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Adopting “Charlotte's Daughter”: Susanna Rowson and Authorial Control

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Abstract:

Susanna Rowson’s “Charlotte Temple” (1791), America’s first bestselling novel, ends with the titular character’s death and a residual, heavy-handed moral message that young girls should trust their parents’ good judgment more than their own amorous inclinations. An intrusive narrator tells us the fate of all of the main characters except Charlotte’s infant daughter, the “dear little charge” who will presumably be raised by her grandparents, The Temples (118). It is not until 1828, four years after Rowson’s death, that her sequel to “Charlotte Temple”, entitled “Charlotte’s Daughter”: Or, “The Three Orphans”, is published and the story of the Temples finally concludes. Even more obscure than its prequel, “Charlotte’s Daughter” is neither part of our contemporary canon of American literature, nor is it often acknowledged by critics (even critics writing on Rowson). “Charlotte’s Daughter” is an orphaned novel, the object of a custody battle fought between the paternalistic memoir prefacing and tapering the narrative and the remnants of a nervous narrator desperate for control in “Charlotte Temple” on one side, and an emergent sense of women’s liberation in their lives and control in their texts on the other. Rowson rewrites “Charlotte Temple” in the sequel, ultimately revealing her lessened anxieties about the world of print and morally redeeming Charlotte’s sins through Lucy’s wisdom and charity.

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March 2004
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Adopting *Charlotte's Daughter*: Susanna Rowson and Authorial Control

Susanna Rowson's *Charlotte Temple* (1791), America's first bestselling novel, ends with the titular character's death and a residual, heavy-handed moral message that young girls should trust their parents' good judgment more than their own amorous inclinations.[1] An intrusive narrator tells us the fate of all of the main characters except Charlotte's infant daughter, the "dear little charge" who will presumably be raised by her grandparents, The Temples (118). It is not until 1828, four years after Rowson's death, that her sequel to *Charlotte Temple*, entitled *Charlotte's Daughter: Or, The Three Orphans*, is published and the story of the Temples finally concludes.[2] Even more obscure than its prequel, *Charlotte's Daughter* is neither part of our contemporary canon of American literature, nor is it often acknowledged by critics (even critics writing on Rowson). *Charlotte's Daughter* is an orphaned novel, the object of a custody battle fought between the paternalistic memoir prefacing and tapering the narrative and the remnants of a nervous narrator desperate for control in *Charlotte Temple* on one side, and an emergent sense of women's liberation in their lives and control in their texts on the other. Rowson rewrites *Charlotte Temple* in the sequel, ultimately revealing her lessened

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[1] Susanna Haswell Rowson, *Charlotte Temple* (New York: Oxford University Press, 1986). All subsequent citations will refer to this edition.
[2] *Charlotte's Daughter* later became known as *Lucy Temple* after a 1942 publication of that name. See Patricia Parker's *Susanna Rowson* (Boston: Twayne Publishers,1986) 99. All citations of Charlotte's Daughter are from Susanna Haswell Rowson's Charlotte's Daugther; Or, The Three Orphans (Boston: Richardson & Lord, 1828). 1 Mar. 2004 http://extext.lib.virginia.edu/eaf.

anxieties about the world of print and morally redeeming Charlotte's sins through Lucy's wisdom and charity.

Rowson's literary history is paradoxical, because although *Charlotte Temple* was the most popular American novel of its time and marks a milestone in United States publishing history, Rowson was hardly considered an intellectual or even cultural force and none of her texts ever made it into the American literary canon.[3] *Charlotte Temple* went through over two hundred editions, and at the time of Rowson's death "had come to replace the Bible on many a bedtable," according to Cathy Davidson.[4] Rowson's bibliographer, R.W.G. Vail, called *Charlotte Temple* "the most popular of all American novels," until *Uncle Tom's Cabin* claimed the title (Parker 84). And yet, for a writer of unprecedented popularity and influence, critics during Rowson's time often referred to her as "tame" and condescendingly called her books "little."[5] Patricia Parker explains that "book reviews of women's books had changed little over the forty years in which Rowson had been publishing. A woman writing for women could expect cursory acceptance if her work served a didactic purpose and could do no harm, but she could still not expect serious criticism" (102).

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[3] Jane Tompkins argues that "by any normal, reasonable standard, the title 'father of the American novel,' or, alternately, 'first American man of letters,' should have gone not to Charles Brocken Brown, who has always held it…but to a person named Susanna Rowson," (29). She rightly adds that Rowson wrote at the same time as Brown did, exceeded his level of literary production, and had an incomparably greater influence on American culture (29). See Jane Tompkins, "Susanna Rowson, Father of the American Novel," *The (Other) American Tradition* (New Brunswick: Rutgers University Press, 1993) 29-38.

[4] Cathy Davidson, Introduction, *Charlotte Temple* (New York: Oxford University Press, 1986) xxviii/

[5] Rev. of *Charlotte's Daughter*, *American Ladies' Journal*April 1828.

Rowson passes in *Charlotte Temple's* preface as a female author who does not fight against this standard, by layering a velvet glove of meekness above her iron fisted claim of authorship. She continually minimizes her work, referring to her novel as a "trifling performance" and repeatedly using passive and conditional verbs such as "have thrown," "have not wrote," and "could" (5,6). It seems, at least on the surface, that Rowson treats her text as if it were a domestic sphere, assuming the eighteenth-century maternal ideals of sweetness and submission in her role as an author. Yet beneath Rowson's apparent modesty is a fierce insistence on ownership of her text. She explains her sources, her authorial intentions, and what she wishes readers to take away from her work, making it clear that she alone has ownership of *Charlotte Temple*. Her language reiterates her claim: "I wrote…", "I have not wrote a line that conveys a wrong idea…", "I shall rest satisfied", "my own intentions", "I dread not censure" and patenting her preface (6).

Diction in the preface to *Charlotte Temple*—"anxious," "morals," "purity," "corrupt"—foreshadows the nervous, didactic, character of Rowson's very intrusive narrator. Should readers have any doubts about her authorial intent, Rowson clarifies that her purpose for writing is the moral education of young women:

> I wrote with a mind anxious for the happiness of that sex whose morals and conduct have so powerful an influence on mankind in general; and convinced that I have not wrote a line that conveys a wrong idea to the head or a corrupt wish to the heart, I shall rest satisfied in the purity of my own intentions, and if I merit not applause, I feel that I dread not censure. (6)

In *The Plight of Feeling*, Julia Sterne notes that Rowson's narrator seems to experience separation anxiety between herself and her story. She writes that the narrator "cannot be satisfied by telling Charlotte's story in a finite, linear manner," because this method of storytelling does not accommodate close control and attachment to the text.[6] Sterne explains what the narrator does instead: "the narrator's powerful wish for control and restitution is acted out not only at the level of narratorial interruption but through an obsessive retelling of Charlotte's undoing in the epistolary discourse, the melodramatic spectacle, and the oral tradition that are deployed within the novel's mimetic world" (60). In her essay, "Female Captivity and the Deployment of Race in Three Early American Texts," Maureen Woodard writes that Charlotte's "final tearful reunion with her father, the survival of her child who resembles her, and the remorse of her seducers all assert a reassuring moral message for readers that goodness will overcome evil."[7] However, Rowson's "anxious" preface and her frequent interpolations betray the worry that her novel, like Charlotte's infant daughter, is being offered over into other hands, and thus her own control as an author and maternal narrator must also inevitably be relinquished.

Rowson was not without good reason to be cautious about the kidnapping of her text; writers of her time could not expect much control of their manuscript once it went to print. In *The Popular Book* (1950), James Hart notes that after the initial publication of *Charlotte Temple*, "prices dropped and so did Charlotte's morality in garbled and unauthorized editions, one of which billed her as 'The Fastest Girl in New York.' Her child was a chip off the old block, for Mrs. Rowson's sequel, *Lucy Temple*, tells how Charlotte's illegitimate daughter nearly married her own brother, a story so enthralling

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[6] Julia Sterne, *The Plight of Feeling* (Chicago: The University of Chicago Press 1997) 60.
[7] Maureen Woodard, "Female Captivity and the Deployment of Race in Three Early American Texts," *Papers on Language and Literature* 32. n2 Spring 1996 [paragraph 13].

that thirty-one editions of her life have been located, and probably several more were read to pieces."[8] Parker adds that "The 1865 edition [of *Charlotte Temple*] published by Barclay and Co. in Philadelphia…omitted her name altogether and identified the story as an American legend" (86). The changes made to *Charlotte Temple* corrupt the characters dramatically. Parker explains one particular instance of plagiarism:

> In 1899 Charlotte Pixley Plumb published *Charlotte Temple, a Historical Drama*, a play which freely omitted much of the novel's plot, added and deleted characters, and changed both action and dialogue….By the end of act 2, Charlotte is raving mad, though she has not given birth, and in fact, the audience cannot be quite sure she has ever lost her virginity… Nowhere does Rowson's name appear. The play demonstrates a reworking of R's material to please late nineteenth-century American taste (86).

It is unclear to what extend Rowson was aware of the different versions of *Charlotte Temple* her story was spawning, but the treachery of the print world was well known to her.

Charlotte's Daughter was found in manuscript form after Rowson's death, and she had apparently composed it intermittently over the course of many years, though Parker notes that the exact dates of composition are unknown (Davidson xxviii; Parker 98). The tale follows the romantic fortunes of three young women, all orphans (one of them is Charlotte's daughter, Lucy Blakeney) under the loving tutelage of their guardian, Mr. Matthews. Mary Lumly, the first orphan, is seduced by an avaricious man who

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[8] James Hart, *The Popular Book: A History of America's Literary Taste* (New York: Oxford University Press, 1950) 63.

marries her for her fortune then abandons her. Aura Melville, the second orphan, has no inheritance but marries a wealthy man. Lucy Blakeney falls in love with a man whom she later discovers is her half-brother. After it is revealed that their father is Lieutenant Franklin, the dreaded Montraville from *Charlotte Temple*, Lucy remains single and contentedly commits herself to teaching young women.

Published posthumously in 1828 by Richardson & Lord, and affixed with a memoir of Rowson written by her friend Samuel Lorenzo Knapp, the novel went through thirty-one editions. Its sales did not match the astronomical success of *Charlotte Temple,* but neither did any other book of the time.[9] Parker records that *Charlotte's Daughter* met with mixed reviews, and that Rowson

> received her only American review by John Greenleaf Whittier in the *Essex Gazette* of Haverhill, Massachusetts. Whittier quoted extensively a passage from the book, and wrote that he liked Rowson's characters, the book's 'moral beauty,' and its language of nature, but he acknowledged, without specifying, 'imperfections' in style and incident. (102)

A critic writing in the April edition of the 1828 *American Ladies' Magazine* states "The work before us, appears before the public under all the disadvantages of a posthumous publication; it is not therefore surprising that we find in some passage an unusual looseness of style, and occasionally a grammatical error" (191). The critic implies that its publishers did not edit *Charlotte's Daughter* as conscientiously as Rowson would have done herself, had she still been alive in 1828. The reviewer also recognizes the same print anxieties that Rowson grappled with, for a posthumous publication was without a

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[9] Russel Nye, *American Literary History: 1607-1830* (New York: Alfred A. Knopf, Inc. 1970) 237. Hart 63.

literary guardian to shepherd it through printing and guard its textual integrity. Eighteenth and nineteenth-century authors already harbored print anxieties associated with the loss of control once their work went to press; Rowson's orphaned text was vulnerable to bootleg editions and plagiarism, but without a protective guardian to protect its literary chastity.

Considering the "obsessive retelling" of Charlotte's story, *Charlotte's Daughter* seems to be not just an extension of the story of the Temples, but an attempt at retribution and attachment, a final retelling. Rowson's characters are reborn in *Charlotte's Daughter* into a brighter world. The evil in *Charlotte Tem*ple is much more mitigated in its sequel—the forces that ruined Charlotte only singe her daughter Lucy, who sees her friends make poor choices but avoids falling prey to seduction herself.

Like many novels of its time, *Charlotte's Daughter* begins with a preface intended both to introduce the novel and to serve as a character witness for the author. Knapp's "Memoir" walks a peculiar line between biography and blurb; he turns to Rowson's past to understand her goals as an author, and trumpets her as both a gifted writer and a principled woman. Knapp's memoir adopts the same sentimental, flowery language of *Charlotte Temple*, and at times his encomium's exaggerated praise adopts theatrical diction, perhaps as a nod to Rowson's work in the theater. For example, when personifying Rowson's imagination, he imagines it "fixing an upward gaze on another world…until the curtain falls and the drama is closed forever" (20). He refers to her, like many critics, as "Mrs.Rowson," emphasizing her maternity and her marital status. "Mrs. Rowson" is a fictional character in Knapp's memoir, one who has "none of the tricks of practiced authorship" and a style that is "perfectly simple, perspicuous and unaffected"

(16). Knapp's use of biographical material, his inclusion of an excerpt that highlights paternal devotion, and his refusal to discuss the actual text of *Charlotte's Daughter*, cloak Rowson's complexity and impose an adoptive father on her text.

Knapp begins by regaling readers with details about Rowson's upbringing and character. This insertion of biographical material enhances the nostalgia of a narrative that is already backward looking because it is a sequel to the life of a beloved, dearly departed character (Charlotte Temple) and because the publication itself is posthumous. Yet Sterne notices nostalgia inherent in Rowson's writing. "CT is both backward looking—foregrounding the green world of the Temple's rural cottage in its nostalgic representation of the English past—and radically democratic—envisioning through its heterogeneous community of imagined and actual readers an American future that departs in startling ways from this protorepublican pastoral idyll," states Sterne (32). The posthumous publication of *Charlotte's Daughter* creates an untouchable envelope for the novel, shielding it from the appraising eye. Knapp makes the bold statement that "*Rebecc*a is one of the best drawn female characters in modern fiction" and points out moments of "touching pathos" in Rowson's first novel, *Victoria* (1786) (8, 5). Knapp's high praise of Rowson's body of work paves the way for a positive reader response to *Charlotte's Daughter*, while his silence about the story itself contributes to an alluring sense of mystery, presumably already heightened extant by the posthumous publication of the tale and "beyond the grave" quality.

The memoir to *Charlotte's Daughter* ventriloquizes Rowson herself, taking up her cause, the edification of young women, and trumpeting recurring themes in her work, such as the importance of charity. Knapp's thick compliments echo those Rowson

bestows upon her beloved characters, such as Charlotte's parents. He assesses that Rowson's "main design was to instruct the opening minds and elevate the moral character of her own sex" (12), admires her "pure and elevated morality" (5), sympathizes with her "arduous duties" as an instructor (10), and even praises her "genius" (16). Knapp's assessment of Rowson follows the style of the intrusive narrator of *Charlotte Temple*, interpolating and judging morals and events in order to edify readers. Yet Knapp also acts as a concerned father, pleading Rowson's case that her novel is based on real events and seeing that her wishes are carried out after her death the way Mr. Temple did for Charlotte. Readers are reminded in the memoir of Rowson's testimony to the validity of her sources in the introduction to *Charlotte Temple*: "I had the recital from the lady whom I have introduced under the name of Beauchamp. I was myself personally acquainted with Montraville, and from the most authentic sources could now trace his history" (7). Should the author's own words prove unconvincing, Knapp offers further evidence for Rowson's credibility: "The tears of many thousand readers have borne ample testimony to the power and pathos of this work" (8).

Knapp carefully allows Rowson's own voice into his memoir by selecting a passage from *Rebecca* emphasizing a daughter's devotion to her father. The purported purpose for the excerpt is to "furnish a fair specimen of her [Rowson's] talent," and for this, the reader's indulgence is requested (12). Knapp apparently holds the excerpted passage in high esteem, for he follows it up with the promise that Rowson's later works demonstrate a similar style and level of writing. Indeed, the segment is a fair representation of the themes and character types that await readers in *Charlotte's Daughter*. The excerpt contrasts Rebecca, seemingly an analogue of Charlotte, and Lady

Ossiter, a coarse and self-absorbed foil to Rebecca's artlessness. In response to a promise of friendship, "'Rebecca attempted to express her thanks, but her emotions were so violent, that she was forced to continue silent'" (13). Like many of Rowson's heroines, Rebecca is gentle, often subservient to her own powerful emotions, and devoted to filial piety. Finally, the theme of separation between parent and child is introduced, when we learn that Rebecca is in morning for her recently deceased father. The extended quotation from *Rebecca* is a miniature representation of Rowson's literary corpus, easing readers into the novel proceeding the memoir and accompanying the excerpt with praise, as if Knapp intends to direct readers to the proper response to Rowson's work.

Charlotte's Daughter is the elephant in the memoir. Mr. Temple protects his orphaned granddaughter; Knapp protects Rowson's reputation as a gifted writer and a good person; but any discussion of the very story which he preludes is conspicuously absent. The narrative is quickly mentioned just once: "'Charlotte's Daughter,' which is now first published, was not prepared for the press until after the author's decease. It would be hardly becoming to speak of its character on the present occasion," writes Knapp (10). Perhaps he knows that *Charlotte's Daughter* is subject to what the *American Ladies' Magazine* called "the disadvantages of posthumous publication," and does not believe that Rowson's orphaned work should be subject to appraisal. Or, perhaps he is simply taking orders from Richardson & Lord. His writing on eggshells around Rowson's text is curious, however, because he delves into her other work, delivers hyperbolic praise throughout, and uses a very Rowson-like style of sentimental and didactic writing. In any case, *Charlotte's Daughter* lies fallow, and readers meet the

narrative knowing far more about the author's charity work than they do about the characters.

The memoir also underestimates the cleverness and manipulative power of Rowson's female villains. Knapp writes: "There is a naiveté in her female characters, an unconscious disclosure of their little foibles" (16). Many of Rowson's most memorable characters are women who brilliantly manipulate other women—naiveté is certainly part of Rowson's cast of characters, but not in Julia Franklin, not in Theresa Brenton (Mary Lumly's fulsome friend), and, most notably, not in Lucy Blakeney. Parker observes that "recently critics have speculated about the 'hidden message' in *Charlotte Temple*. Feminist critics believe Rowson was teaching her readers to avoid Charlotte's helplessness and become strong like Julia Franklin and that readers consciously or unconsciously appreciated this message" (86). Rowson's endorsement of Julia Franklin is debatable, but the "hidden message" to avoid Charlotte's mistakes is far from hidden. Rowson writes in *Charlotte Temple*: "Oh my dear girls—for to such only am I writing—listen not to the voice of love unless sanctioned by paternal approbation" (29). By glossing over the presence of conniving women in "Mrs. Rowson's" text, he forgets that along with the angel in the house, Rowson also inserts a number of female demons.

Critics who believe that Rowson offers her female readership a dualistic model, Charlotte or Julia, should consider *Charlotte's Daughter*, which provides a model for women that is neither Charlotte's sweet, yet dangerous trustfulness, nor Julia Franklin's calculating intelligence. In Lucy Blakeney, Rowson strikes a balance between qualities often seen in opposition during the nineteenth-century: femininity and strength. Lucy seems to symbolize female evolution, with the charm of her mother but none of her

weaknesses: "Her beauty, unimpaired by her early sorrows and preserved by the active and healthful discharge of the duties of benevolence, had now become matured into the fairest model of lovely womanhood," writes Rowson in the conclusion to the novel. She then differentiates between a lesser and higher form of beauty: "It was not that beauty which may be produced by the exquisite blending of pure tints on the cheek and brow, by fair waving tresses and perfect symmetry of outline—it was the beauty of character and intellect…" These two forms of beauty could be applied to texts as readily as to women; Rowson's aesthetic statement is a fitting philosophy to mark the end of her career. Here, she seems less the fussy, matriarchal narrator that we find in *Charlotte Temple*, and more of a confident but still instructive author.

If these two Rowson novels are allegories of print anxiety around the turn of the 1700s, then the degree of danger seems to have subsided in Rowson's view from 1791 to 1828. A comparison of the endings of *Charlotte Temple* and its sequel suggests that Rowson feels more authorial control, that the world of print appears less treacherous. Compare the last sentence of *Charlotte Temple*:

> He gave her shelter that night beneath his hospitable roof, and the next day got her admission into an [sic] hospital; where having lingered a few weeks, she died, a striking example that vice, however prosperous in the beginning, in the end only leads to misery and shame (120),

To the last sentence in *Charlotte's Daughter*:

> When the summons came, which released her pure spirit from its earthly tenement, and the history of her family was closed with the life of its last representative; those who had witnessed, in her mother's fate, the ruin

> resulting from once yielding to the seductive influence of passion, acknowledged, in the events of the daughter's life, that benignant power which can bring, out of the most bitter and blighting disappointments, the richest fruits of virtue and happiness. (184)

Both sentences describe the death of the titular character, the former dying ignominiously, the latter's death bringing restitution to her family. The stacked clauses in the last sentence of *Charlotte's Daughter* suggest the author is eager to pack meaning into this final sentence. The phrase "virtue and happiness" strikingly contrasts "misery and shame." The two conclusions also stand as testaments to Rowson's authorial control, for she was able to ensure positive closure to the family story, linking mother and daughter texts. The sequel to *Charlotte Temple* features a stronger heroine and a diluted narrator, one who seldom directly interpolates. And although some women are still described as "victims" in *Charlotte's Daughter* (such as Mary Lumly), the forces that overpower them are described as internal--"self will and ill directed sensibility"--more than external and male.

Charlotte's Daughter rewrites *Charlotte Temple*, retaining the theme of sincerity versus falsehood, yet subtly shifting emphasis from the dangers of seduction to the joys of charity and obeying one's guardians. Also, Rowson's main character changes from a seduced, ruined woman to a philanthropic, virtuous woman. Emergent from a paternalistic memoir and an orphaned text is a narrative which ultimately shows an optimism and calm in Rowson's view of the world of print, a new assertion of authorial control, and the possibility for young women to avoid and learn from the mistakes of past generations.

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Title: A Study of Duke Ellington's Approach to Extended Form From 1935-1937 With an Emphasis on Reminiscing in Tempo and Diminuendo and Crescendo in Blue.

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ABSTRACT

A STUDY OF DUKE ELLINGTON'S APPROACH TO EXTENDED FORM FROM 1935-1937 WITH AN EMPHASIS ON *REMINISCING IN TEMPO AND DIMINUENDO AND CRESCENDO IN BLUE*

DWIGHT C. BANKS, Ph.D

The primary objective of the paper is to focus on Duke Ellington's early approach to extended form with emphasis on the period 1935-37 and the two extended works produced by him during that period. *Reminiscing in Tempo* and *Diminuendo and Crescendo in Blue* are compositions in which Ellington explores this concept in different ways and both works are considerably different in character. However, there are common considerations to be taken into account with each.

The research involved in writing this paper necessitated accessing Ellington's original manuscripts located at the Smithsonian Institute in Washington, DC. In addition to discussion of the pieces from an analytical perspective, focus is placed upon Ellington's significance as a composer, bandleader and cultural icon, his influences, and the compositional approaches, and methodologies used by him. Examination of these pieces from a contextual perspective will also be done by observing the period in which they were composed in regard to social, artistic and popular culture in America. The concept of extended form is also examined, as well as reasons why Ellington wrote pieces using this method.

Focus is also placed on Ellington's personal and business life and how they influenced his creative direction. In addition, emphasis is placed upon viewing the members of the Ellington orchestra during this period and examining how they impacted his compositional direction.

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Proceedings Submission
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Abstract:

As the generation that experienced World War II continues to age and diminish in number, the need to document fully the war's events and its aftermath becomes more critical with each passing year. Although the war ended in 1945, it is only recently with the collapse of the Soviet Union and the related lowering of the "iron curtain" that many post-war activities and circumstances in Central and Eastern Europe can be explored with some thoroughness.

One such circumstance is the practice of sacred music in Hungary during the communist era. Following an initial purge and reorganization of national institutions in 1945, religious practice was permitted, although it was severely restricted and monitored. Practitioners of religion also paid social, economic, and political penalties for their so doing. Within Hungary's challenging political milieu, however, a musical life within the religious institutions not only

existed but, arguably, flourished. It was characterized by remarkable leadership, "in-house" sacred music training, active composers, publications, congregational hymnody, choral music, instrumental music—even recordings. It was also characterized by a high degree of cooperation between religious bodies. All the facets of such a musical life are noteworthy to have taken place under a communist government; some of them are quite astonishing.

Unfortunately, this history has hardly been documented. The leaders, composers, and other musicians who were chiefly responsible are either aging or are already deceased. Their activities and output will not be discovered in any contemporary, scholarly publications, as all such publications were produced or censored by the government, and the government did not promote—or even report upon—religious activity. Much of the story must come from first-hand accounts of those who there.

This paper presents hitherto unassembled information about Hungary's life of sacred music under communist rule. Much of the information in the paper has been gathered from interviews of key leaders and participants. The role of sacred music as an area of protest, faith, and cohesion is revealed as well as related acts of both individual and institutional courage under a highly adversarial regime.

Dissertation Abstract
Motherin' the Blues: Linda Hopkins
The Continuing Legacy of the Blues Woman

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> **The only people that ever really supported blues and are still supporting blues now, the only black people that are not ashamed of the blues is our black women. They always supported the blues, and if it don't be for black women blues would have been dead a long time ago.**
>
> **~*~Memphis Slim[1]**

Blues legend Linda Hopkins began her career at the age of 8 when gospel great Mahalia Jackson first heard Little Helen Matthews, as she was then called, sing gospel in Linda's church where Linda's father, Fred Matthews, Sr., was a preacher. Ms. Jackson was so impressed by the spunk and talent of Little Helen that she encouraged and arranged for Linda to join The Southern Harp Spiritual Singers; she remained with the group for 13 years touring the country. Then at the age of 25 she began her blues career in a spectacular opening night performance in Oakland, CA at the then famous Slim Jenkins Blues Club. She was encouraged and supported by such great singers as Helen Humes who promoted Linda's opening night and introduced her to a packed house that included a Who's

[1] Spencer, Jon Michael. *Blues and Evil*. Knoxville: University of Tennessee Press. 1993.xxv, 14.

Who of blues and jazz greats including Duke Ellington, Count Bassie and Sarah Vaughn; Little Esther Phillips who created Linda's stage name; Dinah Washington who generously gave Linda several stunning pieces of stage wardrobe; Billie Holiday who cautioned Linda not to make the mistakes she had made by abusing her body and talent with drugs along with a host of other veteran singers who were to mentor Linda's career.

On December 14, 2004 Linda Hopkins will celebrate her 80th birthday and has never stopped performing the blues. Yet, despite this stellar career, there is no complete record of her contribution to blues history. The task of my dissertation is threefold: to record the remarkable life and times of the blues woman Linda Hopkins with all its attendant tragedies, triumphs and challenges as well as her capacity to love and to embrace life, her sense of humor, her generous spirit and her will to survive; to place into the corpus of blues history and scholarship her recording and performance achievements and to discuss and examine her tremendous talents and contributions; and to demonstrate how both her life and her art have mothered, or nurtured, the blues and contributed to the ongoing legacy of the blues woman. The end product of the dissertation will be a mass market authorized autobiography of Linda Hopkins.

Chapter One, *Women Sing the Blues*, contextualizes and historisizes blues history particularly by and about women. Its focal assertion is:

> Classic blues, then, is a poetic form which has its roots in the early Negro field hollers, work songs and spirituals that incorporated the traditional pattern of call-and-response. It uniquely sets forth both in writing and in performance, the specific narratives of the African captive experience in America. If women did not solely give birth to the form, they have mothered, or nurtured and developed, it from its earliest origins through the zenith of the blues women's era of the 1920's to the present. In so doing, blues women have carved out a specifically womanist socio-cultural space to express private pain, oppression and misfortune in a public sphere of protest.[2]

Chapter Two, *I Ain't Bessie*, transcribes Linda Hopkins' life in her own words as they were recorded by me. The chapter begins with the startling circumstances of Linda's birth and concludes with her present life.

Chapter Three, *But There's a Whole Lotta Bessie in Me*, closely analyzes and offers a reading of the work, concept and performance history of Linda's 1976 acclaimed award winning one woman show *Me and Bessie* and examines Linda's personal and historical relationship to Bessie Smith and her work. Linda Hopkins is the only black woman to have conceived and produced a long running Broadway show.

Chapter Four, *Wild Women Blues*, examines Linda's recent work placing particular emphasis on her current show which she has been touring in Europe. In addition, it will demonstrate the relationship between this work and *Me and Bessie* and discuss the seamlessness of Linda's repertoire.

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[2] Barrow-Pryor, Erany. Dissertation. *Motherin' the Blues: Linda Hopkins The Continuing Legacy of the Blues Woman. Chapter One.* 20.

Chapter Five, *It Ain't Ova Yet*, will offer a summary conclusion and analysis of other Hopkins' recorded works particularly *How Blue Can You Get* and *Black Blue* and offer a discussion of Linda's current work which ain't ova yet.

Motherin' the Blues: Linda Hopkins
The Continuing Legacy of the Blues Woman

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Title of Submission

How to Build and Present Your Personal Brand: A Design Portfolio

Topic area of Submission

Art – *Product Design*

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Abstract

No more can an artist, architect, interior designer, graphic designer, fashion designer, or an industrial designer throw a few photographs of projects in a binder and present this as their portfolio at a job interview. The power of branding has expanded from the retail market to the marketing and promotion of individuals.

Personal branding is creating an identity and an image that reflects the person that is being marketed. The portfolio is more than photographic collection projects; it is a collection of elements that are graphically coordinated. Those elements are: a resume, personal stationary for letter writing, self-promotion pieces, and a bound portfolio of printed pages that show samples of projects.

This paper and presentation will discuss the design and development of a resume, cover letter, self- promotion material, and how to organize and produce a portfolio. Guidelines and recommendations for graphically organizing your own personal stationary for the resume and cover letter will be presented, along with ideas for self-promotion and how to design the project portfolio.

How to Build and Present Your Personal Brand: A Design Portfolio

Randall N. Bartlett, IDSA
Associate Professor, Auburn University

Introduction

Today we live in a branded world. Brands are more than logos and marketing jargon. They are icons of our society, reflecting preferences, values, and lifestyles. Many of us view our self identity through the brands we support and buy. Whether it's a car, computer, wine, or even where we do our banking, we create brand relationships with what feels good, what supports us emotionally, and what helps define us to others.

In this communications media age, brands act like beacons, enabling us to pre qualify our purchase decisions. As consumers we have so many choices in so little time we allow the brands to guide us to the right choice. We learn to trust and respect our brands as a validation and confirmation of what is a better choice. The advantages of personal branding are clear. With a recognized identity you have a much easier time attracting prospective employers and ultimately landing a rewarding position.

Personal Branding

Branding has crossed the traditional retail market into the personal market, the marketing and promotion of individuals. In the past, artists, architects, interior designers, graphic designers, fashion designers and industrial designers selected photographs of projects and put them in a portfolio case and hoped for a job interview. This method, even though it is still used, has changed. Greater emphasis has been placed on packaging of the personal elements used in the job search.

Personal branding is creating an identity and image that reflects the person that is being marketed. Your identity and image must match. This sounds simple, but the image you portray, whether it be how you dress or the style and layout of your resume reflects an image that ultimately becomes associated with your identity. Just like companies brand their products to create some unique associations in the minds of the target consumers, personal branding also involves the creation of strong, unique and favorable associations in the minds of the people around. But unlike products which have a conscious marketing program to build and maintain brand values, personal brands are built unconsciously. Even if a person does not play any role in branding himself, others will automatically create some associations about him depending on his nature and habits.

A major element in developing a personal brand is self-promotion. The adage: If you don't know where you're going, how will you know when you arrive?" applies to self-promotion. Before you design a resume, write cover letter samples, develop your mailer or design the page layout for you portfolio, ask yourself what you expect your self-promotion efforts to accomplish. Some of the options might include:

- Develop or enhance an image
- Change an existing or perceived image
- Increase or expand your client base
- Relocate or establish a presence in another market
- Get a job
- Get more work
- Get different kinds of work
- Get better-paying work

The next question that needs to be asked is: "Who is your audience?" Look at the list of goals you've established and think of where you will need to have exposure in order to accomplish the goals. This list may be broad or narrow, that will depend on you, but it is critical to know your audience and more important to know who within your audience that needs to hear your message. Target your promotion to the audience you want to reach.

Identity with Impact

Self-promotion is the essence of what a designer should do: communicate. If you can't communicate with your own design, how can you expect employers to trust your ability to do it with their projects? The visual message, which is the heart of your personal brand, should be captivating. Excellent graphics and quality images are required on all pieces of the personal brand package. It's important to identify the essence of our best work is each piece you produce. There is no excuse for showing poor quality work. If it's not good, then it should not be in your package. Remember, this is the opportunity to showcase your best creativity and talent. Be unique, original, and memorable. Another bit of advice is to focus on what you do best and don't try to be everything for everybody. Keep your message simple.

Nearly all personal branding gurus agree that cultivating an image -- and marketing it --takes real work. A cynic would not be surprised to learn that branding coaches are waiting in the wings to help you with that hard work. They recommend you make conscious choices about the people you associate with, the clothes you wear -- and even the way you speak.

Personal branding is about determining who you are at your core authentic self, rather than inventing a brand that you would like to be perceived as. Your personal brand emerges from the search for identity and meaning, out of which comes an awareness of personal strengths and talents.

Elements of a Personal Brand
There are several elements that can be developed for personal branding, but there are a few that almost everyone has as part of their package: a resume, a cover letter, a self-promotion piece (brochure), an envelope, and in design related fields (artists, architects, and designers) the project portfolio. Each of these elements should be graphically coordinated to ensure a complete brand image.

One recognizable image may be a personal logo, which is used on all of the pieces produced. The personal logo design should reflect your identity. Your personal logo must be visually accommodating to a large audience. The logo can simply be your name typed in a different font style.

Resume Design Tips

Graphically

- The resume is looked at first then read.
- Make it easy for the reader - use 80 to 90% black ink
- Use white space effectively
- Create a composition that establishes continuity with other portfolio elements
- Use a minimum number of font styles – I suggest no more than three.
- Change the font – style, size, bold, italic – when the situation demands it.

Resume Basics

- Be accurate and honest
- Print on a quality printer
- Avoid any mistakes
- Be consistent in format and style
- Consider overall page design
- Use matching paper for resume, cover letter, and envelopes
- Omit high school information unless related to objective

Cover Letter Design Tips

Graphically
- Like the resume – I believe that is looked at first…then read.
- Make it easy to read
- One page
- Use White space effectively
- Consider 80 to 90 percent black ink
- Maintain graphic continuity with other portfolio elements – the resume

- Avoid one and two paragraph letters – but no more than four
- Use the basic information required for a standard business letter – you can adjust the information graphically.

What Makes A Good Cover Letter?

1. No spelling or typing errors. Not even one.

2. Address it to the person who can hire you. Cover letters and resumes sent to the personnel department have a tougher time of it. If you can find out (through networking and researching) exactly who is making the hiring decision, address the letter to that person. Be sure the name is spelled correctly and the title is correct. A touch of formality is good too: address the person as "Mr.," "Ms.," "Mrs.," "Miss," "Dr.," or "Professor."

3. Write it in your own words so that it sounds like you--not like something out of a book.

4. Being "natural" makes many people nervous. And then even more nervous because they are trying to avoid spelling errors and grammatical mistakes.

5. Show that you know something about the company and the industry. This is where your research comes in. Don't go overboard--just make it clear that you didn't pick this company out of the phone book. You know who they are what they do and *you* have chosen them!

6. Use terms and phrases that are meaningful to the employer. (This is where your industry research and networking come in.) If you are applying for an advertised position, use the requirements in the ad and put them the letter.

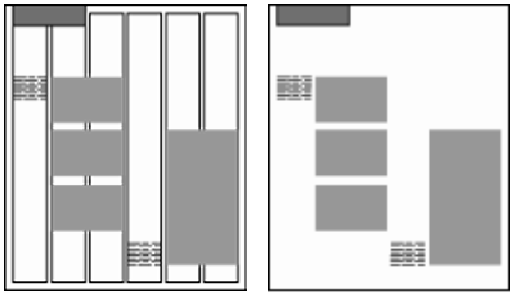
Envelope Design Tips

This is another design element…it carries the resume, cover letter, and possibly the teaser.

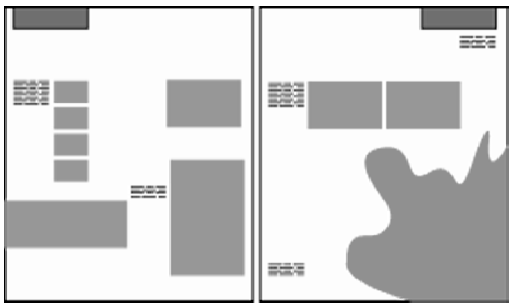
- It should be graphically coordinated with all of the other elements. Use a full size envelope – 9” x 12”.
- It is a good practice to have the number 10 standard size for mailing thank you letters and other correspondence. This envelope is also graphically coordinated.

Self-Promotion Brochure and Portfolio Design Tips

This is a collection of my thoughts and suggestions to consider when preparing a project portfolio. These suggestions are not listed in order of priority, so the order is random, but considering these will improve the design and communication of your project portfolio.

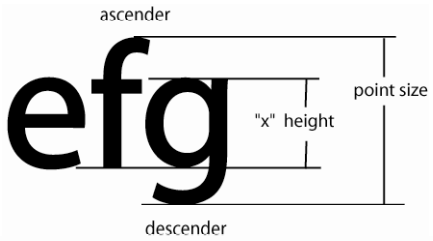


- Are you really using a grid or are you fooling yourself? Remember, the grid is to help you organize your headings, images, and text blocks. Be sure that your images – with or without backgrounds are cropped to fit the column format of the grid.

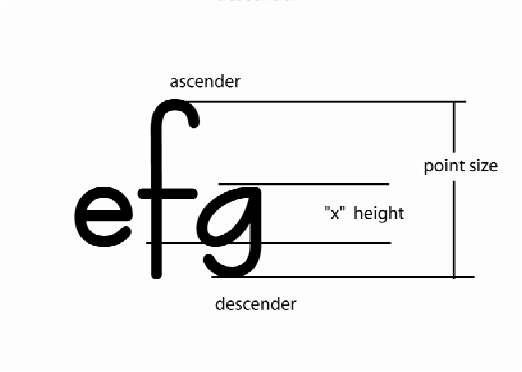


- Make sure that you don't full bleed images to the spine. Full bleed images to the outside and bottom of the pages.

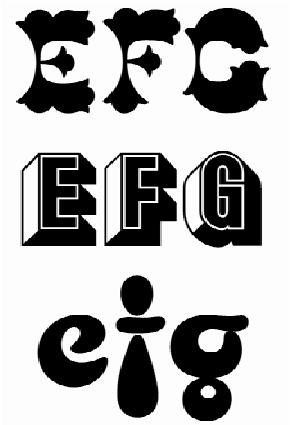
- A background image can bleed across the spine – from page to page. Make sure that the background remains background – check value and contrast.



- Don't be fooled by point size. Remember point size is measured from the top of the ascender to the bottom of the descender.

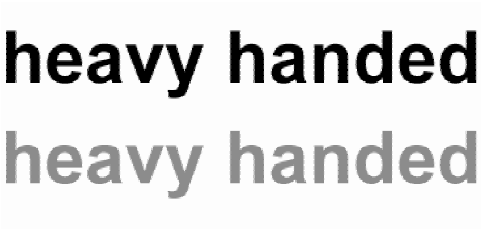


- Fonts that have a short "X" height in relation to the ascenders and descenders are difficult to read.

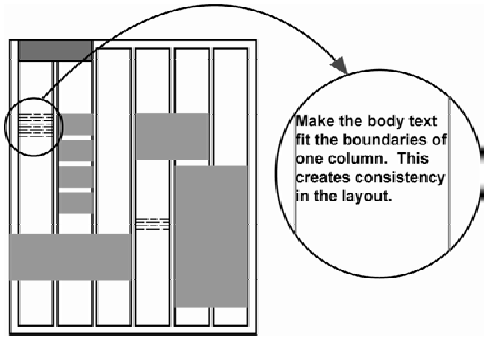


- Select a text style that is not trendy. Trendy text styles are too subjective. Good typography is not the neat or cool font style; rather it is how you use the text.

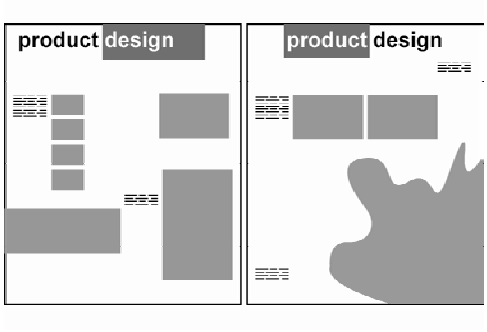
- Remember; make a font change when the situation demands a change. This includes making the font bold, italic, underlined or larger.



- Depending on the font style and size selected the text may appear heavy handed. To solve this try making the text a percentage of black. The percentage amount will be determined visually – as each font style is different.

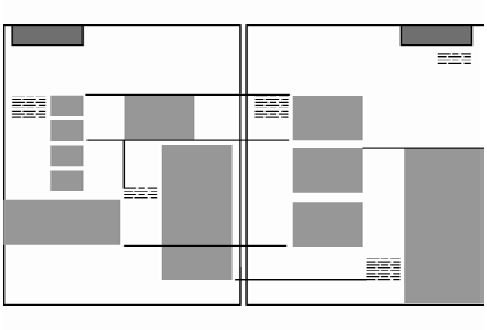


- Try to keep all body text to one column wide on your grid layout. Headings and captions and extend beyond one column.

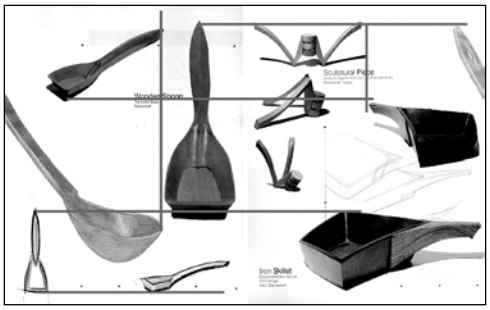


- Do not let the headings and titles overpower the composition. They are important, but they should not visually dominate. Your images should dominate.

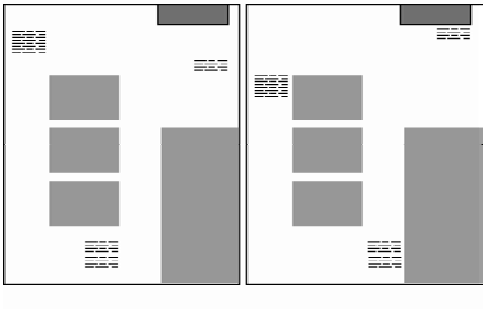
- The grid is to help in page composition, but you can't totally rely on it, a basic understanding and application of four basic design principles will help. The principles are: **alignment**, **proximity**, **repetition**, and **contrast.** These design principles are the underlying factors in every printed piece you see anywhere.



- **Alignment** simply means that items on the page and adjacent pages are lined up with each other or within the implied-line concept. Text and images can be aligned on the left side, the right side, or centered. This is my suggestion: Choose one alignment and use it the entire portfolio.



- The vertical elements should be easier to align using a grid; it will be horizontal alignment that will need attention.

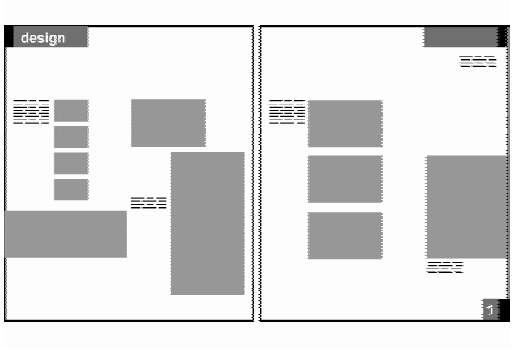


- **Proximity** refers to the relationships that items develop when they are close together, in close proximity. When two items are close, they appear to have a relationship. Often on printed pages many items are orphaned unnecessarily.

Sometimes a caption is too far from the picture it describes. Be conscious of the space between elements. This principle may apply more to the resume and cover letter than the portfolio pages.

Repetition refers to repeating certain elements that tie all the parts together. This is partially done by the graphic format for the headings and font style that have been maintained in the resume, cover letter, self-promotion piece and the portfolio. Each page of the portfolio should look like it belongs to the same portfolio, the same resume, the same cover letter, and the same self-promotion piece. Repetition makes this happen.

Each spread of the portfolio can be different, but within each truck you notice repetitive elements that tie all the pages together.



- Repetition can be as simple as repeating a color throughout the portfolio. Don't be fooled into using a bunch of elements that distract from the page – this is may be repetition but it creates chaos. Many great and powerful things are created quietly and with grace.

- **Contrast** is what draws your eye to the page, it pulls you in. Contrasting elements guide your eyes around the page, create a hierarchy of information, and enable you to skim through information and pick out what you need. Make sure that you pay attention to what you want the viewer to see. Avoid over-contrasting backgrounds or text that dominates the information.

  As in any composition there will be a focal point, an object or image that dominates the composition. Remember, that you must consider both pages of a truck as one composition and not two separate pages.

- **Combine the Principles -** Even though simply applying any one of these principles will improve your portfolio spread, you will generally find yourself applying more than one principle, and probably all four. I promise you that you will see a marked difference in your portfolio spreads by simply using these four basic principles: alignment, proximity, repetition, and contrast.

Conclusion

Various authors have different views on the need for personal branding. However, all of them agree that a personal brand plays the same role as any brand does – of differentiating a product, service (or person) from others. Your brand is going to be different than other –because you are different. My goal for you is that be sure that the image your leave are present is the image you want someone to denitrify with.

According to Nitish Bhalotia, personal branding is still a relatively new concept with considerable scope for further research. It is a concept that is waiting to catch the fever of a large part of the population which still remains largely ignorant of its effects. But increasing competition and the need for people to break the clutter and shine above their colleagues and competitors, will force a more serious approach towards personal branding. However, Bhalotia mentions that -personal branding is not without its share of critics. Columnist Lucy Kellaway, labeled personal branding "a hybrid of homespun psychology, self-help

and dressing for success." She adds, "Personal branding is distasteful for being blatantly ambitious, sneaky and superficial. The more you focus on Me Inc., the less you are likely to be focusing on the job in hand".

But does the personal brand have any depth? Karl Speak, president of Beyond Marketing Thought and co-author of Be Your Own Brand (Berrett-Koehler, 2002), thinks it does. Arguing that personal branding is not simply applying an attractive veneer, Speak says, "It's learning to get credit for who you are -- which really means understanding what your values are, and learning to make your values relevant to other people."

You decide. It is our choice if we want to brand ourselves.

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http://www.brandchannel.com/features

Personal Branding – The Brand Called You - Nitish Bhalotia
http://www.indiainfoline.com/bisc/perb.html

Conference Presentation:

1. Bartlett, Randall N. "Building a Career with Passion and Good Sense: The 2004 IDSA Portfolio/Interviewing Seminar" - National Conference '04 Pasadena, CA

Submission Proposal for Hawaii International Conference on the Arts and Humanities

Title: Awakening Giorgione's *Sleeping (Dresden) Venus*: An Image of Epithalamic Poetics Unmasked and Reconsidered

Topic Area: Art History

Presentation Format: Paper Session – Research Paper/Abstract

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Awakening Giorgione's *Sleeping (Dresden) Venus*:
An Image of Epithalamic Poetics Unmasked and Reconsidered

Introduction

Sensual mystery abounds in Giorgione's *Sleeping (Dresden Venus)* from 1509. A frankly erotic oil on canvas, the comfortably reposing nude female figure solicits our devoted attention with her delicate softness, languid form, curiously stretched between sweeping red and ivory drapery, and a typical "Giorgionesque" landscape in the background. As with any work of Giorgione's, due to a paucity of information by or about the artist himself, endless discussions of attribution rage on amongst scholars, alternatively disproving or affirming that Zorzi da Castelfranco (Giorgione) painted this work in 1509[1]. But perhaps even more interesting than who painted it: What is really going on in this canvas? Is it simply a rich, sensuous visual treat for the observer? Or in fact, as with so many paintings of the High Renaissance on the Italian Peninsula, is there "something more going on?"

Deepening the mystery of iconographic interpretations is exactly what was on that original canvas that Giorgione completed. The female figure appears the single subject of the work, a nude in a landscape that seems arranged just to match her curve for curve. Yet, according to the earliest sources, Giorgio Vasari's *Lives of the Artists*, first and second editions, and Giorgione's own early patrician collector and cataloguer, Marcantonio Michiel, describe a Venus-figure, a female nude, and a small, putti-like Cupid figure crouching near her lower legs and feet, an odd position to occupy in the picture plane. The most recent

[1] Giorgio Vasari, *The Lives of the Artists*. Trans. by Julia Conway Bondanella and Peter Bondanella, Oxford, London: Oxford University Press (1998 reprinted), p.299, *et seq*; Jaynie Anderson, *Giorgione: The Painter of Poetic Brevity*, Paris, New York: Flammarion, (1997), pp. 100-103, *et seq*. (Ms. Anderson's work is especially refreshing with a new eye cast to poetic themas in Giorgione's works, and deserves discussion in a far more thorough-going review than can be offered in this cursory overview of scholarly commentary); Jean Habert, "The Pardo Venus: A Farewell to Giorgione." is one such example. The work discusses in grave detail the *Pardo Venus* by Tiziano Viancello, (Titian) and the problems of its

scholarship and infrared radiography substantiate this figures appearance, the latest such examination report dated 1992. This raises further questions: when, why and by whom was the figure removed? If the various reports determine that the Cupid-figure was programmatically original to the composition, how does the subsequent removal change the interpretation of this figure? These questions, among myriad others, will be addressed in subsequent research and writings by this author, but for now, as with any work of Giorgione, such iconographic and thematic questions reflect not only the enigmatic nature of the artist himself, but also the surrounding socio-cultural historic circumstances of Renaissance Venice.

Sleeping (Dresden) Venus: A Synopsis of Analyses and Comments on the *Giorgionesque*

Identified by his principle and most well known biographer, Giorgio Vasari, in the second edition of his *Lives of the Artists* (1550), Giorgione da Castelfranco (also known as Zorzo, or Zorzi da Castelfranco), and for most scholars thereafter, name Giorgione as the founder of "modern style" (*i.e.*, "*la maniera moderna*" of the High Renaissance) in the Venetian schools of painting—application of color to reveal mood and define pictorial space, the independence of and relationship between figures and landscapes in the near and far ground. Vasari reports that Giorgione was born in 1477/8, left his home and became apprenticed to Giovanni Bellini when he was still a teenager (possibly 1492), dying in October, 1510.[2] The principal documentation of Giorgione's activities and work comes from commissions for the Palazzo Ducale in Venice in 1507, and a fresco cycle that he painted

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subject matter vis-à-vis attributions, and promptly claims the *Dresden Venus* as a subject by the hand of either Titian or Palma Vecchio.

[2] Vasari, pp.299.

on the German customs house (the Fondaco de Tedeschi) in 1508, but almost no other documentation exists for subsequent works attributed to his hand.[3]

The first known written record of the *Sleeping Venus* appears in the catalogues of Marcantonio Michiel, a patrician collector and connoisseur of High Renaissance Venetian paintings and sculptures in the 1520s and 30s.[4] Michiel notes that in 1525, the *Sleeping Venus* hung in the home of patrician (*nobili*) Giralomo Marcello.[5] Neither Vasari nor Michiel, nor subsequent experts successfully identified the individual(s) who commissioned the work, but Michiel's tantalizing notation began the now-endless suppositions of attributions of this work, claiming that in the last years of Giorgione's life, the work was begun by his hand, but Titian completed it, and makes the point by claiming that the rich, red folds of drapery hanging behind her head and caressing her from beneath must be the work of the master of such fabric rendering—Titian.[6]

Stylistically, the argument for Titian's completion of the painting can be supported by the palpable textures and deep, rich coloring of the drapery, but the *sfummato* of the background, and the sense of exquisite softness of skin, and languid form of the Venus figure cannot easily be compared with Titian's later quotation of the *Sleeping Venus*, *The*

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[3] Vasari, pp.299-302, *et seq*. Peter Humfrey, *Painting in Renaissance Venice*, New Haven, London: Yale University Press, (2001 3rd reprinting), pp. 284-5, 126-7; Johannes Wilde, *Venetian Art from Bellini to Titian*, Oxford, UK: Clarendon Press (1974), pp. 74-6; Terisio Pignatti, *Giorgione*, Trans. by Filippo Pedrocco, Milano: Rizzoli Press, 1999, pp. 110-112, *et seq*.; Anderson, pp. 100-103, 150, *et seq*. (Ms. Anderson's work is especially refreshing with a new eye cast to poetic themas in Giorgione's works, and deserves discussion in a far more thorough-going review than can be offered in this cursory overview of scholarly commentary). George Martin Richter, *Giorgio da Castelfranco called Giorgione*, Chicago, IL: Univ. of Chicago Press, (1937). The list of distinguished art historians that dissect the life and works of Giorgione continues beyond the scope of this paper. It is significant to note, however, that all derive what little essential information that can be found on his biography from Vasari's *Lives*.

[4] Humfrey, pp. 32-3, p. 127 and pp. 284-5.

[5] *Ibid*., p. 127.

[6] *Ibid*., p. 127. Wilde, Pignatti, and other scholars each dutifully report these findings as well, but no one so far has successfully resolved this typical problem of attribution with Giorgione's works. Yet most agree that the delicacy of her oval-shaped head, the gentleness of the hair and softness of the skin, and extremely demure palette unmistakably resemble elements of the four works that comprise the cannon of paintings strictly by Giorgione's own hand, that is, *Laura*, *La Tempesta*, *Madonna del Castelfranco*, and *Portrait of a Young Man*.

Venus of Urbino.[7] Further, the dreamy, "poetic" conception and sentiment, inherent in the works of Giorgione's canon, such as the fortress (or castello) with the pathway leading up to it, and the diagonal by which the human figure joins the near-ground of drapery and far-ground of the landscape, can be seen in his *Castelfranco Madonna* and *Laura*. Such poetic sentiment, rich *sfummato*, and delicacy of open brushwork without the harsh line of the cartoon design underneath the paint (Giorgione scorned the need to draw first on his canvas, but rather worked directly with broad brush strokes, and soft-textured paints), reaffirms the aesthetic, the style that becomes synonymous with the major contribution of the Venetian school to High Renaissance Art, that is, *Giorgionesque*.[8]

Regardless of the final attribution, the figure of the reclining Venus in a landscape generated a prototype used by artists to this day. The reclining female figure impressed itself into the consciousness of western art, and Giorgione scholars acknowledge that it is the work of Giorgione himself that accomplished this feat. What significance the iconography holds, however, is another matter.

One key element towards a more complete iconographic interpretation is missing, however. The original canvas, according to Michiel, contained a *putti* or Cupid figure in the lower right quadrant of the painting, standing or crouching slightly on the ground above the Venus' legs and feet.[9] Though most scholars comment on this missing figure, none so far make specific claims as to whether Giorgione, Titian, or another, later artist, painted out the Cupid, though most speculate that a section of the canvas was cut or removed, and

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[7] Jean Habert, "The So-Called *Pardo Venus*: A Farewell to Giorgione." *Apollo* London, England, v. 157 (June, 2003) pp. 46-54; Humfrey, pp. 127-8.

[8] Wilde, pp. 72; Humfrey, pp. 127-8; Fredrika H. Jacobs, "Aretino and Michelangelo, Dolce and Titian: femmina, masculo, grazia," *The Art Bulletin*, v. 82, no. 1 (March 2000), pp. 51-67; Anderson, 203-05.

[9] Humfrey, p. 127; Wilde, p. 72-3; Lionello Venturi, *Four Steps Towards Modern Art*, New York: Columbia University Press, (1956), pp. 15-17. (Venturi's source for the x-ray analysis is Hans Posse, "Die Rekonstruktion der Venus mit dem Cupid von Giorgione," *Jahrbuch der preussischen*

repainting of the work ensued, most likely by Titian.[10] Imagining that such a Cupid figure were present on the canvas, the claim that this female reposing peacefully before the viewer is in fact Venus herself, becomes that much easier to make. The Cupid removed from the work does not diminish the sensuous effect of the work, however, and in fact, arguably heightens it, as the viewer's attention wraps around the lone figure of the woman on the canvas, and only later lights on the distant hills, road and fortress-like building.

Examining the Iconography:

Identifying a Goddess

During the late 1400s to early 1500s, the adoption and reinterpretation of Greek and Roman sculptural models, poetics and anatomical studios defines elements of the High Renaissance School of Italian Art. Aphrodite to the Greeks, Venus to the Romans, this goddess had been widely worshipped throughout antiquity. During the Christian Middle Ages in Europe, Venus and her worship fell into disgrace—seen as symbolizing lust and depravity. But the fresh, simple beauty of antique sculpture could not be denied, and the style of the antique was quickly adopted and reinvented by the principal artists of the Italian Renaissance, from Florence to Rome, and throughout northern and central Italy. Merchant travel and trade, as well as artists themselves traveling for opportunities of patronage communicated these new ideas quickly, and became the new aesthetic for all artists of the Italian Peninsula.[11]

Giorgione da Castelfranco's exposure and alertness to these new ideas would have taken place while working in the studio of the Bellinis as a young artist. Again, scholars

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Kuntssammlungen (Berlin, 1931), pp. 29-35, I have sought out, and for any other reconstructions for that matter, but only found secondary references to this discovery so far.)

[10] Humfrey, pp. 128; Wilde, pp. 72-3, Anderson, pp. 245-6.

refer to Vasari's *Lives* for this biographic fact, but support it by identifying the Bellini-style of painting in what many agree is his earliest work, the *Castelfranco Madonna*.[12]

Giorgione's familiarity with the circle of humanist poets and thinkers of the day would have taken place at one or more of the elegant, patronage courts, Ferrara, Mantua, and certainly in Castelfranco itself, the Cornaro and Costanzo. Such poets and writers would include Jacopo Sannazaro and Pietro Bembo, and most importantly, Baldassare Castiglione, *Il Corteggiano*, (The Courtesan). All of these writers discussed and celebrated the ancients, and Sannazaro and Bembo were inspired directly by works of Virgil and Theocritus.[13]

By the very commission and work on the *Castelfranco Madonna*, Giorgione would certainly have had opportunities to frequent the literate, wealthy, patronage courts of Caterina Coranaro, recently returned widowed Queen of Cyprus, and Tuzio Costanzo son of the Vice King of Cyprus. Tuzio, though a condottieri in the service of the Venetian Republic, remained in the company of and paid regular homage to Caterina, maintaining his residence near Caterina's on the outskirts of Castelfranco.[14] While executing the commission in the Costanzo chapel of the Church of San Liberale, it would have been natural for him to encounter humanist thinkers and writers, such as Pietro Bembo himself, whose work *Gli Asolani,* published in 1505 by Aldus Manutius, took as its setting Caterina's court, and whose announced purpose was a "pictorial provocation."[15]

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[11] Anderson, p. 246; "Giorgione, Titian and the Sleeping Venus," in *Tiziano e Venezia, Convegno Internationale di Studi, Venezia*, 1976, Neri Pozza, Vicenza, 1980, pp. 337-42.

[12] Wilde, pp. 59-72; Pingatti, pp. 81-85, *et seq*.

[13] Rose-Marie and Rainer Hagens, *What Great Paintings Say*, Vol. 2, Koln, DE: Taschen, (2003) pp. 108-110.

[14] Anderson, pp. 123, *et seq*.

[15] Anderson, pp. 123, et seq.

Giorgione's *La Tempesta*, (1505-6), perhaps his most enigmatic work, is arguably a painted equivalent of a pastoral poem, a *poesia*, fantasizing the idylls of mythological satyrs, nymphs, gods and goddesses in natural landscapes.[16]

Giorgione's works broke significant ground in the Venice of his day. The traditional subject matter of the bottegas for young artists were religious subjects—and were generally the first work a young artist would complete to show his own prowess, as Giorgione did with the *Castelfranco Madonna*.[17] What is significant, however, is that Giorgione also paints subject matter as openly secular, and with overt use of classical symbolism and iconography, and executes these works in a style that is far more naturalistic, and highly-idealized than that of his master, Giovanni Bellini, just as the great sculptures of antiquity.[18] It is therefore entirely in keeping with the artist's own manner and works that he would gladly embrace the execution of a Venus and Cupid.

The enticing female figure in Giorgione's work is universally identified as "Venus." As noted above, Michiel catalogs the work as *Sleeping Venus* in 1525, including the figure of Cupid. The figure recalls the earlier work by Florentine artist, Sandro Botticelli, *The Birth of Venus*, painted in 1486, not long before Giorgione's own work, and commissioned by the Medici.[19] The goddess' mythological birth by the breath of Zephyrus and Chloris, his alabaster-skinned wife, is depicted in the upper left quadrant, and Venus occupies the center and largest part of the picture plane, a full-frontal view of Venus, though she modestly tries to cover her breasts with one hand and her vulva with the other, with the

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[16] Humfrey, pp. 117-19; Settis, Salvatore. *Giorgione's Tempest: Interpreting the Hidden Subject*. Trans. by Ellen Bianchini. Chicago: University of Chicago Press, 1990. No examination of Giorgoine is complete without the acknowledgment and reference to this seminal work of Giorgionesque scholarship, but again the placement of this work in context is beyond the scope of this paper's pervue.

[17] Patricia Fortini Brown, *Art and Life in Renaissance Venice*, New York: Harry N. Abrams, 1997.

[18] Giovanni Bellini's work, *Young Girl with a Mirror*, bears resemblances to the style and palette of Giorgione, but intriguingly, is dated near 1510.

[19] Rose-Marie & Rainer Hagen, *15th Century Paintings*, Koln, DE: Taschen, 2001; Humfrey, pp. 127-8, p. 285.

assistance of her flowing hair. Attributes of the goddess Venus include the shell on which she stands, roses that fall from where she steps, and certainly a posture and pose recognizable in antique sculptures of Venus.[20]

In the *Sleeping Venus*, Giorgione creates for the viewer a far simpler interpretation of the highly-sensual classical goddess of love. Occupying the front of all the available near-ground picture plane, her sinuous curves lay open, and are on a parallel diagonal with the mid-range to distant landscape behind, height parallel respective height in the placement of the mountains positioned directly above her pert breasts. This very landscape, however, is essential to her overall effect. It is a *poesia*, a pastoral idyll that Giorgione shares, an idealization of sensuality and eroticism existing in an open landscape that receives such pleasures.[21]

The arguments of *paragone* from the late 1400s raging between artists and critics of the day in High Renaissance in Italy, Giorgione resolves by focus on *colorito*, (the soft, subtly shifting fleshy-tones of her skin as the body slightly twists from the head on the arm to the whiter, upraised breasts on her torso, to the curve of her golden thighs and legs), rather than *deseigno* (following the strict dictates of form and line of the Florentine artists, such as Michelangelo), and thus gives the viewer the feeling that she can be seen, and felt, from all angles.[22] This Venus is the Venus now fully born, fully woman. Using her hand to cover herself is no longer a gesture of modesty, but rather that of dreamy pleasure.

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[20] Hagen, pp. 285-6; Humfrey, pp. 127-8, p. 285; Wilde, 72-3; Pignatti, p. 111; Anderson, pp. 321.
[21] Venturi, pp. 6-10, Humfrey, pp. 129-30; Wilde, pp. 73-5.
[22] Jacobs, pp. 53-5. The article examines in grave detail the opportunities that the over-generalized debate between painting, sculpture and poetry (paragone) offers to understand better the underlying interplay between soul and body, touch and sight, and the nature of beauty itself, in relation to the superiority of colorito or deseigno as practiced by Titian and Michelangelo in their on-going rivalries for commissions. That Marsilio Ficino's poetics is used as a textual basis for the examination of poetics points to an intriguing angle of analysis of Giorgione's work that can be continued, as Jaynie Anderson discusses in her work (Anderson, pp 255-8).

The Painting of Venus:

Merely a Pretext for Painting a Nude Woman?

The title of this section is taken from a bold statement made by a scholar of the late 1950s who argues it is Giorgione who single-handedly begins the journey to modern art.[23] The scholar's descriptions inveigle provocative thoughts:

> [Giorgione's art] aims is the free flow of the imagination. Its detachment from science is not irrational, for it does not oppose science: it simply ignores it and follows the senses and imagination. … Venetian painters bowed to antiquity, but they were concerned with reality. … Venetian painters did not oppose the classical, they even derived some profit from it, but their colors and lights, their women and tress held more importance for them than did antique statues. … Man was no longer abstract from, but immersed in, reality, and nature became humanized, not because it was subdued but because it was adored by man.[24]

In Venturi's view, the key thema of classicism endemic to the Renaissance in Italy, and Venice, is the relationship between human and nature. Neither is any longer an abstraction, but rather, one celebrates, reflects, and is sympathetic to the other. The *Sleeping Venus* rests easily in her landscape view, but the landscape also seems to caress her as well, they seem perfectly *natural* to one another.

Patricia Fortini Brown observes that during this period in the history of Venice, at a time of remarkable intellectual foment and achievement, such as the invention of the printing press by Aldus Manutius in 1469 (allowing an immediately far-wider distribution of books, such as Plutarch's *Parallel Lives*), the wealthier of the city also celebrated the leisure to read them and the opportunities for escape into different worlds—pastoral, mythological paintings became a critical vehicle for these private expressions of such highly selective knowledge.[25] The iconographic language of another of Giorgione's works, *La Concert Champetre*, may in fact be a visual equivalent to the *Ecologues* of Virgil; and certainly, the

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[23] Venturi, p. 8.
[24] Venturi, pp. 7-8.

work celebrates that realm where gods and mortals mingle; in a setting of nature, along with delightful idylls of voluptuous female nudes, and a distant scene of hunting or shepherding. Giorgione's work uses the same palette of colors as in the *Sleeping Venus* and dreamy, soft, colors in thickly applied oils, once again reaffirms the *Giorgionesque*.[26]

Giorgione's ability to represent the pastoral poetics in his works holds the implication that the natural, idealized, eroticism of the Venus is there for the viewer to observe, and in fact take delight. Though it is not known who Giorgione's commissioner was for this painting, the *Sleeping Venus* would have been viewed by a limited, educated, knowing few, hung in the private apartments or *salas* of the *palazzi*.[27] The evocative eroticism of the work would have been as easily a part of this idyll as much as the celebration of the pastoral.[28] Neither the *poesia* of the highly idealized goddess Venus, nor the sleeping nude women are a pretext one to the other—they can only and must exist simultaneously.

Material Culture and

The Possible "Lessons" of the *Sleeping Venus*

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[25] Brown, pp. 135-38.
[26] Brown, p. 138.
[27] Brown, pp. 139-140, et seq.;
[28] Karen Edis-Barzman, "Gender, Religious Representation and Cultural Production in Early Modern Italy," *Gender and Society in Renaissance Italy*, Ed. by Judith C. Brown & Robert C. Davis, New York: Longman, (1998), pp. 213-219. This article points to a superb overview of the continuing and somewhat dispiriting debate raging over female figures depicted on canvas strictly and solely from the perspectives of the male viewers. Edis-Barzman suggests that while Rona Goffen's work examines auto-eroticism in the *Sleeping Venus*, the perspective is still that of a dominant male viewer in a culture and economy of pleasure devoted to him—no account is made for understanding in real terms the need to re-examine these views for the effect on the female viewer. Christina Hoff-Sommers, in her seminal work, *Who Stole Feminism? How Women Have Betrayed Women*, New York: Touchstone Simon & Schuster, 1994, makes the case for a essential reevaluation of how women were really viewed by themselves in their cultural contexts, rather than casting or projecting the lens of the modern rage upon them. Creating a "…chilly climate for women…" is easily done when scholars charged with objective studies simultaneously admonish themselves to be offended at the placement of a female nude in someone's office. In the case of art historical scholarship and examination, the work has only begun to place properly the female nude in any type of socio-cultural context, and this remains a point of critical departure for examining Giorgione's works.

An epithalamion or epithalamium (plural "epithalamion"), wedding songs of ancient Greek and Roman elegiac poetry, celebrates the rituals and auguries of fertility and fecundity in nuptial rights. The name is derived from the Greek words epi (on, upon) and thalamos (room, bridal chamber), and in ancient time, were sung in the doorway of the bridal chamber. Renaissance poets base their epithalamia partly on classical models, including those written by Sappho and later by the Roman poet Catullus.[29] Common themes of epithalamic elegies include prayers for fertility, and frequently hopes that conception will take place on the wedding night; the warding off of ill luck, envy, and other malevolent forces; and the beauty and/or virtue of the bride along with her clothing and adornments.[30]

Such imagery can be identified in antique poetry. Stanzas vividly rendered in the songs of Catullus' *Carmen 61* and *Carmen 62*, two key works of the first century BC, share images of walled gardens as symbolic for fecund virginity primed for defloration.[31]

Such nuptial-right elegiac poetry becomes highly popular subject matter for the culture of the *nobili*, the wealthy, literate elite class of Venetian society, increasingly intrigued by such works from antiquity and adopted by the humanist poets of the day. Such poetic subject-matter is taken up by the humanist Renaissance poets and scholars of Italian

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[29] Michael Reeve, "Classical Scholarship, " in *The Cambridge Guide to Renaissance Humanism* ed. by Jill Kaye, Cambridge, UK: Cambridge University Press (1998 reprinted), pp. 25-28.

[30] Ibid., pp. 27-30.

[31] *Complete Poetry of Gaius Vallerius Catullus*, Ed. and Trans. by David D. Mulroy, Wisconsin Studies in Classics, Madison, Wisconsin: University of Wisconsin Press, (1999). *Carmen 61* and *Carmen 62*, were written for the evolving wedding ceremony rites and performative ritual in the late Roman Republic, although Catullus dedicated these to his beloved mistress—an unmarried woman. Originally influenced by works of Sappho from the Greek world, *Carmen 64*, celebrates in further detail the mythical subject of the wedding of Peleus and Thetis along with desertion by Ariadne. "Just as a secret flower is born in a walled in garden, unknown by cattle, crushed by no plow,which the air charms, the sun nourishes, the water fosters; many boys desire her, many girls choose her…" ("*Ut flos in saeptis secretus nascitur hortis, ignotus pecori, nullo contusus aratro, quem mulcent aurae, firmat sol, educat imber; multi illum pueri, multae optauere puellae…"*). Humfrey, p. 129, claims that of the limited number of mythological works of Lotto, most, if not all, of these were in fact commissioned as wedding gifts, and the epithalamic allusions are overt, specifically the presence of the happily urinating figure of Cupid, along with the reclining figure much as a marble, along with her bejeweled wedding veil hairpiece and shell.

city-states, such as Marsilio Ficino, and by Baldassare Castiglione's guide to courtly life, *Il Corteggiano*.[32]

Lorenzo Lotto's rich, exquisite *Venus and Cupid* (painted not all that much later than Giorgione's *Sleeping Venus*, (c.1540)), the nude's position on the diagonal, brings the *Sleeping Venus* promptly to mind—yet with obvious differences. What is depicted surprises most modern day viewers: a lovely, almost alabaster reclining female nude gazing calmly out from the picture plane while a laughing Cupid urinates through a verdant wreath, taking laughing aim at her lap.[33] Two prominent Lotto scholars agree that the meaning of a micturation act by the young Cupid, along with the attributes of the shell suspended above the reclining Venus's head, and the elaborate bejeweled hairpiece, is in fact epithalamic poetics realized on canvas.[34]

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[32] "For gaiety and strength of body [they made an image of] a young Venus holding apples and flowers in her hand, dressed in yellow and white, made in the hour of Venus, when the first face of Libra, or of Pisces, or of Taurus, was ascending with her."

Marsilio Ficino, *Three Books on Life*, Bk. III. Chap. 18, trans. Kaske & Clarke (MRTS 1989) p. 335.

The L. Gaspar said: Beefore ye proceade anye farther, I woulde knowe howe the body should be cherished: bicause you have saide that we must cherishe it beefore the soule.
The L. Octavian answered smiling: Know of these men that make much of it and are faire and rounde, as for mine (as you see) it is not half well cherished. Yet may there also be much said in this beehalf: as, the time meete for mariage, that children be neither to nigh nor to farr of from the fathers age: exercises, and bringinge up soone after there birth, and in the rest of their lief to make them handsome, towardlie, and livelie.
The L. Gaspar answered: The thing that woulde best please women to make their children handsome and wel-favoured (in my minde) were the felowship that Plato will have of them in his Commune weale, and in that wise.
Baldassare Castiglione, *Il Corteggiano*. (The Courtesan), 2.40 Firenze: Felice Le Monnier, 1854, Fourth Book.

[33] Lotto. *Venus and Cuipd* (1540(?)). Canvas. 92x111cm. New York, Metropolitan Museum of Art. Purchase, Mrs. Charles Wrightsman Gift, in honor of Marietta Tree, 1986. Taken from Peter Humfrey, *Lorenzo Lotto* (New Haven, CT: Yale University Press, 1997) (p. 140).

[34] Humfrey, pp. 139-140; Keith Christiansen, "Lorenzo Lotto and the Tradition of Epithalamic Paintings," *Apollo* (London, England, part ns 124, September, 1986) (pp. 166-73). Christiansen's premise that Lotto's *Venus* is the culmination of a series of works over time celebrating a favorite Renaissance theme taken from the Roman poet Catullus, sheds a fascinating new light on the iconography of the reclining nude, while maintaining intact the private, more erotic nature of the works as well. Lotto's love of double and triple entendre in his paintings is widely known, and this work is as much a celebration of the private patron taste's and his bride's figure, as it is a quotation of an old elegy.

In the material culture of Renaissance Venice, private works of the so-called minor or decorative arts, would have taken up the triple-entendre role of beautifying object of great cost, the practical application of the item, and the lesson(s) or message(s) to be gleaned from that which is depicted on the object. For example, the cassoni (historiated dowry/wedding chests) provided to the bride by the groom at the time of her wedding. The cassoni were highly decorous, heavily-carved and painted wooden chests, and increasingly popular in the ceremonial rights in Italian Renaissance noble culture.[35] The thematics of epithalamic didacticism (reminders of receptiveness and fertility for the husband, the admonishment of goodly womanhood, and acceptance of duty) would be welcome subject matter. That the privately-commissioned work of Lotto's *Venus and Cupid* appears on a large canvas, still speaks of a scene that would have been equally appropriate for the minor decorative arts of the *cassoni* or *spalliere*.[36]

Given the elements of antique elegies of epithalamia, the examples of the private works of art in the literate, wealthy culture of High Renaissance Venice, works of art both framed and decorative, applied as pneumonic devices for the woman of the household, another possible view of Giorgione's *Sleeping Venus,* taking the original figure of Cupid into account, is that she portrays a dual role—the sensuous, invitatory feminine, and is the Good Woman, the symbol of fecund, erotic, fertile womanhood, always ready to be awakened and receptive to the touch of her groom. The castello in the far background of the landscape appears as a self-contained enclosed fortress—a possible metaphor of tacit, guarded virginity, not unlike the more common image of the walled garden, so rife within Mediaeval

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[35] Brown, pp. 129-136. Baskins, Cristelle Louise. *Cassone Painting, Humanism, and Gender in Early Modern Italy*, Cambridge, UK: Cambridge University Press, (1998), pp 134, 136-8. While the work focuses on Florentine material culture with the proposition that upper-class women would have "read" the cassoni paintings critically, and easily have used a humanist interpretation, references are made to the importance of cassoni of Renaissance Venice.

[36] Brown, pp. 132-3.

and Renaissance painting as metaphor of unsullied virginity, and common also to such elegiac works.[37] The Cupid figure would have been perhaps an equivalent to that of Lotto's work—an augury of good fortune and protection, though perhaps not in the same symbolic manner. Venus lays stretched across the rich draperies, but arguably as if in a doorway, and this too, may point to the ancient ritual of singing the poem at the couple's doorstep.

Conclusion

Giorgione's *Sleeping Venus* affords a rich variety of interpretations of its subject-matter and iconography. Feminine eroticism, pastoral fantasy, simply the human figure beautifully rendered in the Venetian/*Giorgionesque* style, showing the triumph of painting in the argument of *paragone*, and here offered, a private celebration of epithalamia, may all be applied to Giorgione's enigmatic work.

No firm statement of "what it means" can truly be made—and in this way, Giorgione designed the ideal *poesia*, offering a point of departure as eloquently as any written pastoral poem of the day. The offering Giorgione makes possible for art and cultural historians is for continuing investigations into the material and humanist literary cultural linkages between artist, poets, and the works of art themselves. Happily, the *Sleeping Venus* also remains natural, and sufficient to herself—a wonderfully sensual celebration of the female form that continues to be evocative from the 16th century into the 21st.

[37] Hagens, pp. 159-163.

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Meaning(s) and Structure in Per Bloland's ***Wondrous Delight of Profound Ineptitude***: A case study in meaning and electroacoustic music

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ABSTRACT:

At first hearing, *The Wondrous Delight of Profound Ineptitude* by Per Bloland is an eclectic montage of sonic events compressed into six minutes and forty-five seconds. The beginning sound sources are highly synthetic abstract sounds which yield to plain, unmistakable double bass notes. A sweeping climax at the midpoint of the work quickly dissolves into an ambient neighborhood recording. Loops of car horns and a crowd of shouting people emerge from the quiet neighborhood and the work ends with a single voice shouting "War! We want war! War! We want..." Silence abruptly cuts off the voice before his thought is completed.

What, if anything, does all of this *mean?* The very title of *Wondrous Delight* is a joke upon the inability for music to successfully convey a specific message. The ineptitude of abstract sound to relate specific meanings requires Bloland to write a program note so that the listener will know that the piece has intended meaning:

> ". . . This is a personal exploration of issues so often on our minds these days — the war in Iraq and the behavior of the current administration. It seems especially important to emphasize right now: if you share these perspectives, you are not alone."

The question remains. How does Bloland convey musical meaning and ruminate upon the events around the Iraq War? Clues to the meaning of Bloland's composition can be seen by drawing on Leonard Meyer's and Steven Davies' theories of musical meaning. Bloland subjects specific sounds in *Wondrous Delight* to a variety of transformations and contexts, thus creating a formal structure that revolves around the meanings inherent to the sound objects. After the initial study was completed, the composer added an explanatory paragraph to his program notes which provides further insight to his composition's specific meaning. This additional paragraph also raises the question of the need for words to assist music in conveying implicit meaning.

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Introduction

Supreme Court Justice William Joseph Brennan, Jr. was a prominent figure in the history of law in the United States. He was born in 1906 in Newark, New Jersey. He received his law degree from Harvard Law School, and after graduation he first was appointed to the New Jersey Superior Court, and then, the New Jersey Supreme Court. Brennan's appointment to the United States Supreme Court by President Eisenhower in 1956 "marked the first time since 1932 that a state court judge elevated to the country's highest court."[1] During his term in the US Supreme Court, he wrote numerous concurring and dissenting opinions. He sometimes was criticized for protecting flag burners, communists, pornographers, or libelous media. But according to him, unpopular views always deserve more protection. Those views are more likely to be under attack, and the proponents of these views need to know whether they can claim the First Amendment protection.[2] His concurring and dissenting opinions that he wrote for the cases during his thirty-four years of service to the Supreme Court generated his philosophy concerning the freedom of expression and unfettered press. "Any erosion of those rights, from a congressional hearing designed to uncover communists to the latest speech code on college campus, weakens the ability of the people to have their voices heard or preferences recorded."[3]

Brennan served the Court until his retirement on July 20, 1990, at age eighty-four. During his thirty-four years in the Supreme Court, he was involved with more than 250 free expression cases.[4] *New York Times Co. v. Sullivan*[5] can be deemed as "Brennan's most famous media law decision."[6] His opinions in that case not only made a big impact on the law and

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[1] Richards, Robert D., *Uninhibited, Robust and Wide Open.* (Boone, North Carolina: Parkway Publishers, 1994) p.1.
[2] Ibid.,p.104.
[3] Ibid., p.vii.
[4] Ibid., p.viii.
[5] 376 U.S. 254 (1964).
[6] Richards, 19.

language of libel,[7] but also led to emergence of a new theory called "the public law of libel" that requires public officials to prove actual malice of publishers to recover for libel.[8]

Brennan made his commitment to the freedom of expression clearer with *Texas v. Johnson*[9] decision by saying "…Government may not prohibit the expression of an idea simply because the society finds the idea itself offensive or disagreeable."[10] For him, expression with many of its forms, including flag burning, deserve the constitutional protection.

Research Question:

How was Justice William J. Brennan's legal analysis of freedom of expression? How did his legal approach change the interpretation of freedom of expression in the First Amendment history?

Limitations:

From the perspective described above, my study will focus on Justice William J. Brennan, Jr. and his freedom of expression decisions. I will limit my study by specifically focusing on *New York Times v. Sullivan* and *Texas v. Johnson* cases. The reason to select these two cases as a focus of my study is because they symbolize Justice Brennan's legal analysis of freedom of expression.

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[7] Hopkins, W. Wat, *Mr. Justice Brennan and Freedom of Expression*. (New York, Westport, Connecticut, London: Praeger Publishers, 1991) p.83.

[8] Emery, Edwin, and Emery Michael, *The Press and America – An Interpretive History of the Mass Media: Fifth Edition.* (New Jersey: Prentice Hall, Inc., 1984) p.741.

It was an early morning of April 25, 1906, when William J. Brennan, Jr. opened his eyes to the world at the small home in Newark, New Jersey. He was born as the second son of eight children of a Roman Catholic couple. His father was an "Irish immigrant who worked as a coal shoveler and was later recognized as labor reformer."[11] Brennan went to public high school in Newark, and he received his degree in economics from the Wharton School of Finance and Commerce at the University of Pennsylvania in 1928. He then entered to Harvard Law School and graduated from there with a law degree in 1931.[12] When he married Marjorie Leonard, he was in law school. They stayed married till her death in 1982, and in 1983, Brennan married Mary Fowler, who was a secretary to him for more than twenty-six years.[13]

After his graduation from Harvard University, Brennan was accepted to the New Jersey Bar and became associated with a Newark law firm, working mostly on labor cases. In 1937, he became a partner in the firm and five years later resigned to enter Army service. He worked in the Army to resolve labor problems of unions and companies that worked on war contracts.[14] After the war, he returned to the practice of law with his Newark law firm of Pitney, Hardin, Ward, and Brennan. In 1949, he left the firm to be appointed to the New Jersey Superior Court. After his accomplishments, Governor Alfred Driscoll appointed him to the state's highest court, the New Jersey Supreme Court, in 1952.[15]

President Dwight D. Eisenhower appointed Brennan to be an Associate Justice of the United States Supreme Court in 1956. His appointment was a general surprise, because he was a

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[9] 491 U.S. 397 (1989).
[10] Id. at 414.
[11] Richards, 1.
[12] "President names Jersey Democrat to Supreme Court." *The New York Times*, September 30, 1956, p.76.
[13] Hopkins, 5.
[14] Ibid.
[15] "President names Jersey Democrat to Supreme Court." p.76.

Democrat and the president was a Republican. In fact, behind the scenes of his appointment, there were other factors. "Wishing both to retain the large Catholic Democratic vote he had received in his first election bid, and to keep the promise to appoint a Catholic to the Supreme Court,"[16] Eisenhower decided on Brennan for the position available in the Supreme Court with the retirement of Justice Sherman Minton.

After his nomination to the Supreme Court by President Eisenhower, Justice Brennan had to receive the Senate's approval for the appointment. During that period, from October 1956 to February 1957, there was some speculation concerning his approval by the Senate. Justice Brennan's previous speeches about communism caused trouble for him in that confirmation stage. Senator Joseph R. McCarthy, Republican of Wisconsin, accused him of being a communist sympathizer and continuously questioned his speech to the Charitable Irish Society in Boston on March 17, 1954, in which "Brennan decried Communism and warned against methods that sacrificed the guarantees of justice, fair play, and human dignity."[17] On March 4, 1957, the nomination of Justice Brennan to the Supreme Court was approved 11 to 0 by the Senate Judiciary Committee. This was confirmed on March 19, 1957 in the Senate by a voice vote, and Senator McCarthy was the only one who objected to his confirmation by saying loudly, "No!" [18]

Brennan's first year on the Court witnessed "one of the stormiest periods in the Court's modern history."[19] This was because of the large amount of the cases that took place in the areas of "antitrust statutes, civil liberties, law enforcement, and subversion."[20] When writing the majority opinion in one of the biggest antitrust cases, the E.I. du Pont de Nemours & Co. case, on June 3, 1957, Justice Brennan made his approach clear about the antitrust cases. He said,

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[16] Horwitz, Morton J. "In Memoriam: William J. Brennan, Jr." *Harvard Law Review*, Volume 1(11), November 1997, p.24.
[17] Hopkins, 9.
[18] Huston, Luther. "Senate Confirms 2 For High Court." *The New York Times*, March 20, 1957, p.38.

"…stock acquisitions or mergers tend to create a monopoly in any line of the commerce and monopoly has a power to eliminate competition."[21]

In 1957, Justice Brennan received several honorary degrees from different universities. He first received the doctorate of Civil Law at the graduation ceremony of New York University,[22]and then an honorary degree of Doctor of Law at Wesleyan University. In his speech at the Wesleyan University commencement, he explained one more time his devotion to freedom of expression: "The nation's security lies in the undiluted right of individuals to exercise their First Amendment freedom."[23]

Brennan's influence on the history of law was not only in his concurring opinions but also in his dissenting opinions. Brennan's perspective as a dissenter symbolized "a check on the majority's reasoning."[24] He saw the writing of dissenting opinions as an "obligation of judges and as effective factor in the overall history of law as well as society at large."[25] He believed that "the dissent demonstrates flaws the author perceives in the majority's legal analysis. It is offered as a corrective - in the hope that the court will mend the error of its ways in a later case."[26] In 1959, he was in the dissent in three different cases: The Alfonse Bartkus double jeopardy case, the Nelson case, and the Barenblatt case.

In the 1960s, the civil rights movement, with the leadership of Dr. Martin Luther King, was challenging the rigid racial segregation of African Americans, especially in the Southern

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[19] Richards, 3.
[20] Richards, 3.
[21] Dale Jr., Edwin L. "High Court Holds Du Pont Violates Antitrust Laws By G.M. Stock Ownership." *The New York Times*, June 4, 1957, p.1.
[22] Illson, Murray. "6,297 Graduated at N.Y.U. Exercise." *The New York Times*, June 7, 1957, p.16.
[23] "Speech Freedom Hailed." *The New York Times*, June 10, 1957, p.28.
[24] Richards, 11.
[25] Richards, 10.
[26] Ibid.,11.

United States.[27] The organization called the Committee to Defend Martin Luther King and the Struggle for Freedom in the South "was set up in New York to raise money for Dr. King and others under pressure in the South."[28] The officers of the Committee wanted to reserve a full page-advertisement in the *New York Times* "to protest the treatment of black demonstrators by police in Montgomery, Alabama."[29] The advertisement took place in the *New York Times* on March 29, 1960, with the headline "Heed Their Rising Voices"[30] and L.B. Sullivan, the commissioner of police operations in Montgomery, brought the history's famous libel suit against the *New York Times* by alleging libel, even though he was not specifically named in the advertisement.[31]

Libel suits were not "a serious problem for the *New York Times*"[32] until that time. But the paper's lawyer realized that the *Sullivan* case was a serious threat.[33] The great legal and political conflict that began with the libel suit "threatened the existence of *New York Times*, as well as the right of the press to report on tense social issues, and the right of the public to be informed about them."[34]

The Alabama trial court decided that under Alabama law, the challenged statements in the ad were "libelous per se," which tend to injure person's reputation or bring him or her into public contempt.[35] As a result, the *New York Times* lost the case both in the Alabama trial and Alabama's Supreme Court, and the jury awarded Sullivan $500,000, the full amount he

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[27] Lewis, Anthony, *Make No Law – The Sullivan Case and the First Amendment*. (New York: Random House, 1991) p.5.
[28] Ibid., 6.
[29] Richards, 19.
[30] Lewis, *Make No Law*, p.6.
[31] Richards, 19.
[32] Lewis, *Make No Law*, p.23
[33] Ibid.
[34] Ibid.,7.
[35] Richards, 20.

demanded. The *New York Times* appealed to the United States Supreme Court and started to wait for the trial day.

The United States Supreme Court agreed to review the case and announced its decision on March 9, 1964. Justice Brennan, writing for a unanimous Court, decided in favor of the *New York Times* and overturned a $500, 000 Alabama libel judgment against the newspaper. The first sentence of Brennan concerning the Opinion of the Court made clear that "he was doing what the modern court rarely does: taking a fresh look at an entire area of the law."[36] He started, "We are required this case to determine for the first time the extent to which the constitutional protections for speech and press limit a State's power to award damages in libel action brought by a public official against critics of his official conduct."[37] After he identified plaintiff and defendants of the case, he described the advertisement, "Heed Their Rising Voices" in detail, and stated the Alabama trial and Alabama Supreme Court's previous rulings about the case. Then Brennan announced the Opinion of the Court: "We reverse the judgment. We hold that the rule of law applied by the Alabama courts is constitutionally deficient for failure to provide safeguards for freedom of speech and of the press that are required by the First and Fourteenth Amendments in a libel action brought a public official against critics of his official conduct."[38] He went on, "We further hold that under the proper safeguards the evidence presented in this case is constitutionally insufficient to support the judgment for the respondent."[39] After declared that the Alabama law is unconstitutional, the Court responded the argument concerning whether the advertisement deserved the First Amendment protection. Brennan said, "the present advertisement, as an expression of grievance and protest on one of the major public issues of our

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[36] Lewis, *Make No Law*, p.140.
[37] 376 U.S. 256 (1964).
[38] Id. at 264.
[39] Id.

time, would seem clearly to qualify for the constitutional protection."[40] For the argument that some erroneous statements in the ad prevents that protection, Brennan said, "that erroneous statement is inevitable in free debate, and that it must be protected if the freedoms of expression are to have the 'breathing space' that they need…to survive."[41] Justice Brennan then stated the requirement for public officials to collect the damages in libel suits: " A public official cannot recover libel damages for criticisms of his official performance unless he proves that the statements was made with 'actual malice'- that is, with knowledge that it was false or with reckless disregard of whether it was false or not."[42] By looking at the facts of the case, the Court concluded, "…we consider that the proof presented to show actual malice lacks the convincing evidence clarity which the constitutional standard demands, and hence it would not constitutionally sustain the judgment for respondent under the proper rule of law…"[43] Brennan's most frequently quoted passage of the opinion from *New York Times v. Sullivan* was his characterization of American freedom[44] with these words: "…we consider this case against the background of a profound national commitment to the principle that debate on public issues should be uninhibited, robust, and wide-open, and that it may well include vehement, caustic, and sometimes unpleasantly sharp attacks on government and public officials."[45] These words with the historic decision of the Court in *New York Times v. Sullivan* led to the beginning of the new era in which the press can criticize the public officials without the fear of libel suits, and thus, can improve their investigative reporting practices about the operation of government and its officials on all levels.

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[40] Id. at 271.
[41] Id. at 272.
[42] Id. at 279.
[43] Id. at 286.
[44] Lewis, *Make no Law*, p.143.
[45] Id. at 270.

Once the opinion was declared, the reaction to the decision of the Court flowed from all over the nation. In a letter sent to Brennan's chambers, a woman from Rockville, Maryland wrote: "Monday's decision concerning the respondent L.B. Sullivan was clear and forceful. It is about time that was settled. It is also good to find a branch of government with some starch in its backbone."[46] *The New York Times* praised the Court's decision and wrote, "the case would have an immediate impact on press coverage of race relations in the South. The Court did not, of course, limit its discussion to the racial context. It said that freedom to comment on official conduct, protected by the free speech and free press clauses of the First Amendment, would be endangered by unlimited libel awards."[47] In his memoriam to Justice Brennan, Floyd Abrams, twenty - three years after the decision, wrote, "For all the focus on *Sullivan* through the years, its impact still tends to be understated…*Sullivan*, after all, abandoned centuries of English common law that had placed the burden on libel defendants to prove the truth of what they had said, and required libel plaintiffs instead to prove the falsity of what was said about them. *Sullivan* concluded, for the first time in any Supreme Court ruling, that 'prosecutions for libel on government' itself have no place in the American system jurisprudence."[48] In the same memoriam, Ambassador Andrew Young wrote, "As a leader of an oppressed community struggling to find nonviolent ways to bring about some expression of justice in this country, I don't know how successful we would have been without *Sullivan*…The whole world would have been different. In particular, we in the southern part of the United States might still be

[46] Richards, 25.
[47] Lewis, Anthony. "High Court Curbs Public Officials in Libel Actions." *The New York Times*, March 10, 1964, p.1.
[48] Abrahms, "In Memoriam: William J. Brennan, Jr." p.20.

floundering in violence and bloodshed. I think Justice Brennan required that the world, through *New York Times*, heed our voices. And, indeed, the world did."[49]

The reactions to *Sullivan* decision of the Court were not exclusively positive. The decision received some criticisms as well. For example, a letter from Philadelphia said, "Although the Constitution guarantees freedom on speech, I cannot believe that the Founding Fathers approved falsehood. As an example, George Washington has the reputation of having been a truthful man. We had better be concerned about our spiritual and moral standards if we wish our country to endure in freedom."[50] In another letter, a woman from Pittsburgh summed her thoughts by saying, "We did have freedom of the press, but now we are to have tyranny by the press."[51]

New York Times v. Sullivan decision brought new principals to the interpretation of libel law. First, it shifted the burden of proof from defendants to plaintiffs. That is, plaintiff now had to show that the defendant had published the alleged material with "actual malice." The Court also made it clear that freedom of expression requires an allowance for some falsity. And this allowance for honest mistakes encouraged the press to pursue with more investigative journalistic practices.[52] The other significant result of *Sullivan* decision was that the First Amendment protects statements of fact as well as doctrines or political opinions. The Court stated that published statements, even though they appear in advertisements, are to be entitled to the constitutional protection.[53]

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[49] Young, Andrew, "In Memoriam: William J. Brennan, Jr." p.48, 49.
[50] Richards, 25.
[51] Ibid.
[52] Lewis, *Make No Law*, p.156, 157.
[53] Ibid.,p.157, 159.

The cases that came after *New York Times v. Sullivan* decision in the area of libel law followed the principals of this landmark opinion. In *Garrison v. Louisiana*[54] during the same year, Brennan declared the Opinion of the Court that the actual malice standard applied to criminal as well as civil libel actions, by extending the protections established in *Sullivan.*[55] In 1966, writing for the majority in *Rosenblatt v. Baer*,[56] Brennan noted the right to criticize government operations, and added that since Baer had been chided in his official capacity, he would have to demonstrate actual malice before he could recover damages.[57] In 1967, the Court extended the standard of *Sullivan* with its ruling in *Curtis Publishing Co. v. Butts* [58] by saying that public figures as well as public officials must prove actual malice. Four years later, Brennan wrote the plurality opinion in *Rosenbloom v. Metromedia*[59] and held Rosenbloom to the actual malice standard. Since Rosenbloom, a private individual, had been involved in a matter of public or general concern, he had as much ability to attract media attention as traditional public figures. Therefore, he must prove actual malice.[60]

The popularity of the protection standard that Brennan had helped design in libel law began to diminish in 1974, with *Gertz v. Welch*,[61] the first of five label cases in which the Justice Brennan dissented.[62] In *Gertz,* the Court ruled that "while there could be no liability without fault in libel actions, actual malice should not be required of all private persons involved in matters of public concern."[63] Elmer Gertz, the famous attorney who brought the libel suit, was not a public figure according to the Court, even though he was widely published and was active in public

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[54] 379 U.S. at 64 (1964).
[55] Hopkins, 90.
[56] 383 U.S. 75 (1966).
[57] Richards, 27.
[58] 388 U.S. 130 (1967).
[59] 403 U.S. 29 (1971).
[60] Richards, 29.
[61] 418 U.S. 323 (1974).
[62] Hopkins, 93.

affairs.[64] Brennan dissented in *Gertz*, by writing: "I cannot agree, however, that free and robust debate- so essential to the proper functioning of our system of government – is permitted adequate breathing space, when, as this Court holds, the States may impose all but strict liability for defamation if the defamed party is a private person and the substance of the defamatory statement makes substantial danger to reputation apparent."[65]

During the five years after *Gertz's* decision, Brennan dissented in three cases. In *Time, Inc. v. Firestone*,[66] the Court ruled that a socialite involved in a scandalous divorce action was not a public person. In his dissent, Brennan argued that "*Time* magazine should not be legally liable for mistakes it made in reporting on the divorce of Marry Alice and Russell Firestone."[67] In the other two cases in which Brennan wrote dissenting opinion, the Court ruled that a man who had once been convicted of contempt of court in connection with espionage investigation[68] and a researcher who received public funding[69] were not public persons.[70] In *Dun & Bradstreet v. Greenmoss Builders, Inc*.,[71] the Court faced with to decide "whether a private plaintiff could recover presumed and punitive damages from a non-media defendant on a showing less than that of actual malice."[72] In its ruling, the Court made a distinction between media and non-media defendants and ruled that the plaintiff was not required to prove actual malice in this case, because the issue was not a matter of public concern. Justice Brennan filed a dissent by refusing

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[63] Ibid.,90.
[64] Ibid.
[65] 418 U.S. at 361.
[66] 424 U.S. 448 (1976).
[67] Hopkins, 95.
[68] Wolston v. Reader's Digest Association, 443 U.S. 157 (1979).
[69] Hutchinson v. Proxmire, 443 U.S. 111 (1979).
[70] Hopkins, 94.
[71] 472 U.S. 749 (1985).
[72] Richards, 33.

to create a distinction between media and non-media defendants in defamation cases and also by finding that the issue was in the interest of the public.[73]

In *Philadelphia Newspapers, Inc. v. H*epps,[74] the Court made a decision that agreed with Brennan's views about libel cases. In the majority opinion, which Brennan had participated in, the Court held that public figure plaintiffs must prove falsity in a libel case when the publication material was on the issue of public concern.[75]

In *Hustler Magazine v. Falwell,*[76] the Court reversed the jury's judgment against *Hustler* and held that "Falwell, as a public figure, could not recover damages for infliction of emotional distress without showing that *Hustler* had published a false statement of fact with actual malice."[77]

The final libel case of Brennan in the Court was a disappointment for him. In *Milkovich v. Lorain Journal Co*.,[78] the Court ruled for *Milkovich* by saying, "even if the speaker states the facts upon which he bases his opinion, if those facts are either incorrect or incomplete, or if his assessment of them is erroneous, the statement may still imply a false assertion of fact."[79] In his dissent, Brennan argued that the author asserted his opinions rather than stated what he believes to be a fact.[80]

Even though the cases like *Milkovich v. Lorain Journal Co*., made a chilling effect on the media, they did not change the fact that the principles and reflections of *New York Times v. Sullivan* outweighed in the libel cases. Brennan, with his ruling in *Sullivan*, made clear that "free speech is a fundamental guarantee essential to a democratic society, the discussion of matters of

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[73] Ibid.,41.
[74] 475 U.S. 767 (1986).
[75] Hopkins, 97.
[76] 485 U.S. 46 (1988).
[77] Stephens, Otis H., Scheb II, John M., *American Civil Liberties*. (Belmont, Albany: West/Wadsworth, 1999) p.450.
[78] 497 U.S. 1 (1990).
[79] Richards, 40.

public is a public duty, and that citizens are duty-bound to criticize those who govern them."[81] Brennan, with his devotion to protect the freedom of expression of individuals and the media against the intrusions of government, further asserted that erroneous statements are inevitable in the public debates and if they are made without actual malice, they must be protected in order to ensure that the debate of public matters remains uninhibited, robust, and wide-open.[82] With these words in *Sullivan,* which led to the emergence of new principles in the area of libel law, Brennan summarized his legal interpretation of freedom of expression. In his later libel cases discussed above, Brennan tried to expand the principles that he established in *Sullivan*. The actual malice standard that he brought for public officials was extended in post-*Sullivan* cases and applied to the public figures and even to private individuals who are at the matters of public concern. His commitment to the protection of press stemmed from the idea that the press acts as an agent of the public. According to him, "a free press assures the maintenance of our political system and an open society"[83] and from this perspective, the First Amendment press rights is the cornerstone of self-governance.[84]

Justice Brennan made clear his commitment for the protection of free expression rights of individuals against the intrusions by government, in another form of expression: symbolic speech and expressive conduct. Symbolic speech refers to a wide range of nonverbal communication, which their primary function is to express ideas.[85] The Supreme Court, with its rulings in this area, noted that the protection is not limited to pure speech[86] and recognized that such nonverbal

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[80] Hopkins, 99.
[81] Ibid.,100.
[82] Ibid.
[83] Hopkins, 101.
[84] Ibid.,100.
[85] Stephens and Scheb II, 444.
[86] Ibid.

communications constitute protected speech under the Constitution.[87] However, not every symbol deserved the constitutional protections according to the Court and whether they are entitled to the protection depended on the circumstances in which the symbol is displayed.[88]

Brennan wrote his first majority opinion in the area of expressive conduct with *Texas v. Johnson*[89] by combining the relationships among conduct, speech, and the First Amendment. The case aroused outside of the 1984 Republican National Convention in Dallas, Texas where Gregory Johnson publicly burned the American flag "to protest the policies of the Reagan administration and of certain Dallas based corporations."[90] After the event, Johnson was arrested under a Texas law prohibiting the desecration of a venerated object – flag. He was convicted at the trial court, but the Texas Court of Criminal Appeals reversed the conviction and held that Johnson's action was protected by the First Amendment. The U.S. Supreme Court agreed with the decision of the Court of Criminal Appeals. Writing for the Court, Brennan first indicated the duty of the Court as "to determine whether Johnson's burning of the flag constituted expressive conduct, permitting him to invoke the First Amendment in challenging his conviction."[91] Concerning this determination, Brennan stated the Opinion of the Court: "Johnson burned an American flag as part- indeed, as the culmination- of a political demonstration that coincided with the convening of the Republican Party and its renomination of Ronald Reagan for President. The expressive, overtly political nature of this conduct was both intentional and overwhelmingly apparent."[92] After its determination of Johnson's conduct was expressive, the Court then had to decide "whether the State's interest in preserving the flag as a symbol of nationhood and national

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[87] Hopkins, 108.
[88] Stephens and Scheb II, 444.
[89] 491 U.S. 397 (1987).
[90] Richards, 102.
[91] 491 U.S. at 403.
[92] Id. at 406.

unity justifies Johnson's conviction."[93] By refusing the justification of Johnson's conviction in this context, the Court noted, "Nothing in our precedents suggests that a State may foster its own view of the flag by prohibiting expressive conduct relating to it."[94] Then Brennan stated the notion that will be long remembered with these words: "If there is a bedrock principle underlying the First Amendment, it is that Government may not prohibit the expression of an idea simply because society finds the idea itself offensive or disagreeable."[95]

Brennan received criticisms for his protection of unpopular views such as that in *Texas v. Johnson.* But he responded these criticisms by emphasizing the idea of every legitimate expression deserved the protection of the First Amendment, and the government cannot prohibit such expressions since the society finds them offensive or disagreeable.

The Supreme Court's decision of *Texas v. Johnson* was split 5 to 4. Justice Scalia and Justice Kennedy, who were deemed as the representatives of the conservative wing in the Court, surprisingly joined to majority opinion of the Court. On the other hand, Justice Stevens who was considered as a liberal, filed a dissent along with Chief Justice Rehnquist, and Justices O'Connor and White.[96]

As a reaction to the Court's decision in *Texas v. Johnson,* conservatives tried to develop a law that would overcome the difficulties the Texas law failed to defeat. As a result, the Congress passed the Federal Flag Protection Act of 1989 that makes flag burning a federal crime.[97] However, in the second flag burning case, *United States v. Eichman*,[98] by again writing for the majority, Brennan reaffirmed *Texas v. Johnson* and declared the Act as unconstitutional. Prosecutors in *United States v. Eichman* claimed that the two convictions under the Act should

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[93] Id. at 413.
[94] Id. at 414.
[95] Id.
[96] Stephens and Scheb II, 446.

be affirmed because the Act was not designed to control content. Instead, its purpose was to protect the physical integrity of the flag, regardless of the motive for the abuse.[99] But Brennan did not agree with the prosecutors and noted that "the government was attempting to suppress expression." He went on, "Government may create national symbols, promote them, and encourage their respectful treatment. But the Flag Protection Act goes well beyond this by criminally proscribing expressive conduct because of its likely communicative impact. The act, therefore, was unconstitutional."[100]

Justice Brennan's approach that he applied in expressive-conduct cases cannot be separated from his general philosophy about freedom of expression. By supporting the protection for expressive conduct, he developed two main ideas in the interpretation of such cases. The first one was "expression is not a luxury in a free society, it is a right. And because it is a right, free expression, in whatever form, deserves protection even when it inconveniences, embarrasses, or hampers."[101] The second idea was that free expression is a right because it benefits society. This right exists since it facilitates the proper workings of a free society. In this context, expressive conduct must be protected in order to ensure uninhibited, robust, and wide-open public debates.[102]

Conclusion: When William J. Brennan, Jr. came to the United States Supreme Court in 1956, most people assumed that he would be the middle-of-the-road Justice and no one had any clue that he would be the one of the greatest Justices in the history. When he joined the Court in 1956, "the Court had never found that a federal law violated free speech, it never had addressed the vexing problems inherent in the censorship of books and movies, and with the exception of

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[97] Ibid.
[98] 496 U.S. 310 (1990).
[99] Hopkins, 112.
[100] Ibid.

Beauharnais v. Illinois, and it had never specifically dealt with the First Amendment implications of state defamation laws."[103] These all changed with Brennan's decisions that have made a big impact on the law and on the society. His interpretation of the First Amendment in *New York Times v. Sullivan* changed the rules in the libel law and enlarged the freedom of the press and of all Americans. "Without *New York Times v. Sullivan*, it is questionable whether the press could have done as much as it has to penetrate the power and secrecy of modern government, or to confront the public with the realities of policy issues."[104] And his *Sullivan* decision also led to the public and policy-makers to take a different look about the racial issues in the South. As Ambassador Young argued, "changes occurred that outstrip any of our wildest imagination" in Washington, in the American society and in the world.[105] Indeed, the American idea of free expression that was pointed out in *New York Times v. Sullivan* increased its appeal all over the world. The struggle against totalitarian government brought wider understanding of the connection between democracy and freedom of speech and press.[106]

Justice Brennan saw the First Amendment as the protector of unpopular views. According to him, such views are most likely to be under attack, and therefore, they deserve the constitutional protection. Brennan's commitment to the protection of unpopular views was best illustrated in the flag-burning cases. In *Texas v. Johnson*, he wrote that Government cannot prohibit expressive conduct, in that case flag burning, since the society finds it offensive. According to him, expression deserves protection in its various forms, including distasteful symbolism.[107]

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[101] Ibid.,119.
[102] Ibid.
[103] Tribe, Lawrence H. "In Memoriam: William J. Brennan, Jr." p.42.
[104] Lewis, *Make No Law*, p.245.
[105] Young, Andrew, "In Memoriam: William J. Brennan, Jr." p.49.
[106] Lewis, *Make No Law*, 246.
[107] Richards, 149.

Brennan often received praise for all his contributions to American jurisprudence. Justice Ginsburg called him "the lighting rod for individual rights and individual freedom,"[108] Justice Posner said, "Brennan helped make constitutional law a much bigger presence in American life than it had been,"[109] and even Justice Scalia described him as "probably the most influential justice of the century."[110]

Brennan, of course, received some criticisms as well. Thirty years after his first criticism for being a communist sympathizer by Senator Joseph R. McCarthy during Senate Confirmation Hearing in 1957, Attorney General Edwin Meese, who advocated interpretation of the U.S. Constitution based on the original intent of the framers, accused Justice Brennan as being a constitutional activist. In another criticism in 1986, Assistant Attorney General William Bradford Reynolds described Brennan's radical egalitarianism as a major threat to individual liberty.[111]

In my opinion, despite the criticisms, the positive impact of decisions of William J. Brennan, Jr. in the Supreme Court is apparent and will continue to have an impact on the American history of law and on the society. During his thirty-four year service to the Supreme Court, Brennan generated his philosophy as the protection of free expression and press against the governments' abusive powers. For him, freedom of expression and press was primary and essential when compared to the government and its officials' rights. From this perspective, Brennan will always be remembered as the architect of individual rights and freedoms and his contributions that changed some traditions by assuring the open discussion of public issues and by increasing the practice of investigative journalism will never be forgotten.

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[108] Ginsburg, Ruth Bader. "In Memoriam: William J. Brennan, Jr." p.3.
[109] Posner, Richard. "In Memoriam: William J. Brennan, Jr." p.12.
[110] Tribe, Lawrence. "In Memoriam: William J. Brennan, Jr."p.44.
[111] Hopkins, 2.

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Writing/Building the *Unbeseen*: Calvino's *Invisible Cities* and the Architecture of Daniel Libeskind

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A central concern of Italo Calvino's *Invisible Cities* is, as its title states, invisibility, and the presence of structures, organizations, and architectures that do not lend themselves to being seen in blueprints, perspective drawings, or architectural diagrams. Indeed, there are no visible cities *per se* in Calvino's collection of vignettes and descriptions, but only the words of Marco Polo and Kublai Khan that lend themselves to the imaginative visions of the mind's eye. And this is not surprising, for it is the way written texts work. That it is the way architecture itself works, however, is somewhat more surprising, for architecture is usually thought of as the most concrete and intensely *visual* of the arts. Blueprints and planning maps do not allow for invisible cities and are designed, in fact, to reduce the invisibilities of lived experience to the visible coordinates of the diagrammatically "real." And yet, in the architecture of Daniel Libeskind we find the same obsessive fascination with invisibility that marks Calvino's fictions. In recent years Libeskind has become an international personality, one of that group of "starchitects" like Frank Gehry, Rem Koolhaas, and others, whose names are just as likely to appear in the tabloids as they are in professional architectural journals. Nevertheless, Libeskind's works, from his Jewish Museum in Berlin to his unbuilt project for the redevelopment of the Alexanderplatz section of Berlin, resonate with a profound respect for the invisibilities to which his *visible* architecture seeks to do justice. In ways that are remarkably similar, these invisibilities

leave their traces in both the imaginative, textual cities of Calvino's short fiction, and in the visible materialities of Libeskind's architectural projects.

The multiple registers implicit in the idea of the invisible are laid out by Derrida in his *Memoirs of the Blind*, which is particularly helpful when thinking about the intersections of Calvino and Libeskind. *Memoirs* sketches out two "logics" of the invisible that Derrida names the "*sacrificial*" and the "*transcendental.*" While the sacrificial logic of the invisible is tied to a certain economy—that is, one sacrifices one's eyes or takes on blindness in order to see better, such that what is initially invisible ultimately gives itself up to a kind of vision—the transcendental logic, by Derrida's argument, opens a thinking of an absolute invisibility that "would never be thematic," or of a trait that "escapes the field of vision. Not only because it *is not yet visible* [that is, only *provisionally* invisible], but it does not belong to the realm of the spectacle, of spectacular objectivity" (Derrida 42, 45). Where sacrificial invisibility suggests that what is experienced as invisible remains a potential visibility (it can always *become* visible), transcendental invisibility leaves its mark in the visible as a kind of aneconomic difference or interference that simultaneously initiates and ruins every sacrificial economy. This is the mark of what Derrida calls the "*unbeseen*, as one speaks of the unbeknownst" (45). "The incompleteness of the visible monument," he writes, "comes from the eclipsing structure of the [unbeseen or of the] *trait*, from a structure that is only remarked, pointed out, impotent or incapable of being reflected" in the monument itself (68). Hence, for Derrida, "in the beginning there is ruin" (68), since these logics unavoidably supplement each other, and so what is important here is "the hesitation *between the two*" (109), what in *Memoirs* is a matter of "weeping," but what in Calvino's stories and Libeskind's architecture is more a matter of hospitality, generous abandon, and the *gift of space* to an *other* invisibility that *remains*, irreducibly and absolutely.

In *Invisible Cities*, the economic logic of sacrificial invisibility is most often articulated in figures of invisible strings, nets, and webs that support the various cities' material,

visible structures. This logic is most prominent, for example, in a city like Isaura, which "is said to rise over a deep, subterranean lake," and whose "visible" landscape is conditioned by its "invisible," watery underpinnings (Calvino 20). Such invisible supports are also the subject of Polo's description of Raissa, but here it is not a liquid substrate but an "'invisible thread that binds one living being to another,'" sustaining the city's visible structures (149), such that Raissa, like its sister-cities Octavia ("the spider-web city") or Zaira ("city of high bastions"), consists not only or even primarily of its visible materiality, but more importantly of the invisible "relationships between the measurements of its space and the events of its past" (10). This is certainly the case with Phyllis, the city whose visible aspect soon "fades before your eyes," only to be replaced by an invisible, internal map of routes and relations: "Phyllis," Polo notes, "is a space in which routes are drawn between points suspended in a void…. Your footsteps follow not what is outside the eyes, but what is within, buried, erased" (90, 91). Calvino's fascination with the hidden, supportive networks that uphold his cities' visible structures is most clearly seen in Polo's account of Ersilia, in which the networks of "relationships that sustain the city's life" are actually made visible by the strings the inhabitants stretch between each other. When the strings become so numerous that they inhibit movement, the city-dwellers abandon that physical site and rebuild Ersilia elsewhere, weaving there a "similar pattern of strings which they would like to be more complex and at the same time more regular than the other" (76). Ersilia, then, like many of Calvino's invisible cities, is not merely a matter of visible buildings, bridges, and towers, but of invisible, supporting networks of human relations, spider-webs that may at first be hidden from view, but whose invisibility is not, finally, absolute.

While this provisional invisibility is thematized in many of Marco Polo's tales, it is actually built into the material structure of many of Libeskind's projects. A key tenant of Libeskind's architectural philosophy asserts that the visible features of a built structure

should solicit the invisible networks of history and human relations out of which it emerges and towards which it is designed. As he writes in a 1999 address on the opening of his Berlin Jewish Museum, "The conception with which I worked from the very beginning was that the physical space and form should give substance beyond the visible" (Libeskind 2000: 24) (Figure 1).

QuickTime™ and a TIFF (Uncompressed) decompressor are needed to see this picture.

Figure 1: Berlin Jewish Museum (Libeskind 1997: 40)

And in earlier lectures on his plans for the redevelopment of the Alexanderplatz section of Berlin, he argues that the "visible is not the only context of the new planning, one has also to deal with the invisible, the annihilated couriers of culture, the true 'spirit of Berlin'" (198). Thus if there is to be city planning, it must seek to do justice to these invisibilities: here, specifically, to the "traces of the unborn" (Libeskind's name for his project) that both mark the dead ends of Berlin's past and signal the hope of its as-yet-unborn future (Calvino also writes of the unborn in his description of Laudomia, called "city of the unborn"). For

Libeskind, as for Calvino, the spirit of any city or building site lies precisely in this invisible matrix of past and future history, and for the Alexanderplatz project, that matrix finds expression in the lines imprinted on the left hand of writer Alfred Doblin. He recounts the story of how, when asked to describe Alexanderplatz, Doblin "made an imprint of his left hand and said, 'This is Alexanderplatz'" (194-95), and of how this story raised a question in the architect's mind: "Was it," Libeskind wonders, a story "about the fact that the invisible lines of the hand, which are an occult and palmistic destiny of the body, are themselves never visible when the hand grasps the tools of work?" This sense of occult, invisible matrices, written on the palm and in the city as its sustaining network of histories and human relations, eventually generates Libeskind's strategy for "deciphering" the history of Alexanderplatz and for responding to the triple imperative of architecture: the "need to resist the erasure of history, the need to respond to history, the need to open the future" (195). Similarly, when Libeskind constructs his Berlin Jewish Museum, he does so on the basis of what he calls the "Star Matrix," the network of invisible "connections [and]…relationships between figures of Germans and Jews" that constitutes the occulted reality of the "actual visible site" (Figure 2).

Figure 2: Star Matrix (Libeskind 2000: 55)

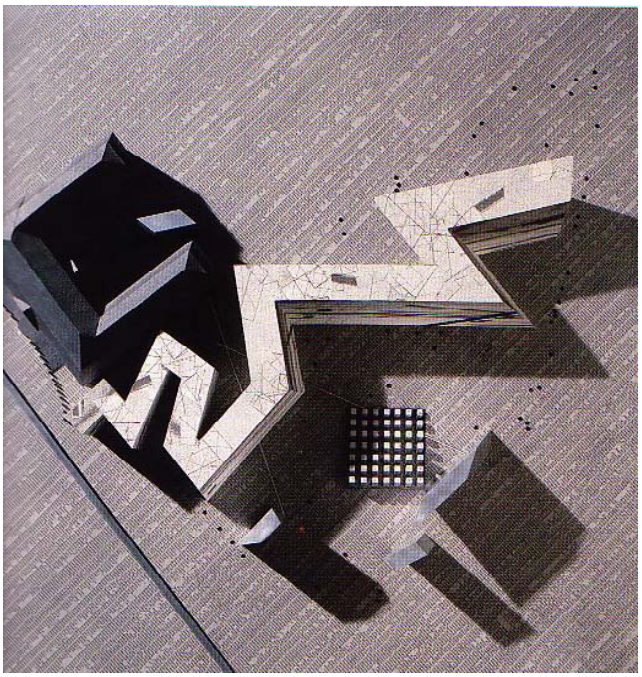

Figure 3: Museum model (Libeskind 2000: 37)

The building's striking zig-zag form alludes to this invisible, "irrational matrix" via the "emblematics of a compressed and distorted star: the yellow star that was so frequently worn on this very site" (26) (Figure 2). Thus the need to "delineate the invisible on the basis of the visible" stands behind much of Libeskind's work and constitutes a thread joining him to Calvino, whose tales similarly meditate upon the provisionally invisible, human matrices that structure his cities (195) (Figure 3) .

But along with the Star Matrix's logic of sacrificial or provisional invisibility there is another logic played out in the configuration of Libeskind's Berlin Museum, the other logic of absolute invisibility. The signature element of Libeskind's design for the Museum is the void space that intersects its zig-zag structure, a "disconnected straight line cutting through the building" (Libeskind 2000: 27). This empty, impenetrable space—"different," as

Libeskind describes it, "acoustically, materially, architecturally from the white walls of the exhibition spaces"—is designed into the structure as a permanently empty space that unavoidably interferes with the spectators' experience of the museum's *visibly full* spaces: its galleries, where objects, artifacts, and histories are visibly displayed. Where these galleries function on the basis of a logic of provisional invisibility—their purpose, after all, is to bring to light the hidden historical and human matrices that constitute the Jewish experience in Berlin—the void is the trace of an absolute invisibility that does not hide or occult anything, but that takes place as visibility's *other*: the *unbeseen* that cuts into and leaves its mark in the artificially illuminated spaces of exhibition and visibility (Figure 4). Thus, for Libeskind, the void is the key element of the building's design because it solicits the experience of an *absolute* invisibility, of that which "can never be exhibited in this museum, no matter how many objects are brought to it and stories told in it" (Libeskind 2000: 27). Libeskind's museum stages the ruination of the exhibitionist, sacrificial logic of museums in general, his void functioning as the cut marking the inevitable incompleteness of vision. For him, this invisibility is from the beginning built into the very structure of the visible as simultaneously its condition of possibility and the trace of its unavoidable ruin. His museum stands in agreement, then, with Derrida's assertion that, when it comes to spaces of visibility, "In the beginning there is ruin" (Derrida 68).

Figure 4: View of Void Six with Bridges (Libeskind 2000: 46)

Through the device of the void and its logic of transcendental invisibility, Libeskind seeks to make his museum a representative not only of the past, but also of the future. Because the void is a space that always remains to be filled, it addresses itself to and invites the openness of an unprogrammable future that cannot be anticipated and is yet to take place. Cutting into and across the closed spaces of visibility, it gives such a future a chance by *giving (it)(a) space*, and its irreducible emptiness is, for Libeskind, the hope-filled sign of "democratic openness," or of a line of history that is not dead ended (like the Museum's Holocaust Tower), but that "continu[es] indefinitely" (Libeskind 2000: 62). He thus conceives of his building as giving "permanence to the figure of hope dressed in the guise of every visitor's response": it is, he says, "open to many interpretations and many routes," and so functions "like the pages of the Talmud, where the margins are often as important as what is being commented on" (28). The void, then, like the marginal blank spaces of the Talmud that invite the writings of others, is a gesture of hospitality to the future *as* other—it invites the future as *unbeseen*, and gives it space—and as the "proof of things invisible" it embodies, for Libeskind, "architecture's reality" (149).

A similar space of absolute invisibility and permanent invitation is also written into Calvino's text, where it is figured as a kind of blank, Talmudic margin calling for the work of the other's ear. In one of the book's italicized sections, which seem to be commentaries on the processes of storytelling, the narrator notes that surrounding Marco Polo's descriptions of cities lies a "void not filled with words," and that this unfillable void is what "enhanced for Kublai every event or piece of news reported by his inarticulate informer" (Calvino 38). The virtue of such unprogrammed spaces, of course, lies with their invitation to the hearer to "wander through them in thought, become lost, stop and enjoy the cool air, or run off." Like Libeskind's material void, Calvino's textual void is a figure of futurity and hope dressed in the guise of every listener's response. It calls for a listener to complete

the work of the text since, as Marco Polo later observes, the "description of the world to which you lend a benevolent ear is one thing," but what is most important is the fact that "it is not the voice that commands the story: it is the ear" (135). And, in a sentence with which Libeskind would likely concur, Kublai asserts that "I hear, from [Polo's] voice, the invisible reasons which make cities live, through which perhaps, once dead, they will come to life again" (136). The lifeline of texts and cities, then, is maintained by the absolute invisibility built into them: the unfillable void, the unprogrammable blank space, or the *unbeseen* by which only they live—and live on--as the other's response, or in the ear of the other.

This is what remains unacknowledged by the city of Beersheba, the "miserly, calculating, greedy" city "designed by the most authoritative architects, built with the most expensive materials on the market, with every device and mechanism and gear system functioning" (Calvino 112). Beersheba mistakenly seeks to fill itself up, to withhold space, taking "for virtue what is now a grim mania to fill the empty vessel of itself," and does not know that "its only moments of generous abandon are those when it becomes detached from itself, when it lets go, expands." In this it is like Polo's vision of a city with no future or, more concretely, like Libeskind's Holocaust Tower, where the "charring of burned lives…forms a scab on the city, the sponge swollen with vital matter that no longer flows, the jam of past, present, future that blocks existences calcified in the illusion of movement" (99). There is no gift of space in these totally calculated, programmed sites, no "moments of generous abandon" that solicit the *unbeseen* and invite the future to come, and hence only the dead end of death. Opposed to such jammed, blocked spaces is the apparent hospitality of Libeskind's void or the "perfect city" with which Calvino ends his book. That unnamed city—made up, as Polo describes it, of "signals one sends out, not knowing who receives them" (164)--constructs a space for the unprogrammable future to come, to which it abandons itself as pure gift and invitation. Its infinite hospitality gives the future a

chance by giving it (a) space, and it constitutes Calvino's final strategy for dealing with the "inferno where we live every day, that we form by being together": a "risky" strategy demanding that we "learn to recognize who and what, in the midst of the inferno, are not inferno, then make them endure" by "*giv[ing] them space*" (my italics: 165).

But the hospitable gift of space and the generous abandon it implies can never be certain, because the "vigilance and apprehension" (Calvino 165) demanded by this strategy is itself a chancy affair, and this is particularly apparent in both Calvino's city of Berenice and in Libeskind's interpretation of his void space. While Berenice is, on the one hand, the "unjust city," it nevertheless conceals within itself a future Berenice, "the city of the just" (161). But justice, as Calvino explores it here, must always be infinitely deferred into an indefinite future, because even this just Berenice of the future—the city of infinite hospitality, the awakened city of open windows and of a "love of justice, not yet subjected to rules"—bears within itself a "malignant seed": "the certainty and pride of being in the right—and of being more just than many others who call themselves more just than the just" (162). Thus for Calvino there is no just city *per se*, no space of pure justice and perfect hospitality, but only, as he puts it, an undecidable "double sheath" in which all future Berenices, both just and unjust, are already and simultaneously present, "wrapped one within the other, confined, crammed, inextricable" (163). This double sheath of a space that is, at once, both just and unjust must, inevitably, give us pause, since Berenice makes any decision about its justice both necessary and impossible. But it is, perhaps, only in this instant of hesitation that the "certainty and pride of being in the right" is momentarily suspended, and a space for an *unbeseen* justice to come left open.

And it is this aporetic pause that is occluded by Libeskind's unhesitatingly certain interpretation of his void space. His uncompromising affirmation of the justice and hospitality of the void is challenged by Derrida in a conversation with the architect, in which Derrida points out that the void's protected emptiness is <u>too</u> determined, <u>too</u> much a

"monumental visibility" whose meaning—in this case, the "democratic openness" Libeskind designs it to display—is *too much* a matter of programming and calculation (Libeskind 1997: 114). Calvino might say that Libeskind is convinced of the justice of his privileged space, and that within this conviction lies the "malignant seed" of the unjust, the "certainty and pride of being right," and hence that Libeskind's void, like the city of Berenice, is in fact a "double sheath" that whose justice we cannot—and should not—count on, but an undecidableness must give us pause (Calvino 162). And this is also what Derrida tells Libeskind: that his void's pure inaccessibility, designed to insure that its democratic openness remains unaltered and uncontaminated by any particular infill, may in fact accomplishe the opposite. Instead of being protected, as Libeskind would have it, the void must instead be given over, abandoned, its purity put at risk and "left exposed to manipulation or reinterpretation," thereby giving space to an "always possible deterioration or misinterpretation." This uncertain, dicey abandonment is not, for Derrida, a "negative risk," but is, in fact, the very condition of possibility of any work: "if you were sure that your work would never be altered," he writes, "then it would not be a work," and "a work has to be left beyond your life…that is why you build" (Libeskind 1997: 115). Libeskind's void, then, must be rethought under the figure of Calvino's Berenice, the figure of the "double sheath" that at once marks the inevitable contamination of any *certain*, visible justice and thereby gives an *unbeseen*, future justice-to-come a chance. Only by risking itself, in other words, can the architectural void hope that, for times to come, it will have been a gift of space.

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Title: Hollywood Amnesia

Film
Paper presentation

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Hollywood Amnesia

This presentation offers a historical overview of a topic that appears with increasing frequency in films of the last decade–various forms of memory loss. Most notable from recent years are The Forgotten, Memento, Finding Nemo, Iris, 50 First Dates, Eternal Sunshine of a Spotless Mind, The Bourne Identity, Desperately Seeking Susan, Fight Club, Sixth Sense, Dark City, Dead Again, Total Recall, Amateur, Johnny Mnemonic, Shattered, Anastasia, Regarding Henry, The Matrix, and Blade Runner. In a wide range of films, both recent popular favorites and older or more obscure art films, such as Chaplin's The Great Dictator, Spellbound, La Jetee, and Suture, the theme of lost memory appears. I intend to theorize the ways in which this motif has come to obsess the film-making industry, looking primarily at how these films satisfy the viewer's desire to come to terms with memory loss in an aging society and how the project of creating a state of constant cultural amnesia satisfies the needs of larger governmental and economic engines.

One way of accounting for the popularity of themes concerning amnesia and memory loss appears in Fredric Jameson's description of *Jaws'* ideology as the destruction of an older model of populism. The triumph of Hooper and Brody over Quint is "the allegory of an alliance between the forces of law-and-order and the new technocracy of the multinational corporations: an alliance which must be cemented, not merely by its fantasized triumph over the ill-defined menace of the shark itself, but above all by the indispensable precondition of the effacement of that more traditional image of an older America which must be eliminated from historical consciousness and social memory before the new power system takes its place" (p. 29, Jameson). The message Jameson identifies in *Jaws* both fits and formulates the desires of audiences from a wide political spectrum. The filmic project of effacing older social memories and substituting new models has particular significance for films dealing with reconfiguration or retrieval of memories.

This presentation will offer a survey of a number of films, with a focus on three films and the way these films were developed, marketed, and received.

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For advanced string students and teachers.
Perhaps as much as 75% is applicable to other musical instruments.

DID I DREAM THAT ARIA?: MUSIC, PSYCHOLOGY, AND FREUD

Topical Areas:	Music History Cross-Disciplinary connections between Music and Psychology	
Presentation Format:	Report on issues and strategies related to teaching	

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Abstract

DID I DREAM THAT ARIA?: MUSIC, PSYCHOLOGY, AND FREUD

Interdisciplinary connections between undergraduate music and some disciplines are natural. For example, a music faculty member and a history scholar might team-teach a course in Mozart and the Enlightenment, or a music faculty member might join an art historian to teach a course in Impressionism. Music can be effectively paired with other disciplines, however, including the social and natural sciences. This paper will describe two points of connection between music and psychology, which resulted in team-taught courses and other activities at the University of Dayton (Dayton, OH).

Sigmund Freud can be called the father of modern psychology. Although he lived in Vienna during one of Vienna's "golden ages" of music–the era of Mahler and Schoenberg–he was little interested in music. Yet his probing of the human psyche is paralleled by the Expressionistic compositions of Schoenberg and Berg (and by the art of Egon Schiele and Oscar Kokoschka). This connection was the basis of a team-taught undergraduate course "Freud and the Arts."

Character development in Mozart's operas provided another opportunity for collaboration between faculty members in music and psychology. An especially good example is *The Magic Flute*, in which Tamino and Papageno are tested through a series of trials. One lens through which to view the characters is, of course, Mozart's music. A complementary lens, however, is psychology: Tamino's maturity and Papageno's simplistic approach to life can be described in psychological terms, as can be the hysterical Queen of the Night or the serene and ultimately wise Sarastro.

This paper will describe these curricular connections in more detail, and offer a

model for similar collaborations between music and social science faculty on other campuses.

Equipment

Digital projector (we will supply a lap-top computer)
Compact disc player

Creativity in Captivity: Viktor Ullmann's *Der Kaiser von Atlantis*

Creativity in Captivity: Viktor Ullmann's *Der Kasier von Atlantis*

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Abstract

Viktor Ullmann (1898-1944), a Jewish, Austro-Hungarian composer who was killed in the Holocaust, spent the final and perhaps most productive years of his life in Theresienstadt (or "Terezin"), a "model" concentration camp just north of Prague that allowed, and eventually encouraged, musical activity. Ullmann's music from this period reflects his greater preoccupation with death and with his Jewish identity, as seen most clearly in, though not limited to, his choice of texts.

Ullmann's chamber opera *Der Kaiser von Atlantis oder der Tod dankt ab* (*The Emperor of Atlantis or Death Abdicates*) is arguably his most momentous Theresienstadt work. The extraordinary circumstances surrounding the opera's creation are reflected on many levels, ranging from the unusual orchestration (including banjo and harpsichord) to the incorporation of a distorted, minor key version of the Nazi anthem *Deutschland, Deutschland über alles*. Perhaps most poignant is the highly allegorical story, written by librettist and fellow inmate Peter Kien, depicting a world where life and death no longer have any meaning.

Throughout the opera Ullmann draws heavily on themes of death portrayed in the German and Czech musical literature, references that are fraught with potent meaning for both Ullmann and his Theresienstadt audience. In building upon this rich musical tradition, Ullmann sees himself as part of a larger continuous musical heritage. This work is a testament to the power of art to serve as spiritual resistance against the dehumanizing conditions of a concentration camp.

Creativity in Captivity: Viktor Ullmann's *Der Kaiser von Atlantis*

While the extraordinary events that surround the composition of *Der Kaiser von Atlantis* are important, this music transcends the confines in which it was written. The present study reveals the richness and diversity of Ullmann's musical language, placing him as a significant cultural figure of the early twentieth century.

The Hawaii International Conference on Arts and Humanities

Title Page

Title of Submission: From An Aerial View

Topic Area of Submission: Dance

Presentation Format: Works-In-Progress

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The Hawaii International Conference on Arts and Humanities

Abstract:

Jayne Bernasconi and Nancy Smith are co-writing ***From An Aerial View*** (FAAV) a book that gathers knowledge about the art form of aerial dance. FAAV lays the foundation through historical documentation, including essays from the pioneers who have paved the ground for this relatively new dance form.

The essays come from leaders in the field, including Terry Sendgraff, the inventor of single-point aerial dance trapeze; Robert Davidson, and many more. Each essay describes the artist's path that led them to include aerial movement into their dance choreography. Philosophies, preferences, pedagogy / sample lessons are also shared within these essays. FAAV presents aerialists in the dance world in contrast to aerial work in other genres including circus arts, theatre and more.

The book also includes a look at Frequent Flyers Productions' international *Aerial Dance Festival*, which has been gathering aerial dancers from around the globe in Boulder, Colorado, since 1999. (This festival was founded by co-author, Nancy Smith, artistic director of Frequent Flyers Productions). FAAV also includes chapters on rigging, building your own apparatus, and injury prevention. One of the goals in writing this book is to bring it into Towson University as a text requirement for aerial dance classes that have been proposed in the dance department.

Literature and Philosophy in the Enlightenment: The Case of Samuel Johnson's The History of Rasselas, Prince of Abissinia.

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Abstract

Enlightenment upholds the ideas of elevating human dignity and potentiality by way of glorifying reason and faith, a derivation from the philosophy of John Locke, who believes that God and certain moral norms are inherent in human reason (Gaarder 1991). These ideas replace traditional values and religious orthodoxy in this era. The new method propagated is in the spirit of a new rationalistic and scientific way of looking at things. In other words, the ideas of Rationalism and Empiricism have been infused to give rise to a new tolerance and acceptance of religion known as Deism, in which God has left man to his own accord to live life in this world. Consequently, man becomes the center as opposed to Theism, in which God is the center of the universe as enshrined in the religious orthodoxy. However, there is a marked shift of the ideas of Enlightenment, initially from focusing on the rational mind and on ordered society, later changing to the reinforcement of the world of nature and natural feelings (Mohammad A. Quayum et. al 2000). This paper is aimed at discussing the Enlightenment sensibility of Deism in relation to Samuel Johnson's The History of Rasselas, Prince of Abissinia. Johnson's Rasselas is a philosophical prose fiction that epitomizes most of Locke's philosophy in postulating that human reason, as 'activated' by sense experience, is the ultimate key for the prince in the fiction to help him make his "choices of life." In short, this paper explores the merging process of literature and philosophy in the age of Reason with regard to the 18th century worldview as encapsulated in the philosophy of Locke and Samuel Johnson's The History of Rasselas, Prince of Abissinia.

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Title: Tears in the Rain: Memory, Technology and Alienation in Contemporary Film
Topic: Film
Presentation format: Paper session
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Aegina Berg Barnes

Tears in the Rain: Memory, Technology and Alienation in Contemporary Film

Linda Williams, in a statement on pornography that I believe has wide applicability to other forms of film, endorses a view of genre as "a form of modern mythmaking -- a way of doing something to the world, of acting symbolically upon it" (128). Genre, she continues, opens a space for reflecting and addressing conflicts felt by a film's audience, and for providing a temporary, perhaps partial, resolution to those conflicts. I would like to use this model of film as mythmaking to examine how conflicts felt by contemporary audiences are dramatized, mediated, and finally brought to an ambiguous resolution in three recent films: *Blade Runner* (Scott,1992)[1], Total Recall (Verhoeven,1990), and Jacob's Ladder (Lyne, 1990). I will be foregrounding a vocabulary of place because I feel that this trope serves a dual function, compelling analysis: the films both are sites in themselves, locations of tension and liminal exploration, and they also thematically engage issues of space and displacement, employing metaphors of place to question human identity, history and epistemology. I believe that an examination of these three films together will elucidate both the forms and the sources of contemporary anxieties about memory, history, and authenticity. By analyzing the films alongside each other, and by examining the interstices between them, we are able to see both the prevalence of these anxieties and uncover patterns of engagement and avoidance of the issues of history, memory, and space in each film.

If only you could see what I've seen with your eyes

Memory is crucial to the events in Blade Runner, both thematically and in terms of plot. Authentic memory is deemed to be the hallmark and exclusive preserve of the human as opposed to the replicant. Thus, in the opening sequence, it is at the point when a blade runner, Holden, asks the replicant Leon, in a "Voight-Kampf" test designed to distinguish replicants from humans, to "describe in single words only the good things . . . about your mother" that Leon produces a weapon and shoots Holden. For, of course, Leon has no mother, and no memories about her with which to validate his humanity. Lacking the means to assert his equality with Holden verbally, he does so physically, and in a sense, metaphysically -- the incapacitated Holden, Bryant tells Deckard soon after, breathes only with the help

of a machine. Holden, like Leon, is granted life only by artificial means.

Possession of memory confers power, as Deckard makes abundantly clear by reciting to Rachael events from her own childhood -- memories he possesses more convincingly than she does; in possessing them, he appropriates to himself the humanity she has thought to be her own. In addition, through his recitation of Rachael's false memories, Deckard asserts the superiority of the organic, the "human" -- his own knowledge and verbal skills -- over Rachael's technologically produced evidence: her photograph of "me with my mother", and her own memory.

Following this interchange, however, Deckard is left with his own collection of antique photographs. The juxtaposition, as Marlene Barr suggests, implies that "[Rachael's] man-made memories are no less real than those humans manufacture for themselves" (28); Deckard's aged photos of people he could not possibly have known, like Rachael's picture of her "mother", depend on someone else's narrative to explain them and endue them with significance. They are not objective artifacts of some self-evident meaning, but signs to be interpreted. That interpretive act is now no longer the narrow province of an individual but has been expanded into a social function; the significance of both Rachael's and Deckard's photographs depends less on each person's reading of the pictures than on society's reading of the individual. Social forces embodied by Bryant ("If you're not cop, you're little people") and the magnate Tyrell embed individuals in an ontological hierarchy from which truth is then scaled on a gradient. Rachael's memories are false because she is a replicant; Deckard's are true because he is human.[2] Private interpretation has been moved into the sphere of social construction. Thus, Deckard's memories are produced more indirectly but no less insistently than Rachael's.

In a much more literal sense, the replicants as well are the products of construction. Roy, confronting Chew, the subcontractor who creates eyes for the replicants, says with equal parts of pride and wistfulness, "If only you could see what I've seen with your eyes." This complex interplay of ownership, memory and sight ultimately refers back to the social nexus (as in Nexus 6 replicants) in which production occurs, and in which definition of the replicants and discourses about them are negotiated and deployed -- the space in which the replicants become "skin jobs"; "machines" in need of "retirement." This space is marked by the exclusion of those it dominates. Yet the erasure of Roy's experience from collective memory marks not so much an absence, but an excessively uniform presence, a space that

is already prejudged and predetermined according to the ideology of people like Tyrell. Humans can always preclude Roy's experience with their own cultural myths about replicants, just as Deckard can tell Rachael her own memories.

As the products, then, of both genetic and social construction, the replicants may be viewed in terms analogous to those in which Walter Benjamin discusses the work of art: mechanically reproduced (and reproducible) and thus deprived of auratic presence. Yet, unlike works of art, replicants are conscious and can express this consciousness in language: Roy speaks -- and he speaks to claim his experience and his consciousness before those who have denied them. This conflict between a prefabricated history of the technologically produced Other and the Other's insistence on owning and communicating his own history, as well as the porousness of the boundary separating the human from the inhuman leads to instability and, when it is suppressed, violence. Roy's blinding of Tyrell, which makes literal his blindness to the polymorphous nature of truth, kills Tyrell and eliminates him as the icon of a univocal history. There can be no one, stable truth, no totalizing history, only fragments and versions of histories that cannot be societally programmed.

What memory is to an individual, history is to a society, and having depicted a world in which both are problematized, Blade Runner attempts to resolve the anxieties it has dramatized. Thus, in the penultimate sequence, Roy not only saves Deckard, but imparts to him his memories. As John Boozer notes,

> Roy's inspired last moments shock Deckard into a fuller consciousness of his own personal and political predicament and into a startling reversal. Now his gun is drawn to defend rather than destroy the last remaining replicant, Rachael. (225)

Deckard is compelled to recognize Roy's equal claims to humanity not only in his rescue of Deckard, but in his bequest of his lived experienced, his memories. Deckard is constrained to appreciate the truth of the Other, his complexity and his unique history. Moreover, the memories themselves provide intriguing commentary: composed of "things you people wouldn't believe", they stand as an emblem of that which is literally and figuratively foreign, that which is unrecuperable to the dominant ideology. Further, Roy's recollections position him as viewing subject and emphasize both his agency (he has been able to travel where his audience has not) and his aesthetic evaluations:

in contrast to the object status accorded him, the descriptions of "attack ships on fire" and "seabeams" insist on his subjectivity and imagination. As if in response to the analogy above, Roy insists on being an art critic rather than art.

Yet the denoument does not completely resolve the complicated issues raised by the film: even if we believe that Deckard's escape with Rachael will be successful, nothing has changed within the world depicted. Deckard's solution is a personal one, not a societal one, and is problematic at best. For what he seeks is no less than a space outside of culture within which he can define his own reality. And the possibility of finding such a utopian place is slim. We are left with Gaff's ambiguous taunt: "It's too bad she won't live! But then again, who does?"

In Blade Runner, conflicts concerning memory and history have become issues of place. The replicants, exiled from the world of their origin, are thrust into the recesses of interplanetary space in order to distance them from the realm of the human -- the demarcation of authentic subjectivity is made concrete in the injunction barring replicants from returning to earth. Yet Roy and his companions invade this physical domain as they encroach upon the psychic domain of the human; the two journeys coincide, become parallel. When Deckard deprives Rachael of her memories, she retreats to her own apartment, but her position there has become untenable; because she knows her own nature, she can no longer inhabit the space that previously enclosed her within the established social order. She moves in with Deckard, reenacting his mastery in the geographical sphere as he has asserted it in the linguistic and psychological spheres. At the film's conclusion, however, when Deckard is no longer master, but as fragile a human subject as Rachael, their search for a utopian existence takes the form of an escape to a new space, the fabled North. Space has become the objective corrollary of identity and psychic existence.

The walls of reality will come crashing down

In Blade Runner, memory is a leitmotif underscoring the action; in Total Recall questions concerning memory are the action. The reality of the episodes experienced by Douglas Quaid, who has deliberately sought to have memories implanted in his brain, is constantly in question. As Verhoeven himself notes, "For the audience, every moment in the movie seems to be real. But when you get to the *next* scene, you can doubt the scene before. . ." (Film Comment 26). Moreover, the fantasy elements of the film align themselves closely with the generic conventions of the action/adventure movie: Quaid is sold on the implant by a

sales representative who claims that "by the time the trip is over, you not only get the girl, you kill the bad guys and save the entire planet." Memory thus becomes complicated not only by subjective desire, but by technology in its multifarious forms: overtly in the form of the implants; more covertly in the allusion to the mechanically-produced fantasies of the cinema and in the videotaped messages of Hauser that later direct Quaid. As in Blade Runner, memory is influenced as well by social forces: the Martian rebels, the representatives of the Agency (an apparent conflation of the CIA, police, and corporate interests) and a doctor from Recall (the company that produces the memory implants) try to convince Quaid at various points (and according to their respective interests) that he is a revolutionary hero, that he is fantasizing the whole episode, that he is an undercover agent of the Martian government. As in Blade Runner, as well, epistemelogical questions are concretized in a search for locations of origin: Quaid must return to Mars as Roy must come to earth, in a frustrated search for truth. Those who are disenfranchised in Total Recall -- Quaid, the Martian rebels -- are those without a viable space, literal or social, seeking refuge in underground caverns, labyrinths, in the bodies of others. The problematics of location reverberate even beyond this level of diegesis, however; they are inseparable from the metaphysical dynamics of the plot: WHO is Quaid is translated into WHERE is Quaid? On Mars, or under anesthesia at Recall? The protagonist's location is the index by which his experience may be judged.

The ever-shifting status of truth is neatly encapsulated in a short sequence in which, according to Hauser's taped instructions, Quaid checks into a hotel on Mars and retrieves a flyer from a safe deposit box. On the back of the flyer are handwritten instructions to "Ask for Melina". Quaid asks the clerk if he may borrow a pen, and writes Melina's name under the handwritten message. In using his handwriting to confirm his identity, Quaid is both reifying and undercutting the idea of autonomous subjectivity: in contrast to the mechanical reproductions of himself as Hauser contained in the videotapes, the handwriting upon which Quaid relies is a form of organic reproduction, a unique, almost Romantic, and certainly atavistic expression of the individual. Yet at the same time, in post-structuralist fashion, Quaid has constructed himself **in** language, a force external to himself. The signifier ("Melina"), moreover, has become detached from any instructive signified -- not only does Quaid not have any context with which to connect the word, the message itself is ultimately no more "truthful" than the taped ones from Hauser -- neither works to establish or stabilize Quaid's

identity, but rather they indicate only what he once might have been, or could be, or might desire to be. Quaid writing himself into the context at hand bears the marks of artificial insertion that mirror the process of memory implantation itself and reinforce doubts about Quaid's actual presence within the experience and space in which he appears.

Nor is it only Quaid's identity that is complicated; the leader of the Martian resistance, Kuato, is unknown to the official government of Mars; when he is finally revealed to Quaid, Kuato turns out to be a mutant existing symbiotically in the body of another man, paralleling Quaid's psychic existence in the body of Hauser. In the end, Quaid, like Deckard, chooses to reject his own personal history; he refuses to relinquish his body to its "original" inhabitant, Hauser, who appears to have been working for the corrupt Martian goverment all along.

As in Blade Runner, questions of memory radiate from the individual and across technology to form questions about society and history. We are told via a newscast that Quaid watches over breakfast at the film's beginning that earth is engaged in a civil war, the North sector fighting the South, but we are never told what the conflict concerns. The generator that Quaid starts at the film's end is the legacy of an ancient civilization that apparently never used it; their secrets, as Roy fears his will be, are "lost like tears in the rain". The sheer multiplicity of worlds, both literal and sociological, inhabited by characters in the film, as well as the constant shifts in perspective brought about by plot twists insure that there is no stable base from which to view history; there are only multiple perspectives from which to choose. More frighteningly, perhaps, those perspectives can themselves be manufactured; relity itself becomes mechanically reproducible. If the auratic uniqueness of the individual was questioned in Blade Runner, in Total Recall it is history itself that loses its aura.

However, as Verhoeven is aware, "everyone would be driven crazy, probably" (FC26) if the play of perspectives were not in some way contained, and so Total Recall makes a gesture towards closure at its end. The conclusion eliminates the villains, establishes an identity for Quaid, and leaves him with the girl he dreamed of at the film's opening. Yet this very perfection of closure is itself a troubling element: it fulfills not only the sales pitch quoted above, but Dr. Edgemont's prediction later in the film. Its artificiality is highlighted and then defused by the exchange between Quaid and Melina:

Quaid: I was just thinking: what if this is all a

dream?

Melina: Then kiss me quick, before you wake up.

The question is not answered but deflected; the issue is transferred, as it was in Blade Runner, to the private and utopian sphere of a romantic relationship. This displacement marks the film as formally closed but thematically open; it both completes (in its adherence to generic expectations and in the aesthetics of the long shot of a couple on the cinematic horizon) and complicates (by its refusal to clarify the status of the scene's "reality") the narrative that has gone before it. Quaid and Melina inhabit the utopian landscape to which Blade Runner can only allude.

None of us can remember that night

Of the three films considered here, perhaps the one most resistant to a traditional reading is Jacob's Ladder. The film consists of intercutting between scenes of the Mekong Delta one night in 1970, and the present life (circa 1975) of Jacob Singer, one of the soldiers who fought in Vietnam. Jacob, suddenly haunted by visions of demons, comes to believe that "the Army did something to me" that would explain his apparent delusions. As in Total Recall, and to an even greater extent, almost every scene could represent a shift from reality to fantasy or back. There are three separate instances of Jacob explicitly waking up, as well as several other scenes that may or may not be fantasies which end by simply cutting to another location without transition. Michael Newman's confession towards the film's close that he helped design a drug Jacob unwittingly received in Vietnam (the "Ladder" of the title) would seem to explain Jacob's hallucinations -- psychotic episodes precipitated by guilt and drug flashbacks taking the form of demons -- as well as the suspicious deaths of his friends, who might be victims of an Army coverup. Yet as with the other films, the ending of Jacob's Ladder both provides closure and complicates the preceding narrative. The final scene is the end of the Vietnam flashbacks, which have proceeded chronologically throughout. Jacob is lying on a cot in a field hospital; the attending physicians declare him dead and walk out. This most final closure -- death -- seems to come at the wrong time; it problematizes the status of all the preceding events. The entire narrative, which has throughout been troubled by questions of both personal and national history, is left unresolved; again, reality is indeterminate, produced by forces external to the individual and ultimately unresolvable by that individual.

Yet I believe that Jacob's Ladder triangulates between

the films I have discussed and events outside them; it gets at the heart of the anxiety about history and memory that all three share by dramatizing in the present the sources of the conflicts that will be projected in the other two films onto the future. For it seems to me that the concerns raised in these films about historical fragmentation and the reliability of memory are specifically a post-Vietnam phenomenon. If the United States ever had a shared, unified history, it was impossible to speak of such a thing after Vietnam. Domestic polarization over the war precluded the possibility of an objective truth; from the student riots of the late sixties to the Clinton campaign of 1992, it has become obvious that there is no agreement about the meaning of the war or how to read it as an historical phenomenon. For Americans at the diminuendo of their global power, if the Vietnam War proved anything, it was the failure of the attempt to determine history, both in the sense of shaping events so that future generations would be able to read those events unambiguously, and in the sense of imposing a history on the world. Vietnam was the failure to produce one consistent historical and cultural myth of democratic capitalism that could be accepted by all. The long struggle overseas proved America's inability to impose its collective perceptions abroad and ultimately at home. Rejections of America's power were necessarily rejections of its legitimacy, which in turn was based on its past, a rejection which called that history into question. Moreover, the rhetoric about the war debated America's "place" in Vietnam; issues of geopolitical stability and the "domino effect" were raised to counter a discourse of dissent that stressed the autonomy and integrity -- the separate "space" -- of a country "halfway around the world". Distance, borders, and strategic locations became part of a conflicted discourse where, again, meaning was unstable and subject to various readings.

The larger questions of historical authenticity raised by the war permeate the three films I have detailed above, and coalesce in specific details. For example, the role of the media in the "first livingroom war" has been hotly debated, as has been the prominence of photographs. Paul Johnson, for instance, arguing that the media was biased or misled, describes two photographs whose validity he disputes:

> A much publicized photograph of a 'prisoner' being thrown from a US helicopter was in fact staged . . . Another widely used photo of a young girl burned by napalm created the impression, which was in fact quite untrue, that many thousands of children had been incinerated by Americans. (636)

In the case of one of the war's most famous photographs, that of Colonel Nguyen Ngoc Loan with his pistol to the head of a Viet Cong suspect in Saigon, a picture that might otherwise have elicited relief over the execution of an enemy was subverted by the summary and graphic representation of the killing into outrage. As reflected in Blade Runner with Rachael and Deckard's photos, in Total Recall with the videotaped messages from Hauser, and in Jacob's Ladder, where a subplot involves Jacob's girlfriend burning photographs of his past life, pictures are neither guarantors of truth, nor possessed of self-evident meaning. Interpretation of photographic evidence involves a complex negotiation of philosophical, visual, and historical elements, and depends as well on social factors such as to which political party or faction the interpreter belongs.

The debate over the use of documentary film and photographs in the war serves, too, to highlight anxieties over the role of technological reproduction in determining historical truth, anxieties that are reflected in the ambiguous role of technology in each of the films. Technological innovations allow humans to see, to gain knowledge: Deckard uses his computer to analyze one of Leon's photographs, at one point taking advantage of its ability to see around corners; blade runners use the mechanically mediated Voight-Kampf test to identify replicants. Quaid's visit to Recall, the Agents claim, could prompt his memory of his past as Hauser, and the generator he turns on at the end provides a natural physical atmosphere in which it is possible to literally see the Martian landscape for the first time. Jacob is fixated on a photograph that allows him to see his dead son. Yet the knowledge gained through technological means is constantly called into question; the boundary between human and replicant, Quaid and Hauser, death and life, is so thoroughly fraught with tension in these films as to make meaningless the discoveries afforded in each of these instances.

The fracturing of identity in each of these films and the link between that fragmentation and technology is made concrete in the image of the mechanically or scientifically produced double within each movie: Roy, not only in his one-on-one battle with the blade runner, but in his analogous position as a man without either a past[5] or a viable place in the present, serves as a foil for Deckard; Quaid is literally split, through the technology of memory implants, into Quaid/Hauser, and also uses a hologram of himself at strategic moments to avoid his enemies; the Jacob of Vietnam may or may not be the Jacob of the seventies, and whether or

not he is, his identity has been fundamentally changed by the chemically-engineered drugs he has been given. Doubling serves as a displacement in space indicating an instability of identity.

Conspiracy is another plot element in Jacob's Ladder that acts as a polyvalent marker pointing to both historical reality outside the film and to the transmutation of that reality in the two futuristic films. One American history text notes that during the Vietnam War, "[d]isillusionment, bitterness and distrust of the credibility and motives of the United States government reached ominous proportions" (Link 588). Jacob's fear of a coverup on the part of the government, the military, and possibly chemical/ pharmaceutical manufacturers[4] both reflects American paranoia at the time and is reflected in the visions of Blade Runner and Total Recall, where "government and the corporations have become indistinguishable" (Kerman 18); the blade runners serve the interests of the Tyrell Corporation in the former; the Fascistic police of the latter ensure that turbidium flow to earth is not disrupted.

Moreover, war itself is figured into each of the futuristic films, reflecting the last American war, which is represented directly in Jacob's Ladder. The replicants in Blade Runner, except for Leon, are all built to serve military needs Off-world: Roy as a leader built for "maximum self-sufficency", Zhora as a professional killer, and Pris as a "basic pleasure model" used for diversion of the troops. Total Recall contains both the civil war on earth as well as the guerilla war staged on Mars. The link to Vietnam in each of these wars is their basic immorality; it would be difficult to read them as reflections of World War II, for example. That the Off-world wars are both expansionistic and require slave labor is enough to taint their moral character, while the aims of the Martian government (to retain its monopoly on air) and its methods (closing off and suffocating a sector of the city) attest to its illegitimacy. The war on earth, meanwhile, is marked by its seeming interminableness and its polarization of North against South, which seem to obliquely echo America's experience in Vietnam, and perhaps more general fears of an eternally repeating polarization (as in the Civil War).

What problematizes issues of history and authenticity in the wake of Vietnam, however, is not just the war itself but the concurrent and subsequent social movements that grew up around the war. The Civil Rights movement and feminism, as well as the gay rights movement, demanded the telling of heretofore unrecounted histories; they required a reorganization of collective experience that threw into relief questions about what constitutes history in the first

place and created space in which new voices could be heard. Afrocentrism, multiculturalism, and women's studies began a revision of American mythology that created many histories out of one, that marked what had previously been known as History as only one version of a partial truth. This impulse, too, can be seen in the films considered here as an appropriation of history by the previously dispossessed. Jacob's search for explanations and details of his own past is only the most obvious of these moves; Roy declaring that he has "seen things you people wouldn't believe" is a marking of his own history as distinct from the one created for him by people like Tyrell, a claiming of his own voice and his own experience as transcending the understood world of the humans. Roy, on behalf of the replicants, and like so many oppressed groups, takes his alienated experience and valorizes it as authentic. Similarly, one of the police on Mars remarks of Kuato that the rebels "think he's fucking George Washington." Again, this represents an appropriation of history by a disenfranchised group -- the mutant Martians, the Others -- a use of cultural mythology for revolutionary purposes. And the graffitti that inspires the policeman's remark, a scrawl proclaiming "Kuato lives," is reminiscent of the counterculural "Frodo lives" of sixties America.

Moreover, technology and its traditionally masculine power does not afford physical superiority to any of these characters; the hard-boiled Harrison Ford, the bulky Arnold Schwarzenegger and the physically imposing Tim Robbins are not only vulnerable (each is beaten up), but must each be literally saved by a woman. Man -- and the historical prerogatives he has enjoyed -- has become vulnerable, dependent on at least one heretofore disenfranchised group to retain or regain power and history.[6]

The social movements enumerated above -- feminism, multiculturalism, Afrocentrism, gay studies -- evolving over the last twenty years, have gained an ever wider influence inside the academy, pervading not just history, but literature, philosophy and sociology, and have, in recent years, become the subject of popular debate. It is appropriate at this point that Vietnam and the legacy of that era have made their way into popular culture. If the films I have studied here do not ultimately resolve the anxieties created by the re-vision and deconstructing of history, it is not surprising that they cannot do what we as a culture have not. The way in which they raise these issues is enough to provide a space in which we can reflect upon our experience.

Notes

[1] I am considering here only the director's cut on the basis of both Ridley Scott's claims for its authenticity (I realize this term itself has been problematized in poststructuralist debate) and its usefulness to my analysis, as it is without the voice-over narrative that attempts to determine point of view and audience sympathy.

[2] There have been questions raised about Deckard's status as human, primarily based on tbe fact that his colleague, Gaff, leaves an origami unicorn near Deckard's apartment, which can be seen as Gaff's "reading" of Deckard's "implanted" fantasy of a unicorn earlier in the film, and perhaps more significantly (although less explicable in terms of the narrative), on Bryant's informing Deckard that "six replicants hijacked a shuttle" to come to earth; one was killed on an electric fence, and "we lost the rest". Yet Bryant only names four remaining replicants: Roy, Leon, Zhora, and Pris. I am not persuaded by these arguments, but concede that the film does leave room for such questions, which further complicate the issues of truth and memory within the diegesis.

[3] Interestingly, if Chew, or other humans like him, could see what Roy has seen -- including, presumably, the exploitation of his kind that led Roy to come to earth -- the mechanics of production would falter; replication would become an issue of conscience instead of being conveniently veiled from sight by the dispersion of genetic tasks (represented by Chew's isolated laboratory) and by the exportation of completed replicants to Off-world colonies.

[4] Although within the film, Michael Newman is "just a hippie chemist", the notice at the film's conclusion reports rumors that the Army distributed the experimental drug B/Z to troops in Vietnam; such a distribution would be the product of a corporation rather than a rogue chemist. Further, the plot involving unwilling ingestion of chemicals is evocative of the Agent Orange crisis -- again, an institutional rather than individual distributor would be involved.

[5] The director's cut eliminates all references to Deckard's past.

[6] In each of the futuristic films, the woman saves her hero by wielding a weapon (phallic power?); the issue is less clear in Jacob's Ladder, where Jacob is ultimately,

existentially alone and powerless; the closure of this film is death rather than erotic and utopian freedom.

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Proceedings submission

1. Title of the submission: The French Legacy in Early 19th-century Hawaii
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6. Abstract of paper:

The Sandwich Islands, today known as Hawaii, were strategic to the success of 19th-century French commerce, which had begun to revive under the July Monarchy after the disasters and financial hardships of the failed Napoleonic Empire. French ships, like those of all nations, needed relay stations for provisioning and refueling on their cross-Pacific trading ventures. In 1835, King Louis-Philippe put Captain Auguste-Nicolas Vaillant at the helm of a state corvette – the impressive 24-gun, 150-man *Bonite* – with orders to show the flag, officially, in Hawaiian waters, for the first time since the late eighteenth-century.[1]

Vaillant met with unexpected antagonism toward the French missionaries who had attempted to bring Catholicism to the Islands in 1827, but he left Hawaii believing to have secured assurances of friendship from the young king, Kamehameha III,[2] admiration for things French,[3] and royal requests for guidance in creating prosperity in the Sandwich Islands.[4] In short, as Vaillant reported to the Minister of the Navy, the young Hawaiian monarch appeared to have caught a case of "gallomanie."[5] Yet only eight months after Vaillant's departure from the Islands in October 1836, King Kamehameha III reported to another French naval captain, Abel Dupetit-Thouars, that it had become the custom in Honolulu to call all Catholics – and all enemies – "French."[6]

What did this unraveling of "gallomanie" mean for French – Hawaiian relations? In its wake, what kind of legacy did the French leave in early nineteenth-century Hawaii?

Despite Dupetit-Thouars's efforts to confront this national and religious intolerance by means of a written agreement between the two nations, barely five months after his departure from the Islands in July 1837, King Kamehameha III and the Queen

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[1] Auguste-Nicolas Vaillant, *Voyage autour du monde exécuté pendant les années 1836 et 1837 sur la corvette La Bonite, commandée par M. Vaillant, capitaine de vaisseau;Relation du voyage par A. de la Salle*, 3 vols. [Paris: A. Bertrand, 1845-1852] I: ix-xvi.

[2] Vaillant to Minister of Navy, "Rapport d'Honoruru (île Wahou), 22 octobre 1836." Paris: Archives Nationales, BB 4 1007, p. 25.

[3] Vaillant to Minister of Navy, p. 26.

[4] Vaillant to Minister of Navy, p. 27

[5] Vaillant to Minister of Navy, p. 24.

[6] Abel Aubert Dupetit-Thouars, *Voyage autour du monde sur la frégate Vénus, pendant les années 1836-1839* (Paris: Gide, 1840-184) 1: 338-339.

Regent Kinau issue "An Ordinance Rejecting the Catholic Religion," intensified persecutions of Catholics, and subjected some of them to torture. By 1839, these incidents, and others, brought France to demand, even at cannon's mouth, acceptance of French missionaries, tolerance for those who espoused the Catholic faith, and "justice for the wrongs and insults that have been offered by [the Hawaiian] people to the subjects and Flag of France."[7] In July 1839, the French government sent the warship *Artémise*, under the command of Captain Cyrille-Pierre-Théodore Laplace, to Honolulu to make it unmistakably clear that persecution of French citizens and Roman Catholics must cease in the archipelago.[8]

Laplace did so through strong-arm tactics that fell just short of military coercion. The tightly-enforced international treaty that he drew up with King Kamehameha III provoked many discontented murmurings and resentments, particularly among Protestants in the Islands.[9] But because the Laplace treaty made religious tolerance the official political reality of the land, no one could act upon his or her intolerant beliefs as he or she had in the past. The result was that native and foreign Catholics who had suffered persecution on account of their religion found their harassments diminished, their lives improved, and their freedoms restored. And future generations had assurance that human rights and liberty of conscience, as they were defined in terms of 19th-century colonial cultures, would be respected.

In the end, the French legacy in Hawaii was a vexed one. On the one hand, actions of French naval officers representing the French government created animosity toward France, her national pride (or arrogance), her commercial products (largely wines and brandies). On the other hand, those same French naval officers' actions brought freedom of conscience to all inhabitants of the Islands. This legacy turned out to be everything that "gallomanie" was not: rather than being popular, it was controversial; rather than catering to the King, it served the common people; rather than being short-lived, it had lasting effect; and rather than appealing to superficial desires, it profoundly affected the quality of life in the Hawaiian Islands for the entire 19th century.

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[7] *Sandwich Island Gazette*, 22 June 1839.

[8] Cyrille-Pierre-Théodore Laplace*, Campagne de circumnavigation de la frégate L'Artémise, pendant les années 1837, 1838, 1839, et 1840*, 6 vols. (Paris: A. Bertrand, 1841-1854), vol. 5, 417-97; 531-42.

[9] *Mercantile Journal* (Boston, MA), 14 February 1840; Levi Chamberlain, *Journal,* vol. 23, Tuesday, 9 July 1839, Honolulu, HI: Hawaiian Mission Children's Society; R. C. Wyllie to British Consul at Canton, 6 February 1852, Honolulu, HI: Archives of Hawaii F.O. & Ex.; Dr. Anderson, "Visit of the French Frigate l'Artemise at the Sandwich Islands," *Proceedings of the Thirty-first Annual Meeting of the American Board of Commissioners for Foreign Missions, Providence, RI, Sept. 9-11, 1840* 32-35; Hiram Bingham, *A Residence of Twenty-One Years in the Sandwich Islands* (Rutland, VT: Tuttle, 1981) 536-58; S. N. Castle, "An Account of the Transactions connected with the visit of the *l'Artemise*; - Remarks on the Manifesto; - and the Treatment of the Missionaries," *Hawaiian Spectator*, vol. 2 (October 1839): 447-94; Samuel Hubbard, Rufus Anderson, David Greene, Wm. J. Armstrong, "Letter to His Majesty The King of the French, July 1840," Paris: Ministère des Affaires Etrangères *Correspondance Politique - Océanie*, I bis, J .J. Jarves, "Account of the visit of the French frigate *L'Artémise*," *Hawaiian Spectator*, vol. 2 (July 1839): 32-63. Also "Premiers actes des Français à Oahu, en 1839," French translation of Article 5, *Nonanona E* (14 September 1841), Paris: Ministère des Affaires Etrangères *Correspondance Commerciale - Honolulu - 1837-1852*, (article and translation sent to the French Minister of Foreign Affairs in Paris by France's Consular Representative in Honolulu, Jules Dudoit).

More Than a Hill of Beans: Loyalty, Utility, and Integrity in *Casablanca*

Film/Philosophy

Research Paper

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ABSTRACT

More Than a Hill of Beans: Loyalty, Utility, and Integrity in *Casablanca*

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This paper addresses the question of the importance of such personal values as integrity and loyalty to the process of moral decision making. Can we, as moral agents, preserve our integrity (however defined) and still act in behalf of a greater good? Can loyalty be defined in such a way so as to have it remain an intrinsically valuable personal concept while devoting ourselves to that which requires the loyalty in the first place? Or does any action in behalf of a greater good constitute simple utilitarianism and its concomitant devaluing of the personal and individual? The film *Casablanca* is used as an extended analogy in order to tease out the applications of this conjecture since it embodies within its characters and imagery the concepts addressed here. What is dwelt on here are the characters, their personalities, their decisions (past and impending), and whether they are representative in any way of how the concepts of integrity, loyalty, and utility either work or don't work.

More Than a Hill of Beans: Loyalty, Utility, and Integrity in *Casablanca*

"Ilsa, I'm no good at being noble, but it doesn't take much to see that the problems of three little people don't amount to a hill of beans in this crazy world. Someday you'll understand that."

With these, now, nearly immortal words, Humphrey Bogart bids farewell to Ingrid Bergman in the closing scene of *Casablanca*. Reflected in this simple phrasing is the culmination of a filmic struggle to regain a sense of self through the re-adoption of a project much greater than the self. Humphrey Bogart's character, Rick Blaine, is willing to give up his livelihood, his love, and perhaps even his life for a rediscovered cause. A paradox? After all, contemporary philosopher Bernard Williams has remarked that utilitarianism (under which actions are taken exclusively for the greater good) "abstracts" from the separateness of persons leaving them, in a sense, faceless numbers.[1] But, if this is true, then what is it that makes utilitarianism so appealing as a concept under which a person willfully gives over all sense of self, all personal identity, in order that a greater good be achieved? After all, self sacrifice has become something of an icon in Western culture and seems to personify both individualism (as control over personal choice) and devotion to something larger than oneself.

This seeming paradox is explained to a degree when we realize that, as Williams points out, the impartial view must prevail in all decisions over which utilitarianism is the guiding philosophy. The moral agent (decision maker) must decide in favor of that action which will bring about the best state of affairs of all states of affairs available to him or her at the time of the decision, and that state of affairs must be to the benefit of the greatest number of people. Most importantly, the moral agent must not involve personal feelings, emotions, or any other patterns of motivation other than the principal of utility in the decision-making process. What we have, in

fact, is no personal choice at all. What we have is a prescription to act so that the greater good is served, regardless of personal feelings. In fact, the agent is so abstracted under utilitarianism as to be simply an *agent* in the sense of the *method* by which utility is best served. In other words, the agent becomes the *means* toward a desired end, completely abstracting from any impartiality, in a process which, as Williams holds, ignores not only the agent's identity but also his or her separateness.

The question addressed here is one of the importance of such personal values as integrity and loyalty to the process of moral decision making. Can we, as moral agents, preserve our integrity (however defined) and still act in behalf of a greater good? Can loyalty be defined in such a way so as to have it remain an intrinsically valuable personal concept while devoting ourselves to that which requires the loyalty in the first place? Or does any action in behalf of a greater good constitute simple utilitarianism and its concomitant devaluing of the personal and individual?

In order to tease out the applications of this conjecture, the remainder of this discussion has been placed within an extended analogy. The film *Casablanca* is used, since, in many ways, it embodies within its characters and imagery the concepts addressed above. What is dwelt on here are the characters, their personalities, their decisions (past and impending), and whether they are representative in any way of how the concepts of integrity, loyalty, and utility either work or don't work.

It has long been recognized that *Casablanca* represents more than just a love story; although that is what it is primarily remembered as. Sidney Rosenzweig, in an intriguing reading of the film, says that "...[T]he entire film... is structured on the relationship between private feelings and public duties."[2] In fact, the tension of the film depends on the strength of the characters' loyalties. "Rick truly wants Ilsa; giving her up is a sacrifice only unselfish idealism

could prompt."[3] The film thus becomes a proving ground for personal emotions versus loyalty to a larger cause. In a sense, though, it is a validation of our belief in both.

Plot Summary[4]

Casablanca is set in French occupied Morocco during World War II. Rick Blaine, owner of a local bar and gambling room, is hiding in Casablanca from a secret past and isolated in his bitterness over the belief that the love of his life betrayed him.

Meanwhile, two powerful exit visas are stolen by Ugarte, a man involved in the black market. Ugarte asks Rick to hold them for him just before he is arrested. The local Vichy police captain, Louis Renault, makes a spectacle of the arrest to show Nazi officer, Captain Strasser he will make every effort to find the visas. Strasser is in Casablanca because Resistance leader Victor Laszlo is thought to be coming there to gain passage to America, and Strasser wants him stopped.

Laszlo and his companion, Ilsa, enter the bar and Ilsa recognizes the piano player, Sam. She asks him to play "As Time Goes By." Upon hearing the tune, Rick charges out to the piano where he sees Ilsa. In a flashback we learn that Rick and Ilsa fell in love in Paris. Before the Germans invaded, they were to leave the country and be married, but Ilsa did not show up at the train station. Ilsa tries to explain what happened, but Rick, still hurt and angry, won't listen.

Laszlo and Ilsa try to obtain their letters of transit, but Renault, cooperating with Captain Strasser, will not grant them. In desperation they try the black market and learn that Rick has the visas. Ilsa goes to Rick to ask for them. When he refuses, she threatens to shoot him. He responds, "Go ahead and shoot, you'll be doing me a favor." Ilsa crumbles as she admits to Rick that she is still in love with him. She explains that she

was married to Laszlo when she met Rick but was told her husband was killed in a concentration camp. When she and Rick were to leave, she got word that Laszlo was alive and had escaped. She tells Rick she can't leave him again and begs him to help Laszlo escape. He agrees and arranges a meeting.

When the Lazlo and Ilsa arrive, Rick pretends he's going to turn in Laszlo but instead holds Renault at gunpoint until the Resistance leader can board the plane. Rick also sends off his true love, arguing that she needs to keep fighting beside her husband. The plane disappears into the fog and Captain Strasser arrives to take Rick to jail. Rick shoots the officer, and he and Renault decide to leave the country together.

Integrity Without a Cause

Clearly the most intriguing character, and the most complex, is Rick Blaine, owner of the busiest cafe in Casablanca and master of all he surveys. As Rosenzweig has described it,

> Our first view of [Rick] epitomizes his position throughout the film: sitting at a chessboard impassively contemplating his next move. From that moment, through his encounters with Ugarte, Ferrari, Yvonne, Renault, and Strasser, until Ilsa's appearance, Rick controls every situation in his cafe as carefully as he controls himself.[5]

Control is the key factor. Rick controls his present so tightly because he has lost control over his past. As an agent in decisions that will affect him directly, he is now in total control—except, as Williams would say, for luck. This is a luck that "relates to those elements which are essential to the outcome [of a decision] but lie outside [the agent's] control."[6] These are things that are "beyond their will" which affect the way agents view their judgments in hindsight. It is this

element of luck that has brought Rick to Casablanca; however, it is was not his decision but someone else's, and that agent is more involved with the "luck" that was, and is, almost totally beyond her control.

To be in control speaks of the type of rugged individualism that has become a much-lauded trait of heroes. Rick embodies this individualism. He is also uninvolved, aloof. He is aware of what is going on in Casablanca, yet he is oddly undisturbed, uninterested. In fact, the attraction of Rick as a leading character comes from what Michael Wood has called "one of the cornerstones of American mythology... the belief that preserving one's individualism means remaining uninvolved, the fear of entangling alliances, be they political or personal, the desire to remain totally self-sufficient."[7] Yet, despite this seeming lack of involvement, we realize that Rick really is involved. We see it immediately in his actions as the owner of the *Cafe Americain*. We see it in his dealings with those about him, and we see it especially in what he represents to others. Rick, in fact, is a man of integrity—he is a person who is respected because he has it. All those around him see it, despite his protestations to the contrary. For example, early on in the film, the character Ugarte comes to Rick to ask him to hide the letters of transit he has stolen. Because Ugarte knows Rick despises him for profiting from the refugees' plight, he recognizes Rick's own integrity and entrusts him with the letters. "You know Rick,...just because you despise me, you are the only one I can trust."

And when Ferrari urges him to join in the black market, "In refugees alone we could make a fortune...," Rick refuses, "I don't buy or sell human beings." Later, when the police chief, Louis Renault, probes into Rick's background, he finds him evasive and unwilling to admit of his own integrity. Renault reminds him, "In 1935 you ran guns to Ethiopia. In 1936 you fought in Spain on the Loyalist side." And when Rick claims financial motives for these actions, Renault sees through him: "The winning side would have paid you much better."

This "integrity," or strength of character, will not allow Rick to take advantage of the refugees or leads him to fight in losing causes. It is part of his personality—his individualism. It cannot be severed from his decisions because it is vital to who he is. The decisions he makes here and for the rest of the film are all based on his sense of who he is and what he ought to do because of who he is—not necessarily on what may benefit others. However, because he is exposed, against his will, to tests of his personal integrity, he begins to see other, legitimate points of view. As Williams has pointed out, "If integrity had to be provided with a characteristic thought, there would be nothing for the thought to be about except oneself—but there is no such characteristic thought, only the thoughts associated with the projects, in carrying out which a man may display his integrity."[8] What is missing here is such a project.

Rick is representative of someone who has had a "project" but has lost it and is now attempting, unsuccessfully, to hide within a façade of self-interest. What is clear is that Rick is a man with vestiges of selfhood still intact. According to philosopher Josiah Royce, the source of value for the individual lies in his ability to achieve a sense of selfhood, which in turn is dependent upon his ability to discover a life plan. Royce further contends that, in the light of the interplay of individual autonomy and social dependency involved in the discovery of a life plan, such a plan becomes accessible only when the individual is able to be loyal to a cause.

> Whatever cause thus appeals to a man meets therefore one of his deepest personal needs; namely, the need of a life task that is at once voluntary, and to his mind worthy.[9]

Roycean loyalty unifies an agent's life with a plan, a "final and consistent" plan that reconciles a social cause with self-will in the form of a passionate devotion to the cause. Defining a unity of purpose, the plan imparts order to an agent's life by indicating what it is that

he or she needs to do.[10]

What is missing from Rick's world is a cause to which he can again become devoted. We, as viewers of his situation, certainly recognize, early on, his integrity. We realize, with Louis, that he is really a "sentimentalist." However, we also recognize that something is missing from this picture, something that even Rick begrudgingly recognizes. And while he may still be capable of good acts based solely on his vestigial integrity, it isn't until the entrance of his "cause" that he realizes to what extent he has need of it.

The Cause

With the entrance of Victor Laszlo and Ilsa Lund, a complex set of dynamics begins to evolve. The interplay of "private feelings and public duties" takes over the lives of the characters completely. In many ways the characters are reflections of each other. They are, in a sense, incomplete without each other. Victor Laszlo, on the run from the Nazis, an important leader in the fight against fascism around the world, can be seen as another of the possibilities implicit in Rick. He is "Rick with his convictions still intact and his ideal undefiled."[11] He is loyal to a cause and has a completely defined selfhood. For Victor Laszlo, the cause is everything. For as Royce has said:

> Whoever is loyal, whatever be his cause, is devoted, is active, surrenders his private self-will, controls himself, is in love with his cause, and believes in it. The loyal is thus in a state of mind which has its own value for himself.[12]

Laszlo, like Rick, is a picture of self control. Until his entrance, however, Rick is the center of action, the epitome of control in an uncontrolled environment. With Victor Laszlo's appearance,

we begin to see the difference between a man of integrity without a cause and a man of integrity with a cause. However, we do not instantly take to Laszlo. We have a sneaking suspicion that his unquestioned devotion to his cause is too easily replicated by the likes of Strasser, the German commandant. Richard Schickel, in fact, sees Laszlo balanced by Strasser who is "an ideologue, a man of action and a fanatic—all qualities present in Laszlo as well."[13] Laszlo seems at first to represent our worst fears concerning utilitarianism. He is cool, unemotional (except when talking about the cause), and single-minded. He is the abstracted agent acting for the greater good. Hasn't he already proven that by his willingness to face imprisonment and even death so that a greater good can be achieved?

Yet, is Laszlo a utilitarian? Perhaps not. He, like Rick before Casablanca, has a "set of desires, concerns, or projects, which helps to constitute [his] character."[14] He is the cause he represents. It has become his "project." He is loyal to it in the sense that Royce defines loyalty, and it contains within it the necessary conditions for loyalty: it has moving appeal for the individual who adopts it; it is capable of holding his interest; and it is social. And because of the import of this particular cause at this particular time in history, it also fulfills Royce's admonition that to be loyal to loyalty is to develop a system of loyalties that are not in conflict with those of other people, but must further the most recognized of those loyalties. Laszlo is the epitome of loyalty, both to a cause and to loyalty itself.

When his own motivations are questioned by Rick in their pivotal scene in which Rick asks, "Don't you sometimes wonder if it's worth all this? I mean, what you're fighting for?" Laszlo replies, "We might as well question why we breathe. If we stop breathing we'll die. If we stop fighting our enemies the world will die." But, he is quick to assert that he will not sacrifice his personal feelings to his public (in the sense of greater cause) convictions when, in response to

another question from Rick he replies, "Apparently you think of me only as the leader of a cause. Well, I'm also a human being. Yes, I love her that much."

In this scene, we are shown outright that Victor Laszlo is not a utilitarian, for as Williams says, "[S]uch things as deep attachments to other persons will express themselves in the world in ways which cannot at the same time embody the impartial view...."[15] With this construction in mind, Laszlo seems not to be a utilitarian in any sense. In fact, he demands to be thought of as a lover as well as a leader—a man of personal feelings as well as public convictions.

It is clear at this point, if not earlier, that Victor Laszlo does, in fact, reflect what was once complete in Rick. He has a cause he is loyal to, he has a personal attachment that he says he would not sacrifice, even for the cause. He has, in short, integrity. He is complete in his selfhood, and his projects are as much a part of his character as he is himself.

Enter Ilsa Lund.

Agent Regret & Moral Luck

"Ilsa represents (for Rick) not merely love, but love hounded by political events. The loss of Paris and the loss of his love are fused in his mind. 'The day the Germans marched into Paris,' he tells Ilsa, 'The Germans wore gray; you wore blue.'"[16] His personal cause is intermingled here with a larger cause, much in the same way as Laszlo's; however, with the departure of Rick's personal cause, the greater cause has likewise been abandoned, or at least pushed into the background. As viewers, though, we are convinced that Rick's personal integrity (that which allows him to react as he does toward others) will eventually allow him to readopt the larger "loyalties."

Ilsa is never seen as decisive. Although she has returned to Laszlo and (more importantly to her) his cause, she is not sure of her feelings. She is not securely grounded. If we are to

believe the flashbacks, both she and Rick had made each other the center of their attention. They were loyal, as Royce would say, not only to each other but to love itself. Now, however, she has chosen another path, adopted another project, developed another loyalty. But, her decision is rendered in doubt when she ultimately reconciles with Rick toward the end of the film. But what of her integrity?

If Rick represents integrity without a cause and Laszlo represent integrity combined with a cause, then Ilsa Lund may represent a *pre-integrated* stage—one prior to that which both men have already reached (and one has temporarily misplaced). Ilsa Lund is an agent whose choices are, in some ways, forced on her, and who, in other ways, is a victim of her own choices. She might be the perfect example of "agent regret." As Williams has defined it, the focus of agent regret is on the possibility that one might have acted otherwise in a certain situation. What is key here is that, when based on a project, this regret can only be realized once failure of that project is declared.[17] When Ilsa left Rick in Paris, it was not for love of another man, it was for the cause the other man believed in and which had become one with his character—so interrelated, in fact, that even Ilsa can't decide whether she really loves Laszlo, or what he stands for. Ilsa was

> ...molded by politics; in a sense she married Laszlo for political reasons. Young, naive, idealistic, she was overwhelmed by this 'great and courageous' activist who 'opened up for her a whole beautiful world full of knowledge and thoughts and ideals... And she looked up to him, worshipped him with a feeling she supposed was love.'[18]

If, in fact, Ilsa has accepted Laszlo's project as her own, and if that project has not failed, then she cannot feel regret for having chosen that path. According to Williams, Ilsa could not welcome the outcome of the project (assuming that it is ongoing and to some extent successful)

and still regret her decision to take it on.[19] However, her decision must be viewed by her from a standpoint which includes involvement with the project itself. She must look back from an experience that has colored, to some degree, what is significant in her life. It is therefore possible that this project has failed extrinsically rather than intrinsically. For, as we have seen, both Laszlo (to a greater degree) and Rick (to a lesser degree) consider the project to be worthwhile. Therefore, there are only two possibilities in Ilsa's seeming regret: that she never really adopted Laszlo's cause as her own, or that the cause has failed in her eyes, if not necessarily in reality. She may also be a victim of "moral luck" in that, at the time of her decision, she made her choice based on her original project (or her loyalty to Laszlo and his project). Subsequent events, including her fateful reunion with Rick, were totally unpredictable—beyond what she could have foreseen. It may be that the element of moral luck has now forced her to reflect on which of her conflicting loyalties she should have chosen. This, of course, does not imply that she made the wrong decision, or even the immoral decision. It may be that, in reflection, the project to which she became devoted was not truly hers, and, therefore, impossible for her to incorporate into her identity. If her love for Laszlo (as a personal project) was based on what he represented, vis á vis his loyalty to his cause, then this cause was not really hers and we might even question whether her affection as constitutes a legitimate project at all.

It may also be that Ilsa Lund is merely a foil, a character used simply to develop depth in other characters. Certainly, both Rick and Laszlo are developed more fully because of her—perhaps precisely because she lacks a project or loyalty of her own. Their already developed characters (in the moral sense) further disallow Ilsa from making the "easy" choice and simply exchanging one of them for the other—or as Williams points out, "individuals are not intersubstitutable" precisely because of differences of character.[20] What Ilsa does represent for

Rick is a turning point. With her appearance, he must finally come to grips with both his past and future, and with the survival and growth or ultimate decay of his personal integrity.

Integrity With a Cause

In the beginning of the film, Rick can't understand how events can force people to actions that seem to betray their feelings and belie their words. He was totally devoted to Ilsa in Paris. His loyalty, to her and to love (represented by Paris itself), grounded his character. To Rick, integrity is living what you believe in. Even as a cafe owner in Casablanca he maintains a form of integrity. As the film progresses, however, he is forced to face the fact that without a project, without loyalty to something other than his own survival, his current version of integrity will remain incomplete, or disappear altogether.

However, as we see, the integrity he displays early in the film not only is not lost, it is strengthened. "We never really doubt that Rick is Casablanca's moral center. Torn between neutrality and patriotism, cynicism and idealism, he is... [a] morally divided character.... Ultimately, his neutrality is only an appearance, his cynicism only words."[21] This image of Rick as integrity personified is strengthened considerably as the film progresses. When he is drawn, perforce, into Louis' scheme to "sell" transit to a young Bulgarian couple via sexual favors, he reacts as we would expect him to; however, he is not only reacting out of his vestigial integrity, he is also beginning to develop a deeper and more grounded integrity.

Rick begins to appreciate fully how loyalty, put to the test, can seem to violate itself while actually maintaining its greatest strength—its inviolability. When Annina is coerced into considering sleeping with Louis in order gain transit papers, Rick, for the first time, "recognizes a love strong enough to save its object," and helps her.[22] Annina's question to him also resurrects some ghosts in his own past.

> If someone loved you very much, so that your happiness was the only thing that she wanted in the world, and she did a bad thing to make certain of it, could you forgive her?

At this point, Rick is beginning to come to grips with the loss of his personal project (his love for Ilsa), and in the same scene begins to regain his loyalty to the larger project lost at the same time. When Laszlo, in response to martial singing by German officers in the cafe, asks the band to play "La Marseillaise," it is Rick who must, again, become involved. For it is Rick who must approve of the playing of the anthem of the, now fallen, French government.

Finally the two projects are coming together for him. The personal and the public are being reunited as his ghosts are being exorcised by the tide of events. We might say that he has realized to what extent we are at the mercy of moral luck. He is beginning to see that decisions made based on belief in a personal project (whether that project is false or true), cannot be regretted, only accepted—and possibly forgiven. It is becoming clear that he is willing to forgive Ilsa. In fact, Rick is beginning to be freed of his need to control everything about him—a need that perhaps arose out of his feeling of abandonment and a defense against the arbitrariness of luck. He is becoming committed to something other than a memory of love. His cafe, a symbol of his control, is closed by the Germans. "By the end of the evening Rick is reconciled with Ilsa; the next morning he sells his cafe. He no longer needs it."[23]

Rick is still in control of the consequences of his actions, however. Once Ilsa breaks down and he finally understands to what lengths she will go to try to reestablish her "project" with him (in effect exchange one project or loyalty for another), he realizes what he must do to retain his own integrity. As Rosenzweig points out, "he once more controls his own destiny—controls, in fact, several destinies."[24] This is something that he does not take lightly. It is, in fact,

revealing of his character and the strength of his integrity that he never really takes anything lightly. Even in the early stages of the film when his outward demeanor is that of an uninvolved, detached observer, his integrity will not be sullied by what goes on around him. It occurs to me that this façade of distance from his surroundings is both a defense against involvement (against being "hurt" again) and a method of preserving his integrity, or what is left of it. In fact, these are not mutually exclusive concepts if we consider his integrity, at this point, to be that of integrity of his person as opposed to integrity of any personal project that has become part of his identity. As we have seen, these personal projects have failed (in the case of his love affair with Ilsa Lund) in the sense of not having worked out the way he might have predicted when he made the decision to pursue this project, or failed (in the case of his devotion to a larger, more "noble" cause) in the sense of having lost its meaning for him. However, we are not convinced that either of these projects have actually failed for him, and, in fact, we see that once he has regained control of the decisions concerning these projects, they have not failed at all, but have been only temporarily "on hold."

We have to wonder at this juncture how much control plays a part in the acquisition and maintenance of projects. It is clear that under utilitarianism, control (in the sense of decision making) is removed from the agent because of the prescriptive nature of the construct. By its nature, utilitarianism forces the agent to become but one of the many and to make decisions based on an impartiality that cannot consider anything but the welfare of the many. In this sense, control of the situation, regardless of its composition, is removed from the agent and placed on the method of decision making itself. It obviously would be impossible to adopt projects or loyalties that would affect a person's identity to the extent that the cause or project becomes a part of his character without having control over the decisions affecting the adoption of those projects or loyalties. "[O]ne cannot have both the world containing [such dispositions as patterns

of motivation, feeling and action], and its actions regularly fulfilling the requirements of utilitarianism."[25] In other words, the very motivations that drive the acquisition of personal projects or the development of loyalties to causes would be irrelevant to decisions made under utilitarianism. What we have, then, in the character of Rick Blain is a man whose projects and loyalties have been rendered false (at least for the time being) by having the power to control these projects removed from him. His motivations from the point in the film from which he begins to reconcile his past and come to grips with the future of possibilities open to him must be driven by a recognition that he controls his ultimate decisions and is not controlled by them.

The Test of Integrity

> [T]he basic bearer of value for Utilitarianism is the state of affairs, and hence, when the relevant causal differences have been allowed for, it cannot make any further difference who produces a given state of affairs.[26]

It is important that Rick make the ultimate decision in this film. As we have seen, Rick is the central figure in the film. It is he who must resolve the conflicts that have led to his lack of faith in his projects/causes. It is he who must decide whether these projects, and those equally important projects of the other characters, are furthered or not. It is extremely important, if for nothing more than the dramatic resolution of the film, that Rick Blain become again a man of complete integrity—one for whom integrity is given a cause worthy of its being.

There are several points that should be made here. First, neither Rick nor Victor Laszlo is acting out of utilitarian instincts nor by utilitarian guidelines. In Laszlo's case, it has become clear that he is acting out of a very personal commitment—a commitment that seems all the more personal because it involves Ilsa. His two projects are inextricably bound together, and have

been for quite some time. Despite his protestations to the contrary, it is difficult to believe that he could easily give up either for the other. Rick's projects are also related, but not in quite the same way as Laszlo's. Whereas Laszlo seems to have had both projects running simultaneously, Rick has experienced his projects somewhat separately. We know, for instance, that his support of the Loyalists in Spain and his gun running to Ethiopia probably took place prior to his affair with Ilsa. In any event, they were not related. We realize that his penchant for devoting himself to underdog causes is simply part of his character, a central component of his integrity. He may have continued pursuing causes such as this except for his affair with Ilsa. The forced abandonment his personal project with Ilsa so disrupted his sense of self that he withdrew from his larger agenda into a self-controlled world of his own making. What he was unable to do, however, was to totally abandon his personal integrity. The same elements of his character that led him to pursue those causes, now force him to smaller acts of nobility. Being who he is, he cannot do otherwise than to act morally.

Ilsa Lund is the common link the two men share. As has been suggested, her lack of grounding, or her reluctance to decide on a project, has affected both to an important degree. She is an integral part of their identities. For one, she was, is, and will be part and parcel of his identity. For Ilsa, Victor Laszlo represents both a personal and a public project. And, because of her inability to separate the two in her mind, she, in turn, has become part of Laszlo's own projects. On the other hand, what she represented to Rick, and he to her, was divorced from other considerations—other loyalties. It might even be reasonable to suspect that their continued involvement would have prevented Rick from becoming involved with other loyalties. We are certainly led to believe that on the day the Germans took Paris Rick's primary concern was not the death of liberty but the safety of Ilsa and their lives together. In fact, we are introduced to a man who has divorced the affairs of the world. In a way, we do not forgive his selfish

withdrawal from the affairs of the world—although we may sympathize with his reasons. In the end, we know, as does Rick, that there really is only one choice for him. Although he may be able to maintain the integrity of his person, he will probably never again develop an integrity of projects or causes that might be considered trans-subjective or beyond his personal identity. At the same time, we realize that, if we take Laszlo at his word, he may very well become the Rick of the beginning of the film.

Since we know that Rick once considered Ilsa his only project (to the exclusion of others), and that Laszlo has never separated, nor needed to separate, the one project from the other, we suspect that Rick may never reconcile more than one project. In other words, if Ilsa goes with Rick, we stand to lose his allegiance to the "greater cause." If Laszlo is forced to choose between his two projects, he will become as Rick, devoted only to a personal project—he says as much. At the same time, Rick's character has already begun to expand. He has been forced to concede the larger loyalty—his actions prove it. He has reconciled his loss of Ilsa. He has forgiven her earlier decision. He is now prepared, and willing, to take on other projects. There can be no other satisfactory resolution to the film.

There only remains one other character whose moral decisions can affect the outcome—Louis Renault. As Rosenzweig points out,

> ... Casablanca is as much about Renault's conversion to the cause as Rick's. ...[B]y not stopping Laszlo's plane nor arresting Rick, [he] determines the plot's resolution.[27]

We are quick to recognize Louis' moral shortcomings. He is willing to make a romantic profit off the plight of the refugees. He has "sold out" to the Germans by representing the Vichy government in Casablanca. Like Rick, he moves through the film in control of his world, a self-

interested microcosm. He seems to be just one more character out to make a profit out of chaos. However, his character is developed so as to imply a sympathy beyond his obvious collaborative exterior. He recognizes Rick's sentimentalism, and seems to admire it (he is French, after all). We don't know what Louis' projects are, if any. We can't be sure he is "loyal" to the Vichy government in the way that Laszlo is loyal to his cause. We do know that, if he is, it is misplaced loyalty. In a Roycean sense, this cause cannot be worthy of loyalty, at the very least because it cannot further loyalty to loyalty. In a Williamsian sense, we can easily predict regret should Louis ever really decide to dedicate himself to this cause as a project. We cannot imagine Louis' character being so bound up in this cause so as to have it identified with him. Although he may represent the Vichy government, and thus the Nazis, we realize that, in a larger sense, he is not identified as either. It is thus clear that he has not selected any project or cause. Therefore, we are not surprised that, when the time comes to make a choice, he chooses as he does. His integrity, as Rick's, is tested by events beyond his control.

> ...[B]y refusing to arrest Rick and by giving up his own easy, profitable life in Casablanca, Renault proves he is worthy to join the hero.[28]

And, like Rick, he regains control through his decisions. At the last, they have both committed to a worthy project. They have both become loyal to a worthy cause. What both have done is to make a decision based on a personal commitment to a very personal, yet very public, cause. What neither has done is to appeal to utility as a rational for having done so. As Rosenzweig says,

> Rick is utterly wrong when he says, in his well-known line, 'The problems of three little people don't amount to a hill of beans in this crazy world.' Casablanca is about the 'problems of three little people' and their connection to the problems of 'this crazy world'; what we remember first about the film is its love story, its tale of love lost, regained, and finally sacrificed, its image of Rick moving from a bitter to a noble loneliness.[29]

If we accept, at face value, that Rick actually believes what he says, then Rosenzweig may be right. If he is wrong (he believes that Rick makes this statement in good faith), there are only two possibilities. Either Rick is making a utilitarian judgment or he doesn't really believe what he says himself. The evidence seems to point to the latter possibility. He has made a decision based on an extremely telescoped period of growth. He has not forsaken love as a possible co-project with loyalty to a greater cause. He is merely the type of character for whom the one cannot be maintained simultaneously with the other. Perhaps his personal resources are too limited. In any event, he realizes that Victor Laszlo is capable of such co-loyalties. In other words, he has taken stock of his personal identity and made a decision based, not on the needs of the many, but on a recognition of his own limitations. He has made a choice, not necessarily for the greater good, but out of personal integrity. He will not jeopardize either of Victor Laszlo's projects—neither his work against fascism nor his love for Ilsa.

Louis and Rick are, therefore, not faceless agents without any identity other than as one of the many—as utilitarianism would have them be. They are determined individuals in control of their decisions and ultimately affecting the lives of many others beyond their ken. To the extent that this is true, they have accepted moral responsibility for their actions; and, we suspect, will not regret them. In the end, it all seems to come together right. Rick has not really lost a

love. Rather, he has reconciled an already lost love. He has not really gained a friend. He has simply confirmed an already existing friendship.

Richard Schickel suggests that,

> Casablanca... was a paradigm for personal commitment that appeared at a moment when many were in the process of making, or trying to make, personal—as opposed to merely political—commitments to fight against fascism."[30]

The film is about private commitments. It is an excellent example of both Williams' and Royce's account of what is important in life. When the tough decisions have to be made, we should not abandon the personal, we should embrace it; for only through an acceptance of who we are and how that affects what we do will we be able to accept our place as a human component of a much larger framework. If we become but faceless agents acting as a means to an end determined only by utility, then we give over that which makes us unique. Worst of all, we lose control of that most vital of human characteristics—our personal integrity.

NOTES

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[1] Bernard Williams, *Moral Luck,* (Cambridge: Cambridge University Press, 1981), p. 3.
[2] Sidney Rosenzweig, Casablanca *and Other Major Films of Michael Curtiz*, (Ann Arbor: UMI Research Press, 1982), p. 79. This is available in the UO library.
[3] Ibid., p. 80.
[4] http://turnerlearning.com/tcmbythebook/stage/casa.html, Turner Classic Movies
[5] Ibid., p. 90.
[6] Williams, op. cit., p. 30)
[7] Michael Wood, *America in the Movies*, (New York: Basic Books, 1975), p. 23.
[8] Williams, op. cit., p. 49.
[9] Josiah Royce, *The Philosophy of Loyalty*, (New York: Macmillan, 1908), p. 59.
[10] Struan Jacobs, "Theorising life plans." *TASA* 2001 Conference, The University of Sydney, 13-15 December 2001

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[11] Barry Day, "Casablanca," *Films and Filming*, 20 (August 1974), 21. Cited in Rosenzweig, op. cit., p. 80.
[12] Royce, op. cit., p. 22.
[13] Richard Schickel, "Some Nights in Casablanca," In *Favorite Movies: Critics Choice*. Ed. Philip Nobile, (New York: Macmillan, 1973), p. 199. Cited in Rosenzweig, op. cit., p. 80.
[14] Williams, op. cit., p. 5.
[15] Ibid., p. 18.
[16] Rosenzweig, op. cit. p. 86.
[17] Williams, op. cit., p. 31.
[18] Rosenzweig, op. cit. p. 84.
[19] Williams, op. cit., p. 35.
[20] Ibid., p. 15.
[21] Rosenzweig, op. cit. p. 83.
[22] Ibid., p. 93.
[23] Ibid., p. 91.
[24] Ibid., p. 92.
[25] Williams, op. cit., p. 51.
[26] Ibid., p. 4.
[27] Ibid., p. 95.
[28] Ibid.,
[29] Ibid., p. 84.
[30] Schickel, op. cit., p. 125; cited in Rosenzweig, op. cit., p. 84.

TITLE: Creating Atmosphere: Proverbs and Folk Tales in Chinua Achebe's *Things Fall Apart*

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ABSTRACT

TITLE: Creating Atmosphere: Proverbs and Folk Tales in Chinua Achebe's *Things Fall Apart*

Atmosphere as used here is the prevailing mood or tone of a literary work and is created primarily, but not exclusively by the setting. It is likewise created by careful word choice and vivid descriptions. In the novel, *Things Fall Apart*, Chinua Achebe chooses the traditional wisdom found in proverbs and folk tales of the Ibo people to support an atmosphere that is truthful and authentic. It is from these maxims, epigrams and stories that the reader gains insight into the behavioral patterns of this ethnic group. Thus, a proper understanding of African proverbs is therefore necessary for an appreciation of not only African oral literature, but also African beliefs, attitudes and points-of-view.

African proverbs are colorful and may often elicit a humorous response from the listener. Many of them originated from folk tales, which have been handed on from one generation to another, and from accurate observations of life. They are characterized by their precision and brevity. When quoted in the right context, a proverb summarizes an idea that would otherwise need explaining in very many words. Their terseness and brevity aids in memorization so that everything important and relevant in daily life can be recollected easily and passed on from person to person, generation to generation. Many proverbs are also allusive, that is they refer indirectly to history, stories, institutions and beliefs, which are well known in the tradition.

Achebe, a proverb master, is quite adept in his use of this form as a means of conveying the deep reality of the African experience. What is especially interesting about his use of proverbs and folk tales in *Things Fall Apart* is the suggestion of a movement from the written language back to the oral. This aspect of the novel will be used in this paper to discuss the proverbial nature of *Things Fall Apart and* Achebe's use of this device to create atmosphere in the novel.

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Submission #1

La Malinche: The Lost Words of the Conquest

Spanish American Language

Paper session: (20 minutes)

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ABSTRACT

This abstract is concerned not only with the verisimilitude of translations, but with their ultimate effect on the communication that took place at the time of the Conquest of Mexico which began in 1519. Malinche, or Doña Marina , as she was christened by her Spanish conquerors was best described to author Anna Lanyon in 1999 as "El personaje ausente siempre presente." In her book titled Malinche's Conquest Lanyon reveals with scrupulous investigation the details surrounding the life of this both legendary and historical figure, known for her intimate relationship with Hernán Cortés and her distinct capacity as his personal interpreter. Malinche would accompany Cortés throughout his travel and give important information to the Aztec leaders such as Montezuma. Although there have been vivid accounts of palace life in the Halls of Montezuma, one can only speculate on what was said during these times of subjugation and vanquish for which Cortés was simultaneously abhorred and lauded. Yet, precisely what words were said remains a mystery unless documents from the indigenous language of Nahuatl can be translated and interpreted.

Did Malinche convey what needed to be said? Or did she intentionally express in Nahuatl the desires of her own people, as well as those of her captor, Cortés? Either way, we do know that many tribes suffered through the slavery of the Conquistadors just as did Malinche's native tribe in her birthplace, Jaltipan. That she had reason to support the plans implemented by Cortés, we know, in part because she wished to survive, but she also wished to defend the wishes of her own tribe against the mighty Aztec warrior, Montezuma. The examination of Nahuatl documents will provide some clues and further Spanish translations may well exist. However, Malinche, who was neither Maya nor Aztec, was a compromised person since her first moments as a participant in the Conquest. The dates to be examined are from the age of the Renaissance, but these are times in which a woman would have to surmount the obstacle of gender in order to be taken seriously by officials of war and her own demanding guide, Cortés.

Preliminary works to be consulted in this investigation include Sandra Messinger Cypess' book La Malinche in Mexican Literature: From History to Myth (1991), and Anna Lanyon's aforementioned exclusive account of the life of Malinche. These works serve to explain the historical facts surrounding Doña Marina's identity as an Indian woman of the period: Mujeres en México: Una historia olvidada by Julia Tuñón Pablos, Translation and Gender by Luise von Flotow, and Anna Lanyon's exclusive analysis of the life of Malinche. Metaphorically speaking, the lost words of Malinche invite us to ponder the motives and therefore, the verisimilitude, of translation.

La Malinche: The Lost Words of the Conquest

This study is concerned not only with the verisimilitude of translations, but with their ultimate effect on the communication that took place at the time of the Conquest of Mexico, which began in 1519. La Malinche, or "Doña Marina," as she was christened by her Spanish conquerors, was best described to author Anna Lanyon in 1999 as "el personaje ausente siempre presente."[i] In her book titled Malinche's Conquest, Lanyon reveals with scrupulous investigation the details surrounding the life of this both legendary and historical figure, who even makes an appearance as a fictional character in the novel Xicoténcatl (1826).[ii] She was known for her intimate relationship with Hernán Cortés and her distinct capacity as his personal interpreter. Malinche would accompany Cortés throughout his travels and give important information to Aztec leaders such as the renowned Montezuma. Although there have been vivid accounts of palace life in the Halls of Montezuma, one can only speculate on precisely what was said during these times of subjugation and vanquish for which Cortés was simultaneously abhorred and lauded. However, the closest records of these dialogues that are preserved in the indigenous language of Nahuatl have been translated both into Spanish and English.

Preliminary works to be consulted in this investigation will include, in chronological order, Sandra Messinger Cypess' book La Malinche in Mexican Literature: From History to Myth (1991), and Anna Lanyon's aforementioned exclusive account of the life of Malinche. These works serve to explain the historical facts surrounding Doña Marina's identity as an Indian woman of the period. However, while Cypess has gathered information from a multitude of texts presenting Doña Marina as an

Indian interpreter, guide, mistress and confidante of Hernán Cortés from an insightful feminist perspective, much emphasis is placed on her diverse roles. La Malinche's role as the mother of the mestizo contrasts with her role as the Mexican Eve enough to raise doubts concerning her loyalty to her people in the mind of the typical reader. Perhaps the most insightful suggestion in this book concerning Marina's true loyalties is Cypess's account of the planned ambush by the Cholulans, allies of the Aztecs.[iii] Marina became aware of the attack on the Tlaxcalans, realizing that the Aztecs were their enemies and so gave them warning. Marina was not only acting on behalf of Cortés when she informed them of the attack. Rather, it should be understood that she was not necessarily an Aztec simply because she spoke Nahuatl:

> In regard to the Malinche paradigm, then, the actions ascribed to her in Cholula relate her to the theme of betrayal, but only if one can consider the Indians to have been all one people. The Tlaxcalans clearly did not act according to that belief and considered the Cholulans enemies, as their role in the massacre and sacking of the city proves. (35)

That Malinche had reason to support the plans implemented by Cortés, we know, in part because she wished to survive, but she also wished to defend the freedom of her own tribe against the mighty Aztec warrior, Montezuma. Cypess has also stated that Malinche was born either in Oluta, Painala, or Jaltipan. Though her original Indian name was "Malinal," those who called her "Marina" (used interchangeably in this study) then corrupted it with the Nahuatl suffix "tzin" to create "Malintzin." However, Cypess adds, "…we should not think we know with certainty her original name" (33).

Malinche, who could not claim to be either Maya nor Aztec, was definitely sold in slavery to the Tabascans at some point. As was to be expected, she was already conditioned to obey the commands of her new masters. All things considered, Malinche was a compromised person since her first moments as a participant in the Mexican conquest. The dates to be examined are from the age of the Renaissance, but these are times in which a woman would have to surmount the obstacle of gender in order to be taken seriously by officials of war and her own demanding guide, Cortés. Even though Malinche's actions have since been interpreted as a confirmation of her loyalty to the Spanish and a betrayal of her own Indian people, we should understand that there was much rivalry between all of the Amerindian peoples at the time, thus making it difficult to determine who was in support of the Aztecs and who was not. If we take into account the fact that many peoples hated the Aztecs because their tribes had been brutally conquered by them even before the arrival of Cortés, our view of Malinche will be forever altered. Was she really an Aztec who betrayed Montezuma? As Cypess has discovered, this is only true if we see all of the Amerindians as one group of people: the Aztecs. The story of the ambush of the Cholulans who were following Montezuma's plan to murder the Tlaxcalans explains why today Tlaxcala still venerates Malinche.

Two key chroniclers, Francisco López de Gómara and Bernal Díaz, agree that Marina played an essential role in the liberation of some indigenous people since it was she who discovered the plans of the ambush. A Cholulan woman admired her and revealed to her the plot. Yet, if we consider that Marina herself was not officially of Aztec origin, she would have no reason to side with the Cholulans against the Tlaxcalans or the Spaniards. She even agreed to marry the woman's son, but this was so that she

could escape and reveal the ambush plan to Cortés. Unless we wish to believe that the Cholulans were "her people," we have to admit that Malinche saved not only the Spanish with her revelations, but the Indian tribes as well. Marina was never a traitor unless we see all of the Amerindians as belonging to one nation at the time; and they most assuredly did not.

Now then, did Malinche convey only what Cortés needed to be said? Or did she intentionally express in Nahuatl the desires of her own people? Either way, we do know that many tribes suffered through the slavery of the conquistadors. Lanyon's text is a biography of Malinche's life beginning with her birth where her native tribe lived in Jaltipan. Then the relevant question becomes: "Were they Aztecs?" Such authors as Shep Lenchek insist that "all historians agree that she was the daughter of a noble Aztec family." Yet, Bernal Díaz del Castillo does not identify her as "Aztec" in The Bernal Díaz_Chronicles:

> Later they were baptized and the name of Doña Marina was given to the one who was the daughter of great chieftains and the mistress of the slaves, as her appearance clearly showed. (51)

Such a debate is paramount because the majority of documents published on Malinche support the idea that she was an Aztec woman of noble birth. She may have been noble, clearly, though not necessarily Aztec. The relevance of this information to her translations for Cortés is that she was able to convince the Aztecs of their conqueror's well-meaning designs since they believed she was one of their people. Lanyon points out some serious evidence to disprove her Aztec background:

> The guidebooks will tell you that she was an Aztec princess. But, they are wrong. She came from somewhere out there on Isthmus, among the remnants of those Olmec temples, among The marshes and estuaries of this ancient tendril of land, where the alluvial plains sweep away toward the warm, still waters of the Gulf. (26)

Lanyon adds that the town Jaltipan, near the center of the Isthmus, held the most promise as Malinche's birthplace and that in this area, Nahuatl was not the native language (33). She actually spoke a language called "Popoluca," which means "babble" in Nahuatl. Therefore, since Nahuatl was the official language of the Aztecs, Malinche's linguisitic capabilities were even more far reaching. We know that as a young girl she left Jaltipan and was taken by 'men from Xicalango' (38), but we do not know how long she was with them until she was sold again to a purchaser from the Mayan town of Potoncan. However, this fact would explain why Malinche could also speak Mayan. Malinche had been sold, it is believed, by her own mother to ensure that her step-brother, who was favored, would inherit the estates and titles that should have belonged to her daughter. It was her own mother who created the myth that her daughter was dead. By the time the Spaniards arrived in Potoncan in 1519, there was Malinche and that is how she became involved in the invasion.

Yet, neither of these two works, that of Cypess or Lanyon respectively, contain the actual dialogues quoted during the time of the conquest. For this kind of information, one should consult a recent account of the events of the Conquest chronologically set forth in Miguel Leon-Portilla's edition of The Broken Spears (1992).[iv] This source contains first hand references to the dialogues, but actual words and expressions still seem far removed from the Nahuatl version of the events. For example, in the

translator's note, Lysander Kempdedicates the English version of The Broken Spears to Soledad Durán, admitting to the irregularities in this version of the text:

> This translation is intended for the general reader rather than for the scholar. I have taken many liberties with the originals, in the belief that a readable version of the drama would be more valuable than a literal rendering of their stylistic peculiarities. Here and there I have added a word or brief phrase to the text for the sake of clarity, and I have omitted words, sentences and even short paragraphs when they have contributed nothing but confusion. (n.p.)

Then, in the foreword by J. Jorge Klor de Alva, we are told that Mexicans on both sides of the border benefit a great deal from reading the León-Portilla edition because:

> …the story of the Aztecs (or Mexicas, as the residents of Mexico-Tenochtitlan called themselves) has played a critical historical and symbolic role in the formation of their collective identity. In particular, the tale of the Mexicas has served as the national 'charter myth,' standing behind every important nation-building legend or initiative. (x)

Still, one cannot help but notice that the term "Aztec" is used interchangeably to refer to the "Nahuas" or Nahuatl speaking people of the region throughout The Broken Spears. It is also significant to know that the "Aztecs" were referred to as the "Mexica" in the earliest accounts documented by the Indians. Though the Mexica is not the only tribe indigenous to Mexico, we soon realize that the Aztec capital in the east has a fair amount of control over most other tribes. It is no coincidence that other Indians who do not belong to the Nahua group speak Nahuatl. It is believable that learning this tongue could indeed protect the innocent passerby from discovery as a non-Aztec. It would have been

advantageous for Malinche to have acquired this knowledge in the event that the Aztecs became her captors.

While reading the introduction to The Broken Spears, one would think that this work undoubtedly sets apart the point of view of the Indians, as a whole, from their captors, the conquistadors. After all, the True History of the Conquest of Mexico[v] by Bernal

Díaz del Castillo must certainly present a biased point of view having been written by a Spaniard. León-Portilla reiterates this commonly held premise:

> But these chronicles present only one side of the story, that of the conquerors. For some reason—scorn, perhaps -- historians have failed to consider that the conquered might have set down their own version in their own language. This book is the first to offer a selection from those indigenous accounts, some of them written as early as 1528, only seven years after the fall of the city. (xxv-vi)

Naturally, the Indians have their own accounts of those events, but the fact that these accounts were translated from the Nahuatl language has a more transcendent effect. Indians who spoke Nahuatl, as did Malinche, may not have been so unusual. The entire area was populated by tribes who quite possibly understood Nahuatl in an attempt to camouflage themselves from their violent Aztec neighbors. For this reason, the translations made orally by Malinche, may not always have had only the interests of the Spaniards in mind. Malinche was also translating for the benefit of her people. Several scholars have pointed out how beneficial her translations were, but we may still be overlooking the nuances of her words. Did Marina have a fervent belief in her new found Catholic faith, or did she really wish to free as many people from the brutal Aztec rule as

she could? I believe and firmly support the idea that she was astutely aware of the difference between right and wrong, and the Aztecs, it seemed to her, were clearly in the wrong.

Unfortunately, the proof of the conjecture that Malinche had other interests in mind is not borne out by an analysis of the text The Broken Spears. Bearing in mind that his book was not written specifically for scholars, the León-Portilla edition merely invites more speculation on the part of the researcher who would then want to read the original accounts set forth by the Indians. These manuscripts are preserved in a number of libraries, but the songs of the *Cantares*[vi] have been collected and inscribed by Nahua scholars who worked with the missionary and ethnographer, Bernadino de Sahagún. Then, the natives transferred this information to written form as it appears in Book XII of the Florentine Codex (1569).[vii] Some expressions in this book translate to English from Nahuatl differently than they do from the Spanish to English. Therefore, it is my belief that only through a careful analysis of both texts, Nahuatl and Spanish, can one come to know the true sentiments and intentions of Malinche as she translated for Hernán Cortés.

Recent studies support the need for such speculation on the content of Book XII. For example, Translation and Gender (1997) by Luise Von Flotow-Evans, Tamara Escribano's 1998 Summer Institute project: Malinche: The Indentity of an Indian Woman in the Conquest, and Shep Lenchek's article "La Malinche: Harlot or Heroine?" (2002), and have continued investigations on the role of La Malinche during the Conquest.

Luise Von Flotow-Evans discusses feminist rewritings of the life of Malinche even before most other relevant studies appear on the scene. The Mirandé and Enriquez feminist rewriting that she cites presents the details of Malinche's life while attempting to

understand her options and motivations from a psychological perspective. Malinche was seen more as an object of trade, having been passed from one group of people to another. Von Flotow concurs with other authors that she had experienced Aztec suppression of the Mayas and others "in the name of the Aztec superiority and by the terrorist means of mass slaughter for religious purposes" (75). These events may have led her to think that Christianity represented the better choice. However, Von Flotow concludes that no matter the reason:

> … feminist rewritings of the story of Malinche dismiss the ominous parallel between the 'treacherous' sexually active woman and her role as the 'traitorous' translator. Instead, feminist rewritings foucs on her historical realities, her social position and her motivation. seeing her as a gifted linguist and strategist, a mediator who sought an end to bloodshed, and an unfairly maligned cultural scapegoat. (75)

Even though Malinche's translations do not exist on paper, eyewitness accounts of her linguistic ability do exist and allow us to interpret her motivations and intentions as she appeared to be negotiating for Cortés.

In one translation carefully cited from Miguel Leon-Portilla's edition of The Broken Spears, by Tamara Escribano, Malinche speaks to the Aztecs. If we read what she says in light of what we know, can we actually assume she is talking to the Aztecs with the clear knowledge that they are violent Indians or is it more likely that she is speaking to them because she believes they will react like other tribes and accept the presence of the conquistadors? Escribano carefully points out that Malinche does indeed address the Aztecs, but cautions us that the chroniclers whose information about Malinche appears in The Broken Spears, is decidedly one sided:

> I wish to make clear that to a certain extent, one must ponder that this information is the product of casual encounters and in many cases presents a one sided version of particular interpretations of reality and construction of events. Translations are also critical in terms of the very difficult task of transposing to another language all of the nuances of the text with their cultural linguistic weight. Taking this into consideration, I have offered comments based on the different texts offered by some chroniclers and some comparisons between Bernal Diaz's original document and Cohen's translation. (1)

So critical is the following interpretation that one can understand why Malinche may have been considered to be an Aztec, but only by the members of the Aztec nation themselves. Her linguistic ability in Nahuatl did not make her one of them, and so the accusation of treason on her part may have been based solely on the fact that the Aztecs felt comfortable with her ability to communicate in their language. She may have been ordered to translate to a group of people who spoke Nahuatl, but her motives may have been much more self-seeking than even Cortés dared to realize. Though Malinche benefited the efforts of the conquistadors, the ability to destroy the Aztec nation with her words could protect and maybe even avoid the massacre of her own people. Escribano does say that Malinche is confused about the attitude of the Mexicans when she interprets for Cortés and Montezuma:

> When Cortés seized Moctezuma's treasure house, the Spaniards' greed was grossly evident when they tore apart the equistitely made objects to extract the most valuable gold and jewels. When this happens, Malinche does not seem to understand the Mexicans' attitude toward the Spaniards…(2)

Escribano's interpretation is that Malinche's voice is that of a "Christian woman calling out for help from her fellow citizens for the Spaniards" (2), but if we read the quote cited from The Broken Spears, another interpretation is possible:

> La Malinche called the nobles together. She climbed up to the palace roof and cried: 'Mexicanos, come forward! The Spaniards need your help! Bring them food and pure water. They are tired and hungry; they are almost fainting from exhaustion! Why do you not come forward? Are you angry with them?

This moment may have indeed caused Malinche to wonder what kind of people she was addressing, but if we take into account the fact that they seemed to be Indians like herself, she may not have realized how they differed from other tribes. Malinche probably knew little about the Aztec culture (mass media would not have broadcast these individual differences to her hometown) and was surprised that they could not accept the conquistadors. The realization that the Aztecs were going to remain enemies may have dawned at just that very moment.

Therefore, it is important to know from which text this quote originates. In examining the Florentine Codex, we find that it does come from the Nahuatl translation and not the Spanish. What significance this has rests with the idea that Marina, as the Christians called her, was aware of anger on the part of the Indians only from the Nahua point of view. As we examine each translation made by Malinche, this becomes more evident as do the discrepancies between the Nahuatl and Spanish text.

In Shep Lenchek's interesting article entitled "La Malinche"—Harlot or Heroine? we discover even more support for the argument that Malinche was "…an intelligent, religious , loyal woman" (3). She contributed much to the success of the Conquest and

played a "key role" (3) in avoiding more bloodshed. She should actually have been rewarded for having suppressed the brutal Aztec dominion over the Amerindian peoples. The Aztecs, notorious for holding their prisoners from neighboring villages captive, torturing them and then slaughtering them as they wrenched their yet beating hearts from their chests, were not the sort of masters that other tribes would want to have.

In a second article: "La Malinche, Unrecognized Heroine," Lenchek does discuss Marina's role in the Conquest saying that she was born "the daughter of a noble Aztec family" (2). If this is true, then Malinche would certainly have learned Nahuatl, but she would not have had much motive to turn on a group of people she had already met and understood. She was not born in the region inhabited by the Aztecs according to Lanyon, a fact that would explain her surprise when the Aztecs do not wish to aid the Spaniards.

Then how can we justify Malinche's choices during the brutal course of events surrounding the Conquest? Contemporary studies have taken us to the brink of questioning the allegiance of Malinche, but one would have to prove without a doubt the veracity of the Nahuatl documents that point to her loyalty to one side or the other. The official manner at our disposal is, therefore, the earliest documented account of the Conquest by Bernadino Sahagún.[viii]

In order to discover exactly what these vital messages actually convey, not only what was said, one would need to compare the dialogues themselves, aligning the Nahuatl text with the Spanish text while noting any discrepancies. The Spanish may have been translated inaccurately from the Nahuatl in some cases. As León-Portilla suggests, the conquistadors may have intentionally omitted in Spanish what they did not wish for readers to understand regarding the treatment of their unassuming captives, or

simply decided that the Nahuatl revealed a variety of sentiments that only the indigenous people found relevant. Metaphorically speaking, the lost words of Malinche invite us to ponder the motives and therefore, the verisimilitude, of translation.

Beginning with the first incident in which Cortés must rely on Marina's (Malinche's) power of translation to effect his plans, there is a notable discrepancy between the Nahuatl and Spanish texts. In these instances, the Nahuatl text contains accounts of Marina's speech that when translated to English differ markedly from the same words when translated from Spanish to English. The process of examining such texts requires, mainly, isolating each speech during which Malinche is quoted and then analyzing both the translation of the Nahuatl along side its Spanish counterpart.

In James Lockhart's very thorough edition of the book We People Here: Nahuatl Accounts of the Conquest of Mexico, the translations of Nahuatl and Spanish reflect the words documented during Malinche's interpretations for Cortés. All such dialogues are contained in the same book of the Florentine Codex: Book Twelve, drafted in about 1555. The Spanish translations were written later and there is no way to determine exactly what Spanish words Malinche herself may have used. Still, one can assume the Nahuatl side of the Codex to be more accurate because these accounts were taken from eyewitnesses around the time of the Conquest. He tells us that it is important to include the Spanish text because it was "copied by a Nahua" (2) who has therefore left us a direct testimony about the comprehension, construction, and pronunciation of Spanish helping to paint a picture of the place itself and cultural interaction there. The Fransciscan friar Bernadino Sahagún, credited with compiling these texts, is considered to have rendered as accurate an account as can be expected. However, none of the texts, Lockhart admits, were

translated into Spanish right away. He explains that when Book Twelve was compiled, Spanish supervision was used to place these documents on paper and therefore Sahagún's attempts to capture the true essences of the Nahuatl meanings may have been thwarted by the mere perception of "things Spanish." [ix]

After examining two editions of the original Florentine Codex, it is accurate to conclude that Lockhart's edition of Book Twelve, in so far as the Nahuatl is concerned, is identical to other editions. Although his work will serve as the basis for this analysis, we are obliged to consider Lockhart's advice that:

> …Book Twelve is not the place to recapitulate the complex, much discussed, though not yet fully understood process through which Sahagún's encyclopedia and history of Nahua culture came into existence. Briefly, in various places and on various occasions Sahagún collected statements from indigenous people, especially those of relatively advanced age and status, having what was said written down in Nahuatl by the aides he had trained; he had his aides work over and reshape the material several times, in addition to his own reorganization of the larger blocks. The process having started about 1547, not until 1569 had most of the Nahuatl taken on a form close to that which we see in the Florentine Codex and not until 1577 was a Spanish version complete. (27)

The discrepancy between the Nahuatl and Spanish texts is of interest because Malinche did have to give this same information back to Cortés. The Spanish used in the Lockhart edition of the Florentine Codex is not spelled exactly like modern Spanish. One must take into account that there was a transitional language developing among the Mexicans called "mexicano" that seemed to blend Nahuatl slowly into Spanish.[x] Suffice to say that the Spanish used is representative of that used by the conquistadors of the period. The problem here is that Malinche may not have said in Spanish the exact words

she said in Nahuatl or that her words were purposely omitted by Sahagún's Spanish translators.

For example, the Florentine Codex gives a summary title of the first account: "Treats of how the Spaniards conquered Mexico City" (48). Though this account translates some dialogue, the first time we read actual conversations occurs after Cortés has succeeded in tying up the Indians and tormenting them. At this point we do not know who translated for him because the text does not say how or if he communicated in a native tongue. Thus, the language barrier could have been such a problem that Cortés and his men did resort to violence in order to force the Indians to cooperate. These Indians misunderstood, believing that their gods had arrived in the form of Cortés and his men. It would appear that Cortés was mistreating the Aztecs who were sure to be angered by this after having attended to the needs of the Spaniards. Without going into excruciating detail, one can construe that much fear and brutality is quoted in these translations, first in English from the Nahuatl and then in English from the Spanish:

> Ninth chapter, where it is said how Moteucçoma wept, and the Mexica wept, when they found out that the Spanish were very strong.
>
> And Moteucçoma lamented his troubles at length; he was afraid and shocked. He told the troubles of the altepetl. And everyone was afraid. (84)

> Chapter Nine, of the lament that Moteucçoma and all the Mexica made when they learned that the Spaniards were so strong.
>
> When Moteucçoma had heard the things mentioned above, he conceived a sentiment that great evils were coming upon him and his realm. (85)

These accounts do not differ significantly at first glance, but we can discern that the Spanish does not place quite as much emphasis on the shock these people are experiencing. Rather, the fact that Montezuma should expect the omens to become a reality is taken for granted. In this Nahuatl translation , and in successive translations in the native tongue, the emotions of the people are paramount. The Spanish translation appears to give us the facts, but pay less heed to the sentiments of the suffering Indians. Since León-Portilla's original intention in the publication of The Broken Spears was to elaborate on the indigenous feelings expressed in the Nahuatl accounts of the Conquest, it is possible to identify the injured parties. The "Mexica" referred to in the Florentine Codex are always the Aztecs and this fact becomes most significant in the interpretation of the Malinche translations.

On the very next page of the Codex (86), Marina (Malinche) is brought in as an interpreter, presumably to ease some of this tension between Cortés and the people he appears to be enslaving. As Lockhart's title suggests, "one of us people here" (86) is brought in, announced and reported to Montezuma. "Her name is Marina and her homeland was Tepeticpac, on the coast, where they first took her" (86) says the Nahuatl-English translation. Again the Spanish translation adds a few comments—not about how Marina is "one of them"—but about how she was a "citizen of the settlement of Teticpac, on the shore of the North Sea and said in the Mexican language everything that the Captabn don Hernando Cortés told her to" (87). Once again, the Spaniards may have deliberately omitted how Marina had an identity, belonging to the indigenous group as "one of them" instead of referring to her as some slave that they captured.

We know from the Sahagún text that Montezuma did not want Cortés to know much about him and that the conquistadors were constantly asking questions to find out what the monarch was like. Montezuma wished to flee from them, but the Spanish text seems to indicate that the monarch was "exposing himself to harm" willingly when his efforts to follow the rainmakers advice to hide fail. Compare the Nahuatl-English with the Spanish-English texts:

> What the rainmakers had said when they influenced and instigated him, confusing him and turning things around on him, when they claimed they knew the way to the above mentioned places, was not carried out, could not occur. [Moteucçoma] just awaited [the Spaniards]; he strengthened his resolve, mastered his emotions, and resigned himself entirely to whatever he was to see and behold. (88)
>
> Nothing of what the necromancers said could be verified. And so Motecçuma tried to take courage, awaiting whatever should come and exposing himself to all dangers. (89)

These words hint at the fact that the Spanish experienced much less guilt about the idea of attacking Montezuma and his tribe given that the monarch was willingly placing himself in harm's way. If this is the case, it is no surprise that Cortés also had the Indian Tlacochcalcatl to guide him along with Marina. He was clearly unable to get through to the Aztecs with any other method but violence, but the need for interpretation from the Indians could serve to buffer these conflicts-- or could it?

The Spaniards took the province of Tecoac, but how did the Tlaxcalans, an enemy of the Aztecs, find out that they were coming? It is likely that the Indian guides told them and then we discover that they are about to be attacked by a tribe called the

Cholulans. The warning of this ambush is generally attributed to Malinche, as was previously pointed out in Cypess's book. Could she warn a tribe of an Cholulan attack and still be considered an Aztec? No doubt Malinche and the conquistadors befriended the Tlaxcalans without realizing the effect this might have on their relationship with the Aztecs. The ambush actually occurs sometime before Cortés meets Montezuma face to face.

Marina now mediates as translator, but the interpretation of events has a dual nature and the Nahuatl text diverges from the Spanish. In Nahuatl-English text, Marina expresses their great esteem in meeting Montezuma, whereas in Spanish text, the idea that no "harm" will be inflicted upon the war-like Aztecs is stressed:

> 'Let Moteucçoma be at ease, let him not be afraid,
> for we greatly esteem him. Now we are truly satis-
> fied to see him in person and hear him, for until
> now we have greatly desired to see him and look
> upon his face. Well, now we have seen him, we
> have come to his homeland of Mexico. Bit by bit
> he will hear what we have to say.' (118)
>
> 'Tell Moteucçoma to console himself, relax,
> and not be afraid, for I and all who are coming
> with me like him very much; he will receive
> no harm from anyone. It has given us great
> pleasure to see him and make his acquaintance,
> as we have wished to do for a long time now.
> Our desire has been fulfilled, and we have come
> to his home, Mexico. We will speak at leisure. (119)

Then, if there will be no "harm" done, why indicate the possibility? The Spanish text appears to lessen the guilt of causing harm to the Aztecs, but Cortés has already had to protected some tribes from them. The Nahuatl text tells the Aztecs not to be afraid, but the Spaniards wish only to appease them, as they suddenly become aware of how violent

these people are. Marina discovered this when she helped protect the Tlaxcalans from the Cholulans. Marina knows that the Aztecs are not friendly, but she also knows that Cortés lied when he claimed he would do them no "harm." Following this scene, the Aztec capital is forever defeated at the festivities of Huitzilopochtli when the conquistadors slaughter them.

Then there is a moment of revelation in the life of the mistress/interpreter as she experiences the attitude of the "Mexica" first hand. After the Spanish have conquered the Mexica and taken all of their gold, we can reconsider Escribano's example when Marina jumps to the rooftop to ask for help. Now turning directly to the Nahuatl-English text of this event in the Florentine Codex, we can compare it with the Spanish-English text:

> And when the collection of all of the gold was completed, thereupon Marina summoned to her, had summoned, all of the noblemen. She stood on a flat roof, on a parapet, and said, 'Mexica, come here, for the Spaniards are suffering greatly. Bring food, fresh water, and all that is needed, for they are suffering travail, are tired, fatigued, weary and exhausted. Why is it you do not want to come? It is a sign that you are angry.' (124)

Yet, there are no words of Malinche documented in Spanish! We find instead a reference to her made in the following fashion:

> The Captain don Hernando Cortés gave orders through Marina, who was his interpreter—she was an Indian woman who knew the languages of Castile and Mexico; they took her in Yucatan. She began to call loudly to the Mexica *tecutles* [lords] and *piles* [nobles] to come give the Spaniards the necessary food. (125)

The reaction of the Mexica, then, in either language, was not to dare to approach the Spaniards because they were so afraid. The fact that there is no record *in Spanish* of Marina's question about their *anger* proves that her concern about the Aztecs was an "Indian" observation, documented by those who noted her surprise when the Aztecs were not cooperating as expected. She did assume that, like the other tribes, they would follow Cortés and attend to him, but the events are clearly different. Did Marina say that the Aztecs were angry or not? After the defeat of their capital, they were unlikely to be friendly to the conquistadors. Do we know exactly what she said in Nahuatl or is Sahagún's Codex putting words in her mouth? If the earliest documents are the Nahua manuscripts, then it is probable that Malinche felt the sentiments of her own kind, even though she was not sympathetic to them. They were not her tribe; they were her oppressors, but it does appear that she was trying to mediate the conversation, to understand the reason for the resistance on the part of these Indians.

By this time, the Spaniards have had to defend several neighboring tribes from the Aztecs as is the case with the people of Teocalhueycan. According to the Nahuatl text, the "Mexica" have caused them much grief:

> Moteucçuma and the Mexica have greatly afflicted and exhausted us, they have afflicted us in extreme measure. [Moteucçoma] assigns us all this tribute, for he is our lord and ruler. And if [the Spaniards] go and leave us, the Mexica are inhuman, very fierce if they go and leave us, if it is a long time before they come back and return, will not the Mexica have finished us off and destroyed us? For they are very fierce, exceeding in viciousness. (166)

At these words, Cortés vows to destroy the Mexica, and the Spanish text reiterates this decision. Marina consoles the terrified tribe, telling them, in Cortés' words:

> Let them not be concerned, I will not be gone long, I will quickly come back and find my way to them. Here the judgment will take place, here will be the place of judgment. The Mexica will be destroyed, let them not cause you grief. (166)

In both instances the Spanish text appears to match the Nahuatl. It is Malinche's confused, yet intuitive response to the reaction of the Aztecs that casts a doubt on her understanding of the "Mexica." Her relationship with other tribes had been different—certainly the Tlaxcalans will always thank her for their freedom from these oppressors. In any case, Malinche did discover that the Aztecs were her enemies and could not be trusted. Did she still hope that they would set aside their differences and come to an understanding with the conquistadors? Her new Christian faith and her documented messages in Nahuatl indicate that this is so. As for Hernán Cortés, the "seeing-man" referred to by Mary Louise Pratt in her book Imperial Eyes (1992), has never cast such a widespread glance through the eyes of a more sensitive interpreter.

Notes

[i] In her book, Malinche's Conquest, Anna Lanyon describes how she telephoned the Museo Nacional de Antropología in Mexico City in search of a secretary who would know about the legend of La Malinche. She was directed to an institute in Colima where she spoke to Rosamaria who described her figure with these words. (4)

[ii] Xicoténcatl was previously believed to be anonymous and was first published in Spanish in 1826 by the William Stavely Publishing House in Philadephia. In his introduction to the novel, Luis Leal has suggested that the author was most likely the Cuban priest Felix Varela.

[iii] The details of Malinche's role in a massacre of the people of Cholula will either bring praise to her for her loyalty to the Spaniards or suggest that she betrayed 'her people.' Examination of the chronicles indicates, according to Cypess, that Marina was not the only Amerindian nor the first to divulge the possibility of an ambush. (35)

[iv] Miguel León-Portilla's edition of The Broken Spears is said to be one in which 'The conquest of Mexico is freed from the triumphalist Spanish interpretations to which it has been moored for hundreds of years and set adrift in a sea of enigmas, contradictions, revisions, and discoveries when the Nahuas themselves are permitted to tell the tale their way and in their own words.' (xiv)

[v] The original manuscript written by Bernal Díaz del Castillo is in the archives of Guatemala. A copy was made and sent to Spain long before its publication there, in 1632. (11)

[vi] It is important to mention that three poems in a Nahuatl manuscript are found in the literary collection *Cantares Mexicanos.* MS 1628 bis, Biblioteca Nacional, Mexico City. For a very controversial edition in English, see J. Bierhorst, *Cantares mexicanos: Songs of the Aztecs* (Stanford: Stanford University Press, 1985).

[vii] I have examined two versions: Florentine Codex, Arthur J.O. Anderson and Charles E. Dibble, editors, U. of Utah: Santa Fe, 1975 and documents translated in We People Here: Nahuatl Accounts of the Conquest of Mexico James Lockhart, editor, U. of California: Berkeley, 1993.

[viii] Above all, says Lockhart, 'Sahagún was interested in vocabulary; he often spoke as if his work was meant primarily as raw material for a Nahuatl dictionary, and indeed he was preparing such a dictionary.' (9)

[ix] Lockhart notes the Spanish influence on the copyists of Book Twelve: 'As the Nahua copyist was consciously or unconsciously taking rather great liberties with Sahagún's Spanish, and Sahagún either never noticed or decided against revision attempts, we must ask if the role of the aides in the preparation of the Spanish version went yet farther.' (37)

[x] In the book Speaking Mexicano (1986) by Jane H. and Kenneth C. Hill, we are told of the 'Malinche' people who still speak an intermediate 'syncretic' language called 'Mexicano.' It is an indigenous American language, the ancient language of the Toltecs and the Aztecs, Tlaxcalans and other peoples of Mexico and Central America… it is often called Aztec or Nahuatl.

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"La Cenicienta" de Pereda: La huérfana de Santander

Literatura española peninsular

Presentación de manuscrito (20 minutos)

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RESUMEN

"La Cenicienta" de Pereda: La huérfana de Santander

En la novela hispana, la huérfana ha sido un personaje criticalmente olvidado. En este estudio sugiero prototipos para la huérfana Sotileza, heroína de la novela así titulada de José María de Pereda, con raíces en los cuentos folklóricos tempranos, cuentos de hadas, novelas del Siglo de Oro y arquetipos románticos, realistas y naturalistas encontrados en obras de los siglos decimonono y vigésimo.

Como una novela que representa el regionalismo español, Sotileza, publicada en 1885, nos revela una miríada de otras fuentes de heroínas huérfanas como Novelas ejemplares (1613) de Cervantes, novelas románticas, inclusas las de Charles Dickens, y de Benito Perez Galdós de las épocas realista y naturalista. Todas estas obras tienen como enfoque los personajes de parentesco incierto. Algunas huérfanas y niñas sin hogar aparecen en cuentos españoles folklóricos o de hadas. Estos cuentos religiosos y mágicos empezaron en varias regiones de España: Andalucía, Aragón, Asturias, Extremadura, León, Murcia, la Castilla Nueva y la Vieja. Otros se desarrollaron en Guatemala, México, el México Nuevo and Puerto Rico (Boggs 6-7).

En La enciclopedia de Sevilla, un cuento folklórico habla de una madrastra cruel que entierra a una niña viva (92). En otro cuento, una criada abandonada tiene miedo de viajar a solas. El posadero que la acompaña le corta la cabeza y le roba. Luego éste oye una voz que le dice que tendrá que pagar por su crimen (92). Un tercer cuento nos cuenta de una madrastra que manda a tres huérfanas de madre con el almuerzo de su padre, pero les advierte que no le den nada a la Virgen María. Las primeras dos la obedecen se envían al Infierno donde se torturan. Sin embargo, la tercera le da el alimento a la Virgen y se envía al Cielo (94). La mayoría de estas heroínas siguen siendo ejemplares e inocentes aunque estén abandonadas y sacrificadas.

La huérfana, como en los cuentos folklóricos, es victimizada. Ella connota una imagen humilde como un personaje que es maltratada y malentendida. Sugiero también que la impresión virginal o

"pura,"creada por las huérfanas tenga sus principios en estos cuentos. Las huérfanas descendientes de la tradición oral a menudo están vinculadas al tema del sacrificio por el amor de su religión.

Otro prototipo humilde por la huérfana es el personaje familiar encontrado en el cuento de hadas, tale, La Cenicienta. La Cenicienta tiene una vida triste hasta que esté reconocida digna del amor de un infante. Su estado nuevo, como socia de la corte, la caracteriza como una heroina huérfana idealizada. En contraste con las huérfanas folklóricas, ella es una joven artistocrática que vive en el medio ambiente de la corte. Este personaje de princesa es antecedente de la heroína romántica idealizada. Ella también es ejemplificada por las heroínas de Miguel de Cervantes, quienes desempeñan papeles fundamentales en el desarrollo de las caracterizaciones de protagonistas huérfanas. Novelas ejemplares es una fuente de tales heroínas ejemplares.

Las huérfanas románticas en la novela hispana seguramente se han inspirado por personajes de las novelas de la segunda mitad de los siglos dieciocho y diecinueve como la novela francesa de Victor Hugo, Notre Dame de Paris (1831). Las huérfanas de Charles Dickens en las novelas después de la Revolución Industrial tienen un influjo importante sobre el desarrollo de la huérfana en las obras realistas.

En Sotileza, la huérfana hereda los rasgos de un ser victimizado de sus antecedentes de los cuentos folklóricos. Aun tiene prototipos que descienden de una versión china de La Cenicienta del siglo noveno y en el cuento décimoséptimo de Giambattista Basile titulado Cenerentola (The Cat Cinderella.) El carácter honesto, idealizado y sensible de Sotileza propone una variedad de comparaciones con las heroínas huérfanas ejemplares de Cervantes y con la huérfana dickensiana, como en David Copperfield.

La huérfana Sotileza aparece por primera vez entre un grupo de otros niños que se van juntos para ver a su maestro el Padre Apolinar. Su patio de recreo mutual incluye el puerto y el muelle Anaos en el viejo pueblo de pescadores, Santander. Sotileza, entonces llamada Silda, es la hija del recién muerto Mules, un compadre del marinero llamado Mocejón cuya familia la adopta. Mules les dejó muy poco dinero para pagar el cuidado de la niña, pero la vecindad le ofrece ayuda monetaria a cualquier familia adoptiva escogida para cuidar a la huérfana. La Sargüeta, la mujer avara de Mocejón ve una oportunidad para usar los fondos para ayudar con los gastos de su propia familia y ofrece cuidar a Silda.

La familia adoptiva de la huérfana vive en un barrio sucio y la tratan como si fuera una intrusa. Mocejón y su mujer viven en el quinto piso de una casa en la Calle Alta con trece otras familias (90). Silda duerme en un rincón cerca de un montón de redes de pesca con una manta vieja. Tan pronto como los Mocejó hubieran gastado los fondos, no les queda nada para darle a la huérfana. Le sorprende a la niña la manera vulgar en que come su familia adoptiva y la castiga cuando ella no imita su ejemplo deplorable. A diferencia de los otros, Silda es diminuitiva, rubia y delicada pero con rasgos aguileños. Su apariencia la distingue de la madre Mocejón y su hija Carpia. Las dos mujeres son feas y antipáticas.

Andrés, un pretendiente futuro, la pone a Silda sobre un pedestal a pesar de su medio ambiente miserable. Él reconoce la situación triste de Silda y la conduce a la casa del Padre Apolinar. Andrés, el hijo de un capitán de la clase alta, la ayudará a mejorar su vida. Otro joven, Muergo, admira a Silda. Éste vive con su tío Mechelín y su tía Sídora. Es esta familia que por fin va a cuidar a Silda mientras llega a ser una mujer madura. A Muergo lo considera monstruoso, estúpido y feo. Mientras que Andrés aprueba del interés en buenas costumbres y la elegancia de vestirse, irónicamente, Silda prefiere la humildad de Muergo. Ella también es capaz de dominarlo porque éste la idoliza. Sin embargo, se puede comprender su amistad con Muergo porque ambos están acostumbrados a un tratamiento semejante como huérfanos. Al morir el padre de Muergo's, su tío Mechelín y tía Aunt Sidora deciden cuidarlo porque han observado que su madre lo descuida y lo deja andar por las calles medio desnudo. Y, como sus tíos no tienen sus propios hijos, también les interesa la niña Silda.

Cuando por fin la huérfana decide irse de la casa de los Mocejón, la tía Sidora le ofrece su casa. El Padre Apolinar va a ver a los Mechelín porque piensan cuidar a Silda. Aunque no sea conveniente, ellos lo consideran un acto de la caridad cristiana si llevan a la niña para que se aleje de la casa de los Mocejón. Ahora se nos presenta la palabra "sotileza" que se explica como "alambre más fino en que debía terminar el cordel" (109). La huérfana Sotileza recibe este apodo como recuerdo de la “sutileza" o la calidad fina que describe su belleza fisica así que sus modales. La joven es rebelde y muestra un genio frío, pero esta hostilidad viene del tratamiento malo que ha recibido. Como sugiere su nombre, Sotileza les responderá bien solo a los que comprenden que ha superado los abusos de su pasado.

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Title: A REVOLUTION IN VISUALIZING THE EYE: THE OPHTHALMOSCOPE

Topic area: History

Presentation format: Poster session

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Abstract for: *A Revolution in Visualizing the Eye: The Ophthalmoscope*

A poster session by James Blain

The ophthalmoscope, invented in the nineteenth century, represents a historical shift in eye care to scientific, objective methods; it helped modernize European and American ophthalmology and optometry. This instrument, "planted" in this country before the Civil War, elicited various responses as its use widened throughout the medical and paramedical ranks in the United States.

Some medical historians and even practitioners ascribe to the perception that medical technology has to some extent contributed to impersonal care and to physicians trusting machinery over their own senses and intuition, but the ophthalmoscope and other precise, noninvasive instruments advanced all aspects of eye care and provided a scientific method of diagnosing and treating visual problems. It ultimately contributed to the growing acceptance of optometry as a professional specialization in eye care by both the public and the medical community especially during the Progressive Era, a pivotal time in our country. The use of the ophthalmoscope and a other diagnostic instruments was a litmus test for the acceptance of truly modern, professional methods in health care.

USING COMPUTERS
TO CREATE SPATIAL SEQUENCES IN PLACE DESIGN

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USING COMPUTERS TO CREATE SPATIAL SEQUENCES IN PLACE DESIGN

ABSTRACT

Computers must be used within landscape architectural design processes as a tool for concept development. For the past three years I have been testing different approaches in the use of computers in design in order to find the advantages and opportunities of electronic media as a means for early visualization of three-dimensional spatial sequences for the design of outdoor places.

There are several projects used during the semester which employ computers at different stages of the design process. One of these projects, entitled *A Spatial Sequence*, builds on previous studio projects while incorporating the knowledge gained directly from the computer class—taught in tandem with this first-level graduate design studio. The project asks students to create spatial archetypes based on the work of prominent landscape architects. As represented in the work of a particularly well-known designer, students explore the following topics: relationships between major and minor spaces, approaches and entries into the site, and spatial transitions and threshold. Following an in-depth analysis of these topics as interpreted by the particular designer, students are required to create digital models to further explore design elements and relationships for use in the development of spatial archetypes based on the principles of design used by the individual designer being studied. Before committing to a final physical model, students look at the transitions between spaces by creating a sequence using a digital model to produce a series of eyelevel views that show the flow of spaces. In this manner, computers used within the design process accelerate the exploration of design options available to students by giving them an early visualization tool. This helps students accelerate their understanding of three-dimensional space in designing compelling and useful outdoor places.

USING COMPUTERS TO CREATE SPATIAL SEQUENCES IN PLACE DESIGN

VISION OF OUR DAILY LIFE

In the afternoon, after having lunch, John goes into his studio class, in which the other three members of his team are waiting. The four students take their laptops and leave for the site on which they are designing a visitor's center for downtown Tucson. Once at the site they take pictures, using a digital camera, from different angles of the site. These pictures will be converted into image files to be used in the presentation of their solution to the studio problem when they create a 3D model of the context for the visitor's center they are designing. While at the site they realize that they need some information about the location of different spaces given in the program. Using one of their laptop computers and a modem connected to a cellular phone they send a message to their professor back in studio. The professor gets the message through E-mail and sends the information that they need to complete their site analysis. After returning to the studio and connecting through their laptops to the internet, each of the members of the team access image libraries from other universities in France, Denmark, Mexico, and Germany to find projects similar to the one they are designing. With the research done, they can analyze the projects for conceptual ideas to help develop their own. That evening in his dorm, John logs in to the campus network and checks his electronic mail; he does a literature search and places a hold on a book that he needs for his environmental analysis class. Since he still has some doubts about some concepts discussed in his morning lecture, he sends them to his structure professor through E-mail.

INFORMING THROUGH BACKGROUND.

The master's program in the School of Landscape Architecture at the University of Arizona has a three year curriculum that is designed to prepare the students to become professional landscape architects.

The students that go through the three-year program come from very diverse backgrounds. Most of them come from environmental or scientific fields, but there are some that come from the social sciences as well as the liberal arts. A large percentage of the students are in the program to start and/or change their career and bring with them the experience from the field that they have been working in for the last few years. Another common thread is the little to non-experience in drafting and/or representation of their ideas through some kind of graphic language as well as very little experience with Computer Aided Design (CAD) programs. During the first year of our program the courses are designed to give students a comparable preparation in skills and design language to an undergraduate in the field of landscape architecture. More specifically the design studio in the first semester encompasses all the basic design elements and principles that students will need to compose and communicate their design ideas in the following design studios.

Part of the philosophy of this course is to explore and design solutions to different problems using three-dimensional elements such as physical models, perspective sketches, digital models, and animations to communicate students' ideas.

The initial projects of the semester familiarize students with the vocabulary basic to all design fields. Then two sequential projects introduce students to ways of analyzing and understanding design work done by others. These exercises, which depend upon the vocabulary introduced in early projects, are meant to provide models for the students' own design processes and attempts at self-criticism. "Analysis of Precedent" requires the study of the work of a renowned landscape architect and the organization of a coherent visual analysis. To quote from one of the required texts for this problem:

> *"The intentions... are to assist the understanding of architectural history, to examine the basic similarities and differences of architects' designs over time, to identify generic solutions to design problems which transcend style, and to develop analysis as a tool for design. Of importance is the development of a vehicle for the discussion of design ideas through the use of example.*[1]

Each student chooses a landscape architect from a list provided by the instructor and works through the available drawings and photographs to form a set of diagrams that describe the place in terms of the design principles with which they are already familiar, as well as in terms of organizational, structural, and conceptual issues. They learn to communicate the important ideas and salient features of a project. They learn to look at the integral components of a project as well as at the project as a whole. The learning-by-doing exercise of preparing the diagrams from raw materials causes the analysis process to register with students in a way that can have permanent implications on their own design processes. The analysis skill of generalizing from a specific example allows them later to develop specific original ideas from a general diagram. They also learn a design strategy of decomposing a complex problem into smaller problems, solving the small problems, and recomposing the small solutions into an overall resolution.

"A Spatial Sequence" asks students to extend their understanding of one project to encompass the several projects of the chosen landscape architect's work. Before the integration of the computer into the design studio, students were required to construct three-dimensional study models of spatial events typified by the landscape architect's work and present them with an annotated catalogue of the actual built examples. After this typology study was completed, students assembled a spatial sequence in the manner of the designer they had studied. The emphasis was on the awareness and

understanding of the ways in which various landscape architects choreograph human movement through space. Students searched a landscape architect's work for examples of major/minor space relationships, approach/entry spaces, and transition/threshold spaces. Through drawing and model-building, these spatial events were documented and catalogued, thus bringing them into the students' own working vocabularies for consideration during their own design efforts. The formal issues of axis, circulation, spatial hierarchy, and spatial organization illustrated two-dimensionally in “Analysis of Precedent” along with the examples of sequences of space were brought to three-dimensional life as students physically interpreted and constructed the study models. The models were then used to mock up various "new" spatial sequences as students composed in the manner of the master they had studied. The creative exercise that culminates “A Spatial Sequence” makes the link between the learning and the doing by asking students to use what they have absorbed in an original way.

When “A Spatial Sequence” was accomplished by handcraft alone, the students gained experience in building study models and sketching perspectival space from plans, sections, and their imaginations. Despite the value of learning to commit one’s imagination to paper, there were many frustrations involved in this process. The first efforts at perspective drawings yielded distorted views of spaces with inaccurate proportions and barren context. Very often the limited time for the project did not allow for careful reworking of perspective drawings until the space portrayed finally resembled the design intentions. Missing from the students’ repertoire of skills was a way to swiftly “look’” at the spaces they created in order to revise the sequence as part of the design investigation. Usually their first attempt at designing a spatial sequence was the version they turned in for review. Another frustration was the inability to change scale as they worked in study model form. Once committed to a certain scale, all the models had to cleave to that decision, or the sequence appeared to be some assemblage of spaces that grew and shrank like Alice in “Through the Looking Glass”. These limitations have been part of the learning process for ages, and are, arguably, necessary steps in the cycle of learning-from-doing.

CASE STUDY

As with the previous incarnation of this exercise, the pedagogical goals for this project were to broaden the students' knowledge of the work of a well-known landscape architect and use this knowledge to understand spatial typologies. Once again, they were asked to revisit the work of the landscape architect they had studied in the Analysis of Precedent exercise. They searched for concrete examples of such abstract spatial events as "transition," threshold" and “approach,” entry” and “major/minor space relationships." Three-dimensional diagrams were produced to translate the

concrete examples found in the landscape architects' work to simplified models that described the essence of each spatial event.

figure 01

figure 02

figure 03

Parallel to this exercise, students were introduced to the fundamentals of SkechUp, a three-dimensional modeling software, and they learned to create perspective views in sequence of three-dimensional models. This enabled them to build digital three-dimensional models that resembled their physical study models and link them together. Using this method, the students created a series of shots from different points of view within the digital model they created for their design studio assignment to study the sequence of spaces.

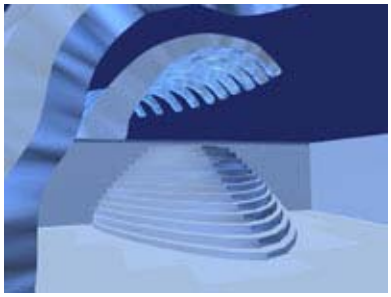
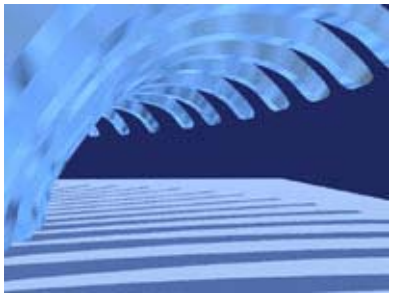


figure 04



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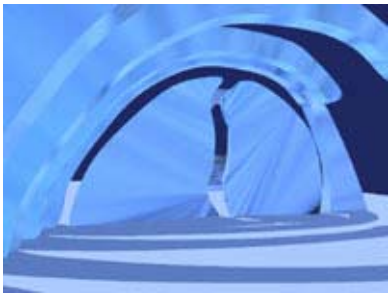

figure 06

The process of linking the spatial events was guided by the directive to begin with an entry/approach event, continued with a transition/threshold event, and used a major space as the culmination. Through this exercise, the students began to make decisions about the assembly of spatial archetypes into a coherent and meaningful sequence.

figure 07

As with the physical models, the digital models allowed them to try and test their ideas rapidly by interchanging the order of the pieces. But the digital models had the advantage of being able to be replicated, changed in scale, and rendered to suggest materials and light qualities that were in the mind's eye. This accelerated the exploration process and enhanced the creativity brought to the project, as the students became enamored of their own work.

The excitement that grew within the studio/computer collaboration caused these students to work longer and harder on this exercise than previous groups had. The tangibility of the spatial sequences that were brought to life with the three-dimensional modeling led to further development of ideas about light, materials and lived experience.

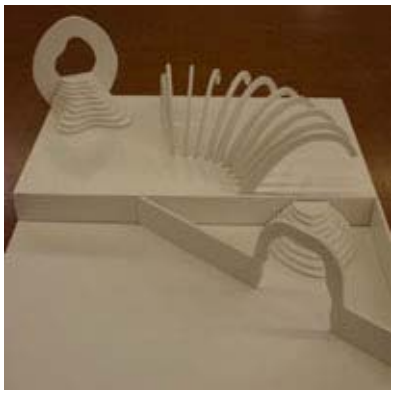

figure 08

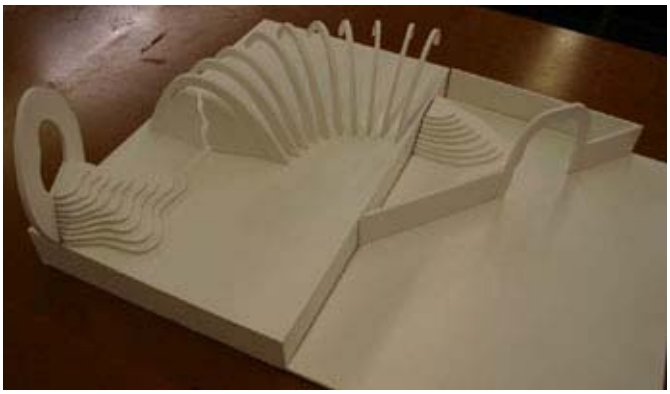

figure 09

The requirement of building a linked set of views for the computer class assignment also drove the necessity for new computer skills and cemented their development. When the digital images were printed out and used as components of the physical presentation for the studio review, the level of graphic presentation was observed to be much higher than with previous student groups. Therefore, the studio assignment and computer assignment worked simultaneously to build new skill sets and new design process ideas. The mutual benefit of the collaboration was obvious to the studio faculty.

CONCLUSIONS

It has become very evident that to bring computer skills into the design process of studio, the instructor generating these studio assignments must understand from the beginning how the computer and software application will interact with the assignment. The goals of the assignment will establish the use of computers to enhance the traditional methods of solving problems in the studio environment. For the case study illustrated here, traditional problem-solving methods included learning to communicate the important ideas and salient features of a site, learning to look at the integral components of a project as well as at the project as a whole, documenting and cataloguing spatial events, and gaining experience in building study models. Computer-enhanced problem-solving methods included manipulating the cone of vision in a perspective view of three-dimensional models (thus enabling them to build digital three-dimensional models that resembled their physical study models and link them together), visualizing the virtual space and moving through it, maintaining a consistent eye-level as they moved through the virtual model, creating perspective shots based on the digital model and the movement through it, and making the intellectual translation from a virtual model to a physical presentation model at an architectural scale.

The coordination with the supporting computer skills, if any, has to be established in a timely manner. It is also useful, although not imperative, to have the same faculty involved in the studio as in the computer course. The continuity of thought, the confluence of goals, and the creation of challenging projects are best achieved with faculty who can participate in the realms of both the studio and the computer lab.

Image Captions

01 Archetype model (approach)
02 Archetype model (transition)
03 Archetype model (major to minor space relationship)
04 Eye level view of digital model (threshold)
05 Eye level view of digital model (transition)
06 Eye level view of digital model (threshold)
07 Space sequence animation (still frames)
08 Physical model interpretation of the virtual model
09 Physical model interpretation of the virtual model

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[1] Clark, Roger H. and Pause, Michael, Precedents in Architecture. (New York: Van Nostrand Reinhold, 1996), p. i.

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TITLE PAGE

1. **Thoreau's Number and Other Measures: Value and Visibility in Humanism**

- Architecture

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ABSTRACT:

Thoreau's Number and Other Measures: Value and Visibility in Humanism.

Just as childrearing and homemaking have been historically financially undervalued, so also there are other aspects of our human condition which remain more or less invisible to the corporate world and its traditional "bottom line" methods of measuring resources and potential. Since in our society housekeeping spouses and child-rearing parents have not been paid wages or other taxable income for these services, economists and financiers often regard these essential human actions as economically invisible. However, there are critical situations where such invisible value must be made manifest to realistically evaluate and resolve fundamental problems of human existence.

This report undertakes to present three case-study situations at three different scales of analysis to propose and demonstrate effective methods for finding value through combinations of physical realities generally overlooked in many traditional economic indicators.

The first case study, *Pennies from Heaven*, develops a measure for generating national wealth as a function of geography. It was prepared in response to issues raised by a director of the United Nations' Economic and Social Council, in which some developing countries in the world are so poor that they do not even have resources to offer as collateral for development loans from international agencies like the World Bank and the IMF. Looking at the national infrastructure potential in terms of how much solar energy falls within its national boundaries, we were able to configure the economic as well as physical dimensions of a national solar power grid for the Central African Republic, a landlocked Least Developed Nation.

The second case study, *Jefferson Dollars*, offers a measure of regional cultural potential as a function of available open space (site) independent of current ownership, zoning or political jurisdiction. Supporting the initiatives of the County Executive for Nassau County NY, we identified needed elements such as zoo and theme park, and rendered these as plan elements of existing types (the Bronx Zoo, Six Flags) without attention to detailed design development through maps and aerial photographs to the same scale as the proposed Nassau Hub site. These elements can be easily reformed and relocated, either digitally or magnetically, to promote easy visualization of alternate proposals. They may well prove useful to political and social discourse at local and regional levels.

The third case study, *Thoreau's Number*, is a measure of life time as a function of dwelling construction and ownership cost. This line of thinking has led to at least one proposal for re-planning the basic suburban settlement pattern, a design study called "home for Generations".

These methods attempt to extend a basic skill of the architect, which is to be able to visualize available spaces and program volumes in scale to each other, in developing universal design solutions for human habitation. Architecture can be an act of loving human kindness when people's needs (the program) are matched to people's means (the budget of materials) and to the opportunity of the place in its time (the site). But too often the end results can obscure these simple conditions. When the career goals of fame, fortune, and happiness become personal goals rather than the outcome of a design process that resolves issues for potential users, a "trend-setting" work may provide little lasting value to our society at large. What may be needed is to establish measures of architectural success in ways that make vivid the values of humanist intentions and actions. The case studies described below demonstrate some ways to measure humanist interventions in economic and financial terms throughout he many stages of a project's design and development.

Case Study 1. *Pennies from Heaven*

Certain parts of the world are so poor that the annual per capita budget is less than $00 per year. Beyond the poverty of the individual inhabitants, some countries are poor in natural resources as well. They may lack tillable land or industrial raw materials, suffer desertification, or be without natural harbors—or even any seacoast at all. When these conditions are all found in the same locale, the result is extreme personal misery combined with little prospect of improvement. Among the United Nations' designated 50 Least Developed Countries, LDC's, which have been the focus of the 2004 United Nations Economic and Social Council (ECOSOC) High Level Conference, are some nations so poor in resources that they cannot secure international development loans from the World Bank or the International Monetary Fund. Very simply, they lack collateral for such loans.

This problem was presented to the author by the Chief of ECOSOC and Interorganizational Cooperation Branch. Together, we explored an alternate approach to the problem. Since every square meter of the surface of Earth receives its share of sunshine, if even a small part of this gift could be converted into electric power, the geophysical identity of a nation itself may become a source of power. By calculating the total land area, and computing total available insolation (using NASA figures), it was possible to estimate the total available photovoltaic potential of this landlocked equatorial country. Making assumptions about percentage of land use and efficiency of energy conversion to an actual power grid, and computing the value of a unit of electric power in industrial world terms, it is possible to generate realistic estimates of "mortgage-able" collateral for international loans for economic development.

Thus we developed a measure for generating national wealth as a function of geography. We applied the ideas to a particular test case: to propose a solar power grid for the Central African Republic, one of the least developed of the Least Developed Countries. We sought to create the basis for a bankable collateral resource in a landlocked Least Developed Nation. This work was undertaken by the author as a conference participant in New York City at the June 2004 High Level Segment of the Substantive Session of the United Nations ECOSOC Conference on the Least Developed Countries.

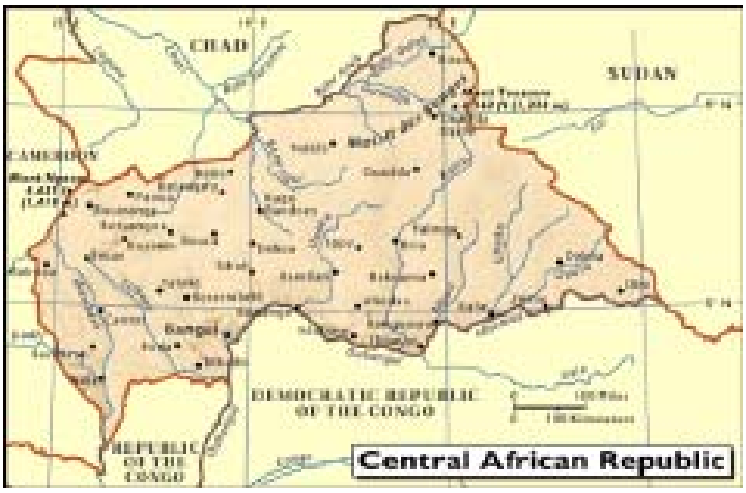
The Central African Republic has nearly 4 million people estimated population. Its land mass is located very close to the Equator, at the southern edge of the vast African Sahara Desert. Its total rainfall is about 60, and more than 60% of the country is deforested. It has no major lakes or seaports. Its area of 622,980 square kilometers seems to offer little for investment. Yet we found in these conditions a reason to hope. Using NASA figures for solar insolation, we estimated that the total daytime solar energy falling on the country a year is over 600 trillion kilowatt-hours per year. The total possible value of this annual solar energy might be as much as $86 *trillion* per year. But unlike Mr. Burns of the Simpsons, we did not seek to put the whole country in perpetual darkness. Assuming only 1% of total land area is used for photovoltaic conversion, and assuming a maximum of 10% efficiency in the collectors, and assuming 80% of all possible income is needed for capital investment and maintenance, still gives a potential annual income from solar power of $10 billion a year. Compare this figure to the Central African Republic's 2001 Gross Domestic Product of $907 million.

An annual income from solar power of $10 billion a year is what the Central African Republic can offer to the bank as protection of investment, in other words, collateral on a loan. Or, if the Central African Republic chooses, half this figure could be offered to investors, and the other half could be used to produce almost 8000 kilowatt hours per year per person for each of its nearly 4 million citizens. This is very close to first world electric power production and consumption.

Developing Solar Energy
As Collateral for International Investment
Central African Republic: A Case Study.

Central African Republic (C.A.R.) FACTS:

population in 2002 (projected) 3,844,000
area = 622,980 sq. kms = 622,980 x 1000 x 1000 meter^2
= 622,980 million = 0.62 trillion m^2
rainfall: 59 inches a year. landlocked.
capital: Bangui @ ~3.5° N latitude and about 20° E longitude



at the equator, 1/2 the hours of the day are sunlit, the other half is dark night.
At average C.A.R. latitude and longitude, (from NASA), the insolation (amount of sun energy falling) is:
5.4 kwh/meter^2/day (from NASA)

1. Total daytime solar energy falling on the country a year is:

= 5.4 kwh/m^2/day x 1/2 (365 days) x 0.622,980 trillion m^2
= 613.9 trillion kwh/year.

2. Figure the total possible value of this annual solar energy:
assume average charge for domestic US electric use is about 0.14$/kwh (from author's LIPA bill).
= 613.9 trillion kwh/year x 0.14$/kwh
= 613.9 trillion kwh/year x 0.14$/kwh
= $86 *trillion*/year

3. C.A.R. is 63% non-forested. Assume using only 1% of this available land, at 10% max efficiency.
Total annual value of solar power at 10% efficiency on 1% of available non-forested land:
= $86 *trillion*/year x 0.63 x 0.01 x 0.1
= $0.05 *trillion = $50 billion per year.*

Assume capital and maintenance costs = 80% of income. Thus net annual solar income is:
= *$10 billion per year.*

Compare to C.A.R. GDP (in year 2001) of $907 million.

4. Assume US average per capita electricity use ~10,000 kwh/yr. If half the net annual solar income goes goes for development collateral, and half goes to domestic C.A.R. electrical use, then:

= $5 billion per year net annual national solar income

and

= *1/2 x* 613.9 trillion kwh/year/10,000 kwh/year/person
= 61.39 billion kwh/year / 3.844 million people

= 7986.5 kwh/yr/person

- very close to first world electric power standards.

Case Study 2. *Jefferson Dollars: The Potential of Empty Land*

Nassau County New York, home of Levittown, was the first major American post World War 2 suburb. As it has matured, most of its available landscape has been filled with developments of single family tract houses. Together with Suffolk County, its Long Island companion, its combined population would make it the 8th largest city in the US. Yet it lacks many urban amenities, including a zoo, baseball stadium, central park, central public library, and theme park. In addition, public transport between many parts of the county is almost nonexistent. However, in the center of the county, is a last resource of open space, roughly 4 miles on a side, bigger than downtown Boston! Miraculously, amidst millions of tract home dwellers, this "empty" area offers room for many if not all needed services and amenities. An aerial view makes vivid the density contrast with its neighboring bedroom communities. Yet this flat 16 square mile tract of fallow shrub and grassland or paved parking and roadways is virtually invisible to the many people who move through it each day.

The new County Executive, Mr. Tom Suozzi, has identified the Nassau County Hub as a region for new economic and cultural development for the County. He has conducted many public meetings and planning sessions to discuss possibilities for the Hub, and to review the plans generated from these discussions. A complex set of jurisdictions find many overlapping town village and county interests as well as private and public investors each control parts of this real estate, and all need to be willing to give a little to gain more in a comprehensive proposal. After discussions with the County Executive and his Director of Planning, Ms. Patty Bourne, the author and a student, Mr. Anthony Pisano, took on the challenge to devise a method to make visible to all political constituencies both the land potential of the site and the dimensional requirements of the cultural elements without prejudicing a particular design approach of the arrangement of these elements.

The method developed is relatively simple but highly effective. We identify needs like zoo or theme park and render them as plan elements by using either aerial photographs or the to-scale maps provided in brochures. Then we set these to the same scale as the aerial view of the entire Nassau Hub site. We provide the means to move the plan elements around digitally in AutoCad or Photoshop, or physically with photo magnets of the elements on a site plan mounted on a metal board. This approach offers a graphic means to measure regional cultural potential as a function of available open space independent of current ownership, zoning or political jurisdiction-- while making cultural possibilities visible to constituents. "Do you want a zoo? How big? Do we have room? And what should be nearby?" are important questions that can be explored rapidly and the results made vivid to the general public quickly and easily.

Case Study 3. “Thoreau’s Number”

Taking inspiration from Henry David Thoreau’s notes on “Architecture” in *Walden*, and his attempt to live simply at Walden Pond, we explored a measure of life time as a function of dwelling construction and ownership cost. This line of thinking has led to at least one proposal for re-planning the basic suburban settlement pattern, a design study called “Home for Generations”.

How long a dwelling may be lived in compared to how long it takes to produce that dwelling is a measure of habitable space in terms of human time. This proportion may give an indication of the value of spirit in a particular culture, because clearly it is to a person's advantage to spend as little time as possible in erecting a shelter as there are many other things to do, especially in cultivating body, mind, spirit-- which are endless and ever-rewarding humane pursuits. These might include some defense against marauding armies, community celebrations, or speculation, wonder, and discovery. It is in honor of this last possibility that we choose to call the proportion Thoreau's Number, and represent it by the last letter in the Hebrew alphabet, ת ,Taf.

$$= \frac{\text{NET inhabiting}}{\text{NET constructing}}$$

when N = number of people, E = energy, and T = time. By this formula, for Thoreau himself:

$$= \frac{\text{1 man (60 years lifetime)}}{\text{1 man (3 months salary + 3 months construction)}}$$

$$= 120$$

using Thoreau's own reckoning that by spending only \$28.12 $^1/_2$ and 3 months of his own labor he demonstrated how to produce a "shelter for a lifetime at the expense of one's annual rent."

A typical American wage earner might work 10 years of his or her life to pay for a mortgage on house that might last 30 years for spouse and children. In this case:

$$= \frac{\text{4 people (30 years)}}{\text{1 person (10 years salary for mortgage)}}$$

$$= 12$$

Thus, for every hour of free time the wage-earner has, Thoreau might expect 2 $^1/_2$ hours. But even Thoreau seems to devote far too much effort to the problem compared to the elegant solutions of the Congo Pygmies:

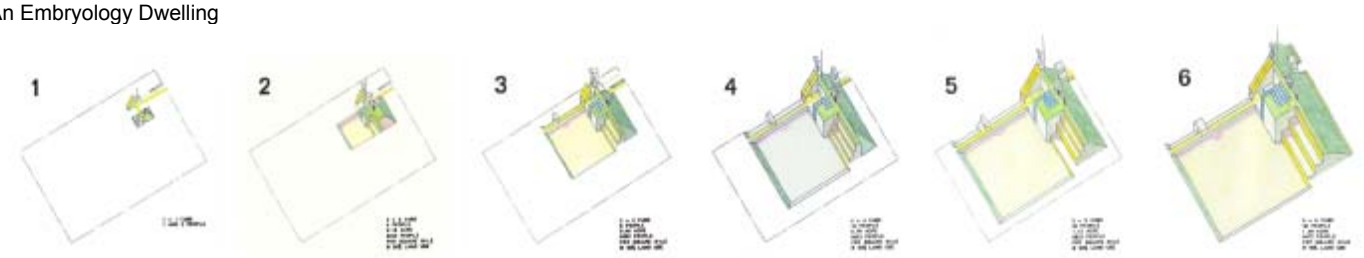
$$= \frac{\text{2 people (up to 10 months)}}{\text{1 person ($^1/_2$ day or .0167 month)}}$$

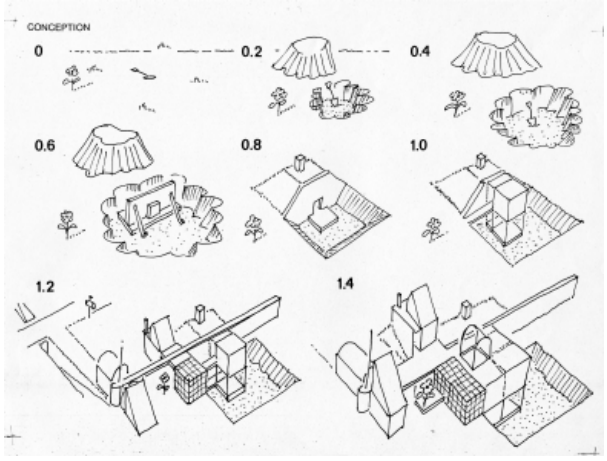
$$= 1200!$$

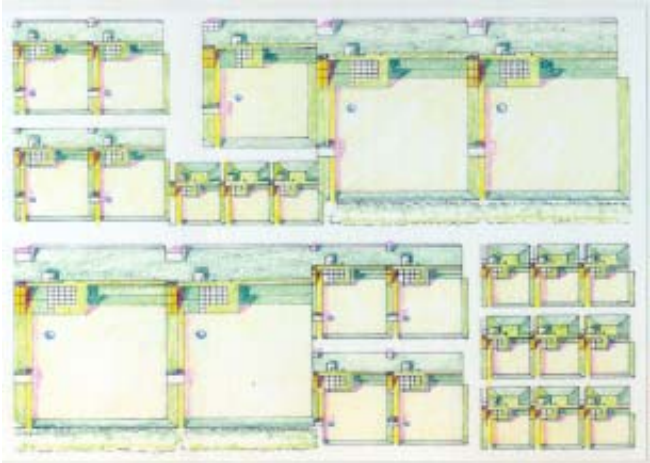
In terms of dwelling, Pygmies emerge as true philosophers, for they have learned to live simply.

Such thoughts have led to an architectural investigation of alternative settlement patterns for middle density dwelling areas, the typical suburbia we know around our cities today. Shown here are some of the design results that follow from investigating how to make dwellings in phases that are friendly to the minimal needs and economic resources of new young families, and that grow with their growing homes over time. In other words, these designs seek to show how architecture can help to minimize mortgage payments and maximize space when most urgently needed. This concern, combined with attention to life safety, universal access, minimum environmental impact, and maximum control over personal spaces has given rise to a scheme of phased construction for extended family groups we call Home for Generations. Shown below are a few of the hundreds of studies for this project which have led to a precisely dimensioned and coordinated set of building components matched to precise site intervals for competitively priced land use densities and construction costs.

An Embryology Dwelling







TITLE - American Art Songs of Five Black Composers

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ABSTRACT - Our presentation will be a lecture/demonstration format which focuses upon the art songs of five black composers.

As educators, it is important to introduce students to the artistic contributions of all segments of society. Black composers

constitute a significant segment of art music in America and it is important to recognize their contributions and also experience this

music. We will discuss the unique characteristics, in both the vocal and piano parts, in terms of musical elements, poetry choices

and the philosophical, social, political, and personal influences that shaped the music of these composers. The performance works

are: "Three Dream Portraits" by Margaret Bonds, "Love Let the Wind Cry" by Undine S. Moore, "Songs of Separation" by

William Grant Still, "Early in the Mornin' " by David Baker, and 'Youth Sings a Song of Rosebuds' and 'Joy' from the song cycle

"Songs on Love, Rosebuds and Death" by Dorothy Rudd Moore.

HAWAII INTERNATIONAL CONFERENCE ON ARTS AND HUMANITIES

Proceedings Submission (Abstract)

Title: Exploring Ritual Behavior in the Irish Neolithic: A Dialogue between Archaeology and Theatre

Topics: Archaeology, Theatre

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Abstract:

Religious or ritual activity is difficult to determine from the archaeological record, and not all belief systems are reflected in material cultures. Archaeologists are trained to examine the evidence and to try to determine meaning from what remains. They analyze artifacts, bones, pottery sherds, etc. in the context of a specific environment to determine the nature of the human behavior represented. Analogously, actors are trained to take a text with given circumstances, embody a character, and create behavior and purpose based on interpretation ("given circumstances" are the facts given by the playwright - events, epoch, time and place of action, conditions of life, etc.). They use artifacts of the stage: a ground plan/setting representing the character's world, properties consisting of personal effects belonging to the character they are creating (a pocket watch, a phone, a pen, etc.). Actors explore their character's behavior through using those objects in a specific environment to help reveal aspects of their character's persona and their relationship to the world of the play. Both the archaeologist and actor are charged with trying to work backwards from the artifacts, properties, environment, to reveal the personal objectives that led to the evidence that we see.

We have been examining links between archaeology and theater, and how theatrical processes can illuminate and flesh out the material remains of archaeological culture. Specifically, we are focusing on the evidence from an excavated Irish Neolithic court tomb (3500 BC) which reveals the site to be a center of community ritual. This paper will report the findings of a series of workshops to be conducted in Fall 2004 with a select group of performers. The workshops will be structured to examine the nature of ritual through exploration of environments, objects, and personal objectives using improvisational techniques of the theater to develop possible ritual scenarios and actions. These workshops will culminate in a specific improvisational exploration of the evidence and environment of an Irish Neolithic court tomb. The actor's "text" will be the ground plan of the chambered court tomb, properties that are representational of the found artifacts, and extensive background material on peoples of the Irish Neolithic. Using these elements, the actors will have a playtext that they can use as a foundation to explore possible behavior and purposes behind the ritual evidence.

The results we anticipate will illuminate the study of archaeology by revealing what the archaeological record can't. That is, how can one discover the human spirit behind the material evidence that remains, or reveal a more personal purpose behind the inspiration and behavior that led to these ritual activities? In this way, theater and archaeology can contribute to furthering interdisciplinary studies in the arts and humanities.

1. **On the Radicalism of Coal Miners in the Early Twentieth Century**

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On the Radicalism of Coal Miners in the Early Twentieth Century

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1. Introduction

It is often the case in historical research that data needed for a particular study were never recorded. If such data are cell frequencies from a contingency table, and the marginal frequencies were recorded, then under some conditions, it may be possible to recover the cell frequencies. Such a procedure goes under the heading of ecological inference. We stress that the assumptions are critical. If they are not met then it is not possible to recover the cell frequencies. Following Goodman (1959), we use the term "ecological" to refer to the grouped state.

In the early 1930s, a civil war erupted in the coalfields of southern Illinois. This shooting war was between coal mine managers, owners, their soldiers (mine guards, strikebreakers, local law enforcement officers, and often the Illinois National Guard) and mine workers. As has been discussed previously (Booth 1983), the conventional wisdom has been that the war pitted very radical coal miners against the more conservative owners and managers. In this view, miners were considered radical because of their strong union activity. Alternative views are possible. One such might be that miners banded together in unions to protest and ameliorate low wages as well as poor and unsafe working conditions in the mines. The purpose of the present study is to examine exactly how politically radical the miners were by using ecological inference methods to look at the strength of miners support of Socialist candidates in southern Illinois.

We wish to consider whether or not there was a difference in the proportion of support for socialist candidates between coal miners and non-coal miners in a ten-county region of Southern Illinois in the early twentieth century. If there was such a difference, we wish to know if there was any variation by geographic location. Such an approach can be based on historical voting records. A contingency table for answering this question is shown in Table 1, where the letters indicate the cell and marginal frequencies (Freedman et al 1998). The major quantities of interest are p, the proportion of coal miners that are also socialist voters, and r, the proportion of non-miners that are also socialist voters.

Table 1

Basic Contingency Table

	Coal Miners	Non-miners	Total
Socialist Voters	a	b	a+b
Non-socialist Voters	c	d	c+d
Total	a+c	b+d	1

The marginal totals and frequencies are available for Illinois counties, but the cell frequencies are not (Booth and Booth 1988). Thus we wish to estimate p and r as described below.

2. Ecological Regression

We follow Goodman (1959) and Booth and Booth (1988). Let us consider the case where we have some marginal values for a series of contingency tables of the form of Table 1, with each table from a different county. We wish to estimate p (=a/(a+c)) and r (=b/(b+d)). In ecological regression this is done under the assumption that p and r are constant over the counties.

Let y be the proportion of socialist voters and x the proportion of coal miners in the population. Following Goodman, we may write

$$y = xp + (1-x)\,r \qquad (1)$$

and by algebra

$$y = r + x\,(p-r) \qquad (2)$$

Since y and x are known marginal values we can (if the assumptions are met) regress y on x using the county data in order to estimate p and r. The y-intercept of such a regression will be a point estimate of r, and the slope will be a point estimate of p-r. Hence the point estimates for r and p are given by

$$r = y - \text{intercept} \qquad (3)$$

and

$$p = \text{slope} + r \qquad (4)$$

The variance of p and r are given by Goodman (1959). Since this is a straight line regression all of the usual least squares assumptions must be met, as well as the additional assumption is that p and r (or at minimum $E(p \mid x)$ and $E(r \mid x)$) must be constant over the groupings. Because p and r are population values the assumptions can be difficult to check. A perusal of the literature suggests that this assumption is often ignored. In the language of our problem, Freedman would state the constancy assumption as: the voting preferences of miners or non-miners do not systematically depend on the make up of the area of residence.

3. The Method of Bounds

Another method that has been proposed for ecological inference is the method of bounds (Freedman 1999), originally proposed by Duncan and Davis (1953). As Freedman (1999) remarks, these bounds are often too wide to be helpful.

4. The Neighborhood Model

In two papers, Freedman et al (1998) and Freedman (1999) propose a third approach to ecological inference, the neighborhood model. The neighborhood assumption is that p and r depend on which neighborhood (county) is being considered. In the language of Table 1 we can use the following equations to estimate p. Recall that these equations are calculated for each county. Let H = the number of socialist voters that are also coal miners, I = number of votes for the socialist candidate in a county, J = number of coal miners in a county, and N = total number of voters in a county. Then we have the estimates,

$$H = \frac{I \cdot J}{N} \qquad (5)$$

and thus

$$p = \frac{H}{N} \qquad (6)$$

5. The King Model

Another solution to the ecological inference problem was proposed by King (1997). Freedman et al (1998) showed that this model was problematic and hence we will not consider it here.

6. The Coal Miners

The variables in the regression model are y, Socialist vote/total males, and x, number of coal miners/total males. Note that there were virtually no female miners at this time. The number of Socialist votes in each county consisted of the number of votes cast in each county for the Socialist party and Socialist Labor party candidates for the office of State Treasurer. (These data were taken from the *Blue Book of the State of Illinois*, 1912; the State of Illinois Department of Mines and Minerals' *Annual Coal Report*, 1912; and *The relationship between Radicalism and Ethnicity in Southern Illinois Coalfields*, 1870-1940, see references)

Table 2. Ecological Regression Results Using Ordinary Least Squares and Robust Regression

Illinois County	Socialist Vote / Total Males	Number of Coal Miners / Total Males	Residual	Weight
Christian	.0367	.1985	-.0122	.71
Franklin	.0485	.5092	-.0043	1.00
Macoupin	.0561	.3085	.0058	1.00
Madison	.0587	.1457	.0104	.83
Montgomery	.0448	.2492	-.0048	1.00
Perry	.0413	.4341	-.0106	.82
Saline	.0789	.5398	.0257	.34
Sangamon	.0352	.2603	-.0145	.60
St. Clair	.0651	.1471	.0168	.51
Williamson	.0578	.6370	.0034	1.00

Notes: least squares estimates:

(1) y-intercept=.0452=r, slope =.0206=p-r, p=.0658

(2) robust regression results using Huber Ψfunction (c=.8):

y-intercept =.0465=r, slope=.0125=p-r, p=.059

The scatter plot of y vs. x is increasing. We are, of course, not prevented from determining a p and any r even if all of the assumptions are not met. In fact, least squares regression gives estimates of p=.0658 and *r*=.0452. From these estimates we would infer that the rate of Socialist support among coal miners was greater than among non-miners in this ten-county area. As yet however, no assumptions have been checked.

We then performed a robust (outlier resistant) regression on the *y* and *x* data from Table 2. (ecological regression and robust regression are described in Booth and Booth (1988)). The purpose of robust regression is to discount the effect of outlying observations (which pull least squares-based estimates toward them) and thus generate better estimates than least squares for data sets that contain outlying observations. In addition, the discounting procedure provides a weight value for each observation that helps identify outlying observations (i.e., nonrepresentative sample points). The method used here (based on the program cited in Booth and Booth (1988)) gives weight values for each observation between 0 and 1. The smaller the weight, the more a particular observation is an outlier (i.e. the more nonrepresentative of the rest of the data). The robust regression weights reported in Table 2 clearly show that several counties are not representative of the rest of the data (i.e. are outliers). Further, after applying robust regression to these data, the values of the estimates of p and r both change. In fact, we can elaborate further.

For those counties that are outliers (e.g. county seven, Saline County) and that have a negative residual sign (i.e. , *y-yhat*<0), we can conclude that the socialist vote in the county was less than would have been predicted based on the number of coal miners located in that county. A similar but opposite result holds for positive residuals. In addition, *independent qualitative historical research suggests nonconstant values for p and r over this grouping*. (Booth 1983) We thus are forced to conclude that it is unlikely that p and r can be reliably estimated from Table 2 data. Using ecological regression as we have seen, however, we can determine by means of robust regression which counties have more or less socialist support than would be expected based on the proportion of coal miners in the county, using the fitted regression equation as the measure of an "average county." We conclude that the ecological regression constancy assumption is not valid and thus the p and r estimates are suspect.

We now consider the use of the neighborhood model with the Table 2 data. We perform the calculations with equations (5) and (6). The results are given in Table 3.

Table 3
Neighborhood Model Estimates of *p* and *r*

County	p	r
Christian	0.00728	0.0294
*Franklin	0.0247	0.0238
Macoupin	0.0173	0.0388
Madison	0.00855	0.0501
Montgomery	0.01112	0.0336
Perry	0.0179	0.0234
*Saline	0.0426	0.0363
Sangamon	0.00916	0.0260
St.Clair	0.00958	0.05552
*Williamson	0.0368	0.021

Let us compare the Table 2 results with the Table 3 results. In Table 2 the robust outlier resistant regression low weights all come from counties that have low p value in Table 3. From Table 3, we see that with the exception of Franklin, Saline and Williamson counties, the p values are less than the r values. These results would seem to indicate that southern Illinois coal miners were not particularly strong supporters of the socialist candidates in 1912. Further, these results indicate that the neighborhood assumption is more likely to be correct than the constancy assumption and hence the Table 3 estimates are probably better than the other two sets of methods.

7. Conclusion

It is clear that the assumptions of the different methods are critical in using ecological inference methods. Based on our analysis it appears that the proportion of coal miners that are also socialist voters (p) is not likely constant

over the counties considered. Thus, it appears that the neighborhood model (Table 3) provide the best estimates of p. This suggests that the proportion is much smaller than most historians have thought in the past. This result suggests that explanations other than the coal miners being politically radical are required to explain the mine war.

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a. Title proposed.

On Thin Ice and Deep Sand. A Survey of Italian Women Exploring Mountain Ranges and Deserts

b. Topic Areas
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Hawaii International Conference 2005

Luisella Bovio Arnold

On Thin Ice and Deep Sand. A Survey of Italian Women Exploring Mountain Ranges and Deserts

Abstract.

- The complex world of women's travels is the object of endless investigations and researches, focusing mainly on English written reports and quite appropriately so. The British female traveler has traditionally been a role model for the rest of Europe and, as a consequence, the English language was, from the very beginning the means to convey a bounty of information and interpretation. Names such as Jane Freshfield, Amelia Edwards or Isabella Bird Bishop, to mention a few, do not need any introduction, since their witty and yet rigorous reports are familiar to the travel literature aficionados. Others, such as Elizabeth Pennell, may be less famous, nevertheless they also deserve credit. In fact they choose "the road less traveled" and, in so doing, discovered a slow-paced world, unknown to the reader of the traditional travel guide. Even today, unfortunately, very little is known of women explorers, who wrote in languages, such as Italian, unfamiliar to a large audience.
- In my paper I intend to focus mainly, but not only, on documents available in Italian. I intend first to trace the development of a specific aspect of women's writing, namely the exploration and interpretation, through the art of writing, of remote areas of our planet. I will start with the so-called "Virago Travelers", active in Italy at the dawn of the 19th century, on their quest for "*Untrodden Peaks and Unfrequented Valleys*." Then I will introduce the new generation of Italian women travelers.
- I argue that even though the contribution made by Italian women explorers came late in time, it is nevertheless highly interesting and enlightening. In the second part of the 20th century, following, not only metaphorically, the steps of the British female explorers, a small, but strongly motivated group of Italian women made the transition from the common tourist to the adventurer. Some of them set the sky as a limit, seeking mountain peaks in distant lands, such as the Argentinean and Chilean Patagonia or the Himalayan range, others crossed deserts in several continents. All discovered a new world, outside as well as inside, and chose to convey their experiences to a vast audience. They took full advantage not only of the traditional means of transportation of the mind, the "written page", but of the resources of modern technology: WEB pages and digital photography.
- The purpose of this paper is twofold. First I intend to share my recent researches with an international audience, focusing on documents that might be less accessible, since they are written only, or mainly, in Italian. I argue that a link exists between travelling and writing, which can be traced down to ancient myths, according to such authors as Cicero, Julius

Caesar and Boccaccio. It is commonly accepted that even an open-minded traveler perceives others' cultures through a maze of cultural bias. Similarly the Italian culture is often read incorrectly deriving from a predominately male, classical tradition. It is no surprise then that very little attention is paid to a new wave of women who are active both in exploring and interpreting our world. Second, it is my intention to promote a discussion and possibly generate a larger interest on the topic of women's exploration and interpretation of our world, Italian style.

The Third Annual Hawaii International Conference on Arts and Humanities

title: Necessary and Unnecessary Evils: Reflections on Annotating David Hume's *Essays Moral, Political, and Literary*

cross-disciplinary topic areas: English, History, Literature, Philosophy

type of submission: research paper (I would not argue with you if you see it as a report on a work in progress, but it is not a "report.")

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Abstract: A survey of critiques of annotation from the eighteenth century to the present yields evils that are either inherent in the endeavor or avoidable in principle by annotators who are sufficiently knowledgeable and disciplined. Among the former category are effects of annotation in interrupting reading and diverting attention to tangential or minute points. Both effects work against what normally an author can be expected to wish. Another criticism, namely that annotation encroaches on the reader's purview in interpreting a text, is arguably inherent to the endeavor. The prohibition against interpretative annotation is historically young and has recently been rejected by postmodern hermeneutics. Today annotators are in a situation in which they employ noninterpretative notes as an ideal even while in theory they regard the ideal as unachievable. It is necessary as a practical matter to define fact and interpretation in ways that allow annotators to provide readers with what they need, notes that enable informed interpretation without unduly directing interpretation. Such is what the annotators have striven to produce for the Clarendon Edition of David Hume's *Essays Moral, Political, and Literary*.

Draft Draft Draft Draft

M. A. Box

Necessary and Unnecessary Evils: Reflections on Annotating David Hume's *Essays Moral, Political, and Literary*

How evil is annotation? Let me count the ways.

When Samuel Johnson called annotations "necessary evils," he regretted that a reader's mind is "refrigerated by interruption" and that "the thoughts are diverted from the principal subject" (7: 111). Who amongst even the tribe of bookful blockheads would deny this? There are two related but distinct complaints here, the first being the loss of involvement due to disrupted reading. Aggravating this loss is a second problem glanced at obliquely by Gérard Genette: annotations direct readers to one aspect of something not intended to be experienced that way (318). Thus annotations can atomize a work in our perception, dislocating what an author had expected to be taken in as a whole. In the Aristarchus passage in the *Dunciad* Pope calls this proclivity of annotators "that microscope of Wit" (4.233).

Additionally one can find a cluster of evils that are not necessary. Described with great poetic compression in the *Dunciad Variorum* (1.159-64), these evils arise from the failings of the annotators themselves rather than from anything inherent in editing. The Scriblerian complaint is that annotators are self-serving, fatuous, and impudent. One way in which they are self-serving, for example, is to vaunt themselves by uncovering errors that detract from authors.

These two groups of complaints pertain to ways that annotators intrude between readers and what they are reading, whether unavoidably and incidentally or in acts of vainglory that draw attention to editors at the expense of the work. Another group of complaints relates to issues concerning whether, to what degree, and in what way annotations should interpret a text. An obvious factor in setting attitudes towards interpretation is the role of authorial in-

tentions. Ian Small and Marcus Walsh offer a history of thinking on this topic that divides annotators into two schools according to whether they believe that they are elucidating a text with a meaning determined by authorial intentions. Those working on the supposition of the indeterminacy of textual meaning have both premodern and postmodern permutations, while the other sort of annotation they identify with the humanist movement of the Renaissance and its descendants (10). In modern times humanist editing absorbed the developments of analytic bibliography and now coexists uneasily with postmodernist developments in literary theory. In what Small and Walsh designate the humanist strain there was an interesting development on which Walsh remarks in his superb book on editing: some time after the eighteenth century interpretation in annotation was repudiated (*Shakespeare* 23-52 at 27-28). Interpretation of the determinate meanings by reference to the author's intentions became wholly the readers' purview, and annotations in that tradition were now to serve a strictly propaedeutic function. A three-step development is perhaps visible in the story as Walsh tells it. Reacting against the readiness of editors to wrest the meaning of texts for their own purposes, humanist editors, especially Protestant ones, proclaimed that their role was not to appropriate the text, but to mediate between the author and readers. Mediation thus understood might involve interpretation in the form of accurate paraphrase in addition to the notes on textual emendations. The next step was for annotation on textual cruces and emendations to be banished. Since annotation on textual emendation was that in which editors openly engaged in textual interpretation, its absence allowed editors to suppose that interpretation was no necessary part of annotation. Hence came the third step, and modern humanist editors came to regard their mediation as midwifery to others' readings, excluding now even paraphrase from the annotation.

A recent development in editing has been away from eclectic texts designed to reconstruct works more accurately according to authors' hitherto unrealized final intentions (D. F.

McKenzie, Jerome McGann, Jack Stillinger, Donald Reiman). But even in this development, which favors reproductions of historically important versions of a work, editors do not reject authorial intentions. They simply factor them in with other variables of historical interest and thus reduce its portion in editorial decisions. Whether or not this development is appropriately classified as humanist, the implications for annotation are not radical. No humanist editor ever restricted all annotation to questions of authorial intention, and no one demoting authorial intention from preeminence in historical importance would banish annotations related to it.

The two most important modern discussions of the rationale of annotation, those of Arthur Friedman and Martin Battestin, tacitly or explicitly suppose that it is not the purpose of annotations to interpret texts for readers. Friedman declines even to discuss "critical and analytical notes," and then proceeds to draw up highly restrictive policies for "historical annotation" (117), that is, notes about matters of historical fact. Though Battestin loosens up Friedman's policies considerably, he sees as uncontroversial the tenet that the annotator's "aim is to make the act of criticism possible, not to perform it" (13). Another important voice for interpretative restraint in annotation is Melvyn New, the editor of Sterne's works. Like Battestin, he affirms the prohibition against interpretation even as he tests his prohibition with problem cases (15-17, 21-22).

So we can add another item to our list of evils of annotation, namely that it encroaches on a reader's purview when it interprets the text.

Currently, under the influence perhaps from the postmodern theory with which it coexists, editors in the humanist line seem to accept with equanimity that their annotations are interpretative. This acquiescence one surmises from a recent collection of essays on editing Shakespeare for the Arden Edition (e.g., Hunter 177, 192; Wilcox 196-97). Surprisingly the postmodern counterpart does not share this equanimity. The postmodern scene is so varied

and evanescent that I am afraid to attempt any description of it. But the appearance to me is that instead of repudiating the idea that annotation can be objective and then happily indulging in interpretative notes, postmodern-minded editors take a confessional attitude towards their notes. At least this attitude is found in a 1991 collection titled *Annotation and Its Texts*. Herein one contributor sees annotators as attempting to conceal from readers, and perhaps themselves, the "guilty knowledge" that they are engaged in a "double attack" on the reader and on the text. The attack is to interpret the text surreptitiously and thereby limit "the arena in which community conversation can proceed" (Hanna 180-81). Another contributor sees annotation as an exercise of power (Mayali 185). If they are right, the interpretative aspect of annotation is another unavoidable evil, one response to which is for annotators to provide some testimonial for purposes of contrition and warning to the unsophisticated reader. A demerit of such testimonial would be that in talking about themselves the editors will be open to the Scriblerian charge of self-aggrandizement at the expense of the work in which readers presumably are really interested. Of course it is an option for those who find editing objectionable to abstain from editing texts.

Those of us editing David Hume's *Essays Moral, Political, and Literary* for the Oxford University Press have operated in the modern permutation of the humanist tradition. That is, we suppose that while not univocal, the texts created by Hume have determinate meanings insofar as he was clear in his mind about what he was saying, was precise in his formulations, was consistent with himself, and was not hindered in speaking his mind by the vagaries of book production. Although we do not assume that Hume's essays are trouble free in any of these respects, we think that on the whole interpreters can make claims about these texts that are true or false, or partly true or false. All possible true interpretations must ultimately be compatible with each other. As a group we might not be perfectly of one mind about refraining from interpretation in annotation, and we might differ over where to draw the line be-

tween interpretation and factual explanation, but the constraint against interpretation is an important ideal that we keep before us even as we have trouble observing it.

Having arrived at the midpoint in directing a team of annotators, I would like now to examine what we have done and to what extent we have been able to escape the evils enumerated above. The annotators are myself, Michael Silverthorne of McGill University, Jock Gunn of Queen's University in Kingston, and David Harvey of Exeter University. At the beginning I drew up for the team a set of guidelines under the disciplining influence of Friedman and Battestin. In the event I found that the annotators and I quickly lost sight of these guidelines, that ventilating issues to settle differences was counterproductive, and that fudging or ignoring issues allowed us to move forward. An effect of deferring the issues was a softening of my attitude towards the varieties of possible annotation and an expansiveness in annotation that makes me feel a need to distil or cull out annotations at some point in a systematic way. We should be in a better position to assess varieties of annotation with the body of notes to examine that we have now accumulated. Far from concealing our problem cases, I intend to use some as the basis of discussion.

First some response should be made to the charges against annotation collected above. This can be done fairly quickly on a level that is untheoretical and unproblematized. Obviously the best experience of Hume's text is the uninterrupted progress of a capable reader such as Hume imagined to himself when he wrote, albeit with the benefit of hindsight provided by subsequent history. Such a person would actually be burdened by annotations and would be in fact the ideal annotator to help the mere mortals who comprise almost all other readers. The best that can be done for the mere mortals is to give them a choice of taking their chances with uninterrupted reading or consulting annotations intended to be helpful. In case the obtrusive appearance of ample footnotes might seem typographically to unbalance the page and compete with the text, our edition of Hume's essays will offer a clear text in one

volume and annotations in a second along with the variant readings. Those wishing an undistracted experience of the text can have it while those electing to consult the annotations can simply keep volume 2 open at their side. This layout (it turns out) can also be traced to Renaissance humanism (Walsh, "Form and Function" 234).

It is true that frequently annotation focuses narrowly on one aspect of a passage and directs readers' attention to details in a way that normally authors do not wish to occur. Such annotation can seem beside the point to a reader expecting to be told what a passage means. But this same reader is likely be displeased if the annotator did say what the passage means. An annotator's seeming microscopic vision is in fact a reassuring sign that the annotator is not attempting to paraphrase or otherwise interpret the passage for readers. An atomized approach to the text does not add up to an interpretation, as is seen by the fact that consecutive annotations will likely be on entirely different subjects and cannot be read as a coherent piece of prose. It is possible for annotators to indulge in impertinent disquisitions with the purpose of displaying their esoteric knowledge, but there is no reason why annotation cannot be tangential, as it should, as well as pertinent to the reader's purposes. It might seem paradoxical, but it is not a sign of pedantry if an annotator narrowly focuses on something tangential to an author's point. It is an indication that the annotator is refraining from telling readers what to think while providing information to facilitate their thinking. An annotator's job is to do the minute research into background matters that readers are unlikely to do for themselves.

As for the idea that annotation is a guilty exercise of power, this notion is strange to someone who works out his notes in fear and trembling and thinks of annotators as harmless drudges. The substance of the complaint is that annotations necessarily are delimiting in precluding interpretative possibilities. This construction is a perverse reaction to the service done by annotation that, if factual and pertinent, precludes interpretations that are inconsistent with the facts. To feel impaired by facts is to be one of those "Self-pleasing, and humorous

Mindes," as Bacon called them, who "are so sensible of every restraint, as they will goe neare to thinke their Girdles, and Garters, to be Bonds and Shackles" (25). It is worth reminding ourselves, moreover, that no reader is made to read an annotation, much less to accept the content of annotation implicitly. Annotators create possibility and enable choice.

Now to speak of facts will seem to some to beg epistemological questions, and at this point I must apologize for being unable to address such a deep topic here. I will not pretend to have solved the puzzles of skepticism that Hume could not solve. My quick and dirty response is a broadly Humean one. When Hume determined that knowledge of matters of fact is founded on causation and that the necessary connection essential to causation is not observable except as an involuntary, conditioned response, he did not suppose that we could dispense with the concepts of causation and fact. Our causal reasonings extend back in time to establish facts like the existence of Julius Caesar (*Treatise* 1.3.13 ¶ 4). No one can get along without employing a concept of historical factuality. No one remembers skepticism about historical fact when applying for promotion or calculating students' grades or estimating taxes. So the question is what as a practical matter must count as a fact given the epistemological limitations of human nature. The short answer is that a belief must count as knowledge—in Hume's terms, as a "proof" rather than a "probability"—when the evidence makes the probability so strong that it is not feasible to sustain doubt. If sometimes new evidence shakes what had been taken for fact, we do not conclude that there are no facts. That conclusion would be a self-contradicting proposition that it is a fact that there are no facts. We revise our understanding of what the facts are on the supposition that we were mistaken. If I deny that some proposition records a fact, or that there are any facts, my denial is itself a statement of fact. If I say instead that I do not know whether anything is a fact, I have stated what I deem to be a fact that I do not know any facts. Neither nihilism nor skepticism can be articulated coherently.

Enough of that. Having affirmed the value of annotation that ideally is factual and therefore propaedeutic to interpretation, I want now candidly to expose the problems with my ideal by examining some cases from our draft annotations. In his article Battestin argued that for Fielding's novels problem cases exist that would go undiscussed following Friedman's policy of reporting only bare facts. Neither Friedman nor Battestin is wrong: they simply pose an editorial choice to be made. For Hume's essays I am driven towards Battestin's concern for passages that, left unremarked, are likely to cause trouble for unsuspecting readers. These problem cases force discussion that has an interpretative aspect.

I have observed five sorts of cases calling out for more-or-less interpretative commentary.

(a) Cross references within Hume's works, juxtaposing passages that shed light on each other.

(b) References to contemporary works suggesting what were Hume's points of reference when he wrote.

(c) Mistakes, misleading or odd statements, and confusingly formulated points.

(d) Oblique, cryptic, or elliptical statements that without explanation seem pointless or inapposite.

(e) Curiosities arising from the evolution of the text through numerous revisions.

The interpretative aspect of the first four sorts in my list is entailed by the exercise of judgment required of the annotator. The fifth sort exists because the character of an essay can change significantly over the course of Hume's revisions, and in drawing attention to the variant readings we actually work to frustrate Hume's final intention to leave a text to posterity that is less topical and dated than the original. Such annotation undoes Hume's preparation of a final form for his texts. The most interesting problem cases come from the third and

fourth sorts in my list (c and d), that is from statements causing puzzlement if there is no explanation, and my samples will be of that sort.

A case of an oblique reference (d) is in paragraph 16 of "Of Eloquence," when Hume says, "It would be easy to find a PHILIP in modern times; but where shall we find a DEMOSTHENES?" We could justifiably say nothing here on the grounds that any comment would be interpretative or purely speculative. But do we serve Hume's modern readers well by declining to make an informed guess? Plainly Hume did not deem his cryptic remark impenetrable to an informed reader in 1741. Adam Potkay made an inspired guess that I judge to be probably but not demonstrably incorrect. As you can see from sample 1, we record his guess, submit our own, and leave the matter open.

A more peculiar remark is in paragraph 2 of "Of Moral Prejudices," where Hume says that the stoics were remarkable for a grave philosophic attempt at perfection that strikes at the sentiments necessary to our humanity. "I wish some of more venerable Characters in latter Times," he says cryptically, "had not copy'd them too faithfully in this Particular." If we take the remark for a topical reference that would be understood by a certain Scottish audience in 1739, we should in principle be able to make an informed guess. You can see from sample 2 that I take the word "venerable" to be the clue that Hume expected to suffice for his readers to make a correct application. In such cases I feel obligated as an annotator to provide a guess so long as it is plausible. But I thereby stick my neck out, and perhaps I should say nothing.

In paragraph 19 of "Of National Characters" there is an odd statement that "All sects of religion are to be found among" the people in authority in England. Hume's statement is at variance with layers of legislation designed to exclude anyone from office not a conforming member of the established church. This exclusion was intended for all levels from local government right up to the monarch. Can we say nothing about this apparent error? In his *His-*

tory, Hume describes most of this legislation with surprising sympathy (6: 174-75, 276). The only plausible explanation is that his statement registers an open secret that occasional conformity kept nonconformists in offices in significant numbers. I took it that Hume simply misspoke in his statement until a reader for the press showed me my mistake. My rewritten annotation is provided in sample 3.

Finally, sample 4 comes from paragraph 61 of Hume's pamphlet in defense of a friend charged with dereliction of duty during the 1745 Jacobite rebellion. Here, to use a delicate Houyhnhnym expression, Hume says the thing that is not. He repeats an impossible story that the lady of Linlithgow Castle delivered a devastating insult to General "Hangman" Hawley: "*To take care . . . of the King's House, is your Concern: For my Part, I can run from Fire as fast as any of you.*" This innuendo refers to two things simultaneously, the facts that loyalist troops would recklessly burn down the castle that night and that Hawley's troops had run under fire at Falkirk. This is a pretty piece of sarcasm but one that makes no sense if we recall that though it was Hawley's troops who ran at Falkirk, it was not his troops who set the castle afire; it was the troops of the duke of Cumberland in the following month. Now I presume that Hume is mistaken when he repeats a story that is good and that he wants to be true. It is not in triumph over our author that I report the mistake. An annotator serves both authors and readers, and in this case and others like it the readers' need to know the facts takes priority.

In these samples from our annotations we are presented with a choice of leaving readers to discover and deal with problems on their own or to alert them to the existence of a problem. I will not be offended if you tell me that we are wrong to choose to offer these annotations. The question is what serves readers best. As for myself, I cannot regard the need for annotation purely with regret. I have a friend who discovered to his great satisfaction that he had reached a point at which he could read the *Norton Anthology of British Literature* with-

out needing any of the footnotes. He had indeed attained a state in which his experience of literature could be purer because uncoached. But to attain that state he had benefited from the services of annotators, and doubtless he had enjoyed a superior and rational entertainment in reading texts in conjunction with well-wrought notes on the road to the felicity of dispensing with notes.

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Sample 1: "Eloquence," ¶ 16

Thirdly, It may be pretended, that the disorders of the ancient governments, and the enormous crimes, of which the citizens were often guilty, afforded much ampler matter for eloquence than can be met with among the moderns. Were there no VERRES or CATILINE, there would be no CICERO. But that this reason can have no great influence, is evident. It would be easy to find a PHILIP in modern times; but where shall we find a DEMOSTHENES?

16. **a PHILIP in modern times**] One suggestion is that the modern Philip of Macedon is Philip V, the first Bourbon king of Spain and the focus of the War of the Spanish Succession (Potkay, *Fate*, 39), as might be suggested by Mark Akenside's 1738 call for the subsequent trade war with Spain, *A British Philippic*. More probably, since Hume's phrase applies to 'modern times' generally rather than to 1741 specifically, readers would have thought here of Louis XIV, who had aspired to a 'universal monarchy'. Though Louis had died in 1715, his legacy shaped attitudes towards France, and Pitt would play Demosthenes to the Bourbon

threat. In his 1701 *Contests and Dissensions between the Nobles and Commons in Athens and Rome* (ch. 2), Swift refers to Philip of Macedon as the Louis XIV 'of that Age' (*Prose*, 1: 208).

Sample 2: "Moral Prejudices," ¶ 2

THERE is another Humour, which may be observ'd in some Pretenders to Wisdom, and which, if not so pernicious as the idle petulant Humour above-mention'd, must, however, have a very bad Effect on those, who indulge it. I mean that grave philosophic Endeavour after Perfection, which, under Pretext of reforming Prejudices and Errors, strikes at all the most endearing Sentiments of the Heart, and all the most useful Biasses and Instincts, which can govern a human Creature. The *Stoics* were remarkable for this Folly among the Antients; and I wish some of more venerable Characters in latter Times had not copy'd them too faithfully in this Particular.

2. **some of more venerable Characters in latter Times**] Supposing this cryptic remark to be an innuendo that a Scottish audience would understand, one might infer that Hume had in mind the dour and doctrinaire Presbyterians of his society. In 1739 Hume's audience might have taken the innuendo to apply to the attempts 23 February 1737-18 May 1738 of the Reverend Presbytery of Edinburgh to veto the magistrates' call of William Wishart to be a minister in that city. Seven articles of 'Error' were charged against Wishart, and the issue sparked a pamphlet battle. Hume's own conflict with Wishart over the chair of philosophy in the university would not occur until 1745, and prior to that contention Hume doubtless would have seen the follower of the 3rd earl of Shaftesbury and Francis Hutcheson as a reformer who grounded the distinction between morality and immorality in the 'Natural Affections of our own Hearts', as Wishart put it in one of the sermons adduced against him (*The Certain and Unchangeable Difference*, 7). Prominent among Wishart's antagonists and therefore candidates as objects of Hume's innuendo were the Reverend Messrs George Logan, Neil M'Vicar, James Walker, John Walker, and George Lindsay. These and other leaders were alarmed by Wishart's espousal of restraint in the church's and magistrates' roles as public censor. See [Murray], *The Case of Dr. Wishart,… Humbly Submitted to the Venerable Assembly of the Church of Scotland*.

Sample 3: "National Characters," ¶ 19

. . . Where the government of a nation is altogether republican, it is apt to beget a peculiar set of manners. Where it is altogether monarchical, it is more apt to have the same effect; the imitation of superiors spreading the national manners faster among the people. If the governing part of a state consist {{s}} altogether of merchants, as in HOLLAND, their uniform way of life will fix their character. If it consists chiefly of nobles and landed gentry, like GERMANY, FRANCE, and SPAIN, the same effect follows. The genius of a particular sect or religion is also apt to mould the manners of a people. But the ENGLISH government is a mixture of monarchy, aristocracy, and democracy. The people in authority are composed of gentry and merchants. All sects of religion are to be found among them. And the great liberty and independency, which every man enjoys, allows him to display the manners peculiar to him. Hence the ENGLISH, of any people in the universe, have the least of a national character; unless this very singularity may pass for such.

19. **All sects of religion are to be found among them.**] Inasmuch as by law the 'people in authority' had to be conforming members of the Church of England, Hume's statement ac-

knowledges the extent to which the laws visibly never succeeded in removing all Protestant dissenters from office, from local government even up to Parliament (Watts, *Dissenters*, 1: 482-5; Sedgwick, *House of Commons*, 1: 139). The 1711 act against 'occasional conformity' (10 Anne, c. 6) had been repealed in 1718, but withstanding attempts at repeal in the 1730s and ostensibly still excluding dissenters from office were the Corporation Act of 1661 (13 Chas. II, st. 2, c. 1), and the two test acts (25 Chas. II, c. 2 and 30 Chas. II, st. 2, c. 1) passed in 1673 and 1678 respectively. (See *English Historical Documents*, 6: 406-8, 375-6, 389-94.) The trimming policy of Whig ministries seems to have been to undermine quietly rather than repeal these laws. Of course "All sects of religion" here does not extend beyond denominations of Protestants.

Sample 4: *True Account of the Behaviour and Conduct of Archibald Stewart, Esq; Late Lord Provost of Edinburgh. In a Letter to a Friend*, ¶ 61

When the Army fled to *Linlithgow*, they immediately quartered themselves about in all the Houses, and even in the Palace, where there dwelt, at that time, a Lady noted for Wit and Beauty; who observing their disorderly Proceedings, was apprehensive they would fire the Palace. She immediately went to remonstrate to a certain great General, and was received *pro solitâ suâ humanitate*, with his usual Humanity. Finding her Remonstrances vain, she took her Leave in these Words, *To take care*, says she, *of the King's House, is your Concern: For my Part, I can run from Fire as fast as any of you.*

> So spoke the Cherub, and her grave Rebuke,
> Severe in youthful Beauty, added Grace
> Invincible. Abash'd the Devil stood, &*c*.&*c*.

61. **a Lady noted for Wit and Beauty**] This lady has been identified with a "Mrs Glen Gordon." The most plausible account of her role in the palace is as "lady of the then governor," acting in this instance as "deputy keeper" (Collie, *Royal Palace of Linlithgow*, 13, 23). This identification is echoed by a marginal marking on page 42 in a copy (B 14677) at Mills Memorial Library at McMaster University. Though trimmed off at the left margin, the MS marking visibly reads, "Glen" with a clipped "don" underneath. Gordon had in fact held a fête 10 June 1745 for the Old Pretender's birthday and entertained Charles 15 September. Her taunt concerning the soldiers' running from enemy fire at Falkirk is employed as innuendo here by Hume, who is alluding to the fire that destroyed the palace 1 February 1746. His innuendo has the effect of deflecting blame to Hawley from George II's son Cumberland, whose troops were careless about the hearth fires in the dining hall and their bedding straw. The witticism in Hume's anecdote would have had to be uttered 17 January, when Hawley spent the night in Linlithgow after the retreat from Falkirk (Ferguson, *Linlithgow Palace*, 232-3, 236-8).

intertextual notes: both within H's own works and the Essays *and* direct antecedents like Fontenelle and Shaftesbury

contextual notes: both prior to the utterance *and* the subsequent history

critical notes: compulsory exegesis *and* obligatory conjecture

~~" . . . certain self-pleasing and humorous minds, which are so sensible of every restraint, as they will go near to think their girdles and garters to be bonds and shackles." ("Of Marriage," ¶ 1)~~

"'Tis evident there is no point of antient history, of which we can have any assurance, but by passing thro' many millions of causes and effects, and thro' a chain of arguments of almost an immeasurable length. Before the knowledge of the fact cou'd come to the first historian, it must be convey'd thro' many mouths; and after it is committed to writing, each new copy is a new object, of which the connexion with the foregoing is known only by experience and observation. Perhaps, therefore, it may be concluded from the precedent reasoning, that the evidence of all antient history must now be lost; or at least, will be lost in time, as the chain of causes encreases, and runs on to a greater length. But as it seems contrary to common sense to think, that if the Republic of Letters, and the art of printing continue on the same footing as at present, our posterity, even after a thousand ages, can ever doubt if there has been such a man as JULIUS CAESAR; . . ." (*Treatise* 98-99; 1.3.13 ¶ 4).

I understand Johnson when he says that "It is to be lamented that such a writer [as Shakespeare] should want a commentary; that his language should become obsolete, or his sentiments obscure" (7: 112).

"He observed, that all works which describe manners, require notes in sixty or seventy years, or less; . . . (*Life of Johnson* 2: 212 (3 Apr. 1773)), in ref to the *Spectator*.

"In fifty years almost every book begins to require notes either to explain fogotten allustions and obsolete words; or to subjoin those discoveries which have been made by the gradual advancement of knowledge; or to correct those mistakes which time may have discovered" (To [William Strahan], 7 Mar. 1774. *The Letters of Samuel Johnson*. Ed. Bruce Redford. 4 vols. Princeton: Princeton UP, 1992- . 2: 129-30.)

Teaching Easy:
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"For too many graduates, the American high school diploma signifies only a broken promise. . . The confidence that students and parents place in the diploma contrasts sharply with the skepticism of employers and post-secondary institutions, who all but ignore the diploma, knowing that it often serves as little more than a certificate of attendance" (ADP, 2004, p.1).

The cynicism of the employers and post-secondary institutions is not unfounded. Eighth grade performance on the 1995 Trends in International Mathematics and Science Study (TIMSS) test, placed American Students seventh behind such countries as Australia, Japan, Switzerland, and the Czech Republic (Stigler and Heibert, 2004). There is also concern over graduating seniors abilities in such basic skills as reading, grammar, and writing, and it has been increasing consistently over the last decade (Dagget and Ott, 1999; ADP, 2004).

Slipping test scores and declining reading and writing proficiencies, and an increase in adverse student behaviors within the school environment have brought about calls for major reforms in U.S. schools. These cries for change are coming from the both the private and business realms; they are coming from institutes of higher education and corporations nationwide; and they are coming from our state and national legislatures. With such a chorus ringing out, changes are coming. It is unavoidable. Some have already arrived, and they lay the burden of student competency squarely on the backs of public schoolteachers.

Nearly every state mandates student competency, and with the No Child Left Behind (NCLB) legislation, every state will soon have those mandates. NCLB places responsibility for student achievement not on the students but on the teachers. Schools are now responsible for making every student achieve state competencies. The legislation outlines the punishments for failure to perform, but gives no added funding to schools for the necessary remediation, nor does

it give any solution to the growing epidemic of student apathy. If the students don't care about their education, how effective is a teacher going to be?

William H. Schmidt, the U.S. Research Coordinator for TIMMS, recently said "[t]he content standards must be the same for everyone – a standard curriculum for all students within a state." A common curricular skeleton is in place in most states, but carrying out that skeleton is still up to the individual schools and in some districts the individual teacher. But we are quickly losing that autonomy because of the lack of faith placed in the competencies of classroom teachers. In fact, the most recent cry for reform, which was either missed or discounted by many educators will take the autonomy away from the states as well. The American Diploma Project proclaimed that "[s]tates owe it to their students to set expectations for high school graduates that are portable to other states." This is not new. There have been proponents for a national curriculum since the invent of our national public school system, but the proposal is now gaining strength in the United States. Within the next five to ten years, we will begin to see the first comprehensive proposals for a national curriculum. Some groups have already circulated their own proposals for national standards for the content areas of their specialization. It is not unfathomable for a national committee to study these proposals and develop a national standardized curriculum, complete with a single national competency assessment test. In fact, much of the early work was completed during the reign of the Goals 2000: Educate America Act. As we currently stand though, this route is not a likely answer.

The answer is not unfunded legislation. The answer is not more legislated unenforceable, unportable standards. The answer is in our classrooms. The answer is in our pedagogy. The answer is in front of us, but teachers are rarely using them.

"All available evidence suggests that classroom practice has changed little in the past 100 years" (Stigler and Hiebert, 2004). One cause for this is that most reformers, the agents of change, leave the classroom within an average of six years. With most general education teachers lacking or resisting the knowledge and training to teach today's students, our children are falling further behind, especially those introduced through the rise in inclusion practices.

Educators must put learning and classroom instruction in a new and exciting light. We must promote the idea that learning is easy and possible for everyone. That does not mean everyone learns in the same manner or with the same effort. It means once an individual discovers how they learn, and the instructors understand how to teach to include every student, learning happens with less effort.

To be teachers, we must teach. To teach, we must make our students want to learn. To make our students want to learn, we must create a need to learn within our students. That does not and cannot happen when we teach the children of the 21st century in the same ways we taught the children of the 19th century.

To meet the burdensome requirements mandated by NCLB, we must change our teaching practices. We need a methodology that keeps even complex subject matter simple; to keep with the active mind-set of today's students; to engage, excite, and motivate students in the classroom, including Limited English Proficiency, Special Education, and Gifted and Talented students. Such an approach will improve the overall climate and strength of the school's educational environment. The responsibility to present materials, reinforce material, and allow time for the students to use the new skills in as many ways as possible is now fully on the teacher. By finding and implementing a method that meets all the above criteria with its varied applications, the strength of education as a whole, and the competency levels of our students graduating high

schools would also increase. A change in how we run the classroom, and how we present the material would also help our endeavors to keep more students in school and curb the climbing drop out rate.

Recent research shows the skills gained through varied instructional methods are as important as is the content material presented. The classroom of the Twenty-first century must teach students reading, writing, speaking, and other basic skills. But, it must also contribute to the student's ability to think critically, to work with others, to control and regulate emotions, and to achieve beyond their own expectations. Howard Gardner's *Theory of Multiple Intelligences* and Daniel Golman's *Emotional Intelligences* provide us with the groundwork necessary to make learning easy, enjoyable, and accessible to all students. For real change to happen, though, we must find an approach that is not limited to any single discipline, but one that can be adapted across the curriculum. We must also remove the stigma of labeling our students. Learning Disabled and Attention Deficit Disorder, for example, have a markedly negative effect on the psyche of the student to whom they are attached.

The labels in themselves are misnomers. Learning Disabled literally means that a student is not able to learn. Every student can learn. They learn outside the schoolhouse walls, but we are crippling these children by giving them the label of LD. These students walk into the classroom defeated, having given up the fight before it ever begins, because some teacher has told them they are slower than other students because they are learning disabled. What a falsity. These students simply learn differently than other students. Learning disabled students simply do not work well in a 19th century classroom. Neither does the child with ADD.

Attention Deficit tells a child he cannot pay attention. This too is wrong. The ADD/ADHD child needs movement to learn. Gardner's theory would call this child a strong

kinesthetic learner. Give that child manipulatives or an opportunity to do some hands-on learning, and he will most likely be the first one finished. He too is considered a special needs child because he does not fit well within the traditional classroom setting.

Both groups represent a disproportionate number of our high school dropout's is proof that something needs to be changed. The National Center for Education Statistics report, *Dropout Rates in the United States: 1995*, pointed out that students with a Learning Disability had a dropout rate of 16.8%, while their counterparts without a disability only had an 11.8% dropout rate. Also, students who were labeled "Learning Disabled" made up just over 6% of the total school-aged population, but made up 7.5% of all dropouts. A study of the 1998 educational statistics of Indiana students reported that "12% of the total population dropped out," while a full half of the students labeled "Learning Disabled" had dropped out (ldonline.org). Other studies have shown the numbers are similar with students diagnosed with ADD/ADHD, and "more secondary students with special needs are taught in the general education classroom than in any other service configuration" (quoted in Lombardi & Butera, 1998, page 1).

Many teachers dismiss the importance of altering their teaching to better include students with special needs. It has been a long held belief of teachers that it is the students that need to adapt to the new environment. This attitude is the reason our instructional methods have not changed within the last 100 years. It is this attitude which has perpetuated the teaching of the five-paragraph essay format for nearly 600 years; even though we see that form of writing only in our Language Arts classrooms. The most common belief among teachers is that of "if it worked for me, it is the right way to do it." Too many general education teachers let the "alternative" approaches to teaching to the Special Education and Gifted and Talented teachers, and their reasoning is that it is not a feasible approach in a class of thirty or more students.

Studies have shown urban minority students benefit from many of the same classroom conditions as the special needs child (Cotton, 1991). Every student would benefit from these conditions. For decades, the Special Education and Gifted and Talented classrooms have had the benefit of the conditions mentioned in the Northwest Regional Educational Laboratories report, yet those conditions have not been available to those students who are neither "special needs" nor "gifted". The average student has seldom had the opportunity to experience peer tutoring, cooperative learning, high classroom expectations, the adaptability of lessons, and incentives and rewards on a regular basis. Our schools tend to give the top students and the self-contained special education classrooms the benefits of smaller class sizes and innovative teaching practices, while class sizes for the remaining students continue to grow. Those students placed in the larger classes are primarily taught the same way their great-grandparents were taught with only the occasional foray into modern education.

If we are going to educate every child to the standards set out by state mandates, we must change the way we deal with our students. We must adapt our classrooms to incorporate our nontraditional learners, and infuse them with excitement and challenge. Adapting our classrooms to include nontraditional learners does not mean lowering expectations, padding grades, or anything of the nature. Adapting our classroom for these students allows for higher expectations, most students, once engaged, will do a greater amount of work with greater effort.

The approaches which prove to be effective with the many other disconnected learners are some of the same approaches which have been used in Special Education and Gifted and Talented classrooms for decades. You need not set up thirty individualized classroom environments to make learning accessible to thirty students. You need only to be observant and understanding.

Learning is both a procedure that needs to be practiced and an emotional response to our surroundings. Our brains are always on, constantly processing information and storing what they judge important. The information considered important by our brains may not necessarily be the material the teacher intends to be learned (Wolfe, November 1998). By identifying the stimuli that aid or deter learning, it is possible to manipulate the surroundings and the stimuli to create an environment that maximizes learning for all students.

Scientists now believe memory is divided into two distinct categories, declarative and procedural. Declarative memory is the memory in which a person can recall the information, but does not necessarily know how to apply that information. This memory, considered the conscious memory, is thought to be located on the cortex. The procedural memory is located deeper in the brain and "allows us to perform procedures without using the limited conscious-processing space" (Wolfe, page 63). It is also believed that we create procedural memory through the repeated firing of the neurons until we have formed a permanent connection (Brownlee, 1999; Wolfe, 1998).

Researchers have also found the use of repetition of even more importance in students ranging from the teen years through the early twenties, because of the brains activities during this time. The brain becomes busy creating the permanent neural connections and weeding out the disused connections during this stage of development (Brownlee, 1999). These findings explains the irrational actions of teenagers, the need for varied repetition, and a possible cause for the growing number of disengaged students in our schools. During the pruning stage, the frontal lobe all but shuts down to either conserve energy or to help in organizing the brain's structure. Dr. Jay Geidd, in a *Frontline* interview explained the frontal lobe's role as, "the CEO, or the executive of the brain. It's involved in things like planning and strategizing and organizing,

initiating attention and stopping and starting and shifting attention." Dr. Geidd continues to refer to the frontal lobe as "a part of the brain that allows us to conduct philosophy and to think about thinking and to think about our place in the universe" (Inside the teen brain, 2002).

Because the brains of students in their teens and early twenties are weaning gray matter, educators must allow students to make connections in as many different ways as possible and allow for the frequent revisiting of those connections. We have based our traditional approach to education on the theory that the teenage brain is similar to the adult brain. Research disproves this. In fact, the "part of the brain that is helping organization, planning and strategizing is not done being built yet ... [It's] not that the teens are stupid or incapable of [things]. It's sort of unfair to expect them to have adult levels of organizational skills or decision making before their brain is finished being built" (Inside the teen brain, 2002). We must not only show students what they should know, but how to memorize that information for the best access. We must incorporate many behaviors which we teachers see as commonsensical into our lessons, even though they may not directly apply to our subject matter. In essence, we must teach our students how to think as a mature individual, and then give them frequent opportunities to practice it.

Emotions play a critical role in learning because of the brain's reaction to certain emotions. If a student is overly stressed, his or her brain will remember less material than his or her classmate who is not experiencing the same stress. "Many students who have difficulty in school do not use strategic methods, but randomly guess when confronted with problems" (Lombardi & Butera, page 2). This implies that many teachers are either not helping students adapt their study habits to their learning preferences, not taking time to find out the students learning behaviors and then teaching to the strengths of their students. Unfortunately, both hold true, when they both are integral to increased student learning. When these interventions are not

taken, it creates an atmosphere of frustration and hostility for everyone. The classroom atmosphere is a major factor in student learning simply because learning is a process which is sensitive to one's emotional state.

Our schools and teachers must adapt with our society. In a society where many students come from families where both Mom and Dad have to work, our teachers must be a parent. In a society with a growing number of students coming from a single parent household, the teacher must be the counselor and comforter at times. The teacher can in no way remove all stressors from a student's life, but by changing something as simple as the seating arrangement or visual stimuli, the teacher can remove most of the undue stress caused by the classroom. By taking the time to understand the motivation behind the actions and discussing it with the student empathetically and honestly, without being portentous, the teacher can help to lesson some of the outside stress as well.

Teachers should create a positive and relaxed classroom culture. The classroom is a place where learning must be seen as a significant, applicable, and enjoyable experience by everyone involved. The classroom environment should allow the teacher to move freely from mini-lectures to class discussions and observational learning, without neglecting "teachable moments". The lessons should allow for peer tutoring and active student involvement. Through such teaching, the teacher creates a classroom in which learning in both the goal and the reward, thus creating a heightened awareness of student successes and opening the door for the natural occurrence of positive reinforcements. This shifting of the environment and pedagogy makes learning fun, enjoyable, and purposeful for everyone involved. This shift creates an environment that can compete with the video games, television, and other entertainment sources bombarding

the students outside the schoolhouse, and it provides the intrinsic motivation necessary to engage many of our disengaged students.

This approach teaches the many students who have difficulty in school due to the lack of effective memorization and critical thinking skills. By adapting lessons to each class, the teacher strengthens those intelligences in which students are weak and need work, teaches to the intelligences in which students are strong, and strengthens the emotional intelligences all at the same time. By following the basic guidelines of the control theory – avoiding compulsion, making "the intrinsic rewards of doing the work clear to the students", and considering the students' basic needs when creating assignments (Funderstanding: control theory, 1998) – teachers make instructional time more effective and create opportunities for the students to experience "the flow" (Csikszentmihalyi, 1996).

Our current social and educational cultures create the apathy and disgust many students have toward learning, and the classroom is the best place to change these attitudes. To remain educationally competitive on a worldwide scale, we must realize now is the time to create classrooms filled with active students. We must embrace change by actively promoting and encouraging creativity and positive attitudes. We must envelop our students in support and nurture their confidence. Our schools must adapt or wither on the vine.

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Reaching, Breaching, and Teaching:

Getting to the heart of education

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REACHING

When I first walked into a high school classroom, I was scared. In fact I was petrified. It began a line of questioning that went something like this: A teacher teaches. . . When a person stands in front of a bunch of people and transfers information to the audience, are they teaching? And what does it really mean to teach?

Now, I had seen others try to do this thing called teaching, and I had seen some succeed. I realized it was easier for me to teach wrestling to fifty kids than it was to teach English to a group of twenty-five. I had taken classes to teach me how to teach, and I had read books on how to be a better teacher, but I no one told me what it teaching was. I knew if I were going to change teaching, or if I were to become a great teacher, I had to know what it meant to teach.

So, being an English teacher, I headed for the sacred book of any Language Arts classroom – the dictionary. I feverishly flipped the pages to "T", then, mentally began spelling out that noblest of words, letter by letter, until I had found it. There it was shining in its splendor. That glorious noun, standing tall and proud on that page – big, bold letters waiting for me to read them. ***Teach***. My excitement was overwhelming; the urge to read on uncontrollable. Then, in a blink, it was over. The moment was gone. I was left with yet another unanswerable question.

I read it again.

"Teach: *noun;* to make learn."

What kind of definition was that? Where was the nobility that definition? "To make learn." Could it be more cryptic? How could you possibly *make* someone learn?

As my career progressed I began to realize what once seemed an impossibility was, in fact, possible. I could do it. I didn't know what I was doing, but I knew it worked. I came to learn what I was doing was reaching out to my students.

RELAX

Unthinkingly and unknowingly, I was relaxing my students. But how do you do it. It starts with relaxing yourself.

If you want to reach out to your student, you must first relax yourself. If you want to communicate with your child, you have to be relaxed. It is a fundamental rule of human

interaction. If you want your message presented as clearly and unclouded as possible, you must relax. Tension and fatigue gets in the way. Your tension prevents you from giving your best presentation, and student tension gets in the way of their hearing what you say. You being relaxed is the only way you can relax your students, and the only way to open the lines of communication.

I discovered what I was doing. I was consistently relaxing between classes. Sometimes this was a leisurely stroll to the men's restroom. Sometimes it was a quick prayer for my wife, a friend a student, or myself. Sometimes it was turning on some music. Sometimes it was checking my messages. Whatever I chose to do, it was something to put the last class behind me, so I could be my best for the class before me.

I tried to not bring in my worries from home, I didn't let my last class influence my expectations for the next class, and I dismissed the misbehaviors of the last class. It did not take me long to learn that I had to take each class one at a time, and I needed to relax between them to give the students the best I had.

ENCOURAGE

Have you ever been tired? Ever felt defeated? Have you ever been to the point of giving up? If you have, then you have what you need to understand how your students sometimes feel. School is hard on the teacher and the students. It becomes even harder when we are beaten-down. It doesn't matter if the battering comes from within us or from others, the results are the same. We wonder if the effort is worth it any more.

Our children are beat-up. If you are working with someone over the age of five, they have been beaten. They may not be physically beaten, but they will often feel they are. Some of the abuse has come from friends and peers. The "innocent" joking and teasing that goes on among children, can deeply wound the recipient.

Some of the wounds have come from the hands of the adults in their lives: A misthought word spoken by a teacher, an excessively judgmental accusation by an unknowing stranger, or a parent's condemnation spoken out of anger, disgust, or fatigue. Injuries come from many different sources and in many different forms, but that is not what matters. What matters is this. The wounds gathered from physical injury will heal with time – they may leave a scar, but the physical trauma is gone – but those that hurt us psychologically can linger for a lifetime. The old

saying my mother taught me, "sticks and stones may break my bones, but words will never hurt me" is wrong. It couldn't be more wrong. It is our words that inflict the greatest injuries. Occasionally, though, it is the lack of words that hurt.

We must watch what we say. We must be encouragers to those placed into our care.

It is when our students begin to waver, when they begin to doubt, when they have been beaten, that they rely on our encouragement the most. Sometimes that encouragement needs to come when they are beaten and tired, and sometimes it needs to be given when they are still on top. You will always know when it is needed, if you listen to them. It is a given that there is rarely a bad time to encourage our children, but if we "open our ears to listen," we will know what we need to say and when we need to say it.

Remember the Self-fulfilling Prophecy? It is the educational equivalent of those words spoken by King Solomon, "Kind words heal and help; cutting words wound and maim." The self-fulfilling prophecy states that a student will become whatever he is told he is. If a teacher tells a child he is stupid, he begins seeing himself as stupid. If a teacher repeatedly tells a child she will not graduate, that student will be more likely to drop out before she makes it through high school. Similarly, if a teacher tells a student he can become a doctor, he will be much more likely to become a doctor.

Whenever we teach, we should speak words of encouragement. We are often the greatest cheerleaders for the students in our classroom. And the adults in your life need it as much as the children. Finding cause to support one another is as much a teacher's calling as is finding the cause to support a student.

If we follow the advice of one of my favorite writers, we would "gently encourage the stragglers, and reach out for the exhausted, pulling them to their feet." That passage conjures within me an incredible image.

Picture a runner who intentionally falls back from the lead to support the man who has fallen behind. He calls out to his exhausted teammate. He encourages him, sacrificing a medal to encourage his teammate. "You can do it," he calls out between breaths. "We are almost there!"

His teammate struggling to take a breath responds by shaking his head. "You go," he pants, "You can win. Leave me."

"No," the runner proclaims, "we finish together . . . or we don't . . . we're finishing together!"

"I can't." He slows his pace to a jog.

"Yes you can! C'mon! Don't give up on me!"

The teammate stumbles over the asphalt track and falls exhaustedly to the ground. He lays on the warm surface, face toward the blue sky, and taking in the air in great gasps. He hasn't the strength or the will to get back on his feet. His face wrinkles in a grimace as a pain shoots through his left side. But, looking back, the runner sees his fallen comrade. He stops, turns around and returns to his friend's side. He sticks his hand out the fallen runner.

"Go on. I can't . . ."

"Yes, you can," the runner cuts off his teammate, leaning closer. "Take my hand."

The exhausted man reluctantly reaches up and takes the hand of his friend. The friend lifts his teammate to his feet, and the two continue the race. The exhausted runner, finding strength in the love and encouraging words of his teammate, finishes the race. Neither runner receives a medal, but both are winners in the eyes of the other.

But the writer of that passage doesn't stop there. The last sentence is one aimed directly toward those in a position of authority. The last sentence tells us to "be patient with each person, attentive to individual needs." Everyone you work with will tell you where they are hurting. They will tell you where they are struggling. They will tell you where they are weak, and when they are unsure of themselves. It is up to you to be aware of their condition and to hear them. They may never speak the words, but the message will be there. You have to be patient and attentive enough to see it.

Finally, remember these words of Solomon, "Words kill, words give life; they're either poison or fruit – you choose."

ACCEPT

If you want to grow a rosebush, you have to nurture it. They are temperamental plants. Too much water, too little water, too little sun, or too much nitrogen in the soil, and you've lost it, regardless of how much time you have spent with it. Sometimes you may be able to nurse it back to health, and sometimes you will be elbow deep in manure, and you will inevitably be poked by the thorns. But, your hard work will eventually pay off with a beautiful spray of color.

They start out as delicate little buds, curled up tightly, and unsure if they should risk opening to the heat of the sun. Soon, the buds begin to relax, opening their pedals in the bright sunshine. They realize the sun's warmth and nourishing qualities, and push themselves further. Finally, they become large blooms, opened wide to the world, shining in their beauty, and admired by all who pass by. However, despite your best efforts you will never get that rose to bloom, if you start with thistle.

So too goes teaching. We must accept the gifts given us, and the challenges placed in our paths. To reach out to others, we must be willing to accept who they are. Michelangelo did not sculpt David using a slab of concrete and a sledgehammer. He had the proper tools. You cannot expect to create a David, if you do not have the materials or the talent Michelangelo had.

If you have not discovered it yet, let me tell you now: teaching is hard. There have been countless times I have wanted to throw down my grade book and head off to something more enjoyable. I am glad I never followed through with those impulses. If I would have given up when times were tough, I would never have seen the smiles on the faces of the seniors who were graduating because I showed them love.

We must look to the possibilities. It is always encouraging when we look beyond the present to the goal.

Remember, that child is looking to you for guidance and for knowledge. Even if he doesn't show it, or she states the contrary, you must see through and accept what your job has given you. That young man under your tutelage may never work for NASA, and that young girl may never master brain surgery, but they can become an important member in society. Accept them and nurture them with love and patience, and the results will amaze you. Remember, even Einstein was thought to be an idiot once.

CONNECT

One of the most important aspects of reaching out to someone is connecting with them. If you want to teach someone, you must reach their innermost feelings. To do that, you have to connect with them heart-to-heart. You must prove your ability to empathize with their feelings. You must relate to whatever they may be going through at the time. You may not know much about where they are emotionally or what position they are in, but you can still connect with them.

This is done chiefly through your honesty. If you are open and honest to others, they are more likely to be open and honest to you in return. You can't expect anyone to bare their soul to you just because you ask them a question. Nobody works like that. I can't even expect that from my children, my wife, my brother, or my mother, unless I have a strong connection with them, so I can't expect a student to act differently. We must feel a connection with others before we are willing to share the depths of our hearts. Even then, it is not guaranteed. After knowing my wife for more than a decade and being married to her for more than seven years, we still have times when it is hard to speak our deepest thoughts and fears to each other.

Age is not a factor in communicating the goings-on of our hearts, either. Children may be more willing to talk, but if they think it will hurt the listener or the listener will think less of them, they will not talk. If students think what they have to say will anger the teacher or get them into trouble, they will not talk.

We as teachers have an edge. If you are teaching a student who is in middle school or higher, you have a unique opportunity. During adolescence children are less likely to share their true thoughts and feelings with their parents, and more likely to share them with us. By the teen years, almost anyone is cooler and more understanding than your own parents. Consider your teen years. How much of your life did you discuss with your parents. Listen to the music your students are listening to. It is filled with as much angst and confusion as ours was.

As humans, we are social creatures, but at the same time, we reveal our true selves only to those who have earned our trust. Earning the trust of others can take time, and even longer if we have had that trust and lost it. Also, the closer you are to a person the harder it is to earn back trust once it is lost. Whether you are building that trust initially or earning it back, trust, respect and honesty are crucial for true communication and teaching to take place. The easiest way to achieve trust is to trust.

HONOR

One of the most precious possessions to a person is her honor. I am talking about personal honor. Everyone, somewhere deep down inside, wants to be honorable and respectable. To pull them close to us, we must preserve their honor. We must make them feel honorable.

Respect them, and they will respect you. Respect their talents and abilities, and you have made them feel honorable. When we allow our students to be honored in what they do, our

students will welcome us into their inner circle – that area where few shall ever tread. They allow us to see close up the hurts, pains, and barriers preventing anyone from getting close to their heart. Teaching needs this trust, but it is not easily gained. You will get there in time, if you concentrate on building a trust with your students.

We never honor a child by disgracing him. It doesn't even matter if anyone else is in the room or not, if you berate that child, you strip her of her honor and her dignity. Once dignity and honor have been stripped away, it is gone, and you lose whatever advances you have made to the heart. Excessive pride is bad, but some pride is essential. As contradictory as it may sound, even humility takes personal pride.

We should encourage our students, not discourage them. You are teaching that child how an adult acts. What are you teaching? Are you teaching her love and kind words can resolve anything, or are you teaching her how to use the weapons of anger, harsh words, and brute force?

Take the time to put yourself in your student's place. Place yourself in a position equal to your student's. Give her honor, dignity, and respect, and see what she teaches you. We only receive respect from those to whom we give respect. Only those we honor will honor us. And teaching humility and love, begins first with our own actions.

BREACHING

We build walls to protect our hearts. Sometimes, it is difficult to get inside those walls, but if you want to be an effective teacher, you must prevail. Go, breach the unbreachable walls, sooth the hurts, and teach like you've never taught before.

BE YOURSELF

You are a glorious creation. Be content with yourself.

Sometime around my freshman year in high school, I decided I wanted to be an accountant. My dream was to be a Certified Public Accountant. I aced my accounting classes in high school, finishing each semester's work in the first nine weeks – including the assignments my accounting teachers didn't assign. I competed in a statewide accounting competition as a sophomore, one of the youngest in the contest, and I placed in the top twenty. When I graduated high school I understood the basics of corporate accounting, had secured a job at a bank and simplified the accounting system in place for the department's petty cash fund. Also, during my free time in accounting class, I wrote a spreadsheet program I leased out to other accounting students to help them with their homework. I was well on my way.

I entered college, took the prerequisites needed to get into one of the top ten business schools in the nation, and had no problems. I started into my accounting classes and was one of the students setting the curve for the course. But something felt wrong. Something wasn't right. I started thinking during that first semester within the walls of the school of business. By the end of the semester, I had figured it out. I couldn't be an accountant. It was a grand dream, and God had equipped me well for the number crunching, but there was something in my way. There was something about me that stopped me from making it my chosen profession. The answer came during one of my annual reviews at the bank.

My boss wrote me up for the third year in a row. The overall evaluation was excellent. Nearly every comment was complimentary, but there on that last line was the phrase that had become commonplace in my life. It was a complaint of my schoolteachers, and now it had followed me out into the "real world". There sat that dark phrase written in dark, heavy, black strokes.

Mike talks to his co-workers too much and is rarely at his desk.

I couldn't stay in one place. I had to be moving. I had to be interacting with others. I had to be having fun. I realized accounting is a sedentary occupation. God had not created me to be an accountant.

I didn't beat myself up, though my dream was crushed. Instead, I began flipping through the course schedule looking for courses of interest to me. I began skimming through the lists of majors in search of something that seemed right. It took a while to find it. In fact, it took me nine years and seven majors before I discovered what I had been created to do. I do not regret dropping out of the school of business. I do not regret the time I put into my accounting classes. I have never regretted my decision not to be an accountant. In fact, I am a bit relieved. I have accepted how I was created – flaws and all. There are times when I don't like it. There are times when I wish I could be different. But, I must accept who I am.

Never try to be someone you are not. We have the ability to sense a fake. Adults see it, children see it, and teenagers are excellent at seeing it. We learn it through our struggles in adolescence. Your students are trying to fit in. Sometimes that means pretending to be someone or something they are not. They will accept it to a certain extent in one another, but seldom in adults. They expect you to be genuine. They want you to be you, not someone you are not.

The biggest mistake teachers make is not admitting it when they don't know something. Don't fool yourself. Your students see right through that façade. An old proverb says, "The more talk, the less truth; the wise measure their words." Your students know this. Ask them if they have ever had a teacher who kept explaining the answer to a question hoping he or she may stumble across the right answer. Then, ask them if they would respect a teacher who, in the same circumstance, said, "I don't know, but we can try to find the answer." Most students answer "yes" to both questions.

Be who you are. Not more and not less. Your students can accept the truth. When you boil it down, the only person who struggles with the truth is you.

REMEMBER

You cannot understand someone, if you can't understand where they are. You have to take time between classes and during lessons to remember what it was like to be where your students are. If you are working with a boy who is thirteen, remember what thirteen was like for you. Look at his peers to help jog your memory. Put yourself in his place, minus your years of

experience. What you will likely see is a boy fighting to become a man, trying his hardest to be the best he can be. He is struggling to be an individual while trying his best to be what you want him to be. And to make matters worse, there are unbelievable amounts of testosterone rushing through his body.

Perhaps you're teaching an eighteen year-old woman. Remember the young women when you were that age. English and History were not at the top of their priority list. Other people's views of them are more important than any schoolwork. Do the boys in class think she is good-looking? Is she popular? And today, there are even more worries than we had.

After teaching students ranging in ages from five to fifty-five, I understand that every age has its distractions. Unless someone or something sells us on a subject, there will be many influences affecting how well we can concentrate. You have your life experiences for a reason: to use them. My experiences have made it easy for me to reach out to troubled kids, kids who don't feel they fit in anywhere, and kids who are hurting and lost. Whatever has happened to you in your life has happened for a reason. You have been equipped. Learn from your past. Do not live in it, but do not forget about it either.

I have had many friends who wanted nothing more than to forget their pasts, but that is not what we should do. We should remember our pasts because to get close to anyone, you have to understand them. To understand someone, you must spend time in their shoes.

Remember your childhood. Understand it is harder to be a child now, than when you were one. Remember your students may not learn the same way you do. Remember there is more than one way to run a classroom. And remember to start where the student is and lead him to where you want him to be. It doesn't work any other way.

ENJOY

Teachers must work to create a healthy, robust community.

We need more communities like that. In such a community, we can enjoy what we are doing and being with one another. Creating such a community is not easy. But it is possible. It takes work. It is rarely an easy endeavor, but it is always a rewarding one.

When we turn our classroom into a community, we form relationships. We create a climate in which students take on responsibility. We create an atmosphere of excitement and acceptance. We create a place where everyone feels they can relax and enjoy the experience.

When we have this classroom atmosphere, we can work miracles. We find our students wanting to learn. Our students discover the intrinsic motivation necessary to become a lifelong learner.

Teachers are in the classroom to dispense knowledge, but how we act and the atmosphere we create decides what that knowledge will be. The hidden curriculum of your classroom is just as vital as the one handed down from the administration. You are unfolding the layers of your students. They are members of our society who look to you for guidance, and your job is important. Take the time to enjoy it.

ASK

The greatest tool a teacher has is also the most simple and most overlooked – asking. Asking is the greatest threat to emotional walls. It is *the* tool in getting through the heart's protective barriers. And getting to the heart is essential to effective teaching.

Consider this: You are sitting in front of your television, nestled in your favorite recliner, a cold soda by your side, a big bowl of hot, buttered popcorn on your lap, and a DVD ready to go. As you lift the remote to begin watching the long awaited movie, the telephone rings. You consider letting the answering machine get it and returning the call in the morning, but your conscience gets the better of you for some reason, and you answer it on the third ring. As you pick up the receiver, there is a part of you already wishing you hadn't. When you hear the voice on the other end, you fully regret your decision. The voice is that of your worthless brother-in-law. He tells you a sad tale of a car broken down on the side of the road, a mile walk to the nearest telephone, and no money to get a tow. He begs you to come and get him, and you, being the wonderful person you are, begrudgingly agree.

Now, think for a moment: do you hang up the phone, put on your shoes, and take off looking for you brother-in-law?

No, you don't. If you are smart, you take the time to find out where he is. You are not going to roam the countryside hoping you'll find him in time to get some sleep tonight. You are going to ask him for directions. You are going to get directions from your house to his car. The same holds true in navigating your way to one's heart. You have to ask for directions. If you don't ask, you may never get there, despite the effort you put into it. Your students will tell you how to reach them, how to teach them, and how to understand them, if you will take the time to ask them.

CLARIFY

If you have spent time in counseling, you are probably become aware of this next step. Swimming in muddy waters is dangerous. The depth of the water is as much a factor when you are looking for something in muddy waters. The danger lies in not being able to see where you are and where you have been. In those conditions, it is easy to lose yourself in the larger picture of the three-dimensional lake. When we do not clarify ourselves or what our students are saying, we will inevitably muddy the educational waters and render ourselves blind. Often, we lose our way, we lose our students, we lose ourselves in the greater picture, and we lose their hearts from our sights, because we fail to clarify.

Clarification comes in a couple forms. One form of clarification is rephrasing a student's statement as a question. This is a good for the times when you are trying to get information from the students. This form of clarification forces you to listen to what the student is saying. It also forces the student to reconsider what he just said. When you clarify, you better understand what your child is thinking. The better you understand how your child thinks, the better you can show him you understand, or at least want to understand. When you show your child you understand him, you take giant steps toward the heart. Whenever you show understanding, the barriers begin to fall like the walls of Jericho.

A second form of clarifying question is advanced questioning. Whereas rephrasing is an excellent approach in times when the other person is the dominant speaker – counseling, icebreakers, one-on-one talks, and the like – advanced questioning is useful when you are the dominant speaker. For example, you just taught a lesson on debits and credits in a beginning accounting class. The best way to ensure your students have caught on to this idea is to ask leading questions. You ask them to restate the definitions of "debit" and "credit", you present a scenario needing a specific answer from the lecture, or you ask where in their lives they might use the ideas you just discussed. Advanced questioning allows you to test the waters to see if everybody sees clearly now or the water is still too murky for some?

Clarifying questions are common. Often, we do it without thinking about it. You are talking to a salesperson about a new car. He quotes you one price, and you counter with a lower one. This goes on until you have agreed on a number. The salesperson immediately starts talking about the warranty, the inspection, the undercoating, title transfer fees, and a plethora of

other options and add-ons. Your head is spinning by the time he finishes throwing out figures, and before you know it, the contract is sitting in front of you. He's pushing a pen toward you and asking for a signature with a big smile on his face. You think your decisions and wishes were communicated effectively, but, before you ink that contract, you stop and read it. You might even ask questions about the deal. Why? You don't want to get stuck with any charges you didn't want. You want to make sure you are getting exactly what you think you are getting, and you don't want to pay a dime more for it than you agreed to paying. You want to make sure he didn't muck up the waters for you.

To simplify your navigating the obstacle course to a person's heart make sure you are communicating. One miscommunication could be a major setback or it could destroy everything. You have seen friendships destroyed by miscommunication. Communication is always important, but its importance is magnified when the other party is struggling emotionally. When a child who is weak in math is struggling with exponential notation, any miscommunication between him and the teacher can result in a feeling of failure. We have to ask for directions if we want to reach our students in a way that will encourage them, support them, and connect with them.

HEAR

This is one of the most important actions in life. When I use the word "hear", I don't mean to listen. People are overall horrible listeners. Most people feel they are poor speakers, but they are even worse listeners. Whenever people listen to someone, they usually think about what they are going to say next, something said earlier, or what to have for dinner. Essentially, we focus on anything other than the person talking. It is no wonder we have such a problem with miscommunication; we are too consumed with ourselves.

Do you want to impress people? Listen to them. Do you want to be considered a great conversationalist? Forget about becoming a great storyteller; instead, learn to listen and to respond briefly and fittingly.

Think back to the last conversation you had that lasted longer than five minutes. This may be hard in itself because, although we are social creatures, we as a society have become fast-paced and fragmented. We want as little down time as possible. We have cell phones to

aid us in multitasking. We have mastered multitasking. But in reality we are only giving multiple projects less attention, so we can complete them faster. We have a multitude of fast-food restaurants, more commercials on television, and short, quick conversations. Every generation has shorter attention spans and need more stimulation to keep them focused.

If you can remember a marathon conversation lasting more than five minutes, try to recall exactly what the other person talked about. I am not asking you to remember everything word for word, but remember the general idea and thoughts that he or she had. It is probably easier to remember what you said than what he or she said. You probably spent more time thinking about what you wanted to say, than you did listening to what was being said. In fact, you may even struggle to remember what the conversation was about because your mind wasn't even in the conversation at all. The fragmentation of our society has killed the art of conversation.

So, when I say hear, I mean to hear with your heart. Listen with everything your have. Listen with your head, your heart, your emotions, and your body. Listening with your body is of the utmost importance in showing someone you are interested. Doing something else while someone is talking to you, not keeping eye contact with the speaker, folding your arms, reclining in your chair, and dominating the conversation are all signs you are disinterested. Even when you are listening, your nonverbal conversation can say something different.

My wife is an incredible woman – she loves me. But more than that, she believes in me, my research, and all that I do. She believes in what I have to say. She believes in my teaching. She is a wonderful woman, wife, mother, and Christian. But she has one annoying habit. Often, when I am talking to her, she will continue doing something else, she will let others interrupt the conversation, or she will sometimes leave the room momentarily – she never leaves hearing range, but she breaks visual contact. I know my wife is listening to me, but her actions tell me otherwise.

Logically, I know she is listening, but emotionally and psychologically I don't think she is. Her actions tell me my ideas are not important to her, even though her words say they are. I know my perception is wrong; it crushes her when I say something to her about it. She does it without a thought about what it looks like to me. I am not trying to make myself out to be a martyr – she does this to everyone. But, she isn't the only one who does this; she is just the one I'm publicly humiliating. Actions like hers are common in our society. It has reached epidemic proportions, yet we wonder why so many people feel insignificant and unheard. This is the sole

reason telephones with the pictures in them have not caught on. Do you want people watching you go to the bathroom, washing dishes, doing bookwork, dusting furniture, picking your nose, or whatever else you may do while you are on the phone with them? Of course not.

Now pause for a moment and think of someone you know who you would consider a good conversationalist. I am not talking about a good speaker. I am not talking about a good storyteller. I am talking about someone you love to talk to, someone who has mastered the art of two-way, face-to-face conversation. If you can think of someone who fits this description, you will probably agree that they make you feel good when you talk to them.

My sister has told me many times that she enjoys talking to me on the telephone, but that is a different art. The telephone takes away the body language. It takes away the human contact. It reduces the conversation to words only. I have never asked for fear of the answer, but I am willing to bet my sister prefers talking to me on the telephone. I am not as good at conversations in person because I am easily distracted. On the telephone, few can tell when I've been distracted.

The good face-to-face conversationalist does something most of us have not mastered. The conversationalist knows how to listen. Perhaps he looks at you while you are talking. Maybe she leans in toward you as you speak. It could be he smiles at the right times, and nods his head. She may jot down some of your ideas, or comment, "Wow! What a great idea!" The expert conversationalist keeps the attention on you. He asks questions or nods his head. She keeps her arms relaxed and out from between the two of you. The good conversationalist makes you feel as though you are the center of her world. If you were to tape-record one of your grand meetings with this conversationalist, you would be amazed at how little he or she talks. The good conversationalist affirms you by allowing you to dominate the conversation.

Talking with our students is no different. Sometimes as teachers, we forget our students are people with intelligent thoughts. We know they are humans, but we don't always consider their feelings. Rarely do we stop to consider how our actions make them feel. And we wonder why we don't have a strong relationship with them.

If you want to get to the heart of a person, you must affirm them. You must acknowledge their thoughts and validate their feelings. Listening to them with your heart is by far the easiest way to do this.

To feel loved, we need to be loved, to be understood, to be supported, to be thought intelligent, and to be judged worthy. We should embrace everyone with all of our heart, our soul, and our strength whenever and wherever we meet them. We can do this by listening to them with all of our heart, our soul, and our strength. For the few minutes you are talking with them, they should be the center of your universe. In a society moving away from the traditional nuclear family, a society of broken, dysfunctional families, you may be the only one who will listen to your students like that.

We are all guilty of not using our ears to hear. When was the last time you acted on what you heard in a conversation? I am not talking about an emergency. I am talking about a feeling expressed or a worry tossed out by a student. These nuggets are hidden invitations. They are not always obvious, though. Think of your next conversation as a verbal Easter egg hunt. You are searching for invitations to the heart and cues to come inside. They are invitations into the sacred inner circle of the heart. If you don't act on those invitations in a proper and timely manner, they will disappear, and it may be a long time before they offer you another one. Don't let these opportunities slip away. You may never get them back!

TEACHING

Teaching is by far the easiest and most enjoyable part of being a teacher. It is incredibly rewarding. By uttering a few words, a teacher can affect lives in intense ways. Wow! My heart races every time I consider that. My eyes well-up with tears of gratitude when I realize a life I have helped to change; my heart breaks when I consider a life I damaged before I understood the power of a teacher; and I worry about every student I fail to reach. I know I cannot reach the hearts of everyone with whom I work, but I can't help but want it.

We have a powerful tool: language. In it is the power to build up or tear down. To some God gave the ability to communicate in profound ways. To others he gave a passion to use language in profound ways. Still others gained an understanding of the power that lies within a single word. Good teachers have all three.

THINK

Since language is so powerful, we must respect it as we would any other powerful object. Most would not play around with a table saw or a handgun because of the great risk of hurting someone. But when was the last time you gave the words you use, the tone of our voice, the context in which you said something the same respect you would that table saw?

We should always be aware of it. The word is more powerful than an assault rifle in the hands of a sharpshooter.

Your words may not stop someone from breathing, but they can destroy a life. To avoid negative results, we should be prepared before we ever begin to teach. We must think about what we want to communicate to our students and then plan what we say accordingly. As an undergraduate wanting to be a teacher, I heard some professors mention, in an overtly flippant manner, something called a hidden curriculum. Once I became a teacher, I came to understand it. I discovered the hidden curriculum is as important, if not more important, than the actual curriculum.

The hidden curriculum is the underlying message you are sending out to your students. It is the subliminal message of education. Students pick up on it, even if they can't explain how. The hidden curriculum is written in the words you say and the body language you use whenever you speak. The hidden curriculum lies in the "spin" you put on the content. The hidden curriculum may endear to students, but it is just as likely to alienate them. Before you speak consider the students.

EXPRESS

Express yourself to your students. If you are upset with them, let them know. If you are proud of them, let them know. If they have impressed you with their effort, show it. They want to know these things. They have to know these things. If you don't express your feelings to them regularly, they can't alter their behavior. And the only way their behavior is going to change is if they want it to change. You cannot change anyone's behavior but your own. We change others by showing and explaining why they should change. More importantly we change them by showing them the proper behavior. If you want to become good at changing lives, you have to give them alternative behaviors. So show them.

Whenever and however you decide to express yourself – do so in love. Remember, the words you use, the actions you take, and the voice you use speak volumes. Are you saying what you intend to say? Correcting a child can be a positive experience, if it is done correctly, but can be a weapon if done incorrectly.

ASK FOR HELP

Your greatest resources are those who are around you. Ask your neighbor to help you with a troubled student. Ask your lunch mates for suggestions on handling pushy parents or new ideas for lessons. Too many lunchroom and workroom conversations revolve around frustrations without working out a solution. We endure similar situations in our classes. Take the time to observe another teacher, and her observe you. Make time to critique one another, suggesting ways to improve the lesson, the classroom discipline, or whatever may need tweaked.

You do not have to endure this alone. I was once told that teachers are packrats and thieves by nature. We do not have to be thieves, when we create relationships with one another. Just as we must form a community within our classrooms, we must form a community within our schools. I recently moved into a new building, and that move created an opportunity. Everyone in our department had worked together and moved together, so when the school year began, we began to create a community.

We ate lunch together. We visited with one another before school, during passing periods, and any other time we could. We give lesson plans to one another, give advice to one another, and encourage one another. We come to one another's aid in times of need, and cheer one another on when the good things happen. We have changed the atmosphere. We look forward to meeting with one another. Our lunches are encouraging. Our lunches are refreshing. Our lunches are important because we have created a community.

Another great resource is your community. If you want to build relationships with your students, build relationships with your community. Bringing in members of the community to help with lessons, to talk to students, and to give students examples of how their studies will be used later in life are excellent ways to invigorate a child. The less lecturing you do and the more hands-on experiences your students have, the more lasting the effects of your class will be on everyone involved.

CREATE

To teach you have to make the students want to know what you want to teach them. We have to get our students to buy into an idea, to make it personal, if we want them to learn.

The first step is getting the students' attention focused on you. Present the unexpected. Do the unexpected. Do something to create a desire to want to know more. Do something that makes your students beg to hear more. When you do that, you can teach them. If a student "has to go to your class," you won't teach him anything, but if he "gets to go to your class," you will be able to teach him anything. I believe the technical term here is "hooked". You want to have your students hooked like a fish on a bad lure. You want them in so far their curiosity will not let them leave. This is what will make our students learn.

My lunch periods and prep periods have often been spent with up to a dozen students. For many years, I never spent my lunches with other teachers. I had heard too many negative comments about the students. I had suffered through too many pessimistic views on the fates of certain students. Instead, I handed out passes to students who needed encouragement, students who were struggling to stay in school, and students who were struggling to stay alive. I spent my lunches with the students handing out hope.

Sometimes students came just to hang out, but mostly they came to talk, to think, to learn new things, to discuss new discoveries, and to be appreciated. They followed my rules, they brought in friends, and they were upset when I was absent, and when I moved to a different building. But they were just as important to me as I was to them, and that relationship made them want to be better.

Because of this, I have been blessed with the opportunity to lead students away from drugs, comfort them at the shooting of a friend, and encourage them through pregnancies. I have talked sternly about sex, I have loved them through bouts with suicide and depression, and I have opened my heart to them when their parents shut them out. It hurts to see a student get lost, and it hurts even worse when they don't return. I have visited students who are locked up and I have testified on their behalf. I have spent hours after school helping students learn the material, I have an E-mail address just for my students, and have even given my home phone number to some.

Some students, when they figure out why I do what I do, say they are being tricked into learning. I agree with them, they are being tricked into learning, but they are learning. I am a

staunch believer in the "teach by any means necessary" school of thought. Scientific research shows learning is impacted in a positive way with an increase in interest, enjoyment, immersion, and discovery. Creating a need and a desire to know something is the only way to accomplish what you have been called to do. We are not simply tricking them into learning, we are crafting them into something better.

HUMBLE

Nothing will get in the way of teaching more than pride. Good teachers are humble teachers. They let their students know they are human. They let the students know they screw up, get lost, and have no clue about what is going on sometimes. Many times in my classroom, the lessons do not go anywhere near I had planned. When that happens, I rock back in my chair and let out a loud, jolly laugh. It catches the students off guard. Sometimes, it catches me off guard. It works. The students look at me quizzically and venture to ask what I am doing. I answer honestly. I tell them I planned a lesson, but it isn't working. I tell them have no idea where the rest of the period is headed. They are surprised. They throw out suggestions, maybe a comment or two. We discuss the possibilities, pick the broken lesson up off the floor, and head on to our goal.

I am not above telling my students I'm an idiot. Part of my "first day of class" ritual is to tell my students I teach English not because I know everything, but because I have a piece of paper hanging on my wall at home that says I can. I tell them I am nothing more than an educated idiot. I even offer to let them use my phone to ask my wife. The students get a kick out of this, and they know from the beginning, that I am human.

I incorporate my stupid life stories – you know, the ones that are so incredibly stupid they have to be true because no one would try to pass them off as the truth otherwise. I talk about my family during my lessons. I love to laugh, so I inject humor. Sometimes humor injects itself. Regardless of what is going on or being taught, I always try to remain humble.

I once read that "sometimes our humble hearts can help us more than our proud minds." I agree – especially when you are trying to reach the most precious part of that child. If you want her to listen to you, you have to be genuine. You cannot be genuine when you're puffed up with pride. Humility is the key to genuine relationships. Be able to laugh at yourself if you are going to teach, because those kids are going to laugh at you whether you do or not.

I get so excited and passionate when I teach. A part of me shuts off and I go on some wacky autopilot when I teach. I walk into desks, I lean against dirty chalkboards, I drop things, I trip over things, and I step on feet. I have been known to stand on desks and I nearly drop an overhead on a student once. I teach in funny hats, in sunglasses, with fake teeth in. My classroom is best described as a dangerous mix of *Welcome Back, Kotter*, *Dead Poet's Society,* and *The Gong Show*. It has worried a few people who wandered in. It has scared others. My room is controlled chaos. I use chaos as a teaching tool. A classroom doesn't have to be chaos to be good, but it doesn't have to be quiet either. The right classroom has excitement and unpredictability. That's what I do with chaos. Most of my colleagues peer sheepishly into my room and shake their heads. Some think I am doing it all wrong – teaching them to be opinionated and disruptive. The biggest problem with how I run my classroom, though, is keeping teachers in the neighboring rooms. Few want to be my neighbor, but many want to be my student. I am not above being a friend, a clown, a mentor, an intellectual, and an expert to those kids. No student sees me as flawless – most enjoy pointing out those flaws and teasing me about them – but nearly every student who has been in my class and several who have not, like me, respect me, and admire my knowledge.

I am not some teaching superhero. In fact, I do nothing that any other teacher cannot do. I am humble, and I am human. That combination allows my students to experiment with humility themselves, and lets them be human too. I model my classroom after one of my favorite sayings: "Be agreeable, be sympathetic, be loving, be compassionate, be humble." Some educators feel the classroom is an inappropriate place for those traits. They couldn't be more wrong. There is not a better place to display those traits than where you teach. When you give love, you get love. When you give abundantly, you receive in even greater abundance. When you give grace, you get grace. I don't know about you, but I need all the grace I can get.

I was recently reminded why I need to remain humble. The other day I was talking to a former student, and he told me something I pray I will never forget.

"Mr. B," he began, "you give me hope. I mean . . . you are the biggest slacker I think I have ever known, but you're a great teacher. And now you've come up with something that could make you really rich. If you can do that, then a slacker like me can do anything too!"

I wasn't sure how to respond. My instincts wanted to retort, "But I'm not a slacker!" My conscience knew better. I learned how to teach the way I do, not because I wanted to study and

research and change things, but because I wanted to be able to be the same person inside the classroom as I was outside it.

Please remember that breaching a heart requires reaching a heart, and only then can you teach a heart. The student encouraged by my slackardliness, has a greater story. He and a friend were in my freshman English class. They were green. They were getting their kicks by taking drugs and doing other foolish things. I opened my heart to them. I called them out on their choice of activities, and they responded. They were some of the students coming to my room during their lunch periods. They came during study hall, they stopped by after school, and they made up reasons to stop by whenever they could.

They also learned. They pushed themselves to become better students and better men. They began to explore what they could be. Both are now entering their senior year, and looking at the possibility of college. The drugs are not important. They have replaced that high with the high of newfound knowledge.

Those boys are not the only ones.

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SOUND REASONING:
A NEW WAY TO TEACH MUSIC APPRECIATION

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ABSTRACT

In music, a barrier exists between the classical and the modern that is unique and does not exist in any other art-form. Much of the concert-going public is content to listen only to the music of the classical era, and fears or rejects more progressive modern works. As a result, the educated public is distanced from the very repertoire that speaks most directly about their own times. In order for the public to live an informed, healthy, stimulating and more complete musical life, the barrier between old and new music must come down. This paper describes "Sound Reasoning," a new approach to teaching music appreciation that is being developed as part of the Connexions Project at Rice University. Several innovations distinguish "Sound Reasoning." From a technological perspective, thanks to its web-based design, the course is available twenty-four hours a day, free of charge, in an easy-to-use cross platform format. Musical examples are interpolated directly into the text, providing easily accessible aural examples. From a musical perspective, "Sound Reasoning" is completely listening based: No ability to read music is required. A minimum of technical terminology is invoked, making it accessible to college-level students with little or no musical background. Most crucially, "Sound Reasoning" focuses on style-transcendent principles that apply to music of any era or tradition. Each concept is illustrated by examples from both the classical and modern Western classical tradition, demonstrating how music of any time and place may explore music's basic expressive resources. The course's goal is to train listeners to be self-reliant and open-minded, so that they may approach any kind of music with greater curiosity and confidence.

Biologically, human beings have evolved very gradually. Our physical development, our inner urges, our life cycle have endured for thousands of years, deeply connecting us to our ancestors from the distant past. Over time, we have "stretched" ourselves biologically—we're taller, live longer-- but our essential nature and basic physiognomy remain the same. On the other hand, in almost every other respect—socially, scientifically, technologically, etc. --the transformations have been rapid, often abrupt and even cataclysmic. One of the purposes of art is to explore the tension between the enduring aspects of the human condition, rooted in our biological make-up, and those that are impermanent, transitory and rapidly progressing.

In music, a barrier exists between the classical and the modern that is unique and does not exist in any other art-form. Whether in ballet, theater, fiction, poetry or film, the educated public acknowledges and celebrates the continuity of creation and its perpetual innovations and discoveries. Mavericks such as James Joyce, T.S. Eliot and Samuel Beckett in literature, Martha Graham in dance, Jackson Pollack and Mark Rothko in art, Harold Pinter and Edward Albee in theater—to name just a few—all have engraved their visions on our culture: We wait for Godot, we navigate the linguistic maze of Joyce's Dublin, we are awed by Pollack's expressive and fragile chaos.

In contrast, progressive modern music of the past one hundred years is much more isolated, its public acceptance far more strained and ambivalent. Only in music do major musicians consider

it possible to live a full professional life without performing the music of their own time. Orchestral programming routinely favors the traditional repertoire above all else. An entire community of prominent performers, theorists and historians have managed to almost entirely avoid the creative work of the last century, treating it as an aberration, a mistrusted detour.

As a result, something deeply meaningful is lost. No one speaks with greater passion and eloquence than Beethoven about the tension between our enduring and transient parts of our selves. But he does so for his own time; he cannot do so for ours. Our world is more heterogeneous than Beethoven's, more unstable, and more imbued with ambiguities. Beethoven's world did not have a conception of the unconscious; now psychologists describe most of our mental activities as being beyond our direct awareness. In Beethoven's world, science depicted the natural world as a giant, predictable machine; in our time, we understand that unpredictability is built into the fabric of the universe. In Beethoven's world, news traveled slowly; in ours, the stock market is updated by the minute on home computers. The *New York Times* once ran a headline, "Did Music End With Mozart?" As long as our world is developing, as long as our vision of life is evolving, no composer will ever have the last word.

In order for the public to live an informed, healthy, stimulating and more complete musical life, the barrier between old and new music must come down. How do we tear this barrier down? One way is to change the way we teach music appreciation. There are two main flaws at the heart of conventional music education. First, music education usually begins with style-specific methods, terms and concepts from traditional music: Major and minor scales; tonic and dominant chords; Sonata and Rondo forms. Then modern music arrives with an entire newly set of methods and terms: combinatoriality, modes of intensity and rhythm, open forms. The focus on method and terms automatically creates an impediment. So the first step to tearing down the barrier is to develop style-transcendent concepts and terms that can be applied to any music.

Second, conventional music appreciation tends to begin with the smallest elements of music—chords, motives, phrases, etc. This method works reasonably well in the Common Practice era, because the basic elements of the music remain so consistent. But this approach runs aground in the twentieth century, where composers became much more diverse with their building blocks: Harry Partch developed microtonal scales, Olivier Messiaen created new modes, John Cage used chance operations. Each of these building blocks follows its own necessities and creates musical progressions and connections in novel ways. In Beethoven, one can always count on the major triad. But, in the twentieth century, even from one work to the next by the same composer, the basic elements of the music may be highly surprising. In addition, the basic elements of modern music often contain greater ambiguity and complexity, making them harder to interpret as they pass by so quickly.

The risk of training a listener by beginning with the smallest elements of music is that, confronted with unfamiliar sounds, he or she may become quickly confused and disoriented. Many years ago, I attended a performance of the Philadelphia Orchestra at Carnegie Hall. The program concluded with a performance of Schoenberg's *Chamber Symphony, Opus 9*. No sooner had the conductor, Erich Leinsdorf, lowered his baton, and the ensemble played the work's first chord, than a woman in a green, feathered hat stood up in the front row and walked solemnly the length of the audience out of the hall. One unfamiliar chord had been enough to send her for the exits!

That is what happens all the time. Taught a "normative" collection of musical elements from the classical era, listeners feel assaulted and betrayed by sounds they don't recognize. Listeners become confused, and they tune out. As a result, even if they stay in the hall, they never actually hear the entire piece—their minds have drifted elsewhere.

Following the stock market day-by-day can be bewildering and exhausting. The radio news stations update the market twice an hour. Experts offer the latest tips. Cable news stations run ticker tapes at the bottom of the screen. Web home-pages include up-to-the-minute updates on the Dow Jones. My wife and I met with an investment advisor a few years ago. For all this rush of data, he had a strong word of caution: The security—one might say the "coherence"—of the stock market as a successful investment lies in its long-term trends, not in its moment-to-moment fluctuations. Time is inversely related to risk: The shorter the time-span, the greater the unpredictability. A good broker can never predict what will happen *tomorrow*, but he or she should be able to manage your stocks over longer time-scales. Clients often flee the market because they can't endure the stress of its daily ups and downs. Ignore these, the advisor counseled. Follow your portfolio from a more large-scale perspective.

Listening to music is similar to managing one's stock portfolio: It is crucial to begin with a comprehensive, rather than detail-oriented, hearing of a composition. If only the feather-hatted lady had stayed in the hall, she might have heard Schoenberg's first chord return as a structural pillar at strategic points. She might have begun to sense the chord's constant presence as it reappears in different guises in the course of the composition. Instead, because of her focus on details, she was chased from the hall by one unexpected sound.

So the second step to tearing down the barrier is to train listeners to develop a comprehensive understanding of the piece. Rather than getting absorbed in the details right away, listeners should learn to first take in the entire expanse of a composition.

SOUND REASONING

I am in the process of developing a web-based, interactive course called "Sound Reasoning" whose purpose is to teach music appreciation in a new way. It is founded on the two principles described above: The course focuses on style-transcendent concepts that can be applied to any musical work; and it teaches listeners to focus on the large-scale trajectory of a composition before delving into the details. Created as part of the Connexions Project, a prototype of "Sound Reasoning" is currently on-line at http://www.cnx.rice.edu.

I would like to briefly discuss four topics that are representative of this approach: the role of repetition; time's effect on the material; overall destiny; and rhetorical reinforcement.

REPETITION

Repetition is the basis of musical intelligibility. It is music's inner consistency that enables it to be understood without the need for verbal or written explanations. Repetition makes music self-sufficient.

Imagine that you were watching baseball games without the benefit of a play-by-play. You were just trying to understand the game without any verbal explanations. After observing several games, you would notice certain consistencies: The batting order proceeds in a cycle; once a player has been removed from the game, she or he can't come back, etc. Every baseball game is unique; but the consistencies of the rules would, over time, enable you to understand it.

Now imagine a different situation. You're sitting in the stands, watching the game. The first inning proceeds as expected. Suddenly, in the second inning, the players on the field rotate position after every pitch. Then, the third inning is "umpire free" : The players decide fair or foul

for themselves. In the fourth inning, home plate is worn on the chest of one of the players, who runs around the bases with it, trying to escape from the field. With so much inconsistency, the game would become nonsensical. It would be impossible to decipher what was going on.

Similarly, music relies on its inner consistency—its repetition—to explain itself to the listener. In popular music, the repetition is often very literal and direct. In classical and modern music, however, the repetition is often *varied* and *transformed.* This makes the repetition *flexible*, capable of assuming of many forms and moods. When Elizabeth Barrett Browning writes "How do I love thee—let me count the ways/I love thee to the depth and breadth and height my soul can reach...I love thee to the level of every day's most quiet need....I love thee freely, I love thee purely," she is using varied repetition to make her point. Similarly, one of the guiding principles of classical and modern music is "repetition without redundancy": The music will repeat its main ideas, but constantly in new ways.

In his two-part Invention in C-Major, Bach presents his main theme thirty-six times in a twenty-two measure piece. However, the theme starts on different notes, appears in different registers, is turned upside down and appears in changing harmonic contexts. As a result, no two appearances are alike. In Igor Stravinsky's song "Akahito" from his *Three Japanese Lyrics*, a theme is similarly repeated in every bar. But, though it repeats nearly identically, it is constantly "bombarded" with new material layered on top of it, making each repetition unique. Thus, Bach and Stravinsky use different musical languages and different techniques to carry out the same underlying principle—repetition without redundancy.

TIME'S EFFECT ON THE MATERIAL

Repetitions may be short or long: Individual sounds may be repeated, or phrases, or even entire sections. The longer the repetition and the more frequently it occurs, the more significant it is. When an entire section of music returns, a crucial issue is raised: Does the music return exactly as it was, or is it transformed in some way? Has time had an effect on the material?

Consider Inspector Clouseau. Clouseau undergoes many hapless adventures: He is shot at, attacked in his bed, poisoned, and blown out his apartment window. Yet, no matter what befalls him, he emerges unscathed. Clouseau is impervious to harm. To Chief Inspector Dreyfus's constant frustration, time has no effect on him.

Compare Clouseau with Edmund Dantes the hero of Alexander Dumas's "The Count of Monte Cristo." At the story's opening, he is a mild-mannered, poorly educated captain's apprentice, contently in love. But, falsely accused for being a collaborator of Napoleon, he is imprisoned in the legendary Chateau d'If. There, he endures years of unbearable hardship. He barely survives, thanks to another prisoner, an abbot, who befriends him. The abbot and Dantes pass the time secretly reading and studying the customs of a life of privilege. Just before dying, the abbot confides to Dantes the location of a secret treasure on the island of Monte Cristo. Dantes escapes from the prison, finds the treasure, and remakes himself as the Count of Monte Cristo, a nobleman of extravagant wealth. He returns home as the Count to exact vengeance on his betrayers. He has become a far different person: shrewd, merciless, unswervingly determined. It is almost impossible to find any remnants of his earlier, more peaceful and humble essence. Time has irrevocably changed him.

In a piece of music, if a passage returns exactly in its original form, it speaks to the music's stability, endurance and persistence. In spite of everything that may have happened in the interim, the music is able to recuperate itself completely.

On the other hand, if the passage returns transformed in some way, it speaks to the music's inherent instability and flux. The transformations may intensify or weaken the material, may embellish it or reduce it to an essence, may make it more active or more restful. Whatever happens, time has had an effect.

No matter when a piece was written, "time's effect on the material" is always a relevant question. In Bach's *Goldberg Variations*, the opening aria returns intact at the very end of the piece, an affirmation of its overpowering role in the composition. However, in many other works of Bach, time has an effect—sometimes an extraordinary one. In his "Canon 17" from *The Art of the Fugue*, the first half of the piece is exactly replayed in the second half, but with the voices flipped, creating a totally new musical surface.

In his later works, Beethoven was the first composer to put "time's effect on the material" at the forefront of his musical argument. His ideas are in a constant state of development, and are rarely recuperated in their earlier form. Many twentieth-century composers made time's effect even more extreme, intensifying the speed and degree of transformation: It is one way they sought to capture the rapid progress and instability of their times.

So, when you're listening to a piece of music, try to identify passages that have returned. In addition to identifying them, *compare* them to their earlier form. Have they returned intact, exactly as they once were? Or are they transformed in some way? If so, how would you describe what has happened?

OVERALL DESTINY

Overall destiny is a way of describing the outcome of a musical composition, similar to the way we would describe the outcome of a narrative. There are three types of overall destinies: a strong roundtrip, a weak roundtrip, and a one-way progression. In *Around the World In Eighty Days*, Phileas Fogg uses "every means of conveyance—steamers, railways, carriages, yachts, trading-vessels, elephants"[1] to return to the doorstep of the Reform Club and complete his voyage around the world. His return is decisive, secure and complete. Similarly, a piece of music may create a strong roundtrip by returning with emphasis and conviction to its starting point.

The medieval saga *The Return of Martin Guerre* tells of a different kind of return. Unexpectedly, after many years, the solider Martin Guerre makes it back to his village. Scarred by years of battle, he is barely recognizable. Many are skeptical of his identity, but he is intimate with the histories of the village and its people, and he is a loving husband to his wife. His return seems secure. But those suspicious and even jealous of him eventually prove that he is an impostor, trained by the dying Martin Guerre to console and protect his wife. The hero merely embodies Martin's memories and hopes. Though noble and caring, the false Martin's return ends with his execution. This is a weak roundtrip. Similarly, a weak roundtrip in music is one in which the return is ambiguous, insecure or incomplete,

Finally, Leo Tolstoy's *Anna Karenina* is an example of the third type of destiny, a one-way progression. When the story begins, Anna is married with two children. But she is vulnerable and unhappy, and falls for the charms of Count Vronsky. Her marriage eventually disintegrates, and she runs off with Vronsky. However, their relationship, too, comes to an end. Ashamed and betrayed, Anna cannot return home; instead, she throws herself beneath a train.

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[1] Jules Verne, *Around the World in Eighty Days*, Puffin Books, p. 297

The overall destiny of a narrative is crucial to its meaning. If Phileas Fogg crashes while crossing the Atlantic and never makes it to London, Verne's tale takes a more tragic and bitter turn. If Martin Guerre's return proves to be genuine, the medieval tale's outcome may be more wholesome. If Anna were reunited with her family, Tolstoy's story would have a far different import.

Similarly, the overall destiny of a piece of music is central to its meaning. If the piece is a strong roundtrip, it speaks of the music's essential stability and endurance. If it is a weak roundtrip, than instability has begun to intrude, leaving the music unresolved. If it is a one-way progression, then progress and flux are even more strongly emphasized.

Thus, when you listen to a piece, begin by paying attention to its overall destiny. If it is a strong roundtrip, several questions then arise: How far away from its origin does the music stray? How long does it take to make it back? If it is a weak roundtrip, then you might ask: What is missing at the end? How far in advance are you "warned" of this outcome? If the piece is a one-way progression, then ask: How does the end compare with the beginning?

An over-arching view of the work's destiny then begins to draw you into the details. In *Anna Karenina*, Anna and Vronsky first meet at a St. Petersburg train station, In a foreshadowing of Anna's fate, a man commits suicide by jumping in front of a train. Similarly, in music, details are often at the service of the work's overall destiny. That is how they are best understood.

RHETORICAL REINFORCEMENT

Rhetorical reinforcement is a means of musical emphasis whereby different aspects of the music are coordinated to articulate an important moment in the structure. The degree of rhetorical reinforcement is a measure of the music's clarity or ambiguity.

Let us consider for a moment the relation between the film and the film score in a conventional Hollywood film. The film opens with a couple eating a picnic in a park: Lyrical music plays. All of a sudden, a killer jumps out from behind the bushes: Jagged, piercing music plays. Later, as a detective searches for clues, more mysterious music plays. When the killer reappears later in the movie, his jagged music returns. I think we can agree that the purpose of the score is to *reinforce* the story-line, to be *coordinated* with it. When the film and the score are closely aligned, are in synch with each other, I call this *rhetorical reinforcement*. The purpose of rhetorical reinforcement is to promote **clarity**. When the audience leaves the theater, everyone will grasp the progression of the plot.

Now let us imagine a different relationship between the film and the score, one found in such avant-garde directors as the French filmmaker Jean-Luc Godard and the American Abigail Child. Mr. Godard calls you up, explains he is filming a murder mystery and commissions you to write the score—ninety minutes of music, and he needs it by next Tuesday, please. So, you sit down, right your best lyrical music, best violent music, best investigation music and send it off to Mr. Godard. You hear nothing for a few months. Then, an invitation arrives to the Cannes Film Festival. When you arrive in Cannes, papparrazi greet you at the airport as you are whisked by limousine to the premiere. The lights dim in the theater, the movie begins—and your jaw drops open. What has Godard done? Rather than coordinating your music with the film, he has merely slapped the score onto the film without considering how the two are aligned. Now, violent music plays during the picnic; lyrical music greets the killer as he jumps from the bushes. In this case, the film and the score are *out-of-phase* with each other. I call this an unrhetorical relationship.

Unrhetorical relationships promote **ambiguity**. Now, everyone leaving the theater will have a very personal explanation for what happened in the movie. Someone says to their date, ”I wonder why such violent music was playing during a picnic,” and the date might answer, ”I don’t know—after all, they were eating bologna sandwiches, and a poor pig had to be killed.”

The issue of rhetorical reinforcement is a measure of how clear or ambiguous a piece of music is. In Mozart’s “Haffner” Symphony, the opening theme begins with two long, held notes. The theme develops, and the music eventually progresses away from its origin. Then, at a certain crucial moment, the piece returns to its opening statement. The rhetorical reinforcement is very strong: in the preceding passage, the rhythm is continuous; at the return of the theme, the long notes break the rhythmic momentum. In the preceding passage, the individual instruments echo each other in short fragments; at the return, everyone joins together to proclaim the theme. In the preceding section, the prevailing dynamic is soft; the return is loud, with the timpani added for good measure. The coordination of all of these features makes the return emphatic and forceful.

But composers are not always so direct. In Schubert's *Cello Quintet in C-Major*, the piece also begins with long, held chords, played by all five string instruments. Once again, the theme develops and the music progresses away from its origin. Then, as in the Mozart, Schubert returns to this opening. Schubert could have chosen to be as clear as Mozart; he could have strongly rhetorically reinforced the return. Instead, he allows ambiguity to intrude: At the return, only the lower strings play the long, held chords. The first violin keeps playing its faster, more punctuated pattern from the previous section. Someone forgot to tell the first violin that the theme had returned! It is out-of-phase with the other instruments, thereby blurring the structural boundary. Because of the weaker rhetorical reinforcement, Schubert's arrival is more subtle and equivocal than Mozart's.

Beethoven's *Bagatelle opus 126, no. 1* is another example. Once again, the opening theme returns. Once again, Beethoven could have chosen to emphasize the theme's return by replaying it exactly and contrasting it strongly with the music that preceded it. However, like Schubert, his rhetorical reinforcement is weaker: The theme returns several octaves lower. It is harmonized in a new way. The accompanying rhythm continues, rather than interrupts, what has come before. The rhetorical reinforcement is only mild; the boundary of the arrival is blurred.

The height of unrhetorical relationships was reached in progressive twentieth-century music. For instance, in Morton Feldman’s *Why Patterns?*, the three instruments—flute, glockenspiel and piano—are instructed to proceed independently through the score, at their own pace. The relationship between the instruments is unpredictable, and will change from one performance to the next. Coordinated emphasis is impossible, and can only happen by accident. Ambiguity is irrevocably built into the music and cannot be taken away.

When there is a high degree of ambiguity, it is difficult to have a “communal” experience: Everyone will have his or her own interpretation. This makes listening to such a work inevitably more personal and private. Twentieth-century music is often fascinated with unrhetorical relationships. These will never be dispelled: Five hundred years from now, the performers of *Why Patterns?* will still not be predictably aligned. In order to appreciate highly unrhetorical music, listeners must learn to tolerate and celebrate ambiguity.

Listening for the degree of rhetorical reinforcement is a pathway into a piece. After all, why does Schubert choose equivocate at the theme’s return in the Double Cello Quintet? Exploring that question can draw you deeper into the piece. When you hear strong rhetorical reinforcement, try to determine what it signifies—a contrasting theme, a strong return. If you hear weaker

reinforcement or none at all, then realize that the music is promoting ambiguity. Your aural analysis will inevitably be more subjective, because the music is more evasive.

How repetition is used, whether time has an effect on the material, the overall destiny of the work, the degree of rhetorical reinforcement—these concepts can be apprehended *by the ear* in many different types of music. They are just as revealing about the classical repertoire as they are about the modern—indeed, they apply to music of any style or tradition. They enable listeners to listen and think for themselves, and gain a stronger grasp of the essence of the music.

SOUND REASONING AND CONNEXIONS

As I was conceiving of my course, I found out about the Connexions Project. I realized that Connexions offered me the best means to realize my goals.

The Connexions Project was founded by Rich Baraniuk, an electrical engineer at Rice University. Connexions is an on-line, open-source resource for sharing course materials. Connexions offers tools for an author to create what it calls a "module": a chapter on a particular subject that can either be self-contained or be part of a larger course. The module is dynamic: Its author can instantly update or revise it at any time.

Modules are stored at the Connexions site. Users are invited to search the site, looking for modules that relate to their interests. Not only can users access the modules individually or in pre-determined courses, they can link any group of available modules in any way they choose. Thus, a user may create his or her own personalized textbook or course. For instance, a user interested in pre-Weimar culture might connect art, music and theatrical modules that focus on that era. Furthermore, users are able to adapt the modules to their own needs: For instance, instructors can add new examples or problem sets. Students can "mark up" their copy of the text with notes and comments viewable only to them. Connexions's vision is to create an on-line community of learning, where ideas may be easily shared and where the inter-relationships between different disciplines may be more easily explored. The Connexions Project has expanded to the point that it now includes more than 1,800 modules and averages 250,000 hits per day.

Connexions's innovations and capabilities suited my project in several crucial ways. First, Connexions modules are free, cross-platform, and are available on-line twenty-four hours a day. Thus, my course would be widely accessible and easy-to-use.

Second, because it exists in a digital medium, Connexions gave me the possibility of interpolating musical examples directly into the text. Up until now, musical examples in textbooks had to be presented graphically—an impediment if you don't read music—or on an accompanying CD or cassette, which is often very cumbersome. With Connexions, listeners could immediately test the concepts with their own ears. As a result, "Sound Reasoning" is completely listening based. No ability to read music is required.

Third, my goal in creating "Sound Reasoning" is to create a more generalized approach to music appreciation, thereby breaking down the barriers between different forms of music. My expertise lies in classical and modern music. Thanks to Connexions, other musical experts are free to add their own examples, hopefully expanding the reach and relevance of the project.

When it is completed, the "Sound Reasoning" course will be available twenty-four hours a day, seven days a week, free of charge, thereby offering unprecedented access to an introductory

music appreciation course. Symphony orchestras, chamber music presenters and record labels will be to link to "Sound Reasoning" from their own web-sites, giving them an innovative, interactive way of educating their audiences beyond the concert hall.

A CONTRASTING TECHNOLOGY

"Sound Reasoning" is not the only effort to draw listeners back to the concert hall through technological means. One highly publicized effort is the Concert Companion. The Concert Companion is a Palm-pilot-sized device that can be rented at a performance.

As described at the National Public Radio web-site:

"The Concert Companion's key feature is the 'listener's guide to the music' that updates you with information about what you're hearing, in real time. As the music plays, a computer hidden in a corner of the hall uses wireless technology to transmit signals to your PDA. Carefully synched with the music, the computer sends a new block of text every thirty seconds or so, suggesting what to listen for in that passage of music.

"A screen from the Concert Companion to Beethoven's Fifth Symphony reads: 'With the unlikely combination of cellos doubled by violas, a songful, long-breathed melody unfolds over plucked string basses.' Alternate features also provide more general information about the work, its history and the composer."

Although it is certainly well-intentioned, the Concert Companion stands in direct opposition to my approach in "Sound Reasoning." First, it makes listeners dependent rather than self-reliant. Rather than encouraging a direct conversation between the musical work and the listener, the Concert Companion intrudes with its own analysis. Reading about the "unlikely combination of cellos doubled by violas" in the Beethoven is no help when listening to even another Beethoven work; thus, listeners are helpless without the device. Second, the screen would go blank for much twentieth-century music, which often cannot be described in conventional terms. The modern repertoire is often much more open-ended than traditional music. It celebrates ambiguity and unresolved questions. The listener's focus is meant to be flexible rather than strongly directed. Finally, in providing a play-by-play of the music, the Concert Companion falls into the trap of highlighting details at the expense of the larger narrative: It is a ticker-tape view of the music.

CONCLUSION

A musical culture without constant creation is like a family without children: It eventually dies out. In diminishing the musical explorations of the past one hundred years, we risk just such an outcome. I would go so far as to say that the old music needs the new to survive: All of music is at the greater service of our desire to understand our enduring selves within a constantly changing environment.

In order to prepare listeners for any type of music, musical education begin with style-transcendent principles—principles with which any piece of music will be engaged. Gradually, it should explore with more and more precision the methods and aesthetics of a particular era, composer or work. Similarly, listeners should be trained to begin with a commanding perspective of a work, gradually sinking into the details.

I believe that, on a fundamental level, all music explores how the future arises out of the past.

How dependent is the future on the past? How much is remembered, how much forgotten? Are the initial ideas self-sustaining, or do they require an influx of new elements in order to continue? How fast does progress or transformation take place? What is the ultimate outcome? These issues matter to all of us on both a personal and abstract level. We think about it whenever we meditate on our own lives or the future of a country at war. How deeply are we bound by our upbringing? What provides the continuity of our personality? How far can we stretch our identity? These will always be open-ended questions, and composers will continue to explore them. We must train listeners to be self-reliant and open-minded, so that they may reckon joyfully with music's limitless possibilities and its daring and unexpected statements. It is my hope that "Sound Reasoning" will contribute toward that goal.

International education and understanding in troubled times: can international education save the world?

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Abstract:
International Education was promoted during the cold war as a way of increasing international understanding between peoples at a time when the world was divided between two dominant alliances grounded in opposed ideologies. After the Cold War, the world's alliances and ideologies fragmented bringing about a new context for international study. The situation has been altered by the outbreak of international terrorism and efforts to counter it. In a world divided about the best way to end terror and the right path toward a better future, compounded by the ever-present threat of violence anywhere at any time, the role of international education in improving international understanding has become unclear. In this paper, I will briefly outline the history of international education as a way of improving international understanding, then I will argue that the prior context for it has irreversibly changed, and I will propose a new way of perceiving the role of international study in the improvement of international understanding.

Paper:

Introduction

The sub-title of this paper—can international education save the world?—involves a number of assumptions that require explanation. First of all, why does the world need saving, and secondly, what about international education makes it a candidate for saving the world? To address these questions I will first explain what I mean by international education, then I will argue why we should view the world as being in an unprecedented state of danger and finally I will present the unique characteristics of international education that will help alleviate the danger we face today.

I What is international education?

International study may take many different forms. It may involve kindergarten through post-graduate study. From the U.S. perspective, it may be described in terms of Americans studying abroad or students from other nations studying in the U.S. It may involve traditional schools including international students, or it may consist of programs or whole schools and colleges for international students. It may also take the form of research in other countries, exchange of faculty or even of administrators. Alternatively, international study may also refer to the expansion of curricula to include global issues or a global perspective, or the standardization of international curricula across nations. In negative terms, it contrasts a solely national or local curriculum in its scope and method.

The ideas analyzed in this paper will apply to all of these different forms of international education, but they will primarily apply to internationalization of curricula, primarily in the U.S.

but also abroad.[1] In the near future, widespread internationalization of curricula may have a wide and deep impact, even greater than that of the more than one million college students currently study in countries other than their own, each year. The significance of international curricula will be elaborated shortly, after a discussion of historical motives for international study and how the world in which it takes place has irrevocably changed.

II What was the purpose of international education in the past?

As long as people have traveled and traded and made war, people have studied one another and seen a need for such an understanding. The ancient Hindu and Buddhist centers of study in Northern India in 600 B.C. attracted scholars and students from all nations in the wider region, from as far as away as northern China. (Altbach 3) Others trace its earliest origins to centers for study in Mesopotamia or ancient Egypt or Greece. Many western accounts identify its origins in the medieval universities whose common language of Latin allowed students to study at various European universities. (See, for example, de Wit 5) Hundreds of years before that, Islamic centers of study in northern Africa and later in Spain already encouraged international study. (Altbach 3)

The founders of the U.S. and early generations of leaders did not seek a break with other nations in terms of study, as evidenced by their own education. Familiarity with European philosophers was essential to the formulation of their own aspirations and study in Europe continued to be valued by future generations. Some time later, in the wake of World War I, Woodrow Wilson championed efforts at promoting international education, this was echoed at the end of World War II, in aspects of the Marshall Plan, and through the private efforts of the Ford, Rockefeller and Carnegie foundations and programs like the well-known Fullbright exchange.[2] Besides these national, formal programs, individual universities in the U.S. and elsewhere have long fostered international study by accepting individuals from various nations around the world.

Another form of international education, through the internationalization of curricula, may have had a more recent advent. While there were widespread calls for internationalization of curricula in the wake of the World Wars, some would argue that it is not a new practice, but was always implicit in western university education through its roots in medieval universities. (deWit 3, Altbach 3) Others argue that comparative education, going back to ancient societies, is the true forerunner for contemporary efforts to internationalize curricula. (Fraser 17)

All of these different forms of international study lead to knowledge about other cultures and nations, but the motivation may still vary significantly. For some, the goal may be political, financial or religious. For others, it may be for the sake of greater understanding or to realize international peace. Crauford Goodwin, in his *Abroad and beyond: patterns in American overseas education* lists the following motives as most often cited for international study: for cultural enrichment, to broaden the ranks of the intellectual elite, to internationalize educated citizens, to fulfill particular institutional or national missions, to explore ancestral roots, to master foreign languages, to use the world as a laboratory, to know oneself, to learn from others,

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[1] The disparity between the number of Americans studying abroad versus students from other countries studying in the U.S. makes it difficult to generalize about the experience and effects of international education in a broadly applicable way. However, in itself, the disparity does not undermine the primary claims of this paper. Also, the gap is narrowing significantly, changing from 1000 to 1 in the 1950s to 6 to 1 in the 1990s. (Hanson 7)

[2] Woodrow Wilson's efforts are described by Dickson A. Mungazi in "Fundamentals of education to ensure understanding among nations." (Mungazi 78-79) A comprehensive analysis of these efforts since World War II are presented by Theodore M. Vestal in *International education: its history and promise for today* and in Nancy L. Ruther's *Barely there, powerfully present: thirty years of U.S. policy on international higher education.*

and to improve international relations. (9-20) In a related work, specifically on internationalizing curricula, H. Thomas Collins and his colleagues derive three areas of necessary study from various national and international guidelines and recommendations: the study of global challenges, issues and problems, the study of global cultures and world areas and the study of global interconnectedness. (Collins 226). The foci of these areas of study resonate with the previously mentioned motives. They also match recommendations of January 2000 report from the Carnegie Corporation and from an earlier UNESCO conference report on international education. (Carnegie, Barker) International education, in all its forms, is described as involving learning about other cultures and traditions on a variety of levels and various ways. But what does such study have to do with a recently altered world context?

III Why does the world need saving today, more than any other time in history?

To say that the world needs saving more urgently than ever before implies that there has been some significant change that presents a new danger. This new danger is the result of several important developments in recent history. The first of these is the end of the cold war. Another is the acceleration of globalization. A third development is the spread of violent terrorism.

You might expect that the end of the cold war, which balanced humanity on the brink of global nuclear annihilation through the doctrine of "mutually assured destruction" would mean safer times for all. However, the opposite is true. During the cold war, the world was divided into two opposed camps, which had everything to lose if war broke out and everything to gain by avoiding overt combat. The various conflicts around the world were suppressed and held in check by superpowers working to prevent total destruction and preserve life. After the dissolution of the Soviet Union world politics fragmented into various alliances and treaties and only a single superpower appeared left.

In the mean time, globalization, in the form of internationalizing trade, the abbreviating and easing of international travel through rapid, inexpensive jet transport, and increasing information exposure through various worldwide media and the internet, led to a more clearly interconnected and interdependent world. (Hanson v, Gaudelli 177-183, Ruther 1, Vestal 1)

Unencumbered by the competing superpowers, local and regional conflicts reemerged in violent forms. In an unprecedented way, these relatively small groups found a worldwide audience through free media coverage and Internet publicity of their attacks. September 11, 2001 marked not only the appearance of a new form of violent terrorism in terms of its means, but also in terms of an effective worldwide platform. Around the world, millions of people watched video footage of the bombings repeatedly, for days. The U.S. response to this gradually, but steadily, developed into what the Bush administration called the "Bush doctrine".[3] First published by the White house in June of 2002 in a document titled "The National Security Strategy of the United States of America" (Bush) this doctrine reserves the right to unilateral, preemptive attack on anyone deemed a threat to U.S. lives and equally to those believed to be helping them. It also calls for the U.S. to maintain and advance military superiority in the world indefinitely.

This doctrine replaces the cold war strategy in which it was in each party's best interest to avoid conflict in order to survive and replaces it with a zero-sum strategy in which it is in each party's interest to strike first and destroy the other, or risk being destroyed by them. In other

[3] For a in-depth history and analysis of this doctrine, see the PBS program Frontline's story at http://www.pbs.org/wgbh/pages/frontline/shows/iraq/etc/cron.html

words, under this doctrine it is in the explicit best interest of terrorists and the US to attack and destroy without hesitation in order to avoid oneself being attacked and destroyed. This is the significant change in the world situation that places everyone in greater danger than ever before.

Although the cold war gambled all human life on a standoff of mutually assured nuclear destruction, because it always remained in each party's best interest to avoid war, it thus ensured the greater likelihood of safety for all. Even in the worst confrontations, such as in the Cuban Missile Crisis, all parties had everything to gain by not fighting and everything to lose by attacking. Reason was more likely to win out, or at least had a better chance of winning out in this context. Today, every murderous terrorist in the world who believes that they are fighting a divinely supported or ideologically necessary battle against an evil power, knows they are in the gunsights of the U.S. and may or probably will be killed at any moment. From their perspective, they stand to win everything by staging the most harmful attack they can manage, and they have nothing to lose because they are being hunted and will be eliminated anyways.

At the same time, the United States has activated the largest military power on Earth in the pursuit of terrorists and nations harboring or helping them, in an effort to get them before they get the U.S. By not attacking, they stand to lose everything: more September 11's and loss of innocent life, but by destroying the enemy preemptively they will win everything, preventing terrorist attacks on the U.S. The incentive is constant to engage in fighting and destroying the enemy. Under this doctrine, the world leaves cold war peace and enters a hot war that can strike anywhere, anytime. Reason has no purchase in this confrontation.

How will it end? The more the US attacks countries and terrorists, the more new terrorists will arise to take their places. The more it acts unilaterally, the less cooperation and help it can count on in the wider world community. The less cooperation and support it has, the less effective non-military efforts to weed out and end terrorism will be. Unable to root out the causes of terrorism, the strategy attacks the effects—murderous terrorists—with no hope of ending a spiraling descent into constant warfare. The plan of military attack on those who attack, did not work to end the violence in Israel, and it is now being applied on a global scale, with equally predictably violent and destructive results. The best we can hope for is individual survival by chance, while all around bombs are going off and military retaliatory strikes are occurring.

These developments justify the otherwise hyperbolic claim that the world needs saving more urgently than ever before in history. Even if you do accept this argument that the world needs saving, it still remains to show how international education can specifically help. How international education may save the world has to do with its promotion and development of critical thinking skills, especially those relevant in confronting the kinds of ideology that are leading the world toward unceasing worldwide warfare.

The zero-sum strategy of "we will kill those we suspect are going to try to kill us (and implicitly: they will try to kill us first)" has developed and been accepted in a climate characterized by demagoguery, jingoistic nationalism and xenophobia that can only flourish in the absence of critical thinking. This climate is not limited to the United States, it is present in many newly re-emerging areas of the former Soviet Union and former colonial areas in Africa and Southeast Asia, as well as in Great Britain, Australia, Japan and Europe. The strategy contains a number of assumptions that have not been questioned by enthusiastic supporters of their national leaders, both fueled by one-sided reporting in national media, leading to virtually unopposed implementation of this policy.

Most questionable among the assumptions of the doctrine, is that we are able to effectively identify and eliminate threats. Facts concerning what was known before military action and after, have repeatedly shown how inaccurate and sometimes wholly useless such

intelligence has tended to be. The logic of eliminating an attacker before they eliminate you, in self-defense, does not apply if you do not know the other *is* an attacker, but are instead guessing based on what is likely inaccurate information. Furthermore, "eliminating" is being used metaphorically here. There is a not a distinguishable, particular target we can definitively remove. There are vague, secretive, loosely organized and run groups, whose constant new recruitment belies the claim that the terrorists are really being removed. It is like claiming you have removed the water from a river by holding up a bucket of water. It may be removed *from* the river, but has not diminished the river. Self-defense is achieved through the elimination of the threat and no longer applies if one is not effectively eliminating it, one will still have an attacking enemy who will do harm anyway. One cannot then claim to have successfully defended oneself.

Education in general should make a populace more critical and less likely to succumb to the demagoguery and jingoistic nationalism that has led to the successful promotion of this irrational doctrine, but not necessarily. National curricula in a number of countries has been returning to nationalistic indoctrination that may directly undermine critical thinking. See, for example, E. Callan's study in "Beyond sentimental civic education" examining the role of sentimental nationalism in eroding critical thinking skills in the U.S.(Callan 190-221) Other examples include the on-going debates about what should be included in history books—from the Balkans, to Germany, to Japan and in the U.S.

What makes international education both immune to being used to perpetuate jingoism and more effective in promoting the critical thinking skills that preclude acceptance of demagoguery can be found in the very nature of international education. It confronts students, teachers or researchers with differences, not only of language, history and tradition but of deep values and overall perspective. While one who has only experienced his or her own culture may not be consciously aware of the values and perspective they have learned, exposure to others helps one realize that we have certain value priorities and a perspective on reality that may differ in important ways from those of others.

There have been a number of studies on significant difference in value and perspective. Roger Brown, in "Cultural dimensions of national and international assessment" reviews these studies and identifies some of the most important differences in connection with the following: perceptions and judgments concerning power and distance, the relative value of various strategies of avoidance, individualism versus collectivism, masculinity and femininity and long versus short-term orientation. (Brown 68) An alternative list includes universalism versus particularism, individualism versus communitarianism, neutral versus emotional, specific versus diffuse and achievement versus ascription. (Brown 69). Whatever the comprehensive list of significant differences finally includes, what is clear from these studies is that people do not experience the world in the same way and some cultures and nations prioritize may be irrelevant to others and expected behavior in one may be wholly offensive in another.

When international education exposes people to significant differences and they witness flourishing, fulfilled cultures that believe and act in various ways, it helps one recognize that there is not only one best way that everyone must follow without question. This prejudice, "we are the highest achievement of humanity and all other cultures may be measured against us" becomes laughable to one who has seriously engaged with people who vary significantly from oneself. At the same time, one also learns that not only does his or her own culture not necessarily float high above all others in all respects, neither is one's own culture sorely deficient compared to all others. Instead, one is able to see the greatness of one's own culture and its shortcomings, likewise with others. This growth beyond ethnocentrism or national-centrism may be compared to early psychological maturation. A small child begins by perceiving reality

from a purely selfish and egoistic perspective, but matures by recognizing the presence, needs and rights of others as well. Analogously, a sixty year-old woman from Northern England, who was studying with me in Belgium, once said, "I am embarrassed when I realize how ignorant I was about the world, having always looked at it from what I only now see as a peculiarly British perspective." She also expressed her hope, looking around the classroom of nineteen and twenty year olds, that others being aware of this far earlier in their lives, would be better prepared to face decision-making.

This awareness of similarities and differences and a respect for them is just the beginning. It leads to an "ethic of critical thinking". Recognizing the relativity of traditions, people are more likely to step back and question claims or assertions made to them. This does not entail a sterile skepticism rejecting all things as equally worthless. It engenders a healthy willingness to explore more deeply what would otherwise have remained unquestioned ideology. Furthermore, removed from the myopia of one's localized lifeworld, it also becomes clear how interconnected and ultimately interdependent humans are. While a narrow nationalism may also recognize this, it is only described in terms of potential gain or harm to one's own nation.[4] For example, during the first and second Gulf Wars, the discussion in the U.S. was largely dominated by debate about what was to be gained or lost by the U.S., with little consideration given to anyone else. I was studying in Europe during the first Gulf War and teaching international students during the second and it gave me ready access to many other perspectives on the events. One colleague compared the U.S.' level of concern for other nations to that of a disruptive neighbor in a small community. Having loud parties all night, often leading to fights, leaving trash all over the yard and street attracting all kinds of vermin—such a neighbor seems wholly oblivious that anyone else but he exists or has any rights.

In contrast, the more one knows of and about others, the harder it is to consider matters that will affect them, without taking into account these others along with those of our own nation and national interest. This "international perspective" may be the most important benefit of internationalized curricula.[5] Even if it is only implemented in a majority of schools, not all of them, students who have studied in programs that foster an international perspective will be able to act as yeast in the communities in which they interact, spreading their ethic of critical thinking and their perspective of international concerns in far-reaching ways.[6]

In conclusion, while this description of how international education promotes understanding and may help ensure peace does not radically differ from the traditional goals and motivations for international education, the world itself has changed in way that makes these goals more important than ever before. Accomplishing them may lead to a world where critical thinkers everywhere pursue alternative ways of ensuring peace and prosperity that do not depend on the irrational policy of universal preemption that threatens to plunge the world into a downward spiraling conflagration that can only end in everyone seeking to kill everyone else before they themselves are killed.

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[4] A similar relation between a lack of understanding of other cultures and a lack of critical thinking skills is analyzed by Mungazi, see especially chapter 4. (Mungazi)

[5] This relation between knowledge of others and greater tolerance is described by Michael Pasternak in "Is international education a pipe dream? A question of values." (Pasternak) Richard Bawden also draws a connection between international education and critical thinking in "Educating for unity through diversity of knowing: a systematic perspective." (Bawden)

[6] In this discussion I have excluded consideration of the problem of programs designed to proselytize American values abroad, as they do not qualify as international education in the sense defined here. A good overview of the relevant issues can be found in Robin Mason's . *Globalising education: trends and applications*. See especially Chapter 12. (Mason)

It may be unethical to shout "fire" in a crowded theater, as it may cause panic and injury or death. But to remain quiet while the theater burns down would also be immoral. We are all in grave danger. Unless we find new ways out of this situation, we will all eventually be affected by violence. On the other hand, my own experience of nine years of study in another country, and five years teaching international students here in the U.S. makes me hopeful. The more people with an international perspective provided by international education and internationalized curricula, the more critical thinking will be promoted and the less likely people will be to uncritically accept illogical policies that lead to a more dangerous future. Rather, international education may help ensure a brighter and more prosperous future for all.[7]

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[7] Although not in the urgent context I have described here, a number of scholars have called for a greater promotion of international education to address the needs of a more interdependent world, especially Altbach (1-2).

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Hawaii International Conference on Arts and Humanities

Cover Page for Poster Submission

a. Global Performing Arts Resource Centers:
A Digital Opening to Performing Arts Across Cultures and Histories

b. Theatre as well as Performing Arts/Dance

c. Poster Session

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Hawaii International Conference on Arts and Humanities

Abstract for Poster Submission

Karen Brazell

Global Performing Arts Resource Centers: A Digital Opening to Performing Arts Across Cultures and Histories

I am proposing to present a poster session that looks in two directions: reporting on the history of our project to construct GloPAD, a multilingual, on-line database for performing arts materials from around the world, and introducing ways that viewers may use the resources of GloPAD in the classroom.

One part of the poster presentation will use pasted images and short, one-paragraph captions to give viewers an overview of the main intellectual labor of our project: to construct a metadata scheme that accommodates materials on performing arts from various cultures, languages, and histories. The other part of the poster will suggest ways that the database can be used now as a resource for students at various levels to work with cultural artifacts, performing practices, and structural terminology. The conceptual conclusion of the report side of the poster will be that the construction of this database shows how structures of understanding such as genre or artistic and professional functions are negotiated concepts that must be constantly translated.

GloPAD is the central project of the Global Performing Arts Consortium (GloPAC), a consortium of libraries, museums, and individual scholars dedicated to making accessible to the on-line public artifacts of performance events from traditions across the globe and across the ages. The key elements of the on-line database are that it is multilingual both in its input system and in its end-user display (currently English, Japanese, Russian, Mandarin, and German), and that it brings together performing arts specialists working in a variety of traditions and locations across the globe.

THE STATUS OF DIVERSITY WITHIN COLLEGE ARCHITECTURAL PROGRAMS

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THE STATUS OF DIVERSITY WITHIN COLLEGE ARCHITECTURAL PROGRAMS

Abstract

The status of diversity in the architectural profession, particularity the schools of architecture are approaching extinction for many minorities. Gender inclusion has made progress within the ranks of academia but remains stagnant within the professional domain.

Counter to the literature, a majority of surveyed students (white males) did not think that academia practiced racial and gender discrimination; and were satisfied with the context of their education. Although, approximately one-third of the students believed that women and 'persons of color' were treated differently than the general student population.

Racial and gender issues still exist in college. This research has found that minority and female inclusion into the profession can begin at the college level with the teaching of diversity issues in core course subjects, more scholarships, gender and minority involvement in the recruitment at the middle and high school levels, and more middle and high school college prep programs.

HOPE VI: A STRATEGY FOR RELOCATION AND SELF-SUFFICIENCY

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HOPE VI: A STRATEGY FOR RELOCATION AND SELF-SUFFICIENCY

ABSTRACT

This paper is the result of a three-year longitudinal case study of HUD'S HOPE VI revitalization project in Newport Kentucky. This research studies how public housing authorities prepare and relocate their residents and the status of HOPE VI's self-sufficiency service program. It was found that the majority of public housing residents were aware that they were to be relocated by the HOPE VI program but they did not know when. Approximately one-half of the public housing population felt that "not knowing" when they were to be relocated was causing them stress; and when relocated they wanted to stay in public housing.

This study also found that older residents and residents with higher levels of education are more aware and more likely to use self-sufficiency services. The higher the household income, the more likely residents will use self-sufficiency services. Also, since the self-sufficiency program begin employment; marital status, car ownership and income status of the public housing residents have improved sufficiently.

"The Britannia Mould"

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"The Britannia mould";

the Britannia Theatre in the 1840s and 1850s

An examination of theatrical practice at a theatre like the Britannia Saloon in Hoxton, London, reveals much about the society in which that theatre existed. By examining the history of the Britannia, one can deduce the sorts of plays that its audiences admired and can learn something about the exigencies under which a stock playwrights like George Dibdin Pitt and Colin Hazlewood laboured. It is also helpful to understand the close link between the theatre and the community of Hoxton, in order to demonstrate that the theatre was regularly called upon to be more than just a theatre.

Recent essayists have concentrated on the composition of the Britannia's audience. Writing in 1977, Michael R. Booth attempts to view the Britannia--and all of East End theatre--through the eyes of its audience, an audience that was usually thrilled with what it saw and heard onstage. Booth provides a refreshing look at East End theatre, arguing that historians "have been long accustomed to looking at theatre through middle-class eyes other than our own."[1] In order to embrace the full value of Victorian theatre, the scholar must be cognizant of the audience and the lives it led within and outside the theatre. Booth continues:

> fully to understand [the audience] means knowing something of its social and cultural habits, jobs, wages, cost of living, places of residence, class status, means of transportation, patterns of migration and settlement, moral and political outlook--anything that goes to make up complete human beings living at a chosen moment in history who came together for the collective but usually incidental purpose of seeing a play.[2]

Rising to the challenge put forth by Booth, Clive Barker published his article "The Audiences of the Britannia Theatre, Hoxton" in 1979. Barker addresses many of Booth's major concerns, asserting that the Britannia's audience was generally "local and working-class, well-behaved but vociferous in their reactions."[3] He maintains

that the "poorest people in a poor neighbourhood" occupied the Britannia gallery, a fact attested to also in J.W. Sewell's rhyme "Ballad of the Britannia":

The "gods in the gallery, oh what a sight!
They came in battalions, there every night
They sat over head
And shrieked themselves red,
And the price of their pleasure was threepence a head.[4]

Referring to eye-witness accounts, playbills, and census abstracts, Barker writes of the likelihood of change in the composition of the Britannia's audience between its saloon days and Sarah Lane's death in 1899. He hypothesizes that the early Britannia audience was "unsophisticated" and largely composed of single people who had emigrated from rural areas. In the 1850s, the audience "settles down and marries" and becomes more respectable. After 1870, Barker suggests, the immigrant population and its children have become an educated metropolitan audience, occasionally travelling into the West End in order to compare West End shows with the fare at the Britannia.[5]

Hoxton was in a state of social upheaval in the 1840s and 50s. Huguenot immigrants had established a vibrant silk-weaving trade in Spitalfields in the late seventeenth century. An offshoot of these family-run silk-weaving enterprises was the manufacture of furniture, upon which woven upholstery could be applied. With an increase in far eastern trade and with new manufacturing techniques, in the mid-nineteenth century, the silk weaving industry in Spitalfields began to die out. Only the furniture trade was unaffected. When the Singer Sewing machine was introduced at the Great Exhibition of 1851, Jewish clothing manufacturers began to replace the family-owned weavers' businesses in the area. By 1860, many of Hoxton's residents were employed by large-scale manufacturers, and the over-crowding and poverty that is often associated with the industrial revolution had seized on the community.

There is some disagreement about the composition of the Britannia's audience. Jim Davis and Tracy C. Davis suggest that the Britannia's audience,

throughout the life of the theatre, "was as mixed as it could possibly be, including sharply juxtaposed wealth and poverty."[6] In stark contrast, J.J. Higley intimates that the early Britannia catered essentially to a poverty-stricken and largely illiterate audience. He argues that theatres like the early Britannia Saloon bridged the gap between Drury Lane and Mayhew's penny gaff; it catered to the poor but not the poorest of the poor. Writing of the new Britannia, built in 1858, Higley notes a contrast between the theatre's opulence and the poverty of its audience:

> For the poor of Shoreditch, entering here must have been a striking emotional contrast to their normal everyday world. The whole theatre itself would have seemed as mirage-like as the illusions on stage and yet it was overwhelmingly concrete. It was not only Sam Lane's dreams that became a reality when the new Britannia was built but those of the people of Shoreditch as a whole.[7]

The notion that the Britannia catered only to the poverty-stricken comes largely from eye-witness accounts, like those of Dickens, who may have been more concerned with pleasing his reader than with presenting an accurate report. A New Historicist analysis of the change in the economic situation of the community--as has been constructed by Davis and Davis--is more plausible. The Britannia's audience was not amorphous and, like audiences everywhere, it faced declines and rises in its economic status.

It is clear, however, that a considerable portion of the Britannia's audience was poverty-stricken, during the 1840s and 50s, and that it was attracted to the theatre by low ticket prices and by the fare the Britannia's playwrights offered. Spectators were also attracted by the theatre's way of compensating for the social ills faced in their daily lives. F.S. Schwarzbach maintains that London, in Dickens' lifetime, was a soul-destroying place: "the experience of the city was one of profound dislocation, of being cut off, physically and psychologically, from one's roots and one's community."[8] Higley suggests that nineteenth-century popular theatre "was essentially a theatre of compensation" for this profound sense of dislocation.[9] He argues that

> the rise of popular theatre is inextricably linked with the emotional and imaginative deprivation that resulted from industrial and urban development. The dehumanization inherent in industrialization and rampant capitalism produced a corresponding surge of vitality in popular entertainment....[10]

This statement applies more to the Britannia after 1860 than before that date, but the changes which led up to the industrialization of Hoxton were already beginning to happen in the 1840s and 1850s.

The Britannia's was a loud audience and a loyal one. The Britannia's stage manager Frederick Wilton comments on the volubility of the audience in his diaries. On 28 December 1864--two days after the pantomime Little Busy Bee, or The Old Lady of Threadneedle Street opened--Wilton writes, "Great House again, but quiet. The words of the Pantomime listened to by the Audience for the first time."[11] Others have commented on the close bond between spectator and actor at the Britannia. In "A Down East Sketch" for The Porcupine (1866), Thomas Archer writes of the Britannia's audience:

> Their 'old favourites' are to them something more than mere public characters; they are spoken of, even when they are there visibly as all sorts of imaginary people, in quite a domestic capacity, as real living and well-known acquaintances; and yet this duality of appearance does not seem to diminish the relish of the audience for the drama.[12]

Archer's discussion of the "duality of appearance" in the Britannia's actors goes some way toward proving Bernard Sharratt's contention that melodramatic theatre was seen in a light which we would nowadays call "Brechtian." Although they still relished the plays, the Britannia's spectators were simultaneously aware of the actor and the character he/she was playing.

That the Britannia was able to keep its loyal audience even during the tough economic times of the latter half of the nineteenth century is evidence of the strong link between theatre and community. Many of the Britannia's employees resided in or near Hoxton. As Davis and Davis write, the theatre's "employees declined in

fortune along with the neighbourhood, yet the Britannia returned the wages of patrons to the immediate local economy, perpetually reinforcing its bond with Hoxton."[13]

* * *

Since a great deal of energy has already been expended in the valuable enterprise of identifying the Britannia's audience, I will endeavour to concentrate on the people at work inside the theatre. Like Booth, I am not interested in exploring the theatre solely through the middle class accounts of newspaper reporters and other writers. I will attempt to see the theatre as much in its own terms as possible, referring to numerous sources, including evidence from playscripts and from Frederick Wilton's diaries.

The Britannia Theatre was located on Hoxton High Street in the East End of London. As Clive Barker maintains, there were actually three theatres called the Britannia. The Britannia Saloon, which held around a thousand spectators, opened in 1841. In the early 1850s, the Britannia Saloon was rebuilt to accommodate fifteen hundred spectators. In 1858, a new theatre, seating nearly four thousand people, was built. It survived until the Second World War, when the theatre was destroyed in a bombing raid. I am concerned primarily with the Britannia in its saloon days, since that era has been least commentated upon.

There is some disagreement about the sub-genre of melodrama the Britannia was mostly known for producing in its early years (or, as Barker calls it, the theatre's "policy"). The lasting fame ofGeorge Dibdin Pitt's <u>The String of Pearls</u> might lead one to believe that crime melodrama was the choice fare of the Britannia's audience in 1847. In an interview given late in her life, Sarah Lane displayed her disdain for the tale of Sweeney Todd while comparing the saloon audience with the audience in the 1890s. As Jim Davis writes,

she remarked on the change that had come over the audience. The Middleman had just been performed there with great success. "I can remember the time, many years ago," she said, "when The Middleman wouldn't have drawn at all after the first night. In those days we used to put on such awful rigmaroles as Sweeney Todd, the Barber of Fleet Street, who used to murder the people who came to be shaved, cut them up and sell them to Mrs. Lovat, a pastry cook, to make pies of them. But," she added, "the play must have a good moral, whatever it is; our people wouldn't care for anything that hadn't a moral."[14] It is difficult to ascertain who preferred the "good moral" more, Mrs. Lane or the patrons of the theatre.

If the audience wanted a moral in its crime melodramas, it also wanted scenes of local interest. In his Letters From a Theatrical Scene-Painter, Thomas Erle discusses how the Britannia's productions of The String of Pearls included "points" of interest to the general public of Hoxton. He describes the end of the play:

> The whole of the characters then join in a patriotic song, in which the invasion panic, and the discomfiture of the enemy by the gallantry of the Hoxton Volunteers, together with any other points which may happen to be of general interest to the community at the particular moment are very happily touched off.[15]

In production as well as in writing--Dibdin Pitt sets The String of Pearls in London--the Britannia found settings, characters, and situations which were germane to the citizens of Hoxton.

Dibdin Pitt also wrote many domestic melodramas for the Britannia, including Bertha the Broom Girl (1845), Crosby Ravensworth (1846), Basil and Barbara (1848), and Love and Error (1851). Barker suggests that the "generally accepted

view of the period up to 1871 is that the policy was largely that of domestic melodrama"--although he notes that the extant playbills do not entirely support this assertion.[16] An undated passage from Dramatic Notes describes the typical Britannia play as a domestic melodrama, although often far removed from home and hearth:

> Strange adventures by sea and land occupy the stage of 'The Britannia' and the incidents are frequently such as to keep crowded audiences in a state of breathless suspense. They follow the fortunes of some domestic heroine who is possibly, for a time, in the power of a villain; and the thwarting of his nefarious schemes, and the ultimate triumph of persecuted beauty and innocence, eventually bring down the curtain amidst tremendous cheering.[17]

This description fits Dibdin Pitt's domestic melodramas fairly accurately, especially in its references to "sea and land" and "breathless suspense." Dibdin Pitt often mixed sub-genres, injecting his domestic melodramas with touches of the nautical or the Gothic. The domestic heroine was a popular figure at the Britannia, during Dibdin Pitt's tenure there. Of the melodramas I have studied, which Dibdin Pitt contributed to the Britannia, almost fifty per cent are domestic melodramas. It makes sense that the Britannia would develop a reputation for the domestic melodrama after Dibdin Pitt's arrival there. Only two years earlier, he had been the acknowledged champion of the domestic melodrama at Osbaldistone's Royal Victoria Theatre. However, no single domestic melodrama written by Dibdin Pitt for the Britannia garnered the fame and the success of some of his crime and Gothic melodramas, notably The String of Pearls and The Daemon of the Drachenfalls.

The Gothic melodrama was extremely popular at the Britannia. Ronald Higley singles out Dibdin Pitt's The Daemon of the Drachenfalls as an early success:

> This type of lavish supernatural spectacle had always been an East End favourite. One of the early successes of the theatre had been The Demon [sic] of the Drachenfalls in 1847. This included "stupendous Scenic and Mechinic [sic] effects" and the attraction of a visiting star, Mr. Hudson Kirby, playing five different roles. As a result, the normal two or three weeks run was extended to over three months.[18]

Part of the joy of attending a Gothic melodrama at the Britannia was to witness the elaborate special effects that were gotten up for the occasion. Higley devotes an entire chapter of his dissertation to proving his theory that the Britannia's special effects were comparable with those of the West End theatres. In production, Dibdin Pitt's Gothic melodramas often called for vampire traps, onstage explosions, and tumbling prison or castle walls.

The Britannia also produced Shakespeare's work, usually by mounting an evening of scenes and acts of plays. Wilton attaches the designation "histrionic tableaux" to these evenings, which were generally part of the bill in April (often during Passion week). Evenings of "histrionic tableaux" were eclectic, featuring scenes from Shakespeare (and other playwrights), negro minstrels, ventriloquists, and dog acts. They were not generally evenings filled with high art. Wilton's diary entry of 10 April 1865 describes one such event:

> PASSION WEEK. *Histrionic Tableaux*. *Julius Caesar*. *Macbeth*. *Pizarro*. *Romeo & Juliet*. *Henry 4th*. *William Tell*. Concert: Diamond and Bryant (niggers); Arthur Lloyd; Madame Losebini & Miss Constance; Sailor Williams. *Hamlet*. *As You Like It*. *Richd Third*. Concert: Harry Baker; Professor Hilton (Ventriloquist); Signor Mellick & his Dog....[19]

Wilton also mentions a full production of Othello, in December 1867, starring J.B. Howe and Frank Charleton. In the 1870s, the Britannia produced three or four different Shakespearean plays each year, often on actors' benefit nights.[20] Thomas Erle pokes fun at the Britannia's productions of Shakespeare's plays, emphasizing the unconscious humour of the background music which was meant to intensify emotional effect: "the consummation of a tragical situation at the Royal Britannia is usually intensified by the tune of 'I loves a drop of good beer' played pensively."[21] Higley comments on the broad comic acting that attended famous scenes from Shakespeare's plays, when produced at the Britannia. Playing the gravediggers in Hamlet, for example, G.B. Bigwood and Edward Elton removed innumerable waistcots and performed an elaborate spade dance in order to get laughs.[22] The existing information suggests that the Britannia's productions of Shakespeare were not of high quality.

The typical Britannia play, in Dibdin Pitt's time, was not a crime melodrama or a domestic melodrama or a Shakespearean tragedy. In fact, genre and sub-genre are relatively insignificant in determining what the Britannia's audiences admired most. What sets apart the Britannia's fare from the plays produced in the West End was the Britannia's willingness to produce plays that were specifically germane to its audience. The Britannia's audience was concerned with low wages and crime and emigration to the city, and these concerns were mirrored in the melodramas produced there. Secondly, the Britannia's audience loved special effects and spectacle, and these tend to feature prominently in productions between 1844 and 1855. The third point has more to do with George Dibdin Pitt's growth as a playwright than with the audience. His latter years heralded a new darkness and cynicism in the playwright's

work, a darkness and cynicism characterized by the man-eat-man free enterprise and industrialised urban sprawl of The String of Pearls.

There were two special occasions, during the Britannia's season, which have attracted considerable attention both in the Britannia's heyday and from theatre historians. These were the Britannia Festival and the Boxing Night opening of the pantomime. Clive Barker notes that most newspaper accounts of the Britannia tended to focus on these two events, a fact which provides a strong hint as to what contemporary observers found to be significant in the Britannia's season.

The Britannia Festival took place on Sarah Lane's benefit night in mid-December, the last night of the season, after which the theatre was dark until Boxing Day. While Wilson claims that the Festival "always took place on the Monday preceding the [Boxing Day opening of the] pantomime," a study of Frederick Wilton's diaries shows that Sarah Lane's benefit was not always held on a Monday and not always in the week before the pantomime.[23] In 1865, for example, Sarah Lane's benefit and the Festival were held on Monday 11 December. In 1867, the event was staged on Wednesday 18 December.

Few commentators have managed to unearth any of the dialogue spoken on the occasion of the Festival. Included in the Lord Chamberlain's manuscript of Dibdin Pitt's pantomime Old Parr (1848) is the opening address for the Britannia Festival, complete with snippets of dialogue to be spoken by other actors in the company. The Festival's program allowed for a sustained monologue, delivered by Sarah Lane, and three or four sentences from each of the company's actors, each dressed in the costume of a favourite Britannia character. The Festival opens with a speech by Britannia on stilts:

Ladies and Gentlemen and kind friends this night

Around me thronging here, a grateful sight,

Pardon the presumption that brings me here

As Britannia's Representative I now appear

Britannia's Children have at Britannia's call

Come to support the Britannia one and all

Speaking as her, I would my thanks record

But can't on stilts articulate a word

In Clemency's Shelahs--or Master Jackeys phrase

I best can speak--because I know their ways

As Britannia, I here my flag of thanks unfurl

Flank'd right and left here by our Theatres Pearl

Please to hear them speak first, and then will I,

To please you each in our several styles to try,

For seven weeks hath Kenneth been honoured by your

smile

Let him begin, and I'll attend the while.[24]

"Rule Britannia" is playing in the background, during Britannia's speech. The rest of the Britannia's company, appearing now as popular characters from seasons previous, waits behind Britannia. Kenneth McRoy and Sally Sadly are there, from the recent hit play First Friendship, as is Sweeney Todd, Kerim the pearl diver, the Queen from Hamlet, Mother Brownrigg, and Barbara from Basil and Barbara. Each of the characters, in turn, utters a few lines of claptrap. Sweeney Todd, for example, asks for the audience's applause "where I deserve it":

But for Sweeney--oh no--well never mention him

In a play, like the world, some of all sorts must be,

And some of the queer one's fall in course to me

Knowing that the Authors meaning if I perceive it
I shall ever gain your applause where I deserve
it.[25]

The Festival was generally celebrated in the middle, or towards the end, of Sarah Lane's benefit evening, preceded by plays or scenes from plays and followed by an afterpiece. A critic for The Theatrical Times provides the following itinerary of events for the 1848 benefit:

> On Monday, the entertainments will be for the benefit of Mrs. Lane; and we trust her friends will testify their admiration of her abilities by surrounding her on that occasion. From the nature and number of the performances, of which we subjoin a list, we anticipate for the fair 'beneficiare' what she justly deserves--a bumper. The entertainments selected for the occasion are 'Robert le Grainge,' 'Light and Shade,' a great quantity of Singing and Dancing, followed by 'a grand novel Address['] to be spoken by Mrs. Lane, and the whole of the company, entitled the 'Festival of Britannia,['] in which each person will appear in a favourite character from each of the different successful dramas produced here during the season, the whole to conclude with the well known drama of the 'Flirt.'[26]

Sarah Lane's benefit night made for a full evening in the theatre.

After each actor recited a brief speech, in character, spectators would shower him or her with gifts which included meat, wearing apparel, and umbrellas. H.G. Hibbert describes the occasion in Fifty Years of a Londoner's Life. Sarah Lane was enthroned as "her Britannic Majesty" at centre stage:

> Around her on the occasion of the Festival were ranged the members of her company, each dressed in a 'favourite' character; a polychromatic court whose constituents came forward one by one to make dutiful obeisance to the Queen, what time a pompous old elocutionist recited an appropriate, original verse of yard-long doggerel, a presentation to Madam from her faithful servants; presents from she in exchange, approving yells from all parts of the theatre,

> and, most interesting of all, 'well-chosen' gifts showered on the members of the company by their admirers, as each retired from the presence--not ephemeral flowers or tawdry trinkets, but joints of meat, rolls of flannel, packets of tea, umbrellas, stockings--selected, I doubt not, with the exact knowledge that Juliet was a respectable married woman, really, with a large family; and that Claude Melnotte's salary was not calculated to overload the Sunday dinner table.[27]

Descriptions such as this one point to a close relationship between actor and spectator at the Britannia. The spectator had an "exact knowledge" of the circumstances of their favourite actors and used the occasion of the Festival to shower him or her with specific and much-needed gifts.

The Britannia would close temporarily after Sarah Lane's benefit night, only to reopen on 26 December--the day the pantomime began its run. The annual pantomime usually ran for ten weeks or more, playing six nights a week. This practice continued through the 1860s and 70s. On 4 March 1864, Wilton noted in his diary that the pantomime Hickory Dickory Dock was closing after a ten week run.[28] The Britannia's pantomime closed on 3 March in 1866 and on 6 March in 1869.

Wilton's diary for 1863 provides a clear idea of the Britannia's usual process in mounting the pantomime. On Friday 16 October, Wilton received "2 Comic Scenes and a portion of the Opening of Pantomime" from Samuel Lane. Wilton's first responsibility, as stage manager, was to read the opening and to provide the carpenters with a scene plot. He spent the following Sunday (18 October) writing out several plots, which provided lists and descriptions of items needed for the opening scenes of the pantomime. He later presented these plots to the Properties Person, the Wardrobe Mistress, and the Mask Maker. On Friday 30 October, Wilton began composing the theatre bill for the pantomime, an activity which occupied his time on the following three Sundays (on which occasions the theatre was dark). On Sunday 29 November, he wrote "16 longs Puffs for newspapers." Rehearsals for the opening scenes of the pantomime began on 6 December. The supernumeraries and the

children were worked into rehearsals on Saturday 12 December. Clown, Harlequin, and Pantaloon commenced rehearsals for the harlequinade on the same day. As opening approached and the theatre was temporarily closed, rehearsal periods were elongated. Wilton notes that the company rehearsed from eleven o'clock a.m. until five o'clock p.m. on 22 December. They rehearsed from eleven to five, the following day, and from seven to twelve-thirty in the evening. Hickory Dickory Dock opened at noon on 26 December, sandwiched between the ghost scene from Jewess of Temple and The Gorilla Hunt.[29]

Dickens attended the Britannia pantomime on a Saturday evening in January 1860. The pantomime began at 6.30pm and was succeeded, after an interval, by a melodrama. Dickens claims that the pantomime was so long "that before it was over I felt as if I had been travelling for six weeks--going to India, say, by Overland Mail."[30] Although he may have been bored by the length of the program, Dickens admired the cleverness of the production and commented that the producers had spared no expense. He describes the action of the play until the transformation scene:

> The Spirit of Liberty was the principal personage in the Introduction, and the Four Quarters of the World came out of the globe, glittering, and discoursed with the Spirit, who sang charmingly. We were delighted to understand that there was no liberty anywhere but among ourselves, and we highly applauded the agreeable fact. In an allegorical way, which did as well as any other way, we and the Spirit of Liberty got into the kingdom of Needles and Pins, and found them at war with a potentate who called in to his aid their old arch enemy Rust, and who would have got the better of them if the Spirit of Liberty had not in the nick of time transformed the leaders into Clown, Pantaloon, Harlequin, Columbine, Harlequina, and a whole family of Sprites, consisting of a remarkably stout father and three spineless sons.

The Spirit of Liberty, who helped to introduce the pantomime and who played a principal role in it, dialogued with the four corners of the world in such a way as to emphasize the conservative political message of the pantomime. She made the

audience aware that it should be happy with its lot in life, for the sweetest liberty was the liberty enjoyed by British men and women. Dickens explains that the remainder of the pantomime--after the transformation scene--consisted of standard pantomime routines:

> After this era in our existence, we went through all the incidents of a pantomime; it was not by any means a savage pantomime, in the way of burning or boiling people, or throwing them out of window, or cutting them up; was very often droll; was always liberally got up, and cleverly presented.[31]

Not a savage pantomime, it was nevertheless similar to the pantomimes Dickens had seen at other theatres, with Pantaloon and the villains in pursuit of Harlequin and Columbine, who make several escapes but are caught in the end.

Evidence from George Dibdin Pitt's playscripts suggests that the Britannia's harlequinade was filled with traditional routines. In the manuscripts which survive in the Lord Chamberlain's Collection, Dibdin Pitt includes only the first four of five scenes--those which occur before the transformation scene--and the last one or two, when the characters return from the harlequinade to their previous identities. These must have been all the scenes the actors needed, for the core of the Britannia's pantomime was based on a traditional set of actions upon which the actors improvised. A.E. Wilson's account emphasizes the Britannia's adherence to pantomimic traditions which had been abandoned in other theatres:

> The pantomimes at the Britannia from its earliest days were something quite unique. They had a character completely of their own. They were among the last to preserve the harlequinade as an essential and integral part of the entertainment. The "comic business" was not skimped and cramped into one scene but extended into a number of opportunities for the stealing of sausages, the ill-treatment of police and "swells", the purloining of babies and for all the trick changes of scenery as was the custom in Grimaldi's day.[32]

The traditional harlequinade was central to the Britannia's pantomime, long after it had been adulterated or excised in other theatres. Wilson describes other conventions of a by-gone era, which were retained in the Britannia's pantomime:

> The pantomimes preserved many of the old conventions long after they had been abandoned by more modern-minded producers. The chases, the "cascades" and "catch" scenes, the heroically gymnastic encounters with the Demon King with the use of trap-doors and "star traps" and such mechanical devices, were always a feature of the show. And the transformation scene in all its tinselled and kaleidoscopic glitter was always something worth seeing.[33]

The charm of the Britannia's pantomimes was their adherence to pantomimic conventions of bygone days.

One of the reasons the Britannia was so successful was that it enjoyed a stable management. As Davis and Davis point out, the theatre was controlled by the Lane family for almost sixty years, and every person who held a managerial position was related to Sarah Lane. Her husband Samuel Lane founded the theatre and ran it until his death in 1871, when Sarah Lane herself took control. Sarah Lane's father William Borrow was associated with the theatre from the 1840s until his death in 1872, at which time he was serving as acting manager, front of house manager, and treasurer. When Borrow died, William Robinson, who had married Sarah's sister Polly, moved into a managerial position. The result of this stable family-controlled management was that certain actors, like G.B. Bigwood, F.C. Wilton, and Cecil Pitt, were employed steadily by the theatre for periods of more than twenty-five years each.[34]

The acting company of the Britannia was respectable, according to several reports. J.B. Howe writes that it "was notorious that they had some of the best actors in London in their staff."[35] There are indications that some fine melodramatic acting occurred even in the mid-1840s, as the company was being assembled. Frederick Wilton was the Britannia's stage manager in 1842 and 1843, but he resigned after a

falling out with Samuel Lane and returned to the same position two years later.[36] In those two intervening years, Dibdin Pitt performed the duties of house dramatist and acting manager. According to P. Hanley, the structure of the acting company influenced Dibdin Pitt in the composition of his plays. In Random Recollections of the Stage by an Old Playgoer, Hanley asserts that a healthy competition between two leading actors, Mr. Hicks and Mr. H. Dudley, led Dibdin Pitt to create melodramas which featured two equally good parts:

> Hicks opened as Rolla on December 26th 1845 and shortly afterwards appeared in the drama entitled The Wizard of the North, or The Ship of the Avenger. He played the dual characters of a pirate captain and the commander of an English frigate, characters which he had represented most successfully at other theatres. Then came several new pieces from the pen of the veteran author and actor Mr. Dibdin Pitt. The leading actor at the time Hicks appeared was Mr. H. Dudley, who was exceedingly popular, so that there was a strong professional rivalry between the two actors, and as the author generally wrote two good parts in each piece their chances were pretty equal.[37]

The rivalry between the two actors might help to explain why Dibdin Pitt created so many plays between 1844 and 1846 which featured character-pairings--plays like David Hunt, which pairs an honest lawyer against a dishonest one, or Moyra, which pits "a merry gay fellow" against a grave one. In such plays, one male character usually represents psychological and emotional balance while the other represents imbalance. Higley suggests that the Britannia's acting company reached a zenith between 1849 and 1851, when Celeste Stephan, Mrs. Edward Yarnold, Joseph Reynolds, and Charles Joseph Bird were in the theatre's employ.[38]

The Britannia's management was highly secretive about the salaries of its actors. In his diaries, Frederick Wilton recorded weekly salary figures for the 1860s and 1870s. Leading actors like Joseph Reynolds, J.B. Howe, and Miss L. MacDonald, and low commedians like Bigwood, were earning four pounds per week

(although Bigwood's salary was later reduced to three pounds per week). W.H. Pitt, an actor who specialized in playing "heavies," was making two pounds ten pence per week. Supers were generally paid nine pence per week. This had changed from the early 1850s, when Reynolds was making between five and six pounds per week (with a full benefit each year), and Howe was offered a yearly contract paying him two pounds weekly with a half-clear benefit.[39]

The employment of supernumeraries at the Britannia is a matter for conjecture. As Davis and Davis maintain, the term "supers" describes "the most casual of employees, making up numbers in a new melodrama" and performers who played small parts and were rarely out of work and also child performers, who were usually relatives of full-time employees of the theatre. In 1862, the Britannia listed twelve male supers as continuous employees of the theatre.[40] This practice was probably anomalous; usually, like other theatres, the Britannia hired its supers on a casual basis. Thomas Erle suggests that the Britannia's supers were Hoxton locals. With more than a hint of sarcasm, he describes the ending of The String of Pearls, in which supers rush on as soldiers to apprehend Sweeney Todd:

> The Barber is then taken into custody. But not by policemen. Not a bit of it!... A party of supers rush in attired in the uniforms in which they are accustomed to "do" the Swedish army in Charles the Twelfth, and let off their muskets with signal intrepidity, firing earnestly upwards, as though anxious to hit some bird or other object which they must be supposed to have descried flitting about among the gas battens.

Erle adds that a study of the supers of the Britannia convinced him that Hoxtonians are not the embodiment of physiognomical perfection: "From the physical appearance of the supers who 'do' the virtuous peasantry in the background, the critic must pronounce that the aborigines of Hoxton do not embody one's notion of the perfections of agricultural humanity, physiognomically viewed."[41] The critic for The Theatrical Journal, however, was able to write about the supers in Life of a Soldier without laughing at them. He notes that an "effective precision was displayed in the

1851 revival of Dibdin Pitt's [play] by the manoeuvres of a detachment of guards from the Tower of London who 'go through bayonet and light infantry exercise which being done with great precision, has an astonishing effect."[42] While supers were not always gleaned from the immediate area, the practice of employing locals as supers solidified the close relationship between theatre and community.

Another reason for the Britannia's unusual stability was its practice of employing stock playwrights for lengthy periods of time. Dibdin Pitt was the first of these, contributing numerous plays in the mid- and late 1840s. In the 1850s, Colin Hazlewood, perhaps the most prolific of the Britannia's stock playwrights, embarked on a long career at the Britannia. Dibdin Pitt's two sons Cecil and W.H. Pitt also contributed plays, on a fairly regular basis, to the theatre. A.E. Wilson suggests that the Britannia's stock playwrights wrote formula plays, which were certain to please:

> They knew precisely the kind of audience they were writing for. They had a wide knowledge of stage effect and (blessed with good memories) of the situations that most appealed to their public. Everything that had once pleased or thrilled a Britannia audience was sure to crop up again in some variation or another. As has been truly said all the plays were cast in the Britannia mould and there was never the slightest doubt about their success. Failures were almost unknown.[43]

The Britannia's stock playwrights had one important thing in common--they knew their audience. While they may be accused of writing formula plays, Dibdin Pitt and his antecedents knew what their spectators liked and made certain that it found its way to the stage.

The Britannia did not reward its playwrights with untold wealth, however, which is one reason why Dibdin Pitt assumed the additional duties of acting manager in his early years at the theatre. The going rate for a melodrama or a pantomime, at the Britannia from 1846 to 1850, was between two and three pounds. Burlettas were purchased at a rate of thirty shillings, or one pound and fifty pence, apiece.[44] In a memorandum of agreement, signed in 1850, Samuel Lane paid Dibdin Pitt the

princely sum of two pounds for complete rights to his play The Fatal Brand. These low author's fees, when compared to the four pounds weekly paid to leading actors, suggests that playwrights were indeed at the low end of the financial spectrum in London's minor theatres. Dibdin Pitt was further impoverished by a reduction in his weekly salary from fifty shillings to thirty-five shillings, commencing on Boxing Day 1845.[45] John Russell Stephens conjectures that Dibdin Pitt's low salary, combined with his illness and a tendency to run afoul of the censors, led to his disassociation with the Britannia after 1851.[46]

* * *

The conflict between economic values and religious precepts, in the newly industrialized Hoxton of the 1850s, resulted in a profound sense of uncertainty and insecurity among its inhabitants. The popular theatre moved quickly to comfort and to reassure, in this atmosphere, setting up behavioural and moral codes and testing their validity as a defense against evil. In this regard, theatres like the Britannia fulfilled one of the functions normally assigned to organized religion. Higley writes that, "in the case of a large part of the Shoreditch community, certain of the social and emotional functions of religion were being performed by nineteenth century popular drama."[47] He explains:

> It seems probable that the development of mass entertainment of the type and on the scale that is to be found in the mid-nineteenth century reflects both a commercial exploitation of the urban poor, but also, and perhaps more importantly, the decline of organized religion as a meaningful part of community life. The emergence of a drama where the issue was 'not the knowledge of self but the maintenance of self' is intimately involved with the growth of an increasingly industrialized, mechanized and urban society, where man was defined by his relationship to the material objects of value in his environment.[48]

The melodramas presented at the Britannia, in Dibdin Pitt's time and afterwards, reflect a search for new moral codes as well as an undying belief that material wealth

is only fleeting. While the Britannia fulfilled an important religious function in its productions, it also served (like several theatres in London) as a church on Sundays. Dickens attended a service at the Britannia and describes an audience as large as the audience which had attended the pantomime the night before:

> There must have been full four thousand people present. Carefully estimating the pit alone, I could bring it out as holding little less than fourteen hundred. Every part of the house was well filled, and I had not found it easy to make my way along the back of the boxes to where I sat. The chandeliers in the ceiling were lighted; there was no light on the stage; the orchestra was empty. The green curtain was down, and, packed pretty closely on chairs on the small space of stage before it, were some thirty gentlemen, and two or three ladies. In the centre of these, in a desk or pulpit covered with red baise, was the presiding minister.[49]

Of the four thousand people present on that night in 1860, Dickens notes that only the wealthiest citizens who had attended the pantomime the night before, and a number of "respectable strangers," were in attendance. If the sermon had been less calculated to offend them, Dickens concludes, the lower orders of the Hoxton citizenry might have been there, as well.[50]

[1] Michael R. Booth, "East End and West End: Class and Audience in Victorian London." Theatre Research International, 2 (1977), 102.
[2] Booth, "East End and West End," 103.
[3] Clive Barker, "The Audiences of the Britannia Theatre, Hoxton," Theatre Quarterly, 9, 34 (1979), p. 31.
[4] quoted in J.J. Higley, "A study of some social, literary and dramatic aspects of the Victorian Popular Theatre as illustrated by the Britannia Theatre, Hoxton, 1843-1870." (Diss. Univ. of London 1973), p. 90.
[5] Barker, "The Audiences of the Britannia Theatre, Hoxton," 38-39.
[6] Jim Davis and Tracy C. Davis, "The People of the 'People's Theatre': the Social Demography of the Britannia Theatre (Hoxton)," Theatre Survey, 32 (November 1991), 160.
[7] Higley, p. 105. Higley's use of the word "dreams" points to a common and simplistic assertion about melodrama: that it was escapist entertainment, allowing its audience a momentary avoidance of the sordid real life that awaited outside the theatre. According to Higley, the audience at the Britannia was escaping into the dreams offered up by the theatre's stock playwrights. This does not take into account the notion, already delineated by Bernard Sharratt, that many melodramas (including those produced at the Britannia) presented their spectators with a world far more horrible than their real lives.
[8] F.S. Schwarzbach, Dickens and the City (London: Athlone, 1979), p. 10.
[9] Higley, p. 33.
[10] Higley, p. 20.
[11] Jim Davis, The Britannia Diaries, 1863-1875: Selections from the Diaries of Frederick C. Wilton (London: Society for Theatre Research, 1992), p. 85.
[12] Thomas Archer, "A Down East Sketch," The Porcupine (29 December 1866), p. 464.
[13] Jim Davis and Tracy C. Davis, 165.
[14] Jim Davis, The Britannia Diaries, p. 26.
[15] Thomas Erle, Letters From a Theatrical Scene-Painter (London: Marcus Ward, 1880), p. 67.
[16] Barker, 28.
[17] Jim Davis, The Britannia Diaries, p. 8.
[18] Higley, p. 174.
[19] Jim Davis, The Britannia Diaries, pp. 90-91.
[20] Jim Davis, The Britannia Diaries, p. 240.
[21] Erle, pp. 74-75.
[22] Higley, pp. 142-43.
[23] A.E. Wilson, East End Entertainment (London: Arthur Barker, 1954), p. 191.
[24] LCP, MS, v. CLI, fol. 769.
[25] LCP, MS, v. CLI, fol. 772.
[26] "Britannia Saloon," Theatrical Times, 136 (16 December 1848), 475. Wilton's diary entry of 18 December 1867 also proves that the Festival was not the last item on the evening's agenda:

> Last night of the Season. Mrs. S. Lane's Benefit. *Who Did It?* (new) 1st night. Mr Edwd Deane (ist appearance) & Mlle. C. Stephan. *Devil to Pay*. Lady Loverule (Miss Ruth Edwin). Jockey Dance (Xtal Palace mite). *Britannia Festival* (Jessy in

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> it)(played before *Devil to Pay*). Rose Nathan in Skipping Rope dance (1st Appearance). *Drunkard's Children*. Curtain did not fall till 1/4 to One! (Jim Davis, The Britannia Diaries, pp. 135-136.

The above entry also attests to the prodigious length of Sarah Lane's benefit evenings.

[27] quoted in Barker, p. 33.

[28] Jim Davis, The Britannia Diaries, p. 72.

[29] Jim Davis, The Britannia Diaries, pp. 69-71.

[30] Charles Dickens, The Uncommercial Traveller and Reprinted Pieces (London: Oxford Univ. Press, 1958), p. 30.

[31] Dickens, The Uncommercial Traveller, pp. 32-33.

[32] Wilson, p. 179.

[33] Wilson, 179-180. While it may have been seeing when Wilson attended (which was late in Sarah Lane's career), the transformation scene was not always ready for the Boxing Day opening. Wilton comments that the lack of readiness at the opening frazzled the nerves of at least one scene painter. On 26 December 1868, Wilton commits these words to his diary:

> Morning Performance began 12.30 over at 3.45 Great House. Pantomime, only, played. Transformation Scene, as usual, not ready--Could not be worked--obliged to show it all at once. T. Rogers, the Scene Painter, burst into tears in the Prompt Entrance & cried like a child. 'The best scene I ever did', he said, 'spoiled by those humbugs' (meaning the stage carpenters). (Jim Davis, The Britannia Diaries, p. 152)

The Britannia's carpenters did not always achieve perfection with the transformation scene--at least, not in the eyes of the scene painter.

[34] Jim Davis and Tracy C. Davis, p. 151. Davis and Davis maintain that female performers did not have the longevity of their male counterparts--with the exception of Mrs. Lane.

[35] quoted in Higley, p. 60.

[36] Jim Davis, The Britannia Diaries, p. 74.

[37] P. Hanley, Random Recollections of the Stage by an Old Playgoer (London, 1883), pp. 25-26.

[38] Higley, p. 113.

[39] Higley, pp. 118-119.

[40] Jim Davis and Tracy C. Davis, p. 146.

[41] Thomas Erle, p. 66.

[42] The Theatrical Journal 12 (27 March 1851), 100. Wilton was still hiring soldiers from the Tower to function as supernumeraries in the mid-1860s. (Jim Davis, The Britannia Diaries, p. 69)

[43] Wilson, p. 169.

[44] John Russell Stephens, "Playwright *In Extremis*: George Dibdin Pitt Revisited," Theatre Notebook, 53 (1999), 43.

[45] Stephens, 43.

[46] Stephens, 44.

[47] Higley, p. 309.

[48] Higley, p. 308.

[49] Dickens, The Uncommercial Traveller, p. 35.

[50] Dickens, The Uncommercial Traveller, p. 38.

Cultural Perspectives on Music Education

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Abstract:

Lecture to include different cultural perspectives on music education

3 Different cultures to be examined:

* American
* African
* Japanese

Purpose:

* To show the impact of culture on music and understanding it's importance to being human.

"Jazz, Jim Crow, and Urban Renewal: The Memphis Case Study"

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Following the dismantlement of Jim Crow laws and longstanding overt segregationist social practices in Memphis, Tennessee, the jazz community underwent drastic changes that were viewed by some as progressive while lamented by others as deconstructive. This paper explores the complex reconfiguration of the Memphis jazz community as a result of desegregation laws and urban renewal measurements passed and implemented from the late 1950s through the early 1970s. Based upon personal interviews with various members of the jazz community, theories and predictions of noted Civil Rights activists, and secondary sources from monographs and articles describing the social and political history of Memphis, the presentation seeks to uncover the specific details of integration in Memphis and its direct and indirect relationship to jazz education, the availability of club space and venues featuring live jazz, and the economic backing for jazz. Among the primary objectives of this paper are to: (1) describe the precise political and social changes experienced by the African American community of Memphis during the Civil Rights era; (2) explicate the ways in which Beale Street, an important area for jazz activity, and the jazz community at large were impacted by this transition including both positive and negative views; and (3) theorize on the ways in which the dichotomous positions of opinions voiced by the Memphis jazz community may, in fact, be reflective of a larger,

widespread problem evident in countless other jazz communities throughout the United States during the period under scrutiny.

Since the Reconstruction Era, Beale Street in Memphis had functioned as the nucleus of Black popular culture in the entire Mid-South region. Yet, in its current state, the former "Main Street of Black America" is hardly the avenue it used to be. The metamorphosis of Beale dates back to the pre-World War II years. Geographer Donald Williams (1970:21) asserts that the 1940s saw the rise of retail stores and pawnshops owned by Jewish and Italian merchants as more African American owned businesses were sold or closed down. "Nat D. Williams, school teacher, newspaper columnist, and commentator on affairs in black Memphis society, perceived obstacles to minority economic progress in the postwar situation. Several small black enterprises on historic Beale Street were being displaced. Williams thus wrote that "a new blues" had begun to pervade Beale. Minority businesses failed because of "slim resources, unsettling conditions of the post-war, black market, or the destruction of OPA [the Office of Price Administration]." White businessmen could locate on Beale, but Main Street remained impenetrable to their black counterparts (Melton 1982:250). For the *Memphis World*, a black newspaper, Williams wrote a weekly column entitled "Down On Beale Ave." in which he monitored the changes on Beale and foretold of an inevitable ending to the street's activity as he and others knew it. As early as 1946 Williams predicted that Memphis was "entering dark days when such a history-laden, glamorous, intriguing, and stimulating area as Beale Street has to die such an ignominious death" (Williams 1946:2).

The manner in which segregation unified the black community in Memphis and, as a by-product, created a solid economic base of guaranteed patrons was a crucial component to the maintenance of the Memphis jazz scene. Jazz flourished in tandem with the successes of the

black entertainment industry Memphis. The Mitchell Hotel, owned and operated by Arthur "Sunbeam" Mitchell and his wife Ernestine, is a prime example of the way in which Beale Street continued to offer places for African Americans to congregate and maintain a healthy social life. Sunbeam Mitchell's place was not only significant on the local level, but also attracted the attention of national artists, especially those of African American heritage. On several revealing occasions, African American jazz musicians who were members of integrated bands could not perform with their groups at the Peabody Hotel, the venue patronized by whites. For young jazz musicians, this aspect of segregation allowed them the opportunity to hear and talk to nationally known artists. While the Peabody Hotel in downtown Memphis hosted professional performances of white jazz artists touring the area, blacks established a "jazz haven" at Mitchell's Hotel on Beale. Popular groups like the Dorsey Brothers frequented the South but had to adjust their performances to suit the expectations of Southern audiences. Needless to say, segregation was especially an obstacle for racially integrated bands coming to the South. Former sideman with Miles Davis, saxophonist George Coleman commented on an exemplary incident that involved trumpeter Charlie Shavers, an African American on tour with the all-white band led by the Dorsey Brothers:

> "Yeah, that was a nice place for the cats because at Mitchell's Hotel the guys would come in from all over the country, to jam, you know. A lot of times what would happen is…this is a very historic thing I want to tell you…a lot of times the black musicians would hang out at Mitchell's Hotel because they couldn't go to the Peabody. They would be in white bands. Like Charlie Shavers, the trumpet player…he'd be in Tommy Dorsey's band, but he couldn't go play at the Peabody Hotel. They wouldn't let him play. The Jim Crow bullshit during that era would not allow him to play with the band at the Peabody. So he would come to the Mitchell's Hotel where we were playing and hang out there until the gig was over, you know. And then they would move on somewhere else. But this is what happened. I know that for a fact because he showed up one night and he said, 'I can't play there at

> the Peabody.' It's different there now, but this is back in the Jim Crow era."
>
> (Coleman Interview 1997)

In this example and many others, jazz culture in Memphis rearticulated the social codes and norms evident in the general society of the time. Race continued to be a crucial issue confronting jazz musicians in and outside of the South.

Although Jim Crow laws were ultimately aimed at discriminating against African Americans, it did indirectly result in a certain kind of cohesiveness among the community. It is this rather uncanny byproduct of legal segregation that worked as a galvanizing force among the African American community and jazz musicians in Memphis. Beale Street was well patronized mainly because it was one of the few places for African Americans to congregate in Memphis and the Mid-South. Of course, the key issue here is the way in which African Americans transformed *their place* to be within a white-dominated society into the *only place to be*. Saxophonist, Evelyn Young remembered the attraction of Beale Street that drew the African Americans of all social levels and economic backgrounds. She particularly recalled that on a typical weekend bustling with activity "you had to ask people, excuse me, please…because there were so many people down there like New York" (Evelyn Young quoted in *All Day and All Night* 1989). Alto saxophonist Andrew Goodrich offers more insight into the dichotomous results of segregation. On the effects of segregation upon the jazz community he states:

> "Well, it affected jazz in a number of different ways. We were relegated to play basically…we couldn't play the Peabody Hotel. Blacks couldn't even stay there. We played basically for whites mostly in places that we couldn't go…weren't able to go as a client or as a patron. That's all in Memphis and also throughout Mississippi. So, it was very segregated and unequal…very, very sharply unequal. But, part of that…there were some pluses in some of that because we were, in developing our music, we had a community of compatriots and

> musicians that the audiences, number one, appreciated the music. They knew what you were doing. They danced to the music and enjoyed it…and musicians that learned from each other and we taught each other and picked up on various kinds of tools that assisted you in improvisation."
> (Goodrich Interview 2000)

To speak of the positive and advantageous qualities of segregation seems, at first thought, contradictory in nature. Yet in the course of this study quite a number of the informants who grew up prior to desegregation remember the benefits such as strong communities and cultural unity that seem to have been lost in the transition to integration. Emerson Able speaks fondly of the days when "Beale Street was our [*African Americans'*] street!" He continues saying, "then…we are talking about clubs, exposure and a proving ground or training ground for the younger musicians in which we do not have here anymore. When they started desegregating things, that's when it fell apart" (Able Interview 2000). Possibly because of the uniting affect of segregation upon African Americans, the Memphis jazz community of the 1940s appears to have been particularly strong when Beale Street functioned as a finishing school of sorts, forging relationships of both professional musicians and young aspirants.

On a socio-political level the winds of change were steadily increasing throughout the 1940s. African American veterans that returned to the United States after fighting in World War II found the same unfair social practices towards blacks they had left before. Swedish scholar Gunnar Myrdal theorized that African American political and social consciousness would reach a new height as a result of wartime thinking (Melton 1982:243). In Memphis, African American veterans returned to police brutality, rising unemployment and unfair hiring practices, all of which amounted to a growing sense of frustration.

This frustration is detected in the growth of political organizations among the African American community in Memphis. Increased interest in the local chapters of groups like the NAACP, the Urban League and a host of smaller movements demonstrated the immediacy of social equality from an African American standpoint. On Beale Street police brutality was becoming more widespread and a topic of discussion among activists. Gloria Melton notes that:

> "The black press described a "quickening tempo in the use of pistols, bullets, and blackjacks" by police on Beale Street. Bystanders reported more frequent scenes of police confronting blacks with physical and verbal abuse. Animosity toward the constant presence of white police in black neighborhoods and in the business district on Beale sometimes inflamed tempers."
> (Melton 1982:259)

Beale Street was changing, but it was yet apparent if it was for the better.

From 1950 to the 1970s the Memphis jazz community experienced its most drastic changes ever. On a broader level, one might agree that the particular case of the Memphis jazz tradition is no different than other cities throughout the United States. Jazz was metamorphosing from the dance-oriented style of swing to more of an art purely for listening. The post-World War II years saw the explosion of the new revolutionary style of jazz known as bebop.

Like so many other cities, in Memphis "the stunning big band machines were no longer economically viable…in their place came smaller six- and eight- piece jump bands" (Withers 2001:10). Jazz musicians choosing to play bebop often found themselves ostracized from the limelight and widespread public acceptance enjoyed by swing musicians. Nonetheless, musicians found creative ways to appease audiences yet fulfill their own artistic endeavors.

The most impacting agent of change affecting the jazz community during this period was undoubtedly the dismantling of legal segregation. Jim Crow laws had existed in Memphis since the late 1800s and had become the social norm in the South. But, by the mid-1950s African

American social and political organizations began to push for the desegregation of public institutions and facilities. Several events preceded the drive for this action that created an opportune environment for social and political mobilization.

First, the almost half-century reign of political kingpin and staunch segregationist, E.H. Crump had begun to come to an end when his senatorial and gubernatorial candidates were defeated in 1948. Second, the poll tax that he had used to secure the black vote was abolished in 1951. This act liberated African Americans to vote more independently from the Crump machine's influence. And third, the final blow came with the death of E.H. Crump in 1954.

1954 was a pivotal year for African Americans in the United States with the Supreme Court's ruling on the *Board v. Board of Education* case. On a national level, the separate-but-equal basis for Jim Crow laws had been crushed. African American politicians and activists capitalized on this fact and soon after pursued a number of legal battles to enforce the verdict in public learning institutions. Political scientist Sharon Wright notes that: "the NAACP targeted one area at a time to integrate during the mid- and late 1950s – Memphis State College (which later became the University of Memphis), parks, buses, libraries, and so on" (Wright 2000:42). In 1955, a group of African American attorneys filed a suit in federal court to allow the admission of eight black students to Memphis state. The legal battle lasted four years, until the fall of 1959 when the first African American students were allowed to attend the university.

Until this time the association of jazz with higher education was mainly confined to music programs hosted by black high schools and local black colleges. However, in 1960, one year after the federal mandate that outlawed segregation in public education, Dr. Tom Ferguson founded a jazz program at Memphis State University. Ferguson actively recruited both black and white students, creating a type of integration within the jazz community that had rarely

existed before. Among his most widely known recruits were the young lions of the next generation, including former pianists with Art Blakey's Jazz Messengers, James Williams, Mulgrew Miller and Donald Brown. Since 1960, Memphis State (now known as the University of Memphis) has continued to be a noteworthy and consistent contributor to the local jazz scene.

The desegregation of public elementary and secondary schools occurred some years after the defeat of segregation in the higher education system. The first day of integration for any school within the Memphis City School system was on October 3, 1961. For most segregated cities in the South the Supreme Court's ruling to desegregate public schools was a loud bark with little bite, especially since it included the infamous clause of implementation "with all deliberate speed." With a license to do as they pleased, city governments in the southern United States dragged their feet in complying with the new law. It has been noted that ten years after the case "barely two percent of three million school-age African Americans in the South attended desegregated schools" (Wright 2000:147). In 1960, four years after the *Board v. Brown* case, the Memphis chapter of the NAACP filed a lawsuit to desegregate the public schools known as *Northcross v. Board Education*.

Besides the desegregating of Memphis State University in 1959, the jazz community would be greatly impacted on the level of secondary school desegregation. All of the up-and-coming jazz musicians until this period were associated with well-rounded music programs at local black high schools such as Booker T. Washington, Melrose, Hamilton, Manassas, and Douglas. These school sites were central to the African American community and the bands often performed at functions on and off-campus. The students attending these schools lived in the surrounding neighborhoods and maintained a connection with the school even beyond the point of graduation.

Two significant changes related to desegregation affected the student population at these schools. First, black families were dispersed into other areas either by choice or by force. With the growing pressure on whites by federal law to discontinue restrictive covenants that prohibited the sale of property in designated areas to blacks, middle class African Americans began purchasing homes in sections of town there were previously off-limits. The city also began purchasing black-owned homes for "slum clearance projects" that made way for railroads and other industrial needs. Incidentally, these factors helped to dilute the strong concentration of musical talent that emerged from cohesive black communities surrounding the schools.

Second, integration through busing further weakened black communities and the schools that served them. Because of the segregation that existed as a result of housing discrimination, blacks would never have the opportunity integrate schools outside of their immediate communities. In addition to this fact, outright refusal of many whites to send their children to school with blacks prompted the Memphis City School system, in the spring of 1972, to implement a busing plan that would send students living in racially homogenous neighborhoods to schools outside of their residential areas. In theory, busing was aimed at both black and white students who lived in separate communities. In practice, however, the tactic was only enforced in predominantly black areas and exacerbated a growing problem of unity within the African American community. Musician and educator Emerson Able, who was band director at the highly regarded Manassas High School when segregation ended, identifies the problems with busing in the following statement. When asked how desegregation and busing affected the band program he asserted:

> "Fucked it up! Yeah, because they changed boundary lines. Take for instance in my area, kids living across the street from the school could hear the bell ring but they were bused to Frazier. It just tore down…see, what integration did and I know

> in Memphis…what it did was bus the black kids out of the black community to white schools or white schools that were in other communities. But, the whites were not bussed in to the black schools. But, those with the brain power…this is what they thought would be best – that all of the busses ran from the black community with black students to white schools. So, actually with this happening, there was no sense of belonging for these kids. Every activity they had was not in their community…"
> (Able Interview 2000)

Interestingly, Able's description of integration as it became the norm in most Memphis City Schools bears a striking resemblance to the sentiments expressed by noted Civil Rights activists and scholars Stokely Carmichael (also known as Kwame Toure) and Charles Hamilton. In their seminal work, *Black Power: The Politics of Liberation in America* (1967) the authors warn that integration is a one-way street. They state that:

> "Integration as a goal today speaks to the problem of blackness not only in an unrealistic way but also in a despicable way. It is based on complete acceptance of the fact that in order to have a decent house or education, black people must move into a white neighborhood or send their children to a white school. This reinforces, among both black and white, the idea that "white" is automatically superior and "black" is by definition inferior."
> (Carmichael and Hamilton 1967:54)

In the wake of damage inflicted upon black schools due to busing, a number of previously all-white high schools assumed the role of producing the next generation of talented jazz artists. Among these schools were Overton, the performing arts school for the Memphis City School system, Hillcrest, and Central High School, where pianist James Williams attended. In an almost proportional relationship, jazz programs at black schools like Manassas, Booker T. Washington, Hamilton, and Melrose, which had produced a plethora of remarkable jazz musicians, began to deteriorate while former all-white schools emerged as jazz hotspots.

Amidst all of the turmoil caused by integration, Beale Street, once the "Harlem of the South," faced an almost certain doom. With an outward migration of middle-class African American families to neighborhoods in east and south Memphis, the patronage and economic base of Beale was greatly minimized. The economic ramifications of desegregation in relation to Beale Street are explained in the following question and answer:

> "Where did the good times go? Another irony: integration itself helped bring about the disintegration of Beale. As the civil rights movement gained momentum, as the Jim Crow's nests disappeared, as even newspapers in the South grudgingly began capitalizing the word *Negro* and using *Mrs.* instead of 'the Jones woman' in referring to black women, blacks marched from the back of the bus to the front and onward and upward – away from Beale."
>
> (McKee and Chisenhall 1981:6-7)

Black Power advocates Carmichael and Hamilton explained that social justice would be accomplished by "integrating the Negro in the mainstream institutions of the society from which he has been traditionally excluded." They complained that this concept is based on the assumption that there is nothing of value in the black community and that little of value could be created among black people" (Carmichael and Hamilton 1967:53). Black businessman of Beale Robert Henry stated that, "when integration came the Beale Streeters went everywhere, and it killed this place" (McKee and Chisenhall 1981:7). The interconnectedness of Beale Street's livelihood to integration is further explained in more detail:

> "That basic integration in attitude and inspiration was taking its toll on Beale as a whole. The steady gains in civil rights meant that Beale Streeters were no longer confined to Beale. Main Street department stores began to cater to blacks. New shopping centers opened, draining off still more of Beale's consumers. White theaters no longer relegated blacks to the topmost balconies. Just around the corner were the sit-ins that won blacks the right to sit side by side with whites at lunch counters. And as the integration movement continued to build momentum,

> Beale continued to disintegrate. The old street crumbled more and more, the old buildings deteriorated."
> (McKee and Chisenhall 1981:86)

After some years of black entrepreneurs being ousted from Beale due to increased rents and takeover tactics by white entrepreneurs, and now the decrease of black consumers, Beale Street was reduced to a slum-like state of existence. By the early 1960s, the Memphis Housing Authority designated the area for urban renewal and shortly thereafter Beale Street was a part of the federally funded renovation program. Among the objectives for this program were to: (1) prevent further deterioration and loss of business to the Central Business District (Main Street area controlled by white business owners); (2) preserve an area of historic value; (3) provide tourist and entertainment attraction; and (4) provide a residential development identified with Beale (Williams 1970:32).

The urban renewal program sought to create a "new" Beale yet recapture attractiveness and musical atmosphere of old Beale. The program was unsuccessful for several reasons relating to the displacement of African Americans from the area. Beale Street had existed for years as a haven for African Americans during the Jim Crow era. Yet through a slow, almost methodical series of events, the black community was displaced and eventually weeded out altogether. As a manifestation of the city government's disregard for the cultural significance of Beale Street to African Americans, urban renewal included the razing of the several historic theaters and clubs.

As a result of integration and urban renewal, changes within the Memphis jazz community might very well be mirrored in other cities throughout the U.S. The parallelisms evident in Memphis' Beale Street and St. Louis' Gaslight District, Kansas City's Vine Street and Chicago's Maxwell Street are anything but coincidental. Of course, further study is necessary to

substantiate these connections, but I posit that the social changes following the push for Civil Rights resulted in a decentralization of numerous African American communities in the United States. In Memphis, by the 1990s a new Beale had emerged which catered towards mostly white tourists. Unlike the former Beale, this concocted avenue hosted an overage of blues and rock and roll memorabilia but very little jazz representation. African American guitarist Calvin Newborn published an article in the *Tri-State Defender* on August, 22, 1992 entitled, "Beale Street's Got the Blues and Gone White." The following excerpt from that article clearly express the author's discontentment with the renovation of Beale and its displacement of African American patrons:

> "It is ironic that Beale Street, which before Reconstruction was flooded with black-owned businesses, is now flooded with white-owned businesses. Clubs on Beale Street are now catering to white tourists who apparently resent being entertained by diversified musicians capable of playing jazz as well as blues. And club owners are hiring groups, many of them white, who solely play blues."
>
> (Newborn 1996:156-157)

It would be interesting to compare and contrast Newborn's experiences with those of other African American jazz musicians in other cities during this same period. Perhaps, such information would help jazz historians fill the lacuna that exists between the heyday of jazz in the 1960s and the jazz revival of the 1980s.

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3rd Annual Hawaii International Conference on Arts and Humanities

Title: "Intelligence, Surveillance, Interaction, Reaction and Performance"
Topic: Interdisciplinary performance, art and new technologies
Format: Research Paper
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Sue Broadhurst is a lecturer in the Department of Performing Arts, Brunel University, West London. She is author of *Liminal Acts: A Critical Overview of Contemporary Performance and Theory,* London: Cassell/New York: Continuum, 1999 and *Digital Practices: A Critical Overview of Performance and Technology* (forthcoming, Peter Lang Publishing, 2005) together with various articles, including '**Interaction, Reaction and Performance: The Jeremiah Project',** *The Drama Review,* MIT Press (Fall 2004). Sue is a performance practitioner and is currently working on a series of collaborative practice based research projects entitled, "Intelligence, Interaction, Reaction and Performance," which involve introducing various interactive digital technologies into live performance including, artificial intelligence, 3D film, modeling and animation, and motion tracking. She is also co-editor of the *Body, Space & Technology* on-line journal http://www.brunel.ac.uk/depts/pfa/bstjournal/index.htm.
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Abstract for research paper

In my work I explore performance practices that explode the margins between the physical and virtual and what is seen as dominant traditional art practices and innovative technical experimentation.

Blue Bloodshot Flower is a performance that utilises visual surveillance technology, motion tracking, and artificial intelligence, demonstrating a strategic partnership between the Arts and Technology. The performance is an interaction between a physical performer, Elodie Berland, the audience, and Jeremiah, an avatar. Jeremiah is a computer generated animated head based upon Geoface technology. He(It) has a simple bone structure which allows him to express himself and his emotions, such as, anger, sadness or happiness. He is developed from surveillance technology and as such has eyes with which he can see.

One of the most interesting aspects of this project is how much the performer/spectator projects into the avatar. Jeremiah, as we know, consists of computerized artificial intelligence with the ability to track humans, objects, and other stimuli and react directly and in real time. However, interacting with Jeremiah is anything but objective. Although Jeremiah is programmed to react to certain stimuli, with specific emotional expressions, he can also demonstrate random behavior that can be fairly disruptive during a performance. This unpredictability adds a further "real life" dimension to working with a virtual figure.

Working with a virtual performer questions traditional notions of origin and identity since Jeremiah's identity is in no way fixed and his origins are dubious. As well as questioning accepted conventions of authorship, ownership and intertexuality, digital technology brings traditional assumptions of reproduction and representation into question given that in every performance Jeremiah is original and is literally "reproduced again" and not "represented."

This performance can also be seen as a critical deconstructive practice as its apparent complicity with dominant means of digital representation whilst trying to destabilize that identity underpins areas of concern regarding the commodification and consumerism of technology since much of it is provided by multi national corporations together with its very real links to the military establishment. All of which, are at odds with the objectives of the performance.

Finally, although much interest is directed toward new technologies such as Jeremiah, it is my belief that technology's most important contribution to art is the enhancement and

reconfiguration of an aesthetic creative potential which consists of interacting with and reacting to a physical body, not an abandonment of that body. For, it is within these tension filled spaces of physical and virtual interface that opportunities arise for new experimental forms and practices.

Outcomes:

- *Blue Bloodshot Flowers* was presented at the 291 Gallery in London in 2001.
- Several publications and papers have also resulted from this practice-based research including an article forthcoming in The Drama Review, MIT Press.

For video clips of the work please see
http://www.brunel.ac.uk/~emstvvr/projects/jeremiahanim.html

Title:
Bridging the Aesthetic Divide: Creativity in World Cultures

Topic area:
Cross-disciplinary humanities
(Western and non-Western: visual art, dance,
music, literature, film, aesthetics)

Presentation format:
Workshop (Report related to teaching)

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ABSTRACT

Google the phrase "music is a universal language" and you will turn up literally thousands of webpages, many enthusiastically proclaiming that music is a kind of mystical cosmic glue unifying the vast diversity of human experiences. Unfortunately, this well-worn aphorism is more often false than true. In addition to the fact that one culture may not understand another's specific musical vocabulary, the deeper issue is that they may share little or no common musical ideology. What is music *for* in a society? What purposes does it serve? What beliefs does it reflect? How do those purposes and beliefs shape its formal aspects?

This presentation details a successful experience with a crossdisciplinary humanities course entitled "Creativity and World Cultures," which was devised and originally presented as a sophomore-level honors course at Norwalk Community College in Norwalk, CT, and intended for students with little to no previous experience in the arts or aesthetics. Focusing primarily on non-Western societies, the course explores the social, historical, and religious context, function, and importance of creative expression in world cultures. Interrelationships between Western and non-Western genres and forms are also examined, and the course concludes with a re-evaluation of Western ideologies of art from a global perspective.

In order to achieve this goal, students study five "intersections" of genre and society: visual art of the Classic Maya, the music of sub-Saharan Africa, classical Indian dance, Middle Eastern poetry, and Taiwanese film. The five intersections also show various degrees of contact with and influence of Western societies; for example, Classic Maya society grew, flourished, and vanished without ever having contact with the West, while modern-day Taiwan is heavily influenced by Western culture.

In addition to readings on the five areas of study, students also use two companion texts: Ayn Rand's *The Romantic Manifesto* and Sally Price's *Primitive Art in Civilized Places*, which allow them to explore Western attitudes toward aesthetics and the arts of non-Western societies.

Through studying these five intersections, students learn how social, economic, political, and religious beliefs shape both Western and non-Western ideologies of creativity and art and influence both the genres and styles of creative expression produced in a society.

Course objectives:

- To become familiar with examples of creative expression from non-Western cultures
- To discuss Western and non-Western creative styles and genres using appropriate terminology
- To participate in creative experiments in the classroom
- To experience a piece or performance of non-Western art in person
- To explore the ways in which the arts are used in a society
- To understand how social, political, and religious beliefs shape creative expression
- To learn to discuss critically the relationship between creative expression & culture in a society
- To see relationships between Western and non-Western cultures

principles of design and elements of various arts

discovering the
rules by which Western arts work
do non-Western arts work the same way, in terms of either principles or ideologies?
what are our expectations of w. and non-w. arts
what are our judgments

companion texts: Rand Romantic Manifesto, Sally Price Primitive Art in Civilized Places

Five different intersections, each with four factors: art form, world culture, time period, and degree of interaction with the West.
Classic Maya Visual Art (paintings, sculpture, decorative arts) (250-700 AD) (No interaction with the West; a closed system)
Music of Sub-Saharan Africa
Classical Indian Dance (kathak) (antiquity through 17th c.) (check that)
Middle Eastern poetry of Love and Spirituality (Rumi)
Taiwanese film (Ang Lee, Eat Drink Man Woman) (the most interaction with the West; still an evolving system)

Can any useful conclusions be drawn

Is there evidence of Western influence in the media being produced?

Creativity, Politics, and History: Classic Maya visual art.

Creativity and Community: Music of Sub-Saharan Africa
Creativity and Individuality: Indian Dance (improvisation, interaction with musicians who are also improvising, relationship between set movements and improvised ones; kathak is an individual dance, but there are also group dances in Indian culture, and the degree of individuality allowed decreases as the number of dancers increases – bhangra is an example – choreographed ahead of time). Also a spiritual component.
Creativity, Spirituality, and Love: Middle Eastern poetry (poetry is often thought to be the language of love, but here it's spiritual love that is exalted, not romantic love)
Creativity and Modern Society: Taiwanese film

Ideologies of creativity: Western arts and culture as part of a global community

Each tradition developed independently in each culture (w/o being brought in from the West) except film, which came to the west first – so that's an example of a western medium being coopted by a non-western culture. How have they altered it to adapt better to their cultural ideologies?

Almost all of them show religious context/influence, which was true of some western art too centuries ago but which is no longer a necessary component of modern Western art. Maybe this is due to the conception of religious ideas in art as affirming and rededicating ideas shared by all members of the culture; a way of reinforcing spiritual beliefs. But since Western cultures are all so different, this is no longer done; some people feel that they can't understand a piece of Western art when its religious component is too much emphasized.

Students will explore their own creative processes and will be asked to see relationships between realms of creative expression in different societies based on shared ideologies.

Title of the submission: "Who Killed Don Juan? The Evolution of a Legend"

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Abstract of the paper:

Some 400 years ago, a Spanish monk, Gabriel Tellez, better known as Tirso de Molina, brought into the world its most hyperbolical of lovers, don Juan Tenorio. Indeed, the character Tirso created was so powerful that, ever since, many have assumed that he actually existed. In fact, don Juan Tenorio was not an historical figure but a legend that has adapted itself to a surprising variety of purposes and moods – one in which every age has found something to amuse or instruct. Which leaves us with some interesting questions: If the myth of Don Juan was so compelling and enduring that it inspires even today, why did Don Juan fail to get himself born until the 17th century? And what has happened to him in his numerous rebirths? To answer these questions we have to examine the essence of the myth of Don Juan and the extent to which that essence has been maintained or lost over the ages. This paper examines the vast body of critical literature that surrounds and sometimes smothers Don Juan and contends that Tirso's Don Juan, the original Don Juan, is the very spirit of the Renaissance, the most innocent of all Don Juan's, and the standard by which the essence of the myth must be derived and to which it should remain loyal.

Proposal for Paper to *Hawaii International Conference on Arts and Humanities - January 13 -16, 2005*

Title: Talking the Talk – rhetoric and sustainability in subdivision design.

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Title: Talking the Talk – rhetoric and sustainability in subdivision design.

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Abstract:

In the last decade the concept of sustainable development has been widely embraced as the key to environmentally-friendly development. However, in many instances the sustainability side of the equation stops at a rhetorical level and the ensuing developments fail to respond to ecological imperatives or to protect existing ecological values. Nowhere is this failure more evident than at the urban fringes of Melbourne, Australia where residential land estate developments relentlessly engulf degraded agricultural lands which often contain the remnants of vegetative and hydrological, ecological systems. Themes of nature, countryside and environment abound in the marketing literature and amongst designers of these residential subdivisions but is this just sustainability-speak or does a substantive physical dimension accompany the rhetoric? What do landscape architecture practitioners and other players say about the land that constitutes the crux of these designs and how is this reflected in the designed landscape?

This paper postulates that while landscape design practitioners claim the 'authority of the land' for their design inspiration, in reality narrow practice foci and instrumentalist approaches have meant that the design of estates and subdivisions often make only token reference to ecological underpinnings. It is argued that instrumental influences on design decision-making are embedded in landscape architectural professional culture and glossed over with an elusive rhetoric of care and concern for the environment. It is further postulated that individual attitudes to the land and its systems can make a substantive contribution to sustainable design practice.

Using a mixed method of narrative analysis of interviews and content analysis of professional literature which is then compared with physical data collected from three case study sites of residential land estate developments in the Melbourne metropolitan area, marketing and professional rhetorics are examined in relation to the existing land and its characteristics and the relative merits of professional rhetoric and sustainable practice are discussed. Developers, planners, designers and project managers were interviewed for their design approach and the resulting narratives for the three case studies highlight quite different approaches to the design task, with quite different outcomes.

Most proponents of ecological design principles argue for a non-site specific, broad contextual approach. Acknowledgment of the all-embracing and broad-scale character of ecological systems is certainly vital to successful sustainable design in a physical sense, but in a practice sense, reliance on broad-scale, discursive principles can have the effect of diluting sustainablility objectives. Early results in the research indicate that individual assertions of best ecological practice on the part of one or other of the participants in the design process can have a major influence on the substantive sustainability of subdivision or estate design.

Was sent on August 9, 2004

Dear Sir/Madam,

I would like to submit the following proposal for the 3rd Annual Hawaii International Conference on Arts and humanities – January 13-16-2005. Thank you for your consideration.

Sincerely,
Hezi Brosh

Title of the submission: **Student motivation to study Arabic in American colleges and universities.**

Topic area of the submission - **Languages**

Presentation format - **Paper**

Name of the author: **Hezi Brosh**

Department and affiliation: **Division of Languages and Literature, Bard College, Associate Professor of Arabic**

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Abstract

The question posed in this study was: What motivates students to study Arabic in American colleges and universities? Can these interests be seen as primarily cultural "integrative" motivations, based on the students desire to be a part of the community who speak the language? Or, are they "instrumental" deriving from perceptions that acquisition will lead to economic or education advantage? To

answer this question, a sample of 229 students enrolled in Arabic classes in seven colleges and universities were administered a survey. The questionnaire constituted of three parts. The first part included back ground information; The second part consisted of a list of 32 reasons to study Arabic, which were chosen to reflect integrative and instrumental motivations. The respondents were asked to choose their top four reasons and label them in order of importance (1,2,3,4,). The third part consisted of 6 subscales 40 Likert-type, 6 point items measuring attitudes. The findings show that "Interest in Arab Culture and History" and "Interest in the Language itself " were common first choices. Whereas "Required for Major", "advantage when job hunting " and "knowledge about the Arab world" were more commonly chosen as a third or fourth choice.

Swear to Tell the Truth the Whole Truth and Nothing But the Truth
Art History
Paper Sessions

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A proposal for a paper to present at the
3rd Annual Hawaii International Conference on Arts and Humanities

Title: Swear to Tell the Truth the Whole Truth and Nothing But the Truth

Author: Eric A. Brown

Institution: Art Department, Southern Utah University

Abstract: Is it absolute fact, probable, plausible, possible or blatantly false? The blending of all these in Dan Brown's book *The DaVinci Code* has been castigated by an unlikely coalition from the Art History Community and conservative Christianity. The author is censured variably as a writer by pedestrian formulae, a woefully ignorant artistic philistine, or a lamentably careless scholar. But, he has also awakened the public and sparked combustion in a sometimes soggy, apathetic mass.

I discuss the veracity of Brown's version of art and history and argue that in spite of (or perhaps because of) the sensational and sometimes dubious nature of the details, the reader forms a sense of eager curiosity and cautious skepticism. Are these not healthy qualities for a scholar or a Christian? Is it even relevant whether or not the book is factual? After all, what standard of scrutiny shall we apply to a novel in regard to its veracity? We might recall Virginia Woolf's warning that we should not be "asking of fiction that it shall be true . . ." Perhaps it affirms the dynamism of the words and the wholeness of the structure he has fabricated that so many feel compelled to refute them.

Eric A. Brown

Swear to Tell the Truth the Whole Truth and Nothing But the Truth

"The thermometer of success is merely the jealousy of the malcontents." Salvador Dali

It is certainly a phenomenon. As of October 2, 2004, Dan Brown's thriller, *The Da Vinci Code* had sold over 12 million copies (more in the last year than any other book in any other year in history). It had been the bestseller in Canada and the U.S. for more than sixty-five weeks, had been translated into 50 languages, 575,000 internet sites had discussed it, and Sony had paid six million dollars for the movie rights.[1] If it had been unsuccessful it could have been ignored, but, as Ambrose Bierce stated, "Success is the one unpardonable sin against our fellows."[2] A cacophony of voices has arisen to censure to dissect or to defend it from these multiple trajectories: historians, art historians, novelists, revisionist historians, feminists, Catholics, evangelical Christians, and goddess worshippers. It is being sued for plagiarism by the authors of *Holy Blood*, *Holy Grail* and by the author of *The Da Vinci Legacy*.[3] It has been banned in Lebanon and the Catholics' Secular Forum have sought a ban in India.[4]

The intensity of the impulse to refute or to defend is directly related to the vigor of the object of that impulse. What then explains the potency of *The Da Vinci Code*? What are its faults? What are its strengths? And, are these relevant to its value as a novel? Or, does it have qualities that mitigate or negate these deficiencies? Threads collected from Dan Brown's

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[1] Monica Bhatia, "Da Vinci Code'-Harry Potter for Adults," *International Reporter*, October 2004, Vol. XXXI No. 10.
[2] Ambrose Bierce, *The Enlarged Devil's Dictionary* (1967)
[3] "Da Vinci Code's Dan Brown being sued for plagiarism," *Sify.com*, India, Wednesday, 29 September, 2004, 11:29.
[4] Lalitha Suhasini, "Ban Da Vinci Code, says Catholic body: Outrage caused by thriller's alleged slander of Christ," *Mumbai Newsline*. Indian Express Newspapers (Bombay) LTD. September 17, 2004.

ruminations, logic, wishful thinking, ingenious ideas, puzzles concocted from letters, numbers and words, suppositions, and conjecture are all woven into the warp and woof of a kilim consisting of several hundred threads per inch.

The author is castigated variably as a writer using pedestrian formulae, a woefully ignorant artistic philistine, a lamentably careless scholar, or a radical or a faithless heretic. But, he has also awakened the public and laid the spark to tinder discovered in a sodden mass. Dan Brown's mixture of the factual, the probable, the plausible, the possible, and the blatantly false is reminiscent of Georges Luis Borges (a comparison that doubtless Dan Brown would not mind), who "sought to distil beings, titles and events which his fantasy had forged into the history and literature of reality."[5] Borges dreamt of infusing the world with literary inventions that were so strong that they then existed side by side with, or even replaced, reality. His Tlön, Uqbar, Orbis Tertius is a fictitious place whose objects begin to penetrate the world.[6] Brown likewise invades the world with inventions. Perhaps this is why we have not seen such a reaction among the public since H.G. Welles's American broadcast of *The War of the Worlds* which caused panic among listeners, calls to authorities for instructions, flight from homes, and even treatments for shock.[7]

Shock is the reaction to *The Da Vinci Code* of *Christianity Today*'s editor, David Neff. Who entertains a flight of fancy that connects "the novel's poison" to a series of heresies and ultimately to worship of the great mother goddess where male worshipers emasculate themselves in ecstatic frenzy.[8] Here, a personal agenda and disdain for the content of the book prevent the author from really understanding and responding to the book. A tendency then of some of the

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[5] Evelyn Fishburn & Psiche Hughes, *A Dictionary of Borges*. Gerald Duckworth & Co. Ltd. London, 1990, p. ix.
[6] Ibid., 177.
[7] *World Book 2004 (Deluxe)*, World Book, Inc., 233 N. Michigan Avenue, Chicago. S.v. "Radio (The Golden Age of Broadcasting)," by Michael C. Keith.

critics is to draw distant, obscure and tenuous connections and then retire to the safety of a sermon on the ills of present-day society largely written before they ever heard of *The Da Vinci Code*.[9]

A more astute but still acerbic condemnation of the book comes from a Catholic apologist, Sandra Miesel, who smirks that on a literary level she is reminded of "the famous author who crafted her product by studying the features of ten earlier best-sellers. It would be too easy to criticize him for characters as thin as plastic wrap, undistinguished prose, and improbable action". She says that he has " . . . married a thriller plot to a romance-novel . . .", created stereotypical characters, and in short "Brown has fabricated a novel perfect for a ladies' book club."[10] Then, she gets to her real agenda, Christian apologetics, which she has developed into a book with Carl E. Olson. Their book, *The Da Vinci Hoax*, is intelligent, informative and scholarly as is Amy Welborn's *De-Coding Da Vinci*. However, one gets the feeling that they are battling mists and vapors with swords and shields. Steve Kellmeyer's *Fact and Fiction in The Da Vinci Code* is more acrid, even bitterly sarcastic. But the fury and vehemence directed against the weaknesses of *The Da Vinci Code* is intrinsically contradictory. If it truly were truly so weak, a defense against it would not be so imperative. And even if the only strength of *The Da Vinci Code* is its immense popularity, the next question must be why is it so popular? What nerve has it struck? Is it the rebel's thrill of an exposé of a religion? Is it the intriguing and clever puzzles? Is it the reader's ability to identify with the archetypal hero and heroine? Is it the strength of the feminist movement and the sense of an injustice being set right? Is it the universal appeal of Leonardo's personality?

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[8] David Neff, "Editor's Bookshelf: DaVinci Dissenters," *Christianity Today*, June 2004.
[9] As in James L. Garlow and Peter Jones, *Cracking Da Vinci's Code* (Colorado Springs, Colorado, Victor, 2004). In this book they fight fire with fire, or more accurately fictional characters with fictional characters, but then, it neither rises to the level of a novel nor an exposé.

Religious beliefs as presented in *The Da Vinci Code* constitute the largest pile of combustible material. One of the incendiary topics is the origin and authenticity of the twenty-seven books of the traditional canon of the New Testament. Most are surprised by Brown's assertion that there were thousands of recorders of the life of Jesus and more than eighty gospels to choose from.[11] They should be. It is too exaggerated. They should be equally surprised by the notion that the rejected books promoted a cult of the sacred feminine and that these books predate the present canon. The evidence is predominantly contradictory to these conclusions. Even so, there is enough of a kernel of the truth that those who attempt to refute it often overstate their case. There are, in fact, "close to five thousand ancient manuscripts of the Greek New Testament."[12] And, although they are substantially the same, there is disagreement among them; "no two copies are exactly alike."[13] If thousands wrote about Jesus or at least made a "copy" of a gospel, why, we may wonder, are no two the same. The answer lies largely in the fact that every person, particularly those with strong opinions, come to "scripture" with preconceived notions, and whatever the texts say, an individual interprets or "clarifies" it in the light of their own understanding.

An ironic example of this comes from Darrell Bock who wrote *Breaking the Da Vinci Code*. He writes, "I hope clearly to distinguish the difference between fictitious entertainment and historical elements of the Christian Faith."[14] An example from his defense of Christianity is, "Once again an element of *The Da Vinci Code* is exposed and shown to be less than 'fact'."[15] And yet when Bock himself discusses *The Da Vinci Code*'s claims regarding Mary Magdalene

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[10] Sandra Miesel, "Dismantling The Da Vinci Code," *Crisis Magazine*, September 1, 2003
[11] Dan Brown, *The Da Vinci Code* (New York: Doubleday, 2003), 231.
[12] Ben Witherington III, *The Gospel Code* (Downers Grove, Illinois, InterVarsity Press, 2004), 120.
[13] Ibid., 120.
[14] Darrell L. Bock, *Breaking the Da Vinci Code* (Nashville, Tennessee, Thomas Nelson, Inc, 2004), 9.
[15] Bock, 97.

and relates Jesus' appearance to Mary in John 20:15-18, he alters the scene without even realizing it. The familiar passage is, "Jesus saith unto her, Woman, why weepest thou? whom seekest thou? She, supposing him to be the gardener, saith unto him, Sir, if thou have borne him hence, tell me where thou hast laid him, and I will take him away. Jesus saith unto her, Mary. She turned herself, and saith unto him, Rabboni; which is to say, Master. Jesus saith unto her, Touch me not; for I am not yet ascended to my Father: but go to my brethren, and say unto them, I ascend unto my Father, and your Father; and to my God, and your God. Mary Magdalene came and told the disciples that she had seen the Lord, and that he had spoken these things unto her."[16] Notice that it does not say that Mary touched Jesus, simply that Jesus said not to, which might indicate that she moved toward him. Even that much is conjecture. But listen to Bock's description of the passage. "She was clinging to Him so that Jesus told her to let go. Such behavior was unusual in the Jewish culture and would be frowned upon in normal circumstances because public displays of affection between nonrelated persons generally were not culturally affirmed, except in the case of a greeting like a holy kiss" Bock goes on, "The emotion of the moment caused Mary to grab Jesus out of surprise and joy." He continues, "There was nothing sexual about what happened, as some have suggested." Here Bock is trying to discredit the idea in *The Da Vinci Code* that Jesus and Mary were married but accidentally throws gasoline on the fire instead of water, and he is not yet through with his invention of the scene, "She simply reacted spontaneously, welcoming His surprising, new existence with an embrace. The reaction is understandable . . ."[17] he continues to explain. Bock gives his reference as the same King James Version of the Bible as was quoted earlier. This example illustrates that it is just as easy now for a well meaning expert to add a lot of new material to a canonical text, when he thinks

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[16] Holy Bible, King James Version (KJV).
[17] Bock, 18.

that he is simply explaining something, as it was in the first three centuries after Christ. In Bock's defense, many newer translations reflect that the "Touch me not" phrase in Greek is more accurately rendered, "stop touching me" or even "stop clinging to me" and likely Bock is influenced by these without stating so.

The Da Vinci Code's assertions that the Dead Sea Scrolls and the Nag Hammadi "Scrolls" are old documents that were discovered in the twentieth century and that they represent divergent views of established religions is true. But, the Dead Sea Scrolls are not Christian and the fifty-three Nag Hammadi documents do not promote the divine feminine or hieros gamos (sacred marriage). They do, as Brown alludes, include primarily what the characters Teabing and Langdon call "forbidden gospels", more often called Gnostic texts.[18] It is perhaps quibbling to mention that Teabing's date for the discovery of the Dead Sea Scrolls is three years too late and that the Nag Hammadi texts are codices and not scrolls, but they are not older than the canonical Gospels as Teabing states.[19] All the antagonists in the present controversy realize that this is a crucial point. Saying that the antiquity of the Gnostic gospels validates an alternative understanding of the life of Jesus is akin to saying that the bombing of Hiroshima justified Pearl Harbor, both make perfect sense if only one might reverse the chronology. Unfortunately for goddess promoters and conspiracy theorists the evidence overwhelmingly indicates, by both dating and dependency, that the canonical gospels are a generation to more than a century older.[20] The canonical gospels were written at the end of the first century while the oldest of the Nag Hammadi gospels (copied in Coptic after the year 348 from earlier documents) is the *Gospel of Thomas*. The Gospel of Thomas is a collection of 114 sayings of Jesus that originated in the

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[18] Brown, 234,245.
[19] Brown, 245.
[20] Philip Jenkins, *Hidden Gospels: How the Search for Jesus Lost Its Way* (Oxford, Oxford University Press, 2001), 12-13.

second century.[21] It is an ancient forgery, or Pseudepigrapha, purported to be by Didymos Judas Thomas which someone intent on promoting goddess worship must be very careful to omit from their liturgy as it concludes, "Let Mary leave us, for women are not worthy of life." Jesus said, "I myself shall lead her in order to make her male, so that she too may become a living spirit resembling you males. For every woman who will make herself male will enter the kingdom of heaven."[22] Here is a telling example of how the alternate Gospels vary a great deal in doctrine and teachings, not only from the canonical gospels but from each other. If one may risk generalization, they are reliant on mystic spiritual knowledge and they consider the material world (the body) to be evil to a greater, not lesser, extent than orthodox belief.

In the slow process that eventually produced a standard set of gospels, there were three tests of authenticity. First, was it actually written by someone who was close to Jesus? Second, was it widely accepted by the original churches? And third, was it doctrinally consistent with other known teachings?[23] One must admit that these tests do include some problematic circular thinking.[24] In other words, if something in the canon was wrong it tended to remain there because it was accepted and consistent. Conversely, if something was correct but not included in the canon it would be difficult under these conditions to gain entry. Nevertheless, to accept the Gnostic gospels as genuine and authentic and at the same time to reject the canonical gospels when the preponderance of evidence is overwhelmingly contrary is, to quote Jesus, to "strain at a gnat, and swallow a camel."[25]

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[21] Bart D. Ehrman, *Lost Christianities: The Battle for Scripture and the Faiths we Never Knew* (New York, Oxford University Press, 2003), 54-65.
[22] The Gospel of Thomas translated by Thomas O. Lambdin quoted in Dan Burstein's *Secrets of the Code* (New York, CDS Books, 2004), 107.
[23] Everett F. Harrison, "The Canon of the New Testament," pg. 17 of the supplement in Robert Young, *Analytical Concordance to the Bible* (Grand Rapids, Michigan, WM. B. Eerdmans Publishing Company, 1975.
[24] Roger E. Olson, *The Story of Christian Theology* (Downers Grove, Illinois, InterVarsity Press, 1999), 229.
[25] KJV Matthew 23:24.

A number of commentators object to Teabing's statement that, "The Bible, as we know it today, was collated by the pagan Roman emperor Constantine the Great."[26] In doing so they illustrate how the detractors of *The Da Vinci Code* often overstate their case. For example, Richard Abanes's book *The Truth Behind the Da Vinci Code* notes that Constantine did not collate the Bible. The Old Testament had already been compiled and, "As for the new Testament, its formation began by the end of the first century (about 90 or 100) – almost two hundred years before Constantine." Abanes then refers to various ancient lists of books that were thought to be authoritative (none of which are exactly today's canon) then states that " . . . an official list of the 27 New Testament books was not confirmed until 393. . . . But final confirmation of the books did not occur until later (in the 500s). Obviously, all these dates are after Constantine's death. So what did Constantine have to do with the Bible's collation? Not much . . ."[27] What Abanes conveniently omits is that it was Athanasius that gave the first list of the twenty-seven books of the New Testament as we have it today, adding afterwards that, "in these alone the teaching of godliness is proclaimed. Let no one add to these; let nothing be taken away from them."[28] Either Abanes is unaware of this or it is too awkwardly close to Constantine for comfort. It will be remembered that it was also Athanasius's doctrine that was adopted at Nicea as well (although he was not personally there) and Constantine had not only called the ecclesiastical leaders to the council to decide the doctrines of Christianity, it was by Constantine's authority that later they were sometimes violently enforced.

Under the magnifying glass of *The Da Vinci Code* are several Catholic characters and at the locus is a fictitious member of a very real Catholic organization called Opus Dei, which has a unique designation in the church as "personal prelature of the Pope". Portrayed as belonging to

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[26] Brown, 231.
[27] Richard Abanes, *The Truth Behind The Da Vinci Code* (Eugene Oregon, Harvest House Publishers, 2004), 24.

this prelature is the frightening and evil character, Silas, whose blind loyalty and zealotry unmitigated by morality allows any treachery. He is the archetypal religious villain and ignition point. His twisted juxtaposition of the ablution of beautiful Old Testament poetry combined with deadly cruelty heightens the reader's abhorrence of his insanity.[29] The shrapnel from this explosive character inflicts collateral damage on the real Opus Dei, Catholicism and perhaps all organized religion in the process. The curious are interested in what Steven Kellmeyer calls Silas's "heretical or plain silly pseudo-Catholic acts."[30] The reference is surely to his self flagellation and use of the cilice belt which Brown uses to develop the ascetic and masochistic character of Silas. Yet the acts of mortification are, in fact, normally required of the Opus Dei numerary.[31] Opus Dei asserts that corporal mortification is neither heretical nor pseudo-Catholic and approves these "greater sacrifices . . . such as frequent fasting or using a hairshirt, cilice, or discipline . . ."[32] The Jesuit Father, James Martin, who has been critical of Opus Dei, condones at least the milder forms of corporal mortification. But he has expressed concern regarding the lack of oversight by any local bishop over Opus Dei, which is a result of their special prelature

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[28] Athanasius, *Festal letter of 367* quoted in Ehrman, 230.
[29] Brown, 31.
[30] Steven Kellmeyer, *Fact and Fiction in The Da Vinci Code* (Peoria, Illinois, Bridegroom Press, 2004), 29.
[31] ODAN: Opus Dei Awareness Network website (http://images.google.com/imgres?imgurl=http://www.odan.org/images/cord_like_whip.jpg&imgrefurl=http://www.odan.org/corporal_mortification.htm&h=1200&w=1600&sz=340&tbnid=BXlOI4IqB1YJ:&tbnh=112&tbnw=149&start=38&prev=/images%3Fq%3Ddiscipline%26start%3D20%26svnum%3D100%26hl%3Den%26lr%3D%26ie%3DUTF-8%26sa%3DN) defines these instruments as used in practice, "**Cilice**: a spiked chain worn around the upper thigh for two hours each day, except for Church feast days, Sundays, and certain times of the year. This is perhaps the most shocking of the corporal mortifications, and generally Opus Dei members are extremely hesitant to admit that they use them. It is a painful mortification which leaves small prick holes in the flesh, and makes the Opus Dei members tentative about wearing swim suits wherever non-Opus Dei members may be.
Discipline : a cord-like whip which resembles macrame, used on the buttocks or back once a week. Opus Dei members must ask permission to use it more often, which many do. The story is often told in Opus Dei that the Founder was so zealous in using the discipline, he splattered the bathroom walls with streaks of blood."
[32] Opus Dei website. http://www.opusdei.org/art.php?w=32&s=379

status.[33] The growing influence of Opus Dei has piqued somewhat of a sense of rivalry from some other Catholic circles.[34]

In *The Da Vinci Code* Leonardo di ser Piero da Vinci is characterized as a flamboyant, homosexual, nature worshiping alchemist who accepted hundreds of lucrative Vatican commissions, funding a lavish lifestyle while including pagan symbolism in his Christian art.[35] For any part of the preceding sentence to rise to the level of a half-truth would be extraordinarily gymnastic. Leonardo seems to have been the greatest naturalist of his day, but to stretch this into "nature worshiping" must also be elastic enough to include every botanist, biologist, and geologist or any other person who has seriously studied nature. But, there is no evidence of Leonardo ever worshiping nature. Vasari does say, however, that Leonardo studied alchemy when he went to Rome and then gives a list of strange experiments that he performed. Whether or not these experiments really constitute alchemy becomes a matter of definition because Leonardo himself considered alchemy to be a false science both in method and in purpose and wrote of it in disdainful terms in his notebooks.[36] Regarding Leonardo's hundreds of lucrative commissions, we have Vasari's account that when, on one occasion, he was commissioned "to do a work, he straightway began to distil oil and herbs to make the varnish, which induced Pope Leo to say: 'This man will never do anything, for he begins to think of the end before the

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[33] Nicole Zaray, "Opus Dei and *The Da Vinci Code*: Jesuit sees novel as 'junk food'," *National Catholic Reporter* NCRonline.org, September 10, 2004 interview with Jesuit Fr. James Martin.
[34] See Father Richard P. McBrien,, "Vatican II: Whither the renewal and reform" in *Tidings* Friday, August 27, 2004, the weekly newspaper of the Los Angeles Archdiocese, wherein Fr. McBrien, the Crowley-O'Brein Professor of Theology at the University of Notre Dame, is surprised while participating on a panel discussion when his answers to questions about Opus Dei are criticized by a superior of the local Opus Dei that was there without his knowledge and also Ashley D'Mello, "Mumbai follows Da Vinci Code" in *The Times of India Online* (Times News Network, Thursday, September 23, 2004, where rivalry between Jesuits and Opus Dei is discussed.
[35] Brown, 45-46.
[36] Edward MacCurdy,*The Notebooks of Leonardo da Vinci* (New York, George Braziller, 1955), 81-83, 143, 216.

beginning!'"[37] This work was indeed never finished and no others commissions from the Pope are known. However, Leonardo did travel to Rome several times and did work for people connected with the Pope in one way or another, most notably Giuliano de Medici, the Pope's brother. Leonardo, while working for someone connected to the papacy, consulted on the minting of new coinage, consulted on the drainage of the Pontine marshes, designed mechanical devices, wrote a book, 'On Voice', and pursued his anatomical studies. The Pope's comment, recorded by Vasari, and Leonardo's own notes imply that he was hardly the Pope's favorite. With some trepidation he wrote, "The Pope has found out that I have skinned three corpses."[38] His lifestyle was not lavish and only mirrored and was dependent upon that of his patrons, but on a much smaller scale. What pagan symbolism did Leonardo use? Certainly he was a man of his age; an age which greatly revered classicism. We know that he studied Latin, antique monuments and objects, the Roman architect Vitruvius, and Roman military technique. From mythology, he did a painting of Leda and the Swan and also a Bacchus. He seems to have been influenced by the statuary that was unearthed at Hadrian's villa about the time of his stay in Rome.[39] Leonardo admired the knowledge and technique of the 'ancients', but as many have noted, he was less enamored with their religion than any of his famous contemporaries. However, he was very interested in their science and learning. In stark contrast to Michelangelo, there is no clear pagan symbolism in his work.

The Da Vinci Code uses, as an example of his hidden pagan symbolism, Leonardo's first commission upon arriving in Milan. It was a polyptych done for the Confraternity of the

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[37] Giorgio Vasari, *Life of Leonardo da Vinci: Painter and Sculptor of Florence*, 1568, translated in entirety in Ludwig Goldscheider, *Leonardo da Vinci: Life and Work, Paintings and Drawings* (London, Phaidon Press LTD, 1959), 22.
[38] Emilio Lavagnino "Leonardo in Rome" included in *Leonardo da Vinci* (New York, Reynal and Company), 127-133.
[39] Pietro C. Marani, *Leonardo da Vinci: The Complete Paintings*. (New York: Harry N. Abrams, Inc., 2000), 210-300.

Immaculate Conception. The only surviving work from this group is a painting, now called *The Virgin of the Rocks*, which was apparently rejected and a second version produced. For stylistic reasons and according to the reconstructed provenance of the two paintings the version in the Louvre is considered to be the first version and the painting in the London, National Gallery second. As Brown states, the first version was apparently rejected by the lay brotherhood for iconographic reasons. Brown playfully changes the fraternity into a sorority, exchanges the figures of John and Jesus, and mutates the reasons it was not accepted to suit the purposes of his novel.[40] For a beautiful, accurate, documented, and scholarly discussion of the history of these two paintings see Pietro C. Marini's *Leonardo da Vinci: The Complete Paintings*. Here Marini does some authentic sleuthing that would make Langdon and Teabing drool including a suggestion that Leonardo was following a "semiheretical" Gnostic text that placed Mary and St. John at the center of the gospel story.[41] Supporting this theory is the fact that the author of this *Apocalypsis Nova* , the Blessed João Mendes da Silva (also known as Amadeus of Portugal) died in Milan in 1482 where Leonardo had moved that same year. Marini provides evidence that Leonardo may have owned a copy of a book by Mendes. It is surprising that Dan Brown does not comment on the feminine appearance of the angel Gabriel in *The Virgin of the Rocks* considering what he does with the much less feminine looking John the Beloved in Leonardo's *Last Supper*. Brown calls the angel him Uriel but leaves him male.

The identities of the apostles in the *Last Supper* have been discussed much over time, but "the three whose identity in the mural was never doubted" were Peter, Judas and John.[42] But that doesn't deter Dan Brown from transforming John into Mary Magdalene. Leonardo is primarily

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[40] Brown, 138-139.
[41] Marani, 124-155. The London version emphasizes Jesus, minimizes John, adds halos, and makes the scenery more desert-like.
[42] Leo Steinberg, *Leonardo's Incessant Last Supper* (New York, Zone Books, 2001), 76.

using the text from John where Jesus says, "one of you will betray me" because it is the moment the character of each apostle would be revealed. Peter, the hothead, who later that night would cut off the ear of a soldier, beckons to John the Beloved (who had been leaning on Jesus' bosom) to get his attention, wanting John to ask who the traitor was. John is traditionally portrayed asleep to rationalize why he should be leaning on Jesus.[43] Leonardo's preparatory sketches show John's head down on the table. In order to separate Jesus from the disciples and to make him the center of attention, Leonardo wakes John up and has him lean the other way, grouping all the disciples in threes. Peter appears to be angry. Brown describes this as Peter "leaning menacingly toward Mary Magdalene and slicing his blade-like hand across her neck."

Peter holds a knife in his other hand, which Leonardo placed there as a harbinger of the ear incident later that night. Langdon calls this hand with the knife "disembodied", not belonging to anyone at the table. This is simply not true. Even in its present decayed condition, the hand clearly belongs to Peter. It is simply unusually turned. Saying that it belongs to no one at all certainly adds to the mystery of Langdon's and Teabing's tale.[44] Admittedly, this hand is a bit strange. As long ago as 1796, Domenico Pino, the prior of the monastery, compared that hand of Peter with the knife to nine early copies of the painting to determine if it was authentic. Had it possibly been repainted by some other artist in the intervening years? "He concluded it was authentic, since the early copies rendered it the same way."[45]

In the *Last Supper,* Leonardo is combining the narratives of when Jesus announces the betrayal and when he presents the bread and wine as analogous to his body and blood. These

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[43] John 13:22-25 KJV says, "Then the disciples looked one on another, doubting of whom he spake. Now there was leaning on Jesus' bosom one of his disciples, whom Jesus loved. Simon Peter therefore beckoned to him, that he should ask who it should be of whom he spake. He then lying on Jesus' breast saith unto him, Lord, who is it?" and Matthew 26:22 KJV "And they were exceeding sorrowful, and began every one of them to say unto him, Lord, is it I?"

[44] Brown, 248.

were the two traditional moments portrayed in Last Supper paintings and carvings and they come from the traditional gospels. Jesus reaches out his right hand, upturned, toward the wine glass and his left hand, palm downward, toward the bread. The origin of the Eucharist ritual was probably of greatest interest to Leonardo's patrons and Jesus' declaration was likely of greatest interest to Leonardo because that was when each apostle would betray his thoughts and intents.

So, Leonardo is fusing different traditions, moments, and narratives together in the *Last Supper* as Brown states and, unfortunately for his story, they are certainly not the themes of "holy blood" and homage to Mary. But, in *the Da Vinci Code* Robert Langdon and Sir Leigh Teabing give us the source of those tales. "The royal bloodline of Jesus Christ has been chronicled in exhaustive detail by scores of historians." Then the book lists four, two of which are by Margaret Starbird. She wrote *The Goddess in the Gospels: Reclaiming the Sacred Feminine* to explain how she arrived at the conclusions of her earlier book, *The Woman with the Alabaster Jar: Mary Magdalene and the Holy Grail*.[46] It is a tale full of the same kind of pathos as the biographies of John F. Nash known from *It's a Beautiful Mind*. Patterns, symbols and numbers convey so much real and imagined information that neither Nash nor Starbird were able, for a time, to function in a real world. Her descriptions of her experiences in a mental hospital are frighteningly compelling. Here every object; pot, plant, jacket, and every action, gesture, and experience is read as a message of paranoia, to be symbolically deciphered and understood. Both are supreme examples of the reversal of "seeing is believing" into "believing is seeing". The most difficult challenge in trying to be objective in any discipline is to not input preconceptions. Brown takes full advantage of our inclination to see what we believe and does everything he can to predispose us. He salts every mine by surrounding each questionable or

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[45] Steinberg, 227.
[46] Brown, 253.

false statement with a truth or two. He makes us partners with Sophie as she impresses the scholars by figuring out the backwards handwriting clue which Saunière left before they can.[47] This relies on the general knowledge that many people know about Leonardo. Brown prolongs the deciphering so that we can all excitedly shout the answer.

It is time to ask ourselves, "Is it even relevant whether or not the book is factual?" After all, what standard of scrutiny shall we apply to a novel in regard to its veracity? We might recall Virginia Woolf's warning that we should not be "asking of fiction that it shall be true . . ." ". . . Facts," she says, "are a very inferior form of fiction."[48] Perhaps it affirms the dynamism of the words and the wholeness of the structure Dan Brown has fabricated that so many feel compelled to refute them.

Borges was once asked if he would go on writing about real things or imaginary things to which he responded that it was more suitable to place some distance between the literary work and contemporary reality, ". . . I believe the reader is happier when he's reading about something that happened some time ago, because he's not confronted by reality, he's not having to carry out a sort of comparison or inspection of what the author is saying."[49] Dan Brown takes the opposite tack. He makes us uncomfortable. Even though many of the events discussed in *The Da Vinci Code* are ancient, they impinge directly on practically everyone's "contemporary reality". Some feel compelled to set the historical record straight, some would like to debunk and others exonerate Christianity, some would like to promote feminist ideas, even goddess worship.

Brown tells us on page 2 that "All descriptions of artwork, architecture, documents, and secret rituals in this novel are accurate." This may be strictly true but does the sloppy reader infer

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[47] Brown, 298-302.
[48] Virginia Woolf, "How Should One Read a Book?" in *The Second Common Reader* (New York, Harcourt, Brace and Company, 1932), 282, 288.
[49] Rita Guibert, *Seven Voices* tr. Frances Partridge, Random House, Inc., New York, 1973. 101.

that much more is also true? Does Brown also suspend his incredulity for the suppositions and statements of Langdon as well? If so, this is not the first time that an artist has become confused with reality. Like Pygmalion, Dan Brown may have fallen in love with his own creation and become convinced that it has come to life. But is this not the goal of a novel; to create a reality that is internally consistent, that forces you, while you are engrossed in it, to live in that world, to believe in its premises and to experience a flight from the mundane? So then, are there internal inconsistencies within *The Da Vinci Code*? Does he "confuse us, . . . by introducing two different kinds of reality into the same book" as Virginia Woolf proscribed?[50] What, if anything then, breaks the spell that the reader is under? Perhaps it might be the considerable effort made to explain the removal of divine status from Jesus while conversely, little explanation is given regarding why divine status should then be granted to Mary Magdalene. Is it simply a longstanding tradition handed down from paganism? Are we operating under the premise that all religions are false and false traditions gain merit with age, therefore the one with greatest antiquity wins?

Then Robert Langdon, the myth buster who reveals that every "faith in the world is based on fabrication" defines Leonardo da Vinci as a flamboyant, homosexual, goddess worshipping Grand Master of the Priory of Sion. Presumably then, he was also a central figure in a supremely heterosexual Hieros Gamos ritual. Langdon, the skeptic, swallows without strain the premise that Leonardo was homosexual even though it seems incongruent with his plot. This must be too great a heresy (not against the church but against current popular culture) even for Brown. Many writers have perpetuated this idea and it may be true. It is based on an accusation recorded in the state archives of Florence in April 9, 1474 (and repeated June 7, 1476) by an anonymous plaintiff

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[50] Virginia Woolf, "How Should One Read a Book?" in *The Second Common Reader* (New York, Harcourt, Brace and Company, 1932), 284.

who stated that a Jacopo Saltarelli "has been party to many wretched things, . . ." and names four (Leonardo among them) who "had sodomized the abovementioned Jacopo."[51] Leonardo was then still an apprentice of Verrocchio. The charges were subsequently dropped. Some authors think that they were false, made by a disgruntled peer. One of the accused was a Medici family member and perhaps pressure was brought to abandon the case. There is also some evidence that Leonardo was repulsed by the sexual act. He later wrote, "The act of coitus and the members that serve it are so hideous that, if it were not for the beauty of faces and craftsmen's ornamentation and the liberation of the spirit, the human species would lose its humanity."[52] We won't address Sigmund Freud's psychoanalysis of Leonardo, which was based on Leonardo's writings, except to say that in Freud's opinion they indicate a complex, intelligent individual who had some indicators in common with homosexuals. Since there is no other evidence for the remaining forty-six years of Leonardo's life, "flamboyant" seems too strong a term. Brown could have selected a position to fit his novel as he did so many other times.

These are the tears in the fabric of the novel, not the reliance on formulaic writing. Formula is actually its strength. And like any other literary structure, formula is quickened by infusing it with surprise, invention, meaning, and beautiful, compelling use of language. Yes, *The Da Vinci Code* borrows from many sources, yet references and connections are generally praised in great books, not censured.

The Religion Editor for Publisher's Weekly, Lynn Garrett acknowledged a "Da Vinci Code Effect", which has spurred sales of books on Knights Templars, the Holy Grail, Gnosticism, and of course, books on *The Da Vinci Code* itself.[53] The *Christianity Today* editor recognizes that the book and accompanying controversy "offers churches an unprecedented

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[51] Marani, 12, 69.
[52] Antonina Vallentin, *Leonardo da Vinci: The Tragic Pursuit of Perfection* (New York, Viking Press, 1938), 37-43.

educational opportunity."[54] This begrudging acknowledgement of a debt of gratitude to Dan Brown for his book might be echoed by quite a number of other beneficiaries. A Colorado company has a tour with stays at "Teabing's" house for $4,500 per person. There are tours in Rome, Paris, London and, in Scotland, the longtime magnet of conspiracy theorists, grail and UFO enthusiasts, Rosslyn Chapel.[55]

So, in the final analysis, we owe some thanks to Brown for sending us scurrying to our rooms with homework. There to verify or refute and perhaps (heaven forbid) even to reconsider our own assumptions, and, in spite of, or perhaps because of, the sensational and sometimes dubious nature of the details the reader forms a sense of eager curiosity and cautious skepticism. And, after all, are these not healthy qualities for a scholar or a Christian?

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[53] Bhatia.
[54] Neff.
[55] Jay Clarke, "Have fun, but don't take 'The Da Vinci Code' tour sites so literally" in *The Miami Herald* Sun, Herald.com, Oct. 17, 2004 and Jim Gilchrist, "Why is Rosslyn such a magnet?" *The Scotsman* Fri 20 Aug. 2004.

Title of the submission: Musicianship and the Music Business Major: Musician or Business Executive?

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Musicianship and the Music Business Major: Musician or Business Executive?

This paper examines the expectation of musicianship of the "music business" student as compared to that of the "music performance" and "music education" student. While accredited music programs routinely require students to obtain a "standardized" minimum proficiency in music performance regardless of the focus of the major concentration within the degree program, the authors propose that concentrations such as "music business," "music industry," and "music technology," may require a distinctive set of criteria for "music-proficiency" standards. The music industry is a highly diverse field that does require many "music-related" skills. However, those "skills" *per se* may not necessarily be performance based or developed and acquired through the development of music performance skills in the traditional method. The authors explore the relevance of traditional "musical skills" to the expectations of the music industry and career development in the music business and propose that the current standard for minimum musical proficiency be reexamined in light of the diversity and complexity of expectations of the music industry.

Submission to the
Third Annual Hawaii International Conference on Arts and Humanities

Title: Comparison of the Bodhisattva Jizō and the Archangel Michael: An Exercise in Comparative Spirituality

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Abstract

This paper is a study in comparative religion with a focus on religious art. Comparison is made of the Buddhist Bodhisattva Jizō and the Christian Archangel Michael noting similarities and differences in iconographic detail, pious practices of the faithful, and some basic theological assumptions leading to the nature of the figures and their use. In the field of comparative religion the examination of Asian religion and philosophy in light of Western thought has become popular. This paper will deal with an area not yet widely explored: Buddhist art as seen in light of a traditional Western theory of iconography. A totally comprehensive comparison of Buddhist and Western iconography is beyond the scope of this work, which will be limited to a comparison of a traditional Christian image and a tradition and Buddhist image. The paper begins with a

brief comment on religious art as a phenomenon, deals with Buddhist and Christian iconography in general, and then makes a comparison of specific traits of the Bodhisattva Jizō and the Archangel Michael.

Comparison of the Bodhisattva Jizō and the Archangel Michael: An Exercise in Comparative Spirituality

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The purpose of the comparative study of religion is neither to blend all religions together in one homogeneous mush nor to castigate one religion by extolling the other. It is to promote understanding and tolerance. Understanding by allowing people to see what is similar gives us common ground and tolerance by seeing what is different does not have to be threatening. In this vein there is a growing interest in a comparison of Asian ideas with Western philosophical thought. There have been a number of things written in the last few years on such varied subjects as Buddhism and Jungian Psychology and

Zhuangzi and the philosophy of Kierkegaard. This paper will deal with an area less extensively explored, Buddhist art as seen in light of a Western theory of iconography. While a totally comprehensive comparison of Buddhist and Western iconography is beyond the scope of this paper, it will be interesting to do a limited comparison of a Buddhist image with a Christian iconographic tradition. The paper begins with a brief comment on Buddhist and Christian iconographic tradition and then deals with a comparison of the traditional image of the Bodhisattva Jizō compared to the traditional image of the Archangel Michael. Although the basic religious premises of Buddhism and Christianity are very different, in some sense the role of Bodhisattvas and Archangels are similar. In both cases they are dedicated to providing aid in the search for salvation on the part of the faithful and serve as a counterbalance to the forces of evil. The comparison is of the traditional figures as seen in Buddhist and Christian iconography. In Mahāyāna Buddhism a bodhisattva is a being seeking buddahood through the systematic practice of pāramitā (the practice of perfect virtues) but who as an act of compassion chooses not enter into nirvāna but to continue in the world of sense and karmic energies for the salvation of others. In Christian tradition Archangels are chief or principal angels created by God specifically to serve as messengers and agents of God and to counter the forces of evil, aiding mankind in the search for salvation.

A Brief Rationale for Religious Art

It would seem that some general comment about the unique nature of religious art would be useful at this point. The visual and performance arts are legitimate expressions of certain forms of truth, just as modern science is the legitimate expression of certain other

forms of truth. A popular view that may safely be dismissed holds that the primary function of art is to copy whatever the artist sees in front of himself just as a camera does. But traditional religious art is principally interested in doing something other than replicating the natural world. When healthy, both religious and secular arts use images as representations of deeper meanings and truths than are ordinarily "visible" in the empirical sense. Religious art is essentially metaphoric; it not only gives us a visual image, it engages us in mystery. Karsten Harris shows us that a work of art is not a superficial reproduction of some already known concept or object but a metaphor in which "presence remains absent." Rather than grant us immediacy of vision, good art communicates the "dream of such a vision." The "dream," as Harris puts it, is the higher meaning, the transcendent element of truth that goes beyond simplistic and surface realities through symbols to new and richer levels of reality. Both art and religion point to and hint at deeper meanings and truths than can be expressed in ordinary words or forms. In other words, art expresses the ineffable -- it communicates those things about which we are equally unable to speak adequately and yet cannot remain silent.[1]

If the principal purpose of art is to "show men and women their world," the function of religious art is to express and display those dimensions of their world that belong to spirituality and cannot otherwise be described. Religious art is prophetic, reflective of the experience of mankind in contact with the deeper positive and negative aspects of human experience, life and death, meaning and truth.

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1. Karsten Harris, "Metaphor and Transcendence," in On Metaphor, ed. Sheldon Sacks (Chicago: University of Chicago Press, 1978), 82; Paul Tillich: On Art and Architecture, ed. John and Jane Dillenberger (New York: Crossroad, 1989), 15, 29, and 129; Thomas R. Martland, Religion as Art (Albany: State University of New York Press, 1981), 33.

Being deliberately non-naturalistic and highly metaphoric, religious art possesses a strong lyric quality. That is, it has content and meaning beyond the obvious visual portrayal. Such art is not just a picture of something. The images of Jiso and the Archangel Michael carry special meaning through their specific colors, form, and symbolic content. They are more than just pictures of a person real or imagined, for they make real and present the reality of Buddhist experience for Buddhists and Christian experience for Christians. By virtue of their nature they demand a response that creates an interpersonal encounter.[2] People talk and pray to them and carry them in processions. In a strange and powerful way these images are members of the supernatural world and of the local worshipping community on earth. In order to make a reasonable comparison some general comment on the specifics of both Buddhist and Christian iconography will be necessary.

Some Specific Notes on Buddhist Iconography

In discussing Buddhist and Christian iconography it is important to note that they start with two different premises. Western iconography generally assumes a transcendent God who provides salvation through his power or "grace." While Buddhist tradition varies, a substantial segment of Buddhist tradition rejects that idea in favor of the concept of "salvation" through the process of self-realization and personal enlightenment. In Buddhist iconography religious images often are used as an aid to meditation; however in Mahayana tradition religious images are also frequently used in the supplication of supernatural forces.

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[2]. Martin Buber, I and Thou (New York: Charles Scribner's Sons, 1958), 7-10, 33, 124-26, for a magisterial treatment of the hypothesis that aesthetic artifacts are quasi-persons. See also Hans Belting, Likeness and Presence: A History of the Image Before the Era of Art (Chicago: University of Chicago Press, 1994), 152-54.

It should be noted that some forms of Buddhist art are more aniconic than iconic in form.[3] In other words while images of the buddhas and bodhisattvas abound in Buddhist temples in Japan, in some traditions, and notably in Zen, the image of an earthly being is less significant and abstract symbols that point to a more transcendent spirituality are characteristic. For example in Zen, abstractions such as a Great Empty Circle may take the place of actual images of the Buddha. Calligraphy and simple line drawings are often thought of as more representative of Zen spirituality than the more iconic representations. The idea of self-help (in Japanese *Tariki*) through the process of meditation is particularly common, but not exclusive to Zen. Likewise the process of seeking help from some outside source (in Japanese *Jiriki*) is common but not exclusive to Esoteric and Pure Land. It is the use of the image of Jizō as a source of outside help that will be our primary focus.

Buddhist iconography in general and the image of the Bodhisattva Jizō in particular can only be understood in light of Buddhist spirituality. Buddhist images are not primarily "works of art" per se; they are instead acts of devotion or a means of becoming unified with the sacred. These works of art are not mere decoration; they are a means of closer contact with the sacred. In Buddhist religious art one sees what in Western terms could be understood as a kind of Neo-Platonic influence with the image representing a higher perfection, being the physical image of sanctification in the nearer presence of the sacred.

Buddhist religious images provoke attention by their "strangeness," their deliberate lack of naturalism. Form in Buddhist iconography is recognizable, but is stylized and exaggerated. This can be seen in the manner of depicting proportion, perspective, and color. For example, the

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[3] . The term "aniconic" literally means "without likeness." The empty throne representing the Buddha's presence as opposed to an actual statue or painting of his body or "likeness" would be an example of aniconic representation. For further discussion see Albert C. Moore Iconography of Religions: An Introduction (Fortress Press, Philadelphia, 1977) page 27 and following.

standard rules of perspective are sometimes deliberately ignored. Images are shown to be of relative importance based on size, with large images representing important personages or events and less important images made smaller. This technique is used to move the viewer from the spatial and temporal; categories and dimensions of earth into the infinite and the eternal.

Buddhist figures are filled with an inner light, an indwelling of eternal wisdom, which causes them to radiate light outward. In the statuary found extensively in Buddhist temples this phenomenon is not so readily apparent, but it is more obvious in Buddhist paintings where light emanates mystically from within, and shadows are found around the edges of the figures. Halos and mandalas are used to emphasize this convention. In this regard Buddhist images share characteristics with early Christian and traditional Byzantine art, where many of the same "mystical" conventions are found.

Buddhist images are commonly found in the homes of pious believers, but the primary context for the images with which we will be concerned with are public temples and shrines. Temple building interiors usually abound with statuary as well as wall and ceiling paintings. As noted, the purpose is to create an atmosphere in which the immanence of the sacred is made manifest.

As the faithful enter the building, they understand themselves to have come mystically into a special presence of the sacred. The use of incense, candles, and choral chant add to the otherworldly experience strength. The eyes of figures often indicate spiritual wisdom and supernatural vision. Color is symbolic in content, with gold and white reflecting purity and wisdom, red and yellow-orange reflecting divine power, and so forth. To maintain symbolic specificity, major images often have their own color schemes.

As with virtually all truly religious art, it has always been characteristic of Buddhist iconography that the desire to maintain an historically dictated consistency in form, subjects, iconographic content, and style exists in tension with the natural inclination toward creative individualism in style and technique. The technical quality of Buddhist images varies from carefully drawn and skillfully rendered work to crude and poorly drawn figures. Often stark and simple, the images carry a dramatic strength. The images often have special significance either for the community at large or for individuals, and people come long distances to light candles and pray before these images of special power. This is especially true in times of war or natural disaster. Buddhist images may be carried in processions on holidays or for special events.

As pointed out above, Buddhist iconography serves a variety of purposes which can range from being a source of inspiration for meditation leading to the inward experience of finding one's true self and can also be a means of supplication seeking help from outside sources and powers. In point of fact probably many faithful Buddhists at one time or another engage in both practices.

> …..the most contemplative art forms of Japan are traditionally considered to be not simply manifestations or symbolic representations of religious belief, appropriate for use in communal worship. They are above all intimately associated with the contemplative intuition of a fundamental truth in an experience that is basically religious and even in a certain sense "mystical." [4]

In summary, truly religious images in the Buddhist tradition do not try to replicate or resemble nature or the material world. Instead they focus on the supernatural, the heavenly, and

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[4] . Thomas Merton Zen and the Birds of the Appetite (New Directions Publishing Corporation, New York, 1968) page 89

the spiritual. They place the believer in an intimate and direct relationship with the sacred powers. They are best seen in the context of the ancient religious presupposition found in most of the religions of the world -- that the world is completely unified by the continual repetition of nobler patterns by lesser beings.

Some Notes on Christian Iconography

As noted above, this paper is dealing with traditional iconography and not with religious art as seen in some of the "modern schools." The characteristics of Christian religious art described below are those of the historic Church of the first thirteen centuries, both East and West. Virtually from the beginning icons or holy images reflected a specific theological understanding of the work and actions of God in the form of Jesus of Nazareth, the Christ. Jesus is referred to in scripture as "the image (icon) of the invisible God, the first born of all creation … in him all the fullness of God was pleased to dwell, and through him to reconcile to himself all things" (Colossians 1:15, 19 – 20 RSV). The fact that God took material form for the salvation of mankind validates the use of material forms such as icons to transcend time and space and link mankind with God and the saints: "For He both showed forth the image truly, since He became Himself what was His image, and He re-established the similitude after a sure manner, by assimilating man to the invisible Father through means of the visible Word."[5]

Icons are not mere decoration; they are a means of closer contact with the sacred. The early Church Fathers developed a theological understanding of the person of Christ that shaped and formed Orthodox iconography.[6] Christ became flesh, taking human form for the express

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[5]. Irenaeus, Against Heresies 16:2, in Ante-Nicene Fathers (Peabody: Hendrickson, 1994), 1:544.

[6]. Ouspensky, Theology of the Icon , 1978), 147. See also: St. John of Damascus On the Divine Images, (Crestwood, NY: St. Vladimir's

purpose of uniting humanity with God; icons bear witness to this basic tenet of Christology. As noted above in Christian religious art ones sees a Neo-Platonic influence with the image representing a higher perfection, being the physical image of sanctification in the nearer presence of God.

For the faithful, Christian religious images became a kind of continual prayer as well as a means for teaching and participation in the faith, worship, and tradition of the Church. In modern times it is common to typify religious art as a teaching tool – a type of Bible for the illiterate. In early Christianity, however, the images were not primarily didactic. Their primary purpose was to create an atmosphere of divine presence. They were to make the closeness of the heavenly court of God a reality to the worshipper.[7]

Christian images or icons provoke attention by their "strangeness," their deliberate lack of naturalism. While form is recognizable, it is stylized and exaggerated. This can be seen in the manner of depicting proportion, perspective, and color. For example, the standard rules of perspective are sometimes deliberately reversed. For example, instead of buildings becoming smaller as they recede into the background the back of a building may appear to be larger than the front of the building. [8] This technique is used in icons to create the illusion that the enclosed space of the image opens onto the area in front of the picture instead of disappearing into the background, incorporating the viewer into sacred space. This technique is used to move the

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Seminary Press, 1980), and St. Theodore the Studite, On the Holy Images, St. (Crestwood, NY: St. Vladimir's Seminary Press, 1989).

[7]. Belting, Likeness and Presence, provides a very thorough discussion of this point. See especially his first chapter.

[8]. Sendler, part II "Aesthetic Elements," see also Karyl M. Knee, Dynamic Symmetry Proportional System as found in some Byzantine and Russian Icons of the Fourteenth to the Sixteenth Centuries (Torrance: Oakwood Publications, 1988).

viewer from the spatial and temporal categories and dimensions of earth into the infinite and the eternal.

Light is important because the saints of God are filled with an inner light, an indwelling of the Holy Spirit, which causes them to radiate light outward. In traditional iconography the light emanates mystically from within, and shadows are found around the edges of the figures.

The Bodhisattva Jizō:

As noted, a bodhisattva is a being who has reached the point of nirvana but who chooses to continue to work in the world for the purpose of helping others to free themselves from the continuous cycles of reincarnation. Thus they are savior figures. Jizō is associated with the tōriten heaven and the thirty-three gods located on top of Mount Sumeru. The particular mission of these gods is to provide help to beings in the six realms of existence during the time between the death of the historical Buddha and the arrival of the Maitreya, the Buddha to come. In the Kamakura and Muromachi periods (late12th through the mid16th centuries) Jizō became particularly popular as a savior of those in Hell. He is revered as a god in the pantheon of Esoteric Buddhism and is depicted in magnificent robes and jewels. He is also venerated as the protector of travelers, women in childbirth, warriors, and especially deceased children. Most often, and particularly in the Jodo tradition, he is not shown magnificently dressed as other bodhisattvas but as a monk with a shaved head, but with an urna (one of the thirty two marks of perfection) on his forehead. He is shown with a wish-fulfilling gem and a monk's staff with six rings. The six rings signify that he stands by all beings in the six realms of existence. In Sanskrit he is know as Kşitigarbha meaning "womb of the earth."

In a number of Pure Land paintings, Jizō is shown as descending from Paradise riding a mystical cloud to welcome devotees to rebirth in other Buddhist heavens.

Jizō is commonly appealed to by the families of deceased persons for aid in reaching the Pure Land of the Buddha Amida. Statues of Jizō commonly are decorated as a means of supplication. For example, the faithful may dress images of the bodhisattva with clothing, or attach toys, glasses and even false teeth to invoke his aid.

In Japan individual cults of bodhisattvas such as Jizo play an important role in popular devotion even though they are generally not organized on a national scale and often priest play little or no role in their devotion.[9] Sometimes small groups of devotees will organize themselves into groups (ko) which meet regularly in member's homes and attend pilgrimages to various sites consider holy to the particular bodhisattva.
Statues of Jizō can be found in villages, along roadsides, and on the grounds of temples throughout Japan.

The Archangel Michael:

The Archangel Michael is mentioned four times in the Christian scriptures. Twice in Daniel 10:13 and 12; where he is represented as the helper of the Chosen People once in Jude 9 disputing with the devil over the body of Moses and once in Revelation 12:7 – 9 fighting the dragon who symbolizes Satan. He plays an important part in apocryphal literature in the Assumption of Moses, Enoch and the Ascension of Isaiah where he appears as the great "captain" who is set over the best part of mankind. He is regarded in

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[9] H. Byron Earhart Japanese Religion: Unity and Diversity (Wadsworth/Thomson Learning, Belmont, CA, 2004) Page 14.

the Church as the helper of Christian armies against the heathen and as a protector of individual Christians against the devil, especially at the hour of death. It is thought that he conducts the souls to God, a belief echoed in the offertory of the Latin Mass for the dead "Signifer S. Michael repraesentet eas in lucem sanctam."

His cult originated in central Asia Minor, where he was venerated as a healer and many hot springs were dedicated to him both in Greece and in Asia. The cult soon spread to the West and in the Leonine Sacramentary St. Michael is prominently named. The feast of St. Michael is kept in the Western Church on September 29 and in the Eastern Church on November 8.. In the Western Church his feast, 'Michaelmas Day" is connected with many popular usages and numerous churches are dedicated to him. The cult received a strong impetus from an apparition on Mt. Garganus in the time of Pope Gelasius (492 – 6) in commemoration of which a feast was kept in the Roman Church on May 8 until 1960. He is usually represented with a sword, standing over, or fighting a dragon.

The depiction of the Archangel Michael differs from one culture to another. As an example of this variety we see that in the Santero tradition of New Mexico Archangel Michael appears in "Los Pastores," a shepherds' play, where he vanquished the devil Luzbel who had come to cause confusion and disrupt the first Christmas. His functions as a protector against the attacks of devils have been identified with the Virgin Mary, who is, after all, the Queen of Angels. Pedro Fresquis (1749-1831) inscribed one of his retablos "Señor San Miguel, First Colonel of the squadron of Mary most holy, defend us"; and the people of New Mexico sang several hymns to the archangel so as to summon his presence and power in their aid.

In the typical New Mexican santo (holy image), Michael holds an upraised sword in the right hand and wears mid-calf to knee-length boots and a kilt that frequently flares up on either side to expose most of his thighs. He is also often shown holding a scale in his left hand.[10] Wings are ordinarily attached to most bultos (statues) and depicted in retablos (panel paintings). In Western depictions he is often shown wearing the armor of a warrior.

Russian Orthodox images of Michael usually show a figure dressed in an ankle-length chiton or tunic with a mantle over one shoulder and around the waist. The chiton is either a simple off-white or a deep blue-green with elaborate gold trim at the hem and shoulders.[11] A sword is held in his right hand both as a celestial weapon and a symbol of his authority as the Captain of the Heavenly Hosts. The figure usually is bareheaded with a narrow crown or headband showing at the forehead. Orthodox images of Michael are always shown with long and majestic wings, highlighted with gold. An Orthodox archangel usually carries a plain staff or a disk with Christ's monogram as a sign of his authority as a messenger of God. Ribbons frequently adorned their heads with the ends flowing out from each side, symbolic of the spiritual hearing of angels attentive to divine commands.

The 19th century Uspensky Icon Pattern Book has an outline drawing of the archangel Michael surrounded by the hosts of heaven. In his right hand he holds a mystic globe containing the Virgin Mary who in turn bears an icon of Christ. He is accompanied

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[10]. The Taylor Museum's statue from the town of San Miguel del Vado, TM #1599, is discussed and illustrated in Marianne L. Stoller, "Three Church Inventories from Hispanic Frontier Communities," edited, Marta Weigle et al., Hispano Arts and Ethnohistory of the Southwest (Santa Fe: Ancient City Press, 1983), 316-19; a San Miguel Arcángel by the Santo Niño Santero may be seen in E. Boyd, Popular Arts of Spanish New Mexico (Albuquerque: Museum of New Mexico Press, 1974), 390.

[11]. Lasarev, plate 54.

by angelic and saintly figures. As an indication of the mystic environs he is surrounded by clouds, under which fallen angels descend to hell. In his left hand he holds a staff signifying authority.[12]

Statues and paintings of the Archangel Michael make visible a being who never in his eons-long life really possessed a material body. An angel is not a human person in history like Mary and the rest of the human saints. If an angel or a devil ever needed to become present to the sensate beings of this material world of ours, it took a temporary body (like a Hindu avatar) made of thickened air. The material object of wood, plaster, and paint participated in the very being of a strictly immaterial personage.

Comparison of Bodhisattva Jizō and Archangel Michael

In regard to similarities both Jizō and Michael are connected with protection from evil and the powers of Hell. In literature and iconography of both Buddhism and Christianity these two figures are associated with the dead and their transition to paradise. Frequently in Pure Land paintings, Jizō is shown descending to welcome the deceased into the Pure Land. Likewise, Michael is shown in Russian icons accompanying souls to Heaven. They are both seen as powerful figures with supernatural strength and abilities able to confront evil. In the New Testament book of Revelation, Michael is described as driving the Devil out of Heaven. A portion of the Kasuga Pure Land Mandala, in the Nōman-in in Nara shows Jizō saving and guiding into the Western Paradise a monk who had descended into Hell. Thus, in popular piety both figures are appealed to by the faithful for aid and comfort especially in the face of evil.

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[12]. Uspensky and Uspensky, Vol. 3, illustration LII.

Both Jizō and Michael are subsidiary figures under the direction or control of more powerful deities or forces. They are not major deities or gods in their own right but work under the auspices of higher forces. In the case of Jizō he serves as an assisting bodhisattva under the overall power of the Western Paradise or Pure Land of Amida Buddha. In the case of Michael he serves as the messenger and agent of the Holy Trinity. In both cases they work for the ultimate good of all under the overall power and grace of higher forces and destinies.

Specific similarities in their iconographic depiction include them both wielding staffs of power, being shown with halos, wearing a traditional form of dress, and sometimes are shown surrounded by or being born on celestial clouds.

Differences have more to do with the differences in religious belief between Buddhism and Christianity than they do with the two figures per se. As a bodhisattva, Jizō is a being voluntarily bound in the samsara world and the laws of karma and reincarnation. Jizō has had many lives in all of the different forms that are a part of the samsara world. His ranking as a bodhisattva comes after countless incarnations and the accumulation of vast amounts of merit. By definition as a bodhisattva, he has reached the point of enlightenment and could become a buddha if he should so choose. As an Archangel, Michael is a being of specific qualities, permanently created, of a different order from humans and bound by the immutable laws of God. In traditional Christian theology angels are never people and people do not become angels. Michael has never had any other existence and never will. However, as angels have no actual corporal bodies their appearance can change in regard to how people see them.

In regard to iconographic detail Jizō is usually shown as a monk and usually with oriental features. An urna, a symbol of perfection is seen on his forehead. Michael is usually depicted as a traditional angel with wings and classical dress, or in a warrior's armor and having more or less Caucasian features. Although both are usually shown holding staffs they also hold a variety of other objects in their hands that are unique to their roles. Jizō holds a wish-fulfilling gem and his staff has six rings symbolic of his power to aid beings in all of the six realms of existence. Michael holds sword and scales indicating his role in assisting with the judgment of souls and their disposition to either Heaven or Hell. Michael is sometimes shown with a spear piercing a dragon symbolic of evil that writhes under his feet.

Conclusion

It could be argued that the purpose of interreligous dialog is primarily to facilitate communication and further understanding. It is not necessary to blend all religions together in one single homogeneous mass. The purpose of this paper was to facilitate understanding between Buddhists and Christians showing both similarities and differences in two common figures. While there are some interesting similarities between the image of the bodhisattva Jizō and the archangel Michael, there are significant differences as well. By and large the differences are the result of the basic differences between Buddhist faith and practice and Christian faith and practice. At one level, while the similarities seem significant a close look shows them to be of a superficial nature. However, at a more important level they have in common the fact that in both cases they make a supernatural world accessible to the believer. Seeing the similarities and the

differences is one of the ways we come to understand and appreciate other religious traditions. In this case a significant finding is that both Buddhist religious art and Christian religious art make available, as Harris has put it, the “dream of a vision.” The vision in both cases is a being that brings comfort to the living and succor to the dead. The invisible becomes visible and the believer is assisted in participation in the essentials of the faith.

Death and Sex in the City: Surveying the Wasted Landscapes of T.S. Eliot and George Grosz

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For the numbly disillusioned and ignoble figures created by George Grosz and T. S. Eliot, death is insignificant and sex is anit-climactic. Through the art of Grosz's wartime sketches and paintings and Eliot's post-war poem *The Waste Land*, we gaze upon cities with wasted landscapes telling of both literal ruins from war and the decay of the human inhabitants, who reflect in their faces the fading light of longing for meaningful death and loving sexual relationships. In exploring this former aspect, Grosz depicted suicide and murder; gruesome acts always unnoticed and uninteresting to others, who, in their detached state of emotional deadness, remain trapped and isolated in the ever-consuming belly of the mechanized, monstrous city. Eliot, in his "Unreal City," presents a landscape consisting of the defunct plodding through life under a brown fog, eyes fixed only on the ground, as if watching their own hellish descent into further despair. Below them lie the literal dead, planted beneath the brown earth or quickly forgotten after a few pills.

Closely related to this death theme is Grosz's and Eliot's exploration of sex as the decrepit remains of genuine love. Sex, if it comes at all, unfolds in brutally cold encounters or perfunctory thrusts of spiritless desire. Grosz's art abounds in rape and prostitution, showing sex as a vile, repugnant, lust-driven ambition intertwined with aimless vice. In Eliot, the failure of love reflects in a sexless marriage, a sex-filled loveless marriage, and the sterile and empty seductions of the violet hour. The copulations of unmoved women and lustful men are merely meaningless screws in the machine-like grind of the "human engine." For both artists, the city has annihilated love and left only the charred remains of pointless sexuality.

The clutches of the city crush the soul's inward yearning for meaningful pursuits and relationships, until all that exists is deadly detachment and pitiful sex—pale and unhealthy reflections of virtuous human interaction. It is fitting that Grosz, in a direct reaction to war, painted the dreary, sordid individual known as *The Lovesick Man*. Both Grosz's and Eliot's characters walk through the valley of the shadow of death—the city streets shaded by the loom of city buildings—and feel absolutely nothing. They become part of the ruin of the modernist city, crumbling into the wasted landscape until they themselves are as cold and passive as the loveless, emotionless, mechanical embrace of the city.

Using the “because of” vs. “due to” controversy to raise students perceptions of instructor effectiveness.

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Abstract:
Encouraging learners to explore in depth a single controversial issue, whether linguistic, lexical, or semantic, provides them with enhanced understanding of both their own abilities and those of their English instructors. This report documents how an exploration into the “because of” vs. “due to” controversy affected students’ perceptions of instructor effectiveness. International students studying in an intensive language program were queried with open-ended questions prior to and after an activity designed to demystify the apparent prescriptive conflicts regarding these terms. The lesson itself is of interest and will be shared, as well as the research methodology.

Bel canto: Perspectives on Bellini's *Tre Ariettes*

Music

Poster/Paper Session

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Bel canto: Perspectives on Bellini's *Tre Ariettes*

In his relatively brief musical career, Vincenzo Bellini (1801-1835) composed a number of small arias for solo voice, pianoforte, as well as operas. *Tre Ariettes*, a representation of his works, embodies the brilliant and lyric Italian vocal style of the 18th and early 19th centuries.

My project will explore each song of *Tre Ariettes* ('three small arias'- *Il fervido desiderio*, *Dolente imagine di fille mia*, and *Vaga luna che inargente*) in order to discover the stylistic characteristics that Bellini brings to them. I hope to gain a deeper understanding of how Bellini's Bel canto style evolved in his earlier arias to his concert arias. I am especially interested in the way this evolution affects the performance of these songs, as my recital will focus on *Dolente imagine di fille mia* and *Vaga luna che inargenti*.

I will first analyze the musical structure and text of the three arias. I will discuss phrase shaping, vocal ranges, harmonies, piano accompaniment and dynamic contrasts. Second, I will assess the stylistic characteristics of each aria with the goal of determining Bellini's musical intentions. Last, and most important, I want to arrive at the precise interpretations of these arias through a comparison of recordings by great female singers from different time periods. I will conclude by examining how Bellini's Bel canto style impacts singers' singing techniques and styles.

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The Monty Hall puzzle or problem goes like this: You are on a game show in which you are confronted by 3 doors. You know that one of the doors hides a car and the other two doors each hide a goat. You cannot open the doors to see what is behind them and you know nothing which would help you figure out where the goats are or the car is. If you choose or vote for whatever is behind one of the doors, you get that item. You would like the car more than any of the goats and have no desire for one goat over the other. Your choice has two stages. You choose or select one of the doors at the first stage. Then the host of the game show -- Monty Hall -- opens one of the doors and shows you what is behind that door. In fact, what he shows you is a goat. Now comes the second stage or step. You can switch your initial choice of doors. You are not allowed to take what was behind the door the host opened. (Had the host shown you the car instead of a goat, you would not be allowed to have the car.) That door has been eliminated. But you can either remain with your choice from the first stage or switch your choice or vote to the other remaining door. It doesn’t cost you anything to switch. Do you increase your chance of getting the car by changing from your initial choice, no matter what that was, to the remaining door?

Are you better off -- or at least no worse off and potentially better off -- switching?

This reasoning puzzle was made famous by Marilyn vos Savant a number of years ago (Tierney 1991). She presented the problem or dilemma

Figure 1. The Monty Hall problem.
Source: http://www.grand-illusions.com/monty.htm.

in one of her syndicated columns in the weekend newspaper magazine *Parade* (vos Savant 1990a, vos Savant 1990b, vos Savant 1996). While the puzzle would perhaps have become famous whatever answer she gave, vos Savant

said that you are better off switching doors at the second stage. In fact, she was able to put a number on it: You double your chance of getting the car by switching. Many people wrote in to her column to say that she was wrong. They said the right answer is that you neither improve nor decrease your chance of getting the car by switching. The chance or probability that either of the two remaining doors hides the car is equal at 50% or 1/2. So you could switch if you felt like it; but it wouldn't make you better off. An equally large number wrote letters to her column saying that she was right.

Much more recently a writer contributed a similar puzzle to Marilyn vos Savant's column in *Parade* magazine (vos Savant 2003). Vos Savant gave an answer to this problem as well. The newer problem goes like this. You are taking a multiple choice test. One of the answers is right and the other two are wrong. You haven't prepared for the test, so you don't really have any reason for picking one answer over another. Of course if you pick one of the answers the score you get for the question is the score for that answer. And despite the lack of preparation you'd still like to get 100% for the question. But the test set up is a little unorthodox. Just as in the Monty Hall problem, there are two stages. You pick or vote for one of the answers

at the first stage or step in the problem. The instructor or test supervisor then picks one of the three answers and says to you and everyone else taking the test that it is wrong and has a score of 0 points or 0%. As it turns out, the answer she tells everyone is wrong is not the answer you picked at the first step. Now comes the second stage. You can now switch your choice of answers, just as you could in the Monty Hall problem. If you first chose answer “a”, for example, you can now switch to one of the other remaining answers, “b” or “c”. Of course you wouldn’t want to switch to the answer the instructor or test invigilator said was wrong and worth 0%. And if the answer she told everyone about was in fact the answer you picked at the first stage you would want definitely to switch. But that isn’t what happened; the answer the test supervisor said was wrong is one of the other two answers. So if it costs you nothing to switch are you better off switching from your answer at the first stage to the remaining answer, as vos Savant said you were in the Monty Hall problem? In this instance vos Savant concluded that you don’t improve your chance of getting 100% on the test question by switching. You could change your answer if you want; but you neither gain nor lose by doing so.

Yet another version of this puzzle or problem is available. It was discussed by writer Martin Gardner in his column in *Scientific American* many years before Marilyn vos Savant considered the Monty Hall dilemma (Gardner 1959a, Gardner 1959b). That earlier one goes this way. Three prisoners named “A”, “B”, and “C” are in different cells on death row. The state governor decides to pardon one of them at random. The governor tells the prison warden which one has been pardoned but also asks him to keep the matter secret from all of the prisoners. Nevertheless a rumor about what has happened has reached one -- we’ll suppose it to be A -- of the three prisoners. The content of the rumor is only that one of three has been pardoned. Prisoner A asks the warden who has been pardoned but the warden declines to say. So prisoner A now asks the warden for the name of one of the other two prisoners who has not been pardoned and will be executed. In detail A says, “If B has been pardoned, tell me that C will be executed. If C has been pardoned, tell me B is to be executed. If I’m the one who was pardoned by the governor, choose at random between B and C and tell me about one or the other but not both.” The warden then does as A asks and tells him that B is going to be executed. Prisoner A now reasons that his chance of being the one who was pardoned by the governor is 50% or 1/2. According to

Martin Gardner this is wrong. Prisoner A's chance of being the one who was pardoned is only 1/3, prisoner C's chance is 2/3, and prisoner B's chance or probability is -- of course -- 0.

In this paper I'll discuss all three of these reasoning puzzles. I'll offer solutions to each one. The solutions I propose will use a theorem or formula in probability called "Bayes's theorem". Others have offered a solution or answer to the Monty Hall problem using Bayes's theorem. But I think there have been some mistakes or gaps in some of these solutions. One of the things I will, in addition, try to do here is to show how these problems differ from (or are the same as) one another.

I. Assumptions

Before I get into the technical matter of applying Bayes's theorem to the three problems I'll lay out some assumptions about some aspects or features of each of the problems. The correct assumption about these features isn't always perfectly clear from the usual statement of the problems. Sometimes there seems to be one assumption from many possible ones that it is natural to accept. But an important point is which one of the several possibilities is assumed affects the

proper solution of the problem. Assume one of the possibilities in the Monty Hall problem, for example, and the solution is that you are no better off switching doors at the second stage; assume the other and you are definitely better off switching doors, just as vos Savant said. In laying out these assumptions I'll also be saying something about how the three problems are sometimes different. An assumption it seems natural to make about a certain feature of one of the problems is often not the same as the natural assumption to make for the parallel aspect of one of the other problems. That means the problems can have quite different solutions despite lots of other similarities.

I'll start with an easy assumption. Is the host in the Monty Hall problem allowed to open the door you picked at the first stage and show you what is behind it? I can't myself see why this must be ruled out. On the other hand, I think most writers about the problem have assumed otherwise. That is, they have assumed that the host can never select to open the door you chose or voted for at the first step. That is what I will assume here. For many it perhaps won't be easy to see why it makes a difference whether the host can do this or not. When it comes to applying Bayes's theorem I'll show how that assumption affects some of the probabilities used

to calculate the solution. The problem about the three prisoners on death row is clear on the parallel issue. The warden in that problem isn't going to tell A that he has not been pardoned and will be executed. The warden will only give to A information about one of the other two prisoners. In the multiple choice test puzzle, might the exam invigilator tell you that the answer you selected at the first stage is an incorrect answer worth 0 points or will she only tell you about one of the other two answers? Here statements of this problem are unclear. Suppose we assume that you aren't the only one taking the test. If others are as unprepared as you then some will have picked answer "a" (at random or perhaps on some dubious basis), some will have picked answer "b" (again, at random or perhaps on some dubious basis), and some will have picked answer "c" (for the same reason). This means someone -- although, as it happened, not you -- might be told about the answer he or she selected at the first stage. So it seems natural enough to assume that in this problem -- even though this is not what happened -- the test supervisor might have told you about your first stage answer. So I'll assume that the possibility isn't ruled out by the set up of this problem.

Now we have to consider a second matter. We know that in the Monty Hall puzzle the host doesn't open a

door and show you a car. Instead what happens is that he opens a door -- and, as assumed in the previous paragraph, it is one of the doors different than the one you chose at the first stage -- and shows you a goat. But might it have happened differently? Might the host either by accident or deliberately have opened a door and shown you the desired car? In the three prisoners problem the warden won't say who was pardoned by the governor; he will only say about one of the prisoners that he is sure to be executed because he is not the one who was pardoned. This point is parallel in that problem to the aspect or feature we want to know about in the Monty Hall problem. Presumably in the exam problem the test invigilator would never have shouted out the right answer to the test question. If the exam supervisor does reveal the correct answer the whole problem is over and done with and it is obvious what you should do. For instance, if you picked answer "a" at the first stage and she says "c" is the correct answer, switch to that. Because the problem would have such an easy and unpuzzling answer if the exam supervisor did provide the right answer, I'll make the assumption that she is guaranteed to reveal only one of the wrong or 0% answers. It is easy to guess at a possible source for the guarantee, one which makes this assumption natural. If the exam supervisor is the

teacher or instructor for a course in which the test occurs she knows which answers are right and which are wrong and she wouldn’t ever deliberately reveal the right answer. Unfortunately it is not an explicit part of the problem that the supervisor or adminstrator is the instructor. Exam supervisors or adminstrators are not always the teacher or instructor and they don’t always know which are the right or wrong answers to test questions, for example. Despite this, my asusmption will be that the invigilator in the multiple choice test puzzle will only tell you about one of the incorrect answers. Again, it might not be so obvious why this assumption makes a difference to the problem’s solution. When it comes to applying Bayes’s theorem I’ll show how it affects some of the probabilities used to calculate the solution.

But we still need to answer the parallel or analogous question about the Monty Hall problem. Might the host either by accident or deliberately have opened a door and shown you the car you wanted? I think for the same reason the exam supervisor in the multiple choice test puzzle should be assumed never to tell you and everyone else taking the test the right answer, it should here be assumed that Monty Hall is guaranteed never to open a door and reveal a car. If he did show where the car is, that would mean the game is over

right there and then. (Unfortunately you wouldn't benefit. An explicit feature of the problem is that you cannot switch your choice to the door Monty Hall opened.) The natural source for this guarantee is potentially much the same as I've said it might be in the exam puzzle. The host would never deliberately reveal where the car is by opening a door and showing you the car; that is, he wouldn't do this if he knew where the car is. In addition, he won't do it by accident because he knows what's behind every door; he knows where the goats and the car are and he chooses which door to open based on that knowledge. Once more, it might not be so obvious why the assumption makes any difference to the problem's solution. When it comes to applying Bayes's theorem I'll show how it affects some of the probabilities used to calculate the correct solution.

My third assumption is this. In the three prisoners problem, prisoner A says to the warden "If I'm the one who was pardoned by the governor, choose at random between B and C and tell me about one or the other but not both." That is, when both the other prisoners are to be executed and there is no reason for the warden to provide this information about one over the other, the warden should pick one of them at random to tell A about. I'll assume that something similar happens in

both the multiple choice test puzzle and the Monty Hall dilemma. Suppose, consistent with all the explicit and assumed features of the problem, the exam invigilator could tell you that answer "b" or answer "c" is wrong. Then she'll randomly select one and tell you that one is an incorrect answer. Suppose, consistent with all the explicit and assumed aspects of the Monty Hall problem, the host could open door #1 or door #2, for example. Then he'll randomly select one of the two doors.

My fourth and final assumption is that in none of these problems is there any trickery or deception or lying. In the three prisoners paradox the warden cannot, for example, say that a particular prisoner hasn't been pardoned by the governor and will be executed when he has in fact been pardoned. In the multiple choice exam problem the test invigilator isn't allowed to announce that a particular answer is incorrect and worth 0% when that's not true. Finally, while there doesn't seem to be any part of the story in the Monty Hall problem where the host could tell a lie, he is not allowed to do anything like disguise a goat as a car or cover one of the doors with a new car smell.

II. Monty Hall and Bayes' Theorem

I'll now turn to more technical matters, the application or use of the Bayes's theorem probability formula to determine the correct answer to each of these puzzles. I'll start with the Monty Hall puzzle because it has received so much more discussion than the other two. For convenience I'll assume that at the first stage in the Monty Hall problem you chose door #3. Then what happened is that the host opened door #1 and displayed a goat. (See Figure 1 above.) These assumptions don't affect the solution I'll give. The solution will work exactly the same way if instead, for example, you chose door #1 and the host opened door #2 and showed you a goat. Nothing depends on the particular combination I'm using here.

Bayes's theorem calculates a posterior probability, a probability of something happening or being true based on the likelihood of some new information or data and prior probabilities. In the Monty Hall problem, the new information is the host's opening a particular door and showing you a goat. Given the particular history listed above of what happened, the posterior probability to be calculated using the formula is either

(1)
prob(car_behind_#3/host_opens_#1_AND_host_shows_goat)

or

(2)

prob(car_behind_#2/host_opens_#1_AND_host_shows_goat).

From one of these we can easily obtain the other. We know that

(3)

prob(car_behind_#3/host_opens_#1_AND_host_shows_goat) + pro

Since the host opened door #1 and showed that it had a goat behind it and no trickery or deception is permitted we know that

(4)

prob(car_behind_#1/host_opens_#1_AND_host_shows_goat) = 0

So combining (3) and (4) gets us

(5)

prob(car_behind_#3/host_opens_#1_AND_host_shows_goat) + pro

Determining either (1) or (2) will therefore automatically tell us the value of the other and whether your chance of getting the car goes up or not if you switch from door #3 to door #2. For convenience I'll pick (2) to use Bayes's theorem to calculate.

The instance of the Bayes's theorem formula I'll use is this

(6)

prob(car_behind_#2/host_opens_#1_AND_host_shows_goat) =

[prob(car_behind_#2) x prob(host_opens_#1_AND_

_____

[prob(car_behind_#1) x prob(host_opens_#1_AND_

+ [prob(car_behind_#3) x prob(host_opens_#1_AND_

This contains the likelihoods and prior probabilities mentioned above as inputs on the right side of the equation. What we need now are values for all of these.

We know what the prior probabilities are. These are the values of each of prob(car_behind_#1) and prob(car_behind_#2) and prob(car_behind_#3). They are each 1/3. At the beginning or first stage of the problem, before Monty Hall has opened a door and revealed what is behind one of them, this is the probability you would assign to each of the doors having the car behind it. The likelihoods in the formula are all the parts in (6) of the form prob(host_opens_#1_AND_host_shows_goat/car_behind_#*i*). It is the value of these likelihoods that are affected by the assumptions discussed in the previous section of this paper. I'll consider each one in turn starting with the easiest.

The easiest of these likelihoods to know the value of is

(7)

prob(host_opens_#1_AND_host_shows_goat/car_behind_#1)

This must be 0. If the car is behind door #1 then the host can't open that door and show you a goat. He could open door #1 if one our assumptions is wrong. That

assumption was that the host is guaranteed to open one of the doors that hides a goat and never open the door hiding the car. But even if he opens door #1 he has to end up displaying a car and not a goat. The perhaps next easiest likelihood in the formula is

(8)
prob(host_opens_#1_AND_host_shows_goat/car_behind_#2)

This should be 1 given our assumptions. These assumptions are that the host won't open the door hiding the car and he won't open the door you've chosen at the first stage. The first assumption guarantees he won't open door #2 and the second guarantees that he won't open door #3, the door you chose at the first stage. (See Figure 1.) So Monty Hall will only open door #1. But because the car is behind door #2 in this possibility, one of the goats must be hidden behind door #1. So the value of the likelihood in (8) is 100% or 1. This likelihood would have a quite different value if either or both of the assumptions failed. Suppose the host might open the door hiding the car, either deliberately or by accident, but would never open the door you chose at the first stage. The value of (8) would then be 1/2. Suppose he would never open the door hiding the car, either deliberately or by accident, but might open the door you chose at the first stage. Then again the value of (8) would be 1/2.

And finally suppose neither assumption were correct. That is, Monty Hall might open the door hiding the car and he might open the door you chose at the first stage. In that case the value of (8) will be 1/3.

The last of the three likelihoods is

(9)

prob(host_opens_#1_AND_host_shows_goat/car_behind_#3)

Given our assumptions, this must be 1/2. The host won't open the door hiding the car and he won't open the door you chose at the first stage, which in our particular version is also door #3. So the host will open either door #1 or door #2. Each of these two doors must hide a goat because the car is behind door #3. The host will randomly select or choose door #1 or door #2 and in either case show you a goat. Suppose, on the other hand our assumptions fail. Suppose he might open the door hiding the car but would never open the door you chose at the first stage but will still randomly select which door to open. The value of (9) would again be 1/2. Suppose he would never open the door hiding the car but might open the door you chose at the first stage. Then once more the value of (9) would be unchanged at 1/2. Again, suppose neither of the first two assumptions is correct but the host will still randomly select which door to open. That is, the host might open the door hiding the car and he might open the door you chose at

the first stage. In that case the value of (9) will now be 1/3. Finally, it is possible to work out what will happen if the first two assumptions are held on to but the host won't randomly select between doors #1 and #2 but will pick one door or the other on some basis or other. Depending on what the basis is, the value of (9) could then be pretty much anything from 0 to 1 (Krauss and Wang 2003).

At this point we've determined all the values for all of the inputs on the right side of the equation in (6). We merely plug them in to get the value we want for the posterior probability:

(10)

prob(car_behind_#2/host_opens_#1_AND_host_shows_goat) =

$$\frac{[1/3 \times 1]}{[1/3 \times 0] + [1/3 \times 1] + [1/3 \times 1/2]}$$

=

2/3

Since, as we figured out earlier

(5)

prob(car_behind_#3/host_opens_#1_AND_host_shows_goat) + pro

then

(11)

prob(car_behind_#3/host_opens_#1_AND_host_shows_goat)

$= 1 - 2/3 = 1/3$

That is, given our assumptions about various features or aspects of the problem, you have a better chance of getting the car if you switch from door #3 -- the door you chose at the first stage -- to door #2.

For those not familiar with or unpracticed with the technicalities of probability mathematics the above calculations may be obscure. Sometimes it can help to construct a frequency tree diagram to see how the probabilities or frequencies in a problem break down and combine (Gigerenzer 2002: Krauss and Wang 2003). A frequency tree diagram doesn't directly display the porterior probability calculated by Bayes's theorem. But parts of the tree diagram can be used to do this. So, imagine that the Monty Hall problem is run with 900 different contestants or that you -- the one contestant -- have to go through all the decision stages 900 times. In 300 of these 900 cases door #1 hides the car, in 300 door #2 hides the car, and in 300 of the 900 instances door #3 hides the car. (See Figure 2.) In some of those cases the host will open door #1 and show a goat; in some he won't. The exact count or frequency for these sometimes depends on our assumptions about the problem and which door you picked at the first step in the problem. Of the 300 cases where the car is

behind door #1 absolutely none can be cases where Monty Hall opens door #1 and shows a goat. There's no goat for him to show in these cases. (See Figure 2 at A.) Of the 300 instances where the car is behind door #2 all 300 are also cases where Monty Hall opens door #1 and shows a goat. He won't open door #2 because that has a car behind it and he won't open door #3 because that's the door you chose at the first stage. There has to be a goat behind door #1. So he opens that door and shows you a goat in all these cases. (See Figure 2 at B.) Of the final 300 instances where the car is behind door #3, 150 of them are also cases where Monty Hall opens door #1 and shows a goat. He might instead and with equal probability have opened #2 and shown a goat. That is, in 150 of the 300 cases this is what happens. But given our assumptions -- that he doesn't open a door with a car behind it or that he doesn't open the door you chose at stage 1 -- nothing else could happen. (See Figure 2 at C.)

As explained just above, none of the breakdown boxes or the counts or frequencies in them yields the needed posterior probability or relative frequency on its own. To get that we need to combine the counts or frequencies in some of the different parts of the tree. To get

(2)
prob(car_behind_#2/host_opens_#1_AND_host_shows_goat).
or its equivalent in frequency terms we need to know what fraction or portion of all the instances where the host open door #1 and shows a goat are also instances or cases where the car is behind door #2. In the frequency tree diagram this is just the count or frequency in box B divided by the counts or frequencies in boxes A + B + C. (See Figure 2.) The relative frequency is 300/450 -- 2/3. This is just what I calculated back at (10). So it pays to switch from door #3 -- the door you chose at the first stage -- to door #2.

Now I have two things left to do before applying Bayes's theorem to the other two puzzles or problems. The first is to determine what happens to the final posterior probabilities when our assumptions about various aspects of the problem are changed or dropped. The second is to look at some previous discussions of the Monty Hall problem using Bayes's theorem. I earlier said some of those had problems or gaps. Some of those gaps just concern what happens when our assumptions about various aspects of the problem are changed or dropped. But there are also at least one mistake. So at the end of this section I'll show what this is.

We have already determined what the values are for all of the inputs in the Bayes's theorem formula when the assumptions are changed. These were mentioned in the discussion leading up to (10). So all I need to do now is plug these into the formula. Suppose, for example, the host might, either deliberately or by accident, open the door hiding the car but would never open the door you chose at the first stage. Then

(12)

prob(car_behind_#2/host_opens_#1_AND_host_shows_goat) =

$$\frac{[1/3 \times 1/2]}{[1/3 \times 0] + [1/3 \times 1/2] + [1/3 \times 1/2]}$$

=

1/2

Or suppose instead, he would never open the door hiding the car but might open the door you chose at the first stage. Then

(13)

prob(car_behind_#2/host_opens_#1_AND_host_shows_goat) =

$$\frac{[1/3 \times 1/2]}{[1/3 \times 0] + [1/3 \times 1/2] + [1/3 \times 1/2]}$$

=

1/2

Now we also recall from earlier that

(5)

prob(car_behind_#3/host_opens_#1_AND_host_shows_goat) + pro

So in each of these cases

(14)

prob(car_behind_#3/host_opens_#1_AND_host_shows_goat) = 1/2

That is, you don't improve your chance of getting the car by switching from door #3 -- the door you chose at the first stage -- to door #2. Your chances are exactly the same whether you stay with your initial first step selection -- door #3 -- or switch the remaining other door -- door #2.

In the application made here of Bayes's theorem I examined what happened in each of three possible cases or possibilities: the case when the car is behind door #1, when it is behind door #2, and when it is behind door #3. Some other applications of Bayes's theorem to the Monty Hall problem have divided or partitioned things differently. I'll end this section by saying why this is a mistake. Suppose the instance of Bayes's theorem we use to calculate the needed posterior probability is not (6) but this one:

(15)

prob(car_behind_#2/host_opens_#1_AND_host_shows_goat) =

[prob(car_behind_#2) x prob(host_opens_#1_AND_

_____

[prob(car_behind_#2) x prob(host_opens_#1_AND_
_#2)]

The likelihoods and priors on the right hand side of this formula divide or partition things into just two possibilites rather than three. What's wrong with that? The priors are easy enough to determine. In fact they can be determined straight from the ones used in the above calculations.

(16) prob(car_behind_#2) = 1/3

but

(17) prob(NOT_car_behind_#2) + prob(car_behind_#2) = 1

so

(18) prob(NOT_car_behind_#2) = 2/3

The diffficulty is with one of the likelihoods. The value of

prob(host_opens_#1_AND_host_shows_goat/car_behind_#2)

is just as it was in our earlier calculations -- 100% or 1 given our assumptions. However, the value of

(19)

prob(host_opens_#1_AND_host_shows_goat/NOT_car_behind _#2)

is indeterminate. As I showed earlier

prob(host_opens_#1_AND_host_shows_goat/car_behind_#1) = 0 and

prob(host_opens_#1_AND_host_shows_goat/car_behind_#3) = 1/2 given our assumptions about various aspects of the

problem. So there is no determinate value for (19) and using (15) as a way to apply Bayes's theorem to get the correct answer to the Monty Hall problem is definitely a mistake.

III. The Test Puzzle and Bayes's Theorem

I'll now show how to apply Bayes's Theorem to the multiple choice test puzzle. As I did with the Monty Hall problem I'll assume for convenience that at the first stage or step of this problem you chose answer "c" to the test question. Then what happened is that the test invigilator said "a" is a wrong answer. These assumptions don't affect the solution. Things would proceed the same way if instead, for example, you initially chose or selected "b" as your answer and then the test supervisor announced that answer "c" is incorrect and worth 0 points. Nothing essential depends on the particular combination I've assumed here.

In this problem the new evidence or information available to you comes from what the tells you about about answer "a". The relevant psoterior probabilities conditioned on this new evidence or information sum to 1 or 100%:

(20)

prob("a"_correct/test_invigilator_says_"a"_incorrect) +

prob(“b”_correct/test_invigilator_says_“a”_incorrect) +

prob(“c”_correct/test_invigilator_says_“a”_incorrect) = 1

We also know that

(21) prob(“a”_correct/test_invigilator_says_“a”_incorrect) = 0

because no lying is allowed. If the test invigilator says that answer “a” is wrong and worth 0 points then it is. Combining (20) and (21) yields

(22) prob(“b”_correct/test_invigilator_says_“a”_incorrect) +

prob(“c”_correct/test_invigilator_says_“a”_incorrect) = 1.

This means that if we determine the value of one of these posterior probailities using Bayes’s theorem we automatically have the value of the other. For convenience what I’ll use Bayes’s theorem to figure out the value of is prob(“b”_correct/test_invigilator_says_“a”_incorrect). The appropriate instance of the Bayes’s theorem formula for me to use is then

(23)

prob(“b”_correct/test_invigilator_says_“a”_incorrect) =

[prob(“b”_correct) x prob(test_invigilator_says

_____

[prob(“a”_correct) x

prob(test_invigilator_says_“a”_incorrect/

“a”_correct)] + [prob(“b”_correct) x

prob(test_invigilator_says

_“a”_incorrect/“b”_correct)] + [prob(“c”_correct) x

prob(test_

invigilator_says_“a”_incorrect/“c”_correct)]

Now we know the value of the priors on the right side of the formula. These are prob(“a”_correct) = 1/3, prob(“b”_correct) = 1/3, and prob(“c”_correct) = 1/3. These priors are the probability you should assign to each of the three answer choices being correct if you were to pick one at random. Since you haven’t studied or prepared for the test you are picking the answer to this question at random. We also have to determine the value of the likelihoods in the formula. These are the parts of the right hand side of the form prob(test_invigilator_says_“a”_incorrect/“*x*”_correct). Just as in the Monty Hall problem, these are affected by the assumptions about various aspects of the problem I earlier made explicit.

The value of

(24)
prob(test_invigilator_says_“a”_incorrect/“a”_correct) is easy. It has to be 0. I said earlier that there was to be no trickery or telling of lies in any of these problems. So, if answer “a” is the correct answer to the question the test invigilator can’t say that answer “a” is wrong or incorrect. The value of

(25)
prob(test_invigilator_says_“a”_incorrect/“b”_correct) is 1/2. One of our assumptions about the multiple choice test problem is the test invigilator might or could say that the answer you chose at the first stage is wrong. This is one way this problem differs from the way I assumed things went in the Monty Hall problem: the host in that problem wasn’t allowed to open the door you picked at the first step. Since this can happen and in this case the “b” answer is correct, the test administrator will randomly select to tell you that answer “a” is wrong or that answer “c” is wrong. Finally the value of

(26)
prob(test_invigilator_says_“a”_incorrect/“c”_correct) is also 1/2. In this case, the test administrator will randomly select to tell you that answer “a” is wrong and worth 0 points or that answer “b” is wrong and worth 0 points.

To get the wanted posterior probability we now plug all the values we've just figured out into the Bayes's theorem formula (23). Doing so produces

(27)

prob("b"_correct/test_invigilator_says_"a"_incorrect) =

[1/3 x 1/2] / ([1/3 x 0] + [1/3 x 1/2] + [1/3 x 1/2])

= 1/2

In turn that means that

(28)

prob("c"_correct/test_invigilator_says_"a"_incorrect) = 1/2

by combining (27) with the earlier (22). So given our assumptions about various inexplicit aspects of the problem, it again turns out that Marilyn vos Savant's answer to this more recent puzzle is right. There is no gain in this problem from switching your answer from what it was at the first step. Of course if we changed some of the assumptions the answer would be different. The problem might then be more like the Monty Hall problem and have a similar solution. But the result of these changes is easy to see and I won't go through that here.

IV. Three Prisoners and Bayes's Theorem

My final application of Bayes's Theorem is to the three prisoners paradox. For this problem I don't need to assume a particular history of what happened. We are told, for example, that the warden tells prisoner A that B is to be executed. On the other hand, nothing essential depends on this particular combination. We could proceed to the solution of this problem in the way I will here if the warden had instead, for instance, told prisoner C that A is to be executed.

In this problem the new evidence or information available to prisoner A comes from what the warden tells him about prisoner B. As in the other two problems we know that the relevant probabilities conditioned on this new evidence or information sum to 1 or 100%:

(29) prob(A_pardoned/warden_says_B_executed) +

And because it is assumed that the warden won't lie to prisoner A, we also know that

(30) prob(B_pardoned/warden_says_B_executed) = 0

So

(31) prob(A_pardoned/warden_says_B_executed) +

In other words, if we determine the value of one of these two posterior probabilities using Bayes's theorem then we automatically have the value of the other.

To calculate the value of one of the posterior probabilities I'll need an instance of the Bayes's

theorem formula. Since for convenience I will be calculating the value of prob(A_pardoned/warden_says_B_executed) the relevant instance is this one

(32) prob(A_pardoned/warden_says_B_executed) =

$$\frac{[\text{prob(A_pardoned)} \times \text{prob(warden_says_B_executed/A_pardoned)}]}{[\text{prob(A_pardoned)} \times \text{prob(warden_says_B_executed/A_pardoned)}] + [\text{prob(B_pardoned)} \times \text{prob(warden_says_B_executed/B_pardoned)}] + [\text{prob(C_pardoned)} \times \text{prob(warden_says_B_executed/C_pardoned)}]}$$

As before all that we need now to do is obtain the values for each of the inputs on the right side of the formula.

The prior probabilities are again straightforward. These are prob(A_pardoned) = prob(B_pardoned) = prob(C_pardoned) = 1/3. These are the probability A should assign to each of the three prisoners being pardoned before he receives any information from the warden about who the governor has or has not pardoned and has only the content of the rumor to go on. We also have to determine the value of the likelihoods in the formula. Just as in the Monty Hall problem, these are

affected by the assumptions about various aspects of the problem I earlier made explicit. The value of the middle likelihood

(33) prob(warden_says_B_executed/B_pardoned)

is easy. It has to be 0. I said earlier that there was to be no trickery or telling of lies in any of these problems. So, if the governor has pardoned prisoner B the warden can't say that he has not been pardoned and will be executed. The value of

(34) prob(warden_says_B_executed/A_pardoned)

is 1/2. This is the result of something prisoner A explictly says. Part of what he says to the warden is, remember, when both the other prisoners are to be executed and there is no reason for the warden to provide this information about one over the other, the warden should pick one of them at random to tell A about. Finally the value of the third likelihood

(35) prob(warden_says_B_executed/C_pardoned)

is 1 or 100%. We've assume that the warden cannot tell a lie, so he cannot say that C is to be executed when C has been pardoned. And he cannot tell A that he -- A -- is to be executed. So when C has been pardoned and is not to be executed, the warden can only tell A about what is to happen to B.

Now we substitute all our determined values into the instance of the Bayes's theorem formula in (32). The result is

(36) prob(A_pardoned/warden_says_B_executed)

= [1/3 x 1/2] / ([1/3 x 1/2] + [1/3 x 0] + [1/3 x 1]

= 1/3

Since

(31) prob(A_pardoned/warden_says_B_executed) +

we also now know that

(37) prob(C_pardoned/warden_says_B_executed) = 2/3.

This is just the solution Martin Gardner said many years ago was the right one to this problem. Prisoner A had calculated that his chance of being the one who was pardoned by the governor had risen from 1/3 to 1/2. But it hadn't and, on the other hand, prisoner C's had.

V. Conclusion

I've shown how to solve three similar puzzles or problems or paradoxes using a probability formula called "Bayes's theorem". To use this formula I've had to be very explicit about certain aspects or features of the problems which are otherwise unnoticed or hidden. I've shown -- specifically for the Monty Hall problem, but hinted at how it could have been done for

the multiple choice test problem -- how one assumption about these features can mean that one solution or answer is correct, while another assumption can mean that another different solution or answer is correct. I think it a virtue of this technical approach using a probability formula that it forces us to be explicit about these assumptions. On the other hand, I can't really claim that this technical approach is sufficient for us to be explicit about these assumptions. Other investigations of the Monty Hall problem have used the Bayes's theorem formula but not been so fully explicit about the assumptions needed to determine the probabilities involved as I've tried to be here (for example: Baron 2000, Gigerenzer 2002, Bradley and Fitelson 2003).

I should perhaps end by saying something about a part of every solution I've given using the Bayes's theorem formula. I've given a value in every solution to the prior probabilities. The value is that all the possibilites have an equal probability. In the Monty Hall problem this meant that prob(car_behind_#1) = prob(car_behind_#2) = prob(car_behind_#3) = 1/3. In the multiple choice exam problem this meant that prob("a"_correct) = prob("b"_correct) = prob("c"_correct) = 1/3. In the three prisoners puzzle this meant that prob(A_pardoned) = prob(B_pardoned) =

prob(C_pardoned) = 1/3. But some seem to find this valuation controversial or at least without a solid basis (Bradley and Fitelson, 2003). It seems to me this is a reasonable assignment. It isn’t exactly that the assignment is justified by a complete lack of evidence or data concerning which one of the three possibilities in each case is the truth. It is justified by a more general principle. In every case we have exactly the same amount of information in favor of saying or believing that one of these possibilities is the truth rather than the other. So their probability values should be equal.

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Out of the Frying Pan into the Fire: *The Negro Soldier, Stormy Weather,* and *Carmen Jone*s

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Abstract

Out of the Frying Pan and into the Fire: The Political Exigencies that Fueled The Negro Soldier, Stormy Weather, and Carmen Jones

In the early 1940s and 1950s, Hollywood produced two all black musical extravaganzas featuring beautiful and talented African American women: Lena Horne in Stormy Weather (1943), and Dorothy Dandridge in Carmen Jones (1954). Stormy Weather supplied a corrective to the Office of War Information's Manual, which suggested that portraying blacks negatively undermined the war effort. Carmen Jones provided fodder for Eisenhower's remarks that Earl Warren's appointment was "the biggest damn fool mistake I ever made," after the Supreme Court rendered the unanimous decision that Warren, as Chief Justice, helped to secure in the case of Brown v. Board of Education.

Although little more than a decade demarcate Stormy Weather and Carmen Jones, over that span of eleven years, American culture changed significantly—a transformation that explains the discrepancies between Hollywood's portrayal in 1943 and 1954 of two resplendent black women in generically identical movies. Franklin Delano Roosevelt, who ushered in American liberalism, died in 1945, and Harry S. Truman assumed the presidency. World War II ended in 1946, and the Cold War began in earnest. In 1952—after more than twenty years in power—the Democratic Party ceased to retain the highest office in the land with the presidential election of conservative Dwight D. Eisenhower.

During his administration, Roosevelt induced Hollywood filmmakers to mitigate the cinematic stereotypes of blacks that D.W. Griffith's The Birth of a Nation (1915) initiated. Stormy Weather, which celebrates the return of black soldiers to the United States following their heroic exploits abroad during World War I, was Hollywood's penultimate answer to Roosevelt's call. In 1948, Truman's Executive Order 9981 officially desegregated the Armed Forces, and problem pictures—films that humanized blacks and compelled audiences to detest the injustices that African American endured simply because of skin color—proliferated until the end of the decade.

By the 1950s, however, Hollywood's social activism dissipated, fueled in no small part by the paranoia created by McCarthyism. During the first two years of Eisenhower's tenure, fellow Republican Senator Joseph McCarthy rode the helm in ridding America of its infiltration by communists—and this new Red Scare continued to focus attention on Hollywood.

So even when the nation's highest court dismantled segregation as an equitable way of life in the United States, a chastened and fearful Hollywood adopted a far more conservative stance. Carmen Jones, peopled with highly sexually charged and emotionally unstable blacks, must have caused even liberal white viewers to question the efficacy of having African Americans attend school with their own children; only a protracted Civil Rights Movement would mitigate the damage done and pave the way for full implementation of Brown v. Board of Education with "all deliberate speed."

Where Is the Ramp for Me? A Postmodernist Reading of Cognitive Disability

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Proposal for Future Research

Where is the Ramp for Me? A Postmodernist Reading of Cognitive Disability

Disability Studies has become a new area of inquiry for those in the arts and humanities, yet as this new field gains legitimacy through the support of such august organizations as the Modern Language Association (MLA) and the American Studies Association (ALA), its parameters are already under contestation. In a call for papers for the 2004 MLA Annual Convention, Mark Osteen laments the lack of essays addressing cognitive rather than physical impairments in the academy's first publications dedicated to this issue. In a recent call for essays, MELUS suggests that disability studies must be considered in light of "other modes of inquiry focused on the embodied subject (such as queer theory and feminism [which] has produced an outpouring of provocative scholarship that has furthered the understanding of those social, political, and cultural practices that have kept seemingly different groups of people in striking similar marginalized positions."

As an academic and as the mother of an autistic son in the process of writing a literary portrait of him, I have a personal as well as professional stake in this burgeoning area of specialization. I also have a number of unanswered questions, questions that I am sure I share with those who, unlike me, may not have an intimate relationship with the disabled but with those who, like me, want to know more about the parameters of this new discipline. What is or what should constitute disability studies? How does or how should disability studies relate to our research and teaching in the arts and humanities? Is the field of disability studies simply the next in a long line of previously overlooked marginal groups that now demand our attention, as some might have us believe? Or, will we finally let the disabled decide what theoretical approaches and/or texts work best for them as we, as scholars, claim this new area of inquiry?

Spiritual Things

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keyword: spirituals, performance, practice, European, classical

For centuries, Americans have embraced the warm, jovial and melancholy aspects of the spiritual. The spiritual has found a resting place in the archives of American music and culture. There are various topics that may be addressed when discussing aspects of the spiritual.

This lecture/performance of the spiritual deals specifically with authentic performing practices versus traditional performing practices. A brief examination of the spirituals *Steal Away, Live Humble and Swing low, Sweet Chariot* among others, will be examined based upon their familiarity. Range, timbre and diction will be addressed along with audio examples of spirituals sung by both natives and classical recording artists.

It is the intention of this presentation to readdress performing and educational aspects of the spiritual and to reiterate contributions of American composers who have carried the beauty of the spiritual from southern plantations to concert stages across America.

Hawaii International Conference on Arts and Humanities – 2005

Title
Integrating Computing into the Discipline: Giving Liberal Arts Students an Edge

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Abstract
Do liberal arts students have the information technology (IT) skills they need upon graduation? The Technology Edge Project, established at the University of Alberta, has assessed students' computing skills, and piloted a discipline-centered approach to integrating IT into liberal arts courses. This paper will report on our completed research, and will discuss the issue from student, teacher, and employer perspectives.

In higher education world-wide, information technology has become an indispensable tool; both teachers and students use IT extensively in their teaching and learning activities. Even though the use of IT in university courses has increased exponentially in the past decade, the methods of IT skill for students training remain *ad hoc*, inconsistent, and are rarely evaluated with respect to their effectiveness. The Technology Edge Project is pioneering a new approach, which allows students to acquire the requisite IT skills and make the connection between computing skills, their discipline and future employment. This project can serve as an example for other institutions that are seeking ways to include computing in the academic curriculum.

There has been widespread recognition recently that liberal arts students are highly valued as employees, but there is also a public perception that arts students may not be well equipped to face the challenges of employment in the information age. The Technology Edge Project was launched to address the issue of liberal arts students' IT competency.

A needs assessment, including a student survey and employer focus groups, was conducted at the University of Alberta, the University of British Columbia, and the University of New Brunswick. From this research, we have been able to draw a comprehensive picture of students' current IT skill levels and attitudes. Four IT skills (basic computer use, e-mail, word processing, and Internet) emerged as the core competency every student possessed. As well, liberal arts students have an overall positive attitude to using IT both in the work force and in academia, especially when these skills are in their own specialized area. However, liberal arts students are less proficient, and less confident in their abilities, in areas such as presentation, spreadsheet and database programs. On the other side of the job market equation, employers uniformly expect basic IT competency and articulated this requirement with an emphasis on the standard business suite of software, which includes word processing, spreadsheet, presentation and database skills. They stressed the importance of life-long and continuous learning of IT skills. Both students and employers strongly prefer to see IT skill acquisition integrated into the academic curriculum.

Based on the assessment results, the project team developed Tech Edge learning materials and approaches which integrate IT into the liberal arts curriculum. Three academic courses were run with these materials in a pilot test in the fall of 2004. The courses were:

- Art History 410/510 Women in Photography
- History 260 Canada before Confederation
- French 371 French Languages and

The courses were redesigned to incorporate learning activities that require students to use information technology. Students' learning was supported by tutorials in self-study or workshop mode, conducted by a graduate student tutor. Students acquired IT skills in the context of an academic discipline and in the process of completing their course assignments.

The three pilot courses represented the diversity in arts disciplines, various knowledge levels, class sizes and teaching approaches. We were able to implement the Tech Edge components in different ways and observe the outcomes. Through a mixture of surveys, interviews and discussions, we assessed the learning impact of

the Technology Edge components in these courses, and measured the effectiveness of the various modes of integration we used (on-line learning materials, face-to-face workshops, written materials, tutorials). Several lessons learned can be highlighted:

The main goal of the Tech Edge project was to help Arts students learn IT skills **within the context of their disciplinary studies**, so the connection between IT and their academic work was obvious. By using the integrated approach, we succeeded in achieving this goal: the academic courses maintained their integrity in subject content as well as achieving explicit learning outcomes for IT skills.

Among the different tutorial formats, **face-to-face interaction** seemed to be the students' favorite. They saw the tutor as their peer, so it was natural for them to seek help from him. Not only was the peer status important for a success; the tutor had to have credible IT expertise and empathy with Arts students learning needs. This is a crucial role for this kind of technology integration.

From the student surveys it was apparent that students would like to focus more on **advanced skills** rather than brushing up the basic skills they already had.

Class size was also an important factor in the implementation. The learning activities and assignments in small classes were designed in such a way that peer interaction was abundant; the Tech Edge tutor naturally fit into that dynamic. Within the larger class, such dynamics were not created.

The ultimate goal of the Tech Edge project is to provide liberal arts students with the necessary skills to effectively use information technologies in their chosen field of employment. They will be able to critically evaluate information technology practices and creatively incorporate appropriate technology tools into their working environment.

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1. Soul Murder and the Tragic Art

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6. Abstract

Greek Tragedy gives a unique opportunity for exploration of the murdering of the soul as represented through some of the most powerful women of Greek tragedy. Medea, Elektra, Agave are a few of the examples that will illustrate the soul murder and help to illuminate through the original monologues the search to find the fragments of soul. The presentation will include explanation of the process of this piece along with a performance of one or possibly two monologues if time permits. This one- woman show is scheduled to open in Sacramento and if possible will go to Greece. I will perform in English with some Greek chanted and sung throughout the show. This show represents a journey through the tragic art as an offering to unveil the soul murder of our own lives.

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6. Abstract:

Incoming freshmen are often dazed when they enter their first college composition classroom. The notion of finally being in college can be overwhelming enough without freshmen having to deal with the alien rhetorical concepts to which they are exposed during the first few weeks of the semester. Music can be used to ease students' transition from high school writers to college writers since music is not only a universal language but is also tied to communication skills. By using music to teach something as elementary as introductory paragraphs, the classroom atmosphere is made more familiar and more welcoming rather than foreign and foreboding, thus enabling students to be more relaxed and more open to instruction.

Introduction

My first exposure to rhetoric instruction was, I must admit, dull and dreary: dead languages, dead concepts—were the Ancient cultures good for anything other than art, stories, language, and great food? This seemingly dry material would have to be souped up a bit to attract college freshmen whose attention spans run between 10 and 15 minutes. The compositions students write are comprised of sections, each an entity unto itself, which contribute something to the overall essay. Essays, whether the short student essay or a more lengthy piece of scholarship, essentially have an introduction section, a discussion section, and a concluding section, though each section is given a more specific subheading to differentiate it from another. During my senior year of undergraduate work, I took "History and Analysis of Rock and Roll Music," where the lessons we learned about the different sections of a song and how those sections merged to create one complete unit. After reading a bit more about the various rhetorical appeals—ethical, logical, and emotional—I realized that the songs we listen to every day can be linked to this previously unknown material.

Background

To make the connection between music and rhetorical devices, we must first possess some general basis for such harmony between two seemingly opposed subjects. In truth, Aristotle addressed the importance of music quite early in his writing, addressing the place of music in education, poetry, and rhetoric as vital to the development of the Greek culture. Before discussing why and how music should be included in the training of the youth of the Greek world, Aristotle presents the nature of music, indicating that music is vital in character training, pleasure, and cultivating the mind. He argues that music as amusement is designed to produce relaxation which alleviates the pain caused by various stresses and exertions, thus bringing the listener pleasure. He states more specifically, "All innocent pleasures have a double use: they not only help us to achieve our end [i. e. felicity], but they also serve us as means of relaxation(The Politics of Aristotle 342). While pure amusement is necessary for mental well-being, a subject must bring greater personal benefit than mere pleasure; otherwise the recurring them in the Apple Jacks commercials—an adult asks a group of sugar-infused children why they like eating Apple Jacks and the response is "We just do"—suddenly makes perfect sense.

Aristotle suggests that consideration must be given to the idea that music actually affects the human soul besides in the *katharsis* of certain melodies. Music, he submits, is the most imitative of all the arts, meaning that of all the arts, including music, poetry, painting, and dance, music is the most representative of human nature and the human soul(Aristotle's Theory of Poetry and Fine Art 128-9). He further differentiates that the music for comedy, typically Phrygian in nature, tends to imitate "persons below the level of our world" while Dorian modes, being more grave in nature, "[imitate] persons above it"(Aristotle on the Art of Fiction: An English Translation of Aristotle's *The Poetics* with an Introductory Essay and Explanatory Notes

19). For music to touch and move the heart of its hearers, the melodies must utilize the wide range of human emotions while bearing with it some element of logical progression and organization to temper the pure emotion with reason and intellect. The listener experiences a deeper sense of being than could be accomplished from a stimulus/response toward one extreme or another. Continuing his discussion of why music needed to be taught the Greek youth, Aristotle indicates perhaps the most vital benefit—the changing of the soul which can be accomplished by listening to the various images produced by the various rhythms, melodies, and harmonies of music: ". . . many thinkers connect the soul with harmony—some saying that it *is* a harmony, and others that it possesses the attribute of harmony(Politics 345).

Isocrates and Cicero concurred with Aristotle's ideas uniting rhetoric and music, according to Katz: ". . . Cicero, like Isocrates, used writing to develop a more literate theory of oratory and response but one still very much animated by sound in performance. Despite the later, more literate date, Cicero, like Isocrates, seems to have conceived of prose style in terms of poetry and music(106). Cicero writes that a successful orator must have some degree of knowledge of the subject of his speech, else his speech will become "an empty and almost puerile flow of words"(Cicero on Oratory and Orators 11). Later, as Crassus, he writes of the orator's power to move people or situations, to sway juries and the tumults of people, and to give assistance to those who so desperately need his skills in such pleasant, melodious language ornamented with wisdom and reason. Writing as Antonius, Cicero describes the hard work of Demosthenes the Athenian who achieved incredible success despite an inarticulate pronunciation, shortness of breath, and "after putting pebbles into his mouth, used to pronounce several verses at the highest pitch of his voice without taking breath, not standing in one place, but walking forward, and mounting a steep ascent"(80-81), practices and reputation usually

associated with great operatic tenors.

While this paper puts forth the notion that music and one's reputable character are inextricably linked, at least in the discussion of both subjects by Ancient Greece and Rome, Petrarch also had some contributions to the topic, found in his "Dialogue on Music," found in the twenty-third dialogue of Book I of his *De remedies utriusque fortune*[Remedies for Prosperous Fortune]. Though he was a lover of music, his dialogue offers an opposing point of view to that presented herein. The dialogue begins with Joy expressing delight in songs and music, while Reason rebuts that greater delight can be found in tears and sighs since "weeping that ends in joy is preferable to joy that ends in sorrow"(Rawski 307). Joy submits the charm of songs and sounds, and Reason argues that animals and birds are similarly deceived by music, giving the Sirens as an example of creatures who used their songs to deceive men(308-9). The discussion continues until finally Reason argues that while Joy finds delight and pleasure in the music of earth, it can not possibly compare with the music to be heard in the highest heavens; thus, earthly music is worthless in the grand scheme of life and its abundance(316).

Johann Sebastian Bach, considered the greatest composer of the Baroque period, was an artist inspired by the rhetorical theories of Marcus Fabius Quintilianus. Bach felt his music, that all well-written music, must conform to the rules of rhetoric, especially since the prominent theory of the day dictated that music was a form of speech, "speech elevated by sound"(Bettmann 113). Much of the basis for this concept came from Quintilian's *De Instituto Oratoria* which suggested that rhetorical study commence with musical study, both of which were mandatory in early eighteenth century universities(114). A majority of Bach's creations were based on rhetorical standards, most easily recognizable in his fugues which were designed to imitate the patterns orators attempted to capture in their discourse. Bach states the theme, then

develops it with counter-themes and variations before bringing the music back to the original theme. Bach's cantatas held a more persuasive, argumentative tone than did his fugues, mainly because he considered cantatas as sung sermons, intended to be concise yet vibrant and full(115). Bach made sure his cantatas adhered to three criteria which summarized Quintilian's rhetorical philosophy: to be effective, a speech should stir the emotions, assume the task of educating and enlightening, and end in delight. Sharing Aristotle's views of music and contradicting Petrarch's expressed view, Bach felt his motivation was not purely to bring pleasure with his music but to instruct his listeners in the wonder, grace, and mercy available from God, even to move his audience's spirits to touch God Himself.

A rhetorician and music composer, Rousseau, too, indicates music's ability to touch and inspire the hearts of its listeners, explaining that music is an expression of the human heart which, if given the proper stimulus, can be moved and even changed. In his Essay on the Origin of Languages, Rousseau analyzes human communication via speech and music, indicating that both came into existence at around the same time as expressions of passion(Scott 805). His main argument is that speech and music do not exist as a means of the communication of necessity but of the communication of moral needs and passions, of love, hate, anger, peace, irritation, and jealousy(807). The tone of the music as an expression of such passions, can stir in those who are in similar humor the same intensity of experience as the composer himself while stirring in others a momentary sympathy with the passion of the composer. Stravinsky utilizes rhetorical elements in his composition *Canticum Sacrum* by utilizing the framework of a whole and providing a direct analogue of the rhetorical arrangement. By emphasizing each rhetorical element of beginning, middle, and end, Stravinsky allows rhetoric to dictate his musical form, though to a much lesser extent than Bach or Rousseau(Kon 237).

George Eliot used music as major influences in her writing, especially in the development of her characters. She first used music as representative of the human soul in her short story "Janet's Repentance" but continued to use music to refer to any type of strong emotion(Byerly 5). By associating music with unhindered emotion, Eliot became akin to some of the leading musical theorists of the nineteenth century, including Franz Liszt who felt that music's value is found in its ability to manifest pure emotion(6). Music and musicians still bore the stigma of the nomadic minstrels who perpetuated music and dramatic entertainment during the Middle Ages and eventually found homes in theaters and pubs, evidenced by the idea that no true English gentleman would consider music as a possible profession. Instead, music was left to those of a lower class—any nationality that was not British. Therefore, Eliot would use lower, discordant tones to indicate a more sinister character and more enchanting treble tones to indicate a more compassionate, sincere nature, indicating that music, the music of one's voice, professed one's soul and spirit(4).

Method

Brain-based learning has been a major movement in the field of education for at least the past five years. In essence, brain-based learning is instruction that takes into consideration the various methods of learning, the various types of intelligence, and the way the brain actually learns, and, as a result, prepares lesson plans and teaching units to address each student's learning ability as efficiently as possible. Three basic modalities, or learning styles, exist—visual, auditory, and tactile/kinesthetic. While no student is completely one or the other and students cannot receive completely individual instruction tailor made to her particular learning style, the goal of brain-based learning is to employ as many different modalities as possible. The most effective lesson is one which accesses every style, but such a lesson is usually extremely

difficult to maneuver, especially if the teacher is unfamiliar with how to design such a lesson. Most brain-based lessons will employ two of the three styles which is still effective since, as mentioned previously, most students have more than one strength or learning style(Tileston 8).

When using different disciplines, educators can make their lessons more efficient. Turner-Bisset uses traditional folk songs to teach elementary school students the role of the serving-maid in Victorian times and to present to the students a different method of expression which they then apply to their own writing on the subject. Tileston supports this interdisciplinary approach in saying that "the teacher who teaches with a variety of techniques provides more opportunities for success to his or her students"(9). She also asserts that in order to be most effective, teachers must assess the knowledge students already possess, capture students' attention based on their prior experiences, and then provide them new information which will build on the knowledge and experiences the students already have(22).

This utilization of students' prior experience is not new. In 1984, George Hillocks, Jr., conducted an analysis of four different methods of instruction—presentational, natural process, environmental, and individualized. Based on the data gathered, Hillocks found that the presentational method, the method traditionally used in schools at nearly every level, was the least effective. The next least effective was the natural process mode in which instruction is more student-driven and feedback is more student-oriented(159). Equally as ineffective was the individualized method where tutoring and programmed materials were used(146). The most effective method of instruction was the environmental method which provided a middle ground between feedback and instruction which was solely teacher-centered or student-centered; effective activities involved more student involvement while providing specific objectives to be accomplished(160). Employing music in writing instruction allows students to be more involved

in their own learning by providing a more socially relevant, life-relevant context, thus a more relaxed environment, for instruction.

To illustrate the concept of establishing and maintaining *ethos*, I give my students a "pop quiz" which is not counted as a grade but is used as an illustration. I give them a "pop quiz" involving music. I play the introduction to a number of popular songs that they will hopefully recognize(See Appendix A). I pause the CD player just as the vocals begin. Students are to identify the artist and the song, based solely on the few seconds of music/information they are given. I never play any song into the vocals unless they are completely uncertain of that song; once they are ready, I proceed to the next song and continue until I reach the last song which is always "Cult of Personality" by Living Colour. As with the previous songs, I pause just before the vocals begin; however, after the guesses have been written down, we discuss the answer for each song and the importance of that song in relation to the music the artist is making now. Most of the songs, as noted in the appendix, represent either the artists' first hit, first song, or first hit in a particular genre; thus, that first song/album represents the artists' first impression, hence the artists' *ethos*. After this discussion, I hand out the lyrics to "Cult of Personality" by Living Colour(Appendix B). After the song has finished playing, we discuss the importance of *ethos* regarding composition as well as the connection of songs to essays. We also discuss the elements of *ethos*, specifically the use of *anamnesis*, as pertains to the artists' obvious purpose and deeper purpose. The discussion transforms from a simple lesson to an analysis of a song for its rhetorical elements. After the discussion, I will often provide students four prompts for writing an introductory paragraph, based on the class discussion. Occasionally I will have them pair off and collaborate on a paragraph then present that paragraph to the whole class where the paragraph will be assessed regarding its effectiveness in grabbing the listeners' attention and

whetting the listeners' desire to read the rest of the hypothetical essay.

Refutation

The argument could be made that the method of instruction described above is somewhat related to the whole language theory of literacy instruction, given that whole language typically involves three traits: exposing students to readings outside of typical texts, teaching reading and writing with emphasis on prior experiences, and providing a social context for learning(Whitaker 24). Certainly the use of the opening lines, or "hooks," of fairly well-known pieces of literature and the song lyrics could constitute an alternative text. The use of popular music provides an emphasis on students' prior experiences, especially since Schulkind, Hennis, and Rubin have shown that music triggers emotions which in turn cause long-term memory retrieval, thus allowing the students to relive prior experiences depending on the emotions evoked by the music(953). Likewise, music provides a social context as the students can relate to each other's knowledge of popular music and are validated in their experiences; while floating seemingly adrift in an ocean of rhetorical terminology, they are all safe and secure in a boat constructed of easily recognizable music which they can all share with each other. However, Whitaker suggests that whole language advocates would argue that the use of song lyrics for anything other than the purposes of enjoyment or learning the song would not constitute "whole language" learning(26). Schulkind, Hennis, and Rubin would argue that while the use of music does relate to the expression of emotions—after all, why would a songwriter even put forth the effort if he or she did not want to express some sort of emotion—the music itself does not impact the students' long-term memory retrieval unless some sort of emotional experience is also triggered(952).

In response, I submit that my use of music in teaching *ethos* is not intended to move the information from the students' short-term memory system to the long-term memory system, nor

am I attempting to utilize any whole language practices. In truth, I use the music as an example of the tone, credibility, and character of the music and how that same tone, credibility, and character relate to writing. I use many other examples as well, including the cinema, stories, and television shows, each intended to connect the abstract concept of *ethos* to more readily available, concrete anchors which students can use to better understand this initial exposure to rhetoric. Cicero wrote that the character of an orator must be established early, in the *exordium*, so the audience could determine the orator's authenticity; likewise, writers today, be they poets, novelists, playwrights, or songwriters, must establish their validity and credibility early in their writings in order to grab the audience's attention and continue to develop that character.

Conclusion

Music can and should be used to instruct students in literacy training, especially in writing, because both music and language are expressive by nature and both serve as vital representations of culture. To be used most effectively, however, the two must be united and interwoven to present the intricacies of both and to involve the students in a more cultural learning environment. By involving as many learning styles as possible and by connecting new information with students' prior experiences, lessons can offer students the ideal learning environment which will enhance their understanding of new subject matter. With the current and upcoming generations, a newer form of education must evolve that will consider the students' diminishing attention span while providing them the appropriate amount of knowledge. Utilizing all aspects of culture will facilitate this evolution.

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Appendix A

First Version of the *Ethos* CD
1. "Shine" by Collective Soul
2. "Return to Pooh Corner" by Kenny Loggins
3. "Higher" by Creed
4. "Ants Marching" by Dave Matthews Band
5. "Hook" by Blues Traveler
Second Version of the *Ethos* CD
1. "Shine" by Collective Soul
2. "Return to Pooh Corner" by Kenny Loggins
3. "Brickhouse" by The Commodores
4. "Higher" by Creed
5. "Ants Marching" by Dave Matthews Band
6. "Hook" by Blues Traveler
Current Version of the *Ethos* CD
1. "Brickhouse" by The Commodores
2. "Goodbye to Yesterday" by Boyz II Men
3. "Higher" by Creed
4. "Ants Marching" by Dave Matthews Band
5. "Lullaby" by Shawn Mullins
6. "Man of Constant Sorrow" by The Soggy Bottom Boys
7. "Don't Know Why" by Norah Jones
8. "Cult of Personality" by Living Colour
Proposed Songs for Future Versions
1. "3 a. m." by Matchbox 20
2. "Hound Dog" by Elvis Presley
3. "What Would You Say?" by Dave Matthews Band
4. "Friends in Low Places" by Garth Brooks
5. "Stay" by Lisa Loeb
6. "One Week" by Bare Naked Ladies
7. "Stairway to Heaven" by Led Zepplin
8. "She's a Wild One" by Faith Hill
9. "All I Wanna Do" by Sheryl Crow
10. "Borderline" by Madonna
11. "What I Say?" by Ray Charles
12. "I Wanna Hold Your Hand" by The Beatles

Note: In essence, the song itself is not as important as is the discography of the artist. Most of the songs chosen above represent either the artists' first hits, hits which established the artists' place in popular culture, or hits which established the artists' place in a particular genre. An interesting twist would be to choose one-hit wonders and discuss the *ethos* established by the artist and its subsequent demise. Another interesting alternative would be to trace the *ethos* of an artist from the beginning to the current rendition, for example, tracing the development of the jazz-rock group Chicago or the various upgrades that Madonna has undergone.

Appendix B

"Cult of Personality"

Music & Lyrics: V. Reid, C. Glover, W. Calhoun, and M. Skillings

Look in my eyes, what do you see?
Cult of Personality
I know your anger, I know your dreams,
I've been everything you want to be
Oh, I'm the Cult of Personality
Like Mussolini and Kennedy
I'm the Cult of Personality
Cult of Personality
Cult of Personality

Neon lights, Nobel Prize
Where the mirror speaks, the reflection lies
You won't have to follow me
Only you can set me free.

I sell the things you need to be
I'm the smiling fact on your T. V.
Oh, I'm the Cult of Personality
I exploit you, still you love me
I tell you one and one makes three
Oh, I'm the Cult of Personality
Like Joseph Stalin and Gandhi
Oh, I'm the Cult of Personality
Cult of Personality
Cult of Personality

Neon lights, a Nobel Prize;
A leader speaks, that leader dies,
You won't have to follow me,
Only you can set you free.

You gave me fortune, You gave me fame
You gave me power in your God's name
I'm every person you need to be
Oh, I'm the Cult of Personality.

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Title of paper: The Importance of Collaborative Learning and Group Communication for Second Language Students in the Mathematics Classroom

Topic area(s): Speech/ Communication, Issues/research related to teaching, Second language studies.

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Abstract:

Mathematics classes are traditionally conducted in a lecture – recitation mode of instruction. These conventional methods and techniques encourage competition between students who work in a restricted communication setting in which they are forced to work in isolation, communicating solely with the instructor. Furthermore, students who feel uncomfortable with the language of instruction do not have the opportunities to clarify mathematical concepts and skills.

This researcher has developed a pedagogical strategy whereby small group communication between second-language students in a mathematics classroom helps in eradicating mathematics apprehension, while providing an opportunity for students to communicate with their peers and engage in collaborative learning. Students participating in this study reported learning from each other, as bilingual students served as bridges in facilitating instructional activities, translating concepts for those peers who had difficulty in the language of instruction. Group work provided a comfortable climate in which students expressed themselves and often served as role models for each other.

Public Intellectuals in Latin America: The "Curse" of Political Militancy

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Public Intellectuals in Latin America: The "curse" of political militancy

Latin American writers and intellectuals share a common trait: “the curse of political militancy”. Their involvement in politics is structurally based: Intellectuals feel compelled to enter the political arena as a result of a *perceived* lack of viable options. Corruption, inefficient political systems, electoral mechanisms favoring the ruling party, and the lack of a truly educated political class drive intellectuals to fill a void in the system. From the time of the Colony to present day Latin America, the "grupo letrado", as Rama names them, has maintained its political and ideological status. Courted by governmental forces and traditional politicians alike, the intellectual in Latin America has become an independent force among the institutions of political power.

Whether engaging in the foundation of the Latin American State, like Sarmiento or Martì, or fighting for the rights of the middle class, as Vargas Llosa claimed he did in the Peruvian National elections, intellectuals in the southern cone (and Central America) actively participate in the political life of their homeland.

I will argue that these men and women who belong to the "grupo letrado" use Literature to influence the political systems of their respective nations. I will claim that the intellectual-writer ‘writes’ a *national* history, with himself as protagonist and narrator, where narrative turns into History, and History develops into nation-building. By claiming ownership of the "written sign", the "grupo letrado" wields substantial political power. Their aim, I posit, is to create a mythical "patria": a hybrid Latin American neo-platonic *Republic* where intellectuals may rule with a wise hand.

I will end with a mixed message of hope: On the one hand, the intellectual as a politician is seldom a good idea: The *art of politics* implies necessary social and political compromises that might endanger the role of public intellectuals as intermediaries. On the other, intellectuals who enter the political arena do so out of a heightened state of patriotism and a strong feeling of "Public Duty".

Genio y Figura hasta la sepultura: Catalina de Erauso, la Monja Alferez

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Genio y Figura hasta la sepultura: Catalina de Erauso, la Monja Alferez

Catalina de Erauso, the Spanish nun turned soldier of fortune, is an unusual literary and historical figure. Her life, like her novel, is fraught with contradictions, exaggerations and even historical inaccuracies (the discrepancy between the birth-date of the memoirs and the one on her birth certificate is 7 years). Like the *pícaro* figure she is, Catalina beseeches the reader to believe she dressed as a man for several years, she was seduced by high born noble ladies (unaware of her true gender) and was an accomplished duelist. In addition, the highly imaginative nun charms her audience with tales of fratricide and military exploits Cortés would have been ecstatic to emulate.

Catalina writes a witty prose, filled with humorous social satire and a complete disregard for authority. In true picaresque spirit, the lieutenant nun uses every opportunity to present herself as an outcast by choice. She outsmarts bishops, military commanders, aristocrats and thieves alike. The outrageous de Erauso goes as far as to present herself at her father's house and work as a page without the unsuspecting sire realizing his new servant is his daughter.

Catalina's feisty nature, the "genio y figura" of the Spanish popular saying, leads her to fight countless duels. Sometimes defending the honor of Spain, where others the *ennui* of a life based on lies makes her specially sensitive to the jibes of her fellow soldiers. Later, rather than sooner, her past catches up with her. Scheduled to be executed for killing a man, she reveals her gender to the Bishop of Guamanga in the hopes that his Excellency will be kinder to the fair sex (and a former member of the church) than to any common killer. In lieu of penance, the story goes, the priest forces her to write her memoirs. Thus, he assures her, impressionable young ladies with their heads on the clouds will learn from her mistakes.

I will argue that Catalina's story is unusual in many ways. Gender, in this instance, is the card that trumps her death sentence. Although de Erauso reneges on her biological sex for most of her adult life, she must thank the double *X* chromosome for saving her from the gallows. Furthermore, I will explain how literary characters, in the *Siglo de Oro*, used cross-dressing as a literary subterfuge, not as a "gender statement". I will claim that de Erauso's idea of gender supports Lacqueur's assumption of an "only sex". I will end on a cautionary note: Catalina's story is a wonderful example of *picaresque* writing and should not be read as a postmodern paradigm of gender issues.

From XXth to XVIth. Aspects and Models of Renaissance in Italian Literature of XXth Century

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MARINELLA CANTELMO

From XXth to XVIth.
Aspects and Models of Renaissance in Italian Literature of XXth Century

Many authors and works of Renaissance feed and grows italian literature between XIXth and XXth Century: In the Gabriele d'Annunzio's novels (*Il Piacere, Le vergini delle rocce*) Renaissance is myth of past against present decadence. The young poet Pascoli learns to fly on ippogrifo and so learns to look at the world from above. Pirandello grounds his theory of *umorismo* between Ariosto's *Furioso* and Cervantes *Don Quijote.* It is my intention to look at how authors and works of Renaissance become patterns and models of modern literature within an interdisciplinary perspective.

Experimental Humanism:
From A Two-year Humanities Degree to a New Media Baccalaureate

Topic: Curriculum Development and Pedagogical Culture

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ABSTRACT:

When our small college had the opportunity to develop a four-year humanities degree, we believed that an English degree would be the natural development of our experience as a faculty in English studies at the community-college level. In fact, when the Board of Regents informed us that no new programs could compete with existing degree programs within a forty-mile radius, we were charged with creating a degree in new media. With no other model to go by in the state of Georgia at the undergraduate level, and no experience within our division in developing such a curriculum, we struggled to redefine ourselves as teachers, scholars, and administrators. Much of our faculty had come out of the Vietnam-era of graduate schools, having begun careers as twenty-something graduates with M.A.'s who finished doctorates while teaching full loads in composition and while raising young families. For most of us "new media" was not a term we understood well or at all. As we patched together a course of studies from extant courses and from new-course descriptions, we had only a summer before we were open for business. Curricular development meant that for each course added we had to ask ourselves how that course fit into a new media degree and how our backgrounds in English studies had prepared us to teach that course. As professors who taught four/four loads, we had little time to discuss the ramifications of our new degree on our own division culture. As the degree began to be offered, many of us felt out of the loop, and most of us did not understand how we could teach in the program. As it evolved, the nearly complete transformation of our division was a crisis of identity for our veteran faculty. As we advertised for and hired a young scholar in new media, few faculty members felt part of that process; then, for the first time in the division's history, a recent hire was teaching junior and senior level classes only. Although this was a temporary situation driven by courses that we needed to offer, it became symbolic of how senior faculty felt left out of its own degree. As those of us who were administering the new degree rewrote the curriculum over the first couple of years, senior faculty began to announce their retirements. A few, somewhat younger faculty members were able to make the transition, learning to teach film, ethics, gender studies, and print history. Since the fall of 1999, we have graduated about two-dozen students, but we have also replaced ten faculty lines. The transition was faster than we believed could happen. Today, instead of a veteran faculty charged with a degree it had no experience teaching, we have a young faculty, highly trained in digital technology and savvy in theory, struggling to adjust itself to a student body at an open enrollment institution. Both situations pose the question of identity that Richard Lanham frames in *The Electronic Word: Democracy, Technology, and the Arts*: "If we are not in the codex book business, what business are we really in" (8)? This paper suggests that those of us in English studies are in the business of textual studies; but to remain viable as an English department and to remain intellectually engaged in the constantly morphing dynamic of higher education, English faculties must nurture a constant dialogue, even in the form of open-ended colloquia and retreats.

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Experimental Humanism:

From a Two-year Humanities Degree to a New Media Baccalaureate

"[We] must decide what business [we] are really in," Richard Lanham writes in an essay on literary studies and digital technology (8). And although the abbreviation in my title does not decide the issue, the baccalaureate of *science* now offered by the humanities division I teach in does continue to raise the question. "If we are not in the codex book business," Lanham continues, "what business are we really in"(8)? In the state of Georgia, curricular development in the University System of Georgia has gone forward for the last several years under the following charge from the Board of Regents: no new programs can compete with existing programs of the same name and description within a forty-mile radius [my paraphrase]. This means that if a two-year school wants to propose a four-year English curriculum it cannot do so unless there is no similar degree within forty miles.

The BOR did not want schools to compete with each other; but, in Georgia, all schools wanted new programs even as the boom of the nineties cooled in the national economy. Georgia is a growth state, and there is a very high demand for services from the University System of Georgia (USG). HOPE scholarships, the baby of then-Governor Zell Miller, are the lottery-funded tuition waivers given to B-average students who maintain a B average. For obvious reasons, parents of Georgia college students have been drifting back from the university

flagships of other states to our own flagship institutions. Enrollments have outpaced services at our large institutions, and students who are not admitted under newly imposed higher standards are now trickling down to smaller institutions. The plan was to grow the smaller schools by transferring student populations and by using these increased numbers to grow enrollment in other programs across the state. Most administrators know that the University System of Georgia will not have this opportunity again. Every school in the state wants new programs, but they can not duplicate each other. There is little need to go into the argument about why it is good to have a fire department in each town or why it is good that we don't have to drive to Atlanta to get a driver's license. In managing the addition of new degrees, however, the BOR was right; it could see what anyone in academe should have seen for some time: schools with shrinking enrollments are not going to be rewarded with programs that are extant nearby. Such a situation would pit two soft programs against each other, virtually insisting that *both* fail.

At my school, our academic division came face to face with this problem when we proposed to add a baccalaureate degree in the fall of 1998. We had operated for a long time—and still do—as a humanities division, with modest numbers in English, art, music, foreign language, and journalism. Within the English offerings, we had few chances to experiment with new course descriptions. As an innovative faculty we had, for a long time, worked in interesting courses under the umbrella descriptions of 2000-level humanities listings. We had believed that when the school was granted its first baccalaureate degrees, our division would soon follow. We believed that out innovation would be rewarded. Those of us in English fantasized about courses in the 19th-century novel, senior seminars in Elizabeth Bishop, even a course in Shakespeare. *Some* of us did—if we'd been around for only a decade or so. My colleagues—who had begun their careers in the early seventies—only a few years after bonds were passed and our school was cut

out of red clay, dairy pastures, and pecan groves—would have none of it. They had been burned before. They had been tempted with a B.A. in English since they had begun their careers in the early seventies. I, too, had wasted a spring and a spring break laboring over such a proposal a decade ago. Now, I can only begin to understand what might have wearied my more experienced colleagues when they were faced with another long shot. Their wariness (and weariness) would play into the dynamic of our future efforts.

Then the system got a new chancellor. Our school got a new president. Word came down for us to get ready. We were told to come up with something new, a degree that used existing courses. Put together something, it was said. A committee was formed within our division, but the most senior faculty members were not part of the process. Then an amazing thing happened. The proposal showed up in our mailboxes the morning the school itself would vote on the degree. Then the fantastical occurred. Our own division, the sponsoring division, voted against its own degree. Fortunately for us, the rest of the school voted for it, having little idea what they were voting for—or so I believe. Many members of the Academic Council probably saw the stricken face of our new president—an administrator as good as anyone I've ever worked for—and quickly voted to end his immediate suffering. Over the preceding two or three years, our school had weathered semester conversion, the departure of an unmissed president, the loss of 1,500 students over the last decade, the morality play of First Year testimonials, and the widely perceived make-work framework of Post-tenure Review (PTR). Our division was not, however, going to rubber stamp a degree that offered few new teaching opportunities within our own division. Minutes before opposing its own program, one of our most senior English faculty members articulated the opposition, standing up with a repeated sense of apology to explain why

he thought our faculty should oppose its own degree. That spring, our chair resigned. Then the most senior woman from our faculty took over interim leadership of the division.

A new dean came in that early summer and formed a new committee whose task it would be to draw up the kind of degree we wanted. For the record, I remember that it was his description of a kind of program, in media, that we might play with. We sketched out some courses in television topics, surveys of film, history of print, technology and the creative artist, and ethics. We had a professional writing class and a public speaking class already, but we didn't want a professional writing degree. There would be a parallel core of information technology (IT) classes, including Web site applications, legal issues, and human computer interaction. For reasons clearer to me now today than then, we put six hours of foreign language into the humanities core of the New Media Track.

By including foreign language in an outline of our new degree, we performed a rote rehearsal of our own identity. We were humanists, we believed; but we were also practical enough to require foreign language hours *because* we had the courses in place, *because* we were very short of time and— for a reason not so practical—we did not know who were when we wrote the courses in. "'A noun is the name of a thing,'" Ulysses S. Grant deadpans in *Personal Memoirs*, repeating what he had heard as he drifted through his youth from school to frontier school—"until [he] had come to believe it . . ."(8). In the same way, we had repeated the essentials of a liberal arts education so often that we had come to believe it ourselves. We had come to agree on a standard sense of what our academic values were. The foreign language factors would come up time and again the following two years, but even though a couple of us would have some discussions about the issue of foreign language in a new media degree, we would not take it up in earnest until much later.

By the end of the next academic year our interim chair had led us through about four major drafts of our proposal to the BOR. We got our degree, despite the repeated skepticism from the BOR. Now, not having to help re-write, at the last minute, at the drop of a hat, those drafts, I can see that the subcommittee for curricular development at the BOR had been less skeptical than simply confused. We, too, were confused. At the very last minute, with complaints coming from many directions regarding our proposed degree, our president had driven up to Atlanta and agreed to switch our B.A. degree to a B.S. This happened, we were told, shortly before the Board of Regents made its vote. I remember complaining the next day when I found out that our division was hosting a *science* degree in Communications and Information Technology (CIT).

With the degree promised to go online that coming fall, we got a new chair, the guy who had stood up at our Academic Council a year before. He soon became an administrator of the most needed kind—a facilitator and a chair who would act with the swiftest dispatch to get changes approved. We had to move exceedingly fast at times to get changes approved at our own institution. As chair of implementation, I had begun to understand from conversations with students that foreign language would keep them from becoming a major in our new CIT program. I would have no complete idea of how much work we still had to do on the foreign language issue and on other such issues, such as a digital platform for a graphic arts track, until the end of the first year of classes in the new program. We were all busy, and it was difficult to get a quorum for a meeting. In the face of such a schedule, it became easy to put off important issues, and it was easy to make executive decisions. As the program went online, we had little time to lay out detailed plans for who would teach what courses when we first needed to teach them. Our method, no method at all, was to schedule a class and then tell an interested and

available faculty member, "Put together a syllabus." Then the scheduling committee would put it in the schedule of courses, and we would add it to our listserv. We used that ad hoc method for History of Print, Survey of Film, Ethics, and Technology and the Creative Artist. I remember sending proposals around, ideas, invitations to meetings, etc., but because people were too busy, the most obvious factor, or because they themselves did not understand how they could contribute to the program, I heard very little from my colleagues in English how this program was to be shaped. Actually, such conversations about the direction and shape of the program, always rushed, inconclusive, began to dry up completely *after* the program was approved and advertised. I think that most in my division had only enough time to think, on occasion, about what they *might* want to teach, if they knew how, than they had time to think about the outline of our new degree. It is probably more accurate for me to say that we did not insist that we make time to talk about these issues. Few had the vaguest sense of what new media was, and overall we were anxious and overly earnest as we came to grips with what we had proposed. Lanham talks about a "[p]reoccupation with game and play, which figures so strongly in experimental humanism . . . [which] has surrounded the computer from the beginning" (17). We, however, did not enjoy the "play" of putting together a new degree, which is curious, since play is often a reason we give students for majoring in the liberal arts. We were experimenting, but we were not having fun.

Looking back, all of this seems laughable. We had found ourselves in the position of shaping a degree for which we had no background. One of the things that had come out of meetings with the BOR was that there were no other programs in the state to compare ours to and, therefore, by which to assess a new program. But if we wanted to avoid program duplication, not having an extant model would always be a problem. Again, what I didn't

anticipate was the extent to which our faculty had no previous experience to compare it to. If all this sounds amateurish, we cannot completely defend ourselves. Yet, our division had to prove to the school that we could put a program together. Since this program had to have a technology basis as well, what we created began to divide faculty from each other in fairly subtle ways. As a practicing creative writer, I saw splits forming within my *own* attitudes. I was a poet, but I was also implementing the rough outline of a digital culture degree. I knew we had to push the development of the degree, but all those tasks guaranteed that I would not work on too many poems that year. As we asked faculty members to write course description at one crucial juncture, we struggled, I think, because many of us felt so completely out of discipline. As an observer, I saw a very clear picture of a faculty that did not articulate, without prodding, their ideas about the degree. We would not ask what business we were in. Our interim chair confided to me, a year later, that she did not believe we were ready for the program. Another, a foreign language faculty member, cited the new degree as a reason to retire early, even though she could have stayed on. She said this to me twice.

What I have not said so far is that there was a second track to our new degree, a cross-cultural track. From what this faculty member said to me, I have to believe that she could not imagine how she would fit into the track, so she left. Her leaving prefigured an intense year-long discussion with the remaining senior foreign language teacher about what kind of degree we would have. In sum, the remaining foreign language teacher believed, as many of us do in the humanities, that languages are essential to a foundation in English studies; she believed this enough to argue for over a year for keeping foreign language. In every way I still have to agree with what she said, except for the decisive one, my belief that the program could not be

maintained if we were driving students away because of a foreign language requirement. If we wanted new faculty lines, if we wanted to add new courses, we had to grow.

In our first year, we went from about twelve students in the new media track to eighty-three. We had a dozen excellent students, very smart kids. Most students, however, seemed continually baffled by the purpose of the degree. I do not believe that they were less confused than the average faculty member was. We had to sell this degree to a new generation of students. Foreign language was not selling on our campus of 3,700 students [now 5,800 students]. Digital culture is selling, and so that is what we are teaching. If books, according to Lanham, are the "delivery systems for texts" (7), then programs themselves are the delivery systems for the totality of the experience that we intend studies in the humanities to be. There is some nostalgia for what we used to do and for what we used to *think* we'd be doing before we came to this point in our lives. For our division to offer a humanities curriculum, we had to change the delivery system or go out of business. If we went out of business, students in our city could not get a four-year-humanities degree from a public institution. It is easy to say that we have sold out, but to date we have a strong group of teachers teaching a rigorous and increasingly well-planned course of study. For the first time we are teaching in ethics, gender studies, new media theory, and in an expanded journalism offering. It is the most cutting edge program in the city and the only such degree in the state at the undergraduate level. One thing worth noting is the issue of program growth. In the next five years or so, we will lose about forty percent of our full-time faculty to retirement. By the year 2010, we will have the youngest faculty in place since the mid-1970s. [I wrote the preceding sentence a few years ago when I first drafted this talk as a piece of in-house scholarship. It did not take that long for the full transformation of our faculty. In the last three

years, we have hired ten new faculty members, and we will hire another in the spring of 2005.] For the nature of our degree, of course, that is a huge potential for innovation in the humanities.

Recently, we have finished our cross-cultural track, where the study of foreign language is also now elective. We now have a second curriculum that we need to sell. Selling this second track will be harder. Even though more of us can see ourselves teaching within those courses, with African-American literature, non-western literature, ethics, cultural studies, and a very broad special topics course description, the value of its totality will be a constant struggle for students to match with their futures. Its practical applications in the market place are even harder to summarize than those of the new media track. Because of the nature of our school, we have no option but to sell our degree in the language of marketing. None of us, innovative teachers to a person, has a clear sense yet of how to down-play a liberal arts justification and replace it with the practical language of on-line journalism, applied new media, and the language of an emergent digital economy.

Most of who have spent a career in the classroom go through the constant and constantly stressful transfigurations of who we are. When we don't have the energy to go through another revolution of our intellectual hearts, we burn out. Individuals go first, and we all know the symptoms: high energy, idealism, just out of grad school, and for some of us [*What planning!*] no kids. Schools burn out too. It might be true that departments *have* to burn out, completely finish up with one version of who they are—*what* they are—before what's left can reinvent itself. I remember putting together a history of print class, believing that the link to classical rhetoric, the Homeric question, constructs of primary oral culture, moveable type, the "permanent Renaissance" of Elizabeth L. Einstein should be foundation concepts to studies in digital culture and its practical applications (111). As it turns out, they are; but who was I to

teach the course? I had read some articles, had been getting a newsletter from the University of Iowa Center for the Book, and would read some relevant scholarship. Now over the past several years, I have taught the history of print course, and most would agree that the first class was the best class so far. I now know how to link it to digital culture via a survey of theoretical and practical questions that arise out of the aesthetic and technical issues of print culture.

"Relevant" is the word students used when they would ask about the value of this history of print class. I would tell them that the fears and identity crisis of the moveable type revolution are anticipated for us by the second-guessing of the academy and by cultural critics today when critics ask what business higher education is in. *The fear of printing in the past is like the fear of digital technology today*, I would tell students. *There had been a shift in identity, from notions of a self to the decentered subject*, I would say. I repeated these answers until I had come to believe them myself. In selling the program, and that is exactly what I did for four years, I had to make these connections over and over to students. When students asked the question of relevance, they were really asking me who they would be *after* they took my class and other classes like it. Who would hire them? They were asking who they would be so they would *know* how to market *who they would be,* because their parents were asking and they *really* needed to know. Our advancement office continued to have real challenges in describing the program. That first fall (1999), there were twelve students in the program, but there were twenty or so in the History of Print class. Half have never been seen again, a quarter appears from class to class, dropping or failing, or just getting by, but the rest formed a core of students that has grown to about two dozen within seventy-five hours of graduation.

At the end of the second year, with a two-day conference to celebrate the first class of graduates, some of us still wanted to know who would be allowed to teach in the program and

whose courses, long established in the humanities curriculum, would become electives in the program. As I chaired the implementation committee over the first two years and later as coordinator of the program, we had dozens of committee meetings about new courses, whether we should drop foreign language, or who we would hire as a new media faculty member. We never sat down as a division to explore how this B.S. degree might divide us from each other or from ourselves. The question Lanham asks is really a question of identity. Who are we? We didn't understand the extent to which that question would drive the larger questions of additional courses, revised courses, and faculty qualifications for teaching in the program. At the end of the second year, we still had the most pressing questions left to answer. As problems have arisen, we have been very flexible in accommodating student concerns. That practice saved the program. If, however, we do not as a faculty address the most detailed plans of a five-year strategy of grant writing, hiring, curricular development in applied new media applications, on-going orientation for students, on-going training for advisors, and on-going internship negotiations, we will not be in a growth business. If that is the case, we will have made a more complicated failure of our struggles in the humanities to deliver courses of deep value to our students and, therefore, to our communities.

We say to students all the time that liberal arts majors traditionally make good executives. What we don't show them enough is the top-end sense of professionalism and flexibility in responding to changes in our own profession that would provide an example of what we mean by this justification. In my division, we are at the point where faculty should begin taking new courses themselves to become better teachers in this new program. Some may do that, but I know if I pushed continuing education as a suggestion, I would be pushing all of us who teach in our new degree with the most fundamental question of who we are as scholars and

teachers. One practical solution for meeting times would be for us to meet at eight o'clock in the morning or four o'clock in the afternoon, ungodly hours for many of us who believe that not being a "morning person" is justification for an inflexible schedule. It is, however, unfair to leave it at this. All of us teach at night, and it is a killer to show up early when we have taught the night before to nine or ten. Once, when I was in a meeting with my chair and the IT faculty, which has a set meeting time each week, my chair commented humorously that this would be a radical concept for our own faculty. This simply indicates a cultural given for our faculty. We do not like to meet, and we do so only grudgingly. Another way for our division to spend a lot of time planning the next several years would be to go on a retreat the way that other businesses do. I cannot say for sure what the reaction of the whole faculty would be, but I would bet money that people would laugh at the above suggestions even though retreats are common in organizational culture. Corporate culture is not in and of itself a solution to the problems we face as English faculties, but I am now convinced that a few of its practices would allow us to shape what will happen in the future rather than react on a well-meaning but ad hoc basis.

As a postscript, I should emphasize again that our faculty is now a young faculty. Most are just out of graduate school or just out of their first temporary teaching gigs. What I have written above is as new to them as it is to this audience, unless, of course, you have experienced a similar transformation. Now, instead of a late middle-aged, English faculty frustrated with its emergent role in a new media degree, we have a young faculty just beginning to realize how little they know about teaching students at an open-enrollment institution. That will be the next transformation, from highly regarded graduate students to teachers, which will partially be the make-up of their new identity.

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"Urban Legacies: Fascist Urban Planning and its Aftermath in Bolzano, Italy, 1919-2003"

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"Urban Legacies: Fascist Urban Planning and its Aftermath in Bolzano, Italy, 1919-2003"

This paper explores the lasting legacy of fascism as mediated by the urban form in Bolzano, a city in North-East Italy close to the Austrian border. The region in which the city is located features a prominent German-speaking minority, and indeed the whole area, up to the Brenner Pass in the Alps, was Austrian until the defeat of Austro-Hungary in the First World War (1914-18). Mussolini's fascists, having taken power in 1922, decided to stamp the city with signs of their authority, and modelled Bolzano's urban form (along with that of most other cities in Italy) according to their often contradictory ideals. The paper explores two instances: firstly, the forming of the fascist urban landscape in Bolzano before World War Two, focusing on urban topology, planning, forced population initiatives and the case of the Victory Gate monument which was highly inflammatory towards the German-speaking minority. Secondly, it explores the lasting legacy of fascist interventions in Bolzano's urban area to the present day, focusing on differing interpretations of urban monuments and the role of past topologies and monuments both as focal points for ethnic strife in the 21st century, and as instruments used by the contemporary politics of opposed ethnic, right-wing and other parties for the furtherance of their aims.

Jim Yamada's Short Stories in *TREK* Magazine as Sites of Resistance

Cross-Disciplinary: English, Ethnic Studies, History, Literature

Paper Session

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Abstract

The two short stories by Jim Yamada share the theme of resistance to the racism experienced by young educated Nisei and also their ambivalent relationship with their Issei parents. The stories use literary devices as rhetorical strategies to convey to Yamada's audience the struggles of Nisei like himself, who faced prejudice as they attempted to get a college education, the bleak prospects for employment even with a college education, their debt to their parents who had sacrificed everything for their children's education, and the "twoness" caused by their association with the Japanese culture and their American upbringing. A critical rhetorical analysis of these stories, which is the interest of this study, makes note of how literary elements, such as plot and character and language, are employed by the author to resist or comply with those in power over them.

Jim Yamada's Short Stories in *TREK* Magazine as Sites of Resistance

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Introduction

The evacuation of people of Japanese American descent from the San Francisco Bay Area during World War II resulted in a number of young Nisei being sent to the Central Utah Relocation Center at Topaz, Utah. Some of them had been students at the University of California at Berkeley or had experience with publishing and were assigned to work on the camp newspaper. After two months, a few of these "outstanding young writers and artists" broke away from the heavily censored newspaper to publish *TREK*, a literary and art journal that both supported and complied with camp and government policies and resisted the circumstances and attitudes that had caused the staff's placement in an internment camp (*TREK* 3:37). Within the pages of *TREK* are poetry, essays, satire, illustrations, and short stories. The short stories of Toshio Mori and Gloublarius Schraubi (a pseudonym) found in the magazine have already received attention in scholarly work. However, the two short stories by Jim Yamada have not been discussed in any detail. This paper focuses on a critical rhetorical analysis of Yamada's stories, "The Dance They Saved for John," and "Guadeamus Igitur," both set immediately before World War II at the University of California at Berkeley.

The two short stories by Jim Yamada share the theme of resistance to the racism experienced by young educated Nisei and also their ambivalent relationship with their Issei parents. The stories use literary devices as rhetorical strategies to convey to Yamada's audience the struggles of Nisei like himself, who faced prejudice as they attempted to get a college education, the bleak prospects for employment even with a college education, their debt to their

parents who had sacrificed everything for their children's education, and the "twoness" caused by their association with the Japanese culture and their American upbringing.

A critical rhetorical analysis of these stories, which is the interest of this study, makes note of how literary elements, such as plot and character and language, are employed by the authors to resist or comply with those in power over them.

Contextual Background

The first issue of *TREK* came out on Christmas morning 1942 (3:37). By that time the internees at Topaz were nearing the middle of the fourth month of internment (1: 2). Most of the facilities were in operation for day-to-day living, A leaving only the hospital boiler house and laundry to be finished and the city=s four permanent 80-foot water towers to be constructed@ by the U.S. Engineers (1: 5). The emotional state of the internees was characterized by Taro Katayama in his article AState of the City@ as being Asettled@ reflecting Aacquiescence to the dictates of the present rather than with any popular misconception of the permanence of Project life@ (1: 10). Katayama explains that Ait is as if the city, confronted by the cold winter months ahead, had assumed a deliberate stability, determined to leave until spring any necessary stir about the outer world and the future@ and that Athis mood seems to emanate particularly from the older generation@ (1: 11). However, the settled mood did not come from contentment, but more from an inability to take action.

The Christmas season brought with it a particular dilemma, as Katayama expressed later in the same issue, AWith the war=s second Christmas near at hand, we find ourself [sic] a little disquieted at its sudden appearance on the pathway of our consciousness. Frankly, we don=t quite know how to greet the approaching holiday@ (1: 28).

The second issue of *TREK* is labeled the February issue, but did not come out until March Aowing to the press of other work required of the personnel and facilities of the Project Reports Division during the recent WRA and War Department registration@ (*TREK* 2:1). President Roosevelt had indicated that loyal Japanese Americans would be eligible for military service, as well as relocation outside the camps away from the West Coast, and the Army and War Relocation Authority had administered the infamous loyalty questionnaires. There was turmoil in the camp over questions 27 and 28 on the questionnaires that asked the respondents to agree to serve in the military and forswear allegiance to any other government, leading to questions by the internees about whether they would be forced to serve in the military if they answered positively, and if #28 meant they were assumed to have loyalties elsewhere (Wilson and Hosokawa 227). Meetings were held by the internees where heated debates took place about the hurt and anger these questionnaires engendered and whether or not to protest by refusing to answer or serve in the military on the one hand or prove their loyalty by complying with both demands on the other hand (*Fighting Americans Too!* 3-4; Uchida).

The second issue=s stated purpose was to give a Ahint of life beyond the gate@ and encourage relocation (*TREK* 3: 37). The contents seem to be geared to try to counteract the hard feelings created by the loyalty questionnaires. Contained in the second issue are three short stories. The first is ATomorrow is Coming, Children@ by Toshio Mori (2: 13-16). This story has the distinction of being the only text in *TREK* translated into Japanese. The translation appears at the very end of the magazine, although the English-language version is near the front. Its significance is probably due to the fact that it is a story that encourages American patriotism and preparation for a future after leaving the camp.

The second story is AOf Rice and Men@ by Globularius Schraubi. It is a satirical take-off of the well-known mystery series about AThe Saint@ and spoofs the food in the camp as well as the broken English spoken by many internees. The third story is AThe Dance They Saved for John@ by Jim Yamada. This story is the most bitterly resistant of the three. It deals with racism in a pre-war setting.

The third issue of *TREK* contains two short stories. The first is AOne Happy Family@ by Toshio Mori. It is a departure for Mori in that it is a negative commentary on the splitting up of families because of false allegations of treason, while his stories in other issues are supportive of the WRA efforts to run the camps and its agenda of relocation. The second story in the June 1942 issue is AGuadeamus Igitur@ by Jim Yamada. It also deals with racism in a pre-war setting.

By the time the third issue was published, The War Relocation Authority was pushing relocation more energetically than they had before, as can be seen by the articles in this issue about the benefits and processes of relocating. Jim Yamada had gone from Topaz and had sent back a AReport from Poston,@ a camp located in Arizona near the California border. He was no longer listed as the editor of *TREK*, although his article AFalderol,@ about closing down production of the magazine and leaving the camp, was the concluding piece (3: 34-36).

Literary and Critical Rhetorical Strategies

The short story is one of the oldest forms of literature. Examples of short stories have been found in AEgyptian papyri dating from 4000 B.C.,@ also Old Testament stories, such as those about Jonah and Ruth, Christ=s parables in the New Testament, and Greek literature (Harmon and Holman 472). Later Chaucer employed the form for his stories in *The Canterbury Tales* and in more modern times, the short story form has been adopted by numerous authors

round the world (472). It became especially popular in the United States with authors such as Poe, Irving, Hawthorne, O. Henry, Fitzgerald, and Hemingway (472-3).

In the twentieth century the form of the short story became standardized to mean Aa brief fictional narrative in prose@ ranging in length from Athe short-short story of 500 words up to the >long-short story@ of 12,000 to 15,000 words@ (Harmon and Holman 473). A short story is, by definition, shorter than a novel, but it also Amay be distinguished from the novel in that it tends to reveal character through actions, the purpose of the story being accomplished when the reader comes to know what the true nature of a character is@ while a novel usually shows Acharacter developing as the result of actions@ (473). A short story has a distinct Abeginning, middle, and an end@ as well as a plot, conflict, characters, theme, tone, mood, and style and may use metaphorical language and symbols to convey meaning (473; Bressler 10-11). The way the author uses these literary devices to create effects that lead to the audience accepting the ideas in the story is rhetorical.

An analysis of a short story is both rhetorical and literary. It is rhetorical on two levels: (1) the author of the analysis has a purpose, an audience, a point that is made using rhetorical strategies, and a context in which the analysis takes place; (2) the author of the text being analyzed also has a purpose, an audience, a point that is made using strategies in rhetorical ways, and a context in which the writing of the story takes placeCall of which may be pointed out by the author of the analysis (Garrett-Petts 19-20).

An analysis is literary in that it looks at the literary aspects of the text, such as plot, character, theme, and metaphorical language. Besides examining the rhetorical factors of a text, a rhetorical analysis of a literary text also looks at how literary strategies are used rhetorically. In

the case of a critical rhetorical analysis, it would examine Athe dimensions of domination and freedom as these are exercised in a relativized world,@ or look for episodes of power struggles, such as resistance or compliance, taking into consideration the elements in the context in which the text was written that may have an influence on the need to effect change through resistance or compliance (McKerrow 91).

Any literary strategy that is used effectively is used rhetorically because it persuades the reader to accept what the author includes in the text. Aristotle claimed that the most important aspect of fiction is plot, which he identifies as Athe arrangement of the incidents@ and the Asoul@ of the work (*Poetics* 12-13). He likened the importance of an organizing plot to a painting where Aif someone should paint by applying the most beautiful colors, but without reference to an over-all plan, he would not please as much as if he had outlined the figure in black and white@ (13). Aristotle=s metaphorical reference to a painting explains that the most appropriate rhetorical organization of the incidents in a story are the most likely to please or persuade. Jim Yamada=s story AThe Dance They Saved for John@ is an example of plot used rhetorically (*TREK* 2: 29-32). In this story, the arrangement of incidents follows John Kato, a Japanese American university student living in student housing, as he prepares to go to a dance, attends the dance, realizes he cannot dance with any of the white girls, and ends up serving the punch in a white apron like a servant. In the story John regresses from an equal status with his white roommate to one of servitude, a position held by most Japanese Americans at that time, in spite of education or ability, due to racist oppression. Through the use of plot, Yamada persuades the reader to understand the plight of young, educated Nisei as he condemns the racism John Kato encounters.

Character is another literary element used to create an effect. Aristotle explains that a character is defined by his or her purpose and that a character=s purpose is manifested by Awhat sort of things he chooses or rejects@ through actions or dialogue (*Poetics* 13). Character Aincludes the idea of the moral constitution of the human personality@ and a character often is Aan example of some vice or virtue or type@; however, not all characters are human or animalCsome are objects such as the river in Mark Twain=s *Huckleberry Finn* (Harmon and Holman 87). Although Aristotle claims that character is Asecond in importance@ to plot (*Poetics* 13), many of the more modern literary theorists claim it is character that is most important, because characters may have actions happen to them or they may respond to circumstances revealing Athe consequences of these actions@ and, therefore, reveal the point of the text (Harmon and Holman 88-89).

By choosing or rejecting ideas and actions, characters function rhetorically by leading the reader to draw conclusions about those ideas or actions. Yamada's choice of John Kato as the central character and as a Nisei "everyman" allows him to generalize Kato's experiences with other Nisei.

The theme, or central idea, of the story is the Aabstract concept that is made concrete through representation in person, action, and image@ such as the Avanity of human wishes@ (Harmon and Holman 508). The short stories in *TREK* all have themes that are resistant to something. Already mentioned is Yamada=s AThe Dance They Saved for John@ that resists the racism of a system that relegates Japanese Americans to servitude. At times a story resists more than one thing. Yamada's "Guadeamus Igitur" resists racial prejudice, ambivalent feelings towards Issei parents, and the lack of employment opportunities for Nisei, even with a college

education.

Written style is formed through the choice and variation of the various elements of a text influenced by the Afunction of the context@ (Van Dijk 11). In other words, it is often a Acontext-bound variation of the expression level@ of a text that is made up by variations in word choice, word order, sentence order, and connotations or Alocal meanings@ (11). When analyzing the style of a short story such Ageneral qualities as: diction, sentence structure and variety, imagery, rhythm, repetition, coherence, emphasis, and arrangement of ideas@ are examined (Harmon and Holman 491).

Diction, or the use of words, includes vocabulary and word order or syntax (149). Metaphorical language and word images are included in diction. Word images are especially effective, or rhetorical, because they appeal to the senses and because the word associations are pleasing or striking (257). Analysts look for images or patterns of images because they represent a Aportion of the essence of the meaning of the literary work, not just decoration@ and are Asometimes taken to be keys to a deeper meaning of the work@ and may be a more accurate measure of the meaning than Athe explicit statements of the author or the more obvious events of plot or action@ (257-258). Because word images are linked to meaning, they may be considered to be rhetorical. When normalized images are used in new ways, this Arecharacterization of the images changes the power relations and recreates a new >normal order=@ that can be the basis for social change (McKerrow 100).

An example of patterns of imagery occurs in AThe Dance They Saved for John@ with things that are white opposed by images of darkness. In the first line of the story, John is trying to remove a Adark smudge on the collar of his one new shirt@ (*TREK* 2: 29). Since the story

takes place about 1940, a new dress shirt would be white. John tells his white roommate that the smudge seems to be coming off, symbolic of the way John, a Japanese American, is being accepted by his white friendsCthe smudge representing the prejudiced view of John=s race. The fact that John lives in a dorm with a white roommate also corresponds to the smudge on his shirt collar that is coming off. Having a white roommate in a university dorm is a step up from what he had experienced the previous year when landlords told him, ASorry. Don=t take in Japs@ (2: 30). However, when he goes to the dance, he realizes he will not be allowed to dance with the white girls, no matter how friendly the other students may seem. To compensate, he imagines a fabulously beautiful girl coming to dance with him in a red and white dress Athat made the dresses of the other girls look like something picked up at a sorority raffle@ (2: 32). Eventually, John is asked by the dorm house manager to help hand out the punch in exchange for work credit toward his rent. John finds himself Astanding there in a white apron which nearly touched the floor,@ as he Ahanded the drinks to the couples when they came in, flushed and excited, from the dance floor@ (2: 32). At the beginning of the story, the smudge coming off of the white collar means that perhaps John will be able to shake off the negative effects of racism he had experienced. However, by the end of the story when he is dressed in a white apron it is obvious that the smudge is not going to be erased. The image of the white apron is particularly bitter when preceded by images portraying John=s hopes and dreams.

In this study various elements of fiction as they are used rhetorically will be examined in relation to the short stories in *TREK* magazine by Jim Yamada. Along with the poetry and the illustrations, the short stories are some of the most obvious sites of resistance in the two magazines.

Jim Yamada

Background

In a collection of articles about Asian literature Stan Yogi describes Jim Yamada as Aa budding writer and Berkeley student@ at the time of internment (132). In *TREK* he is listed as the editor in the December 1942 issue and as the first of three editors in the February 1943 issue, although he was at the Poston internment camp by March in time to send back an article for inclusion in that issue. By the time the June 1943 issue came out, Yamada had been gone from Topaz for a few months, although a report on the Poston internment camp was included in that issue and also a piece that was used as the closing text of the magazine. Although Yamada never gives himself a blurb after any of his articles or stories, tidbits of information that may be about Yamada exist in the editorial commentary. For instance, in the final editorial, AFalderol= of the December 1942 issue, it states, AThe imminent appearance of the Topaz high school newspaper reminds us of that bright era when we were putting out a student journal@ (1: 30). This AFalderol@ article does not have a by-line, but in the February 1943 and June 1943 issues articles of the same name were written by Yamada in the same style as this one, so it may be that Yamada wrote the first and did work on a high school newspaper. In the last AFalderol@ article, Yamada admits to having experienced Athe sharp edges of our original anger and bitterness@ over evacuation and internment that are now Asmoothed over@ as he gets ready to return to Anormal life@ (3: 42). He also mentions Tanforan where he remembers putting out the Tanforan *Totalizer* and Athe fourth of July we spent de-stapling censored papers@(42).

Besides articles and editorials, Yamada contributed two short stories to *TREK*. AThe Dance They Saved for John@ appeared in the February 1943 issue and AGuadeamus Igitur . . .@

appeared in the June 1943 issue.

AThe Dance They Saved for John@

Jim Yamada=s short story AThe Dance They Saved for John@ appears in the February 1943 issue of *TREK* magazine on pages 29 to 32. As mentioned previously, it is the story of a young Japanese American man, John Kato, who attends a dance, but it is also the story of racial prejudice and barriers to social equality that seem impossible to break down. Yamada carefully arranges events and language to evoke the despair felt by Nisei as they become educated only to realize the futility of their efforts to be accepted in a white society. This story is an act of resistance against such racism and circumstances it creates.

Contrasts in images and events are used by Yamada to emphasize his theme. These contrasts include those between white or lightness and darkness, as discussed earlier, Caucasian and Japanese American, and fantasy and reality. The darkness includes the smudge on John=s collar that he thinks is coming out; the color of his skin that he wonders about how it would look if it were lighter; the darkness at the edge of the dance floor that he drifts into when he realizes he cannot dance with any of the girls; and the darkness of his dorm room when he returns after serving punch at the dance. The darkness contrasts with his white dress shirt that symbolizes his attempt to socialize on an equal footing with his fellow students; the light images in his fantasy world of his girlfriend=s red and white dress and her yellow Packard convertible; and the white apron he wears to serve the punch.

The differences and similarities between John and the other students serve to point out the racial boundaries John experiences, much like the boundaries between lightness and darkness. For instance, unlike Bill, his roommate, John finishes his homework. Also, although

John is included in the social life of the dorm up to a point, as they Aoften dropped into his room for poker games and bull sessions,@ he was also aware that he was not included in some of the conversations (2: 30). The conversations he could participate in were about Adrawing one to the ace-king-jack-ten or discussing the pennant chances of the Dodgers,@ but when it came to Acomparing notes on the campus cows and talking about their dates, he had felt vaguely uneasy, as if he were a stranger eavesdropping@ (31).

His housing situation is also indicative of the differences between him and his fellow students. Even though he is living in the same building that they do now, the previous year he had spent a great deal of time Aslushing through the rain looking for a better room and getting the same answer from most of the landladies: ASorry. Don=t take in Japs@ (30). He had ended up living Ain a tiny attic room on the north side of the campus; in the winter the roof had leaked@ (30).

At the dance, John is aware of the contrast between himself as he stands immobile on the sidelines and the other students as they dance. He watches one of them, his friend Jorgensen, as he Adrifted by and winked at him@ and then Adisappear[ed] into the crowd of dancers@ (30). John thinks about asking a girl to dance, but does not. He wishes Ahe had the guts to ask. But he knew already how he=d feel if she said no, or if she made some excuse about not wanting to dance just then. It would be like starting from scratch againClike going back to last winter when he was hiking around in the cold, looking for a better room@ (30).

The contrast between John and the other students that is most important to the story is when John serves them punch. Previous to this point, John admires the girls and tries to fit in somewhat, even if it is only to try to help the technician with the records. He waves to Jorgensen

and assesses the difficulty of the dance steps to see if he could do them. But when John puts on the white apron to serve the punch, the apron, a symbol of servitude, separates him from the others. Where before Yamada uses people=s names to identify them and John notices individuals, now the dancers are just a group of people he hands dixie cups of punch as they come in Aflushed and excited, from the dance floor@ (32). Additionally, there is a difference between the rejection of his offer to help with the records and how he ends up serving the punch. The one type of helping is by his choice and would make it so he could interact with the dancers as a part of the dance event. The other, serving the punch, puts him into a position of alienated servitude.

At one point Yamada inserts a fantasy segment as a counterpoint to the reality of John=s painful circumstances. In this fantasy John has a girlfriend named Joan, a name very close to his own name. Joan is gorgeous, dresses beautifully, drives a yellow Packard convertible, and adores John. He imagines her coming to his dorm room one time when she is on her way to Vassar from Hawaii. When she sees him Ashe [throws] her arms around him and kisse[s] him in front of all the guys@ who say, A>AYou=ve been holding out on us. Hell, we didn=t think you=d know a girl like that=@ (32). At the dance as he and Joan dance, he tries Aa few intricate and difficult steps, and she follow[s] him, gracefully, lightly, John notice[s] that the crowd had stopped dancing and were watching them. His friends [look] on enviously; they would cut in soon, the wolves . . .@ (32). It is at this point that John is asked to serve punch. Yamada arranges events so that at the moment of John=s greatest triumph, he is brought lowCa statement on the harsh realities of racism and perhaps a warning to his fellow Nisei not to get their hopes up too high.

Ironically, when John goes back to his dorm room, his roommate Bill is sitting in the

dark indulging in his own fantasy while watching agirl undress in the next building. In a neat twist, as John says, A@Got her act kind of timed, haven=t we?@@ it becomes apparent that he shares in Bill=s fantasy. At least in fantasy, in the darkness of their dorm room, he can be equal with one of his white friends.

AGuadeamus Igitur . . .@

Jim Yamada=s short story AGuadeamus Igitur . . .@ came out in the June 1943 issue of *TREK* on pages 20-24. The theme of this story is the complicated position Nisei are placed in as they experience the Atwo-ness@ or duality of their circumstances. Many Nisei felt like they were on the brink of two worlds without a good foothold in either.

> Their lives and their identities were bifurcated between the land of their parents and the land of their birth, folk stories about the peach boy Momotaro and children=s tales about Jack and the Beanstalk, the Japanese love songs their mothers sang in the kitchen and the popular songs they heard on the radio, the summer *obon* dances and the weekend jitterbug dances, Japanese New Year=s Day and Christmas, the annual *kenjinkiai* picnics and high-school outings, banzai to the emperor=s health and the pledge of allegiance to the flag of the United States. (Takaki 214)

Conversation between Issei parents and Nisei was often difficult because AIssei [knew] only a little English, [and] most Nisei possessed a very limited knowledge of Japanese (Takaki 214). Complicating an already complicated situation was the fact that many Issei parents worked at menial jobs so that their Nisei children could attend college, widening the cultural and educational divide. Making relationships even harder were the laws against Japanese immigrants becoming citizens, so that while young Nisei were trying to be 110 percent American, their

parents were forever alien and sometimes registered their children for citizenship in both Japan and the United States and made their children attend Japanese language classes after regular school hours (214-216). Additionally, a great irony of the Nisei situation was that once educated, there was little chance of getting a job in white society and well-educated young people were often relegated to working in the family business or as farmers. The problematic nature of such Atwo-ness@ is illustrated by Yamada in AGuadeamus Igitur . . . .@ in a way that resists both the Nisei dual nature and the racism that complicates Nisei existence.

Through the use of characterization and irony, Yamada explores the relationship between John Kato and his Issei father in the setting of John=s university graduation, most probably at the University of California at Berkeley, since one illustration that accompanies the story shows the distinctive pillars of the U.C. Berkeley football stadium.

That the story is ironic is indicated by the name of the story. AGuadeamus Igitur@ is the title of a traditional student song, that translates from the Latin as ASo let us rejoice@ and continue with the lines: AWhile we are youths / So let us rejoice / While we are youths / After the pleasant youth / After the annoying old age / We shall live in the soil@ (*The Student Prince*). The song was made popular by the 1924 Broadway operetta *The Student Prince* by Sigmund Romberg and is often sung at graduation ceremonies. Yamada=s use of the name of the song indicates that readers of the story should recognize the ironic and bitter tone as being what he intended.

The name of the main character, John Kato, seems to be a John Doe type of name, common enough so that he is a representative of all Nisei males with college educations. Throughout the story John is passive. He is acted upon and seems powerless to change anything

that happens to him. He is resigned to his fate, accepting it with a bitter cynicism. For example, John seems content to just fit in with his white roommates in spite of the sometimes hurtful racial remarks that they make. He lets a comment on the Japanese by one roommate go by without answer, ASay, I hear Chiang Kai-Shek is licking hell out of the Japs. A toast, gentlemen, to the Imperial Armies of the Rising Sun,@ and even participates in the toast (23). Then he allows them to get him drunk before his graduation ceremony when Athey offered him another beer and he accepted it@ and another one and a swig of hard liquor from his roommate=s flask (23-24). At the graduation ceremony John realizes just how drunk he is and worries that he will make a spectacle of himself. He thinks, AIf I am not careful . . . I may provide the high-spot of this graduation@ (24). However, he is not worried because of the personal embarrassment of a student behaving poorly at graduation, but of embarrassment in racial terms: APeople will remember me when most of the other things are forgotten, as John Kato, American with a Jap face, 731st clown in line at the commencement exercises of 1941, who vomited on receipt of diploma@ (24). He recognizes that anything he does to call attention to himself would also call attention to his race.

John is also passive about letting his father change plans John has made, some of which he had put a great deal of effort into, such as Aspending two hours inquiring for a theater that still featured vaudeville@ because he thought his father would like it (22). By acquiescing to his father=s wishes without argument, John represents the Nisei who felt compelled to fulfill the expectations of their parents, often giving up plans for their futures to fulfill what they felt were obligations. Many young Japanese Americans were raised in families where Athe Issei tried to give the second generation strength and confidence for their mission by teaching them the

Japanese principles of *ko* (duty to parent), *giri* (mutual obligation), *on* (ascriptive obligation), and *gamanzuyoi* (strength and endurance)@ (Takaki 213).

The passivity John displays probably stems from his sense of bitter reality about his circumstances, reflecting the way many young Nisei felt. Although John had earned a university degree, he Awondered if an A.B. in Econ was enough education to get a job clerking at some vegetable stand. Perhaps he=d better get a master=s degree; how much more confidence that would give him while selling spinach@ (22). The same cynical outlook is repeated at the end of the story when John is thinking about what it will be like to go out and look for a job and Awondered whether the Army, too, would hand him that line he knew so well. >Sorry, Kato. Can=t do a thing for you. You understand, under our policy we can=t hire orientals=@ (24). The remark about the Army coming in a story published in 1943 could seem irrelevant to the current situation where young Japanese Americans were being encouraged to join the military, or it could be a reminder that the military was one of the only opportunities at that time for Nisei to leave the camps.

By contrast John=s father then tells him, AYou being great man soon, Johnnie. . . . You will making much money and building house, and I taking care of your garden for you. We all being happy again@ (24). The irony of the father believing that an education would open doors for his son in ways that John knew were not true, in juxtaposition to the statement about the Army could be Yamada telling his readers that relocating for educational purposes was not as sure a bet as the military.

Throughout the story the father offers a contrast to the son. Instead of a young college student, the father is described as being Aa wizened Japanese@ with a Anicotine stain on his

teeth@ who walks with a Achoppy, belly-forward stride@ (20-21). John speaks and thinks in normal American English, but his father speaks in broken English even though he has been in America for twenty-five years. While John is restrained and feels some trepidation about his graduation, the father is excited, saying, AI happy you graduating tomorrow, Johnnie. I waiting long time for you to graduating. When you little boy, I saying some day you going to college@ (21). John is cynical. His father is naive, not even getting the mild racial joke John makes when his father asks what is done with the rabbits and frogs dissected in the science labs. John says, AThey feed them to the starving Armenians.@ The father replies, AWhat? Armenians nice people@ (22). The father is anxious to nurture his relationship with his son, but John Awondered why it always made him feel awkward to be with his father. He wasn=t sure whether it was pity or shame for the old man; he knew only that it was almost painful to be with him sometime@ (22).

The contrast between father and son, built up throughout the story, makes the ending especially poignant because of the futility felt by John compared to the father=s seemingly unreasonable optimism. The final line of the story, after the father=s remark about John making a lot of money and their future happiness, is symbolic of the ambivalent position of Nisei in June 1943: AThey had stopped at an intersection. John looked carefully up and down the street then glanced diagonally across at the signals. ASure, pop,@ he said with out shifting his gaze from the red light. A. . . Sure@ (24).

Conclusion

Through the use of literary devices as rhetorical strategies, Jim Yamada gives his readers a view of the lives of young Nisei at the University of California at Berkeley. He uses these

strategies to resist the prejudice and "twoness" experienced by all Nisei who are trying to break into the white dominated world through the means of education. Because these stories appear in *TREK* in 1943, it is possible he is making a statement about the Student Relocation program that was taking place at that time to move qualified Nisei out of the camps and into Eastern and Midwestern colleges and universities. Since his first story, "The Dance They Saved for John," is in the February issue, published just after the turmoil over the loyalty questionnaires, he could have been expressing his resistance to the racial prejudice inherent in the Army questionnaires that were given for the purpose of qualifying young Nisei men for military service where they would serve as soldiers, just as white young men did, but segregated into Japanese American units. It is also possible that he merely had two good stories written before the war that he wanted to publish. Whatever his reasons, Jim Yamada's stories succeed in demonstrating resistance to racial prejudice and the strained relations with the immigrant generation of Japanese Americans.

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Title:

Ecstatic Motion Revealed

An Exploration of Altered Mental States in Ritual Dance and Live Aesthetic Dance Performance

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Abstract:

In ancient societies, virtually all dance occurred in the context of ritual performance. The execution of movement in relation to ritual has been known to produce altered mental states of non-individuation or connectedness. This state of connection can extend to the natural order of the world at large or emphasize a sense of union or belonging to a group. While ritual performance has shifted in importance in modern Western civilization, the power of movement to raise the level of consciousness and connect people across boundaries can still be witnessed in aesthetic dance performance today. Performers often speak of an altered sense of awareness in performance, an "out of body oneness", a freedom from constraints that closely mirrors the ritual phenomenon. An examination of this correlation between ritual and aesthetic dance will serve to elucidate the psychological impact of movement and highlight connections between ritual and secular performance.

A review of dance in specific ritual contexts including the Mevlevi Whirling Dervish *sema* and the Seattle Ecstatic Dance ritual will provide evidence of altered mental states due, in part, to the movement components of these ceremonies. While the ritual ceremonies themselves differ vastly in detail and design, compelling commonalities can be established including heightened mental awareness and loss of self. These traits can also be witnessed in aesthetic dance performance that is removed from sacred cosmologies and ritual form. Interviews with professional dancers of varying disciplines will illuminate a similar transformation of consciousness that occurs most acutely in live performance settings but also in exploratory dance genres such as contact improvisation.

Drawing from a diverse range of established theories as well as personal testimony, this paper is intended to be a description of phenomenon in dance experience rather than a scientifically tested study. Ethnographic tools such as onsite observation of and participation in the Seattle Ecstatic Dance ritual along with interviews of ritual participants and professional dancers serve to ground the study in lived experience. By employing the focused perspectives of a range of scholars to support a greater trend, an intriguing synthesis of opinion will emerge. It is my desire that this new lens will in turn provoke new avenues of inquiry and ultimately propel an increased understanding of the integrative and expressive functions of dance as a community-building instrument.

Dance can be thought of as an expressive fabric in which mentality, emotion and bodily movement are interwoven for a time. By reuniting these threads into a harmonious whole, dance has the power to produce altered mental states that speak powerfully to those involved. My research investigates the above stated phenomenon

most explicitly in ritual and live aesthetic dance performance. Further inquiry, however, will undoubtedly discover that similar mental transformations are possible in other dance settings, such as nightclub dance jams or competitive dance forms like ballroom or breakdance. Contrary to popular belief, dance is far more than creative expression through bodily motion. By producing profound connections within the self and towards others, participation in different forms of dance can serve as a powerful agent to reintegrate society and our selves.

Title Page

Submission Title:
"The Role of Ethnic News Media on Immigrant and their Role in Shaping the American Dream"

Topic Areas:
Cross Disciplinary (Ethnic Studies, Media Studies/Communications, American Studies)

Presentation Format
Proposal for Future Research

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Project Abstract:

Media Consolidation and deregulation has stimulated much debate in recent years, and nowhere is the question of the benefits and dangers of these trends more important than in the impact on media content. Perhaps most importantly, the matter of news and the influence of these trends upon consumers of news is of great concern to media analyst and public policy professionals. While some study has been conducted on the influence of consolidation and deregulation upon news, little if any analysis has been done on non-English speaking and bilingual consumers of news. My research will gather data to test research questions dealing with this phenomenon as well as examining the impact of English language media on these populations.

Secondary study and analysis will track where these consumers look for news and information on matters pertaining to international, national and local news. Further study will attempt to draw correlations on how media ownership, editorial policy and content influence immigrant populations on matters pertaining to assimilation and/or segregation in American society. The influence of technology will also be given serious consideration during study.

The research will contribute to academia on two parallel areas: media consolidation and regulation and ethnic media's influence on immigrant assimilation.

Various modules of study are planned with the first to be conducted this autumn. Initial research will be conducted using the Latino urban population of Bronx County in New York City. With numerous and various Spanish and English-Spanish speaking communities originating from Puerto Rico, The Dominican Republic, Columbia and Mexico, just to name a few, The Bronx serves as a perfect model community to conduct initial research to gather data and test the research model. Primary research will seek to identify Spanish language media (both electronic and print) which cater to these various communities. Literally dozens of newspapers, radio stations and television outlets as well as web-radio outlets aimed at immigrant populations within New York City need to be categorized and tracked.

Research Objectives:

Objectives of the initial research will include:

- Identification and categorization of various Hispanic publications serving specific populations within Bronx County
- Through surveys, determine the penetration of these media within those communities
- Identify and classify the editorial content these media as to how the treat "homeland" international, national and local news
- Through surveys, determine news consumers levels of awareness of International, national and local news
- Through surveys, determine the level of civic involvement within the discrete ethnic community, participation in larger Hispanic civic activities and participation in greater non-Hispanic civic activities
- Development of a map of media consumption and its influence upon civic participation at various levels

Long term objectives:

- Development and testing of research methodology that can be used in any immigrant/ethnic population
- Development of a predicting model of immigrant assimilation, civic participation as it relates to the quantity and editorial content of media serving specific immigrant populations.
- Provide public policy professionals with data which can be used to promote civic participation such as application for citizenship, political participation, and local school participation

Proposed Methodology

Primary methodological tools used will include personal surveys, interviews and compilation of existing data on population and on non-English media serving the ethnic populations within the geographic area. The following general stages will be followed

1. Compile data from US census and other sources (such as Dr. William Bosworth's "Discovering The Bronx" demographic data base)
2. Develop target areas to conduct interviews and surveys based upon data
3. Develop questionnaires for "man on the street (MOS)" interviews, return mail pieces and newspaper inserts with assistance of CUNY demographers
4. Translate questionnaires into proper dialectic Spanish for each target population
5. Clear questionnaires with City University of NY Human Research policy panel
6. Recruit bi-lingual team of research assistants
7. Conduct MOS interviews in targeted neighborhoods
8. Correlate data from surveys with assistance of CUNY Demographers
9. Publish findings

Expected Outcomes:

Expected outcomes are based upon the following assumptions:

- New immigrants seek news and media sources imported form home countries.
- These news sources do not include US or local metro or US regional news and as such, new immigrants are poorly informed on US national and regional issues.
- Increased duration of residency will correlate with increasing reliance upon limited US domestic and NY regional Spanish news sources which are more homogenized in their presentation of news. As such opinions on national and international should become increasingly language based and less reliant upon nation of origin.
- Bi-lingual (Spanish-English) news consumers seek international and "homeland" news from specialized sources, but seek metro and local news from both Spanish language and English language sources.
- First Generation Hispanic immigrants seek international news from US domestic news sources and local and metro news from English language (non-Hispanic) news sources.
- As news consumption migrates to US and Domestic Spanish language news sources, civic awareness and participation increases.

- The above patters will shift according to the length of residence not only by individual immigrants, but also according to the general age of the specific population within the geographic area. (The Puerto Rican is an older Bronx community vs. recent Mexican populations.)
- Political participation (non-voting) will correlate to the amount of news included in locally generated sources.

Testing the above assumptions against collected data will result in a body of study which will help community activists understand how ethnic media can (and cannot) be used to address problems in local urban immigrant communities

Paper proposal for Hawaii International Conference on Arts and Humanities
From Tim Carney

[2 pages]

Title: A Rare Musical Setting of St. Francis' Canticle of the Sun: Layers of Embedded Meaning in Hermann Suter's Le Laudi

Topic Area: Music

Presentation Format: Paper Session

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Abstract

A Rare Musical Setting of St. Francis' Canticle of the Sun: Layers of Embedded Meaning in Hermann Suter's Le Laudi

St. Francis' poem *Il Cantico di Frate Sole* or the Canticle of the Sun, (1225) is recognized as one of the earliest masterpieces of Western sacred poetry, yet complete musical settings of the poem are rare. This paper will focus on the most significant and only textually complete, large-scale setting of the poem, *Le Laudi di San Francesco d'Assisi* by Swiss composer Hermann Suter. Suter's oratorio, written in 1923, won immediate and widespread acclaim, and is still regularly performed in Switzerland, yet has not entered the canon of choral masterworks.

In this paper I will discuss the structure of the poem, its literary origins and influences, and demonstrate how Suter's musical setting serves to illuminate the poetic structure while adding new layers of musical meaning. I will also present an overview of other musical settings of the *Cantico* by way of comparison, and attempt to explain the relative neglect of Suter's *Le Laudi.*

Selected Sources:

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Is This What We Meant by Feminism?

Paper submitted by Dr. Karen J. Carpenter
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ABSTRACT
Women have been visually represented as leaders, as domestics, as symbols of home and family, as art subjects, as objects sacred and profane, and, increasingly, as icons of power. Yet today's depictions of women of power reveal a disturbing trend in the way femininity is visualized in our culture.

Content analysis suggests the relationship between contemporary visual representations of powerful women and the current state of feminism is one of cultural conflict. Despite the advances of feminism, images of contemporary female leaders send an ambivalent message of identity and activism, leaving us to question whether women have rejected gender stereotyping.

HAWAII INTERNATIONAL CONFERENCE
ARTS AND HUMANITIES

SHERATON WAIKIKI HOTEL
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Lecture-Recital Program Abstract

The Saint Saëns and Poulenc Oboe Sonatas-A Comparative and Contrastive Look at Each

Tracy Carr, oboe
Mark Dal Porto, piano

Sonate pour Hautbois et Piano, Opus 166 **Andantino** **Ad libitum-Allegretto-Ad libitum** **Molto Allegro**	**C. Saint Saëns** **(1835-1921)**
Sonata for Oboe and Piano **Elégie** **Scherzo** **Déploration**	**F. Poulenc** **(1899-1963)**

Background:

The oboe sonatas of Camille Saint Saëns (1835-1921) and Francis Poulenc (1899-1963) are exemplary examples of standard oboe recital repertoire. Each sonata was composed late in the composer's life and both display many musical and technical aspects for which the oboe is so well-known. Whereas the oboe is a popular orchestral instrument, the public may be less acquainted with standard solo oboe recital literature. In this 45 minute lecture-recital, I will discuss each of these works and then perform these two standard, French sonatas.

Methodology:

The oboe reached its pinnacle of solo performance during the Baroque era (ca. 1600-1750). During this time, many solo works were composed for oboe with either keyboard or orchestral accompaniment.

During the eras of the Classical (1750-1800) and Romantic (1800-1900) times, the oboe became an extremely popular symphonic or orchestral instrument. Solo literature written for the oboe was still composed during these eras, but with considerable less frequency than in the Baroque era. During the 20th century there seems to have been resurgence in the composition for solo oboe recital literature.

Camille Saint Saëns was a French Romantic composer, pianist, organist, and writer. A child prodigy, he began composing at age three and performed his first formal piano recital seven years later. A consummate composer, Saint Saëns once said, "I live in music like a fish in water." (*New Grove Dictionary of Music and Musicians*) His oboe sonata dates from 1921, the last year of his life.

In the typical three-movement form, the first movement, *Andantino*, musically depicts a peaceful and pastoral setting, quite fitting for the oboe's plaintive timbre. The second movement begins and ends with free, almost improvisatory-like melodies, and the final movement, *Molto allegro*, displays the oboist's technical skill and virtuosity.

Francis Poulenc, an early French 20th century composer and pianist, was a member of *Les Six*, a group of native musicians promoting French music and united in their opposition to the formalism and excess of the previous generation . One of Poulenc's final compositions, his oboe sonata, written in 1962, was dedicated to the memory of Russian composer, Sergei Prokofiev. Considered his "last important work", it is not known if Poulenc ever heard this composition performed. This sonata is written in the typical three-movement form although Poulenc does take liberties.

Movement one, *Elegy*, begins in a very peaceful and tranquil manner, similar to Saint Saëns, yet depicts many contrasting moods and emotions as one might as they accept their inevitable mortality. The second movement, *Scherzo*, begins and ends with cheerful melodies reminiscent of Parisian nightlife. The final movement, *Deploration*, musically represent one's accession to heaven, yet concludes with a short, hopeful, melodic fragment from the first movement.

Outcomes:

Through this lecture-recital I hope to share my love of these two masterworks with the audience. Although similar in many ways, each demonstrates the composer's unique skill in writing for the oboe. Both sonatas display the oboe's melancholy and soulful character, its pastoral nature, and its technical virtuosity while highlighting and contrasting the best aspects of late Romantic and early 20th century French composition.

Dr. Tracy Carr, Assistant Professor of Music, has been on the Wind and Percussion faculty of Eastern New Mexico University since 1999. In addition to teaching double reeds and music history, she also teaches music appreciation, music reading, and double reed methods class.

As a performer, Tracy is active as both a soloist in Duo Encantada, and as a chamber musician in Trio Encantada. Recent performances include venues New Mexico, Texas, Colorado, Wyoming, and Rhode Island and international performance and presentation venues include the International Double Reed Society International Conference in Greensboro, NC; the John Donald Robb International Composer's Symposium, in Albuquerque, NM; the College Music Society International Conference in Muelle, Costa Rica; and the Hawaii International Conference on Arts and Humanities in Honolulu, Hawaii.

Tracy's past orchestral experience includes the Rhode Island Philharmonic, the Rhode Island Civic Chorale and Orchestra, the New England Philharmonic, the Eastern Connecticut Symphony, and the Rome Festival Orchestra.

Tracy received the Doctor of Musical Arts Degree from the University of Southern California where she studied with Allan Vogel and David Weiss. She received the Master of Music degree from the Miami University where she studied with Andrea Ridilla, and the Bachelor of Music degree in performance and music education from the University of Rhode Island where she studied with Patricia Wurst. Past faculty appointments include the University of Idaho's Lionel Hampton School of Music and the University of Massachusetts-Dartmouth.

Dr. Mark Dal Porto is a composer, pianist, and teacher. He has composed music in all major genres except opera. His composition, *Galactica* (published by Southern Music), can be heard on the "Masterworks of the New Era" CD collection performed by the Kiev Philharmonic and Wind Symphony. His *Song of the Night for Oboe, Voice, and Piano*, commissioned by Trio Encantada, had its world premier at the International Double Reed Society International Conference in North Carolina in June 2003 and has been performed at other international conferences in Hawaii and New Mexico. His *When Your Song Rang Out to Me* will be premiered by the Vanguard Voices of Dearborn, Michigan, in June 2005. Mark, as pianist and composer for Trio Encantada, was a featured composer and panelist for the 2004 John Donald Robb International Composers Symposium. He has also presented papers on the topics of music technology, music and language, and music and science.

Since 2001, Mark has been a faculty member and coordinator of Theory and Composition at Eastern New Mexico University. He has also been the Technology Representative for the Rocky Mountain Chapter of the College Music Society. His biography is published in the 2003, 2004, and 2005 editions of Who's Who in America.

Mark has received degrees in Composition, Theory, and Piano Performance. He is a graduate of California State University, Sacramento and The University of Texas at Austin where he received a DMA in Composition in 1985. He has also served on the faculty at Texas State University, Northern State University, and Texas Woman's University.

Reconstructing McLuhan's theory of perception

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For Marshall McLuhan the development of technology seems to involve a sort of *fatality*, namely, an impairment of our sensibility and, more generally, of our consciousness. In order to understand what this impairment consists of, we shall first talk about a *perception breakdown*, or *flaw* in perception caused by the use of "any" new technology. This may be described through an analogy used by McLuhan himself, when extending a model of visual perception to sensibility and consciousness in general. The model in question attributes a "figure" and "ground" structure to every visual field, and according to McLuhan, this would be the structure of the "awareness" of any artifact, for instance, the awareness of an automobile. In fact, concerning the latter, McLuhan tells us that the *apparatus itself and its uses* constitute a "figure" in our consciousness, that which keeps our attention focused, e.g. the automobile as an individual transport medium. On the other hand, effects shaping existential "patterns", such as "the intensification of privacy for Americans", would be the real, lived effects of the automobile. However, these "side-effects" would escape our consciousness by staying out of the focus of our attention, and (following the visual analogy we cited earlier) would thus constitute a "ground", only "subliminally" available to our grasping. The aim of the present essay is to examine the elements of McLuhan's theory of consciousness as visual perception, in order to determine its consistency, so that it becomes possible for us in *further* works to reconsider its applicability to one of the main goals of McLuhan's media theory: to decide the extent to which "electric media" could help us overcome the flaw introduced in our sensibility by any new technology. In other words, the question here is the extent to which those particular media could allow us to grasp the "side-effects" of technologies in general, the non-electric ones included.[1]

[1] McLuhan uses the term "side-effects", among other places, in LM 59. (See the list of abbreviations and bibliography at the end.) This particular term will not be used again in this work.

§1. Sensibility and the Basic Flaw in Perception

explains that "[t]he[2] terms *figure* and *ground* were borrowed he Danish art critic Edgar Rubin, who about the year 1915 the parameters of visual perception." (GV 5, i. a.)[3] This is the an transposes into a more general frame: "At the Centre for broadened Rubin's usage to take in the *whole* of perception 5) This analogy allows him to immediately add that "[*a*]*ll* composed of an area of attention (*figure*) and a very much larger area of inattention (*ground*)." (GV 5) Of course, it is precisely the "much larger area of inattention" what would constitute the flaw of perception mentioned earlier. In other words, that impairment of sensibility and consciousness in general which is of interest to McLuhan is understood by him through the "figure" and "the forgotten or hidden or subliminal ground" model (GV 25). Thus, when in *Laws of Media* McLuhan reminds us that "(...) a primary function of our *sense of vision* is to isolate a figure on its ground (...)" (LM 15), he is insisting on the fact that sight *necessarily* suffers from a "bias" which consists in attending the "figure" at the cost of disregarding the "ground refers to "visually biased people" as people "accustomed to the minus their ground" (GV 25). Now, certainly the "ground" of an the visual field in order for the figure to be seen; therefore, the g thereby available to consciousness. However, the disregarding o for seeing the figure inclines McLuhan to say that "by defin pertains to a level of consciousness that "(...) is at any moment [*al* and subliminal." (GV 5)

The last claim is particularly interesting because the term "environmental" gives an immediate clue for understanding McLuhan's application of the visual model to sensibility and consciousness in general, since the *environment* is not something strictly visual but multi-sensory. Actually, it corresponds to a mode of consciousness that is not merely sensorial but also emot ferred to by McLuhan as that mode of consciousness which ities isolated from the "ground" or

[2] The brackets within a quot

[3] The abbreviation i. a. mean om the author. No indication means that italics are ours.

"environment" they are originally placed within. This is the sense of the formula "figures only, minus their grounds" (GV 29). We could say here that such a perceptual bias implies that the whole of relations within which anything is immersed remains at a merely usness. To illustrate this idea we may recall an example *The Presence of the Word*, where he discusses the origin of "visual bias" in the West. In book X of *The Republic* (597) , for what makes a bed a bed (cfr. PW 34), and precisely this from the whole of *oikos* or domestic economy. Platonic paradigmatic case of the nascent "visual bias" of consciousness This is why McLuhan tells us that "dialectic" – and under this name McLuhan considers not only Plato but "logic and philosophy" in general (LM 15, GV 33) – "(…) functions by converting *everything* it touches into figure." (LM 230) Following the same line of ideas he says that "(...) visual space and *visual bias*, with abstract metaphysics their outcome, have been nihilistic in cutting us off[4] from awareness[5] of ground (...)" (LM 65).

We may conclude from the foregoing that an analytic consciousness, or a mode of consciousness which would result, in McLuhan's terms, from the "fragmentation" (GV 37) of "configurations" (GV 55) or "perceptual patterns" (GV 28), by means of their reduction to isolated elements ("the figures only, minus their grounds", GV grasping" or, in the broad sense, a mode of consciousness criticize *necessarily* disregards the "ground" or "environment" (GV 12). for the fact that, for a "visually biased" consciousness, the "gr remains, "by definition", at a purely "subliminal" or "hidden" leve that McLuhan applies to technology.

§2. McLuhan's theory of sensibility

Technology, "whatever" it is, would produce, according to McLuhan, a "visual bias" in consciousness, the flaw in perception which would separate us from the "ground" or "environment" by hiding it. McLuhan arrives to this conclusion by applying the basic

[4] The phrase '*in cutting us from'* is odd, a more natural one being '*in blocking'*. However, the first turns comprehensible if we take into account that, according to McLuhan's general theory, preliterate societies do not suffer from a "visual bias", and therefore they are not "separated" from the "ground".

theory of sensibility discussed above. However, the understanding of this application requires yet some other elements of the theory. The first is that, in contrast with the majority of traditional philosophers, McLuhan emphasizes the *synesthetic* quality of perception (GV 5, i. a.), that is to say, McLuhan takes perception to be a multi-sensory phenomenon with an inherent *ratio* or proportion among the senses.

The majority of the philosophical tradition has considered each of the senses separately, systematically abstracting the effect the rest may have over it, but using one of McLuhan's formulas in *Understanding Media*, such a treatment amounts to privileging "[s]pecialized segments of attention" (UM M 13) or "integral awareness" (UM 65). This is by no means man's penchant for fragmentation" (GV 37) of every "total s this philosophical tradition inclined to consider the senses c f their interaction, would agree completely with "Western man "(…) batten[ ] on one or two elements in any situation and e figures only, minus their grounds]." (GV y of perception places the "multi-sensory equilibr ore the senses as isolated entities leads him to insist on " s" (UM 108), about which he say "(…) the *ratio* among ation (…) can differ infinitely. sound, for example, is d sight are affected at once." (U Moreover, there would in each culture" (UM 45) or, as Wa Ong has put it, "organi *orium*" (PW 8) specific to each culture.[6] context we find interesting Ong's *synesthetic* definition of sensibility or *sensorium* *sensorium* we mean here the entire sensory apparatus as *an operational complex*" (PW 6). McLuhan insists that sensibility as an "operational complex" (Ong) tends to seek equilibrium or balance, and alludes to the ideal case of balance which, he says, would be theorized in the Latin tradition: "The term *sensus cummunis* in Cicero's time meant that all the senses, such as seeing, hearing, tasting, smelling, and touch, were translated into each other. It was the Latin definition of man in a healthy natural state, when and psychic energy were constant and distributed in a *balanced* way to all sense

[5] "Grasping" is used here as an equivalent to "awareness."
[6] See: "(…) it is useful to think of cultures in terms of the organization of the sensorium." (PW 6)

(GV 37) McLuhan formulates the same idea by referring to "(…) a *consensus* or 'common sense faculty' that translated each sense into each other sense." (UM [illegible] such idea of "a consensus" or "balance" between the senses, McLuhan re[illegible] basic to our problematic: "In any cultural arrangement, trouble always [illegible] one sense is subjected to a barrage of energy and receives more stimulati[illegible] For modern Western man that would be the *visual state*." (GV 37). G[illegible] among our senses", and given the "sensory *ratios*", we would have [illegible] "overstimulation and understimulation" (GV 37), which would be [illegible] technology [illegible] tter it would be helpful to use the reference to the "visual stat[illegible] order to get at McLuhan's very peculiar notion of "percept". [illegible] to the term 'space.'

Mc[illegible] st "visual space" was "separated and isolated from the many c[illegible] nvolved in the senses of smell, touch, kinesthesia, and acousti[illegible] "multiply other spaces of the *sensorium*" (GV 59) v[illegible] ause it brings forward another crucial element of McLuhan [illegible] ly, the opposition between "concept" and "percept". McLuhan [illegible] ce of analytic geometry is a *concept* (…) while the multi-dime[illegible] *sensorium* are *percepts* (…)" (GV 59) Certainly, McLuhan [illegible] ut the point is that "concepts" correspond to the "visual state" pec[illegible] (state that, we shall see, would imply some kind of over-stimulation of one sense), while "percepts" should correspond to a *holistic sensibility*. The novelty of this notion of "percept" can be immediately grasped if we remember that, for example, in the case of vision, the "percept" of traditional philosophy corresponds exactly to what McLuhan considers a "figure minus a ground" or, "one or two elements of any situation" (GV 21) and the repression of "the rest" (GV 21). In other words, McLuhan's "percept" is never a figure, an isolated element, for these would be the mere result of over-stimulation or unilateral stimulation from the visual sense at the expense the other senses. On the contrary, the "percept", in the proper sense of the word, would be for McLuhan the result of a "holistic *sensorium*," or "sensory awareness of the whole" (UM 13), which then implies a grasping of the "ground" and not only of the

"figure". This is particularly important because, as we shall see, McLuhan thinks of art as having the task of making us aware of "percepts".

We can now outline the relation between the elements of McLuhan's theory of perception examined so far. McLuhan uses the conceptual distinction between "figure" and "ground" to theorize a failure in grasping – or consciousness in a broad sense – which he calls "the forgotten or hidden or subliminal ground". If grasping fails in such a way, then consciousness suffers what McLuhan calls a "bias" or "visual state." We are obviously dealing here with a formal conception of the structure of the *sensorium* as an "operational complex" (Ong), one that corresponds to the structure of sight. What is implied by this conception of sensibility as having a visual structure is that one sense has been over-stimulated with respect to the rest. If that is the case, the "biased" or "visual" sensibility does not grasp "percepts", but only "elements" or "figures without ground".

§3. The narcissistic failure and technology

It is the third element in McLuhan's theory of perception what develops into a theory about individual and collective self-deception with respect to "media" or "technology." The development starts with the examination of the consequences of technology over the "organization" (Ong) of sensibility. In effect, this is McLuhan's famous theory about the "Narcissus trance" (UM 15) caused by technology. Only one more conceptual element is needed to understand it, namely, the notion that "every" medium or artifact is an "extension" of "human *senses.*" (See UM 21) A more general formula goes: "(…) all technologies are extensions of our physical and nervous systems (…)" (UM 90). Another, interesting one, says that "(…) all human artifacts are extensions of man, (…) of the human body or psyche, private or corporate." (LM 116).

Since the problem concerning this essay refers mainly to sensibility, it is convenient to emphasize the notion that any "medium", any "invention or technology" (UM 45) is an extension of "our *senses*" (UM 21). It leads us directly to McLuhan's central conception of sensibility as a "holistic *sensorium*", or as an "operational complex" (Ong), in which the various senses maintain an "interplay" that agrees with a basic *ratio* or proportion among them. Basically, "any invention or technology" alters this *ratio*, that is to say, it modifies sensibility as an "operational complex." (…) extension of our bodies and senses in a 'new invention' c es and senses to shift

into new positions in order to maintain equilibrium." (UM 252) Such a displacement "(…) is effected in *all* our organs and senses, both private and public, by any new invention. Sight and sound assume new postures, as do *all* other faculties." (Um 252) The alteration has thus a global effect over sensibility and consciousness in general: "It is the *entire* system that is changed. The effect of radio is *visual*, the effect of the photo is *auditory*. Each new impact shifts the *ratios* among *all* the senses." (UM 64) Consequently, "[a]ny invention or technology is an extension (…) of our physical bodies, and such extension also demands new *ratios* or new equilibriums among the other organs and extensions of the body." (UM 45) The crucial idea here is that, apparently – with only one exception alteration of our sensibility by technology is unilateral, that is, it consists of a de from what McLuhan calls *sensus communis*, namely the balanced *ratio* or "consen the senses. It applies to the "new invention" in general what McLuhan claims ab wheel, for it "(…) brings about a new intensity of action by its amplification of *a* se or isolated function (…)." (UM 42) In general, McLuhan refers to "[t]he selectio *single* sense for intense stimulus, or of a <u>single</u> extended, <u>isolated</u> (…) sense in tech (…)" (UM 44, i. a.),[8] and as we have seen, the unilateral "impact" (UM 64) alters the "whole" of sensibility.

The foregoing applies without restriction to what McLuhan calls "mechanical technologies", since the impact of the latter is precisely *separation*: "Our mechanical technologies for extending and separating the functions of our physical beings have brought us near to a state of *desintegration* (…)" (UM by mechanical technologies is no other than the "analytic diss ons" (UM 84). Hence, we may say that, by definition, any "me e "consensus" of the senses when "extending" or "amplifying response to its exposure to a "new intensity of action" (UM ion. Each new mechanical technology introduces then a new stanced from the "holistic *sensorium*" or "sensory awareness 13) which implies the "awareness of ground" (LM 65) and not just of the "figure". So, "(…) in cutting us of the

[7] As we shall see below.
[8] Underlinying of mine.

awareness of ground (…)" (LM 65) "mechanical technologies" effect a *visual structure* or "visual bias" in sensibility, and with it, a flawed perception or awareness, as we said above.

Such is the "Narcissus trance" mentioned before, that would have been caused by technology. In general, it accounts for a lack of awareness that technologies, not just mechanical but whatever they may be [illegible] This means that the existential alteration they bring about is [illegible] contrary, man "(…) is ignoring the *effects* of the challenge of t[illegible] of our senses." (UM 19, i. a.) McLuhan uses the term "somna[illegible]orance" of the effects of technology, and he offers examples [illegible]rary degree from the University of Notre Dame (…), Genera[illegible]s statement: 'We are too prone to make technological instrument[illegible] the sins of those who wield them. The products of modern science are not in themselves good or bad; it is the way they are uses that determines their value.' That is the voice of the current *somnambulism*. (…) There is simply nothing in the Sarnoff statement that will bear scrutiny, for it *ignores* the nature of the *medium*, of any and all *media*, in the true Narcissus style of one hypnotized by the (…) extension of his own being in an new mechanical form." (UM 11).[9]

The unawareness that any invention or technology is an "extension" of man is followed by the unawareness that it alters the whole of our sensibility and, with it, the whole of our existence. It departs from the innocent, "somnambulist" assumption that man is the same before and after the technological "extension" of his own senses or faculties. McLuhan expresses this idea of the total alteration of man through technology by saying that "(…) it is the medium that shapes and controls the scale and form of human association." (UM 9) He also expresses this by saying that "[t]he hidden effects (…) are the aspects which truly shape our behavior." (GV 13). But the "hidden effects" are nothing else than a "ground", the "ground" of the situation produced by the *medium* or technology that is the case. That is why he also tells us that "[t]he ground that envelops the user of any new technological word[10] completely (…) *reshapes* both user and culture." (LM 226). In

[9] See: "The point of the Narcisuss myth is not that people are prone to fall in love with their own images but that people fall in love with extensions of themselves which they are convinced are not extensions of themselves." (MR 121)

[10] The odd term "technological word" does not in principle mean anything else than a technology, in the usual sense of the word "technology." What happens is that within the context of this citation McLuhan takes any technology or *medium* as a metaphor or word translating one kind of experience into another (see LM 226).

general, thus, McLuhan alludes to "(…) the power that is in all media to reshape any lives that they touch." (UM 52) It is precisely such power to "configure" and "reconfigure" human existence what constitutes "the message", the *dictate* or *mandate*, we could say, contained in any medium [illegible] McLuhan's phrases, namely, "the medium is the message": [illegible]ge' because it is the medium that shapes and controls the sca[illegible]ation and action (…)" (UM 9) or, in another formulation, "(… [illegible] medium of communication whose *message* may be said to be [illegible]ns and dissatisfactions it engenders (…)" (GV 8) – these l[illegible]e, to stay in a subliminal level of consciousness, giving way [illegible] or "Narcissus trance."

§4. Technologies, cultures, art, and anti-environments

[illegible]us back to the idea of an apparent *fatality* contained in [illegible]bility as impaired by technology. In fact, the situation would [illegible]s we find that the flaw in perception takes the form of the [illegible]ception we saw above. A natural question in this context is if [illegible] produces the narcissistic trance, or individual and collective [illegible] in being unaware that "the medium is the message", or in being [illegible]e effects of technology over our sensibility, our life and culture. If "any" or "all technologies" produce a "Narcissus trance", then we would indeed be before a *fatality*. The truth is that McLuhan is not straightforwardly clear about this, but it seems possible to clarify his stance by relating the issue [illegible]

First of all let us point out the interest o[illegible]ons in *Media Research*: "*Any* new technology, any extension [illegible]aculties *when* given a material embodiment [illegible] as of speech, or script, or hee[illegible] "hidden or subliminal groun[illegible] phenomenon of the imperce[illegible] interest here is the express[illegible] mea[illegible] environment by technology [illegible]table. It [illegible]

See particularly: "(...) a visual form (...) has blinded the West to the metaphysical and verbal properties of human artifacts as metaphors and as extensions of ourselves." (LM 225) In the same way we find the explicit

McLuhan understands it, comes into scene. Art, the "work of art" (MR 119), is also an artifact or technology,[11] the kind of technology that does not produce the "Narcissus trance" but, on the contrary, operates as an "antidote" (LM 226) against the latter.

McLuhan says: "The study of ground on its own terms is virtually impossible, as by definition it is at any moment environmental and subliminal. The *only* possible strategy is to construct an anti-environment, which is the normal activity of the *artist*, the *only* person in the culture whose whole business is the retraining and updating of sensibility." (GV 5n.) Indeed, the "retraining and updating of sensibility" means for McLuhan, on the first place, the elimination of the flaw in perception, that failure to grasp [illegible] technologies other than art. This is why he tells us later that "[illegible] been to report on the nature of *ground* by exploring the form[illegible] generated by *just that* ground (see GV 5n., MR 111). Such [illegible] means of what we could call a provocation or *disturbance* caus[illegible]

On the one hand, McLuhan tells us that "[v]isually bia[illegible]ed to the abstract study of figures minus their ground, are com[illegible] sudden intrusion of the forgotten or hidden or subliminal ground (…)" (GV 25). On the other hand, he refers to the "(…) role of the artist who must invent an image that will *sting* or intrigue a public to encounter his challenge. For the artist has to *upset* his audience by making them aware of their automatism or their own inadequacy in their daily lives." (GV 162) It seems that for McLuhan the artist is, from the point of view of sensibility, the *opposite* pole of his or her audience, that is, "visually biased people." Before examining this sensible opposition between artist and audience or public, we must insist that "[a]s cultural mediator, it is the role of the artist to keep the community in conscious relation to the changing and hidden ground of its preferred objectives." (GV 26)

We must now focus attention on the "sensorial" opposition between artist and audience. As it was made clear by the citations in the preceding paragraph, the opposition in question presupposes that the audience is "visually biased", as it corresponds, McLuhan would say, to Western cultures, where "mechanical technologies" dominate the scene. It is well known too that McLuhan differentiates clearly and radically between cultures

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consideration of "all human artefacts as human speech" (LM 224).

[11] See what McLuhan refers to when saying "(…) all human artefacts as human speech , be they hardware or software, physical or mental or aesthetic entities, arts or sciences." (LM 224)

dominated by mechanical technologies (i.e. those having alphabetical writing, and especially those making use of the printing press) and cultures untouched by the "visual bias" (i.e. "oral" or "acoustic" cultures, GV 14). It is therefore evident that were there is no "visually biased" "audience" for the artist to work on, there would be no occupation or role of any kind for the artist. McLuhan says regarding this point that "[t]he art historian has long puzzled over the question: at what point do *primitive cultures* develop arts?"" (LM 226) His immediate response to the question is: "Evidently the Balinese had not yet confronted the problem when they answered, 'We have no art; we do everything as well as possible.' Art is a response to a situation (…)." (LM 226) Such situation would obviously be that which the "visually biased" culture finds itself in. Without the dominance of vision over the whole of sensibility as an operational complex "art" and "artists" make no sense. Even in the face of "electric technologies," as opposed to mechanical[12] ones, McLuhan asks himself: "But at what point do *developed cultures* discard their arts? – the question would seem entirely relevant to our present condition." (LM

Balinese people give us an example of a cultu does not need to correct any "visual bias." In other words, Ba with any "primitive" or preliterate culture (GV 59), has no ar biased." This is why McLuhan calls these cultures "oral" or " tantly, it implies that, in the case of oral cultures, artifacts "ma 10), despite being extensions of man, do not lead sensibility t nce." according to McLuhan, members of oral cultures do posses an "integral aware 65) or a "holistic thinking" (GV 107). Likewise, the effects of any invention or are not hidden for them in the form of a "forgotten ground," as they are for West Without going further into this, let us simply say that, in McLuhan's theory, me media for primitive cultures, that is to say, media are not separated from the us in a sense, part of them. The reason for this would be the "configurationally" co of such cultures, one which does not allow to "batten[ ] on one or two elements in any situation [to] *repress*[ ] the rest." (GV 21) On the contrary, the conscious proper to such cultures is the "recognition of patterns" (GV 22). For this reason the "ground" "proper to every cultural situation" (GV 5) does not remain "forgotten or hidden or subliminal" (GV

[12] We cannot examine this problem in this paper.

25) but it "(…) must remain tuned (…)" (GV 69), that means, in "interplay" with the figures (GV 5), for it is not something "uniform" (GV 69) for each of them, and thus, easily avoidable by attention.

McLuhan himself gives an example (UM 24) of the meaning of "tuning of the ground [illegible] nsciousness, in our Western sense of "reason without rhyme" [illegible], "rhyme without reason" (GV 19). It is a matter of the effects [illegible] religious missionaries who, realizing the enormous difficul[illegible] certain archaic community in Australia, introduced a numbe[illegible]s catastrophic, since for the members of the traditional commu[illegible] *medium* in the proper sense of the term [illegible] directly [illegible] this case the men of a certain age, in their rela[illegible] members of the community. With the possession of axes by women and c[illegible] of male adults fell into a crisis. (See UM 24) This example illustrates th[illegible] ground over figure" (GV 11), because it illustrates that the axe was not a m[illegible] a part of a configuration or total pattern in which male and female ad[illegible] children, had a role proper to each of them (UM 7). The sense of these ro[illegible] the whole of culture, that is, on its "ground" or "mode" (GV 6). The axes were not originally a mere utensil, a *medium* in the proper sense of the term, but an element within a cultural "pattern", towards which they held a definite relation[illegible] consciousness of the axe used to be inseparable from their consciou[illegible] McLuhan calls it, from a "total awareness" (UM 13). In this case [illegible] formal, "abstract or (…) uniform" visual structure ("figure minus [illegible] multi-sensory, rhythmic consciousness, seeking tuning to or "[illegible] surrounding [illegible]

The [illegible] he fact that, in real[illegible]ives of Western [illegible]ltures" as corresponding to two different "modes of a[illegible]wareness" peculiar to Western culture in all its varieties [illegible]cally speaking, by the dominance of the brain's "left [illegible] awareness peculiar to oral cultures would be determined [illegible]ain's "right hemisphere" (see GV caps. 1-3). Thus,

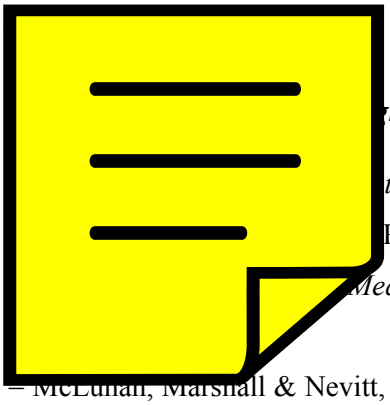
[13] Notice that McLuhan reinterprets completely Hegel's idea of "the death of art."

while it would be true that "[*a*]*ll cultural situations* are composed of an area of attention (*figure*) and a very much larger area of inattention (*ground*) (....)" (GV 5), it is only "[t]he left brain with its (…) bias [that] hides the ground of most situations, making it subliminal." (GV 4) Only the predominance of the brain's left hemisphere would yield the "visual bias." On the contrary, any brain's "(...) right-hemisphere visualization (...) helps us to see both figure and ground at a time (…)" (GV 9). A case of this would be the "tuning" to "ground" characteristic of "oral cultures" like the one in the example, as well as the metaphor as a mode of grasping, since "(...) metaphor (...) reveals figure (...) and ground (...) simultaneously." (GV 4). Metaphor thus qualifies as a "percept", in McLuhan's very special sense of the term, for in *Take Today* McLuhan clarifies that "(...) percepts relate *figures* and *grounds* as interplay." (TT 123, i. a.) In general, McLuhan conceives metaphor "as perceptual technique for seeing one whole situation *through* another whole situation." (LM 225, i. a.)

§5. Conclusion: Technology and art as antidote

The last brings us back to the subject of art and artist, for his action may be considered *metaphoric* in McLuhan's sense. So far, after making clear that the figure of the artist is peculiar to Western or "visually biased" culture, we must be able to perfectly understand McLuhan's idea that, with regard to the "bias" or flaw in perception, "Westerner's only escape or antidote has hitherto been by means of artistic enterprise. All serious art, to use Pound's phrase, functions satirically as a mirror or *counter-environment* (…)" (LM 226). Along this line, the operation of the artist becomes clear as soon as we realize that "[t]he ground rules, the pervasive structure, the overall-pattern eludes perception except in so far as there is an *anti-environment* or a *counter-situation* constructed to provide a means of direct attention." (MR [illegible] ist provides us with *anti-environments* that enable us to see [illegible] at while the "public" or "audience" [illegible] d," the artist creates the "anti-enviro[illegible] een artist and audience. Because of i[illegible] the arts (…) acting in the role of ar[illegible] nment." (MR 111). Of course, only b[illegible] a visual culture adopt a "critical" stance (see [illegible] eing the environment

or "situation" by means of the anti-environment (contra-situation) what would constitute the metaphorical character of the artist's activity. On their part, works of art or "aesthetic entities" (LM 224) are "(...) percepts [for they] relate *figures* and *grounds* as interplay." (TT 123, i.



raphy and Abbreviations

GG *tenberg Galaxy. The Making of Typographic Man* (1962), Press, tenth printing, 2000.

UM *Media. The Extensions of Man* (1964), Cambridge: MIT Press,

TT = McLuhan, Marshall & Nevitt, Barrington: *Take Today: The Executive as Dropout* (1972), New York, Harcourt Brace, 1972.

MR = McLuhan, Marshall: *Media Research. Technology, Art, Communication* (1980), Amsterdam, G + B Arts International, 1997.

GV = McLuhan, Marshall & Powers, Bruce R.: *The Global Village. Transformations in World Life and Media in the 21st Century* (1986), New York: Oxford University Press, 1992

LM = McLuhan, Marshall & McLuhan, Eric: *Laws of Media. The New Science* (1988), Toronto, University of Toronto Press, 1999.

PW = Ong, Walter, J.: *The Presence of the Word* (1967), Yale University Press, New Haven, 1967.

i. a. = italics from author of the quoted text

La escritura y la estructura de la percepción

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Speech, before the age of Plato, was the glorious depository of memory. McLuhan

Over the last decades the idea of myth as man's existential guidance has been explained in a very interesting way by claiming that myth implies a configurational awareness instead of an analytical consciousness. By contrast, it would first be the appearing of alphabetical writing that what structures not only perception but consciousness at all in an analytical way, destroying mythos as existential guidance. The aim of the following text is to explain these ideas as necessary step in exploring some changes in perception and consciousness, which the new digital technologies are bringing about along with a diminishing import of writing.

En las últimas décadas la idea del mito como guía existencial del hombre arcaico ha recibido una explicación de gran interés, la cual podría ser resumida diciendo que el mito implica una organización *configuracional* y no analítica de la conciencia. Por el contrario, sería apenas con la aparición de la escritura alfabética que no solamente la conciencia en general sino ya la percepción misma se estructuraría de manera *analítica* y el mito perdería su papel de guía existencial. El objetivo de esta breve presentación consiste en exponer estas ideas apuntando hacia el posible cambio para la percepción y la conciencia que implican las nuevas tecnologías de la comunicación, en las cuales la escritura parece perder importancia.

La novedad y el poder explicativo de la tesis recién descrita se puede percibir, por ejemplo, constatando la limitación de la concepción de Nietzsche acerca de la diferencia entre *mito* y *ciencia*. En efecto, en *Die Geburt der Trägodie* (El nacimiento de la tragedia) Nietzsche nos ofrece una apreciación extraordinariamente positiva del mito, entre otras

razones por considerarlo una "imagen concentrada del mundo" (NI 145)[1] o una "abreviatura de los fenómenos" (NI 145); en particular esto haría posible que el hombre perteneciente a una cultura mítica interpretara "su vida y sus luchas" (NI 145), es decir, se interpretara a sí mismo, de acuerdo con las "imágenes del mito" (NI 145). En el caso de Grecia Nietzsche contrapone el hombre mítico al hombre "socrático" u "*hombre teórico*" (NI 98, c. a.), el cual tendría una conciencia muy diferente, expresada en "la educación abstracta, las costumbres abstractas, el derecho abstracto, el estado abstracto" (NI 145). Nietzsche registra claramente la ruptura entre los mitos griegos y el "socratismo de la ciencia" (NI 148) y lamenta la "pérdida del mito" (NI 146) o la "destrucción del mito" (NI 149), así como la preponderancia del "espíritu de la ciencia" (Ni 111), pero, a fin de cuentas, Nietzsche sólo registra el paso del mito a la ciencia, a la "abstracción", sin ofrecer ninguna explicación que no sea el pensamiento abstracto mismo, cuyo surgimiento es, precisamente, lo que requiere explicación.

Después de Nietzsche, principalmente durante la primera mitad del siglo pasado, los estudiosos de la antropología y de las religiones subrayaron y, si se quiere, enumeraron las diferencias entre el pensamiento o conciencia mítica y lo que se ha dado en llamar "conciencia occidental", pero la ruptura evidente, las diferencias asombrosas, entre la conciencia mítica y la conciencia occidental quedaron, como en el caso de Nietzsche, más bien meramente registradas que explicadas. Sin embargo, hoy en día podemos recurrir a Lord, Eric A. Havelock, Walter J. Ong y Marshall McLuhan, entre otros autores, quienes – apoyándose en los estudios epocales del clasicista Milman Parry y su discípulo Albert B. Lord – han propuesto la interesante tesis de que el paso de la conciencia mítica a la conciencia occidental puede ser explicado por los efectos que la transición de la oralidad a la escritura *alfabética* acarrea en la organización de la percepción en particular y de la conciencia en general.

Para describir los efectos de la transición de una cultura de la *comunicación oral* a otra de la *comunicación alfabética* podemos echar mano de un término clave en las teorías de McLuhan, a saber, del término "configuración" (GV 64) o bien del término "patrón" (GV 40). En efecto, la idea básica para explicar las diferencias radicales entre los tipos de

[1] Véase la lista bibliográfica y de abreviaturas al final de este trabajo. Los agregados entre corchetes en el interior de una cita siempre son nuestros y la abreviatura c. a. significa que las cursivas en la cita de que se trate son del autor del texto citado. Cuando las cursivas son nuestras no se hace ninguna indicación.

cultura recién mencionados es la de que las primeras, es decir, las culturas orales, basan su comunicación en el *reconocimiento* de patrones o configuraciones de la experiencia y, por lo tanto, en la *repetición* y la *conservación* de los mismos, mientras que las segundas, es decir, las culturas que utilizan los textos alfabéticos, basan su comunicación no en la repetición o conservación de los patrones experienciales sino, por el contrario, en el *análisis* o *fragmentación* de los mismos, lo que significa la singularización y la abstracción de elementos de cada patrón y, con ello, la destrucción del mismo, es decir, *su eliminación de la conciencia* en tanto tal patrón. Tratemos de aclarar estas ideas.

Parece ser un hecho indudable el que los diferentes grupos humanos propiamente dichos han utilizado algún lenguaje como principal medio de comunicación. Una dimensión especialmente importante de la comunicación la constituye la de la socialización de la experiencia, la cual se presenta como la transmisión del conocimiento. Ciertamente, ni todo el conocimiento ni toda la conciencia son verbales, pero si el vehículo básico de la comunicación es el lenguaje, entonces la articulación del conocimiento, la sedimentación social de la experiencia, gira alrededor de la verbalización. En tal caso, por ejemplo, los elementos sensoriales, es decir, auditivos, visuales, táctiles, olfativos y gustativos de una situación dada pueden pasar a ser parte del conocimiento colectivo *comunicable* de un grupo humano únicamente en la medida en la que son verbalizables, lo cual tiene límites claros; piénsese tan solo en las posibilidades nulas de traducir un sabor o un olor en tanto tales a una verbalización. La otra alternativa *cognitiva* es aquí, por supuesto, de carácter performativo, como reactualización de la situación en cuestión para introducir a otros miembros del grupo humano dado a la *experiencia directa* que interesa. Pero esta segunda posibilidad, además de ya no ser comunicación en sentido estricto sino comunicación en el sentido de *convivencia* o *participación existencial* – incluida la imitación de comportamientos – tiene otro tipo de limitaciones. En este caso piénsese, por ejemplo, en un evento peculiar en la historia del grupo, como podría serlo una catástrofe natural singular; el complejo de sensaciones que corresponde a un evento de tal índole solo puede ser comunicable – transmisible – en un sentido limitado; a saber, se trataría del complejo de sensaciones o emociones que la narración sea capaz de suscitar, por ejemplo, mediante la imaginación y el recuerdo, aunque para ello se ayude de la música, la actuación y otros elementos visuales, auditivos o de cualesquiera otros.

En cualquier caso, si la socialización de la experiencia y la preservación del conocimiento, así como la "organización de la sensibilidad" (PW 8) en su conjunto, están *centradas* en la articulación verbal de la experiencia, se presenta un problema capital: el de la *memorización verbal*. Qué tanto y cuál conocimiento es comunicable – en sentido estricto, que va más alla de la mera imitación – y, por tanto, realmente socializable, qué tanto y cuál conocimiento se ha sedimentado en una sociedad, depende de qué tanto y cuál conocimiento se puede recuperar verbalmente de la memoria de sus miembros. Es justamente en este marco que las investigaciones del clasicista Milman Parry y de su discípulo Albert B. Lord mostraron ser de una importancia excepcional. Brevemente podemos decir que estudiando las composiciones homéricas, Parry mostró, nos refiere Ong, que Homero básicamente "(…) cosió partes prefabricadas unas con otras. [Es decir] [e]n vez de un creador, se tiene [en él a] un trabajador de línea de ensamblado." (OL 22) El mismo Ong intenta sugerir el impacto de tal descubrimiento para nuestra cultura literaria o alfabética. Las personas desarrolladas en una cultura literata, como la nuestra, nos dice Ong, "(…) están educadas para, en principio, no usar nunca los clichés. ¿Cómo vivir [entonces] con el hecho de que los poemas homéricos se mostraron, más y más, como construidos de clichés o de elementos muy similares a los clichés? En su conjunto, conforme se desarrolló el trabajo de Parry y de otros académicos posteriores, se hizo evidente que solamente una fracción minúscula de las palabras en la *Iliada* y la *Odisea* no eran parte de fórmulas y [todavía más grave] de fórmulas que son predecibles en un grado devastador." (OL 22s.) Ong continúa diciendo: "Más aún, las fórmulas estandarizadas fueron agrupadas alrededor de temas igualmente estandarizados, tales como la reunión del consejo, la reunión del ejército, el desafío, el saqueo de los vencidos, el escudo del héroe, etc., etc. [De hecho] [a]lrededor del mundo se encuentra un repertorio de temas similares en la narración oral y en otros discursos orales." (OL 23)

Así pues, se trata, en lo fundamental, de que las culturas orales tienen que proceder por medio de fórmulas lingüísticas para poder memorizar y transmitir la experiencia verbalizada, fórmulas lingüísticas que, a su vez, articulan tópicos estereotipados o, por así decirlo, fórmulas temáticas. Mientras que las fórmulas temáticas refieren a *situaciones* o *configuraciones*, las fórmulas lingüísticas mismas corresponden a un *ritmo* o canción – en el caso de la *Iliada* y la *Odisea*, al hexámetro griego – el cual es, a su vez, una

configuración, así sea sonora y no visual. En otras palabras, en una cultura oral todo lo que se comunica como digno de ser preservado o transmitido tiene que comunicarse en fórmulas cantadas y, más aún, con acompañamiento rítmico que incluye a todo el cuerpo, tanto psíquica como físicamente, así como, en muchas ocasiones, a instrumentos musicales. Esto tiene consecuencias realmente descomunales, ya que lo que hay que preservar o transmitir no se reduce a ciertos sucesos o situaciones excepcionales, sino que incluye tales cosas como las instrucciones para el manejo de barcos,[2] los usos y costumbres en general e, incluso, las ordenes militares del momento así como todo tipo de comunicado público y muchos "privados" o, par ser más precisos, de incumbencia mucho más restringida que el todo de la comunidad. En pocas palabras, en sociedades puramente orales el poder y el liderazgo, tanto político como militar, tienden a concentrarse en los miembros que tienen el mejor sentido del ritmo y la mejor memoria: son estos los que pueden "poetizar" su comunicación, es decir, hacerla *rítmica* y *estereotipada* y, de esta manera, darle la efectividad de la que depende el éxito *de la comunidad misma*. Esto significa, entre otras muchas cosas, que de hecho, en las culturas puramente orales al nivel público, y en gran medida a otros niveles más restringidos, no puede haber la diferencia – propia exclusivamente de las culturas literatas – entre prosa y poesía. La idea es que la comunicación lingüística puramente oral efectiva no puede realizarse sino como *composición* de temas estereotipados mediante fórmulas con ritmos definidos y por la *recepción* de dichos temas así compuestos por parte audiencias rítmica y mnemotécnicamente entrenadas. Se trataría, en esencia, de comunidades "musicales", "resonantes" y "participativas" (McLuhan) que articulan su experiencia como el *mito* en tanto configuración temática y rítmica.[3]

Esta idea, a pesar de su simplicidad, no deja de ser, para nosotros, miembros de una cultura literata, acostumbrados a la diferencia entre prosa y poesía, radicalmente sorprendente. Havelock ilustra esto de la siguiente manera: "En Europa occidental la poesía, con sus ritmos, sus imágenes y sus modismos, ha sido alabada y practicada como un

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[2] Contenidas realmente en el canto primero de la *Iliada*.

[3] Recuérdese la insistencia de Nietzsche, en la obra mencionada, en la música; en especial su idea de que "(…) la música está capacitada para parir *al mito*, es decir al ejemplo significativo (…)" (NI 107, c. a.). Nótese en esta cita que Nietzsche concibe al mito como estereotipo: "ejemplo significativo". Aquí mismo resulta interesante recordar la teoría nietzscheana acerca del público como coro expandido en la "tragedia ática". Véase Nietzsche, *Die Geburt der Tragödie* (El nacimiento de la tragedia), §§7-8, o NI 52-64.

tipo especial de experiencia. Visto en relación con el trabajo cotidiano, el marco poético de la mente resulta esotérico y requiere de un cultivo especial. (…) Lo poético y lo prosaico se comportan como dos modos de auto expresión mutuamente excluyentes. El uno es recreación o inspiración, el otro es operativo. Nadie se inflama en versos para reconvenir a sus hijos, ni para dictar una carta, ni para contar un chiste; menos aún para dar ordenes o emitir instrucciones. [Nuevo párrafo] Pero en la situación griega, durante la época no literaria, justamente eso es lo que usted tendría que haber hecho." (PP 134) En otras palabras, cualquier cosa que tuviera que ser comunicada con efectividad o simplemente que valiera la pena de ser comunicada, tenía que estar, por así decirlo, poetizada y, más aún, había que actuar o teatralizar su poetización: cantarla, danzarla, gesticularla, etc.[4] La razón de esto parece obvia. Sin rima, verso, ritmo o melodía, como estructuración verbal de situaciones estereotipadas, la memoria tenía muy poco alcance. Por ejemplo, ordenes militares de cierto grado de complejidad sólo podían emitirse versificadas y el mensajero por su parte tenía que estar entrenado en la memorización de versos; igualmente, cada uno de los soldados tenía que recordar sus ordenes como quien recuerda estrofas de un himno o una canción. Por supuesto, lo mismo ocurría al nivel de la educación de los infantes y los jóvenes, de la transmisión verbal de los oficios, etc. Es decir, sin fórmulas más o menos "poéticas", la memoria no podía ser empleada de manera eficiente. Por supuesto, el conjunto de la experiencia y de la percepción tenía que estar organizado de manera tópica y rítmica, centrado en clichés – piénsese en los campesinos o personas escasamente alfabetizdas quienes organizan y comunican su experiencia mediante proverbios, refranes o cancioncillas–.[5]

Con esto hemos llegado al centro del problema. Las fórmulas lingüísticas y los ritmos motrices o sonoros que las acompañan implican en las sociedades orales una conciencia orientada al "*reconocimiento de patrones*" (GV 38) o configuraciones. Pero esto

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[4] Esto da un indicio acerca del elemento de verdad subyacente en la concepción nietzscheana del teatro griego trágico y el coro dionisiaco: "En el ditirambo dionisiaco el hombre es provocado hasta la potenciación máxima de todas sus capacidades simbólicas [es decir, de *reconocimiento de configuraciones*] (…). La esencia de la naturaleza tiene ahora que ser expresada simbólicamente; se hace necesaria un nuevo mundo de símbolos; por un lado la totalidad del simbolismo corporal, no sólo de la boca, del rostro, de la palabra, sino el gesto dancístico completo que mueve todos los mienbros. Entonces, súbitamente crecen desbocadas las otras fuerzas simbólicas, las de la música, en ritmo, dinámica y harmonía." (NI 33s.) Acerca de la relación entre el símbolo y la configuración hablaremos más abajo, con motivo de la concepción gadameriana del símbolo.

[5] McLuhan refiere a la idea de Vico de una sabiduría poética universal o *vocabolario mentale* (LM 223) que se expresaría, por ejemplo, en los proverbios o máximas de la sabiduría popular (LM 221s.).

significa que los patrones tienen que mantenerse como tales. Esto explica, entre otras muchas cosas, que aún hoy en día en sociedades pura o primordialmente verbales se haga un uso muy amplio de las analogías. Como insiste en ello McLuhan, mientras que los silogismos, con su "de esto y esto, sigue esto y luego esto", corresponden a una organización *secuencial* o *lineal* de la conciencia, las analogías corresponden a una organización *configuracional* de la misma; en estas se reconocen no tanto elementos como las relaciones entre elementos (cfr. GV 8). Piénsese tan sólo en la aplicación de un proverbio tal como, "al que a buen árbol se arriba, buena sombra le cobija." La aplicación del proverbio requiere que se reconozcan no tipos de elementos fijos (árbol, sombra, cobijar, etc.) sino meramente *una relación idéntica entre elementos cambiantes*, es decir, se requiere que se reconozca la *estructura* de una situación, la *forma*, no la *materia* de la misma. Pero tal cosa no es más que un patrón o una configuración. Estructuras, formas, ritmos y fórmulas son, en los términos de McLuhan, configuraciones o patrones. Por el contrario, la introducción del alfabeto implica la abstracción portentosa consistente en analizar o fragmentar los sonidos lingüísticos en unos cuantos básicos, 30, poco más o menos; sonidos estandarizados, carentes cada uno de todo significado y, la mayor parte de ellos, a saber las consonantes, *inexistentes* en el hablar real, ya que la configuración lingüística mínima es la sílaba, pero no una consonante aislada. El alfabeto supone, pues, el análisis o la destrucción de la sílaba en tanto configuración lingüística real mínima. Más aún, los pocos presonidos estandarizados que componen el alfabeto – fonemas – se pueden recomponer de manera abierta para formar nuevas palabras al margen de cualquier situación ya conocida. Simplemente esta *apertura* de la verbalización gracias a la escritura alfabética rompe de raíz con la compulsión del mito a la repetición y la permanencia. El "reconocimiento de patrones", es decir, el "eterno retorno" mítico, resulta desplazado como forma básica de la conciencia tratándose de la comunicación, lo que equivale a decir, como forma básica del conocimiento o experiencia socializados.

La idea sería, entonces, abreviando aquí de manera enérgica, que el desarrollo de una cultura con una *comunicación alfabética* permite y obliga a la fragmentación de las configuraciones como núcleo de la percepción y de la conciencia. Para dar un indicio de las consecuencias portentosas de esto, piénsese que si se pueden aislar sonidos como elementos independientes de una composición o patrón (por ejemplo en una palabra, en una sílaba),

entonces parece posible aislar a los elementos de una configuración visual y, más en general, a los elementos de una configuración existencial o situacional dada. De esta manera, W. Ong refiere, por ejemplo, a los reportes de A. R. Luria, quien informa que persona de comunidades uzbekas iletradas del principio de los años 30 del siglo pasado, puestas ante el conjunto operativo de tronco, hacha, sierra y martillo, eran completamente incapaces de separar entre el tronco, por un lado, y las herramientas, por el otro (cfr. OL 51). El mismo Ong nos dice que, por el contrario, en un contexto de alfabetización consolidada ya no es necesario pensar la cama en el conjunto de la economía doméstica (un tema existencial estereotipado), sino que ahora es posible preguntar, tal como realmente lo hizo Platón, por la cama en tanto tal, preguntar qué hace de la cama una cama (cfr. PW 34). En otras palabras, la articulación alfabética de la experiencia abre la puerta, a costa del pensamiento "situacional" o configuracional, al pensamiento abstracto y analítico *en general*. Por ejemplo, de la misma manera que con la cama, ya no hay por qué pensar a un individuo únicamente en el entramado de sus relaciones comunitarias, sino que ahora se le puede pensar como individuo autosubsistente en términos ontológicos, con lo que nace el "hombre abstracto" (cfr. Nietzsche). Así como se puede pensar en sonidos autosubsistentes correspondientes a letras estandarizadas, de la misma se puede pensar en individuos estandarizados autosubsistentes. En este sentido podríamos decir que *el fonema y el individuo en tanto tal son correlativos*, de tal manera que muy probablemente fue el alfabeto lo que hizo posible la aparición de la democracia ("la educación abstracta, las costumbres abstractas, el derecho abstracto, el estado abstracto", Nietzsche), forma social que no ha sido rastreada en ninguna sociedad oral.[6]

El predominio de la percepción como reconocimiento de patrones frente al análisis de los mismos parece, pues, implicar formas de conciencia rítmicas, multisensoriales y resonantes o participativas, formas propias de la comunidad como "audiencia" (McLuhan),[7] y que, correspondientemente, se articularían en un lenguaje igualmente rítmico, configuracional o "poético".[8] El mito y sus "imágenes" podían ser una "abreviatura de los

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[6] Esto pareciera corroborarse en el caso de los países árabes y sus tipos de gobierno. Dichos países son todavía altamente orales y la democracia es prácticamente inexistente en ellos, salvo el caso de Turquía, donde de los años 20 y 30 del siglo pasado Kemal Ataturk latinizó y, con ello, alfabetizó el lenguaje turco.

[7] O, diría Nietzsche, como "coro de sátiros" en la "tragedia dionisiaca" (NI 56).

[8] Con esto tendríamos una traducción racional de la idea nietzscheana de que '[e]n la poesía de la canción popular vemos al lenguaje tensado al máximo *para imitar a la música* (…)" (NI 49).

fenómenos" (Nietzsche) por tener la estructura no de una secuencia narrativa sino de una configuración rítmica de la experiencia.[9] La experiencia analítica y abierta comparada con la experiencia configuracional, rítmica y repetitiva, parecen ser formas de saber y de conciencia propias de la escritura y de la oralidad, respectivamente, por lo que si bien tanto la expresión oral pura como la escrita son ambas fenómenos lingüísticos, la diferencia entre ellas no puede ser nivelada so pretexto del "carácter lingüístico [*Sprachlichkeit*] de la experiencia", como lo hacen muchos autores, entre ellos Gadamer.[10]

Para concluir este breve trabajo habrá que hacer una rápida mención de los posibles cambios implícitos en la pérdida de importancia de la escritura alfabética provocada por las nuevas tecnologías, en especial las digitales. Si el análisis o fragmentación de los patrones parece ir de la mano con una sensibilidad organizada para la percepción de objetos individuales y no de los patrones o situaciones en los que están insertos, la tecnología digital produce por lo menos un cambio de gran importancia. Nuestro "sesgo" (McLuhan) literario nos ha llevado a identificar información en general con información verbalizada, en especial con su traducción no sólo alfabética sino impresa. Durante los últimos siglos el conocimiento sólo era almacenable en libros o, más en general, en caracteres alfabéticos registrados en diferentes medios, es decir, como experiencia verbalizada *traducida a letras*. Pero ahora se puede almacenar no solo caracteres convencionales *estandarizados* sino también se puede almacenar patrones absolutamente *singulares*, en particular patrones musicales y patrones visuales. Gracias a la tecnología digital los bancos de sonido y especialmente los bancos de imágenes adquieren una importancia creciente como parte de la experiencia comunicable. Piénsese tan sólo en la diferencia que hace la transmisión de las imágenes de las Torres Gemelas el 11 de septiembre del 2001 respecto de lo que sería la mera descripción verbal impresa del suceso. En otras palabras, la gran cuestión que está aquí a debate es, como lo piensan McLuhan y Ong, la de si estamos al borde de una

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[9] Sería esta articulación configuracional o "poética" de la conciencia arcaica en general aquello a lo que se estarìa refiriéndo Hegel al afirmar que en el contenido de la poesía homérica no se da una distinción entre una dimensión intelectual y otra emotiva: "(…) entre los griegos (…) el arte era la forma más elevada en la que el pueblo se representaba a los dioses (…). Por ello, para los griegos los poetas y los artistas se convirtieron en los *creadores* de sus dioses, es decir, los artistas le dieron a la nación la representación concreta del hacer, la vida y la operación de *lo divino* (…). Y esto ciertamente no en el sentido de que tales representaciones (…) ya hubiesen exisistido previamente, antes de la poesía, a la manera abstracta de (…) determinaciones intelectuales para, apenas después, de una manera *meramente exterior*, ser revestidas con imágenes y con el adorno de la poesía (…)" (H13 141).

[10] Sobre esto véase mi trabajo *La hermenéutica y la oralidad*, de próxima publicación.

reactivación de la percepción como reconocimiento de patrones y una reactivación de las formas de conciencia correspondientes, es decir, rítmicas, multisensoriales y resonantes o participativas, propias de la comunidad como "audiencia". Si el mito y sus "imágenes" podían ser una "abreviatura de los fenómenos" por tener la estructura no de una secuencia narrativa sino de una configuración rítmica de la experiencia, ¿qué tanto hacen posible las técnicas comunicación digitales una "retribalización" (McLuhan) de la sociedad en una "aldea global" (McLuhan)?

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Title: "Education and Civilization Among Indigenous Peoples: A Comparative Study of the United States and Australia"

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Abstract

This paper will discuss and analyze the role of education in assimilating indigenous youth into the dominant cultures in the United States and Australia in the late 19th and early 20th centuries. Special attention will be afforded to a comparative consideration of attitudes towards race and assimilation, the role of education in "taming and incorporating" indigenous children into the mainstream society, national policies on indigenous education, and the structure of indigenous schools. In addition the narrative will attempt to incorporate "indigenous voices" into the story to balance both a white and indigenous perspectives. This paper will utilize archival holdings in the United States and Australia as well as secondary literature that focus on comparative history.

Title: "Religious Denominations and Indigenous Education"

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Abstract

This paper will discuss the role that religious denominations played in the education of indigenous children in the United States and Australia. This analysis will attempt to compare the role that churches played in indigenous education, the formal relationship between governments and churches to educate indigenous peoples, and the attitudes that the religious denominations displayed regarding "civilization" and "assimilation." The Catholic Churches efforts will be the focus of this paper due to the international comparisons that can be drawn between the United States and Australia, particularly in the late 19th and early 20th centuries. This paper will rely upon government and church archives as well as oral historical accounts relating to indigenous schools.

Thinking Through the Body:
Complicities of Violence, Masculinity, and Sexuality

Interdisciplinary Studies of American Culture in a Panel format

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Thinking Through the Body:
Complicities of Violence, Masculinity, and Sexuality

This proposal is a panel discussion between three Humanities faculty and the audience focused on the interdependence of violence and sexuality in U.S. culture since the 1960s, especially as inscribed on "masculine" bodies.

True Native Thugz: Masculinity and the Indianization of Rap
Elyse Carter Vosen

During the past decade, American Indian youth, all but invisible in academic and media discourses about urban youth culture, have become increasingly engaged in hip-hop culture, and as a result find themselves engaged in a fundamental struggle for the "soul" of hip-hop expressed by African American cultural theorist Manning Marable (2002). My project explores the social consciousness and political positioning of predominantly male Native rap artists as they explicitly engage with notions of Blackness as sources of resistance to colonizing and emasculating forces while deliberately distancing themselves from "bling-bling" and "gangsta" sensibilities, even visually and sonically resignifying some of their symbols. As an ethnomusicologist, I am compelled by the fierce efforts of these artists--and the communities they represent--to remain identified with traditional cultural values while harnessing the innovative and often aggressive musical form of rap for political purposes. I am particularly intrigued with a symbolic language of warriorhood that appears in the lyrics of Native rap artists, alongside tendencies toward emotional vulnerability, an overt rejection of violence, misogyny, and materialism, and a self-conscious use of "survival humor," all inflected with musical practice common to traditional song and dance. My work draws upon performances and interviews with artists such as Natay, W.O.R. (Without Rezervation), Warrior Society, and Native Era, and is informed by approaches from ethnic studies, feminist theory, and performance studies.

Sexual Imagery:
Contradictions within the Discourse and Reality of the Youth Movement 1968-1971
Mari Trine

One of the characteristics of predominantly white youth movements during the late 1960s in the U.S., was a reliance on rhetorical and performative rebellion, especially a range of uses of "fuck" and pornographic imagery. My work analyzes the patterns and consequences of this discourse, as it interacted with and contributed to a radical masculinity that had become increasingly violent by the early 1970s. Rhetorically, young radicals' use of the concept of fucking to signify the most violent attack on the establishment when the same words were their most common term for making love, spread throughout youth culture. Within movement media, men–or sometimes objects or nations–occupied the active position of violent fucking or raping. Thus, sexual aggression was predominantly conveyed by means of a phallus. The objects of rape were depicted as overwhelmingly feminine.

Did Somebody Say "Good Old American Pornography"?
What Americans Don't Know They Know About Sadism, Cruelty, and Torture in Iraq
C. Neal Keye

> There are known knowns. These are things we know that we know. There are known unknowns. That is to say, there are things that we know we don't know. But there are also unknown unknowns. There are things we don't know we don't know.
>
> Donald Rumsfeld, March 2003

If violence, according to Walter Benjamin, is a sign of the existence of the gods, then the "pornographic" photos of Iraqi prisoners being tortured and sexually humiliated in Abu Ghraib is surely a sign of the psychosexual dynamics of American empire in the Middle East. Indeed, the sadistic dimensions of the war in Iraq may be merely the latest example of what the literary scholar Amy Kaplan memorably describes as the "anarchy of empire" at the heart of American culture and society (2002). In this sense, the "theatre of cruelty" that we now know as Abu Ghraib may be read as extending visibility to what the cultural theorist Slavoj Zizek calls the "obscene underside" of American culture – from initiatory rituals of sexual humiliation and torture in the armed forces to the everyday sadism of the lunatic right's assault on women's bodies and the environment.

This insight on the part of Zizek makes it possible to understand the images of torture and abuse not simply as a *perversion* of American values, as the Bush Administration would have it. Rather, as I shall suggest alongside Zizek and others, they are best viewed as graphic examples of a sadistic *initiation* into American culture itself. Rush Limbaugh was thus essentially "right" when he dismissed the photos of abused Iraqis as "good old American pornography." For what they allow us to see is *what we don't know we know* about "good old American values" – the "unkown knowns" of sadism, torture, and cruelty that Rumsfeld left out of his press-conference philosophizing. In this sense, what Americans don't know they know about the photo wars in Iraq is that torture and cruelty are part and parcel of empire. The empire we call the United States of America can be no exception.

Hawaii International Conference on Arts and Humanities

Abstract submission for conference proceedings

Title: "Darkness and Light: Henryk Górecki's Spiritual Awakening and its Socio-political Context"

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Abstract: (next page)

Darkness and Light:
Henryk Górecki's Spiritual Awakening and its Socio-political Context

The music of Henryk Górecki (b. 1933) holds a unique place in the pantheon of western music. The reclusive Polish composer exploded from an anonymous past into a musician of international acclaim during the last decade of the 20th century. "Darkness and Light" examines the religious, social, political, and personal currents of Górecki's life -- and it seeks to illuminate how these forces shaped his unique artistic aesthetic. This investigation recounts the composer's stylistic evolution as he emerged from the avant-garde decade of the 1960s (following the post-Stalin cultural "thaw") into a period of spiritual and religious awakening during the 1970s. For Górecki, this period was characterized by large-scale orchestral compositions artfully combined with choral and vocal resources. During the 1970's, he composed many of his most ambitious works, including *Ad Matrem* Op. 29 (1971), two of this three symphonies [*Symphony No. 2* "Copernican" Op. 31 (1972) and the famous *Symphony No. 3* "Symphony of Sorrowful Songs" Op. 36 (1976)], and *Beatus Vir* Op. 38 (1979).

Górecki's devout religiosity emerges with great forcefulness in this compositional period. With the vestiges of Stalinist formalism and the ravages of communism a painful memory, Górecki finally enjoyed the freedom to write a personal and spiritual music. These emotional works are replete with references to the composer's firsthand experiences and Poland's proud and embattled heritage. This body of music brought recognition and admiration to Górecki's name, and these compositions stand in direct contrast with his avant-garde explorations of the previous decade.

What accounts for the composer's sudden stylistic shift? This paper will demonstrate that Górecki's transition to a simplified spiritual music was prompted by potent personal beliefs awaiting an appropriate time for expression. It will also establish that his music was influenced by a sweeping cultural current that defined the decade for many Polish artists, including fellow composers Krzystof Penderecki (b. 1933) and Wojciech Kilar (b. 1932). Artists of a younger generation, such as the renowned poet and essayist Adam Zagajewski (b. 1945), were likewise inspired by this cultural shift. The origin of this current will be isolated and discussed in the context of Poland's socio-political environment. This atmosphere reveals Poland's struggle against the imposed influence of neighboring powers. Finally, the presentation will address the complex dilemma that faced many Polish artists, who experienced the challenges of developing a uniquely "Polish" aesthetic in a war-ravaged nation with continually shifting physical boundaries.

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La ética de contar en La multitud errante de Laura Restrepo

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Abstract:

The paper, written and to be presented in Spanish, examines the link between literature and history with respect to the role of literature in resisting historical amnesia and recuperating the collective memory of a people. Through *La multitud errante*, Colombian writer Laura Restrepo creates a narrative space as much between fact and fiction as between past and present. The novel focuses on the historical period known as *la Violencia* (1946-1965), the elusive title given to the longest and most destructive civil war in Colombian history that is estimated to have left between 100,000 and 300,000 people dead[1], and the actual consequence of forced internal displacement of its citizens. The novel fluctuates between the traumatic past of *la Violencia* and the equally traumatic present-day situation that millions of displaced Colombians find themselves in.

Through the use of narrative strategies such as changing focalization, the implied author exposes the victims' point of view, often pitting their silenced stories against the official version of events. A sympathetic listener, the narrator acts as an enabler for the telling of stories, creating a space for the victims to speak and let their voices be heard. This act of converting traumatic memories into coherent narratives has a cathartic effect on the victims for, as they give shape to the traumatic event, they establish more control over their recalling[2]. By asking questions and prompting the telling of the narratives, the narrator invites the characters to confront their past traumas, ultimately helping them move away from the past and giving them a chance to live once again in the present.

Like the editor of a testimonial novel, the implied author of *La multitude errante* becomes a spokesperson for the victims, compiling their various stories into one text with the goal of exposing a larger audience—the reading public—to the "victim's tale"[3] . The writing has a practical implication: to share Colombia's often-forgotten History with the reading public. By doing do, the implied author fights against the historical amnesia that clouds the understanding of the actual crisis of ongoing violence and displacement in Colombia. From this perspective, the text itself can be seen as a literary-historic archive requiring reflection as much from its Colombian as from its non-Colombian audience.

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[1] Sánchez, Gonzalo. "La Violencia in Colombia: New Research, New Questions." *Hispanic American Historical Review* 65.4 (1985): 789-807.

[2] Brison, Susan J. "Trauma narratives and the Remaking of the Self." *Acts of Memory: Cultural Recall in the Present*. Mieke Bal, Jonathan Crewe & Leo Spitzer (Eds.) Hannover and London: University press of New England, 1999. 39-54.

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Submission for the Proceedings of the Third Annual Hawaii International Conference on Arts and Humanities

Cultural Velocity: Design of the Low Rider Museum

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Abstract

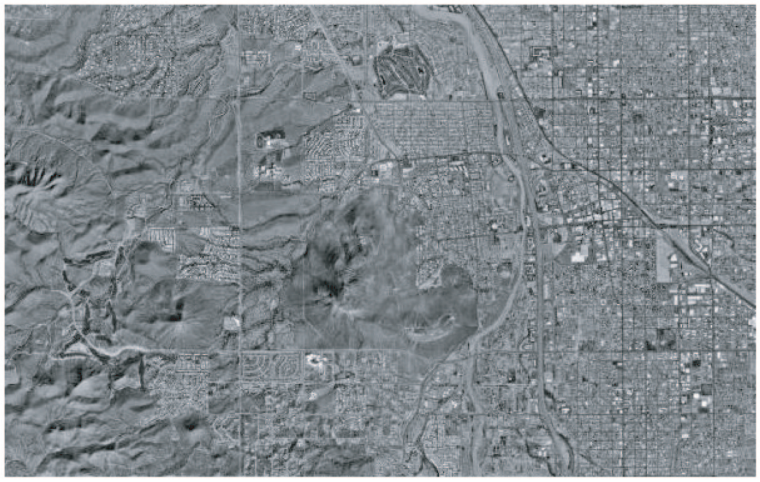
This paper is an interdisciplinary project across the disciplines of Architecture and Anthropology that discusses the design evolution of a proposed Low Rider Museum (LRM) in Tucson, Arizona, USA. It specifically analyzes the spatial implications of low riders-focusing on concepts of motion, performance and active participation in cultural construction. The LRM is an attempt to understand the spatial framework and historic evolution of this urban event. The low rider's cruise is an urban phenomenon that redefines cities throughout the Southwest United States and formulates a redefinition of traditional public space, a space of motion, and interaction.

Lowrider Musuem Concept Image

Historically, the low rider is linked to linked to Chicano culture and most often defined as a manifestation of those who trace an ancestry into the depths of Mesoamerica. Yet Chicano is a term of hybridity and the very nature of such a cultural affiliation has a tendency to permeate beyond tightly defined categorization and national boundaries. Low riders have history. There is nostalgia in some people's views of low riders, there are traditions in many individual iterations of low riding, and there are certainly those who merely collect and related ephemera as cultural artifacts. But low riding is defined by the act of creating and driving rather than solely serving a history or the places from which specific historical events may have arose. Thus, this paper argues for an architectural response to a cultural identity based on the velocity of participation. It is an analysis of low riding as performance through vehicular dwelling.

From Automobile and Image to Museum

world map



aerial-south Tucson

The Low Rider Museum (LRM) is a conceptual design for a large, public space in Tucson, Arizona, USA devoted to a vibrant subset of the automotive public. However, it is intended to function quite apart from the static preservation and encased display of the unique vehicle or the precious piece of automobilia. The LRM is intended to be a museum of interaction. Its design is based on the recognition of low riding as an expressive cultural phenomenon in which individuals actively negotiate their identities and affiliations. It is designed to facilitate rather than preserve. Object and artifact are intended to spur social intercourse between visitors. Thus, the LRM is conceived of in operational terms. Studying the plans or maquettes of a structure reveals much about programmatic functioning. The visual delineation of space allows for an understanding how people will move through a built environment. This paper is meant to accompany and expand upon such work. It is a device through which we can come to know how design reflects culture. It is a study of how the active processes of low riding can be formulated within the boundaries of a museum. This paper sets the terms for how design does more than simply reflect the act of low riding. It chronicles an interdisciplinary collaboration between its authors and highlights the creative acts of an Architect and the observational actions of an Anthropologist.

The motor vehicle has, over the century of its existence, clearly cemented its place as one of the most pervasive shapers of the physical and social landscape. It has rendered world-wide changes in social organization, settlement, and public policy. It has played a leading role in the redefinition of urban and domestic conditions of space in locales as diverse as strip malls to attached garages found in most sub-urban tract homes. The automobile plainly dominates both the culture and most of the landscape of the United States. The sheer mass and thorough complexity of both the vehicle and the roadway defies most to see individual scale in either's production. But this does not deny the fact that there are tangible constants to the structures upon which nearly all automobiles operate and inherent limitations on the features of any particular vehicle's chassis. Moreover, cars and roads are designed by individual hands. The automobile is far from a monolithic presence. The operation of a motor vehicle is much more than a series of simple choices concerning the expediency of travel between any two points. Carmella Padilla (1999:16) is not alone in observing that, although the need for transportation is a fundamental enough reason for ever owning an automobile, "few escape the consideration of image." Such considerations concern not only how a vehicle is driven, but also to how it is purchased, how it is constructed, how it cared for, and, even, how it simply appears. Nora Donnelly (2000:49) has observed that these individual actions-separately and taken as a whole-allow for individuals themselves to exist and be identified within a milieu, "usually associated with an automobile manufacturer, not a specific person." The presence of the individual indicates to us that

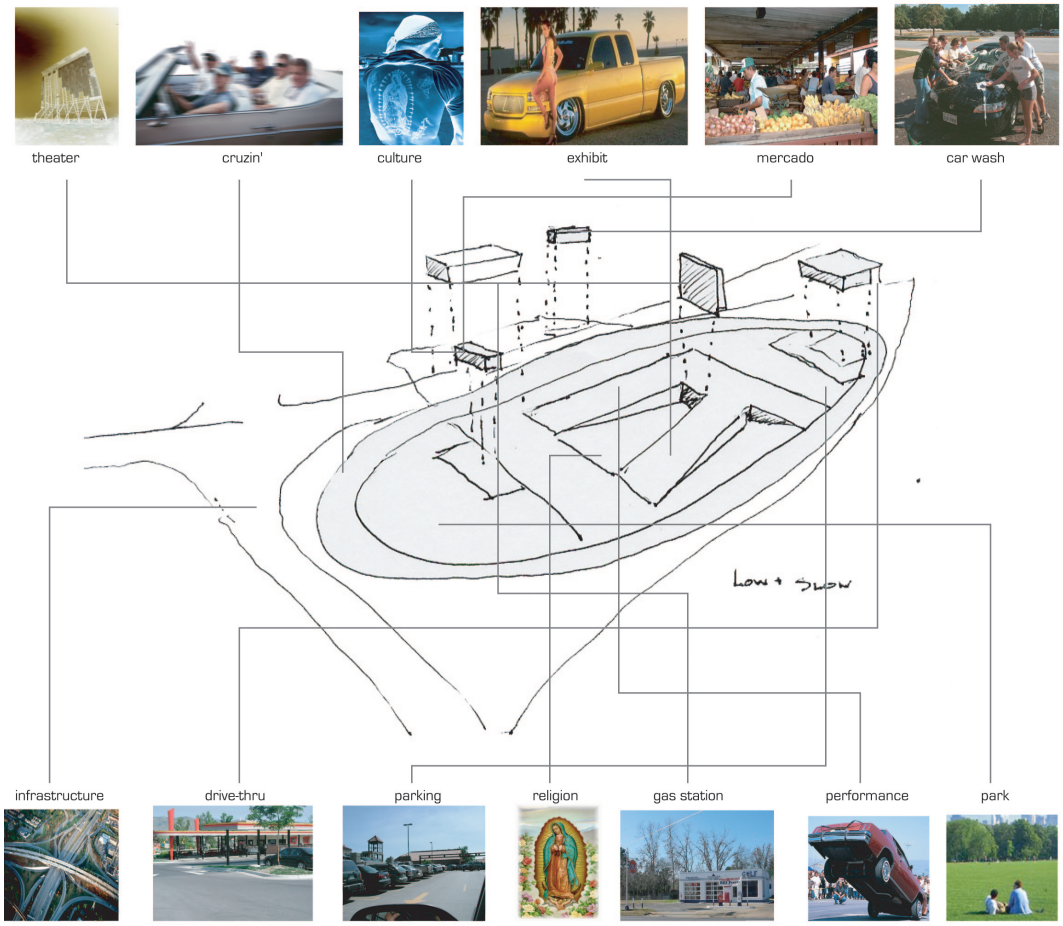
identity is open for formulation within an automotive habitus. The world automotive is thus a window through which we can come to understand (and, eventually, act upon an understanding of via design) the ways in which people orient and organize themselves.

Low riders are one way in which individuals are able to construct a larger, group identity based on their relationship with the automobile. Car culture ethnographer Ben Chappell (2000:1) defines a low rider as a style of customized motor vehicle characterized at the basic level by the lowering a vehicle's suspension so that the chassis sits especially close to the ground. Over the years this effect has been achieved through different methods including smaller than average tires, actually cutting or replacing springs and coils, and modified frames. These vehicles are often fitted with hydraulic suspensions which allow the car to adjust in height at will, even to 'hop' up and down on command. Low riders most often have elaborately constructed, lush interiors and baroquely painted bodies that can include intricate designs, murals, and glossy and metallic, even gaudy, colors. They are stylistically similar to Thomas Wolfe's (1965:68) "Baroque Modern" custom cars of the 1960's. They are clearly aligned with the brilliant and high intensity piling on and patterning known as rasquachismo, which relates to uniquely working class Mexican and Mexican American origins (Gaspar De Alba 1998:11-13). The classic low rider is built from a large, American-made sedan-a 1930's Dodge, a '57 Chevy, a mid-'60's Impala or Galaxie, a late-'70's or early-'80's Monte Carlo. But newer vehicles, Japanese and European compacts, and pickups and vans of nearly every vintage and make have been utilized. The basic concept of low riding has been extended beyond motor vehicles themselves and customized; lowered bicycles are common enough to warrant their own nationally distributed magazine.

But, as Ben Chappell (2000:1) is quick to note, low riders are also defined by the context in which the vehicle operates. These cars provide the impetus for car clubs, social and familial relationships, and opportunities to exhibit cultural connections and individual skills of mechanics and customization. Low riders, however, are not meant just to be constructed-they are meant to be driven. They are meant to cruise and be seen cruising. The cruise is an act of self definition and a representation to both the public at large and to individuals in specific. Low riders are most often associated with Chicanos from the Southwestern United States-stretching from Texas to Southern California. Some scholars (Chappell 2000, 2002) see low riding as a particular manifestation of Mexican Americans in urban environments like San Antonio and Los Angeles. Others (Padilla 1999) find a massive low rider presence in rural areas like those around Espanola, New Mexico. Chicanos themselves form a significant and visible population within the Southwestern United States and trace ancestral affinity even further South, into Mexico. These cultures share a web of historical links and individuals that sort out their own history have, like the moving vehicles themselves, cultural velocity.

The Low Rider Museum is conceived of, in response to this velocity, in terms of cultural practice. It is meant to explain something about a large segment of the population of the Southwestern United States through their expressive relationship with the automobile. The museum, as a structure, is unique because it explicitly attempts to enact a context much wider than that experienced by any individual designer. Those working in museums are well aware that the peoples behind the artifacts they exhibit have rights to define their own cultural values and the processes through which their patrimonies are preserved, displayed and interpreted (Barthel 1996:26). James Clifford (1997:213) is but one to acknowledge that, "it is inadequate to portray museums as collections of universal culture, repositories of uncontested value, sites of progress, discovery, and the accumulation of human, scientific, or national patrimonies." Museums are not collections, but rather act as contact zones or a, "locally controlled place in the broader public culture, while speaking within particular communities and to a wider array of audiences." (Clifford 1997:213-214) Museums are not merely rows of sealed display cases. Rather places in which different groups and individuals can actively negotiate each with other about their definition, geographic boundaries, traditions and historical trajectories. The LRM

is intended to be a space in which individuals can negotiate their concepts of Chicano culture and see how particular manifestations-particular vehicles and particular cruises-fit into historical and geographic trends in low riding style and identity. Thus, it is requisite to bring forth a pair of notions: the hybridity inherent in both low riding and the Chicano culture of which it is most often a manifestation; and the motion and velocity inherent in the act of low riding. These concepts are descriptors of people and set the stage for their architecture.



program diagram and sketch

Design for the Hybrid

The choices of owning and operating an automobile are linked to image and, thus, they are also allied to both individual and group identity. Driving is a proclamation of how one defines oneself within the larger world. Brenda Jo Bright (2000:41) observes that Chicanos, and to a lesser extent some groups of Blacks and Whites, use their low riders and their cruising as public statements of their aspirations and affections. These cars are similar to Chicano uses of murals to demarcate space, gain recognition and make explicit statements about their status within American culture

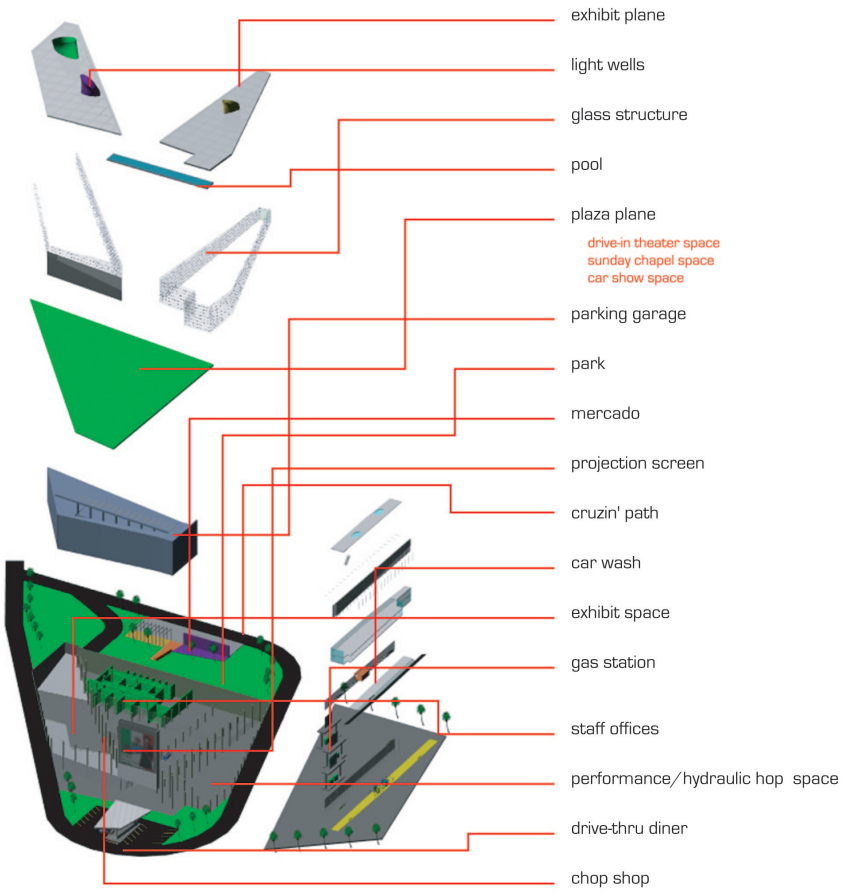
Likewise, the concept of Chicano itself is rooted in hybridity. Chicano is a derivation that identifies one as being both simultaneously American and Mexican, and, at times, neither Mexican nor American. Mexican itself rises from mestizo-the biological and social links across the divide between Spanish colonialists and the Indians in Mesoamerica beginning in the Contact Era (Gutierrez 2001:291). Mexican independence abolished racial classification in legal documents in 1821 (Gutierrez 2001:296) and the Mexican revolution of the 1910's spurred attempts to unite the country behind a shared experience of revolt instead of the terminology of ancestry. Neither ended racism nor the practice of racial classification and stereotyping, but both buttressed the hybridity of the Chicano. Ben Chappell (2002:3) places the formative Chicano low riders themselves at the crux of identity politics. The Los Angelino Mexican Americans of the 1930's and '40's, the Pachucos in Zoot suits, first started driving

low riders (crudely achieving the low slung look by placing weight in the trunks of their cars) and acting the ways they did precisely because they hoped to break with prior cultural constructions of the Mexican American. The first low riders, those one today might term traditional, were in fact attempting to break and remold traditions. The semiotics of identity reveals the concentric circles and overlaps of a Venn diagram of affiliation and ancestry. Hispanic is an overarching term with an extremely broad internal diversity-Chicano, Pachuco, Latino, Latin American, Paisano, Americano, Hispano, etc…-that reflects a wide range of New World/Spanish/Native American biological roots and multi-hemispherical spread (Gaspar De Alba 1998:26-27). All are mestizo, but not all are mixed in the same ways-and this is just the Mexican side of a Mexican American equation..

Scholars Gaspar De Alba (1998:10, 41) and Goldman (1990:169) situate Chicano culture through individual acts carried out in opposition to a greater, hegemonic American culture. Chicanos are seen by these scholars as unified into a group because of their shared experiences vis-à-vis a dominant culture that constantly threatens to overwhelm them. However, Ben Chappell (2000:15-16), in his studies of low riders in San Antonio and Austin, Texas, finds evidence to the contrary. For him, it is erroneous to label either low riding or Chicano identities themselves as wholly defined by opposition. These vehicles aren't necessarily just a resource used by a subaltern group to resist the mainstream. Some of what low riding is about is generated from growing, post civil rights era, middle class Chicano populations that share attributes and aspirations with other thoroughly American middle class groups. Some of what low riding does firmly entrenches people in American culture. Chappell (2000:15) notes that, "the problem with low riders as 'resistance' is that they construct and display a Mexican American identity which is not squarely opposed to all Anglo, middle class values, nor altogether in line with them." Twentieth and twenty-first century Low riders and Chicanos can be complicit in the creation of American culture. One need only to look at the subject matter of many of the murals painted on low riders to find evidence of such. Ben Chappell (2002:7) catalogs images of the Dallas Cowboys football team (also known as 'America's Team'), platinum selling 1990's recording artists Tupac Shakur and Selena, and quintessential mid-20th century Americans John Wayne and Marilyn Monroe. Rueben Ortiz Torres (2000:37) succinctly sums up low riders as baroquely painted cathedrals on wheels, but notes that alongside Jesus and the Virgin of Guadalupe one is apt to find the pop culture santos of the Teenage Mutant Ninja Turtles, Bart Simpson, leprechauns, and Warner Bros. cartoons. Brenda Jo Bright (2000:41) explains the significance of car murals portraying the Riddler from Batman and the Nightmare on Elm Street's Freddy Krueger by a low rider that enjoys them for what they are, not in opposition to their character's portrayals in mainstream, Hollywood movies. There have been significant backlashes against a perceived commercialization and mainstreaming of low riding that could well be separating it from the authentic and traditional (see Plascensia 1983). But, again, Ben Chappell (2000:2) explains that such searches for a pure identity are contrary not only to the current notions of studying culture, but to low riding's essential hybridity as Mexican American. It is activity that thrives within the American milieu. Rueben Ortiz Torres (2000:37) explains, "as any aficionado of the culture can tell you, low riding is as American as a burrito from Taco Bell."
Such hybridity defies a singular geography as much as it defies a singular biology or nationalism. Chicano identity and low riding broach the urban and rural. They cross the geographic borders Southwestern while still maintaining themselves. Roots of low riding have been situated in particular places, but the authenticity of place is not essential in a hybrid existence. Low riding may have roots in the urban landscape of Los Angeles and many (Chappell 2000, 2002; Torres 2000) identify low riding as an integral to a Chicano identity in major American metropolitan areas like Houston and San Antonio. The boulevard, after all, is paved. But it is significant to also note the long presence of low riders in smaller cities and decidedly rural environs like Espanola, Chimayo, and Cordova New Mexico-with their respective populations of 9688, 2924, and 700 citizens (Rand McNally and Company 2004:133). Low riders assert a hybridity in their ability to cross back and forth between the urban and the rural. Carmella Padilla's (1999:10) travels with low riders are telling because she follows

as they, “leave the highway asphalt for the dusty village road.” Similarly, the fact that the identity of low riding has been formulated around people associated with the Southwest hasn’t precluded development outside strict geographic boundaries. Consider that the United States is the El Norte to Mexico. Denver sits along the Front Range of the Central Rockies, not the Southern Rocky Mountains that snake around Espanola. San Jose and San Jose State University are in Northern, not Southern California. Western Europe and Japan are not even in the same hemisphere as the Americas. Yet each of these places has hosted significant historical events that shaped low rider culture and each continues to facilitate vibrant low riding communities. Low riding can exist apart from the ground of unique origin.

The mercado or market may be the most significant way in which the LRM’s design reflects low rider diversety. The market space can be viewed as a version of Mexico City’s Zocalo or any number of smaller urban plazas throughout Mexico and the Southwestern United States. These are a public commons in which people not only participate in park-like activities familiar across the United States (playing with children, courting, simply sitting and watching the urban environment), but also engage in commerce or demonstrate political presence. As such, they are integral to the formation of social and political communities. Some scholars have traced the low rider’s cruise to the paseo or traditional public walk around such spaces (Chappell 2000:6-7). However, others disagree with the necessity to find a specific link to only the traditional when cruising (at quicker speeds) is just pervasive in other automotive performance cultures-consider hot-rodding or motorcycling (Chappell 2000:6-7). The design of the LRM reflects a decision to respond to this debate with the hybridity of low riding itself. The initial link to the plaza and paseo is suggested, but not forced on the activities held within. Activites may, but need not fully, mirror what unfolds on the Zocalo or plaza. Neither the architecture nor the activities to be held therein are replicas or recreations. Moreover, the LRM offers up a complete range of cultural ephemera that allows the act of low riding to reflect the full lives and complex identity of low riders themselves. A conscious choice was made to incorporate commerce and souvenirs into the fabric of the site. The mercado as gift shop is not an add-on or afterthought in this design. Commerce and consumption are given due recognition in the active negotiation of culture within the museum because of their important role outside it. The range of artifacts offered up for sale reflects the spread of low riding as an identity that extends beyond the vehicle. The architecture reacts accordingly. The LRM acknowledges the inherent attractions of



exploded axonmetric/program outline

the physical presence of the souvenir and the acts of shopping and consumption as active processes in the negotiation of identity (Barthel 1996:128, 135). Items of both American and Mexican origin and souvenirs from different geographic regions of both countries will be available in the market. Negotiation of culture will occur at the points of searching out, purchasing, arranging and stocking. The mercado allows for the interplay between American and Mexican, between the commercial and tradition, and between the old and new, that is a constant in the hybrid expression of culture.

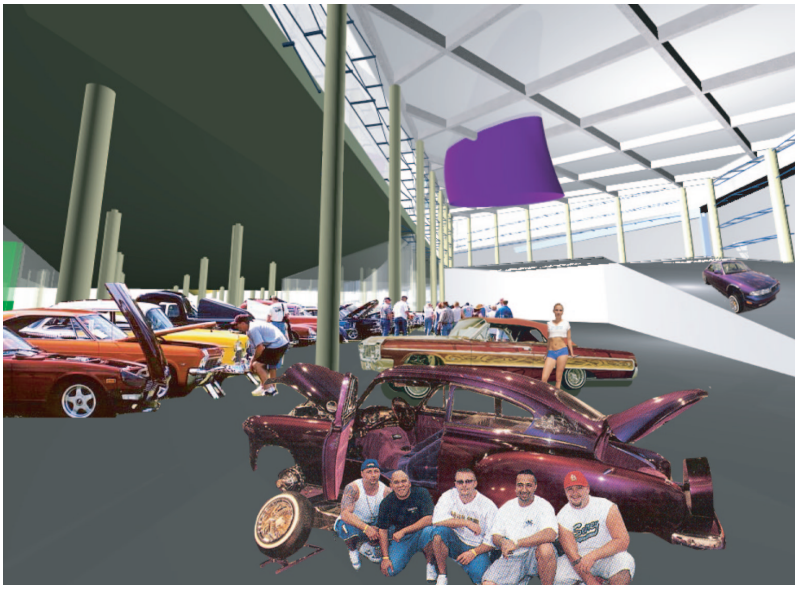
mercado

drive-in theater

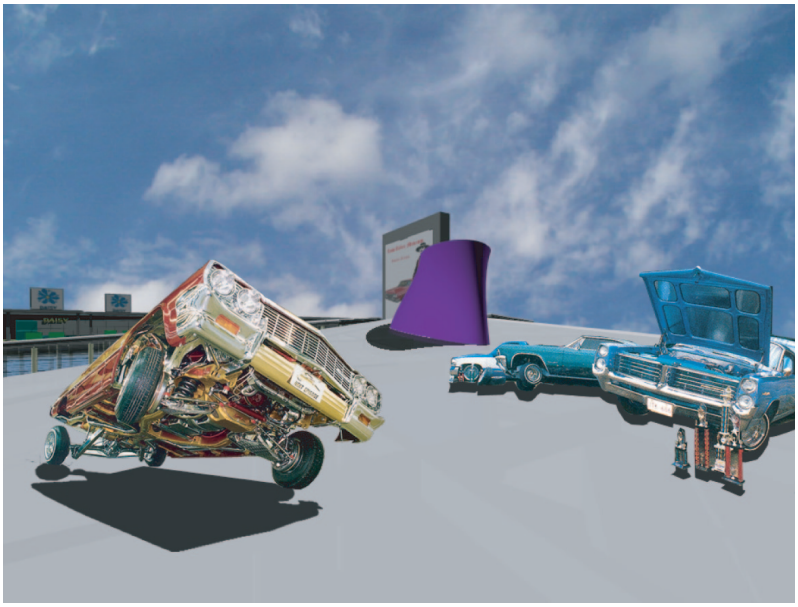
Design for Cultural Performance

The innate hybridity of low riding situates low rider culture outside the boundaries of geography or the forces of history. A hybrid pedigree frees low riding from necessarily conforming to a strict and/or singular root. Instead, it allows individuals to negotiate allegiances to group identity at the point in which they actually take action. This allows low riding to be formulated at the moment in which individuals engage in acts of expressive cultural performance.

Low riders are not without history. They aware, to varying degrees, of those that came before them and those that cruise in like ways in dissimilar places. But they are not confined to defining themselves based on a static place or past. Instead, identity is born of actions within the present-actually constructing, owning, selling, repairing, polishing, caring for, and driving automobiles. Ben Chappell's research (2002:3) shows us that low riding is not located within a past moment of an essential origin (such as the 1930's or any particular neighborhood in Los Angeles). Instead, it is a culture that is continuously and constantly emerging in the performance of low riding itself. A low rider style-in cars, clothes, or patois-may share roots with Chicano muralistic traditions or the gaudy pastiche of rasquachismo. Yet, as Chappell (2000:6) explains, a low rider is not just defined by how it looks, "but also by how it is made and displayed-thus low riding is performance genre in the most literal sense, and identification happens in the process of making and driving a low rider." A low rider's cruise is not the high speed race of a jacked-up and pared-down hot rod (Bright 2000:41). Nonetheless, it is still about velocity; albeit at its particularly low 'n slow pace. Cultural identity is formed through the practiced and paced motion of customizing a vehicle-an act that can take many years-and the slow, determined crawl it makes down the boulevard-a drive meant to give the rest of the world more than enough opportunity to recognize one's presence (Gaspar De Alba 1998:59-60).



gallery interior



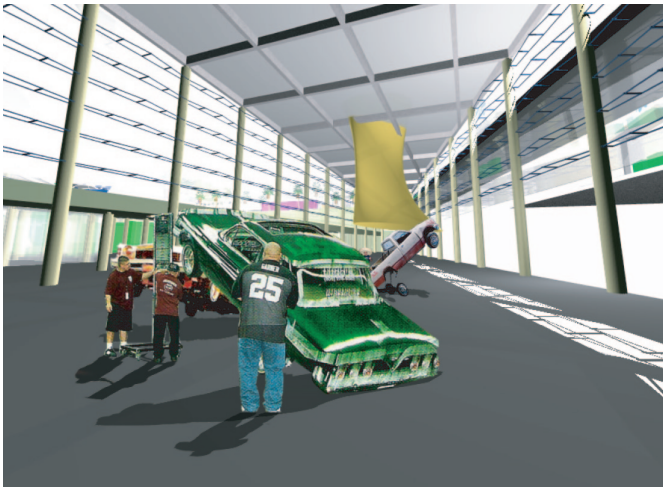
roof top exhibit space

The LRM is thus an attempt to facilitate such a process within the confines of structure. It is designed to allow the velocity requisite for cultural to emerge at the cusp of performance. It is intended to be a place in which things happen. The mercado and consumption is one point of active negotiation. The LRM also tries to allow other social phenomena as well. It aims to capture the process prevalent in places like Espanola, New Mexico (without the necessarily being a replica or reproduction of each and every piece of a place like Espanola, New Mexico) where the "cruise" redefines the urban fabric of the city and attracts outlying rural low riders as a destination in which to be seen and represent. Today the drive-in Sonic restaurants at either end of Espanola's main drag provide terminus points for the cyclic nature of the local automotive experience. Carmella Padilla (1999:9) has chronicled a most basic vehicular interaction-two cars passing in different directions on a road, occupants honking and waving in recognition of the uniqueness of a particular automobile. The LRM provides room to cruise and space to parade vehicles themselves within its program. The site itself is situated alongside major roadways and boulevards in order to preserve motion even when vehicles within the museum come to rest. This type of velocity is to be expected in an architecture of the automobile.

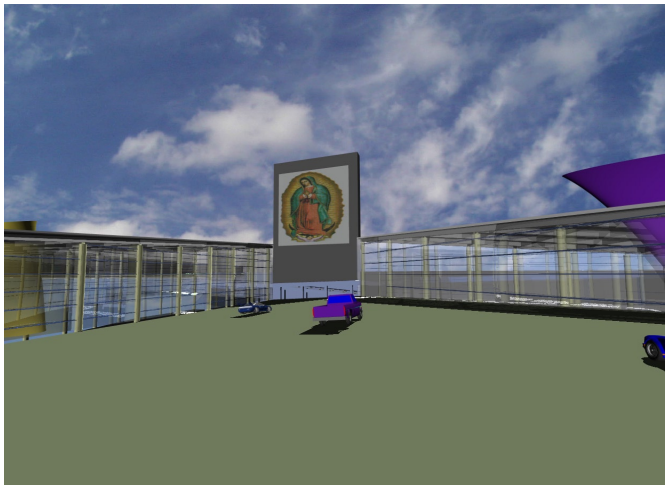
However, along with the passing of moving vehicles there is another, fundamental interaction that occurs when the cars come to a halt. Cars pull into a drive-in, city park, or gas station and stop. Engines are shut down and wheels stop rolling, but by no means do things come to a standstill. Velocity is not lost with the application of the brake pedal. Rather, stopping is akin to the regenerative breaking of a hybrid gas-electric vehicle. Once parked the doors, hoods and trunks are opened to display one's technical mastery. Hand held controls, resembling video game joysticks, allow hydraulic suspensions to hop and bounce stationary cars. Pedestrians congregate and move from vehicle to vehicle-to compare with what they drive, to admire skillful production and to aspire to what they may one day do or own. The essentially individual act of driving (there are many passengers, but there can only be one driver per car at any given time) is replaced by group interaction and group identity as pedestrian motion complements the automotive.

The route includes the cruise, but it encompasses other motion as well. The Sonic drive-ins provide central locations for the more pedestrian oriented social interactions that are essential to Espanola's homegrown low riding. The Low Rider Museum recognizes this duality by providing both vehicular and

pedestrian spaces. The program of the LRM integrates elements of park and plaza with drive-in and car wash. Events are scheduled to produce a unique interactive experience for all users who visit. The visitor who does not own a low rider or actively participate in low rider culture at other times is able to begin with, and then branch off from, the acts of looking and comparing. Museum goers may have noted or admired a passing or parked low rider in their everyday lives, but here visitors are not merely walking from vehicle to vehicles as they would traverse a series of parking spaces. Cars at the museum are not meant to be simply cased in locked and hermetic displays. The LRM allows visitors to inspect things in closer detail, to touch, and to manipulate. An open and inviting door beckons them to sit on crushed velvet seats, run their fingers across a chain link steering wheel, gaze through an open window and interact from the inside out. A car wash in which they are able to run their hands over a vehicle's intimate curves and angles and brighten and buff a seven coat, metal flake paint job is a powerful experience for any visitor. These are complete body introductions to a vehicle and full negotiations of identity. Such activities give the visitor a vocabulary with which to understand, and perhaps discuss, low riding. In this design actualization is a by-product of action. The performance of cruising is buttressed by the active motions involved in the entirety of the automobile experience. Culture is allowed to be formulated through dual programs that each entails velocity.



performance/hydraulic hop space


drive-in chapel

The Low Rider Museum is intended to serve as a destination in the performance instead of a reflection of the cruise taking place on some other boulevard. It is meant to be the parking lot where individuals open doors and hoods to negotiate culture anew. Thus it is freed from the search to display an unattainable authentic root or Ur-artifact that doom many a preservationist project (Barthel 1996:7-9). This is possible because low riding is to be generated in a space specific to hybrid performance. The LRM is a destination for visitors wanting to let low riding itself unfold. It is not merely a commemoration or preservation of past events in which both artifacts-cars, fetishes, food-and definitions-of Chicano, American, Mexican, rural, urban, and Southwestern-are either elevated up to the status of monument or glassed in as artifact. Rather, following the observations of Cornelius Holtorf (1997:50-51) about personal and cultural memory, the LRM is recognition that, "memory is being constructed in the present rather than retrieved from storage in an archive that was filled in the past." Visitors on their way to and those in attendance at the LRM will constitute both the low riders themselves and others merely exhibiting interest in the culture. The museum is a place where participation allows individuals in both groups to negotiate identity amongst and between themselves. The automobile has redefined the built environment over the last 100 years. The LRM is meant to ride this wave and let one part of automotive culture continue. The LRM is not intended to encapsulate culture. Its architecture is arranged not merely to display, but rather to allow low riders-both the people and the cars-to emerge.to encapsulate culture. Its architecture is arranged not merely to display, but rather to allow low riders-both the people and the cars-to emerge.

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Mass media as a Spanish -American character

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Mass media as a Spanish -American character

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The present work analyzes the use of the language of the mass media as a voice within the narrated story in selected contemporary Spanish-American texts. This voice allows contrasted points of view that produce the polyphony of the text. Therefore, I will study the use of the mass communication language as an artistic expression. When the language of the mass media is structurally deconstructed it is no longer only expressing the news, but a position in front of the conflict. The mass communication language would then occupy an artistic space. I will concentrate on the Latin-American texts of Elena Poniatowska with her testimonial novel Hasta no verte Jesús mío (Until I see you my Jesus) (1969) and the play of Maruxa Vilalta Esta noche juntos amándonos tanto (Tonight together, loving us so much) (1970), which demonstrate and/or exemplify artistically how the use of mass communication would present an alternative in the construction of a new narrative. Finally, this work will be accompanied by one of the video productions written and directed by the author of this study, Jandy X.A. Castillo-Gálvez, Alzar Vuelo (Taking Off) (2001), which supports and legitimizes the objectives of this research.

This study, based on the theories of: Boris Uspensky, Graciela Kings, Yuri Lotman, Michael Foucault, Stanley Baran and the critiques of Jerry Hoeg and Alexander Susti among others, analyzes how an artistic text can use the speech of the mass media as a language beyond the persuasive. Therefore, the mass media could become a voice which when it is deconstructed creates an impact in the mind of the receivers. This voice will allow one to find alternatives that originate ways of expression and open avenues for the development of marginalized or silenced voices that could be subjects of an oppressive system.

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Title of Paper: New Criticism and Old Politics: Forming the Early American Canon

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New Criticism and Old Politics: Forming the Early American Canon

When F.O. Matthiessen and Granville Hicks showcased highly individual, rough-hewn writers in their respective literary histories American Renaissance (1941) and The Great Tradition (1933), their teachers may have been apprehensive. Well-known "elders" like Bliss Perry, Henry Van Dyke, and Randolph Bourne probably wondered how anyone using the typically refined aesthetic methodology of the day could produce an appreciation for rugged American writers like Jack London, Henry Thoreau, and Walt Whitman. These "new" American voices had been discussed by the older critics, but their qualified interpretations arose out of mostly Arnoldian genteel convictions and simple philological facts. Hicks and Matthiessen disobeyed these practices and teachers, reconsidered aesthetics and history in light of a new, democratic America, and "essentially reversed the dominant ideological and cultural thinking of the twenties and thirties" (Jehlen 1986:2).

Of course, the same transposition ironically later happened to the Hicks and Matthiessen

collections. Their students (and some of their contemporaries), who would eventually almost all become known as New Critics, once again "reinvented" the American canon through a more textually intense aesthetic methodology. By contrast, then, even though Hicks and Matthiessen generated an even-handed approach to aesthetics and politics, many students considered their practices too political, too sociological. As this New Critical generation's interpretations of American authors quickly gained popularity due to their emphasis on symbol, technique, and "close readings," Hicks and Matthiessen's works were briefly down-graded to useful but limited social critiques.[1]

The reversals among canonical observers do not end there; we are presently in the middle of another turn. In the minds of many today, the New Critical theory that unseated these two writers actually ended up inscribing them. The current literary myth has it that Hicks and Matthiessen, but especially Matthiessen, now deserve to be placed in the same category as their conquerors.[2] As the rethinking has proceeded, both writers have wrongly gained reputations as myopic, unfair, and hurtfully exclusive critics. Inaccurately interpreting him as a New Critic, for example, some contemporary readers now surprisingly often write of Matthiessen as an apolitical thinker who naively sought an "impersonal ideal of order" with a "canon-forming monumentality" (Crews 71). This sentiment, which has yet to be completely overcome, supposes that Matthiessen's "elitism of taste" helped develop an exclusive Formalist aesthetic that led to a mostly white male "consensus" method of thinking that has, until only very recently, remained the dominant force of American criticism (Crews 81).

My argument begins by challenging that perception through an examination of reputation. Contrary to their legacy, Matthiessen and Hicks, but especially Matthiessen, endorse a more or less balanced appreciation for politics and art in their early texts.[3] Primarily maintaining that Matthiessen's

critical theories vitally blend ideology and aesthetics, I claim that a reevaluation of reputation will also disclose an idealism at the core of their canons. I will then broaden this insight into a discussion of American idealism and canon philosophy in general.[4] To that end I will bring in Coleridge, a critic from whom Matthiessen largely modelled his own beliefs and whose works suggest useful fundamental "polar" principles beneath canonical evaluations. Matthiessen applauds Coleridge's dialectical theories because they ground his belief in both aesthetic and ideological interpretations, approaches that define America's diverse literary canon as a hybrid: a Romantic political enterprise.[5] Thus, by specifically weighing the interaction of aesthetics, politics, and history in the context of Hicks and Matthiessen's literary reputations, I will propose a Romantic conflict-model of canonicity that, in terms of today's politically sensitive investigations, justifies the canon's healthy diversity. Such a model reminds one not only that canonicity is eclectic but at its most profound level also exists through the universal and ideal conflict between aesthetics and ideology. To begin, I want to consider in more detail how the reputations of Matthiessen and Hicks affect the American canon.

Current editorial judgment suggests that literary historians like Matthiessen and Hicks should not be used as positive models for a discussion regarding contemporary canonical issues. Nina Baym, for one, has famously asserted that Matthiessen and the New Critics were actually to blame for turning the concerns of literary excellence into a narrowly defined "universal male psyche" (139). Overlooking issues of race, class, and gender, these critics wrote by way of a "universalism" that produced a version of the 'ol boys network: "a consensus criticism of the consensus" (Baym 129). Offering a similar assessment in claiming today's New Historicism revolt is "against the ahistoricism of the preceding generation's consensus," Donald Pease also seems to induct Matthiessen into the ranks of the New Critics (21). Myra

Jehlen makes the same troubling generalization by claiming Matthiessen recasts the political into the aesthetic to create a "separate literary frame of reference," hence sidelining history by way of a New Critical maneuver ("Introduction" 2-3).

Over time, then, a legend has grown that implies Matthiessen would not be the best model for today's ideological debates; instead, he is generally viewed as only an early prototype for a discredited New Criticism. Supposedly his universal and disinterested formalism short-changed history and politics. Such statements, however, reflect a limited vision. Charles Feidelson tried to counter this narrow perception as early as 1953 by reminding his reader that Matthiessen's American Renaissance "in the final analysis" was about democracy and not about an apolitical aesthetics (3-4). But the image and legend of New Criticism remains attached to Matthiessen. As recently as 1981, William Cain, generally a balanced critic, could still at one point declare that Matthiessen's book focussed on "aesthetic theory" and devalued socio-political issues (17).

Matthiessen and Hicks would have been disturbed by these one-sided characterizations. Their literary approaches were very different from each other, of course, but they both depended on an aesthetic imbued with history and politics. Matthiessen, influenced by Eliot and Trilling, was not a New Critic in any conventional sense.[6] Confusion has occurred through exaggerated and sometimes misleading references to his assertion that he wanted American Renaissance to be a literary collection "primarily concerned with what these books were as works of art. . ." (emphasis in original vii). That broken quotation has been so overused that Matthiessen himself "has come to personify the liberal consensus in the minds of its antagonists" (Crews 70). What is often left out of this analysis, though, is the concluding clause from the above quotation: "with evaluating [them through the] fusions of form

and content" (vii). Although something of a cliche', that desire to see form intertwined with content hints at a vital interest in politics and history that Matthiessen takes beyond any strict Formalist or New Critical analysis. Although some believe that Matthiessen's proximity to the New Critics still represents the worse case of canonical judgement (Crews 70), examining how he and Hicks understood their roles as editors and literary historians may alter that perception.

Contrary to the critics cited above, the Hicks-Matthiessen texts themselves confirm that, indeed, these two editors tied their aesthetic evaluations to the social circumstances of a post-World War I America; the next generation's collections, by contrast, were not so emphatically tied.[7] Hicks and Matthiessen, before the New Critical revolution had completely blossomed, attempted to seize American literature in terms of its historical context, thus moving away from the European genteel canon of British refinement that they accepted from critics like Barrett Wendell.[8] Hence, it was precisely Hicks and Matthiessen's non-New Critical stance, their socio-historical contextualizing, from which their students chose to depart. The later popularity of New Critics like Allen Tate and John Ransom, although not the result of an absolute "art for art's sake" philosophy, was enhanced by this contrasting non-literary perception of Matthiessen. The emphasis on a refined European approach made evident in I'll Take My Stand, for example, was what Matthiessen had hoped his work would replace.[9]

According to Hicks and Matthiessen, the "new" democratic America prevented inherited European formal aesthetic appreciations from ever becoming exclusively exoticized by a decadent "art for art's sake" philosophy. Their choice of authors arose through an admittedly tenuous criterion of supposedly universal merit but it did so in conjunction with America's particular historical concerns. Narrow, biased, and inequitable, their editorial methodology would never survive today. And yet, as

unfair as it was, the inequities related to their methodology did not arise out of rigid taxonomies erected to keep ideology out of aesthetics; instead, aesthetics and ideology were defined in relation to each other, not as inviolable categories to be independently embraced or rejected.

In other words, Hicks and Matthiessen produced an unfair sampling of America's varied cultures not because of flawed New Critical theories that emphasized a universal, ideal aesthetic and unjustly discriminated against the disempowered; rather, their decision not to consider equitable social representation as a central tenet of literary criticism unfolded from a contrary principle. They felt that any overt effort towards the creation of literary equality would unfairly delimit aesthetic judgements. That is, the literature within their collections becomes representative of a nation only as a by-product of the relationship between aesthetic form and specific socio-historical conditions. For example, Hawthorne "fell short of the first rank of greatness" not because he needed to be more artful, urbane, or aesthetically devoted to his art as a European literary aesthete might desire, but because of "his inability to come to terms with his generation" (Hicks 6). "American writers" achieved "order, form, and significance" through recognizing "the significance of the materials," that is, their socio-historical conditions (Hicks 302-3). Literary excellence occurred when one was both a "representative American" and "an artist" (Hicks 6).

Early in American Renaissance, Matthiessen notes how this partnership between history and aesthetics structures his editorial decisions:

> Both our historical writing and our criticism have been greatly enriched during the past twenty years by the breaking down of arbitrary divisions between them [i.e., history and aesthetics], by the critic's realization of the necessity to master what he could of historical

> discipline, by the historian's desire to extend his domain from politics to general culture [i.e., aesthetics]. (ix-x)

Organizing permeable connotative fields rather than a single denotative binary, Hicks and Matthiessen presented ideology and aesthetics as the tangled threads of a single spool. Given such a knotted partnership, it follows that they held no nostalgia or utopian dreams for a golden theory of pure literary evaluation. Their comments on the received, constructed definitions of aesthetics and history, brief as they may be, provide a vital starting ground for examining the dynamics of canonicity. Indeed, a revisionary look at this dialectic under today's renewed interest in difference, class, and ethnicity illustrates how literary evaluations can usefully implicate idealism with ideology, form with politics, and aesthetics with history. A recognition of this Romantic approach is, once again, needed to invigorate and justify America's diverse literary canon. After all, as George Levine notes in a recent book, "very little work has been done on the problem" of how aesthetics and ideology relate (emphasis in original 9).

Even as Hicks and Matthiessen remained more or less committed to Shelley's ambition to codify the "record of the best and happiest moments of the best and happiest minds," they forged their aesthetic judgements with an ideology imbued in social awareness. And yet, this is not to imply that they began by seeking social fairness in their literary representations. When Hicks dethroned Holmes, Lowell, Longfellow, and Whittier to make room for Whitman, Twain, Jewett, and Garland, it had nothing ostensibly to do with justice, equality, or fairness. The supplanted writers were banished because all of them were unrepresentative of a post-war America; they evinced past, not current ideals. Calling not upon a nation being built, but on "aspects of America that, by virtue of their picturesqueness, could be

most easily associated with the European traditions in which [they were] so absorbed" (Hicks 12), these displaced writers belonged to a different ideology, a different time and place. They could no longer be memorialized as spokespersons for this new nation in transition. Each group of writers excelled; however, only one group correctly mirrored the ideological-aesthetic character of America as Hicks saw it.

Wrestling with social representation in this fashion, however, was still not enough. Matthiessen, for his part, added universalism to the blend by evaluating his writers "in accordance with the enduring requirements for great art" and "form" (xi). He did this while remembering, as Hicks had remembered, to consider "enduring requirements" not as a rigid value but as an aesthetic struggle with the pressures of history. A critic's canon is not just a historical representation but an example of history colliding with a formal aesthetics. Hicks pictured this clash as an "organic body of fundamental ideas that the great critic cultivates with the aid of the imagination, of the soil of study and experience." Moreover, such disinterest must tangle with the expression of "the peculiar conditions under which American writers were working." Thus, disinterested aesthetic concerns continually confront a "treatment of politics" and the interested "activities of American life" (17). Until very recently, critics seemed to naturally endorse this approach by Matthiessen and Hicks. That is, most critics have generally accepted some sort of mixture between universalism and historical forces. Scholars distinguished literary works through an "enduring" value contrasted with social representation, an strategy which had always guided the play of culture and history into an unending but valuable debate over the ideal definition of "universal merit." Times change. That once vigorous debate has all but died.

A central cause of this demise is, of course, the move from formalism to cultural studies. But

why must one approach replace the other? Rather than see how form is implicated in cultural interpretations, many critics are abandoning formal concerns altogether. By not honoring the discourse of formalism, the political debate regarding literature suffers. Levine notes this tendency when he describes the prevalent atmosphere in many English departments:

> The job of the critic is not to study literature but to study culture - a disciplinary responsibility hitherto assigned to anthropology. With some very well known exceptions, most critics either deny that literature is a definable category of discourse or are inclined to believe that exclusive study of it is complicity with unattractive political and social positions. (2)

At least on one level, the reasons for such a change in English departments also seem uncomplicated. Numerous commentators have pointed out that, of course, the supposed idealism within such terms like "universal merit" or "disinterested aesthetics" is actually just another disguised ideology. Dangerous all the more because of its deception, the idealism of aesthetic disinterest has actually, in the minds of many, crippled the canon's potential. Consider this argument in terms of the Hicks and Matthiessen collections. Woefully limited in breadth, their choices are examples not of a healthy mix of art and history but of a canonical praxis that has suppressed ethnicity, class, and gender. Since real diversity appears to be a casualty of Hicks and Matthiessen's formalism, should one not cheer the current ideological suppression of aesthetics? I am anxious about such a celebration, especially if the party is founded on the advocacy, as I have noted, for unilateral ideological interpretations that replace aesthetic concerns.

Today's grand swing from the aesthetic to the ideological, this age-old generational reversal,

should surprise no one. It serves as a paradigm for the dynamic and impermanent status of canons. We have come to expect these literary quarrels between parents and their children; indeed, the American canon flourishes within such a perpetual crisis of identity. And yet, even as the canon periodically does shrink and expand to make room for the bright to defeat the tarnished, the specific social and literary conditions surrounding each reassessment are never exactly the same. In fact, because of a heightened concern over social and cultural difference, our current version of this familiar story is justifiably receiving a closer than usual examination.

Privileging social fairness over aesthetic contestations accents one of the reasons for the climbing popularity of ideological readings. The combined influence of New Historicism, cultural studies, and pragmaticism sways the American canon towards ideological interpretations and away from Hicks and Matthiessen's efforts to mix the socio-political with the aesthetic. Although the more or less balanced readings these two critics achieved were once hailed as exciting, their approach now appears endangered. Contrary to their desires to contrast history with aesthetics, current critical work on the formal qualities of art seldom productively struggles with ideological interests in, for example, how power is distributed in society. Even though this political shift towards exclusively ideological readings is largely an accepted matter, it produces other problems. For one, it indirectly silences a certain idealism inherent in aesthetics.

Indeed, the authentic struggles between a universal aesthetics and particular ideologies, struggles that Hicks and Matthiessen recognize and represent, reveal a necessary utopian idealism within canonicity. Consider this clash in relation to the ancient battle between art and history; this heritage of a "timeless" conflict offers a similar discourse of idealism that has always constituted, and should

continue to constitute, an internal principle of canonicity.

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NOTES

1. It is this "political" interpretation that has Matthiessen thought of as the father of American Studies. As Jonathan Arac notes, "both as Harvard professor and as a private citizen, [Matthiessen] was widely and visibly active in the leftist politics of the 1930s and 1940s" (90). This is the image fostered by the New Critics: Matthiessen as someone more interested in determining "the essential character of American life" than exploring the aesthetics of a work" (Dickstein 137). Matthiessen himself contributed to this view by his cautionary note regarding the New Critical methods: ". . . its devices and strategies and semantic exercises, can become as pedantic as any other set of terms if they are not handled as the means to fresh discoveries but as counters in a stale game" (19).

2. In this current twist, Matthiessen is considered not a sociological critic but a New Critic. For this interpretation, his identity is formed by the apolitical poetics of the time. Matthiessen, in this group-think approach, would be categorized with all critics from the 30s, 40s, and 50s. Since the dominant tendency during this "age" was New Critical thinking, Matthiessen and Hicks must also have been some sort of New Critics.

Of course, Hicks is more usefully thought of as a Marxist critic. I link him with Matthiessen here in that he is also often wrongly accused of just being narrow-minded, as being <u>only</u> a political critic, in the same manner that Matthiessen is seen as being <u>only</u> an early New Critic.

3. Throughout this paper I will be conflating ideology, history, and politics as crucial terms for the cultural interpretation of literature. For my purposes, they are all examples of the mediated and interested notions that reveal how social processes affect our thoughts and imaginations. My effort in combining them is not to suggest that they are transparent, non-problematical terms. I hope, instead, to show how they share an interest in signification that is routinely expressed in largely material, economic, and physical ways.

By contrast, an ideological vocabulary partly intrigues, as it has for generations, due to its classic opposition to the vocabulary of aesthetics. In aesthetics, of course, we have the contrasting and largely mythical terms like immediacy, disinterest, immaterialism, and translucence. Although this recognition is old news, my concern is in discovering how this ancient clash takes on a renewed pertinence given the goals of an inclusive multicultural canon. As roughly demonstrated by Hicks and Matthiessen, this clash can provide explicit vigor for a canon highlighting both diversity <u>and</u> excellence.

4. My use of "ideal" and "idealism" will become more nuanced as I proceed. For now I only want to hint that the social utopian implications of Coleridge's Neo-Platonic aesthetic theories play an integral role in canonicity. I will soon show how.

5. Matthiessen concluded American Renaissance by stating that a great writer fulfills "what Coleridge held to be the major function of the artist: he brought the whole soul of man into activity" (656).

6. Contrary to the popularized opinions, Ruland (210-11) and White (482-3) are examples of a few critics who do recognize a distance between New Criticism and Matthiessen. For a more carefully arranged argument on this subject see Cain, especially (17-42).

7. If anything, America's literary critics in the mid to late 30s were more political than aesthetic in their leanings. In writing about that time, Trilling remembers that "'everyone' was involved in radical politics in one degree or another. . . ." This was a time when Edmund Wilson was asking the intelligentsia to consider joining the Communist Party: "the progressives or liberals - should take Communism away from the Communists" (qtd. in Chace 47).

8. Although Morris Dickstein's Double Agent: The Critic and Society gives only a popularized account of pre-World War I criticism in America, he does accurately reflect my point:

> In book after book, starting with V.L. Parrington's Main Currents of American Thought (1927-30), Constance Rourke's American Humor (1931), and F.O. Matthiessen's American Renaissance (1941), critics and historians set out to determine the essential character of American life. Avoiding the diagnostic, polemical vein of Spingarn, Santayana, Mencken, Brooks, and Mumford, they set out to construct a central core of American masterpieces that would differ strikingly from the canon of the genteel critics and their radical successors. (137)

Wendell claims in his Literary History of America (1900) that it "was almost an admission, in a great many words, that there is no American literature" (qtd. in Ruland x). Of course, other critics, like Vernon Parrington, had already countered that view. And it is true that Matthiessen wanted his collection to be more aesthetic that Parrington's; however, Matthiessen never considered using a purely "belletristic" (ix), European approach which might subvert the historical or ideological.

9. I'll Take My Stand: The South and the Agrarian Tradition, By Twelve Southerners, introduction by Louis D. Rubin, Jr., New York: Harper Torchbook, 1962, originally published 1930.

LYNN CAZABON
HAWAII INTERNATIONAL CONFERENCE ON ARTS AND HUMANITIES, 2005
PAPER PRESENTATION

1. TITLE: **Marseille/Baltimore: meditations on technology and the image of self**

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6. ABSTRACT:

The topic of this paper presentation is a bi-lingual, community-based, multi-media documentary project comparing attitudes towards the technology people use everyday but rarely stop to consider, titled Marseille/Baltimore. The presentation will cover a variety of aspects of the development of the project and will display brief video clips to serve as examples. There will be particular focus given to the responses given by the various participants interviewed for the project, drawing attention to cultural and social differences among the responses, as well as discussing how the term “technology” is variously defined within the project. Marseille/Baltimore was literally created by the people of these two port cities of similar size and spirit, one French and one American, via videotaped conversations. The project engages the communities of these cities on a number of levels, reaching groups of people who might not otherwise visit an exhibition of contemporary art nor have the opportunity to communicate directly in such a venue. The project solicits the thoughts and opinions of these participants on the subject of technology, giving voice to a community of people through alternate forms of media. Marseille/Baltimore consists of interviews stored as a database of digital videos in which the person is asked to discuss a technological object of particular importance to them and accompanying still photographic images of the chosen object. The interviews always take place in the person’s home or in a place intimately involved in their lives; the result is a moving portrait of the person via the object they choose and the role it plays in their lives. A wide range of age, racial, ethnic, educational, and economic backgrounds are present within the group of participants, representing the diversity of individuals of each city. The project draws attention to how these demographic factors relate to a person’s access to and attitudes towards technology. In the Baltimore segment for example, a diverse group of residents of the city are participants, including many African-Americans and those living on the east side of the city, many of whom are recent immigrants from Latin America. At the conclusion of this project, 50 interviews will be chosen (25 from each city), ranging in length from 2 to 30 mins for the exhibition. Because of the scale and collective nature of the project, Marseille/Baltimore is intended for display in an installation format with consideration towards creating an atmosphere of cultural and social exchange. Marseille/Baltimore began in the fall of 2003 under a fellowship from the Camargo Foundation in Cassis, France and is scheduled for exhibition in Baltimore in March 2005. An exhibition will also take place in Marseille, France at a later date.

The philosophy and psychology of G. I. Gurdjieff

By

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ABSTRACT

Georges I. Gurdjieff and the ideas he brought to the Western hemisphere have been little studied in any academic discipline areas. Yet Gurdjieff was a person who obviously had acquired a great deal of knowledge, and in his teaching there is much of potential interest to discipline areas such as psychology, philosophy, religious studies and even the sciences. In his early adult life he embarked on a quest to find the "truth" about life on earth and the meaning of existence. His search led him to what he claimed to be ancient sources of knowledge - knowledge that had been handed down orally as well as in symbolic and other codified and written forms. This knowledge forms the basis of Gurdjieff's teaching which has both a "psychological" or practical side, and a "cosmological" side to it. Many of the ideas in his teaching have parallels with, and in some cases exactly prefigure some of the concepts and theories that have been developed in contemporary academic psychology. This paper outlines some of the chief ideas of Gurdjieff's teaching, and examines some of their resonances in terms of the form which they have taken in contemporary academic and applied psychology.

Locating Identity: Notions of Homeland in Armenian Diasporan Literature and Film

Although Armenian diasporas have existed throughout history as a result of destabilizing forces in the homeland, the contemporary dispersion of the Armenian people can be traced to the massacres of 1894-96, under Ottoman rule, followed by the genocide of 1915. Most of the survivors of both these catastrophic events in Eastern Anatolia found refuge in Middle Eastern countries such as Syria, Lebanon, Egypt, and Iran, while others moved further west to Europe, and some to the Americas. Political upheavals in the Middle Eastern countries and Soviet Armenia caused yet another wave of migration to North and South America in the twenty-five years after 1965.

Therefore for Armenians, the notion of homeland is complex, because its referent varies in both time and space in each individual case. Through the presentation of three papers, each discussing a diaspora different in terms of its relation to homeland, this panel seeks to examine the evolution of the concept of a diasporan identity towards a transnational one in modern works of Armenian diasporan literature and film. The papers will explore the role of memory and the imagination in constructing an identity in the peripheries of the multiple centers, often unified in the Armenian collective memory as one homeland.

"Crisis of Survival: Absence of Memory in French Armenian Literature between the Wars"

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During the last four decades, Armenians of the diaspora have been very vocal in the political arena in demanding a just recognition of the genocide that has created their exilic existence. Outraged by the Turkish government's continuous denial of recognition and in a desperate attempt to gather evidence against the growing number of revisionist historical texts, Armenians have also developed a tendency to glorify literature and art that contain descriptions of the horrors of genocide or triumphs of survival. Often overlooked when looking at Armenian genocide literature is a short-lived period of post-genocide literary activity that had made little overt connections with the event of the past, and yet can be thought to have had a testimonial function.

From the late 1920s to the 1940s, France became home for many Armenian intellectuals and writers who had survived the genocide and its deportations, and had made their way to the growing community of Armenians in Paris. For a period of two decades, Paris served as a center of Armenian intellectual life in the diaspora, and produced an explosion of literary groups, journals and novels. Written by survivors of the genocide, the literature of this period contains very little overt connections to the past. Memory of the traumatic experience or nostalgia for a homeland lost is absent from the texts. My paper proposes that in spite of the lack of an explicit genocide memory in these texts, literature of this period can be read as a testimonial of the trauma in its aftermath through the very repression of genocide memory and the inability to locate losses. I believe that aftermath experience, as both a trace of historical trauma as well as the revivification of that traumatic past, can refer to the trauma without explicitly describing it. Therefore, the trauma of the aftermath can be mediated indirectly, through the use of indexical (figurative) representation.

Hratch Zardaryan's novel *Mer Gyanke*, [*Our Life*] (1934) and Zareh Orbuni's novella *Pordze*, [*The Attempt*] (1934) both capture the melancholia, a symptom which symbolizes the presence of trauma in the period of aftermath, for mourning and working through are not yet possible. The display of the symptoms of melancholia in these works illustrate the inability of the central characters (as well as of the authors they parallel) to deal with the trauma, locate losses and envision a possible future in a new home. These inabilities come to characterize the crisis of survival in the aftermath of the genocide and in the wake of a new diasporan identity.

"Re-establishing Space: Simulated Homelands in Armenian Diasporan Literature"

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Hakob Karapents and Vahe Berberian represent a complex group of Armenian- American writers dealing with issues of identity construction and separation from homeland. Their portrayals of homeland are complicated as they incorporate two dimensions: the characters' birthplace and historical Armenian lands. The characters in Karapents' Book of Adam and Berberian's Letters from Zaatar try to recreate an Armenia of their past by establishing both literal and metaphorical "spaces" associated with their homeland. I will examine various characters' attempted evocation of Armenian-ness in the United States through their choices of occupation, their activities in the work environment, and their struggles with identity.

My paper will focus on Karapents's and Berberian's novels in relation to theories by Jean Baudrillard and other post-modern thinkers dealing with simulation and the loss of meaning within simulated worlds. Baudrillard centers his theories on commercialism and mass production; however, his reflections on the disappearance of the signifier and the defining power of the signified expand the application of such theories and make it relevant to many situations in Armenian diasporan texts. I will argue that the initial cause and meaning of living and working as Armenians in the diaspora is lost, as Armenian-ness is reduced to a malleable essence which can no longer be defined. The ability and eagerness to simulate a lost Armenia prevents one from creating his own history and ironically leads to both a plethora and devaluation of meaning within the given environment. Signs and references to the homeland are essential to these characters' survival and well-being in the United States. These signs, paired with a continuous separation from other nationalities, provide the characters with a sense of achievement and connection to the past, maintaining a seemingly constant tie with the homeland despite their physical separation from it.

"The Cinema of Atom Egoyan: Affirming the Transnational Armenian Identity"

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Coming to terms with identity remains a core issue for contemporary Armenian diasporan artists, such as Canadian director Atom Egoyan. In two of his films, *Calendar* and *Ararat*, myths and symbols play an integral role in shaping the uniquely Armenian component of the characters' transnational identities. In *Ararat* the body of stories and memories associated with the Genocide become the individual's source for placing him/herself in the present and coming to terms with that present. In a similar vein, the myths associated with Armenian monuments serve as the key to understanding oneself in *Calendar*. Moreover, in both these films the symbol of the homeland, whether Eastern Turkey or the Republic of Armenia, and the individual character's perceptions of other symbols (national, pagan, Armenian Orthodox) associated with the homeland determine the extent to which the diasporan character maintains a continually evolving transnational Armenian identity.

In presenting the shared symbols and myths of the Armenians in the diaspora, Egoyan also suggests a degree of unity within the diaspora, regardless of the particular place from which its subsets stem. This is largely made possible through a series of transferences between media (for example, photograph to painting; diary to film). Thus, human generated transpositions (conversations, stories, images), be they between individuals or between objects, become the natural source for forging the identity through national myth and symbols.

1. Title of the submission

What Forces that Shape and Retain the Beijing Courtyard Houses?

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What Forces that Shape and Retain the Beijing Courtyard Houses?

Abstract

The type of courtyard house, as found within the Inner City of Beijing, is a well-developed Chinese housing typology. All houses in this area share a homogeneous pattern and texture in form and spatial layout. Particularly, certain distinguishing features can be easily identified across houses. This paper explains: (1) the outstanding features found in almost all courtyard houses in the city of Beijing, as well as in other cities across China, (2) the reasons why these features were preserved for more than two thousand years, (3) the socio-cultural driving forces that have maintained these features historically, and (4) the challenges they now face. It is hoped that this paper will attract some public attention regarding the conservation of this piece of historical and cultural heritage in China.

1. Introduction

The fundamental type of residence in China is courtyard housing. The concept can be traced at least to the Han Dynasty[1],[2] from 206 BC to 220 AD, and may have appeared earlier. Archaeological discoveries suggest the courtyard concept may have been developed as early as the Shang Dynasty (1766 BC to 1211 BC) or Zhou Dynasty (1211 BC to 255 BC). The Shang Dynasty is the earliest dynasty for which reliable historical evidence exists. Anything earlier than 1766 BC must necessarily be a matter of some speculation, as there are no physical records from that period. In Shanxi Province, however, artifacts from an ancient courtyard house have been found that date from before the Zhou Dynasty[3],[4]. Thus, it is possible that the courtyard type of housing was created well before 255 BC.

Courtyard housing can be categorized as a building complex with structures on four sides and an open court in the middle. Many forces have shaped the hierarchical arrangement of these houses (described later), including cultural convention, clansmanship, social status, and the art of placement (feng shui). After centuries of mixed influences by these forces, sets of rich symbolic icons have become associated with the form.

Beijing is renowned for the fine craftsmanship of its courtyard houses. Having served as the national capital first during the Jin Dynasty (1115-1234 AD), and later during the Yuan (1271-1368), Ming (1368-1644) and Qing (1644-1911) dynasties as well as today, the city has had the power and resources to recruit the most highly skilled craftsmen and obtain the finest building materials, while also offering the highest standard of living in China. Over the centuries, Beijing has become the cultural, political and economic center of the country.

Now, after nearly eight hundred years of more gradual evolution, the city is challenged by rapid modernization and urbanization. The traditional type of courtyard housing is disappearing in the new, internationalized metropolitan environment. In response, urban planners and scholars are working hard to preserve this important element of China's cultural heritage. This article explores the inherent forces that have shaped the development of the traditional courtyard building type, and the dilemma it faces now.

2. Examples of courtyard houses

The very first known example of courtyard housing was found in Shanxi Province. According to archaeological data, it may have been built in the Western Zhou Dynasty (1027-771 BC). Figure 1 shows a proposed reconstruction of the house, based on information derived from the Chinese-language version of "Courtyard Houses in Beijing"[5]. This example illustrates three common features— central axis, symmetry, and public/private living zone arrangements—reflected in the architectural form.

The second example is an existing quadrangle courtyard house in Beijing (see Figure 2). Built in the late Qing Dynasty, around 1900 to 1910[6], it has been well maintained and currently is used as a nursing school. In this example, similar features of strong central axis, symmetry, and public/private living quarters are repeated in the layout. Interestingly, these features can be found in almost all courtyard

houses in Beijing. Thus, they are recognized as the direct, visible factors that shape the courtyard housing type.

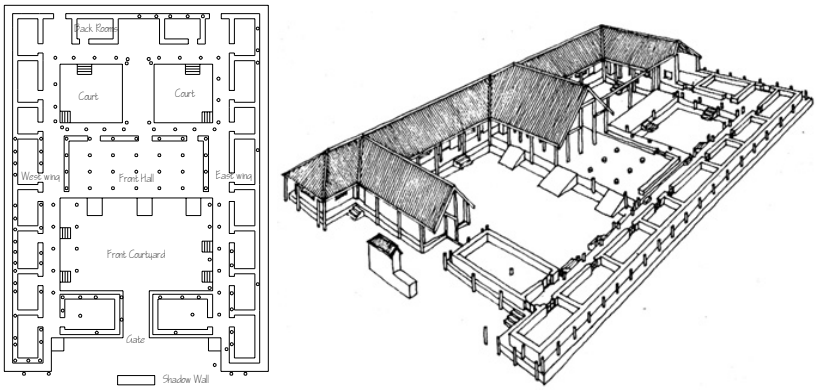

Figure 1. Archeological data and isometric view of a courtyard house probably built in Shang/ Zhou Dynasty. Diagram by Chiu-Shui Chan, Linli Chen and Ying Xiong.

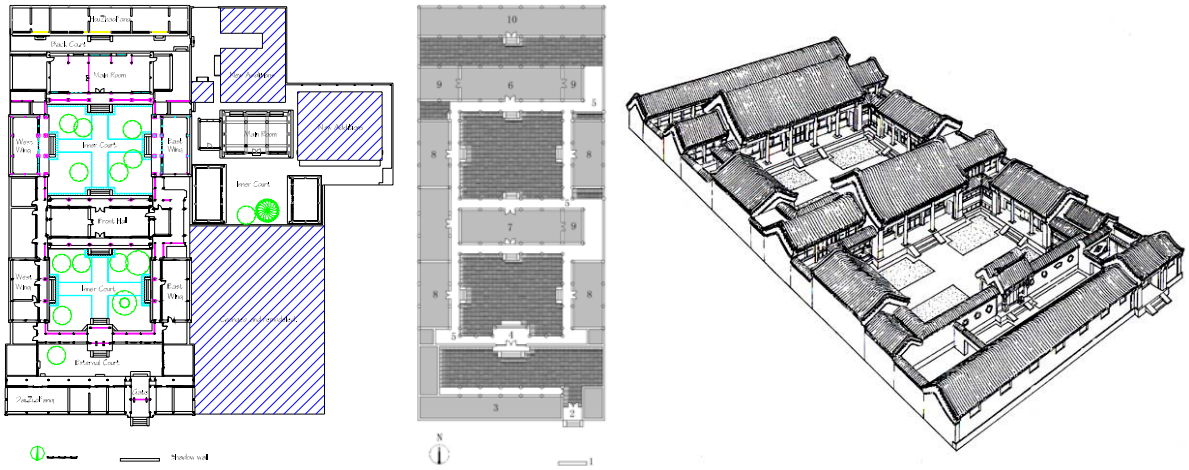

Figure 2. An existing quadrangle courtyard house in Beijing. Diagrams by Chiu-Shui Chan and Ying Xiong. Isometric drawing reprinted from Lu and Wang, p. 31.

3. Typical layouts and forces that create the layout

Four types of courtyard houses are prevalent in Beijing: single (see Figure 3), double (see Figure 4), triple (see Figure 5) and quadrangle courtyards (see Figure 2). The single courtyard is the most basic pattern. The triple courtyard is the standard courtyard in Beijing, whereas the quadrangle or above are complex composition.

The single courtyard house is the basic type used by lower-income families. In it, the middle room on the north side is the main room used by the owner. Most buildings are wood structures. By convention, there are rarely more than three column bays in the main room.

The character of courtyard housing is clearly visible in the double courtyard. It has an entrance court, a front court, and a back court. Once inside the entrance court, accessed through the main gate, visitors are welcomed by a shadow wall with special figures or ornaments engraved on it. Turning left through a circular gate, one finds the front court or “external court,” which is assigned for public use. The

chambers on the south in the external court, called “DauZuoFang,” (reversed-seat rooms) traditionally were used for study, reception, male servants’ dwelling units, or for sundry purposes. In the middle of the north side is another well-decorated gate that leads to the back court or “inner court.” Without permission, guests are not allowed to enter the inner court.

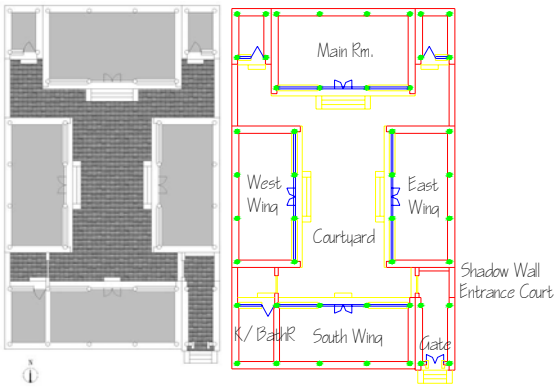

Figure 3. Single-courtyard housing. Diagrams and drawings by Chiu-Shui Chan and Yulin Wang.

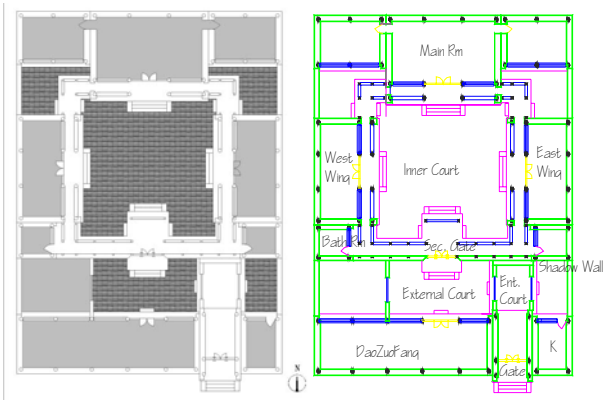

Figure 4. Double courtyard housing. Diagrams and drawings by Chiu-Shui Chan and Linli Chen.

The standard courtyard house in Beijing is the triple courtyard. In a triple-courtyard house, the southern “external court” is the same as other types, located next to the entrance court. Rooms on the south side of the external court are adjacent to the street, used either as housing for male servants, reception area for guests, or classrooms where private tutors taught young members of the owner’s family.

After passing through the well-decorated gate, the middle court or “inner court” is the focal point of the complex. The middle room in the northern wing of the inner court is a prestigious unit occupied by the leader of the family. This middle room has the most beautiful decorations and ornaments made with costly materials. The person of secondary importance in the family uses the rooms in the east wing. By the same token, the rooms in the west wing are for the third-ranking family member.

The northern courtyard of the complex is the back court, which is the least important, private in nature, occupied by daughters, female servants, and/or used as a storage area. Rooms in this court are called HouZhaoFang (back-coop rooms).

In a quadrangle courtyard (see Figure 2), the first court is the same as other types for male servants or guests, the second court is used for the owner’s family meetings or social receptions, the third

court is for private living, and the fourth one is for female servants. The number of courts constructed depends not only on the owner's budget, but also on his social status[7]. High-ranking officials and wealthy businessmen can afford to own quadrangle courtyard housing, and have the privilege to build five wood column bays for the main room. In the Ming Dynasty, regular citizens were not allowed to construct more than three bays. By the Qing Dynasty, the regulations had been relaxed a bit. The higher number of column bays creates a wider façade, provides larger interior space, and represents the higher social status of the owner. In the Inner City of Beijing, certain good city blocks were once allocated by the emperor to his relatives, high-ranking officials in the regime, or to rich businessmen.

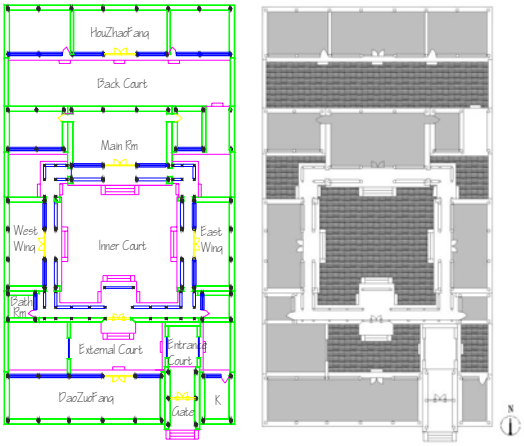

Figure 5. Triple type of courtyard housing. Diagrams and drawings by Chiu-Shui Chan and Linli Chen.

Although the number of courts built in the house may differ from owner to owner and from place to place, the fundamental concepts and principles that shape the spatial arrangements remain unchanged from the Western Zhou Dynasty to the Qing Dynasty. Particularly, the fundamental concepts and principles—single story, central axis, symmetry, functional zoning with a centralized open courtyard, all buildings sitting on a platform with doors and windows opening on the courtyard[8]— appear in most Beijing courtyard houses. Thus, they are considered the dominant features of courtyard houses.

3.1. Central axis and symmetry

All courtyard houses have a very strong spatial layout that comes from the symmetrical design along a central axis[9]. Symmetry, in Chinese philosophy, represents harmony. The axis in the courtyard is established by a symmetrical arrangement of forms, spaces, and steps suggesting linear movement. As a result, a sequence of positive and negative spaces is formed and appears from its integration with surrounding structures.

The longitudinal (north-south) axis is the primary one. The east-west axis is secondary and subordinate. The axial line passes through openings in the walled enclosures under buildings. The whole length of the axis is never revealed at once; it does not present a vista but a succession of varied spaces in a related sequence, each one blocked but visibly leading on to a further stage. Toward the north end is the highest point, where the most important building is located. As Ching[10] indicated, "although imaginary and not visible, an axis is a powerful, dominating, regulating device." Such a feature dominates the two-dimensional courtyard-housing layout for a fairly long period.

3.2. Functional zoning and privacy issues

Chinese culture deeply respects family privacy, and each dwelling is recognized as a guarded territory. Within the territory, there are public and private zones. For example, a courtyard house can be divided into two zones. The public quarter must be placed in the front part, which is the external court; the

private living quarters should be arranged in the inner court to maintain privacy for the family. This arrangement is clearer in the double-, triple-, and quadrangle-courtyard houses. For instance, the front part is the space assigned for conversations, social and public gatherings, tutoring, and male activities, whereas the inner court is for the family's use only and the further north courtyard is for the family's female members.

3.3. Materials and color scheme

Most courtyard houses are a wood structure with a brick wall and tiled roof. The wood structure is regulated by building codes specified in the grammar book "YingZao FaShi," written by Li Jie[11] in 1100 and presented to the emperor. Ever since, all building construction follows these rules. Thus, the building style remains homogenous.

The wall is made of light gray brick and the roof of dark gray tile, which create a homogeneous and peaceful urban fabric. The use of colors in China is based on their traditional meanings[12]. Colors not only represent abstract ideas but also refer to social class structure. For example, yellow is the color of emperors; black is used occasionally for outlining or background. Red is the predominant color for Chinese public buildings to represent happiness and prosperity. Blue, green and other complementary colors are used in detailed decorations. Each part of the structure has its designated color, especially in palace buildings: for instance, the while and blue color of the platform and terrace, the red color of columns, the blue and green of beam brackets and soffits, the yellow or green of the glazed tiled roof.[13]

3.4. Platforms and terraces

Platforms and terraces are important components of Chinese buildings[14]. Their purposes are to protect the wood structure from rain and moisture on the ground and to enhance the grandeur of the building. This concept can be seen in most palaces, monasteries, and temples[15].

4. Forces that guide the features

Ancient and modern examples of courtyard housing share similar layouts and arrangements; two to three thousand years have passed without dramatic changes in the form, except the location of the entrance. The shift of the entrance gate location from the center to the southeast corner, reflected in most of the Beijing houses, is influenced by the concept of the art of placement (feng shui), described later in this article.

In terms of urban context, most courtyard houses built in Beijing share the same pattern. Other courtyard houses throughout the rest of China have similar patterns. Given this similarity in features and form across time and geographic region, it is convincing that there are guiding forces to tie these layouts and forms together for so long in a city. In the following sections, forces that maintain the forms in the courtyard houses are elaborated in brief. However, there also are rich sets of ornaments applied in courtyard houses, which are not discussed in this article.

4.1 Belief in cosmology and Taoism influence the two-dimensional shape

The basic unit of a courtyard house has the form of an enclosed square. In ancient Chinese cosmology, people believed heaven to be round and the earth to be square. Heaven was the father of the people while earth was the mother. The father dominated the climate and had tremendous strength that influenced the harvest. The mother grew food and gave life to all creatures. These notions were also reflected in architectural form. The square platform beneath buildings symbolized the square earth that carried the living. This explains why the basic shape is a square.

In architecture, a space generally can be defined either positively or negatively by its elements[16]. In Chinese architecture, a space is a series of unified and integrated squares that represent a sincere longing to anchor a person in his/her universe. Expressed in physical form, it is enclosed and inward-focusing. Both in the covered indoor space and outdoor open courtyard, space has the unique tendency

to project the human being into heaven. In other words, the Chinese sensual perception of a space is either the emotional projection of self into the unity of space, or the combination of human body and cosmic consciousness[17]. This idea is influenced by the philosophical concept of “unity of heaven and being,” which is generated by Chinese cosmology and Taoism[18].

4.2 Confucianism, feudalism, and clansmanship in social values influence the central axis

The central axis symbolizes power and is the by-product of feudalism to signify law, order and rank[19]. In ancient Chinese culture, ethics is the strict organization of clansmanship that originated from Confucianism. Confucianism advised the populace to respect their emperor; in turn, an emperor was supposed to rule his empire with benevolence. This philosophical development occurred in the Han Dynasty (third century BC to third century AD) and became the propaganda of feudalism. Feudalism secures the superlative position of the ruler, the emperor. The empire is the emperor’s property and will be the heritage of his son and grandson[20].

The organization of ethical relationships covered the standards of human behavior, from emperor to official, father to son, and encompassed brothers, friends, and marriages; this dictated the hierarchical order. In a larger sense, this also governed the attitudes toward recognition of differences in social classes as well as respect between generations. Such an ideology was particularly strictly enforced in the capital city where the emperor lived. Therefore, building designs were governed by the axial arrangements. The thoughts and beliefs rooted in the social values underlying the central axis are one of the factors determining the form.

4.3 Confucianism and clansmanship in family values influence the space allocation

The uses of rooms and occupants of spaces were determined by Confucianism[21] and clansmanship of family ranking and order. In Chinese culture, family rank and order are important conventions, which must be obeyed by everyone, including the emperor, to respect family values. Family rank and order are determined by seniority and gender. For example, the first son in a family has the most important role; the grandfather in a family is the leader of the family group. Thus the grandfather or the eldest male in the family will use the best spot in the courtyard house, usually the middle room in the inner court, which is the tallest building in the complex to show its dominance (see Figure 6).

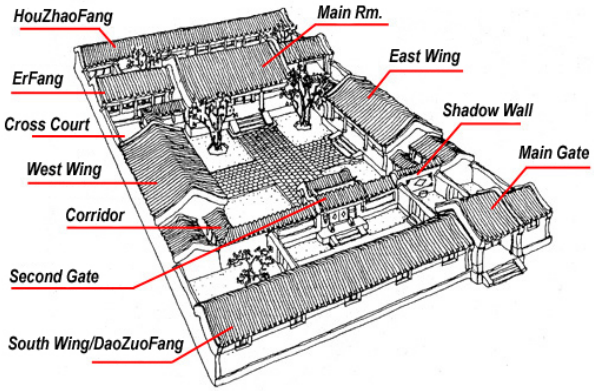

Figure 6. Isometric view of a typical triple-courtyard house. Diagram by Chiu-Shui Chan. Drawing reprinted from Lu and Wang.

4.4 Feng shui influences the location of the entrance

In ancient times, the courtyard dwellings were built according to the traditional concepts of the five elements of metal, wood, water, fire, and earth, which were believed to compose the universe[22]. The main gate of a house was placed at the southeast corner, which was the "wind" corner, and the house was built to face the south with the main building on the north side, which was believed to belong to "water"—an

element to prevent fire. Similarly, the east orientation is assigned to metal, which needs fire to be cast. Thus, the kitchen is located on the east end of the external court to utilize the fires in the kitchen. The concept of five elements originated from Taoism.

Similar concepts appear in feng shui[23], which is an ancient Chinese theory utilized to determine geographical location of a town, village, houses, or buildings. It relates to the correlation between ecology, environment, and the habitants. The theory indicates that the geographical features between mountain and water in nature would yield a certain amount of energy (qi), which benefits habitants. Such energy, if utilized appropriately, could have advantageous results for the dwellers.

One instrument used to measure and evaluate feng shui is the "bagua," which comes from the book of "Yijing"[24],[25]. Bagua (see Figure 7) has eight diagrams of divination, consisting of an arrangement of single and divided lines in eight groups of three lines. These eight diagrams signify auspicious and wicked orientation that would affect the occupants. In feng shui theory, the southeast corner in the bagua diagram is the top auspicious spot that should be used as the orientation particularly for the entrance gate to allow fortune in (see Figure 7).

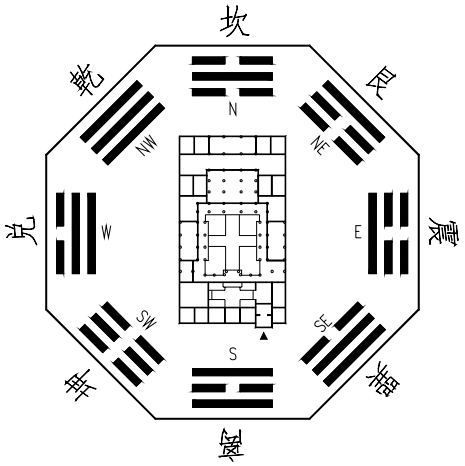

Figure 7. Bagua and the entrance of the courtyard house. Diagrams by Chiu-Shui Chan and Ying Xiong.

The Chinese traditionally also believe that the north-south axis is the best and most fortunate orientation[26]. Therefore, all buildings, which are guided by the central axis spatial layout, would be arranged along the north-south orientation with the main façade facing south. This serves as the design guide. As a result, courtyard houses would have a south orientation with the entrance on the southeast corner. This layout principle dominates the form of a neighborhood, which is called "hutong" in Beijing.

A hutong is an alley that runs east-west. Detailed descriptions of hutong can be found on the Beijingculture.com Web page[27]. All the houses in a hutong are typically arranged according to the same layout principle of southern exposure. For those houses located on the south side of the alley, they would build an access path running in between the units from north to south to obtain the benefit of southern exposure and southeastern entrance gate.

From an urban planning perspective, hutong is the cluster of courtyard houses that constitutes the unit of a neighborhood. Each hutong has a unique name representing the occupations of the residents. According to the old sayings, each hutong has its own well, which is the central place for social and public gathering in the neighborhood.

Figure 8 is a satellite image of the inner city of Beijing taken on February 6, 2002. The vertical main street is North Dongdan Street or Dongdan Bei Da Jian. The blocks on the right side are clusters of various courtyard houses. The horizontal secondary streets are "hutong" running east-west. The width of a hutong is around six to seven meters[28]. The urban fabric among these four hutong areas is very homogeneous and uniform, compared to the modern commercial blocks on the left side of the figure.

Figure 8. Urban fabric visible from the aerial image of hutong on the right side of the main street. Image is from Digital Globe Inc.

4.5 Functions and sustainability

The spatial layouts of courtyard houses were governed by the dominant convention of arranging the dwelling components by status, rank, and privacy. The owner or the senior of the house uses the main room located in the middle of the north wing of the inner court facing south. With prevailing winds coming from southeast in the summer and northwest in the winter, this main room is the best spot that gets the most warm sunshine in the winter and cool breezes in the summer. The rooms on the east wing have late afternoon sunshine from the west, which also are good rooms in the complex.

In the inner court, there are gardens with trees, plants, rocks, or fish tanks. Megranate is a popular tree planted to shade the area from the strong, hot summer sunshine. The tree's red blossoms also mirror the popular building color in Beijing. In terms of sustainability, a courtyard house benefits the most from the environment. This is yet another reason it has remained popular in Beijing for such a long time.

5. Current Challenges

Since 1949, not many typical courtyard houses have been built in Beijing due to the following challenges.

- Cultural changes: The concept of Chinese cosmology is fading. Feudalism was condemned during the Cultural Revolution. However, Chinese people still respect and retain the traditional ethical principles in their family units.

- Family planning and social changes: The one-child policy has changed the family structure. Courtyard housing is not appropriate for a small family. Grandparents now rarely live with their children and grandchildren under the same roof, so there is no demand for a courtyard house in modern Chinese society.

- New technology and changes in building materials: New concrete, brick, and mosaic materials have been used to replace wood and tile. Tiled roofs are rarely used in modern construction.

- Market values: The market value of land in downtown Beijing has increased dramatically due to the high demand for commercial development. Thus, most historical courtyard houses have been torn down for new construction of high-rise buildings to get high volume ratio and high density for good profit. Because of this, it is extremely expensive to build a new courtyard house in the downtown area, and the owner must have special connections to get building permits.

- Beijing planning strategy: From 1949 to 1953, the master plan developed by the city determined all planning strategies. The central concept was to develop Beijing as the political, economic and cultural center[29] of China. For the inner city, where most of the courtyard houses were located, the key strategy was to fully use current facilities and maintain the original street structures to retain the historical appearance. But, due to the past 50 years of rapid population growth, the inner city is being forced to tear down old houses to widen hutongs for increased traffic and put up highrise buildings to increase the building density to improve working, living, and commercial environments.

- Accessibility: All buildings in a courtyard house rest on platforms and terraces. Made from stone, brick, or concrete, the platforms and terraces cause accessibility issues for the physically impaired.

Affected by western architectural education, most architecture schools in China are adopting creative approaches to develop other types of housing. Architectural students learn the concepts of courtyard housing through Chinese history courses. Rarely has courtyard housing been regarded as an exciting project for studio teaching. Architectural design firms have seldom received design commissions for courtyard houses due to the costs involved. (Sources were obtained from conversations with the Beijing Municipal Commission of Urban Planning in Beijing in July 2001.) Therefore, the challenge is to provide incentives to students and firms to pursue the preservation or construction of courtyard housing.

Conclusions

Courtyard housing is the art of architecture in Beijing. It reflects a rich set of imagery appearing in the use of diversified ornaments and details to enrich residents' lifestyle. For elderly residents of Beijing, it demonstrates their pursuit of the best quality of life in a peaceful way to reach eternity between heaven and earth. It also creates an inward-focused universe that is isolated from the public streets. Spiritual inspiration occurs in the center court of the house, which is located in Beijing, the symbolic center of China, which in Chinese cosmology is the center of the universe. The first word (Jong) of the Chinese name for China means the center of the objects or the world, which represents Chinese ideology.

Facing modern challenges of urbanization, commercialization, technological advances and population pressures, courtyard housing is gradually vanishing in urban areas. In Beijing, most of the courtyard houses are torn down in favor of new construction, and the historical value of hutong is disappearing. It is difficult to keep the courtyard houses in downtown Beijing. But it is vital to Beijing's and China's historical and cultural heritage to maintain examples of courtyard housing and hutong. Particularly, courtyard housing is the representative building type in Beijing and the symbol of residential housing in China.

One example of preservation is YingYuTang, which is an old house built around 1800-1835 in Anhui province. This two-story building has symmetrical layouts along a strong central axis with a narrow open court in the middle for sunshine, breeze, and ventilation. Even though it is not an authentic single-story courtyard house with a centered open court, the Peabody Essex Museum in Salem, Massachusetts sponsored a preservation plan to move the entire house from Anhui and re-erected it in the museum. The purpose is to foster global awareness and understanding of Chinese culture[30]. Another example is the preservation strategy for the twenty-five district areas in the northwestern corner of the inner city of Beijing, initiated by the Beijing Municipal Commission of Urban Planning. The authors hope additional efforts to preserve the old city of Beijing will soon be under way.

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house included in this article was done by a site survey class led by Ying Xiong, an associate professor in the Department of Architecture, Beijing Polytechnic University, in the summer of 2002.

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[1] Werner Blaser, *Courtyard House in China, Tradition and Present* (Basel: Birkhauser Verlag, 1979), p. 5.

[2] Michele Pirazolli-t'Serstevens, *Living Architecture, Chinese* (New York: Grosset & Dunlap, 1971), p. 11.

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[10] Francis D.K. Ching, *Architecture: Form, Space & Order* (New York: Van Nostrand Reinhold, 1979), p. 334.

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[17] Chan, *Continuity and Change*, p. 6.

[18] Stephen Little, *Taoism and the Art of China* (Berkeley: University of California Press, 2000), 127-128.

[19] Pirazolli-t'Serstevens, *Living Architecture, Chinese*, 11-12.

[20] Chan, *Continuity and Change*, p. 6.

[21] Almut Bettels, *Traditional Architecture in China* (Wabern: Benteli Verlag, 2002), 122-127.

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[23] Ibid., 23-25.

[24] Ibid., 23-25.

[25] Little, *Taoism and the Art of China*, p, 139.

[26] G. Hale, *The Practical Encyclopedia of Feng Shui* (Anness: Publishing: London, 1999).

[27] See http://www.oldbj.com/bjhutong/bjhutong.htm, Beijingculture.com, 2001.

[28] The concept of hutong was initiated in the Yuan Dynasty. The Emperor regulated the distance between the centers of two hutongs must be 50 steps, and 24, 12, 6 for the width of main streets, minor streets, and hutong respectively. The scale of one step equals 1.54 meters. Thus the width of a building site between hutong is 50-6=44 steps or 67.76 meters. This information was from a book entitled: Xi Jin Zhi by Xiong MengXiang, publiched in Ming Dynasty. Later, Ming and Qing dynasties did follow this concept conventionally. Therefore, the neighborhood layout is standardized and uniformed.

[29] See Guangqi Dong ,Thoughts on Beijing Planning Strategy, (Beijing: Chinese Architectural Industry Publishing Co., 1998), 56-65.

[30] See http://www.pem.org/yinyutang/, Peabody Essex Museum, 2002-2003.

Metaphors Cross-linguistically: Anger in Hindi and English

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Metaphors Cross-linguistically: Anger in Hindi and English

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This paper dissects metaphors of anger in Hindi within the framework of Cognitive Grammar (Langacker 1991; Taylor 2002) and the Contemporary Theory of Metaphor (Lakoff & Johnson 1980; Lakoff 1993) and presents a comparison of metaphors for anger in English. The role of metaphors in language, long underestimated, is showing to be very powerful: they are ubiquitous (Lakoff & Johnson 1980), highly systematic (Lakoff & Johnson 1980) and are proving to be language specific (Kövecses 1986; Yu 1998). Little is known of how metaphors are structured cross-linguistically, although it is clear that they play a leading role in determining degrees of fluency. To date, no documented linguistic work has been conducted on the emotion tropes in Hindi, a language of northern India. This paper will offer an initial foray into the metaphors and metaphorical extensions of the trope of anger in Hindi. This data will then be examined in tandem with comparable metaphor data from English, which is well documented. The metaphors analyzed here have been gathered from Hindi dictionaries, and their validity as commonly used expressions has been verified by multiple native speakers. The metaphors do show to be systematic and different in their focus from English; it is not possible to simply translate from one language to the other word for word. This paper will first discuss how anger is conceptualized and manifests linguistically in Hindi metaphors. It will also argue that Langacker's concept of active zones has explanatory power when examining the similarities and differences in structure and mapping cross-linguistically.

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Metaphors Cross-Linguistically: Anger in Hindi and English

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This paper will examine metaphors for anger in American English and Hindi. The data presented here demonstrate the following findings: the general metaphor of ANGER IS HEAT is relatively stable across the two languages with respect to the sub-metaphors of ANGER IS FIRE and ANGER IS A HOT LIQUID. However, there are many additional differences at the sub-metaphor level and at the level of metaphoric expressions which differ in focus. A number of these can be understood within the culturally different belief structures associated with American English and Hindi.

1. INTRODUCTION.

This paper focuses on the comparison of metaphors[1] in two languages: Hindi and English. This work will attempt to add to the discussion of the cross-linguistic manifestation of metaphors for the emotional state of anger. To date, there is no unified opinion within academia with respect to metaphors, emotions, and the potential role of culture— unanswered still are the questions: *Are emotions similar across cultures? Do languages represent them in the same or similar fashion? Are metaphors for emotions also universal? What, then, does this tell us about possible universals in cognition?* Additionally, no documented linguistic work has been conducted on the emotion tropes in Hindi, an Indo-European language of northern India[2]. This paper will offer an initial foray into the metaphors and metaphorical extensions of the trope of anger in Hindi and will also offer a cross-linguistic comparison with semantically comparable metaphor data from English, which is well documented

[1] The data presented here is from a variety of primary sources. The English data comes from a variety of sources: either introspection on my part as a native American English speaker, or has been gathered (and cited as being) from the growing collection of books and articles on metaphors. The Hindi data was collected during Spring 2004 from a variety of dictionaries, and was verified individually by four native Hindi speakers. The Hindi data is approximately 160 metaphorical expressions large, and cannot reasonably be argued to be an overly minute or specific set of data.

[2] There is debate regarding the status of Hindi as a dialect, equal in status to Urdu, or as an independent language. Hindi uses the Devanagri script, and Urdu uses the Arabic script. Additionally, Hindi is associated with Hindus in India, while Urdu is associated with Muslims in Pakistan. This paper is not trying to establish an opinion on this matter, however, the majority of the informants for this study speak the Delhi dialect of Hindi, which is argued to be more of a Hindi mix with Punjabi. It is not known how many of the metaphoric expressions found here are also found in Urdu dominated areas of Pakistan, or in Hindi speaking areas not influenced by the Punjabi language and culture.

(Sommer & Weiss 1996, Lakoff 1987; 1994, Kövecses 1986; 2000). Emphasis will be placed on examining, in each language, both the underlying conceptual structure of the metaphors and the surface level metaphorical extensions. Additionally, this research will not offer an end to the argument, if its conclusions are accepted. It will simply limit the possible further interpretations of the Lakovian approach with respect to the possible influence of culture. It will also offer an initial foray into a relatively unexplored area: metaphors in Hindi.

2. PAST RESEARCH

2. 1. Background on Metaphors. Current theories have reshaped the definition and role of metaphors in language. Until approximately 1980, metaphors were considered deviations from the literal whose main role was poetic and flowery; pleasing to the reader with images that help to maintain attention (Black 1962). It is now thought, within a growing body of linguists, cognitive scientists and psychologists, that metaphors are ubiquitous in language, and work to shape our conception of the surrounding world (Lakoff & Johnson 1980, Kövecses 1986, Gibbs 1994, Yu 1998). Lakoff and Johnson (1980), who are considered the forbearers of this mindset, argue that metaphors are conceived of as a (partial) mapping between a source and target domain in the form of s*ource is target*. The underlying metaphorical schema is referred to as the **metaphor**[3], and the actual instantiations of the mapping in language are considered **metaphorical expressions**. For example, the following are all English examples of metaphorical expressions found in common speech, with the underlying metaphor in capitals:

(1)		*Metaphorical Expression*	*Metaphor*
	a.	He is getting hot under the collar.	ANGER IS HEAT.
	b.	Her blood ran cold.	FEAR IS COLD.
	c.	She spends her time unwisely.	TIME IS MONEY. (Lakoff: 1994)

[3] The metaphor is differentiated by being in smallcaps, while metaphoric expressions are written with normal conventions.

Within these examples, there is a source (anger, fear, time) and target (heat, cold, money) domain, and the source is mapped onto the target. There are a number of correspondences which are then available to the source, given the entailments of the target. For example, the following shows a possible mapping from source to target within an anger metaphor:

(2) ANGER IS HOT FLUID IN A CONTAINER.

a.	The physical container	→	the angry person's body
b.	The top of the container	→	the rational self of the angry person
c.	The hot fluid inside the container	→	the anger
d.	The degree of fluid head	→	the intensity of anger
e.	The cause of increase in fluid heat	→	the cause of anger (Kövecses 2002:96)

Given the mapping, anger is now describable in all of these terms and is generalized as the metaphor ANGER IS HOT FLUID IN A CONTAINER (and likewise for the other two metaphors). Metaphorical expressions utilizing entailments of the above mappings clearly show the transfer from source to target, as in examples 3(a-j):

(3) AN INCREASE IN ANGER IS A FLUID RISING.

a. His pent-up anger **welled up** inside him
b. She could feel her anger **swelling up**.
c. We got **a rise** out of him.
d. My anger kept **building up**.

INTENSE ANGER PRODUCES STEAM.

e. She got all **steamed up**.
f. I was **fuming**.
g. He's just **blowing off steam**.

INTENSE ANGER PRODUCES PRESSURE.

h. She could barely **contain** her rage.
i. He was **bursting** with anger.
j. I could barely **keep it in** anymore (Kövecses 2002).

Also prevalent in figurative speech is **metonymy**; in which a part is often used to stand for a whole. Within emotions, mentioning a physical aspect which generally accompanies the emotion

evokes the full emotion itself. In the following examples, different sorts of metonyms are used, all to evoke a sense of anger:

(4) a. He got all **red in the face**.
b. He was **hopping** mad.
c. He almost **burst a blood vessel**.
d. He was so mad he **couldn't see straight**.

Lakoff and Johnson have argued that metaphors are shaped by the shared experience of being human and perceiving the world from this perspective, which they call embodiment (1980). Given this shared embodied experience, which they argue that all metaphors draw on and are based upon, it naturally follows that metaphors will be formed with a limited range of variation.

2.2. Problems with this Model. However, it has been argued (and well supported by cross-linguistic evidence—see Yu 1998, Kövecses 1986, Palmer 1999, Alverson 1994) that metaphorical expressions are not universal (Yu 1998). While the underlying conceptual structure of metaphors are based in part on a shared embodiment, which is universal, newer cross-linguistic data shows that the majority of linguistic expressions vary from language to language and, it has been argued, from culture to culture. However, this does not imply that the expressions used in each language are haphazard: it is clear that these partial mappings adhere to a language internal structure.

There has been a call for further work to test the validity of the claims of the Contemporary Theory of Metaphor in diverse languages (e.g. Lakoff and Johnson 1980, Kövecses 1986; 1997, Gibbs 1997). Additionally, assumed, but often left unsaid, is the need, once data have been collected, for comparative work across languages. Emotion tropes are a particularly rich area for metaphors because of the abstract nature of emotions. There is also evidence that culture does interface with

emotion: minimally it can be argued to be worth further study, while stronger "culturalists" would argue that culture serves to create or structure our range of emotions (Quinn 1991).

3. ANGER IN ENGLISH.

3.1. English Anger Metaphors. English, Yu argues (and is supported by Lakoff and Johnson 1980, Lakoff 1987, and Kövecses 1986) has two dominant metaphors for anger that are subsumed under the general metaphor of ANGER IS HEAT. (1998: 50). From each metaphor arise a number of conventional metaphorical expressions which highlight different aspects of the mappings. He posits that anger can be construed as a solid or fluid. The metaphor, represented as a solid, results in:

(1) ANGER IS FIRE

a. *Flames are coming out of his ears.*
b. *You can see fire in his eyes.*
c. *Smoke is coming out of his ears.*
d. *He was incensed over the remark.*
e. *He erupted with anger.*[4]
f. *The fire in his heart couldn't be contained.*
g. *His angry remarks were blistering. (blister is result of burn)*
h. *He's fuming.*

Represented as a fluid, the version of the metaphor is:

(2) ANGER IS A HOT FLUID IN A CONTAINER.

a. *He's boiling over.*
b. *He's steamed.*
c. *He blew his top.*
d. *He flipped his lid.*
e. *He is boiling with anger.*
f. *He is stewing over that last comment.*
g. *He's seething.*

[4] This example could fit in both the fire and hot liquid categories, as lava has fire and is a liquid.

Yu focuses on the above metaphors at the expense of all others. Citing Lakoff (1987), he argues that there is one dominant "most general" cultural metaphor for anger, that of ANGER IS HEAT. I will deviate from his approach. These following examples, though potentially less prolific, are still found in common speech. They are just as valuable—it is difficult to make a cross linguistic comparison of a large set of data if all secondary cases are ignored. The result would be a number of single case scenarios[5] which have no explanation within the proposed thesis. The following metaphors and metaphorical expressions are an attempt to bridge this gap, and allow for more cross-linguistic matches to be made, if realistic and feasible:

(3) ANGER IS BAD WEATHER.
a. *He's in a rage.*
b. *He stormed around.*
c. *He thundered his complaint.*

(4) ANGER IS DESTRUCTION.
a. *He couldn't hold it together.*[6]
b. *He fell apart.*
c. *He's spitting bullets.*
d. *He went to pieces.*
e. *He went ballistic*

(5) ANGER IS INSANITY.
a. *He was insane!*
b. *He went crazy when they lost the game.*

(6) ANGER IS AN OPPONENT.
a. *He fought down his anger.*
b. *He lost control of his anger and started shouting.*
c. *He was wrestling with his anger, and it wore him down.*
d. *The anger won over.*
e. *He couldn't conquer his anger.*

(7) EMOTIONS ARE A CONTAINER.
a. *He's in a fury.*
b. *He's in a rage.*

[5] Often more don't occur to the writer until a realistic generalization or metaphor has been found.
[6] I am not sure whether naming the source (anger) minimalizes the metaphoric reading of 4a and 5a (*He was so angry he couldn't hold it together, He was insane with anger)*. Without naming the source these two definitely have a metaphoric reading which conveys anger. Lakoff and Johnson (1980) see no problem with naming the source in such examples.

c. *He was fierce in his anger.*

(8) ANGER IS A DANGEROUS ANIMAL.
a. *His anger was fierce.*
b. *Don't arouse his temper.*
c. *He unleashed his anger on the innocent bystander.*
d. *His anger is monstrous.*
e. *He tore him up.*
f. *He tore that guy a new a**hole.*
g. *He tore that guy to pieces.*
h. *He bit the guy's head off.*

(9) ANGER IS DOWNWARD MOVEMENT ONTO A SOURCE[7].
a. *The bulk of his anger was brought down on innocent bystanders.*
b. *His anger fell on me.*
c. *I was bowled over by his anger.*
d. *He knocked them to the ground with his anger.*

While this is not a comprehensive list, it does increase the range of possible metaphors drastically.

3.2. English Anger Metonymy. The following metonymic expressions are found in English:

(10) Heat 10 (a-d) / Increased Internal Pressure (10e, 10f)
a. *He's hot under the collar.*
b. *His face is flushed*
c. *Don't work yourself into a sweat.*
d. *He needs to cool down.*[8]
e. *Don't have an ulcer!*
f. *Take a deep breath.*

(11) Vision/Eyesight
a. *He was so angry he couldn't see straight.*
b. *His eyes clouded in anger.*

(12) Color—Red
a. *He was so angry his face turned red.*
b. *He saw red.*

[7] A source can better be understood as holding the semantic role of patient in this metaphor. The anger is moving downward, but in all of these cases, it is moving onto and affecting something. The patient role prototypically undergoes a process or is affected by an event.
[8] 10d and 10f both show the mapping of a decrease in heat or pressure as being a decrease in anger.

c. *He was red in his anger.*

(13) Legs/Body Movement
a. *He's hopping mad.*
b. *He was shaking in anger.*

(14) Mouth
a. *He's spitting anger.*
b. *He's spitting bullets.*
c. *He was foaming at the mouth.*
d. *His jaw was clenched in anger.*

This following metonymy follows from the metaphor ANGER IS A DANGEROUS ANIMAL. The physical behavior that would accompany this are verbal (15), visual (16a-c) and physical behavior (16d):

(15) Vocalizations/Speech
a. *He's screaming mad.*
b. *He snarled at me.*
c. *He hissed in anger.*

(16) AGGRESSIVE VISUAL BEHAVIOR STANDS FOR ANGER.
a. *If looks could kill…*
b. *He was looking daggers at the street punk.*
c. *He gave the other guy a dirty look.*
d. *He bared his teeth at them.*

3.3. Revisions to the Lakovian Proposal—Target Mapping Overlaps. Thus far, we have seen the commonly presented breakdown of metaphors in anger and happiness for English (Lakoff & Johnson 1980, Lakoff & Kövecses 1987, Kövecses 2000(a), Yu 1998). While it is clear that there is a common association between anger and fire, there are some metaphorical expressions which do not fit into the above, often cited metaphorical schemas. Love can also be conceptualized as heat, specifically fire, as is clear from the following examples:

(17) LOVE IS FIRE.
a. *She's consumed with love.*
b. *She's burning up inside from her desire*
c. *She's hot/fiery with passion.*

The metaphors of LOVE IS FIRE and ANGER IS FIRE, while useful, are difficult to conceptualize in tandem. They tend to constrain our thinking such that unless they are both in evidence, the highlighted one is assumed to encompass the range of the target domain, fire, to the exclusion of the other. What these two source domains share is that they are both strong emotions. Perhaps fire is not separately conceptualized as anger and love, but is instead, a conceptualization of strong emotions in general. Support for this proposal can be found in how the same phrase, within different contexts, has a different meaning and refers to a different emotion:

(18)

a. The woman hadn't seen her husband in 3 months, but was more in love than ever, after their nightly phone calls. He was arriving tomorrow, and *she was burning up inside*. (the emotion is passion or love)

b. Jen's neighbor ran over her prized rosebush, laughing and not offering an apology. Jen was so angry, *she was burning up inside*. (the emotion is anger)

The mapping onto the target domain of craziness or insanity is also not limited to anger, as set 19 clearly shows:

(19) EXTREME HAPPINESS IS INSANITY.

a. She went crazy with happiness.

b. When she learned the good news she was hysterical.

c. She was out of her mind with joy at finding her children.

Additionally, in English, anger is not constrained to referring to only a *hot* liquid, although references to this are not found in the relevant metaphor sources (Lakoff and Johnson 1980, Lakoff 1987; Kövecses 1986). Anger is conceptualized as a liquid which has no direct temperature reference, nor any references to pressure or explosions which could allow the temperature to be inferred.

(20) ANGER IS A LIQUID.

a. *He was pissed.*

b. *He was spitting anger.*

(21) ANGER IS A POISONOUS LIQUID.

a. *His words were poison.*

b. *The venom of his anger cut into me deeply.*

There is a common conceptualization of pressure, fire and hotness as associated with anger, however, it is clear that not all references which include such connotations are in fact referring to anger. The following expressions are all references to fire and heat (and the effects associated with them, such as smoke, increase in pressure, etc.) which are not associated with anger. The emotion they are associated with is in parenthesis following the expression.

(22)

a. *He's puffed up with pride. (pride)*

b. *He's full of hot air. (bragging, pride)*

c. *He's all fired up. (excited)*

d. *He's on fire. (attractive, excelling at something, excited)*[9]

e. *He's smoking. (attractive, excelling at something)*

f. *He's hot. (attractive)*

g. *He's a hottie. (attractive)*

h. *He sizzles. (attractive)*

i. *He's too hot to touch. (attractive)*

j. *He's all the rage. (popular)*

k. *He's a firebrand. (trouble or mischief maker)*

Clearly, the neatly drawn lines, assumed from past literature, between different emotions and their accompanying possible target domains is crumbling. There seems to be more overlap than not with respect to target domains, in fact. One can gather from this that an assessment of metaphorical expressions in English will offer many generalizations, but fewer absolutes within the realm of emotion tropes.

[9] The first and second meanings offered in 22d and the first meaning offered for 22e are slang terms used by younger generations, but it does appear that these are newer meanings associated with the terms, and these meanings are not necessarily shared by older generations.

3.4. **Conclusion.** While section 3.3. has made clear cut distinctions less feasible, there are definite systematicities to the English anger data. We will now turn to an examination of and comparison with Hindi data.

4. ANGER IN HINDI.

4.1. **Hindi Anger Metaphors**. Far and away, the metaphor with the most expressions is the general metaphor of ANGER IS HEAT. It manifests as ANGER IS FIRE, in 23(a-n), 24(a-d) and 25a and as ANGER IS A HOT LIQUID in 26(a-d). The majority of the expressions fit under the former, which suggests that it is the dominant metaphor for anger in Hindi. However, the data set for Hindi is very large, and these metaphors are only a fraction of the total: it is large enough that an argument could be made that there is no dominant metaphor for anger in Hindi. As the task at hand is to demonstrate viable metaphors in Hindi, not to definitively ascertain which is dominant, this topic is only of mild interest here.

Turning to the data at hand, 23(a-n) demonstrates ANGER IS FIRE, and 24(a-d) and 25a are extensions of this, where a decrease in fire is a decrease in anger.

(23) ANGER IS FIRE.

a. अंगारे उगलना [10]
Burning ember to spit out = to spit out burning ember
to be fierce in speech

b. अंगारे पर लोटना
Burning ember on to roll = to roll on burning ember
to burn within (on account of jealousy)

c. आग बरसाना
Fire to rain/shower = to rain a shower of fire
To burst out in fuming rage

[10] One informant considered the word अंगारे (burning ember) uncommon, but the other informants found it very common.

d. आग में घी डालना
Fire in ghee (clarified butter, highly flammable) to cast = to cast ghee on fire
To add fuel to the fire

e. जले पे नमक डालना (छिड़कना)
burn-wound on salt apply = To put salt on a burn wound
To add fuel to the fire

f. आग भड़काना
Fire to blow into flame = To aggravate a fire
To aggravate an already bad situation (to add fuel to the fire, to fan the flames)

g. आग लगाना
Fire apply = To set to fire
To belch fire; (for one's heart) to be set on fire; to start an argument between other people--conniving

h. दिल में आग लगना
heart in fire to happen = to feel fire in heart
To get enraged

i. दिल जलना
heart to have burn = to have burning in the heart
to feel anger, ill-will or envy

j. आग का पुतला
Fire of effigy/puppet = an effigy/puppet driven by fire
Firebrand, spitfire, and extremely hot-tempered person, hot headed person capable of inciting violent social strife

k. ग़ुस्सा भड़क उठना
anger flame to rise up = For the anger to flare up
To become furious

l. जज़्बात को भड़काना
emotions of to blow into flame = Emotions to blaze up
To excite, to whip up the passions

m. (?) शोला–भभूका होना
A flame glowing to become = To become a glowing flame
To fly into a rage

n. (?) सीना सुलगना
breast/chest to smolder = Smoldering of the chest
To have a smoldering feeling of anger

In keeping with the mappings possible under the ANGER IS FIRE metaphor, increasing the fire would stand for an increase in anger, and a decrease in the fire stands for a lessening of the anger. Following this to its conclusion, completely putting out a fire is associated with a complete dispersal of the anger.

(24) A DECREASE IN ANGER IS A DECREASE IN FIRE.

a. आग पर पानी डालना
Fire on water pour = To pour water on fire
To pacify someone's anger/fury

b. गरमी निकल जाना
heat to leave = For the heat to leave
Cooling down (of anger/temper)

c. ठंडा कर देना
cold make to do to other = To cool someone/something down
To put out a fire, to cause to wane someone's anger—also used literally

d. ठंडा पड़ जाना
cold make to happen = to become cooled down
to lose one's anger/enthusiasm—also used literally

(25) LOSS OF ANGER IS COMPLETE DISPERSAL OF FIRE.

a. ग़ुस्सा हवा हो जाना
anger wind be to go = For the anger to become wind
For anger to vanish/disappear/cool down

Anger is also conceptualized in a liquid state in Hindi, similar to English. The focus of the Hindi data is on the internal liquids of the body as boiling, or of the whole body as boiling.

(26) ANGER IS HOT LIQUID.

a. ख़ून उबलना (खौलना)
Blood to boil = For the blood to boil
To become murderously angry

b. (?) पित्ता उबलना (खौलना)
bile to boil = For the bile to boil
To be enraged

c. उबलना
to boil = for someone to boil
To be boiling or to swell with emotion (as with rage, pride)

d. उबल पड़ना (पर)
boil to make (on) = to boil someone
to turn angrily (on)

It has often been argued that expressions denoting anger which use liquids fall under the sub-metaphor ANGER IS A HOT LIQUID, which is from the general metaphor ANGER IS HEAT (Lakoff & Johnson 1980, Lakoff 1987, Kövecses 1986). However, the following Hindi data set disproves this

by offering examples which do not fit within the metaphor: there is no connotation of heat with these metaphorical expressions, and they all clearly refer to a liquid which is the target domain of the heat. This is not unique to Hindi though—there are a number of expressions in English (e.g. sets 20, 21) which also lack any reference to heat. These can be understood under the general metaphor of ANGER IS LIQUID:

(27) ANGER IS LIQUID.

a. गुस्सा थूक देना
anger spit to make = To spit out one's anger
To forgive and cool down, to shake off one's anger

b. गुस्सा पी जाना
anger to drink to go = To gulp down one's anger
To suppress one's anger

c. बरस पड़ना
rain to fall = to rain down on others
To burst out in anger; for anger to rain down on others

d. बात पी जीना
speech drink to do = To swallow the matter
To bear something in silence, to suppress one's anger/frustration

A sub-mapping of the above metaphor is ANGER IS A DANGEROUS LIQUID. This is also found in English, in set 21.

(28) ANGER AS DANGEROUS LIQUID.

a. ज़हर उगलना
poison to spit out = To spit out poison
To belch fire, to speak/write fiery things

Anger is also conceptualized within the container metaphor, as a substance under pressure. Increasing the pressure on the container will cause a display of the anger. This example, like the last two, also does not appear to use the ANGER IS HEAT basic level metaphor

(29) CONTAINER METAPHOR

a. दिल में गाँठ (गिरह) पड़ना
heart in knot to make = to make a knot in the heart
ill-will or disaffection to arise

b. सीने पर पत्थर रखना
chest on stone to stay/rest =To put a stone-slab on one's chest
To bear anger quietly; to have a heavy heart

In 29a, the heart is containing the anger, and constraining the heart would cause the anger to be present, which this metaphoric expression aptly catches. 29b also focuses on the chest region as the container for the anger, but in this example, sufficient pressure is offered to keep the anger under wraps.

The next two sets show that anger is conceptualized as being outside of one's bodily container in Hindi:

(30) ANGER IS BEING OUTSIDE ONESELF

a. आपे से बाहर होना [11]
Oneself of beside to become = to become beside of oneself
To lose one's temper completely; to completely lose one's temper

b. **(?)** आपे में न रहना
One in not stay/remain = Not be able to contain oneself; to be beside oneself
To lose temper/composure (to hit the ceiling/roof)

31a is the Hindi equivalent of the English expression "a chip on one's shoulder." Both imply that the anger is a visible substance, and both have the connotation of a 'loose cannon;' anger can become dominant with little provocation. In English, the focus is on the shoulders, which are thought to carry burdens and show one's emotional state. Kövecses (1986) argues that *He has a chip on his shoulder* is within the metaphor of ANGER IS A BURDEN, where responsibilities are metaphorized as burdens (ibid.:27). This generalization is odd—anger is not considered a responsibility which one has a duty towards, it is considered rather the opposite; one's responsibility is to control and contain anger. It is more appropriate to understand the phrase, and

[11] One informant said that the term आपे (oneself) was not used, but the other informants thought the term was common.

the Hindi equivalent in 31a, as expressions stemming from the conceptualization of anger being a physical presence: ANGER IS A PHYSICAL ENTITY. Carrying this physical entity in a highly visible location, on one's shoulder or one's nose, is alerting others to the presence of the anger. It is not hidden, and hence it is easily accessible, through provocation. Hence, we get the sub-mapping BEING EASILY PROVOKED IS VISIBLE ANGER.

(31) BEING EASILY PROVOKED IS VISIBLE ANGER.

a. नाक पर गुस्सा होना
nose on anger to become = To have anger on (one's) nose/outside
To be easily provoked to anger (to have a chip on one's shoulder)

Anger, similar to in English, can also be conceptualized as being possessed by a supernatural power:

(32) ANGER IS BEING POSSESSED.

a. सिर पर भूत चढ़ना (सवार) होना
head on demon to rise up to become = For a demon to ride on one's head
To be possessed by intense anger, to be in a rage

b. गुस्से के मारे भूत होना
anger of because spirit to become = to become a ghost because of anger
to become devilishly/destructively angry

The general metaphors of MORE IS UP and LESS IS DOWN are mapped onto emotions to describe the strength of the emotion, resulting in the following correspondence:

(33) STRONGER EMOTION IS UP; WEAKENING OF EMOTION IS DOWN.

a. गुस्सा उतरना
anger to descend = To bring down the anger
To calm down

b. गुस्सा भड़क उठना
anger flame to rise up = For the anger to flare up
To become furious

There is an association with anger being a physical substance which can be used as a force to destabilize or knock over the target. These Hindi examples highlight this downward force associated with anger.

(34) ANGER IS DOWNWARD FORCE.

a. आँखों में ख़ून उतर आना
Eye in blood down to come = For blood to descend in the eyes
To look murderously angry[12]

b. बरस पड़ना
rain to fall = to rain down on others
To burst out in anger; for anger to rain down on others

c. **(?)** अंगारे बरसाना
Ember to rain/shower = to rain a shower of embers
Pouring forth of abusive/angry speech

d. आग बरसाना
Fire to rain/shower = to rain a shower of fire
To burst out in fuming rage

e. ग़ुस्सा उतारना
anger to descend on = To descend the anger (on someone)
To bring down anger (on someone)

Hindi associates anger with being an animal, similar to English (e.g. examples 8(a-h)). Both allow expressions which focus is on the defensive and offensive posturings of an animal (i.e. snarl, howl, growl, bare teeth), and both allow for the attack and destruction of the victim, but only Hindi has expressions which focus on the next stage of an animal attack, consuming the victim.

(35) ANGER IS AN ANIMAL.

a. गुस्से से गड़गड़ाना
anger from growl = to growl in/from anger
To growl from anger

b. खाने दौड़ना
Food run/gallop = To run to bite/eat
To react in an angry/ill tempered manner

c. कच्चा खा जाना
raw to eat = To eat raw
Denotes a really angry outburst; to be really pissed

[12] One of the informants firmly believed that this doesn't fit in the category of anger, but the other informants were equally steady in their belief that it does. Its reliability as an anger metaphor should be taken as less than 100%.

4.2. Hindi Anger Metonyms. Hindi also has a number of metonymic expressions for anger. Physical heat (36a, 37b), swelling to the face region (37a, 38a), and a wrinkling of the brow (36b) are used:

(36) Forehead

a. माथा गरम होना
forehead warm/hot to become = The warming up of the forehead
To get angry, to be irate

b. माथा ख़राब करना
forehead bad to make = To spoil someone's brow
To provoke anger by saying something discomforting; to imitate or make fun of

(37) Face region

a. मुँह फुलाना
mouth/face to cause to swell/inflate = To puff out one's cheeks
To be annoyed/displeased

b. सिर पर ख़ून चढ़ना (सवार होना)
head on blood to rise up mount to become = For the blood to rise up to one's head; to be under control of hot blood
To be in a bloody rage

(38) Nostril

a. नथने फूलना
nostrils to swell/distend = to swell or distend nostrils
To be in a rage

There is a common saying in Hindi, बुरे नज़रवाला तेरे मुँह काला, figuratively, *if you look maliciously at someone, i.e. turn an evil eye on someone, may your face turn black* (as a consequence orpunishment)[13]. This expression, while more of a proverb than a metaphor, can be argued to represent the sentiment behind the number of metonyms that are associated with the eye, anger, and the evil eye. The eye, when alone, is often assumed to be referring to an evil eye, of sorts, and it has a particularly powerful association with anger in Hindi. This is evident from the number of metonymic expressions here:

[13] Literally, it means, word for word, one-with-bad-eyesight your face black = malicious looking person, your face black.

(39) Eye

a. आँखों से लहू बरसना
Eye from blood shower = shower of blood from the eyes
Vengeful looks, to see red

b. आँखें लाल करना
Eyes red to make = to make the eye red
To redden the eyes: to glare furiously at

c. आँखों में ख़ून उतर आना
Eye in blood down to come = For blood to descend in the eyes
To look murderously angry

d. आँखों के तारे छूटना
Eyes of star release = to release the star of eye
The eyes to blaze (in anger)

e. शेर की आँख से देखना
Lion of eye from to see = To see with a lion's eye
To cast a hostile/angry look

f. (?) आँख तरेरना
Eye to glare = to glare with eyes
To glower

g. आँखें चमकाना
Eyes to flash = to flash the eyes
To make eyes flash (or roll) in anger (or flirtation)

h. आँखें टेदी करना
Eyes awry/crooked to impart = the eye looks awry
To look angry; to look angrily

i. आँखें दिखाना
Eye to show = to show the eye
to look at angrily (if looks could kill…)[14]

j. (?) आँखें उठाना
Eyes to raise = to raise the eyes
To look angrily or covetously

Interestingly, the opposite of actively turning an eye on someone does not necessarily mean a reduction in anger, and instead, expresses disappointment in another.

(40) LACK OF SIGHT OR GAZE IS DISAPPOINTMENT.

a. नज़रों से गिरना
sight from to fall = to fall from sight
to be in bad books of; to fall from good graces (to cause disappointment in someone)

[14] The opposite is more common, as in *don't turn eyes on me*.

There is an assumption that the whole body is involved when one is angry. This is interrelated with the lack of control that is found in set 41.

(41) Whole Body Engagement

a. हाथ–पाँव निकालना
hand feet to remove from = To take out one's hands and feet
To be enraged

b. सिर से पैर तक लगना
head from foot until to be applied to = To be applied from head to foot
To be raging with fury

An increase in general body temperature and color is found in 42(a-f), and the cooling down of the body is likewise associated with a decrease in anger in 43(a-c):

(42) Body Temperature-Increase

a. लाल होना
red to become = To be red
To be furious

b. सिर पर ख़ून चढ़ना (सवार होना)
head on blood to rise up mount to become = For the blood to rise up to one's head; to be under control of hot blood
To be in a bloody rage

c. गुस्से के मारे लाल होना
anger because of red to become = because of anger to turn red
to be infuriated

d. पारा चढ़ना (गरम होना)
mercury to rise up (warm/hot to become) = For the mercury to go up
For a person to lose his temper

e. ताव दिखाना
heat to show = To show heat
To express one's anger/outburst

f. ताव दिलाना
heat/passion to cause to be given = To cause someone to be hot
To provoke someone, to cause someone to be enraged

(43) Body Temperature-Decrease

a. ठंडा कर देना
cold make to do = To cool someone/something down
To cool someone down emotionally

b. ठंडा पड़ जाना
cold/cool to become = to cool down
to lose one's anger

c. गरमी निकल जाना
heat to leave to go = For the heat/passion/temper to come out
Cooling down (of anger/temper)

Anger is associated with the color red, and in Hindi, the focus is on the eyes and body as a whole.

(44) Red (eyes & body).

a. आँखें लाल करना
Eyes red to make = to make the eye red
To redden the eyes: to glare furiously at

b. गुस्से के मारे लाल होना
anger because of red to become = because of anger to turn red
to be infuriated

c. लाल होना
red to become = To be red
To be furious

Avoidance of things which would increase or cause anger is also expressed in Hindi:

(45) Movement away from something

a. रुख़ बदलना
direction to alter/change = To change the direction
To turn away one's face expressing displeasure/annoyance

A lack of control over the body, specifically the mouth and speech, are also metonymically associated with anger and a loss of control.

(46) Tongue

a. जीभ में हड्डी न होना
tongue in bone not to have = tongue does not have bone
To have no control over what one says.

4.3. **Conclusion**. This section does show clear systematicities. The conceptualization of anger as a hot liquid or fire is similar to that of English. Hindi evidences a prominence on the eye metonymically as an agent or force which can direct anger outwards, unlike English which focuses

on the eye as a sense which is clouded and not able to perceive clearly. Hindi also lacks the emphasis on physical agitation or uncontrolled movement which English has, instead focusing more on body heat and redness as central metonymic devices.

5. CONCLUSION

Within this paper, the metaphors, metaphoric expressions and metonymic expressions prominent in English and Hindi have been discussed. While English and Hindi cultures have the same basic level metaphorical conception of anger, ANGER IS HEAT, it is becoming clear that the target sub-mappings (or domains), entailments and metaphoric expressions can vary between the languages. The metaphoric expressions can focus on different aspects of heat in order to convey the general concept of heat: fire and hot liquid. Specifically, anger in Hindi has a much stronger emphasis on the eye than English, as is evidenced from the large number of expressions relating to the eye in Hindi, as compared with the minimal number found in English. Within the ANGER IS HEAT metaphor, Hindi focuses on fire and hot liquids, with more focus concentrated around fire than liquid. English highlights both fire and liquids, with both having equal emphasis in the data. Further refinements of this overall assessment would, of course, be dependant on a much larger, corpus based study of the number and range of occurrences. The data conclusively show that metaphoric expressions vary considerably across the two languages. While some metaphors might be universal, it is also clear that there is wide variation in how the metaphors are expressed in these different languages, and which metaphors are even used.

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WHY KANSAS?

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WHY KANSAS?

ABSTRACT

On the occasion of the fiftieth anniversary of the historic Brown v Topeka decision, much has been written, explained, and discussed about the case, its history and its impact on ethnic relations within the United States. However, little attention has been focused on the lead case of this important decision. How did Brown v Topeka come to be the name by which this legal precedent would be enshrined in the annals of American jurisprudence?

This paper explores the peculiar and sometimes inexplicable context of this case. After all, Brown was only one of five cases that were combined for argument. It was the only case from a school district located outside of the south. The case was brought in a state where the African American population has never exceeded five percent of the total population. The paper examines the intersection of time, place and race in the heartland of America and how that intersection gave rise to the events that lead to this decision.

Black settlement in Kansas can be traced to the early Spanish explorers and continued with each wave of migration west. Blacks were part and parcel of every important event in the state. However that settlement was concentrated in pockets within the state. As the Black population of the state increased, attitudes toward the separation of children by race hardened.

Kansas law, in he early years, had little to say on the subject of school segregation. By 1877, Kansas statues allowed schools to be segregated in communities which were classified first class cities (cities with populations of 15,000 or more). This resulted in a statewide school system with both integrated and segregated schools and in local school systems where children might attend integrated schools at the elementary level and segregated schools at the secondary level. This also resulted in a system of school segregation that was both de facto and de jure.

The Brown case was not the first case to challenge school segregation within Kansas. As early as 1881 Black citizens had challenged the establishment of segregated public schools in court. In all, before the 1950's, eleven court challenges were filed. Their challenges had mixed results but were based two ideas: (1) inequities of separate but equal educational facilities; and, (2) equal access to Kansas public schools. It was the second idea that would lead to the Brown case being named as the lead case for the combined suits of the five brought before the Supreme Court for review. This idea is a direct outgrowth of the Free State heritage of the state, its central geographical location and the makeup of its population.

TITLE: Antoni Gaudi' and the Fulfillment of Gothic Architecture

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ABSTRACT: It is overly simplistic to declare that Gothic architecture ended with the birth of the Renaissance. While one will recognize that the fervor and fury of Gothic construction diminished with the beginning of the 16th Century, it is not difficult to recognize how Gothic attitudes and forms have persisted even to our own time as Neo- and Proto-Gothic architectural constructions. Interestingly, as Gothic structures are recognized by such features as flying buttresses, vaulted ceilings and richly colored window glazing, these same attributes of height and punctuated wall surfaces created the potential for serious problems that did result in structural disequilibrium and on occasion structural collapse.

In 1883 Antoni Gaudi' received the commission to complete the Expiatory Church of the Sagrada Familia in Barcelona. The original plans called for a Neo-Gothic construction. Gaudi' assumed these plans and, following extensive study, developed an architectural plan that would not only conceptualize the forms needed for a memorable religious edifice, but would also work to resolve the problematic conditions that in earlier years had created the potential for structural compromise of Gothic architectural monuments.

This paper will posit that Antoni Gaudi' was not only responsible for designing and producing architectural works that create a sense of visual wonderment, but that he was also able to envision and carry out designs that would resolve the structural problems that were often fatal to buildings of the Gothic era. It is hoped that participants will recognize that as Gaudi' sought after Truth in his architecture he also manifested Beauty.

BRIEF DESCRIPTION

This illustrated presentation will review selected works of the Spanish architect Antoni Gaudi'. Under consideration are his methods of design and construction that resulted in buildings that were less likely to succumb to the structural problems associated with Gothic architecture. From this perspective Gaudi' might be considered as the architect who

brought Gothic architecture to completion.

Title Page

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Conspicuous Consumption and the Society Women in Edith Wharton's *The House of Mirth* and *The Custom of the Country*

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Conspicuous Consumption and the Society Women in Edith Wharton's *The House of Mirth* and *The Custom of the Country*

Introduction

This study scrutinizes the relationship between the emergence of consumer culture and bourgeois woman's role as the non-productive consumer in Edith Wharton's *The House of Mirth* (*HM*) and *The Custom of the Country* (*CC*). The significance of Charlotte Perkins Gilman's and Thorstein Veblen's economic theories has been broadly recognized by critics since the 1980s as feasible approaches to investigate women's economic status and functions during the Progressive Era, a period that ushered America from production- to consumption-oriented economy. Yet, few discussions of Wharton's fiction focus on the consumer society's bio-economics and the images of the society women in her *HM* and *CC*. My research will cross-examine Gilman's and Veblen's theories on gender and economics in anatomizing Wharton's subtle criticism of a liminal[1] period where women were liberated from the domestic home only to find themselves defined as properties and their bodies used as commodities by male household heads to perform conspicuous consumption in the public space. In Wharton's view, what had trapped women in the historical transitional moment of America was not the geographical/physical space but the patriarchal ideologies that woman's role was to glorify and complement man's in both private and public spheres, and that woman's biological body was recognized as a cultural representation of the Phallus power. Less optimistic than Gilman in gender equality and female subjectivity, Wharton

[1] Modified by Victor Turner's, the term liminal was adopted from van Gennep's "limen" referring to the interstitial phase between old and new statuses. In *The Ritual Process* (Chicago: Aldine, 1969), Turner identifies the liminal state as a period that enables the individual to question traditional ways of thinking and a moment that constructs new possibilities. As Kathleen M. Ashley explains in the introduction to *Victor Turner and the Construction of Cultural Criticsm: Between Literature and Anthropology* (IN: Indiana UP, 1990), "Liminal situations and genres were… 'seedbeds of cultural creativity,' giving rise to new ideas and new paradigms. Liminality is therefore closely related to Bakhtin's concept of the 'carnivalesque' as a space for utopian but not deterministic transformation" (xviii).

portrays in her novels how female economic parasites survive in a hieroglyphic world with (*CC*) and without (*HM*) male households to represent. More sarcastic and critical than Veblen, Wharton shows that when bourgeois patriarchy is saturated with capitalistic consumerism, the female consuming exploiter (*CC*) and exploited (*HM*) co-existed in the liminality where social actions superseded morality, where the Victorian Angels and the Modern New Woman battled for hegemony, where power resides with those who are able to penetrate, decode, and manipulate symbolic social signals. Rather than holding a sheer utopian expectation for or a pessimistic viewpoint on women's economic self-reliance, Wharton pinpoints in her novels that during a period where everything was in flux, the woman could be either the signified consumer, as the man's embellished social mask on social stages (*HM*), or as the consuming capitalist who comprehended the aesthetics of consumption, managed marriage as an enterpriser, and hid her masculinity and will for power under the mask of femininity (*CC*).

Gilman's and Veblen's Analyses on Women and Economics

When the United States underwent an extraordinarily dynamic economic development in the Progressive Era, the rapid pace of social changes was entangled steadfastly with women's awareness of their roles as commodities and their bodies, marketable properties in marriage trade. Imprisoned in the influential Victorian concept of "cult of domesticity,[2]" women had to make themselves profitable to the marriage market on the purpose of surviving in community. Once they got married, economic dependence restricted their roles to those corresponding with the Victorian ideal lady. There was no alternative for these women-takers but to be subject to those men-givers. Women's economic function was then ambiguous, since their unpaid domestic labor became

[2] The formulation of the "Cult of True Womanhood" or "cult of domesticity" sought to assert that womanly virtue lie on piety, purity, submission, and domesticity. See Barbara Welter's "The Cult of True Womanhood 1820-1860" for fuller explanation (*Dimity Convictions: the American Woman in the Nintettenth Century*. Athen: Ohio UP, 1976. 21-41.)

invisible and devalued, and their job as representatives of men's wealth only reinforced their economic parasitism. Among the heteroglossic discourses on gender roles in the late nineteenth-century, Charlotte Perkins Gilman and Thorstein Veblen initiated eye-catching socioeconomic studies on the unequal power relation between sexes, which is originating from women's role as unproductive consumer in either the private or public space. Both social critics were biting and direct in their argument that women's economic dependence on men obscured the difference between the home and the brothel, and that marriage was an exchange system in which women traded their body and beauty for social position and identity.

Published in 1898, Gilman's socialist tour de force, *Women and Economics: the Economic Factor between Men and Women as a Factor in Social Evolution*, stands as landmark of the study of feminist economics that anatomizes the commodification of women. Gilman attempts to reason her readers into the idea that female was originally the center of evolution in primitive time since "female sex selection determined parenthood and heredity" (Judith Allen, 65).[3] Women's subordination to and dependence on men are, Gilman confirms, not a naturally biological design by God but a cultural result of women's abnormal sexuo-economic relation to men. Without much training and education on sociological theories, Gilman adopts animal analogies and ordinary language to present her unembellished but concrete reading of the "social evil," claiming that, "in no other animal species is the female economically dependent on the male. In no other animal species is the sex-relation for sale" (95). As Gilman explains, because neither housework nor

[3] For a recent examination on Ward's theories, see Judith A. Allen's "'The Overthrow' of Gynaecocentric Culture: Charlotte Perkins Gilman and Lester Frank Ward" in Charlotte *Perkins Gilman and Her Contemporaries: Literary and Intellectual Contexts*. Eds. Cynthia J. Davis and Denise D. Knight (Tuscaloosa: Alabama UP, 2004), 59-86. In this article Allen points out that "Ward's hypothesis addressed an explanatory gap in Darwin's theories" as Darwin had neglected the explanation of female sex selection (60). The Male had to be strong and big enough to be chosen as fertilizers, and be lucky enough to run away from the female's attack after mating. In a same vein, Ward insists that human history was a struggle of men to escape from the tyranny of women.

motherhood contributes to family economy,[4] women have to over-sex their physical body so as to make it a commodity exchangeable for food, consuming goods, and shelter. The shelter, none the less, is a prison that makes women "physically weaker, mentally sluggish, and morally stunted."[5] In order to catch up with the progressive trend in human evolution, in Gilman's view, women should cultivate themselves into economically independent survivals that show human dignity. Also, it is not until women decrease their sexuality and fully develop their economic ability in public labor market can they partake into real progressive activities that improve the human race. Maintained in a state of economic dependence as sexual objects under the roof of the sweet home, women pertain to the category of sex instead of human beings.

Central to Gilman's analysis of bourgeois women's economic status is also her consideration of the meaning of production and consumption as well as the roles of producer and consumer. Some basic points in traditional Marxism can be pertinent to supple Gilman's argument of women's role as unproductive and powerless consumers, since socialist feminism has taken its intellectual root from Marxist theory. Marx's worker is the producer whose labor is exploited, and his ownership of the products, "the objectification of his labor" (*Manuscripts*, 324) is deprived by the capitalist. The worker's level of consumption is decreasing where the capitalist's is rising, as the latter appropriates the products and commodifies their exchange values for obtaining more money and power in the markets. Gilman's producer/laborer is the man, who owns the freedom to release the "ever-growing human impulse to create, the power and will to make, to do" (Gilman, *WE*, 67). Her woman pertains to "an enormous class of non-productive consumers" (*WE*, 118), denied free productive expression of natural human energy. Seen from this point of view, the

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[4] In her very first chapter in *Women and Economics*, hereafter as *WE* (ed. and intro by Carl N. Degler. NY: Harper & Row, 1966), Gilman indicated that women's domestic labor and motherhood bore no relation to their economic status. A woman could save herself from heavy domestic labor and motherly duties yet gain a highly regarded economic status, so long as she could marry herself into a wealthy family. 1-22.

[5] Matthews, Jean V. *The Rise of the New woman: the Women's Movement in America, 1875-1930* (Chicago: Ivan R. Dee, 2003), 82.

woman is forced to confine her productive energy, and her position as a consumer becomes a symbol of her dependence and subordination to patriarchal oppression. The level of Marxist capitalist's consumption stands for the rank of his power. Yet, the more conspicuous consumption displayed by Gilman's woman, the more she shows her restricted space and subaltern status as well as the wealth and power of the man/ laborer/ producer. What differs the woman from the capitalist lies in the idea of ownership, to put it simply. The capitalist owns the power and will to consume, but the woman is owned and used by the man as an inanimate object demonstrating the materialistic fruits of his labor. She consumes, in short, out of her will and power. Her consumption, in other words, is in essence a representation of *his* consuming will and power.

Also a crucial study on American culture and society, Veblen's *The Theory of the Leisure Class* (1899) takes up where Gilman's book has left, examining the intersection of gender and consumption as well as women's dependent status outside the domestic area. In her article about American consumption, Kathleen G. Donohue argues that Veblen differs from Gilman in that his female connotes dependence whereas male connotes independence, so "a female consumer [i]s dependent while a male consumer [is] not" (25). Yet, a more optimistic thinker on female liberation, Gilman associates dependence with the consumer, and independence, the producer. For Gilman, so long as the female can be a bread-winner in the open marketplace, she is an independent producer contributing her talents to enrich the society. Although Veblen's contention seems patriarchal-based in comparison with Gilman's, he is more practical and razor-sharp than Gilman in seeing both women's marginal and vulnerable status in the public realm and the transformation of American economy from the production- to the consumption-oriented phase.[6]

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[6] For a discussion on the transformation from production to consumption, see Michael Spindler's *American Literature and Social Change: William Dean Howells to Arthur Miller* (Bloomington: Indiana UP, 1985). Spindler manifests the economic development from 1870 to 1950, cross-examining historical background with literary responses and showing "how these writers' concern were shaped by industrialism and consumerism, and how family background, class and personal and national ideologies acted as mediations between their experience of society and their literary practices" (7). The book does not include the different receptions of economic development between men and women, but it is a good

A penetrating criticism on the extravagant consumption of the leisure class, Veblen's book epitomizes critically the hollowness and wastefulness of the consumer culture,[7] a prolonged stage of barbarianism in which women were captured, exchanged, and owned as trophies by men who used to evince their prowess by exhibiting visible results of their exploits. Defined and elaborated by Veblen, the term leisure connotes "non-productive consumption of time" (28), a by-product of the consumer culture that regards "abstention from labor" as a mark of social permanence and an "evidence of pecuniary ability to afford a life of idleness" (28). Labor and productive energy were no longer appreciated as respectable qualities when American economy blossomed in the closing decades of the nineteenth century. Not only did the increase of production naturalized men's desires as *needs*, so did the accumulation of surplus wealth gilded the meaning of waste, be it a waste of time and energy or a waste of money and goods.

> Conspicuous waste and conspicuous leisure are reputable because they are evidence of pecuniary strength; pecuniary strength is reputable or honorific because…it argues success and superior force (111).

In a sarcastic tone, Veblen sides labor with dishonorable poverty and industry, and leisure, superior pecuniary achievement and reputability. A mark of wealth, honor, and success, leisure in modern materialistic societies needs to be shown in front of social spectators, who weigh a man's social rank and reputation primarily according to his *performance* of leisure. In Stephen Edgell's reading of Veblen's leisure class culture, he says, "The award of esteem depends upon being able to demonstrate wealth, which is not easily achieved if one engaged in a wasteful lifestyle *in private*"

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analysis of American Literature under a dynamic social changes during the turn into the twentieth century. See also Daniel Horowitz's well-known book, *The Morality of Spending: Attitudes toward the Consumer Society in America, 1875-1940* (Baltimore: John Hopkins UP, 1986), and Richard Wightman Fox and T. J. Jackson Lears' *The Rhetoric of Consumption: Critical Essays in American History 1880-1980* (NY: Pantheon, 1983).

[7] For recent research on consumer culture, see articles collected in Karin M. Ekstrom & Helene Brembeck's *Elusive Consumption* (NY: Berg, 2004). Among these articles Russell W. Belk in his "The Human Consequences of Consumer Culture" gives a general and lucid introduction to different definitions and effects of consumer culture, plus examples of Christmas tensions and habit of collecting. 67-85. Though his work refers more to contemporary consumption, it helps in defining the influences and spirits of consumer culture in general.

(104). Public exposure of conspicuous consumption and waste, therefore, signifies the stakes with which men use to manifest superiority and *exchange* for social power. As Veblen says, "[t]he means of communication and the mobility of the population now expose the individual to the observation of many persons who have no other means of judging of his reputability than the display of goods" (54-5). In order to gain respect and power from the community within short and superficial contacts, one has no choice but join the competition for social status and prepotency by displaying his ability to perform conspicuous leisure.

Furthermore, since leisure is also considered as an employment (labor) from the economic point of view, the gentleman of opulence should find someone else to work out the leisure for him, to consume vicariously for him under the mass gaze. Much more sarcastic than Gilman in woman's economic dependence, Veblen avers that like chattels and specialized slaves,[8] woman is highly valued in the consumer culture as "an evidence of wealth and as a means of accumulating wealth" (34), whose sole economic function is to consume for the male household head in "conspicuous consumption; thereby putting into evidence his ability to sustain large pecuniary damage without impairing his superior opulence" (40). She remains a selfless commodity and private property of the man, being wholly subject to the will of her master. Paradoxically, her values and virtues lie in her uselessness and expensiveness, which would highlight her master's ability to afford conspicuous waste. In other words, the woman's biological body has been transformed into a cultural representation or a monetary sign of the man's social standing and pecuniary power. Shared with the impersonality and symbolism of money, she is trained and expected to be an altruistic object whose personal identity and right to subjectivity are sacrificed for the man's predatory nature, his desire to excel everyone else in the community, and his vanity to win over public focus and

[8] According to Veblen, there are two kinds of servants: "The possession and maintenance of slaves employed in the production of goods argues wealth and prowess, but the maintenance of servants who produce nothing argues still higher wealth and position" (39). With their conspicuous exemption from productive labor, the second group of servants is special in their exhibition function.

approval. In Veblen's account, then, due to her lack of self-ownership of the body, the female consumer is not in fact a real consumer who consumes out of her own free will, but a highly ornamented puppet controlled by her male master to engage in costly activities and competitive consumption before the public and its capitalist gaze.

The Society Women in Edith Wharton's Fictional World

Of the women writers who have exhumed the ambiguous gender power relation in the late nineteenth-century American consumer culture and marriage market, Edith Wharton tops the list. Her description of the stylish New York society and keen observation on women's dilemmas in the four New York novels[9] amplify her popularity in both mass market and academic institutions. Worth nothing is that her satirical criticism on the emerging consumer society differs from contemporary naturalistic and realistic male writers in that her focus is not on the deterministic pathos but how the new consumerist standard of value affects ideology of the self and human/gender relationship. Among the many narratives by Wharton, *The House of Mirth* and *The Custom of the Country* can be read as a pair that together exemplifies women's economic roles and functions before/after and with/without marriage. The social picture in the two novels discloses, on the one hand, the acuity of Wharton's understanding and interpretation of the interaction of patriarchy and capitalism, and on the other hand, Wharton's idiosyncratic feminism that seamlessly fuses women's awakening of subjectivity with their responses to the materialistic spirit in early modern consumerism. Many critics have proved, with Gilman's and Veblen's theories, that both Lily Bart and Undine Spragg are victims of the patriarchal capitalism in seeing the former eliminated as unprofitable goods for marriage market and the latter, as a cultural human monster produced by the mechanized society. My study will follow this trend, but rather than eliciting the

[9] *The House of Mirth* (1905), *The Custom of the Country* (1913), *The Age of Innocence* (1920), *Old New York* (1924).

similar conclusion, it aims to verify the activity and stab with which middle-class women endeavor to participate in the public market once they walk out of the domestic roof. To a remarkable extent, Lily is a success, in terms of morality, for her maintenance of humanity and belief in love; Undine is a triumphant enterpriser in that she successfully converts Wall Street principles and economic concepts into marriage-divorce business. They are indeed Gilman's economic parasites whose public display of the Veblenian conspicuous consumption evidences their hosts' powers, just that Lily sacrifices her cultural self and social identity for morality and love whereas Undine makes her right of parasitism a tool to rationalize her privilege of circulating marriage-divorce market. Most importantly, although Karen L. Kilcup is fairly right in asserting that, "the pathology of the financier is not sex-specific. The female money figure shares the financiers' incessant and insatiable appetite for gain" (187), we cannot neglect the truth that the female money figures, in order to involve in the public social game of pecuniary emulation, have to commodify their physical bodies into men's properties in the first place. Without a male figure to represent, a woman has no social identity. To put it in an economic term, this is the opportunity cost[10] that the society woman has to pay for her appearance in the public. Namely, her sacrifice of the natural body is to get access into the social stage. Pondering on the possibility of marrying for true love, Lily wastes several golden moments of social metamorphosis, and misses chances to ensnare a male host for her survival. In contrast to Lily, Undine picks up the survival rules before long without sentimentality, feeding her personal desires for fame and lusts for money via sucking her hosts' flesh and blood.

One resemblance shared by Lily and Undine is that they both recognize marriage as the only decent and proper profession left by patriarchal men for women in the public, and both invest their femininity in the marriage market hoping to increase their utility by trading their bodies to marriage for stronger power and higher positions. Born into the liminal period that neither Victorian Angel

[10] According to the definition in *Economics: Principles and Tools* (Arthur O'Sullivan and Steven M. Sheffrin, NY: Prentice Hall, 2001, 2nd edition), the opportunity cost is "what you sacrifice to get something" (24).

nor the Modern New Woman is attractive enough to the so-called modern fashionable world, both heroines are quick to grasp the hidden fact that so long as they *desire* to get hold of both freedom in public and social respect, they will have to steal the Phallus power by exaggerating their femininity. That is the very reason that Lily and Undine cultivate so well their social arts, for the more crafty their tactics are, the more profitable and assessable their sexual bodies will appear in the marriage market that revolves around money and everything, human included, can be a cost or a payment. Under the ethos of exchange, marriage vow is no longer a symbol of love, faith, and spiritual union, but a business contract that each member seeks to gain economic benefits from taking advantages of one another. Woman needs to sign up the contract to secure a social identity, so does man need the contract to exchange his highly-ornamented wife for reputability in the public.

Gilman is keen is saying that woman's confinement to the four walls of the home "have done great execution…in limiting her ideas, her information, her thought-processes, and power of judgment" (65-6), accentuating further that "Only as we (women) live, think, feel, and work outside the home, do we become humanly developed, civilized, socialized" (222). Nevertheless, the space outside the home does not in fact promise woman a broader space for individual development of subjectivity and personal pursuit of economic independence. The public space is also a man-made world[11], after all, and the only way for the woman to win the sex-battle is to pay the man back in his own coin. A sharp social critic of human behaviors and relationship in the consumer culture at the turn into the twentieth century, Wharton in *HW* and *CC* presents two different kinds of women warriors and their confrontations with the social system that favors men in general: with Lily Bart Wharton directs our attention to both the nature of marriage and the choice between economics and ethics, and by picturing Undine Spragg as a female capitalist, Wharton perfectly shows how the

[11] Also a feminist treaty by Gilman, *Man-Made World* (first appeared in 1911 as serials in the *Forerunner* magazine, and later was published in 1914 in book form, NY: Charlton) is an essay collection that reveals much of Gilman's ideas of gender relation and her advocacy for a world of gender equality.

economic growth shatters women's worship of selfless identity and how the prevalent consumer culture awakens women into the realization of self-interest and personal desires. Both heroines disclose Wharton's artful assaults on patriarchy, and both challenge the definitions of womanhood and marriage vow.

The House of Mirth: Marriage, Money, and the Portrait of a *Woman*

Selden's rhetorical questions, "Isn't marriage your vocation? Isn't it what you're all brought up for?" (10) frame up both the pivot of the novel and the author's criticism on contemporary society, for they do not refer to Lily Bart only, but to all American bourgeois women during the Progressive Era—a group of women who can neither take off easily the heavy coat of Victorian feminine virtues nor put on the trendy dress of the New Woman, who are also unable to afford the cost of forsaking the position of the selfless human-pedestal for a new role recognized as "sexually perverted and socially dangerous" (Smith-Rosenberg, 275). When the term "marriageable" is still tightly entwined with the idea of "proper lady," a woman will be labeled an unnatural freak if she chooses to pursue a career other than housewife. Staying unmarried, the working-woman is ironically a social surplus who violates normal gender categories and makes herself the "embodiment of social disorder" (Smith-Rosenberg, 265), always excluded by the Center to the margin of the society. Specifically, the self-reliant and economic independent woman is incomparably less respectful than a married female parasite, whose florid appearance in the public space is legitimized by her authoritative male host. "According to the economic approach," Gary Becker states, "a person decides to marry when the utility expected from marriage exceeds that expected from remaining single or from additional search for a more suitable mate" (10)[12]. Seen

[12] The 1992 Nobel Laureate in Economics, Gary Becker the Prize "for having extended the domain of microeconomic analysis to a wide range of human behavior and interaction, including non-market behavior." His economic theory of marriage is collected in *The Economic Approach to Human Behavior* (Chicago: Chicago UP, 1776), in which he argues

from this aspect, since marriage appears to be the most valuable commodity in the urban civilization that enables women to maximize their utility, and a must-buy that promises them a public identity, an officially permitted passport for engaging in social activities, a dexterous woman has to get herself a marriage license as soon as possible.

Lily's social downfall lies in her repressed refusal to pay the cost for this public identity. Her quick reply to Selden's questions about marriage, "I suppose so. What else is there?"(10) conveys not only her realization of the economic function of marriage but also her faint rebellion toward the idea of trading her body for money and status. Brought up to be an ornament glorifying her future host's virility, Lily learns from her parents and the whole society that marriage is the only rout to secure social approval and financial stability for women like her. In order to fulfill her function, she, at the age of twenty-nine, is in desperation to find herself an *employer*, who will give her the job to enlarge his egoism in private and exhibit his prowess in public. Yet under the influence of progressivism, Lily is too bright not to sense a fact that to accept the official public identity and marriage contract is to give up the ownership of her self and personality. In her advocacy of female independence, Gilman claims that, "There is no fear to be wasted on the danger of women's choosing wrong professions, when they are free to choose" (246). The freedom cannot apply to a society woman like Lily, unfortunately. As the Civil War is incapable of liberating the black from deep-rooted racial prejudice, so the public/physical space can never be a rescue to woman longing for a room of her own, a room where she can possess personal identity, right to her own body and soul, and freedom to seek the language of the Kristeva in semiotics. The society is just a super-big *house* enclosed with invisible walls in which only those who speak the Father's

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that "all human behavior can be viewed as involving participants who maximize their utility from a stable set of preferences and accumulate an optimal amount of information and other inputs in a variety of markets" (Introduction, 14). The application of the economic approach to marriage and family often encounters open hostility from both economists and experts in other social science, but it provides an ideal perspective to examine the society inundated with monetary ideologies at the turn into the twentieth century.

language and good at deciphering materialized social codes deserve the privilege to *mirth.* As her last name "Bart" suggests, Lily is left with no choice but *barter* her self for economic security via marriage, the only recognized and legitimate profession for society women. "Since marriage is her only way to get money," Gilman satirically questions, "why should she not try to get money in that way?" (93). This is exactly the same question that lingers in Lily's mind. As Gilman further persuades, for a healthy and humanly development, woman "must realize that she is handicapped. She must understand her difficulty, and meet it bravely and firmly" (168). Little doubt that when discussing the sexuo-economic relation in marriage, Gilman does not take into serious consideration the link between the changes of gender roles in the consumer capitalism and the extension of patriarchy from the private to the public. While Gilman indicts the evils in the idea of separate economic spheres, Lily's difficulty is not about the imprisonment of the domestic altar, but a suffocating consciousness that woman is compelled to sell her body for the passport to the public.

Examined closely, not only does the interdependent relationship between marriage and money signify women's subaltern position in private and public, but the exchangeability of the female body in marriage market demonstrates the society's overwhelming commodification of women. Under Selden's dilettantish gaze, Lily's fervent prospect for a buyer/employer strengthens her role as the "victim of the civilization which had produced her" (8). She is valuable only when becoming a symbolic commodity, a human-object whose sole usefulness is shown in putting "in evidence her household's ability to pay" (Veblen 10). In the hope of finding a reliable economic resource for the maintenance of her expensive life style and outward appearance, Lily has to carter to male voyeurism in the market so as to win herself a moneyed household. Oversexed and molded as a luxurious lady by her mother, Lily equates her beautiful body with personal assets by which she may be more advantageous in ensnaring a richer buyer in the marriage market. Unlike the other society women in the novel who find no fault with their parasitism, however, Lily views marriage

as not merely a dream that saves her from poverty but a nightmare that locks her up in the Grundyism of social theater. The narrator does not halt to unveil Lily's dilemma early in the text that, "It (to marry for money) was a hateful fate, but how escape from it? What choice had she? To be herself, or a Gerty Farish" (23). Envious of Gerty's freedom as she is, Lily thinks herself unfit for "mean and shabby surroundings," reassuring herself the propriety of her role as a respectful lady that "her whole being dilated in an atmosphere of luxury; it was…the only climate she could breathe in" (23). "To be herself" is then to retain her "affinity to all the subtler manifestations of wealth" (34), to group herself with the so-called "ladies" like Judy Trenor, Bertha Dorset, and even Undine Spragg in *CC*, and to remain in "the great gilt cage" (45) of the social house of mirth. "To be herself" is, paradoxically, to be unfaithful to her real self, the real Lily who is at odd with the "vast mysterious Wall Street world of 'tips' and 'deals'" (65), the Lily who yearns to find Selden's Republic of Freedom and to uphold her authenticity. But for her sensibility of women's actual handicap, Lily would not be able to perceive that reality for women is Pygmalion story in reverse. This "herself" is essentially a projection of man's ideal society woman image, so is it a cultural representation of *his* social identity. "It" is a selfless but highly decorated statue, a personal possession belonging to some male household. In Elizabeth Ammons' words, "the economics of being a woman in Lily's world amount to working as a wife, and working hard, to translate financial power into social power by displaying a particular man's wealth for him" (350). Shared by many critics, Ammon's analysis initiates the study of the association of Wharton's narratives and Veblen's socio-economic theory of the leisure class women. Yet Gilbert and Gubar are two of the first to underscore the key questions that, "What will happen to a sex parasite with no one to feed on?….what must become of a woman who represents no one and nothing?" (144). Truly indeed, in her reluctance to commodify herself into a valuable product in the market, Lily is not even qualified for the role of "the man's chattel."

What is notable about Lily's refusal to the custom of the society is that underneath her social mask is her repressed desire to hold the ownership of her true self. Behind her public mask of femininity, in other words, is her sense of morality and humanity. Many a time Lily puts aside the cold market calculation and remains faithful to her personal wish and desire. Not that she is unable to predict "the luxury of an impulse" (15), but that her natural goodness has not been fully mechanized and coarsened by the materialistic codes and that she would like to liberate her real self out of the social cage sometimes. As Kathleen Moore in her recent psychoanalytic study points out, "Lily Bart looks to a fixed self-image and an allegiance to an established social class to forge a coherent sense of self, yet these identifications are often placed in conflict" (9)[13]. What with her personal interest in Selden, she accepts his invitation to tea in his bachelor's apartment, in regardless of his inability to *buy* her and the uncountable cost she will have to *pay* for the "escape from routine" (15). Also because her indulgence in the delight of his company, Lily makes herself a prey into Bertha's web of jealousy and revenge, and consequently depreciates the value of her social body in the eyes of Percy Gryce, a potential buyer and host. The most serious social blunder is, of course, her reception of Gus Trenor's *help* and *gift* that are not for free. When the social Lily resolutely confirms the power of money to Selden that, "Money stands for all kinds of things—its purchasing quality isn't limited to diamonds and motor-cars" (57), the innocent Lily believes that her relation with Gus is solely business, too pure to go further into the core of the exchange market that money "is not the only currency in circulation" (Dimock, 783).

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[13] In her analysis, Moore departs her study from Frued's *Group Psychology and the Analysis of the Ego*, suggesting that the internalization of the image of the other includes "identifying with one's own outward appearance (I am the reflection I see in the mirror), as well as with the outward appearance of others (I am a coherent self just like the others I see)" (8). In Wharton's Lily we witness the power of society's gaze, so do we see Lily's death an ultimate result of the discordance between her two selves, the real/ private self and the social/public self. Moore's idea is very much similar to John Berger's argument about man's objectification of women in *Ways of Seeing* (NY: Penguin, 1991) that, "Men look at women. Women watch themselves being looked at. This determines not only most relations between men and women but also the relation of women to themselves. The surveyor of woman in herself is male: the surveyed female. Thus she turns herself into an object" (47).

When her age becomes pressing and corroding to her public status, Lily, apart from the attempts to find a possible buyer, strives to support herself economically through stepping into the business world and investing her limited money in the stock market. In Dimock's analysis of the exchange system, "Business, in the social world, operates by what we might call the commodification of social intercourse. Everything has a price, must be paid for" (784). There is no free lunch, in short, in the highly commercialized society. Gus's agency and consultancy for Lily's investment are expected to be paid up in another form of money as gratitude, say, Lily's sexual favor. His monetary language gives Lily a "paralyzing sense of insignificance," so does it speed up her initiation process by unfolding the truth that "a woman's dignity may cost more to keep up than her carriage; and that the maintenance of a moral attribute should be dependent on dollars and cents" (135). A social signifier refused to be signified, Lily becomes a social rebel in turning down Gus' proposal of exchange after her pathetic epiphany. As against the other society women, Lily shows her transgression in the refusal of selling out her real self.

Nowhere is Lily's insistence on self-integrity more clearly demonstrated in her devious dealing with Rosedale's proposal to marriage, which would assure Lily of a safe social identity and clear all her money problems. Presented in a contractual attitude, this marriage proposal is in essence the most vulgar but honest discourse among all the male characters in the novel. It should be pointed out first that while Gus regards Lily as a sexual article from a commercial viewpoint, Selden sees Lily as an artistic and beautiful *object* from an aesthetic perspective. Rather than looking into the real Lily behind her social mask, Selden mistakes the representative image of the public Lily for the real Lily. As the narrator comments, "How could he (Selden) lift Lily to a freer vision of life, if his own view of her [is] to be colored by any mind in which he [sees] her reflected?" (126). In disregard to Van Alstyne's reminding that "appearances are deceptive—and Fifth Avenue is so imperfectly lighted" (127), Selden is hindered by his own egoism from

identifying the authenticity and truth underneath the "imperfectly-lighted" surface. With this prospect in view, he is more a hypocrite than Gus, more a coward than Lily. As sensitive as our heroine in perceiving the ugliness of the society, Selden sacrifices Lily for keeping himself aloof from the vain and greedy mass. One thing he does not know, when criticizing Lily for her hunting for a buyer, is that he is born a man, and that has already placed his position in the dominant group. As Lily laments on the double standard of gender, man only needs to keep quiet and let the girl marry him whereas she has to "calculate and contrive, and retreat and advance" (40). From the process of belittling Lily's *seemingly* internalization of the exchange concepts, Selden transforms his inability to afford Lily's expensive body into contempt toward her conspicuous waste of this aestheticized female body. Satisfied in the role of a detached spectator, Selden is an anti-hero who never shows up when the heroine is in need of help. He is eloquent, as his profession (lawyer) requires this skill, but he has never tried to work out with Lily in finding a language different from the official. To disguise his calculation with aestheticism and indifference, Selden is no more than a charlatan who openly despises monetary language but in reality treasures more social status than humanity and love.

The only language that Rosedale speaks is business, doubtlessly. However, in contrast to Gus and Selden, Rosedale never hides his true self and intention behind manners and euphemism. He proposes to Lily with perfect honesty about his intention, though it sounds awkward and greatly unpleasant: "I want my wife to make all the other women feel small….What I want is a woman who'll hold her head higher the more diamonds I put on it" (140-1). Viewing marriage as nothing more than a business contract, Rosedale needs a woman to work for him in the Fifth Avenue as an evidence of his success and pecuniary power in the Wall Street; but in return, the woman will be rewarded with a luxurious life, financial security, so to speak. To Lily, a social being familiar with figurative language, Rosedale's open and unembellished "business statement" is undeniably "too

grotesque" for a marriage proposal. Such proposing speech as he articulates is actually in accordance with Veblen's pecuniary emulation in the leisure class. As Veblen explains, "An invidious comparison is a process of valuation of persons in respect of worth" (22). In order to enhance his social reputability by excelling in pecuniary standing, Rosedale would like to invest his money in Lily, assign her to the game of competition in the society, and objectify her body into a luxurious ornamental that signifies his wealth and ability via the performance of representational conspicuous consumption. For all his vulgarity Rosedale is the only man to demystify the voice of the marketplace, the only one who dares to unveil the truth of the hieroglyphic world. Surely his later proposal about blackmailing Bertha also proves him a businessman in appearance and in heart. But unlike Selden and the others, Rosedale believes in Lily's goodness and sees into her real self, offering the suggestions he can think of to help her regain the power and status she used to have. However, even under serious financial and image crises, Lily still places more value on self-respect and ethics than economic gains and social standing at the end. The spreading delineation of her loneliness throughout the story just reflects her solitude as a woman who refuses to conform to the social codes and speak the official monetary language.[14] It would be too harsh to judge her as a hypocrite woman on account of her social lies, since in contrast to Selden, she openly speaks the market language but in fact takes pains to preserve her belief in human dignity.

Henry James in his *The Portrait of a Lady* demonstrates how Isabel repeats Maggie's fate in George Eliot's *The Mill on the Floss*, how she is transformed and *portrayed* by the society from a self-conscious woman into a submissive, amiable, and voiceless lady entrapped in the four walls of

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[14] Throughout the whole novel, Lily is ceaselessly bothered by the sense of loneliness. Although she feels it unbearable and penetrating, yet as Elizabeth Stanton, the leader of Women's Suffrage Movement, in her 1892 speech "The Solitude of Self" encourages women ahead of their time, "No matter how much women prefer to lean, to be protected and supported, nor how much men desire to have them do so, they must make the voyage of life alone, and for safety in an emergency, they must know something of the laws of navigation" (247-8, from *Elizabeth Cady Stanton, Susan B. Anthony, Correspondence, Writings, Speeches*. Ed. Ellen Carol Dubois. NY: Schocken, 1981). Shared with Edna Pontellier in *The Awakening* the feeling of loneliness, Lily can hardly learn the laws of navigation, as the guidebook has not been written for women in this transitional period, and the cultural New Man has not been born into the world.

the home. On the contrary, Wharton's *The House of Mirth* is a Bildungsroman in which Lily changes herself from a culturally and socially defined "lady" into a modern woman who dares and defies, to borrow Kate Chopin's word in *The Awakening*. Ostensibly, all of Lily's attempts to survive as a society woman go for nothing toward the end of the novel with her premature death. In terms of humanity, however, Lily is a success. Her debt to Gus does not inundate her self-respect as a human being, nor does it alter her decision to decline Rosedale's two proposals, which sound theoretically functional in a mechanized materialistic world. When Theodore Dreiser's Carrie grows to understand the superficialities of her world and adjusts herself to perform a social metamorphosis, when Stephen Crane's Maggie engages in prostitution for money, Wharton's Lily would rather downgrade her social position to the working-class than exchange her body or real self for financial support. In a society where money is the only criterion of reputability, power resides tightly with those who have money and those who are acquainted with the art of display. Wharton, with the purpose to stress the difficulty of becoming a modern new woman, contributes Lily's story to explain how hard it is for a woman of budding sense of subjectivity to fight against a society like this. In Elaine Showalter's interpretation of Lily's death, she says,

> The death of the lady is …also the death of the lady novelist, the dutiful daughter who struggles to subdue her most powerful imaginative impulses. If Lily Bart, unable to change, gives way to the presence of a new generation of women, Edith Wharton survives the crisis of maturation at the turn of the century and becomes one of our American precursors of a literary history of female mastery and growth (372).

Lily's death is definitely not a suicide; rather, her dead body is a living text that shows both the hardship a woman with awakened sense of the self has to go through, and the coming age of the cultural New Woman. Lily, in a word, is Wharton's portrait of a *woman*, a human being repudiates the role of economic parasite.

The Custom of the Country: Market, Morality, *Price* and Prejudice

Wharton's critique on marriage and materialized sense of value is presented in a totally different picture with the creation of Undine Spragg in *The Custom of the Country*, in which the female capitalist commodifies and exchanges not only herself but everything and everyone in her world for her personal pleasure and desires. According to Gilman, marriage around the fin-de-siecle America reinforces capitalist principles of supply and demand, claiming that, "He (the husband) is the market, the demand. She (the wife) is the supply" (86). In a similar vein, Veblen confirms the barbarian status of women in his interpretation of the beginning of ownership that, "Her sphere is within the household, which she should 'beautify," and of which she should be the 'chief ornament" (11). Both arguments are stringent. To a remarkable extent, however, Wharton's Undine Spragg thoroughly applies the capitalist-patriarchal principles to her management of marriage-enterprise and reverses the whole relation between husband and wife with her perfect understanding of and practice on power manipulation. If Carrie Fisher fails in her preaching to Lily that "It's not a pretty place; and the only way to keep a footing in it is to fight it in its own terms" (*HW*, 197), her instruction is definitely verified by Undine's exercise on "rotary marriage" (Patterson, 215) with which she marries and divorces according to the economic principle that "a married person terminates his (or her) marriage when the utility anticipated from becoming single or marrying someone else exceeds the loss in utility from separation, including losses due to physical separation from one's children, division of joint assets, legal fees, and so forth" (Becker, 10). Just as Bertha Dorset exploits her female rivals relentlessly in *HM*, so Undine here utilizes to the hilt her husbands in the name of the consuming and dependent parasite. Signified by patriarchy as the weaker, the consumer, and the decorated ornamental, Undine *legally* exploits her husbands with her masquerade of a faultless femininity.

A perfect example that complements what Joan Riviere writes in "Womanliness as a Masquerade,"[15] Undine adopts a *trained* and *learned* femininity to mask her will for power and masculinity, but worth noting is that underneath the mask lies not a fear for the punishment from the Father but a growing sense of the self and intense care for personal interest. In Stephen Heath's reading of Riviere, the masquerading woman "becomes the woman men want, the term of phallic identity, phallic exchange" (52). As a psychoanalytic double to Veblen's interpretation of women's representational function, Heath's analysis assumes that "[d]isguising herself as a castrated woman, the woman represents man's desire and finds her identity as, precisely, woman;" therefore, "[t]he display of femininity, the masquerade, hides an unconscious masculinity" (55). According to Judith Butler, furthermore, "Women are said to 'be' the Phallus in the sense that they maintain the power to reflect or represent the 'reality' of the self-grounding postures of the masculine subject….To be the Phallus is to be signified by the paternal law, to be both its object and its instrument,…the 'sign' and promise of its power" (45). In a nutshell, to wear the mask of femininity, traditional women show their obedience (or fear) to the hegemony of the Father's law. In other words, femininity is a cultural product, an illusion invented by male fantasy of the ideal submissive woman, a projection of man's desire to take a full control over woman.

Good at learning social gestures, mannerism, and the dominating symbolic rules, Undine knows quite well that only when she puts on the mask of traditional womanliness can she be armed with a lawful right to fight against the patriarchal sign system "in its own terms." She is Gilman's economic parasite, so is she a Veblenian consumer whose conspicuous consumption signifies the male masters' pecuniary power. And it is right with her ostensibly conformation to the parasitism

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[15] First appeared in 1929, this article is later collected in *Formations of Fantasy* (NY: Routledge, 1989) with Stephen Heath's critique on it. As her thesis statement states, "women who wish for masculinity may put on a mask of womanliness to avert anxiety and the retribution feared from men" (35). Explaining her argument, Riviere further offers an analogy that womanliness as a masquerade is "much as a thief will turn out his pockets and ask to be seared to prove that he has not the stolen goods" (38).

and consumer culture that Undine feeds her personal lust for amusement and respectability, the two things that she wants "passionately and persistently" (200-1), with her justified, unmatched exploitation of the male masters. Although she is born as the cultural, social, and economic "second sex," Undine shapes herself into a capitalist consumer who knows how to manage power through her penetration into the fluidity, flexibility, and transferability in power relation. Rather than being guided by her husbands, she is the very navigator in the household and the social stage that decides where the boat should head for. Lily refuses to take the fate of being objectified and commodified in the fear of losing her subjectivity, whereas Undine makes herself a highly self-centered subject in the role of the powerless object in the marriage market. As Ammons claims, "Endowed with a cunning business sense, Undine makes marriage her business in life. She speculates in husbands just as husbands speculate in stocks, and she is skillful at it" (121). Few heroines in American literature can surpass Undine's image as a successful female enterpriser who ambitiously engages in the marriage game ruled by male players, coldly calculates every of her investment and utility, and wins the card and money without any concern of humanity and morality. No doubt she is a "monstrously perfect result of the system: the completest proof of its triumph," (120) as she tightly follows the *custom of the country* that expects men to make conspicuous money and asks women to perform conspicuous spending for putting into evidence the men's pecuniary capability. She is, as a matter of fact, an ideal character that Wharton invents to challenge traditional definitions of both womanhood and marriage at the turn into the twentieth century, so does she outdo the other Whartonian female characters in that she embodies the commercialized urban culture that takes personality and individualistic desire as vogues.

Still to be explained, Undine's persistence in her socially designed job of consumption demonstrates another important phenomenon about the society women who have to work hard at displaying their male households' wealth in front of the public gaze. As defined by Veblen,

"Conspicuous consumption of valuable goods is a means of reputability to the gentleman of leisure" (47). Women, in other words, are leveled with servants and demanded to perform a vicarious consumption for the gentlemen of leisure. What Veblen does not comprehend is that "while there was increasing surveillance of women at leisure and mounting pressure to make their leisure signify distinction, the other side to this was that women were able to have fun, indulge new desires, enjoy the attention and admiration that came from display, and have access to resources in order to put on an effective 'show'" (Montgomery, 11). Also stimulation to society women, the heterosocial setting and its fashion business and shopping windows stir up women's desire to beautify their outward appearance for *personal* pleasure and need. Their emphasis on appearance and strong desire to compete with one another for admiration-gaze and public adorn provide them with abundant and appropriate excuses to ask the male household heads for more money on expensive dress and costly social activities. Suppressing the real intention for pricey goods, these society women relate their hard working at appearance to the loyalty to the womanly job of vicarious consumption, and their luxurious ways of living, a performance to show the men's power. Behind appearance, virtually, hides highly sophisticated female subjects who consume the men only to produce *personal* charms and images for beauty competition in public realm. To a significant degree, leisure and the role of vicarious consumer not merely legitimize the society women's demand for luxury, but also conceal their growing sense of personality and subjectivity. It comes as no surprise that Undine, "an ardent believer in 'right'" (275), discards Ralph and Raymond without hesitation when finding out their disqualification in fulfilling the men's job, which is, making enough money for the wife to fund her custom-required extravagances. In consistency with market principles, Undine finds marriage dissolution unavoidable while the utility from remaining married falls below that from divorcing or remarrying. Just that the irony resides in a fact that the utility she

is scheming is based on her personal pursuit for pleasure and fame instead of the concern about the male masters' consumption ability.

Equally important is that Ralph and Raymond, though with different family backgrounds and personalities, both try to mold Undine into their ideal women images; for Ralph, she is an infantilized innocence always in need of protection and guidance, and for Raymond, a selfless aristocratic woman who has to show respect to the husband's family title, heritage, and tradition. Their marriage proposals are made with a confirmation that Undine is shapeable, as normal women are selfless beings subject to men's demands. Unable to see the real Undine under her mask of femininity, Ralph romanticizes his role as a virgin savior who sees Undine as a naïve country girl lacking "any sense of relative values" of urbanity and would possibly be a potential "prey to the powers of folly" (50). It is his gender prejudice on women's weakness that makes him believe that it is his chivalrous responsibility to protect this inexperienced innocence, as he instructs Undine that "You know nothing of this society you're in; of its antecedents, its rules, its conventions; and it's my affair to look after you, and warn you when you're on the wrong track" (94). It is ironic that the "virgin" has married and engaged to two different men before selling herself to Ralph; she exchanges sex for almost everything that she longs for without any sense of shame, defining values only on the basis of the Wall Street economic principles instead of morality; she enacts the role of the fragile lady, pretends to suffer from physical fatigue and mental disorder,[16] and makes the romantic knight yield to every of her desires for amusements. Rather than remaining a faithful projection of his imagination of the ideal little woman, this "virgin" objectifies and shapes the savior as a voiceless springboard to the upper-class society and a respectful public identity. He is

[16] In the introduction to *Invalid Women: Figuring Feminine Illness in American Fiction and Culture, 1840-1940* (Chapel Hill: North Carolina UP, 1993), Diane Price Herndl offers a clear analysis of the relation between female invalidism and women's manipulation of power. According to her study, female illness has been seen largely "as a result of the oppressive use of male power, as the resistance to oppressive power, or as the means to a kind of power of its own" (5). The three approaches are actually overlapping as they highlight a common truth that women are generally oppressed by patriarchy and, in order to show female resistance to the symbolic, women manipulate a sacrifice modeled on the purpose of loosening the original power relation between two sexes.

the "real thing" (59) that she has to possess on the purpose of uplifting her social standing, strictly speaking.

Unlike Lily, Undine does not wish for a romantic marriage of spiritual union, because to her, love is not materially useful and "real" in the marriage business. As Ralph fails to afford her expenses and enhance her public charms, he proves himself an irresponsible husband and useless human-prop, no longer "real" in the eyes of Undine, and hence has to be replaced by another "real thing" as soon as possible. In Edmonds' words, "Undine's redefined perception of the 'real thing' as any individual whose social power, personality, and money she could use to become a star player in society drives her to be a ruthless businesswoman, particularly when it comes to purchasing and exchanging commodities" (12). Truly indeed, neither Ralph's sickness nor his tragic suicide arouses any emotional agitation like regret or guilt in Undine; instead, with his death and the unexpected money he leaves behind for Paul, the female enterpriser feels "released" and ready to move on to a better buyer in the market, investing her symbolic body in the relation with Raymond, a "real thing" from the wealthy French aristocratic family.

Again, in seeing Raymond's strong intention to cultivate her into an altruistic lady, Undine finds that the cross-national economic contract minimums the utility of the marriage she looks for. Little wonder that the episode of their marriage is rather short, since it reflects the typical union in which the husband views the wife as his personal property, one of his collections to show off and to prove his social standing. This union does not promise Undine more freedom and power to purchase things that can earn her public attentions; what is worse, it deprives her "inalienable right to 'go round'" (273) and freedom to visit places and people as she wishes. It is then apparently a bad deal that has to be terminated, especially when Undine realizes that her pretended illness, the "old weapons of aggression" (297) lost its effect on her husband. One thing significant about their short-lived marriage is that their argument over the Chelles' family tapestries explicates both

Undine's price theory and Raymond's prejudice against American New Wealth. Apparently Undine equates the value of an object (human included) with its price in the market. The tapestries appear useless unless being exchanged for money with which the society woman can afford a luxurious life. But to Raymond, while the beautiful wife is a personal property that proves his ability to afford expensiveness, the ancestral tapestries are collections that confirm his ability to sustain family title and long-history tradition. Furthermore, it is Undine who renounces the ancient French title and ends this marriage contract in seeing Raymond's attitude in economizing a stark contrast to hers. Worth noting is that learning from her previous experience of divorce, Undine knows that not until she secures herself a new buyer can she throw away the social identity that Raymond offers with his family title. Putting on the mask of womanliness again, Undine makes herself a desirable sexual object in dealing with Moffatt about the possibility of forming up a partnership. Her role as a victim betrayed and spiritual abused by Raymond immediately ensnares the new buyer into a marriage contract.

Probably no heroine better exemplifies the American obsession with money and power than Undine, and denunciation to her cold calculation and inhumanity has never ceased in Wharton criticism. Nevertheless, Undine is as courageous as Lily in her daring to be different from other women deferring to the Father's Law and its infantilization of women. Always active and determined in her pursuing for a better place in the society, she keeps absorbing lessons from her own social downfalls. But for her strong will for power and sense of the self, she would become another Isabel Archer while physically confined to Saint Desert by Raymond. It might not be pertinent to describe her as a female Prometheus Unbound as her quest is money and money only, but it is her energetic and positive élan that secures her empire in the society. Both Gilman's and Veblen's theories are reliable in explaining her role as an economic parasite and its economic function of performing conspicuous consumption for the male hosts in the public. Yet neither

Gilman's nor Veblen's interpretations of the relationship between producer and consumer can fully encompass the complexity of Undine's masquerade of femininity. In order to survive in the social jungle, Undine has to play the game in its own terms. By claiming the right of the weaker, she successfully makes the stronger yield to her desires. The power is then resides with the seemingly weaker.

Conclusion

With *HM* and *CC* Wharton creates two dissimilar heroines fighting against the same social system that does not allow women to seek personal identities. Rebels to this gendered system, Lily and Undine recognize their subjectivity and painstakingly preserve this awakening to the independent "self." Lily has to die so that modern new woman can be born. Undine's desire must not end until she can claim her subjectivity as a humane human-subject. What makes Lily's and Undine's characters so compelling is that both heroines embody the cultural, social, and economic shifts of their time, a time that witnessed the rise of consumerism and the conflict between the Victorian Angel and the Modern New Woman. In her failure of getting herself a male host to represent, Lily proves both her defiance against the planned fate of being a senseless, selfless, and symbolic ornamental, and her ambition to find conjugal affection and individual identity in the man-made world. In her monstrous calculation and insensibility of tradition, Undine shows her wit in power manipulation and confirms her right of subjectivity in the role of the ornamental object. Their strategies are apparently different, yet their stories together reveals two messages from Wharton's reading of her society: One, inspired by the spirit of progressivism as men are, women with self-awareness and self-interest can hardly be "portrayed" into ladies or "sculptured" as altruistic angels subject to men's desire and demand; two, within such a liminal phase, though rapid

changes in gender roles provide women with new possibilities to redefine womanhood and femininity, yet it enhances the difficulties of finding a role that meets both social expectations and self fulfillments.

Based their socio-economic theories on human evolution, both Gilman and Veblen present multifaceted cultural criticism on the relation between personality formation and social organization in American Progressive Era. Sharing with Gilman the realization of women's economic parasitism and with Veblen the representative role of the society women, Wharton documents in her fiction how American culture's obsession with appearance and material possessions opens a gate for bourgeois women to the public realm and how women's economic functions reflect the macroeconomics of the United States at the turn into the twentieth century. Unlike Gilman who locates her story of women's autonomy in a far away utopian *Herland*, Wharton examines "Woman's Question" and the relation between gender and economic functions in the social context of early consumer culture. As monetary language and materialistic value overwhelm all else in this consumer culture, Wharton, by the roles of Lily and Undine, confirms Veblen's analysis of the conspicuous consumption in the leisure class; but with a step further, Wharton asserts that women's barbarian status does not completely confine them to the role of the exploited. Power is fluid as it goes to whoever knows the way to decipher social codes. Men as well as women are eligible for both the exploited and the exploiter. Lily's success lies in her refusal to enter the social house of mirth whereas Undine's lies in her manipulation of the custom of the country.

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Abstract submission for the Third Hawaii International Conference on Arts & Humanities

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The Meaning of Cheng-Huang Worship and Cheng-Huang Temples in the City -
A Comparative Study of Cases in Tainan City

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Abstract

Cheng-Huang is one of the most idiosyncratic gods of Taiwanese traditional religion. Because of his dual god/ghost status, *Cheng-Huang* is full of legends and dramatization. According to cultural tradition, the duty of *Cheng-Huang* is multifaceted, including "the protector of the city" and "the governor of the nether world", a fact has made the god refer to people's everyday lives. The paper starts with the study of *Cheng-Huang's* origination, development, duties and characteristics.

Tainan, the oldest city in Taiwan where the earliest administration center is located, owns the first *Cheng-Huang* Temple in Taiwan. There is also a *Cheng-Huang* Temple in Anping which is the origin of Taiwanese history. Through documents research, observations and field investigations, the paper also compares the constructional history and background of five Cheng-Huang Temples in Tainan (including city center and Anping). After exploring Cheng-Huang and the background of the temples above, the influences on the temple's layout, worship space, traditional built form, arrangement of the shrine, "*bian*"(inscribed boards) and "*lian*"(inscribed couplets) of the five temples will be analyzed in order. The objective is aimed to enhancnce the awareness of the influences between the cultural and religious factors and the temple design.

Keywords: Cheng-Huang, Cheng-Huang temple

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From Coed to Courtesan: Corsets, Costume & Sexual Status in Postwar Hollywood Cinema

In the 1950s, the hourglass figure, as epitomized by the couture designs of Christian Dior, was the most au courant fashion in the Western world. Paradoxically, this “New Look” was also a nostalgic return to the Paris of the Belle Epoque, and the world of courtesans and carriages in the Bois de Bologne as detailed in the novels and novellas of the French author Colette. Part of the rage for Paris in the post WWII period was due to the fact that American citizens were visiting the City of Light in record numbers. The place they wished to see was one that they held in their mind’s eye--a locus of frothy, champagne infused fantasies, based on scenes from Ernst Lubitsch’s 1930’s musicals, in which can-can girls and illustrious courtesans held court in such luxurious nightclubs as Maxim’s. This paper explores a number of Hollywood films, including the phenomenally successful *Gigi*, to illustrate how the “costume of the courtesan” was used as a visual symbol of sexual experience and sophistication. In an era in which the Production Code prohibited explicit sex and overtly sexual language, the change from a sweater-wearing coed to a corset-wearing courtesan insinuated that the female character had also, in effect, become a woman, and was cultural shorthand for the larger transformation that went unspoken.

Winnicott's True Self and Transitional Spaces in Kurt Vonnegut's Fiction: A Psychoanalytic Study

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When I was reading again Vonnegut's, *Breakfast of Champions* (2000) the other day and I came to that part when Rabo Karabekian, Vonnegut's trashy split-off artist, explains to the vulgar Midland people the nature of the painting the payment for which has shocked the city, D.W. Winnicott's concept of the sacred Self came immediately to my mind. Let us see what Vonnegut's painter says:

> "I now give you my word of honor,' he went on, "that the picture your city owns shows everything about the picture of the awareness of every animal – the `I am' to which all messages are sent. It is all that is alive in any of us – in a mouse, in a deer, in a cocktail waitress. It is unwavering and pure, no matter what preposterous adventure befalls us. A sacred picture of Saint Anthony alone is one vertical, unwavering band of light. If a cockroach were near him, or a cocktail waitress, the picture would show two such bands of light. Our awareness is all that is alive and maybe sacred in any of us. Everything else about us is dead machinery. (p. 221)

What Vonnegut, I think, is articulating here – through Karabekian - is the sense of his True Self (Winnicott, 1960) which he had been cut off from because of the `preposterous adventure' that had befallen him in the festering pit of modern civilisation. Robert Merril (1994), Robert W. Uphaus (1994), and Bill Gholson (2001), have all, significantly, noted how Vonnegut makes himself or his own history the chief character in this novel. Merril, also, points to the importance of Rabo Karabekian and his painting in helping Vonnegut to spiritually re-find himself. Vonnegut, then, who has survived the Depression, and also the Dresden bombing, along with the criminal rapacity of the American rich, and the destruction of his blue-green country by the industrial Machine, and who is now as damaged as his fictional characters, is at last brought back in touch with his lost self.

In contemporary psychodynamics, the artist or the poet or the analysand can always get in touch with the hidden aspects of his inner self. This makes for healing and cure in the psychoanalytic situation. This was the key issue in D.W.Winnicott's object relations theory. As Harry Guntrip (1995) states, for Winnicott, this regression or getting back in touch `did not mean the usual and familiar concepts of going back to a trauma or to a fixation point simply; it is something more subtle and constructive than that. It is a return in search of the lost core of the real self' (pp. 409-410). Winnicott clarifies here: The True Self (1960) `goes into hiding owing to inadequate mothering and disturbing impingements in infancy. It is frozen and kept out of touch with the impinging outer world until some time when it is hoped that a chance may once more arise of bringing it

out under more favourable circumstances' (pp. 142-3). It was the existence of this hidden and secret hope that Winnicott (Guntrip, 1995) regarded as decisive for the prospects of therapy. The analyst or the work of art or fiction therefore had to reach and help this hidden self with its secret hope. And this is what, I think, Vonnegut is doing in his novel: he is creating a setting or scene where as Charles Rycroft (1985) says `connections with previously repressed, split off and lost aspects of the self can be re-established' (p.123). The therapist, too, performed the same task in object-relations psychoanalysis – helped the patient `reach back to very early phenomena' and aided him to `verbalize without insulting the delicacy of what is preverbal, unverbalized, and inverbalizable except perhaps in poetry.' (Winnicott, 1953) Vonnegut, therefore, in this scene, becomes, what Christopher Bollas (1992) says, a character `which means bringing along with one's articulating idiom those inner presences that we all contain, now and then transferring them to a receptive place in the other' (p. 62). At first Vonnegut does not realise that he is confronting himself in Karabekian. He calls him `a vain and weak and trashy man, no artist at all' (p. 220). But he, suddenly, goes through a miracle of revelation. He understands that Karabekian is his own lost object and getting back to him has `made him the serene Earthling' (p. 220) that he has become today. And with his `life being renewed by the words of Rabo Karabekian' (p. 223), he can go on now with the story of his life and with the story of his characters. The stories, then, Vonnegut writes, are not real but they are not unreal either. They belong to what Winnicott (1953) calls the potential or transitional space that exists between dream and reality, a space that transcends the dichotomy of objective and subjective reality.

Winnicott's concept of the True Self and of the transitional or potential space that exists between the subject and the object is rather exceptional, especially in the light of the fact that postmodern theories of art and culture have long dispelled the notion of an autonomous, self-responsible individual. Nothing is seen as so dissected and traversed (Anthony Elliot, 1994) as the post-modern individual who has no reality beyond the social, technological, and cultural discourses that enfold and control him. His desires are not his, his motives are not his, his actions are not his, but all determined by the meaningless `others' in his life. This state of the self is what Winnicott (1989) aptly describes as depersonalisation – where subjects don't feel that they are alive and actively and emotionally engaged with an environment that gives them meaning. According to Winnicott, (1960) this proceeded from a complete dissociation between the mind of the subject and his psychosomatic existence or, in other words, from a loss of psycho-somatic collusion. Such individuals therefore feel unreal or phoney the more they are successful, the more they are surrounded by glittering material objects. `Instead of cultural pursuits,' Winnicott adds, `one observes in such people extreme restlessness, and an inability to concentrate, and a need to collect impingements from external reality so that the living time of the individual can be filled by reactions to these impingements' (p. 150). This split therefore between the subject and the object or between the psyche and the soma was an issue that Winnicott addressed throughout his writings. (Madeleine Davis, 1983) And he sought means in his innovative way (through transitional experiencing) to bridge this split and to restore the subject to itself, or to restore to it, its primary sense of being. First `being' as Winnicott (1982) said, then `doing and being done too' (p. 99). Thus, it was from the perspective of this ontological quest that Winnicott formulated the notion of the True Self as something sacred, (Dodi Goldman,

1993) a sense of which was born in our earliest transactions with the environment. It is the mother (Winnicott 1960) who by a near perfect adaptation to her baby's needs, where he feels he has created the breast that she presents, gives birth to the notion of a unitary self which then becomes the command centre of our actions and motivations. …`the true self does not become a living reality except as a result of the mother's repeated success in meeting the infant's spontaneous gesture or sensory hallucination'(p. 145). Winnicott adds here: the `self naturally knows more than we do, it uses us and commands us' (1960). As Adam Philip (1988) points out, Winnicott used this concept to point to `the presence of something essential about a person that was bound up with bodily aliveness, yet it remained inarticulate and ultimately unknowable: perhaps like an embodied soul' (p. 3).

My contention, then, is that Vonnegut rediscovers his `unknowable' self repeatedly in the stories that he writes. He gets back to the internal presences of his life, and it is this capacity to reach back to his earliest memories that saves him and his heroes too from final despair. Kilgore Trout is another such split-off part of Vonnegut's self, who by weaving his fabled tales of other planets, saves not only the other fictional characters but also Vonnegut from the nightmare of modern living. Trout's significance as a moral, healing centre in Vonnegut's work is a matter usually agreed upon by critics (Thomas Marvin, 2002) (Peter Reed, 2000), although one major exception here is Lawrence R. Broer (1994).

Thus, Vonnegut with the help of his past-identifications becomes once more `an unwavering band of light'. And Kilgore Trout too, though his situation in *Breakfast of Champions* remains `complex, tragic, and laughable' becomes the same. Kilgore Trout at this point in this novel has finally arrived at Midland city but his feet have got encased in a weird kind of flowing plastic in Sugar Creek, which the author in his telegraphic fashion says is a product of both industrial, and Mafia America, which was, among other things, `fucking up Sacred Miracle Cave' (p. 227) and, as we see, also poor Kilgore Trout's feet. The Sacred Miracle Cave, of course, is not much in itself. It is quite phoney, its Moby Dick, *the Great White Whale* is only a boulder painted white but with `long-lashed blue eyes,' which disappear in a trice with the pollution of industrial waste, and its Sacred Miracle is a cross on the ceiling of the cave formed only by the intersection of two cracks, which according to Dwayne's young step-brother Lyle `never was real easy to see' in the first place and now perhaps not even there any more. But the point is this Sacred Miracle Cave is desperately real for many Americans, who still find in the thicket of stalactites and stalagmites making up the *Pipe Organ of the Gods* and the *Cathedral of Whispers* something more comforting and playful than what they find in the cathedrals and churches outside, and have therefore got married there by the thousands including some of the main characters of this book. We can say, then, that the Sacred Miracle Cave has functioned so far like a transitional phenomenon for many Americans. It is neither belonging to the internal world of fantasy nor to the external world of fact, but partaking of both elements, operates in its own psychological space. It provides a resting place from the ugly and pretentious America outside, and allows Americans to both play and get married too. But, sadly, this space is not left alone in the novel. Industrial America finally gets it, and like a bad mother disrupts this playing area for her children.

Winnicott's True Self, as hinted earlier, defies formulation. But since we operate in the world of language, we have to see how we can express this `incommunicado'

element. We have already seen how Vonnegut formulates it. He puts it as `a vertical unwavering band of light,' which he (or the painter Karabekian) says is the only real thing about us, our existential awareness – the `*I am'* – with everything else being dead machinery. Let us see now how Winnicott expresses it. Almost like Vonnegut, Winnicott (1960) puts forward a rudimentary definition: `It (the True Self) does no more,' he wrote, `than collect together the details of the experience of aliveness' (p. 148). Winnicott's True Self, then, becomes the `I am' to which all the details of aliveness are sent. Let us consider again Karabekian's words: `It is all that is alive in any one of us.'

Winnicott (1960) explains here that the True Self was a question of what, for each person, `gives the feeling of real' because the True Self represents `the spontaneous gesture and the personal idea. The spontaneous gesture is the True Self in action. Only the True Self can be creative, and only the True Self can be real' (p. 148). But the problem is the True Self can be buried under years of a wasted life, and to reach to it, to bring it up to the surface, one has to go to where it all started, that is, to the start of the wasted life. This process, according to Winnicott, can be aided by the analyst or as Vonnegut does, using his fiction to reach to a pristine awareness of his True Self, which has remained there to be found, behind all the debris of his done in life.

What we see above, then, is that Vonnegut has found his *own* way of discovering what is real for him, in these split-off images of his past self: in the characters of Rabo Karabekian and Kilgore Trout. In the depersonalised world the author portrays in his fiction where people lead their lives like they were characters in a book and where the conversations were mainly lines from television shows, or where every `person had a clearly defined part to play – as a black person, a female high school drop-out, a Pontiac dealer, a gynaecologist, a gas-conversion burner installer…' (2000, p. 142), or where as Kilgore Trout's truck driver in *Breakfast of Champions* talks of a sight he once saw while spending a night in West Virginia in a windowless building that droned monotonously, a sight that he could never forget of people on roller-skates who `went around and around…. Nobody smiled…. They just went around and around...' (p. 120), Vonnegut has re-found his sense of being in these identifications. So, at the end of this novel, when Dwayne Hoover has gone crazy hurting what he thinks are only human machines, Vonnegut meets up with Kilgore Trout again; they then travel together in imagination to where it began for both of them – for Kilgore Trout the Bermuda of his childhood where the beautiful Bermuda Erns had once been and for Vonnegut the Indianapolis of his childhood that he had lost with the Depression. And at this point Vonnegut is ready, finally, to free Kilgore Trout. He doesn't need this ghost any more. At least it seems within the world of this novel, Vonnegut has found his lost self, or rather he seems to know now the secret of his life story. Jonathan Pedder (1979) quoting Jung (1963), says, `The patient who comes to us has a story that is not told, and which as a rule no one knows of….If I know his secret story, I have a key to the treatment….In most cases exploration of the conscious material is not sufficient' (p.138). Finding his own secret story, Vonnegut, then, cures himself and frees Kilgore Trout. For people damaged in their childhood environment, which we know Vonnegut has been, psychoanalysis provides, Winnicott (1982) writes, an environment in which

> `the patient will find his or her own self, and will be able to exist and to feel real. Feeling real is more than existing; it is finding a

> way to exist as oneself, and to relate to objects as oneself, and to have a self into which to retreat for relaxation. (p. 138)

Vonnegut, then, creates a setting, which gives him back to himself, and he does not need Kilgore Trout, at least not in this work any more.

In a paper called `the Mirror Role of Mother and Family in Child Development,' (1967) Winnicott uses the example of the mirror to explain the mother's function in creating the infant's sense of self. He suggests that `the precursor of the mirror is the mother's face' and that the `mother's role [is] of giving back to the baby the baby's own self' (p. 138). The infant, in other words, in looking at the mother's face can see himself, how he feels, reflected back in the expression. If the mother is preoccupied with something else, the baby in looking at her will only see how she feels. He shall fail to get `something of [himself] from the environment.' If the mother or the object is unable to respond to the infant's gesture of personal need, `the central self suffers insult,' because the baby will be unable to recognise himself in her distracted response. So for Winnicott, psychoanalysis, like a mother's long term tending of her infant and child, is a `giving back the patient what the patient brings' (p. 137).

What Winnicott (Pedder, 1992) means here is the child's self-image is built up by seeing himself - or herself reflected in the mother's face. The child with an unresponsive mother - the mother whose face is frozen by a depressed mood – is forced to perceive, to read her mood at the cost of his own feelings being recognised. This perception that pre-empts apperception is an early form of compliance. Unable to get `the mirror to notice and approve' the child is compelled to see what the mother feels. Not to be seen by the mother, at least at the moment of the spontaneous gesture, is not to exist. In Winnicott's account, being seen by the mother is recognized for who one is, and what the infant is, is what he feels. The infant cannot risk looking, if looking draws a blank, he must get something of himself back from what he looks at.

> ….What does the baby see when he or she looks at the mother's face? I am suggesting that, ordinarily, what the baby sees is himself or herself. In other words the mother is looking at the baby and what she looks like is related to what he sees there. All this is too easily taken for granted….I can make my point by going straight over to the case of the baby whose mother reflects her own mood or, or worse still, the rigidity of her own defences….. (Thus) many babies…do have to have a long experience of not getting back what they are giving. They look and do not see themselves. (p. 131)

In this last case, the True Self goes into hiding and the False Self takes over with its sense of depersonalisation and unreality.

In Vonnegut's work too, the numberless, unnamed Americans look at the mirror of contemporary culture and they do not see themselves. For them this mirror has gone blank or distracted. This is the state of the Reeks and the Wrecks of *Player Piano*, or the poor of Rosewater County, or the oatmeal-coloured islanders of San Lorenzo in *Cat's Cradle* who, with their thin bodies, their teeth missing, their legs bowed or swollen and with their women's breasts bare and paltry, have all suffered a numbing erasure of their subjectivity. (Bollas, 1989) These people have given up on life, just as Vonnegut's

parents had given up on life when the monstrous face of Depression had substituted their spontaneous life of productivity with its own mood of panic and flight. In Vonnegut's vision, not only has this culture failed to `notice or approve,' the masses of the dispossessed American, but it has, also, ravaged these children. This criminal, capitalist culture has plundered the land for centuries and continues to do so, having not only devastated the countryside but, also, having rendered masses of people useless and helpless before forces they can neither understand nor confront. Vonnegut (*Slaughter House Five*) goes to the extent of looking upon the World War 11 soldiers as children, who are fighting a Children Crusade, being controlled by authoritarian forces which are beyond control and even comprehension. So what we have here, in Winnicottian terms, is a profound saga of loss and breach of faith that his people have suffered in the hands of parental forces. These powers have always looked the other way, have always been distracted by their greedy games, to have ever cared to `notice or approve' or to respect and recognise the dispossessed American. This criminal negligence has, in fact, also recoiled on the American rich. Dwayne Hoover in *Breakfast of Champions* swaddled by everything that money can buy cries out like a baby and asks his maternal lover secretary, Francine Pefko, to tell him the purpose of life. This fucking human machine, as Dwayne Hoover himself calls her a little later, has, of course, no answer to this question.

Vonnegut, therefore, wrote God, *Bless You, Mr Rosewater,* as a fantasy to contend with this `Absence' of nurturing parental forces in contemporary American culture. He went on to create a character like Mr Eliot Rosewater, who happily takes over the role of Winnicott's (1960) good-enough mother. The irony here is that Mr Rosewater's ancestors are the main villains in the social tragedy of America. Villains would, perhaps, be a wrong word to use, because in Vonnegut's profoundly humanistic vision, they are, truly, no villains in this absurd life, but we could say that the Rosewaters do stand in Vonnegut's work as mainly responsible for all the things that have gone wrong with this country from the beginning of its history. William Godshalk (1994) points out that the crime of the Rosewaters lies `in the disinheritance of the majority of the American people' (p. 101). The Rosewaters did not only parcel up the land above for themselves - but also laid claim (Morse 2000) to `natural resources, inventions, slaves, technology, and so forth' (p. 156).

So, Eliot Rosewater emerges to make reparation for his ancestors' crimes. The river or milk of money has never been distributed fairly among the American people. As Eliot Rosewater tells his shocked Senator father that only a few privileged children have got to slurp from this river, and his task is now cut out – he is going to make sure that all the American babies get an equal share of this money:

> I think it's a heartless government that will let one baby owning a big piece of the country, the way I was born, and let another baby be born without owning anything. The least a government could do, it seems to me, is to divide things up fairly among the babies. (pp. 73-74)

Eliot Rosewater, then, decides to become nature's chief nourisher for all those babies cruelly neglected by America. Whether it be Diana Moon Glampers the sixty-year-old virgin who wasn't anywhere around when `the good Lord passed out all the money and the good luck,' or it be Mary Moody with her just born twins coming from a family of twinning and arson, or it be a war returned hero but now married with three children and

with no job, Eliot Rosewater is always there with his wide open bosom to nurture these poor, dumb Americans. We are told here that Eliot had an old habit of sending a share of International Business Machines stock to each child born in the country. Eliot becomes in fact the mother, the government, the Messiah, the Baptising Priest and the healing doctor all rolled into one. About to baptise Mary Moody's just born twins, this is what Eliot has to say:

> Hello babies. Welcome to Earth. It's hot in the summer and cold in the winter. It's round and wet and crowded. At the outside, babies, you've got about a hundred years here. There's only one rule that I know of babies -: God damn it, you've got to be kind. (p. 79)

And in a strange example of a wonderful transitional play, the poor of Rosewater country are not seen as so muted and inert. Eliot arouses them to a new productivity. Some even get into the act of helping this saintly man in their midst. And they devise new methods to rid Eliot of the one pest that torments him in his office, which was connected directly to the foul kitchen of the lunchroom below by means of a greasy hot-air register in the floor. This pest was Public Enemy Number One, which was the big, fat, American fly. In the Fly season, it was an `Augean task' to keep flies away. So, these babies with the nurturing they've received, innovate effective ways of ridding Eliot of the buzzing flies in his office. Morse (2000), also, notes how this fly-hunt incident serves as a good example of the fruitful relationship that develops between Eliot and the hapless of his county. The dumb of Rosewater County, then, learn to contribute in, to Eliot's life; they take samples from Eliot's reality and mediating them with their own inner reality, they are able to effectively rid him of this irksome American pest:

> …men and women hunted flies in very different ways. The men used rubber bands, and the women used tumblers of lukewarm water and soapsuds
>
> The rubber-band technique worked like this: A man would slice through a rubber band, making it a strand rather than a loop. He would stretch the strand between his hands, sight down the strand as if it were a rifle-barrel, let it snap when a fly was in his sights. A well-hit fly would often be vaporized, accounting for the peculiar colour of Eliot's walls and woodwork, which was largely dried fly puree.
>
> The tumbler-and-soapsuds technique worked like this: A woman would look for a fly hanging upside down. She would then bring her tumbler of suds directly under the fly very slowly, taking advantage of the fact that an upside down fly, when approached by danger, will drop straight down two inches or more, in a free fall, before using his wings. Ideally, the fly would not sense danger until it was directly below him, and he would obligingly drop into the suds to be caught, to work his way down through the bubbles, to drown. (p. 65)

We can say here that Eliot Rosewater has been able to, temporarily maybe, undo the crime of his forefathers. Tending the homeless in his land, he has been able to arouse them to a new aliveness and creativity.

In a fitting conclusion to the novel, Norman Mushari's plan to grab all of Eliot's money, for himself and for Mr Fred Rosewater, fails abjectly – when Eliot owns up his myth tale that he has fathered babies all over the Rosewater country. Mr Rosewater, as we know him now, has no problem with this crazy story. After compensating his cousin, Fred Rosewater, for a hundred thousand dollars, we have him saying this to his lawyer:

> Good. I now instruct you to draw up at once papers that will legally acknowledge that every child in Rosewater County said to be mine *is* mine, regardless of blood type. Let them have full rights of inheritance as my sons and daughters…..
>
> Let their names be Rosewater from this moment on. And tell them that their father loves them, no matter what they may turn out to be. And tell them – 'Eliot fell silent, raised his tennis racket as though it were a magic wand.
>
> `And tell them,' he began again, `to be fruitful and multiply.' (p. 167)

We can say here that the wheel for this parent figure for America's displaced children has come almost full circle.

To understand the precise nature of Eliot Rosewater's function in the novel, Winnicott's concept of play (1982) would, I think, be rather useful. In my mind, Eliot Rosewater enacts essentially a playful fantasy – plays the old parent-infant fantasy with the Rosewater County and brings relief to thousands of disinherited Americans. For Winnicott, the concept of play is closely linked with his concept of transitional phenomena. Play, too, like the latter, belongs to the potential space between dream and reality. This play or transitional space is further connected to what Winnicott calls cultural experience. Let us see how Winnicott formulates this:

> This intermediate area of experience, unchallenged in respect of its belonging to inner or external (shared reality), constitutes the greater part of the infant's experience, and throughout life is retained in the intense experiencing that belongs to the arts and to religion and to imaginative living, and to creative work. (p. 16)

Winnicott is linking up here the concept of potential experience between internal and external reality with the idea of cultural, creative, and imaginative living. Talking of the idea of playing, he further adds:

> And on the basis of playing is built the whole of man's experiential experience. No longer are we either introvert or extrovert. We experience life in the area of transitional phenomena, in the exciting interweave of subjectivity and objective observation, and in an area that is intermediate between the inner reality of the individual and the shared reality of the world that is external to individuals. (p. 75)

We are now, I think, quite close to understanding what Eliot Rosewater is doing in *God, Bless you, Mr Rosewater*. Let me use one last statement from Winnicott (1982):

> In playing, the child manipulates external phenomena in the service of the dream and invests chosen external phenomena with dream meaning and feeling. (p. 60)

What Eliot, then, is doing in this novel is that he is investing Rosewater County with his nurturing fantasy of the parent-infant matrix, and actually providing relief to innumerable Americans dredging out their lives in a terribly real world. For Winnicott, the idea of playing has a place and a time. It is not inside nor is it outside, that is, it is not outside magic control. `To control what is outside one has to *do* things, not simply to think or to wish, and *doing things takes time*. Playing is doing.' Eliot Rosewater, then, is in a real world of place and time where he has to do several things to make his dream work in the stark human misery around. Morse (2000) notes here that Eliot gives his entire fortune away, and brings much needed succour to the poor of Rosewater County, however fleeting or momentary though this might be. So, Eliot Rosewater plays with his Rosewater County but with real money and communication systems and the relief that money can bring in this otherwise absurd world.

In conclusion, one can say that Vonnegut's vision has hope for mankind, just as Winnicott's psychoanalytic theory has. However dark and gloomy the prospects of his fictional world, he still lights up those spaces where his beleaguered heroes can fool around. Despite the spiritual wasteland in his novels, his heroes create at will the happy world of illusions of Winnicott's creative child. Paul Proteus of *Player Piano* dances the dance of his life in his first dream of the Ghost Shirt Society, which is more real than the ugly realities of his daily life, where he bravely enacts a release from both his mechanical brides, his personal bride and the corporation. Howard Campbell of *Mother Night*, similarly, makes light of war through satire and laughter, and the huge lies that seem beguiling forms of truth, which he broadcasts over German radio during the War. Bokonon, too, in *Cat's Cradle* issues comforting lies for the distressed of San Lorenzo which for a while relieve their lives of its depersonalised monotony

It doesn't matter whether, Eliot Rosewater, Paul Proteus, Howard Campbell, or Bokonon cannot change the system. What is important is that they create for themselves a resting-place where they do not have to ask whether what they are doing is real or not. In Winnicott's terms, they are simply playing. They are not destroyers but creators of transitional objects and play spaces which are neither fantasy nor real but partaking of both. It is this creation that makes them feel that life is worth living and in the final account that is all that matters.

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The Glory of Kanchipuram, Tamil Nadu, India

Art in Architecture of Kailasanatha Temple

Topic: Architecture
Format: Abstract

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The Glory of Kanchipuram, Tamil Nadu, India

Art in Architecture
of
Kailasanatha Temple

The Pallava rulers of Kanchipuram were responsible to bring about the existence of the city as one of the vibrant religious holy cities of Hinduism. From seventh through ninth centuries, the city served as the capital for the Pallava rulers. It continued this importance even during later Chola, Vijayanagar, and Nayaka periods.

The Kailasanatha or Rajasimhesvaraj temple at Kanchipuram is the largest and most ambitious project undertaken by the Pallava ruler Rajasimha (c. 700 - 728). Constructed entirely of sandstone, the temple plan (a *Dravida* style), was proceded by no similar temple in size and complex of its time. Smaller projecting fifty eight *deuls* (shrines) enclose the outer elaborate wall at the corners and in the middle of each side.
There are seven smaller deuls around its central *gharbhagrihya* (inner sanctum). The eastern larger *gopuram* (gateway) has two others, one on each side. The internal narrow *pradakshina* area (circummambulatory) encircles the gharbhagrihya. Going through its very narrow *mukhs* (entry - exit passageways) brings the devoted Hindu a most auspicious omen while crawling through them An experience I recently shared at the temple.

The gharbhagrihya houses a multifaceted polished Shiva *lingam*. It is off-limits to any inner sanctum photography in any medium. Its rear wall exhibits a Somaskanda (Shiva's second son). The *bada* (walls) are on a high *pitha* (basement).with *ganas* (minor dwarf godlings, followers of Siva), and foliage imagery. Raised *yali* (griffin like mythical beast) figures adorn the *kumbhi* (base) of each *stambha* (pilaster). The same is repeated on the *vimana* (pyramidal superstructure). A live rock serves as the *shikhara* (cover dome) of the temple. It adorns a *kalasha* (five metal finial pot) at its top.

Just as in the early Chola temple plans, the side *deuls* on external walls are oblong, while the corner deuls are square. They have *nandis* (Shiva's bull vehicle) and lions in the middle of each shrine. Shiva emerging from a lingam flanked by Vishnu and Brahma is depicted on the southern wall. On the northern wall, one witnesses Shiva on a *ratha* (chariot) aiming arrows. In this particular image he is flanked by Durga and Bhairavi. *Makaras* (a semi aquatic mythical beast with body terminating in foliage rather

than a tail), and foliated twines surround these Shiva deuls, with detached *mandapas* (verandas). Minor deuls adorn the eastern enclosure. Two of them were bult by the queens of Rajasimha. A seated nandi faces the temple proper.

In the reign of the Pallava rulers, the temple was considered a superb example of temple architecture.

‘ Mandi ‘(Market Place)
to
‘Monsoon Wedding’ :

The distinctive portrayals by Naseeruddin Shah

Topic: Film
Format: Abstract

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‘ Mandi ‘(Market Place)
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The distinctive portrayals by Naseeruddin Shah

“I have never selected roles simply because they are glamorous. I have realised one thing in my career and that is I cannot survive on the basis of glamour or attractiveness. The attractiveness lies in the truth I can bring to my performance.” The above was Naseeruddin Shah’s answer to a recent question placed before him when he was interviewed by “Indo-Asian News Service’ in Mumbai, India, in regards to his role in the latest film ‘Asambhav.’

Naseeruddin Shah’s performance in Mandi is a superb component of his style. He brings truth to his performance as a “go-for”humble servant to a madam who runs a brothel in a remote city in India. The house of ill repute becomes the center of a strife between the political and business intersts of the rich and famous of the city. The soliloquy of the lowly servant as he retuns to the brothel after a heavy night of drinking, is in my opinion, Naseeruddin Shah’s best example of the truth he portrays in his performance.

In Monsoon Wedding, he does not hold back on anything. In his role as the patriarch of a sprawling extended family, he displays an honest account that leaves nothing out. The story of a hastily arranged marriage of his daughter to a youthful Houston raised Indian professional is delightfully chaotic. In Naseeruddin Shah’s depiction, one witnesses a flurry of preparations for the wedding. Even the messy affair of his daughter with her boss are easily perceived from some of his lines for the part. Thus, he brings an enormous energy, joy and sensual indulgence which is splendidly “infectious.” Todate, in his entire career of 250+ films, one witnesses an actor who gives his all in any role he portrays. He is quoted as saying, “how I have survived sometimes

is a mystery to myself." To those of us who admire his talents, his portrayals are not a mystery.

Towards a Student-Centered Approach to the Chinese Language Instruction

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As more and more college students turn to study Chinese as a foreign language, how to efficiently instruct the language has become a great challenge to teachers of Chinese. While there are many factors that would contribute to the success of the teaching and learning of a language, using effective teaching approach and innovative methodology will crucially determine the outcome of learning. Good pedagogies not only directly boost students' enthusiasm and interest in learning a language, but also primarily help students become proficient with the language use. The question then is what would serve as an effective teaching approach for the Chinese language instruction. This paper will examine a student-centered approach as in contrast with a teacher-centered approach with respect to the study of the Chinese language. We will address the theory and the practice of the two different learning models, and analyze their pros and cons. We will discuss what the student-centered learning approach can offer to the optimal teaching of Chinese in particular, and explore how instructors can implement the student-centered teaching practice in the Chinese classroom.

A Presentation Proposal

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By

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Live art, which was translated into Chinese primarily as *xingwei yishu* (behavior art), but also as *xingdueng yishu* (action art), *biaoyian yishu* (performance art), or *shenti yishu* (body art), began in China just a few years before the June 4th Tiananmen Square massacre in 1989. A pioneering work entitled *Concept 21* took place at the Beijing University in the winter of 1987.[1] In this collective action, Sheng Qi, Kang Mu, Zheng Yuke, Zhao Jianhai, and Xi Jianjun undressed, wrapped their bodies with linen cloth, poured various colored paints on each other, and then engaged in simultaneous random actions. Some rode bicycles, while others climbed on the roof and called out names of iconographic sites, such as "The Great Wall" and "Yangtze River." If their action recalled the 1952 untitled event directed by John Cage at the Black Mountain College, the identities they marked with their sounds, reinforced by their claiming of the twentieth-first century, gave *Concept 21* a distinct Chinese accent.

The idealistic buoyancy of *Concept 21* followed the spirit of "the '85 Movement" (*Bawu meishu yundong*), a term coined by curator Gao Minglu to commemorate the artistic and intellectual vigor of that year, which witnessed an array of performances, conferences, artist visits to factories and villages, and many self-organized, ephemeral exhibitions that appeared without official sanction.[2] Most of these activities took place in the public sphere, alerting both the Chinese people and the government officials to a new permutation of public art that went beyond propaganda billboards, monuments of political leaders, or compulsory mass demonstrations. A novel chapter in Chinese contemporary art history had commenced, with avant-garde art taking the spotlight.

Unfortunately, whatever momentum gained by the avant-garde artists proved fragile and temporary; its energy quickly dissipated with the resurgence of strict political control after the 1989 Tiananmen Square Incident. To express his personal frustrations, artist Sheng Qi

symbolically cut off the little finger from his left hand and buried it in a flowerpot before his self-imposed exile from Beijing to Rome. While Sheng's protest transpired in the interior space of private agony, his self-mutilation prefigured the motifs of corporeal violence, conceptual immediacy, and environmental asceticism that characterized much of xingwei yishu in the next fifteen years.

At the wake of a failed democratic movement, artists and intellectuals in the 1990s faced the pressures of intensified political oppression, compounded ironically by the economic onslaughts of the transnational capital. In 1992, a nomadic collection of performance artists, echoing Sheng Qi's secession from the cultural and economic mainstream, settled in Dashan Village, which was an impoverished neighborhood at the eastern fringe of Beijing. The artists renamed the place East Village, after its namesake in lower Manhattan, and converted this garbage-infested area into a residential and exhibiting artist community. East Village emerged in 1994 as the site of many public live artworks that have since become legendary markers, especially internationally, for Chinese performance art.[3]

Among the most well-known pieces from East Village are Ma Liuming's transgender performance, *Fen•Ma Liuming* and Zhang Huan's endurance bodywork, *Sixty-five Kilos*. In Ma's nude performance, the artist introduced his performance alter ego, Fen•Ma Liuming, who had a face with "feminine" features exaggerated by makeup and a body with a male-identified genital. Fen•Ma Liuming then sat on a couch, masturbated, and drank his semen mixed with water.[4] In *Sixty-five Kilos*, Zhang hung his naked body upside down with iron chains on a roof beam about three feet above and parallel to his studio floor, which was covered by plain quilts, neatly layered to form a rectangular "stage" and the surrounding "auditorium." 250cc of blood dripped from the artist's body into a pan burning on an electric stove on the stage, designating the performance duration.[5]

It is provocative to consider these two pieces together, since one focuses on the individuality of the artist's body and the other the anonymity. Ma's body-specific performance exposes the failure or complexity of external corporeal signs commonly used to determine a person's gender and sexuality. Zhang's piece, in contrast, creates a performance score that may be carried out by any individual with a body weight of sixty-five kilograms. If *Fen•Ma Liuming* challenges artificial gender coding, *Sixty-five Kilos* addresses artistic freedom. The two pieces share a common ground, however, in reflecting certain individual struggles against larger external forces: Ma through the sterile recycling of his sperms and Zhang through bondage, blood-letting, and the acrid smell of burned blood that gradually infused his studio.

Most emblematic of the camaraderie among East Village artists was a collective performance called *To Add One Meter to an Unknown Mountain*, conceived by Zhang Huan and carried out by ten artists, including both Zhang and Ma, at Miaofeng Mountain, Beijing, in 1995.[6] Against a misty mountainous landscape, a mound of flesh, tightly layered in curved strata, appeared on top of a parched weedy surface. The contrast of textures between the smooth human bodies and the rough earth found a delicate counterpoint in the performers' averted faces, allowing their hair to merge like moss on their anonymous mound, measured at one meter in height. As provocative as serenity itself, *To Add One Meter to an Unknown Mountain* pays a nostalgic tribute to the Taoist Universe, to its cosmology of free roaming, transfiguration, and active passivity that seems at odds with the mercenary currents sweeping through China in its post-Mao era.

The East Village performances were public in nature but unofficial and private by necessity; most of them were witnessed by an exclusive viewership of invited artists, a few foreign art critics, and even fewer local residents who wandered occasionally into the action sites. In the late 1990s, however, East Village, or similar artist community, no longer existed, which

meant that more adventurous xingwei and *zhuangzhi yishu* (installation art) could find no regular exhibition venues. Ruins, desolate fields, back alleys, deserted apartments, or temporarily rented spaces became the underground sites for many semi-public live art events, jointly produced by participating artists. Non-commercial artists also found a new source of support in an emergent group of independent curators/researchers, most of whom had a career in art, criticism, or journalism and would organize exhibitions as the "academic host."[7] This particular phenomenon resulted in an experimental artistic scene shaped largely by frequent interactions between artists and curators, with the latter's sensibilities and organizational thematic taking the implicit lead.

Academic hosts, however, did not have the authority to guarantee an undisturbed exhibition environment. Many edgy exhibitions therefore attempted to circumvent government censorship by springing up with little or no advance advertisement and closing, if not within hours, then after one or two days. Such underground exhibitions were like ephemeral performance events themselves, drawing their spectators by words-of-mouth, insiders' information, and cell phone communications.[8] In this context, when exhibitions of performances, performance documents, and performative installations were open to general viewers at all, they existed as what I might call clandestine public art. Though seemingly oxymoronic, clandestine public art is no more contradictory than is the circumstantial fusion of communist ideology and market economy that have molded the Chinese society after Deng Xiaoping's economic reforms policy.

Clandestine public art reached a certain critical mass in 1999 and 2000, with the openings of three controversial exhibitions: *Post-sense Sensibility: Alien Bodies and Delusion* (1999), organized by Wu Meichun and Qiu Zhijie, who rented for a month a low-ceiling basement, in which the participating artists worked, and held their exhibition in the last two days of the rental period; *Infatuation with Injury* (2000), organized by Li Xianting, a prominent art critic, and held in the Sculptural Studio in Beijing's Central Academy of Art; and a multi-part exhibition with the

general title, *Human•Animal* (2000), organized by independent curator Gu Zhenqing and happening in six cities from different provinces, including *Beijing* (23 April), *Chengdu* (30 April), *Gulin* (21-23 May), *Nanjing* (28 May), *Changchun* (2-3 July), and *Gueiyang* (August).

These exhibitions generated tremendous public outcries and debates in the media because the performances and installations on display bluntly ushered in a genre of bodyworks that were both radical and rude, stepping on sensitive ethical grounds without apology. For a new generation of performance artists, flesh as matter and landscape, a motif that occurred in many East Village performances, read simply as unrestricted use of the body, in its different states, as art material and medium. This reading found a literal manifestation in *Post-sense Sensibility*: *Alien Bodies and Delusion*, for which Zhu Yu created *Pocket Theology*.[9]

Zhu Yu's performative installation consisted of a severed human arm hung from the ceiling, holding on to one end of a long rope that covered the entire exhibition room, forcing spectators to step on the rope to view the artwork. The majority of responses to the piece condemned the violence and pathology evinced in its gross use of a dead human body part. To me, however, *Pocket Theology* succeeds in redefining interactivity as site-specific exchanges between divergent experiential domains, between those of the dead and the living, linking the metaphysical with the visceral. The dead arm continues to sustain a host of living microbes, even as it was turned into a startling sight for the living, whereas the living, as they engage in a perceptual collision with the sight and the complicit act required for the viewing, validate the existence--the "life"--of a dead arm.

In the exhibition catalogue, cocurator Qiu Zhijie states that "post-sense sensibility" seeks to redefine human instincts by locating visceral experiences in the gaps and tensions that transcend normal expectations and traditional ethical constraints.[10] Zhu Yu's use of a decomposing human arm demonstrates the acute degree in which an artist may go to achieve such

"post-sense sensibility." In an interview, Zhu maintained that the (unidentified) hospital with which he negotiated to rent the amputated limb had since become the major source of supply for a number of artists who were taken to using human corpses and body parts in their artworks.[11] Enter the "cadaver school," as some critics called.

The conceptual ramifications behind the cadaver school reached a tragic apex on January 1st, 2000, when artist Zhang Shengchuan hung himself as the last piece of his xingwei yishu. Zhang's suicide note questioned the ultimate consequence of art, which, he believed, hinged at the issue of whether to preserve one's life or not. He had chosen to end his life, it seemed, to perform an action that is impossible to be repeated either by others, or by himself.[12] If Zhang's last piece of live art may be best described as a private death art, it entered the public realm when the work was included posthumously in *Infatuation with Injury*, an exhibition that was closed in three hours after official intervention. Curator Li Xianting, nevertheless, believed that the event was successful in some measure, because it demonstrated to the world that Chinese artists have expanded the possibilities of art in ways that no artist from other countries have dared.[13]

Although its contact with the public was brief, *Infatuation with Injury* had strong impacts on the viewers--some of whom vomited on-site--and raised a storm of debates about morality, ethics, and artistic boundary in the media. Much public protest centered on the use of human corpse in art. Qin Ga's *Freeze*, for example, propped up the corpse of an adolescent girl on a floor covered with ice bricks.[14] While the use of corpse is alarming at the first sight, I consider the piece strong not for its sensational effect, but for its emotional depth. The girl had a pair of sunglasses on, but her body bore sores symptomatic of AIDS, which was a theme doubly evoked by the rose petals frozen in the ice. Rose as a symbol of love and blood, caught prematurely in a deathly suspension: when this symbol is juxtaposed with a female cadaver, young but decayed and abject, the scene provides a chilling imago for the Chinese homonymic translation of AIDS as

ai zi bing, which may be transliterated back into English as "love," "to grow or to multiply," "disease."

Another piece, *Oil of Human Being* by Sun Yuan and Peng Yu, saw Peng feed the oil extracted from the human body through a tube into the mouth of a dead infant, which she cradled on her lap.[15] Mimicking a motherly action of nurturing the child, Peng's act of feeding human oil, arguably a sign of life, into a lifeless human specimen is exposed as futile. To me, the theme of injury arises precisely from such futility, much more so than from the fact that the artists have transported a dead infant from a hospital's anatomy room to their performance stage. On a deeper level, the piece has effected an inversion of normative values between life and death, for it implies that the attempt to "revitalize" the dead infant causes the injury: the peace of death/the dead is violated by the burden of life/the living.

The ethical ambiguity and grotesque sensibility associated with the cadaver school found a match in another tendency: the use of animals, dead or alive, in performances. This trend inspired Gu Zhenqing's ambitious exhibition series, *Human•Animal*, which aimed to examine "the specific relationship between [human] and animal."[16] In addition to the chosen theme, Gu decided from the outset to redress what he observed as the exclusive viewing condition for xingwei yishu. He widely publicized the exhibitions and organized them in diverse parts of China and many at outdoor sites. The series generated tremendous media responses both before and after the events, with coverage by a hundred and twenty newspapers in China alone. Yet, because of the media exposure, Gu faced increasing difficulties in producing these events, many of which happened in a chaotic rush due to bureaucratic interferences and threats of arrest. In fact, Gu's series became more and more clandestine as it moved further down the process--"We were like guerrilla troupes, running revolutionary movements; the situation became very dangerous," said Gu.[17] After the

series, Gu paid a personal price of being black-listed as a curator and endured a "career freeze" for a year.

In the various rationales offered to local officials attending the events, Gu remarked on the morality of "animal protection," the "everyday violence" that often occurs between humans and animals, and the general insensitivity toward animals in a culture obsessed with food. "The whole society is terrorizing animals to satisfy its own spiritual needs," said Gu, "People are in the center. They rule by force. They can kill [animals], let them live, put them in zoos."[18] Gu's series managed to produce and display an array of performances (32 in total) that reflects and critiques the prevailing anthropocentrism in China identified by him.

Many works in the series involved live animals alongside the human artists as co-performers in natural, open-air settings. In *Emergency Exit*, for instance, the artist He Yunchang covered himself in concrete and brought a pigeon with him to enter a cage coated with kerosene. He ignited a fire by throwing a cloth immersed in kerosene over the top of the cage. As the cage burned, he lay inside protecting the pigeon. When the fire has done burning, he overturned the cage, let the pigeon go, and pushed the cage into a nearby river until it's entirely submerged.[19] *Emergency Exit* turns the artist and the pigeon into partners in disaster, allowing a similar level of protection to both performers--the artist armed with concrete and the pigeon with the artist's body.

Another set of examples took place in informal indoor settings and both involved fish as the chosen animal. In Zhu Ming's *Exposure*, the artist covered his naked body with a paste that would glow in the dark upon contact with light. As the spectators wandered into the darkened karaoke bar where the action was set, Zhu began tracing patterns on his body, which emitted an eerie glow when he turned off a flashlight. He then traced the flashlight along the body of a live fish also covered in the paste. He put the glowing fish into a tank, where the fish began to splash and swim.[20] With elegance and economy, Zhu turns his own body surface and that of a fish into

painting canvases, while permitting the two performers, both live art objects, to survive the art-making process. His ephemeral action yields a poetic contemplation on the transience of all lives and their sporadic glows amidst acts of endurance.

A cruder version of similar contemplations on transience appears in Liu Ding's *Beautiful, but for How Long?* In an empty shed inside a public park, Liu placed a glass tank on top of an antique round table. He tied seven goldfish to little dolls with red thread, placed them into the tank, and splashed them with water from a hose. When the tank filled up, Liu and his assistants smashed its glass walls with great force, leaving the fish to gasp for air. A woman from the audience spontaneously rushed forward to save the fish and eventually involved Liu and other spectators in her effort.[21] The interactive dimension made possible by the live art genre salvages the work from a literal demonstration of mortality to one that thrives on the unpredictable.

In Gu's series, the piece that had stirred most media censure and ridicule was Wu Gaozhong's *Born on May 28th,* which opened the exhibition with the regional title, *Human•Animal: Aestheticism and Ambivalence*, in Nanjing's Qing Liang Shan Park on May 28th, 2000. As the spectators wandered into a grassy clearing in the Park, they saw the outer carcass of a cow--which Wu borrowed from a slaughterhouse--laying on a piece of white paper. Some blood and rose petals seeped out of the cow, while a great deal of flies buzzed around it. Wu removed the towel that covered his naked body, crawled into the cow's belly, and had an assistant sew him inside the cow. Wu wriggled inside the carcass for a few minutes, before he cut the thread loose with a little knife to release himself.

Just as Wu emerged from the cow, a guard from the Park came forth and shouted at the artist, "Why don't you wear any clothes? Stop right now." Wu rushed out of the cow's belly, spreading rose petals toward the sky. He then quickly covered himself and pleaded to the guard not to stop the show, promising to leave right away. Amidst the confusion, the next performer Gu

Xiaoping hastened to the cow carcass, placed a traditional string instrument on top of the cow, and played intensely until he bloodied his fingers. Before the guard turned to him, Gu finished the piece, which was aptly entitle *Chaotic Playing*, by breaking the strings.

"What's this farce? A naked man bursting out of a slaughtered cow!" blared the front-page headline from Nanjing's *Yangtze Evening News* the second day.[22] Variations of this headline proliferated in newspapers, radio and television broadcasts, and internet chat rooms throughout China and Asia; most reflected strong opinions about the degeneration and sensationalism of xingwei yishu, for which *Born on May 28th* became the latest symbol. Since little discussion has been devoted to the work's conceptual premises that its title indicates, I'd like to add my own opinion here to the discursive fray.

Born on May 28th cites the process of birth as the theatrical condition for the artist's action. Strikingly, Wu's birthing performance has taken a double course: he was first born into the cow before he emerges from it. Anthropocentrism is displaced by this symbolic sequence, for Wu has to first surrender his human subjectivity to the cow/mother, before he can be born again as a human being. Marking the date of his performance as a procreative moment, Wu also announces to the world that his birth as a xingwei artist is enabled by the very condition of his public live art.

What precisely is this condition for public live art? In Wu's case, it includes the visual and olfactory dramas that animate the site, the tactile negotiations between his own skin and the cow's bloody flesh, and the live witness provided by the on-site spectators, as well as the subsequent debates among a much wider circle of virtual viewers provoked by the performance. The unexpected interruption from the guard, I believe, ends up enriching the action, for in his role we see the instant crystallization of authoritarian control, populace ethos, and orthodox righteousness all in one. Gu Xiaoping's bold attempt to start his own action while the fate of the entire exhibition was pending, then, registers the passion, determination, and resourcefulness of the

Chinese artists who have chosen to interact with the public by engaging in a vulnerable, embodied art form. Those who have elected to interact with the xingwei artworks, at various onsite or posthumous moments, constitute the shifting "public" that extends the works' significance way beyond their original frameworks.

Clandestine public art in China came into being as a response to the prevalence of government censorship and bureaucratic restrictions. Many performances and performative installations that may be subsumed under this genre have incorporated bodies--be they human or animal, dead or alive, complete or partial--in a fashion that seems only possible in a society whose legal systems and public consciousness remain vague about the rights of individual organic beings. In China, political repression, combined with a communist heritage that condemned religion as "opium of the masses," has yielded an internally furtive--if overly explicit abroad--cultural terrain where nothing short of committing homicide is beyond the pale of artistic imagination and execution. In my view, the performances that I've sketched here appear uniquely made in China less from their intrinsic qualities than from the specific political, historical, and cultural confluences that have given rise to clandestine public art. Thus, we can almost anticipate the obsolescence of clandestine public art, as China moves to a different political and cultural economy in the foreseeable future.

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[1] There are different accounts about the year of this action. See Huang Du, "Sheng Qi's Body and Discourse," in *Chinese-art.com*, vol. 3, issue 2 (2000), at http://www.chinese-art.com/Contemporary/volume3issue2/special_shengqi.him. Or Wen Pulin, "Sheng Qi: wo de niao ye bu zi yu," (1999), at http://70.elong.com/alternative/topic_285.html. Huang noted 1986 and Wen noted 1987.

[2] Gao Minglu, "Toward a Transnational Modernity: An Overview of Inside Out: New Chinese Art," in *Inside Out: New Chinese Art*. San Francisco Museum of Modern Art and Asia Society Galleries and University of California Press, 1998, 21.

[3] Documentation for some of the East Village performances can be found in *The Black Cover Book*, ed. Zeng Xiaojun, Ai Weiwei, and Xu Bing. Beijing, 1994, and *The White Cover Book*, ed. Zeng Xiaojun and Ai Weiwei. Beijing, 1995.

[4] See Val Wang, "Ma Liuming," in *Chinese-art.com* (2000), at http://www.chinese-art.com/artists/maliuming/maliuming.htm.

[5] See Qian Zhijian, "Performing Bodies." *Art Journal* (Summer 1999), at http://www/zhanghuan.com/QianzhijianInterview.htm.

[6] The participating artists for *To Add One Meter to an Unknown Mountain* included Zhu Ming, Duan Yingui, Zhang Bingbing, Zhang Huan, Zu Zhou, Wang Shihua, Cang Xin, Ma Liuming, Ma Zongren, and Gao Yang. See *Inside Out*, 193.

[7] See Zhang Zhaohui and Yang Yingshi, "Problems and Possibilities: Curators and Art Museums in China," in *China-gallery Art Forum*, http://www.china-gallery.com/en/forum/problems.htm. Regarding the "guerrilla state" of avant-garde art in the 1990s, see Daozi, "Xingwei Yishu de guaoji hua yu bentu hua gingyu." In Zhong Hua Duchu Bao (August 24, 2001), at http://www.sina.com.cn/s/2001-08-24/2810.htm.

[8] See curator Qiu Zhijie's account of his exhibition, "'Hou gan xieng' zhan lan chi mou," posted on March 18th, 2004, at http://www.art218.com/ReadNews.asp?NewsID=161.

[9] An account about *Pocket Theology* can be found in Thomas J. Berghuis, "Flesh Art: Performance and Body Art in Post-Mao China," in *Chinese-art.com*, vol.4, issue 5 (2001).

[10] Qiu Zhijie, "Hou gan xieng," posted on March 18th, 2004, at http://www.art218.com/ReadNews.asp?NewsID=160.

[11] Zhu Yu, "Wo shi ruo shi ren qun," in *Xin Wen Zho Kan*, posted at http://bbs.warchina.com/jsp117/191.htm.

[12] An account about Zhang's suicide xingwei can be found in Chen Lücheng, "Zo hwo ru mo de qenwei yishu," in Jiang su meishu jaoyu, posted on January 8th, 2003, at http://www.jsmsjy.com/shownews.asp?newsid=102.

[13] Li Xianting, "'dwei chang hai de mi lian' de cey zhan si lu," at http://www.csonline.com.cn/gb/content/2001-12/17/content_86170.htm.

[14] A brief account of Qin Ga's *Freeze* can be found in ibid.

[15] Ibid.

[16] See "Man and Animal," in *Chinese-art.com*, vol. 3, issue 3 (2000), at http://www.chinese-art.com/artists/guzhengqing.htm.

[17] Unless otherwise noted, all quotations from Gu Zhengqing are the author's translations from a phone interview with Gu on June 2nd, 2004.

[18] See "Man and Animal," op cit.

[19] My description of the action is based on Val Wang, "Animal Games," in *Chinese-art.com*, vol. 3, issue 3 (2000), at http://www.chinese-art.com/artists/animal.htm.

[20] My description of the project is based on an account in ibid.

[21] See Gu Zhengqing's documentation in "*Ren•Dueng Wu: Wei Mei yu Ai Mei*" at http://www.csonline.com.cn/gb/content/2001-12/17/content_86169.htm.

[22] Li Ning, "*Ren•dueng wu* 'zuei guei' Qing Liang Shan," in *Dueng Fang Wu Hua Zhou Kan* (June 9th, 2000), at http://157.myrice.com/red/yszt/wz/pp6y.htm.

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Integration of English Education Into School Events: An EFL Context

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Abstract

Teaching English to fifth and sixth graders in Taiwan elementary schools became compulsorily starting in the fall semester of 2001. The Ministry of Education announced the three goals of English education: To obtain basic communicative skills, to be motivated to have proper study habits, and to know more about eastern and western cultures. However, eighty-minute English lessons per week are insufficient and students do not have much time to practice their English outside class.

The Integration of English Into School Events (IEISE) helps learners to see the English they are learning as something normal and nature; something to use, not just something they manipulate in language class. Furthermore, learning other things in English will help students handle real meanings in English rather than just words and structures (Halliwell, 1992).

This paper provides an in-depth description of how English is integrated into school events at a rural elementary school in Taiwan.

I. Introduction

Teaching English to fifth and sixth graders in Taiwan elementary schools became compulsorily starting in the fall semester of 2001. The Ministry of Education announced three goals for English education: to obtain basic communicative skills, to be motivated to have proper study habits, and to know more about eastern and western cultures.

One benchmark, under the goal "to be motivated to have proper study habits" is "Being willing to take part in English – related extracurricular activities" (Ministry of Education, 2004, p.5)

Different types of activities or events such as Traffic Safety Education, Fire-prevention Drill, Dental Care Activity and etc are held regularly in elementary schools. For learning to be most valuable, it should be carried out in real situations. Integration of English into school events (IEISE) will make students feel that English is not just a classroom subject but really exists in their.

Unfortunately, the eighty-minute English lessons per week are insufficient. During these eighty-minute English lessons, English teachers have to review the previous lessons, discipline students, teach new language content, instruct students to do their homework, and etc. Furthermore, students do not have much time to practice their English outside the class.

Therefore, the IEISE has been set up as an alternative approach to help students learn English and allow them to practice English in real situations. This paper

provides an in-depth description of how English and school events were integrated at a rural elementary school. It looks at: When and how the English and school events were implemented. What the content of this integration program was, who was involved in promoting this program, what assessments were given to evaluate students in this integrated program. And finally, it answers the question: Did this combination of English and school events really make a difference in improving students' English abilities and their attitudes toward taking part in English-related extracurricular activities?

II. Literature Review

Teaching English in elementary schools can be very effective if it is linked to school subjects, topics and school events. First of all, integration of English into other subjects helps learners to see English as more authentic than simply learning English as a classroom subject and grammar rules (Brewster, 2002). Children learn best in situations where their attention is focused on the meaning rather than the form of the language. Children can see how what they have learned, fits into their experience outside the English class. They also actively relate English to real life topics or themes such as family, fire, earthquakes and so on.

Secondly, it can be used to reinforce students' conceptual development, for example, their understanding of fire prevention by connecting one school subject with another subject to make each subject more relevant to life (Brewster, 2002, Paul, 2003, Scott, 1999).

Thirdly, the transfer of skills and reinforcement of concepts between different subjects helps learners to learn how to learn (Brewster, 2002, Paul, 2003). Students acquire different kinds of skills and strategies such as expressing preferences, suggesting doing things, decision making, and etc.

Fourthly, learning other things in English helps children to learn English, because curriculum resources what students learned from other concepts or subjects can be recycled for language teaching. This might include such things as map reading, measuring equipment and so on (Brewster, 2002, Halliwell, 1998).

Fifthly, the IEISE encourage collaborative teaching and planning between subject teachers, language teachers and school staff members and therefore helps to reduce feelings of isolation language teachers often encounter (Brewster, 2002).

III. IEISE in Chung-Hu Elementary School

1. School and Student Background

Chung Hu Elementary School is located in Ying Ko, well-known for its porcelains. The school has a seventy-year history. There were fourteen classes with a total of four hundred students enrolled during the academic year of 2003. About seventy percent of the students are from blue-collar families. Due to the cultural and

economic disadvantaged circumstances, students have fewer chances to learn English outside school. English was taught in two-class periods every week (eighty minutes) to grades one through six. There was one full-time qualified English teacher in this school during the 2003 academic school year.

2. The IEISE Scheme

2.1. Activities or Events in September

Six activities or events took place in September including First Day, newcomer enrollment, elective dialect course, after-school program, parent-teacher meeting, and Teachers' Day. Words and dialogues are presented in table 1.

Table 1: Activities or Events in September

Activities	First Day	Newcomer enrollment	Elective Dialect Course
Words	1. book bag 2. book 3. uniform 4. clean	1. household certificate 2. enrollment form 3. health report 4. deposit book	1. Taiwaness 2. Hakka 3. Amis
Dialogue	A: What do you do on the first day? B: We get new books/buy new uniform/clean the classroom.	A: Be sure to bring your household certificate and enrollment form for the newcomer enrollment. B: Sure!	A: Which dialect are you going to choose? B: I am going to choose___(dialect).
Activities	After-School Program	Parent-Teacher Meeting	Teachers' Day
Words	1. English class 2. computer class 3. Chinese composition 4. piano lesson	1. parent-teacher association (PTA) 2. president 3. member 4. Parent-Teacher office	1. homeroom teacher 2. Chinese 3. English 4. P. E.
Dialogue	A: Which class are you going to register? B: I am going to register to ___ (class).	A: Is your mom/dad coming to the parent-teacher meeting? B: Yes, he/she is. No, he/she isn't.	A: Who is your ___ teacher? B: My ___ teacher is Mr./Ms ___.

2.2. Activities or Events in October

Three activities or events were held in October including arts exhibition, height and weight Checking, and language competition. Words and dialogues are offered in

table 2.

Table 2: Activities or Events in October

Activities	Arts exhibition	Height and Weight Checking	Language competition
Words	1. drawing 2. calligraphy 3. design 4. water/oil painting	1. scale 2. weight/weigh 3. centimeter 4. kilogram	1. calligraphy 2. competition 3. word pronunciation and recognition 4. speech
Dialogue	A: What is the topic of your masterpiece? B: It's called __.	1. A: How tall are you? B: I am ___cm. 2. A: How much do you weigh? B: I am ___ kg.	A: Which contest do you register for/take part in? B: I register for the Read-Aloud Contest.

2.3. Activities or Events in November

Three activities or events were held in November including special education week, life education, and reading education. Words and dialogues are presented as in table 3.

Table 3: Activities or Events in November

Activities	Special Education Week	Life Education	Reading education
Words	1. blind 2. disabled 3. deaf 4. dumb	1. unique 2. special 3. wonderful 4. different	1. novel 2. poetry 3. short story 4. poem
Dialogue	A: We shouldn't laugh at the __(blind/disabled /deaf/dumb). B: We should care for them.	A: Everyone is unique and special. B: Yes. Trust yourself.	A: What kinds of books are you interested in? B: I am interested in ___.

2.4. Activities or Events in December

Three activities or events were held in December including sports game, winter donation, and campus beautification. Words and dialogues are shown as in table 4.

Table 4: Activities or Events in December

Activities	Sports games	Winter donation	Campus Beautification
Words	1. basketball 2. football 3. badminton 4. jumping rope	1. The Red Cross 2. United Nations International Children's Emergency Fund 3. charity sale 4. charity show	1. pond 2. fountain 3. lawn 4. garden 5. fence
Dialogue	A: Can you play___? B: Yes, I can. Or No, I can't.	A. How much are you going to donate? B. I am going to donate __dollars.	A. How can we beautify our campus? B. We can have a fish pond.

2.5. Activities and Events in January

Three activities or events were held in January including dialect education demonstration, extracurricular activity demonstration, and winter camp. Words and dialogues are revealed as in table 5.

Table 5: Activities and Events in January

Activities	Dialect Education demonstration	Extracurricular activity demonstration	Winter camp
Words	1. Taiwaness 2. Hakka 3. Amis	1. act 2. dance 3. sing 4. tai-chi	1. baseball camp 2. computer camp 3. English camp 4. science camp
Dialogue	A: Which __(dialect) song are you going to sing? B: We're going to sing ____.	A: Can you ___(dance/play tai-chi)? B: Yes, I can. No, I can't.	A: Which camp are you going to take part in? B: I am going to take part in ___.

2.6. Activities and Events in March

Three activities or events were held in March including school anniversary, flea market, and field trip. Words and dialogues are enclosed as in table 6.

Table 6: Activities and Events in March

Activities	School anniversary	Flea Market	Field trip
Words	1. birthday 2. anniversary 3. homecoming 4. celebrate	1. ice cream 2. toy 3. milk tea 4. oyster noodles	1. zoo 2. museum 3. amusement park 4. mountain
Dialogue	A: How old is your school? B: The school has ___ year history.	A: What are you going to sell on the flea market? B: We're going to sell ice cream.	A: Where are you going for your field trip? B: We're going to __(location).

2.7. Activities or Events in April

Three activities or events were held in April including class model competition, science exhibition, and career education. Words and dialogues are available as in table 7.

Table 7: Activities or Events in April

Activities	Class Model Competition	Science exhibition	Career education
Words	1. genius 2. model 3. excellent 4. gifted	1. physics 2. chemistry 3. biology 4. math area 5. Life and Applied science 6. Geology	1. doctor 2. lawyer 3. reporter 4. engineer
Dialogue	A: Who is your class model? B: ___ is. She is excellent in character and learning.	A: What is the topic of your science exhibition? B: It's called __.	A: What do you want to be in the future? B: I want to be a/an____.

2.8. Activities or Events in May

Three activities or events were held in May including gender education, musical concert, and tax education. Words and dialogues are shown as in table 8.

Table 8: Activities or Events in May

Activities	Gender Education	Musical concert	Tax Education
Words	1. husband 2. wife 3. live 4. married	1. flute 2. piano 3. drum	1. tax 2. stamp tax 3. local tax 4. housing tax 5. tax return 6. tax dodger 7. income tax 8. business profit tax
Dialogue	A: Should husband and wife live equally? B: Certainly.	A: What musical instrument are you going to play? B: I am going to play __(musical instrument).	A: What kind of tax do you have to pay? B: I have to pay business profit tax.

2.9. Activities or Events in June

Six activities or events were held in June including no smoking activity, graduation ceremony, summer camp, assessment week, physical fitness, and the last day. Words and dialogues are shown as in table 9.

Table 9: Activities or Events in June

Activities	No Smoking Activity	Graduation Ceremony	Summer camp
Words	1. nicotine 2. victim smoker 3. astray 4. cigarette	1. yearbook 2. gown 3. diploma 4. tassel	1. baseball camp 2. computer camp 3. English camp 4. science camp
Dialogue	A: Is your ___ (family member) a heavy smoker? B: Yes, he/she is. He/She should give up smoking.	A: Can you sign my yearbook? B: Sure.	A: Which camp are you going to take part in? B: I am going to take part in ___.
Activities	Assessment week	Physical Fitness	Last Day
Words	1. Chinese 2. math 3. social studies 4. science	1. gold medal 2. silver medal 3. bronze medal 4. trophy 5. championship	1. English 2. Chinese 3. math 4. arts
Dialogue	A: What score did you	A: I got a gold medal in	A: Do you have any

	get in__ (subject)? B: I got ___ in ___(subject).	the physical fitness. B: Congratulations.	summer/ winter project? B: Yes, I have ___ projects.

2. 10. Daily Activities

Some activities were held daily including equipment rental, transfer, sports equipment rental, recycling, picket, and temperature check. Words and dialogues are shown as in table 10.

Table 10: Daily Activities

Activities	Equipment rental	Transfer	Sports equipment rental
Words	1. CD player 2. DVD player 3. OHP 4. Video player	1. transfer 2. transfer 3. transcript 4. household certificate	1. basketball 2. football 3. badminton 4. volleyball
Dialogue	A: What equipment are you going to rent? B: I am going to rent a/an___.	A: Which school do you transfer to/from? B: I transfer to /from___.	A: What sports equipment are you going to rent? B: I'm going to rent ____.
Activities	Recycling	Picket	Temperature check
Words	1. reduce 2. reuse 3. recycle 4. resources	1. litter 2. line 3. nail 4. cut	1. thermometer 2. Fahrenheit 3. Celsius 4. degree
Dialogue	A: Can we recycle (paper/bottle/ glass/can) B: Yes, you can.	1. A: Don't litter. B: OK. 2. A: Keep your nails short. B: OK. 3. A: Don't cut the lines. B: Sorry.	A: Have you taken your temperature? B: Yes. A: What degree is your temperature? B: It's ____ Celsius.

2.11. Monthly Activities

Some activities or events were held monthly including homeroom checking, birthday party, and scholarship application. Words and dialogues are shown as in table 11.

Table 11: Monthly Activities

Activities	Homework checking	Birthday party	Scholarship application
Words	1. Chinese 2. math 3. social studies 4. science	1. toy 2. book 3. bicycle 4. baseball	1. transcript 2. application form 3. letter of recommendation 4. personal portfolio
Dialogues	1. When is the___ (subject) homework checking? 2. The __(subject) homework checking is on__(date).	A: What presents did you get from your birthday party? B: I got a ___.	A: What materials do I need for scholarship application. B: You need __(document).

2.12. Special Events

Some special activities or events were held now and then including anti-earthquake, anti-drug activity, traffic safety education, consumerism and etc. Words and dialogues are shown as in table 12.

Table 12: Special Events

Activities	Anti-Earthquake Drill	Anti-Drug Activity	Traffic safety education	Consumerism
Words	1.weak/intermediate /strong magnitude earthquake 2. after-shock 3. perpendicular /horizontal motion 4.volcanic earthquake	1. morphine 2. amphetamine 3. happy pill 4. heroine	1. traffic light 2. keep right/left 3. red light 4. green light 5. yellow light 6. pavement	1. expiration date 2. product 3. price 4. ingredient
Dialogues	A: How strong is the earthquake? B: It's ___ on the scale.	A: Drug will ruin one's life. B: Definitely. We should say no to drugs.	1. Red light, red light, stop, stop, stop. 2. Green light, green light, go, go go. 3. Yellow light, yellow light, wait and see.	A: When is the expiration date? B: It's on ___.
Activities	Dental Care	XX Mailbox	Fire-prevention	Career education

	Activity		drill	
Words	1. brush your teeth 2. floss 3. see the doctor 4. toothbrush 5. toothpaste	1. mail 2. write t o 3. mailbox 4. letter	1. fire hydrant 2. fire extinguisher 3. fire fighter 4. fire escape 5. exit	1. teacher 2. doctor 3. nurse 4. police officer 5. businessperson
Dialogues	A: When should I brush my teeth? B: You should brush your teeth after eating.	A: What are you writing? B: I am writing a letter to the XX Mailbox?	A: What is the fire fighter doing over there? B: He is putting out the fire with the fire extinguisher.	A: What do you want to be in the future? B: I want to be a/an___.
Activities	Safety education	Vision Care	Sexual Harass Prevention	No Misusing Medicine
Words	1. fire 2. roadside 3. kitchen 4. stranger	1. near-sightedness 2. eyestrain 3. sore eyes 4. vision defect	1. man 2. woman 3. serious 4. terrible	1. powder 2. syrup 3. tablet 4. capsule
Dialogues	A: Let me give you a lift. B: No.	A: How can you take good care of your eyes? B: I sit up straight when I read. (I watch TV at a distance.) (I read in places where there is enough light.)	A: Sexual harassment is a serious problem. B: Definitely.	A: Take my cough medicine. B: Oh, no.

The instruction of the IEISE was promoted regularly in the school as stated below:

Table 13: Instruction of the IEISE

Date	Fri.	Mon.	Wed.	Mon.-Fri.
Time	Teacher's Morning	Student's Morning Assembly	Morning Study Hall	Lunch time

	Assembly			
Time	7:50-8:30	7:50-8:30	7:50-8:30	11:50-12:20
Activity	The English teacher teaches school staff the contents of the IEISE.	The English teacher teaches students the contents of the IEISE.	Homeroom teachers reviews the contents of the IEISE.	Radio program on the contents of the IEISE was broadcasted.
Date	Mon.-Fri.	Mon.-Fri.	Fri.	Mon.-Fri.
Time	Finish School Meeting	English classes	Teacher's Morning Assembly	Anytime
Time	3:50-4:00	Anytime	7:50-8:30	Anytime
Activity	The English teacher teaches students the contents of the IEISE.	The English teacher teaches students the contents of the IEISE.	The assessment on the contents of the IEISE was given.	Instructions of the contents of the IEISE were posted on the school web and bulletin board.

Based on theses schedules, the English teacher used one to two minutes during the teacher's morning assembly, to teach the school faculty an IEISE dialogue. Once the entire school faculty was familiar with the dialogue, they were able to go on and help students practice English. Whenever teachers met a student they would engage the student in English dialogue practice.

Every Monday morning from seven-fifty to eight-thirty, a student morning assembly would be held. During the assembly the English teacher explained an IEISE dialogue to the students and asked one or two student volunteers to role-play the dialogue.

The homeroom teachers used Morning Study Hall from seven fifty to eight thirty and English teachers used two-period English classes to help students review the dialogues from the IEISE.

The English teacher recorded a Chinese-English radio program and is broadcasted it during lunch from eleven-fifty to twelve-twenty every day. These bilingual radio programs also included the IEISE content.

Finally, at the End-of-the-Day Meeting held at three-fifty. Students were gathered and the English teacher reviewed the IEISE dialogues.

The contents of the IEISE were posted on the bulletin board near the English Classroom as well as on the school web site. Every day the students wrote down the assignment that they had to complete after school in their communication books. They were also instructed to copy the dialogues from the IEISE into their communication

book as well, so when at home, parents could help students review the dialogues.

The Teacher's Morning Assembly was held every Friday morning from seven-fifty to eight-thirty. During this period, an assessment (see appendix 1) of the IEISE was given by the English helpers from each class. Students were paired and asked to role-play the dialogues with their English helpers. If they passed the test, the English helper would put a seal on the worksheet. Students who were able to say all these required dialogues from the IEISE would get seals on their Honor Passport. Those who received seals on their Honor Passport at the end of the semester would draw lots to win gifts including bicycles, jigsaw puzzles, school supplies, and etc.

IV. Conclusion

The one-year promotion of IEISE in Chung-Hu Elementary School had two positive effects:

First, speaking English became a trend at the school. Students, particularly aged from seven to ten, enjoyed speaking English. They grabbed every opportunity to practice and speak English. Some would even run to the principal's office to greet the principal in English. When they crossed the street, some began to recite "Red light, red light. Stop, stop, stop. Yellow light, yellow light. Wait, wait, wait. Green light, green light. Go, go, go." Students were also heard practicing the following conversation early in the morning, "Have you taken your temperature this morning?" "Yes." "What degree is your temperature?" and "It is about 36℃."

Secondly, the IEISE helped children connect one topic with another thus making each topic more relevant to life. The topic or content of the lessons automatically became more important than the language itself. Children also learned how to preserve the environment by reducing, recycling, and reusing and learned what could be used to recycle, such as paper, bottles, and cans.

There were some problems with the implementation of IEISE in elementary schools. First of all, the local publishers did not supply sufficient teaching materials for the IEISE. Therefore, teachers had to spend extra time and effort to search out materials.

Secondly, it was hard to determine to what extent the topics or skills used in the IEISE were already familiar to the students? Did teachers have to introduce a new concept or skill for the first time in English?

Thirdly, students with limited English proficiency level were a difficulty. Words in certain fields such as drugs, earthquakes, sexual harassment, and so on were too hard for these learners. The students with lower English abilities were simply more difficult to teach as teachers had to introduce new IEISE concepts and words.

Several areas still need to be investigated in order to more completely understand the effects of the IEISE. Two particular areas that need attention are: 1. The various

concerns parents have. 2. The general attitude and perception subjects teachers' and homeroom teachers have toward the importance of the IEISE.

This research focused only on one case study in a rural elementary school. Further studies should [illegible] n Taipei County or other cities in Taiwan. Future studie[illegible] uestion, "Is there any difference regarding the IEISE in [illegible]

This research foc[illegible] n an elementary school. Another study should be condu[illegible] different ages and with different English proficiency le[illegible] here any difference regarding the IEISE among beginner[illegible] ed English learners?

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Appendix I

Assessment on Integration of English Into School Events

Class: _____Chinese Name: _____ English name:_____ Seat number: ____

No.	Events	Sentence	Pass	Pass date
1.	First Day	A: What do you do on the first day? B: We get new books/buy new uniform/clean the classroom.		
2.	Parent-Teacher Meeting	A: Is your mom/dad coming to the parent-teacher meeting? B: Yes, he/she is. Or No, he/she isn't.		
3.	Teachers' Day	A: Who is your ___ teacher? B: My ___ teacher is Mr./Ms ___.		
4.	Height and Weight Checking	1. A: How tall are you? B: I am ___cm. 2. A: How much do you weigh? B: I am ___ kg.		
5.	Reading Education	A: What kinds of books are you interested in? B: I am interested in ___.		
6.	Sports game	A: Can you play___? B: Yes I can. Or No, I can't.		
7.	Campus Beautification	A. How can we beautify our campus? B. We can have a fish pond.		
8.	Field Trip	A: Where are you going for your field trip? B: We're going to __(location).		
9.	Class Model Election	A: Who is your class model? B: ___ is. She is excellent in character and learning.		
10.	Musical Concert	A: What musical instrument are you going to play? B: I am going to play __(musical instrument).		
11.	Assessment Week	A: What score did you get in__ (subject)? B: I got ___ in ___(subject).		
12.	Picket	A: Don't litter. B: OK.		

Class: _____Chinese Name: _____ English name:_____ Seat number: ____

No.	Events	Sentence	Pass	Pass date
13.	XXX Mailbox	A: What are you writing? B: I am writing a letter to the XX Mailbox?		
14.	Traffic Safety Education	1. Red light, red light, stop, stop, stop. 2. Green light, green light, go, go go. 3. Yellow light, yellow light, wait.		
15.	Career Education	A: What do you want to be in the future? B: I want to be a/an___.		
16.	Consumerism	A: When is the expiration date? B: It's on ___.		
17.	Temperature check	A: Have you taken your temperature this morning? B: Yes. A: What degree is your temperature? B: It's ____ Celsius.		
18.	Sport Equipment rental	A: What sports equipment are you going to rent? B: I'm going to rent ____.		
19.	No Smoking Activity	A: Is your ___ (family member) a heavy smoker? B: Yes, he/she is. He/She should give up smoking.		
20.	Last Day	A: Do you have any summer/ winter project? B: Yes, I have ___ projects.		

2005 Hawaii International Conference of Arts and Humanities

"Language of Music versus Music of Language"

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I. MUSIC AND LANGUAGE OF MAN (INTRODUCTION)

Yehudi Menuhin, one of the greatest musicians and humanitarians of our time, has asserted in the book (co-authored with Curtis Davis) *The Music of Man* (1979), that

"Music is our oldest form of expression, older than language or art... In fact music is man far more than [the spoken language], (for words are abstract symbols which convey factual meaning, music touches our feelings more deeply than most words and makes us respond with our whole being.)"

But perhaps Menuhin's more penetrating insight into the nature of music of humankind is in the statements elucidating to the fact that:

"It is generally acknowledged that language is a tool for communicating the tangible, while

music is for communicating the spiritual and intangible, that language is for the needs of the body, while music is for the needs of the soul."

Today, we are witnessing a fact where the medical community is recognizing more and more the unique capacity and amazing ways that music affects the well-being of human body. Some hospitals have experimented with quieting newborn babies by playing them recordings of the sound of human heartbeat, finding in some cases that babies are comforted and lulled to the point where they (almost) forget to breathe (as in their prenatal state). Harris Methodist Hospital (in Dallas) and many hundred such health institutions across the United States have begun to engage music as an effective means for promoting recuperating process of patients, to the extent that is beyond the capacity of medication. This same realization and insight has prompted Menuhin and others to recognize at least three decades ago that human being is uniquely musical, and this intrinsic and innate attribute of man marks his most unique distinction from all other living creatures on earth.

This recognition helps us to understand why the earliest man had a need for creating music

long before they had the need and a capacity to fathom language and, in the process, letting music become not only a part but an inseparable and prominent element in formulating the earliest

spoken language. This form of speech is what we now call *tonal language*. As Mehunin says,

> " For a long time music and speech were one continuum, both produced by the voice. Even after the firs instruments appeared, music and speech were still overlapping entities..." that
> "There are places in the world where ancient languages survive, such as China, Vietnam and parts of Africa, in which the inflection of speech and music remains inseparable... Where parts of melodies follow the same rise and fall as the language (or, should it be said more accurately, that musical inflection was engaged to help clarify and differentiate spoken sounds, in order that the difference in the meaning of words become more easily recognizable than otherwise), and a change in the musical line may also alter the meaning of the word."

II. Relationship of Music and Language

In the course of historical development of music, writers of music increasingly borrowed words to give music a more immediately associative meaning, to provide point of reference to otherwise abstract and nebulous musical gestures. Examples are 'phrase,' 'cadence' (meaning rise and fall, point of rest), 'timbre' and 'texture,' 'contour,' 'harmony' (the original meaning being certain mathematical ratios), symphony (meaning many voices sounding as if in one voice), meter (poetic pattern), and 'accent' (manner in marking emphasis). There are even systems of classifying the mood and degree of passion in music.

Music anthropologists agree that the earliest kind of music was vocal; mothers lullaby, workmen's rhythmic chorus, hunters incantation, music that contain few or no words. We should notice, however, that the words in these songs are often nonsense syllables, repetitious and without much referential connotation. In American Indians songs, for example, spoken words are seldom, if ever, used. Asked why they don't sing words, the reply is that "if you need words, why don't you just speak?" To them, music does not require spoken words and, hence, only the nonsense syllables--for 'vocalise' purpose--are used in American Indian vocal music. Similarly, the dream songs of Africa and Americas and elsewhere use nonsense syllables, where apparently words are regarded as unnecessary, incomparable or even incompatible.

Let us consider another fact: Universally, and from the most ancient time to the present, recitation and memorization of lengthy religious and epic texts--from the Vedic poetry to Byzantine and later Gregorian sacred verses of Europe, to Muslim, Tibetan and shinto sacred lyrics in the eastern regions of Eurasian Continent--is accomplished by way of chanting. This has only one universal explanation: music is so capable of aiding the memorization. To put in other way: man is more capable of memorizing music than words. Consider a pianist playing a concerto by Rachmaninoff or Franz Liszt. Tens of thousands of notes, played on two different hands, on ten different fingers, in different registers, different durations, different dynamics and different expressive nuances. The feat is comparable to memorizing the entire Bible, Old and New Testaments. But, somehow, the deed is made so much easier and even more "natural" by music than by words alone. In other words, music is fundamentally more intimate to man than language. Ask music therapists, and they would testify to the amazing fact, with countless tales of testimony, that music can revive fading memories and reactivate nerve chords in our brain.

III. MUSIC OF LANGUAGE

Here, I would like to invite you to consider a general topic from one other perspective. Can music be an integral part of a language, to such extent that *music in language* may render language of music superfluous, or even relegate music itself to relative insignificance?

The nature of relationship between music and spoken language, can be classified into three generalized categories: (1) where words serve the music (as in lullaby, sea chantey and work songs, and dance-oriented folk songs) , (2) where music serve the words (as in most chanting and recitation), and (3) where music and words are in near-equal partnership (European art songs and operatic solo songs, where "word painting" is often engaged).

In considering these categories of music-spoken word relationship, one could also wonder if the development of such a relationship is all that straightforward. In other words, has the importance of spoken language superseded that of music in man's perception of sound? To put it other way, have music and spoken language become more separate and distinct from each other? When we critique the artistry of music, is it always based on "musical" factors? When we appreciate listening to music, does our perception always, universally, and equally based on the same set of musical aesthetic criteria?

Let us consider the following two situations:
One: "How many opera and concert-goers in the West can recite--let alone understand--the words in these songs?" When we consider the fact that much of art songs and operas are sung in foreign languages, an average concert-goer would most probably not understand a single word that was sung. Apparently, while words are important for without it the music would not have the cause and justification of being, words are not needed to "appreciate" the music. In contrast;
Two: "How many people at the performance of Chinese *jingxi* (commonly called Peking opera) or Japanese *kabuki* can not only recite but understand perfectly the words in the songs? The answer is that most people are capable and would, with a little prompting, give a literal rendition of many more renown passages. Yet, these same people may not be able to describe--let alone emulate--the music in these theater works. In other words, the interest is in the music *of* --or *in*--the language, rather than music aside from the language. For I have noticed in recent years that the majority of the very ordinary common people attending *jingxi* are not only familiar with the story but in fact are quite capable of reciting phrases and arias in so many of the more notable *jingxi* scenes, *ver batim*, without error and without hesitation.

As mentioned, Chinese language is tonal, where inflection is an inseparable component in defining the exact meaning of the monosyllabic language of Chinese people. Chinese language, as monosyllabic and tonal form of speech, has survived for well over five millennia, without any fundamental changes. In this way, even school children can read and recite verses written by Confucius over twenty-five centuries ago. In contrast, in China's immediate neighbor, Japan has a language which is fundamentally different: it is polysyllabic and non-tonal. The history of the development of Japanese language is rather complex and is beyond the bound of this short paper. However, it is important to point out certain historical fact regarding Japanese language: that (1) the modern Japanese was not formulated or unified until during the feudal period (ca. 10th-16th centuries); (2) the proto-Japanese (often simply termed OJ for "old Japanese") began to incorporate many elements from Chinese language, particularly since the seventh century (*via kento-shi*--cultural emissary to To--Japanese pronunciation of the name of Tang dynastic of the

contemporaneous period in China's history), including 'poetic recitation' (*shigin* and *roei*) of the same written word/character. (It was during this period, too, that the system of Japanese alphabet--the *kata-kana* and later *hira-gana*--was formulated). Hence the new and modern Japanese language (the NJ for "new Japanese") was born. Here, it is worth pointing out that, in a sharp contrast to the continuous use and near-unchanging state of Chinese language for the past two or more millennia, it was during this period of Japan's feudal warring centuries that another profound change occurred in Japanese language: the idiomatic manner of speech, where fewer the words the better, the more ambiguous and esoteric and concealed the safer. This form of speech was in fact by design: out of sheer necessity of survival, even if only to avoid being killed on the spot by one who had the power of life-or-death (the *samurai*, retainers of all-powerful warlords) over you and was not amused by your answer. Therefore, a Japanese man would answer his supervisor with a single exclamation vowel "*Hah*"" It is not a word, but a sound that can mean neither or either, or both "yes" and "no." The ambiguity of Japanese speech, where almost none of the grammatical requisites (*e.g.* of European languages) are mandated, is both safety net and a form of art. Ask any Japanese what is the exact and literal meaning of "*doh mo*," "*sayo-nara*" or "*kon-nichi-wa*"? Literally, "*doh mo*" actually means "much," but much what? "*Sayo-nara*" means "if it is so...(then ...?)," and "*kon-nichi-wa*" means "today is...?" A single sound, a single neutral vowel on an exhaling breath, or a single shout of indescribable 'noise' may often be "understood" as much more eloquent and immediately expressive (to Japanese) than a perfectly crafted and grammatically complete sentence or a most exquisite musical phrase. It is such "*ki*" or "*ki-ae*" (loosely translated "breath" or "letting out of spirit") that is engaged so much in Japan's *noh* and *kabuki* theater plays. In attending *noh* play, for example, the Westerners are often mesmerized first by the exotic setting but, after half an hour of continuum of a most minimallistic gesticulation in anything (or nothing) resembling music or acting, the average Western listeners may regard the play as totally monotonous, ultimately boring, and wholly incomprehensible. But, is music really absent in these plays?

Perhaps it all depends on what are the criteria for music.

To Japanese ears, a well-timed and articulate utterance of one single sound is far more *musical* than a cacophony of symphony. Hence one may also come to appreciate why Zen Buddhism has so flourished in Japan than China: in the minimallistic expressiveness of Zen precept, to the seeing eyes, a cosmos in a single grain of sand; to the hearing ears, a whole symphony in the sound of a frog jumping into an old pond; and to the perceptive mind, the whole of life in the short journey of a falling leaf from off the branch to the soil below.

In sharp contrast to the Japan's minimallistic art of music and language is China's vocal music and the recitation songs and arias in *jingxi* in particular. An average impression of Westerners from attending *jingxi* performance is that the acrobatics are fantastic, costumes colorful and exotic, and painted facials surreal and dramatic. But vocal music? Many Westerns are aghast especially when they are told that all (leading) female roles in *jingxi* are in fact sung by male actors (they are not *castrati*, however). But, beyond these exotic features, the critique of *jingxi* music and singing is often that of "repetitive and monotonous music, lacking in refinement, and vocally shrilled and unpleasant." These critiques are not entirely wrong; they are rather objective, when *compared* to the operatic music of the Western heritage. This begs the question, then, of "How could Chinese continue to appreciate such music, even after they have been exposed to the finer vocal arts of the European West?

One summer evening, I was walking on the campus ground of Qinghua University (Beijing),

and saw a number of elderly people exercising. Many are practicing what I gathered to be *taiqi-chuan*, but also a few were mimicking sword fight. Then I noticed a couple of old gentlemen singing *jingxi* arias. Their voices rather hoarse and the singing even off pitch. Still, they are nonetheless enjoying singing phrase after phrase of *jingxi* arias, whether shamelessly oblivious to or perhaps even inviting the pausing and listening of the passersby. It dawned on me, then, that it was the words and verses in the arias that they find so much pleasure in rendering and in not being mindful of others listening in. That is, the focus of their rendition is not the music. Rather, the beauty of experience that they are so eager to share with whosoever nearly is the words, especially the exquisite musical beauty that is in the tonal nuances and lilting lyricism in each of the words and phrase. Chinese language is so uniquely tonal, that inflection of each word is in itself incomparably musical.

These phrases and axiomatic idiomatic phrases, permeate so much in the exaggerated speech and aria of jingxi, are all poetic verses, most memorable phrases that have become a part even in the daily speech of the common people. The word--or rather, the word-music--is deep in their heart's sentiment and aesthetical sensitivity. Let the pitch off a bit, let the voice warble and crack here and there, but the word music is still there intact, and it is all that matters. After all, it is the music in the language that move them to sing, and it is that only that they truly treasure. There indeed is music in the language of Chinese people, the musical language that few other people on earth possess and are capable of truly appreciating.

Two years ago I led a class of mine for field study in a mountain region of Guangxi province. Far away from modern conveniences and up the steep hills of miles of terraced rice fields are pockets of villages. The people there, especially the ladies, young and old, would sing incessantly, on the field, on the narrow mountain paths, and in welcoming guests. These songs are impromptu utterances, verses created on the spot. Music? The melodic lines are nearly always the same, spanning a narrow range of about a fifth or a sixth, and of simple anhemitonic pentatonic or even tetratonic pattern. If one listens only to "music," one would more likely be disappointed by its monotony and repetitiveness. But when one listen to the words and the lyricism of words, there is an entirely different dimension of music, far beyond the bound of what we define as musical. Or, listen to the poetic recitation by ladies from Hangzhou area; it affords a pure musical delight in its linguistic inflection. Or just listen to the daily, ordinary conversation of common people, and carefully notice its inflection and rhythmic-metric cadences; their speech is full of poetic phrases (often in 4+4. 4+3 syllable phrases). This, to, is a form of music but perhaps with an absence of those elements that the Western music aesthetics define as musical.

Look at Chinese water-and-ink paintings, and one would--or should--notice that there is always the presence on the canvas the calligraphic verses. To Chinese or who understand the culture of China, written verses are an inseparable part of any art work, including painting. And in reciting these verses, there is music that helps to enhance the beauty of the painting, rendering it more deeply aesthetical beyond the mere shapes and forms of the images on the canvas. Consider also the fact that there is no purely instrumental music in China; all instrumental pieces bear the poetic and pictorial titles. These titles--the representation of spoken language--help the listeners to conjure poetic images that music alone may not be sufficient to portray. Hence, music in China does not exist without language, since language is a form and an inseparable component of music. In this context, the artistry of music is not dependent only on musical criteria as may defined by Western aesthetics of music. Rather, language is made a form of fine art because in it there is that innately musical element--the tonal inflection. Listen to a Chinese

instrumental music, and notice the nuance. Each tone is carefully crafted with tonal inflections and dynamic nuances, and endless and minutely subtle timbral shading. To Chinese ears, a single tone with subtle tonal inflections and nuances conjure a word, a poetic image that, in turn, will arouse a deep emotional response. For music is inseparably related to the beauty in the tones of Chinese language.

IV. CONCLUSION

John Blacking, an eminent ethnomusicologist, wrote in his book *How Musical is Man* (1973) that:

> "We need to know what sounds and what kinds of behavior different societies have chosen to call 'musical,' and that
>
> "Research in ethnomusicology has expanded our knowledge of the different musical systems of the world, but it has not yet brought about the reassessment of human musicality which this new knowledge demands."

Furthermore, Blacking claims that

> "When the *Gestalt* school insists that musical talent is more than a set of attributes dependent upon sensory capacities, it is right; but only partly right, because its whole does not (or, has yet to) extend into the culture of which the music is a part."

By this, Blacking is pointing out the fact that the prevailing musical tests and even the criteria in comparative ethnomusicology is highly ethnocentrically biased.

I teach course in ethnomusicology and in Asian music in particular. In recent years I have changed the course title a few times, to now what is called "Music and Culture of China" or "Music and Culture of Japan." This change in the course title reflects my increasing awareness of the fact that it is wholly meaningless--even farce--to discuss music without first understanding the culture, the history, the ethnic temperament, and the language of the people who produce that special brand of music and uniquely expressive musical idiom.

> [*Note*: Ever wonder why there has been so much organological study of Asian music by Western scholars in the past?
> Because instruments and instrumental sounds can be measured in scientific terms and in the scientific labs. Such study does not require understanding and proficiency in language. While such is a legitimate branch of ethnomusicological study, we also ought to realize that instruments are but a tool, and not music itself; and scientific study of them in no way will help us understand and appreciate the intricacy of the feelings and emotions of the music of the people who play the instruments. Instruments are not the spokesman for the people; the language is.]

In closing, I should submit that we who teach world music must strive also to equip ourselves with at least a minimal--if not a credible--level of linguistic proficiency. For, without a measurable level of knowledge in history and culture as well as a demonstrable proficiency in the spoken language of these lands, we cannot regard ourselves as adequately equipped to teach musical cultures . Without it, we would teach only the external and at best peripheral "things" *about* music, but not the music itself. For, without it, we are incapable of comprehending the music of the peoples in the context of their culture--the very soil that has nurtured and brought forth the fruits of their musical language.

THEATRE RICE!

"JUST 6 YEARS OLD AND ALL GROWED UP!"

Asian American Student Theatre on the UC Berkeley Campus

Performing Arts/ Theatre

Student paper

Paper session

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THEATRE RICE!
"JUST 6 YEARS OLD AND ALL GROWED UP!"
Asian American Student Theatre on the UC Berkeley Campus

"Why don't you sell any *Asian* goods?"
"We have Asians. They are good."
– "Legends of the Fall…(of Costco)," Spring 2003*

Theatre Rice is the name of the Asian American theatre group at the University of California in Berkeley. The name was not meant to stick (no pun intended); it was a default moniker that was agreed upon with the hope that a better name could be created later. Not the most auspicious beginning for a group that has since then faced more than its fair share of highs and lows during its six-year existence. The objectives of Theatre Rice, according to the now somewhat outdated and sometimes-contested constitution, are to counter both the general lack of representation and misrepresentation of Asian Americans in the media and to give Asian Americans the chance to participate in the performing arts from which they have previously been denied access. Theatre Rice is entirely self-produced; every aspect of each production is in the hands of the group members. Presently, every Theatre Rice show is composed of original works that are either written by cast members or by other members of the Asian American community. Theatre Rice is not the only student theatre group on campus, its peers including BareStage and the newly formed Theater for Charity. However, with respect to Asian American student theatre, there has been only one other reported group before Theatre Rice. Wind and Water was the name of a group that existed at one point in the 1980's. With that very short-lived attempt as its sole predecessor, Theatre Rice is a necessary presence at UC Berkeley as a minority student theatre group in an academic environment that does not foster student theatre much less student theatre that features Asians and Asian Americans. The existence of Asian American theatre, mainly in the form of Theatre Rice, has grown considerably on the UC Berkeley campus and by the looks of it still has a long and fertile life ahead.

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* If not footnoted, it is to be assumed that the lines are from a skit created jointly by members of the given semester's Comedy Troupe.

Rice Tackles Race

GONZO: "I was in a race once! I came in second!"
NANNY: "No, no, Gonzo. Not that kind of race."
– "A Nursery Divided," Fall 2002

Theatre Rice was created by then-student Duy Nguyen and graduate Michael Cheng in the fall of 1998. Although Theatre Rice maintains that it is the first modern Asian American theatre group at Cal, in 1987 there was Wind and Water, which reportedly existed prior to Rice's origination. Former (and only female) Producer Jane Chen (Fall '99-Spring'00) recalls, "One thing that I always thought was funny was that Duy was always very emphatic about Theatre Rice being the first *modern* Asian American theatre group at UC Berkeley . . . misleading, in a funny way, very Duy." [1] Regardless, there is very little documented on Wind and Water, a difficulty faced by former Cal undergrad Autumn Zangrilli who wrote her honors thesis on student theatre at UC Berkeley. Wind and Water was described on a flyer as an "independent student theatrical [group]."[2] They did one show as a joint venture with a group called the Zellerbach Players in which they performed an excerpt from *FOB* by David Henry Hwang (inaccurately noted as "Henry Hwang" by Zangrilli). The Zellerbach Players were originally called the Not Ready for Zellerbach Players, a reference to the Zellerbach Playhouse, a departmental performance space that is much coveted but has for the most part remained inaccessible to student theatre. Incidentally, from the beginning Theatre Rice has always performed in 155 Dwinelle which is actually a lecture hall and far from a "real" theatre. But over the years, it has become a home to "Ricers" (the name adopted by members of Theatre Rice). The lack of an actual performance venue is one of the many elements that set Rice apart from "the department," UC Berkeley's Department of Theater, Dance and Performance Studies (TDPS) formally known as the Department of Dramatic Art.

The inception of Theatre Rice did not consciously involve aspirations of political change or social uprising. However, as interpreted by Zangrilli, "Theater [sic] Rice's creation . . . is an act of seizing of control over their [the students] own theatrical experience at U.C. Berkeley."[3] Such a politically-minded stance might not have been the mindset of all members. Even then, different

members had different notions of what the group's purpose(s) should be. Y. Peter Kang, a member from the early days, states in retrospect, "I think it's a great way for Asian American students who have never tried anything artistic to jump in and get their feet wet," but he acknowledges there were problems in the group and his own personal feelings of frustration partly due to the general lack of experience and "humongousness" of the group at the time.[4] Granted, Cal students probably did not choose to attend this particular university to pursue the arts. Mark Griffith, a professor of both Classics and Theater and then head of the Theater department, helped Theatre Rice get its start and has been referred to by Duy Nguyen as "the godfather of Rice." As Griffith remembers it, Theatre Rice formed at a time when the only other theatrical venue for students of color was the Black Theater Workshop which still exists today as a class. "I felt strongly that the UCB campus deserved a flourishing Asian-American performance presence, and that I was eager to help bring this about, by whatever means it might take. The rest (as they say) is history, and the credit belongs entirely to Duy [Nguyen], Michael Cheng, and all their colleagues and successors."[5] There definitely seemed to be students interested in producing Asian American theatre, and as it turned out, there was an audience waiting for them.

Theatre Rice has become popular largely for its Comedy Troupe (which will be discussed at length later), but there have been other notable non-comedic projects. Being a completely self-run organization, there has rarely been any departmental involvement, the main exception being relationships with alternately the Asian American Studies and TDPS departments in order to attain units so members can get academic credit for their involvement in the group. Likewise, there has not been any faculty direction with one major exception: the Stan Lai project. Five years ago, Stan Lai, a former Ph.D. student at Berkeley and one of the department's more illustrious alumni, worked with Theatre Rice as a visiting artist from Taiwan where he does most of his current work as a playwright and director. The previous semester, multi-talented artist Rhodessa Jones had come in to direct an African American experimental theatre project. Next, the department wanted to take on a similar venture involving Asian Americans. Aside from Lai, the other known Asian theatrical venture involved Akira Matsui who was brought in to guest lecture and create a project on Noh Theater in

collaboration with the Music department. Griffith sought out Theatre Rice to help collaborate and organize the project. As Cheng recalls, "There aren't that many Asians in the DA [Dramatic Art] department . . . certainly no one who has much idea of what's going on in Asian theatre. So it [kind of] fell on Theatre Rice."[6] But with that said, there was a great deal of interest and enthusiasm in the project and in the process leading up to the final product. Lai was informed that " Rice was basically a bunch of mostly non-theater majoring Asian American students who got together and put up their own material . . . not too experienced, but there were a ton of us, and that it was an important part of TR that we include as many people in the process as possible."[7] Lai was intrigued and suggested that they set to work on developing his new play *dream like a dream*. Lai and Theatre Rice only had approximately three to four weeks together. They eventually created, mainly through improvisation, about four hours of material in that time. The final play, which was produced in China and Taiwan, was ultimately seven and a half hours long. Much of the dialogue that was created in Berkeley was used in the final production, and both UC Berkeley and Theatre Rice were credited in the program.

Another notable Theatre Rice project was the UC Berkeley production of *Achievers*, a contemporary Asian American play written by Michael Golamco, a graduate of UCLA. When it was introduced to the public back in 2001, *Achievers* was a popular and much-produced hit with college campuses. The Cal version of *Achievers* was only the second production of the play, and this version had been lauded for its use of added multimedia dimension and deemed "a visual riot."[8] Produced by Theatre Rice and directed by Homer Rabara, this was one of the few plays that Rice put up on its own as a full-length show. As it turns out, Golamco is a former member of LCC, an acronym for Lapu, the Coyote That Cares, which is the Asian American theatre group at UCLA. Theatre Rice has since then staged two scenes written by other members of its Los Angeles counterpart.[9]

Rice in Love (and War)

THEN

JULIAN: How do you presume to know all this? What are you, a fuckin' shrink?
BW: No, I majored in psychology in college.
JULIAN: I majored in gun repair at Sally [Struther's] correspondence school.
BW: I have a master's degree in business administration from Wharton.
JULIAN: I also took courses in washing machine repair, and I have a deep-seated fear of anal rape.
BW: Did you say you knew how to fix washing machines?

- *The Graphic Adventures . . .*
(Act I, scene 3), Fall 2000[10]

NOW

AMY: You always do this!
MARK: What? Always do what?
AMY: You know what!
MARK: Well, *you* know what? Maybe you should get out of my face!
AMY: Maybe you should forget about that birthday present I got you! I want it back!
MARK: Well, fine! I didn't like it anyway!
AMY: Fine!
MARK: Fine!
AMY: Fine!
MARK: Fine! Fine! The truth is I love you!
AMY: Well, it's about time!

- *The Ex Box and Other Mistakes*
(Act I, scene 7), Spring 2004[11]

Over the years, Theatre Rice has grown immensely in terms of its popularity and general interest expressed by the community. Since its inception, Rice has grown from one show per semester to two shows. Although it is quite taxing on everyone involved, the mid-semester show was introduced in Fall 2001 primarily to accommodate the growing demand for Rice shows and also to involve more group members. Additionally, Open Rice (Mic) Night became a staple of each semester as well. Theatre Rice started out charging for its shows, a few dollars per person. Then in Fall 2001 (a turning point of a semester in many ways), it turned out that the group would be forced to pay for their borrowed technical equipment if people were charged admission. Rice decided to hold free shows, hoping to increase audience attendance as well. Also, Rice began to donate to a charity every year, the first one being the Cambodian Community Development in Oakland. With the exception of a financially strapped semester here and there due to campus budget cuts, for the most part Rice has been able to provide its audience with free shows. Theatre Rice has grown tremendously in size and audience attendance. As a result of growing interest in actual participation in Rice, auditions were put into place in Fall 2001 in order to control the membership each semester. Statistical evidence was gathered as research for an essay by Chris Dong, who was Producer during the 2003-2004 term. According to his data, Rice began relatively small in size with about 12-15 members. Between Fall 2001 and Spring 2004, the number of fully active members has fluctuated within a range of 35-45.[12] The audience for the first few semesters of Theatre Rice's existence consisted mostly of close friends

of the cast, which added up to an audience of about forty people (in a 400+ seat venue!). Since then, Theatre Rice has had several packed houses and has regularly performed for crowds of close to or more than 400 people per night.

Another aspect of the group that has grown tangibly is the Theatre Rice committee. Some may consider this fact to be representative of how much the group expanded or, as the cynics would say, how "commercial" the group has become, a change that seemingly caters to the productions and audience satisfaction as opposed to focusing on the individual members and overall makeup of the group. The leadership of the group essentially consisted of a few good men, with Duy Nguyen leading the more serious side of things and Michael Cheng directing the Comedy Troupe. It has since then evolved into a committee, consisting of up to fifteen members at one point. Only of late has the committee been reduced by majority vote and now involves ten people, headed by five to six of them making up what is now called the Executive Committee. In order to manage the size and dynamic of the group, an interview and audition process was deemed appropriate, an arduous task for these elected members. The Executive Committee, often referred to as "Ex Comm," "must be able to determine a prospective member's motivations for joining the organization during the interview and select wisely," according to Natalie Cheng, former Assistant Producer (Fall 2002) who wrote an interesting analytic paper studying the turnover trend in Rice.[13] The Ex Comm has always been headed by a male Producer, with the exception of Jane Chen. Theatre Rice was founded by two men, a common trend of theatre groups at both the student and professional levels. "Peeling the Banana" Troupe, which eventually became simply "Peeling," was formed in New York and built upon an Asian men's workshop, even though the group did include women later on. Another group called SLANT produces biting satirical, if somewhat macho heterocentric, material. In *Big Dicks, Asian Men* they "satirize pop and media images of Asian masculinity, share experiences of our American upbringing while paying homage to the guiding influences of our Asian heritage."[14] For a time, it looked as though Theatre Rice was similarly a male-dominated "old boy's club." Fortunately, over the years more and more females have taken on leadership positions within Rice. In the current Executive Committee there is a 2:1 female-male ratio. Also, despite the fact that co-founder Duy Nguyen is an

openly gay male, sexual orientation, like gender, is a topic that can still be explored further with sensitivity and maturity within the group and onstage with the public. But such is the plight of marginalized groups within a marginalized group.

Rice Issues

"What if I told you we are all lost. What if it is okay to be lost . . ."

– *Dreams Onto Life*, Fall 2002[15]

Theatre Rice is generally associated with comedy, to the delight of some and the chagrin of others. Many students who express interest in joining the group decide not to audition because, as they say, "*I'm not funny*." The Comedy Troupe has definitely become the most popular aspect of Theatre Rice and a staple of most of the shows, an interesting fate that came about accidentally. Michael Cheng had the idea of using improvisation to develop plays within Theatre Rice: "The comedy troupe wasn't supposed to be this skit comedy thing."[16] According to myth, when the play slated to go up was not prepared by showtime, members of the group came up with comedic sketches at the last minute to put in the show. Thus, Comedy Troupe was born. This quaint yet false story seems easy to believe, seeing as how Rice is often marked by its unpredictable, seat-of-their-pants, guerrilla-like theatre tactics. What actually happened was this: Nguyen and Cheng originally wanted to take on both drama and comedy. For the dramatic piece, a Naomi Iizuka play called *Skin* was considered then passed over for an original work by Nguyen called *Placenta*. Cheng embarked on the search for the right comedic piece. When Rice first called out to people interested in joining the group, instead of an audition there was a workshop, which still happens at the beginning of each new semester with the new cast in order to go over stage basics and group bonding. There were about fifteen to twenty people who showed up to this first workshop (down from the thirty at the first general meeting). The founders continued discussing how they could get everybody involved. Finally, Cheng was inspired by the Amsterdam Werkteater (that incidentally also influenced Stan Lai) whose works were created collaboratively through improvisation. That seemed the way to go, using improvisation to create stories and it was a way in which to use all those people. The fact that much

of Rice's earlier works were all rooted in improvisation acts as an interesting precursor to the now almost regular presence of an Improv Troupe that is assembled to perform usually in the mid-semester show.

Earlier on, the Comedy Troupe process leading up to a show went something like this: "It seemed like we did a bunch of improv exercises for eight weeks and then hastily put together a show."[17] Nowadays, those eight weeks have been reduced to three (in one semester, to an extreme two and a half) ever since the mid-semester show was added. That time is immediately dedicated to brainstorming and skit-building, creating material that will constantly be changed and revised right up until showtime. Over the semesters, there has been a clamor within the group for more dramatic works and performances. Some of the more serious Rice pieces seen onstage have included Grains[18], a collection of personal narrative monologues, and Untitled IX[19], a set of skits ranging from seriocomic to dramatic, jokingly referred to as "Drama Troupe" or "Tragedy Troupe." Most recently there have been *The Golden Age of Doris Day*[20], a silently acted piece set to a Doris Day tune that deals with rape in a 1950's context, and also *Winter Is Coming*[21], a "multi-genre" performance piece about war that incorporated watercolor animation, live music, spoken word poetry, and dance. To be fair, comedy can be and has been used as a medium to express social and political commentary. Comedy is also arguably more accessible to the masses. There is still the argument whether humor can amplify or merely dilute the issue at hand. Why is drama not tackled as frequently? Will drama always remain elusive to Theatre Rice? It is even now a fledgling group in many ways and still asserting itself. Hopefully, Rice will be able to take on drama successfully instead of presenting drama simply for the sake of having drama which seems to be the case most of the time.

Rice vs. School

MOTHER: "What kind grades you get?"
DAUGHTER: "I dunno. Like B's and stuff."
MOTHER: "B?!?! ' B' for 'BAD!'"

– "FOB/American," Spring 2001

Major problems of membership are the high turnover rate and the difficulty of retention. Reasons can range from dissatisfaction with the group to a need to focus more on academics and/or other interests. Currently, the time commitment that is expected of members is quite extensive with bi-weekly meetings at about three hours each and the additional hours poured into the preparation of each show. After several semesters in Theatre Rice, many members may feel bored by the same theatre games and experience no personal growth as performers. "The organization is geared toward a wide skill range of performers, but the content of meetings is at a very basic level," argues Natalie Cheng. "Once a member has gained the necessary acting skills, he or she may wish to build on those skills, but Theatre Rice cannot fulfill this goal. In this case, a member is dissatisfied with what the organization can offer and may leave the group to explore theatre as an independent endeavor."[22] Y. Peter Kang, a former Comedy Troupe director, thinks that it would have been beneficial to have had the group split into smaller groups for beginning, intermediate and advanced levels of performance. Even though most members do not aspire to have a career in theatre, it does not necessarily explain the high turnover rate. And those who do intend to have a career in the arts may not necessarily value their membership in the group any more than others who do not. Whatever the various reasons, the consequences include "the need to recruit and select new members, training, disruption of social structure, and decline in morale."[23] All of the above may lead to the more significant problems that Theatre Rice faces.

Overall, there is a general failure of former members to voluntarily transfer knowledge on to newer members. To exacerbate this problem, there is an equal apathy on the part of the newer members to seek and acquire information. Many detrimental consequences arose from a poor transference of power and knowledge among old and new committee members, specifically the position of the Producer. In conjunction with the problems within transference there is a general lack of documentation. Fortunately, Rice is not in danger of becoming barely more than a rumor, as Wind and Water almost seems to be. Most of the original material that Rice creates consists of the Comedy Troupe skits, which mainly spring from organic improvisation. Only in the last few semesters have Troupe members actually started to write out scripts. Writing and the role of writers

(or lack thereof) in the group is another point of contention. Yes, writing is an essential ingredient of theatre and yes, Theatre Rice began as a venue for aspiring writers. However, the group has developed into a largely performance-oriented collective. And acting is arguably easier to teach than the skill of writing. Writer's Block is a group of members interested in the writing aspect of Rice who meet on their own time and share their works, some of which have made their way on to the stage. A good move may be to seek out Asian American writers in the community who are more experienced, educated, or established as writers and encourage them to submit works to Rice.

Rice Lectures

"You all know the Orient? Where *we're* from. Like the rugs."

– *The Demise of the Butterfly,* Fall 2002[24]

With respect to the idea of a race-oriented organization like Theatre Rice being a double-edged sword, such a group remains a much-needed presence. It is a hindrance only when there is an actively enforced exclusion from other non-"Asian American" performance groups, like Rice from the Theater department. Fortunately, the two groups have rebuilt their earlier connections. It is important to have a space in which Asian American artists can come together and create a voice for themselves and let that voice be heard. However, the choice to develop and share that voice within an inclusive context does not make sense. That would just defeat the purpose. We Asian Americans do not need to hear ourselves; we need others to hear us. Theatre Rice has had amazing staying power. There are several student theatre groups that have fallen by the wayside over the years, including The G.W.O.D. Squad, a sketch comedy group, Teatro Califas and Take TEN Rita, Latin@ American groups, the former in the 1980's and the latter only a few years ago. Even though Asian American theatre is represented on this campus solely by Theatre Rice, there seems to be indeed the desire to present and observe Asian Americans in a performative context. The incredible passion and energy that went into the development of Rice still remain, and now with a history in place, each semester aims to equal if not improve upon the last. Despite the fact that it is constantly changing and evolving, Rice has managed to survive and is still going strong. Or perhaps because of its

constant changes and shifts, the group has not been stuck in one stagnant place for too long, always trying to refine all that has already been instated and at the same time striving to challenge itself artistically. Rice needs to continually strive to explore "an 'Asian American' identity that is complex, contradictory and multiple, and that refuses to be encapsulated by the black-white binary."[25]

Rice Looks to the Future

"Death paying visits too fast
Eyeing me as the next to go
Yet I fail to fear
For I have nothing that scares me"

– *Winter Is Coming*, Fall 2003[26]

In his introduction to a collection of plays by Asian American playwrights, Alvin Eng asks whether "'hyphenated Americans' like 'Asian Americans' (a name borne in defense of cultural pride and in defiance of a 'mainstream neighborhood' that ignored them) [will] become a relic of the 20th century."[27] Theatre Rice does not seem to be in danger of disappearing anytime soon. Asian American student theatre on college campuses seem to be going strong across the country including LCC in Los Angeles; the newly revived AATC (Asian American Theatre Company) at Stanford University (not to be confused by the professional company in San Francisco); and Silk Mangoes at the University of Texas, just to name a few. Rice is frequently invited by various organizations to perform at external events. The group has even performed two shows at UC Santa Cruz and has also performed at Stanford University. As Chris Dong states, Theatre Rice's strengths include the dedication and creativity of its members, a family-like culture, cohesiveness, and a dynamic environment. Each of these strengths is a tremendous asset that the group can and should utilize, and "[if] the group's previous history of continual improvement in the quality of its performance and the commitment of its members is any indication of its future status, Theatre Rice is sure to emerge from this transitory period as a stronger group."[28] Theatre Rice is constantly going through transitional phases but now it is at a critical threshold. Many of the members who joined as freshmen during the crucial earlier stages of Rice's development are now graduating. It truly is a new generation of "Ricers" that will constitute the group and take it in new and exciting directions.

Griffith affirms, "[Theatre Rice] has an artistic independence and collaborative spirit that are really exceptional."[29] For a group whose name came about through a nonchalant suggestion, Theatre Rice has proved itself as a force to be reckoned with and is now a name that is recognized throughout the UC Berkeley campus and beyond.

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Title of Submission: The Politics of Clothing in Defoe's Moll Flanders
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Abstract:

Politics of Clothing in Defoe's Moll Flanders

Defoe's Moll Flanders has a considerable part devoted to clothes and clothing. This includes her deceptive attires to attract rich suitors, as well as dressing up in man's clothes during her life as a thief. The items she steals are mostly cloth and items of clothing. I argue that dresses, textile, and clothing had several ramifications beyond the apparent, given the social, economic, and political condition of the age. Treating Moll Flanders as a cultural product I attempt to situate the clothing references in the text to broader sociological themes. Primarily employing feminist and post-colonial theory, I am confident that this exploration of the semiotics of clothes will prove a worthy and wealthy exploration, contributing to a rich interpretation of Moll Flanders.

Roland Barthes calls the use of garments a 'systemized set of signs and rules'. Indeed, Moll's 'History' of being several times 'a whore', 'a wife', 'a thief' - descriptions that caught the popular imagination, are all closely bound with the metaphor of clothes and clothing. In Moll's role of being a seducer, clothes played a considerable part. Although she is not as obsessed as Richardson's Pamela is, in enumerating her items of clothing, Moll shrewdly creates a different exterior of class through her dressing to appear rich and attractive in her suitor's eye. This is indicative of a society where dress overtly suggested one's social station, and how clothes were coded in pre-marital courtship. In fact, Moll's name and identity itself derive from an illegally imported lace fabric popular in eighteenth-century England: Flanders. Later in the novel, her cross-dressing as a man may be analysed as a feminist act in a society dictated by patriarchal norms. Moll tells us endless accounts of stealing clothes and accessories such as a gold watch, lace, yards of 'linnen', 'perriwig', and other items of fashion. Significantly she is jailed for stealing '… two pieces of flower'd Silks, … Brocaded Silk, very rich' . Thus her career as a thief, and a prostitute is closely related to and achieved through clothes - whether in class, or gender cross - dressing. In this context of clothes and dressing, it is also significant how the fictitious editor of Moll Flanders with patriarchal condescension alters Moll's 'own memorandums' to 'put it in a dress fit to be seen' and the metaphor, laden with sexual politics, is well developed there.

CONSTRUCTION OF CLASS AND IDENTITY THROUGH CLOTHES

Garments are a vehicle through which identity is formed. In Moll's case it is especially true as she always projects herself with the clothes she wears or associates herself with. In childhood she wished to be a 'gentlewoman' who apparently spun for a living. Notwithstanding the irony, she became the infamous Moll 'Flanders' in life. Throughout her career she attempted to construct an upper class through her clothes, accessories and genteel speech. Situating this in eighteenth-century discourse we know that class cross-dressing was thoroughly frowned upon in eighteenth century, and it was not uncommon in the subculture of prostitutes. Prostitutes also painted themselves; and in the text Moll at one point refuses to paint herself refusing to 'stoop so low' - both in terms of her social situation as well as the compromises of middle age.

CLOTHING AND MORALITY

In the eighteenth century there seemingly was a tacit assumption that the clothed body and behaviour of women became the indirect but confirmed site of many ills, both political and moral. Within the country the immorality of prostitutes, their cross-dressing, make-up and greed for fine

clothes was regular target of attack by Puritanical and Methodist preachers. But placed within a broader perspective of England's growing imperialism, it has been pointed out already that the female body was ideologically used to carry the moral stigma of imperialism. Just as Pope's Belinda is bedecked with spoils from all around the world, and hence indeed made indirectly responsible for imperealism, thus Moll's 'silk' purse full of money , or her various thefts of 'gold', 'cotton' and 'linnen' all have colonial overtones. In addition, Moll's picaresque adventures of 'conquests' can be read as active metaphor of imperialism.

CROSS DRESSING AND MOLL FLANDERS

Cross-dressing was not uncommon in the eighteenth century and even a few statutes warned against it. The historical Moll Cutpurse, upon whom the fictional Moll Flanders is based, always dressed as a man. With cross-dressing Moll disrupts stereotypical gender norms in a patriarchal world. Moll's presence or absence of femininity or traditional womanliness has been a matter of critical debate since more than half a century. However, Moll's feminist assertions are now being recognised, and cross-dressing is part of feminist assertion and taking part 'in a man's world'.

I propose to explore in my paper how clothes and clothing is a central metaphor and trope in Moll: from Moll's name, to the cause of her imprisonment, to her penitence. Moll derives her identity from the dress she is in as she constantly views herself with an outsider's 'gaze'. The eighteenth century was a fashionable age with 'puffs, powder, patches' and Moll's involvement with cloth, or dressing, can be viewed significantly in the context of the complex social relations they symbolise and stand for. The consumption of clothing, the study of interplay between material world and other aspects of 'culture', in Moll Flanders, will not only be important and significant but also prove itself as fine explorations of whole societies.

GENERATIVE FULL-SCALE INVESTIGATIONS IN ARCHITECTURE: THE POTENTIAL OF THE UNQUANTIFIABLE

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I

AS ARCHITECTURAL EDUCATORS, we recognize that our discipline, like interior design, fashion design, and automotive design, is strongly characterized by a duality of focus: we must simultaneously engage difficultly quantifiable or wholly unquantifiable factors such as "style", human comfort and belonging, but also eminently quantifiable physical factors such as weight, mass, resistance to force, and balance.

The fundamental responsibility of architectural educators consists of providing students with tools and methods they can use to confront and engage this ever-present dual focus. In our work, we have discerned and developed a productive source of successful methodology which we term *generative full-scale investigations*.

In this paper, we examine several examples of student work developed over the course of a semester, illustrating the successful engagement of generative full-scale investigations in academic architectural design work, and thus demonstrating the value of such studies to the design process. We conclude with some broad suggestions of the applicability of generative full-scale investigations to design processes in general.

2

Through our experience, we have identified four distinct approaches to full-scale investigations in architectural education: *experimental, inhabitable, prototypical,* and *generative*. We write about the first three types, specifically discussing their value in architectural design processes, in more detail in our paper scheduled for presentation at the DETM Conference in Ahmedabad, India (March 2005). A summary of our findings follows:

Experimental investigations test the behavior of assemblies within controlled conditions. A typical example is the Eco-House class at Minnesota's Carleton College: in a semi-controlled environment, students construct rooms using straw bales, rammed earth, and cordwood. The exercise determines whether input (in the form of effort and processing) justifies output (measured by system performance). Although valuable in introducing an analytic method, such investigations are fundamentally deterministic: specific questions are posed and answered.

Inhabitable investigations, such as the Rural Studio led by the late Samuel Mockbee at Auburn University, propose to forcefully engage students with processes closely approximating the practice of architecture, moving from initial client conversations through design, planning and research into construction of full-scale inhabitable buildings.[1] Apart from their obvious educational value (direct experience with multiple aspects of practice), inhabitable investigations have a strong community service aspect, as formerly ill-housed or unhoused populations find housing.

[1] See Dean (2002).

Left to right: Students participating in a full-scale prototypical investigation in Auroville, India; University of Minnesota Department of Architecture Study Abroad Program, January 2004. Photographs: Mike Christenson. Instructors: Mike Christenson, Virajita Singh, Malini Srivastava.

Prototypical investigations demonstrate a specific, predetermined constructional assembly or process. An example is the rammed-earth construction study workshops at the Building Laboratory in Auroville, India. Students engage in the construction of a rammed-earth wall under the supervision of experienced laborers. The wall stands in for something larger: it may be a partial mock-up or a demonstration of other walls in a project. In this type of investigation, the demonstration aspect demands that the process and the outcome be well-defined.

Generative investigations are the least specific to built architecture. As a rule, generative investigations contain no explicit connection to building systems or construction processes; they embody no stated goal or determined outcome. Instead, they are deliberately structured to shift focus away from practical questions and toward a "raw" form of implicit inspiration emergent from direct experience with a given material and explicit physical limitations. This paper focuses on a deeper understanding of generative investigations through examination of specific examples.

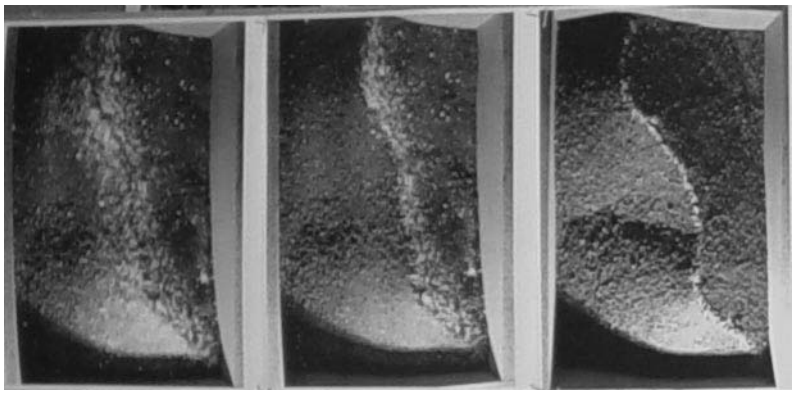
3

The first semester of the undergraduate architectural design program at the University of Minnesota contains a studio course at its core. The studio course, ARCH 5281, meets thrice a week for a total of twelve hours every week. In a typical fall-semester, about one hundred students enroll in ARCH 5281. Each group of fifteen or sixteen students is assigned a faculty instructor or critic. A studio coordinator guides the combined efforts of the instructors, each of whom offers personal interpretation of the assignments and issues shared by all students in the group.

The first exercise which our students engage in the ARCH 5281 design studio is the Sand Box. In this exercise, we ask the students to construct a fixed-size wooden box and fill it with sand. Through a series of successive attempts or iterations in configuring the sand, we ask the students to respond to specific questions such as *what is the character of sand, how can shaping the sand define two distinct regions,* and *what can be done with an introduced second material to strengthen these readings*. The iterative process is critical: we require the students to develop any idea through the construction of several configurations, each new one iteratively refining a strength from the prior configuration.

Taught with variations by our fellow faculty at the University of Minnesota's Department of Architecture, and at other universities, the Sand Box exercise is a clear example of a generative full-scale investigation because it deals with a material as it exists. We actively discourage the students' attempts to force the sand to represent something else (e. g. a scale model of a landscape); instead, we encourage them to consider and describe the material in the absence of any theoretical or conceptual explanation. One of the most important skills developed through this exercise is the skill to describe what is seen without reference to metaphor.[2]

[2] See, for example, Benedikt (1987), p. 4: "The world becomes singularly meaningful, yet without being 'symbolical." Objects and colors do not point to other realms, signs say what they have to and fall silent." Also see pp. 10 ("... the objects themselves stand for nothing"), 54 ("Kahn's word for emptiness was 'Silence'"), and 60 ("...totality and completeness are too often achieved at the expense of realness").



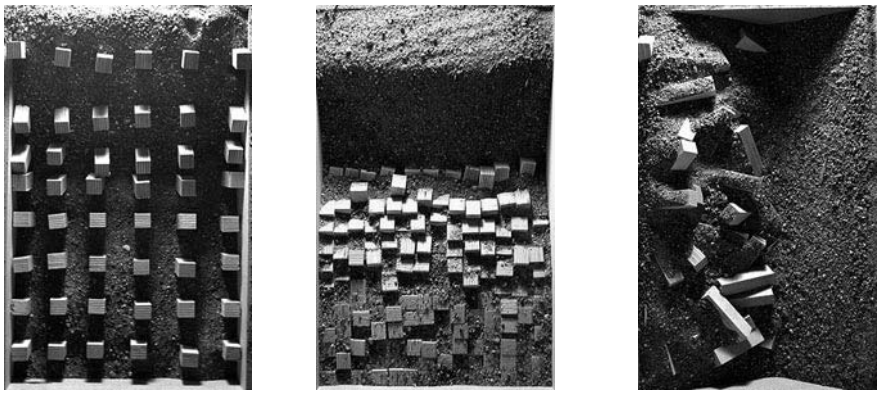
Sand Box exercise by Laura Moericke, University of Minnesota, Fall Semester 2004. Instructor: Mike Christenson.

Among the most successful projects in a recent semester was one in which the student chose to push the sand to form a center ridge. Because the sand was dry, the slope on either side of the ridge was dictated by an "angle of repose" fundamental to the material. After defining two regions by the simple act of pushing, the student introduced a second material to strengthen the established reading. She chose a finely powdered white chalk which she used to mark or trace the top edge of the ridge. Because of its extraordinarily fine granular quality, the chalk could be placed much more precisely than the sand. In the earliest of three iterations, the student used this precise material simply to mark the edge, defining it far more sharply than was possible with the sand alone. In subsequent iterations, she disturbed the chalk on one side of the ridge, thus maintaining a sharp distinction which fades away over distance. Although her work was almost incredibly simple, the student clearly recognized the counterbalance between the two materials: the chalk was just fine enough to clearly mark the sand and to be dusted over its rough surface without overwhelming or burying the basic division inherent in the configuration. The work, in retrospect, strongly reflects what information designer Edward Tufte refers to as the *smallest effective difference* ("Make all visual distinctions as subtle as possible, but still clear and effective").[3] As an introduction to the fundamentally subtle shifts characteristic of a successful architectural design process, this student's work is exemplary and promising.

[3] Tufte (1997), p. 73.

Sand Box exercise by Matt Griewski, University of Minnesota, Fall Semester 2004. Instructor: Mike Christenson.

Another student in the same group chose to introduce paper as a second material. His early iterations were straightforward: he simply used the paper to separate the two regions without strongly engaging its material properties. However, in later iterations, he began to intermix and confound the wrinkled, slippery surface of the paper, its ability to contain volume, and sprinkled-piled sand into configurations which defy easy explanation. In each of two final iterations, two regions were apprehensible and describable (i. e. empty areas of paper were surrounded by a region of piled sand) but the boundary between those regions was tenuous at best: did the boundary occur because of a wrinkle in the paper, or because of the weight of the sand, or because of sand pushing up from underneath? The generative promise of his work became apparent in a highly specific way much later in the semester as the student proposed a structure of stone and tightly stretched canvas. However, even without the connection to later work, his work was remarkable for its progressive transition from banal simplicity into complex, suggestive spatial layers.



Sand Box exercise by Aaron Taylor, University of Minnesota, Fall Semester 2004. Instructor: Mike Christenson.

A third student chose to introduce wooden blocks. Some of his iterations were disappointing because they reflected a strong desire to cause the blocks to "represent" something else, e. g. a scale model of a building. However, two or three of his iterations stand out precisely because they make no attempt to stand in for or represent anything else; they treat the blocks of wood as blocks of wood and the sand as sand. In these, the student began by arranging the blocks in neat rows, clearly defining an ordered region in half of the box. Then, he poured sand over the blocks, which had the simultaneous effects of holding the blocks firmly in place and disarranging them slightly from their original order. The resulting configurations maintain a definition of two distinct regions while raising fundamental questions about order and regularity. Two primary readings compete and reinforce one another: Does the sand anchor the blocks, or do the blocks interrupt the flow of the sand?

All three students met with success in this exercise because they approached the work prepared to draw value from accidental shifts and unintended results. Successful students, such as the three described here, invariably find that their initial preconceptions are modified, shifted, or altogether destroyed as initial ideas change in response to the material. These students are the ones most willing to engage the exercise as a full-scale generative investigation: they are not consumed by a desire to make the thing stand in, as if by metaphor, for something else. Students look at the material and, by degrees, come to realize that it is what it is, and that new, valuable, and productive questions can be reasonably generated through a confident and open-minded approach.

In general, the sand box exercise is less valuable for any explicit "ideas" or "concepts" which may emerge from specific iterations and much more important as an introduction to architectural design and documentation processes. Students find that a series of photographs of their evolving iterative process, each image frozen in time like a movie frame, proves unbelievably valuable later in the process as favored configurations vanish, never again to be exactly recreated.

4

A second illustration of a successful generative full-scale investigation is the exercise we call Stacking. In this exercise, the students work in teams in a sandlot outside of the University of Minnesota's Architecture Building to construct dry-stacked masonry assemblies. As in the Sand Box, we actively discourage the students from making explicit reference to external factors or concepts such as "real" buildings. Rather, by building on the success of the Sand Box, we argue that the material in this exercise should be approached as it is, as a means of investigating fundamental issues related to modular masonry and the reach, position, and motion of the human body, and not as a representation or prototype for something else.

Specifically, we ask the students to develop approaches to masonry coursing and bonding: How do the blocks effectively and efficiently find organization? How do the configurations gather their strength and simultaneously contain the mark of human assembly? We require each team to construct three small walls, at least one of which must contain a corner and a framed opening appropriately sized for all or part of the human body (e. g. hands, feet).

We engage this exercise early in ARCH 5281 as the students move from the introduction to iterative architectural thinking they began with the Sand Box into a closer look at body-to-architecture relationships. Like the Sand Box, the Stacking exercise follows the general pattern established within the studio: a specific, highly limited exercise introduces fundamental architectural concepts and ideas – in the case of Stacking, ideas centering around relationships between the human body's reach, position, and motion, and architecture in general.

The Stacking exercise takes place over a two-hour time period in the exterior courtyard behind the Architecture Building. We provide each team of six students with a defined workspace, a limited number of modular masonry units – concrete block or brick – and a limited time in which to construct their assemblies. Because time and space are limited, and because the students are not given a description of the exercise in advance, the opportunity to plan is minimized or eliminated altogether. We emphasize doing rather than planning, and as a consequence, students' initial visions uninformed by direct experience are quickly abandoned as gravity, modularity, and balance temper the process.

As students stack the blocks, they work cooperatively to test their ideas in real-time. Unsuccessful ideas collapse, but not catastrophically. Accidents are critically important. Here, accident means anything which fails to conform to a plan, and could consist of a masonry configuration which fails to stand, or a shift in intended pattern as a consequence of turning a corner or framing an opening. Students learn by experience why architects have for centuries found corners to be fertile ground for accident and unanticipated occurrence: systems intersect at corners, edges and faces are alternately exposed and hidden, continuity receives interruption. Similarly, openings provide an opportunity to deal with spanning/tensile forces: students experiment with corbels, the more adventurous ones with arches.

A successful student team in a recent semester prepared the ground for work by hand-excavating the loose, dry top layer of sand, and exposing relatively hard-packed, moist sand a few inches below the surface.[4] They began – as most teams did – by placing a few bricks in a regular, stable pattern to mark out a scope of work. These first few layers of brick are the only ones which engage the ground directly; they form a foundation for successive layers.

[4] Student team consisting of Hayley Ruhoff, Whitney Parks, Mandy Schnitzler, Jim Reisinger, Marysia Miernowska, and Laura Moericke; University of Minnesota, Fall Semester 2004. Instructor: Mike Christenson.

Wall under construction by student team, University of Minnesota, Fall Semester 2004.

The student team, through successively larger experimentations, verified their hitherto untested assertion that the wall would develop strength through a curved plan. As the team expanded their curved wall upward, unanticipated patterns began to emerge. In particular, as the assembly became taller, the pattern developed a woven or hinged appearance at the center. The students convincingly referred to this hinge as a corner by arguing that it contained the intersection of two distinguishable (though symmetrical) patterns. The resulting assembly was remarkably sophisticated and confident as an enclosure and a weaving without being overbearing or predictable.

Two of the students went on, in subsequent exercises, to propose larger structures which convincingly built upon the ideas developed at full scale in the Stacking exercise. However, as we saw in the Sand Box exercise, even without a direct connection to later work, the exercise is primarily valuable for its generation of new questions: what constitutes enclosure? What constitutes a corner? How does assembly strength relate, if at all, to the human-sized effort of assembly? How does conceptual strength emerge from a process characterized – even in part – by failure?

5

The value of the Stacking exercise to the overall semester-long course exists in its power to generate memory of failed attempts. As students progress from the initial stacking exercise into scale models and drawings depicting larger assemblies, we repeatedly refer back to the full-scale work. Did your work go according to plan? What did you do when things didn't work out? How did your modifications happen? In general, we use the exercise to emphasize to the students the importance of preparing themselves for accidents to occur throughout their iterative design processes.

The Sand Box exercise is similarly valuable for its ability to shift preconceptions. The concept of the exercise is banal and straightforward (every child can understand the conditions), but the variety of exploration and questioning is astounding. We strongly appreciate our ability as instructors to productively refer back to the mind-opening effects of this exercise throughout the semester: Remember your initial skepticism? Remember how your thoughts were shaped by the process? Generally, the exercise is remembered as a turning point or opening of new ways of thinking.

In both exercises, we observe that the students who develop the ability to remain constantly ready for surprises and who are prepared to draw productive inferences from accidents when they happen are generally the most successful. Such students find through experience that they can "push" their own design processes to points where accidents are not only likely to happen, but where their own abilities to recognize value are deliberately tested: they learn to blur, sharpen, invert, fold, wrinkle, break, cut, combine, distort, enlarge, reduce, erase, separate, force together, shift, transpose, trace, transfer, smear, stretch, and tear their own work as a means of moving it forward. What began in the stacking exercise as a mistake or a failure is sought out as a desirable attribute of the process; what was initially characterized by skepticism in the sand box exercise is remembered as a productive and opening process.

6

Generative investigations consist, at every moment, of real things, touchable, approachable, fragile, and temporary, though recordable. Through multiple iterations, patterns are increasingly shaped by inherent material properties. Student preconceptions are abandoned by degree as attention shifts between observation, reflection, and action. "Precious" creations are challenged through a limited scope and the temporary nature of material. Students discover relationships between design and an iterative process; generation of ideas is ultimately rooted in a controlled and rigorous exploration that is contextual rather than an "aha" moment of genius. The engagement with material in generative full-scale investigations leaves lasting memories and impressions on the students: as they are productively exposed to accident, collapse, breaking, and failure, they inevitably become better equipped to recognize value in the unintended; as a result, their ability to navigate the unfamiliar and to make sense of complexity is strengthened. Because we strongly believe that intelligence can be defined as the ability to meaningfully interpret unfamiliar information, we rank those students who repeatedly show that they can deal productively with accident as among the best and most intelligent students.

We believe the characteristic components of successful generative full-scale investigations include a structural inability to plan ahead; strict limitations of size, space, quantity, and time; an emphasis on iterative processes; and a pedagogical focus on clearly understood material properties. But without question, the most significant distinguishing characteristic of generative full-scale investigations is that they cause students to abandon their preconceptions. No other category of full-scale investigation so fully embraces and celebrates this abandonment as do generative investigations. We believe that this is due in large part to the occurrence of accidents: things don't always go according to plan; plans which "looked good on paper" must be modified when students are confronted with actual, real, heavy objects or frustratingly shifting sand – an uncooperative element with inherent strong physical properties – along with a strict set of rules (e. g. box size, number of blocks, a fixed time limit).

Apart from the examples discussed here, we speculate that similar value exists in exercises which engage folding paper, tearing cardboard, or knotting rope; these activities have in common with the Sand Box and Stacking exercises a base-level connection to child's play. This connection to play makes such exercises accessible and largely free of theoretical weight. We recognize, however, that this same play-nature of generative full-scale investigations is at the source of much student frustration, which when we hear it expressed, relates to the lack of connection between the exercises and "real building" or "real architecture". We stress to the students that generative full-scale investigations are designed primarily to build process-based experience, to develop judgment skills, and most importantly, to engage (through abandonment of preconception) a source of new questions. If a shortcoming exists, we believe it is in our own inability to forcefully connect later work backwards to the earlier generative work. Too often, we are sufficiently satisfied when beginning students develop reasonable conceptual bases for their work that we do not actively attempt to build retrospective connections. Short-term academic objectives (e. g. the successful completion of a semester project) too often take precedence over the development of long-term design strategies.

Nevertheless, we remain optimistic about the promise of generative full-scale investigations within our discipline. And, precisely because they are nondeterministic, open-ended, and embracing of accidental outcome, we believe not only that these investigations are the most promising within architectural education, but also that they have the potential to cross disciplines as a pedagogical means of introducing design processes. To be a cross-disciplinary thinker means that one is willing to engage accidental shifts and overlaps between otherwise distinct ways of thinking.

We hold that generative full-scale investigations give rise to open-ended learning where importance derives from the asking of questions rather than finding the answers. Critically, we believe that a pedagogical focus on operational-level open-mindedness – in fact, a forthrightly embraced inability to predict operational outcome – invigorates the architectural discipline and distinguishes it from other disciplines which share its dual focus on quantifiable and unquantifiable factors.

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Abstract and paper submitted to the 3rd annual Hawaiian International Conference on Arts and the Humanities

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The use of significant stories in history and education

Topic area of the submission:
Cross disciplinary paper in the areas of history and education

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Abstract

In this paper the author presents a research technique that he has developed and used in historical and educational studies. The technique owes much to Flannagan's critical incident technique (Flannagan, 1954) but differs in some essential ways. The technique is explained and examples where it has been used in historical and educational research given. In the historical context Christie shows how certain stories can encapsulate and sum up attitudes and actions and challenge conventional thinking about history research and writing. The stories which illustrate this part of the paper are taken from research done into Australia's colonial history and, in particular, those parts of that history that affect Aborigines, convicts and women settlers. In the educational sphere the author uses the technique to help teachers reflect on their attitudes and actions and develop their professional judgement as teachers. Large numbers of significant stories have been collected and analysed. The stories and their analysis are used as part of subsequent research into attitudes and actions, the assumptions that underlie them and the possibility of interrogating those assumptions in order to judge their validity according to certain criteria. In terms of research methodology this paper draws on phenomenological theory but adapts it in order to develop a technique useful to both historians and educational researchers.

The use of significant stories in history and education

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Introduction

There's a story told about Sir Winston Churchill, the British politician and historian. In a fierce rebuttal of a policy, proposed by the then Prime Minister, Stanley Baldwin, Churchill declared: 'History will say that the honourable gentleman is wrong in this matter. I know it will because I shall write the history'. Churchill was being clever, as usual, but the story highlights the fact that it is historians who write history and what they write generally reflects their own interests and the prejudices and the tenor of their times.

Not so long ago I would have been thrown out of the historians' union for saying that. History once had ambitions of being an empirical science but post modernism has put an end to that. On the other hand I am not quite as cynical as Ambrose Bierce, author of The Devil's Dictionary, who earlier this century defined history as: 'An account, mostly false, of events, mostly unimportant, which are brought about by rulers, mostly knaves, and soldiers, mostly fools'. Education as a discipline has also suffered at the hands of wits and scallywags. The same author, in his Devil's Dictionary defines education as 'That which discloses to the wise and disguises from the foolish their lack of understanding'. This paper is not a defence of the disciplines of history and education, or of a particular intellectual dogma within them. I am more interested here in proposing an effective way of enlivening both disciplines so that they stay in touch with what is happening in the world and create historians and educators who are critical, analytical and reflective practitioners of their subject.

Critical incident technique

The technique I propose is based on Flannagan's critical incident technique. I have used the term 'significant stories' to describe the technique I use rather than the term 'critical incident' because people often have preconceived ideas about what a critical incident is. The most common is the dramatic events that can occur in medical or police work but the term 'critical incident' also has an historical resonance. The assassination of Archduke Ferdinand in Sarajevo, in 1914, for example is often cited as an example of a critical incident or turning point in history. In social science research however neither of these interpretations are appropriate. Because of this confusion I will briefly explain the term as Flannagan defines it but thereafter stick to my own broad label of 'significant story'.

A critical incident, according to Flannagan, is any incident that can be critiqued. In his own research he concentrated mainly on small, insignificant incidents, but by accumulating large numbers of them and analysing them in relation to a particular research question, he was able to achieve useful and worthwhile results. For example in 1978 Flannagan collected and analysed 6,500 critical incidents concerning quality

of life. People from a wide range of social and educational backgrounds gave specific instances of happiness in their lives and the analysis of these incidents resulted in fifteen 'quality of life' components. Critics of the research could say that the categories were a matter of common sense or common belief. However, the fact that the results were not surprising does not denigrate the research. One of the main purposes of research is to conclusively prove or disprove commonly held beliefs. There is another decided advantage of critical incident methodology. As Woolsey points out, it is also highly flexible. It can be used

> to study a wide range of phenomena, for example, relationships, decision making, self-actualization, vocational choice, and group process. It can be modified to collect data on factual happenings (rather than restricting its use to 'critical incidents'), and on qualities or attributes; to use prototypes to span the various levels of the aim or attribute (low, medium high); and to explore differences or turning points in critical or factual incidents.

In my own case I use critical incidents or significant stories to help uncover assumptions about actions and events in both history and educational practice. In the rest of this paper I would like to give some examples of how significant stories can focus our attention on historical themes and issues and provide new insights into them. Towards the end of the paper I also look at how critical incidents and significant stories can help educators to interrogate their own practice and the assumptions that underlie it.

Stories from the past

I begin this paper by focusing on my area of interest as an historian, namely Australian history. White Australians have celebrated two centennials of settlement so far and on both occasions have produced a number of official and not so official histories. The 1888 batch could almost qualify for a place in The Devil's Dictionary. The official histories celebrate the 'discovery' of Australia, the early governors, the pioneering efforts of explorers and the achievements of leading figures in economic and political life. Most of them were men.

The very existence of Aborigines, let alone their contribution to this country in terms of language, culture, land management, exploration or rural labour, barely rated a mention. When it did it was a passing reference that explained how they 'disappeared in the face of white settlement as the morning mist disappears before the rising sun'. Women appeared occasionally but usually as exemplars of an idealised form of womanhood.

The 1988 batch of books shows how much more inclusive we have become. By then there were a growing number of women historians keen to set the record straight, as well as white historians more sympathetic to the Aboriginal cause. Traditional ways of writing history were also changing and the use of oral history gave ordinary people more of a voice. Today there is a greater awareness that history, too often, is in the hands of the victors. That the past represented by them is very selective.

Efforts to delve into the less glorious parts of Australia's past, to represent the victims as well as the victors, has been resisted by conservative historians and politicians. Geoffrey Blainey, the well known Australian historian, had disparaged this new way

of looking at the past. In the 1993 Latham Memorial Lecture he called it 'the black armband view of history'. In my opinion he wanted us talk about building the Australian nation without mentioning how the building site was cleared. In typically male fashion he wanted to celebrate the birth of white Australia without mentioning the birth pains. As many women could tell him it is the pain that keeps the memory strong.

In this paper I want to show how important it is for us to value the real past, both the good and the bad, for there are lessons to be learned from both. I am aware that in this case the 'real' past is my version of it. My purpose is to bring that past alive by means of significant stories and, by doing so, reveal the power of the story as a critical, analytical tool. My argument is that if there are sufficient numbers of similar stories and our critique of them reveals consistent patterns within those stories we can lay claim to their significance. It is up to others to provide equally compelling stories if they wish to contradict our version of the past.

Australia has been peopled by three distinctive groups. Indigenous Australians, prisoners and jailers from Britain, and immigrants from most parts of the world. I want to expand on this theme with the help of three historical examples, stories that relate to each of these groups. I have chosen the 1840s because that is the period I am most familiar with as an historian. My examples emphasise some unpalatable truths about Australia's past. I do not relate them to depress you but because the issues they deal with still reverberate today and have parallels in other countries.

Perhaps Blainey would condemn me for re-opening old wounds, for raking over the ashes of the past. Well I have lived in the tropics and I know from experience that sometimes you have to reopen a wound to clean it, to prevent it from festering, to stop it turning ulcerous and eating through flesh to the bone. My first historical example takes us to Norfolk Island. Today the island is best known for its postage stamps, its scenery and famous residents like the author, Cathleen McCullogh.

Norfolk Island and 'Flogger' Fyans

In the early nineteenth century Norfolk Island was known as 'The Old Hell' the most notorious penal settlement in Australia. Founded in the starvation years, controlled by sadists like Major Foveaux, abandoned in 1813, it was reopened a decade later as a place of 'ultimate terror' for the incorrigible criminal. Prisoners there endured another decade of sadistic rule under Lieutenant Colonel Morisset and his captain of the guard, Foster Fyans. In 1834 they took their chance and rebelled. Fyans crushed the rebellion and in the five months before a judge arrived to try the rebels he used the lash as a means of revenge.

Flogger Fyans, as he was nicknamed, inflicted so many lashes that the cats of nine tails kept unraveling. He threw them away in disgust and made cats of his own design, stronger and double weighted. By the time Judge Burton arrived many of the rebels were dead or broken by the lash. One old lag told Burton 'Let a man's heart be what it will when he comes here, his Man's heart is taken from him and he is given the heart of a Beast'. Others pleaded for the death sentence saying 'I do not ask for life, I do not want to be spared...Life is not worth living on such terms'.

Opposition to transportation and the barbarity of prisons like Norfolk Island grew in the 1830s, both in England and Australia. It was a decade marked by sincere attempts to abolish slavery, to reform the penal system and to give indigenous people some protection against the greed and cruelty of settlers. In May 1840 the Colonial Office appointed Alexander Maconochie as commandant of Norfolk Island. Maconochie was a reformer with a detailed plan on how to improve conditions on the Island. I would argue that he was also one of Australia's earliest vocational educators. The government agreed that he could try it out his plan on the three hundred new prisoners that he took with him to the island.

In essence Maconochie's system offered rewards for good behaviour and hard work. The better they were and the harder they worked the more points prisoners could earn. Marks could be exchanged for goods and services or for time off their sentence. On his arrival, Maconochie decided that his plan would never work unless it also included the 1200 old hands who were already on the island. On the 25 May 1840 the new commandant announced a public holiday in honour of the Queen's birthday. As the bleary eyed prisoners stumbled from their cells they were astounded to find the gates of the prison compound flung open.

The prisoners were allowed to wander around the island, to swim or sunbathe, on condition they returned to their quarters at the sound of the evening bugle. For lunch Maconochie gave them an extra ration of fresh pork and a pannikin of rum to toast the Queen, paid for by Maconochie himself. Their cheers for Queen were loud, but louder still for the commandant. During the day he mingled with the prisoners and watched a play he had allowed them to prepare. In the evening there were sports and fireworks. At the end of the day Maconochie noted with satisfaction that there had not been a 'single irregularity' and that all the prisoners had quietly returned to their cells at the sound of the bugle.

When the rumours of rum, plays and fireworks reached Sydney the hardnosed colonists demanded Maconochie's recall. Norfolk Island, they said, was meant to be a deterrent to crime not a holiday location. Despite constant character assassination the Colonial Office gave him three year's grace in which to implement his system. In that time he set up a library, started an adult education program which emphasised music and allowed the prisoners to study once their prison work was done. He also allowed them to cultivate a personal vegetable patch in their spare time, to grow their own tobacco and trade any surplus for other luxuries. Maconochie dismantled the gallows, threw away the double weighted cat of nine tails and treated the men as human beings rather than savages. He built two churches and allowed prisoners to commemorate their dead with headstones. As a symbol of his trust in the prisoners he and his family moved among them without protection and he had the iron bars removed from his own house.

The most remarkable story of the effect his humanity had on the prisoners concerned Charles Anderson, the wild man of Goat Island. Mentally impaired and sporadically violent, he had spent two years chained naked to a rocky island in Sydney harbour. His food was pushed to him on a pole, he slept in a coffin like box, with the lid bolted down and each time he managed to escape he was flogged until his skin refused to heal. The Sydneysiders amused themselves by rowing out and throwing food scraps. The Governor, disgusted by this public spectacle, sent him first to Port Macquarie and then to Norfolk Island. When Maconochie arrived in 1840 he put him charge of

some untamed bullocks, letting him stay with them rather than be taunted by the other prisoners. He tamed the bullocks and as a reward Maconochie made him responsible for the signal station. In 1843, after persistent rumours and constant pressure to sack the commandant, Governor Gipps paid a surprise visit to Norfolk Island. He was amazed to see the 'wild beast of Goat Island' dressed in a sailor's uniform, working effectively and able to communicate normally.

He also found that many of the vicious rumours about Maconochie were false, that the new system was working better than the old. The morale of the 1200 Old Hands had been improved. The explanation, he said, was due 'less to the diminished use of irons and the lash than to the many small mercies' that Maconochie allowed. In 1843 Maconochie was replaced by John Giles Price, the most sadistic commandants of them all and the model for the tyrant in Marcus Clarke's novel *For the term of his natural life.* The gallows were re-erected, the books and musical instruments burnt or packed away. Maconochie returned to England, still dedicated to penal reform, but aware that his marks system was ahead of its time. Perhaps ahead of our time.

Despite his recall Maconochie had demonstrated the power of adult education, especially when it is based on respect for the individual person, no matter what his or her background is. There could be no more barren land than Norfolk island on which to cast the seeds of learning and yet they blossomed there, bore fruit and offered solace to the damned. Today when more and more jails are run by private enterprise, when drugs are as easy to get inside as out, when boredom leads to buggery and barricades, perhaps we might learn a little from Maconochie's idea of rehabilitating prisoners through adult education, music, meaningful work and rewards rather than punishment.

Flogger Fyans left Norfolk Island just before Maconochie arrived. He took up a post as the Commissioner of Crown Lands for the Portland District of Victoria. His job was to settle disputes between squatters and maintain peace and order on the pastoral frontier. More often than not he saw his role as a military one, leading armed squatters in pursuit of Aboriginal groups accused of spearing sheep and cattle. He seems to have turned a blind eye to the practice of 'clearing a run' by shooting or poisoning Aboriginal people. My second story deals with an example of such an incident in the Portland district. It involves the Bolden brothers, owners of the Leighton station on the Hopkins River.

Clearing the land

What makes this story different from so many others is that the whites involved were forced to give written statements about the event to the recently appointed Protector of Aborigines. Their words, cautious though they are, give the incident great clarity. I have tried to reproduce this by telling the story in the historical present. The year is 1841. It is Wednesday 27 October and the spring grass is lush along the river flats. An Aboriginal man, Tathier, his wife, Tenang-geranglal and their boy Bangilbang are crossing the river flats on their way to the Aboriginal Protectorate station. The woman holds a dilly bag and small axe, the man a hunting club. As they move across the flats they are confronted by a man on horseback, William Kiernan, a stock keeper for the Bolden brothers.

He accuses them of hunting cattle and when the brothers and another stock keeper ride up they begin to use their stock whips on the family, driving them off the station. The family is split, running in different directions. George Bolden goes after the man, his stock keepers after the woman and the boy. There is shouting, the thud of stock whips on flesh, the smell of horse sweat. On reaching some flat land Tathier veers sharply and runs in a tight circle, forcing Bolden to wheel his horse around. Tathier tries to pull the squatter from his horse but as he does so Bolden fires his pistol at close range. The bullet rips through his stomach. He runs, runs to a nearby waterhole and hides among the bulrushes.

Nearby the other men are using their whips on his wife as she tries to get away and protect the boy at the same time. Run, run, she screams at him and his small legs carry him into the timber line where he scrambles up a tree and hides in its branches. He is sick with terror as he watches his mother being beaten. She tries to escape but Peter Carney, the other stockman, runs her down with his horse. She lies there, not moving, her dillybag beside her. Should he help? How can he help? Surely they will kill him too. He watches as the men scour the edges of the billabong. He sees George Bolden return. There are more shouts as Tathier is found, a brief struggle, a second shot.

The men remount and ride away. When the boy descends from his perch, Tenang-geranglal's head is smashed like that of a goanna at the end of the hunt, Tathier's body lies dead in the water. He runs, heart beating, head bursting with the pain of it all, runs till he finds some of his own people. Next morning at 10 o' clock the boy is brought to Protector Sievewright's encampment. The Aborigines are furious. They tell the Protector that four white men, two gentlemen and two poor men have killed his family. They want revenge. They also want to retrieve the bodies so that so they can be buried right and their spirits freed.

With great difficulty Sievewright calms them a little, promising he will go with the constable and two of their senior men to collect the bodies and make a full inquiry. The boy is too exhausted and shocked to go with them. When they arrive at the flats, 18 miles away, they find where the struggle took place but there is no sign of the bodies.

As they hunt for tracks the Aboriginal men spot a boy on horseback. It is George Bolden's servant and for his own protection Sievewright accompanies him to Leighton station, two miles away. When he confronts Bolden and suggests there has been a 'collision' between some of his men and the Aborigines, Bolden denies it saying 'No, no collision' and when Sievewright asks 'Are you not aware of it' he replies, strangely, 'Are the bodies found?'

In perhaps the most significant moment in the whole affair Sievewright assumes that the Aborigines he has left to search will be successful and he says 'I believe so'. At that point an agitated Bolden admits that he has shot a man but that it was purely in self defence. Sievewright warns him not to say any more but to think carefully about what happened and to make a deposition the following day. In fact the bodies had been so well burnt or hidden that they were never found. Bolden was forced to stand trial on the strength of his deposition but without the bodies of the victims the boy's evidence was ridiculed and Bolden acquitted.

I have told this story not to burden you with shame, although I admit I am ashamed by the telling of it. It was not the first or the worst example of brutality on the Australian frontier. Three years earlier at Myall Creek on the Liverpool Plains in NSW twenty eight Aborigines, mainly women and children were shot and their bodies mutilated and burnt. On a warm summer evening on 24 February 1842 eight pastoral workers from Osbrey's Caramut run, not far from Bolden's station, surrounded a ti-tree clump where two Aboriginal families were sleeping and fired into it indiscriminately. Two men and a woman escaped with gunshot wounds but a child and three women, one of whom was pregnant, were killed. Sievewright once again took down the depositions and it seems the killing was premeditated and carried out to relieve the boredom of a summer evening. In 1927 in the Northern Territory of Australia, at Coniston station north west of Alice Springs, thirty one Aborigines including two women, were shot by a police party sent to arrest the murderers of Fred Brooks, an old dingo poisoner.

The incidence of such frontier brutality was high, but perhaps no higher than in other countries colonised by Europeans. The fact that official histories covered it up or ignored it until the 1970s should not surprise us, for history, as I said earlier, is in the hands of the victors. What has surprised me, given me hope, led me to value the retelling of past events is that in the space of the last thirty years we, as a nation, have faced up to our past. Not all of us. But one of our most important institutions, the High Court, has. In 1992, in language that I would never have thought possible, our high court judges, upheld the Mabo land claim and rejected the legal fiction of terra nullius, the basis of the British Crown's claim to Australia.

To call Australia 'nobody's land' was the deepest insult we could offer the Aboriginal people. For at least fifty thousand years Aboriginal families and clans had loved and cared for their country. If the Mabo decision had done nothing more than expunge this insult Australians could be proud of it. But it has done more. It has valued Australia's real past. It has said it is time to face the truth of our past. To put our money where our morals are. The Mabo decision, for all its defects and the defective laws that have flowed from it, says sorry. It apologises for past wrongs and attempts the beginning of a more just and equitable system for Aboriginal people. It also offers Australians moral leadership from the custodians of white justice. Mabo was possible for many reasons. The courage and strength of the original claimants. The support of land right activists, both black and white, who had worked for decades to return the land, some of the land, to its original owners. But it was also made possible because historians like Henry Reynolds, white historians, added their voices to those of the claimants. It was possible because the High Court judges valued a more honest version of the past.

I have lived in the Northern Territory where 28% of the population is Aboriginal. White people, students, audiences that I address are sometimes angry when I talk about the frontier. About what happened as it moved, as the process of dispossession, disease and death was repeated with each new frontier. People ask me 'Why should I feel guilty about what happened to Aboriginal people'. The short answer is they should not. Not feel guilty, that is. Feeling guilty is a useless emotion. A counter productive, one that rarely benefits those we feel guilty about. More often than not it breeds resentment and antagonism. We become defensive and cast about for ways to deflect the guilt. 'What happened to the Aborigines has got nothing to do with me. It

was their own fault. Look at them now, no wonder they went under'. And similar rationalisations.

No we should not feel guilty but we should acknowledge that guilt exists. Acknowledge that the highest court in white Australia has passed judgement on what happened. That judgment is best expressed in Paul Keating's words, in his 1993 Redfern address, where he said that white Australia must recognise that 'it was we who did the dispossessing'. 'We took the traditional lands and smashed the traditional way of life. We brought the diseases. The alcohol. We committed the murders. We took the children from their mothers. We practised discrimination and exclusion'.

White Australians have to reconcile themselves to their own past if they are ever going to be reconciled in the present. We should not feel guilty. Rather we should feel optimistic. For we have, in Keating's words, the opportunity 'to bring the dispossessed out of the shadows, to recognise that they are part of us, and that we cannot give indigenous Australians up without giving up many of our most deeply held values, much of our identity - and our own humanity'.

The women immigrants

I said earlier that modern Australia is composed of three groups: the people who have always lived here, the people who were forced to come here and those who came of their own free will. My third story deals with a particular group of migrants - the young women who were encouraged to come to Australia in the 1840s to help overcome the fact that 80% of whites in the rural district were men, most of them assigned or ex convicts. In the 1840s it was not easy to attract free migrants, whether male or female. Money to pay the passage of immigrants came from the sale of so called crown land but rural Australia was in grip of drought and land sales were slow. To offset the shortfall in female immigrants ship-owners were paid a bounty for each woman they brought out.

When the ships arrived in port the girls were kept on board for ten days, during which time colonists could come aboard and hire them as servants. Those left over were landed at the places like the Rocks in Sydney to fend for themselves. With no money, shelter or work many women survived by prostituting themselves. Caroline Chisholm, a middle class housewife from Windsor, was determined to help them. Like Maconochie she too had a plan - to find the women food and shelter in the first instance and then to get them a job in the interior, a job that might lead to marriage and family life.

Her plan was ambitious - the immigrant women would become a moral force in the countryside. She hoped that as the number of white women increased the abuse of Aboriginal women might decrease. In areas where there were no women, black or white, she hoped a female presence might help pastoral workers break the homosexual habits that they had learned in prison. We know very little about the thousands of women who took up jobs in the bush.

We can imagine their life was very difficult. They tended to be stereotyped, to use the title of Ann Summers book, as 'damned whores or God's police'. Like Maconochie, Chisholm was ridiculed and slandered. She was criticised for neglecting the six children she had in between lobbying the government and employers, setting up

shelters, and organising immigration committees in Britain and Australia. In the 1850s her work was overtaken by the gold rushes. People, from all parts of the world flocked to Australia. Many, like my own great grandfather, Andrea Minotti, stayed.

Chisholm died an unremarkable death in England, forgotten by her own generation, remembered because of her image on our $20 note and a paragraph or two in the history books. The people she tried to help are rarely heard. Silence, as Belenky says in Women's ways of knowing is still the first lesson many women learn in our society. Deconstructing the past, knowing more about it, understanding the role of women in it, may help break that silence.

I am aware that I have interposed my own values into the stories I have told you. They represent my particular view of the past at this particular point in time. I speak as an individual male, raised in a working class, white Australian, Catholic environment. I speak as a university trained historian. And I speak as an adult and vocational educator. I do not see the world, past or present, as an Aboriginal person does, as a woman in a neighbourhood house does, as a prison educator does. My examples have dealt with prisoners, Aborigines and women. Perhaps as a man that was presumptuous of me. But I am also an historian with an obligation to balance the record.

On the blurb of one of his books Geoffrey Blainey says 'I do not share the desire of many to denounce the white history of Australia in order to enthrone black history and present day Aboriginal demands'. Nor do I. Where I differ with Blainey is that I believe we can strengthen mainstream white history if we dig down, uncover its foundations and do something about the dry rot that threatens it. If we restore some of the keystones that are missing - Aboriginal history, women's history, children's history, migrant history and the sort of oral history that gives ordinary people a voice in the history we are making today. If we retell the significant stories.

Blainey's view reminds me of my young son's first attempts to sing Australia's national anthem. Instead of 'Australians all let us rejoice' Caj began his version with: 'Australians all are ostriches'. Traditional historians have tended to be ostriches, sticking their head in the sand when confronted by unpleasant aspects of our past. We all see the world differently. Our past, our present and our future worlds. What we have to be aware of is that our particular view can become so fixed that we forget it is based on assumptions that others do not necessarily share.

Using critical incidents in teaching and learning

Part of our role as educators is to help our learners realise this, to equip them with the means of hunting assumptions, to help them alter their world view if they find it is warped. In the last part of this paper I want to refer to how important significant stories can be in development of critical, analytical teachers. The stories I have told you are ‘critical incidents’ in the historical sense. Not as earth shattering as the critical incident that occurred in Sarajevo in 1914 when Archduke Ferdinand was assassinated. But dramatic and large-scale nevertheless. The stories that I concentrate on when working with adult, vocational and tertiary teachers are deliberately small-scale and very specific. I ask them, for example, to think back over the past few months and remember and incident when they thought they taught particularly well. When some, specific sequence of events clicked. Oddly enough they have great

trouble with this. If I ask them to recall something that went wrong then almost always something springs to mind. We tend to remember the bad moments rather than the good. That in itself is worthy of some research.

In some senses it is not so different with history. It's the bad things that stick in the memory of historical protagonists even if it is the function of the victors, the powerful and the famous to ensure that their particular good is written about. With teachers, who are intent on not repeating their own personal history in the classroom, we can do much with the significant stories they tell. One of the features of the sort of critical incidents mentioned above is that they occur unexpectedly. The lecturer is not prepared for the occurrence and is required to make some response, usually one for which no planning is possible. Being thrown back on his or her personal resources in what may be a very demanding situation (because of safety aspects, attacks on personal status or other reasons) can be traumatic and it is often for these reasons that an incident becomes 'critical' and leads to later soul searching. More positive experiences, even though they have critical repercussions, are often not remembered as vividly as negative or humiliating ones.

Negative incidents can have very beneficial outcomes. A great deal depends on how one 'critiques' them. In the workshops that I run the group gets a chance to analyse other peoples' significant stories first, interrogating them and their own response to assumptions underlying the stories. Discussing anonymous incidents develops an awareness of the different values that the group itself has. In one such story a police instructor relates how he noticed a recruit who had kicked off his shoes during a lecture. What should he do? Pretend not to notice. Reprimand the recruit in front of the class. Speak to him afterwards. The response of the group who discussed the incident varied considerably, mostly in line with their particular view of the world and importance of institutional authority. Comparing their analysis with the that of the instructor helped highlight this. Once a group has had some training in seeing the wider significance of small incidents, whether positive of negative they are better equipped to discuss their own incidents in a group.

The learning that occurs can be quite powerful, both at the time of the incident and during the later analysis. The way a trade teacher handled an oil fight among apprentices in his workshop and a subsequent analysis of the assumptions underlying his response, resulted in a much better understanding of the ground rules by all parties and an increase in the teacher's confidence and authority. A critique of positive incidents can also bring benefits. For instance a particularly good lesson or experience that was seen as a turning point by one practitioner and remembered as such was analysed in a small group. During the discussion the teacher involved admitted that the incident, while boosting his confidence had lead to complacency and self satisfaction. In this way the critique of the incident led in its turn to greater awareness and a renewal of teaching. An analysis of critical incidents has wider implications than the improvement of classroom management. Teachers can, for instance, use the technique with their own students both as an action research technique and as a teaching methodology.

My ambition in the workshops that I run for university and other adult teachers is to introduce them to the notion of transformative learning. To do so they need to recognise that their own world view is not always shared by others. In my current work this is not so difficult since most of them are scientists. Although mostly

interested in research they are required to teach as well, hence their need for some sort of pedagogical training. Reading literature in one of the humanities is a shock in itself. It is not difficult to demonstrate to them that different disciplines are grounded in different 'isms' or paradigms. In their case many unwittingly espouse a form of post positivism. If I interrogate my own position and am forced to give it a name then it is clearly some form of constructivism. Underlying those paradigms are a number of assumptions. Hunting them and identifying them in the stories we tell each other about our teaching and learning makes us more aware, not only as researchers and teachers but also as people. It is important for us not only to be skilled in our current area of expertise but capable of adapting those skills in a rapidly changing world. We only need to look back on the last few decades to see how rapid the change has been. How long have we had computers, photocopiers, mobile telephones? Twenty years? And yet we cannot now imagine life without them.

Conclusion

George Santana said 'those who do not remember the past are condemned to repeat it'. In education I use significant stories because I do not want to repeat my own mistakes as a learner or a teacher. Nor do I want the people I am trying to help us to repeat their mistakes. Perhaps it was unwise to try to couple my work as an historian and as an educationalist. To try to see the significance of stories in two quite different disciplines and the two areas of research and teaching. On reflection I think that it was worth the attempt. It is important to ask ourselves if we really value the past, if we can learn from our mistakes. To ask how we can retain the good and jettison the bad. Using significant stories in a critical, analytical way is one means to this end.

In his poem 'The Four Quartets' T S Eliot says:

What might have been and what has been
Point to one end, which is always present.
Footfalls echo in the memory
Down the passage which we did not take
Toward the door we never opened

I regret that as Australians we did not take Maconochie's path towards a more humane treatment of the prisoners. I regret that on the frontier the footfall of bare feet was overtaken by the hoof beats of horsemen bearing guns and stock whips. I regret that Australians did not open the door to reconciliation two hundred years ago. I regret that our history has silenced the words and actions of women - indigenous women, convict women, immigrant women. And I regret that the voices and values of children do not inform our memory of the past. But regret like guilt is a wasted emotion. Better to weigh up, recognise and value our past. Learn from it. For if we want to understand our present, whether as individuals, as teachers, as historians or as citizens we must face up to our past. Analysing the significance of the stories that we tell about our past is one way of doing that

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TITLE	"Coded Constructions: An Architectural Methodology in Response to the Globalization System"
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Coded Constructions: An Architectural Methodology in Response to the Globalization System

> "The globalization system [as opposed to the cold war system] is different. It also has one overarching feature – and that is *integration*. The world has become an increasingly interwoven place, and today, whether you are a company or a country, your threats and opportunities increasingly derive from who you are connected to. This globalization system is also characterized by a single word – *web*, the World Wide Web. So in the broadest sense we have gone from an international system built around division and walls to a system increasingly build around integration and webs.
>
> Everyone in the world is directly or indirectly affected by this new system, but not everyone benefits from it, not by a long shot, which is why the more it becomes diffused, the more it also produces a backlash by people who feel overwhelmed by it, homogenized by it, or unable to keep pace with its demands."
>
> Thomas L. Friedman, Longitudes & Attitudes 2002

Inhabitation has been called into question by the globalization system. Connected to the internet, working on a laptop, sitting at a card table in a folding chair; anyone can be anything, at any time, in any place. Contact points such as e-mail and cell phones enable us to perform multiple identities, but they do not actualize a place to *dwell*.

Program once dictated precise parameters of Architecture, enough that Architecture informed the inhabitant of an identity particular to a specific program. In an era of simultaneous identities, this fixed definition of space and this singular definition of use are obsolete. Multiple programs must coexist; inhabitation demands an integration of spatial experiences.

We envision each project as a web of interconnected spaces. Spatial networks provide options for inhabitation that can suit the needs of concurrent identities or conflated programs. We introduce a system of *coding* to mark the networks, creating a language of location and an antidote to the prospect of endless homogeneity. Visual signifiers and tactile elements ground the inhabitant and connect them physically to the space. These repeated markers introduce an understandable scale to the space and provide moments of resonance with a larger societal context.

In contrast to Architecture as a singular physical manifestation or material body, ours is an architecture of coded constructions woven together to reveal a network of spaces, providing points of contact by which fluid identities are allowed a place to inhabit.

WE LIVE IN A BROKEN WORLD:

The Dangers of Globalization and a Search for a Different Value System

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Research paper

Topic Areas: philosophy/cross-disciplinary paper

"*The sickness of our age*
is the failure of conscience
rather than the failure of nerve."
—Abraham J. Herschel, *Who is Man*?

Isn't there a paradox at the heart of globalization? Although it is an economic movement that insists on the relevance of free global trade as a precondition of general human prosperity, globalization deepens the divisions between the rich and the poor. Based on a market-driven capitalism that supposedly acts on behalf of human freedom and economic growth, globalization leads to an increasing lack of economic freedom and impoverishment of the rapidly growing army of the underprivileged. The global village is anything but a just village; it is partitioned by fences and walls that do not connect but separate. Isn't it, then, paradoxical that the whole globe is interconnected and one, while at the same time the world is deeply divided into 'mine' and 'yours'?

The triumphant march of globalization started with the collapse of the Berlin Wall, a symbol of the old world-order. The collapse of this politically divided world paved the way for an instantly connected world, the world of cell phones, faxes, internet, as well as the playground of the World Bank, the World Trade Organization and the International Monetary Fond. The rush of privatization has overstepped the old political boundaries and created a common market, free of any ideological and political bias: the consumer society may be equally well established in democracy as it may in tyranny. Globalization has thus seemingly realized the Enlightenment dream of a universally connected, cosmopolitan world, yet in a way unsuspected by the eighteenth century thinkers: what connects the globe is not an outmoded political category of human rights but the common exchange values on the free market.

It would be unfair to search for a different system of values without giving a credit to globalization where credit is due. After all, globalization does not emerge out of a blue, without a certain - in some aspects very deep - continuity with the previously existing values and ideologies. At least at one level, globalization does satisfy a deep Western urge for universal standards and values. We live in a world with a relatively free transmission of news and ideas, shared technologies and practices. In many ways, people are for more connected than they have ever been in the past. They can learn from each other and share their new discoveries almost as soon as they are made. Globalization has made it possible to break away from a multitude of traditional practices and beliefs, many of which were backwards, ineffective, or unjust. Sweeping improvements in telecommunications, transportation, medicine, industrial production, and agriculture are visible all over the globe.

And yet, every time we get tempted to praise global achievements of the technologically backed free market economy, we need to remember that the global inter-connections and improvements are not a goal but only a means. The globe is turned into an open market in order to pursue one's own - individual and corporate - self-interest. Not only Anglo-Saxon economists, utilitarians, or pragmatists, but even continental philosophers, such as Hegel, are convinced that self-interest may be the most important mover of historical changes, and globalization promotes the pursuit of what we find to be in our self-interest into the very core of its values. All of us – people of all ages, nationalities, and cultures - operate on self-interest, so why not openly and honestly bow in front of it?

To answer this question, we need to look at benefactors and victims of globalization. Except for an occasional Bill Gates, the main benefactors of globalization remain unknown to us and hidden from our view. But regardless of who and where they are, there are good reasons to

assume that we should not be too concerned about their well-being. It is the victims of globalization that are far more visible and those who we need to think about. They are to be found not only in Iraq, or Philippines, or Argentina, or Eastern Europe, or anywhere in Africa. Harmed in a different way, there are millions of victims of globalization on the "right" side of the fence as well. Here I do not have in mind only the growing army of poor and unemployed in the richest countries of the world, but those who have jobs, health insurance, and shelters. For globalization does not only represent a flagrant social irresponsibility but – through mindless consumerism - stimulates what is worst in human beings. It stimulates the basest impulses that poison our humanity: greed, selfishness, pursuit of cheapest pleasures, mistrust and animosity, and shamelessly unfair competition. Even when human beings are deprived of basic political freedom and other political rights, they may still have a dignified human existence. But when their lives are organized around greed and selfishness, when their sense of identity is based on what they can afford to buy, when they find themselves "liberated" to participate in a constant war of all against all, their humanity becomes at least temporarily suspended, sometimes irrevocably lost. When the inner world is poisoned, its outer manifestations cannot bring forth much that can be appreciated or celebrated. The external world becomes either a prison of enslaving poverty or a wasteland of debilitating consumerism. And if this is indeed so, what is needed is not just a fair access to wealth and its distribution, but a radical transformation of our broken world. What is needed is not just a survival guide for life in the global world economy, but a radical rethinking of what we should value in our globally divided age.

As a value system, globalization is one outcome of modernity and its valuational and metaphysical framework. A more detailed study would have to examine a multitude of relevant factors, but here only two of them can be mentioned. The first deals with what can be called an

“atomistic” orientation of modernity. According to the modern picture of the world, shaped in the sixteenth, seventeenth and eighteenth centuries, reality is understood as consisting of certain atomistic, further insolvable elements. In physics, it was atoms; in epistemology, it was Descartes’ *cogito ergo sum*, or some other foundationally grounded sentences or sense data; in morality, an autonomous, self-oriented moral agent; in psychology, an isolated and egotistical individual.

Firmly interconnected with this atomistic orientation toward reality is the point of view that sees reality in terms of our manipulation of it. The word ‘manipulation’ comes from Latin *manus*, which means ‘hand’: the hand creates the tools for the purpose of manipulation of objects. What an atomistic individual sees as surrounding him are things to be handled, forces to be managed, objects to be put to his use. Reality is equated with availability, a raw material that has to be exploited to satisfy his real and fabricated needs and desires.

Although all natural and most social sciences have turned away, or at least significantly modified, such atomism, it still holds a strong grip on our imagination in morality, politics, and economy. In connection with our attitude of manipulation of reality, we can easily understand why not only the obvious natural resources have been widely exploited, but why the forces of the market want to turn everything into a potential commodity. Not only the land on which we walk, but the water we drink and the air we breathe will soon be for sale as well. For everything is potentially marketable; everything can be assigned a price on the market.

Or so we are (mis)lead to believe.

The Cartesian isolated thinking ego, Hobbes’ isolated individual in war against everyone else, and an oppressive Narcissism of modernity are not the only ways to understand our deeply disturbing human condition. Moreover, they are unhealthy and harmful attitudes toward

ourselves and others. Never are we fully isolated and independent of other people. Robinson Crusoe on a desert island is only a fiction, and even he has an insatiable need for other human beings. We cannot even be born without other people, nor could we survive and grow into normal human beings without them. Our freedom should not be understood as limited to freedom to vote, to invest, to shop. Nor does freedom imply social irresponsibility and insensitivity toward others. Besides the Statue of Liberty in New York City, we should build a Statue of Solidarity and a Statue of Responsibility.

It is hard to celebrate solidarity and responsibility in the world so bent on competition and exploitation. It is difficult to be sensitive toward others and trust them in the world in which money and possession are celebrated as the most sacred values. Fortunately, the attitude of manipulation is not the only one we can take toward reality as a whole. Human beings can relate to the world that surrounds them through appreciation, not just manipulation. Manipulation turns things into objects and flattens the world in which we live; it leads to a suspension of man's sense of the holy, it blinds us for any aspect of transcendence. Yet human beings do not have to see themselves as being above the world, as opposed to it, but as participating in it and being part of it. Appreciation of the world, as it has existed before man's beginnings and as it will be long after man has vanished, is opening up for its multidimensionality, for its secrets and its values – not created by man and not dependent on man.

Much could be said about how we should attempt to relearn to appreciate the world, of how we can redirect ourselves – at the individual, social, cultural, and institutional levels. What is clear is that we must change ourselves: mentally, morally, spiritually, and even economically. We must adjust ourselves – certainly for the sake of our sanity, and probably also for the sake of our survival. It is also certain that we have to overcome the modern bias against the past and

learn as much as we can from the old spiritual and religious traditions. “In the land of the free and the home of the brave” - which leads the rest in breaking our common world into mine and not yours - lived a wise, mostly forgotten man – Chief Seattle – who once wrote a marvelous letter to the President of the United States:

“The President in Washington sends word that he wishes to buy our land. But how can you buy or sell the sky? The land? This idea is strange to us. If we do not own the freshness of the air and the sparkle of the water, how can you buy them?

“Every part of this land is sacred to my people. Every shining pine needle, every sand shore, every mist in the dark woods, every meadow, every humming insect. All are holy in memory and experience of my people…

“This we know: the earth does not belong to man, man belongs to the earth. All things are connected like the blood that unites us all. Man did not weave the web of life, he is merely a strand in it. Whatever he does to the web, he does it to himself…

“As we are part of the land, you too are part of the land. This earth is precious to us. It is also precious to you. One thing we know: there is only one God. No man, be he Red Man or White Man, can be apart. We *are* brothers after all.”

These are the words of an uneducated, yet deeply concerned and loving man. He speaks from his heart to another heart, in a language easy to understand. Simple and timeless is his message: The question should not be how to break this world and divide it into mine and yours – the world is not a cake for us to buy and eat. The question is how to keep and appreciate this world together, for it belongs to all of us and is the basis of all we have.

FOR THE PROCEEDINGS

1. Title of the submission. Film in the Foreign Language Conversation Class

2. Name of the author, Dr. Gudrun Clay

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6. Abstract

Film in the foreign language conversation class

This presentation will focus on the use of German language films to facilitate language learning in the advanced German converstion class. The course described is explicitly *not* a film course, but uses the language, culture and historical perspective to further the language abilities of upper division students. The presentation will include the rationale for the course development, selection of curricular materials for implementation of the instruction and an evaluation of the success of the course for its intended purposes.

The techniques developed to use film to stimulate conversation are, of course, not language specific. Advanced students of Spanish, French, etc. could profit from a similar course taught with films in the target language. My presentation will, therefore, be in English and the film clips used will have English sub-titles.

Please e-mail as an attachment or post disc submissions to:

Hawaii International Conference on Arts and Humanities
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THE ART OF MUSIC TRANSCRIPTION

Topic Area: Music

Presentation Format: Performance

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ORPHEUS WINDS
PERFORMANCE
THE ART OF MUSIC TRANSCRIPTION

All performing artists perform transcriptions during the course of their careers—from a German lied transcribed for solo violin to entire symphonies transcribed for a single pianist and everything in between. This is viewed as a blessing and a curse by most musicians. Often there is not a very wide selection of solo repertoire for a particular instrument, thus "borrowing" via transcription occurs—for instance, the clarinet did not exist in the Baroque era; to gain experience in that stylistic period, clarinetists must use transcriptions. At other times, transcriptions are published that seem highly unnecessary—for instance, transcribing the *Sonata for flute and piano* by Francis Poulenc for oboe or clarinet (because Poulenc also wrote superb sonatas for those instruments). Successful transcriptions depend almost entirely on the skill of the transcriber. As members of the Orpheus Winds wind quintet, we often rely on transcriptions for our repertoire. Our workshop presentation will consist of playing three examples of good transcriptions: *Jeux d'enfants* by Georges Bizet, *Petite Suite* by Claude Debussy (both composed for piano, four-hands), and the well-known "American" *String Quartet in F Major, Op. 96* by Antonin Dvorak. We will also highlight and discuss the skillful choices made by the transcribers in assigning certain melodic or harmonic material to the various instruments as well as choices that are decidedly and unfortunately non-idiomatic.

Hollywood and the Future of Life

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Abstract

By 2030, a number of renowned scientists and technologists expect that artificial intelligence will exceed human intelligence; their argument is presented. The consequences of human-competitive artificial intelligence have been dramatized in films such as Metropolis, Blade Runner, and The Matrix. This paper makes several observations about how films have represented robots, artificial intelligence, and biotechnology and thus constructed the public's mental images of the future. The presentation concludes with screening and discussion of clips from AI: Artificial Intelligence and Gattaca.

"Hollywood and the Future of Life" concerns a class I teach at Monterey Peninsula College. First I'm going to talk about the "future of life" part, then I will explain the "Hollywood" part. Throughout, I employ "Hollywood" as a trope for "the film industry in general."

In the late 1990s, five things happened which caused me to develop this class:

1. In 1997, the computer Deep Blue defeated world champion Gary Kasparov at chess, a game once considered too complex for a machine intelligence. Kasparov's loss suggested how brute processing power may allow machines to mimic, achieve, and even surpass human abilities (the machine was able to analyze 200, 000, 000 moves per second). Kasparov has since attempted to reclaim humanity's honor against other computers but has only been able to manage ties. When he struggled even to tie Deep Junior, Kasparov complained that the machine "never got tired." As Mr. Spock would say, while arching an eyebrow, "Indeed."

2. Also in 1997, Dr. Ian Wilmut cloned the sheep named Dolly. Respected biologists had previously claimed that cloning mammals was either impossible or at least very far off in the future. Yet as I speak, various animals have been and are being cloned, including cats and even extinct species such as the mastodon. Dr. Wilmut's group is now looking to clone a human.
3. In the 1960s, Gordon Moore, who would go on to co-found Intel, predicted that computer processing power would double every 18 months for the foreseeable future. So far, in general, it has. There is lack of agreement about whether "Moore's Law" will continue to hold but since the mid 1990s, the inventor and scientist Ray Kurzweil has predicted the continuation of Moore's Law. He expects human level artificial intelligence in about 30 years (and late in 2003, Intel announced an engineering development which they expect will maintain Moore's Law for another decade).
4. According to my friend columnist Debra Saunders, when Ralph Nader was interviewed by The San Francisco Chronicle editorial board during the 2000 presidential campaign, he predicted corporations would be manufacturing intelligent artificial life within, again, 30 years.
5. Finally, in April 2000, Bill Joy, a founder of Sun Microsystems, published a now famous Wired magazine article titled "Why the Future Doesn't Need Us," and made the same prediction: artificial processing power exceeding human processing power in about 30 years. Joy also predicted that intelligent robots would come to replicate themselves through nanotechnology.

In other words, what these people foresee is a convergence of the human and the non-human or the "inhuman." As Philip K. Dick put it, "The greatest change growing across our world these days is probably the momentum of the living toward reification, and at the same time a reciprocal entry into animation by the mechanical" (211).

Humans are becoming more and more like ***things*** while the things that humans created are becoming more like the humans who created them. As Marshall McLuhan observed, "We shape our tools and thereafter our tools shape us" (Understanding Media, xi). Mankind's tool-making ability has produced a world of diminished individuality with experience becoming ever more modular, temporary, specialized, and mediated. Young people know this because they work at Macys, Mervyn's, and McDonalds. On a daily basis, they contend with the isolating effects of computers and home theaters and cell phones and Powerpoint. They know that when they log on, they have become, in a sense, no more than input mechanisms for the Net. As Janice Rushing and Thomas Frentz put it, "the tools must become more like humans (in order to do the work of humans) and the humans must become more like tools (in order to extinguish qualities that interfere with efficiency)" (146).

And that's only the dehumanizing machine problem. Let me expand on Mr. Nader's biological prediction.

Last May, Bill Kristol, writing on bioethics, noted that:

> . . . in February 2004, South Korean scientists announced the creation of the first cloned human embryos to the blastocyst stage--the stage when they could be implanted in a woman's uterus to initiate a pregnancy or destroyed in the laboratory to harvest stem cells. The report in *Science* magazine sounds hauntingly like the "decanting room" in Aldous Huxley's *Brave New World*--systematic, precise, unrepentant about its use of women as egg factories and human embryos as raw materials. The South Koreans harvested 242 eggs from 16 women, tested 14 different cloning "protocols," developed 30 human embryos to the 100-cell stage, and destroyed them all to get a single stem cell line.
>
> Just a few months earlier, researchers working with animals showed that it is possible to produce both eggs and sperm from embryonic stem cells, including eggs from male embryos and sperm from female embryos. This means that it might be possible, someday soon, to produce a human child with two male parents or two female parents--and even a human child whose mother, father, or both is a dead embryo. Still other researchers fused together male and female embryos to produce a genderless human hybrid (Cohen and Kristol).

Those developments might give even Nancy Reagan pause, and Mr. Kristol missed a few. We also have:

- a growing number of copyrighted lifeforms;
- jellyfish DNA inserted into a primate;
- identical twins born eight years apart;
- children conceived with the DNA of three different parents;
- alleged cloned human babies (three more last month);
- an actual virgin birth;
- a European euthanasia movement which allows mercy killing when life no longer seems worth living to people as young as . . . 12;
- an animal rights movement which considers humans as just part of a continuum of animal life;
- and the child Adam conceived and genetically modified expressly to be a bone marrow donor for his sister (and a half a dozen similar cases).

Add them up and you have all the ingredients necessary for the effacement of "human" as a special, or even an enduring, category of being. Visually, if I were to draw a graph of the last 100 years, the line for "humans and humanness" would trace a downward curve while the line for "artificial and nonhumanness" would produce a rising curve.

Whether the 30 year prediction of Joy, Kurzweil, and Nader proves to be correct or not, it seems inevitable that, barring some disaster, at some point in the 21st century the rising inhuman curve will meet and cross the descending human curve.

What happens then?

Nobody knows.

Futurists call this convergence point "the technological singularity," or simply "the singularity." The computer pioneer John von Neumann defined the singularity as that point in the future when "the dominant variety of local computation must be some form of post-biological intelligence" (1).

More recently, the author and math/computing professor Vernor Vinge suggested that there is a "coming technological singularity" brought on by the exponential growth of computer processing power (Moore's Law again). He describes the singularity as amounting to "an intellectual transition as impenetrable as the knotted space-time at the

center of a black hole [when] the world will pass far beyond our understanding." That is, we can no more imagine the thoughts and values of a vastly superior mind than my cat can imagine Stephen Hawking. Vinge predicted that "Within thirty years, we will have the technological means to create superhuman intelligence. Shortly after, the human era will be ended."

I have five main observations:

- **Observation 1: All this may sound alarmist or apocalyptic, but the implications of what I have just recounted remain speculative, problematical, and open to wide-ranging dispute and interpretation.**

There are more questions than answers: Are human beings just part of an animal continuum or are we in some way exceptional? Is there something called "consciousness," and, if so, when does it begin, where does it come from, where is it located, and where does it go when our bodies die? Can machines achieve consciousness through brute processing power or is consciousness a biological phenomenon? How much of you can be replaced by machinery and have you still be you? What happens if consciousness results from processing power and machines achieve far greater processing power than humans? Can we even imagine what lies beyond the point where machine processing power surpasses human processing power? If super-intelligent machines can self-replicate, where does that leave humans? Would we become their enemies, their entertainment, their pets, or, as one attendee of the 2003 Conference on Accelerating Change suggested, their "house plants?"

One thing is certain: we can expect that questions and issues such as these will be part of the national agenda for the foreseeable future, and that there will be legislative, judicial, religious, political, and social consequences. For example, who in 1983 imagined that in a State of the Union address twenty years later, the President would call for a ban on human cloning and also have a stem cell policy?

That's just the beginning. From now on, we can expect a continuous conversation in Congress and in the media about who and what counts as a human being. We can anticipate the need to establish standards that will differentiate between a human being,

which our legal and political system says enjoys rights, and other orders of being, which do not. Eventually, we will discover whether we stand on the verge of a transhuman or posthuman future, and, if we do, what the future of life may be (and not coincidentally, the future of the Hawaii International Conference on Arts and Humanities).

Now, where does Hollywood fit into all this? A discussion about the future of life and the forms it might take has been going on for decades in cosmology, biology, and philosophy but has remained the stuff of science fiction for the general public, at least until recently. As McLuhan said "The past went that-a-way. When faced with a totally new situation, we tend always to attach ourselves to the objects, to the flavor of the most recent past. We look at the present through a rear-view mirror. We march backwards into the future" ((The Medium Is the Massage, 74-75). Thus, when we talk about genetic engineering or robots, we often frame our dialogue not in terms of science or philosophy but in terms of popular culture, in terms of Hollywood.

- **Observation 2: Our imaginative landscape of the future, rightly or wrongly, has been constructed from literary works and films.**

Will intelligent robots be malicious as in The Terminator or benign as the caretaking robot in Ray Bradbury's The Electric Grandmother who can squirt milk and orange juice out of her fingertips? Should manufactured life enjoy equal rights, an issue raised in Blade Runner, or will we find our lives limited by genetics, the warning in Gattaca? Is machine intelligence a stage of evolution, a possibility explored by 2001: A Space Odyssey or are humans evolving towards something else entirely, a theme of the anime' classics Akira and Ghost in the Shell? Can we expect the "flesh fairs" and robot gigolos of AI: Artifical Intelligence? Will we be more free, the hope of Kurzweil's The Age of Spiritual Machines, or more controlled, as in Orwell's 1984? And does Hollywood offer us a crystal ball or a rear view mirror?

- **Observation 3: Novels and films have made scientific ideas accessible by giving them dramatic form, in some cases so successfully that the stories have entered popular consciousness as substitutes for the concepts.**

In the 70s, cloning was a goofy biology concept involving the African clawed frog, but it entered and remained in the public mind as The Boys from Brazil, the 1978 Gregory Peck film in which Nazis attempt to clone Hitler. The concept that robots might be constructed as subservient replacements for humans became The Stepford Wives (1975), that title eventually becoming feminist shorthand for the female consequences of patriarchal culture. Few people discuss Descartes's "malicious demon" or Baudrillard's simulacra and hyper-reality but everybody knows The Matrix. And while the politics of Fritz Lang's Metropolis may now seem naïve, the images of robotized workers controlled by surveillance and the tyranny of the clock continue to be visually referenced in advertising, in music video, in other films . . . and in our nightmares.

- **Observation 4: In film, narrative necessity forces directors to make conflicts concrete and visible, not abstract and metaphysical.**

In The Matrix, Neo's awakening from his sloppy artificial womb is more chilling than Hilary Putnam's philosophical thought experiment about being a "brain in a vat." In Modern Times, Charlie Chaplin tightening nuts on an assembly line until he keeps making the same motion even during breaks is more memorable (and funnier) than the terms "alienation" and "repetitive labor."

Let's take a look at a possible future envisioned by Brian Aldiss, Stanley Kubrick, and Steven Spielberg, the opening sequence from the 2001 film AI: Artificial Intelligence. The original concept was from Aldiss's 1969 short story "Super-Toys Last All Summer Long." Kubrick optioned the story and tinkered with various treatments for 15 years but he died in 1999 before shooting any footage. The film was picked up by Steven Spielberg and turned into the feature length AI: Artificial Intelligence, a film that explores the experiences of a child robot (in the film robots are called "mecha") programmed to love and love and love and his Pinocchio-like quest to become a real boy. The film does seem to be sort of a committee effort with more than one beginning, several apparent ends, and a curious but engaging excursion in the middle featuring a mecha lovebot (named Gigolo Joe) played by Jude Law (who has fashioned a mini-career

in this science fiction subgenre). The whole film is probably not worth the investment of anyone's time, however the opening explication sequence featuring William Hurt raises some lasting questions about robots in a way that is arresting and visually compelling.

At this point we view the opening scene of AI: Artificial Intelligence.

The tone of the opening sequence is certainly sententious but we can't help being entertained by someone who can open her head! The motif of revealing machinery or electronics behind a human appearance has a long history, including a memorable 1959 Twilight Zone episode, "The Lonely," and any number of Star Trek: The Next Generation episodes in which Data's head gets opened so that we can see the Christmas lights inside. But this A.I. sequence offers more than an admirable special effect. The robot here is socially transparent, indistinguishable from the humans around her and seems so perfectly integrated into everyday society that we are startled when William Hurt stabs her with a needle. With his customary oracular drone, Hurt asks the mecha, Sheila, "How did that make you feel?"

She answers, "I don't understand." Feelings, whatever they are, are often cited as the difference between humans and machines. Hurt's character, the ironically named Professor Allen Hobby, proposes to build a robot who can not only feel but love. Apparently his company already ships hundreds of robots designed for sex, a theme in robot films from Metropolis to The Stepford Wives to the aforementioned "Gigolo Joe." Certainly, considering the quantity and variety of pornography on the Internet, the prospect of artificial beings manufactured for sexual purposes would not be a surprising idea. But Hobby is talking about love, not sex, about creating a sentient being whose love will be constant, that will never wax and wane. Many people, especially the heartbroken, might welcome that kind of robot. Hobby goes further, suggesting that love will humanize the mecha, will "be the key" to "an inner life of metaphor, intuition, self-motivated reasoning . . . , of dreams." Will androids dream of electric sheep, one might ask. And even then, is constant love human? One of Hobby's colleagues asks, "If a robot could genuinely love a person, what responsibility does that person hold toward

that mecha in return?" Good question, one that the rest of the film flails about trying to answer with notable lack of success.

- **Observation 5: Films and stories must also personalize concepts through characters "about whose fates we are made to care" (Sacks).**

The spooky voice of HAL 9000 is more vivid than the term "artificial intelligence;" the haughty Terminator and the Shakespearean Roy Batty of Blade Runner are more compelling than the term "cyborg;" the images of Jude Law scraping off his dead skin, hoarding his urine, and carving off his fingernails to fool the gene police in Gattaca are more memorable than the term "genetic testing."

Through the creation of characters, a deleted scene from Gattaca dramatizes a near future when genetic manipulation has become commonplace. The main character, Vincent Freeman, here still a child, has been born normally without genetic enhancement. He is called an "In-valid" because he carries genes for poor eyesight and heart problems. Such genetic characteristics doom him to a life of menial labor despite his dreams of being an astronaut. For those who haven't seen the film, the scene opens as young Vincent and his parents visit The Eighth Day genetic counseling Center to design his future brother.

At this point we view the variant scene from Gattaca.

In this clip, you may have noticed that the staircase is a spiral, like the double helix of DNA. The avuncular doctor (who barely knows their names) discusses genetic modifications with Vincent's parents. While doomed, normal Vincent plays on the floor with a molecule toy, his parents decide how perfect a child they can afford. The doctor has performed artificial insemination and produced "two healthy boys and two very healthy girls."

They begin by deciding gender, and continue to hair color, eye color, and complexion; the doctor has already eliminated undesirable qualities such as propensities for alcoholism and obesity. The parents wonder—shouldn't they leave something "to

chance?" The doctor reassures them—the child "will still be you, just the best of you!" Uneasily, they mutter their preference for grandchildren. Translation: "we want him to be heterosexual." The helpful doctor then offers to insert genetic material for musical and mathematical ability "for a little extra." The disappointed Freemans can't afford another $5000. And then Marie uneasily asks, "What will happen to the other embryos?" We already know the answer to that question. The reproductive practice of creating multiple viable embryos has been commonplace for years—the viable embryos will be warehoused or dumped. But, the doctor comforts her with "they are not babies, merely human possibilities."

How likely is such a future? In Gattaca, molecular level surveillance is normal, with constant blood tests and skin samples to insure identity. The rearranged society of Gattaca has come about because the utopian disasters of the 20th century occurred not because of "faulty social organization" but because of "a fundamental misapprehension about what human beings were really like;" as Peter Firchow says of Brave New World:

> The external social and collective conflict was in reality a reflection of the internal, individual conflict. The final contradictions were in humanity itself, not in the way human beings organized themselves socially. The faults of the latter simply followed inevitably from the flaws in the former. To resolve the final inner contradiction, therefore, there had to be a final inner revolution, one that would alter the human condition by altering humanity itself. That final revolution would bring with it the birth of the last man, but not as Nietzsche had foretold . . . but in sterilized bottles moving silently along vast assembly lines in human embryo factories thirty-four stories high (Firchow).

Could a real world of such genetic control occur? I would just note this. Every elite university's student newspaper features regular ads from parents offering up to $80,000 for the right egg donor. For example, an ad in the University of California at Berkeley's Daily Californian states the following specified requirements for the prospective donor:

- Caucasian;
- height at least 5'6" (no short embryos, please);
- college student or graduate under 30;

- no genetic medical issues;
- and offers extra compensation for athletic ability (who wants a clumsy child?), musical ability, or science and math ability;
- and a minimum SAT score around 1250 (nobody wants a dim embryo).

Such a eugenic impulse to improve the odds easily converts into the impulse to genetically engineer human children to specification. Films like Gattaca can help us imagine such possible futures by dramatizing the potential consequences of scientific developments. As the great British author J.G. Ballard put it, ". . . there's something vital about the power of the imagination and its ability to remake the world. [Ballard continues] . . . science fiction *should* look at the future and prepare us for it—science fiction puts the emotion into the future . . . something science tends to leave out" ("Strange Visions," 78).

Those events and observations explain how my course came to be. It is officially called Literary Forms: The Cinema, More or Less, Than Human? but is more commonly known as "the robot class." It's basically a film plus literature class but involving science and philosophy for a necessary foundation. We view films from Metropolis to The Matrix; we read fiction from RUR to James Patrick Kelley's "Itsy Bitsy Spider" about a robotic Alzheimer's caregiver; we cover non fiction from Francis Fukuyama's Our Posthuman Future to John Searle's The Mystery of Consciousness. I like to think that we are getting ready for the singularity.

Last fall, the robot class moved into cyberspace and is now being offered on line as a WebCT course. It is somehow appropriate that even if I drop dead this afternoon, the course can just go on without me . . . . There are text-file lessons to introduce each film the students will watch with the next lesson commenting on the film just watched. Streaming video of important scenes acts as a visual highlighter. Clips of the same scenes are available on DVD for those who need them. Students must perform their own Turing Test by linking to Ramona or ALICE and determining whether they are conversing with a human or a computer. We look at the evolving definition of human, from ancient Greece through Shakespeare, the Enlightenment, and the American expansion of civil liberties. Students must decide if Asimov's Three Laws of Robotics

are ethical. And they must fashion their own definition of human and write a lengthy paper establishing a continuum from non-human to human involving characters from the stories and films.

By combining fact, fiction, poetry, and film, we end up with a course that students perceive as both stimulating and relevant to their own futures. They get to watch movies, but in a new way, thematically in the contexts of hard science and analytical philosophy. They get to speculate about the future, but in an informed and educated way. They begin to enter what will surely be The Great Conversation of the next 30 years, the one that will finally answer two urgent questions:

1. will we become more, or less, than human, and,
2. how long before the Sheraton, Waikiki starts offering a discount for robots?

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Questioning the 'Post-colonial' Interpretation of the Colonial Image. Some Reflections on Early New Zealand Photography

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Questioning the 'post-colonial' interpretation of the colonial image. Some reflections on early New Zealand photography

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Abstract: In the last two or three decades a range of postcolonial studies have emerged with the aim of re-examining the written and visual histories of colonisation. In photography the focus has been on the ideological forces that motivated the photographers and the political consequences of their image making. In portraiture it has been claimed that the majority of colonial images of the 'other' were racist in tone and contributed to the physical and psychological violence inflicted on the colonised. In their images of the 'new' lands, colonial photographers pictured potential wealth to be exploited and there was no remorse for the loss of natural and indigenous life forms and landscapes. This 'imperial gaze' justified the assumptions of the dominant colonisers and contributed to white hegemony.
This paper challenges such 'post-colonial' interpretations. It argues that they are overly reductive, totalising and distorting. Examining some representative colonial images in New Zealand from the late nineteenth and early twentieth centuries, the post-colonial view is criticised for failing to recognise some inherent characteristics of the photographic medium. That photography is a cultural practice with no fixed outcome, photographs having a chameleon-like quality enabling them to be continually re-interpreted in the history of their reception. Interpreting a photograph can also be influenced by other stimuli such as the punctum of recognition identified by Roland Barthes and the self-reflection that can occur when a viewer looks at a photographic image. Far from a photograph embodying the containment or closure of some prescribed ideological meaning, photographs inhabit multiple contexts as their uses change over time and space. The post-colonial view also conflates differing colonial perspectives and diverse local experiences and neglects the positive contemporary utility of colonial photographic images.

The rise of the new field of post-colonial studies in the past two or three decades has been linked to "the formal end of European colonialism during the latter half of the twentieth century" (Spurr, 2001, p.1) European colonialism from the late fifteenth century to the mid-twentieth, is portrayed in post-colonial writing as having discovered new lands, subjugated those who lived in them and degraded the identities and cultures of non-European peoples (West, 1998). According to post-colonial writers the accounts of that period and many contemporary texts, "take for granted that the 'European' is the human norm and offer us descriptions and/or prescriptions" ….that provide "alibis for the domination, exploitation and epistemic violation entailed by the establishment of colony and empire" (Spivak, 1999, p.6).

In the view of those adopting the theoretical standpoint of post-colonialism, these texts were not merely 'alibis' but "authoritative 'universal' narratives" (Spivak, 1999, p.8). In challenging the meta-narrative of colonialism the response of the 'post-colonialists' has been to construct a master narrative of its own that claims to expose "the entire system by which one culture comes to interpret, to represent, and finally to dominate another" (Spurr, 2001, p.4). The post-colonial project has extended previous critical examinations of European empires and their consequences beyond an understanding of them as manifestations of Western capitalism reaching out into new markets as part of economic and political competition. In the new paradigm the focus was on culture and "the deployment of knowledge in the exercise of political subjugation" (Parry, 2002, p.67). Edward Said's 1978

book *Orientalism* was a foundation text for those who construed colonialism to be a cultural process whose ideological architecture can be revealed through a selective reading of its texts and images.[1]

European colonial cultural practices privileged the signifier over the signified with the dominant culture becoming "a regulatory force in its own right, a mechanism of governance" (Hall, 1997, p.233). It was monolithic and normative, delineating what cultural practices were acceptable and what were not. However, in sanctioning an "essentially textualist account of culture" (Sparks cited in Parry, 2002, p.74), post-colonialism divorces the imperial project from its political economy foundations, divorcing it from capitalism and marrying it to post-modernism, privileging texts in the imposition of cultural forms and power.

Goldberg and Quayson state that post-colonial studies are concerned with the need "to speak to the Western paradigm of knowledge in the voice of otherness" (Goldberg & Quayson, 2002, p.xii). To present the binary opposite to the imperial project, the voice of the other. But in establishing this binary opposite it often presents a unitary view of colonial power and effect. Evidence which is contrary to this schema is eschewed; information contradictory to the ideological line is occluded.

Colonial history does not support a picture of unmitigated imperial control. The British rule in India or the Dutch governance of Indonesia, for example, was facilitated by working with indigenous elite structures. Imperial rule was often unstable and vulnerable with subjected populations finding numerous ways to thwart the implementation of colonial policies. There was also a great diversity of colonial experience as the imperial powers enthusiastically or reluctantly, as in the case of New Zealand, added colonies to their empires. Colonial peoples were not viewed as an undifferentiated mass, the continuum of attitude to the 'other' ranged according to judgements concerning skin colour and physiognomy, or whether the colonists perceived the indigenous as friendly and welcoming or hostile and savage. Literary and cultural texts may at times capture aspects of colonial life and the imposition of imperial values, but they can be unreliable guides to the realities of colonial rule. The nuances of colonial life can be lost if the post-colonialist lens through which they are viewed only captures that which fits a preconceived ideological hypothesis.

When looking at the photographs of late nineteenth and early twentieth century western colonialism the privileging of certain readings may occur where the researcher "reads into them what he has already learnt by other means, or what he believes he knows, and wants to 'demonstrate'" (Ginzburg cited in Pinney, 2003, p.3). Penney states that this raises a profound methodological issue of relevance to all those working with photographs, the disturbing way in which many of those arguing for the political effects of images overlay them with conclusions arrived at by 'other means' (Penney, 2003). Individual photographs or texts can be selectively interpreted as part of the organising taxonomy of a theoretical approach. It is argued that post-colonialist ideology seeks to subordinate the complexity and discreteness of any image taking moment to the demands of understanding it in a wider context (Spurr, 2001). This is a reductionist strategy in which other possible meanings, evaluations and interpretations can be lost.

Photographs have a chameleon-like ability to adapt to changing historical or social circumstances and can serve different purposes and have different meanings over time. The same image might be interpreted as illustrating colonial exploitation at one point whilst viewed as depicting a simpler, culturally more authentic way of life at another. An understanding of historical circumstances could enlighten the photographic moment but a post-colonialist interpretation primarily works with the given text and is less involved with the context. Post-colonialism combines the various historical instances of colonialism under the embracing banner of the 'colonial situation'.

In the book *Maori in Focus* published in 1976, author William Main entitled its third chapter 'End of an Era', a collection of images that "give a last look at the native race before foreign influences obliterated an ancient way of life"(Main, 1976, p.39). Of the image

[1] Although it is noteworthy that Said has since dissociated himself from 'theoretical cults' where the pull and primacy of historical conditions is relegated (see Parry, 2002, pp.66-67).

reproduced as Figure 1, photographed by Herbert Deveril in 1876, he comments that images like this give us a fair idea of how the Maori woman appeared to early explorers and missionaries. “Deveril’s reclining ‘wahine’”, he states, “looks composed and at ease for his lens”. Although this latter claim appears at odds with the image should we accept the

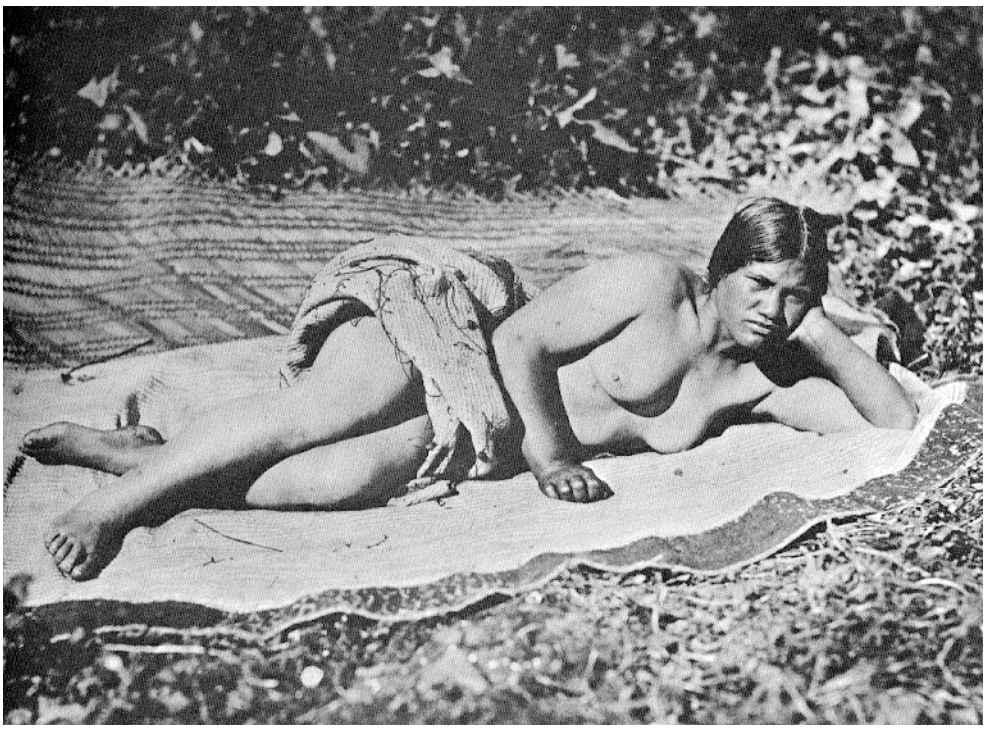

Figure 1.

reading presented some twenty-three years later by Anne Maxwell. She says that images like this showed Deveril’s lack of empathy with Maori subject matter and then makes the broader claim that they would have conveyed to those viewing the photograph that “the Maori were a spent force” and the lack of a male presence suggests “that Europeans had unimpeded access to Maori resources and property”(Maxwell, 1999, p.143).

One writer argues that “at the periphery of empire the camera as machine” could be regarded along with other colonial technological instruments such as the surveyor’s theodelite as “part of the mechanical taming of colonial nature” (Fox, 1997, p.15). “Violence is implicit in the European colonial image” he believes, and photography “asserts control by picturing what it will destroy” (Ibid). In this technologically determinist view, the ‘camera as machine’ was also capable of “arrogantly raping indigenous values and imprisoning images of subjects” incapacitated by their ignorance of Western technology and knowledge (Von Reiche, 1995, p.69).

Many of the images of Maori and the New Zealand landscape taken in the late nineteenth century were used in a further development of mechanical reproduction, the postcard industry of the early twentieth century. The boom in postcard manufacture saw nine million cards travelling through the New Zealand postal system in 1909 at a time when the population of the country had only just reached one million (King, 1983, p.2). Maori images were particularly popular as an exotic feature of New Zealand life. Most of the images of young Maori women were intentionally ‘generic’, identified by an epithet like ‘Maori Maid’ or ‘Maori Belle’. They were a simulacrum of any individual reality as they represented a type in order to make them more marketable. These were images far from the realities of poverty and cultural displacement which characterised life for most Maori of the period. They were constructions for the tourist marketplace and combined Edwardian notions of ideal feminine

beauty with clear reference to the exotic and suggestive of the erotic. Staging included portrayals cued with ethnographic referents such as the use of a traditional garment or a setting among local flora.

Figure 2.
The Postcard made from this image carries the caption 'A Maori Maid'.

The photograph of a young Maori woman (Figure 2) has been the analysed as representative of colonial 'keepsake beauty' images that were posed half-length in a 'portrait-style' (Beets, 2000). Victorian fashion-setting periodicals commercialised a feminine ideal, outlines Beets, of the 'aristocratic' or high-born beauty that possessed "a standard physiognomy of large eyes, flowing dark hair, olive (not black) skin, dainty nose, oval jaw, and an all-over fragile look expressed by a sweet, passive, vulnerable gaze" (Ibid, p.18). Thus the model was not selected for any distinctive 'Maori' features according to Beets, but because she conforms to a European ideal of beauty set in an exotic 'south seas' location. By her direct gaze at the camera and her cloak revealing bare flesh at the shoulder, the image "invites the colonial gaze to penetrate, and consequently possess, both herself and her land" (Ibid, p.24). Beets, like Maxwell, notes the absence of the indigenous male and argues, referencing *The Colonial Harem* by Marek Alloula, that when he is defeated the indigenous female is offered or offers herself as a metaphorical war trophy for the white victor. The background Harakeke bushes are linked to the 'nostalgic fantasy' regarding primitive Maori life and untouched land. "The virgin bush depicted (in the photograph)…carries obvious symbolic connotations of innocent desirability, readily displaced onto the female viewer by the postcard's viewer" (Ibid, p.18).

The analysis of this photograph appears to be an example of reading an image to demonstrate a preformed ideological paradigm. The postcard *A Maori Maid* is a version of a photograph taken by the Rotorua photographer Arthur James Iles. Research would indicate that rather than carefully posed against virgin bush, Iles took this photograph and others in a private or public garden where a clump of Harakeke plants formed a backdrop.[2] Another photograph taken at the same session (Figure 3) would appear to indicate that Iles had not set out to create a classic 'keepsake beauty' but in the course of a photographic session or later in the darkroom saw the potential of the image he and the larger photo agency Muir and Moodie, would later use as a postcard.

Figure 3.

A striking feature of these two photographs (Figures 2 & 3) is the age of the subjects who are very young, adolescent or even pre-adolescent. In other photographs by Iles, for example Figure 4, the sexual content is less disguised. Such images appear to support a view that

Figure 4.

[2] A collection of photographs by Arthur James Iles is held by the Rotorua Museum of Art & History.

colonial photography assigned the indigenous woman a role as "attractive vulnerable object… offered for the delectation and possession of the European male". (Beets, 2000, p.27). The post-colonial theorists offer us a ready-made interpretative frame where the male colonial gaze subjugates and possesses the 'other', the indigenous female. This perspective appears to exclude other possible interpretations.

However, the sexuality of young womanhood was frequently alluded to in European photography and painting in the latter half of the nineteenth century. The photographs of young girls clothed and unclothed by Charles Dodgson (aka Lewis Carroll), are well known for the unresolved debate as to whether he was seeking to capture childhood innocence before it 'slipped away' or he had less innocent intentions. It is argued that for the Victorians and Edwardians, 'childhood innocence' was a state of being and, therefore, "a child's naked body seen in a photograph was by definition a sign of total innocence, and it would be perverted to suggest otherwise" (Ewing, 1999, p.27). Dodgson's work was therefore protected in a sense from any charges or hints of paedophilia in his lifetime. Since his death and in recent debates his images have been subject to moral censure. His contemporary in Britain, Julia Margaret Cameron, took deliberately soft-focus pictures of naked children and yet feminists have recently lauded her work as evidence of a feminine aesthetic and maternal eroticism that provides an alternative to patriarchal sexuality and history (Mavor, 1995). In the early years of the twentieth century "the link between young bodies and 'natural innocence' became a central theme of pictorialist photography" (Wright, 2003, p.161). To emphasise 'natural innocence' they were often photographed in nature or referenced to classicism and antiquity.

There are therefore cross-cultural links between European images of this kind and those taken in a colonial context. A focus solely on them solely as examples of colonial exploitation of the 'other' disregards this larger context. There is no question about the power relationship in these photographic episodes and whether it is in a colonial or non-colonial setting, this is wielded by the photographer. That individual may indeed be guilty of the exploitation of their photographic subjects. There may also be agreement about the meaning of the image encoded at the moment of production and the intended target audience and market for the images. But as Stuart Hall argues, at the point of decoding other readings of the image, or a modification of the original meaning can be read off the photograph (Hall, 1980). The camera is a particularly poor tool to 'fix' a meaning, despite the attempt by post-colonial writers to portray photography as part of the colonial machinery of domination and surveillance which captures or imprisons others by 'fixing' them as types or objects for display (Wright, 2003).

It might be argued that in painting the painter's imagination and brush can act as filters capable of excluding other interpretations of their work. However, the photographer cannot completely control what appears in the printed image no matter how careful and fastidious he is in the act of in setting up his picture. No photograph is so successful that it excludes the random. There will always be a subversive code, a layered texture present in every photograph that makes it open and available to other readings and uses. Thus the opening and closing of the shutter is not an act "of closure and fixity, but rather of multiple surfaces and of the possibility of 'looking past'" (Penney, 2003, p.6).

When he refers to the photograph as 'fugitive testimony' Barthes draws our attention to the fleeting nature of the photographic moment captured (Wells, 1997). Our often limited knowledge of its context and purpose make the photograph an unreliable witness. Statements of provenance providing facts about the date the photo was taken, the circumstances and the name of the subject; may help support the image's historical 'truth'. Yet, as with the images presented here, these details are often unknown. We are left considerable freedom to read into the images our own interpretation. On occasions that interpretation may be triggered by what Barthes identifies as the 'punctum' of recognition (Barthes, 2000). This is the detail which captures our attention. It may be a familiar facial feature or a particular look. The punctum, whatever the intended encoded reading, may give a particular poignancy to the image for the viewer. This may account for why many images fail to 'speak' to the viewer whilst others arrest our attention.

Photographic images are also constantly 'remade'. Portraits which had originally been taken and sold to tourists, were turned into 'scientific objects' as they were acquired by archives and science museums. The photographer's original coding was put aside as meanings shifted with the changing context. Despite their material stability, photographs can be historically refigured or reactivated in a new context (Thomas, 1991).

What is often lost sight of is the fact that despite the criticism colonial photographs have been subjected to, these photographs can be highly valued by the colonial peoples whose ancestors are portrayed (Aird, 2003; King, 1983). The archive of portrait photographs of Maori women at the Rotorua Museum of Art and History is a resource valued by the Maori community. Copies of these photographs adorn the inside of meeting houses despite the stereotypical way the subjects may be portrayed or the possibly exploitative circumstances in which they were taken. The 'looking past' by Maori of any encoded dominant meaning demonstrates the many-layered complexity of the photographs.

The received view of a post-colonialist critique of colonial photography is that the colonisers not only subjugated and degraded the cultures they came to dominate but that they had the same effects on the colonial environments. The written histories of New Zealand of the past thirty years seem to support that view. They portray the white settlers as viewing New Zealand as a place to be conquered and transformed. "They felt alien from the land, it was strange and forbidding to them." They were afraid of the forest, called the 'bush', of "its thick undergrowth and the isolation of their settlements" (Bassett, 1985, p.98). To the British immigrant it was "the sombre 'bush', its foliage as much brown or ochre as green" and they strived to recreate "the polished, man-made beauty of the English countryside" (Sinclair, 2000, p.236). They had no emotional ties to the land but saw it simply as potential wealth to be extracted and exploited. Uniform with the impact on the indigenous people, the native flora and fauna was subject to "intense colonisation" (King, 2003, p.193). Michael King quotes the poet-politician of the 1890s, William Pember Reeves:

> "We stand where none before have stood
> And braving tempest, drought and flood
> Fight nature for a home." (King, 2003, p.433).

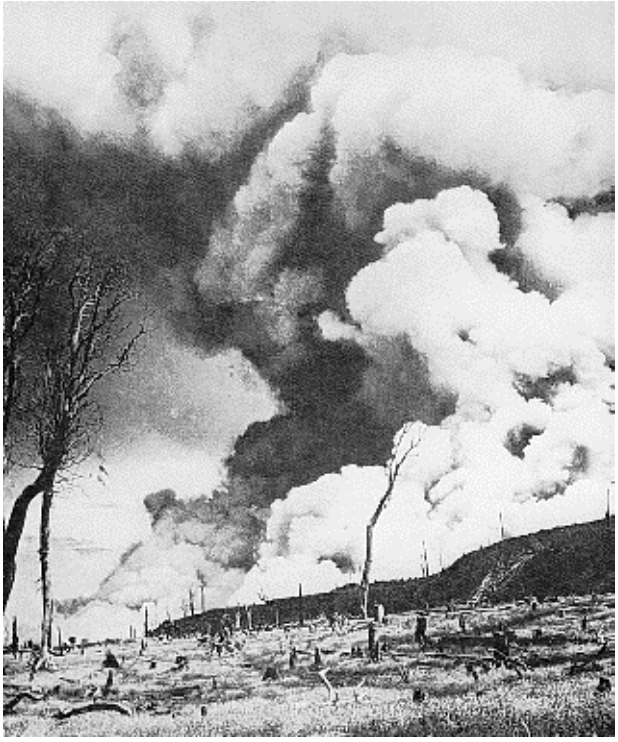

Figure 5.
Photo from *Looking Back: A Photographic History of New Zealand.*p.106.

The language was of fighting nature and breaking in the land. A photographic history of New Zealand written in 1978 stated that a more accurate description would have been to speak of 'breaking' the land as everywhere the Europeans went they left huge scars (Sinclair & Harrex, 1978). To the authors scenes of desolation everywhere dominated the photographic record of the European invasion of New Zealand (See Figure 5 taken by farmer Charles Wildbore, a farmer in the Manawatu valley which was being burnt). A viewpoint, reflecting perhaps the growing conservation movement in New Zealand in the 1970s, that provides resources for a totalising post-colonialist account of the colonial impact on the environment.

However, Bonyhardy writing about the views of Australasian settler writers and artists to the environment[3], argues that the reality was very different. "While many colonists were alienated by their new environment, others delighted in it (Bonyhardy, 2000, p.3). There is also little evidence that the colonial photographer brought his camera as 'machine' to capture the alien landscape and assist the colonial project to tame, transform and conquer it. It is propounded that when the early New Zealand photographer John Kinder transported his camera into the local landscape, he sought to know and understand it (Brownson, 2004). He was intrigued by the shape of the land and the indigenous flora. His plant study of Harakeke (Figure 6) is claimed to demonstrate his "delighted perception" of the beauty of native plant life (Ibid, p.88).

Figure 6. **'Harakeke' by John Kinder, 1865.**

[3] Although Bonyhardy's primary focus is Australia the experiences of Australia and New Zealand were similar.

Photographs Kinder took around the Waitakere Ranges and the Manukau Harbour near Auckland in 1868 and 1869 show what remains of the indigenous forest after the valuable Kauri trees have been hauled away and the other forest trees burnt. Kinder's response was the composition of a 'before' and 'after' image. The photograph (Figure 7) is said to prefigure a

Figure 7. **Kinder, 'Manukau ranges(sic)no.3, Waitakeres', circa 1869.**

subject matter common to New Zealand's landscape art of the 1870s and 1880s, where the 'before' and 'after' are shown from a position of landscape conservation (Brownson, 2004; Blackly, 1992). And although William Pember Reeves had written of 'fighting nature for a home', he also mourned the passing of the forest:

"Ah, bitter price to pay
For Man's dominion – beauty swept away!"
(From 'The Passing of the Forest' by William Pember Reeves. Quoted by Sinclair & Harrex, 1978, p.107).

George Valentine was the scion of one of Britain's more prominent family photography businesses and recognised as one of the best photographers of early New Zealand. He, like Kinder, was drawn to the bush-clad Waitakere Ranges near Auckland. It was the qualities of the New Zealand forest that fascinated him (Hall, 2004). The image of Waitakere Falls (Figure 8) he inscribed with the caption '18 miles from Auckland – a most delightful picnic reserve'.

Figure 8. **'Waitakeri(sic) Falls', George Valentine, 1885.**

Landscape photography was to play a significant part as a medium that helped the New Zealand white settlers appreciate and preserve their environment. The New Zealand landscape was extensively photographed by photographers such as Kinder, Valentine and the most prolific and extensively travelled of them all, Alfred Burton of the Dunedin studio Burton Brothers[4]. Just as the work of the Californian photographer Carleton Watkins helped to persuade the United States Congress to make Yosemite a State Park in 1864 (Bonyhady, 2003); the photographs Alfred Burton took in Fiordland "lent visual weight to the argument to preserve this area as a National Parkland" (Perry, 1980, pp.3-4). On the Whanganui River from 1889 to 1927, local photographer Frank Denton recorded the beauty of the river and documented details of life, particularly food gathering by the local people. These photographs are now being used to illustrate customary practices in the current claim to the river presented to the government by Whanganui Maori (Ireland, 2003).

Photographic images can serve multiple tasks, defy 'fixed' meanings and be repeatedly 'remade'. The polysemic nature of the photograph is a formidable challenge to those who would try to harness colonial photography in the service of a prescriptive ideological position. Although post-colonial theory has drawn our attention to the cultural power that may be embedded in colonial images, the formal readings extracted from limited examples prove to be unsustainable when applied as an interpretive frame to all colonial photography.

[4] By 1901 their catalogue, which was published by their successors Muir and Moodie, contained some 8,000 photographs (see Faber, 1987, p.9).

New Zealand photographs of the colonial period illustrate that the meaning of images is constantly in motion. The issue concerning colonial photographs may not lie with the meanings they are presumed to contain than the perceptions brought to them and how they are used.

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The Criminal Exploitation of Ambiguity:

A Multi-Level Analysis of Fraudulent Telemarketers

Topic Area: Other Areas of Arts and Humanities: Sociology and Criminology

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ABSTRACT

During the past century there have been significant changes in the economic and social structure that have resulted in new forms of criminal opportunities. Fraudulent telemarketers are among those that have seized such opportunities to defraud consumers out of billions of dollars annually. The purpose of this manuscript is to determine the decision-making process of criminal telemarketers and the means by which they commit fraud. Data analysis draws from semi-structured interviews with 48 subjects who have been convicted under federal law. First, the organization, management, and accountability structure of criminal telemarketing enterprises are examined. Next, the interaction process between fraudsters and victims is explored from a social-psychological perspective. The subjects' backgrounds and criminal careers, the lure of criminal telemarketing, and the lifestyles it affords are then provided. Finally, the thought processes of fraudulent telemarketers are analyzed in the context of denial of crime, techniques of neutralization, and organizational design, before a rational choice perspective is applied. The author concludes that fraudulent telemarketers embrace the cultural goal of capital accumulation, exploit ambiguity in the law, design diffuse accountability structures in their organization to avoid criminal responsibility, and ultimately "ascend" to the status of marginalized middle-class persons.

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Virtue Ethics & Race Theory:
A Black Liberation Ethic

ABSTRACT

In the *Nicomachean Ethics*, Aristotle focuses on the disposition, set of virtues, or individual character traits you needs in order to effectively manage a society. One might argue that once you focus on the character traits needed to dismantle conceptions of race and racism, then you get a richer set of virtues. If this is true, then would the same argument hold for the dismantling of a conception race/racism that – predicated upon the notion of individual desire, belief, and will to act though it may be – nonetheless presently manifests itself as an external, endemic, and *systemic* moral indicator, to which individuals are measured and compared, and within which all of us must live?

In the emancipatory struggle raised against the historical project of so-called "modernity," struggles that have been characterized as those that reflect the "modern world's" *underside,* is there a "richer set of virtues" one might employ as a defense against dehumanization, and toward improving material conditions for self and community? I will call attention to these questions during the course of the essay. Something like A Black Liberation Ethic exists as much in the minds of its principle characters, heretofore denoted as the "modern world's" *underside,* as it exists inside the skull of this writer, who like the figure of Baron Samedi, in one spidery motion rises up from the dung underfoot, all the better to increase the volume of my lament.

Kobie Colemon

Race Theory & Virtue Ethics:

Toward A Black Liberation Ethic

PREFACE

Although we may lack the necessary philosophy of psychology to prove it, it must be clear that racism, or race-based hatred, is morally wrong. There is an obligation not to engage thoughts, feelings, beliefs, emotional responses and/or willful acts in such a way as to intentionally demonize, marginalize and terrorize a particular person or group of people based entirely upon a socially contrived racial classification. It seems odd to suggest that we might actually need a framework in which to ground our moral obligation to each other within the Black-white paradigm. But it is quite so. Perhaps we can develop a kind of law conception of ethics, universal or divine, in which social norms are introduced and maintained by a lawgiver of some sort. Then once a discourse has been generated, moral obligation becomes external, contractual, and some sort of shared intuition of this, a conception of ethics in terms of universal law, permeates the masses.

Many are loathe to accept the fact that with regard to race and racism, this kind of work has already been done in our society, and that such a discourse has proven beneficial to those for whom the law provides protection and security, and to whom it promises liberty, justice and the pursuit of happiness. For those, on the other hand, who stand at an epistemic distance from the lawgiver's dominant discourse of race/racism, there is a marked contrast between how the historical march to "modernity" is often characterized in the Western academy and how it has been lived by those on its periphery. But these differences are slippery, hard to grasp, and harder to prove. In today's political climate, it is "politically incorrect," even "subversive," and clearly "unpatriotic" to focus the spotlight on these issues; our leaders in government and disciplinary power would rather we stayed in the dark and divided with respect to them, the better to facilitate their rule.

We advance their cause, albeit indirectly, by clearly lacking a framework into which one can pour all the evidence of problematic existence, hatred and exclusion in the face of an ethic of assimilation, and out of which one can produce an ethic of positive self-

awareness, moral agency, and racial liberation. A popular move in race theory today is to return, then, to moral virtues, a virtue ethics, in order to establish the grounds for moral obligation. If the dominant discourse of race/racism in the lived experiences of Black people have proven detrimental, and yet there is no other explicit social contract or set of laws currently available, then we seek to establish norms within individual human virtues and replace blanket moral terms with specific virtues and vices.

In the *Nicomachean Ethics* and other sources, Aristotle focuses on a disposition, set of virtues, or individual character traits one needs in order to effectively manage a society. One might argue that if you were to focus on the character traits you need to raise children for example, or traits you would encourage in them during early childhood development, then you get a richer set of virtues. If this is true, then would the same argument hold for the dismantling of conceptions of race and racism? What about a conception of race/racism that, predicated upon the notion of individual desire, belief, and will to act though it may be, nonetheless presently manifests itself as an external, endemic, and *systemic* moral indicator, to which individuals are measured and compared, and within which all of us must endeavor to live?

In the emancipatory struggle raised against the historical project of "modernity,"[i] struggles that have been characterized as those that reflect the modern world's "underside," is there a "richer set of virtues" one might employ as a defense against dehumanization, and toward improving material conditions for self and community? Likewise, are there vices, wants, intentions, likes and dislikes (anti-virtues) one should avoid while negotiating the relationship between a corrupt social system and a situated human being? Is there some shared intuition of race/racism, its destruction and aftermath, observable among the motives of individuals operating within the social sphere? Can we mediate human action within a corrupt system, a system we must recognize nonetheless as corrupt, and a corruption we must recognize as influential if not individually formative?

Although I thought it important to list them all, I will call attention to only a couple of these questions during the course of the essay. In doing so, it would be easy and comforting to give a short, terse, and simple account of race/racism, one that simply casts aside whatever doesn't logically fit into some hard or strictly determinist philosophical

account, or one that would have readily fitted in with the embattled liberal paradigm, rather than the long, complex, and often puzzling account that I will give. But, fear not, the following presentation is but a dream. Something like a Black Liberation Ethic exists as much in the minds of its principal characters as in that of this writer, its conjurer *du jour*. As a miracle of pure virtue and intellect, it is thus illogical, derivative, and contradictory. I know it is philosophical argument you want: an Enlightenment conception of rational deliberation with an emphasis on logical criteria of justification, critical thinking, and abstract impartiality. Yet my concern has always been that attempts to understand the world in this way are themselves socially variable and produce a distorting picture of what thought and action should be.

It is not the dream that distorts, but the reality, the logical proof, the abstraction. Sadly, our social scientists and "deep thinkers" (those whom we used to uncritically proclaim our "men" of letters) continually refuse to acknowledge differing perspectives and differing relations to life and nature, and yet continue to bemoan the fact that we are stuck with the same set of social problems. We take the same approach with the same perspective to the same set of problems time and time again while hoping for altogether different results. Is that not the definition of insanity? Accordingly, does not the dream, with a differing emphasis on logic and imagination, provide, at least potentially, the more lucid picture?

A CRISIS IN PUBLIC HEALTH

In the Preface I have noted how difficult it is for philosophers to identify pejorative aspects of the Black experience directly attributable to the ongoing problem of race and racism in our society. One area in which our subordinate status might begin to come into focus involves matters of public health. The development of social epidemiology and medical sociology over the last half of the 20th century has transformed scientific and popular understanding of the nature and causes of social factors that lead to inequalities in health. Until the 1950s, physical health and mortality risks were viewed as shaped almost entirely by biological processes, health practices, and medical care. Health and mortality risks are now understood to be as much or more a function of social, psychological, and behavioral factors.

Social epidemiology has identified a broad range of psychosocial risk factors for health, including (1) social relationships, (2) acute or event-based stress, (3) chronic stress in work and life, and (4) psychological dispositions such as anger, hostility, and negative affect/hopelessness, with new risk factors continuing to be identified. Proliferation of risk factors such as these are balanced by (a) their mutual integration, i.e., they do not often function independently of each other, but rather two or more work in tandem; and (b) an understanding of the relationships among them, their causes and consequences.

> One source of such integration and understanding has been the rediscovery of large and persistent socioeconomic and racial-ethnic disparities in health. Socioeconomic position and race/ethnicity shape individuals' exposure to and experience of virtually all known psychosocial, as well as many environmental and biomedical, risk factors, and these risk factors help to explain the size and persistence of social disparities in health. . . This in turn requires better understanding of the macro-social forces that influence the socioeconomic position of individuals.[ii]

Individual race, ethnicity, and social-economic position notwithstanding, advances in public health practice and medical technology have reduced exposure to and experience of deleterious risk factors for heath, and contributed to dramatic improvements in the longevity of the entire U.S. population. On average, Americans in 1900 could not expect to live to the age of 50. By 1996 they could expect to live past the age of 76. Although all racial and ethnic groups have experienced gains in life expectancy, differences between groups in longevity and many other measures of health status have been apparent for as long as these measures have been collected separately by race.

This is true for measures of health at the beginning, middle, and end of the life span. For some groups and some measures, these differences are persistently large. In general, Blacks fare worse than any other group, and Native Americans as well as Latinos are often disadvantaged in health status relative to whites. Why the great disparity between Black and white Americans in treatable, if not always curable, mortality risks, such as infant mortality, diet, diabetes, smoking, suicide, homicide, heart disease, cancer, mental illness (specifically schizophrenia, bipolar disorder and borderline personality disorder), and sexually transmitted diseases including, of course, HIV/AIDS?

The first measure of health, infant mortality, is taken, of course, at the very beginning of life, and is often used to compare the health and well-being of populations across countries and within countries as well. As one might expect, the U.S. has a lower rate of infant mortality than a typical developing country, but it has long had one of the highest infant mortality rates among the industrialized nations. Even here, a substantial mortality risk exists for a particular group, and a very plausible explanation centers around conceptions of race and racism.

Social relationships have already been identified as one of a number of very prominent risk factors for health and illness. Racist hatred and exclusion initiate processes that distort and deform social interactions generating conflict across the social spectrum. When conduct between human beings begins either with racist exclusion, or with open expression of hatred based on racial or ethnic group membership, dangerous consequences may follow. Within the U.S., Blacks and Native Americans have higher infant mortality rates than other groups. This is not necessarily reflective of any act of blatant discrimination or hostility toward a newborn child, but it is often indicative of the conditions, both material and psychological, that surround the birth, and of the stress that the mother and father endure in their lived experience as Black people. And so the rate of infant mortality among subjugated racial groups within society becomes a measure of health status not only at the beginning of the life span but throughout.

The rate of infant mortality and infectious diseases at the beginning of the life span contribute much to the status of overall life expectancy. In the latter part of the twentieth century, large declines in chronic disease death rates among middle aged and older Americans have led to an acceleration of life expectancy. However, differences in the life expectancy between Blacks and whites have persisted throughout this period, and among men they actually grew in the 1980s.

Heart disease and cancer are the two leading causes of premature death for those aged 45 to 64. Blacks are at greater risk of mortality from these chronic diseases than any other group in this age range. These differences in death rates from chronic diseases are responsible for a majority of the disparity between Blacks and whites in the probability of survival to age 65.

Other major areas of concern for adult health are unintentional injuries (primarily

automobile accidents), homicides, suicides, and HIV/AIDS. There are also racial and ethnic differences within these areas. Native Americans face much higher death rates due to suicides and unintentional injury than any other group, while Blacks face much higher rates of homicide than any other group. HIV/AIDS kills Black and Latino young adults at significantly higher rates than whites, Native Americans, or Asians.

To summarize, wide disparities in infant mortality rates among racial and ethnic groups remain. For both men and women, whites can expect to live longer than Blacks. Blacks are much more likely than members of any other group to be victims of homicide. Blacks and Latinos are also more likely to die from HIV-related diseases than members of other groups. Black men and women also have the highest death rates from heart disease and cancer.

Research into the reasons for health differences between racial and ethnic groups has focused largely on differences in social-economic status.[iii] On average, white Americans have better access to the social and economic resources necessary for healthy environments and lifestyles and better access to preventive medical services.

Other research suggests that discrimination and racism create stress leading to poorer health among members of subjugated racial groups.[iv] For example, the higher prevalence of hypertension among Blacks relative to whites has been linked to personal experiences of racism and discrimination. To the extent that access to medical care can prevent the onset of disease or ameliorate its effects, whatever segment of the population that is without health insurance will be correlated with ill health. Especially among men, Blacks and Latinos are less likely than whites to have health insurance. Insurance coverage is closely linked with income, however, and the difference in insurance coverage between Black and white men can be almost entirely explained by differences in income.

Disparities in health issues also have economic consequences. For example, poor health can lead to high expenditures on medical care at the expense of other goods (like better housing or education). Perhaps more importantly, poor health can also reduce earning potential and thus lower one's quality of life. Thus, the disparities observed in health between racial and ethnic groups in the U.S. are tied to differences in many other economic and social realms.

As a result, the intersection between race, ethics, and public health becomes a

veritable "stop" sign for Black Americans, particularly excluded or "marginalized" Black Americans. Looking specifically at the HIV/AIDS epidemic, which disproportionately afflicts Black communities, we can consider the effect of "positionality" upon a Black agent's ability to achieve a high quality of life and/or to live the "good life." Rather than viewing our work as some kind of epidemiological procedure designed to eliminate risk factors, a shift in thinking would entail seeing the good life as a process of becoming, in which human flourishing is realized through engaging in social practices that embody the values we wish to bring into being.[v] Accordingly, we can identify traits of individual character necessary to thrive under conditions of social and economic disadvantage, and psychological vulnerability for members of racially disparaged groups.

VIRTUE ETHICS & THE SITUATION OF RACE

> I try to take care of myself, but everything gets me down. Nobody should look at you as weak. *You do not have a choice.* Drugs help me, they relax me, make me feel that things are easier. I can think more slowly. Without the drug everything is coming at once. A lot of things happen around me. But when I use drugs I can stop them. *I feel like I am a survivor,* a warrior.
>
> - Irene, street dweller and injection drug user from the Mission District, San Francisco (*emphasis* mine)

When I read this quotation in an ethics class to a group of graduate students mostly in philosophy, their reaction was reserved to say the least. They seemed to say without speaking, "If you want to posit this woman and her experiences as sort of an archetype in a new way of thinking about an ethic of the oppressed, then you couldn't have chosen a seedier, more objectionable example!" *Drugs help me, things happen fast and drugs stop them. . .* I mean, seriously, who is willing to stand up for this woman and declare that *her kind* is capable of an intellectual and moral disposition of any type to which we might, even loosely, attach the label of "virtuous behavior?" As if to say, "yes, I have just passed a crackhead on the street who I know to be selling her body for money to buy crack, and, in a manner of thinking, she must be the strongest, bravest individual I have ever witnessed, who has ever existed, or whom I could ever have imagined to have possibly existed!"

No, such a statement as that would seem to provide more than a minimal level of psychological discomfort. Wouldn't we rather say that any woman like Irene necessarily stands at a great distance from any conception of the moral virtues, or anything resembling them? And having said so, what, then, is so "wrong" about denying *these people* any access to a fundamental set of values or practices, expressible in individual persons, in which what is "good" for human beings, i.e., the full development and exercise of our capacities in conformity with this "good," is realized? In other words, isn't it easy and comforting to say, "based upon her individual motives and choices, Irene is not and cannot be virtuous, she is not and cannot be a "good" person capable of or actually living "the good life." There, we have said it, let the record show it, now let us move on.

But wait.

Virtues, as suggested above, have intimate connections with choice and action. From the quotation you must pay specific attention to Irene's point of view with respect to her choices, which I have emphasized: *She didn't have any.* Or, perhaps she had one choice: survival. Again, from her point of view *she feels like a survivor,* which is very important. The word "survival" goes beyond metaphor and reacquires its real meaning and sense for people like Irene. Street dwellers, drug abusers and dealers, petty thieves and panhandlers, pimps and sex workers, spend their nights (and days) in the ghetto living dangerously by way of the foregoing street economy. The kinds of dangers they face are multifarious, very real, and deepened by the existence of racism, socioeconomic disadvantages of various kinds, and a virulent type of gender inequality suffered by street women like Irene.

Maria Esther Epele, in her study of gender, violence and HIV, which includes Irene's experiences as a paradigmatic case, establishes aims and goals similar to my own. She describes how gender inequality promotes vulnerability to HIV as a consequence of the everyday violence experienced by injection drug using street dwelling women. From a social epidemiological perspective, the higher vulnerability of women to HIV is explained by risk factors that are psychological and behavioral, citing the lack of individual concern or control over mortality risks in sexual and drug using practices. But an attack upon individual motives and the (lack of) measurement of risks by said

individuals "cannot capture the complex power structure, the transaction system and the diversity of dangers that characterize IDU women's lives.

> Considering this complexity, I propose that in this setting the logic of risk is mediated and replaced by another logic based on the threats of immediate violence, closely linked to everyday survival.
>
> Given the female subordination in the street economy, I argue that women adopt, negotiate, and resist the unequal gender relations as part of their strategies of subsistence and as a way to face multidimensional violence (structural, symbolic, and physical). However, women's focus on these immediate threats may displace HIV into a secondary risk.[vi]

The aim of Epele's work is to show us how to proceed one step farther than most social epidemiologists have been willing to go, that is toward an understanding of women's experiences and health issues that are further exacerbated by socioeconomic and gender inequalities. It remains my task to show how all people who must survive under conditions of oppression (to understand Epele's subtler point is to understand that the discriminatory power of HIV is in fact a form of oppression) can do so without abandoning an ethical life, a set of values, or a conception of virtue uniquely designed to address difficult choices between dominant, conflicting values.

The question of a choice of values allows us, then, to broach other broadly construed ethical questions, for example, how shall I live? and what shall I think and do? My focus on these questions and the choice of virtue rises up from my own experiences living in depressed inner city ghettoes where problems of drug addiction, HIV, perceived criminality and conflicts with small time authority are highly visible, all of which raises another ethical question derived from the existential tradition, *why go on*? If nothing else is accomplished here, if there is neither insight, analysis, nor criticism for workers in the areas of race theory, virtue ethics, or medical sociology, then at the very least I hope to answer that inveterate, interminable question for the people themselves, many of whom need answers very badly.

Now, a working definition of virtue is required before I can go on. In the spirit of contemporary philosopher Jorge Garcia, who has done excellent work combining race and virtue theory, I would like to follow a theory of virtue ethics that has been loosely categorized for the past fifteen or so years as neo-Aristotelian. Aristotle and (skipping

ahead a bit!) his contemporary enthusiasts in the humanities and human sciences might define virtue in the following way:

> Virtue is an acquired, persistent disposition; a power of feeling, thought, and action dedicated to human flourishing and/or living well. This disposition and power is manifested not only in terms of individual well-being, but also enables, and is itself enabled by, a specific kind of community or social condition.

Before I discuss the subject proper, let me make two comments with respect to the definition. First, to label a virtue a *persistent* disposition is to recognize virtuous behavior as a sort of habituation or culmination of a lifetime of virtuous activity, which, of course, begs the question: what if there is a momentary blip on the virtuosity radar? Would virtuous behavior or content be mitigated in any way, particularly if the lapse in moral virtue comes at the end of the life span?

Secondly, to say that a virtue is a disposition to living well or human flourishing is to understand at a fundamental level that there is more than one way for humans to flourish, that Aristotle's life of contemplation, though perhaps perfectly suited for third century B.C.E. Athenian times, may be quite limited in perspective when compared to the present. As to the former comment, the questions it raises may be more or less rhetorical, while the latter comment actually poses the greater perplexity. However, I will ask you to withhold judgment per the resolution of either difficulty, as my aim is in part to show how an understanding of virtue from the point of view of the oppressed is to a great extent conditioned by our reactions and responses to these potential concerns.

Regardless of our responses or potentially negative reactions to any ethic of the oppressed, or to any phenomenal experience of theirs for which many of us can only feign sympathy or pretend to understand, all of us can agree that all people operating within the social sphere, even oppressed people, have a need or desire to be happy.[vii] Happiness, in this manner of thinking, can be considered a function characteristic of human beings as such, i.e., in virtue of being human.

What makes a human being human? Aristotle's answer is the soul, which is the essence of a living thing, or the rational level that separates humans from plants and other animals. According to Aristotle, the activity of the soul in accordance with reason is the

"good" life for human beings. So, the function of a human being qua human is living according to reason; and an excellent human life is a rational one, though it is not limited to purely intellectual pursuits. There are excellences that pertain to the economic and social aspects of your life as well. Aristotle calls these the moral virtues. Although one seemingly needs intellectual virtues in order to be "good" at moral virtues, Aristotle does not provide a good enough distinction between intellectual and moral virtues.

What is clear, however, is that happiness is not possible without excellence any more than a great athlete is happy over a poor performance. Moreover, a happy life incorporates "external goods," says Aristotle. Wealth and prosperity, political power, noble birth, fine children, all of these and more are external goods or social practices with internal goods built in them, which must be realized as necessary conditions for happiness. This means that your happiness is not entirely in your control. Given this Aristotelian account in which virtues attach not just to "men," but to men inhabiting certain exclusive social roles, it becomes necessary to extend the conception of the virtues in order to make a claim for a liberation ethic of the oppressed.

In Aristotelian terms, there is a certain relativity involved in judgments about the right, which is confusing when you go on to consider the internal/external distinction he wishes to draw in the exercise of the virtues as means to an end. Aristotle treats the acquisition and exercise of virtues as means to an end, where the relationship of means to end is internal and not external. That is to say, the end or the good life cannot be adequately characterized independently of the representation of the means or virtues.

But if living the good life depends on making correct judgments about the right, and what is right depends on objective facts - on actual facts about any situation in which you may find yourself - although a kind of "strict" relativity is averted, clearly there is an objective relativity at work here. What you think or feel may not be relevant to certain circumstances in which moral action is required, it is rather the facts or the circumstances themselves that, according to Aristotle, determine what is right. These facts are, by definition, external, which seems to me to violate the restrictive role and importance of internal goods advocated by Aristotle as well as a number of his contemporary enthusiasts, including Alasdair MacIntyre.

Of course, MacIntyre would disagree with my assessment, while pointing to an

"important" difference between internal and external goods.

> It is characteristic of what I have called external goods that when achieved they are always some individual's property and possession. Moreover, they are such that the more someone has of them, the less there is for other people. External goods are therefore characteristically objects of competition in which there must be losers as well as winners. Internal goods are indeed the outcome of competition to excel, but it is characteristic of them that their achievement is good for the whole community who participate in the practice.[viii]

But it is precisely this alleged "difference" between internal and external goods that proves troubling. Return for a moment to my earlier criticism that virtues attach themselves most firmly to "men" of wealth and prosperity. In Aristotelian terms, such "prosperity" can and should be given a materialist reading. So, once again, you are faced with certain circumstances in which facts or things have been presented to an agent. If the agent is predisposed to the good or to right judgment, then by definition he has already appropriated some or all of these things for himself as his property and possession, and carved a niche for himself achieving a kind of positionality with respect to other actors.

In some basic sense, then, it seems this competition, which he has already won, is intrinsic to his being good, and internal and external goods become entwined. Even if this view is correct only some of the time and only in some ways, as in the paradigm case of the oppressed, then it is still a terrible thing. Individuals who are racially excluded and socio-economically disadvantaged (as well as gender subordinated) lack access to any kind of entwinement, but *not* because they are incapacitated with respect to internal goods or virtues. Internal goods exist here in the ghetto, too, of a necessity. It has something to do with people like Irene who despite drug use, petty crime, and mortality risks, have a propensity to, and bear the burden of, survival.

It also has something to do with the fact that race and racism are not simply issues of chromosomal makeup or phenotypical appearance, but also issues of the "values" placed upon what has been interpreted as phenotypically "given." Thus, in spite of biological evidence[ix] against the notion of races, which did not begin to emerge until well into the 20th century,[x] all of world history - beyond accounts of Black and/or the oppressed struggles for freedom - questions the humanity of Black people. Black defiance to

dehumanization has been historically categorized as madness.[xi] In certain circles,[xii] it has already been concluded that the racially excluded or oppressed moral agent functions as the breakdown of reason, which situates all of Blackness in non-rational, non-cognitive categories. Faced with unreason, nihilism gnaws at Black existence. The oppressed becomes an existential enigma, and that ominous question from above looms again, *why go on*?

In a highly politicized narration of freedom and violence, the contradictions in consciousness expressed above in regard to the phenomenal experiences of Black people on the periphery reveal an overarching concern of mine with the ideas, attitudes, and values that guide the administered world. The administered world is established as the dominant social-political influence in shaping individual and community values and judgments, and it includes all aspects of ghetto pathology. Each dimension of individual consciousness reveals something about the network of values and judgment in a social system that engenders both oppression and the oppressed individual, becoming a facet of one's fully empowered imagination, and imposing form and meaning on a life codified and situated within social-cultural processes.

Out of this experience emerge archetypal figures of a community impinging upon ghetto marginality: mother and (father), (teacher)[xiii] and preacher, cop, landlord and politician, colored immigrant, street dweller, shoplifter, sex worker, and drug abuser. Each is a point of access in identifying the origins of self in an invisible community.[xiv] No overcoming of violence or liberation ethic can emerge without a critical understanding of the self, or the human reality spearheading these archetypal encounters.

Neither liberation nor violence makes any sense without the understanding and recognition of the humanity of those who are to be liberated. But there is struggle involved in negotiating the relationship between impinged community and the situated, oppressed human being. There is also the insurrectionary struggle raised against the historical project of conquest, slavery, and colonization that has emerged since 1492.[xv] These struggles are often marked by a contrast between how the "modern" or "postmodern" communities are often characterized in the Western academy, and how life has been lived by those on its periphery or underside.

For those members of the oppressed locked in a situation that demands a struggle with

overarching social-political and ideological structures, purely ethical demands of transformation become futile. The mere presence of the ghetto and its inhabitants raises too many anxieties over the reported "goodness" of the system, and this includes a system of virtue. The affirmation of a social system in which external and internal goods (a set of virtues) forms an integral part hinges on the denial of ever having illegitimately excluded anyone. Irene, then, and everyone like her, is a reminder of injustice in a system that is supposed to have been wholly good, or that is supposed to have at least affirmed everyone's capacity to *be* wholly good. Therein lies the root of psychological discomfort felt by those who stand at an epistemic distance from *that* kind of struggle.

A BLACK LIBERATION ETHIC

There can be no question that European conceptions of appropriate philosophical discourse and the false universalism of so much European thought has tended to hold sway not only in intellectual communities, both Black and white, but also in so-called "common sense" and practical life. As we delineate ideals that help shape an individual's relation to the life of his or her community - a social life that is largely responsible for the particular contour of the individual's ideals - we must also evaluate and counter the dehumanization to which Black people and oppressed people (and their manner of thinking) have been subjected throughout the history and experience of European racism, social-economic disadvantage, and gender inequality. Central to the theme of dehumanization is resistance to it.

Further, we must also help to counter the self-dehumanization of the white person of privilege, which is a product of the same history of racism, class-ism, and sexism and presently manifests itself in a sort of poststructural conflict of irreconcilables between divisive practical imperatives and formal, albeit incompatible, absolutes.[xvi] Finally, there can be no tearing down of one set of "absolutes" without the erection of another, perhaps more useful, set.[xvii] We cannot delete everything without saving something. "Universality" may as yet be impossible, but it is nonetheless necessary. While each universal is publicly evaluated as false, the evaluator is privately privileging some particular content, and excluding another. Our battle is no secret: it is to determine which universe will be accepted as true.

I will endeavor to provide standards by which to measure the virtuous content of marginal Black life, its character traits, images of personal identity and social organization. Not by way of disconnected, ontological studies, but by illumination of and immersion into the individual motives and concrete experiences of human beings in "underside" communities. The overwhelming impression felt by underside constituents is that individual freedom is severely limited, perhaps even altogether illusory. Street ideology and archetypal figures seem predetermined, and any attempt to alter them by imposing one's will seems foredoomed. The underside community is one in which government, corporate business, universities, electronic and print media, and all aspects of human activity align to develop expectations about individuals and their capacities, which helps shape self-conceptions and ultimately influence our individuals motives, desires, and expectations.

Add to this historically and socially developed theories of racism, class-ism, and sexism, and the capacity for people thusly "marked" to revise destructive expectations about their characteristics and to develop a robust knowledge of themselves is undermined. In lieu of corrective interpretations, such violent administrative forces give functional and empirical valuation to arbitrarily and artificially construed categorical elements. At that point, an abysmal jump to the "objective" criterion of scientific truth in the realm of "rational absolutes" leaves little or no hope that any positive determination of a Black, oppressed individual self may be obtained.

> It is this particular triumph of society - and its loss - that it is able to convince those people to whom it has given inferior status of the reality of this decree; it has the force and the weapons to translate its dictum into fact, so that the allegedly inferior are actually made so, insofar as the societal realities are concerned.[xviii]

Perhaps now we can begin to identify with the plight of *survivors* like Irene. Largely miseducated and marginalized, "Irene" is locked inside a ghetto collective where a virtual jail cell is erected to contain her living black body, as well as the life of her mind. *I try to take care of myself but everything gets me down.* Within this limited metaphysical space, she nonetheless conducts a life of quiet desperation, which is sporadically punctuated by desperate acts of a more violent and utterly self-destructive nature. *Nobody should look at*

you as weak. She eschews a life without knowledge, but the more she learns about the mechanisms of the world, the less certain she is about her function and role in it. . .*everything is coming at once*. The deeper the complex network of dehumanizing fictions (i.e., you *chose* drugs, you *chose* homelessness, you *chose* prostitution, etc.), the less she is able to *choose* the relevant mechanisms to constructively affirm her feelings, thoughts, motives, wants, needs, and desires, in a word, her identity. Cornel West offers insight into the frightening result:

> . . .a numbing detachment from others and a self-destructive disposition toward the world. Life without meaning, hope, and love breeds a coldhearted, mean-spirited outlook that destroys both self and others.[xix]

A lot of things happen around me. "Irene" falls into a monotony that is shared in the daily life of the ghetto collective. A life without knowledge shared among those without title, without sense of tomorrow. No sense of community or political project. No God, no concept of morality. Nothing is sought. "Irene" merely undergoes a factual existence. Everything is everything day in and day out, but motivation and desire are torn from inside out. Crucial social interactions, including racist phenomena, are accepted, excepted, or temporarily avoided depending upon cognitive disposition and physiological condition. The question of values doesn't arise until after "choices" have been made, by then it is too late. All the actors in this world are in a sense, "guilty without guilt." For those who suffer under conditions of oppression there is often no reason to act or not to act, to feel remorseful for vicious behavior, or to feel virtuous for goodness' sake because all seems predetermined. There are agents and non-agents, victims and perpetrators, and here they are all the same persons.

Participation in this life brings about a dilemma. *When I use the drugs I can stop them.* "Irene's" inability to constructively affirm her identity in the past has left her privately craving acceptance, the experience of violence and exclusion producing bitterness. Of course, any outward manifestation of bitterness brings charges of madness and actually intensifies the social isolation, creating situations she must mollify with drug use, which is a mindfulness that quickly turns to tragedy. Drug use allows her to embrace the violence and oppression of the underside, it turns mortality risks into secondary risks, and

"Irene" suffers *quietly*.

So, how does "Irene", who is undervalued at every means, bring forth character traits infused with a set of positive life affirming values in a society that will not accommodate her in any "new" manner of thinking? The challenge is to develop and utilize character traits that will enable her to survive her marginality long enough to effect improving and changing circumstances for self and community. In other words, what "drugs" can we offer her that will free her mind rather than further ensnare it?

Anger is a Gift

> Think what you like about society and its goodness toward the downtrodden, but the experience of oppression is different. To recognize the absurdity of the experience is a revelation, and the anger which ensues is a gift.[xx]

We can identify six principal virtues or character traits necessary to thrive in conditions of oppression. The first three are primary virtues around which all the others revolve. They are called

- Resistance
- Persistence
- Imagination

The next is an intellectual virtue, which in some sense encompasses all the others, even from its satellite position. It is called

- Mindfulness

After that comes a newer, more interesting category of virtue that is difficult to define. Perhaps it is best to call it a social or civic-minded virtue, as its ultimate aim is altruistic. This Liberation Virtue is called

- Responsibility

Finally comes my most troublesome category, a virtue of emotion, or emotions that inculcate virtue in such an intimate way that it becomes impossible to distinguish between them. My emotional virtue is called

- Anger

From here until the end of the essay, I will offer a brief account of the merits of each

virtue, just a little bit about why they were chosen. Indeed it was never my intention to provide a full-fledged analysis of them, or of the Black Liberation Ethic that I hope they inform. It was only my intention to move *toward* this ethic of virtue, and to explain why such a revisionist project is necessary. It is surely my belief that each individual virtue listed above is a proper candidate for its own journal length exegesis. Perhaps that is a task to be taken up by someone better versed in these traditions than I am. I hope so.

For my purposes, then, it is best to begin with the last and most contentious of these virtues, that of anger. The subtitle for this section reads, "anger is a gift." But is it a virtue? Well, we know for sure that anger is an emotion. Taking heed of Aristotle once again would commit us to the view that virtue could not be a simple emotion or feeling because it is for virtues and vices that we are praised and blamed. Since (1) we are not blamed for being angry as such, but for giving in to our anger, or for being unreasonably angry and (2) we feel anger without choosing to, but the virtues are a choice (or at least not possible without choice) then the virtues cannot be reducible to emotions.

But, in formulating the problem with anger in this way, we can already begin to see a resolution for members of the oppressed. I have tried to portray the underside world as sort of a dark reflection of phenomenal experiences in the external, social sphere. Sort of like what happens when an individual looks in a mirror, the image comes back seemingly exact, but it has in fact been inverted or reversed. Impinging at the margins, the world has been "reversed." So virtue at the periphery would be the opposite of virtue as traditionally defined.

What appears to be vicious from the perspective of standard policy is virtuous in that it becomes the best (sometimes the only) way to survive. To apply a conception of *reversal* where all is reciprocated, inside out, upside down, and backward forward is to imply a world in which thieves and murderers have become judges, and use the dictates of a surreptitiously designed law to pass judgment on the wretched and the innocent. It is to say that under conditions of oppression (1) we ought not to be blamed for giving into our anger, but for not being angry as such and (2) although we feel anger without choosing to, it is our fear of anger, or fear of the violence it so often reciprocates, that leads us to choose to abandon it. Moreover, it is often said about members of the oppressed that they are in fact "unreasonably angry," but given a charitable reading of

this essay so far, can that ever really be the case?

No. For these reasons, I find anger to be an appropriate response to the conditions of oppression delineated in this essay. Under circumstances in which survival is usually at stake, anger is not to be chastised, mitigated, or given up. Anger is a gift. And there is more. The process of socialization or the "education of the emotions" draws us so close to the formulation of our character traits that it becomes nearly impossible to distinguish between the two. At any rate, an attempt to distinguish between them becomes a meaningless intellectual activity.

Unlike the other animals, humans can express thoughts or perceptions about generic ideas of good and evil in sentences, which figure as expressions of belief in our languages, and are submitted for assessment as true or false, correct or erroneous, reasonable or unreasonable. And also unlike the other animals we usually get it wrong! That is, the human ability to draw a distinction between what appears to be the case and what is actually the case can potentially assume negative connotations if and when appearance becomes reality. Then what appears to be true is solidified in moral education and upbringing. As language is taught, so the emotions are trained, and values thereby indoctrinated. Emotions come to embody values in that we are taught to believe or respond to certain virtues (or vices) with certain emotions, i.e., there is *one right way* to respond to a certain act or event, and that this is a learned behavior. Clearly this right emotional disposition can go wrong when it is murderers cum judges who are teaching us.

Rosalind Hursthouse's work in virtue ethics reveals the complex and contradictory result of the education of the emotions, which "can be called into mind by considering a paradigm case of bad training, namely the inculcation of racism."[xxi] Hursthouse claims that Aristotle's virtue ethics makes room for the elimination of emotional reactions that lead to racist behavior because only Aristotelian ethics allows for the interplay of cognitive and non-cognitive mental conditioning, as well as the re-cognition that the emotions are trained (and thus can be untrained). Now you can see me working for and against an Aristotelian conception with respect to anger as a virtue. He may not have approved of it, but his theory certainly does make room for the possibility. And it is a possibility that the oppressed cannot afford to neglect.

Next let us consider what I have called the primary virtues, resistance, persistence, and imagination.[xxii] These are core virtues whose embodiment as character traits of individual functioning in oppressive society may decrease repressive conditioning by obstructing the pervasive psychological vulnerability always at work in marginal Black life.

Quite obviously, a disposition and power to resist is crucial to this effort. I have discussed a kind of theory of resistance, and I have provided examples of resistance both subtle and grand, throughout this essay. The struggle involved in negotiating the relationship between community and the situated human being can be characterized as resistance, where resistance assumes the qualities of an internal good. Also, the insurrectionary struggle raised against the conquest of modernity in the social sphere is here characterized as a veritable act of resistance to external authority. The emotional virtue of anger in many instances could very well inform one with a power of resistance.

Regarding persistence, earlier I had asked whether a *persistent* disposition is to recognize virtuous behavior as a sort of habituation or culmination of a lifetime of virtuous activity. If that is the case, what happens in the case of a "hiccup," where virtuosity is not maintained? Are we to judge the moral agent more severely with respect to the virtues and her apparent, though sudden, distance from them?

Although these were posed as rhetorical questions at the time, the implication, however subtle, was that without persistence in one's application, there can be no human flourishing. I would like to endorse this notion, but with the following caveat: We can be as perfect in any virtue as a human can be, despite being subject to external goods and social conditions, i.e., a quality of life that is partly good and partly bad.

Oppressed people stand at an epistemic and metaphysical distance from the acquisition of certain goods that Aristotle has deemed necessary for their success in the good life. Extending a conception of persistence to include oppressed constituencies, it therefore becomes necessary to think and work in some independence of these external goods. We are perfect in virtue, despite being subject to a paucity of external goods which are identical to conditions of oppression, as long as we keep circumstances from corrupting our vision, and as long as we *persist* in trying to eliminate the circumstances.

I spoke just now of vision, which brings us to the third primary virtue, that of imagination. The whole idea of a Black Liberation Ethic is the product of imagination.

Something for the oppressed to attach themselves to, or wrap their minds around. Something for which to live. Something more than the reality they are living today. For many of the oppressed who were discussed in this essay, they're attached to a crackpipe, their minds wrapped around that eternal fire. Under conditions of threats, dangers, and everyday violence, mortality risks like unprotected sex or injection drug use become secondary risks.

It becomes easier to see why some people may not understand the value of life until they have a stronger sense of what they are living for. Why live longer unless there is something worth living for? That something is the vision, the dream. The caged bird sings of freedom, and in her imagination, she flies free in unlimited sky. I'm slipping into rhetoric a bit, I know, but show me a better way to express the importance of imagination. Imagination is an obvious virtue in the ghetto. Take these three core virtues together, resistance, persistence, and imagination, and you can fly.

Next is mindfulness, an intellectual virtue of self-knowledge, self-awareness, and well-being. David R. Buchanon provides an ethic for health promotion that points the way to mindfulness:

> . . . well-being may be better thought of as a way of being in the world, a kind of presence in which participation in certain kinds of social practices promotes - and other practices retard - the realization of human flourishing. This framework holds that well-being is realized through engaging in social practices that cultivate the virtue (or disposition) of mindfulness, self-knowledge, and self-possession.[xxiii]

At its best, the virtue of mindfulness offers to all of those who experience oppression a path through which we begin to understand what it means to come to political voice. It is a process that always involves contradiction, the pain of death, and hope for freedom; a process through which we can become authentic, transcending our abject position in a society that hosts us, as we host it, and yet in which we are alienated.

Having come through this violence, for the first time, to a kind of self-awareness, now the oppressed are set to redeem their personhood. The presence of the criminal, street dweller, and small-time authority figure has brought us to an awareness of the contradiction that the ever-present possibility of death, and of the inability to affirm one's

existence, is actually understood more deeply as the assertion of the courage to *be*, i.e., the courage to affirm one's being by striking out at the dehumanizing forces that threaten being. When the oppressed become mindful of their oppression, they force the oppressor to look at them, to recognize them, to take their being into account, to admit that they *are*. Recognition by the other is indispensable to one's being.

Last is responsibility, the civic-minded virtue. If recognition by the other is indispensable to one's being, and yet we do not want to become ensnared in a sort of Hegelian dialectic in which vital aspects of being are ultimately negated, then we had better learn how to live well, not only for ourselves, but also with other social entities. Although Aristotelian ethics sees people as intrinsically social, there is not much in his virtues that recommends caring for others *for their sakes* (as this would extend beyond the bounds of self-sufficient reason). His attitude in this regard underlies the rational justification for being virtuous in Aristotelian ethics, but the attitude is mistaken.

Especially when you consider that certain social conditions are prerequisites to attaining the good life, as I have already discussed.

> Because material conditions are often harsh, haphazard, and plagued with adversities that no amount of individual effort could possibly overcome, the prospects for individual well-being are dependent on the justice of social conditions to an extent that we rarely appreciate. While sometimes losing sight of it, we continue to uphold an ideal of justice that beckons us to arrange our social institutions such that people are not subjected undeserved hardships or deprivations. Community well-being is here defined in terms of justice - the good order of institutions that insures that lives of integrity are the surest route to human fulfillment.[xxiv]

Surviving conditions of oppressions means committing oneself to this civic responsibility. That is to say, let's improve society, and advocate for a specific kind of community in which people are no longer oppressed, such that living virtuous lives are in fact the best approach to human flourishing. The community must change and evolve in order to allow fuller participation of those who wish to be virtuous and have a capacity for virtue. As I have noted, the idea of what can properly be called a virtue must change and evolve as well.

To conclude my discussion of living a virtuous life regardless of positionality, I want to return to the case study of Irene, the injection-drug using woman who precariously subsists through the street economy, and who completely encapsulates the three pillars of my argument, ethics, race, and public health. It is popular today to think that anybody anywhere can unlearn negative histories that placed certain designated individuals and groups at a legal and psychological disadvantage, and re-learn whatever is necessary to determine how to live a good life.

What if Irene was that somebody who dispensed with modern ideas of essentialism, a kind of egoism on the verge of solipsism, as well as ideas about positionality, privilege, material wealth, and prosperity as having anything to do with individual character and moral self-cultivation? After having done so, what if she then proceeded to apply the principles and tenets of a Black Liberation Ethic, as explicated here? She certainly could not undertake this mission lightly. And yet it is her duty because she and others like her will find it difficult to make progress in reducing problems like racism, drug abuse, violence and HIV unless she can reconnect with an ethic that makes life more meaningful, virtues that make life worth living and living well.

Yet there is an aspect to all of this that remains troubling. It is a thought but it isn't quite formative of an idea, better yet it is a feeling and an emotional response akin to looking into that eternal fire and watching your soul burn there for eternity. What if the proper use of the liberation ethic in the proper amount for the proper length of time leads not to a good or full life, but rather to a long stint in prison or a quick merciless death? Following the tenets of a Black Liberation Ethic may not lead to a better life, but death. This, once again, is the great *reversal*, the paradox of any Black Liberation Ethic.

The point is to say that in acquiring these liberation virtues, as I am convinced that we must, our choices begin to reveal valuations of self in contradistinction to the other. In this case, however, the "other" is also the "norm." To use these virtues in a struggle against the entire weight of modernity is to run up against the boundaries of a system we have recognized as corrupt. A system that nonetheless will do whatever is in its power to maintain the status quo. We know the disciplinary powers of any system in which virulent forms of oppression are key features are very great. And the choices that we make once we have assumed a liberation ethic will be considered abnormal, improper

with respect to the "norm." When facing judgement by "normal" standards, therefore, our sentencing will be swift, and harsh.

In a situation like this, it is the judge, with his sentencing, who actually commits the crime.

> There are crimes of passion and crimes of logic. The boundary between them is not always clear. But the Penal Code has drawn a convenient distinction: premeditation. We live in an era of premeditation and the perfect crime. We are no longer children who can claim love as an excuse for our actions. Rather we are adults and we have the perfect alibi - philosophy, which can be used for any purpose, even that of transforming murderers into judges.[xxv]

Looking up from down under, the wrong response is usually the right one. Wrong insofar as it goes against what the judges have taught us, but absolutely right if it is our aim and desire to return them to their murderous lot. There is no virtue in the ghetto beside a liberation virtue. Without it, what do we have? The answer is nihilism. A nihilism equally deep, equally enduring as any virtue, involving a characteristic motivation to counteract the certain desired, normative end of an administered world, a world that has been successfully brought about in this era of the perfect crime.

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[i] That is, "the historical project of conquest, slavery, and colonization which has emerged in the West since 1492 and the consequent struggles for emancipation in African cultures (as well as their hybrid forms in Europe, North America, Central and South America, and the Caribbean) which continue some 500 years later." Lewis R. Gordon, *Existence in Black,* from the Introduction, pp. 1-2.

[ii] House, James S. "Understanding Social Factors and Inequalities in Health: 20th Century Progress and 21st Century Prospects." *Journal of Health and Social Behavior 2001,* Vol. 43 (June): 125-142.

[iii] Source: A report on race and public health from the *National Center for Health Statistics.*

[iv] See *Mama Might Be Better Off Dead: The Failure of Health Care in Urban America* by Laurie Kaye Abraham. This is the story of Jackie Barnes, a poor Black woman in Chicago trying to navigate through the medical system to get care for her grandmother, father, and husband, all of whom have chronic health problems. The system's bias against people who are not white, educated, and insured is shown through the interactions between Ms. Barnes, her family, and the various health care professionals they deal with.

[v] This statement on how to live the good life finds its genesis in the area of ethics for health promotion and the work of David R. Buchanon. For details, see endnote *xix* below. Here, I have paraphrased a similar statement from Buchanon from his book, which is also cited below.

[vi] Epele, Maria Esther. "Gender, Violence, and HIV: Women's Survival in the Streets." *Culture, Medicine, and Psychiatry* 2002, Vol. 26: 33-54.

[vii] Happiness is, of course, not mine but rather Aristotle's starting point for the goal or for the sake of which

we might practice the virtues.
[viii] MacIntyre, Alasdair. *After Virtue: A Study in Moral Theory.* South Bend: University of Notre Dame Press 1997, 2nd ed., pp. 190-91.
[ix] For recent accounts of this pile of evidence, see works by Anthony Appiah. I am also aware that scholars across the board are making various other kinds of arguments against the idea of race; for example, cultural, ethnic, and metaphysical arguments.
[x] Prior to this time, biological notions of race were prominent in science, philosophy, literature, entertainment, popular culture, etc. all of which was incredibly hostile to any notion of the advancement of beings so racialized, as we are well aware. See works by Gobineau, Voltaire, D.W. Griffith, to name a few.
[xi] Psychiatrists and other health care professionals were particularly harsh in their assessments of Black patients. Prior to the 20th century, they were instrumental in setting a human psychological foundation for racist ideology. This problem would be exposed in the influential work of Frantz Fanon, a Black psychiatrist and revolutionary theorist of the 1950s-60s.

[xii] Again, my aim is to draw your attention to the undeniable history of racist doctrines and pronouncements which freely circulates through all levels of society and all aspects of human activity.
[xiii] Both father and teacher appear in parentheses because it is necessary to point out that, although clearly it is not always the case, there is a preponderance of absentee fathers in the ghetto. Men are certainly present, but they do not necessarily reside in the home with their families. Often you will find them on the street corners or in the alley ways, or in someone else's home in another part of the ghetto. Again, this is no indictment upon all Black fathers, many of whom are strong family supporters and worthy of admiration. Teachers suffer a similar fate in the ghetto. No teacher worth his or her salt, who passed the national teacher's exams with flying colors, would want to subject herself in any way to ghetto ideology. The teachers one does find in the ghetto are often, but not always, bottom dwellers, underachievers, lacking motivation, and even afraid of the anarchy that may follow if they actually dare their students to open a book.
[xiv] Invisible, that is, to mainstream communities where the dominant discourse belittles the periphery, if it recognizes it at all.
[xv] The insurrectionary struggle cannot be thought of as concluded simply because the last of these offenses I have listed here, colonization, has been flung into the dung heap of history. Today, we might characterize the struggle as that which is raised against the project of empire, globalization, or western white hegemony.
[xvi] Locke, Alaine. *The New Negro.* New York: 1933.
[xvii] Here, we can understand "absolutes" to be synonymous with values or virtues.
[xviii] Baldwin, James. *Notes of a Native Son.* Boston: Beacon Press 1955, p. 18.
[xix] West, Cornel. "Nihilism in Black America." In *Reflection: An Introduction to African American Philosophy* edited by James Montemarquet and William Hardy. Belmont, CA: Wadsworth/Thompson Learning 1999, p. 183.
[xx] Here is a strange interpolation of *Black Theology & Black Power* by James Cone.
[xxi] Hursthouse, Rosalind. "Virtue Ethics and the Emotions." In *Virtue Ethics* edited by Daniel Statman. Washington, D.C.: Georgetown University Press 1999, p. 112.
[xxii] For these core virtues, I owe a great debt of gratitude to the members of my ethics seminar, yes, the same people who were the objects of my scorn earlier with respect to Irene. Notwithstanding, after a long long time of careful deliberation on my own, it is my classmates to whom I must pay tribute for helping determine the set of core virtues. My classmates were (in no particular order): Nicole Springer, Maya Goldenberg, Allison Crane, Anders Kelto, Nelda Koralewski, Rory Kraft, and my Professor Judy Andre. Thank you all. Now I challenge you with the task of criticism, analysis, and filling in the sizeable gaps I have no doubt created in my effort to contribute something meaningful to the intersecting fields of race theory and virtue ethics.
[xxiii] Buchanon, David R. *An Ethic for Health Promotion: Rethinking the Sources of Human Well-Being.* New York: Oxford University Press 2000, p. 104.
[xxiv] Buchanon, p. 103.
[xxv] Camus, Albert. *The Rebel.* New York: Vintage Books 1984, 1956, P. 1.

You's A Gangsta, Prove It:

African American Vernacular, Oral Traditions, and Miscommunication in Hip-Hop Music

by Elizabeth J. Colen

For the transmission of a culture—a peculiar way of thinking, feeling and behaving—and for its maintenance, there is no safeguard more reliable than a language.
--T.S. Eliot

I dance to the beat, shuffle my feet
Wear a shirt and tie and run with the creeps
Cause it's all about money,
Ain't a damn thing funny.
--Grandmaster Flash "The Message"

"Black music" has always been popular, from jazz and blues to funk and soul. So what makes rap and hip-hop[1] any different?

One must generally at least *like* the beat or bass line to listen to it at all, but what about the language? Because the vocal accompaniment to rap and hip-hop is *rapping* (and not singing) the music maintains a more unique relationship to language than do other genres. The language of rap in the United States (with very little exception) is in the form of the AAVE dialect. However, "'the issue of rapping is not separate from the issue of being black. Hip-hop comes out of that pressure… [rapping has] a basic sense of being tied to the fate of black people'" (Harry Allen[2] qtd. in Mills 1). African Americans "have a connected culture and experience that comes out in a shared language"

[1] Sources well-versed on this genre of music generally agree that hip-hop refers to the music/beat of a song and that rap refers to the rhythmic talking that "flows" over the beat. For our purposes the terms "rap" and "hip-hop" will mostly be used interchangeably, as they are in most cases in both popular and academic articles.
[2] once publicist for rap group Public Enemy

(Smitherman, Talkin and Testifyin p365). This shared language has a context that remains highly historical and traditional. It is because of this that different perceptions may often arise when one approaches the language of this music from a context that is outside of the experience and traditional context of the dialect.

Never to such an extreme degree has a genre of music been so criticized, from the inside and the outside—black, white, academic, congressman, man on the street, even those within the hip-hop community. They all have *something* to say. They tell us that "rap retards" (McWhorter), that it produces a cultural phenomenon akin to "Funk meets Nuremberg rally" (D'Agostino qtd. in Rose 285), that it is "vulgar," "repetitious," "stereotypical" (Sanders), that "the artists—if you want to call them that—don't have much talent" (Sanders), that hip-hop makes children violent (Henderson 330), that it "sends the message that blacks are… uncivilized" (McWhorter).

At the core of all of this is the language of hip-hop, which is firmly rooted in features of AAVE, and the critics are talking about that as well. Over the music, that "noise with a beat," are the lyrics, the "knuckle-dragging sub-pidgin of grunts and snarls, capable of fully expressing only the more pointless forms of violence and the more brutal forms of sex" (Bork qtd. in Ogbar 166-167). This shows the extreme variety of negative commentary on the language inherent in hip-hop, and the message is this: this language indicates a lack of intelligence and, well, civilization.

This last quotation comes from Robert Bork, former Supreme Court candidate, and highlights both of what I consider to be the key problems with most of the adverse discourse on the subject of hip-hop and rap. Firstly, for the most part this criticism comes

from admitted non-experts of the genre. When John McWhorter tells us the music is an "assault on the ears and soul" (4) and blatantly quotes Russell Simmons[3] out of context in support of his claim, it becomes hard to take McWhorter seriously. That is, of course, if one is coming to his argument with any basic knowledge of the form hip-hop. Simmons says, "what we used for melody was implied melody, and what we used for music was sounds—beats, scratches and stuff played backward" (qtd. in McWhorter 4). McWhorter uses this to support the claim that the music is indeed "ugly" (a term he uses later). To look at the evolution of the hip-hop form, however, is to realize that these elements are not poorly conceived by-products of the form, but rather trademarks of it[4]. And Bork's thoughts on African American vernacular in rap music do not really correspond to the accepted linguistic notion that AAVE is a highly rule-based dialect.

Both McWhorter and Bork represent the second key problem in public criticism of hip-hop. They are respected members of the community. People listen to them. If in their views things are taken out of context, essentially their view and the ways in which they use (and abuse) their sources *becomes* the new context.

This is not to say that there isn't anything to criticize in hip-hop music. Much of what the critics find repellent has to do with content. Since its inception almost (around

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[3] one of the original rap album producers, and arguably the African American who has made the most money out of the business

[4] Hip-hop music grew out of the desire to expand the bridge of funk and soul songs. The bridge is the part of these genres where the melody and lyrical accompaniment let off and the drum and bass lines take over, allowing for a focus in clubs for the most inspired dance moves to be highlighted. The DJs made a practice of expanding these melody-less sections of songs to foster the positive reactions of the crowd. So when McWhorter explains this key feature as a negative aspect of the form, it is kind of like faulting Monet for using oils instead of charcoal when he painted his water lilies. To dislike the music is okay, but to criticize the genre properly, one should attempt at least a basic knowledge of it. McWhorter (and many others) make the same value judgment on a style of music that is different than what he is used to hearing the way that much of the American public puts down different dialects that are not "lesser," just different. People don't like what they are not used to hearing.

1979) rap has been censured for lyrical content. At the start it was Black Nationalist ideology and political commentary ("…if you're hangin'/Your head, cold kiss it goodbye/Stand up for your heritage")[5] that made the American public nervous. In the mid 90s gangsta rap had more violence, less politics ("You betta watch how ya talkin/And where ya walkin/Or you and your homies might be lined in chalk")[6]. The "culture wars" of the mid 90s had congressmen and (quickly thereafter) the public responding to the question of just whether or not certain "vulgar" representations in cinema, visual arts, and music (hip-hop being the easiest of targets) were making any valid contribution at all to American culture.

This nebulous idea of "American culture" was rarely clearly defined in public discourse, which leads naturally to the question of just whose culture we were so worried about—our own or minority cultures infringing new ideologies into the mainstream. Were we worried that, as Russell Simmons says (qtd. in Mervis 2), "The niggers are coming"?

In the upsurge of widespread popularity for hip-hop, America was becoming more and more exposed to African American language and ideology. While the country was getting heated up over Oakland's Ebonics debate, rap represented a blatant failure to assimilate, to accommodate the established standard in content and language. Rap music, with its use of "Ebonics," stood out as an "outright defiance to a standard language ideology" (Alim, "Street-Conscious Copula Variation" 288).

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[5] Grandmaster Flash "I Am Somebody"

[6] Coolio "Gangsta's Paradise"

In the 1960s there was conscious attempt turn in the perception of dialect within the African American community as "no longer… something to be ashamed of, but rather… as a source of pride and inspiration" (Thompson 426). Dialect in rap music took this pride a step further by creating, for the young African American community, a "context where issues of identity and in-group solidarity took center stage" (Spady and Eure qtd. in Alim, "Street-Conscious Copula Variation" 288). While "black arts" had always been an outlet for conversation of these dialogues, the difference now was that that dialogue was becoming firmly established in the context of popular American culture. Young African American voices were being heard by everyone—not just the selected audiences who cared to listen—because now everyone was listening, black and white alike. And never before had it been so true to the dialect of young African Americans.

"The vernacular is a survival tool, encoding the culture's semantic dualism and expressing the 'double consciousness' necessary to negotiate the world… [AAVE] can camouflage or elucidate. Its sleight of tongue can hide a message from members of the larger culture, or feed it to them on the sly" (Rickford and Rickford 79). It is for this, the need to hide things, yet still communicate, that this tradition, this content, cannot be separated from the sounds of the speech[7]. John Baugh tells us in *Beyond Ebonics* that "It typically takes about three generations for an immigrant family to melt into the American pot, at least from a linguistic point of view. Why then… has it taken so much longer for

[7] "[AAVE] includes a variety of verbal (grammar, phonology, morphology, and syntactical patterns), nonverbal (posture, intonation, body language, attitude), and para-linguistic (brinkmanship techniques, survival mechanisms, rites of passage) characteristics that blend to form a vibrant and 'high context' system of communication" (Thompson 422).

the slave descendents to complete this transition?" (112). It seems apparent, in the prevalent ability of African Americans to code-switch into and out of Standard English, that this is something that *could* be done. African Americans could, in fact, "complete this transition" (and to some degree, some *do*). The point to be made however is that, in the case of AAVE, the language cannot be separated from the culture. To lose the dialect of AAVE would be to lose some of the culture and identity so deeply embedded in that language.

Rap music is "narrative over a minimalist rhythm track—a rhythm track that exist[s] solely as a basis for the artist to rap over" (Salaam308). The language, the voice, is primary. The word "rap" itself was originally used in the vernacular to refer to the romantic language of a man trying to woo a woman and moved into a more general definition of any kind of conversation in the 1960s (Smitherman, "The Chain Remain the Same" 4).

Queen Latifah tells us that, not only is rap "a creative outlet… it can become like a newspaper that people read with their ears" (Duncan 14). In this way rap can be (and is often in the young African American community) seen as a way to spread culture and disseminate information. If we believe, as Harry Allen, says that "the issue of rapping is not separate from the issue of being black" (Mills 1), then we cannot separate the content from the form of the language.

Historically, the dialect grew out of the desire for African Americans to communicate in ways that would not be understandable to others. "Blacks grew adept at creating new words and phrases in order to 'speak in code' or talk around the oppressor" (Smitherman, "Ebonics, King, and Oakland" 98). This holds true whether one subscribes

to the idea that AAVE "is the linguistic and paralinguistic consequence of the African slave trade" (Baugh 16) or to the idea that AAVE is a direct descendant from West African languages. What is obvious is the link to African oral traditions, which Geneva Smitherman discusses in her book Talkin and Testifyin. In the chapter entitled "*How I Got Ovuh*: African World View and Afro-American Oral Tradition" she talks about how these oral traditions play out in contemporary AAVE. These traditions include tonal semantics, the dozens, signification (or signifyin), braggadocio, semantic inversion and Africanized syntax. Smitherman wrote about this in the mid 1970s *before* the emergence of hip-hop. However, as she relates in some of her later work these traditions are represented again (and in full force) in the rapping of hip-hop music, and often to an exaggerated degree.

Tonal semantics "refers to the use of voice rhythm and vocal inflection to convey meaning" (Smitherman, Talkin and Testifyin 134). This tradition is said to give AAVE its "sing-song" quality, but the basic understanding of tonal semantics is that as the pronunciation (including what syllables are stressed and how) changes, so does the meaning of the word or phrase. This can change the context of a sentence or a word rather quickly. Of course, this is something that all English has, but not to the degree that AAVE does. For instance, when Coolio raps "I'm an educated *fool*," with a stress on the word "fool," the understanding is that fool becomes the operative in explanation of his schooling. The importance of the stress in this context is that he is not a fool who has been educated, but rather a fool *because* of that education.

The dozens is a tradition of playful insult. "This linguistic-cultural practice involves what Black woman writer Zora Neale Hurston referred to as 'low-rating the

ancestors of your opponent.' Although any relative may be the target of a *snap*, the mother is generally the preferred subject" (Smitherman, "The Chain Remain the Same"13). These insults most commonly start with "your momma…" and are not meant to be taken seriously.

Signifyin is another practice of playful insult, but in this the subject him/herself is the target of the "snap." Although signifyin is often meant to be taken lightly as well, it can be a way to try to show someone their own foolishness. In contemporary rap music this has been useful for the feminine voice to get her point across smartly, "female rappers use this age-old rhetorical device to launch offensives against the sexual objectification of woman practiced by some male rappers" (Smitherman, "The Chain Remain the Same"14). So that when Jay-Z says:

> Take em out the hood, keep em lookin good
> But I don't fuckin feed em
> First time they fuss I'm breezin
> Talkin bout, "What's the reasons?"
> I'm a pimp in every sense of the word, bitch[8],

Queen Latifah can speak for all women and come back with:

> Ya been played and I think you know it
> You too large to even show it…
> I used you as a steppingstone
> Then when I was through, I sent yo sorry butt home…[9]

Rickford and Rickford explain the signifyin tradition this way: it is "a highly stylized lying, joking, and carrying on with such virtuosity as to inject one's message with metaphor and eloquence while elevating one's social status and parodying one's interlocutors or their attitudes and behaviors, [it] goes on every day in the backyards,

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[8] "Big Pimpin'"
[9] "Fly Girl"

poolrooms, and front porches of Soulsville" (81). This is the perfect way for one to say what they mean and not get in trouble for it, due to the casualness involved.

Semantic inversion occurs when a word or phrase takes on a meaning in usage that is opposite or nearly opposite its original meaning. This tradition became especially well represented early in African American dialect as they "took an alien tongue and made it theirs… created a communication system that became linguistically unintelligible to the oppressor, even though it was his language" (Smitherman, "The Chain Remain the Same" 17). One common example of this occurs in the use of "bad" to mean "very good." Rap artist Kam uses semantic inversion when he says, "People make the world go round/They ask me, What's up?/I tell 'em what's goin down" (qtd. in Smitherman 18).

Braggadocio is a way of speaking in which the speaker "projects himself as a powerful, all-knowing, omnipotent hero, able to overcome all odds" (Smitherman "The Chain Remain the Same: 12-13) and has been present in African cultures for a very long time. Contemporary versions of this practice can be found in almost any rap song, such as when Jay-Z raps, "Welcome ladies and gentlemen to the 8th wonder of the world, the flow of the century."[10] This is a rather harmless version of braggadocio, where it doesn't really matter how literally a listener takes this boast.

Other arenas of African American conversation sustain this tradition as well, from living rooms to pulpits. Smitherman tells us that it is acceptable and even fairly standard for a preacher to get up in front of the congregation and show off what he's wearing: "'Y'all didn't notice the new suit I got on today, did y'all? Ain the Lord good to us?'" (Talkin and Testifyin 93). Such informality on a Sunday morning in many conservative

[10] "Izzo"

churches would be looked on unfavorably. However, this tendency for casual braggadocio in matters of status and material goods is not uncommon in African American conversation. "Given the unity of the spiritual and the material, the sacred and the profane, in traditional African culture, it is not surprising to find the 'circle unbroken' in Black America" (ibid 92). So how strange is it that what is acceptable (though might not seem acceptable to the more conservative leanings of European Americans) in the church would also be acceptable in music? It should stand to reason that the preacher quoted above is not particularly vain nor taking his position as a leader in the community lightly when he says such things, but rather that he actually uses his new suit as a way to both slip into conversation with the congregation casually and to pay respect to a higher power for the things that he has. The audience understands the context in which the statement is presented. When this tradition carries over into hip-hop music however, the audience is different. No longer is the speaker standing in front of a church crowd of similar cultural heritage, but rather the whole of the American public. Necessarily the content changes as well.

The tradition of braggadocio is questionably the cause of much of the misconception within rap music. One clear (and, well depending on who you ask, relatively harmless) example of this comes from Marshall Mathers (a.k.a. Eminem):

> Fix your bent antenna tune it in and then I'm gonna
> Enter in, endin up under your skin like a splinter
> The center of attention, back for the winter
> I'm interesting, the best thing since wrestling
> Infesting in your kids' ears and nesting.[11]

[11] "I'm Back"

In this, the speaker not only uses braggadocio to exaggerate the importance of his return to the music scene, he uses signification to play on the popular criticism that rap is harmful to children. Just what might happen when this voice continues "nesting" in your kids' ears? Admittedly Eminem is a white artist, but he raps in the style of the African American vernacular.

Braggadocio is even more prevalent in gangsta rap[12]. Here is an example from N.W.A.:

> When I'm called off, I got a sawed off
> Squeeze the trigger, and bodies are hauled off
> You too, boy, if ya fuck with me
> The police are gonna hafta come and get me
> Off yo ass, that's how I'm goin out
> For the punk motherfuckers that's showin out
> Niggaz start to mumble, they wanna rumble
> Mix em and cook em in a pot like gumbo.[13]

The hip-hop artist rapping in this case specifically is Ice Cube. It is important to note that before becoming a popular rap artist Ice Cube led a solidly middle-class life, living in a middle-class neighborhood and attending college. Although Ice Cube may never have "squeezed a trigger" or even held a "sawed off" (shotgun), the narrator of this song has. While some members of the hip-hop community may look down on him for presenting a false image of himself through such an untrue "gangsta" persona, and others outside the hip-hop community may reproach him for the use of violence in his narrative, he is establishing himself firmly in the long line of braggadocio storytelling. The real problem

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[12] Gangsta rap is the style of rapping in hip-hop that is primarily focused on lifestyle and ideology that involves violence and drugs. Claiming one is a gangsta (whether or not it is true) and rapping appropriately is one way to try to boost street credentials of toughness.

[13] "Straight Outta Compton"

arises though when one considers all the ways in which this lyrical content may be evaluated and by whom.

Davis and Gandy tell us that, "racial identity may play an especially powerful role in shaping our response to mass media" (367), and that "the everyday experiences of African American women and men determine the values, norms, beliefs, and morals that become fundamental components" (368) of this identity. African American Vernacular, in the way that it is historically bound to all of these aforementioned features, shapes this identity as well. Even early on in schools the link between language and racial identity is apparent, as "many minority students [resist] educational efforts to advance their standard English proficiency because they [do] not want to 'sound white'" (Baugh 81). And, in the case of Americans who speak in the Standard English dialect (rather than AAVE), they may construct their identity in part through the noted difference between their "correct" dialect and the "incorrect" dialect of AAVE. This "othering" of AAVE speakers is something that then may become racially charged as "incorrect" often leads to questions of intellect.

It is no secret that others feel about AAVE the way that Bork does—that it is a "lesser" and "lazy" way of speaking[14]. In this opinion there is not the understanding that

[14] Features of AAVE are, in fact, often exaggerated in rap music. Rickford and Rickford tell us, "they [vernacular syntax and punctuation] often take on an even grander flavor—becoming even more evocative and 'in your face'" (73). H. Samy Alim illustrates in "Street Conscious Copula Variation in the Hip Hop Nation" that, while forms of the verb "to be" may be absent in a rap artist's songs the majority of the time, these same forms (*is* and *are*) are much more prevalent in the conversational speech of these same artists. This supports the notion that most rap artists are "adept at code switching, they… could employ 'standard English' in their rap lyrics. However, in their quest to 'disturb the peace,' they deliberately and consciously employ the 'antilanguage' of the Black speech community, thus sociolinguistically constructing themselves as members of the dispossessed" (Smitherman 1997, 11).

This dialect enhancement can result in a duality of interpretation. While this may reinforce a sense of community and dialect pride to young African Americans—"for Black youth in particular rap provides a powerful force for identity, solidarity, and emotional reinforcement" (Powell 245)—it may also reinforce to less informed Standard English speaking audiences that the language is unintelligible, that

most of the grammatical and syntactical features in AAVE are rule-based and that many features (as well as the oral traditions discussed) emerge from a need to bring more meaning into speaking than that which Standard English provides. When someone brings this already negative connotation against the dialect to a rap song where the dialect is so integral, it cannot be surprising that this same person would also come away with a negative impression of the song, and likely the genre, in question, regardless of the content.

Looking at Ice Cube's rap with this in mind, it becomes obvious the many differing interpretations his words could yield. In the context of the oral traditions inherent in AAVE, one should realize that Ice Cube's narrative includes nothing more than a scene of braggadocio (among other oral/lyrical features less prevalent in the quote), a way of puffing up both his ego and his image of "gangsta," toughness, his "don't-mess-with-me" attitude (albeit in a manner that is lyrically very violent). Without the knowledge of the speech patterns and traditions in AAVE, one may interpret Ice Cube as a man who actually engages in this type of activity, or as someone who feels that he *could*, someone who fantasizes about having the power to walk through the streets "squeez[ing] the trigger" so that "bodies are hauled off." This is a scary image indeed, if the image is taken somewhat literally. If lyrics such as the ones here in Ice Cube's "Straight Outta Compton" *are* taken at face value, it is not at all hard to see how critics deem rap an "uncivilized" musical form, and in turn to see those who create it as uncivilized individuals. And for this reason, as rap/hip-hop is in fact "black music," "why wouldn't [hip-hop's bloody… lyrics and videos and criminal behavior] have a

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"there is something just plain 'bad'" about the dialect. (Hinton qtd. in Monaghan 4) and that their (the SE speaking audiences) are superior to those rapping in the vernacular.

powerfully negative effect upon whites" (McWhorter) with regards to their perception of African Americans as a whole?

From *within* the hip hop community the criticism of rap musicians primarily stems from the turn (in mainstream/popular rap music) away from Black nationalist, political and community building ideologies (where most of the lyrical content in hip-hop music began) and into money, drugs, violence and misogyny. There are those artists who still focus primarily on the more "positive black ideologies" (Will Smith, Digable Planets, Ras Kass, and others), but they are generally not the ones receiving popular interest. "True lyricists in hip-hop are ignored because listeners cannot relate" (Ras Kass qtd. in Ogbar 178). This creates the market for gangsta rap which "increasingly plays to a White audience and is widely consumed by White youths who find little difficulty accepting the stereotypical criminality of Black youth and the degeneration of Black women" (Henderson 335). Here, instead of the original positive ideologies being put forth, hip-hop music reproduces and advances the easily decipherable binaries of Black/White, bad/good, criminal/citizen that the American public is already so comfortable with**.**

The shift in ideology represented in popular hip-hop music directly coincides with a shift in audience. Throughout the eighties the primary audience for most of rap and hip-hop was young African Americans. Today the audience is known to be about 80% white, and "they've made hip-hop a $10 billion-a-year industry" (Davey-D). In the early nineties, with the upsurge in white audiences (and white rappers[15]) giving rap music a more mainstream appeal, the discourse needs necessarily changed direction as well. As

[15] although most early white rap artists were criticized for"just mimicking what [they] think black is" (Mills 1).

the size of the audience grew, the major record companies began buying out independent labels. Because of this less and less of the money made in "black music" was actually going to Black people. As a result, a large percentage of African American rap artists were now working for record companies, headed by white executives. Russell Simmons explains that "in six months every major has put out more rap than I have in six years" (qtd. in Sacks 3). In this way, it can be said that the record companies commodify the purveyors of "black music" and encourage a perpetuation of negative stereotypes.

This wider audience no longer wants to hear the Black ideology (as the majority of them are, in fact, not Black) and the shift in content brings gangsta rap. "The vast majority of today's 'gangsta' rappers are, at the systemic urging of record companies big and small, simply copying copies—repeating and rerepeating the same tired words and themes heard countless times before" (Salaam 305). The tough image (often in braggadocio) that rap artists project serves several functions. The first function is that of trying to convince the young black audience that they (the artists) have not sold out—that no matter how much celebrity they achieve in the public sphere they still maintain their racial identity and street credibility. Although maintaining street credibility can be done in mild mannered ways (like Jennifer Lopez implores, "don't be fooled by the rocks that I got/I'm still Jenny from the block[16]"), more often that not it is not mild-mannered at all:

> All you jealous assholes is rebellious assholes
> Still trying to recoup from the first album assholes
> You's a gangster, prove it
> Wanna shoot me, do it

In this quote, from L'il Kim's "You Can't Win," the speaker is talking to anyone who would say that success has made her soft.

[16] "Jenny From the Block"

Setting forth a tough image is a way for rap artists to give a nod to the young African American audience to indicate that they (the artists) are not pawns of the record company (whether or not they may actually be). The violence conveyed is meant to be understood figuratively, not literally by the young African American audience[17]. It can be suggested that these gangsta personas may have a separate (and double) meaning intended for the White audience. The gangsta persona portrayed by a rap artist at times stands as something of a warning that African Americans can no longer be oppressed. The problem with this though is that this need for the rap artists, who are speaking for those "who have been physically and psychologically castrated during their North American internment," to assert their "strength, potency, and bravado—[that] must be larger than life" (Rickford & Rickford 84) is that the positive connotations that they are trying to relay to young African Americans correspond directly to the "white aesthetic principles" where, for example, "no movie can possibly claim black authenticity without getting most of its characters high" (Lyne 53). This white aesthetic transfers into rap music in the form of drugs and violence. This is what the white audience expects and wants. The meaning conveyed to black and white audiences is double and separate but very closely related. What stands as opposition to the dominant discourse in one context, supports that discourse in another.

America has always separated people because of race and, while it seems that hip-hop music may be a way to subvert this expectation, a way to bring African American

[17] Now, notably sometimes art does imitate life (or perhaps it is the other way around) . Tupac Shakur and the Notorious B.I.G. were actually murdered. P. Diddy got mixed up in a club shooting. Snoop Dogg had to sneak out the back door at the MTV award show because the police were looking for him. 50 Cent has been shot at least a dozen times and survived. But for the most part these are fundamentally middle-class individuals parlaying violent images to the American public.

ideology and language to the forefront of mainstream culture, and an opportunity for "many whites [to] play 'cultural-catch-up,' [by] letting the Black masses dictate what is in vogue and authentic" (Alim, "Street-Conscious Copula Variation" 299), more often than not the separation holds and stereotypes are maintained. "Hip Hop culture in general, is a cultural phenomenon that remains highly misunderstood and marginalized by those who do not, or cannot, grasp the linguistic-cultural aesthetics, traditions, and ideologies…" (Alim, "On Some Serious Next Millennium Rap Ishhh" 61). Just as "television and movie industries have turned the language of Blacks into a cash cow" (Thompson 422) instead of prompting an understanding of the inherent value of that language, this commodification happened as well in the music industry once rap music showed it could be profitable (and became highly appropriated by the major recording labels).

While rap music could bridge the gap between established binaries both racially and linguistically (and in some cases it does), for the most part this is not what is being done. Popular rap and hip-hop music, being so closely interrelated to the language, undoubtably has positive effects. Rap is a way of being in the world, successfully, while still maintaining the AAVE dialect—for the first time ever really—and has done much for the self-esteem of young African Americans with regards to language and culture. "Rap's emergence has facilitated the rise of many creative young African Americans, some of whom are keenly aware of the educational potential of this unique musical form and of the influence they, as rap artists, exert on today's young people. Some public school teachers have determined that rap is an effective teaching tool when used to enhance the self-esteem of Black youngsters" (Powell 257). With regards to where rap

and hip-hop stand in American culture and the established dominant discourse, however, the views do not seem so progressive. While this innovative form of music serves as a point of contact for white youth to access black culture, without a responsible reading it serves mainly to perpetuate racial stereotypes.

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1. Title: "Significant Other: Occidentalism and Staging the American in China"

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6. Abstract of paper:
This paper will be a summary of the author's study of stage representations of foreigners, particularly Americans, during the past fifteen years in mainland China. China and the US currently have a complex cultural relationship shaped both by the long history of Sino-Western relations and the present dynamics of post-colonialism. The emergent discourse of Occidentalism is used to situate these stage representations, which function as racial stereotypes, nationalist expression, theatrical innovation, and political strategy by intellectuals in a censored artistic environment. Occidentalism is identified as a discursive practice that is inextricable from, and yet radically different than, its precursor Orientalism. Contemporary Chinese plays that contain American characters include themes such as immigration, exile, cultural collision, and interracial romance. Formerly played by Chinese actors in "whiteface," these roles are increasingly cast using expatriate actors living in China, and their participation/intervention in these projects raises compelling questions about the future of theatre in the PRC. The author's book-length study, published by University of Hawaii Press, will be available for sale at a discounted price at the conference.

Liberal Political Memoir:
Demanding Access Through Challenge Strategy

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My paper is an exploration of how Liberal Political Memoir makes use of challenge strategies as ways of demanding access for Liberal Political agendas such as voicing minority and marginalized concerns. Because I am applying linguistic terminology and political insight to a literary genre, my work is mostly invention and imaginative connection. I am interested in the challenge strategies used in these works and to my knowledge there is little discourse in the field on this topic. These challenge strategies are the articulation of the author's political agenda and desire to incite the ideal reader to civil action. The negative rights of a citizen are those rights that act as freedoms form imposition by the state, just as negative politeness strategies are those that attempt to minimize impositions upon other agents. The Liberal Political Autobiographer realizes that she/he must make the imposition to the actual reader as slight as possible, or at least to mitigate the imposition on the reader through appeals to logos and ethos, but most significantly to the pathos. Such calls to interaction with the text and further action beyond it, involve two types of challenges, the "request" and the "promise". The request is the authorial invitation to the reader to engage on a sympathetic or hopefully empathetic level with the text. Without a high level of involvement in the text the promise portion of the challenge will be difficult for the author to assert. The promise is the autobiographer's pledge to continued political action in which the reader is challenged to participate. These rhetorical and linguistic devices include politeness and structural moves that encourage the actual reader to this necessarily interactive (pathos driven; I wouldn't want to be treated like this, how terrible) involvement with the text, as well as encouraging the idea reader as an agent of civic action (ethos; this is wrong, logos; this doesn't make any sense, it's not legal), to move beyond the meaning and context of the written work to apply Liberal rhetoric to the political state. I have been influenced greatly in this work by Paul John Eakin's genre defining works on autobiography, and also the Connor and Mauranen scholarship on such imposition-laden writings such as grant requests. I have selected three authors of Liberal Poltical Memoir as examples of the pathos of the human experience as catalyst for change. I have chosen Azar Nafisi's Reading Lolita in Tehran, Che Guevara's Reminiscences of the Cuban Revolutionary War, and Harriet Jacobs' Life of a Slave Girl as works for consideration. I believe that this area is a vital one for study as it not only shapes the direction of composition and literature, but also is rapidly becoming a more effective and non-violent form of social and political revolution.

Museum Design: Space for Art or Work of Art

Architecture

Paper Session

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Museum Design: Space for Art or Work of Art

Purpose
A veritable explosion of new art museums and museum expansions by renowned architects has appeared on our urban landscapes in places like Bilbao, Los Angeles, Ft. Worth, Toronto, St. Louis, Bellevue (WA), Milwaukee, and Cincinnati among others. Much of this activity is attributed to what is now called the "Bilbao Effect". This unprecedented building of museums has sparked ongoing debate about this phenomenon and the quality and nature of the architecture and the exhibition spaces. This presentation is an inquiry into the process of how and why with the objective of raising questions and generating dialogue.

Context
The "Bilbao Effect" is the "build it and they will come" concept. Cities are commissioning prominent architects to create significant and, expectantly, iconic architecture. As demonstrated in Bilbao, the benefits can be enormous. It puts the city on the map. It acts as an economic catalyst. It raises the profile of the institution. The importance of great civic architecture is without question. For centuries, the erection of buildings and monuments has imparted definition and distinction to our cities. From temples and cathedrals to museums and symphony halls, these structures are a public art form and integrally identified with their locality. The focus of the debate seemingly centers on the question of these buildings as works of art versus spaces for art.

The issues being raised by critics, architects, and curators are related to mission, communication, planning, priorities, programming, and design. Is the art less important than the design of the building, the impact on the urban environs, and/or the financial impact on the local economy? Should the architecture compete with the art or, by the quality and nature of the space, dictate the type or format of the shows? Are the so-called "flexible spaces", like so many multipurpose spaces, destined to serve none well? Is there any doubt that the interior architecture should serve the intended purpose, i.e., the exhibition of art, William Thorsell, Royal Ontario Museum, says the important thing is that it be great architecture. Surely, the equally important concern is appropriate, even excellent, exhibition space. Why this dichotomy? The debate would suggest that this is an "either-or" problem. We, as designers and architects, assume functionality to be critical to the success of any project. So, what is the disparity with this building type?

Conclusions
Aesthetics and function are not mutually exclusive. A clear mission and the necessary data coupled with an open, even exchange between client and design team is critical. The efficacy of the exhibition spaces is rooted in the project objectives and the planning process. Communication and planning issues exist on both the design side and on the client side. The following questions, while not exhaustive, are offered in response and to stimulate further discussion:

- What is the mission of the museum?
- What are the true objectives of the museum project?
- Are these compatible?
- Does a permanent collection exist and what is the state and caliber of the collection and how will it be employed?
- What other types of exhibitions must be accommodated?

- What constitutes “good” exhibition space?
- How to define that, both in general and for specific types of art and shows?
- Who knows best?

- How do architects/designers collect the information?
- Do they interact with all the necessary museum professionals or just the board and administration in the programming and design process?
- Are the architects designing from the inside-out or the outside-in?
- Are they being responsive to the mission and objectives?
- Who knows best?

- Who are the stakeholders and do they have a voice?
- Have the Museum boards unequivocally established their mission and objectives and requirements?
- Are they presenting this information clearly and adequately to the design team?
- Are they too much in awe of the architect with an international reputation to stand firm?
- Is this a “first-time” activity for the museum board *et al* and should a consultant be used?
- Is there an internal dynamic that prevents needed information from reaching the design team?
- Are the curators left out of the process?
- Who knows best?

The Use of Historical Forms in Modern and Post Modern Chair Design

Other Areas of Arts and Humanities (Furniture Design)

Paper Session

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The Use of Historical Forms in Modern and Post Modern Chair Design

Purpose
History in the broadest sense—period style, tradition, heritage, precedent, custom—influences design thinking in myriad ways. Historical reference has been abundantly evident in all areas of design since the mid-1970s. This study examines the role of historical style and precedent in the creative process and uses chairs as the examples. In so doing, it is a synthesis of design criticism, theory, and method.

Methodology
This study looks at selected Modern and Post Modern chairs designed in both Europe and the United States since World War II that demonstrate historical application. It considers each chair within the philosophical and theoretical framework of the design movements. It looks at the theoretical position on historicism within each movement. It compares contemporary chairs to their historical source or antecedent chairs in the areas of form, ornament, materials and technology.

This study addresses the issue of how designers use history by critically analyzing the techniques used by specific designers who have applied history and precedent in the design of specific chairs. It describes, in detail, how the study chairs are derived from and yet, remain very different from their historical sources. It looks at the impact of new materials and technology on form-giving. Essential to this study is the belief that an historical form interpreted in a new material can be a relevant innovation for consideration as much as an original form that utilizes traditional materials or construction techniques.

Summary
This study demonstrates that the designer's approach is very much influenced by style or movement. These two design movements maintain opposing positions regarding the use and value of history in form generation. Modernism has philosophical and theoretical objections to the use of history, yet, offers examples of historical application. The use of history in form generation in Modernism is the exception rather than the norm. The historical form is passed through a Modernist filter of order and precision. In contrast, Post Modernism is expressly and overtly historicist. The use of historical reference is primal. The execution is stylized and extreme. In the 20th century, the major movements used historical form in ways never used before that were absolutely unique and innovative.

The history of design and architecture in the twentieth century has demonstrated radical shifts with regard to historical application and the use of ornament. The aesthetic and philosophical position of the particular design movement is typically the major stylistic determinant. New developments in technology, especially in the areas of materials and methods of manufacturing, have greatly influenced product design in the postwar period. The designer as form-giver is influenced by all of these factors. At the same time, designers are individuals with talent, imagination, and unique vision that are not absolutely defined or limited by a particular movement.

1. *Early Examples of Committed Intellectuals in France*

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6. Abstract

Most histories of the French intellectual take the Dreyfus affair as a starting point and argue that the committed intellectual was born on January 13, 1898, when Zola wrote his famous open letter to the editor of *L'Aurore littéraire, artistique, sociale*, Georges Clemenceau (later Prime Minister during World War I), who gave Zola's long letter its now world-famous title, *J'Accuse*. In this paper, I will look at the *affaire*, particularly the impact of Zola's intervention on the intellectual community. For all practical purposes, Zola created the modern-day committed intellectual--if not the term "intellectual"--and inaugurated a new age in the history of intellectuals, when those on both sides of the political spectrum--Left and Right--would leave their own work from time to time to take part in a national debate on an urgent and controversial issue. However, it would be wrong to assume that the committed intellectual in France appeared out of nowhere, so here I will be mainly concerned with several antecedents that illuminate common points as well as differences between intellectuals then and now and indicate some of the issues that still confront public intellectuals today.

Early Examples of Committed Intellectuals in France[1]

Introduction: *The Dreyfus Affair*

Most histories of the French intellectual take the Dreyfus affair as a starting point and argue that the committed intellectual was born on January 13, 1898, when Zola wrote his famous open letter to the editor of *L'Aurore littéraire, artistique, sociale*, Georges Clemenceau (later Prime

Minister during World War I), who gave Zola's long letter its now world-famous title, *J'Accuse*.[2] In this paper, I will look at the *affaire*, particularly the impact of Zola's intervention on the intellectual community. For all practical purposes, Zola created the modern-day committed intellectual--if not the term "intellectual"--and inaugurated a new age in the history of intellectuals, when those on both sides of the political spectrum--Left and Right--would leave their own work from time to time to take part in a national debate on an urgent and controversial issue. However, it would be wrong to assume that the committed intellectual in France appeared out of nowhere, so to begin with I want to examine several antecedents that will illuminate common points as well as differences and indicate some of the issues that will illuminate common points as well as differences and indicate some of the issues that I will grapple with in my forthcoming book.[3]

Zola was ultimately vindicated in his struggle for truth and justice when Dreyfus was finally rehabilitated in 1906. Unfortunately, Zola never lived to see Dreyfus a free man again because Zola died in circumstances that remain somewhat controversial to this day, some people even believing that he was assassinated. Over the years his opponents certainly had demonstrated that they would stop at nothing and were vicious enough to commit murder. Moreover, the Dreyfus affair contributed to the creation of a permanent, highly politicized and deeply divided intellectual community in France, which, however, continued to evolve in response to the political and social challenges posed by the early twentieth century. The Left was pitted against the Right but after the release of Dreyfus was unable to maintain a united front and gradually imploded. Leading *dreyfusard* intellectuals like the poet Charles Péguy lost their moral compass and gradually adopted the religious nationalism of the Right. Daniel Halévy (and his brother Elie) had defended Dreyfus with a vengeance, but they too would slowly move to the right. After World War I Daniel Halévy would adopt a position that was closer to Maurras' brand of nationalist royalism than to mainstream socialism. Other *dreyfusards*

like Jaurès and Clemenceau moved the struggle into the political arena, seeking to implement an ambitious social agenda. Ultimately, though, the progressive intellectual community lost momentum, which shifted to the right. The Union of the Left did produce a Clemenceau government (1906-1909), but it could not implement its ambitious social agenda and lost face when it repressed the unions following massive strikes that had turned violent; the Radical Clemenceau, soon known as "le premier flic de France" ["top cop in France"], called in troops to restore order. A period of instability ensued, during which France saw no less than nine governments in just four years' time. At the same time the French and the Germans squared off in Morocco, in a colonial dispute that suggested what lay ahead and fueled nationalist feelings in both countries. The conservative Poincaré soon returned to power and worked to reinforce the Entente Cordiale with England and an alliance with Russia, eventually creating the Triple Entente. The controversial law on prolonging the draft in France to 3 years exacerbated tensions further, returning the Left to power again in 1914. But by then it was too late to stop the inevitable onslaught of events that led to World War I.

By 1914 the *anti-dreyfusards* Barrès and Maurras, with his newspaper, the *Action Française*, had been able to develop a strong sense of national unity around the traditional values of church and nation. The intellectual Right was probably stronger in 1914 than it had been during the *affaire* itself. This is not to say that the Left had entered the political wilderness; it retained enormous appeal and actually held political power in 1914; however, the Left had changed personality by then and not all for the better. Something of the Dreyfus mystique had been lost; the discussion of the day revolved around questions of political power, not universal values such as truth and justice. Péguy charged that the Left had sold out, but he himself did just that as he moved ever further to the right. The history of intellectuals in the pre-World War I period is a complex story full of surprises, but the order that individual biographies always provide enables us to see patterns and make sense of the

past. In my book I trace the itineraries of Zola, Barrès, Péguy, and Rolland through World War I and try to bring alive these exciting times and shed new light on the events they witnessed and participated in.

Early Examples of Committed Intellectuals in France

To begin with, however, before examining the impact of the Dreyfus affair on the intellectual community, I would like to look briefly at the origins of the committed intellectual in France, whose history goes back in time at least to the Renaissance, specifically to the period of religious wars (1560-1593) when intellectuals on both sides for a time gave up their literary pursuits to write pamphlets, discourses, satires, chronicles, and memoirs, either to encourage their own side and justify the fratricide or, happily, to urge an end to the bloodletting that was tearing France apart. Some did far more than just fight with the pen. The Calvinist poet, soldier, and mystic Agrippa d'Aubigné (1552-1630), author of the much-acclaimed *Les Tragiques*, was every bit as fanatical in his faith as the most crazed leader and fought in the religious wars almost from beginning to end. As a child he witnessed the mass execution of the Huguenot conspirators after the failed conjuration d'Amboise of 1560, but fortunately for him he was absent from Paris during the St. Bartholomew massacre in August 1572. He subsequently fought valiantly, narrowly escaping death on more than one occasion, and had the good fortune to enter Paris with the victorious Henri de Navarre (soon to be Henri IV). However, Agrippa was hardly a friend of Henri's religious policies. He disapproved of Henri's conversion to Catholicism to win the crown (rendered famous by Henri's cavalier remark "Paris vaut bien une messe" ["Paris is certainly worth a Mass"]) and was disappointed by the Edict of Nantes in 1598, which, although it legalized Protestantism, placed severe restrictions upon Protestants, barring them from settling in the major cities, for example. *Les Tragiques* (1616) is an

epic poem with satirical and polemical overtones and is a vicious attack on the Catholics as well as a celebration of the Protestants' suffering under Catholic persecution, and yet it is not unlike Dante's and Milton's masterpieces either in scope or in poetic genius. However, because of both its violent diatribes against Catholics and its literary daring, it would remain largely unknown until the Romantic revolution in the nineteenth century, when critics such as Sainte-Beuve rediscovered it and hailed its innovative style.

The Pléiade poet Pierre Ronsard (1524-1585) is another example of intellectual commitment in the Renaissance, this time in favor of Catholicism, though Ronsard's was of a far less brazen kind than d'Aubigné's and did not go beyond the writing of pamphlets, known to posterity as his *Discours*, most of which date from the early 1560s, after which time religious discord degenerated into a civil war that threatened to tear France apart. In his position as poet laureate Ronsard was in an eminent position not only to advise the king on which course of action to take but also to influence public opinion and promote religious tolerance. Ronsard even wrote a long treatise on the education of kings, *L'Institution pour l'adolescence du roi* (1562), destined for the young Charles IX, in which he laid out the responsibilities of a king to his people and offered practical advice on how to successfully govern a nation. However, Ronsard was every bit as passionate in his religious fervor as d'Aubigné and, although he did not stoop to the baseness of most contemporary pamphleteers on both sides of the religious divide, delighted in the Catholic victories on the battlefield. Conceding that the Church was in need of reform and even for a short time in his youth considering Protestantism, Ronsard felt that the Protestants nevertheless represented an aberration in the nation's history since they were in open revolt against the authority of the king and were vain and arrogant into the bargain, if not downright hypocritical, in embracing a faith so austere and so contrary to the life-affirming potential of the Renaissance. Ronsard mellowed in old age, and finally,

at about the same time he fell out of favor with the new king, Henri III, in private he adopted a more conciliatory stance, condemning both the Catholic *ligueurs* and extremist factions among the Huguenots.

France was not alone in being besieged by religious controversy that for a time threatened the national fabric. In England, during the same time period, Sir Thomas More, author of *Utopia* (1516), gave his life for his religious beliefs, though not, as some still contend, in the name of religious freedom. More died because he affirmed the notion of one faith and one Church, not because he tried to uphold the idea of religious freedom, which he had defended in his classic work *Utopia*; however, he nevertheless died for an idea, and therefore he is of interest here. As most people know, More served as chancellor to the King and in this role could not help but become embroiled in Henry VIII's attempt to have his marriage to Catherine of Aragon annulled. He resigned when the English clergy went against the wishes of Rome and accepted royal supremacy over the Church, essentially giving the king the right to do as he pleased in all matters secular and religious and thereby overthrowing a system of ecclesiastical government that had been in place since the days of Charlemagne. More decided to retire in the country to live out the rest of his days far from London, like the fifth-century Roman general and patriot Cincinnatus, who served as both consul and dictator and also retired early to his country estate after answering the call to defend Rome against foreign invasions and Plebeian uprisings. But Thomas More would not be quiet and continued to write pamphlets defending his opposition to Henry's wishes and, when he refused to recognize Henry's annulment, found himself arrested, sentenced to death, and executed at the Tower of London on July 6, 1535. More's refusal to give up his beliefs and his courage in accepting their consequences make him a martyr, but in a political rather than religious sense.

One century later Milton gave us his treatise *Areopagitica* (1644) "in order to deliver the

press from the restraints with which it was encumbered" (Milton 716), as he says himself, referring to Parliament's recent ordinance for licensing the press, giving the Archbishop of Canterbury the power to forbid publication of any text deemed "contrary to the Doctrine and Discipline of the Church of England" (Milton 831). However, Milton and More were both exceptions because intellectuals at this time typically did not become involved in current events to this degree. The fact that when they did the subject invariably concerned some aspect of religion simply underscores the pervasive place of religion in society at the time and the strong bond between the State and the Church, which in most of Western Europe would last at least through the eighteenth century.

The stereotype of the intellectual working in splendid isolation in an ivory tower has a grain of truth and no doubt also goes way back, to a time when intellectuals were attached to the monarchy and depended on the generosity of the king. The medieval *clercs* Alcuin and Einhard essentially were in Charlemagne's service at his court in Aachen, and their task was to glorify and immortalize the emperor's reign, a task at which they succeeded brilliantly, Alcuin as educator (laying the groundwork for the Carolingian Renaissance by promoting the liberal arts and stressing the need to preserve ancient texts) and Einhard as author of the official biography of Charlemagne, *Vita Caroli Magni* (written between 817 and 836, approximately).

Royal absolutism in the seventeenth century refined this system of patronage by creating the *académies*, which effectively channeled artists' creative energy by imposing standards or norms from which it was difficult to deviate. How would an artist dare to publicly express a personal opinion about a social issue when he did not enjoy artistic freedom? La Fontaine learned this the hard way: by depicting French society in a sometimes unfavorable light, his election to the prestigious Académie Française was delayed by none other than King Louis XIV himself, who did not take kindly to La Fontaine's veiled criticism of everything from excessive taxes and feudal dues

and violent repression of peasant uprisings (in fables such as "La Mort et le Malheureux" and "La Mort et Bûcheron") to what might well be the ironic portrayal of Fouquet's fall from grace in the fable facetiously entitled "La Grenouille qui Voulut se Faire aussi Grosse que le Boeuf." Curiously, Fouquet was La Fontaine's patron until it was discovered that he had defrauded the state to pay for his sumptuous château at Vaux-le-Vicomte, but unfortunately for La Fontaine Louis XIV was not about to take Fouquet's place. Another reason for La Fontaine's troubles with the Académie was aesthetic and concerned the realistic and physical description of nature in many of his fables. This attention to detail ran counter to the classical idea of nature defined as *human* nature. Similarly, to mention something as crass and coarse as labor, as if to suggest that some folks had to engage in actual physical work to make ends meet, was not considered to be in good taste.

Intellectuals' dependence on the state lasted until well into the eighteenth century, making it difficult to consider them potential critics of their times, of society, and, of course, of their benefactors in the government. There was quite simply no room for independent commitment to a cause in their narrow job description. As servants of the state, intellectuals could not very well speak their mind if they risked losing their position and even being executed. In my book I am interested in the committed intellectual both as an individual and as a member of an intellectual caste in society, but it is important to establish from the outset that the committed intellectual is an independent individual and not a member of the political establishment, and especially not of a political party, though he frequently is part of a coterie with political leanings such as existed on the Left Bank in the 1930s. This does not necessarily mean that the intellectual can freely express an opinion and take a stand without fearing either loss of revenue or persecution; history offers an abundance of evidence to the contrary. But the intellectuals I will discuss did not depend for their livelihood on what they said or did when they took a stand. Clearly, they put themselves at risk, but the worst that could

happen to them was that they turned out to be wrong and that the general public subsequently ignored them and did not buy their latest books. These intellectuals' financial and political independence vis-à-vis the state guaranteed their freedom of speech, as it were, and was the *sine qua non* of their intellectual commitment. Again, the emergence, at least on a large scale, of a financially independent intellectual is something that happened in the eighteenth century. Voltaire is a prime example of this new breed of intellectual. Granted, he earned some of his money the old-fashioned way, by inheriting it, but he also made a small fortune selling his literary works on the market and investing the profits.

Furthermore, I intend to analyze not only the careers of individual intellectuals but also the intellectual estate itself, that is, its distinguishing socioeconomic characteristics, in order to arrive at a better understanding of who intellectuals are professionally and what they do for a living. Then there is the philosophical question of what constitutes commitment. How does it begin and express itself? I will try to answer this question in context, using numerous examples from the Dreyfus affair and its aftermath in the decade or so leading up to World War I.

Intellectuals and the Legacy of the Enlightenment

By 1898, when Zola published his famous letter in *L'Aurore*, defending the innocence of Dreyfus and igniting the firestorm we know as the *affaire*, the intellectual already existed as an independent socioeconomic type. For Diderot, Voltaire, Rousseau, and other *philosophes* had ushered in the age of the intellectual already in the eighteenth century. The *Encyclopédie*, of which Diderot was editor for more than two decades in mid century, undermined absolutism by promoting ideas that were "critical of existing social and political institutions" (Niklaus 114) and that greatly

contributed to the downfall of the *Ancien régime*. And as the famed nineteenth-century French literary historian Gustave Lanson remarked, Voltaire's first major political essay, *Lettres Anglaises* (1734), arguing for increased political liberty and attacking those who still wanted to uphold absolute monarchy by divine right, was the "the first bomb hurled at the Old Regime."[4] Voltaire is famous today, not because of his epic poems and classical tragedies, but for his unrelenting attack on all that was wrong in eighteenth-century France. In his opinion the rampant abuse of power inherent in absolute monarchy was responsible for everything from censorship to arbitrary imprisonment on political grounds; moreover, the prejudice, fanaticism, and, above all, ignorance that characterized daily life for most people made it impossible to imagine improvement. Only action could change the status quo, and by mid-century Voltaire the author knew what was expected of him and launched one of his many famous battle cries: "Qui plume a guerre a" (which might be translated as "He who has a pen can start a war"). Over the course of his long and incredibly productive life, represented by the projected 150 volumes in the Voltaire Foundation's edition of his complete works, Voltaire never stopped writing, lashing out in all directions against everything that was wrong in France, often spending up to 15 hours at his small writing table, which the curious can see in a glass case in his old haunt, le café Procope in Paris. Voltaire mastered classical genres early on but will always be remembered for his consummate skill in the *genre court* or brief form (itself a classical genre, the *maxime*, the *caractère* or *portrait*, and the letter having been perfected by La Rochefoucauld, La Bruyère, and Pascal, respectively, in the seventeenth century). Voltaire, who seemed to fancy a more direct approach to the problems at hand, cultivated the epigram, the pamphlet, the op-ed letter, the treatise, the "portable" dictionary (a concise enumeration of all that was wrong in society), and, of course, the satirical short story or philosophical tale (greatly inspired by the author of *Gulliver's Travels* (1726), Swift, whom he had met in England), giving us world-famous masterpieces such as

Zadig (1748) and *Candide* (1759). Who has not heard the phrase "we must cultivate our garden," (Voltaire 128)[5] which presumably means that we must be courageous, continue the struggle against an arbitrary destiny, and make the best of life.

Reading *Candide* or any of Voltaire's other short stories or philosophical tales (twenty-seven in all), one can almost hear the author's famous snicker or *ricanement*, as he gloats over the reaction to a well-thrown punch in the gut of the enemy, and imagine his mischievous and mocking smile or, rather, grin, which he conceded was that of a maimed monkey ("un singe estropié"). A kinder, gentler version of this smile, still cocky but more subdued and enigmatic, is immortalized in Houdon's famous statue in the foyer of the Comédie-Française (of which there are 12 copies in various materials), and thousands more can be found in other less famous venues and incarnations.[6] Voltaire was a star in his own age, and, what is more, he enjoyed the limelight. To him, understatement, hyperbole, black humor, lechery, irony, sarcasm, all in great abundance throughout his oeuvre, were aspects of wit, which he, as a man of the eighteenth century, saw as an amorphous form of a critical mind that could be employed as a powerful arm against the forces of darkness by drawing attention to the absurd and ridiculous in everyday life: "religion, love, patriotism, censorship, and the harmony of the spheres" (Holmes 49). One laughs because one sees, and what one sees around one is simply outrageous, prompting one to act, or so Voltaire's reasoning went; at the same time, seeing the misery all around is enough to make one cry, which may account for the contorted, tortured aspect of his famous grin. Voltaire's enemies swore it was the most hideous grin in Europe, and Coleridge apparently likened it to that of a "French hairdresser" (Holmes 49). Maimed monkey or effeminate hairdresser, Voltaire was worshipped by his friends and feared by his enemies, as an ambitious man should have been who wanted to make an impression on the world and had nowhere to move but forward. Voltaire was living proof that ideas could change the world.

Of particular interest to me here is Voltaire's defense of Calas in the 1760s, Sirven (1762-1771), and La Barre (1766), to mention only the best-known victims of a miscarriage of justice. Here Voltaire heralded Zola's defense of Dreyfus and helped ensure his own passage to posterity, justifying his loquacious epitaph: "He avenged Calas, La Barre, Sirven, and Montbailly. Poet, philosopher, historian, he enabled the human spirit to take a great leap forward and prepared us to become free."[7] The circumstances of the *affaire Calas* are well known to *dix-huitièmistes* and scholars of the Enlightenment but still deserve to be recalled for the benefit of the general reader. One day in 1761, in Toulouse, Calas fils was found hanging from the end of a rope in his family home. Surely he had committed suicide. He had recently quarreled with his Calvinist father and English mother about converting to Catholicism and he had a long history of what we today would call personal problems. No doubt Marc-Antoine Calas, who by any account was a failure both inside and outside the household, had fallen into a deep state of despair and seen death, albeit an ignominious one, as the only way out. But the authorities accused the father, Jean, the well-to-do owner of a cloth shop, of killing his son to prevent him from converting and pried a confession through torture. The father was sentenced to a particularly gruesome death, first having his bones broken on the wheel and then being strangled to death. His wife was acquitted, but his other son was exiled and his two daughters locked away in a convent. Voltaire became involved soon afterward, in April 1762, and was indefatigable in securing a full rehabilitation for Calas based on an objective review of the physical evidence in the case. Not unlike Zola more than a century later, Voltaire went to bat for an innocent man and, just like Zola, involved numerous contemporaries in his cause, urging his fellow *encyclopédistes* to support him, stirring up feelings in England by contributing heated articles to the newspapers on the other side of the Channel, and even trying to enlist the support of the king's mistress, Madame de Pompadour.

To be sure, the Calas affair was an event on a much smaller scale than the Dreyfus affair and never threatened to divide the country; nor for that matter did it last as long or have the same long-term outcomes. However, the similarities are numerous and striking and hint at what lay ahead for the committed intellectual in a more savvy age, when the media would be an integral part of a winning strategy. In connection with Voltaire's tricentenary in 1994, *Le Monde* editor Edwy Plenel stated rather matter-of-factly that "Voltaire was the father of investigative journalism" (quoted in Holmes 49), which underscores the media's role in promoting a social or political cause. Newspapers provided what Voltaire called the "oxygen of publicity" (Holmes 54). Without the media there would have been no Dreyfus affair; the media attention they gave his case created a scandal and provoked the emotions of people from every walk of life. Without a loyal and faithful army of followers close at hand and the thrust of a powerful news medium behind him, Voltaire essentially was left to his own devices but nevertheless convincingly argued that the young Marc-Antoine Calas in all likelihood had committed suicide after all. In 1764 the *Parlement de Toulouse* (contrary to popular belief the *parlement*, was a law court and not a legislative assembly) finally agreed with him, as did the Paris Supreme Court, in effect rehabilitating Calas. Voltaire has never been proven wrong, despite valiant efforts by his foes everywhere, even those alive and well today. Voltaire describes the first part of the *affaire Calas* in his *Traité sur la Tolérance* (1763), in which he attacks religious fanaticism generally and states that a person in his position has not only the right but indeed the moral responsibility to seek the truth when justice is denied to someone else.

Nevertheless, the power of the state was such that Voltaire, after a brief sojourn in Geneva (1755), found it best for his personal safety to live on the Swiss border. He had been imprisoned twice already (once for his daring views and once for dueling with a nobleman) in the infamous Bastille, which at that time still housed numerous persons whom we today would call political

prisoners. Not that anyone there had to fare ill, however. Those imprisoned by force of an officially issued *lettre de cachet*, that is, a warrant authorizing incarceration for an indefinite period of time (the French custom is fundamentally different from *habeas corpus*, something the imprudent Voltaire would discover on more than one occasion, perhaps confused by his admiration for the English system of justice), were permitted to furnish their own "cell," have meals catered, and even host dinners for friends and relatives. After his release in 1726, Voltaire chose exile in England, which he found to be a tolerant, prosperous, industrious, law-abiding, and singularly successful nation, the direct result, he thought, of its constitutional form of government. It was in England that he published his epic poem *La Henriade* (1728), which he dedicated to the Queen of England after Louis XV had rejected it, and began work on what was to become one of his most important early essays, *Lettres Anglaises* [aka *Lettres philosophiques*, translated as *Letters Concerning the English Nation*] (1733), in which he openly expressed his admiration for British society, which he believed far more conducive to developing human freedom than the still autocratic France from which he had escaped. England had a Parliament that safeguarded the rights of the commoner against the abuses of privilege; it also had a thriving stock exchange, which symbolized what had made Britain prosperous in the first place: trade. England had the inimitable Shakespeare and the polemical genius Swift and philosophers and scientists like Locke and Newton. Looking on his native France from the outside as it were (albeit in a more realistic vein than Montesquieu who in 1721 had written a fictitious travelogue about a group of incredulous Persians visiting France, *Lettres Persanes*) was a rather transparent ploy for criticizing his own country, and no one was fooled. The authorities were not amused, and Voltaire had to go into exile once more upon the publication of this "time bomb," this time to Lorraine, where he weathered the storm in the company of his mistress, Madame du Châtelet, until things quieted down and he could return to the capital.

Twenty years later Voltaire would compose the lion's share of his historical analysis of the decline of absolute monarchy, *Le siècle de Louis XIV* (1740-1751), in Frederick's Prussia, as the guest of another absolute monarch, but this time at least he would not have to resign himself to exile upon publication of his book. Voltaire was a great admirer of Louis XIV, who represented the fourth and last great age in the history of civilization (the others being associated with the Athenian statesman Pericles, the emperor Augustus, and the Florentine Medici family). Louis XIV was an enlightened despot and always had the best interests of France in mind. Voltaire argued that the French monarchy had only declined ever since as a result of religious controversy and the poor taste of the king in artistic matters, or rather his inability to use art to enhance his image. This is a lesson that would not be lost on either Hitler or Stalin: clearly art has a political function, which is perfectly obvious to anyone who visits France. From the time of the great Gothic cathedrals of the Middle Ages to the pharaonic *grands travaux* of the late François Mitterrand, art has been a preoccupation of the French government, regardless of who is in charge in Paris, whether king, emperor, or president. Voltaire came to the belated realization that Louis XIV had made numerous and monumental blunders, and in subsequent revisions he criticized, for example, the Revocation of the Edict of Nantes of 1598 establishing freedom of religion (an act that was destined soon to reignite the smoldering fire of religious intolerance) and certain military victories such as the famed "passage du Rhin" ["crossing of the Rhine"] in June 1672 (when French troops seemingly by divine intervention crossed the Rhine to do battle with the enemy on his home turf). Gradually Voltaire understood that posterity's image of Louis XIV was as much the result of a myth-making enterprise as much as anything and that it was the duty of every serious historian to demythologize his subject and uncover the layers of narrative that obstructed a clear view so as to arrive at the fundamental truth. Voltaire was equally admiring of the Swedish king Charles XII in his history of this

remarkable monarch, which, because it is divided into an *exposition*, *complication*, *crise*, and *dénouement* reads just like a classical tragedy. This is not to say that it is not still eminently enjoyable today. It is. Voltaire's initial blindness to the defects of royal power rather reminds one of the cult of personality in twentieth-century dictatorships from East to West, when intellectuals of every political persuasion were unduly influenced by the image of their leader of choice and lulled by it to perform acts of worship.

Not that the French Enlightenment was homogeneous by any stretch of the imagination. Even though the warriors of the Enlightenment may have seen themselves as knights of light in a crusade against the forces of darkness, the Enlightenment in France, or anywhere else for that matter (especially in Germany, where the dark side of the next "-ism," Romanticism, would express itself with the most force), was not a paragon of reason and rationality. To this day, we believe in the values of the Enlightenment insofar as we are convinced that education in itself will be enough to overcome the problems in contemporary society, ranging from drug abuse to racial prejudice. In point of fact, the Enlightenment carried a powerful undercurrent that critics from Adorno and Horkheimer in *Dialektik der Aufklärung* (1947) to John Ralston's best-selling essay *Voltaire's Bastards*: *The Dictatorship of Reason in the West* (1992) argue that totalitarianism in the twentieth century, in its fascistic and communistic forms, both are equally responsible for imbuing reason with superhuman power and therefore being at least indirectly responsible for creating what Saul calls the "dictatorship of reason," leading to the Holocaust and the Gulag. Moreover, the degeneration of reason has also resulted in something seemingly more benign but equally devastating for ordinary people, which is the creation of impenetrable bureaucracies, such as the European Union, that are more concerned with perpetuating their own power than serving the best interests of their constituents. Of course, much of this is nonsense, and the abuse of reason should not be taken out of

context. The Enlightenment was not against religion per se as much as it was against the abuse of religion by the Church, which sometimes sought to justify and sustain an unjust form of social organization. Only a small minority of the *Encyclopédistes*, such as La Mettrie, were diehard materialists, denying the notion of revealed religion or the place of religious feelings; most were deists who did not want to dwell on an issue that for all intents and purposes was irrelevant in the first place since it fell outside the purview of reason. Why, Voltaire even built a chapel in Ferney for the inhabitants of this enlightened model village and had the nerve to dedicate it in his own name: "Erected for God by Voltaire" (quoted by Holmes 52). This same reluctance to make sweeping generalizations is the basis of Alan Charles Kors' recently published, monumental *Oxford Encyclopedia of the Enlightenment* (2002), which takes a functional approach to the Enlightenment, arguing that old ideas evolving out of the Renaissance and Cartesian individualism finally triumphed, that is to say, when they were needed, which was in eighteenth-century France. Renaissance individualism, Galileo's science, and the ideas of the Enlightenment all came to the fore when they were needed the most.

French society did evolve in the half century leading up to the French Revolution, which is reflected in the use the authorities made of the Bastille, a forbidding medieval fortress with walls 30 meters high and a moat 25 meters wide. By July 14, 1789 the number of its prisoners had been reduced to exactly seven, none of whom was political (not even the half-crazed wretch accused of trying to kill the king of France and certainly not the disturbed individual accused of incest and incarcerated at the request of his family nor the others debtors). By now France no longer locked up anyone critical of its government. Here I am reminded of an anecdote about Jean-Paul Sartre. Asked by an advisor in the 1960s if it would not be wise to lock up the eternal malcontent, existentialist philosopher, and troublemaker, President de Gaulle quipped : "one does not put Voltaire in the

Bastille."[8]

Of course this all happened before the Terror, or Napoleon, or Vichy France, when anyone, especially intellectuals, was suspect. Just look at the example of André Chenier (1762-1794), the "French Theocritus," neither completely classical nor quite Romantic, executed just three days before the fall of Robespierre on 9 Thermidor, for being of all things … a poet ("the revolution does not need poets,"[9]said the judge who condemned the 32 year-old young man to the guillotine where he is reported to have said as he laid his head down on the block, "However, there was something there" [10]). Or look at literary critic and novelist Madame de Staël (1766-1817) and her on-again, off-again lover, the novelist, journalist, polemicist, and liberal politician Benjamin Constant (1767-1830), who both followed Voltaire's example and settled for a time in Switzerland to escape the imperial censorship. Exile was another option for those in power to exercise, as Voltaire learned (and later Victor Hugo); to this day Voltaire is still known as the "patriarche de Ferney" after the village on the Swiss border in which he settled (the visitor can still tour the château where he produced the pamphlets that irritated the Crown and helped bring down the *Ancien régime*). But Ferney was more than a refuge against royal power. Voltaire, by now a wealthy man, took on the role of magnanimous lord and protector of this hamlet, dedicating himself to drying the swamps, promoting animal husbandry and agriculture, constructing a silk farm, a tannery, homes, a theater, and even a chapel, and, significantly, abolishing the hated tax known as the *gabelle*.

What is troubling about Voltaire, his contemporary, the equally brilliant Diderot, the volatile and unpredictable Rousseau (who quarreled endlessly with both, never becoming reconciled with either one of his illustrious contemporaries before his death in 1778), and Enlightenment thinkers in general is that they, much like their twentieth-century counterparts, tended to flirt with autocratic leaders, such as Frederick II of Prussia (in Voltaire's case) and Catherine the Great (in Diderot's).

Voltaire mistakenly thought that he, the greatest living European intellectual, might have an impact on the political events of his day by bringing about a reconciliation between France and Prussia. He was wrong. Initially, Voltaire was pleased and thrilled at the prospect of serving as an advisor to the future emperor of Prussia. However, as soon as Frederick became emperor, Voltaire could tell that this partnership of power and brains was not going to work out because Frederick at once acceded to the demands of *Realpolitik* and invaded Silesia, his friendly neighbor in what is now Poland. Moreover, Voltaire did not serve as Frederick's political advisor, as he no doubt had hoped, but merely as a literary advisor, cultural factotum, and decoration at court. And the weather got awfully cold. It is funny how French intellectuals always start freezing away from home and how the cold is symbolic of their alienation and despair in a foreign land. And so by 1753 Voltaire had had enough and managed his getaway, promptly publishing a long diatribe against his former benefactor (and threatening to print his puerile poetry as well, and make Frederick the laughing stock of Europe), who had him detained in Frankfurt for a month because Voltaire had not bothered to make sure that he was out of harm's way before going on the offensive. At least Gide waited until he was safely back in Paris before he published his diatribe against Stalinism; other intellectuals who abandoned ship and spoke out against Stalin were not so lucky. As any biography of Voltaire makes clear, the Prussian episode was not the only time that he tried to ingratiate himself with a ruler. For many years Voltaire mistakenly thought that a writer's career was made at court; in 1745, for instance, he found a place for himself at Versailles as Louis XV's official historian.

Clearly, many prominent intellectuals are not immune to the allure of real power and relish the feeling of access to omnipotent rulers, who are not likely to implement any of the democratic reforms that their protégés recommend in their pamphlets but who will listen to them talk, giving them the attention they crave and feel that they deserve. Diderot, to provide a dowry for his

daughter, sold Catherine the Great his personal library (which she graciously agreed not to put any claim on until the author's death) and then accepted an invitation to visit her at court in St. Petersburg; however, the severe Russian weather did not agree with his increasingly frail body, and he returned to Paris, escaping the fate of the unfortunate Descartes who, a century earlier, had accepted an invitation from Queen Christina of Sweden and promptly expired in the frozen north. By any account Diderot admired the enlightened despot, who, he said, combined the qualities of a Caesar or a Brutus and the seductive charms of Cleopatra.

However, in the half-century following 1848, largely as a result of the democratization of French society in the wake of the February Revolution, and then the much delayed advent of the Industrial Revolution, public intellectuals found their authority eroded and retreated to their ivory tower. The defeat of the Second Empire in the Franco-Prussian War of 1870-1871 paved the way for the Commune, which once again rekindled the revolutionary cinders with writers such as Jules Vallès publishing inflammatory novels such as *L'Insurgé* (1886) about the uprising and the bloody repression that followed the Prussians' victory. Vallès dedicated this story "to the dead of 1871… to all those, who, victims of social injustice took up arms against a badly formed world and who, under the auspices of the Commune, made up the grand federation of sorrows" (Vallès 15).[11] Valles' contemporary, the anarchist Louise Michel is less well-known but also played a role in the Paris Commune.

Before Louise Michel there was Madame de Staël, mentioned above, and George Sand, née Lucie Aurore Dupin (1804-1876), who is sometimes overlooked and dismissed as a quaint and picturesque parenthesis in French nineteenth-century literary history by readers who remember her mainly as the passionate mistress of the Romantic poet Alfred de Musset and the Polish-born composer Frédéric Chopin, among other luminaries on the artistic scene, and as a quixotic, if not

eccentric, woman who dressed in trousers and smoked cigars. Admirers of Marcel Proust will remember her as the author of the pastoral novel *François le Champi* (1847), which the narrator's grandmother gave him to read as a child and which he discusses in some detail in his masterly *À la Recherche du temps perdu*. Obviously opposites attract: Proust was an oversensitive mama's boy, Sand an unapologetic tomboy with no formal education and an attitude to match. Having said that, I will add that Sand has fallen victim to a legend, which I do not think does her justice and which the scholarly attention surrounding her centenary in 1976 and the bicentenary of her birth in 2004 have done much to correct. In her time she was the most read author in France except for Victor Hugo. *François le Champi* and others in the same genre, in particular the more widely known *La Mare au Diable* (1846), do project a certain sentimental, naïve, and even folkloric vision of country life, reinforced by quotes from Virgil's G*eorgics* ("O happy the man of the fields, if he only knew his happiness"[*La Mare au Diable*]),[12] and helped promote the *roman champêtre* and what in the following century became known as the *roman régionaliste*.

George Sand was anything but quaint and picturesque, as numerous recent studies of her life and work make clear. She used her art as a vehicle to gain acceptance of her radical ideas about society in general and specifically women's role in it.[13] Already in the first of her of more than seventy novels (almost rivaling Balzac's productivity and driving her lover, the romantic but anal-retentive Musset, insane with jealousy), *Indiana* (1832), Sand created a stir by criticizing the institution of marriage as it existed in France, in particular the laws and restrictions that governed women's place in the family and in society; she even demanded the legalization of divorce and women's right to financial independence. Her outburst "societies, institutions, shame on you, deadly hate" reminds me of Gide's "Familles, je vous hais" and has Strindbergian overtones. In *Lélia* (1833) Sand makes the commonsensical but daring suggestion that women have sexual needs, too.

In 1846, in the preface to her most famous novel, *La Mare au Diable*, she wrote: "We believe that the mission of art is is a mission of sentiment and love, that the contemporary novel ought to replace the parabole and the apologue of the age of naiveté"[14] (Sand 8). Now that's a manifesto for social humanism if ever there was one, though Sand acts as though she must compromise artistic integrity in order to get her message across. Two years later, during the Revolution of 1848, which for a time threatened to overturn the existing social order and scared the living daylights out of the bourgeoisie, Sand was an adherent of Lamennais' mystical strain of Socialism, fought on the barricades with Hugo, campaigned for increased democracy, and worked actively for the new provisional government as editor of the officially published *Bulletin de la République*. During the Paris Commune, however, Sand was frightened by the violence and withdrew to the country. She never again championed either women's suffrage or the right of women to hold public office, which may explain why she occupies an ambiguous place in the feminist canon today and why both Simone de Beavoir and Françoise Sagan have taken her to task. She feared that she would be forgotten by posterity, but as it turned out, Hugo was right in his eulogy when he said, "I weep for a person who has just died but salute an immortal" (quoted in Kåreland 27). In old age George Sand was one of the most venerated writers of her generation, as popular as Hugo, and died practicing the humanitarian ideal that she had preached all along, namely charity to the poor, by ministering to the needs of the inhabitants of a small village in her native Berry.

A dozen or so years later Zola would re-ignite the spark firing the intellectual's mission but without conferring upon it a prophetic and almost religious character, as Hugo had done. Zola firmly believed in the universality and inviolability of the principles he upheld throughout his long ordeal but also thought that he was only doing his duty as a citizen. Ironically, it would be the Communists who would later insist on having a transcendental and sacred function, though they saw it revealed

not by individual intellectuals but rather by the Party, in which intellectuals had always played a key role. Certainly Communist intellectuals had been "enlightened" and understood the inevitable outcome of the struggle between the forces of history and therefore were the natural leaders of the Revolution. Yet because they could think, they would always remain suspect in the eyes of the Party. There was always the risk that they would actually think for themselves and break ranks.

The eighteenth-century *philosophes* are important for our purposes here in at least two ways: 1) they were independent professionals; and 2) they were social visionaries and even prophets. Writing, to them, in its reactive form, became if not an established profession then at least an occupation that kept a roof over their heads and food on their tables. Diderot did not have any other steady income and essentially made a living by writing not only novels but also short polemical and philosophical pieces that exposed the ills of society and, in my opinion, made him the first truly modern intellectual. It is unlikely that the author of *Le Neveu de Rameau* will achieve the same reputation as his contemporaries Voltaire and Rousseau, though Diderot is experiencing somewhat of a renaissance today due to his eclectic taste in art and literature and the pre-modernistic tendencies in his style.

Nevertheless, short polemical pieces like *Les Pensées philosophiques* (1746) and *La Lettre sur les aveugles* (1749) and the monumental *Encyclopédie*, of which Diderot was editor and to which he also contributed, tell the historian of ideas that a paradigm shift occurred toward the middle of the eighteenth century. The author in France, from the time of the late Middle Ages until at least the death of Louis XIV in 1715, was a part of a whole, call it a period or a style, and did not transgress the invisible but very real borders of his particular station in life. More often than not, the author was the *protégé* of a well-intentioned but unforgiving monarch who might settle for conformity (when he could not have genius) but never would stand for much, if any, of its opposite.

This was particularly true in the Classical period, at the court of Louis XIV, and a case could be made that authors of genius such as Molière and Racine actually found their own voice in a collective group identity held together by Absolutism and its counterpart in the aesthetic field, Classicism. The conventional wisdom today holds that both of these authors needed the self-control and the discipline fostered by French Classicism to realize the full potential of their genius. It is indeed easy to imagine a "Romantic" Racine because of the obvious "Romantic" echoes (overtones) in his most famous tragedies; however, Classicism helped him bring a certain lyrical tendency into focus and forge an identity by never quite surrendering to the pathos inherent in his tragic vision of life.

But by the second half of the eighteenth century, and particularly in the period after 1770, one notices not only an eroding of public confidence in the institutions of absolute monarchy and in the values and beliefs of contemporary society but also a frustration on the part of the middle classes especially, of which the *philosophes* were an integral part (despite the fact that many of them had social aspirations that were sometimes rewarded with admission into the aristocratic world). According to Zev Barbu, eighteenth-century France was in a state of *anomie*, literally "a state of society in which normative standards of conduct and belief are weak or lacking" (Webster). This state of confusion was the result of a prolonged period of internal conflict, which created the kind of social and ideological flux that is fertile breeding ground for the committed intellectual.

"In a word, doubt and insecurity penetrated to the very foundations of a social order in which the upper classes were defending their position out of fear of losing it, and the middle classes were fighting for a position which they were not supposed to achieve" (Barbu 82). By the 1770s it seemed that the aristocracy had finally realized the dangers of social mobility and began to reappraise the permissive attitude it had encouraged in its own salons. Absolute monarchy might be doomed, but it

was the only social order that satisfied the kind of nostalgia that pervaded the ranks of the aristocracy in the decade that led up to the French Revolution. The bourgeoisie or Third Estate, on the other hand, clearly wanted to acquire a position of political power commensurate with its economic power, a goal that the *philosophes* supported by arguing for a more democratic ideology based not only on freedom of thought but also on genuinely equal political rights. Voltaire and Montesquieu, who had once pledged allegiance to enlightened despotism, now adopted a radical, democratic stance as the prospect for peaceful political reform began to evaporate. However, whereas Voltaire argued for the reorganization of society, the bourgeoisie as a whole was primarily interested in satisfying its own class interests, which were of a political and economic nature, and it would have liked to end the French Revolution once those goals had been attained, by 1791 at the latest, when a constitution was finally approved that would have transformed France into a constitutional monarchy modeled on England and upholding the two-year-old Declaration of the Rights of Man and of the Citizen.

Another important development in the intellectual history of the eighteenth century is the growth of the scientific spirit. Bacon's and Newton's inductive method of reasoning was taken very seriously in France. And, more important, the scientific method was applied to analyzing the ills of contemporary society. Intellectuals wanted to understand the world, explain it, and then change it. According to the *philosophes*, stupidity and ignorance were the origin of social injustice and could be held responsible for everything evil in society, from religious superstition and fanaticism to slavery, from oppression to torture and cruelty in general. Yet the *philosophes* also assumed that man was a rational being who could be educated. The real culprit in the human comedy was man's ignorance. In Diderot's words, the purpose of the *Encyclopédie*, which must be seen as a monument to the Enlightenment, was educational: "We must examine everything, stir up everything without

exception and without consideration. We must overcome all these old puerilities, overthrow the barriers that were never erected by reason, restore to the sciences and the arts a liberty that is so precious to them. But we have waited so long for this century…!"(quoted in Barbu 85-86).[15] Not that much of what the *philosophes* said was new in the history of ideas or even that they were ever a homogeneous group. They were, if anything, individualists and, like Diderot, were concerned with the liberation of humankind (ahead of both Marx and Freud), which is why in the twentieth century their descendants, the fellow travelers, resented taking orders from the Communist Party. However, the *philosophes* did make "an attempt to bring together into a coherent structure of thought the main body of ideas of seventeenth-century French rationalism and of English empiricism, and assigned to it new emotional and social connotations" (Barbu 87). Thus the *philosophes* can best be understood as social engineers and visionaries. As such they transcended their role as educators of society and directly contributed to its transformation and modernization, which is what committed intellectuals have generally been doing right up to the present day.

A few paragraphs ago, I said that the *philosophes* were the first intellectuals who were at once professionals and largely independent, both financially and morally. Intellectual discourse is a form of self-affirmation just like autobiography, and both came of age in the eighteenth century, which suggests that the intellectual is first and foremost an individual. The second reason why I go all the way back to the eighteenth century looking for the source of the intellectual *discours fleuve* that has characterized such a large part of our own century is obvious enough, and once again Diderot can serve as an example. In Fragonard's well-known painting of the *philosophe* in a moment of divine inspiration, this new breed of man is a visionary, a genius perhaps, but a loner, too. The term *clerc* in French, which is often used to designate the French intellectual, means "God's chosen one,"[16] to use Bernard-Henri Lévy's expression (Lévy 28) and suggests a lineage which goes all the

way back to the Middle Ages when clerics like Einhard and Alcuin entered the service of the king to provide him with advice and counsel.

Here I am naturally reminded of Victor Hugo's provocative poem *Fonction du poète*, in which he (1802-1885) lays down the do's and don't's of this new poet, whom you might well call the "prophetic poet" or the "committed poet," the poet who is at once the champion of Justice and Truth and the medium of a magnanimous God. This narrative poem's style is typical of Hugo, whom Gide would later call "le plus grand poète français, hélas" ("the greatest French poet, unfortuantely"), presumably to express his reservations about the ostentatious, if not self-indulgent nature of much of the poetry Hugo wrote when inspired by social issues. Its declamatory rhetoric with its interminable and, I wish I could say inimitable antitheses, verges on the bombastic, and its haughty self-assurance, which borders on self-righteousness, is still irritating to many readers almost two centuries later. Here is a man who was sure of himself, of his own genius, and did not hesitate to lead, in his own words, he was "une force qui va" (Hugo used the phrase "Je suis une force qui va," which is virtually untranslatable but means, roughly speaking, "I am a force in motion") who, as a fourteen-year-old prodigy (not unlike Rastignac looking out over the city to conquer from the hills of the Père-Lachaise cemetery at the end of the novel *Le Père Goriot*) surveyed the literary landscape and declared, "Je veux être Chateaubriand ou rien" ("I want to be Chateaubriand or nobody). *Fonction du poète* is unnecessarily long even for Hugo and naturally quite repetitive, but it nevertheless contains some felicitous phrases and unforgettable images that explain why poets have such a hold on the human imagination in the first place and why Hugo can lay claim to being the French *poète engagé* par excellence, way ahead of two of his main contenders discussed above, Agrippa d'Aubigné and Ronsard, on a par with Voltaire, and a shoe-in in any match-up against Communist Wunderkind Louis Aragon, who falls neatly into the time frame of my book project. The

reason for Hugo's enduring popularity is his ability to create empathy (pathos), an emotional accord, if you will, that connects him with ordinary people, though unfortunately this quality is not immediately obvious in the following, very didactic, lines:

Le poète en des jours impies
vient préparer des jours meilleurs.
Il est l'homme des utopies.
.....
Peuples! Écoutez le poète!
Écoutez le rêveur sacré!
.....
Lui seul a le front éclairé.
.....
Il rayonne! il jette sa flamme
Sur l'éternelle vérité! (Hugo 1023-1031)

This poem, which contains Hugo's credo, gives the lucky devil who has been tapped by the powers above a divine mandate to seek social change, no questions asked, a prerogative that more than one Western-born intellectual in the twentieth century would claim, content to have carte blanche for an experiment of widespread and unlimited social engineering in his neighbor's backyard, preferably in some remote corner of Eastern Europe (not even the official Communist poet laureate Aragon ever expressed any desire to live and work in the Soviet Union). Hugo's poem expresses a powerful vision of a better and more just France and, what is more, contains the promise

of a radical plan of action: "I want people to be great; I want men to be free; I dream of a better future for women. How, in the here and now, does one diminish pain, Hunger, hard labor, evil and misery? All these questions hold me in their grip."[17] However, Hugo was not content to just write what he thought but practiced what he preached. He has gone down in history as the indefatigable champion of the poor and downtrodden in society. Over his long life he defended a slew of noble causes, ranging from the abolition of the death penalty (which he immortalized in the novel *Le dernier jour d'un condamné à mort*) to universal suffrage. On the death penalty he wrote, expressing his belief in the perfectibility of society: "The social edifice of the past rested on three columns, the priest, the king, and the executioner. A long time ago already a voice said: the Gods are leaving! Lately, a voice has cried out: the kings are leaving! Now it is time for a third voice to say: the executioner is leaving!… Civilization is nothing but a series of successive transformations"[18] (quoted by Gallo). His views on universal suffrage were no less revolutionary; empowering citizens, he believed, would inevitably bring peace and prosperity, as he stated in 1850: "universal suffrage, by giving the vote to those who suffer, deprives them of a rifle. By empowering them, it brings them calm. Everything that enobles man appeases him. Universal suffrage says to everyone:--and I cannot think of a more admirable formula for social peace--remain calm, you are sovereign"[19] (quoted by Gallo). Dante, whom I consider an outstanding early example of a committed intellectual, described Hell as a place somewhere else, out of this world so to speak; Hugo, in his collected works, gave us Hell as it exists in the here and now, as lived by millions of people everywhere. And more importantly, he wanted to do something about it and change the way things are done in society. Works like *Les Contemplations* (1856) and *Les Misérables* (1862) could properly be called Dantesque, since they describe the living nightmare that millions of Hugo's compatriots faced every day of the year above ground. But Dante was a pessimist who did not exactly embrace a vision of

social progress, and so it is fitting that the only allusion to a "commedia" in French nineteenth-century literature is associated with that other giant of French letters of approximately the same time period, Balzac, whose collected works, published under the title *La Comédie Humaine*, trace the rise and fall (with an emphasis on the latter) of a vast number of ambitious individuals who have one thing in common, which is their extraordinary blend of unscrupulous and naïve, some would say "Romantic," behavior. Needless to say, Balzac's heroes are usually punished in the end for their attempt to better themselves, change their destinies, and rise above their preordained station in life. Hugo, however, was the eternal optimist who never gave up hope and sincerely believed that he would live to see things change around him.

The bicentennial of Victor Hugo's birth in 2002 saw a slew of books celebrating his many accomplishments in an astonishing multitude of domains--as poet, dramatist, novelist, troubadour, even painter, social reformer and visionary; there is hardly an area of artistic creation and reflection that this prodigious *touche-à-tout* did not explore during a creative career that spanned more than sixty-five years. However, recent scholarship has also re-examined Hugo's contributions to the modern world as a revolutionary thinker and reformer. Thus, Hugo not only was a visionary poet but will also go down in history as the spiritual father of a United Europe, albeit a French Europe that probably was more Napoleonic than truly European by today's standards and where French was the official language. This became perfectly clear after the French defeat in the Franco-Prussian war: Hugo demanded that France seek inspiration in its glorious past, specifically Napoleon's *grande armée*, and retake not only Alsace-Lorraine but also a large chunk of the right bank of the Rhine, which is not far from what actually happened after World War I, when a victorious France, eager to keep Germany divided, humiliated, and weak, occupied the Rhineland. Hugo's Europe was to be French, a larger mirror image of France, governed by French values and with Paris as its capital.

Hugo did not show any false modesty when extolling the virtues of his country. France should lead because it is superior, morally, intellectually, and historically. "France is publicly useful… Other nations are merely sisters, she is a mother. This nation will have Paris as its capital and she will no longer be called France; she will be called Europe"[20] (quoted by Poncet). In short, Hugo sounded like a modern-day Charlemagne. The only good to come out of the Franco-Prussian war, he predicted, would be closer cooperation between France and Germany, which is something that also came to pass after World War II and has inspired increased economic and political integration ever since. According to this theory, states that are interdependent do not wage war against each other, a notion that is borne out by history. One might add the important qualifier "democratic states" and conclude that democracies do not go to war against other democracies.

Despite Hugo's francocentric vision, the united Europe he imagined shares many characteristics with the European Union, chief among them its republican and democratic nature, even though many member states today are monarchies, albeit constitutional ones, which disprove Hugo's contention that monarchies are destined to wage war and that they must therefore disappear for there to be real progress. And at least until the recent enlargement of the EU, the Franco-German axis was the real center of its economic and, above all, political power. In his essay on the Rhine published in 1842, Hugo affirmed, "For the universe to be in equilibrium Europe must have a double arch, as it were, two great states. One would be septentrional and eastern, resting against the Baltic Sea and the Black Sea, respectively, with Sweden, Denmark, Greece, and the principalities of the Danube serving as flying buttresses; the other will southern and western, --France, resting against the Mediterranean and Italy and with Spain as a buttress. A union between Germany and France would be the salvation of Europe, peace in the world"[21] (quoted by Poncet). Obviously, the preeminence of French leadership is controversial, not only in Germany, but also and especially in

the rest of the enlarged Union, whose member states are all small and resent dominance by either France or Germany. If anything, the influence of France in the EU is on the wane.

The notion of a united Europe was not Hugo's alone, of course. Rather, it was in keeping with the pan-European legacy of Napoleon, and it was floated by writers and thinkers as diverse as Chateaubriand, Lamartine, Saint-Simon, Michelet, Comte, and Hegel, to name only the most prominent; however, Hugo did support the idea more consistently than the others in the face of rising nationalism and created the much-vaunted term "a united states of Europe": "On 17 July, 1851, amid boos, I was the first to pronounce this word: the United States of Europe"[22] (quoted by Gallo). Churchill would re-launch the term in a famous speech after World War II, and it is still bandied about today, mainly on this side of the Atlantic since the Europeans themselves are perfectly content with the term "European Union" and would stop at nothing to avoid being seen as a European version of the US. Hugo's prediction is nothing short of extraordinary. In 1849, at a peace conference he presided over, Hugo confidently declared: "The day will come when all you nations on the Continent--France, Russia, England, Germany--without losing your distinctive qualities or your glorious individuality, will merge into a tight and superior unity… And that day, will come in less than 400 years. In our day and age, one year sometimes accomplishes the work of a century"[23] (quoted by Poncet). Perhaps one day Hugo will prove to be right about Russia, too, but this is not likely to happen anytime soon.

Interestingly, as a young man Hugo was not the working-class youth Gavroche from *Les Misérables*, but a monarchist, "le poète le plus ultra" (the *ultras* were an extremist royalist party in post-Napoleonic Restoration France) who, according to Stendhal, actually attacked a barricade during the Revolution of 1848 but like Rousseau before him abhorred any kind of violence, especially during a revolution when innocent people risked losing life and limb as well as their

property. People do change over time, and the shift in Hugo's beliefs helps demonstrate that the French nineteenth century was an extremely complex period. Remember, these were uncertain times. The French Revolution wreaked havoc on a traditional society that soon lost touch with its past and experimented freely with different forms of government. In less than a century France went through a more or less rapid succession of six regimes: two empires, not counting Napoleon's brief return from his first exile on the island of Elba during the Cent Jours, two monarchies, and two republics. What person would not have changed allegiance at least once or thrown up his arms in utter disbelief?

In point of fact, all the Romantics writers who would later make a name for themselves as committed writers, from Hugo and Chateaubriand to Vigny (definitely an intellectual but a failed army officer and politician) and Lamartine (a deputy and rousing orator in the Chamber and the president of the provisional republic after the Revolution of 1848), all went through a conservative royalist period before embracing a more inclusive and democratic vision of France. Who is to blame them for changing their minds? In more than one case they had personal baggage: to mention only one example, Chateaubriand's brother and sister-in-law died on the guillotine during the Terror, and his cousin, Armand de Chateaubriand, was executed for high treason during Napoleon's reign, so it is understandable that he might harbor certain monarchist sympathies. Chateaubriand still had time, however, to develop into a formidable liberal in the decades to come but had a poor sense of politics and, in the end, lost what little remained of his influence and personal wealth while trying to defend the seemingly irreconcilable ideas of constitutional monarchy and freedom of the press, on the one hand, and the "legitimate" branch of the Bourbon dynasty (which did not include Louis-Philippe), on the other. As he was close to death in 1848, alone in his flat in the rue du Bac on the Left Bank, he surely heard the fighting on the barricades nearby, which that would quickly do in the reformed

monarchy of the "citizen king" Louis-Philippe, and must have wondered "what if." Shortly, his fellow Romantic Lamartine, also a noted author, would take over the helm of government as president of the provisional republic before turning over power to a newly elected president who was none other than Louis-Napoleon, nephew of Napoleon Bonaparte and the future Napoleon III.

In 1852 Victor Hugo was forced to leave France after becoming involved in an unsuccessful attempt to topple the man whom he had derided mercilessly in poem after poem as *Napoléon le petit*. As Hugo himself stated: "Regarding M. Bonaparte there are only two possible attitudes: abstention or insurrection. One cannot reject the one without adopting the other."[24] He had gambled everything on popular resistance to Napoleon's coup and lost, so now he had to face the consequences and adopt a third "attitude": exile. But Napoleon III's regime turned out to be less dictatorial than Hugo and others had feared (though he himself, understandably, was afraid of returning to Paris to face the wrath of the emperor); France continued to industrialize, and, as Napoleon III grew secure in his position, he relaxed the reins of power, so much so that France actually was a lot more liberal than much of Europe at the time. In 1859 Napoleon III granted an amnesty to the insurgents of 1851, but Hugo swore not to return until France was free and gave us this memorable line from *La Légende des siècles*: "When liberty returns, so shall I."[25] All was well until Napoleon--for reasons of personal vanity more than anything else--decided to attack Prussia and lost both the war and his crown, all in the space of just a month or two. Not until World War II was France defeated as quickly as in the autumn of 1870. France's defeat was Hugo's triumph, and he returned home after nineteen years in exile to a hero's welcome, serving briefly as a deputy for the city of Paris and again five years later as senator. For the remainder of his life Hugo enjoyed the limelight as poet laureate of the Third Republic. When he died in 1885 at the age of eighty-three, he received a national funeral, a first for a poet in France, and a crowd of one million people accompanied him to

his final resting place at the Pantheon on 1 June. Hugo's many and usually massive contributions to every known literary genre span the nineteenth century, from his first collection of poetry, *Les Odes*, published in 1828 to his mature work in the 1860s and 1870s, and make him imposing and even magnificent, much like a French cathedral; Hugo's latest biographer Max Gallo called him "un monument dans le paysage" ("a monument in the landscape"). The person who has not heard of Victor Hugo, even on foreign shores, has probably not heard of the Eiffel Tower, either.

Several recent studies go even further and argue that the "real" Hugo was a far more intimidating and formidable figure than previously imagined. His "pantheonization" was a way for a timid Third Republic to anesthetize their dangerous idol, to somehow tame his revolutionary energy and put a lid on any effort in society to foment revolution by engaging his legacy.[26] What the nascent Third Republic did to Hugo in death is akin to what the seemingly impotent and indolent Louis-Philippe, portrayed as an overripe pear in most cartoons of the day, did to "l'aigle" (literally the "eagle," a nickname reserved for Napoleon), by bringing back his remains in December 1840 and exposing them in the Invalides, in a transparent attempt to have some of the glory of the great man rub off onto the Republic. Politicians manipulate the past all the time, so no one should be at all surprised; however, posterity should take heed: Louis-Philippe went to the extraordinary precaution of making sure that Napoleon's remains remained safely sealed in no less than four coffins, lest his ghost should somehow escape and overthrow the government, as Napoleon had done in 1814 when he ended the first Restoration. The reader eager for a first-hand account of the return of Napoleon's ashes from St. Helena to Paris should see Chateaubriand's *Mémoires d'Outre-Tombe* for a particularly lurid testimonial.[27] According to these "revisionist" scholars, Hugo was not a reformer as much as a revolutionary; for him the only way to true reform was through revolutionary action. Clearly this is another Hugo than the vigorous but presentable poet who is given to us at school in

manuals such as the venerable one by Lagarde et Michard (its new rival, edited by the recent minister of education in the Jospin government, Xavier Darcos, is not much different). However, critics such as Jean-François Kahn and Christophe Barbier cite many convincing examples of texts that reveal a subversive and hidden Hugo who remains to be discovered by the general reader.

To recapitulate: Looking for precursors of the committed French intellectual prior to the Dreyfus affair is at once a rewarding and frustrating experience. On the one hand, there is no shortage of candidates who, on first sight, appear to qualify, the Montaignes, Diderots, and Voltaires. On the other hand, there are important differences between these earlier figures and the left-leaning post-Dreyfus intellectuals I will be looking at in the chapters that follow. In the pages above I have commented on several writers, some obvious choices and some lesser known, and ignored others, such as Montaigne (1533-1592) or Pascal (1623-1662), to name only the most prominent, either because their contributions were not significant enough or, more often than not, because their interventions did not aim at changing society, which is one of the main themes of the nineteenth- and twentieth-century intellectuals who are my focus. However, Montaigne certainly is relevant in this context. In his *Essais* he expresses genuine horror at religious war and correctly observes both that religion can serve as the pretext for the unleashing of passions and that spiritual leaders on all sides almost always have ulterior political motives. One certainly understands his Stoic determination to seek the peace and quiet of a contemplative life; however, his reluctance to become involved makes him an unlikely candidate for a committed intellectual. True, he did serve as mayor of Bordeaux during a difficult time, trying hard to promote peace between Catholics and Protestants by bringing the future Henri IV and his enemies to the negotiating table. As for Pascal, he, too, deserves a second look. Although his concerns in *Lettres provinciales* (1656-1657) were strictly speaking of a religious nature, dealing with such topics as divine grace, he did appeal to

public opinion to judge the moral laxity of the Jesuits, whom he satirized with a combination of biting irony and cool detachment. The work was a huge commercial success and dealt the Jesuits a crippling blow. Moreover, Pascal, who was an early convert to Jansenism, used the *Lettres provinciales* to publicize the bitter feud between the Jesuits and the Jansenists, which was political as much as anything since Jansenism threatened official state policy vis-à-vis the Church. Not even the Revocation of the Edict of Nantes in 1683 (putting an end to the religious tolerance in effect since Henri IV's proclamation at Nantes in 1598 ending the religious wars) caused as much turmoil as the government's relentless struggle to destroy Jansenism. But the list goes on and on. Where does one draw the line and say "enough"? I have accomplished what I set out to do, which was to draw attention to some antecedents of the committed intellectual in France, and now I would like to underscore some of the similarities and differences between then and now.

To begin with, the individuals I have mentioned above all were committed to a cause. To Diderot and the other *encyclopédistes* as a group this cause was enlightenment and social progress, in opposition to superstition and, in a general way, to the Church, insofar as it went against what they judged to be common sense. To Voltaire the cause was justice; to Hugo, charity and the common good. Freedom seems to be a common trait for all: freedom to choose, freedom to be who they desire; freedom to live their life to the fullest without being harassed either by the authorities or by other citizens. The importance of empowering ordinary people and improving their lives across the board is something, I think, they could all agree on. Kant hit the nail on the head when he described the Enlightenment as "man's release from his self-incurred tutelage" (Kant 3). However, the eighteenth-century *philosophes* in particular also share a few negatives, chief among them the irresistible desire to flirt with power--Voltaire and Frederick, Diderot and Catherine the Great--which suggests a fascination with despotism, enlightened or not. The very notion that some people

cannot think for themselves and that some people are better placed to choose for them is a disturbing one replete with frightening echoes of the twentieth century. Yet there are striking differences between a Voltaire or a Hugo, on the one hand, and a Zola or a Malraux, on the other. For starters, Voltaire and Hugo were never part of a tightly-knit intellectual community. True, Voltaire was tied to the *Encyclopédie*, but he did not enjoy close working relations with any of its prominent contributors and disagreed about its tone, which he found too highbrow and likely to alienate the average reader, thereby forfeiting its purpose. Despite the literary salons and emerging coffee shop culture in Paris, one could argue that committed intellectuals did not organize into a collective when a crisis was at hand. For example, no one came to Voltaire's rescue when he was locked up in the Bastille, and Voltaire acted virtually alone to rehabilitate Calas. By contrast, when Malraux was imprisoned in Cambodia in 1924, there was a frenzy of activity on the Left Bank to get him released; and Zola, of course, was just the tip of the iceberg, representing a huge group effort to exonerate Dreyfus. Despite his enormous influence on intellectual life, Voltaire did not live in Paris for the last thirty or so years of his life, returning to the French capital in 1778 only to die. At Ferney he did receive visiting intellectual luminaries from across Europe, and their exchanges have been preserved for posterity in his correspondence; however, sitting in his chateau on the Swiss border, he was removed from the events of his day and therefore cannot be said to be part of a functioning and dynamic community of Parisian intellectuals. Equally relevant is the fact that Voltaire was the embodiment of a free intellectual spirit, shunning organizations like the plague, quarreling constantly with friend and foe alike (Holmes 49) and, just like committed intellectuals in the twentieth century, clinging to his independence of mind. As for Hugo, although he witnessed the Revolution of 1848 and later enjoyed a political career as an elected official in the Third Republic, his commitment too was that of an independent observer of society, and he never was part of a group

effort to reform France.

The *philosophes* movement in France during the eighteenth century was arguably a golden age for this new type of intellectual, whom I have defined as a socially conscious individual who makes a living writing from a vantage point that lies at once inside and outside society. The *philosophe* lives in a given society, which in the case of Diderot and Voltaire coincided with the waning years of absolute monarchy, but as a committed writer the *philosophe* steps outside this society to judge it according to higher moral and ethical standards. This intervention I call commitment or *engagement*. Unlike the Chinese mandarins, who formed an intellectual elite very much a part of traditional Chinese society, the *philosophes* in France maintained an uneasy and ambivalent relationship with the world around them. As Zev Barbu has observed, "The eighteenth-century French intellectuals... were ambiguously, if not dialectically, related to their society. They were both within it, as a differentiated group, and outside it, as its most bitter critics. In this respect they invite comparison with the Hebrew prophets of the sixth century B.C., though while the prophets acted as isolated personalities, the French intellectuals gradually emerged into a distinctive status group" (Barbu 80). Little wonder that the intellectuals would evolve into a new social species, the archetypal *exilé déclassé* we find in, for example, Conrad's novel *Under Western Eyes*. French intellectuals were insiders insofar as their ideas about social change were widely accepted by the upper echelons of society at large, insofar as they were sensitive to important issues. "They not only knew their society, but they worked on it by totalizing and reinforcing feelings and thoughts shared by many of its members--in other words by performing a sort of social maeutics" (Barbu 92). The duchesse de Maine, Madame de Lambert, Madame de Tencin, Madame du Deffand, Madame Geoffrin, and Mademoiselle de Lespinasse all hosted salons where the most glamorous writers of the day hobnobbed with some of the most influential people in France. The salon and the coffeehouse

were their stages where they could square off and perform the kind of soul-searching and ritual cleansing that we have come to associate with intellectual debate, which aims at exposing and purging the ills affecting the social body. The great invention of Socialism and especially Communism, in this respect, is organization and discipline. As efforts not only to change society but also to overthrow the existing social order crystallized and developed into a coherent party platform, ever greater demands were placed on dedication and loyalty. Marx charged that religion was the opium of the masses, but was not Communism a new religion of sorts that required every bit as much time, if not more, from its faithful? As Oscar Wilde quipped, "the problem with socialism is that it takes up so many evenings." Paradoxically, after spending centuries acquiring their independence, a large segment of the progressive intellectual estate was now getting ready to relinquish it by joining a new Church, Communism, and taking an oath of loyalty to a worldly pope in Moscow, Stalin.

More important, committed intellectuals must also be considered as outsiders insofar as their ideas, their radical ideas of social reform, are incompatible with the existing social order, for example, with absolute monarchy by divine right. The *Contrat social* automatically and irrevocably makes Rousseau an outsider and puts him on a par with God, as the creator of a vision for humankind that requires a complete transformation of society. Diderot, Voltaire, Rousseau, and their descendants are all outsiders, which is why intellectuals are sometimes adored as though they were divine beings and sometimes persecuted as though they were devils in disguise. Marx and Lenin were canonized in the East, but their followers were often harassed and oppressed in the West.

Although the fire of intellectual commitment had clearly blazed brightest by the time of the French Revolution, it lay smoldering throughout the nineteenth century and rekindled in the years

leading up to and immediately following the February Revolution of 1848, and again in 1870, during the Paris Commune, and thus survived as an ideal if not as a social and political reality. One of the great ideological inventions of the nineteenth century was, of course, Socialism, and by virtue of his enormous influence, Karl Marx must be considered as nothing less than a natural force in the intellectual world. Karl Marx was an intellectual, to be sure, as were the so-called Utopian Socialists. The latter were the direct descendants of the Enlightenment *philosophes* and remained a source of influence through the first half of the twentieth century. One easily recognizes the ideas about an ideal society of a Saint-Simon or a David Owen in many of the projects for the betterment of society associated with the Socialist enterprise of constructing a new society from the bottom up, from city planning and housing to education and leisure.

Still, it would be difficult to consider Karl Marx or any other official Socialist or Communist, for that matter, as a committed intellectual without doing violence to the freedom of thought and action that is such an integral part of the committed intellectual's vocation and situation in life. The committed intellectual must retain his or her freedom; otherwise, there would be nothing to distinguish this person from just another member of a political party or organization who happened to be an intellectual, that is to say an educated person, paid to perform a task or work of the mind. In the French 1930s, for instance, Gide was a committed intellectual, Aragon an intellectual Communist. While it may be true that some committed intellectuals occasionally come to be so closely identified with a party that they lose their identity as well as their independence of action (Romain Rolland and Jean-Paul Sartre are good examples of intellectuals who essentially sold out to the Communist Party), they must stay above the fray in the long run if they are to remain faithful to their mission to analyze the ills of contemporary society and to urge their fellow citizens to help change it for the better.

Because intellectuals always stress their independence as thinkers and see themselves as heirs of the Enlightenment, it is surprising, if not sad, to see so many progressive left-wing thinkers embrace Communism in the 1930s. While most did not join the Communist Party or even become Communists in the sense that they studied communist thought and ideology (Gide reportedly put down Karl Marx's *Das Kapital*, overwhelmed by its complexity and bored by its subject matter), they defended Communism and the Soviet Union uncritically, seemingly oblivious to the fact that Communism had become a new religion, more orthodox and oppressive than any previously known to humankind and more dangerous to human freedom than any other political system past or present. As we all know, Voltaire exhorted his contemporaries to, as he said, *Écrasez l'infame* (a phrase difficult to translate, the rough equivalent of which would be "crush infamy"), a slogan referring to the Church and with it the forces of reaction, so it is ironic that his twentieth-century descendants would willingly participate in the adulation of a new idol. Communism *was* a religion, and the parallels between the Roman Catholic Church and the Party are as obvious as they are numerous. Communism has its *sacred texts*, which are as precious to it as are the Bible and the Church fathers to Catholicism (the canonical texts by Marx, Engels, and Lenin, endorsed by the Party and revered by the masses); its *saints* (Marx, Engels, Lenin, Stalin to some extent, and several other luminaries before they fell from grace and were excluded from the Party, purged, exterminated, and even edited out of photographs); its *relics* (the mummified remains of Lenin and, until destalinization, of Stalin); its *creed* (the belief in the infallibility of the Party and its leader); its *church* (the Party--omniscient, wise, infallible, and always ready to defend the best interests of the people); its *faith* (that the dictatorship of the proletariat would eventually usher in the classless society); its *priesthood* (the anointed members of the Party); its *Mass* (festivities and commemorations honoring, for example, May Day and the October Revolution); its *hierarchy* of membership (ranging from youth

organizations such as the Komsomol to the Party itself with an inner circle consisting of the Politburo and the Central Committee), its *missionaries* and *crusaders* (the special agents of the Communist International, Comintern, set up to promote world revolution and to supervise the "liberation" of Eastern Europe, for example, at the end of World War II); its idea of *paradise* (the classless society); its *Satan* (basically capitalism but also, when politically convenient, fascism, imperialism, and social democracy, aka social fascism); its *orthodoxy* (Party *dogma* and the so-called "official line"); its *heresies* and *schisms* (the most famous of which is Trotskyism); its *Inquisition* (security organizations such as the OGPU, the NKVD, and the KGB identified the *sinners* to be brought before People's Courts, which judged the errors of the "*laity*"--the people--and the "*clergy*"--the Party--alike and which could excommunicate or sentence a person to the *stake*--the Gulag or the firing squad); its *witch hunts* (the infamous Moscow Show Trials being a good example); its *eschatology* or metaphysics (dialectical materialism or the belief in the inevitability of history, leading humankind from primitive forms of civilization, to feudalism, to capitalism, to Fascism, to Socialism, and finally to Communism); its *contradictions*, finally (the notion that humans are at once victims and agents of history or the idea that all men are born equal but that some men are divinely chosen, as it were, justifying the leadership cult).

Communism ended not because of a war or a revolution but because it collapsed from within, from a general *credibility* crisis, as though it had been a house of cards. How could one believe there was a pie in the sky when the even the best shops in the country were half-empty, including the so-called dollar shops that accepted only foreign hard currency and that I used to walk past on my way back to the Friedrichstrasse Bahnhof in Berlin to take the subway home … in the West. Most people in the East could no longer *believe* in a system that did not deliver, especially when the state was increasingly unwilling to use terror to make them accept it, as it had done in the past. The tragedy of

Communism is that it lasted for most of the twentieth century, killing and enslaving millions, and that prominent intellectuals in the West played along and in most cases sincerely believed that they were doing the right thing, the only thing possible under the circumstances.

It is certain that we would be a lot worse off without the Voltaires and Hugos of this world. They remain highly influential social critics. Hardly a day passes without my being reminded of one or the other. Voltaire preached religious tolerance, which sadly is still of the essence today (though he himself committed the unpardonable crime of anti-Semitism). As for Hugo, the French newspapers are especially keen on soliciting his hypothetical and posthumous opinion on everything from the death penalty to the European Union. In one paper I read: "would he approve of empowering the European parliament in Strasbourg?" In another, a journalist asks: "What would Hugo make of the problem of juvenile delinquency in an affluent post-modern society?" One commentator even demands that Hugo choose between Jospin and Chirac in the presidential election of 2000.

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[1] This is an edited version of chapters 1 and 2 of my forthcoming book about French intellectuals, which is tentatively entitled *The Rise and Fall of the French Intellectual, 1898-1935: From the Dreyfus Affair to the Totalitarian Temptation*. All translations are my own unless otherwise indicated. The French original is provided in the endnotes below.

[2] See Sirinelli and Winock for a thorough discussion of the impact of Émile Zola's *J'accuse* on the evolution of the intellectual community in France.

[3] See Pierre Barrière's monumental *La vie intellectuelle en France du XVIe siècle à l'époque contemporaine* (Paris, Éditions Albin Michel, 1961). Barrière casts his net wide, trying to capture the totality of the French nation's intellectual life and elucidate its rapport with demographics, politics, economics, philosophy, and esthetics, (1) and he provides us with a useful and very readable synthesis; however, his work is of truly encyclopedic proportions. Curiously, he does not discuss Zola and the committed intellectual at any great length.

[4] "[p]remière bombe lancée contre l'Ancien régime."

[5] "[il] faut cultiver notre jardin."

[6] In 1814 Voltaire and Rousseau's graves in the Panthéon were both vandalized, the bodies removed and then destroyed.

[7] "Il vengea Calas, La Barre, Sirven, et Montbailly. Poëte, philosophe, historien, il a fait prendre un grand essor à l'esprit humain, et nous a préparés à devenir libres."

[8] "On ne met pas Voltaire à la Bastille."

[9] "La révolution n'a pas besoin de poètes."

[10] "Pourtant, il y avait quelque chose là."

[11] "[a]ux morts de 1871… à tous ceux qui, victimes de l'injustice sociale, prirent les armes contre un monde mal fait et formèrent sous le drapeau de la Commune, la grande féderation des douleurs."

[12] "Ô heureux l'homme des champs, s'il connaissait son bonheur."

[13] The bicentennial of her birth in 2004 saw the publication of a number of outstanding essays, including Jean Chalon's *George Sand, une femme d'aujourd'hui* (Paris, Fayard, 2004).

[14] "Nous croyons que la mission de l'art est une mission de sentiment et d'amour, que le roman d'aujourd'hui devrait remplacer la parabole et l'apologue des temps naifs."

[15] "Il faut tout examiner, tout remuer sans exception et sans ménagement. Il faut fouler aux pieds toutes ces vieilles puérilités, renverser les barrières que la raison n'aura point posées, rendre aux sciences et aux arts une liberté qui leur est si précieuse. Mais ce siècle s'est fait attendre si longtemps...!"

[16] "[l]a part reservée de Dieu."

[17] "Je veux les peuples grands; je veux les hommes libres; je rêve pour la femme un avenir meilleur. Comment faire ici-bas décroître la douleur, la Faim, le dur labeur, le mal et la misère? Toutes ces questions me tiennent dans leur serre. "

[18] "L'édifice social du passé reposait sur trois colonnes, le prêtre, le roi, et le bourreau. Il y a déjà longtemps qu'une voix a dit: les Dieux s'en vont! Dernièrement, une voix s'est élévée et a crié: Les rois s'en vont! Il est temps, maintenant, qu'une troisième voix s'élève et dise: le bourreau s'en va!… La civilisation n'est autre chose qu'une série de transformations successives."

[19] "[l]e suffrage universel, en donnant un bulletin à ceux qui souffrent, leur ôte le fusil. En leur donnant la puissance, il leur donne le calme. Tout ce qui grandit l'homme l'apaise. Le suffrage universel dit à tous, et je ne connais pas de plus admirable formule de paix publique: soyez tranquilles, vous êtes souverains."

[20] "La France est d'utilité publique …Les autres nations sont seulement soeurs, elle est mère. Cette nation aura pour capitale Paris et ne s'appellera plus la France, elle s'appellera l'Europe."

[21] "Il faut, pour que l'univers soit en équilibre qu'il y ait en Europe, comme une double clef de voûte, deux grands États. L'un septentrional et oriental, l'Allemagne, s'appuyant à la Baltique et à la Mer Noire, avec la Suède, le Danemark, la

Grèce et les principautés du Danube pour arcs-boutants, l'autre méridional et occidental, la France, s'appuyant à la Méditerranée et à l'océan avec l'Italie et l'Espagne en contrefort. L'union de l'Allemagne et de la France serait le salut de l'Europe, la paix du monde."

[22] "J'ai le premier, le 17 juillet 1851, prononcé au milieu des huées ce mot: les États-Unis d'Europe."

[23] "Un jour viendra où vous France, vous Russie, vous Angleterre, vous Allemagne et vous toutes, nations du continent, sans perdre vos qualités distinctes et votre glorieuse individualité, vous vous fondez étroitement dans une unité supérieure… Et, ce jour-là, il ne faudra pas quatre cents ans pour l'amener… A l'époque où nous sommes, une année fait parfois l'ouvrage d'un siècle."

[24] "Devant M. Bonaparte, il n'y a que deux attitudes possibles: l'abstention ou l'insurrection. On ne peut quitter l'un sans prendre l'autre."

[25] "Quand la liberté rentrera, je rentrerai."

[26] See Jean-Francois Kahn, *L'Extraordinaire metamorphose*, Fayard 2002 and Barbier, Christophe, *Victor Hugo, un Révolutionnaire*, Fayard 2002.

[27] Chateaubriand, *Mémoires d'outre-tombe*, I, 1028-1032.

Julia Kristeva: Towards a Generative Model of Subjectivity

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Julia Kristeva: Toward a Generative Model of Subjectivity

ABSTRACT

Theorist Lois McNay has identified a negative paradigm of subject formation operative in poststructural feminist theory.[1] In general, this paradigm emphasizes subjects who are the effects of exclusionary symbolic structures and privileges structural indeterminacy over the reflexive agency of subjects engaged in practice. Within the negative paradigm, subjects are passive effects of discursive structures and are unable to mediate their relations to these structures. McNay argues that within this paradigm, subject formation and transformations occur either through a direct instantiation of the subject with symbolic structures, or from a failure of such an instantiation to take place. Such failures are the result of structural indeterminacy within the discursive system, and agency is cast as this indeterminacy. In this paradigm, an "indeterminacy which forms the ontological grounds for the emergence of change becomes elided with the emancipatory or political *per se.*"[2]

Philosopher Allison Weir is also critical of poststructural accounts of subjectivity as subjection. Although she does not refer to them as "negative paradigms," her criticisms fit with those of McNay's. Weir argues that models of subjectivity as subjection conflate linguistic identity as a logic of the same and a self identity as a process for critical engagement with others. She also identifies a conflation between the violence required for individuation and the violence of domination. These conflations

[1] See Weir, *Sacrificial Logics,* New York: Routledge, 1996, and McNay, *Gender and Agency* Cambridge, UK: Polity Press, 2000.
[2] McNay, 2000. p. 68.

lead to a rejection of identity altogether in favor of a politics of non-identity. In the negative paradigm, subject formation is a process only of force, submission, exclusion and domination. This forecloses the possibility of nondominating relations with others because the model is caught within the dualisms of identity/non-identity, and domination/resistance. Both Weir and McNay find this paradigm to lead to a view of the subject as unable to reflexively mediate her relations to symbolic structures and to deny the generative aspects of subjectivity.

In this paper, I will argue that Julia Kristeva moves beyond the negative paradigm and offers a generative model of subjectivity. By explicating her theory of subjectivity as signifiance, Kristeva's subject is underwritten by what I call a productive negativity, the wellspring of which is the semiotic chora. I use the term 'productive negativity' to indicate that subjects can transgress discursive boundaries, and also that subjects must create new meanings. I will show that Kristeva's subject in process/on trial is not a passive effect of discourse, but an active participant in the creation of herself and of new meaning. Kristeva's model of subjectivity offers promise for changing oppressive social conditions.

Henry James and Winslow Homer: Bachelor Observers of the American Girl

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Abstract for
Henry James and Winslow Homer: Bachelor Observers of the American Girl

Although Henry James (1843-1916) admired the painting style of Winslow Homer (1836-1910), he disapproved of his subject matter. James's negative review of Homer's subjects has led to the assumption that the author and artist had absolutely nothing in common. However, James was only referring to Homer's rustic subjects, not to his entire oeuvre. Despite James's criticism of Homer's pastoral works, the two had some surprising areas of commonality. Both men were well-traveled, lifelong bachelors whose primary shared area was their mutual interest in the American Girl. Through different professions, they spent years working towards the same goal: to study the American Girl.

James and Homer held remarkably similar views of the American Girl, which became manifest in the former's writings and the latter's imagery. Both men saw themselves as artist-reporters who were documenting the life of the American Girl: who she was, what she did, where she went, etc. James and Homer assumed the role of the bachelor-observer as they studied the American Girl. By situating her in various resort and tourist locales, they believed that they could better examine her character, in terms of her role in courtship, her taste in fashion, and her manners. Whereas James presented his findings in his 1878 novella Daisy Miller, Homer did so in his imagery from 1865-80, *Long Branch, New Jersey* (1869) being an important example.

Resorts were the perfect location for the voyeuristic bachelor-observer to take note of what was happening to American women. The resort was a new space for seeing and being seen and for women to escape the confines of domesticity for courtship. Fashion, as a visual phenomenon, fit right into this "scopic" regime. Resorts were analogous to fashion show runways where the latest concoctions of femininity were put on display for the consumption of those who were present to see them. Thus, men like James and Homer often visited these vacation spots, both in America and Europe.

The first of James's literary studies of the American Girl, Daisy Miller recounts the story of Annie P. Miller, nicknamed "Daisy", a nouveau riche, adolescent girl from Schenectady, New York, on vacation in Europe with her mother and brother. James studied Daisy, his quintessential American Girl, through the character of Winterbourne, an expatriate American. This bachelor-observer cannot understand why she insists on flirting with every man in sight. Unwillingly attracted to her, he tries in vain to elevate her American behavior to the standards of his European upbringing. Despite his defense of Daisy to other expatriates, Winterbourne is plagued by doubt regarding her innocence.

Introduction

In the July 1875 issue of The Galaxy, Henry James (1843-1916) presented a mixed review of the paintings of Winslow Homer (1836-1910). Although he admired Homer's style, he disapproved of his subject matter. James states, "We frankly confess that we detest his subjects – his barren plank fences, his glaring, bald, blue skies, his big dreary, vacant lots of meadows, his freckled, straight-haired Yankee urchins, his flat-breasted maidens, suggestive of a dish of rural doughnuts and pie, his calico sun-bonnets, his flannel shirts, his cowhide boots."[1] James's opinion of Homer's subjects has led to the assumption that the author and artist had absolutely nothing in common. However, James was only referring to Homer's rustic subjects, not to his entire oeuvre. James admits, "there is nevertheless something one likes about him."

Despite James's criticism of Homer's pastoral works, the two had some areas of commonality, such as their interest in the visual arts. In addition, they both had a mutual friend in the American painter John La Farge (1835-1910).[2] It was La Farge who helped James decide to pursue a literary career, rather than an artistic one. La Farge also introduced James to the French writings of Honoré de Balzac (1799-1850), Prosper Mérimée (1803-1870), and Alfred de Musset (1810-1857). James greatly admired La Farge's images and wrote glowing reviews about them. Homer, whose paintings La Farge favored more than those of any other American artist, preferred to discuss art only with him. It was probably through La Farge that Homer was

1. Henry James, "On Some Pictures Lately Exhibited," The Galaxy (1875): 93.

2. Henry Adams, "The Mind of John La Farge," John La Farge (New York: Abbeville Press, 1987), 14, 16-17, 64, 69.

introduced to Japanese prints.[3] When Homer died, La Farge composed a poignant eulogy for him.

Besides their friendship with La Farge, James and Homer held remarkably similar views of the American Girl, which became manifest in the former's writings and the latter's imagery. Both men saw themselves as artist-reporters who were documenting the life of the American Girl: who she was, what she did, where she went, etc. James and Homer assumed the role of the bachelor-observer as they studied the American Girl. By situating her in various resort and tourist locales, they believed that they could better examine her character, in terms of her role in courtship, her taste in fashion, and her manners. This paper will examine similar depictions of the American Girl in James's 1878 novella Daisy Miller and in some of Homer's paintings and prints from 1865-80, such as *The Bridle Path, White Mountains* (1868) and *The Beach at Long Branch* (1869). James, who had once harbored aspirations of becoming a painter, originally gave his literary creation the title Daisy Miller: A Study, in order to suggest that his novel was a work of visual art. He later used a similar allusion to painting in the title of his 1881 novel, The Portrait of a Lady.

In spite of their similarities, James and Homer had significant differences, as well, especially in their outlook on life. Born in Washington Place, New York, James was educated largely in Europe and spent much of his adult life away from the United States, even to the extent of becoming a British citizen. Ironically, Homer, who came from the cultivated city of Boston, did not share James's cosmopolitan proclivities. Even though Homer also went to England and France, he always returned to the land of his birth, where he could paint the rural

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3. Henry Adams, "Winslow Homer's 'Impressionism' and Its Relation to His Trip to France," Winslow Homer: A Symposium: Studies in the History of Art 26, ed. Nicolai Cikovsky (Washington, DC: National Gallery of Art,

pictures that he loved so much. These differences extend to how both men viewed the American Girl. Although James focused the majority of his career on her, Homer only spent part of his studying her. While James saw her almost as an obsession, Homer thought of her as just a phase.

The first of James's literary studies of the American Girl, Daisy Miller recounts the story of Annie P. Miller, nicknamed "Daisy", a nouveau riche, adolescent girl from Schnectady, New York, on vacation in Europe with her mother and brother. While there, Daisy meets an expatriate American named Frederick Winterbourne, who cannot understand why she insists on flirting with every man in sight. Unwillingly attracted to her, he tries in vain to elevate her American behavior to the standards of his European upbringing. Despite his defense of Daisy to other expatriates, Winterbourne is plagued by doubt regarding her innocence.

The American Girl and the Girl of the Period

Although the terms American Girl and Girl of the Period are sometimes used interchangeably, the latter is actually a subset of the former. Both labels were used to identify young, unmarried women in the United States from the mid- to late nineteenth century. However, this is where their similarity ends. The American Girl was a liberated, freethinking woman who defied social conventions.[4] Her purpose in life was to live it in any way she saw fit, regardless of anyone's objections.

Coined in mid-nineteenth-century England, the phrase Girl of the Period was used derisively to describe American Girls who were obsessed with wearing the latest fashions,

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1990) 74.

4. Henry Adams, "The Identity of Winslow Homer's 'Mystery Woman'," The Burlington Magazine 132 (1990): 246.

especially costly, extravagant outfits and accessories.[5] Even though the American Girl was also fashionably attired, it was generally in a more subdued way. The Girl of the Period, on the other hand, was easily recognizable with her trademark tiny corseted waist, large bustled posterior, and elaborate gowns overflowing with yards of silk, lace, and other expensive fabrics and trimmings. Her tresses, both real and false, were always swept up and back in a complicated chignon hairstyle. The impractical dresses worn by the Girl of the Period forced her body to assume an unnatural, S-like shape called the Grecian Bend. In her ostentatious costume, she looked less like a person and more like a ship in full sail or a peacock on parade.[6]

Since the Girl of the Period was part of the broader category of the American Girl, a woman could be both at the same time. Daisy Miller, who exhibits the characteristics of both types, is one such example. Like the American Girl, she has a mind of her own. On one of the few occasions where she is not flirting with Winterbourne, Daisy defiantly informs him that she has "never allowed a gentleman to dictate to [her], or to interfere with anything [she does]" (88). However, her passion for fashion is just as strong as that of the Girl of the Period. When Daisy first meets Winterbourne, she boasts about her extensive wardrobe, which consists of "ever so many dresses and things from Paris" (56). The French capital was famous for its couturiers, who

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5. Sarah Burns, "Winslow Homer and the Natural Woman," American Victorians and Virgin Nature 29, ed. T.J. Lears (Fenway Court: Isabella Stewart Gardner Museum, 2002) 18, 21.

6. The terms American Girl and Girl of the Period were used by the art critic Eugene Benson to identify the women in Homer's resort paintings. See Eugene Benson, "The Annual Exhibition of the Academy," Putnam's Monthly Magazine of American Literature, Science and Art 15 (1870): 702 and Eugene Benson, "Our Social Paradise," Appleton's Journal (1870): 51. For a recent discussion of these terms, see Burns, "Winslow," 18.

catered to the upper classes on both sides of the Atlantic. In spite of Daisy being classified as a Girl of the Period by other writers, James himself never placed her in this category.[7]

Although Daisy is both an American Girl and a Girl of the Period, James does present female characters who are either one or the other. In his 1886 novel The Bostonians, for example, the public speaker Verena Tarrant epitomizes the American Girl, while the fashion plate Adeline Luna is clearly a Girl of the Period. Verena devotes herself to the women's movement, but Adeline dedicates herself to women's apparel.

In a similar vein, Homer portrays his countrywomen either as American Girls or as Girls of the Period, rather than having the same woman represent both categories. Although his Girls of the Period dress just as ostentatiously as does Daisy Miller, his interpretation of the American Girl is somewhat different from that of James. Whereas James sees her as strong-willed and opinionated, Homer visualizes her as introspective and solitary. Daisy is eventually punished for her open defiance of conventional standards of behavior. Homer's American Girls, however, push against the boundaries of proper conduct in a subtle way and never receive their comeuppance. In spite of Daisy being repeatedly warned that her actions are wrong, no one in Homer's images tells his women that what they are doing is wrong.

The Bachelor-Observer

Even though James and Homer both chose to study the American Girl, they did so through different media. While James observed her through the character of Winterbourne in his novel Daisy Miller, Homer studied her directly by way of his paintings and prints. However, both men exhibited traits of the bachelor-observer.

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7. Clair Hughes, Henry James and the Art of Dress (New York: Palgrave, 2001): 18.

For much of the nineteenth century, England and the United States experienced a dramatic decrease in the percentage of people who got married. This marital decline gave rise to the bachelor-observer, a popular character in mid-nineteenth- and early-twentieth-century literature.[8] Often serving as the narrator, he appeared in novels about conflict between men and women, as well as between high and low culture. Since the bachelor did not fulfill the traditional male roles of husband and father, he was a truly modern individual. By crossing domestic boundaries, he could also penetrate cultural ones in order to observe the other characters in a novel, regardless of their social status.

A confirmed bachelor, James's purpose in life was to observe people. Only by remaining unmarried could he have the freedom to pursue his dream of becoming a high-cultural male author and critic. By not taking a wife, he could devote himself exclusively to his literary career. Bachelorhood allowed him to experience all that life had to offer, without anything being forbidden. His unwed status permitted him to be a man of the streets who could go anywhere, while not having a stigma attached to his comings and goings.

Although James was not in favor of marriage for himself, he did not eschew romance, which he looked upon as one of the many experiences in life. Early in his career, he fell in love with his cousin, Minny Temple.[9] Unfortunately, their budding courtship was tragically cut short by her premature death from tuberculosis in 1870. She was just twenty-four. Having lost out on romance as a young man, James never became enamored of a woman again. However, he always remembered his brief happiness with Minny, even to the point of basing his characters of

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8. Katherine V. Snyder, Bachelors, Manhood, and the Novel, 1850-1925 (Cambridge: Cambridge University Press, 1999): 2-4, 6, 7, 10, 104, 106, 113, 119, 121, 137, 139.

9. Virginia C. Fowler, Henry James's American Girl: The Embroidery on the Canvas (Madison: University of Wisconsin Press, 1984), 10.

Isabel Archer and Milly Theale, from The Portrait of a Lady (1881) and The Wings of the Dove (1902), respectively, on her.

Like James, Homer lost his only chance for romance, the difference being that the woman he loved preferred someone else. In the late 1860s, he met a budding artist named Helena de Kay (1846-1916) and was instantly smitten.[10] Consequently, Homer contrived to spend time with her by attempting to become her drawing teacher. When Helena, who did not return his love, declined this offer, he decided to paint her repeatedly. She appears in such works as *The Butterfly* and *Summer Afternoon* (both from 1872). He also began to incorporate the theme of courtship into his prints and paintings during this time, including *St. Valentine's Day* (1868) and *Waiting for an Answer* (1872). In 1872, de Kay met the poet Richard Watson Gilder (1844-1909). Discovering that they had a great deal in common, such as similar tastes in music and poetry, as well as their patrician backgrounds, the two fell in love and were married two years later. Coincidentally, Gilder was James's editor at the Century Magazine, in which his novel The Bostonians appeared as installments in 1885-86.[11]

Thwarted in his desire to win Helena's love, Homer painted his final picture of her, his *Portrait of Helena de Kay*. In this 1872 painting, she is dressed in somber black with her head bowed down, seemingly in a gesture of grief. Homer shows a closed book in her hands as a sign that this romantic chapter in his life has been shut forever. A rose, de Kay's signature flower, lays fallen on the floor, its petals scattered around it. So too did she drop Homer when Gilder entered her life, leaving him to pick up the broken pieces of his heart.

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10. Sarah Burns, "Courtship of Winslow Homer," The Magazine Antiques 161 (2002): 68, 71, 73-75.

11. Introduction to Henry James, The Bostonians, ed. Alfred Habegger (Indianapolis: Bobbs-Merrill Company, Inc., 1976), xxxiv.

After Helena's marriage in 1874, Homer gave up painting romantic subjects. He also began to avoid her, even though she always remained cordial to him. Having suffered the pangs of unrequited love, it seems that he foreswore romance itself. However, in the mid- to late 1870s, he depicted the same red-haired, unknown woman in some of his paintings, such as *Too Thoughtful for Her Years*, or *Young Girl at a Window* (1875), *Shall I Tell Your Fortune?* (1876), and *Blackboard* (1877). Her repeated appearance originally led to speculation that Homer had once again become attracted to an unattainable woman.[12] It is unlikely that this mysterious woman was de Kay because of the differences in appearance between them. There is nothing to suggest that he ever became romantically involved with a woman again and he essentially stopped painting the American Girl just before his trip to England in 1881. For the rest of his life, Homer remained a bachelor.

In Daisy Miller, the bachelor character Winterbourne serves as the eyes and ears of James, which casts him as the true protagonist in this story, rather than Daisy.[13] Although readers know Daisy's every action, they are never privy to her thoughts. Her behavior is explained from the other characters' points of view, but primarily that of Winterbourne. He, on the other hand, always reveals his mental processes in order to explain the reasons for his actions.

Naïve when it comes to American women, Winterbourne believes that he has acquired some knowledge about them by listening to the opinions of others. However, he does not consider himself to be an expert on women and welcomes the opportunity to observe them first-hand, which Daisy provides him. Throughout his acquaintance with her, though, he discovers

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12. Henry Adams, "Winslow Homer's Mystery Woman," Arts and Antiques (1984): 40.

that American women are not as easy to study as his courses in Geneva, where he had been educated. Daisy's flirtatious behavior leaves him thoroughly confused about exactly what kind of label to affix to her. Winterbourne believes that he must know which category of women to put Daisy in, to determine how he should feel towards her, as well as how to treat her, based upon his European upbringing.[14]

Although Winterbourne sees himself as a perfect gentleman, his conduct towards Daisy is anything but gentlemanly. He spends a great deal of time in her company, in order to analyze the motives for her actions. Rather than smiling at Daisy and making polite conversation, however, Winterbourne, with a serious expression on his face, often stares either at her or off into space. She periodically comments that he looks "so grave" (75) and "as stiff as an umbrella" (108) and complains that he has not "spoken to [her] for half an hour" (72) and that she is determined to "make [him] say something." When he does speak to her, though, it is primarily to criticize her behavior. Winterbourne warns Daisy that her "habits are those of a flirt" and that "flirting is a purely American custom; it doesn't exist [in Europe]" (99). Referring to himself, he advises her that she "should sometimes listen to a gentleman – the right one" (88). Winterbourne constantly lectures Daisy on how she should behave, but does not really explain why she needs to alter her conduct. He predicts the consequences of her actions without providing any reasons for changing them. He wants to know what is going on inside her head, yet is so preoccupied with his ideas of propriety that he is incapable of understanding her. At the same time, he fails to realize that he has not let her into his mind. In spite of all the time he spends with her, Winterbourne is only physically near Daisy, never emotionally. Determined to study her in the

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13. R. P. Draper, "Death of a Hero? Winterbourne and Daisy Miller," Studies in Short Fiction 6 (1969): 601, 605.

same methodical manner in which he studied at Geneva, he does so, psychologically at least, from afar.

Similar to James, who studied the American Girl through literature, Homer observed her through the visual arts. From 1865-80, women constituted his predominant subject matter, both in his paintings and in his prints. Eager to become a successful and respected artist, he soon learned that what his viewers wanted to see were pictures of beautiful, young women. Dozens of artists in America and Europe had already discovered that producing images of pretty girls would lead to wealth and prestige. Hoping to benefit by following their example, Homer switched subjects, from soldiers to the American Girl, shortly after the end of the Civil War.

In addition to depicting the American Girl, Homer sometimes shows the bachelor-observer watching her. In his 1869 wood engraving for Appleton's Journal, *The Beach at Long Branch*, a gentleman admires the bathing beauties at the seashore. Since no woman accompanies him, the viewer can safely assume that he is not married. By remaining unwed, this bachelor is at liberty to walk the gauntlet and look at all the pretty girls who catch his eye, without his behavior being considered improper. James could have had Homer's picture in mind when he describes Winterbourne as having "a great relish for feminine beauty; he was addicted to observing and analysing it…." (53).

Like Winterbourne, through whom James observed American women, Homer sought to study them in a strictly disinterested way, without becoming emotionally involved in their lives. However, his infatuation for Helena de Kay had temporarily diverted him from this objective. In order to present an accurate report on the American Girl, he felt it was important that she be observed, in a semi-voyeuristic way, without her being aware of it. If she knew that she was

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14. Carl Wood, "Frederick Winterbourne, James's Prisoner of Chillon," Studies in the Novel 9 (1977): 39.

being studied, she might change her behavior in some way. A few of Homer's paintings of the American Girl, including *Portrait of a Lady* and *The Trysting Place*, both from 1875, show her by herself. With her head lowered in the former, and turned to one side in the latter, she has no idea that anyone is looking at her because she is lost in thought.

In other paintings, such as *The Bridle Path, White Mountains* (1868) and *Long Branch, New Jersey* (1869), Homer includes additional figures, but relegates them to the background. The female equestrian in *The Bridle Path, White Mountains*, her head slightly down and to the side, appears to be just as mentally preoccupied as the women in the two previous works. *Long Branch, New Jersey* is somewhat different from the other pictures, in that the focus is on two women, rather than one. However, neither woman interacts with the other, both due to the physical distance between them and because they are gazing in separate directions. While the woman near the center of the painting looks toward the distant figures, the other peers down the precipice upon which both of them stand. Each woman is isolated in her own world.

When Homer does include a few instances of interaction among his figures, the interaction is limited. In the painting *The Croquet Game*, or *Croquet Scene* (1866), a man with a mustache has stooped to adjust the position of a croquet ball on the grass. Since Homer, who sported a large, handlebar mustache, sometimes included himself in his works, this kneeling man could very well be him.[15] Assuming that the unknown man is Homer, he has taken a step from being a detached observer to becoming a participant-observer. Although two female croquet players stand on either side of him, while a third is in the right background, he does not acknowledge their presence in any way. Seemingly huddled within himself as a protection

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15. Pamela Jane Sachant, "Winslow Homer in the White Mountains, 1868-1870: Portraits of an Uncertain Nation," Historical New Hampshire 54 (1999): 150, 153.

against these women, he pays attention only to the ball. As he interacts with the women only in a limited physical sense, so are they just as oblivious of him. Even though he is within their line of vision, none of the women look at him. Like him, they are focused just on the ball, especially the player in red on the right, who demurely lifts the hem of her skirt to give him more access to it. *The Croquet Game* could have been called *The Croquet Ball* because that is the real subject of this painting.

Three years later, Homer decided to include some interaction within this group. The same crouching man, along with the two women flanking him, appear in *The Picnic Excursion*, an illustration that Homer produced for Appleton's Journal. Although the women have changed their outfits, he still wears his dark jacket, light pants, and straw hat from *The Croquet Game*. Their poses are virtually the same as before, except for the added interaction. Instead of ignoring both female companions, the man raises his head and exchanges a look with the woman on the left, while removing a bottle of wine from a picnic basket.

Another example of Homer's croquet paintings, *Croquet Players* (1865), is somewhat different from the *Croquet Game* in the positions of the man and trio of female players. Although Homer includes a couple having a conversation, they are situated in the background. He did not want interaction between a man and woman to be the focus of this painting. By depicting the man as clean-shaven, Homer does not identify himself with him. Standing in the middle ground, wearing a top hat, is a man who could likely be a substitute for the artist, in spite of his beard. He is situated a few feet from the circle of women, who are the true subject in the picture, as the title indicates. From this distant vantage point, he is able to observe the women's actions without their being aware of it.

Resort Culture

Both James and Homer chose to situate the American Girl in various resort towns, which were the ideal places to observe large numbers of women. During the Gilded Age, middle and upper class Americans, including James and Homer, flocked to resorts in Europe and the United States. These vacation spots provided opportunities to see and be seen, especially in regard to American women. James set Daisy Miller in the European cities of Vevey and Rome. Although not exactly a resort, Rome drew many tourists in the nineteenth century, as it still does today. Homer, on the other hand, decided to focus on locales that were close to home, such as Saratoga, the White Mountains, and Long Branch.

During his childhood, James had visited Newport, Rhode Island, a summer resort famous for its opulent mansions. As an adult, he returned to this place, as did other literary figures, like Edith Wharton (1862-1937), and artists, including his friend John La Farge. However, Newport did not particularly impress James, who mockingly described the grand estates as white elephants in his 1907 book-length essay The American Scene. His negative opinion of Newport could have been merely because it was in America. Educated in London, Paris, and Geneva, he continued to move from one part of Europe to another before eventually becoming a British citizen in 1915.

Daisy Miller begins in Vevey, a health resort located next to Lake Geneva in Switzerland. For American tourists in search of a European counterpart to resorts back home, Vevey was the perfect spot. James explains, "In this region, in the month of June, American travellers are extremely numerous; it may be said indeed that Vevey assumes at this period some of the characteristics of an American watering-place. There are sights and sounds which evoke a vision, an echo, of Newport and Saratoga" (47). In fact, the grand hotels at Vevey and other

international resorts were purposely modeled after those in American locales. French for "Three Crowns," the Trois Couronnes, Vevey's best hotel, received its royal name to make guests feel as if they were staying in a king's palace. However, James believed that this Swiss establishment mentally transported American visitors "to the Ocean House [in Newport] or to Congress Hall [in Saratoga]."

For Homer, his heart was as much in America as James's was in Europe. Unlike James, the only resorts that Homer was interested in depicting were in his own country, particularly in the region of New England. Many of his resort images were turned into prints for publications, such as Harper's Weekly, Harper's Bazar, and Appleton's Journal. The purpose of these illustrations was to encourage the magazines' readers, who had the leisure and means, to visit their nation's vacation sites. His other resort works became paintings that were displayed at the National Academy of Design in New York. By exhibiting them in such a prestigious venue, he sought to prove that pictures of contemporary travelers on vacation were indeed worthy subject matter. Homer depicted his compatriots, especially women, doing everything in American resorts that they did at European ones.

Despite his preference for American locales, Homer did on one occasion portray the American Girl abroad. This example appears in his 1868 wood engraving *Art-Students and Copyists in the Louvre Gallery, Paris*. Produced for Harper's Weekly, it is based on what Homer saw while visiting the European city in the previous year. He shows the Impressionist painter Mary Cassatt (1844-1926) standing with a paintbrush in one hand and a palette,

maulstick, and more brushes in the other.[16] She stares in amazement at an enormous canvas, upon which another female artist paints Christ bearing his cross. Although Paris, like Rome, was not a resort, it was, and still is, a popular vacation destination. In addition to tourists, Paris drew art students seeking to hone their talents by copying the works of the old masters in such museums as the Louvre. Cassatt, a budding painter at the time, was following other American artists who believed that they would have a greater opportunity to develop their skills by studying and painting in Europe. After all, that is why Homer went abroad in 1867. Even though Cassatt was not an American Girl, per se, she did exhibit certain characteristics, like wealth, youth, and beauty, which could lead to this assumption. In addition, Paris was one of the cities in Europe where she studied art from 1866-70. It is a distinct possibility, therefore, that Cassatt and Homer were in the French capital at the same time.

Homer's illustration of Mary Cassatt in the Louvre, assuming that he actually saw her there, is an unusual example of Homer depicting an American woman in an international venue. Typically, however, he preferred to show the American Girl in her own country. In 1865, Harper's Weekly sent Homer to Saratoga Springs, a New York resort with two claims to fame: its horse races and its water. In fulfillment of his assignment, he created *Our Watering-Places – Horse-Racing at Saratoga*, an engraving that shows a viewing stand packed with spectators eagerly watching one of the resort's famous horse races. The viewers are depicted in a variety of positions: cheering, leaning forward, standing up, and waving their hats. Caught up in the excitement of the race, several of Homer's American Girls ignore proper, feminine decorum. At Saratoga and other resorts, the rules of etiquette were somewhat relaxed. Some of Homer's girls

16. Although Professor David Tatham of Syracuse University identifies this female painter as Mary Cassatt, Elizabeth Johns disagrees with him, believing that Homer was not representing a specific artist. See Elizabeth

stand in front of seated spectators in order to get a better look at the jockeys and horses, thereby blocking the views of those behind them. A seated American Girl on the right rests her elbows on the railing in front of her, rather than sitting up with her back straight. A few of these women even accept the public embraces of the men next to them.

Four years later, Homer returned to the New York watering hole in order to produce *At the Spring: Saratoga* for Hearth and Home. This illustration depicts a large group of tourists about to drink the spa's medicinal water, even though none of them appears to be suffering from any physical ailments. In spite of the fact that the springs were originally meant to treat existing diseases, people started to believe that Saratoga's water could also prevent them. In Homer's image, Girls of the Period raise glasses to their lips, while gentlemen raise theirs in toasts, no doubt to the women's health. Unlike in *Our Watering-Places – Horse-Racing at Saratoga*, these American Girls appear to be far more demure. Concentrating on their glasses of water, they look down and away from the men within their midst. The only woman who does not avert her gaze stands in the middle of the composition and looks steadily at a man who raises his glass in a toast to her, while his back is to the viewer.

From 1868-70, Homer visited New Hampshire's White Mountains, a resort that was developed in response to the advent of American mountain climbing. Although he made several images based on his preliminary sketches there, two of his works are particularly noteworthy. They are his 1868 painting *The Bridle Path, White Mountains* and his 1870 wood engraving for Harper's Bazar, *The Coolest Spot in New England – Summit of Mount Washington*. In *The Bridle Path, White Mountains*, Homer shows the American Girl on horseback by herself in the mountains. When his friend Eugene Benson saw this painting in 1870, he praised this woman as

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Johns, Winslow Homer: The Nature of Observation (Berkeley: University of California Press, 2002) 54-55, 175.

"so truly American, so delicate and sunny, that, of course, you surrender yourself to the pleasure of her breezy, health-giving ride; you look at her with gusto;…an American girl out-of-doors, by an American artist with American characteristics…"[17] He saw in her the epitome of the New Woman, who was now becoming more independent as a result of the Civil War.[18] However, Benson did not mention the somewhat melancholy expression on the equestrienne's face. Homer might have painted her looking weary in order to emphasize the necessity for his compatriots who lived within the noisy, polluted confines of modern cities to temporarily escape to the healthy, relaxing mountains and countryside.[19]

In *The Coolest Spot in New England – Summit of Mount Washington*, Homer depicts himself in the background, wearing the latest in city fashion and seated on a breezy precipice.[20] In the White Mountains, especially its famous peak, Mount Washington, he saw himself not as an artist merely recording the activities of his countrymen, but as a fellow tourist actively participating in these pastimes. Surrounded by Girls of the Period, however, his uneasy posture suggests that being around them makes him feel uncomfortable. When he produced this engraving in 1870, he had already met and fallen in love with Helena de Kay. By not looking at the Modern Women in his print, Homer could very well be insinuating that he only has eyes for Helena. In fact, he does not look at anything in particular, but rather gazes off into the distance beyond the composition, perhaps conjuring an image of de Kay in his mind.

Long Branch, a seaside resort in New Jersey, was recently established when Homer visited it in 1869-70. As with the White Mountains, he featured it multiple times in paintings

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17. Benson, "Annual," 702-3.

18. Sachant, "Winslow," 145, 147.

19. Ibid., 146.

20. Ibid., 150-51.

and prints. His 1869 painting *Long Branch, New Jersey* is almost a literal visualization of at least one scene in Daisy Miller, even though Homer painted it nine years before James wrote his novel. The story begins with Winterbourne having a cup of coffee in a garden at the Trois Couronnes. Looking up, he notices "a beautiful young lady advancing…The young lady paused in front of his bench, near the parapet of the garden, which overlooked the lake" (50-51). Ostensibly, the young lady, whom Winterbourne soon learns is Daisy, has entered this garden in order to admire the view of Lake Geneva. Rather than proceeding closer to the lakeshore, though, Daisy stops next to where he is seated. In reality, she is less interested in appreciating the wonders of nature and more intent on placing herself on-view to be admired by Winterbourne, as well as by any other men in the vicinity. In *Long Branch, New Jersey*, Homer depicts two young women standing on a cliff overlooking the beach below. By choosing this high vantage point, they are in the perfect spot to see and be seen. The American Girl on the left observes the activities of her fellow tourists in the distance, while her companion on the right takes a closer look through a pince-nez.

The following year, Homer returned to Long Branch, in order to show how the American Girl traveled in style. His resulting engraving, *On the Beach at Long Branch*, was published in Harper's Bazar. He depicts a trio of Girls of the Period putting themselves on display by riding in an open carriage along the shore. By traveling in this fancy vehicle, which is equipped with lamps, so they can go for rides day or night, these women are certain to draw the attention of every man whom they drive past.

Although Daisy Miller prefers to display herself to men by walking with them, she might have enjoyed going for a ride if it was in an elegant, open carriage, like the one in Homer's work. The only time that she is offered a ride is when the highly conventional Mrs. Walker, one of the

expatriate Americans living in Rome, attempts to spirit her away from the Pincian Gardens. Scandalized by Daisy's audacity to take a walk in public without a proper chaperone, Mrs. Walker urges her in vain to join her in her victoria, a carriage with a folding hood. In Peter Bogdanovich's 1974 film version of Daisy Miller, the hood has been raised.[21] Despite James's omission in the novel to state whether or not the hood was up, it more than likely was raised, since Mrs. Walker was anxious to get Daisy away from the public eye as quickly as possible. If she had arrived in an open carriage, like in the illustration *On the Beach at Long Branch*, perhaps Daisy would have been sorely tempted to climb into it.

Fashion

In the mid-nineteenth century, a consumer culture began to develop in the United States.[22] One of the primary industries that flourished during this period was that of fashion. Instead of hiring a dressmaker to create a one-of-a-kind outfit based on an individual's measurements, Americans could now shop at department stores, which offered ready-made apparel from such famous couturiers as the house of Worth. Even in Europe, customers could purchase clothes in designer boutiques.

James's preoccupation with fashion, which began during his childhood, played an important role in his life and oeuvre.[23] He was almost always fastidious about his outward appearance, even to the extent of having a hat for every occasion. As an art critic, he paid particular attention to the depictions of clothing in paintings. He did not approve, however, of artists who included a plethora of minute details in their costumes, believing that it distracted

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21. In 1974, Peter Bogdanovich directed a film version of Daisy Miller, starring Cybill Shepherd in the title role. The movie follows James's text rather closely, especially in terms of the dialogue.

22. Hughes, Henry, 29.

23. Ibid., 2, 3, 7-9.

viewers from looking at the picture as a whole. Ironically, he classified Homer as the kind of artist who painted in an overly realistic way, preferring instead the loose brushstrokes of Impressionism. Other writers frequently criticized Homer's imagery for its sketchy, unfinished appearance.

Although American upper-class men went on the grand tour of Europe to acquire culture as part of their education, Daisy Miller goes there to obtain clothes. She knows that the best way to catch a man's eye is by wearing elaborate attire. Her lavish costume is the first thing that Winterbourne notices when he first sees her. Daisy "was dressed in white muslin, with a hundred frills and flounces, and knots of pale-colored ribbon. She was bare-headed; but she balanced in her hand a large parasol, with a deep border of embroidery…." (51).

However, although in many respects a Girl of the Period, Daisy does not always dress in an ostentatious way. Before meeting Winterbourne in the lobby of the Trois Couronnes to tour the Castle of Chillon with him, she chooses a remarkably subdued traveling outfit for their trip. Ironically, her taste for such elegant clothing is her one redeeming quality in the eyes of the expatriate Americans in Vevey and Rome. Even Winterbourne's aunt, Mrs. Costello, who refuses to meet the Millers because they are common, admits that Daisy "dresses in perfection" and she "can't think where they get their taste" (62). Nevertheless, Mrs. Costello cannot understand why a girl who obviously knows how to dress properly cannot also behave properly.

Like James, Homer was also highly concerned about his clothing, so much so in fact that his colleagues commented on his dapper appearance.[24] This fastidiousness in apparel probably reflected his determination to project an image of affluence in spite of the economic highs and lows he experienced in the art market. When depicting his Girls of the Period, Homer made

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24. Johns, Winslow, 11.

them just as fashionable as James made Daisy. In his 1869 painting *Long Branch, New Jersey*, the two women on the cliff wear costumes that are almost exactly like the one Daisy has on at the beginning of the novel. Both Girls of the Period are attired in pristine white dresses with ribbons tied in bows at their necks and backs. Ruffles adorn their gowns in different places. While the woman on the left has two frilly rows on the skirt of her dress, the one on the right displays frills around her bodice and waist. Just as Daisy does, these girls carry parasols, one holding hers up as protection from the sun, the other holding hers folded and against her side. Unlike the bareheaded Daisy, though, both women wear small hats pulled down low toward their foreheads.

Just as James presents an American Girl and a Girl of the Period together in another of his novels, The Bostonians, so does Homer in some of his works. One such example, which emphasizes their differences in fashion, is his 1869 wood engraving for Harper's Weekly, *The Summit of Mount Washington*. In it, Homer depicts the same American Girl from his painting *The Bridle Path, White Mountains* of the previous year.[25] Although she is riding a horse by herself in the painting, she is here joined by another equestrienne, a Girl of the Period. Homer provides subtle clues about clothing to help the viewer differentiate between the American Girl and the Girl of the Period. Both women appear to be wearing similar costumes; however, there are important distinctions between them. The collar on the American Girl's dress is a simple design that covers most of her neck. The Girl of the Period, on the other hand, sports a ruffled collar that is cut low enough to show off her swan-like neck. In addition, she has a ribbon tied around her neck, just like the two women in *Long Branch, New Jersey*. The American Girl wears a somewhat large coalscuttle hat, whose shape, as well as its wide ribbons, hides her hair.

25. She also appears in his 1869 painting *Mount Washington*. See Sachant, "Winslow," 147, 158.

The hat chosen by the Girl of the Period is smaller and worn towards the front of her head, in order to display her fashionable chignon style, which she gives the audience a full view of by turning her head.

The Girl of the Period's addiction to dressing ostentatiously and putting herself on public display led to a backlash from writers in England and the United States.[26] American fashion plates were rebuked for not emulating more sensibly attired Englishwomen. Although James did not join these authors in satirizing the Girl of the Period, at least, not in Daisy Miller, Homer, along with other artists, did. If *Long Branch, New Jersey* represents an idyllic summer day, then *On the Bluff at Long Branch, at the Bathing Hour* depicts exactly the opposite. It is quite possible that Homer is showing the same cliff from different angles, since both works have a white flag flying from the top of a stairway leading down to a building for changing into bathing dresses. Whereas a gentle breeze barely caresses the ribbons and hems of the women's outfits in the 1869 painting, a blustery wind wreaks havoc on them in this Harper's Weekly wood engraving, produced the following year. By showing their lavish costumes being blown about, Homer points out just how ridiculous these fashionable women really look. Instead of depicting two Girls of the Period on a precipice, as in *Long Branch, New Jersey*, Homer shows five of them in his illustration. Having walked up here via the nearby stairs, no doubt to display their latest fashions, these women realize too late the folly of their decision. By selecting such a high vantage point, they have unwittingly made themselves, as well as their clothes, more vulnerable to the blasting wind. The Girls of the Period must now contend with the forces of nature as they attempt to reach the stairway and descend to the less windy beach below. Even though all of them struggle to keep their apparel intact, Homer focuses on the rather humorous attempts of the

26. Hughes, Henry, 14-19, 23.

two girls in the foreground. The one on the left is so intent on keeping the front of her dress from flying up that she does not notice the ribbons on the back of her gown blowing over her head. The girl on the right, though, has given up any pretensions to modesty in her desperation to get to the stairway as quickly as possible. Her only concern is in keeping her hat on her head and its ribbons away from her eyes so she can see where she is going. Consequently, she pays no attention to her skirt billowing out and against her legs, thus displaying one of her stockings. Nineteenth-century etiquette dictated that a lady's lower limbs must be entirely concealed at all times, the only exception being the tips of her shoes.

Courtship

The nineteenth-century American custom of allowing a woman to choose her own husband caused a great deal of anxiety about whom she would select.[27] Parents were worried that their daughters might make the wrong choice and marry men who would mistreat them or abscond with their inheritance. In order to protect unmarried girls from falling prey to such undesirable suitors, courtship was limited to the public sphere. One of the most popular locations to woo potential mates was at resorts, where the rules of courtship were not as strictly enforced.

Since courtship is a major theme in Daisy Miller, James sets his story exclusively at resorts. When Daisy breaks the rules of proper behavior, she also violates the ones regarding courtship. Winterbourne and the other expatriate Americans criticize Daisy, both to her and behind her back, for being friends with Giovanelli, an Italian whom she meets in Rome. They do not understand the nature of Daisy and Giovanelli's friendship and assume that since he is a foreigner, he must be a fortune hunter. Their relationship is difficult for the Americans to

27. Johns, Winslow, 22, 23, 59.

classify because it is simultaneously open and concealed. Although Daisy and Giovanelli meet in public places, they always find ways to spend time alone together. In the Pincian Gardens, they escape the crowds by strolling to a low wall overlooking the Villa Borghese. In order to avoid any prying eyes, especially those of Winterbourne, Giovanelli "took her parasol out of her hands and opened it. She came a little nearer and he held the parasol over her; then, still holding it, he let it rest upon her shoulder, so that both their heads were hidden from Winterbourne" (95-96).

Unfortunately, Daisy takes her friendship with Giovanelli too far by insisting that he show her the Colosseum at night, despite the risk of malaria. Winterbourne is furious to discover them together here, not just because he is worried about her health, but also because he had unsuccessfully attempted to be alone with Daisy after dark. Even though Winterbourne appears to follow every rule of courtship, he would be glad to disregard them in order to have some private time with Daisy. When she jokingly suggests that he row her over to Chillon one evening, he immediately begs her mother to give her consent because "he had never yet enjoyed the sensation of guiding through the summer starlight a skiff freighted with a fresh and beautiful young girl" (71). Having been denied this opportunity by Daisy changing her mind, Winterbourne does find a chance to be alone with her by bribing the custodian at Chillon to let them explore the castle on their own. Nevertheless, Winterbourne is angry to see Giovanelli succeed so easily where he had, at first, failed.

Like James with his European resorts, Homer touches upon courtship at American resorts in his 1865 Harper's Weekly wood engraving *Our Watering-Places – Horse-Racing at Saratoga*, in which men put their arms around American Girls. However, he focuses more on courtship in another illustration for this magazine, *Homeward Bound*, produced two years later. Set on the

same ship that brought him home from France, this engraving makes a man and woman promenading along the deck the center of attention.[28] Watched by a few of their fellow passengers, they could very well be in a courtship based on their actions towards each other. Since the ship is tilted, the gentleman politely offers the lady his arm to hold on to in order to steady herself. However, he takes care not to touch her by closing one hand and thrusting the other into his pocket. It is perfectly acceptable, though, for his companion to touch him, which she does by resting her right hand on his crooked arm, while putting her left one across his back to clasp his shoulder. In addition, she leans slightly towards him, although he remains standing upright. Even though the woman is the one allowed to make physical contact, the man does have one advantage over her. He is free to gaze at her, whereas she must demurely avert her eyes from him.

Despite his depiction of romance at sea, Homer preferred to show courting couples during games of croquet. Men in search of opportunities to woo prospective wives discovered them by playing croquet.[29] The game's lack of over-strenuousness and fierce, physical competition provided one of the few occasions for women to participate in an outdoor activity.[30] Croquet took place in a quiet, semi-secluded area, such as a private garden, and was played by only a few people. Although a group of spectators might be watching the game's progress, they did so from a distance, perhaps from the back porch of someone's home. Since croquet was considered to be a proper setting for men and women to congregate, it offered the chance for

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28. Judy Bullington, "Henry Bacon's Imaging of Transatlantic Travel in the Gilded Age," Nineteenth Century Studies 14 (2000): 66, 67.

29. Johns, Winslow, 46, 47.

30. David Park Curry, "Winslow Homer and Croquet," Antiques 26 (1984): 154-57.

them to engage in courtship. Some couples were so intent on flirtation that playing the game of croquet became merely an excuse to play the game of love.

Homer was so drawn to the subject of croquet that he painted it five times and made numerous studies for engravings. One example of courtship taking place on a croquet lawn is his 1865 painting *Croquet Players*. A man and woman are depicted having a conversation in the background. Their distance from the other players indicates that they have chosen to spend a few moments alone together. Even though they are not completely alone on this lawn, they do enjoy a degree of privacy in that their conversation cannot be overheard by anyone else.

Painters of Modern Life

By giving their audience a glimpse into the world of the bachelor-observer, women, fashion, resort culture, and courtship, James and Homer were following the ideas expressed by the French writer Charles Baudelaire (1821-1867) in his The Painter of Modern Life.[31] Having both been to France, it is highly likely that they became familiar with his writings there. Although Baudelaire had his compatriot Constantin Guys (1802-1892) in mind when he wrote this 1863 essay, both James and Homer fulfilled the criteria of painters of modern life.

Baudelaire tirelessly urged artists and writers to concentrate on modernity by capturing the fleeting moments of the world around them. As flâneurs, his term for the bachelor-observer, they were in the ideal position to observe modern life by immersing themselves in crowds. Curiosity compelled the man of the world to study people in general and women in particular. At the same time, however, he avoided being studied himself. In Daisy Miller, James, a worldly bachelor-observer, studied women through the character of Winterbourne, an expatriate

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31. Charles Baudelaire, The Painter of Modern Life, and Other Essays (London: Phaidon, 1964), 4-7, 9, 11-13, 15, 24, 27, 30, 31, 33-37, 39, 40.

American. Winterbourne spends the entire novella observing Daisy both close-up and from afar. Homer, who was also a single man of the world, studied women by including a bachelor-observer in his paintings and illustrations. Sometimes the flâneur resembles him, while other times he does not. Even when Homer eliminated the observer from his images, his audience understood that they were the spectators.

Baudelaire pointed to women as the ideal subject for painters and authors because, through them, they could produce masterpieces in art and writing. After all, the purpose of women was to beguile men, particularly the flâneur. Baudelaire separated women into various categories, including wives, courtesans, and actresses. Both James and Homer devoted years of their lives to the study of women. Winterbourne constantly debates with himself as to whether Daisy is an innocent girl or a flirt. Homer differentiated between the American Girl and the Girl of the Period by depicting them both separately and together in his works. Although Baudelaire wanted his male spectators to notice their beauty, they should especially focus on their lavish costumes.

Like James and Homer, Baudelaire was highly fastidious about his attire. If he especially liked a certain suit, he would purchase twelve copies of it. The extravagant fashions worn by women dazzled Baudelaire, who saw a woman and her outfit as a single, combined entity. He believed that a woman and her apparel gave each other life. Consequently, his flâneur keenly observed the latest in female appearance, taking note of any changes in how a gown was cut or a hairstyle was arranged. James and Homer were equally observant of feminine clothing. Winterbourne is instantly enchanted by how well Daisy dresses when he first meets her. Homer paid careful attention to his rendering of women's clothes, particularly when he wanted to emphasize the differences between an American Girl and a Girl of the Period.

Baudelaire identified several European resorts as the perfect places to observe women in their furs, satins, silks, and velvets. In the resorts' public gardens, they put themselves on display by taking leisurely strolls or riding in ornate carriages. James sets Daisy Miller exclusively in the European locales of Vevey and Rome, where the title character displays herself by going for walks in the public gardens. Homer preferred to study women in American resorts, some of which influenced the design of those in Europe. In addition to taking walks, he shows his fashionable, female compatriots going for carriage rides.

Baudelaire sought to glorify love by associating it with those who had the wealth and leisure to indulge in it. His observer was always present to witness occurrences of courtship among the upper and middle classes. James describes the flirtatious encounters between Winterbourne, who was educated abroad, and Daisy, a nouveau riche girl on vacation in Europe. Homer depicts courting couples strolling the decks of ships during trans-Atlantic sea voyages and playing croquet, a game that was created for the wealthy.

Conclusion

At first glance, it would appear that Henry James and Winslow Homer had nothing in common. After all, they came from different backgrounds, pursued different careers, and James disparaged Homer's pastoral pictures in The Galaxy. Nevertheless, they actually shared some surprising commonalties. This paper has attempted to emphasize the similarities between James, through his 1878 novella Daisy Miller, and Homer, through his paintings and prints from 1865-80, such as *The Bridle Path, White Mountains* (1868) and *The Beach at Long Branch* (1869). Both men were well-traveled, lifelong bachelors who had been hurt by love. Through different professions, they spent years working towards the same goal: to study the American Girl. As bachelor-observers, they followed her to resorts in order to report on her clothes, romances, and

behavior. By transferring Charles Baudelaire's ideas to their oeuvre, James and Homer experienced the world by going out and seeing it for themselves, thus becoming painters of modern life. These two artists then presented their findings to their audiences in order to show them the world in a whole new light, rather than through the eyes of painters from centuries ago.

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Proceedings Submission:
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Abstract

This paper presents an archaeological and architectural overview of four monumental structures on the Greek mainland dating from the Classical and Hellenistic periods, which can be grouped under the general designation of *tholoi*. Rather than adhering to the quadrangular ground plan that is prevalent throughout Greek architecture, these structures utilize a circular configuration, a feature which traditional scholarship believes was determined largely by their function. This conservative approach to structural interpretation dismisses the architectural landscape within which these monuments were constructed and the reasons why they departed from the canon of traditional Greek architecture. An examination of the surviving archaeological remains and their relationships with the surrounding built environment has led to a hypothesis that regards the circular plan as a deliberate choice by the architect, not because of the function it would serve, but for the visual impact it would make in contrast to the buildings around

it. The circular plan of the structure would have stood out in the visual experience of the viewer, thus indicating a special and unique feature in the architectural landscape that could be utilized to indicate places worthy of attention at individual sites.[†]

[†] The author would like to thank Professor Brad Ault of the State University of New York at Buffalo for his comments and advice during the preparation of this work.

It has been generally accepted by scholars that with the completion of the temple of Athena Parthenos on the Athenian Acropolis in the latter half of the 5th century BC, monumental Greek public architecture achieved its apex of development. While this temple was magnificent and is still held by many as the standard against which all ancient architecture is to be judged, from the exterior it is a highly conservative monument with very little to differentiate it architecturally from the multitude of other temples located throughout the Greek mainland. By the time of the Parthenon construction, the elements of monumental public architecture had become canonized to such a degree that the only means of differentiating one structure from another was location and external decorative elements which took the form of pedimental statuary, acroteria, and sculpted metopes. From the 8th century BC on, the basic ground plan of Greek public architecture, especially sacred architecture began to be regularized based upon a long rectangular colonnaded space, the earliest known example being the first Heriaon on the island of Samos. While the primitive architectural elements of early temples would continue to develop into those characteristic of the Doric order on the Greek mainland, and the Ionic and Corinthian orders in the Greek East, thus showing some regional variation of architectural styles, overall the quadrangular ground plan of the structure remained constant, coming to be standard in nearly all Greek monumental architecture of both a sacred and secular nature. While the majority of structures conformed to this tradition, a very small number challenged Greek architectural conservatism by adopting a circular rather than a quadrangular ground plan. These structures, classified under the general designation of *tholoi* utilize elements of all three architectural orders that have been

modified slightly to make them more suitable for incorporation into a round structure. Buildings of this particular type have received only cursory treatment in relatively recent literature concerning the corpus of Greek architecture, and because of their generally late dates are considered by some scholars to mark the beginning of architectural degradation in Greece from its zenith in the Classical period to its corruption in the Hellenistic.[1] When these structures are discussed, the main focus generally concerns questions of function, rather than architectural interpretation. These debates, in attempting to ascertain the function of the building have largely ignored a far more basic question, namely why they deviate from the long established quadrangular ground plan in favor of an unorthodox circular one. It is the focus of this paper to examine the *tholoi* of Delphi, Epidauros, Olympia, and Athens in terms of their architectural programs and ground plans, and to propose a hypothesis as to why these structures broke from one of the longest standing canonical features of Greek architecture.

The earliest example of a monumental *tholos* comes from the site of Delphi, which was located in the region of Locris and famed in antiquity for its oracular priestess. This structure, commonly referred to as the "Old Tholos," was destroyed at some point in antiquity, perhaps by a fire that ravaged much of the sanctuary in 548 BC, with the surviving fragments being re-used in the foundations of the treasury of Sicyon, which was built approximately 500 BC.[2] While the original location and function of the structure is unknown, enough fragments have been recovered to permit a fairly accurate restoration of its overall architectural plan (Figure 1). The evidence indicates that the structure was rather small compared to other, later *tholoi*, measuring approximately 6.3

[1] William Dinsmoor, in his work *Architecture of Ancient Greece* discusses these structures in a chapter entitled "The Beginning of the Decadence."
[2] Holmberg 1979, 18.

meters in diameter, with a circular cella surrounded by a peristyle of 13 Doric columns of relatively slender proportion, roughly 6.5 diameters in height.[3] The entablature consisted of the standard triglyph/metope frieze, but unlike other examples, no consideration was given to the placement of the triglyphs in relation to either the columns or the architrave joints.[4]

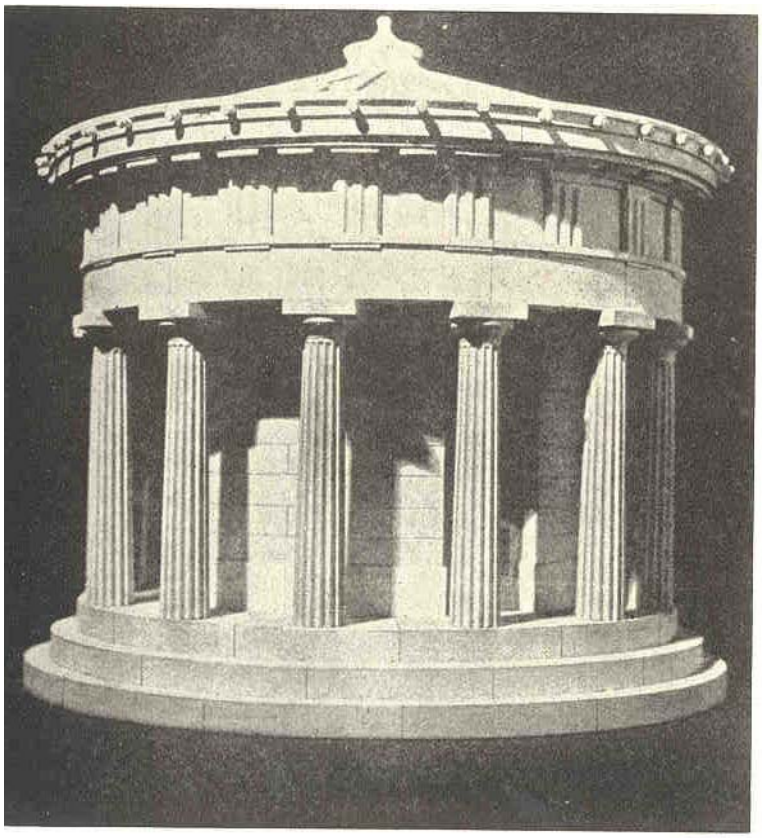

Figure 1: "Old Tholos" at Delphi. (Dinsmoor 1950, 116.)

Instead, it appears that the triglyphs were placed in order to provide the monument with traditionally square metopes, which would not have been possible if the frieze had been executed in strict Doric fashion.[5] Based on the archaeological and architectural evidence,

[3] Dinsmoor 1950, 117.
[4] Dinsmoor 1950, 117.
[5] In this situation, a canonical Doric frieze would have required 26 triglyphs, one over each column, and one in each intercolumnar space. Such an arrangement would have resulted in very narrow, rectangular metopes, which would have made the frieze look very awkward architecturally.

the early *tholos* at Delphi has been dated to the mid 6th century BC, and it has been hypothesized as being an early treasury or other type of votive structure dedicated by Cleisthenes, the tyrant of Sicyon.[6] If this interpretation is correct, the fact that the plan is circular rather than quadrangular would seem to indicate a desire to distinguish this structure from all of the others located at the sanctuary that functioned in a similar capacity, an effect which would have been highly desirable in the conspicuous competition that is known to have existed between ancient Greek city states in their dedications at sanctuary sites. Thus, this early *tholos* may mark the beginning of a difference in visual meaning between structures with circular and quadrangular ground plans.

Of the monumental *tholoi* that are located in sanctuary contexts, the oldest dates to the early 4th century BC[7] and is located in the lower sanctuary of Athena Pronaia, known also as the Marmaria Precinct at Delphi (Figure 2). While Pausanias makes mention of this area in his description of the approach to the main sanctuary, he provides only vague details, and relates almost no information concerning this particular monument. The only

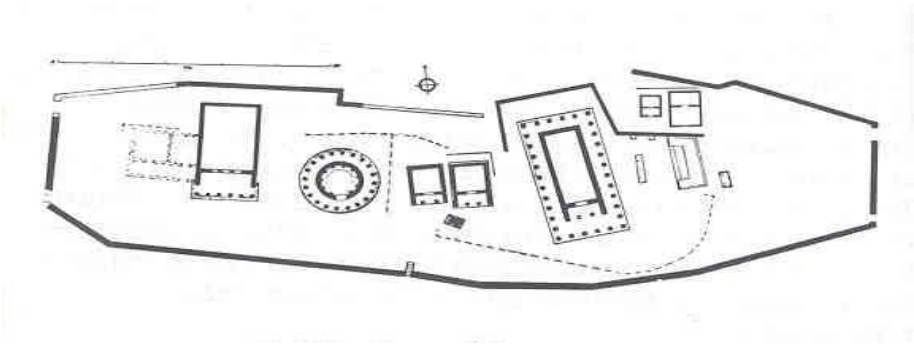

Figure 2: Delphi-Marmaria Precinct (Holmberg 1979, 30.)

[6] Holmberg 1979, 19.
[7] Dated to approximately 375 BC based on the style of the carved metopes.

literary account concerning the structure is a reference to a lost Greek work written by Theodoros of Phocaea, presumably the architect of the structure, which was consulted and cited by the Roman author Vitruvius writing in the late 1st century BC.[8] The *tholos* at Delphi was built completely of marble and was raised approximately one meter above ground level by a tufa foundation and limestone euthynteria, which supported a stylobate measuring 13.5 meters in diameter.[9] Upon this level stood a circular columnar peristyle (*pteron*) of 20 Doric columns with slender proportions measuring 5.93 meters in height. This attenuation was offset by reducing the intercolumnar space, giving the structure an appearance of solidity, especially in its upper sections.[10] The colonnade is surmounted by a Doric entablature, which unlike the earlier *tholos* adheres to the canon of two metopes per intercolumnation, and was capped by an ornately carved *sima* featuring a *rinceau* of acanthus leaves that accentuated drain spouts carved in the shape of lion heads.[11] Within the perimeter of the colonnade was constructed a cella that measured 8.41 meters in diameter with a dado constructed in dark bluish-gray limestone that was separated from the white marble upper portion of the wall by a molded fillet carved with floral decoration. As it exists, the archaeological evidence seems to indicate that the elevation of the cella rose above the level of the colonnade, and was also equipped with a trigylph/metope frieze, although much smaller in scale than the one on the exterior.[12] This raised central portion of the cella, which may have been used to provide the structure with a system of clerestory lighting necessitates the reconstruction of the roof in

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[8] Lawrence 1983, 240.
[9] Bommelaer 1991, 65.
[10] Bommelaer 1991, 65.
[11] Bommelaer 1991, 67.
[12] Dinsmoor 1950, 234. This reconstruction is based on the recovery of two sizes of triglyphs and metopes, the larger fitting the circumference of the peristyle, the smaller fitting the circumference of the cella.

two distinct parts: a central flat conical section over the cella itself, and a "ring roof" covering the area between the exterior colonnade and the cella wall, giving a distinctive bi-level appearance to the structure.

The cella was entered from the south, with the architecture of the interior strongly echoing that of the exterior, although much more ornate. The dado of dark bluish-gray limestone is repeated on the interior of the structure where it contributes to the architectural conception of the space. Rather than a simple flat surface, the dado flares out to form a bench like socle, upon which were placed ten Corinthian columns, each on a radial line between the center of the structure and alternating columns on the exterior. Very little remains of this interior colonnade, and although it has been hypothesized that these columns carried an entablature, no direct evidence has been discovered to support this theory. While the columns were freestanding, they were placed in extremely close proximity to the cella wall, a fact which would have largely negated any type of active role they may have played as load bearing members in the architectural system of the structure, relegating them instead to purely decorative elements.

While the exact function of the *tholos* at Delphi is unknown and is a matter of some debate in the archaeological community,[13] it seems clear that although the structure was sacred, it was not a temple since it is not mentioned by Pausanias, even in passing during his account of the other temples located in the Marmaria Precinct. Regardless of what the function of this structure was, the fact that it featured a circular rather than a rectangular plan would have served to distinguish it visually from the other monuments in the

[13] Some hypothetical functions are dining room, music hall, heroön, prytaneion, hoplotheque (armory), and the location of the communal hearth. This last proposition seems the least probable considering that no traces of burning were discovered anywhere in the structure.

architectural landscape of the sanctuary, perhaps marking a place worthy of special attention.

The largest and most elaborate of the monumental *tholoi* constructed on the Greek mainland is located in the sanctuary of Asklepios at the site of Epidauros in the eastern Argolid. This sanctuary, one of the major healing centers in Greece, was founded approximately 500 BC, and it is hypothesized that the *tholos* marked the burial spot of Asklepios, acting as both a cenotaph and a heroön for the mortal son of Apollo. In his description of the sanctuary, Pausanias relates that the architect of the structure was Polykleitos, the same individual who was also responsible for the design of the theater at the site.[14] While chronologically it is impossible that the architect at Epidauros and the famous sculptor from Argos are the same individual, it has been suggested that the two were perhaps related, especially given the fact that even in antiquity the theater of Epidauros was famous for its seemingly perfect proportions, a characteristic which the sculptor Polykleitos made famous in his work.[15] However, it is also equally possible that the two individuals were entirely unrelated, and that by the time of Pausanias the error of identity had become standard belief.

The *tholos* was located inside the *temenos* of the sanctuary of Asklepios, approximately 20 meters to the south of the main temple. Unlike the majority of Greek monuments, the precise conditions, costs, and contractors who worked on the structure are known through a series of inscriptions that list the details of construction specifically.[16] Based on these documents, it appears as that the *tholos* was begun

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[14] Pausanias 2.xxvii.5
[15] Tomlinson 1983, 67.
[16] Unfortunately the name of the architect is missing, so that Pausanias' assertion as to the identity of the architect cannot be confirmed.

between 365-360 BC immediately following the completion of the main temple, and continued for a period of at least 27 years.[17] The structure itself was both wider and taller than the temple, and was lavishly decorated, clearly distinguishing it as one of the most important elements of the sanctuary, but being far enough removed from the main temple so as not to overpower it.[18] This is particularly relevant if the *tholos* served as the cenotaph of Asklepios himself, since it would not be religiously proper to have a monument dedicated to Asklepios the god existing in the overpowering shadow of one dedicated to Asklepios the mortal hero.

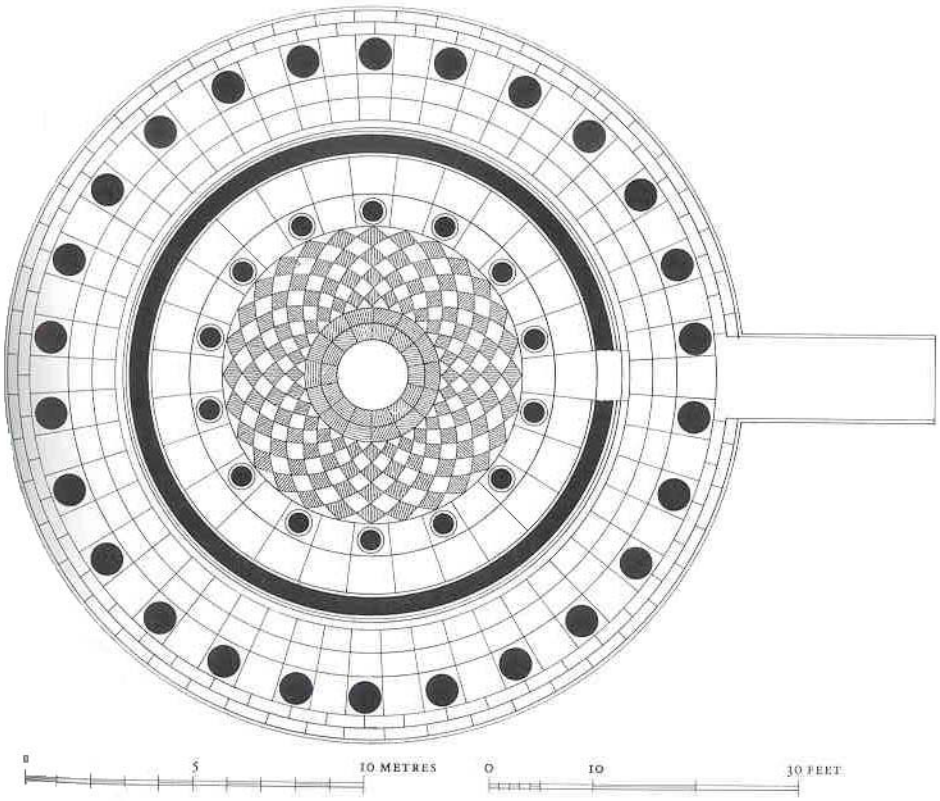

Figure 3: Plan- Tholos of Epidauros (Lawrence 1983, 243)

[17] Burford 1969, 63-5. During the first ten years, the foundations, euthynteria, and stylobate were laid, the colonnade was built to the level of the cornice, and the cella walls were set in place. The cella doorway received attention in the 13th-14th year, and by the 17th year work started on the inside of the cella.
[18] Tomlinson 1983, 60-1.

In terms of its architecture, the *tholos* at Epidauros is quite similar to the one at Delphi, only on a slightly larger scale (Figure 3). The structure is approached from the east, where a large ramp marks the location of the doorway leading into the cella. The circular platform rose in three steps and had a total diameter of 21.82 meters,[19] on which stood a peristyle of 26 attenuated Doric columns, which as at Delphi were necessary in order to correct for the distortion of proportions encountered with circular structures.[20] The colonnade was surmounted by a canonical Doric frieze; above which was an elaborately carved *sima* with acanthus leaf scrolls and carved lion head spouts. Apart from the difference in scale, the only major external difference between the *tholoi* of Epidauros and Delphi was the manner in which the roof was constructed. Rather than a bi-level roof supported on a raised cella wall, the *tholos* at Epidauros employed a continuously sloped flat conical roof that terminated in an elaborate floral acroterion based on the pattern of the acanthus plant and scroll at its apex.[21]

Unlike the exterior of the structure, the interior of the cella shows a much different arrangement of architectural elements than that previously seen at Delphi. At Epidauros, the interior colonnade of 14 Corinthian columns does not display any direct correlation in alignment with the exterior colonnade,[22] and rather than being abutted on a socle next to the wall, the columns are freestanding, creating a peristyle ambulatory around the interior perimeter of the structure. Unlike the interior colonnade at Delphi, which seems to be purely decorative in nature, the one at Epidauros was crowned with an Ionic style frieze

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[19] Lawrence 1983, 241.
[20] Tomlinson 1983, 64. The columns are reconstructed with a total height of 6.88 meters (column height 6.5 meters, capital height .38 meters). Column height is almost seven times the base diameter of .992 meters.
[21] Tomlinson 1983, 65.
[22] Tomlinson 1983, 65.

course that supported a system of coffered stone slabs that covered the intervening space between the cella wall and the frieze itself. The presence of an interior colonnaded ambulatory in Greek architecture is rare, and the reasons for the inclusion of such a feature in a structure of this type are curious. However, based on the writings of Pausanias, who relates that the interior walls of the cella were decorated with fresco paintings, two of which were painted by Pausias of Sicyon,[23] it is possible that the *tholos* was intended not only to be a cenotaph for Asklepios, but also a *pinakotheke* for those undergoing ritual incubation at the sanctuary.

Perhaps the most bizarre architectural feature of this structure is not what could be seen by the ancient viewer, but rather what was hidden, namely the intricate system of foundations consisting of six concentric rings of tufa blocks, all of which belong to the same building phase.[24] The three exterior rings are substantially more massive than those of the interior since it was here that the main thrust from the roof and cella was channeled down through the walls and columns. The three inner rings were accessible from the central ring, which was most likely reached by means of a trap door in the center of the cella floor. From this central position, narrow doorways that lead to the outer rings are staggered and sealed off from each other by narrow stone partition walls, so that one ring had to be completely traversed in order to gain access to the next.[25] While the exact function of this "labyrinth" of foundation walls is unknown, its location in a structure inside the *temenos* of a sanctuary would seem to indicate some type of ritual function, either dedicated to Asklepios in his role as a mortal hero, or in his role as a chthonic divinity acting in a healing capacity. Whatever the function of the structure may have

[23] Pausanias 2.xxvii.3
[24] Tomlinson 1983, 61.
[25] Tomlinson 1983, 61.

been in antiquity, it is clear that from the lavishness of its interior and exterior decoration, as well as its potential ritual functions that the structure was intended to be recognized by visitors as an important place, a goal which would be aided through the use of a circular rather than a quadrangular plan, thus differentiating this structure architecturally from all the others in the sanctuary.

Of the three *tholoi* set in sanctuary contexts, the latest, and the one that deviates most dramatically in an architectural sense from the previous examples is that of the Philippeum, located within the *altis* at the pan-hellenic sanctuary of Olympia (Figure 4). The monument was supposedly commissioned by Philip II of Macedon in 336 BC, shortly after he defeated the Greek forces at the Battle of Chaeronea, thus bringing Greece under the Macedonian hegemony. Although the plan of this structure resembles those observed at both Delphi and Epidauros, architecturally it is quite different,

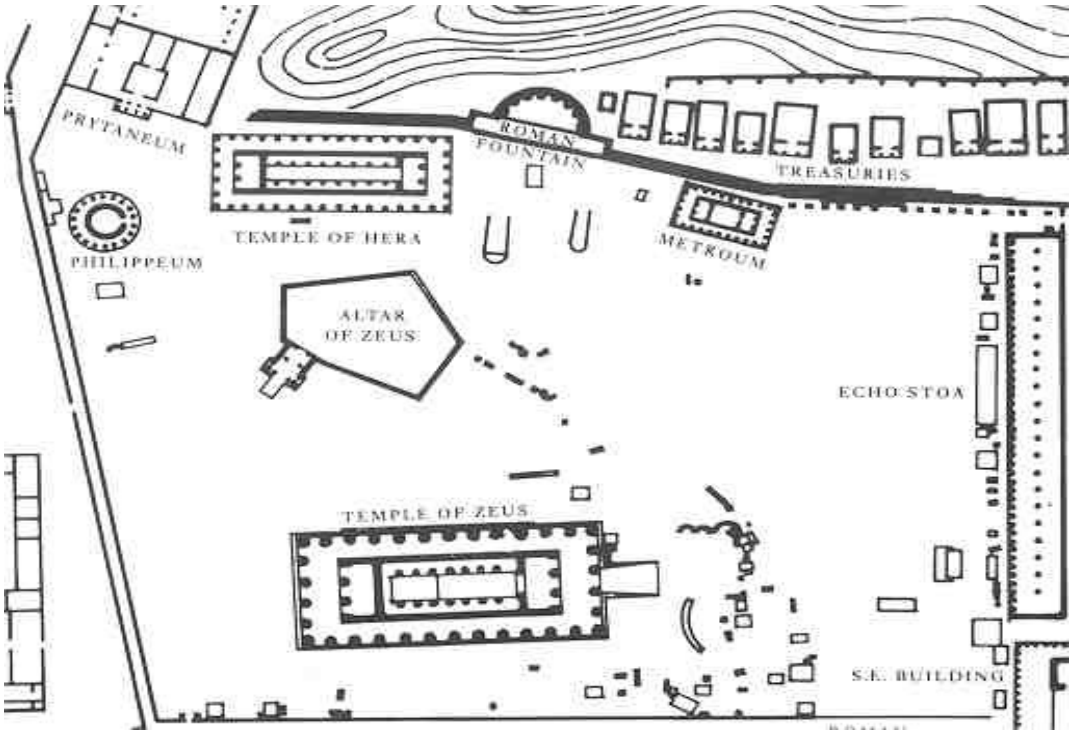

Figure 4: Olympia-Plan of the *Altis* (Lawrence 1983, 188)

reflecting the east Greek influences that will eventually come to dominate the architecture of the Hellenistic Period (Figure 5).

The description given by Pausanias regarding the monument is relatively brief, detailing only that it was round, surrounded by a colonnade, had a poppy shaped acroterion located at the apex of the roof, had cella walls constructed in burned brick (or so he thought),[26] and was built to house the chryselephantine statues of the Macedonian royal family, which were all sculpted by Leochares.[27] What he fails to record is that the exterior colonnade was executed in the Ionic order and is surmounted by a frieze with a

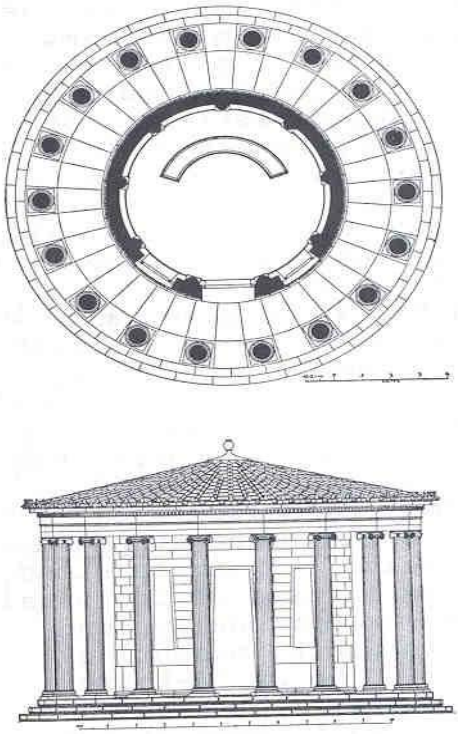

Figure 5: Philippeum-Plan and Elevation (Holmberg 1979, 94)

[26] Dinsmoor 1950, 238. The walls were actually constructed of limestone above the marble dado courses that were faced on the outside with stucco. In Roman times, this stucco was painted red to imitate brickwork.
[27] Pausanias 5.xx.9-10

row of ornamental dentils placed above,[28] representing a complete break with the canons of Greek architectural tradition in favor of ones from the Greek east and Asia. The interior of the structure was furnished with nine engaged Corinthian half columns along the cella wall that were used only as decorative elements without any true architectural function, as well as a semicircular statue base opposite the entrance upon which would have stood the statues of Philip, Alexander, Amyntas, Olympias, and Eurydice.[29]

In evaluating the architectural composition of this monument, the political motives behind its construction must be taken into consideration. It seems without doubt that the structure was conceived from the very beginning as a victory monument, proclaiming the triumph of the Macedonian royal family over the Greek world. In order to convey this message as clearly as possible, the monument was placed in the *altis* at Olympia, a sanctuary that had come to symbolize through the ritual of the games the unification of all Greeks as a single people. In addition to this, the architectural plan of the structure was also designed so that it would stand out and be noticed among the temples, treasuries, and smaller victory monuments that were set up throughout the area. Had the structure been based on the traditional quadrangular plan, even if it would have been constructed using the Ionic order, it still would not have been as unique and visually different as the circular form of the *tholos*. Since this type of structure is so different from traditional Greek architecture, it can be distinguished visually as something unique, and in the case of the Philippeum, draw attention to the victory of Macedonia and the subjugation of Greece.

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[28] Lawrence 1983, 244.
[29] Dinsmoor 1950, 238.

The final example of a monumental *tholos* from the Greek mainland comes from Athens, and is quite possibly the best documented in both the literary and archaeological records, and the only one not to be located in a sanctuary context. Like the Philippeum, the function of the Tholos or Skias[30] is known explicitly from literary sources, which relate that it was the location where they 50 *prytaneis* (the presidents or committee of the council) took their communal meals and offered sacrifices, as well as housing the official

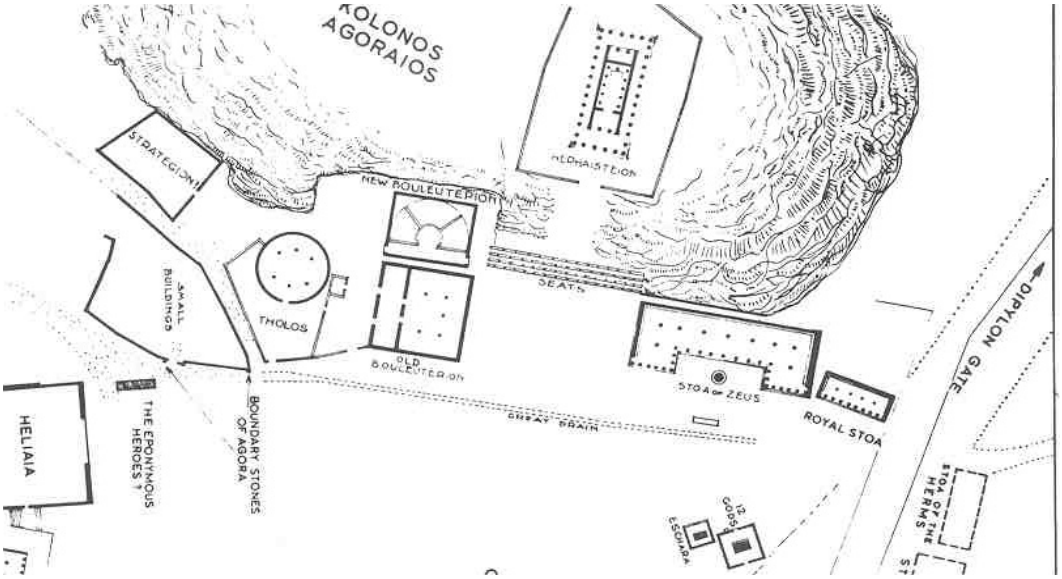

Figure 6: Athens-West Side of Agora With Tholos Plan (Biers 1996, 210)

state weights and measures used by the *agoranomoi*. Compared to the other structures, the Tholos of Athens is quite modest, and was not built with the idea of ostentatious display in mind, but rather the creation of a functional space that could be used on a daily basis with a minimum amount of maintenance. The structure itself lies along the southern edge of the west side of the Athenian Agora (Figure 6), over the spot previously occupied by the enigmatic Building F. It was relatively small, measuring approximately 17 meters in diameter, with walls constructed of mud brick on a foundation of cut stone

[30] Greek term meaning "Sun-Hat" or "Parasol." So called because of the shape of its flat, conical roof.

ashlar blocks, covered by a sloping flat conical roof. It was entered on its east side from the Agora, and while the exterior of the structure appears to be rather austere, evidence exists that the interior was decorated, although in a much more subdued manner than has been seen previously.

Internally, the space is broken up by six freestanding columns, which in all probability served as load bearing members supporting the wooden framework of the roof above. However, unlike the other *tholoi* the columns are not arranged in a ring concentric with the outer wall, but are instead broken into two groups of three, an east group and a west group, each of which is placed along the line of an arc whose circumference is greater than that of the structure.[31] This arrangement has the effect of producing an elliptical central peristyle while permitting the maximum amount of space around the perimeter of the structure to be used by the occupants. The original floor was surfaced with a layer of sterile brown clay between 5-10 cm. thick, and the walls were originally plastered and stuccoed with a band of red pigment approximately 12 cm. high running around the base.[32] In the exact center of the structure, excavators discovered traces of a rectangular base, which they restored to measure approximately 1.08 meters square. Its construction indicates that it was not intended to support any kind of heavy load (i.e. a pillar to support the apex of the roof), thus leading to the identification of a communal altar where the diners would have offered sacrifice either before or after the meal.[33]

Based on the evidence discovered during the course of the excavations, the first phase of this structure has been dated to roughly the mid 5th century BC, the height of the classical period in Athens. Over the course of time, it underwent several different phases

[31] Thompson 1940, 45-6.
[32] Thompson 1940, 54.
[33] Thompson 1940, 47.

of remodeling, the last of which occurred in the 2nd century AD when the crude marble chip mosaic floor (an earlier renovation) was replaced with a floor of marble slabs that continued to be used until the building was destroyed.[34] Given the date and location of this structure, mid 5th century BC Athens at the height of the Periklean building program, the choice of a circular plan seems puzzling. At this stage of architectural development in the Athenian Agora, all the structures, including those used for civic government along the west side were based on the quadrangular plan, so the question remains as to why this particular building broke with Greek architectural tradition in favor of such a radical option. This question has sparked a number of different hypotheses, all of which apparently attempt to justify the shape of the building by its function, not by its uniqueness in the architectural landscape. Of all the civic structures in the Agora, it was perhaps what this building represented that required its architecture to differentiate it as a place worthy of special attention. It was here that the 50 individuals chosen by lot who were responsible for the day-to-day operation of the Athenian government met, not only to dine in a communal setting, but also to conduct routine governmental affairs. In addition, each day one was chosen by lot to remain on duty in the Tholos for one night and one day with one third of the *prytaneis* and was given possession of the state seal and the keys to the treasuries and archives. Without this body of individuals, the daily operations of the Athenian government could not be accomplished, and it is because of this critical role that this group met in a building that could easily be singled out as one of importance due to its non-traditional ground plan.

It seems clear that in each of the cases examined, the *tholos* indicates a break with the standard Greek architectural iconography in order to convey a sense of importance and

[34] Thompson 1940, 64.

"specialness" of the structure to the viewer. In the case of Delphi and Epidauros, it was perhaps a special spot connected with commemoration or rituals of cult, at Olympia it was the message of conquest and political domination, and at Athens it was used to single out the seat of day to day operations of the civil government, without which the democratic system would not work. In each of these cases it is the circular plan of the building itself that singles out these places as being different among all the other structures of a quadrangular nature that surround them. While unfortunately no treatise survives in the literary record explaining the philosophical thought of the Greeks regarding circular spaces and their significance, archaeologically a discovery at the Bronze Age site of Mycenae may help elucidate early Greek ideas concerning circular spaces and structures, which may have been carried on throughout the history of Greece.

During his excavations in the late 19th century, Heinrich Schliemann discovered a series of shaft graves that contained fabulously wealthy burials, which he believed to be heroes of the Homeric period, including Agamemnon himself.[35] These graves occupied an area on the east slope of the acropolis of Mycenae, initially outside of the fortification walls, but when these were extended in 1250 BC, they passed through the old cemetery, which necessitated the re-location of some of the burials. The six most important graves, those of the "kings" were not disturbed, but were instead left intact with the course of the fortification wall being deliberately altered instead.[36] The sloping area of these graves was reinforced with a stone retaining wall, and the ground was intentionally leveled in order to create a flat precinct upon which the funerary stelai of the individuals were re-erected. Once this process had taken place, the graves were enclosed by a circular wall

[35] Dinsmoor 1950, 25. This is in fact not the case. The shaft graves and burials date to the period 1600-1500 BC and contained 17 burials total (11 men and 6 women) that were apparently of elite status.
[36] Dinsmoor 1950, 26.

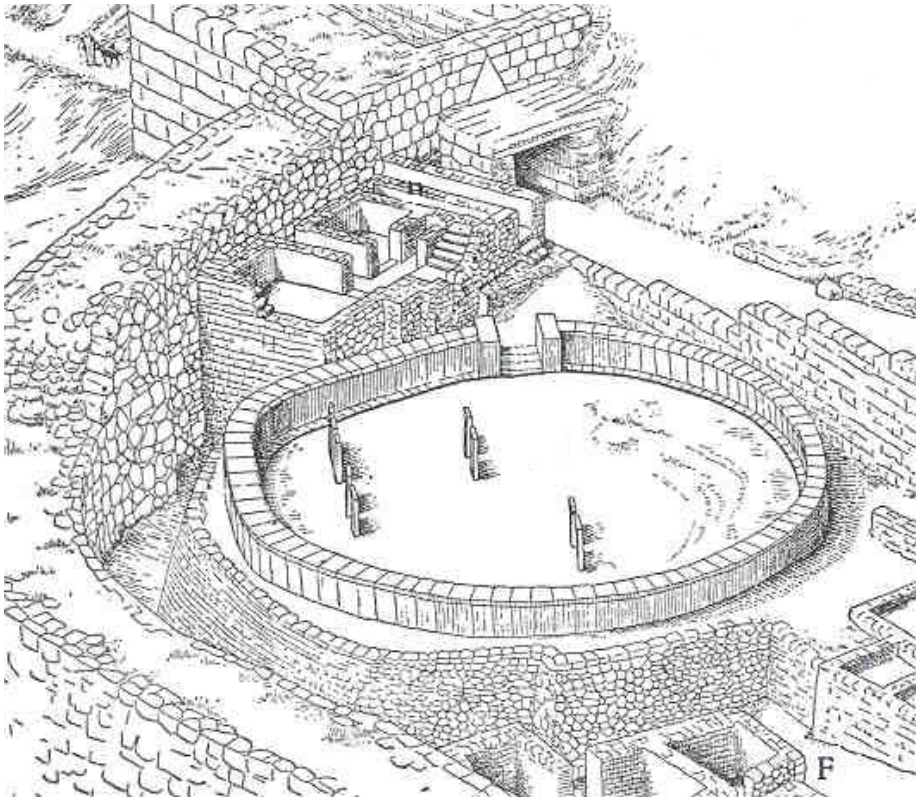

Figure 7: Mycenae-Grave Circle Reconstruction (Lawrence 1983, 50)

approximately 29 meters in diameter that served to demarcate the boundary between sacred and profane space (Figure 7). The wall was constructed of stone slabs that were set up in two concentric circles approximately 1.25 meters apart. The inner and outer rings were secured to each other by means of wooden beams, and the space between was filled in with earth and covered with stone slabs, thus creating a parapet between 1-1.5 meters in height.[37] This circular precinct survived well into the Roman period when Pausanias wrote about it in the 2nd century AD, and like Schliemann, the Greeks themselves believed that it marked the burial spot of Agamemnon.[38] Here then is an example of a circular space being used to demarcate a place that was deemed to be "special" in nature, and therefore worthy of notice or veneration. It did not matter

[37] Dinsmoor 1950, 26.
[38] Dinsmoor 1950, 26.

whether the individuals could understand the stelai, or if they actually knew who was buried in the graves, which they obviously did not. It was enough to know that the circular walls marked the boundary of an area, within which was something that should be respected. Thus it is possible that such an attitude continued to persist and that this form was reserved for use only in exceptional cases where it was used as a visual marker to indicate a space to be characterized as "special."

It has been the focus of this paper to examine the four examples of monumental *tholoi* on the Greek mainland in terms of their architectural makeup, as well as to propose a hypothesis that attempts to explain why they utilize an architectural plan so different from the "traditional" Greek canon. In each case (with the possible exception of Delphi) these structures deliberately used a plan different from the norm in order that the structure would stand out in the architectural landscape as a unique place with special characteristics. In each example, the circular form of the *tholos* is surrounded by standardized structures with quadrangular plans, a fact which serves to delineate them from the other structures and draw attention to themselves. In each case, the goal appears to be different. At Epidauros the architectural form as well as the ornate decoration of the structure may serve to denote its position as the cenotaph of the hero-god Asklepios, as well as marking the place for special rites associated with the cult. The Philippeum at Olympia conveys a very different message, with the round plan being used to distinguish the building as a tool for propaganda promoting the conquest of Greece by the Macedonian royal family. In Athens, the round form of the *tholos* may have been used to indicate the location where the day-to-day operations of the Athenian government occurred. The only enigma is Delphi, where any type of special significance of either the

structure or the location has yet to be determined. While the hypothesis of the circular space used to delineate structures or areas worthy of special attention remains highly speculative, it may provide a reason why such a non-traditional architectural form was used in some of the most visible locations throughout the Greek world.

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Title: Fiction Writing Theory: *Nervous Conditions*' Discourse of Female Subjectivity

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Fiction Writing Theory:
Nervous Conditions' Discourse of Female Subjectivity

In the critical material around Tsitsi Dangarembga's *Nervous Conditions*, scholars have thoroughly discussed Dangarembga's representation of the pathologies of the colonial setting and its particularly gendered manifestations. In particular, critics have focused on Dangarembga's feminist politics and her use of *anorexia nervosa* as a metaphor for the ravages of racial and gender inequality in colonial and postcolonial Rhodesia. I would suggest, however, that *Nervous Conditions* does more than "just" represent the nuances of colonial and postcolonial identity negotiations; rather, I argue that the novel actively positions itself as a *theorizing* and *theoretical* intervention, proposing—through represention—the possibilities and constraints for women's subjectivity in the colonial context. Explicitly engaging with the theories and theorists of subjectivity (psychoanalysis, Fanon/Sartre), the novel writes a scathing critique of these discourses' various failures to address the questions of racial and sexual difference. More importantly, and central to my argument, it proposes and sustains its own theory of colonial subjectivity. Deploying representation as its method of critical investigation and argumentation, the novel constructs an alternative account of female subjectivity grounded in the multiple relationships between colonial and postcolonial memories and women's bodies. Through the specific fiction of Tambu and Nyasha, the novel generates a general but precise theory of women's identity. In the process, it also raises the pressing question of how to discuss and understand fictional representation as a critical practice, challenging assumptions about what is and is not legitimate as theoretical discourse.

Issues: identity is not the same as subjectivity
- Talking in circles
- Vague?
- Trying to make too many arguments at the same time? (ie, fiction as theory AND memory/body AND critical practice)

Memory on the body: anorexia, female bodies and forgetting colonial authority
- The ways that Nyasha's body is displayed and disapproved of
- Anorexia as a record

Discourse of psychoanalysis in the novel, suspicion and interrogation

Fiction writing theory, proposing models of subjectivity through representation
- This is really more the end point of my argument, and I don't know how it would work to have it stand alone. How could I make it work in the abstract?
- How to talk about/understand representation as a deliberately theoretical practice?

Urban and Environmental Planning for Public Health in India

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We revisit the logical, longstanding, and in recent times often overlooked interface of the urban planning and public health disciplines. Not surprisingly, this interface has begun to receive renewed interest as topical environmental research on cities and their regions underscores the close relationship between the practice of urban planning and public health problems. In particular, academic literature originating from the disciplines of ecology and sustainable development has rekindled interest in regionalism, on one hand, and the practice of architecture and planning to ameliorate the health related civic crises, on the other.

In this article, we present an overview of the current knowledge of ecologic principles and how land-use choices influence the health of urban human inhabitants. Then we argue that a more fundamental and coherent appreciation of the interface of the urban planning and public health disciplines will augur well for human settlements in India, where arguably both public health and urban planning issues remain challenging. Finally, we posit that India can take advantage of the contemporary research and "leapfrog" the intermediary steps of evolution that have inspired a renewed urban planning and public health relationship in the U.S.

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Title: "Sex and Murder, De Palma Style: *Sisters* vs. *Femme Fatale*"

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Abstract:

Despite the fact that his most profitable recent film, *Mission: Impossible* (1996) was a blockbuster film that employed high-technology gadgetry and digital tricks, Brian De Palma continues to return to his obsession with *auteur* filmmaking. These movies are smaller, more personal narratives that contain a series of signature themes and techniques. My paper compares De Palma's general views on *auteur* filmmaking with two of his films; one from early in his career named *Sisters* (1973) and one recent film named *Femme Fatale* (2002). Despite a 30-year separation, De Palma continues to forward ideas of voyeurism, audacious camera trickery, and homages to master directors such as Alfred Hitchcock and Jean-Luc Godard in these films. As a veteran of the "New Hollywood" group of film directors of the 1970s, De Palma's insistence on such filmmaking techniques in the era of blockbuster films like *The Matrix* (1999) and *Spider-Man* (2002) illustrates an interesting resolve and an ongoing pattern of personal interests. In spite of market pressures to do otherwise, De Palma continues to make personal vision films.

Sex and Murder, De Palma Style: *Sisters* vs. *Femme Fatale*

From at least as far back as his third feature film *Greetings* (1968) Brian De Palma has been identified and has seen himself as an *auteur* filmmaker. The general concept is that the *auteur* director can take any style of movie and add his or her own mastery of technique and vision so as to create art. For De Palma, his three key obsessions are male-centered voyeurism usually wedded to erotic sexuality, homage or postmodern revision of either Alfred Hitchcock's or general suspense and horror aesthetics, and imitation of the European Art Cinema directors of the 1960s, such as Jean-Luc Godard. As De Palma admits, in his 1970 interview with Joseph Gelmis, "I'm very turned on to Hitchcock and I like that kind of filmmaking, putting all those pieces of film together."(24). De Palma's producer reveals in the same interview, "I'm a bit of a voyeur. But Brian's the real voyeur—so that element was Brian's contribution" (Gelmis 26). De Palma confesses his love of film history and his hero worship of master directors by stating, " Godard's a terrific influence, of course. If I could be the American Godard, that would be great" (29). Clearly, De Palma adopts the guise of the master director, who will "function as the dominant creator of films and that the *auteur's* films embody recurrent structures, techniques, and meanings" (Phillips 437-438). By examining De Palma's uses of various aesthetic devices and themes in both *Sisters* (1973) and *Femme Fatale* (2002), this essay argues that, despite working at the edges of a contemporary Hollywood production system that privileges special effects, computer graphics, and so-called "high concept" blockbuster narratives, DePalma continues (perhaps to his film's detriment in both popularity and profitability) his interest in 1970s style new Hollywood *auteurism*, even thirty years after the heyday of such film practices.

For various reasons critics have often seen *Sisters* as a borrowing and re-working of various elements of both Alfred Hitchcock's *Psycho* (1960) and *Rear Window* (1954). There are numerous Hitchcockian parallels. For example, the death of one of the two main characters Phillip Woode (Lisle Wilson), in the first 1/3 of *Sisters*, echoes Janet Leigh's murder in *Psycho*. In addition, the other main character, Danielle Breton/Dominique Blanchion (Margot Kidder) turns out to be a psychologically damaged murderer like Anthony Perkins' character Norman in *Psycho*. The movies also use psychoanalysis as a way to explain their main characters' actions. We learn that Danielle has developed a Multiple-Personality Disorder as a way to cope with the death of her Siamese-twin sister after a doctor's botched separation surgery and that Norman connects his sexuality to a repressive mother with Victorian ideals. Thus, *Sisters* and *Psycho* illustrate how family tragedy leads to psychological problems. Grace Collier (Jennifer Salt), a political newspaper columnist, then pursues and solves the murder case just like amateur sleuths L.B. Jeffries (James Stewart) and Lisa Fremont (Grace Kelly) did in Hitchcock's *Rear Window*.

In homage to Hitchcock, De Palma uses a genre hybrid of horror and murder mystery conventions to tell the story of *Sisters*. To add his own signature to these borrowings from Hitchcock, De Palma also deviates from Hitchcockian stylistics to instead shoot his murder scene in split-screen. After Phillip crawls to the Danielle's apartment window, he scrawls his message of "HELP" on the left half of the widescreen image, while Grace is seen from above watching his fruitless call for help from her apartment window on the right half of the screen. In horror, Grace calls the police. When police detective Kelly (Dolph Sweet) is unhelpful, Grace hires professional detective Joseph Larch (Charles Durning) to investigate the murder, though he proves to be ineffectual, echoing both detective Milton Arbogast (Martin Balsam) in *Psycho* and Detective Thomas Doyle in *Rear Window*. In the case of *Psycho* and *Sisters* each movie may be equally as memorable to fans for its use of Bernard Herrmann's similar and startling music scores. *Sisters* opens with the kind of screeching music that is used during the murder scenes in *Psycho* except these notes are played on a synthesizer instead of with the traditional strings used in the older film. In fact, De Palma must have wanted to consciously exploit the similarities

between the two films. The promotional poster for the film included a quote from The Hollywood Reporter that claims, "The most genuinely frightening film since Hitchcock's *Psycho*!" [show blown up poster?]. Thus by connecting his work to the master auteur through subtle revisions and advertising, De Palma garners critical comparisons as a new auteur himself.

Two other examples of aesthetics illustrate how De Palma intermingles film technique with genre conventions. Well known for his use of the process, De Palma uses split screen in *Sisters* to build suspense in the audience in much the same way early film pioneers used crosscutting. In a long sequence early in the film, Grace attempts to persuade Detective Kelley and the other police officer to go immediately up to Danielle's apartment to investigate the murder Grace is sure she has witnessed from her apartment window. Instead, the men argue with Grace in her apartment lobby because her past newspaper stories seem to reflect a counterculture, anti-police attitude. While this bickering continues, the strange Dr. Emil Breton (Bill Finley) has already hidden Phillip's body in the couch. Once the cops finally cross the street to Danielle's apartment complex, De Palma again employs split-screen. On the left half of the screen, Danielle dries her eyes and fixes her make-up in her bathroom mirror as her ex-husband Emil Breton cleans the blood off the floor and window and bags up Phillip's clothing as well as the murder knife to take them from the apartment. On the right side of the frame, Grace and the police cross the street, enter Danielle's apartment building, and ride up the elevator. After slipping, falling, and bruising his forehead to add more suspense, we see Emil grab the huge cake knife murder weapon, head out into the hallway, and just barely duck into a doorway as Grace and the police come out of the elevator very near to him. The entire sequence depends upon precise timing as De Palma uses two parallel long takes, and even has the police cross from the right to the left half of the split screen as they narrowly miss seeing Emil's escape. This shot builds the audience to the kind of suspense they feel in *Psycho* when Norman is trying to dispose of Marion's car in the swamp and viewers wonder if he will succeed in sinking it. In other words, once we sigh in relief that Emil has eluded the police with the murder weapon, as voyeurs

we have both sided with the cover-up of Phillip's murder and we wonder what adventure the killers will take us on next.

In a videotaped interview, just before the "experimental madhouse" sequence, Danielle/Dominique's doctor, Dr. Pierre Milius director of the Loisel Institute, admits that even though everyone believes that Dominique is the truly disturbed twin, "Danielle who is so sweet, so responsive, and who is so normal as opposed to her sister can only be so because of her sister." His words prove prophetic as Dominique's personality easily overtakes Danielle in times of psychic stress. Thus, when Grace follows Emil and Danielle to a clinic, De Palma's other visual feast occurs as the evil doctor Breton drugs and subdues Grace within a room in the experimental madhouse. De Palma, in the following "open your eyes" sequence, uses black and white filmmaking and filmic references to create a nightmare scenario for Grace's drugged visions. By making Emil the head of the madhouse, De Palma borrows from the conclusion of the German Expressionism masterpiece *The Cabinet of Dr. Caligari* (1919). He also uses iris-in and iris-out shots to imitate that film and to approximate the view that Grace sees from her heavily-drugged eyelids. As she imagines herself as Dominique, the other half of Danielle, various deranged inmates dance around her admitting they have been called "freaks" and also calling to mind Todd Browning's film of the same name. The dream ends with a hallucinatory vision, Emil raising a dirty meat cleaver given to him by Detective Larch above his head as if he were about to separate Grace from Danielle. She awakens from her sedated nightmare screaming at the top of her lungs.

A modest box office success, *Sisters* helped De Palma to establish himself as an interesting young director. Even so, critic's opinions of his films have always been mixed. John Belton has argued that De Palma's postmodern aesthetic "enables him to adopt the stylistic mask of another behind which he could hide. In effect, De Palma does not 'speak' directly to his audiences but instead communicates *through* Hitchcock" (307). Echoing Frederic Jameson's idea of postmodern pastiche, Belton implies that little lies behind DePalma's mask. On the other hand, James Monaco, in 1984, calls *Sisters* "probably his best film to date" (164).

Femme Fatale was released in 2002 in the wake of a long career of up and down successes for De Palma. His last huge hit was *Mission: Impossible*, the 1996 blockbuster film starring Tom Cruise that re-invented the old TV series with high-octane action sequences and special effects. Despite the film's popularity and perhaps because he has been called "the preeminent director of the American New Wave" (Merritt 207), De Palma returned to independent filmmaking for *Sisters*. De Palma shows the influence of the French New Wave as he intermixes high and low culture in a genre hybrid that employ elements of horror, film noir, and gangster narratives. While these techniques might be interesting to film critics who recognize the sources, *Femme Fatale* was likely seen as a disappointment to viewers. In fact, Linda Ruth Williams claims that the film "failed at the US box office and was released straight-to-video in the UK" (18). Interestingly, the film did find a critical champion in Gavin Smith (and *Film Comment* magazine) who called it, "Brian De Palma's best film in 20 years" ("Dream" 28) and voted it at number 18 in their critic's poll of the 20 best films of 2002 ("Final" 50).

Femme Fatale, while still employing Hitchcockian suspense and amazing camera movements, weds itself also to a careful postmodern revision of *film noir* aesthetics. *Femme Fatale* begins with a black screen. In voice-over we can hear Walter Neff's soliloquy where he claims that Phyllis Dietrichson is "a little more rotten" than he is as a criminal because she has figured out how to make Walter the fall guy for her husband's murder. Suddenly, a medium shot of a modern flat-screen television reveals that the spoken words are the ending of *Double Indemnity* (1944). As the camera slowly dollies back from the black and white telecast, the audience sees reflected in color to the left of the television screen that is showing the classic *film noir*, the reclining nude, except for a pair of black thong underwear, main character Laure Ash (Rebecca Romijn), watching the film with rapt attention. De Palma's gaze has a double purpose. Besides the voyeuristic and sensationalistic pleasure captured by the camera as it lingers on a former fashion model's body, the complex shot gives the audience a fairly sophisticated introduction to his film's overall meaning and purpose. By showing Laure in full color as a reflection on a black and white TV screen, De Palma suggests that Laure is a character who has

been created by the movies. Thus, despite the fact that soon thereafter a male criminal slaps her in the face and tells her to stop dreaming, Laure's introduction has already shown us that movie-inspired dreams are essential to an understanding of this film.

In fact, the central mystery of the dream sequence that dominates the majority of the film's narrative, where Laure invents her femme fatale doppelgänger Lily, is revealed near film's end to have been invented only because she was watching the original femme fatale, Mrs. Dietrichson, on television. In a humorous, obvious manner, De Palma even sets the robbery of Veronica's (Rie Rasmussen) 500 diamonds during the 2001 Cannes Film Festival! By using a real French *auteur* director (Régis Wargnier) and a real starlet (Sandrine Bonnaire) walking into the theater arm and arm with the fictional character Veronica, De Palma tells us all we need to know: Laure is a film character imitating another film character and using what she has learned from a fifty-nine year old film to commit a new crime at a famous film festival! *Femme Fatale* is meta-film extraordinaire. Thus, *Femme Fatale* is a revision of the master text told from the femme fatale's perspective rather than through the point-of-view of the traditional central male character. The film becomes a kind of postmodern inversion of the rules of traditional noir. Clearly, film critics who recognize the clues will enjoy the way that De Palma creates his own Godardian re-write and gives the viewer another witty movie about the movies. As De Palma claims in a *Film Comment* interview, "I was interested in trying to turn noir around" (Smith "Dream" 31).

De Palma has reached a point in his career when he even echoes his own previous films. As in *Sisters*, De Palma's main female character speaks with French-inflected broken English. The French couple who rescue Laure after she is thrown from the Club Room 214 level of the Sheraton hotel think she is Lily, their daughter or daughter-in-law, who has also just lost her husband and daughter to a car accident. They take her home so that Laure may bathe and rest. After the couple leave Laure home alone, she discovers the photos of this Lily person who seems to be her exact double except for her brunette instead of blonde hair. As Laure walks around the home, once again, the television set tells the audience what is actually happening in the film. A

television promoter asks "And if you could see the future in a crystal ball, or in the palm of your hand, or in a dream

. . . would you change it?" Laure laughs out loud and says, "Yep." In the bathroom, she takes a bubble bath soak, but balances her cleansing with her developing femme fatale character's appropriate ingestion of shots of Hornitos Suaza tequila and a lit cigarette. As she drifts off to rest in her bath, De Palma shows us a small clock that registers the time, 3:33. When she allows herself to sink into the bubbles, water starts to overflow the tub lip and thunder and lightning shake the soundtrack. With the sound of a door opening, we are fully within Laure's dream and the dark-haired character of Lily makes her first appearance in the home. Shortly after Lily attempts suicide, subtitles tell us we have gone 7 years into the future. Next, we find Nicolas Bardo, the paparazzi, on his apartment balcony in split-screen. Interestingly, while a stationary camera watches Nic talk on the phone on the left half of the frame, De Palma moves his camera on the right half of the frame, in a crane shot that moves down from Bardo to the small street-level bar where Laure sits at a table outside talking with Veronica. The camera moves slowly enough for us to see the first of many hanging city posters that say "Déjà vu." These will feature photos of Laure either sleeping or trying to hide her face from the camera's gaze.

Later, when Nic corners Laure on a Paris bridge, she commands that he call her "Lily." In a scene adding more information that makes one question what exactly is happening within the narrative, she says, "I'm a bad girl, Nicolas. Real bad. Rotten to the heart. Last scrape I was in I fucked up a lot of people. Bad people. People like me. People that don't forget." The attentive viewer will note that Laure's speech is a revision of Phyllis's speech from *Double Indemnity*, echoing Neff's dialogue where he calls Phyllis rotten.

In quick succession, Lily shoots Nic on the bridge, then the two goons with whom she did the jewel theft at film's beginning catch her and throw her off the same bridge. Yet, when she hits the river, De Palma defies all logic by showing us the previously fully-clothed Lily underwater completely naked. At the moment she surfaces, we hear thunder and lightning and the camera and lights shake again as they did in the earlier tub scene. Then, De Palma cuts to

Laure surfacing up from the tub. We are shown the clock once more and it still says 3:33. Thus, we discover the inner crime story of the character Lily was an elaborate dream that Laure fantasized as one possible negative outcome if she doesn't change her life.

Similar to *Sisters*, De Palma returns to meta-filmic devices in *Femme Fatale*. Nic Bardo's photo collage, at the end of the film, reveals that the paparazzi is also an aspiring artist. He has told Lily that he left Spain to re-invent himself in France. When he "meets" Laure at film's end he says, "you look so familiar. Haven't we met somewhere before?" Her answer to him is "only in my dreams." In yet another cinematic turn mirroring the film's opening sequence, De Palma presents a Polaroid collage made by Nic of the very location of the action of the film we have just viewed that shows the photographer has artistic desires beyond snapping photos of the rich and famous. This collage is the film's final shot. As De Palma admitted in *Film Comment*, "this collage brings together all the elements in the movie: déjà vu, repetition, juxtaposition, all the things I've been dealing with for years" (Smith "Dream" 30). Thus *Femme Fatale* is an art film masquerading as a neo-noir genre film. The film's real mystery is not whether Laure actually did become Lily or whether she has imagined doing so in a dream. Rather, viewers should ask themselves what issues Brian De Palma still cares about in 2003. Although Ronald Librach argues that De Palma desires "to shock viewers out of their sense of the expected relationship between character and plot" (167), De Palma claims that he is still trying to make <u>art</u> within the confines of genre conventions.

In January of 2004, when queried about digital-age films and cartoon-inspired heroism, Brian De Palma told an interviewer in the British journal *Sight & Sound* that, "The subject matter that's flooding American cineplexes is of no interest to me"(20). De Palma seems inclined to go against the grain of received opinion. As he told *Film Comment*, "I like movies that are full of the unexpected. Never believe what you see" (Smith "Dream" 31). Thus while 30 years apart in release, *Sisters* and *Femme Fatale* reveal a filmmaker intent on making audiences work to understand his artistic vision. His movies require cine-literacy. Without

knowledge of De Palma's oeuvre and film references, without a degree of cine-literacy, one can have only a partial understanding of his art.

This paper has illustrated just a few of the master's tricks from two of his films. In both cases, the auteur invites the viewers to play along in his games. From earliest to latest, the true subject of De Palma's films seems to be the power of the image, the ability of images to lie, and the viewers' responsibilities to look more closely at what they are shown because of that. Susan Dworkin discloses, "Brian De Palma said repeatedly through his career that he thought of Alfred Hitchcock as a grammarian—that the cinematic vocabulary of Hitchcock's suspense movies was to him a basic guide in the nuts and bolts of visual storytelling" (10). Gavin Smith asserts that the best of De Palma's films "are adventures in cinematic form masquerading as genre exercises" (Smith "Dream" 28). In *Sisters* and *Femme Fatale*, De Palma invites us to discover and dialogue with his obsessions, but only on his terms. As in the works of Alfred Hitchcock, we can enjoy his art only if we take the time to carefully examine the images through the viewfinder the *auteur* provides.

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Title Wolfram's *Willehalm*: A Challenge to and a Lament for Religious Intolerance in the Age of Faith

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Wolfram's *Willehalm*:
A Challenge to and a Lament for Religious Intolerance in the Age of Faith

Because theology treats the relationship between man and his god, while literature treats the relationship between man and his world, literature is often a more illuminating guide to the sentiment of an age than is its formal theology. Nowhere is this more true than in the so-called "Age of Faith," where benevolence, the cornerstone of the formal Christian faith, is everywhere belied by the spirit of malevolence that permeates its literature.

> The pagans are wrong and the Christians are right [....];
> I must render to a pagan neither peace nor love (*Roland* 1015, 3596).

From the most widely read of the *chansons* and spoken respectively by the hero Roland and the Emperor Charlemagne, these words encapsulate medieval Christendom's malevolent and uncompromising attitude toward non-Christians during the first flush of crusading fever. Indeed, as revealed in the *chansons*, popular theology of the eleventh, twelfth, and thirteenth centuries taught that non-Christians, particularly Muslims, whom they most commonly referred to as Saracens, were an "evil" (*William/Monastery* xxx, 833), "villainous" (*Conquest* xxiii, 733), and "filthy race" (*Aliscans* cxxvii, 6096), a "folk obscene" (*William* xiii, 105), with whores for mothers and swine for fathers (*Aliscans* xvii, 500-501). As such, they were cattle for slaughter, to be, in the words of Charlemagne to his son, Louis, "crush[ed] and confound[ed]" (*Coronation* viii, 76-77) by the sword of Christian righteousness. The killing of even defenseless non-Christians was considered heroic. In the closing episode of *The Song of William*, for instance, with the battle over and the Christians everywhere victorious, William's nephew, Gui, decapitates the Saracen King Deramé, whom he finds lying on the ground, sorely wounded and writhing in pain. William, an upholder of the conventions of chivalry, which specifically forbade the killing of a disabled opponent, is initially horrified by his nephew's behavior, and he angrily challenges Gui's act: "Thou wretch! Thou nithing! How was thou so bold/That thou durst a maimèd man to strike?/ In high court 'gainst thee will this be told" (clxxx, 1968-1970). Gui responds:

> [...] I never have heard the like!
> If feet, wherewith he might walk, lacked he,
> Yet had he eyes wherewith he could see,
> And organs he had wherewith sons to beget.
> To his own land he'd have himself carried yet,
> Thence an heir of Deramé yet would spring
> Who would seek on our realm great evil to bring.
> Forthwith, from such, must deliverance be wrought (clxxx, 1971-1978).

Thus reminded that this particular defenseless man happens to be a non-Christian who, if

allowed to live, might breed other non-Christians, William immediately reverses his position and, tossing the chivalric code to the wind, not only praises Gui's action but rewards its essential "rightness" by making his nephew his heir: "'Nephew,' quoth William, 'Thou'st spoke like a sage,/ A child's is thy body, a man's is thy thought./Thine be, on my death, all mine heritage!'" (1979-1981).

Portrayal of character as either black or white was the general rule in most of the literature of the eleventh, twelfth, and thirteenth centuries. Thinking in terms of opposites was common, founded in contemporary theological concepts that constantly presented men with the same simple choices: God or Satan, Good or Evil, Salvation or Danmnation, Heaven or Hell. Consequently, even as the *chanson* eventually gave way to the courtly epic or romance, literary characterization in the Middle Ages maintained its rigid one-sidedness. The "gray" character is rare in medieval literature; and where he is found, it is even more rare to find any "grayness" associated with his religion. Wolfram von Eschenbach's early thirteenth-century *Willehalm*, which both challenges and laments contemporary characterization of Christian and non-Christian in absolute dualistic terms, is one such rarity. Where his source materials see the differences between the Christian and the Saracen as irreconcilable, Wolfram finds common ground; and his themes that God will not punish a man for ignorance, and that a pagan who leads a good life may not merely receive, but actually merits God's grace, are both unorthodox and exceptional in an age in which his Christian contemporaries are busily consigning all heathens to hell with gleeful malevolence.

Wolfram first addresses the subject of the "noble heathen" in his earlier and most well-known work, *Parzival*,[1] the courtly epic of the grail quest in which Parzival, the grail knight, is himself half-brother to a Saracen prince, Feirefiz, the son of Gahmuret, Parzival's Angevin father, and Belacane, the Moorish Queen of Zazamanc. According to Wolfram, "it had pleased God to make a marvel of" this child of a white Christian father and a black Muslim mother, "for he [Feirefiz] was both black and white [....] His hair and all his skin were particoloured like a magpie" (40). The noble Feirefiz, the particolored, black and white marvel of God, is Wolfram's first challenge to the narrowness of *chanson* Christianity, with its depiction of Christians and heathens as black and white opposites. In *Parzival*, this challenge is necessarily subordinated to the poem's central theme of the search for the Holy Grail, but it is clearly there, setting the stage for its return in Wolfram's last major work, his *Willehalm*, where the now aged poet questions openly Christian Europe's religious intolerance.

In contrast to *Parzival*, the story of *Willehalm* is a simple one, the basics of which come from the Old French *La Bataille de Aliscans*, one of a cycle of twenty-four *chansons* that tell of the exploits of William of Orange. The basics are as follow: William has fallen in love with and carried off an already married Saracen Queen, Arabel, who returns his love, converts to Christianity, changes her name to Giburc, and marries him. Her former husband, the Saracen King Tibalt, mobilizes a large Saracen host in an attempt to recapture her. In the first battle, the Christian army is destroyed, except for William himself, who manages to escape. After returning to his castle to reassure Giburc that all is not lost, he leaves her to stand the Saracen siege and then hastens north to seek assistance. He returns with an army from the French court, and in a second battle, after great slaughter on both sides and with the help of a young kitchen servant of gigantic proportions, who turns out to be Giburc's long-lost younger brother, the Christians are victorious.

Though Wolfram narrates most of the events founds in his source, *Willehalm* is not, however, a translation of *Aliscans*. It is a refashioning in almost every sense: it employs a very different poetic form; it offers a different chronology of events; its story unfolds at a much slower pace; and it includes motivation for and commentary on events that *Aliscans* leaves unexplained, a result of which is a work almost twice as long as its source.

More important than *Willehalm's* differing style, structure, and narrative approach, however, is its differing attitude toward the Saracens. *Aliscans* is replete with bigoted and blood-thirsty hatred of the Saracens, presenting them as "living devils" (xiv, 392), deserving of death simply by virtue of their being non-Christians. As the William of *Aliscans* puts it, "When a man does not love Christianity/[...], he has no right to live [...]/Whoever kills him has destroyed evil" (xxxiii, 1058-1061). For the *Aliscans* author, a man's value is synonymous with his religion. In *Willehalm*, however, religious principles are complemented by chilvalric ones, valid for all knights and according to which a Saracen may be equal in worth to a Christian. Again and again, Wolfram praises the Saracens' chivalric qualities. About Giburc's uncle Arofel of Persia, for instance, Wolfram says:

> I could tell you a great deal about his nobility, and about how he gained the reputation among the Saracens of venturing much in the service of ladies and for the sake of any friends in trouble and, of course, in order to defend himself. In the whole of Terramer's army there was no better knight than Arofel of Persia. Giburc's generosity came from the same family as his, and he himself had excelled to such an extent that no more generous hand was known anywhere so long as he was alive (52).

Of the Saracens in general, we're told that "Wherever they found their kinsmen or vassals being pressed, they helped them in a way that did honour to their chivalry" (211). And of Halzebier, the Saracen who kills Willehalm's nephew, the saintly Vivianz, Wolfram offers this high praise:

> He set such a magnificent example with boldness and generosity that other kings, his peers, simply could not equal it. Thus that faultless man died, free of ignominy. People say that his hands were equally adroit in fighting and in giving. Courtesy with loyalty, all these noble qualities he possessed all his life until death (206).

For Wolfram, because chivalry is part of the divine order, instituted by the same god who created both heathen and Christian, a heathen may thus please God through his chivalric excellence. Consequently, in *Willehalm*, the Saracen Tesereiz can share with the Christian Vivianz the miracle, elsewhere attributed only to Christian saints and martyrs, of giving off the sweet odor of sanctity as he dies:

> Praise be to the field and the grass on which the Lover lay slain! The field must have been sweet as sugar within a radius of a day's ride from that spot. The brilliant, courtly knight could have supplied all the bees with nourishment. Since bees discover sweetness, then, if they were at all clever, they would derive their

> sustenance from the air which comes wafting from that land where Tesereiz now truly met his knightly end. He who was slain by the Margave [Willehalm] was a burgeoning branch of Love, and Love had sent Willehalm there, too (56).

Where hate is the primary motivating force in *Aliscans*, love is its counterpart in *Willehalm*. For Wolfram, as evidenced by its treatment in *Parzival*, the relationship between the sexes was an important one, and marriage and love were for him synonymous. In contrast to his source, therefore, Wolfram makes the Giburc/William marriage a love match, which functions in *Willehalm* as a microcosmic solution to the greater problem of Christian-heathen relations. In the loving marriage of a Christian knight and a Saracen-born noblewoman, he offers the power of *caritas*, in the fullest sense of the word, as the power that could, if left alone to grow and flower, overcome the problems confronting the now aged poet's world and end forever the senseless destruction of God's creatures in God's name.

Theology sits clearly on *Willehalm's* surface. The poem begins with a prayer to the "Creator over all creation" and establishes Wolfram's belief that all human beings, Christians and non-Christians alike, are brother creatures: "[...] Thou my/Father and I Thy child/[....] Thine own Humanity grants me that kinship." The prayer then identifies Wolfram as one of God's Christian children by virtue of "Holy Baptism," which "give[s] me an assurance/that has freed me from despair" (17). After the opening prayer, the poem moves quickly to its statement of purpose, which is to "tell of love and other grief which in consequence of their devotion men and women have been suffering since Jesus was plunged into River Jordan to be baptized" (19), making clear that *Willehalm* will address the issue of baptism as the sole path to salvation. From that point on, in various ways, the poem speaks to the relationship of the un-baptized (the non-Christians) to the baptized (the Christians) and by extension, therefore, to God the Father.

As a Christian in its truest, most benevolent sense who saw the heathens as brothers created by the same God, Wolfram saw them also as worthy of God's grace. He speaks clearly to this belief through Giburc's plea that the Christian army "spare the creatures of God's Hand" (155) as it readies for *Willehalm's* second great battle:

> The first man whom God created was a heathen and you should know for a fact that Elijah and Enoch, heathens though they were, are saved from eternal damnation. Noah, too, who was saved in the Ark, was a heathen, and Job was certainly also one, but God did not cast him down on that account. Think also of the three kings, whose names were Kaspar, Melchior and Balthasar, and whom we must consider as heathens who are not destined for damnation. God Himself, at His mother's breast, received His first gifts from them. Heathens are not all condemned to perdition. We know it to be a fact that every mother who has borne a child since the time of Eve gave birth to one who was indisputably a heathen, although each child was encircled in the womb by baptism. Baptized women give birth to heathen children, even though baptism may have surrounded the child as it lay there. The Jews have a different custom with regard to baptism, for they perform it through circumcision.
>
> After all, we were all of us heathens once. It pains the person in a state of Grace if the Father has condemned His children to perdition. However, He who has

> always been compassionate will show pity for them [....].
>
> Whatever the heathens may have done to you, you should allow them to profit from the fact that God Himself forgave those who took His life. Have pity in the battle, if God grants you the victory (155-156).

The suggestion in Giburc's plea that circumcision might be a variant form of baptism echoes a similar suggestion in *Parzival*, where Wolfram writes of Belacane, the Muslim mother of the grail-knight's half-brother, Feirefiz, that

> although she was an infidel, a more affectionate spirit of womanliness had never stolen over a woman's heart. Her modest ways were a pure baptism, as was the rain that fell on her—the flood descending from her eyes down to her sabled breast. Her pleasures in life were devotion to sorrow and grief's true doctrine (27).

Unmistakably, Wolfram is in both works questioning the notion that the specifically Christian rite is the only means by which an individual might share in the benefit of Christ's redemptive death and thus of God's grace.

Unmistakably also, it is clear at the end of *Willehalm* that Wolfram's view of how the un-baptized should be dealt with is diametrically different from that of his source. Where *Aliscans* asserts that he who kills a pagan is destroying evil (xxxiii, 1061), Wolfram asks: "Is it a sin to slaughter like cattle those who have never received baptism?"; and answers: "I say it is a great sin, for they are all creatures of God's Hand, and He maintains them, with their seventy-two languages" (*Willehalm* 218). For Wolfram, the crusading movement is a form of fratricide, and his Willehalm cannot revel in the sight of so many slain—Christian and Saracen alike. "I am in a position [as leader of the victorious Christian army]," he says, "in which I have to act as if I were happy, which, alas, I am not" (222).

In keeping with his view of the Saracens as brother creatures, and in contrast to his source, where the disposition of the dead is not addressed at all, Willehalm orders that the noble among the slain Saracen "be lifted carefully from the ground and be kept so that they do not fall prey to wolves or ravens," and that any who are Giburc's kinsmen "be embalmed liberally with balsam and lie in state regally, as if he had died in his own realm" (223). He then releases all captives to the care of one of Giburc's kinsmen, the pagan king Matribleiz, with the request that he "Carry the noble [Saracen] dead from Christian soil to where they will be buried properly, according to their own religion" (224). After offering pack mules and servants to help transport the pagans home, Willehalm commends the pagan king "to Him who knows the number of the stars and who gave us the light of the moon. May you be in His care, for your heart has never abandoned virtue" (225). Clearly, these are neither the words nor the sentiments of a heathen hater.

A final re-fashioning of his source to re-make its message is Wolfram's treatment of Rennewart, the giant young Saracen slave whom Willehalm plucks out of King Louis' kitchens to fight for the Christians, and whose battlefield prowess with a huge club ensures the Christian army's victory in *Willehalm's* second great battle. The *chansons* are interested in Rennewart for his own sake, and they make much of his giant-ness, in all its variety: his size, his strength, his

appetite, his anger, his unusual weapon, and his ignorance of knightly culture. Both his actions and his reactions are events in themselves, sometimes humorous and other times heroic, but always astonishing in their extremes. At the end of *Aliscans*, after it becomes known that he is Giburc's long-lost brother, and therefore of noble descent, Rennewart is baptized, knighted, granted land and wealth by William, and then married to the princess Aelis, William's niece and daughter of King Louis (clxxxvi, 7874-8489). Wolfram, however, is interested in Rennewart for for his contribution to *Willehalm's* focus on the relationship of the heathen to God and the issue of pagan salvation. Rennewart is important because of the role he plays as an instrument of God— as an un-baptized pagan whos serves the Christian cause even though, as he puts it, "baptism just does not fit my nature" (*Willehalm* 103). In *Willehalm*, Rennewart functions as yet another expression of Wolfram's unorthodox position that baptism is not the only means of meriting God's grace.

That position is underscored at the poem's end, where, in contrast to its source, Rennewart is nowhere to be found, and Willehalm laments the loss of the "handsome youth" renowned "high and wide" for his "brave virtue" and "sweet simplicity" (219): "When the Emperor and Bishop Turpin lost Roland to Marsilie's army and Olivier, who fought so well," Willehalm declares, "that loss was not as great as mine is" (220). By equating the loss of Rennewart, the un-baptized young pagan, with the loss of the great Christian heroes of *The Song of Roland*, Wolfram makes clear his position that a man's worth should be judged solely by his deeds and not by his religion—a position that challenges popular *chanson* theology and thus sets Wolfram apart from his Christian contemporaries.

Because it ends so differently from its source, *Willehalm* is generally assumed to be an unfinished work. I, however, see no reason to believe that Wolfram did not intentionally end the poem exactly as it is, with his hero breaking the chain of distrust and revenge between Christian and heathen by freeing his prisoners and sending the pagan dead home to be buried according to their own religion. Readers who expect Rennewart's baptism and marriage as proof of the poem's conclusion are missing the aged poet's point—the young Saracen's baptism is unnecessary.

The uncertainties and ambiguities so clearly present at *Willehalm's* conclusion are perfectly plausible. Was not Wolfram's own world uncertain and ambiguous? Faced with a world torn apart by the global intolerance and bigotry of crusading fever, the poet who in his youth used the Grail Quest to symbolically reconcile Christians and non-Christians via Feirefiz's baptism and marriage to the Grail Bearer in the *Parzival* romance can no longer furnish us with a fairy-tale solution. Eight-hundred years later, his anguish is still audible.

Notes

[1] Internal evidence indicates that *Parzival* was composed between 1200 and 1210 and that *Willehalm* was begun sometime after 1212 and completed sometime after 1217. See. Gibbs and Johnson, "A Second Introduction," *Willehalm*.

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"The Director Who Didn't Make the Cut: Alfred Hitchcock and the Vatican Film List"

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abstract:

The Director Who Didn't Make the Cut:
Alfred Hitchcock and the Vatican Film List

In 1996, to commemorate the 100th anniversary of cinema, the Vatican's Pontifical Council for Social Communications issued a list of 45 "top films of the century," works that were "deemed to have special artistic and religious merit." Included with the films of European directors such as Roberto Rossellini, Luis Bunuel, Ingmar Bergman, and Federico Fellini were works by American filmmakers, such as William Wyler, Frank Capra, Elia Kazan, Orson Welles, George Cukor, John Ford, Stanley Kubrick, Victor Fleming, and even Walt Disney. With such a varied list, one might have assumed that a Catholic filmmaker whose work spanned the history of cinema and who had achieved both popular and critical success might have been represented, yet the films of Alfred Hitchcock remain conspicuously absent from the Vatican's selections.

Why this omission? It could signify that the debate over Hitchcock's significance as auteur has not been decisively resolved among the general public, despite the massive body of scholarship devoted to his films within academia. Styling himself "the Master of Suspense," Hitchcock seemed to enjoy presenting himself, in interviews, as a director who was professedly non-intellectual, more interested in manipulating the audience's emotions through cinematic technique than in creating lasting portrayals of profound human truths. In his early study of *Hitchcock's Films* (1965), Robin Wood noted that "the chief obstacle in the way of a serious appraisal of Hitchcock's work for many people

is Hitchcock's own apparent attitude to it." During his lifetime, Hitchcock's commercial popularity often meant that his films went underrated in relation to art-house products, for several critics assumed that "concessions to the box office," the genre of "the suspense thriller," and the "'gags' and 'comic relief'...effectively undermine[d] any pretensions to sustained seriousness of tone."

Forty years, however, have gone by since Wood wrote those words. The categorization of Hitchcock's body of work as pure pop-culture has been, during the intervening years, rendered increasingly difficult by the vast number of serious, well argued, critical treatments, writings that testify to a complete shift in attitude about the director. If the Vatican panel was cognizant of this shift, and aesthetic considerations did not influence them to reject Hitchcock's work, perhaps moral concerns did-the best of Hitchcock's fifty-three feature films have as their most conspicuous subjects criminality, murder, and espionage, topics that may have been deemed irrelevant to the preoccupation with personal morality evinced by many films that were selected for the Vatican's list. Yet, as several commentators have noted, Hitchcock is very much concerned with everyday moral issues, and approaches these from a particularly Catholic understanding. As he himself said to Francois Truffaut, "I come from a Catholic family, and I had a strict religious upbringing....I don't think I can be labeled a Catholic artist, but it may be that one's early upbringing influences a man's life and guides his instinct." I would argue that being guided by Catholicism in the way that he is does render Hitchcock a Catholic artist and that the exclusion of his work from the Vatican's "best films" list constituted a refusal of a tribute that the director richly deserved.

My paper analyzes what it means to think of Hitchcock as a Catholic filmmaker. While many critics-from Eric Rohmer and Claude Chabrol, in their pioneering book *Hitchcock: The First Forty-Four Films* (1957), to Reverend Neil Hurley, a Jesuit priest, in *Soul in Suspense: Hitchcock's Fright and Delight* (1993)-have traced the ways in which Hitchcock's Catholic upbringing and beliefs found expression in his films, they tend to focus on the superficial. Rohmer and Chabrol cite Hitchcock's ongoing preoccupation with the subjects of sin and guilt as signs of his Catholicism, while Hurley compares Hitchcockian cinematic trajectories to ideas and patterns found in the Spiritual Exercises of Saint Ignatius Loyola. These studies tend to focus on overt symbols, such as are to be found in films like *I Confess* (1953) and *The Wrong Man* (1956) that have at their center devout Catholic protagonists. These, however, are not Hitchcock's best films nor are they typical within the whole body of his work. To dwell upon them is to focus on the trappings of the Catholic religion; what is of far more interest to me is the moral seriousness that Hitchcock brings to the exploration of human relationships within his most respected films and the influence of Catholic teaching on his understandings of the nature of male-female relationships in particular. I address this point by surveying much of the Hitchcock canon in light of Catholic moral teaching, paying particular attention to four complex and highly regarded works: *The 39 Steps* (1935), *Notorious* (1946), *Psycho* (1960), and *Marnie* (1964).

Brotherhoods of the Knot: The Incan quipu and Other Corded Devices Throughout the Pacific Region

A survey of the knotted cord devices in Peru, the Marquesas, Hawaii, New Guinea, Ryukyu and China. The subject areas include archaeology, linguistics and comparative ethnography.

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Proceedings Submission

3rd Annual Hawaii International Conference on Arts & Humanities

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ABSTRACT

Teaching Connections Between Dance, Theatre, Music and Visual Art

The purpose of this workshop is to identify, describe and compare principles of organization (i.e. tools of composing) used by the dancer/choreographer, actor/director, musician/composer and visual artist. The study focuses on the artist's use of ten major compositional tools and how those compositional tools relate to the discreet art forms of dance, theatre, music and visual art. The ten compositional tools presented are:

- Coherence
- Dynamism
- Unity
- Variety
- Contrast
- Balance
- Repetition
- Rhythm
- Emergence and Recedence (Figure and Ground)
- Development

This comparison of principles of organization within the artist's creation of dance, theatre, music and visual art was based on the writings of Karl Aschenbrenner, Rudolph Laban, Thomasine Kushner, Harry S. Broudy, DeWitt Parker, Morris Weitz and John Dewey, among others.

The workshop compares the ten compositional tools in their manifestation as principles of formal organization in dance, theatre, music and visual art and suggests a means to

interrelate these aspects among the four arts in an approach to aesthetic education. Based in large part on the presence of dynamism (or movement) during the creation and apprehension of the arts, the workshop centers on movement as the educational focus in a comparison of the compositional tools. Theories of dynamism as discussed by theoreticians and artists in each field support the supposition that compositional tools within the four arts are similar and comparable. Both theory and practice comprise the workshop since participants will learn about and discuss the interrelatedness of the ten compositional tools and also will participate in actual exercises which reveal how each compositional tool manifests itself in dance, theatre, music and visual art.

A major goal of the workshop is to suggest that the compositional tools serve as content areas within an approach to aesthetic education. In such an approach, movement and dance would serve as the educational focus and basis for curriculum development which interrelates the artist's use of formal organization in dance, theatre, music and visual art. The workshop will suggest a way in which the compositional principles can be implemented in courses of study focused on either the relationship of these four art forms or a multi-arts approach to composition.

Paper Submission to
Hawaii International Conference on Arts and Humanities

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ASCENSION: Making a Videodance Animation

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This paper describes the process of making ASCENSION, a digital videodance animation project. It discusses the technical and aesthetic issues that arise when dance video footage is used as the source for imagistic digital animation. The paper presentation will include a screening of excerpts from the work, and video showing how the animation was made.

Abstract

As a hybrid media artist specializing in video and digital animation, I usually work in close collaboration with choreographer and composer, evolving video and animation concepts in parallel with the development of dance and music. The process for this videodance was different, because the music and choreography were finished before I began work on the video and animation for ASCENSION.

In a previous blue-screen video shoot, we had captured a range of solos and duets that highlighted interaction and communication between two dancers. I was inspired by the passion and emotional depth in the choreography, and by the wonderful performances by the dancers. I decided to use these solos and duets as source material for ASCENSION, with the intention of transforming it from dance footage to imagistic animation that responded to the dance as well as to the soundscape, without attempting to be a literal interpretation of either.

Working initially in Final Cut Pro, I sequenced and layered the original video footage of the dancers, making duets from solos, and combining duets to make quartets. Then I brought these sequences into After Effects for compositing and effects processing. To emphasize certain aspects of the movement, I manipulated time, slowing and echoing the video material, and applying color treatments.

I also created a layered series of abstract visuals, using words and short phrases as sculptural elements, sharing visual space with the dance imagery. These words are also heard as vocal samples. The piece begins and ends with a waveform-style visualization of the music, highlighting the connection between visuals and sound.

Synopsis of the Work

ASCENSION is a videodance work conceived primarily as a "screen experience", standing alone, not accompanied by live dance. It considers possibilities of transcending boundaries through movement, responding to issues of fragmentation, connection and making meaning across space and time.

As the video begins, a thin line begins to pulsate, responding to the dynamics of the music. Smoke drifts across the screen, and two dancers emerge. Their movement, at first naturalistic, gradually transforms into imagistic shapes and sequences.

Responding to issues of fragmentation, connection and making meaning across space and time, *ASCENSION* considers the possibilities of transcendence through liberation from physical boundaries. Contemporary dance choreography, captured on video, transforms into luminous videodance animation, accompanied by a soaring electro-acoustic soundscape.

Animation still from ASCENSION (2003) by John Crawford

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6. One of the most important developments in the humanities in recent years is the extension of the "human" to all areas and all peoples of the globe. This extension is not simply a matter of taking already established methods and categories of investigation and applying them to everyone in every culture. Rather, the methods and categories of study themselves are changed by such application. My current research is on conceptions of sexual harassment around the world. I take a critical, philosophical approach, examining the concept of sexual harassment in the context of other conceptions, such as those of work, gender, law, and justice, with the aim of determining which of the many approaches taken to sexual harassment is most progressive. This is a complex task, and that complexity is one of the things I want to emphasize in this work. Part of the project is reflection on the process of this sort of cross-cultural study. I have completed work on Germany, France, and the U.S., but, in this presentation, will focus on India and Japan, where much development in the conception of sexual harassment has taken place recently.

Bram Stoker's *Dracula* :

A Psychoanalytic Allegory You Can Sink Your Teeth Into!

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In maturing, we go beyond that (oral) impulse into the more complex desires of civilized life, but we never transcend the simple, sometimes shameful enjoyments of mouthing, ingesting, incorporating, and destroying that are satisfied by the oral impulse.

-Dennis Foster, "Little Children Can Be Bitten"

Before Freud had published his famous letters on the manner of the unconscious and psychoanalytic interpretations thereof, another man had given readers an example of the workings of the unconscious mind through an allegorical illustration[i]…though most readers didn't know it, and arguably, neither did the author. This man set forth a terrifying demonstration of what happens in the unconscious mind during psychosexual development. This man was Bram Stoker. Although many different interpretations of *Dracula* have proven quite salient through the years, one particular interpretation has been overlooked - the most base and uncanny elucidation – the one we all know subconsciously. Bram Stoker's *Dracula* predates Freud's letters on the unconscious, and serves as a precursory example of how the mind functions. In this paper, I will show how Stoker's *Dracula* acts as an allegorical parallel to Freud's notion of how the unconscious works[ii], by examining both the synchronic and diachronic structures present in the novel. The synchronic structure – Freud's three levels of the psyche – will be ascertained by examination of each major character in *Dracula* for the allegorical roles they play as the members of the unconscious, who, working together, progress throughout the novel to exemplify Freud's five stages of psychosexual development. I will then trace this diachronic aspect through the novel and bring each of the five stages to light by examples from the text.

When reading Bram Stoker's *Dracula,* the reader constantly faces the dilemma of establishing the Count's essence; his very being is elusive. What is he? What are vampires, for that matter? They are solid, yet pass through cracks; tangible, yet change

form; visible, but have no reflection[iii]. They are, yet they are not. They are creatures of constant contradiction and paradox: they are the unconscious, the collective desires of the Id, driven by the personification of Thanatos, himself – Count Dracula. As described by Dennis Foster,

> We humans suffer from "unlust," unpleasure, the tension between what we need and our ability to find satisfaction; we suffer from desire. Some desires are simple: when we are hungry we want food, when we are cold we want warmth. But our human desires are also more complex, condemning us to impossible desires for lost things – call it Eden, the Golden Age, or Mother – that we will never have again, and that we never really had. In striving to fulfill our desires, we are literally moving toward a place before desire, before loss, before life. This is the "death drive," not a drive to *be* dead (as Freud points out, none of us have been dead, and so the term has no meaning for the individual unconscious), but to be freed from the painful separation that is life. Stoker's term, "Un-Dead," suggests that desire to be freed from the limits of human satisfaction, yet not to be dead.[iv]

Note that in the novel, Dracula is described as cold, and also as never eating[v], perfectly personifying two of the desires mentioned in the above quote. Taking this literally, one could claim that Dracula *is* desire: and as Dracula has no human limitations (physically, morally, or otherwise) he *is* Thanatos, allegorized; he, himself, is the drive for pre-existing fulfillment. If more evidence is needed to unveil Dracula's alternative role as Thanatos, consider Dracula's speech concerning his (long-past) ancestry[vi]; he is a memory – a leftover from the past, if you will. So, too, is the drive of Thanatos – the eternal remnant of childhood hoping to be satisfied.

If Dracula is Thanatos, who is being driven by him? Who represents the Id, helpless but to succumb to him? The women in this novel easily comprise this component of the allegory. Freud's 'Id' is the section of the unconscious devoted to pleasure-seeking and an existential, insatiable want for these pleasures *now*. Thanatos drives it, and left to its own devices the Id would surely incur disastrous results: "According to Freud's formulation the child brings into the world an unorganized chaotic mentality called the *Id*, the sole aim of which is the gratification of all needs.[vii]" The women in this novel -

Dracula's three wives, Lucy, and Mina - all fall under this category, creating a subdivided characterization[viii] of the Id. Each of the five women encounter Dracula and succumb to his power, much as the Id succumbs to the will of Thanatos. Dracula's three wives need little justification for being part of the Id, as they are purely vampirical when the reader first encounters them, as the Count himself, and they easily satisfy the role; although they are not *the* death-drive, they are compelled by it, and in so doing fulfill its will, as the Id to Thanatos; Dracula rules his wives as Thanatos rules the Id. Mina and Lucy take the allegorical Id one step further: Mina depicts the part of the Id that survives after growth, socialization, and psychological/psychosexual maturity is reached, whereas Lucy exemplifies the part of the Id that yields completely to the domineering Thanatos during younger stages of childhood, as we will see in greater detail during the discussion of the Genital and Anal phases, respectively.

Surprisingly enough, the Ego in *Dracula* is embodied by the character one might least expect – the "zoophagous[ix]" Renfield. The job of the Ego, according to Freud's definition, is to act as a mediator for the Id and the Super-ego, or in other words to bridge the gap between the fantastical world of the Id and the physical, real world[x]. Renfield acts as this agent as the story unfolds; he becomes possessed by Dracula, while at the same time remaining a man (a non-vampire) and also aiding the company of men in their quest to destroy Dracula[xi] (or in the allegorical parallel, the quest to overcome the Thanatos drive). Wicke quotes, referring to Renfield, that "he is unvampirized in the literal sense, only vampirized from afar.[xii]" This duality of Renfield's allegiance is what proves him as the catalyst for both Super-ego and Id – namely, the Ego.

Perhaps the most obvious role is assumed by Van Helsing, the ever-vigilant physician and vampire hunter. In Van Helsing, we see Dracula's binary opposition; his opposite, his negation. In the plane of the unconscious, this translates to the Super-ego. The main duty of the Super-ego is to internally represent society and culture: it is our conscience and our internal 'parent,' influencing us to do right instead of wrong. It is also the mechanism which administers guilt (internal punishment) when we go astray. Dr. A.A. Brill quotes in his introduction to *The Basic Writings of Sigmund Freud*;

> The super-ego is the highest mental evolution attainable by man, and consists of a precipitate of all prohibitions and inhibitions, all the rules of conduct which are impressed on the child by his parents and by parental substitutes. The feeling of *conscience* depends altogether on the development of the super-ego. [xiii]

These qualities can't be missed in Van Helsing's character – he is the eldest of the group, the most learned, and can quote cultural taboos and different languages on demand. He is also the administrator of guilt by correcting the wrongs done by Dracula, as will be seen throughout the next portion of this paper regarding the five stages of development. However, Van Helsing alone couldn't comprise the entire Super-ego – here again, a concept is subdivided into several characters. Jonathon Harker, Quincy Morris, Dr. Seward, and Arthur Godalming all aid and support Van Helsing – they are that particular facet of the Super-ego which introjects[xiv] the concept and morality of community. It would be impossible for the story of Dracula to have been written using only Van Helsing, as community cannot be portrayed by only one person; supporting characters were needed. This is reinforced by the company into which the group assembles themselves - Van Helsing even goes so far as to comment that Dracula and his kind have no society, no way of joining forces, and that is why he can be beaten; in this comment it seems as though even the characters in the novel understand their allegorical significance.

One last character needs to be examined before inspecting the diachronic function of the allegory; that of the psychoanalyst, the interpreter or third-person party. Without this third-person perspective, the story of Dracula remains a horror story - nothing more. The role of conscientious diviner of latent meaning falls to a very special character, the one who is never actually depicted in the novel…the reader. "Jonathon began his journey as a tourist of sorts,[xv]" allowing the reader to unconsciously adopt the same attitude - that of a voyeur. Without the fresh perspective of someone (the reader) completely removed from the London or Transylvania of the mind (the allegorical level of the novel), the allegorical content in *Dracula* is naught but a dream that the dreamer assumes means nothing more than what is manifest. The entire novel encapsulates what happens in one person's mind as he grows and matures psychologically – it is our duty to interpret these allegorical findings embedded in the text of *Dracula*.

Freud's Five Stages of Development as Depicted in *Dracula*

The first stage of psychological development is commonly known as the oral, or narcissistic, stage. It is characterized by a need to "satisfy the mouth and digestive tact, including the tongue and lips,[xvi]" and also is a stage of complete narcissism; the child cannot yet distinguish between itself and others[xvii]. These are obvious traits of the entire novel *Dracula,* but it is certainly predominant in the first several chapters. Even within the first five pages, the reader cannot help but to notice how many times Harker mentions food and drink. Also, the reader is introduced to Dracula's wives; the characters of the unconscious outnumber the characters of the conscious four to one. This is consistent with Freud's model: the Id and Thanatos are dominant during the Oral Stage. The narcissistic aspect of this stage can be located by the geography of the Count's castle: It is

no accident that Dracula is left to himself by the Transylvanians…he lives in an entirely self-centered existence. Also, by having no reflection[xviii], it is almost as though the Count cannot be distinguished from the rest of the room when viewed via reflection; he embodies a narcissistic perspective in this Lacanian-metaphorical way[xix]. Also to note is the fixation of Harker's character at this point in the novel – he could readily be defined in these pages as being an 'oral-receptive' person[xx]; that is, he "swallows" every fact (and lie) the Count offers him. These key components of the first several chapters clearly indicate psychosexual components. Thus, the allegory begins.

The allegory continues with a fluid transition into Freud's second phase, the anal stage, commonly referred to as the 'potty-training' phase. There is an emphasis of indirect sexual pleasure through defecation, and it also marks the beginning of the power struggle of child versus authority figures (parents). It's a matter of the child deciding whether to listen to the parents and 'go' whenever and wherever the parents 'demand' it[xxi]. The power struggle manifests itself in the child's unconscious, as he/she is too young to have these feelings directed towards his/her parents consciously[xxii]. Although perhaps less obvious than the first stage, the second stage of development manifests itself in *Dracula* in the ensuing chapters regarding Lucy's slow and untimely demise. In this section we see the Thanatos drive slowly overtaking the Id, while the Super-ego battles to arrest Thanatos's progress. However, because the Ego is not yet fully developed, the Super-ego does not have the direct access to the Id that it needs in order to intervene. Freud quotes, "The ego…to begin with is still weak.[xxiii]" In Stoker's context, we (the readers) see that Dracula is taking Lucy for his own much as the Thanatos drive strives to completely dominate the Id[xxiv]. Van Helsing and company (the Super-ego) try to save

Lucy, but don't have the necessary means – Van Helsing has an inkling of what may be the cause, but no one else knows what is going on. At this point in the story the reader is not aware that Renfield knows what is happening – proof that Van Helsing et al. don't know, either. Renfield hasn't acted to stop Dracula yet, and so the company doesn't know exactly what is happening. Proper and complete introjection of society and morality have not been accomplished, and so the characters reflect this by maintaining a naïve stance throughout this section of *Dracula*. Therefore, they are unable to save Lucy. A part of the Id has been sacrificed to the Thanatos drive, because the Ego (Renfield) is not yet fully capacitated (his sanity is still in question, and the company have not yet identified him as a source of aid or information).

By Freud's definition, since the Thanatos drive won this proverbial round of the game, the third-person party should be noticing 'anal-expulsive' behavior[xxv]. Thus, in Stoker's story, we should be seeing this type of behavior (among the characters representing the more conscious components of the psyche) betraying an anal-expulsive personality. Indeed, things became completely unorganized as Van Helsing tried to convince everyone that Lucy's head needed to be cut off[xxvi]. After everyone had been convinced of the situation, however, a type of allegiance formed between the men…introjection of society is noticeable in this chapter. Because this occurs, the 'anal-expulsive-ness' can be overcome, and this triumph is made visible by the group's ability to send Lucy to a more righteous afterlife. This also symbolizes the first attempt of the child to overcome his/her Id and pleasure-seeking attitude, allowing for a more civilized and socialized being to begin to form. Thanatos, though he won the first round, ultimately lost the game, in this case. This does not mean, however, that Thanatos is defeated, or

that the Id has been conquered; rather, it follows that the pleasure-seeking continues, simply in different forms. In fact, it continues directly into the third phase.

The third phase of development can be said to contain the most psychosexual activity: this phase, the phallic stage, is a period of time in which a person is becoming fully conscious of his/her genital areas, and realizing that they are 'pleasure-centers.[xxvii]' Included with this self-awareness is the recognition that the opposite sex has different genitalia; girls discover that they are "lacking" something that boys have. This recognition leads to two of Freud's most well-known concepts: the Oedipal Complex and castration anxiety. Usually, sexual curiosity is initiated by viewing the "primal scene;" the child seeing his/her parents engaged in the act of love-making. By no accident, this is the stage where Stoker chose to have Renfield being the most active; it was only because of his knowledge and confession that the men knew to hasten to the Harker's chamber. This translates to a sort of compromise in the psyche allegory: the Id and Thanatos want complete control to gain sexual gratification, but the Super-ego would allow nothing of the sort. So, it is the Ego's job to reconcile the Super-ego and the Id's intentions. Stoker correctly portrayed that reconciliation by having Renfield introduce the castration anxiety, by alerting the Super-ego (Van Helsing et al.) of the Count's intentions. The affect of terror which reigns in this part of the novel transfers directly to that which it parallels – castration anxiety - even though the reader may not consciously identify it as such[xxviii]. In fact, the climax of terror seems to begin with the "vampire baptism" scene, as Van Helsing later addresses it. This is fitting, as it allegorically represents the primal scene[xxix] and the beginning of castration anxiety, and it was initiated or revealed by the Ego. Therefore, as the primal scene has now been witnessed, the psyche must deal with

the invoked castration anxiety. In order to do this, identification with a father-figure ensues, enabling the pre-pubescent child to indirectly own the object of his desire (his mother)[xxx]. This occurs subtly in the novel, but it can be found after several re-readings. Van Helsing was established as a stuffy, intelligent professor when the readers were first introduced to him. However, by this point in the novel, he is obviously the eldest, most benevolent, most intuitive, and most knowledgeable; he is the lovable old man whom people look up to – the father figure. The reader must assume that the person whose psyche is explored in this novel has somehow introjected the likeness of his father into his unconscious, now personified in the Super-ego, and for the purposes of the story, in Van Helsing, specifically[xxx]. This provides temporary relief from an anxiety that will continue to haunt the person until he/she can come to terms with his own sexual drive.

During the latent stage of development, the fourth stage, a child's unconscious drives seem subdued while societal manners are integrated into the child's personality[xxxi]. During this phase of the novel, likewise, there is not much action *per se*, just a lot of traveling. The ultimate goal of reaching Dracula in time (before Mina is overwhelmed completely by his power) is always in the background, but actually vocalized much less in the dialogue than in the preceding chapters, just as the goal of overcoming castration anxiety is always present for the child, though not dominant, in this stage. And so, time passes.

Eventually, Dracula is found; the final stage of development is reached – the genital stage. In this concluding, anxiety-driven section of the novel, several important actions occur: most importantly, Dracula is defeated and Mina freed. The implications on the allegorical level is that of triumph for the Super-ego – it has succeeded in overcoming

the drive for pure pleasure, and in so doing has purified the remaining portion of the Id. The instinct is no longer savage, but procreation and a mature love, or cathex, can be achieved[xxxii]. Also important to note is Quincy Morris's demise while struggling to kill Dracula; the battle was won, but something in the psyche had to be sacrificed… part of the father-figure in the psyche must be given up in order to overcome the castration anxiety instilled by the primal scene and Thanatos-driven desire. In this instance, Stoker subdivided the Van Helsing-as-father-figure to include Quincy, who was killed in order to symbolize the alleviation of the castration anxiety, while the 'good father' (Van Helsing) was able to survive in the child's memory[xxxiii]. In other words, the 'bad father' who would punish sexual activity (by castration) is forgotten, while the 'good father' who loved and raised the person would remain intact. To end the novel, Stoker slyly added a comment about Mina and Jonathon's son, reinforcing the idea that the act of love-making for the person's psyche no longer involves primitive lust and guilty recollections of the primal scene, but rather a sense of mature love and procreation, and the product of the mature Id and Super-ego is personified as a human child[xxxiv]. Introjection has reached its fullest, as the company sits around and discusses their adventure. So ends the novel, on a peaceful note, alluding to psychosexual maturity and triumph over - or less brazenly, compromise with - the Thanatos drive.

One question still remains – can we ever hope to escape from, and ultimately (truly) destroy, our individual Thanatos drives the way Dracula was slain by Van Helsing and company? Although Freud would argue that we could not entirely defeat the drive, he does acknowledge the possibility (and need) to displace our more primitive urges into every-day actions, such as work. But this is truly an individual struggle – how we each

deal with our inner Thanatos is a struggle we must each face alone, with naught but our Id, Ego, and Superego as our army. *Dracula* is laid out as if it were a very general case-study of one person who happened to be able to overcome the primal wants and desires, and in its generality it speaks to every man and woman. For this reason, Dracula will remain a graphic, terrifying novel that generations of readers to come will always be able to sink their teeth into.

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Endnotes

[i] Sigmund Freud published his first findings on human sexuality, *Three Essays on the Theory of Sexuality*, in 1905, while Bram Stoker had his book, *Dracula*, published prior to Freud's work in 1897. Also, Freud's theory of *Thanatos* did not appear until 1920, while *The Ego and the Id*, was originally published even later in 1923.

[ii] Of course, this novel does not act as a *perfect* substitute for Freud's model; it simply predates many of the general ideas. For the purposes of this paper, I admittedly exclude study of such Freudian concepts as Eros, ego-ideal, the Electra complex, etc., in this article. It is also interesting to note that throughout the novel there are many and various allusions to dreams (the most obvious cases being Mina's hypnosis and Lucy's sleepwalking). This occurs all through life, and allegorically then, occurs all throughout the novel. For the purposes of this paper this will not be discussed in any more depth, but consideration should be taken to the fact that Stoker was aware of such unconscious processes, and endeavored to embed them in his text.

[iii] Bram Stoker, *Dracula* (Boston: Bedford/St. Martin's), pages 220, 242, and 50, respectively

[iv] Dennis Foster, "Little Children Can Be Bitten," in *Dracula*, ed. John Paul Riquelme (Boston: Bedford/St. Martin's), page 492.

[v] Stoker, pages 41-42. (Sprinkled throughout the rest of chapter 3, Dracula intermittently comments that he will not be eating.)

[vi] Stoker, pages 52-53.

[vii] Sigmund Freud, *The Basic Writings of Sigmund Freud*, ed. Dr. A. A. Brill (New York: The Modern Library), page 12.

[viii] For more information on subdivision of characterization, see Marie Bonaparte's "Selections from The Life and Works of Edgar Allen Poe: A Psychoanalytic Interpretation" in *The Purloined Poe*, ed. John P. Muller & William J. Richardson, (Baltimore: The Johns Hopkins University Press.), pages 101-132 & Sigmund Freud's *The Interpretation of Dreams* (1900) and *The Psychopathology of Everyday Life* (1901).

[ix] Stoker, page 92.

[x] "The ego seeks to bring the influence of the external world (the Super-ego) to bear upon the Id and its tendencies, and endeavors to substitute the reality principle for the pleasure principle which reigns unrestrictedly in the Id."
Sigmund Freud, *The Complete Psychological Works of Sigmund Freud* (London: The Hogarth Press, 1961) Vol. 19, page 25.

[xi] Stoker, pages 274 & 281, respectively.

[xii] Jennifer Wicke, "Vampiric Typewriting: Dracula and Its Media," in *Dracula,* ed. John Paul Riquelme (Boston: Bedford/St. Martin's), page 589.

[xiii] Sigmund Freud, *The Basic Writings of Sigmund Freud*, ed. Dr. A. A. Brill (New York: The Modern Library), pages 12-13

[xiv] Pem P. Allen, "The Psychoanalytic Legacy: Sigmund Freud," in *Personality Theories: Development, Growth, and Diversity* (Boston: Allyn and Bacon Publishers, 2000), page 25.

[xv] Stoker, page 582

[xvi] Allen, page 27

[xvii] Sigmund Freud, *The Basic Writings of Sigmund Freud*, ed. Dr. A. A. Brill (New York: The Modern Library), page 597

[xviii] Stoker, page 50.

[xix] Jacques Lacan defined the developmental stage, the "mirror stage," during which a person begins to differentiate between himself and his reflection (the outer world). For more information regarding the mirror stage and its implications, see "The Mirror Stage as Formative of the Function of the I as Revealed in Psychoanalytic Experience," in *The Norton Anthology of Theory and Criticism*, ed.V.B. Leitch, W.E. Cain, L. Finke, B. Johnson, J. McGowan, & J.J. Williams (New York: WWNorton & Co., 2001), pages 1285-1290.

[xx] "This (personality) type is especially suggestible and gullible (will "swallow" anything) and form relationships characterized by dependency on others." Allen, page 27.

[xxi] "An important aspect of the anal stage is toilet training, which involves children and parents in issues of interpersonal conflict. …For the child, the issue is power." Allen, page 28.

[xxii] See Bruno Bettelheim's text, *The Uses of Enchantment: The Meaning and Importance of Fairy Tales*, (New York: Vintage Books by Random House Publishers, 1977) for more information concerning the child's need to deal with issues subconsciously.
[xxiii] Sigmund Freud, *The Complete Psychological Works of Sigmund Freud* (London: The Hogarth Press, 1961) Vol. 19, page 29.
[xxiv] Lucy here represents the Id that is completely overcome by Thanatos, while Mina is the Id that surmounts it and develops in later psychosexual phases. Remembering that Lucy is a subdivision of the Id, applying the idea of synecdoche we can assume that Lucy represents the entire Id, even though Mina - another subdivision of the Id – remains after Lucy's demise. This becomes an important point during the Genital phase; the entire Id is subjected to the Thanatos drive during the Anal phase (Lucy), but a part of it remains after the fact. This part (Mina) matures and supplies drives for living a healthy, socially-acceptable life, as will be discussed in the section of this paper regarding the Genital phase.
[xxv] "The anal-expulsive type is inclined to disregard widely accepted rules such as cleanliness, orderliness, and "appropriate behavior," a "diarrhetic" orientation. …Characteristics of these people include messiness." Allen, page 28.
[xxvi] Stoker, pages 203–220. (This encapsulates the entire episode of Van Helsing convincing everyone that Lucy was Undead, kidnapping and drinking the blood of children, and able to be cured/redeemed/put to rest only by forcing a stake through her heart and cutting off her head.)
[xxvii] "During the phallic stage, satisfaction is gained primarily by stimulation of the penis or clitoris, through masturbation. Physical and fantasy pleasures experienced through masturbation are important aspects of the phallic stage. However, satisfaction of libidinous needs is only one part of this phase, because the phallic stage is dominated by the realization that boys have penises whereas girls do not." Allen, pages 2829
[xxviii] See Sigmund Freud's *The "Uncanny"* (from The Interpretation of Dreams) in *The Basic Writings of Sigmund Freud*, ed. Dr. A. A. Brill (New York: The Modern Library), & Marie Bonaparte's "Selections from The Life and Works of Edgar Allen Poe: A Psychoanalytic Interpretation," in *The Purloined Poe*, ed. John P. Muller & William J. Richardson (Baltimore: The Johns Hopkins University Press, 1988), for more information on affects of terror and transferal of affects.
[xxix] Referring to the primal scene, Freud writes, "Children…occupy themselves with the problem of what the sexual act consists," and he continues, "it impresses them in a sadistic sense."
Sigmund Freud, *The Basic Writings of Sigmund Freud*, ed. Dr. A. A. Brill (New York: The Modern Library), page 596.
Also, Marie Bonaparte quotes, "The room, so generally a woman symbol…represents…the female genitals, into which the (villain) enters after forcing (violating) the window." In *Dracula*, we do not know if Dracula came through the window, necessarily, but we do know he forced entrance considering everyone concerned wanted to keep him out – his presence in the Harker's bedroom is testament enough of Dracula forcing an entrance. Bonaparte continues, "One might formulate…thus: *So my mother was the victim of a man's* (the man who forced entry) *aggression. He forced his way into her genitals and there…implanted* (a child)." Thus, the scene comprising the "vampire baptism" refers to the primal scene of a man "violating" a woman's genitals in order to conceive a child, as Dracula violated (forced his way into) the room to attack Mina. Bonaparte, pages 118 – 119.
[xxx] "Freud saw boys as experiencing castration anxiety, a generalized fear that they might lose their penises… . They 'reason' that 'if Father discovers I want to love Mother the way he does, he might cut 'it' off.' Girls, on the other hand…display penis envy, feelings of inferiority over not having the male organ and compensatory wishes to someday obtain on of their own. … The boy reasons that, if he becomes like his father, his father will not attack him. Also, if he becomes like his father, it is almost as if he is his father. Therefore, when his father possesses…his mother, so does he," and he continues, "girls identify with the same-sex parent…for roughly the same reasons as boys." Allen, pages 29-30.
[xxxi] "Freud's fourth stage of psychosexual development is notable for its absence of a dominant erogenous zone and important events. Latency is a quiet period beginning around age six during which children repress their attraction to their parents and other infantile urges," Allen, page 30.
[xxxii] The Super-ego overcomes unacceptable libidinal, incestuous, and Oedipal drives by the process of sublimation, whereby the energy directed toward the unacceptable behavior is redirected to a socially acceptable one. For example, a person fixated at the anal stage who is obsessed with feces may sublimate this to an acceptable activity of playing with clay. Or, in the instance of *Dracula*, the socially unacceptable

death drive of Thanatos and its will for free sex is replaced by a healthy monogamous relationship between Mina and Jonathon. For more information on sublimation, see pages 29-32 of *The Complete Psychological Works of Sigmund Freud* (London: The Hogarth Press, 1961) Vol. 19.

[xxxiii] See Bruno Bettelheim's text, *The Uses of Enchantment: The Meaning and Importance of Fairy Tales*, (New York: Vintage Books by Random House Publishers, 1977) for more information regarding 'good-parent/bad-parent' imagery and symbolic killing of the 'bad-parent' in children.

[xxxiv] Here, Jonathon Harker is used as a synecdoche, to express the entire Super-ego. Van Helsing is present (holding the Harker's child on his lap) in order to reinforce this idea by aiding the unconscious transferal of Super-ego from himself to Jonathon.

Cover picture downloaded from http://www.penddraig.co.uk/vampire/pix/feeding.gif on April 19, 2004.

Proceedings

Title: **Contextual Rapports within Theatrical Medium: Composing the Character**

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Abstract

CONTEXTUAL RAPPORTS WITHIN THEATRICAL MEDIUM: COMPOSING THE CHARACTER

The magical identity of the theatrical medium is defined by the unique, intense and ephemeral coexistence of the performers, the stage and the audience.
They establish complex and dynamic relationships among them while bringing to life human experiences and artistic emotions.
Some of these relationships refer to human context -such as social circumstance, historical juncture and cultural background- while others refer to visual context.

The purpose of this workshop is to pinpoint some aspects of the visual context created during the show, especially character imagery and the visual rapports established between performers and the audience as seen from a theatre designer's perspective.
The presentation will define ways to explore the identity of the character and to monitor his/her evolution throughout the play.
The connection between cause and effect in character evolution will be analyzed through conceptual reasoning and visual interpretation.

A sizable portion of time will be given to a hands-on exercise that will involve all workshop participants toward originating graphic representations of a character through interactive studio-like debates.
Graphic material and drawing supplies will be provided.

ABSTRACT

a. **Title of Presentation**
"Antiquarian traditions in the Phlegraean Fields and the Website *Campania Felix*"

b. **Area of Interest**
Combined (history, literature, archeology)

c. **Presentation**

This paper will introduce the WEBSITE CAMPANIA FELIX (www.nsula.edu/campaniafelix) . The SITE offers a collection of various material regarding the area of ancient Campania with a particular focus on the volcanic Phlegraean Fields northwest of Naples, an area rich in classical associations and remains. Indeed before the discovery of the sites covered by Vesuvius in the l8th century, the Phlegraean Fields offered the best preserved and most extensive remains on Italian soil next to Rome itself. The Website was originally established as a means of extending the impact of the NEH Summer Seminar for College Teachers program Campania Felix: Nature, Myth, and the Arts of Man Initially, the directors envisioned the WEBSITE as a way to exchange information, research and bibliography on Campania and the Phlegraean Fields as well as a means for maintaining and developing the initial contacts with the Italian archaeological community made during the course of the seminar
The paper will begin with brief overview of the WEBSITE by showing texts and images that trace the formulation and development of an antiquarian tradition for the region, many of which are little known works from the Middle Ages presented here for the first time in a modern edition. The survey initiates with works linked to the balneological tradition of the region that demonstrate the continuity of traditions from classical antiquity through the persistent utilization of balneological therapy and, oftentimes, sites that had survived from antiquity in conjunction with Late Antique/Byzantine medical texts. Among the works to be highlighted will be a text which probably dates from the late llth century and is connected to the monastic tradition of southern Italy (*Balnea Puteolana*) which may well have initiated a tradition that was to last for centuries. This tradition includes the most popular and influential work on the region, an illustrated guide to the baths written in verse by Peter of Eboli (*De balneis Terre Laboris*) written about l200 for a Hohenstaufen monarch. *De balneis*, through its illustrated manuscripts, effectively, initiates the visual tradition of the region, along with the balneological tradition. Derivative works will then be examined both in Latin (prose summaries) and in Vulgar Italian (the *Trattato dei bagni*). The presentation will then turn to the more general antiquarian tradition as this survived largely through commentaries to classical authors, especially Servius, for Vergil, Cornutus for Juvenal, et al. The crystallization of these texts and commentaries into a coherent tradition, which also included the balneological as it appeared in the prose summaries of *De balneis*, is found in the proto-humanistic activity of the fourteenth century, most notably the *Mappa Mundi* from the encyclopedia of Paolino da Venezia and a related anonymous work entitled the *De civitate*, which also included parts of *De balneis*., and somewhat later the highly influential derivative prose summary of the poem, the first edition of the *Libellus de mirabilibus*. The presentation will then continue with an account of the most important later works, including those directly descending from these texts, most importantly a 1475 edition of the *Libellus de mirabilibus*, and independent creations such as Flavio

Biondo's *Italia Illustrata*, or a combination of both, most notably Leandro Alberti's *Descrizzione di Tutt'Italia*.. Turning to the visual representations, the presenter will show the conjunction of text and image in the evolution of an iconographic tradition. Among these, the most notable are the engravings of Flemish engraver Joris Hoefnagel for the *Civitates Urbis Terrarum*, a compatriot Nicholas VanAeslt who had a studio in Rome, and his contemporary Mario Cataro, also working out of Rome and their successors such as Stigiola, Bleau, De Fabris, and Morghen. To demonstrate the utilization of material presented in the site for both an academic and more general audience, the presentation will conclude with a view of material gathered for the crater (lake) of Agnano. The site combines medicinal properties of its mineral water and volcanic fumes for therapeutic purposes with the legends concerning the underworld generated by the potentially noxious fumes. The irony inherent in this double edged reputation resulted in centuries of descriptions in which the tradition that the crater was the site of Purgatory gradually emerged as the site embodied the life and resurrection idea that underlined conceptions of Purgatory from early Christianity onwards. During the medieval ages the tradition was carried on primarily by a tradition most commonly that found in *Balnea Puteolana* and the poetic rendition*, De balneis*. Through the poem in particular, both the medicinal aspects of the site as well as the tradition concerning Purgatory were described and, because of the wide dissemination of the poem, passed on for centuries. Subsequently, the site became even more famous as it was associated with a custom of throwing dogs into one of its grottos whence the name the *Grotta dei Cani* (*Grotto of the Dogs*). The dogs, presumed dead, were then taken out of the grotto, thrown into the crater-lake, and generally revived. Sometimes other animals, such as asses and even humans, were subjected or subjected themselves to the same test! In the presentation, sources available in the Website will be woven to show the archeological, literary and iconographic history of the site from classical antiquity to the present time with special attention paid to the intersection of literary and visual descriptions. The still visible *Grotta*, usually inaccessible, will also be illustrated as a result this author's visit last summer with Italian archeologists

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Design as Ethically Being in the World

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Design as Ethically Being in the World

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Introduction

The question of design is of interest because it belongs to a dimension that goes beyond its common comprehension. A deeper enquiry reveals that the scope of the phenomenon of design is the meaning of "being" when design is understood as an attitude centered on intentional action, which is aimed at the transformation of the world. Design is to modify the state of the world, it is to put in place means to achieve an end, it is to produce a series of decisions to end up in a result. The scope of design is broad and spans from the planning of a daily routine to building an entire city. It can also be a political program or the development of a new concept. In brief design is responsible for the creation of the artificial world, or the world made out of human intentionality, whether physical or non-physical, it is indeed its "raison d'être". In this sense design defines man's way of being in the world, what man is ontologically; design makes man Be.

Design and Existentiality

Design exists through, by, and for man and it situates within the system "man-in-the-world". Design "is" because of the desires and needs of people in their relation to the world. A theory of design in that perspective should originate from the element that is its foundation, namely the human being in his entire anthropological dimension.[1] Like science, design is intrinsic to human existence. By re-centering the attention on man within his existential relation to the world, "being-in-the-world", it is possible to develop a theory of design responsive to its intrinsic nature, the ethical engagement. The

[1] The antropological dimension in question is comprehended from the perspective of the philosophy of existence as developed by Heidegger and Sartre with the concept of "being-in-the-world" and the idea of free engagement through a project. It offers indeed a relevant frame of analysis for addressing the ontological question of design.

existential relation, engagement, is ethical because it implies an action (design) carried out by man (designer) for man (user, community, humanity, and the designer himself), and is indeed a relation that transforms the human person and the world. Actually design designs man (both the designer and the user), the world, and design itself.[2]

Some research works addressing the question of the relationship between ethics and design have been undertaken in the past years. With some exceptions, most of the approaches address the link between design and ethics from an "applied" perspective. Ethics is applied in design, and generally in all disciplines, as if ethics was a tool to be "used" when needed. This is not how the issue of design ethics is comprehended in this paper. It rests on the conviction that Man Is Ethics. It is so because Man is action woven into freedom of choice and there is always a dimension of rightness-wrongness related to that action. The focus here addresses the core of the question that has to do with the ontological issue of design. What is asserted is that the being of design is engagement and this engagement is ethical since design makes man be in the world. Then design as discipline and attitude centered on intentional action finds necessarily its conceptualization within moral philosophy because design is humanly engaged. Such a theory of design grounded into ethics necessarily refers to the notions that are the foundations of ethics such as: freedom, choice, intention, value, engagement, responsibility, and project. These notions define and characterize the existential ethical relation between man and the world, what can be called "ethically-being-in-the-world". Design implies engagement and responsibility due to the fact that it is an action that derives from freedom of choice, that is situated within a project, and that is anchored into intention, end, and value. It is because design is embodied into freedom, engagement, and responsibility that a theory of design has to be construed from an understanding of man-in-the-world as totality within ethics. An ontology of design articulated around the above notions can establish the theoretical bases that resituate design within the dimension of ethics.

[2] This idea of "design designs", formulated by Tony Fry, refers to "ontological designing" which is well explained in Anne-Marie Willis's paper "Ontological Designing".

It may be useful to view design as a system composed of three foundational dimensions: act, project, and artefact. Each of these dimensions comprises the two others and together are intrinsic to both the designer and the other, the person for whom design is undertaken. The designer and the other cannot be separated from what becomes their extension in the world, i.e. the act, the project, and the artificial; we are our thoughts, acts, and products. The act is defined as the processes inherent in any activity of conception and encompasses the set of choices and decisions organized so as to fill the objectives of a project and results into an artefact. The project is understood as a freely chosen envisioning of a state of the world that does not exist yet. The artefact is the material or immaterial outcome of human intentionality. It is through the three foundational dimensions of design that designer, man (self-other), and world (nature, culture, artefactual, etc.) engage mutually within the system man-in-the-world.

That engaged relation cannot escape the dimension of responsibility since, as we have seen, design is intentional action carried through freedom of choice. As Sartre puts it "man is condemned to be free", and he is always in a situation of choice as a consequence of freedom. Man has always to choose and cannot escape engagement and responsibility. This is where ethics becomes the only horizon for an enlightened design. In that perspective, design is to be addressed at two levels, the concrete and the existential. The concrete concerns the micro aspect of design that aims at acting to carry out an artefact (material or immaterial) within the scope of a project. The existential dimension is the macro aspect that has to do with the question of being in the world, choosing one's humanity. Obviously the micro level is integral of the existential, the former contributes to the latter. Through the act, the project, and the artefact, both the designer and the other choose their humanity and their being-in-the-world. We are what, how, and why we design.

From an epistemological standpoint what distinguishes design is that it addresses the world as a project. As a comparison science sees the world as an object. The scientific paradigm operates from a dualistic posture that implies contemplation and where the individual (the scientist) is disengaged from the object to be "discovered" so objectivity

and truthness of facts are ensured in the act of knowledge. On the contrary, design implies transformation and cannot relate to objectivity since the individual (designer) is engaged, design is engaged thinking and acting in the world and humanity. Because man is a free acting being engagement is inevitable, man cannot avoid it, denying it would be bad faith. Being so design has to be apprehended in the field of ethics since any action confronts the issue of rightness and wrongness in terms of degree of appropriateness of choice according to the situation where design takes place (cultural, material, etc.). Then design is not only concerned with the world that can be or could be, but above all with the world that ought to be. "Ought-to-be-ness" becomes the only meaningful concern of design; a design problem is always situated within a "man-in-the-world" problem. Consequently, the designer "creator-of-a-world-that-ought-to-be" is entirely involved with all his humanity and becomes ethically responsible because of the fact that his action, design, has consequences for man and the world as entity, it changes the system man-in-the-world, regardless of the scale of intervention.

This leads to fundamental questions that must be posed and that are beyond materialistic preoccupations of design. These questions are of a metaphysical order and address the project of man in the world and in the universe. These questions concern the end of design, the kind of world that ought to be created, the being of the designer and of the others defined and invented by design, etc. These questions are directly related to the ethical nature of design and we can say that design in its three dimensions, the act, the project, and the artefact, is primarily concerned with the destiny of the human person (designer, user, community, humanity). Design so construed makes man Be in the world, it gives birth to man in the world and gives birth to the world in man. This is why the issue of destiny is unavoidable, we are embodied within it for ever as soon as we design. Destiny is integral of design and dignity may represent the aim of human destiny.[3] This brings the question of how design designs human dignity through the act, the project, and the artefact.

[3] The concept of human dignity according to Kant does not include the whole of sentient beings and nature. In the scope of what is argued in the text the idea of dignity includes the whole of man-in-the-world.

Conclusion

Design is an action situated in man-in-the-world. We can say that designing creates oneself, the other, the world, and being-in-the-world; in existentialist terms designing defines “essence”. It invents the designer and the other in the world through the act, the project, and the artefact. It is important to see to what extend the notion of project in all its existential and philosophical dimension is part of the discipline of design. Initially man “is” through his actions and these are the fabric through which the existential project is carried out. In that sense it becomes obvious that design defines the essence of the designer and of the other.

It has somehow been shown that design understood as intentional action can only exist through a project and that the designer is responsible because his free choices and decisions constituting design have an impact on man as humanity, actually they design humanity. Indeed the world is not the same after design has occurred, and this regardless of the scale of intervention. Also, the project necessitates a ground to exist as a referential frame of design. It is within a vision of man and the world, an anthropology, that the project finds its ties. Only such a vision can guide and frame the project. That vision is also a project, the project of man in the world, which concerns in fact the design of an anthropology that will propel the intentionality of the project. It is however important to point out that a vision of the world and of man who inhabits it, whom is simultaneously inhabited by that world, depends entirely on values. It is then through values that an anthropology can be formed. Man being the central element of values leads to two ways to address the issue, man as a means and man as an end.
If we refer to the duality existence/essence as encountered in Sartrian existential philosophy we could say that man-in-the-world, self-other, belongs to the realm of existence before the occurrence of any design enterprise and that he becomes essence, being-in-the-world, through design (act, project, and artefact). Thus, through the intentional action of design one carries out the project of oneself (designer) and of the other (user in its broad sense) in the world; and through the project of the other one carries out the project of oneself. The designer chooses himself by choosing for

humanity and chooses for humanity by choosing himself. Consequently, in all design disciplines the designer is condemned to create and invent the world, and in doing so he designs himself, the other, and humanity. Design is how man becomes man; design is being-in-the-world. Because design brings man into essence, the oughtness dimension of the engagement cannot be avoided. That makes design being ethics and ethics being design. This leads to say that man is design. Design is incarnated.

Philippe d'Anjou

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Linguistics
Key Words. Advertisements – Translation – Yngve – Mitchell - Bordieu

The Language of Advertisements: a tension between visual and verbal representation from Mitchell and Bordieu to Yngve's Hard Science Linguistics: Advertisements and translation. A possible/impossible art?

Henry IV ACT 2
Scene 4
220 Doll. Ah, you sweet little rogue, you! Alas, poor ape,
how thou sweat'st! come, let me wipe thy face,
come on, you whoreson chops: ah, rouge!i'faith, I love thee. …
King Henry V ACT 1
Scene2
80 Canterbury. ….
"In terram Salicam mulieres ne succedant" - …
Scene 5
20 Constable. O diable!
Orleans. O Seigneur! Le jour est perdu,tout est perdue!
Dauphin. Mort Dieu! Ma vie!all is confounded, all!
Reproach and everlasting shame
Sits mocking in our plumes.
O méchante fortune! Do not run away.
ACT 3
Scene 4
1Alice. La main? Elle est appelèe de hand.
Katharine. De hand. Et les doigts?
Alice. … Les doigts? Je pense qu'ils sont appelès de fingers: oui de fingers.
Katharine. … Comment appelez-vous les ongles?
Alice. Les Ongles? Nous les appellons de nailès. …
Katharine. …dites moi si je parle
Bien: de hand, de fingers, et de nailès.
Alice. C'est bien dit, madame; …
Katharine. Dites moi l'Anglais pour le bras.
Alice. De arm, madame.
Katharine. Et le coude.
Alice. D'elbow.
ACT 4
Scena 1
30 Pistol. Qui va là?
King Henry. A friend.
Scena 2: *The French camp*
Orleans.the sun doth gild our armour. Up my
Lords!
Dauphin. Montez à cheval! My horse! Varlet! Laquais!
Ha!
Orleans. O brave spirit!
Dauphin. Via! Les eaux et la terre!
Orleans. Rien puis? L'ait et le feu?

Dauphin. Ciel! Cousin Orleans.
King Richard II ACT 2
Scena 1
270 Northumberland. Then thus – I have from le Port Blanc,
A bay in Britain …
Henry IV
Scene 5
90 Pistol. 'Si fortuna me tormenta, spero me contenta.'

Introduction

These quotations serve to introduce a discussion concerning the role of bilingualism and that of translation within the field of publicity.[1] It seems that bilingualism and even trilingualism have never been new phenomena; everyone has always used more than one language for one reason or another especially if dialect is included within the boundary of recognized tongues. In the light of this, the habit of mixing languages/codes/registers is very common and it covers different situations: 1) bilingual/multilingual people experiment the interference of foreign languages either because of contextual evidence (The Preside of our Facoltà has told us to use the …) or because of a slow process of code-switching, or because of language shift; 2) high class people use dialect when they want to establish a good relationship with their low class listeners (a politician in order to gain the credibility of local people uses some dialectal utterances so, while changing register and employing *a strategy of condescension*,[2] s/he reduces the distance and establishes a kind of friendship with the local people: to cede power to enhance credibility);[3] 3) low class people often employ a mechanism of linguistic censorship when they are asked to interact in a formal context: a kind of translation from their usual way of speaking suitable within their own context to another which is stranger to them (Bourdieu's 'symbolic power:' the power people achieve through a correct use of linguistic means suitable to the context in which they are asked to interact). 4) In Italy mixing two languages is also very

[1] I use 'publicity' and 'advertising' with the same meaning. I do not follow the difference established by S. Beckwith in *Complete Publicity Plans*, Avon/Massachusetts: Adams Media Corporation, 2003: 2: "Publicity is a subcategory of public relations while advertising is a subcategory of marketing."

[2] This strategy, in my opinion, can be observed from two points of view: one is linked to behaviour - people gain credibility and so, solidarity-, the other is more linguistic - the dialect employed gains prestige when it is used by high class people: "The Mayor of Pau employs a *strategy of condescension* by which, in the very act of negating symbolically the objective relation of power between the two languages which co-exist in this market, he draws symbolic profit from this relation. By virtue of his position he is able to negate symbolically the hierarchy without disrupting it, to transgress the unwritten law and thereby exploit the hierarchy to his advantage in the very process of reaffirming it." P. Bourdieu *Language and Symbolic Power*, Cambridge, Massachusetts: Harvard University Press 2003: 19.

[3] "These are communicative strategies, which follow pragmatic rules determined by various factors mostly cultural: "From the perspective of power, we are therefore inclined to assume that to exclude the opponent is to exercise power, to include him or her is to cede power. Here, it is interesting to note that, within the rhetorical and cultural conventions of English, to be seen to cede power, even if insincerely, enhances credibility." B. Hatim and I. Mason, *The Translator as Communicator*, London/New York: Routledge 1997: 139. Cf. N. Hargan, *Translation from and into English*, Edizioni Medusa, 1994. S. Bassnett-McGuire, *Translation Studies*, London/New York: Methuen, 1980. C. E. Landers, *Literary Translation*, Clevedon/Buffalo: Multilingual Matters, 2001.

frequent for newspaper journalists and TV speakers, who often introduce foreign expressions - mostly English and sometimes French while reporting or commenting; 5) then we have commercials either spoken or written, very often leaving the whole of a foreign structure (Don't call me baby; Don't touch my Breil; penalty Free thinking; La nuit… magique; Le nouveau Parfume Feminin;), other times simply introducing some standard foreign words within Italian utterances/sentences (Nutella *Generation* – Che mondo sarebbe senza Nutella; Che *sound* quei *bijoux*; Immergersi Solo con la musica sono dove voglio essere *Listen and you'll see*; Dal *Top* della ricerca Americana: *Skin* Renu; *Money transfer* – Sto mandando molto di più che denaro – American Express; *I love Italy. I love* Vacanze Italiane, etc.). Then, everyone changes register/code according to the pragmatic situation involved in the speech act.

Going back to Shakespeare's quotations the message seems very clear now: there are some situations in which translation is not possible, not because of lack of words from the source into the target language, but because of contextual effects. Each age has its *lingua franca*. Nowadays English is spoken almost anywhere in the world, but the problem related to the knowledge of other foreign languages seems urgent, because every day in our multilingual and multicultural society we come across new languages spoken by people with physical and cultural identities different from those of the host country.

Another theme stressed by Shakespeare comes from the conversation between Katharine and Alice in *Henry V*. Here there are relevant methodological inputs on how to approach the acquisition of a foreign language: a direct interaction between the learner and the teacher as well as a direct relation between the source and the target language seem essential to stimulate interests and participation in both the teacher and the learner.

In conclusion one of the points I want to stress in this essay, that is to say "Translation relative to commercials" – when and how we have to translate into the target language what belongs to the source language -, becomes a huge problem, since very often, even during our ordinary speech, we introduce expressions belonging to other systems, and we do not care to translate them even when this is possible (Buon week-end; Stasera andiamo al pub; Come ti mascheri per Halloween? – it is not possible to translate Halloween).

Of course English while gaining a leading position has given French, which in the past had dominated the world communication, a second role. If we start from the truth that every tongue has its own dignity and its own peculiarities, and any language can benefit from the many varieties deriving from linguistic games, puns, regional accents, dialectal expressions, etc., and then we restrict this notion to the world of advertising, we should expect to see and to hear commercials from a multilingual perspective. For example, the Italian advertisement for a make of coffee - "A me mi piace" -, which stresses a non-formal but very common expression for most Italians, would despoil the meaning of its nuances if translated from informal into formal language: "Mi piace" or A me piace" would never achieve the same effective linguistic effect. Some American advertisements such as "Light with a Lite" or "Sip not Skip," outdoor boards (Billboards) which stress the same or almost the same pronunciation for two similar words, where 'Lite' also plays semantically on the word 'Light,' or the Italian advertisement in French "La nuit … magique, which emphasizes the pragmatic evaluation relative to the magic of French night life, show linguistic strategies used to export their products with the help of their original language. But the problem is that not all languages benefit from the same popularity

attributed to both English and French. As a consequence, the use of foreign languages is very limited.

In brief, the corpus (written and oral) taken into consideration in this analysis is that of advertising: the link between visual and verbal means of communication, and the use either of foreign words or full sentences within the Italian context. Italy seems to rely on English more than other countries where this phenomenon is not so excessive. English, in fact, appears only where it is necessary, for example in international places like airports, hospitals, railway stations where, however, the source language precedes the English translation (Í Tienes que verlo – You must see it, Mucho más que un zoo – much more than a zoo; "Do you speak Hungarian? Még nem? …it's time to call us! Hungarian Language School Magyarnyelv-iskola külföldieknek"), or when products come directly from the Anglo-American market (Head and Shoulder, More lashes, Ketchup, Soymilk, etc.).

The questions suggested, even though I am not sure to be able to reach a satisfactory conclusion, are: Why do Italian commercials adopt words or full sentences most of the time from English, and sometimes from French? Is it a tentative way to familiarize people with this worldwide language? Is it because a worldwide market imposes goods from American research? Is it because English seems more suitable than Italian to play linguistic games which appear so useful to impress the consumer's mind? Is it the evidence of a pragmatic evaluation of the state of art of the languages more used in our age? Or is it because English, which is undergoing a process of simplification results easier to be understood and so to be used even by those people with a limited knowledge of this language? Or is it the other way round? That is to say commercials serve the purpose to stimulate a process of simplification in order to cover foreigners' expectations. Open questions never receiving a satisfactory answer.

Nonetheless, before continuing this analysis, let me elucidate the theoretical points of the authors who have supported my study, which centers on the relationship between images and words within the area of translating commercials.

Bourdieu, who emphasizes the link between language and symbolic power; Mitchell, who also connects images and language; Yngve, who excludes any philosophical evaluation from his linguistic approach based on Hard Science Linguistics;[4] Blanchette, who covers the whole field with her evaluation of the notion of 'Globalization,' and D'Elia, who analyses idiomatic expressions that are the focal point of commercials. Of course, a general theory of translation as pointed out by the foremost authors (Hatim and Mason), informs the whole essay.

Furthermore, when concentrating on the problems related to publicity other issues will be touched: 1) the commercial and linguistic effect of globalization; 2) the role of World English - while spreading commercial products all over the world, the language gains in prestige, too; 3) the persuasive strategies inherent to the world of publicity; and 4) the role of culture within linguistic and social categories. Since all these themes are connected, they will merge in the separate paragraphs.

1.0) **Translation and Linguistic theory: Bourdieu**

Among all forms of translations – financial, technical, scientific, commercial - in my opinion, only literary and advertising translation involve a creative process. In

[4] Hard Science Linguistics analyses authentic conversations in terms of tasks and subtasks by replacing the ancient semiotic theory: Cf. V. Yngve and M. Schlamberger-Brezar in SLE Conference July 29-August 1st 2004, "Hard Linguistics against discourse analysis."

the former, the translator experiences the evolution of aesthetic and philosophical investigations, while in the latter s/he experiments the joy of playing all sorts of language games while finding equivalents for puns, words that fit pictures, colloquialisms, metalanguage, idiomatic expressions, new pronunciation[5] and even decomposition of words in order to highlight the most significant morpheme.

As an example, I would like to consider the *Coca Cola Light* outdoor board/billboard that lasted only two days in our Italian towns. It was very large and full of colours; it showed young people – boys and girls in the style of Barbie - holding cans of Coca Cola. The only word was "de-**Light**-full-ness."[6] How could it be translated without weakening its power? There is no point in translating it, because this is a beverage mostly used by youths who are supposed to understand English. Then the image also adds communicative effects. If translated into Italian, the many words used to evoke the real meaning of a drink which is not fat would never reach the consumer's mind immediately: Italian, in fact, does not have one word which contains all the nuances implied in "de – **Ligh**t – full – ness."

The possible translation: "Coca Cola una bevanda che non fa ingrassare" (Coca Cola a non-fat drink) is not the same as "de – **Ligh**t – full – ness;" here it is possible to play on the various stratifications forming only one word. What is more, '**Ligh**t' adds a stronger implication than 'non fat;' then there is 'full,' which at the same time, helped by 'ness,' acquires a negative as well as a positive sense; it adds a feeling of 'full satisfaction' while depriving the drink of what is dangerous during a diet. So another question arises: Is it possible to reproduce in the target language the real meaning marked in the source language? Sometimes Yes, sometimes No.

In order to produce an acceptable translation and then proceed to the construction of advertisements some peculiarities linked to the language used within the world of commercials might result helpful.

Style, for both advertising and literary translation, of course from a different point of view, is an important feature; maybe it is one of the most relevant elements that assures communication. Here prosodic, articulatory, lexical, syntactic variants establish a fusion between jargon, standard language, and foreign languages, too. Linguistic oppositions re-translate the informal system by elevating it to an accepted communicative system: what is considered ordinary, colloquial, popular, loose language acquires prestige in contrast to what is accepted formally as distinguished or elevated.[7]

Habitus – a set of dispositions, which incline agents to act and react in a certain way -, is also the central focus of advertising, which benefits from the most accepted ways of life. By exploiting *habitus*, commercials suggest what is and what is not considered appropriate behaviour in formal and/or informal situations. Advertisements focus on dispositions, which are durable, generative and transposable, so, through famous people, or famous brands, while influencing the market in general, they also influence language changing. "Sony your vacation" is a substitute for: "Go, enjoy your vacation and film it;" easy and immediate language even for those with a limited knowledge of English, because 'Sony' is known all over the world. Here again

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[5] e.g. U-Haule; Nite; Lite, Order from Horder, Write right, etc.

[6] This can be considered an example of lexical morpheme, because here morphemes serve to construct a new word, coversely grammatical morphemes are used to relate words to context. English is rich in this phenomenon: new morphemes (spatial post positions) combine with desubstantive phrasal verbs (slave away – flag down) Cf. S. Bogdanova SLE Conference July 29-August 1st 2004, "Desubstantive phrasal verbs as a means of simplification of English."

[7] Bourdieu, 2003: 54-60.

we come across a 'desubstantive' verb, which contributes to achieve immediate communication in the light of linguistic economy. In Italy the Sony's billboard shows on its left a pair of twin girls holding a twin set of Sony, while on the right we can read: a photocamera/cybershot, a videocamera/handycam. Because of globalization and also because all individuals, notwithstanding differences, share certain fundamental presuppositions by virtue of the *habitus*, we are already predisposed to act in certain ways, to accept certain tastes, in order to pursue certain goals.

> Visible in all areas of practice (sport, song, clothing, housing, etc.), the process of unification of both the production and the circulation of economic and cultural goods entails the progressive obsolescence of the earlier mode of production of the habitus and its products.[8]

A **persuasive**[9] linguistic as well as social **strategy** is adopted when constructing a piece of publicity. The aim of the language of publicity is based on subtle strategies of coercion where the interplay between linguistic practices and social life intermingle with the world of economics, finance, commerce, tourism, etc.[10] The language of publicity is never idealized; is it ideally pre-constructed and then it adapts to the social-historical conditions of real people living in our globalized world where the same products travel all around the world by using more or less the same language? Or is it the world and its inhabitants who manipulate their language on behalf of the context? A language appropriate in the circumstances: a language *à propos*, to use Bourdieu's terminology; a language which follows the dispositions, the practices, the ways of life of the people of our age; a language that is congruent with the demands of most people. Here the debate between the first Chomsky and Yngve becomes extreme.

Mitchell, on the other way, in order to produce a meaningful message points to the "collaboration between practioners of the word and practioners of the image." It is a result of a balance between language and cultural behaviour in a world in which globalization has its own responsibility by letting us "inhabit a world so inundated with composite pictorial-verbal forms (film, television, illustrated books) and with technology for the rapid, cheap production of words and images (cameras, Xerox machines, tape recorders)."[11] All this happens because of our stress on ways of life that seeks always to compete with time and space.

Hatim and Mason focus on **argumentation**: a balance is created between 'through' and 'counter'[12] argumentation, so that the whole commercial moves between these two poles where linguistic, cultural, social, religious details contribute to link argumentative strategies with intercultural pragmatic factors in order to

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[8] Ibid: 50.

[9] "Attract attention, Arouse interest, Stimulate desire, Create conviction and Get active." T. Vestergaard and K. Sch∅der, *The Language of Advertising*, Oxford: Blackwell, 1986: 49.

[10] "a hidden power" N. Fairclough, *Language and Power*, London, New York: Longman, 1989: 51.

[11] W. J. T. Mitchel, *The Language of Images*, Chicago/London: The University of Chicago Press, 1980: 1. Cf. Mitchell, *Landscape and* Powe*r*, Chicago/London: The University of Chicago Press, 2002.

[12] B. Hatim and I. Mason, *The Translator as Communicator*, London/New York: Routledge, 1997: 127-142. Through-argumentation excludes the opponent, while counter-argumentation includes the opponent.

manipulate the listener/viewer's mind.[13] While doing this, verbal strategies interfere with semiotic features where images, and then colours establish a system of continuum of the textual content in the context, a continuum which is mainly responsible for the success of the piece of publicity, and consequently of the product linked to it.

While everything seems possible in order to reach the market, on the other side also a mechanism of censorship is essential, not only to eliminate but more often to include what would be considered unbelievable in another context. In my opinion, what both Hatim and Mason suggest as a good general practice to achieve a good translation, constitutes the foundation of a piece of advertisement; the only difference seems to be that, in a discourse concerning advertising, the instructional and the argumentative (counter and through) text mix. This because publicity carries more than mere communicative effects; it has either to 'regulate' through 'instructions' (instructional text), or to 'evaluate' through 'persuasion' (argumentative text), in order to be credible through a counter-claim that suppresses the sender's clear point of view.[14]

Concordance and **congruence** – the capacity to relate linguistic utterances to the context – facilitate communication, increase the relationship between context, speaker and hearer; they help to create an adequate atmosphere where the message fits and suits the context properly, where there are no gaps between the people involved within the discourse linked to goods. In such a given communicative situation as that linked to advertising, the monitoring of the linguistic and cultural world is always essential to assure the spread of the product.

Through these subtle strategies, advertising enhances credibility and reaches an open market. For all these reasons, which include a close evaluation of both the semiotic and the linguistic field, as well as the social context and the physical environment, thinking about translating a piece of publicity seems a very difficult task; meanwhile, because we sell almost the same products all over the world, we are helped by the fact that English as a *lingua franca* can control most of the world from many sides. Furthermore, the translation of a piece of publicity, since it includes written as well as visual texts, has to offer a product which takes into consideration "the elaborate organization of both content and expression, varied and precise lexis, complex hypotactic syntax and clearly signaled relations of contrast and causality."[15]

2.0) **Images and language: Mitchell and Yngve**

Since advertising is strictly linked to both people and space/time, the language and the images used to promote goods should be viewed under contextual conditions, which, while focusing on cultural features, determine the place and the age of the people involved. So that the language of publicity is very specific and cannot be neutral; its power resides in a hidden correspondence between the sender and the receiver, a difficult art if we think that outdoor boards for advertisements reach every social class and every age. Different is the case when the publicity is found in a magazine or in a newspaper; here the consumer has been localized and the language and the images chosen follow other principles. So, because advertising intermingles

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[13] Italy, a country based on family, religion, coffee and pasta emphasizes these cultural details in the production of commercials: e.g. Italian advertisement of a make of coffee set in Paradise: "Se non è buono che caffè è"; "Dove c'é Barilla c'é casa.

[14] Cf. B. Hatim and I. Mason, *The Translator as Communicator*, London/New York: Routledge: 126-8.

[15] Ibid: 141.

images with languages, while examining the images and/or the pictures contributing to develop a message belonging to the sales market, the picture theory as developed by W. J. T. Mitchell offers a wide range of valuable perspectives from two points of view. 1) A more philosophical one is discussed in *Iconology*, where he does not examine "specific pictures and the things people say about them, but rather" he is concerned " with the way we talk about the *idea* of imagery, and all its related notions of picturing, imagining, perceiving, likening, and imitating."[16] 2) The other more practical one is analyzed in *Picture Theory*, where the object is "*to picture theory* as a practical activity in the formation of representations. I have not wanted to settle the questions of what pictures are, how they relate to words, and why the relationship matters. I've been more interested in showing how the received answers to these questions work in practice and why settled answers of a systematic kind may be impossible."[17]

In essence, Mitchell focuses on the object of interpretation included in a communicative act: a communicative act which is a mixture of pictures and texts, which Mitchell says "is constitutive of representation as such: all media are mixed media, and all representations are heterogeneous; there are no purely visual or verbal arts."[18] Thus, when analyzing the world of advertising the linkage properties encoded serve to decode the message satisfactorily, so that the whole context contributes not only to put the commercial product on the market, but also to reach the consumer's mind directly. The central focus of commercials is to gain the consumer's trust: the consumer develops from a non-central subject <-it> (not it) into a central subject <it> who, in his/her turn 'tugs' somebody else's mind (to use Yngve's terminology).

The game of tag, as conceived by Yngve, whose theory – Hard Science Linguistics -[19] is also relevant for this analysis, becomes a suitable metaphor we might use any time we want to illustrate that communicative features do not necessarily belong to the linguistic field. The images created by children exhibiting chasing and evading behaviour might even substitute effective verbal means, so that images, in this case gestures, are able to transfer meaning even to the one who cannot hear the actual utterances evolving during the game.

Both Yngve and Mitchell rely on memory. In fact, memory and visual recognition play an important role in any communicative act, either watching the game of tag or the pictures linked to a piece of publicity or even admiring a work of art. Memory contributes to construct a context. Relying on memory is precious when we have to construct advertisements, because here the time allowed to develop a situation is very short; everything develops in a short span of time. TV advertisements as well as wall street posters/billboards, in fact, are of only a few minutes' duration, so that, because they need to create a complete atmosphere, they play on nuances of evocative situations, people, images and very often a few, but central words.

It seems to me that Mitchell and Yngve, even proceeding on two widely separate theoretical perspectives, at some point meet, especially when they both examine a communicative situation, which for Mitchell is mostly centred on picture theory, while for Yngve is centred on a scientific interaction between verbal and non-verbal means through the verification of "the scientific appropriateness and

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[16] W. J.T. Mitchell, *Iconology*. Chicago/London: The University of Chicago Press, 1986: 1.
[17] W. J.T. Mitchell 1994. *Picture Theory*. Chicago/London: The University of Chicago Press, 1994.
[18] Ibid: 5.
[19] V. H. Yngve 1996. *From Grammar to Science*. Amsterdam/Philadelphia: J. Benjamins Publishing Company.

justification of such concepts as *sentence*, *meaning*, *word*, *phoneme*, *phrase*, *form*, *content*, *noun*, and many others …" from a scientific evidence. In fact, Yngve says that "linguistics is the scientific study of language," which proceeds throughout the physical domain by concentrating on "tasks and subtasks" played on "the communicative stage" by actors who manipulate real world objects.[20] So that, when Yngve wants to examine the linkage categorical properties, which define a communicative act, he describes a full situation. Here, interaction between "linguistic aspects of the task (a typical American scene involving a dinner in a type of small restaurant housed in an old railroad dining car or built in that shape") and its nonlinguistic aspects" intermingle, because, he says, that, "communicative aspects play a coordinating role." This coordination is very important not only because it helps us to understand a situation as a whole, but more importantly, because it acts as a central pole among different disciplines, and furthermore it contributes "to fill them out and complete them."[21] Coordination, as said before, is essential in the world of advertising since commercials evolve in a restricted time as well as in a limited space.

On the other side, Mitchell, by quoting Foucault ("the relation of language to painting is an infinite relation"), seems to claim Yngve's point – the interaction between images and language – if we want to achieve a complete and real "power, value, and human interest."[22] The stress is on real world objects and real people.

Furthermore, when analyzing this interaction (language and pictures/images[23]) in a piece of advertising which has to reach the consumer immediately, it is useful to focus also on the speech act as developed by Bourdieu who, too, points to the social condition of communication, because this, while controlling time, space and people, achieves communication quickly and clearly. As said before, publicity relies on short and immediate contextual sentences, and pays no attention to the logic of grammar. The aim is to reach communication as quickly and clearly as possible: to center the object of description and to include it in the social context.

Even Austin, says Bourdieu, by using 'felicitous' or 'infelicitous' rather than 'true' or 'false' when talking about utterances, has not fully focused on the social condition as the prime phenomenon within a linguistic content. It seems that also Bourdieu insists on "real world objects." "Social acceptability" he says "is not reducible to mere grammaticality. … The constitution of a linguistic market is essential to establish interaction between sender and receiver in order to produce a *profit of distinction* on the occasion of each social exchange."[24]

What clearly Bourdieu and Yngve, but in my opinion also Mitchell though not so openly, object to both Saussure and Chomsky is that their theory is too abstract, too far from people. The point, Bourdieu says, is not to be able to generate a sequence of grammatically correct sentences, but rather to produce sentences appropriate for a particular situation; a situation which is predominant in the field of publicity.

> What is rare, then, is not the capacity to speak, which, being part of our biological heritage, is universal …, but rather the competence necessary in order to speak the legitimate

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[20] Cf. Y. Szyma?ska, SLE Conference July 29 August 1st 2004, "The interpersonal Stage in Academic Discourse."
[21] Yngve, 1996: 9, 185, 187-88.
[22] Mitchell, 1994, *Picture Theory*: 5.
[23] "In common parlance, 'picture' and 'image' are often used interchangeably to designate visual representations on two-dimensional surfaces, and I will sometimes fall into this usage." Mitchell , 1994: 4.
[24] P. Bourdieu, 2003: 55.

language which, depending on social inheritance, re-translates social distinctions into the specifically symbolic logic of differential deviations, or, in short, distinction.[25]

The point, Yngve says, is not to ignore grammar and so utterances, sentences, meanings, words etc., but to concentrate on the physical domain, since "concepts are not primarily cognitive and individual, but social in nature."[26]

Everyone knows that. It's beyond question. … Grammar is all that we have. Perhaps; but we need to examine the matter further … "A scientific analysis must include, besides the study of the physical sounds themselves, a careful and detailed study of the people who produce and interpret the sounds and of what they are doing at the time.[27]

Fundamentally, when analyzing a piece of advertising and evaluating its translation within different cultural environments, the philosophical and the scientific study of both language and people offers a fruitful ground, since they (language and people) constitute the real objects of observation. Publicity, people and language are not hypothetical, ideal and obscure entities outside a real context; they are real objects of evaluation, as Yngve says when he wants to prove that linguistics belongs to a hard science research field. So, language moves within an environment moved by people who trust to memory and who play on words, often leaving out formal language structures by using a kind of communication, which seems most appropriate to focus on a specific commercial product. By using either the image of famous people or a special jargon, and quite often, foreign words as *sources*, it is created a particular atmosphere linked to a specific product.

Nowadays, publicity relates language to context also by introducing slang uttered by people (mostly actors) who are linked to their dialect for professional exigencies. This behaviour has two aims: 1) to exercise a sort of 'symbolic power,' and 2) to elevate ordinary language to literary language since it enters into formal communication. This linguistic symbolic violence, as Bourdieu calls it, might be connected to another symbolic violence, which Bourdieu evinces while analyzing the Kabyle society in the context of exchanging gifts; the act of giving valuable presents captures the receiver who undergoes a feeling of obligation.[28] This habit recalls the strategy applied on the market when introducing new goods. By offering more products at the price of one or by adding a present to the main product, economists exercise a kind of "symbolic violence" that affects the consumer's mind, inducing her/him to buy things they do not necessarily need. Linguistic expressions and images complete 'the picture' and induce buying. Through a process of linguistic reduction they focus on short sentences: "Buy one get two" is used all over the world, and when translated for example into Italian also imposes a condensed expression. In fact, "Compra/Paga uno prendi due," means "Se tu compri un prodotto te ne viene offerto un'altro in omaggio." The linear English structure influences the richer Italian style. Our fast world, which imposes fast food and Ikea style houses, cannot allow us to waste time with such long sentences. In brief, the best way to introduce goods onto the market is to follow the style of the English word order (see Sony vacation). The

[25] Ibid: 55.
[26] V. Yngve SLE Conference July 29 August 1st 2004, "Thing, concept, and name in hard-science linguistics and advances in linkage theory."
[27] V. Yngve, 1996: 10, 4.
[28] Bourdieu, 2003: 60.

analysis of our society, the behaviour of its inhabitants, and English as a world language direct the analysis centred on advertising.

In brief, jargons and ungrammatical sentences might be found suitable for special occasions, and the construction of a piece of publicity very often relies on such forms trying to join the images of specific people with the typical language mostly used by those characters. In our world dominated by western society, globalization is affecting publicity, too. By using the same images linked to the most famous makes as well as the same language, so driving English to a prime position, we come across many advertisements that show goods easily found all over the world. Thus, the cultural side, which has distinguished commercials for many years, nowadays does not seem to play its usual strong role. In fact, only sometimes the people used as *source* to advertise a product reflect the ethnic and cultural characteristics of the place.

In conclusion, the world of commercials shows a sort of bilingualism, and surely a well-structured theory of translation balances the use of two languages in most commercials outside the Anglo-American world (dal *top* della ricerca Americana; prêt a porter prêt a parti Sisley; La nuit magic; Mont Blanc; le coq stortif; fuiei bjoux, etc. Nutella Generation; San Pellegrino publicized in France is trilingual: Bottled at the source, San Pellegrino Terme, Italy – S. PELLEGRINO – Sparkling Natural Mineral Water – Attention, peut déclencher des débordements d'audace).

The need is to transfer the knowledge and experience of one cultural environment into another while preserving the universality of the product. This kind of translation belongs to technical sales or promotional literature. The translation informing people either about goods or about tourism requires special characteristics, because it has the precise aim of competing on the market. Through a suggestion linked to a complete context as well as to a specific vocabulary set at the proper level for the audience to which it is directed, the goods reach the consumer's mind by recalling a satisfactory feeling.

Another point worth mentioning is that, since nowadays English is known by most people in the world and many linguistic expressions are universally included in various languages, it is easier for a commercial to construct a kind of bilingual text, so that the message already experimented in English can maintain its original linguistic form studied to pervade the subtle world of hidden persuasion typical of advertising. A careless translation will not only misinterpret the text, but most importantly will not penetrate the linguistic and psychosocial devices already experimented in the source language. Of course, not necessarily all commercials contain a balance of Italian and English; also French, as seen before, occupies quite a consolidated position, and again the reason is that French was in the past the *lingua franca* for many countries**.** So, "Enfante terrible" sounds much better than "naughty baby" or "bambino/a terribile" when promoting the Peugeot car. The original French expression keeps the whole of its ironic sense.

3.0) **Commercial and linguistic effect of globalization: Blanchette and D'Elia.**

Our Multinational Corporate Economy covers the western as well as the eastern world, making Economics the most dominant factor in the political and cultural life of our post-modern world. While in the past the life of each country was guided by spiritual and cultural aspiration, now it seems that economic necessities cover every field. As a consequence, cultural, linguistic and political values are subordinate to commercial interests. In fact, as Oliva Blanchette explains, we

differentiate undeveloped from developed countries only on the basis of their incomes.

> We speak a lot about development and underdevelopment, but we understand development or underdevelopment only in economic terms as defined by large institutions that have gained control over what they now refer to as the world economy, the economy they have created for their own economic benefit. We speak of many countries as undeveloped, even when they have a highly developed spiritual and political consciousness, such as India, for example, and we speak of other countries as developed even though they may have a very low level of political and cultural consciousness.[29]

This does not mean, says Blanchette, that once we have lost political and cultural values everything will go wrong; we have to realize that the multinational corporations have provided "some economic benefits to all of us and could provide the same kind of benefits to the poorest if it ceased thinking only of exploiting them for its own benefit, but it does mean trying to keep it in its place within the scope of the political and cultural goods of commodities around the world instead of letting it continue to oppress and suppress this good wherever it can."[30]

Under the effect of globalization or as the cause of globalization English "has become the most global of languages, the lingua franca of business, science, education, politics, and pop music. … English is, in short, one of the world's great growth industries. English is just as much big business as the export of manufactured goods." Among commercial goods, the English language occupies the first place "such is the demand to learn the language that there are now more students of English in China than there are people in the United States."[31]

Even though the English language changes at an increasingly speedy pace, and is a quite difficult language from many points of view, it is spoken all over the world, because of both political and economical situations. It is difficult: 1) because of its rich vocabulary, where every slight nuance added to the basic meaning of a word is marked by a new word, which sometimes is even impossible to translate into another language (in our case Italian) with only one word: *rank* and *rancid*; *high* and *tall*; *raw* and *uncooked*; *meat* and *flesh*; *pretty* and *nice*; *illness* and *sickness*; then *to hear* and *to feel*; *to see* and *to watch*, *to look at*; *to tell* and *to say*; *to sip* and *to chug*, etc.; 2) because of a metaphorical sense attached to single words or full structures: *Give* it a look*, I see* what you mean, *Keep* smiling, It has been *thrown out* the window, *So dodgy*, etc., 3) and because of its rich idiomatic expressions. As C. D'Elia says, very often in English the verbs or the nouns or the adjectives included in a specific idiomatic phrase undergo a double process of translation. The target language has to find first a literary equivalent, then a semantic equivalent and then re-translate it (from the source into the target and again into the target language) in order to maintain the same meaning between the source and the target language; furthermore, she adds, many idiomatic expressions are ambiguous because of their double interpretation - literal or idiomatic: *strike* root (translated into scioperare and then translated into mettere) (mettere radici); *turn* sb's stomach (dare allo stomaco); to speak to *a brick wall*; take sb for a *ride*; be in the *mood*, etc.

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[29] O. Blanchette, "Globalization and Dehumanization" in proceedings of The Hawaii Conference on Arts and Humanities V January 2nd 2004.
[30] Ibid.
[31] Bill Bryson, *The Mother Tongue*, New York: Perennial, 1990: 12-3. Cf. J. Brutt-Griffer, *World English*, Clevedon/Buffalo: Multilingual Matters, 2002.

… molte idiomatiche si presentano ambigue, sono cioé dotate di una doppia interpretazione: l'una letterale, dettata da una normale analisi sintattica e semantica (*go a long way* = travel far, *kick the bucket* = hit the pail forcefully with one's foot), l'altra idiomatica (per le stesse frasi rispettivamente "be very successful" e "die"), con un significato che a volte è completamente opaco, altre è invece reso più trasparente, più facilmente ricostruibile, proprio grazie all'interpretazione letterale. Così, *step on the gas* è sì usato con riferimento ad una guida più veloce ma, nel suo uso figurato, sta a significare "hurry up" e *you shift into higher gear* per dare un'accellerata alla tua macchina ma anche, in modo figurato, per dare un ritmo più intenso al tuo lavoro.[32]

It is very important to consider *idiotaticity*, because in the field of commercials it occupies a relevant position not only for the particular meaning of the sentences (Selling Houses is Ah! Business), but mostly for its ambiguity coming from lexical-grammatical violation, incomplete structure, fixed and stereotyped expressions always related to the same thing or the same person: *Mohammed Ali* linked to Adidas: "Impossible is nothing;" *Express* linked to Lavazza: "Express yourself;" *Breil* linked to watches: "Don't touch my Breil;" *Barilla* to the Italian family life; abroad it refers to the country, in fact, the Italian commercial: "Dove c'è Barilla c'è casa" is translated in Sweden " Dove c'è Barilla c'è Italy."

Since it is certain that the number of words we use is very much smaller than the numbers of words we know, because, according to our life style, we usually do not have the occasion to be involved in many different situations, and also because globalization restricts and concentrates our attention on problems common to most people in the world, the world of publicity benefits from this situation and, even within different countries and different cultures, advertises the same products by using more or less the same language, and consequently the same words which occur very frequently. But there is a relevant situation concerning either the English spoken all around the world or the English used in commercials. The difference is that while very often the English used to describe places of tourist interest, or the English used in airplane magazines, is a language which most of the time reflects the structure of the target language, so it is imperfect and most of the time the translation is not communicative at all from the point of view of the source language, the English used in a commercial is taken in its original form since it uses short sentences and very common structures or words relying also on images that clarify the meaning of the message.

Compare these translations:

La primavera dell'Accademia Filarmonica Romana, il 15 aprile, porta finalmente nella capitale la musica, i colori, la felicità delle atmosfere chagalliane, ma anche lo struggimento e le malinconie del bellissimo spettacolo scritto e interpretato da M. o. "I violinisti sul tetto.

The spring programme for the Accademia Filarmonica romana brings to Rome the music, colours and joy of a Chagall-like atmosphere but also the poignant melancholy of M. O.'s wonderful production of "Fiddler on the roof."

Lo sguardo scivola tra vie ben conosciute …A quick glance at the well-known street …

[32] C. D'Elia, "Una, nessuna, centomila. Le mille facce di una traduzione idiomatica." In Atti del Convegno *From Bilingualism to Trilingualism and ESP*. Potenza 6-7 Maggio 2004, Università degli Studi di Napoli Parthenope.

Giorgione più che un artista è un mito. Gli ingredienti ci sono tutti: una vita breve, rari documenti d'epoca, pochi e bellissimi, quadri sicuri. Giorgione has become a legendary figure and no wonder, since all the ingredients are there: a short life and very few contemporary documents – just a few wonderful paintings.

Finally, a summary of what I have said so far seems to me necessary. I have analyzed the use of images/pictures when mixed with language in advertisements. In the light of Yngve's, Mitchel's, and Bourdieu's theory, I have observed the contextual conditions linked to this piece of communication in order to find out the specific meaning acquired by any specific verbal and non-verbal means used to convey communication as quickly as possible while selling goods. As being touched by someone's hand is different from being 'tagged' in the game of 'tag' because of the procedure implied; so it becomes essential to include into a specific content all the means necessary to encode and decode a commercial. Words and sounds as well as images and colours, people and environment, and consequently all the details used to construct publicity become real objects of observation. Of course Mitchell, the foremost scientist studying the "pictorial turn" supplanting the "linguistic turn" in our post-modern world, offers an essential theoretical approach during an analysis involving visual representation within mass media communication.

On the opposite side Yngve, by refusing philosophical considerations, attaches linguistics to a scientific field as viewed by those sciences which center on real objects of observation like for instance people and things belonging to "the physical-domain." My hypothetical answers to the basic question of this essay - Why is publicity mostly in English even in non English-speaking countries? – are two: the first and most important is that the combination of words and images gives the force to center on the message from a real as well as a metaphorical point of view; the second is based on the fact that English is an international language known all over the world. In essence, in a piece of publicity, translation can be avoided because the real object becomes the central focus of communication through the image it stands for: words and sounds, images and colours, people and environment, and consequently all the details used to construct commercials become real objects of observation which might develop into a formula derived from that conceived by Yngve for the game of tag. Then, the use of foreign words is not a new and strange phenomenon; rather it covers different areas from literature to comics, from everyday conversation to formal speech, from newspapers to magazine and scientific reviews, and from announcements to commercials, from computers to internet, etc.

So, going back to Shakespeare and his use of foreign words (mostly French), another message comes out: that is to say that sometimes it is essential to leave some words in the source language because this expedient gives evidence of the linguistic situation pervading a specific country in a specific age. Nowadays, in fact, English is a world language, so mixing it with one or another tongue in both formal and informal context shows the linguistic situation of our post-modern society in the 3rd millennium.

4.0) **Analysis of a piece of publicity compared to the game of tag as viewed by Victor Yngve**

Let us try to apply the formula of the game of tag to three advertisements chosen as emblematic representatives of real objects: 1) the world of sport (Adidas – impossible is nothing); 2) the main world problem (aids – drugs are Garbage: just Refuse), and 3) common everyday life (commuting – Most daily flifhts to and from Chicago):

Here, too, the scientist is the observer Z, A is the main character (a person or a picture) in the publicity, while B is the language; the main role belongs to the visual world, which becomes <it> compared to the second role of the language, which consequently becomes <–it>. When we watch publicity, as the children try to avoid x, because they do not want to become 'it', our first reaction is not to pay too much attention to (to avoid) the products publicized; we do not want to be 'touched' by them. So, we show a sense of annoyance, because advertisements have interrupted the sequence of a programme we were watching with much interest. But suddenly, because of the strategies implied, we are 'touched' by <x> and we start thinking about the message sent by the piece of publicity; at last the product presented attracts us. In this case the scientist or observer becomes a second <it>, since s/he is an active participant in the game. Compared to the game of tag ([Sci] <obs>< A<it> x B<-it) X A<touch>(B) :: A<-it> x B,it>), a piece of publicity enlarges its space and its time by including more strategies and more role procedures. In brief, for a piece of publicity we can turn the previous formula into this new one:
[Sci] obs <it> A<it> x B (language)<-it>B (the observer at first)<-it>.

At last we have two <it> and two <-it>; the observer becomes <it> as soon as s/he is stimulated by the publicity to buy the product offered and induce others to consider it. As in the game of tag personal recognition is important, so in watching publicity recognition is also important; it gives the chance to connect many details under a new light, to attach to them new semantic and pragmatic values, to tag what we consider important in order to share and then attribute the role of <it> or <-it> to the one we include in this game of tag.

To conclude this analysis I have to say again that during my study, once I have decided to draw my attention to the world of publicity, which uses a combination of pictures and language in order to spread a message, the philosophical and linguistic analysis of images as well as the symbolic power related to this field as developed by Mitchell and Bourdieu have represented a large and interesting phase. The theory of these two scholars has resulted stimulating, and has contributed to viewing language and images from a new perspective, where these two elements combine and mix together in order to create a text, which sends messages through verbal and non-verbal means. At first their points of view seemed very distant from those of Yngve's, but, after a deep analysis, very often they seem to combine, even though Bourdieu and Mitchell start from both images and language, while Yngve, abandoning pure philosophical perspectives, starts from real objects of observation like people and things belonging to "the physical-domain." More importantly, Bourdieu as well as Mitchell have offered me a solid theoretical approach that has helped the scientific study of communication as viewed by Yngve: "replacing the ancient semiotic theory relating thing, concept, and name with new physical-domain theory resting only on the four standard assumptions and the two standard criteria of modern science"[33]

[33] V. Yngve Abstract for the SLE Conference Norway 2004: *Linguistics without signs?*

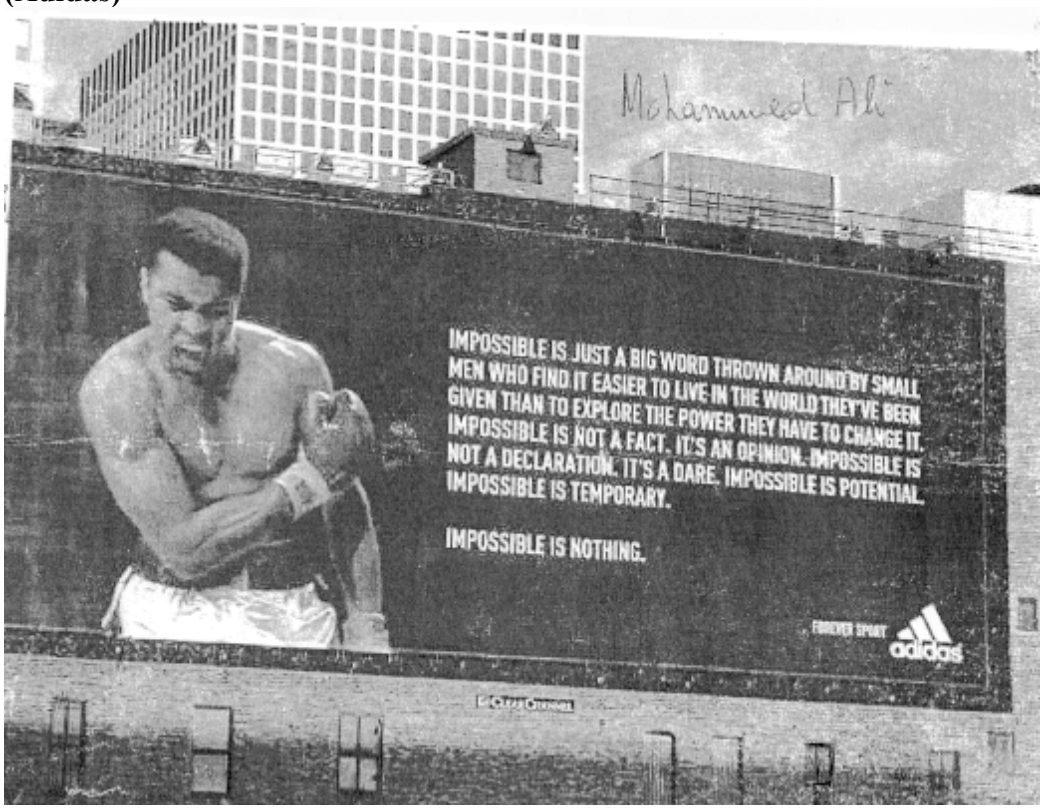
The message, whose accent has always been carried by language, acquires a new force when shifted to images, because it adds sense to the common meaning. The resulting atmosphere is an atmosphere full of suggestion: a power which is the center of a communicative piece of publicity. Bourdieu's symbolic power is something more than a standard language, is something which creates a 'habitus:'

Mitchell's analysis also balances on a combination between picture and text, where they both work in order to make "the emblem memorable," where, while "mirroring each other" they send a message which takes its force from a whole context.

> The power of suggestion which is exerted through things and persons and which, instead of telling the child what he must do, tells him what he is, and thus leads him to become durably what he has to be, is the condition for the effectiveness of all kinds of symbolic power that will subsequently be able to operate on a habitus predisposed to respond to them[34]

> Traditional descriptions of emblematic art assume that the image and the word – the 'body' and the 'soul' of the emblem – join to create a total effect richer than that of either component alone, that the two parts are commensurate and reinforcing. Thus a sequence of plates and their appended texts generate two complementary codes running on parallel tracks, each holding the key to deciphering the other.[35]

4.1) The world of sport
(Adidas)



[34] P. Bourdieu, *Language and Symbolic Power*, Cambridge, Massachusetts: Harvard University Press, 1991: 52.
[35] W. J. T. Mitchell, *The Language of Images*, Chicago/London: The University of Chicago Press, 1980: 61.

IMPOSSIBLE IS NOTHING.
IMPOSSIBLE IS JUST A BIG WORD THROWN AROUND BY SMALL MEN WHO FIND IT EASIER TO LIVE IN THE WORLD THEY'VE BEEN GIVEN THAN TO EXPLORE THE POWER THEY HAVE TO CHANGE IT. IMPOSSIBLE IS NOT A FACT. IT'S AN OPINION. IMPOSSIBLE IS NOT A DECLARATION. IT'S A DARE. IMPOSSIBLE IS POTENTIAL.
IMPOSSIBLE IS TEMPORARY.

This is a very popular billboard which lasted in Chicago for months and is now continuing by using other characters as *source*; characters who connect the same flow of ideas (discourse) to another text which, however, begins with the central expression used previously: "Impossible is nothing." Successful advertisements are kept as long as possible, but they have to renew their image, so through a well constructed discourse they try to keep alive the message. It happens very often that:

> The discourse of advertising is roughly connected in that any advertisement is actively a part of a larger flow of such messages. Sometimes one advertisement makes specific reference to another or to ideas that have been discussed in previous advertisements. They acknowledge and refer to what has gone before them. They are a part of a larger flow, a discourse of advertising.[36]

If we analyze carefully the discourse carried out by both the image and the written text, we realize that this advertisement possesses two properties: 1) that of the character (Mohammed Ali), who while advertising the product (the adidas brand) continues to use his role as one of the most relevant exponent in the world of boxing, and 2) that of meta level as the result of different levels: observer examining the billboard. The latter is a property of the observer.

This text evolves between non-verbal (the photo of Mohammed Ali) and verbal (a written paragraph) means of communication. This billboard belongs to a system designated also by two properties: 1) A (the figure) and 2) B the words. Two kinds of recognitions are involved: 1) Personal recognition (as the child recognize who is 'it' and who is '-it' by following the rules of the game, so the observer [sci] or z recognizes the role of the character in the advertisement; a role that has the force to drive the game.

Mohammed Ali has the function of <it> while the observer at first is <-it>. Then, once the observer gets in touch with the message, s/he also becomes <it>. In this case the proper name of the character turns from individual into social; he represents a category in the world of sport. He is also the one who tells about another sporting category: the world of adidas.

The image shows power, strength, the decision to achieve the 'impossible.' The language, while starting by stressing that 'impossible' is a big word, then finishes by saying that 'impossible' is just nothing. Between these two opposing concepts there is the description of two different kinds of human beings: the ones who prefer to adapt to the world and the ones who fight to change it. Then, it is explored the philosophical view of 'impossible' by contrasting it to what is not and what is rather considered impossible. Through a sequence of impressions, which go from spatial (Fact) to philosophical (opinion), from linguistic (declaration) to behavioural (dare),

[36] W. M. O'Barr, *Culture and the AD*, San Francisco/Oxford: Westview Press, 1994: 3.

from argumentative (potential) to temporal (temporary), we attach a new semantic value to the word 'impossible.'

This huge billboard has maintained the same written paragraph alternating between the image of Mohammed Ali and that of his wife. In brief, if we want to restrict to a formula this advertisement we have: Advertisement (system), A (images it), B (written paragraph -it), A and B designate the system They are properties of A and B are role parts; Sci Z or observer. Both A and B are sending the message. The people watching the billboard (Z or [sci] is the observer) have been touched by it so they become <it>. The concepts included into the advertisement also are properties of role parts. Advertisements take into account real world objects and real people involved in a series of tasks and subtasks based on a real physical context as well as on a concrete environment. For this reason it furthers the scientific study of communication from both a verbal and non-verbal perspective.

Formula: System (advertisement) A (image it), B (written paragraph -it), A and B designate the system.They are properties of A and B, they are role parts; Sci or Z or observer (the people watching the billboard).
Both A and B are sending the message to the observe who becomes 'it.'
Game of tag: [child]<obs>([A]<it> x[B]<-it> x [A]<touch>(B)::[A]<-it> x[B]<it>)
Publicity:[people][Sci] Z<obs -it>([A<it> x[B]<-it> x [A][B] <touch>(Z)[Z]<it>.
Mohammed Ali turns from a proper name to a social institution. He represents a category: the world of sport, then another category: the world of adidas. The image shows strenght, power: the impossible; in fact the language says: "impossible is nothing" in contrast to the more common expression: "Nothing is impossible."

"Frisch weht der Wind
Der Heimat zu
Mein Irisch Kind,
Wo weilest du?"
"Oed' und leer das Meer."
You! Hypocrite lecteur! – mon semblable, - mon frère!" (T. S. Eliot The Waste Land, v. 30, 40, 75).

Billboards following the main advertisement carried out by Mohammed Ali:

HAWAII Conference on ART and Humanities HONOLULU 13 -16 January 2005
Maria Rosaria Dacierno
Università degli Studi di Napoli L'Orientale
Via Duomo 212 Napoli Italy
Literature
Key words: Emigration – Pasychology - Sociology - Linguistic analysis.

Emigration - a heavy word. John Fante: the American son of Italian parents.

When the 'Third World' is no longer maintained at a distance 'out there' but begins to appear 'in here', when the encounter between diverse cultures, histories, religions and languages no longer occurs along the peripheries, in the 'contact zones' as Mary Louise Pratt calls them, but emerges at the center of our daily lives, in the cities and cultures of the so-called 'advanced', or 'First', world, then we can perhaps begin to talk of a significant interruption in the preceding sense of our own lives, cultures, languages and futures.[1]

1) Introduction

This essay wants to outline the process concerning migration through the literary works of John Fante. Migration, of course, should not be valued only from a sociological perspective, since it includes heavy psychological burdens too. John Fante has been able to capture the smallest nuances concerning human feelings, and then through a personal evaluation has transferred his experience to the characters of his stories. His high level literary style, simple and rich, pure and dense, is the medium between the author, the characters and the reader; there is a strict relationship between them, and it is difficult to separate the life of the characters from that of the writer as well as of the reader. The analysis is so true and deep, so sincere and genuine, so mature and natural that it touches everybody in such a way that it is difficult for the reader to part from both the author and the characters. There are real stories lived by real people; nothing has been left to chance; everything reflects the experience of the thousand people who live between two realities; the former linked to the mother country and the latter related to the host land. The whole of Fante's literary production is about immigrant people, either when he openly announces it or when he only touches the feelings and the perceptions related to his characters.

The Little Brown Brothers gives us marvellous examples that elucidate this question. Indeed, while reading the adventures of Julio Sal, one might believe that Sal, a Filipino emigrated to the United States, incarnates the political situation lived by all immigrant people arriving in America. Consequently, from the sociological point of view the cause of migration - the battle against American racism - appears the main aim of this book. However, in my opinion, the point stressed by Fante is mainly centred on the infinite reactions and numerous feelings that agitate most human beings in any part of the world and in any conditions. Of course, in this case migration is the central focus, but it could be viewed as an excuse used to investigate the innermost recesses of human soul. Very rarely we read clear sentences related to the conditions borne by immigrant people, while everywhere we perceive the humiliation derived by the social and moral attitude of America against foreigners, and not only by the sense of pain and sorrow that pervades the whole of Sal's behaviour. Poor Sal, a little brown man who had even bought an engagement ring – a

[1] I. Chambers. 1994, *Migracy, Culture, Identity*, London/New York: Routledge: 2.
Cf. M. L. Pratt. 1992, *Imperial Eyes. Travel Writing and Transculturation*, London/New York: Routledge.

single diamond set in white gold – for an imaginary American girl friend: Helen. "Helen? No more? No Anderson, no Smith, Brown? No more. Helen, all the same. Helen".[2] And then, the anxiety pervading Sal for the "poor Filipino boy" who was going to enter into a hotel with an American girl. And the hundred tickets bought to have the chance to dance with Helen: " The law made it so, and the law said Filipino boy could not marry white girl. … I don't have to take that kind of talk from a Filipino. Take it or leave it"[3]

The anguish to be refused in any occasion, is, as Stephen Cooper points out, "a convoluted exploration of the consequences, both comic and tragic, of America's racist legacy" of that time.[4] Even the empty seat near Sal is *wrong*, only because it is near a Filipino; it is better to stand rather than sit near a Filipino: "The bus jerked forward and the girl caught herself on an overhead strap. She was about to throw herself into the seat when she saw Julio Sal. <Oh>. She did not sit down. <It's okay,> said Julio. <Sit>. <No, thank you>. … <No, thank you,> she said. <I'd rather stand>.[5]

2) The heavy burden of migration

In this section I want to examine the theme of emigration from the socio-psychological point of view in the light of John Fante's works. I intend to point to the distressing situation of those people who arrived in the United States at the beginning of the last century.

The theme of migration has always been a central problem for the American government, but it reached a massive proportion especially at the beginning of the last century. Nowadays, this phenomenon has touched many other countries; while covering different fields it includes sociological as well as political circumstances. Education, religion and, of course, language development of both the children of immigrant people and those belonging to the host country are also influenced, so, each nation is developing an accurate plan concerning the teaching and learning of foreign languages as well as the re-organization of the whole school system.

The problem attached to education not only concerns immigrant children, who because of an inadequate knowledge of the host country language slow down their general cognitive learning process, but it also affects the native children, who feel embarrassed when contacting their foreign peers. The psychological implications linked to a mixed situation not very well balanced ruin the classroom atmosphere, which is generally based on collaboration and on reciprocal exchange of experiences coming from both familiar and external settings. Since the school comes to be seen as an important place where the child has the opportunity to develop education as well as behaviour, the school curriculum needs to adapt to the new situation.

In brief the world linked to migration is very complicated; the internal debate between language and behaviour affects immigrants' mind and lasts throughout their whole life. They, while trying to integrate in order to gain host country recognition, in the meantime, feel grieved to remove their origins: betrayer and betrayed.

John Fante, the Italian-American writer offers a rich choice of sequences about this topic in all of his novels, but especially in "The Odyssey of a Wop" which

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[2] J. Fante. 1977, *The Little Brown Brothers*, Marcos Y Marcos: 22.
[3] Ibid: 90, 48, 60.
[4] S. Cooper. 2000, *Full of Life* A Biography of John Fante, New York: North Point Press: 211.
[5] Ibid: 78.

is the most known work about racism, and in *The Little Brown Brothers*. He does not confine himself to describe the situation as suffered by Italian people, but, by being aware of personal humiliation, he extends his physical and moral struggle to defend other races who were going through his own experience.

> "Many time, I wish to die. Many time I say to myself, 'Purification, you are Filipino, and you are Jew. Is too much. Is better you kill yourself.' Even Filipino spit on me, because I am Jew." [6]

> I don't like the grocer. My mother sends me to his store every day, and instantly he chokes up my breathing with the greeting: "Hello, you little Dago! What'll you have?" so I detest him, and never enter his store if other customers are to be seen, for to be called a Dago before others is a ghastly, almost a physical, humiliation. My stomach expands and contracts, and I feel naked.[7]

Emigrants are all the same. It seems that they focus more on their identity and traditions once they are far from their own lands; they have the same problems, the same urge to earn money, the same necessity to establish a balance between two different realities; they suffer from a certain ambiguity. In the American situation at the beginning of the last century, in fact, they were neither a hundred per cent Americans nor a hundred per cent Italians, Filipino or Mexican, and so they showed the same feelings: "Nobody liked that machine. It didn't matter if you were a Filipino or an Italian or a Mexican.[8]

Moving from these statements, and starting from America - a country that knows much about migration, because of the American dream of the Thirties and Fourties, which meant economic prosperity -, I found myself thinking about John Fante – the American son of Italian parents. He appears to be the most relevant writer depicting this situation. The economic welfare was attracting the low class people coming from many underdeveloped countries, who decided to leave the hard and poor existence of their places in order to gain a better future at least for their 'American' children.

John Fante looked at migration from a double perspective: an introspective one, which confines with the other one, a sociological perspective.

> From the beginning, I hear my mother use the words Wop and Dago with such vigor as to denote violent distaste. She spits them out. They leap from her lips. To her, they contain the essence of poverty, squalor, filth. If I don't wash my teeth, or hang up my cap, my mother says: "Don't be like that. Don't be a Wop." Thus, as I begin to acquire her values, Wop and Dago to me become synonymous with things evil. But she's consistent.
> My father isn't. He's loose with his tongue. His moods create his judgments. I at once notice that to him Wop and Dago are without any distinct meaning, though if one not an Italian slaps them onto him, he's instantly insulted. … He pretends to hate the Irish. He really doesn't, but he likes to think so, and he warns us children against them. … Thus I begin to loathe my heritage. I avoid Italian boys and girls who try to be friendly. I thank God for my light skin and hair, and I choose my companions by the Anglo-Saxon ring of their names. … At lunch hour I huddle over my lunch pail, for my mother doesn't wrap my sandwiches in wax paper, and she makes them too large, and the lettuce leaves protrude. Worse, the bread is homemade;

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[6] In S. Cooper. 2000: 210
[7] J. Fante. 1985, The Odyssey of a Wop, in *The Wine of Youth*, New York: Ecco/ Harper Collins: 135-6.
[8] Ibidem: 87.

not bakery bread, not "American" bread. I make a great fuss because I can't have mayonnaise and other "American" things.[9]

The depth of her dislike was unfathomable. Harriet had said she was 'changed.' Was this change, that she hated me more? What had I done to this woman? Had I been cruel to her daughter , or caught in the sack with another woman, the measure of a mother's bitterness would have been understandable. But there was more than hatred in those ages, glittering eyes. Fear was there, paranoia, a sickening obsession, the dread that I might slash her with a knife, Italian style. Nothing I said or did would rid it from her mind, and it left me sickened and enraged.[10]

Really, the whole of John Fante's literary production offers a good example for describing this delicate and moving situation: a situation "full of life" and consequently "full" of great expectations; a kind of expectations which stimulate immigrant people to leave their own country in order to take refuge in a foreign land even though *here* everything appears not only simply foreign, but even strange and absurd. John Fante seems the perfect interpreter to expound the anguish of those poor people, who, because of the stimuli received by a great force - the force of youth, the force of hope, of desire, of dreams - accept humiliation in view of something better. John Fante is a man "full of life;" a man who reacts with violence to every detail; a man who lives every tiny aspect of life with passion; a man who can be very delicate and, at the same time, very rude; a man "full" of sharp feelings, of precise rules, of clear ideas, of deep sensations linked to both simple life and religion: a sweet and authoritative man.

The moment I had dreaded now arrived. I looked at my wife. There were stars in her hair, stars in her eyes that, bathed in tears a moment ago, shone now with high happiness. It seemed absurd that her conversion should make a great difference, and yet it was so. She was not the old Joyce. She was not the Joyce of even an hour ago. There was no solving the chemistry of this change, I only felt it, knew it, saw it. The thing I felt was maturity, a quality of womanhood not associated with her pregnancy; a tradition, rather an identification with Mother Church, with the Church's high reverence for women, an elevation of her to that state I felt for the Virgin Mary as a boy. We looked at one another, and in that moment she too knew that I had sensed the change, the all-pervading transformation of her personality.[11]

It is not difficult to discover all these features while reading the pages of his books. He does not camouflage his ideas; he writes as he talks, without prejudices, with frankness; he does not hide himself behind a curtain; he is as genuine as a painter or a musician who transfer instinctively their feelings either on canvas or onto a sheet music.[12]

Certainly, the many dialogues that alternate to his prose establish a vivid and a true relationship between the characters, who, while exchanging opinions and suggestions strengthen their behaviour and attitude in order to relate to one another.

"There's nothing wrong with you."
"I knew it all the time."

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[9] Ibidem: 135-7.
[10] J. Fante. 2002, *The Brotherhood of the Grape*, New York: Ecco/Harper Collins: 88.
[11] J. Fante. 1952, *Full of Life*, New York: Bantan Books: 101.
[12] In the video by G. Di Lello the simplicity of John Fante has been associated to the spontaneity of Mozart.

> He smiled.
> "What'd you have for dinner last night?"
> I told him: spagetti, meat balls, salad, wine, ice cream.
> "Why, doc?"
> "Cholesterol. The analysis shows an excess. What you had for dinner explains it."
> "Cholesterol! Good God, Doc! I read about cholesterol in a magazine. It's dangerous. It blocks up arteries and causes heart attacks. I read about it in *Hygeia.*"
> "Do you have heart trouble?"
> "Not yet, but …"
> "Forget it."
> "Cholesterol! Me, of all people."

… My house! Why had this happened to John Fante? What had I done to upset the rhythm of the stars in their courses? I went back to Joyce's hole and stared. I picked up a piece of rotten wood. There I saw them, the little white beasties, crawling in the dead wood, the wood of my house, and I took one between my fingers, his little white legs pawing the air – a termite, an inhuman beast, and I killed it; I, who couldn't bear killing anything, but I had to snuff out his life for what he and his vile breed had done to my house. It was the first termite I had ever killed.

> "You think! Who asked you to think? I *told* you: oysters. Eggs. I been through it. I give you advice from experience. What you been eating – candy, ice cream? Writer! Bah! You stink like the plague."
> This was my Papa for sure. He had not shrunk, after all. And the fig tree was as big as ever.
> "Go see your Mama." There was sarcasm in his voice.
> "Go tell her what a fine big boy she's got."

Greeting Mama was always the most difficult task of a homecoming. My Mama was the fanting type, specially if we had been away more than three months. Inside three months there was some control over the situation. Then she only teetered dangerously and appeared about to fall over, giving us time to catch her before the collapse. An absence of a month entailed no problem at all. She merely wept for a few moments before the usual barrage of questions.[13]

Apart from *Full of Life*, which is a very clear image of the character John Fante, it is also easy to prove his vital and religious force by simply looking at the titles of his works; titles, each containing a key word that leads us beyond the limited borders of a narrow life: 1) *Wait Until Spring*, *Bandini*; 2) *The Road to Los Angeles*; 3) *Ask the Dust*; 4) *Dreams from Bunker Hill*; 5) *The Wine of Youth*; 6) *The Brotherhood of the Grape*; 7) *The Little Brown Brothers*, etc.

If we follow Lakoff and Johnson's perspective that metaphors are all around us, "that metaphor is pervading in everyday life, not just in language," that "our conceptual system is largely metaphorical,"[14] and we apply this notion to the words contained in the titles of John Fante's works, we achieve a better understanding of his message.

1) *Wait*, suggests the necessity for human beings to rely on a superior entity, and to be patient too, because surely their expectations will be fulfilled; *Spring* is linked to re-birth and expresses a deep moving from the soul, both psychological and natural as we find it in human beings and in the awakening of nature.

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[13] J. Fante. 1952, *Full of Life*, New York: Bantam Books: 15-18-26.
[14] G. Lakoff and M. Johnson. 1980, Chicago/London: The University of Chicago Press: 3.

2) The Road, might represent the long walk of our life, where 'long' is also metaphorical, which, for all that it is *short*, is however mostly positive; it transports us to a place of hope, a place for a better life: Los Angeles.

3) *Ask*, again announces the presence of somebody else, in this case *the Dust*, the essence of life, the essence of human beings, the essence of God.

4) *Dreams*, suggests the main engine of human life, and *Hill* – apart from the geographical spot he knew very well – stands for a place half way between earth and sky: not so high not so low; a place from where you can look down from, but from where you can also be looked at.

5) *The Wine*, a drink thought of as necessity in order to grow in good health, in good humour: the blood of Our Lord; and *Youth*, the best age of our life: the age of dreams, of hopes, of expectations, of plans.

6) *The Brotherhood*, a loyal community of feelings, of ideas gathering around *the Grape*, the essence of divine blood; and then *The Brothers*, the brothers of the world, no matter if they are either *Little* or *Brown*.

Every grammatical element also adds relevance to the strong semantic value included in the title of the story; even prepositions mark the point of view of the author, who looks ahead, never behind, who is linked to the Other, to others: *Until*, *To*, *From*, *Of*. And then we have the use of the article, a well definite article, which identifies the objects in question very clearly: *The Dust*, *The Wine*, *The Brotherhood*, *The Grape*, *the Little Brown Brothers*; nothing and no one is unidentified.

If I dare a hypothesis about the value of the title of John Fante's masterpiece: *Full of Life*, not only the title itself is a plain expression of his idea about life, which has always a positive essence, but it plays on the ambiguity linked to a language which does not make use of affixes and case-marking to establish gender. In fact *Full of Life* attains to everything, to everybody; it might be plural and singular, masculine and feminine; it expresses the real essence of life: its beauty, following the author's point of view.

How could we translate *Full of Life* into a language which distinguishes gender and number through affixes, suffixes and cases? How could we translate *Full of Life* into Italian, for example? Previously, I have used the expression *full of life* to describe 'a situation' (page 4), which in Italian is feminine; soon after I have referred it to 'a man' which is masculine, of course, and then to 'expectations', which is feminine and plural. So, *Piena di Vita* as it is the official translation of the film in Italy is really ambiguous. Why only singular and moreover feminine? Why is the article omitted also in Italian, a language in which the absence of the article near the *head*[15] – *Full* (in this case a noun-phrase if we turn the adjective 'full' into a noun and translate it: la pienezza/bellezza) does not represent the expansion of the concept linked to the *head*? In my own opinion the translation better rendering the real meaning of the whole story, a story in which life occupies a central role, in which life is *full* of great expectations, because of the coming children, of a new home, of the hope to become a well recognized writer will be *La Pienezza della Vita* or *La bellezza della vita*, since 'pienezza' stands for 'bellezza.' Furthermore, we appreciate much more the joy of life depicted in *Full of Life*, if we think that this story was written when John Fante was experiencing the most tragic moment in his life: when he was

[15] Head: a term used in the grammatical desription of some types of phrase to refer to the central element which is distributionally equivalent to the phrase as a whole. … The head of the noun phrase *a big man* is *man*… D. Crystal. 1980, *A First Dictionary of Linguistics and Phonetics*, London: Andre Deutsch: 172.

becoming blind and had already lost one of his legs for diabetes; in essence, life is depicted as it is, with its anguish and its fears - the fear for the coming, uncertain future -, but with its love above all.

> My house! Four bedrooms. Space. Two of us lived there now, and one was coming. Eventually there would be seven. It was my dream. At thirty there was still time for a man to raise seven. Joyce was twenty-four. One every other year. One coming, six to go. How beautiful the world! How vast the sky! How rich the dreamer! Naturally we would have to add a room or two.
>
> … I walked out into my front yard and stood among roses and gloated over my house. The rewards of authorship. Me, author, John Fante, composer of three books. First book sold 2300 copies. Second book sold 4800 copies. Third book sold 2100 copies. But they don't ask for royalty statements in the picture business. If you have what they want at the moment they pay you, and pay you well. At that moment I had what they wanted, and every Thursday there came this big check.[16]

In brief, this essay, starting from the books written by John Fante, will focus on the psycho-linguistic situation experienced by immigrant people. John Fante is a contemporary writer (Aril 8th 1909 – May 8th 1983) born in the United States (Denver) from Italian parents from Torricella Peligna, a village in Abruzzo. He has followers in both countries, and consequently for one reason or another both Italy and America claim the ownership of this famous author, who by describing the immigrant's hard lives, speaks about the general conditions of all people around the world: those who for one reason or another move from the mother country to a foreign land, and those who never leave their home, but notwithstanding that also feel unstable and insecure.

From this perspective, even though John Fante has been considered a writer, who has focused on social problems, he goes beyond the sociological point of view, as Giovanna di Lello's video points out.[17] He speaks to himself first of all, and then to others and about others. He is an accomplished writer, one of the greatest in American literature. He has often been considered even greater than Hemingway, because he is able to touch, by starting from his own soul, his own skin, his own experiences, his own feelings, his own education, the most stressful reactions linked to the personal, familiar and social environment within the immigrant situation.

John Fante knew very well the moral and economic problems suffered by those who had left their homeland in the hope to find a real house, a real job, and a real home. Even though the American dream turned into a life where a clash of races (Italians, Yugoslavians, Polish, German, Philippine, Chinese, Japanese) had to fight not only one against the other, but moreover against the prejudices of the host country, the game was worth the candle, and at last those people succeeded in being recognized as regular citizens, as well as human beings within the new society.

> On July 6, 1918, Nick filed his Declaration of Intention to become an American citizen. Eighteen months later, on January 3, 1920, he took the next step in the process,

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[16] *Full of Life*: 1-3.

[17] The video made by Giovanna Di Lello has been enriched with the contribution of other important people who knew John Fante very well: His son, his daughter, his wife, his friends from Torricella Peligna, and writers and critics such as Sandro Veronesi and Charles Bukowsky, Michael Cohen, Gino De Laurentis, and of course his biographer Stephen Cooper. The video belongs to Il Centro an Italian Cultural Association in Pescara, edited by Paolo Di Vincenzo, the Italian biographer of John Fante.

raising his right hand to take the Oath of Allegiance and swearing to defend the Constitution of the United States against all enemies. Signing his Petition for Naturalization were witnesses … impressive evidence that Nick Fante was no mere wop bricklayer but a man among men to be reckoned with.[18]

Language, of course, played a decisive role; to forget the mother tongue and learn the foreign language was the first aim of immigrant people, especially of their children. To forget their culture, their food, their ways of life; to forget their poor existence in order to gain a better life in a better place. But it was hard, very hard, so, despite destiny, they all suffered many difficulties before integrating into the host society. The ambivalence between the two countries – the native and the host – as well as the ambivalence between the mother tongue and the new language remains a focal point in the lives of immigrant people.

My father studied the pictures at the supper table. 'A Sicilian,' he decided. 'look how black he is.' 'How can be a Sicilian?' My mother asked. 'The paper says he was born in Boston.' 'I don't care where he was born. I know a Sicilian when I see one' His brows quivered like caterpillars as he studied the face of Father Ramponi. 'I don't want any trouble with priest,' he brooded.[19]

'Ho! Ho!' he shouts. 'Look who's up! The Who's up. Let's get rid of the Wop!'
This is the first time anyone at school has ever flung the word at me, and I am so angry that I strike out foolishly. We fight after the game, this boy and I, and I make him take it back. Now school days become fighting days.[20]

'Bruno Ramponi, and you don't speak Italian? That's terrible.' The priest sank deeper in his chair and covered one eye. … 'The Pope speaks Italian,' my father said. 'the cardinals, they speak Italian. The saints speak Italian. Even God speaks Italian. But you, Father Bruno Ramponi, don't speak Italian.'[21]

As I grow older, I find out that Italians use Wop and Dago much more than Americans. My grandmother, whose vocabulary of English is confined to the commonest of nouns, always employs them in discussing contemporary Italians.

… I avoid Italian boys and girls who try to be friendly. I thank God for my light skin and hair, and I choose my companions by the Anglo-Saxon ring of their names. If a boy's name is Whitney, Brown, or Smythe, then he's my pal; but I'm always a little breathless when I am with him; he may find me out. … Occasionally now I hear about a fellow named Dante. But when I find out that he was Italian I hate him as if he were alive… I do so, and amid the hysteria I nurse my conviction that only a Wop girl, right out of a Wop home, would ever do such a thing as this. Oh, you Wop! Oh, you Dago! You bother me even when I sleep. … One day I learn from my mother that my father went to the Argentine in his youth, and lived in Buenos Aires for two tears. That night I come awake with a jerk. In the darkness I grope my way to my mother's room. … I whisper: 'Are you sure Papa wasn't *born* in Argentina?' 'No. Your father was born in Italy.' I go back to bed, disconsolate and disgusted.[22]

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[18] S. Cooper. 2000. *Full of Life*. A Biography of John Fante, New York: North Point Press: 23.
[19] J. Fante. 1985. My Father's God, in *The Wine of Youth*, Ecco/Harper Collins Publishers New York: 185.
[20] J. Fante. 2002, The Odyssey of a Wop, in *The Wine of Youth*, Ecco/Harper Collins Publisher: 138.
[21] My Father's God in ibidem: 197.
[22] The Odyssey of a Wop in Ibidem: 136, 137, 138.

From my place on the conveyor I could see the California yacht Club. In the background were the first green ripples of the Palos Verdes Hills. It was a scene out of the Italy I knew in books. Bright pennants flapped from the masts of yachts. Farther out were the whitecaps of the big waves that smashed against the jagged breakwater. On the decks of the yachts, lay men and women in careless white suits. These were fabulous people. They were from the movie colony and Los Angeles financial circles. They had great wealth, these boats were their toys. If they felt like it they left their work in the city and came down to the harbour to play with them, and brought along their women. And such women! It took my breath away to even see them rolling by in big cars, so poised, so beautiful, so easily at home in all that wealth, their cigarettes tipped so elegantly, their teeth so polished and flashing, the clothes they wore so irresistible, covering them with such perfection, concealing every body flaw, and making them so perfect in loveliness. At noon when the big cars roared down the road past the cannery and we were outside for the lunch hour I used to look at them like a thief peeking at jewels. Yet they seemed so far away that I hated them, and hating them made them nearer. Some day they would be mine. I would own them and the cars that carried them.[23]

Italy – the birth place of John Fante's parents - as well as America -John Fante's place of birth -, occupy an important role in his books, and the theme of immigrant humiliation, though very strong, is pervaded by the genuine love for Los Angeles; this ambivalence tries to find a balance by connecting the language and the culture of both these places. But, in my opinion, the balance is seemingly compromised, as the Italian language is reduced only to a few expressions while the grammatical-syntactical structure is typically American, and so is the semantic representation, which shows an adequate and rich choice of vocabulary. From the cultural point of view the balance is also compromised, since the level linked to traditions and attitudes reflects the typical Italian behaviour in line with the Abruzzese way of life.

Cranky, noisy, taking advantage of their patience, drunk a good deal of the time, he had free rein in San Elmo, and at night people heard him lurching home along deserted streets, singing bad renditions of "O Sole Mio," people untroubled in their beds, saying, "There goes old Nick," and smiling, for he was a part of their lives.[24]

3) An analysis of *Full of Life*. Quotations taken as examples to emphasize: a) the use of Italian expressions; b) a superb use of both prose and dialogues; c) cultural aspects and characters' behaviour; d) superstitions, and e) also a comparison between Fante and Hemingway.

a) Italian language

"The baby. How's the little bambino?" 24

"buy it. I talked to Joe Muto. He's my *paisano*. He won't sell to nobody but me." 33

"Don't you worry about it." 35

"You have to pay? How much? … Them tolls cost me two hundred dollars." 45 Don't lose them tools. I got a level in there cost me twenty dollars. 46"He's been anxious to get started. I been here two hours. I'm tired. I don't sleep good on the train, but he wants to get started." 63"enjoy yourself, Papa. Rest. Anything you want – just ask for it. You need more wine?" 64 "uncle Mingo's sister, Delia, she married Giuseppe Marcosa. One day I seen d'Annunzio in town, riding a bycicle…." 69

[23] J. Fante. 1985. *The Road To Los Angeles*. Ecco Harper Collins Publisher: 90-91.
[24] J. Fante. 2002. *The Brotherhood of the Grape*. Ecco Harper Collins Publisher: 5.

"Cut out reading them books." … "Grandchildren. That's what I believe in. And leave them books alone." 75

" he don't want no Los Angeles fireplace. He wants a fireplace his Granda built." 85

"get away from this fellow. He brings nothing but trouble, I shoulda sent him to reform school." 94

b) Linguistic analysis: prose alternates with dialogues.

A gentleman arrived about the valances. He was queer, with pellucid fingernails and Paisley scarf under his belted sports coat. He wrung his tapered fingers and there was an intimacy between him and Joyce I could not share. They laughed and chatted over tea and cakes and she was delighted to have the companionship of a cock without spurs. He shuddered at the green valances, squealed in triumph as he tore them down and replaced them with blue. He sent for a truck, and the furniture was hauled away to be re-covered to match the valances. 3

Like a stone, the child got between us. I worried and wondered if it would ever be the same again. I longed for the old days when I could walk into her room and snatch up some intimacy of hers, a scarf or a dress or a bit of white ribbon, and the very touch had me reeling around, croaking like a bullfrog for the joys of my beloved. The chair she sat upon before the dressing table, the glass that mirrored her lovely face, the pillow upon which she lay her head, a pair of stockings flung to launder, the disarming cunning of her silk pants, her nightgowns, her soap, her wet towels still warm after her bath: I had need for these things; they were part of my life with her, and the smear of lipstick made no difference, for the red come from the warm lips of my woman. 7

At first I didn't see her. Then I found her before the kitchen range, even as she had fallen, snug in the neat cave-in, but cut off as if she were a midget, a slice of ham in one hand, a skillet in the other, with many eggs broken and leaking around her. She was more angry than hurt, melted butter trickling from her hair and mingling with her tears, stringy egg yolk dripping from her elbows. 17

I was not so ignorant as he imagined. I had learned plenty in that family, ever since childhood, all sorts of priceless learning handed down from generations of Abruzzian forebears. But I found much of this knowledge difficult to use. For example, I had known for years that the way to avoid witches was to wear a fringed shawl, for the attacking witch got distracted counting the fringes and never bothered you. I also knew that the cow's urine was simply marvelous for growing hair on bald heads, but up to now I had no occasion to apply this information. I knew, of course, that the cure for measles was a red scarf, and the cure for sore throat was a black scarf. As a child, whenever I got a fever, my Grandma always fastened a piece of lemon to my wrist; it lowered the fever every time. I knew too that the evil eye caused headaches, and my Grandma used to send me out in the rain to plunge a knife in the ground, thus diverting the lightning from our house. I knew that if you slept with the windows open, all the witches in the community entered your house, and that if you *must* sleep in the fresh air, a bit of black pepper sprinkled along the window sill caused the witches to sneeze and back off. I also knew that the way to avoid infection when visiting a sick friend was to spit on his door. All these things, and many more, I had known for years, and never forgotten. But I live and learn, and the garlic-and-salt treatment for marriage bed was something else again. 31

Yes, and yes, and yes. Until he had explained the last stone and beam, until he was very happy, sucking his cigar and drinking wine. Then the afternoon coolness drifted through from the green vineyard seas and he was sated with so much talking. He rolled up the drawings, put out his cigar, laid the butt in the crotch of the fig tree, and stretched out on the lawn swing. A great and wonderful peace shone on his face. No happier man lived on this earth. He closed his eyes and slept. Had he died at that moment, he would have gone straight to paradise. 34

He laughed and patted her clumsily, adoring her and the voluptuous roundness that contained a part of him too. You could see him tremble before it, giddy with joy, this

extension of himself, the projection of his life far beyond the limits of his years upon the earth. Sitting on the grass and watching him, I knew suddenly that even the birth of his own children had not held the romance and excitement of this child's coming. Over his shoulder Joyce looked down at me with startled eyes. I just sat there, glad to be home, too tired to speak. 58

The moment I had dreaded now arrived. I looked at my wife. There were stars in the hair, stars in her eyes that, bathed in tears a moment ago, shone now with high happiness. It seemed absurd that her conversation should make a great difference, and yet it was so. She was not the old Joyce. She was not the Joyce of even an hour ago. There was no solving the chemistry of this change, I only felt it, knew it, saw it. The thing I felt was maturity, a quality of womanhood not associated with her pregnancy; a tradition, rather an identification with Mother Church, with the Church's high reverence for women, an elevation of her to that state I felt for the Vergin Mary as a boy. We looked at one another, and in that moment she too knew that I had sensed the change, the all-pervading transformation of her personality. 101

I put my arms around her and began to cry. I slid down on my knees, happy with a vile and crushing happiness that nearly killed me with its terrible power. I could have spilled out my life then and there, so fierce was my joy for my woman. 109

Then a fine and noble memory came back to me. I hopped out of bed and pulled my overnight bag out of the closet. In the side pocket I found it, a faded bouquet of sweet basil tied with red ribbon. I could not remember all of Mama's instructions. I could only recall something about hanging the bouquet from my bed. I fastened it to the crossbar of the headboard so that it fell to my pillow. Then I lay there, breathing its sweet and piquant aroma, and somehow it was the perfume of my mother's hair and her warm eyes smiled at me, and I began to cry because I didn't want to be a father, or a husband, or even a man, I wanted to be six or seven again, asleep in my mother's arms, and then I fell asleep, dreaming of my mother. 112

Ten minutes later I saw the boy. He lay naked in the arms of a masked nurse. I couldn't touch him because they were behind a plate glass window. He was pinched and ugly like a gnome dipped in egg yolk. With a mustache, he would have looked just like his grandfather. He shrieked as the nurse exhibited him. I counted ten fingers, ten toes, and one penis. Certainly a father could ask for no more. 116

c) Culture and behaviour

"Smell the peppers? Mama's frying peppers." From the back porch it came, a river of ambrosial redolence, fresh green peppers sizzling in golden olive oil, charmed with the fragrance of garlic and the balm of rosemary, all of it mingled with the scent of magnolias and the deep green ricness of vineyards in the back country. "Smells good. How you feel, Papa?" … "The baby. How's the little bambino?" 24

Mama loved dying, too. Once or twice a year, and specially at Christmas time, the telegram would come, announcing that Mama was dying again. …suddenly she would feel much better, crawl out of her death bed, and cook up a huge ravioli dinner. 27

I found her at the table, shelling peas. It is so easy to talk to your Mama; even the things she doesn't understand, she makes herself understand. Sitting there, I laid out the whole situation about the house in Los Angeles. No recriminations; she did not sigh, nor cluck her tongue, nor admonish me on what I should have done. She shelled peas and listened quietly as I told her why I had come to San Juan, and how, under the circumstances, I was afraid to tell Papa I already owned a house. 35

Papa wasn't there. The table was set in the kitchen – plates for three of us. Seated at the window, Mama was reciting the rosary. …"Oh, I'm not worried. I said the rosary. He'll be all right. But he'll spend ten dollars." … She served my dinner. She had me alone, all to herself, and I prepared for it, feeling it coming on. Sure enough, she began making passes at me, those mother-passes that leave you helpless. She stood behind me and touched my hair. She foundled my ears. She let her arms drop over my shoulders, her palms rubbing my chest. I kept reaching for things, extricating myself from every new hold. She finally took my left

hand and began exploring the fingers. I tried tugging it away, gently, but she would not let go, kissing each finger. I felt grear pity for her, for all women with their great consuming mother passion. 38

"Doesn't Joyce look after your clothes?"

"Of course." "Sending them to the cleaners – that's the American style." 39

Meanwhile Mama kept out of the discussion, busying herself putting things into a grocer's carton that once held canned milk. I went over to see what she was doing. She was packing this stuff for me to take back to Los Angeles. The box contained four quarts of home-canned tomato preserves and four quarts of fig jelly. There was also a head of goat's cheese and a freshly baked chocolate cake. 43

Quickly Papa unroped the black suitcase and flung it open. There were two gallons jugs of claret wrapped in towels. There was a third sack, bulging with staff. I looked inside. It held two loaves of round homemade bread and a goat's cheese the size of a football. At the bottom of the sack was a foot-long salami and a quantity of apples and oranges. 47

He was talking about the hard bitter days of his youth back in Abruzzi; how he had gone to work at the age of ten, apprenticed to a cruel stonemason who cheated him of his wages of three cents a day; how his own mother used to come to the job and help him carry big stones up a ladder to the scaffolding on the estate of the Duke of Abruzzi. It was a tragic story, and a true story, for I had heard it many times before; had been raised on it, in fact; a tale of peasant misery that turned one's blood to tears, and those near him in Car 21 were deeply moved by the words of this simple old man who found contentment in a bit of bread and cheese and salami while his son gorged himself riotously on rich foods. 50

I wanted to beat my breast and say, *mea culpa, mea culpa,* for I saw the pathos of the aged, the loneliness of the last years, my Papa, my old Papa, all the way from Abruzzi, a peasant to the end, sitting on the bench, alone in the world. Why, sure, I would write his story! Why, sure, we would put it down about Uncle Mingo, for the baby to read! It was the most important thing a man had to write. I parked the car and wiped my eyes and went to him on the bench. 66-7

Yes, Joyce was right, and I must honor the anged, pay homage to Papa, and he almost sobbed to hold that bottle of Chianti wrapped in straw, so we bought a case of that too. … But there was an exotic side to his nature too, for he liked the Florentine anisette made by the Italian monks, and when he saw the tall golden bottle of Galliano, the bottle is so exquisitely tall, the liqueur as yellow as the Italian sun. 68

"One time I said, 'Uncle Mingo, what makes you so strong?' Uncle Mingo, he picked me up with one hand, held me straight out, and he said, 'Olive oil.'" 69

His confession was in the nature of an argument. It was given in Italian – a rumbling discussion, indistinct and intense. Whenever Father Gondalfo said anything, Papa answered sharply. The priest in turn raised his voice. They talked with their hands too, for you could see the curtains flapping. Finally the confessor's voice prevailed. No word came from Papa. 103

d) Superstitions

"Remember what I told you? Eat plenty eggs. Three, four every day. Otherwise, it's a girl." He made a face as he added: "You want a girl?"… Plenty eggs …"Remember what I said about oysters? You got money now. You can afford oysters." I remembered a post card dictated to Mama and sent to Joyce and me on our honeymoon at Lake Tahoe. The card said I should eat oysters twice a week to induce fertility and the conception of male children. … "holy Mother of Heaven! So this is the end of the Fante line." 25

Pregnant women shouldn't look at frogs or lizards. … Mama smiled. "Because I sprinkled salt in your bed." 29

"Superstition. Ignorance." …It was bad luck to spill wine. …"We didn't have any garlic in the house that night, so Papa used salt. It was his own idea."

"Garlic?" I looked into Mama's large green eyes . "Why garlic?"

"to put in the keyhole."

"is that supposed to bring babies?"

"Not plain babies – *boy* babies." 30

I rose to leave. She stopped me. Something bothered her. "You and Joyce. Do you sleep American style?" She meant, did we sleep separately?

"Now that's pregnant, we sleep America."

"What a shame. The baby won't know you."

"We'll get acquainted after he's born."

"Sleep Italian style. You don't understand about babies. It's lonely down in the womb. He's there, all by himself. He needs his father." 35

Now she showed me a small bouquet of sweet basil freshly cut from her herb garden, and tied with a red ribbon from which hung two lead medals of the Blessed Virgin Mary.

"It's to make the baby born alive. Every night, hang it at the foot of your bed."

43

Then he pulled out his pocketbook with many compartments, and I saw the garlic again … 67

e) Fante and Hemingway.

They knew how garlic could be used to produce certain effects which could absent a man from an attack and they knew all, or nearly Toall, of the other tricks; for one had been a sergeant and the other a lieutenant of infantry and they had fought on the three key points, Pasubio, Grappa and the Piave, where it all made sense.

'Will we see cinema people and speak about them with dorucan and perhaps not have a drink with them?'

'We'll see them being married for the second and third time and then being blessed by the Pope?'

'if you go in for that kind of thing.'

'I don't ,' the girl said. 'That's one reason that I cannot marry you.'

'I see,' the Colonel said.'thank you.'

'but I will love you, whatever that means, and you and I know what it means very well, as long as either of us is alive and after.' [25]

And I see you now, you woman of that night – I see you in the sanctity of some dirty harbor bedroom flop-joint, with the mist outside, and you lying with legs loose and cold from the fog's lethal kisses, and hair smelling of blood, sweet as blood, your frayed and ripped hose hanging from a rickety chair beneath the cold yellow light of a single, spotted bulb, the odor of dust and wet leather spinning about, your tattered blue shoes tumbled sadly at the bedside, your face lined with the tiring misery of Woolworth defloration and exhausting poverty, your lips slutty, yet soft blue lips of beauty calling me to come come come to that miserable room and feast myself upon the decaying rapture of your form, that I might give you a twisting beauty for misery and a twisting beauty for cheapness, my beauty for yours, the light becoming blackness as we scream, our miserable love and farewell to the tortuous flickering of a grey dawn that refused to really begin and would never really have an ending.

'It's piracy,' I said. 'You're robbing me.'

'You mean charity. I'm practically giving you fifty dollars.'

'Monstrous,' I said. 'Otrageous.'[26]

The following quotation taken from Chambers seems to summarize the whole essay, and so I seem to have achieved a reasonable conclusion.

To be forced to cross the Atlantic as a slave in chain, to cross the Mediterranean or the Rio Grande illegally, heading hopefully North, or even to sweat in slow queues before

[25] E. M. Hemingway. 1950, *Across the River and Into the Trees*, Penguin Books: 49; 101.
[26] J. Fante. *The Road To Los Angeles*: 156, 158.

officialdom, clutching passports and work permits, is to acquire the habit of living between worlds, caught on a frontier that runs through your tongue, religion, music, dress, appearance and life. To come from elsewhere, from 'there' and not 'here', and hence to be simultaneously 'inside' and 'outside' the situation at hand, is to live at the intersections of histories and memories, experiencing both their preliminary dispersal and their subsequent translation into new, more extensive, arrangements along emerging routes. It is simultaneously to encounter the languages of powerlessness and the potential intimations of heterotopic futures. This drama, rarely freely chosen, is also the drama of the stranger. Cut off from homelands of tradition, experiencing a constantly challenged identity, the stranger is perpetually required to make herself at home in an interminable discussion between a scattered historical inheritance and a heterogeneous present.

As such the stranger is an emblem – she or he is a figure that draws our attention to the urgencies of our time: a presence that questions our present.[27]

[27] I. Chambers. 1994: 6.

The Similarities and Communication of Music and Language

by
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It has been said that the best way to "know" a subject is in the context of another discipline. I have found this to be especially true when associating the principles of speech with the study of music.

Interdisciplinary teaching and learning are, after all, becoming increasingly important in today's modern society. Its philosophy is to better understand the world in which we live by associating and linking all the complex elements of life into a composite whole.

For some time now, I have been interested in relating the study of music with the innate structure of language. Language, of course, is universal and has its own internal system. This system is composed of the following elements: grammar, phonology, morphology, syntax, and semantics. All of these facets of human speech have analogies that can be made to music's internal language structure as listed below:

1. *Grammar* – how words combine to form sentences (how musical components are arranged, chord progression)
2. *Phonology* – speech sounds and pronunciation (musical articulation, the harmonic series)
3. *Morphology* – form and structure of words (harmony in music)
4. *Syntax* – phrase and sentence structure (musical phrases, cadences, chord progression)
5. *Semantics* – meanings of speech forms, word meanings (transmission of meaning and emotion in music)

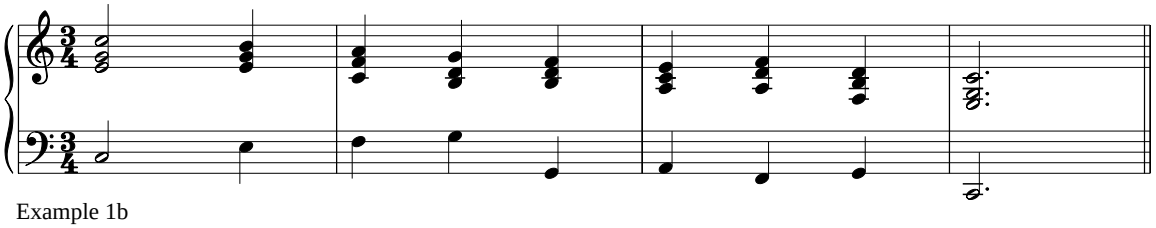
The association of the principles of speech with the study of music is a largely untapped region of study. Therefore, I have been attempting to relate the structure, function, and classification of these language principles to music and have found them both to share some similarities. Illustrating these various linguistic functions has helped my students better understand more abstract musical concepts through the more natural process of human speech. Thus, I have found that having a greater understanding of how speech relates to music can enhance a student's abilities, perception, and understanding of music itself.

I will now consider in more detail each of the above cited qualities of speech and their corresponding musical elements.

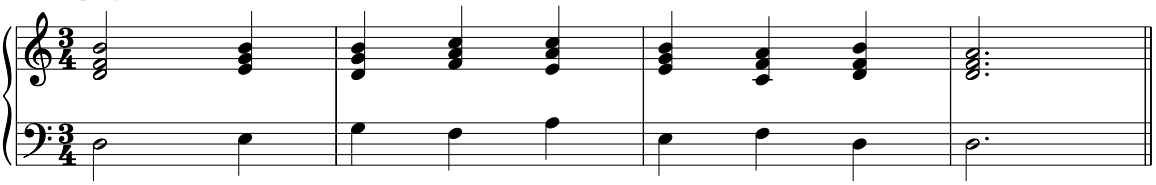
Musical Grammar

At the piano, play and compare the following two chord progressions of Example 1:

Example 1a
Chord progression #1



Example 1b
Chord progression #2

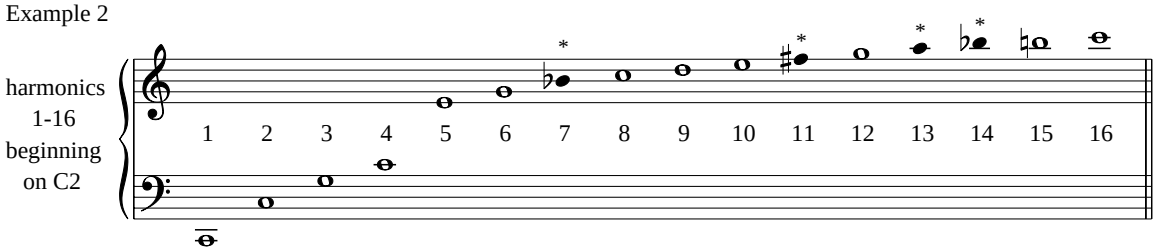


The first progression (1a) follows a normal grammatical arrangement of tonal harmony (drives convincingly toward a final resolution of the main tonal center or key) whereas the second progression (1b) seems to wander and lack a sense of purpose or direction in regards to seeking a final key resolution. Even so, both of these progressions may be usable to the composer depending on what the composer's intent is. The point is that traditional music has an internal set of tonal and harmonic materials that create a sense of logical flow culminating in a drive towards a tonal center. The study of the consistency by which these materials have been used in the past and the codifying of such procedures are referred to as *music theory*. These theoretical principals might also be referred to as basic *harmonic grammar*. We will return to these two progressions after first considering other principles of comparison, specifically those involving musical phonology, morphology, and syntax.

Musical Phonology

Phonology deals with speech sounds and pronunciation which may be likened to articulation in music. Musical articulation deals with the way notes are attacked (staccato, legato, portamento, etc.) and serves to enhance the emotional character of the musical material. Additionally, timbre is an aspect of sound. Musical timbre is a by-product of the *harmonic* (or overtone) *series*. These are the presence of higher pitches in the sound spectrum when a sound is produced. Generally speaking, more harmonics will occur the louder a note is played. For musical pitches, they follow a precise mathematical pattern. For instance, when a C2 is played on the piano, the following "harmonics" (Example 2) will tend to occur:

Example 2



* dark noteheads indicate pitches that deviate markedly from our equal-tempered tuning system

Example 2 illustrates the first 16 harmonics of the note C2 (the first being the fundamental pitch C2, the "perceived" tone). These upper pitches are present in varying degrees in the spectrum even though one is not usually aware of them because they are almost always softer in volume than the fundamental pitch. The fundamental is the primary tone that is heard, but the specific "power" of each of these additional harmonics gives whatever instrument is playing this fundamental pitch its characteristic and recognizable "timbre." The exact amount of volume each harmonic possesses determines the tone's unique "phonological" timbre distinguishing one instrument's "color" or timbre from another.

Musical Morphology

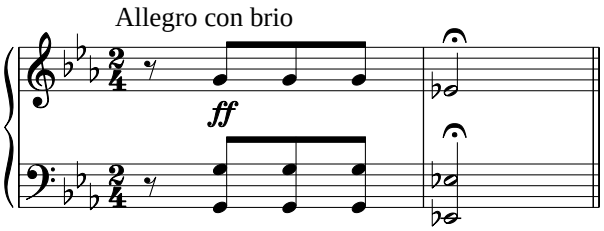
Morphology deals with the form and structure of words. Its musical equivalent is notes and harmony.

Consider the following table:

	MUSIC		**SPEECH**
1)	note	=	phoneme
2)	motive	=	morpheme
3)	chord	=	word

Beginning with the first element in the above table, I am comparing a musical note to a phoneme. A *phoneme* is the smallest basic unit of sound. An example might be the letters /l/ and /t/ to distinguish between the words lip and tip. The second element in the table compares a musical motive with a morpheme. A *morpheme* is the smallest unit of meaning (such as the word run or an –s, which is a plural marker for nouns). However, a word can contain more than one morpheme or unit of meaning (such as the word *redo* meaning *again* to *do*) or a word can contain several phonemes (basic units of sound) but only one morpheme or meaning (such as the word *ma-hog-on-y*). A motive on the other hand, is the smallest basic idea in music (although a motive is not necessarily susceptible of "meaning"); it is a germinal, embryonic idea often used as a building block for further development. As an example, one of the most famous musical motives in all music is the beginning of the following work (Example 3):

Example 3
Opening (4-note) motivic statement
Beethoven, *Symphony No. 5*, Op. 67, I (mm. 1-2)



Finally, a musical chord (table element #3) might be likened to a word. A *chord* is a harmonic element that combines three or more notes simultaneously (often used to harmonize melodies) and can produce a wide variety of emotional effects depending on the composer's choice of chord and the way it is spread out or "voiced."

Musical Syntax

Syntax deals with phrase and sentence structure. Sentence punctuation has its analogy in music in what are called *cadences*; these are sometimes brief points of rest or repose, a caesura of motion, or more often, simply a harmonic or melodic goal. Cadences are defined by the harmonic progression that concludes a phrase of music (a *phrase* can be defined as a relatively independent musical idea of usually a few measures in length terminated by a cadence). There are four traditional cadences recognized in music. These are:

1. *Authentic Cadence* (V-I or vii°-I)

This is considered the strongest of the four cadences in establishing a sense of finality. Of the authentic variety, there are two types: perfect and imperfect. A *perfect authentic cadence* ends the phrase with a V-I chord progression with both chords in "root position" and scale degree one in the top voice for the I chord (analogous to a period or exclamation point at the end of a sentence). An *imperfect authentic cadence* is a V-I chord progression with: **(a)** one or both chords not in "root" position, **(b)** with some other chord tone other than scale degree 1 on top when the I chord is reached, or **(c)** is a vii°-I chord progression (analogous to a period or exclamation point at the end of a sentence).

2. *Plagal Cadence* (IV-I)

Also conclusive sounding (analogous to a period or exclamation point at the end of a sentence).

3. *Half Cadence* (any chord progressing to a V)

Incomplete sounding (analogous to a comma in a sentence).

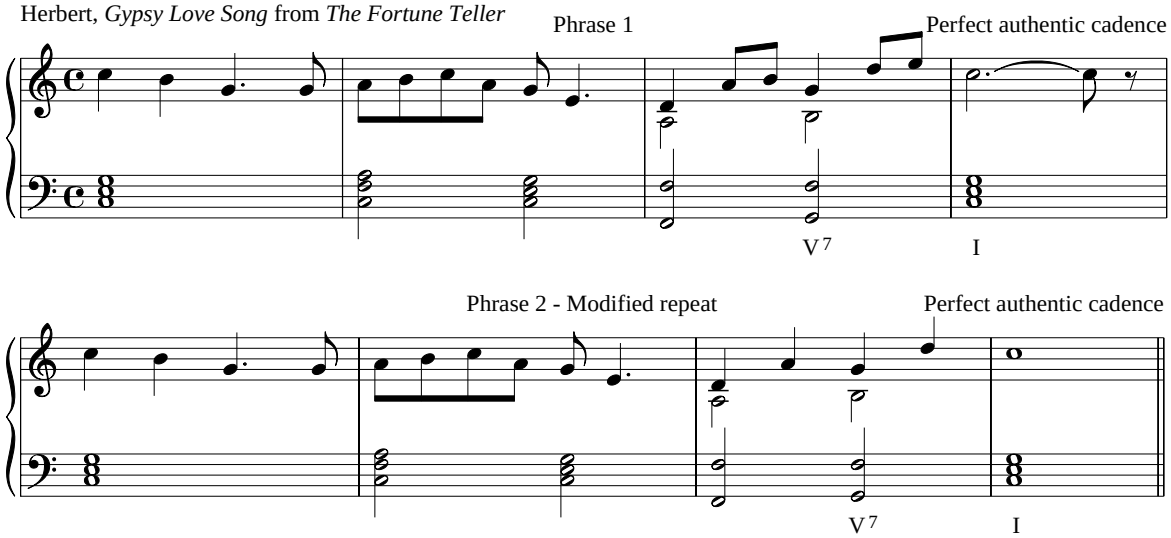
4. *Deceptive Cadence* (V to some chord other than I)

Incomplete sounding (analogous to a question mark at the end of a sentence).

Other types of cadences are possible and are usually classified as derivatives of these. A phrase in music has been likened to being similar to a sentence in language. Hence, using this definition, a phrase could then be said to equal a "musical sentence." However, most phrases in music do not seem to give a sense of "completion" (as in an actual sentence) and therefore this terminology is misleading. In spite of this, examples can be found where a phrase appears to sound like a complete musical sentence as in the following (Example 4):

Example 4

Herbert, *Gypsy Love Song* from *The Fortune Teller*

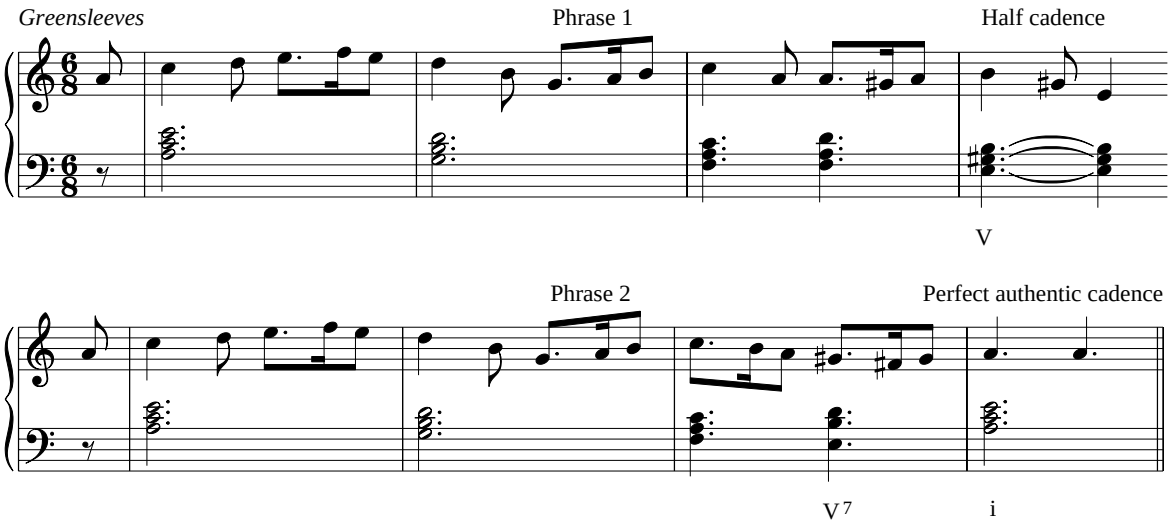


Each phrase (or line) of the above example ends with a perfect authentic cadence giving the strongest sense of completion. Consequently, here we have two independent musical phrases that each provides a sense of being a complete "sentence."

The next two examples (5a and 5b) each consist of two phrases (again one phrase per line), the first phrase punctuated with a half cadence and the second with a perfect authentic. Thus, only the second phrase of each example gives a sense of completion. Therefore, the entire two phrases together give a total sense of only one "sentence" (containing two "clauses") with the midway point punctuated with a musical "comma" and the final phrase concluding the "sentence" with a "period."

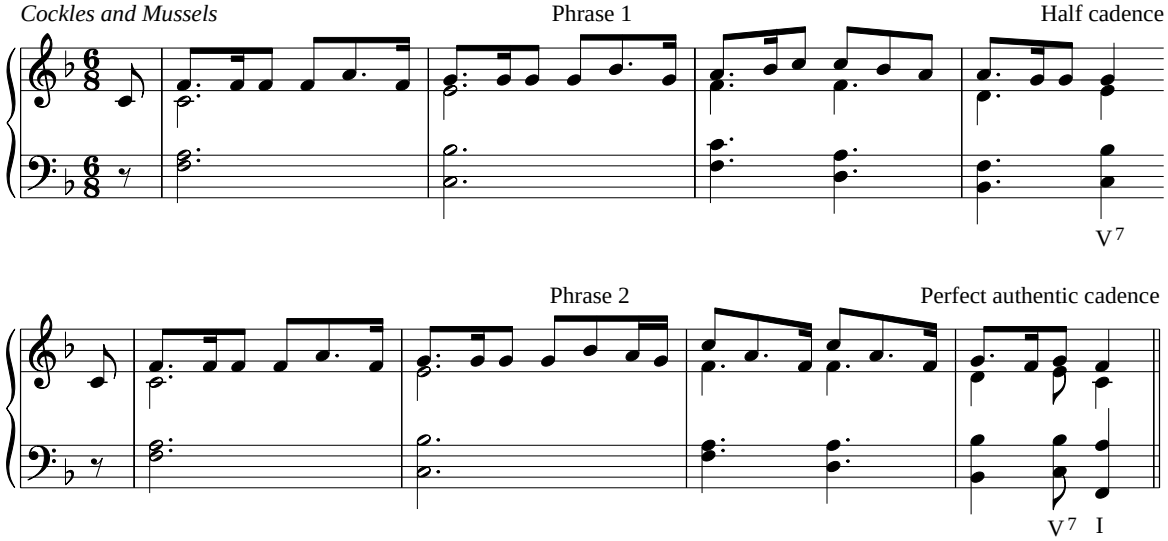
Example 5a

Greensleeves



Example 5b

Cockles and Mussels

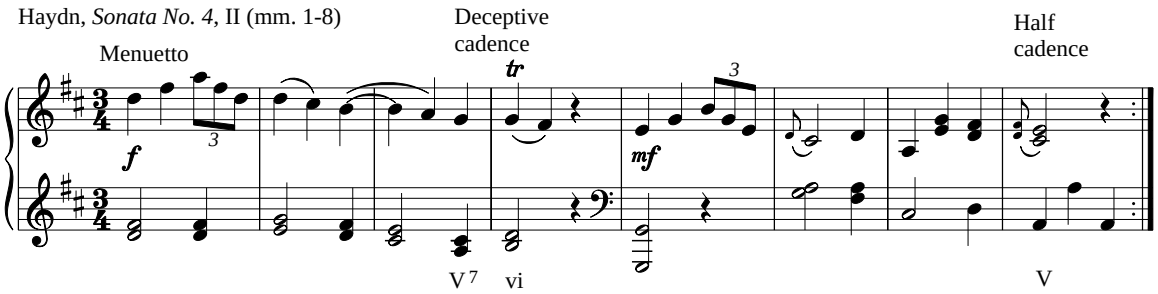


Musically speaking, examples 5a and 5b also illustrate what is known as a musical *period* in its overall construction. This terminology is different as compared to when one speaks of a literal period ending a sentence. A musical period consists of at least two phrases which go together to form an antecedent/consequent relationship between one another. This is achieved here by the first cadence being weaker or incomplete-sounding (at the end of the first phrase) and the second cadence being stronger (at the end of the second phrase) giving a sense of completion. Thus, the two phrases together create a sense of unity linking two dependent clauses into a complete "musical sentence." Both 5a and 5b may also be referred to as a *parallel period* since phrase 1 is similar to phrase 2 within each example. The term *contrasting period* is used for a *period* that contains dissimilar phrases.

The next musical excerpt for solo piano (Example 6) illustrates two phrases, the first punctuated with a deceptive cadence and the second with a half cadence. Both give a sense of incompletion. The first cadence can be likened to a question mark and the second to a comma.

Example 6

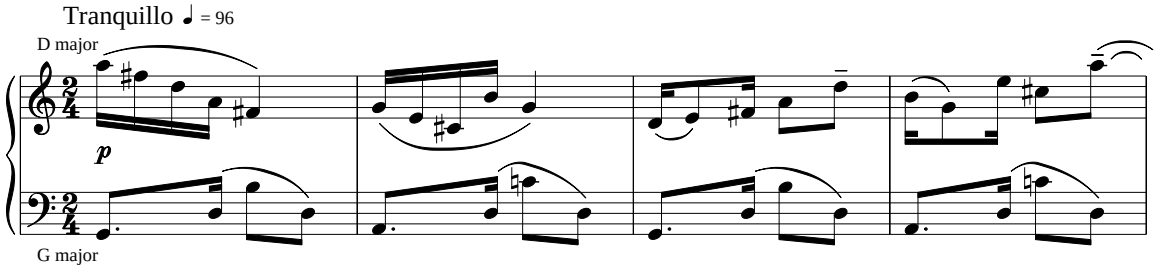
Haydn, *Sonata No. 4*, II (mm. 1-8)



In looking at the above examples (4, 5, & 6), we can see that a phrase in music can occasionally be likened to a "sentence." However, most musical phrases do not give a sense of being a complete sentence and therefore seem to function more in the manner of a dependant or independent "clause."

In looking at a less traditional musical example, one can sense two layers of harmonic syntax going on with the following:

Example 7
Milhaud, *Saudade do Brazil* (mm. 1-4)



In this work for solo piano, the right hand is in the key of D major while the left is in G major. The conflict in harmony between these two opposing keys gives a sense of two dialects or conversations happening simultaneously.

In modern poetry, syntactic distortion is common. An example of this is the work of E. E. Cummings by which the following poem illustrates this technique (the original punctuation and spacing have been preserved – see next page):

my sweet old etcetera

E. E. Cummings (1894-1962)

Original:

my sweet old etcetera
aunt lucy during the recent

war could and what
is more did tell you just
what everybody was fighting

for,
my sister

isabel created hundreds
(and
hundreds) of socks not to
mention shirts fleaproof earwarmers

etcetera wristers etcetera, my
mother hoped that

i would die etcetera
bravely of course my father used
to become hoarse talking about how it was
a privilege and if only he
could meanwhile my

self etcetera lay quietly
in the deep mud et

cetera
(dreaming,
et
cetera, of
Your smile
eyes knees and of your Etcetera)

Rewritten:

Aunt: What is more, Aunt Lucy could tell you what everybody was fighting for during the recent war.

Sister: Sister Isabel created hundreds (and hundreds) of socks, not to mention shirts, fleaproof earwarmers, wristers, etc.

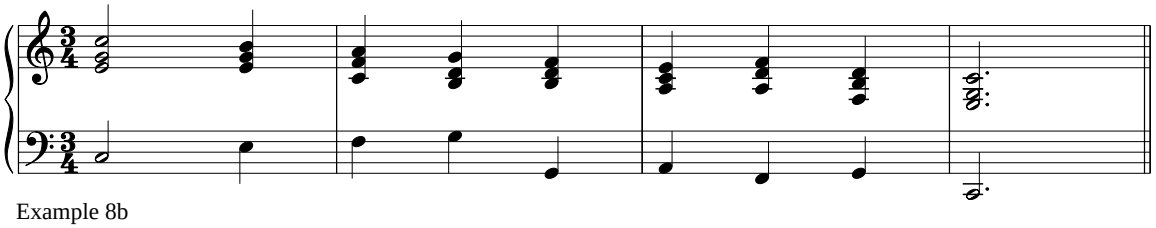
Mother: My mother hoped that I would die bravely.

Father: And only if he could of course, my father used to become hoarse talking about how it was a privilege.

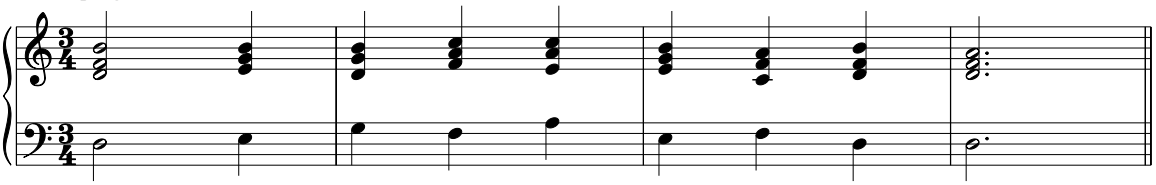
Himself: Meanwhile, I lay quietly in the deep mud (dreaming of your smile, eyes, knees, and of your . . . etc.)

By rewriting the poem (as I have done in the right hand column), we can create five "syntactically correct" sentences. The rewritten and original versions can be compared to the following two chord progressions which began our discourse (Example 8):

Example 8a
Chord progression #1



Example 8b
Chord progression #2



The second progression (8b) is like the Cummings poem in that the chords used do not follow the normal grammatical arrangement of syntax logic. Notice when playing this example how the harmonies seem to wander and lack a sense of purpose or direction. However, the first chord progression (8a) exhibits a stronger sense of normal harmonic syntax (comparable to my rewritten version of the Cummings poem). Why? This is because 8a exhibits a stronger sense of direction primarily in its drive toward the ultimate resolution of the central key of C major. All of the chords in the first example pull gradually toward this center of gravity ending with a perfect authentic cadence. The second progression, although perhaps fresher-sounding in its approach, is not what would be considered normal harmonic movement in music.

This does not mean that the second progression is inferior musically or not useful. It simply depends on the effect the composer intended. These two progressions are simply shown as an example on the effect created by intentionally distorting the harmonic syntax (as in the Cummings poem) or creating a more traditional harmonic progression (or syntactically correct arrangement) according to tonal principles.

We can now expand our previous comparative table of music and speech to include more elements (adding elements 4–7 when compared with the previous table):

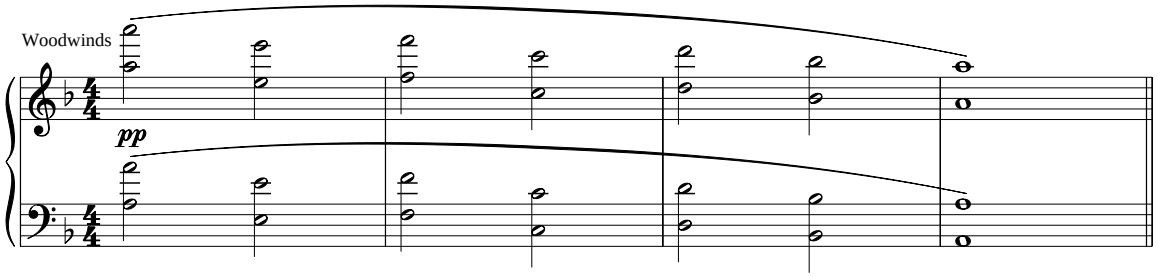
	MUSIC		**SPEECH**
1)	note	=	phoneme
2)	motive	=	morpheme
3)	chord	=	word
4)	**phrase**	**=**	**clause (or sentence)**
5)	**section**	**=**	**paragraph**
6)	**movement**	**=**	**short literary work (or chapter in a larger work)**
7)	**multi-mvt. work**	**=**	**book/novel/play, etc.**

As already mentioned, a musical phrase has its analogy in most cases to a clause and only occasionally as a complete sentence. A section in music can be likened to a paragraph where a certain thought, idea, or subject prevails (as compared to music where a certain musical idea or melody might be featured). A movement in music can be related to a short literary work or to an individual "chapter" in a larger work. Finally, a complete multi-movement musical work (containing several movements) can be equated to a book, play, novel, or any other literary work containing separate divisions, acts, or chapters.

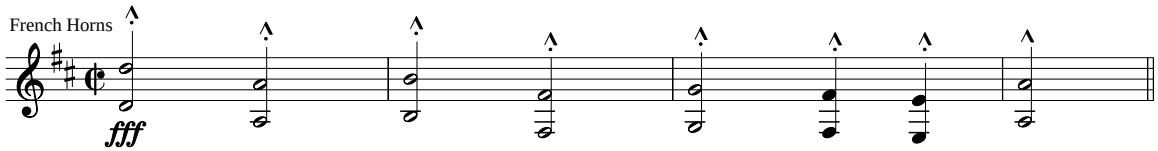
Musical Semantics

Musical semantics is probably a more philosophic area to touch upon as it deals with musical meaning (as opposed to word meanings). Unless the music itself contains words or is instrumental music that contains a written "program" provided by the composer (defined as "program music"), much of it is simply open to the opinion of the listener. Take a look at the following two excerpts (Example 9a and 9b on the next page) that occur from the same work:

Example 9a
Mahler, *Symphony No. l*, I (mm. 18-21)



Example 9b
Mahler, *Symphony No. l*, IV (mm. 679-682)



The first (9a) occurs near the beginning of the work (in the first movement) and the second (9b) occurs near the end (of the fourth and final movement). The first might be likened to some listeners as a depiction of "nature at sleep" while the second could be said to symbolize "triumphant victory over life." However, these are just two possible interpretations out of a myriad of possible responses. The two examples are clearly related melodically, but the character of each is entirely different. The first is played slowly and very quietly by woodwinds against a quiet string background. The second is much faster and played extremely loud by French horns accompanied by a full orchestral background. What could be said of this transformation in character that occurs during the course of the work? The storm clouds that metaphorically appear in the first movement reappear again in the last but ultimately resolve at the end in a blaze of glory. The listener probably cannot help but to sense that there is an "internal program" suggested by the music, but what exactly is it? Thus, we see that music cannot express fundamental

meanings as can speech, but often relies on its emotive power to convey only a hint of definitive meaning. Perhaps its true "meaning" can only be determined by how it makes one "feel." Music has aptly been called "the art of the emotions" and often depends on its emotional qualities to try and communicate its "message" beyond the power of word meanings. Often music, like poetry, is purposely ambiguous in its meaning to allow the listener or reader the experience of determining its meaning through something that is already "known" to them. When that "known" element becomes discovered or realized, then that work's ultimate "meaning" can be a truly expressive and powerful experience.

We have considered but just a few examples of some basic structural similarities between music and speech. By comparing some of the universal principles and structure of speech with music, a greater understanding and appreciation of music can emerge. It can also demonstrate the sometimes "hidden" logic of music to be one that is backed by universal principles of human speech and communication.

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2005 Hawaii International Conference on Arts and Humanities

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6) Abstract:
In Australia, the merger of Art Schools with universities in the late 1980's coincided with a rigidifying of funding categories and formulas within Australian Higher Education institutions. This situation resulted in the newly emerging Visual Arts faculties competing with established disciplines for limited research funding. As noted in Strand's report on Research in the Creative Arts in Australia (1998), the Visual and Performing Arts have typically been disadvantaged in their quest to attract research funding because there has been limited recognition of artistic output as a legitimate research outcome. The research equivalency of an exhibition or a performance with conventional research outputs such as books, journal articles and conference papers has been much debated. It is not only the equivalency and legitimacy of arts-based research outcomes that are under scrutiny, but the equivalency and legitimacy of arts-based research methodologies have also been questioned. However, while there may be marked differences in the products arising from arts-based and traditional research and the methods by which the research is conducted, the essential elements defining research, that is, a disciplined inquiry resulting in an original contribution to knowledge in a particular field, appear to be evident in both traditional and non-traditional research approaches.

This paper presents the findings from a study involving interviews with 15 Visual Arts examiners from 10 Australian institutions. The examiners' responses provided insight into the assessment of the products arising from non-traditional research degrees and the methodologies being employed. One of the themes emerging from the examiners' reflections about the overall qualities they anticipate in a Visual Arts doctorate was the notion of a candidate's 'journey' or 'development' during the course of their research. There appeared to be agreement that successful art research practice involves a process of inquiry, the development of ideas and a coherent communication of this process in both the written and practical components of a thesis. The current paper explores the theme of the artist's journey as a legitimate research activity.

The history of phonetics and the introduction of structuralism in Spain

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Abstract:

The history of linguistics is one of the fields which has become important only in the last century. Some studies in this field exist, but normally these studies try to embrace the whole history of linguistics; it is difficult to find a work which focuses on just one concrete field.

My investigation is focused on the history of phonetics and phonology in Spain in the 20th century and the introduction of structuralism in these two fields. I examine the origins of this history and discuss three preeminent phoneticists and phonologists: Tomás Navarro Tomás, Samuel Gili Gaya and Emilio Alarcos Llorach.

This investigation is based on the paradigm theory of T. S. Kuhn. I classify Tomás Navarro Tomás as the linguist who practiced "normal science", and Samuel Gili Gaya and Emilio Alarcos Llorach as the linguists who introduced the "change of paradigm".

I will have a short look at the phonology which was produced in other parts of Europe in the very beginning of the 20th century, which provided the background for the work of Navarro Tomás, Gili Gaya and Alarcos Llorach.

RITUALIZING RESPONSIBILITY FOR THE EARTH

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Robert Booth Fowler, in *The Greening of American Protestantism*, suggests that Christian congregations are the key place to look for concrete actions to address environmental degradation. This paper analyzes three Protestant congregations: Church of the Covenant in Boston, Massachusetts, a federated United Church of Christ/ Presbyterian Church [USA] congregation; First Congregational Church (United Church of Christ) of Sonoma, California; and Montclair Presbyterian Church in Oakland, California.

The paper applies three of the six analytical dimensions in Ninian Smart's *Worldviews: Crosscultural Explorations of Human Beliefs* (ethical, doctrinal, and ritual), to the worship practice and lifestyle commitments of these three congregations as related to their care for the earth. What concrete changes have members made in their individual and congregational lives to "step more lightly on the earth"? What theological/doctrinal understanding of the Creator and the created world do those ethical actions imply? What ritual practices in the congregations solidify their ethical commitments?

The paper concludes by considering how the earth-focused ethical stances and worship practices of these churches fit into the larger movement of looking to the world's religions for inspiration, hope, and assistance in addressing the monumental environmental challenges of our time.

The Other Sister: Catharine E. Beecher's Argument for Better Domestic Design

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The Other Sister: Catharine E. Beecher's Argument for Better Domestic Design

Abstract

The precursor to today's self-help books, nineteenth-century domestic manuals such as the prolific writer Catharine Beecher's on home design and home economics, A Treatise on Domestic Economy (1841) *A Treatise on Domestic Economy, for the use of Young Ladies At Home, and At School* (1841), and The American Woman's Home (1869) are discourses on domestic duties and their value in society. In the end they are all handbooks for the achievement of an intangible - the Christian home - by very tangible means - clean floors and proper ventilation. The woman of the house, by her own toils and indirectly by her supervision of the servants, determines the moral character of the home. Although mainly aimed at the perfection of the interior, many domestic manuals of the time also offered advice on the location and construction of the ideal home at the demise of the "Architect"; "Owing to the ignorance of architects, house builders and men in general, they have been building school houses, dwelling houses, churches and colleges with the most absurd and senseless contrivances for ventilation, and all from not apply this simple principle of science."...

Catherine Beecher's famous sister, Harriet, may have sparked some of the ideas presented, but did not actually contribute to the work of writing this book. Catherine was a childless, unmarried, middle-class woman, whose great tragedy was that her fiancé was lost at sea before they were married. She was an intellectual who lived in a time when women were severely constrained by domestic drudgery. She strived to ennoble women's traditional role through education: "It is the aim of this volume to elevate both the honor and the remuneration of all employments that sustain the many difficult and varied duties of the family state, and thus to render each department of woman's profession as much desired and respected as are the most honored professions of men."

There is a great deal of moralizing in this book, about lifestyle, Christian charity, care of children and servants, and so forth. In this, Catharine Beecher was a product of her century. Some feminist critique would call the… "Female authority in the home"...a "cult of female domesticity", but maybe…"the wise woman buildeth her house". There is a great deal of moralizing, about lifestyle, Christian charity, care of children and servants, and so forth. In this, Catharine Beecher was a product of her century. Yet some of the observations are surprisingly astute, even for today's readers.

Great Expectations: Creating The Digital Grand Tour

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Great Expectations: Creating The Digital Grand Tour

Since the travels of Vitruvius and his subsequent writing of the ten books of architecture, the Grand Tour has had a profound effect on architectural design pedagogy. Beginning in the late sixteenth century, it became fashionable for young aristocrats to visit Paris, Venice, Florence, and above all Rome, as the culmination of their classical education. Thus was born the idea of the Grand Tour, a practice which introduced Englishmen, Germans, Scandinavians, and also Americans to the art and culture of France and Italy for the next 300 years. Travel was arduous and costly throughout the period, possible only for a privileged class—the same that produced gentleman scientists, authors, antiquaries, and patrons of the arts.

The Grand Tourist was typically a young man with a thorough grounding in Greek and Latin literature as well as some leisure time, some means, and some interest in art. The German traveler Johann Joachim Winckelmann pioneered the field of art history with his comprehensive study of Greek and Roman sculpture; he was portrayed by his friend Anton Raphael Mengs at the beginning of his long residence in Rome. Most Grand Tourists, however, stayed for briefer periods and set out with less scholarly intentions, accompanied by a teacher or guardian, and expected to return home with souvenirs of their travels as well as an understanding of art and architecture.

London was a frequent starting point for Grand Tourists, and Paris a compulsory destination; many traveled to the Netherlands, some to Switzerland and Germany, and a very few adventurers to Spain, Greece, or Turkey. The essential place to visit, however, was Italy. The British traveler Charles Thompson speaks for many Grand Tourists when in 1744 he describes himself as "being impatiently desirous of viewing a country so famous in history, which once gave laws to the world; which is at present the greatest school of music and painting, contains the noblest productions of statuary and architecture, and abounds with cabinets of rarities, and collections of all kinds of antiquities." Within Italy, the great focus was Rome, whose ancient ruins and more recent achievements were shown to every Grand Tourist. Panini's *Ancient Rome* and *Modern Rome* represent the sights most prized, including celebrated Greco-Roman statues and views of famous ruins, fountains, and churches. Since there were few museums anywhere in Europe before the close of the eighteenth century, Grand Tourists often saw paintings and sculptures by gaining admission to private collections, and many were eager to acquire examples of Greco-Roman and Italian art for their own collections. In England, where architecture was increasingly seen as an aristocratic pursuit, noblemen often applied what they learned from the villas of Palladio in the Veneto and the evocative ruins of Rome to their own country houses and gardens.

Many artists benefited from the patronage of Grand Tourists eager to procure mementos of their travels. Pompeo Batoni painted portraits of aristocrats in Rome surrounded by classical staffage, and many travelers bought Giovanni Battista Piranesi's prints of Roman views, including ancient structures like the Colosseum, and more recent monuments like the Piazza del Popolo, the dazzling Baroque entryway to Rome. Some Grand Tourists invited artists from home to accompany them throughout their travels, making views specific to their own itineraries; the British artist Richard Wilson, for example, made drawings of Italian places while traveling with the earl of Dartmouth in the mid-eighteenth century.

This paper represents two modes of communication relative to the pedagogy. First is the communication directed to the young designers of the enrichment to be found through the structured tour. Second is the communication created by the young designers, to themselves and others, of the experience of the tour by capturing of images and recording attendant notes. *Le petit grand tour d' architecture* endeavored to be the structure of experience that would allow both modes of communication to be successful.

Historically, the typical Grand Tour participant would carry a blank sketchbook, pen, other drawing tools, and a desire to develop an understanding through seeing and recording. As these young students traveled from culture to culture and experienced the sights, sounds, smells, and feel of the culture, profound changes occurred. This metamorphosis is noted in work from notables ranging from Corbu to Kahn. *Le*

petit grand tour d' architecture (the little grand tour of architecture) held many expectations of helping students in achieving such a metamorphosis. In an effort to first assist and then to record the change, the directors carried two laptop computers, a digital camera, image manipulation software, and a plan for internet linkage to communicate the adventure.

There was little that could be considered unique in the planning of relative to the first *Le petit grand tour d' architecture* communication mode. Enrichment within a structured tour is practiced by many schools of architecture by including touring as part of their pedagogy. For the communication mode, the uniqueness of the little grand tour of architecture was inspired by the communication used in a project conducted within the discipline of archeology. Recently, researchers and graduate students in archeology struck out on mountain bikes on a tour of ancient Mayan architecture. Wishing to communicate their activities, they chose technology. The project, called "Maya Quest," linked secondary schools within the United States to the team during their visits to the sites and ruins via satellite. While the little grand tour wished to replicate this communication as we made our way from St. Paul's Corinthian columns to the birthplace of Apollo and the columnar orders at the sacred tree of Delos, we lacked the venture capital of Apple and Rockwell made available to Maya Quest researchers. Instead, we used the resources we could muster, our own available capabilities, a large set of assumptions, and a naivete' reserved for fools and faculty. The digital guru Nicholas Negroponte said "Connecting around the globe is a black art." We found a certain truth to his assessment.

Did the little grand tour succeed in being a part of the "Bill Gatesian" cyberspace known to all as the www? Did "our way" of conducting the tour accomplish what Corbu said about his own travels to the East relative to graphic communication? Did the students discover their own realization of Corbu's pronouncement that, "The reason for drawing is to interiorize something that one has seen, to make it part of one's own personal history. Once things have been absorbed by means of the pencil they remain inside me for one life; they are written indelibly, inscribed?" The core of this paper is about the successes and failures of the seven expeditions of the little grand tour of architecture in light of these questions.

Diocletian's Palace: Ruskin's Stones Preserved

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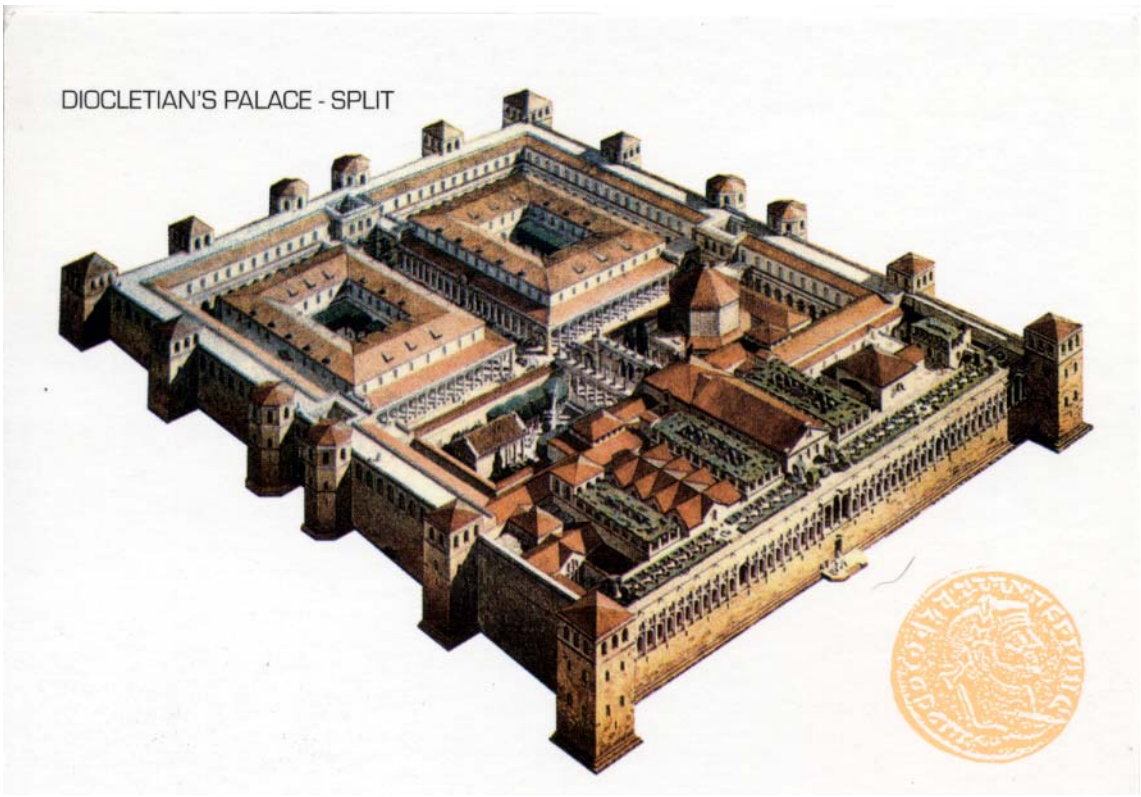
Abstract

My purpose in this paper is to bring attention to one of the best preserved and used pieces of classical architecture, Diocletian's Palace in Split, presenting it as an embodiment, both good and bad, of John Ruskin's architectural ideal and reminding the audience that Croatia, a part of the world that only recently concluded a bloody and destructive civil war, has recovered enough to make visiting its architectural heritage possible again. My methodology is straight-forward: through research and firsthand investigation, I am attempting to show a nexus between this wonderful building, the Imperial Roman culture it signifies, the great Victorian who valued architectural history so highly, and the terrifying violence that this part of the former Yugoslavia has survived in recent years.



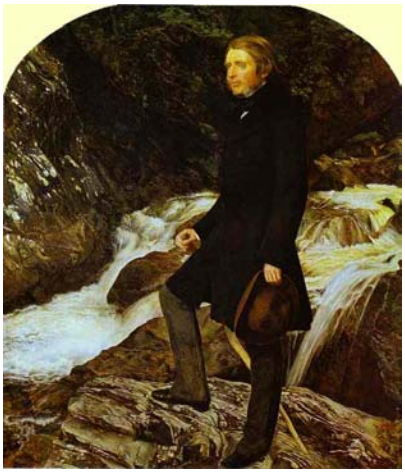
Diocletian's Palace & coin bearing his face (postcard)

Introduction

Part history lesson, part travelogue, part political commentary, my paper will discuss the architectural and cultural significance of Diocletian's Palace in Croatia. First, I will put the emperor's enormous luxury home in the context of its time and our own, connecting it with the eternal dream of happy Golden Years that leads to retirement communities in Florida for the lucky and nursing homes for those elders with indifferent children. Next, I will connect the spirit of the building with the philosophy of John Ruskin, the Victorian sage who argued, in "The Stones of Venice" and "On the Opening Of the Crystal Palace," that architecture embodies morality, that an appreciation of the past is essential to maintaining a vibrant and forward-looking culture. Finally, I will contrast the splendor of that Imperial Roman palace with the ruin made of Yugoslavia in its recent civil war, showing that, despite the grim events that the Croatians and their neighbors endured in the past decade, the building embodies an unbowed zeal for life.

John Ruskin, the Ethical Exponent

One would be hard-pressed to find two men more different than John Ruskin and the Emperor Diocletian, separated as they were not just by millennia but by class, experience and philosophy: Diocletian the iron-willed world ruler, sitting astride the greatest power of his age; Ruskin, the timid, ascetic intellectual, protected by the warm embrace of a greater yet more democratized world power, the British Empire. Still, to better appreciate the longevity and significance of this Roman ruin, a brief review of Ruskin's reputation and his role as advocate for architecture is in order.



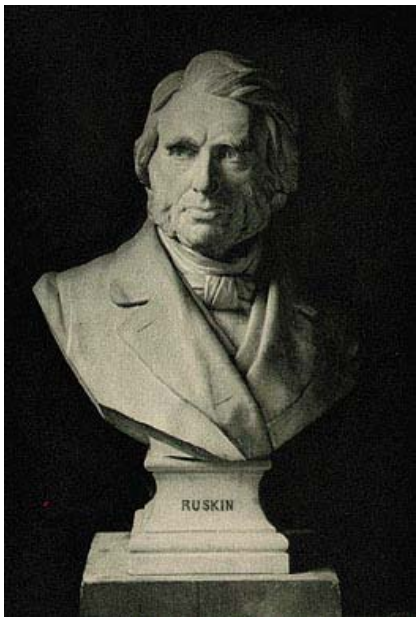
Sir John Everett Millais, *John Ruskin* (1854)

Amongst its many accomplishments, the Victorian era produced some of the great modern thinkers, a core group of whom are now known collectively as the Victorian sages. Personifying the term "sage" usually involves conjuring up an image of a bearded hermit, a Merlin or Nessus, who has fathomed life's myriad complexities and will share his accumulated knowledge with those who seek his advice most determinedly. Victorian sages like Carlyle, Arnold, Eliot, and Ruskin fit this archetype somewhat, though retooled for a more modern episteme. However, rather than speak to an enlightened few disciples, they addressed an entire nation, Britain. Further, their ideas were not limited to the exotic or metaphysical, as those of some mountaintop ascetic might be; rather, they held opinions on all aspects of culture, from art to architecture, from economics to education, opinions which were heeded by both fellow intellectuals and average middle-class people alike. Such mass acceptance distinguishes these sages from more conventional philosophers, as the ideas of the latter tend to become widely known and accepted over a period of many years, while those of the former achieved considerable recognition and popularity in a much briefer time, reflective of the accelerated era in which they lived and of a cultural shift away from the stability of traditional ideas and, consequently, towards intellectual tolerance and experimentation.

Of the Victorian sages, John Ruskin had perhaps the most intellectual influence and is the most stereotypically Victorian, -- next to the great queen herself. His wide-ranging and voluminous writings have had considerable impact on Western thought, both in his own time and on into the present. If any of the Victorians actually lived a life closest to the seclusion and asceticism of the stereotypical sage, it was Ruskin. Raised by zealously religious parents, he led a sheltered childhood, schooled at home and isolated from other youths. Nonetheless, his parents' business travels exposed him to much of European culture, which combined with his extensive home reading to make him a highly educated and literate man. As modern critics, gossip-hungry and iconoclastic, have gleefully observed, his two romantic failures demonstrate his likely asexuality; he had a brief "white" marriage to Effie Gray and, after that, an unrequited passion for the nubile Rose La Touche. That latter romance in particular fits the cliché of the celibate sage; one recalls the unconsummated marriage of Casaubon and Dorothea in George Eliot's Middlemarch or the impotent desire Merlin feels for Keri in Mary Stewart's The Crystal Cave, her fictional account of the legendary wise man's life.

Ruskin's first impact on Victorian culture -- his greatest for his time, in fact-- was his status as an art critic. He rehabilitated John Turner in the first volume of his Modern Painters (1843), which set the tone for his later art-related works such as The Stones of Venice and "The Opening of the Crystal Palace" by insisting on the moral function of art, an attitude well received by the stoic, upright Victorians. Ruskin's interest in labor and economics eventually led him away from the safety of art criticism to attack the economic system then in practice, a move that alienated many of his followers, as shown by the hostile reception for such works as "Unto This Last" and "Munera Pulveris," essays in which Ruskin was openly critical of industrial society, the bourgeoisie who funded it (and profited from it), and the modern art that it inspired. He

maintained his credibility as a connoisseur of art, but few let him step out of his boundaries to accept him as a sociologist (perhaps anticipating our Noam Chomsky, whose attempts to use linguistics as an avenue to social criticism were equally rebuffed). However, while Ruskin's economic and class theories went mostly unappreciated at the time, they would later come to some fruition in the soon-to-be established British Labour Party. Ruskin's impact, in fact, may be stronger now than in his day. We remember his art criticism, to be sure, but we value his ethical arguments and the very chemistry of his writing more. In poetic, richly emotive language, Ruskin communicated ideas that are as relevant now as when he made them: the preservation of traditions, the value of high goals, and the need for a more integrated and rewarding economic and social order.



Bust of Ruskin, Edward Boehm, 1880

To give a nod to a failed ideology, one needn't be a Marxist or brandish the Little Red Book to appreciate the sense of Ruskin's ideas, even in our post-Cold War world where capitalism triumphant appears to have left the ideals of utopian egalitarianism in the dust. His own words from Modern Painters argue his case the best: "Government and co-operation are in

all things the Laws of Life; Anarchy and competition the Laws of Death." If we want to maintain (or develop, rather) a stable yet satisfied culture, we must break away from traditionally capitalist, worker-eating economics and move towards the more cooperative "Christian socialism" that he advocated, one of fair pay and responsible leadership. His philosophy had its adherents even then; the naturalist T.H. Huxley, Ruskin's junior contemporary (and mentor to H.G. Wells, another advocate for socialism), espoused a Ruskinian position in his call for a life governed by an "ethical process," a spirit of cooperation to counter the natural process of jungle law and evolutionary competition posited by his mentor, Charles Darwin. Even if, given his asexual nature and Evangelical upbringing, Ruskin may well have found our hedonistic modern culture intolerable, he would have argued rightly that his ethical philosophies could never be more needed nowadays, in a world split more and more into rich and poor, ruler and ruled.

One of Ruskin's great strengths was his ability to convey many levels of meaning, particularly ethical and moral concepts, in his writing. "Crystal Palace" demonstrates this resonance in particular, with its initial attack on extensive architectural renovation extending into a plea for cultural preservation in general. The Stones of Venice achieves a similar yet deeper effect; initially a defense of Gothic architecture, it conveys major ethical arguments, such as its warning not to sacrifice substance for superficial perfection, or its three rules for successful labor, that which will satisfy its workman yet produce exclusively useful goods. This awareness of synthesis, of life's interconnectedness, is not his exclusively -- Carlyle showed it in perhaps a greater way -- but Ruskin's potent language enables him to capture and define it more effectively, and it has enabled his work to maintain its relevancy even when the ephemeral issues that he raises have become obsolete.

Gaius Aurelius Valerius Diocletianus

Diocletian, who ruled from 284 to 305 CE, is most remembered now as the Roman emperor who persecuted the early Christians, a fitting referent, perhaps, for the conservative Christian society that America is becoming. Of course, we should appreciate his reaction against an alien religion and worldview; he was god-emperor, after all, and the upstart theology that his wife Prisca embraced and his successor Constantine would legitimize was still directly threatening. His religious edicts are not the province of this paper; nonetheless, Diocletian was no mere tyrant, no Nero or Caligula, and it is worth considering how he came to spend his last years in contented retirement on those sunny Adriatic shores.

Diocletian was the consummate organizer; his bureaucratic reforms and division of power within the Empire helped reinvigorate it before the start of its slow decline. Diocletian eventually chose to relinquish the throne, devolving it to his handpicked successor Maximianus by putting into effect the Tetrarchy, a four-ruler system of his own devising that, through its super-compact oligarchy, was meant serve the Empire by ending violent struggle for accession; as those above retired, the lower rulers would move up the ladder from *Caesares* to *Augusti*.

Bust of Diocletian

The Tetrarchy, column sculpture, St. Mark's, Venice

It is worth noting that in the century before Diocletian, Rome had an almost rotating throne, the Military Anarchy, with new emperors every couple of years, on average. Sadly, the tetrarchy would barely survive its first implementation; Maximianus, who also retired, soon urged the throne once again on Diocletian, whose refusal – he was too content with retirement's simple pleasures such as gardening – led eventually to the ascension of Constantius, whose son Constantine would himself, a generation later, be perhaps Rome's greatest ruler.

In the present day some have compared Diocletian to the dictators of the 20th century, but very few of them ever retired from power, either dying in office (Stalin, Franco, Mobuto) or being ousted or extinguished by coup, war, or political upheaval Duvalier, Pinochet, Hitler). Diocletian anticipated more the ex-Presidents club by being a respected and, for his time, legitimate leader who activated a formal transfer mechanism that maintained the political order of his state. Of course, even the greatest democratic leaders cannot compare their retirement to that of Diocletian; Monticello or Kennebunkport pales against what his retirement palace represented at that time. Diocletian returned to his native Dalmatia to build a vast, self-contained complex on the Adriatic coast in what is now modern Split.[1] Diocletian made his choice wisely, building on a sun-drenched Mediterranean coastline studded with grape vines and olive groves and fed by the riches of the warm blue sea and the Roman Empire's shipping lanes that criss-crossed what was then the world highway. Fittingly, the building is described in glowing terms (yet also with a backwards jab at Diocletian's successor) by Edward Gibbon in his Decline & Fall of the Roman Empire:

> Though Constantine, from a very obvious prejudice, affects to mention the palace of Diocletian with contempt, yet one of their successors, who could only see it in a neglected and mutilated state, celebrates its magnificence in terms of the highest admiration .... The form was quadrangular, flanked by sixteen towers ... The

[1] A corruption of Spalato, the site's original name, which could mean "Little palace," from the Latin *palatium*, though the etymology is contested.

> whole was constructed of a beautiful free-stone, extracted from the neighbouring quarries of Trau, or Tragutium, and very little inferior to marble itself. Four streets, intersecting each other at right angles, divided the several parts of this great edifice, and the approach to the principal apartment was from a very stately entrance, which is still called the Golden Gate. The approach was terminated by a peristylium of granite columns, on the one side of which we discover the square temple of Aesculapius, on the other the octagon temple of Jupiter....The range of principal apartments was protected towards the south-west by a portico five hundred and seventeen feet long, which must have formed a very noble and delightful walk, when the beauties of painting and sculpture were added to those of the prospect. (135-6)

Here in the Western World, at least, we take it for granted nowadays that, with good luck and a few shrewd investments, we can hang up our work gloves at the end of fifty years and still hope for a decade or two of relaxation. Many are not that lucky, of course, but at least the possibility is there of enjoying one's Golden Years, and we forget that retirement was once the dream of only the healthiest and wealthiest, a luxury that few would live to see. Diocletian, at the zenith of what was then the world's greatest power, was certainly one of those privileged few. He would die a contented old man, though his heirs would not be so lucky; his wife and daughter Valeria were eventually arrested and executed -- perhaps for their Christianity, perhaps for their political connections -- by a later Caesar, Licinius.

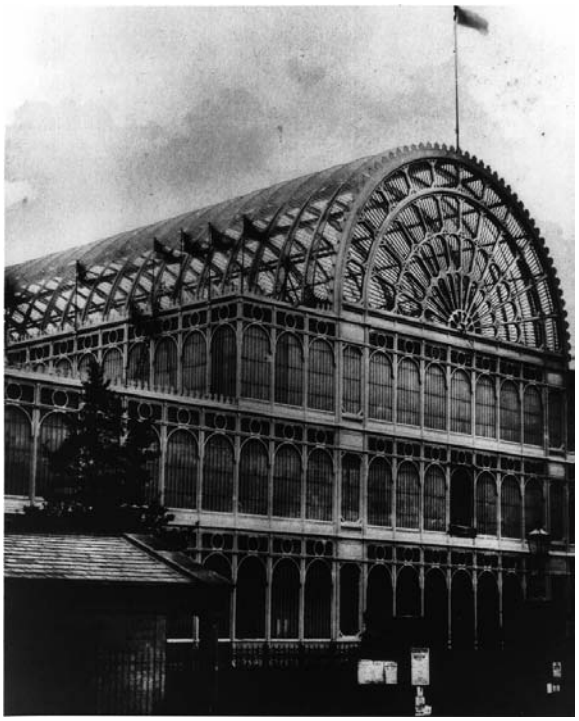
After Diocletian's death, the Empire would reach greater heights under Constantine, but within a century, it would weaken and fragment, with outlying regions overrun by newer tribal and national powers. Though the vast palace had housed a succession of noblemen after its original occupant passed away, in the 7th century the Romanized population from the town of Epidaurus moved in to escape attacks from local raiders, converting the palace from a single private residence to a miniature walled city. From that time on, the palace has been permanently inhabited, a larger city gradually growing over and around it in the following millennium. By modern times, the palace had become a complete city block, and a thousand years of

architectural styles now comingle within those massive walls, with shops and apartments filling in the vast interior and a church, the Cathedral of St. Domnius, springing up out of the mausoleum of the Emperor and his wife. A tomb birthing a house of worship makes an effective metaphor of the Palace's vitality: rather than crumbling into runs, dismantled and collapsed as so much classical architecture is, it has not died with its namesake but become more and more alive with each successive century.

Ruskin and the Crystal Palace

In his essay "The Opening of the Crystal Palace," Ruskin uses his reflections on that garish edifice, built by Sir Joseph Paxton in 1851 to display the products of Victorian Britain's surging economy, as a springboard to argue passionately for the careful preservation of the aging great buildings of Europe. To Ruskin's probable delight, had he lived to see it, the Crystal Palace burnt down in 1936, yet his critique of a general slavish attitude towards the new, and a zeal for remodeling and rebuilding the old, has never gone out of date and is particularly applicable towards the Roman *vestiges* addressed in this essay.

Appalled by the spate of renovation being carried out by over-zealous architects and image-conscious civic leaders, whose methods involved considerable demolishing and substitution, Ruskin promotes in this essay a more reserved sense of maintenance. Rather than extensive replication, Ruskin recommends minimal repair, only enough to keep the buildings standing safely. Neither unessential reconstruction nor cosmetic work should be done, he feels, because any grafting of new materials onto the weathered stones of the original structures will inherently fail, as it is impossible "to reproduce the mutilated sculpture of past ages in its original beauty" (Ruskin 721).


Crystal Palace at Hyde Park, 1851

Ruskin reveals his real intentions subtly at first, by mocking fickle public tastes. He notes that the fans of the Crystal Palace (an enormously popular destination for locals and tourists alike during its lifetime) flock to praise its simplistic design, forgetting outright the great architectural styles that they have exalted in the past. As he puts it, "we have vaunted the divinity of the Greek ideal--we have plumed ourselves on the purity of our Italian tastes . . . and behold the end! Our taste is dazzled . . . by the lustre of a few panes of glass" (720). This leads him into a more serious point, that technical ingenuity does not equate with artistic sensibility, and that "largeness of dimension does not necessarily involve nobility of design" (720). Ironically, this otherwise wry observation, that could well be heeded in modern urban architecture, is undercut by Diocletian's Palace, whose dimensions are imposing yet successful. Ruskin argues that those such as Samuel Laing (a contemporary of his who revered the Palace and its displays) have been blinded by its glare to its underlying artlessness, and by becoming misled by contemporary gimmickry, by being beguiled into considering speed or flash as being

art, they permit the "renovation" Ruskin abhors and, thereby, take the first step towards forgetting their history. They are the sort who will admire "the paltry arts of our fashionable luxury" (a particularly acerbic and effective assessment) while significant artistic works -- those of Turner and the Venetian masters--are forgotten and left to decay (721). Here, as we shall see, Diocletian's vast ruin, despite the seeming paradox of its ongoing rebuilding, is treated as Ruskin would wish such buildings to be: remembered, maintained, but unrestored.

Ruskin justifies worrying about Europe's monuments entirely, yet his ideas suggest a greater concern for culture than merely protecting its storehouses. Beyond calling simply for cautious architectural preservation, Ruskin is warning that humanity needs to guard all aspects of its culture, that we must avoid assuming that the classics and the works of the Renaissance can be replaced by the greater ideas of modern science and philosophy. Our attitude towards great buildings is really just the manifestation of our greater ignorance, Ruskin warns: if we destroy our accumulated culture in the mistaken belief that it is obsolete, we destroy our history, our sense of where we have come from, and become rootless and purposeless in the process. One wishes that this view had been heeded by the architects of the Middle Ages who had constantly remodeled and rebuilt the interior of Diocletian's Palace's, but the relatively untouched exterior keeps the building's spirit intact.

Our societal tendency to ignore substance in favor of sophomoric flamboyance leads Ruskin to make his crucial main observation, that of our culture's irreplaceability. Responding to Bulteau's intention to "reproduce with mathematical exactness," Ruskin cites Chartres and Melrose Abbey as priceless buildings that none would consent to have demolished and replaced by sturdier replicas. "Would a thoughtful nation," he wonders, ". . . ask its architects to provide for it facsimiles of the temples which for centuries have given joy to its saints, comfort to its

mourners, and strength to its chivalry?" (723). He stresses that such works could never be replicated, because even if scrupulous architects and sufficiently skilled workman were hired, they couldn't mimic "the feeling, intention, and information of the freemasons of the thirteenth century" (722). No one can recreate the original passions and motivations of artists; if we believe that we can, we void our culture of its amassed worth, for it becomes temporary rather than timeless, fashion rather than vision. Furthermore, if we hold to such a view of art, we must, by necessity, allow artists and artisans to do such duplication, and we risk their taking license in the process. By being continually modernized and adapted, Diocletian's Palace was spared such restoration; changing tastes would have made its interior an anachronism, but its massive solidity prevented it being demolished outright.

Camille Pissaro, *The Crystal Palace* (1871)

Ruskin is aware of ancient architecture's unpopularity amongst many Europeans, noting that its "solemn aspect rebuk[es] frivolity and chasten[s] gaiety" (723). A copyist may not like a particular aspect of his assigned original and so may simply leave it out entirely. Ruskin cites

some restorations to the Rouen Cathedral that he knows to be falsified, as he once made detailed drawings of the now-restored area and can see what was left out of the new construction. Such deception is intolerable, even insulting, to Ruskin, and the public's acceptance of that sort of renovation, which he feels "consists of insulting their fathers with forgetfulness, and surrounding their children with temptation," amazes him (723).

One also wonders at the capacity for censorship in those involved in such work. Might not they choose to alter a great painting, sculpture, or literary title of which they disapprove? We have seen it happen in our own time, with forgeries and Internet spoofs and, more terribly, with Hitler's propagandists and Stalin's revisionist historians. Even the Bible has been mistranslated -- deliberately, some argue -- in its lingual journey from Hebrew through Greek and Latin into English. And what of John Ashcroft, draping permanently the half-naked Spirit of Justice at his department headquarters, so prurient and suggestive did he appear to find the jutting metal breasts of Carl Paul Jennewein's sculpture. If we allow any unnecessary replication of our culture's manifestations, we undermine our own historic foundations and open the door to all manner of revisionist attack.

From this appreciation of our culture's sacredness and irreplacability, Ruskin arrives at a perception of where the renovators will lead us. He predicts that after such renovation is completed, "when all the monuments . . . have been crushed by the energies of the new world," (724), the Europeans shall live in modern yet facile comfort, but he wonders if they will thank the architects who brought them there. Envisioning "the proud nations of the twentieth century [surveying] the plains of Europe, disencumbered of their memorial marbles," he doubts that they- "the new-born population of a world without a record and without a ruin" -- will feel triumphant to be without the warnings and reminders of their past, "freed of the paralysis of precedent and

the entanglement of memory" (724). He seems to be prophesying the generic suburbia of America.

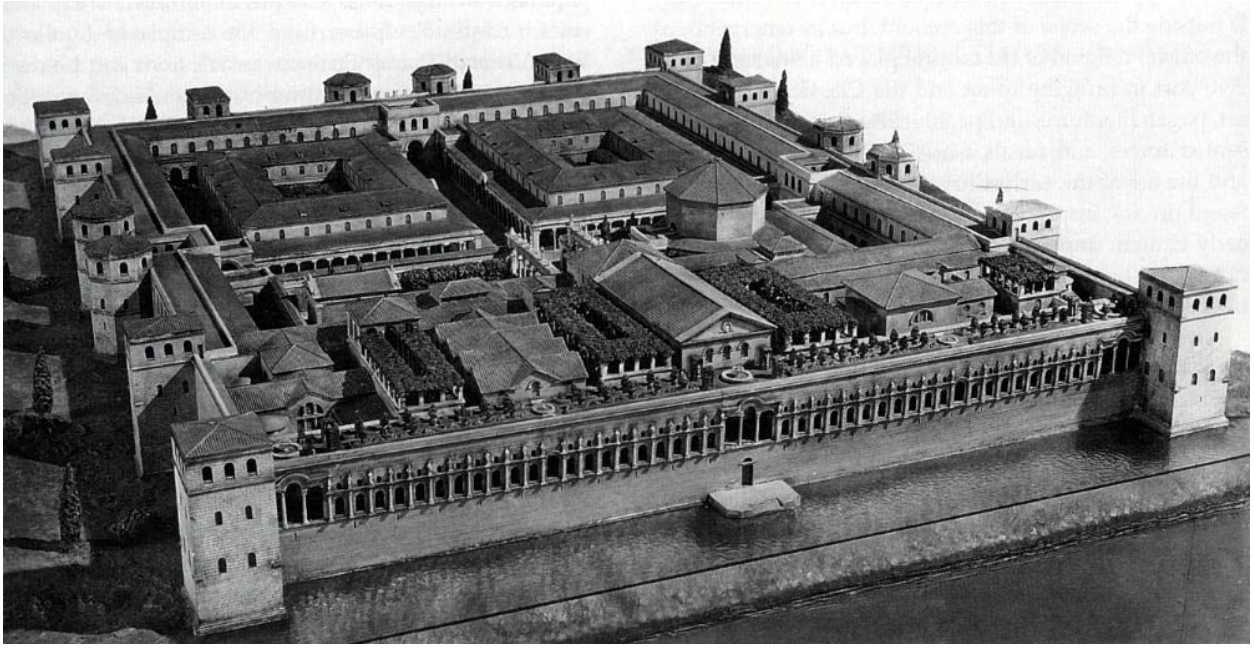
Returning to his theme of our culture's priceless quality, he then makes another prediction, that if reconstruction continues, future intellectuals and art connoisseurs will have little to appreciate except the depth of present mistakes. Studying imitations will inform us of only one thing clearly, Ruskin feels, that "architecture and painting can be "restored" when the dead can be raised -- and not till then" (724). Ruskin does not refuse or oppose the development of modern architecture. He simply holds that no good purpose is served by demolishing or even adapting the old to better suit the new. The world has ample room for kitsch and whitewash; as he says, "Is America not wide enough for the elasticies of our humanity?" (724). Again, he appears amazingly prescient observation, given that in the century and a half since he last wrote, many of the nation's historic buildings and neighborhoods have been demolished to make space for condo complexes and shopping malls.

Ruskin hopes that others feel the way he does, but he realizes that most people only acknowledge a problem when physically confronted with it. "Most of us," he states, "never thoroughly feel the evils which are not actually set before our eyes" (724). He hopes that his proposed preservation society (the blueprint, in some ways, for Britain's present National Trust) will remedy that ignorance, by rallying together aware and concerned individuals who would invest their funds and acquire those monuments in danger of destruction or renovation. It is imperative we act on his advice, he says, because the attack on our culture has already begun. If we fall into the trap of the Age of Reason, that the old is worthless in the face of the new, we resign ourselves to a future without roots or memories, without a cultural base from which to build. We can achieve much greatness with our present ideas and leader, he believes, but not

even the greatest leader "can ever print again upon the sands of time the effaced footsteps of departed generations, or gather together from the dust the stones which had been stamped with the spirit of our ancestors" (725).

Diocletian and the Spalato Palace

Though Ruskin sneered at the Crystal Palace with its glamour of modernity, he might well, had he chanced to visit, come eventually to admire a palace that crowned the glory of an earlier empire. However, if there is a building that might appear to most offend Ruskin and fly in the face of his proposed architectural standards, it is Diocletian's retirement palace, not because of its state of dilapidation but rather of restoration. Ruskin objected to any attempts at restoration or alteration of old buildings and monuments so, it would seem, would have objected to the modifications done to the venerable Roman construction. In truth, the palace models his position in both senses: he might well find its modifications bad but its spirit good. Ruskin's philosophy was not one of static preservation; rather, his objections were in the attempt to portray a restored or modified edifice as equivalent to or somehow better than the original, with such modern construction removing the authenticity of the original. Nevertheless, this is not how Diocletian's palace has changed; the modifications are now as much a part of the building's structure and themselves model a range of successive architectural styles, from Gothic through Renaissance to Baroque. Moreover, they were made without any attempt to maintain the original, yet its general outlines remain, as does, more important, its purpose of protective accommodation. Further, its size and relatively intact state make it, along with perhaps the Pantheon in Rome, one of the few classical constructions in decent enough repair that we can see their design and intended appearance in the flesh, as it were, without resorting to dated references or conjecture.

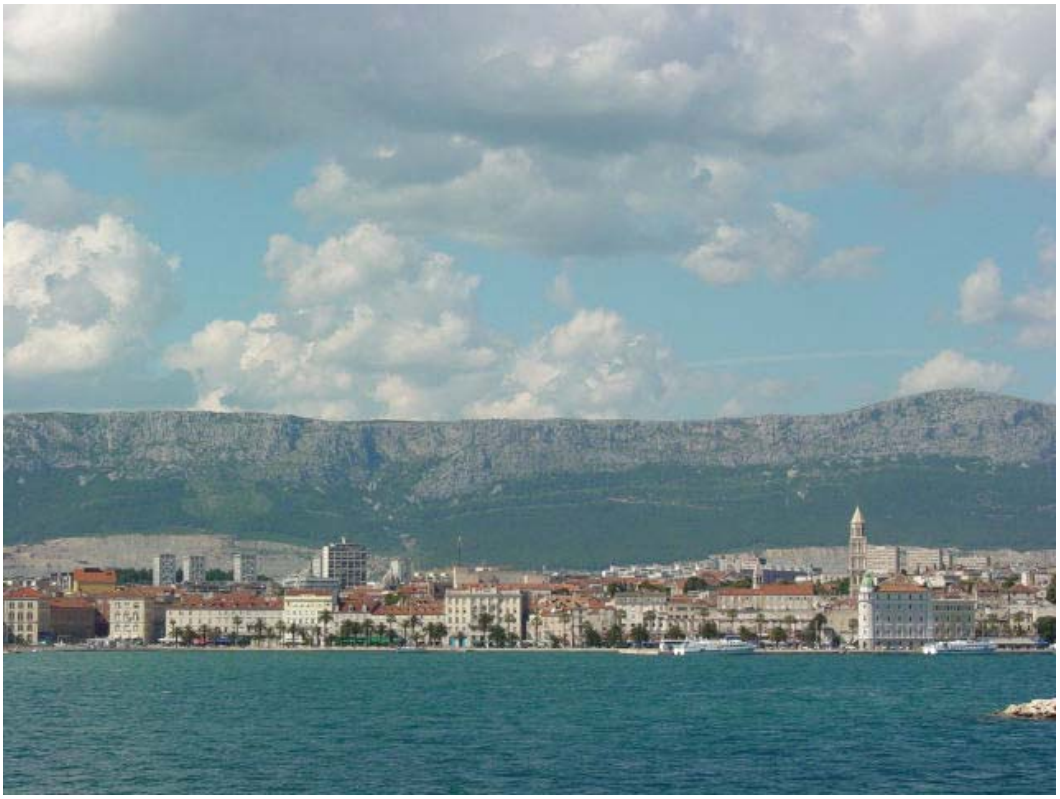


Diocletian's Palace (reconstruction). Ernest Hebrard, 1911

Therein lies its magic and its unexpected legacy; the Palace, now a World Heritage site and the home to 3000 people in the 220 buildings within its walls, is the most alive, functional work of classical architecture in existence. Even the Coliseum in Rome gets only occasional use as an amphitheatre and more serves merely as a huge *glorieta* or roundabout, while other such monuments and antique buildings as the Pyramids or even the Taj Mahal are imposing tombs with no practical function in the modern world. Unlike them, the palace is vital and alive. Its formidable walled appearance once hid many lovely gardens and luxurious apartments, and traces of them remain. Those, along with the Roman brickwork, make the entire city block a medieval city noticeably different than the neighboring Dubrovnik, for example. The palace walls and towers form a durable exterior for later interiors, while the four gates, named after precious metals and set at the compass points, recreate the configurations of a standard Roman military camp. They now provide quick access to the surrounding neighborhoods of Split, the modern city that most resembles Marseille, a similarly crowded, grimy port with as much graffiti

and as long a history. Tourists can descend into the Palace's subterranean rooms, many empty but even now used for occasional social events, and visit the central aisle filled with booths selling tourist trinkets, an echo of a Roman marketplace. The Palace plaza, with innumerable side alleys and apartments decorated with arches and porticos, shows that the Roman past is not dead. Diocletian intended this place to be his final resting place but, a rarity among such edifices, it has become instead a central neighborhood of a thriving modern city.

Therefore, it embodies the quality that Ruskin, writing from a more recent imperial past, defended. He argued that our cavalier attitude towards repairing old buildings, and our tendency to demolish rather than preserve, cut us loose from our past and leaves us rootless. Ironically, his position is both opposed and validated by the circumstances of the palace. Certainly, it hasn't been maintained in its original form; over centuries, locals have rebuilt large sections of the interior, adding buttresses and inner walls. What matters is that Diocletian provided the superstructure to be filled in by 1500 years of further history. Also, the rooms in the basement section have been preserved for archeologists to explore, and occasional artifacts and treasures are still unearthed there. Thus it models in the most physical sense Ruskin's position that we need to keep connected to our past if we wish to maintain a vital and coherent culture. The city may have modified the building but they use it, they cherish it – further evidence of Diocletian's unexpected legacy, his living monument. He was a nobleman, a ruler of the highest rank, yet, with no small irony, his luxurious house is now the workplace and the residence of the *hoi polloi*.



Split skyline. Photo by Adam Jones[2]

I was lucky enough to spend July 2004 visiting the Adriatic coast, with stops at Mlet, Vis, Dubrovnik, and Split, the latter on the itinerary specifically for a visit to the palace. I discovered that the best way to first view the building is from the sea, as many tourists do when arriving at the city by one of the many ferry lines that ply the island-studded coastline. The palace was built on the waterfront, its colonnaded southern side once serviced by a small landing dock. The water has receded over the centuries, leaving a 100-meter strip now filled with cafes and a main road around the harbor front, but the building's imposing presence is undiminished. Its dimensions are substantial, as Michael Greenhalgh notes with precision:

> The ground-plan is a trapezoid, with the south (sea) side (157.5 meters) endowed with a splendid balcony but only a small gate. The longer walls are on the east (191.25m) and west (192.10m) sides and these, together with the closing wall to

[2] Diocletian's Palace occupies the right-hand stretch of harbor front, just behind the green-turreted building in the foreground. The spire of the Cathedral of St.Domnius, built over Diocletian's mausoleum, is particularly prominent.

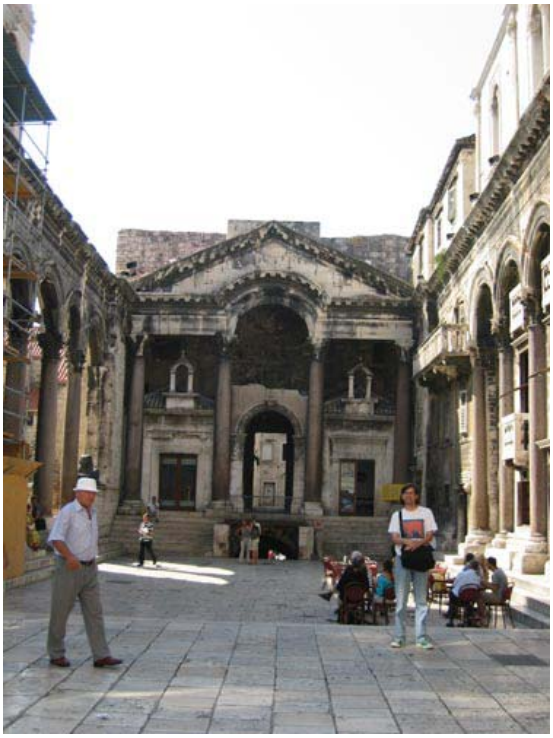
> the north (150.9m) have impressive gates. The walls are some 17m in height, and 2m thick, and are largely intact, with square towers at the corners and on the long sides, and fancier octagonal ones flanking all the landward gates.

Robert Adam, *Ruins of the Palace of the Emperor Diocletian* (1764). Harbor front photo by Michael Greenhalgh.

Much is gone, of course, as Greenhalgh dutifully records: the aqueduct that carried necessary water, for human use and for the many fountains, was demolished long ago, though it has since been partially restored, and the colonnades, which would have provided a cloistered yet refreshing view of the sea, are long since filled in, though their outline can be seen in places behind the row of more recent buildings that were built in front of them to house waterfront shops and cafes. The old port gate now provides the quickest entrance to the bowels of the building with its lengthy central arcade of tourist stands. Down there, the cellars have been recently cleared of hundreds of years' worth of rubbish, and the dim but imposing open areas give a sense of what the upper levels must have been like before waves of rebuilding altered them forever. Some are occasionally used for public functions, but all are open for public exploration. Following them through, a visitor will emerge at the steps leading up in the plaza, where the ruined temple stands, flanked by Diocletian's mausoleum, now retooled as the Cathedral of St. Domnius. The interior still retains the elaborate walls mosaic portraits of the Emperor and Prisca, as well as 24 ornate (if entirely ornamental) Corinthian columns that, in

truth, provide no actual support for the domed roof. The cathedral belfry is a later addition but visitors with a stout heart and no fear of heights would do well to ascend its narrow staircase for a fine view of the sea, the town, and the palace grounds. Seen from this perspective, one can best appreciate how Diocletian's meticulous layout has blossomed into the hodge-podge of architectural history now housed within its walls.

Palace interior from the Cathedral spire. Photo by the author



Temple of Jupiter. Photo by Chelsea.

From the central plaza that houses the still impressive Temple of Jupiter, alleys and streets paved with marble -- lovely to look at but lethal after a summer rain -- shoot off in several directions. As with most smaller European towns that have retained their historic architecture, they are charming but also jarring, with neon signs and cell-phone advertisements decorating shop windows set in walls that stood there when slaves and temple maidens walked the streets. I experienced this odd dislocation while using an Internet café there; the room was filled with state-of-the-art computing equipment but the entrance to the space itself was a Roman arch,

chipped but solid, that modeled a much earlier technology indeed. One exits through the Golden Gate to see the immense statue of Gregorius of Nin, by the great Croatian sculptor Ivan Mestrovic. A WW II and Cold War refugee, Mestrovic lived out his later years in America as an arts professor at Syracuse and Notre Dame universities, but his international reputation, and perhaps his fiercely partisan activities as a youth, helped maintain his credibility at home during the Communist years that followed. Despite Marshall Tito's entreaties to return, Mestrovic chose to remain in the United States, but throughout Croatia, especially Split, can now be found museums and individual examples of his work, one being the vast statue of Gregorius, a10th century Croat bishop and patriot whose representation here now serves as the town mascot.

Ivan Mestrovic, *Gregorius of Nin*. Photo by the author's wife Jennifer.

Conclusion: Empire's End

That Cold War reminder brings out the final element of the Palace's charm: its representation of human endurance as something eternal. In 1991, during the fallout from that last great imperial collapse, the end of the Soviet Union, the peoples of the former Yugoslav republics turned on each other with a vengeance, destroying the infrastructure of a modern state as well as much of a long-standing historical record. Though former Serb strongman Slobodan Milosevic bears ultimate responsibility for that chaos, and has most of the blood on his hands, the cause can be traced back to Tito, who believed too much in a one-party state and went to his grave certain that his Federation was secure, with the lack of established provisions for peaceful separation leading instead to fratricidal destruction. He now seems a latter-day Diocletian, wielding absolute authority for what he considered the best interests of the State yet withdrawing from power in the final years of life (doomed by mortal illness, in his case), his death and retirement preceding a power struggle and eventual collapse of empire.

Traveling throughout Croatia, one is reminded of the terrible tragedy of what are now called the Wars of Yugoslav Succession; walls bear random shell holes and bullet marks, placards denounce "Serb barbarism," and museums, such as the one in Dubrovnik, are given over to simply cataloging the fallen. There is also a striking absence of thirty-something men; everyone is either younger or older, as if a whole generation has simply disappeared. And there is no forgiveness, either; guidebooks warn travelers that the locals blame the Serbs, the Serbs blame the Croats and the Bosnians, and no one is budging, now or ever. The West's impression of Yugoslavia was already tainted by Cold War images of tower blocks, Zil limousines and endless parades, by Ian Fleming and John Le Carre, and that stereotype found no improvement after the bloody collapse of Tito's federation; our newer take on the region is one of mass graves,

"ethnic cleansing" and the endless siege of Sarajevo.

Josef Tito

Despite the gray chill of Serbia and Bosnia, however, a good part of the former Yugoslavia is smack on the Mediterranean. The tourist industry of the Adriatic, for years the seaside of the Warsaw Pact, was decimated and lost billions when its beaches and forests became a war zone. Luckily, throughout occupations and shelling along the coast and attacks on its industrial zones, Split was spared damage to its old city. Unlike the unfortunate Mostar bridge or the colorful tiles of Dubrovnik, Diocletian's Palace was untouched, protecting its residents just as it had 1200 years before, when the accelerating disintegration of the Roman Empire led to local anarchy and violence. The war ended in 1995, and now, its instigators dead, on trial, or on the run, the region is safely open to tourists once more. Given the utter waste -- of life, of *matériel*, of international respect -- that this national disintegration achieved, the genocidal combatants of ex-Yugoslavia would have been better off practicing John Ruskin's philosophy of Christian socialism and peaceful cooperation. At least Diocletian's Palace has survived, a model of Ruskin's architectural ideals and an unbroken connection to a nobler imperial past.

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Decorative sphinx imported from Egyptian by Diocletian. Photo by Adam Jones.

Title of Submission: ***Why Digital Photography Never Happened***
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This essay profiles and clarifies the intents and functions of the photographic and digital image. While both have a past and a future, neither can take the place of the other. In essence a digital photograph is not a photograph. That is why digital photography never happened. Calling the photograph "digital" happened. If this seems too simple, then it needs to be. Cameras and computers give us images. One is photographic and the other is digital. Thus there are but two separate and distinct categories under which we now point and click: digital imagery and photographic imagery. One converts silver, one sprays ink, one lives longer, one fades faster, one gets wet, one stays dry, one acts actual, one acts virtual, one compresses light, one expands light, and most critically- they're made differently. Thus their dissimilar identities and structures naturally conflict. If their properties defy each other, why then is the photograph called digital? While the answer that question seeks is multi-faceted, there are ways to focus on the presence and co-existence of these two types of imagery.

The computer leads us to the digital image and the camera leads us to the photographic one. Each machine has a different intent. However, to understand intent we must first look at history. Which came first- the computer or the photograph? An answer to that question requires a review of the following criterial definitions: *Computer-* An (electronic) device that accepts, processes, stores, and outputs data at high speeds according to programmed instructions. *Digit-* A system that represents a number in any number system. It could be a system between 0-255 as it is with the popular RGB color scale or 0-100 as it is with the popular grayscale. *Photograph-* A picture or likeness recorded on a camera and reproduced on a photosensitive substrate. *Digital Image-* The binary discontinuous compression of a continuous image into an algorithmic map of quantifiable numbers.

While the 150th anniversary of photography was celebrated in 1989, the 159th was celebrated for the computer. Although it may seem oblique, the popular computer model used today precedes the photographic one by 9 years. Charles Babbage introduced automated computation before Daguerre introduced photography. In that context, the photographic darkroom print may become more appreciable than the digital inkjet print. Perhaps this is due to photography's greater demand for manual handcrafted labor. If something appreciates, then it grows in value. Many artists mistake their industry's technological growth for their own creative growth. Yet upgrades in technology often downgrade creativity and few artists use that technology responsibly.

Photographic and digital imagery both have futures. To what degree those futures prosper is solely up to the communities who use them. It is the challenge of this generation to protect, preserve, appreciate, and advance each one. Photography is being identified in ways that

contradict its intent and history. This false identity should cause concern. In conjunction with the accompanying image projections and outline below, one should meditate on the nature and rich history of these oppositional identities. Digital artists work with the virtual and photographic artists work with the actual. These divergent practices affect the artist, their work, and their audience in ways that polarize the digital image from the photographic. Each process requires a different kind of attention. Digital images stimulate viewers to think virtually while photographic images stimulate them to think actually. Can actual be more trusted than virtual? In that answer may be the reasons for one's own approach to viewing these differing mediums. Neither process shadows nor echoes the other. "Digital" is not better than photography. "Digital" is different than photography. Acknowledgment of their differences and histories may guarantee their futures.

While two of the greatest pioneers in the early fields of computers and photography worked closely together, neither knew the other would leave us with such systemic use of their contributions. Sir John Herschel and Charles Babbage were close colleagues and personal friends whose collective work left us with the photographic and digital image-making options used today. This makes their relationship as valid as their legacies and contributions, which are further identified in the accompanying multimedia presentation. Through their research one may better gauge their own responsibility in historicizing, defining, and creating future digital and/or photographic imagery. Theirs is a legacy worth advancement and preservation.

Title: The Good Earth: Zoroastrian, Hindu, and Judeo-Chrisitan Traditions

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Abstract: This essay is a comparative study of how three different religious traditions—Zoroastrian, Hindu, and Judeo-Christian—provide a foundation for environmentalism. Any religious or philosophical tradition that posits some form of transcendental *weltanschauung* has a tendency to dualism—a dualism between a transcendental realm and an immanent one. This dualism in turn provides a ground for an invidious comparison between the two realms. A more extreme form of this comparison may be found at the religious level in Zurvanism. In the Zurvanistic *weltanschauung*, Ahriman controls the immanent domain—the world as we know it. Thus, this world is a world of evil, not good. This is at variance with classical Zoroastrianism that holds that this world is a battleground in which good and evil mix. I will endeavor to show that the traditions of both Judeo-Christianity and Hinduism have resisted the tendencies of a dualism that privileges a moral devaluation of the imminent domain. Thus, all three traditions provide a space in which the value of the immanent is elevated and theological grounds are given for the stewardship of the earth and its inhabitants.

The Good Earth: Zoroastrian, Hindu, and Judeo-Christian Traditions

This essay is a comparative study of how three different religious traditions—the Zoroastrian, Hindu, and Judeo-Christian—provide a foundation for environmentalism. Any religious or philosophical tradition that posits some form of transcendental *weltanschauung* has a tendency to dualism—a dualism between a transcendental realm and an immanent one. Such a dualism provides in turn a ground for an invidious comparison between the two realms.

This comparison can be done at a number of levels. For example, at the philosophical level, Plato posits a transcendental realm of the forms (είδη or ιδέαι) that are the most real entities while those things in the immanent realm are at best pale imitations participating in some mysterious way in the forms. A more extreme form of this comparison may be found at the religious level in Zurvanism. Zurvanism was a heterodox movement within Zoroastrianism that postulated that the twin gods of good and evil, Ahura Mazda and Angra Mainyu, respectively, must have a father, and that father was Zurvan, the Avestan term for 'time.' In the Zurvanistic *weltanschauung*, Ahriman (the Pavlavi for the Gathic Avestan, Angra Mainyu) controls the immanent domain—the world as we know it. Thus, this world is a world of evil, not good. This is at variance with classical Zoroastrianism that holds that this world is a battleground in which good and evil mix. I will endeavor to show that the traditions of both Judeo-Christianity and Hinduism have resisted the tendencies of a dualism that privileges a moral devaluation of the imminent domain. Thus, all these traditions provide a space in which the value of the immanent is elevated and theological grounds are given for the stewardship of the earth and its inhabitants.

I. Zoroastrianism and Dualism

There is much scholarly disagreement about Zoroastrianism (Nigosian 18). Scholars cannot even agree about the dates for the founding prophet of Zoroastrianism, Zarathustra. Nor are they able to agree about the fundamental nature of his teaching. For example, some scholars argue that Zarathustra taught a pure dualism (Henning 45-6). Others argue that his teaching was monotheistic (Zaehner, *Dawn* 179). Another argues that his teaching was both dualistic and monotheistic (Boyce, *Zoroastrians* 19-20). There are many reasons for these disagreements. The *Avesta*, the basic scripture of Zoroastrianism, is fragmentary and written in an alphabet inadequate to the purpose. The *Avesta* is written in two dialects: Gathic Avestan and Younger Avestan. Because this is the only work written in these dialects, the language itself is incompletely understood (Boyce, *Sources* 1). The philologist must do comparative studies of the Avestanic dialects with the closely related Old Vedic and Sanskrit just to get at some of the semantic values of the words. The Achaemenid inscriptions that preserve some of our knowledge of early Zoroastrianism are written in yet another dialect—Old Persian. The documents and inscriptions of the Sassanid period are written in again another dialect—Pahlavi or Middle Persian. Our knowledge of the inter-empire period comes primarily from Greek documents after Alexander the Great (356-323 B.C.) overthrew Darius III (d. 330 B.C.) and conquered the Achaemenid Empire (550-330 B.C.). After the Arabic Muslims overthrew the Sassanid Empire (A.D. 226-640), the sources are in Arabic. The list of languages just seems to go on. This in itself is sufficient to limit the number of investigators in the field. This in turn makes it more difficult to reach consensus about even basic matters.

Be that as it may, whatever Zarathustra's initial reformist teachings may have been, Zoroastrianism developed into a moral dualism (Zaehner, *Dawn* 178). This was in part due to the influence of the Magi, the members of the Persian priestly class paralleled in Indian culture by the Brahmans. According to Zaehner's interpretation, Zarathustra taught that Ahura Mazda (GAv., the Wise Lord) created both Spenta Mainyu (GAv., Holy Spirit) and Angra Mainyu (GAv., Evil or Hostile Spirit) (Zaehner, *Dawn* 179). The two were given the choice between good and evil, and their names indicate their choices. Later, as the religion developed, Spenta Mainyu came to be identified as a quality of Ahura Mazda. This left a pure dualism between two spiritual beings—Ahura Mazda and Angra Mainyu. Such a development should not be unexpected given the wording of one of the great *Yasnas* or Gathic hymns of the *Avesta* composed by Zarathustra himself.

> In the beginning the two Spirits who are the well-endowed twins were known as the one good, the other evil, in thought, word, and deed. Between them the wise chose rightly, not so the fools. And when these Spirits met, they established in the beginning life and death, that in the end the followers of the Lie should meet with the worst existence, but the followers of Truth with the Best Mind (*Yasna* 30.3-4; quoted in Zaehner, *Dawn* 179; a considerably different translation may be found in Boyce, *Sources* 35).

These two spirits came to be known by their more familiar Pahlavi names Ohrmazd and Ahriman. According to the oldest Avestic texts, Ahura Mazda or Ohrmazd created both *menog* (Phl., spirit; GAv. *mainyu*) and *getig* (Phl., matter; GAv. *gaethya*). According to Boyce, "The getig existence is better than the previous menog one, for in it Ahura

Mazda's perfect creation received the added good of solid and sentient form" (*Zoroastrians* 25). Thus, the dualism of Zoroastrianism is purely a moral dualism that results from the radically free choices of spiritual and later materially composed beings such as man. There is no assertion of a metaphysico-ethical dualism between spirit and matter. However, the mature dualism of the Zoroastrianism of this great empire must have had important influences not only within Persian culture, but without. We must be cautious here because in most cases we do not have the historical evidence to establish causal connections between Persian dualism and the various dualisms that arose later in the ancient world. Fortunately, Georg Widengren has demonstrated the influence of Zoroastrian ideas on the origins of Gnosticism (87-114). Kurt Rudolph's subsequent research has reinforced the effect of this Zoroastrian influence on Gnosticism (282-3).

One of the most interesting Zoroastrian heresies arose during the Achaemenid Empire. This was Zurvanism (Zaehner, *Zurvan* 1971). We have no information about who originated this theory; it may have been a group of Magi (Boyce, *Zoroastrians* 67-8). It is often difficult to determine Zurvanistic doctrine because, as a heresy, most of their writings have not survived. We often have to turn to extra-Persian sources for our information. The early Zurvanites seemed to have contemplated the above quoted Yasna and reasoned that if the two spirits are twins, then they must have had a father. That father was Zurvan or "time" personified (Boyce, *Zoroastrians* 67-8). One of clearest references to this sect is preserved by Theopompus of Chios (4th cent. B.C.). "According to the Magians, for three thousand years alternately the one god will dominate the other and be dominated, and that for another three thousand years they will fight and make war, until one smashes up the domain of the other. In the end Hades shall perish and men

shall be happy" (Plutarch 370B-C, quoted in Boyce, *Sources* 96-7). Theopompus' account accords nicely with the later anti-Zurvanite polemics of Christian writers. Zaehner conveniently summarizes the Zurvanite mythology attacked by these polemicists (*Dawn* 207-208). According to the myth, even though the earth was created by Orhmazd and is thus good, Zurvan, in accordance with a previous promise, gives dominion over the earth for a long period of time to Ahriman. Thus, the earth is ruled by the very personification of evil. So, the battleground between good and evil is no longer the earth but between the celestial and the terrestrial.

Although Zurvanism arose during the late Achaemenid Period, it flourished during the Sassanian Period. This was particularly true during the reign of Shapur I (ruled A.D. 241-72). Shapur I was responsible for consolidating the newly established Persian Empire and even succeeded in capturing the Roman Emperor Valentinian. Shapur also helped to reestablish Zoroastrianism as the official state religion. However, he also practiced a fairly high degree of religious toleration. When Mani proclaimed himself a prophet in A.D. 242, Shapur I favorably received his teachings. Mani even presented Shapur with his book *Shahbuhragan* (*Book Dedicated to Shapur*). Mani was allowed to preach throughout the Persian Empire and even carried his message to India where he converted the king of Turan. It was not until Bahram II succeeded his father Shapur, that Kartir the chief Zoroastrian priest was able to consolidate his power and have Mani arrested, tried, and executed in A.D. 276 (Nigosian 33-6).

Mani transformed the moral dualism of Zoroastrianism and its even more pronounced form in Zurvanism into an ontological dualism of matter and spirit in which matter is considered evil and spirit good (Rudolph 283). Despite the death of Mani, his

message spread not only through the Sassanian Empire but the Roman as well. The ground for Mani's dualistic doctrine had already been laid by the growth of Gnosticism in its various forms. Manichaeism was finally suppressed in the Sassanian Empire by the early part of the sixth century (Rudolph 331). Zurvanism continued to survive even after the Arab conquest until it eventually disappeared in the tenth century (Boyce, *Sources* 96). Other religious traditions would have to have considerable resources to resist the ontological dualism of Gnosticism particularly as it was reinforced by the powerful influence of Manichaeism.

II. The Hindu Tradition

In the Tamil version of the *Ramayana*, Kamban relates the tale of Thataka as follows.

> Viswamithra resumed his journey at dawn and reached a desert region at midday. The mere expression "desert" hardly conveys the absolute aridity of this land. Under a relentless sun, all vegetation had dried and turned to dust, stone and rock crumbled into powdery sand, which lay in vast dunes, stretching away to the horizon. Here every inch was scorched and dry and hot beyond imagination. The ground was cracked and split, exposing enormous fissures everywhere. The distinction between dawn, noon, and evening did not exist here, as the sun seemed to stay overhead and burn the earth without moving. Bleached bones lay where animals had perished, including those of monstrous serpents with jaws open in deadly thirst; into these enormous jaws had rushed…elephants desperately

> seeking shade, all dead and fossilized, the serpent and the elephant alike. Heat haze rose and singed the very heavens (*Ramayana* 11).

Rama, as you might expect, is appalled at the scene. He inquires of the Sage Viswamithra, his mentor, "Why is this land so terrible? Why does it does it seem accursed?" Viswamithra then tells Rama the story of the woman Thataka.

> You will learn the answer if you listen to this story—of a woman fierce, ruthless, eating and digesting all living creatures, possessing the strength of a thousand mad elephants. The woman I speak of was the daughter of Suketha, a *yaksha*, a demigod of great valour, might, and purity. She was beautiful and full of wild energy. When she grew up she was married to a chieftain named Sunda. Two sons were born to them—Mareecha and Subahu—who were endowed with enormous supernatural powers in addition to physical strength; and in their conceit and exuberance they laid waste their surroundings. Their father, delighted at their pranks and infected by their mood, joined in their activities. He pulled out ancient trees by their roots and flung them about, and he slaughtered all creatures that came his way. This depredation came to the notice of the great savant Agasthya…. [He] had his hermitage in this forest, and when he noticed the destruction around, he cursed the perpetrator of this deed and Sundra fell dead. When his wife learned of his death, she and her sons stormed in, roaring revenge on the saint. He met their challenge by cursing them. "Since you are destroyers of life, may you become *asuras* and dwell in the nether worlds." (Till now they had been demigods. Now they were

> degraded to demonhood.) The three at once underwent a transformation; their features and stature became forbidding, and their natures changed to match (*Ramayana* 11-12).

According to the canons of *formgeschichte*, we have in this tale a classic example of an etiological myth. The story explains how the place encountered by the sage Viswamithra and his charges, the hero Rama and his brother Lakshmana, came to be so desolated. And like many myths embedded in sacred scriptures, the story reveals certain fundamental values of the religious tradition of which those myths are an expression. The earth—along with the things living upon it, whether flora or fauna—is good. The destruction of the earth and its inhabitants is an evil, even when committed by *yakshas* or demigods. Here the perpetrators of this hubristic violence are reduced to *asuras* or demons for their foul deeds. Furthermore, the malefactors are given both the appearances and natures suitable to their actions. Now, a narrative form may have more than one function. Clearly this form not only accounts for the desertification of the land, but it has a didactic function as well. The future for those who mistreat the earth does not bode well. It behooves those who contemplate such actions to forbear them.

The *Ramayana* is one of the two great Sanskrit epics and belongs to a large body of scriptural literature known by Hindus as *smriti*. The *smriti* is that scripture composed by humans but based on tradition, so it has the status of secondary revelation (Flood 36). Both the *Ramayana* and the epic *Mahabharata* are thought to belong to the oldest layer of the *smriti* tradition—a tradition that dates back to 500 B.C. But what of the support for this tradition? Here we must turn to those texts that constitute the *sruti*.

The *sruti* is another large body of Hindu, or more properly Vedic, literature that was revealed deep in the hearts of certain select *rsis* or sages. This body of literature is primary revelation and thus has primary authority. The oldest layer of this tradition is to be found in the *Rig Veda Samhita*. The composition of the *Rig Veda* is dated by current scholarship to have begun around 1500 B.C. The work is a collection of hymns devoted primarily to the various Vedic gods. One in particular is to be chanted to the gods Sky and Earth.

1 Sky and earth, these two who are good for everyone, hold the Order and bear the poet of space [the Sun]. Between the two goddesses [the Sky and the Earth], the two bowls that give birth [to the Sun] magnificently, the pure sun god moves according to the laws of nature.

2 Wide and roomy, strong and inexhaustible, the father and mother protect the universe. The two world-halves are as bold as two wonderful girls when their father dresses them in shapes and colours.

3 The son of these parents, their clever charioteer with the power to make things clear, purifies the universe by magic. From the dappled milk-cow and the bull with good seed, every day he milks the milk that is his seed.

4 Most artful of the artful gods, he [Tvastri, the creator] gave birth to the two world-halves that are good for everyone. He measured apart the two realms of space with his power of inspiration and fixed them in place with undecaying pillars.

> 5 Sky and earth, you mighty pair whose praises we have sung, grant us great fame and high sovereignty, by which we may extend our rule over the peoples forever. Give us enormous force (*Rig Veda* 1.160).

This passage is very clear—the universe which consists of the celestial and the terrestrial is good. The epithetical phrase "good for everyone" is repeated twice. This hymn amply illustrates the belief in the goodness of the world that is embedded in the oldest tradition of the vast corpus of Hindu scripture. This ancient belief provided a strong theological tradition that then came to expressed in a more popular form 1,000 years later when the great Indian epics began to be composed. The *Ramayana* along with the *Mahabharata* continue to be the favorite scriptures of modern Hindus through various versions translated into modern vernacular languages of India. Thus, the tradition of the goodness of the earth has an unbroken tradition in Hinduism extending back 3,500 years and more.

III. The Judeo-Christian Tradition

This tradition is, of course, more familiar to us; so, I shall be brief. We need look no further than the first book of the *Tanakh* to get the Hebrew view of the value of the world. In the Priestly (P) source tradition that begins the Bere'shit or Genesis of the *Torah*, we get the first creation story. Interestingly, the story is reminiscent of the Hindu hymn. "In the beginning God created heaven and earth…." Thus, as in the Hindu hymn, the two world-halves—sky and earth—are created. As the process of creation unfolds, God "sees" that his creation is "tov" or good. First, God creates light and sees that it is good. Second, God gathers the waters into the sea and the dry land appears "and God saw that this was good." Third, God creates the flora upon the earth "and God saw that this was good." Fourth, God creates the sun, moon, and stars "and God saw that this was

good." Fifth, God creates the birds and sea creatures "and saw that this was good." Sixth, God creates the land creatures "and saw that it was good." Seventh, God creates humanity "and God saw all that He had made, and found it very good." Clearly, like the passage in the *Rig Veda*, this passage in the Bere'shit is an etiological myth articulating, in addition, a didactic purpose that is both theological and axiological. As Father Lawrence Boadt states, "But on another level, P works out a wider theology built around the *goodness* of God's creation" (113).

How this notion of the goodness of creation was developed in the orthodox Christian tradition is well exemplified in the work of Saint Thomas Aquinas. In the *Summa Theologiae*, Saint Thomas writes,

> Certain heretics maintain that visible things are not created by the good God, but by an evil principle…. But this position is altogether untenable. For, if things that differ agree in some point, there must be some cause for that agreement, since things diverse in nature cannot be united of themselves. Hence whenever in different things some one thing common to all is found, it must be that these different things receive that one thing from some one cause, as different bodies that are hot receive their heat from fire. But being is found to be common to all things, however otherwise different. There must, therefore, be one principle of being from which all things in whatever way existing have their being, whether they are invisible and spiritual, or visible and corporeal (1a, 65, 1, *in corpore*).

Saint Thomas strengthens his argument in his reply to the second objection.

> Corporeal creatures according to their nature are good, though this good is not universal, but partial and limited, the consequence of which is a certain opposition of contrary qualities, though each quality is good in itself. To those, however, who estimate things, not by the nature thereof, but by the good they themselves can derive therefrom, everything which is harmful to themselves seems simply evil. For they do not reflect that what is in some way injurious to one person, to another is beneficial, and that even to themselves the same thing may be evil in some respects, but good in others. And this could not be, if bodies were essentially evil and harmful (ST 1a, 65, 1, *ad* 2.).

Here Saint Thomas articulates philosophical reasons that are grounded in the orthodox religious tradition for rejecting the sort of dualism characteristic of the heterodox teachings of Zurvanism, Gnosticism, and Manichaeism.

IV. Conclusion

Both the Judeo-Christian and Hindu religious traditions have at their very basis a fundamental privileging of the value of the material world. As we have seen, this is also true of the orthodox Zoroastrian tradition. In all three cases, the goodness of the created world is derived from the goodness of the creator of that world. This doctrine provided the orthodox of those traditions the tool with which to resist those who would devalue the imminent domain with an ontological and moral dualism. This same doctrine provides the grounds for an interfaith dialogue concerning our moral responsibility to care for and to protect the earth—the goodness of God's creation.

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Running head: COGNITIVE COMPLEXITY AND NONVERBAL PERCEPTIBILITY.

Cognitive Complexity and Nonverbal Perceptibility

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Abstract

Cognitive complexity has been linked to many different aspects of human development including psychology, communication, and sociology. In our study we connect the idea of cognitive complexity with the concept of nonverbal communication. Although previous studies have been conducted linking cognitive complexity and nonverbal communication (e.g. Domangue, 1977; Woods, 1996), we feel that the research conducted was somewhat inconclusive as to determining whether there was a relationship and the strength of the relationship between cognitive complexity and nonverbal communication. Thus, by using two of the most widely reliable methods of measurement (Role Category Questionnaire & Profile of Nonverbal Sensitivity test) findings showed significance that higher levels of cognitive complexity led to increased ability to decode nonverbal communication cues.

Communication is a very important aspect of our everyday lives, if not *the* most important. Yet, there has never been an absolute, reliable way to judge how people should or will react in response to certain stimuli. It can be assumed that a person that has more social constructs or a broader, more open view of the world will be able to communicate better in any given situation. As most people know, nonverbal communication makes up for a majority of our communication behaviors and in most situations will send a stronger message versus a verbal statement (Warfield, 2001; L'Abate & Bagarossi, 1993). So the problem with these two variables is, "How well does a person with a certain social construct respond to a message sent through a nonverbal source?" Our research aims to focus on the way an individual's cognitive constructs affect the decoding process.

Cognitive Complexity and Nonverbal Perceptibility

Confirming and further defining the relationship between cognitive complexity and nonverbal perceptibility is important because with tested and valid information on the relationship between the aforementioned variables, occupational managers, specifically public relations managers, will be able to implement more effective communication programs within their organizations. Thus, educating others on how cognitive complexity and nonverbal perceptibility effects general communication, assistance is provided for individuals to understand how to better communicate with key publics.

Conceptualization

In everyday life individuals communicate constantly by encoding and decoding messages. The messages sent and received may vary in the amount of nonverbal cues used due to an individual's level of cognitive encoding and decoding abilities. This is known as information processing ability which is best defined by cognitive complexity (Betty & Payne, 1984). Cognitive complexity is how an individual differentiates and integrates an event (Streufert & Swezey, 1986). An individual's cognitive function is defined by the use of how many constructs relate to one another (high) or the use of few constructs with little relationship to one another (low) (Rauterberg, 1992).

The level of cognitive complexity plays a major role in the type of people that an individual attracts. Individuals of high complexity are attracted to each other and to less complex people, whereas individuals of low complexity are attracted only to each other (Streufert & Swezey, 1986). When high and low complexity individuals are compared on communication ability, high complexity individuals are more effective at communication dependant tasks (Streufert & Swezey, 1986).

Past research has noted the there is a relationship between gender and cognitive complexity, in which males and females differed in a ratio of high to low. It is noted that females overall are more cognitively complex then males. Saying so, females were more likely to produce more cognitively complex messages (Woods, 1998). Thus, gender is found to be a predictor of cognitive complexity.

It is assumed, for an individual to increase his or her cognitive abilities he or she must increase their level of social interaction (Samter, Burleson, & Basden-Murphy, 1989). According to McMahan and Stacks (1984), through the process of communication individuals with lower levels of cognitive complexity will increase there ability to communicate. Thus past research supports that an increased amount of social interaction can lead to increasing levels of cognitive complexity.

It has been estimated that sixty to seventy percent of communication is attributed to nonverbal communication (Warfield, 2001). There is a strong emphasis evident on the importance of nonverbal communication and its relationship to communication satisfaction (L'Abate & Bagarossi, 1993). They noted that nonverbal communication contributes to a message, carry more weight than verbal communication contributions to a messages when these two components conflict. Therefore, nonverbal communication is critical in understanding the complexity of creating an ideal communication situation. Nonverbal communication can be understood as the process of interpreting messages sent and received through the use of nonverbal behaviors either in conjunction with verbal behaviors or by themselves (Malandro, Barker & Barker, 1989).

Nonverbal communication is decoded throughout the entire communication experience because it either validates the communication situation in which nonverbal and verbal

communication sends out a clear message; or causes communication ambiguity, in which nonverbal and verbal communication are sending out different messages. Cognitive complexity triggers sensitivity to communication intention; evidence exists that when faced with a situation where there are inconsistencies between nonverbal and verbal messages being sent that low-complexity individuals will be less influenced by the nonverbal portion of the message (Domangue, 1977). Thus, through reasoning, one might assume that individuals with higher levels of cognitive complexity have a better ability to decode nonverbal communication cues.

Researchers have referenced gender as a variable, in showing some noticeable differences in nonverbal communication. Many researchers have consistently found that women are better at decoding nonverbal communication cues than men. In addition, research indicates that women are more efficient at decoding a variety of nonverbal cues regardless of the age or gender of the sender (Hall, 1984; Spangler, 1995).

Nonverbal communication is critical for having an effective communication situation. The better an individual is able to understand nonverbal communication complexities, the better they will be able to create an effective communication situation by accurately manipulating their communication patterns in an effort to send out the intended message in response to a stimulus. By reciprocating or compensating for behavioral differences, communicators should be able to create desirable and efficient communication situations (Ickes, 1982). There is evidence that all communication adaptation processes differ in many ways, but they all share the common characteristic that individual behaviors will be construed and responded to according to the context of the given situation (Manusov, 1995). Research studies make the assumption that individuals with a higher complexity level are prone to cater their messages to accommodate for the cognitive qualities of the message receiver (Burleson, 1987; O'Keefe & Delia, 1982).

In sum, the following hypothesis on cognitive complexity and nonverbal communication cues are proposed:

Hypothesis: Individuals with a high level of cognitive complexity will have high capabilities of decoding nonverbal communication cues.

Method

For the purposes of studying and measuring the two variables in our research (cognitive complexity and nonverbal perceptive ability) we employed the use of two previously used and reliable instruments. Cognitive complexity was measured using Crockett's Role Category Questionnaire (RCQ), and the Profile of Nonverbal Sensitivity (PONS) test was used to assess nonverbal perceptive abilities.

Respondents were given two-peer version of the RCQ. Guidelines set by Applegate (1990) were used to score the RCQ. The number of constructs from both responses was summed to create the participant's RCQ measurement on an interval level of measurement. Once the scores were summed up for each participant, they were then divided into two categories; high ($n \geq 11$) and low ($n < 11$). To measure nonverbal perceptive ability the PONS test was scored according to the questions and measurements found in the PONS test manual (Hall, 1979). Respondents watched the 40-item PONS video and answer questions on a multiple choice questionnaire. Participant scores were added and matched with their RCQ scores to assess the relationship between the two variables.

This study is a Post-Test Only design. It was chosen so because previous research involving cognitive complexity and nonverbal perceptive ability (Archer & Costanzo, 1988; Domangue, 1977) used a similar design. We feel this study intends to replicate these studies as close as possible even though other measurement instruments would be used to increase validity

of the constructs. We realize that we could have included a treatment in our study design, but decided against this in present study.

Participants. Our study focused on students currently attending University of Maryland at College Park; thus, students were not be eliminated based on any condition such as ethnic, gender, or age biases that may occur through other forms of selection. We drew on 47 participants for our study, but up to 120 students were recruited originally. All participants were selected by means of volunteers and solicitation on the basis of convenience. Potential participants were approached at several areas on the University of Maryland at College Park campus. Our sample consists of participants currently attending the University of Maryland from the undergraduate to the graduate level. Participants with nationalities from India, El Salvador, and South Korea accounted for 6.3 percent of our sample. 4.2 percent of the participants were non-native speakers. The participant's age ranged from 18 to 26.

Measures. The two measurement instruments that we have chosen to employ in our study include Crockett's Role Category Questionnaire (Crockett, 1963) to measure cognitive complexity levels, and the Profile of Nonverbal Sensitivity Test (Rosenthal, Hall, DiMatteo, Rogers, & Archer, 1976) to measure nonverbal perceptive ability. Both tests were chosen mainly for their ease of use, but also because of their reliability levels. The RCQ in particular has shown to be reliable over multiple replications (Allen & Mabry, 1990; Burleson & Applegate, 1991; Burleson & Applegate, 1990; O'Keefe & Sypher, 1981). Of the many measurement tools for cognitive complexity, the RCQ is the only one to meet all five criteria in reliability and validity tests (O'Keefe & Sypher, 1981). These five criteria include acceptable levels of test-retest reliability among adults, the measure should be significantly associated with chronological age, complexity measure should display independence, differentiation measures

should be found to be related to other indices of developed social cognition, and a complexity measure should predict theoretically relevant communicative behaviors (O'Keefe & Sypher, 1981).

The RCQ was developed (Crockett, 1965) in an effort to accurately determine an individual's cognitive complexity level. Through nearly 40 years of use, it has been, and still is the most commonly used instrument for measuring cognitive complexity levels. The two-peer version of the test consists of two free-writing-based questions requiring the participant to describe well-known peers. Participants are given five minutes to describe each person in as much detail as possible, concentrating on that person's personality. These responses are then scored according to the number of constructs used in the given response on an interval level scale of measurement.

The PONS test was developed in 1979 and measures one's ability to decode vocal qualities and body movement (Rosenthal, Archer, DiMatteo, Hall, & Rogers, 1979). The PONS test was created because scientists were interested in individual differences in determining nonverbal communication cues and they wanted to understand the variables that affected interpersonal outcomes (Hall, 1979). In the beginning stages, the test was used to test the relationship between learning abilities and the teacher's use of nonverbal communication (Rosenthal, 1976). The test used for this study is comprised of 40 items consisting of two choices for each question (for example, the participant will view a short clip of a woman's facial expression and be asked to choose whether she is admiring nature or saying a prayer). In order to select the scenes and actions that would be included in the video, the developers had observers rate the scenes among the following guidelines: ordering the scenes according to preference; scoring of scenes between 0 and 100; and rating of the encoder's behavior in three dimensions

(positive/negative, dominance, and intensity of feeling) (Hall, 1979). The PONS test questions ask that the participant decode the nonverbal behavior of the person on the videotape to the best of their abilities. The participant is given two options, and he/she is told to choose the option that best matches the actions of the person they are watching. The PONS test is a highly accurate test that allows one to test an individual's ability to perceive nonverbal communication behavior.

Procedures. To collect data participants were gathered in the Skinner building at the University of Maryland. Upon arrival of participants, they were each assigned a discriminative number track the scores of the surveys. After all participants have arrived, consent forms were distributed, filled out, and collected before the research commenced. The purpose of our study and the procedures were then explained. The RCQ was distributed and participants were administered a total of 10 minutes to complete both questions; 5 minutes per question. Upon completion of the RCQ, the forms were collected and the PONS test forms were distributed; instructions were explained before administering the test. The video was played while the participants answer the questions on the PONS test. After the completion of the PONS test the forms were collected and participants were debriefed. At this time, participants received notified that they have the right to have their responses purged and their personal information destroyed. Participants were invited to ask questions and then permitted to leave. Completion of data collection took approximately forty five minutes to an hour.

Analysis. Our hypothesis states that individuals with a high level of cognitive complexity will have high capabilities of decoding nonverbal communication cues. To test this hypothesis we computed Pearson's correlation coefficient and perform a two-tailed t-test. We found significant correlation coefficient of .32 at $p = .05$ level; the Pearson's correlation suggests significant positive correlation between two key variables. Due to unequal group sizes ($n = 18$

for high cognitive complexity & n = 28 for low cognitive complexity) equal variances are not assumed (i.e., Levene's Test for Equality of Variance). According to two tailed t-test under unequal variance assumption, it turned out that there is significant difference (*Ms* = 29.89 vs. 28.50 for high and low cognitive complexity respectively) between high and low cognitive complexity in our dependent measure, nonverbal perceptibility ($p < .05$). Findings in both analyses, Pearson's correlation coefficients and independent samples t-test, indicate our hypothesis is supported consistently.

Discussion and Conclusion

According to previous research there is a positive relationship between cognitive complexity and nonverbal perceptibility. In the present study, as consistent with prior findings, there was a moderate positive correlation between cognitive complexity and nonverbal perceptive ability. Though the study was designed to be as error free as possible; however, there are four problematic areas; time constraints, available population, design limitations, and testing instruments.

Issues with time are not usually a concern for researchers on a professional level; however we have been bound by deadlines beyond our control. With less of a time constraint there would be a greater possibility that our study could have been designed and conducted with fewer flaws. With more time, the study could have been designed to account for demographical factors and treatment methods on a multiple study basis. Population availability limited the study in terms of what colleges were accessible for participant selection. We advertised campus wide for the study; however, the majority of participants were University of Maryland College Park students, Communication majors, and seniors. This potentially affected our study because the majority of our sample population has been exposed to some prior knowledge of non-verbal

communication.

By choosing a post-test only design the research was limited. Thus we excluded any kind of treatment. Suggestions for further research include some sort of treatment i.e. learning tapes, communication education programs etc. By including a treatment in the design of future, similar research, researchers will be able to better distinguish the effects of the variables on one another.

Our research aims to focus on the way an individual's cognitive constructs effect the decoding process of nonverbal cues: e.g. "How well a person with a certain social construct responds to a message sent through a nonverbal source". The findings of this study indicate that individuals with a high level of cognitive complexity are proficient at decoding messages sent through a nonverbal source.

Of course this study investigates the relationship between cognitive complexity and nonverbal perceptibility; we stress to the community of scholars the importance of the implications of this study; the significance of the relationship between cognitive complexity and nonverbal perceptibility. By elucidating the significance findings of this study more research can be conducted to find antecedent variables cognitive complexity and nonverbal perceptibility as well as development of educational programs to increase affective communication. Future researchers should consider the other demographic variables.

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The Only Thing the World Chooses to see about her

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"The only thing the world chooses to see about her"

There is a long contemporary list of women's achievements in the United States. For example, the President's National Security Advisor is Dr. Condoleezza Rice, Annika Sorenstam had competed well in a men's professional golf tournament, a major researcher in the fight against AIDS is Dr. Mathilde Krim, and Carly Fiorina is the head of one of the leaders in technology, Hewlett-Packard. However, many people are not aware of this. Many more are aware of and have made household names of only the women who stay close to the traditional gender roles society has given them. For instance, the need of being attractive (by American standards) and of being objects of sexual desire (such as the familiar names of the Victoria Secret models like Heidi Klum) and stars that have made it in the mainstream due to their involvement in the adult entertainment industry (such as Pamela Anderson who had pictorials in *Playboy* among many other things). Due to the fact that the mainstream honors only those women who have careers and achievements that are based on their physical appearance and sexual attractiveness, inevitably keeps females at such a degraded level in society that causes misrepresentations, stereotypes, and unequal opportunities to be passed on from one generation to the next. Some will say that feminism is considered to be a thing of the past because women are thought of being equal to men today. Yet, if that were true, women would be receiving the same pay as men (at the same given job), women would be more present in the political world, women would not be labeled (such as "good girl" versus "bad girl" or "slut" versus "prude") the art women make would be considered Art and not a craft or a hobby (when applies), and so on and so on.

The objectification of women in the media both sexually and otherwise has been around since the term "media" was invented. Women have been and still are actively trying to control their own representation. Specifically, I will address those women who are making a contribution in the visual art world like the artists Judy Chicago, Catherine Opie, and Lisa Yuskavage who have all made an impact in this fight. They vary in their choice of medium as well as tackling different aspects of this issue.

Lisa Yuskavage uses the traditional medium of painting to make her statement. Her beautifully crafted painting exudes her highly achieved technical skills. Coloration, perspective, lighting, and texture are what interest her. Yet her mastered technique contrasts with her subject matter. She paints nude female figures that are highly sexualized. Is Yuskavage objectifying women? No, instead she has not taken but grabbed control of the image of the female sexualized object created by society and holds it in female hands. In so doing, she insists that the power over the female image must belong to females. Once in Yuskavage's hands, she molds the familiar pornographical, sexually wanted women into grotesque figures with enormous breasts, massive buttocks, and small waists that can not possibly support the rest of their bodies, but with half hidden, childlike and adorable faces. She had exaggerated the parts of the female body that usually are desired into something so disproportioned that they become unidentifiable and quite monstrous. To top it off, adding to the shock value and thus, making you notice her work even more so are her frank and outrageous titles such as, *Screwing Her Pussy on Straight* (1997), *Asspicking, foodeating, headshrinking, socialclimbing, motherfucking bad habits* (1996), and *Good Evening, Hamass* (1997). *Day* (1999-2000) and *Blonde Brunette and Redhead* (1995) are two of her works of art that I will be discussing.

Day is one example where the female subject wears very small, barely fitting white panties and is lifting her white tank which exposes her breasts. While lifting it she looks down at her breasts. Therefore, she calls the viewer's attention to them whether it is her intention or not. Her blond hair partially covers her young looking face which contrasts with her undeniably physically mature body. Perhaps this comments on the fact that men want innocent looking but eroticized females. The golden coloration is provided by the windows she stands in front of that lightens the room. Yuskavage realizes afterward that her painting is inspired by a Degas painting, *Nude woman standing in a bathtub* (ca.1880-85) shows a woman standing with her back faced to the viewer in front of a window. She is silhouetted but in shades of gray rather than just black. In her painting, Yuskavage uses yellow instead of gray giving the painting a soft light that unifies the figure and ground together. Both are in intimate interiors. Yuskavage's painting has even more of an impact by having a connection with a Degas who is known as a long honored male painter whom some say used female subjects in a voyeuristic and unflattering way. She even creates small maquettes, like the "old masters" such as Poussin and Tintoretto, as tools.

Traditional nude poses is combined with contemporary pornography not only in subject matter but formally as well. Her figures make the viewer uncomfortable though the equation of adult magazines such as *Playboy* or *Penthouse* is fully rendered here: open bodies, subservient attitudes, and little clothing. However, we must remember that the viewers are positioned to be at the same level as the subject. Therefore, we are not looking down on her physically or socially, but we are standing together with her. That is, we understand that a woman's sexual attributes may be, "all that the world chooses to see about her."[1] Yuskavage claims that she is with all the women in her paintings. She stands along side them in the "ditch" that society has placed all women and she is trying to "dig us out together" (Gould 10). The artist indeed uses "the gaze," but she uses it to make a comment on how these images are accepted, loved, and gobbled up by the community.

Another one of her paintings is entitled, *Blonde Brunette and Redhead* (1995). This particular work addresses the mistake of labeling women (by their physical appearance) as one dimensional beings. It is a triptych and each one resonates with a primary color (yellow, blue, and red). Each panel consists of seventy percent of one color, twenty percent of a second color, and the third and last color covers ten percent of the painting. For example, the *Blonde* panel consists of seventy percent yellow, twenty percent blue, and ten percent red. Like the title suggests, each panel consists of one female, shown from the neck up, where one redhead, one blond, and one brunette is present (Gould 16).

She comments on how labels are made about women just by their hair color. Accordingly, we can assume that the Redhead is the funny one, the Blond is the sexy one, and the Brunette is the smart one. Their expressions and poses even make this deduction clearer for us to recognize. The Redhead has a long neck that is a bit playfully twisted. Her vibrant orange-red hair is kinky, curly, very short and in a saucy bob haircut. Consequently, this hair style infers that we are to think she is playful and witty. Her face is turned up a bit suggesting she is confident. Her eyes are looking to our upper left hand side. The fuchsia-pink tinted background gives the feeling of an upbeat vivacious environment. Thus, the viewer can suppose that she is imaginative because something is on her mind or in a dream like state. The artist is addressing the stereotype that claims all redheads are thought to be quirky, fun, and humorous.

The Blonde differs in that her golden hair is long and wavy. It surrounds her face and falls down in front as if her hair is the main feature and not her. This may be the case since the archetypal desired woman has hair such as hers. We are positioned with the same level as her, she is looking straight at the viewer with her eyes squinted and lips puckered ready to kiss her onlooker whomever it may be. The grayish background reminds us of clouds, as if we were floating in the sky in a reverie. By this, we get the idea that all blondes are dreamy, sensual, sexual, and easy.

The Brunette has long, straight and stringy hair that is plainly parted in the middle. One side covers almost one half of her face so that she is peeking out at you shyly with just one eye. The other is tucked behind her ear with the help of a typical bobby pin. In her ear she has one conservative tiny little hoop earring. Her head is tilted a bit down as she slightly grins at the viewer. Unlike the Redhead who does not even notice anyone is looking at her (or rather does not care) or the Blonde who obviously knows that she is being looked at and that she is the object of desire, the Brunette does not stare back out at the person who is staring at her. Instead, she accepts the observation being made of her and notes that she acknowledges it by looking back out at (or perhaps just peeking for a moment at) the person who is looking at her. The background is of a warm yellow hue that resonates into a peaceful blue. These are colors that send out a peaceful and innocent mood just like a beautiful sunny day. From all this information, we get the idea that brunettes are smart girls who tend to be conventional, introverted, timid, reserved, naïve, and bashful. We must make note of the addition of yet another layer of interpretation due to its importance. Yuskavage uses a female of Asian descent to represent the Brunette. We understand that she is of Asian descent due to her black not brown hair, the texture of her hair, and her black slanted eyes. For that reason, the artist is yet adding another correction to this issue of labeling. One in response to the statement that claims Asian girls are stereotyped as being the smart and shy ones. With this work, the artist is trying to get the viewers to realize that when some see only the hair color of a woman, they automatically label them and prejudge all the characteristics that seem to compliment that label. This makes people guilty of believing females have a one dimensional personality. As a result, Yuskavage reminds the viewers that they must not prejudge a woman's personality just by their physical appearance.

Yuskavage has taken the male pornography, the traditional male revered technique of painting and the male constructed image of the sexually available female, reconfigured it into a bizarre state making it almost unrecognizable, and threw it back to their faces.

From the criticism of deducing women only to their physical appearance, we move to deducing women to only their society given domestic responsibilities without regard in all other fields of achievement. With her 3D art/performance art/"environmental art," our second artist, Judy Chicago confronts the issue of challenging stereotypical female gender roles in her *Womanhouse* (1974-1979) and honors female achievement in western history with her *Dinner Party* from 1971. In *Womanhouse*, Chicago (along with the Feminist Art Program at CalArts) had created "fantasy environments" at an abandoned Hollywood house addressing this female domestic role. Some of the installations are in response to the image of the women as selfless servers, as sex objects, and confronts the issue of biological stereotyping.

The *Nurturant Kitchen* exemplifies the fact that women are characterized as selflessly servicing others and are not given the luxury of thinking about themselves. Metaphorically, the pendulous breasts, that appear out of dozens of foam-molded fried eggs descends from ailing pink walls from ceiling to floor, represent the overwhelming feeling that women encounter when put in the traditional role of nurturer that must constantly "feed" others and think of their well being and not their own.

Karen LeCocq and Nancy Youdelman perform *Leah's Room* where they re-create the boudoir of an aging courtesan from *Cheri*, a novel by Colette. As Leah (they take turns with the role) the female looks at herself uneasily in the elaborate mirror sitting on her dressing table. The female continues to apply, remove, then reapply her make-up. With this act, she is trying to hide the inevitable physical signs of aging. This addresses the

fact that women are seen as sex objects. It speaks of how this insistence on physical beauty in order to be desirable for the opposite sex, disgraces women.

Faith Wilding's, *Crocheted Environment* (also known as *Womb Room*) questions the labeling of women as natural nurturers and sexual objects due to biology and not their traditionally assigned labors in the domestic world. A woman's womb, where through sexual intercourse, produces and then nurtures a child for nine months, could not be more indicative than this. An enormous womb is represented, yet it is created by crocheting. This is a domestic yet very labor-intensive craft. It is an ironic comment that women's presence and emotional well-being in the home is not due to biology but due to hard work. Another example concerning this matter of biological stereotyping is Chicago's, *Cock and Cunt* performed by Faith Wilding and Janice Lester. It is about "He" and "She" and their domestic argument. "He" wears an embellished soft-sculpture penis while "She" has a round soft-sculpture vulva (basically a dinner party plate). When asking He to help with her with the dishes he responds with, "A cock means that you don't wash dishes. You have a cunt. A cunt means you wash dishes." Her confused response is, "I don't see where it says that on my cunt." Things get more intense when She asks for sexual satisfaction and it ends with self-castration as He beats Her with his own disconnected penis.

Womanhouse was viewed by more than ten thousand people even though word of mouth was its only publicity. Chicago herself had said that the reaction of the male viewers who depended on their traditional male roles and inferiority in society were so frightened that they did not even consider it art. Women on the other hand, for once, got to express and share their feelings (melancholy, terror, helplessness, fury, etc.) of being labeled.[2]

Addressing the need to recognize female achievement in the western world, Chicago's *The Dinner Party*, takes the tribute historically given only to men and instead, honors some of our important and influential women (in the western world). On a triangular table (forty-eight feet on each side) a huge ceremonial banquet takes place. She joins the tradition of the meal with meticulous details of a social get-together. On individual, symbolic, huge, china-painted porcelain plates Chicago represents thirty-nine "guests of honor." The plates are raised from elaborate textiles swathed entirely over the tabletop. Each plate has a butterfly based figure and symbolizes a vaginal central core. The runners name the thirty-nine women and also illustrate images inspired from each of their personal histories. 999 gilded names of women who came before and gave support to the women on the table are on the polished porcelain floor. The details of the piece leave you in awe and amazement. The triangular table form is uncomplicated yet commanding which keeps the viewer's visual input nicely balanced. The women here are "guests of honor." Thus, they are not the suppliers or the preparers of the meal. They instead are finally the ones being "served." Chicago takes the traditional role of women being the provider of the meal to being the enjoyer of it. These specific women and their contributions to history have been overlooked. This work does not "speak out" about her feelings concerning this issue but rather "shouts" it out with metaphorical butterflies and all. One must remember that during the time Chicago was creating this work (late 1960's) women had not been recognized at all. That means, no women studies programs, no women present in history or art classes, no women mentioned in most textbooks, and so on. That fact makes this work truly groundbreaking and boundary testing. Proof of this are the battles encountered when exhibiting the work itself. That is, on its exhibition tour the planned stops were scuttled and interested curators did not fully embrace the work due to the fact it was "too unconventional." Once again, the question of whether or not we should consider her work Art was raised by those too afraid to question tradition.[3]

Seizing this issue of tradition, we move from questioning female's customary household character and lack of representation in history to the lack of respect for women whose lifestyles are "unconventional" by society's eyes. Photographer Catherine Opie has addressed this issue with her portraits and has been one of the first successful artists to portray these women as strong individuals and not victims.

Opie has relocated herself from Los Angeles to New York. Her work from the last seven years has shown she has been investigating the structure of community from both physical and social viewpoints. Our first example is her series of photographs entitled, *Portraits* from the mid 1990s. These portraits of women (also of men) from society's subculture are frontal, of color, and elegant. They depict people who use their bodies as a site of sexual and aesthetic experimentation. She also includes her own self-portraits. *Domestic* is her most recent series. In this series she returns to her beloved color portraiture. Shown are lesbian families and couples in their home interiors. With these she raises the issue of and tests the image of the traditional and "ideal" home and family. Due to this, she is regularly recognized with lesbian sex radicals. Again including her own self portraits and pushing the envelope, she depicts herself with piercings, chains, sadomasochistic leather, and with images or words scratched into her skin. While documenting her subjects she concurrently makes the viewer reevaluate the "characters" we label in America. Like Yuskavage and Chicago, she makes strong statements through her work. Due to this frankness, the viewer is uncomfortable when faced with the subject's outright sexuality. However, this stark forwardness is presented with such beautiful color and careful details that it gives a certain magnificence to the sitters. By the use of traditional portraiture contrasted with new subject matter of having women specifically those in American subculture, Opie has made the public take notice of and give a voice to these underrepresented and misrepresented women.[4]

In response to *Womanhouse*, one woman claimed that, "It was the first work of art she had ever seen that she completely understood." We must remember that one of the purposes of female artists like Yuskavage, Chicago, and Opie, is to give a voice to the women that have for such a long time desired to speak. These three women gave that power back with their art. They have shown us that women have a right to represent themselves visually and that they must also inform and correct these misrepresentations, wrong attitudes, incorrect beliefs and assumptions about women. Though each had their own way of doing it (whether it be painting, 3D art or photography) they all proceeded with their skill, confidence, beliefs, and used "shock value" to its advantage.

NOTES

[1]Claudia Gould, *Yuskavage*, The Institute of Contemporary Art, University of Pennsylvania,Philadelphia, 2000: p.23. *[All other references to this text will be made parenthetically.*

[2]www.judychicago.com/

[3] Laura Meyer, *"From Finish Fetish to Feminism: Judy Chicago's Dinner Party in California Art History"* from the catalogue, *Sexual Politics: Judy Chicago's Dinner Party in Feminist Art History,* UCLA Armand Hammer Museum of Art and Cultural Center in association with University of California Press,1996.

[4]www.the-artists.org/Artists/Opie.html

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3. www.judychicago.com/ (Homepage: Judy Chicago, "Through the flower")

4. www.the-artists.org/Artists/Opie.html

Accumulated Power

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PAPER #2: poster session 90 min

Accumulated Power

The day-to-day life of Chicanas (female Mexican-Americans who fight for equal rights for their people) is full of oppositions, contradictions, and vibrant coloration much like its art. Los Angeles, California, is an area that is saturated with Chicana/o population, culture, and the involvement and creation of important activities and movements concerning the Chicana/o existence in North America as a whole. Due to their separate and different realities, Chicano communities make places like Los Angeles similar to a city-country. Types of art that are constructed by the everyday Chicana in order to these express complex emotions and experiences are home altars and capillas. The city, Chicana experience, world view, culture, and individual identity are evident within these everyday objects that Chicanos/as construct. Therefore, these works help describe, deconstruct, redefine, replicate, and create the world view and personal perspective of their makers.

Before considering examples of such items, we must take a look at the history and the meaning behind their creation. Afterward, we will be able to explore different examples of these home altars. Then we may proceed to the next level, and take a look at Chicana artists whose art draws upon the meanings behind these culturally based formations. Specifically, we will be looking at Amalia Mesa-Bains' altar installations, which have been created specifically for exhibition in museums, and Patssi Valdez's innovative painting style.

HISTORY/TERMS

In their cultural background and upbringing in an urban environment, Chicanas in general have comparable histories. Important terms such as kitsch, rasquachismo, and Chicana Domesticana play important roles in understanding the labeling of Chicana works of art. The term "kitsch" has been described by all of the following terms: "vernacular, vulgar, inferior, tasteless, and insensible." The term has been used since the beginning of the postmodern avant-garde in order to classify types of art. Kitsch art belongs to the category of art classed as of the "inferior," and art labeled "superior" is created by the ones who define what exactly kitsch is. This "inferior" art pertains to the mass-produced objects that decorate domestic spaces. For such reasons, kitsch can be relatable to the Chicano term "rasquachismo." Rasquachismo refers to the "view of the downtrodden" or the "underdog perspective." It recognizes that certain populations see the world from the bottom (such as the working class) and that they do not have much, but they make do with what they do have. It concerns objects and places, and addresses this bicultural environment of being both Chicano and American. For example, it describes the combining of Mexican corridos and cinema with Walt Disney, mass media advertising, and American Pop art. It differs from kitsch in that it includes both material objects and a certain attitude. Furthermore, kitsch reflects a "proper" attitude and strives to go in step with it, but does not reflect the respectable state of its maker. In contrast, rasquachismo takes note of and praises its distance from popular and proper culture. It is not an attempt to "follow," but is rather a certain perspective of the world that serves as a foundation for Chicano identity, culture, and socio-political reality.[1]

With rasquachismo, common things are fragmented and recycled, but are combined to make a new and exciting whole that is all their own. Opposing attitudes combine as well. That is, the defiant mentalities and more "flexible" ones evident in such constructions are represented through these fragmentations that allow the maker to have a sense of pride and persistence in a society that misrepresents him/her (Mesa-Baines).

The rasquachismo sensibility can be found in works in various media by Chicana artists (whether theatre, music, poetry, visual arts, etc.). Just the term's history alone (Chicano/a) is rasquachismo itself. Rasquachismo provides an outlet for artists to express and explore themselves. It is used to challenge superior popular Anglo American culture with Chicano culture. Not only do these female artists have to deal with all of the misrepresentations American society has of women, but the addition of the Chicano image to it heightens their desire to be active in unveiling the many injustices and falsifications of visual female images. Therefore, the Chicana artist experience is completely different from any other, and should be addressed in such a manner (Mesa-Baines).

Chicana Domesticana is the everyday, family life for the working-class Chicana. It concerns the activities, practices, and productions that go on in the domestic living space. These include, home embellishments, healing traditions, personal feminine prose or style and, what we are specifically addressing in this paper, home altar maintenance. Chicana Domesticana reflects all the mentalities of what it means to be Chicana, but within the limitations of strict gender roles expected within the culture. In fact, it can be considered a sort of liberation from what is considered to be Chicana thanks to the wider availability of higher education, Anglo-American social influences, and more opportunities. Thus, art work that belongs in this category is known to be created with traditional imagery, but with mainstream American cultural material.

Feminist theory in this case supports the fact that such artwork generates thoughts, rather than simply reacting to existing ones. Since institutions have made us generalize and internalize certain feminine living conditions, nothing will change unless it is called into question. These living conditions that constitute the female's domain center on the bedroom and the kitchen. These private places are a declaration of women's territory, but are also their confining, oppressive jail. The role of home as an important but also isolating feminine private location has increased even more in urban areas.

Until we "shake the foundational patriarchy in art through challenging works," this awful feminine state and feminine result will perpetuate itself indefinitely. Chicana Domesticana art questions the roles women play, the relationship between genders, and externalizes the issues that center on domestic space. The domestic and family space is full of inconsistency, disagreement, and rebellion that produce conflict and tension. Such a space permeated with emotional and symbolic significance is obviously an exciting site for visual analysis. Evident are the struggles the females encounter when trying to support certain aspects of the feminine and at the same time, modify restraining roles (Mesa-Baines).

There are similar characteristics in Chicana Domesticana art work. First of all, there is an accentuation of the momentary. This recalls Chicano/a peoples' history of learning to live without permanency due to their consistent displacement (migration) and also their community's culture (time specific celebrations). Traditional forms can be reconfigured into new forms, using, for instance, the reliquary, bedroom altars, capillas or public altars displayed in the front yard, vanity dressers, and ofrendas or offerings for the Mexican Day of the Dead. In so doing, such constructions eternally recognize histories and memories visually. Assemblage, bricolage, miniaturization and small box works, photography, text, and memorabilia are techniques that Chicana artists utilize. Common and different items such as pop culture discards, remnants of party materials, jewelry, kitchenware, toiletries, saints, holy cards, and Milagros are layered, combined, and arranged to reflect a whole, yet fragmented, image. All of them are used to construct their own story of feminine experience, memory, and history from their own standpoint, and not the viewpoint of others (Mesa-Baines).

ALTARS

An altar is known as a mixed media assemblage or installation including popular art forms and images that can honor religious figures, a certain concept, cultural beliefs, and family history that decorate the domestic space.[2] Things found on them include photographs, food, drinks, and an array of meaningful objects. Their history can be traced to the pre-Columbian era, where, at sites such as the Aztec Templo Mayor, piles of carved and painted skulls were to be considered an ofrenda. Blending this practice with Christian worship, it was very practical during colonial times when the family needed a space to practice their daily devotions (there were the long traveling distances to the nearest church). Sometimes the priest would pay a visit, and formal occasions took place at the altar, such as baptizing and marriage.[3] The most popular altars are the ofrendas (offerings) that are associated with the Day of the Dead (takes place on November 2nd in Central Mexico). Such offerings remember and celebrate the lives of those who have passed away (Slide #1). Other categories for different types of altars are "memorial and devotional altars" (Slide #2) or nacimientos (Slide #3). "Everyday altars" are what we will be specifically focusing on (Slides #4 & #5).

Altars and capillas provide communication between sacred beings and humans take place (asking for something, giving appreciation or admiration). To use altars is a sign of being a devout Catholic, not worshipping just for appearances, but truly believing from the heart. The altar is a space where the believer can transcend the worldly realm an experience heavenly grace through the only accessible means, prayer. A Chicana's altar can be an expression of love and soul for her God (Cash 28). The altar is something that the female owns in terms of its creation and arrangement. This is a medium in which females can demonstrate ownership and express creativity. It counters the male dominated emphasis of Catholic ritual.

Traditionally, altars are erected in a corner or against the wall with a sheet or embroidered linen cloth covering a bench or table. Figures of saints are then placed on top of the table, together with tinsel and colorful paper flowers. Examples of what specifically can be found on altars are religious icons, decorative elements, santos (wooden saints), flowers (artificial, real, or dried), Milagros (metal body parts and figures expressing their thanks for miracles), requerdos (painted prayers), lacy papeles picados (cut-paper designs), tragicomic calaveras, breads, toys, food, liquor, cigarettes, foil wrapped talismans and fetishes, family photos, mementos, historic objects (military medals, flags), candles, offerings, and healing components (herbs, talismans, religious imagery, photos of historic healers). Formally, altars can be constructed using nichos (niche shelves), retablos (or box-like containers with icons), Christmas lights, reflective materials, and miniaturization. Elements that demonstrate domestic skills such as embroidery, crochet, flower-making, paper cutting, carving, and hand painting are customary.[3] Paper roses are dipped in melted wax and then bunched in bouquets. The women became more skilled in this technique when more paper supplies became available. There are also flowers made of silk, straw, feathers, shells, wood, and gourds, because they last longer than fresh flowers. The inclusion of candles is a custom dating back to pre-Christian times. Candles provide light, but also represent the presence of God. Saints are considered family members, and treated as such. They are given gifts such as candles, flowers, and clothing. However, if they did not fulfill the family's wishes, their images were locked in a chest, wrapped in a blanket, or moved to face the wall. The items are displayed in abundance, are ever changing, and represent religion, history, culture, and personal identity. Altars are usually in the bedroom or kitchen, but they can be found in many other places in the home as well. Today, they are a combination of traditional forms (such as paper roses) and also store bought items (for instance, plastic flowers, candles, rosaries, and statues) (Cash 38-40).

Altars that are found outside are called capillas ("little chapels"). These are shrines usually constructed in the front yard of the house as an extension of the

sacred home place. The main difference between home altars and yard shrines is that the latter are created with the public viewers in mind. The yard altar still remains personal in its creation and meaning. Yet, the artists know that they are public declarations of their faith and adhere to that purpose (Cash 41). They are larger in scale and more publicly present the family spiritual aesthetic. In addition to what indoor ofrendas can include, capillas can also consist of cement structures with mosaic mirror decoration, makeshift use of tires, garden statuary, and fountain lighting (Slide #6).

In *Living Shrines*, the author allows the makers of such works to talk about their pieces. The following quote concerns the Virginia Garcia family shrine in Santa Fe, New Mexico (Slide #7).

> This little old lady sold my husband this, and it was on the day of my birthday, and oh, it was the greatest gift. It's the "holy altar call," that's what she called it. And it comes with a patent and they used to use it when they used to go to visit the sick people. And the strangest thing is, I'm very involved with the sick and the dying and when I receive that, it meant so much to me. Another little treasure that I felt was God-sent was when a man came to my home, his name was Bo. He came one day with Our Lady of Guadalupe, and she's very old because she's got long hair. I didn't react to it immediately and he left her with me. When he came to pick her up, I still didn't react. But when I went to push her hair back, and because I'm a beautician, I felt something between myself and the statue, and I didn't let him take it back (Cash 4).

Due to the length and extent of this statement concerning only two objects in the altar's wide array of articles, the readers get a first hand account of just how important each object is. Since she remembers specific details about the way she received items, "the little old lady sold my husband this, and it was on the day of my birthday" and "when a man came to my home, his name was Bo," it is evident that every detail about the experience is remembered. It is also apparent that the items are personally connected to the maker, demonstrated by statements like, "And the strangest thing is, I'm very involved with the sick and the dying," and "because I'm a beautician, I felt something."

In addition to the significance of every article accumulated on the altars, there is the confirmation that the altar is in a sense, "alive." Or rather, the altar is a constantly changing entity with figures that are spiritually endowed and must be communicated with. Nicolas Herera and his mother, Celia, live in El Rito, New Mexico, and are great examples of this kind of devotion (Slide #8). In response to why the framed print of San Ramon had a quarter taped over his mouth, they answered,

> He's the patron saint of attorneys and jails--and when there's going to be a lawsuit or a court hearing, I put a quarter on his mouth and tell him, "this quarter is going to stay on our mouth until the case is settled--so this is yours." As long as it takes, the quarter is there for the truth to come out, whether it's good or bad. The same is essentially true for San Callestano. You say, "I'll bet you two rosaries that you don't get me out of this mess." And San Martin dissipates gossip, sweeps the sins, and steps on snakes, the bad people (Cash 13-14).

The readers get a sense that the Saints are just as real to their owners as you and me, and are treated and addressed accordingly. They, at times, must be "bargained" with in order to obtain their "blessing." This is evident in statements like, "the quarter is there for the truth" and "I'll bet you two rosaries" representing a pact between the owner and the Saint.

MESA-BAINS

In the last decade the altar form has become very popular with Latino artists. Only few have innovated and developed it like Amalia Mesa-Bains (Slides #12-15). Mesa-Bains is an artist, writer, and educator who earned a doctorate in psychology, and serves on San Francisco's Art Commission. Her elaborate, contemporary take on the traditional ofrenda and home altar allows her to give homage to virgins and inspirational females of Mexican descent. Given this background, Mesa-Bains's altars are already instilled with great meaning, and this, therefore, makes her innovation on such an art form quite interesting. She integrates feminism, Chicano culture, folk traditions, and Mexican history into her altars. Focusing on Mexican historical figures, not only in the realm of religion, but the arts, cinema, and personal lineages as well, she makes the statement that her work has been "rooted in the practice and consciousness of my community."[3] That is, she is concerned with colonial domination erasing and conflicting with the maintenance of one's family and cultural history. Motivated by the Chicano Movement's ongoing method of critical intervention, she created meaningful and beautiful pieces. The artist attempts to produce a narrative of Mexican and Chicano history using bricole miniaturization, the use of domestic objects, Catholic imagery, natural and organic ephemera, mirrors, and dispersal. With her work, Mesa-Baines is insisting we take notice of the histories of women, with all their efforts and toils. The imperative role women have in the family, in the history of struggle and defiance, and the tradition of labor concerning Mexican and Chicano cultures are stressed in this particular series.

One example of Mesa-Bains's altar inspired installations is her *Altar to Dolores Del Rio* (1990) (Slide #9). It stands eight feet high and is made of mixed media. Present are all material items that one would associate with a popular and glamorous actress, such as shiny satin, ribbons, lace, glittery mirrors, perfume bottles, tissues bearing lipstick kisses, and strings of pearls. Movie stills are scattered across the "dressing table" altar. The table is used in a revered, yet also blasphemous language pertaining to Hollywood Art Deco and to different cultural perceptions of women's age and beauty. However, there

is also personal information about her, such as private letters and photographs that conjure narrative. This indicates that the intimate is standing alongside the external. Del Rio's involvement with her community is prevalent as well. For instance, she is known for supporting Mexican artists like her close friend Frida Kahlo. Knowledge of Dolores Del Rio is significant in Mexican and Chicano history because she broke boundaries. That is, she was the first Mexican superstar to make it in Hollywood. Tomas Ybarra-Frausto states that it is as if Del Rio is actually present through Mesa-Bains's use of materials that involve the process of association. The viewers are to not think of Del Rio as a mere "fashionable commodity" but to honor her as a "woman of significant accomplishment." Due to her support of the anti-fascist forces in the Spanish Civil War, Del Rio was rejected by Hollywood, but she was allowed back in Hollywood's inner circles during the 1960's (Cash 88).

Another one of the artist's pieces is dedicated to the Mexican artist *Frida Kahlo* (1987) (Slide #10), a person with whom she and many other female artists identify. It consists of a little ruined stone room placed in a landscape of dead leaves filled with souvenirs, mementos and reference to Mexican popular arts, such as folk toys and pottery figures that Kahlo loved. The artist created this piece when she was forced to have a hysterectomy. She thereby relates herself to Kahlo, who suffered continually from a tragic accident that prevented her from having children. Despite such tribulations, she still was a successful and amazing artist and independent woman.

In *Circle of the Ancestors*, the artist takes this idea of the altar and expands on it (Slide #11). Through a circle of eight chairs, she narrates eight historic moments by referring to eight historic Chicana women. The chairs face inward toward a spiral of candles on the floor. The chair acts as a metaphor for the body and calls to mind the suffering and sacrifice that these women had to endure during their lifetimes. The chairs also draw upon the intimacy and collective strength of their lives at home, in the fields, and even at church. Present in the circle are: 1.) Coyolxauhui (the ancient Mexican goddess); 2.) the Virgen de Guadalupe; 3.) the Castas (the colonial painter); 4.) Sor Juana Inez de la Cruz (colonial nun and scholar); 5.) Adelita (the revolutionary woman soldier and her own Abuelita/Grandmother); 6.) the Chicana farm worker; 7.) the Pachuca/Chola; and 8.) her own First Holy Communion. These chair altars stand for women who provide the viewers with a circle of time in which they can contemplate their future construction of themselves as Chicana women with the help of this spiritual and cultural genealogy (Mesa-Bains).

In this altar series, she has presented the importance of women's roles in the tradition of labor, the Mexican/Chicano family, and in the history of resistance. However, we must also look at what she has done for "the altar" in general. That is, in Lucy Lippard's opinion, she is responsible for its "modernist and theoretical evolution." She developed them not only as visual form, but for documentation as an art, and a source for art "in an increasingly technological society (in which) the division between experience and ritual grows more vast." Such a theory can be expanded upon:

> When rockets reach the moon, the mysteries of the lunar religion lose their power. Where death can be delayed by injections…the liturgy of mourning declines…the everyday life experiences upon which rituals are built finally diminish as a shared observance…yet within this failing of popular ritual we have seen the growth of offertory expressions in the institutions of the art community…if we look further we discern that the practitioners of such "ritual art" are most often women (Lippard 82).

The artist calls upon two strands of women artists' involvement concerning ritual. The first is that which concerns minority art communities, and has been an ongoing domestic folk-ritual tradition. The second is the "reclamationist" phase activated by the most current feminist wave. The artists have pursued "the secret history of women" that shares a past of restricted production in the home concerning a decorative tradition. This therefore this made altars "the most political of statements." They were the results of these women's oppression in the most personal of places: the domestic chamber, the bedroom and the kitchen.

Mesa-Bains's full-scale installations, which sometimes include music and sound, recall her primary cultural impulse, but echo her own scholarship and her personal concerns. The artist had grown up with these altars, but as she, her scholarship, and technical and creative skill matured, so have her altars. Ybarra-Frausto labeled Mesa-Bains's altar-making according to three stages. The first is the Cultural Reclamation (1975-1980) that concurs with the determined effort by Chicano scholars, intellectuals, and community artists to obliterate configurations of Chicano experience in which the focus was on cultural determinism. Yet, it still emphasized vibrant and historically consequential versions of Chicano culture and identity. Second are the Shrines of Reconciliation (1980-1985), which had an internal focal point that examined the artist's female psyche. Here, she focused upon the ancestry of the important women in her life and started to make cross-cultural inquiries of deep spiritual customs among women of other cultures. The current and third group is called Ceremonies of Memory.

Amalia Mesa-Bains's works reflect an artist who is proud of her own culture and positive of the importance of its being recognized in the world. Her works are ephemeral, note the passage of time, and evoke individual and historical memories. These works note erotic implications, tragic history, and poverty ironically, yet extraordinarily through an abundance of a variety of material and rich religious magnificence. At the same, using these extremes, her meticulous attention to every article included in each piece is apparent as she connects the ancient and the modern. Her admiration for these elements of Chicana culture has consequentially produced contemporary, spiritual, and political outcomes between

Latinos and the mainstream. Just like the splintered mirrors that she includes in her altar installations, her metaphors of the Chicana self-image are reconfigured and re-patterned in new, intricate, and exciting ways.[6]

VALDEZ

Patssi Valdez is an example of one of the many artists who draw on cultural constructions such as the altar for artistic inspiration, but her work differs from Mesa-Bains in her rather emotional rendering on it. She and Amalia Mesa-Bains compare in their mission to correctly represent what it is like being Chicana, but they contrast in their methods of addressing this issue. For years, Patssi Valdez has been involved with mixed media installations, performance art, photography, graphic arts, costume, theater, and stage design. However, she turned to autobiographic, intimate landscape rendering, and two-dimensional painting influenced by both Matise and Modigliani as the ultimate choice for expressing her central self-realizations (Letellier 221).Using her mastery of color, she uses ordinary objects to address issues such as cultural identity and gender politics, and thereby creating narratives and metaphors within her one-of-a-kind paintings. This original and creative outlook dubs her "One of today's most visionary painters." Though the dream-like quality in her works that refers to her association with magical realism, her desire to express themes of ethnic and gender struggles are, without a doubt, her number one priority.[7]

Like Mesa-Baines, Valdez was inspired by the Chicano/a political art movements of the 1970s and 1980s. Though her art records a Chicana experience as well, it tends to be focused on more painful aspects than Mesa-Bains'. Her *Homage to the Dead* (1988) depicts an ofrenda, which is a common theme for Valdez concerning subject matter and concept (Slide #12). The artist usually focuses on her own experiences, feelings, and past. Her problems concerning gender and racial discrimination, domestic problems and so on, are visually rendered in her paintings through images of a hazardous home where uneasiness resides. The artist's focus on interior spaces such as living rooms, dining rooms, bedrooms, and kitchens is evident. There are cracked and swirling floors, crooked tables and candles, spike-legged chairs seem to hover in the air and dance about the room. Though they are not illustrated, demonic beings seem to be present. The tilted, fragmented perspectives and intricate patterns nauseate the viewers. The energetic and vivacious, bright, primary-colored palette emphasizes these objects and the feelings they induce. Such is the case with *Homage to the Dead*, where, instead of an uplifting association with the altar, we feel rather threatened. The use of black highlighted with a warm color scheme induces this uncomfortable state. The skull object on the table and the framed icon on the wall seem spiritually endowed in a hauntingly creepy way.[8]

Though both Amalia Mesa-Baines and Patssi Valdez have different ways of making their art (Mesa-Baines with her contemporary take on traditional altars and Valdez's use of painting which is traditional in the Western sense), it is significant that both artists focus on the domestic space where these art forms, altars and capillas, are present. This locale is ironically a place of both liberation and captivity. Gender, age, and race stratification demand that Chicanas remain oppressed, and they generate the void where visual honor is much needed, but femininity comes out misrepresented when those themes are rendered. Both of these females' self-proclaimed life missions are to produce works of art that create, reevaluate, and pay homage to the visual image of and meaning of being Chicana, with their perspective, daily life, history, culture, demands, discrimination, continual struggles, and achievements all in mind.

Through this journey toward understanding the historical and cultural creation and need for altars, we have begun to understand their importance in Chicana life. The examples provided by everyday people who create these extraordinary constructions offers us a sense of how deeply personal each altar is with their maker. Chicana artists like Amalia Mesa-Bains and Patssi Valdez make it evident that altars can be the source of artistic creation and even allow such private formations to be nrecognized by the mainstream. The home altar and capilla show a lived history over time through its constant and continual transformation through the acquisition of found objects and creations. This display is a space in which one could remember a past, live in the present, and foresee the future through this abundance of objects signifying history, culture, family, religion, spiritual faith, and in a sense, performance. Refuge, guidance, protection, and good fortune are what they offer. An altar by Kay Turner's definition, "Can never merely represent; there is no altar made for art's sake alone. The personal altar always invites communicative exchange: it engages the viewer, who, moving beyond the simple seeing of altar images, begins to use them, to encounter them, to speak to them (Lippard 82)."

Notes

[1]Amalia Mesa-Baines, "Domesticana, The Sensibility of Chicana Rascuache," http://zonezero.com/magazine/essays/distant/zdomes2.html., website accessed on February 28, 2004. *[All other references to this text will be made parenthetically.]*

[2]Pascal Letellier, "Angels' Demon," (information unavailable at this time), page 221. *[All other references to this text will be made parenthetically.]*

[3]Marie Romero Cash (text) and Siegfried Halus (photographs) with an essay by Lucy R. Lippard, *Living Shrines: Home Altars of New Mexico,* New Mexico: Museum of New Mexico Press, 1998, 30. *[All other references to this text will be made parenthetically.]*

[4]http://www.yale.edu/ynhti/curriculum/units/1993/4/93.04.11.x.html#b., website accessed on February 28, 2004.

[5]Amalia Mesa-Baines, article in *Zonezero*, San Francisco, California, January, 1995, http://zonezero.com/magazine/essays/distant/ymesa2.html., website accessed on February 28, 2004. *[All other references to this text will be made parenthetically.]*

[6]Lucy R. Lippard, *Mixed Blessings: New Art in a Multicultural America*, New York: The New Press, 2000, pages 82-84. *[All other references to this text will be made parenthetically.]*

[7]http://www.csupomona.edu/~plin/women2/part3.html.,website accessed on February 28, 2004.

[8]Elenore Welles, "Patssi Valdez," http://artscenecal.com/ArticlesFile/Archive/Articles2000/Articles1200/PValdezA.html., website accessed on February 28, 2004.

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9. www.csupomona.edu/~plin/women2/part3.html.,website accessed on February 28, 2004.

10. www.saintmarys.edu/~events/Calendar/MoreauGalleries/artists2000 2001/Chicana2000/mesabains.html., website accessed on February 28, 2004.

11. www.tfaoi.com/newsm1/n1m226.htm, "Patssi Valdez: A Precarious Comfort," website accessed on February 28, 2004.

12. www.yale.edu/ynhti/curriculum/units/1993/4/93.04.11.x.html#b.,website accessed on February 28, 2004.

1. Title:

Application of Pierre Bourdieu's Theory of Value Production to Shotoku Taishi's *Sangyo-gisho*: Three Examples of Textual Authority, Engagement, and Valorization in the Kamakura Period

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6. abstract:

During Japan's Kamakura period, there was a marked increase in devotional activities directed at Japan's Prince Shotoku (574-622), a figure who has been ascribed an instrumental role in the assimilation of Buddhism in Japan. Such activities included those related to the transmission, interpretation, and ritual remembering of the *Sangyo-gisho*—three Buddhist commentaries attributed to Shotoku.

For example, Shinran, founder of the True Pure Land school, approached Shotoku as an emanation of Avalokiteshvara, who had appeared to him in a dream. Based on this connection, Shinran wrote paeans to Shotoku that praised him as both Buddhist patriarch and exegete, but which made only indirect reference to the texts themselves, and saying nothing of their content.

During this period, moreover, the Horyuji monk Kenshin engaged the commentaries for their instrumental value; that is, he used the temple's possession of Shotoku's original manuscripts as a means to reinforce the temple's position as a major site of Shotoku worship and to attract donations. While Shinran's authority to engage the texts came in the form of a revelatory dream, Kenshin's was based on a secret oral transmission from his teacher Ryusen, as well as from the possession of material objects he claimed had been handed down from his ancestor Choshi Maru, Shotoku's chief retainer.

Although Shinran and Kenshin show little interest in what the texts actually say, Gyonen, the third figure that I will examine, offers a striking contrast in his composition of highly detailed subcommentaries on the Sangyo-gisho. Unlike Shinran and Kenshin, moreover, Gyonen's authority centered on the mastery of the techniques of an exegetical tradition transmitted from China and from his own intensive study of Shotoku's texts under the tutelage of his teacher, Sosho. Later in life, his prominent position as the head of Todaiji reinforced his exegetical authority.

Modern studies of these texts have privileged Gyonen's model of engagement, use, and authority, and have thus focused on identifying the text's intellectual lineage, recovering Shotoku's intended meaning, and determining the texts' authorship. In this way, they are concerned with what Pierre Bourdieu refers to as the "production of the work," one that ignores the ways in which these various forms of engagement create textual value, which he labels the "production of the value of the work." This presentation will apply this distinction to the textual engagements of these three figures, and, based on this application, offer an alternative angle of vision from received scholarship on the ways in which textual value is produced.

Incorporating Music Concepts, Occupational Therapy Techniques and Guided Music Listening to Assist Students with Mental and Physical Challenges

Area: **Music**

Type: **Workshop**

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Needs: Video, Table and PowerPoint if available

Incorporating Music Concepts, Occupational Therapy Techniques and Guided Music Listening to Assist Students with Mental and Physical Challenges

Donald R. DeVito

This workshop proposal consists of a hands-on, PowerPoint and video demonstration of guided music listening techniques. These techniques are designed to teach students with mental and physical challenges to incorporate the music concepts of tempo, melody, phrasing and harmony in order to enhance their physical coordination, communicative abilities via assistive technology, and understanding of Western art music and world music. This session presents a three phased approach to music education for students with special needs which incorporates: (a) music and literature, (b) guided music listening, (c) physical and occupational therapy through assisted music performance, (d) aesthetic expression utilizing art supplies (e) understanding of musical concepts and (f) reinforcement through community based instruction.

The participants in the video are students from the Sidney Lanier School in Gainesville, Florida whose challenges represent: (a) autism, (b) cerebral palsy, (c) Down Syndrome, (d) traumatic brain injury and (e) brain development defect. The participants represent a population of students whose classification ranges from profoundly challenged (20 to 40 IQ) to educable mentally challenged (69 IQ). These lessons utilize live and recorded music performances representing genres such as: (a) Jazz improvisation, (b) African drumming, (c) Brazilian samba and pifano music and (d) Western art music.

This session will also include a demonstration of methods to enhance

developmental communication through the utilization of: (a) Western art music, (b) world music and (c) assistive technology in the general music classroom. Assistive technology includes communicative devices such as *switches* and *Talk-8's* which can be programmed to state desired messages, play excerpts of preferred musical selections or activate a desired musical selection for a given duration of time when pressed. Assistive technology was utilized with visual aids and physical therapy techniques to teach non-verbal students to communicate musical preference with their arms, hands or head.

In the first phase, the lessons began with an instructional community trip to the University of Florida, where the students were exposed to live performances of each genre of music included in the lessons. The students were then played live and recorded examples of the music during rehabilitation times in which they were positioned in standers designed to enhance spinal volition and during periods in which the students were strapped into specially designed mats to assist in proper muscle growth and development. Music was utilized with the switches to provide the students with a relaxed listening environment while their physical therapy was taking place and to demonstrate their communicative skills through the selection of music based on their own personal preference. Students were read literature examples which coincided with the culture being presented in the music. They were also taken to their local museum and shown examples of art associated with each culture. A variety of art was then utilized in the classroom to assist students in learning to identify key items in the pictures which were representative of the given culture being presented in the lesson.

In the second phase, guided music listening lessons were coupled with art supplies to provide communicative and expressive opportunities for student participants.

Guided music listening was defined as the alignment of eye, hand and arm movement to the tempo and phrasing of a given piece of music. An additional switch with a visual aid representing “music” was placed in front of the students, who were asked to activate the music by pressing the corresponding switch. The students were taught to communicate their colored marker preference by pressing the corresponding colored switch. The marker was positioned in the palm of each student, and their hand was moved in volitional, lateral, and circular patterns corresponding to the tempo and melodic contour of the music. The students repeated these activities with as little assistance as possible. During the lesson, the students were reminded verbally of the music education concepts included in the activity. For students with profound challenges such as traumatic brain injury, these lessons were also adjusted to incorporate finger paints to enhance their tactile sensation and provide an additional artistic medium.

For students with moderate challenges, these guided music listening activities were assessed for their accuracy and usefulness in pre-writing skill development. Twenty moderately challenged verbal special learners of varying ages and challenges participated in this assessment. Three fifteen-minute lessons per week were planned over a six-week period. Student accuracy was based on a pre- and post-tests in which the students matched a given lateral and volitional line in several attempts. The closeness of the students’ lines to the given design was measured before and after the lesson sessions to assess improvement in accuracy. The activities in the lessons included materials and methods used by occupational therapists to teach students these coordination skills.

First, participants used colorful balloons to guide their lateral and volitional movement while listening to the music of Bach and Pachelbel. Next, participants wrote

the lateral and volitional lines in clay to the flowing melodies of the music. In the final activity, participants received markers and poster board and were instructed to write the lateral and volitional lines that matched the movement patterns they rehearsed with the music. The students showed consistent improvement in their accuracy as a result of the music instruction. Lateral development improved up to 84 percent, while volitional development improved from up to 66 percent. These skills were later combined with art materials and music to create opportunities for independent aesthetic expression.

The third phase utilized a variety of music to reinforce the concepts and activities presented in phase one and two including: (a) the comprehension of music concepts; (b) increased physical coordination through integrated movement activities for each musical example; (c) grasping instruments for the performance of beat and rhythm on pitched and non-pitched instruments with and without assistance; and (d) continued demonstration of musical preference via assistive technology. This workshop will provide a step by step presentation and analysis of these activities utilizing video, PowerPoint and hands-on activities. These music lessons provided a variety of techniques to assist students with mild to profound mental and physical challenges to “feel” their way toward new music experiences and enhanced communicative abilities.

Title Page

1. White Jane/Black Kali: Images of the Erotic Goddess in V.S. Naipaul's *Guerrillas*

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6. *Misogyny* is a word frequently linked with V.S. Naipaul's treatment of women in his fiction. Naipaul, however, is not a misogynist but matrophobic. The rage against women in his writings and the denigration of their sexuality all have their sources in a deep-seated fear of the archetypal mother, the giver of life but also of death and annihilation. This theme is most obvious in *Guerrillas*, a novel with a pervasive archetypal and mythical design in which the female protagonist is an integral part, a forbidding persona, primarily for being heavily invested with the major qualities of the devouring tooth goddess of Hindu as well as world mythology.

White Jane/Black Kali: Images of the Erotic Goddess in V S Naipaul's *Guerrillas*

Sanna Dhahir

When critics deal with *Guerrillas*' main female character, they commonly refer to Naipaul's harsh treatment of her.[1] They single out the abusive remarks hurled at her by her two lovers, as well as the scenes in which she appears to be totally 'unattractive'. Besides, what is perceived as mostly 'offensive' about Jane is her sexual behaviour, and this is often related to Naipaul's Brahminical upbringing and its association of sex with sin and defilement. But having identified the source of Naipaul's 'misogyny' and 'antifeminism', critics have rarely tried to investigate the full dimensions and complex nature of Naipaul's particular conception of women in this work. *Guerrillas* is a novel with a pervasive archetypal and mythical design in which Jane is an integral part, a forbidding persona, mainly because she is heavily invested with the qualities of the sexual goddess of Hindu as well as world mythology.

As psychoanalysts point out, the character of the archetypal goddess is found to repeat itself in various forms, and among people of different cultures, as simultaneously the agent of life and death, regeneration and annihilation.[2] However, when one of the two warring sides of her character becomes dominant, she may come across as either the Good or the Terrible Goddess, the one predominantly life-assuring, the other life-denying. Of course, variations on these themes can also occur, depending on the culture in which the myth had originated and its view of mothers and women in general. But while the goddess's procreative organs generally represent the ultimate sign of her greatness – being the source of fertility and life – erotic behaviour on her part can also

signal aggression and death. The sexual or genital goddess is often a negative figure, especially in Indian myths, where she usually appears as the treacherous, blood-shedding, and castrating female. Instead of yielding nourishing fluids from her breasts, she robs her son/consort of his own fluids, his semen, the essence of his life and the source of his energy and manhood. She is the opposite of the breast-yielding, gentle, and chaste goddess, symbolized in Hinduism by the sacred cow.[3]

Jane's affinities to the erotic and destructive tooth goddess are very obvious. Initially, Jane's heedlessness about sex is associated with a primitive streak in her nature, which causes her to move quickly on her male partner, while sending out 'the same signals of passion' (101), all in a 'display' that is 'instinctive' and 'without calculation' (102). This rampant behaviour is generally linked to her sense of being 'inviolable' and 'unassailable', qualities which make her 'adventure into the sexual jungle' without fear: 'the crisis would recede; she would be herself again' (162). With her lover she is detached and alienating; his presence 'curiously' forms no part in her erotic conduct (75) — it is 'as though he was not in the room' (78). With no explanation other than 'I want to', she can throw him off the bed, leaving him 'exposed and vulnerable' (48).

Jane is also given the masculine attributes of the genital goddess, who is often portrayed as a phallic entity.[4] She eats and drinks in a 'gobbling' way (126), and dresses and walks in a 'graceless' and 'unfeminine' fashion (99). Her breasts are significantly small, and her mouth, the symbol of aggression in the devouring goddess, is 'big', 'aggressive', and 'greedy'; her intimidated lover suddenly finds himself 'swallowed up by her hard big kiss' (78). As is the case with the negative, martial goddess, sexual union

with Jane is shown as emasculating and overpowering. With her, Jimmy looks 'absurdly like one of the children of the shanty towns, who wore vests alone, their exposed little penises like little spigots' (79). Lying 'clumsily' on her, 'his little strained strength leaked out of him' (79-80). Jane on her part has 'surrendered' nothing: 'So cool she looked now; so triumphant. He was full of hate for her' (81). Jane clearly recalls the non-maternal and militant goddess, of whom the Hindu Kali is a well-known prototype. It is no coincidence that Jane has had many *abortions*, of which she speaks with 'brutal detail' (97).

Jane is also linked to the mythical 'doomsday mare', a symbol of the lustful and voracious goddess in Hindu mythology. The mare is said to reside at the bottom of the ocean, her insatiable mouth spewing fire that daily swallows the ocean's waters and spits them out again. Eventually, however, this underworld mare will dry up the ocean and bring about the end of the universe (O'Flaherty 213). In *Guerrillas*, fire is recurrently linked with Jane, whose very vision of the world is that it is 'going up in flames' (100). Rooted herself (like a 'sea anemone'), she offers the world her nihilistic views, 'the coming crash, the disintegration of systems' (98). 'I have been playing with fire' (84), she twice reminds herself; and, in fact, it is her licentiousness that mostly infuriates Jimmy and Roche: 'Yes, [the world's] going up in flames', Roche says. 'But it's taking you with it' (190). After her murder, however, her *lighter* remains to speak of her, to incriminate Jimmy, and to bring about the end of his world.

The reason that *Guerrillas* is often cited as the ultimate example of Naipaul's unfavourable views of women is clear: it is the novel which dramatizes the fiercest struggle in Naipaul's fiction with feminine power. According to Jimmy, 'When

everybody wants to fight, there's nothing to fight for. Everybody wants to fight his own little war, everybody is a guerrilla' (87). Jimmy's private war is waged against a woman who typifies the forces that have turned him, he says, into a 'playboy' or a 'plaything'. To reclaim his manhood, he must turn 'the white goddess' (to use Frantz Fanon's expression) into a 'white rat' — whiteness in this novel is not a sign of benignity as it often is in Hindu mythology; in a place where blacks are the majority, Jane's white skin (whiter than that of the local white people) can more precisely signal domination and bondage.

In his psychopathic fantasies, Jimmy reduces Jane to a powerless creature — fantasizing being very important to him, as it allows him to play the role of creator and destroyer himself. Clarissa, the woman he creates, is either the tremulous young woman who regards him, 'the bronze god' (39), with awe and admiration, or the degraded whore, whose 'rotten cunt' poses no threat to his male identity. The very repetition of this phrase and similar ones seems to express an overwhelming fear of the female's reproductive organs, and an equally overwhelming desire to render them ineffective and harmless. Raping Jane is important to Jimmy, but it is also relevant to the overall mythical pattern of the novel. In many Hindu mythical accounts, rape, or defloration, is 'the counterpart of castration' for the sexual female (O'Flaherty 192). Jimmy significantly rapes Jane where she is a virgin: 'You've lost your virginity' (238), he gloatingly tells her after a joyless *anal* intercourse, during which he significantly withholds his fluids and withdraws before ejaculation — to conserve his male energy and to absorb hers himself. It is she now who is turned into a defenceless, helpless being, crying and imploring "like a child" (238).

Analysts of Hindu mythology have also noted that a common punishment meted out to the erotic goddess is matricide, which is usually followed by resurrection and deification. As Kakar points out, this theme (seen, for instance, in the different versions of the Renuka story in both the Mahabharata and the Puranas) is related to the male child's relationship with the sexual mother in Hindu culture.[5] Subconsciously, the child wants to eliminate the mother to defend his masculinity, but since he still needs her physically and emotionally, he also wants to claim her back as the benign, chaste mother (Kakar 99). Naipaul seems to have this theme in mind when he describes the novel's murder scene. In throttling Jane, Jimmy initially asserts his own power over her: 'He scarcely felt the neck; he felt his own strength, the smoothness of his own skin, the tension of his own muscles' (243). But while Jane is being butchered by Bryant, Jimmy visualises a virginal girl who has been raped by a gang and is now bleeding and faint, 'accepting water from his cupped hands, and love coming to her frightened eyes' (243). To Jimmy, this is a 'dream of beauty' (65), for the bleeding girl, whom he is *reviving* now, is the very opposite of the bloodthirsty and castrating female. This soothing image, however, is soon replaced in Jimmy's mind by the following nightmarish vision:

He was himself, in a stone room, full of incense, with stone coffins on stone shelves, where dead women lay without being dead among white lilies. A woman sat up in her stone coffin; the lilies tumbled off her. She was Sudanese, like those he had seen in London: he could tell from her fine white cotton dress, her pallid brown skin and the healed slashes on her cheeks. She had the wanton face, the leer, the degraded mouth of a French prostitute he had seen in a pornographic photograph at school, sitting clothed with her skirt pulled up, her legs open, her great hairiness exposed. She sat up in her roughly chiselled coffin, leering, the lilies falling off her, and she said, holding out her hand, 'Nigger, give me a dollar.' (243-44)

In this scene, resurrection apparently takes place in Jimmy's fantasy, but deification falls short of eventuating itself. No sooner does the woman sit up in her coffin than the 'white lilies' tumble off her, and her 'fine white cotton dress' rides above her open legs, showing her forbidding genitals. Jimmy does not manage to free himself of the overpowering mother, nor does he reclaim her as the virginal goddess; she reappears to him now as the bullying whore who exacts her price.

Jane's death, however, brings the novel's male characters closer together, as though by killing Jane, Jimmy had becalmed some ancient fears in Bryant's and Roche's breasts. Bryant, in whom Jimmy finds a loud echo of his own pain, clearly speaks of childhood wounds. Disfigured by the very womb that has given him life, he is left to grow in the 'gutters', whose venomous effects still find expression in his snakelike, 'Medusa' pigtails (another symbol for the elemental negative female). Bryant, however, reserves his tender love and loyalty for Jimmy, a man like him, who alone can see the beauty of 'manhood' under the apparent physical ugliness. In this novel, homosexuality seems to be the outcome of a deep-seated desire to escape the female genitalia.[6] Jimmy's urgent need for Bryant, for the boy's 'relieving mouth and tongue' (82), is constantly juxtaposed with his fear of being emasculated by Jane.

Jimmy's sexual anxieties are also shared by Roche, whose relationship with Jane throws further light on the mythical/archetypal theme in *Guerrillas*. Roche's first date with Jane symbolically links her with the breast-withholding mother. While hungrily waiting for her to show up for their *lunch* appointment – which she has forgotten – Roche glumly studies a statuette of a '*lightly draped* woman raising an *empty basket* or *bowl* above her head' (92; emphasis added). On the island, where their relationship becomes 'increasingly sterile' (97), Roche yearns only for the

unusual moments when Jane is tender and mother-like, 'another person, obeying instincts that had suddenly risen within her' (219).

Roche's fears of being sexually overpowered are made quite obvious in a dream which takes place just after he has had a glimpse of Jane in a brief waking moment. In the dream, Roche is about to have his 'coitus' removed by a 'doctor in a dark suit', who is going to use some tools hidden in a 'box' for that purpose. Still dreaming, he questions the need for such a painful operation when he could easily ejaculate by going to the lavatory. Ejaculation here is identified with castration, and the box, with its tools of torture, functions as a symbol for the emasculating mother, or the *vagina dentata*, whose womb and genitals are often depicted as a mouth studded with sharp teeth or knives. (Generally, boxes, vessels, and other womb-like enclosures are known as female symbols.) Like Jimmy, Roche would rather find sexual satisfaction away from women — in the lavatory here, where he can ejaculate 'easily' and safely. It is important that, as he dreams, Jane is found looking up the meaning of the word 'succubus' — a '*demon that mates with a sleeping man'* (60). This mythical demon, which usually takes the shape of a female, is yet another manifestation of the negative mother in the human psyche. Roche's fear of women is apparently at the root of his low sexual drives. When asked about his one most-coveted wish he says, 'I would like to have the most enormous sexual powers' (145).

The theme of the devouring mother in this novel finds further expression in the role played by the land, a most well-known female symbol. Jimmy's agricultural commune is based on the idea of going back to earth, from which 'men must claim their portion' of food and shelter (17). But as the narrative suggests, there is no return to the land. Plantation! The very word arouses deep anger and distrust in the people's mind, recalling the years of slavery and humiliation. That there is no way back to

agriculture is testified by the land itself, which displays the most unyielding drought in forty years. Daily it spews fire that devours even the hardiest of crops — drought, insufferable heat, and fire become the major properties of Mother Earth. 'We are the children of hell', says Jimmy, once again bringing to mind the doomsday fire of Hindu mythology, the symbol of the goddess's insatiable energy.

Jimmy's attitude towards the land tends to parallel his behaviour towards Jane. In his report on the project, he presents himself and his followers as an 'intrepid band' breaking a 'virgin forest' (17); but the land where the commune is founded remains 'shaved and bare'. Jimmy refuses to grow any fruit trees in it even before the drought sets in: 'That's long term', he says; right now he needs 'cash' and is 'concentrating on cash crops' (20). But Jimmy's short-term 'marketing' affair with Earth unfolds further desecration. The commune's weed-choked vegetable plots soon become hedged by human excrement, despite the presence of a latrine nearby. And as is the case with Jane, ravishment and death become the lot of the breast-withholding land, left in the end to the American executives (introduced at the beginning of the narrative as readers of pornographic magazines), whose bauxite-loading stations continue to raise a 'pink pall' (168) over the island.

Guerrillas is a novel with a pessimistic vision of the world, which is seen as 'fragile' for everybody (217). It is a vision that discerns no hope for new beginnings: the world has been spoiled and cannot be made right, for deep inside, the grown-up individual is still 'the bullied boy' (145), carrying forever the wounds of childhood. 'We are living in a house without walls', says the newly elected minister, Meredith, underscoring a general need for what Richard Kelly calls 'psychological shelter'. *Guerrillas* does not focus in a major way on childhood grievances, yet at the same time it does not fail to invoke the idea that a secure childhood has escaped the novel's

characters. Bryant's case seems to mirror, in variable degrees, the shaky foundations of the other male characters. Jimmy constantly speaks of childhood 'hunger', and Roche repeats that he has built his life on sand. Even Harry, the 'complete Ridge man' (124), who also has a luxurious beach house on the island and a landed immigrant visa in Canada, feels the ground moving under his feet.

What causes this wholesale deprivation in *Guerrillas*' men? Naipaul frees the narrative of parent-child relationships, but the men's obsession with women unfolds a deeply rooted need for the benign mother, the provider of food and shelter. In England, Jimmy's efforts to overcome the 'hunger' of childhood naturally land him in the hands of a wealthy woman with a 'magnificent house' in Wimbledon. Here is security for him, the solid 'mansion' he has craved all his life (houses being archetypal symbols of the womb and the sheltering mother). To Jimmy, Marjorie assumes the dimensions of 'goddess' (156) precisely for taking him, a 'little Pekinese black', under her wings and creating a public figure out of him (141). Jimmy insists on Marjorie's loyalty even after he was charged with rape and indecent assault; like a newly weaned child, he feels utterly betrayed by what he sees as her transformation from 'maker' to destroyer: "The things women do and can do they have no shame and thought for the children who come after them who will have to endure all that they did, women don't know how men can hate them for the things they do, *make sure your children don't find about you*" (228-29; emphasis added). Jimmy symbolically mutilates Marjorie by 'irregularly' cutting her image out of a paragraph showing her with two children: 'A mutilated photograph, a reminder of the person cut out' (24). In his final letter to her, Jimmy reminds her of her toilet habits, viewing her as the 'Dirty Goddess', to use Dinnerstein's phrase, associated with filth and excrement.[7]

Throughout *Guerrillas*, woman may briefly appear as man's maker, but she is mostly perceived as his breaker, the detached, unfaithful, and life-negating goddess. This pattern extends to almost every male-female relationship in the novel. Harry's wife, for instance, is having 'a damn good time in bed' with another man (125), while the asthmatic Harry is choking for breath, his "cosy, little world . . . breaking up" (154). Stephens' mother obviously manipulates him; it is from her house that the police recover all the banknotes he – who comes across as the only 'real' guerrilla in the novel – has died for. But as Jimmy says, the guerrilla's war is a private one, and, as the narrative suggests, it dates back to childhood. The image of the guerrilla occupying the children's house in Jane and Roche's backyard eloquently speaks of the deep-seated fixations of the novel's characters. Is Naipaul a misogynist? It seems that 'matrophobic' is a more accurate word to describe his attitude towards women in his fiction.

NOTES

[1] See, for instance, Lopez de Villegas, Lewis, Griffith, McSweeney, Pyne-Timothy, and Fido.

[2] For a thorough analysis of the character of the Great Goddess, see Neumann.

[3] For a detailed and insightful study of the erotic goddess in Indian mythology, see O'Flaherty's work cited below. O'Flaherty, together with many other mythologists and psychoanalysts (such as Carstairs, Kakar, and Kurtz), also discusses the close relation between Hindu myths and culture.

[4] According to O'Flaherty, the 'erotic goddess is doomed to masculinity' (207). See also Neumann (168-73) and Roheim (169-205) for further details on the subject of the phallic goddess.

[5] See also Brubaker's analysis of this theme.

[6] O'Flaherty states that to escape the sexually threatening mother, men in Indian myths become either women or homosexuals (89). See also Horney for further analysis of the idea that homosexuality in men can be rooted in their fear of the female's genitals.

[7] Dinnerstein maintains that humanity's view of woman as the 'Dirty Goddess' is closely linked to female-dominated child care, which is still the norm in human societies. Woman is 'the will's first overwhelming adversary', and 'in our first real contests of will, we find ourselves, more often than not defeated: the defeat is always intimately carnal; and the victor is always female' (166).

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1. **Title**: 'The construction of women's gender identity through religious activity in classical Greece' (paper session requiring projector for powerpoint presentation)
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Abstract:

'The construction of women's gender identity through religious activity in classical Greece'

Ancient Greek society was patriarchal, with various restrictions placed upon women, who were excluded from politics and the administration of justice, secluded within the household as far as possible, and even denied basic property rights in some Greek cities. But there was one area of social practice in which women shared equally (if not more so) with men: that of religion and the rites of the gods.

Women – both young girls, adolescent women, married women and old women – had a variety of cult roles. These were crucial to the construction of women's gender in classical Greece. Women's religious roles and duties marked out the main transitional periods of their lives. They gave service to goddesses as virgins, and worshipped them as newly married wives and as women in child-birth. These religious roles confirmed their place in patriarchal society as wives and mothers. Many of women's religious roles were in fact clearly determined by their role in society. This is not to say that women did not find such rites fulfilling or that they engaged in them unwillingly. In fact, the evidence indicates the opposite. Their devotion to rites of marriage and childbirth is clear.

But women's religion constituted more than participation in *kourotrophic* (child-bearing) rites and related cults of agricultural fertility. Many of the cults they were involved in were ones which confirmed not their role in society but their identity as a single gender, distinct from males. In addition, women-only cults allowed them to worship together as a single gender. Through their shared cult and ritual experiences, classical Greek women presumably gained assurance and confidence about themselves; groups of women worshipping together brought a particular security to the individual, a positive affirmation of her identity as a woman.

Women had roles in worship which did not necessarily conform to their gender status and men's expectations of women's behaviour. Respectable roles for women in cults are well known. But historians have shied away from rites that indicate that classical Greek women had roles which did not confirm to the stereotypical picture of the Greek housewife. Rites such as that of Dionysos, in which women excluded men and engaged in the consumption of alcohol, entering into a state of *enthousiasmos* ('possession'), are well attested. Women also had nocturnal rites in which they drank and indulged in verbal obscenities. They sacrificed puppies to the goddess of witchcraft and magic, Hekate; they were the most efficacious sorcerers. They beat their drums at whatever rite or festival they could. They came together on rooftops and worshipped the eastern deity Adonis.

Some religious rites defined women's role in society, but others allowed women to transcend their assigned societal and gender roles. These latter rites were not 'escapist' and secondary but existed alongside and had equal status with the rites promoting their traditional place in society. A variety of iconographic evidence attesting to women's religious roles in classical Greece will be presented.

A Philosophical Examination of Traditional Chinese Illustration

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In Chinese art history, Ming Dynasty's (1368-1644 A.D.) painting reveals less accomplishment than that of the preceding Song Dynasty (960-1279 A.D.).[1] Nevertheless, printmaking of the Ming Dynasty appeared to be brilliant achievement. Among these prints, the most popular and satisfactory were Ban Hua (Engraving Illustrative Works)--for literary books. Accompanying the immortal literary masterpieces, these illustrations, which convey to us the synthetic beauties of the Chinese traditional art and folk arts, such as drama, novel, and decoration, have circulated continuously.

If one notes the overall relationship between the achievements of classic art and literature, one might conclude that since the popular novel was at the highest accomplishment during the Ming Dynasty and Qing Dynasty (mainly the Ming), those book illustrations should be highly regarded as a main form of art in those periods. Comparing the Ming and the Qing (1644-1911 A.D.) illustrations with those of the corresponding Western period, we can see some aspects that were contradictory to those of the West. Yet, incredibly, comparing it with some kinds of modern art, we can find similar elements and principles of modern art in these Chinese illustrations.

I. A Socio-cultural Perspective of Chinese Traditional Illustration

In a sense, the rise of Chinese illustration describes the process of unification within the country and the popularization of arts and literature. In Chinese history, since the Qin Dynasty[2] (221-206 B.C.) and Han Dynasties (206B.C. -221 A.D.), literature and the arts have influenced each other. Therefore, the underlying changes taking place in literature always affected art.

Following are some examples.

Taking literature content directly as a motif. Rubbing stones of the Han Dynasty are well known in Chinese art history, most of them described the mythology or legend which was a major content of literature, such as the cult hero Hou Yi, shooting out of the Fu-sang tree, the nine extra suns.[3]

Manifesting literature characteristics in art. The Six Dynasties' (222-589 A.D.) literature had two major characteristics: (a) In Southern Dynasties' literature the most distinctive type was the Fu, which was a rhythmic prose, read as poetry, but with irregular meter and length of line. The style of *Fu* is highly colored and elaborate; and (b) in the literature of the Northern Dynasties the most outstanding achievement was in their theoretical prose, which showed a well-knit and unadorned style. Correspondingly, distinct styles appeared in the art. For example, the great painter Gu Kaizhi (344-406 A. D.) took the closing moments in the *Fu* of "The Fairy of the Luo River" (*Luo Shen*) to illustrate. This descriptive piece, with the same title, exhibits highly elaboration in linear rhythm. Another example, "The Filial Shun" (Late Northern Wei Dynasty, about 520-530 A. D.), conceived very richly and drawn very beautifully[4], shows a pure language of the brush. Its subject was taken from the doctrine of Confucius.

Describing poems in art. The Tang Dynasty (618-907 A.D.) was an epoch of the flowering of Chinese civilization. The Tang's open-minded attitude was unprecedented and unique. It was magnanimous to outside influences and encouraged interchange with foreign cultures; internally, the ruler enforced enlightened politics. Therefore, during the Tang period, many kinds of literature and art gained outstanding achievement. Poetry, in particular, reached its climax, as a main trend of Chinese literature reached its climax. Furthermore, the combination of

poetry and the visual arts conveyed a spirit of lyricism--a so-called "poetization of arts" or "pictorialization of poetry." A typical example of this style is the poet-painter Wang Wei (699-761? A.D.). His influences on landscape painting can be found not only in the *po mo* (broken ink) technique, but also in the poetic relationship with nature which became a doctrine for scholar-critics from the Song Dynasty onward.

In the West, it was Picasso who first emphasized the interaction of poetry, music, and painting. According to Joan Miro (1893-1983 A.D.), when Picasso saw Miro's work, he said: "Look here, you know, that's pure poetry." Miro remarked that Picasso was constantly wanting to advance beyond painting into poetry, music, and other fields, and not remain stuck with pictorial art.[5] Poetry painting as an aesthetic principle became inherent in Chinese art (even effective in literature book illustrations which were thought of as a folk art by some experts). The most brilliant period was the Song Dynasty. To all scholar-painters of the Song Dynasty, Chinese painting was as an expression of the principle. Sometimes they directly took a poem to represent a theme. Thus, the paintings conveyed a poetic expression. In Northern Song (1101-1126 A.D.), the official School of Painting (*Hua-Yuan*) set examinations to the painters who wanted to be candidates for administrative posts, the theme was generally a line from a poem. The winner was the one whose work appeared most ingenious and allusive.

Chinese painting and poetry mingled into one stream, thus any change in the main trends of literature would affect the development of art, its content and form.

1. Literature and art disseminated to the masses. During Mongol domination, known as the Yuan Dynasty (1280-1368 A.D.), poetry (*shi* and *ci*[6]) was no longer a mainstream of Chinese literature. The atmosphere was not conducive to creative work among the literati. On the other

hand, popular literature, such as the novel in everyday language and plays or operas, flourished and took root at this time. They all continued to develop greatly in later centuries. This kind of cultural aspect signified that the literature and the art disseminated to the masses from the literati, and to the marketplace from the court.

2. Cultural aspects: popular rather than scholarly trends. The Ming Dynasty was a phase of despotism in Chinese history. The government enforced high-pressure policy and tight control, especially on the intellectuals. The scholarly field was in such darkness and depression that hardly did anyone attempt anything in literature or art. Nevertheless, in the popular realm, there was considerable creativity, notably in the novel[7]. It is worth mentioning that this kind of cultural aspect, popular rather than scholarly trends, has repeated often since the Ming Dynasty, even in modern China. Every period when the government enforces high-pressure policy on the intellectual, the popular realm, as a contradiction of the silence of the scholarly field, sounds invigorated in their literature, theater and art.

3. Popular literature made satire more possible. Behind the peculiar phenomenon mentioned above in literature and art exists a complex of different social strata, cultural traditions, etc. which constitute a large number of issues that can hardly be described within the topic of Chinese illustration. Obviously, however, as a direct advantage, the anonymity of popular literature made satire and rebellion more possible. For example, *The Water Margin* (*Shui Hu Zhuan*, also known as *All Men Are Brothers*, 1300-1400 A.D.), one well-known novel written by Luo Guanzhong from material put together by Shi Naian, depicted some sworn-brothers who dared to rebel and fight a corrupt regime. This kind of hero was exemplified by Robin Hood in the West in the seventeenth century. This novel stimulated rebellion in later generations, and

disseminated successful experience to them. Another example was Chen Hongshou (1598-1652 A.D.), a great master in art, who detested corrupt officials, powerful bigwigs, and sympathized with the suffering people. In the late Ming Dynasty, *The Water Margin* became very popular among the people. Therefore, the imperial court commanded it to be burned and strictly forbade people to keep and read it. Under this kind of situation, Chen Hongshou enthusiastically produced the illustrations for *The Water Margin*. He at least tried to draw the images in three different types and, furthermore, wrote paeans to his heroic characters on the drawing pages for his heroic characters. Obviously, his attitude infuriated the Ming court. Liu Yuan, a scholar of the early Qing dynasty, who acted as an apologist to the feudal reign, remarked on Chen's illustrations for *The Water Margin* "It is really a pity that the artist employed such exquisite designs and consummate mastery of the brush to express bandits instead of loyalists of the imperial court.[8]"

Generally speaking, the developed popular novel gave its name to the era--Ming and Qing novels, known as *Tang Shi* (poetry, 618-907 A.D.), Song *ci* (poetry, 960-1279 A.D.), *Yuan Qu* (play, 1280-1368 A.D.). Popular literature opened up a new continent for art. Consequently, illustrations grew to maturity and became a proud achievement of that era.

During early Ming Dynasty, a highly developed social division of labor and productive forces brought great progress to crafts, including textiles, lacquer, ceramics, engraving, and printing. Thus, to many people, "Ming" means no painting but the decorative arts. A similar development can be seen in the Art Nouveau[9] movement (1851-1911 A.D.), whose chief exponents and propagandists formulated to implement their philosophy that true art should be both beautiful and useful. In Art Nouveau, the craftsmen achieved brilliant in the decorative arts, such as architecture, book illustration, furniture, textiles, glass and ceramic design.

Due to the greatly developed crafts in the Ming, commerce prospered simultaneously. Especially in southern China, Anhui, Jiangsu, Zhejiang and Fujian, with print engraving flourishing, book merchants enjoyed a brisk trade, many made such enormous profits that their properties reached millions. This fact indicates not only how huge the book market was and how varied the book content, but also indicates increased opportunities for the creation of illustration. The same situation can be seen in the case of Albrecht Durer (1471-1528 A.D.) who was the German counterpart to Leonardo da Vinci. His active years corresponded to the Ming Dynasty. In Nuremberg, the development of printing techniques influenced him greatly. Furthermore, he once worked as a print laborer, and this experience gave the impetus to his creations in printmaking. To satisfy the social needs growing with each passing day, Ming craftsmen had to increase their literary output and improve the quality. Thus printed books inevitably had exquisite illustrations, because the visual image had a strong appeal to the reader and greatly helped to increase sales volume.

Additionally, during the Ming and Qing, many painting masters were very interested in illustration creation. Their participation promoted Chinese illustration, once a "popular art," into a higher standing. Now the illustration had an independent aesthetic worth as a form of art rather than as an accessory of the book. For instance, Tang Yin (1479-1523 A.D.), a *Wu Pai* School painter, did illustrations for *The Record of A Love Story* (*Xi Xiang Ji*). Qiu Ying (1494-1552 A.D.), whose delightful pictures are widely appreciated both in China and in the West, did illustration sketches for *Legendary Females* (*Lie Nu Zhuan*). Chen Hongshou did illustrations *forThe Water Margin and The Chu's Song* (*Li Sao*). In early Qing, Zhang Shenzhi did illustrations for *Xi Xiang Ji* as well (fig.1), and Men Yingzhao did *Dancing for Calling back the Soul* (fig.2).

The masters' productions represented a great advance in portraiture and was the brilliant period of illustration in Chinese art history.

Buddhism prevailed greatly during the Tang period. More than forty thousand Buddhist architectures were distributed widely, mainly over Shanxi, Henan, Hebei, and Zhejiang, and numberless Buddhist monks scattered everywhere. Thus, Buddhism had a profound influence on Chinese culture. To spread Buddhist doctrine more widely, since engraving print was invented in the Tang, the Buddhist Sutra was easily printed in large numbers. Simultaneously, a new type of writing called "converted style" (*bian wen*) emerged to aid people in understanding Buddhism. *Bian wen* was a narrative literature with alternate prose and rhymed parts for recitation and singing on Buddhism themes, such as the stories of the Buddha's life on earth. Both the printed Buddhist Sutra and *bian wen* sometimes had illustrations attached. These printed books have not survived heretofore, except one copy of *The Diamond Sutra* (863 A.D.), which might be the earliest printed book existing in the world. Its illustration in the flyleaf, *Sakyamuni Preaching in the Garden of Jetavana* (24.5x29cm, fig. 3), is the earliest extant illustration.[10] The picture depicts Sakyamuni preaching, a patron saint and monks standing around him, flying *Apsaras* above him, one of his disciples is listening to the sermon, worshiping on bended knees. As part of the precious artistic heritage, this picture shows a high level of skill with its boldly engraving lines through which we can see the use of the brush freely and vigorously. The Five Dynasties' Sutra illustrations were just a sprinkling. Yet two illustrations, iconography of *Goddess of Mercy*[11] (*Guan Yin*), and *Patron Saint of Law*, were found in Dunhuang as well. It is rare to see that the engraver signed his name "craftsman Lei Yanmei"on *Goddess of Mercy*.

Illustrations continually served the Buddhist Sutra rather than other literary themes even in

early Song. Print engraving started to break the fetters of Buddhism during Southern Song and the Yuan. On one hand, it was the era of a philosophical trend away from Buddhism, with the Buddhist Sutra no longer printed in large amounts. On the other hand, popular literature was increasingly flourishing and reaching a bigger market. At the same time, illustration got a chance to develop. Illustration in the Ming period became entirely a source of public entertainment.

It is hard to find the illustrator's name in Chinese illustration history except for the masters themselves. Under the rigid stratification of a long-term feudal society, illustrators were depreciated as "craftsmen," and thus they were not privileged to sign their names as artists on their works. Even the masters' illustrations mentioned above were hardly collected in Chinese orthodox art history, because those were regarded as folk arts, presenting the sense of genre obviously. In the Song and late Ming, a general opinion within the intellectual society, was that genre artists, including illustrators, were not respectable and their works were considered worthless. This is in marked contrast to the West's emphasis on artists. Every illustrator as an artist signed his name on his illustration work, and some wonderful illustrations have been placed in art history. Martin Schongauger's *Temptation of Saint Anthony* (1480-90 A.D.), Albrecht Durer's *Melancholia 1* (1514 A.D.), and so forth, all brought the artists fame in the Western world.

Indeed, in Chinese cultural tradition, the art of landscape painting came to assume the highest place. Thus, it was as a cultural pursuit of the scholar class, *wen ren* (literati) and *shi dai fu* (high official). Particularly during the Song, landscape painting dominated absolutely art circles. In the West, the human form was the point of central interest throughout most of history. In China it was otherwise. Although Man was the main focus of philosophy, artists from the eighth century or earlier found their inspiration in nature, and took landscape as a major theme. Tang Zhiqi, an

artistic critic of the Ming, summed up the scholar's comment on Chinese art in his book *Miniature Speech on Art Matters* (*Hui Shi Wei Yan,* the Ming Dynasty), which divided Song paintings into four grades: "The best grade is mountain and water (shan shui), secondary subject is bamboo (zhu), orchid (lan) and stone (shi), third one is flower (hua) and bird (niao), last one is figure (ren wu)."[12] In fact, this kind of theory had continuously influenced classical Chinese art for the whole feudal period.

II. An Idealistic Perspective of Chinese Traditional Illustration

Ming Dynasty and Qing Dynasty illustrations realistically reflect the Chinese socio-cultural ideas, such as values, faith, spirituality, moral principles, human relationships, and inherited Chinese art tradition, simultaneously assimilated the elements of Chinese folk art. Three major characteristics may be summarized as follows: The first is "*Dao-Li*". "*Dao-Li*" means philosophical principle or world-view which covers basic metaphysical, epistemological, logical, or aesthetical importance in the content of illustration. "*Dao-Li*" discusses the relationship, interaction and harmony between human, natural and supernatural being and also the balance between body and mind in humanities. "*Dao-Li*" also examines what are the "meaning", "significance," and the "truth," of human existence. Generally speaking, although "Dao" is the most fundamental term for all kinds of Chinese philosophies, there are differences among Daoist, Buddhist and Confucian "*Dao-Li*". For example, Daoist illustrations describe impersonalized supernatural being (Dao) and natural being (*wan-wu*--the ten thousand things) rather than human being or artificial things; Buddhist ones emphasize personalized supernatural being, such as the Buddha, Arhats, or Bodhisattvas); Confucian illustrations stresses human being. Almost all of Chinese novels or other forms of literature are a mixture of Daoism, Buddhism and Confucianism.

As a result, their illustrations logically follow these three kinds of philosophy and spirituality. The second is "*Yi-Li*". "*Yi-Li*" means moral principle or ethical view which covers only relationships among human being, namely five basic human relationships and other relationships derived from, such as ruler-subject, parents-children, brother-brother, husband-wife, friend-friend etc. Since Confucianism has been the dominant ideology and socio-political norms in Chinese traditional culture, clearly and naturally, the human relationships would constitute the most important subject in the Chinese illustrations.

For Confucianism and Neo-Confucianism, moral power or "rule by virtue" is the only one that can really control the society; and hence provide the only ideal political system for social development. Therefore, only the real moral relationships may provide perfect balance and harmony among human being, and also transfer more ordinary persons to be holy or ideal persons. Because the good and the bad, the right and the wrong, the beautiful and the ugly, and even the true and the false are all basic ethical distinctions to classify the moral and immoral persons (superior men and mean men), the figures in the illustrations used to be drawn through Lianpuhua or "facialization"--the simple skills to use types of facial makeup in operas.[13] Even in order to distinguish different levels of the moral and good persons, certain detailed "facialization", not only "face expression", but also body size and dressing style, etc. (fig. 4, Xiao Yuncong, *The Eastern Emperor Tai Yi for Li Sao*, the Qing Dynasty) were standardized. For instance, superior men that are gorgeously dressed are bigger than inferior men that are dressed dull. Some illustrators tried to apply certain more refined skills to demonstrate the internal spirit, will, nature, and personality.

The last is "*Ming-Li*". "*Ming-Li*" means fatalistic principles or determinant views which shows destiny, lot or a preordained future of human being. According to Chinese religious or

superstitious culture, such as fortune telling and practice physiognomy, one's fortune or character can be told by judging his or her face, bone, hands or even some mystical "*Qi*" (vitality life energy, or mental power). For these reasons, to a certain extent, the Chinese traditional illustrators attempted to depict the fortune of figures in their works. In the illustration of Hong Lou Meng (*The Dream of Red Chamber*,) Dai Yu (fig. 5), one of the main characters, also one of twelve beauties, was drawn according to Chinese physiognomy which can prophesy one's fortune through reading one's features. The tragedy of Dai Yu, "short life and unhappy love," was implied in her features. Drawn symbolically, the curving lines of her body were repeated in the background, the branches of bamboo, even stone. They all implied that she was a sentimental girl with a weak physique.

The Ming and Qing popular novels developed as a true literary form; among them, three novels are regarded as major classical novels in China today. The first one is *The Dream of the Red Chamber* (*Hong Lou Meng*, 1724-1764 A.D.) which describes the rise and fall of a large family. Through the story one can see the social manners of an era, such as domestic life, plural marriage, legal battles, and so forth. The second one is *The Water Margin*. The rebels convey to the reader a moral principle, "All men are brothers," advocating an ideal relationship of friend-friend, brother-brother, even ruler-subject, thus the slogan placed into rebels flag is "Uphold Justice for Heaven (*Ti Tian Xing Dao*)." The third one is *The Record of A Journey to the West* (*Xi You Ji*, 1500-1582 A.D.), which describes how a monk escorted by his three disciples trudged to the original home of Buddhism in India in order to fetch scriptures and bring them to China. The illustrations done by Chen Hongshou for *The Water Margin* and Gai Qi (the Qing Dynasty) for *The Dream of Red Chamber* are very successful. The real pity is that the illustrations of *The Record of a Journey to the West* have been lost.

Chen Hongshou's illustrations in *Water Margin* vividly portrayed a series of rebels who were in completely different family backgrounds, social positions and mental attitudes. These impressive figures depend on certain symbolic expressions. For instance, according to the Chinese traditional ethical view, an official with a square face marked a man of integrity. Thus, Song Jiang, a former official and then a leader of rebellion, was depicted with a square face. Another hero, Wu Song, had such great power that he once beat three tigers to death one after another. His facial characteristic was ringlike eyes, which showed a man of congenial temper who hated evil like a foeman. In order to distinguish good or bad men, and different levels of good men, Ming and Qing illustrators employed not only "face expression," but also body size and dressing style. For instance, a superior man was always bigger than an inferior man, and placed on the center, as can be seen in "*The Eastern Emperor Tai Yi*" (fig. 6). The most outstanding example is still the figure art of *The Water Margin* by Chen Hongshou, they all were drawn in exaggerated shapes (fig. 7 and 8) to emphasize the inner feeling rather than depict the figure's outer image, which the Western Modernist has taken as a credo.

In the West, the characters in traditional illustrations were drawn in a realistic way. Anatomy, features and the subordinate objects all looked accurate. Yet it is otherwise in modern art. In the symbolic work *The Scream* (Edward Munch, 1893, woodcut, fig. 9), the figure, a tramp, is opening his mouth to scream, his body got lost and turned into curving lines that are repeated in the background. Comparing it with *Dai Yu* surprisingly, one can find symbolic expression in both; the artists had a similar approach to artwork. Although *Scream* is non-naturalistic, *Dai Yu* is naturalistic. Indeed, the artists emphasize the inner spirit, wherein, the linear rhythm conveys the internal nature rather than depicting a natural image. Comparing *The Eastern Emperor* with

Dadaist George Grosz's *This War Invalids Are Getting to Be a Positive Pest!* (1920, fig. 10), one may also be surprised at the similarity of composition principle. The Eastern Emperor, being a superior man, should look out of the ordinary. Thus, the artist made him bigger than others. In Grosz's picture, to emphasize the fat man as a warmonger leader, the artist exaggerated his size and placed him in the center.

III. An Aesthetical Perspective of Chinese Traditional Illustration

Ming and Qing illustrations realistically reflected Chinese socio-cultural ideas, such as values, faith, spirituality, moral principles and human relationships. Illustrators inherited and developed traditional technique of Chinese art, mainly the linear rhythm. Besides, they assimilated the expressive method of the folk art, such as exaggerated images. Two major characteristics may be summarized as follows.

A. Shape by Using Line and Shape by Using Light. Doubtless, "shape by using line" is applied in a unique way by Chinese artists, especially in depicting figures. Lines reveal the spirit, disposition and emotion of the figure, also the feeling of the artist himself, such as in the above-mentioned *Dai Yu*. The substances around the figure and its structure, volume, quality, value, and space, are also in the linear rhythm. Herein lies the reason for Chinese art to have developed into this manner.

Chinese painting and calligraphy are considered virtually one--one body and one source. The artists in painting or calligraphy use the same kind of brush (shaped into a round body with good tip, and water-soluble ink on silk or highly absorbent paper. Colors are sometimes used in painting, but much of the most prized art was done in black and white with delicate variations of gray. Thus, both painting and calligraphy emphasize the brush stroke and linear rhythm.

Henceforth, using line according to the tradition in Chinese art essentially means a synthetic expression; shape, quality, gesture, dynamic, emotion, and so forth. Early in the Six Dynasties, Xie He (Southern Qi Period, 479-501 A.D.) attributed "Six Canons" to Chinese painting in his famous *Ancient Painters' Classified Record* (*Gu Hua Pin Lu*); the second principle "*gu fa yong bi*" means "brush creates structure." *Gu* (the "bone"), the structural strength of the brush-stroke itself, is considered the inner vital spirit. *Gu fa yong bi* is more emphasized in Chinese illustration, and Wang Keyu, an artist of the Ming Dynasty, summed up eighteen methods for using line on drawing people,[14] such as *you si* (gossamer line, fig. 7) for soft silks and *tie xian* (iron line, fig. 8) for cotton fabric.

The illustrations of Chen Hongshou show a high degree of expertise in the technique of line usage; the variety and irregularities of linear rhythm give his figure an inner spirit. In *The Portrait of Qu Yuan Reciting Poem* (*Qu Zi Xing Yin Tu*, fig. 9) we can see *tie xian*, the vigorous and strong line; *lan ye xian* (orchid leaf line), the line turning from thick to fine; and *you si*, very fine line. In *Hu Yanzhuo* we can see *zhe lu xian* (broken reed line), the harsh and triangle line. In contrast, following the classical rule of Western art, Western illustration well matched the period with China, stressed values, so the range of values was usually the first thing noticed. Based on values, the modeling described a volumetric three-dimensional area and showed depth. Thus, the attention to light sources is usually defined and has priority. One convention, the use of light, is often seen as a dark shape set against light. Durer's work is the perfection of arranging value. Yet this technique was always avoided as a taboo in Chinese illustrations. During late Ming, a few artists tried to employ the range of values, setting light against dark form for an illustration purpose. However, it was unacceptable. According to Chinese aesthetical habit, the people would

not tolerate the big shadow area detracted from the pure linear art.

Generally speaking, Chinese illustration dealt with line to show brush stroke, linear rhythm, line-change, etc.; the Western artist, on the other hand, dealt with values on which the object was built into three-dimensional form and the lightness and darkness contrasted each other to get balance in the whole picture.

B. No Fixed Viewpoint and One Point Perspective. There is an important difference in the viewpoint and perspective of the artist in Chinese and Western art. The eye of the Western artist takes in the scene from the level of five or six feet above the ground. The Chinese artist works from a raised viewpoint, as if on a hillside opposite the scene, thus he can obtain an overview of the whole. Or it may be said that the artist has no fixed viewpoint and that his gaze can rove at will, both horizontally and vertically. The idea of multiple perspective requires the artist to plan properly in placing of elements, which, in "Six Canons of Painting," is so-called *jing ying wei zhi* (organized composition). Chinese illustrations not only inherited the tradition of multiple perspectives, but also combined the elements of no fixed time and space. *Burning Cuiyun Mansion* (*Huo Shao Cuiyun Lou, the Ming Dynasty*, fig. 10), one illustration of *The Water Margin*, was thought to be the culmination of Chinese creative genius in illustration. The multiple scenes describe the whole story from every angle and in a continuous plot. The start can be seen at the top right, where one hero is burning a fire as a signal for the rise of the rebellion. Seeing the signal, three others are coming to set other fires. Then the rebels dash into the gate and spread out everywhere to kill corrupt officials, catch evil persons, etc. Among the main plots, the picture describes the frightened crowd, the street scene of a light festival and, at the top right, one official is running away, escorted by a general Li Cheng whose name is placed on a flag. This is the end

of the story. The composition of this picture would be impossible with a fixed vanishing point and one-point perspective. There must be multiple vanishing points. One blends imperceptibly into the next. We are almost bound to follow it to view the story. The composition of *Burning Cuiyun mansion* combines various scenes happening at different times.

The same characteristic also appears in the other book illustrations, such as *The Record of Love Story and Gold Vase Plum* (*Jin Ping Mei*, the Qing Dynasty, fig. 11). Some organized compositions exhibit simultaneously the outside and inside of a building and time past, present, and future. Similarly, Grosz always rendered his scene in the manner that he called "the folkloristic drawing," with no fixed vanishing point. His "Riot of the insane" (1915), describes the crimes in the whole street scene. In "At 5 o'clock in the Morning" (1921), Grosz simply drew a line, dividing a picture into two parts, to depict the circumstances of inside and outside. He remarked: "They seemed to me to be the most immediate expression and the most succinct translation of strong feelings."[15] This manifestation might be applied to Chinese illustrations.

To "immediate expression" and "the most succinct translation," Chinese illustrators combined time and space, a four-dimensional space, for a conceiving idea. Then they put the elements in their proper place. Consequently, the distant view and the close view, sky and ground, void and concrete, and so forth, integrated into two-dimensional space organically and ingeniously. The organized composition to has been as a canon to all Chinese artists, so-called *jing ying wei zhi*, summed up in Xie He's "Six Principles of Painting." Chinese illustration absolutely inherited this principle and further, developed in a new manner with the addition of different time elements. This manner originally existed in Chinese folk art, such as New Year pictures and paper-cut.

When Picasso created *Crying Woman* (1937), he implemented the law of four-dimensional space, by which he could see simultaneously the woman on all sides. Thus, it was reasonable that he placed two noses on one face. Much earlier than Picasso, Chinese paper-cut showed this four-dimensional image on a flat plane. It was why Picasso was surprised to see Chinese folk art[16]. The law of four-dimensional space in *Burning Cui Yun Manson* is the combination of multiple time and space into two-dimensional design. It might be said that the artist absorbed the nutrient from folk art.

Western traditional illustrations followed strictly the rule of fixed point perspective. Thus, the composition manifested a realistic space with one viewpoint. Scientifically, this rule helped artists to find an expression of three-dimensionality combined with accurate drawing of the object. This, in reality, may be a kind of limitation on the artists; who can express what they see by observing through the eyes, but not what they "see" by force of the mind.

Conclusion

Chinese illustration rose and flourished during the Ming dynasty (mid-seventeenth centuries), along with the development of popular literature, circulating among people for generations. It represented the epitome of Chinese society and its cultural traditions, it also revealed styles of Chinese folk art. As a branch of art, Chinese traditional illustration inherits the spirit and philosophy of Chinese arts, presenting the six principles or "Six-in-One": (a) spirit, (b) rhythm, (c) thought, (d) scenery, (e) brush, and (f) ink, such as *qi yun sheng dong*[17], *gu fa yong bi,* and *jing ying wei zhi* which are practical applications of "Six-in-One."

As a form of art, Chinese illustration provides certain originalities that allow an incredible scene to be created through the interweaving of multi-time and multi-space, all while maintaining

a two-dimensional surface. When comparing Chinese illustration with that of the West's, we find not only how traditional work is in marked contrast, but also the similarities between Chinese traditional illustration and the modern Western illustration. In fact, some Western artists were surprised and influenced by Chinese art. The structure of multiple "crossing of time and space" in Chinese art made Picasso feel "a miracle."

Take *Burning Cui Yun Mansion* as an example, it might describe the psychological process of art creation. The artist started his art creation at the "intentional point," seen in the picture as multiple viewpoints, then "the central line" or "the primary motion line," seen in the picture is an invisible "S" line. Later his mind went through "two dimensions" and "three dimensions" to form the images, furthermore blending in the element of time and reaching "four dimensions." Finally, at this destination, he combined "four dimensions" and "three dimensions" together, and came back to the "two dimensions." This process might be seen as an inner structure on which the artist was ready to compose in two-dimensional design.

This well-constructed picture represents a masterpiece among Chinese illustrations. Whereas Western artists start their creation at "the view point," then "the central line" or "the primary motion line," later the mind passes by "two dimensions," and reaches "three dimensions." At this point, they are ready to create an illusion of "three dimensions." The comparative study between Chinese and Western illustration conveys important differences and interesting similarities. Chinese illustration characterized by a distinctive national style not only is a precious heritage in Chinese art history, but also appeals to the modern Western artists.

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Notes

1. Many great names in this era of masters, such as Li Cheng (940-967), Dong Yuan (10th century), Fan Guan (990-1030), presented that the Chinese landscape painting reached its climax.

2. The spelling for Chinese words is the official *pinyin* transcript system, which has been adopted by the United Nations.

3. The story was collected into *The Book of Mountain and Sea* (*Shan Hai Jing*) in the Han period.

4. *Filial Shun*, an engraved stone slab, was thought to have surely been copied from a hand scroll done by an accomplished artist.

5. Marilyn McCully, *A Picasso Anthology: Documents, Criticism, Reminiscences*, Princeton: Princeton University Press, 1978, p126.

6. Ci is a style of poetry written to certain tunes with strict tonal patterns and rhyme schemes, in fixed numbers of lines and words, originating in the Tang Dynasty and was fully developed in the Song Dynasty.

7. A type of traditional Chinese novel in which each chapter was headed by a couplet giving the gist of its content, such as *All Men Are Brothers (Shui Hu Zhuan*).

8. Liu Yuan, *The Pictorial Preface on Meritorious Persons of Ling Yan Pavilion, Ling Yan Ge*

Gong Chen Tu Xu, 7th century.

9. *Art nouveau* is a French term meaning simply “new art.”

10. Original copy with picture was plundered in the Qing period by Stein, who has been thought as a culture spy by Chinese people, and has been presently collected by the London Museum.

11. Original picture was also plundered by Stein, presently collected by the London Museum.

12. Tang Zhiyi, *Hui Shi Wei Yan, the Ming Dynasty (Minniature Speech on Art Matters).* p 48.

13. Just like Chinese operas, many types of facial makeup have been applied to represent various "good roles" or "evil roles".

14. Zhu Xin, *The Ming Dynasty’s Eighteen Methods for Drawing People,* Tianjin, China: People’s Art Press, 1994, p24.

15. U. M. Schneede, *George Grosz, His Life and Work*, New York: Universe Books, 1979, p38.

16. Su Liandi, *Chinese Folk Arts*, Shangdong, China: Education Press, 1991, p508.

17. The first principle of "Six Canons of Painting," written by Xie He, which means circulation of Q*i* (breath, spirit, vital force of Heaven) produces life movement.

Glossary

Ban Hua版画　Hou Yi后羿　Fu-sang tree扶桑　Fu赋　Gu Kaizhi顾恺之　*Luo Shen*洛神　Wang Wei王维　Po Mo 泼墨　Hua Yuan画院　Shi Ci诗词　*Shui Hu Zhuan*水浒传　Luo Guanzhong罗贯中　Shi Naian施耐庵　Chen Hongshou陈洪绶　Liu Yuan刘源　Tang Shi唐诗　Song Ci宋词　Yuan Qu元曲　Tang Yin唐寅　Wu Pai吴派　*Xi Xiang Ji*西厢记　Qiu Ying仇英　*Lie Nu Zhuan*烈女传　*Li Sao*离骚　Bian Wen变文　Guan Yin观音　Wen Ren文人　Shi Da Fu士大夫　Shan Shui山水 Tang Zhiqi唐志契　*Hui Shi Wei Yan*绘事微

言 Zhu竹 Lan兰 Shi石 Hua花 Niao鸟 Ren Wu人物 Dao Li道理 Dao道 Wan Wu万物 Yi Li义理 Xiao Yuncong Tai Yi Ming Li命理 Qi气 *Hong Lou Meng* 红楼梦 Dai Yu黛玉 Ti Tian Xing Dao替天行道 *Xi You Ji* 西游记 Song Jiang宋江 Wu Song武松 Xie He谢赫 *Gu Hua Pin Lu*古画品录 Gu Fa Yong Bi骨法用笔 Wang Keyu You Si (gossamer line)游丝 Tie Xian (iron line)铁线 Qu Yuan屈原 *Qu Zi Xing Yin Tu*屈子行吟图 Lan Ye Xian (orchid leaf line)兰叶线 *Hu Yanzhuo*呼延灼 Zhe Lu Xian (broken reed line)折芦线 Jing Ying Wei Zhi (organized composition)经营位置 *Huo Shao Cuiyun*火烧翠云楼 Li Cheng李成 *Jin Ping Mei*金瓶梅 Qi Yun Sheng Dong气韵生动 *I Jing*易经 Dong Yuan董源 *Shan Hai Jing*山海经 *Ling Yan Ge Gong Chen Tu*凌烟阁功臣图

Traitors to a Christian Nation: Mormons in the American Empire of the West

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Abstract:

Traitors to a Christian Nation: Mormons in the American Empire of the West

The American empire that extended into the western parts of North America was an exclusivist creation. Groups that came in contact with the power projecting inexorably from the East found themselves marginalized in the new system that was being created. Native Americans, Asians, and Hispanics were all defined outside the realm of "civilized" American society. The resulting persecution, and all too often in the case of the Indians wholesale slaughter, has led many historians to point to the racial prejudices driving the formation of the American empire in the West. However, one marginalized Western group has generally been overlooked when exploring the exclusiveness of the American empire. The Mormons living in Utah territory, although themselves white, Anglo-Saxon citizens of the United States were defined outside the realm of accepted society solely because of their religious peculiarities. Many of them had once belonged to the Eastern WASP culture, but their conversion to the Mormon faith had brought with it an ostracization from mainstream America that led to near conflict in the late 1850's and early 1860's. Mormons were seen as degenerate whites because of their refutation of proper Protestant Christianity and were often classified derisively, along with the foreigners and Indians, by official communiqués.

The Mormon practice of polygamy especially enraged the Eastern whites and was contemptuously referred to as an "abomination in a Christian country" by many in Congress. The discrimination against them was enhanced and given official sanction when the Republican Party adopted a platform that linked Mormon polygamy and Southern slavery as the "twin relics of barbarism." Although the Mormons had the population and the organization requisite to enter the family of states, Republican opposition remained incessant. Their religion made them traitors to a Christian nation in the eyes of Northern Protestants. This was despite the fact the Mormons openly announced their intention of entering the Union as a free state and their devotion to free labor principles, thus, dispelling the theory that halting the extension of slavery was paramount to the Republican Party.

Military, legislative, and social means were all sought bring the Mormons back into the Protestant fold. The Homestead Act was argued for at least in part because it was believed it would flood the Mormons and their heresy out of existence with proper "Christian" settlers. During the secession crisis of 1860-61, while eleven states manifested their disloyalty to the United States by leaving the Union, the Mormons in Utah were endeavoring to join the Union rather than leave it. Instead of being received with open arms as a solidification of the Union's tenuous hold on the Far West, they were denied entry into the Union because they were deemed disloyal citizens. Although they declared their fealty for the Union, despite its domination by the very Republicans who had sought means of "extinguishing" their religion, and even responded rapidly to President

Lincoln's call for troops, in 1862 the Union government sent an army to occupy Utah when surely the forces were desperately needed elsewhere.

Examining the issue of Mormon exclusion, especially at a time of such trouble for the Union, shows the depth of exclusiveness of the American empire. Race was not the only factor in exclusion, nor was national origin. Understanding the path that led to a near collision between the Mormons and Federal troops in 1862 is crucial to understanding the exclusiveness of the American empire in the West.

Steps in the Writing Process: Teaching Freshman College Writing Skills

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This paper suggests that by following four steps in the Writing Process, a writers' community is built wherein ideas are exchanged. Beginning with a pre-test and data cards, the instructor develops student profiles that guide her teaching. Students learn expeditiously what is expected of them and how they are being evaluated. They follow the Writing Process for all essay assignments. Also, they present their final drafts to peers, other instructors, friends and family. One-on-one conferences are held frequently, and night or breakfast sessions with the class appear to create excitement for learning how to write. Readers' Theatre presents an opportunity to enter the live performance circle where the audience is significant. The natural richness of the class creates an atmosphere that broadens the students' sociological perspectives. In this participatory class, students are free to both appreciate each other and care about themselves.

Steps in the Writing Process: Teaching Freshman College Writing Skills

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Edinboro University of Pennsylvania

> The experience of riding Midnight takes my mind away from stressful issues. From the time I start grooming him until I turn him back out at the end of the ride, I am focused on his safety as well as mine. While grooming him, I am looking for any wounds or skin disorders, swelling, or masses from an unseen injury and possible parasite eggs that may be present. When I clean and inspect his hooves, I am looking for any abnormalities such as a bruise or crack in a hoof wall, foreign bodies or infections. While saddling him up, I have to think: Does his tack fit properly? Is it binding or chafing to him? Is it worn, to the point that it presents any possibility of breakage? The time to discover any of the problems is while we are still in the barn. During the ride, I have to be aware of the terrain: Is the area in which I am riding free from dangers such as groundhog holes, loose soil, or rocks? Is the hill I wish to transverse too steep to be safe? My rides usually take me into underdeveloped country, away from the hustle and bustle of the human potpourri of confusion. I am free to better appreciate the gift that God has provided for me in terms of vistas, wildlife, and wood. (Ims, 2003, p. 1)

The above is an excerpt from *After Midnight*, an essay written by Alan Ims in College Writing Skills. He tells an audience how he, as a former sea captain, relaxes – how he is rejuvenated after being with Midnight. After five revisions, he was proud to present his essay to his peers, friends and family.

The writing process is often hard work and it takes time and patience. Steps that are taken on the way toward completion present an opportunity for a student to "express something about himself/herself, to explore and explain ideas and to assess the claims of other people" (Trimmer, 2004, p. 2). From the first day in College Writing Skills, it is important that students become involved in the writing process while moving through four stages: planning, drafting, revising and editing. It is a messy process which may mean going back to a step, then moving forward again. Before students become involved, however, excitement must be generated beginning with the first day of class.

The tone of the class is set on the first day when the teacher introduces herself/himself and when students are asked to introduce themselves. After the introductions, the syllabus and class schedule are explained as clearly and enthusiastically as possible; these materials eventually become more meaningful during the semester as the students progress through the stages of writing. Nevertheless, the syllabus must indicate exactly what the students will be expected to do as writers when they complete the course. The syllabus is a road map for navigating through the course. On the following page is an example of the syllabus:

EDINBORO UNIVERSITY OF PENNSYLVANIA
EDINBORO, PENNSYLVANIA 16444

ENGLISH 101, COLLEGE WRITING SKILLS
SYLLABUS

FALL 2002

DR. ARMENDIA P. DIXON, INSTRUCTOR

1. Course Description
This competency-based course is a study of the organization and development of written composition, from the paragraph to the full-length paper. Students practice the expository writing skills needed to prepare college-level themes, and essay examinations. Prerequisite: Successful completion of English 010 or equivalent competency.

2. Objectives
After completing the course, students will be able to:

a. respond to essay topics requiring critical and analytical thinking;

b. write a complete essay consisting of introduction, support paragraphs and conclusion;

c. employ the major modes of writing: description, classification, process, definition, comparison/contrast and cause/effect (problem/solution);

d. effectively consider their audience when composing ideas;

e. aim ideas for the following purposes: personal, persuasive and referential writing (standard academic writing used at the university);

f. employ a writing process consisting of planning, drafting, revising and editing;

g. employ rhetorical and structural devices as punctuation, parallelism, transitions, pronoun reference and subordination (at the word, phrase, and clause level) to achieve coherence and unity between ideas within essays);

h. use the library to research outside sources for ideas and incorporate these ideas effectively within essays;

i. share writings with others.

3. Textbooks
Trimmer, Joseph E. *Writing with a Purpose*: Thirteenth Edition. New York: Houghton Mifflin, 2002.
Troyka, Lynn Q. *Quick Access*: Third Edition. New Jersey: Simon & Schuster, 2002.

4. Methods of Evaluation
Six major writing assignments, each worth 10% of grade: 60%

a. Relaxation Paper
b. Warning Paper
c. Restaurant Paper
d. Then and Now Paper
e. Analysis Paper
f. Just for Fun Paper
Two in-class essays 10%
Final Examination 10%
Daily Grade (Class participation and quizzes) 20%

Each of the six major writing assignments will be graded according to the following formula:

In-class prewriting, self analysis:	10%
Rough Drafts (Revisions)	20%
Final Draft (Graded according to PA Writing Assessment)	70%

4=A, 3=B, 2=C, 1=D, Below 1=F

Each essay assignment will be taught as a process consisting of Planning, Drafting, Revision and Editing.
All revisions will be kept and submitted with each draft.
Under no circumstances will the instructor accept a paper from a student who has not gone through the writing process as described above. In addition, the instructor will refuse to grade assignments that are turned into the office in lieu of class attendance .

All work is due at the beginning of the hour on the day that it is due.

5. Attendance

Regular attendance in class is an obligation assumed by each student at the time of registration and is necessary for the student to fulfill all requirements of this course. In addition, Edinboro University Policy A062 states that the faculty members are encouraged to consider class attendance in their grading. Therefore, students shall have the privilege of unexcused absences equal to the number of classes held in a week. This means that if the class meets Monday/Wednesday/ Friday, students may cut three classes, and if the class Tuesday/Thursday, students may cut two classes. Students who cut more classes than allowed by Policy A062 will lose one point off their grade for each missed class.

Each writing assignment will be taught as a process, a process that involves teacher-student conferences and peer reviews. If carefully planned, conferences may be held in class. Adding another dimension to one-on-one writing conferences held with students, the teacher may schedule night or early morning group conferences, enhancing these with breakfast or an evening snack. It is necessary to find, therefore, an appropriate place to hold these sessions. Students rather enjoy these confabulations and at the same time seriously work on writing problems.

The syllabus, which gives the general picture, isn't all that is required in the writing class; students need to see the bites of activities that create the big picture, hence, the *Class Schedule*. This comprehensive guide reflects a focus on the issues and concerns of freshmen. Writing about these may make for engaging in the coursework. Let us take a look at the schedule:

EDINBORO UNIVERSITY OF PENNSYLVANIA
EDINBORO, PENNSYLVANIA 16444

SCHEDULE
FALL 2002

ENGLISH 101, COLLEGE WRITING SKILLS
DR. ARMENDIA P. DIXON

WEEK		PLANS
January 15-18		**January 15**: Complete Student Data Cards, review syllabus, set up portfolios, discuss class structure, discuss attendance policy, essay pre-test . **Assignment**: Read Sentences and Paragraphs (Chapter 7, pages 166-199), complete packet and submit on January 17. **January 17 :** Discuss Chapter 7, materials in packet, submit packet **Assignment**: Read pages 65-70,Thesis/Outlining, complete packet and submit on January 22.
January 21-25	Assignment 1 Relaxation Paper	**January 22**: Class activity related to pages 65-70, submit packet, introduce Writing Assignment 1 First draft due January 29. **Assignment**. Read Chapter 1, Toward Purposeful Writing, pages 2-25, complete packet and submit January 24 **January 24**: Discuss Chapter 1, submit packet. **Assignment**: Read Chapter 2, Planning, pages 26-55, complete packet and submit January 31.

January 28- February 1	Assignment 1 Relaxation Paper First Draft, January .29	**January 29**: Peer Analysis/Self Analysis for Assignment 1 Relaxation Paper **January 31**: Discuss Chapter 2, introduce Grammar cards(Grammar Cards cover Chapter 8 in the textbook; Chapter 8 strands will be throughout the course.) **Assignment**: Grammar Cards, read Chapter 3, Drafting, pages 56-78, complete packet and submit February 5.
February 4-8	Revisions: Relaxation Paper	**February 5:** Discuss Chapter 4, quiz-Grammar Cards, submit packet. **Assignment:** Grammar cards, read Chapter 4, Revising pages 79-104, complete packet and submit February 7. **February 7:** Discuss Chapter 4, submit packet, quiz - Grammar cards **Assignment:** Grammar Cards, read Chapter 5, Common Methods of Development, pages 106 – 130, complete packet and submit February 12
February 11-15	**Relaxation Paper Final draft due February 12**	**February 12:** Discuss Chapter 5, submit packet, quiz –Grammar cards, submit final draft of Relaxation Paper **Assignment**: Read Chapter 9, Diction, pages 233 -260, complete packet and submit on February 14, Grammar Cards. **February 14:** Discuss Writing Assignment 2 Warning Paper, submit packet for Chapter 9, quiz- Grammar cards, discuss chapter 9, organize for Readers' Theatre
February 18-22	Writing Assignment 2 Warning Paper First draft due	**February 19:** quiz – Grammar cards, plan for Readers' Theatre, discuss The Interview, Interview Write-up, and Interview Comment Sheet. **February 21**: Readers' Theatre , Relaxation Paper
February 25 – March 1		**February 26**: "Writing My Little Book of Imagery" Based on Chapter 9 **February 28**: Analyze Readings, pages 254-258
March 4 – 5	Interviews/Interview Write-ups/Interview Comment Sheets due March 5	March 5: Discuss in-class essay test, quiz – Grammar cards.
March 18 -22	Writing Assignment 2 Warning Paper First draft due March 19 **Advanced Writing Assignments**: **Writing Assignment 4, Then and Now Paper** **Writing Assignment 5, Short Story** **Writing Assignment 6, Analysis Paper**	**March 19:** Peer Analysis/Self Analysis for first draft, Warning Paper, submit draft, discuss Advanced Writing Assignments. **Assignment**: Read Chapter 10, Tone and Style, pages 261-286 complete packet and submit March 21, Grammar cards. **March 21**: Discuss Chapter 10, submit packet, Thank You Notes to interviewees for Warning Papers, quiz – Grammar cards. **Assignment**: Read Chapter 15, Writing Strategies, pages 412-484, Grammar Cards, complete packet and submit March 26.

March 25-29	Revisions for Warning Papers Final draft due April 2	**March 26**: Discuss night session on March 28 discuss Chapter 15, pages 412-433, complete packet and submit on March 28, quiz – Grammar cards **March 28**: THE BIG QUIZ SHOW!!!! **Assignment**: Read Chapter 15, pages 434-452, complete packet and submit April 2, Grammar Cards **NIGHT SESSION**
April 1-5	Writing Assignment 2 Warning Paper Final draft due April 2	**April 2:** Discuss Chapter 15, pages 434-452, Grammar cards, discuss Writing Assignment 3, The Restaurant Paper, submit final draft of Warring paper, submit packet. **Assignment**: Read Chapter 15, pages 452-468, complete packet and submit April 4, Grammar Cards **April 4**: Discuss Chapter 15, pages 452-484, submit packet, quiz - Grammar Cards **Assignment**: Read Chapter 15,pages 468- 494, complete packet and submit April 9.
April 8-12	Writing Assignment 3 Restaurant Paper First draft due April 18	April 9: Discuss Chapter 15, pages 468-484, quiz Grammar cards, submit packet, prepare for Readers' Theatre, Prepare for Writers' Seminar **Assignment**: Grammar Cards **April 11**: Readers' Theatre for Warning Paper
April 15-19 ...	**Writing Assignment 3** **Restaurant Paper** **Final draft due** **April 25**	**April 16:** Quiz – Grammar cards, prepare for Writers' Seminar. **April 18:** Submit first draft, Writing Assignment 3, Restaurant Paper, Peer Analysis, Self Analysis. **April 18**: Submit first draft, Writing Assignment 3, Restaurant Paper, Peer Analysis, Self Analysis
April 22-26		**April 23:** Writers' Seminar (Include Advanced Writing Assignments and Restaurant Paper) **April 25**: Writers' Seminar, Submit Restaurant Paper final draft.
April 29-May 3		**April 30:** Debrief, Writers' Seminar **May 2:** Review for finals **NIGHT SESSION**
May 6-10		**May 7:** In-class Essay Final **May 9:** Final Examination

Textbook:

Trimmer, Joseph E. *Writing with a Purpose*: Thirteenth Edition. New York: Houghton Mifflin, 2001.
Troyka, Lynn Q. *Quick Access*. New Jersey: Simon & Schuster, 2002.

Bluebooks (8-1/2 by 11) for essay tests

All work is due at noon Friday, May 10 in my office, Centennial Hall, Room 228. No extension will be given unless the student negotiates an incomplete. It is important to remember there are only two class cuts this semester. Should the student cut more than allowed by Policy A062, the student will loose one point off grade for each class cut.

My office hours are from 1:30pm- 3:00pm Tuesday/Thursday. Feel free to call me at home:814-336-3767; E-mail: armendia@allte1.net; Fax: 814-336-1004.

Continuing the first day, students are asked to complete data cards to be used by the instructor to obtain a profile that will help the instructor to better ascertain the needs of the students:

Class:_____
Course Number:_____
Name:_____
Address:_____
_____
_____
Telephone:_____
E-mail Address:_____
Birthday : (leave off year)_____
Talents:_____
_____
Interests/Hobbies:_____
_____
_____
Special Help:_____
_____
Contracted Grade: **A B C**
Circle Grade

Participating students are asked to be contemplative when completing the data cards because they are accountable for all the information they provide. When listing talents, it may be that during Readers' Theatre students are asked to play the piano or to sing. There is a place on the cards where the students tell the instructor what special help they need, whether it is in grammar or punctuation. The instructor will use this information to provide feedback on papers, to prepare special materials that may help the student and to hold one-on-one individual conferences. Finally, students are asked to circle a contracted grade of A, B, or C with the understanding that they are expected to do the quality of work to earn the contracted grade.

Now, each student must take a writing pre-test which is the last task for the first day. The pre-test does not merely give the instructor a look at the abilities of the students; it provides a look at how students think. "Clear, disciplined thinking is the key to effective writing" (Langan,

J. 2003, p. 3). The writing process is all about providing logical support for the thesis, and the process must be accompanied by an assessment.

*The Pennsylvania Writing Assessment Domain Scoring Guid*e is used in College Writing Skills. Ninety-seven percent of the students who attend Edinboro University of Pennsylvania are in-state students. Though instructors from other states use a similar writing assessment, more and more instructors in Pennsylvania use this tool. Long before students enroll in Edinboro University of Pennsylvania, they understand the writing expectations according to this assessment tool. To continue, the application of this assessment provides the vital curricular connectivity that is needed between school districts and universities.

PENNSYLVANIA WRITING ASSESSMENT DOMAIN SCORING GUIDE

	FOCUS	COMMENT	ORGANIZATION	STYLE	CONVENTIONS
	The single controlling point made with an awareness of task (mode) about a specific topic.	*The presence of ideas developed through facts, examples, anecdotes, details, opinions, statistics, reasons and/or explanations.*	*The order developed and sustained within and across paragraphs using transitional devices including introduction and conclusion.*	*The choice, use and arrangement of words and sentence structures that create tone and voice.*	*The use of grammar, mechanics, spelling, usage and sentence formation..*
4	Sharp, distinct controlling point made about a single topic with evident awareness of task (mode)	Substantial, specific and/or illustrative content demonstrating strong development and sophisticated ideas	Sophisticated arrangement of content with evident and/or subtle transitions	Precise, illustrative use of a variety of words and sentence structures to create consistent writer's voice and tone appropriate to audience	Evident control of grammar, mechanics, spelling, usage and sentence formation
3	Apparent point made about single topic with sufficient awareness of task (mode)	Sufficiently developed content with adequate elaboration explanation	Functional arraignment of content that sustains a logical order with some evidence of transitions	Generic use of a variety of words and sentence structures that may or may not create writer's voice and tone appropriate to audience	Sufficient control of grammar, mechanics, spelling, usage and sentence formation.
2	No apparent point but evidence of a specific topic	Limited content with inadequate elaboration or explanation	Confused or inconsistent arrangement of content with or without attempts at transition	Limited word choice and control of sentence structures that inhibit voice and tone	Limited control of grammar, mechanics, spelling, usage and sentence formation
1	Minimal evidence of topic	Superficial and/or minimal content	Minimal control of content arrangement.	Minimal variety in work choices and minimal control of sentence structures	Minimal control of grammar, mechanics, spelling, usage and sentence formation.

(Pennsylvania Department of Education, 2003)

The Pennsylvania Writing Assessment is a holistic scoring guide. It is realistic to teach students to look at all the elements of effective writing. When an essay reaches the publication stage, it should be the best work a student can do, and it should be a piece that is representative of the English language.

It is powerful when the professor returns papers expeditiously. On the second day of class, the pre-test is returned. At that time, the writing assessment is given to each student and it is explained. The instructor explains that this assessment will be better understood as the student does each writing assignment. In fact, the assessment is adapted for each assignment so that the student sees how the assessment applies to each. Along with the assessment, the structure for a traditional essay is reviewed: introductory paragraph, first supporting paragraph, second supporting paragraph, third supporting paragraph, and concluding paragraph. Students are told that this is a general model and that their essays may have more than five paragraphs. The strength of thinking-in-writing is emphasized as overruling the traditional five paragraph essay.

Next, students are asked to take the pre-test and rewrite it as a homework assignment, following the model essay or making sure that the essay includes the information they consider important for the audience. The pre-test becomes the student's first involvement in the writing process. It is interesting to see what happens as students follow the writing process. For example, consider a sample lesson plan:

EDINBORO UNIVERSITY OF PENNSYLVANIA
EDINBORO, PENNSYLVANIA 16444

ENGLISH 101, COLLEGE WRITING SKILLS
Dr. Armendia P. Dixon, Instructor

LESSON PLANS

January 21 - February 1, 2002

Goal:	To give students practice for a close familiar audience
Topic:	Writing about Relaxation
Objective:	To identify activity/method that is used to relieve stress
	To write a guiding statement about a way to relieve stress
	To discuss problem-solving strategies
	To outline ideas based on guiding statement
	To review Analysis Sheet
	To follow guide for writing first draft
Reading:	Read Chapter 2, Planning, pages 26-55; Complete packet and submit January 22
	Read Chapter 3, Drafting, pages 56-78; Complete packet and submit January 24
Writing Assignment:	Write Relaxation Paper, First draft, and submit February 1
Evaluation:	The Pennsylvania Writing Assessment

.

As students write, common errors are identified; then, mini lessons are presented to the class. Furthermore, because so many students have problems related to grammar, grammar cards may be useful. Each student is given a set of grammar cards, designed by the instructor, with a grammar question on one side of the card and the answer on the other side. The students use the cards that will help strengthen their grammar skills. The cards are also used in study groups. An example of a card follows:

34. What is an appositive? How is an appositive punctuated in a sentence?

(Front of Card)

An appositive is a noun or pronoun – often with modifiers – placed after another noun or pronoun to explain it. Appositives let us vary sentences by combining ideas.

An appositive and the words that go with it are set off from the rest of the sentence by commas.

Examples:
My brother, Commander Pierce, directed reconnaissance for the first man in space project.
Bobby, my cousin, wants a German Shepherd.
(Back of Card)

In using the grammar cards, students come to know definitions, how to recognize examples and how to create their own examples.

Another important feature of the writing class is Readers' Theatre, a performance circle designed to emphasize the significance of the audience. To consider the importance of audience, the students and the professor plan for the first Readers' Theatre when the first essay, *the pre-test*, is presented Reality Style. The class is set astir as groups work to design invitations, make an invitational list, organize program, send invitations, and write press releases. The live audience is comprised of peers, students from other classes, parents, and other instructors. In the midst of all the excitement, students review the Criteria for Readers' Theatre so that they understand the expectations:

EDINBORO UNIVERSITY OF PENNSYL VANIA
EDINBORO, PENNSYLVANIA 16444

DR. ARMENDIA P. DIXON

NAME:_____ DATE:_____
COURSE:_____ TIME:_____

PRESENTER:_____

ASSIGNMENT:_____

CRITERIA FOR READERS' THEATRE

Directions: Based on your understanding of the reader's presentation, please place a check in the appropriate column.

SKILLS	MASTERY	PROFICIENCY	SATISFACTORY
1. Delivery			
a. The speaker sounds enthusiastic and assertive			
b. Articulation and pronunciation are clear			
c. Volume is appropriate			
d. Body language projects nonverbal poise			
e. There is controlled use of space and effective use of audio/visual			
2. Organization			
a. The speaker uses effective introductory strategy			
b. There are developmental paragraphs			
c. The speaker uses effective conclusion strategy.			
3. Content			
a. Information and details are specific to the topic.			
b. Ideas are fully developed			
4. Style			
a. Precise language is used			
b. Word choice is effective			
. c. There is a variety of sentence structures, types and lengths			
5. Critical Thinking			

In Readers' Theatre, students learn the value of having their writings appreciated and critiqued by others. Some students share their talents while others serve in various roles that include Mistress of Ceremony, Photographer and Host. Professor Deborah DuBartell, a linguist in the Department of English and Theatre Arts at Edinboro University of Pennsylvania, describes a Readers' Theatre she attended:

> The day's conference schedule included five students' presentations. One student from the class chaired the day's session and introduced each presenter; another student photographed each presenter during the talk. The presenter read his/her essay, which was followed by applaud from the audience. Dr. Dixon then asked the students in the audience to complete the "Criteria for Presentations" form that she had distributed to them in order to reinforce the critique of the peer review for each student's conference presentation. After giving the students a few minutes to complete the commentary form, Dr. Dixon called on students by name to offer a comment on the presentation. After a solo by a student, there was a five minute break so that students could enjoy the full buffet and cold drinks that Dr. Dixon had ordered from the University Food Service. The presentations continued.
>
> Dr. Dixon assisted students throughout the process as they requested advice from her. The students worked diligently and interestedly on the presentation review; this form queried the audience about the presenter's skills in terms of delivery, organization, content, style, and critical thinking. Dr. Dixon instilled in the students a sense of professionalism and formality associated with research writing by organizing this conference. The students clearly enjoyed the conference; they demonstrated confidence in their work and in their ability to present their ideas to their peers (DuBartell, 2004).

Approximately three Readers' Theatres are held during the semester. Students are presented certificates signifying that they have performed at a proficient level. It is especially noteworthy that parents also attend Readers' Theatre. We often believe that parents do not become involved in their children's education after elementary school. This is not the case. Parents remain interested in their children's education as long as they feel welcome (Dixon, 1992). Some of our most interesting and rewarding Readers' Theatres happened when parents were present and provided feedback.

By the time students work through earlier essay assignments, they are ready to write the Warning Paper, which is a research paper. This is the Warning Paper Assignment:

EDINBORO UNIVERSITY OF PENNSYLVANIA
EDINBORO, PENNSYLVANIA 16444

ENGLISH 101, COLLEGE WRITING SKILLS NAME:_____
DR. ARMENDIA P. DIXON

WRITING ASSIGNMENT
WARNING PAPER

Topic: People often engage in activities that are either dangerous or unwise. Identify one such activity, describe it, and give at least three reasons why you believe it is dangerous or unwise; then tell how to make the activity safe. Base your essay on at least one interview with an expert, at least one book, one magazine or newspaper, and a source on the internet.

_____

GRADING CRITERIA

1. Prewriting: (10 points) Points:_____
You have presented your thesis, outline, title, . . .

2. Submitted Rough Drafts: (30 points) Points:_____
You followed guide for drafts. (10 points)
Revision notes are followed, draft is complete. It contains introduction, body paragraphs, and conclusion. (20 points)

3. Final Draft: (60 point) Points:_____
Points are calculated according to the PA Writing Assessment Domain Scoring Guide. (Refer to Guide.)
Scoring includes structural problems: fragments, run-ons, choppy sentences, punctuation, spelling, subject/verb agreement, noun/pronoun agreement, contractions, awkward construction)
Scoring Formula:
4=A; 3=B; 2=C; 1=D; Below 1=F

Total Points:_____
Final Grade for Assignment:_____

COMMENTS:_____
_____

Activities that are designed for this unit are based on Lynn Q. Toyka's *Quick Access*, 2002 and Joseph Trimmer's *Writing with a Purpose*, 2002.

The unit begins with a discussion of compelling social issues, such as HIV/AIDS, drug addiction, and alcoholism, that fundamentally impact young people. Next, students frame their theses which must be approved by the instructor. After obtaining approval, students write their research proposals which include: Title of Project, Statement of Purpose, Background,

Significance, Description, Methodology, Problems, and Bibliography (Research Proposal, http://www.users.drew.edu/sjamier50/research_proproals.html).

The research steps are outlined for students, and they decide the due dates for each checkpoint. Though intense, the check points become interesting challenges:

EDINBORO UNIVERSITY OF PENNSYLVANIA
EDINBORO, PENNSYLVANIA 16444
FALL 2003

DR. ARMENDIA P. DIXON

STUDENT: _____
COURSE: _____

RESEARCH CHECKPOINTS

Directions: This is a checkpoint sheet for your research or Warning Paper. Checkpoint grades are to be completed in order, meaning that no step is skipped. The instructor assesses each step.

1. Research Proposal — Due: _____ Grade: _____

2. Interview Questions — Due: _____ Grade: _____

3. Interview — Due: _____ Grade: _____

4. Interview Write-up — Due: _____ Grade: _____

5. First Resource Check — Due: _____ Grade: _____

Please download all materials you consider important so that you have them to work with at home. Check out all books, tapes and other resources relevant to your topic/thesis. Keep all books and materials you are using.
THEY WILL BE CHECKED AT THIS POINT.

6. Second Resource Check — Due: _____ Grade: _____
All note cards are checked and obtained since first checkpoint.

7. First Draft — Due: _____ No Grade: _____

8. Final Draft — Due: _____ Grade: _____

By the time the Warning Paper is completed and presented, the semester is almost over. Some students have already had their interviews published in The Meadville Tribune. One student writer even made the front page. The final assignment is a take home test called The *Research Autobiography*. This is a reflection piece where students report what they have learned about research during the semester. They also describe their experiences in writing other essays. Some common responses include:

I entered the course with the thought that I would write a few papers and not learn much. However, I learned a great deal about research and how to prepare a paper. (Floyd, A.J. 2003)

Writing the essay was an unusual experience. The first time that I wrote the essay wasn't so difficult. It was writing it over and over again that was a struggle. I just couldn't get that essay right. I had to keep making corrections on top of corrections. I felt that no matter how many different changes I would make, it wasn't satisfying. Later, I learned that being a great writer means corrections. It wasn't so terrible in the end. Through this new and adventurous writing experience, I have been able to get a firm grip on writing papers. I have learned so much about the writing process, to finalizing and making note cards, to summarizing, paraphrasing and quoting. (Burkowski, K, 2003)

In high school, I would always write my research papers just the same as I would write any essay paper in my class. I did not realize that I needed to apply so many techniques such as quoting, summarizing, paraphrasing, and using sources. Most of the time, I would plagiarize instead of working hard to put my own work together. I did actually not know that plagiarism could be a punishable act. For the first time, I felt that I have built a work of art on my own, an original piece of art that was not copied and that was completely by me (Maiga, N., 2003).

This class has made me a better thinker, researcher, and writer (Artez, P., 2003).

Overall, students in College Writing Skills feel that because of the participatory nature of the class, they learned so much about each other: their interests, talents, culture, and values (Greene, M., 1994). The development of a writers' community enhances the writing experience. The natural richness of the class created an atmosphere that broadened students' sociological perspective. The students became free both to appreciate each other and to care about themselves.

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Abstract Submittal
3rd Annual Hawaii International Conference on Arts and Humanities
August 27, 2004

CUBE CONSTRUCTIONS AND CONTEMPLATIONS

Architecture (Education)
Paper Session (with PowerPoint presentation of student projects)

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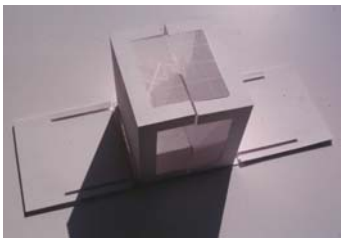
ABSTRACT

CUBE CONSTRUCTIONS AND CONTEMPLATIONS

DESIGN A PORTABLE 8 FT. ENCLOSED "FOLDED" CUBE ABLE TO BE "UNFOLDED" AS AN ENVIRONMENTAL STAGE SET FOR MEDITATION AND CONTEMPLATION

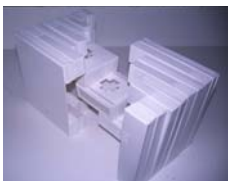


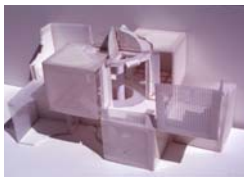
The cube is a static prismatic form that has six square faces of equal size. Because the cube is so geometrical, symmetrical and equal in its dimensions it lacks direction and any notion of movement. This project breaks down the static form and requires *movement* of the deconstructed parts of the cube.

Students design a cube of *integrated* forms, planes and volumes of space by incorporating the geometric properties of a cube into an unfolding and re-foldable space and form. The cube must be able to fold, unfold, slide, rotate or pivot to open from a closed format to an open format and then be re-closed. Explorations of the three-dimensional aspects of architectural space through the concepts of modularity, geometric proportions, and positive-negative and solid-void spaces are some of the concepts explored. Students were *required* to use the maximum possible space available in the folded cube for the unfolded design.

The program requires an 8 ft. cube, in folded format, to be designed as a portable "stage set" for meditation and contemplation. The designs were to enhance relaxation, foster speculation and provoke soul searching thoughts by the inhabitant. Students were to provide a *sequence of experiences* as the cube unfolds or opens. The cube is habitable only in the open format. Some issues explored were: framed views, spatial variety, spaces within spaces, adjacent spaces, level changes, private or enclosed spaces, dark versus light spaces, approach sequence, vantage points looking up or down, places to sit, stand or lie down, looking from one space into another or through a sequence of spaces.

Designed to be constructed primarily of white painted ¾" plywood, which comes in a standard 4'x 8' modular size, the "folded" cube must be securely enclosed on all sides by wood, screening or transparent material. Desk built models were constructed at 1" = 1'- 0" scale using foam board, balsa, wire, plastic mesh and acetate. Detailing, joinery, hinges for movement and closure mechanisms were important to the design.





Abstract Submittal
3rd Annual Hawaii International Conference on Arts and Humanities
August 20, 2004

2-D Painting De-Construction and 3-D Sculptural Re-Construction

Architecture (Education)
Paper Session (with PowerPoint presentation of student projects)

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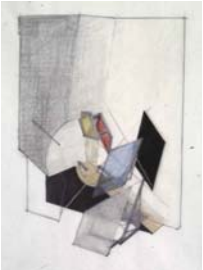
ABSTRACT

2-D PAINTING DE-CONSTRUCTION AND 3-D SCULPTURAL RE-CONSTRUCTION

REPRODUCING TWO DIMENSIONAL VISUAL ART IN VARIOUS MEDIA AND RE-CONSTRUCTING THREE DIMENSIONAL INTERPRETATIONS INTO SCULPTURAL CONSTRUCTIONS



Studying the two-dimensional aspects of design readies the beginning design student to develop a visual understanding of three-dimensional spaces and forms. Transferring 2-D planes into the third dimension with depth and perspective is what we begin to explore.

Two-dimensional works by diverse designers such as Kandinsky, Picasso, Le Corbusier and Moholy-Nagy are often not known by beginning design students. Students are given a selection of works by artists that are strong in geometric, planar shapes that have many possible interpretations relative to layering in spatial relationships. Opportunities are introduced for individual spatial interpretations and re-constructions in three dimensions.

Copying from a reduction of the original, students must first create as near to an exact **reproduction** as possible of the original work of art. Various media are used such as Prismacolors with solvent, oil and acrylic paint, collage, charcoal, watercolor, etc.

As students work they sketch and observe all the possibilities of spatial layers and relationships. Circles in 2-D become spheres, voids, cones and cylinders in 3-D. Lines become edges of planes, voids, cracks in planes, hints of things behind planes, threading through planes, etc. Shapes become positives or negatives, mass or void, floating, anchored, disappearing and reappearing behind other shapes. Relationships must be established for all the elements in the painting and designed into an elegant three-dimensional interpretation. The painting may be seen as a section through space, an elevation, a plan, a rotational view or combinations of all views.

Study models explore various spatial relationships and the use of various media such as Plexiglas, stained glass, various metals some welded, clays, wood and different types of paint. The final **3-D Sculptural "Re-construction"** becomes the students own interpretive design and requires elegance in design and craftsmanship as crucial issues.

First Things First: Gabriela Mistral as Ecological Poet

- Literature
- Paper presentation

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(please see p. 2 – abstract)

Abstract – 3rd Annual Hawaii International Conference on Arts and Humanities

First Things First: Gabriela Mistral as Ecological Poet

Critics have referred to Chile's Gabriela Mistral as "the first in everything." Among other things, she was the first Latin American writer to receive the Nobel Prize for literature (1945), and the first woman to create her own space in the overwhelmingly masculine world of early twentieth-century Spanish American letters. Although there had been earlier ecofeminist impulses in texts by Spanish American women authors as early as Cuba's Gertrudis Gómez de Avellaneda in the 1840s, I will argue that Gabriela Mistral is perhaps Latin America's first woman ecological poet. I will develop this affirmation by focusing on her posthumous collection *Poema de Chile* [*Poem of Chile*], which articulates an overarching focus on the material world and a portrayal of the autochthonous ecological reality of southern South America.

From Heroic Struggle to Anachronistic Footnote; Regional Variations of Iconography for Ravana in Ravananugraha-murti

Art History Topic Area

Paper Presentation Format

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ABSTRACT

From Heroic Struggle to Anachronistic Footnote:
Regional Variations of Iconography for Ravana
in Ravananugraha-murti

By

Thomas Eugene Donaldson

Except for the Northwest and Northeast areas of the Indian subcontinent, the grace-bestowing Ravananugraha motif was a particular popular motif in sculpture. Obvious regional approaches are evident, however, in respect to the focal point of the myth. In early examples appearing in the rock-cut caves of western Maharashtra, for example, the narrative approach favored by poets appears primarily with subsidiary figures rather than with Uma, with the harassing *ganas* invariably hurling stones at the *asura* Ravana imprisoned within the mountain. Compositionally, except for the very latest examples, the celestial couple (Shiva and Uma) and Ravana share equal billing in respect to size and importance. In Orissa, where the motif was popular only on the very earliest temples, the narrative is lively and permeates all of the personae. The celestial couple are reduced in size and encased in the vertical extension while the larger image of Ravana occupies the spacious oval of the *chaitya* medallion. Uma clutches Shiva with both hands, obviously frightened by the shaking mountain, while the mischievous *ganas* are playing pranks or making obscene gestures toward Ravana. Though bearing terrifying features, Ravana appears more stoic than the emotionally depicted celestial couple.

Although a narrative focus with near equal billing appears in a few early examples in northern India, as at Abaneri and an image from Rajasthan in the Seattle Museum, the image of Ravana throughout the 10th-12th centuries is gradually reduced in size and importance. The focus is on Umamahesvara-murti with the celestial couple, engrossed with each other and seemingly oblivious to the antics of Ravana and the harassing *ganas*. The Ravana scene is soon relegated to the pedestal of the sculptural slab and encased in a framed niche that isolates it from the celestial couple. The scene is symmetrically balanced and essentially frozen to produce an escutcheon-like anachronistic footnote. Rather than following the dramatic and picturesque hyperbole of the poets, it is obvious in North India that the primary paradigm or text for the sculptor was the visual image itself, whether originating from copybooks or small terracotta plaques.

In South India, as on 8th century Chalukyan and Pallava temples, the focus is on the herculean attempt of Ravana to uplift the mountain. It is Shiva and Uma that are greatly reduced in size and frequently squeezed in their allotted space on top of the mountain. Although allotted near equal status in early Chola examples, the harassing *ganas* are invariably eliminated on later examples where increasing emphasis is placed on the size of the mountain. Ravana is depicted successful in lifting up the huge mountain. The celestial couple is even more reduced in size in Hoysala and Telugu Chola examples where Ravana, huge in size, often appears to be running away with the mountain rather than being crushed by I

FROM HEROIC STRUGGLE TO ANACHRONISTIC FOOTNOTE: REGIONAL VARIATIONS OF ICONOGRAPHY FOR RAVANA IN RAVANANUGRAHA-MURTI

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Of the *anugraha-murti* or grace-bestowing motifs of Shiva, the Ravananugraha-murti is by far the most popular and appears throughout most of India, though rare in Northwest India and conspicuously absent in Northeast India (Bihar-Bengal). Essentially, especially in northern and central India, the Ravananugraha-murti represents a form of the Umamahesvara-murti (Shiva and Uma embracing) whereby the celestial couple is seated on their mountain home surrounded by their host of *ganas* while Ravana is within the mountain attempting to uplift it. The motif is popular in inscriptions and poetry, as well as in Sanskrit texts, with the authors often dwelling on the behavior of Uma and the *gana* host, seemingly more human than divine. In the *Ramayana* (7.16) for example, due to the shaking of the mountain, the *ganas* are troubled while the terrified Uma clings to the neck of Shiva. Shiva, as if in sport, presses the mountain with his great toe and, simultaneously, crushes Ravana's arms. In great pain and fury, Ravana lets forth a terrible cry. Thereupon the gods cry out for him to pacify Shiva, to seek refuge with him, to propitiate him. Ravana then worshipped Shiva for a thousand years. Gratified, Shiva released the arms of Ravana from under the mountain and bestowed upon him an exceedingly bright sword.[1] In a Kalachuri inscription the shaking of the mountain is fortuitous for Shiva as it suddenly frightens Uma out of her anger towards him. Uma had turned her face away from him in anger at his salutation to Sandhya (evening) but now gladdens him by her sudden long embrace at her fright.[2]

In early sculpture this narrative approach favored by the poets appears primarily with subsidiary figures rather than with Uma, as in the cave shrines of western Maharashtra. In the damaged monumental example at Elephanta Cave, for example, Shiva holds two attendants by their hair, one on either side, to keep them from falling off the shaking mountain **(fig. 1).** In the numerous cave images at Ellora, the *gana* host is invariably arranged around the imprisoned

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[1] *Ramayana of Valmiki,* trans. Hari Prasad Shastri, 3 vols. (London, 1962), III, pp. 417-20.
[2] Calambur Sivaramamurti, "Iconographic Gleanings from Epigraphy," *Arts Asiatiques,* vol. IV (1957), p. 42.

asura as they harass him, often heaving stones. A rare example of Uma displaying emotion appears in the monumental image on the plinth of the *mahamandapa* of the Kailasanatha (Cave 16), where the drama of Ravana attempting to lift the mountain appears engulfed stage-like beneath the couple **(fig. 2).** Uma grasps the left arm of Shiva with her left hand while her right arm is draped around his shoulders, suggesting she is seeking security from the trembling mountain. Her maid has taken flight. In most examples, however, the celestial couple appears unshaken by the attempt to uproot their mountain home **(fig. 3).**

Compositionally the celestial couple and Ravana invariably share equal billing in respect to size and importance in these early cave images **(figs. 4-5).** Ravana, occupying the lower half, may be depicted frontally or from the rear, generally with one knee raised and the other leg stretched out on the ground. He has five (visible) heads and ten (visible) arms with the latter radiating around him as he strains to uplift the mountain. Occasionally one hand is placed on his leg for support but no hand bears a weapon. Stylized rocks suggest the mountain home of the celestial couple. A change is noted on the example on the front of the Nandi-*mandapa* of the Kailasanatha Cave where emphasis is placed on the heroic effort of Ravana, who now occupies two-thirds of the composition **(fig. 6).** He is viewed from the rear squatting on both knees with all twenty arms in view radiating around his body. The upper third of the composition contains not only the celestial couple but also the rock-heaving *ganas* and a host of flying celestial spectators. This format will become popular in South India. In the example of Cave 15, in contrast, the size of Ravana is reduced with the weight of the celestial couple appearing to squeeze his available space, a format that will be further developed in North India.

In Orissa the Ravananugraha motif was popular only on the very earliest temples with two appearing in a *chaitya* design at the base of the tower **(figs. 7-8).** In both cases the images of

Shiva and Uma are contained in the vertical extension at the top of the medallion. They are much smaller than Ravana. Uma clutches Shiva with both hands, obviously frightened by the shaking mountain, with Shiva attempting to calm her. The mischievous *ganas* are in the medallion borders surrounding the imprisoned *asura* and are playing pranks or making obscene gestures, either mooning him or pointing their erect *linga* in his direction. Ravana has five heads and ten arms. On the late 6th century Satrughnesvara temple he is frontally posed with his right knee raised and the left leg folded. His front pair of hands rests on his knees. One of his right hands holds the sword presented to him by Shiva while his remaining hands attempt to uplift the mountain or grasp a *gana.* The heads of Ravana are aligned in a horizontal manner. Though bearing terrifying features there is no suggestion of strain. He appears more hieratic and stoic in conception than the emotionally depicted celestial couple. In the example on the early 7th century Parasuramesvara temple the five heads of Ravana are more three-dimensional in treatment though his damaged body is depicted from the rear. He again holds the sword and grasps the leg of one of the *ganas*. The *ganas* are quite lively and spontaneous in pose.

These narrative features are centered entirely on Shiva and Uma in a third early detached panel from Kundesvara where the celestial couple are engaged in playing dice, their pendent leg touching the coiffure of the center head of the imprisoned *asura* beneath them **(fig. 9).** Ravana, symmetric in pose, is facing us seated on his haunches, his two outstretched arms resting on his raised knees. His heads are aligned horizontally, five on the right and four on the left of the larger center head. The celestial couple and Ravana are allotted equal space and importance.

The Ravananugraha-murti was especially popular in various regional styles throughout the 9th-12th centuries in northern India. In a particularly narrative approach from Abaneri the composition again is divided equally with Shiva's lowered right hand offering reassurance to

Uma **(fig. 10).** She places her left hand in front of her chest in whimsical "operatic anguish", as noted by Kramrisch, as she seeks succor from him.[3] Ravana, oppressed by the mountain crashing down on him, is frontally represented with his left knee bent and his right leg outstretched. His rear hands are uplifted in the futile attempt to lift the mountain. His front right hand, resting on the handle of his sword, is placed at his chin in a display of disgust at his failure while his fatigued and limp left hand is supported by his raised knee. The tilt of his principle head is in the opposite direction of the heads of the celestial couple. His other nine heads radiate, almost levitate, around the center head as if they are already severed. The rosary and water vessel held in his lowest set of hands allude to his eventual penance and the bestowing of grace by Shiva.[4]

Narrative features also dominate in a late 9th century image from northeastern Rajasthan housed in the Seattle Art Museum **(fig. 11).** Uma clings to Shiva with her right arm around his shoulders while her left hand is lying flat on his chest seeking assurance. Her head is tilted as she looks down towards the shaking mountain. Ravana, somewhat squeezed spatially, holds the sword diagonally in front of his chest with his front set of hands. His other arms radiate around him with some pressing the ground or his knees, producing a spider-like effect, while his middle hands hold weapons and his uplifted hands attempt to lift the mountain, or prevent it from crushing him. He is flanked on either side by harassing *ganas.* Above his center head is carved the head of a donkey, a popular iconographic feature in Central and North India for which there is no literary description.[5]

In a late 9th-early 10th century image from Central India preserved in the Cleveland Museum of Art the Umamahesvara motif completely dominates with the couple seemingly

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[3] Stella Kramrisch, *Manifestations of Siva* (Philadelphia, 1981), p. 52.
[4] Brijendra Nath Sharma, "Ravana Lifting Mount Kailasa in Indian Art," *East and West,* vol. 23, no. 3-4 (1973), p. 330.
[5] B. N. Sharma, *East and West,* vol. 23, p. 331.

oblivious to the antics of Ravana and the harassing *ganas*, now relegated to the pedestal of the sculptural slab **(fig. 12).** The ceiling of the pedestal is arched to accommodate the centrally placed Ravana. He is squatting with his right knee touching the ground and the left knee raised. His front right hand is broken off, the sword missing, while his left hand displays a *mudra* in front of his chest. He is flanked by a row of *ganas.* He grasps a leg of two in the foreground, one on either side, who were mooning him but are now posed symmetrically in a horizontal position with their forehead touching the ground. Another pair advances towards him while those at the corners serve as weight-bearers *(bhararaksakas)* upholding the mountain and likely represent attendants. The narrative aspect is essentially frozen to produce an escutcheon-like anachronistic footnote. In an example from Central India in the National Museum, New Delhi, it is Ravana's right knee that is raised and the left knee on the ground, the sword being held in his right hand **(fig. 13).** He is flanked on either side by a *bhararaksaka* assuming a bent-knee, flying pose. The ceiling of the pedestal (mountain) is also arched on similar Ravananugraha-murtis from Ranipara **(fig. 14),** Hardoi, and in the Bharat Kala Bhavan, Varanasi, **(fig. 15).** Of interest in the last two images is the addition of the infant Skanda seated on the lap of Uma.

By the mid-tenth century the scene with Ravana is still more reduced in size, occupying the framed rectangular niche on the center facet of the pedestal, and is thus completely isolated from the Umamahesvara-murti above. The narrative approach of the poet is thus virtually eliminated is favor of a static, symmetrical design, suggesting that the sculptor was likely influenced by a visual paradigm rather than a text. Ravana is seated at the center, invariably holding a sword with one or both front hands, and may be flanked by two or more *ganas* or attendants on either side symmetrically aligned. One of his lower pair of hands grasps the leg of a mooning *gana.* In an image from Chandravati, Rajasthan, Ravana holds a spear diagonally in

front of his chest with one set of hands while the sword is held in a second right hand **(fig. 16).** An attendant on each side offset holds a sword diagonally with both hands. In some images, including examples in the State Museum, Vidisha **(fig. 17),** the Archaeological Museum, Gwalior **(fig. 18),** and the Denver Art Museum **(fig. 19),** the abbreviated pedestal scene contains only Ravana and the mooning *ganas*. In an image from Khajuraho in the Indian Museum, Kolkata, an attendant wielding a sword in his uplifted outside hand stands behind each mooning *gana* **(fig. 20)** while in an image from Ranipara an additional *gana* at each end faces inward with a raised sword. In another image from Khajuraho, in the Allahabad Museum, the pedestal scene is so narrow that none of the figures can stand upright **(fig. 21).** Ravana is flanked on either side by a mooning *gana* and two other *ganas* symmetrically aligned. A similar narrow format appears on a *circa* 12th century image in the Dallas Museum of Art with four squatting or seated robot-like figures on either side of Ravana. The first one bares his buttocks, the next one is seated with one hand on his knee, the third one again bares his buttocks, while the kneeling outside one facing inward has his hands in *anjali* **(fig. 22).**

In a 10th century example in the Archaeological Museum, Gwalior, the standing figures behind the mooning *ganas* appear to be playing music **(fig. 23),** a popular theme on numerous other images, especially in the Tewar area of Madhya Pradesh. This feature is possibly influenced by conventional Umamahesvara-murti where a lively music and dance scene, often including Bhrngi, Ganesa and Virabhadra among the *ganas,* appears on the pedestal.[6] In a 12th century Ravananugraha-murti from Tewar in the Rani Durgavati Museum, Jabalpur, the sword held diagonally in front of the chest almost appears like a *vina.* Ravana is flanked on either side

[6] The theme of the celestial couple witnessing a dance performance by Ganesa and other attendants of Siva is described by Kalidasa in his *Kumarasambhava;* see Pratapaditya Pal, "Uma-Mahesvara Theme in Nepali Sculpture." *Boston Museum Bulletin,* vol. LXVI, pp. 91-92.

by a dancing *gana,* one blowing a horn and the other clashing cymbals **(fig. 24).** In two other images from the same museum, Ravana is flanked by two dancing, music playing *ganas* on either side **(figs. 25-26).** In a further example in the Archaeological Museum, Gwalior, it is the mooning *ganas* who strike up a dance pose, one on either side of Ravana, while inward facing devotees are at the corners with their hands in *anjali* **(fig. 27).** On previous examples the devotees were placed on the offset corners of the pedestal but now frequently are included within the framed scene with Ravana. In a 12th century example formerly in the Heeramaneck Collection, Ravana is flanked on either side by a mooning *gana* and an inward-facing devotee, male on the right and female on the left **(fig. 28).**[7] Additional devotees appear on the corner offsets, two males on the right and females on the left. In the image from Hinglajgarh in the Central Museum, Indore, there are four standing, inward facing devotees, with two behind each mooning *gana* **(fig. 29).** Within the framed scene on another image from Tewar, Ravana is flanked on either side by three pious devotees, each facing him with hands in *anjali* **(fig. 30).** On the Boramdeo temple at Chhapri, Ravana is flanked on either side by a kneeling devotee with hands in *anjali.* In these last two examples the mooning *ganas* are eliminated.

In a 12th century image from Maihar in the Lucknow Museum, Ravana is flanked on either side by two seated figures, each holding a sword in one hand and placing the other hand on their leg for support **(fig. 31).** All five figures are facing forward. The scene is thus completely devoid of action. In another image from Tewar in the Rani Durgavati Museum, Jabalpur, the ceiling of the pedestal is designed with stylized rocks symmetrically arranged simulating Mount Kailasa **(fig. 32).** Ravana is squatting on both knees with his left foot raised. His principle set of hands holds a sword diagonally in front of his chest. Two other hands are raised in the attempt to

[7] Alice N. Heeramaneck, *Masterpieces of Indian Sculpture from the Former Collections of Nasli M. Heeramaneck* (Verona, Italy: 1978), pl. 94.

uplift the mountain. He is flanked on either side by three sages with Buddhist-style coiffure moving towards him. They hold a tube-like object in their outside hand while the inside hand is raised to simulate lifting the mountain, except for the first pair who have grasped the uplifted arms of Ravana. In the pedestal scene from a 12th century image at Malhar, Chattisgarh, Ravana is similarly posed but with the leg position reversed **(fig. 33).** He is flanked on his left by the lion mount of Uma and on his right by two kneeling devotees, presumably husband and wife. Neither the lion nor the devotees have anything to do with the myth of lifting the mountain.

Deviating from these images with the scene of Ravana confined to the narrow, rectangular niche in the center of the pedestal, is the 11th century image from Hinglajgarh in the National Museum, New Delhi **(fig. 34).** Ravana is much larger and is placed directly beneath the celestial couple and appears like a mount with his center head touching the lotus seat and foot of Shiva's folded left leg. He is crawling with his right knee on the ground and the left knee raised. He holds a spear diagonally in front of his body with his front set of hands. A second set holds a sword and shield, a third set attempts to lift the seat of the celestial couple while the lowest set has grasped the leg of a *gana* on either side mooning him. Ravana is flanked by seated images of Skanda on his right and Ganesha on his left.

From the Haridas Swali Collection in Mumbai is a rare example from northwest India, dating to *circa* 800 CE and assigned to Kashmir, which is full of narrative features **(fig. 35).**[8] The panel is divided into two nearly equal sections by the horizontal crest of Mount Kailasa. In the lower half the ten-headed, ten-armed Ravana, the largest image of the panel, is viewed from the rear, energetically posed on both knees. His back is bent backwards and his face betrays anguish as he attempts to uplift the mountain. His heads are arranged in tiers among the *jatas* of his

[8] Robert Fisher, "Later Stone Sculpture," *Art and Architecture of Ancient Kashmir*, ed. Pratapaditya Pal (Mumbai, 1989), p. 106, fig. 6.

flame-like coiffure. The celestial couple is seated on the bull with Uma clinging to Shiva with both arms. The *ganas* are scattered in disarray around the couple, some with hands folded in *anjali* while others are harassing Ravana. Wildlife is scattered among the rocks of the mountain.

Similar to the Ravananugraha on the front wall of the Nandi-*mandapa* of the Kailasanatha Cave at Ellora is the Calukya image carved on a porch pillar of the Virupaksha temple at Pattadakal **(fig. 36).** The image is a glowing testimony to the superhuman strength and determination of the ten-headed (five visible) and twenty-armed Ravana as he occupies nearly two-thirds of the composition. He is in a very dynamic pose, viewed from behind, with his principal left arm fully stretched while his lowest right hand is pulling the scabbard attached to his girdle on his left hip. His other arms radiate around his body from waist to waist in uplifting and shaking the mountain. Shiva and Uma, seated on a throne on top of the mountain, are quite small in scale. Beneath their throne the *ganas* are harassing Ravana, some by heaving huge stones and others by shooting arrows.

This approach, focusing on the herculean attempt of Ravana to uplift the mountain, is popular throughout South India. Included among 8th century Pallava examples at Kancipuram are two similar panels carved on a wall of the front porch of the Matangesvara and Muktesvara temples **(fig. 37).** The powerful Ravana assumes a dynamic *pratyalidha* pose with his principal right hand stretched to the top of the mountain while his lowered left hand holds the sword. His other arms radiate around his body from waist to shoulder on either side. Harassing *ganas* appear on the sinister side of the mountain. Shiva and Uma, on the dexter side, are small in size and appear somewhat squeezed in their allotted space on top of the mountain.

Among Chola examples of Ravananugraha-murti, where Ravana and the celestial couple are generally of near equal size, a particularly complete iconographic program appears with the

11th century image at Tirunelveli **(fig. 38).** Ravana, somewhat squeezed spatially, attempts to uplift the mountain with six of his twenty arms. Another set is placed on his thighs for support while the remaining hands hold weapons. Both of his knees touch the ground with one leg outstretched and the other folded as in North Indian examples. Shiva holds the mountain down with his pendent right foot while Uma clutches him with both hands. A large, harassing *gana* is placed on either side of the mountain above the raised hands of Ravana.

Uma likewise clutches Shiva with both arms, seeking reassurance, in a 12th century image at Palayarai, Tanjavur District **(fig. 39).** Ravana is depicted with his right knee raised and his left knee on the ground. Two of his hands are placed on his thighs for support while the other hands are raised as he appears successful in uplifting the mountain. Ravana also appears successful in lifting the mountain in the 12th century example at Darasuram, the myth appearing in registers piled one on top of another **(fig. 40).** In the lowest register, Ravana, next to his chariot, is depicted in a semi-*alidha* pose with his left knee raised and the right on the ground as he utilizes all of his arms to uplift the mountain. The second register depicts sages seated in caves engaged in penance along with various animals existing on the mountain. The third register shows Shiva and Uma seated on a throne on top of the mountain. In the top panel, having been forgiven and released from his imprisonment beneath the mountain, Ravana stands before Shiva and Uma with his hands in *anjali* as he asks for his boon.

This format with the focus on Ravana and his herculean task of uplifting the mountain was especially popular in Hoysala art where the image of Ravana is greatly increased and the figures of the celestial couple are reduced in size. In one example at Halebid, Ravana is depicted with legs widespread, the right knee touching the ground and the left knee raised, as he holds the sword horizontally in front of his body with his two front hands **(fig. 41).** His remaining hands

are either holding various weapons or are raised to lift the mountain. The huge mountain is teeming with minutely carved images of deities and animal life of all types. On top, seated in a *mandapa,* are small images of Shiva and Uma. In a similar example at Belur, the mountain is even taller and includes more people. In another example at Halebid the mountain is abbreviated in size so that it appears that Ravana is running away with it rather than being crushed by its weight as in North India **(fig. 42).** It is rectangular in shape and teeming with animal life in the forest. The celestial family is seated on top in front of a backslab rounded at the top. Other examples with Ravana appearing to run away with the mountain, the image of the celestial couple greatly reduced in size, appear at Koravangala and Basuralu.

In Telugu Chola examples in Andhra Pradesh, as at Pangal, the huge image of Ravana is depicted within the cavity of Mount Kailasa in a semi-*pratyalidha* pose with his right knee raised and the left resting on the ground **(fig. 43).** His five heads are horizontally aligned while his twenty arms are symmetrically arranged surrounding his body from his feet to his heads as he attempts to uplift the mountain. A small image of the celestial couple appears within a pavilion at the top of the forested mountain. Numerous *ganas,* Ganesa and other celestials flank the pavilion and the upper sides of the mountain. A similar but more schematically aligned composition appears on an image in the compound of the State Archaeological Department at Hyderabad **(fig. 44).** Ravana has ten heads horizontally aligned and Brahma again appears in the lower corner on the dexter side. Though teeming with figures and ornamental detail, the activity appears frozen in these Telugu Chola images.

In South India the focus was thus centered on the power and strength of Ravana and his herculean task of uplifting the mountain. As noted by D. Chatham in speaking of the influence of the southern form on all four examples on the Kailasanatha Temple at Ellora:

> Ravana is kind of a folk hero. He was a devotee of Shiva, but, as an asura, he is also . . . an evil hater of the gods. The ambiguity of his position is exemplified in the representations of this myth that are typical in the South, in which his figure is given prominence equal to or, more often, even greater than that of Shiva.[9]

In North India, in contrast, the evolution is reversed. The emphasis was on Shiva and Uma on Mount Kailasa, essentially a form of Umamahesvara-murti, of the celestial couple in embrace. Narrative features popular with poets are rare as the scene of Ravana's heroic struggle to uplift the mountain is reduced to an escutcheon-like footnote evoking little or no response from the celestial couple above. The spontaneity on early images is replaced by rote symmetry in respect to the *ganas* or the attendants of Ravana. The scene is not only reduced in size but also further separated from the celestial couple by being encased in a framed niche on the pedestal. Rather than following the dramatic and picturesque hyperbole of the poets, it is obvious in North India that the primary paradigm or text for the sculptor was the visual image itself, whether originating from copybooks or small terracotta plaques.

[9] Doris Clark Chatham, "Myth, Cult, and Cetana at the Kailasa Temple, Ellora," *Discourses on Siva,* ed. Michael W. Meister (Philadelphia, 1984), p. 163.

Title Page

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Abstract

Laid-off Female Workers in China-Beijing and Changzhou

Cases Studies

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This study aims to explore the lives of female laid-off workers in China based on field work in two cities: Beijing and Changzhou. The major issues raised are social and economic causes and consequences of female attribution in paid labor force since the mid 1990s, when the state enterprises were reformed from a planning to a marketing system, and reforms have speeded up the process of restructuring its state-owned enterprises. This study employs field interview in two factories in two cities, as well as survey of statistics and the documentary materials. In other words, the study includes both participant observation and secondary data analysis.

The paper focuses on women's voice and stories in their laid-off experiences. Through their own words, their reaction to their laid-off cases and their perceptions of unemployment are examined. In addition, an analysis of the national government's policies and implementation of the policies regarding lay-offs are also paid attention to.

The Relationship between Faculty and Student Attitudes toward Computer Technology in Advanced Arts Classes

Topic Area: Cross disciplinary – Art, Dance, Music and Theatre
Presentation Format: Research paper presentation

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Abstract:

This study examined the relationship between faculty attitudes toward computer technology and student attitudes toward computer technology in advanced arts classes at Middle Tennessee State University during spring semester 2004. This study was focused on the disciplines of art, dance, music, and theatre, and was limited to faculty and students engaged in the 3000 and 4000 level classes. The Computer Attitude Scale (CAS) developed by Loyd and Gressard (1984) was used to gather information regarding participant perception of confidence, usefulness, liking, and anxiety toward computer technology. The participant demographics and characteristics of gender, age, academic discipline, ethnicity, college level completed, the number of arts degrees obtained, experience in the arts, computer ownership, hours per week using a computer, perceived computer expertise, and formal computer training were also used in the evaluation.

The study sample consisted of 45 faculty members and 306 students. The data was analyzed using descriptive and inferential statistics at a .05 level of significance. The results indicated that there was not a significant relationship between faculty and student attitudes toward computers; however, a significant positive relationship was found between faculty and student liking of computers. The evidence indicated that both faculty and students attitudes toward computers were significantly related to the perceived level of computer expertise. The summary of the data analysis indicated that 87% of the student participants had one or more formal computer training classes while 51% of the faculty participants had no formal computer training.

The researcher concluded that both arts faculty members and students had more positive attitudes toward computers when more competent with computers. Because of the student exposure to computers, preconceived attitudes tended to dominate student attitudes toward computers. The overall responses from both arts faculty and students toward computers were positive however, the response level suggested only conservative attitudes toward computers that were consistent with the arts academic discipline culture.

‘Witness my hand’: Scribal Practices in the Discourse of the Salem Witchcraft Trials, 1692

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‘Witness my hand’: Scribal Practices in the Discourse of the Salem Witchcraft Trials, 1692

The problem of “verbatimness” in historical trial documents is an important and vexing one. As many researchers (Rissanen 1997, Collins 1999, Culpeper & Kytö 1997, 2000) have pointed out, the written documents that have come down to us, whether presented in direct discourse or reported discourse, are not verbatim presentations of what was spoken, but rather “reconstructions.” These reconstructions can also be viewed as subjective interpretations on the part of those who recorded the transactions. In the case of the Salem witchcraft trials of 1692, this problem is particularly acute. The examination records, as presented in the volumes of *The Salem Witchcraft Papers* (edited by Paul Boyer and Stephen Nissenbaum), are rendered in direct discourse, reported discourse or a mixture of the two. They were hand-written by a variety of individuals, some identified and others not. All of the scribes were male, they were Puritans (including ministers and church leaders), and some held governmental or other positions of leadership in Salem or outlying villages in Massachusetts. What bearing do these facts have on the written records? How shall we consider these factors when we analyze the discourse? Are there patterns in the type and content of evaluative or interpretative comments from the scribes? How do the records, when viewed as interpretations of the events described, reinforce the socio-pragmatic-religious ideologies present in 1692? These questions have guided the analysis presented in this paper.

The scribal aspect of the Salem witchcraft trial records has not been extensively studied, yet it is critical to our understanding of the texts and the events described therein. The scribes played a significant role in representing the trials and the participants. They surely tried to render the proceedings as faithfully as possible; yet, especially in the case of records in reported discourse that may have been written or edited after the fact of the examination, there are bound to be subjective/interpretative elements inserted into the texts. Reported discourse gradually become the preferred format for the records and the ensuing summarizing of events and might allow for more interpretative acts on the part of the scribes. Our understanding of the Salem witchcraft trials and the historical and imaginative responses to this important chapter of American history derive in large part from the scribal hands that gave witness.

The data for this study consist of 68 records of examinations of those accused of witchcraft between March and October, 1692. Each record is coded for two features: use of contextual commentary and evaluative adjectives or adverbs which suggest attitudes and values of the scribes and reflect the pragmatic context. Records are also coded according to presentation in direct discourse or reported discourse. Records presented in direct discourse and those occurring in the early period of the trials contain the greatest number of both contextual commentary and evaluative/subjective adjectives or adverbs. The analysis reveals that the majority of the records are written by four identified scribes.

Outcasts and Immigrants: The Travel Motif in *Balún Canán* and *La "Flor de Lis"*

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Abstract: The primary objective of my research for this paper is to explore and articulate the role of travel in Spanish American novels of female development. Toward that end, I analyze two canonical novels of female formation, or *Bildungsromane*: *Balún Canán* (1957), by Rosario Castellanos, and *La "Flor de Lis"* (1988), by Elena Poniatowska. Taken together, these two novels probe *mexicana* identity—what it means to be female and Mexican. In the process, I find that they also highlight two different types of traveler: the outcast and the immigrant. The protagonists undergo journeys of initiation through their displacements, and both struggle to escape marginalization in their families and societies. Travel, which begins as escape for these girls, leads to their metaphorical baptism by trial. Their journeys facilitate their progression to a measure of self-knowledge, self-acceptance, and, most importantly, self-affirmation. Significantly, these girls learn to think and *act* for themselves.

The results suggest that the protagonists' awakening and formation occur as a result of what they have witnessed and experienced from their travels. Furthermore, I have found that travel in these novels is not entirely voluntary, but rather the result of external pressure and/or limitations imposed upon the female protagonists by both their families as well as their larger societies. This result supports Susan Rosowski's assertion that female formation is characterized by the realization of limitations. However, instead of allowing these restrictions to stifle their development, as Rosowski would suggest, these protagonists use their travels as a catalyst in the process of their formation. The travel motif is thus a fundamental aspect of these fictions of female development.

This paper is part of a larger project, which examines travel in the Spanish American *Bildungsroman*.

I & I ↔ A Creative Reciprocity

by
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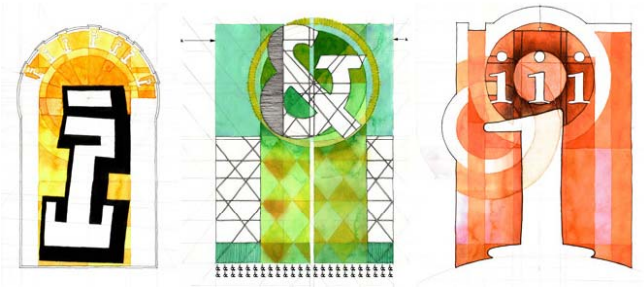
I & I ↔a creative reciprocity



Genesis 1 *The Beginning*

1 In the beginning God created the heavens and the earth … **27** So God created man in his own image, in the image of God he created him; male and female he created them.

The abbreviated story above, in all its familiarity, represents a beautiful concept because it offers an opportunity to be understood in numerous ways. On the surface, it sounds as if men and God have a similar appearance, but if we venture below the surface of the words, we find at least one other way of understanding the relation. Since the context of the phenomenon has to do with an activity of being creative, we might see the introduction to our relation with divinity in respect to the elusive *action* rather than the superficial appearance. It is the *act* of creating that deserves our attention. The product created is simply a result of the event. It suits our professional stance in life to understand the testimony as a lesson in potential. It seems to me that what is being communicated in Genesis 1:27 is the fact that men are imbued with the capacity to be creative. God creates the creative. We have been consecrated the fortunate heirs of a creative breed of creature. How could it have happened any other way?

Another aspect of the Genesis story has to do with the medium employed in exorcising the total creative act. The creator spoke our reality into existence.

1:3 And God said, "Let there be light," and there was light.

Rastafarians[1] rely on language in a similar way. "For Rastafarians, the most powerful and significant letter of the alphabet is also a word and a number: "I". I is part of His Imperial Majesty's title – Haile Selassie I. It is the last letter in Rastafar*i*. "I" is so important that a Rasta would never say "I went home", but would say instead, "I and I went home", to include the presence and divinity of the Almighty with himself every time he speaks … In this simple way, through language, Rastafari exorcises the same divine creative prowess as in Genesis, when God created life, the heavens, and the earth simply by saying so – by speaking the words. By speaking, Rasta recreates the universe."[2]

1. Dr. Vernon Carrington, a Rasta leader and founder of The Twelve Tribes of Israel sect describes Rastafari as follows: "It is up to each and every one to find the right path in this time. Rastafari is not a faith, which can be converted to, in the sense that one can convert to Christianity. Rastafari is a way of life, which has to be lived. The feeling of the spirit is like a wave traveling through the soul. A wave that only reveals itself stage after stage. Rastafari is a life, and as in life, you learn as you live. No one person can say, 'this is exactly what the Rastafari doctrine is' because the beauty of the faith is that it is seen through the eyes of the beholder, not through the eyes of a priest, vicar or pope.

2. Tracy Nicholas, Rastafari A Way of Life (Anchor Press Doubleday, 1979).

Proceedings Submission: Hawaii International Conference on Arts and Humanities

1. Title:

From Home and Culture: Utilizing Students' Cultural Heritage in the English as a Foreign Language Classroom.

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Abstract:

The great change taking place in Japanese English education is a movement to a fluid, student centered, content-based approach. To manifest this change at the University of Hyogo in the English as a Foreign Language classrooms, the authors have begun a series of student projects that allows students to use their own Japanese heritage and history as a tool for language learning. Through presentations, role-playing, and projects, students focus on studying, relaying, and utilizing the Japanese culture to provide a basis for language comprehension. An added benefit to this format for language instruction is that it allows students to learn about themselves, their culture, and ethnic heritage.

Through video and tactile presentations, the authors will provide examples of student projects, lesson plans, and supporting resources for educators at both the tertiary and the secondary levels. The thrust of the presentation will be that the cultural heritage of the language learner provides a rich source of inspiration and material to assist student-centered instruction. Though using examples from Japanese students, the concepts presented are universal in application.

"Darkness Into Light":

Cultural Revisionism in Tobe Hooper's *The Texas Chain Saw Massacre*

Film Topic Area

Paper Session

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Abstract

This essay argues that the villains in Tobe Hooper's *The Texas Chain Saw Massacre* resemble the classic Universal monsters Dracula, Frankenstein, and the Wolf Man. Aside from a close reading of these films, this essay will deconstruct our notions of "independent filmmaking," establishing film's generic and discursive relationship to its cultural and historical contexts. Finally, in light of the inadequacy of terms like "independent," which conceal the film's historical resonance in its fictive nature and apartness from the mainstream, this essay will juxtapose the Old World/ New World tensions in these films: the menace and mysteriousness of Europe for 1930s Americans in the Universal films, and rural America's tension with early 1970s counterculture in *The Texas Chain Saw Massacre*.

Designing a Customized Work Place Language Training Program

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Abstract

This paper discusses the process involved in customizing a language-training program for global companies with a diverse work force. Interviews, observations, and surveys formed the bases for a work place analysis. The work place analysis and learner profiles provided data for the needs assessment to develop specific language and cultural modules resulting in the implementation of an ESP (English for Specific Purposes) course for nonnative professionals of a global pharmaceutical company.

Title:

The Discourse of Successful and Nonsuccessful Teaching Assistants

Presenter:

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Abstract

This paper describes the rhetorical structure and nature of classroom discourse of Computer Science, Medical Science and Dental Science disciplines. Despite linguistic challenges such as, low intelligibility, poor pronunciation, and grammatical deficiencies, nonnative speaker teaching assistants' success may be determined by their speech acts. The more interactive Teaching Assistants (TAs) who employ various illocutionary acts to transact disciplinary information are the more successful TAs. Furthermore, the implications of these findings can be integrated with discipline specific discourse structures to develop successful Computer, Medical and Dental Teaching Assistants.

Title: **Technical Art, Art, and Technology**

Topic Areas: **Art, Architecture, Visual Arts**

Keywords: **Art, Technical Art, Visual Art**

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Abstract

Technical imagery is pervasive with foundations in architecture and applications in science and medicine, printing and publishing, and industrial production. Technical art has been a driving force in scientific and technological development both currently, and historically. One finds the literature replete with evidence of how visual expression, when created by artists, is created and evaluated. But what of engineers, scientists, and architects who use imagery as a method of inquiry? What of medical researchers, forensic pathologists, and physicists who attempt to visualize the inconceivable? When cross-media artists and technical artists share the same tools, and often the same subject matter, how can their fundamentally different actions be compared and contrasted?

A fruitful method of investigation is to explore two competing theories of visual understanding: the psychology of science (cognitive, linguistic, psycho-motor) and the psychology of art (visual reading and pictorial conventions). Indeed there is significant research to support Goldsmith's analytical model of image evaluation and many of her conclusions are directly applicable to technical imagery.

This paper addresses the question: "What are the forces in technical art, art, and technology that have shaped how we view technical images and those who produce them?"

Technical Art, Art, and Technology

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Introduction

The worlds of art production and art criticism have perpetuated many lines of demarcation between art and non-art, and none so critical in the information age as that between art used as philosophical expression and art used for technological or scientific expression. David Topper [1], in his discussion "Towards an Epistemology of Scientific Illustration," proposes that that as images are considered, "it seems that a scientific or artistic 'reading' of a picture is fundamentally a matter of context, not content." It would appear then that saying a particular image is or is not art is less about how the image appears and more about how the image is used. If technical artists and technologists use images in the same context as do traditional artists — to explore spatial and structural relationships, illuminate underlying constructs and conflicts, and propose solutions to the seemingly unsolvable — then the imagery created by both might well be considered art as it is generally defined. After looking at biology, anatomy, astronomy, and geology, Topper [2] concluded that "scientific illustration is customarily viewed as a form or art." Mishra [3] agrees with this and pushes the point even farther saying, "scientific illustration is more than art" — my point exactly. Technical images are vehicles for practicing science and technology.

In order to understand and visualize a role for technical image as an art form, a short synthesis of the relationship of technical art and technology is in order. One of the factors contributing toward a misunderstanding, or at times a non-understanding of

technical art, is related to its own development within science and technology and indeed, with the development of the arts themselves.

Technical art is that form of visual expression chosen to record the nature of technological activity and to assist in its development and promotion. To consider technical images as valid forms of artistic expression, it may be helpful to investigate how theses images function, both with technology and those making them. This art is executed to aid in the designing, planning, and documenting of technological effort [4]. Further, it is used as a persuasive instrument after the design process has run its course. If the requirement to be an artist is that one makes statements [5], consider that technical artists make scientific and technological statements.

The Technical Art Tree

At some point, each individual interested in either studying technical imagery in an academic sense, or in pursuing a career as a technical artist, must become familiar with the background of technical art, art, and technology. From an understanding of where technical art has been—and the forces that have directed and shaped its development—comes the ability to efficiently and effectively produce art in a milieu that understandably rewards its production in a financial sense, but that often does not reward its production in a professional sense. It would be beyond the scope of this paper to provide a visual compendium of technical art throughout the ages. The list of references at the end of this paper, especially Robert Harris' work, *Information Graphics: a complete illustrated reference* [6] is a place to start. Web resources such as the *Scientific Visualization Center* at the University of California at Berkeley [7] may expand your

understanding of the gamut of technical artistic images. The examples in this chapter illustrate particularly critical periods in the development of technical art.

The applications and forms of technical art have grown as science and technology have expanded to answer many of mankind's questions. Technological activity has acted toward technical art as sunlight to a tree — nourishing, developing, and allowing a simple structure to branch and branch again. A graphical way to look at this is to view technical art as a tree, its trunk rooted in the historical beginnings of man's creative activities and its limbs branching with each technological advance (Figure 1). As a caution, the tree illustrates generalizations, and not exact temporal relationships. If taken as a generalization, the tree may provide a picture of the developmental lines of technical art.

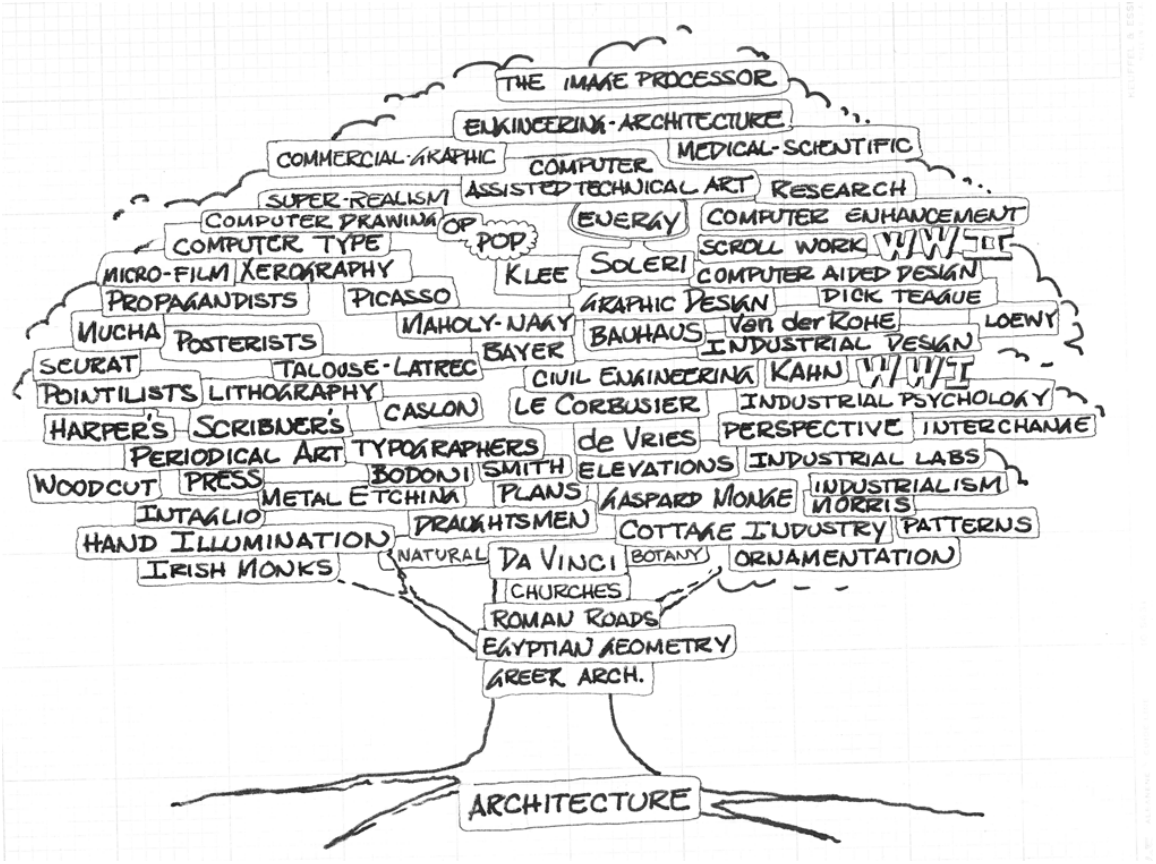

Figure 1. The development of technical art and its relationships.

The search for the roots of technical art requires attention to the nature of the task performed, Topper's context, as opposed to who performed the task, what the end result looked like, or what the activity was called at the time. This is especially true when looking at images from pre-verbal times. Before 1600, it is generally impossible to ascertain the driving force behind the production of artistic image. That is, whether the imagery was created within the triumvirate of designing, documenting, or persuading. The artifact nature of artwork from before 1600 has resulted in many technical images being lost; only the more traditional finished artistic antiquities were preserved. Accounting for the propensity of various religions and cultures for destroying all record of those they subjugated, it is no wonder that large gaps exist in historical documentation. Nevertheless, technical art is rooted in the four areas of mankind's technological activity: architecture, science and medicine, printing and publishing, and industrial production.

Technical Art in Architecture

Without a doubt, the bases of technical art were developed in the construction first of shelter, and then of monument. Certainly, architects have had a hard time with the traditional world of artists, art historians, and art critics. After all, what sort of statement does sketches, rendering, plans, models, or the actual building make? Beginning at a time when architecture was one of mankind's few technologies, the visual art used to plan and coordinate building and construction was considered only artifice, lacking the true expression of the real artist. Stephen Wilson [8] comments that "Generally, however, the mainstream art world has pretended that art could mostly ignore technological and scientific revolutions. Art focused on science and technology was treated as a minor footnote." W.J.T. Mitchell, in his 2003 keynote address to the Hawaii International

Conference on Arts and Humanities [9], lamented that certain mediums have been relegated to subservient artistic status. For example, architecture has been considered a poor stepchild of painting and sculpture. Still, there is significant evidence that architecture provides the technology for considerable artistic production.

The origins of planned architecture date from the late Neolithic or Bronze Age period and represent the change in cultural organization from that of nomadic hunter to a settled, agrarian culture. Drawing was often substituted for written language, or used along with it to communicate the essentials of technological advancements (see [18] later in this paper). Some cultures developed sophisticated pictographic languages that fostered further abstraction of drawn images. The earliest drawings employed existing materials; actual writing and drawing materials developed later. Early architects sketched out their designs by simply outlining the structures in the dirt; later, it was charcoal and animal fat on stone walls. Eventually, the Egyptians, with whom it may be said architecture took on its organized nature, used papyrus paper to record their designs and conventions of views and details began to take form.

But of course, all but stone documents or an occasional model have perished. Figure 2 shows an artifact that did survive. From his work *Engineering Heritage* [10], E.G. Semler displayed an architectural plan view cut into a stone tablet, with a marking device and scale conspicuously displayed.

The Greeks and Romans produced massive architecture while Phoenicians directed their building efforts toward naval architecture. The devices (plan, elevation, detail, section, and pictorial) and the media of execution did not appreciably change through these three cultures. Drawings were made to externalize the idea in the

architect's mind, aid in making decisions concerning the design, and to provide a permanent record. Throughout the history of architecture (and continuing right op to this day) the visual devices employed and the reasons for employing them remain the same.

Egyptian art has been characterized by an absence of modern perspective theory. Closer to the truth, Egyptian artists, as well as most visual artists before the fifteenth century, did not understand the complex geometries of projection and were incapable of three-dimensional representation. Add to this the incidence of visual problems that went uncorrected because prosthetic aids had not yet been invented, and you can see that incorrect projection may not have been a conscious act.

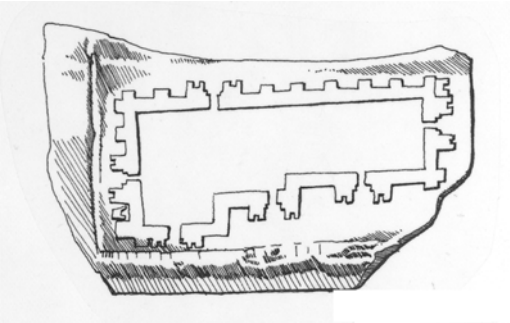

Figure 2. Architectural plan surviving in stone artifact.

Interestingly, of all the technological objects man has devised over five centuries, architecture, and the imagery used in its development and implementation, has remained unchanged. The visual devices used in architecture (the plan, section, elevation, and pictorial) remain unchanged as does the context in which they are used. Changes in construction techniques and materials, few as they have been, have not altered the devices used or the applications made of technical art in architecture.

Technical Art in Science and Medicine

Before the development of a widely accepted scientific method, naturalists (as scientists were called at the time) used illustrative means to explore and record the world around them. The fact that a robust scientific method has become commonplace has not lessened the importance of the drawn or constructed image as a method of scientific inquiry. The first reason is because, as Topper points out from the literature, there are "configurations that could not be adequately conveyed by words or mathematical symbols alone" [11]. Some constructs have no form, only relationships. And some forms have so many variations that generalizations are difficult to make based on one exemplar. So rather than replacing scientific illustration, photography has only pointed out the limitations of images captured on film. Topper [12] rightfully points out "that despite the invention of photography about a century-and-a-half ago — and its displacement of earlier forms of graphic art (etching, woodcuts, hand illumination, etc) — the artist still has a role to play in illustration, for the camera captures an individual specimen (the particular) whereas an artist can depict the archetype."

The same wide range of techniques found in other examples of technical art are found in the various disciplines of science, and not all fit our normal conception of art. The field sketch in Figure 3, though unrefined, expresses the relationships in a veterinary test condition. Where a photograph would record the particular condition, the sketch records the generalized condition. It is this generalized condition that has the greatest utility, allowing investigators with slightly different equipment to replicate the test condition. Certainly, a high level of realism can be achieved if the import of the art demands such (Figure 4), but more often, the content can be abstracted to the point where only the salient technical features are presented (Figure 5).

Two theories are at play here: the *sociology of science* (where visualization is an extension of cognitive, linguistic, and psych-motor skills) and the *psychology of art* (where visualization is based on visual reading and the learning of pictorial conventions) [13]. If a technological image is highly representative — as in a photograph or a photorealistic rendering — then few shared perceptual hypotheses, abstract theories, or conventional interpretations are needed. There is nearly a one-to-one mapping of the image and its referent (Figure 4). The more abstract the image, the greater the reliance on these shared perceptual hypotheses and the greater highly refined image interpretation skills are needed. The sociology of science theory requires visual correspondence of 'likeness' with the object depicted. The psychology of art theory requires picture interpretation and understanding of pictorial conventions. However, rather than being mutually exclusive, understanding technical art usually depends on some combination of these two theories. The question is: how does one know *a priori* the visual skill set of the target population?

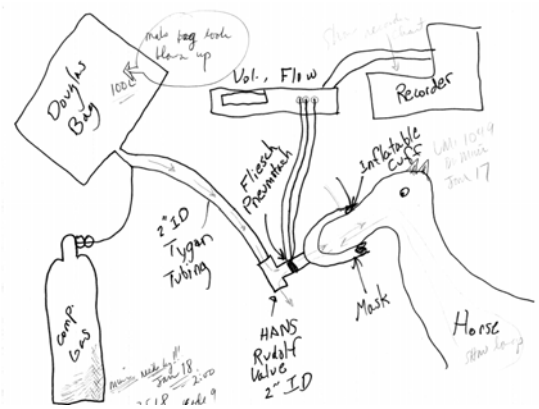

Figure 3. Veterinary field sketch with only the necessary level of realism.

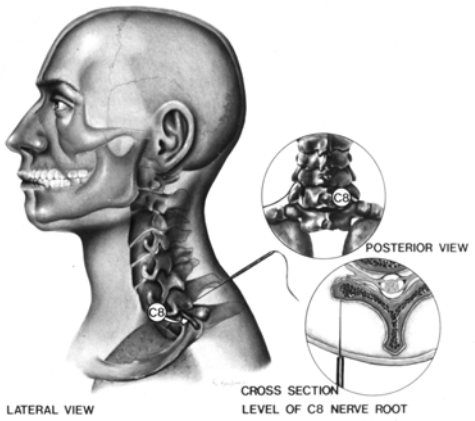

Figure 4. Surgical illustration with high level of realism.

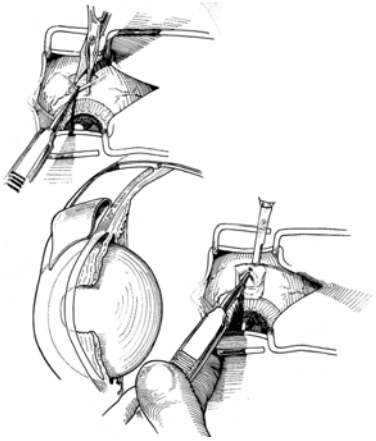

Figure 5. Information is abstracted but with a high level of realism.

Technical Art in Printing and Publishing

Early printing and publishing artists produced illumination on maps, manuscripts, and books that was supportive visual material—secondary to the written word. As soon as commercially available materials were available, and especially with the development of movable type, illustrators became the most widely recognized artists. In fact, it was the marriage of naturalist art and printing technology that fostered the rapid expansion of scientific thought, post Renaissance, and extending through the advent of photography

(as discussed earlier). Books such as Edward Johnson's *Writing, Illuminating, Lettering* [14] went to lengths to preserve the herbalist art form (Figure 6).

Though developments in processes, power sources, and market applications revolutionized the printing industry, the purpose of technical art remained the same: to supplement the written word. Picture books did not enjoy real public or commercial success until photographic technologies provided the means for photo engraving and later, photo offset lithography.

The context of supporting illumination is important in ascertaining whether or not the visuals are technical art. If the context is technical, scientific, or technological (industrial or architectural), then the illumination can generally be considered technical art. A quandary exists when the textual material is religious, sociological, or philosophical. Again, context and purpose are critical. If the purpose is to communicate a design process activity, document the result of a design process, or persuade in the adoption of acceptance of the design, then the visual image is well considered technical art.

Figure 6. Work or herbalists gained a wide audience with advances in printing and publishing.

Technical Art in Industrial Production

The rise of publishing was directly linked with the rise of industrialism. The more printing embraced industrial technologies, the more printing became a manufacturing, as opposed to artistic, endeavor. Technical art can be found in the development of many areas of industry: power, transportation, construction, communications, manufacturing, and service. These areas, and the developments within them, are intertwined in time, personalities, and technologies.

Take for example Figure 6, a redrawing of *le machine* circa 1629. Many historical pictorial conventions are recognizable. Interestingly, there are elements in this art still found in modern patent drawings.

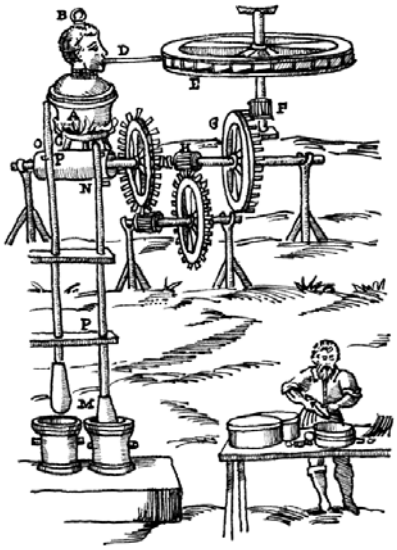

Figure 7. Historical conventions appear in this 1629 design for a steam turbine.

The drawing devices used in industrial production were generally orthogonal, that is, a conventional system of representing geometric relationships normally. Where technical art used in architecture was mostly unchanged by industrialization, the move

toward interchangeable parts and standardized manufacturing revolutionized the requirements made by mass production on technical imagery.

Historical Development in Technology and Art

The family tree of technical art presented in Figure 1 represents a visual record of the social, scientific, and technological forces and personalities that have shaped technical art's use and understanding. A great deal of time could be spent on the tree, detailing each of its developmental parts. Consider the following to be an overview.

In **architecture**, technical art's trunk is defined by the work of Leonardo; its practices are enriched by the growth of industrial design; its future rests in the use of digital tools to explore designs, document decisions, and promote its products. There has been great variability in the personalities and orientation of architects (some were artists, some were engineers, and some now see architecture as integrated social systems). Additionally, building materials and construction techniques have changes. Still, there have not been great changes in imagery as applied to architecture because the ability of human's to perceive architecture has not appreciably changed. Manufactured materials (that interrelationship of industrialization and architecture, again) placed new demands on the use and preparation of architectural graphics and buildings became industrial product, melding the functions of the architect and the engineer. This gradual loss of the art in architectural graphics can be traced from the last philosopher-architects, such as Thomas Jefferson [15].

In **printing and publishing**, advancing technologies supplanted hand illumination with photomechanical reproduction methods. Early typographers such as William Caslon (1692-1766) and Giambattista Bodoni (1740-1813) were artists of the

letterform. It is interesting that type forms are considered ‘common industrial utility’ by the United States Copyright Office and are excluded from copyright protection. Congress believes that type forms exist only to produce other things and fail to exhibit sufficient creativity to be copyrighted on their own [16].

In a case where the lines between art and technology achieved a remarkable overlap, and pointed the way to future printing technologies, was the work of the Pointillists and Georges Seurat (1859-1891). His breaking down of continuous tone predated Frederic Eugene Ives’ (1856-1937) invention of the photographic halftone. His decisions concerning the juxtaposition of discrete color elements paved the way for color halftones, stochastic screening, and digital dithering.

As **industrial production** became a more systematic and group effort, the requirements placed on visual documents became greater. Within cottage industries and handicrafts, drawings extended to simple patterns—the craftsman knew what was in the mind’s eye. The increase in technological complexity (materials, processes, systems and subsystems, and size of the technical workforce) determined the wide acceptance of conventions based on the psychology of art. But technology alone was insufficient to drive the development of technical imagery. What it took was marketing.

An evolving body of industrial psychology theory contributed to a new allied industrial activity: marketing and advertising [17]. Industrial products could, because of marketing and movable power sources, be brought to a population that was widely distributed. The time was right for technical art, not used as an active design tool, and not used to control the variability of the manufacturing process. It was time for technical art that would be used as a persuasive instrument.

Epistemological Foundations in Illustration

Evelyn Goldsmith, in her work *Research Into Illustration* [18], not only compiles empirical evidence into how individuals understand images, but proposes a methodology for evaluating images, a methodology that may be particularly fruitful in technical art.

In general, Goldsmith research presupposes that illustration is supportive of text; that a pictorial is a translation of text and can be evaluated much as language; that imagery cannot function without the written, spoken, or silently contemplated word. However, Goldsmith's analytical model bears a close look in how it may explain the structure of illustrations—especially the structure of technical illustrations.

She proposes that an illustration can be viewed on three levels. At the *syntactic level*, no recognition is presupposed. At the *semantic level*, the illustration stands for the dictionary definition. At the *pragmatic level*, an illustration is evaluated on the social, cultural, and experiential factors the viewer brings to the task of image comprehension. Goldsmith points out that an illustration may function quite nicely on the first two levels, but if not given the appropriate pragmatic context, most, if not all meaning is lost. She lends her voice to others cited in this paper, especially Topper, saying, "a drawing can lose much of its communicative value if in an attempt at simplicity it is denied an appropriate context" [19]. And that the use of context [20] can delimit the possibilities for interpretation. Increasing the simplicity or simplifying the complex is not, by itself, the route to visual effectiveness.

It is Goldsmith's discussion of *pragmatic unity* where avenues for understanding technical imagery and technical art emerge because at its application level, technical art is pragmatic. By evaluating the viewer's familiarity with the depicted object, the specificity

of identification, the context, and implied movement, one can understand why technical art is produced and ultimately, how it can be evaluated [21].

Technical Artists of the Time

Contributing to an under emphasis and, to some extent, an under appreciation for technical art, has been society's preoccupation with the artist. There was a time, albeit a short time, where technical artists were highly visible. In the time before the rise of the artist-philosopher-art critic, much of the art produced was technical in nature. I say it was technical because the driving force behind the art was a faithful and accurate representation of form, color, surface, and material. The statements were technical (anatomical, scientific, geological, or technological) though the subject matter may have been, and often was, religious in nature. Leonardo, above everyone else, used a form of his art as a means of investigation, not into his personal position in the cosmos (though he did that also in other forms of expression) but as a tool for technological development. Rudolf Arnheim [22] presented this succinctly, saying,

> "The lack of visual training in the sciences and technology on the one hand and the artist's neglect of, or even contempt for, the beautiful and vital task of making the world's facts visible to the enquiring mind, strikes me, by the way, as a much more serious ailment of our civilization then the "cultural divide" to which C.P. Snow drew so much public attention some time ago."

All technical artists are charged with Arnheim's observation: to the vital task of making the world's facts visible to the enquiring mind. One might consider the rise of industrialization to be the point of demarcation for technical artists being identified with

their work. With an exacting division of labor, there became no room in industry for artists. In art, there became no room for technologists. From that point on, the bulk of technical art was produced by anonymous workers buried within anonymous organizations. This anonymity has historical foundations. The technical artist must produce imagery that speak to,

> "… what his pictures represent without asking. And in primeval ages it must have been the same. To all such artists anonymity was essential. Originality was the last thing desired, because what they wanted were symbols as shapes recognized by all. And it remained so through the first centuries of civilizations everywhere — in Egypt, Mesopotamia, China; in ancient Greece; when Byzantine and Latin Christian culture was first taking form. To be sure, legend names early 'artists' — Imhotep; Tubal-cain; Daedalus; Meng Tien, the inventor of the paintbrush. But these were not individual creators, only collective mythical symbolic figures personifying those timeless generations of craftsmen and builders who learned to make images and buildings bigger, solider, in more permanent materials. And theirs was no High Art. It was ideational art — an art concerned with perpetuating the basic values and beliefs of society through symbols collectively inspired, anonymously executed, everywhere and immediately understood. This was the first, the earliest, the most basic form of Low Art. As we shall see, it still survives among us, vigorous as ever-shifting in form, as Low Arts always do; unchanging in function, as Low arts always are" [23].

This anonymity extended, with a few exceptions, through modern man's greatest social technology — the automobile. John McClellan discusses how this anonymity was maintained in the automotive industry [24].

Some technical artists (following Leonardo's example) have kept sketchbooks. Sir Alec Issigonis, the British automotive designer was known for his disdain of mathematical verification, preferring visual verification, instead. Ronald Barker [25] compared Issigonis's technical art to that of Leonardo:

> "His now well-known talent for freehand sketching of engineering subjects has this in common with Leonardo Da Vinci, that what elegance of form some of them may have is coincidental, in the sense that they are produced simply as practical means of transmitting lines of thought or guidance, without artistic pretensions."

Barker may be right in that neither were trying to make philosophical statements in their sketches. But to rule out that neither had artistic pretensions is short sighted. Each line sketched expresses the aggregate artistic sensibilities of the artist. Barker even goes on to say "unless one can sketch or draw one's ideas one can never communicate any engineering thought to anyone."

Conclusions

Both Topper and Goldsmith have established the critical nature of context in understanding technical images. When used in technical contexts, imagery become vehicles for practicing science and technology, and not simply an artifact — a document — the result of the scientific or technological process. In this unique sense, the art is, in fact, the process.

Both philosophical and technical artists make statements, albeit fundamentally different. Rooted in architecture, technical images have been used to supplement the written word or in some cases, to substitute for either the textual referent or the actual object. In scientific illustration, imagery has pointed out the limitations of photography in that generalizations may be difficult to make based on one photographic exemplar. Illustration's forte is to depict the archetype, especially when exemplars exist only in mind's eye of a scientist.

The greater the level of abstraction in an image, the more important are contextual connections — shared and accepted methods of interpreting spatial and conceptual relationships.

Examples of technical art can be found in architecture, medicine and science, printing and publishing, and industrial production. Technical imagery has been both the engine and the evidence of technological development; scientists, engineers, and technologists are the technical artists of our time.

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Language and Culture: a symbiotic study

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This presentation emanates from a research project that I undertook in the Central American countries of Belize, Eastern Guatemala and Southern Mexico in 1999-200 to study the effects that the English language, with its modern technological vocabulary, its idiomatic expressions and regional nuances has on the Spanish language of selected areas of these countries and to investigate what were the effects of these changes in the Spanish language on the **cultures** of these three selected regions.
I would like to begin by postulating what is the role of language in a society and by discussing what effects the uses of any language has on any society.
Wolfgang A. Luchting in an article published in 1975 asks the following questions which I found appropriate and provocative since they mirrored my thoughts as I began this research.:

> And what has literature [and Language] to do with development? After all, what does it buy? What does it sell? How does it contribute to the building industry, to the increase in production, to road-building, to transportation, how does it contribute to our (that is, certain people) making money by helping developing countries in their development? And quite generally, what do they do actually do, these *literati*? Are they not always criticizing everything, do they not often write pornography? They do not even contribute to any moral development, right? (Morals are invoked by certain people on the most unlikely occasions.) Are they not constantly brash and impertinent, are they not always politically uppity, sign protest telegrams, mock progress, blabber about alienation, celebrate Cuba (now yes, now no), in one word: are the *literati* not basically negative, as artists in general? And finally: books! novels! stories! poems! Why, who today still reads, for God's sake? If at least they wrote for television or produced tourism prospectuses, something instructive or useful; if only they presented nicely and intelligibly the necessity for new taxes, for instance, or explained why that factory can only be built in that park over there and nowhere else, and why the trees in the center of town have to be felled so as to make room for comfortable, big, progressive parking space, possibly with several storeys.
> Certainly, as far as I am concerned, they may, from time to time, write something spiritual, edifying, artistic, belletristic, so that I and the missus on Sunday, after dinner, have something to do and can make better people of ourselves. THAT develops; besides, it brings money.
> Those who ask such questions and make such suggestions are in a way not altogether wrong. It might even be said that *literati* rather hinder than further "development;" that they are bothersome factors rather than benefactors in development work. It all depends on what you mean by "development." [1]

By asking ourselves the above questions we as students of the humanities may be articulating as well as attempting to understand what is the purpose of researching the changes in the Spanish language caused by the English language and what effects do these changes have on the culture of any society and in these case, of these three selected regions? What are its benefits in the global scheme and development of mankind? What is the role of the humanities in a society that is driven by capitalist [mis]conceptions?

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[1] Wolfgang A. Luchting, "*The Role of Literature as a Development Factor in Latin America*," Research Studies 43 (June, 1975): 132-139.

Why, in a specific culture and environment is language important? Epifanio San Juan Jr. Professor at the University of Manila, perhaps answers these questions best when he says:

> For the majority of Third World peoples brutalized by the nightmare of a colonial past, and a neocolonial present, art [Language and Literature] is metaphorically and literally a matter of life and death. It reflects in varied forms the ongoing class struggle. It reflects the sharpening contradictions between the oppressed masses in revolt and disintegrating imperialism with its feudal/*comprador* props. In the Phillipines recently, Van Cliburn and Yevtushenko, amid the killing and torture of political prisoners and thousands dying of hunger, made a command performance before the dictator and his terrorists. In the liberated areas, the New People's Army create songs, poems and drama [that is they use the language] to reaffirm the life-sustaining function of art [and Language] for the people and against the imperialist agent, the Marcos regime.[2]

In Latin America the language is important and to utilize it in a manner that is deemed improper by the ruling regime, be it democratic or dictatorial, can lead to exile, imprisonment, loss of employment and in some cases, death. If there is any doubt about this, consider the fate of the late Argentine Jorge Luis Borges, who was appointed to the prestigious position of municipal fowl inspector by Perón after he had dared to criticize the regime of this dictator. Or the case of the Peruvian writer, Mario Vargas Llosa, whose government recommended that he be deprived of his citizenship after he published *La Ciudad y los Perros,* a novel critical of the Peruvian military and concomitant regime. For these and many other Latin American writers before, after and during the conquest language has been and continues to be a powerful vehicle, articulated in many forms and genres, to criticize and change established dictatorial regimes, even at the expense of losing their individual rights and freedoms. The language therefore evolves in step with society to reflect a changing political and social milieu. There is thus a symbiotic synchronization between the evolution of the language and the evolution of the Marxist superstructure, be this cultural, societal, political or literary, and as one grows so do the others in order to better reflect dialectal modalities that affect different elements of the superstructure as this superstructure develops in any given society. You may argue that this has been the role of language and of its utilization in any society, and that this use of the language is not endemic to only the Latin American writer. Perhaps this may be so, perhaps not, but a quote from W. J. Weatherby may clarify the role that language plays in different societies. Weatherby asserts:

> Our writers [from the USA] seldom take really unpopular stands against the community in which they live (and our politicians are therefore safe in ignoring them). One of the few examples I can think of was Faulkner at a certain period in Oxford, Mississippi. Graham Greene was once warned about heresy, but the Vatican did not bring out the racks and thumbscrews of the Inquisition. No, our writers in the West are more likely to be defused by financial success or failure…[3]

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[2] Epifanio San Juan Jr. *Art* against *Imperialism* , Art in Society 12: 222-225

[3] W.J.Weatherby. *Viewpoint,* Times Literary Supplement (1974), p. 182

In Latin America the Spanish language has been imposed from 1492 as a means of propagating a foreign culture on what the Spaniards considered, by their standards, an unsophisticated civilization-we know that history has invalidated that undocumented claim. Andre Gunder Frank in his book *Lumpenbourgeoisie: Lumpendevelopment* (New York: 1972) defines this imposition on the native population as one of the most insidious forms of mental imperialism. In her text *How the Other Half Dies* (1977) Susan Sontag documents the negative effects that the imposition of a language has on a culture and a people. These negative effects were also validated by the late Haitian writer, Franz Fanon in his novels *Wretched of the Earth* (1976) and *Black Skin, White Masks* (1976). In his novel *The Green House* (1966), the Peruvian novelist, Mario Vargas Llosa documents a case where Jum, an Indian of the Huambisa tribe was exploited because of his lack of knowledge of Spanish-the government, representing the Booth Steamship Company from Great Britain, presented him with a document, supposedly a contract for land between his people and the company, and made him sign it in the name of his people, in effect transferring the land of the Indians to the afore-mentioned company. Since he could not read, Jum was unaware that what he had signed was a bunch of old Spanish newspapers and not any kind of a contract. Ironically, Jum's daughter, since she had been taught some Spanish, was given as a gift by the nuns in the Catholic convent, the very same nuns who had taught her the language, to a colonel's family to be the colonel's unpaid domestic servant-in effect, Jum was exploited because he did not know Spanish while his daughter was exploited because she *knew* Spanish!

It seems clear then that in many cultures, both classical and contemporary, changes in the language symbiotically cause changes in the behavior patterns of the given society and affect the manner in which the people think in that specific society. It is this writer's opinion that it is therefore important to document and study changes in the language to achieve a clearer and more comprehensive as well as more comprehensible picture of the evolving culture of any particular society. This is especially true for a teacher of second languages since modern second-language pedagogy emphasizes that the second language should be taught within the culture, traditions and customs of the regions where this specific second language is the primary means of communication.

My research on the effects on the culture caused by modern changes in the Spanish language started in the summer of 1999 when I traveled to selected areas of Belize, Mexico and Guatemala to conduct research into how the English language has caused changes in the uses of the Spanish Language, and to identify how these changes are affecting the culture and the society in general. As a professor of Spanish, I deemed these prospective changes to be important since they would reflect a cultural and linguistic awareness that may be influencing the manner in which Spanish is spoken in these selected regions in Latin America, as compared to the manner in which it is spoken in the rest of Latin America, Spain and the United States of America. Again, it is this writer's belief that it is the responsibility of teachers of Spanish to be cognizant of any such linguistic and cultural differences so as to make their students aware of them and in this manner help them realize that Spanish is an evolving language, reflective of the environment and contemporary culture that surrounds the people who speak it. To conduct this research I read the very few current publication on this topic in the libraries of the targeted areas, I interviewed some resource personnel in the areas, for example, the Director of the Arts Council of Belize, I visited some of the educational institutions of the

selected regions to observe, first hand, how changes in the Spanish language are reflected and disseminated in the classrooms and talked extensively to ordinary citizens of all the regions in order to have a sense of how the current linguistic expressions, idiomatic phrases and nuances in the language have influenced the culture and in particular, the behavior patterns of the youth in the selected regions.

At this stage it is important to contextualize my presentation by providing to the reader some brief historical information of the regions in which this research was conducted. I will start with the country of Belize.

Formerly know as British Honduras, this country was first colonized by the British, as part of their program of economic expansion, in 1658. The British settled in the Bay of Belize, facing the Caribbean Sea, and proceeded to commercially exploit the logwood[4] and then the mahogany from the coast. By the beginning of the 18th century the British began to import African slaves via the Caribbean [Jamaican and Barbados] into Belize to supplement their work-force and to satisfy the growing need for logwood and other hardwoods in Great Britain. With the British and with the slaves came the English language and culture-practices such as drinking tea, playing cricket and drinking Scotch whiskey substituted some local customs and traditions. It is essential to remember that the British occupation was based purely on the economic needs of this country; hence they did not really colonize the North [border with Mexico] and the South and West [borders with Guatemala] of the country as they found little to nothing of economic value in these specific border regions. Perhaps the philosophical underpinnings of the English occupation of Belize during this period in its history is best described by Evan Hyde, one of Belize's most popular writers, when he says:

> The masters of any society, legitimate or illegitimate, have the power to shape the historical accounts of events in order to suit their ends. Our [in Belize] slave masters have been the English people-Caucasians. They write history books which lie to us in order to bluff, blind and deceive us. They have successfully created and maintained division amongst the black, brown, red and yellow people of our society in order to rule us.[5]

Between 1847-1901 the Caste War of Yucatán occurred in Mexico-thousands of Aztec and Maya Indians revolted against their Spanish masters and slaughtered many of them. A great number of displaced Indians fled Yucatán because of this war and settled primarily in the north of Belize. This new Indian and mestizo population brought with it its culture which was reflected in the traditions, customs and particularly in the Spanish and Yucatec Maya languages and dialects that they spoke. In Belize, while the people in the coast, mainly descendants of the slaves, were speaking English or some dialect of it, those in the north, south and west were speaking Spanish or/and some form of the Maya language. Thus since 1658 the country of Belize has experienced a multilingual and multicultural phenomenon caused in large part by the ethnic mix which today is comprised of 30% Creole, 7% Garifuna, 43% Mestizo, 11% Kekchi, Yucatec and Mopan Mayas and the remaining 9% is made up of a mixture of British, Arabs, Chinese,

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[4] A hardwood whose bark was boiled to produce different colors that were used in dyeing cloth particularly during the industrial revolution in Europe.

[5] Evan X Hyde. X Communication: selected writings. Belize City: The Angelus Press, 1995, p. 1

and Menonites who came from Mexico and Canada. This very diverse ethnic composition manifests itself in acute political, academic and religious rivalries between the two major ethnic groups-the Latinos in the North, South and West and the blacks in the coast.

In Mexico, especially in the Yucatan area, a largely similar phenomenon existed: the native Indian population (Aztecs and Mayas) were overwhelmed by the Spanish conquistadores under Cortés in the early 16th century and dramatic changes in the culture ensued. The Indians assimilated Spanish traditions and customs into their culture and adapted Spanish as their first language; during the conquest and afterwards, it was clear that knowledge of Spanish was indispensable if individual economic and social self-sufficiency was to be accomplished. However, the Spanish that was spoken in both regions (Belize and Mexico) was enriched with native Indian vocabulary and regional expressions to such an extent that at times a Spaniard would be hard-pressed to understand ordinary Mexican/Belizean conversation in Spanish.

In Guatemala, in the border province of Petén, the major metropolitan city of Flores is strikingly similar to the south and west of Belize and the Yucatan region of Mexico. Originally populated by the Mayas of the Kekchi tribe, it was brutally colonized by the Spaniard Pedro de Alvarado in the early 16th century and what followed was a pattern of exploitation through which the Spanish language was imposed similar to what occurred in the Yucatán region of Mexico. As I began the research project, the themes I had as major foci were: the extent to which the north American culture, including the English language, influenced the Latino culture and the Spanish language in these regions; the extent to which these changes and influences are reflected in the every-day life of the people, particularly of the youth; the level of awareness of these changes of the governments of these regions and the mechanisms, if any, that they are implementing in order to preserve the local customs, traditions and the Spanish language.

In Belize City I spent one week reading and researching the archives on the history of the Latino population particularly of northern and southern Belize, located in the Baron Bliss Institute , the national library of the country. Of particular importance to my research were the following: documents pertaining to the immigration of Yucatec Indians into the north of Belize during and after the caste war; one Ph. D. thesis written by Dr. Angel Cal, a Belizean, on the culture history, traditions and customs of the Indians of the north and south; a multitude of short texts and articles on changes in the culture that resulted from the influx of the British in 1658 and several magazines such as *The New Belize* and *SPEAR* that document the efforts of the Belize government to "re-educate" the population with a view to fostering an awareness of and pride in the local traditions, culture and especially language.

My research continued in Benque Viejo del Carmen which borders Guatemala on in the south and west where I visited schools and small libraries and talked to the local population in order to understand their sentiments in regards to the changes in the language and culture that they themselves indicated are occurring almost every day. From there I traveled to Flores in Guatemala where I spent several interesting days in libraries and schools and talked to local Indians who clearly feel that their culture being "tainted" by the "English" culture of their immediate Belizean neighbors and by what they call the "gringo" culture.

From the south of Belize I traveled to Yucatán, Mexico and spent a week in the border city of Chetumal in the province of Quintana Roo and in the colonial city of Mérida. I spent several hours in the local branch of the UNAM[6] library, particularly in the newly opened section called "Museo Maya," a repository of the largest collections of Maya and Aztec documents in Central America. I also spent many hours in the open air markets in both cities listening and talking to local people about their perception of any kind of cultural changes that are affecting the evolutionary changes in the Spanish language. Back in Belize city, I interviewed Miss Lita Hunter Khron, Director of the Arts Council, who was quite aware of the erosion of our culture and language and who spent many hours explaining to me what the Arts Council was doing to revitalize local interest in Spanish language and its concomitant culture in the northern, southern and western regions of the country.

I also talked informally with elementary and secondary school teachers in all the three areas to discuss what was being done to promote the Spanish language and culture in each of the specific regions. In addition, I spent considerable time talking and recording some students and various members of the local population in order to get a "non-academic" reaction to the incursions that are being realized into the local customs and language by foreign cultures.

As a result of the above research activities, I was able to conclude that in these selected areas, but especially in Belize and Southern Mexico, the Spanish language is being eroded in great part because of the influence of north American culture, as evidenced both by the great amount of American television programs that are watched by the local populace and by the inculcation of English vocabulary into the Spanish language. In both countries, for example, fishermen, housewives and construction workers plan part of their work schedule, including siesta time, around the American soap operas: especially in Belize, fishermen would come home at noon so that they could watch "Days of our Lives." Other north American television programs, for example the wrestling matches and the game shows, are also quite popular. These programs, dubbed in Spanish, substitute time that was traditionally spent in conversations and family gatherings. The people I talked to seemed amazed that I knew little of Oprah Winfrey or about Hulk Hogan. What seemed to me more interesting and quite reflective of changes in the culture as evidenced by changes in the Spanish language was the intercalation of English derivatives into the Spanish vocabulary: these English phonemes are used in every day conversations and although their Spanish counterparts exist, very little effort was made, in both Yucatán and Belize, to substitute the Spanish vocabulary for the English word. This practice was particularly prevalent among the young people who are attuned to north American products such as Lee Jeans, Nike shoes, play stations, Brittany Spears and Microsoft, among others, and emulate in their language and in their behavior the commercials they see for these products. Such changes in the Spanish language in these regions are symptomatic of a changing attitude towards the Latino culture and language. The younger people in particular are becoming more and more aware of the existence of American-manufactured goods and American-produced music and television programs. In their minds, the north American products and way of life are better than what they have and they are substituting their traditional culture and language with its north American equivalent. In these countries, it is "hip" to consume north American goods

[6] Universidad Nacional Autónoma de México.

such as clothing and shoes and to listen to north American artists and watch north American movies and television programs. As a result, the Spanish language is being inundated with English words and in the streets and local markets one can hear different hybrid creations resulting from combinations of root morphemes of the source language [English] with derivations of the native tongue, in this case Spanish.

In the three countries but particularly in southern Mexico and Belize, the respective governments are quite aware of the language-based cultural changes that are occurring in their particular countries and are making serious efforts to revive pride in the Spanish language and culture. The government of Mexico, with the avid support of the government of Belize, has built a "Casa de Cultura" in Belize; this building, with a Maya motif, offers to the Belizeans texts in Spanish for their consumption, sponsors Belizean artists and writers in their publications and art exhibits and provides classes in Spanish Language and Civilization, free of cost, to any Belizean who is interested. As I left the country, the local Belizean university was about to designate university credits for selected courses taken by Belizean students at this "Casa de Cultura." In the north, the Belizean government has given land to the Mexican government which Mexico has used to establish elementary and high schools, free to the Belizean population, where the curriculum is totally in Spanish. In Belize there has been an active immigration from El Salvador, Honduras and Guatemala, the result being that Spanish is becoming more popular as these immigrants bring into the country their language, customs and traditions and as they intermarry with the local population. According to Mrs.Lita Hunter Khron, Director the Arts Council in Belize, the Belizean government is also building mini "Casa de Culturas" in remote regions of the country through which local works of art and magazines in Spanish are exhibited and in which classes in the Spanish language will be offered to the local citizenry. The governments of Mexico and Honduras are offering full scholarships to Belizeans to study in their respective countries, the intent being for them to study in Spanish and to return home to disseminate their acquired professional knowledge using the Spanish language.

In Mexico, the government has embarked on an extensive re-education program whereby the local population is encouraged to attend classes beyond the elementary level. Mexican radio stations have "cultural hours" during which documentary programs which focus on the history of the Spanish language, on Spanish music and Spanish Literature and on Mexican history are broadcast during school hours, thereby encouraging the young students to listen to these programs in order to prompt them to feel pride in their native culture and Spanish language. Cultural and linguistic ties between Mexico and Belize, particularly with the town of Corozal [the northernmost district of Belize] are very strong and are being forged on an almost daily basis, with the emphasis being placed on revitalizing interest in both countries in the Spanish language and culture.

In Guatemala, the government is keeping a tight rein on immigration into the country by English-speaking Belizeans. However, it was clear that in this country the effects of the English language on the Spanish language and local culture are not as acute as they are in Mexico and Belize. As a result, other than controlling immigration, I did not perceive any serious and demonstrable efforts by the government to disseminate and promote the Spanish language and local culture and traditions.

These are some of the changes in the culture in these selected regions that are being prompted by the changes in the Spanish language. My research clearly demonstrated that

the English language is causing changes in the Spanish language which in turn is causing changes in the cultural attitudes and societal practices and traditions. It seemed to this writer that the new "culture" is reflective of a more western/north American way of viewing society.

Finally, I need to emphasize that my research has prompted me to approach my teaching, particularly at the basic level, in a somewhat different manner; it is my belief that students of the Spanish language and culture should be made aware of the changes in the spoken Spanish so that they can better understand the language as it is spoken by different people from different Latino countries.

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Title Page

1. Title: **Sustainable Urban Design in the 1930 Los Angeles River Plan: A Paradigm of Balancing Los Angeles' Ecology and Human Behavior**

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Abstract:

The modern Los Angeles River is a ribbon of engineered, unimaginative concrete that meanders through the Los Angeles Metropolitan Area. Built by the Army Corps of Engineers in 1938, it was meant to alleviate flooding which historically occurred every 5-10 years. Now considered a blight, urban designers are seeking ways to mitigate the L.A. River's negative visual impact, incorporating it back into the city both aesthetically and functionally. However, there was plan in 1930 by the Olmsted Brothers and Bartholomew & Associates who were in the forefront of urban planning. Their un-constructed design acknowledged both the ecology and psychology of Los Angeles and its residents, providing a model which urban designers are now revisiting.

1. Title: "Play It Again: Observing the Types of Play and Musical Responses of Young Children"

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6. Abstract

One of the challenges of teaching a general music methods course for early childhood education majors is making the connection from theory to practice. Field experiences observing young children in several settings can provide meaningful connections to active learning in our college classrooms. I have implemented three types of field experiences for my sophomore early childhood education majors in order for them to connect theory to practice with regard to the types of play and musical responses of young children. My presentation will include descriptions of these field experiences and a categorization of written observations from students as they strive to make connections from theory to practice.

"Piggybacking" onto already existing field experience placements and "double exposure." The School of Education at my university provides field placements for all of the early childhood education majors to be in pre-school settings during the fourth and seventh weeks of the semester. I make two assignments for these weeks: first, an e-mail "Reflection" assignment based on a set of questions I pose regarding the students' observations of spontaneous music play in the pre-school setting; second, a report based on questions regarding the types of play as identified by Mildred Parten's research such as onlooker, solitary, parallel, associative, or cooperative. During the second visit, or

"double exposure," many students choose to lead a music activity, lead a transition song, or enter into the spontaneous music play of children at the pre-school.

The "one-shot deal." My students in this course also observe a K-3 music class at a local public school, noting the children's responses and the teacher's techniques in relation to those we have done in class. A set of questions are posed for students to respond to in an observation report. I have found that students are keen observers and critical thinkers, and that they bring unique perspectives as early childhood education majors when observing a general music classroom.

A separate "one-shot deal" involves the final project in the course. Students host a Music Fair for 3-5 year-old children from our on-campus child development center, comprised of hands-on music centers created by the university students involving playing instruments, singing, listening, creating, moving to music, or making instruments. The Music Fair is both a service learning and field experience. Students learn to guide children's music play in effective ways. They also observe me leading a "music circle time" at the beginning and end of the Music Fair. Using this as a course culmination has resulted in the identification of significant learnings about children's play and musical responses.

Field experiences provide unique opportunities to connect theory to practice in college methods courses. My general music methods course has evolved to include several opportunities for education majors to experience children's musical responses and play first-hand with often surprising outcomes. Adults as well as children can enjoy a music experience so much that they want to "play it again."

The Performance and Trial of *"Ye Bare & Ye Cubbe"* (1665) The First Activist Theatre in America?

Joel D. Eis c 2001 All rights reserved

The decision by the American colonies to break from the Crown came slowly, event-by-event, community-by-community until the weight of experience reached a kind of "critical mass" and the need to fight for independence could not be denied. Evidence now strongly supports the conclusion that the performance of the first play in English in America, "Ye Bare and Ye Cubbe" which occurred on 27 August, 1665 in a tavern on the Eastern Shore of the Chesapeake Bay may have been just such an event. While it was local in effect and early in its timing –110 years before the revolution-- it may have served in no small measure in this remote community as an early "Call to Arms" much like Paul Revere's ride or the Boston Tea Party.

Furthermore, it is more than possible that the pivotal value and influence of this isolated event has been grossly underestimated. Its existence may not have been known throughout the colonies as a whole, but Virginians such as George Washington, Thomas Jefferson, George Mason, John Adams and Patrick Henry, who all served to galvanize opinion in those fiery days, were all well versed in the legal precedents of their colony and so the record of this unique event may well have been part of their knowledge in those formative years.

There is no text of the play and no written accounts as to its effect, yet much information has been discovered around this event beyond the cursory mention in most texts on theatre history. The only direct evidence of the event itself is, in fact, a court record because the performers were brought to trial. This is our first clue that this event may be worthy of deeper scrutiny. In its very wording the indictment smolders with the first incendiary whiff that something more was afoot than a mere rural complaint of rowdiness.

These are the salient facts surrounding the performance, indictment and trial:

Three men deeply affected by stressful economic times performed a play with a title that hints at a seditious allegorical connotation. This is, on its face, possibly against the law. One of the performers was known as an indentured servant and was not even allowed into the bar where the play was performed. This was, on its face, most assuredly against the law. The event in question was performed on a Sunday in a tavern and was a clear violation of the Sabbath. This was also against the law. The event had most assuredly gathered a large crowd from the area, most probably including even the landowners who were justices of the court, and who would have been obligated to halt the event immediately or bring charges themselves. Yet at the time of these multiple infractions no charges were filed on any of these statutes. Complicity from the entire audience would have been required for these facts to be ignored.

Improbable as it seems that is exactly what happened. When charges were actually filed three months later they were voiced by a single individual who was a local curmudgeon in fact with a possible personal grudge against one pf the defendants.

Even more important, when the indictment was actually issued it required the defendants to perform the entire play, complete with costumes props and gestures before the court. Why would the court make such a unique and inclusive decree?

Clearly they sought to discover the content and intent of the performance as a whole. They were looking for issues of moral turpitude or sedition or they would have simply fined the men for lower charges and have been done with it. At a time when communities were burning witches on the hearsay of little children in other colonies this enlightened precedent must be viewed as most unique.

The economic and political climate in the years, months, and even weeks before the performance gives us a picture of the motives for this "crime". Evidence as to the political intent of the performance can also be extrapolated from what we know of the performers. There are four pillars of evidence to support the fact that the play was political in motivation and content.

1. Unfair treatment of the Virginia colony continued up to the very weeks before the performance of the play. This political and economic repression was focused most acutely on the Eastern Shore and fostered simmering resentment.
2. Facts about the men involved show that they were affected by these conditions and thus had a motive for the perpetration such an act.
3. The title of the play itself with the often-used motif of parental/child or animal/fledgling reference in describing the relationship between the Colonies and England points to the political/allegorical content of the work.
4. Though the defendants could have been charged with three easily provable crimes and a guilty verdict levied forthwith, the court was moved to seek charges that would merit the complaint. Seditious or slanderous intent in the performance of the play would be what they were looking for.

The motive and opportunity examined

In Virginia money did *literally* grow on trees, in the form of tobacco plants. The colonists traded in tobacco as money, and whatever foodstuffs and other supplies the colonists could not produce they could buy from nearby colonies with this product. It was a medium of exchange.

Independent of the rest of the colony the Eastern Shore was conducting an extensive inter-colonial and overseas trade. Contacts with New England, settlements up the Chesapeake Bay, into Pennsylvania, Dutch New York, the Spanish Carolinas, the Caribbean, and Holland

were numerous."[1] This autonomous and lucrative trade was to become a direct motivation for at least one of the defendants in deciding to become part of this (illegal) act.

The Colonial authorities looked with increasing unease toward their economic success and independent spirit growing in Virginia. The London authorities enacted a series of harsh punitive trade policies aimed at curtailing this success. In fact, debates over these policies single out the Eastern Shore of Virginia and the Chesapeake regiom specifically..

"In 1660 Charles II formed the first unified authority called the "Councill appointed for Forraigne Plantacons. 'The Council of Foreign Plantations began functioning in January 1661'."[2]

This is the beginning of the all-important period just prior to the performance of the play.

The very title of this agency, which relegated these English settlements to the status of "foreign plantations" rankled the colonists, who considered themselves to be Englishmen and that the ocean between did not diminished their Englishness.

Continual petitions, boycotts, and delegations sent to London in the four years before the date of the performance of the play were of no avail. Sosin sums up the simmering conditions in this period by saying, "For the planters on the Chesapeake the years following the Restoration generally were years of great economic difficulty. The days when their product fetched luxury prices were gone, as glut forced prices lower. (Though) The low price of Chesapeake tobacco when exported from England, made it more competitive in the European Market[3]" but the farmers on the Eastern Shore did not collect the lion's share of this profit.

Nature and politics in Europe seemed to be conspiring to bring a sour mood to the shore in the middle 1660s. Other political factors heightened the mood of desperation on the shore "War and disease intervened. Dutch marauders and plague kept the annual fleet in England in the

fall of 1665."[4] This was exactly the time of the play's performance. It is easy to see that these matters might cause some men to hazard censure or worse with the performance of a play.

The play in question was performed in late August, the time when taxes are paid, and tithes are given[5]. Spirits could run high from a good crop, or a poor one. These were hard times with no relief in sight.

The actors in the drama

All the defendants were concerned with the issues previously discussed--free trade, debt relief, and local political autonomy. Details on the lives and relationships of the defendants, their histories prove to be most telling. The reception of the play's performance without immediate outcry shows that they had touched a nerve in their community that over rode the many moral, religious and political infractions incurred.

The "Accomack Three" consisted of Philip Howard, Thomas Watkinson and William Darby, author of the play.

"Phillip Howard was a head right of Robert Richardson,"[6] at the time the play was performed he was most probably still indentured on Richardson's land.[7] The establishment and confirmation of Howard's indenturehood at the time of the trial is an important detail. His involvement in the play supports the court's consideration of a higher charge as well as the case we are proposing for their sympathy concerning the content of the play. It was illegal for such bonded servants to enter or frequent an alehouse or tavern. Howard, an indentured servant, was in an alehouse and performed a play for the public. This strongly indicates that the justices could--and did--look the other way on this public infraction because other more important concerns took precedence.

Cornelius Watkinson, 22 years old in 1664 was granted a patent for the 450 acres directly on the border of Northampton County. The date of Watkinson's acquisition of this land (1664)[8] was not more than a year before the involvement in the production of *Ye Bare and Ye* Cubbe.

And so at the time of the performance and trial Watkinson had just acquired a not insubstantial piece of land. He was therefore in considerable debt in the midst of a down-spiraling tobacco economy and facing a rough year.

Watkinson may have been drinking with William Darby, the third member of "The Accomac Three" when one of them proposed the idea of a play. Roping Howard into the project may have taken some doing, but his personality, as a "follower," may have been why he was chosen. This scenario gives Cornelius Watkinson and at least one of the others a serious motive to commit the "crime" that took place in a tavern on August 27, 1665.

The third defendant William Darby is a bit of a mystery man.

In *The Complete Book of Emigrants 1607-1660*, by Peter Wilson Coldham, there is a notation that on "January 17, 1659 a William Darlby bound to Richard Lukins to serve 6 years, shipped for Barbados."[9] There is proof from other sources that he never arrived in Barbados. Was this William Darby the same man as our playwright and defendant? How is it that he arrives in Virginia as a free man?

The ship's he was on made its first port of call in Virginia to let off purchased cargo and take on tobacco to trade in Barbados for sugar, slaves, and other items. It is possible that for some reason the ship lingered in port. Darby may have taken the opportunity to jump ship or he may have performed an extraordinary service for the captain and been granted his freedom. But it appears that William Darby got off in Virginia and never arrived in Barbados.

The William Darby in question soon shows up as a tithe payer in 1664 and 1665 but

without a land transaction in his name listed of any kind. This is, again, unique. He is then above the station of servant, tenant farmer, or hired laborer. The connection to his quickly achieved success lies in his "profile pattern," as a very plucky young man with nothing to lose and a person who seems to take advantage of opportunities.

But where and how did he learn to write a play? Why would this be his chosen means of expression, totally unique, highly immoral, and possibly seditious?

The implications of William Darby's ability and desire to write this play require some careful consideration. In the entire pre-Revolutionary period this is a rare act in the colonies as a whole. The fact that he would (and could) write more than merely a simple note or letter, but pen an entire play, indicates an attention to books and perhaps the reason for his dereliction in his duties as a trade apprentice from which he was released at age 13. His choosing to author a play rather than a tract, a petition, a sermon, or an open epistle, may indicate a rare propensity as well. This line of information and reasoning leads to a daring conjecture, which all of the facts do not prove, but from which an unavoidable and tantalizing implication arises. Was William Darby, before his mysterious arrival on the Eastern Shore, involved in clandestine theatre in England in the Cromwell period? Was this cause for an arrest and a transmutation of his sentence to indenturehood?

As the records indicate he was about 25 or 26 years old when he was arrested. He would have been only eight years old when the theatres were officially closed and performance made illegal under the Cromwell regime in 1649. If there were no playhouses in America and none operating *officially* in England at the time of his departure (1659) where and when would he have seen plays sufficient to know how one was written? Unless he had attended –or was involved with-- a fair number of plays.

If he were arrested for being in a clandestine performance and had his sentence commuted to indenturehood, the pieces of this part of the puzzle would fall into place smoothly. Other information covered in a full book on this subject leads to the conclusion that Darby's connection the theatre in England cannot be entirely ruled out.

Next we must examine some details concerning the plaintiff, one Edward Martin. These also point to political concerns as central to the performance.

Edward Martin is recorded as an indentured servant for Richard Smith since 1649. More importantly, a noted genealogist on the Eastern Shore has quoted sources alleging that, "Edward Martin was a Quaker."[10] Edward Martin's illegal religious affiliation has importance to the case. It most assuredly colored his views on the performance of the play, and was important aspect of his motivation in filing the complaint.

Edward Martin was indentured to the same man for over 15 years. There were rare cases of voluntary servitude whereby, in exchange for much needed security a person would choose to preserve his/her state of bondage for an entire lifetime. If he and his master shared some other bond, such as an unpopular religious conviction, this would also be a motive for sticking close to the home fires. There is definitive proof that his owner Richard Smith was also a clandestine Quaker.

Furthermore, the evidence shows that he was employed in some capacity on land that was contiguous to the property whereupon Philip Howard was indentured at the time of the performance. Country feuds over many things can lead to a simmering vendetta and the opportunity of the performance of the play that may have piqued Martin's moral outrage, before after or during such a feud with Philip Howard, nearly 30 years his junior, may have been the "critical mass" of anger that exploded into the sole petition to have been filed against the players.

The value of establishing that Edward Martin was a Quaker is that it supports a strong conjecture for his motive in filing the complaint with the Court. An older man with doctrinaire convictions, he had beliefs more conservative than those of his neighbors and he acted upon them. The question of content raises its head again.. It points to the nagging question of why no one else filed a complaint in the case of this very public infraction.

What's in a name?

The title itself "*Ye Bare and Ye Cubbe*" reflects a subject or situation –that of a parent/child relationship that is a clear reference to the rapport between England and the Colonies. Thus the performance of acting out a comeuppance delivered by the cub to the bear – most assuredly the comic action in this bar room farce-- would serve as a kind of wish fulfillment scenario for the oppressed and beleaguered settles on the shore; a purgative and a focus for their frustration and genuine privation.

The colonial relationship was framed in terms of the parent/child paradigm on both sides of the Atlantic. Early supplications on the recurrent themes of taxation, legal redress and the extension of reasonable rights were consistently framed in the presumption of this relationship.

There was support for this paradigm on both sides. The British point of view toward the colonies is anchored in the perception of them as some kind of helpless head-strong fledgling animal or errant child. English broadsides of the later pre-Revolutionary period reek with disdain and superciliousness. "While the colonies were under and apprehensions from the encroachments of the French and Indians they submitted to the British legislature without reluctance; because they were sensible in their inability to defend themselves, and of the necessity of taking shelter *under the wings of their mother.*"[11] [My emphasis, Ed.]

The rejoinder, delivered by William Williams, another prominent member of the clergy in the colony is also framed in these terms.

> "From England we have received our existence and to her are we indebted for protection. *Were it not for her fostering wings,* how easily should we be destroyed by an invading foe! We are not yet arrived to maturity. *We are infants and stand in the greatest need of dandling on the knees of an indulgent parent.* One paw of the British parliament would crush America to atoms."[12]

The title of the play, "Ye Bare and Ye Cubbe" was just such an allegorical treatment of the child/parent relationship central to the rhetoric of this discussion. A play with such a title – in that time and place-- was most probably of political intent and was understood as such.

Furthermore, it was well known that Charles II had a love of bear baiting. And so the bear was an easy reference for anyone desiring to burlesque the corruption of the court in what could be construed as innocent fun, but which everyone knew was clearly related to other concerns.

Brought before the Justices, upon what charge?

What written legal statutes might have been violated? What evidence is there that a higher charge was considered?

As far as the theatre, gambling, dancing and other such activities were considered licentiousness, wasteful, immoral activities throughout the colonies as a whole. Yet when this event occurred there was little or no general outcry for prosecution. The complaint that resulted in the trial was made three months later by a lone curmudgeon in the community. Could this general silence speak to us about the general support for the sentiments expressed in the play? What other factors could be at work in this case?

Let us now examine the record of the legal proceedings themselves as well as the legal and social context of the event:

A summary of the charges files in mid November 1665 reads as follows:

> "Whereas Cornelius Watkinson, Phillip Howard and William Darby were this day arrested by Mr. John Fawsett his Majestie's Attorney for Accomack County *for acting of a play* (my emphasis, Ed.) by them called the Bare and the Cubb on the 27th of August last past. Upon examination of the same The Court have thought fitt to suspend the Cause till the next Court and doe order the said Cornelius Watkinson, Phillip Howard and William Darby appear the next Court in those habiliments that they then acted in, and give a draught of such verses or other Speeches and passages, that were then acted by them.
>
> It is ordered that the Sheriff arrest the Body of William Darby for his appearance the next Court to answer at his Majestie's Suit for being the artour [author] of a play commonly called The Beare and the Cubb."[13]

As has already been established the three young men brought into the court for the play were most decidedly not charged with anything so mundane as Sabbath breaking or aiding an indentured servant in drunkeness. The decision by the court to hear and see the play indicates that the court sought to try these men on the highest crime they could consider.

There were several statutes that gave the court the mandate to consider a higher crime. These laws, passed in 1649, dealt with thoughts and acts of treason, sedition and illegal assemblies for those purposes. It is only these laws that would require the court to see and hear the full content of the play itself.

With a knowledge of the allegorical nature of the play and so many witnesses why where these men acquitted of any wrongdoing, even on the lower charges that were easily provable ?

It is highly probable that the members of the Court –almost all universally tobacco farmers or gaining a living from the success of the farmers around them-- had strong personal sympathies with the sentiments in the play. Regardless of the gravity of the situation it is not out of the question that this bias in the hearts of the court justices was a major reason for the acquittal of the defendants. They did their duty, held a trial because threw was a complaint. Case closed.

A strong case can be made for the fact that the performance of this first play in English was more than a Sunday afternoon's diversion in the hard times of these years on the Eastern Shore. Evidence now strongly supports the conclusion that the performance the first play in English in America "Ye Bare and Ye Cubbe" might be reexamined as an event much undervalued until this time.

As such it might have been viewed as a harbinger of things to come. Dr. Susie Ames concludes "The Eastern Shore of Virginia, that tiny settlement of the New World, with records continuous since 1632, may be regarded as the small laboratory in which to study the transit of civilization from the Old World to the New."[14]

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Joel D Eis MA, MFA is a designer, director, teacher, playwright and researcher. He has published articles on design, on arts education policy, on working relationships in the theatre and conference planning strategies. This article in theatre Journal is a cutting from a longer research work on every aspect of the first play in English in America "Ye Bare and Ye Cubbe".

NOTES

[1] Thomas J. Werttenbaker, *The Planters of Colonial Virginia,* (Princeton, Princeton University Press, 1922), pp. 70-71, in Ames, p. 45.

[2] J. M. Sosin. *English in America and the Restoration Monarchy of Charles II; Transatlantic Politics, Commerce, and Kinship.* (University of Nebraska Press, Lincoln, London, 1980.), p. 41.

[3] Sosin, p. 19.

[4] Sosin, p. 164.

[5] Accomack County Court records available for 1663-1666 show that the list of titheables and their tithe due to the country was published in late August or early September.

[6]Whitelaw, Ralph T. *Virginia's Eastern Shore: A History of Northampton and Accomack Counties Vol. I.* Peter Smith Publisher Inc, Gloucester Massachusetts, 1968.
vol. I. 713.

[7] Richardson arrived in Virginia on *the William John*, a transport headed to St. Christopher's in 1635. He was 33 years old. This strengthens the possibility that others, such as the possible father of Cornelius Wilkinson, who arrived in Virginia from St. Christopher Island, also came to the Eastern Shore by this route.

[8] Whitelaw, vol. I, 713.

[9] Coldham, Peter Wilson, *The Complete Book of Emigrants, 1607-1660* (Baltimore: Genealogical Publishing, 1987) 460.

[10]Francis Latimer, owner of Hickory Press, co-author, consultant and publisher of many works on Eastern Shore genealogy and 19th century official census records.

[11] An Anonymous Lord, *The Justice and Necessity of Taxing the American Colonies Demonstrated Together With a Vindication of the Authority of Parliament*. Printed for J. Almon opposite Burlington House, in Piccaddily, (London 1766) Pp. 6-7.

[12] James Michael Varnum, "A Disputation…" in *The Colonial Idiom*. p. 18.

[13] McKey, Jo Ann Riley. *Accomack County Virginia Court Order Abstracts, 1663-1666. 1666*, *vol. 1.* Bowie, Maryland: Heritage Books, 1996.,

[14]Ames, p. 15.

The Aesthetic of Race: Which Color is Black? Jean Genet as a Negritude Thinker

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The Aesthetic of Race: Which Color is Black? Jean Genet as Negritude Thinker. This paper brings together theater, literary criticism, history and cultural studies, this paper explores the significance of Jean Genet's work to the African Diaspora through the interlinking of his texts with his relationships with intellectual and political figures associated with Negritude and African American social activism. Aimé Césaire first used the word "Negritude" in the journal *L'Etudiant* noir to protest against assimilation in 1935. An influential and highly criticized Francophone African literary and political movement, Négritude was founded in Paris by Léopold Sédar Senghor from Senegal, Aimé Césaire from Martinique and Léon Damas Gontran from French Guyana in the 1930s. Iniatially a reaction to French colonialism and its 'civilizing mission", Negritude has been constantly revised and re-invented since its inception.

The French author Jean Genet wrote the play *The Blacks* where he tackles the possibility of a universal solidarity between all the people of African descent regardless of time and place. This is elucidated most potently in his question "which color is black?"

By reopening discussions about the Negritude movement through the work of Jean Genet, I will rearticulate key questions concerning cultural agency and social oppression as well as rethink intellectual-cultural history.

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American Sign Language Super Competence:
Asserting Elite Identities in the DEAF-WORLD

This paper examines the relationship between discourse practices among culturally-Deaf people and their positional identities within the DEAF-WORLD. *Positional* identities, which are the focus of this paper, are those that mark individuals as a "certain kind of member" within the group (e.g. shamans, orators, politicians, caregivers, etc.) (Eckert and McConnell-Ginet 1995:470-471). Positional identities contrast with *personal* identities which mark individuals as "particular kinds of people" (e.g. Australian, Southerner, woman, etc.) (Eckert and McConnell-Ginet 1995:270). As in most, if not all, communities, certain positions carry more power, prestige, and privilege in the DEAF-WORLD than do others. As a result, the processes that elevate people to or prevent their ascension to more prestigious and more powerful positions are of great significance.

My findings include the existence of a significant indexical relationship between the adroit use of a particular cluster of formal features characterizing the ASL storytelling style and an elite positional identity. I have labeled the ability to demonstrate this storytelling style "super competence." Super competence is characterized by the adroit use of a particular cluster of formal

features that index the ASL storytelling style and the positional identity associated with its use.

The most salient trait of elite Deaf individuals' super competence is the highly adept use of ASL classifiers and role shifting. Significantly, classifiers and role shifting are the two formal features of ASL that take maximal advantage of the signing medium. That is, classifiers and role shifting simultaneously employ all three dimensions of the signing space. This spatial nature of these forms contrast starkly with the primarily linear structure of speech. The skillful use of these uniquely-spatial forms of language situates is users in opposition to individuals of marginal status whose signing more closely resembles the structure of spoken languages.

Following established practice in linguistic anthropology, my study takes as its primary data contextually situated discourse, which I recorded in a variety of settings among Deaf people in Utah Valley, Utah.[1] As a secondary data source, I also interviewed many members of the local community and have explored their responses for insights into the community's particular language ideologies. In this paper I present specific examples of discursive acts that serve to demonstrate one man's status as an elite member of the DEAF-WORLD. I will present detailed analysis of the data and will situate it within anthropological and semiotic theory to reveal the indexical relationships between discourse and an elite DEAF-WORLD positional identity.

Language and Identity[2]

Within linguistic anthropology a significant body of literature deals with the relationships between language and identity. Different authors view the nature of that relationship in different ways. One perspective holds that "identity is dependent on specific relationships and sociocultural contexts" and, as a result, speech styles (or language choices) "reflect" the speakers' understandings of themselves (Okamoto 1995:312). This means that a number of simultaneous social factors, such as gender, age, social class, or ethnicity directly influence a person's linguistic behavior (Velásquez 1995) and that differences in people's speech "reflect the social distinctions deemed important by the community of speakers" (Gal 1984 [1978]:292). In this way, individuals signal their identity (and/or their identity is inferred by others) by their speech. As Kroskrity notes, "one's speech is a linguistic biography" (1998:112). And at least one analyst, Mary Bucholtz (1995), argues that a person's linguistic skills alone are enough to allow the individual to "pass" as a member of a given group. Insufficient skill level often results in an "outsider" identity.

The actual signaling and interpreting of an individual's identity(s) occurs through semiotic processes. The use of a discursive feature, such as a particular language or speech style, functions as a *sign vehicle* or, more simply, a *sign*. Peirce defines signs as something that stands for something to somebody "in some respect or capacity" (1985:5). Peirce's semiotic framework has been used to "explain the processes by which instances of discourse operate as complex,

multifunctional signs, [because it] offers a more analytically specific paradigm than do other interpretive approaches" (Graham 1995:7). This framework recognizes three different kinds of sign-object relationships. Peirce calls the connections between signs and objects *interpretants* and explains that there are various types of *interpretants*. For example, when a sign's connection to its object comes by virtue of similarity between the sign and object the relationship is iconic and the sign is said to be an *icon*. An indexical relationship exists when signs called *indexes* acquire their meaning from a spatial or temporal co-occurrence with their objects. Finally, *symbols* are connected to their objects by conventional rule or law. Symbols are essentially the "arbitrary" relationships emphasized by Saussure (1966)—their relationships to their objects are unmotivated and are rule governed.

These semiotic processes interact one with another. For example, in the case of codeswitching, those present recognize the language a speaker[3] uses as having similarities to other instances of that language being used. Therefore, an iconic connection exists between the present speech act and previous instances. In turn, this similarity acts as an index linking the speaker to a specific speech community because the speech form and the community have shared a contiguous relationship over time (Silverstein 1976).

Constructing Identity

Speech can *reflect* a person's identity, but, as Susan Gal explains, there is an even stronger relationship between language and identity: "Categories of

women's speech, men's speech, and prestigious or powerful speech are not just indexically derived from identities of speakers. Indeed, sometimes a speaker's utterances *create* her or his identity" (1995:171). The difference here is significant. The act of speaking serves not simply as a mirror through which identity is reflected; rather, speaking plays a crucial role in actually constructing identities (Bauman and Briggs 1990:69; Duranti 1992; Gal 1989; Lindstrom 1992; Livia 1995; Mills 1995; Silverstein 1979:206-207). An individual's choices to use one language over another to assert a more situationally favorable identity exemplifies how participants use discursive forms to negotiate identity (Kroskrity 1993, 1998; Kulick 1992) or, for example, to associate themselves with a more upwardly mobile status (see Gal, 1984 [1978]). Within a single language, the use of "respectful words," such as honorifics, function "not only as labels for an already existing reality but also as ideologically loaded tools for defining the situations in which speakers *qua* social actors co-construct their context" including their individual identities (Duranti 1992:89; see also Gumperz 1972:12; Friedrich 1966). Researchers have identified ways in which children, cross-culturally, are socialized in the process of constructing identities through discourse practices (Cook-Gumperz 1995; Kulick 1992; Schieffelin 1990).

Hill and Zepeda note that people tend to negotiate for themselves a favorable presentation of "self" (1992:197) or "best identity" (1992:204). Goffman (1967) calls this "face." Hill and Zepeda (1992:204) argue that some identities are "problematic—even stigmatized." Speakers walk a fine line as they attempt to

construct both personal and positional positive identities for themselves. There are serious consequences when the code chosen (or not chosen) is "seen as expressing social distance and 'outsiderness' to his [community]" (Hill 1995{1985}:408). The distinctions indexed by discursive acts "are not trivial" and they become very significant "when people end up in the 'wrong place,' as outsiders in a community" (Hill and Zepeda 1992:206).

Identity formation can be particularly difficult terrain to navigate through discourse because some discursive practices are valued differently within a speech community. Factors such as the interlocutors' socioeconomic class or gender make a difference (Smith-Hefner 1988; Trudgill 1972) because "different ideologies recognize or highlight different units of language as salient and as indicative of speakers' identities" (Gal 1998:326). To further complicate matters, the way a given form is interpreted is culturally specific, making cross-cultural interpretations very complex (Basso 1979; Cook-Gumperz 1995; Gal 1995b; Hill and Zepeda 1992; Kroskrity 1993; Silverstein 1976).

Defining the Elite

Analysts have described various kinds of elite groups in the DEAF-WORLD. It is important to recognize from the beginning that there may well be more than one kind of elite status within a community; this is true in Utah Valley's Deaf community. In what is perhaps the lengthiest discussion on the topic, Owen Wrigley describes, in his book, *The Politics of Deafness* (1996), what he sees as elitism in the DEAF-WORLD. Wrigley identifies three separate statuses of Deaf

people: deaf, Deaf, and Deaf of Deaf parents. Wrigley condemns the promotion and perpetuation of the distinction between culturally Deaf (uppercase *D*) and pathologically deaf (lowercase *d*). He contends that the distinction is unnatural and that it is politically motivated distinction that serves primarily to empower certain deaf people over others. Wrigley then notes that among those who are culturally Deaf, those who have Deaf parents position themselves as elites.[4] Wrigley insists that the majority of deaf people (those who have hearing parents) should not accept the elevation of those with deaf parents since it excludes those with hearing parents. He argues that the distinction disempowers the majority because "they simply aren't Deaf enough, on a scale of purity. Or perhaps, more precisely, they are like the peasant class supporting a newly defined nobility" (1996:106).[5] Wrigley then further decries this stratification, saying,

> Elite peoples are not 'ordained by God' nor are they 'natural' and Deaf people need not adopt this perspective to exclude and oppress other deaf people. . . . The attempt to naturalize particular family circumstances as a birthright to an elite position [those born Deaf to Deaf parents] is a self-serving political maneuver based on an exclusionary tactic. It uses evidence that should benefit all to justify new barriers that will maintain privileges. (1996:109)

Wrigley is correct in recognizing the special status often given to Deaf offspring of Deaf adults. However, Wrigley does not examine the reason for this group's elevation within the community beyond claiming that they take it upon themselves as a birthright. This assertion overlooks important facts. Rather than having an elite status simply because their parents are Deaf, Deaf people with Deaf parents attain their status because their experiences differ significantly from

most Deaf people's experiences. Foremost among these experiences is their early enculturation into the DEAF-WORLD with its intense and prolonged exposure to the discourse practices of Deaf adults; this is a consequence of having Deaf parents. Again, Deaf children of Deaf parents do not achieve elevated status because of direct descent. Rather, the experiences, knowledge, and skills they gain because they have Deaf parents allow them to achieve elite status.

Other analysts recognize that language plays important roles in the statuses afforded Deaf people. Van Cleve and Crouch (1989) state that what we know from deaf people of the past is limited to a fairly "elite" group who could write. This suggests that language proficiency determines status. It implies that the Deaf people who mastered English (as opposed to ASL) achieved this elite status. Today these people are called "smart Deaf," and they are highly regarded within the DEAF-WORLD.[6]

Carol Padden (1996a) also mentions a Deaf elite, and she similarly links their status to language use. She notes that some analysts claim the deaf elite have greater facility with English. In a discussion of the uneven distribution of fingerspelling among signers, Padden writes that some people contend that fingerspelling is more common among younger signers and that others have suggested that "the elite members of the Deaf community use more fingerspelling, in so doing marking their affinity with the language of the larger society" (1996a:105). She notes that fingerspelling creates indexical relationships.

> The question here is what is linked, in what form, and by what means. The systems of signing, fingerspelling, and print are not merely different languages or representations of different languages; they are markers of distance and proximity, of difference and similarity. (1996b:93)

Padden argues that the use of fingerspelling amounts to a proximity system that marks individuals' positions relative to different communities via the use of alternative discourse forms. Padden's reference is similar to that of Van Cleve and Crouch, suggesting that the deaf elite have special access to and competence in English. Both of these views differ from Wrigley's in that they recognize the role of language use in determining identities.

Raymond Trybus (1980) ties elitism to language use, as well. He takes a position opposite to that of Van Cleve and Crouch; it is one that Padden repeats. Trybus argues that the Deaf elite are elevated because of their proficiency in ASL, not their proficiency in English. He says that elite groups tend to revert to "pure strains" of language, rejecting borrowings from other languages, including the languages of oppressors. Trybus' work, originally published over twenty years ago, makes a prophetic statement relevant to the relationships between language ideology and positional identities in the DEAF-WORLD today:

> We will see and are seeing, an increasing emphasis on the use of the older, 'more authentic' Sign Language, rather than signing as it has been modified by the natural process of interaction with hearing culture and spoken English. . . . We can expect to see a particularly concerted effort to define American Sign Language in such a way as to exclude those borrowings from the English language which are seen as prostituting the soul of Sign. . . . At the same time, borrowings from other foreign signed languages will be welcomed as a more authentic means of enriching the language

> and shaping it into a vehicle for high culture, literary discourse, and international exchange. (1980:211)

Virtually every aspect of Trybus' prediction has been realized. Jankowski (1992) noted that the deaf community had reversed the hearing hierarchy and changed sign language from the "abnormal" to the "distinguished." English skills are often admired within the DEAF-WORLD, but English is an uneasy symbol. Most of the DEAF-WORLD's most influential leaders are able to use English quite well, but this ability can raise doubts about people's deafness and/or Deafness. English proficiency in the absence of demonstrable ASL skill marks individuals as outsiders or, at best, as marginal DEAF-WORLD members. English proficiency is respected in the DEAF-WORLD; nevertheless, elite members gain their status by displaying high levels of competence with ASL.

The kind of elite status I address here concerns individuals whose positions are valorized as "authentic" Deaf persons. (The term authentic is far from unproblematic; see, for example, Graham 2002.) These "authentic" Deaf people achieve their identities by exhibiting behaviors and practices that are idealized as epitomizing a Deaf person. Wrigley is right in saying that elite status is not "natural." Such status is "real," however, because it is a meaningful concept in the minds of Deaf people; this is evident in the way Deaf people alter the form of the sign DEAF when talking about a person with elite status. This alteration inserts a pause in the initial hold and then increases the size and speed

of the movement. The alteration basically adds emphasis; it changes the meaning of the sign from "He is Deaf" to "He is Deaf, through and through."

Elite status is not a birthright; it comes when individuals' social interactions index certain positional identities (that are achieved through adept use of these same behaviors). The most prominent behavior is a facility with particular valorized sign styles or types of signing (described in detail below). The most important of these is the storytelling style. Some ASL styles are valued more highly than others. Basic communicative competence in ASL is associated with an everyday style, and the ideology holds that all culturally Deaf people are competent in this style. In contrast, elite Deaf people demonstrate high-level proficiency, a kind of *super competence*, in the styles with highest status. Foremost among these styles is the storytelling style. To appreciate the importance of the storytelling style, I must first situate it within a broader context of ASL discursive styles.

Style

In the previous paper I introduced the notion of style as one of two kinds of discourse forms; the other is "discursive organization." Discursive organization relates to the particular structural arrangement of discourse that users of a given language who share the same cultural experiences come to expect and consider normal, although they are often not conscious of these expectations. Variation among organizational forms is generally interlingual or intercultural. In contrast, style deals with specific arrangements of formal

characteristics, which are recognizable as certain kinds of talk. As Hanks (1996) explains, "Speech of all kinds has stylistic dimensions" (1996:184), but “to say that all language has style is not to say that it is all the same” (1996:185). A given speech style is “a cluster of formal characteristics (phonetic, lexical, and syntactic)” (Urban 1985:313) and when those characteristics come together in an instance of talk, that talk is taken as an instance, or token, of the style. Urban explains,

> In semiotic terms, a speech style is a general regularity or “type” as opposed to an occurring instance or “token.” That is, a speech style is a general form that is recognizable apart from specific instances in which it is used. As a type, a speech style must be viewed as an alternative linguistic norm, rather than as an individual’s deviation. (1985:312)

Ultimately, attempts to describe styles are ways of explaining patterned variation within a language.

Analysts see styles as existing in a relationship of relative markedness which contrast with an unmarked, “everyday” style. Unmarked styles exhibit what Urban (1985) calls “expressive restriction,” which contrasts with “formal amplification” in marked style. The marked styles stand out as something out of the ordinary for everyday conversation and are appropriate to some other set of circumstances. As with any language community, Deaf people recognize various styles in ASL. I have identified a number of these styles and have listed them below in table 1.[7]

Styles are important to identity negotiations because each instance ("token") of a style ("type") is linked to a social position. Each style is necessarily related to specific sets of contexts and meanings. Each token points to other tokens of the same type and highlights the social context(s) in which the style is appropriate (Urban 1985). The style is indexically linked to particular contexts, including particular users. Therefore, a person who invokes a style invokes for him or herself the status and/or position of those who typically use that style.

The Significance of Storytelling

Storytelling is the ASL style most closely associated with elite Deaf status. Storytelling in ASL is a performance style most clearly marked by highly adept use of ASL classifiers and role shifting. They are often used together, along with the other characteristics described in Table 1. Certain people have attained notoriety throughout the U.S. and even the world because of their skill in this art form. Peter Cook, Sam Supalla, Ben Bahan, Mary Beth Miller, and others have attained celebrity status, in part through videos of their stories, which are sold to the general public. While certain aspects of these artists' styles are idiosyncratic,[8] they share basic elements. Most notably is the degree to which these artists employ role shifting in their performances.

The signing they produce is of two kinds: classifiers describing the scene or the action around the characters they portray, and the dialogue produced by those characters. In this sense, the storytellers literally "perform" stories more than they "tell" them.

The use of this particular ASL style does more than link the signer to the DEAF-WORLD; it connects the user to an elevated position within it. This is an intricate semiotic process involving indexical associations among structural elements and the storytelling genre, as well as the simultaneous valorization of those forms and the position of storytellers within the DEAF-WORLD. Analysts have already noted the connection between the particular characteristics of the storytelling style. Rayman (1999), for example, has noted that role shifting is an important aspect of ASL storytelling; role shifting and classifier use are what distinguish it from storytelling in English.

Table 1: ASL Styles

Everyday ASL or "Heritage ASL" (Bahan et. al. 1996)

Characteristics—The unmarked form in which Deaf people see nothing unusual. Natural, relaxed, flowing, expressive. Includes nonmanual signals including facial expressions and body movement. Communication is clear. Signers maintain frequent eye contact with addressees, ensuring comprehension and uninterrupted flow of communication. Lack of MCE affixes and initialized signs associated with MCE (this despite the fact that even ASL's forerunner LSF incorporated numerous initialized signs). Exhibits substantial variation in breadth of vocabulary and in topics of discussion.

Uses—Used in "everyday" settings, including introductions, greetings, chats, and one-on-one and group discussions. Used between intimates and nonintimates alike.

Storytelling

Characteristics— Tremendous eye contact between storyteller and audience, with the intent of drawing in the audience. Includes a much larger number of classifiers whose use is often as much the central part of the story as is the referential content. Role shifting/direct address common, often in conjunction with classifiers. Often storytelling is done entirely in various roles and using classifiers almost exclusively. Feeds the story and constantly checks for comprehension. Generally flows faster. Signers move more than in everyday ASL. Entertaining because of the content *and* the form. Humor often lies in sign play. Idealized as a more pure form of ASL.

Uses—Used in formal performances, commonly used in residential schools with Deaf adults telling stories to students. Common in Deaf "bull sessions" and in dealing with personal experiences.

Joke Telling

Characteristics—Large expressions. Much in common with storytelling, including the use of classifiers and role shifting/direct speech. Honorific pronouns used sarcastically. Deals with personal experiences less often than storytelling. Good deaf jokes require experience in the Deaf culture *and* a high degree of ASL skill.

Uses—Used between friends or nonintimates.

Poetry

Characteristics—Rhythmic. Eye contact has functions beyond maintaining connection with audience. Eye gaze often associated with role shifting and very often only acknowledges the audience at the very end. This may be in part because establishing eye contact invites the addressee to convey a lack of understanding which demands redress. Attempts to clarify break established rhythms that are significant feature of poetry.

Uses—Used as entertainment at formal and semiformal events, in classrooms, etc.

Sign Play or "Handshape Stories"

Characteristics—These creative verbal art performances come in two basic varieties: Single-handshape and sequential-handshape stories. Single-handshape stories use only signs sharing the same or closely related handshapes, or they use a handshape (such as ILY for "I love you"). That shape is applied to all the signs of the story. Sequential-handshape stories create a narrative out of signs using handshapes that resemble the first letter of a particular sequence (e.g., alphabetical order, numerical order, or the

Table 1—continued

spelling of a particular word, like G-O-L-F). Statements such as "I have a good handshape story" almost always key these stories.

Uses—Sign play of this sort are performed in bull sessions. They are a favorite of Deaf adults to perform for deaf children. They are also performed at formal or semiformal events as entertainment.

Formal ASL

Characteristics—Slower, bigger, more English influence, more formal signs (two-handed, older forms, etc.), more full fingerspelling, lack of slang, profanity, and vulgarity.

Uses—Used by teachers in formal classes and workshops (see lectures), and other situations, such as job interviews, in which there exists a significant and obvious power differential.

Lectures

Characteristics—Slower, bigger, more English influence, more formal signs (two-handed, older forms, etc.). Signer tends to stay in one small area.

Uses—Used by teachers in formal classes and workshops.

Master of Ceremonies

Characteristics—Very exaggerated, huge signing space (results in slower production), dramatic, acting. Signer moves back and forth, making eye contact with various audience members. Honorific pronouns common. English-like question forms often employed.

Uses—Used by masters of ceremonies or hosts at awards banquets, pageants, etc.

Reverent

Characteristics—More graceful and restrained, more two-handed and formal signs, honorific second and third person pronouns used. Subject matter is normally serious and/or spiritual. Humor is very limited (usually based on irony, may not be recognized as a joke right off).

Uses—Used in formal sermons and sometimes by teachers in Sunday school classes.

Prayer

Characteristics—Eyes closed, head often bowed slightly. Similar to reverent signing in many respects: second and third person honorific pronouns, slow deliberate sign formation, etc.

Uses – Used in public and sometimes private settings including church meetings, blessings on food, and the performance of religious ordinances.

Table 1 – continued

Yelling

Characteristics—Hard, faster, stronger, bigger space, abrupt, quick, abrupt, facial expressions (often accompanied with a vocalization, if not actual production of words).
Uses – Used in heated arguments, often during sporting events, domestic disputes, etc.
Table 1—continued

Linked to anger. Often considered appropriate, or at least justified, when the angry person appears to have been wronged.

Foreigner Talk

Characteristics—Simplified form with slower, greatly exaggerated signs. Heavy reliance on iconic signs. Frequent brief pauses accompanied by nonmanual signal (i.e., facial expression and eye gaze) to check the addressee's comprehension. Over mouthing of English words and possibly speech often accompany the signing. Syntactically simple.

Uses—Used with novice signers or nonsigners.

Role shifts in ASL are similar in some ways to features of English discourse in which the speaker takes on qualities of people in the story, or when impersonators recreate various aspects of famous people's speech and manner. These imitations may include the assumption of vocal characteristics, such as

pitch or volume. English speakers and ASL signers alike sometimes also take on specific postures or behaviors that are characteristic of the role they assume. In both English and ASL, speakers may use grammatical elements that agree with the speaker (such as first-person pronouns and inflectional morphology), but all of those involved in the dialogue understand that these elements refer to the role being played and not to the actual speaker.

Role shifting appears in other signed languages as well, and its prevalence probably results from the potential of the spatial medium to exploit it (Lucas and Valli 1987; Mandel 1977). Morgan (1999) explains that role shifting is like direct discourse or reported speech shifts in spoken language. The difference being that in sign languages signers exploit these shifts to report actions *and* the words from another person's perspective. The actions and words are closely linked because they are produced simultaneously and they are both visual in signed languages. Movements of the body perform both talk and gesture, and the division between the two is sometimes unclear (Emmorey 1999).

The ASL storytelling style has special historical and cultural significance. It is tied up in DEAF-WORLD ideologies about language and it is illustrated in the way my informants talked to me about their language. In the formal interviews I conducted, I asked my informants to define what they would call "good signing." As I expected, many of the responses dealt with various formal qualities of signing, such as the lack of signs for various forms of the English verb "to be," reflecting the distinctions between English and ASL. Significantly,

however, several people also described the humorous effect of good signing. In fact, two of the interviewees specifically said that good signing is humorous and one associated it with "fun." Another six of the interviewees directly tied their formal linguistic descriptions to the genre of storytelling. Take, for example, Danny,[9] a Deaf man who had a fairly typical late introduction to the DEAF-WORLD. He described good signing this way: "When I see a person using ASL where everything is completely like pictures while they are telling a story. When it is fully ASL, like that, that is good." This description overtly highlights the ideological connection between the "picture-like" qualities of ASL and ASL stories. Danny sees the ASL of stories as being the most pure form and he attributes that to the picture-like qualities characteristic of the stories.

Don, who had an earlier introduction to the DEAF-WORLD than Danny, referred to stories in a similar fashion. When I asked Don to evaluate his own signing skills, he said, "I still don't feel like I am really fluent, like I could get up and perform stories for people."[10] Another interviewee, Robert, attended residential schools from an early age. He echoed this characterization of storytelling as a style "above" everyday conversations, requiring an even higher degree of fluency. When I asked Robert to evaluate his own signing, he responded,

> I can't really evaluate myself. But other people have told me I am pretty good. Above average. Hey, I think for normal, everyday conversations, I am more relaxed, for informal conversations. But if I am telling a story, like at a camp, or doing a humorous performance for a large audience, I will use more ASL. There is a

> difference between these two. Informally, I am more relaxed and unconcerned. For the formal situations, however, I will rehearse and prepare so it will go off well.

By asserting that to tell a story or for a performance he will "use more ASL" and will prepare "so it will go off well," Robert reveals something about his perception of the audience expectations in such settings. In order for it to go off well, he needs to prepare so he can use "more ASL." This is more significant when you understand that Robert uses ASL all the time. He is not really suggesting that he must switch from some other sign language or a signed code. On the contrary, he is articulating the ideological link between storytelling and a valorized, pure form of ASL. Robert is fluent in ASL, but he is not fluent in the storytelling style, and it is this style that he says he needs to practice.

These comments bring to mind the work of other analysts who have recognized certain forms of speech as the site of "pure forms" of a language. For example, Kroskrity (1998) cites kiva speech as the site wherein pure forms of Tewa are retained as a form of resistance to the creeping shift to Hopi—and English—in other realms of discourse. He argues that this distinction makes kiva speech an important site for understanding language ideology.

Phillips (2000) finds a similar phenomenon in Tonga where the court is a key site for the elaboration of traditional Tongan brother-sister relationships. She argues persuasively that the discourse at this site reveals the effects the brother-sister relationships have on the conceptualization of Tonga as a nation-state. The brother-sister relationships are conceived through an ideology that foregrounds

metalinguistic analysis of language use. These examples are relevant here because my deaf informants assert that ASL storytelling plays a similar role in preserving more "pure forms" of their language, which is a metalinguistic claim.

Beyond the association of certain kinds of talk with particular contexts is the fact that the use of forms indexically linked to storytelling also tells us about storytellers. Kroskrity noted that for the Tewa, "The model of the ritual speech foregrounds the importance of the positional, rather than the personal, identities and the use of appropriate role-specific speech" (1998:112). In this case, Tewa speakers invoke a particular style to foreground their authority among members of the community. This authority results from their status and is reflected in their use of a speech style appropriate to that status. A similar, though slightly different, foregrounding occurs in the Deaf case where storytelling is valorized as a more "pure form." Kroskrity notes that among the Tewa, speakers can foreground the role individuals embody, thereby distancing the individual from responsibility for the speech. In the present case, signers skillfully use particular forms to index the storytelling style. However, rather than distancing themselves, Deaf storytellers assert their status as storytellers, a respected and influential position within the DEAF-WORLD. They position themselves as "more than entertainers; they are the culture's oral historians and teachers, and their stories have messages embedded in them about DEAF-WORLD values" (Bahan et. al. 1996).

Let's return now to Don's admission of incapacity: "I still don't feel like I am really fluent, like I could get up and perform stories for people." Don's comment may have as much to do with his perceived lack of an appropriate identity for telling a story as it does with his linguistic competence in a more restricted sense. In the DEAF-WORLD, beyond being entertaining, storytelling has long been an important means of transmitting culture (Rutherford 1989, 1993; Stokoe 1995), both in the referential content and through the replication of valorized discourse forms. Because most deaf children, like Don, have hearing parents who are usually moderately competent at best in ASL, the residential school setting has been a key site for culturally-Deaf people—both adults and acculturated Deaf children, such as those whose parents are Deaf—to pass on stories to new generations of Deaf people, stories which teach newcomers how "to be Deaf" (Padden and Humphries 1988). I interviewed Heather—who described herself as "the ASL Queen"[11]—and she explained the role of storytelling in the residential school setting. She said,

> I remember when I was a kid, we had different counselors [at the residential school], some were Deaf and others were hearing. I always watched the Deaf counselors. They always worked in the morning and the hearing counselors in the evenings. Anyway, I looked up to the Deaf counselors. I would wake up and then hurry to get up, get dressed, make my bed and then hurry into the other room and sit down. The other girls would soon follow and we would sit around in a circle and the (Deaf) counselor would tell us stories from long ago about her experiences at her residential school. I remember we were fascinated and we would ask questions. They were real role models there. We were so intrigued. It was incredible.

Heather's comments make clear the importance of storytelling in teaching her about what it means to be Deaf. She also gives insight into the regularity with which the stories occurred and how she acquired the same skills. By sharing that she arrived first for these tellings, she clarifies the stories' role in shaping her personal identity as a Deaf person and her positional identity as an elite Deaf person who now replicates the storytelling style for others. Heather takes this role seriously. She told me that when she signs, others sit up and take notice:

> Recently I've noticed that when I am signing people are really fascinated and they pay attention, but when other people come up in front of a group and sign, they get a different response. When I sign people are really involved, but when the others do, there isn't that connection. They look at me and go, "Wow. ASL. I want to learn that." Even when I am trying to teach a lesson [at church], they are still trying to learn my signing style. They say, "I like that," and I tell them, "That's fine. You can learn the lesson plus my style." They learn both. I think that is interesting.

It is clear that Heather sees a link between the expressive elements of her signing and the "connection" she is able to establish with her interlocutors. Her claim that others "get a different response" when they perform in front of a group brings up an important point: skilled use of the storytelling style elevates the status of those who produce the style, but those who reproduce it ineffectively experience the opposite effect. For these individuals, attempts at invoking the storytelling style serve only to cement their position outside of the elite.

In describing styles and the effects of their use, Greg Urban argues that "A style is not just an instance of language usage. . . . It characterizes a potentially infinite set of such instances . . . more or less independently of the semantic

meanings" (1991:107). He further argues that these styles are themselves both iconic and indexical signs. When speakers, like Heather, (re)produce a style, they present and assert a connection with the people whom the style indexes. In this case, Heather's signing style links her directly with the core of the DEAF-WORLD even as she describes it in terms of its communicative effect.

Two Indexical Linkages

I explained earlier that the storytelling style is most commonly recognized by its intense combination of classifier predicates and roleshifting. Classifier predicates and role shifting are similar to spatial verbs and pronouns (which I have said are shibboleths of ASL) in that they each take advantage of the spatial nature of signing. However there are some significant differences. The most important is the presence of spatial pronouns and spatial verbs[12] that ASL's grammatical rules require. Classifier predicates and role shifting are not required, although grammatical rules do affect the ways they are used. The omission of spatial pronouns and spatial verbs results in one of two things: either the sentence is ungrammatical, or the sentence is something other than ASL (usually signed English). This is not true of classifiers and role shifting. The implication is that the use of spatial pronouns and spatial verbs indicates competent ASL use and, consequently, culturally Deaf personal identities. On the other hand, the proficient use of optional classifiers and role shifting, or the lack thereof, indicates positional identities in the DEAF-WORLD.

The adroit use of the storytelling style, indicated by classifiers and role shifting, marks individuals as elite members of the DEAF-WORLD through a semiotically complex process which involves the conjoining of two indexical linkages. First, the use of classifiers, role shifting, and associated forms marks one as elite because these linguistic forms are indexically linked to the traditional storytelling genre. Second, talented storytellers hold a special status as cultural elites. They embody notions of the "authentic" Deaf person. The two indexical linkages are stated more plainly below:

First Indexical Linkage:

Classifiers, role shifting, and associated forms are linked to the storytelling style, and those proficient with them are linked to (and sometimes seen as) storytellers.

Second Indexical Linkage:

The storytelling style is linked to an elite status, giving storytellers elite positional identities.

These relationships can be further illustrated as in figure 1 below. The symbol ⇓ means "are indexically linked to."

Classifiers & Role Shifting

⇓ (1st)

Storytelling & Storytellers

⇓ (2nd)

Elite Identities

Figure 1: Two Indexical Linkages.

The application of these processes involves a somewhat paradoxical circularity, which is often considered weakness in argumentation but is common to indexical relationships. Those who effectively exploit the most complex spatial resources of the linguistic medium, namely classifiers and role shifting, are indexically linked to storytelling. At the same time, classifiers and role shifting are considered the highest form of language use because they are the forms that the best storytellers use. Thus is the nature of indexical relationships—one thing points to another and vice versa. The analysis that follows demonstrates the connections between different discursive practices and DEAF-WORLD language ideologies, and it traces the effects of those ideologies in reflecting and creating positional identities.

Demonstrating Positional Identity

To illustrate the way that elite members of the Deaf-World demonstrate super competence, let's turn to an exchange that took place at a dinner for single adults in the Utah Valley Deaf Ward ("wards" are congregations in the Church of Jesus Christ of Latter-day Saints). Ron, who has lived in Utah Valley for a relatively short time, has been kneeling beside another table for a few minutes watching the conversations among five of the six people sitting there, including Ron's sister Lisa. Eventually, he takes a seat at the table and announces, "I'm going to sit here now. I've been moving around from table to table." Wayne is one of the people seated at the table. He differs from the others in that he is older than most of the people there and because he is married. He is attending the dinner because of a leadership role he holds at the Deaf ward. Wayne has watched the discussion prior to Ron's sitting down but has not participated in it.

During this discussion, Wayne presented significant evidence that he is an elite member of the DEAF-WORLD. The conversation began when Wayne asked Ron and Lisa about the occurrence of deafness in their family. He did so, in part, to determine their personal identities (Eldredge 2004). It is telling that during the discussion about the occurrence of deafness in various families no one asked Wayne about the origins of his own deafness or his family's history of deafness. The reason is not immediately obvious, but careful analysis reveals the reason.

Although no one asked Wayne about his family, he volunteered an explanation. He broke into Jared's response (this interruption begins in line 32, but he did not get recognized so he started again in line 34 below).

Translation:

30 Jared: I'm the only deaf person in my family. Really, there's no hard-of-hearing [people] or anything.

^Wayne: I was born. . . .(*Unacknowledged.*)

33 Josh: (*To John or Ron*) He's [Jared] mental.

Wayne: I was born hearing but my mother became crazy. She stuck her fingers in my ears and flipped me head over heels again and again. That's

36 what made me deaf.

Unlike the other responses, Wayne's account is clearly farcical. What he said revealed nothing about his family or the onset of his deafness. In his account Wayne claimed that he was born hearing but became deaf when his mother, in a fit of insanity, stuck her fingers in his ears and repeatedly swung him head over heels (lines 34-36).

Although the topic of discussion has revolved around the origins of the individuals' deafness and has served to demonstrate their individual connections to the DEAF-WORLD, Wayne never actually told when or how he became deaf or whether he has any Deaf relatives. Wayne's explanation about the onset of his deafness gave false information (line 34-36). He was not born hearing, nor was

his deafness caused by his insane mother's swinging him in circles with her fingers in his ears.

Not only is the referential content of Wayne's story false, it presents potentially damaging information. Usually, admitting to being born hearing opens the door to the possibility of early enculturation into hearing ways and perhaps very late exposure to the DEAF-WORLD. You might ask why Wayne told this false narrative at all, particularly when it might have cast doubt on his identity. In reality, however, Wayne's claim served to stake his claim to membership in the Deaf elite. This positive outcome happened because, as I will explain, the *way* Wayne said it overpowered the referential content of what he said.

To an outsider, Wayne's story may not seem funny at all, yet its efficacy lies in the story's humorous effect. Although it is clearly absurd, there is nothing particularly funny about the content of his explanation. To Deaf people the story is funny because it presents a visual image of Wayne's mother deafening him by placing her fingers in his ears and swinging him around. This visual image gives the story its humor. Wayne's telling does more than elicit laughs; it asserts an identity beyond simply being Deaf. It creates his personal identity through Wayne's bizarre visual imagery that uses a combination of classifiers and role shifting; again, this is characteristic of the storytelling style. This keying of the storytelling style links Wayne to elite status in the DEAF-WORLD, asserting a positional identity for him.

A transcription of this story (lines 34-35 above) appears below, and a repetition of the translation sequence is below the transcription. (A complete transcription key appears as Appendix A.) Note that three of the twelve signs comprising Wayne's story are classifiers (in bold). The three classifiers, (2h)CL-1"Stick fingers in ears," (2h)CL-1"Swing me around in circles," and (H1)CL-2"legs flipping around" come in succession and immediately follow his role shift to take on his mother's perspective and persona. The second and third classifiers are performed at the same time, one on either hand. This simultaneous word production in the signing space is impossible in spoken languages, and its visual nature, the physical "picture" it creates, is the basis for the story's humor. (Note that the onset and end of Wayne's role shift, where he takes on and departs from the role of his deranged mother, is indicated by < and > respectively.)

Transcription:

Wayne: POSS-1st BORN HEARING. POSS-1st MOTHER BECOME CRAZY. (*As mother*) **<(2h)CL-1"stick fingers in ears" (2h)CL-1"swing me around in circles"** ..... **(H1)CL-2"legs flipping around">** BECOME DEAF.

(H2)……..>

Translation:[13]

> Wayne: I was born hearing but my mother became crazy. (*As his mother*.) She/I stuck her/my fingers in my/his ears and flipped me/him head over heels again and again. That's what made me/him deaf.

The timing of the three classifiers and the role shift in the story is more important than their mere presence. The classifiers (see figures 2, 3, and 4 below) appear precisely at the point of the story that purports to tell how Wayne became deaf. They form the punch line, bringing the story a visual humor that is characteristic of storytelling.

Figure 2: The classifier (2h)CL-1"stick fingers in ears."

Figure 3: The classifier (2h)CL-1"swing me around in circles."

Indexing Super Competence

Wayne's story is fabricated, yet its formal elements carry information about him. In terms of Peircean semiotics, these formal elements act as *sign vehicles* or *signs*, are "something which stands to somebody for something is some respect or capacity" (Peirce 1985:5). Wayne's account presents some culturally salient symbols that mark him as elite. Specifically, his account exemplifies the storytelling style (and perhaps joke making) in the way that it uses classifiers and role shifting. Wayne then assumes the role and claims the status of storyteller.

Figure 4: The classifier (H1)CL-2"legs flipping around."

Before I continue, I would like to acknowledge that it might reasonably be argued that Wayne's use of classifiers, being a part of ASL, really only indicates competence in ASL. One could argue, then, that to use classifiers is merely a consequence of using ASL, serving only to indicate that one can use that language. To a certain extent, this is true. It is also true that classifiers (as well as role shifting) are not limited in use to the storytelling style. Their use in everyday discourse does mark signing as ASL because they constitute a clear contrast to linear English, as do other formal elements, including agreement verbs, aspectual inflections, directional verbs, spatial pronouns, and deictics.

The evidence that Wayne's story signals more than mere ASL fluency lies in *the combination* of classifiers, role shifting, and other elements to key the storytelling style, however briefly. The classifiers alone do not indicate an elite status. Multiple formal elements that key the storytelling style also link Wayne to

the elite. The role shift Wayne undertakes to express his mother's act is a significant ingredient to the storytelling style. In a sense, taking on the role of another person moves one from "telling" something to "performing" it. Wayne's shift to his mother's role is evident in the locative relationships expressed by the classifiers—specifically a body classifier that represents his mother's fingers being placed in his ears. The classifier's placement in relation to Wayne's body shows the location of his own ears. The classifier is placed in the signing space in front of him, not near his own ears because he has adopted the vantage point of his mother; his fingers have become hers and his head is positioned relative to (i.e., in front of) his mother. This is the kind of reported speech or "direct discourse" described above, and its use indexes the storytelling style.

Although these role shifts often allow signers to employ classifiers, as in the present case, they do not always do so. The two do not necessarily go together. They are conceptually linked within DEAF-WORLD ideologies of language because they both constitute the picture-like qualities which Deaf people value so highly. They both take advantage of the signing medium in ways that are touchstones of "pure" ASL, which in turn is associated with more "authentic" Deaf persons such as storytellers. This is the first of the two indexical linkages I discussed above: classifiers and role shifts index storytelling and "pure" ASL.

Figure 5: (2h)CL-1"Stick fingers in ears" as himself.

Figure 6: (2h)CL-1"Swing me around head over heels" as himself.

Wayne could have given this explanation without performing the role shift. For example, he could have altered the form of the first two classifiers—(2h)CL-1"stick fingers in ears" and (2h)CL-1"swing me around in circles"—so that their location was near his own ears rather than in the signing space in front

of him (see figures 5 and 6). He then could have just deleted the final classifier—(H1)CL-2"Legs flipping around"—which is a redundant description of his being swung around. The resulting construction would allow Wayne to completely omit the shift to his mother's perspective.

Figure 7: The ASL verb TO-PUT-in-ears.

He could then have added the pronoun PRO-3rd ("she") and, as in the previous example, produced the classifier (2h)CL-1"Swing me around in circles" near his own ears and then deleted the final classifier in the series (H1)CL-2"Legs flipping around." The resulting construction contains only one classifier (in bold) and no role shift.

Possible Form B:

Wayne: POSS-1st BORN HEARING. POSS-1st MOTHER BECOME CRAZY. POSS-3rd FINGER-topic TO-PUT-ear. PRO-3rd **(2h)CL-1"swing me around in circles"** BECOME DEAF.

Wayne might have used any number of combinations of these changes to create different ways to tell the story, all without resorting to a role shift. In reality, removing the role shift necessitates a change in classifier form. The classifiers are performed from the mother's perspective, which means they must agree spatially with her position relative to his. To tell what happened without assuming her role results in different spatial relationships that require changes in form.

It is interesting to note that the alternative forms I proposed to exclude the role shift can be translated essentially the same way as the original: "She stuck her fingers in my ears and flipped me head over heels again and again. That's what made me deaf."[14] Here you can see the importance of the storytelling style in this narrative. Neither of my alternative constructions change the referential content much, yet those familiar with ASL and DEAF-WORLD practices will recognize that each of these alterative forms I have just described might seem odd or unnatural. Few fluent ASL signers would find any of these variant forms as comfortable as the one Wayne used. It may be tempting to say that my examples stretch the point, but in reality, none of these *possible* variations is likely. You just would not find Deaf people describing this event this way, and that's why Wayne does it the way he does. It is not that there is no other *way* to

tell it; there is just no other *reason* to do so. The only reason for Wayne to tell this absurd story at all is because it is funny as an ASL story. It gets its humor through its exploitation of the spatial nature of sign. The only possible reason to give such a story using any style but storytelling would be to evade the issue of Wayne's deafness onset--to be uncooperative—and that would only serve to raise suspicion about Wayne's identity.

Beyond Question

DEAF-WORLD members recognize the significance of these forms. I showed the videotaped segment of Wayne's story to a Deaf person who was not at the event where it took place. She told me that this was very characteristic of Wayne's "style." I asked her to tell me about his style. Her response was that it is "very" visual and it was not something everyone would do. I asked her if she knew anyone else who might tease in this way. She immediately rattled off a list of seven people and then, without prompting, added a few who she said would *never* joke in this way. She added that this particular style has something to do with an individual's personality, but it is also limited to people with good ASL skills. Finally, I asked if she thought there was anything else she would know about people she saw telling a joke like this. Her response was so pointed that it surprised me. She said, "I would know they were Deaf, and I wouldn't question it." Other Deaf people I interviewed repeated this characterization. My informant's assertion that "they were Deaf" beyond question reflects more than

audition. She would not doubt that they were Deaf because it is clear that they are not only DEAF-WORLD members, they are elite members.

It is too strong a statement to say that Wayne presents this account of becoming deaf solely to assert his identity. I think he was trying to be funny as well. But the assertion of his identity *is* a result and I would be wrong to suggest that Wayne was not aware of this effect. Undoubtedly, the story is intended to be funny and it is. It is the nature of the humor that makes it a classic example of a Deaf story. It is visual or, as Danny suggested, "like pictures." Wayne's use of role shifting and classifiers takes full advantage of the visual medium to create a form of *visual* humor.

Equally important is the fact that Wayne's visual humor expresses an idealistically Deaf perspective. Rayman argues that Deaf people's experiences as visual people affects them, saying "The visual orientation to the world shapes their culture and the modality of their language that may in turn promote the value of vivid depictions in storytelling" (1999:80). The joke's focus on the visual represents a Deaf center in much the same way De'VIA art and Deaf poetry, with their similar attention to the visual, embody a Deaf worldview.

Let's return to the conversation at the table. The unusual nature of the signing that indexes Wayne's Deaf center prompts an interesting response from Mandy, one of the other people at the table. Shortly after Wayne's story, Mandy smiles broadly and says to Ron, "Can you imagine learning to sign from him?" This question indicates the "different" nature of Wayne's signing, distinguishing

it as something unusual. To clarify this point, we might look at what Mandy does *not* say here. That is, to understand more about what she says, we can look at the things she could have said but did not. Mandy opted for the rhetorical question, "Can you imagine learning to sign from him?" over the paradigmatic explanatory alternatives that available to her.

Mandy did not say, "He's teasing you" or "I don't believe him." Either of these possible responses would have presented a judgment about the joke's referential content. Her intent is not to challenge the absurdity of the story. Rather, Mandy's rhetorical question addresses the form of the story, the way it is put together. As it turns out, Mandy has a serious hearing loss, but she only began learning to sign a few years earlier when she took a college ASL class from Wayne. She later told me he was always joking like that in class, and added that the way he signs, his facial expressions, and the classifiers he uses in this joke are characteristic of his style. Her rhetorical question about learning to sign from Wayne, then, points to not only his joking nature but also to understanding his style of signing, a task which she said proved difficult for many of her classmates.

Evidence of Success

We see evidence that Wayne's joking story does serve to establish, or at least to reinforce, his position within the DEAF-WORLD. For example, no one asks him to tell the real story of how he became deaf or to tell about his family connections as the others were asked to do, despite the fact that Wayne himself

started the line of questioning. Telling his story, even though it is clearly not based on fact, apparently gives enough information. No one pursues the question further. However, the conversation that follows his narrative further reinforces Wayne's position.

Here again is the exchange in which Wayne gives his short narrative. This time, I have included the discourse that follows so we can examine the evidence that Wayne's positional identity is made clear. Ron's response to Wayne's narrative (lines 37-38) shows that Ron misunderstood the initial telling and inaccurately believed that Wayne was talking about swinging around on a type of swing set.

<u>*Translation:*</u>

Wayne: I was born hearing but my mother became crazy. She stuck her fingers in my ears and flipped me head over heels again and again. That's

36 what made me deaf.

Ron: [Obstructed] (*Misunderstanding*.) She swung you all the way around? On a swing?

39 Wayne: (*Slower*.) My mother. . . became crazy. You know her index fingers? She stuck them in my ears, like this, and flipped me head over heels again and again, you see?

42 Ron: (Leans back, shakes head [rolls eyes?].)

Wayne: (*Shrugs.*) She's still crazy.

(Lisa laughs. Ron shakes his head. Lisa changes positions while laughing,

45 fans herself.)

Mandy: (*To Ron, smiling broadly.*) Can you imagine learning to sign from him?

48 Ron: (*To Mandy as just prior self.*) I sat here looking at him. He said she stuck her fingers in his ears, and I knew he was kidding me. Geez!

Mandy: (To Ron.) Hey. . . (Unacknowledged.)

51 Ron: (*To Josh.*) [Obstructed] His mother was crazy and she stuck her fingers in his ears and flipped him head over heels again and again.

(Josh and Jared join the others in laughing.)

54 Ron: (*To Wayne as recent self.*) I sat here watching you say that. . . (*As self.*) You are nuts.

Josh: That's funny.

I can only speculate on the reasons Ron might have misunderstood Wayne's story. He was sitting to Wayne's immediate left, which may have somewhat limited his peripheral vision. Perhaps the absurdity of the story may have caused him to doubt whether Wayne actually said what he did. Or possibly the form itself inhibited his comprehension, with its use of classifiers whose antecedents are not clearly established. Not coincidentally, three other people at the table, including both Lisa and Mandy, were watching the story unfold. In-depth

analysis of the video reveals that none of them gave any indication that they grasped the story's meaning on that first telling, despite the fact that Wayne is using ASL, just as everyone else at the table has been. This is not a case of code switching between languages, yet there is a qualitative difference between the kind of ASL Wayne uses here and that used by the others. Apparently his shift makes it difficult for some people to understand.

It is possible that Wayne tells his story in part to demonstrate that his ability to use the language exceeds their ability to comprehend it. Perhaps he *intends* it to be difficult for them to understand, creating a kind of intentional linguistic opacity. This motive appears somewhat devious and perhaps even unlikely, so I do not insist on it. I do, however, think it is important to consider the possibility, which is made ever so slightly more probable by the exchange that takes place when Ron reveals that he misunderstood Wayne's story (lines 37-38).

When it becomes clear that Ron has misunderstood the story, Wayne clarifies it for him. However, instead of just repeating it, he shifts to something akin to "foreigner talk" (lines 39-41). The most salient changes in his shift are that he slows down and adds several very brief pauses accompanied by nonmanual signals (such as facial expression) that ask the addressee to indicate his comprehension (which in turn is usually given through nonmanual signals like head nods). Wayne's retelling also repeats a key sign, (2h)CL-1"stick fingers in ears." Below you will see a repetition of my transcription of Wayne's initial

telling, for comparative purposes, and it is immediately followed by Ron's question and Wayne's clarifying retelling. A translation sequence appears below that. Note the repetition in Wayne's explanation as well as the addition of another role shift, both of which are marked in bold.

Transcription:

Wayne: POSS-1st BORN HEARING. POSS-1st MOTHER BECOME CRAZY. (*As mother*) <(2h)CL-1"stick fingers in ears" (2h)CL-1"swing me around in circles" ..... (H1)CL-2"legs flipping around"> BECOME
(H2)……..>
DEAF.

y/n y/n
Ron: [Obstructed] CL:2"swing in circles on a swing"? SWING?

t
Wayne: (*Slower)* MOTHER..... BECOME CRAZY, MOTHER <(2h)BCL-1"stick fingers in ears"> **(*Looks at Ron for comprehension. As himself.)***

y/n
<(2h)BCL-1"fingers" (2h)CL-1"stick fingers in ears"> (*As his mother.*)

<(2h)CL-1"stick fingers in my ears", (2h)CL-1"swing me around by her fingers in my ears".... (H1)CL-2"legs flipping around" (*Nods.*)

(H2).....>

Translation:

Wayne: I was born hearing but my mother became crazy. She stuck her fingers in my ears and flipped me head over heels again and again. That's what made me deaf.

Ron: [Obstructed] She swung you all the way around? On a swing?

Wayne: (*Slower*.) My mother. . . became crazy. You know her index fingers? She stuck them in my ears, like this, and flipped me head over heels again and again, you see?

I noted above that Wayne's second telling includes some repetition of key signs (lines 39-41), which amounts to additional explanation of the classifiers used to represent his mother's fingers being placed in his ears. In this explanatory account he not only holds (pauses) the classifiers (produced simultaneously, one on each hand) and shifts them towards Ron, he actually repositions them so as to indicate more clearly their locative relationship by placing them near his own ears—thereby shifting out of his role as his mother—and then shifts back by placing his fingers in the signing space in front of him, repeating the classifier. To summarize, in order to clarify his role shift and classifier use, he adds yet another of each.

Wayne's simplified repetition resembles foreigner talk, but there is a significant difference. Specifically, Wayne does not exchange complex vocabulary items for common ones, nor does he delete words or complex structures. Instead, he sticks with the complex classifiers and explains them so they are more easily understood. Wayne slows the classifiers down and even

adds additional ones to make their antecedents clear. It strikes me that this approach is not unlike a practice I use in teaching my ASL classes. In foreigner talk, the goal is primarily the transmission of propositions, but in classroom situations the goal is to teach the meaning of a vocabulary item (or a structural element) to the students. Wayne is a fairly experienced ASL teacher, so his use of this technique is not surprising. Yet it is significant in that he is not merely clarifying; he is teaching, sharing his knowledge of complex classifier usage and role shifting. A distinct power differential is established because Wayne has this knowledge and Ron needs to be taught it: Wayne controls Ron's comprehension and he clarifies Ron's misunderstanding by "reducing" his signing to a form reminiscent of that used in teaching outsiders. He marginalizes Ron by emphasizing a difference in abilities between Ron and himself, but the marginalization is from the elite sphere rather than from the DEAF-WORLD.

The other people at the table who were watching Wayne's story unfold appeared to have only understood it after this retelling as well. Wayne's explanation prompts some specific responses. For example, it is at this point that Mandy asks Ron if he could imagine learning to sign from Wayne. Ron responds to Mandy's question by adopting a similar approach to the one Wayne just used.

Transcription:

Mandy: (*To Ron, smiling broadly.*) CAN PRO-1st IMAGINE LEARN

y/n
SIGN FROM PRO-3rd-[Wayne]?

Ron: PRO-1st **<(*As self just prior.*)** LOOK-AT-3rd[Wayne]

(2h)CL:1"stick fingers in ears", HANDS [Obstructed**].> (*As present self.)***

<'pshaw' SICK PRO-3rd[Wayne]**>**.

This is worthy of further examination. Ron's response is like a story and it recounts what just happened—all of which Mandy witnessed—and he does so through the use of a role shift (in bold). Unlike Wayne's shift, in which he assumes the role of another person, Ron assumes the role of himself, a self in the just-completed past. This shift from his present self to a past self does two things. First, it demonstrates his ability to use role shifting, which might be called into question by his failure to understand Wayne. Second, it serves to mark a boundary between the current self and the one who at first did not understand Wayne's story.[15] This distancing is a way of diminishing responsibility for the failure, putting it behind him, as it were. Having established this boundary, Ron next employs the classifier that caused him trouble and which served as the crucial point of the story.

Transcription:

Ron: (*To Mandy as self just prior.*) <PRO-1st LOOK-AT-3rd[Wayne]>

(2h)CL-1"stick fingers in ears" (*Pause.*) HANDS [Obstructed]. 'pshaw' SICK PRO-3rd[Wayne].

Translation:

Ron: (*To Mandy as self just prior.*) I sat here looking at him. He said she stuck her fingers in his ears, and I knew he was kidding me. Geez!

Having recreated the scene of the telling, Ron says that he realized that it could not be true during Wayne's retelling.

Josh and Jared miss out on this entire exchange because they take up a side conversation just as it begins. Their discussion concludes just as Ron finishes his explanation to Mandy, and Ron takes advantage of this by turning to Josh and again repeating Wayne's story.

Transcription:

Ron: (*To Josh.*) [Obstructed] MOTHER CRAZY, (*As mother.*)

<(2h)CL-1"stick fingers in ears" (2h)CL-1"swing him around by her fingers in his ears" (H1)CL-2"legs flipping around."
(H2).....>

Translation:

46 Ron: (*To Josh.*) [Obstructed] His mother was crazy and she stuck her fingers in his ears and flipped him head over heels again and again.

Ron uses essentially the same classifiers and role shifts Wayne used, the ones he failed to comprehend just a moment before. By using Wayne's forms, Ron simultaneously acknowledges how central they are to the humor of the story. This serves to repair the

damage his misunderstanding caused in three ways. First, it allows him to use similar and identical forms, demonstrating to those who saw Wayne schooling him (as well as to Wayne) that he is competent with ASL. Second, by using a form of reported speech, Ron "inhabits the discourse he reports" (Urban 1996:50), serving "to associate [himself] more closely with the quoted speaker or entity" (Gal 1998:322). Last, Ron's use of classifiers and role shifting diverts the attention from his inability to understand the forms and places the attention on the unlikelihood of the referential content. Ron implies that he failed to understand the narrative, not because of its form, but because the story is patently absurd.

Things Left Unsaid

The elements I have examined thus far in this interaction are by no means the only ones used in this discussion. I have taken an action-centered approach to analysis, focusing primarily on individuals' behaviors that are semiotically significant. There is also significance in what they did *not* do. For instance, even though Wayne's joking explanation for his deafness is clearly untrue, no one asks him to give the real cause of his deafness. The reason is simple: in the process of telling his story, he has made his identities very clear, both personal as a DEAF-WORLD member and positional as a storyteller, and, therefore, as an elite member. Establishing and revealing these identities was the point of the original line of questioning, despite its reference to causes of deafness.

Wayne is not the only one at the table who does not get asked about the onset of his deafness. Mandy, and another observer, Dave, are both present and attentive

throughout, yet neither of them is asked about their identities. It is possible that Mandy and Dave are not asked about becoming deaf because both were raised orally (both apparently have less severe hearing losses than the others) and are fairly new to the community. This interpretation is counterintuitive, given that I have argued that all individuals must negotiate identities. Logic suggests that those least clearly DEAF-WORLD members would receive the most scrutiny, but this does not happen here. My ethnographically informed sense is that these two are well known to everyone present and both are so clearly "marginally Deaf" that there is no need to examine their position. Their status as "marginally Deaf" is clear and automatically disqualifies them from elite status. It is conceivable that no one discusses Mandy and Dave's backgrounds because they both have introverted personalities (as demonstrated by their relative lack of participation in the conversations at the table). Shyness is an index of outsiderness, making the need for further examination less important. Ultimately, Mandy and Dave are more accurately observers rather than participants. As Kannapell's study of Deaf college students' attitudes revealed, they usually associated extroversion among signers with higher levels of ASL fluency and introversion with those who use contact signing (Kannapell 1989b:201).

Further consideration of what these interactants do *not* do leads me to directly consider the fact that very rarely in the DEAF-WORLD do people ask, "Are you culturally Deaf?" The question that is asked (often serving as an icebreaker) is "Are you Deaf?" It asks directly for information and prompts fuller discussions, leading others to reveal information about themselves that Deaf people use to formulate their perceptions about

that person's identity. This fact is fairly well understood; it is even the subject of direct attention in instructional materials for ASL students (Lentz et al. 1988). The information one reveals by what one says is important. What is less widely understood is that *how* one says it is equally important, if not more so. The formal characteristics of one's responses play into identity formation and assertion, as illustrated in Wayne's case, as much as, or even more than, referential content, as Wayne's narrative illustrates. In that example, no one asks "Are you culturally Deaf?" or "How culturally-Deaf are you?" although that is primarily the information they appear to be after.

I have argued that while the exchange between Ron, Lisa, and Wayne is about causes of deafness, it helps the participants assert and evaluate each other's identities. Moreover, I have argued that by employing classifiers and role shifting, which most fully take advantage of ASL's spatial medium, they trigger connections to the highly valued storytelling performance genre. This establishes indexical relationships between the participants (primarily Wayne) and elite positions within the DEAF-WORLD. But I want to make it clear that this exchange did not occur between someone clearly Deaf and someone clearly not Deaf; the primary participants have some quite obvious claims to being Deaf. This highlights the ongoing nature of the identification process. Identities are not achieved all at once. They are continually reasserted, renegotiated, and reclaimed, and both personal and positional identities are simultaneously negotiated. These negotiations are a part of everyday life, and their outcomes have real consequences.

Conclusion

Discourse practices have a great deal to do with the creation and projection of positional identities in the DEAF-WORLD, just as they do with personal identities. Demonstrations of communicative competence serve to index people as DEAF-WORLD members. Displays of super competence index elite status. The elite Deaf enjoy numerous benefits from their status, including the absence of questions about their DEAF-WORLD membership and related political and cultural power, but they should not be mistaken for the defining characteristics of the elite; they are simply benefits. The benefits come through the demonstration of super competence that is most clearly marked by highly adept use of ASL classifiers and role shifting. This indexing of super competence with the Deaf elite is a semiotically complex process involving two primary linkages. First, DEAF-WORLD language ideology holds that classifiers and role shifting are characteristics of good storytelling, ideologically and indexically linking them to the ASL storytelling genre. As a result, their users are either allied with or are considered storytellers. Second, the historical and cultural significance of storytelling in the DEAF-WORLD is such that storytellers, and those associated with them, enjoy elite status as the most authentic Deaf people and as custodians of pure ASL.

I have shown how one man demonstrated his facility with classifiers and role shifting to assert for himself a favorable positional identity. We saw that the effects of his effort were such that *how* he told the story outweighed *what* he said in it. This fact has significant implications. Perhaps most importantly is what it suggests about current trends in deaf education which often aim to integrate or "mainstream" deaf students in

with hearing ones. Even those students who (eventually) have contact with the DEAF-WORLD may forever be excluded from access to elite positions within that community because they lack early exposure to the discourse forms that signal elite identities.

APPENDIX A

COMPLETE TRANSCRIPTION KEY

CAPS
English glosses for ASL words (meanings similar in some instances)

ITALICS GLOSSES
Glosses in italics represent signs produced with the non-dominant hand. Their temporal relation to the action of the dominant hand is indicated by their vertical alignment with the line above them.

- (hyphen)
meanings of phrases in which the glosses are connected with a hyphen(s) are expressed with a single sign. (For example, TO-BE-ALONE and LONG-AGO).

- (in fingerspellings)
Between letters in fingerspelled words, indicates deliberate, letter-by-letter fingerspelling.

PRO
Personal pronoun

POSS
Possessive pronoun

-1st or -3rd
Indicates direction/location of agreement. Attached to either a pronoun or a verb, for example, pro-1st, poss-1st, or to-be-alone-1st.

-rt or -lf
Indicates direction/location (i.e. right or left). For example, PRO-1st-rt

IX-
Indexing. Description of location or object indexed follows in single quotes as in 'upper right'.

INDEX
Indexing that points to the fingers of non-dominant hand.

[ ]
Information not explicitly included in the text, provided for clarity. Also for description of particular sign form used.

{ }
Marks time code on video tape.

(*italics*)
Italicized text in parenthesis gives gestural and other contextual information, including eye gaze shifts, movement from one location to another, etc. May also indicate to whom talk is directed as well as including information about role shifts and 'who' is signing during these role shifts.

<>
Marks beginning and end of role shifts.

#

Fingerspelled loan sign (e.g. #BUS)

fs-
Full fingerspelled item

§
Acknowledges misspelling in fingerspelled item

ns-
Name sign (e.g. ns-JULIE)

*** (asterisk)**
Emphasis

(alt.)
Movement alternates between hands

(2h)
Sign is done (optionally) with two hands

(1h)
Sign done with one hand when normally requires two.

(H1)
Dominant hand

(H2)
Non-dominant hand

CL-
Classifier

CL:
Classifier whose handshape is 'bent' (e.g. CL:2'sit').

ICL
Instrument classifier (e.g. spooning, stirring, and other forms of manipulation)

BCL
Body classifier. Movement of body indicating body movements.

" " (double quotation marks)
Reported/quoted/constructed speech. Also indicates spoken English in transcriptions as well as marking off gestures (e.g. "pshaw" "what" etc.). Also used to indicate semantic content of classifiers (e.g. CL-1"walking").

' ' (single quotation marks)
Nonlinguistic gestures

.....(dotted line)
When used with glosses, indicates sign is held during production of signs on the other hand.

, (comma)
When used with glosses, indicates slight pause

. (period) Indicates sentence boundary

‡
Marks point where interrupted (or overlap begins) by statements in indented line below.

^
Indicates that speech turn interrupts the turn in line above at the point marked with ‡. These lines indented slightly although their alignment does not necessarily indicate the actual point of the interruption.

!
Indicates emphasis such as enlarged signs, possibly with slower pace and exaggerated nonmanual features like facial expressions.

_ (underline)
Underlined initial letter of a gloss indicates optional initialization (e.g. CAR).

. . . (Ellipsis)
Indicates pause or trailing off of sentence.

wg
Wiggling fingers, internal morpheme to sign.

+
Between glosses without a space (e.g. WEEK+END) indicates compound or contraction. After a gloss (E.G. PLAY+ indicates exhaustive, either temporal or distributional.

y/n
Yes/No question non manual marker.

nod
Head nod/affirmative nonmanual marker.

wh
'Wh-word' question nonmanual marker.

cond
Conditional sentence nonmanual marker.

neg
Negative nonmanual marker.

when
When clause nonmanual marker.

rh
Rhetorical question nonmanual marker.

Turns indicated on same line indicate simultaneous production.

The punctuation of the free translations is used according to conventional rules for written English with the intent of aiding clarity.

Notes

[1] I conducted that fieldwork for my doctoral dissertation (The University of Iowa, 2004). Much of this paper first appeared in that dissertation.

[2] This section on Language and Identity appeared previously in a paper I presented at the Deaf Studies *Today* conference in 2004. The paper was published in that conference's proceedings.

[3] I use the term "speaker" in reference to those who use signed as well as spoken language.

[4] Wrigley's discussion illustrates an important point: to speak of "the elite" is to recognize that a particular kind of people within a group possesses a higher level of prestige than do others. Elite status is attributed to people who possess a certain positional identity. It is not an identity unto itself.

[5] On the subject of the d/Deaf distinction Wrigley writes,

> Nor does the denial of coping strategies labeled 'd' (lowercase) aid the discussion, as such a denial locates the meaning of difference in the individual rather than in the social relationships in which individual actions are set. ¶It is a stark dualism–good Deaf, bad deaf–that does little to help the individuals in their daily lives. Nor does it help illuminate the wider range of strategies employed by individuals coping with exclusion and the many faces of oppression in their daily lives. In simple terms, the dichotomy of 'd/D' is so crudely drawn that, while initially useful, it now serves to silences the full range of d/Deaf people's experiences. It also plays into a strategy of domination by pitting Deaf people against deaf people as these labels are actively policed. (1996:55)

The above excerpt is ironic for a number of reasons. First, before presenting it, Wrigley (who is hearing) heavily qualifies his authority to speak on such matters because he is an outsider, so he presents it as a suggestion. Secondly, and more interestingly, despite his exegeses against the d/D distinction, he employs the distinction throughout the book, including this excerpt.

[6] It is worth remembering here that those same Deaf people with Deaf parents are very often those who acquire the highest degree of proficiency in English reading and writing.

[7] The adjectives I use to characterize each of these styles include the terms Deaf people used in describing them to me.

[8] For example, Bahan's style differs somewhat in that he often employs a narrator who sets the scene and introduces some of the characters, such as in his widely-known allegory "Bird of a Different Feather," a tale of a straight-beaked songbird in a family of eagles. Deaf recognize the songbird in this story as a deaf child and the family of eagles as hearing people.

[9] All names in this paper are pseudonyms to protect the identities of the subjects. For this same reason I the photos included below are of sign models rather than of the actual persons. I use sign models to help nonintimates understand important points. They should not be used for analysis.

[10] The significance of storytelling may not be available only to experienced signers. Recently I was surprised by the comments of one of my hearing ASL students. Writing on a mostly-unrelated topic, she said,

> I think that signed languages are so interesting because without even talking you can look at a person and see the store [sic] unfold. It is entertaining watching people sign to you because they can tell a story with just as much charisma and energy using signs and their facial expressions. Those who communicate using signed languages have a talent. They have such amusement in their actions and face *when they tell stories*. It is hard to look away because you want to know what is coming next.

This student had only studied ASL for ten weeks when she wrote this passage. She shows how the special qualities of ASL stories are visible even to nonintimates.

[11] Others apparently agree with Heather's self-assessment. My other interviewees identified her as an example of a good signer more often than all but one other person.

[12] This applies particularly to the set of spatial verbs known as "agreement verbs," but to a lesser extent, it also applies to the spatial verbs called "directional verbs."

[13] Note that in this translation, the pronouns are different from the translation of the entire exchange above. They now reflect the role shift in their ambiguity. Wayne has taken on the role of his mother, so rather than saying "she," he is saying "I." In reality, the pronouns are not present in the ASL performance. The role shift makes them unnecessary. The English translation, however, requires them. In this translation, I have retained placed pronouns from both perspectives (e.g., "she/I").

[14] The final version does not state explicitly that he goes "head over heels," but the implication is there.

[15] Ron does the same thing again when giving his account of what happened to Wayne (line 49).

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Citizens' Media and the Future: A Case Study of Melbourne Ethnic Community Radio

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Citizens' Media and the Future:
A Case Study of Melbourne Ethnic Community Radio

Community radio is an essential player in the media landscape for many countries in the world; it is the citizens' media. Yet there are many threats and challenges that face community broadcasting. This paper will take a closer look at how the decrease of government funding in Australia for ethnic community radio could prove to be a challenge for the survival of such a vital voice. Melbourne Ethnic Community Radio – 3ZZZ, will be used as a case study to exemplify these challenges and threats. Research methodology includes interviews with industry players and station workers, in addition to personal observation, analysis and experience.

Government grants are distributed to community radio stations in Australia through the Community Broadcasting Foundation (CBF). The Community Broadcasting Foundation Ltd was established in 1984 as an independent and non-profit funding body following widespread consultation with community broadcasters and the government. The primary aim of the organisation is to act as a funding agency for the development of community broadcasting in Australia.

The CBF receives an annual grant from the Department of Communications, Information Technology and the Arts (DCITA), and a smaller grant from the Aboriginal and Torres Strait Islander Commission. It is independent from the government and from the community broadcasting organisations that it funds.

The government determines the proportion of annual grants that should be allocated to general community broadcasting and to the different sub-sectors of community broadcasting according to social justice, access and equality criteria. The CBF then assesses applications for funding and distributes grants for development, programming and infrastructure support using the following categories: Aboriginal community broadcasting, ethnic community broadcasting, Radio for the Print Handicapped (RPH), general community broadcasting, the Australian Ethnic Radio Training Project (AERTP) which is now facing a shortage in funding, plus sector coordination and policy development.

The CBF solicits and administers other grants for special projects as the government introduces new policy initiatives. These grants include the Contemporary Music Initiative for community broadcasting that is managed by the Community Broadcasting Association of Australia (CBAA). In line with general grant distribution guidelines, special funds are divided between licensed stations, new licensees, program production, training and development, and sector coordination.

President (1999-2003) of the CBAA, David Melzer, says that "it is important to note that community broadcasting is not government broadcasting, even though it provides valuable services. While community broadcasting cannot expect ongoing funding - only 10% of national annual revenue for the sector comes from the government and is an important source of seeding funds" (David Melzer, 10 Dec 2002). The CBF makes sure that when a community radio station is licensed, seed funding is made available immediately to get it started. "This would mean that as more and more stations are being established, some of the ongoing support has had to be decreased as more of the financing goes to seed funding" (John Martin, 10 Dec 2002). Yet most newly licensed community stations complain of the lack of government financial assistance.

President of the CBF, John Martin, points out that government financial support for the sector has always been a small part of community radio's income. He believes that due to the thin spread of financial support for community radio, there is pressure on the community broadcasting sector to find revenue elsewhere. Martin states that "the CBF believes that the sector is at a crossroads in its development. The contribution the sector currently makes, and the potential it has to broaden its value to Australian society, is threatened by a lack of adequate resources to meet the challenges of rapid expansion and balanced development. The Foundation will continue to press these arguments with the Commonwealth Government and other potential funding sources" (CBF Annual Report, 2000: 2).

This lobbying effort is ongoing. The CBF campaigned for more adequate funding during the 2001 election campaign and as a result a major new funding initiative was developed and proposed to government as they were preparing for the 2003/2004 budget. The proposal has a number of elements including "a nationally accredited broadcast skills training program, a nationally accredited radio management training program, a regional and rural radio business incubator project, a community radio establishment, recapitalisation and training development fund, and a continuation of the Australian Radio Airplay Project and regional development of radio for print handicapped services" (John Martin, 10 Dec 2002) though this initiative has not yet been funded.

Community radio stations also apply for additional grants from other government funded agencies. Larger stations have successfully applied for funding on a regular basis through various arts and music initiatives – usually associated with the cultural contribution made by the station. Community-based grant programs of local and state governments are also a regular target for community radio stations (Forde et al, 2002: 104).

In the study conducted by Forde, Meadows and Foxwell, the statistics in the sector reveal that:

> In 1985, around $1.27m was provided by DCITA to 56 stations, representing a little more than $22,000 per station. This funding level increased until 1995, when it peaked at an average of about $25,000 per station. In 1996, core funding began to decrease as a result of the introduction of a new 'targeted' funding regime. Core or 'guaranteed' annual funding is now down to a level of just

> under $17,000 per station per year, well below the 1985 levels... If we take targeted funding into account – which is not guaranteed, and which has to be justified by the sector each three years – the figures are still low. Including targeted ($4.5m over three years) and core funding ($3.3m), the per station amount in 2000 was $24,600, lower than the per station figure for core funding in 1993-94 and in real terms lower than the 1985 figure of $22,000 per station (Forde et al, 2002: 93-94).

An analysis of government funding allocation to the CBF in the 1999/2000 and 2000/2001 financial years, reveals that this trend is continuing although there have been modest increases in government funding year to year, the average distribution back to stations has actually decreased. The rapid increase in the number of stations means funds need to be spread further than ever before. In 1999/2000 $4.8 million was distributed to community radio in the form of government subsidies (Forde et al, 2002: 94).

The level of government funding provided to the CBF in 2000/2001 for disbursement to the community broadcasting sector amounted to $5.462m. In addition to $3.313 million for ongoing funding, $0.973 million was provided for the funding of special projects. These included ongoing development of the Community Access Network (CAN) and Community Broadcasting Database (CBD), support for Multicultural Community Broadcasting, support for the satellite network, the Australian Ethnic Radio Training Project (AERTP), the National Transmission Network Grant (NTN), the Australian Music Radio Airplay Project (AMRAP) and the Digital Delivery Network (DDN) (CBF Annual Report, 2000: 2).

Funding to permanently licensed stations from DCITA for the 2002/2003 financial year is around $5.28 million (Forde et al, 2002: 94). Core funding levels per station have declined by 36% over the past years as a direct result of increase in the number of licensed stations by 60% (Forde et al, 2002: 95).

Many community stations do not receive any CBF assistance due to the difficulties they encounter in applying for grants. The CBF is criticised by applicants for its lengthy funding application process. One industry insider is reported to have said:

> I don't apply for any of the CBF grants because of a) the sort of paperwork they want to put me through. The time spent doing what they want me to do I can make twice as much money out of local sponsors. And b) I think they want me to compromise my radio station to the point that the value of what they give me is lessened by what I have to compromise on the program (Forde et al, 2002: 104).

However, the CBF says it is not to blame:

> To some extent it is a result of increasingly onerous obligations placed on the CBF by the government, requiring higher levels of accountability for disbursement of public monies. It is also partly a function of the highly

> targeted nature of most of the CBF's funding. At the same time, [the CBF] is keen to keep things as simple and clear as practicable, and is currently going through a major review of the forms and processes (John Martin, 10 Dec 2002).

Yet the belief persists within the sector that even if stations applied for government subsidies through the CBF, they would not be successful as the grants are pre-allocated (Roger Jones, 17 June 2002).

One of the major benefactors of CBF funding are stations offering ethnic programming, as they are perceived from within the sector to be receiving sufficient funds for their programs. The CBF has been praised for funding stations providing ethnic programming (Forde et al, 2002: 104). One of these stations is 3ZZZ Melbourne Ethnic Community Radio, which is a good example of how government grants can make a difference to the financial status of a station as opposed to other community radio stations operating in the sector.

3ZZZ – Melbourne Ethnic Community Radio

Being an ethnic community radio station, 3ZZZ services 58 ethnic communities with specialist programming. 3ZZZ started broadcasting on a regular basis in June 1989. Working from studios in the Melbourne suburb of Fitzroy, the station broadcasts 24 hours a day. It is estimated that more than 400,000 people listen to 3ZZZ every week (History, 7 Oct 2002).

The beginning of ethnic broadcasting in Australia goes back to 1973. The ethnic community began to work together with sections of the wider Australian community, and threw its considerable strength and influence into the campaigns for access to the nation's airwaves. The ABC had been encouraged by the Whitlam Labour government to open an 'access' station in Melbourne in 1975, and opened 2JJ in Sydney as a sister station. The community access radio 3ZZ came into existence, owned and assisted by the ABC, with 20 ethnic communities being the first to broadcast in their ethnic languages (Dugdale, 1979: 37). In 1977 the Fraser government closed down 3ZZ and eventually set up the Special Broadcasting Service (SBS). In August 1989 3ZZZ, an offshoot of 3ZZ, obtained its licence, twelve years after 3ZZ's closure.

Many other community stations now provide ethnic access programming. "There are 75 stations (35 metropolitan and 40 regional stations) in Australia that provide in excess of 1,200 hours per week of local programming in 86 languages. Over 2,500 volunteer broadcasters are involved in ethnic community radio in Australia" (CBF Annual Report, 2000: 2).

At 3ZZZ, up to 400 volunteers broadcast in 58 community languages. Some of these volunteer announcers have been with 3ZZ since its beginnings, hence they represent the older generation. Some ethnic language groups have tried to accommodate a younger

generation of broadcasters into their programs within their youth programming sections. Ethnic community stations are also providing an essential service to the new wave of migrants to Australia (Forde et al, 2002: ii).

The 16-member Council of the Ethnic Public Broadcasting Association of Victoria (EPBAV) is the governing body of 3ZZZ. A minimum of 25 people from an ethnic community can form an ethnic community broadcasting group at 3ZZZ, but groups need to have at least 40 financial members to be eligible for an hour of airtime.

To comply with funding guidelines, ethnic programming must be mainly in a language other than English, contain no more than 50% music content, have a spoken word content of no more than 25% religious material or references, be locally produced under the auspices of a recognised local ethnic community language group and broadcast between 6am and midnight (Ethnic Grant Funding, 6 Dec 2002).

There have been concerns from within the sector over the restrictions placed on these stations. As part of the study conducted by Forde et al, one ethnic broadcaster states that "once you start putting all [the] rules in place, you're losing the way you intend to do your program". Another broadcaster says: "if we go in excess of 50% foreign language nobody will listen… so every year or two we get a letter… saying send us a tape of this program. We get deducted $1000 because they say we didn't have enough [language] in it" (Forde et al, 2002: 58).

The CBF offers the support of an hourly rate for ethnic funding. "The CBF has a total amount of money in each funding round which is divided by the number of hours of approved programs around Australia. In each round the hourly rate will vary. Since 1995 the rate has varied from $28.27 to a high of $51.82. As more eligible programs go to air the hourly rate tends to reduce" (Guidelines for Ethnic Grants, 12 Apr 2004: 4).

This source of funding, paid for each hour of a language program, is extremely important and provides financial security for a station like 3ZZZ which schedules only ethnic programming. "In capital cities and specific stations which are licensed to do multicultural broadcasting, … there is substantial enough audience and it is justified there but …the more general community stations have gone for the ethnic funding because it is easier to get and yet there may or may not be that audience there to justify that" (Forde et al, 2002: 57).

For the financial year 2000/2001 and under the Ethnic Program Grant, 3ZZZ received $108,920 for Round 1, $111,833 for Round 2, and $220,753 for Round 3 (CBF Annual Report, 2000/2001: 11). With a total amount of $441,506 for the financial year, this was far greater than the average grant value for the same financial year which was $31,533.26.

In addition to the above grant and for the financial year 2000/2001, 3ZZZ also received other grants which included the Multicultural Youth Program Grants ($3,986), National Transmission Network Subsidy Grants (NTN) ($2,700), Australian Ethnic Radio

Training Project Grants (AERTP) ($12,700), and an ethnic music compilation CD under the AMRAP Distribution and Recording Grants ($3,000) (CBF Annual Report 2000/2001). These grants total $22,386 bringing the total amount of grants received from the CBF for the financial year 2000/2001 for 3ZZZ to $463,892.

A closer look into 3ZZZ's financial resources reveals that it has more than 5,000 financial members. Full membership is $15 and is $10 for concession. This amounts to a minimum annual income of $50,000 from membership.

Another source of funding for 3ZZZ has been its annual radiothon fundraising event. In 1999 3ZZZ raised just over $120,000 during Radiothon, and in 2000 3ZZZ raised $144,000 (El-Ghul, 2000: 34). Every language group that broadcasts on 3ZZZ is required to raise $1,000 per hour; if this is not achieved then language groups are in danger of losing their hour of programming. This amount has proved to be an easy target for language groups that enjoy the support of large communities in Melbourne, such as the Greek community. However, relatively smaller and newer language groups, such as the Hmongs, have not been successful in reaching this target and have been in danger of losing their broadcast time, as the size of their community could not support an entire hour of programming. This is a crucial issue, as it is the new and small communities that are more in need of a broadcast program to keep them in touch with their homeland, Australian society and each other.

Sponsorship is another important source of income and has been relatively easier for 3ZZZ to accomplish than the average community radio station, because small businesses that cater for ethnic local communities find advertising on 3ZZZ an excellent way of reaching their communities. Ethnic broadcasting is the principle conduit for information to ethnic communities at a local level; this can be used as a means of developing solid sponsorship (Ian Stanistreet, 22 Jan 2003). Sponsorship has also been easier to achieve because the announcers themselves often act as sponsorship agents by bringing in sponsors from their communities to advertise on their programs.

Yet despite the comfort a station like 3ZZZ currently enjoys, 3ZZZ is at high financial risk in the future if government grants begin to dry up as it is highly reliant on government funding. Former 3ZZZ Sponsorship Manager (1992-2003), Michael Smith, believes that if government funding were to decrease then the station would need to focus on increasing income generation from other areas such as sponsorship (Michael Smith, 11 Jun 2004). Should government funding continue to decrease in the future, community stations not reliant on government funding would find themselves at an advantage to those who depend heavily on government funding.

There are other threats that 3ZZZ faces such as competition from SBS and full-time commercial ethnic radio. There are two full-time Greek radio stations in Melbourne, and several pay TV outlets. These commercial ethnic broadcasters concentrate on younger generations as opposed to 3ZZZ's older audience. 3ZZZ is run by a majority of volunteer announcers who come from first and second-generation migrants. Unless 3ZZZ caters for the younger generation, for most of whom English is their only language, the station is

faced with a declining audience. The station will therefore have to accommodate for programs that are even more in line with the lives and aspirations of all generations, including some bilingual ones. The station will have to involve more young people for it to maintain its existence in the future.

3ZZZ is an example of a community radio station that is highly reliant on government funding. Not all government-funded stations are able to secure as many grants as frequently as 3ZZZ does. However, should government funding for 3ZZZ decline, 3ZZZ would find it harder to survive than other community stations that do not rely as much on government funding. The reason behind this is because 3ZZZ has not built experience in seeking alternative funding sources.

Therefore it is vital that community radio stations discover and develop a more entrepreneurial approach to their operation and income generation in order to secure a position in the future where they can service the communities they broadcast to.

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Title
From stage to virtual spaces : reaching new dance?

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From stage to virtual spaces : reaching new dance?
Since digital technologies, among which motion captures systems and videographic tools, appeared and are now affordable to dance creators, one can see the emergence of a new dance made of realistic or abstract virtual interpreters : doe's that mean that dance, as a performing art, will gradually disappear from theatre's stages?. And as dance existence and definition have always been related to human body, this new electronic dance is even more than an evolution for this art form. In fact, it's a true revolution. Shall we have to extend the actual definition of dance to open it to this virtual one?
To introduce these questions, the authors will speak about the research and creation projects they are currently pursuing since 2001 with LARTech (www.lartech.uqam.ca) and consisting in multimedia dance works for stage and the design of specialized softwares and tools for dance creation, simulation and notation.
They will present *Lifanimation*, a home-made human movement editor software they built from Montreal's Digits'n Art company *LIFEsource* system with engineers and artists of this company (thanks to grants by UQAM university's research programs, federal and provincial governmental research agencies, the *Hexagram Institute for research/creation in arts and media technologies),* and the digital dances they created with that tool as part of the dance work *Tabula rasa*, a 50 minutes piece performed in Quebec and in France by 22 dancers and by Mona, the virtual one of *Lifanimation*. They will also present their *Multipartition infochorégraphique*, a dance and human movement notation system affordable to everyone because of its real time and analogic features.

Architecture as the Cultural Narrative

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One of the fundamental meanings of architecture to a society is storytelling. Stories are projected through iconographic decoration from temple friezes unfolding ancient epics to Christian cathedrals preaching Biblical allegories. Through those times, architecture was a medium to identify what was important to a culture's life. Many of these aspects are reflected in architecture in unique ways. They are present in the ruins dotting the landscape as artifacts describing a way of life millennia ago. They are demonstrated by the scientific instruments on display on public building facades and plazas. They are rooted in the architectural models representing a society's ideals. When we visit these places we are reading chapters of a cultural narrative.

This approach towards architecture is still practiced. Yet, while the ancients and Christians sought elucidation and illumination, the modern decipherment is for architecture to tell stories as a form of entertainment rather than enlightenment. This interest in entertainment is an abuse of the scenographic feature in architecture. We awe our critics by using new materials and sophisticated technology to develop an aesthetic for sensuous pleasure. However, this interpretation of design carries little meaning beyond the present.

When considering architecture as a cultural narrative, we elevate architecture to a higher level of meaning. Architecture is a medium to communicate what is meaningful to a particular culture at a particular point in time. This methodology utilizes empirical hermeneutic principles established by John Locke, Ernst Cassirer, and Hans–Georg Gadamer with written architectural theories by W. G. Clark, John Ruskin, Dalibor Vesely, and Aldo Rossi. Through their writings, we discover that monuments are the archetype for cultural narratives.

This method emphasizes studying local architecture to seek the essence of traditional forms, techniques, and decoration. The models change from country to country and region to region which enables us to see the variety of cultures found around the world. These narratives are enlightening because of the kinds of associations they pose about the state of a culture. Many architects have attempted to answer these questions using this methodology including anonymous Renaissance thinkers, Enlightenment architects like Thomas Jefferson, and even contemporary designers such as Aldo Rossi, Carlo Scarpa, and Frank Lloyd Wright.

Architects still have the ability to design monuments but it requires more than entertaining an audience. We must seek the true meaning of our times with an inquisitive mind. By designing cultural narratives, we enhance the quality of architecture because it orientates us with a particular place and time. New projects can be designed for cultures with the use of new technology and materials, but the architectural gesture aims at something greater. Architects not only generate designs but also educate the society. Fundamentally, we ask ourselves who we were and who we are and use architecture as a means to answer these questions. Hence, architecture as a cultural narrative is a physical architecture inquiring about our existence and thereby tells an enlightening rather than entertaining story.

Architecture as the Cultural Narrative:
A Study on Myth and Symbolic Representation in Architecture and Its Impact Found in the Irish Farm, Italian Memory, and the American Landscape

Fred W. Esenwein

Perhaps architect Robert Venturi was correct in his book *Learning from Las Vegas* when he claimed our monumental architecture was no more than a "decorated shed."[1] To know if a project is a monument, an ordinary building must metaphorically have a large sign indicating that it is, indeed, a monument. Thus, architecture abuses scenography; it is more like a movie set dedicated to fantastical wonderment rather than a testament to our culture. It seems that most new buildings are meant to show what is fashionable at present; they carry little meaning and are not monumental, memorable pieces of architecture. We claim architecture is "cool" when using new materials, pushing structural integrity to the limits, and using computer technology allowing anything to be possible. But can these new cool projects ever be admired in the same way as we view a ruin, an Irish farm, or the University of Virginia? To answer this type of question, John Ruskin wrote, "Better the rudest work that tells a story or records a fact, than the richest without meaning."[2] I offer as an alternative to entertaining architecture that it should be an educational work reflecting aspects that are significant to our society. In this way, architecture becomes enlightening, rather than entertaining.

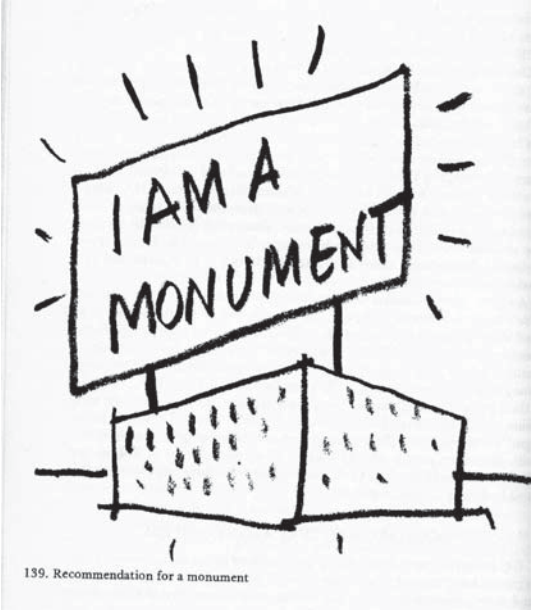
How is architecture entertaining? Consider the National D-Day Memorial in Bedford, Virginia. This memorial includes a water feature to represent the English Channel, sculpture of soldiers to represent soldiers, and includes a water show by popping air out of the water to simulate bullets hitting the channel. It is quite the Hollywood spectacle removing all imagination and interpretation from the visitor. Without offering any inquiry into the reasons and ramifications of D-Day and other events in history like it, the memorial is a cartoon of the events that occurred. In this way, architecture demonstrating reenactments, interactive participation, or extraneous features to be awed with blind amusement I am considering an abuse of scenographic design; it is this aspect of architecture I am criticizing.

How is architecture enlightening? For centuries, major architectural works were monuments defining a culture. If I mention, for example, "ancient Greece", there is a good chance you will immediately think of the Parthenon. If I say, "Switzerland", it seems likely to believe the Alps and Alpine villages will appear in your mind. If I ask about the 21st century United States, would anyone think of a piece of architecture? What are we designing today with the same meaningful qualities of Greek temples? These are important questions because architecture has the power to preserve our stories perhaps better than written documentation. Records of the past disintegrate or become lost or purposely destroyed, but architecture remains as a testament, even if it is a foundation buried underground. The testimony of architecture can be found in twentieth century philosopher Ernst Cassirer analysis when he wrote:

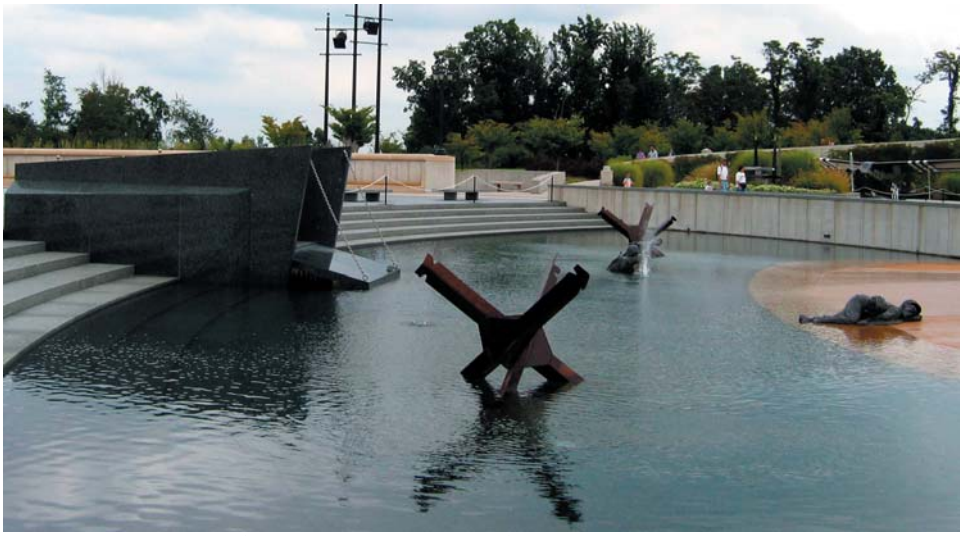
> Not things or events but documents and monuments are the first and immediate objects of our historical knowledge… To this actual, empirical reconstruction history adds a symbolic reconstruction. The historian [and architect] must learn to read and interpret his documents and monuments not only as dead remnants of the past but as living messages from it, messages addressing us in a language of their own. It is the work of the linguist, the philologist, and the historian [and architect] to make them speak and to make us understand their language.[3]

Ruins can be considered a type of text; they are documentation of a past culture's existence. Although we may know little of the extinct society, we nonetheless subconsciously sense a connection with our ancestors leaving a built legacy behind. We consider these ruins marking a chapter in human

Architecture as Entertainment



Robert Venturi, *Learning From Las Vegas.* Fig. 139, Pg. 156.



National D-Day Memorial, Bedford, Virginia. Dickson Architects & Associates.

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existence. Before they were ruins, these buildings were models of their cultural myths. They depicted physical representations of a society's conception of the world. The ruins, therefore, narrate to us a text on a culture's understanding of the world. As other cultures come and change so do their myths but when the culture fades, the myths continue through other cultures. One example is the Ancient Greek temple iconography designed into a nineteenth century building long after ancient Greek culture faded. This also demonstrates how myths generate the models of monumental architecture. The design and iconography found in the design of a Greek temple perpetuated Greek mythology. Since monumental architecture is a medium to narrate cultural myth, I argue that architecture is a "cultural narrative."

The *Mythos* in Culture and Architecture

In order to find the essence of a culture, it is important to study its *mythos*. These stories are particular to a culture and define that culture before its history evolves. This is one way how modern architecture attempting to be a cultural narrative does not become trapped in historical duplication of a past style. Investigation into myths looks at explanations and stories often pre-dating history. Therefore there are no physical forms to replicate. Following Cassirer's analysis, we avoid historical replication by looking at the *mythos* rather than history:

> When man first became cognizant of the problem of time, when he was no longer confined within the narrow circle of his immediate desires and needs, when he began to inquire into the origin of things, he found only a mythical, not a historical origin. When man begins to unravel the complex web of the mythical imagination he feels himself transported into a new world; he begins to form a new concept of truth. [4]

Cassirer notes a "new concept of truth" found in myth and imagination rather than unbiased fact. We recognize myths today to be untrue or, at least, not literal fact. This demonstrates Northrop Frye's description of myths. Frye claims myths have two parts, "this is what is said to have happened and this almost certainly is not what happened, at least in precisely the way described."[5] They are true in the sense that they convey the moralities, law, structure and interests of a society. They are enduring because a particular culture creates them, then it adds to them over a period of time. In this sense, myths can be considered as stories of possession attempting to explain the past.

Myth and architecture have been together in documentation since the Romans. [6] The origins of architecture has a mythical story first written down by Vitruvius in his *Ten Books on Architecture* and is known to us as the Myth of the Primitive Hut.[7] Vitruvius' account is about the congregation of people and through discussion and experimentation they build the first house. Vitruvius' story is refined during the Renaissance as it receives a "modernization" from Alberti. [8] Alberti and the Renaissance world are more concerned with a hierarchy of structure and the "architect as the master of the roof" than a story describing the origins of society. Another version comes from the French architectural theorist Laugier retelling the story from the Enlightenment's point of view where Nature is the source of self-illumination for the design of the first house rather than human participation.[9] In the nineteenth century, Gottfried Semper interpreted the story with respect to the Industrial Revolution in Germany. He describes the hut as a system of parts (four elements) and the making of the parts, and not about the political influences of the first house.[10] The most recent version of the story appears in the early twentieth century by architect Le Corbusier who writes that the primitive hut was really a primitive temple and is delineated by the use of rational measurement to favor Corbusier's avocation for the Modular mathematical system he devised.[11] As we can see, this myth carries through into the twentieth century although it origins likely predate the Roman Empire. The Myth of the Primitive Hut perpetuates to this day, although the wording of the myth changes and the story emphasizes certain qualities pertinent to the culture narrating the story. Yet, the essential story, a description of the first house, maintains through them all.

Associationism and Symbolic Representation

Myth, in modern terminology, is linked with mythology to stories of gods and goddesses and their adventures. *Mythos* is seeking what is essential to a culture and the thoughts and ideas that culture wishes to perpetuate. This interpretation is derived from architectural theorist Dalibor Vesely:

> In its essence, myth [*mythos*] is an interpretation of primary symbols which are spontaneously formed and which preserve the memory of our first encounters with the cosmic condition of our existence. The persistence of primary symbols, particularly in the field of architecture, contributes decisively to the formation of secondary symbols and finally to the formation of *paradigmatic situations*. The nature of *paradigmatic situations* is similar to the nature of the phenomena described in different terminology as institutions, deep structures, or archetypes.[12]

Vesely's position is that as we experience things in the world we recognize certain elements to represent certain things. There is something deep in the culture's subconscious that we do not see on the outside, yet defines our beliefs and heritage. This position is based on associationist psychology.

In the eighteenth century, John Locke described British empirical understanding by concentrating on human associations. Lockeian associationist psychology defines human understanding beginning from birth. When we are born, we are born with a "clean slate;" we have no prior experience or memory of the world.[13] As we grow, we learn through experience of how the world works around us. As we develop, there are certain elements we see and relate to through our experience. Thus, our memory is built by experience and associates new ideas and objects with things we have discovered for ourselves in our past. An architectural example would be associating an architectural object with multiple ideas and forms. In this way, the object transcends its immediate use and can have multiple meanings. This multi-meaningful object represents something symbolically.

Symbolic representation is from philosopher Hans-Georg Gadamer. In the *Relevance of the Beautiful* he states, "symbolic representation accomplished in art does not have to depend directly on what is already given. On the contrary, it is characteristic of art that what is represented…calls us to dwell upon it and give our assent in an act of recognition."[14] If, for instance, I take several sculptures of soldiers on a field, we imagine them as part of an army. The sculptures become a sign; they are a direct one-to-one link between soldiers and idea of soldiers. But in symbolic representation, an element is used to show something in it we do not normally see. If I design several unique columns to be placed on this field, they could be interpreted as soldiers, tombstones, rifles, and numerous other associations regarding war. Symbolic representation carries with it certain associations that we, as observers, must interpret. If we return to Vesely, he would argue that Gadamer's symbolic representation means character, which eventually leads him to the Greek word, *prepon*, meaning propriety; this would mean to interpret something to be proper, it must meet certain associations we are expecting.[15] Things are proper when they match the *mythos* of a culture via a culture's associations. When the design fulfills this aspect, then it symbolically represents the culture. According to Vesely, this is when architecture becomes poetic. When architecture becomes poetry, it resonates through history as the cultural narrative.[16]

In order for architecture to have a poetic meaning to a culture, it must represent the ideals of that culture. It cannot be a globalizing architecture unless the culture is a global culture. This idea originates through a nationalistic movement in Britain under the leadership of designer theorists, such as John Ruskin. Ruskin wrote, "[a national architecture should be] under the architecture of the day, historical; and, second, to preserve as the most precious of inheritances, that of past ages."[17] From that moment, architects in Europe and the United States began seeking archetypes originating and representing their culture.

The Locus and Its Narrative

The search for architectural heritage unique and defining particular places is still evident in the twentieth century. Italian architect Aldo Rossi wrote a highly influential book back called *The Architecture of the City* emphasizing the attention to architectural elements defining the architecture's typology.[18] Essentially, as we move through the city we are aware of certain features around us that define a character of an area. He referred to this as the *locus*. The concept of locus comes from *genius loci*, which defines "the spirit of the place."[19] Rossi wrote:

> …the locus [is] a singular artifact determined by its space and time, by its topographical dimensions and its form, by its being the seat of succession of ancient and recent events, by its memory.[20]

The spirit is one of memory, which can also be considered the *mythos* of a place. The memory of the locus using the architectural elements of old and new, define the heritage of the culture. If multiple layers of architectural elements are present in one place, then the architecture informs numerous cultures through its memory. As these layers build up at the locus, a history of the site is recorded in the architecture. Certain layers are made prominent since the architecture maintains sensitivity to the past. Because the cultural tradition is intrinsic with the architect, the design brings forth into view qualities important to a culture's heritage and thus displays a cultural narrative. When architecture models and renders the *mythos*, the spirit and tradition of a culture, the architecture becomes monumental.

Monuments are the archetype for the cultural narrative. As Rossi describes:

> Beyond its historically determined existence, the monument has a reality that can be subjected to analysis; moreover we can design a monument. However, to do so requires an architecture, that is to say, a style.[21]

This is not to say the eclectic styles used during the nineteenth century apply to the concept of monuments. Even Ruskin did not propose eclecticism and revivals as the solution to his nationalistic challenge. As Ruskin argued, "It is, however, generally unwise, even in mere surface ornament, to surrender the power and privilege of variety which the spirit of…architecture admits."[22] In other words, Ruskin does not support the notion of applying ornament or adding to a design without first considering how the addition will make the project meaningful. In this way, monuments require a meaning for a culture to be considered symbolic. To become a physical reality, it is necessary that they use symbolic representation through the use of elements defining the locus. The elements can be observed but it is up to the architect to be able to interpret these elements in a modern context. Part of the cultural narrative is for contemporary design to be a description of what is important to our world, not the world of past centuries. The key is to find what is meaningful in our culture through observations guided by aspects such as associationism and typological studies. By using these ideas, architects can uncover the *mythos* of a culture and design new architecture that is a narrative of their society.

The Irish Farm

The Irish farm is an excellent example of Ruskin's search for nationalistic architecture and Rossi's typological studies of the locus. Ireland's building heritage originates in the Neolithic period; many of these structures, the beehive hut communities, can still be visited across the island and the Dingle Peninsula in particular.[23]

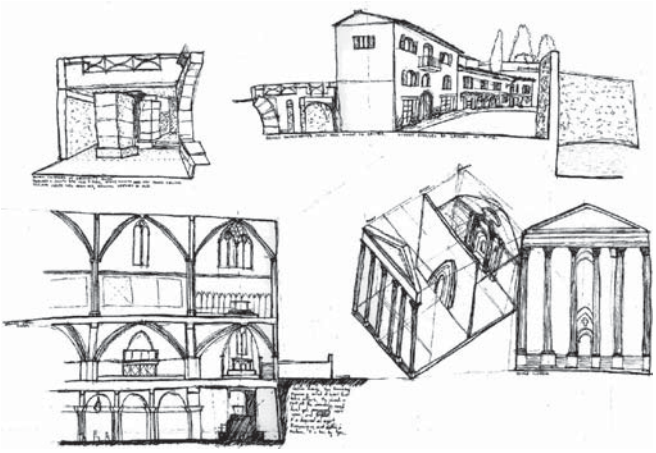
This building heritage beginning in the Neolithic period perpetuates to this day as a testament of the Irish culture. If we look at the plans of the beehive huts, we find an analogous system in contemporary Irish farm layouts. The beehive huts have a central chamber that served as the primary dwelling.

The Locus and Its Narrative

New wall on Roman foundation. Arezzo, Italy.
Note the Roman ruins reflected in the glass.

Top: Section of San Clemente, Rome.
Bottom: Wall elevation with Roman pieces exposed.

Roman ruins and a contemporary garden. Assisi, Italy.
Architect anonymous.

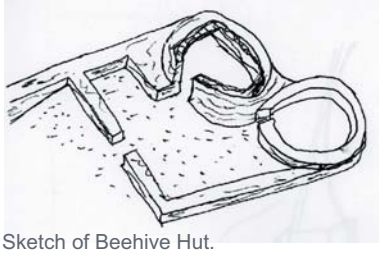


Layers of time in Assisi, Italy.
Top: Pieces of the Roman amphitheater.
Bottom Left: San Francesca, Right: Temple of Monrovia.

All images by author unless otherwise noted.

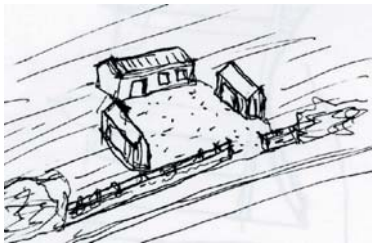
The Irish Farm

Neolithic Beehive Hut, Dingle Peninsula, Ireland.



Sketch of Beehive Hut.

Abandon Farm, Dun Quin, Ireland.



Sketch of Contemporary Irish Farm.

All images by author unless otherwise noted.

Next to the structure was a smaller hut that may have served as extra dwelling space, animal shelter, storage, or combination all three. In front of the structures is a yard protected by a stone wall. The yard served as a private outdoor space for activities that were protected from the rest of the village. This same dwelling structure appears throughout Irish history. If we look at an abandon farm in Dun Quin dating from the early nineteenth century, we find the house has transformed from a beehive to a form we typically associate with house, a two story building with a gable roof. Other than the physical form, the rest of the layout dates back to the Neolithic period; the masonry house, barn and yard are still surrounded by a stone wall. Farms dating from the twentieth century still carry on these same characteristics. Because the Neolithic farm carried such an impression upon Irish builders, we can argue that the beehive hut is the original symbol of the Irish farm, the primitive hut. The resonance of this mythical origin carries through the centuries of Irish tradition. This poetic resonance renders the traditional Irish farm layout a monumental piece of architecture and a narrative of their culture.

Memory in Italy

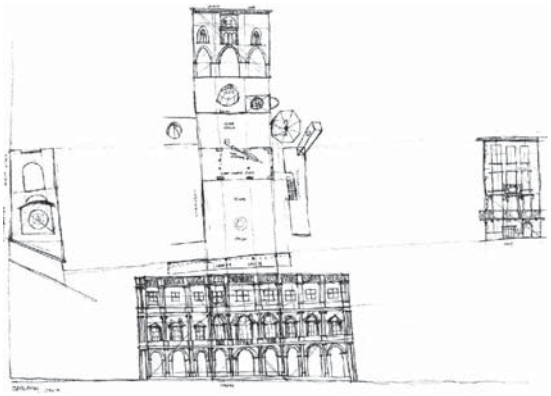
The Italian piazza is a unique element of Italian architecture and culture. This part of the city combines the pragmatic need to provide an open space with the city and allows moments demonstrating perspective or scientific interests Italians developed since the Renaissance. The use of perspective design led architects to develop "ideal" cities. One purpose of ideal cities is an attempt to bring harmony between the different functions of the city. In this way, the piazza of an ideal city serves as the confluence of the theological, theoretical, and pragmatic aspects of the city. The Piazza Vecchia in Bergamo is a fine example of the mediation of the various city forces. This piazza is formed by the merging of the church, the university, and city business and housing. One side of the piazza has small shops and homes, another side is the home for the town library, opposite of the library is the church gate, and between the church gate and library is the university. The focus of the piazza is the solar calendar. The church gate houses a solar calendar, which no doubt is part of the university's research in time and astronomy. Yet this calendar is also part of the floor of the piazza, so it is a public curiosity. This spectacle is not simply entertaining; it is a demonstration of the importance of time and the found in their culture. This piazza in Bergamo is one of many civic piazzas across Italy with various astronomical and horological instruments. Hence, timepieces and perspective organization are elements of Italian cities, just as the commonly associated church and palazzo. It is these types of elements that Rossi looks for when he designs architecture.

Rossi's civic building in Perugia demonstrates his ability to use urban elements as artifacts for a design. At first glance, the main building has two wings geometrically based on the square palazzos found in cities. Between the "palazzos" is the civic element of a colonnade with a clock placed in the pediment. In this project and many of his others, the forms and spaces are derived from an abstraction of typical urban conditions and features found in the city. Rossi's abstraction takes these elements to be symbolic. For instance, part of the civic building complex contains a smokestack from a factory previously existing on the site. On one level this can be considered an artifact Rossi meant to preserve as a monument to the history of the site, but Rossi's reason for preserving the stack is a much more politically symbolic element of the city. Rossi is designing a city with every building using such elements as palazzos, colonnades, and industrial artifacts. For Rossi, the smokestack is a symbol of the industrial section of the city. Hence on one level we can interpret the complex as abstractions of various buildings, on another level we can interpret a city of caste systems and political institutions. This is how Rossi's architecture is not a mere replication of an existing condition; it is a social and political statement of the city that is brought into the open rather than hidden within the culture.

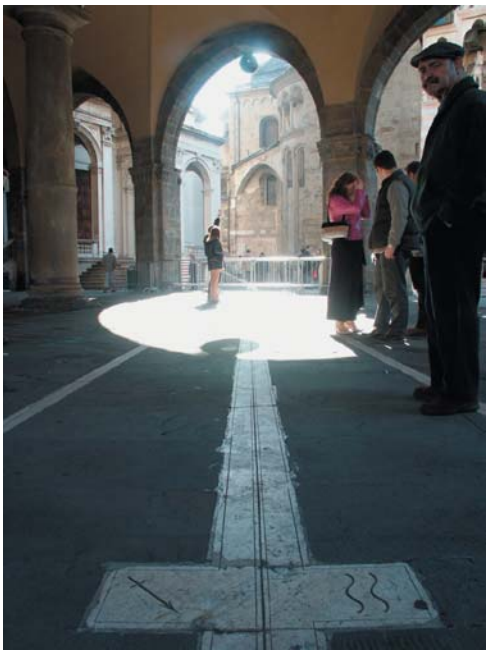
A smaller project by Carlo Scarpa demonstrates how simple this method of design can be. If we look at his memorial to the old gate for the Venice school of architecture, we will find a very simple design full of powerful meaning. Scarpa's design for a new gate specified that the old gate be preserved. It

Memory in Italy: Renaissance Piazza

View of an Ideal City. Anonymous. Walters Art Gallery, Baltimore, MD.



Sketch of Piazza Vecchia. Bergamo, Italy.



Bergamo Solar Calendar.

Parma Civic Timepieces. Parma, Italy.

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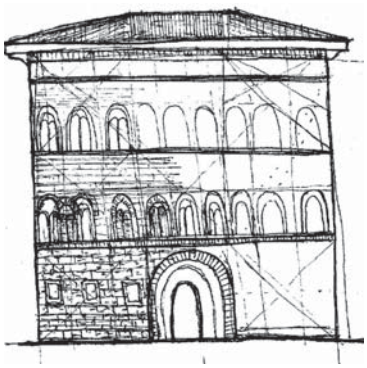
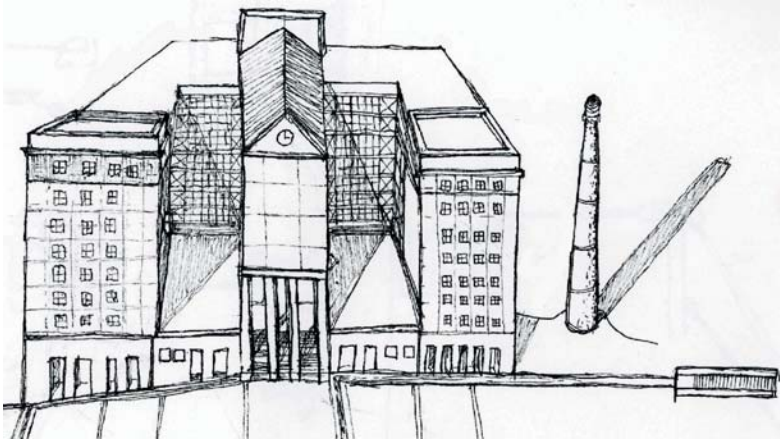
Memory in Italy: Rossi and Scarpa





Sketch of Florence Palazzo and Aldo Rossi's Civic Building in Perugia, Italy.
Note the similarity of the palazzo form and the wings of Rossi's building.

Old Gate to the School of Architecture, Venice, Italy. Carlo Scarpa.

All images by author unless otherwise noted.

lies down on the ground just as we would lay someone to rest. At the head of the gate is a tree, which we could interpret as a gravestone. Part of the gate rests within a pool of water, a material we often associate with as a mnemonic device. Scarpa designs the pool with his traditional cascading detail, but it has a unique effect if we remember that its location is Venice. I am convinced the cascade stepping of the pool comes from the steps that lead from the walking paths into the Venetian canals.[24] If we make this association, we can then further imagine the canal steps being covered an uncovered by water due to the tide. Hence the stepping of the pool can be viewed as a resurrection like the steps resurrecting from the canal in an ebbing tide. This simple design investigates the *mythos* of a culture's way of reflection and memory.

The Middle Landscape of the United States

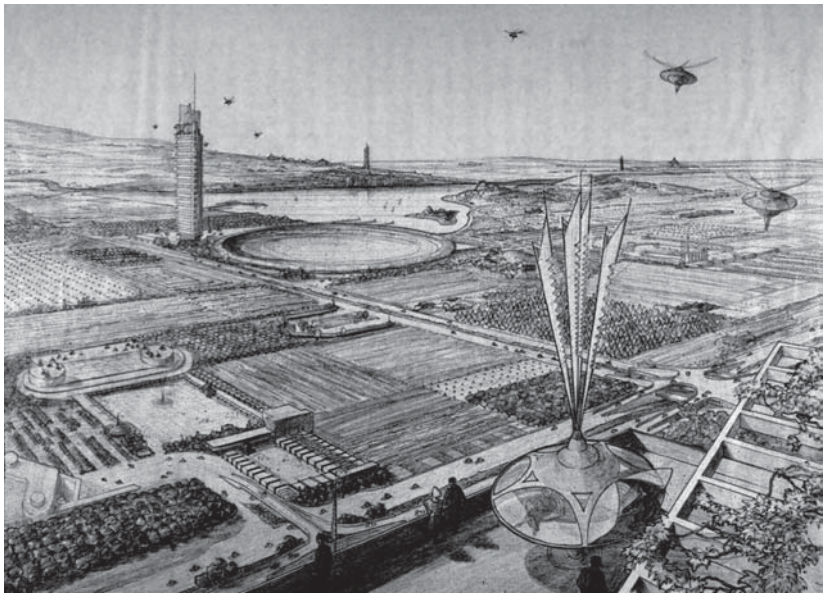
"Our architecture, like our culture, was transplanted and imposed on the land," laments architect W. G. Clark.[25] For Clark there is no traditional American architecture since all styles were imported from other places with no contextual relationship to the New World landscape.[26] This has been a concern with architects since the formation of the United States. Beginning with Thomas Jefferson we see an initiative to find an American approach to design. He saw American culture from his principles of individualism and democracy and that these principles also describe the expanse of the American landscape. As an ideal condition, the American landscape was seen as a Middle Landscape. This landscape seeks to balance conveniences of the urbanity of the city with the solitude and cleanliness of the countryside. From Jefferson onward, American architects sought architecture formulating the Middle Landscape and democratic principles.

Jefferson sought an architecture that would be symbolic of American society and culture, so it is no wonder that he sought architecture outside the influence of British design heritage. Although we can criticize that he simply imported Roman forms onto the American landscape, there is a certain symbolism and associations connected to these forms regarding American culture. He looked to Roman architecture since Rome was the first republic. The culmination of his built projects with regards to this association comes out at the University of Virginia in Charlottesville. There is reason to believe that the university is a model of American society.[27] At one level there is Jeffersonian belief in education being the very essence allowing a democracy to exist. On another level, there are the architectural conditions Jefferson designed in the layout of the university. The university is laid out on a grid just as the survey of the Northwest territories was handled according to Jefferson's instruction.[28] At the head of the university is the library, the Rotunda, which breaks from the British tradition of a church. Jefferson wanted it quite clear that the focus of an academic village was the library and the pursuit of education. Flanking the library are the dependencies for community life: housing. Each professor's house, known as a pavilion, also has a garden behind it. The faculty were considered gentleman farmers living off the land, another Jeffersonian vision of America and the Middle Landscape. Between the pavilions is student housing, allowing the faculty and students to be a part of a village, an attempt to disregard a caste system. Finally, the Lawn was originally open at the end opposite the Rotunda to allow for views of the mountains and make a connection between the ordered landscape of the university with the chaotic landscape beyond. There is one other interpretation I would like to pose with this opening. Since it faces southwest, it is conceivable to think that this layout also directs you towards the concept of westward expansion and the outlook of a new horizon in a similar fashion Jefferson saw in the Louisiana Purchase.

A further development of Jefferson's academic village is Frank Lloyd Wright's Broadacre City.[29] In this theoretical project, Wright proposed a democratic society where everyone in America received an acre of property to call his or her own to follow in the tradition of the American Middle Landscape. Wright's solution to this ideal contained all the aspects necessary for a community: schools, stadiums, offices, and housing with gardens. It was also a model without boundaries allowing for infinite expansion across the landscape. To some degree, this model is present in American society today as the suburb.

The American Middle Landscape

The University of Virginia. Charlottesville. Thomas Jefferson.



Broadacre City. Frank Lloyd Wright. Drawing by Taliesin Fellowship.

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We tend to dwell on the negative aspects of the suburb, such as the sprawl and the decline of our inner cities, but it is nonetheless an integral part of American culture. As an ideal, Wright's Broadacre City is a successful realization of the Middle Landscape and the American suburb since we continually wish to inhabit that landscape.

The Power of the Cultural Narrative

As W. G. Clark stated, "We want our things, like those of the civilizations we admire, to form an allegiance…so strong that our existence is seen as an act of adoration, not an act of ruin."[30] Yet, we seem only concerned to make things attractive to what is in vogue rather than what is significant to our way of life. We seek scenographic architecture for quick thrills and meaningless amusement. Our interest in technology allows this method of design to be an easy solution to architecture.

This is not to say we must avoid technology and new construction methods. They are a part of our culture just as masonry and hand tools of Neolithic times. It is just as important for us to make our mark in architecture as those other cultures, but the only way the mark will be preserved is if it is done in a meaningful way. The use of new technology should not overpower the design but aid the design. It offers the ability to design architecture that could not be done before, but it cannot replace the human intentions and expressions of the design. Symbolism stirs our emotions and imaginations. Symbolic representation, not entertaining signage, is what we aim for to enlighten us about our world.

We have seen how contemporary designers approach cultural inquires developed long ago. There is an interest and precedent for this method of design enabling it to be a reasonable approach for the twenty-first century. It is through the understanding of typology and *mythos* that allow us to seek the essentials of a culture. This study enables architects to see symbolic forms found in cultures and design architecture respecting those forms for meaningful places. It is an architecture seeking who we are, who we were, and who we will be. By analyzing our society, we can attempt to answer through our architecture our position today in the world of science, technology, philosophy, and memory. When designing with these considerations, the resulting architecture will enlighten us for all time. This is the power of architecture being a cultural narrative.

Endnotes

[1] Robert Venturi, *Learning from Las Vegas*. MIT Press: Cambridge, 1977, 131.

[2] John Ruskin, *The Seven Lamps of Architecture*. Dover Publications: New York, 1989, 183.

[3] Ernst Cassirer, *Essay on Man*. Yale University Press: New Haven, 1944, 222, 225.

[4] Ibid. 219.

[5] Northrop Frye, "The Koine of Myth: Myth as a Universally Intelligible Language," *Myth and Metaphor*. Robert D. Denham, ed. University Press of Virginia: Charlottesville, VA. c. 1988, 4.

[6] Joseph Ryckwert's book *On Adam's House in Paradise* goes into much greater detail of the various versions of the primitive hut than what I shall discuss. I only offer this story as an example of an architecture myth in Western culture.

[7] Vitruvius, *The Ten Books on Architecture*. Trans. Morris Hickey Morgan. Dover Publications: New York, 1960, 38-41. The following is a brief synopsis of Vitruvius' story.

[8] Leon Battista Alberti, *On the Art of Building in Ten Books*. Trans. Joseph Ryckwert, Neal Leach, Robert Tavernor. MIT Press: Cambridge, 1999, 7-8.

[9] Marc-Antoine Laugier, *An Essay on Architecture*. Trans. Wolfgang and Anni Herrmann. Hennessey & Ingalls: Los Angeles, 1977, 12-13.

[10] Gottfried Semper, *The Four Elements of Architecture*. 102-103.

[11] Le Corbusier, *Towards a New Architecture*. Trans. Frederick Etchells. Dover Publications: New York, 1986, 69-72.

[12] Dalibor Vesely, "Architecture and the Poetics of Representation," *Daidalos* #25, Sept. 15, 1987, 32.

[13] John Locke, *Essay on Man.*

[14] Gadamer, "Relevance of the Beautiful, " *Relevance of the Beautiful and Other Essays*. 36.

[15] Vesely, "Architecture and the Poetics of Representation." 32.

[16] Poetry and resonance from a conversation with Prof. Scott Gartner. Virginia Polytechnic Institute and State University.

[17] Ruskin, *The Seven Lamps of Architecture*. 178.

[18] Aldo Rossi, *The Architecture of the City*. MIT Press: Cambridge, 1999, 35-41.

[19] Lecture by Mark Schneider, Ph.D. on the Greek Acropolis. *History of Architecture Part I*, Virginia Polytechnic Institute and State University. Fall Semester 2001. This is also mentioned in Rossi's book, *The Architecture of the City.*

[20] Rossi, *Architecture of the City*. 103.

[21] Ibid. 126.

[22] Ruskin, *Seven Lamps of Architecture*. 183.

[23] To my knowledge, no one has made the comparison of the Irish beehive hut structure to the contemporary Irish farm. The connection is being made through my observations on location.

[24] To my knowledge, no one has written about this connection. The connection is being made through my observations on location.

[25] W. G. Clark, "Lost Colony," *Clark and Menefee*. Ed. Richard Jensen. Princeton Architectural Press: New York, 2000, 14.

[26] Ibid. 14-16.

[27] The notion that the University of Virginia as a model of American society is from Prof. Scott Gartner's *Ideals of American Architecture* course, Virginia Polytechnic Institute and State University.

[28] Jefferson chaired the survey of the Northwest territory. It was under his influence that the territory was laid out on a grid system, which has impacted town and city layout west of the Appalachians to this day.

[29] The proposition of Wright's Broadacre City and the Middle Landscape is also from Prof. Scott Gartner's *Ideals of American Architecture*course. I am making the statement of claiming it is a successful *ideal* in America culture.

[30] W. G. Cark, "Replacement," *Clark and Menefee*. 10.

Title of Submission: **"**Samuel Ajayi Crowther: A Recaptive of the Atlantic Slave Trade "

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Abstract of Paper

Scholarly works on the history of the Atlantic slave trade, slavery and abolition abound, but studies of those Africans whose voyage to slavery in the Americas ended in a journey to freedom on the Atlantic coast of West Africa has received little attention. Known as recaptives or rescued slaves, these Africans never completed the middle passage to enslavement in the Americas, but their story forms an integral part of the general history of the Atlantic world. Studying this aspect of the Atlantic slave trade promises to shed greater light on the history of the slave trade, slavery and freedom in the Atlantic world.

The abolition of the Atlantic slave trade during the early nineteenth century led not to an immediate cessation of the human trade across the Atlantic; not until decades of anti-slave trading patrolling of the West African coast by nations such as Great Britain did an appreciable drop in the trade occur. Anti-slave squadrons faced problems that seriously challenged their ability to end the illegal trade: not all nations granted permission for their ships to be searched and, because initially only ships caught with slaves on board could be seized, the squadrons had to wait for the trade to occur. Capturing a slave ship full of slaves raised the question of what to do with the rescued men and women; freedom was granted to such rescued slaves, but the resettling of the recaptives proved challenging. The solution lay not in returning the ex-slaves back to their original homeland and to possible re-enslavement, but in settling the recaptives in the British colony of Sierra Leone.

This paper looks at the story of one such recaptive, Samuel Ajayi Crowther. Rescued from slavery, Crowther settled in the Sierra Leone colony, received his freedom and western-style education, converted to Christianity, and later returned as a missionary to his native land, Nigeria. By his death in December 1891, Crowther had lived the lives of a domestic slave in Africa, a recaptive slave in Sierra Leone, a teacher, an explorer, a missionary, an agent of British imperialism, and the first African bishop of the Anglican Church in West Africa. His story has much to tell us about the history of slave trading, slavery, and freedom in the Atlantic world.

Born c.1806, Samuel Ajayi Crowther, a Yoruba (an ethnic group in present day Nigeria), lived an uncommon life. Rescued from slavery and resettled in Sierra Leone, Crowther received a formal education, converted to Christianity, and returned as a missionary to his native land, Nigeria. By his death in December 1891, Crowther had lived the lives of a domestic slave, a rescued or recaptive slave, a teacher, an explorer, a missionary, an agent of British imperialism, and the first African bishop of the Anglican Church in West Africa. His varied experiences provide a lens through which to view an important aspect of the Atlantic slave trade system, the story of the recaptives: those enslaved Africans who were rescued, liberated, and resettled on the West African coast.

Crowther=s story transcends the immediate world of the recaptives; it sheds light on the history of the Atlantic slave trade and its abolition, the return to Africa of freed African Americans, the spread of Christianity in West Africa, and the imposition of European colonial rule on Africa. Through it all, Crowther=s life experiences became inextricably intertwined with British policies in West Africa. His rescue from a lifetime of slavery in Brazil came by virtue of British antislavery patrols, while British government policies and the activities of British missionary societies made possible his resettlement, education, and missionary training. In turn, in his roles as educator, missionary, explorer, and supporter of British imperialism, Crowther promoted British policies and interests in West Africa.

From Early Childhood to Enslavement

Crowther=s capture and enslavement in March 1821 occurred years after Great Britain, the United States, and the major slave trading nations of Europe had either

outright abolished or imposed severe restrictions on the Atlantic slave trade. Crowther=s enslavement in the post-slave trade abolition era was not unique. The enactment of anti-slave trade laws by the major slave trading nations did not lead to an immediate cessation or even a sharp drop in the Atlantic slave trade; the buying and selling of slaves within Africa remained legal while an illegal trade in slaves to the Americas continued well into the mid nineteenth century. Insatiable demand for slave labor, particularly in the plantation economies of Cuba and Brazil, fuelled this illegal trade in slaves. The rise of coffee cultivation in BrazilCthe destination to which the slave ship carrying Crowther was headedCsustained the demand for slave labor into the 1870s.[i]

The plantation economies of the Americas kept the demand for African slaves high, while incessant wars in Africa produced war captives to feed this demand. Though unintended, the religious and political revolutions that swept through West Africa during the opening decades of the nineteenth century sharply increased the number of victims available for sale as slaves. The Fulbe jihads spread Islam in northern Nigeria, but the jihad wars also created chaos and anarchy that spread far and wide. Persons and states seeking to escape the reach of the Fulbe jihads migrated southward. The Oyo Empire, which lay to the south of the epicenter of the Fulbe jihads, bore the full brunt of these political and religious upheavals. Long weakened by internal dissension, the Oyo Empire failed to survive the additional pressure caused by the Fulbe jihads. Oyo=s collapse and its subsequent breakup into smaller Yoruba states triggered three-quarters of a century of internecine warfare among the competing Yoruba states. Lacking a strong central power to hold them together, the Yoruba states degenerated into a period of civil wars that did

not abate until the 1890s.[ii] Ultimately, the Fulbe jihad wars and the Yoruba civil wars produced a mass of war victims who were absorbed into the African domestic slavery system, or sold into what was then the illegal Atlantic slave trade to the Americas.

The cumulative impact of the high demand for slaves in Brazil and elsewhere and the upheavals caused by the Fulbe jihads and the Yoruba civil wars set the stage for the enslavement of Crowther and many others. In his writings, Crowther displayed a remarkable knowledge of the historical events behind his enslavement:

> For some years, war had been carried on in my Eyo Country, which was always attended with much devastation and bloodshed; the women, such men as had surrendered or were caught, with the children, were taken captives. The enemies who carried on these wars were principally the Oyo Mahomedans, with whom my country aboundsCwith the Foulahs [Fulbe], and such foreign slaves as had escaped from their owners, joined together, making a formidable force of about 20,000, who annoyed the whole country. They had no other employment but selling slaves to the Spaniards and Portuguese on the coast.[iii]

Without doubt, his capture and enslavement in his hometown, Osogun, Nigeria in 1821, left an indelible mark on him. Writing in 1837, a decade and half after his capture, Crowther vividly recalled how his earlier life of Aenjoying the comforts of father and mother, and the affectionate love of brothers and sisters,@ abruptly changed into the painful experience of slavery. Many in his family and in his hometown suffered a similar fate:

> Here a most sorrowful scene imaginable was to be witnessed!Cwomen, some with three, four, or six children clinging to their arms, with the infants on their backs, and such baggage as they could carry on their heads, running as fast as they could through prickly shrubs, ... While they found it impossible to go along with their loads, they endeavoured only to save themselves and their children: even this was impracticable with those who had many children to care for. While they were endeavouring to disentangle themselves from the ropy shrubs, they were

> overtaken and caught by the enemies with a noose of rope thrown over the neck of every individual, to be led in the manner of goats tied together, under the drove of one man. In many cases a family was violently divided between three or four enemies, who each led his away, to see one another no more. Your humble servant was thus caught—with his mother, two sisters (one an infant about ten months old), and a cousin—while endeavouring to escape in the manner above described.[iv]

Compounding his grief and anxiety over the loss of his personal freedom, was the severing of all ties with family and friends. The painful images of being separated from his father, grandmother, and other family members and friends remained with him for a long time; no wonder he described the day of his capture as the "unhappy day . . .in which I was violently turned out of my father's house, and separated from relations; and in which I was made to experience what is called to be in slavery."[v] Worse awaited Crowther for this initial separation was only the first of many; almost immediately following his capture, he fell into a cycle of being sold and resold every couple of months.

Illustrative of the anarchy created by the Fulbe jihads and the Yoruba wars, two groups of Muslims, Yoruba and Fulbe, contested over the division of the war captives in Osogun. Yoruba Muslims initially captured Crowther and his family, but Fulbe Muslims hoping for a share of the slave captives, shortly thereafter attacked the Yoruba Muslims. The struggle ended with a further separation of Crowther and his family: his young cousin was seized and taken away by the Fulbe Muslims, while the remainder of his family remained in the hands of the Yoruba Muslims. Next, the Yoruba Muslims marched Crowther and the other slave captives northward to the town of Iseyin, where another separation of his family took place. His Yoruba Muslim captors presented some

of the slave captives, Crowther among them, as tribute to their chief at Iseyin, while the remaining slave captives, including Crowther=s mother and infant sister, were kept by the Yoruba Muslims. Crowther=s sorrow at the break up of his family continued without remission; later that very day, his third incidence of separation occurred when he was bartered for a horse! Recalling the incident, he writes, AThus was I separated from my mother and sister for the first time in my life; . . . in the space of twenty-four hours, being deprived of liberty and all other comforts, I was made the property of three different persons.@ Within two months, a fourth change of masters and a move to a new residence took place: the Chief, not finding the horse to his liking, returned it, redeemed Crowther and, shortly thereafter, moved from Iseyin to the town of Dada. The move to Dada proved bittersweet: Crowther was reunited with his mother and a sister, but his joy proved fleeting. Barely three months later, he was soldCthe fifth since his captureCto a group of slave traders bound southward to the town of Ijaye. The reselling of Crowther continued with little pause, he was sold four additional times before his final sale to the Portuguese in December 1821.[vi] Beginning with the day of his capture in March 1821 to his rescue on 7 April 1822 by the British antislavery squadron, Crowther became the slave property of ten different owners.

During the nine months of his enslavement in the interior, Crowther often dreamed of escaping, but he abandoned such plans as futile. The political and social situation in his homeland limited his chance for a successful escape. Jihads and civil wars in Yoruba land had rendered the landscape perilous; fearing an escape from one owner would only lead to enslavement by another, Crowther discarded the idea of running

away. Ending his enslavement through suicide occurred to him as well. On one occasion, his plan to Aleap out of the canoe into the river, when we should cross it in our way to that country,@ was thwarted by his owner who, suspecting Crowther of such a plan, decided to sell him. Crowther made several attempts at self-strangulation, but he aborted all those plans because Ahe had not courage enough to close the noose tight, so as to effect my purpose.@[vii]

Months of enslavement in the interior, coupled with the rapid changing of owners and residences, had so conditioned Crowther to his slave status that by the time he was brought to the coastal city of Lagos in December 1821, he counted himself as Aa veteran in slavery,@ and holding Ano more hope of ever going to my country again, I patiently took whatever cameY.@ Crowther seemed to have resigned himself to his fate as a slave, but his decision did little to diminish his fear of the unknown. The large city of Lagos presented new and unfamiliar sights that greatly heightened his anxiety level. AThe sight of the river [Lagos lagoon], Crowther reports, Aterrified me exceedingly, for I had never seen any thing like it in my life.@ Possibly, the most traumatic event for Crowther was his first sight and encounter with a white person. His early childhood life in the interior sharply reduced the likelihood of any chance meeting with whites for until the mid nineteenth century, European traders and missionaries typically based their operations in the coastal cities and towns and rarely sought to penetrate the interior. Not having seen or met any whites before his arrival in Lagos, Ait was not without a great fear and trembling,@ Crowther remembers, Athat I received, for the first time, the touch of a White Man, who examined me whether I was sound or not.@[viii]

Rescue from Slavery

The selling of Crowther to the Portuguese traders in Lagos occurred in December 1821, but not until 7 April 1822 did his new owners attempt to depart the West African coast for their destination in Brazil. The decision to delay the date of departure was made not because of weather or sailing-related problems; rather, the fear of antislavery patrols seizing both the ship and the slaves on board dictated this action. Aware that his nation had entered into a series of treaties with Britain permitting the search and seizure of Portuguese-owned ships illegally carrying slaves from Africa, the captain of the slaver, Esperanza Felix cautiously waited until such time as he deemed it safe to depart with his illegal load of slaves.

The captain=s fears were well founded. Along with the abolition of the Atlantic slave trade in 1807, Britain also set up mechanisms for enforcing the ban: an anti-slavery squadron to patrol the coast of West Africa in search of illegal slave trading, the trial in Admiralty Courts or Courts of Mixed Commissions of suspected slavers and, if found guilty, the seizure of such ships and the emancipation of the slaves on board.[ix] During the Napoleonic wars, a weakened Portugal that relied heavily on the British government for defense, acquiesced in a series of Anglo-Portuguese antislavery treaties. In the Anglo-Portuguese treaty of 1810, Portugal agreed to restrict its slave trading activities on the African coast to areas under Portugal=s influence, specifically to those areas lying Awithin the African dominions of the Crown of Portugal.@ Two treaties signed in 1815 placed moral force and economic restrictions on Portuguese slave trading activities in West Africa. In the Anglo-Portuguese Treaty of January 1815, England forgave

Portugal=s war debt in exchange for Portugal=s agreement to restrict its slave trading activities to south of the equator and permission for Britain to enforce the agreement. The following month, Portugal joined other European nations at the Congress of Vienna in the signing of a declaration that condemned the Atlantic slave trade as Arepugnant to the principles of humanity and universal morality.@ However, the declaration fixed no firm date for the abolition of the slave trade; rather, each nation retained the right to decide when. Two years later, the 1817 Anglo-Portuguese agreement affirmed the prohibition against Portuguese slave trading north of the equator and granted Britain the right to search Portuguese ships suspected of illegally trading north of the line. The treaty subjected ships caught carrying illegal slaves to seizure and trial in the Court of Mixed Commissions, one of which, and indeed the most active one, was based in Sierra Leone.[x]

Beginning in the 1820s, Britain intensified its efforts to suppress the Atlantic slave trade by signing new and more effective antislavery treaties with the nations of Europe and boosting its patrols on the West African coast.[xi] Offering financial rewards to captains and crews of the antislavery patrols also assured that the task of suppressing the slave trade would be conducted with zeal. Opposition to the Atlantic slave trade may, in part, have guided the actions of the antislavery squadrons, but financial rewards provided a powerful incentive. Captains and crew of antislavery patrols stood to gain substantial prize money for captured and liberated slaves: a recaptured slave child carried a bounty of ,10, an adult female slave brought in ,30, while an adult male recaptive fetched a bounty of ,60.[xii]

The purchasing of Crowther and other slaves in Nigeria, an area that lies north of the equator, clearly violated the terms of the Anglo-Portuguese treaties. With the weight of these treaties against him and believing that he had eluded the British anti-slave patrols operating in the area, the captain of the Esperanza Felix set sail on 7 April 1822. On board were Crowther and another 186 slaves destined for a life of slavery in Brazil. The Esperanza Felix never made it past the coast of West Africa. On the same day it set sail, and while still within sight of Lagos, two British antislavery patrol ships, the H.M.S. Iphigenia and H.M.S. Myrmidon, captured her, seized the ship, and dispatched the captain and crew for trial in the Court of Mixed Commission sitting in Sierra Leone. To the same colony were sent the slaves aboard the Esperanza Felix to await the outcome of the trial: a decision against the captain would spell freedom for them.[xiii]

The capture of the Esperanza Felix brought freedom to Crowther and his fellow captives, but this was not immediately apparent to them. Lacking the necessary information to draw any reasonable conclusions regarding their new fate, they felt no relief when the antislavery patrols captured the Esperanza Felix. Indeed, the recaptured slaves concluded that it was a simple exchange of one slave owner for another: Awe were surprised by two English men-of-war,@ Crowther narrates, Aand on the next morning found ourselves in the hands of new conquerors, whom we at first very much dreaded, they being armed with long swords.@[xiv] The crew of the antislavery patrols fed the hungry recaptured slaves, but did a poor job of allaying the fears of the recaptives. In preparation for their transportation to Sierra Leone, the antislavery patrol crew split up Crowther and his fellow slaves Ainto several of the vessels around us,@ but still ignorant

of their new good fortune, the separation became the Acause of new fears, not knowing where our misery would end.@ Still unaware that the rest of the recaptives had boarded other ships en route to Sierra Leone, it is understandable why Crowther and the five-recaptive slaves placed on the Myrmidon concluded that the British had slaughtered the remaining recaptives and dressed their flesh as meat:

> We soon came to a conclusion of what had become of them, when we saw parts of a hog hanging, the skin of which was white-a thing we never saw before; for a hog was always roasted on fire, to clear it of the hair, in my country; and a number of cannonshots were arranged along the deck. The former we supposed to be the flesh, and the latter the heads of the individuals who had been killed for meat.

Mixed in with these hard times of uncertainties were a few opportunities for Crowther to exact revenge on his Portuguese enslaver. Finding the captain of the Esperanza Felix detained on the same ship as himself, Crowther Ahad the boldness to strike him on the head,@ but later in life, as an adult and a Christian, he rued his action, characterizing his behavior as: Aan act, however, very wicked and unkind in its nature.@[xv]

The journey to freedom in Sierra Leone was not without risk. For the two months it took to complete the journey, the rescue ships run into many difficulties, including the sinking of one of the transport ships and the attendant loss of the lives of 102 recaptives. On 17 June 1822, fifteen months after his initial capture and enslavement in Osogun, Crowther and the surviving members of the recaptured slaves arrived in Sierra Leone to begin their new lives as free persons.[xvi]

Residence in the Sierra Leone Colony:

Sierra Leone, the colony to which Crowther and the other recaptives were taken, was an outgrowth of the abolition movement. Sierra Leone served as the catch basin for resettling freed slaves from all over the Atlantic World. To Sierra Leone came a diverse group of manumitted slaves from the United States (Black Loyalists), maroons from Jamaica, poor free blacks from England, and the thousands of slaves seized by the antislavery squadrons patrolling the coast of West Africa.

The first freed slaves to settle the Sierra Leone colony came by way of England. In the closing decades of the eighteenth century, the free black population of England rose sharply, in part, the result of the Mansfield decision (1772) freeing James Somersett and clearing the path to freedom for other slaves in England. Helping to swell the free black population of England were those American slaves who, after being freed by the British during the American Revolution, chose to live as free persons in England. Creating meaningful lives in England proved challenging for many free blacks; often, they faced extreme poverty. Soon, the plight of these poor blacks in England came to the attention of humanitarians, business leaders and the English government. In 1786, a group of businessmen, led by Jonas Hanway, formed the Committee for the Relief of the Black Poor. Humanitarians like Granville Sharp, and an English government unwilling to bear the financial burden of caring for the black poor, joined the Committee to sponsor resettlement of the black poor of England in Africa.[xvii] In 1787, their efforts led to the creation of the Province of Freedom, with a charter for settling the black poor of England in West Africa.

A key supporter of the plan to settle free blacks in Sierra Leone was the ex-slave, Olaudah Equiano. Like Crowther, Equiano also hailed from Nigeria, and was sold into slavery in the Americas. Enslaved in1755, Equiano obtained his freedom in1766, published an autobiographical account of his enslavement in Africa and his experiences as a slave in the Americas in 1789, and worked diligently to aid the antislavery movement.[xviii] Appointed Commissary on the Committee for the Black Poor, Equiano was placed in charge of purchasing and stocking the necessary supplies for the resettlement effort. He enjoyed good relations with the prospective poor black settlers, but his relationship with certain white members of the venture deteriorated. He was dismissed from his position shortly before the first settler group left for Sierra Leone.[xix] Despite his differences with the Committee, Equiano continued to support other efforts at abolition and resettlement.

Initially, over 450 settlers, including 60-70 white women—whose status scholars have variously described as wives, companions, prostitutes—departed England for Sierra Leone in April 1787. Death and escapes pared down the number who on 9 May 1787 disembarked in Sierra Leone to 377.[xx] A second group of settlers, thirty-three of them, set sail for Sierra Leone in June 1788. Death, desertion and the decision by some to settle elsewhere whittled the original number down to only twenty arrivals in Sierra Leone. Not long after, the Province of Freedom was disbanded: ill planning, lack of money, petty jealousies and squabbles, and conflicts and wars with the local people combined to defeat this venture. Some settlers dispersed to other parts of West Africa; other settlers were victimized a second time and re-enslaved; but surprisingly, others joined the lucrative

trade in slaves by becoming buyers and sellers of Africans into the Atlantic slave trade. By December 1789, the Province of Freedom had ceased to exist.[xxi]

The failure of this first venture for resettling freed slaves in West Africa did not completely destroy interest in such a plan; the ideals behind it received new life with the founding of the Sierra Leone Company in 1791. Included on its Board were abolitionists and humanitarians like Granville Sharp, Thomas Clarkson, and William Wilberforce, but the majority of the Board represented commercial interests. While not eschewing the eradication of the Atlantic slave trade, the Company placed greater emphasis on its commercial goals. Promoting commercial interestsCmarketing English goods in Africa while Africans produced raw materials for Europe=s industriesCwas seen as benefiting all: a good return on investors= money, while at the same time eradicating the slave trade by introducing Alegitimate@ or alternate trade goods to counter the immoral trade in human beings. Additionally, it was hoped that by encouraging the spread of the Christian message in West Africa, that the hearts and minds of Africans would be turned against the trade in slaves.[xxii]

Under the sponsorship of the Sierra Leone Company, fifteen ships carrying about 1,200 free blacksCfreed by the British during the American Revolution and subsequently resettled in Nova ScotiaCset sail from Nova Scotia to the Sierra Leone settlement. The first of the fifteen ships arrived in Sierra Leone in 28 February 1792 and the last docked on 7 March 1792. In 1800, 550 maroons (runaway slaves) that the British had deported from Jamaica in 1795, and subsequently resettled in Nova Scotia, chose to join the African American settlers in the Sierra Leone colony.[xxiii]

Financial problems plagued the Sierra Leone Colony, but it did not disband. Britain=s abolition of the Atlantic slave trade and its decision to enforce the ban against the trade added new importance to the Sierra Leone Colony. In August 1807, the British government took over the running of the colony, turning Sierra Leone into the nerve center for the suppression of the slave trade on the coast of West Africa.[xxiv] Sierra Leone housed the Admiralty Court and the Court of Mixed Commission and, served as a haven for recaptives and former slaves from the Americas.

Missionary groups looking for a base to set up operations in West Africa soon arrived in the Sierra Leone Colony. The Church Missionary Society (CMS), founded in 1799, started its missionary operations in Sierra Leone in 1804. Its initial missionary work in Sierra Leone almost unraveled when Peter Hartwig, one of the two German missionaries sent by the CMS to spread Christianity to Africans, left the organization to become a slave trader! Fortunately, the other CMS agents proved equal to their missionary tasks of educating and preaching to the Africans in the colony. Finding a sufficient number of European missionaries to work in Africa proved problematic for the CMS and other missionary associations. The very high death rate for whites in West Africa created a chronic shortage of European agents. To alleviate this problem, the CMS established a number of schools in Sierra Leone to train Africans, especially the recaptives, to undertake the missionary work of educating and preaching the gospel in Africa.[xxv] The recaptive Samuel Crowther became a beneficiary of this educational program.

When in June 1822, Crowther and his fellow recaptives were brought to Sierra Leone, they not only joined a world of freed slaves from all over the Atlantic world, but entered a colony where the education and much of the social work remained in the hands of missionaries, while political control was administered by the British government. Thanks to the CMS, Crowther=s residence in Sierra Leone opened the door to a new life that included the benefits of western-style education, Christianity, and training as a missionary. The irony of the situation did not escape Crowther=s notice: his enslavement, though a bitter experience, had paved the path to a better future! In his words, he reveals how keenly aware he remained of this paradox:

> Thus much I think necessary to acquaint you of the kindness of Providence concerning me. Thus the day of my captivity was to me a blessed day, when considered in this respect; though certainly it must be unhappy also, in my being deprived on it of my father, mother, sisters, and all other relations.[xxvi]

Crowther began his formal education shortly after his arrival in Sierra Leone, continued it in Islington, England during 1826-27, and upon his return to Sierra Leone in 1827, enrolled in the newly founded Fourah Bay School. In 1827, the CMS established Fourah Bay to provide higher education and train the recaptives to serve as missionaries in West Africa. Crowther was the first student to enroll at this institution that soon became one of the premier institutes of higher learning in West Africa. Following his graduation, Crowther worked as a teacher, including a stint at his alma mater. Crowther received further training in Islington, England and was ordained as a minister in 1843.[xxvii]

Niger Expeditions

In 1841, 1854, and 1857 Crowther accompanied a mixed group of CMS agents, European traders, scientists, adventurers, and representatives of the English government on expeditions up the Niger River. Underlying these expeditions was the belief that through the introduction of Christianity, the promotion of Alegitimate@ trade, and the bringing of Acivilization@ into the interior the slave trade and slavery would be eradicated. A key advocate of these ideas was the evangelical and antislavery proponent, Thomas Fowell Buxton. Buxton laid out these ideas in his book, The African Slave Trade and its Remedy (1839). To this end, Buxton successfully lobbied the British government to sponsor an expedition that would open up the Niger River as a gateway into the interior of West Africa. The CMS participated in this 1841 expedition, sending two agents: Rev. J.F. Schön and Samuel Ajayi Crowther to establish Christian missions along the Niger.[xxviii]

The 1841 expedition proved deadly for the European explorers. One by one, the three ships turned back as malaria decimated the European explorers on the expedition: ninety percent of the European explorers fell prey to malaria, about thirty percent of this number perished from the disease.[xxix] Crowther and most of the Africans on the expedition fared relatively well; indeed, Crowther took the opportunity to study the local people and the landscape and used the information to write a detailed journal account of the expedition. Impressed with his performance, the CMS decided in 1842 to sponsor Crowther for further studies in Islington, and in so doing prepared the way for his ordination in 1843.[xxx]

As with the 1841 expedition, trade, the spread of Christianity, and the abolition of the slave trade lay behind the 1854 and 1857 expeditions up the Niger. Again, Crowther accompanied these expeditions as a CMS agent. The 1854 and 1857 expeditions proved successful, the use of quinine on these expeditions eliminated the incidence of death through malaria. Both expeditions led to the expansion of commerce, the spread of Christian missions, and encouraged the emigration of recaptives from Sierra Leone back to their homeland in Nigeria.[xxxi]

Ministering for the CMS:

In 1845, Crowther=s slave odyssey came full circle: he returned to the land of his birth. But this was no simple return of a recaptive coming home: the young boy who was forced to leave home a slave, returned as a free man and an ordained priest charged with delivering the Christian message to his native land. On a personal note, his return also marked a renewal of some of the family ties that his enslavement had severed: in 1846, he was reunited with his mother and several of his siblings.[xxxii]

Crowther was the best known of the recaptive missionaries operating in Nigeria, but he was not the first; other Yoruba recaptives had already prepared the landscape before the advent of Crowther=s missionary work. The recaptives in Sierra Leone came from all over West Africa, but because of the Yoruba wars, recaptives of Yoruba background were the overwhelming majority.[xxxiii] Increasingly, thoughts of establishing trade and missionary contacts with their original homes began to occupy the minds of many Yoruba recaptives in Sierra Leone. In April 1839, sixty-seven Yoruba recaptives embarked on the Queen Victoria, a ship purchased by three of the recaptives, and set sail

for Badagri (in Nigeria).[xxxiv] The journey, they hoped, would mark the beginning of a future filled with trade contacts, the spread of Christianity, and the abolition of the slave trade and slavery in their homeland. Upon returning to Sierra Leone, the recaptives vigorously lobbied the British government for help in founding a British-controlled colony in Badagri. In a petition dated November 1839, twenty-three Yoruba recaptives petitioned Governor Richard Doherty of the Sierra Leone colony for permission:

> to establish a colony to Badagri that the same may be under the Queen=s Jurisdiction and beg of her Royal Majesty to send missionary with us and by so doing the slave trade can be abolished, because the dealers can be afeared to go up to the said place so that the Gospel of Christ can be preached throughout our landY.[xxxv]

The British government denied the petitioners= request, but this did not stop the Yoruba recaptives from pursuing their dream of returning to their original hometowns. In the years following, hundreds of the Yoruba recaptives returned to their original hometowns to serve, among other things, as teachers and missionaries.[xxxvi]

The first missionary group to capitalize on the recaptives= call for Christian missions in the interior of Nigeria was the Methodists. The CMS did not answer this call until 1845, when it sent Crowther and other CMS missionaries to establish a mission in Badagri. Using Badagri as a base, Crowther and the other CMS agents began spreading the gospel further inland. The year 1846 saw Crowther ministering at AbeokutaCapproximately 60 miles inland of LagosCand it was here that he found his mother and other family members.[xxxvii] Crowther engaged in many education-related activities, all shared the common goal of helping the cause of carrying the Christian message to his homeland: his translation of the New Testament into Yoruba is a key

example. The crowning moment of Crowther=s work for the church came in June 1864, when this former slave was ordained ABishop of the West African countries beyond British jurisdiction.@[xxxviii]

Carrying Christianity to his homeland proved challenging, particularly because his country was still beset with wars. He decried these conflicts for undermining missionary activities, limiting trade prospects, and increasing the volume of the slave trade. To obtain the peace and stability necessary for the task of spreading Christianity in his homeland, Crowther advocated the imposition of British colonial rule in Nigeria. Crowther was not alone in this quest, European traders and missionaries, as well as the returning recaptives also joined in the call for British colonial rule in Nigeria. Initially, Britain strongly resisted involvement in the political affairs in the Lagos area, but strong lobbying by English traders, missionaries, and the returning recaptives, helped persuade the British government to change its position. Key to changing British policy towards the occupation of Lagos was the role played by Crowther. Under the auspices of the CMS, he traveled to England in 1851 to make a case for British protection in Lagos. In meetings with the Queen, prime minister, and other prominent politicians, Crowther argued his case, and in so doing, helped secure the British government=s agreement to intercede in Lagos on behalf of trade, abolition, and Christian missions. In December 1851, Lagos fell to the British; a decade later, in August 1861, the British annexed Lagos.[xxxix]

Crowther did not know it then, but the same imperial forces that he invited to his homeland in the 1850s to establish a peaceful atmosphere for his missionary work would be unleashed against him in the post 1880s. The 1880s marked the heyday of the

European scramble for Africa. European governments, traders, and missionaries, believing that they had a right to Acivilize@ Africa, rushed to put their imprint on Africa. This new imperial order spared little room for an educated African like Crowther. Although he had worked diligently to ensure the spread of Christianity in his homeland, Crowther did not end his days being celebrated by the CMS; rather in 1890, a year from his death, he was forced to resign as head of the Niger Mission. This unhappy situation resulted in part from the new imperial realities and from mounting tensions between the elderly Crowther and a group of new CMS missionaries that one scholar has describes as Aable, young, zealous, impetuous, uncharitable and opinionated.@ It was the actions of this group of missionaries that forced Crowther to resign from his post in 1890. Crowther died in December 1891.[xl]

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[iv] Ajayi, ASamuel Ajayi Crowther,@ 299-301.
[v] Ajayi, ASamuel Ajayi Crowther,@ 299.
[vi] Ajayi, ASamuel Ajayi Crowther,@ 298-316.
[vii] Ajayi, ASamuel Ajayi Crowther,@ 307-308.
[viii] Ajayi, ASamuel Ajayi Crowther,@ 309-310.
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[xiii] Ajayi, ASamuel Ajayi Crowther,@ 309-316.
[xiv] Ajayi, ASamuel Ajayi Crowther,@ 312.
[xv] Ajayi, ASamuel Ajayi Crowther,@ 312-313.
[xvi] Ajayi, ASamuel Ajayi Crowther, 314.
[xvii] Christopher Fyfe, A History of Sierra Leone (London: Oxford University Press, 1962), 13-37; Ellen Gibson Wilson, The Loyal Blacks (New York: Capricorn Books, 1976), 141.
[xviii] Sanneh, 22-31.
[xix] Sanneh, 42.

[xx] Sanneh, 41-42; Wilson, 135-176.
[xxi] Sanneh, 42-45; Wilson, 158-176.
[xxii] Wilson, 177-196; Fyfe, 25-28.
[xxiii] Fyfe, 25-37, 79-81; Wilson, 177-196.
[xxiv] Fyfe, 97-98.
[xxv] Fyfe, 94-95, 127-172.
[xxvi] Ajayi, ASamuel Ajayi Crowther,@ 315.
[xxvii] Ajayi, Christian Missions, 32-33; Sanneh, 126-138; Fyfe, 172.
[xxviii] Fyfe, 217-221; Sanneh, 150-165.
[xxix] Fyfe, 217; Sanneh, 150-161; Ajayi, Christian Missions, 12-13.
[xxx] Fyfe, 236-237; Sanneh, 152-161.
[xxxi] Ajayi, Christian Missions, 40-43; Fyfe, 288-289.
[xxxii] Fyfe, 236.
[xxxiii] Philip D. Curtin, The Atlantic Slave Trade: A Census (Madison, Wisconsin: The University of Wisconsin Press, 1969), 245-246.
[xxxiv] Fyfe, 212-213.
[xxxv] Quoted in Ajayi, Christian Missions, 28.
[xxxvi] Fyfe, 213; Sanneh, 139-140; Ajayi, Christian Missions, 25-34.
[xxxvii] Ajayi, Christian Missions, 31-40, 80.
[xxxviii] Fyfe, 327.
[xxxix] Ajayi, Christian Missions, 72-76, 168-174.
[xl] Ajayi, Christian Missions, 250-254.

Speaking the Image, Writing the Frame:
The National Council of Negro Women and Ideologies of Womanhood

Paper Proposal for the 3rd Annual Hawaii International Conference on Arts and Humanities
January 13-16, 2005

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This paper documents ideologies of black womanhood in individual and group narratives of the first national coalition of black women's organizations - The National Council of Negro Women (NCNW). Founded in 1935 by Mary McLeod Bethune, this "superorganization" brought together under one umbrella various and diverse groups of black women working to cultivate black women's leadership, political activism, and personal growth. During the formative years of the organization Bethune stressed the importance of black women's representation in national public affairs and highlighted the need for defining a clear feminist agenda that would be inclusive of working-class and poor black women. Although membership has declined over the years, NCNW is still in operation and through the leadership of Dr. Dorothy Height has maintained a highly public profile and widespread support. Thus, given the history of the organization and its present day status, I focus on ideologies of black womanhood that shape NCNW's vision of social change. To that end, I utilize two different kinds of media in order to best preserve and elicit a richer corpus of data than otherwise would be possible: 1) oral narratives, and 2) photographic images. By combining the verbal and the visual in a multimedia investigation of womanhood, I unpack the connections between word and image, and between vision and action. According to Clive Scott in *The Spoken Image* (1991), "Language exploits the photograph, puts it to any number of ideological uses, calls upon it as evidence in many different kinds of cause" (p. 327). So focusing on the language of narrative and the narrative of the image, I expose ideologies that mark a black woman's *being* in the world and construct her political consciousness through the lens of NCNW.[1]

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[1]Data for this paper include the following sources: oral narratives that I elicited from selected regional NCNW members, photographs from anniversary yearbooks beginning in 1951, and photographs that I have taken at special national events such as the 2003 national convention, and the 2004 Celebration of the 100th anniversary of the founding of Bethune Cookman College.

TITLE PAGE

Title - Speaking the Image, Writing the Frame :
The National Council of Negro Women and Ideologies of Womanhood

Topic Area - Ethnic Studies/Visual Arts

Presentation Format - Paper Session

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3rd Annual Hawaii International Conference on Arts and Humanities
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Title of Submission: The Singer's Ego: On finding balance between confidence and conceit

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The Singer's Ego: On finding balance between confidence and conceit

Dr. Lynn Eustis

The material for this session is taken from my recent book of the same title, to be released by GIA Publications (Chicago) in early 2005. When I tell people I'm writing about the singer's ego, without fail they chuckle and comment about what a long book it will be. Some say that the terms are redundant; if you are a singer, you have an ego. Anyone who personally knows a singer laughs because he understands how complicated the emotional life of a singer can be. Most people who seek out the spotlight are understood to have different ego needs than the rest of the population. A strong sense of ego is a necessity in order to be a successful performing artist. Singers, however, have their own brand of confidence issues.

Psychologically speaking, there is something particularly naked about actually being your own instrument. Many singers deal with the problem of separating themselves from "the voice." Dozens of singers I know will describe the actions of "the voice" as completely alien to their own desires, as though "the voice" itself were another person misbehaving in their relationship. The ego confusion leads to enormous highs and lows. When the instrument is you, and your performance receives thunderous applause, the high is tremendous. The "off" nights, on the other hand, can't simply be left on the stage. The lows of musical criticism are even more devastating when the singer is unable to see other means of self-validation.

The use of text to communicate emotions is the other wonderful and difficult aspect of being a singer. We must face the audience without any barriers. The texts give us clear ideas about the composer's intentions, which instrumentalists long for at times. They also force us to articulate our deepest, most personal emotions without offering the option of anonymity. For example, many songs deal with the subjects of love and sexuality. How many of us would feel completely comfortable showing an entire audience the selves we share with our lovers? Text makes vocal music more explicit in emotional meaning than instrumental music. Even when instrumentalists play sensual music, they are able to "hide" behind the music stand. They never have to face the audience directly and embody the sensual experience.

Because of these specific emotional demands, singers have a particular need for genuine confidence: confidence that is based in knowledge of their own uniqueness and value regardless of comparison to others. Too many singers and teachers of singing learn to compete by exaggerating their own worth at the expense of those around them. They attempt to present an image of “strength,” an image that quickly shatters when others in the room truly are more talented. Healthy singers know that the color of their voices comes from who they are as people. They are the only ones with their instruments, their set of life experiences, and their own perspective on the music. They also love the music more than they love the applause. Effective teachers know that they must allow themselves to be vulnerable if they want the students to expose their innermost feelings through their singing.

This presentation will explore many ways for singers and teachers of singers to develop authentic confidence, as well as reasons that conceit cannot be an effective substitute. I use examples from my own singing life and my teaching experience to illustrate various points. I will also present a list of additional resources.

About the Author

LYNN EUSTIS, soprano, has been heard annually at the Hudebnì Festival Vysocina in the Czech Republic in recitals since summer 2002. She appears regularly as a soloist with organizations that include the Dallas Symphony Orchestra, Concert Royal (New York and Princeton), the Atlanta Baroque Orchestra, the Dallas Bach Society, the Fort Worth Symphony, the Williamsport Symphony (PA), Master Chorale of South Florida, and the Æxxus Vocal Ensemble (NY). She has performed over thirty operatic roles, including the title role in *Lucia di Lammermoor,* Rosina in *Il barbiere di Siviglia,* and Susanna in *Le nozze di Figaro*. In spring 1998, she was the First Place Winner at the Florida Suncoast Opera Guild Competition. Oratorio and concert repertoire includes *St. John Passion* and *St. Matthew Passion* (Bach)*, Messiah,* Mozart's C Minor Mass, and *Requiem* (Brahms, Faure, and Mozart). Most recently, she sang the role of Iphis (Jephtha's daughter) in Handel's *Jephtha* under the baton of Graeme Jenkins with the Dallas Bach Society. She can be heard as the soprano soloist on Klavier Music Productions' 2003 recording of *Carmina burana* (Orff).

Dr. Eustis joined the faculty at the University of North Texas College of Music as Assistant Professor of Voice in 1999, and she holds the Doctor of Music degree in opera from Florida State University and the Master of Music degree from the Curtis Institute of Music. Her students have been heard with the Opera Theater of St. Louis, Central City Opera, Des Moines Metro Opera, the Dallas Bach Society, and Concert Royal. A native of Long Island, New York, she is a frequent lecturer on music of the Holocaust. She is the author of *The Singer's Ego: On Finding Balance Between Confidence and Conceit,* to be released by GIA Publications (Chicago) in early 2005.

Writing the Future:
The Question of Interactive Narrative

AREA: Literature/ Other Areas of Arts and Humanities (New Media)

PRESENTATION FORMAT: Paper Session

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ABSTRACT:
"Writing the Future: The Question of Interactive Narrative"

The puzzle of interactive narrative is two-fold: it is discrete, meaning that the flow of narration is broken up by pieces of interaction or gameplay; and it is multi-linear, in that each narrative requires multiple satisfying story arcs and conclusions from one or more starting places. As a burgeoning art form, the interactive narrative or game scenario has the same potential for compelling, meaningful storytelling as traditional fiction, but this potential has yet to be realized, partially because audiences simultaneously crave both well-authored, fully realized stories and significant control over the story's direction, outcome, and eventual meaning. Computer games in particular offer unrealized storytelling potential, with increasingly malleable digital space, more complex character and social interaction, and the capacity to store huge amounts of character- and world-related detail. The depth that computer games could eventually offer depends in part on resolving the paradox: how does one create compelling, meaningful stories while giving the audience or player more and more control over the story's ultimate shape? And where does the aspiring author draw the line between craft, immersion, and freedom? This paper looks at some of the possible solutions to this dilemma, with respect to plot, character, genre, and the increasingly complex technology of digital narrative.

Discourse, Objectivity and Science: An Interdisciplinary Look at the Construction of Objectivity in Scientific Discourse
Cross Disciplinary work using literary theory in the reading of scientific discourses
Workshop

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This workshop presents the curricular work done by CUNY students of an honors seminar that provides an introduction to theory in an interdisciplinary course. Beginning with physics, we set the problem by treating quantum physics, relativity and particle theory in lay terms that force us to recognize that we have no direct access to an unmediated observation of the universe. Maturana and Varela do a similar problematizing of nature in their introduction the biological roots of human cognition, emphasizing the steps of good science and the importance of the observer. Bruno Latour exemplifies a particular case of the problem of circulating reference in the project of geological researchers studying the Brazilian rainforest/savannah line.
Then we reset the problem linguistically with an introduction to de Saussure's course in general linguistics and his treatment of signification as bearing only an arbitrary relation to what we think of as the real. With the mediation of sign systems, we can move on to examine the systemic level, using Derrida's discussion of Levi-Strauss, and the problem of discourse in the human arts and sciences. Faced with the post-modern turn, we pause a moment to deal with the emotional impact of the material studied and of the social construction of modes of objectivity, especially in a study of cell biology conducted by Spanier, where students realize that the constructed nature of observation via sign systems and scientific methods invents claims to objectivity we can generally trust but cannot agree they constitute what students began by thinking of as objectivity.
Said and Foucault assist us in understanding force fields in the construction of knowledge systems, and we apply this inquiry to technology and science studies.
A visual contrast between eastern modes of healing through five element theory and the concept of chi, and western medical discourse in which these do not exist, provides a clarifying lens for the realization that different discursive modes of operation can constitute the real. Harding takes students into an examination of science and technology in a global context, asking is science multicultural? Intensive small group work allows students to study and teach each other about specific sites where western science and technology has been used in local situations around the globe in the name of development. What lessons can be learned from studying these problematics? While each student takes the questions raised and explores a problem in their major discipline, yielding elegant and and often brilliant results in a wide range of arenas from medicine to accounting, law or education, students generally report that the most startling and exciting results are in their own automaticity, the ways they think about and act in the world. When this happens, we are producing students whose research and scholarship will make contributions to their fields.

Virginia Woolf and the Medical Construction of "Conformity and Conversion"

Paper: "Azalea Bushes and Asparagus Beds"

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Abstract:
The objective of this study is to read medical, autobiographical and biographical narratives concerning same sex relationships and madness, and interrogate the text of Virginia Woolf's MRS. DALLOWAY to juxtapose the critical and biographical insights that may accrue from such a convergence.
The methods are multiple: using close textual analysis, new historicist and reader response critical methods, I move towards an interdisciplinary approach to the use of research in the relevant medical discourses from a lesbian feminist perspective.
I expect to produce a reading of the novel and Diary that relates medical treatment as Woolf understood it in the interests of normality, especially with The Rest Cure, in relation to concerns about same sex relationships if taken seriously.

Both in volumes of her DIARY and in her fiction, most notably MRS. DALLOWAY, Virginia Woolf wrote about the medical discourses and the way that certain medical discourses at the time were available for social control according to accepted hegemonic discursive understanding of normality and madness. While she was not the only woman writer around the turn of the last century to be administered The Rest Cure (Charlotte Perkins Gilman underwent The Rest Cure in the USA) and to write about it, Woolf's public writings are particularly elliptical. The elliptical style encouraged more than one possible reading, thus contributing to the differing interpretations that have arisen, sometimes contentiously, among scholars. I intend to show how among different readings, and using the differences in readings, close textual analysis from a lesbian-feminist perspective helps us understand her most far-reaching insights (long before Foucault) about the ways that medical discourse becomes a normalized policing practice in a genteel society; the paper reads Woolf's use of same-sex relationships in MRS. DALLOWAY in conjunction with social and medical practices of the day.

Miss Saigon: A Sentimental Version of the Butterfly Story

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Statement of Research Objectives in Respect to Travel Grants

Harold Farwell

The paper I will be reading at the Hawaii International Conference on the Arts and Humanities, "A German Film Version of the Madame Butterfly Story," is a section from the third chapter of a book length study of variations on the Butterfly story, tentatively entitled *The Metamorphoses of Madame Butterfly.* I have worked on the book since 1997 and it is currently being considered for publication. In this chapter I trace a number of versions of the story that follow the first performances of the opera in 1904. These include a number of filmed versions: the first starring Mary Pickford in 1915, followed by a German version directed by Fritz Lang, *Hari Kari,* in 1919, another American version with Sylvia Sydney and Cary Grant in 1932 and then the version under consideration directed by Carmine Gallone in 1935. The chapter is drafted and I hope to get some feedback by reading at the conference, which last year was well attended by people from a number of disciplines, including film as well as literature.

Miss Saigon: The Transformation of Madame Butterfly into Sentimental Theater

Until late in the twentieth century virtually all the new versions of the story of Madame Butterfly follow in the tradition of John Luther Long, the author of the first story, in insisting that their version reflects reality. Albert Gervais, Somerset Maugham, Arthur Michener and other acknowledged "Realists," presented their Madame Butterfly stories as if they recorded real events. Maugham and Michener were in some sense testing the Butterfly story against their own sense of reality, altering and adapting the characters and plot over and over again to fit a variety of contexts, all of which they apparently considered accurate reflections of reality. But in the Postmodern period, especially after 1980, we come upon writers who accept that in art, as in dream, we transform reality even if we attempt to imitate it. Further, art itself admits of imitation in any number of perfectly legitimate ways, one text or tale playing variations upon an earlier one, maybe even inverting a theme as musicians might do—and as Maugham and Michener often did. Probably the generation of readers who found those writers so appealing also found them "real." However, in *Sayanara* Michener's irony becomes essentially inter-textual, clearly a commentary upon the Puccini libretto, or at least the Butterfly plot. Admittedly, those who did not know the Butterfly story might not consider *Sayanara* ironic; probably that was the case with many in the film audience. For if they did not know the opera, the happy ending of the film would not appear an ironic inversion of both the opera and, ironically, Michener's own story, but a conventional "Hollywood" ending for what would now be considered a "chic flick." Nevertheless, what the book, the written text, plays upon is the Puccini's libretto, not necessarily *any* reality. Thus, the two versions of *Sayanara* (book and film) suggest two very different approaches to transforming the Butterfly story: ironically and sentimentally. Although "real" South Seas or Japanese romances may offer infinite possibilities and might be imitated without

reference to the paradigm so clearly defined in Puccini's opera, the most recent versions, those of the last quarter century, seem consciously constructed with Puccini's narrative in mind. The "real" may even seem lost or unimportant. One possibility, as in the filmed version of *Sayanara*, is to emphasize sentimental elements, like those used successfully in the musical, *Miss Saigon* or in the popular novel, *Snow Falling on Cedars.* Another artistic possibility is to approach the narrative with ironic detachment and turn it completely around with *satiric* intent as in Michener's novel--and in the play *M. Butterfly.* In what follows I will focus on the sentimental aspects of Miss Saigon as an extension of the Butterfly story.

By the 1980s Puccini's opera had become bread and butter fare for most opera companies, large and small. Given the universal popularity of *Madama Butterfly*, it should hardly surprise anyone that so theatrical a work might be parodied or serve as a model for serious theater. But it does seem unusual that suddenly, almost simultaneously, both David Hwang's *M. Butterfly* (1988) and the musical *Miss Saigon* (London, 1989; New York 1991), by the French team of Alain Boublil and Claude-Michael Schonberg, appeared with almost equal success. Though both works openly admitted their indebtedness to the opera, they are strikingly different. David Hwang approached the Butterfly story with ironic detachment (completely dropped in the filmed version which becomes a strange love story), but Boublil and Schonberg in *Miss Saigon* follow the story line of the opera with calculated similitude and play upon the sentimentality so near the surface of Puccini's opera.

Let us consider specifically the ways in which *Miss Saigon* highlights some of the sentimental elements in the opera. In *Miss Saigon* Schonberg, Boublil and their collaborator for the English text, Richard Maltby, have not only maintained the tragic story of the Asian woman, now named Kim, who sacrifices herself to love, but have consistently magnified the sentimental

potential of a story of lost love. They portray the lovers as youthful innocents torn apart by fate, seemingly helpless, and then add the plight of children born to such couples as an additional sentimental touch. Their approach seems almost the opposite of the earlier Realists like Michener, who always seems to be skirting or downplaying the sentiment of the earlier Butterfly story. Yet, their stated goal was surprisingly similar: "Our intention was to convey the truth of the place [Viet Nam] during a very, very tragic event and try to locate the two young characters who fall in love during such a tragic moment in history."1 Boublil emphasized "there is a truth here," apparently like Plato seeing "truth" as something greater than fact.

The French team began work on *Miss Saigon* soon after the success of their earlier *Les Miserables* (Paris, 1980, London, 1985), intending it to be a "modern opera," a contemporary version of Puccini's story. Fucillo tells us that "Schonberg was in awe of *Madama Butterfly* since the age of 15 when he saw a production at the Paris Opera with his parents" (46). One of the most obvious ways, however, in which they depart from Puccini's librettists was in salvaging the character of the Pinkerton, here named Chris (or Christian), his name suggesting allegorical innocence. And in spite of the fact that Chris meets Kim in a Saigon bar/brothel and is reunited with her in a Bangkok brothel, she too is consistently whitewashed to appear the victim of her fate. Attitudes change, a whore can be a *Pretty Woman,* and modern audiences obviously have accepted Kim as victim. The audiences have also accepted as effective the presentation of the plight of the Bu Doi, the children of these mixed relationships unwanted by the Vietnamese government.2 Tempering all that sentiment is the strangely elevated role of the character based

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1 Rita A. Fucillo, "All is Fair in Love and War," *Theatrebill,* Boston: Jerome Press, February 1998, 39.
2 Stanley Karnow, *Vietnam: A History,* New York: Viking, 1983, suggests 50,000 Viet-American children remained in Vietnam after the war. By 1990, 30,000 had been resettled in the United States with the rest "due to depart" (42). Thomas A. Bass in *Vietnamerica: The War Comes Home*, New York: Soho Press, 1996, notes that the musical opened on Broadway just as some of these children were being screened and processed in Utica New York for

on Goro, the marriage broker in the opera, here the preeminently worldly Engineer, who is given some of the most spectacular musical numbers—as if his role were somehow central in the drama. Yamadori, Cio Cio San's rejected suitor, is also transformed from the effete noble of Puccini to a frightening representative of the new totalitarian order of the Viet Cong, adding a truly melodramatic villain to the cast.

As is true in many of Michener's stories, in *Miss Saigon* the Pinkerton character, Chris, is given the most thorough re-definition. At the beginning of the story Chris is a short timer at the end of the Vietnam conflict, anxious to leave because he does not see what value the Americans serve there. In one of the first numbers, "The Heat is on in Saigon," a Saigon brothel is indeed hot, yet Chris is reluctant to take a woman as a birthday gift from his buddy John, suggesting instead, "You can buy me a beer." With the Engineer's introduction of a new girl, Kim, Chris is immediately attracted to her, his reaction something like "love at first sight": "Good Jesus, John," he asks his buddy, "who is she?" In the staging of that first bar/brothel scene, Chris tries to "protect" the women from some of the more offensive advances of the other American Marines, and when a fight breaks out among them, he escapes with Kim, the newcomer. His reluctance to accept a woman and then his efforts to protect Kim suggests not only a kind of innocence, but also that he is almost the opposite of Puccini's Pinkerton and his French prototypes.

Chris' innocence upon awakening the next morning is equally striking. In the number, "How could this be happening?" he sings, "I liked my memories as they were, but now I'll leave [Viet Nam] remembering her. [. . .] Why, God, why this face? Why such beauty in this place?" 3

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adoption and regards the musical as another form of exploiting the orphans.
3 Alain Boublil and Claude-Michael Schonberg, *Miss Saigon.* Piano Vocal Selections, n.p. 1991.

He has clearly fallen in love, and the duet that follows, "Sun and Moon," seems modeled on the love duet of the first act of Puccini's opera, the couple singing phrases like "How in the light of one night did we come so far?" Later Chris' devotion to Kim is made clear when he takes part in her private wedding ceremony, reversing the religious commitment of Cio-Cio-San in *Madama Butterfly*. After a brief period together, he plans to marry her legally and tries to arrange her passage to the states. His commitment seems close to that of the American in Long's *Miss Cherry Blossom of Tokyo* or Joe Kelly in *Sayonara,* but sharply contrasts with Pinkerton.

Though Chris never intends to abandon Kim, when the Americans pull out of Saigon completely, he cannot find her. Chris refuses to leave without Kim, but is finally forced to by his buddy, John. The scene depicting the helicopter evacuation of the American embassy, "The Guilt Inside Your Head," is one of the most spectacular in a generally glitzy show. But this scene is a flashback, Chris' memory of the departure of the Americans from Saigon, a nightmare stemming from his frustration in not finding Kim in the crowds. More dramatically than in any other version of the story, that scene makes explicit that the lovers' separation is forced upon them.

When Chris begins a new life in the states, he is torn by guilt and suffers from nightmares—like that of the evacuation—all of which is much more convincing than what Pinkerton offers in his final little ariosa of apology in the opera. Chris' sensitivity has been made clear from the beginning, expressed in his protectiveness and consideration for Kim and in his effort to take her to America. Although he is with a new American wife, Ellen, his nightmares and guilt seem in character. John, now transformed into a responsible citizen more like the diplomatic Sharpless, enlists Chris' aid in his effort to help the Bu Doi. Chris sings of his own guilt in "Like all survivors," suggesting why he finds the "Bui Doi" so compelling:

Like all survivors I once thought when I'm home I won't give a damn.

But now I know I'm caught. I'll never leave Vietnam.

War isn't over when it ends. Some pictures never leave your mind.

They are the faces of the children, the ones we left behind.

They're called Bui Doi, the dust of life,

conceived in hell and born in strife.

They are the living reminder of all the good we failed to do. [. . .]

We owe them fathers and a family, a loving home they never knew."

Chris' frustration about "the good we failed to do," like the appearance of the chorus of unwanted children on stage, has larger political implications and probably reflects the authors' sentiments about the war. Robert Stone characterized those as the "contemporary European popular memory" of the war rather than the reality. Condemning both Viet Cong and Americans, the attitude of the French authors suggests "a plague on both your houses."4

Kim is not the object of their condemnation, however. Like Cio-Cio-San she gets special treatment, especially in absolving her of any taint concerning her life in the brothel or guilt after she murders her Vietnamese suitor. If, indeed, the audience does sympathize with her, it is because she seems to move through the seedy world of both Saigon and Bangkok without being dirtied by either. Her "innocence" is suggested by her being dressed in white when introduced as the new "girl" by the Engineer, who, less convincingly, adds that she is as a "virgin, . . . sort of." Her explanation for her being in a brothel in Saigon is that her family has been killed in the war and she has nothing left—or nothing she wants anyway. She is another kind of war casualty, another victim. Although her parents had arranged a marriage with a suitor named Thuy from her

4 Robert Stone, "Saigon Stories," *The New York Times;* rpt. Charlotte *Observer*, July 1997.

home village, she rejects him after having met Chris. She is just as firm in doing so as Cio-Cio-San is with Yamadori.

After Chris and the other Americans have left Saigon, Thuy returns as a high-ranking Viet Cong official and attempts to coerce her into accepting him. Having had Chris' child, she kills Thuy when he threatens them and flees with the Engineer to Bangkok. There she works in a brothel again, apparently because she cannot escape from the Engineer who has brought her there. Like Cio-Cio-San she clings to her memory of Chris, singing "I still believe you will return," the equivalent of Puccini's "Un bel di vedremo."5 In a sense she and maybe Chris, too, are victims of the world at war, young people too innocent to be in complete control of their lives and, therefore, manipulated by forces they do not comprehend. Their love is sacrificed to the war, and then she is made fugitive by the oppression of the new state, represented by Thuy. But the sentimental aspect is that both characters seem essentially blameless completely admirable.

Aside from the fact that working in brothels is vastly different from being a geisha, there are other differences between Kim and Cio-Cio-San in Puccini's opera. Kim has to fight to avoid her suitor and retain her son, then fleeing to Bangkok with all the hazards involved. Until her suicide at the end she appears willing to take risks and seems very much a survivor. Earlier, for example, she does not give up her religion for Chris (as had Cio-Cio-San), but practices it in creating her own "marriage," and, as suggested, even gets Chris to go along with her. In the number, "The Ceremony," he respectfully removes his shoes before her small home altar when she is asking for the approval of her family through prayers to her ancestors. Kim seems consistently more realistic about her fate and worldly than Cio-Cio-San, and perhaps because of

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5 In a curious way, Chris' wife Ellen sings the same melody as a meditation on his nightmares (on a split stage), and both Kim and Ellen close with the same line in a duet: Ellen sings, "I'm your wife now for life, until we die;" Kim, "I'm yours until we die." Their common loyalty to Chris makes his dilemma the greater.

this there is no equivalent of the maid Suzuki. She is not necessary, either to remind Kim of reality or to support her in her illusions.

If the innocence of the lovers is sharpened by their differences from "the world," that world and its polarization are dramatized in the Engineer and Thuy. The Engineer, as a pimp, is a vicious variation on the "marriage" broker, comparable to Goro. In *Miss Saigon* he becomes a more important, but still somewhat ambiguous character. He runs the Saigon brothel where the lovers meet just as he thinks it would be run in America. His version of the American Dream is that everything is for sale. In Bangkok again he is drumming up business for the Moulin Rouge, another brothel, complaining that the owner and maybe Bangkok itself are more corrupt than he is. But he himself represents the most ruthless aspects of capitalism and the most vacuous values of complete materialism. The ruthless side of his character comes out in many ways, even with a certain charm in its openness. In "If you want to die in Bed," he convinces Kim to flee Saigon (now Ho Chi Minh City) to have a life. His argument is as energized as Sportin' Life's in *Porgy & Bess,* and like Sportin' Life, he too can steal the show. Later, having put Kim to work again in Bangkok, he lies about being Kim's brother in attempting to use Kim's baby as his ticket to America. One of the most celebrated scenes of *Miss Saigon,* "The American Dream," is his final number celebrating materialistic values, staged something like a Busby Berkeley musical. He arrives in that scene in a Cadillac convertible complete with fins and a blonde beauty pageant queen, and celebrates the "American Dream" as getting anything you want. He clearly does not, but does get the final curtain and top billing.

Yet, the characterization of The Engineer is not quite all of one piece. Even his name is ambiguous: does he or doesn't he get things done? He is running the Saigon brothel, but business is bad. Once Kim and Chris are introduced, their story moves inevitably forward, but

the engineer is never in control of them or even in conflict with the lovers. He seems essentially ineffectual. He cannot get a visa from Chris or anyone else. He has enough money hoarded to leave Saigon for Bangkok, but he does not profit from that move. If he is scheming to be with Kim, that does not work. Has anything? That may be the satiric point—nothing he touches quite works. He seems the focal point of satire, but of whom. He claims his values are "American," but what America do they represent? He is not like Chris or John. Obviously, what he represents is more generalized: a crude materialism and rampant capitalism, no more American than French. In the end he may be similar to Goro in *Madama Butterfly*, who also doesn't seem capable of effecting real change and finally appears merely ruthless and exploitive. The engineer is more interesting than Goro because more fully developed, but his centrality in the drama is equally questionable.

The counter to the Engineer is Thuy, who reflects the raw power of the victorious Viet Cong. Like the huge image of Ho Chi Minh (some 21 feet high) that dominates the stage during the celebration of the fall of Saigon in "The Morning of the Dragon," Thuy is intimidating. For Kim, he has the power of the conqueror and his threats to her and her child are real. When she shoots him in desperation, his demise, like Chris' departure, seems to reflect the ineffectualness of both parties in the war. Their common failure to offer Kim a life reflects what Stone considers the "plague on both your houses" mentality of the authors toward the war in Viet Nam.

John, Chris' buddy, changes radically to become the counterpart of Sharpless. When John tries to buy Chris a woman in the first act, he argues with Chris about his reluctance (playing the role of the hedonist), and then pays $50 US for him to have Kim. His pandering is the opposite of Sharpless' cautionary comments to Pinkerton. He acts more like the character Marc in David Hwang's *M. Butterfly*. Later, his character and his function in the plot seem much closer to that

of Puccini's American consul. After they return to America, John is instrumental in trying to help Vietnamese orphans. Through him and his network, Chris finds out about Kim and with John returns to Bangkok. Back home John is more like Sharpless in his efforts to conciliate, to play the diplomat. The character transformation seems a little abrupt, but his efforts do explain how Chris and Kim are reunited, if briefly, at the end.

A greater and more consistent role change occurs with Chris' wife, Ellen, who is nothing like the insensitive Kate of John Luther Long's story and Puccini's opera, and certainly not the subject of satire. In the "duet" with Kim mentioned earlier when they both swear their undying love for Chris, Ellen's feelings create an interesting complication to the plot. Once she has met Kim, her anger with Chris for not having told the truth of the affair seems diminished. "Now that I've seen her" is a significant solo, very much like a traditional aria, allowing full range to her conflicting emotions. The character blossoms and a dimension is unveiled completely missing from Long's story and the opera. When she agrees to take the child, confirming her love for Chris, she also helps make Kim's choice of suicide seem more necessary since Kim will be losing everything for which she has struggled. Unlike the too sudden transformation in John's character, the depiction of Ellen's dilemma about adopting Chris' child adds an interesting and totally novel dimension to the conflict.

In spite of adding new dimensions to the characters, the plot is very true to that of the opera. It is given a more contemporary structure with abrupt shifts in chronology—like Chris' nightmare about the evacuation of Saigon---and frequent scene changes that eliminate the slowly intensifying foreboding that Puccini obviously sought. Although Puccini did not even want to divide the opera into three acts in order to sustain the movement toward the suicide, *Miss Saigon* has two-dozen different musical numbers, shaped by contrapuntal scenes emphasizing the

contrast between the war and the Dream of America. The riotous opening scene is interrupted by Gigi singing lyrically of "The Movie on my Mind," which depicts a Hollywood version of America--as opposed to the harsh realities of the war. The penultimate scene is "The American Dream" in which the Engineer expresses his desire 'to get to America," symbolized by the appearance onstage of the white Cadillac convertible. The time sequence is also almost contrapuntal. It is in two acts, the first of which moves from the fall of Saigon in 1975 to its aftermath in Ho Chi Minh City in 1978. The second act starts in America in 1978, returns to 1975 for Chris' nightmare memory of the evacuation of the embassy and then on to the conclusion in Bangkok. Yet, in spite of the importance of the war in establishing both place and time, the drama is that of the lovers. It ends, as with Belasco and Puccini, with Kim's suicide--with a gun--the others standing by helplessly.

Miss Saigon is spectacle theater in the tradition of men like Belasco, who first staged the story as a play, and maybe even more spectacular than anything Belasco did. The scenes at the bars in Saigon and Bangkok, especially the latter, are staged with sleazy glamour. The victorious Viet Cong have a grand celebration on stage, dominated by that huge image of Ho Chi Minh. Then the "Americans" are feted by the Engineer, complete with Cadillac and cheerleaders. But the arrival of a CH-46 helicopter on stage for the evacuation of Americans and friendly Vietnamese from the embassy roof became the icon for the show. Strangely enough, it represented American defeat, not victory.

Is there anything beyond spectacle? I think so, but the commentary on the Viet Nam war seems as fatalistic and tragic as the story of the lovers. The satire is neither focused on literary antecedents, nor concerned with the earlier Butterfly stereotypes, which are accepted and made more attractive. Instead what satire exists seems a fuzzy attack on both Viet Cong and American

societies--and more obliquely, both communism and capitalism. (There is even a brief allusion to French corruption of South Vietnam.) The self-serving Thuy raises questions about the victorious communists. If he is meant to be representative, the attack on the communists seems directed toward the abusive power of the new regime. But it is not a faceless totalitarianism, since it is given a "face" in the image of Ho Chi Minh and the character of Thuy. American materialism may be the object of satire on the other side—though (after the first brothel scene) none of the Americans in the drama seem as committed as the Vietnamese to the materialism at the heart of that satire. Chris rejects the birthday gift worth fifty dollars, and the adoption of the Bu Doi children is not entirely self-serving. The potential seems lost of using the Viet Nam conflict for a searing political indictment of either side. The helplessness of both sides is obvious, reflected both in the plight of the children and in the evacuation scene. It is again painfully clear when the staging suggests that all the principals fail to stop Kim's suicide at the end. That both sides have been ineffectual may be criticism enough. But for a more direct attack on western colonialism and chauvinism one might consider David Hwang's play, *M. Butterfly.*

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"YOU CAN FORGET ABOUT THE COMMANDANT":

IRISH NATIONALIST POLITICS IN JOHN FORD'S FILMS

TOPIC: Film/Ethnic Studies

FORMAT: Paper Session

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On February 1, 1894, John Ford, was born to Irish immigrants John and Abby Feeney. Although his birth certificate notes him as being born John Martin Feeney, he claimed "to have been born Sean Aloysius O'Fearna,"[1] illustrating an ongoing love affair he maintained with his parents' native land. Often lauded as one of Hollywood's most versatile and prolific directors, and with credits on over a hundred films, Ford's obsession with his Irish heritage was soon realized in his films. Though a number of his films contain an Irish or Irish immigrant subtext, I am concerned with two of these films in particular, *The Informer* (RKO Radio Pictures, Inc., 1935) and *The Quiet Man* (Argosy/Republic, 1952), as they employ representations of the Irish nationalist. Reflecting Ford's personal politics, he traveled to Ireland in 1921 to monetarily and actively support family members with IRA connections and is noted in a biography by Joseph McBride as maintaining multiple ideological and personal connections to past and current Republicans,[2] Ford's films offer portrayals of Irish nationalists that disregard popular views of the militants, views, that most Hollywood films from this period on reinforce. For Hollywood, the Irish, particularly Irish Republicans, when they did appear on screen, were presented as a superstitious, ungovernable, violent people, who strive to achieve their nationalist goals through any means necessary.

THE INFORMER

Breaking away from the film industry's avoidance of Republican images at the time, the IRA plays a prominent role in Ford's *The Informer*. The film relates the inner turmoil of Gypo Nolan (Victor MacLaglen) as he turns in Frankie McPhillip (Wallace Ford), his best friend

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[1] Scott Eyman, *Print the Legend: The Life and Times of John Ford*, New York, NY: Simon & Schuster, 1999, p. 30.

[2] For a comprehensive look at Ford's personal and ideological involvement with Irish politics and the IRA refer to Joseph McBride, *Searching for John Ford*, New York, NY: St Martin's Press, 2001.

and IRA member wanted by the British government for murder, for a reward of £20 to finance his and his girlfriend's passage to America. Gypo, torn over his actions, spins a web of lies to avoid retaliation by the IRA, who soon discover his treachery and sentence him to death. Shot by the IRA after an unsuccessful escape attempt, Gypo crawls to Mrs. McPhillips (Una O'Connor) to beg her forgiveness and dies.

Although the IRA, referred to as "the organization" to avoid irritating British censors, practice a policy of executing informers, the film does not portray them as one-dimensional figures concerned only with achieving an independent Ireland no matter what the price. Ford develops many of the volunteers in the organization, even ones of minor importance within the diegesis, past the point of mere stereotype. Frankie, although wanted by the Black and Tans, a British security force, for murder, does not fall within the paradigm of the gun-toting simian caricature. On the run in the countryside to avoid capture, Frankie risks returning to Dublin, telling Gypo, whom he meets at the Dunboy House, that he was cold and hungry and wishes to see his sister and mother, whom he misses greatly. When he returns home, Frankie hugs and kisses both of them, relating his feelings of loneliness and reveling in his joy at being reunited with his family. After the Tans break down the McPhillip's front door, Frankie initially hides on the stairway and shoots at them but refuses to continue when his sister becomes trapped between him and the Tans. He chooses death and the safety of his family over the eradication of the British forces.

Though they suspect Gypo of informing, Bartly Mulholland (Joe Sawyer) and Tom Connor (Neil Fitzgerald), two volunteers in the organization, do not avenge Frankie's death without proof of Gypo's guilt. They bring Gypo before Commandant Dan Gallagher (Preston Foster) for questioning and continue to follow him to collect irrefutable evidence. After the

organization's council, acting as a surrogate court, finds Gypo guilty of being an informer, they sentence him to be executed yet do not take joy in the verdict. To determine the potential executioner, each organization volunteer draws a straw, yet no one wants to pull the shortest straw and accept responsibility for the execution. Dennis Daly (Steve Pendleton), one of the volunteers, vocalizes the reluctance evident on each volunteer's face, as he hesitates. When urged to pick, he questions, "Why should I?" and, being told that it is his turn, responds, "How do you make that out, man? How do you make that out?" The restraint shown by Mulholland and Collins, and Daly's reservations over performing the execution, mark a sharp contrast between Ford's Republicans and those portrayed in the later films I will discuss. *The Informer* portrays the militant nationalist as human, maintaining personal contacts with other characters, employing democratic practices and only accepting violence as a final measure.

Even Commandant Gallagher, top-ranking official in the organization and defender of the nationalist cause, avoids falling into the paradigm of the Irish terrorist type. Like the other volunteers, Gallagher is a multi-dimensional figure concerned with more than nationalist politics and revenge. Ford visualizes Gallagher's complex emotions through his relationship to Mary McPhillip (Heather Angel), Frankie's sister, and Gypo. After Frankie's death, Gallagher visits Mary, speaking to her tenderly and offering her comfort. Though the Tans may be watching Mary's house, Gallagher risks his own safety to be with her in her time of need. Later, he again disavows fear for his own safety when speaking to Mary about the potential damage an informer could cause, instead expressing concern for his men and the Irish population, stating, "Oh, I'm not thinking about myself. It's the organization. It's Ireland." When the council finds Peter Mulligan (Donald Meek), whom Gypo accuses of being the informer, to be innocent, Gallagher apologizes to Mulligan for the inconvenience

and offers him money as compensation for his troubles, saying, "You will be taken home in the car that brought you here. I'm sorry this had to happen, Mulligan. For the present this may help you. We'll see what can be done for you later on. Good night Mulligan." The organization does not torture Mulligan or Gypo to extract a confession, but merely questions them, relying on the evidence they have procured and the honesty of their detainees.

Though Gypo faces execution for his treachery, an Irish trait established by Gerald but complicated in the film by Gypo's overpowering sense of guilt and desire for forgiveness, the court does not pass his sentence as a means of revenge, but to protect all of the members of the organization. Gallagher emphasizes this point when he tells Mary, "It's not a matter of revenge. You know that. When a man turns informer it's his life or ours." He also defends the court's ruling, stating, "I gave Gypo evey chance...I didn't pass sentence on him, the court did." Neither malicious nor vengeful, the commandant is a sensitive and honorable man, caring for those he loves and dealing justly with members of the organization who fail to perform their duties. Unlike later cinematic Irish insurgents, such as *Patriot Games*' Sean Miller, who revel in the violence they create, *The Informer*'s Republicans respect the rights of those they claim to defend and those who jeopardize the movement, providing fair trials for the accused and protection for the innocent.

The Informer, though seemingly opposition to the censoring forces of this time through its depiction of Republicans as humans rather than an ape-like caricatures, did not completely avoid forced editing. According to Burns-Bisogno, the film originally offered a more sympathetic view of the Irish Nationalists. The British Board of Censors, finding the film offensive in its original production to British sensitivities,

> submitted five pages of new dialogue deletions and changes if *The Informer* was to be awarded the seal essential for distribution in the UK and the Empire. A review of the lines to be deleted or amended revealed the deep sensitivities to any references to

> British militarism in Ireland, to motivations of the Irish nationalists, and to the Crown. Indeed, the very word "Ireland" was considered inflammatory and had to be exorcised again and again.[3]

As a result of these censoring agencies, Ford's image of the Irish Nationalist was de-politicized, creating ambiguous depictions of the organization's motivations for engaging in the conflict. Though the word "murder" appears on his wanted poster, the film never explains the charges against Frankie. Similarly, the purpose of the organization's existence is mysteriously absent, leading the historically uninformed viewer to wonder about the nature of the conflict between the organization and the Black and Tans. Ford might have humanized the militant nationalist, but only at the expense of the Irish position. The film's removal of history denies the validity of Republican politics and silences them, creating a portrayal of an organization that lacks cultural specificity. Paradoxically, only through his avoidance of Irish politics was Ford able to extend a level of complexity to the Irish nationalist, removing the application of age-old stereotypes used to identify the culture and relegate it to a position of "otherness."

THE QUIET MAN

Produced 17 years after *The Informer*, the pastoral world represented in *The Quiet Man* has few connections to Irish politics of independence and reunification. The film, reflecting Ford's own relationship to his parents' native land, relates Sean Thornton's (John Wayne) quest as he travels from America to Innisfree, where his parents once lived, to buy back their old cottage, enraging Will Danaher (Victor McLaglen), a prospective buyer, in the process. Sean falls in love with and marries Mary Kate (Maureen O'Hara), Will's sister, and eventually fights Will for his dishonorable action of withholding Mary Kate's dowry.

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[3] *Ibid*., p. 71.

A comedy intent on portraying the beauty of the Irish countryside and depicting the differences between American and Irish culture, *The Quiet Man* leaves little room for Irish politics. The IRA, embodied by the character of Forbes (Charles B. Fitzsimons), holds little significance in the unfolding diegesis. He is simply a normal member of the community, whose connection to the IRA Ford suggests through dialogue, not action. Forbes first appears in Crohan's Bar, speaking with a friend. Michaeleen Flynn (Barry Fitzgerald), an old friend of Sean's family and respected man in the town, enters shortly after and salutes Forbes, referring to him as "Commandant," to which Forbes replies, "You can forget about the commandant. We're at peace now man." Forbes lightly brushes aside his connections to the paramilitary organization, choosing to emphasize his commitment to peaceful relations between Ireland and Britain. Unlike militant Republicans in later films, such as Seamus O'Rourke (Jonathan Pryce) in John Frankenheimer's *Ronin* (MGM, 1998) and Kevin O'Donnell (Patrick Bergin) in Philip Noyce's *Patriot Games*, Forbes does not choose to break away from the organization and continue a solo campaign of terror against the British, nor does he reserve his words purely to spout political slogans and anti-British sentiment. He does not even instigate discussions involving Irish politics or the IRA, but merely mentions the organization in response to the questions or comments of others.

Forbes' comment marks a distinct difference between him and later terrorist figures. As we shall see, the violent Republican completely devotes himself[4] to the liberation of the Irish population and the expulsion of the British from the island. He is rarely unarmed and never trustworthy. Forbes stands in opposition to this type, brushing aside his military rank and acknowledging the resolution of the Anglo-Irish conflict. Michaleen's reply, "Sure. But

[4] I refer to the Republican in gendered terms because, aside from one or two instances, which I will later take notice of, this cinematic figure is typically masculine.

I haven't given up hope," suggesting his continuing aspiration for a united Ireland, falls on deaf ears. Forbes makes no attempt to reply, opting for silence rather than confrontation. Though partition is in effect, he, unlike militant nationalists in other films, abides by treaties and cease-fires rather than terrorizing the Protestant population with gun and bomb, signifying a break from the lawless and vengeful terrorist-type. Ford, in effect, "whitens" the Irish nationalist, removing his savage demeanor and replacing it with a rational human willing to respect others and abide by laws.

The film does not completely disregard the potential for IRA violence, however this potential is not directed at a former colonial power or a Protestant population embodying that power; nor is it lethal in nature. The threat is directed at unlawful members of the community, intent on protecting the rights of the townspeople, not on waging a sectarian war. This potential for violence emerges towards the end of the film. After pulling Mary Kate from a train—who plans to leave because Sean refuses to fight for the honor she feels she lost when Will withholds her dowry—Sean, followed by a large mob of townspeople, drags her across the countryside to Will's to demand the £350. Will, upon hearing Sean's demand, scans the congregation. Noticing Forbes and Michaleen he comments, "So, the IRA's in this too," to which Forbes replies, "If it were Red Will Danaher, not a scorched stone of your fine house would be standing." These words, taken out of context, seem to embody a physical threat posed by the IRA. They suggest violence enacted by a terrorist organization as retribution for actions they do not condone. Will's comment reflects his belief that the organization has sided with Sean and intends to assist him using any tactic they deem necessary. Forbes' reply appears to justify Will's fear, vocalizing the course of action the group might take if provoked. Masked by a young smiling face and bright red tie, however,

Forbes' words, though somewhat revealing, bear little malice. Will and his house remain unharmed, demonstrating a level of consideration and restraint on the part of the militant that belies the violence and barbarity of the Irish illustrated in colonialist writings and caricatures. The suggested action, burning down Will's house, also defies contemporary cinematic Republicans, whose only resource for retribution lies with the gun or the bomb. Inevitably, Forbes represents the continued presence of a functioning IRA network in 1950's Ireland and demonstrates the reality of this presence as a force made up of members of small communities, while noting the IRA's relative inactivity during this post-Civil War/pre-Troubles period. Though a commandant in the IRA, Forbes refuses violence and terrorism as a means of achieving "justice," preferring to solve disputes in a less violent manner. His words suggest that, despite his ties to the paramilitary organization, he is present at the gathering merely as an active participant of the community.

The differences between Forbes and future cinematic Republicans are especially significant if we consider that both Catholics and Protestants inhabit the town of Innisfree. Symbolized by the presence of the Reverend Cyril 'Snuffy' Playfair (Arthur Shields) and his wife Mrs. Elizabeth Playfair (Eileen Crowe), Ford incorporates and normalizes the presence of the Protestant population in Ireland. Like the IRA, Ford does not relegate the Protestant population to a position outside the confines of the community but makes them active members, peacefully coexisting with their Catholic neighbors. Ford emphasizes this normalization by creating a close relationship between Sean, the Irish-American Catholic, and the Reverend. The Playfairs are among the first townspeople to greet Sean at his new cottage, bringing him a flower to plant in his garden. Sean soon forms a strong bond with the Reverend, speaking with him regularly and seeking his counsel regarding his deteriorating

marriage and unwillingness to fight Will. After discovering that Sean's pacifism stems from his killing of a fellow boxer in the ring in America, the Reverend offers sage-like advice, convincing Sean that he need not be afraid and that some things are worth fighting for. His advice, justified as correct by the film's "happily-ever-after" ending, leads to Sean's renewed determination to fight for his happiness.

Sean is not the only Catholic inhabitant of Innisfree to view the Protestants as equal inhabitants within the society. The entire town, as the final scene emphasizes, values their relationship with the Protestant population. After discovering that the Reverend is being transferred to another parish, the town congregates along the road to wish him farewell. Father Peter Lonergan (Ward Bond) urges the crowd to vocalize their respect for the Reverend, telling all in attendance, "Now, when the Reverend...Playfair, good man that he is, comes down, I want yous all to cheer like Protestants." The priest's words and the subsequent actions of the townspeople demonstrate not only the peaceful coexistence of Protestants and Catholics within the community but an active dialogue and feeling of goodwill between the two faiths. Viewed in relation to the history of cultural conflict on the island and sectarian killings in the north, Ford's inclusion of both a non-threatening Irish nationalist and the Protestant community, reflects Ford's penchant for complicating and humanizing characters traditionally typed by other Hollywood directors, such as immigrants and Native Americans. The peaceful coexistence of these two communities, sans a British military presence, suggests an ideal vision of the Irish political landscape, a vision yet to be achieved. The tranquility of this diverse society discounts portrayals of the IRA as heartless monsters intent on the expulsion of all elements of British culture, Protestantism included.

The townspeople of Innisfree, representing the Irish population as a whole, reflect

Ford's view of Ireland as an ideal society. Richard English suggests that

> *The Quiet Man* is a romanticized celebration of pastoral Ireland, and [Ernie] O'Malley [an ex-IRA leader acting as a technical adviser on the film], like other IRA men of his generation, shared just such an image of their country. The ideology of the old IRA involved an arcadian Irish self-image, with the peasants defining true Irishness and providing an anti-modern alternative to the evils of industrialized life.[5]

What English fails to note is that the IRA were not the only group to hold such views of the island. Many descendents of Irish immigrants, at the time of the production's release and currently, hold such beliefs about Ireland. Contemporary films, such as *Waking Ned Devine* (Bonaparte Films, 1998) and *The Matchmaker* (PolyGram Filmed Entertainment, 1997), reflect views of the Irish as simple, fun-loving little people whose sharp wit and green fields remain untouched by politics, industrialization and poverty. Reflecting the acceptance of the leprechaun-type noted earlier by Burns-Bisogno, these films overlook the realities and complexities of the Irish landscape. Ford's use of Michaeleen, a pipe-smoking, alcohol-loving, silver-tongued trickster emphasizes this desire to see the Irish as inherently happier because of their simple life, a view of arrested development similar to one commonly held by whites concerning peoples of color in Africa and other "undeveloped" nations.

Despite Ford's complex portrayal of the militant Irish nationalist, the adoption of the savage-type, influenced by the British censors, soon became the mainstay of the American film industry. Interchangeable terrorists, almost indiscernible in their actions and rhetoric, replaced figures like Rory O'More, Forbes and Gallagher. The nationalists' main concern became their quest to expel the English, regardless of friend or foe. They are just as likely to kill one of their own than to allow any obstacle to stand in their way. Hollywood continues to vilify the Irish Nationalists, depicting them as cruel, mechanical murderers by employing age-old types that relegated them to the non-white position of savage. This self-censorship of the

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[5] English, p. 5-6.

American cinema, along with British suppression of Irish political images, brought about the institutionalization of the terrorist-type, and "by the 1950s negative Irish political stereotypes were firmly in place and would remain unchallenged for over thirty years,"[6] as is apparent in the few films made about Irish Nationalists in this era, such as *Beloved Enemy*. Though the Irish people, particularly Irish-Americans, had become white, films continued to employ types coded as non-white that had been used for centuries to relegate the Irish population to a position of racial inferiority.

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[6] *Ibid*., p. 4.

Title Page:
"The Greek Aesthetic of Oral Fluency"

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The Greek Aesthetic of Oral Fluency

From the very beginnings of Greek literature, the voice is described as *streaming* or *pouring* from the mouth, as a fluid issuing from a spout, while various liquids appear to share certain characteristics of the human voice. The ancient Greeks employed metaphor, simile, and a degree of personification to express an aesthetic of what might be called oral fluency. Such figures of speech merit special attention because they originally concern speech itself, and thereby reveal fundamental attitudes toward literary tradition, authoritative performance of poetry as well as oratory, and even divine inspiration. This paper will explore the Greek's general sense of verbal fluency by considering not simply (1) their inclination toward smoothly flowing language, but also (2) the fluid nature of the breath and the lungs according to ancient physiological theory, (3) the presentation of the mouth and lips as a kind of spout by the plastic arts, and (4) the symbolic value of water and other liquids in religious rites and social customs.

(1) I begin by drawing attention to certain basic facts about the preliterate stage of the Greeks' literature, the sound of their language, the rhythm of their poetry, and their style of writing – all of which simultaneously contributed to and were influenced by an aesthetic of oral fluency. Proper recital of ancient Greek entails pouring out the voice, syllable after syllable, in an uninterrupted stream. Graphically reflecting this continuous delivery, the Greeks deliberately preferred not to use spaces to indicate the ends of words when writing.

(2) I then discuss the closely related notion that the breath resembles a kind of stream, as well as the popular ancient belief that the lungs functioned not only as the destination of inhaled air and the source of exhalations, but also as the destination of imbibed liquids and the source of various bodily fluids. In fact, to explain how the lungs worked, the philosopher-poet Empedocles compares the *klepsydra* or *hydrarpax* ("water-snatcher"), a hollow vase from which the flow of liquid through a lower spout can be regulated by controlling the influx of air through an upper opening. A specialized form of this device actually served as a water-clock to time public speeches, so that in the classical world rhetoric and flowing liquid officially ran an identical course.

(3) Whether breathing or speaking, Greek mouths and lips naturally dispense some type of fluid. Likewise, a river's "mouth" (*stoma*) and even the "lips" of cups and other vessels (*kheilea*) dispense liquids. To further illustrate the Greek conception of the mouth and lips as a kind of spout, I point to the design of water fountains and rain gutters (and sometimes pitchers), which, from the archaic age onwards, commonly had spouts that directed water through the mouth and lips of some creature, usually a lion.

(4) Finally, in certain ritualized contexts and social settings, water and other liquids, especially wine, symbolically communicated, defined, and emphasized common values. For example, liquid offerings known as libations not only accompanied and marked the solemn expression of prayers and oaths, but the word for "libation" (*spondai*) also came to mean "treaty" or even "terms of the treaty." Similarly, a participant of a drinking party might make a toast by holding up a cup when addressing an honored guest. At a proper symposium the Greeks customarily mixed water with wine, and this mixture became a metaphor for the harmonious music and pleasant conversation that ideally accompanied civilized drinking.

Title: Crafting Wicked Identities: Early Modern, Trans-Atlantic Witchcraft Images

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ABSTRACT
An analysis of the illustrations used to construct a recognizable visual representation of witches provides a useful lens by which to view gender and "race" relations in the early modern world. In this paper I will analyze objects associated with witchcraft in the early modern Anglo Atlantic community. The careful analysis of the artifacts portrayed in broadsides, pamphlets, and theological tracts allows for insight into the intense concern shared by many Anglo colonists with preserving patriarchal social structures, religious conformity, and racial purity within the Atlantic world setting. Illustrations express complex cultural meanings and can be assembled and analyzed in manners similar to those used for archival written data. In the process of properly situating the illustrations with which I am concerned, I have attempted to apply the methods of related disciplines such as archeology, folklore, anthropology, history, religion, and gender studies. A multidisciplinary approach that embraces material culture provides an enriched understanding of the early modern use of art works to construct and define the demonic, highly sexualized "otherness" of women, Native Americans, and Africans. By focusing on the Anglo Atlantic world, which I define for the purposes of this paper as encompassing England, the Caribbean, small sections of South America, and those areas initially settled by the British in North America, I hope to show that over time the artistic representations of witches expressed nascent beliefs about race, while articulating and solidifying gender ideology.

An analysis of the illustrations used to construct recognizable visual representations of witches, provides a useful lens through which to view gender and "race" relations in the early modern world. In this paper I will analyze objects associated with witchcraft in the early modern Anglo Atlantic community. The careful analysis of images from broadsides, pamphlets, and theological tracts allows for insight into the intense concern shared by many Anglo colonists with preserving patriarchal social structures, religious conformity, and racial purity within the Atlantic world setting.

The coming of the early modern period brought a proliferation of witchcraft images. As literacy rates rose and print culture took off, broadsides, newspapers, tracts, sermons, and books began to be published and disseminated at hitherto unanticipated rates. The rise in witchcraft accusations, hunts, and trials also rose at an alarming rate beginning in the mid-sixteenth century and only fell off in the eighteenth century. It is the period from 1550 to 1750 with which I am concerned for the purposes of this paper and most of the images described and analyzed will fall from within this time span. While England and the Atlantic American settlements are the main categories with which I hope to deal in this paper, a brief examination of continental witchcraft images and data will enable English and Atlantic American images to be analyzed within their historical contexts. In addition, many of the colonists, indentured servants, or slaves knew one another and may have transplanted antagonism, suspicions, and age-old conflicts to America. The cultural melting pot of the Atlantic world, fraught with conflicts old and new, not only seethed with cultural legacies from distant lands, but also fostered cultural sharing in the areas of religion, witchcraft and magic. I assert that the material culture of the Atlantic world will show sites of interaction, conflict, rejection, and assimilation. Cultural

anthropology and historical anthropology will be particularly important for assembling a narrative of Atlantic interactions.

For the purposes of understanding witchcraft within the Atlantic world I have called upon methods from the fields of art history, religious studies, history, religion, folklore, and literature. While the historical study of witchcraft has an enormous and growing body of literature from which data and analysis can be gleaned, few historians have focused specifically on the print images of witchcraft with an eye towards uncovering the gender and racial constructs that lay buried within the symbolic meaning of the objects. This is certainly not to suggest that historians have disregarded the symbolic or constructed meaning of witchcraft, only that illustrations have not been studied in detail. In this paper, I will describe and analyze images from elite demonological tracts, paintings, and theological tracts. Whenever possible I have also included illustrations from works that would have been accessed by common people. While England's literacy rate was growing in the time period under discussion, literacy was not universal. New England had higher literacy rates and it is possible that a great many of the illustrations from books about witchcraft were accessible to a relatively large percentage of that community.

A brief historiography will serve to offer an introduction to the extensive work on witchcraft. For the purposes of this paper one of my interests is in assembling a picture of the gendered nature of witchcraft. The recognition and subsequent analysis of the gendered nature of early modern beliefs about witchcraft can be traced to changes within academics during the 1960's. While witchcraft had received considerable attention prior to the 1960's, research of the events failed to adequately analyze the relationship between

women, gender and witchcraft. Scholarship since the 1960's, attempting to address issues relating to the history of women, minorities, ethnicities, and religions has broadened the range of interpretational methods available to historians. Given the tumultuous social environment from which new methods and focuses developed, it is perhaps fitting that witchcraft accusations and trials should have received new attention after this period from historians interested In gender, women's studies, crime, and deviance. Witchcraft is inherently about conflict. Whether the conflict is between modernity and tradition, men and women, women and women, elite and popular culture, religion and magic, or amongst vying economic groups, it is a primary ingredient of witchcraft events. Studies that encompass women's social and religious experiences, culture, the construction of societies and identity, and the formations of gender ideologies have proliferated since the 1960's. What these studies have in common is recognition that conflicts drive the accusations that make up witchcraft events.

Given that this paper addresses witchcraft events among English colonist in the Atlantic world within a comparative context, it is important to list a few of the important academics that conducted research on the witch-hunts in England. Studies of the witchcraft events that preceded those in the New World provide scholars with important observations and methods from which to conduct new research. English attitudes crossed the seas and knowledge of English cultural attitudes may allow historians to assemble a deep body of research on Anglo-Atlantic witchcraft events. Observing how scholars analyze such events and the conclusions they have drawn may shed light on Atlantic New World attitudes.

The historian Alan Macfarlane focused his analysis of witchcraft on a single

community In England. By combining the methods of anthropology, history and sociology, he built a convincing database from which to expound his argument that the witch-hunts functioned as a means to relieve tensions within communities and served to explain disasters, accidents, illnesses, or untimely deaths.[1] His work in England is relevant to the study of colonial witchcraft as the colonial residents of the Caribbean and Americans, recent transplants from England, Africa, or the Americas, no doubt maintained cultural similarities to their cousins across the waters.

The work of Keith Thomas also remains important within the fields of witchcraft, religion, and folk studies. Thomas assembled and analyzed early modern English folk and elite beliefs pertaining to magic, religion, and witchcraft.[2] Jonathan Barry has assembled a collection of articles pertaining to Thomas's work and cultural history.[3] Barry, along with Macfarlane and Thomas, incorporate the methods of cultural anthropology through the use of functional analysis. In the case of witchcraft accusations, a functionalist conclusion might state that witchcraft arose as a means of facilitating the resolution of covert conflicts or tensions. Barry is careful to note the dangers of a functionalist approach and also to define the specifics of differing types of functionalism, and by doing so provides an excellent introduction to a method whose wide use informs many studies, including my own.

This being the case, the work of historians whose methods follow in the footsteps of

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[1] Alan Macfarlane, *Witchcraft in Tudor and Stuart England: A regional and comparative study* (New York: Harper & Row Publishers, 1970), 240.

[2] Keith Thomas *Religion and the Decline of Magic, Man and the Natural World*, New York: Charles Scribner's Sons, 1971.

[3] Jonathan Barry, Marianne Hester, and Gareth Roberts (eds.), *Witchcraft in Early Modern Europe: Studies in Culture and Belief,* Cambridge: Cambridge University Press, 1996.

Macfarlane and Thomas are of particular relevance. Robin Briggs' essay, "'Many reasons why': witchcraft and the problem of multiple explanation," provides an excellent review of the past and current methods of analyzing witchcraft research.[4] Briggs also uses the methods of cultural anthropology and sociology as the basis from which to argue his position in *Witches and Neighbors: The Social and Cultural Context of European Witchcraft*.[5] His use of the methods of cultural history, psychology, and sociology allows him to argue that in some instances witchcraft accusations occurred because many early modern societies did not have sufficient conflict resolution options available to those members whose talents exceeded the limited opportunities offered by a small or rigidly hierarchical community. He combines this argument with an assertion that witchcraft is constructed and must be understood within the context of the culture from which it emerges and argues, "witchcraft is therefore culturally constructed in a specific sense, for it depends on certain views about the natural world and the ways it operates." Briggs's use of functionalist explanations with psychological and sociological analysis is an important example of the successful use of interdisciplinary methods.

A further development within the discipline of history has been the rise of gender, power, and identity history. Studies informed by these methods focus on the construction of masculinity, femininity, power relations within societies, and the formation of identity. Deborah Willis's book, *Malevolent Nurture: Witch-hunting and Maternal Power in Early Modern England*, is informed by a feminist sensibility that

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[4]Robin Briggs, "'Many reasons why': witchcraft and the problem of multiple explanation," in Jonathan Barry, Marianne Hester, and Gareth Roberts (eds.), *Witchcraft in Early Modern Europe: Studies in Culture and Belief,* Cambridge University, 1996.

[5] Robin Briggs, *Witches and Neighbors: The Social and Cultural Context of European Witchcraft,* New York: Viking, 1996.

seeks to understand witchcraft within the context of gender, particularly those constructs related to femininity.[6] Some works by feminist historians have been positioned by their arguments to reflect a bias against the male sex, viewing men as hunters, victimizers and perpetrators of all violence without sufficiently addressing cases of women who attack other women or men. The polemics Involved In some of these works obscures the predominance of women as accuser. The historian of Scottish witch-hunts, Larner, insists that women who caused harm to other women during the witch-hunts did so out of the fear that nonconformity with male standards would cause their own positions within society to degrade.[7] Works on witchcraft that offer conclusions that present witchcraft events as absolute example of misogyny appear to lack a holistic understanding of the complex context of accusation and trials. Some of these works offer conclusions that are not sensitive to masculinity and male sexuality as constructs that have limited the experiences of nonconforming men.

Along with the cross cultural emphasis on conflict and gender has come the embrace of the methods of literary theory. The employment of literary theory has initiated a rise in interest among scholars in analyzing and critiquing historical texts. An edited volume of essays by Stuart Clark published in 2001, *Languages of Witchcraft*, explores themes of authority, gender, the construction and maintenance of political and communal power structures, sexuality, print culture, and crime. The essays collected in this volume provide scholars just beginning the study of witchcraft with exciting new ways of analyzing the events in the context of language, society and culture. As Stuart Clark

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[6] Deborah Willis, *Malevolent Nurture: Witch-hunting and Maternal Power in Early Modern England,* Ithaca: Cornell University Press, 1995.

[7] Christina Larner, *Enemies of God: The Witch-hunt in Scotland*, Baltimore: The Johns Hopkins University Press, 1981.

indicates, in a long section worth quoting at length, in his introduction,

> Paying attention to the way witchcraft was constructed, imagined, and represented, to its ability to carry meanings, and to its political, moral, and psychological significance in the lives if the individuals and communities might be a different way of approaching it from that adopted in the past, but this approach itself owes much to theoretical assumptions about the relationships between beliefs and behavior, language and reality, and the historian and the past.

New ways of analyzing witchcraft events take into consideration a full range of contexts. The application of analysis to the minutia of society and the cultural beliefs of that society is leading historians in fascinating new directions that have the ability to provide scholars with a more in depth understanding of how communities are constructed and maintained at the popular and elite levels of societies.

Moving from historians primarily interested in examining English witchcraft to historians whose work primarily covers North America and the Caribbean, I have found that conflict, gendered and overtly racist, remains at the heart of witchcraft accusations. One of the first important books about witchcraft to come out of the cultural and social history paradigm in colonial North America centers on the events of Salem. Paul Boyer and Stephen Nissenbaum collaboration focuses on the events at Salem during the years of 1692-1693. By analyzing data from the Salem courthouse, Boyer and Nissenbaum came to posit that social conflicts Involving Issues of morality, inheritance, and the economy lay at the root of accusations. Boyer and Nissenbaum assert that the community, stretched to its limit by simmering political, religious and economic conflict, grew increasingly critical, suspicious and aggressive.[8] The accusations of witchcraft, confessions, and subsequent executions of unrepentant witches acted as a cathartic event that released the

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[8] Paul Boyer and Stephen Nissenbaum, *Salem Possessed: The Social Origins of Witchcraft*, Cambridge: Harvard University Press, 1974, 43.

tension. Boyer and Nissenbaum fail to adequately take into consideration sex and gender issues when analyzing the data. Despite this, Boyer and Nissenbaum's works continue to be cited by historians and remain important resources.

The historian John Demos's work provides a demographic study of witchcraft accusations that relies upon the foundational work conducted by Boyer and Nissenbaum, but ranges across New England rather than focusing on Salem. Demos also relies upon work conducted by Macfarlane and Thomas in order to provide a foundation from which to base his analysis of the social and cultural contexts of witchcraft accusations.[9] In *Entertaining Satan*, Demos conducts his analysis of witchcraft through a multidisciplinary lens that embraces the methods of sociology, psychology, history and ethnography. Interestingly, while asserting that women had indeed been persecuted more often for witchcraft than men, Demos denies that New England experienced any overt conflict between men and women that would have formed the basis of the witchcraft events.[10] He notes, however, a covert connection between menopause and witchcraft accusations, showing that women were more vulnerable to accusations after this point in their life cycles.[11] Demos conclusion notes that antisocial behavior, exterior and interior economic threats, social rank, and the witchcraft accusations intertwined in complex and fluctuating relationships. By refusing to name one single event as having caused the witchcraft events of New England Demos' work represents a mature understanding of the complexities of history.

Another noted historian of Early America, Carol Karlsen's has attempted to analyze

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[9] John Putnam Demos, *Entertaining Satan: Witchcraft and the Culture of Early New England*, Oxford: Oxford University Press, 1982, 62.

[10] Demos, 63.

[11] Demos, 67-70.

witchcraft accusations in New England. While the scholars Interested In New England witchcraft mentioned thus far have made mention to English witchcraft, Karlsen is alone in presenting material that shows how witchcraft beliefs have changed over time and geography while still maintaining some Old English tendencies. Karlsen asserts,

> the special conditions of life the colonist faced led them gradually to alter some of their ideas on witchcraft. Most notable, they became less certain than their parents and grandparents had been that witchcraft was the special province of the female poor.[12]

Karlsen is able to show that witchcraft in Old England had been mainly viewed as the ability to cause harm to one's neighbors and their belongings. In New England, this definition of witchcraft became intertwined with Puritan doctrine that equated witchcraft with the worship of Satan in exchange for worldly pleasures. The linking of the two beliefs led to the excesses of the colonial witchcraft events. Karlsen asserts,

> when both views were operating, the accused was likely to be declared a witch: an enemy of both New England society and the Puritan faith. When both concerns were particularly widespread and intense, accusations could multiply, affecting the lives of not just one or two people but many.[13]

The inclusion of data on Old England broadens the appeal of Karlsen's analysis and allows interested historians the material with which to begin to compile a history of witchcraft that is transatlantic and cognizant of change over time in witchcraft beliefs. Her work has been fundamental to my own understanding of the construction of witchcraft beliefs In England and America.

The historian Richard Godbeer, while certainly giving proper weight to the gendered nature of witchcraft accusations, believes that the definitions of witchcraft, religion and

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[12] Carol Karlsen, *The Devil In The Shape of a Woman: Witchcraft in Colonial New England*, New York: WW Norton & Company, 19887, 2

[13] Karlsen, 5.

magic must be understood before undertaking a study of the New England witchcraft events. Godbeer argues that the stubborn persistence of traditional "magic," folk practices and superstitions within the New England colonies became intolerable to Puritan ministers.[14] He posits that the differences between lay and theological conceptions of magic may have allowed magical traditions to persist until their popularity became manifest in ways that demanded a response from the theological community. Godbeer's book provides scholars with data on what constituted the difference between magic and religion in the early modern period, discusses the ways definitions of magic and religion were manipulated by different class levels, and formulates an interesting and well-informed analysis of witchcraft events. His work is important for defining witchcraft, magic, and religion within the context of New England. By offering important definition his work, along with Thomas's, provides scholars with the fundamental belief structures from within which the accusations and hunts may have developed.

The historian Bernard Rosenthal has revisited the data that Boyer and Nissenbaum compiled and reanalyzed it by placing the events in chronological order. Pertinent to my own work, Rosenthal convincingly exposes the truth behind the legends associated with the slave Tituba's role in witchcraft. Rosenthal asserts,

> Although no one race or color consistently defines her, Tituba remains in our mythology as the dark woman, the alien, who enters the Puritan world and plunges it into chaos. The myth of dark Tituba recapitulates with an American tint the myth of original sin, the archetypal tale of the woman progenitor of evils to come. [15]

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[14] Richard Godbeer, *The Devil's Dominion: Magic and Religion in Early New England*, Cambridge: Cambridge University Press, 1992, 6.

[15] Bernard Rosenthal, *Salem Story: Reading the Witch Trials of 1692*, Cambridge: Cambridge University Press, 10-14

Rosenthal's work raises the awareness that identity plays a significant role in the construction of gender, authority, and power. These issues influenced the witch-hunts of New England; if not overtly, then certainly covertly. They also continue to affect our understanding of historical events, as Rosenthal's analysis of Tituba and her portrayal in modern history books indicates. As such, Rosenthal's work is important to understanding cultural racism, colonial attitudes, and the gender constructs underlying accusations of maleficium.

It is important to recognize that religion played an important, if not crucial role, in witchcraft accusations. Elizabeth Reis, in her book *Damned Women* published in the late 1990's, argues that witchcraft events only could be properly understood by analyzing the religious context of the period in which they occurred. According to Reis, an underlying tension between Puritan theology and women's roles in the community gave rise to the witchcraft accusations at Salem.[16] The association of women with nature allowed for the formulation of the belief that women were more open to temptation and walked a fine line between sanctity and sin. Reis claims, "if witchcraft episodes were extraordinary, they did not emerge out of thin air. Derogatory cultural images of women fueled witchcraft accusations and proceedings, and women's guilt over their perceived spiritual inadequacies could even lead them to confess to specific transgressions they apparently had never committed." [17]

In a move away from Reis's focus on Puritanism as a lived religious experience of internalized guilt and misogyny, Mary Beth Norton's posits that anxiety relating to the

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[16] Elizabeth Reis, *Damned Women: Sinners and Witches in Puritan New England,* Ithaca: Cornell University Press, 1997, 1-2.

[17] Reis, xv.

threat of attack posed by Native Americans formed the basis of Essex County (which includes Salem) witchcraft events.[18] Many New England colonists associated the Native Americans with the Devil. As agents of the Devil the natives were believed to be able to possess or influence vulnerable colonists. Such views were useful for justifying colonial domination of native peoples.

Recently, researchers in colonial witchcraft have undertaken to analyze and compare witchcraft events from the Old World and New World in the hope that such research will shed new light upon the legacy of cultural and social conflicts within which witchcraft accusations and trials took place. Elaine Breslaw's work has been of importance In providing the groundwork from with Atlantic witchcraft studies can be launched.[19] By assembling a rich and diverse range of material on witchcraft, magic and religion in the Atlantic, Breslaw provides students of transatlantic history with a wealth of source material from which to begin the task of constructing an a narrative of gender and race relations.

As a final point before I begin my analysis, I feel it is necessary to further define the terms 'race' and 'racism' that I will be using in this paper. Ania Loomba has attempted to trace the meaning of the term race by using the plays of Shakespeare.[20] She argues,

> in medieval culture (and earlier in Greek and Roman traditions) blackness was a symbol for a variety of differences. We've already remarked that the devil, Saracens, and other enemies of Christianity were represented as black….Blackness

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[18] Mary Beth Norton, *In The Devil's Snare: The Salem Witchcraft Crisis of 1692,* New York: Alfred A. Knopf, 2002.

[19] Elaine Breslaw, "Strange New World," in *Tituba, Reluctant Witch of Salem* (New York: New York University Press, 1996), Breslaw (ed), *Witches of the Atlantic World: A Historical Reader & Primary Sourcebook* (New York: New York University Press, 2000).

[20] Ania Loomba, *Shakespeare, Race, and Colonialism*, Oxford: Oxford University Press, 2002.

> represents danger, becoming a way of signifying what lies outside familiar or approved social, political, religious, and sexual structures.[21]

Loomba appears to identify the racism that arises from representing black or tawny skinned people as dangerous outsiders cultural or religious racism, related to colonial discourse, to denote its lack of a strict biological component that characterized eighteenth century racism.[22] James W. Perkinson argues that in the early periods of colonization,

> Theological assessment quickly invested itself in epidermal appearances both light and dark. Christian supremacy gave birth to white supremacy. Indigenous religious practice, in both the Americas and Africa, was frequently "divined" as a demonically inspired "black art[23]

In a book that investigates the meanings and uses of color, John Harvey notes, "black is rich and has many meanings, but its most widespread and fundamental value lies in its association with darkness and night, and with the ancient imagery that connects night with death."[24] Linda Van Norton, in a compilation assembled from her notes after her death, had noted "black signifies things primitive or elemental (a black skin, human or animal, is emblematic of lust, for example), negation (a black skin which cannot be washed white also signifies the impossible), sins and virtues of omissions, sometimes things old, as in conservative traits, and in general, things beyond human power to conceive, understand, or do."[25] In "Was Religion a Kinship Surrogate?" Ferren MacIntyre attempts to push the construction of race, as a category or cultural and

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[21] Loomba, 36.

[22] Loomba, 23-44.

[23] James W. Perkinson, "Reversing the Gaze: Constructing European Race Discourse as Modern Witchcraft Practice," *Journal of the American Academy of Religion*, September 2004, Volume 72, Number 3, 619, 603-630.

[24] John Harvey, *Men in Black*, Chicago: University of Chicago Press, 1995, 41.

[25] Linda Van Norden, *The Black Feet of the Peacock: The Color-Concept "Black" From the Greeks through the Renaissance*, John Pollock, ed., Lanham: University Press of America, 1985, 212.

religious difference, back to Neolithic societies.[26] While this is purely theoretical and requires more detailed analysis, it does indicate that differences of skin color have been used for far longer than an analysis of purely biological theories of racism allow. My use of the term race and racism in this paper reflects Loomba's scholarship and the work of numerous scholars involved in the developing discussion of medieval and early modern race.[27] In the course of my research I have been struck by the use of descriptive adjectives of blackness and tawniness to describe dangerous, effeminate, highly sexual, or evil beings or powers. I hope to expose the underlying cultural and religious racism of early modern discourse on difference or otherness by providing an analysis of illustrations associated with witchcraft, evil, and the devil that served to identify and vilify dark skinned peoples. Particularly in the early modern period the language of otherness was used to differentiate light skinned Europeans from dark skinned Africans, Muslims, and Native Americans, as colonial activities demanded the use of the negative construct of blackness or tawniness to justify slavery, religious persecution, occupation forced conversions.

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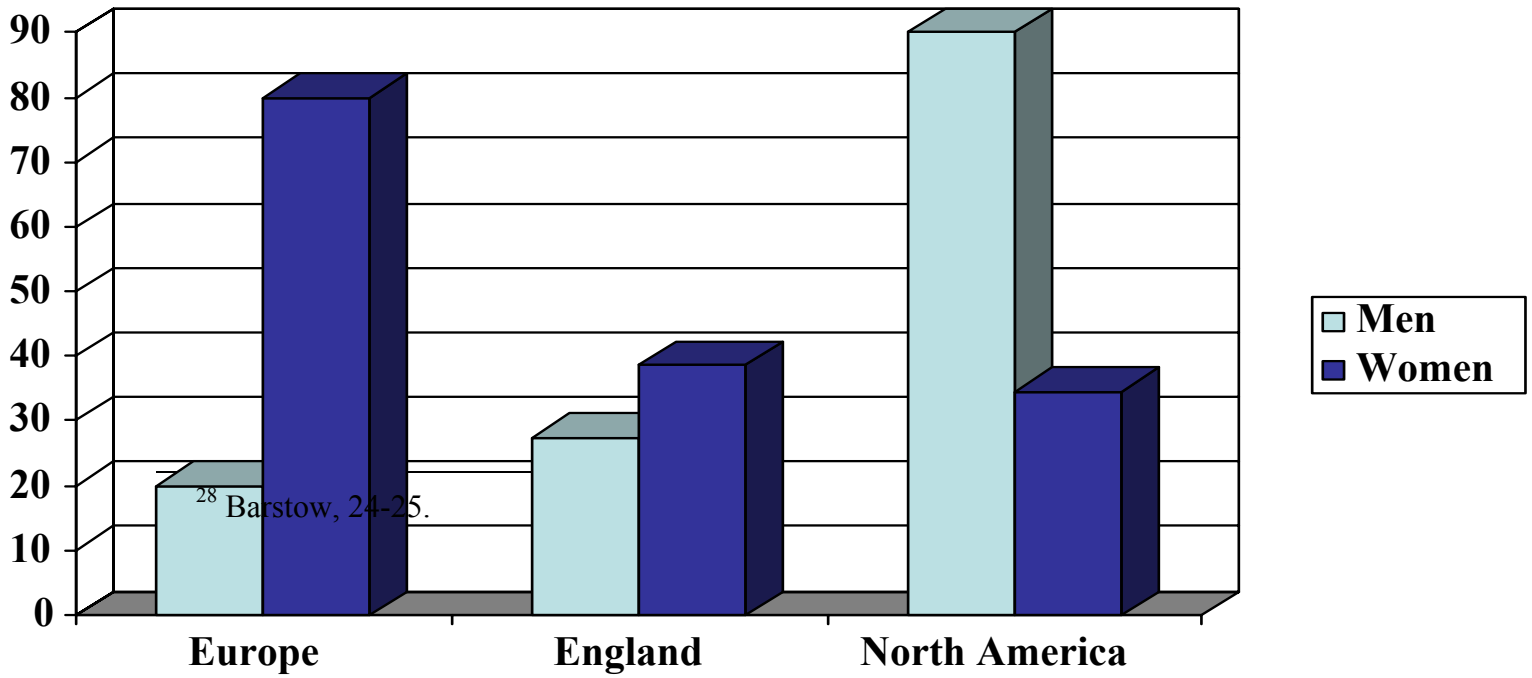
[26] Ferren MacIntyre, "Was Religion a Kinship Surrogate," *Journal of the American Academy of Religion*, September 2004, Volume 72, Number 3, 660, 653-695.

[27] See Robert Bartlett, *The Making of Europe, Conquest, Colonization and Cultural Change 950-1350*, Princeton, 1993; Peter Fryer, *Staying Power: The History of Black People in Britain*, London, 1984; Anthony Barthelemy, *Black Face, Maligned Race*, Baton Rouge, La, 1987; Kim F. Hall, *Things of Darkness: Economies of Race and Gender in Early Modern England*, Ithaca, NY, 1995; Peter Hulme, *Colonial Encounters, Europe, and the Native Caribbean 1492-1797*, London, 1986, Stephen Greenblatt, *Learning to Curse*, New York, 1990. This list is hardly exhaustive but does provide a good introduction to the growing body of literature.

I. The Illustrated Witch

In this section I am primarily interested in describing illustrations from elite culture that served to define discourse on witches. Section two will serve to analyze the illustrations for gender meaning, but at this juncture it is necessary to provide detailed descriptions of the foundational images.

One element of witchcraft images that remained stable throughout most areas of the western world in the early modern period was the predominance of images of the witch as female. Although, as Anne Barstow asserts, men could also be witches and in some areas formed the majority of victims of witchcraft accusations,[28] it remained normative throughout the period under discussions to portray witches as women, and women bore the brunt of accusations and executions. As Barstow argues, and can be seen from Chart one, women far outnumbered men when it came to being accused and also in the numbers of executions. As Chart one indicates, the percentage of women who faced accusations averaged 85% whereas only 20% of men ever faced accusations of being involved in



[28] Barstow, 24-25.

witchcraft.[29] In the medieval and early modern periods, however, at certain places and times, men were accused and executed in larger numbers than women. These area, however, are exceptional when viewed within the context of the record of witchcraft phenomena in its entirety.

Karlsen's research attempts to show why women were more often accused than men in an innovative manner that indicates that gender constructs operated to the detriment of women in covert as well as overt ways. Karlsen notes in a discussion of six women, who were accused as witches In New England,

> the six women featured in these histories were either 10 daughters of parents who had no sons (or whose sons had died), 20 women in marriages which brought forth only daughters (or in which the sons had died), or 30 women in marriages with no children at all.[30]

What these women ultimately had in common was the right to inherit a significant amount of their husband's property and money. As Karlsen further explains, "these women were aberrations in a society with an inheritance system designed to keep property in the hands of men."[31] Karlsen's analysis of the economic basis of the witchcraft accusations indicates that witchcraft beliefs had undergone a change from the English model of the poor and socially marginal witch to include women and men of middling wealth and rank in Colonial New England. The conflict between gender constructs that demanded certain life circumstances for women and the realities of colonial life gave rise to tensions that may have facilitated the ease with which many community members accepted that the accused were guilty of witchcraft.

Karlsen's argument is convincing, however, religion cannot be left out of the picture.

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[29] Barstow, 23-26.
[30] Karlsen, 101.
[31] Karlsen, 101.

Reis has argued that misogyny inherent in Puritan communities as a lived experience, internalized by women, gave rise to the accusations and the confessions. Reis asserts,

> women, in contrast [to men], more often achieved a darker wholeness that equated their transgressive behavior with a perceived basic depravity; a woman's sinfulness encompassed her entire being. If she were truly sincere in her profession of faith, a woman found it necessary to confront her prescribed essential depravity.[32]

Essentially, women who came before the minister to present their conversion narratives frequently equated their sins with their bodies unlike men who recognized a distinction between their bodies which might sin and their spirits which were aligned with God. By studying masculinity as well as femininity Reis is able to uncover the religious dogma associated with gender that may have led more women than men to act as accusers and to be accused, while also exposing the internalized beliefs that enabled men to believe tales of witchcraft made by and against women, and men associated with these women or who failed to conform to gender expectations.

Norton, as noted previously, traced the Salem conflicts to fears caused by conflicts with Native cultures. She was able to trace lines of connection that indicated that many of the accused had been in some manner Involved with failed battles against Native Americans or were survivors of raids upon colonist's holdings by Native groups. Deborah Willis has analyzed English literature of the early modern period and has come to the conclusion that "witches were women…because women are mothers: witchcraft beliefs encode fantasies of maternal persecution."[33] The role of mother was particularly important in the lives of early modern women. Women were expected to nurture their children and provide them with appropriate gender models for their future roles in

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[32] Reis, 42.
[33] Willis, 6.

society.

Other historians, already discussed, offered social or religious conflicts as explanations, placing women at the forefront of group tensions caused by changing economic, religious, or political circumstances. When discussing the accusers Demos asserts that the accusers may have been hysterics, some of who may have been clinically ill and some who may have used the accusations in order to gain attention for themselves and initiate catharsis from issues relating to motherhood, childbirth, and authority.[34] Walter Stephens has offered a compelling argument that theologians needed to prove the verisimilitude of witchcraft accusations in order to by extension provide evidence for the existence of Godly interaction. These theologians used misogynist constructs in order to accomplish their goal, but were not interested in attacking or hunting women as women.[35] While many explanations have been offered for the disparity between women and men in accusations and executions, some conflicting, none completely answers all the contingencies. What does appear apparent, however, is that issues of sexuality, race and gender played a role in establishing and supporting beliefs about maleficium.

Early in human history there appears to have been a predisposition to imagine and portray witches as women.[36] The tendency to portray women as particularly disposed towards the use of magic, for evil or good, existed within Roman, Greek, and Judaic cultures. As Christianity arose from the dominant cultural systems of the ancient Roman world beliefs about women, sexuality, and gender became the subject of many theological writings. The medieval period witnessed the proliferation of images of

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[34] Demos, 209.

[35] Walter Stephens, *Demon Lovers: Witchcraft, Sex, and the Crisis of Belief*, University of Chicago: Chicago, 2002).

[36] Ogden, 65.

heretics, Jews, and lepers that gradually became more and more associated with witches. The black, conical hat typically used in illustrations of witches made its first appearance upon the heads of Jews. RI Moore has noted that the sexual excesses, accusations of demonic association, sexual libertinism, and physicality of heretics, Jews, and lepers represent traditional accusations from antiquity. Any group or person who deviated from the constructed norms of identity prescribed by their society came to viewed with suspicion by their neighbors. [37] Descriptions and illustrations of witches from the ancient and medieval periods indicate that a witch was usually a women, or failing that a man made effeminate by association with excessive sexual desire, whose character or circumstances caused her to appear to deviate from normative gender constructs.

In the early modern era, writers in the Holy Roman Empire and France placed heavy emphasis on the belief that witches signed pacts with the Devil and by so doing gained the promise of riches and fame. Traditional images and symbols associated with continental accusations and trials include the figure of the black man or a man clothed in black (Figs 4, 5, 6) who seduced a susceptible woman and led her into witchcraft. These black, dark skinned, or tawny figures are extremely interesting for the investigation of early modern racial attitudes. In medieval and early modern literature dark skinned people were believed to be highly sexed, prone to irrational behaviors, and invested in non-Christian beliefs.[38] Within Figures six through nine witches can be seen with black devils. The fact that the devils and demons were imagined as being black had important consequences for European and English relations with darker skinned peoples of the

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[37] R.I. Moore, *The Formation of a Persecuting Society: Power and Deviance in Western Europe, 950-125*0, New York: Blackwell Publishers, 1987.

[38]Kim F. Hall, *Things of Darkness: Economies of Race and Gender in Early Modern England*, Ithaca: Cornell University Press, 1995, 4-9.

world. With this trope in place the portrayal of the devil and demonic forces as black takes on powerful associations that must have affected the interactions white Europeans had with Africans, Muslims, and Turkish peoples. This will be discussed later in Section Two's analysis of the images as racial constructs.

As can be seen from figures one and nine, early modern books and pamphlets in Europe, England, and New England contained images of witches working their magic. In these images witches are portrayed as females laboring over a cauldron filled with some sort of noxious substance. A close look at the images show that the witches were not young women. Witches were frequently portrayed in art as being older women, sometimes quite ugly or haggard looking. In reality most witches were women of menopause years. The use of the cauldron, a standard metal cooking pot, by witches points to anxiety within early modern communities, perhaps about the potential for women to misuse domestic power, usurp authority, or act independently of patriarchal control. In Section Two I will discuss the beliefs behind such fears in more detail.

We also see in figures six and seven witches riding ordinary looking broomsticks with their companions. Presumably these witches would have been on their way to the Sabbat in order to participate in sexual excess, gluttony, wild dancing, and to fiendishly plot against their neighbors. Theologians writing in the medieval period had maintained that witches only dreamed or imagined that they flew to such encounters. The Canon *Episcopi* sought to make it heretical to assert that witches actually flew to Sabbat's because such beliefs incorporated the pagan goddess Diana. The fifteenth century witnessed theologians grappling with how to accommodate belief in night flight with the

Canon Episcope.[39] Some theologians asserted that witches actually rode animals to the Sabbat, but later lore asserted that witches rode upon brooms, poles, or branches that demons levitated.

Continental imagery, as opposed to English, contained more highly sexualized content and placed greater weight on the Sabbat and the Devil's pact. The Inquisitor Matthew Hopkins, figure four, staged a continental hunt in England for a brief period of time, but he was met with resistance and forced to leave England. Figure two illustrated witches attending the Sabbat feast. Again, note the nude black figures, presumably demons or devils embodied in male form, portrayed in sexual poses with the female witches. The Devil is interestingly not portrayed as having black skin in this illustration, but was frequently described as being black or tawny in confessions.

The sexual and gendered aspects of witchcraft lore can also be seen in figure nine, from the Early Modern Germanic area, in which a woman was shown being seduced. In this illustration a devil is seen cozying up to a vulnerable women. As in previous figures a devil or demon is portrayed as taking the male form in order to entice a female. Only a few illustrations portrayed a female demon, sometimes referred to as a succubus, seducing a male. Witches were believed, as noted above, to have sex with demon or devils. A large amount of literature exists from the medieval and early modern periods attempting to describe and justify the ability of demons or devils to attain material bodies, perform sexual acts, and, in the case of sex with women, procreate. As noted, while lore about the Sabbat and sexual licentiousness of witches existed in Europe, England, and New England, it held a place of higher prominence in Europe. The emphasis appeared to

[39] Stephens, 125-179.

remain, however, on the susceptibility of women to the lure of evil and the dangers inherit in unregulated female sexuality, as shall be further analyzed in the next section of this paper. Figure three of witches being burned or abused by male magistrates, also from an early modern German area, for their crimes indicates how normative it was for witch to be imaged as female. These images were not limited to Europe. Figures ten portrayed an older witch being escorted to her death by male guards in Massachusetts. Figure thirteen presents the hanging of a witch also in Salem. Again, the witch was female while the executioners were male.

In Figure eight we see a witch being presented with a black animal familiar. Familiars and shape changing witches held greater importance in English and Colonial America witchcraft lore than in European. In Figure Three a rabbit is portrayed. In England the rabbit was one of the most familiar animals into which a witch would transform. Black cats and dogs made appearances, dogs more often in New England, as did frogs, snakes, and unusually spotted or deformed animals. In many cases it appears that the witch was able to use her familiar or shape change into an animal in order to cause misfortune to others or to spy on her neighbors.

The fact that images of animal familiars, demons, and the Devil were predominantly

Fig one, right. Figure Two, left [40]

[40] Figure one courtesy of the Witchcraft Museum. Figure two, "Newly initiated witches attending Satan at court." From Gerard d'Euphrates' Livre de l'histoire & ancienne cronique, 1549

black or tawny is striking. When white Europeans came into contact with actual darker skinned peoples, which they increasingly did during the Early Modern period, the tropes associating darkness with sin and evil must have had an effect upon these encounters.

Years of association with these images would have predisposed white Europeans to view dark skinned peoples as somehow marked by evil. Christian legends of Cain's mark were presented as explanations for the darker skinned colors of Africans and Native Americans.[41] As English colonists settled in the area of North America named New England and began forming communities centered on the tenets of Congregationalist religious practices views about dark skinned devils must have shaped their interaction with American natives. Figure nineteen is a representation of the interaction between the Puritan colonists and the Native Americans they encountered. In this image white Englishmen, fully clothed, look on at the near naked Native Americans.

[41] James A. Monroe, *Hellfire Nation: The Politics of Sin in American History*, New Haven: Yale University Press, 2003, 132.

Figure Three[42]

[42] Figure Three, Barstow, 146. Courtesy of the Dover Pictorial Archive Series. Copy of a newsletter from Germany printed in 1555.

Fig. Four, right. Fig. Five, left.[43]

[43] Figure Four, Pepysian Library, Magdalene College, Cambridge, http://www.augustana.edu/academ/history/witchcraft/gvpeople.htmHopkins. Figure Five, *Frontispiece from Matthew Hopkins 'discovery of Witches' 1647*

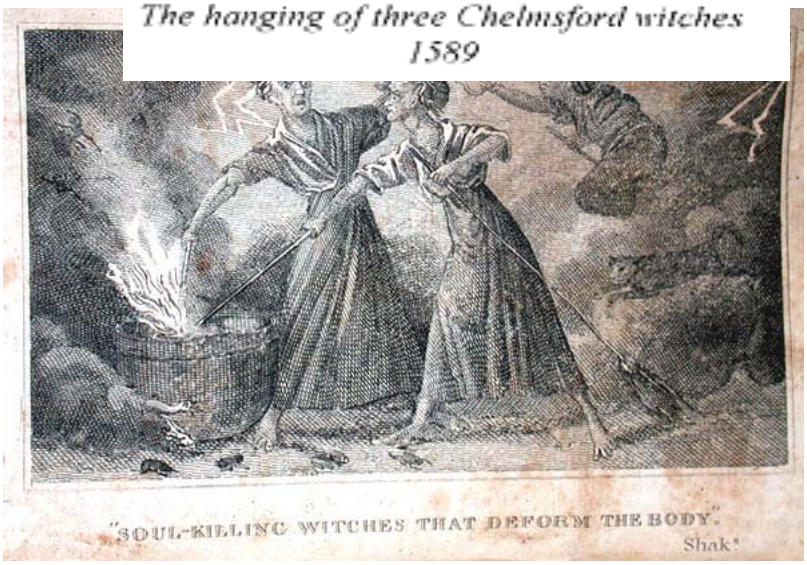
Fig. Six, top left. Fig. Seven top right. Figure Eight, right bottom. Figure Nine left bottom. [44]

[44] Figures Six-Eight, courtesy of the Salem Witchcraft site, http://www.law.umkc.edu/faculty/projects/ftrials/salem/SAL_IEXA.HTM.
Figure 9, "Devil seducing witch." From R.P. Guaccius' Compendium Maleficarum, accessed via the Witchcraft Museum.

Fig. Nine, bottom right. Fig.Ten, bottom left.

Fig. Eleven and twelve Top left and right.[45]

The hanging of three Chelmsford witches 1589



ARRESTING A WITCH.

[45] Figures eleven and twelve are courtesy of the Witchcraft Museum, Figure Nine, Frontispiece, The Wonders of the Invisible World Displayed, by Robert Calef. New Edition. Boston: T. Bedlington, 1828. Image by permission of the University of Virginia Library, Special Collections. © The Rector and Visitors of the University of Virginia, 2003. Figure Ten is courtesy of "Arresting a Witch." The picture illustrated an article by T. W. Higginson, "The Second generation of Englishmen in America," which briefly describes the Salem witch trials. Artist Howard Pyle, Harpers New Monthly Magazine, Vol. 67, (June - November), 1883: 221, accessed at http://www.law.umkc.edu/faculty/projects/ftrials/salem/SAL_IEXA.HTM.

Fig. Thirteen.[46]

[46] Figure Thirteen is of the hanging of a convicted witch Bridget Bishop, http://www.law.umkc.edu/faculty/projects/ftrials/salem/SAL_IHAN.HTM.

Fig. 14 [47]

[47] Figure 14, "Examination of a Witch" Thompkins H. Matteson, 1853.

Fig. 15.[48]

[48] Fig. 15 courtesy of http://www.pghs.org/library/Puritan.html

Section II: Illustrating Gender and Race

Now that I have described a small sample of images, it is time to turn to analyzing the cultural meanings of the images. The images used to portray witchcraft beliefs expressed constructed beliefs about women and race. An analysis of the images will indicate that cultural and religious racist beliefs united with gender stereotypes in early modern witchcraft lore. Racist and gender biased images helped to justify colonial oppression and the continued subjugation of women by associating dark skinned peoples and women with evil, sexuality, and irrationality.

As seen in Figures four through six, the Devil and his servants were portrayed as black skinned males or as seductive male characters frolicking with witches. When the devil's color is examined, the racial roots of some witchcraft tensions can be seen. The Devil, devils, or any of the associated minions are pictured as having dark skin. The threat of female sex with these dark skinned male figures betrays a fear of miscegenation. The eminent Church Father, Augustine, had written despairingly of Ethiopians because of their black skin.[49] Augustine's influence with the Catholic and Reformed traditions of Christianity remained strong throughout the early modern period. His views on blackness no doubt influenced the representation of the devil and evil within Christianity. If blackness was associated with sin, disorder, and evil women who participated in sexual acts with black men invited evil into their communities and threatened the purity of religion and culture

Patriarchal control of the household would be threatened if women expressed their sexuality with men other than their husbands. Married women pledged obedience to their

[49] Augustine, Psalm 72,

husbands and effectively operated within marriage as subservient members of their husband's household. In order for males to preserve their power and positions of authority within the home, female sexuality had to be controlled. Witches, either widows, unchaste single women, or adulterous wives threatened the stability of the household. The witch acted in a treasonous manner by granting her body, properly the possession of her husband or father, to the devil. The blackness of the devil added to the threat and injury. His blackness would make her betrayal visible to the community, subsequently exposing the disorder of the household. Disorderly households were blamed on males who did not adequately control their wives and children. A mans status was bound up in issues of masculine control and dominance. As Kim Hall has argued,

> the black/white opposition posits a special relationship between white femininity and black masculinity that is negotiated in artistic representation, discursive practices, and social modes…..Concerns over the whiteness of English women and the blackness of African men (and the mixture of both) projects onto the bodies of white women the anxieties if an evolving monarchical nation state in which women are raw repository of the symbolic boundaries of the nation.[50]

When viewed within the context of actual contact with black skinned individuals it becomes apparent that blackness threatened social order. As Anthony Barthelemy argues "blacks, in addition to being thought sinful, were also thought to be bestial."[51] Witches mating with black devils introduced this bestial nature into white societies. As interactions with Africans and Native Americans became frequent these fears entered into the racial constructions. White men feared that dark skinned males would corrupt their

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[50] Kim Hall, using the analysis of Enloe and Yuval-Davis, *Things of Darkness: Economies of Race and Gender in Early Modern England,* Ithica: Cornell University Press, 1995, 9.

[51] Anthony Gerard Barthelemy, *Black Face maligned Race: The Representation of Blacks in English Drama from Shakespeare to Southerne*, Louisiana State University Press: Baton Rouge and London, 1987, 4.

women. Any association between the two threatened white civilization and introduced disorder and instability into European societies.

Furthermore, by agreeing to serve the devil, a witch also usurped her husband or father's power over her actions and could in some circumstances leave him legally liable for her evil deeds. Additionally, any children born to a married witch would be assumed, prior to evidence otherwise, to be the lawful progeny of her husband. The duped husband would be supporting, nurturing, and endowing a stranger's child rather than his own progeny. Hence the witch was also stealing her husband's resources and using them to further the cause of the devil. Widows who made pacts with the devil or used magic to achieve their ends were also subverting male authority. Rather than remarrying and putting their property and bodies back into the male dominated economic system, widows asserted authority and acted with power in the supernatural worlds. In effect, they challenged the gender constructs of society, set bad examples for other women, and, by trafficking with evil, allowed the breaching of the confines of their communities.

The image of the Devil, while not the primary focus of most English witchcraft events, was not completely absent. In New England the presence of the devil in witchcraft events loomed large, perhaps due to the presence of Tituba. This shall be examined in greater detail in the final section of this paper. Once again, as seen in the continental images, the Devil was imagined as being masculine and either black or tawny and the witch was female. The Devil, sometimes portrayed as only remotely human in form embodied the sexual element of the witch events. He gained possession of witch's souls through sex. Driven by their desires for wealth, revenge, love, and power women

were believed to sign a contract in blood in the Devil's books. Again, by doing so women betrayed their husbands, families and communities. Images of devils or demons with partial animal bodies are especially interesting given, as per Barthelemy, the rampant belief that Native Americans and Africans were closer to nature or animals than English or European peoples (with the possible exception of the Irish who, despite their light skin colors were vilified by the English).

As noted, images from England contained a high percentage of shape-changing witches. The hare, as seen in Figure six, and the cat held sway as animals thought to be favorites of witches as familiars and animals women changed into in order to carry out their harmful magic. The hare was associated with fertility and the cat with promiscuous sexuality. The hare, a symbol of ungoverned animal fertility symbolized the misuse of female sexuality; female irrational passions expressed by intercourse with dark skinned outsiders. The cat, thought of as highly sexual, amoral, and promiscuous, symbolized ungoverned female sexuality and made a particularly attractive animal familiar that men could associate in images with women.

That the familiars were frequently portrayed as black can be seen as not only being related to the association white Englishmen had between black skin and an animal nature, but also view about dark skinned peoples sexuality. Kim Hall argues in her analysis of early modern travel narratives, "these illustrations of the base nature of a people inevitably involve negative judgments about their sexual freedom."[52] While Hall is discussing descriptions of African natives given by white adventurers, I assert that illustrations that united witches and black animals noted in the early modern Anglo world

[52] Hall, 34.

for their sexuality or fertility, such as rabbits, dogs, and cats, heightened association between blackness, sin, and sexuality in a manner that must have affected encounters between white and darker skinned peoples.

Figure twenty-five is a reproduction of an eighteenth century painting that depicts the stripping and examination process of an accused witch. The image is highly sensual; characters depicted within the paining have looks of ecstasy upon their faces, the near naked witch's skin is creamy and inviting, and the intent gaze of the examiners appear threateningly sexual.[53] The belief in Europe and England that witches provided nourishment to demonic familiars through teats hidden on their bodies was related to this fear. Witches were believed to have teats hidden within the folds of their labia or near their anus, however, the teats could be anywhere on a witches body.[54] Purkiss argues, "the maternal and bodily disorder symbolized by the witch's teat harmonizes with the fantasy of the witch as the dark mother and housewife. The witch usurps maternal power and represents a maternity that has become a sign of dirt."[55] Belief in the existence of the teat necessitated a thorough search, usually conducted by men in the presence of male and female members of the community. The intense concern with the nourishment of the familiar but alien bodies of black demonic familiars by, to use Purkiss's term, the "dark mother" may represent another area in which social anxiety and conflict found expression. As Hall has noted, "black figures – both "actual' and disguised – become the focal points for an extraordinary dense system of signification that, unpacked, reveals

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[53]The reproduction is of "Examination of a Witch" Thompkins H. Matteson, 1853, courtesy of the Salem Witchcraft Site.

[54] Purkiss, 135.

[55] Purkiss, 135.

layered and interconnected anxieties over difference."[56] In early modern English men and women encountered Native Americas, Africans, and Turks. These encounters raised anxiety levels as colonists, merchants, and the English government attempted to gain and maintain religious, cultural, and political dominance throughout the Atlantic world.

Figures one and seventeen provide evidence of another motif that remained applicable in the North American colonies. The belief in storm calling witches found expression in images from the medieval and early modern period. The ordinariness of the cooking pot as a symbol of witch's maleficium hints at the anxiety some men experienced in dealing with women. Despite the fact that many women's authority remained confined to the domestic sphere, within the home women commanded authority of a sort that may have been perceived as threatening to men. Changing economic and social conditions in the early modern period required new ways of doing business, the growth of economies based on coinage rather than barter, and concomitant changes in social hierarchies. These changes, which took men away from their homes in growing numbers, left women unsupervised and forced men to redefine their positions in relation to other men within society. The economic changes may have led to an increased focus on guarding traditional male social privileges and maintaining patriarchal control over the family. This emphasis may have stimulated levels of fear and anxiety about women that enabled the torture and burning of witches, by now firmly imaged as women, throughout Europe (Figure 5). Furthermore, the ability to call up storms to damage crops or livestock through the use of the cauldron/cooking pot threatened the stability and prosperity of communities. In those areas where a successful harvest made the difference

[56] Hall, 141.

between subsistence and famine the activities of a witch called into question the very survival of the community. By using women to signify maleficia these illustrations made the witch normatively female and so perpetuated the myth of the dangerous, demonic women. Given the threatening and strange world within which the North American colonists found themselves living a community member whose activities threatened to weaken the community were particularly frightening.

In a related set of images, figures six and seven of the broom-riding witches also deserve further discussion. In the case of the witches broom we once again have a domestic artifact that found its way into witchcraft lore. Used by witches the broom became means for women to usurp male authority. It was asserted that witches left their homes at night and rode upon broomsticks to meet other witches, indulge in feasting, and participate in sexual misconduct. By providing women the means to leave their homes and travel alone the broom became a gendered object of witchcraft imagery. The phallic shape of the broomstick betrayed a growing fear of women gaining control and being on top. Related to the medieval prohibition against sexual positions in which women assumed the dominant position the fear of the woman on top extended to social and economic spheres of activity. In addition, picturing the night ridding witch in conjunction with black devils or familiars added intensity to the illustrations. The black devil aided the witches to leave their homes and communities, breached the boundaries of the Anglo community through intimacy with the witch, and thereby destabilized white patriarchal power.

V. Illustrating Race, Gender, and Sex: the effeminate, highly sexed other.

Evidence from the illustrations indicates that the representatives that served to identify witches as malevolent lascivious older women also aided in the construction of a highly masculine satanic figure. The devil, as represented in the illustrations and imbedded within the objects themselves, was the man in black, the tawny man, the black man. Issues of sex, gender, and race underlay the visual and material constructions within witchcraft illustrations and underlay the language of the objects of magic.

The relationship between Native Americans, English colonists, and Africans may have affected the imagery and artifacts associated with witchcraft. As previously seen in Figure 13, a reproduction of a painting depicting contact between English settlers and Native Americans, race was important in the early modern period.[57] This painting serves to indicate the constructs of naturalness and civilization through which the English viewed the native inhabitants. The English settlers were depicted as fully clothed while the natives were portrayed as being nearly naked. Clothing was a signifier of status, wealth, and civilization while the lack of clothing, while it might be natural, was akin to barbarity, simplicity, and poverty. Some colonists believed that the Native American's could be educated and converted in time and, through the influence of English civility, could become "civilized." In time, however, this attitude changed. Perceiving the religious beliefs of the Native Americans to be irreconcilable to Congregationalist beliefs and some theologians began referring to Native American people as children of Satan. Conflicts between the settlers and native communities led to feelings of fear and

[57] Figure 13 courtesy of http://www.pghs.org/library/Puritan.html

resentment on both sides of the conflict, and the hardening of negative constructs by the English.

Fear of the native inhabitants, combined with the severe theology of many New England colonists, may have had some part to play in the severity of the New England witch-hunts. Some imagery may point in this direction. In colonial New England the black man of witchcraft accusations in the continent and Scotland became a regularly appearing character in accusations. Mary Beth Norton has argued that the reoccurring image of the black or tawny man in witchcraft cases in New England indicates that the settlers were reacting to the presence of potentially hostile Native Americans.[58] Possessed, accusers, and judges may also, according to Norton, have been acting out their frustration with colonial men who were unable to adequately protect English settlers from hostile Native American forces during the King Philip's Wars.[59] Images from witchcraft lore on the continent and in England frequently portrayed the devil as a black or red figure. This is not to say that colonists in New England were not acting out their fears and frustrations, merely that the imagery of the black or tawny man was an image of long standing. A new emphasis on the black or tawny devil may indeed have occurred in New England in response to the Native American presence. Such a reaction would fit well with the argument I am making that cultural and religious racism, learned from and perpetuated by witchcraft lore, informed the English colonists and merchants interactions with Native Americans and Africans.

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[58] Mary Beth Norton, *In the Devil's Snare: The Salem Witchcraft Crisis of 1692* (Knopf Publishing Group, 2002), 297-298.

[59] Norton, 11-12, 298.

The testimony offered by Tituba, a South American native who was brought to Salem by the Reverend Parrish as a slave, may provide some insight into colonial attitudes towards Native Americans and witchcraft. An analysis of Tituba's life may also provide important links between South American, African, and English beliefs about magic and witchcraft. A melting pot of several different cultures, the Caribbean island of Barbados where Tituba spent her early life as a slave, informed her knowledge of magic, witchcraft, and evil in important ways. [60] Elaine Breslaw argues,

> similarity of traits in the different groups, the early presence of particular individuals with special skills, the column of African imports at a crucial moment, the nature of work routines, the size of the social units, and the degree of separation from white society all contributed to the African-American Creole culture that shapes Tituba's social world.[61]

Breslaw, asserting that the use of objects in magic and counter-magic had declined by the seventeenth century in England, perceives the New England witchcraft outbreaks emphasis on the use of counter-magic charms and identification of poles, poppets, and pins as indicative of cultural sharing between African, South and North American Indian, and English belief systems.[62] These links may shed light upon the nature of the New England witchcraft events, particularly those elements that at first look appear to be continental in genesis. A visit to the archives is required to find images that represent African and South and North American Native Americans magic-religious accoutrements in order to assemble more data for analysis. I do assert, however, that an analysis of the

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[60] For a detailed analysis of the interaction of African, English, Spanish, and Native American belief systems and the formation of new cultural forms as they relate to witchcraft accusations see Elaine Breslaw, "Strange New World," in *Tituba, Reluctant Witch of Salem* (New York: New York University Press, 1996), also Elaine Breslaw (ed), *Witches of the Atlantic World: A Historical Reader & Primary Sourcebook* (New York: New York University Press, 2000)

[61] Breslaw, 45.

[62] Breslaw, 96.

literature can be used to construct a convincing argument for the appropriation or shared usage of disparate forms of artifacts associated with witchcraft. In addition, the incorporation of more images into the database will allow for the discovery of important connections between the traditions of all the Atlantic cultures.

Evidence from witchcraft accusation transcripts provides new images that may have been incorporated into the repertoire of the English colonists belief systems. The similarity between beliefs about magic and witchcraft from different cultures made incorporation easy. Elaine Breslaw asserts, "

> The cast lore of magical practices that informed the folk cultures in England's colonies would be quietly reshaped in the New World by similar witchcraft traditions practiced by Africans and American Indians. None of these techniques, whether sieves or eggs, was exclusive to English folklore. They paralleled the magical practices found among other cultures. [63]

The use of a sieve and egg in Salem to predict the future husbands of the minister Parris's daughter and niece could have been English in origin or been influenced by Tituba or any of the African slaves in the village.[64] The use of domestic objects, the sieve and eggs, again points to the fear that witches subverted the gender constructs of women as nurturing providers of subsistence for their homes and stability for their communities. It is important to note that Tituba did not introduce the more graphically continental witchcraft images that found expression in the imagery of North America. Breslaw asserts "the stories about voodoo in the forests or initiating the girls into satanic practices, drawing blood or dancing naked in the woods, or of Tituba's involvement in some forbidden African or Caribbean voodoo practices are imaginative creations of late

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[63] Breslaw, 90-93.

nineteenth and early twentieth century writers. "[65] However, her presence and introduction of creolized witchcraft lore was an influence on the developments at Salem and surrounding areas. A detailed analysis of later constructs would provide historians with a useful database from which to conduct studies in the development of race and racism in the Americas.

Despite these caveats, Tituba and perhaps the African slaves and North American natives, introduced new images into the colonist's belief system as well as twisting parts of Puritan cultural constructs. Tituba's testimony indicated that a dog frequently accompanied the witches. The usual familiars the English associated with witches, the hare and the cat, did not enter appear in Salem. Furthermore, Tituba made mention of a yellow bird in her account. A yellow bird would more likely be found in the South American or Caribbean environment with which Tituba had familiarity than in northern America. Tituba also introduced dream imagery into her testimony that allowed her to embellish her testimony. The magistrates misinterpreted Tituba's description of her dream for an account of real events. The interpretation of dreams and the belief that people took part in real activities during their dreams was a South American and African belief systems.[66] Breslaw argues, "her [Tituba's] testimony, apart from the reference to the Devil and his book, is not particularly English or European in substance, but formed part of a universal assumption about the occult."[67] Tituba drew from several sources to compose her testimony and in the process helped to construct Atlantic witchcraft lore. Breslaw has compiled an impressive book on witchcraft beliefs among in the Atlantic

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[65] Breslaw, 92. See also Richard Godbeer, *The Devil's Dominion: Magic and Religion in Early New England* (New York: Cambridge University Press, 1992).
[66] Breslaw, 118.
[67] Breslaw, 126.

world. This book, however, does not include examples or analysis of the illustrations and actual artifacts.

Some components of Tituba's testimony, however, were easily understandable to the colonists. Breslaw indicates that Tituba's mention of black clothed men and richly clothed women meeting to partake in evil acts fit well with English witchcraft lore and the violation of sumptuary laws.[68] Native and African cultures also included a figure that resembled the English familiar, albeit a monstrously shaped one, allowing the magistrates to interpret and integrate Tituba's testimony into their own belief structures. One element of witchcraft beliefs remained unchanged and became ubiquitous throughout the Atlantic world. Therefore, until access to more archival and archeological date can be assembled and analyzed, this portion of my analysis will remain incomplete. The images found in figures twenty though twenty-five, however, provide evidence that witchcraft images in New England remained predominately focused on women as witches, despite the fact that men did make up a significant proportion of the accused in New England.

African beliefs also survived and have found their way into witchcraft lore in New England, Chesapeake and the Caribbean. James Walvin describes *Obeah* in his book *Black Ivory*. He notes, "obeah was a form of slave religion; a superstition in the eyes of the whites, not to be confused with white religion….Here was a potent element of Africa transplanted into the Americas…Slaves' religion seemed, to hostile observers, to be an unhealthy mix of superstitious belief in spirits, of powers of curing and casting spells."[69] As slaves were imported into the Americas they were at times sold or moved to new

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[68] Breslaw, 119-120.

[69] James Walvin, *Black Ivory: A History of British Slavery*, Washington, D.C.: Howard University Press, 1992, 176.

locations. As noted with the example of Tituba many different African and Native American peoples came into contact with each other and their white oppressors. In response to these interactions, and the deprivations caused by slavery and occupation, religious and magical lore altered. Walvin points out, "slaves landed without their priests, without their religious and social organizations. They had to create life anew, drawing on what they remembered and held dear, but now transformed by the new setting of slavery in the Americas."[70] Anglo colonists, although they retained their clergy, were susceptible to the importation of African lore. Native lore also found its way into Anglo belief systems, as has been shown from the incorporation of parts of Tituba's testimony into Anglo beliefs about witchcraft and the devil.

The Chesapeake area did not experience anything comparable to the New England witch-hunts and relatively few images have been found at this point making an analysis of the visual expressions of the culture problematic. Research has only revealed three witchcraft cases in the Chesapeake area. It should not be assumed, however, that Anglos, Native Americans, and African/African Americans were not practicing magic. Christopher C. Fennell has analyzed finds from Chesapeake and discovered certain similarities of images and usages.[71] As was shown in the discussion of Tituba and the Caribbean and African influences upon New England witchcraft beliefs, it is possible that German and English colonists to the Chesapeake area also came to incorporate non-Anglo beliefs about harmful magic with their own traditions producing a creolized form of divination, charm use and production, and conjuration practices. Lacking, however,

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[70] Walvin, 177.

[71] Christopher Fennell, "Conjuring Boundaries: Inferring Past Identities from Religious Artifacts," in *International Journal of Historical Archeology*, Vol. 4, No. 4, 2000, New York: Kluwer Academic/Plenum Publishers, (281-313), 282.

the Congregational church as a dominant foundation of communities the Chesapeake area escaped the horrors of a witch-craze such as that of the New England areas. Furthermore, the fragmented family structure, low ratio of women to men in the population, and the expansive geographical distribution of farms limited the opportunities for accusations and suspicions to build to New England levels. Cunning folk, women using natural remedies, and Natives and African/Americans were protected in the Chesapeake area and their magical belief systems and expressions may have become ethnically indistinct due to cultural borrowings. As shown in Tituba's case, the fundamental characteristics of each system overlapped to a degree that may have encouraged bowing and incorporation.

Conclusion

Interactions with and fears of Africans and Native Americans altered the material culture of the English settlers, as did the demands of adapting to the new environments of the Chesapeake, New England, and Caribbean. One means of analyzing the changes that occurred in colonial settings is to compare the images of witchcraft accusations and trials. Changes in articles associated with witchcraft occurred when English colonist confronted unfamiliar landscapes, peoples, and religious and social mores. Racial and gender components of the images associated with witchcraft and the adoption of beliefs about the devil's pact served to suppress the activities and persecute dark skinned men and women, and white women who in any way violated social gender and sex norms while enforcing a reformed ideology of Calvinist theology. Native American and African beliefs about harmful magic came to inform English beliefs about magic leading to significant changes that prompted New England's witchcraft accusations to resemble continental and Scottish witch events in their severity, but not their more overtly sexual elements. Furthermore, Native Americans and Africans suffered persecution when English colonist attacked their traditional beliefs as being satanic in origin. Failing to recognize the distinctions between witchcraft and Native and African religions, colonists vilified Native and African/American rituals, and developed a theology of difference that marginalized on the basis of racial constructs.

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Title Page:

"A Case for Dance in the Educational Experience of the Hearing Impaired"

Dance

(Panel sessions)2nd submission

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Abstract

A case for dance in the educational experiences of hearing impaired students is presented in this thesis. Communication skills, creative self-expression, and self-confidence are identified as special needs of deaf students. Dance class experiences provide opportunities for students to develop behaviors of cooperation, leadership, and social interaction. These behaviors correlate with the fulfillment of the students' special needs. Observation and experiences the author at the Arizona School for the Deaf and Blind and at Gallaudet College, in Washington D.C., contributed to the information presented in this thesis. As a result of this experience and research the author presents a ten-week dance curriculum design for junior high level deaf students.

It is concluded that the dance class experience can contribute to development of well rounded individuals and is an appropriate educational experience for hearing impaired students.

Title Page

Dance and Visual Art: A True Collaboration

Dance/Sculpture

Panel Sessions

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Submission to present in the area of dance/multi-media.....

I am interested in presenting in a panel session regarding dance and the collaborative process. I am the director and founding member of Movement Source Dance Company in Phoenix, Arizona. We are currently entering our 17th season. Our mission is to create interesting multi-media dance works to expand the audience for modern dance. We also have a strong commitment to hearing impaired populations with our work.

Each season we invite choreographers, visual artists, and musicians from around the world to collaborate with Movement Source Dancers. Each season brings new surprises and successes. Each collaboration takes on it's own dynamic. We continue to strive to create true collaborations between art forms (not just, I create the dance, you make the music to go with it).

This past season, I choreographed a work in collaboration with sculptor, Michael Christian, who lives in San Francisco. Our process began with a telephone dialogue. I explained some of my choreographic ideas and he told me the type of materials he was currently working with and some of his ideas. I sent him two selections of music that I was interested in working with. I asked if he felt more inspired by either song. He let me know which song he preferred. I started working with the music first alone, then with my dancers in the studio. Michael played the same music while he created the sculptures. Ths created a cohesive thread for us- a third, unified art form between us. He sent me some drawings and we spoke several more times. We seemed to be on the same wavelength. The process occurred over approximately an 8 week period of time. I brought in a lighting designer and costumer to create more visual layers with the dance.

The dance was complete and the four dancers contributed ideas throughout rehearsals. We were not able to physically rehearse with the sculptures until Michael drove them out to us. The dancers responded beautifully to the metal structures! It added a whole new dimension to the dance we had created. Much to our surprise, the sculptures were too tall to fit into our rehearsal studio! Eventually we did get one of the five pieces into the space to work with. (The ceiling at the performance space was much taller, and that is what we had discussed.) More rehearsal time would have been ideal, we did incorporate the movement with the pieces as much as possible. The sculptures were a bit intimidating at first. The combination of the dancer's skin and metal took some care to incorporate....touching the kinetic pieces during the dance. The costumes' earth tones blended nicely. The dance and the shapes came together very well.

Michael watched rehearsal and had some ideas about placement of the sculptures on stage and how the dancers might use the pieces with the choreographed movement. We incorporated these ideas. The dance became a true collaboration and was successfully performed. He enjoyed seeing how the movement of the dancers complimented the movement and shapes of his work.

The piece, called, "The sky is falling" can be performed in many settings. Formal stages and outdoors. The dancers are willing to perform at the conference if we can arrange the funding. We also have professional video documentation of the dance. I am planning to register for the conference and attend. Michael is interested in attending as a co-presenter if I am selected. He has been commissioned to create work for "Burning Man" over the past several years. He has

an extensive background as a sculptor. This was our second collaboration. Our first was several years ago and incorporated the dancers, a local DJ/Poet and wooden sculpted trees. It was also very well received.

I would be glad to address other collaborative processes the company has taken on; work with Taiko Drummers, Esteban/musicians, various composers, poets, videographers etc... dance and other art forms.

I can also address the process of bringing collaborations like these into the classroom. Cross-curricular projects for High School settings is something I have also been working with over the past 17 years.

I have a thesis/masters paper on teaching dance to hearing impaired populations. This is something my company has worked with in Arizona through many residencies and collaborations. If this is an area of interest, I am also willing to present on this topic.

Thank you for your consideration. I look forward to hearing from you and I look forward to the exciting conference in January!

3rd Annual Hawaii International Conference on Arts and Humanities
January 13-16, 2005, Sheraton Waikiki Hotel – Honolulu, Hawaii

DOCUMENT REVISED FOR PROCEEDINGS

The Cornucopia Phenomenon in Organizational Communication: Correlated Complements and Case Illustrations

Speech/Communication

Paper Session

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ABRACT OF PAPER FOR THE PROCEEDINGS

The Cornucopia Phenomenon in Organizational Communication: Correlated Complements and Case Illustrations

Two organizational communication power phenomena are explained and illustrated. Both are seen in the overall communication milieu as compliance gaining and rewarding strategies implemented primarily through the control of information and the material accompaniments of information. The two communication power phenomena include the *damming effect* and the *cornucopia effect*: or, in other words, block and flow. The emphasis in this study is on what is termed the *cornucopia phenomenon.* The stress is on the cornucopia phenomenon over the damming or the cornucopia effects taken separately. The relatively high to very high rewards in the organization that constitute a type of organizational cornucopia and manipulates opinion must be large enough to be recognizable to a limited extent with those who have low organizational consciousness and to a high extent with those who have high organizational consciousness. In short, the cornucopia must be noteworthy: that is, large enough to make a practical difference.

Both the damming effect and the cornucopia effect are explained in a context of democratic ideals and situations that exist in degree in diverse organizations. Democratic ideals are treated as having the essence of *concordia discors*: that is, discordant harmony or harmony in conflict. These terms are not discussed specifically in research pertaining to organizational communication. Although not organized and linked as they are in this study, these terms are implicitly related to such organizational concepts as stonewalling, denial of requests, biased rewards, etc. (Conrad & Poole,2005; Miller, 2003; Clampitt, 2005; Dues & Brown, 2001; Shockley-Zalabak, 2001; Eisenberg & Goodall, 2004).

The damming effect joins forces in organizations with the cornucopia effect to control an outcome and yield the cornucopia phenomenon. Instead of allowing for *concordia discors* to prevail, *concordia discors* is primarily stanched. A percentage of the members in an organization suffer manipulation to a degree with little regard to their ability to decide. The imposition of a decision from higher organizational sources prevails. While the stanch and flow of information can occur under justifiable and beneficial circumstances with benign consequences, as the benefit a tourniquet provides to a person with a bleeding wound, the focus in this study is on the malicious and harmful uses and consequences of blocking information to influence an outcome. The aim of this research is to discuss the conceptual levels of these phenomena and urge empirical research to elaborate the details experimentally.

The *damming effect* refers to stanching or blocking the flow of information, energies, goods, resources, monies, and personnel in an organization - strategically or functionally and sometimes ethically. In this study, the focus is on the unethical and questionable strategic use of damming. The damming may permit an insufficient trickle to keep an organization operating until certain conditions are met. Resistance is a primary strategy and function of damming. Once the conditions are met, then the *cornucopia effect* is activated. All information and other benefits that were held back, blocked, or allowed merely to trickle flow with abundance - strategically or functionally and sometimes ethically. In this study, the focus is on the unethical and questionable strategic use of the cornucopia effect. The joint effects serve to reward those who have complied with the wishes of the organization and punish those who fail (or refuse) to comply. Some of the strategic and functional conditions may include: unilaterally replacing a manager or administrator, firing an undesired yet pivotal figure, signing a contract, and agreeing to terms of employment.

In this paper, three cases are examined where the stanch and flow effects, the strategic holding followed by sharing of information and means, have been observed directly by the researcher. The organizations range from the family to corporate America. The first is a family situation where a wayward son and daughter experienced a damming phenomenon for years because neither were planning to marry someone who pleased their wealthy parents and grandparents. Once the son and daughter met potential spouses who met the approval of the family, the cornucopia phenomenon took over. Gifts and benefits poured forth from the jubilant family rewarding the children for their compliance with choices the family approved. A second case pertains to higher education. In this

case, an institution blocked the flow of benefits to a department until the faculty approved a choice the higher administration at the college approved. The cornucopia followed the damming once the faculty complied with the wishes of the executive administration. A third case applies to corporate America. Wanting a local manager who was the choice of a regional manager, the higher management in a large US corporation held back on improvements and human resources and advancements in wages until the manager was appointed and the undesired manager dismissed. Taking credit for the predecessor, the new manager entered on a wave of prosperity and beneficial material changes.

In most cases, communication ethics may play a marginal and incidental role while information control and flow may play a major and strategic role. Communication ethics are at best manipulated to assist those in the organization to live with the decision imposed on them. Sometimes the manipulation of compliance becomes rationalized and justified through the actions of a CEO serving in the declared (or undeclared) capacity of a benevolent dictator who "knows what is best for subordinates." Democratic principles are likewise ignored, compromised, and manipulated to influence the desired outcome. The awareness of these phenomena must be assessed by their effectiveness and by their respect (or disrespect) for democratic and ethical values. As a rule, an operating principle and ethic of *concordia discors* should engage members of the organization in discovering available means of reasonable resistance to costly and valueless decisions foisted authoritatively and unproductively upon them.

Title of Submission: In Negotiation with Islam: Possibilities of Gender Reform in an Islamic Modern State

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Abstract: Recent feminist scholarship comments on the problematic relationship between women and the nation. Women have been largely invisible in the nationalist imaginary, where movements for "national liberation and revolutionary states have not always extended principles of autonomy and liberation to women" (Moghadam, 1994, 2). Moreover, Valentine Moghadam elaborates, "women's liberation has been frequently regarded as inimical to the integrity and identity of the national group" (Moghadam, 1994, 2). In the postcolonial milieu, in particular, women are caught in the crossfire between the antagonistic "modernizing" colonial project (West) and native resistance (non-West). For example, polemics surrounding veiling and segregation situate Muslim women as representations of either cultural authenticity/tradition or as failures of modernity/progress and symbols of backwardness. Within this perspective, tradition vis-à-vis discourse of Islam fundamentally determines meanings of gender where Muslim women are invariably rooted within a public/private dichotomy. The only acceptable woman in the Islamic state:

> was the Muslim woman who was the 'pillar of the family' and who abided by all the laws laid down in the Shari'a, who would accept the misogynist gender coding prescribed for her by the new government's version of Islam (Sullivan, 233).

My work in particular, positions itself within this postcolonial context, where women are restricted in movement and choice, and denied voice, and agency in the public heterosocial space. In this paper, I consider the following salient question: If the West is modern, and the East is not, how might one become modern when one was not, could not be, or did not want to be Western (Abu-Lughod, 14)? I argue that Muslim women are appropriating new tools, Islamic feminism, for example, to re-imagine and reconstruct an inclusive nation, one where women can contest religion, tradition and culture and re-negotiate the boundary between public and private. Islamic feminism, in particular, ruptures conventional notions of tradition and modernity, and enjoins the possibility to undermine the patriarchal polity of the nascent Islamic state.

Islamic feminism negotiates meanings alternative to the binary between traditionalism and modernity. Whereas notions of modernity "have been produced and reproduced through being opposed to the non-modern in dichotomies", I read Islamic feminism as a movement that seeks entrance into the public world by collapsing the opposition between modernity and Islam. It expresses cultural difference while simultaneously pursuing a project of modernity. It scripts a new language that transcends the marker between "tradition and modernity, backwardness and progress, education and ignorance" (Najmabadi, 500). This counter-discourse privileges the identity of Muslim women and rearticulates their relationship to the nation and uncontested culture. It allows Muslim women to claim a place in the public space and be "imagined as a citizen" (Najmabadi, 489) in the nation state.

Title of Submission: Chechen Female Suicide Bombers: An Answer to the Woman Question?

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Abstract: In what ways can one imagine women's participation in revolutionary movements? In *Women and Social Protest*, Guida West and Rhoda Lois Blumberg reconstruct social protest from a feminist perspective. In particular, both suggest that "women's strategies against authorities reflect creative use of resources and tactics linked to traditional gender roles" (26). They identify mechanisms such as theatrics (silence employed by Madres de Plaza de Mayo in Argentina) and sexual manipulation. However, I argue underscoring this discussion is the implicit gendered assumption that women engage only in non-violent feminized strategies. Within this context, women are conceived primarily as victims rather than agents of violence.

What is excluded or ignored from this narrative are women's roles as violent militants in social movements/revolutions. There is a reification of the essential nature of women as noncombatants, non-violent, gentle, submissive and primarily concerned with the home and motherhood. Mia Bloom takes note:

> Women are more likely to choose peaceful mechanisms for conflict resolution than men suggesting that women are inherently more peaceful in their attitudes toward international conflict and are more disposed towards moderation, compromise, and tolerance (189)

Thus, women who do engage in violence then are disregarded as "nonexistent, excluded as illegitimate or punished as trangressive" (Peach, 50).

This point seems particularly salient when looking at the recent phenomenon of female suicide bombers[1]. If the narrative accepts violence as male (the typical profile of a suicide bomber: 18-22 yr old male), then how can one include the deployment of women's bodies in suicide missions in such discourse? Would it be accurate to suggest that women complicate notions of femininity and motherhood by participating in operatives using suicide bombing? By appropriating a male bastion, is a logical consequence a repudiation of patriarchal norms? Do female suicide bombers undermine, or rearticulate patriarchal religio-nationalist understandings of gender? Does it produce a new site of inquiry – women as violent militants? Do they achieve the same venerated status as male martyrs? By claiming male public space as their own, do these militants introduce new norms of female potential?

Female insurgents have claimed responsibility for suicide missions from Palestine to Sri Lanka (Liberation Tigers of Tamil Eelam). Specifically, this paper will look at the "Black Widows" in Chechnya. My goal for this project is not to question suicide bombing as a tactic of resistance, but rather evaluate it as a potential tool of female liberation. The premise being that by taking to the battlefield, divorcing oneself from tradition and emerging as human weapons, I ask the question: are women are making their mark in achieving parity with men? Does empowerment follow when women participate in political action on equal footing with men?

As Chechen resistance fighters continue to struggle for independence, many of the above stated questions are still unanswered. However, I can say with some sense of certainty that there are telling signs that reveal a purposeful construction of female

[1] Mia Bloom defines suicide bombing as "violent, political motivated attacks, carried out in a deliberate state of awareness by a person who blows himself or herself together with a chosen target (1).

suicide bombers as different from their male counterparts. As such, I argue that despite the willingness to destroy one's body to defend one's nation, these female suicide bombers may not necessarily be viewed as legitimate militant actors. Their political act is couched in a specific feminized rhetoric which has the consequence of reducing the libratory potential and moreover, insufficient to destabilize the gender order of an embedded patriarchal framework.

To fully develop my ideas, an understanding of the political landscape that works to politicize Chechen women's consciousness is necessitated. Thus, this paper will first provide a brief outline of the current crisis in Chechnya. Second, I will look at the "Black Widows", their mission, motivation and structural format. As it is beyond the scope of this paper to undertake primary research, I rely heavily on secondary sources (although access to information is still limited). The third section, in particular, draws on newspaper articles, and internet sites to unpack the language utilized to embody the "Black Widows". In particular, I look at the way in which the "Black Widow" has been manufactured in the press. Last, I conclude with an attempt to answer Bloom's question: "Are women suicide bombers portents of gender equality in their societies" (203)? There is considerable evidence from similarly patterned revolutionary movements (Algeria) to make a convincing argument that it in fact will not lead to liberation politics for women.

Are ADHD (Attention Deficit/Hyperactive Disorder) Behaviors Affected by Ambient Light Colors in the Built Environment?

Topic Area: Architecture

Presentation Format: Research Paper

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ABSTRACT

Topic: Architecture

Presentation Format: Research Paper

Are ADHD (Attention Deficit/Hyperactive Disorder) Behaviors Affected by Ambient Light Colors in the Built Environment?

Research Objective

The research objective was to determine if different colors of ambient light, including white light, have an effect on human behaviors of the ADHD type, and, if they do have an effect, which colors of ambient light have particular effects on specific behaviors? The issue is: if behaviors of the ADHD type increase or are intensified by specific colors of ambient light, then those specific colors of light could be eliminated from the ambient light in environments for those with ADHD.

Methodology

Two research subjects of essentially the same age were exposed individually at five separate sessions for a period of three hours each to white light and four specific color wavelengths of light in a windowless room. This study is unique in that it analyzes the effects of ambient light colors and not focused or point sources of light at intense light levels.

The subjects were videotaped during each session. Behaviors of the ADHD type were determined by review of the literature and from report of the ADHD subject's parents. Systematic observation of the videotapes was made by trained observers to identify and tabulate behaviors. Comparative analyses were made.

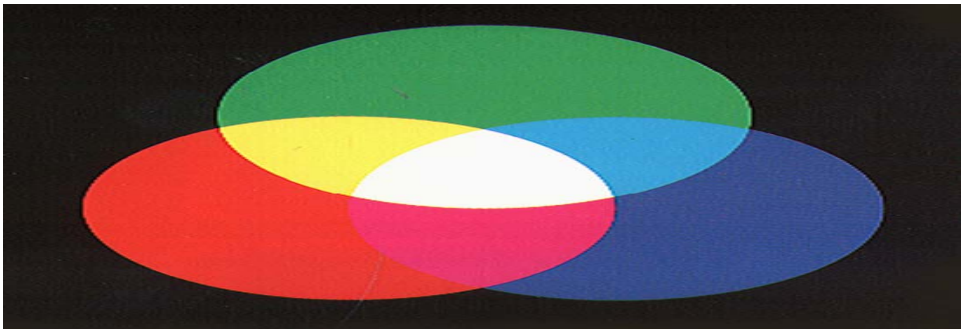
Outcomes

The subjects' behavioral reactions varied greatly under different colors of ambient light, and varied greatly from each other when exposed to the same color of light. The subject with behaviors of the ADHD type was more greatly affected by the various colors of light than the subject without the ADHD type behaviors. Complete specific data will be presented in the paper to support the outcomes.

This was a pilot study and discoveries were made that could improve the methodology. A complete discussion of the methodology and proposed changes will be made in the paper.

PAPER

Research Objective



The primary objective for this pilot study is to discover from systematic behavioral observation of videotaped human subjects in experimental lighting environments if human behaviors of the ADHD type are affected by different colors of ambient light. Further, what specific colors and/or white light affect specific changes in ADHD behavior? The hypothesis is: specific ambient colors of light (blue, red, green, and yellow) and white light have different effects on behaviors of the ADHD type. The issues is: if behaviors of the ADHD type increase or are intensified by specific colors of light or white light, then those colors could

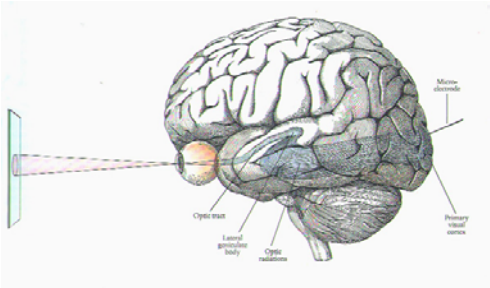
likely be eliminated from the ambient light in environments for those with ADHD. Conversely, if specific colors or white light are found to decrease negative behaviors common to those with ADHD, then therapeutic application of those specific colors of ambient light could be prescribed to help relieve those negative behaviors.

Background and Context

While there is much attention currently being given to Attention Deficit/Hyperactive Disorder (ADHD) and to the environmental, psychological, and physiological impacts related to the disease, data regarding the nature and severity of behavioral problems in subjects with ADHD have been acquired primarily through case reports, chemical analysis, program descriptions, or self-report from family members rather than from systematic observation using reliable behavior operational definitions such as those identified by the American Psychiatric Association (American Psychiatric Association, 1994).

Rationale

Lighting is known to affect hormonal and metabolic balance (Brainard, 1994; Wurtman, et al., 1985). The impact of light on the human body is dependent on light striking the retina of the eye. This, in turn, influences the production of several enzymes and hormones in the brain that are believed to affect the entire nervous system and affect mood disorders in adults, adolescents, and children (James, 1990;



Mayeda, et al., 1990; Shafii, et al., 1990). Manipulation of environmental lighting may then become a possibility for affecting human behaviors (Rubin, 1997).

Methodology

The research project was approved by the Human Subjects Committee of the University. Two pre-adolescent research participants of essentially the same age (twelve years old) were screened by a qualified medical practitioner to determine their general good health conditions. An ADHD diagnosis was provided by the ADHD participant's physician. Consent and authorization disclosing risk, confidentiality and videotape disclosure was obtained from the participants' parents. Behaviors of the ADHD type were determined by review of the literature and from report of the ADHD participant's parents.

The participants were exposed individually at five separate sessions for a period of three hours each to white light and four specific colors of light (blue, red, yellow, and green) in a windowless room, and were videotaped during each session. Light exposure in this study consisted of ambient light exposure and not focused or point sources of light at intense light levels.

Systematic observations of the thirty hours of videotape of the two participants were made by trained observers in order to identify and tabulate the behaviors. Observations were recorded on a behavior checksheet that identified the ADHD type behaviors, along with each behavior's descriptors, that were common to this ADHD research participant. The observers were trained to recognize, systematically record, and make double blind observational assessments of the participants' behaviors. Tabulation of the recorded observations and comparative analyses were then made.

Seg. In 30 min. inter-vals

BEHAVIOR CHECKSHEET

	1- Inattention	2- Hyperactivity	3- Impulsivity	4- Agitation	5- Animation	6- Defiance	7- Controlling
SEG.1							
SEG.2							
SEG.3							
SEG.4							
SEG.5							
SEG.6							

BEHAVIOR DESCRIPTORS

1- Inattention	2- Hyperactivity	3- Impulsivity	4- Agitation	5- Animation	6- Defiance	7- Controlling
Daydreaming	Squirming	Over reactive	Rolling eyes	Voice/pitch elevation	Quarrelsome	Bullying
Spacey	Fidgeting	Interruptive	Loss of Patience	Loud speech	Disobedient	Commanding
Unobtrusive	Dashing	Intruding	Quickly irritated	Intense speech	Disorderly	Domineering
Oblivious	Excessive talking	Unrestrain-able	Throwing things	Animated body lang.	Dishonest	Intimidating
Inactive listening	Running and Climbing	Mid Sentence Subject change	Trembling	pronounced hatefulness	Individualistic	Antagonizing
Disinterested		trouble waiting turns	Twitching	attitude "over the top"	Non-conforming	
Lethargic		escapes when uncomfortable	Body tension		Unwillingness to listen	
Loses interest quickly			Disruptive		Arguing	
forgetful					Disrespectful	
nonattentive					Looks away	
					Crosses arms	
					Belligerent	
					Hostility and Resistance	

CODE:

REVIEWER:

Outcomes

The participants' behavioral reactions varied greatly under different colors of ambient light, and varied greatly from each other when exposed to the same color of light. The ADHD participant was more greatly affected by the various colors of light than the control participant.

Total Number of ADHD-Type Behaviors Observed

COLOR	Light Level	ADHD Participant	Control Participant
White	99.7 fc	299 – 17%	54 – 30%
Yellow	72.0 fc	330 – 18%	51 – 28%
Green	63.3 fc	412 – 23%	39 – 21%
Blue	14.5 fc	274 – 15%	9 - 5%
Red	11.7 fc	478 – 27%	30 – 16%
		1793 – 100%	183 – 100%

Observer comments for the ADHD participant:

- **most passive in blue environment**
- **normal behavior in white environment**
- **limited animation with self-control in yellow environment**

- **very pronounced hyperactivity and defiance with no self-control in green environment**
- **intensely hyperactive and defiant with no self-control in red environment**

. Agreement among observer comments is 100%.

. Agreement of rank order of total number of ADHD-type behaviors observed across the five environments is 100%.

. Most ADHD-type behaviors occurred in segments 4, 5, and 6 for both the ADHD participant and the control (non-ADHD) participant. However, the number of behaviors were almost evenly spread throughout the six segments for the ADHD participant when in the red and green environments.

. Light level (measured footcandles – fc) does not appear to correspond to the number of behaviors observed or to observer comments for the ADHD participant.

. Light level corresponds to the number of observed behaviors for the control participant with the exception of the blue environment in which the participant was observed to be lethargic, i.e. the higher the light level, the greater the number of observed behaviors for the control participant.

Implications

. This pilot study of one ADHD participant and one control participant supports the hypothesis that specific ambient colors of light (blue, red, green, and yellow) and white light have different effects on behaviors of the ADHD type. Further, red, then green, seem to have the greatest effect on increasing those behaviors in the ADHD participant. However, a larger scale study with many more participants and more studies repeating the methodology are required before definitive statements can be made. If further studies

support the findings from this pilot study, then red and green colors of light could be eliminated or decreased in environments for those with ADHD, and white and blue colors of light could be emphasized in environments for those with ADHD.

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VOCABULARY BUILDING: A DRAMATIC APPROACH

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ABSTRACT FOR WORKSHOP

VOCABULARY BUILDING: A DRAMATIC APPROACH
This very active workshop will focus primarily on the teaching of English usage and vocabulary through the medium of drama. Participants will engage in lively, hands-on activities concerning topics such as teaching students how to write plays based not only on narratives the students have studied in class but also on stories created by the students themselves. As it is essential that the plays be acted out, the teaching of pronunciation and voice production techniques will also be emphasized throughout the activities. Workshop members will also be given informative handouts that they will be able to utilize for their classes.

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Title of the Submission: Educational Insights in Literacy through Qualitative Methodologies

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Educational Insights in Literacy through Qualitative Methodologies

Research Question: What are the ways that literacies are taken up across time, space and place? What new directions in literacy research do these conceptions of literacy demand?

Research Rationale:
Qualitative research can be used to examine and reflect the ways literacy is enacted and understood by different societies. "The qualitative researcher reproduces experiences that embody cultural meanings and cultural understandings that operate in the 'real' world" (Denzin 32-33). Furthermore, through the examination and production of research texts, a new understanding of literacy can be found. Where quantitative research methodologies focus on finding trends and patterns in society that can be replicated, validated, and shown to be reliable, qualitative methodologies embrace the unique and differing experiences of society and the naturalistic paradigm (Lincoln and Guba), which does not call for establishing broad, sweeping generalizations, but focuses on a particular experience, at a particular time, in a particular context. Qualitative research methodologies are ideal for researching literacy and issues pertaining to literacy because the nature of literacy is unique to specific individuals and experiences.

Our research seeks to broaden the definition of literacy to include alternative ways of knowing and making sense in a world where literacy is multi-modal. The National Council of Teachers of English (NCTE) published a monograph series that calls upon educators to reconfigure the composition field, directing scholars to cultivate a multi-sensory, multicultural understanding of literacy (Fleckenstein). Additionally, sociocultural theories of literacy posit that literacy is socially constructed and constituted. This social construction of literacy occurs as literacy is used in specific contexts for specific purposes (Scribner & Cole). Thus, the practice of literacy, including uses of literacy and decisions made about using literacy, cannot be studied apart from its context and from the purposes that drive the literacy practice. Each act of literacy is embedded in a network of social relations, as people use literacy to make meanings for themselves and others. Those meanings are always contextualized by the social networks, communities, or groups in which individuals find them.

Methodology:
Each of these qualitative research methodologies embraces and redefines the definitions of literacy by including social, cultural, spatial, and historical influences, as well as individual choices as valid when evaluating literacy. People, particularly marginalized individuals and groups whose cultures include techniques inherent in these methodologies, now have methodologies and ways of reporting that legitimize their individual and group literacy experiences, thus providing new insights and definitions of literacy that may have been ignored by other methodologies. Furthermore, through the use of techniques such as storied narratives and poetics, these methodologies embrace new ways of chronicling the human experience. These methodologies can also act in a "moral, allegorical, and therapeutic" way (Denzin xiv).

- Ethnography and Autoethnography involve experiencing—in person—another person's experiences by joining them in their natural environment. Where autoethnography is involved, a person evaluates his or her own lived experience in light of social and cultural influences. Ethnography is a methodology that focuses

on researching a specific lived experience by observing and participating in that experience. Denzin calls this researcher an "interpreter-observer" who "is not a neutral spectator," thus emphasizing the need for the researcher to act as interpreter as well as observer (35). Instead of the researcher simply observing behavior or interviewing research participants about their experiences, ethnography allows for and embraces the notion that the researcher *becomes* part of the experience and helps to create the experience, thus gaining insight specific to the being a participant observer. "Immersion in the setting allows the researcher to hear, see, and begin to experience reality as the participants do. […] This immersion offers the researcher the opportunity to learn directly from his own experience of the setting" (Marshall and Rossman 106).

- Life history narratives, also called "the biographical method" (Schwandt 82) involve delving deeply into an individual life and, as truthfully as possible, reflecting the experiences and insights of that individual's life (Hatch & Wisniewski). Life history narrative methodology can be used in any course that requires researching, reading, and writing. In particular, with any class that uses narrative or focuses on texts about other people's life experiences, the life history narrative methodology can be useful. Using biographical writing, narrative is emphasized as the *rhetorical mode* for students to develop creative, expressive writing skills, as well as to practice turning spoken information into written text. Students can also learn about how biographical material is created, and the function of the researcher as a gatekeeper of information. Life history narrative also allows students (and teachers) to focus on the life histories of people who may have (up to this point) been ignored or shunned in academic research. Life history narratives are used as a "recording" tool that maintains high verisimilitude of personal lived experience. Students and teachers practice interviewing skills (using primary sources) while learning to analyze and reproduce documentation they have gathered.

- Historical research methodology involves examining how conditions, events, and people evolve over time in communities, families, local institutions, and cultural artifacts. Historical research considers the impact of a variety of factors and the complex forces that affect most developments, including literacy development (Kyvig & Marty). William Shakespeare once observed, "There is history in all men's lives," and by connecting historical research to literacy research, an investigator can consider how a person's life, whether that person is a president or a plumber—or an event, whether that event is an inauguration speech or a spelling award, affects individuals, communities, or even nations. By integrating historical research in course assignments, students acquire hands-on experience in the systematic collection and evaluation of data related to past occurrences. By exploring the past, students and teachers can develop and answer research questions and/or test hypotheses concerning causes, effects, or trends that may help to explain present circumstances and anticipate future actions.

- Narrative Research involves using stories to inquire about events, feelings, thoughts, and the meaning of a story with another. Narratives attempt to connect individuals with others, develop creativity and critical thought, and transcribe academic research and writing for a larger, public audience. As contemporary narrative researchers state, "The use of narratives in research can be viewed as an addition to the existing inventory of the experiment, the survey, observation, and other traditional methods, or as a preferred alternative to the 'sterile' research tools (Lieblich, Tuval-Mashiach, Zilber 1). Everybody has a story to tell. That simple statement is true, but narratives, or stories, are often taken for granted. Narrative research recaptures the art of storytelling and draws attention to its important role in sharing knowledge with others. Narrative research can be used in academic courses to explore the relationship between narratives and the social world, analyze the structure of stories and the process of social storytelling, and examine spoken, written, and visual narratives that draw on many fields including anthropology, psychology, and sociology.

Each of these methodologies can be used to expand and embrace changing definitions of literacy, as well as a changing and increasingly diverse student and teacher population.

Integration in Education:
The integration of these methodologies can show the importance of teaching holistically, addressing the needs of students and recognizing the multiple learning experiences students bring to enrich the classroom. New research

methods for constructing literacy can create a more complete picture of what the learning process should and could involve. Furthermore, opening up the community (or the world!) as a research context increases student and community awareness about the ways we contribute to and interact in a community. Therefore, learning is not confined to a classroom context.

Teachers can benefit from these methodologies by evaluating their own literacy experiences to gain added insight into their own teaching identities and motivations. Furthermore, by using these methodologies to study students, teachers can gain insights into new ways to help students become more literate (Kress). Educators can develop new and interesting teaching strategies to make classrooms more diverse and inclusive for students.

Students, as well as teachers, can benefit by conducting their own research using these methodologies, thus learning skills for: (1) interviewing; (2) data collection; (3) evaluating and analyzing—including self-analysis of their role in shaping their literacy; (4) critical thinking; and (5) reporting data for different genres. Students can also conduct community research, thereby learning about the community and becoming part of it.

Classroom Activities and Assignments:

Literacy Biographies

Assignment One – Literacy Autobiography. Write a 3-5 page literacy autobiography exploring your experiences, beliefs, and attitudes about literacy. Keep the following questions in mind when reflecting on your literacy. (1) What does "literacy" mean to you? (2) What beliefs and attitudes do you have about reading and writing? (3) What experiences (with family, friends, work, etc) have influenced the way you read, write, communicate verbally, and engage in other literacy activities? (4) What is language (reading, writing, speaking) used for, and what is its purpose in your experience? (5) How have your experiences influenced your beliefs about literacy? Be prepared to share your literacy autobiography in class.

Assignment Two – Literacy Biography. Write a 3-5 page literacy biography of someone you know. Be sure to explore the experiences in their lives that have contributed to their beliefs about literacy. Questions to consider when beginning this project: What people, events, qualities were most influential in shaping this person's literacy development? Which quality or trait proved most troubling and difficult? Which quality or trait was most beneficial?

Assignment Three – Comparison/Contrast of Literacy Biographies. Compare and contrast YOUR literacy autobiography with the biography you wrote about someone else. Compare your experiences with theirs and their beliefs and attitudes about literacy with yours. How are your experiences similar? How do they differ? What have you learned from researching and writing these literacy biographies?

Cultural Biographies

Assignment One - Cultural Narrative

Write a 6-8 page research paper exploring your culture. This paper can draw on multiple forms of expression such as journals, diaries, memoirs, biographies, life histories, and ethnographies as well as interviews, artifact analysis, and self-reflection. Consider the following questions: (1) What do you know about your own culture? (2) What can you learn from your ancestors and heritage? (3) What traditions construct shared knowledge of your culture? (4) How do the rhetorical modes used by the narrator differ (if at all) from Western conventions of rhetoric?

Assignment Two - Ethnographic Interview & Feature Article

This assignment requires an in-depth interview (open and closed questions) with a person of another culture in order to begin understanding his or her worldview, beliefs and life situation. This data collection strategy helps students and teachers: begin to understand another culture while helping to avoid merely stereotyping individuals; gives current and grassroots information about the group of interest; teaches good listening skills; provides contextual data and thick description. In addition to a written report (feature article), students will prepare a 12-15 minute presentation of their finding from the in-depth interview, as well as

how their own perceptions or beliefs about the culture may have been changed from this experience. A meeting for discussion and approval of the interview subject and a human subjects impact statement along with a tentative interview questionnaire must be made early in the semester.

Assignment Three - Rhetorical Cultural Comparison
Observe a foreign movie (or an American movie of a culture other than your own) and compare and contrast the values, cultural norms, beliefs, attitudes, and behaviors with your own cultural norms, communication strategies, etc. Drawing upon Vygotsky's idea of using students' "funds of knowledge," students watch a familiar medium, film, and apply cultural concepts (ethnocentrism, emic/etic perspectives, ideology, cultural relativism) to rhetorical situations in films like *Eat, Drink, Man, Woman* (or the Spanish version *Tortilla Soup*), *Chocolat, Shall We Dance* (Japanese version), *Joy Luck Club*, *Like Water for Chocolate*, *Bend it Like Beckham,* etc.

Action and Community Research

Assignment One - Preserving History: A Web Based Approach
Participants create informational CDs or websites on a local community. This project incorporates curriculums such as communication technology, social studies, and English. The Preserving History Web Project exercises visual literacy and information literacy to show students that they can mold "out of the ordinary character and …presence…fostering webs of cultural meaning, linking past and present through…deeply felt values into meaningful forms" (Zeitlin). Participants take and scan digital photos of buildings/areas of interest in their communities. Working with Local Historical Societies and Civic Organizations, students and teachers scan old photos of the same areas and write descriptions of area. The end result is a pictorial history of the area that is placed on a CD and/or website. Participants can then reflect on local people/places and develop a commitment and respect for their communities.

Assignment Two - Elementary School Fieldtrip
Find an elementary school teacher (on the list provided by the teacher) and contact him or her to set up a week for you to visit his/her classroom to view how literacy is being taught and learned. Act as a participant-observer (depending on the needs of the teacher) and work with the teacher to help work with students in the classroom. Keep notes as best you can, but remember that you are there to learn about how literacy is taught in elementary schools. Keep a research journal (50 points), as well as write an ethnographic analysis and report (50 points) that includes a self-reflexive account of your experience. Be sure to include your thoughts and ideas about literacy education and compare it to your own experience of learning to read and write. Based on your experience visiting the classroom, answer the questions:

1. What do you recommend for future literacy educators?
2. What do you see is the future of literacy education?
3. What did you learn about literacy from this experience?
4. What did you learn about research from this experience?

Assignment Three – Literacy/Reading Program Peer Volunteering
Sign up to volunteer as a literacy coach in the local literacy program at the local library. This might entail helping someone to learn to read and write or to help an ESL student to practice conversation skills (see the sign up sheet provided by the teacher). If you are unable or unwilling to become a tutor, get permission to observe a tutoring session or volunteer to read in the literacy program for children. Keep a research journal (50 points), as well as write an ethnographic analysis and report (50 points) that includes a self-reflexive account of your experience. Be sure to include your thoughts and ideas about literacy tutoring. Based on your experience, answer the questions:

1. What do you recommend for future literacy/reading programs?
2. What do you see is the future of literacy/reading programs?
3. What did you learn about literacy from this experience?
4. What did you learn about research from this experience?

This project is recommended for junior and senior level students who have some prior research-related coursework.

Future Implications:
By including research methodologies in composition classes, new strategies and genres for writing can be introduced and explored. As the assignments illustrate, qualitative methodologies can enhance composition classrooms and improve reading and writing by tapping into several literacies: digital, cultural, informational, and visual. Furthermore, teaching and research will not be seen as separate entities, and, in some cases, may be blended into a single identity or function. Additional curricular modifications that incorporate research methodologies into writing may take place in future writing courses and programs. As this research broadens the definition of literacy to include multi-modal learning, there are more opportunities for teacher-researcher collaborations and team-teaching between faculty of varying disciplines.

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The Trisected Society: Social Welfare in Early Victorian Fiction

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Abstract

This article is the first stage in a long-term project designed to elucidate the role that popular culture has played in the evolution of British social policy. It analyses some seminal novels by Dickens, Disraeli, Gaskell and Kingsley in their relation to developments in society and welfare of the early Victorian period, inferring from them a social discourse that challenged some but not all aspects of classical political economics. It argues that they reveal a view of society as 'trisected', that is as one in which the realms of production, distribution and reproduction are barely regarded as occupying the same conceptual space. So while some aspects of social policy are deplored, e.g. the workhouse, some of the assumptions and values upon which they were based are upheld. Rather than extensive institutional reform these books demand a new set of ethical coordinates which reflect a growing awareness of the interdependencies of individuals. These coordinates are here described as 'organic individualism'. The novels therefore reveal significant continuities and discontinuities with political economics and the article hypothesises that this is

important in understanding how and why responses to welfare issues developed as Britain moved into the mid-Victorian era.

Introduction

Social policy researchers have recently been taking an interest in culture and cultural studies (Clarke, 2004). This article arguably opens up a new dialogue as the first stage in a long-term project designed to elucidate the role that popular culture has played in the evolution of British social policy. Histories of popular culture usually make only passing reference to social policies (Rose, 2001), while histories of the latter tend not to use popular culture as a source of influential historical documents (e.g. Fraser, 2002). The premise of this project is that we achieve only a partial understanding of popular culture and social policy unless we are prepared to relate the two more closely.

As a first stage, the following article focuses upon some seminal novels of the 1840s and 1850s, by Dickens, Gaskell, Disraeli and Kingsley, in their relation to developments in society and welfare policy of the early Victorian period – those most commonly seen by critics as significant in relation to 'social problems'. These novels have been of interest to literary critics since the 1950s but their social policy aspects have often been eclipsed by other disciplinary approaches (cf. Berry, 1999). The article's aim is to examine the above novels in this light and infer from them a sociological and welfare-related discourse that challenged some but not all aspects of classical political economics. In what follows I will infer from these novels a particular view of industrial society and an accompanying set of precepts for its ethical recoordination.

Firstly, some disclaimers. There are two questions I am not going to address in this article. How should we model the relationship between culture, socio-cultural studies and social policy? How should the history of social policy be conceived? In short, I am not going to hypothesise a relationship between popular culture, social history and social policy at this stage because I suspect that a convincing account depends upon a prior exploration of popular culture and welfare history as they have connected at specific conjunctures. This article concerns one of those conjunctures. And note that since this has been written for a social policy audience I will be assuming a basic knowledge of the history of the period.

Cultural Materialism and New Historicism

What cannot be avoided is discussion of an appropriate analytical framework. There have been three main schools of criticism applied to social problem novels: cultural materialism, new historicism and feminism. I critique the first two below and, throughout the article, draw upon feminist contributions more generically.

For Raymond Williams (1958: Ch.5; 1961: Ch.2) culture should be understood as socially and ideologically engaged, and vice versa. Literary forms should neither be detached from their material environment nor treated as superstructural reflections of an historical essence. The 'structure of feeling' was Williams's term for how ideology is a cognitive, emotional and bodily *experience*. So what the 'industrial novelists' were doing was articulating and disseminating a particular structure of feeling: one that legitimated the fact of industrialism while allowing readers to assuage their guilt cathartically at its social damage by feeling an escapist sympathy towards its victims. Dickens *et al* therefore offer the middle class an escape route

from the horrors of industrialism while failing to imagine alternative social realities. This cultural materialism was also applied by Lucas (1966, 1977) and Smith (1980). For instance, Smith regrets that in feeling a genuine horror at urban squalor and social deprivation the early Victorian novelists were not able to think beyond this reaction and, instead, were content to do no more than invite the same emotions in their readers. Disgust and pity thereby remained unconverted into political forms of mobilisation as the universal claims of the poor were neglected (Childers, 2001: 79).

By the late 1970s, though, some were seeking new forms of interpretation. Where cultural materialists brought a strong normative stance to bear the new historicists sought to understand what the Victorian novelists *did*, as opposed to what contemporary critics think they *should* have done (but see Williams, 1983: 155). For Gallagher (1985) social problem fiction was a site through which complex cultural energies can be seen to flow. Rather than latch onto some of these as real and others as illusory the job of the critic is to trace all such discourses across a wider social field than that of fiction alone (Goodlad, 2003). If those novels did not offer a programme of reform that is because their actual purpose was to give aesthetic space to the fragmented discourses of industrial social change.

Other new historicists, however, have been less Foucauldian in their approach. According to Poovey (1995) social problem novels represented a welcome attempt to feminise debates hitherto dominated by a masculinist concern with statistical abstraction and social engineering. The novelists therefore view society through a regendering of knowledge and identity even while upholding traditional codes of male/female attitude and behaviour. Gender is therefore both present and absent in Victorian fiction. Guy (1996), too, has argued for a more generous response to Dickens *et al*. She says that while they could recognise 'problems in society' the

theoretical equipment needed to perceive *social* problems (and origins and solutions) was not yet available. It is not that they consciously rejected a sociological approach, more that such an approach barely registered in the individualistic paradigm within which they were forced to work.

So new historicism is concerned with historical context rather than ideological interpretation, arguably allowing it a greater freedom of movement and wider frame of reference. Where cultural materialism regards Victorian novelists as spokespeople for the middle-class, sourcing their aesthetic failures to the structural contradictions of the early nineteenth century's socio-economy, new historicists are less judgemental and concerned to identify complexities, where any flaws in the novels reflect the impossibility of reconciling the multifaceted discourses circulating around the wider social body.

While both schools of thought reject the idea that novels can be treated as contextless objects of analysis (Brannigan, 1998), the potential problem with new historicism is when it neglects the extent to which social problem novelists were making conscious and so political responses to the age whose *zeitgeist* they were articulating. Guy observes that we ought not to judge these novelists harshly because we should not expect them to have seen at the time what we can see in retrospect. Yet even if they could not see all of the picture available to us retrospectively, some aspects *were* in the process of developing. We, too, cannot be expected to plot the future evolution of society and yet future commentators will justifiably criticise those who neglect the trends which *are* discernable. So Guy perhaps underestimates the extent to which they perceived yet deliberately (and so ideologically) rejected certain ideas and political movements (Keating, 1971: Ch.9; Smith, 1980: 181-9). Take one example.

In Gaskell's *Mary Barton* unions are presented as understandable but regrettable responses to urban industrial deprivation, the labourer's equivalent to employers' intransigence that threatens to undermine the possibility of worker and boss striving together. Trade unions are depicted as socially destructive militants and Chartism as naïve; instead, workers are encouraged to form a communal bond with like-minded employers. The journey of John Barton from good neighbour to murderer to penitent eclipses any possibility of an alternative in which labour organisations are oppositional yet non-revolutionary. A similar trick appears in *Hard Times* where union members lack the personal integrity of Stephen Blackpool and the strikers are as self-deceiving as Bounderby (David, 2001: 89; Ackroyd, 1990: 726-8). And in Kingsley's *Yeast* Christian fellowship is depicted as the only alternative to anarchy and Tregarva's ambition is to become a gentleman and so a more effective spokesman for the poor rather than for one class against another. Therefore, while these novelists did not have access to systematic alternatives to *laissez faire* economics they were certainly aware of, and chose to close off the imaginative spaces for, movements more radically political than themselves. *If* they were immersed within an individualistic paradigm (an assumption I will anyway qualify) it is partly because they chose to reside there.

Both schools therefore 'read through' social problem novels, being sensitive to their differences but treating them as portals that tell us something about the sociocultural assumptions and values of the period and which helped to shape Victorian society in turn (Childers, 1995: 4).[1] Although new historicism is crucial as a reminder that cultures are multiple, diverse, ambiguous, fuzzy and indistinct, cultural materialism

[1] The extent to which a novel tells us something about the author and/or something about his/her period is obviously contentious and not a matter for resolution here. My premise is simply that the social problem books are screens upon which the cultural specificities of the time were projected, even though they can be subject to other readings also.

has a slight advantage in its refusal to abandon ideological critique for discourse analysis (Gallagher, 1989: 44; Patterson, 1996: 99).

It is for this reason that I will follow Williams (1977: 108-35) in distinguishing between dominant and emergent cultures. Dominant cultures are hegemonic in terms of values, norms, codes, representations and 'common sense' understandings; dominance implies here not a hierarchy of control but what, over a given period, might be identified as the most influential coordinates through which social practices and assumptions are framed. Emergent cultures denote the swirl of the new meanings, values, practices and relationships that are constantly being created. Some emergent cultures are radically new and some are not; some endure, some evolve, some are counter-hegemonic and some are not; and some of the latter effect a paradigm shift in the dominant culture, becoming dominant themselves. In this article I am identifying within social problem novels the hints of a newly emergent culture that bore hegemonic and counter-hegemonic properties, the latter being those which recoordinate the prevailing maps by imagining alternative histories, presents and futures.

Continuities and Discontinuities

What was the hegemony that these novelists encountered and where concerned to commentate upon? The common answer is that they were opposed to the political economics that by the 1830s had been in the ascendancy for several decades (Henderson, 2000). This is not incorrect but perhaps smoothes over their more complex stance. Let me explain why.

‘Classical’ political economics is usually taken to encompass Utilitarian and laissez faire principles. Like any political movement, therefore, political economics was volatile because while there are some respects in which Utilitarianism and laissez faire may conjoin there are others in which they are conflictual. Both see humans as preference-maximizers who respond in predictable ways to external stimuli; but where Utilitarians make room for social engineering, laissez faire advocates contend that this risks upsetting a natural equilibrium. To understand this volatility and how it was made relatively stable throughout much of the nineteenth century – allowing both state activity *and* free markets to expand (Evans, 2001: 363-6) – we need to say something about the genesis of political economy.

David Hume (1969) is a key figure. By insisting that reason takes its lead from the passions he promoted a particularistic, i.e. non-abstract, conception of self and society, seeing people as driven by animal-like instincts. In this Hume was a direct influence upon Bentham (Mack, 1961: 102, 120-1) and Smith (1976). Bentham offered a more rationalistic approach but one rooted in a view of humans as driven by the desire to avoid pain; for Smith ‘passions’ signified the importance of emotion and sentiment in human affairs. The question is, how can these passions/drives be contained and channelled in ways conducive to social harmony? For Hume the answer involved a form of governance that encouraged persons to see outside of themselves and converted their sentiments and cultural ties into forms of publicly oriented benevolence. Bentham took this in a statist direction, regarding it as the duty of knowledgeable legislators to engineer a system based upon the ‘greatest good’. Smith (Reisman, 1982: 211-4) denied that such Olympian knowledge was possible and that only a limited role for the state was permissible (Smith, 1976: 814-6).

Despite their differences, then, Utilitarianism and laissez faire were both deeply influenced by Hume's moral philosophy. Equally, by evolving beyond him both schools of thought were superseding the kind of 'moral economy' with which Hume would have been familiar. Thompson's (1963: Pt 2) remains the most influential account of the moral economy and by it he was referring to the social reciprocities and mutual obligations that constituted the normative orientations, cultural practices and commonplace understandings of communities in pre-industrial society. The moral economy was one of strong and paternalistic social bonds in which actions were legitimate or otherwise by reference to a given moral order. If there was little material solidarity between rich and poor there was at least some symbolic solidarity in which each recognised the other as members of the same moral community. Political economics was a self-conscious overriding of this moral economy, a response to social and economic changes that appeared to be dissolving the pre-industrial fabric: a new type of glue for a new type of society. So while political economics was by no means *immoral* its values were arguably more limited (Thompson, 1991: 274-84; cf. Stedman Jones, 2004).

So Utilitarianism and laissez faire exhibit crucial similarities that enabled their differences to be occluded and gave political economics a strength that contributed to its rising influence. Nowhere was this more true than in Malthus's influence. Taking his cue from Hume and Smith, both of whom saw that population growth could outrun agricultural production, Malthus (2004: 18, 32) rejected their optimism (somewhat cryptic in Smith's case) and believed that war, famine, disease and poverty were inescapable aspects of human fate. Although he later refined his hypothesis to allow for the possibility of reducing the birth rate, e.g. through moral restraint, his haughty pessimism remained and so Malthus represented the first of the 'dismal

scientists' (David Ricardo, Nassau Senior, James Mill) who would not only discard Hume but the Humean aspects of Bentham and Smith.

Political economics was therefore a confluence of volatile elements that were partly continuous and partly discontinuous with what had gone before, one we might denote as an emergent culture from 1870s to 1820s but which, for most of the nineteenth century, became a key element of the dominant culture (a full account of which would need to incorporate factors like Toryism, romanticism, Christianity, etc.). Note, my intent has not been to offer a definitive account of political economics or of the early nineteenth century dominant culture but to concentrate upon the former's theoretical influences in order to illustrate an analytical point: for if the political economists could adapt some elements of earlier traditions and reject others we should not be surprised to find social problem novelists performing the same trick. If political economics was both hegemonic and counter-hegemonic vis-à-vis its predecessors then might the same be true of social problem novelists vis-à-vis political economics?

Reacting to Welfare

In order to illustrate what this involved I want to extract from the social problem novels a discourse of welfare that all appear to share. In order to do so it is first useful to review their 'surface' responses to contemporary developments.

First, their willingness to depict the reality of poverty is more effective than even the widely-read reports of Kay-Shuttleworth and Chadwick, despite the then common recourse to sentiment and melodrama. Lenard (1999: 46) observes that sentiment in the early Victorian novel was not so much a replacement for politics as its extension,

a way of overcoming physical and symbolic distance by making middle-class readers weep for characters in the hope that they will go on to weep for their real-world equivalents. Novelists certainly portrayed the lack of material things but knew that readers respond principally to the human consequences of this lack. Statistical surveys achieved, and still achieve, less than a good, socially conscious drama. Yet the danger of sentiment is in its potential for political obtuseness. The more subjects are foregrounded the more likely are their structural and institutional contexts to be obscured. In responding to characters we may easily adopt the very pathologism which was the source of their plight in the first place, a paradox with which Dickens came to wrestle (see below).

Second, they sought to place a large question mark over the assumption that political economics provided the answer to poverty, the most famous example being Dickens's attack on Malthus in *A Christmas Carol*. For instance, Nussbaum (1995: 20-5) detects in *Hard Times* an hostility to prevailing kinds of policy-making and public reasoning. Qualitative diversity is regarded as superior to quantitative abstraction since the latter eclipses the human dimension without which institutions are rendered ridiculous: Gradgrind's school is little more than a calculator in which the children are reduced to machine parts. *Hard Times* laments the belief that the accumulation of data and the arithmetical manipulation of statistics is sufficient to generate solutions to human problems and a philosophy of self-interest is contrasted with emotions and motivations that Dickens regards as important: not only love, empathy and altruism but the sense of wonder and mystery that Gradgrind disdains because it cannot be counted. In opposition to the above Dickens presents the circus, not a model of an alternative social system but a metaphorical exploration of what happens when we leave systems behind and embrace spontaneity, fun, absurdity and

attachment to the immediate. Of course, while challenging the political economists Dickens may also be articulating a kind of conservatism since some statistical abstraction may be needed for the systematic relief of social problems.

Third, their hostility to the workhouse is clear. Oliver's request for more food is rightly taken by the Board of Guardians as a challenge to their very existence. In asking for more than dietary science had determined was necessary for daily sustenance Oliver not only lacks the required self-discipline but is questioning the philosophy of less eligibility and so of self-help. He is now not only a member of the undeserving poor but a rebel who must now be expelled. The subversiveness of the episode comes in the difference between what the Board and the reader know. Oliver is flogged as a warning to the other boys not to follow his example, yet he had already been acting as a spokesman for the others. If Oliver is beyond help then so are they and the entire rationale of confining children to the workhouse, and so of the workhouse itself, collapses. Yet Dickens's target is less a specific institution than the hypocrisy of a society that proclaims the virtues of self-interest for everyone except those who were its greatest victims. The irony is that decent society is at threat from criminals like Fagin who simply mimic its ethic of self-interest.

Fourth, there is only modest support for a democratisation of the state or extension of its role. In *Coningsby* Disraeli attacks the new Poor Law for further undermining the parochial order of a nation in which the privileged had once given thanks for their position by taking responsibility for the peasantry (*noblesse oblige*). In *Sybil* the spokesman for the workhouse, Lord Marney, is later stoned to death by the mob violence his views have helped unleash. Since, for Disraeli, the working class can and should be represented by enlightened members of the aristocracy there is no need for universal suffrage or for workers' representatives in parliament. Dickens offers a

pessimistic and near anarchistic view in which the many labyrinths of the state wrap around themselves in a Kafkaesque loss of authority, effectiveness and purpose. That the state is capable of being both efficacious and progressive is something Dickens can barely countenance. Although he supported the Second Reform Bill his hostility to organised labour may be due to a fear that this would make working people complicit in the activities of the governing classes he disdained.

Fifth, social problem novelists were also against contemporary forms of education. Most famously, Dickens's savage portrayal of Dotheboys Hall seems to have been no exaggeration and led to the virtual extinction of the Yorkshire boarding schools upon which it was based. In *Hard Times* he turns his fire on the kind of cold, mechanical education that he feared Utilitarianism engendered and in *Our Mutual Friend* his humour is directed at the belief that meaningful social mobility can be achieved through education alone. Yet given their hostility to the state it is not clear what, if anything, these novelists propose as an alternative. Kingsley's heroes are autodidacts guided by mentors; Disraeli's are privileged aristocrats who have acquired a sense of their responsibilities beyond school; while Gaskell looks to education in the Christian virtues first and foremost.

Sixth, their response to issues of disease and sanitation is more precise. When in *Yeast* and *Alton Locke* characters die from diseases contracted from social conditions they had ignored the implication is that poor public health is not something from which the rich can escape and their neglect will inevitably be revisited upon them (Susan Williams, 1987). In what is almost a sociological hypothesis our novelists discern, however vaguely, a social infrastructure running beneath the individualised surfaces of everyday life. In *Bleak House* Esther contracts smallpox from Jo, a figure who seems to carry the darkness and squalor of Tom-all-Alone's around with him. It

is here that our novelists were most obviously in favour of government intervention, though parliament's inertia confirmed why theirs was a cynical view of it (Ackroyd, 1990: 746).

Seventh, they call for fairer distribution of wealth. While the political economists' argument that the market cannot be bucked remains unchallenged what the social problem novelists propose is that the burdens and benefits be more fairly distributed (as is clear from the responses of Sissy Jupe to her economics lesson) and that opportunities for upward mobility be expanded so that men (sic) may develop their faculties (as in Tregarva's desire to become a gentleman or when, in *Sybil*, the former militant, Devilsdust, becomes a capitalist). Scrooge's redemption leads him to offer higher wages to Bob Cratchit but the nature of the wage contract, and so of broader market relations, remains the same (Newey, 2004: 41-9). The work ethic is therefore valued both as a kind of social glue and as a means of effecting greater fairness – idleness is deplored as a potential source of social disruption and wasteful of human talent. In Gaskell's novels both employer and employee are condemned when they ignore the work ethic of the other, e.g. in *North and South* Thornton and Higgins come to respect the work ethic of the other. Alternative ways of organising the labour market are not proposed but, as already indicated, Chartism and trade unionism are regarded as additional symptoms of economic malaise rather than as possible solutions.

Finally, our novelists were cautious on the subject of charity, philanthropy and early examples of social work (D'Albertis, 1997). While Kingsley does not query charitable motives he does seem to condemn it as a palliative rather than a preventative, something inferior to Tregarva's instinctive attempt to save the dog of the affluent women he loves or Colonel Bracebridge saving the life of Tregarva in

turn. Dickens goes further still in condemning certain types of charitable motivation, e.g. in the near-misogynist depiction of Mrs Jellyby (see below). Gaskell comes closest to defending charity as an expression of Christian humanism. The famous scene when Barton and Wilson go to great lengths to help the Davenports communicates a strength of feeling greater than attachment to one's self-interest. What each novelist seems to be opposing is the misplaced use of charity as a response to social squalor. Charitable actions that patronise, moralise or stigmatise are rejected in favour of spontaneous affection and a human instinct to assist others.

It is therefore not too difficult to spot in the early Victorian novelists an early formulation of the giants later identified by Beveridge: want and poverty, ignorance and education, disease and sanitation, distribution and work, charity and squalor. The question is, can we infer from their books a common discourse about the nature of society and, if widescale economic and political reform was being ruled out, then what forms of intervention vis-à-vis social problems were they advancing? I address this in the next two sections.

The Trisected Society

Below, I will propose that we can infer from these novels a common discourse, one that views industrial society as 'trisected' and makes this the starting point for potential social solutions.

Class

I have already outlined the suspicion these novels bear towards trade unions, the point being that because class divisions were seen as the essential to social problems (Ingham, 1996: Ch.6) anything which exacerbated such divisions could not be thought of as contributing to the solution. Let me demonstrate this through *North and South*, the most sympathetic and sophisticated portrayed of organised labour.

The book concludes with Thornton describing his conversion to a new form of industrial relations based upon worker consultation and participation which while not preventing strikes would render them less hostile and destructive; Higgins, meanwhile, shares with his colleagues a recognition of employers' and employees' common humanity. Institutional reform is therefore not ruled out but considered by Gaskell as ineffective unless based upon personal interaction, mutual charity and sympathy. So Gaskell's emphasis is still upon morals and what I will call the 'principle of equivalence' (Harvie, 1991: 23-4). Higgins had earlier come to accept Margaret's view that unionism had been responsible for Boucher's militancy and later suicide; in her attack upon the closed shop Gaskell draws an implicit comparison between compulsion exercised by employers and that exercised by workers. Compulsion by labour is seen to exacerbate the broader injustice propagated by capital: it is denoted as a sin born from the masters' sinning, another form of false materialism that diverts us from matters of spirit and morality. Margaret applauds the solidarity of labour movements but only if it embodies the ethos of a Christian community. Therefore while she rejects some arguments from equivalence, e.g. that capital and labour are at equal risk from an industrial downturn, Gaskell depicts both sides as having to travel a similar *spiritual and moral* distance to achieve the interaction that, by the end of the novel, offers at least some kind of hope. Cooperation involves the classes meeting 'in the middle' and is not advanced as an

alternative form of economic relation to competition. The initial inequalities between capital and labour are smoothed over.

Class is also occluded as a social solution by an appeal to family, Christianity and nation. We deal only with the latter two here, exploring the family shortly.

It is clear that Kingsley believes class politics to be subordinate to Christianity. In *Yeast* revolution is represented as a possibility – however undesirable – if the affluent do not attend to social conditions. Kingsley goes further than other authors in calling for a social economy that enables workers to develop their faculties. Property diverts those who own it from a proper recognition of what it is to be virtuous; selfishness cannot unite people. However, the socialistic aspects of this view are as potentially tyrannous as a competitive economy unless anchored firmly in an ethos of Christian community and fellowship. This is made clear in *Alton Locke* where Chartism receives its most hostile condemnation precisely because, of our authors, Kingsley was most sympathetic to it (Childers, 1995: 154). Locke's well-meaning intervention sparks a riot and he later comes to accept the words of Eleanor:

> Denounce the effete idol of property-qualification, not because it happens to strengthen class interests against you, but because…there is no real rank, no real power, but worth; and worth consists not in property, but in the grace of God. (Kingsley, 1905: 358)

Christian Socialism is primarily an ethos of mutual sacrifice.

Disraeli performs a similar trick by appealing to national history and destiny. In *Coningsby* he defends an aristocratic paternalism where authority and labour recognise their duties to one another beneath the Crown in its ascendancy beyond

class. Unless commanded by national pride human passions will mould other, less benign divinities (Disraeli, 1968: 251-4). In *Sybil* this is proposed as the only viable solution to the 'two nations' of rich and poor. Yet with few exceptions Disraeli fails to depict these two nations since their protagonists share practically the same vocabulary, customs, sympathies and interests. Far from existing on opposing sides of an unbridgeable gulf they are already one nation whose mutual comprehension has been forgotten. The union of Egremont and Sybil (who turns out to be aristocratic anyway!) symbolises the act of recollection which needs to be performed by creating a paternalistic hierarchy that, as in Trafford's factory, attends to the moral and material health of the people. Trade unions are practically depicted as branch of the freemasons and Chartism an ineffectual barrier against revolution (Disraeli, 1981: 219-21, 417).

Our early Victorian novelists therefore recognise class as a problem but will not admit class analysis or politics as part of the solution. Despite the moderation of most Chartists they dramatise class conflict as invariably, and quickly, descending into revolutionary violence. This suggests what is perhaps the central contradiction in their social visions: the weight of circumstance upon human affairs is simultaneously affirmed and denied. Webb (1981: 94-9) highlights Dickens's awareness of environment in shaping *Hard Times*'s characters but when presenting the normative issues (the question of how Coketown should be governed) this awareness is suppressed and circumstance fades, e.g. as in Gradgrind's facile conversion. Dickens's early characters often float free of their social backgrounds, e.g. Oliver's genteel manner and speech cannot derive from his upbringing, but he would later tie self and environment together more closely so that the happy endings, as in *Great Expectations*, become more incongruous as the overall vision becomes more

pessimistic. Yet this alternating triteness and pessimism is the cul-de-sac into which Dickens drove himself by ruling out the possibility of *social* solutions to social problems through a politics of collective action. His increasing sense of the interdependency and complexity of human affairs led him to rule out systematic intervention. In *Bleak House* the fog both unites and obscures the many sectors of society and is not something from which we can ever entirely escape. His injunction to the reader to assist the Jo's of the world comes across as a cry of helplessness.

Dickens therefore represents an extreme example of the juxtaposition of circumstance and non-circumstance. The conflict here is reconciled by allowing the determining influence of material circumstance to fade and be overtaken by other factors. The possibility and desirability of economic and institutional reform through collective action therefore fades also. This would not be a contradiction if, like the political economists, they attributed deprivation primarily to moral failings. But while they attribute importance to moral (and immoral) behaviour Dickens etc. do not have recourse to this exit strategy since they stress time and again how the poor are also victims of circumstances beyond their control. Social problem novels therefore embody a contradiction: a recognition of material circumstance combined with an hostility to materialist and collectivist solutions.

Work

So although they express horror at the workhouse they revise rather than reject the deserving/undeserving distinction upon which it was based. Whereas the political economists focus upon ability and willingness – where a disinclination to work denotes a moral bankruptcy that justifies punitive action – the social problem

novelists add a third term: luck. As already observed, they propose no substantial alternative to the means of economic production, just a call for a fairer distribution of outcomes and opportunities. But if market forces have to work in the manner suggested by political economics then the role played by good and bad luck in human affairs must surely be more considerable than allowed for by political economists. There is a capriciousness on where, when and upon whom the axe falls – as in Little Dorrit when Clennam, perhaps the most virtuously one dimensional of Dickens's heroes, ends up in the Marshalsea. Our novelists therefore challenge political economics to be more consistent than hitherto.

But once luck has been added there is nonetheless, as noted above, a strong focus upon willingness to work (Sanders, 2003: 128-35). In *David Copperfield* self-discipline is that which transcends social background to mark men and women out as worthy or unworthy; by contrast in *Great Expectations* Pip is morally hollow until his fortune depletes and, like David, is forced to work his way towards becoming a true gentleman. It is the willingness to work rather than the desire to acquire riches that is important here. Indeed, social problem novelists sometimes appear quite radical in their inclination to attack the idle rich as much as the idle poor. Once their fortune changes the Dorrit family (apart from Amy) is made to appear reprehensible and ridiculous; and Eugene Wrayburn is a shallow figure until Lizzie saves his life. So as long as affluence is seen to be deserved there is no condemnation of over-affluence or sense that poverty may be an effect of this.

Nor, then, is there any attempt to recreate the moral economy of free time. Dickens *et al* certainly welcomed legislation to reduce working hours but there is no support for the early labour movement's resistance to the capitalist labour market *per se*. The social problem novels depict struggles over time in which free time becomes leisure, a

recuperation from work during which the material and/or the familial rewards of working hard can be enjoyed, but is no longer an operating principle of a socially-oriented economy. This is, after all, the period during which bank holidays and the modern notion of Christmas were introduced. The labouring body is therefore accepted as given and used as a means of unifying the classes by relocating moral worth upon willingness to work rather than upon inheritance. If willingness is the real platform of social status then this represents a kind of egalitarian justice in which the precise nature of the work matters less than its performance, the divisions between employer and employee fade and a conduit for a fairer distribution of social wealth conceived.

So while the workhouse is damned the deserving/undeserving distinction is if anything perpetuated: the workhouses and the debtors' prisons were inhumane constructions upon foundations that were ethically legitimate, institutions which *prevented* the very behaviour whose supposed absence they were somehow meant to correct. They condemned this hypocrisy not only for its own sake but because it might stir up political militancy and so fatally undermine the ethical virtue of hard work. The novelists' hostility to trade unionism and Chartism perhaps stemmed from a fear that they would tear everything down, the ethical foundations as well as the institutions. Their preferred society is one in which economic structures are repainted with humanitarian colours.

Gender

These ethical foundations are also viewed in gendered terms. Gallagher (1985: Ch.7) observes how Victorians appealed to the supposed virtues of the private sphere in

order to compensate for the conflicts and vices of the public one. But the sanitised model of the home that this prompted only confirmed the gulf between public and private that social paternalists had wished to overcome. By emptying the domestic sphere of public struggles they only succeed in sublimating those struggles, not in addressing them. In *Hard Times*, for instance, the family unity achieved by the Gradgrinds at the novel's end only serves to betray the metaphorical coalition Dickens had earlier drawn between the Gradgrind children and the working class. By constructing a family ideal Dickens abdicates from public responsibility.

So it is women who are expected to carry the family ideal, to symbolise the domestic haven that offers retreat from public burdens. It has frequently been noted how dichotomised female characters are in Victorian literature (Langland, 1995; Ingham, 1996: 25). On one level we have the kind of angelic figure that reaches some kind of absurd height with Sybil, a figure upon whom Disraeli loads spiritual significance, but which is also visible in Margaret Hale, a realistic because flawed character who provides *North and South* with its ethical orientation. By contrast those who fail to embody this angelic ideal are shown in various states of falling from grace (Winnifrith, 1994). In particular, there are also those who have crossed over a line beyond which no return is possible. Nancy's virtues are not enough to save her from murder at the hands of Bill Sykes; Esther's descent into prostitution is suspended long enough for her to warn Mary Barton of inviting the same fate but Esther herself is not allowed to survive. In *Bleak House* Mrs Jellyby's philanthropy is inseparable from her inabilities as a mother, conveying the message that proper concern for others springs from a familial attachment to the immediate and the particular. That real charity is an extension of maternal instinct and feminine emotion is clear in the final

image of Mrs Jellyby as having quickly become as obsessed with women's political rights as she had previously been with Africa.

And the work performed by women is rendered indistinct, even as the deserving/undeserving distinction is upheld. Despite the continued diversity of women's employment in Victorian Britain (Evans, 2001: 154-7) female characters are almost always employed in jobs assumed to be extensions of their natural role, i.e. as governesses, tutors or housekeepers, and then either as a temporary prelude to marriage or as a spinsterish alternative (Swindells, 1985: 82-9). It is only in such jobs that social problem novelists can envisage women reconciling employment and mothering; those women (like Mrs Jellyby) who have professional aspirations are rendered ridiculous. So whereas in men undeservingness is signified by a lack of willingness to work, in women it derives from a malfunctioning of the maternal instinct. All women are assumed to be carers but when they, either wilfully or ignorantly, care too little, too much or for the wrong thing they are defined against an angelic ideal.

Poovey (1989: 10) therefore argues that gender was the site upon which virtue was rearticulated during this period. Where aristocratic feudalism had made class location central to its social and moral relations, the bourgeoisie had to pursue a more individualistic course. Virtue was depoliticised by being associated with a domestic sphere now perceived as being detached from the public, economic one. The middle-class homemaker comes to represent the ideal of morality and emotion. Economic reform is therefore depicted either as irrelevant to society's moral order, or even as inimical to it whenever radicals talk of altering property rights. The bourgeois family is therefore a goal to which all men and women, whatever their class, can and should strive.

The gendered nature of early Victorian novels, e.g. the appeal to sentiment, is therefore a means of occluding class conflict and political struggle (cf. Childers, 1995: 118-9). Economic issues are quelled through the domestication of desire. The social world that lies behind the occasional appearance of illegitimate children, e.g. in *Nicholas Nickleby*, is only ever alluded to since the direct depiction of middle class men going in search of sexual fulfilment among working class women might reveal the prevalence of class exploitation (Morris, 1991: 12). So the psychological insights provided by Gaskell are a means by which domestic harmony is elevated over public turmoil and the emotional over the political; her heroines are only allowed to intervene in a society where the psychological is being disembedded from its social relations (Poovey, 1995: 143-52). If it took a century to rediscover the political within the private it was partly because Victorian novelists had helped to dissociate politics from the domestic (Gilbert & Gubar, 2000).

What these three strands add up to is a discourse familiar to sociological theorists: the simultaneous association and detachment of production, distribution and reproduction. Social problem novelists not only do not envisage socioeconomic alternatives to political economics they close down the spaces (of class and collective action) through which such alternatives could be imagined. Their solution to the poverty that appalled them was therefore fairer distribution and cooperation within a framework of economic production that was essentially unalterable. While the economy may resemble a system of natural law, as inexorable as gravity, there are examples within nature other than that of self-interest upon which we can draw. Fairness was not to be determined according to precepts of justice, since this smacked of the kind of statistical abstraction they abhorred, but by constructing a community (Christian,

national, familial) with which the reader was implored to identify. Cooperation implied a personalised, face-to-face interaction and not an alternative system of economic relations. Production and distribution are therefore disconnected from one another even as they are being associated. Economic and material circumstances are invoked as part of the problem but not as part of the solution since this might further threaten the communal fabric, the social interdependencies, which they regarded as vital.

And as we have just seen the same process of association and disconnection is visible in their treatment of the family and of gender. The family is held to provide the utopian redemptions of which the public, political world is not capable. Women must therefore be located upon a spectrum constructed to maintain this familial ideal with domestic angels at one extreme and non-domestic devils at the other. Prostitution and sexual abuse are only ever alluded to very indirectly since otherwise the familial ramparts of Victorian society might collapse. And where these are dealt with, e.g. Esther, it is with reference to agent-centred failures of morality (denoting a lack of desert) that are detached from issues of material circumstance. So, like production and distribution, reproduction is presented as a sphere-unto-itself, occupying the same imaginative space as the others but without being conceptually or politically integrated (Houston, 1994: 170).

What the social problem novels therefore offer is a nascent awareness of social interdependency. While in his early novels Dickens employs coincidence as an inept *deus ex machina*, by the latter books it becomes a logical consequence of the substratum he sees underpinning the teeming variety of social life and upon which the reader is allowed a glimpse. This interdependency is partly an imaginative recreation of traditions other than political economics, e.g. romanticism and Carlylean idealism,

but also a recognition of the linkages that industrial urbanisation was forcing upon humanity. The novelists' hope was that these linkages could be transformed from negative forms, e.g. disease, into positive forms of communal empathy. So while they were able to write about production (economic change and wealth), distribution (poverty and the work ethic) and reproduction (home and family) they were suspicious of attempts to model these according to an all-encompassing formula. A single, integrative model of society (whether based upon utility, market or class) seemed to them an unrealistic distortion of human complexity in that it made redundant those qualitative dimensions that cannot be modelled, e.g. need for empathetic understanding and communal respect. This discourse of welfare might therefore be termed the *conjunctive non-integration* of the spheres of production, distribution and reproduction, or what might otherwise be called the *trisecting* of society into three sectors. It will be the task of later stages of this project to see how this discourse evolved, and was itself challenged, as UK social policies developed.

The Ethics of Organic Individualism

There are many respects, then, in which the discourse emerging from the social problem novelists is counter-hegemonic. They are concerned to look poverty squarely in the face and not theorise it away as contemporaries like Harriet Martineau had done. They grope towards some notion of fairness and dignity, not by offering abstract models of society or principles of justice, but by portraying human empathy as more virtuous than selfishness. Fair distribution is held to require the mutual recognition of others within some kind of moral community, so that the sphere of production does not require radical changes and can be conceived of as separate to

that of distribution. Chartism and trade unions do not receive a sympathetic reception, therefore. There is an idealistic aspect to their vision (Cazamian, 1973): a suspicion of industrialism, reaching an extreme in the medievalism of Disraeli, articulated by Carlyle's (1971: 61-85) fear not only that society is becoming more dependent upon impersonal mechanisation but that humanity is taking on the qualities of a machine. There is also a resistance to the cash-nexus, to the idea that everything can and should be priced, since the novelist's eye sees within the human character depths to which quantitative scales cannot penetrate.

So while recognising the materiality of social life *materialism* is rejected (Eagleton, 2004: 151), whether this be the materialism of political economists or of political radicals who, in their obsession with wages and strikes, are held to have internalised the tenets of political economics rather than propounding a true alternative. Humans are not the manipulable beings that both sides hold them to be. What arguably makes the observations of social problem novels superior to the sociological abstractions of contemporaries like Engels is that the former detect nuances and desires that the latter miss (Lucas, 1977: 46-56; Sanders, 1999: 68-71). Not only gradations of status in terms of income and occupation but cultural traditions through which the distinct identities of labourers' communities managed to survive. The desire to maintain hierarchies of status was not simply a response to poverty but represented as an inevitable human drive, e.g. it is present both within and without the Marshalsea. Poverty is immoral because it introduces into our codependent communities divisions and alienations that are neither inevitable nor desirable (Lindner, 2000) but hierarchies are not necessarily unacceptable because they need not, of themselves, prevent people from taking responsibility for others, of respecting others or of caring paternalistically for others. So whether it derives from political economists or

radicals social problem novelists reject materialism for ignoring human complexity and they offer instead a set of non-materialistic values (family, humane Christianity, nationality) so that the ethical self-image of industrial capitalism might be recoordinated.

Yet in reacting to the materialism of political economics, so by detaching values from their material context, these novelists are also content to leave the practices and relations of industrial capitalism more or less intact. For once there is mutual respect and recognition of the worth of others then how higher or lower those others are in terms of income, property and wealth matters far less. Competitive self-interest is not objectionable in itself, only its potential to descend into selfishness, one which a strong moral order is required to avoid. As already noted, this is why work is so vital (Sanders, 1999: 143-9). Whether you are a crossing-sweeper or factory-owner the dignity of work, its badge as a sign of social membership, exists on a non-material level that radical prescriptions divert us from. It is because not everyone can be a factory-owner that makes admission of essential human worth so vital. Nor is there any substantial hostility to the essentials of free markets for institutions are no more individuals interacting with other individuals and social problem novels are means of encouraging people to behave better towards one another.

So while interdependencies are acknowledged theirs is still a reading that traces social origins back to the motivations, values, beliefs and actions of individuals. Interdependency is firmly rooted on and around individuals and not what later theorists would call social structures. Theirs is what might be called an *organic individualism* rather than something which is fully social, holistic or collective. Human characteristics may have been formed by the social environment but, through

efforts of will, we are able to develop individualistically beyond our environments and remould them. As already observed, the family ideal is crucial to this conception.

So if there are some respects in which social problem novelists are counter-hegemonic there are others in which, by subscribing to a work-centred individualism, they are not, even if their understanding of social interdependency is far more subtle and complex than the political economists'. This may be because, although influenced by romanticism and idealism also, they were arguably reaching back for earlier, conservative traditions of public benevolence that were in many respects the source for Bentham and Smith as well (if less frequently for followers like Malthus). Our novelists may be constructing another version of this earlier tradition that goes at right angles to political economics rather than evading it entirely. For both they and the political economists they disdained bypass the moral economy that continued to inspire many within the labour movement throughout the nineteenth and into the twentieth centuries. Nevertheless, their expression of an organic individualism anticipates, and frequently influenced, later generations of neo-idealists, social liberals and socialists.

Conclusion

I have inferred from a limited though influential series of books a particular view of society (as trisected) and a set of ethical coordinates (organic individualism) that exhibit hegemonic and counter-hegemonic features vis-à-vis classical political economics. I am not claiming that this reading is definitive of the authors in question, nor am I claiming that their stance is a microcosm from which early Victorian responses to social change can be easily generalised. Cultural discourses are

obviously far more varied than that. Instead I have wanted to kick-start a programme of analysis by identifying one possible strand in post-1834 reactions to social and welfare developments, to construct an hypothesis that may or may not throw light upon the history of UK social policy and may or may not enable us to think through the connections between this subject and sociocultural studies.

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The Influence of Oscar Wilde on F. Scott Fitzgerald's

The Beautiful and Damned

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Introduction

While F. Scott Fitzgerald's critics and biographers have been quick to pick up overt references to Oscar Wilde in *This Side of Paradise*, few if any have commented on the ostensible influence of Wilde's aesthetics on *The Beautiful and Damned*. Though there is but one explicit mention of the Irish muse in Fitzgerald's second novel (*Beautiful* 370) (thanks in part to a slight reduction in name-dropping), the aesthetic ideal embodied in Wilde's quintessential dandy, Dorian Gray, is mirrored in Fitzgerald's flapper and archetypal beauty, Gloria Gilbert.

In this study, I will first expound the parallel visions of beauty in Fitzgerald's second novel and Wilde's *Picture of Dorian Gray*, and then contextualize the aesthetic values present in *The Beautiful and Damned* in terms of Fitzgerald's subsequent novels, *The Great Gatsby, Tender is the Night* and *The Love of the Last Tycoon*. Fifteen years after the publication of *The Beautiful and Damned*, Fitzgerald noted that:

> All the stories that came in my head had a touch of disaster in them—the lovely young creatures in my novels went to ruin, the diamond mountains of my short stories blew up, my millionaires were as beautiful and damned as Thomas Hardy's peasants. In life these things hadn't happened yet, but I was pretty sure living wasn't the reckless, careless business these people thought—this generation just younger than me (*The Crack-Up* 87).

Leonard A. Podis writes that in Fitzgerald's second novel we can see "his first major attempt [. . .] to reconcile his romantic faith in the magic of youth with his morally

ingrained suspicions that life wasn't 'the reckless business' for which he and his young creatures had been taking it" (142). Indeed, Fitzgerald may have been only barely conscious of these suspicions, for as Sergio Perosa suggests, Fitzgerald also "sympathized with his characters [in *The Beautiful and* Damned] and shared some of their illusions and not a few of their attitudes" (46). One such illusion may lie in his hero's contemplation of the ideal beauty. Neither Anthony Patch nor Dorian Gray seems to apprehend Plato's conception of true Beauty as the "destiny or goddess of parturition" (45), and neither considers "that the beauty of the mind is more honourable than the beauty of the outward form" (47). Like Dorian's self-love, Anthony's love for Gloria possesses a certain degree of superficiality. And just as Dorian comes to value his own good looks, Gloria also comes to regard her external beauty as her highest virtue.

Narcissus Reconsidered

For Gloria, as for Dorian, appearance is the primary value. Yet while Dorian barters his soul to retain his loveliness, Gloria is literally beauty personified and the loveliness of her body represents "the essence of her soul" (27). Not only does Fitzgerald bestow upon her the name of "Beauty" as he introduces her in "A Flash-Back in Paradise," but the manner in which Anthony and the other characters view Gloria reinforces her idea that her principal gift to the world is her stunning sensuality. In her first appearance on the planet, in the chapter Fitzgerald denominates "Portrait of a Siren," Richard Caramel demands of Anthony "What do you think of her? [. . .] Isn't she beautiful?" (57) It is little wonder that, regarded as such, Gloria's chief desire is to be "young and beautiful for a long time" (276).

"Oh my pretty face! Oh, I don't want to live without my pretty face!" Gloria grieves, kneeling before her full-length mirror (404). Gazing at his portrait, Dorian Gray comes to a similar revelation: "I know, now, that when one loses one's good looks, [. . .] one loses everything. [The] picture has taught me that. [. . .] Youth is the only thing worth having. When I find that I am growing old, I shall kill myself" (*The Picture of Dorian Gray* 50). For Gloria, as for Dorian, youth must be preserved at all costs, for she values her physical attractiveness above all else. In this way, Gloria's narcissism echoes Dorian's, and the hedonistic life of selfish irresponsibility she chooses has its own Faustian consequences. And in their attempts to capture and preserve beauty, the artists Basil Hallward and Anthony Patch succeed only in objectifying the subject of their admiration, and so implicate themselves in tragedy and damnation. Just as Dorian grows to hate the artist who "painted the portrait that was the origin of all his shame" (186), Gloria grows "very bitter" when Anthony's income can no longer afford her the pride of a "gray squirrel coat" (*Beautiful* 390) and wonders "whether after all she had not wasted her faintly tired beauty" (391).

As Milton Stern suggests in *The Golden Moment*, Gloria's "identity, her very life, is bound up in the fresh and clean glow of her physical beauty" (125). In the first stages of their relationship, Anthony notes that for Gloria, "the main concern of life was the adjusting of some stray wisps of hair in the elevator mirror" (*Beautiful* 109). In this way, Fitzgerald's view of the consummate beauty bears a remarkable similarity to Wilde's—their paragons of loveliness indulge themselves in self-centered, idle preoccupation, regarding the world solely in its relation to their own appearance, thinking of nothing else. "Beauty, real beauty, ends where an intellectual expression begins. Intellect [. . .] destroys the harmony of the face," Lord Henry Wotton tells Basil, surmising that Dorian is "some

brainless, beautiful creature" (*Picture* 25). Dick tells Anthony Gloria is "damned attractive" and "darn nice—not a brain in her head," and Anthony becomes engrossed by the thought of a "girl who made a living directly on her prettiness" (*Beautiful* 35). For Gloria, "the only meaning in life [. . .] is fun suited to her beauty, and fun is whatever sensation will keep her from boredom and age" (Stern 143). As Stern observes, "the appearances are all. The action of life for Gloria is to maintain the golden moment of her centrality: her beauty is but a means to itself, which is its own end" (143).

Yet while Dorian manages to retain his attractiveness through the mystical fulfillment of a Faustian wish, the preservation of Gloria's prettiness depends upon the degree to which her (i.e. Anthony's) wealth will keep her free of worries and able to idle and pose gracefully. "A sense of responsibility would spoil her. She's too pretty," Richard Caramel remarks to his Aunt Catherine (*Beautiful* 39). For a while, Gloria's fortune affords her the opportunity to practice what Wilde calls "the great aristocratic art of doing absolutely nothing" (*Picture* 55). Perhaps she knows "how important it is not to keep a business engagement, if one wants to retain any sense of the beauty of life," as Cecily Cardew asserts in *The Importance of Being Earnest* (61). "I want to just be lazy and I want some of the people around me to be doing things, because that makes me feel comfortable and safe—and I want some of them to be doing nothing at all, because they can be graceful and companionable to me" (*Beautiful* 66). In Anthony Patch, she certainly does find a companion who does nothing at all. And she *presumes* that marrying this grandson of a multi-millionaire will make her comfortable and safe. Yet when Anthony's income cannot buy her the shampoo that will keep her hair "a rich gold dusted with red" (425), Gloria no longer feels comfortable going out: "It's no fun to go around when you have the sense that people are looking at you in a certain way," she explains to Muriel Kane (409). To keep

her pride, Gloria feels she must be "always herself" and do "what it seemed beautiful that she should do" (392); she wants "to exist only as a conscious flower, preserving and protecting itself" (392-93). When faced with the prospect of a meaner existence, Gloria cries to Anthony that she'd much rather expire with a flourish: "two hundred a month is worse than nothing. Let's sell all the bonds and put the thirty thousand dollars in the bank—and if we lose the case we can live in Italy for three years, and then just die" (427).

Anthony Patch and his Work of Art

Gloria's husband "is one of those many with the tastes and weaknesses of an artist but with no actual creative inspiration," Fitzgerald wrote to Charles Scribner II (*Life* 41). Anthony's wedding to Gloria represents the consummation of his aesthetic ideal: she is his glory, the beauty he all his life has been seeking. Before he meets his Gloria, Anthony (perhaps without even knowing it) is idling along on his quest for beauty. Sauntering to his bath, he sings

> To . . . you . . . beautiful lady, [. . .]
>
> I raise . . . my . . . eyes;
>
> To . . . you . . . beaut-if-ul la-a-dy
>
> My . . . heart . . . cries— (*Beautiful* 17)

Unlike Basil Hallward, Anthony does not have to create beauty; he only needs to coax it to his "reproachless apartment" (10). As Andrew Hook observes, "with his marriage to Gloria he seems to have made it" (34). Does Anthony's wedding to beauty incarnate render him content? Too much so, it seems. Shortly before the "union of his soul with

Gloria's," he reflects on how her "radiant fire and freshness was the living material of which the dead beauty of books was made" (*Beautiful* 148). Like Dorian Gray, he gives his soul for a work of art. Yet as Lord Henry reminds Dorian too late, art "annihilates the desire to act" (*Picture* 257). Anthony's lack of creative inspiration seems clearly linked to Gloria. Hook considers that "sometimes it seems to be [Anthony's] addiction to Gloria, even more than his addiction to alcohol, that is the problem" (32). I would contend that Anthony's addiction to Gloria eclipses any creative impulses he might have had and effectively puts his mind to rest, thus allowing him to succumb to a life of reckless dissipation. Though in his dialogues with Dick and Maury in the first two chapters Anthony does seem a quick thinker and stimulating conversationalist, his first meeting with Gloria portends his intellectual degeneration: "beauty had rendered him thoughtless," the narrator suggests (*Beautiful* 59). Before the end of her first visit, Gloria "confused him and hindered the flow of his ideas" (66). And the first chapter after "the radiant hour" of their wedding begins ominously: "Gloria had lulled Anthony's mind to sleep" (191). She becomes "his sole preoccupation," and he indulges whatever strikes her fancy (277). As James L.W. West III asserts, for Gloria the allurements of New York are not "its great museums and libraries and concert halls," but rather the "hotels, bars, cabarets, movie theaters, and retail stores" (50). Though Anthony offers once to take Gloria to a concert, she complains and leads him instead to a gaudy cabaret, shocking him with the confession "I belong here" (*Beautiful* 72). Like Jay Gatsby, Anthony finds himself at the service of a vulgar and meretricious beauty. Unlike Gatsby, though, Anthony lacks a clear "Platonic conception of himself" (*Great* 104); he only vaguely considers "that he would one day accomplish some quiet subtle thing" (*Beautiful* 3). He lacks the creative inspiration of John M. Chestnut and

only lures Gloria with the hope of a fortune as great as that of Rags Martin-Jones. His "quiet subtle accomplishment" is his marriage to Beauty itself.

The Tragedy of Narcissus

> Man must not be able to see his own face, for that is the most terrible thing. Nature has presented him with the gift of not being able to look at it, just as he cannot look into his own eyes.
>
> It was only in the waters of rivers and lakes that he was able to behold his face. And the very position he had to take was symbolic. He had to lean over and bend down in order to perform the ignominious act of seeing himself.
>
> The inventor of the mirror imprisoned the human soul
>
> —Fernando Pessoa, *The Book of Disquiet*

In Plato's *Symposium*, Diotima teaches Socrates that

> Those who are pregnant in the body only, betake themselves to women and beget children [. . .] ; their offspring, as they hope, will preserve their memory and give them the blessedness and immortality which they desire in the future. But souls which are pregnant—for there certainly are men who are more creative in their souls than in their bodies—conceive that which is proper for the soul to conceive or contain. And what are these conceptions?—wisdom and virtue in general. And such creators are poets and all artists who are deserving of the name inventor (47).

Nevertheless, the hedonistic, narcissistic tendencies of Anthony, Gloria and Dorian destroy their capacity to attain any kind of blessedness or immortality. Unlike Basil Hallward, Anthony cannot bear the pain of creation. Though he often entertains the idea of publishing a "history of the Middle Ages," Anthony never writes a word on the subject (15). And even though he does finish six short stories, they are "wretched and pitiable": "Not one of them

contained a spark of vitality [. . .] During their circulation they collected all told, thirty-one rejection slips, headstones for the packages that he would find lying like dead bodies at his door" (302-03). Anthony does not create; he recreates. Perhaps Wilde might describe him as having "set himself to the serious study of that great aristocratic art of doing absolutely nothing" (*Picture* 55). Perosa contends that Anthony's "real desire is to perpetuate his pleasant life; he is content to contemplate his own image (there is a touch of Narcissus in him, too) in the golden mirrors and polished surfaces of his house" (38). The sybarite's goal: "to use every minute of these years, when I'm young, in having the best time I possibly can" (304). Not only does he lack an artist's creative inspiration, he considers that "to go to work" is to "submit to mediocrity" (449). He regards true beauty as an outward appearance only and has no interest in engendering art, virtue or children; Anthony thus holds no deeper understanding of Plato's "goddess of parturition" (45).

Like Anthony, Oscar Wilde's dandy similarly abstains from work. And whereas Basil Hallward prays for repentance for having worshipped his friend too much, Dorian Gray utters no such orison: "There were moments when he looked on evil simply as a mode through which he could realize his conception of the beautiful" (179). Dorian's narcissism never causes him to feel contrite; unlike Plato's Diotima, he clearly does not "put the word 'good' in the place of the beautiful" (44). By contrast, he rather seems to subscribe to Lord Henry's view that "it is better to be beautiful than to be good" (231), and that "beautiful sins, like beautiful things, are the privilege of the rich" (106). Whereas Dorian's sins prevent him from attaining immortality of the spirit, his narcissism also precludes the possibility of him begetting any children: "I wish I could love [. . .] But I seem to have lost the passion, and forgotten the desire. I am too much concentrated on myself" (242).

Like Dorian, Gloria lacks the desire to bear children, preferring on the contrary to maintain her own youth: "There was nothing, she had said, that she wanted, except to be young and beautiful for a long time, to be gay and happy, and to have money and love. She wanted what most women want, but she wanted it much more fiercely and passionately" (276). As Wilde purports, a "*grande passion* is the privilege of people who have nothing to do. That is the one use of the idle classes of a country" (74). Nor does Gloria strive to engender virtue:

> all her energy and vitality went into an affirmation of the negative principle "Never give a damn."
>
> "Not for anything or anybody," she said, "except myself and, by implication, for Anthony. That's the rule of all life and if it I weren't I'd be that way anyhow. Nobody'd do anything for me if it didn't gratify them to, and I'd do as little for them" (203).

Gloria's proclamation prefigures Maury Noble's speech in the chapter entitled "Symposium," in which Maury also stresses "the tremendous importance of myself to me, and the necessity of acknowledging that importance to myself" (257). In a way, Maury's philosophy provides a sort of a justification for Gloria's own narcissism. Significantly, the view of beauty Maury expresses in "Symposium" corresponds to that of Gloria and Anthony: "I learned a little of beauty—enough to know that it had nothing to do with truth" (253). Is Fitzgerald implying that Anthony and Gloria do not apprehend the Platonic truth of creation in their contemplation of the ideal beauty? Indeed, the love Anthony and Gloria share seems a bit hollow, for it engenders neither children nor virtue. Although they continually speculate upon "future happiness," such times "were to begin 'when we get our money'" (277). And even after Gloria recognizes the failure of their love ("That she had

not been happy with Anthony for over a year mattered little" [359]), as Perosa suggests, she "falls back on the obstinate dream of her beauty" (40).

But even beauty must fade, and the beholder is left longing to reclaim the transitory enchanted moments. In his conclusion to *The Renaissance*, Walter Pater wrote that "art comes to you proposing frankly to give nothing but the highest quality to your moments as they pass, and simply for those moments' sake" (153). Conscious of the ephemeral nature of the beauty they behold, Anthony, Gloria and Dorian all long to preserve its fleeting radiance, and relish that radiance as they "seek the moment's happiness as fervently and persistently as possible" (*Beautiful* 226). "I'm not a realist," Anthony tells Gloria once during their courtship. "No, only the romanticist preserves the things worth preserving" (73). Once, the transience of Gloria's beauty stirs even an odd artistic impulse in Anthony: at the cabaret, he "wanted fiercely to paint her, to set her down *now*, as she was, as with each relentless second she could never be again" (73). Whether he knows it or not, Anthony feels a romantic desire to cherish "all beauty and all illusion" that pours forth from the radiant "sun" that is his Gloria (73). "On this short day of frost and sun," Pater proposed, "with this sense of the splendor of our experience and of its awful brevity" we gather "all we are into one desperate effort to see and touch," hardly having "time to make theories about the things we see and touch" (152). Fitzgerald may have been well aware of Pater's aesthetic theories, for he describes Anthony and Gloria's first kiss as "a flower held against the face, never to be described, scarcely to be remembered; as though [Gloria's] beauty were giving off emanations of itself which settled transiently and already dissolving upon [Anthony's] heart" (*Beautiful* 102).

Painfully aware of the nature of Anthony's attraction to her, Gloria reminds him of the transience of her beauty and shows a willingness to go to great lengths to preserve it.

"'I value my body because you think it's beautiful,'" she tells him (203).[1] "And this body of mine—of yours—to have it grow ugly and shapeless? It's simply intolerable" (203). In this way Anthony's work of art reminds the artist of the aesthetics of his conception. And yet, Anthony's appreciation for the beauty of Gloria's form is such that it precludes the possibility of any human conception without the form itself being lost! Gloria is willing to forgo having children in order to preserve her beauty for Anthony's eyes. "How long will you like me?" Dorian asks the artist. "Till I have my first wrinkle, I suppose" (*Picture* 50). His words could well have been Gloria's. As Matthew J. Bruccoli notes, in the manuscript of *The Beautiful and Damned* Anthony even "urges Gloria to have an abortion during what proves to be a false pregnancy" (157). "There's no beauty without poignancy and there's no poignancy without the feeling that it's going, men, names, books, houses—bound for dust—mortal—" Gloria tells Anthony near the end of their honeymoon (*Beautiful* 167). Yet by her twenty-eighth year, Gloria comes to regard children as a "menace to her beauty" (392), and "dreams of ghostly children only—the early, the perfect symbols of her early and perfect love for Anthony" (393). Catherine Burroughs suggests that as Gloria "edges closer to the moment when she will become too old to be associated with romance plots [. . .], the narrative champions [her] as someone deserving of compassion" (53).

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[1] In "The Composition and Revision of Fitzgerald's *The Beautiful and Damned*," Amy J. Elias indicates that the holograph manuscript of the novel contains an even more passionate proclamation of Gloria's love for Anthony, which appears in Gloria's diary entry of April 21, 1914: "I know I love him forever and I value my face only because he thinks me beautiful—" (qtd in Elias 252).

Art : A Means to Immortality?

Though Gloria may indeed deserve the reader's compassion, she clearly is not edging closer to anything, nor does she lose her beauty gradually. Her character is steeped in myth. Given her mysterious introduction in the playlet "A Flash-Back in Paradise" as a character that is "*born anew every hundred years*" (*Beautiful* 27)[2], one may wonder whether in fact Gloria, like Dorian, possesses supernatural powers. On her twenty-seventh birthday she looks in the glass with "calm self-approval seeing the British freshness of her complexion and her figure boyish and slim as of old" (371). Some time before her twenty-ninth birthday, Gloria's mirror gives her "much the same account as ever" (397), and Joseph Bloeckman tells her that "she had not changed a bit" in the three years since he had last seen her (398). It is only when Gloria attempts to preserve her beauty through earthly means that her beauty fades, and fades fast. Supposing that she too will one day be susceptible to the ravages of time, Gloria decides to enter the movies. "It cheered her that in some manner the illusion of beauty could be sustained or preserved perhaps in celluloid after the reality had vanished" (393). Yet just as the moving-picture industry gobbles up her father (40), Gloria's one test at acting consumes her. Returning to her mirror, she carefully

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[2] Indeed, Gloria seems to have birthdays in each month of the year: "But Gloria—she would be twenty-four in August" (192); "Gloria would be twenty-six in May" (276); "She would be twenty-nine in February" (393). Whether her mysterious birth dates were intended, or an oversight of Fitzgerald's is open to debate; Bruccoli noted in his biography of the author that Zelda had pointed out these inconsistencies in a review of the novel she had written for the *New York Tribune* (165).

inspects her reflection—in much the same way that Dorian Gray scrutinizes his own portrait—only to find "tiny wrinkles" (404).

Does Gloria barter her magical beauty—like Dorian does his soul—out of a desire for worldly fame, knowing as Dorian did, that beauty "has its divine right of sovereignty" and "makes princes of those who have it"? (*Picture* 45) Is Gloria's wish for immortality—to preserve her beauty in celluloid—akin to Dorian's wish for a face like a work of art—flushed eternally with youth? In *The Picture of Dorian Gray*, Wilde writes, "one had ancestors in literature, as well as in one's own race" (176). Indeed, Gloria's maiden name, Gilbert, figures significantly into Wilde's art as the namesake of the chief dialogist in *The Critic as Artist*, who posits the theory that society "never forgives the dreamer" for "the beautiful sterile emotions that art excites in us are hateful in its eyes" (*Works* 978). Are Gloria and Dorian then damned because, like Narcissus, they see art in their own image? In the "Nietzschean Incident," Gloria rejects the thought of childbearing, citing the effect it would have on what she considers her most admirable quality—her beauty. Friedrich Nietzsche proposed that the "greatest of all is the one who can be [. . .] the person beyond good and evil, the master of his virtues" (107). By refusing to bear children, Gloria is able to gain greater control over her own virtue. Dorian's self-love produces a similarly "sterile emotion," which leads him to wish for perpetual youth, and forgo parenthood. Yet none of the characters do gain complete mastery over their virtues, and each in his own way (Anthony and Basil included) seems damned for his preoccupation with beauty. While in Wilde's novel the picture's lost beauty leads to the death of both the artist and spectator, Gloria's faded beauty leads to a kind of mutual resentment between Anthony, the artist/spectator, and his work of art—curiously, Anthony seems to attribute the blame for

the tragedy to Bloeckman, and his animosity for the celluloid artist is not unlike Dorian's hatred of the painter.

The Specter of Old Age

In both *The Picture of Dorian Gray* and *The Beautiful and Damned*, the importance of retaining one's youth is magnified by the dreadful prospects of growing old. Moreover, through a burlesque portrayal of the older generation, Fitzgerald and Wilde seem even to arouse sympathy for their immoral, hedonistic protagonists. In both works, the morality and physical repulsiveness of the elders is satirized to such an extent that their children's wishes to live only for pleasure and never grow old are understandable. In *The Beautiful and Damned*, Mrs. Gilbert, with her "conventional American lady-lady language," "rickety sentences," and "just the faintest white mustache" is indeed nothing short of laughable (38-9). Anthony perceives that she is "composed [. . .] of a succession of semicircles and parabolas [. . .] head, arms, bust, hips, thighs, and ankles were in a bewildering tier of roundness" (39). Can we fault Gloria for striving to preserve the beauty of her youth? After Mrs. Gilbert posits the notion that "We all have souls of different ages," she commences to criticize her daughter: "Gloria has a very young soul—irresponsible, as much as anything else. She has no sense of responsibility [. . .] all I know is that she goes and goes and

goes—" (39) In this way, whatever advice Mrs. Gilbert might have to proffer in her wise old age is made ridiculous by her manner of speech and "Bilphist" views.[3]

Mr. Gilbert, as Podis notes, "is bland and ineffectual in his own right" (144). Though he, too, disapproves of Gloria's behavior, his ideas nevertheless "were popular delusions of twenty years before; his mind steered a wabbly and anaemic course in the wake of the daily newspaper editorials" (40). In addition to his negligible "value as a social creature," he is also endowed with a number of grotesque physical traits: his short mustache rested "like a small white cloud beneath his undistinguished nose," and his hand was "worn away to the pulpy semblance of a squeezed grapefruit" (40-1). With such figures for role models, it seems little wonder that Gloria should disobey her parents and look elsewhere for inspiration.

Perhaps the most grotesque of all the characters in *The Beautiful and Damned* is Anthony's grandfather, Adam J. ("Cross") Patch, who, after serving in a cavalry regiment in the Civil War, charges into a career on Wall Street, where he gathers himself "some seventy-five million dollars," and then determines to consecrate his old age "to the moral regeneration of the world": "he directed against the enormous hypothetical enemy, unrighteousness, a campaign which went on through fifteen years, during which he displayed himself as a rabid monomaniac, an unqualified nuisance, and an intolerable bore" (4). When Geraldine asks Anthony for a description of his grandfather, Anthony responds only that "he's all shrunken up and he's got the remains of some gray hair that always looks as though the wind were in it. [. . .] He's a pious ass—a chickenbrain" (87). As Podis

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[3] Fitzgerald later explained that Bilphism, a coinage of his own, was a "euphemism for Theosophy—I wanted to take a crack at theosophy without hurting the feelings of a relative

suggests, Adam Patch's "laughable sententiousness and over-zealous chauvinism tend to encourage Anthony's *carpe diem* life style, not temper it" (144). Moreover, Adam Patch's outward ugliness presents a direct contrast to Gloria's beauty. Whereas old age has "sucked in [the grandfather's] cheeks, tweeked out his hairs," and "changed him from gray to white in some places, from pink to yellow in others" (14), Gloria nevertheless has a "pretty complexion" (59), and a "glow" in "her hair and cheeks" (58). In this way, the moral characters in the novel are rendered not only as unintelligent but also as being physically repulsive.

In *The Picture of Dorian Gray*, Dorian similarly displays an aversion to the image of his grandfather, "the emblem of puritan society" (Kofman 47), and dreads the "hideousness of age" that awaits the figure on the canvas:

> The cheeks would become hollow or flaccid. Yellow crow's feet would creep round the fading eyes and make them horrible. The hair would lose its brightness, the mouth would gape or droop, would be foolish or gross, as the mouths of old men are. There would be the wrinkled throat, the cold, blue-veined hands, the twisted body, that he remembered in the grandfather who had been so stern to him in his boyhood" (153).

Sarah Kofman asks whether Dorian's "horror of aging" is "not due to his refusal to become like this hated grandfather, a real counterexample, someday" (44) and proposes that "the excessive [. . .] puritanism that society imposes can only lead anyone who refuses to submit to it to [. . .] regress to the narcissistic stage of magic and animism" (47). Does Kofman's interpretation thus provide a possible explanation for Gloria's ultimate conversion to

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of mine" (qtd. in Tate 20).

Bilphism? While the tenets of Gloria's theosophy are somewhat nebulous, we might however quite reasonably conclude that the vision of beauty Dorian, Gloria, and Anthony share represents a significant departure from the views of their elders, who serve as largely ineffectual role models for the younger generation.

A Faustian Wish?

"'What does it profit a man if he gain the whole world and lose'—how does the quotation run—'his own soul,'" Lord Henry entreats Dorian, citing the age-old question (*Picture* 253). For perpetual youth, Dorian cries, "there is nothing in the whole world I would not give! I would give my soul for that!" (49) Shortly before her acting debut, Gloria, in bed with fever, voices a similar Faustian wish:

> "Millions of people," she said, "swarming like rats, chattering like apes, smelling like all hell . . . monkeys! Or lice, I suppose. For one really exquisite palace . . . on Long Island, say—or even in Greenwich . . . for one palace full of pictures from the Old World and exquisite things—with avenues of trees and green lawns and a view of the blue sea, and lovely people about in slick dresses . . . I'd sacrifice a hundred thousand of them, a million of them. […] I care nothing for them—understand me?" (394)

Though Gloria may be sick with "double pneumonia," her desire for material beauty is clear. Like Gatsby, she seems to believe money can suspend time. Would an exquisite palace buy her time to linger in the golden moment? Would it delay the coming of old age—and the arrival of "tiny wrinkles"? As Stern argues, "less money [for the Patches]

means an increased hysteria in the face of palpably increasing speed with which the golden glow fades. […] In order to cling to identity, beauty's personality needs more money" (148). What Anthony realizes too late is that by wedding "the spirit of beauty," he also weds "a mortal incarnation of it," which needs "things" to sustain itself (145). Yet, as Ronald J. Gervais points out, Anthony "seeks refuge from 'all the business of life'" (75; *Beautiful* 150). For Anthony, Stern suggests, "to work for money is to enter the world of next things, and that entrance blunts both the beauty and the sensitivity to beauty" (148). In this way, the artist's avoidance of the "business of life" leaves his glorious Beauty "bent by her environment into a grotesque similitude of a housewife" (424). Essentially, the Patches need money to "idly glide," as Richard Astro suggests (402). An idle glide may be just the pace that the perfect pose demands . . . a leisurely pace that affords the artist time to hang a picture of his love just facing the bathtub so that, "lost in the soothing steamings of the hot water, he might lie and look up at her and muse warmly and sensuously on her beauty" (*Beautiful* 11-12). For, as Oscar Wilde affirms, "the condition of perfection is idleness: the aim of perfection is youth" (*Works* 1114).

Beauty Reconstructed

Having addressed the influence of Oscar Wilde on Fitzgerald's conception of youth and beauty in *The Beautiful and Damned*, I will now endeavor to illuminate the Wildean strains in Fitzgerald's later novels and the nuances in his aesthetic as his focus shifted every so slightly toward the past.

Unlike Anthony Patch, Jay Gatsby is not damned but turns "out all right at the end" (6); in his contemplation of beauty, Gatsby seems to come closer than Anthony to apprehending the truth of creation. Though Gatsby is just as addicted to Daisy Buchanan as Anthony is to Gloria—or perhaps even more so, as he remains absolutely faithful to his love—his view of beauty transcends its mere outward forms, for Gatsby, as Plato might suggest, is actually pregnant in the soul: "The truth was that Jay Gatsby, of West Egg, Long Island, sprang from his Platonic conception of himself" (104). Unlike Anthony, Gatsby does have "true creative inspiration"—though he does not beget any children, he has an artistic vision, and "throws himself into it with a creative passion, adding to it all the time, decking it out with every bright feather that drifted his way" (101). His tragedy stems from the way his dream of a "universe of ineffable gaudiness" (105) is steeped in the waters of the material world and tainted by the "foul dust" of capitalism's "valley of ashes" (6, 27). Though he is rumored to be a "bootlegger," Gatsby, unlike Anthony—and for that matter, nearly every other Fitzgeraldlian hero—is not ruined by alcoholism, as he does not drink; we may even argue that he engenders virtue, in light of his "romantic readiness" and "extraordinary gift for hope" (6).

In his conception of a beautiful heroine for *The Great Gatsby*, Fitzgerald appears to have taken pains not to create another Gloria; indeed, it would have been difficult for him render a character more beautiful—in the visual sense—than Gloria, who is literally beauty personified. Instead, he fashions a character whose primary appeal is auditory: Daisy Buchanan's "low, thrilling voice" has an "excitement" in it "that men who had cared for her found difficult to forget: a singing compulsion, a whispered 'Listen,' a promise that she had done gay, exciting things just a while since and that there were gay, exciting things hovering in the next hour" (14). Daisy's voice seems to encompass all that is attractive

about her; even the image of her "beautiful house" in Louisville, with its "gay and radiant activities" (155) is hinted at by the "gay, exciting things" in her voice. Like Dorian Gray, Gatsby is seduced by what he hears. Sibyl Vane's voice, like Daisy's, has a musicality to it that fills those who listen with rapturous delight.[4] "You know how a voice can stir one," Dorian tells Lord Henry (76). Just as what Anthony sees in Gloria is a reflection of his own values, what Gatsby hears in Daisy's voice reflects his preferences. "Her voice is full of money," Gatsby tells Nick (127). Two days after Gatsby "takes" her, Daisy catches a cold, which makes

> her voice huskier and more charming than ever and Gatsby was overwhelmingly aware of the youth and mystery that wealth imprisons and preserves, of the freshness of many clothes and of Daisy, gleaming like silver, safe and proud above the hot struggles of the poor (157).

As in *The Beautiful and Damned*, there is a suggestion here that wealth can preserve youth and beauty, and an echo of Lord Henry's idea that beautiful things "are the privilege of the rich" (106). Does Daisy, as Gatsby's work of art, excite what Wilde refers to as "beautiful sterile emotions" in Gatsby? Can those who seek to retain their youth through monetary means also bear young? Fitzgerald seems to have a musical answer for this question: "*One thing's sure and nothing's surer/ The rich get richer and the poor get—children*" (101).

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[4] In Chapter Four, Dorian describes Sibyl Vane's voice to Lord Henry: "And her voice—I never heard such a voice. It was very low at first, with deep mellow notes, that seemed to fall singly upon one's ear. Then it became louder, and sounded like a flute or distant hautbois. In the garden scene it had all the tremulous ecstasy that one hears just before dawn when nightingales are singing. There were moments, later on, when it had the wild passion of violins" (75-6).

As in *The Beautiful and Damned*, love and beauty are inextricably linked to youth in *The Great Gatsby*, and Fitzgerald again reminds us of the transience of life's best moments. Nick imagines that Gatsby, upon returning to Louisville, must have wanted to "snatch a wisp of air, to save a fragment of the spot [Daisy] had made lovely for him" (160), but also considers that Gatsby must have known "he had lost that part of it, the freshest and the best, forever" (161). In *The Beautiful and Damned*, Gloria similarly recognizes that "freshness [. . .] after all is the most precious part of love" (182). In *The Great Gatsby*, however, Fitzgerald more subtly suggests the ephemeral nature of human experience through his use of roses as a physical motif. Insofar as they are connected with Gatsby, roses and allusions to roses—such as the name Rosy Rosenthal, for instance—suggest the volatility of Gatsby's beautiful dream. Several times they are presented in startling juxtapositions: "One time he killed a man who found out that he was nephew to von Hindenburg and second cousin to the devil. Reach me a rose, honey, and pour me a last drop into that there crystal glass" (65). In *The Picture of Dorian Gray*, Wilde similarly uses flowers as a motif—describing roses in fact on the very first line—and often draws the reader's attention to them (I say "often" because over half the novel actually consists of dialogue). Kofman considers that the flowers in *Dorian Gray* are

> the symbol of the evanescence of human beauty and its imposture [. . .] An imposture of beauty because, by its very splendor, it appears to protect us from any fall, any flaw, failure, defilement, degradation, corruption—from the ruin, the defeat with which, in reality beauty itself is fatally threatened (33).

In *The Great Gatsby*, too, roses can be construed as an imposture of beauty, in the sense that they seem to connote the illusory perfection and incorruptibility of Gatsby's dream;

only too late does Gatsby realize he has paid a "high price for living too long with a single dream" and "what a grotesque thing a rose is" (169).[5] Like Dorian Gray, he would like to stop the clock and thereby evade the devastating effects of time.

One particular success of *The Great Gatsby* lies in Fitzgerald's ability to carefully delineate both the positive and negative aspects of Gatsby's dream. Whereas Fitzgerald appears to have had difficulty detaching himself from his characters in *The Beautiful and Damned*, in *Gatsby* he achieves this aesthetic distance through the use of Nick Carraway as a partially involved character. Perosa suggests that Fitzgerald had attempted in *The Beautiful and Damned* "to expose and denounce two characters who appealed to him, or to justify their beauty in spite of their damnation" (46), and that he at times "seemed to falter between a desire to show the 'heroic' side of Anthony and a willingness to criticize his pointless endeavors" (42). In several places the third person narration in the novel even becomes obtrusive, with the author passing a moral judgment on his characters. In *Gatsby*, however, Fitzgerald was able to maintain a higher level of objectivity by framing the story through the eyes of a minor character who is ambivalent about what he sees:

> high over the city our line of yellow windows must have contributed their share of human secrecy to the casual watcher in the darkening streets, and I was him too, looking up and wondering. I was within and without, simultaneously enchanted and repelled by the inexhaustible variety of life (40).

If, as Fitzgerald proposed in his essay "The Crack-Up" in 1936, "the test of a first-rate intelligence is the ability to hold two opposed ideas in the mind at the same time, and still retain the ability to function" (69), then Nick Carraway is a brilliant success as a narrator,

[5] i.e. Nick Carraway imagines Gatsby to have this realization.

for he is able to depict Gatsby's gorgeousness and yet simultaneously reveal why he "disapproved of him from beginning to end" (162).

In *Tender is the Night*, the influence of Oscar Wilde is less conspicuous, though Fitzgerald nonetheless seems to place a preeminent value on youth. At the chronological start of the novel (in Book II), "Doctor Richard Diver [. . .] was twenty-six years old, a fine age for a man, indeed the very acme of bachelorhood" (129). The suggestion that twenty-six is a "fine" age implies that there are other ages which are not so fine. Could one cause of Dick's tragedy be the loss of his youth? Though there are other, more salient reasons for Dick's intellectual and moral deterioration—such as alcohol and an addiction to beauty (two vices that he shares with Anthony Patch), and his marriage to a mental patient (!)—Fitzgerald, like Dorian Gray, may nonetheless have been influenced by Lord Henry's words as he conceived of Diver's tragedy:

> You have only a few years in which to live really, perfectly, and fully [. . .] We degenerate into hideous puppets, haunted by the memory of passions of which we were too much afraid, and the exquisite temptations we had not the courage to yield to. Youth! Youth! There is absolutely nothing in the world but youth! (45-6)

Though Dick does degenerate into a kind of "hideous puppet," at least he has the "courage" to yield to temptation! Indeed, Fitzgerald's hero seems to have an inordinate preference for younger women: he takes pleasure in Nicole Warren's "youthful vanities and delights" (153), and recalls "he had never seen anything so dazzling as the quality of [Rosemary Hoyt's] skin" (118). Even her breathing he finds "young and eager and exciting" (230). "Sometimes beauty gives back the images of one's best thoughts," he thinks (118). When the passion of his adulterous affair begins to ebb, Dick lays the blame on his advanced age:

"Eighteen might look at thirty-four through a rising mist of adolescence; but twenty-two would see thirty-eight with discerning clarity" (227). In his last affair, Dick becomes "entangled with a girl who worked in a grocery store" (338). Diver's tragedy thus resembles that of Gloria and Dorian Gray, in the sense that it at least partially stems from his associating beauty with youth.

In *The Love of the Last Tycoon*, Fitzgerald constructs a hero whose work ethic is antithetical to that of Anthony Patch, though at first glance his vision of the ideal beauty *seems* quite similar. If Monroe Stahr does apprehend the Platonic truth of creation, he nevertheless initially *seems* to value beauty as Dorian Gray does—only in its outward form. "I don't want to lose you now [. . .] You're the most attractive woman I've met since I don't know when," he tells Kathleen Moore. "I can't stop looking at you" (94). "Stop it, stop it!" she responds. "You'll have me looking in the mirror for weeks" (94). In this way, Stahr appreciates Kathleen as Anthony does Gloria; he places a primary value on Kathleen's physical attributes. Her face, like Gloria's, has a special "radiance" (64). Moreover, like Anthony, Stahr is not discouraged by his beauty's peculiar tastes. Whereas Gloria enjoys the "gaudy vulgarity" of the cabaret (73), Kathleen likes "to eat in American drug stores" (85). Like Dick Diver, Stahr finds himself attracted to a woman considerably younger than himself: "he felt that madness about it akin to the love of an ageing man for a young girl. It was a deep and desperate need time-need, a clock ticking with his heart" (117). Nevertheless, Stahr's devotion to his work ultimately prevails over his attraction to Kathleen; in his working notes for the novel, Fitzgerald outlined his intentions:

> The break between Stahr and Thalia [Kathleen] has been of Stahr's making [. . .] Stahr's motive is roughly: "I am not going to marry this girl. My plans do not include marrying again. She hasn't the particular shine, glamor,

> poise, cultural background that would make her the fitting match for this high destiny toward which I seem to be going or this position in which I find myself" (145).

In this sense, Stahr seems close to understanding Plato's idea of "the essence of beauty"; if Fitzgerald's ultimate plan was for Stahr to devote himself to the production of his art, and continue engendering virtue through his modesty, then he should be regarded as living "in the contemplation of the beauty absolute" (48).

Had Fitzgerald's vision of beauty changed? Did he consider that Dorian Gray, and Anthony and Gloria Patch held only a superficial understanding of the Platonic essence of beauty? In a letter to his daughter, Scottie, dated 5 October 1940, Fitzgerald wrote:

> *Dorian Gray* is little more than a somewhat highly charged fairy tale which stimulates adolescents to intellectual activity at about seventeen (it did the same for you as it did for me). Sometime you will re-read it and see that it is essentially naïve (*Life* 465).[6]

Fitzgerald had thus clearly re-read the novel himself and reconsidered its place in literature—quite a dramatic change of opinion, given that in 1919 Fitzgerald had written that his first novel was "largely flavored by the great undigested butter-ball of *Dorian Gray*" (qtd. in Perosa 200). Perhaps Wilde's controversial aesthetics, piquant wit and revolutionary dismissal of the early Victorians were a source of inspiration to the Lost Generation that had "grown up to find all Gods dead, all wars fought, all faiths in man shaken" (*This Side of Paradise* 253). In 1930, Fitzgerald wrote to his wife: "I wish the

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[6] In a letter to his editor Maxwell Perkins dated 23 April 1938, Fitzgerald even mentions the "spuriousness" of *Dorian Gray* (*Life* 360).

Beautiful and Damned had been a maturely written book because it was all true—we ruined ourselves" (*Life* 189). Podis considers that "As the responsibilities of parenthood and daily life pressed ever more heavily upon him, however, and his own youth receded before him, the author's sympathies turned increasingly toward more traditional moral values" (146). In his later years, Fitzgerald evidently came to see that the condition of perfection was not idleness: "I think that idlers seem to be a special class [. . .] their only contribution to the human family is to warm a seat at the common table" (*Life* 363). Of Zelda, he wrote: "She realized too late that work was dignity and the only dignity" (363). Of his characters, perhaps Anthony Patch or Amory Blaine, in their youthful insubordination, bears the closest resemblance to the artist as a young man. In his older and less vulnerable years, however, Fitzgerald, like Stahr, did seem to behold true "beauty with the eye of the mind" (Plato 49) and succeeded, through his hard work, in giving birth to an art that would eventually grant him "some small immortality" (*Love* 139).

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Title of the submission: "Chained but not silenced: Ethnic women dealing with male violence"

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Abstract of Josephine Fong's focus of presentation: Asian women are often mistakenly stereotyped as weak and docile individuals who are incapable of being assertive or confronting others. Such a stereotype impairs both these women when they have to deal with spousal abuse inflicted by their male partners and the helping professionals when they try to assist these women to find alternatives. Drawing from the author's professional experiences working directly with Asian women of all ages, this presentation focuses on highlighting the strengths of Asian women and providing new insights for scholars and practitioners to tap into these strengths when working to end male violence against women.

Abstract of Lisa Rosenburg's focus of presentation: Within the contemporary practice of Orthodox Judaism every Jewish woman, upon marital dissolution, is potentially in an abusive situation. A huge imbalance of power is already set in motion because Jewish law states that only a husband can grant a Jewish divorce. When men decide to use this power to deny a divorce, the results are severe for their wives, many of whom have already experienced emotional and physical violence. This type of abusive relationship, when men use coercion and control to deny the fundamental right to divorce, will be explored in the presentation.

Tye-Dyed Teleology and the Inverted Spectrum

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1. Introduction

Representationalism is often seen as an attractive alternative to functionalism, among the various naturalistic theories of philosophy of mind. It claims to explain many of the traditionally puzzling features of conscious experience, including qualia. In this paper, I will examine this claim for a particular subset of representationalist theories, those that also embrace externalism about mental content. These theories are attractive for a number of reasons: they try to do justice to our conscious experience, they aim to give a completely naturalistic account of the mind, and they respect arguments of Putnam and Burge (and others) that so many find persuasive. So the question I will address is this: can externalist representationalism account for color experience? Among externalist representationalists, Michael Tye explicitly deals with the challenge that color qualia pose to representationalism, so I shall focus on his works.

In *Color, Content and Consciousness* (Tye, 2000) and in "Visual Qualia and Visual Content Revisited" (Tye, 2002), Michael Tye endeavors to show that qualia, the "what it is like to have this experience" feature of conscious experience, should be identified with a certain sort of *representational* content (content about the things that the mental state represents), and not in terms of any introspectively available *nonrepresentational* qualities. Here are a few examples, for those unfamiliar with the term. The vibrant way that bright scarlet looks to you is the quale of the visual experience of bright scarlet. Similarly, qualia attend experiences in other sense modalities. In a nutshell, the problem that qualia pose is this: it seems possible for the information about the properties of the objects that we perceive to register in consciousness via any number of phenomenal vehicles. Versions of functionalism tend

to deal with qualia by denying them, denigrating them, or ignoring them. Externalist representationalism takes qualia seriously, accepting the intuition that different phenomenal vehicles could be used to transmit the information about the objects in the world that our senses track, and claims to explain the difference between functionally identical phenomenal variations in terms of representational accuracy. I believe that representationalists deserve credit for trying to do justice to our phenomenal experience, and the critique I offer is a respectful one. I will present Tye's method of accounting for color qualia and dealing with the challenge of the inverted spectrum, then examine what I believe to be a problematic use of natural selection to ground his distinctions.

Let us start with the inverted spectrum. It seems possible that some person, call him "Tom" (Tye does, and I will follow for convenience, with apologies to any Toms in the audience), could have his color experiences inverted with respect to yours. Tom's phenomenal experience of green, for example, is caused always and only by the same objects that cause you to have red visual experiences, his experience plays the same role in his psychological economy that red experience plays in yours (it causes him to believe that ripe tomatoes are red, etc.), and his experience causes the same behavioral outputs (measured by colorblindness tests, color sorting and matching tests, and issuing verbal reports like, "That tomato is red, its probably ripe."). Representationalism tries to deal with the problem of qualia by reducing the phenomenal character of our experiences into something more tractable – representational content. Suppose that the phenomenal character of your experience of a Coke bottle (its redness) is present only in virtue of the features of your experience that *represent* the bottle as *having the color* red. Because your experience serves to represent the bottle as being colored red, it carries the

phenomenal character of looking red. The phenomenal content just is the representational content. For instance, Tye says, "…[T]he view I accept is that what it is like to have a visual experience (what is sometimes called 'the phenomenal character of the experience') is a matter of a certain sort of representational content that the experience has," (Tye 2002, p. 448).

Since Tye is a content externalist, *color* must be a feature of the external objects, not just a feature of our experiences. So, what does it means for a phenomenal experience of color to *represent* a color out in the world? Representations come with accuracy conditions, and we are entitled to ask what standards of accuracy accompany this sort of representation. We evaluate photos, maps, representationalist paintings and sculptures, and verbal descriptions by how well they match the things they are supposed to be representations *of*. Under externalist representationalism, a tomato has a real color, red, and the person with normal color vision correctly perceives the color. We need an explanation of the representation relation, such that a given quale can be *right or wrong* for the color it serves to represent. As I see it, there are three possible relations:

1. The color in the world is a quale. This is nothing short of panpsychism.
2. The quale in the mind is a color. This is to claim that our neurons turn blue when we look at blue things – obviously false.
3. There is a strict law-like or law-governed relationship between colors in the world and the mental representations of them such that some representations are more accurate than others.

Tye goes for the third option, but the explanatory burden is still on him. He must explain what that strict, law-like or law-governed relationship is. The inverted spectrum is just

one way of bringing out the need for this explanation, and it is in this context that Tye addresses the relationship between colors and phenomenal experience.

2: Representationalism and the Inverted Spectrum

Consider Tom the color-invert. He is behaviorally indistinguishable from a person with normal color vision. Since Tom is looking at the same objects, with the same properties, that we are, and since externalism requires the properties of the object to figure into the content of the representations of the object, we might think that Tom's representational content matches that of a person with normal color vision, while the phenomenal content of his visual experiences are different. However, if externalist representationalism is correct, then the phenomenal content must also be cashed out in representational terms. If the phenomenal contents are indeed different, then we can assess those representations for *accuracy*.

So how do we know who gets the colors right? Majority rule? That won't do, and Tye knows it. Considering the possibility that color inverts might outnumber the color normals, he says, "It may seem that there is no nonarbitrary way of picking out a subpopulation of normal perceivers whose color experiences do not misrepresent. Any choice of a subpopulation may seem as good as any other. Unfortunately, if that is the case, then there is no fact of the matter about who is misrepresenting," (Tye 2002, p. 452). Externalist representationalism needs that fact of the matter to obtain. The question is, how to secure it?

This is not an epistemic point: Tye does not need some way to empirically test for color spectrum inversion. He needs some way to fix, *in principle*, who is right about

color, and who is wrong. Tye turns to the evolutionary history of color vision in order to secure the claim that color inverts are mistaken in their phenomenal color perceptions. This is the crucial stage in his argument, so I will quote the passage at length:

> Suppose, for example, there is a genetic defect in certain humans that are alive today, the result of which is that wires are crossed in their visual system, thereby inducing in them color experiences opposite to those that were present (in the same conditions) in most of their ancestors. Originally only a small subpopulation of the human species had the given defect, but now it has spread so that a sizeable number of us have it. These people have an experience of red when they see green things in daylight… and so on. Their experiences are now tracking colors that are opposite on the hue circle to those tracked by their biologically normal ancestors. Since the visual systems of the members of this human subpopulation are not functioning as they were designed to do, the colors their sensory states would track, were they discharging their biological function, are not the colors they actually track. This is how misrepresentation arises. The nonconceptual visual states of these humans are not tracking the colors they were designed to track. So error enters. Likewise, for other possible subpopulations. (Tye 2002, p. 452)

This entails that the variety of color vision that evolves *first* gets to lay claim to seeing color *right*. To put it another way, Tye is claiming that *only* a color visual system with accurate color representations could possibly evolve at all. I will attempt to demonstrate that this move fails, and that this failure raises serious problems for externalist representationalism.

3. Tye's Solution to the Inverted Spectrum

If the teleological account of color perception works, then normal color vision evolved to represent the colors of the surfaces of objects to us using the particular phenomenal vehicles that *correctly* correspond to the colors of objects. Tom the invert might be able to get along in the world just fine, but in his mental life the phenomenal vehicle that evolved to represent green is evoked when he looks at red things, and vice

versa. Tom gets colors wrong. There is a difference in the representational content of Tom's experience, just as the usual intuitions about the inverted spectrum demand, even though this difference does not register in Tom's outward behavior. If the teleological approach to color perception allows Tye to draw the distinction between normal and inverted color vision, then externalist representationalism will provide a satisfying account of phenomenal experience, giving us a way of naturalizing qualia. That is no small achievement. Those are the stakes, so let us consider the biologically tenable concepts of teleology, to see if externalist representationalism can avail itself of them.

4. What is Natural Teleology?

There is a school of thought in biology and philosophy of biology that permits some forms of teleological explanation for biological features, called *etiological functionalism*. The goal is to describe the purpose of a biological feature (a structure, organ, or behavior) in terms of the adaptive benefit that the feature delivers to the organisms that have it. In this sense, a wing is for flying, lungs are for breathing, an opposable thumb is for grasping, and so on. These features are teleological because they serve some purpose, not because they were intentionally created. Following Francisco Ayala (in "Teleological Explanations", 1977, and "Teleological Explanations in Evolutionary Biology", 1998), we can draw a distinction between the purposes that drive the intelligent creation of artifacts (a jug is for carrying water) and the purposes served by the natural adaptations of living organisms. Let us call the first sort *artificial teleology*, and the second *natural teleology* (Ayala, 1977, pp. 189-191). Tye's emphasis on evolutionary history indicates that natural teleology is the relevant concept.

There are serious debates among etiological functionalists about whether teleological functions get their telos from the current benefits that accrue to organisms that have the feature in question (why the feature is maintained) or if the telos derives from past benefits to the organism's ancestors, even if the feature provides no current benefits (why the feature originated). I believe that Tye can remain neutral on this debate, standing ready to accept whatever version eventually wins out. Rather than test Tye's account against each variation, let's see if it can stand on the features that are common to all biologically informed accounts of natural teleology.

In order to ascribe a natural teleological explanation to a feature (an organ or behavior), it must have come about via natural selection, in virtue of some advantage in reproductive success conferred to the organisms that possess the feature over those that do not. Color vision certainly provides an advantage to those people who have it, so it looks like a prime candidate for teleological explanation. However, the question is not whether we can give a teleological explanation for color vision *per se*, but whether we can draw a teleological distinction *between* normal color vision and inverted color vision. By hypothesis, both normal and inverted color vision allow their bearers to draw exactly the same distinctions among the objects in the environment. Since color inversion has no consequences when it comes to relating to the environment and to one's fellow humans (be they color normals or inverts), natural selection *cannot* operate on color inversion. There simply is no difference between an invert and a color normal that has any impact on survival and reproductive success. Whether color inversion spreads through a population or not will depend on genetic drift and other factors unrelated to natural selection, but without natural selection, we cannot offer any teleological explanations.

As Ayala points out, when considering the possibility of adaptively equivalent protein variants, "The presence in a population of one amino acid sequence rather than another adaptively equivalent to the first would not then be explained teleologically," (Ayala, 1977, p. 189). What holds for adaptively equivalent proteins also holds for adaptively equivalent varieties of color vision. The ability to make visual color-discriminations is selected for, but the phenomenal character that transmits each color to consciousness is not. The attempt to give a natural teleological account of phenomenal color experience *necessarily fails*, as a direct consequence of how natural selection operates.

Once we understand that essential point, we see that Tye's choice to call color-inversion a "genetic defect" is a mistake. If inversion were to exist, it would not be a defect, but an equally successful *variation*. From the standpoint of natural selection, normal color vision and inverted color vision are *the same feature*. Both sorts of color vision serve the same biological function, and they both serve it equally well, so there is no way for natural selection to get any purchase here, and no grounds to call one or the other a defect. Externalist representationalism (if it is to account for color vision) assumes what it needs to prove, that the biological function of color vision is to convey information about the environment *using one specific arrangement of phenomenal vehicles and no other*. Inverted color vision lets Tom navigate the world and communicate with the people around him just as well as normal color vision would. So, despite Tye's assertion, inverted color vision *is* discharging its biological function for the inverts, just as normal color vision does for the color normals.

5. Conclusion

The impact on externalist representationalism is quite serious. Without natural selection to ground the claims that some people experience colors correctly and that anyone who experiences them differently is wrong, they have lost their grip on color experience entirely. Externalist representationalism would prove to be no improvement over pure functionalism when dealing with phenomenal experience.

If representationalism is to be a going concern, some other means of grounding those distinctions must be found. I haven't been able to come up with any yet, but perhaps some means can be found. There is also a cautionary lesson that reaches beyond externalist representationalism, toward anyone who seeks to provide an account of consciousness by appealing to evolution or natural selection to explain various features of the contents of our mental states. Teleofunctionalism is one example; evolutionary psychology is another.

Tye's failure turns on the mismatch between the levels of generality where natural selection can operate and where it cannot. Color vision *in general* is a feature that is selected for, but when we try to capture the phenomenal experience of color using natural selection, we are stymied. From the perspective of natural selection, any phenomenal variations that do not come with a price to be paid in the coin of reproductive success are *all the same feature*. So we cannot appeal to natural selection when giving an account of the obvious experiential differences among these various conditions.

Also notice that the requirements of natural selection are much looser than the behavioral indiscernability imposed by the inverted spectrum thought experiment. There are plenty of behavioral and physical differences that are not selected for or against. For

example, I have anomalous color vision. I am a bit colorblind in the green-and-brown range. This results in behavioral differences between me and people with normal color vision on colorblindness tests, and sometimes when it comes to picking complementary clothing ensembles. However, those differences are not large enough for natural selection to operate on. I can pick out ripe from rotten food just like you, I can spot poisonous plants just like you, I can spot dangerous animals just like you, I cross at the green, not in-between, just like you, and my occasional failure to optimally accessorize does not put me at any disadvantage when it comes to finding a mate. I am just one example; the point is that *nobody* with my version of color vision would be at *any* disadvantage when it comes to survival or reproduction, just in virtue of having my variety of color vision. That fact does not entail that we see the world the same way. In fact, I know we do not.

So if you favor evolutionary psychology or teleofunctionalism, be very careful that the features you attempt to explain are indeed those features that natural selection can operate on, and not features that are too fine-grained for natural selection to capture. I suspect that when it comes to mental content, many of the features we are interested in will fall into the too-fine-grained-for-natural-selection category, but each proposal should be carefully evaluated on a case-by-case basis.[1]

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Philosophy Conference. I would like to thank all of those audiences for their questions and comments.

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Embodied Personalities and Personalities Embodied

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Abstract: A major issue in the area of personal identity is whether we should endorse a *psychological* account of what makes one the same person. I aim to solve the controversy by showing that our conflicting intuitions regarding the psychological approach are due to an ambiguity in the phrase 'same person.' By 'same person' we might mean 'an embodiment of the *same personality*' or 'the *same embodiment* of a personality.' It is proposed here that whenever a predicate 'F' refers to an embodiment of some abstract type (e.g., book, statue, or personality), prefacing 'F' with 'the same' yields ambiguity (an embodiment of the same F vs. the same embodiment of F) precisely because word 'embodiment' is ambiguous -- between *the concrete object* that embodies and *the manner in which* it embodies.

1. Introduction

Suppose that x is a person existing at one time and y is a person existing at some other time. What would it take for x to be the *same person* as y? According to the *Psychological Account*, x and y are the same person if and only if x is psychologically related to y in the right sort of way -- i.e., the mind of x is suitably psychologically similar and/or continuous with the mind of y.[1]

What makes the debate surrounding the Psychological Account (hereafter, PA) so difficult is that there are strong arguments in favor of the theory and equally strong arguments against it. In accordance with PA, it is tempting to think that if the psychology housed in one body is transferred to another body, the person who once occupied the former body now occupies the latter. The most famous illustration of this is John Locke's example of the prince and the cobbler; if the soul of a prince, housing the prince's consciousness, were to enter the body of a cobbler, it seems that the person now occupying the cobbler body would be the prince.[2] A more contemporary example is the case of the brain transplant. Sydney Shoemaker (1984) contends that Brownson, the individual with Robinson's body and Brown's brain, is the same person as Brown.

Yet, contrary to PA, it is also plausible to think that an individual can undergo drastic psychological changes while remaining the same person. Eric Olson (2003) notes that "[w]hen someone lapses into a persistent vegetative state, his friends and relatives . . don't ordinarily suppose that their loved one no longer exists at all, and that the living

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[1] Eric Olson (1994, 1997) calls it the 'Psychological Approach.' Some of the many proponents of the ever so popular PA are: John Locke (1689), H. P. Grice (1941), Anthony Quinton (1963), David Lewis (1983), Derek Parfit (1984), John Perry (1972), and Sydney Shoemaker (1984). See Eric Olson (1994, p. 173) for a larger list.

[2] The story of the prince and the cobbler is presented in Locke's *An Essay Concerning Human Understanding*, bk. II, ch. 27, first published in 1689.

organism on the hospital bed is something numerically different from him -- even when they come to believe that there is no mental continuity between the vegetable and the person" (p. 332). And Bernard Williams' (1973) thought experiments show that we seem to have a self-interested reason to dread the torture our bodies will soon undergo, even if by that time all of our memories and intentions have been destroyed and replaced with very different ones. These intuitions clearly conflict with PA.[3]

What explains this difference in intuitions? The notion of *relative identity* offers one possible explanation. According to the doctrine of relative identity, x and y are not identical simpliciter but only relative to a sortal. For example, it might be that x and y are the same relative to the sortal 'animal' but not the same relative to the sortal 'person.' So by appealing to relative identity, we can say that whether one agrees with PA is simply a matter of whether one focuses on sameness with respect to being a person or sameness with respect to some other category, such as being an animal or being a material object. In fact, given relative identity, the conflict over PA is really no conflict at all, for with relative identity, saying that x is a *different person* from y is in no way incompatible with the claim that x is the *same animal* as y. They are merely answers to two different questions -- whether x and y are the same relative to the sortal 'person' and whether they are the same relative to the sortal 'animal.'

Those who wish to honor the logical principles traditionally associated with numerical identity (especially, the Indiscernibility of Identicals) will need another

[3] The most popular alternative to PA is some version of the *biological approach*, according to which, x is the same person as y if and only if x is a person and y is a person (a condition which I assume any theory of personal identity should require) and x bears the right biological relations to y -- perhaps by having the *same body* or partaking of the *same life*. Advocates of a biological approach include Olson (1997), Snowdon (1990), Williams (1973), and Mackie (1999).

explanation.[4] One possible explanation that does not entail relative identity is that the expression 'same person' is *ambiguous* and that whether we should accept PA depends on which sense of 'same person' we have in mind. Appeals to ambiguity are convincing, however, only if one provides some independent reason to think the phrase is ambiguous in the way proposed (some reason other than the mere desire to solve the debate at hand). In what follows, I provide that independent reason. I argue that the expression 'same person' is genuinely ambiguous, and that the ambiguity described explains the conflicting intuitions we have when we consider the various problem cases in the literature on personal identity.

2. Personalities and their Embodiments

Lynne Rudder Baker (2000) notes, "[t]o hold that to be a person simply is to be a living human organism is to stipulate a meaning of 'person' that has no connection with the historical or contemporary use of the term" (p. 121). "[T]he pretheoretical concept of a person is the concept of something with psychological states, something that can be a rational and moral agent" (p. 124), and being a living human organism does not guarantee the presence of these person-making features.

Since there are psychological prerequisites for being a person, one might be tempted to equate the concept of a person with the clearly psychological concept of a *personality*. But this will not quite do. A personality is a collection of psychological properties, and more than one individual can exemplify the very same collection of

[4] Relative identity conflicts with the classical logic of identity. Suppose that x is identical with y. Given that x is the same G as x, it follows from the indiscernibility of identicals that *y* is the same G as x. So according to the classical view of numerical identity, it cannot be the case that x is the same F as y but a different G.

properties. Since *different persons* can exemplify the very *same personality*, 'person' is not synonymous with 'personality.'

The relation between a personality and a person is analogous to the relation between a musical composition and the disc on which it is recorded or the relation between a novel and the bundle of paper, the manuscript, that expresses it. The musical composition is an abstract entity that can be encoded on different discs, and the novel is an abstract entity that may be printed on distinct bundles of paper. A personality, likewise, is an abstract entity that can be exemplified by different individual persons, the person being the concrete particular that exemplifies the personality. If this is correct, then the concept of a person is not the concept of a personality, but the concept of an *embodied personality*. (Or if we wish to allow disembodied persons, we might speak of *exemplified* or *instantiated* personalities -- personalities that might be exemplified or instantiated by disembodied substances.)

If the concept of a person is the concept of an embodied personality, then being the *same person* should consist in being the *same embodied personality*. But what does that amount to? Let's consider some analogies. Suppose I borrow and lose your favorite CD. So I buy you a new one to compensate. Is the replacement the same CD? It encodes exactly the same musical composition. The music is exactly the same. In that sense, it's the same CD. And if all that matters to the owner is having a recording of the same music, she will be satisfied knowing that the CD is the same in this sense. However, in another sense, it is not the same. It is a numerically distinct recording. The music is exactly the same, but it is not the same *embodiment* of music. So if that

particular disc has great sentimental value to its owner, then given that it is not the same in this latter sense, the duplicate recording is unlikely to satisfy.

Or suppose I spill coffee on the love letter you recently received. To prevent your disappointment, I rewrite the message and place the new and indistinguishable copy where the old one once lie. Is it the same letter? It has exactly the same content; the message is the same in its entirety. In that sense, it is the same letter. However, it is not the same embodiment of content, for it is not the numerically same piece of paper. In that sense, it is a different letter. And since love letters tend to have sentimental value, it is not surprising that you would be upset on finding out the letter is not the same in the latter sense.

In these two cases, saying that x is the *same F* as y might mean one of two things. It might mean that x and y both embody the very same type, F (where F might be a musical composition or a message). That is, *there is an embodiment x of* F_1 *and an embodiment y of* F_2*, such that* $F_1 = F_2$. Or to say that x is the same F as y might be to say that x and y are the *same embodiment* of F -- i.e., *there is an embodiment x of* F_1 *and an embodiment y of* F_2*, such that* $x = y$. Now suppose that the concept of a person is the concept of an embodied personality. Then we should expect analogous ambiguity in the claim that x is the same person as y. Saying that x is the same person as y might be interpreted as saying that x and y embody the *same personality* -- that is,

(I) there is an embodiment x of a personality P_1 and an embodiment y of a personality P_2, such that $P_1 = P_2$.

Or the claim might be that x and y are the *same embodiment* of a personality -- i.e.,

(II) there is an embodiment x of a personality P_1 and an embodiment y of a personality P_2, such that x = y.

It should be obvious how the difference between (I) and (II) relates to the debate regarding PA. Whether we accept PA depends on how we interpret the claim that x is the same person as y. Under interpretation (I), x and y are the same person only if they have the same personality. But the relation, *having the same personality as*, certainly qualifies as a *psychological* relation. So if we choose interpretation (I), we end up endorsing PA. Suppose, however, we choose (II) as the interpretation of 'x is the same person as y.' According to this interpretation, x's being the same person as y requires that x and y both have personalities. But this is (II)'s only psychological constraint; in particular, (II) does not require that x and y be similar or continuous in any special psychological way. So if we interpret 'x is the same person as y' as (II), then we are forced to reject PA.[5]

The proposal, then, is that 'x is the same person as y' is ambiguous between (I) and (II) above and that our conflicting intuitions regarding PA is the result of vacillating between these two disambiguations. Let us test this proposal with some examples.

3. Different Bodies-Same Person & Same Body-Different Persons

The most popular thought-experiment in the literature on personal identity is Locke's story of the prince and the cobbler. Suppose the soul of a prince enters and informs the body of a cobbler. Locke's intuition in this case is that because of the

[5] In that case, we might endorse a biological account of the sort mentioned in note 4. But a biological account does not automatically follow. We can reject PA without believing that being a person (or the same person) requires partaking of a *life* in any biological sense. For example, one might think that x's being *same material object* as y (along with x and y both being persons) is enough to make x the same person as y.

psychological continuity (especially, the first-person awareness of the prince's previous thoughts and actions), the person with the cobbler's body is now the same person as the prince.

This is exactly the verdict interpretation (I) gives. According to (I), sameness of person consists in sameness of personality, which does not require being the same embodiment. The result is that the *same person* (the prince) is now housed in a different body. This verdict is analogous to the idea that rewriting a message onto a different piece of paper yields the same letter or that recording a musical composition onto a different disc produces the same CD. With interpretation (II), on the other hand, the example of the prince and cobbler is *not* a case in which different bodies house the same person. The person that now has the cobbler's body is still the cobbler, not the prince, simply because the embodiment is the same. This is analogous to thinking that when I rewrite the letter with a very different message, it is still be the same letter, or that when I scratch your CD beyond recognition, it is still the same CD, though now useless.

One might object that there is a genuine ambiguity in the phrase 'same CD/letter,' precisely because even with drastic changes, there is a strong temptation in certain contexts to say that x is the same CD/letter as y (as well as a strong temptation in other contexts to say that they are not the same). But, the objection goes, there is no reason to think that 'same person' is likewise ambiguous, for with drastic psychological discontinuity, there is never a strong temptation to say that x and y are the same person.

On the contrary, compelling reasons have been offered for thinking that a similar or continuous personality is not necessary for being the same person. Recall Olson's claim that "[w]hen someone lapses into a persistent vegetative state, his friends and

relatives . . don't ordinarily suppose that their loved one no longer exists at all, . . . even when they come to believe that there is no mental continuity between the vegetable and the person" (2003, p. 332). Also recall Williams' (1973) point that we have a special self-interested reason to dread the torture our bodies will soon undergo, even if by that time all of our memories and intentions will have been destroyed and replaced with very different ones. These examples suggest that in certain contexts, saying x and y are the same person entails only that x and y are the same embodiment, not necessarily an embodiment of the same or even remotely similar personality. So there is reason to consider (II) a genuine disambiguation of 'same person.'

It was noted that on interpretation (I), the example of the prince and the cobbler is a case in which the same person occupies different bodies. According to (I), it is also a case in which the *same body* houses *different persons*. The cobbler-body that now houses the prince's soul is arguably the *same body* as the cobbler-body that formerly had the cobbler's soul.[6] It's the same body, though according to (I), a different person. Saying that different persons might occupy the same body is analogous to saying that by erasing what's on the paper and writing a message with very different content, we end up with a different letter.

In the prince and cobbler example, the same body houses different persons *at different times*. It might also be that the same body houses different persons *at the same time*. Consider cases of *Dissociative Identity Disorder* (Multiple Personality Disorder), which are characterized by drastic discontinuities of recurrent personalities. In each case, there are at least two recurring personalities, A and B, such that A has no first-person

[6] Since many of the constituents are likely to have been replaced, the body is the same not in the sense of having numerically identical constituents but in that there is the right sort of spatio-temporal continuity between the bodily stage present now and that present before.

awareness or memory of the thoughts/actions of B. A might be aware of the thoughts/actions of B in the third-person (by inference from environmental cues such as an empty checking account, waking up in unfamiliar dress or in unfamiliar surroundings, or the testimony of a friend or therapist), but A will not be aware of them or remember them as thoughts/actions *of her own*. The dissociation in such cases can obviously occur *diachronically* -- for example, when the host personality at one time is unaware of the presence of an alter at some other time. There might also be evidence of the *simultaneous* presence of multiple personalities. For instance, A might have first-person awareness of the thoughts/actions of B, but when B appears on the scene, she denies any first-person awareness of the thoughts/actions of A. The asymmetry in awareness suggests that *at the very time* A claimed to be aware of B, there really was a distinct alter (i.e., B) on the scene.[7]

What makes Dissociative Identity Disorder problematic for theories of personal identity is that the inclination to say there are different persons present competes with the temptation to say there is only one person -- a temptation presumably based on the common-sense belief that only one person goes with each body. There are different personalities present, but this does not change the fact that there is *one embodiment*, one body that simultaneously embodies different personalities. So focusing on (II) explains the tendency to say that in cases of dissociation, there is only one person present, one person with different personalities. This is further evidence for regarding (II) as a genuine disambiguation of 'same person.'

[7] I says 'suggests,' for it certainly does not *prove* that two personalities were present simultaneously. The fact that B claims to have had no first-person awareness of A may, for example, be due solely to the fact that B forgot the first-person awareness.

So the difference between (I) and (II) seems a plausible explanation of our conflicting intuitions regarding PA. But to be convinced that this plausible explanation is the *correct* explanation, we need to find a good linguistic reason for why there should be the sort of ambiguity proposed here.

4. What Embodies and How

It was proposed that the expression 'the same person' is ambiguous -- between (I) an embodiment of the same personality and (II) the same embodiment of personality. This ambiguity is not peculiar to talk of personhood. Recall the CD and love letter examples. For another example, we might imagine that x and y are qualitatively identical but numerically distinct *statues*. There may be contexts in which it is perfectly felicitous to say that x and y are the *same statue*. One might say of the statue of Neptune in Jill's basement, "that's the very same statue as the one in the town square," especially if the two are perfect duplicates. However, in many contexts, it is natural to consider distinct embodiments of a statuesque form as different statues, no matter how qualitatively identical they may be. When the issue of authenticity is at stake, for instance, no duplicate would be considered the same statue as the original.

Talk of being the *same book* is ambiguous in the same way. It is not unnatural for one to say, "We read the same book in our sociology class last semester," even though it's a numerically distinct batch of paper and ink. On the other hand, if I broke into the bookstore and exchanged my worn and tattered books for brand new copies, I could hardly claim in my defense that those are the same books that were there before. Here, too, there is ambiguity of the sort that comes with talk of the same person; in each case,

there is a difference between (i) an embodiment of the same F and (ii) the same embodiment of F.

The cases just described are cases in which there is sameness in sense (i) but not in sense (ii). There might also be sameness in sense (ii) but not in sense (i). Suppose you give me a statue of David, and I reshape it just enough so that it now represents Homer Simpson.[8] Is it the same statue? Although it does not bear the same statuesque form, it might be considered the same in a sense. For it is not inappropriate to say, "Look what I've done to the statue you gave me" or "The statue you gave me now represents something different," both of which imply that the same statue is present, that the statue survived the change in form. Or suppose I take the book you let me borrow, cross out numerous lines, and write in new ones. It would be perfectly felicitous for you to ask, 'What have you done with the book I gave you?!," and for me to say, 'I turned that book -- the very book you gave me -- into a book of poetry,' both of which imply that it is the same book, now with different content. These cases are analogous to those (of the sort described by Williams and Olson) in which one might be inclined to say that the same person is present despite great psychological differences.[9]

So the ambiguity proposed here is not peculiar to talk of being the same person -- which leads us to wonder, Why does this ambiguity arise? What explains its occurrence in the cases above? Allow me to speculate. I suggest that when we speak of an *embodiment* of some abstract type F, the expression 'the same F' is ambiguous precisely

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[8] 'Just enough' is meant to ensure that it remains the same lump of clay

[9] In terms of the distinction between *numerical* and *qualitative* identity, these latter cases are ones in which the numerically same item differs qualitatively at different times. In terms of the *type-token* distinction, we can also describe them as cases in which the same token belongs to different types at different times. On the other hand, when there is sameness in sense (i) but not in sense (ii), then we would talk of numerically distinct items being qualitatively identical or different tokens being tokens of the same type.

because the word 'embodiment' is ambiguous. The first entry of 'embodiment' in the O.E.D. is

(1) "the action of embodying; the process or state of being embodied."

The second is

(2) "that in which [something] is embodied,"

with the subentries: (a) "[t]he corporeal 'vesture' or 'habitation' *of* (a soul)" and (b) "[t]hat in which (a principle, an abstract idea, etc.) is embodied, actualized, or concretely expressed . . ." Entry (2) is perfectly straightforward. According to (2), x and y are the same embodiment of F only if x is the numerically same concrete particular as y. In this sense, two different hunks of clay or marble count as *different embodiments*, even if they are embodiments of the same statuesque form. Entry (1), however, concerns the *process* or *act* of embodying rather than the particular item (e.g., the particular statue or the particular book) engaged in that process or act. Even if x and y are distinct concrete objects, it might be that the process or act of embodiment is exactly the same; that is, the *manner in which* embodiment takes places might be the same for x and y. In this sense, if x and y embodied beauty (for example) in the very same way, then even though x is distinct from y, there is still the same embodiment of beauty.[10]

So, on the present diagnosis, when the term 'F' refers to an embodiment of some abstract type (as do the terms 'book,' 'letter,' 'statue,' and 'person'), prefacing 'F' with

[10] The word 'representation' is ambiguous in just the way 'embodiment' is, presumably because a representation can be thought of as an *embodiment of content*. Thus, one can focus on individual, concrete embodiments of content (and, for example, consider my mental representations different from those of my mental duplicate) or one can focus on the manner of embodying content (and think of my mental duplicate as having the same mental representations).

‘the same’ yields ambiguity -- between ‘an embodiment of the same F’ and ‘the same embodiment of F.’ And it is arguable that this ambiguity arises precisely because the word ‘embodiment’ is ambiguous between the concrete object that embodies and the manner in which it embodies. Given that the notion of a person is the notion of an embodied personality, it is no surprise, then, that ‘same person’ is ambiguous between the concrete individual that embodies the personality and the manner in which personality is embodied, i.e., the type of personality embodied.

5. Conclusion

It was argued here that whether we accept PA depends entirely on how we interpret the phrase ‘same person’ -- i.e., whether we interpret it as ‘an embodiment of the same personality’ or ‘the same embodiment of a personality.’ It was also explained why we should expect this ambiguity to arise, and why this sort of ambiguity is not peculiar to talk of being the same person. If I am right about this, then the debate over PA is purely semantic. And if so, then while there are many significant issues in the area of personal identity,[11] the debate over PA does not seem to be one of them.

[11] The significant issues include the question, *What are we most fundamentally?* Are we most fundamentally persons? Or are we most fundamentally animals, or perhaps material objects? The answer here will help with another significant issue, *What are our persistence conditions?* If the word ‘person’ does not mark a fundamental category of a thing, if it is a *phase sortal*, then you and I might continue to exist even with the loss of personhood. On the other hand, if ‘person’ does denote a fundamental category, then it’s arguable that a person could survive the loss of personhood (and also that a person did not exist prior to the onset of personhood). Significant questions also remain concerning exactly which psychological features are required for personhood, and just what entities bear these features (e.g., do any non-human animals qualify as persons?).

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TITLE: Craters of the Moon Photographic Project

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ABSTRACT:

Craters of the Moon Photographic Project created a concise, accurate and detailed photographic survey of Craters of the Moon National Monument and Preserve. A wide variety of photographic methods were employed including conventional film based imaging as well as the latest digital techniques. The organization of this year long effort was modeled on the photographic surveys of the post American Civil War period, in particular, the Hayden Geological Survey of what is now Yellowstone National Park. Prior to the Craters of the Moon Photographic Project, no systematic photographic documentation of that National Monument existed. Although there are numerous images of the original monument area, these records are primarily of specific features. Larger scale photographs showing entire regions or lava flows are rare or nonexistent. Also, the recent acquisition of 700,000 additional acres has made Craters of the Moon one of the 20 largest national monuments in the United States. None of this new addition has been photographed and portions are unexplored. The presentation for the Third Annual Hawaii International Conference on Arts and Humanities showcases a selection of recent images and links them to the work of 19th century Geological Surveys and early 20th century images of the lava flows which now comprise Craters of the Moon.

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STUDENT TEACHING IN THE CHORAL CLASSROOM:

Perceptions of Secondary Choral Music Student Teachers

As They Reflect on Their Music Teaching

Author and Presenter:

Sandra Frey Stegman

The purpose of this study was to investigate six representative choral music student teachers' perceptions of successes and problems during instruction when encouraged to reflect on their teaching through guided questioning. A primary goal of the study was to describe and analyze the content of reflection on instruction and how it influenced instructional judgments, decisions, and actions, thus considering the role of student teacher thinking, perceptions, and reflection on the process of learning to teach.

This study was based on interpretive fieldwork research methods conjoined with a constructivist perspective. Data sources included extended interviews, weekly reflection sessions, observation of instruction, and documents. Interviews and weekly reflection sessions were audio taped and transcribed. Data collected provided insight into choral music student teachers' perceptions, interactive thoughts, reflections, and related experiential learning. Data collection and analysis occurred throughout the study, involved constant comparison, and allowed for emergent patterns. Data analysis provided for descriptive and interpretive accounts that took the forms of case-study portraits and cross-case analysis and reporting.

Reflection was particularly important to this study as a means by which the student teachers (a) revealed their perceptions and interactive thoughts, and (b) connected personal practical knowledge with theoretical knowledge, thereby constructing meaning from experience. In considering the student teachers' perceptions, interactive thoughts, reflections, and observed practice, teacher images of two general kinds emerged. Guiding images were disclosed which influenced and structured daily classroom interaction with students even as these images were being developed and revised through practice. These images included visual, aural, and affective components and included a focus on self. Overarching images of music education were found to be part of the experience for three of the student teachers. Overarching images incorporated more local guiding images while providing a long-range focus and continuity to the student teaching experience.

Conclusions and recommendations for music teacher education and further research were drawn related to five general areas that appeared to influence and interact with the student teachers interactive thoughts, reflections, practice, and what they learned from experience . These were: (a) Beliefs About Teaching and Learning, (b) Orientation to Subject Matter, (c) Perspectives Regarding Curriculum and Planning, (d) Reflection, and (e) Images, Models, and Metaphors.

Jewish Drama, Human Drama:

The Story of *The Eternal Road*

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Abstract

This essay examines the literary, cultural, and historical significance of the 1937 stage play, *The Eternal Road*, the biblical epic of the Jewish émigré titans—writer Franz Werfel, composer Kurt Weill, and director Max Reinhardt. In academic circles, the play is relatively well known, although it has not received the kind of attention that scholars have paid to works such as *The Threepenny Opera, Forty Days of Musa Dagh,* and *A Midsummer Night's Dream,* Reinhardt's most often performed theatrical production. *Road*, which premiered at the Manhattan Opera House in January 1937, sold out its 153 performances, but it closed less than six months later, a victim of extravagant casting and design. In fact, no Broadway show in its time ran up as large a deficit. Meyer Weisgal, its producer, dubbed it one of the theater's most brilliant money-losers ever. The significance of the play lies elsewhere—in its singular moment of expression of Jewish pride by several colorful, albeit complicated, *dramatis personae*.

There are numerous areas of scholarship to which a study of this sort contributes. Students of the history of American theater will welcome a recitation of the play's production history and a careful reading of its text. Historians, meanwhile, might find the subject helpful in illuminating some of the everyday responses to Nazi persecution by central European Jewish émigrés. One of the more intriguing issues for me is where to situate *Road* within the broader context of the life work of its principal creators. To what degree was the play a departure from or a continuity within the aesthetic approaches of Reinhardt, the *parvenu*, Weill, the left-leaning social critic, and Werfel, the would-be Catholic. To what extent did the three figures project their conflicts with, and corresponding concepts of, "Jewishness" onto the text and performance of the play? What was the role of external and intrinsic factors that helped to bring *Road* into existence? If Hitler had never come to power, would there have been an *Eternal Road?*

The show was the only occasion in which Reinhardt, Werfel, and Weill joined together to issue a condemnation, in the only language and forum they knew, of the Nazi assault on Jewish culture, religion, and history. And yet their play was more than mere anti-Nazi tableau, and certainly more than either a technical wonder or a box office bomb. It was a remarkable tribute by Jews to Jews in all their various, conflicting incarnations.

Jewish Drama, Human Drama: The Story of *The Eternal Road*

by Jonathan C. Friedman, Ph.D.

In January 1937, an obscure play opened on Broadway. Its name was *The Eternal Road.* Part biblical pageant, part anti-Nazi protest, *Road* was the brainchild of writer Franz Werfel, composer Kurt Weill, and director Max Reinhardt. In academic circles, the play is relatively well known, but it disappeared from public memory rather quickly after its five month run, mostly because it was a financial disaster. Although each of its 153 performances at the Manhattan Opera House sold out, the show (in its time) ran up the largest deficit in Broadway history. Producer Meyer Weisgal dubbed the play one of the theater's most brilliant money-losers ever. However, the significance of *Road* lies elsewhere—in its singular moment of expression of Jewish pride by several colorful, albeit complicated, *dramatis personae*.

The play offers an especially interesting point of departure for a discussion of the empowering role of theater as a mechanism of protest and collective self-respect. According to historian Atay Citron, "the idea of employing theatre as a weapon in the struggle against Nazism seems naïve and pathetic after the Holocaust. In the fall of 1933, however, there was reason to believe that an intensive anti-Nazi propaganda campaign could make a difference."[1] *Road* was but one of fourteen protest plays and pageants written by Jewish and non-Jewish émigrés after 1933.

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[1] Atay Citron, "Art and Propaganda in the Original Production of *The Eternal Road,"* in Helmut Loos and Guy Stern, eds., *Kurt Weill: Auf dem Weg zum Weg der Verheissung* (Freiburg, 2000). See also his, "Pageantry and Theater in the Service of Jewish Nationalism in the United States, 1933-1946" (Unpublished Dissertation, New York University, 1989).

The more intriguing issue for me is where to situate *Road* within the broader context of the life work of its principal creators. To what degree was it a departure from, or a continuity within, the aesthetic approaches of Reinhardt, the Austrian-born *parvenu*, Werfel, the would-be Catholic from Prague, and Weill, the left-leaning social critic (and, of the three, the only native born German)? To what extent did the three artists project their conflicts with, and corresponding concepts of, "Jewishness" onto the text and performance of the play? What was the interplay of external and intrinsic factors that helped to bring *Road* into existence? If Hitler had never come to power, would there have been an *Eternal Road?*

In describing the project he was undertaking, Reinhardt mused that "whenever the Jews were in crisis, they returned to their holy books…and looked to the past to hope for the future." He added, to deflect charges that he was creating propaganda, that "the books of the Bible…are hallowed artwork of incomprehensible, mystical greatness."[2] Werfel offered his own take on the play: "All I have tried to do is to bring out the truth—the tolerance, the love, and by all means the culture that is in the Bible. We need more peace and friendship."[3] *Road* was the only occasion in which Reinhardt, Werfel, and Weill joined together to issue a condemnation, in the only language and forum they knew, of the Nazi assault on Jewish civilization. Yet their play was more than mere anti-Nazi tableau, and certainly more than either a bloated, technical wonder or a box office bomb. It was a remarkable tribute to Jews throughout history in all their various and conflicting incarnations.

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[2] Max Reinhardt, "Konzept für eine Rede," in Max Reinhardt Collection, Theatersammlung der Österreichischen Nationalbibliothek, in Edda Fuhrich Leisler and Gisela Prossnitz, *Max Reinhardt in Amerika* (Salzburg, 1967).
[3] Victoria Powell, "Notes for public lectures on the 'Eternal Road,'" Weill-Lenya Research Center, New York City, (hereafter, WLRC), n.p.

On a broad continuum of Jewish identity, it would appear on the surface that Reinhardt, Werfel, and Weill had a great deal in common. Products of the German world of *Bildung* and letters, as well as the modern-Jewish world of secularism and humanitarianism, the three artists did not represent the kind of Jewishness reflected in the shtetls of Eastern Europe or the orthodox shuls of the west. Still, there were vast differences between them. Werfel came closest of the three to converting to Christianity. (In deference to his moderately antisemitic wife, Alma, he officially seceded from the Jewish community, although he never officially converted, and he consistently sought ways of reconciling Judaism with Christianity and vice versa.) Weill's Jewishness manifested itself as passionate socialism, and Reinhardt was perhaps the most conflicted of the three. For his part, Weill: "…began to think of the Jewish historical experience…primarily as a universal lesson, 'never to forget' the enormity of humankind's mindless capacity for cruelty…but also a remarkable resilience that enables survivors of good will to follow the dictates of their God-given creative potential."[4] As for Reinhardt, he was fascinated by Catholic ritual, and his plays tended either to be light diversions from Shakespeare, or ponderous masses on a huge scale. In private, however, Reinhardt seemed to identify more with the customs and rituals of eastern Jews than their western counterparts. After Hitler came to power, he had this to say: "My work on the stage has always been my chief calling…The new Germany wishes, however, members of the Jewish race, to which I naturally and unreservedly belong, to have no influential position…A true theater of the arts could never function under

[4] "*The Eternal Road* and Kurt Weill's German, Jewish, and American Identity: A Discussion with Kim H. Kowalke, Jürgen Schebera, Christian Kuhnt, and Alexander Ringer," *Theater* 30/3 (2000): 95.

these current circumstances…"[5] Far from ignoring their Jewishness, the three actively molded distinct and new possibilities for Jews in the modern world, and they did so without a facile dismissal of their Jewish past.

Preproduction

Within months of the Nazi seizure of power, Reinhardt and Weill had fled Germany. Werfel remained in Vienna. It was upon the occasion of Reinhardt's dismissal that a little-known member of the Zionist Organization of America by the name of Meyer Weisgal decided to fly to Europe and enlist the director in a project he had been developing. Weisgal, a Polish Jew from the town of Kikl who had come to the United States at the turn of the century, was in the midst of producing a bible pageant at the Chicago World's Fair entitled *Romance of a People.* Imagining an even larger spectacle for Broadway that would serve as a vigorous Jewish response to Nazi persecution, Weisgal (an irrepressible shnorrer in the words of historian Stephen J. Whitfield), flew to Paris in November 1933 to meet Reinhardt.[6] Once in Paris, Weisgal sought out Pierre van Paassen, a friend from his days in Toronto who worked as the Paris correspondent of *The Toronto Star.* Using his contacts, Paassen was able to arrange a meeting with Reinhardt, and he accompanied Weisgal to the Théâtre Pigalle, where a production of *Fledermaus* was underway. Weisgal had exactly ten minutes to make his case to the director.[7]

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[5] "An die Nationalsozialistische Regierung Deutschlands," Oxford, England, 16 June 1933, in Fetting, *Max Reinhardt Schriften: Briefe, Reden, Aufsätze, Interviews, Gespräche, Auszüge aus Regiebüchern.* Berlin, 1974., pp. 223, 224. See also Heinz Herald, *Max Reinhardt: Bildnes eines Theatermannes* (Hamburg, 1953), p. 145.
[6] Stephen J. Whitfield, "The Politics of Pageantry," *American Jewish History* 84/3 (1996): 221-251.
[7] Meyer Weisgal, *...So Far: An Autobiography* (New York, 1971), pp., 66, 67, 117.

"*Dieses Schauspiel muss Hitler unsere Antwort geben*" (This spectacle must be our answer to Hitler)," Weisgal pleaded in broken German.[8] He later looked back on this naïve declaration with amazement: "We did not dream then of the coming unbelievable horror, or I would not have used such language, which in retrospect sounds almost flippant."[9] Listening to the pitch, Reinhardt said little, but as the minutes passed, he warmed to the project and eventually asked: "Who will write the book? Who will compose the music?" Weisgal deferred to the director on these questions, whereupon Reinhardt suggested Franz Werfel as playwright, Kurt Weill as composer, and Norman Bel Geddes as designer. The latter had already developed a reputation as a world class stage designer with grandiose, some would say excessive, visions. His gutting of the Century Theater for Reinhardt's production of the play, *The Miracle,* to make room for a cathedral measuring two hundred feet long, 120 feet wide, and 110 feet high, prefigured his approach to *Road.*[10] Upon hearing the names thrown out by Reinhardt, Weisgal, in his words, "swallowed hard, thinking of the remainder of my $10,000 kitty," but he agreed to draft Werfel and Weill into the project and to hold a preliminary meeting in Reinhardt's castle in Salzburg sometime during the following summer. The two also decided on New York City as the staging ground for the play, over London and Paris.[11]

New York was an obvious, and yet not-so obvious choice. Home to the largest Jewish community in the world (by 1930, some 1.83 million), New York had a built-in audience that would be receptive to such a show. But this amounted to preaching to the converted. The challenge was to reach out to non-Jews while minimizing the risk of inflaming native

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[8] Ibid., p. 117.
[9] Ibid.
[10] See Drew, "Reinhardt's Choice: Some Alternatives to Weill," in Helmut Loos and Guy Stern, eds., *Kurt Weill: Auf dem Weg*, pp. 237-254.
[11] Weisgal, *...So Far*, pp. 117, 118.

antisemitism. According to Reinhardt's son Gottfried, "…the manifest speculation on anti-Hitler sentiment by a New York Jewish audience did not sit well with him."[12] Yet in a letter to Gottfried, Reinhardt the elder seemed less concerned about the responses from his prospective milieu and more worried about the overall quality of the project's artistry:

> …From what I have heard, it appears to end with the Jews finding a haven in America, after taking us from the creation of the world via the dance around the golden calf to every well-known alpine peak of kitsch. An opportunity for De Mille which, alas, I could not seize for all De Millions in the world…You must not be so silly as to believe that the Jewish theme is a stumbling block for me. I have always been staunch in my Jewish convictions. I am even a pious Jew and would be happy if I could help my brethren with what little I have to offer. But I don't believe that they can be helped with scorn or rose colored trash. At my suggestion, Werfel[13] is now writing an oratorio and Weill is supposed to compose it. Should it really come to a production, it will be a work of art. I, at least, am convinced of that, for the first chapters of the *Road of Promise* Werfel read to me were grandiose and deeply moving. Whether it will make money is admittedly another question.[14]

On 4 August 1934, Reinhardt gathered Weill, Werfel, Weisgal, and Rudolf Kommer (Reinhardt's business manager) at Schloss Leopoldskron for a review of an early draft of the play, which Werfel had entitled *Der Weg der Verheissung—The Road of Promise*. As a

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[12] Gottfried Reinhardt, *The Genius: A Memoir of Max Reinhardt* (New York, 1979), p. 245.
[13] Werfel, like Reinhardt, had misgivings early on about the project. "I find anything truly creative a hundred times easier…It's a grotesque idea to think that these gigantic world tragedies of Jacob, Joseph, and his brothers…could be thrown together in a hurry…I'm still not certain if I want to take it on." Peter Jungk, *Franz Werfel: A Life in Prague, Vienna, and Hollywood*. (Translation, New York, 1990), p. 150.
[14]Gottfried Reinhardt, *The Genius*, p. 247.

gathering of Jews in the former residence of an Archbishop in full view of Hitler's chalet in Berchtesgaden, the meeting at Leopoldskron was nothing if not ironic. For his part, Weisgal was pleased with the draft manuscript although he disliked the play's "Christian" ending that featured a messiah appearing out of the ruins of the Temple. He recounts in his memoirs:

> The mystic strain in [Werfel] which might have identified with Chassidism he transferred to the Catholic Church…I spent a whole night walking with Werfel in the garden and explaining to him…that this was a Jewish play—that and nothing else. It was our history, the history of his and my people, that had to be portrayed—not some alien or abstract concept. Remote as he was from Judaism, there was enough of the poet in Werfel to grasp the idea even through my barbarous German.[15]

Gottfried Reinhardt cites Alma's take on the controversy: "After [Franz] had finished, one of these gentlemen walked over to Werfel and said: 'That was very beautiful, Herr Werfel, but you must write an angrier god—a god of vengeance!'"[16] In her own diary, Alma wrote: "Poor Werfel has gotten himself into this senseless mess…Without Jesus Christ, the play cannot be brought to conclusion, and the Jews will not permit Jesus in the play."[17] Weisgal had second thoughts about Weill, too: "…he had shaken himself free of Jewish life…[and] did not appear to me the most suitable choice of composer for the score of a Biblical pageant; but I had given Reinhardt a free hand, and his instinct turned out to be right."[18] Despite these misgivings, the

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[15] Weisgal, *...So Far*, p. 120.
[16] Gottfried Reinhardt, *The Genius*, p. 251, and Atay Citron, "Pageantry and Theatre," p. 149.
[17] Alma Mahler, *Mein Leben* (Frankfurt, 1960), p. 216.
[18] Weisgal, *...So Far,* p. 120.

Leopoldskron meeting propelled the musical drama forward. The play was set to debut in New York sometime between February and October 1935.[19]

Werfel divided his drama into four acts with two distinct but interweaving storylines. The leading action was to take place in a small synagogue during a pogrom (plot line A), with a rabbi distracting his fearful congregation with stories from the Hebrew Bible (plot line B). In Act One, Werfel set out the drama of the synagogue and the first of the biblical tales—Abraham, Isaac, Jacob, and Joseph. In Act Two, he focused entirely on the story of Moses. Act Three covered the period of the Kings (Saul, David, and Solomon), while Act Four concluded with the major prophets (Isaiah and Jeremiah), the destruction of the temple in 586 B.C., and the fate of the Jews huddled inside the small synagogue. Each line of dialogue was to have four major beats, with the number of syllables varying from nine to twelve, creating a "chanting" effect to the words as they were delivered.[20]

The composition itself was the product of intense research on Weill's part. He compiled two hundred synagogue melodies he remembered from his childhood and verified their authenticity at the Bibliothéque Nationale in Paris. The music was to have a notably western European slant, and for ears accustomed to American synagogue arrangements, with their primarily Eastern European orientation, the result was often confusing, even more so when Weill interjected contemporary melodies. Atay Citron contends that in preparing the score, Weill was thinking more in "central European Christian" terms.[21] According to writer David Schiff, however, while "the music of the German synagogue echoed…Schubert and the harmonies of

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[19] Sub-contract Reinhardt to Verlag Heugel, Salzburg, 17August 1934, WLRC, Series 47, p. 1.
[20] Franz Werfel, *The Eternal Road: A Drama in Four Parts,* (Translation, New York, 1936), p. vii.
[21] Atay Citron, "Art and Propaganda in the Original Production of *The Eternal Road,*" in Loos and Stern, *Kurt Weill: Auf dem Weg*, p. 211.

Mendelssohn, [it] had its own historic integrity…Although it never sounds Jewish…[it] is in fact a musical reliquary for a vanished liturgical tradition. [Weill's] use of important German-Jewish melodies is pervasive and…dramatically apt, with themes from the Shavuoth and Yom Kippur services matched to crucial events in the play. Audiences today will notice melodic warmth uncharacteristic of earlier Weill…without recognizing that this new feel derives from carefully borrowed materials."[22]

Although there were the inevitable conflicts over libretto and music, venue selection (Reinhardt never really liked the Manhattan Opera House), and Bel Geddes' appetite for demolition, production of the play continued apace. Reinhardt's arrival in New York in September 1935 moved things along although his bizarre entourage was a distraction. (Accompanying the director were his soon-to-be second wife, Viennese actress Helene Thimig, business manager Rudolf Kommer, Heinz Herald—his on-site scholar, Livia Castiglioni—his teenage private secretary, stand-in director Francesco von Mendelssohn, and Eleanora von Mendelssohn—whose role, apart from fawning over Reinhardt during one of her many trips on heroin, was unclear). The cast, once assembled, counted fifty-one principals, thirty-six dancers, forty-eight chorus members, and 180 extras. Among the stars were Broadway standards like Sam Jaffe, and future Hollywood names such as Sidney Lumet and Dick van Patten. It appeared that an opening was just around the corner when Bel Geddes' production team hit bedrock and then water during its facelift of the Opera House, flooding the entire theater and forcing an abrupt halt to the rehearsals. Then, in February 1936, all the money ran out, and the show appeared truly

[22] David Schiff, "On the Road toward Hope: Kurt Weill's Celebration of the Jews," *New York Times,* 27 February 2000.

doomed. It was only saved by a last minute injection of cash from Broadway producer Crosby Gaige.

Once production resumed, the consensus was that the massive set had to be seen through to completion but not necessarily under Bel Geddes' direction. (Weisgal fired him). In the end, the set took up nearly an acre's worth of space. The total depth of the five-level stage reached 130 feet, while its height from top to bottom was eighty-five feet. At the back of the set stood two eighty feet cycloramas, which gave the effect of immense distance when flooded with deep blue or purple light. In between the cycloramas was the forty-foot vertical platform of rows for the "choir of angels," the visual focal point of the stage and possibly the most spectacular aspect of the design. The inventory of props, scenery, and lighting material was just as mind-boggling. There were twelve hundred costumes, smoke screens, an elaborate series of elevators, a thirty-five foot temple, an Egyptian obelisk that stretched nearly half the stage, two twenty foot rocks, four thirty horsepower motors, six ten horsepower motors for cranes, ninety-five cases of electrical equipment, three seventy-foot long hanging bridges for all of the lights, eight hundred two-thousand watt lamps, (which weighed twenty pounds each), special lights for stars, auroras, torches, pit-fires, lanterns, and the "burning bush," three hundred spotlights, sixteen dimmer switches, thirteen speaker and sixteen microphone locations, and over one million feet of cable.[23] Needless to say, all additions to this inventory put Weisgal at the breaking point.

The alterations that generated perhaps the greatest anxiety involved tearing out the proscenium, the orchestra pit, and the first three to four rows at orchestra level. Reinhardt

[23] Victoria Powell, "Notes for Public Lectures on the Eternal Road," WLRC, File 80.695, p. 2, and Citron, "Pageantry and Theatre," pp. 161, 162, and Norman Bel Geddes Collection, Box 85, File 346.g.02, Harry Ransom Humanities Research Center, University of Texas at Austin (hereafter, NBG).

wanted to eliminate the proscenium effect and the fire curtain, which raised a host of safety questions as well as theatrical ones, chief among them: With the proscenium raised, how could the inner workings of the stage be kept hidden from the audience?[24] Camouflaging was ultimately achieved by additional screens and coverings. The removal of the first few rows in front of the stage, the best and most expensive seats in the house, had the more devastating effect of eliminating the play's profit margin by reducing the income from each performance by several thousand dollars. In addition, the depth of the synagogue reduced to "nil the visibility from certain seats in the balcony."[25] Customers who bought tickets in these "blind" seats demanded refunds after every performance.[26] But Reinhardt wanted the section of the stage designated for the synagogue to be bigger and deeper down to heighten the contrast between "the world and underworld." It was of the utmost importance, in Reinhardt's opinion, to maintain this sense of reality in the foreground and imagination in the background; without it, the play was "meaningless."[27]

An additional sequence that the principals altered (actually dropped altogether) involved the destruction of Solomon's Temple. The effect required two stagehands, disguised as Persians, to attach thin cables to the temple columns, which were submerged in the hills and lifted thirty feet, and then to pull the columns down. During one of the rehearsals, the cables broke and sent chunks of the columns crashing onto the stage. According to the choreographer, it was a "…miracle no stagehand was hurt or killed."[28] After all the melodrama, however, Weisgal's

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[24] Bel Geddes to Weisgal, 12 October 1935, NBG, Box 86, File 346.g.10.
[25] Weisgal, *...So Far*, p. 133
[26] Whitfield, "The Politics of Pageantry," p. 229.
[27] Reinhardt to Harry Horner, n.d, WLRC, Series 30, Box 19, Folder 6, p. 3.
[28] Oral History with Benjamin Zemach, WLRC, p. 6.

pageant, no longer entitled *The Road of Promise* but appropriately *The Eternal Road*, was scheduled to open in January 1937.[29]

On the night of the opening, January 7, New York's social elite turned out in droves to witness five hours of beauty, chaos, and history. The play nearly did not go on at first as fire-fighters converged on the theater and told Weisgal, who was backstage, that the play could not continue in the presence of so many lit candles and in the absence of a fire curtain. Weisgal quickly phoned Rabbi Stephen Wise, informed him of the situation, and asked him to track down one of his close friends, Mayor Fiorello La Guardia. Wise luckily found La Guardia on a call with the fire department (a hobby of his), and the mayor agreed to race over to the Opera House to break the standoff. No one knew what to expect when the lights dimmed at 8:43 p.m. The darkened theater was illuminated only by a combination of flickering electric lights and real candlelight.

The Play

A *shofar* sounded. Offstage the audience could hear the trampling of thousands of feet—"the noise of a great human mass setting out upon its way and drawing nearer."[30] The noises were to grow in strength and speed, "as if in flight before pursuers." Sounds then arose of "breathless terror, of panting, of moaning cries." On the lowest stage level, lights and lanterns swarmed visibly, while out of the darkness, the *almemor* or rabbi's podium emerged from blackness. A congregation of old men stood around the raised table as a crowd of Jews fleeing their attackers

[29] Rehearsals resumed on 29 November 1936 with December 30 set as the opening. That date was postponed to January 4, 1937, then ultimately to January 7. See Citron, "Pageantry and Theatre," p. 199.
[30] Franz Werfel, *The Eternal Road: A Drama in Four Parts*, p. 3.

pushed its way into the synagogue from stage right. The first scene setting the drama inside the synagogue had begun.

These sequences, removed both in time and space from the biblical stories, served the dual purpose of political commentary and biblical criticism. For scholars of modern Jewish history, the synagogue tableau was a revealing window into the psyches of Werfel and Reinhardt. A Rabbi led the singing and reciting, but he was surrounded by more complex characters in perpetual struggle with themselves and their religion. These characters, reminiscent of the "Four Sons" of Passover, included the Pious Man, the Rich Man, the Estranged One (and his son), the Young Man, and the Adversary.

The Rich Man represented the court Jew, blinded by a faith in material status and connections to the king. "Did I not give money whenever I was asked?" he lamented early on, only to be hit by sarcasm from the Adversary.[31] At the same time, the Estranged One symbolized the failed assimilated Jew:

> Long, long ago I had forgotten this community into which I was born…For I had become wholly at one with the people of this land. I was wholly contented so and did not wish to be reminded of you and of the past…I would not have come back, had not the people recognized me by my face…[32]

The Adversary, meanwhile, offered comic relief through a cynical voice that evoked the image of *Pesach's "*Evil Son:" "The feeblest beast has claws and teeth for self-defense," he averred,

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[31] Ibid., p. 6.
[32] Ibid., pp. 6, 7.

"…We have memory and law…admirable weapons…"[33] At one point in the play, the Adversary was expelled from the community because of his criticism, and he joined the pantheon of persecutors and non-believers. In the "golden calf" scene, the Adversary continued his ill-tempered ways by luring doubting Jews back into paganism:

> (Adversary): This is the god that victoriously led us
> And from the desert will set us free…
> This is a good and familiar divinity,
> A god of gold and no God of mind.[34]

Whether Werfel was offering his own critique of suppression of dialogue within the Jewish community, or actually supporting the expulsion of the character, is unclear. But it seems that in drawing the character so broadly unappealing, Werfel was projecting his own disdain of those who rejected religion out of hand.

Werfel proved even more tendentious in his decision to include the story of Ruth and to feature a romantic subplot between a Jewish man and non-Jewish women in the synagogue sequences. Although a shameless cliché, the romance was nevertheless enlightening: a naysayer like the Adversary was beyond the pale, but intimate relationships between Jews and non-Jews were within the realm of acceptable behavior (or what Werfel and Reinhardt perceived would be tolerated as acceptable behavior by their audience.) The focus on Ruth, a non-Jew initially, over other important biblical figures, such as Deborah, Samson, Daniel, and Esther, was an extension of this conscious decision to promote interfaith relations. But Ruth was more than just a symbol

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[33] Ibid., p. 9.
[34] Ibid., pp. 68, 74.

of strength through diversity. She was truly the linchpin in Werfel's overarching humanist message, even if this message occasionally blurred the line between Judaism and Christianity.

As a way of balancing out his none-too-subtle defense of intermarriage, Werfel injected the first overtones of Zionism in passages during the story of David as king of Israel. The Pious Man declared: "They built the high seat of the king in the city that he has won, in the holy city…" "Yerushalayim!" Shouted David, followed by a response in unison by the congregation. "O city of our fathers…why have we lost you?...We mourn for you…we long for you…Behold the glory of Zion…Next year in Yerushalayim…"[35] During the play's finale, which resolved the synagogue drama with the forced expulsion of the congregration, all of the biblical and synagogue characters marched in processional up the five levels of the stage to the choir of angels. The final song had a decidedly Zionist thrust, clearly Werfel's attempt to maintain equilibrium between his pseudo-Christian imagery and the more nationalist vision of producer Weisgal:

> When the Lord brings back the redeemed to Zion,
>
> Then shall we be like unto dreamers…
>
> In sorrow we strewed the seed in earth,
>
> Now bind we our sheaves with the blessed.[36]

Well after two in the morning the play ended, and despite fears of a critical savaging, the initial press was favorable (mainly due to the numerous reporters who left to meet their deadlines at midnight). Five months later, the play was gone from Broadway, never to be staged again, until a production company in Chemnitz, Germany decided to revive it in 2000. The new

[35] Ibid., p. 106.
[36] Ibid., p. 144.

version was another one of many ironies—translated back into German, it featured a different time frame (the 1930s rather the 18th century) and a different hero—the Adversary, who comes back to the synagogue and sacrifices himself to save the rabbi from being shot by a Nazi thug. In addition, the play revealed a disjunction between the American and German press over the issue of Jewish identity; while American reviews generally had problems with the style and form of the play, many German reporters fixated on the question of whether its creators were authentically Jewish. Michael Horst, writing for the *Berliner Morgenpost,* wrote that Weill "thought in exile about [his] Jewish heritage…driven out by the Nazis, robbed of the cultural mother earth of central Europe, which [he] had to thank for [his] artistic existence."[37] In his review for the *Frankfurter Rundschau,* Hans-Klaus Jungheinrich proclaimed Hitler was an involuntary Zionist and insisted that without Nazism, composers like Weill and Schönberg would never have jettisoned their German and Austrian identities.[38] This is perhaps the most tragic aspect of the play's revival; it failed to educate ordinary Germans about the spectrum of Jewish thought and belief before the Nazi dictatorship. This undifferentiated juxtaposition of either German or Jewish, rather than the blurred world of both, contrasted with the approach of most American writers. In the end, according to writer Tamara Levitz, "German critics let their remarks become blinded by their feelings of love for, nostalgia about, alienation from, or hostility toward the Jew…"[39] David Schiff, writing for the *New York Times,* went further, saying

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[37] Michael Horst, "Jehova in Hollywood: Chemnitz, Erstaufführung von Weills *Weg der Verheissung*," *Berliner Morgenpost*, 15 June 1999, and Tamara Levitz, "Either a German or a Jew: The German Reception of Kurt Weill's *Der Weg der Verheissung*," *Theater* 30/3 (2000): 99.
[38] Hans-Klaus Jungheinrich, review from the *Frankfurter Rundschau*, 15 June 1999, and Levitz, "Either a German," p. 104.
[39] Levitz, "Either a German," p. 103.

that "in the absence of a Jewish audience, the work became a pawn in the battle over the German past."[40]

Part of the thrust of this paper has been to reorient the discussion about German-Jewish identity toward a model that embraces both continuity and diversity. Reinhardt, Werfel, and Weill stood along a broad spectrum of the Jewish self. Their values were unique products of their personal circumstances and inclinations, and while we cannot suppose alternative histories in the absence of Hitler, we cannot at the same time deny that the three grappled with the uneasy fusion of Germanness and Jewishness throughout their lives and were not given the opportunity to resolve the union or see it evolve because of external political developments. *The Eternal Road* might not have been destined for commercial or artistic success, and it might not have ever happened without the Nazi rise to power. But this is not to suggest impossibility, particularly with respect to the latter. The assumption that such a project would have been more predictable from an overtly Zionist or ultra-orthodox camp reveals gross ignorance about the continuum of modern Jewish thought. Stephen J. Whitfield has argued that the play offered a small remedy to the sense of powerlessness that pervaded the Jewish experience.[41] At some point, it also reflected the convergence of numerous points along a decidedly Jewish continuum that emphasized the importance of art, obligations to ancestral roots, and the sacredness of humanity.

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[40] David Schiff, "On the Road Toward Hope."
[41] Stephen J. Whitfield, "The Politics of Pageantry," p. 221.

MICHAEL FRY

Workshop

Playing the Novel: a partial and promotional survey of recent methodologies of stage adaptations (with performed extracts)

Abstract

The influential British theatre critic, Michael Billington, has described adaptation as 'the plague of English theatre' and uses it as his perennial bugbear. Many other writers and practitioners have joined his crusade.

This workshop paper offers a riposte to this viewpoint. By analysing the diverse approaches that adapters have employed on a variety of novels over the past twenty-five years, and in comparing characterisation, perspective and description in particular, I hope to show that there are no limits to the ways in which a dramatist may approach a book. I argue, further, that novel adaptation compels theatre practitioners, audiences and critics to reconsider the nature of theatre and its dramaturgical possibilities, thus providing a useful study of the dramatic genre per se, the techniques of narrative expression and the nature of reality, illusion and imagination.

Many playwrights today remain hidebound by a naturalistic, televisually inspired style that does not acknowledge the elements of design, music and sound, ensemble acting and site specific work that only theatre can offer. Adaptations tend to make flagrant use of these components and what has often been disregarded is the influence that the dramatisation of novels has had on the forging of new aesthetics in contemporary theatre. I suggest that the early work of Mike Alfreds and the Shared Experience company, together with the Royal Shakespeare Company's luminous productions of *Nicholas Nickleby* and *Les Liaisons Dangereuses* are directly responsible for the subsequent style of work of such companies as Cheek by Jowl, Kneehigh and Complicite.

Far from being 'the plague of English theatre', adaptation has involved many of the best writers, directors and actors, has produced some of the most stimulating pieces of theatre in recent years and has demonstrably affected and effected some of the key trends in contemporary performance. My partiality towards the principle of adaptation is evinced by four of my own dramatisations; the performed extracts during this workshop will be taken from these.

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MICHAEL FRY

Paper

Helen Edmundson and Shared Experience: The Playwright, the Company and the Adaptation Process

Abstract

Helen Edmundson is one of the most original of contemporary British playwrights and the most feted writer of adaptations. Her stage versions of *Anna Karenina* and *The Mill on the Floss*, in particular, have toured to over thirty countries, played seasons at the Brooklyn Academy of Music and have been remounted extensively.

In this paper I assess the novelty of the approaches in her four adaptations and the inventive working methods of the company that has produced them, Shared Experience. I stress, in particular, the intrinsic relationship between the writer's rhetoric and company's playing style, and how the process of comprehensive research and extensive workshops is integral to the performed piece. I also touch on both the merits and the deficiencies of Edmundson's techniques and whether Shared Experience's idiosyncratic productions have been more of a help or a hindrance.

The paper uses a substantial amount of original material, based on interviews and discussions with Edmundson and the directors, Nancy Meckler and Polly Teale, and reassesses the significance of their working relationships.

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Are they indirect speeches or lies?
Comparing indirectness in Chinese with those in Japanese

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Abstract

Indirect speech act is a kind of politeness. It normally conveys more than or different from what it literally means (Brown & Levinson, 1987). Indirectness is a speaker-addressee dialogue involving careful interpersonal negotiations. It conveys speaker's desires by using some degrees of compromise. The successful speaker-addressee interaction should be able to exhibit speaker's awareness of both its addressees and its consequences. Another important thing is that addressee needs to comprehend the speaker's real intention. The indirect speech act may save both speaker and addressee's *face.* But it is also similar to a lie.

In Japanese and Chinese cultures, indirectness is traditionally seen as one of politeness. Previous researches have demonstrated that women are more polite than men in utterance (e.g. Lakoff, 1975; Holmes 1995). Brown & Levinson (1987) also claim that women's characteristic behavior patterns are their 'deferent' self-humbling in front of man in many societies. What does indirectness indicate for? Is it politeness, social distance or lie? How do women and men use this kind of politeness differently? Based on theories on politeness, this paper outlines the gender related to indirectness in both Japanese and Chinese linguistic features; and critiques the strengths and weaknesses of indirect politeness. The paper will also suggest that researchers may need to rethink the linguistic interpretation among gender, indirectness and politeness. From this point of view, politeness in cross-gendered and cross-cultural views shares similar features, yet are at times contradictory.

The “New Woman” in Henry James’ “The Portrait of A Lady” and Kate Chopin’s “The Awakening”

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Eucharistic and Charitable Themes In Tintoretto's *Last Supper*

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Abstract
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Tintoretto's *Last Supper* at San Giorgio Maggiore, Venice

Located in the presbytery of San Giorgio Maggiore in Venice, Tintoretto's large painting of the *Last Supper* (1592-1594) astonishes visitors to the church. In Tintoretto's dark canvas, the fires from a lamp dance in the air and transform into mystic angels. They rush towards Christ who is calmly offering a piece of bread to one of his disciples seated along the sharply angled table. In spite of its startling visual effects and historical significance, scholars have rarely paid enough attention to Tintoretto's *Last Supper*. An examination of the *Last Supper*'s architectural setting, theme, and Tintoretto's depiction of the scene indicates that the painting served as a visual backdrop for the Eucharistic rituals held at the high altar. An analysis of the largely ignored mendicant figure, likewise, links the painting to a wider social context of Renaissance Venice. Wearing worn-out clothes, a mendicant figure prominently stands in front of the scene of divine feeding, which itself is Christ's supreme act of charity. An investigation into various portrayals of charity in Tintoretto's works of the Last Supper, patronage, and public functions of San Giorgio Maggiore relates the painting to the Venetian state's social ethics of charity. In portraying Eucharistic and charitable themes, Tintoretto's *Last Supper* expresses both religious and socially sanctioned ideals of the Venetian Republic.

Eucharistic and Charitable Themes

In

Tintoretto's *Last Supper* at San Giorgio Maggiore, Venice

Mayu Fujikawa

Located in the presbytery of San Giorgio Maggiore in Venice, Tintoretto's large painting of the *Last Supper* (1592-1594) astonishes visitors to the church.[1] Although the painting is quite dark, as the eyes adjust to its dimness, the biblical scene emerges with near-miraculous revelation. In Tintoretto's dark canvas, the fires from a lamp dance in the air and transform into mystic angels. They rush towards Christ who is calmly offering a piece of bread to one of his disciples seated along the sharply angled table. Intensifying a sense of tension in the scene, Judas, the only disciple rendered without a halo, sits opposite to the figure of Christ.[2] In front of the betrayer, the large figures of servants dramatically twist their bodies, framing the nocturnal scene with a mendicant who watches the holy event at the opposite side of the canvas. In spite of its startling visual effects and historical significance, scholars have rarely paid enough attention to Tintoretto's *Last Supper*. Monographs on Tintoretto generally focus on his works at the Scuola Grande di San Rocco.[3] Some of the religious and social meanings of the *Last Supper* can be elucidated through a careful investigation into the relation between Tintoretto's depiction of the *Last Supper* and the church's liturgical rituals. An analysis of the largely ignored mendicant figure, likewise, links the painting to a wider social

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[1] For a summary of the complex history on the refurbishment of the church, see Giulio Lorenzetti, *Venezia e il Suo Estuario*, Rome: Istituto Poligrafico dello Stato, 1956, pp. 761-770, and *Venice and Its Lagoon,* trans. John Guthrie, Trieste: Lint, 1982, pp. 787-796. On Andrea Palladio's involvement in the redecoration of the church, see Lionello Puppi, *Andrea Palladio*, Boston: New York Graphic Society, 1973, pp. 362-369 and Bruce Boucher, *Andrea Palladio, The Architect in His Time*, New York: Abbeville Press, 1998, pp. 164-165.

[2] Tintoretto's two drawings for the figure of Judas are known to have survived. For their illustrations, see Paola Rossi, ed., *I disegni di Jacopo Tintoretto*, Florence: La Nuova Italia, 1975, figs. 196-197.

[3] See, for example, brief discussions on the *Last Supper* in Karl Swoboda, *Tintoretto: Ikonographische und stilistische Untersuchungen,* Vienna: Schroll, 1982, pp. 88-92 and Tom Nichols, *Tintoretto, Tradition and Identity*, London: Reaktion Books, 1999, pp. 233-236.

context of Renaissance Venice.[4] Ultimately, these approaches will show that Tintoretto's *Last Supper* embodies the Tridentine decree concerning the significance of the Eucharist and the Venetian social ideal of charity.

My study builds upon the scholarship of Tintoretto's *Last Supper* established by Maurice Cope, Tracy Cooper, and David Rosand. In examining many Renaissance works of the Last Supper painted in Venice, Maurice Cope situates Tintoretto's altarpiece within a broader development of the subject.[5] By focusing on the history and decoration of San Giorgio Maggiore, Tracy Cooper relates Tintoretto's *Last Supper,* as well as other decorations at the church, to the Eucharitic rituals offered at the high altar.[6] Analyzing Tintoretto's several Last Suppers, David Rosand explores the depiction of charity.[7] None of these scholars, however, take Tintoretto's *Last Supper* at San Giorgio Maggiore as their central focus. By situation further Tintoretto's depiction of the *Last* Supper withing its religious and social contexts, I uncover some of its complex meanings. Beginning with a discussion of the painting's Eucharistic contents, this paper then follows with an examination of its charitable meaning.

When Tintoretto painted the *Last Supper*, the significance of the Eucharist was a traditional Catholic belief disputed by Reformation leaders. Denying Christ's physical existence in the Eucharist, Reformation leaders questioned the Catholic doctrine called

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[4] Nobert Huse and Wolfgang Wolters briefly mentions this mendicant figure in *Art of Renaissance Venice, Architecture, Sculpture, and Painting, 1460-1590*, trans. Edmund Jephcott, Chicago and London: University of Chicago Press, 1990, p. 337.

[5] Maurice E. Cope, *The Venetian Chapel of the Sacrament in the Sixteenth Century*, New York and London: Garland Publishing, 1979, pp. 90-175.

[6] Tracy Elizabeth Cooper, "The History and Decoration of the Church of San Giorgio Maggiore in Venice," Ph.D. diss., Princeton University, 1990, pp. 226-269.

[7] David Rosand, *Painting in Sixteenth-Century Venice,* revised ed., Cambridge: Cambridge University Press, 1997, pp. 153-159.

Real Presence.[8] Although Martin Luther's attack was mild, John Calvin and Ulrich Zwingli, for example, firmly denied this doctrine.[9] Calvin thought that Christ was only symbolically, not substantially, present in the bread and wine.[10] In criticizing the Catholic doctrine more severely, Zwingli claimed that the Eucharist was nothing but bread and wine.[11] In addition to the contents of the Eucharist, a certain aspect of Eucharistic practice became controversial—that is, the sacrifice of the Mass.[12] Prior to the communion of the Eucharist during the Catholic Mass, priests dedicate the bread and wine to God the Father in memory of Christ's sacrifice. Christ became sacrificed every time priests dedicated the bread and wine to God the Father during the Mass. This "non-bloody" sacrifice of the Eucharist exasperated Protestants. According to Luther and other Reformation theologians, Christ died only once and was resurrected eternally in heaven. The Protestants found no reason to sacrifice Christ repeatedly at the altar.

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[8] For Reformation theological disputes on the doctrine of Real Presence, see Jaroslav Pelikan, *Reformation of Church and Dogma (1300-1700)*, Chicago and London: University of Chicago Press, 1984, pp. 158-161.

[9] Luther wrote: "For I must always confess that Christ is present when his body and blood are present. His words do not lie to me, and he is not separated from his body and blood." Martin Luther, "The Adoration of the Sacrament (1523)," in *Luther's Works*, ed. Abdel Ross Wentz, Philadelphia: Muhlenberg Press, 1959, vol. 36, p. 294.

[10] In stressing the s*ymbolic* presence of Christ, Calvin wrote, "…in the Sacrament we are led by a sort of analogy to spiritual things. Thus, when bread is given as a symbol of Christ's body, we must at once grasp this comparison: as bread nourishes, sustains, and keeps the life of our body, so Christ's body is the only food to invigorate and enliven our soul." John Calvin, *Institution of The Christian Religion,* ed. John T. McNeill, trans. Lewis Battles, Philadelphia: Westminster Press, 1960, p. 1363.

[11] Zwingli explained, "Thus it becomes clear that Christ wished to give us bread and wine as food and drink, because as these two are combined each into one body from numberless grains or atoms of flour or drops of the juice of the vine respectively, so we come together into one faith and one body." He then stated, "I have now refuted, I hope, this senseless notion about bodily flesh. In doing that my only object was to prove that to teach that the bodily and sensible flesh of Christ is eaten when we give thanks to God is not only impious but also foolish and monstrous..." Ulrich Zwingli, *Commentary on True and False Religion*, eds. Samuel Macualey Jackson and Clarence Nevin Heller, Durham, North Carolina: Labyrinth Press, 1981, pp. 216 and 232.

[12] For an explanation of the Reformation theological dispute over the sacrificial Mass, see Clark Francis, *Eucharistic Sacrifice and the Reformation*, London: Newman Press, 1960, pp. 99-115.

In response to the theological debates raised by Reformation leaders, the Catholic Church reconfirmed its traditional belief and practice concerning the Eucharist at the Council of Trent. During the thirteenth session in 1551, the Church decreed the doctrine of Real Presence.[13] The decree pronounced that "…after the consecration of bread and wine, our Lord Jesus Christ, true God and true man, is truly, really, and substantially contained in the august sacrament of the Holy Eucharist under the appearance of those sensible things."[14] While stressing that Christ instituted the Eucharistic practice at the Last Supper, the Church also explained that the faithful needed to consume the Eucharist, since it would atone for their sins and promise eternal salvation.[15] Apart from the communion of the Eucharist, the sacrifice of the Mass was proclaimed during the twenty-second session in 1562.[16] The Church declared that the sacrifice of the Mass was indispensable to redeem the faithful. As human beings would commit sins everyday, they needed, "with sincere heart and upright faith, with fear and reverence," to offer Christ's sacrifice to God the Father.[17] According to the Tridentine decree, this bloodless sacrifice pleases God the Father who, in return, would offer mercy to the faithful.[18]

In visually confirming these Tridentine doctrines, Tintoretto's painting is linked to the religious ceremonies in three respects: environment, theme, and depiction. In terms of environment, Tintoretto's *Last Supper* is part of the renovation program, which was designed to enhance Eucharistic rituals at the high altar of San Giorgio Maggiore.

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[13] Henry Joseph Schroeder, *Canons and Decrees of the Council of Trent*, 4th ed., Saint Louis and London: B. Herder Book, 1960, pp. 72-80.

[14] Ibid., p. 73.

[15] Ibid., pp. 72 and 74.

[16] Ibid., pp. 144-150.

[17] Ibid., p. 146.

[18] Ibid., p. 146.

The painting decorates the sidewall of the presbytery, where priests perform Eucharistic rituals at the Mass.[19] In order to enhance the visibility of the Mass, the Benedictines removed relics from the old high altar and commissioned Girolamo Campagna to build a new, colossal structure.[20] In 1592, he designed the bronze figures of the evangelists supporting an enormous globe.[21] And at its base was the tabernacle, which contained the Eucharist.[22] Viewed from a distance, this new high altar dominates Andrea Palladio's church interior, which is stripped of decoration. Against the whitewashed walls accentuated with plain columns, the colossal altar stands out, an effect desired by the Benedictines. In 1604, Francesco Sansovino's edition of Venetian history indicated that the new high altar immediately drew the visitor's attention upon entering the church.[23] In

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[19] Regarding Renaissance liturgies performed at San Giorgio Maggiore, Tommaso Lecchisotti discusses sixteenth-century missals used by the Cassinese Congregation, the Benedictine religious group which reorganized the church. See Tommaso Lecchisotti, "Contributo alla storia liturgica della Congregazione di S. Giustina: il suo <<Missale monasticum>>," *Miscellanea Giovanni Mercati*, Vatican City: Biblioteca Apostolica Vaticana, 1946, vol. 5, pp. 364-365. Although Lecchisotti introduces a 1580 edition of missal written by Benedetto Guidi, a monk at San Giorgio Maggiore, he only mentions its present location as the "fondo Barberini," without any call number (p. 366). Lecchisotti mentions that the Cassinese congregation used its own missal until the era of Paul V and thereafter, the religious group followed the Roman missal. He explains that the Cassinese missal is generally similar to the Roman version except for the oration called *Aufer a nobis* and the restricted number of prefaces (pp. 373-374). For convenience, the Roman Catholic missal is consulted in this essay. *Roman Missal, The Sacramentary*, Collegeville, Minnesota: The Liturgical Press, 1974, pp. 403-541. For a handbook on the Roman missal, see "The Liturgy of the Eucharist" in *General Instruction of the Roman Missal*, Washington D. C.: United States Conference of Catholic Bishops, 2003, pp. 37-45.

[20] Cooper, pp. 229-231. On the Catholic veneration of the host, see Yrjö Hirn, *The Sacred Shrine, A Study of the Poetry and Art of the Catholic Church*, Boston: Beacon Press, 1957, pp. 111-136.

[21] David McTavish, "A Drawing by Girolamo Campagna for the High Altar of San Giorgio Maggiore," *Art veneta* 34 (1980), pp. 165-168. For an illustration and description of the high altar, see Leopoldo Cicognara, et al., *Le fabbriche e i monumenti cospicui di Venezia*, Venice: G. Antonelli, 1840, vol. 2, p. 118.

[22] This redesigning follows Carlo Borromeo's instructions concerning the placement, form, and materials of the tabernacle: "The size of the tabernacle should be in keeping with the importance, magnitude, and proportion of the church in regard to the main altar on which it is to be placed." Evelyn Carole Voelker, "Charles Borromeo's *Instructiones fabricae et superllectilis eccelestasticae*, 1577, A Translation with Commentary and Analysis," Ph.D. diss., Syracuse University, 1977, p. 161.

[23] "Principalmente adunque dico, che nell'entrar, che si fa in lei, vi si rappresenta innati a gli occhi l'altar maggiore…" in Francesco Sansovino, *Venetia, città nobilissima et singolare*, ed. Giovanni Stringa, Venice: A. Salicato, 1604, 166v (available in microfilm); also mentioned in Cooper, pp. 230-231.

order to increase the visibility of the high altar, the Benedictines also replaced the choir.[24] In medieval churches, the choir, where the monks sat during the Mass, occupied an area in front of the altar and blocked the view of the ceremony. At San Giorgio Maggiore, the Benedictines removed the choir to the back of the presbytery.

Apart from stressing the prominence of the high altar, the Benedictines further decorated the presbytery with visual arts related to the Eucharistic Mass. On the sidewall near the monastery is placed Tintoretto's *Last Supper*, a biblical event during which Christ instituted the Eucharist.[25] Although the *Last Supper*'s original location is questionable—whether it adorned on the visitor's right or left wall of the presbytery—the painting most likely occupied the right wall as it does today.[26] Opposite the *Last Supper*

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[24] On the removal of the choir, see James Ackerman, "Observations on Renaissance Church Planning in Venice and Florence, 1470-1570," *Florence and Venice: Comparison and Relations, Acts of Two Conferences at Villa I Tatti in 1976-1977*, organized by Sergio Bertelli, et al, Florence: La Nuova Italia Editrice, 1980, vol. 2, pp. 298-302

[25] On the decorations in the presbytery and their relation to the Eucharistic Mass at the church, see Cooper, pp. 217 and 245-246.

[26] In 1619, the abbot of San Giorgio Maggiore, Fortunato Olmo, reported the extraordinary experience of observing the long table painted in the *Last Supper*: "Ed è maravigliosa arte nascosta in questa tavola, e forse ch'è stata da noi prima avvertita, che si rivoglie la mensa tutta in scorcio, comè dicono, perchè a quelli di entrati in Chiesa s'accostano all'Altare, pare avere l'estremo della tavola, o mensa rivolta verso le stessi, e camninando poi più avanti sin dietro l'organo, si rivolge tutta al contrario, ed assai più lunga parendo viene ad aver rivolto il detto estremo nell'oposito di quello parera prima insieme con tutte le persone, che si veggono a tavola." Such an experience is only achievable through the painting's current location. Upon entering the church, viewers would find the end of the table near to them, or the table being parallel to them. As they walk towards the choir, the table revolves and begins to appear much longer. Fortunato Olmo, *Istoria dell'isola di S. Georgio Maggiore di Venezia* (1619), Venice: Biblioteca Seminario Patriarchale, Ms. 602 (681), 377v-378. This manuscript has not been published (the expert is introduced in Cooper, p. 231). Olmo's description influenced Giovanni Rossi's mid-nineteenth century text: "…essa [la tavola] è in iscorcio [scorcio], in maniera che per quelli che ascendono al santuario sembra che l'estremità della mensa sia rivolta verso d'essi, ma camminando poi più avanti, e andando dietro all'organo, rivolgesi tutta al contrario, e sambra anzi più lunga…" Giovanni Rossi, "Storia del Monastero di San Georgio Maggiore," in Emanuele Antonio Cicogna's *Delle inscrizioni veneziane*, Venice, 1834 (repr. Bologna: Forni Editore, 1969), vol. 4, p. 267. Although Carlo Ridolfi did not specify the painting's location, he mentioned the table's bizarre angle: "Poi ne' lati della Capella Maggiore della Chiesa stessa operò due gran quadri, col miracolo della manna & la Cena di Christo con gli Apostoli nell'altro, facendovi la mensa in istravagante positura, che da una lampada appesa nel mezzo viene illuminata." Carlo Ridolfi, *Vite dei Tintoretto* [1648], Venice: Filippi Editore, 1994, p. 89. A translated version is available in *The Life of Tintoretto and of His Children Domenico and Marietta*, trans. Catherine and Robert Engress, University Park and London: Pennsylvania State University Press, 1984, p. 66. Rodolfo Pallucchini and Paola Rossi do not discuss the issue of the painting's location, simply writing,

is Tintoretto's other work, *The Gathering of Manna*. The Manna is a prototype of the Eucharistic bread, and these two paintings form Old and New Testaments typology.[27] Through these two paintings, Tintoretto presented the Eucharist as a new Manna; while the Manna keeps the Jews alive in desert, the Eucharist saves Christ's followers eternally in heaven. Tintoretto linked these scenes of the day (the *Gathering of the Manna*) and night (the *Last Supper*) with large figures in the foreground. He also visually connected the figures of Moses and Christ through applying red and blue clothes. Below the paintings are located wooden reliefs. According to Cooper, the reliefs, too, make reference to the Eucharistic rituals.[28] The reliefs include the story of the Supper at Emmaus, in which the apostles recognized Christ when he broke the bread. Thus, this biblical story has some parallels with "our" recognition of Christ in the Eucharistic bread. The reliefs also depict the Passover, the prototype of the Last Supper, while other scenes refer to the sacrifice of the Mass in portraying the Sacrifice of Isaac, the Slaying of Abel, and the Martyrdom of St. Stephen.[29] In short, Tintoretto's *Last Supper* is part of the visual backdrop to the ceremonies, which took place at the high altar, where the sacred sacrament is preserved.

Within the physical environment of the presbytery, Tintoretto's choice of the theme also actively relates the painting to the Eucharistic rituals at the high altar. According to Cope, Renaissance artists depicted roughly three scenes from the Last

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"parete destra del Presbitero." Such a description does not specify whether the scholars mean the viewer's or the priest's right side. Rodolfo Pallucchini and Paola Rossi, *Tintoretto: le opere sacre e profane*, Venice: Alfieri, 1982, p. 234.

[27] The relationship between Tintoretto's *Last Supper* and *Gathering of Manna* has been examined in Nicola Ivanoff, "Il ciclo eucaristico di S. Giorgio Maggiore a Venezia," *Notizie da Palazzo Albani* 4 (1975), pp. 50-57 and "The Paintings in San Giorgio Maggiore," *Apollo* 104 (1976), pp. 39-47.

[28] Cooper, p. 217.

[29] Ibid., p. 217.

Supper.[30] The first theme is the betrayal of Judas. In church refectories, fifteenth-century artists, such as Andrea del Castagno, Domenico Ghirlandaio, and Leonardo da Vinci, distinguished Judas from the other apostles or portrayed their psychological reactions to the announcement of the betrayer. The second theme, the consecration of the bread, became particularly popular after the Council of Trent.[31] Often decorating a confraternity's meeting room or a sacramental chapel, a painting with this theme portrays Christ placing his hand on the bread. While the consecration of the bread also corresponded with the Eucharistic Mass, Tintoretto chose to paint a more active theme, the communion of the apostles or divine feeding, which similarly became popular during the Counter Reformation. Although medieval lay congregations did not necessarily take the communion at every Mass, the post-Tridentine Catholic Church strongly urged the efficacy of partaking of the communion very often, possibly daily.[32] In Tintoretto's *Last Supper*, Christ puts the bread into an apostle's mouth, and this theme of divine feeding visually corresponded with the post-Tridentine Mass which included the Communion of the Sacrament ever more often.[33]

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[30] This argument is a simplified version of Cope's more complicated explanation. Cope, pp. 95-135. As he notes, many paintings portray ambiguous themes, sometimes representing more than one. Leo Steinberg discusses the complexity of Leonardo's theme in "Leonardo's Last Supper," *The Art Quarterly* 36 (1973), pp. 297-410. Tintoretto's *Last Supper* at San Giorgio Maggiore also depicts both the betrayal of Judas and divine feeding.

[31] According to Cope (p. 98), some works depicting the consecration of the bread existed before the Council of Trent, although small in number. The most important example is Justus van Ghent's *Last Supper* (1474) painted for the church of the Corpus Christi in Urbino.

[32] On medieval communion, see E. Day, "Communion, Frequency of," *New Catholic Encyclopedia*, Washington D.C.; The Catholic University of America, 1967, vol. 4, p. 38. The twenty-second session, 1562, at the Council of Trent: "The holy council wishes indeed that at each mass the faithful who are present should communicate, not only in spiritual desire but also by the sacramental partaking of the Eucharist, that thereby they may derive from this most holy sacrifice a more abundant fruit." Schroeder, p. 147.

[33] Cope, p. 134.

A closer investigation into Tintoretto's depiction of divine feeding recalls the Eucharistic rituals at the high altar. Just like a priest during the communion, the figure of Christ repeats the act of distributing the bread. In the painting, Christ stands and extends his arms in order to offer the bread, as if illustrating the liturgical passage: "Take this and eat; this is my body."[34] Tintoretto further reconfirms Christ's initiation of the Eucharist through highlighting his image in the painting. Wearing red and blue clothes, Christ is depicted in the brightest colors; other figures are dressed with dark and brownish robes. Illuminated by his large halo, the figure of Christ and his own action stand out against the background cast in deep shadows. In response to Christ's offering, an apostle lowers his head in a manner similar to that of worshipers who bend their knees or bodies to receive the holy sacrament. The chalice-like object on the side table and the piece of bread that Christ is giving to the apostle also echo the Eucharist. Instead of a large round loaf, which Tintoretto illustrated in other works of the Last Supper, the figure of Christ offers a small wafer used during the actual Mass. In short, Christ becomes priest, and the table becomes the altar in Tintoretto's painting.[35]

In correspondence with the actual Mass, a peculiar depiction in the painting further suggests a liturgical doctrine. Tintoretto painted glasses and pitchers as transparent; they may contain white wine, but they could be empty. In any case, Tintoretto deemphasized the wine inside, and a possible explanation for this unusual depiction is that he illustrated the doctrine of One Species.[36] Decreed at the Council of Trent, this canon declares that either bread or wine may be a substitute for the whole

[34] Matthew 26:26. See also Mark 14: 22.

[35] Cope (p. 133) also notes Christ's role as a priest, the table's function as the altar, and the small bread's resemblance to the wafer used during the Mass.

Eucharist.[37] In other words, worshipers can take only bread to complete the communion.[38] The doctrine of One Species emerged out of the necessity of avoiding the distribution of wine to a large congregation, since it could possibly be spilled during the Mass.[39] In Tintoretto's painting, Christ reconfirms the Tridentine decree and demonstrates that the consumption of the bread only is sufficient to gain salvation through administrating the Eucharistic ritual without wine. Such depiction differs from that of other Eucharistic works, in which Tintoretto and his workshop portrayed glasses and pitchers filled with red wine.

In addition to the precise correspondence between the pictorial details and the liturgical rituals, a more abstract aspect in Tintoretto's painting refers to the Eucharistic Mass. The painting's mystic atmosphere contributes to the sanctification of the religious rites at the high altar. As priests transform the bread and wine into Christ's body and blood, the Mass itself becomes a miracle. In the painting, Tintoretto recaptures the mysticism of the Eucharistic Mass through the dramatic and unnatural depiction of the scene. While many other Renaissance paintings of the Last Supper portray the biblical scene infused with daylight, Tintoretto's painting depicts a night scene. In Tintoretto's dark painting, the smoky beams of light mysteriously illuminate the room and turn into flying angels. Tintoretto dramatically foreshortened the ghost-like silhouette of these angelic figures glowing in the darkness. The poses of other figures are also dramatic and mysterious. At the moment of divine feeding, an apostle in the background strangely

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[36] On the doctrine of One or Both Species, see Pelikan, pp. 122-125.

[37] The twenty-first session, 1562; Schroeder, pp. 132-135.

[38] "…laymen and clerics when not offering the sacrifice are bound by no divine precept to receive the sacrament of the Eucharist under both forms, and that there can be no doubt at all, *salva fide*, that communion under either form is sufficient for them to salvation." Ibid., p. 132.

opens his arms, and a female servant in the foreground repeats his action as she similarly widens her arms. She hands white substances to a male servant who extraordinarily twists his body and looks back at her.[40] The figure's foreshortening and muscular anatomy recall Michelangelo's style.[41] Indeed, Tintoretto studied models cast after Michelangelo's works, such as the Medici statues and the *Samson and the Phillistines*.[42] In arranging Michelangelo-type figures within a strange perspective, Tintoretto exaggerated the diminishing size of the figures along the table. In doing so, he avoided stillness in the painting through varying the level of the apostles' heads. The sharp angle of the table is also dramatic and unexpected. In order to visualize the theatrical composition, Tintoretto might have composed a box with wax figures for this painting. Tintoretto's biographer, Carlo Ridolfi, reports that the artist often created such devises to study theatrical effects.[43] In representing a mysterious and dramatic biblical scene, Tintoretto's *Last Supper* further mystifies the Tridentine Eucharistic rituals taking place at the high altar. Tintoretto nevertheless remembered to connect the biblical miracle with the visitor's daily experience through applying humble clothes to the holy figures and placing them within a common architectural setting.

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[39] Pelikan, p. 302.

[40] Beatrice Peria also notes that Tintoretto's peripheral figures animate his Last Suppers in "Tintoretto e l'Ultima Cena," *Venezia cinquecento* 7 (1997), p. 83.

[41] On Tintoretto's studies after Michelangelo, see Marco Chiarini, et al, *Jacopo Tintoretto 1519-1594, Il grande collezionismo mediceo*, Florence: Centro Di, 1994, pp. 98-101 and Nichols, pp. 52-59.

[42] According to Ridolfi (p. 7), Tintoretto owned Daniele da Volterra's models created after Michelangelo's Medici statues and studied them under a lamp in order to obtain dramatic effects: "…cioè l'Aurora, il Crepuscolo, la Notte & il Giorno, sopra quali fece studio particolare, traendone infiniti desegni à lume di lucerna, per comporre mediante quelle ombre gigliarde, che fanno que' lumi, una maniera forte e rilevata." Raffaello Borghini also notes Tintoretto's collection of models cast after Michelangelo's statues in *Il riposo* [1584], Milan: Edizioni Labor, 1967, p. 551.

[43] Ridolfi, p. 17.

Yet, the Tridentine doctrine is not the only historical factor that characterizes Tintoretto's *Last Supper*. The male figure, which is standing at the edge of the table and helping to frame the composition, also links the painting to the Venetian social ideal of charity. Largely ignored in scholarship, this figure wears clothes with patches of fabric on the shoulder and the knee. The hem is especially irregular and worn out. Deprived of enough clothes to cover the whole body, the figure exposes his shoulder. An observation of the figure's attire readily specifies his identification as a beggar, although a more challenging task is to answer why Tintoretto included a mendicant in the scene of the Last Supper.

The story of the Last Supper is theologically viewed as a manifestation of Christ's charity. During the Last Supper, Christ offered bread and wine, that is, his own body and blood—the supreme act of charity. The idea of charity is thus connected with the Last Supper, during which Christ performed the sacrificial ritual of his own life. In fact, Tintoretto had expressed the concept of charity in several paintings of the Last Supper. In the *Last Supper* located in the church of San Marcuola in Venice (1547), Tintoretto painted the personification of charity. Two large female figures flank the central scene in this work; while Faith carries a chalice, Charity holds an infant.[44] In the San Polo *Last Supper* (1574-1575), Tintoretto represented the act of charity and mendicant figures themselves.[45] In this work, two apostles dramatically turn their back and give the bread

[44] Rosand, p. 153.

[45] The identification of these figures as mendicants is further confirmed with Paolo Pizza's painting, *The Baptism of St. Paul*, which was also commissioned by the same patron, the Scuola del Sacramemto at San Polo. Tintoretto's *Last Supper* and Paolo Pizza's painting formed a pair, placed in the same church on the walls opposite to one another. In Paolo Piazza's painting, the figures representing the members of the *scuola* offer the bread to the mendicants. For the pair of paintings in San Polo, see Thomas Worthen, "Tintoretto's Paintings for the *Banco del Sacramento* in S. Margherita," *Art Bulletin* 78 (1996), pp. 724-726.

or fruit to the mendicants, who extend their hands to reach the bestowed objects. Similarly, Tintoretto painted figures of supplicants in the *Last Supper* (c. 1576), which is now situated in San Stefano in Venice.[46] Although the identification of the female figure is uncertain, the figures of a man in the foreground and a boy in the background clearly represent mendicants. While they hardly wear clothes, the boy extends his arm in a begging gesture. In Venice, however, Tintoretto was not alone in painting mendicant figures in scenes of Last Suppers. Palma il Giovane included mendicant figures in the *Last Supper* (1585) located in San Moisè and another *Last Supper* (1586) in Santa Barnaba. In the *Last Supper* (c. 1585) of Santa Sofia, Veronese also painted a girl offering food to a supplicant boy who kneels down on the ground.

The representation of charity is quite appropriate for these paintings by Tintoretto, Palma, and Veronese, since they were works commissioned by the Scuola del Sacramento, or the confraternity of the sacrament.[47] The Scuola del Sacramento belonged to the category of the *scuola piccola*. Unlike large and wealthy institutions of the *scuola grande*, the Scuola del Sacramento did not own its building but occupied part of a parish church. The scuola's missions were the preparation of the Eucharist for the Mass and the decoration of the sacramental chapel in each church. Just like the *scuola grande*'s duty, the Scuola del Sacramento's mission also included charity. Thus, it was appropriate and important for the Scuola del Sacramento to combine the idea of the Eucharist and charity into the works of the *Last Supper*, which the institution often commissioned to decorate their meeting spaces and sacramental chapels.

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[46] This painting originally decorated the church of Santa Margherita.

[47] On the functions and patronage of the Scuola del Sacramento, see Paul Hills, "Piety and Patronage in Cinquecento Venice: Tintoretto and The Scuole del Sacramento," *Art History* 6 (1983), pp. 30-43 and Worthen, pp. 707-732.

It was, however, not the Scuola del Sacramento that commissioned Tintoretto's painting in San Giorgio Maggiore. His patrons were the Benedictines, which differed from the Scuola del Sacramento.[48] Although monks could be their advisors, members of Venetian confraternities were usually lay people.[49] Just like the Scuola del Sacramento, though, the Benedictines also shared a concern for charity. Saint Benedict, the founder of the religious order, inscribed *The Rule*, the codes of law for the monks. In *The Rule*, Saint Benedictine instructs that when Benedictine monks receive guests, especially pilgrims and the poor, they need to host the visitors warmly, because in them Christ is truly welcomed.[50] This Benedictine view of charity may have shaped the contents of Tintoretto's painting, although the reference to the poor consists of only a few passages in Saint Benedict's *Rule*.

Personal reason and artistic convention may equally explain Tintoretto's inclusion of the mendicant figure. Although Tintoretto was not a member of the Scuola del Sacramento, he belonged to the Scuola Grande di San Rocco, a lay confraternity whose main objective was also charity. Thus, piety and charitable concerns could have led Tintoretto to portray a beggar. Yet, a mendicant figure was also a popular motif in Renaissance art. Tintoretto had already painted several mendicant figures in the works of the Last Supper, and he could have illustrated another one in San Giorgio Maggiore. Indeed, beggars became part of a widespread iconography in the Venetian representations of the Last Supper, as seen in the paintings of Palma il Giovane and Veronese.

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[48] On a general account of the Benedictines, see Anna Jameson, *Legends of the Monastic Orders*, Boston and New York: Houghton, Mifflin and Company, 1891, pp. 39-64.

[49] In the case of the *scuola* at San Cassiano, Hills (p. 41, fn.9) notes that members were mostly merchants and artisans. See also, Brian Pullan, *Rich and Poor in Renaissance Venice,* Cambridge, Massachusetts: Harvard University Press, 1971, p. 121.

Viewed from a larger perspective, the social atmosphere in Renaissance Venice welcomed such mendicant iconography. In fact, charity or poor relief was a crucial social concern for the Venetian Republic. According to Brian Pullan, the Venetian state and private institutions sought to rescue the poor living within the city for religious and social reasons. Religious motivation derived from the fundamental Christian teaching, "love your neighbors as thyself."[51] Ultimately, helping others meant salvation for one's own soul. Social incentive also emerged out of the necessity to prevent epidemics and to control public morality. Renaissance Venice often suffered from famine due to frequent agricultural disasters, which caused impoverished farmers and citizens to rush into Venice from the *terraferma*. Unable to find employment in the city, immigrants then became beggars. Poverty eventually caused epidemics, such as plague and typhus, which wiped out large numbers in Venice.[52] The poor, who survived, committed crimes, and women went into prostitution. Against the poor, the Senate passed several laws which strictly prohibited the act of begging in the city.[53] The Senate also raised taxes from Venetian citizens to build shelters for the poor and destitute, while at the same time instructing parish churches to collect alms for them.[54] In the private realm, the members of confraternities and hospitals directed charitable activities and taught Christianity to the poor so that they might receive God's grace.[55] Concerning the future of insolvent

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[50] Benedict of Nursia, *The Rule of Saint Benedict: in Latin and English*, ed. and trans. Justin McCann, Westminster, Maryland: Newman Press, 1952, p. 121.

[51] Matthew 19:19.

[52] Pullan, pp. 224-225 and 240-252.

[53] On occasional controls against begging and the "license" issued for public supplication, see ibid., pp. 221, 238, 248, 285, 298, and 301.

[54] The poor law of April 1529, Archivio di Stato, Venice, *Senato*, *Terra*, reg. 1529, ff. 125v.-127; Pullan, p. 253

[55] Ibid., pp. 33-196 and 272.

children, these institutions sent girls to nunneries and trained boys as sailors.[56] The Venetian Republic also organized cheap credit for the poor. They were able to obtain money with low interest from an institution called the Monti di Pietà or from the Jews, who were ordered to do so by the Republic.[57] The act of charity sometimes took the form of public procession. On the feast of Corpus Christi, which is related to the Last Supper in commemorating the institution of the Eucharist, members of the Senate walked with mendicants side by side.[58] Overall, the Venetian Republic was particularly concerned with charitable activities in order to maintain social stability.[59]

Representing the social concern for charity was appropriate for San Giorgio Maggiore, since the church was a major public space in Venice. San Giorgio Maggiore was one of the largest Venetian churches and preserved many significant relics, which supposedly protected the city.[60] Among the six side chapels in the nave of the church, five chapels contain relics, such as those of Saints George, Lucy, Cosmas and Damian, Eutichio, and James the Less. Between the church and the adjacent monastery is located the Cappella dei Morti, which preserves the corpus of Saint Paul Martyr. Above all, the most crucial relic for the church is the body of Saint Stephen Protomartyr in the chapel of

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[56] Girls were taught Christian virtues to become housewives and nuns at orphanages. See Pullan, pp. 389-394. On boys, see ibid., pp. 299 and 306-307.

[57] Ibid., pp. 431-625.

[58] Giuseppe Tassini, *Curiosità veneziane*, Venice: Alzetta e Merlo, 1887, p. 209 and Ermolao Paoletti, *Il Fiore di Venezia*, Venice: T. Fonatana, 1840, vol. 3, p. 47; cited in Cope, p. 121.

[59] Pullan (p. 641) concludes, "In the Venetian Republic, the aim behind the most poor relief was the preservation of the existing social and political order, of a disciplined and moral society, as a means to securing the salvation of the greatest possible number—both of rich and of poor. The efficacy of poor relief in Venice and its dominions may have contributed to the legendary stability of the Venetian government in the sixteenth and early seventieth century."

[60] On the Venetian state's control over the relics in the city, see Antonio Niero, "Relique e corpi di santi," *Culto dei Santi a Venezia*, ed. Silvio Tramontin, Venice: Edizioni Studium Cattolico Veneziano, 1965, pp. 181-208.

the east transept.[61] Accompanied with a large public procession, an annual feast at San Giorgio Maggiore celebrated the feast of Saint Stephen, the first Christian martyr. On the vigil and the feast of Saint Stephen (December 25th and 26th), the Doge, together with lavishly attired princely guests and entourages, carried a ceremonial spear and crossed the canal to the island of San Giorgio in order to attend the church Mass.[62] This magnificent ceremony was one of the limited occasions of *andate*, during which the Doge made public appearance in procession.[63] Another special public procession was organized at San Giorgio Maggiore on the event of translating Saint Stephen's body in 1581. Benedictine monks moved the relic from the old high altar to the new chapel in the transept, and this event took place with a grand public procession accompanied by the Doge, the Senate, and many participants.[64]

Adorning the church with major public functions, Tintoretto's *Last Supper* recalls the wider social ideal of charity. Although the mendicant figure is located far from the viewers, he stands on the platform, thus raising his stature and significance in the

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[61] On relics at the church of San Giorgio Maggiore, see Francesco Sansovino, *Venetia, Cittá nobilissima et singolare*, Venice: I. Sansovino, 1581, p. 82 and Cooper, pp. 311-332.

[62] Marino Sanuto's diary mentions the feast of Saint Stephen on various occasions. The diary indicates that the Doge avoided the visits to the church on rainy days. On the 25th of December in 1526, he wrote, because "piovete un poco," "il Serenissimo terminò non andar a messa a San Zorzi [Giorgio]," and instead, the Doge and his associates went to San Marco. Afterwards they had a banquet, which was "laudissimo et bello, iusta il consueto di questo Principe che fa bellisimi pasti et veste benissimo." Marino Sanuto, *I diarii*, Bologna: Forni, 1969-1970, vol. 43, p. 507. The bad weather again prevented the procession across the lagoon on the feast of Saint Stephen in 1527 (vol. 46, p. 406). In 1531, due to the rain, "il Serenissimo non volse andar a la messa con li piati a San Zorzi [Giorgio]" (vol. 55, pp. 292-293). In addition, Sanuto's diary notes lavish costumes of participants: "Il Serenissimo, vestito d'oro di soto, manto di raso cremexin [cremisino?], et il bavaro [bavero?] de armelini" (1530, vol. 59, p. 190 and 1532, vol. 57, p. 376).

[63] Andrew Hopkins introduces some of the events that took place on the feast of Saint Stephen in "The Influence of Ducal Ceremony on Church Design in Venice," *Architectural History* 41 (1998), p. 39. He examines the 1590 ceremonial book written by the Master of Ceremonies for Doge Pasquale Cicogna. Preserved in Venice's Biblioteca Nazionale Marciana, this text is available only in manuscript form. The book notes the ceremonies at Palladio's newly built churches in Venice.

[64] Rossi; in Cicogna, p. 265.

painting. As the figure of Christ bends his body towards the beggar, who also lowers his torso, the two figures create an arch, which spiritually connects each other in the painting. The figures of Christ and the apostles are situated in row along the long table, and the mendicant figure further continues the Christ-apostles line, as he is positioned at the far end of it. As Christ feeds an apostle and eventually the other disciples, the beggar's position at the end of the line may anticipate Christ's offering of the bread to him. Ultimately, the mendicant's presence in the holy scene confirms that charity is an emulation of Christ's own act. In attending the holy event, the beggar crosses his arms in humility and turns his body to the viewers. His inclusion in the Last Supper scene would have underscored the meaning of charity to many Renaissance viewers who were engaged in charitable activities or, at least, concerned with such affairs. Similarly, another act of offering may allude to charity. In the foreground of the composition, the large figure of a female servant presents a number of small white substances, perhaps pieces of bread or Manna. As she twists her torso and extends her arms, her dramatic pose draws the viewers' attention. Kneeling near to the viewers, the female figure is offering the food, possibly to the viewers, as an extension of Christ's charity. These allusions to benefaction in Tintoretto's *Last Supper* would have recalled the social significance of charity for Renaissance visitors and worshipers to the church.[65]

While inspiring piety and charity among the viewers, Tintoretto's *Last Supper* visually reconfirms the Tridentine decree concerning the significance of the Eucharist

[65] Although the mendicant figure does not directly derive from the Bible, the painting still follows the Counter Reformation notion of sacred art of inspiring charity and ultimately piety. Tintoretto's depiction of the biblical scene notably differs from Veronese's portrayal of the *Feast at the House of Levi* in which he included a multitude of non-biblical figures dressed lavishly while engaged in secular pursuits. For Veronese's replies during the Inquisition, see Robert Klein and Henri Zerner, *Italian Art 1500-1600*, Englewood Cliffs, New Jersey: Printice-Hall, 1966, pp. 129-132.

and the city's social ideal of charity. Illuminating the significance of the Eucharist, the figure of Christ stands with extended arms and places a small piece of bread in front of his disciple's mouth. An examination of the *Last Supper*'s architectural setting, theme, and Tintoretto's depiction of the scene clarifies the relationship between the painting and the Eucharistic rituals held at the high altar. In serving as a backdrop of liturgical ceremonies, the painting visually reconfirms the significance of the Eucharist, the Catholic decree proclaimed at the Council of Trent. Viewed from a wider perspective, the *Last Supper* similarly works as the visualization of Venice's social axiom. In allusion to the social ideal of charity, a mendicant figure, who is wearing worn-out clothes, prominently stands in front of the scene of divine feeding, which itself is Christ's supreme act of charity. An investigation into various portrayals of charity in Tintoretto's works of the Last Supper, patronage, and public functions of San Giorgio Maggiore relates the painting to the Venetian state's social ethics of charity. In portraying Eucharistic and charitable themes, Tintoretto's *Last Supper* expresses both religious and socially sanctioned ideals of the Venetian Republic. In the mysterious scene of the *Last Supper* filled with dramatic and innovative expressions, Tintoretto visually offered two methods of salvation, the partaking of Christ through Eucharistic consumption and the emulation of Christ through charitable benefaction.

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Abstract

Challenges international students face at tertiary level: Exploring international students' previous and current learning behaviour

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This presentation explores how international students learn and achieve academic success. The paper will first look at the background literature and then present the findings of a study conducted at a tertiary institution for international students in Auckland, New Zealand.

The study used a self-report questionnaire to obtain the primary data. The quantitative section of the questionnaire explored students' learning by asking them to rate the frequency of their previous and current learning behaviours. The qualitative section asked open-ended questions in order to gain further insights into the process of learning. Pedagogical implications of any findings regarding learning behaviour will be considered in the light of their relationship to end-of-course results.

In the light of the results of the study described above, workshop participants will be asked to consider ways in which students might be assisted to achieve success in their chosen courses. Participants will also be encouraged to suggest useful directions for further research into how educators might facilitate successful learning outcomes for their students.

Application of Physical Wellness for Higher Achievement in the Music Profession

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Abstract of Workshop

"Present day instrumental teaching is based on intuition". This was stated by Dr. Géza Kovács (1916-1999) a renowned Hungarian researcher, professor, and athlete who dedicated 40 years of his life to bringing about a change in the situation expressed above. By this he meant that music teaching and music profession would incorporate research findings pertaining to the physical body that plays a crucial role in instrumental playing.

In addition, the professional demands made upon musicians continually rise. Therefore, it is most important that musicians measure up to these intensified and broadened professional demands. There are new methods of enabling musicians to improve their effectiveness in work. One of these methods is the *The Care of Musicians' Work Capacity,* or *The Kovács Method.*[1]

Dr. Kovács, scientific researcher, developed his special program for musicians based on the research that he did together with his associate Dr. Zsuzsa Pásztor, pianist, during forty years (1959-1999) at the Ferenc Liszt Academy of Music in Budapest, Hungary, focusing on musicians' occupational-related problems.[2] International physical wellness literature reveals that research in the same area started in different countries at the same time.[3] The center of these activities was the United States. While all of this important research in the field of music medicine focused mostly on diagnosis and treatment of occupational injuries, Kovács' program was aimed toward preventing occupational-related problems and designing a lifestyle that helped to meet the continually intensified and broadened professional demands made upon musicians.

Surveys of various health problems among musicians were conducted not only by Kovács and Pásztor but also, for example, by the organization of the *Medical Problems of Performing Artist* and by the *International Conference of Symphony and Opera Musicians* that studied 48 different orchestras and 4,025 symphony musicians in the US.[4] Also, the incidence of occupational-related problems was surveyed by the author of this abstract among 500 harp players in 47 countries.[5] In addition, information was calculated from data collected over 14 academic years by Cayea and Manchester reporting instrument-specific injury rates of 513 students at a university-level music school in the US.[6] Brandfonbrener reported her research with the *Medical Program for Performing Artists Clinic*, in which musicians in nine major orchestras added daily warm-up exercises away from the instrument.[7] The *American String Teacher Association* surveyed string players whose answers were summarized by Anne Mischakoff as to clarifying the

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[1] *The Care of Musicians' Work Capacity* is a physical wellness program for musicians founded and developed by Dr. Géza Kovács. It is well documented mostly in Hungarian publications. It is taught by Dr. Zsuzsa Pásztor, Director of the Kovács Method Studio, as part of the regular curriculum at the Academy of Music and the Eötvös Lóránd University, Budapest, Hungary.

[2] Udvari, K.K. *Psalmus Humanus, Hagyomány és megújulás a kodályi zenepedagógiában.* [Psalmus Humanus, Tradition and Innovation in the Kodály Music Pedagogy.] Budapest, Hungary: Püski Kiadó, 2002.

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nature, causes, and potential treatments of various medical and psychological problems that affect them.[8] These studies support the need for further research.

Based on this author's research, there are a number of broadly applicable mind-body and alternative healing therapy techniques that musicians have adopted. However, it would appear that what is needed is a therapy program of a broader scope for musicians. *The Care of Musicians' Work Capacity* program, developed by Kovács and Pásztor, takes such an all-inclusive approach.[9] Kovács emphasized that health care education must start with the first music lesson and be nurtured continuously in an attempt to avoid occupational-related injuries and developing healthy ways of playing, practicing and teaching. The *Kovács Method* proved to be a pedagogical approach for improving physical, mental, and spiritual capacities of musicians as a balanced unit. In bringing these traits to their highest level and keeping them in constant equilibrium, it enables musicians to achieve their utmost performance in their challenging life and work.

In the author's workshop, three areas of physical well being according to the *Kovács Method* for musicians were addressed, namely:

1) Full body warm-up routines away from the instrument.

   The purpose of warm-up away from the instrument is to try to establish an optimum work capacity level that results, for example, in a better quality of accomplishment and prevention of occupational-related injuries.

2) Healthy ways of playing, practicing, and teaching music.

   With healthy ways of playing, practicing and teaching music, it is possible, for example, to delay the onset of tiredness as well as to keep tiredness itself at a lower level. Also, it is possible to establish and develop proper physical movements that are used in playing an instrument.

3) Exercises that keep us more fit in general for our work.

   Exercises that keep us more fit in general can have a more stabilized effect on our work over a period of time. These exercises also build a higher work capacity level.

These three subjects are some of the building blocks for a successful career in music. The author of this abstract found not only in her research but also continues to find in her everyday work with colleagues and students the great need for such integration and the benefits that follow. According to those who took part in the program testify that the application of physical wellness helps to achieve higher standards in the musicians' world and work.[10]

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[8] Mischakoff, A. *Sforzando! Music Medicine for String Players.* USA: Tichenor Publishing Group, The American String Teachers Association, (1985).

[9] *Zenei munkaképesség-gondozás, Kovács módszer.* [The Care of Musicians' Work Capacity, The Kovács Method.] Budapest, Hungary: Fővárosi Pedagógiai Intézet, 2002.

[10] www.kovacsmethod.com/english/testim.htm

Students' Attitudes Concerning Collaborative Group-Work

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Research presented at the Hawaii International Conference on Arts and Humanities

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Students' Attitudes Concerning Collaborative Group-Work

Abstract

This study elicits attitudes and opinions from students studying Spanish 202 at the University of Arizona. A survey was administered to 88 students after having completed a group project for their Spanish class. The data indicates that students prefer group-work in class more than out of class mainly due to the scheduling conflicts involved in collaboration out of class. It also indicates that students prefer groups of two to four students when working together. It is also suggested that there are some personality styles that do not enjoy group-work and that this needs to be taken into consideration when teachers assign students to work in groups outside of class.

Introduction

For more than a decade, collaborative teaching strategies have become increasingly popular in classroom settings. This has been partly due to an effort to shift the traditional top-down teacher-centered approach to more of a bottom-up student centered approach to learning. Hussein et. al. (2000) claim that a growing body of research suggests that when properly implemented, student collaboration in the classroom can have positive effects on many aspects of students' learning e.g., achievement, thinking skills, inter-ethnic relations, self esteem, and a positive attitude for school (for reviews see Bossert, 1989; Cohen, 1994; Johnson & Johnson, 1989; Sharan, 1980; Slavin, 1995).

Collaborative learning theory is strongly supported across many related learning theories including behaviorism (Slavin, 1987), social psychology (Deutsch, 1949), activity theory (Lantolf & Pavlenko, 1995), constructivism (Nyikos & Hashimoto, 1997), and cognition (Brown, Collins and Duguid, 1989). Most of the collaborative learning research in the fields of second language acquisition as well as other disciplines such as education involves collaboration inside classroom settings. For example, Long & Porter (1985) suggest five ways in which group collaboration can enhance second language acquisition in the classroom. Relatively little work

has been done in looking at collaborative group-work outside of the classroom, what Hussein et. al. (2000) term "out of class academic collaboration" (OCAC). When considering students' attitudes and opinions regarding collaborative group-work Wilhelm (1997) discusses some of the attitudes of collaborative group-work with language teachers-in-training, however, the study focuses more on the *effects* of collaborative group-work and fails to report very much on the actual attitudes of the teachers going through the process.

In this study I discuss some of the perspectives and attitudes that Spanish students hold regarding collaborative group-work outside of the classroom (OCAC) as well as present some of the feelings and opinions of collaborative group-work in general.

The study

As part of the Spanish 202 syllabus at the University of Arizona, the students are to give group oral presentations during the middle of the semester. The oral presentations are to be 8-10 minutes long and must contain an interactive element as part of the presentation. Four in-tact classes were chosen for the study and there were 98 students total in all four classes that participated in the group presentations. The groups were student-selected with no less than three students and no more than four students in each group. Different topics such as music, geography, sports, literature, politics, religion, etc. were suggested by the students and written on the board. All of the countries that were studied in that semester were also written on the board. From the options written on the board the students were then allowed to choose a topic they would enjoy presenting as well as one of the countries studied that semester. None of the groups were allowed to choose the same county or the same topic as another group for their presentation so as to add variety to the presentations. The groups were given some class time to prepare for their presentations but the majority of the planning and organization took place outside of class. The day after all of the groups had completed their presentations, and before they were notified of their individual grades, the students completed and handed in a survey containing 17 questions (See Appendix A).

Eighty-eight (n=88) students were present the day the survey was given so even though

all of the students participated in the oral presentations, ten students did not get the chance to complete a survey. The survey had 11 questions that were based on a five point Likert-type scale ranging from -2 to 2. A five point scale was used so as to give any student the option of marking a 0 if he or she had no opinion. Item 12 required the students to circle the ideal number of students for group-work and items 13-17 were written to elicit short answers so they could give their opinions concerning group-work. The surveys were anonymous so as to give the students the opportunity of expressing how they really felt.

Results

Group-work outside of class

The mean scores as well as a breakdown of the frequency of the keyed items in the format of a modal distribution are given for each item 1-12 and are provided in Table 1 of Appendix B. The data show that on the whole there was a positive feeling for working outside of class in groups for their oral presentations (item 1- mean=0.77, mode=1). However, item 10 which asks how the students feel about group-work outside of class in general has a negative mean (-0.01, mode=-1). So generally speaking, there is a more positive feeling for group-work in class than outside of class. This is also apparent when comparing the mean for the contrasting items 9 and 10. There is almost a whole point difference in the mean scores of the two items that elicit students' preference for group-work outside of class versus group-work done in class (item 9: mean=0.89, item 10: mean=-0.01). The mode for item 9 strongly suggests a favor for group work in class as one half of the participants marked "1-enjoy" on the Likert-type scale. However, when considering the modal distribution of item 10 it is important to note that even though the mean score is negative, there is a bimodal distribution that favors the negative side with 27 students enjoying group-work outside of class and 28 students disliking group-work outside of class. Looking at the statistics for students' opinions of group-work outside of class may be confusing in light of the somewhat split distribution in item 10. However, item 14 which allows the students to give a subjective opinion of how they feel about group-work outside of class may be helpful in this part of the discussion.

Seventeen students keyed “no opinion” in item 10 but they were allowed to give their opinion in item 14. Of the 17 students who marked no opinion, 15 of the 17 had negative things to say. Eight of the 15 mentioned the difficulty in scheduling a time to meet outside of class, one student simply stated that “things usually don’t seem to get done,” two students mentioned frustration in regards to a lack of willing participation and another expressed frustration with communication between group members. Only three of the 17 who marked ‘no opinion’ on item 10 made a positive comment in item 14. One student stated, “you get a lot more done when you have a deadline.” Though this certainly may be the case, the comment says more about deadlines than it does about group-work outside of class. The two other students mentioned a negative aspect of group work coupled with something positive. One student wrote, “it all depends on group members, good members = good work/fun and vice versa.” The other student stated that there is “usually increased work because of meetings outside of class” which was followed by the brief interjection “but fun” at the end. The 28 students who marked dislike or strongly dislike all had negative things to say in their free response to item 14. Eight of the students who marked enjoy or very much enjoy on item 10 were only positive in their responses as to their attitudes toward group-work outside of class. Some of the responses they gave include the benefits of getting to know others in the class, fostering creative collaboration, and being able to work on a project on their own time. The other seven commented that it can be productive but placed conditions on effectiveness. Five of those seven mentioned that it would be helpful only if people committed time for it.

Group Collaboration

Items 3 and 7 touch on the element of group collaboration. Sixty-seven students agreed or strongly agreed that their groups collaborated well with each other. Only ten were found on the disagree side. There is no mean score, nor mode higher than item 3 (mean=1, mode=2). However, item 7, the other item indirectly dealing with collaboration, has a mean score of 0.92. Ironically, item 7 asks whether the students divided up the work evenly and worked *separately* on the project. Two students who marked either disagree (-1) or strongly disagree (-2) on both

items 3 and 7 made it very clear in their free responses at the end that they despise group-work and do not like to have to depend on others when something needs to be done. Another student wrote that she had a terrible experience with her group claiming that there was no collaboration at all. She made the comment in the free response item 15, "the more my work is graded as a group, the more I hate group-work."

All ten of the students who answered negatively to item 3 by stating that their group did not collaborate well together, also answered positively to item 4 which indicates that they would rather work alone than in groups. As a matter of fact, the gap, or difference, for those students between items 3 and 4 averages almost 3.0 total points.

Items 5 and 11 both asked if the students felt like they learned more working in groups than on their own. I put these two similar items on the survey in order to check for reliability in student responses. I was pleased to see that the students' responses for both of these items were distributed equally. There was a very slight difference between the enjoy and no opinion sections but that may be due in part to the fact that three of the students did not key the response for item 11. Therefore, it appears that the students were not just marking answers at random. The results of these two items 5 and 11 are nearly identical with means indicating 0.17 and 0.16, respectively. A slight majority feel like they learn more or better in groups than working alone.

Group Size

Item 2 of the survey shows that 63 students felt positively about working in groups with three or four people, while only 13 mentioned that they dislike groups of three or four. When compared to item 12 that asks the student to circle the ideal number of students for group-work, 29 students thought that four members in a group was ideal. The second most keyed response for item 12 was three people per group as 27 students prefer to work in triads. Twenty-one students chose pair-work as an ideal number for group-work and seven students prefer working alone. Only two of the students feel like the ideal number of people in a group had more than four in it. Generally speaking, students have the strongest preference for two to four students for group-work but the overall mean suggests 2.97 (about 3) as ideal which is one whole point less

than the mode. Even though the students generally enjoy working in groups of three and four as indicated by items one and two, item 8 shows that there is also a stronger preference to pair-work than to group-work. However, 34 students marked that they have no opinion on this matter. This calls into question item 12 that indicates 2.97 people for an ideal group.

Student Views of Advantages and Disadvantages to Group-work

The last two items 16 and 17 on the survey ask students about the advantages and disadvantages of working in groups for their oral presentation. I will discuss their views of the advantages first. All of the comments can be broken down into six major groups; efficiency, effective collaboration, low anxiety, a clear division of assignments, enjoyment, and practice (See Table 2 of Appendix C). Forty-two students commented on the advantage of how effective collaboration helped in the process. Students felt like it was advantageous to learn from others and get their differing "ideas and opinions" on different issues. One student even mentioned how she was able to help another member of her own group. Another large portion of comments, 30 in total, dealt with efficiency and the comments were almost word for word, "I didn't have to do as much work." However, some students commented on the amount they learned in the short time because all of the other members of the group could go and research something on their own and bring it to the table and teach the group, a comment reflective to what happens in a jigsaw activity. The third most mentioned advantage that warranted 14 comments was the clear division of work/assignments. Students felt like they knew exactly what their responsibilities were. Thirteen comments were directed toward how the group presentations took off a lot of pressure since it was a group effort. Getting up in front of people was especially hard for some students and they really appreciated working and presenting their work in groups to lower the anxiety. The second to last category included the students enjoyment in the process. Six of those ten comments dealt specifically with the opportunity the individuals had to get to know and work with other group members. Only one student mentioned the opportunity to practice orally outside of class.

Ironically, many of the disadvantages that the students mentioned are the inverses of the

advantages mentioned. There are four major categories mentioned as disadvantages and a few other peripheral comments as well (See Table 3 of Appendix C). The four major categories in order of frequency are; scheduling conflicts, lack of willingness to collaborate, unfairness, and lack of preparation (which probably has more to do with the first two categories mentioned). Thirty-eight students commented on the difficulty involved in scheduling so they could meet together as a group. The second most common complaint was the lack of willingness to collaborate with the other members of the group. This complaint came in comments like, "nobody would agree with anybody" or "no one would show up to the meetings outside of class." This particular comment is different than that of the scheduling conflicts as these comments specifically point out the unwillingness to collaborate. Of the 25 comments that were given in this category, one half (13) of them related specifically to conflicts of opinion. The third most recorded disadvantage dealt with the unfairness in the division of work, fifteen students expressed this concern. Poor preparation was mentioned eight times, but this is probably a result of scheduling conflicts or maybe a lack of collaboration. Eight students complained about having to rely on others and two students mentioned difficulties with conflicting personalities. One student mentioned the potential hazard of relieving the pressure with group-work because it would let people off the hook. Eleven students said that they did not see any disadvantages with their group.

Discussion

Together with the discrepancy in the mean scores of items 9 and 10 and the free responses elicited by item 14, it becomes clear that students, generally speaking, prefer group-work in class over group-work out of class. It seems that the overarching number one reason that most of the students give is the problem of finding time to meet together as a group with everybody's busy and often conflicting schedules.

One might assume that if a group collaborated well together then they probably worked together on their presentation, however, this is not necessarily the case as seen in the data for items 3 and 7. This phenomenon could be due in large part to how students perceive

collaboration in their group-work. The act of dividing up the work evenly, in the minds of the students, may be seen as effective collaboration even though the students do their work individually. However, collaborative theory sited above claims that the purpose of collaboration is to bring two or more minds into an environment where scaffolding can take place so that all of the participating individuals can feed off of each other in preparing their presentation. If students are going to merely split up the assignments and work individually on them and present their part individually (which is most often the case in these presentations), it might save the students time outside of class for the teacher to take care of this by dividing the work in class. This may also help the teacher have better control as to the fairness involved in these kinds of assignments. One weakness to item 7, however, is the fact that there are two elements being asked and only one possible answer. I became aware of this when one of the students made a small annotation next to the item 7. She wrote in small letters, "worked together out of class." I should have separated this item into two separate items and asked if the group-work for the presentation was divided evenly and a separate question that asked if they worked separately outside of class. The data for these items may be problematic in light of this discovery.

The inverted responses for items 3 and 4 may shed light on certain personality types that do not like to work in groups. The free response portion of the survey suggests how the students (who marked 3 negatively and 4 positively) feel about working alone versus in groups. Many times if the group has the option to self-select their own group, personality conflicts are diminished. However, in this study all of the students had this option and not all of the conflicts were resolved. If certain personality types do not necessarily like group-work outside of class due to their independent nature, then one alternate option that teachers might employ in these situations would be to allow the independent students the option of doing their work alone. This is an important aspect for teachers to understand when assigning group-work outside of class so as to make sure that the experience is beneficial to all of the students involved. One might argue that group-work is "good for the students" because it allows them to collaborate and share their ideas and that they should be forced to do group-work even if they do not particularly enjoy it.

However, even giving the students an individual grade for this group-work assignment did not lend any comfort to the independent students. Therefore, any approach in this kind of situation needs to be considered with care.

There is also one other factor that needs to be considered in regard to the level of frustration that the independent students feel when doing group-work. Clear examples and descriptions in the minds of the students are necessary for group-work so that the students know well what is expected of them, this may be beneficial in lowering their level of anxiety when accomplishing a group task. A further study may try to find out what independent-type personalities prefer when engaged in group-work.

Items 5 and 11 that deal with learning more (or better) in groups are telling, because they show that not all students feel like group-work helps them learn more (or any better). Some feel like it is very beneficial but it is not the majority who feels that way. This may be due in part to some of the disadvantages mentioned above that inherently accompany group-work dynamics. A further study could investigate what kind of effect group-work has on students versus work done individually in a variety of differing contexts. Nevertheless, it is important for teachers to be aware that not all students feel they learn best with group-work. It would also be wise for teachers to consider this pedagogically and to not overuse group-work strategies in their instruction. Not everything needs to be done in groups, in fact, sometimes putting students in groups when there is no need for it may do a better job of impeding learning because of the potential time wasted.

As far as group size is concerned, the students prefer smaller groups of two or three to larger groups of four or more. Hussein, et. al. (2000) report that the average size group that students employ for OPAC is between four and five students in a group. The survey in this study was limited in that it did not ask if the students' opinions concerning group size changes when differentiating between group-work in class as opposed to group-work outside of class. This does not, however, mean that this is what they *like* the most when trying to accomplish a task or project outside of class. In fact, one factor that was very apparent in Hussein's et. al. (2000)

study had to do with students staying on task and not getting off on tangents when doing group-work. Bigger groups can provide diminishing returns on the amount and quality of work that gets done and some students can hide in a big group much more easily.

In the free response section of the survey some students commented on how sometimes it is difficult to take into consideration so many differing opinions in order to make a decision. Large groups can also potentially leave out some of the students who tend to be more reserved in their comments or in their participation and possibly add an extra burden on the take-charge-type of personality. With smaller groups it is more difficult for students to hide behind others' work or fall through the cracks of participation. It also allows students to participate in a less threatening environment of a large group.

Limitations

Some of the limitations have already been discussed previously in this paper but I will make some overall comments that apply generally to the study as a whole. It is possible that the survey was unclear in the minds of the students as to what aspects of group-work were being addressed because the items were not placed into separate categories. For example, it might have been more clear for the students had I asked them questions regarding collaborative group-work as it had to do with their presentations followed by questions about collaborative group-work in general. The in-class/out-of-class distinction could have also been separated in their order to give the students a better picture of exactly what I was referring to. Otherwise the students might have answered some of the questions with a different context in mind which would threaten the validity of the study.

Conclusion

Collaborative group-work is quite sound theoretically. There is also much research that backs up this theory in support of its effectiveness in classroom settings. And though many students may even show a preference to group-work outside of class, this is not always the case. Therefore it is important that as teachers we become aware of the different personality types that may see group-work as more of a burden than a blessing. In the wake of the collaborative

bandwagon that has reached a good speed, it may be necessary to apply brakes every so often and consider the different students who are willingly participating but not enjoying the ride. If we are not careful, this caravan may turn reckless.

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Appendix A

Male O
Female O

Group-work Presentation Survey

Answer the following questions as honestly as possible.

(-2)-strongly dislike/disagree (-1)-dislike/disagree (0)-no opinion (1)-enjoy/agree (2)-very much enjoy/agree

	-2	-1	0	1	2
1. How did you like working in groups of three or four outside of class for your presentation.	O	O	O	O	O
2. How do you like working in groups of three or four, in general.	O	O	O	O	O
3. Our group collaborated well together for our presentation.	O	O	O	O	O
4. I would rather work alone than in groups, in general.	O	O	O	O	O
5. I learn more working in groups than by myself, in general.	O	O	O	O	O
6. Group-work is fair.	O	O	O	O	O
7. For our group presentation we divided up the work evenly and worked separately outside of class.	O	O	O	O	O
8. I like pair-work more than group-work.	O	O	O	O	O
9. I like group-work in class, in general.	O	O	O	O	O
10. I like group-work outside of class, in general.	O	O	O	O	O
11. I learn better working in groups.	O	O	O	O	O
12. What is the ideal # of people for a group (circle one).	alone	2	3	4	more

13. What is your opinion of group-work in class?

14. What is your opinion of group-work out of class?

15. Does your opinion change when a grade is involved?

16. What were some advantages of working in groups for your presentation?

17. What were the disadvantages of working in groups for your presentation?

Appendix B

Table 1– Modal distribution of student responses from the survey items

Items	**-2***	**-1**	**0**	**1**	**2**	**mode**	**mean**	**n**
1. How did you like working in groups of three or four outside of class for your presentation.	3	8	18	36	23	1	0.77	88
2. How do you like working in groups of three or four, in general.	2	11	12	39	24	1	0.82	88
3. Our group collaborated well together for our presentation.	4	6	10	33	34	2	1	87
4. I would rather work alone than in groups, in general.	11	23	22	19	12	-1	-0.02	87
5. I learn more working in groups than by myself, in general.	9	20	19	25	14	1	0.17	87
6. Group-work is fair.	4	14	18	39	12	1	0.47	87
7. For our group presentation we divided up the work evenly and worked separately outside of class.	7	6	4	41	30	1	0.92	88
8. I like pair-work more than group-work.	1	13	34	26	13	0	0.43	87
9. I like group-work in class, in general.	5	6	8	44	25	1	0.89	88
10. I like group-work outside of class, in general.	8	28	17	27	8	-1	-0.01	88
11. I learn better working in groups.	8	19	23	21	14	0	0.16	85
12. What is the ideal # of people for a group?	**1**	**2**	**3**	**4**	**>5**	**mode**	**mean**	**n**
	7	21	27	29	2	4	2.97	86

* (-2)-strongly dislike/disagree (-1)-dislike/disagree (0)-no opinion (1)-enjoy/agree (2)-very much enjoy/agree

Appendix C

Table 2 Advantages to working in groups

Advantages	# of comments
Effective collaboration	42
Efficiency	30
Low anxiety	13
A clear division of assignments	14
Enjoyment	10
Oral practice	1

Table 3 Disadvantages to working in groups

Disadvantages	# of comments
Scheduling conflicts	38
Lack of willingness to collaborate	25
Unfairness	22
Lack of preparation	8
Relying on others	8
Personality conflicts	2
Waste of time	2
No pressure	1
No disadvantage	*11*

Acquisition of Verb Agreement in American Sign Language:
A special focus on non-native signing children

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This paper discusses the acquisition of verb agreement in Deaf children who use American Sign Language (ASL) as their primary means of communication, with a particular focus on Deaf children of Hearing parents (DCDP).

The 152 subjects tested for this paper are all students enrolled in schools for the Deaf that use a bilingual (ASL and English in print) approach to education. The subjects range in age from five to eighteen years of age. The subjects are divided into two major categories for analysis: 25% are Deaf children of Deaf parents (DCDP) and 75% are Deaf children of Hearing parents (DCHP). These percentages reflect the fact that the large majority of all Deaf children are DCHP (Karchmer & Mitchell 2004). Subjects are further divided into seven age groupings, for deeper analysis of acquisition patterns.

The subjects are presented with a verb agreement production test (VAP) consisting of twenty-seven verb agreement items.[1] Each item consists of a video depicting an action event between a man, a woman, and the subject. The subject's responses are videotaped for analysis. The nine verbs elicited for production are the following: GIVE, THROW, BLOW, SPIT, YELL, BITE, THANK, TELL and PUT.[2] The three types of agreement processes elicited are first person to third person, third person to first person, and third person to third person. The nine verbs are grouped into five verb types: directional reciprocal verbs (GIVE and THROW), directional object agreeing verbs with no secondary hand (BLOW, SPIT, and YELL), directional object agreeing verbs with a secondary hand (BITE), body anchored object agreeing verbs (THANK and TELL), and location reciprocal agreeing verbs (PUT).

The paper focuses on the acquisition process of verb agreement in DCHP compared to DCDP to determine 1) if DCHP follow the same patterns of acquisition as DCDP and 2) the age of acquisition of verb agreement by verb type for both DCHP and DCDP. As a group, DCHP are of particular importance, due to the fact that most Deaf signers are non-native signers and therefore tend to have difficulty acquiring native fluency in ASL (Mayberry & Lock, 2001). An in-depth understanding of the acquisition process, about which very little is currently known, will lead to better methods for teaching ASL to DCHP. Preliminary analysis shows Deaf children's verb acquisition difficulties are tied more to the varying verb types, than the varying agreement process.

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[1] Suppala, T., Newport, E., Singleton, J., & Supalla, J., 1989 – ASL Test Battery loaned to The Center for the Study of Communication and the Deaf, Boston University

[2] Words in American Sign Language are written in capital letters in accordance with Sign Language research convention.

Music for Solo Marimba and Electronic Sounds featuring
Rimbasly by Daniel McCarthy

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Description/Abstract

Solo marimba pieces with electronic sound accompaniment are rare but this piece became a standard in the repertoire when it came on the scene in 1989. This piece illuminates sounds that work well with the wood timbre of the marimba and allows the electronic sounds to function in an accompaniment role more like an orchestra rather than just sound effects or ³noises².

³The title of this piece is partially derived from the word ³marimba² and from the clever or ³sly² way the marimba and synthesizers are synchronized as an integrated whole. The purpose of such a composition is to combine state-of-the-art four mallet technique with the latest in electronic music composition. The electronic portion of Rimbasly was composed on the Atari ST 1040 computer and used ten synthesized sounds as well as four sampled sounds. Rimbasly is a highly ensemble-oriented piece. The musical relationship between the soloist and the computerized element is much like that between soloist and orchestra in a concerto. In this respect, Rimbasly is highly virtuosic with regard to the solo element. Formally, the composition is constructed in two major sections but the composer does not presume any resemblance to sonata form. The thematic areas consist of many subsidiary themes (especially the A section) and are differentiated by the contrast of rhythmic activity and harmonic language. The A section, although having my melodic elements, is distinguished by its rhythmic animation. The harmony in this section is very eclectic utilizing quartal-quintal harmony, dissonant harmony based mainly on a major/minor third, and a sense of tonal center, based loosely around ³F². The second section is very rhapsodic with cadenza-like passages in the solo marimba. The rhythmic activity in the accompaniment subsides and the harmony is very tertian based. On a structural level the form is ternary with an introduction: B (intro.), A, B, A. Daniel McCarthy was awarded the Ohio Arts Council Fellowship on composition for Rimbasly in 1990.² (CD liner notes)

Hopefully, this presentation will help composers and performers of all instruments consider writing and performing more music that includes electronic sounds.

MY GRANDMOTHER'S DANCE

Presented by

WASIM
Joseph Andrejchak Galata

Arts in-Education Director Circle of Life Hospice Foundation
Retired Representative Socio-Economic Council United Nations
Executive Director Creative Combustion Educational Awareness Programs
Lanakila Consulting Television Productions
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Abstract:

As reported by ABC Television, May 2004, *"Sufi and Roma (Gypsy) artist Wasim, moved the audience to wonderful release of tears, laughter, and insight. A beautiful presentation of Eastern European Gypsy and Middle Eastern Sufi storytelling, dance, music, that brought depth and love to the sacred traditions and rituals of cultural rites of healing from grief and mourning. People walked out of the auditorium uplifted from this new experience of celebrating the cultural and ethnic rites of celebrating both life and death."*

Ancient folktales, storytelling, dance, drama, and music of the Eastern European Roma (Gypsies) and the Middle Eastern Sufis, through centuries of cultural evolution, have been used as philosophical, spiritual, religious, and sociological traditions in preparing for death and dying, and healing from grief and mourning.

" MY GRANDMOTHER'S DANCE" is a 90 minute inter-active workshop performed and facilitated by Roma and Sufi artist Wasim (Joseph Andrejchak Galata), Retired Representative to the United Nations Soci-Economic Council for the world's 12 million Roma, the Arts-in-Education Director for the Circle of Life Hospice Foundation, and the founder and director of the national Creative Combustion Educational Awareness Programs.

This presentation, as part of the original arts and humanities production I WILL HIRE YOU AS A MINSTREL, is funded by the National Endowment for the Arts, the Rallying Points National Center for End of Life Care Issues, the Nevada State Arts Council, the National Hospice Education Institute, the City of Reno Arts and Culture Commission, with special assistance from SongBird Productions, MeadowRock Percussions,

University of Nevada School of Medicine, Washoe Medical Center, and other arts, humanities, and cultural agencies.

The first 45 minutes offer a highly energetic theatrical presentation of Roma and Sufi storytelling, music, and dance about life and death. Within this one-man performance, the audience participants experience an emotional and cognitive understanding of the concepts and applications of Eastern European Roma (Gypsies) and Middle Eastern Sufi perspectives about perpetuating traditions and rituals in preparing for death and healing from grief and mourning. With the following 45 minutes, the audience participants explore, explain, elaborate, and evaluate their own values, socio-ethnics, attitudes, and use of ethnic arts and humanities pertaining to life and death.

This workshop brings into focus the increasingly salient and urgent needs for preserving our multi-ethnic society relationships with arts and humanities. The theatrical presentation and inter-active workshop encourages others to reflect upon their own personal attitudes about and experiences with life, death, and grief from cultural perspectives. Focusing on the rare and seldom known stages of cultural and spiritual creativity practiced by Eastern European Gypsies and Middle Eastern Sufis, " *duende" " spanda" " strathiya" " eshinya" "devekut"* and *"halul,"* MY GRANDMOTHER'S DANCE is both a presentation and characterization of actions, rituals, traditions, and emotional expressions as manifested and expected within the perspective cultures, but seldom experienced by others from genuine inside perspectives.

A 2004 letter from an 89 year old audience participants of MY GRANDMOTHER'S DANCE workshop at the University of Nevada: " *I listened to the stories and they made me remember stories of my own life with my family. I remembered the stories of my culture, my grandparents, my hometown, that I had forgotten. My spirit danced when Wasim danced. I cried like a baby when he did the Gypsy and Sufi dance. I cried because I realized that I did have a broken something inside me that kept my heart immobile and my soul frozen. But I also realized that I am not lost forever. Nor am I broken beyond repair. Thank you from the bottom of this 89 year old man's heart."*

Title of the submission: *The Merging of the Arts with Technology*

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Abstract of paper:

The purpose of this paper is to construct a brief argument for the evolution of contemporary multi-media installation art. The historical overview cited in this article, attests to the natural process of the merging of the arts with technology in the modern world. It concludes with a short analysis of the author's work as a multimedia installation artist.

The Merging of the Arts with Technology

By Dr. Jean Gallagher-Somers

Introduction

Considering art's long history, it is only recently that artists have ventured beyond conventional ways of working. Much of art, as it's still taught in a number of universities, is discipline-based and divided into the standard categories of painting, drawing, sculpture, printmaking, photography, etc. Even the recently introduced computer art curriculum focuses on prints as a major form of artistic output. Yet, how did art works become cross-discipline (the hybridization of media between, for example, painting and sculpture) to interdisciplinary (the mixing of the visual arts with that of theater, music, or any other non-related field)?

A Brief History

At the end of the nineteenth century, with the emergence of Art Nouveau, the integration of art and the indoor environment was explored. Sites used for this investigation centered on private homes of the rich, the cafe-cabaret, and the art gallery. Only these places afforded the artist a chance to explore a total aesthetic experience.

In 1912, Giacoma Balla, a Futurist, used iridescent colors in an environment in the Lowenstein House in Dusseldorf, Germany. Balla had studied the iris phenomenon, and to simulate its results, he created a polychromatic geometric environment in an attempt to produce a kaleidoscope effect. "The intentional kaleidoscope effect, with black and white predominating, reflects the artist's desire to create a particular kind of 'magic luminism' which endows the space with an optical dynamism."[i] Given its location, the environment was designed to provide for the spectator a private emotional response.

As the movement of Futurism became popular, it afforded artists an opportunity to create environments for the public eye. The location of cafe-cabaret proved to be a logical solution as it had established itself as an open avenue for the inventive sensibility. The artists Vladimir Tatlin, Alexander Rodchenko, Giacomo Balla, and Leo Van Doesburg produced cafe-cabaret environments between the years 1917 and 1926. Visual arenas were created to coincide with the theatrical and musical experiments that took place in the cafe. In 1921, Balla created a visual environment in the Bal Tic Tac in Rome, Italy. Acoustics, lighting, and visual effects interacted with and influenced each other. Projections of dancers upon the walls of the cafe created a display of colors, lines, and planes. Van Doesburg, in collaboration with Jean Arp and Sophie-Tauber-Arp, created murals at the Cafe L'Aubette, a cafe-cabaret-cinema in Strasbourg, Germany between 1926 and 1928. Doesburg's goal was to break up the symmetry of the interior architecture by creating passages of color that seemingly flowed within the

spaces of the entrance, the foyer, the staircase, and the room for dancing. "Every surface was painted so as to create continuity between ceiling and walls, wall and floor. The choice of geometric shapes and colors were determined by the particular functional aspect. The places where people walk along or stop only briefly were indicated with continuous colored stripes and with very bright colors, while the room for dancing, and the tea room and the cinema were 'dynamized with rectangles and squares'."[2]

In 1924, the Hanoverian artist, Kurt Schwitters, began to construct within his home the *Kathedrale des Erotischen Elends* (Cathedral of Erotic Mystery) or *Merzbau*. His medium was plaster sculpture with which he created abstractions of objects which were intended to commemorate his Dadaist and Constructivist friends: Piet Mondrian, Jean Arp, Kasimir Malevich, Ludwig Mies Van de Rohe, and Theo Van Doesburg. For the next eight years, Schwitters continued to fill up every room in his home, until every available architectural space had been utilized. A year before the initiation of the Merzbau, El Lissitsky created the *Proun Room*, which incorporated painted shapes and lines within a fixed interior space. In Lissitsky's search for a formal relationship between space and pictures, he incorporated the picture's surface into the surface of the wall, thus creating a Constructivist statement. Later, in 1938, Marcel Duchamp, basing his interest not on the object but on the spectator, created a Surrealist room which was semi-darkened and full of coal-sacks containing paper and leaves. The viewer-participant moved precariously within the space. Four years later, Duchamp created yet another room filled with a network of crisscrossed strings, testing the viewer's ability to move within it.

After World War II, artists had no need to emphasize social responsibility since politics had become the vehicle of action. Artists now had the opportunity to be introspective and examine their own problems of existence, and hence, expression. In 1958, Ives Klein whitewashed the walls of the Iris Clert Gallery in Paris, France, thus presenting his piece *Void* (Le Vide). A hint of blue illumination filtering from the street window tinged the dazzling white space. His attempt was to cleanse the gallery to attain freedom from the pictorial confines of the gallery. Klein stated that "...this feeling of the total freedom of pure and sensitive space exercised such a power of attraction over me that I painted monochrome surfaces to see, to see with my own eyes, what was visible of the absolute." [3] According to the international critic, Pierre Restany, Klein's wish was "...to create, establish, and present to the public a sensitive pictorial state within the confines of a painting exhibition hall. In other words, a creation of a real pictorial climate, and for that reason, invisible. This invisible pictorial state in the space of the gallery must be at this point be present and with independent life, and should literally be what up to now has been given the best definition of painting in general, 'radiance.'" [4]

Later, in 1960, Fernandez Arman created an environment that responded to Klein's *Void*. Arman constructed in the Iris Clert Gallery an accumulation of

street objects that completely filled the space. Allan Kaprow also created an environment in response to Klein's *Void* by constructing a tactile environment produced out of colored materials and soft objects contained in his garage. In a 1958 manuscript entitled the "Legacy of Jackson Pollock," Kaprow proposed a "quite clear-headed decision to abandon craftsmanship and permanence" and advocated the use of obviously perishable media such as newspaper, string, adhesive tape, growing grass, or real food so that "no one can mistake that the work will pass into dust or garbage." [5]

The environment, according to Kaprow, could be anything from a constructed place to an existing environment that is slightly altered by the artist. He defined an environment as "literally a surrounding to be entered into..." [6] and believed that the environment set the stage for the nonverbal, intermedia theater and performance art called Happenings. The term, Happening, was coined by Kaprow in 1959, as part of the title of a score that he had published in the Rutger's University publication called the *Anthologist*. The environment, accorded to Kaprow, had to be walked into, yet held considerable limitations, especially when it was designed to remain within the rectangular proportions of the gallery or museum interior. The Happening was characterized by its non-static quality. It was the active counterpart of the passive environment, and it took place outside the context of existing architectural and social forms. Kaprow pointed out that this new art should occur indoors, rather than wait for new architecture to accommodate it.

Kaprow's statement was originally intended to bring the creative artist into more fertile interactions with the world around him, and to open a creative and new dialogue that overlooked commonplace materials of the environment. Kaprow continued: "Pollock left us at the point where we must become preoccupied with and even dazzled by the spaces and objects of our everyday life....Not satisfied with the suggestion through paint of our other senses, we shall utilize the specific substances of sight, sound, movement, people, odor, touch. Objects of every sort are materials for the new art: paint, chairs, food, electric and neon lights, smoke, water, old socks, a dog, movies, and a thousand other things which will be discovered by the present generation of artists."[7]

The central idea of Happenings counted on the presence of the spectators, the artist at times, and a variety of objects involved in a situation or event in which elements of everyday life or everyday technology become open to creative interpretation of poetry or the fantastic. Michael Kirby, author of the book, *Happenings*, has made the point that despite Happening's affinity with theater, including musicals and plays, they are primarily visual in nature. He defined the Happening as a "purposely composed form of theater in which illogical elements, including nonmatrixed performers, are organized in a compartmented structure."[8] He continues: "Happenings have had in common a physical crudeness and roughness that frequently trod an uncomfortable borderline between the genuinely primitive and the merely amateurish. This was partly intentional, due

to their relationship with action painting and so-called junk sculpture, and partly the inevitable result of extremely limited finances. All of the happenings--except, of course, the later ones presented outdoors--were put on in lofts and stores, in limited spaces for limited audiences.[9] Additionally, it was Kirby's opinion that Happenings were a direct result of painters, musicians and poets making their own theater within the arena of the stage. He also acknowledged that this stage or environment was itself a work of art that surrounded or enclosed the viewer from all sides.

The movement, Kinetic Art, provided an investigatory forum for mixed media sculpture that tended towards exploring the indoor environment. Jean Tinguely, a Kineticist whose influences can be traced from Dada and Constructivism, created ramshackle machines that seemed to simultaneously worship and mock science. In March 1960, a number of mechanical elements were assembled by Tinguely in the garden of the Museum of Modern Art, New York, for a "Machine Happening" entitled *Homage to New York*, and was programmed to self-destruct in twenty minutes. In the midst of the Happening, a fire extinguisher threatened to explode and the fire department was solicited to hasten the process of auto-destruction.

Tinguely's idea of art can be compared to the act of playing. In 1959, Tinguely wrote of the subject: "The relationship of art and play: to play is art--consequently I play. I play enraged. "[10] On one level, the machines that he created are devised to instill fear in the spectator; on another level, his machines sought to fill the spectator with astonishment or admiration. As the machines grew larger, filling up the space of the exhibition room, their movements became increasing complex.

In 1966, artists pursued the creating of architectural environments for experiments in optical and kinetic technology. To examine the relationship between art and science, a group of artists --Robert Rauschenberg, Oyvind Fahlstrom, John Cage, Steve Paxton, Lucinda Childs, and others--collaborated with Bill Kluver, a physicist working in laser Research at Bell Laboratories, to produce a series of performances. Rauschenberg's interest, an aesthetic programming of a game of tennis, was seen as a means to control a variety of sequential lights that produced sound combinations resembling orchestration. Generally speaking, this group calling itself *Experiments in Art and Technology, Inc.,* (EAT), sought to analyze optical-kinetic phenomena by using precise methods of observation.

The kinetic artists, Soto and Cruz-Diez, created environments that tested the spectator's response to color through conditioning and deconditioning experiments. "The spectator is given successive experiences of blue, red, and green within an area that is free from any other color stimuli. Finally, there is a demonstration of the simultaneous effect of additive, reflective, and subtractive

colors, which not only encompass the spectator but also thoroughly penetrated his consciousness." [11]

Other artists--Terry Riley, Charles Ross, Robert Whitman, and Steve Antonakos--designed a maze comprised of spaces and rooms which made simultaneous use of sounds, optical phenomena, and sensory distortions for the viewer/participant to explore, in an exhibit entitled *Magic Theater Art*, at the Nelson Gallery in Kansas. In 1968, the conceptual artist, Robert Irwin, in his investigation of the phenomena of human perception, collaborated with Dr. Edward Wortz of the Garrett Aerospace Open Research Facility, under the auspices of the Los Angeles County Museum's Art and Technology program. In 1969, Irwin built the environment, which housed NASA's first *International Symposium on Habitalibility,* a conference that emphasized long term physical, emotional, and psychological effects of space flight. He accomplished this by constructing a room with altered light that affected the viewer/participant subliminally. More recently, artists such as Bill Viola and Gary Hill work hand in hand with technicians as an almost commonplace collaborative effort. Hill, working with Dave Jones, has used standard and custom-built DVD and laser disk synchronizers making his surreal ideas a reality.

The Author's Work

From 1977 until the early eighties, my work was focused upon a feminist concern to include pattern and decoration in formalist painting. Like many other artists influenced by the Conceptual Art movement, I stopped painting. Since 1984, I've used the indoor gallery site as an active conduit to mix social and aesthetic issues in the form of temporary multi-media installations, by using a combination of computerized slide projections, paint, sound, and sculpture. The work began as personal reactions to experiences of alienation, sexual harassment, and violence. Progressively, the work began to address larger themes: animal rights, human discrimination, censorship, dogmatic art criticism, society's misuse of technology, and the environment. Focusing on current issues, this work longs for peace, healing, and beauty. Recently, I have returned to painting, sometimes within the context of an installation, sometimes not, which now serves as a "place" for solace and beauty.

In 1999, the multi-media installation, *Moondial* (fig. 1) was created for the Redding Museum of Art, in Redding, California. It was a relatively technically simple multi-image piece mixed with much sculpture. There was no sound present in the work, only the slow pulsating transition of nine images of the waxing and waning moon. In the past, installations such as *Kam e flazh* (shown at Nexus Contemporary Art Center in Atlanta, Georgia, and the Pyramid Art Center in Rochester, New York, 1988-89) featured a more traditional complex system that utilizes synchronized sound with the projected slide imagery.

Typically, slides were programmed on *AVL's Eagle* computer, sequenced among three *Kodak Ektagraphic* slide projections *(Kam e flazh* used 6), and then "dumped" onto the fourth track of a cassette tape. If sound were used, it would have been recorded on the first and second track of that same tape. Once the programming was transferred, the tape was placed in a *Pro-Traveler*, a dissolve unit that doubles as a conventional tape player. All the equipment was mounted within a black box strategically attached to the ceiling of the gallery space.

The installation was minimal in its architecture, so that the viewer may feel the comfort of a quiet space. The back walls of the gallery exhibit several dozen backlit photographic images of flowers from Gallagher's garden housed in sculptural light boxes. The light boxes range from 24 to 62 inches high. The smallest represents the flowering plant that grows to the shortest height (Sweet Alyssum); the tallest represents the tallest growing plant (Moonflower). The plants are all grown in the artist's garden, and can be easily seen at sunset, dusk and under the light of the moon at night. Within the center of this garden room, the visitor is asked to relax on a "moon couch," to watch dissolving light projections of the waxing and waning of the moon. A blue light softly silhouettes an oversized moondial. This 10 by 12 foot moondial represented in this exhibition was a simplified interpretation of the moondial on the wall of Queens' College in Cambridge, England. Created in June of 1642, it looks and functions just like a sundial. According to engineers at the College, the dial has minor inaccuracies. In this exhibition, it is used as a sculptural symbol of the original.

Conclusion

The brief history of installation, cited in this article, attests to the natural process of the merging of the arts with technology. A definition of multi-media installation art should include the fact that the artist considers the idea of the piece as a means to dictate materials used. The use of those materials, transform the exhibition site so that the viewer feels that he is in another reality, and is open to a new perceptual experience about life. Multi-media installations allow the viewer to learn about himself and his relationship to the world, and if so affected, alters, if only partially, the way he behaves in that world. It is only natural for the arts and technology to merge, given that the contemporary world is constructed by technology.

Fig. 1. Moondial, multi-media installation, Redding Museum of Art, Redding California. 1999.

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[i] Germano Celant, "Artspaces," *Studio International*, September, October, 1975, 197:977, 116.
[2] Ibid, 117.
[3] Pierre Restany, *Yves Klein*, NY: Harry N. Abrams, Inc., 1982, 48.
[4] Ibid, 49.
[5] Sam Hunter, *American Art of the 20th Century*, NY: Harry N. Abrams, 1973, 32.
[7] Sam Hunter, *American Art of the 20th Century*, 324.
[8] Frank Popper, *Art = action and participation,* NY: New York University Press, 23.
[9] Ibid.
[10] Carla Gottlieb, *Beyond Modern Art,* NY: E.P. Dutton and Co., 1976, 26.
[11] Ibid.

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ABSTRACT: **WORK-IN-PROGRESS**
George Luks, "Hogan's Alley," and Ashcan School Social Thought

In the closing decades of the nineteenth century, before the invention of processes that allowed for the reproduction of photographs in newspapers, presses hired artists to illustrate feature stories and draw "comics" for Sunday Supplements as a means to pique popular interest, increase circulation, and distinguish their papers from that of their competitors. One of the most prolific of these artists was George Luks (1866-1933), a prodigious drinker, ribald ex-vaudevillian, and soon-to-be leading figure among the urban realist painters who would collectively come to be known as the "Ashcan School."

It has been taken and repeated as a truism of art history that newspaper illustrations created by Luks and his artist-cohorts from Philadelphia (William Glackens, John Sloan, Everett Shinn), and that formed the foundation for their eventual turn to painting urban realist subject matter, were executed in a uniform, anonymous style demanded by the newspapers. As such, these works have been glossed over and considered of minor importance to the more serious art that followed. It is further assumed that since much of this work remained unsigned, it is impossible to recover a sufficient body of material from which to develop any theory as to what this work meant for the artists involved or to recapture a sense of the social and cultural meaning the works may have had for the artists who produced them. It is also alleged that, in any case, Ashcan artists did not have a social agenda but were only benign, if bemused, commentators of their era.

In contrast to these prevailing assumptions, I argue that in the case of George Luks the vast majority of his newspaper and periodical work is, in fact, recoverable. My research has brought to light hundreds of drawings that survive in their printed format. A close analysis of these illustrations reveals Luks's thinking: his democratic egalitarianism, his instinct to challenge social assumptions and the class structure of his day, and his keen sense of social justice. One readily accessible indicator of Luks's social thought is contained within the fifty cartoons he drew for the "Hogan's Alley" comic series for the *New York World* between May 31, 1896 and December 5, 1897.

Luks utilizes the foil of an imagined tenement district, seen through the eyes and actions of its youngest denizens, and, in particular, through the person of Mikey Dugan, the "Yellow Kid"-a figure plagiarized from Richard Felton Outcault. The formal visual structure of these cartoons subverts our passive viewer-ship at the same time it challenges one's assumptions about social order and control. As David Westbrook has observed, the turn-of-the-century comic strip alternated between the trope of the city as gritty reality

and the trope of the city as a locus of wish fulfillment for its resident consumers, becoming a surreal amusement park run mad. By situating his characters in the fictional-yet believable-setting of "Hogan's Alley," Luks played upon the voyeuristic curiosity of his readers, giving them a glimpse of "the other side of the tracks," satisfying their taste for the naughty and sometimes risqué world of the slums, while at the same time addressing under the guise of humor pressing social issues then transforming the heart of New York City, and, indeed, of urban America. In the fifty cartoons comprising the "Hogan's Alley" series, Luks addresses the tribulations of ghetto life (43 times), violence and lack of social control (21 times), American popular culture as assimilation mechanism (21 times), racial diversity (19 times) , social reform movements (9 times), machine politics (9 times), high society parody (8 times) and changing sexual mores (5 times). The closely related issue of how the comics functioned as an agency of commerce between competing newspapers is addressed in no fewer than 19 of the 50 illustrations.

The repeated use of incidental stock characters-the "brainy kid," the "hand-standing kid," the "kid falling off the balcony with the umbrella"-serve to reinforce the sense of pure comedy. Yet, under the guise of laughter, these figures reinforce the trope of the ghetto as the locus where social control is subverted, where police, as agents of social control, are frustrated, and where the oppressed youth of tenement society, who, after all, comprise future generations, are (in the comics, at least) perpetually triumphant.

The fact that these cartoons are gorgeously rendered in the rich, sensual colors of chromo lithography-a very new technology in the 1890s-made their appeal, and the message they conveyed, all the more direct and powerful. Indeed, the Kid's yellow nightshirt became such a popular visual icon in its day that it gave rise to the phrase "Yellow Journalism."

Taken together as a body, Luks's Hogan's Alley cartoons show him to be a man who was passionately egalitarian in his sympathies, fiercely against the machine politics of his day, strongly opposed to societal conventions that controlled people's lives and confined them to rigid social spheres, and a passionate believer in the potential ability of ordinary folk to challenge their circumstances and re-invent their world.

The Grail Unearthed? A Critical Look at Claims Made for a Mushroom-Cipher

Cross-disciplinary: Religion/Literature/Art History

Paper Presentation

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Scattered here and there in the literature of medieval Europe are pieces to a puzzle. Some are alluded to, some implied, some hinted at—but eventually, piece by piece, a complete picture begins to take form. "Puzzle" is a fair metaphor for what I propose to discuss: the Holy Grail symbol. This symbol, which manifested in distinct and apparently irreconcilable typologies in the various romance cycles from about 1180 to 1230 C.E., has come through to this day complex and inscrutable, at times disconnected by analysis, and all the while defying definitive solution despite copious study.

A number of researchers have, in recent years, ventured a hypothesis that purports to definitively solve the symbolic puzzle of the Grail along ethnobotanical lines. This hypothesis states that the Holy Grail is a cipher for the entheogenic fly-agaric mushroom, *Amanita muscaria*, and that the Grail narratives were themselves descriptive of heterodox Christian cultic practices (affected perhaps by autochthonous pre-Christian influences). Whether heretical or pagan in origin, something like such cultic practices appears to have existed within the historical frame of the Grail narratives. Yet until now, no thorough, objective research has been conducted to uncover the reasons for attributing an entheogenic cultic basis to the Grail symbol.

In this article I explore the possibility of concealment in symbol (cipher) of an entheogenic plant such as the hypothesis suggests; and look at the Grail itself, based on its literary qualities, not as a code for an identifiable plant, but as a possible "function"[1] of the experience induced by it. In doing this last,

> we need not concern ourselves overmuch with any specific psychotropic substance. Moreover, we might argue that this function includes more than the category "entheogenic plants"; it must also embrace the category of "substitutes," plants [and objects] that symbolize the entheogenic experience, or the social implications of that experience. (Wilson 1999: 37)

In short, I focus both on the suggested material basis for the symbol and on its use as a function of the intimate experience of this material basis, namely the mushroom.

A word may be said regarding the problem of origins in modern literary scholarship. Modern literary criticism, for the most part, frowns upon theories of origins and investigation into source issues. It is more concerned with the new historical criticism, considering excursions into problems of origins and sources as antiquated studies, typical of earlier phases of the

discipline, and fruitless distractions. Thus to the discipline a work like this may appear superfluous. However, the present work is not an inquiry into the problem of origins *per se.* Rather than dealing with its cultural or traditional origin, it attempts to investigate the claims made for a particular material basis for the Grail symbol, which, because of its hypothesized universality and fundamentality, encompasses and transcends all origin. It does not, at any rate, threaten the mythological or collective character of the Grail narratives.

One of the most significant characteristics of symbols is susceptibility to a multitude of interpretations. Usage amalgamates various ideas into a single symbolic entity that consequently assumes a number of meanings—all possibly valid, even if contradictory—which often disguise, and even replace, what the symbol was originally intended to represent. In a word, a symbol may at any time incorporate a meaning not immediately perceptible, as the censer of history makes the latent content all but disappear. Thus, while historically perhaps no symbol can be limited to one meaning, an effort must be made to get at "the" meaning behind the symbol, to bring to consciousness exactly what it is intended to represent.

At its most basic, a symbol can be said to be a mode of expression in which one thing is described by means of another. This is admittedly a rather vague definition, and some have been more specific. C.G. Jüng, representing the transcendentalist view, emphasized that "an expression that stands for a known thing always remains a mere sign and is never a symbol" (Jacobi 1975: 80). To him and others, only the transcendent and archetypal can be reflected through symbol. Thus to Jüng the Grail (as all else, apparently) is "the inner wholeness for which men have always been searching" (Jüng 1974: 215). But symbols are not universally defined in such semantically limiting terms.

The world over, religions are composed of universally recurring themes and patterns that convey transcendent or archetypal meaning. They are clothed, according to some, in the local representational garb of each particular folk mythology. It has been the focus in the past to speak of the garb only as the local conveyor of universal meaning.[2] Overlooked time and again was the fact that these mythic representations at times refer to a thing that, while naturally universal, is not in any way archetypal or transcendent. It is in this sense that symbol may be spoken of as *cipher*—a cipher being defined as a code provided with arbitrary meaning for the sake of brevity and secrecy in communication. It affords brevity, in that it can concisely refer to a wide

arrangement of elements; secrecy, in that its understanding demands acquaintance with a particular symbolic vocabulary.

The findings of scholarship in connection with the entheogenic plants used by various cults reveal that the language used to refer to them "tends to be euphemized, masked, buried in etymologies, and even false etymologies" (Wilson 1999: 15)—in short, coded in symbol.[3] This is a universal phenomenon wherever cultic entheogen use is found. The esthetic encountered is one of function as well as form. In other words, the euphemisms, metaphors and other literary devices are born out of necessity as much as imaginative agency. There were descriptive needs, to be sure; but these were very often molded by initiatic requirements of secrecy. The morphology of the plant and the phenomenology of the experience it induces were cloaked in cipher language, then, as a means to (*a*) succinctly communicate particular information specifically to those who have the necessary key—either by being privy to their mystery, or by having somehow gained sufficient knowledge for their identification—, (*b*) to withhold this information from those without it, and (*c*) to accomplish both together through the same medium. (Such practice is easily recognizable to the student of the literature of esoteric circles.)

In this study I am particularly concerned with investigating claims made for a material basis both for symbol and experience. And although to discuss symbolism and religious experience in this way is not necessarily reductionistic, it may appear this way to some. The main difficulty scholars face in accepting entheogenic bases for the primal religious experience is inherent in very properties of the entheogens themselves,[4] as well as an inherited bias in this area of research[5] stemming from the great flaw of those nineteenth-century "armchair anthropologists": lack of personal experience. For instance, one finds one contemporary scholar proclaiming how "numerous parallels can be observed between states that occur during mystical experiences and those occasioned by drugs. The inducement of *ersatz* ecstasies and visions is indeed nothing new in the history of religion" (Waegeman 1998: 91). This statement, which presupposes an implicit difference between the drug-induced and the endogenous mystical experiences, derives from the *à priori* assumption that visions that "appear to occur spontaneously"[6] are somehow validated as genuine because of their apparent spontaneity (i.e., lack of intentionality).

The pivotal assumption of such an argument rests implicitly on the overvaluation of spontaneity—if this can at all be said to exist—, which has repercussions on questions of the

immediacy and purity of the experience, and on implications of historical primacy for the so-called spontaneous vision by its equating of purity with anteriority.[7] A fair judgment is perhaps ultimately accessible only to one who has experienced both methods of induction.[8] Indeed, when spontaneity as such is nowhere found, when exogenous induction of the experience seems to be, if not the prototype, then the analogue, to the endogenous vision,[9] then there is little left to turn to as a reference but the comparative study of the records of such experiences. I must necessarily pass over such a comparison, but I will accept the conclusion that,

> Drug-induced experiences as well as traditionally labeled meta-physical or religious experiences obtained through contemplation or other means can properly be called identical as far as their phenomenological content is concerned. (Götz 1972: 59)

In specific periods during the history of humanity, and in specific areas, psychotropic substances have been used to access the primal religious experience. The experience thus accessed was to those undergoing it undeniably "genuine". Hence, this experience is *phenomenologically* genuine. This article, therefore, will not concern itself with the authenticity of the experience so much as with how the phenomenology of the experience and the morphology of the inducing mushroom might have been symbolically represented.

2

The Grail narratives are of two orders: (1) those concerning the *quest* for the vessel, and (2) those which relate its *early history*.[10] However, as these are not mutually exclusive it is unnecessary for, and perhaps counterproductive to, my present purpose to follow this separation, inasmuch as what is being considered is the Grail itself, likewise present in quest and early history.

In undertaking a study of the hypothesized symbolic development of plant into cipher within this cycle of romance, one must tread carefully so as not to sacrifice significance for meaning—as already stated, there are reasons other than merely the mythopoetic for concealing the original object in metaphor. Before delving any further, however, it would be proper to establish whether indeed such concealment was deliberate on the part of the authors.

That the Holy Grail is a cipher for the fly-agaric was lengthily argued in Clark Heinrich's *Strange Fruit* (1995). Heinrich introduces his "strange book" with a revealing rationale for its existence as well as his proposed methodology: He, is "not a scholar in the traditional sense," and seems to have little regard (if not complete disdain) for traditional scholarship.[11] The work,

he claims, is a "speculative history", needed ostensibly because of scholars' general disinterest in uncovering "evidence of secret information that may be encoded" in religious writings. "If none of my speculations ring true," he says, "they will quickly be forgotten" (1995: *x*, *ix*).

The bells were hardly slow in tolling. Jonathan Ott in *The Age of Entheogens* (1995) mentioned the association in passing.[12] Heinrich himself revisited the claim, joined by Danny Staples and Carl A.P. Ruck, tentatively suggesting the connection in the journal *Eleusis* (1999: 37). In 2000 two works appeared that touched marginally on the subject. The first, vastly less scholarly than Heinrich's own, was James Arthur's *Mushrooms and Mankind*. The second was an academic survey by Daniel Merkur titled *The Mystery of Manna*. Finally, Ruck, Staples and Heinrich (2001) published a *formally* scholarly work on eucharistic sacraments, which treated the hypothesis to some degree.

These proponents of the hypothesis all (with the exception of Merkur) argue along very similar lines, if with varying degrees of scholarship. Their points of agreement may be summarized as follows:

- They assume the existence of a heretical Grail cultus, often called a "Church" and nearly always associated with Gnostic, neo-Manichean, and even Templar practices;
- they argue indiscriminately from the entire corpus, without regard for theological, ideological, or even typological differences among them; and
- they propose, or at least imply, a continuum of conscious use of the Grail cipher for the fly-agaric.

Standing apart in his formulation of a *Soma-function* and its application to the Holy Grail is Peter L. Wilson in *Ploughing the Clouds* (1999). He is alone in making a literary argument for these connections. When he writes that "the Grail may be considered not only structurally but historically related to Iranian Haoma, or rather to its ritual cup or basin" (1999: 44), he does not refer to a cultic diffusion, but to a literary one; he is speaking of a literary-historical relationship between the Iranian *haoma* cup and the Holy Grail. And yet, even he seems to suggest some knowledge of entheogens during the period the Grail narratives were being set down, although he does not substantiate this.[13]

In *Strange Fruit* Heinrich[14] argues from the physical likeness of the mushroom to a chalice:

> The fully mature mushroom becomes a literal cup, if it is deep, or dish, if it is shallow. If the cap gets wet at this stage rivulets of red run down the cup's interior and pool at the bottom. (2001: 152)

He makes a case quite literally for a Christian mushroom cult, basing his argument on John M. Allegro's 1970 work detailing just such a cult as the earliest form of Christianity.[15] In an earlier work (1992), Heinrich had argued for the identity between the fly-agaric mushroom and "the penis of god", based again on the form the mushroom takes in its "phallic" stage of growth.[16] Following this line of argument, Heinrich equated the Grail King with all emasculated gods (Rudra, Attis, Osiris, Uranus) and concluded that the wasteland motif is in fact the drought so dreaded by the mushroom cult; for without rain, and the myco-genetic thunderclap, it is left without the means for its eucharistic rite. Thus the lamentation heard in the hall of the Grail King is nothing other than a descendent of, to quote Allegro, "the lamentation ceremonies [that] were intended to rejuvenate the dormant penis of the fertility deity" (1970: 109).

Heinrich did not leave out a discussion of the doctrine of transubstantiation. The doctrine was read at the Fourth Lateran Council (12th ecumenical) on 30 November 1215 by Pope Innocent III (Lotario de'Conti di Segni, ca. 1160-1216 C.E.). Its approbation related the doctrine implicitly to those of the incarnation and the trinity, placing any objector outside the universal Church.[17] It was Heinrich's contention that much of the church's worry over the problem was a reaction to these heretical Grail-mushroom cults, who were in the business of consuming a veritable ecstatic sacrament, in contradistinction to the placebo sacrament administered by the orthodox church.

Heinrich exploits the liturgical divergence between church and romance in addressing the Grail procession itself, and here he follows generally the Chrétien's *Conte* without heeding the differences encountered in the other versions, suggesting by the way a redundancy of cipher: The lance leading the procession and dripping the three drops of blood (see below) is for him the secreting, penile fly-agaric. The two candelabra are "another fly-agaric correspondence" due to their phallic and fiery nature. They are followed by the shining Grail, which symbolizes the full-grown specimen. The platter then appears, alluding to the tray that held the Baptist's head, and thus by synecdoche the head itself, which is nothing other than the "fly-agaric cap separated from the stalk" (Heinrich 2001: 154-5). And so on.

He makes an appeal, though indirectly, to Jessie L. Weston's theory of origin for the Grail myth. Weston's ritual theory, based on works of James G. Frazer and Jane E. Harrison, was at one time quite influential in the field of Grail studies. Her main contention was that "in the Grail romances we possess, in literary form … the fragmentary record of the secret ritual of a Fertility cult." "In the Grail King," she wrote,

> we have a romantic literary version of the strange mysterious figure whose presence hovers in the shadowy background of the history of our Aryan race; the figure of a divine or semi-divine ruler, at once god and king, upon whose life, and unimpaired vitality, the existence of his land and people directly depends. (1993: 66, 62)

Weston described the lance and the Grail as sexual symbols, and she concluded that the esoteric aspect of the Grail mystery "provides us with the Mystic Meal, the Food of Life, connected in some mysterious way with a Vessel which is the centre of the cult …" (1993: 158).[18]

Heinrich's appeal to Weston is understandable—considering her connection to the Cambridge ritualists, upon whose theories so much of Allegro's work rests—, and he is at his most convincing in his exploration of the motif of the three drops of blood that so much intrigued her: The drops of blood falling on a white surface (cloth or snow) are a chromatic allusion to *A. muscaria* (though the colors are reversed) and their association with reverie and sleep have to do with "the onset of drowsiness, … which if not resisted can turn into quite ordinary sleep," and from which "one awakens hours later refreshed but not wiser" (2001: 155). This, he forwards, is the reason for the hero's initial failure to gain the vision in his visit to the Grail castle. It is only the inexperience of the novice with the mushroom vision, concludes Heinrich, that prevents him from taking his cue from the onset of drowsiness to stand up and pay attention.

Ott's treatment of the hypothesis is not as involved as Heinrich's. In the *Pharmacotheon* he merely takes the identification as a given: "The philosopher's stone and the Holy Grail … are all considered to be metaphors for *Amanita muscaria*," something he repeats in the *Angels' Dictionary* (1993: 324; 1995: 95, 125). Arthur, for his part, echoes Heinrich's argument from likeness, but fails to credit the latter. He adds that "historically, the mushroom has been the container of the 'elixir of immortality,' or 'the blood of God,' in many myths" (2000: 18, 21). Unfortunately, he fails to provide any documentation for this, although one cannot help but surmise that he is alluding to R.G. Wasson's work.[19]

Dedicating a section of his work on "the psychedelic sacrament of the bible" to the discussion of the Grail, because of its eucharistic connections, Merkur brings a fresh perspective to the discussion. As he surveys some of the theories of origins in his treatment, it would be helpful to follow his arrangement. He begins by discussing the etymology of the word *graal* as a large platter (2000: 111). The Latin word *gradale*, in fact, is found as early as 1010 C.E. as describing a type of bowl or bowl-like receptacle (used, e.g., to wash hands, or as a pot). This type of bowl could be fashioned of precious metals, but it was often, and perhaps initially, of clay. Indeed, in the old *langue d'oc* one finds *greza*, cognate to the dialectical Catalan *gresa* (Catalan *greda*), meaning a type of potter's clay. It is not surprising, then, to see A.E. Waite (1969: 53) report that *grazal* and *grasal* are, respectively, the name of a large vessel made of clay in the dialect of the Languedoc, and a bowl or platter (presumably of the same material) in Provençal (Corominas 1954: 783, cit. in Resina 1988: 255).[20]

The "all-important question" for Merkur is "why the Grail was associated with the eucharist" (2000: 112). In Robert de Boron's *Roman*, the Grail is the vessel of the Last Supper that Joseph of Arimathea used to collect the crucified Christ's blood.[21] But the association is present in the *Conte* as well, where the Grail's sole content is a single mass wafer (*oiste*). The Grail containing a host represents for Chrétien a ciborium or a chalice or a combination of these. The words he uses to refer to it, "completely uncovered" (*trestot descovert*) and "such a holy thing" (*tant saint chose est le graals*), may imply an unveiled chalice (Weinraub 1976: 21).

This association of the Grail with the Eucharist is the territory of the Christian theory of origin school. One branch of this school equates the Grail procession with the Great Entrance of the Mass of St John Chrysostom, wherein the officiants, before entering the veiled sanctuary, advance in procession from the chapel of the *prothesis*, bearing the *diskos* (patten), the chalice and the knife that symbolizes Longuinus's spear, which the priest uses to "wound" the bread (Winraub 1976: 24). According to Nitze (1949: 309), Philip d'Alsece, Chrétien's patron, would have known the Byzantine mass from his visit to *outrémere* in 1177 C.E., but it is hard to imagine why Chrétien would use this as a basis for the Grail ritual: "The French poet was not concerned primarily with Eastern material. His Grail is only superficially Christian … Nevertheless, the form of the Grail ceremony is Christian, with a marked Byzantine flavor. And the best testimony of this is the bleeding lance."[22]

It seems more likely that heterodox Christian and pre-Christian liturgical or literary elements had combined in Chrétien's mind to form this rite.[23] "Arthur Machen (1924: 25) noted," declares Merkur, "that several of the romances portray heterodox rites of communion … the lost communion practices of the Celtic Church" (2000: 112). These same rites Nutt ascribes to the Knights Templar due to the allusions to the order found in some of the narratives (*Perlesvaus, Parzival*, and perhaps the *Queste*). Robert Graves (1997: 147) noted that "the Church in the south of Gaul … had from the very first been closely in touch with the churches of the East …," with monasteries being founded from Egypt, and with both Egypt and Syria maintaining lively intercourse with Southern Gaul. And it is to Syria that Merkur moves next (114-16), as he discusses the similarity between the vision in the Cistercian *Queste* and the Syriac Mystery rites described by Hierotheos—i.e., that as the knightly company receives communion from Christ crucified and becomes one with Him, each knight is by the same mystery crucified with Christ. Merkur dismisses these assertions, however, as unempirical, and proceeds to consider Weinraub's work, the Jewish theory of origin.

During the Mishnaic period (ca. 100 B.C.E.-200 C.E.) the institutional observance of the Passover was fixed in the form of a family banquet, the *Seder*.[24] This ritual was Chrétien's basis for the Grail rite, according to Weinraub. Many elements, such as a girl bearing away the plate and the youngest member at the table asking her whence she removes it, are apparently paralleled in both rituals. Moreover, in medieval Haggadah literature the only silverware mentioned is the knife, and always in connection with the cup of wine, which to Weinraub is the original Grail. This knife is dipped into the wine and then used to cut the unleavened bread (1976: 50, 64), presumably producing the mysterious drops. The problem with this theory as contrasted to its Eastern Christian counterpart is that, whereas in the Eastern rite the knife is a substitute for a lance and one can therefore see how Chrétien might revert to the original object, the Seder knife is never anything else. Furthermore, nothing is cut with the lance in the narrative except the Grail King by implication, so that the Christian allegory is clearly applicable if the Fisher King is a Christ figure. And nothing less than a transmutation of wine into blood is necessary to find the origin of the blood in the Grail procession in the Seder ritual. Some added difficulty is found already by Holmes and Klenke (1959: 80), who point out that around the time of the *Conte* "things had come to such a pass that Philip Augustus banished all Jews from the country and confiscated their property," adding that a large number of Jews were massacred in

Lincoln in 1189. But these difficulties cease to be as pronounced if one remembers that the original Christian eucharistic rite is based on the self-same Passover meal that Weinraub discusses.[25]

Finally, Merkur explores the Celtic theory of origin. He asks, "What had medieval Wales to teach that Christian mystery initiates thought appropriate to their concern?" (117). The answer is, of course, their inheritance of shamanic tradition. The date of the Welsh *Peredur* is given as at the end of the outpouring of the Grail tradition being discussed, yet no one denies that the traditions contained in it and related tales are much older. There is, for instance, the tale of Ceridwen and Gwion. Ceridwen prepares a cauldron with certain plants. This cauldron needs to be kindled and boiled for a year and a day, at the end of which it would bring forth three drops which would grant wisdom and the gift of prophecy. The rest would become a foul poison, blighting the land. She set the lad Gwion to the task without allowing him knowledge of the mixture's properties, with the result that just as it was time for the virtues to be extracted, the boy was distracted and the three drops fell on his thumb. Absentmindedly he sucked on it and suddenly became enlightened (Ford 1977: 163; Graves 1997: 27-8).

Already here certain elements become apparent: the cauldron of gnosis, the innocent lad (compare to "simple" Perceval, Peredur, etc.), the predicted blight on the land, and even the three drops connected in the Grail corpus with the lance. And of course, "the concern with psychoactive plants is explicit …" (Merkur: 2000: 119). This reflects one of the Grail's virtues (see below)—enlightenment. Illustrating another, nourishment, is Loomis's argument for the origin of this virtue in the Horn of Brân the Blessed, a cornucopia that provided "the drink and food one asked for":

> If one looks for any obvious traces of this miraculous horn in the Grail romances, one is disappointed; instead one finds the wonder-working mass-wafer, the Corpus Christi, in intimate association with the dish. (1991: 60)[26]

His explanation for the substitution is based on the identity of the words in Old French for "horn" and "body," *cors* (the word can mean "horn [*cornus*], corner, cut, course and corpse" [Resina 1988: 304], depending on the context) and the apparent fact that a horn was not a normal prandial instrument in late medieval France. He reasons, therefore, that it would only be logical for a Frenchman to make the substitution of the body of Christ for the blessed horn.

Forwarding the Celtic theory of origin in more detail is the episode involving one of Bran's followers, Rhiannon's son, Pryderi ("trouble", an early Peredur), who comes to a mysterious, bare land, deserted and uninhabited (Wasteland), at the center of which stands a desolate palace. In the middle of the court of this palace Pryderi finds a golden bowl on a marble slab. Grasping it he becomes dumbfounded, being able neither to move nor to utter a sound. At the end of the episode the castle vanishes with all it contains (Rolleston 1990: 373-5). The parallels among this tale and the later grail versions are obvious. A further interesting parallel may be found in a tale provided by Loomis, called the *Phantom's Frenzy* (i.e. the god's ecstatic prophesying), written down before 1056 C.E., with remarkable, if formal, similarities to the initial grail visit:

> A supernatural figure who invites the hero to his abode, arrives before him, and acts as host; the lavish provision of meat and drink; the damsel with a golden vessel; the question, "Who shall be served with this vessel?" which cannot but raise echoes of the question Perceval was expected to ask [*Qui on en servoit*?]; the vanishing of the host. (1959: 282; 1991: 47-8)

The importance of these episodes, Merkur observes, is to be found in their similarity to the shamanic voyage, as recorded in folklore.[27] As it now appears, this shamanic record of initiation in mythic form in time took on the outward guise of a heterodox, primitive Christianity in the Grail tradition. Few doubts exist as to the realities of entheogenic practices in the mystery cults, and recent study has revealed a great amount of evidence indicating the entheogenic realities of Western European druidic and shamanic practices.[28] What remains to be seen is whether these ancient practices were consciously continued, even in altered form, within the timeframe of the composition of the Grail narratives, and whether the Grail was retained as a cipher for, or merely a function of, the entheogenic mushroom or its experience.

4

Fisher observed that "the literature of an epoch reflects its thought and sentiment, but to understand how the former was interpreted by the audience of the time one must first understand the discursive environment underlying the latter" (1966: 1). The environment underlying the Grail narratives was one of great religious upheaval. One hotly debated topic was the presence of Christ in the Eucharist.[29] A related topic, and one that was more than debated, was the heretical doctrine of the Cathar Church. The heresy stretched from the Rhineland across to the Languedoc

and the north of Italy, and according to the declarations of some of the believers, it had adherents in the East as well (van den Broek 1998: 88). It held a docetic view of the crucifixion—that is, it did not accept as true that the Christ was actually crucified. For the Cathars, therefore, the true presence of his body was not to be found in the Host.[30]

One of the central assumptions of the supporters of the entheogenic hypothesis is the existence of a heretical Grail cultus on whose rites the ceremonies described in the narratives are supposedly based. Often, this cultus is associated with the Cathar Church. The association is not theirs alone, however; Leonardo Olschki (1966, ctd. in Merkur 2000: 174) had already declared that,

> the heterodoxy in question was the religious dualism of the Cathars; but his case rested on a single equivocal motif. In both Chrétien and Wolfram, the Grail radiates light; but since the gospel of John 1.9 describes Jesus as light, there is no basis for interpolating ideas about light. What is more, current research indicates that the dualism of the Cathars was not a persistence of Manicheism, but an independent departure from Roman Catholic teachings.

To be fair, the case for Cathar dependence on Manichean thought[31] is not necessary to establish the Cathar Church as the Grail Church, even on the basis of the light motif, which, incidentally, appears in more narratives than just the two mentioned by Merkur (see below).[32] Simone Pétrement (1990: 15) cautioned that "the Cathars, who have been described as Manichees, did not know of Manicheism; they knew the Gospel of John. It is to this text that they refer incessantly." Nevertheless, the possibility exists of a Manichean connection through the Bogomils, to whom the Cathars trace the principle tenets of their doctrine and practice (van den Broek 1998: 88).[33] The Bogomils, in fact, aside from tracing their faith back to the Messalians and the Paulicians, exhibit primitive Gnostic elements, and there is a possible connection to the sect of Borborians in addition to Mani's Church. Moreover, the Bogomils were influenced by both indigenous and foreign pre-Christian traditions, as becomes clear from the mausoleums lining the countryside of Bosnia and Herzegovina, where one finds motifs of ceremonial hunts alongside triumphant suns indicating the conquest of the light.[34] Likewise, their Cathar heirs must have been influenced by indigenous, as well as foreign, pre-Christian practices and beliefs.

It is not necessary to conclude that the Cathar church *either* stood in direct lineal descent to a single tradition, the Manichean-gnostic cum pagan, *or* developed independently as some sort of

proto-Protestant faction within the Roman Church. It may be more reasonable, rather, to suppose that a combination of these was in fact unavoidable. One would do well to remember that the Grail narratives themselves serve witness to a survival in the popular mind of pre-Christian elements. As Seznec (1972: 3) noted:

> Above all, it is now recognized that pagan antiquity, far from experiencing a "rebirth" in fifteenth-century Italy, had remained alive within the culture and art of the Middle Ages. Even the gods were not *restored* to life, for they had never disappeared from the memory or imagination of man.

Ott implies a neo-Manichean Catharism, and claims Augustine of Hippo accused the Manicheans, with whom he had been associated, of eating the fly-agaric mushroom in his *De moribus manichaeorum* (13.30). The word Augustine uses to refer to the mushrooms is *boletos*, which was the word used to refer to the *Amanitas*. He allows that *Amanita cæsarea* had ever been a favored Roman delicacy, so that Augustine's reference could have been to this mushroom. However, Ott also points out that the Manichean church surviving in China as late as the thirteenth century (thus contemporaneous with the Grail romances) was denounced for eating red mushrooms (1995: 46).[35] To this may be added the tacit identification of the "holy fruit" on the Manichean "table of God" at the eucharistic meal for the elect (Bema festival) with *A. muscaria* on purely morphological bases.[36]

All of this is poor substantiation for Manichean entheogenic practice, not to mention for its existence in a Cathar Grail cult. But the identification is hardly necessary; the state of Christianity in the region was not nearly as neatly divided as Cathar-Catholic. Yet if anything like this purported Grail cult existed, whatever its ecclesiastical affiliation, one would expect it to have been survived by some kind of ritual evidence. Unfortunately, the object of supposed cultic reverence being considered—namely, the fly-agaric—along with the particular circumstances surrounding it, presents certain difficulties in this regard. The question, How does one identify mushroom usage by a specific group in a specific period? is answered in the following points (Torres 2001). The objections raised in each illustrate the archeo-ethnobotanical problems encountered in attempting to unearth evidentiary material that would substantiate the existence of such a cult.

(1) First and foremost, one would hope to discover plant remains in the proper context—such as, for example, mushrooms on an altar or in a communal bowl. Yet in order for mushroom

remains to be preserved in any context where they might be immediately identifiable, the environmental conditions of the area would have to be ideal. (2) Failing to find the mushrooms themselves, one would hope to find paraphernalia of preparation and/or ingestion. Mushrooms, unlike some other entheogens, are either dried and eaten by hand, or boiled to extract a broth; hence cultic paraphernalia might simply consist of common bowls or platters, such as for instance, a common *graal*. It is possible such cultic objects would likely be indistinguishable from the more common bowls or platters—though if such centrality is given to the *graal* itself, one should expect them to be markedly uncommon. (3) Artistic record of such activities might survive, which brings to the fore the next possibility: the finding of artistic representations of gathering, preparation or ingestion procedures, mythic associations and other such cultic material. Much of the material would have vanished during the Albigensian Crusade starting in 1208 C.E., and the subsequent practices of the Holy Inquisition. Fortunately, here finally there is material to be accessed, scant though it is. (4) Before proceeding to examine this material, however, it is appropriate to point out the last recourse: the finding of historical references or literary accounts, which likewise suffers due to the suppressive and destructive actions of the thorough Roman Inquisition.

As for literary accounts, proponents of the hypothesis contend that the Grail narratives themselves serve such a function; but to argue for the survival of cultic practices in the Grail literature from the literature itself is circular and therefore unacceptable. Thus far no historical reference has been found to suggest that anything like entheogenic ritual practices were taking place within the landscape of the romances. But, again, this could simply be attributed to the destruction of such records by the Church and time. Such a central Cathar document as the *Interrogatio Iohannis*, for instance, only survives the Inquisitorial fires in two Latin versions, and of these only one is Cathar.[37] That being said, there is no indication from this work that psychotropic mushrooms under any guise were part of the Cathar world.

One researcher documents the survival of fly-agaric mushroom use by modern day Catalans and Basques, and gives indication of the antiquity of the practice. He notes the commonality of such expressions as *Está tocat del bolet* ("He is touched by the mushroom"), an allusion to its psychotropic effects (Fericgla 1992: 63-66). The phrase has been attributed by Wasson (although with what authority it is impossible to determine) "to the refugees who crossed from France ca. a.d. 1300, fleeing from persecution in western and southern France

(Occitania) in the course of the bitter religious war against those we generally call the Cathar or Albigensian heretics" (1986: 72). He adds that the use of the term "mad mushroom," with a reference to fly-agaric, survives in the Aude (Languedoc) and around Toulouse (*mijoulo folho* and *mujolo folo*, respectively), as well as across the border in Catalonia as *oriol foll* ("mad oriol") and northern Italy as *funghi matta* ("crazy mushroom"), unconsciously perpetuating the now-forgotten folk knowledge of the properties of the entheogenic mushroom (1986: 72; Samorini 1998: 98).

The most direct evidence of heretical Christian mushroom use that the proponents of the hypothesis might make use of is found in religious art. Geographically, the least connected piece is found in the Canterbury Psalter (Eadwine Psalter, ca. 1147 C.E.), a reproduction of the earlier Ulrich Psalter (ca. 816-835 C.E.), which, according to Arthur (2000: 79-80), represents Christ as the "Lord of the Magickal Plants." The illustration shows Christ in benediction; below him rise four types of plants. These have been identified by Arthur as (1) red and white *A. muscaria*, (2) blue-black *Psilocybe* sp., (3) *Paganum harmala* and (4) *Papaver somniferum*.[38] The more direct evidence comes by way of Romanesque frescoes found for the most part in many small churches dotting the countryside. Much of this evidence had been frescoed-over by the controlling orthodoxy. In the first half of the twentieth century, however, this covering layer began to crack and flake, revealing a treasure underneath.

This treasure has often to do with common element in Romanesque and early Gothic Christian art designated *Pilzbaum* ("mushroom-tree"), and considered to be a schematic representation of the coniferous umbrella pine (*Pinus pinea*) (Panofsky, ctd. in Wasson 1969: 179; cf. Samorini 1998: 87-8). Perhaps paradigmatic are those appearing in the first and second panels of the Eleventh-Century *Story of Adam and Eve*, from Ælfric's Anglo-Saxon Hexateuch (Blackhouse 1997: pl. 17). For the most part this schematic representation of the conifer has no connection whatever with a mushroom. In some cases, however, they are glaringly mycomorphic. Because of this, along with the strange nature of the pictorial passages they appear in, a case could be (and has been) made for this connection.

The first of these small churches is in the French town of Vicq, Berry. Saint-Martin is divided nearly in half lengthwise by an arch, on the inside of which are depicted two crusaders bearing the Maltese cross on their tabards, standing watch, as it were, over the inner sanctum. On one side of the arch fairly orthodox frescoes line the walls. On the altar side, however, two

curious scenes are found. The first is a depiction of Jesus's entrance into Jerusalem (see Samorini 2001: pl. 1) on the upper right wall of the choir. The interesting feature of this scene is the top of some of the "palms" the people are taking up to welcome Jesus. These are undoubtedly mushroom-like. There is a continuation of this scene on an adjacent wall, which shows men atop these mushroom-trees in the process of cutting down the supposed palm leaves. This has been interpreted by Samorini (1998: 97) as a "fungo-esoteric" message. No identification has been forwarded for these mushrooms, however, which are the only near-literal representations to be found, but they do not appear to be a psychotropic variety.[39] Another fresco, this one from the Abbey of Saint-Savin-sur-Gartempe, Vienne (ca. 1100 C.E.), depicts the fourth day of creation, the placing of the sun and moon in the heavens. Side by side with what is by comparison a strikingly realistic tree, as Manuel Torres (2001) observed, there is another *Pilzbaum*. This tree has been tentatively identified as a psychotropic mushroom, *Psilocybe pelliculosa* (Torres 2001).

One of the first of these *Pilzbaum* frescoes to come to the attention of researchers (Wasson 1969) is found in the chapel at Plaincourault, Indre, reputedly painted by Knights Hospitallers after their return from *outrémere* (Samorini 1998: 87). It depicts the scene of the temptation of Adam and Eve in Eden—or rather a précis of the entire episode—with the serpent shown entwined about the trunk (stalk?) of the "mushroom-tree".[40] The leaves of the tree itself are nothing if not cap-like. This, together with the characteristic, white-specked red coloration of the fly-agaric cap, suggests it is a representation of the mushroom before its full-grown stage. The stalks, however, are wholly uncharacteristic for *A. muscaria*. Two equivalent frescos exist, one in Catalonia, the other in West Germany. The former was originally found in the church of Sant Sadurni d'Osormort, Catalonia (12th cent. C.E.; see Samorini 1998: 154). The scene here is similar to the one in Plaincourault, with the exceptions that (*a*) the serpent is removed to the left of the scene and is now entwined about a palm, (*b*) the couple is not skeletonized, and (*c*) Eve is in the process of consuming the fruit, while Adam is in the act of taking a portion from her. The *Pilzbaum* in this scene is clearly not a mushroom, the white specks notwithstanding. The latter parallel to the fresco at Plaincourault is found on the bronze doors of the abbey church of St Michael at Hildesheim (ca. 1015 C.E.; see de la Croix, Tansey and Kirkpatrick 1987: pl. 8.27). The scene here is that of Eve and Adam being reproached by the Lord for their indiscretion and the passing of the blame motif. The *Pilzbaum* that stands flanked by the primal couple is the least

mushroom-like of the three, detailed leaves being clearly visible in the relief. Despite this, Samorini (1998: 102) still sees a "psilocybian" mushroom at its basis. This claim is unnecessary, however. A more convincing "psilocybian" type may be distinguished in the creation Copula of San Marco, Venice (ca. 1220-90 C.E.). In the *Temptation of Eve* (Jolly 1997: pl. 11) a small "mushroom tree" appears which can—because of its coloration (deep blue), as well as its height and position relative to the other trees—be said to be *Psilocybe* (sp.). It stands diametrically opposed to another blue tree about which the serpent coils. It is not, however, connected with the fruit, except by way of interpreting its diametrical opposition to the serpent as significant. In the end, only its relative height is convincingly mushroom-like, since even the coloration has been explained by P.H. Jolly (1996: 17) as well established throughout the mosaic to connote evil. Only in relation to the next section in the Copula, *Eve plucking the Fruit and tempting Adam* (Jolly 1997: fig. 20)—which is enclosed by a gold border, but is nevertheless dependent on the previous one (*Temptation*) for context—does the tree again regain a semblance of association with the fruit of paradise. It is doubtful, however, that an argument from arrangement can prevail in this case, as it does perhaps in the Vicq fresco, as Eve plucks the fruit from the fig tree, and not from either of the blue trees.

It is obviously less than clear that these "mushroom-trees" are mushrooms at all. But even if they were, the didactic nature of these frescoes precludes them from being the creation of mushroom cultists. Even if, in fact, such cultists existed, these frescoes are rather warnings as to the dangers of the fruit of the tree. As will become evident, the association of the tree of life with the entheogenic mushroom is not as clear here as some would wish. The Plaincourault scene—*prima fasciæ* the most unorthodox in representation of the three temptation scenes—has been interpreted (Torres 2001) as a shamanistic scene, based on the established tradition of the skeletonization motif in the literature of shamanism (see Eliade 1972 and Halifax 1979). This seems unwarranted. The work must be interpreted within its Judeo-Christian context. The scene clearly portrays Adam and Eve in the process of covering their nakedness; that is, they have already consumed the fruit of the tree of knowledge of good and evil. Thus their skeletonization can be interpreted simply as a concise representation of their mortality. They are, as it were, already dead, and thus are represented as corpses.[41] But in fact all three works are wholly orthodox, and do not at all speak for the existence of a mushroom cult either way. The scene is not original, after all, and all three versions are found together as early as the ninth century, as in

the *Story of Adam and Eve* from the Moutier-Grandval Bible (Tours, ca. 840 C.E.; see Blackhouse 1997: pl. 6).

Three further pieces of evidence have been advanced that might suggest Christian entheogenic practice and are by far the most peculiar. This evidence is dated rather early (fourth, fifth and sixth centuries C.E.), however, and as such may have little immediate or conscious bearing on the discursive environment underlying the Grail narratives. It consists of a floor mosaic in the "oratory" of the basilica at Aquileia, and two other floor mosaics found in Tunisia: one in the baptistery at Henchir Messaouda, and the other at Henchir Ounaïssia (Samorini 1998, 2001; Fabbro 1996, 1999).

Franco Fabbro has drawn attention to the old floor mosaic at the basilica of Aquileia (ca. 310 C.E.). The subject is a bowl brimming with mushrooms with orange-colored caps and white gills. Although he identified these as *A. muscaria*, on this basis, he later admitted the possibility of their being another species (the edible *cæsarea*) if judged purely on the basis of this criterion (Fabbro 1996, 1999: 72-3). Nonetheless, he eventually suggested other evidence for this identification—at best circumstantial[42]—but was ultimately unable to advance a convincing counter-argument against Samorini's suggestion that the mushroom represented could be merely a "generic" mushroom (1998: 106).

It is Samorini who provides the final two mosaics. The first, from the baptistery of Henchir Messaouda, Tunisia (5th cent. C.E.) depicts a "mushroom-tree" symbolizing the tree of life, flanked by pair of deer grasping serpents with their teeth (see Samorini 1998: fig. 2). Off-center a descending dove is clearly discernible. The central arrangement is at first sight patently shamanic and pre-Christian in origin. The deer has been associated with shamanism since pre-history. The identification of this particular mushroom-tree with an actual mushroom, however, is rather unlikely. And yet, the shamanistic aspects of the deer (perhaps associated with the Christ) and serpents (implying perhaps the chthonic ecstasy, though Samorini's reading of the snakes' being "savaged" by the deer would be much more orthodox), combined with the descent of the Holy Ghost in the form of a dove, may imply the onset of rapture. Nevertheless, the strictly iconographic association is much too tenuous to prove the conscious application of pre-Christian motifs in connection with mushroom use. Dunbabin (1978: 193), in fact, provides a contextual interpretation for this scene's appearance in a panel in front of the baptismal font. She suggests the struggle of the deer with the serpents symbolizes the soul's struggle to free itself of the Devil

at the moment of baptism. This explanation clarifies in another way the presence of the descending dove, which is now reminiscent of the prototypal appearance at Jesus's baptism in the Jordan.

The last mosaic (Samorini 1998: fig. 5), found at Henchir Ounaïssia and belonging to a period after the Vandal-Alan conquest (6th-7th cent. C.E.), is fascinating in its obvious development from the previous example. No longer does the dove appear. The deer still do, but they have now been stripped of the serpents. The central tree has become two, and these flank a central triad of crosses. The salient innovation: a chalice resting prominently at the foot of the centermost cross. The tree has lost its centrality. It has been displaced by the cross which has obviously gained the position of prominence. (The three crosses are a reference to the crucifixion scene, and the chalice at its base is reminiscent of the one that collected the blood of the crucified Jesus.) Most importantly, the purportedly ecstatic element, the dove, has been replaced by the chalice at which the deer drink.

A curious parallel to the Tunisian mosaics is found in the Mausoleum of Galla Placida, Ravenna (ca. 425 C.E.). It depicts two deer drinking at a well, above which a threshold opens (Volfbach 1943: pl. 5). W.F. Volbach describes the scene as "a symbol of the soul awaiting resurrection" (1943: 10).[43] And while this might appear hardly explicative of the presence of pre-Christian motifs in an otherwise orthodox context (mosaics of saints, apostles and the good shepherd surround this one), it is enough to show that its occurrence in the Tunisian work is not unique, and suggests consciousness of nothing more than appropriation of pre-Christian motifs by Christian artists.

This last evidentiary material is the strongest formal link between the supposed mushroom-grail cult and the Grail narratives. In the last analysis, however, little or no evidence (depending how far one will allow the circumstantial, though not unimportant, survival of folk expression to stand as evidence) is found in the period of the narratives for the existence of a Christian mushroom-grail cult. Even that evidence which can most strongly be said to imply such a cult, somehow connected with a chalice or bowl, precedes the narratives by at least six centuries, so that, even if the use of the cup motif to represent the mushroom (and not simply an analogous experience of it) had been conscious at the time, it is impossible to surmise that this consciousness remained intact through to the Grail tradition proper.

5

Through the review of the preceding data it has become evident how little indication there is of the existence of the hypothesized Christian Grail-mushroom cult. Judging from the evidence as it stands one could arrive at an alternate conclusion only by very selective interpretation of the facts. The question remains, Why then do the various researchers jump to exactly the conclusion that the Grail narratives retold, in a disguised fashion, the tradition of such a cult? The answer must be sought in the Grail narratives themselves.

The underlying assumption for the researchers' claim of Grail language as cipher language is that the Europeans heretics, like the Amerindians, must have learned quickly, "with good and sufficient reason, to conceal and disguise whatever they thought might provoke the wrath or disapproval of the ecclesiastical authorities…"; and also, that in composing these cipher manuscripts the authors were communicating with their contemporaries and co-conspirators, as it were. Thus, as is claimed for the poets of the *Rig Veda*, the writers of the Romances "obscured the mysterious plant's natural morphology with all sort of poetic imagery and inspired metaphors that hardly qualify, nor were intended, as botanical description" (Furst 1999: 77, 97). And yet, as there is nothing else to base a conclusion on, it is to these "non-botanical" descriptions that they ultimately turn.

But is it possible to document a conscious understanding and continuation of the cipher by an underground mythological tradition? In other words, is there support for a claim of conscious appropriation and utilization—with development, of course—of the Grail (as vessel, etc.) from earlier folk motifs? An answer requires reflection on the transformation of shamanic motifs within early Christian artistic symbolism (as presented above), as well as an attempt to set up systems of discriminatory criteria for identifying the cipher as conscious reference. But even supposing such conscious use of code were found to be the case, it would lead to a further question—namely, If it is certain that the continuation was in conscious understanding of the true meaning of the cipher, was there, then, an accompanying cultus associated with the literature? If not, then the concept of a Grail-mushroom cult must be abandoned, and the alternate conclusion, that the Grail is *at most* a "function" of the primitive entheogenic experience, and not in any way a conscious codification of it, must be accepted.

The Grail has been variously presented as a paschal dish, a platter (or platters), a chalice, a coffer containing a vial of blood, a stone, and so on. In *Peredur*, as the hero is conversing with

his uncle, two girls enter the hall bearing a large platter with a man's bloodied head on it. The description of the Grail as a platter reinforces the prandial meaning associated with the object. This association of the Grail-platter with a severed head is further connected to an anthropophagous episode in the *Perlesvaus*, in which Gawain beheads the gigantic murderer of a king's son. The king, having received the head together with his son's corpse from Gawain, proceeds to mince the prince, to have his flesh boiled and then distributed to the company gathered about him for meat, all the while leaving the giant's head to hang upon the castle gate.

Two structural elements, apart from the striking parallel to mushroom preparation, leap out at once in this episode: There is (1) a battle between a youth and a giant, culminating in the defeat and beheading of the giant, and (2) the slaying of a king's son and the communal consumption of his body, the recovery of which is concurrent with the defeat of the giant. The first element of the story would immediately bring to mind to a Christian audience the confrontation between David and Goliath. And this in and of itself might point to nothing more than to a taking over of biblical tradition by the author of the *Perlesvaus*—except for a curious series of column *relievos* found in the basilica of Vèzélay (ca. 1135 C.E.). Capital 50 bears the scene of just such a battle as has been described above. It could just as well be Gawain and the giant, but is in fact David and Goliath. What is curious about this scene is the number of what appear to be mushrooms in association with the episode. The young hero is seen to prop himself up, as it were, on a mushroom in order to be able to reach the giant's neck. In this case there is no question of it being a "mushroom-tree," as is the case for the obverse of the capital, which shows David walking away among a colonnade of "mushroom-trees," himself bearing a mushroom as well as the head of the giant. Returning to the original scene, David is seen not merely to be stepping on the mushroom but also on Goliath. The identification of one with the other, then, is symbolically possible. In fact, if one understands the revenge motif in some of the narratives, not as revenge but as allegorical mushroom hunt, then one can see why in Menassier's *Continuation*, after Perceval's vengeance[44] the road becomes clear, and he cannot make a wrong turn on his way to the castle as he bears the "head of the malefactor," which at his arrival is placed at the summit of the castle tower.

The mythological association between the head and the mushroom is well stressed in the literature: "In many, and perhaps most, languages," claimed Wasson, "the *cap* of a mushroom is called the *head* …" (1990: 202). Both Ruck and Wilson point to the identification, each dealing

with a completely different, if not unrelated, mythic tradition. The former argues that fourth-century Greece knew the two motifs of "the plucking and the decapitation, were one and the same," as he explores this motif in the story of Perseus and the Gorgon, and incidentally the founding of Mycenae (derived from *mykes*, hence "mushroom-city") (Heinrick, Ruck and Staples 1999: 26-7). Wilson's treatment has more bearing, if one recognizes the overwhelming number of Celtic elements surviving in the Grail myths. He deals, for example, with the saga of Diarmait and Gráinne. The saga tells of an oak forest in which a red quicken berry falls:

> From this berry a great quicken tree sprang up, which had the virtues of the quicken trees that grow in Fairyland. For its berries had the taste of honey, and those who ate them felt a cheerful flow of spirits, as if they had drunk of wine or old mead; and if a man were even a hundred years old, he returned to the age of thirty, as soon as he had eaten three of them. (Wilson 1999 : 24)[45]

A one-footed giant (Formorian) named Sharvan was set to watch at the base of the tree lest anyone steal the "red berries."[46] The hero Diarmait slays the giant and wins the berries for his lover. Later in the story there is an association of the falling of the berries, in a succession of three, and the decapitation of three times three warriors, whose heads also fall from the quicken. This pattern of the triad is also connected with *Peredur*. Before the head-bearing platter is brought in, the hero has undergone successive trials. One was to spar a "yellow-haired" lad, whom he wounded in the head. The other was a threefold shattering of a central column.[47] It has already been pointed out above how Ceridwen's potion would only provide three drops of wisdom. One may be tempted to identify this motif with the enigmatic three drops of blood of the romances. Wilson calls attention to the fact that the *Rig Veda* "always speak of Soma in sets of three cups, and in Siberia today [where the initial, breakthrough ethnographic data was found] three *Amanitas* are still considered the proper ritual dose" (1999: 24). Still, the most that can be argued from the preceding is that a substructure of pre-Christian motifs is present in the Christian Grail romances, for this triad can also be allusive to the mystery of the Christian trinity. As Fisher observes, the survival of pre-Christian mythic substructure does not justify the inference that "the element of primitive worship is conscious or vital" (1996: 32).

In order to do turn the focus unto the Grail itself, it is first necessary to set down some criteria based on those used by previous researchers (Wasson; and Flattery and Schwartz; ctd. in Ott 1998: 9-37, 11) to prove the identity of a particular mythic substance with the fly-agaric:[48]

- physical resemblance from descriptions of the Grail,
- geographical correspondences,
- pharmacological effects resembling those described in connection with the Grail, and
- evidence from folk practice.

The discussion on Heinrich above has gone a long way to satisfy the first point. But more may be said. In Chrétien, for example, the Grail is said to be made of gold (*de fin or*) and encrusted with gems. The fly-agaric is dried necessarily for "storage and conversion of ibotenic acid into muscimole"; in the process the caps take on a "metallic gold color", and appear to be "metallic disks of shimmering reddish gold" (Heinirch 1995: 29, 41-2). The problem with this, of course, is that in Chrétien the ingestible matter is not the Grail itself but the host (*oiste*) within it. There is, of course, Frappier's interpretation of the verb Chrétien uses to speak of the host in relation to the Grail, *venire* (*Fors l'oist qui el graal vient*), which he associates with the verbs *croître*, "to grow", and *pousser*, "to spring up",[49] into which may be read some esoteric reference to the growth of a mushroom. But this would do more to disprove the identification than anything else, although it may substantiate further an argument for the Grail as a mushroom-bearing platter. The claim, however, is not for a mushroom-Host but for a mushroom-Grail. Fisher notes the following description in the *Prose Lancelot*: "Of wood it was not, nor of any metal, nor of stone was it wrought, neither of horn nor of bone" (1996: 42). But this description brings to the fore the varied and contradictory types of grails encountered among the narratives, and sometimes even within individual ones. In Wolfram's *Parzival*, for instance, the Grail (*Gral*) is a stone (*Stein*) and not a vessel at all. Interestingly it is also called the perfection of paradise (*der wunsch von paradis*). This association of the Grail, or the Grail Castle, with paradise is not only Wolfram's, however. In Gerbert's *Continuation* the castle itself is called the earthly paradise; the same is true of the castle in *Perlesvaus*. This association of the Grail with the tree of paradise, "both root and branch", has instigated more insinuations of fungal allusions (Andrews 1998: 252).[50]

For Robert the Grail was the chalice (*calice*) of Christ, in which the blood of the Savior was caught. This motif of the chalice at the cross has been somewhat dealt with above. Dunbabin (1978: 193) calls attention to the great prevalence of *craters* and *kantharoi* in fifth and sixth-century North African Christian mosaics. Littleton and Malcor have identified this motif and traced it to a survival of the Scythian[51] mythical tradition of the Nartamonga, a magical cup of

the folkloric Nart sagas, which was hidden from all but the purest warriors. They point to the fact that this cup exhibits virtues similar to those displayed by the Grail. A large number of Templars "were associated with the Alan families of southern Gaul (descendents of the Scythians who crossed the Rhine with the Vandals), just as the Cathars were." The Alans were the only non-Germanic tribe ever to settle permanently in Gaul, after their invasion of Gaul and North Africa in 406-7 C.E., and their distribution "corresponds almost precisely with that of the Chalice and the Cross motif." They "worshipped a deity who was symbolized by a cup." And Littleton and Malcor argue that at the time of the Christianization of the Alans, the cup was combined with the Cross, thus giving birth to the motif (2000: *xxviii*, 214, 233-4).

The geographical issue—that is the issue of regional distribution, or range, of the mushroom—is, thankfully, easily resolved, as *Amanita muscaria* (var.) is widespread in Europe. The pharmacological issue, however, is slightly more complicated. The traditional phenomenological characteristics of the *soma* fruit, according to one scholar, are as follows:

> It protects the body, removes illness, lifts from depression, illuminates the taker by scaring away darkness, averts hostility, exhilarates, inflames and illumines, stirs good thoughts, makes one feel on top of the world, and leads to immortality. (Wilson 1999: 43)

This is far from clarifying, to be sure. Ignatius of Antioch, hardly a heretic, pagan or esotericist, says as much about the Eucharist in his *Epistle to the Ephesians* (IV.17), "which is the medicine of immortality; our antidote that we should not die …." The association of sustenance, light and mystic vision with the Eucharist is moreover well established in medieval Christian literature.

The effects of the fly-agaric on the human organism are as follows:

- It begins to act within 20-60 minutes and lasts for hours (app. 8).
- First it is soporific, with a period of abnormal sleep for about two hours. During this time one cannot roused, is capable of auditory awareness and has colored visions.
- After waking, there are three to four hours of elation, accompanied by a capability of extraordinary feats of physical effort and a joy in performing them. (Furst 1999: 92-3; Wasson 1990*b*: 195)

These effects when compared to the Grail experience do not at all match. In the narratives the visions precede the somnolence. And in some versions, if there is some physical task to be performed, it occurs prior to the appearance of the Grail. In all, the hero enters a night-long,

undisturbed slumber, and awakens to the absence of the Grail castle, no more the joyous for the fact.

Julius Evola ([1937] 1996) examined individually what he observed to be the virtues of the Grail. The first virtue he identified is *light*, which he called, "an enlightening virtue". This has been construed as a Manichean theme, as rehearsed above, but more pertinently it has also been read in connection with the entheogenic vision. Neither in Chrétien nor in Robert, however, is the Grail "the direct source of light" (Cleave 1996: 22)—although in the later there is a brilliant vision of it that fills Joseph with the Holy Spirit—as it is in the *Continuations*. In the *Grand Saint Graal* it is luminous enough to opaque a thousand candles. In Wolfram it is a stone of light. But in the *Queste* it is *preceded* by a great light as bright as the sun, or the source of light appears as the babe Christ within the cup (cf. *Perlesvaus*), which makes Galahad exclaim, "Now I can see what tongue could never express and the heart fails to realize" (Evola 1996: 64-5). Although the virtue of illumination is present in all, is it not equally manifested. Furthermore, the concomitant inexpressibility, perhaps the most descriptive of the entheogenic experience,[52] is present only in the *Queste*, the most orthodox and mystical of the literature. The *Queste* is wholly Cistercian and ascetic.[53] In it the Grail fills the company with the grace of the Holy Spirit (*grace dou Saint Esprit*), as it does in Robert's work. In all this, as Malcor (2002) noted, "the Grail is part of the vision rather than the producer of the vision." Comparable visionary effects are prevalent in medieval tradition. Cæsar of Heisterbach (1180-1250), for instance, relates that as one holy man was reading the mass one day at the altar of St John the Baptist, "in the choir of the lay-brethren, a certain one of the lay-brethren standing near, saw, in the hands of the priest, the Savior in the form of a man." This contemporaneous vision is nearly identical to the one related in the *Perlesvaus*. Finally, in the *Petit Saint Graal*, there is no light at all.[54]

The second virtue Evola identified is that of *nourishment*. The Grail reproduces the fish and loaves miracle of the Gospels in the *Grand Saint Graal*; in Wolfram and Menassier it feeds all hearts' desires; but in Chrétien it does not provide food. Although the banquet is associated with its procession, the Grail itself only provides sustenance through the single wafer. It is only in *Perceval li Gallois* that its fragrance causes the company to forget to eat and Gawain to enter into a vision of the angels, for in Robert this fragrance appears as a test of worthiness at the Grail table (Evola 1996: 64-6, 55). This arrest of appetite, which is indeed associated with the digestion of the fly-agaric, together with a visionary experience, may be the nearest the

narratives come to representing the Grail as the inductor of a vision, instead of a vision itself or merely a holy or even commonplace object—and thus some doubts must remain.

Celtic cauldrons, such as those belonging to Ceridwen, Annwfn, the Dagda or Brân, exhibit among them the virtues of nourishment and light (enlightenment). Malcor denies the possibility of Celtic origin to the Grail tradition, forwarding instead a Scythian origin, and noting two factors in relation to the Scythian vessel (a compound cauldron-cup). The first factor is the heretofore unmentioned virtue of *choice of service*. That is, in many of the romances the Grail *chooses* whom it will serve. According to Malcor and Littleton, this too is the case with the Ossetic Cup of the Narts, which gives itself only to the hero "above reproach", the hero "without flaw". The second is the fact that Samartian cauldrons "are found almost exclusively in the graves of … women in Siberia and that the Grail … is almost always borne by a woman" (2000: 221). However, as Malcor and Littleton argue against the Celtic hypothesis from the absence of the vessel's virtue of choice, one may likewise argue against the Scythian claim from the absence of the virtue of light (enlightenment). To be fair, although Malcor denies finding any reference to parallels between this virtue in the Grail and Celtic traditions, on the one hand, and the Scythian vessel, on the other, she does admit that this "does not mean such an aspect did not exist" (2002).

From a folkloristic standpoint, the most eminently traceable sources are the shamanic myths of a cup, or cup-like vessel, that is associated (not always directly) with both light (or enlightenment) and nourishment. In this connection, there is one last, outstanding point that needs mention. One of the most curious motifs in many of the works is that of *secrecy*. This motif may be superficially thought to originate with the resurgence of the hypothesized mushroom cult; the argument would point out that prior to Roman Catholic domination of Western thought, there would have been no need of this deadly secrecy (that, as in pre-Columbian America, the secrets would guard themselves, being the birthright of each cultic group, and available only to its members). This is especially true if one thinks of the secrecy theme as a remnant of some sort of pre-Christian mystery tradition.

Wilson comments that in Welsh the mushroom is called *bwyd ellyllo*, meaning "elves' food". An interesting supposition connected to this fact is Margaret Murray's identification of witches with the fairies (1970: passim). It seems she was not the first to make the connection; it appears already (ca. 1486 C.E.) in Kreimer and Sprenger's *Malleus maleficarum* (Summers, trans. 1928: 193). Yet is it conceivable anything like the ritual of the Grail may be associated

with the secretive folk practices of the so-called witches? What evidence survives through Inquisitorial records is late, but it certainly illustrates that underground cults (however unorganized) dealing with psychotropic substances were in fact surviving in the area (officially) as late as the 1600s—evidence, in fact, of the continued existence of a folk cult of the greatest antiquity, through the persecutions initiated by the Roman Church.

Murray[55] outlined the rites and ceremonies of the so-called witch cults,[56] their feasts or gatherings. There is in them a prominent place allotted to the cauldron. Associated with this cauldron are the virtues of light (firelight) and nourishment. In fact, as Murray realized (1970: 113-5), these *fêtes* were very like the primitive Christian love feasts, which the Grail banquet mimics. Evident was a communal feeling of joy and eucharist (thanksgiving), centered around a banquet and worship. Given the implications of these statements, one might object that the witches were not Christian, and that, at their most unorthodox, the Grail romances never get away from viewing Christ as Lord. To this one may simply respond with what has earlier been discussed as one of the flaws of the arguments of the entheogenicists: the Grail narratives were not all written by the same hands or with the same purposes. What may be argued for, then, is not conscious representation (at least not for most of them) but inheritance and transmission of folk tradition. Moreover, one must not understate the place syncretism occupied in medieval Europe. There, as later in the New World, primitive beliefs were enclosed in the language of Christianity. Thus, for instance, the witches of the Basses Pyrénées called Christ "petit Jean", an allusion to their ancestral god. This, in fact, is not so difficult to understand, for in the Christian gospel they would have recognized many of their own mythic themes rehearsed. Nor is it to be supposed, as perhaps later it was, that at this time such practices were restricted to the classic *pagani* (that is, the lower-class country folk). As early as the thirteenth and as late as the seventeenth centuries there are records of nobility and priesthood participating in these rites. Such were the conditions in the Basses Pyrénées that the Inquisitor Lancres is able to comment that "the greater part of the priests are witches" (Murray 1970: 38-9, 18).

Interestingly, the rites of these cults included a processional "round" as commencement. In the romances the Grail procession can certainly be called a "round" as it enters and exits the hall several times. The feast also evidences great parallels. Candles were prominently and reverently brought forth in homage to the enthroned Lord of the feast (Murray 1970: 114, 118-9). From the central cauldron resting on the fire "everyone went and took out meat." Finally, the cauldron was

also used magically; it was overturned to ensure the fertility of the land, precisely the singular quality associated with both Grail and Grail King, by analogy the Lord of that Sabbat which to the witches was "the true Paradise" (Murray 1970: 80).

There is, of course, no intention on my part of attributing the origin of the Grail symbol to those medieval feasts of worship. I address them rather to demonstrate the possibility of analogous development from common traditions. What the witch feast was in ritual, the Grail procession was in myth (so to speak), an amalgamation of many folkloric traditions, colored in varying degrees by Christian syncretization. What is necessary, as Ginzburg suggests, is "to distinguish the oldest strata from the subsequent superimpositions," be they endogenous, reactive or wholly fictionalized and structuralized Inquisitorial artifacts (1991: 9).[57]

6

The burden of proof for the Grail-cipher hypothesis must ultimately rest on its proponents. Though much of the material can be selectively interpreted to support it in its weaker claim—the unconscious inheritance of material—, there is in the final analysis no sound, empirical basis for maintaining the stronger. Such factors as the Vicq fresco certainly argue for a conscious application of code—but then again, the archaic symbolism evident in the mosaics at Tunisia and Ravena, and the column at Vèzélay seem to suggest an unconscious application of inherited themes, a possible syncretization of Judeo-Christian and Celtic traditions. And then, the nature of the code is not at all clear, lending itself as easily to orthodox interpretations as to anything heretical. There certainly is little material to document the ecclesiastical situation in rural Berry. As Kupfer admits, "the connections these projects [the decorative campaigns in the rural dependencies of Berry] may have to the surrounding intellectual and political climate are often impossible to trace" (1993: 17-8). Surely the scenes in question within the sanctuary, whose threshold arch is "guarded" by two crusaders, may imply that the understanding of these frescoes was reserved for those who were entitled to enter it. But the fact that no other evidence is as strong as this one—and in this one not purely because of the particular iconography but also because of the interpreted discursive arrangement—bespeaks the absence of a widespread, underground Christian mushroom cult, such as would be needed to underlay the tremendous literary phenomenon of the Grail romances. This is not to deny that such a cult might have existed: it is possible that some entheogenic practice could have survived intact in medieval

communities, just as it allegedly has to this date in unmentioned, otherwise-orthodox communities.[58] However, that such local occurrences consciously influenced the codification of a symbol as widely dispersed as the Grail, in such varying accounts, is very improbable. More likely the Grail myth is, at most, the echo of an antique, poetically expressed experience that over time underwent an evolutionary process, gathering about itself cognate folkloric ideas, Christian and non-Christian influences, which involved, commonsensically, a sacramental vessel (a cauldron, bowl, cup or platter).[59] The danger, as I see it, is to give in to the temptation of seeing mushrooms everywhere, to jump from suggestive motifs to a foregone conclusion.

This article is merely the smallest of steps toward an understanding of this phenomenon, and much more extensive study is necessary.[60] The allied development of similar motifs in folk religious practices, for instance, can serve as illuminating contrast to their operation within the narratives. I have in this limited study covered material never examined by the proponents of the hypothesis. And I have barely scratched the surface.

It may be that further study may prove the identification yet. But the claims made outright for it at this stage, by selective and indiscriminate choice of examples, is careless to say the least. Merely ignoring such claims, however, simply remaining silent about them however absurd they might appear at first glance (they certainly do not at a second), surrenders the field by default. Truth must be arrived at through open debate, keeping in mind the facts as they stand, and through open discussion on the merits of these facts without disparaging comments on either side. Only in such an airing is truth served, not by ignorance but by direct confrontation.

It is my hope, therefore, that the present study will serve as catalyst for future interest, research, and debate; that it will perhaps drive others onward regardless of where the quest may lead, in the hope of finally unearthing the Grail, and once having unearthed it seek again to stand frequently in its presence and taste many times over its most sacred sap, saying with Titian, "He who drinks and does not drink again knows not what drinking is."[61]

Notes

[1] That is, being closely related to, and dependent on, the original plant (or plants) and connected experience for its existence, value or significance.

[2] Eliade's *hierophanies*, Campbell's *Masks of God* and Bastian's *Volkergerdarken* all refer to these local representations.

[3] One example is the Huichol's reference to the *hikurí* or peyote (*Lophophora williamsi*) as "Elder Brother Dear," a principal deity in their pantheon, whose "flesh" (peyote) is consumed after the symbolic ritual hunt (peyote gathering); as the "new maize"; and even as "a flower", variously described as "pretty", "brilliant coloured", and "flaming". The poet-priests of the *Rig Veda*, also, "obscured the mysterious plant god's [the moon-god *Soma*, identified by Wasson (1969) as *A. muscaria*] natural morphology with all sorts of poetic imagery and inspired metaphor …" such as "mainstay of the sky", and "divine udder" (see Furst 1999: 132-3, 97).

[4] Forte (1997: 69) writes: "I think it [the cultural aversion toward entheogens] could be another instance of the great ambivalence we see toward the sacred throughout history." The universality of the entheogenic bases of religion generates this aversion; it may be seen simply an instance of the *mysterium tremendum* aspects of the sacred, manifesting as what R.G. Wasson called *mychophobia*.

[5] The prejudice manifested very early on, these entheogenic experiences being referred to "*forms inférieurs de la mystique*" (Felíce 1936, ctd. in Ott 1996: 142). Wundt (1921: 423), although less judgmental, suffered from hasty classification: "In the vegetation festivals of the semi-cultured people … an important place is occupied by *ecstatic* features—by the orgiastic dance, and by the ecstasy that results from sexual excitement and from narcotic poisons [*sic*]."

[6] But which are, coincidently and by her own admission, not spontaneous insomuch as there are "ways of encouraging and facilitating them"; for the so-called spontaneous visionary has developed his own not-so-spontaneous process: "a specific spiritual and *physical discipline*, of making those experience possible …" (Waegeman 1998: 191-3; emphasis added). Such a contention is self-contradictory. The experience cannot be spontaneous if it is induced. And yet, in one levelling sweep, such statements first displace the entheogenic experience into parallel (i.e. distinct) sphere apart from the "genuine" mystical experience, and then proceed to qualify the former as a mere substitute for the reality of the latter.

[7] The entirety of the controversy surrounding the mystical or primary experience is obviously much more complex (see Merkur 1995: chap. 1). What is herein called to question is necessarily limited to what applies to the entheogenic variety—although admittedly even this "type" bears upon the others.

[8] One such individual, the Harvard psychologist R. Alpert, declared for their identity: "Having ingested psilocybin, I had the most profound experience of my life to date. The context was religio-mystical, and a spiritual label seemed appropriate …" (Godlman 1977: *xi*). For a more detailed statement, see Watts 1968.

[9] It took Mircea Eliade a lifetime to finally acknowledge the primary importance of the Indian *Soma*, and to admit, in the words of Doniger-O'Flaherty (1969: 95), that "all the more methodical methods of Hindu mysticism evolved to replace the original beverage" (Furst 1999: 96; Forte 1997: 75). Late in life Eliade confided in one interviewer that the accumulated evidence for the primitive use of entheogens "forced him to change his mind on [the issue of associating entheogens with the decay of shamanism, and not with its primordial structure] … and that he had come to accept that there was no essential difference between ecstasy achieved by plant hallucinogens and that obtained by other archaic techniques" (Deveraux 1997: 108). The cause for his hesitancy is perhaps revealed in his curt and final answer to one interviewing ex-student: "I don't like these plants!" (Forte 1997: 77).

[10] Following Nutt's division (see Fisher 1966: 33-8; cf. Loomis 1959: 3-4).

[11] He quotes Graves, "What is a scholar? One who may not break bounds under pain of expulsion from the academy of which he is a member."

[12] He had already done so in his *Pharmacotheon* (1993).

[13] "Our world entered into a period of induced amnesia and the entheogens disappeared from our culture, somewhere around the thirteenth to the seventeenth centuries. If they survived at the periphery, they did so as a kind of unconscious trace …" (Wilson 1999: 44). Whether or not there is cause to suppose the existence of such knowledge, the nature of its connection, if any, to the Grail romances, I address below.

[14] The discussion of this theme by Ruck, Staples and Heinrich in their latest work (2001: 213-216) is little more than a reiteration of what follows, and for this reason will not be examined independently.

[15] Allegro's work failed to meet with scholarly acceptance. See chap. 2 of J.C. King's *A Christian View of the Mushroom Myth* (1970) for a review.

[16] Allegro (1970: 15) had argued the very same thing.

[17] See Fisher (1966: 9-14) for a discussion of the doctrine in relation to the grail corpus.

[18] Weston bases many of her esoteric identifications on the authority of A.E. Waite, erstwhile member of the Hermetic Order of the Golden Dawn and occult researcher. (See Waite 1909; 1933.)

[19] There is little else of value in Arthur's treatment, and were it not for the fact that his work includes one minor piece of relevant evidence that will presently bear on the discussion, he would hardly merit mention.

[20] For an extensive treatment of the various forms, see Hanson 1957: 2-17.

[21] After travelling westward the Holy Spirit inspires Joseph to found a Grail Table in memory of the Last Supper (Bogdanow 1966: 3; cf. Kennedy 1986: 113).

[22] Weston (1957: 71) argues forcefully against this on the grounds that "the so-called 'Holy Spear' … is simply a small silver spear-shaped knife, nor can I discover that it was ever anything else." But the symbolic associations are clear, and her very dismissal assures them: "the use of [the spear-shaped knife] is to divide the Loaf … in a manner symbolically corresponding to the Wounds actually inflicted on the Divine Victim."

[23] Cf. Nitze (1949: 323), which is made moot by the objections raised by Lot-Borodine (1931: 180-1; cit. in Resina 1988: 310-1) as to the improbability of any knowledge of the Byzantine symbolism by a medieval French poet.

[24] See Feeley-Harnik (1994: 120-7), for a comparative look at varying tradition regarding the order and narrative of the meal.

[25] But see Feeley-Harnik (1994) for a thorough analysis of the relationship of the Christian supper to its Jewish counterpart.

[26] Littleton and Malcor (2000: 210), cite Loomis (1954: 243) as tracing the etymology of "blessed cup [horn?]" from *cors benoiz* (and thence "Corbenic," the name of the Grail castle in the *Queste*). This is problematic; but consider his treatment of the matter in *The Grail* (1991: 60), in which he discusses the transformation of the blessed horn to *Corpus Christi*.

[27] See Halifax 1979: passim.

[28] See, e.g., Rätsch 1994; and Wilson 1999.

[29] This controversy's effect on the Grail narratives themselves, however, have been somewhat exaggerated. For example, Fisher's thesis is that Robert de Boron (either as author or redactor), "*desiring to set forth the doctrine of*

transubstantiation and to establish certain local claims, combined the Celtic story of the quest with that of Joseph of Arimathea, derived from Christian legend."

[30] It is interesting to note that the Knights Templar (see above), whose most influential families were intimately connected with the Cathar Church, were accused of the same heretical beliefs (Barber 1998: 189).

[31] Mani's gnosis was of an *Iranian* stamp, in Hans Jonas's terms (1991: 105): in other words, it was a variety of gnosis "which starts from a dualism of pre-existent principles" of light and darkness (in Mani's case) or spirit and matter. The Manichean myth spoke of three "moments": "the time before the commingling and the struggle, when the two … realms of light and darkness were still separated; the time of the commingling, being the present world; and future time, in which the two realms will again be … separate" after the macro-microcosmic salvation through gnosis (Oort 1998: 46). The Cathars, however—at least in their early stages—were not absolute dualists, as were the Manichees, but in fact held to the moderate dualist doctrine of the primacy of the realm of light.

[32] For an analysis of the imagery of Light in this connection, see Pulver 1985.

[33] See Evans and Wakefield 1969: 16-7 and Russelli 1992: 16, 19 for conflicting views on this issue.

[34] Bihalji-Merin (1991: 8-12) identifies evidence of the widespread diffusion of the Mithraic and Orphic mysteries in the area.

[35] Ruck (2001: 178) advances that this probably refers to *Russula emetica*, based on its similarity to *A. muscaria*, but this is in itself based on the assumption that a link exists between fly-agaric and Mani's church.

[36] This was reproduced in Rudolf 1987: 232. The "fruits" bear the greatest resemblance to *A. muscaria*. This, together with its association with a tripodal Grail-like "table of god" (cf. the table of the Grail), constitutes the strongest piece of evidence for the Grail-mushroom connection, if one ignores issues of geography. Unfortunately, given the condition of the miniature, it is impossible to determine without reservation the true nature of the Bema "fruit."

[37] The second is an Inquisitorial copy (Evans and Wakefield 1969: 448-49).

[38] Arthur's identifications, however, are suspect, as he bases them mostly on coloration, whereas the shapes are typical Psalter plants, not at all resembling mushroom, rue or poppy.

[39] If they were, however, then one might find an explanation for the discontinuity of composition noted by Kupfer (1993: 128-9, 9) in the otherwise unexplainable juxtaposition of the *Purification of Isaiah's lips*, *Christ's entry into Jerusalem* with the fungoid leaves, and the *Last Supper*. The discourse would read: From God's hands to Isaiah's lips. From Isaiah's lips, in prophesy, to us is delivered the Messiah, whom we welcome with the self-same eucharistic plant he employed in the primitive rite. (One final argument against this reading, however, is that Jesus is in the process of feeding Judas. The scene by itself is a formulaic rendition of the Last Supper.)

[40] The motif is ancient; see Campbell 1991: 11, 13-4, 21.

[41] The so-called skeletonization may only be an over-accentuation of the ribs, as is present, e.g., in the *Adam and Eve*s from the church of Santa Cruz in Maderuela and the chancel of St Botolph in Hardham (see Anthony 1951: figs. 451 and 486).

[42] Fabbro connects the mushroom basket with a second, adjacent one containing snails. Together these are supposed to represent the substance of an early gnostic *agape* (1999: 74). He bases his opinion on two other mosaics that portray the mythic battle between light and darkness in the form of a cock and a tortoise. In one of these only, the central column present in both is topped by an ampule of perfume, which to Fabbro's mind represents the "sweet perfume which perfuses during mystical states of ecstasy" (1999: 78).

[43] A related mosaic in La Skhira (ca. 525 C.E.) depicts two stags framing a *crater* from which rose plants grow (see Dunbabin 1978: 193).

[44] Perceval's challenge to the "malefactor" (Partiniaus) is to take up a *shield* that hangs on a *pine tree* and toss it on the ground!

[45] The mistletoe is intimately associated with the oak—whence the druids get their name, according to Pliny's *Natural History* XVI.249 and Maximus of Tyre's *Dissertations* VIII.8 (Greeks called it *drys*)— and "shares with the mushroom the tradition that they were both planted by the celestial lightningbolt;" as such it is a euphemism for the mushroom (Ruck and Staples 1999: 20, 5).

[46] The red berry may be a euphemism for the early stage of the "monopod" mushroom growing at the base of the conifer tree. And of course the "fruit" of the oak is the acorn, which is associated with the wild boar who eats it. Curiously, in the first *Continuation* there are many grails brought in processing, each bearing the head of a wild boar.

[47] I have argued elsewhere (Garrote 2001), for the identity of these two—pillar and boy—along with a constellation of other central motifs within the Grail literature.

[48] The obvious problem here is that with the Grail one is not speaking about a plant or a drink, as is the case with *Soma* (Wasson) and *haoma* (Flattery and Schwartz). This is perhaps evidence enough that the connection cannot be conscious.

[49] Chrétien uses it elsewhere referring to a fruit *growing* on a tree (*un fruit qui* vient *sur un arbre*); it is found only once more in a non-vegetable context, but not in Chrétien (Weinraub 1976: 42).

[50] Dunbabin adds one more piece to the puzzle when she calls attention to a mosaic from the basilica of Bir-Ftouha at Carthage, in which "a doe and a deer drink from the four rivers of Paradise which flow from a mound on which stands a chalice" (1978: 193).

[51] Herodotus (*Histories* IV.59-62) discusses the Scythians' ancestral identification with the cup, and ritual use of cauldrons for the boiling of their eucharistic sacrifices.

[52] Though, of course, this is also characteristic of the endogenous or spontaneous mystical experience; so that there is still no direct proof of a mushroom experience.

[53] Loomis (1991: 166-8) recounts how Pauphilet "defined the essential character of the work" as wholly Cistercian, through an analysis of its imagery and message: the solitary, mystical Galahad personified "the concept of man's duty and destiny … specifically taught by the great monastic order of Cîteaux"

[54] See Cleave (1996: passim) for a discussion on the "evolution" of the light theme in the literature.

[55] I am well aware of the status of Murray's work. My use of the evidence she selected serves to echo the process of selection employed by those who argue for a mushroom-Grail.

[56] It may be supposed that this connection, although not Christian, may substantiate the mushroom-cult. However, although the "toadstool" is certainly mentioned in the literature (cf. Wasson 1969: 176), by far the prevalent leanings of the witches are toward the *Solenaceæ* (deadly nightshade, henbane, mandrake and thorn apple) (Shleiffer 1979: passim; Harner 1973: 125-40), the mushroom evidencing no cultic centrality.

[57] Ginzburg, while allowing the possibility of these feasts, is emphatic as to what the descriptions of the Sabbats document: "they simply document myths and not rituals" (1991: 300). This, however, changes matters only to indicate, instead of analogous mythic-ritual developments, two parallel mythic developments.

[58] Ruck, et al. (2001: 143, 178) allude to such a survival.

[59] Even the very fuzzy identification of all these under the type "sacramental vessel" rests on an assumption not satisfactorily explored.

[60] I am at present engaged in preparation for a comprehensive study of relevant artistic representations available within the discussed landscape.

[61] "*Qui boyt et ne reboyt il ne scet que boyre soit*" (Rosand 2004: 38).

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Hawaii International Conference on Arts and Humanities 2005

LECTURE:

SHALL WE DANCE?
THE INFLUENCE OF DANCE ON WOODWIND CHAMBER MUSIC

Authors (performers/presenters):

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Abstract

Since the beginning of mankind, dance has been a distinguishing aspect of many cultures, initially used as part of a ceremony or ritual. Eventually, dance developed beyond ceremonial use into an ART, i.e., beauty for its own sake. By the 16th century dance rhythms were incorporated into compositions written for lute, or keyboard, or small ensemble. This music continued to evolve into stylized instrumental forms that were enjoyed purely for their value as concert music. The use of dance forms by 20th century composers forms an integral component of woodwind chamber music. It is thus the objective of this lecture-presentation to explore the rhythms that define each dance and how dance steps were developed from these rhythms and to demonstrate how composers around the world have incorporated dance forms within their compositions for woodwinds.

Hawaii International Conference on Arts and Humanities 2005

PERFORMANCE:

GOTTA DANCE: DANCE MUSIC FOR REED TRIO

Authors (performers/presenters):

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Abstract

Since the beginning of mankind, dance has been a distinguishing aspect of many cultures, initially used as part of a ceremony or ritual. Eventually, dance developed beyond ceremonial use into an ART, i.e., beauty for its own sake. By the 16th century dance rhythms were incorporated into compositions written for lute, or keyboard, or small ensemble. This music continued to evolve into stylized instrumental forms that were enjoyed purely for their value as concert music.

The use of dance forms and rhythms by 20th century composers is an integral component of woodwind chamber music. It is the objective of this recital to demonstrate how composers around the world have incorporated dance forms within their compositions for woodwind reed trio. We will perform music by composers who have examined their own culture and drawn upon the dances that celebrate their own national identity. We will show how some composers have made traditional use of dance forms while others have taken a non-conventional approach.

Proposed Program
(To be selected from the following works and additional pieces):

Désiré Dondeyne	Suite d'Airs Populaires
Paquito d'Rivera	Habanera
Jacques Ibert	Cinq Pièces en Trio
Quinto Maganini	Havana
Henri Tomasi	Concert Champêtre
Erzsébet Szonyi	Five Old Dances

Biographies

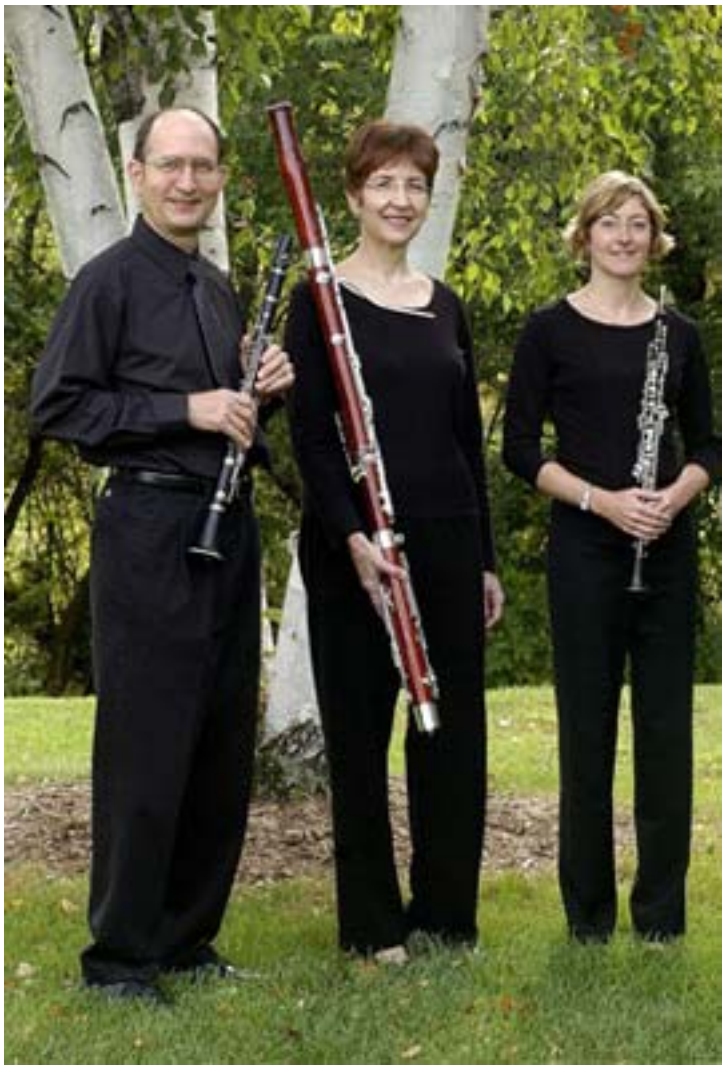
Kristine Klopfenstein Fletcher performs frequently as a collaborative artist and soloist. She has appeared as soloist on the Schubert Club's Courtroom Concert Series (St. Paul, MN), for the Edinburgh, Scotland Society of Musicians, on the Conference of the International Double Reed Society, on Wisconsin public radio and television, on the national convention of MENC, and regularly as a member of the Wisconsin Woodwind Quintet and as principal bassoonist of the Eau Claire Chamber Orchestra. She has been a Visiting Fellow at the Tokyo National University of Fine Arts and Music, and has toured England and Scotland as a member of the Wisconsin-In-Scotland Chamber Players. She holds a Doctor of Musical Arts degree in Bassoon Performance and Pedagogy, a Master of Arts degree in Bassoon Performance, and a Bachelor of Music degree in Music Education from the University of Iowa. She also holds a Master of Library and Information Science degree from the University of Wisconsin-Milwaukee. Since 1982 Dr. Fletcher has been on the faculty at the University of Wisconsin-Eau Claire. Dr. Fletcher has written a number of music articles for professional journals and is the author of *The Paris Conservatoire and The Contest Solos for Bassoon* (Indiana University Press). At present she is co-authoring a guide to chamber music for bassoon, clarinet and piano and recently has completed a CD of some of these works.

Richard W. Fletcher is Professor of Clarinet and Saxophone at University of Wisconsin-Eau Claire. He holds a doctorate in Clarinet Performance and Pedagogy from The University of Iowa where he was a student of Himie Voxman. He is an active soloist and chamber musician, performing as principal clarinetist in the Eau Claire Chamber Orchestra and the Wisconsin Woodwind Quintet. He has performed at the Minneapolis Institute of Arts, the Elvehjem Museum of Art, the Schubert Club's Courtroom Concerts Series, the Conference of the International Double Reed Society, on Wisconsin radio and television, and performed internationally in Japan, Scotland and England. As a Visiting Fellow at Tokyo National University of Fine Arts and Music he had the privilege of studying the shakuhachi (bamboo flute) with virtuoso Goro Yamaguchi. Prior to UWEC, Dr. Fletcher was a faculty member at Arkansas Tech University. At present he is co-authoring a guide to chamber music for clarinet, bassoon and piano and recently has completed a CD of some of these works.

Christa Garvey joined the University of Wisconsin-Eau Claire in the fall of 2003, where she teaches music theory and applied oboe. She is an active performer and a member of the Wisconsin Woodwind Quintet and the Eau Claire Chamber Orchestra. She previously served on the faculty of the Metropolitan State College of Denver and was a Visiting Lecturer of Oboe and Musicology at the Lionel Hampton School of Music at the University of Idaho. She has performed with the Colorado Symphony Orchestra, the Colorado Ballet Orchestra, the Cheyenne, Wyoming Symphony, the Colorado MahlerFest Orchestra, the Boulder Bach Festival, the Aspen Music Festival, and the Bloomington Early Music Festival. Dr. Garvey holds a Doctor of Musical Arts degree in Oboe Performance and Pedagogy from the University of Colorado at Boulder. While at CU, she was winner of the Honors Concerto Competition, College of Music winner for a campus-wide Creative Work Award for a dissertation project, developed an oboe method book, and received grant funding for research in the Czech Republic to study the manuscript scores and correspondence of Bohuslav Martinu. Her undergraduate degree was received from Indiana University. Her teachers include James Brody, Marc Lifschey, Elaine Douvas, and John DeLancie.

UWEC Trio d'Anches

Richard Fletcher, clarinet; Kristine Fletcher, bassoon; Christa Garvey, oboe



Title of the submission: Dante and the British Gothic: Charles Marturin's Appropriation of the Francesca and Ugolino Episodes.

Topic area: Literature

Presentation format: Paper session

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Dante and the British Gothic: Charles Marturin's Appropriation of the Francesca and Ugolino Episodes.

In Great Britain, in the first part of the nineteenth century, when Gothic literature was starting to lose its attraction, and Dante's fame was at its peak, Charles Maturin published what is often considered the last truly Gothic novel, *Melmoth the Wanderer* (1820). In this work, Maturin recounts the story of John Melmoth, an Irishman whose post-mortem fate had been to wander the earth for 150 years, seeking to win souls for the devil. Contemporary critics have focused on the radical subtexts of *Melmoth the Wanderer* and its contribution to the evolution of the Gothic novel into a more psychological and complex literary genre. Joseph W. Lew, for example, has pointed to the several semantic levels of Marturin's work, showing that the novel could be interpreted as a political allegory of civil war England, of contemporary Ireland, of the Spanish Inquisition, and of life on an Indian island. Regina Oost has examined the narrative techniques of *Melmoth the Wanderer* and has stressed how Maturin imitated popular literary works and subverted the aesthetic of the time by adopting a narrative strategy which simultaneously relied on readers' expectations and frustrated them. For instance, the critic points out, Marturin often rewrote a known story changing the tale's ending. In this paper, I embrace Oost's study and suggest that *Melmoth the Wanderer* draws in part also on Dante's *Commedia* by rewriting in one of its tales, the Francesca and Ugolino episode. In line with contemporary criticism, which sees Maturin as innovative and radical, I explore the implications and theoretical issues for literature and beyond to which Maturin's adoption of Dante's *Inferno* in *Melmoth the Wanderer* gives us access. Most importantly, my approach to the novel allows me to view Marturin under a more pragmatic light and see his appropriation of Canto V and XXXIII as an act of quasi-plagiarism perpetrated for the sake of both literary and economic success.

Title: Teaching Music through Children's Literature!

Topic area: Music

Presentation format: Workshop

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Teaching Music Through Children's Literature!

The power of literature to capture the attention and the imagination of children is undeniable. Most children are very enthusiastic about being read to and are easily captivated by stories of all kinds; from history to make believe. Elementary classroom teachers take advantage of this enthusiasm and read to their classes on a regular basis, sometimes twice a day. Have you ever watched children while their teacher is reading to them? Many students sit cross-legged with their elbows propped against their knees and their faces resting on their cupped hands while others may be lying on their tummies. Faces are upturned, eyes are riveted on the teacher and all are spellbound with the reading of the story.

From the classroom teachers' perspective there are numerous reasons to read to students. Reading to students aids in the understanding of story structure, broadens familiarity with different styles of books, and helps to increase vocabulary. Book language is also different than spoken language and reading allows students to hear different ways of expressing thoughts. Perhaps not least of all, teachers read to their students for the sheer pleasure of reading with the hope that students will develop a lifelong love for reading.

How does this relate to the elementary general music teacher? Can the music teacher use children's literature in her classroom? The answer is definitely, yes, and for similar reasons. Music educators can use books to help students understand musical structure, become aware of different styles of music, and develop a musical vocabulary and musical skills. And every music teacher hopes that with increased musical skills and knowledge, students will develop an appreciation for music that will last a lifetime.

Incorporating children's literature into the music class also creates the opportunity for the music teacher to collaborate with the classroom teacher on the use of books. Classroom teachers

already have an interest in reading to their students so working in partnership can benefit both teachers. By working together, the teachers may be able to find books that are relevant to both classes. They also may find themselves more interested in each others curriculum and that would be beneficial for all, especially for the students.

This workshop session will focus on ways of utilizing children's literature in the elementary general music classroom. Participants will: 1) explore a variety of children's literature to use in the general music classroom ranging from picture books to folk tales to multicultural stories, 2) experience lessons using children's literature, and 3) investigate and determine ways to incorporate children's literature into music instruction, and 4) receive a bibliography of books that have been used successfully in the general music classroom.

Interacting Domains: Metaphor Analysis in the Classroom

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Rhetoricians and literary critics dominated the study and discussion of metaphor from Aristotle until the 1950's. In the decades since then, however, cognitive psychologists and philosophers as well have turned their attention to metaphor (Montjoy, 23). Indeed, as Mark Johnson observed in 1981:

> [w]e are now in the midst of a metaphormania. Only three decades ago the situation was just the opposite: poets created metaphors, everybody used them, and philosophers (linguists, psychologists, etc.) ignored them. Today we seem possessed by metaphor. As Wayne Booth has mused, judging from the jump in interest in metaphor . . . , if we extrapolate to the year 2039, there will then be more students of metaphor than there are people (*Philosophical*, ix).

Now that the awareness of the importance of metaphor has passed beyond English departments into other disciplines, it is time for teachers and professors in various grades and disciplines to make the study of metaphor an integral and important of their disciplinary curricula. Given the importance of metaphor, it important that we have a model or frame whose use will allow us and our students to analyze, discuss, and understand individual metaphors in the classroom. (The frame to be presented had its origin in Upton, 75-78; cf. Upton, Samson, and Farmer, 157; Samson, 58; Geiger and Farmer, 199-201; and Geiger, 97-98.) There are three purposes for using this model or frame: 1) to demonstrate to students the importance and complexity of metaphor, 2) to give students frequent and structured opportunities to see the role and utility of classification in language, and 3) to give a form for seeing relationships between seemingly discrete discourse communities, thus helping our students to become increasingly more interdisciplinary.

For the purposes of this conference presentation, I will define 'metaphor' as an utterance that expresses a proportional analogy between two categories or knowledge domains as regulated

by a third category or domain. Another way of defining metaphors is to say that they ". . . are conceptual mappings" (Lakoff and Johnson, *More,* 107), and a more satisfying variation of this is to say that a metaphor ". . . is a mapping of a source conceptual schema . . . onto a target conceptual schema . . . . (Turner, *Reading,* 52).

Thinking consists primarily of classifying or creating categories, and the fundamental mental act at work in classifying is the genus-species relationship. As Mark Turner observes, we categorize in order to function efficiently. "Our categories cut up our worlds into clusters, so we can deal with clusters instead of elements. The fitness of our cognition depends upon the fitness of these conceptual cuts" (*Reading,* 122; for an extended discussion of categorical fitness, see Lakoff, 1987). Through the genus-species relationship, we convert stimuli into apples and oranges, and we see that they are both fruit but differ from one another in a number of ways; through the use of symbols, we *can* compare apples and oranges. Creating categories through symbols is so fundamental that we take it for granted. We divide papers into excellent, good, average, poor, and failing; we go to a hardware store and look in different sections for lag bolts, drill bits, hammers, and paint. When we look for lag bolts and drill bits, we distinguish according to size; when we go to the hammer section, we look for a framing hammer, and reject ball peen and roofer's hammers; and when we go to the paint section, we look for off-white, not pure or buff white paints. When our students enter college, one of the first questions they are asked is "What are you planning to major in?" They also have to decide whether they are going to live on or off-campus, and what kind of meal plan they are going to use. Indeed, classification allows us to create special fields, each with its collection of names, things, and relationships; we call such fields subjects, jobs, universes of discourse, knowledge or conceptual domains, professions, or discourse communities; people in these special fields think alike; they use terms that clearly distinguish between those in the know and outsiders; birds of a feather *do* flock together. One of the jobs of professional and vocational education is to train people how to think, for example, like attorneys, physicians, literary critics, electricians, cooks, and computer programmers. Scott Turow, for example, describes in *One L* how one of the chief objectives of the first year of law school is to learn how to think, talk, and write as an attorney.

Classification, then, is crucial to our ability to think. Applying classification to

metaphorical thinking, Sam Glucksberg and Boaz Keysar argue that ". . . metaphors are . . . not implicit comparisons but instead [are] . . . assertions of categorization" (401; cf. 412, 413-414, and Holyoak and Thagard, 221). Not only is metaphor a form of classificatory thinking, but metaphors are an especially complex form of classification because proportional categorization occurs when we see that thing A is to thing B in the one category as thing C is to thing D in the another category. Richard Billow concurs when he observes that

> [i]f . . . metaphor comprehension may be considered as a type of classificatory behavior, it would follow that there should be a relationship between comprehension of that kind of metaphor which is based on similarity and concrete operational thinking and between comprehension of that kind of metaphor which is based on proportionality and formal operational thinking (415).

We call such thinking seeing analogies, and the rhetorical name for such a complex perception is a proportional metaphor.

George Lakoff and Mark Johnson stipulate that there are two "conceptual domains" at work in a metaphor, each of which ". . . is understood in terms of the other" (103). In the metaphorical act, they maintain that ". . . a whole schematic structure (with two or more entities) is mapped onto another whole schematic structure" (103); another way of putting it is that ". . . the logic of the source-domain structure is mapped onto the logic of the target-domain structure" (103). Instead of two "conceptual domains" or "universes of discourse" functioning in a proportional metaphor, however, the process of metaphorical thinking entails a transfer of thought, words, and things from one universe to another one as regulated by a third one. Mark Turner concurs when he defines a basic metaphor as having ". . . three parts: first, a fixed conceptual domain that is the source; second, a fixed conceptual domain that is the target; and third, a fixed metaphoric mapping at the conceptual level of entities, relations, knowledge, reasoning patterns, image-schemas, and schematic structure from the source to the target" (*Reading,* 158; cf. *Literary Mind,* 143 and 145, Fauconnier and Turner, 47 and 282, and Moser). In more recent discussions, Turner and Gilles Fauconnier have developed the concept of conceptual blending, and I suggest that metaphor is the most impressive form of this concept. (Indeed, Fauconnier and Turner refer to metaphor as a

"megablend," 157-158.) As Turner asserts:

> Roughly and intuitively, conceptual blending is the mental operation of combining two mental packets of meaning – two schematic frames of knowledge or two scenarios, for example – selectively and under constraints to create a third mental packet of meaning that has new, emergent meaning (2002, 10).

In metaphorical thinking, then, there is a transfer of thought between the universe borrowed from, the universe the borrowed relationship is applied to, and regulation of these two universes by the overarching universe that gives meaning to the relations in the two other categories. As Richard Samson puts it:

> [a]n analogy [proportional metaphor] seems to inhabit two worlds, but actually inhabits three. We start out with two worlds, but by focusing on their similarities we create a third 'overworld.' Words and other symbols bring two relations together into one larger relation, just as the power of sight focuses two pictures into one comprehensive picture. When the view from the right eye coincides with the view from the left eye, the mind sees a third view, in depth. Analogies [metaphors] are mental stereopticons. (75)

The universe the metaphorical relationship is borrowed from is the *metaphorical* universe, what I. A. Richards and Eva Feder Kittay term the "vehicle," Max Black calls the "focus," and Turner calls the "source"; the universe the relationship has been transferred to is the *contextual* universe, what Richards calls the "tenor," Kittay the "topic," Black the "frame," and Turner the "target"; and the universe that regulates the two other universes is the *metauniverse* or the *comprehensive* universe or what Turner names the "generic space." (The terms in italics are derived from Upton, 75; Upton, Samson, and Farmer, 160-161; and Geiger and Farmer, 260-261.) This comprehensive universe allows students to become aware that

> . . . ideas are being fitted to an existing knowledge structure, to a metaphorical mode in which the construction of a third knowledge structure consisting of the relations educed between the two domains referenced by the metaphor is accomplished (Sticht, 478).

To make these three universes clear to our students, I suggest using both a metaphor and a diagram. The metaphor comes from the universe of banking.

> When someone needs money, he or she goes to a bank to borrow some. The bank is analogous to the metaphorical universe: it has the money the borrower wants. Let us think of the metaphorical universe as the *loaning* universe. When the borrower borrows the needed money, he or she becomes a debtor; the debtor is indebted to the bank for the money and agrees to pay the bank back for the loan. Let us think of the contextual universe as the *borrowing* universe. Today, however, banks and borrowers do not function independently of governmental regulatory agencies. Both parties have their charters and practices inspected and governed by state and federal agencies. Let us think of the comprehensive universe as the *supervising* or *regulating* universe. Thus, understood by analogy with banking, three universes of discourse are work in a metaphor:
>
> the Bank (the dispensing or lending universe),
> the Borrower (the receiving or borrowing universe), and
> the Regulator (the governing or supervising universe.
>
> (Geiger and Farmer, 261)

The banking metaphor serves to make the relations among the three universes clear to our students.

I suggest using a diagram for metaphor analysis because of the surprising complexity of analogies. As Gilles Fauconnier and Mark Turner observe, although analogies seem relatively simple to understand,

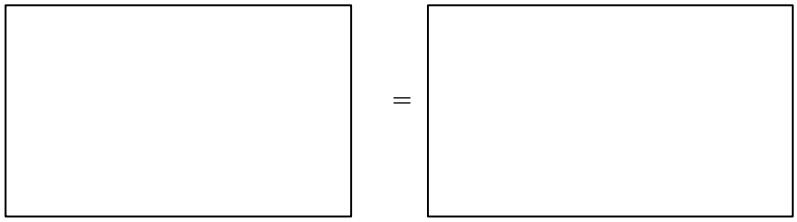
> Here too, what initially seemed easy and primitive [the study of analogy] the explicit characterization of sameness, turned out to be extraordinarily complex. Matching and aligning the elements of the two domains, finding the common schematic structure that motivates an analogy between them, are now recognized as formidable feats of imaginative work to which the current state of computational modeling cannot do justice (12).

The diagram I propose using gives us a concrete frame or model by means of which the complexities Fauconnier and Turner mention can be made explicit so that our students can get their thoughts clear when analyzing metaphors. Here is the metaphor analysis diagram I propose using:

(SOURCE UNIVERSE) **(TARGET UNIVERSE)**

_____ _____

A_____ C_____



B_____ D_____

(MAPPING UNIVERSE)

E.R._____

Each of the three universes at work in a metaphor has its own place in the diagram. The source (or the metaphorical) universe includes the line above the letter "A," the box between lines "A" and "B," and the line labeled "B." The target (or the contextual) universe stands opposite the source universe, and it includes the blank line above the letter "C," the box between lines "C" and "D," and the line labeled "D." The mapping (or the metauniverse or the comprehensive) universe fits on the line labeled “E.R.”; “E.R.” stands for *encompassing relationship.* With this diagram in mind, let us see how to put it to use, using a reasonably simple metaphor for our initial analysis.

Harry M. Davis, in an essay entitled "Radio Waves and Matter," advances the idea that much of the complexity of quantum mechanics is based upon Niels Bohr's analysis of the simplest atom, the hydrogen atom. He concludes one section of his argument when he observes that "[t]hus a huge edifice of both physics and chemistry has been built upon the understanding of hydrogen's visible color spectrum" (135). In order to make his point clearer, Davis has borrowed a set of metaphorical terms and relations from the source universe of construction or building and applied these relations to the target universe of physical science. Using this example as our starting point, here is the procedure to have our students follow when analyzing a metaphor. (For

a different view of the act of interpreting metaphors written from an information processing perspective, see Robert J. Sternberg, Roger Tourangeau, and Georgia Nigro, "Metaphor, Induction, and Social Policy," in Ortony, 287-293.)

(1) Underline the metaphorical words in the given metaphorical statement. In Davis's sentence, the metaphorical words are *edifice* and *built*.

(2) Give names to source (or metaphorical) and target (or contextual) universes and place these names on the lines at the top of the diagram. Two possible universes are "construction" and "physical science."

(3) Name the things between which the relationship holds in the source universe and put their names on lines A and B. Possible names of things for the source universe are "edifice" and "foundation."

(4) Do the same for the target universe, placing their names on lines C and D. The things for the target universe are "physics and chemistry" and "hydrogen's visible color spectrum."

(5) Using as many of the given metaphorical words literally and supplying words necessary but not found in the original statement, make explicit the relationship between things A and B. The relationship between an edifice and its foundation is that the former "is built upon" the latter.

(6) Choosing words not drawn from the source universe, set up a parallel relationship between things C and D. Thus, the complex system of modern physics and chemistry "is founded upon understanding" hydrogen's visible color spectrum.

(7) Articulate the encompassing or regulating relationship in general terms on the line labeled "E.R" in the mapping universe section. Such a comprehensive relationship might be "is established upon" or "is set upon."

Now let us put the parts of the metaphor we have just analyzed into our metaphor analysis diagram.

Construction		Physical Science
A. An edifice		C. Physics and Chemistry
is built upon a	=	are founded upon understanding
B. foundation		D. hydrogen's visible spectrum

E.R. is set or established upon

Here is a slightly more complex metaphor and another sample analysis. John W. Baldwin states in *The Scholastic Culture of the Middle Ages, 1000-1300* that ". . . [b]y effectively isolating itself from the confusion of the times the community of monks spun a chrysalis which shielded the tender body of learning during the hard winter of the early Middle Ages" (35). The metaphorical words in this statement are *spun, chrysalis, tender body,* and *hard winter*. Probable things in the source universe are *butterflies* and *winter*; probable things in the target universe are *monks* and *early Middle Ages.* Here is how these parts fit the diagram together with the several relationships that give the parts their meaning.

Insects		Monasticism
A. Butterflies		C. Monks
covered themselves with a spun chrysalis to shield their tender bodies from the hard	=	isolated themselves in monasteries to protect learning from the destructive social conditions of the
B. winter		D. early Middle Ages

E.R. surrounded themselves with a cover to avoid the harsh

The first thing to note is that neither of the two analyses above is the "right" answer. Different people may develop equally valid but different analyses depending upon the knowledge each brings to bear upon the interpretation. As James Deese remarks, interpreting a metaphor is a kind of game in which problem-solving can lead to multiple satisfying interpretations, interpretations that depend upon the knowledge base each interpreter has (211). Such differences may lead to lively discussions as students question different interpretations and defend their own. Next, there is usually an increasing order of abstraction as we move from the source to the target universe. This is what we would expect, because one of the chief uses for metaphor is to learn about or to express the unfamiliar or the abstract by "seeing" the unfamiliar

or the abstract analogically through the glasses of the familiar or the concrete. Thus, the source universe is generally more concrete than the target universe, and the target universe is, in turn, less abstract than the mapping universe. The mapping universe states the essential relationship that allows us to see the two other universes as being similar yet different. When we have conceptualized the mapping universe relationship, then Samson's mental stereopticon comes into focus and we thus not only "see" the metaphor, but we also have a working model of classificatory thinking because we have asserted a complex category with two species based upon the fundamental perception of identity, similarity, and difference. The test of whether or not we have stated an accurate comprehensive relationship is whether it can be substituted in either box and help make clear the essential relationship between the things A and B and the things C and D. (The list of metaphorical themes Lakoff and Johnson cite in *More than Cool Reason* [221-223] may prove initially helpful when doing this part of the analysis.) Finally, analyzing metaphors, like composing, does not proceed in a linear fashion. When analyzing metaphors we usually have to make a large number of adjustments until our complex perception is ordered; a pencil and eraser, a word processor, or a chalkboard, chalk, and an eraser are necessary equipment. As when brainstorming or inventing, it pays to jot down words and phrases as one thinks of them. A hint of an idea might come in useful if one line of inquiry or insight does not work out, and it frequently happens that an analyzer will transfer a word or phrase from one universe to another as he or she seeks to get the words, things, and relations arranged in such a way that the metaphorical relations are satisfactorily expressed.

There is no one size for a metaphor analysis diagram, because the size of the diagram is determined by the complexity of the metaphor being analyzed. I would recommend that professors begin their students' study of metaphor by using fairly simple metaphors with parts of each diagram already completed, then increase the complexity of the metaphors, still having some of each diagram filled in, and conclude with complex metaphors using entirely blank diagrams.

Finally, what are the pedagogical payoffs for analyzing metaphors in the classroom? As students work out their analyses, they cannot avoid grappling with and achieving adequate naming

of categories, connecting words with the thoughts and things they symbolize, adjusting levels of abstraction, choosing apt words, formulating complex relationships, and achieving parallelism of words and thoughts. Thus, as Allan Paivio remarks, ". . . the study of metaphor might lead to a better conceptualization of comprehension in general" (171). That the study of metaphor in particular may lead to a student's increased understanding of "comprehension in general" is so because, as Paul Armstrong observes, ". . . all understanding is basically figurative" (58). That this is so, Armstrong contends, is because "[o]ur understanding of any particular detail is figurative in that it depends on the gestalt to which we attribute it and the place to which we assign it in this structure. Our hypotheses about patterns of consistency are acts of figuration" (58). In addition to these rhetorical and conceptual payoffs, students also learn how to articulate parallel thoughts in different categories or discourse communities or conceptual domains that make up a metaphor's source and target universes as well as how to comprehend the interaction of these categories by seeing and stating the essential relation that gives the two domains meaning. Metaphor analysis thus becomes an effective tool for increasing our students' ability to perform analysis (breaking ideas down) and synthesis (seeing how ideas are related). Thomas G. Sticht concurs when he notes that the:

> metacognitive knowledge of how to manipulate ideas explicitly in metaphor so as to transform either one's own or another's knowledge into new knowledge makes metaphor a major tool for extending our capacities for analytical thought, while at the same time changing us as tool users. Though the types of changes produced by the use of metaphor as a tool for thought may not yet be fully understood, it can be argued by analogy that just as the repeated use of a hammer may strengthen the arm, the repeated use of metaphors may strengthen the powers of analysis and synthesis (631).

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“Do ‘real men’ moisturize?” A Competing Discourses analysis of a men’s Internet message board.

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Introduction

Researchers in Gender and Language have been interested in men's language primarily from a difference (Lakoff, 1975, Tannen, 1990, etc.) or dominance perspective (Zimmerman & West, 1975, Fishman, 1983, etc.) This research is not without its critics, who argue that it is based on a 'concept of gender based on binary opposition (Johnson, 1997: 11). Instead, they argue the focus should be on which practices construct individuals as women or men (Bing & Bergvall, 1996). There has been an emphasis on men's andocentric language use at the expense of *explicit masculinity* (Johnson, 1997), i.e. how men use language as men. More recently in the social sciences, the study of men's language has shifted from *masculinity* to *masculinities*. In the social-constructivist approach, men present themselves to the world as gendered beings (Cameron, 1997, Edley & Weatherall, 1997, Johnson, 1997, Connell, 1995, 2001). Our 'common sense' definitions and knowledge about gender are the site of site of struggle and competition between discourses (Coates, 1997). Competing discourses are opposing sets of values and orientations that are part of our stance, or world-view (Coupland & Coupland, 1997). These discourses position us in different way to the world (Coates, 1997), and are the prism through which we view the world and others' actions.

Our definitions of femininity and masculinity are not fixed, but subject to changing practices. One example is men's use of 'male' beauty products (for simplicity, 'products'). This is a relatively new phenomenon, possibly inspired by the appearance of 'metrosexuals' [1] and television shows like 'Queer eye for the Straight Guy'.

[1] This term refers to men who not only use beauty products, but adopt a very 'high maintenance' lifestyle, see Flocker (2003).

These changing practices have created two 'competing discourses' related to men's use of these products. Texts are the battleground where these discourses clash, and as Fairclough (1995) argues, are 'sensitive barometers of social change'. As such, they are particularly useful for studying changes in our definitions of gendered practices. In this paper, I will perform a textual analysis (Fairclough, 1989) on men's texts taken from an on-line message board. In this data, I have identified two competing discourses of men's beauty product use, which I call the 'rugged masculinity' and 'taking care' discourse. Following Coupland and Coupland (1997) I will describe the *discursive formation* of each discourse, as well as how their world views are realized in the texts. Finally, I will consider the discursive strategies that men use when choose one of these discourses in constructing themselves as gendered selves.

Literature Review

I. Discourses, Ideology and Competing Discourses

Discourse is a term with many definitions in the social sciences. In this section, I will discuss the definition I use, the connection between discourses and ideologies, and what competing discourses are.

My definition of discourse is a set of values and orientations shared by a particular group, that forms a stance (i.e. a partial world-view) (Coupland & Coupland, 1997). They are also a set of common meanings and values that allow us to perform different selves (Coates, 1997). For example, Coates found that women can position themselves as either dutiful daughters or products of a dysfunctional family by choosing between different discourses of femininity.

Modern views of ideology (van Dijk, 1993, 1998, Fairclough 1989, 1995) view discourse as important for the reproduction of ideologies in society. Group members use discourse to learn, change, express, and persuade others of their core ideological views. Discourses are both textual and ideological, and texts are therefore suitable for linguistic analysis (Fairclough, 1989, 1995). In the social constructivist view, men choose between different discourses, allowing the performance of a different self, but carrying the 'baggage' of that discourse's ideological base. Therefore, we can see the reproduction of that ideological base in properties of the text itself. One example from my data is the evaluation of men who use beauty products. In what I call the 'rugged masculinity' discourse, these men are called *sissies*, *basket cases*, *girlie men*, etc. In the opposing 'taking care' discourse, the same men are referred to as *guys*, and *real men*. In this case, we see the different ideological views of these discourses reflected in how these men are labeled for these men. The manifestation of ideology through textual features is a concern of *Critical Discourse Analysis* (van Dijk, 1993, Fairclough, 1989, 1995, 1999) and textual analysis, which I discuss below.

Why do we speak of 'competing discourses' rather than 'co-existing discourses'? The reason is because discourses do not exist in symmetrical relationships (Fairclough, 1989, 1995). One particular discourse is *hegemonic*, or dominant. Its power lies in the fact that its particular world-view is *naturalized* (Fairclough, 1989), i.e. accepted as 'common sense'. This disguises the fact that the dominant discourse is just one possible discourse for performing gender (Coates, 1997). Other discourses are subordinated, and can challenge the hegemonic ones in order to naturalize their own worldview. From this perspective, then, competing discourses involve a dominant discourse, and one or more

subordinate, or 'resisting' discourses. The hegemonic discourse tries to preserve its dominance, while the resisting discourses try to become dominant themselves.

There has been relatively little research on competing discourses (Lee, 1992, Coates, 1997, Coupland & Coupland, 1997). Although I adopt Coupland and Coupland's definition and formulation of competing discourses, their focus is on textual representations of sun use in Britain, not gender. Coates (1997) is more relevant to this study, because she explores the tensions and contradictions between competing discourses of femininity. For instance, she describes competing discourses regarding children. The dominant discourse is that children are 'marvelous', and the subordinate, or 'resisting' discourse is that not all adults should like children. She found aspects of women's narratives that reflected the stances of both discourse. Coates also found that different discourses and world-views can co-exist in the same text.

Coates' study differs from my own in a particular respect. She is concerned with global discourses of femininity, regarding issues like appearance, family, and children. In my study, the discourses are restricted to one corner of the possible discourses of men's health.

At this point, I would like to give a brief overview of the competing discourses of men's beauty product use I have identified. The dominant discourse I call 'rugged masculinity', and it likely draws on the worldview of hegemonic masculinity (Connell, 1995). From this perspective, men who use beauty products are positioned in texts as unmasculine. The competing discourse I call the 'taking care' discourse, and it positions men who use beauty products positively, with attendant health and lifestyle benefits.

II. Critical Discourse Analysis and Textual Analysis

Critical Discourse Analysis (CDA) is concerned with the relationship between language and power (van Dijk, 1993, Fairclough 1989, 1995, 1999). It studies how serious social problems and inequities (at the macro level) are reproduced (at the micro level) in spoken or written texts (van Dijk, 1993). The main goal of critical analysis is to empower groups that are struggling against oppression and linguistic domination (Fairclough, 1995). Given CDA's focus on such serious issues, one might wonder if it is appropriate to apply it to something like men using and talking about beauty products. It is hardly a social inequity if men are deprived of moisturizer. For this reason, while I rely on CDA's focus on language and power, my own analysis will not be 'critical' in the same sense. Instead, I will do a 'textually-oriented discourse analysis' (Fairclough, 1992), rooted in the changing practices (social and discursive) related to men's product use.

As I mentioned earlier, texts can be either oral or written. CDA has examined many different kinds of texts, like police interviews (Fairclough, 1989), doctor-patient interactions (Fairclough, 1995), newspaper texts (Coupland & Coupland, 1997), obituaries (Moore, 2002), and others. However, as far as I am aware there have been no CDA or textual analyses of computer-mediated discourse. The majority of the research on electronic communication has employed corpus analysis, not CDA (Herring, 1997, Yates, 2001). With CDA's concern with texts, the lack of critical textual analysis on CMC data is surprising. One of the goals of this paper is to demonstrate that textual analysis is a rich resource for analyzing CMC data.

Textual analysis, according to Fairclough (1989, 1995) is analysis of both the content and 'texture' (form and organization) of texts. As I mentioned earlier, texts are sensitive to social change, and are excellent resources for studying the reproduction of different discourses. Textual analysis involves more than just linguistic features like vocabulary, grammar and punctuation. It can involve any aspects of text, like speech acts, turn-taking, nonverbal communication, implicature, etc. Fairclough (1995) considers ten questions that an analyst can ask any text. Not all questions are equally relevant to a particular text, however. For this paper, I 'asked' my texts the following questions, described below.

One particularly rich question to ask texts refers to the *experiential* value of words. That is, how different world-views are reflected or implicated in word choice in a text. As Fairclough notes, what is often ideologically significant about a text are the vocabulary items themselves. In some cases, the meanings of words are contested by different discourses. For example, in my data the meanings of 'real men' and 'healthy living' are contested between the 'rugged masculinity' and 'taking care' discourses (see below).

Another important question to ask a text is what metaphors are used. Metaphors are 'representing one aspect of experience in terms of another' (Fairclough, 1989:119). Metaphors are important because different ones imply a different stance towards something, or views on how best to handle it. For example, a riot can have the underlying metaphor of a cancer, or social unrest (Fairclough, 1989). For this study, the most prominent aspect of experience represented is men themselves, and how their actions are viewed.

Finally, discursive strategies are important for textual analysis. Wodak & Meyer (2001:73) define discourse strategies as:

> A more or less accurate and more or less intentional plan of …discursive practices adopted to achieve a particular social, political, psychological or linguistic aim

In my analysis, I found that certain discursive strategies were associated with only one particular discourse. We can relate this to the definition of discourse strategies above, and the power relations and struggles between discourses. The aims of discursive strategies associated with the dominant 'rugged masculinity' discourse are to maintain that discourse's naturalized state. The aims of strategies linked to the 'taking care' discourse are to challenge and redefine the 'common sense', as well as persuade others. In this way, we can see that when men choose one of these discourses to construct themselves as gendered, their texts will exhibit discursive strategies that reflect these different goals of these competing discourses. I should mention at this point that my study is 'breaking ground' in some respects. My interpretations of discursive strategies are not based on the CDA literature, and are somewhat crude and in need of refinement.

Computer Mediated Communication and Message Boards

In this section, I briefly introduce Computer-Mediated-Communication (CMC) in general, and message boards in particular. CMC is used to describe many different kinds of electronic communication. It consists of a number of separate genres, like email, chat rooms and message boards (Herring, 1997). It is also a relatively recent field, lacking in empirical research. This is likely one contributing factor to the lack of critical analysis of CMC texts, discussed above. CMC texts themselves are somewhere between written and spoken speech (Collot & Belmore, 1997). It is written text, but also contains speech-like behavior like turn taking and other phenomena.

Message boards are an *asynchronic* genre of CMC (Herring, 1997). Asynchronic refers to communication where participants need not be 'virtually' present, usually with a time delay. This contrasts with *synchronic* CMC, where all participants are present, and communicate in real-time. What, then, are message boards? They are essentially an on-line forum. One person starts a discussion, and gives it a title (e.g. 'Should men use beauty products?'). This title is then 'posted' on a virtual board, and readers can choose between different topics on that board. The resulting discussion is commonly called a *thread* (Collot & Belmore, 1997). Any participant can contribute to the thread, and it consists of comments from different participants. These can be distributed over minutes, hours, days, etc. The message board that was my data source is provided by a men's magazine called 'Men's Health'. It contains a number of different sub-areas, with boards discussing relationships, health, dating advice, and other areas.

Data and Methods

I used two sources of data for this paper. One source is a thread on the Men's Health board initiated on June 23, 2003. A woman began this thread by asking opinions on men using beauty products. This thread soon turned into a heated debate, and motivated my interest in this topic. The second source of data is another thread I started on the same message board more recently. In it, I posed the question 'Should men use beauty products?' I used open-ended, ethnographic questions (Spradley, 1979), and this second, smaller data set confirmed my analysis of the first. My data set is relatively small (consisting of 37 texts), so I am unable to make firm generalizations at this time. In the future, I hope to expand this study to other message boards, and possibly incorporate other kinds of data, like from chat rooms.

I used Coupland and Coupland's (1997) article as a base for describing the two competing discourses in my data. According to these authors, a discourse is:

> configured around and through a finite set of claims, statements…amounting to a stance or (partial) worldview (Coupland & Coupland 1997: 8)

Their approach was to use certain propositions to express the stance (i.e. partial world-view) of the discourses of sun use they investigated. For instance, one of their discourses is called 'sun is fun', and its stance expressed in propositions like 'sun is part of summer leisure (and fun)', and 'the more sun, the better'. This is what they call a *discursive formulation*. A particular discourse's formulation influences how it is manifested textually. In developing my own discursive formulation, I tried to represent the worldviews realized in the texts with representative propositions. In some cases (e.g. 'age like a man'), I used the participants' own terms. This was motivated by Schegloff's (1997) concern that discourse analysis tends to focus more on what is relevant for the analyst, than for the speakers themselves.

Research questions

1) What are the competing discourses implicated in men's use of beauty products, and how can their stances/worldviews be formulated?
2) What properties of text are implicated in the reproduction of these discourses?
3) What discursive strategies do texts manifesting these competing discourses use?

Discussion

As described above, I have identified two competing discourses relating to men's use of beauty products. The first, the 'rugged masculinity discourse' has the following discourse formulation (see above):

Rugged masculinity:

- Looking natural/rugged is good
- 'Age like a man'

- Gender-bending
- Crisis of 'real men'
- Healthy living ≠ product use

This formulation makes several claims about men's use of beauty products, and the mem who use them. First, it asserts that 'natural' beauty is best, and that aging cannot be prevented or covered up. Second, it draws on the notion of a 'crisis' of men who don't know how to be men. This is particularly true for 'gender bending', which views some men's construction of gender as equivalent to women's practices. Using these products is therefore another aspect of the feminization of these men. Finally, there is a denial that these products carry health benefits. Let's look at two examples that illustrate some of these points.

1) [2]IMO, we would be fools to get sucked into that trap (using beauty products) Think of the money and TIME women piss away on that junk. In the end they don't look any younger, just painted, still middle-aged, and kind of ridiculous. Enjoy youth while you have it, but age like a man....

2) Nobody's out there teaching these younguns how to be men instead of momma's boys or girlie men. They may have been raised by a single mom who had to bust her a$$ working two or three jobs and there wasn't some man around to take junior under his wing and teach em what it means to be a man.

In extract one, we see a number of textual features that index the 'rugged masculinity' discourse. First, the lexical choices reflect this discourse's view that product use is both a waste of money and time. The underlying metaphor of beauty products is one of futility and a possible financial and temporal danger to men. We can see this expressed in the writer's selection of lexical items like *that trap*, *piss away*, and *ridiculous*. Thus, these items position beauty product use as something undesirable to men. The phrase *age like*

[2] My intention in presenting this data is to report what these men say in their own words. Some of the extracts are offensive to women and men. While I do not defend their offensive nature, I will not take a critical stand on them.

a man appeals to hegemonic 'common sense' that men do not need to care for their appearance.

In text two, we see a manifestation of the 'men in crisis' proposition in this discourse's formulation. The author positions men's product use as a symptom of a larger problem. This problem represents a 'crisis' of men who didn't learn how to be men. Implicit in the stance of this discourse is a negative evaluation of men who use these products. This is implicit in the author's choice of referential terms to describe these men as *momma's boys* and *girlie men*. These terms position these men as less than 'real men'.

'Rugged masculinity' has a discursive competitor, what I call the 'taking care' discourse. I call it this because it emphasizes using these products to 'take care' of yourself. The formulation for this discourse is the following:

'Taking care' discourse

- Taking care of self vs. neglect
- Lack of care stupid/dangerous to health
- Healthy living= product use + other practices (diet, exercise, etc)
- 'real men' use products
- taking care of appearance is good
- can maintain youthful appearance

We can see the ideological clash between this resisting and the dominant discourse. The latter says beauty products use is frivolous and 'unmanly'. In contrast, the 'taking care' discourse positions using beauty products as just another aspect of healthy living. It is often framed in terms of health issues as well. In contrast to the 'rugged masculinity', it **is** possible to stay youthful, and this is viewed positively. Finally, the definition of 'real man' includes those who use these products. Let's look at some texts that represent this discourse:

3) Me, I use lots of hand lotion, otherwise my skin actually cracks and bleeds. I also use a sunscreen lotion on my forehead because a dermatologist told me several years ago I was a prime candidate for skin cancer.

4) I want to live long, enjoy life, and remain somewhat vibrant as opposed to some leather faced old coot.

Text three explicitly invokes a health perspective, a common theme in the data. It notes the serious health risks of neglecting to 'take care' of yourself. Throughout the data, texts that manifest this discourse use health-related terms like *flakes off*, *chapped*, *chappy*, and *cracks and bleeds* as a way to position product use in this way. Using these terms (particularly *cancer*) seems to be a persuasive discourse strategy intended to convince others of this discourse's 'common sense' (see above). This text also demonstrates this worldview's view that the consequences of self-neglect (i.e. not using beauty products) can be severe.

In text four, we see beauty products framed as part of having a healthy lifestyle. In particular, the meaning of 'healthy living' is linked to their use. We can see that it conflicts with the 'age like a man' aspect of the rugged masculinity discourse. The writer contrasts *vibrancy* with the negative consequences of not 'taking care' of yourself. His use of *leather-faced old coot* positions men who subscribe to the 'rugged masculinity' discourse as foolish and headed for disaster.

In these texts, the stance regarding a particular social practice (men using beauty products) is a site of struggle between competing discourses. As I mentioned earlier, both discourses are competing to become 'common wisdom'. One aspect of that struggle is over the meaning of certain words. This was the case in my data for the expression *real men*. Let's look at a text representing the 'rugged masculinity' discourse:

5) …a lot of men (especially early 20's) are chicks these days. They have actually adopted female grooming habits…. (Just) look at some of the basket cases that pop on to this site obesessing (sic) like a chick over some non-event.

This text frames beauty product use as feminine, and uses derogatory terms like *chick* to refer to men who use them. Male beauty product use is therefore framed negatively, and derided as *female grooming habits*. This draws on a metaphor of men acting like women, as a manifestation of the 'crisis of real men' I mentioned earlier. There is also the implicature here that 'male grooming habits' are something else entirely. Finally, the author extends the metaphor of 'men acting like women' to include negative stereotypes about women. These stereotypes are also attributed to the product-using men.

This has, I think, the effect of putting them in a symbolic 'one-down' position, and reflects the 'rugged masculinity's more powerful position as a competing discourse.

The 'taking care' discourse explicitly challenges the 'rugged masculinity' definition of 'real men'. The following is a continuation of text four:

6) I want to live longer and I don't want to end up looking like my grandfather did …If taking care of myself means I'm a sissy for not clinging to that old "real men don't take care of themselves" wisdom, call me a sissy then.

This text presents a world-view where men can age gracefully with the aid of beauty products. The 'real men' are portrayed as those who take care of themselves and don't care what others think. The author avoids being put in a 'one-down' position by a kind of symbolic reclamation of a term from the oppositional discourse, *sissy*. However, the way he states this, using an *if…then* statement mitigates the force of calling himself this term. Since beauty product use is not part of 'common wisdom' about men, those who use these products have to mitigate a perceived loss of status in admitting this fact.

I would now like to explore the relationship between particular discursive strategies and the power relations between the 'taking care' and 'rugged masculinity' discourses'. Space limitations prevent me from discussing these strategies in detail.

I have already indirectly commented on some discursive strategies associated with the 'rugged masculinity' discourse. One strategy is to position men who use beauty products in a 'one-down position', by challenging their masculinity. We saw this earlier in text 5, where such men were described as *chicks*. Here is another example:

> 7) Women don't want to date or be with men that are just as feminine as they are. Maybe where you guys are it isn't as bad, but out here in SoCal you can hardly tell the difference between men and women anymore.

This text expresses this discourse's proposition of 'gender bending'; discussed above. It claims that these men are so similar to women in many aspects it's impossible to tell them apart. It also represents the crisis of real men metaphor I discussed above. It is not a direct 'put-down' like in text 5, but implicit in this text is the idea that this is not a desirable state for men.

The primary discursive strategy I found manifested in the 'taking care' discourse is what, after van Dijk (1999), I call 'the denial of gay-ness'. For a man, admitting he uses beauty products could lead to the assumption that he is a gay or a somehow less competent male. To avoid this threat, many writers in this thread explicitly denied they were gay, or asserted their masculinity. Here is an example:

> 8) I have moisturizer that I use every day. If I don't, I get all chappy. I'm certainly not gay. Every guy has it or uses it.

The author first frames his use of beauty products in health terms, showing the consequences of not using it. Choosing the word *chappy* reinforces this focus on health, more so than *dry* would. Having made this potentially damaging statement, he feels it

necessary to do a 'denial of gay-ness' by saying *I'm certainly not gay*. His use of the intensifier *certainly* is significant as well. The author also counters the 'common sense' knowledge I discussed above with his own 'common sense': men do use these products but are afraid to admit it. Other denials in the data were: *I'm certainly not gay*, *No, I'm not wimpy*, *I don't consider myself a sissy, I know I'm straight*, and several others.

The last strategy I want to discuss, also associated with the 'taking care' discourse is the use of irony.

> 8) Congratulations!
> We have another graduate from the "Lessons learned by watching Dad and Grandpa's Lives" course. Dad and Gramps didn't take care of themselves, hence each died early from heart disease and cancers. Yeah, I slap chemicals on my face so that when I'm 50 I don't look like I've been drug behind a truck and I can enjoy my years instead of just passing time in a home waiting to die.

Given the non-literal meaning of *congratulations*, there is the implicature of humor or irony in this text. The writer positions the use of these products as a preventative health measure. However, his use of humor, and lexical choices serve to distance him from his admission of beauty product use. Humor and irony distances the author from this potentially competence-threatening disclosure. Note that his description of using products as *slap(ping) chemicals on my face* serves to distance him from this statement as well.

Conclusion

As I argued at the beginning of this paper, there is much about men's language that we still don't understand. This paper has demonstrated that even something as 'trivial' as whether men should use beauty products is the site of conflict between different discourses of masculinity. I have identified particular textural representations of these competing discourses, described their competing world-views, and elaborated on

some discursive strategies associated with these discourses. This paper has also suggested that there is a wealth of rich data on the Internet that can shed some light on men's language. Hopefully in the future more scholars will heed this call and investigate men's discourse in its own right, rather than as extension of andocentrism.

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Virtual Reality: The Other as The Same as The Other

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Virtuality is the cultural perception that material objects are interpenetrated by information pattern. (Hayles 1999: 69) In her discourse of the Posthuman, Katherine Hayles considers the bifurcation between matter and information as a specific historical construction that not only distinguishes between and separates these two but also privileges informational patterns over the body's materiality. The technology of Virtual Reality and its interface implies a potential capable of challenging and provoking any clearly drawn boundaries between the embodied and the disembodied. Albeit the term Virtual Reality refers to the construction of an only apparent (virtual) reality, one of the medium's most distinct features is the interface it provides between the real and the virtual. This paper discusses the specificities of the boundary in-between and looks at the potential, if not condition, under which this boundary becomes permeable, perpetually shifted and infected from both sides. In doing so, it questions the incentives of a technologically enforced Virtual Reality, whose most common vision is to recreate the (physical) real, in order to become a clean, supposedly free and yet controlled real. Based on the author's virtual (CAVE) environment 'Uzume,' this paper develops a discourse on a virtual reality whose real can never be controlled nor reproduced, but rather is to be mediated and negotiated and always unfolds in the present. Such a reality constitutes itself in a continuous flow enlacing the embodied self (and thus not disembodied experience) and the other (and thus not the repetition of the same) and producing thereby points of contact and leakage, lines of continuity and cracks, and planes of reflection and polarization in-between.

According to Elizabeth Grosz, the term virtual reality defines a phantasmatic extension, in which 'the real is not so much divested of its status as reality as converted into a different order in which mind/will/desire are the ruling terms and whose matter, whose "real," is stripped away.' (Grosz 2001: 81) One of the most important aspects of a virtual reality, so deeply entangled with technologies, lies in 'the transformation of the real through the concept of the virtual' (Grosz 2001: 81); whereby it is the technologies that not only have made this change in conceptualization inevitable but also perpetually provoke a negotiation between the real and the virtual. Yet, a reality, whose 'real is at best virtual' (Grosz 2001: 81), able to unhinge reality as we know it, isn't necessarily at the heart of Virtual Reality. Rather, it often seems as if our will desires a real that not only mirrors what is known but also produces, or rather preserves something that was other in order to become the same. Although the term virtual reality seems oxymoronic at first, it actually hints at not only the borderline between two camps, virtuality and reality, but also points to an implicit hierarchy, yet not of a virtual stripping away the real of reality but rather that of a virtuality that wishes to be real. A real, whose real is at best indistinguishable from the real we

know – or at the very least from what we are able to imagine. It seems that in such a notion of virtual reality these two camps are destined to be separated, even at war with one another, as it is either the virtual not real enough to be real or the real that only attests to the virtual formulated as an actual. While in technoromantic narratives much seems to hinge on the issue of 'reality,' for Richard Coyne, 'the term virtual reality already brings computers into collision with it.' (Coyne 1999: 47) Yet doesn't the linkage of the virtual and the real also evoke another conception of their relationship, aiming for an amalgamation or transformation of both, a negotiation in-between, rather than for a process of negative differentiation?

Whether antagonistic or complementary, the relationship between the two and with it the space of negotiation is defined by the author and redefined or *refined*, respectively, by its participants. As the reality of virtual environments is constituted by simulations of our physical surrounding, worlds arisen from our fantasy, or abstract, emergent pattern, the evolution of such worlds is 'open' and permeable or rather 'closed' and thus constrained. While a limited, pre-designed world usually seems to be more transparent and less ambiguous, it certainly is more likely to be repetitive. In order to enhance the recipe for such a virtual reality, it relies more on its representation, on being 'representative', than a performative (virtual) reality that always remains incomplete. Rather than a virtual that ascribes to the appearance of the same, seeming secure, measurable and predictable, a virtual reality, such as the latter, evokes the notion of the unscripted, uncertain and unfamiliar of the other.

The virtual environment *Uzume*[1] [Japanese: whirling] is named after a Japanese Shinto goddess, whose myth tells of her strange dance with which she sought the attention of the sun goddess Amaterasu who was hiding herself in a cave. *Uzume* finally succeeded in luring the sun (goddess) out of the cave again by means of a mirror, in which she discovered her own brilliant reflection. Presenting its visitors likewise with a strangely playful, whirling behavior, the virtual environment does not thematically refer to this mythological narrative, albeit it almost seems as if this strange world consistently drew itself on the other side of a mirror surface. Immersed in this CAVE®[2] environment, an abstract, dynamic and sensitively responsive world surrounds the visitor, unfolding the communicative nature of an untamable virtual entity (figure 1). To communicate with this entity is similar to pursuing a dialogue without knowing the language of the other. The environment's appearance is based on spatial representations of the temporal behaviour of nonlinear, chaotic systems, whose current state is affected by the movements of the participants. At the same time their (physical) presence subtly and yet seemingly tangibly transforms *Uzume*'s 'medium', a viscous fluid-like force field, in which the whirling structures are floating. The environment's acoustic response is shaped by spatially moving sounds and develops individually modulated, tenuous passages along the traces of the inhabitant's movements. (Gemeinboeck 2004: 54) Bound to the physical space of the projection system, *Uzume* can only be explored bodily: moving and gesturing, the participants' body becomes the interface, along which the dynamic boundaries of the (virtual) other, disembodied are perpetually negotiated and perforated. Input and response become a dynamic interplay that creates a transformative mirror, in which users are able to discover their selves, as well as the other. (Gemeinboeck 2003) *Uzume*'s dynamic, transforming mirror alludes to the negotiable and yet unsuturable gap between the self and the other as well as to an otherness that lies beyond the mirror plane.

Margaret Morse argues that 'fictions of presence,' varying in mood from persuasive to subjunctive to lying and deceiving are 'utterances or performances meant to shape or invent a world, not represent it.'(Morse 1998: 21) In contrast to reshaping or reinventing *the* world, however, Virtual Reality creates a mirror image that, in Grosz' words, allows for 'perfect control in a world where things tend to become messy, complicated, or costly.'(Grosz 2001: 43) Peggy Phelan highlights the political nature of 'the pleasure of resemblance and repetition' as it 'produces both psychic assurance and political fetishization.' (Phelan 1993: 3). Early visions of such represented virtualities, such as Marcos Novak's idea of a 'place where conscious dreaming meets subconscious dreaming, a landscape of rational magic, a mystical reason, [and] the locus and triumph of poetry over poverty' (Novak 1991: 226) have just turned out to be mirrors, reassuring what we are familiar with and affirming what we believe to know. In Stanislaw Lem's novel *Solaris*, the Solarist Snaut ponders on humanity's response to the encounter with the possible other: 'We are only seeking Man. We have no need of other worlds. We need mirrors. … We are searching for an ideal image of our own world ...' (Lem 1991: 72)

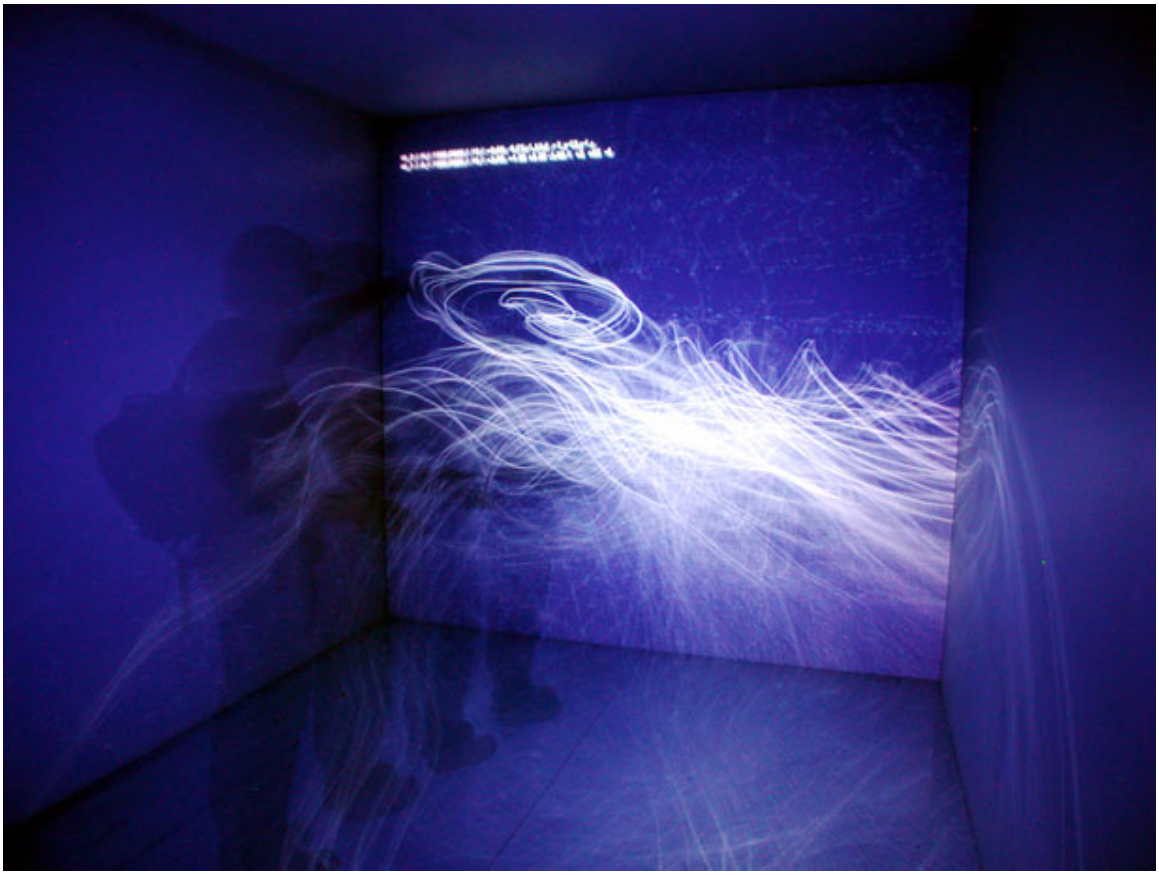

Figure 1. *Uzume* responds sensitively to every movement of the participant. Photo: Victor S. Brigola

The mirror of such reproduced realities doesn't only produce worlds, whose rules are safe, familiar and controllable, but also puts us in a position in which we are able to face and to master the other. The relationship between real and its representation thus turns out to be a version of the relationship between self and other. According to Phelan, 'representation reproduces the Other as the Same.' (Phelan 1993: 3) Strategies of facing the other through

mirroring the other are not uncommon in our daily social life: Once at a party, my attention was drawn to two girls who seemed to look very much alike, yet not entirely in a physiological sense but rather in the way they gazed at one another and responded to the other's mimics, signs and movements. At first confused about this astounding affinity, I soon realized that they were intensively flirting, overcoming any in-between by reproducing one another as the image of the other and at the same time separating the couple from all the others who remained other. We mirror the Other in order to become attractive to the other, which in turn allows for us to find our own reflection in the Other, to take its position, and eventually to make it ours.

Mirroring the Other also becomes an important strategy in getting acquainted with *Uzume*'s world. It is not only *Uzume* strangely mirroring its inhabitants, but also them 'retracing' the gestures of *Uzume*. Talking about Surrealism and the interplay of the auditory and the visual, Coyne states that 'repetition is not primarily a means of validating the experience of the surreal, though it is a means of gaining access to it.' (Coyne 1999: 198) The fact that repeating and imitating the virtual surrounding doesn't produce the expected results, however, reveals a lot about *Uzume*'s responsive and yet resistant nature. Although the underlying system's parameters are mapped to the spatial position of the visitor's sensors, due to the system's chaotic evolution even the exact repetition of a visitor's movement would not reproduce a specific formation, but rather result in multitudinous variations. (Gemeinboeck 2004) In order to illustrate such a possible, simple gestural exchange, figure 2 shows two participants moving their hands apart and together and in front of their body; *Uzume*, although presenting the same 'face' (attractor type), responds each time with another spatial configuration. First communication attempts of unfamiliar visitors lead thus –almost inescapably– to surprise on the part of the interactor.

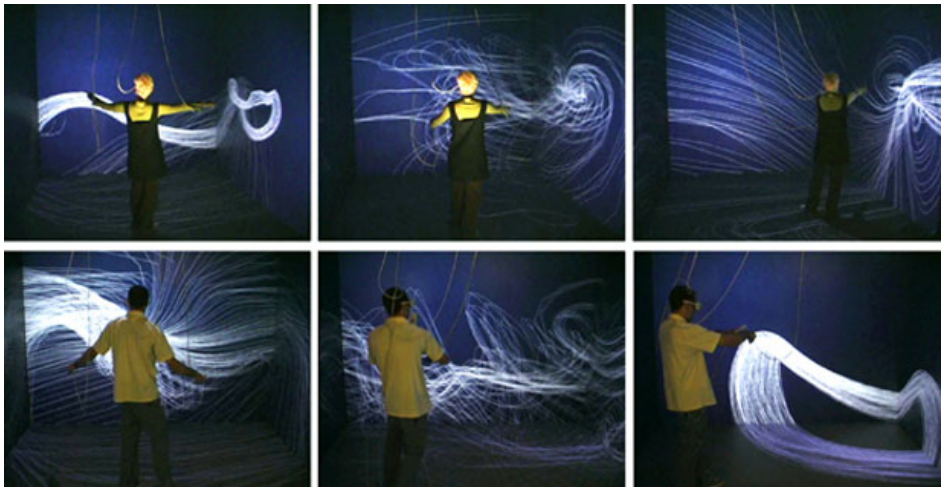

Figure 2. *Uzume*: Similar movements don't result in similar spatial configurations.

Not simulating any world-like scenario, the environment rather constitutes a situation of encounter, in which there are neither specific rules, in which to address this opposite of unruly nature, nor any pre-designed roles for the participant to inhabit and the relationship in-between admittedly grows in a surprising, ambiguous interplay. Some of the participants approach *Uzume* in a rational, strategic manner, carefully investigating the correlations between their input and parametric changes. Others play more intuitively or emotionally and develop dance-like

movements, which almost correspond to the flowing lines or even talk to or yell at them. Despite the fact that there are neither specific rules nor pre-designed roles, participants, who approach *Uzume*'s otherness in a curiously playful and apparently fluid manner, seem to have an easier time evolving a narrative that is meaningful to them than those who study the surrounding by repetitive, sampling gestures. According to Richard Coyne, 'repetition pertains to the way that power is inscribed in the body', while 'play pertains to productive exploration.' (Coyne 1999: 250) As *Uzume*'s temporary inhabitants playfully explore and engage in the dialogue, the interplay with the whirling opposite eventually becomes more and more fluent and intentional. It is the tension between the environment's endless, unfinished variations and the subtle, growing awareness of their correspondences that provokes and maintains the participants' play; and the meaning of this encounter unfolds in the performative of the dialogue between the participant and the virtual other.

Looking at the interrelationship between the various forms of such participatory engagement and the evolving dialogue, *Uzume* stands in contrast to the role of the protagonist and the interplay as it unfolds in virtual realities, such as (adventure) computer games. The act of repetition plays an important role in computer games, yet here not only in the sense of mirroring but in the actual reenactment of (pre-programmed) behaviors as it is the means by which to gain skills. The characteristic of the engagement results thus from the techniques one needs to develop in order to 'play' the game. Having experienced a moment of success, the player is motivated to do anything in order to reexperience this success and hence endlessly repeats this one moment (including the behavior leading to it).[3] The strategy of many games (in particular adventure games and first person shooters) is to make the player feel different than in her reality, to be 'better' or even to become a hero. In order to sustain the incentive, many of these worlds are effectively staged and represented, temporarily suspend moral constraints, such as killing, and confront the player with obstacles that can always eventually be overcome. This mode of playing seeks to uncover predetermined solutions to staged problems, rather than motivating the user to explore the environment and their relationship to it. The structure of such a game is designed to turn the player into Lara Croft's mirror image, in which the player can identify her self, rather than to become like Lara Croft. This mirror image becomes close, familiar, and eventually the same, while the opponent always is the other that needs to be overcome or defeated. Yet many of these battles are only mock battles, whose point is to blend us in this world; they hence also define the world's own limits of acceptance, reached as soon as we are seamlessly involved (as soon as we *are* Lara Croft). As for game design, there are, of course, many, quickly evolving, new developments, in particular when it comes to the games' Artificial Intelligence, and the agency of such a virtual environment certainly shows potential to continuously change the relationship between the player and the environment. I would, however, still argue that, despite the ability of games to adapt to new strategies of the player, the aim still is to present a mirror image of her Self, 'better,' more powerful and more in control over the Other.

While many of *Uzume*'s players wish to achieve influence over this strange other, its strategy is not to turn them into its Self, nor to present them with a mirror image, in which they can seamlessly insert their selves (figure 3). The attraction of this 'game' actually emerges from the tension between our desire to understand, interpret and to get to know that what is alien to us, making us forever captive of our mirror images, and the desire to be challenged and provoked. These desires don't contradict one another, but – in contrary – rather present two intrinsic human

attributes based on which we evolved: The first one as a requirement to 'construct' our world and the latter as a feature enabling as to overcome the discrepancies we encounter (in this construction). *Uzume* grows more and more familiar during the process of the dialogue, and yet it will never be the same, never be known, but will perpetually surprise, confuse and provoke its human opposite. Although we can make sense of the other's gestural language, we are always committed to the uncertain scope of interpretation; the actual meaning is never revealed, never completely decoded, never fully confirmed. Peggy Phelan finely articulated the interrelation between such a performative dialogue and representation:

> *Performance, insofar as it can be defined as representation without reproduction, can be seen as a model for another representational economy, one in which the reproduction of the Other as the Same is not assured.* (Phelan 1993: 3)

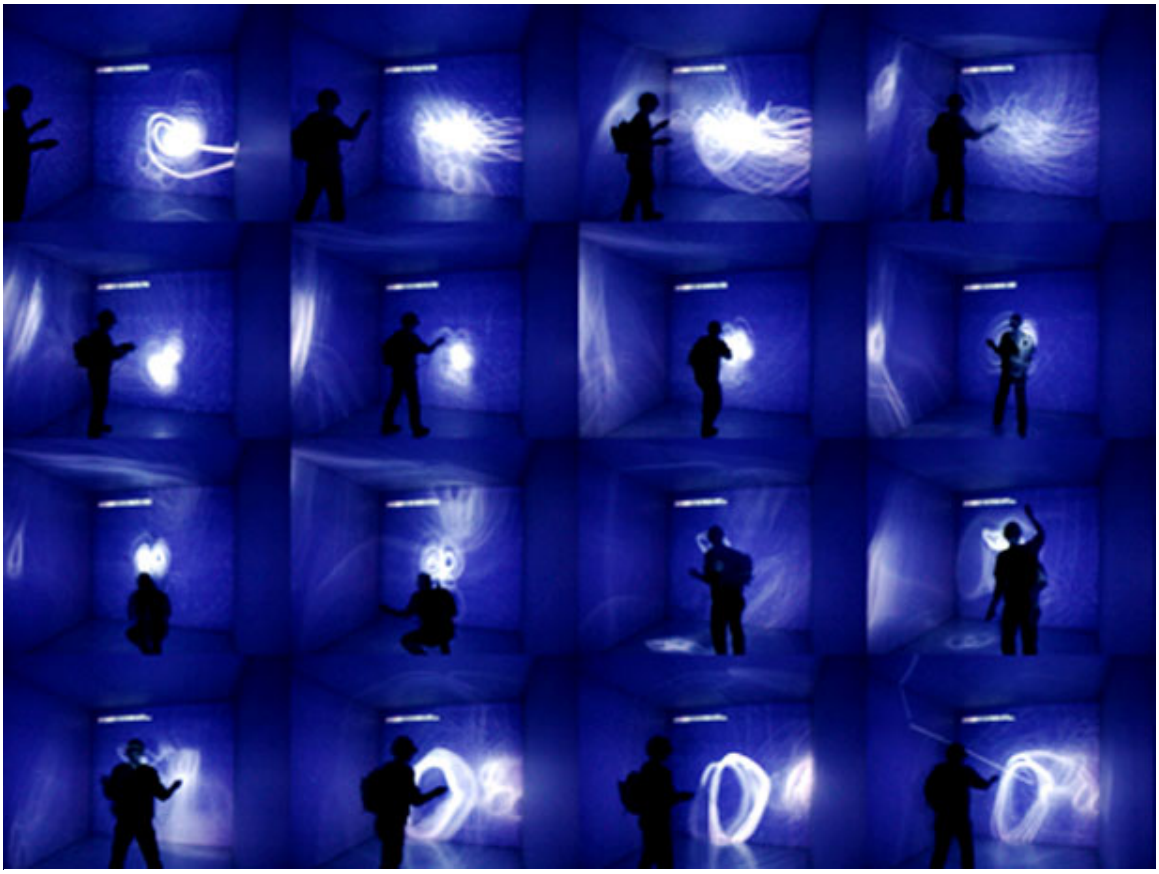

Figure 3. The sequence presents one minute of *Uzume*'s evolution as it responds to the movements of the participant. Photo: Victor S. Brigola

Almost inevitably, it appears to be our desire –and capability– to interpolate *Uzume*'s unscripted behaviors into narratives, in which events can be causally related to one another, providing thus access and at the same time constituting one's reference to this other mirror image. Due to the often trivial nature of such narratives, Katherine Hayles argues that 'what needs to be sutured' is not so much the gap between the other differing in action but the other as a deviant

actor itself. (Hayles 1999) A world or entity, such as *Uzume*, that behaves so variably and indeterminably is much more likely to be read as something 'animate', rather than as a mathematical representation. Combined with the abstractly insinuated appearance of this entity, the participants' subjective narrative determines thus the degree of opacity that this illusion can attain. An illusion that shifts and oscillates: often I have seen this expression on the inhabitants' face –amused and embarrassed at once– as if they had been caught talking to themselves.

Virtual Reality often is considered as a medium, enabling us to enter otherwise inaccessible spaces; yet the representation of these spaces still reproduces the allegedly other as the same. *Uzume*'s brittle reflective nature presents us thus with another mirror image: not the one that reaffirms our self but rather one that puts this self into question and perforates its secure, self-determined boundaries. Playing with *Uzume* never seamlessly closes the gap, neither between Self and Other nor to any other beyond. Although this resistance provides us thus with a distance, it is a distance that the player is not necessarily the one to control and in whose shifting in-between we might precisely find what we cannot face up to: the other mirroring our Self.

Notes:

[1] *Uzume* (2003) was implemented at the CCVE, Fraunhofer IAO, Stuttgart; in collaboration with Roland Blach and Nicolaj Kirisits. Documentation online: http://www.uzume.net

[2] CAVE® for Cave Automated Virtual Environment. Designed at the Electronic Visualization Laboratory, University of Illinois, in 1992, the CAVE® Virtual Reality projection system consists of a cube, defined by 4 to 6 projection screens, in which participants are coupled to the VR system by means of a head sensor and up to two hand sensors. The human-scale stereo-projection allows for them to perceive the projected imagery as apparently flowing three-dimensionally into the installation space, continuously adapting and responding according to the present sensor input. Documentation online: http://www.evl.uic.edu/research/vrdev.html

[3] As for this paragraph on computer games, I am in dept to many of my students and above all to my friend and colleague Thomas Lorenz for the valuable insights I gained in our conversations.

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Paper Title: West Indian women, Self-identity, and Images of Blackness

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Abstract

While "women" have been the foci of quite a few audience reception studies, the relative silence with regard to the subgroup of Black women is deafening. The research project being proposed endeavors to expand and diversify conceptions of the interpretive community of Black women by examining the readings of media texts done by the sub-group of Caribbean women. Given the distinctiveness of the identity of West Indian women, and the importance of identity in shaping audiences' reactions to texts, we should anticipate that West Indian women's reception of media images would not be completely congruent with that of African American and other Black women. How do Caribbean immigrant women respond to the media, particularly "Black" programs? How do they derive pleasure from the texts? I am particularly interested in their responses to Black images, their identification or dis-identification with the "Black" culture being proffered, and their reaction to being hailed by these programs as "Black." Finally, in the vein of media ethnographic methods employed by scholars such as Janice Radway, Andrea Press, and Jacqueline Bobo, I propose in-dept interviews with first generation Caribbean immigrant women to address these questions. I anticipate that the discussions of their readings of images will reflect how they situate themselves in the society.

Introduction

Audience studies have evolved a great deal since David Morley's important work on the reception of the *Nationwide* television program (1980). His analysis disrupted the trend in media studies of textual analysis and semiotics during the 1960s and 70s, and was the catalyst for the current interest in the socio-cultural factors that function as lenses with which audiences interact with the world and the media. In the more than two decades that have elapsed since the Morley study, several previously ignored interpretive communities have emerged on the discursive landscape of audience analysis, such as women and the working class. However, the investigation of the range of social groups and possible readings is a long way from being exhausted, and vast areas of the terrain still remain unexplored. One group that is conspicuously absent from the discussion is Black women.

While "women"[1] have been the foci of quite a few reception studies, the relative silence with regard to the subgroup of Black women is deafening. To the best of my knowledge, Jacqueline Bobo's (1995) text, *Black Women as Cultural Readers*, and Robin Means Coleman's (1998), *African American viewers and the Black Situation Comedy: Situating Racial Humor*[2] are the only two texts that directly address this group. This dearth is unfortunate as it represents yet another manner in which the voices of Black women have been silenced or ignored. Furthermore, the fact that both audience studies within this category of "Black women as audience members" address the African American community is also cause for concern; this means that the voice of other Black women are not being heard. We need more studies on all Black women so that we as

[1] A focus on women in general in the U.S. has historical translated into a concentration on White women.
[2] This text also looks at Black men.

scholars do not inadvertently encourage the popular notion that "Black" is a monolithic category, and therefore can be represented by one ethnic or cultural group. Several persons have attempted to nuance this perception of the Black community, including Stuart Hall who defines "Black" as a hybrid construction and by no means an essential racial group (Hall, 1992). Furthermore, within the Black population there exist inherent power differentials that are structured around issues such as class, sexuality, and nationality, thus problematizing any attempts to speak about or for a unified whole. In our research endeavors, we must therefore ensure that the marginalization and exclusion of certain subgroups of Black women is not ironically perpetuated within a community that struggles against oppression; we also have to cease the erasure of differences that is perpetrated in the name of coalition building. It is not enough then for media scholars to simply do more studies of *the* Black community, but we must investigate a variety of socio-cultural communities in an effort to represent the cultural and ethnic diversity among Black women. We will know that we have exhausted the possibilities of textual readings of Black women when the field of "Black women as audience members" is populated by all *Black* women, and not only African American women.

In this paper, I intend to complicate the category of "Black woman" by presenting a subset of Black women to which I belong (West Indian[3] immigrants), and reflecting on how their cultural identity may inform their readings of images of Blackness on television. As a note of clarification, the purpose of this essay is not to argue for a distinction between West Indian immigrant identity and the racial category of Black, but

[3] Though an obviously problematic term that has it's origin in a factual error committed by Christopher Columbus, I use West Indian here to refer to persons from English speaking Caribbean nations, which include Jamaica, Trinidad and Tobago, Barbados, and Guyana. West Indian is used interchangeably with Caribbean in this essay.

rather to diversify conceptions of Blackness and the interpretive community of Black women by examining the readings of media texts done by the sub-group of West Indian women.

West Indian women and Self-Identity

I'm an alien,
I'm a legal alien;
I'm a Ja-mai-can in New York.
[Shinehead (Jamaican DJ/singer), early 1990s]

My identity, as with all identities, is not an identity that is based on an essentialized, one-dimensional notion of Blackness or womanhood, because, while my work at any juncture can be "situated," I certainly cannot be placed in any one category, or one context. I am a Jamaican woman based in the Bronx who is pursuing a doctorial degree at a large Midwestern university. How's that for migrating[4], Patricia Hill Collins! I do have a group identity, however, what Stuart Hall (1996) refers to as "identification." It is established through an imaginary connection to a community of West Indian immigrants that manifests itself in values and performances as subtle as body image, and as in the overt participation in and/or audiencing of West Indian Day parades. I am certainly not an anomaly; there are thousands of women of Caribbean birth and heritage who have relocated to the United States, with a large percentage of that number drawn to New York City (Kasinitz, 1992). In fact, with the escalating economic and social crisis devastating the former colonies of the Caribbean, one can only expect the number of "Third World" natives penetrating U.S. borders to increase. Women are, and will continue to comprise the bulk of this immigrant population, as they are more likely than

[4] Here I am referring to her discussion of migration in her book *Fighting Words*. Hill Collins begins the first chapter of her text with a description of what she calls her daily migration from the lower-middle class area that she called her home to the academically elite high school, which she attended. She was undoubtedly appropriating the notion of migration developed earlier by Michelle Cliff in her essay.

their male counterparts to acquire employment, particularly in a domestic capacity (Henke, 2001). Therefore, there is an ever increasing sector of people like me: Black, female, foreign other living in the U.S.

Who are these aliens? They are often violently cramped into the very homogenizing category of "Black," which translate into African American in U.S. society. Sometimes they resist the term, insisting that they are Jamaicans, or Nevisians, or Barbadians, not because they deny their Blackness (whatever that is!) as some have erroneously accused them of doing, but because that label is as foreign to their experiences as the ecological seasons; race is not as salient for them (Henke, 2001; Karinitz, 1992; Vickerman, 1999). However, some of them have acquiesced to the title as they quickly realize that to resist is to find oneself without "identity" in the societal structure of the U.S.; you must be situated in one of the existing, though not stoic, categories in order to exist.

Some may describe them as outsiders within (Hill Collins, 1986). In her text *Fighting Words: Black Women and The Search for Justice* (1999) Hill Collins theorizes about the particular situation in which African American women find themselves in U.S. society, building on the her earlier examination of African American women in academia[5]. It is a position in which they are privy to the knowledge of the dominant White group, but are not given the full power accorded to the members of that group. They are in essence given access to a sphere, but are denied full membership and participation. Superficially, this condition of African American women seems similar to that of West Indian women living in the U.S., making the concept of outsider within an apt title for the latter. True, they are so-called Third Worlders who partake of the

[5] "Learning from the outsider within: The sociological significance of Black feminist thought"

economic and social bounty of the US, but who never gain full citizenship, no matter what it says on their travel documents. However, the state of outsider within is exacerbated within their population as they simultaneously occupy multiple outsider within positions: they are foreigners within another country, aliens within the jobs of "real" citizens (a group that includes our African American "sisters"), and "other" within White homes[6].

Furthermore, and perhaps to the chagrin of feminists lobbying for their full inclusion into the American social system, some of them do not object to being labeled as outsiders. In fact, they view themselves as being apart from/different from America and Americans; they view the U.S. as "not-home," a place that simply allows them to make better lives for themselves and families at "home" (Henke, 2001; Hintzen, 2001). They continuously talk about "ya'ad" and "da i'lands," and going back. For those who do not desire to or who cannot go home, those whose dialogue with the host culture has produced some concoction that would be unrecognizable to people "back home"[7], they live in perennial exile (Karinitz, 1992), perpetuating in their groups a West Indian-ness that is frozen in time and ultimately dead[8]. Nevertheless, some insist that they are not Americans (meaning not from the U.S.) and only embrace that title tactically to avoid the fight with the system, to survive (Hintzen, 2001; Henke, 2001). Their ties to home are not only nostalgic in nature, but manifests itself in very tangible ways. It is evident in the

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[6] W.E.B. DuBois in *The Soul of Black Folk* also speaks of African Americans feeling this multiplicity, what he terms as double consciousness. However, he was referring to the phenomenon of always seeing oneself through the eyes of the dominant culture. Here I am referring to a state of not-belonging, of always being aware of ones' multiple outsider statuses.

[7] I appropriate here Michal Bakhtin's (1981) discussion of heteroglossia in *The Dialogic Imagination*.

[8] In his text *Home Territories: Media, Mobility and Identity*, David Morley talks about immigrants who perpetuate aspects of their culture that are no longer practiced in their homeland in an effort to maintain ties to their tradition and culture.

bimonthly overweight barrels sent to family members "back home"; the regularity with which they contact their relatives; and the frequency of their visits home.

They may also be perceived as "world"-travelers, women who constantly migrate across borders. According to Maria Lugones (2003), such women occupy space within a world with which they do not identify, but in which they have to exist. They make daily pilgrimages from their realm to that of the dominant White culture. While West Indian women in the U.S. travel across borders in much the same manner as Lugones' "world"-travelers, there is a major point of difference between the two: West Indian women, rather than moving between a world that is familiar and one that is not, travel between the confines of strange worlds, none of which is any more alien than the other. For West Indian immigrants, moving about in America entails moving among strange people, strange cultures, and strange environs. They keep alive their cultures in their homes (as best they can), but it ends at their doors; thus, they "world"-travel whenever they leave their abodes.

Candidly, discussions that seek to present any identity are very thorny as the presenter has to negotiate the delicate balance between description and essentializing. This dangerous navigation is exasperated by the fact that the very act of describing an identity is the *production* of that identity, and reveals the implicit power of the describer (Foucault, 1980). Furthermore, such a project seeks to define a concept that is socio-geographical construct. As Stuart Hall (1990) correctly theorizes, cultural identity is "a matter of "becoming" as well as "being"…It is not something that already exists, transcending place, time, history and culture. Cultural identities… like everything else, undergo constant transformation" (pp. 394). It is with these problems in mind that I

undertake the slippery task of invoking West Indian identity. The characteristics that have been presented as indicators of Caribbean-ness should be viewed as general trends found among West Indian women, and should not be taken as universal or monolithic.

Media and Self-identification

The complicated concept of West Indian immigrant self presented here, a discussion that is by no means exhaustive, is performative and external, but also embedded; it is a lens, a prosthetic that is forever in our possession, and that we use to interact with our society. Therefore, group identities, as manifested by the trends exhibited within West Indian communities, should not be trivialized, for it is this very part of us all that mediates viewing of television texts; it informs the manner in which images are interpreted, and how we choose to interact with them. Reception studies over the last 20 years have substantiated this point.

A major catalyst for the development of the theory was the *Nationwide* study conducted by Morley (1980). As mentioned before, Morley's study initiated the assessment of the social and cultural location of audiences in the interpretation of media texts when he analyzed the response of British workers to the television program *Nationwide.* He found that gender, income, job position, and age all interacted to influence the manner in which statements made by the host and guests, and the editing decisions made by the directors were interpreted by the audiences (Morley, 1980).

Another seminal study is that of Sut Jhally and Justin Lewis done in 1992. In *"Enlightened" Racism: The Cosby Show, Audiences, and the Myth of the American dream*, the scholars examined the manner in which the *Cosby Show* was perceived by both Black and White audiences. They found that even though the show perpetuated the

idea of individual responsibility in social oppression, and the "they're just like us, but Black" phenomenon in White audience members, their Black counterparts celebrated the show. They found that Black audiences thought that the shows content departed from the inner-city theme that pervaded the shows of the day. Black viewers did see the show as unrealistic, but also perceived it as a necessary illusion (Jhally and Lewis, 1992). Their study, though problematic in several ways that will not be discussed here, commenced the much needed research on Black audiences, and revealed that differences in readings can be distinguished along racial lines.

Analogously, in her text, *African American viewers and the Black Situation Comedy: Situating Racial Humor,* Robin Means Coleman (1998), examines the response of African Americans (males and females) to television sitcoms that have a predominantly Black cast, demonstrating the realization that interpretive communities are established around ethnic and racial identities. Means Coleman further illustrates this notion in her study of one of the boys convicted in the infamous *Menace II Society Case* (Caryon) and his interaction with the media (Means Coleman, 2003). Here she indicates that Caryon's self-identification as a gangster, a "bad boy", influences the manner in which he views, and the extent to which he takes cues from, media texts.

More recently, and more relevant to this essay, a few audience studies have began to examine the intersection of race and gender in the reading of media texts. For example, in her book *Black Women as Cultural Readers*, Jacqueline Bobo (1995) studies African American women and their interpretation of the films *The Color Purple* and *Daughters of the Dust*. Bobo's study was motivated by the fact that, in spite of the negative reviews of both texts, Black women generally liked them, leading many to

perceive them as cultural "dupes" who were either too happy that Black women occupied major roles in the films to be critical, or were just oblivious to the negative and stereotypical ways in which they were portrayed (Bobo, 1995). In her analysis, Bobo finds evidence to refute both choices. Through information garnered from interviews, Bobo concludes that, contrary to popular discourse, Black women resist the negative aspects of the films in the manner that they have always done throughout history; the same "spirit" that Black women have used to oppose aspects of slavery was enlisted in their readings of the texts. They are able to use their experiences, and other material (such as the print version of *The Color Purple*) to interpret the text, and extract positive elements from them. Bobo implicitly shows in her work that African American women's response to films such as *The Color Purple* is influenced not only by their personal lives, but also by their collective history and identity as African American women.

Notwithstanding the importance of social and ethnic situations to readings and interactions with media texts, the relationship is not unilateral; identities do not only mediate how audiences perceive images, but they are also shaped by the images to which one is exposed. Hall (1990) expresses this theory when he asserts, "identity is a "production" which is never complete, always in process, and always constituted within, not outside, representation" (pp. 392). In the same vein, Means Coleman (2002) theorizes that identity is constructed through interactions between individuals and institutions such as the media. Therefore, we need a model of audience reception that transcends the linear version that has pervaded media studies. In his revolutionary work "Encoding/Decoding", Hall sought to complicate conventional ideas pertaining to the dissemination of information from media to their audiences. He makes a distinction

between the meaning that the producers want the audience to get (preferred meanings) and that which is actually received by the audience (negotiated or oppositional meanings.) However, in spite of the usefulness of Hall's theory, we have to conceive of a model that not only accounts for the role of the individual (and his or her identity) in message reception, but also captures the process of identity creation that occurs as a result of the reception of messages. To date, no such formal model exists, but I do urge the reader to be cognizant of this process as she partakes of this essay.

Viewing Pleasure and West Indian Women

Given the distinctiveness of the identity of West Indian women, and the importance of identity in shaping audiences' reactions to texts, we should anticipate that West Indian women's reception of media images would not be completely congruent with that of African American and other Black women. It is necessary to assess Caribbean women's readings of television text in the context of our unique identities, and not simply as part of the effacing racial category of "Black." How do Caribbean immigrant women respond to the media, particularly programs that are considered "Black"? How do they derive pleasure from the texts? In an era when audience members are said to require realism and connectedness to their lives from media texts, how is enjoyment to be had when you see persons of your complexion, but do not see your life or your circumstances being portrayed, as is the case with West Indian women?

Firstly, Caribbean women may see Black programming as a means of escape; it provides a brief opportunity to be immersed in another realm of existence. The diversion of these texts for West Indian women stems from the fact that a very Western, "first-world" conception of Blackness is being depicted on television; specifically, it presents

African American culture and identity as Black identity. Even when the programs include Black characters that are non-American, those characters are identified as the "other" by their accents or dress, and the African American becomes the unmarked norm for Blackness. For instance, the images of the Caribbean people that pervade television texts reflect the stereotype of the exoticized islander; the purpose of the non-American then is not to present other manifestations of Blackness, but rather to solidify the difference between the American and the immigrant, to establish the latter as "other". This literal and symbolic exclusion of West Indian cultures, may foster the distance that Caribbean women feel towards Black images, a dissociation that facilitates their use of such texts as distractions. The Black images are not theirs; they do not depict their lives or their culture, and they do not identify with them; they are read as "not us." Therefore, while Bobo's African American women, and Means Coleman's "Caryon" privilege identification (relative to their lives) when viewing Black images, West Indian women may use them as diversions from such issues as nostalgia and longing for home, separation, cultural and social changes that come with migration, and the drudgery of work.

Some persons may protest to this assertion, insisting that West Indian women must identify with Black shows and their characters on some level, even if it is on the basis of shared oppression. Admittedly, the denigration of all things Black is a universal phenomenon, and West Indians and African Americans do have a common history. Furthermore, Caribbean women were cognizant of the strand of racism that exists in the U.S. even before their entry into the country. However, it is important to point out that oppressive regimes, including racism, are not monolithic, but develop within specific

historical and social contexts. Therefore, discrimination because of race and the concept of "Black" that developed in the U.S. does not, and should not be expected to resonate with Caribbean immigrants. The assumption that some transnational bond that traverses cultural and ethnic differences within the Black population will enable West Indian women to identify with American Blackness on television is naive; it becomes problematic considering that this identification process is unidirectional, as African Americans are not expected to identify with images of their "Third World" counterparts, and when they do, it usually manifests itself in ethnocentric patronization[9].

The detachment that West Indian women may feel towards Black texts may be generated by the nature of the shows, but may not be completely sustained by them. In fact, in some instances, West Indian women themselves may maintain the dissociation. In a previous section I discussed how we as Caribbean women might not recognize themselves in the Black characters because the Black culture being portrayed is predominantly African American. Rather than being disappointed and disgruntled at the lack of representation, however, West Indian women may find the situation desirable: They derive pleasure from their dis-identification with the television images of Blackness that we consume. They are therefore not necessarily repelled by the texts, but may deliberately reject them, and enjoy being "different from" them. The distance from Black texts intentional created by West Indian women facilitates separation from what they would consider to be behaviors that are depicted as Black, but that do not resonate with their cultures. Such dissimilar behaviors can range from the relatively benign (such as

[9] Postcolonial feminists such as Chandra Talpade Mohanty, Maria Lugones, and Rew Chow have addressed the ethnocentricism inherent in work coming from the West (the U.S. and Europe). I argue that Black Americans are also affected by this ethnocentrism, an attitude that is manifested in their dealings with Blacks from outside the West.

differences in dietary choices and cures of physical ailments) to the derogatory (for example, “bad” speech and “laziness” of urban African Americans). The space grants them the ability (and the arrogance) to take pleasure in definitively stating “we do not do tings like soh back home.” In this process of preserving the distance, new connections to their cultures are created and old ones are strengthened as they begin to perceive and define themselves in reference to the representations of Blackness to which they are exposed, and draw ever closer to the ways (real or imagined) of their homelands. This pleasure derived from dis-identification is indicative of the trend of West Indian women to desire the label of “other” and “different” in U.S. society, as previously discussed in this essay.

West Indian women should not be expected to exhibit a few predetermined viewing styles, or be attracted to Black shows for a few assigned reasons; such a limiting categorization would perform a violence and silencing analogous to what is perpetuated by simply classify their viewing experiences as Black. The fact is, Caribbean women do engage with texts in multiple ways, two being through the idea of escapism and dis-identification, which was presented above. Another is through engagement at the narrative level. Since race is not the major factor used to determine attention given to texts, some Caribbean women may respond to the storyline presented in Black shows. In other words, while West Indian women may choose, or be forced, not to identify with African American-ness (as discussed above), part of the enjoyment provided by the texts could come from the ability of Caribbean women to become absorbed in the stories, the presentation of the situations that most people experience. They may become engrossed in the themes being explored, subjects such as relationships, separation, motherhood,

social mobility, and other issues that resonate with their experiences as immigrants. In this sense then, Caribbean women may more easily identify with portrayals of persons of non-American heritage (that is, immigrants of whatever race or ethnicity) than with the African American characters, and Black shows may not be seen as any different than their White counterparts.

Conclusion

The discussion presented here is by no means complete. There are many other ways that West Indian women may derive pleasure from or be attracted to Black programming. Discussing the possibilities on a theoretical, and ultimately speculative, level is not the most effective means of garnering information about such responses. We need to hear from Caribbean women. They need to speak *as* themselves and not be represented or spoken of by others, even if the others are Black women themselves, and/or members of the community. I therefore propose a reception study so that, in the vein of feminist epistemology, the women can present themselves; my discussion is only a precursor to such a study.

Ethnographic methods such as reception studies best achieve the objectives of my proposed study: In-depth interviews and oral histories facilitate collaboration (as opposed to interrogation) between the researcher and her subject; they are conducive to the presentation of subjective realities; they render what Maria Mies (1983) refers to as "the view from below", perspectives of the marginalized.

In the vein of media ethnographic methods employed by scholars such as Janice Radway, Andrea Press, and Jacqueline Bobo, in-dept interviews will be conducted with West Indian women in the Bronx. The choice of using the New York City area was easy

because it hosts one of the largest populations of Caribbean immigrants in the U.S. (Kasinitz, 1992). The women will be interviewed individually, and will be asked to discuss reactions to television programs, particularly Black shows. I anticipate that the discussions of their readings of both Black and White images will reflect how they situate themselves in the society.

Finally, in order to hear and correctly interpret what West Indian women will divulge about their responses to Black images, we as academics have to dispense with what we hold as Truth about audiences, and have to use the information given to revise our ideas about viewing styles.

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Hawaii International Conference
on Arts & Humanities

Well Said:

The Use of Poetic Devices to Intensify the Impact of Literature and Speech

A cross-disciplinary presentation (Literature and Speech/Communication) in the format

of

a paper session

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Abstract

Objective

The purpose of this research is to demonstrate the effectiveness of figurative language in literature and speech.

Methodology

As a radio personality at WKDU Philadelphia, a published poet in an anthology of poems, an arts administrator at Drexel University, an aspiring novelist, and a manuscript writer, I will discuss the effectiveness of literary devices in written, as well as nonliterary, forms of communication.

Expectation

The use of figurative language (i.e. alliteration, assonance, hyperbole, metaphor, and simile) in literature will provide readers with an emotional connection to written work. The use of such poetic devices during oration will also bring audiences closer to speakers.

Publication

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Well Said:

The Use of Poetic Devices to Intensify the Impact of Literature and Speech

Writing and oration have been passions of mine since I was elementary-school-age. I entered my first essay competition when I was in the fourth grade. Contestants were required to detail what actions we would take to make the world a better place if we were to become president. At nine years old, we were so naïve and idealistic; we all believed that we could save the world from war and feed all of the hungry. We certainly didn't imagine the kind of obstruction, corruption, and indecency that goes on in today's cabinets, and we didn't conspire justifications for starting *World War III*. The first-, second-, and third-place winners of the writing competition would receive cash prizes and the opportunity to read their essays in front of an assembly of school administration, fellow students and doting parents, a few of which were quite bitter. I received second prize for my composition. Though I was initially disappointed that I wasn't *best of show*, I felt like the victor immediately after I recited my essay at the awards assembly and received a standing ovation! My first-prize-winning opponent's lackluster recitation only received a mediocre applause, but I'm no longer bitter about placing second! I learned three things about myself from that essay competition: I'm a passionate writer; I communicate messages best through speech, and I am *very* competitive!

Today, I exercise my communication talents through composing literature, public speaking and broadcasting. I am the Assistant to the Department Head of Visual Studies in the College of Media Arts and Design at Drexel University in Philadelphia,

Pennsylvania. As an arts administrator for a private university, it is part of my job to speak publicly on occasion, as well as to edit administrative reports and write publications about art exhibitions. I am also the host of a seasonal music-entertainment radio show on WKDU Philadelphia, 91.7 FM, through which I am thoroughly able to employ my speaking abilities. In addition to radio-broadcasting, I enjoy delivering my poetry to large audiences at various performance venues. I am a poet whose work was included in an anthology of poems published by the International Library of Poetry, and I recently completed my first manuscript for a fiction novel.

The novel is entitled "Black As Tar." It is a 67,000-word, contemporary ethnic drama about an intelligent, but unfortunate, young woman, who reflects on her tumultuous life as a little girl. Janelle Baltimore is the product of an uneducated, promiscuous, adolescent mother and a criminal, incestuous, pedophilic father. The story is set in Philadelphia, Pennsylvania, where Janelle's mother neglects and abuses her. Janelle is made susceptible to molestation and torment about her strong African-American features, haggard appearance, and her tendency to overachieve as she is dragged from one Philadelphia ghetto through another.

As a writer, I've become accustomed to enhancing my literature with poetic devices, whether the work is poetry, an essay, or a story. Poetic devices are literary tools used to give different types of literature the same imaginative and rhythmic qualities as poetry. Such devices as *alliteration*, *allusion*, *assonance*, *consonance*, and *figurative language*, such as *metaphor, personification*, and *simile*, infuse rhyme, rhythm, and a sort

of dynamism into literature. These tools help to make literature more enjoyable and captivating for the reader.

Alliteration is the "repetition of initial sounds in a series of words," as in "worthless, wanton wench (Kirszner and Mandell 749; Gladden 6). *Consonance* is the "repetition of consonant sounds in a series of words" that occur anywhere within each word, as in "insufferable, poisonous smell of simmering cocaine" (Kirszner and Mandell 749, Gladden 4). *Assonance* is the "repetition of vowel sounds in a series of words," as in "gross, decomposing, exposed wood" (Kirszner and Mandell 749, Gladden 2). *Allusion* is "a reference to a historical event, a work of literature…or the like that the author expects readers to recognize," as in "packed into the tiny car like slaves aboard the *Amistad*" (Kirszner and Mandell 749; Gladden 19). Literary devices give these passages from "Black as Tar" a cadenced flow, and help make the literature as mellifluous as spoken-word for the reader.

In order to make the text more personal, relevant, and tangible to the reader, I use *figurative language*. *Figurative language* is "language whose meaning is not to be taken literally," but it paints a picture in the reader's mind of the events that occur within the text (Kirszner and Mandell 749). A *metaphor* is "a comparison that equates two things that are essentially unlike," as in, "My dolls became my escape vehicles from the scene of abuse and criminal activity that enveloped my youth" (Kirszner and Mandell 750; Gladden 20). In this passage, "dolls" are equated to motor "vehicles." *Personification* is "the assigning of human qualities to nonhuman things," as in, "Those video games had placed my brother in a choke-hold and bullied him into sacrificing his already feeble

grasp on reality" (Kirszner and Mandell 750; Gladden 49). Here, "video games" are "choking" and "bullying" someone, which are actions that humans typically perform. A *simile* is "a comparison that equates two essentially unlike things using the words *like* or *as*," as in "I recall my first memory of that old blue-to-purple-to-red-to-orange dawn sky when the firmament first pacified me—a majesty that continuously soothed me like a lullaby throughout my childhood from the horrible anguish that was precedent in my life" (Kirszner and Mandell 751; Gladden 9). In this passage, the "sky" soothes the narrator "like a lullaby." The use of the term "like" makes this comparison a simile. However, that the sky "soothes" the narrator also makes the passage characteristic of personification. Such figures of speech as *metaphor*, *personification*, and *simile* help the reader visualize what's written on paper and assign personal meaning to the text.

Just as poetic devices enhance literature and bring readers closer to texts, the use of said devices can also amplify speech and help audiences relate to speakers. As a creative writer and radio personality, it is ideal for me to fuse aspects of poetry with the informational communication of community-oriented radio. My radio show, "Floetic Vibes" on WKDU Philadelphia, is an entertainment radio-show that showcases the music of artists who convey conscious messages in their work. The show ranges from such musical genres as jazz to hip-hop, from rhythm and blues to spoken-word, and from blues to orchestral music. I promote the artists and their messages not only by playing their music, but also by restating and communicating their messages from my mouth to my listeners' ears.

Using alliteration, I encourage listeners to "round-up, rally and restore" the same tenacity for political and community involvement that young adults once held. The repetition of the consonant "R" creates a poetic flow that is pleasing to the ear. Using consonance, I urge listeners to continue to be "generous, considerate, and humane, and donate blood at least once a year." The use of the consonant "N" within the words "generous," "considerate," "humane," and "donate," create a rhythm in the sound of the spoken phrase that is reminiscent of poetry. Employing assonance, I inform listeners that "contraception prevents sexually transmitted infections only some of the time, but abstinence is full-proof." Here, the vowel sound of the short "E" is repeated to create a poetic rhythm. I infuse these literary tools in speech because they create a rhythmic speech pattern that makes oration sound more appealing to audiences. Listeners are more prone to absorb the information from such an appealing and enveloping delivery. This has been proven by the listener response to my public service announcements at WKDU, as well as the direct feedback provided by radio-listeners, my audiences at performance venues, and attendees to my professional presentations. Listeners often praise the articulation and poetic diction that are incorporated into my orations.

In public speaking and broadcasting, I also use the figurative language that I often include in my literature: metaphor, simile, and personification. In between selections of music on my radio show, I often share my own poetry or random, impromptu spoken-word pieces with my listeners. For instance, on a rainy day, and after an up-beat Latin-jazz instrumental, I spoke,

> Blue tranquility with gray skies. The clouds part, and I arrive. I am the sun, bringing you heat and warmth through feel-good music on WKDU Philadelphia, 91.7 FM.

In this message, I incorporate a metaphor where I equate myself to the sun. Another broadcast featured the following message after a soothing blues ballad:

> Music is like food for the spirit; it satisfies your hunger for elevation, enlightenment, and ecstasy. Music flows like water through stainless steel spigots; it quenches thirst and enriches the soil that stimulates the root of your spirit within. Keep listening, and I'll keep bringing the *Floetic Vibes*.

This avowal is loaded with poetic devices. It features simile with "music" being "like food." It includes assonance with the repetition of the short vowel sound "E" in "elevation," "enlightenment," and "ecstasy." There is a second simile: "music flows like water," and there is a metaphor in the statement, "[Music] quenches thirst and enriches soil," because, here, music acts as water does.

In another broadcast, I delivered a public service announcement about alcohol-abuse:

> <u>Alcoholism</u> is like a difficult member of the family. It's <u>stubborn</u>, <u>trying</u>, and <u>deplorable</u>, but it needs to be confronted. If you know someone who is suffering from alcohol-abuse, there is help.

Here, personification is used. Alcoholism is "stubborn, trying, and deplorable," which are characteristics that people embody.

The use of figurative language in speech incorporates the imaginative quality of poetry in the speaker's delivery, making oral communication more captivating for the listener. As a radio personality at WKDU Philadelphia, a published poet in an anthology of poems, an arts administrator at Drexel University, an aspiring novelist, and a manuscript writer, I find the use of literary devices in written and verbal forms of communication to be quite effective. Not only can poetic devices provide readers with an emotional connection to written work, but they may also bring audiences closer to speakers when incorporated in public speaking.

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Music Generation in Education

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Abstract

The advancement of the musical system of education implies using modern policies, such as student-centred policy. On the other hand, creating software support for modern policies of education is a necessity. In this paper we are going to investigate the use of student centred education in one of the developed countries, namely the Netherlands and to present a tool for music generation which can be used in student education.

1. Introduction

The advancement of the musical system of education implies using modern policies. A modern one is called student-centred education and there are efforts in different domains to implement it. At the level of the musical education the situation is not that clear and the attitudes of the teachers and students differ from place to place. On the other hand, creating software support for modern policies of education is also a necessity.

In this paper we are going to investigate the use of student centred education in one of the developed countries, namely the Netherlands. This investigation was done by means of a survey. The results of this investigation are presented in section 1.

In Section 2, we will present a tool for music generation that can be used in harmonic exercises done by students. This tool is an extension of the tool presented in [1], [2], and is extended with the possibility to generate music based on a technique of the feelings awaked by a text for which a melody is composed.

2. Centred-musical education in Netherlands

The term of student centeredness [3] is in vogue in the world. This idea of the development of students was born from the requirements of the holistic model of student development [4]. Basically student–centred education means to put the students at the centre of the educational process. This includes the development of the academic skills: to stimulate the student thinking and to motivate them to learn. On the other hand, the teachers should be motivated to implement student centeredness. One way to do this is by increasing the level of the use of computers. Some examples taken from the field of music are: exercises on computers for the application of the

harmonic laws; homework for musical history, musical aesthetics to be made on computers or using the information from the web, etc.

As one can see it is very important to use computer in this kind of education. In higher education many faculties use the software to improve both the performances of the students and of the teachers. It is known that the use of the software is not a fashion but a necessity.

QUESTIONAIRE

1) What is your field of expertise:
a) Teaching instrument
b) Teaching harmony or counterpoint
c) Teaching musical aesthetics
d) Teaching musical history
e) Teaching musical pedagogy
f) Others
Your answer (a, b, c, d, e or f):

2) How many students your Faculty of Music/ School has
a) < 100
b) > 100 and < 300
c) > 300
Your answer (a, b or c):

3) Has your Faculty of Music/School a policy of student centeredness
Your answer (yes/no):

4) Has your faculty/school a distance-learning program for music?
Your answer (yes/no):

If your answer is no, go to 6

5) Which are the disciplines from which distance-learning programs exist?
a) Choir leading
b) Musicology
c) Performance (instrument)
d) Others
Your answer (a, b, c or d):

6) Has your university/school a program of student counselling using Internet?
Your answer (yes/no):

7) Are the students of your faculty/school involved in research programs?
Your answer (yes/no): yes
If your answer is no, go to 9

8) In which domain do your students research?
a) Musical history
b) Musical harmony
c) Techniques of musical interpretation
d) Musical aesthetics
e) Others
Your answer (a, b, c, d and/or e):

9) Is your faculty/school using software for teaching music?
Your answer (yes/no):

If your answer is no, go to 13

10) Can you indicate the disciplines where software is used for teaching the music:
a) Instrument
b) Musical harmony
c) Counterpoint
d) Musical history
e) Musical aesthetics
f) Musical pedagogy
g) Others
Your answer (a, b, c, d, e, f or g):

11) The software programs used for teaching the music are used
a) Only within the faculty/school
b) Outside the faculty/school (in students/teachers houses)
c) Both a) and b)
Your answer (a, b or c):

12) If your faculty/school uses some software programs in teaching the music, this software
a) Is made by researchers from our faculty/school
b) Is bought
c) Is made by other universities/schools
Your answer (a, b and/or c):

13) Do you think that using software in teaching:
a) Improve the performances of the student
Your Answer (yes/no): no
b) Improve the performances of the teacher
Your answer (yes/no):

14) What is your position related to the music generated by computer in musical composition?

a) I am not interested
b) It can give some inspiration to the composers
c) Humans cannot be replaced by computers
d) Can be an alternative for the music composed by humans
Your answer (a, b, c or d):

Figure 1. The questionnaire.

We are conducting a research about the existence of student centeredness policies and the use of music software in music faculties and schools. In this respect we made a questionnaire to see the level of the using of the computer in musical education. The

questionnaire has 14 questions (see Figure 1). This questionnaire is easy to be understood from the figure and therefore we will not spend more space in explaining it.

We investigated two top conservatories of the Netherlands, Royal Conservatory from The Hague and Conservatory of Amsterdam, which we considered to be representative for the situation of the whole country. Before explaining the results, we will present to the reader some information regarding these conservatories.

King William I in 1826 founded The Hague Conservatoire. In it's one hundred and seventy five years of existence this conservatory has grown into an internationally renowned institute where music, science and practice, study and performance meet on a high level. The facilities of the Royal Conservatoire are optimal. All activities take place in a modern, professional and well-equipped building. There are many teaching and study rooms, there is a fully-fledged theatre and a large concert hall, and there are studios for composition, performance, recording, editing and research.

The Conservatorium of Amsterdam is the largest and most diverse conservatory in the Netherlands. Situated in one of Europe's most vibrant musical centres, the conservatory takes full advantage of Amsterdam's multifaceted musical climate. The Conservatorium of Amsterdam is therefore well placed to help students develop into musicians at the highest level. This school of music offers courses ranging from jazz and early music to opera, latin and popular music. The curriculum guarantees also a strong link between theory and practice.

Interpretation of the questionnaire. There are many students in both conservatories. The Royal Conservatory has fewer students than the one in Amsterdam. The idea of the student centeredness is known and practiced in the Conservatory of Amsterdam, but in the Royal Conservatory of The Hague it is not. It seems that only the largest conservatory of Netherlands tries to apply this novel policy. This is another sign that such a research, as the one presented in this paper in which software music tools are proposed, tools that can be used within a student-centred education, is useful for the progress of the musical education.

Also both faculties are quite poor with disciplines for distance learning education: they just don't have any. A lot of students are implied in research programs that are working very well. The students do research in domains such as: musical history, musical harmony, techniques of musical interpretation, musical aesthetics, etc.

Both conservatories use software for teaching music. In The Hague, such software is used in following domains: musical harmony, counterpoint and musical pedagogy. The software is used in Amsterdam at musical pedagogy. In The Hague the software is used only within the faculty. The Conservatory from Amsterdam uses it both within and outside the faculty. Researchers belonging to these faculties, or to other universities make the software.

It is interesting to observe that there are different opinions about improving the performances of the students and teachers when using such computer programs. In Amsterdam, we discovered a very strong **no** about the importance of the software for

improving the performances of the students and teachers. This is also an explanation why the software is not that used in Amsterdam. But even if those from this Conservatory do not accept the idea of improving the performances of the students and teachers by means of programs, they understand still the necessity of using the computer in musical education.

From this survey, it can be concluded that there is stillroom for applying modern policies in the educational systems of different faculties, such as student-centred policies and to develop new tools that will support such policies. This research is a step further in this direction. In the next section we will present a tool that can be used in the educational music systems.

3. A tool for music generation

In this section we will present the tool for music generation in education. The tool can be used in the following way: a Bass melody is given as the input for the tool and the melodies of Tenor, Alto and Soprano are generated such that the constraints imposed by the harmonic laws are respected. However, the tool can helps also the user to compose melodies for all the voices (Bass, Tenor, Alto and Soprano), melodies harmonically good. The tool can be used interactively such that the user gives notes for Bass, Tenor, Alto and Soprano to the tool and the tool tells the user whether his/her choice is correct or not harmonically. This way of using the tool can be used in education by the teachers and professors for giving musical exercises to the students with imposed Bas or Soprano. After the exercise is completed the tool will give to the students a mark based on how many mistakes were made when the exercise was solved.

The tool has also the possibility to accept pattern functions for the Soprano voice. An example of such a pattern is: the voice is moving gradually. A first use of the patterns is to generate music when the pattern and the Bass are given. Another possibility is to ask the tool to generate all the voices when a pattern of the Soprano is given.

A novel way to use this tool is based on the possibility to generate music based on the feelings awaked by a text. When a composer is involved in his compositional process, especially when he/she tries to compose music for different texts, the composer wants the music to awake different feelings in the hearers of the music. The feeling can be decided by the composer or can be derived from the text. For example, a piece of text expresses joy, another one violence or peace, etc. On another hand it is a known fact that using some general rules for composing music can produce in the audience some reactions. For example, repeating a small sequence of notes many times make a hypnosis state to be induced. The joy can be produced in many ways; for example by a melody that goes upwardly and gradually.

We propose to generate music according to a similar process used by the composers. Our method applies especially for texts that need to be sustained by melodies. When looking to the text, the human (a composer or a non-specialist) decides each portion of the text which feeling needs to awake. The feeling can be derived from that portion of text or can be decided by the human. The computer receives as an input data the set of feelings and for each feeling the length of the melody that needs to be generated.

Now, from its database, for each feeling from the set, the tool will choose rules or a pattern that express that feeling and will generate music, till the whole melody is constructed. The human will receive back the set of melodies generated and he/she can choose one of these or get inspiration from this set in his/her compositional process.

Of course a key element of the whole process is the knowledge (the data base) which the tool have related to the melodically patterns which induce a given feeling. In the current paper we worked out a list (which is not exhaustive) containing feelings and their associated pattern. One important observation is that one feeling can be awaked by more patterns. The tool has the possibility to choose from more patterns for a given feeling, therefore its creativity is enlarged.

Conclusions

From the research presented in this paper, it can be concluded that there is stillroom for applying modern policies in the musical educational systems of different faculties, such as student-centred policies and to develop new tools that will support such policies. This research is a step further in this direction.

We presented also a tool for music generation which can be used in the musical teaching by students and teachers and which is based on novel approaches related to the way in which it can generate music.

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Title of Submission: "Turkish Woman Composers: Past to Present"

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TURKISH WOMAN COMPOSERS: PAST TO PRESENT

Modern Turkey, now referred to as the Republic of Turkey, was founded on October 29, 1923. The new republic was constructed upon the heritage of the Ottoman Empire. Following the establishment of a new government, the founder Mustafa Kemal Atatürk adopted an aggressive program of social and cultural change in modern Turkey. He provided civil rights for women, and changed the type of outfits for both genders from conservative Islamic clothing to Western styles. He revised the educational systems and changed the Arabic alphabet into the Latin alphabet. Atatürk achieved these reforms by using European countries as models. However, these movements towards Westernization did not diminish his support of traditional Turkish classical music. (A distinction must be made between Western classical music and Turkish classical music. Perhaps the greatest difference is that Turkish classical music uses over 300 distinct modes, whereas Western classical music is primarily constructed of major, minor and related scales.) Although Atatürk wanted European art music to be heard and understood in Turkey -- and he subsequently sent a new generation of talented Turkish musicians to European countries for their musical education, he did not want to change the time-honored tradition of Turkish classical music. Despite his efforts to infuse a new music into Turkish culture while protecting the old style, Turkish classical music nevertheless suffered and was neglected as a result of these cultural reforms.

Before the development of the Republic of Turkey in the early 20th Century, women had been culturally and socially repressed due to the Islamic traditions of the Ottoman Empire. The conception of a woman as the caretaker of her husband, children, and home was prevalent in society. She did not have any privileges outside of her home

without the permission of her husband. Likewise, women were not given the opportunity to pursue a formal education.

In contrast to the typical Turkish women, there were also noble (or 'palace') women. These fortunate women were educated in music and literature in the palace where they resided. A palace woman enjoyed a higher standard of living and greater educational opportunities. There was also another type of woman living in the palace: slaves or concubines (*cariye*). Concubines were the wives of Sultans, and their role was to provide pleasure for their master. The advantages of being a concubine were similar to that of a noble woman regarding education and living standards.

During the 18th century, the Ottoman Empire began weakening. Governmental officials wanted their nation use the European community as a model, which was more technologically and culturally advanced. In pursuit of this goal, they attempted to assimilate European lifestyles into their society, adopting reforms in clothing styles, education, and music. Ottoman women also benefited from these improvements, and they attempted to redefine their roles in social and cultural life. Although most women did not have the opportunity (as only the palace women had explicit advantages), this cultural shift opened the door for some women to develop their abilities in artistic pursuits such as Turkish classical music and literature.

In terms of Turkish classical music, two Ottoman female composers deserve attention because of the new spirit that they infused into the genre: Dilhayat Kalfa and Leyla Saz. In addition to these important early composers, another influential female composer emerged in modern Turkey. Melahat Pars deserves recognition in Turkish

musical history due to her revolutionary character and widespread influence on ensuing generations of female musicians.

Two Female Composers from Ottoman Empire Time

Dilhayat Kalfa (Dilhayat Kadın/Dilhayat Hanım) (1710-1780)

It is believed that Dilhayat Kalfa was born in 1710 in İstanbul. She was assumed to be the most famous female composer of the palace; however, there is almost no information about her life, her education, and her masters. She used the scale of *Evcara* with great mastery. It is believed that Dilhayat Kalfa was a *tanbur* player and had a beautiful voice:

> Dilhayat Kalfa had a moderate use of style, tune and lyrics in her compositions both in *Evcara* and other tunes. The composer was also impeccable in her choice of lyrics, and the harmony she has established between the meaning and melodical syntax was on the highest level. Her preludes [*peşrev*] and instrumental popular songs (*semai*) in *Evcara* tune are considered as great works of art in Turkish instrumental music.[1]

One of her most famous compositions was entitled "Evcara Peşrev." This evocative piece was written for both *kemençe* and *tanbur*, which are two types of Turkish Classical musical instruments.

Peşrev (prelude) is a musical form in the Turkish classical genre. It has four distinct sections, and each section is called *hane*. After the second section (or *hane*), the music modulates to a related *makam*; then, the last section is often in a contrasting ternary rhythm. The other form in which Dilhayat Kalfa has composed is *saz semaisi* (instrumental popular songs), which is always in a ternary rhythm. Aside from these forms, there are other types of musical forms in Turkish classical music.

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[1]*Osmanlı Mozaiği: Kadın Bestekârlar* [*Mozaic of Ottoman: Woman Composers*]. 2-CD set with booklets, İstanbul/Turkey: Sony Music, 2001, CD nos. 501256 & 502078, CD no. 1, p. 19 from the booklet.

As previously mentioned, her most famous piece "Evcara Peşrev" is performed with two traditional Turkish instruments, *kemençe* and *tanbur*. *Kemençe* is small violin-like instrument played like a cello. It has three strings and requires the use of a bow. To produce sound on *kemençe,* the tip of the nails should touch the strings. The other instrument from the piece by Dilhayat Kalfa is *tanbur*, which is long-necked lute. *Tanbur* has four-double strings and fretted neck. The frets on the *tanbur* clearly demonstrate the Turkish musical system, which will be discussed later.

Aside from *kemençe* and *tanbur*, some of other Turkish classical instruments are *ney* (end-blown reed-flute), *def* (frame drum), *kudüm* (small pair of kettledrums), *ud* (lute with no fret), *lavta* (lute), *yaylı tanbur* (long-necked lute played with bow), *kanun* (zither-like plucked musical instrument), and *zil* (cymbal). Some Western instruments, such as violin, violoncello and clarinet, are also used in Turkish classical music.

As one of the several musical genres, "Turkish classical music is monodic and the tradition is oral. The solution to organization problems in such an art has depended heavily on two complex systems: *makam* and *usul*." [2] The *makam* system is based on a set of compositional rules "…by which melodic component of a piece of music is realized."[3] Turkish *makam* system resembles the Medieval modes of Western music. There are 13 basic scales in *makam* system; however, deriving from or as different combinations of those basic scales, more than 300 *makams* or scales exist in Turkish classical music. Each *makam* has a different characteristic. Karl Signell, who is a musicologist specializing in Turkish classical music, states: "There are many structural aspects to the Turkish *makam* system, but of these, the intervallic structure is the most fundamental…The exact size of

[2]Signell, Karl. L. *Makam: Modal Practice in Turkish Art Music.* Seattle: Asian Music Publications, 1977, p. 16.

various intervals is important because minute inflections of pitch are often one basis for distinction between one *makam* to another."[4] Basically, we can say that in the Turkish classical musical system, an octave includes 24 notes. There are five basic intervals and each of them has a different name and different function in the *makam* system.

The rhythmic element in Turkish music is regulated by the *usul* system. "An *usul* is a repeating rhythmic cycle, roughly equivalent to the Western 'measure,' but closer to the *tala* of India. The current repertoire comprises about 40-5 usuls."[5] Eugenia Popescu-Judetz states:

> The rhythmic structure of *usuls*, which originated in the Islamic prosody system, involves the expression and execution of rhythmic accentuation by the performers themselves. The performer produces the heavy accent by striking his right knee with his right hand and the light accent by striking his left knee with his left hand, or executes the strokes on a percussion instrument. All rhythmic cycles are fitted to instrumentalists whereas few rhythms are suited to vocalists.[6]

Turkish art music was the music of the elite, including the court in İstanbul (the capital city of Ottoman Empire), its grandees, and upper bureaucracy. For this reason, Turkish classical music has been called "Palace music" or "Court music."

It is important to view Dilhayat Kalfa's life in *harem* both as a part of the Turkish social construction and as a musician. She was one of the Sultan's concubines (*cariyeler*) and (as other harem women) she was well educated because "the harem was not just a prison full of women kept for the sultan's pleasure. It was his family quarters."[7] Therefore, harem women were educated, especially in visual arts, music, poetry and

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[3] Ibid.
[4] Signell, Karl. L. *Makam*, p. 22.
[5] Signell, Karl. L. *Makam*, p. 16.
[6] Popescu-Judetz, Eugenia & Adriana Ababi Sirli. *Sources of 18th Century Music: Panayiotes Chalatzoglou and Kyrillos Marmarinos' Comparative Treatises on Secular Music.* İstanbul/Turkey: Ayhan Matbaası, 2000, p. 15
[7] http://www.sisantours.com/topkapi_pl.html, access date March 15, 2004.

foreign languages. "The music teachers of the palace concubines could give lessons either in the palace itself or in their own homes. Over the centuries, hundreds of musicians emerged from among the ladies of the Ottoman court but the names and works of very few of these are known."[8] Dilhayat Kalfa had opportunity to perform her pieces at the court of the Sultan, who was Selim III at her time. Sultan Selim III was likewise a distinguished musician and composer:

> In the 18th century the Ottoman court found itself in a period characterized by the rapid decline of the State and it was towards the end of the century that preferences in the cultural field began to be directed towards the West. In the years preceding his accession to the throne, Selim III had taken an active interest in literature, music and history, but although, as Sultan, he was obviously greatly influenced by Western architecture, the same cannot be said for music.[9]

Sultan Selim III loved Turkish classical music. He is credited with the invention of the *makam* (or scale) called *Evcara*. Dilhayat Kalfa's compositions were the best examples of this *makam*. Her unique artistic aesthetic is complimented by an extraordinary technique. It is assumed that she died in İstanbul in 1780.

Leyla Saz (1850-1936)

Leyla Saz was another important figure in Turkish classical music. She was born in 1850 in İstanbul and spent her entire life in the beautiful city. Her father was a vizier (minister) under the rule of Sultan Abdülmecid. She lived in palaces in her childhood. During that time she performed in palace orchestras and learned both Western and Turkish musical systems. As part of her Western musical training, she took piano lessons when she was eleven years old. She started to study Turkish classical music two years earlier when she was nine years old.

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[8] http://www.ottomansouvenir.com/Music/Albums/sultan_composers.htm, access date March 15, 2004.
[9] Ibid.

Leyla Saz was a noble woman who could also speak Arabic, Persian, French and Greek. She was not only well known in musical circles, but she was also famous for her literary contributions. She wrote personal memoirs and described the earlier life of Turkish women in the dailies. As a musician she composed more than 200 songs. Leyla Saz was unique in that she also wrote most of the poetic lyrics for her works. Some of her poems were published in a book named *Solmuş Çiçekler* (*Withered Flowers*).

Leyla Hanım was a master of the Turkish art song:

> All of Leyla Hanım's works are in song [*şarkı*] form. She has not composed any work in larger scale. Her compositions had strong techniques and when examined in detail, it is evident that she knew the passage technique very well. She has also composed couple of marches.[10]

Passage technique refers to the modulation between two different *makams*.

The song or *şarkı* form in Turkish classical music was popularized in the mid-19th century. According to *The New Grove Dictionary of Music and Musicians*:

> This consists of two contrasted melodic lines, corresponding to two textual lines, referred as *zemin* and *zaman*. This is followed by a contrasting *meyan* section, in which there is a modulation and often upwards shift in tessitura…The *meyan* is followed by a repeat of the first and second line that functions as a refrain. The whole is punctuated by instrumental sections known as *aranağme*.[11]

As is the case with other songs in Turkish classical music, Leyla Hanım's song lyrics are mostly about love and heartbreak.

In Leyla Hanım's songs there are usually a unison choir and an instrumental ensemble that accompanies the choir. In contrast to Western operatic style, singing is ornamental and soft in Turkish music. The melody alone is sung by the choir. There is no polyphony. The monophonic melody is accompanied by an ensemble that consists of

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[10] *Osmanlı Mozaiği: Kadın Bestekârlar* [*Mozaic of Ottoman: Woman Composers*], CD no. 2, p. 18 from the booklet.

tanbur, kanun, kemençe, ud, ney, and percussion instruments, such as *def* and *kudüm.* The ensemble plays the same melody that the choir sings but also plays some instrumental parts between verses.

Leyla Saz composed marches in the European style as well. She states in her memoirs how Turkish and Western music existed side by side in the palace: "The orchestra for Western music and brass band practiced together two times a week and the orchestra for Turkish music only one time…Western music was taught with notes and Turkish music without them; as had always been the custom, Turkish music was learned by ear alone."[12] Leyla Saz died in1936 in İstanbul.

The Story of A Woman Composer from the Republic of Turkey: Melahat Pars (1919-)

Melahat Pars is one of the most famous woman composers, educators and choral conductors in Turkish classical music. She was born in 1919 in İstanbul. Melahat Pars began her first musical training when she was very young. Then, she attended a music society in İstanbul between 1932 and 1939. Here, she learned playing the *ud*. Also, she took violin lessons but she was more interested in playing the *ud*. In 1944 she became a singer at Ankara Radio. After a while, she became interested in folk music and performed in a folk music chorus both as a singer and soloist. In the 1950s she went back to İstanbul and began teaching at the İstanbul Municipality Conservatory. At the same time, she performed at the İstanbul Radio as a soloist and chorus singer. Seven years after her retirement from the İstanbul Radio, she was re-appointed to this institution in 1982 as the conductor of women's chorus. She was also the founder of some music associations in

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[11] *The New Grove Dictionary of Music and Musicians,* 2nd ed., Stanley Sadie ed., vol. 25, p. 917.
[12] http://www.newmusicon.org/a11n1/v111turkey.html, access date March 15, 2004.

İstanbul. Melahat Pars has about 60 compositions, all of which are in all song form. She is currently teaching at an artistic center in İstanbul.

In Melahat Pars's songs we can hear similar musical characteristics as in Leyla Hanım's pieces. One of these characteristics is the ornamental and soft singing. In addition, the ensemble consists of the same instruments. Instrumentalists accompany the singer by playing exactly the same melody s/he sings, although they play solo instrumental parts between verses.

Melahat Pars is an important figure not only as a composer but also as a teacher. She was one of the advocates for the preservation of Turkish art music after the establishment of the Republic of Turkey in October 29, 1923:

> The birth of the Turkish Republic after the fall of the Ottoman Empire led to a profound reevaluation of Turkish culture. Courtly Ottoman culture was looked on with suspicion and either put aside or transformed. The Arabic script of the Ottoman Turkish language and Ottoman forms of dress, like religious and musical traditions, were banned in the new westward-looking nation. Music and dance of the countryside were brought into newly founded conservatories in urban centers as part of an effort to construct a modern national identity.[13]

This rejection happened in the first fifty years of the newly founded Republic of Turkey. Musicologist Karl Signell writes: "The first fifty years of Turkish Republic, 1924-1974, classical Turkish music suffered under its Ottoman shame. State concert halls and conservatories were closed to Turkish musicians"[14] Between those years, radio stations were not playing Turkish art music. Nevertheless, later on, "Paradoxically, the radio stations eventually became the main new patrons of Turkish classical music, providing

[13] *The Garland Encyclopedia of World Music,* Alexander J. Fisher, ed., vol. 6, New York: Routledge, 2002, section 6 "Turkey," p. 750.
[14] Signell, Karl L. "Turkey's Classical Music, as a Symbol," *Asian Music*, vol. 12, no. 1, 1980, p. 166.

major sustenance for performers and substantial air-time for the music."[15] After the mid-1970s, amateur singers or musicians and choral ensembles from universities or amateur ensembles began to perform Turkish art music on radio stations. One of those choral ensembles was the İstanbul Municipality Conservatory chorus with Melahat Pars as conductor. Because of her efforts for the preservation of Turkish classical music, Melahat Pars is regarded as one of the most important and eminent musicians. Moreover, she has taught a new generation of musicians who believe in their cultural heritage and are proud of it.

The lack of interest of surrounding woman composers from Turkey inspired me to engage in this research. Woman musicians were often ignored in the time of the Ottoman Empire. Although they were given the opportunity to show their abilities in music and other subjects, their achievements are still not recognized today. The three ladies I chose (from among 200 female Turkish classical musical composers) are the most successful and distinguished in terms of their accomplishments in their music. Their remarkable abilities and personalities have made them eminent in Turkey and their music deserves to be heard around the world.

[15] Ibid.

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Beyond David and Goliath: The Case Against Naivete In Selected Excerpts From Johann Kuhnau's Biblical Sonatas

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Beyond *David and Goliath*: The Case Against Naiveté In Selected Excerpts From Johann Kuhnau's *Biblical Sonatas*

Discussions concerning Johann Kuhnau often assign him the role of musical innovator and a symbol of the Baroque avant-garde. Some of this commentary is often paradoxical, however, noting his "naiveté" in the six *Biblical Sonatas*. Stewart Gordon's assessment of them, for example, certainly does not appear to award them the highest praise: "This descriptive music is somewhat naïve but cleverly crafted in its effects and entertaining".[1] Stanley Sadie further corroborates the conundrum wedding naiveté and creativity somewhat more constructively through the use of the word "sometimes", but nevertheless purports a similar view: "…the *Biblical Sonatas*…describe in music, sometimes naively but with enterprising use of the harpsichord's resources, the emotional states aroused by particular stories from the bible".[2] This author finds momentary pause for concern in Sadie's assertion, since the source in which it is found is rather popular and may leave many readers with only the notion that Kuhnau was simply naïve. I feel one has only to look beyond the sling-shot and Goliath's fall in the first Biblical Sonata to the remaining five, which contain numerous startling examples of Kuhnau's forward-looking traits and often a musical language indicative of the highest levels of programmatic sophistication. The point seems to be seldom stated or implied by a great number of musicologists concerned with Kuhnau scholarship, and thus the situation appears to be in need of some degree of rectification.

Although the case for a "thoroughly modern Kuhnau" has already been alluded to and will remain the central tenet of this paper, some further context and specificity are

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[1] Gordon, Stewart. *A History Of Keyboard Literature*. Belmont, CA: Wadsworth Group/Thomson Learning, 1996, p. 50.
[2] Sadie, Stanley, ed. *The Norton Grove Concise Encyclopedia of Music*. London, UK: Macmillan Press Ltd, 1988, p. 409.

necessary before examining the sonatas themselves. A discussion of musical life in Leipzig during Kuhnau's reign as *Thomaskantor* seems to be a worthy point of departure for such commentary, as relatively few composers work exclusively in a vacuum. Most can undoubtedly attribute their success or failure to the musical culture of their communities. George B. Stauffer portrays Kuhnau's Leipzig as a city with a deep penchant for musical activity that would have nurtured his creativity and thus attempts to dissuade the reader from believing previously held notions concerning this particular community:

> The portrait commonly painted by Bach scholars…is not entirely flattering…Leipzig is often presented as the religiously conservative town that failed to provide Bach with an adequate outlet for his talent, much in the fashion of Salzburg with Mozart. While that picture furthers the nineteenth-century notion of Bach as a misunderstood artist, it does grave injustice to Leipzig. For by the time Bach arrived in 1723 Leipzig stood as an attractive, vital metropolis, a town that indeed made demands on its musicians but also offered them unusual financial security, greatly varied opportunities for composition, and admiring, knowledgeable, auditors. Leipzig fostered such figures as…Christoph Graupner… Johann Adolph Scheibe, and Georg Phillip Telemann. Moreover, it placed its illustrious Thomaskantors-Johann Kuhnau, Johann Schelle and Bach-before an international forum.[3]

If Leipzig were truly as worldly as Stauffer asserts, it would seem quite likely to be receptive to at least some of Kuhnau's musical innovations.

Kuhnau's own formal education indeed would have been more than sufficient to prepare him to grapple with the most modern issues of his era, both musically and otherwise. Kurt stone's introduction to the six *Biblical Sonatas* presents Kuhnau as a jack-of-all-trades who in 1700 would certainly appear to be intellectually enlightened:

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[3] Beulow, George J. ed. *The Late Baroque Era*. Englewood Cliffs, NJ: Prentice Hall Inc, 1993, p. 254.

> Johann Kuhnau…distinguished himself in uncommonly many fields. He was a musician who, aside from his native German, spoke Italian, French, Hebrew, Latin and Greek. He had studied Mathematics and Law, and was active as a lawyer even while holding the post of Cantor at the *Thomas-Kirche* in Leipzig (1684).[4]

John Butt furnishes additional evidence of Kuhnau's educational prowess with more authoritative remarks:

> Kuhnau is arguably the last "Renaissance man" in the field of musical composition. Having received his early musical education in one of the greatest centers of German musical culture, Dresden…and, with the publication in 1700 of his satirical novel *Der Musicalische Quacksalber*, showed himself to be a talented and humorous writer.[5]

Some of the most compelling evidence of Kuhnau's modernity may be derived from an examination of his similarity to J.S. Bach, as well as the extent to which he acts as Bach's musical harbinger. This author feels compelled to issue a caveat, however, which advises against falling into the historical trap that uses Bach as the ultimate standard-bearer for all that is novel in the Baroque, just as Arnold Schoenberg cannot realistically represent the standard for evaluation of contemporary degrees of compositional orthodoxy or avant-garde inclinations.

Butt similarly advocates the avoidance of a Kuhnau discussion purely in the context of a comparison to J.S. Bach:

> A study of seventeenth-century German keyboard music is perhaps no better concluded than with Johnann Kuhnau, since he epitomizes most of the trends of the High Baroque while anticipating many developments of the early eighteenth century, most notably the achievements of J.S. Bach and Handel. Perhaps his very proximity to these two composers (both geographically and stylistically) accounts for his

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[4] Kuhnau, Johann. *Six Biblical Sonatas For Keyboard*. Kurt Stone, trans. New York, NY: Broude Brothers, 1954, p. iv.
[5] Silbiger, Alexander, ed. *Keyboard Music Before 1700*. New York, NY: Schirmer Books, 1995, p. 214.

> comparative neglect in most recent studies; his output understandably suffers if judged according to the styles and values of the Bach era.[6]

Reduction of the Great Man Theory's preeminence will likely continue to remain an arduous, uphill battle, however, and this may be especially true for Kuhnau, as Peter Williams' continuum of musical influence places him in a rather marginal sphere. He assigns three categories to Bach predecessors: "distinguished", "relatively minor", and "distinctly minor". Kuhnau is included among the "distinctly minor" predecessors with Reincken, Fisher, and Raison.[7]

Williams does offer Kuhnau some innovative credit regarding the use of the titles *Clavierubung* and *Partita*, however, by citing his use of them prior to J.S. Bach:

> Doubtless, the word *Clavierubung* alludes to or salutes Kuhnau's publications in Leipzig in 1689 and 1692, while *Partita*…is a quasi-Italian form of Kuhnau's *Partiten*…[8]

Another specific link that provides evidence of Kuhnau's innovative nature includes the similarity between J.S. Bach's *Capriccio on the Absence of the Beloved Brother* (BWV 992) and Kuhnau's *Biblical Sonatas*. Robert Marshall notes that this work is Bach's only "instrumental composition with an extramusical program-a conceit suggested by Johann Kuhnau's Biblical Sonatas…but appropriated here to represent a purely secular, indeed mundane event: the composer's separation from his beloved 'fratro'".[9] Gleason and Becker also assert a connection between these two works, stating directly that the

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[6] Ibid, p. 214.
[7] Hogwood, Christopher, ed. *The Keyboard in Baroque Europe*. Cambridge, UK: Cambridge University Press, 2003, p. 140.
[8] Ibid, p. 142.
[9] Marshall, Robert, ed. *Eighteenth-Century Keyboard Music*. New York, NY: Schirmer Books, 1994, p. 88. This author believes the word "concept" was intended in place of the word "conceit" and that the printed word represents an editor's mistake.

Capriccio is "a secular counterpart of Kuhnau's Biblische Historien".[10] These citations may appear somewhat contradictory after a warning against over-consideration of the extent to which Kuhnau foreshadows Bach, but in this case this author has utilized them simply to show that Kuhnau's modernity emerges irrespective of the yardstick employed. Exposition of Kuhnau's musically prophetic nature thus reveals assertions of the *Biblical Sonatas'* naiveté as all the more troubling: Why would a composer with such artistic and intellectual vision elect to imbue a musical representation of epic tales (Hebrew Bible Stories) with an air of naiveté? This author contends, once again, that this paradox only exists if analyses are limited only to particular portions of the first sonata, *The Fight Between David and Goliath*. Perhaps the most indisputable case for Kuhnau's "contemporary" inclinations stem from his own preface to the *Biblical Sonatas*. His comments on voice-leading practices and resultant dissonances appear quite visionary for the turn of the eighteenth century:

> …matters may be touched upon which might seem rather paradoxical to some. For example, every one who, so to speak, is still in the lowest grade among the students of composition has already been taught that the immediate progression from one perfect consonance to one or several others is prohibited, and that, furthermore one can find some critics so strict that they regard even those among musical poets who otherwise are justly entitled to laurels as crude 'master-singers' or 'yodelers'… should they occasionally violate the rule stated above… but suppose one could write two fifths or octaves in succession which would not seem unpleasant to the ear- an arrangement which, under certain circumstances, is quite feasible?[11]

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[10] Gleason, Harold and Warren Becker, eds. *Music In the Baroque*. Bloomington, IN: Frangipani Press, 1980, p. 127.
[11] Kuhnau, Johann. *Six Biblical Sonatas For Keyboard*. Kurt Stone, trans. New York, NY: Broude Brothers, 1954, p. xii.

Given Kuhnau's predisposition toward musical modernity, it is this author's intention to reveal Kuhnau the prophet to be capable of utilizing far more profound means of musical expression than Gordon or Sadie might consider. For there are many passages throughout these works that, upon careful consideration of the scores, may have the potential to excite similar affective responses to those they seemed to impress upon John Butt, principally to 'communicate the greatest depths of emotion, creating the most disturbing or the most sublime metaphors of the human experience".[12]

The first section of the second *Biblical Sonata* entitled "Saul cured through Music by David" depicts Saul's madness via myriad dissonant sonorities, many of which appear strikingly modern by 1700 standards, and are thus functional and forward looking. One example occurs almost immediately in the third beat of bar 3, where the vertical sonority includes the pitches G, F sharp, E flat, and A natural. One might dismiss the G as simply pedal point, but would be hard pressed to do so given the fact that the pitch lasts the entire measure. Even consideration of the harmony at this point to be an F sharp fully diminished seventh chord over a G pedal point still yields a significant degree of dissonance, as the G and F sharp are heard together. While the minor seventh that separates them might serve to minimize this discord in other circumstances, this particular harmony only underscores its inherent tension and wastes no time in exposing Saul's mental illness. A similar effect is achieved through the use of the chord in bar 6, which features the pitches of a G dominant seventh chord with a flatted ninth. This sonority also features a semitone dissonance as the G and two A flats occur simultaneously. A comparably dissonant chord appears in the third beat of bar 17, where a D, C sharp, B flat, and E all converge to produce either a C sharp fully diminished

[12] Silbiger, Alexander, ed. *Keyboard Music Before 1700*. New York, NY: Schirmer Books, 1995, p. 217.

seventh chord over a D pedal point or a C sharp diminished ninth chord. Through either harmonic lens, the semitone discord derived from the C sharp and D natural is unavoidable. Such sonorities as these are certainly not in short supply in this section of the sonata, and this author opines that simply designating the entire portion as *Gebrauchmusic* that only serves to make Saul's cure a more joyous occasion is to ignore Kuhnau's masterful portrayal of mental illness. His introduction certainly makes no effort to avoid the grotesque, and hence it would seem strange should he elect to minimize this element of the story in the music. Kuhnau's own narrative concerning Saul's madness spares few details:

> One can almost visualize the ugly sight of this man in his phrensy. His eyes turn, and one spark of fire after another springs, so to speak, from them; his face is distorted so that one can hardly recognize any longer the few remnants of human shape; his heart, like an impetuous and raging ocean, throws his foam out through his mouth. Suspicion, fanaticism, envy, hatred, and fear vehemently attack him; his spear, continually flying from his hand, shows particularly well that his heart must be completely aglow with wrath. *In summa*: the sickness of his mind is so great that the evidences of all the hellish tortures can be only too clearly perceived.[13]

In addition to the plethora of highly dissonant sonorities, this particular section of this sonata is also rife with unexpected resolutions. In this manner, Kuhnau is able to continually remind the listener of Saul's "madness" without interruption. One example includes bars 6-7, where the previously mentioned G dominant seventh chord with the flatted ninth scale degree resolves to neither a C based chord, nor an A flat based sonority, but an E flat augmented seventh chord. This motion is facilitated by a common tone G shared by both sonorities, but is nevertheless quite unusual and heavily tension-

[13] Kuhnau, Johann. Six Biblical Sonatas For Keyboard. Kurt Stone, trans. New York, NY: Broude Brothers, 1954, p. 14.

laden. Another common-tone resolution imbued with anything but finality appears in bar 21, where a D dominant seventh chord with a flatted ninth resolves to a b minor seventh chord. While not necessarily dissonant, this sonority is highly unexpected and while not maddening in and of itself, it certainly aids in accentuating the irrational mood of this section of the piece. One of the most fascinating examples of a surprising resolution includes the section's penultimate bar, where an A half-diminished seventh chord resolves to a chord containing the pitches C sharp, A, G, and E flat. In its vertical arrangement the point of resolution is in fact an inverted French Sixth chord, a sonority frequently cited as the very standard of the harmonic avant-garde even a century after the sonata's publication! While the major chord ending to this section may simply indicate Saul's ultimate road to recovery, the journey was certainly harrowing, especially due to the fact that this portion of the sonata contains very few bars without diminished chords and other dissonant sonorities. This author even wishes to propose a theory regarding Kuhnau's actions as biblical interpreter to expose a possibly hidden degree of sophistication. Kuhnau appropriates the sonata's title as "Saul cured through Music by David". Curiously, the *Tanakh*, a recent translation of the Hebrew Bible, makes no mention of Saul ever having been "cured". There are only passages that note the two events occurring simultaneously, but not one causing the other: Saul enters a fit of rage *while* David plays the lyre, but Saul then attempts to kill David, suggesting a situation that certainly implies that in reality Saul's condition is a far cry from a clean bill of mental health! The *Tanakh* states in I Samuel 18: 10-12:

> …an evil spirit of God gripped Saul and he began to rave in the house, while David was playing [the lyre] as he did daily. Saul had a spear in his hand, and Saul threw the spear, thinking to pin David to the wall. But David eluded

> him twice. Saul was afraid of David, for the LORD was with him and had turned away from Saul.[14]

A nearly identical passage appears in the Tanakh in I Samuel 19:9-10:

> …an evil spirit of the LORD came upon Saul while he was sitting in his house with his spear in his hand, and David was playing [the lyre]. Saul tried to pin David to the wall with the spear, but he eluded Saul, so that he drove the spear into the wall. David fled and got away.[15]

It may be plausible to assert that in this case Kuhnau attempts to say musically what he cannot with text, that Saul's malady is in reality incurable. He may have included the "cure" for any number of reasons. Perhaps one principal factor included the idea that Hollywood existed in practice long before movies, and that to some extent audiences demanded closure and a few happy endings. The case for this may be observed from the fact that although some Baroque operas truly ended in tragedy, the case for a macabre or ambiguous ending to a keyboard sonata may have been weak even in forward-looking 1700 Leipzig. Musical conclusions that leave the audience "wanting more" truly don't seem to surface until the piano Sonatas of Beethoven, as even Haydn's chromaticism-laden *Creation* ends with a triumphant C Major chord when there is "light". Another variable in these biblical discrepancies might have included the Hebrew sources utilized. Perhaps Kuhnau and the *Tanakh* used different primary sources to arrive at their translations, or it may be the case that despite Kuhnau's Hebrew proficiency, he was using a pre-translated biblical source. Moreover, research regarding the Hebrew language itself may have changed significantly over the last three centuries. While this author recognizes the speculative nature of these statements, it is interesting to note the

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[14] *Tanakh*, A New Translation Of The Holy Scriptures According To The Traditional Hebrew Text. Philadephia, PA: The Jewish Publication Society, 1985, p. 447.
[15] Ibid, p. 449.

degree of variety present in differently mediated biblical texts. This is especially true since differences in textual nuances combined with musical resources may yield somewhat divergent emotional responses.

The third sonata, "The Marriage of Jacob" also reveals an interesting subtle interpretative difference in bible translations that results in musical implications that seem significantly more direct than in the second sonata. This difference in sub-text involves Jacob's reaction to Laban's deceit upon realizing that he had married Leah rather than his intended bride, Rachel. The *Tanakh* contains the following text regarding the situation, which occurs in Genesis 29: 25: "So [Jacob] said to Laban, 'What is this you have done to me? I was in your service for Rachel! Why did you deceive me?' ".[16] Although there are exclamation points utilized in this text, Jacob's specific emotional reaction to the fact that he was tricked is somewhat vague in that the reader is left to contemplate a wide range of possibilities from perhaps mildly perturbed to extremely outraged. Kuhnau himself offers two different interpretations of the emotional content of the text, and provides the following *Midrash* in his introduction to the sonata:

> The good groom found it impossible to hide his anger. It seems to me as if I can hear him expostulate thus with Laban: 'Sir and father, does this mean keeping a promise, and are my faithful services thus repaid, so that instead of my beloved, who was promised me, a different person is smuggled into my bed, one whom I have never desired? this is not honest conduct; this is a betrayal, the infamy of which should be made known to all the world'.[17]

Despite the fact that Kuhnau alludes to Jacob's reaction as "angry" in his response to Laban's dishonesty, his actual title for the section of the sonata that represents this

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[16] Ibid, p. 45.
[17] Kuhnau, Johann. Six Biblical Sonatas For Keyboard. Kurt Stone, trans. New York, NY: Broude Brothers, 1954, p. 26.

scenario is “Jacob’s annoyance at the deception”. Hence, a disparity appears even within Kuhnau’s own commentary concerning this biblical anecdote, and the listener is left to his or her own devices to determine the extent to which Jacob is either “annoyed” or “angry”. Musical discernment of the difference between these two emotions might be somewhat treacherous in any age, and the fact that this disparity exists even in a keyboard sonata from 1700 certainly appears to suggest a conundrum that undoubtedly transcends musical naiveté to a significant degree. The music itself in this case offers little help in distinguishing “annoyance” from “anger”. The only “truth” might be that whatever emotion predominates during this brief section, it only prevails for eleven measures, when a rather cheerful, imitative conclusion suggests that Jacob has recovered from his ambiguous emotional state. Although this passage is extremely brief, this author asserts that in it Kuhnau effectively illustrates Jacob’s discontent. Melodically he aids this depiction through the use of an agitated motive consisting of three sixteenth notes followed by various longer notes. This motive first appears in the soprano voice of a polyphonic texture in the first measure. It appears a major second higher in the second bar, perhaps suggesting that Jacob is slightly more agitated. It is then fragmented, reappearing again in the soprano voice in bar 5, then moving to the bass in bar 6, returning to the soprano in bar 7 and moving again to the bass two beats later in the same measure. It then returns to the soprano in bar 8 where it is somewhat developed into a recitative-like embellishment perhaps indicative of a “final outburst”. This portion of the third sonata also contains harmonic motion that further suggests some degree of harmonic tension due to Jacob’s betrayal, but its Major key center, as well as its brevity, seems to represent the notion that Jacob’s behavior during this incident does not symbolize his

overarching personality. For Kuhnau even notes in his introduction to the sonata that "The gentle Jacob was easily won over again and persuaded…".[18] Despite its brief tenure, the harmonies Kuhnau employs during this tantrum are particularly noteworthy due to the fact that they are both functional (in depicting tension) and rather visionary as well. Once again Kuhnau wastes no time in prolonging a tense harmonic journey to distant realms, beginning with a G Major chord and then progressing to an A Major chord in bar 2, a B flat Major chord in bar 3, a C sharp minor chord in bar 4, followed by an A minor chord and a D major chord at the beginning of bar 5. The A Major chord is significant because it represents a secondary dominant if one believes that the excerpt remains in G major from beginning to end. Such a sonority was considered forward-looking well into the nineteenth century, and here it serves a function involving tension elevation due to the fact that it is placed in the context of chords utilizing step-wise harmonic motion. The B flat Major chord in bar 3 might be considered similarly daring due to its distance from G Major in its function as the flatted mediant chord. Moreover, consideration of the first eight bars in the temporary key area of A major would render this sonority the Neapolitan chord, which would also seem "modern" by late-baroque harmonic standards. Bars 6 through 11 also contain multiple diminished chords and secondary dominant sonorities as well as some irregular resolutions that also seem to highlight Jacob's uneasiness. Some prominent examples include the B dominant seventh chord to a C sharp minor chord in Bar 8, where in A Major the V/V chord ascends to the mediant sonority rather than the dominant E Major, and the D dominant seventh chord that ascends to an E dominant seventh chord in bar 9, where in G Major the dominant sonority ascends to the V/ii.

[18] Ibid, p. 26.

Perhaps the greatest degree of Kuhnau's evocative cunning occurs in the fifth sonata, entitled "The Savior of Israel: Gideon". The sonata involves Gideon's apprehension about G-d leading him to victory against the Midianites when his forces were vastly outnumbered. The *Tanakh* and Kuhnau both provide similar renditions of a particular anecdote in which Gideon demands that G-d provide very specific proof that G-d will ensure his success. The *Tanakh* account from judges 6: 36-40 exposes Gideon's interesting divine challenge:

> And Gideon said to God, 'If You really intend to deliver Israel through me, as you have said-here I place a fleece of wool on the threshing floor. If dew falls only on the fleece and all the ground remains dry, I shall know that you will deliver Israel through me, as You have said.' And that is what happened. Early the next day, he squeezed the fleece and wrung out the dew from the fleece, a bowlful of water. Then Gideon said to God, 'Do not be angry with me if I speak just once more. Let me make just one more test with the fleece: let the fleece alone be dry, while there is dew all over the ground.' God did so that night: only the fleece was dry, while there was dew all over the ground.[19]

It is precisely this paradox of dry vs. wet, and one fleece juxtaposed against the entire ground that Kuhnau artfully engages in the fifth sonata. It's beginning seems puzzling not for its harsh dissonances that seem visionary and far beyond there time (as in the case of the sonatas previously addressed), but instead on account of its unassuming nature. Why would a movement or section entitled "Gideon's misgivings about God's promise of victory to him" become manifest in a rather cheerful Major-Key triple meter dance-like tune with predominantly bearable harmonies? Certainly the listener would expect "doubt" to sound more similar to "anger" or "madness" if Kuhnau's application of

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[19] *Tanakh*, A New Translation of the Holy Scriptures According To The Traditional Hebrew Text. Philadelphia, PA: The Jewish Publication Society, 1985, p. 389.

diminished chords, harsh dissonances, and irregular harmonic progressions and resolutions was universally intended for all negative emotions. This is not the case, however, and the riddle is solved using the most subtle, nearly undetectable means. For at the beginning of the second half of the first section Kuhnau includes the Italian narration "lo prova in un altra manneria contraria". An approximate English translation indicates that in this portion of the sonata Gideon "tests in another contrary way". He then brilliantly uses the inversion of the introductory material as the basis for this entire section of the piece. The sonata begins with three F naturals in the treble clef that ascend to a G, A, and B flat before descending via the same pitches. The second section appropriately begins with the three repeated F pitches, and descends to an E natural, D natural, and C natural before returning by ascending via the same pitch path. Although the inversion cannot be considered completely perfect because the distance between F and G is a major second and F and E is a minor second, the fact remains that the contour of the line has been inverted and that despite this very slight intervallic difference the material is almost perfectly opposite, or more importantly, "contrary". Moreover, a comparison of bars 4 through 7 of the first half of the section and the same bars of the second half actually do contain perfectly opposite intervallic alignment. The passage in the first half of the section in measures 4 through 7 includes the transposition of the sonata's opening material by a major second higher. Three repeated G's followed by an A natural, B flat, and C before descending to B flat and A contain the same intervallic movement found in the second half of the section. Here, three repeated G's descend to an F natural, E natural, and D natural before returning by ascension back through the same pitches. Hence, the pattern of whole-step to half-step to whole-step in opposite directions

separates the two halves of the section, ingeniously illustrating the highly bizarre fleece and dew tests Gideon requests of G-d. This depiction is also striking because the second half of the section may simply pass the listener by on account of its boisterous, dance-like quality. Moreover, melodic inversions are most often seen and not heard, and in a sense this *augenmusic* indicates a high level of suggestive craftsmanship.

Perhaps in light of Kuhnau's innovative illustrative power there may yet be a case for further glances beyond "David and Goliath" and appreciation of his creative talent on account of its own merit rather than via comparison to J.S. Bach and others. For anyone willing to engage the challenge of suggesting a large emotional continuum on a keyboard instrument used in 1700 certainly had to have been an innovator, as even today emotional states such as "annoyance" and "doubt" are rather abstract, and as such their musical representation seems quite difficult and symbolic of tasks hardly appropriate for the "naïve".

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Hawaii International Conference on Arts and Humanities
Proceedings Submission

1. From Colonial Arteries to Beaten Paths: Sightseeing on the Scenic Highway
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6. Paper Abstract

My paper traces the continuities and discontinuities between old forms of colonialism and colonial travel and modern forms of imperialism and tourism in the age of globalization. Tourism today, with its regulation and control of the quotidian, is not merely a throwback to colonial or national projects of civil discipline, but rather a constitutive facet of postmodernity. Its different incarnations in the Philippines and Hawai'i link colonial technologies of discipline, control, and meaning-making to a modern nexus of rules and regulations that shape national, regional, local and individual bodies. As a response to Dennison Nash's argument about the imperial roots of tourism, my research seeks to complicate the outlines of his Marxist framework by looking at the uneven shapes and textures of what Amy Kaplan and Donald Pease have called the "cultures of United States imperialism"[i] in modern Hawaiian and Philippine tourism circuits.

Focusing on the beginning of the journey—with the infrastructures and discourses of roadways needed to "get there"—this paper looks at modern practices of sightseeing as mobile negotiations over representation, cultural imagination and difference. I examine the social texts of the scenic highway and the practices of sightseeing as sites of negotiation and struggle over mobility, representation, cultural imagination and difference. The first part of my paper looks at American road-building practices in the Philippines as they shaped colonial modes of mobility, control and seeing. Luzon's zigzagging Kennon Road, originally designed and built to open up the colonial dream resort of Baguio in the cooler mountains for the colonial elite of the Philippines, stages on its sinuous uphill climbs the shifting relations of labor and capital that characterize contemporary leisure's interactions. The second part of my paper examines the struggles over roads in Hawai'i, and how the practice of sightseeing on different kinds of roads are structured by colonial and military modes of knowledge. Maui's Hana Highway, an old plantation road turned scenic "must-do" drive, enables modern tourists to penetrate the hotel and shopping plaza jungles and reach the ostensibly authentic, natural and ethnic Hawai'i. In these processes of seeing and being seen, of embodying different kinds of mobility, meanings about race, gender, class and mobility are fleshed out, and the scenic highway becomes an arbiter of meaning that draws on a familiar colonial lexicon. Finally, I consider how touristic practices shapes meanings over race, class, gender and other modes of difference in these mobile and commodified circuits, and how tourism's postcolonial subjects play with, struggle against, and deploy these meanings in multiple, complex, and contradictory ways. How are particular global and cosmopolitan citizens and non-citizens produced in these spaces? What are the technologies and social forces that produce them, and at what costs are their different mobilities obtained? Part of my

project is to theorize how these subjects exceed and transform the conditions and social mechanisms that produce them, and toward what ends.

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[i] Nash, Dennison. 1989. "Tourism as a Form of Imperialism." In *Hosts and Guests: The Anthropology of Tourism*. Edited by Valene L. Smith (second edition). Philadelphia: University of Pennsylvania Press. *Cultures of United States Imperialism*. 1993. Edited by Amy Kaplan and Donald E. Pease. Durham and London: Duke University Press.

Title of Paper

Teaching Ecocide: Junk Science and the
Myth of 'Premature Extinction' in Environmental Science Textbooks

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Teaching Ecocide: Junk Science and the Myth of 'Premature Extinction' in Environmental Science Textbooks

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Keywords: Environmental Justice, Junk Science, Textbook Bias, Premature Extinction, Endangered Species, Environmental Science, and Environmental Education

This paper explores the changes in science textbook phraseology with respect to endangered species conservation, and the resulting ramifications for pedagogy, environmental science, and the societal valuation of at-risk species. As such, this paper serves as a case study of how politics may be attempting to control curricula. Specifically, this paper examines the phrase "premature extinction" which has recently entered the academic vernacular. This peculiar expression seeks to describe, and perhaps to rationalize, the phenomena of species extinction resulting from human impacts to ecosystems. The origin of this phrase is found with certain policy analysts and conservation biologists who contend that the debate over endangered species must take into account the natural "background extinction rate" for all species. Simply stated, the argument is that all species face extinction, and moreover that all species will, in time, become extinct. Therefore, it is reasoned, humankind is only *hastening* the extinction of endangered species. This paper contends that a hidden political agenda is now being actively taught in environmental science classrooms through this scientifically unsupportable euphemism. By exposing and removing this covert bias, this paper hopes to restore environmental science education back to its proper expression as an unbiased agency of normative instruction.

The benchmark of environmental science textbooks for high school and first-year college students is arguably those prepared under the direction of G. Tyler Miller, Jr. This series has long been the standard for introductory environmental science education, and the primary text, *Environmental Science: Working with the Earth*, is in its Tenth edition. But a most curious change in terminology has crept its way into its pages and has thus far gone unnoticed within the critical pedagogy and environmental science communities.

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A strikingly example of this subtle alteration is found in a particular graphic used to augment the textual narrative on endangered species. The 1995 version (Fifth Edition) includes on page 453 Figure 17-6 which is entitled "Some species that have become extinct largely because of human activities, mostly habitat destruction and overhunting." The accompanying picture depicts various animals, such as the Dodo bird and the Passenger pigeon, all of which are now extinct (see also Miller 1996, 639, and Miller 1997, 433). The same graphic also appears in the 2004 version (Tenth Edition), this time denoted Figure 18-2 and appearing on page 449. This recycled drawing from the earlier editions appears only slightly different, updated with more vibrant colors and the addition of some landscape features. The real change however is in the underlying text, which now reads, "Some animal species that have become *prematurely* extinct largely because of human activities, mostly habitat destruction and overhunting" (emphasis added). This is a most peculiar caveat to add, as the modifier 'prematurely' is wholly unscientific.

At face value, the adverb 'prematurely' implies that such creatures were somehow predestined to die-out, that humankind only hastened their removal from the evolutionary stage. And so, rather than being portrayed as something tragic and preventable, the phrase 'prematurely extinct' instead insinuates that their deaths were inevitability. This is a substantial change from the earlier editions. Now the shocking reality of entire species being exterminated by human capriciousness has been rationalized away. As such, this one word threatens to undermine the entire debate over protecting critical habitats needed for endangered species, because they too are portrayed in these textbooks as being threatened with premature extinction (see, e.g., Miller 2004b, 564-565).

This recent alteration in textbook terminology has nothing to do with normative science; the phrase is wholly subjective, and its only aim can be to manipulate of classroom values. Curricula are at the forefront of socialization and society's effort to educate students into being fully functional and conscientious citizens. This change has to therefore be interpreted as an attempt to influence public discourse and societal values as a whole, or as a terrible and poorly thought-out editorial comment missed during quality assurance reviews. In this, it is noteworthy that the lesser-known environmental science textbooks, competitors to the preeminent G.Tyler Miller, Jr. series, do not include the phrase "premature extinction." These texts faithfully present only the normative science (see, e.g., Kaufman and Franz 2000, Marsh and Grossa 2002, and Botkin and Keller 2003). Accordingly, whether this change is intentional or just an editorial oversight, it is now necessary to present an analysis of the science and (potential) politics behind this insidious phrase, as this textual alteration has serious repercussions for environmental education.

Evolutionary Science and Extinction

Mark Sagoff (1999) argues that over 99% of all life that have every existed is now extinct. Any good natural history museum will bare testimony to this truth. It is here you can find bizarre experiments in evolution on display. Their crude prehistoric anatomies in skeletal abstract form colonnades along the museum walls, and chandeliers of bone hang from the ceiling on wire. Each corresponds to an evolutionary failure. These bygone monstrosities were all out-competed (in the Darwinian sense) by more advanced, better-adapted, or just plain luckier creatures in the slow procession of time that leads to the present day. In the words of Holmes Rolston III (1987), "life is advanced not only by thought and action, but by suffering, not only by

logic but by pathos" (144). The natural history museum is a fitting memorial to this cruel truth. From such empirical evidence it is easy to conclude that humankind is alone at the true spearhead of evolution, the pinnacle of adaptation and perfection. Such displays of fossilized bone and petrified wood could very well be perceived as trophy cases testifying to our evolutionary success. Extinction, it would seem, is both inevitable and natural. At least that is how certain environmental policy analysts such as Mark Sagoff would have us believe.

The figure cited above, that over 99% of all life that has ever existed is now extinct (the percentage most often cited is 99.9%), is badly misleading. Global biodiversity has remained relatively constant for the last 570 million years (excepting, of course, during the Cretaceous, Permian, Devonian, Ordovician, and Cambrian mass-extinction and subsequent re-speciation events). The cyclic return to a stasis of comparable species richness across the surviving taxa, versus the total biodiversity that existed before, is referred to as the phenomena of punctuated equilibrium.[2] Simply stated, throughout geologic time, biodiversity has remained relatively constant, yet at the same time only 0.1% of that life remains. But how can both statements be true? First, it must be realized that evolution is not a game of elimination. Billions of different types of creatures did not emerge from the primordial ooze with only the top tenth of a percent still surviving today. Rather, the 99.9% of lifeforms that no longer exist did not, in fact, all become *fully* extinct. Here is the key to this puzzle: many of these ancient creatures disappeared from the evolutionary stage by evolving into something else.

This is the first important distinction to be made. Germline extinction (also known as clade extinction) is the death of the entire genetic legacy of a species. This is contrasted by the

[2] Punctuated equilibrium is an essential concept for environmental science education. However, it should be noted that there is a competing theory, called 'gradualism,' which is based on estimates showing global biodiversity steadily *increasing* over the last 500 million years despite the periodic mass-extinction events referenced above (see, for example, McMenamin and McMenamin 1994, 17). Both theories support the arguments presented herein.

phenomena of directional selection (also known as pseudo extinction or chronospecies extinction), which is when a creature becomes a new species as a result of environmental or *inter-* / *intra-* species pressure. In both cases the original plant or animal disappears from the face of the earth; in both cases that original species can be said to be extinct. Germline extinction, however, represents the death of that species evolutionary history – that particular genetic lineage has come to an end. While in the case of directional selection, the lineage of the progenitors lives on in the newly emerged species, the successors to their ongoing epigenetic heritage.

To fully convey this distinction to a non-scientific audience, an analogy to an anthropomorphic example is often helpful. So imagine a family tree. Now if all the male descendents of a certain founding patriarch die due to some tragedy before another male heir is born, that family name will also die-out (germline extinction). There will be, let us say, no more Billington's of New England to carry on that family's rich history and tradition that dates back, let us also say, to the time of the Pilgrims. That great family name will disappear into history, and the Billington's will never more play a part in the unfolding history of New England. However, let us imagine that a Billington daughter (the first to be born to a Billington) survives to marry the distinguished son of another family. Her children would inherit a new family name. There would still be no more Billington's, but the genetic legacy from her side of the family will live on in her children (directional selection). Likewise, if two daughters survive to marry and have children, two new family trees will be created through their husbands (who would be the founding patriarchs of a new germline). Though rudimentary with respect to the complex biology of evolution, the scientific 'laity' can think of the extinction and establishment of new family names as a good proxy for how new species have emerged in evolutionary history.

For a better and specific biological example, we have to look no further than to Charles Darwin. His fame comes from observing that the finches of the Galapagos Islands were somehow related to a particular South American finch species (*Volatinia jacarina* or a close relative of this species) yet no South American finches remained on Galapagos. This mystery spawned the theory of descent with modification. Looking back on his findings, it can now be said that the South American finches had been extirpated (a geographically localized extinction) from Galapagos. But they were not actually gone. Again, this is the key distinction. While they were no more South American finches left after a (yet unknown) number of generations once they had become stranded on the islands, the descendents of these finches still survived. Through directional selection, the progenitor finches became thirteen (13) new species of finch, all different from one another and all distinct from the original South American finches. This is how evolution works to maintain biodiversity.

Because of this, it is also true to say that the dinosaurs never really became extinct. Their distinct anatomical homologies are preserved in all modern bird species. An American bald eagle is a Tyrannosaurs Rex in feathered miniature (both share a distant blood-relative as a common ancestor). Likewise, the Galapagos finches have the epigenetic heritage of dinosaur DNA at their disposal. Perhaps this helps explain why they are such consummate survivors. This point is, again, extinction may not *really* be extinction at all, but rather evolution producing a new form of life from a less well-adapted predecessor.

And so, to reiterate the key points, if 99.9% of all lifeforms that ever existed were truly extinct, then the earth would have very few species indeed. But there is around 10 million, and possibly as many as 50 million different kinds of species of alive today – roughly the same in geologic ages past. This signifies that with each germline extinction there has been a directional

selection to take its place, either occupying its predecessor's former environmental niche or finding a new niche that has emerged in response to changing environmental conditions. Now we arrive at the final thrust of this line of argument. The extinctions caused by humankind, such as with the aforementioned Dodo bird and the Passenger pigeon, are all *germline* extinctions. Their deaths did not result in natural directional selection in response to changing environmental conditions. This was instead the indiscriminate elimination of entire genetic lineages based merely upon economic expedience. By way of another rough analogy, the human impact on nature is comparable to a Mafia "hit" which executes every last man, woman, and child at a family reunion, leaving no heirs to that family name. Such was the fate of the Dodo bird and the Passenger pigeon.[3] Nothing *natural* (i.e., in accord with the evolutionary history of the planet prior to human dominance) can be claimed to explain away their capricious and complete extermination from the face of the earth. To contend that these were somehow 'premature extinctions' seriously misrepresents the true science. Such unsupportable and disreputable rhetoric has no place in environmental education. It is junk science at its worst.

Anthropocentric Impacts upon the Background Extinction Rate

Pimm et al. (1995) determined that each species has lasted, on average, 100,000 to 1 million years before becoming extinct (1 to 0.1 extinction per million species years) by examining the geological record. Of course, there are examples of species that long out-live this average lifetime such as Devonian-age sturgeons and the primordial blue-green algae which is at least 3.5 billion years old, and very well may have been the directional selection source for all

[3] Some contend that over-hunting simply lead to a decrease in the population of these species to a level below the 'minimum viable population' needed for survival, whereupon the *coup-de-grace* came from disease, insufficient genetic diversity, and/or invasive exotics overtaking their niches. Such nuanced distinctions, however, do not counter or mitigate the true precipitating cause for their germline extinctions: human capriciousness.

life on the planet. These incredibly primitive creatures refute the widely held non-scientific belief that evolution always favors anatomical and cognitive advancement over comparatively more primitive species. Even in archaic physiology evolution has perfected their ecological adaptations. Despite being in the midst of more complex and sophisticated species, the older was not rendered obsolete. But these so-call "ancient relicts" (Holdgate 1996, 415) are exceptions to the evolutionary rule. Thus, we arrive at this overall average for all lifetimes, which Pimm and colleagues used to estimate that approximately one (1) species per million species naturally becomes extinct each year.

The probable total number of species is far higher than the documented number, and the current estimates range from 10 million to 50 million, or even more (see May 1988; Wilson 1992), with a possibility of as much as 80% of all species being insects (Erwin 1997). So, multiplying the average against the total, this equates to approximately ten (10) to fifty (50) species that *naturally* become extinct each year. Using the more conservative estimate, about eight (8) insects plus another two (2) species from the collective plant and animal kingdoms become extinct each year. This is called the 'background rate' of extinction, which is the natural rate before considering human impacts to ecosystems. Again, by background rate of extinction it is meant that these species either died-out completely, or became something new. The ten (10) annual species extinctions must also be measured against the 10 million species in existence at any given time. Natural extinction is an *exceedingly* rare and improbable event – literally, it is only a one-in-a-million chance.

Yet despite these near impossible odds against natural species death, the current rate of extinction is now 1,000 to 10,000 times the background rate (Miller 2004a, 453, see also Pimm

et al., 348-349).[4] This translates to a figure between 10,000 to 500,000 species per year that are now becoming extinct, instead of the ten (10) species naturally. The underlying cause for this extreme increase is simple: humans. What is worse, these anthropocentrically induced extinctions are all of the germline variety. Even worse still is that plant and animal species (particularly top predators) are being disproportionately killed-off by humankind usurping terrestrial ecosystems for economic development. Yet the gravest consequence from our economic activities, however, is that new species are not adapting through directional selection to take the place of these extirpated species (in many cases, the niches are taken over by invasive exotics introduced by humankind). The combined effect is that overall global biodiversity is declining *drastically*. It is estimated that 20% of life on the planet will become germline extinct by 2030, and half the life on the planet will be gone by 2100 (Miller 2004a, 453).[5]

The phrase 'premature extinction' conceals all these tragic realities behind a façade of naturalistic inevitability. But the harsh truth is ecocide, the capricious destruction of lifeforms throughout the biosphere by humankind. One has to wonder how such a peculiar and non-scientific term entered the academic vernacular.

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[4] This paper is careful to include the very G. Tyler Miller, Jr. textbook being critically reviewed as a source of this central figure. The Miller series, in this author's opinion, was deservedly a leader in environmental science textbooks for their thoroughness, clarity, and conscientious presentation of the oftentimes complex scientific findings. And so, while the relevant information is still present in the Miller texts for educators and students, the science is superseded by the caveat "premature extinction" which denotes an opposite conclusion to that which would be logically induced from the objective data. As such, "premature extinction" is a rhetorical trope aimed squarely at the preservationist movement. Though unstated in the text itself, this salacious phrase effectively undermines the effort to preserve endangered species, as this would necessarily have to be perceived by students as an irrational attempt at trying to prevent the inevitable, a fight against nature itself.

[5] Thomas et al. (2004) reports extinction rates ranging from 18% (best case) to 35% (worst case) by 2050 from climate change alone.

Political Trends in Conservation Biology

A recent paper discussing the ecological significance of biodiversity (Holdgate 1996) defines the value of species in terms of ecosystem function, suggesting that the loss of biodiversity can in some cases be absorbed by the "functional redundancy" of species. Holdgate further contends that it is "scientifically untenable" to claim that all species must be saved from extinction for resource policy to be considered sustainable (415). Such conclusions reveal a utilitarian ethic that has emerged in the now ironically named science of conservation biology. Species tend to be seen only in terms of their potential value in ecosystem services for the benefit of humankind, not their intrinsic or existence values. This is a consequence of the New Perspectives ecosystem approach used by Federal agencies for the management of public lands and the conservation of endangered species (see Kessler et al. 1992, Salwasser 1999). The New Perspectives program is cloaked in New Age buzzwords that seek to quiet environmental concerns, such as the phrase "holistic resource management" (Salwasser 88). Yet the term 'holism' is not meant as a measure of the ecosystem's overall health (as may be inferred by the connotations of this word), but rather that humankind's economic stakeholders are to be included in all decisions involving natural resource policy, including designation of critical habitats for the protection of endangered species. Wilderness preservation, biodiversity, and economic gain have become competing anthropocentric values to be balanced by resource managers for areas without the protected habitats needed by at-risk species. Yet alarmingly this balance is not being maintained, and endangered species under the New Perspectives program are four times more likely to exhibit a declining status and to be headed for germline extinction than species under traditional 'non-holistic' approaches (Boersma et al. 2001). This is another example where carefully crafted nomenclature hides the true reality. Therefore, the term 'holism' in relation to

ecosystem management has to be construed as a conscious effort at public deception through manipulating of the terms of discourse. In a battle of words, no one could possibly be against in *idea* of holistic ecosystem management. Only later is it revealed that the reality is something completely different. Still, it is with the tools of rhetoric that public opinion can be swayed, and this is how the New Prespectives program came to be adopted by Federal agencies.

Conservation biology, in seeking to preserve its status as a normative science, has embraced an economic and utilitarian ethic in the consideration of the value of endangered species. But strict reliance on economic analyses introduces a bias in favor of development, and indeed necessitates that environmentally sensitive areas undergo economic improvement for societal benefit (Sagoff 2000). Moreover, in 1999 Sagoff further challenged the seemingly self-evident principle that protecting native species is an environmental "good." Instead, Sagoff argued that invasions of exotic species into pristine ecosystems caused by humankind are just as natural as our excursions into these areas. And though he admits invasive exotics may lead to the extinction of native endemics, he is quick to mention (as already discussed) that over 99% of species that have ever existed are now extinct. For Sagoff, extinction is a natural consequence of healthy evolutionary competition (see also Fitzsimmons 1999, 129).[6] He even goes as far as to

[6] Such a position is philosophically inconsistent. First the phrase 'premature extinction,' for it to be scientifically legitimate, must differentiate a known phenomenon. So, what could this phrase distinguish from other extinctions – are there, for instance, overdue extinctions or timely extinctions which science can identify? If so, horseshoe crabs (*Limulus spp.*), which have been around for 500 million years, would seem to be long overdue for extinction. Does the presence of these achronisms, therefore, point to an evolutionary oversight requiring correction by human intervention – the counterpoint to the premature extinctions caused by humankind? Facetiousness aside, there is obviously no such phenomenon of overdue extinction, and consequently no premature extinctions either. There is only the average for species lifetimes identified by Pimm et al. in 1995. This normative fact also helps to reveal a second philosophical flaw of this argument. The phrase 'premature extinction' necessarily places humans outside nature. The only extinction that could be premature (i.e., not in accord with natural extinction) would have to be caused by an external agent. To wit, all extinctions occurring *within* nature would be neither premature nor overdue: they would simply be extinctions in accord with the natural background rate. The concept of premature extinction is therefore self-refuting. To digress further into environmental philosophy would not be germane here. The point was to show both the scientific and philosophical incoherence of this phrase, not to offer a full treatment of the question of whether the human species is still an integral member of the biotic community even though we are virtually immune to the environmental constraints that shape the population dynamics of all other lifeforms in nature.

suggest that if society wants to control invasive exotic fauna populations, such as the European green shore crabs (*Carcinus maenas)* and the Asian rapa whelks (*Rapana venosa*) infesting North American waterways, that "executive orders may be less effective than [distributing] recipes" and a better use of public funds. Preservation, even in the name of the public good, is simply not an *economically* justifiable option (Sagoff 2002).

While Sagoff is perhaps unparalleled in his ability to twist environmentalist logic to support the anthropocentric agenda, what is most fascinating, and disturbing, is that such obviously prejudiced arguments against environmental causes are taken more seriously in the public forum than the preservationist counter-arguments proffered by philosophers and deep ecologists. The mainstream scientific, economic, and policy analysis studies have deliberately circumvented any mention of intrinsic value or biotic rights in their published papers, either out of disdain for such perceived sentimentalism, or fear of being summarily discounted by their critics (see Herrick and Jamieson 2001). Yet this is clearly a bias. The public debate has not been resolved, and important stakeholders are now being increasingly excluded. Bill Devall, for example, has urged that natural areas should be set aside for "future generations of all creatures, rocks, and trees," not for anthropocentric uses. Deep ecologists Arne Naess and George Sessions also argue that natural areas must be considered "independent of the usefulness of non-human world for human purposes" (Nash 1989, 149-150). Yet none of these counter-arguments are being represented in the scientific papers submitted to policy makers and legislators. Instead, the conservation biologists are tacitly, and at times explicitly, advocating further ecological degradation under the guise of 'holistic' ecosystem management and so-called conservation.

Conclusions and Recommendations

It is not argued here that philosophical opinion be taught in science classrooms. Such comments are made here to illustrate how the phrase 'premature extinction' is now at the apex of the debate between two opposing camps, just as the related phrase 'holistic resource management' was beforehand. The Miller textbooks are now clearly showing partiality to one side of the debate, while marginalizing the other. The textbook *Living in the Environment* (Miller 2004b), for example, has a chapter entitled "Sustaining Wild Species" which is pervaded with the term 'premature extinction' to contextualize the information therein, but only provides brief mention deep ecology philosophy, which has been relegated to two pages in the very last chapter (745-746). Educators know very well that that the last chapter in any textbook is seldom reached in any given semester. The alarmingly scant information on these two pages may have just as well been left out entirely.

It is the position of this paper that environmental science education must be restored back to its proper expression as an unbiased agency of normative instruction. To do this, the phrase 'premature extinction' needs only to be eliminated from textbooks and curricula. The real science will speak for itself. With regard to the larger debate being waged between deep ecologists and those who argue for unconstrained anthropocentric entitlement, these issues can be addressed in a Liberal Studies Colloquium, an Environmental Philosophy, or any other elective directed to such aims. The point is, again, that a *science* course must be free of hidden prejudice and political agendas, especially those purported as scientific fact. Action should therefore be taken to eliminate any science textbook that includes the phrase "premature

extinction" from the classroom. Any of the other comparable environmental science texts mentioned herein can be used as a suitable replacement.

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Title of Paper

The Nature Of Faith: A Defense of Rationalist Knowledge in an Age of Scientific Empiricism

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THE NATURE OF FAITH: A DEFENSE OF RATIONALIST KNOWLEDGE IN AN AGE OF SCIENTIFIC EMPIRICISM

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Scripture declares that faith is the essence of things unseen (cf. Hebrews 11:1). However, for a significant number of people today, this description of faith places it squarely in the realm of the absurd. Scientism, a worldview based upon empirical science, has emerged to challenge such claims of a supernatural reality, and has successfully established itself, more or less, within the popular consciousness. Even theologians such as Arthur Peacocke (2001) concede that there has been a "collapse of credibility of all religious beliefs," that Christian doctrine has failed "to meet the normal criteria of reasonableness, so strongly present in the practice of science" (p.12). Only those truths that can withstand the scrutiny of the scientific method are deemed wholly trustworthy. Under the onslaught of such opinions, God appears at risk of becoming an abstraction, only a psychologically amenable word used to describe coincidental occurrences in a profane world controlled by impersonal mathematics. So what then is the value, if any, of theological doctrine derived from pure ratiocination in light of a reality that has come to be defined by empirical facts? The nature of faith lies at the convergence of this conflict between science and religion.

The Science of Memetics

An interesting outgrowth of the philosophy of scientism has been the advent of memetics, a pseudo-science based upon Darwinist theory. Memeticists, as they are called, attempt to explain the origin and ongoing manifestation of religious beliefs (et al.) by claiming that a sociological phenomenon called "memes" propagate through civilizations like self-replicating

biological genes, or (employing another analogy) virus-like contagions (see Dawkins 1976; Lynch 1996; Blackmore 1999; Poulshock 2003). As religious beliefs do not appear to correspond to any scientifically empirical reality, some memeticists have concluded that religious memes are inherently maladaptive; their only purpose seems to be to reproduce in the minds of new religious converts and indoctrinated children, thereby continuing to thrive in society despite "being untrue, ugly, or cruel" (Blackmore 203).

If nothing else, the pseudo-science of memetics stands as a classic example of scientific inductive reasoning to a general hypothesis to explain phenomena. The problem arises with respect to empiricism, in that neither God nor a 'meme' can be detected in a laboratory. Still, memeticists seemingly have the upper-hand in this debate, as the explanation of religion being contagious ideas (spreading like a computer virus to impressionable minds not protected by an atheistic firewall) places the phenomenon wholly in the natural world; it is an explanation that does not require the supernatural to describe religion. Notwithstanding, memeticists utilize a notably unscientific and rationalist approach: reasoning by analogy. Memetics also fails the scientific test of not providing the simplest explanation for phenomena (Aunger 2002, 22). The more serious problem, however, is that memetics does not meet the scientific requirement of falsification; objective critical analysis is not possible as memetic theory can only be tested within its own circular logic. As such, while a true scientist only seeks to describe phenomenon, memeticists explicitly advocate a particular way of interpreting reality. For some, this advocacy is for the benign purpose of casting the theory of knowledge in Darwinian terms, thereby providing a useful sociological tool for understanding culture. For others, however, the intent is to support an atheistic agenda. Yet the attempt to explain religion as only a psychological contagion – a contaminant in the sociological clockwork of society – not only reveals a marked

bias, but it is also a position which is philosophically flawed. To wit, if religion did not have a basis in a true metaphysical reality, then per Darwinist logic, it should have been eliminated through natural selection, as only real factors can shape the evolution of species (Poulshock 787).

Moreover, history has shown that for scientifically inexplicable reasons the atheists have not been able to overthrow their 'deluded' brethren. While this argument is rhetorical in nature, the truth is still evident that the earnest and exemplary effort of communism failed to exterminate religion in their societies. Similarly, the cold pressing reality of a godless world should have been able to break the faith of the Jews in Hitler's concentration camps. But while there were those who lost their faith, and atheistic others who out of situational necessity came to embrace religion, the percentage of Jews with faith upon entering the camps was comparable those who survived (Brenner 1980, 100). Logically speaking, and if the arguments of memeticists were true, Hitler should have been able to crush the Jews, but their *spirits* emerged unconquered. Naturally, these two anecdotal examples cannot, in a strict scientific sense, serve to wholly dispel the atheistic agenda of memetics. Still, they provide powerful testimony that the anti-empirical metaphysical truth at core of religious faith cannot be dismissed so easily.

Framing the Debate

The pseudo-science of memetics illustrates that advocates of strict scientism face one undeniable problem: religion exists. It always has in one form or another, and by all appearances, it always will. This is indeed a problem for scientism, as it cannot prove that it does not exist, only that it shouldn't – a much different challenge altogether. The crusaders of scientism try to circumvent this problem by changing the focus of the debate. Religious beliefs, it is claimed, must be tested per their criteria, namely to produce non-subjective and empirically

verifiable proof of God via the scientific method. But is this insistence of scientism fair and valid? Obviously, trying to prove the supernatural through empiricism is an exercise in futility. It seems just as reasonable to insist that scientists should try to prove that God does not exist using only theological arguments. The parallel is stark, and its lesson cannot be dismissed as rhetoric. It is a subjective assertion and an unproven hypothesis that science has exclusivity to ultimate truth (Stratton 2000, 36-42). A more proper question to ask is by what trustworthy means can the supernatural be determined, rather than biasing the experiment to yield the results the scientists want and expect. But first, before that question is addressed a deconstruction of science must be preformed to reveal its inadequacies to serve as a basis for a worldview.

The Limitations of Scientific Truth

The legacy of Newtonian physics is the perception that all experimental outcomes are the result of measurable forces and identifiable interactions of discrete bodies within the real world. This stood as a universal truth until problems arose in trying to describe light, gravity, and the nature of sub-atomic phenomena. Quantum mechanics then emerged to address these issues, a science that combines mathematical postulation and indirect observation in order to examine objects not directly discernable. However, while great advancements have been made in understanding the quantum fabric of the universe, disturbing paradoxes were also discovered that no tool of mathematics or scientific inquiry will ever fully resolve.

The penultimate example of this scientific limitation is the contradictory nature of light, which exists as both discrete particles and waveform energy. However, these descriptions are proxies for the underlying reality, not the reality itself (Schaible 2003, 34). This is to say, light and other quantum phenomena exhibit the *characteristics* of waveform energy and particles, but

this does not equate to proof that these phenomena exist as either or both. Physicist John Bell admitted in a interview that "in the case of wave mechanics we have no idea what is waving … and do not ask the question" (p.33). By this he meant that in traditional wave mechanics, the waves are propagated in a medium such as water or air, but as there is no evidence of sub-atomic ether, the quantum 'waves' cannot be actually present. Yet paradoxically, the phenomena demonstrate the same mathematical properties of waves (interference and amplification). The simultaneous particulate nature of the quanta is also a mathematic inference based upon the measurable interactions of what are thought to be particles. But, again, there is no direct evidence of actual particles. Both the waveform and the contradictory particle characteristics are mathematical postulations to explain the phenomena, at least in part, and under certain conditions. The true nature of the quanta (or, more precisely, that which is thought of as quanta) is not knowable by such means.

Further confounding this impossible dualism and the search for an objective reality is that science has revealed that the observer somehow impacts upon their experiments. A classic example of this is the famous "delayed choice experiment" in which a photon laser is directed at a beam splitter to force the photon to make one of two choices: (1) to manifest as waveform energy and travel in both directions, or (2) to become a particle and travel in one direction only. After this 'choice' is made, the photon travels along a path until it hits a switch where it is either sent to a particle detector, or to a phosphor screen where it can exhibit classic waveform properties. If the experiment is set up to detect particles (i.e., the switch is set to send the photons to the particle detector), it will invariably detect a particle. Likewise, if it is set up to detect waveform energy, it will instead find evidence of waves. The paradox arises when the switch is thrown *after* the photon encounters the first beam splitter, yet it still manifests the

reality dictated by that switch. This signifies that the photon must have foreknowledge of the final position of the switch *before* it 'decides' whether to become a particle or waveform energy at the first beam splitter, a temporal impossibility. Scientists have not been able to provide a satisfactory explanation for this paradox (Schaible 2003, 28).

Such experiments reveal that the quantum world, the underlying fabric of our existence, is not only stranger than can be imagined, but inextricably entwined with the experimenter. So while the phenomena are real, the scientists become a part of their own experiments. This is incontrovertible proof that an objective reality independent of human agency does not exist. Post-modernists claim that it is an unproven "ontological thesis that there is a single, objective, structured reality independent of human thoughts and actions" (Tomlinson 1989, 45). Unwittingly, quantum science has proven that claim to be true. So while it may bring a sense of 'memetic comfort' to believe that there is a single objective empirical truth underlying all of reality, such quaint notions are scientifically untenable.

Neuroscience & The Emergent

In his book, B. Alan Wallace wrote, "strictly speaking, at present there is no scientific evidence even for the existence of the consciousness. All the direct evidence we have consists of nonscientific, first person accounts of being conscious" (Wallace 2000, 3). Neuroscience and the science of psychobiology circumvent this problem by *assuming* that it does in fact exist, and then go about studying it as scientifically as possible. This ingenious technique allows for the scientific study of the human consciousness, and has given rise to the concept of supervenience, a theory which states that certain properties (such as consciousness) emerge from the complexity of the brain rather than from discrete and identifiable neural processes (Oomen 2003, 379-80).

This theory explains why identical brain physiology (most clear in the case of identical twins) produces different personalities – just like the differential organization of the same notes of music produces different melodies (pp. 379-80). The advent of these brain sciences illustrate that the traditional use of reductionism fails to account for all aspects of reality in the natural world, including the most obvious of all, human consciousness. Complexity eludes controlled experiments seeking to isolate casual factors. The necessary bridge over this gap in scientific knowledge is supervenience, a theory that allows science to transcend itself, thereby permitting it to study a very real element of the natural world. While ironically memetics is an outgrowth of this theory, the idea of a real foundational cause for experiences of the Divine (perhaps existing as a metaphysical phenomenon emerging from the complexity of natural world) is considered preposterous by the mainstream scientific community.

Interactions of the Spirit World

Now back to the argument that religion must prove itself on battleground of science, the key question is how can God manifest His[1] power if in fact He does exist? Theologians have responded by setting forth two models: *Deux ex machina* (God of the machine), and the so-called "God of the gaps." The first postulation appears to exclude God from interfering with His own creation, while the second marginalizes God to an ever-shrinking realm of influence, a theological model where God's powers inexorably diminish as science closes the gaps in our

[1] The use of the masculine pronoun for God in this paper is not to reinforce a patriarchal model for God's Person, nor to presume the Divine is in fact engendered. The central dispute in the 'religion versus science' debate is not over issues of an anthropomorphized God, but God's very existence. This outdated pronoun convention (i.e., the "blustering He" [Keller 2003, 172]) is only used here to show deference to the traditional idea of an *omnipotent* God within Judeo-Christianity, to which this paper argues. The allusion to the traditional model of God through use of the masculine pronoun, rather than employing the "hiccupping S/He" convention (p.172), was therefore deemed appropriate within the specific and limited context of these arguments directed against scientism. Yet it must be acknowledged that, with a nod to feminist theology, a God of Creation bringing forth all life from the depths of 'tehomic' possibility is more properly portrayed as the "wishful She" (p.172).

knowledge about the natural laws controlling the universe. Such feeble assertions of God's supremacy reinforce the impression that the advent of science heralded a grand new era of human empowerment, freeing us from the curse of religious superstition.

For theists in a scientific world, it would seem that the once omnipotent God of Genesis has been left to only spin quanta, and to perhaps (on rare occasions) create cascades of cumulative effects to meekly manifest His powers, but never so much as to lose His anonymity in the process. It is even worse for theological constructs such as a soul, demons and angels, or for the hope of a heavenly afterlife. There are no identifiable gaps in which such concepts can hide. Their only chance seems to be banishment to the surreal hypothetical existence of parallel universes, and/or the undetectable dimensions beyond space-time. The traditional idea of a God in Heaven is becoming more remote and even less real than the idea of quarks controlling the universe. Again we arrive at the claims of memetics, that all of religion amounts to just shared sociological delusions. The charge is made once more: where can God hide if it is not behind Hinesburg's uncertainty principal, or within some other unclosable gap in quantum mechanics?

The Problem of Subjectivity

Religious experiences are inherently subjective. The only evidence for the existence of the Divine is first-person testimonials. Witnesses to such testimony can only draw upon their own life experiences, judging them to be either genuine or delusional based upon their own subjective judgment. So while an atheist will certainly dismiss a reported claim of supernatural power interacting with their life, a religious person may regard it is genuine if it appears to mirror his or her own experience with the Divine. Such is the nature of subjectivity. But this

problem is not limited to interpretations of claimed Divine intervention, or the aforementioned problem of emergent human consciousness, but also extends into philosophy of science itself.

Quantum science has proven that there is no independent objective truth, at least at the level of the sub-atomic. This scientific finding appears to support the post-modernist claim of the inherent contexuality of all knowledge. Such declarations, however, have produced a discernable loathing from some scientists toward post-modernism. Theologian and biochemist Arthur Peacocke (2001), for his part, refers to post-modernism as a "poisoned chalice" for public discourse between science and religion (p.21). The post-modernists response is that the declaration "science succeeds" is not definitive proof that it has discovered singular objective truth, as many different accounts can be given for that same phenomenon (Tomlinson 1989, 50).

This dispute is not new. It is an actually a very old argument which has its origins in a problem that bothered Rene Descartes, the clock at Strasbourg (Schoen 2002, 556). For Descartes, this clock became a symbol for nature's hidden processes, as he realized that a person could rationally deduce the workings of the internal mechanism of the clock through external examination, but they could not exclude other equally valid rational explanations for those same processes (p.556). The true reality of the clock's workings may in fact be wholly different than any theory set forth by the best scientific minds, even if such postulations accurately describe the observable movements of the clock's hands. Post-modernists carry Descartes' concerns forward to the present debate, and defend this unavoidable potentiality. A theory, after all, is only the best guess science can come up with at any given time based upon the available, but always incomplete, empirical data.

The scientismist imagines that there is an objective truth which can be discovered through scientific investigation, that empiricism will be humankind's savior from the post-

modernist chaos threatening to reduce all scientific knowledge into utter contextualism. But such concerns are unfounded; where the scientist sees chaos, the post-modernist sees "plural possibility" (Tomlinson 51). Post-modernism therefore does not threaten science, only challenges its claimed exclusivity to truth.

Subjectivity & Rationalism

Scientists and theologians are, in significant part, both reliant upon non-empirical rationalist deduction to establish their respective theorems. This can be problematic as rationalism arrives at conclusions that can only be tested through logic, except in one case, mathematics (Peacocke 41). Mathematics stands alone in the realm of humankind's intellectual creations, as the processes of the natural world can be seen in iterations of numerical equations. Mathematics thus makes scientific prediction possible, which is in itself an astonishing god-like power (albeit much more prosaic in scope and reach). Still, humankind's rational mind has deduced the hidden language of the natural world, and explored its mysteries using sheer intellectual prowess. Science, of course, has claimed this area of rationalist knowledge for itself, decrying all other forms of rationalism such as theological postulations about God. But if mathematics can be trusted to discern the hidden natures of sub-atomic phenomena and celestial black holes, might it also provide insight on the supernatural?

Ronald Glasberg sees such a connection in Leonhard Euler's famous proof: $e^{\pi i} + 1 = 0$ (Glasberg 2003, 277). Leonhard Euler (1707-1783), like Pythagoras before him, believed that the existence of God could be proven mathematically (Pickover 1997, 243). But ironically, while the Pythagoreans considered irrational numbers theologically troublesome (pp. 37, 48), Euler embraced them. His celebrated equation combined two irrational numbers, the base of

natural logarithm (e) and the intrinsic value of a perfect circle (π), both of which share the unusual characteristic of being infinitely incalculable (i.e., the decimal expansions of these numbers are non-terminating and non-repeating). Yet, and more strangely, a third irrational element also appears in his equation, the square root of negative one – an impossibility that is aptly referred to as an imaginary number (*i*). The elegance and harmony of the Euler proof is immediately apparent with its deceptive simplicity, just as with Einstein's great formula. Yet hidden within Euler's formula are transcendent elements suggesting an even greater reality.

First, the formula demonstrates an unexpected bridge between π and the natural logarithm, a mathematical function representing a constant inherent to many natural processes, describing nearly everything from the rate of radioactive decay to the growth factor for bacteria cultures. But even more peculiar is the occurrence of the square root of negative one, a paradoxical construct that factors into the realities of the quantum world, and which is used in the field of electrical engineering for calculations involving electromagnetic waves (Glasberg 290). Yet this mathematical construct is a serious problem of logic, for the square root of a negative number cannot exist; the square of any real number produces a positive integer, and so all square roots must also be positive. The trick to rid equations of imaginary numbers is to multiply *i* against itself, thereby producing the base number (negative one). Per rationalist logic, the square of a square root must be the number itself. This rationalist trick yields usable results for applications in the real world. But the problem remains that *i* exists. The square root of negative one did not come out of the mathematician's imagination; it is an integral factor in real world calculations involving observable natural phenomena. And so the very real (yet irrational) phenomenon described by the mathematical construct *i* must therefore exist in reality, yet have its paradoxical existence positioned somewhere other than 'here' where it is an impossibility.

One possible explanation is that imaginary numbers exist in an alternate reality *tangent* to the one in which we reside, an intersecting reality where the ordinary laws of mathematics do not apply (thereby allowing *i* to exist). But far from being a fanciful numerical netherworld, it appears that this alternate reality continuously interacts with our physical reality through electromagnetic waves. This rationalist deduction, though scientifically untestable, would help to explain not only the contradictions and apparent duality of sub-atomic phenomena, but also why the mathematician's trick works in making imaginary numbers become *real* within our reality.

Now, returning to the Euler equation, its structure describes the convergence of three irrational numbers representing the full spectrum of reality. The first is the logarithm of the natural world, the constant of all existence. Then there is the irrational *i* which describes an impossible realm influencing the quantum fabric of our universe. The last number is humankind's rationalist ideal for the perfect geometric shape, the Pythagorean Circle – a concept that happens to be the basis for the wheel, the precursor to civilization and science. The Pythagorean Circle is also the origin of the musical scale of consecutive fifths; the irrational π allows for the creation of intangible forms and harmonic structures in imagined time, filling the non-empirically provable human consciousness with an abstraction called music. But all that aside, and suffice it to say, this analysis of Euler's equation has shown that the existence of the *unreal* (in this case, the square root of negative one) is a not only very real factor in the natural world, but also is somehow related the mathematics of natural systems (e) and at least one abstract 'perfection' created through human ratiocination (π). When factored together in the Euler equation, and added to the primal symbol for unity (the number one), the result is another

abstract absolute: zero. The grander significance of the Euler proof will not be approached further as it is wholly mystical.

Such algebraic conclusions about reality are not alien to theology. St. Augustine in his work *City of God* defended the mathematical inferences about divine realities proffered by the Greeks philosophers of antiquity (Pickover 240). Augustine considered mathematics a valid tool of theological inquiry, and cited biblical scripture to support this effort, including Isaiah 40:12, which states, "Who hath measured the waters in the hollow of his hand, and meted out heaven with the span, and comprehended the dust of the earth in a measure, and weighed the mountains in scales, and the hills in a balance?" For Augustine, mathematics revealed God's majesty through discovering the hidden structure within creation, "and therefore we must not despise the science of numbers, which, in many passages of holy Scripture, is found to be of eminent service to the careful interpreter" (*City of God*, XI, 30, cited from Glacken 1967, 188).

Creatio ex Nihilo

Another key aspect of reality discovered through the mathematical exploration of the universe is that empty space, even in a complete and absolute vacuum, is not in fact 'empty.' This was an unexpected ramification of Heisenberg's uncertainty principal, which not only encompasses the position and momentum of sub-atomic particles, but also energy and time; ergo, the energy of any given space must also be uncertain (Morris 2002, 73). As a result, because energy and mass are equivalent (per Einstein), matter can spontaneously appear in a complete vacuum. This phenomenon is called quantum fluctuations, and far from being a rare occurrence, it is ubiquitous and omnipresent. These fluctuations produce what are called "virtual particles," and while these paired particles are usually short-lived and annihilate their respective virtual

counterparts, they can also interact with normal matter, and have been detected in the laboratory (p.74). These particles are also not limited to sub-atomic quanta and neutrinos, but also larger atomic structures such as neutrons and protons (p.74). Yet because these mysterious manifestations come into existence by borrowing from the 'net zero' required by the 1st Law of Thermodynamics, this signifies that a spontaneous creation in one place requires a deficit of energy in another. Stephen Hawking (1988) has also theorized that virtual particles can become permanent within our universe, such as when an anti-particle is consumed by a black hole, allowing its counterpart to escape, a process referred to as black hole evaporation (p.105). As such, quantum fluctuations mark an uncanny resemblance to Judeo-Christianity's doctrine of *creatio ex nihilo*, as it is literally creation from nothingness.

The parallel to creation is advanced further if we were to consider Maxwell's Demon of thermodynamics fame, an anthropomorphized (more precisely, demonized) theory once thought to be responsible for the spontaneous organizations which would appear in chaotic systems, an apparent violation of the laws of physics. While by most accounts (see, von Baeyer 1998, 145-155), the demon is quite 'dead' (i.e., these spontaneous creations developed from inputs of new energy, and thus the demon cannot contravene the law of entropy), a scenario involving virtual particles and the infinite ambient energy of the universe has not been addressed. The ubiquitous chaotic energy of quantum fluctuations which permeates all of existence could allow the demon to be 'resurrected,' and to create freely without violating the 2nd Law of Thermodynamics so long as its organization in one place was balanced against an increase in chaos in another (i.e., the net zero required by laws of physics). It would be quite amusing to imagine Maxwell's Demon sorting and assembling virtual particles into any form it desires, borrowing from that net zero, all the while operating comfortably in the physical laws of the natural universe. While

fanciful, an angelic form of Maxwell's Demon is a wholly more rational and scientific explanation for the manifestation of Moses' burning bush, angelic messengers, or any of the other miracles described in the Bible. The laws of science allow for this possibility – an empowered (and reified) Maxwell's Demon could do anything it wanted. And so, as it turns out, the untestable abstraction memeticists allege is infecting societies, causing religious people to imagine the divine, is just not a scientific claim. The real science has made clear one undeniable truth. It is not a feeble "god of the gaps" or an impotent *Deux ex machina* to which theists must pray. There is plenty of room for an omnipotent God of Genesis in a universe controlled by scientific laws.

The Truth about Science

Science has fostered a worldview that is now longer consistent either with the realities discovered by science, or with its current practice. This is because, in search of objectivity, science now only attempts to answer questions in a limited and well-defined context. Yet this signifies scientific findings are in fact context dependent (Stratton 2000, 25). Moreover, just because science lacks the instrumentation to detect the supernatural, this cannot equate to proof for its non-existence (p.41). An even more critical blow to scientism comes from the non-scientific fields of research into the nature of human existence, such as analytical studies into history, economics, and the other humanities. These non-scientific investigations into the nature of objective reality each signify that natural science cannot claim exclusivity to an ultimate truth (p.40). S. Brian Stratton writes, "it is generally recognized that science is a deeply human activity, and what are usually called 'subjective' factors do play a role in scientific rationality"

(p.25). So, in the end, scientism turns out to be just a philosophy based upon subjective claims that cannot be objectively tested by scientific means. It is therefore self-refuting (p.36).

The arguments presented here have shown that there is a place for God in a scientific world. The tangent reality from which the square root of negative one emerges appears to prove the existence a non-empirical reality interacting with the natural world, and the ambient energy that permeates the quantum fabric of the physical universe is a study in an ongoing *creatio ex nihilo*. Emergent phenomena, such as the human consciousness, also escape the purview of natural science. Therefore, just as the reductionist study of individual ants would miss the collective dynamics of the colony (if the organization of the colony was not known to already exist), so can science miss the emergent supernatural emanating from the complexity of the natural world. The immanence of the Divine may radiate from the mechanical material in way that is imperceptible within the limited scope of reductionist methodologies.

This is not, however, to claim that God does in fact work through these means, only that He could. This exercise was meant to show the inadequacy of science with respect to defending its claim of exclusivity to ultimate truth. And so I would argue that the clock of Strasbourg holds the best answer to the mystery of the divine. The post-modernist tenant of "plural possibilities" is the most rational explanation (an unintended pun which is ironically apt) for the persistence of faith in societies. Scientific accounts of natural phenomena cannot logically preclude other rational accounts for the same phenomena, as the inherent subjectivity of science makes any claim of a single objective truth untenable.

Faith Defended

Faith is mentioned over 300 times in the New Testament (*pitis* [Strongs: 4102] 228 times; *eplis* [Strongs: 1580] 48 times; and *pistos* [Strongs: 4103] 62 times), while in the entire Old Testament, despite the overwhelming disparity in its comparative size, the Hebrew words for faith appear only twice, and variants such as faithful and faithfulness (used in wide range of contexts, nor just religious belief), only brings the total to approximately 50 citations (*'emuwnah* [Strongs: 0530] 49 times; and *'emuwn* [Strongs: 0529] 5 times). This simple fact speaks to an essential transition in religious identity, from Judaism's emphasis on religious laws and rituals, to Christianity's emphasis on faith. If the claims of scientism were true, such a change in religious focus was a terrible misjudgment on the part of Christ and the Apostles.

This brings to the forefront the key fallacy in the 'religion versus science' debate. The atheistic arguments set forth by scientismists create a false impression that the conflict between empirical truth and religious belief is a relatively recent occurrence, that the Age of Enlightenment brought forth an inexorable decline for religion's supremacy over society. Even though the overall historical trend in the public perception toward religion is undeniable, this conflict has been at the core of Christian doctrine from the very beginning. St. Maximos the Confessor (580-662 CE) of the Eastern Orthodox tradition addressed these same questions in his work entitled Second Century of Various Texts (*The Philokalia* 190):

> The capacity for unintelligence is rooted so deeply in human nature through the senses that the majority think that man is nothing more than flesh, which possesses sense faculties so that he can enjoy this present life.
>
> – Verse 10

> Faith is knowledge that cannot be rationally demonstrated. If such knowledge cannot be rationally demonstrated, then faith is a supra natural relationship through which, in an unknowable and so undemonstrable [sic] manner, we are united with God in an [sic] union which is beyond intellection.
>
> – Verse 12

This conflict has always defined a fundamental aspect of the human condition, the struggle between empirical reality and spirituality. The Holy Fathers of the Church, as well as Christ and His Apostles, were therefore not ignorant of the empirically unconvincing nature of their claims. Rather, they deliberately chose faith to be the requisite characteristic for religious persons. The intent should be obvious: to challenge a person to extend their awareness beyond just their physical reality. St. Maximos spoke to this truth in the following (p.276):

> Our intellect possesses the power of apprehension through which it perceives intelligible realities; it also possesses the capacity for a union which transcends its nature and that unites it with what is beyond its natural scope. It is through this union that divine realities are apprehended, not by means of our own natural capacities, but by virtue of the fact that we entirely transcend ourselves and belong entirely to God. It is better to belong to God than to ourselves; for it is on those who belong to God that divine gifts are bestowed.
>
> – Fifth Century of Various Texts, Verse 68

Modern science is just the latest incarnation of faithless empiricism, a repackaging of the same forces that have always pulled humanity toward worldly hedonism. This critique may sound overly harsh. But without God, humankind is not required to show deference to an external reality to measure its moral worth. What is left is secular ethics, a much more problematic and corruptible basis for social order. This is disturbingly exemplified by Hitler's science of eugenics, the selective breeding of humans to produce desirable attributes together with the elimination of physiologically unfit individuals from the breeding stock, such as those with congenital birth defects (Proctor 1988, 186-7). Eugenics makes perfect scientific sense – it is a harmonious combination of Darwinist thought and applied biology. In a world governed by situational secular ethics, the Nazi concentration camps and Soviet gulags were perfectly natural and pragmatic solutions for social problems in a godless world. Yet for some scientifically inexplicable reason, they proved ineffective in destroying the faith of those who were persecuted.

While scientismists and memeticists can (and have) criticized religions for producing similar horrors upon the world, the erroneous justifications which lead to such events can be fully refuted by unprejudiced theological arguments, albeit at times in retrospect. The same is not true for science; its logic is not internally cohesive. The crimes of science can only be revealed by deference to external philosophical arguments, all of which are based upon a belief of a higher and nobler reality to which humankind must strive to achieve. Even secular ethics have their roots in the subjective religious claim of an inalienable human dignity.

Notwithstanding, there is one notable exception. Proponents of evolutionary ethics attempt to explain social behavior and morality in terms of species survival strategy, a phenomenon based entirely upon our genetic heritage (Wilson 1975). This theory, while somewhat rational in abstract, becomes increasingly problematic when trying to explain specific examples of human behavior. For example, with respect to genocide, would this be natural evolutionary behavior? Or alternately, as in the aforementioned cases, did these attempts at 'ethnic cleansing' actually expose the epigenetic inferiority of the persecutors, thus precipitating their ultimately defeat by people with better genetic heritages? The logic is circular, subjective, and unsatisfactory (see also Gould's rejection of the sociobiological arguments for social determinism; 1977, 251-267). It therefore has to be concluded that evolutionary ethics is not an attempt to describe social phenomena, but rather an irrational attempt to explain away God. As such, science can never serve as a basis for a worldview; its truths are internally incoherent, exclusionary, and unsuitable for ethical extrapolations.

Scientific facts are, at best, a subset of reality based upon reductionist logic. Nevertheless, science cannot support the veracity of even their own so-called empirical truths.

This is because St. Maximos, undaunted by critics, set forth an audacious but theologically defensible assertion to attack the empirical realities valued by unbelievers (*Philokalia* 264):

> For the things men value lack being; the only seem to exist because of mistaken judgment, but have no principal existence at all: there is only fantasy, which cheats the intellect and through passion supplies non-existent things with empty form but no real substance.
>
> – Fifth Century of Various Texts, Verse 16

All of reality is understood subjectively, a post-modernist truism on the nature of perception and knowledge. St. Maximos understood this as well. So, in this conflict between empirical truths and spiritual realities, St. Maximos proclaimed spiritual knowledge to be superior to the profane. The essential reason for this distinction is that such truths define the moral quality of a person. Human beings are creatures of imagination and initiative, spiritual gifts which allowed this species to create science and societies. Consequently, if one were to embrace strict scientism, they would embrace spiritual death. Scientism is dogma in another name, a religion where humankind masquerades as its own god – a dismal reality where society finds a purgatory of amoral ethics, a place where lives are defined only by the profane. Scientism is a deliberate form of ideological autism hiding under the pretense of atheism. It is a desperate and irrational attempt to deny the spiritual realities that define our species.

And so in conclusion, and in answer to the scientific challenge, the reason why faith exists is because faith is needed by humankind to achieve its humanity. The definitive empirical proof of the supernatural is religion itself.

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Title of submission: "Early Efforts at International Diplomacy and East-West Relations: The Link between American Transcendentalist Sarah Farmer, the Russo-Japanese War, and the Portsmouth Peace Treaty of 1905"

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Abstract: After President Theodore Roosevelt invited peace delegations from Japan and Russia to come to Portsmouth, New Hampshire to draw up a treaty to end the brutal Russo-Japanese War of 1904-05, Sarah J. Farmer, the visionary founder of the Green Acre Conferences, invited the delegates to Green Acre, received the Japanese delegation, and was the only woman present at the signing of the treaty. While Roosevelt won a Nobel Peace Prize for his efforts, the role of peace champion Sarah Farmer remains largely unknown. This presentation highlights the importance of Sarah Farmer and Green Acre Baha'i School as her legacy.

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Request for Travel Funds

Since I generally teach 5 classes per semester at UTA,* 12 classes per year, and make half as much as I should and yet still try to publish, attend conferences, and present, I hope that UTA will honor my request for funds.

I have just attended an **academic conference in Calgary, Alberta**, Canada, where I led an all-day arts seminar, presented my original research on Sarah Farmer (New England Transcendentalist and peace activist), and presented a dramatic reading on Mark Tobey, with slides of his paintings. (See attached.)

Expenses: Hotel $130 Airfare $450 Food $70 **Total: $650**

Upcoming:

1. I have made a proposal to attend a **Humanities conference in Hawaii, Jan. 13-16.** (See attached.)

Estimated Expenses: Hotel $150 Airfare $400 Food $80 **Total: $730**

(I doubt if I will be able to attend this conference unless I can get some funding for it.)

2. I would like to attend the **MLA conference in Philadelphia,** Dec. 27-30

Estimated Expenses: $150 registration $250 Travel $130 hotel $80 food **Total: $610**

3. If **Baylor offers its "Art and Soul" Conference** this spring, I would like to submit a proposal for that as well. I have gone twice before, and presented.

Estimated Expenses: Gas $40 Hotel $90 Food $40 **Total: $170**

Hence, my total conference expenses are **potentially $2160.**

Any help would be most appreciated.

Sincerely,

Anne G. Perry, PhD

* Currently 5 sections of sophomore lit = 190 students. I carry a heavy load at UTA.

Homosocial Desire in Murakami's *Norwegian Wood*

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Homosocial Desire in *Norwegian Wood*

In *Between Men*, Eve Kosofsky Sedgwick explores the fundamental principles of a social relationship between members of the same sex to which she has attributed the term 'homosocial.' The use of this term differs from the sexual desire between members of the same sex, or homosexuality, despite the fact that they exist ostensibly on the same continuum. This continuum is particularly vital in delineating the relationships between the protagonist and the other male characters in *Norwegian Wood* by Haruki Murakami. The protagonist, Toru, is a young college student forever plagued by the loss of his best "and only" (22) friend, Kizuki. While in college, Toru meets Nagasawa, a confident and arrogant young man who shares a mutual appreciation of F. Scott Fitzgerald's *The Great Gatsby*. Toru's sexuality exists on the continuum defined by Sedgwick in that he maintains a homosocial relationship with Kizuki, Nagasawa, and Midori. Toru maintains a deep love and devotion to Kizuki despite the fact that it is not a homosexual relationship. Kizuki's feelings for Toru are ambiguous and remain in an interim area of Sedgwick's continuum. In order to deflect the attention from his undying love for the lost Kizuki, he maintains a homosocial relationship with Nagasawa, replete with numerous sexual escapades. Furthermore, Toru develops an affinity towards a female college student named Midori who ostensibly maintains a more masculine role in the novel, thus implying that the relationship with Midori potentially merits categorization as homosocial.

Sedgwick determines that the homosocial relationship existing between men is plagued with an intense homophobia that perpetually leads to a form of male bonding. This homophobia is an intrusion in the continuum that exists between homosociality and

homosexuality and is characterized by the intense fear of men to show any form of emasculated behavior that would render them homosexual. Fear of emasculation necessitates the objectification of women, who in turn serve as intermediaries between men. Sedgwick's continuum is somewhat based on the 'lesbian continuum' defined by Adrienne Rich. Rich promulgates the notion that the compulsory heterosexuality subjugates women and ensures that they are consistently available sexually to me without providing the woman with agency. The lesbian continuum designates a vast array of relations between women ranging from the sexual to the familial and friendly. Sedgwick notes that the lesbian continuum is far less rigid than the more dichotomous continuum in existence between men. There are clear distinctions between homosocial bonds and homosexual relationships that are ostensibly dominated by the homosocial. Indeed, the male bonding that is characteristic of a homosocial relationship seemingly thrives on the intense homophobia at the expense of women who serve as intermediaries in these relationships. The women are thus objectified, as both Rich and Sedgwick contend, and also serve to deny the presence of any homoerotic desire.

Toru explains that Kizuki was his best and only friend. He ostensibly maintains an intimacy with Kizuki that is very fulfilling, and when Kizuki commits suicide, he spends many years striving to replenish the void that exists with someone about whom he cares so deeply. The relationship between Toru and Kizuki is indicative of a homosocial bond. Naoko is Kizuki's girlfriend, and much of the time that Kizuki and Toru are together, Naoko is present. Thus, Naoko is an intermediary between Kizuki and Toru, serving to deflect any possibility of homosexuality in their relationship. Furthermore,

Kizuki endeavors to find a suitable girl for Toru to date; however, this only muddles the situation:

> After a while, Kizuki gave up trying to arrange dates for me, and instead the three of us would do things together. Kizuki and Naoko and I: odd, bnut that was the most comfortable combination. Introducing a fourth person into the mix would always make things a little awkward (22).

This emphasizes the existing homosocial relationship between Kizuki and Toru as being wholly dependent on the ability of Naoko to act as an intermediary. The introduction of another female into their relationship is "awkward" because such an allowance would weaken the bond between Kizuki and Toru. Because their relationship is fundamentally based on the ability to utilize Naoko to deflect the homoerotic implications, another female devalues this deflection and causes the attention to be diverted from Naoko to another woman, thereby weakening the very medium upon which the homosocial relationship is reliant. Attention must further be placed on the new female, which would ostensibly come from Toru, leaving Kizuki to pay more attention to Naoko and severing their direct bond. Naoko is extremely necessary in their friendship; she prevents the bond from shifting towards the opposing side of the dichotomy, therefore rendering the relationship between Toru and Kizuki homosexual.

Naoko and Kizuki have been together since childhood, causing a situation where, as Toru observes, "there is little sense that they wanted to be alone" (22). Because Naoko is an intermediary, it becomes extremely necessary for the other male to be present in the situation. Indeed, the bond is stronger between Kizuki and Toru than between Kizuki and Naoko. Toru promulgates the idea that Kizuki is particularly introverted in nature as he

has no friends at school other than Toru. However, Kizuki ostensibly possesses an overwhelming need to companionship, which he encounters in Toru. Naoko's presence in Kizuki's life is to maintain the appearance of heterosexuality, despite the fact that they have known each other for a long period of time.

Toru suggests that the reason that Naoko harbors negative feelings toward him after Kizuki's death is because she is jealous that Toru was the last person to see him alive. As a result of this, it is quite possible that Naoko now understands her position as an intermediary, and this is the reason that she sinks into a deep depression. In this realization, Naoko acknowledges that she and Kizuki lacked an actual sexual relationship, thus furthering her confusion over the situation. Indeed, it is Toru to whom Naoko loses her virginity, and she weeps incessantly during the whole rendezvous. Toru exacerbates the situation by asking her "why she had never slept with Kizuki" (40), thereby furthering her lamentation and depression. The discovery that Naoko and Kizuki never indeed had sexual intercourse during their relationship supports the notion that Kizuki indeed possesses innate homosexual tendencies. In reference to the continuum propagated by Sedgwick, Kizuki's position is an ambiguous area between the homosocial and the homosexual. There is no evidence that Kizuki ever acted upon his homosexual desire; however, when juxtaposed with Toru, the implication is such that Kizuki is not as blatantly heterosexual as he. Kizuki's status is less homosocial and heterosexual than Toru's status, though there is no actual declaration of homosexuality. Naoko's role in the lives of Kizuki and Toru is to deflect the tendencies of Kizuki and make it apparent to Toru that Kizuki is a heterosexual male. While their friendship is categorized as

homosocial, both characters need no be heterosexual; they only need to establish the pretense of it.

Toru does not understand the extent to which he actually cares for Kizuki. Toru's relationship with Kizuki impacted him to the degree that he cannot possibly ever find a connection as fulfilling, though the novel itself is primarily focused on this attempt. In the quest for finding someone to replenish the void established by the death of Kizuki, Toru encounters Nagasawa, a popular college student with a penchant for women and a mutual admiration of Literature.

Toru realizes early in the friendship that Nagasawa possesses over heterosexual male tendencies to the point that it is almost cliché; he is a notorious womanizer which impels him to a revered status. Nagasawa is described as having "an aura that revealed his powers like an angel's halo, there mere sight of which would inspire awe in people for this superior being" (31). Toru acknowledges that he also possesses "paradoxical qualities" (32). Because Nagasawa maintains a dichotomous personality, the friendship "stands in stark contrast to [the relationship] with Kizuki" (32), never fully replenishing the void left by the suicide of Kizuki. Indeed, Nagasawa introduces Toru to many women who act as sexual partners and consequentially as intermediaries themselves between Toru and Nagasawa. This strengthens the idea that Toru's relationships with Kizuki and all subsequent males exist on Sedgqick's continuum between homosocial and homosexual. Toru and Nagasawa need the presence of women for their relationship to appear as a friendship between two heterosexual males.

Nagasawa is ostensibly gifted in many areas that perpetuate the "Nagasawa Legends" echoing throughout their school, ranging from the sexual conquests to his

mythically large penis. Toru states that "he had a big one all right" (33), but this does not provoke any admiration from him for Nagasawa. Toru remains unfazed by Nagasawa's revered status as a notorious womanizer, yet follows him so that he may reap the benefits of being his sidekick. Indeed, the women that they seek and with whom they have sexual relations are intermediaries in their friendship. Nagasawa notes that "there is nothing to be gained from sleeping with one woman after another" (34), suggesting that numerous sexual endeavors with women are an attempt to deflect any homoerotic accusations that may be attributed to Nagasawa. He maintains a friendship with Toru because he enjoys his company; they both share a love that can be perceived as being homosexual unless there is a female intermediary to avert this. Toru implies that he fully understands that Nagasawa propagates the dominant heterosexual male hegemony. Nagasawa understands that he must perform the roles attributed to the male hegemonic structure in order to assert his power and his heterosexuality; he needs the women around for the purpose of dominating and proving his sexual prowess. Toru understands and acknowledges that his friendship with Nagasawa is not as deep as was his friendship with Kizuki, but this is primarily because Nagasawa is more interested in proving to the unfazed Toru that he can exert domination over women. This implies that the friendship is not genuine when juxtaposed with that of Toru and Kizuki. Kizuki earned Toru's trust because he maintained a homoerotic desire for him, masked under the pretense of a homosocial bond with the presence of Naoko. The relationship with Nagasawa is homosocial and utilizes a constant barrage of women as intermediaries to further demonstrate Nagasawa's need to perpetuate the male hegemony. Thus, the friendship with Nagasawa ultimately does not equal that of Kizuki, and Toru's quest to fill the void still exists.

Toru meets a young woman from one of his classes named Midori that succeeds in replenishing the space left by the death of Kizuki. Toru's relationship with Midori is homosocial, though only to an extent. While their relationship cannot be fully homosocial because Midori is not biologically male, she does possess certain male attributes that are discernable. Feminist theorist Judith Butler proposes that various cultural discourses dictate the manner in which a male and female must act. Women are taught to be feminine and adhere to feminine characteristics of action and speech. Midori is a sexually liberated woman and generates her own specific discourse that encompasses more masculine traits. This enables her to be seen as a male figure by Toru, who is consistently fascinated by her.

When Toru first sees Midori outside of class sporting an extremely short hairdo that resembles that of "a concentration camp survivor" (50), Toru is mesmerized while Midori accuses the male population of being oppressive and "fascist" (50). Furthermore, Toru notes that her mannerisms are very masculine and that "girls are supposed to be a little more elegant" (70) in doing things. Midori acknowledges that she "is a lumberjack" (70). Midori encompasses another male figure to Toru, and thus another opportunity to replenish the void left by Kizuki's death.

Toru's relationship with Midori is not truly homosocial because she is not biologically a man; however, she maintains male characteristics that perpetuate the notion that she is performing as a male figure, if only to Toru. There is seemingly no intermediary between the two s there is no need to deflect homoerotic tendencies. Thus, the relationship ostensibly cannot possibly achieve the bond present between Toru and Kizuki, a bond that was deep, yet dependent upon the presence of Naoko to deflect any

homoerotic tendencies. Midori confides in Toru, and if she were indeed biologically male, there would be an absolute need for the presence of a woman to repel homosexuality. However, because Midori maintains male characteristics, it is possible that to an extent she manifests the male/female dichotomy intrinsically. While she maintains the outward pretense of masculinity in her actions and behavior, she also possesses the biologically female trait necessary to deflect homosexuality. Indeed, Toru is drawn to Midori because of her masculine, liberated and carefree demeanor; he does not maintain a friendship with her because she is a woman. It is because she acts as a man that he feels the same fascination that he initially feels for Nagasawa and that he feels for Kizuki before his death. The dichotomy of male and female perpetrated by Midori is the reason that Toru views her as a candidate to placate Kizuki's loss.

Midori is very sexually liberated. She speaks openly about masturbation and sexual desire in a manner that is against the socially prescribed behavior for a woman. She states that she is "interested" (175) in sexuality, to the extent that she wants to "be in one of [Toru's] sexual fantasies" (174). This is particularly vital for Toru in that Midori is knowingly the female intermediary in her own masculine homosocial relationship with Toru. She willingly succumbs to the licentious discussion that is necessary to perpetrate a heterosexual appearance in a homosocial relationship.

The female aspect of the dichotomy intrinsic to Midori allows Toru to have sexual relations with her. Indeed, this enables the relationship to come to fruition. He states that he "love Midori" (267), and that he "had been avoiding the conclusion for a very long time" (267). Midori's embodiment of the male/female dichotomy is what enable Toru to lover her and to fulfill the void left by Kizuki. Midori maintains the male characteristics

that Toru bonded with in his friendship with Kizuki and she is also simultaneously the female that deflects the possibility of homosexuality.

After the death of his best friend Kizuki, Toru experiences a great void that seeks to replenish throughout *Norwegian Wood*. Toru's relationship with Kizuki is homosocial by appearance. He maintains an extremely close bond that can be perceived as homosexual without the presence of his girlfriend, Naoko. Despite this, it is apparent that Kizuki has deeper feelings for Toru that shift to an ambiguous place in Sedgwick's continuum that likens Kizuki's tendencies to homoerotic. Toru's sexuality exists on the continuum defined by Sedgwick in that he finds a homosocial relationship with Nagasawa to compensate for the loss of Kizuki, though Toru learns that the friendship cannot possibly ever equal that what he once had with Kizuki. In order to deflect the attention from his undying love for the lost Kizuki, he maintains a homosocial relationship with Nagasawa, replete with numerous sexual escapades. Furthermore, Toru maintains a more masculine role in the novel, thus implying that the relationship with Midori almost merits categorization as homosocial. Midori succeeds in filling the void left by the death of Kizuki because she manifests the male/female dichotomy intrinsically. Thus, she is both a masculine figure and a female intermediary. Toru indeed discovers that he loves Midori.

LEADERSHIP EXITS AND ENTRANCES:
Succession Leadership Planning in the Performing Arts, **Part II**

Performing Arts
Abstract

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ABSTRACT

LEADERSHIP EXITS AND ENTRANCES
Succession Leadership Planning in the Performing Arts, **Part II**

By
Paul Stuart Graham

This paper will present new information on the subject of succession leadership planning as a follow-up to a presentation made in January 2004 at the 2nd Annual Hawaii International Conference on Arts and Humanities. The article which resulted from that original paper, "Passing the Torch: Succession Leadership Planning in the Performing Arts," was published this year in Arts Reach magazine, Volume XII, Issue 3.

For this follow-up paper/presentation, current founders and artistic leaders of nonprofit performing arts companies were interviewed to discuss the various concepts, practices, and solutions utilized by their organizations for succession planning. It is important to educate and prepare future arts leaders if society is to continue to benefit from artistic cultural experiences.

This paper provides a "state of the state" look at the deficiencies and strengths of current succession planning. Research shows that most leadership transitions (as much as 70%) are "non-routine," in that most organizations are not prepared to groom successors to their current leaders. Interviews conducted for this paper bear witness to this tendency. However, there also is increasing evidence which demonstrates that some organizations are beginning to initiate "a shift in process:" where growth and change in leadership are openly recognized as being inevitable, and, therefore, they engage in effective preparation for their next stage of development—passing the torch—to advance their artistic mission.

The Holocaust as Recurring Reality: Implications of Victimization Themes in Jewish American Short Stories on Jewish American Ethnic Identity Formation

Presentation proposal submitted for presentation on the **panel or paper** session on **Ethnic Studies** at the 3rd Annual Hawaii International Conference on Arts and Humanities

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Drawing on sociological studies that document the regularity with which marginalized ethnic groups construct an ethnic identity that focuses on issues of domination, oppression, and victimization in the construction of collective group identity, this paper addresses issues of identity formation in the Jewish American context and investigates the processes that act on the formation of a specific Jewish American identity over time. This paper draws on a random sample and qualitative and quantitative content analyses of 100 short stories written between 1946 and 1995 in its investigation of how victim oriented identities are created out of the more mundane experiences of everyday life. Intended for consumption by Jewish American readers, these stories describe daily life within the Jewish American community, and, with surprising regularity, bring issues of victimization into the imagined experience for their readers. Written by members of the community for other members of the same community, the authors' presentation of issues of Jewish American identity provides an easily accessible window making visible concerns of at least a portion of that community through time. More specifically, this paper examines how Jewish American short story writers present the Holocaust, victimization, and anti-Semitism as contributing heavily to the processes of identity formation within the community (as verified by field research in several Jewish American communities), and concludes that as the Jewish American community becomes further removed from the events of World War II, the Holocaust is becoming a more salient recurrent reality in the formation of a Jewish American identity that is increasingly tied to issues of victimization.

Social Stratification in Navajoland: A Case Study of the Influence of Poverty on Native American Identity Formation

Presentation proposal submitted for presentation in the **poster** session on **American Studies or Ethnic Studies** at the 3rd Annual Hawaii International Conference on Arts and Humanities

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Sociologists often write about social stratification as the inequalities that exist between individuals and groups within human societies. Specifically, Max Weber, a noted sociologist, argued that society might be viewed as stratified within three distinct categories: class, status, and power. Given these subcategories of stratification, it is clear that there is an unequal opportunity structure in society that predisposes certain groups of people to be more likely to experience discrimination, substandard living conditions, and even poverty. Drawing on C. Wright Mills' concept of the sociological imagination in which it is argued that one must be highly conscious of the interaction between history and biography, this paper examines issues relating of social stratification on the Navajo reservation in Ganado, Arizona.

Modern sociologists recognize that socially stratified societies typically share three common characteristics: rankings apply to social categories of people who share a common characteristic without necessarily interacting or identifying with one another, people's life experiences and opportunities depend heavily on how their social category is ranked, and the ranks of different social categories tend to change very slowly over time. This paper and corresponding poster presentation locates the range of examination in the everyday experiences of Native Americans in Navajoland (Ganado, Arizona) to distinguish the forms of abject poverty in which a good majority of Navajo people live. A secondary aim in this presentation is to identify the sub-systems of social stratification that exist within this Nation. As the Navajo Nation represents a nation within a nation (as it exists within the United States) and as it is generally characterized by a loosely organized government that draws heavily on a very problematically defined and instituted Bureau of Indian Affairs, much of the funds and other resources rarely reach the people that they are intended to assist. This leads to the people being forced to live in conditions that would be considered deplorable even in the best of situations, but that are seemingly normative for this group of underrepresented minorities in the United States.

This presentation documents, pictorially, forms of poverty among the Navajo and shows, through both a systematic set of qualitative interviews, the nature and form of poverty that is linked to forced life on the reservation (and a history of US oppression of Native Americans) and a lack of resources that are necessary for these Native Americans to have the basic necessities and opportunities to rise out of poverty as well as the problems that

are associated with poverty (i.e., joblessness, alcoholism, lack of food, shelter, and clothing – all of which are linked to substandard education and a dearth of jobs and employment opportunities for the people living in arid Ganado).

The methods are two-pronged. Drawing on observational (document) techniques to describe and define the forms of abject poverty that exist among this population of Navajo, I then turn to qualitative interviews to delve more deeply into what the Navajo people see as the primary problems with poverty and social inequality (if any).

This presentation addresses several concerns and questions relating to social stratification and poverty among the Navajo population in Ganado, Arizona. First, how do opportunities for employment, education, and health care on the Navajo reservation compare with those same opportunities by income level in the mainstream US population? Second, how does age and proficiency in English language vs. Navajo language will play a factor in perceptions of poverty? Third, I examine the realm and availability of social welfare for the people in Navajoland. Lastly, this presentation provides a comparison between the poverty line that has been determined by the United States Department of Health and Human Services for a family of three ($15,260; *Federal Register*, Volume 68, No. 26, February 7, 2003) in the United States and the experienced level of poverty on the Navajo reservation in Ganado. To this end, I explore how, even within the poorest of the poor communities on the Navajo reservation, systems of social stratification bent on the Weberian concepts of status and prestige continue to emerge.

64 Purposes of All Arts

Toward a "Science of Arts": Using Number & Depth of Purposes Covered to Measure How Great a Work Is, To Prescribe the Type and Amount of Art that People (Both Individuals and Organizations) Need to Achieve Their Goals in Life, and To Systematically Compose Works of Art Capable of Greatness

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This paper presents survey research to inductively define functions shared by many works of art in diverse fields. A stratified sample of artists from 63 different arts and a stratified sample of highly effective, educated, or creative people from 63 different parts of society were interviewed, functions that arts delivered to their lives that they mentioned were grouped, groups named, groups grouped, such super-groups named, and so on. The resulting hierarchical model was then regularized by branch factor and principle of ordering to produce what is called a "fractal concept model", the result of this study, of 64 functions of all arts. Later research will use this model to: 1) measure the greatness of any particular work of art or art type by how much of how many functions it delivers (is music "greater" in functions produced than painting, say); 2) measure how much of how many of these functions more effective, more educated, and more creative people have than people less so have (to link presence of all or some particular subsets of these functions with greatness of life of persons overall); 3) design greatness into particular works by broadening and deepening the number of such functions produced by encountering the work, 4) guide investment in works of art via choosing ones capable of greatness measured by how much of how many of these functions are produced in those encountering it, 5) guide composition and commercialization of movie scripts by optimizing which functions and how much of how many functions they produce in people encountering them; 6) to measure the "artfulness" or "artlessness" of entire organizations and societies via how little of how many functions they have established in people's lives. The ultimate goal is to produce something like a "science of arts" that finds functions nothing else in society effects in people's lives as well as particular arts do, relating those functions to what makes lives great, so we ultimately can prescribe arts to fix lives and propel them towards greatness, as well as quantify the cost of centralizations, commercializations, monopolizations, extremizations of arts in modern industrial societies. While it is easy to assert, especially if no effort to confirm with data is made, that there are

millions of possible interpretations of any work of art, when actual artists and high performer people are asked what functions arts effect in their lives and work, quite specific, non-infinite results obtain. This paper's research presents a well ordered model of 64 functions that all arts effect, to some extent, and that nothing else in society effects as well as the arts.

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A "Science of Art": Measuring Do We Have Enough Art or the Right Art

People write that art is essential for life. In a modern industrial nation's cities, though a lot of art is obviously around, it is not obvious that most of the people there need it as something essential. On the other hand, you can easily find in the daily news someone somewhere, lacking all chance for performing daily in front of peers, subordinates, and superiors, doing one last desperate suicidal performance by taking up arms and hurting other people, lashing out at random. People whose daily lives are stripped bare of all chance to perform may not be viable as people. Native tribal cultures, that preceded civilization, all, without exception, tend to weave performance roles in many festivals through all members lives, yearly. Modern cities have performance monopolized by rich centralized elites "broad"casting to millions who just sit, not perform. There may be a minimum modicum of performance without which humans are not human, in a real, powerful, practical sense. Just what quality of performance is needed to attain that minimum? Just what frequency of performance is needed for it? Just what type or content of performance is needed for it? We have, at present, no way of answer those and similar questions. There is no science of art in this sense. Other than performance, is art essential, if so, what sort of art, how much of it, how directed or themed? We have no science of art that answers these questions adequately. We cannot diagnose any single person's art level, finding it healthy or dangerous.

One way to approach establishing such a "science of art" is to find functions that art performs in those people it most helps, and see if people lacking art also lack good performing versions of such functions. If we could establish a set of functions that go on well in people exposed to arts of certain types, amounts, and contents, and that do not go on well in people lacking exposure to such art, then we have changed the locus of the question from art to function set. We can then ask how vital and necessary the set of functions are that, in the above analysis we found present in people exposed to a minimum level of art. What difference does the presence of these functions make in the lives of people having them versus the lives of those not having them? By answering this question we can begin to establish a "science of art" that has diagnostic power and practicality. We can measure how many of such functions anybody has, and prescribe the amount, type, and content of art needed to establish missing such functions for that person. We can prescribe art to keep lives, whatever it is that art makes lives.

Measuring How Great a Particular Work of Art Is

If we measure how many functions a work generates in people and how much of each function and how high the quality delivered of each function in that amount, we are measuring at least some dimension of the greatness of a work of art. This brings us to the issue of "greatness" judged by history looking at a stream of artworks and artists over a stream of eras and societies. This critic, outsider, historian of art viewpoint--greatness as "enhancing the historic stream of works"--disengages from another vital viewpoint--greatness as "making vital contributions of many people's actual lives through functions delivered in adequate quality and amounts". If we can devise a measure of the latter, we might even be able to measure the degree of disengagement of the former--"enhancing the historic stream of works"--from it. That is to say, we might be able to measure the quality of art criticism and history in an important sense. Just how "out of it" are the critics and historians when functions, how many, how much, with what quality, are delivered to real people are considered?

Who Knows the Functions of Arts?

Who are the people who know the functions of art? Tribal people do, but it is expensive, hard, and invasive to obtain data from them on this topic, though books by anthropologists of art are around that tell us something. Artists are major consumers of art and quite intelligent ones. They not only love the arts of other people and that they themselves make, but they study and try to learn from great art accomplishments of others, throughout history and from contemporaries. They also work earnestly to project the future of their own particular arts. Artists are a major source of information on the role of art in sustaining and enhancing lives. However, artists are a very biased source in two ways--in opinion terms, they being "artists", and in practice terms, their livelihood depending on their art. Critics are major consumers of art also and are more objective in some ways, but they too depend on art for their livelihood, though in ways different than artists. Also, they tend to pander to their audiences of editors or consumers of publications/shows. They are sources but biased in these ways. Ordinary people are a source but attenuated in important ways. It is truly difficult to find any ordinary person, in a modern industrial society, who does not consume much art on a daily and weekly basis, not to mention monthly and yearly. Just consider the number of music CDs in the room of any typical 13 year old. We can ask such people what art does for them and what particular art works do for them. However, the lives such people may be leading may be miserable failures or downward desperate spirals at the time we interview them, getting perhaps glowing tributes to art and artworks. We need to link arts consumed to functions sustained in lives.

What are the Functions of Arts

Composing a work of art, does something to you. That is one set of functions, I call herein the "composing functions of arts". Viewing works of art composed by others does something else to you. That is another set of functions, I call herein the "consuming functions of arts". Performing works of art (or displaying them) does something else to you still. That is a third set of functions, I call herein the "performing/displaying functions of arts". There is a lot of controversy about the degree to which these sets are the same or different. I am not going to resolve that controversy here. However, I am interested in interviewing composers, performer-displayers, and consumers and seeing just how similar and how different their versions of functions arts play in their lives actually are.

Expert Systems and Total Quality Process Techniques Applied to Art

Between 1980 and 2000, several hundred thousand expert systems were built, each involving painstaking analysis of transcripts of experts stating every few seconds what was on their mind as they handled some particular case, typifying their work. In the same 20 years, several million processes in industry were found and modeled in great detail, to identify waste, unnecessary inventory, waiting periods, and other non-value-adding functions that, if eliminated, would improve service to and satisfaction of customers of process outputs. What if the same, or highly similar, techniques were applied to art, I wondered at the time.

Could an expert system protocol analysis approach, embedded in interviews and questionnaires, combined with a quality process modeling approach, similarly embedded, get at functions, how many, how much, and how well delivered? I thought it was at least worth a try.

Previous Work Measuring Quality of Literary Criticism

Many years ago I came up with a Structural Reading technique that diagrammed the number of main points, the names of those main points, and the principle by which they were ordered in a text, in something that I called a Structural Reading Diagram. This technique embodied latest research from cognitive science, cognitive linguistics, and artificial intelligence research on how human minds processed text (Kintsch, 1988). I mightily irritated a Toronto audience of literature professors and students by submitting an academic paper, measuring how many such points (and relations among them, names of them, and principles ordering them) were mentioned in any way by famous works of literary critics. I took Shakespeare's *Hamlet*, built a Structural Reading Diagram of the main points of its imagery, and of its plot actions, and counted how many points, names, orderings, relations among points, were mentioned in any way by the three most famous works of literary criticism of *Hamlet* (Greene, 1977; the resulting diagram was published in full in Greene, 1993). Somewhat surprisingly, no critic mentioned more than 17% of the main points, relations among such points, names of such points, or principles ordering them. In other words, most of the most famous literary criticism of that play ignored 83% or more of the play's structure and contents. This work of my youth left an impression on me, that famous works of criticism could, not being checked carefully by reading publics, operate at atrocious levels of incompleteness and sloppiness. Lack of accurate measures of how much is being conveyed, and how well it is conveyed, and how well it, conveyed, is received into lives and minds, sets critics free to produce junk unchecked. Later on, in total quality programs, I extended this work to methods for measuring the quality of business reading and writing, speaking and reporting, finding, again, atrociously low standards of performance wherever clear measures for cognitive performances were not in place (Greene, 1993, 2004).

Recent research finding large numbers of plot and emotions-delivered aspects shared across disparate works of literature (Campbell, 1949, 1986; Vogler, 1992; Hogan, 2003), suggests that there may be one overall story that all other stories are subsets of, and by which we might measure the quality of individual stories.

The Problem of Interpretation and Stratified Responding

There is an atmosphere and long sequences of discussion in the humanities that almost never occur in modern social sciences. This phenomenon hinges on an assumption in the humanities that there are myriad different interpretations of any one thing, as many as their are possible frames for viewing it, and nothing gives real precedence to one or more frames over the others. The result is someone publishes one result but that is just "an interpretation" and hence has nearly no influence on anyone else's work. Add to this a chip on the shoulder against science (Foucault's fear of being oppressed by anything at all that exists) or anything that makes one idea or person not entirely equal to another, and you have a garden in which millions of interpretations bloom but no one or discussion ever goes anywhere. If we apply modern social science methods to questions in the humanities, then we devise experiments to test assertions that go untested in the humanities. For example, consider the following:

- all interpretation are as good as all other interpretations

there are infinitely many interpretations of any one thing or event

translate these into the topic of this paper and you have:

- all purposes of art are as good as all other purposes

there are infinitely many purposes of any one artwork.

These, if true, make my present purpose of research in this paper, questionable. However, even if these be true of entire populations, though I doubt it, they cannot be true of any one individual and, what is more important, they can be tested for truth by feasible, valid experimentation, using well known and, after all, rather simple methods, common in psychology and sociology departments of universities.

I did a little work in this area some years ago (Greene, 1977), using structural reading diagramming to show how many points, named what, ordered by what principle were in texts. When a completeness requirement was added, so all competing interpretations for a passage of text had to account for all the macrostructure nodes in the grammar of the text, the plethora of possible interpretations was instantly and severely reduced. College entrance exams tend to have questions like this, asking for completeness of accounting for macrostructure text nodes when students taking the tests are asked to select "best" names for paragraph main points or titles of entire passages. Hosts of "possible" interpretations were found to be possible only if a very few inconvenient non-fitting items in surface text were ignored. In other words, incomplete reading, and interpretations of subsets of text nodes, allowed a thousand interpretations to bloom. Requiring that all interpretations accepted as valid account for all macrostructure text nodes indicated in the grammar of the text, severely reduced possible valid interpretations in number, usually from tens or hundreds of thousands to two or three or less.

To further explore this issue of interpretations passing like boats in the night, and not interacting precisely in the humanities, I developed Stratified Responding (Greene, 1979). This involved using cognitive science results on how story or literature experience is processed in the mind, to produce a sequence of partial reactions, then requiring completeness of accounting for source stream grammar components for each partial reaction stratum. The sequence of strata were: object, feeling evoked, reminding, association, automatically retrieved frames, conceived frames, emergent patterns among objects-feelings-remindings-associations-frames, interpretations for each pattern, competition among pattern-interpretation pairs, emergent purpose of reading/hearing, decision about preferred pattern-interpretation pair or fusing of liked pairs. Individuals were asked to list all items of each stratum, completely, before moving onto the next stratum of reacting. Groups were also put through these steps, with all members of a group listing all items of a stratum aloud before the group moved onto the next stratum. Repeated such exercises, both for individuals and groups, revealed convergence towards one or two overall structurings of the macrostructures of the experience/text/movie/story.

The Stratified Responding method was embedded, therefore, into my interviews and questionnaire items, in the form of asking for reactions,

complete for each stratum of responding. In this way I hope to set the stage for spotting incipient convergence among different respondents.

A Plan of Action

The plan of action below uses two approaches, each approach using two methods, each method using both interviews and questionnaires. The first approach involved interviewing artists and consumers of art, nominated by eminent artists and art critics/promoters/curators. The second approach involved interviewing highly successful people of three sorts--educated-acting people, effective people, and creative people--who were nominated by eminent people. My goal with the first set was to get artists and consumers of art to note functions it performs for them when they compose, perform/display, or consume it. My goal with the second set was to get great people by many criteria, definitions, and frameworks, to note the functions, in attaining and exercising their greatness, that art furnished. I wanted these two sets as checks on each other. Then literature was reviewed, again split by these two sets, to check on each other and on the sets of interviewees. So the artists and consumers check the great ones and vice versa, the literature on artists checks the literature on great ones and vice versa, and the literatures, both of them, check the interview types, both of them. In all cases the same methods of categorical model building (fractal concept modeling) were applied to functions found in transcript or text. The resulting categorical models were then compared.

What is needed then is this:

- find what functions art performs that are essential

find what functions art performs that nothing else performs
distinguish composing functions, performing/displaying functions, and consuming functions, to the extent they are different
distinguish artists ideas, critic ideas, and art consumer ideas about the above.

What a good result will constitute:

- measure whether any particular person has a minimal level of art exposure needed for healthy living

diagnose particular imbalances of type of art, amount of that art, quality of delivery of that art, and emotional impact from delivery of that art in any one person
measure in impact-on-lives terms the greatness of any one work of art and compare it to that of other works in terms of specific functions delivered.

My approach to achieving the above:

the art source approach (ask those who produce, consume, or perform great art)

- apply expert system protocol analysis methods: use eminent nominators to name great artists and art consumers

apply total quality process modeling methods: get process of composing, process of performing, process of perusing/consuming data
develop a stratified sample of all types of artists and arts and art consumers
develop an interview and a questionnaire
categorize and combine functions found into overall model of functions of all arts
review literature on art history, composition, creativity, and functions and build similar model of functions of all arts
compare interview/questionnaire model with literature model and explain differences or do further research to investigate them.

the great lives approach (ask people with greater than average lives in many ways what in their greatness of life comes from what sort of art and art exposure)

- develop stratified sample of all types of great people

apply expert systems protocol analysis methods: use eminent nominators to name great people
apply total quality process modeling methods: get process of becoming a great person and process of doing great things and find role of art in both
develop an interview and questionnaire
categorize and combine functions found into overall model of functions of all arts in the lives and work of great people
review literature on functions of highly educated people, highly effective people, highly creative people and the role of art in possibly supplying or enhancing or degrading them, then make overall model of role of art in achieving educatedness, effectiveness, and creativity
compare literature model with model from great people interviews and explain differences, researching some of them later.

The Plan of the Interviews and Questionnaires

The purpose of both was to get functions from respondents, not to test already existing ideas. Expert systems builders used to get experts to handle a case, interrupting them every 15 or 30 seconds, to transcribe what was on their minds. This can be simulated not unsatisfactorily in actual interviews and even in questionnaires. Total quality experts asked people what they produced, how customers felt about each aspect of what they produced, what process they used to produce each of their outputs, and what step in those processes caused output traits that displeased customers of the outputs. This can be simulated very well in interviews and questionnaires as well. In the first case, we ask respondents about types of moments in their processes of composition, performance, or consumption, that actually occurred in handling past works, and again, for imagined future works not created yet. As they recall or imagine those moments, issues in them, how they responded or might respond, we prompt them for alternatives, feelings, associations, weightings, criteria, accumulated relevant experiences, and more. In the second case, we ask respondents about what great aspects of life they produced or might produce in a future moment, the outcomes found in those moments, the satisfying and dissatisfying traits of those outcomes, what process produced each outcome, and so on. In the first case we are going from moments to mental processes and steps; in the second case we are going from moments to mental processes and steps too. The difference is how we go from moments to mental steps producing them--via mental operators applied to mental operands in the expert systems way, via processes of production and traits of their steps in the total quality process modeling way.

Design of Data Collecting Instruments: Example Items

Interviews & Questionnaires			Approach One: Art Producers & Consumers		Approach Two: People with Great Lives	
			process of producing or performing art	process of consuming art	role of art in process of producing or performing their greatness	role of art in process of becoming great at something
case moment mental contents from expert	interview for fresh content	retrospective: what you did one time	• where did you get the idea for work X that you created --- what was on your mind at the time just when the idea appeared --- what was the very first intimation of the idea that appeared --- what was yet unclear in that first form it appeared in --- what was clear even in that very first form it appeared in --- what became clear only later about the idea	• when you first saw X, when and where was it and how was your attention drawn to it --- what first drew your attention in the work --- what feeling did you first have --- what associations came to mind --- what patterns appeared to you in the work --- what was foreground and background to you --- how did your impression of the	• what was the first real solid unquestionable achievement in your career, the one that set you apart from peers either in your own mind or in the mind of others in your field, however few in number --- what inspired that achievement --- where did the idea behind that achievement come from --- what sustained you during the trials and tribulations of attaining that achievement --- what key expression of contents in your	• what were the two or three key moments in your overall career --- select one to talk about now --- what was crucial about the moment --- what was unique about it compared to all other preceding and subsequent ones in your career --- what, in you or about you, prior to the incident contributed greatly to what made it a defining moment in your career, how? --- what happened in the incident, describe it in story form, who did what to whom why at

systems			--- what about the idea at the time attracted your special attention to it --- what about the idea made it different than others you had been toying with at the time	work evolve in that first viewing --- what misreading or distortion of what was in the work did you have to bypass, slip by, or crush --- what feeling that you had never had before did the work generate in you at that time, in any	mind or heart played a key role in your attaining that achievement, how? --- what key expression of someone else's heart or mind contents played a key role in your attaining that achievement, how? --- did any sort of art, performance, or composition play a role in that first achievement? what? how?	what result --- what was different after the incident than before, why, what role did that difference play in your subsequent career --- what feelings were crucial in the incident? --- what images were crucial in it? --- where did such feelings and images come from?
		prospective: what you now imagine or want or plan to do next	• what new work are you considering or fascinated with but have not yet committed to --- where is the idea for this work coming from now in you? --- what is as yet unclear about it? --- what is now clear about it? --- what fascinates you about the idea now? --- what inspires you now to work on this work? --- what feeling or image in you contributes most to this work --- where did that feeling or image come from in your experience	• what work has fascinated you by being somewhat attractive yet somewhat repulsive to you --- what in you is attracted to what parts of it, how, why --- what in you is repulsed by what parts of it, how, why --- where did the parts of you attracted to it come from --- where did the parts of you repulsed by it come from	• when you produce X these days, after succeeding at it many times, what is yet new and challenging and intriguing to you in the midst of the process of doing X, how, why • what feeling or images in you contribute to that now, how, why --- where did these feelings and images come from in you, what put them in you, how, when, where, to what effect ---	• simply put, what made you great at X? --- try to recall the very first moment that the idea that you might become truly great at doing X first entered you mind or heart? --- what was going on in and around you at the time this happened --- what images or feelings in you helped make this possible, how --- where did those feelings or images come from --- what work of art in any contributed to this outcome, how, why
	questionnaire for testing validity of ideas from literature	retrospective: what you did one time	• circle all the following forms of art that played any role at all in your process of creating your most recent work --- in the blank space beside each one that you marked put what the role was that it played	• when you compare a painting by Picasso with a painting by Salvidore Dali, which of the following images comes to mind, mark each one that does --- in the blank space beside each image put why that image comes to you mind in this context	• which of the following feelings played a key role in your best achievements, put a mark beside the items in the following list that played such a role --- in the blank space beside the feelings that you marked, put what the role it played was and where the feeling came from in your life	• list seven stages in your becoming a great person in your chosen field in the blank spaces below --- in the second blank after each stage, put the image that played a key role in your imagination in that stage --- in the third blank after each stage, put where that image came from in your life
		prospective: what you now imagine or want or plan to do next	• your work is evolving in which of the following directions, mark one or two of the below --- in the blank beside the ones you marked, put what aspect of your next project will confirm this direction of evolution and how it will do so	• when you next get overwhelmed by a work of art, how will your ability to appreciate it be different than it was, say, ten years ago? --- what are you looking for now that you were not ten years ago, why --- what are you avoiding now that you were not ten years ago, why	• what next major accomplishment do you sometimes dream of doing, why --- what expansion of your repertoire of feelings helps this effort --- what expansion of your repertoire of images helps this effort --- what have you encountered in recent years that might help this effort, how, why	• what stage is your career in, mark one of the following --- in the blank beside that marked item put what art you liked at this period of your life --- in the blank beside that put what art you disliked at this period of your life --- in the third blank beside your marked item put what your likes and dislikes in art at that time indicated about how you conducted that stage of your life
process that produces output	interview for fresh content	retrospective: what you did one time	• what satisfies you the most about how you work	• what are the stages you go through when contemplating a great work by someone else in your field	• what works of art did you have around you when you made your last achievement, why, what did they offer to that effort	• what role does celebration play in your career process --- do you celebrate partial victories or only complete ones --- how do you celebrate --- how important is celebration to the

traits that satisfy and dissatisfy customers from total quality						progress of your work, why
		prospective: what you now imagine or plan or plan to do next	• what will you do differently when you next produce a work, why	• what unimagined new feature would you like to find in the next great work of art you experience, why	• the next great challenge you wish to tackle is what --- is what you will need in terms of psychological strength to tackle it similar to something you have seen in drama, dance, poetry, theatre, opera or some other art? which work? how is it similar?	• what is the role of entertainment in attracting the attention you next major accomplishment needs • what are the steps of getting the attention of those whose attention you need for your next achievement
	questionnaire for testing validity of ideas from literature	retrospective: what you did one time	• is it you that reaches the audience or it is something other than you using you as a channel so to speak, mark you answer below and give an example in the lines provided	• when something reaches you deeply, which of the following is it satisfying well inside you	• mark the type of music from the list below that you use when you produce your best work --- beside each marked item put what it does for you and your work	• what works inspired you at each of the following stages of your career, put the work next to each stage below and put how it inspired you next to that
		prospective: what you now imagine or plan to do next	• what in yourself do you wish to satisfy with your next work that you did not satisfy with any of your past works	• what do you dream of a work doing to you in the future that none has done to you thus far	• what people in literature do you admire and how did they influence your accomplishments	• what heroic story of the types given below best captures what doing your next great thing will probably be like for you
Literature			literature on functions in composing or performing art	literature on functions in encountering/consuming art	literature on role of art in highly educated, effective, creative production or performing	literature on role of art in process of becoming someone great at something
			Approach One: Art Producers & Consumers		Approach Two: People with Great Lives	

The Two Samples

The sample of accomplished people was already developed for related research published elsewhere (Greene, 2004). In that research I built a stratified sample of 63 different fields of accomplishment in society and found 5 accomplished people in each of those 63 areas. These 315 nominators were interviewed briefly then asked to nominate really accomplished people in their own fields, whether up and coming or already established. In one case they were asked to nominate "highly educated acting" people, in another "highly effective" people, in a third "highly creative" people. In the end, 2 people of each of these 3 (educated, effective, creative) were nominated for each of the 63 strata. As these nominated people were interviewed, 24 people they suggested were added, to make 150 for each of the 3 areas. For this study 150 of those 450 were randomly chosen, by computer.

	Science	Art	Humanities	Social Science	Engineer-ing	Professions	Fad & Fashion	Lifestyle	Systems
Economic	technology ventures, idea markets, invention markets	museums, exhibitions, concerts, tours, coffee houses, clubs	resource limitation management; mystifications, historic preservation	economics: markets, pricing, regulation, trade regimes & orgs	financial engineering, inventors agriculture	business and management advertising & marketing	fashion designers, branding, multi-industry marketing by events	housing, communities locale type	technical innovation, quality movements
Political	voting gaming representation campaigning	awards, cannons	agreement limitation management, power embeddings realization	political science: elections, campaigns, administrating, consensus	cyberdemocracy, internet funding of campaigns, net volunteer management	administration military	party politics, third party movements	involvement dimensions	policy deployment, dissatisfaction deployment
Cultural	ethics and religion policy making social clubs charities	art venture districts	meaning limitation management. false consciousness identifying	anthropology: deliberate culture invention, community enhancement	community organizing, environmental,	religion education	lifestyle inventions, green movement	performing-consuming balance; diet, videogaming, manga	diversity management & expansion
Social Change	democratization globalization	social cabarets	confidence and direction limitation management, frame-limited revolts	sociology: social process and structure--decline, fix ing, invention	innovation venture districts/ clusters	movement builders	intellectual movements, liberation movements	social entrepreneurs, self funding "profitable" charities	coalition building, foundation grants
Traditional	astronomy geology meterology oceanography space sciences	painting, music (song writers, performers, conductors), sculpture, dance, comedy, drama (theatre stars, movie stars), poetry,	history philosophy	tribal community: festivals, calendars, wealth inheritance, bias in laws	exploration, civil, architecture	medicine, nursing welfare	crowd generation, trend riding marketing, trend seeding, social imbalance exacerbations	festival organizers, theme parks, global event organizers	value sharing, negotiation, non-medical healing, reputation networks
Establishment	physics biology chemistry math	performance, design	literature, counseling regimes, critics, awards, theatre industries	rise and fall of civilizations, rutted cultures	mechanical, electrical, aeronautics & space	law & justice	epidemic generation, rights movements (human rights etc.)	consumer movement	value sustaining/ imposition
Emerging	information media silicon and non-silicon computing h/w	digital art, interactive art, socially composed art, cyberart, virtual worlds	applied humanities, group composing, composing contests	networks, social virtuality	biological & genetic, computer, internet society, nano tech--their blends	info tech, quantum devices	internet options: 6 billion channel TV broadcasting, agile economy	lifestyle inventors, micro institution development via viral growth regimes	complex adaptive systems research

The artist sample had to be developed for this particular study, on the other hand. This was done by asking 3 well known people in each of

the 63 categories of art below, nominators, some questions about the role of art in their lives, the functions art performed in their lives, the functions it performed in doing their work, and so forth as the above table indicated. They were also asked to nominate 5 very high quality established artists in their own field and 5 up-and-coming artists of possible great quality in the future. Dice were used to randomly select 1 established and 1 up-and-coming artist for of the 63 strata of society, making a total of 126 people called nominees to be given fuller interviews and questionnaires. In the course of interacting with these nominees a further number of appropriate people were mentioned and added till 150 total were given the interview and questionnaire. Gender balance, age balance, geographic balance only of rough sorts was established by examining the random choice results for severe skew, and where severe imbalance was found in gender, age, or geography, that was not found in the underlying population being sampled, another random choice set was chosen till one more balanced resulted. An arbitrary limit of five such re-rolls was selected to prevent re-rolling to tilt samples towards other subtler characteristics. The least different in proportions from the underlying populations (where populations rates were known at all) of the five sets by gender, age, and geography was then chosen.

The purpose of the stratification by 63 areas of art was to highly distribute by art type the sample. The purpose of the nomination process was to move in two steps from our own amateur choices through more professional choices to real professionals. The purpose of the random choice from nominee lists was to achieve a non-biased sample of well known people in a field. The purpose of having both established artists and up-and-coming ones nominated and selecting 1 from each for each nominator was to not bias the sample toward old established figures or young unfamous ones. The purpose of reserving 24 openings for people opportunistically recommended by nominees was to make sure that low quality in our set of nominators would not slight really wonderful people in the field that we should by all means contact. Each of these is highly imperfect for its own purpose, but better than no countermeasure at all. The overall result did not display any obvious biases though we cannot rule out ones too subtle or clever for us to have noticed.

Performance arts	Exhibition arts	Design arts	Composition arts	Event arts	Street Theatre arts	Circus arts	Martial& Sports arts	Written arts
opera stars	sculptors/wood carvers	product designers	music composers	festival organizers	magicians	animal tamers	chikon/judo	poets
orchestras	painters	info designers	song writers	floatdesigners	jugglers	aerialists	ninja	novelists
actors	tapestry creators	fashion designers/ make up designers	choreographers/ movie director	costumer designers	pierots	clowns	tai kwan do/karate	dramatists\movie screen writer
comedians	miniaturists/set designers/lighting designers	architects	comedy writers	sound effects com posers	minstrels/one man bands	barkers & touts	competitive ball room dance	short story writers/ blogg stars
dancers/ballet	instrument inventors	gardeners/landscap ers	jazz improvisers/ rapp	fireworks designers	mimes	masters of ceremo nies	country line dance	ad copy writers
singers	inventors	interior decorators	comedy improvisers	venue decorators	acrobats	rodeo	figure skating	computer graphic artists & designers
models	photographers	bonzai/flower arranging/tea cere mony	event designers	chindonya	manzai, rakugo	extreme jumps/ stunts	synchronized swim ming	image consultants

Analysis of Data

The same procedure was applied to interview transcripts on functions of art in artists and highly accomplished people and to literature on functions of art in artists and highly accomplished people. All mentions of functions of art in transcripts/texts were marked, grouped by similarity, groups named, groups grouped by similarity, those supergroups named and so on then, the highest level groupings were put in some obvious order, and that order repeated as nearly as possible with all groupings on each lower level. Finally, branch factors, the number of component items within any group on any level, were regularized on all levels and between all levels, till one branch factor characterized all parts of the entire hierarchy of names. This results in what I have elsewhere called a fractal concept model (the first published such

model appearing in Greene, 1993 as "Coordinates of Being: Japanese"). The regularity of branch factor and ordering principle on all levels and among all groups at any level leads to ease of use, memorization, and application not found in more irregularly formed models. Fractal concept modeling requires good "idea factoring" and good "naming". The former is extracting from three or four concepts grouped together exactly the ideas and frameworks shared among them to constitute the content of the name given their group. The latter is maintaining a balance in devising group names between name components, such as representational ones (capturing ideas shared by all component ideas subsumed by the name) and relational ones (capturing what in this group of ideas makes it unique compared to groups arranged left of or right of it at the same level). Also when irregularly branched and ordered usual idea hierarchies, say, from Kawakita Jiro's KJ method used in quality programs, are regularized into fractal concept model form, overly numerous groups (in terms of number of component ideas in the groups) require fusing the least contentful ideas in them and overly sparse groups (in terms of too few ideas, in fact, the number of ideas is less than the chosen branch factor to regularize around) require splitting the most contentful ideas in them. Regularizing ordering within levels and across all levels requires highly abstract frameworks applied to every set of grouped ideas, putting all such groups into an ordering analogous to the ordering chosen for the top-most level items. All three of these skills are mentally demanding and found in few, as formal training in them is, at present, limited to Osaka, Japan.

In the case of this paper's research, fractal concept models from interviews and questionnaires for both artists and high performers, that is four such models, were produced. To fuse them a bottom up method was chosen, to preserve the inductive nature of the overall result. Lowest level items were aligned among the models by 3rd party categorizers not aware of the purpose or other content of this research. They were instructed to align lowest level elements among the four different fractal models as similarly as they could, then to argue out, between each other, which model's group content, and group name, best fit idea factoring, naming, principle of ordering propagation principles that constitute good fractal concept model building practice. No one pre-existing fractal concept model was to be preferred in any way but rather lowest level best group contents and names from any one of the four models was to be selected and combined with such best groupings from any of the other fractal models, gradually in this bottom up way constituting a new fractal concept model, not identical to any of the original four, the components of which it was built from.

The production of such models, using identical procedures, for both transcripts and literature allowed precise comparison of the resulting models. Where groups or items named virtually identical things, terminology was adjusted in the transcript model to reflect already established terminology in the literature. The final model, then reflects what was supported both by literature and transcript data (all items found only in one were dropped from the final model). Questionnaire items that indicated functions were listed with functions marked, then subjected to virtually the same grouping and naming and ordering procedure above, resulting in a third fractal concept model of functions. This model was compared to the combined result of the other two models and only items appearing in all three were kept for the final analysis.

Note that all the above three models, thusly combined, were done twice, once to make a model of functions artists noticed and once again to make a model of functions highly accomplished people noticed. These were compared and only items appearing in both were put into the final overall model reported below in this paper. Had there been items in any of the three models showing up many times in one or two of them but not in the other(s), this would have been reported as an interesting exception telling us something about artists, highly accomplished people, interviews or literature on arts. However, once superficial differences in terminology were factored out by 3rd party categorizers, not connected directly to this research, no such items remained. There were no items receiving the minimal cut off number of mentions required to get into the final overall model below, that were entirely unmentioned in any of the sources. A sort of consensus among sources was what we were after here--finding functions that nearly all relevant sources agreed were performed by art and vital for life or work.

No data from tribal cultures was obtained, except things mentioned in literature on the anthropology of art. This, thought to be a severe weakness in the data, turned out not to be as much of a problem as feared because few such literature-found items, meeting the cut-off mention number requirement for each source, were missing from the other sources. If a tribal-like function was mentioned enough in the literature to be included it showed up as well in transcripts of interviews of either artists or highly accomplished people. We did not anticipate this and were relieved when this was found.

Frequency Distribution of Functions in the Final Model

This research sought to find functions of art that not just artists, not just highly accomplished people, not just literature on art mentioned.

What was sought was functions all these sources agreed on. The data analysis procedures above assured the final resulting model would represent a consensus of this sort. A perfect consensus would be unlikely so what was settled for was items, put into the final model, that met a particular cut-off value in terms of number of subjects mentioning it. This is not as scientific a process as one would hope, however. For, even when 3rd party categorizers are used, as in this research, their liberty to group and name groups freely and regularize the resulting irregular model allows them to somewhat freely trade-off name scopes with group number and order. As a result, slight changes in naming can allow a group to include an item otherwise grouped separately. Third party categorizers can get perplexed by the extremely subtle small differences of concept they are having to group, categorize, name, and order. The categorizers used in this research had received years of formal training in fractal concept modeling, furnishing them with idea factoring, naming, and principle of order patterning skills not found in the general population of researchers at usual universities. As a result, one can argue about the degree of consensus caught in the final model below. To show the degree of consensus in the final model, a frequency analysis of number of mentions of each function in it is provided below.

It was apparent that high performers were more articulate on average than the artists in our sample and much more broadly educated. As a result, and contrary to expectations, a more diverse set of functions was on average mentioned by each high performer than by each artist. This is consistent with the aloof personality type reported prevalent among many artist types in prior research. Also noteworthy is our questionnaires produced slightly more types of functions-mentioned than our interviews. In part this was a natural result of finalizing questionnaire content based on preliminary interviews with nominators in each field. The less open-ended questionnaire items seemed to provide more focus for respondents, producing more finely made discriminations among ideas.

Frequency Distribution o

fPurposesofArts(Rounded)**Added Across Literat**

ureplusTranscriptsandQuestionnairesGivento Ar

tists and Eigh Performers Minimum mentions needed for incl

usion, 61:9 artist transcripts, 11 high performer transcripts, 11 literature

authors, 14 artist questionnaires, and 16 high performer questionnaire

es

Higher Level Categories

Lowest Level 64 Functions

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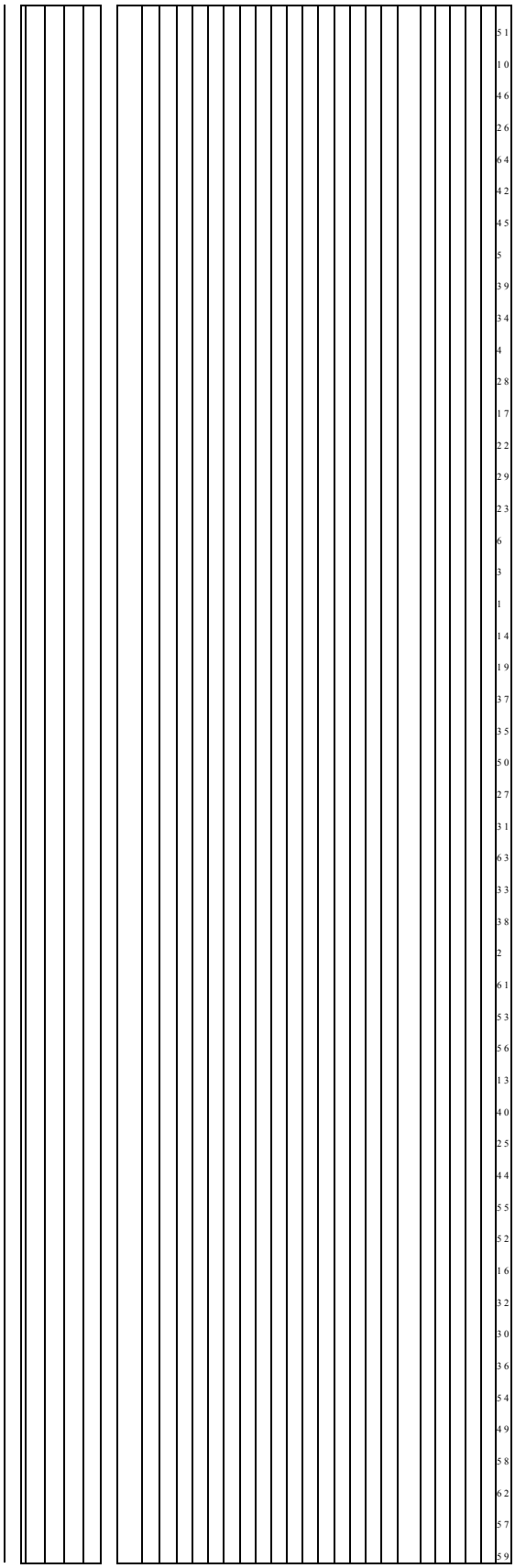

pierce limits

seebetter

causereflection

spawncreation

Item Name

name new terrors & dreams

incipient

culture

overcome

recall

mind

be yond

find the mind

reveal the hidden quality

improve neur otic

seek im pos sible co m bi nat io ns go als

exchange

find new loc al for dis tan t fra me wo rks

mission

create possibilities

creation

Item Name

externa l thr eat, in ci pi en t thi ng s na m ed

externa l op po rtu nit y, bu ld in g ch an ce s

internal

mistake

insecurity

assumed

go od ne sse s att ac ke d tin y pe rso nal re pe rto ire s ex pa nd ed im agi ne be yo nd sel f li mi ts im agi ne be yo nd so cia l li

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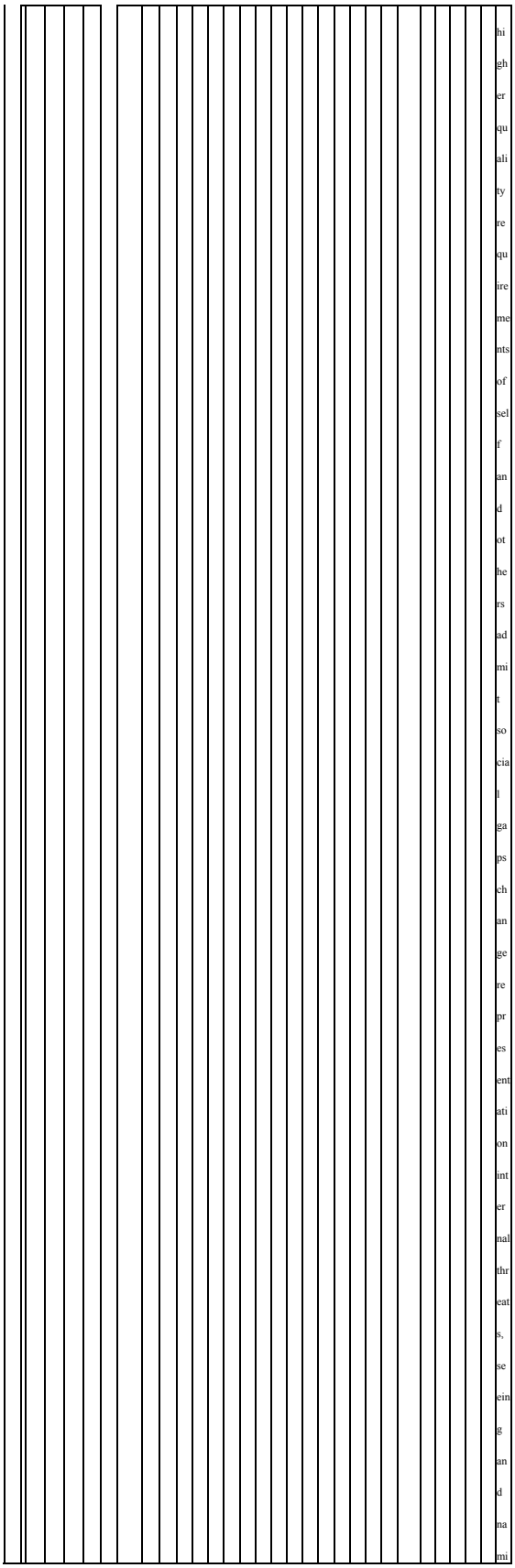
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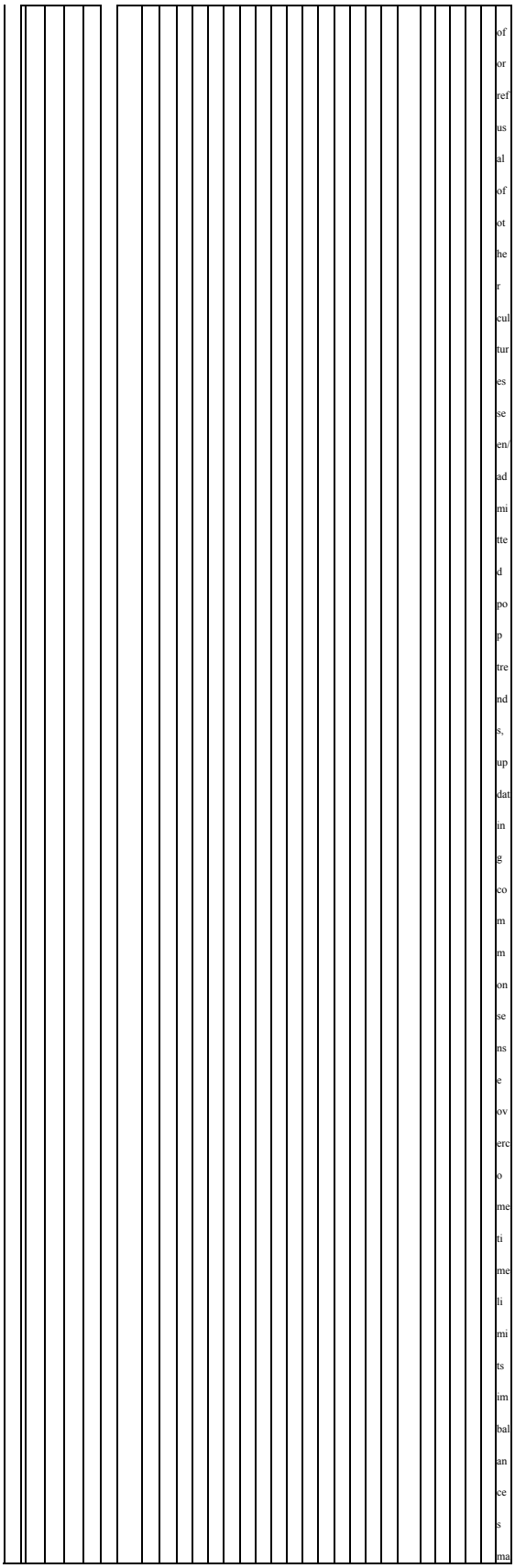
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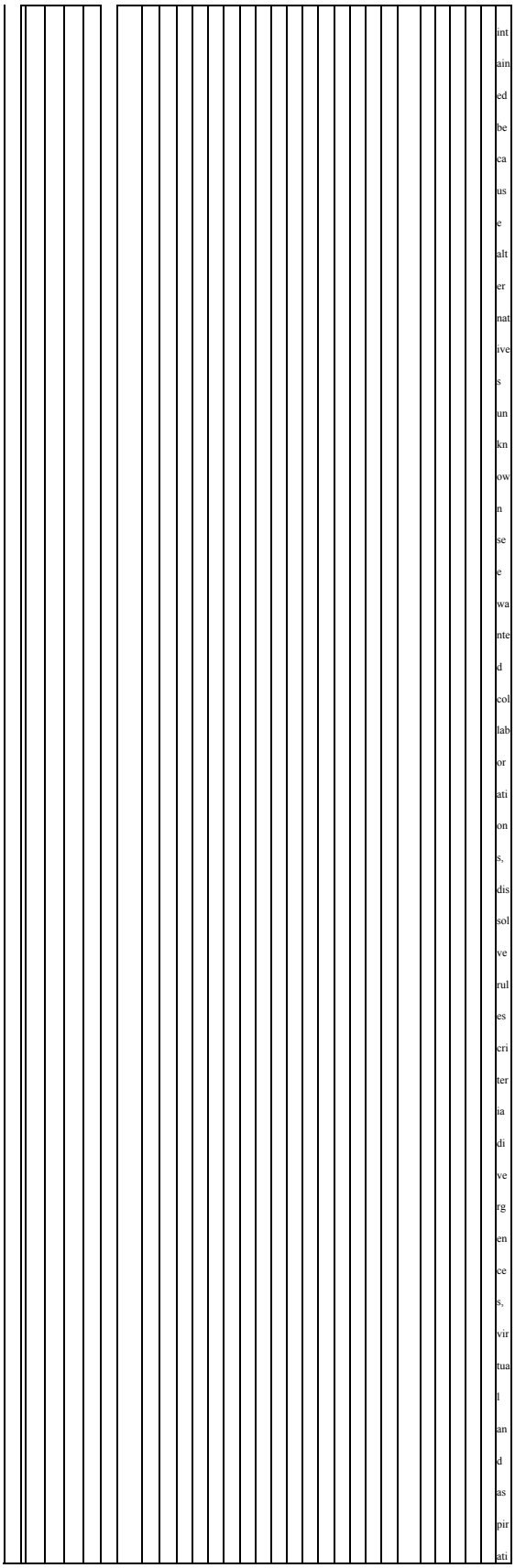
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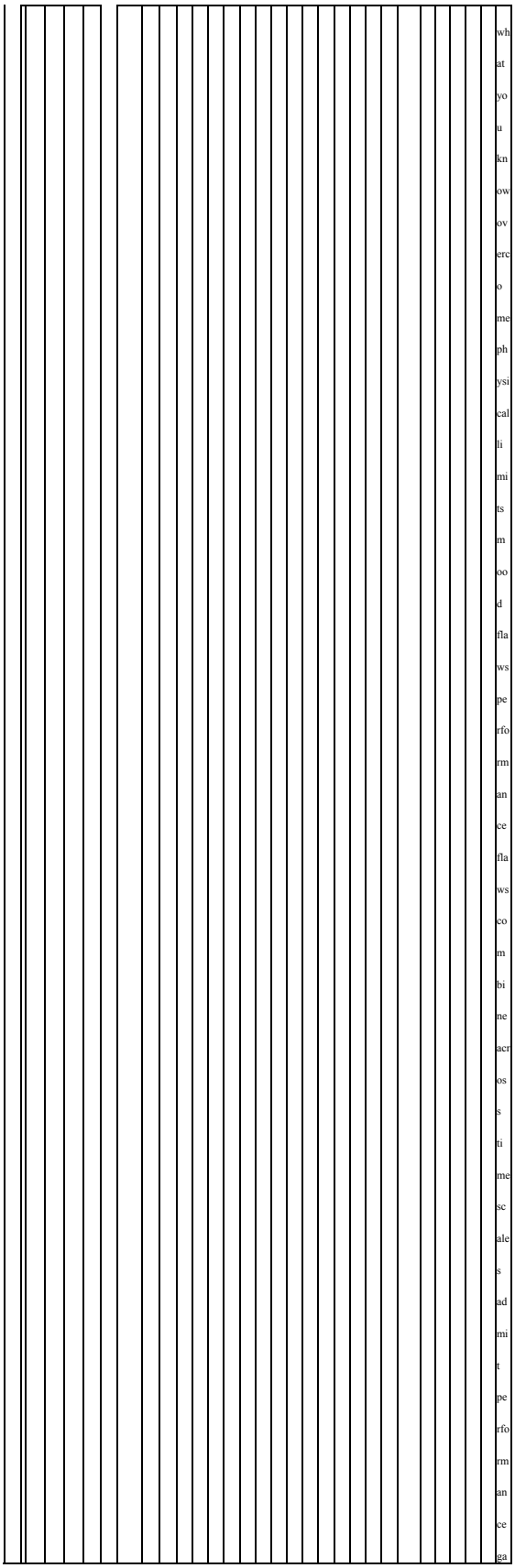
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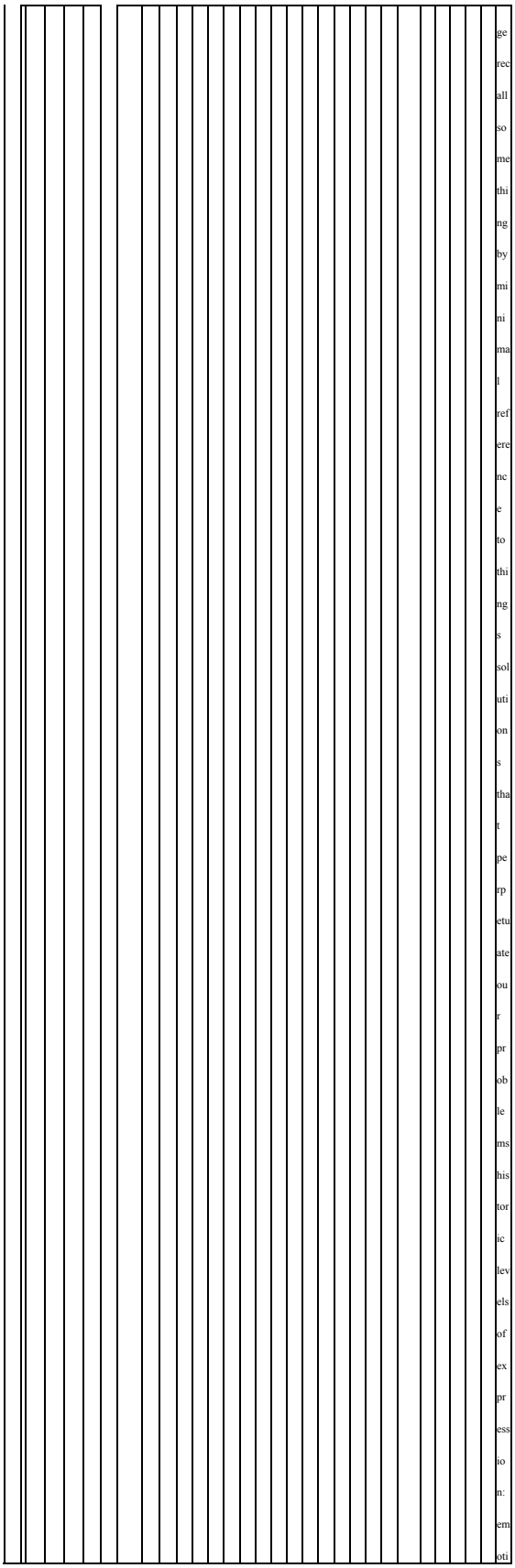
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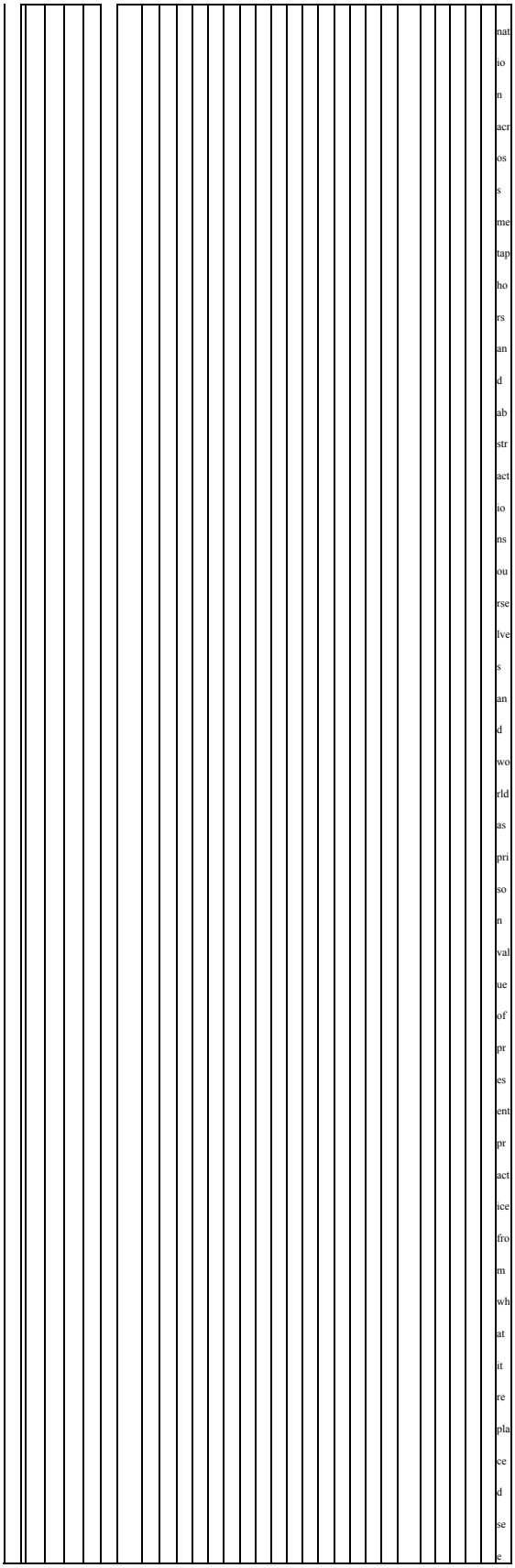
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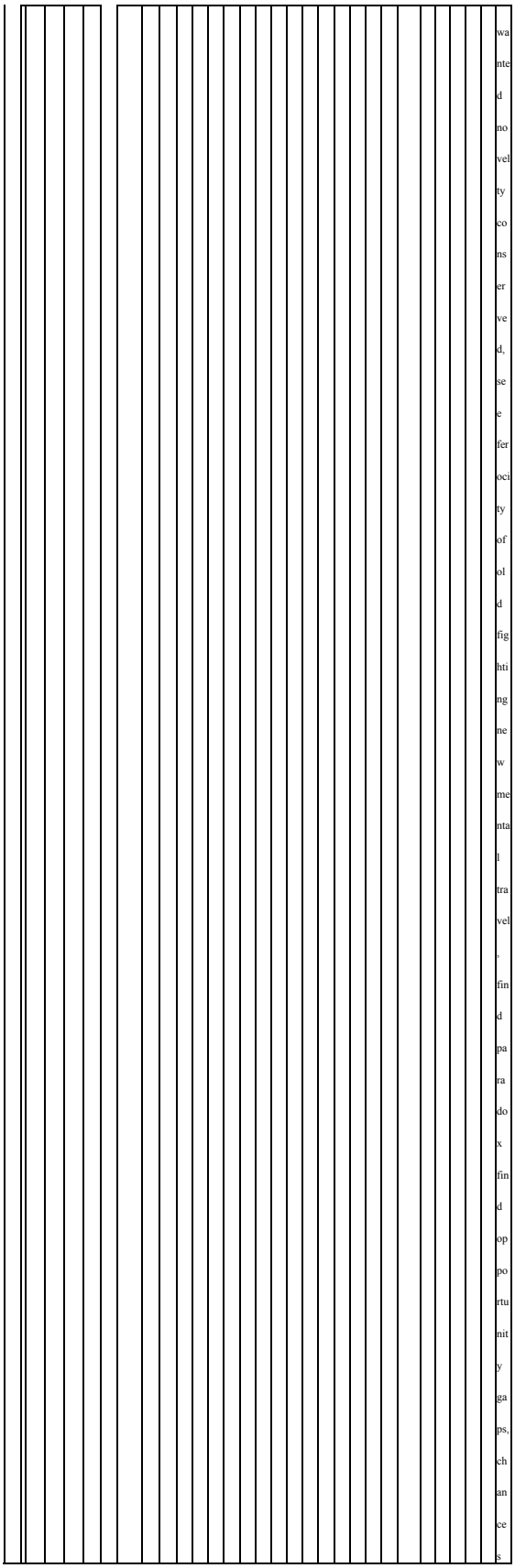
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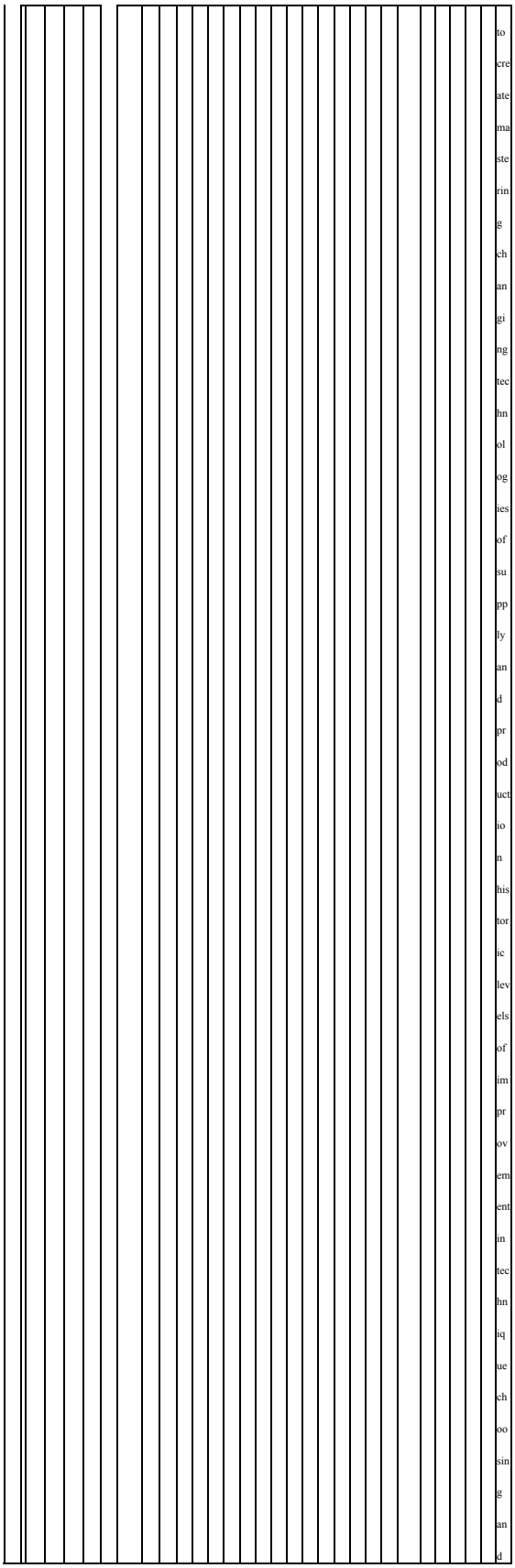
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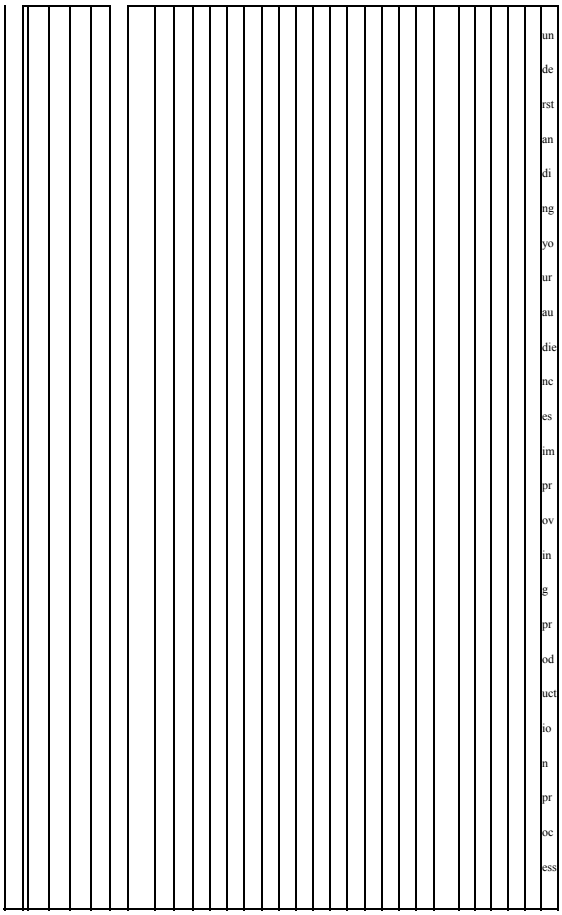

The Model Itself, A Minimal Prose Expression of the 64 Art Purposes in It

All arts pierce limits of life of several sorts. By imagining us beyond such limits, arts encourage humans to devise later actual means of transcending the same limits. All arts cause reflection--re-presenting to us our own experiences--to overcome things that cause us to forget or flee or never notice all that is going on, implied, entailed, or latent in what we do. All arts cause us to see better--they open up a wider world, expanding what we think, feel, see, and do. Seeing connections we would have missed, because arts point out those connections, opens up new objects to see, and, in turn, each newly seen object exponentially expands possible interesting connections to notice. All arts cause people to become more creative. Art sets up the conditions for being creative. The creators who are artists turn those who see or otherwise experience their art into creators too.

All arts pierce limits in people and the world. They do this four ways. All arts reveal what is hidden. Personal and social pressures imperceptibly cause us to forget, hide from, flee, or deny parts of experience and reality. Art recalls precisely these things we have forgotten, hidden from, fled, or denied. All arts overcome fixed limits. We get tired of the nature of life in this world, tired of all of it at times, and tired of any one or several particulars in it at other times. Art lets us, by imagination, live in worlds that are different, lack certain limits or rules, have different potentials. Art lets us explore how we as humans want to adjust and relate to every thinkable aspects of the one world we inhabit. All arts name new terrors and dreams, bringing them into human thought, discourse, and action. All the incipient, nascent, intangible, things at the edge of awareness are, by art, brought into view, named, thought about and acted on. Art civilizes all that is perceptible or thinkable for us--it brings it into view of everything in civilizations. All arts make impossible combinations. Our world is split by all sorts of divisions that works of art overcome or imagine away, revealing to us relationships and synergies we never would have

directly encountered otherwise.

All arts cause reflection in people, re-presenting the world and experience. They do this four ways. All arts get us to admit gaps between word and deed, self and other, immortal imagination and mortal body that we deny, flee from, hide from, minimize, or otherwise distort. Art brings up back into the presence of holes, spaces, missing things. All arts get us to recall life's best and worst experiences. Art is a primary vehicle for remembering our past and envisioning possible futures. Our experience of life is so rich we cannot bear it all in mind at once and cannot maintain it in mind for long. Art overcomes such limits to awareness by representing our best experiences and worst to us, so we remember what life is beyond what our present moments contain. All arts free us from the bias of the present. All arts find the minimal essential traits that define or identify something. This is a game of seeing absolutely how few traits or acts or words we can use to recall completely for us or others some complex powerful experience or image. We love impersonators and mimes because they seem to exercise the immensely powerful and satisfying pattern recognition facilities of our human minds, pushing these machineries inside us to the limits of their performance. All arts get us to exchange local for more distant frameworks for viewing familiar things. Art magically turns our boring repetitious mundane daily life worlds into immense unexplored territories by getting us to view them from unfamiliar frameworks that, without arts, we would never encounter or use.

All arts cause us to see better. They do this four ways. All arts get us to spot what we are missing in terms of public spaces where we can show our uniqueness via word and deed in front of a democracy of peers. Arts reveal what we are missing in terms of public fora and limelight. Arts vicariously provide us with recognition and limelight for intimate parts of our consciousnesses and lives that in reality we have no chance to show our selves or others. Arts reveal the attention we continually crave but do not get. It reminds us of what we wish liberation from. All arts reveal the neuroticism and paradoxic nature of our own goals. Art teaches us exactly how we are our own worst enemy. It shows the costs of our talents. All arts show how having a culture, our culture, has costs we often do not admit. It shows the cost of "being us" and "being I". What we love and are enslaves us, art shows. Art expenses the costs of growing up local and never accounting for all the localness inside us. All art finds the incipient edges of consciousness. The new continually erodes all that we based ourselves on as we grew up, but our frameworks from the past, blind us to the new and the novelty in new things. Art accounts accurately for what is new and preserves for us what is new in it, preventing us from assimilating it to the past, protecting it from being engulfed by the past. Art defends what is new from what is old.

All arts spawn creation, establishing in people the conditions required for being creative, for creating. They do this four ways. All arts help us find new questions to seek answers for. Art reveals entirely new questions that change us and what we seek in life. All arts create creation capability in people. They establish within us each of the conditions needed for creation. They draw us into the direction of creating. They reveal to us the inability of lives that create no meaning after they are gone, to satisfy. They introduce us to the audience of the unborn. All arts lead us to improve the quality of all that we think and do. Arts make us dissatisfied with things as they are and more importantly, with our current criteria of excellence. Arts raise the quality question profoundly in us. All arts entice us to go beyond all that ever was, all that is, and all that we can imagine to be. Arts raise the question of extreme trespass, violation, and extrapolation. Arts tell us stars have powers and arts entice us to master star powers and invent new stars with newer powers.

In piercing limits, all arts reveal the hidden, overcome fixed limits, name new terrors and dreams, and make impossible combinations. All arts reveal the hidden. They do this four ways. All arts reveal performance flaws, error, and mistake. Indeed the only place in all of life where error and mistake are admitted is in fiction, in art. In reality, be it family, friendship, company, or team, error and mistake are denied, hidden, dangerous, distorted, used as a weapon against people. Comedy and tragedy both are based on error and mistake, comedy viewing it from afar and laughing, the tragedy viewing it from nearby and crying. All arts reveal goal flaws of greed and lust. We paint our faces always making the world and ourselves look better than we are. Our real animal nature embarrasses us, so we hide it till arts remind us it is there, real, and us. All arts reveal mood flaws of tiredness, disagreement, loneliness, and weakness that undermine our effort to always look and be "in control". There is so much social pressure in humans to look powerful, in control, decisive, and the like that we constantly distort our actual degree of power, control, and decision. Art reminds us of all these distortions. All arts reveal diverging criteria of different images of virtue and what to aspire for between us and others. Our primary group of family and close friends is always there standing in the way preventing any fundamental change or growth in us, till art reveals how much maintaining such relationships and closenesses is costs us and them. Art sets us free from social support bought at a cost in what we aspire to and maintain as our standards of performance and excellence.

In getting us to overcome fixed life limits, all arts get us beyond time limits of death, busyness, and career, beyond physical limits of place, transport, and mundane things like tree heights, beyond social limits of wasted lifespans, politicizations, and herd conformities, and beyond self limits of self centeredness, sin, and loss of love. All arts get us to overcome time limits of death, busyness, and career. Time powerfully limits our lives in many ways. Death shortens things, though people tend to spend the first decades of their lives ignoring it. If you are not careful death can end up justifying horrible actions--you get one chance, someone is standing in your way, crush them because you do not have long to live. The arts, all of them, invite us beyond the anxiety that short lifespans and death tend to impose. The arts remind us what is lost when we get too wrapped up in the shortness of life. Busyness and career yearnings similarly become excuses for hurting those we loves and bypassing essentials for more superficial values. Arts call us back, beyond our wrappedness in work, career, and general activity, to see what is being unseen, remember what is being forgotten, value what is being de-valued. All arts get us to overcome physical limits of place, transport, and mundane things like the height limit on trees. Arts invite us to imagine worlds with trees many kilometers high, worlds where people commute to work between planets, worlds where everyone lives on beaches computing to work from the waves. Arts release us from the tiresomeness of having only one world, one type of physics, one planet to live on and in. Arts invent capabilities that technologies tend, years or decades or centuries later, to actually establish. All arts get us to overcome social limits in life like wasted lifespan, politicizations of issues, herd conformities. Being social automatically gives us lots of poise, courage, encouragement, resources, so much so we sometimes forget the costs in conformity, politics, backbiting, self editing that come with it. Arts remind us of what these costs have cost us. It lets us imagine social support without herd conformity as a cost. All arts invite us beyond self limits like self centeredness, inability to follow through on our own values, and loss of love, among millions of others. Being a self means having great vulnerability to isolation, to posturing, to images that others develop of us through interaction. Being vulnerable is so much a part of being a self that we tire of the way we emphasize our selves all the time, the way we continue to make promises we fail to keep, the way we care for others who end up not returning any care to us. Art relieves us of these disappointments in being a self. Art lets us imagine I's not overly concerned only with "me", promises not turned into mere posturing by failure to keep the promises, and loves that gets returned in equal measure.

In naming new terrors and dreams, all arts direct our attention to new threats from without, to things inside us that erode us or waste our efforts, to opportunities arising so gradually we may realize them too late, and to changes going on inside us that have great portents that we may miss entirely. All arts put a name to incipient or latent external threats that we would otherwise perhaps miss till they become overwhelmingly large. Long before policy discussions or budgets change, the arts dramatize and poke fun at, imagine and delve into parts of life too subtle or new to fit into any existing category. The arts are first to see what threatens whole communities and societies and give it a name. Things and trends that are just ideas get turned by arts into felt, seen, experienced impacts on real lives. Abstract threats become embodied via the arts. All arts make visible and name ways we threaten ourselves that are so gradual, slight, latent, inchoate that we otherwise would never notice them till done in by them. Compromises, the costs of which we forget, time wasted as fear of dying consumes us, sentimental relations to others that prevent real care and changes in our perspective are all gradual things that build up unseen in us till one art form or another brings them powerfully to our attention. Suddenly that experience of those people in that drama over there gets seen as my experience here inside my mind, realized and made explicit. Suddenly I become aware of what has been going on in me for quite some time. Suddenly I see and feel it, notice its boundaries, parameters, and implications. Suddenly I care about it, that is, about me. All arts name new external opportunities gradually appearing around us, that we have not noticed. Indeed, opportunities that we have avoided noticing because of unwillingness to contemplate the changes in us they imply, get named too, by the arts. Whether we want it or not, the arts introduce us to newly opened vistas, now actually possible for us, that we can been pretending were not there. Hope that was not hoped for now confronts us, due to intervention by one art or another. All arts name new internal opportunity as well. We can lug around images of our self that get more and more out of synch with what we actually feel and do. The arts, break in, and name new aspects of our selves for us, making us realize new capabilities, fears, chances that are there latent in who we have unwittingly become.

In making impossible combinations, all arts combine things on different size scales, combine things on different times scales, combine things in different cultures and disciplines, and combine things based on different abstractions or metaphors. All arts combine things on different size scales. The small and the giant are joined in art. Patterns and themes operating on one size scale are noticed to be operating on smaller and larger scales in works of art. A unity across size scale is brought to attention and dramatized. Consider great tragedies where the slightest surface flaw in behavior dooms entire dynasties and families--the great brought low by the slight or insignificant. All arts combine things on different time scales. Arts bind times otherwise utterly separate. The eternal return of themes, incidents, character types itself recurs throughout all the arts. Art works stand in some eternal unmoving point viewing the swirl of time and history and story and career around it. It is the stillness of each art work that so emphasizes the swirl of what we call life around it. All arts cross culture and discipline boundaries. There are so many boundaries erected by people and our organizations. We live in complex cages within cages. Arts pull us

beyond the mental, social, emotional, moral, aspects of these boundaries, joining precisely what, in reality, is never joined. Boundaries as places to hide from the costs of diversity are revealed and reviled by the arts. All arts combine across abstractions and metaphors. Abstractions and metaphors (up is "better" than down, for example) are within the mind boundaries that, because they often operate unconsciously, restrict us in ways we are unaware of till works of art show us value that violates them (downs that are "better" than ups, continuing the example). The arts show where our habitual terminology, grammars, and images of language mislead us and distort reality.

In causing reflection, all arts get us to admit gaps of various sorts, to recall the best and worst experiences of our lives, to recognize complex wonderful things from extremely partial aspects of them, and to exchange our local comfortable frameworks for distant ones that change the meaning of everything. They do this four ways. All arts get us to admit gaps of several sorts, self gaps between word and deed or between dream and career, social gaps between self and others or between love and care, performance gaps between what is needed and what is supplied, or between what is possible and what is made real, and finally, anxiety of existing gaps between what we imagine and our very real mortality or between what we plan and the unexpected side-effects of getting it that often overwhelm what we planned. All arts get us to admit self gaps between word and deed or between dream and career. We disappoint ourselves but forget we do so. We aspire to more than we achieve and imperceptibly learn to exaggerate our actual achievements in our own minds till we lose track of reality entirely. Arts remind us that hope is different than achievement, most of the time. Art deflates bombastic versions of our greatness that we concoct all too easily. All arts get us to admit social gaps between self and others or between love and care. We need self and others and get sick of too much of self and others, as well. We go beyond them but also fall behind them. We pretend to be socially adequate rather than either actually meeting social needs or actually rejecting social criteria and demands. Arts remind us that what self is and wants in all too often not what others are and want. We are socially pressured into so many actions and words that we can lose sight of our own real selves and wants. All arts expose the gaps in our performance. What is needed is often, perhaps even usually, not what is supplied. What is possible is nearly always greatly beyond what is really achieved. Our ambitions are immense, our accomplishments much more modest. We tend to want to forget that modesty of the actual and live more in the comfortably immensity of our imagined accomplishments. All arts expose the anxieties of existence that we erect artificial well controlled worlds to deny the existence of. Arts bring us face to face with death, consciousness, limitations of mind and culture, gender and biology. We have central, neutral, diverse, happy views of our selves that deny the marginal, biased, uniform, unhappy realities of where we grew up and who we have unwittingly allowed ourselves to become. Art reminds of us the unbounded, the unplanned, the unadmitted, the uncontrolled elements in reality that deny our images of control, rationality, purpose, and accomplishment.

All arts recall for us both the best and worst experiences of our lives. They do this four ways. All arts recall for us what we know about ourselves. Arts index our life experiences for us, giving us immediate access to things that happened to us decades ago, as if they are real, happening now, once again. Arts are time machines for us. All arts recall what we know about others. Our lives are so rich in experience that we cannot stay aware of it all. Arts remind us of the otherness of others, undoing how we naturally assimilate away what is different as we make things familiar to us. All arts recall what we know about what we know. They point out what we have learned and failed to learn. They highlight the borders of the known inside us. Arts call to mind things we learned and knew but forgot that we knew. Arts make all that we ever knew accessible again for us. All arts recall what we know we do not know. They remind us "you do not know anything about that" in the face of our constant posturing to look competent and accomplished in every life situation and circumstance. Arts remind us of all we have not done, not learned, never experienced, falsely claimed. They keep us honest. They deflate our continual efforts to self exaggerate.

All arts find the minimal essential traits of things needed to call them fully to mind. This is a sort of game. Humans have immensely powerful perceptual machineries and all the arts like the game of seeing how slight, tiny, and insignificant a fragment of something they can present that effectively fully brings into awareness and experience so complex powerful entity or part of the past. The greater the imbalance between slight trigger and overwhelmingly huge response the better the art, we feel. This game of slightnesses suggesting hugenesses is a powerful drive within all arts, from judo to financial instrument design, from lip ends on the Mona Lisa's smile to tiling in Frank Lloyd Wright ceilings. All arts seek out minimal gestures or movements that suffice to suggest complex immense things. It can be the rattling motion of two leaf bare branches in a tree that evokes a lost love, lost youth, lost innocence, lost era. All arts seek out minimal forms, shapes, bits and pieces of things that suffice to bring back huge wholes. When a fragment of a song is found evocative, artists shorten it, dropping notes, rhythm beats, tonalities playing the old game of minimal form needed to evoke. All arts seek minimal references that suffice to bring back huge wholes. A single word can bring back to full presence in the mind admiration for the ultimate courage of the human race. "Thermopolae" is one such word, where people knowing the reference recall how 300 Spartans, defeated, slaughtered to a man, in battle,

tilted all of history so that Western civilization as a whole could emerge. Without that day, and those 300 heroic deaths, the moon might be now unvisited by man, vaccines might yet be undreamt of, most children dying before age five. Artists work at it, finding the slightest reference that yet suffices to achieve full recall of exactly the right experience. All arts seek out minimal recognitions as well. Minimal recognitions are minimal recalls, where you recall just enough to get the main point but not enough to get hardly any detail. This is an intensification of the overall game, where both ends are minimized, the input needed to recall, and what is recall minimized to include only the essential core.

All arts exchange local frameworks with distant ones, throwing new light on everything. There are four ways this gets done. All arts highlight swings in history from over-emphasizing one pole of a polarity to the other pole (and back again), highlight how the value of present arrangements and institutions comes from what they fixed and replaced not from what they by themselves are, highlight how what we are willing to call a "solution" is only something guaranteed to perpetuate our problems, often, and highlight how our beliefs, habits, and values are a prison we willingly keep ourselves in to protect ourselves from reality. All arts expose how current inventions, insights, and innovations repeat highly similar ones decades and centuries ago as civilization swings from one pole of polarities to opposite ones and back. By debunking claims of unmatched insightfulness by expanding historical context, arts remove the present's ability to fool us by blotting out past and future as context. A big part of this is the way arts ground the historic in particular lives, and expand the particulars of lives into historic trends and forces that generate them--arts make the individual historic and make the historic individual. This comes as absolution to people who suffer from what they think is private "they alone" situations only via arts to discover exactly the same suffering in millions of others' lives, relieving them of guilt and shame. All arts expose how present arrangements do not make sense now by themselves--they made sense when invented to fix some arrangement that was present in the past. Now, however, they may or may not relate effectively to anything--usually they do not, hence, are literally senseless. Arts expose the senselessness of institutions when their process-of-creation contexts are removed. All arts expose how individuals, groups, and whole societies are only willing to call "a solution" things that are guaranteed to maintain their most intractable and important problems. Americans facing a third of their population without even the pretense of effective schools propose not elementary decency of the richest one third of their population but rather more innovation, more experimentation, more new methods of schooling, all things guaranteed to leave unaddressed the root causes of their lousy schools. Only Americans are fooled by these displays of "solution". Arts reveal these sorts of self contradiction in purpose and policy, person and proposal. All arts expose how our favorite beliefs, habits, and values imprison us. We yearn for freedom but yearn more for safety provided at a cost of non-freedom, it seems. Arts reveal how the world we erect between us and harsh nature also protects us from responsibility, opportunity, and all of our freedom.

In getting us to see limelight and public space of participation missing from our lives, the arts save us from the anonymity and loneliness that threatens to overwhelm us at times. They do this four ways. All arts get us to see how massive central broadcast entertainment industries have stripped chances to perform from everyday lives of most people. Each art work itself sets up a small new alternative public space where people directly experience shared feelings, perceptions, they did not know were shared by other people. This relieves them of loneliness and to an extent throws limelight on personal private struggles they thought they alone suffered with. Arts are, in this way, the single most powerful antidote to loneliness that civilizations yet offer. Arts also remind people of liberations they want but have been too timid to move on. When people gather in the semi-public spaces of art works, find their longing or frustrations are not theirs alone, desire for liberation moves from wish to plan, gathering courage by observed support in others nearby. All arts get us to see wanted collaborations. We usually take social institutions as if they were embodied laws of physics, unchangeable. Art reminds us that humans made every last piece of the civilization and civilization's world, hence, humans can remake any part of that at any time. Art dissolves solids of society into liquids. Institutions now visible are the results of past collaborations. When arts makes us see the human-built-ness of existing imposing institutions, they also get us to start up those collaborations that result in changed or new institutions. All arts get us to see historic dreams we have failed to try for, embody, or have the courage to create. All arts via establishing mini-public spaces in which people's intimate contents become public and vice versa, democratize performing and inject chances to perform into daily life. The mini-performance before or inside a work of art, exhibition, concert, or event that arts provide also releases the big-performance of history changing dreams inside people but unreleased till they, finding aspirations they thought their alone are actually shared by many others, get emboldened to turn into reality dreams held till now inside. All arts expose novelty needing conserving and useless conserving of the old going on. Arts reveal the ferocity with which the old defends itself against anything new, however small and trivial. Arts warn us that inventing is only half the battle, the real battle comes after invention when forces of the past gang up to again attack and assimilate every particle of novelty to what is old, already established, and ungrowing.

In getting us to see the neurotic and paradoxic nature of our goals, the arts show how we are our own worst enemies. They show how our talents, all of them, have costs. They do this four ways, by showing the costs of talents and skills, by showing the contradictions inherent in our goals, by showing how we imbalance our lives by forgetting current positions were extremes along polarities whose other poles have been forgotten, and by showing how side-effects tend to overwhelm intended and planned effects. All arts reveal the costs of our talents. Every talent represents focus, selection, practice, reward, pride, and the like. Each of those narrows people, removing attention and practice from other parts of life, hence, each represents costs of being greatly skilled in the talent's area. All arts reveal contradictions in the goals we have and contradictory other goals we have. For example, our drive to be individuals and our drive to be socially supported and recognized contradict each other daily. Art forces us to see such contradictions. All arts reveal lost and forgotten alternatives that explain the way out of current problems caused by our emphasis on one pole of how to think or act. We, long ago, faced a choice, chose an alternative, justified that choice for years, gradually forgot there was any other choice available, till arts remind us that we are occupying a tiny narrow space of living, reduced by forgetting all the alternatives we denied choosing over the years. All arts reveal how the surround of unplanned and unintended side-effects of our actions may overwhelm in significance and power all the wonderful rationally intended and accomplished achievements of our lives. We tend to celebrate our victories so much that we lose sight of side-effects of achieving them that negate their benefits, in not a few cases. Arts remind us of the costs of such victories, the denied other unintended outcomes around them.

In getting us to see how our identities and cultures are blindnesses, all arts reveal the costs of growing up anywhere at all. The process of growing up, wherever and whenever it takes place, has associated with it large costs. We think we get broader and broader as we age but in reality most of us get narrower and narrower. Any career success at all, tends to greatly narrow our interests, actions, audiences, accolades, and destinies. The few unnarrowed such people tend to become Nobel Prize winning novelists, starting their writing after age forty, because no other career worked out for them, for one example. The arts do this four ways, by undoing assumed goodness of our own nation, family, era, gender, profession, and so forth, by revealing our distaste for otherness in general, other people, other ways, other ideas, other cultures, by revealing the narrowness and tinyness of our chosen identities and careers, and by showing our lack of skill at handling diversity of any sort, including our lack of willingness and ability to learn from most of what we encounter in life. All arts reveal that those things we are most assured of the goodness of, do us and other the most harm. Our trust in self, family, nation, gender, era, profession all betray us into bigotry, error, paradox, and failure. Without undoing the unthinking narrownesses that our family, community, friends, schools, gender gave us as we grew up, we never see and fully choose from all the alternative ways of thinking and acting that are there in the world. Who we are, our identity, blocks so many choices from us that we live in tiny restricted universes whose restrictions we fail to unearth, sometimes lifelong. All arts reveal how we take the unnaturalness, unlearnedness, unautomaticness of others ways of doing things, for inferiority and skilllessness. We fail to account for the years of practice in our own ways that make them seem clearly superior to ways of others that we have no practice experience with. All arts reveal how we have made ourselves narrower and narrower, in part by simply aging, in part by simply succeeding, in part by simply being who we are. All that is easy, natural, and unthinking in how we grew up and progressed comes back to haunt us in work after work of art. Arts show the cost in terms of narrowness achieved, of choosing and becoming any particular someone or identity. Arts reveal the tiny island of a world-let that we confuse with all of life and the world as we age. All arts show how unprepared we are to handle one after another sort of diversity in the world. Arts reveal our resistance to learning from others, our dislike of otherness itself, our refusal of the work of practicing the ways of others till we love those ways as much as our own ways. In part arts do this simply by showing us how wonderful the ways of others are, or how they precisely solve those recrudescent problems our own ways never seem to solve.

In getting us to see the incipient new things at the very edges of our consciousness, all arts expand the world we are in together and talk about with others. Such bugging novelties have to be seen and named before people in general can notice and talk about them. This happens four ways, by inventing new language for new phenomena, by enlarging slight new emotions till they become visible to all, by monitoring carefully what changes fast versus what changes little till mismatches become evident to all, by distinguishing automatic unthinking responses from care-filled authentic ones till structural patterns of distortion or insincerity become apparent to all. All arts exaggerate slight new interest, feelings, thought, actions, things till they become visible and get unique names. All arts invent new language for new such phenomena to be named. All arts update our emotions by naming new emotional phenomena too slight or unfunded or non-central to be noticed in the harsh flux and competitions of daily life. All arts make such new emotions visible much earlier than harassed daily lives would make them evident. All arts watch which parts of life change a lot and which change hardly at all and how friction and abrasions arise between these differently flowing layers. Such mismatches are named by arts far earlier than we would name them in the daily onrush of life. All arts spot automatic unthinking responses and distinguish them carefully and dramatically from care-filled authentic ones. Arts show how our best efforts and "good" behaviors actually have become dated relics sustaining the unsustainable, ignoring the rising tides of

the future.

All arts set up the conditions for creating in people encountering them. They do this four ways. They expose new questions. They create creation capability in people otherwise lacking it. They improve the standards of quality of all we do. They invite us to go beyond all we know and can handle. All arts help us by exposing new questions for us. They do this four ways. The arts expose gaps between in explanations and practices around us, any one of which might open up entire huge new opportunities. The arts reveal non-linearities to us, places where small inputs can have entirely disproportionate large outputs. The arts change how we represent and model situations, exposing myriad new aspects, parameters, and outcomes we never otherwise would have noticed. The arts change the logics by which we link one phenomenon to another, one fact to others, get myriad implications from one outcome.

All arts set up the capabilities for creating in people encountering them. They do this four ways, by creating interior psychic and exterior social room to create in, by exposing paradox and getting us involved in mental travel, by introducing us to creation machineries we can personally master and apply, and by inspiring us to conquer as failures to create pile up, till our accumulated failures specify what successes must be like. All arts create interior psychic room in us that allows us to create. All arts create exterior social room around us that allows us to create. They lead us into what to shut down, what to avoid, what to de-value, till we find ourselves alone with our imaginations in a fascinating world of imaginative possibility, introduced to us by the same arts. All arts expose paradox and invite mental travel. They transport us to where our certainties and values fail to work for us and to where the questions that dog our daily lifes dwindle into utter insignificance. All arts introduce us to particular creation machineries we can master and apply, inspired to do so by the arts that introduced them to us. A particular material in one artwork, a particular technique in another, a particular emotion from another, all combine inside us till we see a way to combine them into works that would impress ourselves and others. All arts inspire the hardness, the persistence, the doggedness, the will to conquer in us needed to turn attempts and interests into accomplishments and wonders.

All arts inspire us to improve the quality of absolutely every single part of life. They do this four ways, by revealing audiences and the limitations in standards that audiences maintain for themselves and others, by revealing new subtrates, technologies, substances, configurations with which to do new functions never done before and with which to do old functions differently or better than when they were done by familiar materials of the past, by revealing new ways of working and collaborating not possible before that themselves constitute creativity and that allow functions to be creatively done that never were creatively done before, and by enlarging audience hopes and ambitions so audiences themselves inspire to go beyond their own current criteria of excellence. All arts reveal audiences to us. We observe the audiences drawn by particular arts and learn what those people react to and hope for. All arts reveal new materials and technologies to us, first applying and using things that general products will shy away from for commercial reasons for years yet. All arts reveal new ways of work that it will take decades for general society to must the courage to handle and benefit from. All arts inspire audiences to require better things of themselves, to upgrade their own criteria of living and excellence.

Finally, all arts invite us beyond all that is, was, or that we can imagine ever being. All arts invite us beyond all. They do this four ways, by revealing a sequence of highly abstract dimensions along each of which past inventors extrapolated new values that constituted past creations, by showing us sequences of technique progression within and borrowed across fields, by revealing the best expressions and recreations of feeling of every culture and age, and by revealing the trip lines, the tipping points of past lives, eras, genders, persons, nations, societies. All arts surprise or amaze or touch us via varying the past along highly abstract dimensions invisible to us till some art takes an extreme value along one such dimension. By exposing such dimensions of difference underneath each creation, they educate us in the abstract frameworks for doing our own future creating, going beyond all past such values on all past such dimensions. All arts add to a historic sequence of techniques tried, invented, and applied. By interpolating and extrapolating along that sequence we become capable of going beyond any past invention, in principle. All arts show us the epitome of every culture and age in terms of great expression or recreation of feeling and thought. By exposing us to the best of humanity throughout all history again and again, the arts set us up for going beyond it all. All arts expose tipping points where slight inputs have huge outcomes. By exposing us to one of these after another for years and decades the arts inspire us to search for and equip us to recognize new such tipping points we discover on our own. Such tipping points become ways that we can go beyond all past accomplishments.

Using the Model: Future Research

There are hundreds of purposes of arts, collected in the data of this research but not included in the above model of 64 purposes because they

each lacked enough mentions by this research's sources to meet my arbitrary cut-off values. I cut-off the list at 64 for two reasons--because fractal concept model form stops at certain numbers, one of which is 4 by 4 by 4 = 64, and the other, because I wanted a model that represented a sort of consensus across many people, artists, and arts, not functions that, say, painting achieved but that, say, music did not. So I do not claim in this paper that the 64 functions above are a complete list. Rather, I claim the following as hypotheses needing research and worth the effort of researching:

- there are no things better than arts at delivering the 64 functions in the model to actual people's live now

works of art that deliver more functions are judged greater than others by art consumers
works of art that deliver more of each function are judged greater than others by art consumers
we can achieve major measurable positive impacts on individuals or organizations by assessing how well each of the 64 functions is covered in that person or organization and prescribing arts to deliver those missing functions effectively
if we measure how well each historic great work of art delivers all 64 functions, we can use that alone put the works in order of greatness, in a way that matches current historic judgements about the relative greatness of these works
current artists who deliberately optimize the designs of their currently being-produced works of art so as to maximize the number and amount of coverage of the 64 functions, of this paper's model, by works they produce, become "greater" than their peers faster and more.
there are subsets of the 64 functions that characterize and typify the greatest art and artists of particular eras, nations, and genres of art
there are subsets of the 64 functions that evolve in specific patterns throughout the careers of the greatest artists of certain eras, nations, genres of art
there are subsets of the 64 that more commercially successful works typically have; such sets will in nearly all cases different in consistent ways from subsets that greater works of art have.

Together the above 8 hypotheses constitute a working definition of a "science of arts". My future research will explore the above hypotheses using the above model of 64 purposes to all arts. Work evaluating movies-in-process-of-selection and evaluating individual artists working for record labels is underway and may, if confidentiality matters can be worked out, reported fairly soon in publication form.

Art Creation Process, Appendix

To illustrate future research already underway, using this paper's model of art purposes, I add as an appendix here, a model of 64 steps in composing a multi-art, multi-act Cabaret, each performance of which is specifically targeted at one or more of the 64 purposes of this paper's model. Power of art from fulfilling many purposes with quality and depth is thereby added to lesser power of great performance of arts not fulfilling many purposes with quality and depth. Most commercial entertainment forms of art, in our day, are the latter, highly professional performances of arts not serving many if any purposes in the lives of their audiences, as the arts are everywhere distorted by lowest common denominator commercial concerns and everyone involved in them is central, elite, rich, and not sharing living conditions or concerns with the audiences they wish money from. My students use the 64 steps in the appendix Art Creation Process model to, each year, design and hold a Cabaret of Many Arts show, the scripts from which, increasingly are being bought by Japanese media. Experimental data on this process and the effects of various subsets of the 64 purposes of all arts will be forthcoming in future research papers.

Computational Arts, Appendix

To illustrate how so much research and practice assumes purposes to arts without using any explicitly, pushing for completeness or any other sort of optimum, I include as an appendix a model of computation art, developed by combining syllabi from 20 courses on computational art from leading colleges of design, and schools of art, in Europe, East Asia, and the US. No references to art purposes is found on the diagram of 64 computational art functions. In fact, the diagram is dominated by technology and technique, as is much discourse about art and art criti-

cism. People note the quality of performance, the wonderfulness or otherwise of actors and performers, the "advanced" techniques and the impression they leave. One would think art were an optional technical game of play rather than an essential feature delivering essential functions to all lives in healthy communities. This technique-ization of art in modern discourse, along with its commercialization, and dumbing down self censorship for "selling to the masses", in addition to stripping performance from normal lives, condemns modern arts to executing few purposes, not many, shallowly, not deeply, with minimal quality, not high quality. Of course there are exceptions but preciously few of them. Good conversation is so much better than great television or great Hollywood movies, some have said, because in conversation we all get genuine chances to perform, denied us by centralized broadcast industries using art for money, thereby laying waste to entire civilizations.

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Combining Instruction in Music and Phonological Awareness for First Grade Children

Area: A cross-disciplinary study (Music and Speech/Communication)

Format: Paper session

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ABSTRACT

The purpose of this study was to determine if combining music instruction in pitch and rhythm with phonological awareness and phonics instruction is an effective way to improve the phonological processing skills of young children. Students from a single first-grade classroom were alternately assigned to two groups. Group one received a total of 15 hours of phonological awareness and phonics instruction and 15 hours of music instruction in pitch and rhythm over a 10-week period. Group two received 15 hours of phonological awareness and phonics instruction that was identical to that received by Group one. This group, however, did not receive any music instruction. All students were pre-tested and post-tested to determine the amount of improvement in their phonological processing skills. Results showed that both groups made significant progress in the following areas: Overall Phonological Processing, Phonological Awareness, Elision, Blending Words, and Sound Matching. Group one showed significant improvements in the following additional areas: Phonological Memory, Rapid Naming, Rapid Color Naming, and Rapid Object Naming. When progress made by the two groups was compared, results showed that Group one made progress in the areas of Elision, Rapid Naming, and Rapid Object Naming that was significantly higher than the progress seen in Group two in these areas. These findings indicate that the addition of music instruction to phonological awareness and phonics training was helpful in improving the phonological processing skills of children in certain areas. Clinical and educational implications of these findings as well as suggestions for further research are discussed.

Effect of Movement on Developing Expressive Musical Performance

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We wish to have our paper considered for publication in *Research Perspectives in Music Education*. Note: This paper will be presented at the Hawaii International Conference on Arts and Humanities, January 13 -16, 2005.

Abstract (Study in Progress)

The purpose of this pilot study was to investigate the effects of movement on developing expressive musical performance. The sample consisted of high school flute players (n = 12). A quasi-experimental pretest-posttest design was employed, using the performance of a short unfamiliar melody as the dependent variable. It was hypothesized that students who engaged in expressive movement while listening to an expressive model would perform with greater expression (e.g., dynamic and tempo variation, slower tempo, legato articulation) than students who did not engage movement while listening to the expressive model. Students were given one minute to study and rehearse the unfamiliar melody. Students were then instructed to perform the melody as expressively as possible. Students in the control group were given an opportunity to listen to an expressive performance of the melody before performing it a second time. Students in the experimental group listened to the expressive performance of the melody while performing movements coordinated with expressive qualities of the music. The students then performed the melody a second time on their instrument. Pretest and posttest performances were analyzed by the investigators to determine differences.

Results indicated that there was no discernable difference between groups in expressive performance. An overall difference was noted in tempo. All but one student performed at a slower tempo, closer to the tempo provided in the model. Several students performed one or two tempo changes in their performances. Two students performed at least one dynamic change or with a stronger sense of legato. It was observed that students attended to tempo more than any other expressive element in a performance model. As there was little difference between group performances, it was reasoned a single movement activity was ineffective in enhancing expressive performance. It was also reasoned that the students might not have understood the direction of being asked to play "expressively" and therefore might have needed more specific direction. Further investigations are being implemented with a larger sample to determine if enhanced movement instruction (e.g., better instruction on how to connect the movement with the music, longer treatment period, opportunities for students to become more comfortable with movement) would make a difference in expressive performance.

A Systematic Approach for the Acquisition of North American Indigenous Languages

S. Neyooxet Greymorning

Topic; Languages
90-minute workshop presentation

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A Systematic Approach for the Acquisition of North American Indigenous Languages

For well over 20 years, in spite of concentrated efforts to restore, salvage and revitalize North American Indigenous languages, the majority of efforts have largely remained ineffective. As a result of this, the fact still remains that if an effective methodology does not emerge to impede and ideally halt the steady decline and loss languages indigenous to North America, within the next 15-20 years approximately 85% or more of the Indigenous languages still spoken will slip into extinction.

In trying to address the issue of language loss, Dr.Greymorning has been actively developing a methodology for language instruction. This method, which has broad application as a tool for language learning across different languages and age groups, has been documented through video footage of his work with children in a home setting, and adults in a university class taught during the January 2004 academic-term. The results of preliminary work has demonstrated examples of Accelerated Second Language Acquisition™ for children and adults in which both groups acquired over 400 ways of expressing themselves in the Arapaho language after12 hours of language instruction. Another aspect of the method demonstrated an emerging ability to problem solve and think in the language of instruction, thus allowing both children and adults to generate new expressions that had not directly been taught in the classroom. Once this level was reached, approximately after 8 hours of language instruction, students were able to combine and recombine their original phrases in any number of different combinations effectively allowing them to generate over 1,000 different ways of expressing themselves in the language. The significance of this approach should offer a needed method that can be utilized by Native language instructors who are constrained by resources and limited time given to their efforts to teach heritage languages.

It's Not Easy Being Green;
The Dilemma of Sustainability In Suburban Developer Housing

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Extended Abstract

Ninety-five percent of new home construction is developer-funded mass-produced housing. This means that with annual housing starts around one and a half million per year, developer housing, with the sprawl it creates, is having a major impact on our social, natural, and aesthetic environment. To introduce sustainably friendly design strategies and materials into the massive scope of this building type can have far reaching results. However this area of design is often shunned by architects who feel it is beneath them or too far gone to care about. But even if architects choose not to deal with the aesthetic issues involved with this type of housing, they can no longer ignore the physical impact it is having on our planet and must address ways of lessening the environmental damage.

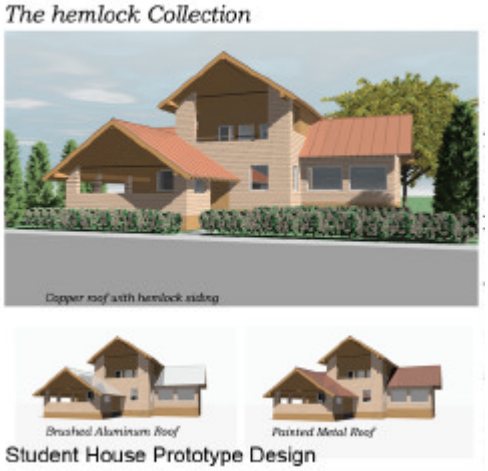
Sustainable strategies for architectural design run the gamut from the macro level of urban design to the molecular level of material science. Buildings affect the environment in many ways. Building materials must address issues of toxicity, environmental damage from their extraction and processing, energy embodied within their production and transport and safe disposal or total recycling at the end of their life. The building itself must address the manner in which it positively responds to the site and how efficiently it uses energy, water and waste to maintain a certain comfort level for the occupants. Most ideas about sustainable architecture seem like clearly good, common sense ideas which would garner little objection to their implementation. (Who would not want to improve our environment?) But when investigating ways to apply these ideas to suburban developer housing, the solutions are not so clear cut. The mass-production housing industry is a long-established business that operates within certain parameters to sustain *itself*. Chief among these is the desire to sell their product as easily as possible. This results in catering house designs to the projected buyers to the extent that profit margins can be maximized. While sustainable housing developments can be built with little or no extra cost, developers still seem wary of any changes that might affect the ability to sell their houses. Therefore they maintain the tried and true.

This paper utilizes results from an architecture design studio project to address the issues affecting sustainable developer housing. Students worked with an existing developer housing subdivision at three different scales to redesign its overall master plan layout, propose new housing typologies and study typical construction methods to better meet sustainable guidelines. First, students looked at how the large-scale design of a community master plan can improve the environment. Suburban sprawl has had extremely damaging affects of on land, road and infrastructure use in the areas around our cities. The preferred large lot size results in fewer houses per

Student Community Master Plan Design

acre. This thereby eats up more open land and extends the length of roads and utility lines. This pattern of spread out communities discourages public transportation and encourages more use of the automobile and through it more pollution and traffic congestion. Even though our cities are full of available land with the streets, utilities and public transportation already in place, they remain empty while our farmland disappears. Students studied the town planning ideas of the New Urbanism movement with its reliance on smaller lots and walkable towns to reduce infrastructure and automobile needs. Their resulting master plans were able to greatly increase the number of houses on the site while also improving the liveability of the community. This approach satisfies not only the environmental goals for a community, but also the social, and economic goals as well.

For the second project students studied the design of a prototypical developer house and to understand how its design has an adverse affect on our culture and environment. American's desire for the 'new' and the 'big' is clearly reflected in the design of suburban developer houses. The great explosion of ever expanding new construction in our suburbs is partly fueled by a desire for a brand new house. There seems to be a common notion that new construction automatically implies higher quality when the opposite is often the case. Nevertheless, suburban house buyers still prefer new construction so many of our older and more well crafted buildings are neglected. The desire for a big house with lots of space is evident in most developer house plans where it seems every function of daily life requires its own room. The family room and kitchen are usually the only rooms to get constant use but additional living and formal dining rooms are deemed a necessity even though they sit unused 99 percent of the time. While students were not able to address the site concerns of new construction, they were able to reduce the number of unnecessary spaces by combining functions. This reduction in overall house size benefits the environment by lessening the amount of materials needed and reducing the building footprint on the land.



Student House Prototype Design

In the third project students investigated construction materials used in developer housing to determine the feasibility of using 'greener' building materials. The format for investigation was the construction of a full-size mock-up of a portion of a "house" using materials that claim to be sustainable. Many of the materials in developer houses are chosen for economic reasons and are very unfriendly to the environment. Materials such as vinyl siding and asphalt shingle are derived from petrochemicals and are not easily recyclable or biodegradable. Products like laminated wood and oriented strand board sheathing and structural joists use toxic formaldehyde wood glues that off-gas into the air. But just switching to materials labeled as sustainable is not so easily done. While a material may appear to be "green", there can be hidden aspects of its production, assembly or disposal that make it less desirable than originally thought; a case of one step forward, one step back. For a material to be truly sustainable it must do so on all levels, a very difficult feat to achieve as shown in the examples below. Concrete board siding is billed as a green material because it does not come from petrochemicals, it will not leach toxins into the soil upon its disposal and it is a durable, long-lasting material resulting in less landfill waste. However one ingredient in its composition, Portland cement, through its production, is the sixth largest cause of carbon dioxide pollution in the world. So choosing a material that contributes to ozone depletion and potential global

warming is not a truly sustainable decision. Another example is cork flooring. It is praised as a green material because it can replace vinyl flooring and comes from a replenishable source, tree bark. However much cork is grown on trees far from the construction site. The cork the students chose was harvested from trees in Italy, shipped to Colorado for storage and trucked to a local distributor in the Philadelphia area. So while the material itself has positive qualities, the embodied energy and pollution caused by its transportation devalues it overall effect. While there are materials that are good for the environment on many levels, they are often not well suited to mass-production, thereby demonstrating the difficulties with bringing green materials to the scale of developer housing.

Full Size Mock-up Using "Sustainable" Building Materials

The results of the studio reflected the challenges of making truly progressive steps in the march toward producing buildings that positively affect our environment. Many of the decisions proved to be lateral moves rather than straight ahead demonstrating the need to make some major comprehensive changes to the building industry before any real results will be felt.

Violence and Sensibility: Rasa and the Reclamation of Feeling Through Art

Film and Philosophy (Aesthetics)

Paper

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Violence and Sensibility: Rasa and the Reclamation of Feeling Through Art

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From the perspective of rasa theory, art is an alchemy that transforms and humanizes raw, overwhelming emotions through exquisite sensibility. By savoring emotion, audiences attune to the subtlety and non-discursive meaning of feeling at the same time they experience its power and consequence. Indian cinema achieves considerable impact without resorting to graphic depictions of sex and violence, while Western audiences often remain numb and unmoved by the most shocking images. To what extent is the failure of sensibility in Western media related to increasingly shrill evocation of violent, confrontational content? The presentation examines the psychological nature of imagery through the work of James Hillman and looks to rasa theory as way to move toward a more salutary, differentiated articulation of feeling.

Title Page

1. title of submission: "Terror of Origins": Motherhood, Sex, and Death in Amy Clampitt's Poetry
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"Terror of Origins": Motherhood, Sex, and Death in Amy Clampitt's Poetry

Clampitt's readers can hardly miss the "webbiness" of her poetry, her vertiginous leaps and plunges from one thing to another, with only syntactical threads to hang on to. A word or image in one poem will be repeated in the next, then recur again books (and years) later, its aureoles of meaning in these different locations shifting, overlapping, sometimes contradicting. The exhilarating play of feelings includes joy, elegiac tenderness, awe, humour, coziness, amused irony – feelings we might think of as easily shared with the reader. These are undercut, however, by darker imaginings, ones harder to trace and understand, of horror, recoil from sexuality, and dread. In this paper I will trace a ramifying pattern of images to do with a "terror of origins": origins maternal, mythic, and evolutionary. Although the 20-minute limit for the conference talks dictates that I deal with only a handful of poems, it is a pattern connected with much else in Clampitt's poetry.

As in dreams, one kind of poetic feeling or image may be adjacent to its antithesis. We can approach the "terror of origins" by looking first of all at the intra-uterine peace and security in "A Resumption, or Possibly a Remission" (CP 19-20)[1] a poem describing a New York City winter of unusual snowfall. Enclosed in her apartment, with snow filling up the ravine-like streets outside, the speaker feels "the resumption / of a state of grace, as in dreams of being carried":

moated and immured inside the castle-keep
of all that white was to discover

[1] Here and subsequently, page references to Clampitt's poems are given parenthetically to her Collected Poems, New York: Alfred A. Knopf, 1999.

even the Ur-nightmare of being

dropped, a waking up abandoned,

gone miraculously into remission.

At the end of the poem we see a tree in the yard next door:

. . . an old, crone-dark catalpa

metamorphosing, snowfall by snowfall,

into a hammock, the burden of all

that white, the deepening sag of it,

upheld as by a nursing mother.

Contributing to the blissful security are images which might easily transmute into menace and death, but don't – the "nattering"of oak leaves (an undercover allusion to the Dodona oracle, see Clampitt's footnote for "Dodona: Asked of the Oracle," CP 448-49), the old crone, the sound of an owl, midget meteors (a pair of cardinals), a drunken landlord and his music-frenzied partner. In all cases the threat is muted -- either rendered as part of the snowy magicalness, or just harmlessly comic.

The dream-like, nursing-mother experience is immediately followed in the pages of The Collected Poems by a long, complex elegy for Clampitt's mother, "A Procession at Candlemas" (CP 21-5). In it we begin the move across the spectrum toward the "Ur-nightmare." It narrates a meditative bus-trip from the east back to Iowa where Clampitt was raised and where her mother lies dying or already dead in hospital. Several critics have commented on it (see Verse 10, 3 [Winter 1993]), particularly on its imagery of birth, imagery which both parodies parturition and suggests the possibility of spiritual renewal by returning to origins. What I want to note is an unsettling image her bounding imagination alights on, that of the primeval mother-goddess

worshipped in ancient temple sites, "effigy / in olive wood or pear wood, dank / with the sweat of age, walled in the dark // at Brauron, Argos, Samos . . . [the] wizened cult object kept / out of sight." In the penultimate stanza the mother-goddess is conflated with another "wizened effigy," this time "the mother / curtained in Intensive Care." Both hint at "backward-ramifying / antecedents," "fright / riddling the structures of interior history." Motherhood here is linked with things too frightening to be exposed. The beauty of Greek ritual and celebrants as imagined by the poet is less a celebration and more a denial of what is walled up and enshrined in the temple.

Some of the "backward-ramifying antecedents" can be traced throughout the first section of Archaic Figure (1987, CP 193-274), beginning with the first poem, entitled "Medusa" (CP 211-12). As so often with Clampitt, the tone is a mixture of deep seriousness and humor; in this case delirium crossed with the defensive irony of tongue-in-cheek colloquialisms. The "brazen phiz" of the first line is the "female ogre" recognized in ancient times as the petrifying Gorgon, then later taken over by the "Puritan revisionists" and by Spenser and Milton as the half-reptile, half-woman they called Sin. Clampitt, a reader of Darwin, further revises the ogre, seeing her as closer to the oceanic mysteries of "[t]he stinging jellyfish, the tubeworm, / the tunicate, the sea anemone's / whorled comb." It is the feeling aroused in the poet by these primitive invertebrates which has given me the title of this talk: the "[t]error of origins: the sea's heave, the cold mother / of us all." The Gorgon is not the "mantrap" imagined and dreaded by previous cultures – sexually alluring to begin with, then recognized as morally destroying – but the Darwinist revelation of the origins of humankind, a revelation of maternality "that hardens the psyche's soft parts to rock."

The associations grow more tangled in the succeeding poems of this section and the next, entitled "A Gathering of Shades." The latter is a set of poems exploring the psyches of a number

of 19th century women writers with whom Clampitt obviously felt strong affinities. "Medusa at Broadstairs" (CP 227-28) is about George Eliot. The poem is based on one of Eliot's letters to Herbert Spencer, about an unhappy rendezvous she had with him in the seaside Kent town of Broadstairs.[2] Its opening image is Clampitt's psychological elaboration of what had been merely a hint in the letter. The town was

> . . . so tranquil
> her very mind might drift, grow indolent,
> become a tidepool: the articulate spine,
> its resolutions and attenuations – all
> acquired at such a price –
> sweetly let go.

This abandonment to the uncanny lure of the pre-human and oceanic gives way in the poem to "night terrors" (a repeated phrase in Clampitt's poems), and to abbreviated references to the many episodes of erotic disappointment and drowning in Eliot's fiction. Significantly, they are prefaced by the Gorgon again[3]:

> Medusa, whether stinging jelly with no backbone
> or stare of fury petrified

The fact that the sexually reproductive stage in the life of the jellyfish is indeed called the "medusa," no doubt because of the tentacles around the mouth, allows the crucial imaginative association between the mythical Gorgon and the the irresistible biological energies of

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[2] Clampitt's footnote for this poem (CP 450) cites Selections from George Eliot's Letters, edited by Gordon S. Haight, Yale UP, 1985, and evidence within the poem shows that she had read Haight's biography of George Eliot as well.

[3] Clampitt's quotation from the Eliot letter as well as one she gives from Adam Bede show that Eliot herself made the connection between the stage in jellyfish development and the mythical monster.

reproduction inherited through millions of evolutionary years, and now "articulate" in human beings – with the pun on "articulate" referring to both skeletal and linguistic developments that define the human.

The terrifying alliance between reproductive fecundity and death is rendered in many of Clampitt's poems. What in "Medusa" are called "[t]he tide-rip torrents in the blood, the dark / gods not to be denied" reappear in "Margaret Fuller, 1847" (CP 231-33). Here the energies of the "tidal concourse" emerge in three features of Fuller's life: the Italian revolution she was involved in, her dreams of drowning, and `her scandalous capitulation to the ripe enchantments of the Italian landscape and her Italian lover. Issuing in pregnancy, however, the experience turns into misery, shame, and a lack of autonomy; her body is taken over by "life for its own inexorable // purposes." On the return voyage to New York she dies in a shipwreck. All told, it is

> . . . an actuality more fraught
> than any nightmare: terrors of the sea,
> of childbirth, the massive, slow,
> unending heave of human trouble.

Each of the items listed – the sea, childbirth, human trouble in general – refers literally to the aspects of Fuller's life and death already noted. But this poem and Clampitt's poems as a whole lead toward deeper and more chilling psychological and metaphysical connections. The sea reminds us of our evolutionary relations, weird, primitive creatures driven by ingestion and reproduction, and inhabiting an element in which we can no longer survive. Childbirth similarly reminds us of our origins, cellular, sexual, and (except in the modern Western world)

accompanied by great risk of death. The "unending heave" as in a birth canal reminds us that so much human trouble is erotic, sexual, and biological in nature.

Just as there can be no doubt that Clampitt's readings in Darwin are immensely relevant to the node of feelings I am tracing, the same can be said of Freud. It is not unlikely that Clampitt read Freud's much-discussed essay "Medusa's Head" (written 1922, published posthumously1940). Freud saw the Medusa's decapitated head, gaping and surrounded by serpentine pubic hair, as an image of the maternal genitals. What he presents as horrifying is the maternal lack of a penis, which makes it therefore an image of castration. This interpretation would seem more applicable to males, and I doubt if the issue of castration is relevant to Clampitt's poems. I think, however, that Freud's Medusa essay might have helped her glimpse – then look more steadfastly at – the terrors of the maternal body. The severed Gorgon head (in "Perseus," CP 213-14), with its

> . . . clotted
> dreadlocks and gagged, staring scowl became
> the badge and totem of what no one can
> encounter and survive: among dredged glisten-
> ings of seaweed, the unfledged millennium –
> the branched, ineradicable stem of time,
> whose cold coils wind about the moon's inexorable clock.

Here are the compressed associations with the watery origins of life, aeons of evolution, the biological necessities of menstruation and procreation. The poem also refers to the old story that the sight of the Gorgon paralyzes a viewer unless looked at with an "intervening mirror." Reading associatively and symbolically, we might ask: what is this thing that is capable of both

disclosing and protecting? One possible answer is in the title of the first section of Archaic Figure – "The Mirror of the Gorgon." It implies that the only safe way to glimpse these matters is in the obliquities of poetry.

Of any number of poems in which these traceries could be pursued and concluded, I will choose "Matrix" (CP 428-31), the penultimate poem in Clampitt's Collected Poems. The very word "matrix" is connected with "mother/mater" and means the womb, or the embedding substance out of which something develops. The setting here is the ancient and aristocratic Villa Serbelloni on a limestone cliff overlooking Lake Como, now used as an artists' retreat. The speaker strolls among its surrounding gardens, meadows, and cemeteries; she follows a trail down the cliff, coming upon a grotto with its statue of the Virgin, "universal mother"; she watches a centuries-old ritual, a procession of women chanting their devotions to another local statue of the Virgin and Child. "What is all this?" she asks herself at one point in the half-patronising, half-fascinated tone of a tourist. Interlayered with touristic pleasures, however, are feelings of awe, eeriness, and dread, associated with images to do with maternality and origins. The bloody tokens of mediaeval sainthood suggest, "holy and dreadful, / the undisposed-of body of the mother." The mother's body metamorphoses, dream-like, into "stone, / nurturer of Europe, the bereaved // exile's lost mother" – that is, the stone of the wonderful statuary and buildings of Europe for which as a prairie-bred child the speaker had always yearned. The stone slides again, with bewildering oneiric logic, into "the thing I hankered after," the matrix of the title, the strata of limestone composed of billions of prehistoric, primaeval creatures:

> . . . no
>
> rite but a foundation, the bedrock

that survives, the banded strata,

hurled reliquary of the drowned,

remnant of uncountable transformings:

precipice, gray limestone I've looked up

into the face of until the looking up

amounted to an attitude of worship:

"What is / all this?": on this – the second – asking, the tone is less that of a tourist and more that of a persistent, anxiety-driven explorer of the psyche:

. . . The infant in us still

won't let her go – lugubrious poppet,

nurturer, devourer: down below,

well-being's amniotic nightmare

still rocking to its own small music,

cradling the precipice – the clear,

uneasy, treacherous green water.

The web of imagery in the few lines just quoted – oceanic origins, invertebrates, stone, maternal effigy, nightmare – astonishingly re-weaves imagery from a great many of Clampitt's poems.

It hardly needs saying that this paper is in no way an attempt to psychoanalyze the poet herself (which would not only be presumptuous but bound to fail). What I find interesting is something on a more general psychological, even metaphysical level – that is, the poems'

exploration of aspects of the female psyche as shaped by Darwin and Freud (a shaping which must be almost universally the case among educated Western women). Another question follows: why should one read Clampitt's poems rather than some (putative) essay written on this subject by a psychologist or philosopher? The answer lies in the fact that they are poems, that what makes them compulsive reading is the concentration of energies, the shimmering, echoing variety of situation, tone, and sonic effects with which the theme is rendered. Time does not permit a full exposition of all this. But take, as a representative example, Freud's clinical analysis of the Medusa image. Fascinating as the essay undoubtedly is, it deprives the Medusa image of its eeriness and fright. When the image is looked at obliquely, however, as in the mirror of Clampitt's poems, it retains a turbulent aureole of feelings, from horror to awe to tongue-in-cheek irony. What might otherwise be impersonal acquisition of knowledge for the reader is something more like actual feelings, both experienced in their full disturbing complexity and at the same time – as in the mirror of all good poetry – given shape and protective understanding.

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THE THEATRE OF ETHNOGRAPHY: INTENTION AND AUDIENCE IN ANTHROPOLOGICAL ENCOUNTERS.

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This paper discusses performance-audience relationship in ethnography. In the process of ethnographic research, I propose we treat the other as audience in the theatrical sense. In this manner we will be compelled to acknowledge the subject's intentionalities as contingent on author's goals (ethnographer) and yet emergent from the subject's positionality. This paper directs its attention to the complexity of the meeting of intentionalities in the ethnographic encounter as central to the *ethnographic endeavor at all times,* referring both to the ethnographic encounter itself and to the presentation of it. In this paper I propose that the understanding of audience/author relationship in theatre can aid us ethnographers redirect our attention to the meeting of author and audience's intentionalities in the production and evocation of intersubjective and intercultural encounters.

English Impact on Foreign Language Textbook Writing
------- Anglicization in the Chinese Textbooks Published in the U.S.

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Abstract

This paper is intended to discuss the "Anglicization" in the major textbooks published in the U.S. for the purpose of teaching the Chinese language to the college students. Traditionally, "Anglicization" is a linguistic term used to describe one of the language processing ways for loan words, specifically in dealing with the loan words' pronunciation when they are being adopted into the host language. Based on the author's long-term teaching experience, it has been discovered that "Anglicization" can be commonly found in discourse in the Chinese texts written by Chinese professionals living and working in the U.S. The discourse "Anglicization" is affecting the authenticity of the materials that the students are supposed to learn and follow. Linguistically, the major problems created by the discourse "Anglicization" can be summarized as follows: 1) it creates unnatural / Anglicized way of expression in Chinese (the target language); 2) it produces ungrammatical syntactic structure in Chinese; and 3) it creates incomprehensible foreign discourse in Chinese conversation.

The major reasons of the "Anglicization" reflected in Chinese textbooks writing will also be probed and suggested in the paper.

1. About "Anglicization"

Among the English native speakers, in the process of their adopting words from another language, i.e. adopting loan words, "Anglicization" is a common way to "treat" these words before they can "comfortably" fit in the culture, or rather, can be easily for the native speakers to pronounce by following their won rules of sound system. For instance, the name of the country that has been drawing the world wide attention since "September 11", "Iraq", originally pronounced as [ee-RAAK], has been "Anglicized" as either [ee-RAK] ([A] as in the vowel in the word "rat") or even [aj-RAK] because the rules in English, particularly in American English: while in close syllable—a syllable ends with a consonant--the letter "a" is pronounced as the vowel in the word "rat". The name of a Korea-made car "Hyundai", pronounced as [hee-yun-DAJ], meaning "modern", has been pronounced as [HAAN-dey] everywhere in America. The reason? No two simple vowels (not diphthongs) could be used in the same syllable in native English words. In the process of "Anglicization", all the load words will lose their original way of pronunciation but sound more like the native English words by following the rules uniquely used in English pronunciation. Interestingly, some words have been "nativized"

back and forth between two contact languages. For instance, the word "*karaoki*" is considered a Japanese word "borrowed" into English. However, the fact is, the "Japanese" word is formed by two parts: "kara" is a native Japanese word, meaning "without, empty" while the second part "oki" is part of a word borrowed from English "orchestra" through nativization: no syllable will end with an "s" in Japanese word, consequently 'oki' instead of 'okis'. In recent years, the word was "borrowed" back into English and then its original Japanese pronunciation has been "Anglicized" to sound more like an English word: instead of [kaaraa-OUKEE], it is pronounced as [karee-OUKEE]. "Wok" (from Cantonese), "tofu"(from Mandarin), "wonton" (from Cantonese), "congou" (from Min language), "rickshaw" (from Mandarin), and many more, are the most commonly adopted Chinese words after being "Anglicized".

2. Application of "Anglicization" beyond the word level

The "Anglicization" process is usually applied to the word level in the linguistic hierarchical structure. However, through the close study in the author's long-term teaching and the use of some major textbooks of the Chinese language, the author becomes more and more aware that many discourse or sentences, that are supposed to be used as the model for the American college students learning Chinese, have been "Anglicized" therefore have lost their language authenticity. As a result, they will sound unnatural, if not funny, to the native speakers of Chinese. They produce ungrammatical syntactic structures, and they will also create some incomprehensible discourse or the wrong impression to the learners that those are the authentic ways of using Chinese.

One of the most commonly used sentences is a Chinese greeting expression: 你好吗？ This is supposed to be used as a greeting without requesting any answer, similar to a British greeting: How do you do. In reality, however, no Chinese will use it when they meet. Instead, they will only say 你好 without the question marker 吗. In the more typical situation, they will just say: 怎么样 (What's up), 还好吧 (Hope you are doing well), 你上哪儿 (where are you going), 吃过饭了吧 (Have you eaten yet), etc. The "creation" of the "Anglicized" Chinese greeting: 你好吗？ syntactically is following closely the English equivalence of "How are you?" Even the intonation and pronunciation have been Anglicized to sound more like English. To compare the intonation pattern:

It is noticeable that the intonation patterns used for both expressions are almost identical except the "rising tail" at the end of the Chinese expression. This feature, not possessed by the "special questions" in English, such as those formed by using "question words" like "when", "who", "how", or "where" etc., has been added to the Chinese expression based on the misunderstanding of the English speakers that the "rising tail" indicates that it is a question since the word order of the Chinese sentence does not show the question function. This could be viewed as another supporting evidence for the "Anglicization" in the creation of this "ad hoc" expression of Chinese.

3. "Anglicized" Chinese discourse in daily conversation

The following is a piece of conversation quoted from a text in a popular Chinese textbook for the beginner's level written by the professionals and published in the U.S.. The text is presented in the interlinear way to show the structural as well lexical aspects of the sentences.

The title of the text: 看朋友 (Visiting Friends)
(……)
小高：。。。来， 我 介绍 一下， 这 是 我 姐姐， 高小音。
Little *Gao* come I introduce a little this is I older sister *Gao Xiaoyin*
Here, Let me introduce (you all). This is my older sister, *Gao Xiaoyin*

李友： 小音， 你 好。 认识 你 很 高兴。
Li You *Xiaoyin* you good know you very glad
Xiaoyin, how are you. (I'm) very glad to meet you.

高小音： 认识 你们 我 也 很 高兴。
Gao Xiaoyin know you (pl.) I also very glad
I'm very glad to meet you all, too.
李友： 你们 家 很 大，也 很 漂亮。
Li You you (pl.) home very big also very pretty
Your home is big, and very pretty, too.

小高： 是 吗？。。。
Xiao Gao is Q.
Really?

Note: pl. = plural Q. = Question marker

Two problems here will show that this piece of conversation could typically happen among people and families in the U.S. but not natural at all in the Chinese family and friends setting.

1) The first one: in typical Chinese setting, after being introduced, people will only greet each other by saying "你好" (how are you) then, in order to know each other better, will immediately move on to some specific questions about each other's residential location, working place, family members, so forth and so on, for example, "你家住哪儿?" (where do you live), "你在哪儿工作?" (where do you work), "家里有几个人?" (how many people are there in your family). These questions used as greeting would sound pretty "nosy" to the Americans because these topics are considered people's privacy, instead of means in greeting. The expression used in the conversation: "认识你很高兴", equivalent to the English expression: "(I'm) very glad to meet/know you", and typical in English, sounds very unnatural in Chinese. The response to this expression, i.e., "认识你们我也很高兴", equivalent to the English response: "(I'm) glad to meet/know you all, too", sounds even more English than Chinese.

2) The second one: in response to compliments, Chinese tend to be modest by "negating" the facts stated in the compliments. "哪里，哪里" is a very common expression to be used in the response. The response "是吗"in the text is actually a very close equivalence to the English "really?", an expression to agree with what has been said, but not Chinese at all when used under this situation because by using it, the host will admit the fact or accept the compliment, which is usually considered not that modest. In some more typical Chinese setting, no comment or compliment will be given to avoid making the host feel "embarrassed".

The data quoted here indicates that "Anglicized" Chinese conversation would create some unnatural sentences. Therefore the materials presented would not be authentic.

Years ago, a story based on real life episode was told about an American student saying "别来无恙乎" (in the style of literary Chinese, meaning "have you been doing well since we parted) to greet his Chinese friend thinking he was using standard Chinese. In English, he could be talking like Chaucer to the contemporary people. Different styles of the same language in different historical stages will matter that much, not to mention a language used in a foreign style.

4. Ungrammatical Sentences created when Chinese has been Anglicized

Under the influence of English, some sentences written in Chinese will become ungrammatical. The examples given below are quoted from another popular Chinese textbook for the intermediate level written by Chinese professionals. It is based on the discussion of one grammatical structure, i.e. the "是。。。的。。。" construction. The discussion in the book says: (direct quote) "When the occurrence of an action of an event is known to both the listener and the speaker, one must use the '是。。。的。。。' construction to indicate the time, place, manner, or purpose of the occurrence or the agent of the action." "是" is optional.

(1) A: 王 老师 来 了 吗？
Wang teacher come Asp. Q.
Did Teacher Wang come?

B: 来 了。
come Asp.
Yes, he did.

A: （是） 什么 时候 来 的？
Emph. what time come Const.
When did he come? (At what time that he came?[1])

[1] Translation provided in parentheses is the closer interpretation for the Chinese sentence, showing the emphasis expressed by using the construction.

B: 昨天　　晚上　来　　的。
yesterday night come Const.
Yesterday evening. ((He) came last night.)

A: （是）　跟谁　　一起　　来　　的？
Emph. with whom together come Const.
Whom did he come with?

B: 是　　跟　　他　　姐姐　　一起　　来　　的。
Emph. with he older sister together come Const.
With his sister. (It is his older sister that he came with.)

A: 是　　坐　飞机　　来　　的　　还是　开　　车　来　　的？
Emph. sit plane come Const. or drive car come Const.
Did they come here by plane or by car? (Is it by plane or by driving that they came?)

B: 开　　车　来　　的。
drive car come Const.
By car. (It is by driving .)

Note: Emph. = Emphasis　　Const. = part of the construction　　Loc. = Location

(2) 张天明　　是　　在　　波士顿　出生　的。
Zhang Tian-ming Emph. Loc. Boston born Const.
Zhang Tianming was born in Boston. (It is in Boston that *Zhang Tianming* was born.)

The biggest problem in this section seems to be that the examples provided are supporting the argument: this construction has to be used "when the occurrence of an action or an event is known to both the listener and the speaker." If so, why the listener (A) is asking these questions about the actions and events mentioned by the speaker (B)? The author's understanding of this structure is its function of emphasis: it is used to emphasize the time, place, manner, or purpose in the sentence. Therefore, in the short dialogue quoted above, what have been emphasized are: the time (昨天晚上，last night), the person (他姐姐，his older sister), and the manner (坐飞机还是开车，by plane or drive). In fact, the example (2) works well to show the function of the construction. However, the more accurate problem to be discussed here is example (3).

(3) A: 你　　是　　大学生　　吗？
you to be college student Q.
Are you an undergrad?

B: 不，我　是　　研究生。
no I to be graduate student
No, I am a graduate student.

A: 你　是　在　哪儿　上　的　大学？
you　Emph.　Loc.　where　attend　Const.　university

B: 在　波士顿　大学。
Loc.　Boston　university
Boston University.

The answer to the second question is perfectly fine in English because the English translation of the question did not show the function of the construction. However, in Chinese, when the construction is used, the emphasis is implied, the same structure is required for the answer. Another serious mistake in the answer is that it is not answering the question: it is asking "where" but not "what university". Therefore, the correct structure in the answer has to be:

(Question: 是在 哪儿上的大学?)

Answer (1)　是在波士顿上的大学。
Answer (2)　(是)在波士顿上的大学。
Answer (3)　在波士顿。

It is obvious that the structural mistake is caused by the Anglicized sentence used in the answer: "where did you go to college?" "Boston University."

5. Incomprehensible "foreign sentences" created by Anglicized Chinese

A sentence taken from anther Chinese textbook shows the obvious Anglicized style of Chinese:
(A guy was calling around to find a room to rent and said on phone to the landlord)

"可以　告诉　我　你们　要　出租的　是　什么样的　房子　吗？"
can　tell　!st-P-Sing.　you-pl.　Fut.　rent-Phr.　to be　what kind　house　Q.

Note: 1st-P-Sing = First Personal Singular　Fut. = future aspect
rent-Phr. = a phrase containing the word "rent", meaning: "that to be rented"

The sentence, especially the main clause "可以告诉我。。。", is almost the exact translation of the English sentence commonly used by the American college students when making inquiry of the housing situation, i.e. "can you tell me what kind of house you have for rent?" In a typical Chinese way, the more nature ways could be:
"我想问问你们(要)出租的是什么样的房子"　(1)
"我想问一下你们(要)出租的是什么样的房子"　(2)

Or simply:

"你们(要)出租的是什么样的房子啊？"　(3)

But they will rarely use the following clause to start the question. It will sound very unnatural in the Chinese setting:

“可以告诉我。。。” (4)

In the same lesson, sentences quoted below from one of the dialogues show some Anglicized Chinese sentences that is not comprehensible to Chinese speakers.

张天明：	你	好！	你们的	房子	租出去了	吗？
Zhang Tianming	you	fine	your-Pl.	house	rented	Q.

How are you. Has your house been rented yet?

房东：	还	没有，	不过	已经	有	好几个人	打过电话了。
Landlord	still	not yet	but	already	there be	quite a few people	called

Not yet. But quite a few people already called.

“Quite a few people already called” is a perfect response to the question in the conversation. However, in Chinese, the purpose of the action, i.e. “打电话” (make phone call) has to be stated or the verb phrase only states the action without purpose. In that case, even in English the sentence could be incomprehensible in the discourse because “打过电话了” could mean “already made some phone calls”. Therefore, in a Chinese situation, the response should be:

不过已经有好几个人打过电话 + 来问过了

In this specific context, the purpose, expressed by the structure “来问过”, meaning “to ask about it”, has to be presented to make sense. Or it is only indicating that people are making phone calls but that has nothing to do with the inquiry of the renting situation.

More examples from some other recently published Chinese textbooks.

1) 中国饭很好吃，不过饭里面的油太多。

The Chinese word “饭” could mean “food” or “meal” in English in its general meaning, but could also mean specifically “the cooked rice”. In this particular example, the first “饭” and the second “饭” have different implications. The first one is used in its general sense, referring to “Chinese food” is very tasty while the second one is used in its specific meaning, referring to “the cooked rice”. However, in English no such difference could be understood since the sentence could be: Chinese food is very tasty but (the food) is too greasy.)

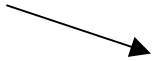
2) 入学以后，即使你不喜欢你的专业，也不能转换。

The word “转换”, meaning “transfer, change”, is natural in English in this concept, however it has a very different implication in Chinese. It refers to the changes of a form of an object. When referring to the universities course majors, in Chinese the word “改”, or only the word “转” (but not “转换”) could be used.

3) 为什么现在很多女人都出外跟男人一样工作？

“Why there are now more women going out to work as men” could be a normal sentence in terms of its meaning as well as its structure. However, in Chinese, the syntactic structure should be “… 很多女人都跟男人一样出外工作”：

很多女人都　出外　跟男人一样　工作



很多女人都　跟男人一样　出外　工作

Notice the adverb “出外” indicating the “location” has been shifted to the right side of another adverb “跟男人一样” indicating “manner”. This is a typical order of a sentence with multiple adverbs.

4) 听说你有很多钱，。。。

In English the meaning of “you are rich” could be expressed as “you have a lot of money”. However in Chinese, “rich” should be expressed as “有钱” instead of “有很多钱” since the former is indicating the “nature” while the latter just some quantity. In that sense, many pieces of coin could mean “很多钱” but it does not mean “rich”.

6. Conclusion

The Anglicization problems discussed above are presumably “unconscious”: the scholars did not realize the sentences they used or the way they used to express the idea is under heavy English influence, if not Anglicized. The “unconsciousness” shows exactly what the author of this paper wants to prove: when a person lives in a culture different from his own for too long, many aspects of his/her capacities, including his/her language use and habit, will be “nativized” in various ways and to various degrees. To avoid the potential problem, we all need to remind ourselves from time to time of what the exact situation or authentic way of expression should or could be. This type of “self consciousness” is needed in writing authentic language learning materials for the learners of the target language.

CREATIVITY, DESPITE DISABILITY

MUSIC/PERFORMING ARTS

FORMAT OF PRESENTATION: PERFORMANCE

PRESENTERS:

LAWRENCE GWOZDZ, PROFESSOR OF SAXOPHONE
LOIS LEVENTHAL, PROFESSOR OF PIANO
SCHOOL OF MUSIC
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Submitted to the Hawaii International Conference on Arts and Humanities
January 13 -16, 2005
Sheraton Waikiki Hotel, Honolulu Hawaii, USA

For centuries artists with disabilities have been culturally prolific. Some artists have had congenital disabilities, while others experienced an injury or accident, which left its mark.

The disabled community has resisted negative images and stereotypes, and often been denied equal opportunity worldwide. Through the arts, we are breaking new ground in this world of resources and opportunities, implementing this outlet for creative expression and unlimited possibilities for personal, academic, and professional success**.** The arts are infinite and unconditional, allowing people with disabilities the freedom to express themselves without physical, social, or attitudinal barriers.

Such organizations as VSA arts have become instrumental in this movement. Their website www.vsarts.org offers a glimpse of the commitment to arts education for and by the disabled that has emerged in this country.

Marcel Proust wrote: "Only through art can we emerge from ourselves and know what another person sees." The staff of VSA arts believes that "when we see art as the universal language that has the ability to unite all people, we understand the importance it has in the lives of people with disabilities. For a person who cannot speak, a dance performance may clearly communicate even the most complicated message. For a person with a mental disability who cannot communicate effectively through words, a painting rich with color and life may say more than verbal sentences ever could. And, for a person who has limited mobility, a song sung with emotion and spirit may elicit movement toward a state of clarity and joy. By engaging in the arts, people with disabilities are able to greatly contribute to our workplaces and communities, help extinguish old stereotypes regarding disability, and create a global culture truly representative of all people."[1]

The art form of music composition has provided numerous examples of masterworks penned by celebrated and lesser known composers with disabilities. Among these masters were Wolfgang Amadeus Mozart, Ludwig van Beethoven, Joaquin Rodrigo, Robert Schumann, Gustav Mahler, Bedrich Smetana, and others. Even the Hawaiian composer, John Kameaaloha Almeida, was known to have been a productive artist despite his blindness. Add to these a list of more contemporary master composers who contributed repertoire and the result is a bevy of coveted musical artistry.

The duo of Lawrence Gwozdz (concert saxophonist with spina bifida and representative of VSA arts) and Lois Leventhal (pianist with focal dystonia) will offer a 60-minute lecture-recital of transcribed and original works by such creative overcomers. Technical needs for this presentation are a tuned grand piano and two music stands. The presentation would be suitable as either an evening event for all to attend or as a regularly scheduled session.

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[1] http://www.vsarts.org/resources/general/dag/valueofarts.html

The Hawaii International Conference on Arts and Humanities

Sheraton Waikiki Hotel, Honolulu, Hawaii

January 13 -16, 2005

ENABLED CREATIVITY: DESPITE DISABILITY

LAWRENCE GWOZDZ, Saxophonist
LOIS LEVENTHAL, Pianist

Adagio and Allegro (orig. for horn)	Robert Schumann (1810-1856) arr. Saiano
Gavotte sentimentale *Les petits riens*	Wolfgang Amadeus Mozart (1756-1791) arr. Mule
Sicilienne (orig. for violin)	Maria Theresia Paradis (1759-1824)
Sonata, op. 10, no. 1 (orig. piano) Allegro molto e con brio Adagio molto Finale: Prestissimo	Ludwig van Beethoven (1770-1827) arr. Cunningham
Aria Antigua (orig. flute)	Joaquin Rodrigo (1902-1999) arr. Ballard
Oft denk' ich, sie sind nur ausgegangen!	Gustav Mahler (1860-1911) arr. Ballard
Variations on Four Notes (1966)	Louis Richardson (b. 1924)
Z Domoviny Moderato Andantino-Allegro vivo	Bedrich Smetana (1824-1884)

LAWRENCE GWOZDZ, SAXOPHONIST

Born to Polish-American parents in Niagara Falls, New York, Lawrence Gwozdz has achieved an international reputation for his success in revealing the qualities inherent in the saxophone as intended originally by its inventor, Adolphe Sax.

Lawrence Gwozdz's concerts have included major cities in Asia, Europe and North America: Atlanta, Beijing, Chicago, Gdansk, Kansas City, Leipzig, London, Los Angeles, Montreal, New York, Prague, St. Louis, Trondheim, The U.S. Virgin Islands, Warsaw, Wrocław, Xi'an, Zagreb, Zurich, and many others. His festival appearances – the Lutoslawski Festival, the Menuhin Festival, the International Chamber Music Festival of le Touquet, Spoleto USA, Thracia Summer, the Lutosławski Festival - have received critical acclaim. European reviews declare, "Gwozdz is a most highly versed soloist" *(Neue Zürcher Nachrichten)*, with "amazing technique and tonal beauty" *(Bündner Zeitung)*. His performance with I Solisti di Zagreb inspired the press to write, "Gwozdz uses his instrument with superiority and virtuosity" *(Vjesnik)*.

His debut in New York's Weill (Carnegie) Recital Hall was described in *Musical America* as an "extraordinary performance of contemporary music" with "the kind of timbre Adolphe Sax most likely had in mind ... always with subtlety and taste" (*The New York Concert Review)*.

On television Gwozdz appeared with famed organist Diane Bish on *The Joy of Music*, and has performed concerti and recitals on radio for Public Radio International, Czech Radio-Prague, Croatian Radio, Minnesota Public Radio, and other networks.

His CDs – *Special Hand'ling* (Romèo Records), *Glazunov and von Koch, Concertos for Saxophone* (MMO), *An American Tribute to Sigurd Rascher* (Crystal Records), *Hurricane, Simply Gifts, Rascher International*, and *An American Concerto Tribute to Sigurd Rascher* with the Bohuslav Martinu Philharmonic (Albany Records) - have won high praise. *American Record Guide* wrote, "Superb saxophonist Lawrence Gwozdz has one of the finest alto saxophone sounds since his mentor, the legendary Sigurd Rascher. His tone and technical ability complement each other perfectly - luscious sound and immaculate technique ..." The reviewer in *Fanfare* wrote, "Lawrence Gwozdz is an extraordinary saxophonist, bringing out a tremendous range of colors and effects in his instrument. I absolutely guarantee that you will enjoy it."

Gwozdz is also known for his annotated translation of the German book <u>*Das Saxophon*</u> by Jaap Kool (Egon Pub., Baldock, England). Various composers - Samuel Adler, Stephen Dankner, Walter Hartley, Zdenek Lukas, Armand Russell, Randall Snyder, Robert Starer, Roger Vogel, John Worley, and others - have dedicated more than forty new works to him.

As Professor of Saxophone at the University of Southern Mississippi, he has established a studio with a worldwide reputation. His student soloists, quartets, and saxophone chamber orchestra perform in major cities, and are frequent winners of competitions. Having been born with spina bifida, Gwozdz is also an advocate for arts for the handicapped.

Gwozdz has studied saxophone with Ronald Tyree, Robert Fought, Laurence Wyman, and the renowned artists Sigurd Rascher and Jean-Marie Londeix.

LAWRENCE GWOZDZ, SAXOPHONIST

FROM THE PRESS

"Saxophonist Lawrence Gwozdz drew a standing ovation for his extraordinary performance of contemporary music ..." ***~ MUSICAL AMERICA***

"Gwozdz plays with a soft, mellow, fluently articulate tone. He has developed the altissimo register into a fine art, transforming the saxophone into a new and even more vibrant instrument ... superb saxophonist Lawrence Gwozdz has one of the finest alto saxophone sounds since his mentor, the legendary Sigurd Rascher. His tone and technical ability complement each other perfectly - luscious, chocolate sound, and immaculate technique ... each note full of character andlife. This belongs with the very best." ***~ AMERICAN RECORD GUIDE***

"It would be impossible to praise the performers too highly. Lawrence Gwozdz is an extraordinary saxophonist, bringing out a tremendous range of colors and effects in his instrument ... American saxophonist Lawrence Gwozdz performs the technical aspects with suitable brio. He can also provide any amount of sugar-and-cream tone ... the most refined quality." ***~ FANFARE***

"... smooth, even tone and cultivated vibrato, the kind of timbre Adolphe Sax most likely had in mind ... always with subtlety and taste." ***~ THE NEW YORK CONCERT REVIEW***

"... a most highly versed soloist ..." ***~ NEUE ZÜRCHER NACHRICHTEN (SWITZERLAND)***

"... virtuosic and mature performance ... very impressively and sensitively recited." ***~ DAS ORCHESTER***

"... talk about an instrument with a range of expression ... heart-wrenchingly gorgeous. In my next life, I want to be a saxophone." ***~ CLASSICAL disCDigest***

"Now that is the way it is supposed to be done! The artist has a dark, rich sound,quite supple and totally under control. Mr. Gwozdz's fluency and accuracy in the extended range is incredible ... The lyricism that Lawrence Gwozdz spins into the melodic lines is pure magic that embraces and totally surrounds the listener's imagination."

~ THE SAXOPHONE JOURNAL

"The melody of the saxophone with its characteristic softness, charm and romance intoxicated the audience. In Gwozdz's performance there seemed to be

hundreds of thousands of amorous feelings; and in its abundant contemporary colors, there were rich classical 'flavors', giving the audience a lasting 'aftertaste'."

~ XI'AN EVENING NEWS (CHINA)

"The interpreter mastered the finger-breaking passages and already could prove his high standards. A soft, subtle tone that was especially captivating through its cantabile was his trademark. It was an excellent concert full of surprises." ***~ KÖLNER STADT ANZEIGE***

"... incredible precision and seriousness ... The performance was full of excitement and melodramatic." ***~ MITTELDEUTSCHE ZEITUNG (HALLE)***

"With a lively, expressive and very personal manner, Lawrence Gwozdz and his excellent accompanist were able to render the "hot off the press" compositions with a special intensity. They managed to arouse not only lively interest in their music, and recognized admiration, but also thrilling,new dimensions of experiencing music." ***~ RHEIN SIEG RUNDSCHAU (BONN)***

"amazing technique and tonal beauty ..." ***~ BÜNDNER ZEITUNG (SWITZERLAND)***

"With I Solisti di Zagreb, Gwozdz performed with superiority and virtuosity." ***~ VJESNIK, ZAGREB (CROATIA)***

"Above all, there was a distinguished soloist - Lawrence Gwozdz. Bestowed with immense sensitivity, the virtuoso of the saxophone produced deep individual creativity. Not only were the joking fragments of colossal agility imagined warmly, but the resonant tones of his instrument also produced lovely, singing passages, embracing aural reflections." ***~ GAZETA WYBORCZA (POLAND)***

"Lawrence Gwozdz quite justly is hailed internationally as a renowned, illustrious saxophone virtuoso. He is also a sensitive musician. His rendition of Glazunov's Concerto exhibited the Romantic expressiveness inherent in the instrument. For that reason in my memory there remained various shadings of piano which worked in an interesting way with the orchestra. Obviously, in addition there were brilliantly played virtuosic fragments. The quality of the performance was duly appreciated by the audience, prompting the soloist to an encore. We heard a Bourrée of Henry Purcell." ***~ RUCH MUZYCZNY (POLISH NATIONAL MUSIC JOURNAL)***

"... a lovely, refined tone with a soft, controlled vibrato ... first-quality soloist." ***~ NOVÝ HLAS (CZECH REPUBLIC)***

"Gwozdz is a pupil of Sigurd Rascher, which is easily heard as his playing is beautifully in the tradition." ***~ SAXOFONBLADET (DENMARK)***

"Very smooth and facile playing ... the saxophone at its best." ***~ CASS JOURNAL (AUSTRALIA)***

"The Psalm of praise comes to mind: 'The Lord is my shepherd ... He leadeth me by still waters.' I also think of the eyes of the chosen maiden, 'deeper than the blue of the calm waters in the evening.' That is due to Lawrence Gwozdz ... Superb tone quality--sweet, consistent, and full." ~ ***LES ECHOS DU TOUQUET (PARIS-PLAGE)***

« Performances are all of a high caliber ... beguiling ... marvelously powerful in its simple lyric elegance ... " ~ ***MICHAEL BARONE (MINNESOTA PUBLIC RADIO)***

"Gwozdz plays with such subtlety, refinement, and control that the sound emerges as quite beautifully expressive ... he keeps his formidable technique completely in the service of the music." ~ ***CLASSICAL MAGAZINE***

"... excitingly played ... unusually rewarding." ~ ***TUROK'S CHOICE***

"Here are vigorous, clean lines radiantly played by Gwozdz ... glowingly realized ..." ***~ 20TH CENTURY MUSIC***

"Fire fingers ... absolutely delightful." ~ ***RICHMOND NEWS LEADER***

"The performances are first rate ... truly a tribute to Sigurd Rascher. ***~NATIONAL ASSOCIATION OF COLLEGE WIND/PERCUSSION INSTRUCTORS JOURNAL***

"Gwozdz captured the audience's attention with the musical acrobatics of the first two movements and astounded his rapt listeners with a soulful and hypnotic ballad leading into the rousing finale [of the Idlewood Concerto]. The velvet tones exuding from his 24-carat gold plated instrument evoked all members of the musical family ... a colorful splash ... introspective interpretations ..." ~ ***ALBANY HERALD***

" ... a lovely, clear tone that was modified by a smooth, well-controlled vibrato ... played soulfully." ~ ***CHARLESTON EVENING POST***

" ... dramatic and emotively colorful ..." ~ ***CHARLESTON NEWS AND COURIER***

" ... top-notch premiere ... The sax becomes the voice of the angel, singing a sweet, siren-like song ... simply lovely ... breathtaking high notes ... played with verve ..." ~ ***THE TIMES-PICAYUNE (NEW ORLEANS)***

"Lawrence Gwozdz was absolutely marvelous, like a soft-shoe dancer his sonorous sounds glided along gracefully ... effortless, clear playing."

~ THE NEW LONDON DAY

"... luxurious tone and supreme musicianship ... His attention to detail is arresting. Gwozdz has the ability to coax just the right sound, volume and degree of expression out of every note he plays. If velvet has a sound, Gwozdz could patent it." ***~ PENSACOLA NEWS JOURNAL***

"Gwozdz revealed himself to be a true master of the saxophone ... sensitive and technically brilliant performance." ***~ THE MERIDIAN STAR***

"His silken smooth sound, technique, and phrasing reminded us of his former teacher, virtuoso Sigurd Rascher."~ ***ADVANCE MAGAZINE***

LOIS LEVENTHAL, PIANIST

Lois Leventhal is Professor of Music at the University of Southern Mississippi. She holds the Master of Music degree from the New England Conservatory of Music, where she was a student of Russell Sherman, and the Doctor of Music degree from Indiana University, where she was a student of Abbey Simon.

She has been heard frequently on public radio and has performed at New York's Weill Recital Hall, the Dame Myra Hess Series, the Music Teachers National Convention, London's St. Martin-in-the-Fields, and in a series of critically acclaimed chamber music concerts in South America under the auspices of the U.S. Information Agency.

Of her performance with Lawrence Gwozdz in Weill Recital Hall, the New York Concert Review commented, "Her crystalline sonority and contrapuntal acumen evoked memories of Glenn Gould, which is no small praise from these quarters!" She has recorded with Lawrence Gwozdz on Crystal and Albany Records.

CREATIVITY, DESPITE DISABILITY

MUSIC/PERFORMING ARTS

FORMAT OF PRESENTATION: PERFORMANCE

PRESENTERS:

LAWRENCE GWOZDZ, PROFESSOR OF SAXOPHONE
LOIS LEVENTHAL, PROFESSOR OF PIANO
SCHOOL OF MUSIC
UNIVERSITY OF SOUTHERN MISSISSIPPI
HATTIESBURG, MS 39406-5081
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Submitted to the Hawaii International Conference on Arts and Humanities
January 13 -16, 2005
Sheraton Waikiki Hotel, Honolulu Hawaii, USA

ACCEPTED PRESENTATION

BUDGET

LAWRENCE GWOZDZ

REGISTRATION FOR CONFERENCE (BEFORE OCT. 28)	$390
TRAVEL (AIR)	$900
HOTEL ($226/NIGHT)	$904
PER DIEM ($45/DAY)	$180
CAB FARE (TO/from HOTEL)	$ 50
TOTAL	$2424

BUDGET : LOIS LEVENTHAL

REGISTRATION FOR CONFERENCE (BEFORE OCT. 28)	$390
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CAB FARE (TO/from HOTEL)	$ 50
TOTAL	$2424

Title of Submission: **In Search of Sacred Space: the architecture of Canadian synagogues**

Topic are of the submission: Architecture/architectural history

Presentation format: Research Paper

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Throughout history, the synagogue has served to house congregational worship, to provide a place to study the Jewish laws, and to hold community meetings. The communal aspect of the synagogue is of prime importance and Jewish Law defines a synagogue as any place where a quorum of ten men (a *minyan*) gather to worship. Jewish tradition does not require a specific place for a congregation to meet, not even for the more important communal prayers. This absence of requirements for a building has resulted in synagogue architecture becoming the product of its period, location, and material. The degree of orthodoxy of its congregation added further to some changes, but mainly on the interior of the buildings.

This paper will look at how synagogue building across Canada, have adapted the needs of the Jewish immigrants in the late 1800s - early 1900 to their new local surrounding. Special emphasis will be given to the synagogues in Glace Bay and Sydney - Nova Scotia, Moncton - New Brunswick, Ottawa - Ontario, and Winnipeg - Manitoba.

1. **USING THE SOUNDS OF MUSIC TO ENHANCE AND ASSESS STUDENT READING SKILLS INCLUDING STUDENTS WITH SPECIAL NEEDS**

2. Dr. Michelle J. Hairston, MT-BC
Dr. Linda R. High
Mrs. Susan Beck Frazier

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USING THE SOUNDS OF MUSIC TO ENHANCE AND ASSESS STUDENT READING SKILLS INCLUDING STUDENTS WITH SPECIAL NEEDS

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EAST CAROLINA UNIVERSITY
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GREENVILLE, NORTH CAROLINA 27858

3RD ANNUAL HAWAII INTERNATIONAL CONFERENCE
ON ARTS AND HUMANITIES

JANUARY 13-16, 2005

Honolulu, Hawaii

JANUARY 13-16, 2005

USING THE SOUNDS OF MUSIC TO ENHANCE AND ASSESS STUDENT READING SKILLS INCLUDING STUDENTS WITH SPECIAL NEEDS

The arts can be used to enhance reading skills and to provide alternative forms of assessment. This arts involvement can be especially beneficial for all students, including those who learn in varying ways, as well as students with disabilities. Performances, portfolios, and exhibitions are successful in measuring the quality and quantity of progress in the arts. As arts integration has evolved, classroom teachers have discovered how "making learning visible" through the arts produces clear indications of the kind and degree of learning that has occurred (Cornett, 2003). Music-based activities, in particular, offer alternatives to written tests as effective and more comprehensive means of documenting student growth throughout the curriculum. Assessing students with special needs is often controversial as well as difficult, since strengths are not always evident in traditional avenues.

All meaningful learning is essentially creative, since it is when we make or create meaning for ourselves that we truly understand. Using specific creative and musical strategies in reading can be helpful in assessing what has been learned. Rather than squelch the creative impetus by using only grades and traditional (authentic) forms of evaluation, classroom teachers can use musical activities as a basic framework for measuring success. Of particular note, is the success of the special needs student when teaching reading has been done through the arts.

Our presentation will discuss national and state standards for teaching reading and music. With the setting of goals and standards come strategies for assessment. We plan to give session participants alternative ways to enhance and assess the reading area using

music. Listed below are examples of activities to accomplish the task (objective) of using sounds to enhance and assess student learning in reading. Each suggestion will also have a modification demonstrated so that the activity would be appropriate for special needs students.

--Writing a narrative, telling story using ballads

Ballads can provide a tremendous resource for teaching reading. Since ballads tell a story, have students write a narrative telling the story found in the ballad. Have students research the history of a particular ballad. Where does it come from? Why was it written?

--Finding sight words or word patterns in lyrics and highlighting target words

Composed songs can become a resource for teaching reading. Have students practice sight words and then have them find those words in song lyrics. For more advanced students, have students write and discuss the meaning of words, the source, the composer (and writer of the lyrics), any musical text painting ideas used, cultural and historical characteristics and significance; etc.

--Creating additional verses to simple songs using rhyming words and/or re-writing the last line of a song so that it fits with the rest of the song

Folk songs and rhymes can be manipulated to create wonderful reading activities. Discuss what happens when you change the nouns, change the rhyming words, or change the last line. What happens when you add an introduction, an interlude, and /or a coda?

--Creating "piggyback" songs that help students learn information

This is done by adding new words to common tunes. An assignment might be to write a poem about animals to be sung to "Twinkle, Twinkle Little Star" or "She'll be Comin' Round the Mountain".

--Learning folksongs from various cultures.

Folk songs provide a valuable window into a culture. Since folk songs are handed down from one generation to another by oral tradition, words and arrangements often change. Students can find many versions of the same song. Instruct students to find different versions and research the history, significance, and culture of the song.

-Learning folktales from various cultures.

Take folktales, fairy tales, or stories and add music with words and instruments. The music can be used as an introduction or a finale to the story line. The music could also be used to help tell the story. The characters could have their own songs (or melodies). Students could make puppets or masks to help tell the story. Include using folktales from many different cultures, both in the United States and around the world.

Have students select instruments to use that are appropriate for the characters in the folktales. Have students write about changing the characters or the ending in a tale or story. Would the music change? Would the instruments change?

--Tempo, style, articulation changes

Have students take a melody and play it in many different versions (Theme and Variations). Have them write and describe what they did. Not only are you teaching thinking and writing skills, you are also teaching creativity.

--Texts and stories found in musicals, operas, and oratorios.

What is the significance of the text in these works? What is the significance of the music in these works? Have students write about the significance--tell the story and describe what the music does to enhance the story.

Participants would then be asked how the following examples can be used to teach the above ideas?

*"Appalachian Spring" (Theme and Variations on "Simple Gifts") by Copeland

*"Ah Vous Dirai-je, Maman" (Variations on "Twinkle, Twinkle, Little Star") by Mozart

*"La Cucaracha"

*"Old Joe Clark"

*"Peter and the Wolf" by Prokofiev

*"The Nutcracker" by Tchaikovsky

*"Mary Had a Little Lamb"

*"Oh When the Saints Come Marchin' In"

*"The Gingerbread Man"

*"The Blind Men and the Elephant"

*"Petrouchka" by Stravinsky

*"The Firebird" by Stravinsky

Time permitting, other activities to enhance and assess student learning in reading that would be covered are:

- Playing instruments to identify punctuation marks.
- Playing rhythm games to learn parts of speech (nouns, verbs, adverbs, etc.)
- Reading books based on songs (i.e. Follow the Drinking Gourd)
- Singing the songs of books based on songs!
- Turning songs into Big Books
- Using echoic reading/singing of lyrics to work on oral expression
- Making "speech-to-print" matches by pointing at lyrics and lines as songs are being sung
- Putting lines of simple songs on sentence strips and arranging in the correct sequence
- Have students keep a notebook (or a log). Keep information about music and about reading in this notebook. Each day, try teaching one or more new vocabulary words or terms that relate to music. Have students write the definitions and use the words or terms in a sentence or paragraph. Put these in the notebook.

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Hopefully, the ideas to be presented in this workshop will stimulate participants' thinking about “teaching reading” in their classes, whether it be in the regular grade level classroom, the music classroom, or the special needs classroom. Empirical studies have shown that students love music and love story telling. In order to keep cultural history alive, students must learn about and experience nursery rhymes, fairy tales, folktales, folk music, world music, good composed music, and music of the great classical composers. It is imperative to use worthwhile materials for students to read and write about in class. When students read and write about music, they not only benefit by developing reading skills, but the teacher is able to enhance and assess the skills learned in non-traditional ways.

References

Andrews, L. J. and Sink, P. (2002). *Integrating music and reading instruction: Teaching strategies for upper elementary grades.* MENC.

Charlotte-Mecklenberg Schools (2003). *Literacy and arts education: Incorporating reading and writing strategies in dance, music, theatre arts, and visual arts.* Charlotte, NC.

Cornett, C. E. (2003). *Creating meaning through literature and the arts: An integration resource for classroom teachers.* Upper Saddle River, NJ: Merrill Prentice hall

High, L. and Kindt, C. (1994). *Once upon a folktale.* Memphis, Tennessee: Memphis Musicraft Publications.

High, L. and Kindt, C. (1995). *Once upon a mountain tale.* Memphis, Tennessee: Memphis Musicraft Publications.

Addendum

We will provide a handout of all activities and will demonstrate as many as time permits. Our success at East Carolina University in teaching music courses for elementary classroom teachers has shown that these activities do in fact, meet the ultimate objective of assessing student learning through the sounds of music as well as being an enjoyable way to learn.

SAMPLE ACTIVITIES

RHYTHM GAMES:

Establish a "PAT, CLAP. SNAP, SNAP" pattern to a steady beat (HINT: keep the tempo slow!) On the "SNAP, SNAP" motion, begin activity by saying "category". On the next "SNAP, SNAP" motion, name the subject or category being assessed. For example: addition. Game is as follows: on the first "SNAP. SNAP" section, teacher gives addition problem (1 + 1). Student answers the problem on the next "SNAP. SNAP" by saying equals 2

Categories can be other mathematical equations as well as states, capitals, and parts of speech.

PUNCTUATION PRACTICE:

In order to assess a student's ability to recognize declarative, exclamatory and interrogative sentences, the following activity can be used: Display and demonstrate a drum, glockenspiel (or classroom set of bells), and pair of finger cymbals. As a sentence is read, instruct the student to play the finger cymbals with a light tap (for declarative sentences), the glockenspiel with an upward glissando (for interrogative sentences), and the drum with a mallet – LOUDLY (for exclamatory sentences).

VOICE/PRINT MATCHES:

Using familiar songs that have been printed in book format, assessment can be made of student's understanding of directionality and voice/print match by following the lyrics, while listening to a recording of the song. For example, *What a Wonderful World* by George David Weiss and Bob Thiele. Illustrated by Ashley Bryan. ISBN 0-689-80087-8. Performed by Louis Armstrong on CD.

PIGGYBACK SONGS:

By setting rote material to music-whether mathematical problems, spelling words, grammar rules, etc., a student can demonstrate understanding of the concept.

1. **DISCOVER THE SOUNDS OF RUSSIAN FOLK CULTURE: A Cross Disciplinary Approach Incorporating Music, Art, History, and Literature**

2. Dr. Michelle J. Hairston, MT-BC
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Mrs. Susan Beck Frazier

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3rd ANNUAL HAWAII INTERNATIONAL CONFERENCE

ON ARTS AND HUMANITIES

HONOLULU, HAWAII

January 13-16, 2005

The Russian people have a long and rich history of storytelling. Their folktales and fairytales are among the best known in the world. Many of the folktales and fairy tales found throughout Europe have had their roots in Russian storytelling and literature. The stories date back centuries and were handed down by oral tradition. Finally, attempts were made to write these wonderful stories down during the 19th and 20th centuries so that they might become a part of world literature to be enjoyed by succeeding generations.

The question of the so-called "what is Russianness?' belongs to Russian culture. As with other countries, Russian culture makes the foundation of what the Russian mind will become. One example would be the thinking of "the left and right sides" of the Russian mind. They have many interesting connotations involving religious painting, ritual, art, music, and literature. Usually, Russian people believe that the left side is associated with the sinister, bad, secular, etc. By contrast, the right side has more positive connotations such as being auspicious, good, and sacred. Therefore, it is important to look at the roots of the Russian culture to understand the heritage with which their music and art have developed.

The presenters for this workshop proposal became involved in the Russian Folk Culture as a result of a grant they received from the United States Department of Education. During the summer of 2003, they traveled to Russia, going first to Moscow and then to St. Petersburg. Time was spent interviewing educators, artists, and musicians, as well as touring museums, schools, famous theaters, and opera houses. Through the first hand experience of being totally immersed in the Russian Folk Culture, this presentation proposal was developed.

The interactive workshop will focus on the Russian Folk Culture. The objectives for the workshop are:

--To examine the Russian Folk Culture through music, history, and literature.

--To experience the Russian Folk Culture through singing, dramatic interpretations, and instrumental performance.

--To foster appreciation for multiculturalism through the Russian Folk Culture.

Participants in the workshop will first be given an oral history of the Russian Folk Culture, followed by an emphasis on the Russian Fairy Tale and Folk Tale and Russian Folk Songs. Matrushkas designed to be representative of the fairly tales will be used to help understand the meaning of two specific stories: *The Turnip* and *The Speckled Hen and the Golden Egg.* Participants will experience the story within small groups on several levels:

--Understanding the meaning of the folk/fairy tale
--Developing a musical accompaniment indicative of the Russian culture
--Developing art activities to enhance the fairy/folk tale presentation
--Developing a song to enhance the fairy/folk tale presentation
--Developing appropriate movement or dance to enhance the fairy/folk tale presentation
--Developing a performance-ready presentation that includes song, movement, masks,

and musical accompaniment.

The culminating activity for the interactive presentation will be the collaborative efforts of the participants to incorporate characteristics of the Russian culture into each of the fairy tales. When integrated with Orff accompaniments, masks, and puppets, these wonderful tales from the Russian culture can enable both children and adults of varying abilities and ages to participate in the fun and enjoyment.

Meaningful learning is essentially creative, since it is when we make or create meaning for ourselves that we truly understand. Using specific creative and musical strategies in developing the culminating presentation, participants will meet the objectives originally stated and gain an appreciation for the Russian Folk Culture.

Hawaii International Conference on Arts and Humanities 2005
Submission for printing in Proceedings

Title of Presentation:

Making an Impression: Connections Between Painter, Poet, Pianist

Authors/Performers:

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Abstract:
The mixing of light, color, and immediate relations of subject matter will be shown to be the connection between music, art, and poetry of the French Impressionist Period (1870-1910). Paintings, including Monet's 1874 painting *Impression - Sunrise,* will be discussed as acts of instantaneous vision and perception. The Symbolist poetic movement and its expression of immediate sensation of human experience will be examined. The harmonies, tone color, and restrained expressivity of Debussy's music (chief Impressionist composer) will be demonstrated. Through live performances of solo piano and solo vocal music, recordings of orchestral music, power point presentation of paintings, and lecture, French Impressionism will be explored. The works of Monet, Debussy, and Verlaine are connected in a way that will impress both teacher and student!

This lecture-recital with its classroom applications can be duplicated by humanities teachers through the use of audio and visual technology. The presenters will include bibliography and audio/visual bibliography to aid their audience in taking this lecture-recital away from the conference to recreate it for their own students.

For Conference Proceedings:
The 3rd Annual Hawaii International Conference on Arts and Humanities

Title: Choosing not to writing in English: Isaac Bashevis Singer as another kind of ESL student

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Abstract

In 1964 Isaac Bashevis Singer was elected to the National Institute of Arts and Letters, becoming the only American member to write in Yiddish. His command of English did not prevent him from using his new language. Friends and interviewers noted alike that his speaking and writing abilities were more than acceptable to English-centric prejudice and taste. Singer simply chose not to create his stories in English. He was, however, well aware that English was the language of a growing and enthusiastic audience. In fact, many of his works were published first in English because of potential sales in America. He often supervised the translations, and in some instances he didn't use translators. Instead, he employed other writers, giving them a rough translation and asking them to smooth out the edges for the readers. He was under no illusions that a painstaking translation could in some way preserve the *Yiddishkeit* of his work, but he felt a good story would prevail and ultimately entertain.

In my field, applied linguistics, Singer would be considered a successful language learner but with a difference. He learned English to survive in his adopted country, but as a writer, he rejected that English for the sake of his creativeness. He wrote stories predominantly about pre-Holocaust Polish Jews, imbuing the pages with sexual, moral, and occasional supernatural themes. Yet, he could express his feelings for language, text, and audience in either Yiddish or English with equal insight and fluency, ever mindful that one language valued a generous, sardonic phrasing and the other demanded brevity. This is a complex relationship with two languages and deserves a closer examination because of its implications for cross cultural writing research and theory. This paper takes up that challenge, departing from the current empirist approach in applied linguistic research and choosing instead a formalist analysis of Singer criticisms, interviews, and stories. The leading theory of writing across languages, contrastive rhetoric, favors cultural relativism and adds a streak of determinism when describing the composing processes. Singer acknowledged that relativism, but his reflections and his writing behavior indicate that he could readily step out of the mold the researchers would have predicted for him, suggesting that a second language learner is capable of reflective and metalinguistic thinking beyond the assumed limits of a particular language and culture.

Proceedings Submissions:

1. Title of the submission: What Explains *Anime*'s International Appeal?: What aspects of Japanese animation are universal, what aspects are uniquely Japanese, and how can one teach these in the classroom?

2. Name of the author: Dr. Masako Hamada

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6. Abstract:

In the past ten years Japanese animation (i.e., *anime*) has become very popular among young people internationally. *Anime* combines universal animation language with its own unique animation style.

This presentation will discuss what aspects of *anime* are specifically Japanese, what aspects are universal, and what explains its popularity outside of Japan. It will then discuss how to use *anime* in the classroom.

Both *anime* and Western animation films focus on human relationships and strivings: love, loss, peace, war, courage, power, friendship, spirit, etc. Despite their similarities, however, there are subtle differences and unique ways these issues are portrayed and examined in *anime*. (Japanese animated characters, for example, are less idealized than their Western counterparts.)

Using short *anime* clips, this presentation will give some examples and suggestions on how to use the ethnographic approach to analyze *anime* in the classroom as a way of teaching various subtle and unique aspects of Japanese culture (such as verbal and nonverbal language, differences in interpersonal and family relationships, freedom and self-fulfillment versus responsibility to others, self-expression versus sacrifice and self-restraint, and so on).

3rd Annual Hawaii International Conference on Arts & Humanities

Dance

Research Paper

ETHICAL ISSUES OF EVALUATION AND FEEDBACK IN A DANCE CLASS

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Soili Hämäläinen

Ethical issues of evaluation and feedback in a dance class[1]

This study is part of a larger project investigating different approaches to teaching and learning dance technique and how related bodily practices create moral subjects as described by Michel Foucault (1998). On one hand, the aim of this research is to scrutinise and illuminate the forms of power, which are connected to teaching dance technique, especially giving corrective feedback. On the other hand it aims to explore the students' responsibility to listen to their inner messages and take the ownership of their bodies.

In this paper I will focus upon part of the larger project: ethical issues involved in evaluation and feedback given within a dance technique class. When teaching technique, evaluation is mostly corrective feedback directed to a movement or position of the body. On the other hand, it may also be directed to a dancer's personality or features of the body. The feedback in a dance class is often verbal or tactile, but it may also be tacit feedback received through the teacher's body and expressions. Feedback may be directed to the group as a whole or to an individual dancer. It has great significance in the development of the dancer's skills.

The Challenge of Multifaceted Goals

Harri Kukkonen sees evaluation in terms of making choices and views it as an integral part of human existence. He states that if evaluation is seen as part of learning, we can make room for students' growth, independent thinking, questions and evaluation of information and activity. In evaluation, teachers cannot remain outside observers; they are closely involved in the learning process. Evaluation is learning together, and it is part of human activity. (1996, 69, 76) It is a more fundamental phenomenon than a teacher merely checking on a student's progress and giving feedback. Ethics are at stake when a teacher chooses her own way of encountering a student, or when a student expecting feedback puts herself in a vulnerable position. Even through evaluation has lately been a topic of active debate, the ethics of evaluation have been discussed very little (see also Hämäläinen 2002, Jakku-Sihvonen & Heinonen 2001, Virta 1999, Kukkonen 1996, Lavender 1996).

Technique classes play an essential role in educating dancers, and are also a part of most professional dance artists' everyday lives. Dance technique is an ambiguous concept with many meanings. It can be viewed either as different kinds of skills of a dancer or as a particular style based on a specific aesthetic viewpoint. The technical ability of a dancer is comprised of versatile skills that are practised in technique classes. These include the strength, endurance and mobility of the body, as well as its control and alignment. Further, the quality, accuracy and articulation of the motion and movement are part of a dancer's technique as well. Closely tied to the above-mentioned skills are the use of space and dynamics, which are connected to dance expression. In addition, the ability to work together with other dancers, to observe, analyse and imitate motion, are indications of the skills, or the technique, of a dancer.

Technical training not only shapes and constructs the body, but simultaneously affects the self of a dancer in many different ways. Susan Foster (1997, 241) writes that, through training, a dancer's relationship with the body, the self, dance expression and the world are shaped and changed. Thus, technical training in dance is a comprehensive project with a variety of effects. It both adds to and limits the kinaesthetic and expressive potentials of a body. The purpose of technique is to serve dance expression, but it may also become an inherent value in itself (Parviainen 2002a, 39).

Ernestine Stodelle (1978, 18) also considers the aims of technique classes to be not only development of bodily strength, flexibility, control and endurance, but also encouragement of the student "towards creative use of the principles of natural movement through an experiential understanding of his or her rhythmic, dynamic and design potentials". Technique class is thus part of the dancer's development which, according to Rosemary Brandt (1995, 167), goes "beyond technique into expression, beyond doing into making, beyond actual into virtual, beyond the physical into the perceptual". When the teaching of dance technique is understood as something more than simply developing a dancer's physical qualities, its goals become multifaceted, which makes evaluation and feedback profoundly challenging.

A dance student spends a considerable amount of time in the dance studio training her[2] body and self. Often she practices facing the mirror, in space where the places may even have been determined according to the skills of each dancer. Susan Stinson describes how in traditional dance pedagogy the teacher tells and shows the students what to do and how to do it. Then students attempt to duplicate the movement done by the teacher. The teacher gives verbal corrections and the

students usually repeat the movement. The teacher continues giving corrections until it is time to move on to the next sequence. (1998, 27)

The teacher fosters the idea that she is observing each dancer's performance, even though she does not look directly at any particular dancer. A dance student is subject to continuous control, surveillance and assessment, and she is also continuously observing and assessing herself. According to Jill Green (2001, 164), "the teacher does not have to impose outside force to motivate the students to perform according to specific standards; the students learn to discipline themselves through self-regulation and unconscious habit". I agree with Green (2001, 164) that "this habituation often leads to disconnection from the inner messages of the body as well as a loss of a sense of authority and control". This constant observation can sometimes work in a student's favour, but it can also lead to an injury and general lack of confidence and well being.

Traditional dance pedagogy has emphasized the skilful functional performance of the taught dance movements from a third-person perspective. This means that the teacher views the body from an outside perspective: the body is defined as an objective entity, studied as any material object from the outside (Green 2002, 5). The constant focus on an externalized view of the body, as reflected in the mirror or through the teachers' gaze, objectifies the dancer's body. Paula Salosaari points out that one of the criteria of a good ballet teacher is that she gives a lot of extrinsic feedback from the third-person perspective. This is based on the idea that a teacher's expertise and control are essential in the learning process (2001, 33). When assessing herself according to these externalized norms and values, a dancer is in danger of losing the ability to listen to her own inner messages to aid her progress.

This process opens multiple possibilities for ethical issues. For example, there is the issue of the dancer's relationship with her own body. Sherry Shapiro (1998, 9) writes about the possibility for understanding one's body as subject rather than object, a subject which holds the memory of one's life, and defines one's racial identity, gender existence, historical and cultural grounding, indeed the very materiality of one's existence. I believe that an ethical relationship with one's body involves understanding body as subject. An ethical relationship with the body is born when a dancer questions general practices and clarifies her goals, and, above all, listens to her own feelings and chooses techniques, with the help of an expert, according to what her body seems to need at certain times. As a moral actor,[3] a dancer chooses coming to dance classes and being the object of the

teacher's assignment, i.e. she chooses submission, in order to develop her bodily existence and entire way of being towards enhanced self-directedness. (Hämäläinen 2003)

In my opinion, young dance students often lack the skill and courage to use their bodies as sources of knowledge and make choices to suit themselves, or they may not even be aware of the possibilities inherent to dance, motion and bodily expression. The teacher's actions might also limit the dance student's freedom of choice and possibilities for learning. Dance amateurs and young students aiming to become professionals are often highly dependent on their instructor's evaluation and feedback, and are not encouraged to take responsibility and exercise freedom and power over their own bodily learning process.

Despite the fact that a dance student is responsible for her body and learning, the teacher has a key position in defining what a technique class consists of, thus influencing the student's behaviour. She analyses and controls the class event, corrects and assesses the student's performance, and gives feedback to the student. Thus the teaching of dance technique, as teaching in general, involves exercise of power.

According to Foucault (2000, 187-189), the body is culturally formed and is bound up by power,[4] and social values and practices influence the formation of the body. The power utilised in dance classes, with interrelated modes of surveillance, discipline and coercion, results in bodies becoming docile. A body is docile when it may be subjected, used, transformed and improved. When the body is manipulated, shaped and trained, when it obeys, responds, becomes skilful and increases its forces, it is an object of power. Green (2002, 3) looks at dance education as a disciplinary power that not only trains docile bodies but also trains students to be docile citizens in the dance world; at the same time it creates standards for dance behaviour and bodily being.

Giving advice, instructions, corrections and feedback involves exercise of power whereby a teacher aims at developing student' skills and abilities, leading to better body control. The body is a concrete, transformable object which forms the basis of an individual's identity. (Hämäläinen & Lehtovaara 2003*)*

Feedback given by a teacher is based on her expertise, and a dance teacher's expertise is based on knowledge, particularly bodily knowledge, as well as skills and experiences. The teacher's bodily sensitivity facilitates a better understanding of the student's own bodily experiences. If the teacher's

own dance education and work experience has paid attention to and involved sensitive bodily awareness as well as enhanced constructing an ethical relationship to the body and its sensations, her kinaesthetic empathy[5] will most probably also assist the student to understand her own bodily experiences better (see also Parviainen 2002b). With these skills and experiences a teacher can help a dancer to focus inwardly and become attuned to her own bodily sensations, which will most likely help her to perform in a more engaged and physically detailed and expressive manner.

In what follows I will consider issues related to feedback and evaluation in dance classes mainly from the student's point of view. I will describe and interpret the experiences related to the feedback that a few dance pedagogy students have received and reported in their writings. In interpreting the student's accounts, I am attempting to gain insight into the power mechanisms that dance teachers use, often unconsciously, while giving feedback and evaluating their student's performance in a dance class. At the end of this article I will discuss the ethical issues of evaluation and feedback which arose for me during the analysis of the students experiences.

Procedures and methodology

In spring 2003 I collected empirical material on experiences of evaluation and feedback from dance technique classes in collaboration with a few teacher trainees at the Theatre Academy of Finland. I asked the students to reminisce about the feedback they had received in dance classes over the course of the entire length of their studies, and to write about them in a "stream of consciousness" style, i.e. memories did not need to progress chronologically but rather the experiences could be written down as they came to mind. Nine graduate students, ages 24 to 42, described their experiences of the feedback they had received during their dance studies. Three of them wrote about their accounts voluntarily during their leisure time, six of them as part of a seminar included in their studies. Even though participation in the investigation I was conducting was not compulsory for the students participating in the seminar, every student agreed to contribute to the investigation and granted me permission to use what they wrote for scholarly purposes.

Many students found that this memory work taught them a lot, and indeed it seems that autobiographical writing can help student teachers to gain self-knowledge. Through writing about one's experiences one can give a structure to the world and one's relationship to it, which helps to construct one's identity (Viskari & Vuorikoski 2003, 57). Reflecting on our past experiences helps us to understand how they affect the way we act as teachers (Törmä 2003, 128).

Since none of the seminar work was graded, I have assumed that their views were not aimed at pleasing the teacher. The students were all familiar with writing about their experiences and reflecting upon them. After writing for an hour, the students attending the seminar spent 90 minutes discussing and reflecting upon their experiences with each other. These reflective discussions were also videotaped, but in this paper I use the written accounts only. In the following sections of this article, portions of these accounts will be presented in italics.

I have read the students' stories many times in my search for the themes that are central to their descriptions of their experiences. According to Max van Manen, phenomenological themes may be understood as structures of experience. He believes that, when we analyse a phenomenon, "we are trying to determine what the themes are, the experiential structures that make up that experience" (1994, 79). So we are trying to determine the central features or thematic characteristics that structurally constitute the experience or phenomenon investigated.

The dancers' stories form the empirical data in my study. Each person is a "knower", who authors stories of her own experiences. A subjective perspective and personal meaning-making are worthwhile and valuable in researching human experience (Risner 2000, Saarnivaara 1996, Sava 1997, Stinson et al. 1990). Through these approaches we can gain insight into personally meaningful reaches of our human world, which more objective approaches lose sight of. By utilising a hermeneutic-phenomenological approach (van Manen 1994) to describe and analyse the students' experiences, my aim is to understand the nature and meaning of feedback and evaluation in the training of a dancer. Because dance classes have not traditionally been places where students have been encouraged to discuss their experiences or feelings, I hope to give a voice to the silent dance student through a rather detailed description of the students' experiences.

The students' experiences seem to divide into two main areas, *non-verbal and verbal feedback*. I have dealt with non-verbal feedback in an article entitled "Mute feedback – supporting or hindering learning to dance (Hämäläinen & Lehtovaara 2003, 140-145). Now I will focus on the themes related to the nature and meaning of verbal feedback. In relation to verbal feedback I found five themes that many of the student's texts related to: *hunger for feedback, inequity of feedback, focus on feedback, the significance of feedback and feedback as dialogue.* Next I will introduce them by presenting quotations from the empirical material and making short comments and interpretations of them.

Hunger for feedback

”...the worst thing was if there was neither praise nor criticism..”

The stories written by the students who took part in my study displayed a huge hunger for feedback. Nearly all of them felt that there was not enough:

So very little feedback is generally available. I don’t know if I love attention so much that there never seems to be enough… I feel rather alone with my body and my feelings – even in terms of dance philosophy. (F 2)

I certainly yearn for feedback. I even remember that we used to say that it is good to get any kind of feedback from the teacher because that proves that you have been noticed, that the student has something that has made the teacher ”go to the trouble” of giving feedback. In other words, the worst thing was if there was neither praise nor criticism. (F 4)

The general thinking in ballet is, even now, that any feedback is in a way good feedback as it shows that the teacher is interested and that the student is worth the trouble, so to speak. In a way I have also felt and thought that any attention from the teacher means that there is at least some hope, that I have not been abandoned or left on my own. (F 7)

The students write about the loneliness of training, which seems to be one of the reasons why feedback means so much to them. Even negative feedback is more highly valued than no feedback at all. Receiving feedback gives the student the feeling that the teacher has noticed her and that she feels that she is worthy of the attention. It seems that dance students are at risk of feeling abandoned and alone. The comments reveal that dance students are just like the rest of us, dependent on others’ thoughts, be they expressed as words, actions, facial expressions or gestures (see Hämäläinen & Lehtovaara 2003). There was, however, one student who emphasised that the teacher should leave the students to rehearse in peace. She found the teacher’s attention embarrassing:

I used to be ashamed of being the centre of attention and being picked out from the crowd to perform movements when the others were watching, because I was aware of the fact that I still made many mistakes and there were also other people who were good at things. But I didn’t enjoy negative feedback either. All in all, being looked at or becoming the focus of attention at dance classes became in a way problematic for me – I just wished that I could have been left in peace to do my own thing. (F 5)

This need for peace can be understood as a need for one’s own space, which facilitates listening to one’s own body, its consciousness and sensations. It is important that the teacher gives the student space and the student learns to use that space in order to listen to her own body and its sensations. I

agree with Juha Varto (1991a, 122) that you cannot find the process for somebody else; you can only find yourself, your own personal process, your own transformation. However, it seems that dance amateurs and young students aiming to become professionals are often dependent on their instructors and do not have the skill or courage to take responsibility or utilise their freedom and power regarding their own use of space. This may be because they cannot see themselves dance, but it may also stem from the fact that the significance of the student's own bodily reflecting and assessment process has not been sufficiently emphasised in dance studies.

Inequity of feedback

"... and often the attention of the entire class is focused on the most talented students."

The students' experiences reveal that they are not equal in receiving feedback; rather it seems that feedback is offered according to the teachers' own personal preferences:

Especially in ballet training, the institution's rigid teaching curriculum has been made with those highly-gifted individuals in mind, and often the attention of the entire class is focused on the most talented students. (F 6)

It has been sad to notice how a certain pecking order tends to exist at many dance classes. When I was younger it felt bad to be just a "paying student"; there were about 20 of us in the class, but only the best few received any feedback. The rest of us just hung around on the ballet barre and very little was demanded from us. (F 8)

The feedback given to a student was dictated by a pecking order typical for its time (and we were all adults!). There were no limits to some dancers' excellence; they succeeded in everything. On the other hand there were the "lost souls", who consisted of the so-called impossible cases, excessively independent people and "competitors". (M 1)

This means that the so-called most interesting students – those who dance well and don't question things – get the attention and personal feedback. Those who are not so easily 'moulded' can end up receiving little attention, if any. (M 1)

I had been told... that they only really worked with people they considered mentally strong enough for the dancer's profession. In practice, I exercised on the sidebar for 6-8 weeks (the middle bar was reserved for those students the teacher was interested in) and received virtually no feedback. (F 7)

The students' experiences reveal a hierarchical system of getting feedback which they call a "pecking order" or "favourites system". This even dictates the places the students are allocated in the dance studio. The most talented receive the most feedback, and talent can also come in the form of mental strength, which any positive feedback further enhances. If a student is perceived as

lacking mental strength or physical skills, she may be ignored and receive no feedback at all. Does this mean that one needs to be particularly talented, strong and advanced to receive any feedback or evaluation?

The quality of the teacher – pupil relationship is the obvious ground on which any feedback is based. If the teacher finds that a pupil competes with her, or if a student questions the teaching, this may result in a decrease in feedback, while on the other hand it will automatically increase if the teacher takes an interest. This resonates with Stinson's (1998, 28) findings that traditional dance education does not encourage students to ask or critique. The teacher's personal likes and dislikes thus play a big role in the quality and quantity of feedback.

Focus on feedback

"…the most unpleasant feedback has been comments about my weight, about kilos and possible fat."

In dance technique classes, assessment is mostly corrective feedback directed at a movement or a position of the body. On the other hand, it may be directed at the dancer's personality or physical features. According to the accounts of students' experiences, it seems that feedback is often about those things that are out of the student's control, such as her personality, physical construction and appearance:

…the feedback given at technique classes was particularly devastating due to the fact that it wasn't always just about technique, or sometimes it wasn't about technique at all. The feedback was often about things and qualities in oneself that one could not do anything about. (F 7)

…I don't know if anybody could be strong enough to take feedback about one's personal qualities well. Any feedback on dancing and movements produced by one's own body is naturally a very personal and sensitive matter. Personally I can't understand corrections which are based on negations. (F 7)

…the most unpleasant feedback has been comments about my weight, about kilos and possible fat. And this has come up. I recall two cases where I have been told to lose weight. On the second occasion I was adult enough to not let it crush me, but the first time was horrible. I was ashamed and I lost all confidence in my dancing skills. I suddenly felt I couldn't dance at all. (F 2)

A dancer lives in her body. The body is a subject, a source and a tool for a dancer. Feedback about one's body and the movements it produces is very personal, and it seems that offensive feedback about one's personality or body can be very hurtful and stay in one's body and mind for a long time.

It can cause feelings of shame and reduce self-esteem, even to the point where the student gives up dancing.

A teacher may direct her students towards her ideal of the perfect body, upon which she forms the basis of her aesthetic insight, and which in turn forms the basis for the feedback she dispenses. According to Green (2002), social environment, cultural debates and actions constantly shape the body. Ideal body images are created in these processes, and these images become the goals of dance training. It seems that in the training of the dancer, the idea of the body as an object that can be shaped objectively according to the prevailing aesthetic and cultural concepts is very dominant. Green argues (2002, 7) that "by disconnecting people from their sensory and sensual selves, through the imposition of external models of "ideal bodies" or standards of what the body "should be" and how it should act, the dominant culture maintains control as people in oppressed groups distrust their own sensory impulses and give up their bodily authority". She considers the ideal body an impossible goal because the massive amount of energy drained from women's bodies in the struggle to conform to more and more impossible standards decreases agency and detaches them from their physical selves. (2002, 7, 17)

Feedback can be directed not only at a dancer's personality and body but also at her age. This is how one student described her experiences:

As I only started professional training in classical ballet as a teenager, I felt I was racing against time, and was therefore unable to study dance at my own pace. Awareness of my age, strengthened by the teacher's continual remarks about it, made me study in a state of dread – I was virtually obsessed with making up for all the "lost time". (F 6)

The student describes the time-based pressure typical for dance lessons and dance training as a whole. We often think that a dance student should not only have an ideal body but also be the ideal age. One needs to learn things fast enough or time will be wasted. The same student describes receiving feedback from an elderly teacher, which transformed her anxious worries about age and haste into a new understanding and positive personal growth experience:

She carried the experience the years had brought her body with pride, and never stopped emphasising how long a time it takes to grow to become an artist, especially mentally. Her positive feedback freed me from the race against time, and made me stop for a moment and realise that, at the end of the day, being a dancer isn't all about youth and technical virtuosity. (F 6)

Many students explain that they have received feedback about technical mistakes, and they find this feedback important for their development. They also find, however, that there is not enough feedback about artistic expression, which they see as being of equal importance:

The feedback is mainly technical, correcting mistakes. That's of course necessary, but could some feedback at a dance class not also be about nuances of expression, correcting and directing that. Expression, and a broad repertoire, is part of good technique. One would think that this goes without saying, but the fact is that e.g. this autumn I have not been given one comment on nuances or style etc. (F 2)

The "best" feedback over the years and in different contexts has been comments that show that the teacher has seen "me" personally, and not just a collection of body parts or some more or less successful efforts to dance. I think these incidents have often concerned expression. (F 3)

These descriptions reveal that when students get feedback about their artistic expression they feel that the teacher has seen them as human beings, as more than just a collection of body parts. In these cases the teacher has seen the dancer as a subject, as a lived body, and not merely as an externally directed object.

The significance of feedback

"It's weird how hurtful comments haunt you for a long time."

The data suggests that students have a lot of memories of negative feedback. These students make it clear that the negative feedback has made a lasting impression. Even though many students find negative feedback better than no feedback at all, their narratives suggest that offensive feedback does not help the learning process:

It's weird how hurtful comments haunt you for a long time. I heard things like "You even can't do that right". "I am so disappointed with you. When I saw your beautiful legs I thought you could have become much better". "How do you even imagine you could do that role? I don't think you'd even fit into the dress!" Hurtful comments never encouraged me (if they were meant to spur you on); on the contrary they paralysed me and I often thought about quitting my studies and choosing a new career. (F 8)

Only one student points out that a teacher's "whipping", which I take to refer to the use of harsh language and demands, can actually be enjoyable. She found negative feedback devastating, but at the same time explains that she somehow also enjoyed the teacher's "whipping":

...I often found the feedback overwhelming instead of encouraging. In my learning process I would have needed at least one constructive or approving word, even though I can't deny that I somehow enjoyed wallowing in desperate and anxious feelings while my teacher got really stuck into me. (F 6)

It is not at all unheard of that dancers expect harsh feedback and "whipping" from their teachers to motivate and support their training. Clyde Smith points out that dance students themselves often expect and accept teachers' insulting feedback. In dance training harsh language is often justified by some teachers and students as necessary for success in the competitive world of professional dance. (1998, 23) Green (2002, 18) was amazed by the fact that her students often indicated that they enjoyed the harshness of dance classes and what they perceived to be the strengthening and rewarding process of shaping their bodies into dancers. However, it is obvious that severe feedback can motivate some students and make them try harder and succeed.

The students' narratives also reveal that teachers' feedback and evaluation strongly affect the students' self-image and self-esteem:

I realised that I have no significant positive learning experiences from dance... I still think that I never received the kind of feedback in dance studies that would have strengthened my self-esteem and encouraged me to be the dancer, artist or human being that I really am. (F 7)

I had difficulties with this division into good and bad; I was tired of always being bad and stupid, and I was scared of being good because I knew that at the end of the day I would turn out to be bad anyway... (F 5)

These descriptions suggest that the feedback these students received did not strengthen their self-esteem, and that the quality of the feedback is clearly linked to the dancer's self-esteem. It seems, however, that those who have high self-confidence do not take negative feedback so seriously. One of the students gives this some thought:

It's been a long time since I got feedback that would have made me anxious or hurt or crushed me. It might also have something to do with my self-confidence. (F 2)

Julia Buckroyd writes that children and adolescents do not have a fully developed sense of self, but rather have a fragile self-esteem. Identity is deeply invested in the body and the developing sense of mastery of it. At that stage of life, the sense of self is almost identical to the sense of one's body and physical self. Therefore corrective feedback and evaluation in training the body have the potential

to either enhance and develop confidence and self-esteem or undermine and damage it. The results in both cases are likely to be long lasting. (2000, 3)

Our self-knowledge and self-image strongly affect how we view others around us. In this way self-knowledge also forms the basis for how we understand human existence (Lehtovaara 1994, 58). In the students' narratives feedback in dance teaching does not strengthen their self-image or add to their self-knowledge; quite the opposite in fact. It seems that feedback also affects their body image:

I understand that this is an aesthetic art, a visual one, and that the teacher has his own ideas of beauty, but I was hurt. I was ugly and fat. Still, I believe I'm not the only one with similar experiences. (F 2)

It puzzled me that I didn't have to look like a skeletal fairy any longer, but was at liberty to look like a woman or generally myself – had I had the faintest idea what I actually looked like. (F 6)

It seems that in dance education the body is often discussed in terms of size and shape. Shapiro (1998, 15) considers that typical of the Western tradition. Stinson writes that negative feelings about the body are enhanced by a pedagogy in which the goal is an unattainable ideal, where every attempt is met with corrections and indications of how one does not measure up. She considers that "in traditional dance classes the body often seems to be regarded as an enemy to be overcome or an object to be judged". (1998, 29)

Feedback as dialogue

"I recall very fruitful feedback conversations where one was allowed to voice one's opinions."

Sinikka Viskari (2003, 119) emphasises that an interactive situation consists not only of the teacher's and student's skills and abilities, but also their emotions and bodily existence. The students' narratives give a lot of diverse thought to the interaction between a student and a teacher in the context of giving feedback at dance classes. They seem to have found the interaction a significant area of teaching and learning:

One year we were repeatedly lectured about how generally impossible we were. After a half an hour of this our teacher felt so exhausted and desperate that the lesson could not continue. (F 5)

I find any feedback from a teacher who takes strong stands confusing – this is what you are good at and that's what you can't do. First of all, it's not nice to be defined from the outside: "That's what YOU are like and this is the final truth", and secondly, no one can claim to really know the true qualities of another person. I think even defining oneself is impossible. (F 4)

The students' narratives also reveal that they do not have the courage to ask questions or question the teacher's views, and that they think the teachers assume that they know what is best for the student:

...At home I tried various different positions, but there was only one in which I could lift my leg properly. I asked the other students in my dance group, thinking that they might be able to tell what was wrong with the way I moved, but they couldn't see a problem. I was puzzled. It didn't enter my head to ask my teacher, as I already felt that he thought I was a bit stupid... (F 5)

In a way some of that feedback is still creating tension in my body. The reason for this must be that none of the situations or emotional reactions were ever dealt with afterwards. All in all, conversation about what happens at dance classes is virtually non-existent. My teacher ... said many times: "Your job is to dance, not to think." (F 7)

After some repetitions I got into using my body more but that wasn't acceptable. The teacher gave me some instant feedback, saying that she was the teacher and I was the student. My task was to do exactly as the teacher said, period. (M 1)

Many students were critical of the fact that feedback situations focus on finding faults and fixing them. I interpret these descriptions of criticism and external definitions, coupled with the fact that the students were unable to ask things from their teacher or question her views, as one-way communication, which indicates a lack of open dialogue.

Jorma Lehtovaara follows in the footsteps of such scholars as Heidegger (1991) and Varto (1991b) when he divides dialogues into open and technical dialogues, finding that a technical approach turns the world and other people into objects. Technical dialogue does not require a respectful and humble approach, and does not really listen to the other person. It is not a two-way relationship, but a monologue dictated by one person only. Open dialogue is an attitude that leaves space for otherness, whereas a technical attitude denies it. (1996, 42-44)

The debate on dialogue has been rather active among Finnish and international dance researchers, who have looked at the quality of the dialogue in dancer – teacher and dancer – choreographer relationships (Parviainen 1998, Stinson 1998, Pasanen-Willberg 2001, Rouhiainen 2003, Anttila 2003). Eeva Anttila claims that dialogue ties together the method and aim of education. Thus the purpose and direction of education is determined though dialogue. Dialogue is a necessity in purposeful education and education without dialogue becomes impossible. (2003, 285) Rouhiainen considers the dialogue in a dancer – choreographer relationship. She argues that "the autonomy of the collaborating individuals, or at least some of them, might be threatened, as a flowing dialogue,

in which the interlocutors relate to each other though solidarity and reciprocally acknowledging their individuality, may be difficult to achieve." (2003, 260)

Stinson points out that in most dance classes the teacher has the authority and is the only source of knowledge. Dance training teaches students to be silent and do as they are told. Stinson's research found that traditional dance pedagogy, with its emphasis on silent conformity, does not facilitate "finding one's voice". Dancers typically learn to reproduce what they receive, not to criticise or create. (1998, 28) Parviainen (1998, 106) also claims that dancers have traditionally been trained not to think or speak during dance classes; they have been led to believe that movement study is the only investment they need to make.

In addition, it seems that students' emotional experiences are not dealt with in the classes. In Marjo Vuorikoski's view, neglecting emotions may not be quite as unintentional as we tend to believe. When feelings of humiliation and fear and other related emotions are not dealt with at the classroom, the students are left to cope on their own. To teach students to control their emotions is a power mechanism which is typical of all education, and controlling and ignoring emotions induces the students to follow the prevailing societal codes of behaviour and moral rules. (2003, 138).

The students' narratives also describe positive experiences of connecting and interacting in feedback situations. On these occasions an open teacher – student dialogue was achieved:

They have been present at dance classes as themselves, they've tried to understand the relations between cause and effect, they've challenged everyone to get to know their limits, and they've created a safe learning environment and given encouragement. It's been easy to rely on their feedback as it's been constructive, referred clearly to certain things, and made it known that, at the end of the day, I have the final responsibility for learning. (F 8)

I recall very fruitful feedback conversations where one was allowed to voice one's opinions. She made me think about things and that's probably why training was really nice at that time. (F 1)

These stories show the importance of conversation and getting one's own views across in feedback situations, which underlines the importance of open dialogue in teaching and learning situations. In Jorma Lehtovaara's (1996, 43) view, the core of open dialogue is "respectful and interested listening. Listening to the other as the Other[6], as what he or she truly is". The focus is more on taking turns to listen than taking turns to talk. In an open dialogue neither the intellect nor the will

directs the attitude to reality. Reality is instead left to be whatever it is. One is wholly present, listening to it, looking and wondering about it alertly and broadly. (1996, 42-44)

The narratives suggest to me that a teacher's presence at a dance class as herself enables open dialogue. In Lehtovaara's view a teacher can genuinely encounter the other as the Other when she has mastered dialogue, i.e. when she can honestly relate to the world as her true self without pretence (1996, 38). This kind of attitude creates room for the student to find her own potential. The students' narratives describe the importance of the space their teacher gives them when she is giving them feedback:

A few years later when I got a new modern dance teacher I realised that the space some teachers give their students' dancing and development constitutes a great liberation and opens the road towards becoming a dancer. This new teacher gave us assignments that were repeated time and again. Sometimes she would not comment on anything we did, and if we asked something, she would just look at us calmly and say "'I don't know". It gave us time to familiarise ourselves with our own bodies and how it, or we in general, could solve the movement tasks. I really felt that I was on the way to becoming a real dancer and an artist. (F 5)

Luckily I've had good teachers who have given me a good base to build on. They have all believed that we are all important and valuable. The have been interested in "inner movement", given space to the student, and they have been extremely interested in the deeper essence of movement itself. (F 8)

Getting some space from the teacher seems to give students a chance to get to know their bodies and thereby make their own decisions. A professionally educated teacher should allow the student the freedom and chance to mature and the opportunity to think independently and creatively, retrieve and evaluate knowledge, and act ethically. Giving space means listening to the other and having faith in her capability to discover what is best for her (Varto 1991a, 122 cited in Jaatinen 1994, 192). In my view, space given by a teacher helps the student to create an ethical relationship with her own body, thus enabling her to listen to and respect its messages.

Discussion

The students' stories clearly show that feedback and evaluation are of great significance in educating a dancer. According to the descriptions of the experiences, it seems that the content and character of the feedback may promote or, in some cases, prevent positive learning experiences. Giving feedback has to do with many questions concerning firstly the teacher's authority, expertise and power, but also the student's ability, choices and independence as well as the expertise

regarding her own body and self. It has to do with the nature of dialogue between the teacher and the student.

The students' stories resonate with Clyde Smith's findings that dance classes offer a lot of power to the teacher. Students are quite vulnerable, generally scantily clad, evenly distributed in space, and continuously observed and controlled. Additionally, young dance students are particularly eager to please the teacher. Students feel that their teacher sees everything, and if a student is ignored she is likely to feel that nothing she has done in class has been worthy of any attention. (Smith 1998)

On the one hand, the students in my study say that any kind of feedback is better than no feedback at all. On the other hand, the students' stories tell that negative feedback about one's personality or bodily structure, can ruin one's self-esteem and make one feel humiliated and worthless. My interpretation of the student stories is that these emotions are not discussed; rather the student is left to deal with them on her own, which might make their negative impact even greater.

It seems that abusive feedback is damaging particularly to a young dancer. It may even block the positive development of one's self-esteem, self-image and body image. Insulting feedback can in some cases lead to a complete cessation of dancing altogether. I therefore ask, what motivates a teacher to oppress and humiliate students in a dance class? Is it just the tradition they were trained in? Do they use their power unconsciously, or are mechanisms of power not solely the teachers' and students' individual ways of behaving, but rather part of a larger phenomenon in the dance field? Do the students expect harsh feedback to motivate their work?

The data suggest that dance students rarely possess the courage or skill to take responsibility for their own bodily learning process and make choices to suit themselves but are often very dependent on their teacher's evaluation and feedback. Students seem to assess themselves according to the norms and values of the dance teaching tradition and/or from a third person perspective.

As I pointed out earlier, a dancer's body is subject to continuous control and surveillance during technique classes. The teacher fosters the idea that she is observing each dancer's performance, even if she is not directly looking at any particular dancer. According to Vuorikoski (2003, 135) Gore (1998) has studied how different Foucauldian techniques of power are realised in education in ways that are small, passing and hard to observe. The teacher's gaze reaches every student and communicates certain values: what is good and acceptable and what is not. The control of a

dancer's technique mostly involves communication between teacher and student. The communication may be verbal, or the message may be communicated through the body. Since communication always involves influencing another person, it also includes exercising power (Hämäläinen & Lehtovaara 2003). Although he does not see all uses of power as negative, Smith (1998, 131) uses the words "power over" to apply to situations in which a person controls an individual or group with the negative implications of authoritarianism. The narratives in my study reveal that, in feedback situations, teachers also use their expertise, control and power over students in ways that may hinder learning experiences.

The use of power cannot be removed from teaching situations, but should be made visible. Teachers should be aware of how power relations and techniques of power work in a dance class. (See also Gore 1998, Vuorikoski 2003) Ellsworth (1992) draws attention to the fact that power relationships hold even progressive teachers in their sway, despite the fact that they themselves are probably unaware of this. Their best attempts to liberate their students, develop their talents, and shift the balance of power often fail when they cannot give up the idea that they know better than their students, and they unintentionally begin to speak for them or even oppress them. Elizabeth Ellsworth advises educators to be careful and self-critical about any attempts they might make to "help" students to "understand" the "truth", and to take a moment to reflect on the realities of classroom power structures, regardless of their own liberal intentions. (Ellsworth 1992 cited in Green 2001, 156)

It is obvious that evaluation is not only a question of a person's learning and performance, but also concerns the individual human being as a whole. A teacher must therefore have knowledge and understanding about the student's personality and life situation. In Kukkonen's (1996, 75, 76) view, a teacher evaluating a student should treat the student as a conscious, thinking individual who sets goals for herself, plans her future and makes ethical choices. Maija Lehtovaara points out that the teacher's knowledge of herself, her self image, determines how her conception of other people is formed (1994, 57). The most important continuous task of evaluation is to study the pre-emptive understanding of the evaluator. The evaluator must critically dissect and analyse how she has understood the subject of her evaluation, the student. Is she the victim of her own prejudices? Can she separate herself from the types and classifications she uses to look her student? (Hämäläinen & Lehtovaara 2003) A teacher must also be aware of her own subjectivity, so that she does not make mistakes in thinking that her observations are the truth, produced by her own expertise (Hämäläinen 1999, 121, Sava 1993).

Educating a dancer is a holistic process which not only constructs the body but also changes a dancer's relationship with her body, the self and the world. This process includes exercise of power which results in bodies becoming docile. It seems that teachers use often power over students and the body is treated as an object that can be shaped according to the prevailing aesthetic and cultural concepts. According to Foucault (2000), we cannot escape the docile body. But maybe teachers should be more conscious of how docile bodies are created.

In concluding with the need for dialogue between teacher and student if ethical relationships are to flourish in the dance studio, I am affirming the position of Veli-Matti Värri, who thinks that dialogue, an encounter, is the foundation of ethics. Ethics and values can only exist when people concretely take responsibility for their encounter with the Other. This responsibility consists of listening sensitivity to the student's whole being, becoming aware of and understanding each student's personal needs and finally accepting and respecting the student. The responsibility does not take moral codes or the universal idea of every man's worth as its starting point, but rather the true reality which comes into being when you meet the Other in a concrete situation. There are no universal ethics that could offer us eternally valid moral norms regardless of the context. (1997, 79, 92) In my view it is possible to offer ethical advice, and such advice may even help teachers to find solutions, but it does not guarantee that ethical actions will follow. Therefore ethics are not about a model which could distinguish between right and wrong actions. Ethics are to do with otherness, how to face it and respect it.

When we encounter another person and aim for an ethical relationship, the most fruitful approach is to assume that we cannot understand each other; it is not possible for us to know who the other person is and what she thinks and feels in each life situation (Lehtovaara 1996, 50). This is why an essential aspect in feedback and evaluation is the nature of the encounter between the student and the teacher, and the responsibility connected with this encounter. One must find a relation with the Other in which the Other can maintain her Otherness. The essential part, therefore, is not what sort of feedback the teacher decides to give her student, but how she encounters the Otherness of the student. As Levinas has pointed out (1996, 13, 72), the encounter with the Other, in this case the student, is an ethical experience where the teacher becomes ethically responsible for the Other, the student.

In conclusion I am aware that in this study I have asked only the students' experiences and I have not given a voice to teachers. I am also aware that what a student hears is not always the same as what a teacher says. It is impossible to know what has really happened in these feedback situations which the students have described. However, the accounts of the students in this study are true to their experience.

Although my emphasis in this paper has been the role and responsibility of the teacher in developing ethical relationships with students, the concept of dialogue implies that both sides of the relationship are important. If the student is to be a moral actor in the relationship, it would seem that she would need to ask herself questions like these: What kind of position do I give to the directions, assessments and feedback of the expert? Do I submit myself to being a mere object in dance education, or do I value my own body messages as well? Do I listen to my bodily awareness or do I submit my body to being a docile body to the teacher? What are my moral actions and ethical goals? In other words, both the teacher and the student must take an ethical stance in order for there to be an ethical teacher – student relationship. With the significance of both the teacher's and the student's views, it becomes clear that dialogue between them can be the foundation of an ethical relationship.

The question that immediately arises, of course, is how a student can treat herself as subject of her own experience and maintain an ethical relationship with her body if her teachers have treated her body as an object that can be shaped according to the prevailing aesthetic and cultural concepts. As I conclude this study, it is thus clear that more questions lie ahead.

Notes

[1] In my article I use the term dance class discussing both contemporary and ballet classes.
[2] To avoid interrupting the flow of the text, I shall refer to a dancer and an instructor, whether woman or man, with the pronoun she.
[3] Foucault (1998, 132-135) divided the study of morality into three parts. The first dimension consists of discourses that determine what is forbidden and what is permitted as well as what is right and wrong. The second dimension is moral behaviour, which describes to what extent people comply with and apply the moral law. Between these two is the third dimension, which is

comprised of the discourses that aim at controlling, advising, shaping, assessing and questioning the moral actions and the actor. This dimension connected to the moral control of oneself is comprised of practices and models that the subject uses to form a relation with the self and shapes him- or herself into being a moral actor. Foucault considered this dimension as the primary area of ethics, and called these ethical practices the technique of the self. Techniques of the self are cultural models, with the help of which individuals can affect their body, soul, thoughts, behaviour and the entire way of being. They are about actions where an individual, for instance a dancer, adopts the ethical dimension of self-direction.

According to Parviainen (2002, 39) the ethical dimension of the techniques of the self concerns not only the internal artistic requirements employed in the dance field. Instead when he or she adopts an ethical practice towards him- or herself, a relationship is formed towards social, cultural and historical issues as well.

[4] Foucault (1998, 2000) discusses the theme of corporality, particularly in relation to the question of how a person can be controlled and manipulated. According to Häyry (2000, 127-137), in Foucault's view the most prevalent mode of power in our western culture is biopower, by which he means the use of force, which is based on the one hand on detailed knowledge about an individual's physical characteristics, and on the other hand on knowledge about the behaviour of entire populations or particular population groups. This mode of power is not manifested solely in limitations and threats but also in encouragement and advice. Control of bodies and populations no longer resides in the ability to kill but rather in the ability to use life in its entirety as an object of knowledge and a mechanism of power. Biopower's success is based on the fact that it is thoroughly pastoral, in which respect it is the total opposite of liberal use of power.

[5] Parviainen has described kinaesthetic empathy based on Edith Stein's ideas. Stein is of the opinion that understanding somebody else's bodily movement is largely based on kinaesthetic sense and empathy. The empathetic subject focuses on the other person's experience, identifying with it but at the same time keeping her or his own empathetic experience and the other person's experience separate. Identification does not mean feeling what the other person is feeling, which means that we need to differentiate between awareness of somebody else's pain and the pain the other is actually feeling. Empathy does not mean unification, because when we feel empathy we also maintain our personal selves. Full identification with the other's experience or body image, which Parviainen calls topography, is not possible. A capability for kinaesthetic empathy enables us to understand another person's bodily movements on an internal plan, so we can understand somebody else's movements through our bodies without actually moving ourselves. (2002b, 328-340)

[6] The Other (l'autrui) is one of Emmanuel Levinas' key concepts, the other two being "the Countenance" (le face) and "asymmetry". In Levinas' view Otherness does not mean difference, rather he sees Otherness as a primary category: above all else we are others to one another. The Other represents strangeness which remains mysterious and cannot be thoroughly known. The Other cannot be defined transparently. The Other is always more than I can conceive of. What is important for dialogue is what is not said in words: in Levinas' view the silent Countenance of the Other (the concept of the Countenance refers to the entire body) invites others to respond and be responsible. These two words, respond and responsibility, are interestingly very much alike. (Hankamäki 2003, 77-157)

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The Road from Arcadia

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". . . the dream becomes the sole medium able to achieve a momentary and longed-for coherence, even as its status as wish-fulfillment ensures that in reality it can only be the most insubstantial, utopian articulation of the desire to escape History's nightmare."
-Paul Allen Miller in *Subjecting Verses: Latin Love Elegy and the Emergence of the Real* (Routledge, 1994)

"Quo te, Moeri, pedes? an, quo via ducit, in urbem?

- line 1 of Eclogue 9[1]

Vergil's ninth Eclogue begins with an ominous question from Lycoris to the shepherd-magician Moeris about his upcoming journey into the city. The city is not a friendly place in the pastoral terrain - Vergil's fictitious Arcadia is filled with lovers, poets, and shepherds who sing songs in *otium* or leisure while the city looms in the background as a power either to shelter or dispossess. Lycoris's question is filled with a mixture of uncertainty and hope as Vergil's collection of ten poems nears its end. A satisfying answer is more readily available in looking to where Vergil himself was headed. Eight years after the publication of the *Eclogues*, he wrote the *Georgics*, a didactic work on farming, its joys and pains. Vergil ultimately takes the road to the *urbs*, i.e. Rome itself, with the *Aeneid* along with his hero Aeneas. For my research, I am interested in exploring the road by which Vergil's poetic journey begins in the marginal

[1] Vergil. *The Eclogues and the Georgics*. ed. R. Deryck Williams. London: Bristol Classical Press, 1996.

spaces of a place called Arcadia yet looks to the more "civilized[2]" i.e. city-centered poetry of epic. More specifically, I want to locate the boundaries of the worlds created and represented in the world of Vergil's bucolics, and distinguish the connection between ideology and poetics in the *Eclogues*.

I choose to cite from the latter portion of the *Eclogues* to launch my proposal to illustrate important features of discussion in examining Vergil's bucolic world which are concomitant to each other: representation and reality. Vergil's poetic landscape of Arcadia is difficult to locate and this complexity has been the discussion of classicists over recent years. I opt to describe the landscape as "marginal" primarily because of the nature of the characters portrayed by Vergil – the characters are unconventional and unlikely heroes: shepherds who spend the day grazing on the grass with their goats and sheep without institutional commitments such as marriage or military service. The Arcadian landscape is marginal also because its inhabitants strive towards desires parallel to those in the realm of reality (e.g. love, freedom, peace), while simultaneously being unable to realize and participate in a range of human experiences and emotions. In the first Eclogue, dispossessed Meliboeus looks enviably upon his lounging friend Tityrus, who has the blessing of a "god" who has created this leisure for him (O Meliboee, deus nobis haec otia fecit, l. 6). For his fellow goat-herder, Tityrus manages only to provide a temporary relief from his troubles and tells him to rest the night with him on the fresh green (hic tamen hanc mecum poteras requiescere noctem fronde super viridi, l. 80). There is only an affectation of sympathy or human emotion in the world of Arcadia, for there is no real immediate consequence of any action in this virtual reality where the

[2] The term "Civilized Poetry" was coined by Brooks Otis and his work *Virgil: A Study in Civilized Poetry* (Oklahoma University Press: 1995).

high-language of poetics which in its poetics treats grand themes yet refuses to allow either epic events or the harsh reality of the nearby civilized world to intrude more than tangentially upon its illusive territory. We can compare the tremendous difference in gravitas when Aeneas and Achates are journeying through the dark Underworld together: *fidus Achates*, it says, makes his footsteps under a similar burden of concern. In the hero's epic journey to the Hades, burdens are carried together. Burdens are not so much shared as songs and stories are in the timeless space of bucolic.

In the singing contest between the shepherd-poets Thyrsis and Corydon in Eclogue 7, there is a narrative dilemma that the judgment of the contest falls in favor to the lesser singer, Corydon. In Arcadia, the significance of a contest is immediately subverted to show that "conquered Thyrsis fought in vain" (et victum frustra contendere Thyrsin, l. 69). A greater force than justice rules in the imaginary bucolic landscape - a force that shows grace upon one poet yet neglects another. From that time on, Meliboeus says that Corydon has been the only hero for "us" i.e. pastores. The new hero is not a militant civil servant who seizes lands and farms, but he who seeks peace, refuge and love. But this love, Amor, is a destructive force for many. Latin love elegy is certainly comes into play in the larger scope of Augustan literature, poetry. Tibullus, Propertius and later Ovid, all are inspired to write elegies about the awesome power of Amor. Reading Paul Allen Miller's *Verses: Latin Love Elegy and the Emergence of the Real* (Routledge, 1994), I was intrigued by the shared theme of love as refuge and shield from a harsher and more conventional reality. At the same time, there is a great deal of tragedy in these fantastical realms. *Saevus amor* is said to have forced Medea to stain her hands with the blood of her children (E.8.43ff). But back in E.3.101-2 Menalcas says

that love is not to blame. "Hi certe – *neque amor causa est* – vix ossibus haerent. nescio quis teneros oculus mihi fascinat agnos." As M. says, "some evil eye bewitches his tender sheep." The fantastical language of the *Eclogues* never lends the art of pastoral to escape any nightmare of reality completely. The dropping of the shield in battle does not provide refuge from trial and pain; rather, we end up in an imagined state of suffering. Lovers are dreamers, and this is acknowledged by Alphesiboeus in E.8.107: Nescio quid certe est, et Hylax in limine latrat. credimus? An, qui amant, ipsi sibi somnia fingunt? (I do not know what is certain, and Hylax is barking at the threshold. Do we believe this? Or, do those who love fashion dreams for themselves?) Thus, what are we as readers to believe?

In his contribution to the most recent edition of *The Cambridge Companion to Vergil* (1997) Charles Martindale notes that the "much of the most innovative work on pastoral has been done by non-classicists." Recent research on the *Eclogues* has been directed in response to one non-classicist's work in particular, the literary anthropological writings of Wolfgang Iser. Martindale's own contribution to the Cambridge anthology "Green Politics" refers to Iser's 1993 theoretical work *The Fictive and the Imaginary*[3] where Iser replaces the dichotomy between reality and fiction with this triad: the real, the fictive and the imaginative. Along these lines, one need not be confined to the investigation of representation in terms of symbolism as was popular in the New Critical approach. Rather, I hope to use ideas like Iser's redefined referential reality to embark upon a philological study of the *Eclogues* as an experiment in "civilized" poetry. Using both Theocritean and Callimachean models, Vergil set out to create a reductive form of

[3] Wolfgang Iser. *The Fictive and the Imaginary*. Baltimore: Johns Hopkins University Press, 1993.

epos. In a sense, the *Eclogues* are Vergil's chemical laboratory and Vergil is the alchemist who pits and pairs different poetic designs against each other. The *Eclogues* are full of dialogues, proverbs, oracles, song and dance, all of which engage the reader in an ongoing fictional reality focused on the individual's search for peace, love, and freedom. Iser understands the experimental Arcadia as "a work of art that thematizes art itself," largely free from "the traditional referential function of poetry as mimesis" (111). I am curious to discover what connections can be made from Iser's perception about the *Eclogues* to the Vergilian corpus at large by conducting close readings of the text.

I would like to pause here to include an explanation of my original inspiration for this project. When I first read the Eclogues of Vergil, it was after I had just read the poetry of Chong Chi-yong, a Korean poet who achieved high popularity in the 1930s until the WWII broke out and he became imprisoned in North Korea. I find in Chong's poetry an interesting combination: the beauty of the Korean language mixed with the harmony of nature. The end result is that vain urbanity is set aside during civil strife and World War to access a level of poetics in pastoral which are not incidental, fantastical and imaginary, rather they are natural, real and permanent associations comprehended universally across generations.

The purpose of my research is to define the ideologies permeate through the road through and away from Arcadia, a road which leads to epic realism and human toil, yet never leaves the dreams and nightmares of humanity behind in the bucolic world. I would like to eventually extend my research towards examining Vergil's *Aeneid* and Augustan literature at-large, which is my intended special-field for my PhD degree.

TITLE OF THE SUBMISSION
The Spirit of Design: Multimedia Database and Website on Architecture, Literature, Film, Theater, and Painting

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ABSTRACT OF PAPER
Architecture is not just a form that follows function. Neither is architecture a mere pleasure to the eye. A certain piece of architecture fosters a poetic imagination in the viewer's mind. Based on the above premise, our project is to create a multimedia database and website that lists significant buildings -- real or imagined -- that have appeared in literature, film, theater, or painting. The database will demonstrate how architecture can directly contribute to the construction of the "world" the author/director/painter is creating. Fresh in our memory is the Christ Church College, Oxford University, which magically turned into the enchanted Great Hall of Hogwarts in the Harry Potter series. Another recent example is the city of Minas Tirith, designed for the film, *The Lord of the Rings*. In these examples the building's design feature -- be it a city carved out of a solid mass of white mountain rock or a building with Gothic pointed arches -- enhanced a particular mood or atmosphere the film needed to convey. The same applies to paintings like Johannes Vermeer's, in which a certain interior space was carefully chosen in relation to the subject. In literary pieces such as Thomas Mann's *Death in Venice* ,Victor Hugo's *Nôtre Dame de Paris*, or Gaston Leroux's *Phantom of the Opera*, we can even argue that the work would not have existed without certain architecture to entice the author's imagination. Knowing these buildings will not only benefit the students of architecture, literature, theater, and arts in their professional development, but it will also help the future general public understand potential contribution architecture can make to their lives, on a level much deeper than mere utilitarian or aesthetic. At the Hawaii International Conference on Arts and Humanities we will present a pilot database that has been developed so far, and in return hope to build a network of scholars/educators who are interested in using the database as course materials. We also hope to engage in our discussion some faculty members from other institutions who might want to collaborate with us in the future.

"To the Female Disciples in the Third Angel's Message": Gender, Mission and Spiritual Development in Nascent Sabbatarian Adventism

Abstract
The early nineteenth century, the end of the Second Great Awakening, witnessed the birth of a new millennial movement. This movement, led by William Miller, anticipated the return of Christ to earth in about 1844. After the date passed and hopes were dashed, a handful of remaining believers worked vigorously to revive the defunct movement and promoted their particular Scriptural interpretations as "the Third Angel's Message". This paper looks at articles written about the role of women in the church and the home circle in the group's periodical, *The Advent Review* and *Sabbath Herald*, between its inception in 1850 and 1881, when leadership first proposed ordination of women. Analysis of the articles demonstrates that the periodical pushed both men and women to move beyond the "Cult of Domesticity" prevalent during the period and regard women's lives in ways at odds with the general social definitions of the day. While the periodical affirmed family life, it denied that maternity was the best or only vocation for women, encouraged women to participate publicly in worship services and cultivate their own spiritual and public voices, holding them accountable for the use of their spiritual gifts. This paper considers both the articles that specifically addressed the role of women in the church, such as "To the Female Disciples of the Third Angel's Message," "Paul Says So," and "Woman as Co-Worker," and an analysis of pieces that either encourage or document women's participation in movement mission and leadership. Throughout this period in the nascent Adventist movement, the official organ of the movement consistently strove to raise group consciousness on gender equality, promote the development of women's spiritual voice and gifts, and create a space in which women could hone and exercise them fully.

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THE FIRST MODERNIST MUSICAL: SONDHEIM'S *COMPANY*

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The concept of Modernism, one of the major trends in twentieth century art, spans the fields of literature, drama, painting, music, and architecture, but it is not one which is often mentioned in relationship to the musical theater. In their book on the origins of Modernism, Malcolm Bradbury and James McFarlane include subjectivity, duality, sophistication, technical display, and a self-reflexive quality as integral elements of modernist art, an art that reflects the nature of contemporary urban life with its sense of fragmented time and fractured experience (26). As a style, Modernism presents a contemporary view of the world by artists who intuitively understand the human experience peculiar to their day.[1] Ambivalence is accepted as the natural state. Irony and ambiguity are prevalent (Ackroyd 129), creating the possibility of multiple perspectives and interpretations, and the audience is fully aware that the work of art being experienced is, indeed, a work of art and not reality (Drucker 147-148). Time may be suspended, telescoped, or fractured; it is a relative, rather than an absolute, concept. The modernist author manipulates time and space in order to communicate his own subjective vision of the world (Kindelan 9, 6). A modernist work may not present a linear narrative, but rejects a strict chronological ordering of its material and may use multiple viewpoints in its fragmented handling of time. The tendency is to present events "selectively and obliquely, in order to make room for introspection, analysis, reflection. . ." (Lodge, "Language" 481). The modernist trends that developed in literature and the visual arts in the first decades of the twentieth century seemed to have little effect on the American musical theater. The musical is a true hybrid, consisting of a delicate balance between music, lyrics,

[1] Wylie Sypher in Bradbury and McFarlane 24.

book, dance, design, and staging. It was influenced by European and native forms of performance, each of which contributed elements to the development of this uniquely American genre (Smith and Litton 2), whose early life was typified by an uneasy blend of unrelated musical numbers, dances, jokes, and situations.

During the twenties and thirties, musical comedy generally consisted of songs loosely tied together by a frivolous plot. The nineteen-forties, however, witnessed several innovative attempts to elevate the musical theater to a serious art form, and isolated elements which tend toward Modernism can be discerned, some of which foreshadow techniques Stephen Sondheim would use more extensively some three decades later. Rodgers and Hart's *Pal Joey* is notable for the way in which songs are used within its structure. In addition to the book songs, *Pal Joey* contains several diegetic songs, numbers performed in the nightclubs where Joey works. These numbers serve a dual purpose, however. In addition to being performed within the context of the story, songs such as "You Mustn't Kick it Around," "Plant You Now, Dig You Later" and "Do it the Hard Way" also skillfully and subtly reflect the attitudes of the main characters "in seemingly incidental ditties" (Bordman 523). Thus they offer an additional aesthetic layer of commentary which presages Sondheim's use of song in musicals such as *Company* and *Follies*.

The Kurt Weill-Ira Gershwin collaboration, *Lady in the Dark* is structured around the main character's psychological life rather than her temporal one. The many facets of Liza's personality, subconscious wishes, and desires are acted out in elaborately staged dream sequences which make up the bulk of the action. These dreams reveal Liza's paralyzing feelings

of inferiority, indecision, and ambivalence, and the songs serve to comment on the character. *Lady in the Dark*'s clever, acerbic score and sophisticated dialogue serve to enhance the unusual psychological subject matter, and the musical was the first to treat psychoanalysis seriously in a musical format. Two years later, Rodgers' and Hammerstein's *Oklahoma!* also delved into the psychological motivations and ambivalence of the character Laurey with its inclusion of a serious psychological ballet. The "Dream Ballet," presents in a straightforward, yet artistic manner the inner turmoil she experiences as she tries to choose between the wholesome cowboy, Curly, and the sinister fieldhand, Jud.

Rodgers' and Hammerstein's 1947 collaboration, *Allegro*, perhaps went farther than any other musical in its tendency toward Modernism, with its experiments in structure, time, and use of the chorus to give commentary and express the psychological motivations of the characters. In his review, Brooks Atkinson noted that Rodgers and Hammerstein had created a musical play "without any of the conventions of form" (2). The story line of *Allegro* is an episodic allegory of life, from birth to the maturity of a small-town doctor. Various colors, angles, and intensities of lighting helped to establish time, place, or mood (Smith and Litton 200), as did projections on the cyclorama (Fink 7). A chorus external to the story line was used to depict the passage of time, express the inner thoughts of characters, comment on the action, and serve "as a combined Super-ego and Id for the young doctor" (Smith and Litton 200). Director Harold Prince would later use similar techniques in staging *Company*.

Opening a year after *Allegro*, *Love Life*, by Kurt Weill and Alan Jay Lerner, has been proposed by theater critic Frank Rich as the first concept musical, one that substituted a theme for a traditional plot and reinforced that theme with "songs, dances, and scenes that were as

much ironic commentary as dramatic action" (Rich and Aronson 85). The fantasy compresses 150 years of the American experience and illustrates it through the social and economic changes experienced by one married couple. *Love Life* is unusual, not only in its treatment of time, during which the leading characters never age, but also for the manner in which individual scenes depicting the couple's marriage are presented and then commented upon in vaudeville numbers unrelated to the story line; in this it can be viewed as a forerunner of Sondheim's *Company*. These vaudeville turns are disjointed and not directly related to the preceding scenes in any kind of chronological sequence, but serve as commentary describing how the economic and social changes in the country's development affect the psychological well-being of the characters and the state of their marriage.

The couple eventually separates, but following a surreal "Illusion Minstrel Show" that anticipates the climax of Sondheim's *Follies* (Rich and Aronson 92), the two conclude that they cannot expect marriage to be perfect; they must live in the land of reality, rather than illusion. They end the musical by precariously walking a tightrope towards each other in an effort to save their marriage; however, they have not yet reached each other before the final curtain, so the ending is left somewhat ambiguous.

Rich's description of the piece as an early concept musical does seem apt. The book and score are structured around the basic conceit, the growth of America and how its growing pains are reflected in the microcosm of the Cooper family. Those scenes depicting the Coopers' marriage do not follow a logical cause-and-effect sequence, but instead consist of disconnected vignettes scattered across 150 years. Scenes of commentary are placed in between to reinforce the theme, and the various musical styles of the vaudeville turns span the history of popular

music. *Love Life* follows an unconventional structure similar to that of *Allegro,* with a lengthy time span telescoped into individual scenes that are interrupted with songs that comment on the action and characters. In both musicals, the commentary is performed by characters outside the main story line.

The major contribution of the creators of the aforementioned musicals lay in experimenting and integrating the formerly disparate elements of a musical into a unified whole, paving the way for the musical theater to develop into an art form and allowing for further experimentation rather than slavish adherence to traditional formulas. Isolated examples of Modernism can be discerned, but no real trend at this time. These musicals may not have had a great impact on the development of the genre at the time they were produced,[2] but critic Martin Gottfried sees the influence of an early concept musical such as *Love Life* extending into the sixties and seventies with works such as *Fiddler on the Roof*, *Cabaret*, *Zorba*, and eventually Sondheim's *Company* and *Follies* ("Flipping Over 'Follies'" 1).

The forties seemed to be a period of experimentation, and it was during this decade that Sondheim began his education in writing for the musical theatre. Having been personally tutored by Oscar Hammerstein II (Sondheim, "Theatre Lyrics" 62), the teen-aged Sondheim worked as a go-fer on *Allegro*, which he considers the first really good experimental musical on Broadway (*Dialogue with* [. . .] *Brendan Gill*). The experience of working on this innovative production seems to have had a profound impact on the young composer-lyricist; of his own experimentations with form, Sondheim theorizes that his whole career has been spent trying to

[2] Both *Allegro* and *Love Life* were unsuccessful (Bordman 560, 564).

rewrite and improve on *Allegro* (Telephone interview). After writing lyrics for *West Side Story* and *Gypsy*, Sondheim was eager to try new techniques in his own career as both composer and lyricist. He explains:

> The form that Rodgers and Hammerstein developed tells a story through character and song; it expands the characters, and the characters therefore cause the things to happen in the story, and it goes song-scene, song-scene, song-scene. I'm very proud of *Gypsy*, but when it was all over I thought, "That's the last one of those I want to do. Now let's try different things." ("Musical Theater" 8)

In the nineteen-sixties, Sondheim wrote both music and lyrics for *A Funny Thing Happened on the Way to the Forum* and *Anyone Can Whistle*. It was not until 1970, however, that Sondheim firmly established his reputation with a production that was considered a "watershed" in musical theater (Rich and Aronson 219). If a "self-conscious break with tradition" is a hallmark of Modernism (Eysteinsson 52), and its essence lies in the use of the characteristic methods of a discipline to criticize the discipline itself--not in order to subvert it, but to entrench it more firmly in its area of competence,"[3] then the musicals of composer-lyricist Stephen Sondheim could surely be considered "part and parcel of the modernist legacy in art" (Banfield 322). *Company* may be viewed as the first modernist musical (Schiff 79); in it, Sondheim has incorporated elements which communicate through the fractured quality of modem life the ambivalence, uncertainty, and frailty of human existence. With this musical, Sondheim thrust the

[3] Clement Greenberg qtd. In Eysteinsson 17.

musical theater into the modern age, building upon styles from an earlier era, while at the same time deconstructing them (Holden 6, Schiff 85).

The original 1970 production of *Company* marked the first collaboration of Sondheim and director Prince. Their experimentations with form condensed the traditional scene-song structure of the American musical toward an even more tightly integrated dramatic work (Winer 11) which has come to be known as the concept musical (Gordon 7-8; Kislan 158). Whereas most traditional pre-Sondheim musicals were generally based on a narrative plot, the book of a concept musical revolves around "the *idea*" (Gordon 7), the central unifying theme of the piece which dictates production elements such as staging, music, lyrics, choreography, and design. For example, in *Company* all production elements served to reinforce what Sondheim refers to as "the secret metaphor" comparing marriage to the island of Manhattan ("Musical Theater" 13).

The book of *Company*, written by George Furth, revolves around Robert, a thirty-five year old bachelor, and his interactions with a circle of married friends and three frustrated girlfriends, who long for more emotional commitment than Robert is able to give. Robert fulfills his emotional needs vicariously through his married friends. As the third member of a threesome, he can take advantage of the closeness these friendships engender, yet can remain at a safe distance because the married partners are, in effect, unavailable. *Company* explores these interpersonal relationships through Robert's eyes as he struggles with his own ambivalence about the nature of commitment.

Hailed as a "landmark" in the musical theater,[4] *Company* is notable for the manner in which its creators completely abandoned the linear progression of a narrative. The plot lines of

[4] See Bristow and Butler 253; Kalem, "Fabulous" 62; and Olson 14.

well-known musicals from the forties and fifties, such as *Oklahoma!, The Music Man,* or *My Fair Lady*, rely on a chronological sequence of events that takes place within a particular time frame. The structure of *Company*, however, consists of a series of vignettes depicting Robert's interactions with his friends and lovers. These vignettes are unrelated in time and space, and are united only through the character of Robert, rather than through a chronological progression. The stage directions in the script set the time of the piece vaguely as "Now," and Robert moves seamlessly from scene to scene without benefit of blackouts or changes of scenery.

Serving as a frame for the action, each of *Company*'s two acts begins and ends with a scene depicting Robert's friends gathered in his apartment waiting to surprise him for his birthday. It is unclear whether the birthday party scenes actually represent several different years or different facets of the same party, and whether the musical's scenes are really taking place or are in the memory of the central character.[5] Even Prince expresses his own uncertainty about the ambiguous nature of time in the musical (*Contradictions* 149-50). Sondheim believes the four birthday party scenes represent one and the same event and conceived of the intervening vignettes as taking place in Robert's mind in the moments when he is deciding whether to continue relying on his friends as a substitute for a close personal relationship of his own (*Sondheim at the Actors Studio*). The time of the musical's vignettes, therefore, can be interpreted as being completely compressed into an instant in Robert's memory, ordered not by an objective chronology, but into a subjective sequence which finally enables Robert to turn his

[5] See "The New Company: Is it an Improvement?" in *The Sondheim Review*, Fall 1997, for a discussion of this aspect of the musical with directors of the 1995 Roundabout Theatre production in New York, the 1995 Donmar Theater production in London, and the 1997 Huntington Theater production in Boston (13-15).

back on his friends and search for the one person to make him aware of "being alive" (*Company* 115). This subjective ordering of time, particularly one influenced by individual memory, is characteristic of Modernism.

There is a striking similarity in *Company*'s structure and treatment of characters to what is referred to as Marcel Proust's "pure time," in which the narrative is fractured and characters are revealed in glimpses at various moments rather than in a continuous line of development (Frank 44, 49). Images may be interwoven without regard to any chronological sequence; present and past can be "apprehended reflexively, in an instant of time" (Frank 66, 44). This aptly describes the structure of *Company*, as Robert stands in the present while, at the same time, experiencing the past and sensing the relationship between them.

The arrangement of the scenes in *Company* is similar to that of montage in film; Robert's memory splinters the past, and his meetings with his friends are presented side by side, providing the audience with glimpses into the nature of his relationships and personality. This does not mean, however, that *Company* lacks a definite organization, but that it instead orders its scenes according to the subjective and introspective arrangement that is characteristic of Modernism (Lodge, "Modernism" 6). Sondheim's ability to explore and present different perspectives at the same time through music and lyrics may find parallels in Cubism and its acknowledgment of the "paradoxical nature of reality and the need for describing it in multiple and even contradictory ways" (Rosenblum 14). In addition, the observer's, active participation is required. Without the benefit of a traditional linear narrative, the spectators are required to make the logical connections between *Company*'s vignettes, as well as between the book and the related production elements, in order to understand the theme of the play. The challenge of an

unconventional treatment appealed to Sondheim who said of *Company*, "I'm attracted to stories that present difficulties in the telling, and I'm often interested in getting away from the linear and the naturalistic" (qtd in F. Hirsch 85). In a manner similar to a cubist painting, the characters are seen from all angles and in all moods and are presented in scenes taking place instantaneously in Robert's mind. Counterpoint and overlapping singing add to this feeling of simultaneity.

The almost cinematic style of staging in Prince's original production of *Company* served to reinforce this disjointed nature of time and space in the musical. *Company*'s scenes fade or dissolve, jumping instantly from the apartments of the various couples, to a New York City park, to a nightclub. Lighting effects, six hundred projections (Ilson 167), and individual pieces of furniture on an abstract set (F. Hirsch 91) made these swift shifts of time and locale possible, allowing Prince to use such filmic techniques as jump-cuts, close-ups, cross-fades, and dissolves (Rich and Aronson 230). It has been suggested that these innovative, modernist staging techniques, reinforcing the fragmentation of space and time, influenced not only Sondheim's subsequent works, but also introduced an important new element to the whole genre of musical theater (Gordon 58).

Interspersed among the vignettes in *Company* are songs which further fracture the time and space of the piece by periodically interrupting the action in order to comment upon it; the scenes then continue as though nothing had intruded. For example, as Robert smokes marijuana with Jenny and David and discusses his readiness for marriage, Robert's three girlfriends appear to sing "You Could Drive a Person Crazy" (*Company* 46). These women are not part of the action in the apartment, but stand outside of it, observing the scene and responding sarcastically to Robert's contention that he is open and available for a lifetime commitment.

The use of song in *Company* is in direct contrast to the Rodgers and Hammerstein school of musical theater in which songs are intended to blend with the action and serve to advance the plot. Sondheim describes the different approach: "I was trained to do integrated songwriting, but in this show half of the songs come very unexpected . . ." (qtd. in Gussow 50). The songs serve, "in a Brechtian way [. . .] as comment and counterpoint" (Sondheim qtd. in Zadan, *Sondheim & Co.* 117). In some cases, the verses of a song may be scattered within a scene and alternate with dialogue. For example, the stanzas of "The Little Things You Do Together" are broken up throughout the scene in which Sarah and Harry compete at karate. While the song is sung by other members of the company observing the action from the platforms above, the characters involved in the scene freeze. The sections of the song are made up of short phrases arranged in parallel structure:

> It's the little things you share together,
>
> Swear together,
>
> Wear together,
>
> That make perfect relationships.
>
> The concerts you enjoy together,
>
> Neighbors you annoy together,
>
> Children you destroy together,
>
> That keep marriage intact. (*Company* 30)

Sondheim uses a "modernist lyric" style (Banfield 149) to particular effect in *Company* in order to reflect the non-sequiturs and missed connections of modern communication. In the original production, the opening song signaled the audience that the musical was not going to be

of a traditional nature. Rather than opening with an overture and a chorus number, disembodied voices, dubbed the "Vocal Minority" in the Playbill (n. pag.), chanted the central figure's nickname in a round of "Bobby's." The opening birthday party scene then took place and eventually dissolved into the title song, introduced by the incessant buzz of a telephone's busy signal. While Robert stood alone, center stage, the married couple looked down from various platforms on the set (*Company*, video) Each platform represented a different apartment, one for each of the couples; so, even though they actually live in different places, all can be present at the same time in Robert's mind. The lyrics of the opening number suggests the "non-communication non-sequiturs" (Sondheim qtd. in Banfield 149) of telephone conversation, in which an eavesdropper hears only one side of the conversation. Sondheim pairs his words with complex music that makes use of shifting meters, unexpected tempos, and irregular phrasing (Cartmell 52). The style of the lyrics and the accompanying music's polyphonic nature represent the multiplicity of the urban milieu from which it comes, giving the number a sense of the "bleakness of urban [M]odernism"(Banfield 151).

One of the hallmarks of Modernism is an emphasis on the city as a cause and a symbol of the disconnection and loneliness of human experience even in the midst of crowds of people. The snippets of unfinished phrases, the busy signal, and the relentless rhythm of *Company*'s opening musical sequence express this modernist view:

> Bobby . . .
>
> Bobby . . .
>
> Bobby baby . . .

Angel . . .

Darling . . .

The kids were asking, Bobby . . . (*Company* 10)

Rather than giving the audience evidence of a complete and fully engaged conversation, Sondheim has his characters vie for Robert's attention, offering overlapping invitations and the kinds of excuses indicative of the lack of communication resulting from the hectic lifestyle of a large, modern, urban environment:

Bobby, we've been trying to reach you all day . . .

Your line was busy.

What have you been up to, kiddo?

Bobby, Bobby, how have you been? . . .

Seems like weeks since we talked to you! (*Company* 10-11)

Even the structure of the lyric lines reflects the rapidity of fragments of experience as Robert responds to his friends' queries with the short, staccato phrases of the title song:

Phone rings, door chimes, in comes company!

No strings, good times, room hums, company!

Late nights, quick bites, party games,

Deep talks, long walks, telephone calls,

Thoughts shared, souls bared, private names,

All those photos up on the walls

"With love," . . . (*Company* 13)

These bits of shared experience apparently pass for serious relationships in Robert's world; yet, one has to wonder how committed a friend he is when one of the qualities he celebrates in his relationships is "No strings" (*Company* 13). In addition, Sondheim breaks from the more traditional song structure that has been the staple of musical theater. Rhymes occur, unexpectedly, at the beginnings of the lines and are eventually abandoned altogether in the subsequent section where certain lines are made up of only one or two words: "To Bobby, with love"/ From all / Those / Good and crazy people, my friends / Those / Good and crazy people, my married friends!" (*Company* 13-14).

As the opening number concludes, the song gives way to a cacophony of the sounds and activities of life in modern New York (Gordon 46). The stage directions describe the noise which accompanies the transition into the next scene: "The ring of telephones and doorbells and city sounds are heard." The lines that follow are spoken simultaneously "as the company moves and exits in the frantic pace of New York streets and lives" (*Company* 18).

This aspect of *Company* does seem to place the musical within the modernist tradition, with its contemporary, urban setting and use of the city as a metaphor for disconnection, alienation, and the fractured quality of experience and relationships in the modern world (Hyde 341; Bradbury 97). The underlying concept for *Company*, which all of the musical's creators kept in mind while working on the production, relates to what Sondheim refers to as "the lonely crowd syndrome" (qtd. in Zadan, *Sondheim & Co.* 13): "In *Company*, we were making a comparison between a contemporary marriage and the island of Manhattan [. . .] which is after all the handiest locale for the inhumanity of contemporary living and the difficulties in making

relationships" (Sondheim, "Musical Theater" 13-15). The *Time* magazine review of the musical explains this seemingly incongruous comparison:

> *Company* makes Manhattan a metaphor for marriage. Manhattan is an island of anguish and delight; so is marriage. Manhattan is an incessant roar of competitive egos; marriage is a subdued echo of the same. Manhattan is a meeting of strangers; marriage is a mating of strangers. (Kalem 62)

With its exploration of modern relationships set against a sleek steel background, the use of New York City as the metaphor for relationships (Sondheim, "Musical Theater" 13) graphically illustrates the modernist "contradiction between individual loneliness and the bringing-together of crowds or masses in gigantic cities" (Lefebvre 189). The city is, according to author G. M. Hyde in his discussion of the connection between Modernism and the urban environment,"the only adequate metaphor through which relational problems can be expressed" (341). *Company* represents that modernist parallel between art and the difficulty of forging and maintaining personal connections in the face of modern urban life, and that sleek, steel scenery for the original production gave the musical a distinctly modernist feel, capturing what one critic described as "the steely verticality and overwhelming impersonality of the city" (O'Connor 262). Rather than realistically representing New York on stage, Boris Aronson's constructivist set was a towering structure of steel and plexiglass, consisting of rectangular frames, platforms of varying levels, and overhanging balconies representing the apartments of the five couples (S. Hirsch 21; Mishkin 3). The similarity of these apartments emphasizes the impersonal nature and conformity of urban existence. All were interconnected by open stairways, and the addition of two working elevators gave the set a feeling of the contemporary technological age (Gottfried,

Rev. of *Company* 261). Behind the set rose shiny, plastic, louvered flats on which the projections appeared (Review of *Company* 226). Aronson translated his impressions of the city into a modern artistic style: "You know what is New York? Cubist!" (qtd. in Kanin 10). The set enabled the audience to view the characters simultaneously and from a variety of angles, reflecting the cubist quality of the musical's overall structure.

With its insistent busy signal, the clipped staccato phrasing of the songs, disjointed scenes, urban setting, and the rhythm and pace of *Company*'s "jittery, joyous, abrasive" score (Watt, "Here's a Novelty," n. pag.), all of the musical's elements serve to reinforce the theme and give a sense of the "staccato quality" of frenetic city life (Gordon 45). Even Michael Bennett's choreography was an embodiment of the "jarring neuroticism" of life in the city where people never quite connect (Mandelbaum 60). According to his biographer, Bennett was consciously expressing things in a fragmented, non-linear style ahead of his time (Mandelbaum 61).

In his book on *Sondheim's Broadway Musicals*, Stephen Banfield notes that, "Sondheim must surely have been conscious of wanting to work within the modernist poetic tradition of fractured experience in *Company*" (149). This evocation of fractured experience is reminiscent of modernist writers, such as T. S. Eliot and James Joyce, who fragment their work in an attempt to express in literary terms the chaotic experience of the ordinary person (McFarlane 287). In his chapter, "The Metropolis and the Emergence of Modernism," Raymond Williams finds references in modernist poetry to "the modern city as a crowd of strangers" (85), a phrase startlingly similar to Sondheim's "city of strangers" in "Another Hundred People." The song is, in a sense, as disconnected as the city dwellers it describes. Like "The Little Things You Do

Together," the sections of the song are interrupted, this time by scenes of Robert on a park bench with each of his girlfriends. The song is sung by Marta as she observes and comments on the difficulty of interpersonal relationships in the city as represented by Robert and the women he dates. At the end of the number, Marta takes her turn on the bench and abruptly begins her scene with Robert as though the song had never occurred. The gritty urban imagery in the song describes the comings and goings of life in New York. In fact, those lyrics can be compared to T. S. Eliot's modernist poem, *The Waste Land* (Banfield 151), a work whose title evokes the pessimistic view of modern culture and society that is associated with Modernism (Eysteinsson 30). There are striking similarities in Sondheim's lyrics to Eliot's imagery of crowds of people in a bleak, urban landscape (1099). His crowds walking around in a ring (1099) are precursors of *Company*'s endless cycle of arrivals in which:

> Another hundred people just got off of the train
> And came up through the ground
> While another hundred people just got off of the bus
> And are looking around
> At another hundred people who got off of the plane
> And are looking at us
> Who got off of the train
> And the plane and the bus
> Maybe yesterday. (*Company* 55)

Eliot also makes references to dusty trees (1102) and messages upon the walls (1100), while Sondheim describes his urban dwellers finding each other by "rusty fountains" and "dusty

trees with the battered barks, / And they walk together past the postered walls with the crude remarks" (*Company* 55). Sondheim further emphasizes the sense of alienation and missed connection in the hectic, crowded, and impersonal modern urban environment :

> And they meet at parties through the friends of friends
>
> who they never know.
>
> Will you pick me up or do I meet you there or shall we
>
> let it go?
>
> Did you get my message? 'Cause I looked in vain.
>
> Can we see each other Tuesday if it doesn't rain?
>
> Look, I'll call you in the morning or my service will explain . . .
>
> And another hundred people just got off of the train.
>
> (*Company* 56)

Ambivalence is another of the central themes of *Company,* as Robert vacillates between personal commitment and a life alone. This "Freudian concept of 'ambivalence'" is central to the themes of Modernism (McFarlane 84); its rejection of absolutes and acknowledgment of the chaos of human experience in the modern age allow for contradictory emotions to be present simultaneously within the same person. Perhaps nowhere does Sondheim more poignantly illustrate these conflicting perspectives than in the song, "Sorry-Grateful." When Harry is asked if he ever regrets getting married, he responds with this song, and in his conflicting emotions, he "epitomizes the ambiguity between being and becoming that is so central an aspect of the modern experience" (Banfield 158-59). As he is joined by the other husbands, the restless rhythm and shifting meters (Cartmell 161-62) in the music evoke the ambivalence and

uncertainty of the singers' feelings. The lyrics are replete with the contradictory emotions of happiness, longing, love, and regret. Just when the listener thinks the lyrics have come to a conclusion, the next line subverts that expectation:

> You're always wondering what might have been.
>
> Then she walks in.
>
>
> And still you're sorry,
>
> And still you're grateful,
>
> And still you wonder and still you doubt,
>
> And she goes out. (*Company* 35)

Harry goes on to describe his contradictory attitudes toward his marriage with oxymorons arranged in parallel phrases:

> Everything's different,
>
> Nothing's changed,
>
> Only maybe slightly
>
> Rearranged.
>
> You're sorry-grateful,
>
> Regretful-happy.
>
> Why look for answers where none occur?
>
> You always are what you always were,
>
> Which has nothing to do with,
>
> All to do with her. (*Company* 35-36)

Robert and Harry are somehow outside the scene, even as they are a part of it. The stage directions clearly state that Robert "leaves the scene slowly" and from the other side of the stage observes a tender exchange between Harry and Sarah (*Company* 34-35). He then speaks to Harry who remains within the action, speaking to his wife, while at the same time observing from outside along with the other husbands. His song seems directed to the audience as much as to Robert.

Company does not attempt to resolve these types of paradoxes, but simply acknowledges that they exist. The majority of songs in the score are built on these types of internal contradictions. For the married couples, "The Little Things You Do Together" range from "The concerts you enjoy together" to "Children you destroy together" and "Getting a divorce together" (*Company* 31-33). The three girlfriends' rendition of "You Could Drive a Person Crazy" catalogues the contradictions inherent in their relationships with the attractive, yet elusive, Robert. Left dangling by this crazy, yet lovely man, the girlfriends complain, "[. .]. it only makes a person gladly / Want you even more" (*Company* 46). Robert's song, "Someone is Waiting," expresses his yearning for a mate coupled with the unrealistic expectation that he will be able to find an ideal composite of the best qualities of his married female friends:

> My blue-eyed Sarah
>
> Warm Joanne
>
> Sweet Jenny
>
> Loving Susan
>
> Crazy Amy, . . . (*Company* 54)

He concludes his song with the paradoxical "Hurry. / Wait for me" (*Company* 54). The form and content of *Company*'s songs illustrate the characters' ambivalence and reinforce what both Sondheim and Prince insist the musical is about: the *difficulty*, rather than the *impossibility*, of interpersonal relationships (Prince 149; Burke 16).

Only at the end of the musical does Robert seem to come to some kind of an epiphany, though a somewhat ambivalent one. The song, "Being Alive," is both a resignation to his need for a permanent relationship and a fervent plea to find the someone that will enable him to make that commitment (McLaughlin 32). It is unclear which action Robert will take based on this breakthrough of feelings, but the final ending does seem to be more hopeful in its sentiment, as Robert, "touched and hurting," is finally able to make his birthday wish:

> Somebody crowd me with love,
>
> Somebody force me to care,
>
> Somebody let me come through.
>
> I'll always be there, as frightened as you,
>
> To help us survive
>
> Being alive, being alive, being alive. (*Company* 115-16)

The ambivalence and doubt expressed in the theme and characters of *Company* are indicative of the musical's intentional ambiguity.[6] The uncertainty of the time of the birthday party scenes leaves their meaning, and Robert's final action, open for interpretation. This ending is purposely vague, so the audience is left wondering whether Robert will be able to commit

[6] Even the title of the musical contains a certain amount of ambiguity, for *Company* has multiple meanings and can refer to house guests, a group of actors, or a lifelong companion.

himself to a relationship or will continue to live his life alone. While some critics felt the show's weakness lay in the fact that it had no definite ending (Viertel 5), others recognized the authors' intentions. Prince definitely wanted the musical to end on an unclear note. His mentor, writer-director George Abbott, admitted that he went back to see *Company* a second time because of his confusion over his own mixed responses to the ending. "Good, that's what I wanted," was Prince's reply (Ilson 176). The conflicting attitudes and relationships are emblematic of Modernism's emphasis on shifting perspectives and ambiguity. The uncertain ending of a piece like *Company* represents a more realistic view of life, a life that does not always fulfill one's desires or expectations. As David Lodge tells his reader in "Ambiguously Ever After," modernist characters may be left with their futures unresolved, as Robert's is. The members of the audience are left to formulate their own conclusions about which course of action he will take.

While the emotional complexities of *Company* may make its situations more true-to-life, the open ending reminds the audience that it is, in fact, watching a play. Banfield even suggests that the audience inadvertently plays a role in validating Robert's choice in "Being Alive" by applauding at the end of the number (172). The fact that a type of chorus continually addresses the audience directly, outside the action of the play, with their detached observations about love, marriage, and relationships helps to create an overt theatricality, an artistic self-consciousness that is characteristic of Modernism. What is unique about the chorus in *Company* is that it is made up of the same actors who play the principal characters. As the stage directions relate, "There is no singing or dancing ensemble. Only the members of the cast become the choir, waiters, patrons, etc." (*Company*, cast list n. pag.). One critic argues that the chorus is really the

focal point of the musical (Fraser 230); the married partners represent one aspect of the company in the title, and the kind of company for which Robert yearns. The cast members who function as commentators are usually not involved in the main action of the scene, as in "The Little Things You Do Together" or "Poor Baby," though in some cases the commentary is delivered by characters expressing their own thoughts and feelings as Joanne does in "The Ladies Who Lunch," Harry in "Sorry / Grateful" and Marta in "Another Hundred People." Joanne's song is aimed directly to the audience; she ironically comments on the idle upperclass matrons of New York, herself included. Harry joins with the other husbands to tell Robert of the joys and fears of committing to another person, while Marta, who has been observing Robert with two of his girlfriends, suddenly breaks out of her role as a commentator and enters the scene with him. This use of a narrator to stand outside the action and comment on it is, according to Percy Lubbock in *The Strategy of Point of View*, a characteristic of modernist fiction (9).

From its treatment of time, suggested scenery, and songs addressed directly to the audience, *Company* is replete with the type of theatrical self-reflexivity that characterizes Modernism. Even the title of the musical reminds the audience that it is watching a dramatic construct, for among its meanings, *Company* can refer to a group of actors in a play. This artistic self-awareness is evident in the majority of *Company*'s songs, but particularly in the production numbers "Side by Side by Side" and "What Would We Do Without You?" The two songs, involving Robert and all of the married couples, take place outside the main action of the musical and were performed in the original production in an overtly theatrical manner, complete with top hats and canes (Production photo). The songs constitute an authorial commentary on Robert's relationship with his friends. Like much of the score of *Company*, "Side by Side by

Side" and "What Would We Do Without You?" do not further the action and occur in a sort of limbo of time and place; they add a non-realistic tone to the musical "through their dislocation, disjunction and presentational quality" (Cartmell 172-73). Of the self-conscious use of song in *Company*, Banfield concludes:

> As soon as a song [. . .] stops being about something or somebody and betrays itself, as it were, as being about itself [. . .] it acknowledges the reflexive dimension in (and sometimes between) lyrics and music, and we shall see Sondheim digging ever deeper into this as his career develops. (92)

The nature of *Company*'s structure and complex score enable its creators to express the inner world of the characters (Gordon 48). According to Prince, the story lines in *Company* are "subtextual and grow out of subconscious behavior, psychological stresses, inadvertent revelations" (149). One critic describes *Company* as "Broadway's first musical treatment of nerve ends" (Watt in Marlowe and Blake, [1970]: 260). The score touches upon themes of insecurity, loneliness, ambivalence, and internal contradictions (Berkowitz 95). These contradictions may manifest themselves within the lyric ("Sorry-Grateful"), between the lyrics and the music ("You Could Drive a Person Crazy"), or between the song and the dramatic situation in which it appears ("Getting Married Today").

Company is, ultimately, about establishing and maintaining relationships in a society that increasingly devalues the human being. Robert's subconscious feelings and timid emotional growth are charted throughout the score, as Robert's view of his friends' marriages and the reality of those relationships is contrasted (Gordon 48). The cold geometry of the scenery and the abstract designs projected as backdrops helped, in a subliminal way, to reinforce the

emotional undercurrent of the musical (Prince 150). The framing device of the birthday party illustrates Robert's dependence on his friends and his need to grow up. The audience is witness to his gradual maturation, until he is finally able to separate himself from the married friends who have defined his personal life. It is only with the turning point of "Being Alive" that Robert comes to a realization of the necessity of committing himself to another person, however imperfect that union may be. The lyrics, as Sondheim explains, develop from a complaint to a prayer (Banfield 172). Robert sings first of "Someone to hold you too close, / Someone to hurt you too deep, / Someone to sit in your chair, / To ruin your sleep [. . .]." He uses the vague and impersonal second person pronoun as the object; yet, later in the song, he changes to the first person with his plea, "Somebody hold me too close, / Somebody hurt me too deep, / Somebody sit in my chair / And ruin my sleep and make me aware / Of being alive, being alive" (*Company* 113-15). Robert's psychological change is illustrated through his song. When the friends realize at the end of the musical that Robert is not going to show up for his party, Harry suggests, "Maybe we ought to leave him be" (*Company* 118). "Throughout this scene," the stage directions relate, "Robert has stood center stage, listening; now he smiles" (*Company* 118). The moment of self-realization has arrived.

One man's psychological barriers to intimacy may not be the typical content of musical theater, but Sondheim admits that unusual material attracts him: "I just try to write different things. First to stimulate myself, and secondly to keep everyone else off balance" (qtd. in Rizzo n .pag.). Yet, Sondheim makes his audiences think as well as be entertained; for example, the goal of *Company*'s creators was to produce "a show where the audience would sit for two hours screaming their heads off with laughter and then go home and not be able to sleep" (Sondheim

qtd. in F. Hirsch 88). Although it was only a modest success on Broadway, *Company* was described as revolutionary, a "watershed event" ("Salute" 1; Lahr 103). By opposing the conventions of traditional Broadway musicals, Sondheim and his collaborators created an entertaining and thought-provoking evening of theater using a form that has traditionally been associated with frivolity (Gordon 74-75).

Modernism is characterized by such a break with tradition and by the creation of a unique form, suitable only for a particular work, which is dictated by its content. With its experimental, disconnected, and plotless structure reflecting the fractured nature of contemporary experience, *Company*'s creators certainly separated their musical from the conventional, accepted forms and created one which serves the theme of the work. As in Modernism, the time of the piece is subject to the same experimentation as the form; it is compressed to an instant in the mind of its central character, and spatialized, as scenes outside of any logical chronological progression are presented side by side. In addition, the Freudian concept of ambivalence is elevated to a major theme in *Company*, as the characters acknowledge both the pros and cons of committing themselves to another person. Sondheim has, with his explorations of the multiple, conflicting facets of human experience, become the musical theatre's spokesman for the ambiguities and fractured quality of life in the modern world. Throughout his career, his audiences have, according to Banfield, come to expect a:

> . . . conscious and willful technical manipulation, often to the point of virtuosity, of symbolic modes of experience, and, in this respect, Sondheim has to be seen . . . as modernism's chief proponent in the musical. (99)

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From Subtle to Direct: How the Changing Sexual Language of Romance Novels Reflects Women's Changing Sexual Identity

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A feminine identity is hard to define; however, a feminine sexual identity is even more difficult to define. The language that women use can help create an identity because language is one of the tools in which people place each other into certain roles and identities. Moreover, language is one of the elements that people use to define themselves. Females have generally been taught differently in both speech and behavior from their male counterparts. This fact is no different when considered in light of sexual language and behavior. For this reason, I propose that romance novels reflect the changing sexual identity of women.

One of the most popular and important places to find sexual language aimed towards females is in the pages of romance novels. Through the language presented in sexual scenes, readers can gain a sense of how female sexual identity has changed. To illustrate these changes romance novels from four decades beginning in 1970's, when the first erotic historical romance novel appeared, and ending in the 2000's with the most recent novels, are examined.

The shifts found within the novels illustrate that women have become more liberal with their thoughts about sex and themselves. The more modern sexual scenes tend to include more verbs applied to the female than the scenes of the past; moreover, the language used to describe sexual organs has moved from vague to clinical descriptions or slang. Most importantly though is that, in the modern scenes, authors have been reclaiming words that are usually considered offensive and insulting to women by using them for their own uses.

A feminine identity has always been hard to define, and fitting one identity on a woman can be difficult. But, understanding the sexual identity of a woman is an even more frustrating task. When it comes to sex, women generally have to choose from being the Nice Girl, the one who does not have sex or sexual thoughts, or the Bad Girl, who has the reputation of being a slut or whore. For these reasons, women are not always able to access the life that comes from a fully developed sexuality.

The sexual life from which many women feel they are barred is offered to them in romance novels, which provide a discussion of female sexual identity by using sexual scenes that, in turn, use particular language in reference to the sexual organs of both the male and female characters. The language helps define how women see both sex and their own sexual identities; therefore, the sexual scenes found in romances are a reflection of the evolution of feminine sexual identity. The linguistic progress, brought about by the changing sexual language, from what is considered the first erotic historical novel written in the 1970s to the most recent romance novels, shows how women have developed a more open sexual identity. The decline in the use of euphemism, whether for sex itself or the anatomy, and the increase of slang, clinical, and even terms that are considered offensive, shows that women are claiming their sexual identity.

One of the most important aspects of 'erotic heterosexual romances' is that they 'constitute the first large and autonomous body of sexual writing by women addressed to the feminine experience' (Thurston 1987: 10). The reason for limited previous erotic writing for women was due to the common assumption that women had no strong desire for sex or that they were sexually inhibited, a myth that was continued because 'the idea that most women were at least sexually inhibited if not actually inadequate had been reinforced by statistics that indicated

only a small percentage of women were experiencing orgasm with any regularity during sexual intercourse' (Thurston 1987: 17). Romances fulfill the need for sexual arousal in women because women are more 'likely to find films and stories erotically stimulating when they [are] less explicitly sexual and when they contained fully developed characters in a story with a romantic plot' (Townsend 1998: 20). In the latter part of the 1990s and 2000s, romance novels have adapted to include more explicit sex; however, the central romantic plot of a woman meeting and falling love with one man remains intact.

The romance novel has helped dissolve the idea of female sexual inadequacy. Before romances '[t]here was little material available that helped women deal with a drawing awareness of their own sexual needs, or that women found sexually stimulating;' however, after sex scenes, written by women and read by women were added to the romance, women began to find a media in which their fantasies and fears were reflected (Thurston 1987: 18). Women flocked to romances because they 'were ready to explore all kinds of new territory' and read about women 'who broke over traditional social and sexual traces to embark on high adventure, far from the paths followed by their traditional sisters, only to discover their own sexuality' (Thurston 1987: 19).

The adventures of the different heroines follow the growing sexual awareness of romance readers. The 1970s brought forth what is considered to be the first erotic historical novel. In fact, '[t]he erotic historical romance as an identifiable entity is widely considered to have appeared … with the 1972 publication of Kathleen Woodiwiss's *The Flame and the Flower*' (Thurston 1987:67). But the sexual material found in these beginning novels is repressed in many ways. Euphemisms abound because '[w]hen a word acquires a bad connotation by association with something unpleasant or embarrassing, people may search for substitutes that do

not have the uncomfortable effect' (Lakoff 1975: 19). Because female sexuality is a subject that continued to bring embarrassment to many women in the 1970s, even after the sexual revolution, euphemisms or 'highly figurative language' were used to 'confront[] female desire and sex scenes head on,' which allowed romance authors 'to transform the nature of the sex act itself, making it seem less "dirty" and more exalted' (Kinard 1998: 119, 124). Unfortunately, in the 1970s most of the euphemisms for sex became rape. While rape scenes were not the only sexual scenes offered in romances of this decade, they were the most common scene of the decade, a precedent set forth by Woodiwiss's novel.

In the first sex scene, Heather Simmons, the heroine, is clearly being raped. The language used to describe the scene leaves no doubt about what is happening, for all of the hero's actions are described with words of aggression. Phrases such as 'parting her lips and thrusting within' and 'he was on top of her, pinning down her writhing body' are all language of force (Woodiwiss 1972: 28-29). This is made worse by the language applied to the heroine. First Heather 'hung limp in his embrace' and then 'she fought;' however, she was at a 'disadvantage as her exhausted body struggled weakly against him' (Woodiwiss 1972: 28). As she fought she found that she 'could not free herself and her hands pushed in vain against his chest' (Woodiwiss 1972: 28). As the scene goes on she 'sank her teeth into his wrist' and told him 'No … Leave me alone! Let me be' (Woodiwiss 1972: 29). All of these words indicate an unwillingness to participate in intercourse with this man; therefore, what is happening is not sex but rape.

The reason for calling rape a euphemism for sex, especially since rape is much more derogatory and demeaning than sex, is that the rape of the heroine by the hero featured in romances is a way for women to discover sex without the guilt of sexual feelings. Instead of enjoying sex in their own right, the women who are raped, and reading the rape, are forced into

feeling aroused; therefore, there is no shame in being aroused. In other words, the rape fantasy allows a woman to 'absolv[e] herself of guilt for enjoying sex' (Thurston 1987: 78). Another explanation for the popularity of the rape fantasy in the beginnings of the erotic romance is given by Star Helmer, a past vice president of Harlequin North America, who states that 'for a lot of women it's very difficult to reach a climax, and in the rape fantasy she is forced to have one' (qtd. in Thurston 1987: 78). Because the women were forced into having sex with the man who is their one true love, the shame that is usually a side effect of rape is avoided, and '[r]ape becomes a rhetorical device only, meant to exonerate the heroine (and the reader) for her sexual responses' so that neither the heroine nor the reader is to blame for having sexual thoughts or feelings (Kinard 1998: 123-124).

Rape is not the only euphemism used. Many of the sexual organs and even orgasms are cloaked behind inoffensive language. During this decade clinical or slang terms were not used to describe genitalia. According to Helmer, 'correct clinical terms have a hard sound to them' and would ruin the mood of the novel (qtd in Thurston 1987: 142). Instead, new terms were given to the penis and vagina. Woodiwiss (1972: 29) used these euphemisms in her descriptions of the rape/sex scenes by calling the hero's penis 'his hardness' and the heroine's vagina 'her loins' in an attempt to distance herself and readers from the reality of human sexual organs. She even uses a weather metaphor to gloss over the hero's orgasm by saying '[t]he storm at its end' (Woodiwiss 1972: 30).

The reason that women are timid about using language that is considered inappropriate, and instead rely on more flowery language to describe sex scenes, is because '[a]s children, women are encouraged to be "little ladies"' and 'ladies' are chastised for 'their linguistic behavior along with other aspects of their behavior' (Lakoff 1975: 7, 11). Women have

difficulty speaking about their sexual organs, let alone the male sexual organs, because they 'have been raised to believe that the area between [their] legs is untouchable, dirty.' This means that women 'have come to loathe the sight and smell of [their] genitals, which are to be touched only in the process of wiping [themselves] clean' (Friday 1991: 55). The question here is that if women are taught that their own genitalia are unclean, then how can healthy women find a way to enjoy sex? The romance novel answers this question by providing the distancing method of euphemisms.

In response to growing consumer protests about the 1970s romances, publishers threw out the rape fantasy in the 1980s. Women no longer want to be victims and they realize that being a victim is all that rape fantasies offer them. As the new decade started, women also began to search for a new type of sex scene, one that does not victimize them or make them objects of men's lust. The new portrayal of sexuality allowed women to no longer feel guilt for enjoying or wanting to enjoy sex, and the need to be forced into an orgasm was no longer present. Instead readers, writers, and female leads finally admitted that they liked and wanted a full sexual life. Added to the no rape policy is that heroines begin to change as well. The new 'heroines are older and sexually experienced,' which means that the new heroines begin to reflect real-life women (Thurston 1987: 24).

In 1988 Jude Deveraux's The Awakening offered a couple of new experiences and phrases to sexual scenes. The Awakening describes Amanda's vagina as 'the most intimate part of her' and Hank's penis as 'his manhood' (Deveraux 1988: 224-225). While these phrases are as vague as most of the others, this particular novel does something that many others do not: it describes oral sex in great detail. Cunnilingus is a common tool among romance writers, especially in modern romances; however, it is not too common to find it in novels of the 1980s.

But what is most surprising is that fellatio is administered as well, giving the novel a surprising equality. As to the descriptions of orgasm, Deveraux uses a slang term that was not so readily used by women. She states that '[h]e came' (1988: 226).

Although many of the euphemisms remained or became reincarnated in new forms, the fact that the orgasm is not only losing some of its euphemism and is, in fact, gaining some slang, indicates a new freedom in how women see sex. If women can now describe an orgasm by using the word 'came,' a slang word usually reserved by males when speaking about sex, then women are discovering and claiming what many experts said that women did not have: the ability to orgasm.

In the 1990s, the language describing the sex act has become more graphic. This was not the case in the novels of the 1970s and was only begun in the 1980s. Heroines are now showing enthusiasm for sex and this enthusiasm is a reflection of how women have become much more liberated about sex. Now, a woman can choose to have sex and enjoy the experience without feeling guilt or shame and without gaining a reputation for being a Bad Girl because 'the heroine is receptive *and* assertive, often seeking out the man she desires and initiating or taking control of the events that take place between them, with neither shame nor apology for her feelings, needs, responses, and actions' (Thurston 1987: 144, her italics).

Two of the biggest changes to this decade are the use of clinical terms in the text and the more graphic descriptions of sex. The clinical terms are applied to male genitalia. While descriptions of the penis, found in such novels as Tami Hoag's Lucky Lady, are still couched in language like feeling the hero 'hard and urgent against her belly,' 'his arousal,' 'his manhood,' and 'his shaft,' two new words were added by Hoag and other authors of the time: 'his groin'

and 'his erection' (Hoag 1992: 144-147). This shift in language away from euphemisms is important because 'euphemisms vanish as they are no longer needed' (Lakoff 1975: 22).

In the 1990s, authors also began to describe more aspects of intercourse. Other details that have been added are such adjectives that describe the heroine's vagina as 'dewy and warm' and a 'tight wet glove' (Hoag 1992: 147). In Devil's Bride, Stephanie Laurens (1998: 240) describes the trail of the hero's hands:

> she felt his hands curve and cup her bottom. One remained, holding her high, the other slid lower, long fingers questing. They found her heat and slid further, pressing between her thighs, probing the hot, slick folds, caressing, then pressing deep.

This passage has a lot of detail that was not often included in past romances. The description of her genitals is more detailed and the action of the scene gives more of a play-by-play than a vague metaphor. The added detail in all of these novels illustrates that sex is no longer considered dirty or shameful. Instead, readers and writers can explore their fantasies and sex in a more direct way, because female sexuality 'was no longer repressed or made obtuse and mysterious through psychoanalytic symbolism and innuendo' (Thurston 1987: 140).

As the new millennium began, more changes in sexual language arrived. In this decade, less figurative language is used to convey the messages of sex, which has also grown extremely graphic. Terms for both the penis and the vaginal area that were both clinical and slang began to be used, which means that words such as 'hardness' and 'shaft' fall away, leaving in their place the terms 'penis' and 'cock.' The importance of this change is that it goes against previous guidelines that asked for euphemisms or figurative language because the anatomical or slang terms ruin the mood of the scene. Novels of the late 1990s and 2000s showed that 'used

naturally … anatomical terms [and slang] often enhance rather than impede the flow of the story, since they tend to blend in rather than stand out because of their abject silliness' (Thurston 1987: 142).

Liz Carlyle's 2003 novella 'Let's Talk About Sex' brings changes to both the male and female body. While Carlyle does use the word 'penis' ('[h]is penis sprang free') she also uses 'cock' (2003: 174). She uses the word three times, as opposed to her one time use of penis, in various phrases amounting to '[h]is cock' (2003: 174). This is an interesting development because 'cock' is on the list of 'terms that were considered degrading' for the male sexual organ by Sarah K. Murnen's 2000 study of college participants (321). But what is of more interest is that she uses a clinical and a slang term for the female body. The reference found throughout the passage is to her clitoris. She states '[h]er clitoris had flipped the Disengage Brain switch' and 'his hand brushed her clitoris' (Carlyle 2003: 174). This is surprising because this term had not been used in romances because of its scientific sound. The slang she uses is said by Nick in the phrase '[s]weet little clit' (Carlyle 2003: 174). This slang replaces the old term 'nub' that was used in earlier novels.

Ashleigh Raine also uses slang words for female genitals. (Her descriptions of male genitalia are limited to 'cock.') Raine uses many terms that have offended women in the past with the uses of such phrases as 'from her neck to her cunt,' '[t]he denim abraded her pussy,' and 'her clit,' which was seen before (Raine 2003: 97, 99). While the word 'clit' is not one that tends to offend women, 'cunt' and 'pussy' are. The Murnen (2000: 321) study mentioned above found that 'the terms "pussy," "cunt," "snatch," "twat," and "gash" were considered degrading' for words describing female genitals.

The above usages of slang were problematic over the last thirty years. In the late 1980s and early 1990s, some romances experimented with some of these words; however, audiences rejected the books because they 'ape both the sound and imagery of male pornography—complete with cocks, clits, cunts, and crotches' (Thurston 1987: 149). Female sexuality has evolved and grown so much since these first novels came out and were rejected that the language once found to be too male is now acceptable, proving women embrace all aspects of their 'sexuality as right and natural' and they can 'partake of one of life's pleasures with open delight' (Thurston 1987: 143). And the fact that romance novels, a media primarily for women, are using terms that were considered offensive shows that women are gaining back some terms that portray a negative view of sexuality. Since language is 'a way in which men express power over women,' the fact that women are using the slang applied to male genitalia means that women are becoming more aggressive in both their view of sex and in their very lives (Murnen 2000: 320). Also, because women are taking back and using these degrading terms for their own sexual organs, women are gaining back a sense of their identity as both women and sexual begins, without becoming sexual objects to men.

The more graphic nature of these new sex scenes also illustrates the linguistic nature of the change. With the newly developed use of slang and clinical terms to refer to genitalia, come more graphic descriptions of sex. Past publisher guidelines that state '[a]ll sexual description should be imaginative and lyrical—not graphic, clinical or mechanical' are no longer necessary (qtd. in Thurston 1987: 55). Women are no longer afraid or ashamed about the realities of sex, and this new awareness allows women to read sentences and phrases such as '[u]nhesitantingly he slid his fingers into the folds of her flesh, into the incredible wetness,' '[h]is cock was shoving into her now, slowly spreading her, pinning her,' and '[o]ver and over, he stroked her. Rode her,

his hard thighs working, his concentration absolute' without shame or embarrassment (Carlyle 2003: 174-175).

Language has the ability to tell the story of change, and because romances reaches a demographic that ranges from teenager to senior citizen and crosses the boundaries of both socioeconomic and educational levels, the novels are an excellent media to draw a picture of the evolution of female sexuality. In order to begin this evolution, romances employ language, social process through which society 'communicates social roles for men and women in the realm of sexuality' (Murnen 2000: 319). Because romances have used specific types of language to illustrate sexual roles throughout the last forty years, they are one of the most appropriate places to look for a changing feminine view of sex. The sexual language used in the beginning was timid and cloaked by euphemisms and figurative language, and this beginning mirrors the awakening of female sexual identity. As the years passed, many women became more confident in their personal identity and they are no longer confined to one stereotypical image of their sexuality. With this freedom from a confining identity comes the opportunity to develop a female sexuality that is not only active, but is also full of self awareness.

However, the changing sexual language is just the first step. As women begin to develop their own sexual identity, they also begin to develop stronger roles inside and outside of their personal lives. The erotic romance novel not only deals in sex, it also 'portray[s] a feminine consciousness that has to do not only with sexual liberation but also with economic self-sufficiency' (Thurston 1987: 11). Therefore, romance novels provide women with a 'view that a sexually satisfying relationship is possible only in a relationship of equality, in which both partners can and do freely express their desires' (Thurston 1987: 185). In other words, a strong sexual identity can lead to a stronger personal identity. However, the only way that women can

be comfortable with their sexuality is to understand that they must learn that their bodies are not dirty or untouchable so that they can be ‘intelligent owners’ who are ‘in control of what is’ theirs (Friday 1991: 55). One of the most accessible teachers in this school is romance novels for they show feminine sexuality in a way that is both freeing and acceptable to most.

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“All Cool Women Should Be Bisexual”: Female Bisexual Identity in an American NeoPagan Community

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The NeoPagan movement has long been associated with alternative, radical, or so-called “deviant” forms of sexuality. Strongly rooted in both the counterculture of the 1960s, with its ideas of free expression of sexuality, and in the feminist movement and the attendant politicization of lesbian-feminist politics, NeoPaganism has consistently represented a religious movement where those who identify with sexual identities and practices that fall outside the American middlestream have found a safe and welcoming home. Ranging from homosexuality, to bisexuality, to transgendered sexuality, to polyamory, S&M, and bondage, a wide variety of sexual proclivities and practices can be found within the NeoPagan social landscape. For American NeoPagans, such forms of sexuality serve as both fodder for dangerous stereotypes and forms of liberation; sexual diversity is an important, and controversial, part of American NeoPagan culture.

This paper examines the presence of one such form of sexuality, female bisexuality, in the Texas NeoPagan community. The methods by which female NeoPagan practitioners construct their bisexual identities, and the discourse by which they make female bisexuality normative within the NeoPagan community, will be deconstructed and analyzed.

Background and Methodology

This paper is based on research conducted for my larger dissertation project, *Negotiating Gender Identity and Social Identity in an American NeoPagan Community*. While research for the larger project is still ongoing, in the early stages of my fieldwork

some distinct trends relating to female bisexual identity emerged. I chose to further research these trends both as phenomena in and of themselves, and as they relate to my larger research questions about the interconnections of gender identity, sexuality, and spirituality.

A combination of qualitative and quantitative methods was employed in collecting data. A survey, which was distributed at several NeoPagan gatherings across Texas, provided demographic data. I also conducted participant-observation at a number of NeoPagan gatherings, women's Goddess retreats, and NeoPagan community functions. These gatherings and events provided ample opportunity for informal, unstructured interviews as well. Additionally, I conducted twenty-five structured interviews, via email, with self-identified bisexual NeoPagan women. Interview respondents were located through several Texas-based NeoPagan discussion lists facilitated through Yahoogroups (http://www.yahoogroups.com).

For both the survey (which was part of the research design for the larger dissertation project) and the structured electronic interviews (which were conducted specifically for this paper), all respondents were self-selected. Because there is no formal membership registry for NeoPagans, it was not possible to use a systematic random sample for this research. However, it is established in the literature that when working with "hidden or difficult to find" populations and examining "phenomenological" issues or expressive behavior, random sampling is not necessary (Bernard 1992). Therefore, I chose to openly solicit for survey participants; I required only that participants be over the age of 18 and residents of the state of Texas, and that they self-identify as some sort

of Pagan or NeoPagan. When soliciting for respondents to the structured electronic interviews, I further stipulated that they must be female and identify as bisexual.

NeoPaganism Defined

NeoPaganism is defined as "an informal network of people devoted to Wicca, the Craft, Goddess worship, and other ritual practices inspired by the religions of pagan Europe and the Mediterranean" (Scupin 2000). However, this definition must be hedged round, even from the beginning, with caution and clarification. It only begins to capture the great diversity that exists within the American NeoPagan movement. The label has been applied to a wide range of religions (called "traditions") ranging from modern movements such as Wicca and feminist spirituality to "reconstructionist" movements, to Western occult traditions such as the Golden Dawn (Adler 1986). While these religions have their own, unique practices and theologies, they can be said to share some common symbols and ideals. Among these are a recognition of a feminine divine ("the Goddess", sometimes worshipped in conjunction with a male deity, "the God"); belief that humans and nature are interconnected and interdependent; belief that the divine is inherent in all things, rather than abstract and distant; veneration of the seasonal changes of the earth, around which most ritual calendars are based; and a belief in magic (Adler 1986; Luhrmann 1989; Orion 1995). Additionally, most NeoPagan traditions assert that they are revivals of pre-Christian religions, particularly those of the Celtic and Teutonic worlds,

though they are in fact modern religions that have emerged since World War II (Adler 1986; Luhrmann 1989; Orion 1995).[1]

By far, the most common religious identification in my sample was "Eclectic Pagan," which is an umbrella term for a personalized, often solitary form of NeoPaganism. Eclectics typically employ a structure similar to Wicca in their practice – celebrating the eight Wiccan Sabbats, recognizing both a masculine and feminine form of divinity, and practicing both ceremonial and folk magick – and use a diversity of mythologies, symbolic systems, and other New Age or occult practices such as Tarot card reading, Reiki healing, yoga, channeling, working with crystals, and psychic phenomena. Because eclectic Paganism tends to be highly individualized – a common community gloss for "eclectic" is "whatever works" or "whatever feels right" – practitioners typically are practice solitary or with a small group of family or friends. Unlike traditional, coven-based Wicca (or BritTrad Wicca),[2] eclectic Paganism has no set liturgy or dogma, but instead relies on individual experience, explorations, and investigation. The personalized nature of eclectic Paganism may help explain the presence of sexual diversity within the community.

It is important to note that I conducted this research, and present these findings, not only as an anthropologist but also as a bisexual feminist Witch. I found that my own self-identification as NeoPagan, and as a bisexual female, helped rather than hindered my research efforts; respondents seemed far less afraid of being judged for their lifestyle and

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[1]I use the terms "NeoPagan" and "Pagan" interchangeably in this paper, reflecting the community standard of usage. Few of the people who I have worked with in this project, or the larger dissertation project of which it is a part, refer to themselves as "NeoPagan," preferring the more generalized "Pagan."

[2]The term "BritTrad" is a shortened form of "British Traditional," and refers to coven-based Wiccan traditions that base their heritage in Great Britain, including Gardnerian, Alexandrian, and Georgian Wicca.

practices, and as such were more open to participating in the research and doing so openly and honestly. Furthermore, I have been a participant in the Texas NeoPagan community for more than ten years. My long-tenure in the community helped me to be accepted "as a witch" (Orion 1995) which other researchers have found to be a significant hurdle in researching NeoPagans (Scarboro, *et al* 1994; Luhrmann 1989).

Bisexuality Defined

As Garber (2000) has noted, the term *bisexuality* has long been a contested one. The question of what makes one bisexual (or, more problematically *a* bisexual) has been addressed by sexologists, psychologists, psychoanalysts, and anthropologists (Garber 2000). Is bisexuality an identity or a behavior? Is it a middle ground between two poles – gay and straight – or does it instead define a grey area along a spectrum of sexuality? Can someone who has never had a sexual encounter with a member of his or her own sex be considered bisexual? Or is bisexuality merely a "phase" on the way to becoming wholly homosexual or wholly heterosexual? (Garber 2000).

Such questions are largely beyond the scope of this paper, or the scope of the inquiry I propose to make in my larger research. For the purposes of this paper, I define "bisexuality" as "the sexual or intensely emotional, although not necessarily concurrent or equal, attraction of an individual to members of more than on gender" (James, 1996). I do not qualify my operational definition with behavior, because in my research I found that it was possible for a person to be attracted to someone (or a class of people) but

unable to act on that attraction for reasons of opportunity, prior commitment, or shyness, among others.

It is, however, to qualify the use of "bisexual" in this paper by stressing that my sample consists of *self-identified* bisexuals. In order to participate in this research, women merely needed to identify themselves as bisexual – it was not necessary that they meet any "minimum requirement" such as being a "Kinsey 3"[3] or having had a certain number of same-sex sexual encounters in order to be considered a "real bisexual." In the structured electronic interviews, I did probe further to find out how many of my cultural consultants had indeed had same-sex erotic encounters, and found great variation in the frequency and type of behavior, as will be discussed in more detail below.

NeoPaganism and Sexual Diversity

In her 1995 ethnography of NeoPagans in the Northeastern United States, Loretta Orion posited that the high number of non-heterosexual-indentified NeoPagan practitioners was indicative of

> "a greater willingness to discuss unconventional sexual preferences in the uncritical environment of the gatherings, or, even more likely, that individuals having an unusual sexual preference are drawn to this uncritical religion."[4]

Indeed, the American NeoPagan community is home to tremendous diversity in sexual orientation and sexual practices: In addition to a large number of gay, lesbian, and bisexual-identified people, there is open discussion of transgender and intersex sexuality. Gatherings where I conducted fieldwork featured workshops on transgendered behavior, S&M (sadomasochism), bondage practices, and sacred sexuality. One gathering even

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[3]This refers to the Kinsey scale employed by Kinsey in his famous research on American sexual behavior. A "Kinsey 3" is someone whose attractions and behaviors locate them in the exact center of the bipolar, six-point scale between homo- and heterosexual.

[4]Loretta Orion, Never Again the Burning Times: Paganism Revived (Waveland Press, 1995), p. 62.

provided a ritual space where participants could receive information about safer sexual practices and engage in alternative/radical sexual practices in sacred space.

Even before embarking on my fieldwork, I found the (seemingly) high prevalence of female bisexuality in the Texas NeoPagan community striking. It seemed, as one interview respondent suggested, "Pagan women in Texas are expected to be lesbian or bisexual." The preliminary analysis of my survey data, along with my informal interviews, confirmed a high percentage of female self-identified bisexuals: Out of a sample of roughly 100 respondents, nearly sixty percent of women identified themselves as bisexual.[5]

It might be expected that a community with well-documented openness to sexual diversity might contain a higher percentage of bisexuals than does the general population. However, this high reporting of female bisexuality was in marked contrast to the nearly nonexistent reporting of male bisexuality. Only two of my male respondents reported themselves as bisexual.[6] In contrast, men seemed far more likely to self-identify as gay or straight; women were more reluctant to identify as lesbian, choosing instead the label "bisexual" or "heterosexual."[7]

Additionally, the incidence of bisexuality in my sample appears to be higher than that found by other researchers. Orion (1995) reports that twenty-eight percent of her

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[5]It is important to note that the sample size is small, and surveys are still being returned for use in the larger dissertation project. It is possible that the small sample size "queers the pitch," so to speak, although based on my informal interviews and participant observation, I do not believe this to be the case.

[6] The Texas NeoPagan community reflects the trend of the wider American NeoPagan community in that it is roughly 60 percent female. However, I do not believe that gender disparity alone accounts for the difference in male and female bisexual identification.

[7]A few women qualified their identity as "bicurious" or "having bi tendencies," which they saw as qualitatively different from identifying as bisexual.

sample reported as bisexual, while Pike (2001) found only seventeen percent of her sample considered themselves bisexual.[8]

In seeking to understand the prevalence, and apparent wide acceptance, of female bisexuality within my research sample, I noticed that both bisexual and non-bisexual community members engage in discourse that makes female bisexuality a normative, and in some ways ideally "Pagan" form of sexuality. This discourse draws on four major themes: NeoPaganism's historical links with feminist, and particularly lesbian feminist, politics; the idea that bisexuality represents a rejection of binary or bipolar thinking about gender and sexuality; the interrelationship between NeoPagan images of divinity and sexuality; and idea (or ideal?) of bisexuality as a "more natural" form of sexuality.

NeoPaganism and Feminism

Through the central symbol of the Goddess, NeoPaganism as a whole is very woman-positive, and to some degree woman-centered (Christ 1987). This focus on the divine feminine, along with the intertwining of NeoPaganism with feminist politics, is often cited as a factor that brings women to this religious movement (Adler 1986; Christ 1987; Eller 1993; Orion 1995). Growing largely out of both the countercultural and feminist movements of the late 1960s and early 1970s, NeoPaganism has long had a feminist flavor. Early NeoPagan writers and activists such as Z. Budapest, founder of the Dianic Witchcraft movement, declared NeoPaganism and Witchcraft to be "women's religion,"[9] viewing it as the necessary spiritual component to the feminists movement's political aims. Linking NeoPaganism and Witchcraft to largely mythical, primordial

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[8]Neither Orion nor Pike break their statistics on sexual orientation down by gender, unfortunately.
[9]This idea lives on in the distinction of "Women's Spirituality" or "Feminist Spirituality" from more generalized "Wicca" or "Paganism" used by community members.

matriarchal, Goddess-centered, cultures where women had purportedly enjoyed high status, feminist Witches encouraged women to reclaim this power as their feminine birthright. Furthermore, these activists contended that earth-centered spirituality was a feminist concern because, as the earth was steadily devalued, so too did women's status decline; the state of the earth reflected the state of women, and vice-versa.

Witchcraft has long been associated with female power, and particularly female sexual power (Eller 1993; Starhawk 1989). Feminist Witchcraft furthered this link by encouraging women to use the tools of Witchcraft for political and personal liberation. The 1967 WITCH Manifesto (Women's International Terrorist Conspiracy from Hell) stated:

> "WITCH is an all-women Everything. It's theater, revolution, magic, terror, joy, garlic flowers, spells. It's an awareness that witches and gypsies were the original guerillas and resistance fighters against oppression-particularly the oppression of women-down through the ages. Witches have always been women who dared to be : groovy, courageous, aggressive, intelligent, nonconformist, explorative, curious, independent, sexually liberated, revolutionary. Witches were the first Friendly Heads and Dealers, the first birth-control practitioners and abortionists, the first alchemists. They bowed to no man, being the living remnants of the oldest culture of all -- one in which men and women were equal sharers in a truly cooperative society, before the death-dealing sexual, economic, and spiritual repression of the Imperialist Phallic Society took over and began to destroy nature and human society.
>
> Witch lives and laughs in every woman. She is the free part of each of us, beneath the shy smiles, the acquiescence to absurd male domination, the make-up or flesh-suffocating clothing our sick society demands. There is no "joining" WITCH. If you are a woman and dare to look within yourself, you are a Witch. You make your own rules. You are both free and beautiful. You can be invisible or evident in how you choose to make your witch-self known.
>
> Whatever is repressive, solely male-oriented, greedy, puritanical, authoritarian-those are your targets. Your weapons surround you : theater, satire, explosions, magic, herbs, music, costumes, candles, bells, Vodou dolls, incense..... Your power comes from your own self as a woman, and it is activated by working together with your sisters."[10]

[10]http://www.sccs.swarthmore.edu/users/00/afreima1/femspirit.html

Many, though not all, Feminist Witchcraft groups were historically composed of lesbians and "non-practicing heterosexual" women. Much like the "political lesbian" of the 1970s, who ceased sexual activity with men as a demonstration of solidarity with women (Rust 1995), many feminist NeoPagans chose either to identify and live as lesbians, or to at the very least stop having intimate relationships with men, because they felt that it brought "male" energy into "women's religion." Indeed, many Feminist Witchcraft groups, in addition to refusing to admit men, refused to admit women who were practicing heterosexuals.

Adler (1986), Eller (1993), and Orion (1995) found that many all-female NeoPagan or Witchcraft groups still thrive today. In my own fieldwork, I found some all-female groups, though like Adler and Orion, I also found that lesbianism was no longer a requirement for initiation into such a group. References to "the Dianics" – community shorthand for radical lesbian feminist Witches – abounded, but in the course of my research I met few community members who actually fit this description. More common were groups in which men and women practiced together, in which there was a significant gay and lesbian population; while some covens still exist in Texas that are composed entirely of lesbians (though none, to my knowledge, composed entirely of gay men), they are now the exception rather than the rule.

With the emergence of NeoPaganism into popular culture in the 1990s, the feminist flavor of the movement began to change. Instead of "women's religion," the focus became a more egalitarian, balanced, earth-centered religion with a polar image of Divinity – much more similar to the Wicca envisioned by BritTrad patriarch Gerald Gardner than the politically oriented, consciousness-raising, radical feminist Craft of the

1970s. Some previously exclusively female covens began initiating men; mixed-gendered groups, and even male-only groups such as the Radical Faeries (Adler 1986) began to be more public and common.

But if NeoPaganism lost some of its feminist flair, feminism did not necessarily lose its NeoPagan bent. Amy Richards and Jennifer Baumgardner (2000) note that early on in their feminist explorations, they employed Wiccan circle castings as part of their meetings; Third Wave feminists, in particular, have incorporated Goddess imagery, alternative healing methods, and NeoPagan forms of worship into their own political and spiritual lives. While some of this may be attributed to young feminists' growing up with NeoPaganism "in the water" (to borrow Baumgardner and Richards' phrase), it is undeniable that for many feminists the idea of woman-centered politics and woman-centered religion is in some way intertwined.

In much the same way as claiming a female godhead has been construed as an overtly feminist act, so too can the act of claiming the identity as one who loves other women be seen as feminist. However, in contrast to the "political lesbian" of the 1970s, Baumgardner and Richards (2000) contend that exploring sexual relationships with women and identifying as bisexual is becoming something of a rite of passage for young feminists; because both parties in a same-sex relationship "go through life experiencing the prejudices and perks of being female," such relationships may be more egalitarian than those between alternate-sex partners. Bisexual identity may also be seen as a feminist choice in that the discourse of "loving the person and not the gender," which was often invoked by my respondents in talking about their own bisexuality, echoes feminist

rhetoric about gender inclusivity. The feminist aim of equality for the sexes, it would seem, extends even to one's choice of sexual and romantic partners.

Explicitly feminist and woman-centered thealogies[11] give women permission to express nonheterosexual forms of sexuality, in much the same way that the larger feminist political movement gave voice to women's political and social concerns. Ellen T. Brenner, a bisexual Unitarian Universalist minister, states:

> "Feminist thealogies [sic] gave me permission to seek wholeness, to tear down the boundary between body and mind/spirit instilled in me by society, and celebrate my embodied woman-self as the incarnation of God/dess herself." (Brenner 2000, p. 241)

Rejecting Polarities, Embracing Divinity

In contrast to exclusively Goddess-centered forms of NeoPaganism, many NeoPagan traditions recognize both a masculine and a feminine godhead. The polarity of the God and Goddess is at the heart of these traditions; it is the through the unity of the polarities that creation is believed to occur. While the polarities are spiritually important, at the same time the goal of most practitioners is to integrate these polarities into themselves. Most NeoPagans speak of the unity of the whole, of the optimal balance between masculine and feminine. Bisexual female NeoPagans often conceptualize their sexuality as a way to shatter the either/or, male/female gender polarity at work in NeoPaganism and in larger American culture. Because they are capable of loving a person regardless of his/her gender, they contend, they can fully know both masculine and feminine experience, and thus journey closer to the "wholeness" which is, explicitly and implicitly, the spiritual goal of many NeoPagan rituals and practices.

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[11]I follow the lead of feminist writers such as Carole Christ and Starhawk in using *thealogy* rather than *theology* to connote the fundamentally feminine and Goddess focused nature of such systems of thought.

Pashta MaryMoon (2000) describes the relationship between her bisexuality and her Wiccan spirituality thus:

> "[N]owhere have I found a spiritual home base that honors the both/and, the polarity of the Divine and Its firstborn child, as I have in Wicca." (p. 89)

The honoring of the polarities inherent in each person, the "bi parts" or the "masculine parts" and the "feminine parts" (Ault 1996), that is found in NeoPagan theaology is uniquely suited to bisexual identity, according to some practitioners. Fae[12], a 33-year-old Eclectic Pagan, states, "I think [my bisexuality] allows me to experience both of my male and female aspects better."

Ault (1996) analyzes the way in which bisexual women consider their bisexual identity as a method of shattering the binary assumptions that underlie American notions of sex and gender. By refusing to be "either" homosexual "or" heterosexual – "smack in the middle of 'lesbian' and 'straight,' to quote one of Ault's informants – bisexual women see themselves as shattering the dualistic paradigm of gender and sexuality that most Americans take for granted. Garber (2000) contends:

> "[B]isexuality can function in cultural terms as a mode of resistance, by putting in question the duality on which our notions of sexual 'normalcy' are based." (p. 250)

Although, much as Ault also discovered, I found that in the process of "shattering" gendered dualities, my bisexual informants also reified that same polarity – "male side" and "female side," "bi side," "God and Goddess" – it was evident in the electronic interviews that women did see bisexuality as a way of resisting an either/or vision of sexuality. Laura, 39, says:

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[12]All names used for the women who participated in my research are pseudonyms. All participants were aware that they could be quoted for this paper, and that neither their legal names nor their "Craft names" (names which many NeoPagans employ rather than their legal names) would be used.

> "Being bisexual to me is like me neither matriarchal or patriarchal, but a balance of both. I feel much more comfortable in my witch skin now than I did before I discovered this side of myself."

In discussion the duality-shattering nature of bisexuality, however, NeoPagans often construct other dualities that bisexuality appears to reify. Most common is the construction of a duality between NeoPaganism and "more mainstream religions" (by which most community members appear to mean "Christianity"). NeoPaganism is constructed as "more accepting" of sexual diversity; as "not discriminating against anyone based on their sexual orientation"; and as more tolerant towards people of nonheterosexual orientation. Christianity, by contrast, is cast as sexist, repressive of sexual expression, and generally hostile to nonheterosexuals. Christians "just don't understand or accept" nonheterosexuals, according to one woman, but "Pagans do without question. Pagans are more open to different people, sexualities and beliefs." Trish, 42, states that NeoPaganism "has broadened my mind and opened me to all forms of love and sexuality," which she contrasts with her Christian upbringing. Similarly, 23-year-old Maria (who was raised Catholic) says, "I am not ashamed of my own sexuality. It has shaped me in a lot of ways, and I enjoy my uniqueness. I feel free knowing that my spirituality embraces that belief."

Garber (2000) notes, that bisexuality "messes up the neat double columns of straight and gay. A duality between bisexuality and monosexuality also emerged in the interviews with bisexual-identified women in the community. The theme of balance was invoked by women who declared their sexuality "more balanced" than monosexuality; others declared bisexuality "freeing" in the sense that it allowed them to explore "all kinds of love for all kinds of people." An image of monosexuality as a restrictive form of sexual expression that "limited [one] to loving only half of the human race," or denies

one the chance to know the full breadth and depth of human emotional and sexual expression, emerged in both the informal and electronic interviews. Omorka, 30, says her bisexuality has allowed to her recognize and honor "the many-ness at the root of all things," and that an important aspect of this recognition has been "being able to love and lust for many different people, of different ages, genders, ethnicities, and other 'divisions'." Some women even stated that monosexuality has negative spiritual repercussions for NeoPagans, holding that bisexuality affords a more complete experience of the Divine, which is typically envisioned as both male and female. Omorka says:

> "Similarly, loving many people, including women, allows me to understand the different deities, including the goddesses, in a more intimate way. Every person I love becomes a different facet of the God and Goddess, for me."

"All Acts of Love and Pleasure": NeoPaganism and Sexual Expression

NeoPaganism supposes an immanent Divine, and as such practitioners' experiences, rather than scripture, are considered the ultimate authority. Bodily experiences and sensuality are seen as manifestations of the immanent Divine, and are things to be celebrated as sacraments rather than shied away from or hidden. The construction of NeoPaganism as a religion which is embracing of sexual expression in all its myriad forms – often contrasted to the stricter sexual mores of mainstream religions such as Christianity – is one way in which practitioners construct female bisexuality as a form of sexuality that is uniquely suited to NeoPagan religiosity. Asserting NeoPaganism's vision of a dualistic deity composed of both male and female aspects, and NeoPaganism's acceptance of diversity, many practitioners contend that not only is bisexuality a way of exploding dualities or integrating male and female aspects of the

self, but also that it is a "natural progression" for NeoPagans to embrace bisexuality based on their theological principles: that, in the words of MaryMoon (2000), "I am the Goddess and the God, therefore I am bi."

Sex as a way to "pray with your body," and as such fundamentally pleasing to Divine as NeoPaganism envisions it, was a theme in both the informal and electronic interviews conducted as part of this research. To "love all the people you love freely" (Adler 1986) is one of the fundamental NeoPagan values cited by practitioners in the course of my research. The primacy given to individual choice, and the free expression of that choice, is one of the most common reasons community members give for their conversion to NeoPaganism from more conventional forms of religion.[13]

The Charge of the Goddess, credited to Doreen Valiente, is possibly one of the best known, most quoted, and most misquoted pieces of NeoPagan literature. Best known for the line "All acts of love and pleasure are my rituals," the Charge is seen by many practitioners to be the encapsulation of the NeoPagan idea of sacred sexuality. The Charge was quoted by many of my interview respondents as they discussed the relationship of their bisexuality and their spirituality. Mar, 42, explicitly invokes one of the many versions of the Charge, in her response:

> "I believe that sex is an expression of the divine - a creative and conscious way to pray with your body and share loving energy with another person. I was strongly drawn to paganism [*sic*] in part because sexuality was accepted and honored. As it says in the Charge of the Goddess, '...make music and love, for all acts of pleasure are ritual unto me.'"

Thalia, 23, similarly sees sex and sensuality as pleasing to the Divine, stating:

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[13]In keeping with the trends noticed by Adler (1986), the majority of my informants had converted to NeoPaganism from varying forms of Protestant Christianity. Most converted when they were in late adolescence or early adulthood.

> "[O]ne of my personal gods is Aphrodite and my belief is that loving consentual [*sic*] sex of all types honors her. . . . [S]ex, when done consentually [*sic*], is pleasing to the harmony of the universe and not just my gods."

Sex as a "gateway to the Divine" is also a common theme in practitioners' discussion of the interrelationship between sexuality and NeoPagan spirituality. Arachne, 48, says:

> "Sex is one of the Gateways -- very easy [at least in theory, but it takes practice] to raise power and focus it, more practice to actually direct and use that power with precise Will -- language is slippery after all. I am a spiritual being having a physical experience, and sexuality represents and accesses many of the 'peak experiences' available in this form."

The synthesis of NeoPagan values of inclusiveness, along with the NeoPagan vision of deity as bi- or multigendered and the idea that sex can be one way to commune with the Divine in all its forms, results in a conclusion for many practitioners that NeoPagans are particularly well suited to bisexuality. This conclusion appears bolstered by the fact that the vast majority of women I interviewed for this research came to identify as bisexual only *after* they came to identify as NeoPagan. For some, this may be a function of coming to NeoPaganism, with its openness to sexual variety and discovering that their feelings had a name or a place – several respondents said they had had same-sex attractions since childhood or adolescence, but only after coming to NeoPaganism did they "know there was a name for" those desires – rather than uncovering a "double conversion" whereby practitioners "convert" to bisexuality as they convert to NeoPaganism.

However, for other women I interviewed, this type of conversion appears to be exactly what occurred. After spending some time in the NeoPagan community, they adopted a bisexual identity. Some reported that NeoPaganism gave them a context for

same-sex feelings that had been present in their lives before. Others found the adventurous sexual culture of NeoPaganism appealing, and while they may not have entertained same-sex desires before, found themselves (in the words of Aurora, 32) "suddenly liking girls as much as [they] liked boys." And for still others, a combination of the idealization of female bisexuality in the NeoPagan community and pressure from both fellow practitioners and the male partners in their lives seems to have led them to identify as bisexual.

Hot Bi Pagan Babes: Female Bisexuality as the Ideal

Upon learning of my own bisexual identity, one of my informants responded with, "So glad to hear you're bi – I think all cool women should be." This idea – that "all cool women should be bi" – was pervasive both in the interviews I conducted in the course of this research, and in the settings where I conducted participant observation. There is a coexistence of what Omorka called the "fetishization of the hot bi Pagan babe," a male-dominated encouragement of same-sex performances between women in public spaces such as the festival fires, and a construction of monosexuality as deviant and bisexuality as normative.

The construction of female bisexuality – but notably, not *male* bisexuality – as the ideal within the NeoPagan community is conducted in ways that are both overt and covert. Bisexuality is characterized as a "natural progression," couched in secular humanist terms of the genderless soul of all humans. Many times throughout the research process, women employed various forms of the "I fall in love with/am attracted to the

person, not the package" rhetoric which has also been noted by other researchers of bisexuality (Garber 2000). Storm, 30, states:

> "I believe that the human soul is sexless or perhaps contains all sexes. Therefore our bodies are just what we ride around in. So often, it's more than just looks that attract me to any person...it's behavior, personality and so on. So it just makes sense that I would find both men and women sexually attractive."

Nova, 25, similarly says, "I fall in love with the spirit and soul not with the carrying case." MaryMoon (2000) calls bisexuality the extension of the love of the Goddess and God to "Their humyn [*sic*] representatives, femael [*sic*] and mael [*sic*]."

When probed further, interview respondents were split on the question of whether they would consider having an exclusive romantic relationship with a female partner. Most said they would consider a woman as their primary or only romantic partner if the "right woman" came along. Others said they would not consider such a relationship, from reasons as varied as a standing committed relationship with a man, to the fact that women are "crazy and unstable," to the simple fact that "I really like penises!" Of the twenty-five interview respondents, all had had at least one sexual experience with a woman.[14] However, only two respondents had had steady female partners at any point in their lives, and none was currently partnered with a woman. Those involved in polyamorous or open relationships might have a female partner somewhere in the arrangement – Nova states she is "dating a married couple," and Omorka has a "long-distance female partner," for instance – but none had a woman as their primary romantic or life partner. Most were, in fact, currently either married to or partnered with a man. In conducting informal interviews and participant-observation, I found this trend to hold true on a community

[14]When it comes to same-sex behavior, operationalizing "sex" can be tricky. I chose to define "sex" as "physical intimacy beyond kissing: i.e., fondling, heavy petting, mutual masturbation, oral sex, manual sex, or overt genital sex. Basically, if you wonder if it was 'real sex,' it probably was!" This definition, which I did not arrive at easily, was in keeping with the "two or more people, one or more orgasm" definition that many community members mentioned as *their* definition of "sex."

level. Bisexual-identified women tended to have other women as sexual partners, but to choose men as their life partners and to build their relationships with men. Sexual activity with women appears to be a side activity. Several of my interview respondents reported never having had a one-on-one sexual encounter with a woman; a man was always present in their encounters with other women, most often in a triad or threesome arrangement.

The construction of female bisexuality as an ideal identity also seems to be at work even among women who have never had a sexual experience with a woman. In my participant-observation, I met many women who identified as bisexual but who had never had a sexual experience with a woman. I do not mean to negate the authenticity of these women's identity – coming from the standpoint that sexual identity is just that, an *identity* rather than a behavior, I believe that it is very much possible for one to have same-sex attractions without acting on them. Some women did not act on their attraction to other women because of shyness, lack of opportunity, or because they were in a committed relationship with a man that did not allow for either partner to have outside sexual relationships. However, in the course of my participant-observation I did notice a certain sense of "compulsory bisexual identity," in which women who had not had a sexual experience with a woman felt the need to identify as bi and state that they had not had an experience with a woman *yet*.

Although it is seldom overtly articulated, there appears to be a sense that bisexual identity makes a woman "more Pagan" than a monosexual women. This is sometimes overtly articulated – some heterosexual-identified women I spoke to in the community reported having been accused of being "repressed," "hanging on to Christian moralities"

or "deluding themselves" by not identifying as bi. However, more often this attitude is conveyed through discourse that positions bisexuality as a natural outgrowth of NeoPagan theologies – as if, as a NeoPagan practitioner, one could not be anything *but* bisexual. MaryMoon (2000) articulates it thus:

> "To love the Divine, then, is to feel the most intimate of bondings, sexually enacted or not, with both the Goddess and the God potentials within the Whole. It is to see, and to choose to touch and to intercourse with, both essential expressions of Divinity within our bi gendered world. For me, personally, then, how could I not be open to the deepest of intercourse with the soul/spirit, with both gendered forms, with female and with male?" (p. 97)

This discourse takes the "why limit yourself to one half the human race?" and "fall in love with the person, not the gender" rhetoric often employed in the larger bi community and adds a layer of spiritual significance to bisexual identity. In so doing, monosexuality is both implicitly and explicitly constructed as somehow less holistic, less healthy, and somehow "less Pagan" than bisexuality.

In her 1986 interview with Adler, American Witch Sharon Devlin puts forth the following opinion on bisexuality and NeoPaganism:

> "I consider bisexuality, by and large, a higher state than simply homosexuality or heterosexuality because it offers a greater number of alternatives. You should be able to love all the people that you love freely. If you desire to give physical expression to that love, that should be permitted. If men choose to make love to only men, and if women choose to make love to only women, that's fine, but they should remember that it is just as limiting as restricting yourself to a member of the opposite sex." (p. 150-51)

While Devlin characterizes both homo- and heterosexuality as equally limiting, I did not find this sentiment in much of the community where I conducted research. Rather, it is heterosexuality that is indicted as "limiting," "repressive," or restrictive. Lesbianism, while also a form of monosexuality, does not come in for the same criticism. This is likely largely rooted in the NeoPagan value of openness to non-middlestream forms of

sexuality. Some interview respondents made mention of the antipathy of lesbians toward bi women – antipathy rooted in the idea that bi women are "traitors to the cause" of women's spirituality, or that they are untrustworthy, deluded, and promiscuous (Ault 1996). However, with the exception of occasional jabs at "the Dianics," my respondents did not seem to characterize lesbianism as a limiting or "less Pagan" form of sexuality in the same way that they did heterosexuality.

Ault (1996) analyzes the strategies by which bisexual-identified women construct straights and lesbians as somehow the "perverted" ones, while constructing bisexuality as a more natural or normal form of sexuality. This discourse, overlaid with the spiritual implications discussed above, is at work in ways both subtle and blatant within the NeoPagan community. Adding another dynamic is the NeoPagan ideal of openness and nonjudgementality, which is held up as one of the primary reasons why NeoPaganism is a more appealing religion than Christianity. It is interesting to note that few of my informants remarked on the intolerance often faced by identified-identified NeoPagan practitioners. However, heterosexual-identified practitioners do seem to pick up on the ethic that bisexuality (at least for women) is an ideal and idealized identity, and that there is perhaps something wrong or at least less spiritual about those women who identify as heterosexual.

One of the most overt ways in which this manifests itself within the community is in heterosexual-identified practitioners' apologetic stance in relation to their own heterosexuality. Consistently, heterosexual-identified NeoPagan women I encountered in my research stated they were "straight, but had no problem with bis or gays." More common was the statement that "Maybe I just haven't met the right woman yet,"

implying that they had the openness and ability to change their identity to bisexual if the right opportunity presented itself. Other women chose to not commit to either heterosexual or bisexual identity, instead choosing to label themselves "80 percent straight, 20 percent bi," "only 85 percent het," or similar constructions that made allowances for their primary (or sole) sexual relationships with men while also allowing them to claim some of the bisexual privilege at work in the community. Two women I interacted with in the course of my research were part of a polyamorous relationship between two couples – the two women and their husbands engaged in partner-swapping and group sex, and the two women (but not the two men) engaged in one-one-one sexual activities. Neither woman identified as bisexual, instead claiming heterosexual identity. However, when they were together in NeoPagan contexts such as festivals, the women made it clear to all around them that they were in a sexual relationship through referring to each other as "my girlfriend" and engaging in public displays of affection. Even while refusing the label of bisexual, these women seemed to also want to access the status and privilege afforded to bisexual women within the community, while perhaps avoiding some of the stigma attached to heterosexual-identified women.

The stigma attached to heterosexual identity for NeoPagan women is something that many women in the community feel, regardless of their own sexual identity. Heterosexual-identified women who did not engage in the strategies outlined above that would have allowed them a "bi out" were quick to make clear that they sometimes felt looked down upon for their heterosexuality. Some even stated that they felt "bad" or "guilty" because they couldn't "get past" their heterosexuality. Heterosexual-identified women are often perceived of (and spoken about) as prudish or somehow less free than

their bisexual-identified sisters in the community. Heterosexuality is seen by some as something to be overcome; bisexuality is seen as a higher stage of spiritual evolution, something that will come "in time," by many community members

While at a women's Goddess retreat, one woman reported to me that she was "afraid she might be straight" because she was finding herself less attracted to women since her marriage to a man. She had identified as bisexual since her late teens, and she and her husband had had a polyamorous relationship which allowed them both to take partners of both sexes. After a less than satisfying sexual encounter with another woman, she was now questioning her bisexuality. She "felt bad" about it and was clearly in great consternation as she contemplated the possibility of being a NeoPagan heterosexual-identified woman.

The reluctance of this woman to relinquish her bisexual identity, as well as the maneuvering of some heterosexual-identified women to have "one drop" of bisexual "blood" reflects the status that identifying as bisexual affords women with this NeoPagan community. Karlen (1988) notes that "in some circles the word *bisexual* is used often and loosely; for a woman it carries no stigma and may even raise her status." Throughout my research, I found this to be largely the case. Bisexual-identified women are sought after by many NeoPagan men, and the archetype of the "hot bi Pagan babe" is one of considerable power within the community. Bisexual woman are "at the top of the sexual food chain," as one discussion board participant put it. Implicit in bisexual identity in many circles, including the NeoPagan community in which I worked, is nonmonogamy; polyamory in various forms (swinging, open relationships, threesomes) was the norm among my interview respondents and in my overall sample, which gives some credence

to the idea that at least for NeoPagans bisexuality and nonmonogamy exist side by side. One interview respondent said that "hot bi Pagan babes" are often sought after by heterosexual men in the community to enact out their own fantasies; a woman's stock goes up, so to speak, if she identifies as bisexual.

The power of bisexual privilege within the community was persuasive. In the course of my research, I met one heterosexual-identified woman who, upon entering a new relationship with a partner who was outspoken about his desire for a bisexual girlfriend, began engaging in sexual relations with women. She quickly became as outspokenly bisexual as she had been outspokenly heterosexual, declaring her former heterosexual identity a "delusion."

Many bisexual-identified women speak of "coming to realize" or "coming to accept" their same-sex attractions, implying that they (and perhaps all?) women are bisexual by nature, and it is simply culture or Christianity that represses these desires. NeoPagan women who come to identify as bisexual in this way are typically rewarded with status and a great deal of attention from NeoPagan men. While it seems somewhat counterintuitive that this would be so desirable in a religion that has deep feminist roots, for many women it appears that the approval of other women in the community, and the approval and desire of men, is an important aspect of adopting a bisexual identity.

While it has been conjectured (Baumgardner and Richards 2000) that adopting a bisexual identity is often a feminist act, the inverse seems to be at work for many NeoPagan women. There is sometime great pressure from their male partners not only for women to identify as bisexual and pursue sexual experiences with women, but to do so

either in public spaces such as festival fires or in situations where the male can either participate or watch.

. The stereotype of a male partner who "likes to watch" while two women make love is perhaps too simplistic, and at the very least is adolescent. Many interview respondents, though, found themselves in this situation precisely. While their relationships with male partners were negotiated in such a way to allow for their bisexuality and exploration of that bisexuality, any same-sex encounters were circumscribed in such a way that the male partner was included. Trish, for example, states that her husband is "fine [with her bisexuality] as long as he can watch or participate." Others acknowledged that their male partners found their bisexuality "sexy," "hot," or "exciting." Some women cited this as evidence of their partners' tolerance for their bisexuality; others seemed intrigued by the status and power that it gave them in their relationships. A number of interview respondents reported that their only sexual experiences had been facilitated by a male partner who orchestrated the situation. While it is unlikely that the women had no say in such an arrangement, and even more unlikely that they were coerced, it was through the initiative of a man (and possibly for his benefit) that these encounters took place. Similarly, most interview respondents stated that most or all their sexual encounters with women had taken place in the context of a threesome or group where a man or men was present, rather than one on one between the women themselves. Omorka states that this is "not by her choice," something echoed by other respondents. In conducting informal interviews and participant-observation, I noticed similar trends. Male partners seemed to be the driving force behind their female partners' sexual escapades with other women, and on the whole orchestrated these

encounters so that all parties participated. Storm states that her partner has encouraged her to seek out females for one-on-one encounters, but up to this time all her encounters have involved him "joining in" at some point. This trend seems to follow the larger one of same-sex encounters being supplemental to primary relationships with men, even in polyamorous arrangements.

This fetishization of female bisexual identity extends to public spaces as well. Within the sexually open setting of the NeoPagan festival, bisexual-identified women are also encouraged to engage in public displays of sexuality and sensuality with other women. Many women I spoke to feel that the festival environment is among the safest environment in which to engage in sexual experimentation, and as such many bisexual-identified women (and indeed practitioners of various sexualities) feel comfortable engaging in sexual behavior within the festival environment. Encounters appear to be exclusively consensual, and the festival environment is constructed in such a way that boundaries are typically respected and any violation of those boundaries is swiftly dealt with. In the course of my participant-observation, however, I noticed that a significant portion of the same-sex displays of affection between women are encouraged by their male partners (or in some cases male friends and bystanders) and seem to be performed as much, if not more, for the benefit of the male observers than that of the female participants.

This dynamic is especially interesting not only in light of NeoPaganism's feminist overtones, but because NeoPagan ideals of gender tend to be fairly egalitarian. NeoPagan women cite equality between the sexes as one of the main reasons they were attracted to NeoPaganism; they enjoy the perceived lack of sexism within the NeoPagan community,

which appears to also include the right of women (and men) to freely and safely explore their sexuality. Both men and women within the NeoPagan community state that they value the importance placed on equal partnership between all parties in romantic and committed relationships, and the presence of strong women and compassionate men (while somewhat stereotypical, perhaps) is often mentioned as one of the most appealing aspects of the NeoPagan community as a whole. Therefore, it is interesting to see the encouragement of displays of same-sex sexuality between women by men; while some of this encouragement is done in good fun, and certainly not all women feel coerced or demeaned by this behavior, at the same time it can be interpreted as objectification, something that seemingly runs counter to NeoPagan ideals of gender and individual freedom.

Some women clearly state that they feel that such behavior is an objectification of women and their sexuality, and they object strongly to it. At a large festival where I have conducted participant-observation, an incident of two women doing "body shots" off of each other before a whooping audience of men drew criticism from many women (and men). Similarly, at the same festival, various revel fire dancers were offended by the presence of a couple who trolled the fire with cans of whipped cream, randomly squirting women's breasts so that the female member of the couple could then suck them clean; the behavior was described as "sleazy" and seen as not only an exploitation of women's sexuality for the titillation of a male, but as a violation of the spirit of sexual play that is inherent in the revel fire.

Other women, however, not only do not object to the fetishization of female bisexuality (and female bisexuals, by extension). Rather, they actively engage in the

construction of the "hot bi Pagan babe," who is largely considered to be promiscuous as well. In listening to bisexual-identified women speak about other women, I heard language that ran counter to what some of the same women had just told me about gender ideologies. While these women enjoyed the respect for women that is present in NeoPaganism, they also laughed about "watching chicks" with their male partners; "getting some pussy" at the revel fire; and loving being bisexual because "there is eye candy everywhere!" By and large, these women identify as feminists. Even as they participated in a religion that asserts the right of women to shape their own lives, these bisexual-identified women were engaging in the same type of objectifying language that much of feminism has taken on.

While not true of all (or probably even a majority) of bisexual-identified NeoPagan women, there was nevertheless a palpable sense that many such women have internalized the idealized (or fetishized) image of the nonmonogamous, promiscuous, adventurous "hot bi Pagan babe." Only a few of my interview respondents report being in a monogamous relationship; polyamory is far more common. (Polyamory is more common in my sample overall, which may skew this picture somewhat.) Perhaps in keeping with the theme not limiting oneself to lovers of one gender, NeoPagans seem to also reject limiting oneself to one lover at a time. In some ways buttresses the stereotype that bisexuals cannot be happy unless they are actively engaged in relationships with a partner of each sex; although not universal, this stereotype does seem to hold some truth within the community where I conducted my research.[15] In keeping with the ideal/stereotype of the bi Pagan woman as "sexually open" to many partners, many of the

[15]The question of whether polyamory is introduced into a relationship by the male or female partner, or through mutual agreement, is another question that will shed more light on this dynamic.

bisexual identified Pagan women I spoke to seemed to view all women as potential sexual conquests; one even went so far as to declare that "all the bi women need tags" so she could know which women it was acceptable to approach sexually. (The implication, of course, was that she didn't want to "waste" time talking to women who weren't potential threesome participants.)

Bi Way of Analysis

The idea that "all cool women should be bi," and the image of what that "bi-ness" looks like, within the Texas NeoPagan community is both omnipresent and complex. Bisexuality is seen both as a way for women to get closer to the Divine, as a way for them to achieve a certain type of status within the NeoPagan community. Using discourse that is both explicit and subtle, NeoPagans construct an image of the bisexual female as both an ideal to be aspired to and an object to be pursued.

Ault (1996) has examined the way in which "doubly deviant" individuals construct identity, and in doing so construct their own identities as normative. Bisexual-identified NeoPagan women appear to engage in the same type of negotiation. They are "doubly deviant" in that both their religious identity and their sexual identity falls outside the mainstream – defined as Christian and heterosexual. As they negotiate both the NeoPagan landscape and the larger American landscape in which it exists, NeoPagans create a world in which both Christianity and heterosexuality are set up as "other" – in

essence, NeoPaganism and bisexuality become the norm and Christianity and heterosexuality become the "queer."

Christianity becomes associated with restrictive mores, suffocating dualities, intolerance, and repression. NeoPaganism, in contrast, is seen as welcoming, freeing, holistic, and tolerant. Christianity relegates people to the realm of passive follower and conformist. NeoPaganism is constructed as a religion of personal choice and determination. And that choice extends to sexuality. Heterosexuality, seen as compulsory only because the dominant Christian culture makes it so, is for NeoPagans a limiting and self-denying form of sexual expression. Bisexuality, on the other hand, is associated with an ability to truly know divine love and to explore all the possibilities that exist in the realm of sensuality. In a very real way, then, heterosexuality becomes equated with Christianity for many NeoPagans. Because they are resisting Christianity, they also resist heterosexuality.

The picture is somewhat skewed, however, when we realize that it is only women who seem to be expected to be bisexual within the NeoPagan community. Presumably, if bisexuality were really being constructed as an ideal, it would apply to members of both genders. On the ground, this is not the case. While male NeoPagans freely identify as gay or heterosexual, few identify as bisexual. The distaste for male bisexuality is sometimes as palpable as the clamoring for female bisexuality. As one male NeoPagan put it, "Female bisexuality is beautiful and expressive – not at all like male-male [sex]." Certainly some of this can be chalked up to the homophobia that is often pervasive in American culture, and particularly in the American South where my research is located. But the inequity in the expectation of bisexuality may also point to something larger.

My research and analysis suggests that there is a dance between sexual freedom and sexual objectification at work when it comes to female bisexuality within the NeoPagan community. Through the rhetoric of spirituality and feminism, women are encouraged to explore their sexuality and identify as bisexual. Bisexuality is constructed as the most spiritual, the most natural, choice for women. At the same time that they are encouraged to explore their "true selves" by exploring their bisexuality, however, women are also put in the role of sexual object, or their sexuality is circumscribed by male partners who orchestrate sexual encounters – becoming, as one woman put it, "wank material" for a man fulfilling his fantasy of being with two women at the same time. As such, for NeoPagan women, identifying as bisexual can be both liberating and confining. For heterosexual-identified NeoPagan women, the image of the "hot bi Pagan babe" can also be problematic, creating a situation where they may feel it necessary to either skirt the issue of their own heterosexuality or be made to feel guilty, less spiritual, or less feminine because they identify as heterosexual.

Conclusion

As my dissertation research within the Texas NeoPagan community continues, I expect the picture of female bisexual identity to become more nuanced and complex. As queer theory begins to expand to include more studies of bisexuality, more research will be necessary, and new avenues of analysis will open. Like all research projects, in many ways this project has left us with more questions that it has answered. The complex and dynamic nature of human sexual experience, coupled with religious experience, with provide new opportunities for research and analysis as we go forward.

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Abstract of current dissertation research

Sibling Power Brokers: 'Kin-work', 'Kin-time', and the Impact of Birth Order, Gender, and Marital Status on Eighteenth-century English Sisters and Brothers

History (with theories borrowed from anthropology)
Paper Session

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Historians have studied English family life extensively. Marital relations, childhood, parenting, household economy, gender dynamics in marriage, and demographics are just a few of the topics historians have studied. There remain, however, some areas of family life that continue under-explored. One such area is siblinghood and sibling relationships. My work centers on sibling relationships in eighteenth and nineteenth-century England. Employing the tools of anthropology and gender studies, I hope to illuminate the real-life limits and possibilities of sisterhood and brotherhood.

From anthropologists Carol Stack and Linda Burton I have borrowed the terms kin-work and kin-time. They created these terms to refer to the ways families function and assign familial tasks.[1] In the division of labor among family members, what duties did siblings perform? Siblings were expected to perform a variety of functions for one another and extended family members. These functions fall into seven general categories: occupational assistance, romance/marriage advice, child care (of siblings' children), care of sick or dying, financial assistance, emotional support, and household management (sometimes including the executing of a siblings' will). Letters and diaries provide the bulk of evidence for these duties, but even wills are revealing. The bachelor brothers and spinster sisters who provided for their siblings and siblings' children were numerous. Many of these duties and functions disappear in prescriptive literature and biographies. Sermons and advice literature often centered on the higher spiritual and emotional values of siblinghood. The duties discussed in that literature tend to focus mostly on emotional support, or – in the case of elder brothers – protection. The personal

[1] Carol Stack and Linda Burton, "Kinscripts: Reflections on Family, Generation and Culture," In Evelyn Glenn, et al, eds., *Mothering*, (1994).

accounts, however, show that in daily living siblings performed a multitude of tasks for one another. For example, Granville Sharp often managed his brothers' financial accounts in London. Those, elder, brothers lived in Northumberland, and were dependant on his honest and timely execution of their accounts. Also, Anne Travell managed a household for sixty years that consisted of her and her younger sisters, and later, her nieces. Kin-work and kin-time show the outward manifestations of friendship and/or rivalry between siblings. Willing compliance with expectations could be an expression of love and would further cement good relations. The refusal to perform family duties, or doing them poorly, could erode sibling ties and even render them dangerously explosive.

If siblings could perform such a wide variety of tasks, who determined who fulfilled those assignments? How were those assignments made? What determined who completed which tasks and for whom? The two most powerful determining factors were gender and birth order, though marital status often affected family dynamics as well. There is no hard and fast rule, however, that pre-determined age and gender-defined roles. Rather, each family developed its own unique culture that gave weight based on a complicated mathematics of family history, age, gender, circumstances, and distance. Important factors such as financial set backs, unpopular marriage choices, death, or distance could drastically alter these roles or who performed them. Even in the most stable sibling relationships, small fluctuations could change the dynamics of family politics. Also as siblings matured, the loss of parents and the acquisition of siblings-in-law could impact the conjunction of birth order and gender.

Some general trends, however, can be discussed, even if the variety within each family belies simplistic patterns. For obvious reasons the handling of financial accounts

often devolved to brothers. (Though sisters acting as executrices and administrices of wills was not uncommon). The management of investment accounts, land acquisition, and the payment of family bills was usually the domain of brothers. Age was less a determining factor in this assignment than location. (Granville Sharp, mentioned above, was the youngest brother. Yet, his location in London and his single status meant he was available to act as accountant to two of his elder brothers). Care of younger siblings or nieces and nephews often went to sisters – especially single sisters. This gendered division echoed that placed on spouses and allowed single siblings the appearance of fulfilling cultural expectations placed on men and women to be fathers and mothers. Family news and organization of family gatherings was shared between siblings, though sisters often had a more dominant role. Occupational assistance tended, of course, to come from brothers, though sisters could offer advice. Marriage advice came from both sexes. Household management could devolve on either sisters or brothers, but tended to go to the eldest available sibling. And emotional support was given, or at least expected, from every sibling. Prescriptive literature often divides this emotional support into two gendered groups. Brothers were to provide physical and financial protection for their sisters and sisters were to provide emotional and spiritual refinement for their brothers. While many siblings seem to have agreed with this division of emotional labor, they practiced a much more flexible and nuanced version. Sisters defended their brothers and sisters against defamation; brothers comforted and taught their siblings. Though culturally-assigned roles clearly delineated age and gender-based duties, lived experience was a more complicated overlapping and negotiation. Siblings could also use gender and age to manipulate family politics for their own ends. Often siblings would use the

expectation that their brother or sister would love them no matter what, to make demands and win arguments. Any one action could be an expression of both love and rivalry, depending on whose perspective was given. Of all the family roles an individual could occupy, none lasted longer than that of sibling. Studying how brothers and sisters negotiated and fulfilled those roles reveals ways in which siblings, for good and/or bad, impacted one another's daily life and informed family politics.

Title: On the Possibility of Particularist Willing: A Reply to Korsgaard

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On the Possibility of Particularist Willing: A Reply to Korsgaard

Introduction

Philosophers of a particularist stripe have recently enjoyed increased recognition. While various proponents of particularism disagree about the details, they share a common disdain for rule fetishism of normative ethical theory and instead embrace the role of exceptions in moral theory. [1] In what follows, I consider Christine Korsgaard's argument against particularism which proceeds by rejecting the possibility of particularist willing. Korsgaard's argument aims to show that when one engages in the moment to moment, no-principles-required decision-making approach she attributes to particularism, one is not an agent and therefore cannot engage in willing at all. And if particularist willing is impossible, then there is no room in the real world for particularism as a useful ethical theory. The success of her argument relies on the claim that the deliberative model of the self is the only one that provides an adequate framework for attributing action to the self as an agent. I will show that Korsgaard's argument fails by giving an alternative account of the self available to the particularist. My project here is to show that particularism allows for agency and is therefore a viable moral theory in spite of Korsgaard's objection.[2]

Particularism is motivated by a characteristic commitment to holism about reasons and the idea that reasons are irreducibly context dependant. This fuels the further claim that the behavior of reasons is unpredictable.[3] This is to say, just because something counts as a reason in one case doesn't mean it will count as a reason in all cases: that something is a lie, for example, can be right-making, wrong-making or neutral depending on the features of the context one is in.[4] Moreover, adding details to a situation can switch the valence of the reason.

Particularist theories differ from generalist theories in at least two important ways. For the particularist, it is the background conditions that do the work of determining what should be done in the situation rather than the rule itself. In contrast, the generalist picture has it that the rule does the work once the details are plugged into the formula. The second difference is that the particularist is able to place importance on numerous goals, like overall welfare, happiness, doing the right thing for the right reason, and so on, depending on the situation, whereas the generalist typically aims for a single goal.[5] Distinctions aside, I leave the question open as to whether the generalist or particularist is the right moral theory at the end of the day.

When valence switching is wide ranging in that it can be shown to work even at the level of the most fundamental reasons or "thick" moral concepts, it either denies the existence of general principles for action, or does not allow room for general principles to guide one, in any meaningful way, in making decisions.[6] And if valence switching can be used on principles ranging from the very specific to the most general abstract principle, then it is reasonable to either reject the existence of general principles or show how general principles lack the content to be useful. The connection between accepting holism and rejecting general principles is supported by the particularist claim that reasons have the moral import that they do based irreducibly on the context. The idea here is this. For any general principle, until we know what the moral territory looks like the principle will not guide us to act. It is the details of the territory that determine the relevant considerations. For those who want their theory of practical reason to be user-friendly when confronted with a decision, particularism seems more likely to lead to frustration than to action-guiding behavior, as it offers no general rules to apply.[7] And from its lack

of general principles and its commitment to holism, particularism is often taken to be incoherent, or at the very least implausible, as a theory of moral reasoning with ties to social practice.

Korsgaard on the Impossibility of Particularistic Willing

It should not be surprising that one of the objections to particularism comes from a Kantian moral philosopher. Taken from two of Korsgaard's papers, I reconstruct a two-part argument against the possibility of particularism. The first part offers an account of agency and then claims that the particularist is not in a position to count as an agent. The second part argument focuses on the implications for particularists given that no particularist counts as an agent.[8] In what follows, I briefly sketch Korsgaard's view of deliberative action and agency along with a discussion of the two arguments. Then I show what follows for the particularist if Korsgaard is correct.[9]

As Korsgaard has it, what makes a person capable of being an agent, as opposed to a mere bundle of conflicting desires and emotions, is that she engages in deliberative action. Agency, for Korsgaard, just is deliberative action. And deliberative action involves more than being tossed about by the desire of the moment. The process of deliberative action begins by acknowledging the desires one has which "invite us to do certain actions or seek certain ends."[10] The next step is to put in a request to reason in order to decide which, if any, of the desires to satisfy. For Korsgaard, reason offers universal principles available for the self to identify with, and this allows for deliberative action. In these kinds of cases we are able to attribute the action to the person because it

is not just something that happens to the person, rather it is something that the person does.

Particularists specifically deny the usefulness of universal principles in deliberating about what to do, so it seems on the face of it the particularist is not in a position to do what it takes to count as an agent on a Korsgaardian account.

Part one of the argument focuses on the impossibility of particularistic willing. [11] Korsgaard argues that the act of willing requires a person who is a self-conscious cause of her actions. Moreover, the only way to be a self-conscious cause of one's actions is to identify with the principle of choice on which one acts, i.e., one's will, which is independent of incentives—wants, desires, etc.—one has.[12]

In order to will particularistically, one cannot identify with a *general incentive* or inclination such as "I will act from the desire to do what the situation requires" because this, according to Korsgaard, is tantamount to identifying it as universal principle. [13] While it seems like I would end up with a variety of different reasons for action depending on the day and my inclinations, Korsgaard argues to the contrary. A person who takes acting on inclination as their maxim "has adopted a universal principle, not a particular one: he as the principle of treating his inclinations *as such* as reasons."[14] According to Korsgaard, there are only two candidates that the particularist might identify with, a universal principle or her incentives. [15] If she chooses the former, then she can no longer rightly consider herself a particularist. If she chooses the latter then she does not engage in deliberative action.

This argument by itself is not fatal to particularism: it has not explained why particularists need to participate in this kind of deliberative action.

Korsgaard (1997) offers a separate argument with a relevant conclusion in responding to the question of why willing matters. According to Korsgaard, if I fail to engage in deliberative action, or willing, then I, as an agent, do not exist. Combined with the argument for the impossibility of particularistic willing, the objection to particularism as a theory of practical reasoning can be summed up roughly as follows. A person loses her agency if she does not identify with her principle of choice. Since particularism rejects the possibility of action guiding principles it follows that the particularist has no principle of choice to identify with, which leads to the conclusion that the particularist cannot engage in willing and therefore does not exist as an agent. But an account of agency is crucial to any theory that can rightly be called a theory of practical reasoning. Particularism fails to give an account of agency. Therefore, particularism cannot rightly be called a theory of practical reasoning.

Some may be impressed by Korsgaard's dismissal of particularist willing, consequently jumping onboard the Korsgaardian bandwagon for fear of disappearing. However, even the most radical particularist need not be alarmed about Korsgaard's conclusion as a functionally equivalent account of self and agency is available via the self-fashioning character. I argue, in what follows, that the self-fashioning particularist has something to identify with which is distinct from the incentives on which he acts.

Agency as the Self-Fashioning Character

To a first approximation, I take agency to be one's character where one's character is an aesthetic construction.[16] As such, an individual creates an interpretation of his life and this interpretation becomes his character. The main source of one's character is one's set of aesthetic values. These values are not ordered by principles, nor are they reducible to principles: rather, they are ordered by aesthetic strengths that may vary in their order of importance given the details of the set of circumstances he is in. Moreover, these values may also be contradictory with regard to each other, however, they must be able to be made coherent under the bigger picture of that person as a whole.

The interpretation chosen will be determined by the values of the individual and provides the unity that makes sense of what looks like internal inconsistencies. Or as Anderson and Landy put the point, "a set of commitments will have aesthetic coherence when they make sense together *as views all held by the same (relatively cohesive) personality*."[17] Consistency of what may appear to be otherwise conflicting values can arise when the reaction to an action, or some other expression of values, is related to some independent standard as its fit object. And on my account, the fit object is one's self-fashioned character.

Like his predecessors, the likes of whom include Friedrich Nietzsche and Oscar Wilde, Marilyn Manson is a contemporary example of a self-fashioned character based on his aesthetic values, nearly all of which seem to conflict with each other and yet maintain unity within the character. His name—taken from the two sixties icons Marilyn Monroe and Charles Manson—is only the first of many apparent contradictions within his character. The name represents female and male, life and death, pleasure and pain, to name a few. Part of his project of self-fashioning was creating a persona by writing an

autobiography that includes a disclaimer that not all of the stories may be true and that some may be manipulated for artistic purposes. He refers to himself as a walking paradox. He is—or so he claims—at the same time a destroyer of values common to the moral majority and a creator of new values through music and self-expression. At one point very early on in his career he declared himself to be the Antichrist Superstar, made an album with the same title, and went on to become it. In any case, Marilyn has taken the factors life presented him with like "character traits, physical features, talents and abilities, a socio-cultural context, and so on," and achieved "selfhood in the stronger sense," by "creating a harmonious order out of these elements, thereby fashioning a coherent . . . way of life."[18]

To attribute an action, as I have it, is to place it in a context that is consistent with a character, i.e., to construe it as someone's production directed at certain purposes. Intentional actions are produced by agents and are taken as expressions of the agent's values. A methodological constraint on this view is that the interpretation of the character be historically plausible. Actions are connected to a character historically as the character produces them over time. This means, in effect, that if the character we are talking about is Marilyn Manson, we can say of the character, "He is the kind of person who would rip out pages of the *Book of Mormon* while reciting the words 'He loves me, He loves me not,' in spite of the fact that he was banned from performing in Salt Lake City and knew he would have to pay a $10,000 fine." We could not say this, I assume, of the Prophet of the Mormon Church, since this would not be the kind of thing that would be in his character.

The self-fashioning aesthetic account of character is also able to support counterfactuals, which are not reducible to principles. Given what we know about Marilyn, it is possible to say things like, "If he were performing in NYC tonight, then he would be spitting on the crowd," and "If he were performing in New Orleans tonight then he would be blowing kisses to the crowd." Neither claim is reducible to principles. In the first situation, the fact that he is performing is a reason for spitting on the crowd. But the very same reason, i.e., that he is performing, is a reason for blowing kisses to the crowd. The reasons behave differently because of the background conditions—not because of a principle he has.[19]

Facing the Two-Part Objection

My account of character now faces what I call the two-part objection. First, if it is the case that character plays the same functional role as desires or intentions do in Korsgaard's argument, then my account is threatened by Korsgaard's charge that there is no agent and no willing occurring, since I will not be able to distinguish between myself and my principle of choice. And second, if it is the case that character functions as principles then my account is indistinguishable from Korsgaard's and cannot rightly be called particularist.

In response to the first objection, I contend that character does not play the same functional role as desires or intentions for the following reasons. Desires do two things under Korsgaard's account. Desires set one's ends, and more importantly, without a principle of choice to appeal to when making a decision, desires constitute agency. But

character does not constitute agency on my account. Rather, the set of values a person has that constitutes her agency. The role of character in my account is to provide some overall object of fit by which the actions of the character can be attributed to her and made sense of.

In response to the second part of Korsgaard's charge, I argue that values are not reducible to principles in what follows.

1. The purpose of principles in practical reasoning is to give unique action guidance under a specified set of circumstances. (premise; definition)

2. Anything that is able to give unique action guidance under a specified set of circumstances is reducible to principles. (premise)

3. If a character's values are reducible to principles then they will also be able to give unique action guidance in a specified set of circumstances. (1,2)

4. The role of values in my account are action guiding in the sense that they help me rule out actions that would be out of character, but for any set of circumstances there are a number of actions I can perform that are consistent with my values. (premise; definition)

5. Values on my account are not able to give unique action guidance in a specified set of circumstances. (4)

6. A character's values on my account are not reducible to principles. (3**,5)**

Given this argument, I anticipate a concern from Korsgaard. I take it that Korsgaard might respond to this argument by saying something like, "If you're not picking some action (or value that leads to an action) for a reason, then you're not acting as a full-fledged agent. Agency, in the meaningful sense, requires that reason is involved in every step that leads up to the action."

In response to this potential concern and criticism, I agree with Korsgaard that reason needs to play some role in practical reasoning. Otherwise it would be called

practical coin tossing or pin the tail on the action. However, my primary concern in this paper is only to show that particularism allows for agency, even if it is in a basic sense, and from that it is possible to will particularistically. What is crucial for this claim is that 'I' do not disappear when I make decisions that are based on particular features about situations. Indeed, it could turn out that every time I act it is for a reason. But should it turn out to be this way, then I would be acting for what we might call Kleenex reasons, that is, use it once and throw it away.

Regardless of what turns out to be the case with regard to action and reasons, I contend that there is enough of a substantive character already developed by way of values to prevent the loss of agency even if one engages in particularistic 'schwilling'. Moreover, on my account, the agent is unified in a way that allows him to distinguish himself from his desires or intentions, and the way in which he is unified allows others to attribute actions to that agent in a non-arbitrary way. I hope to have shown that my account meets both of these requirements. Finally, my account of character remains distinct from Korsgaard's version of practical identity because values, on my account, do not reduce to principles and therefore is able to maintain its particularist title.

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[1] It might be more realistic to consider particularism as a movement in practical reasoning rather than a theory, since those who identify their views as particularist differ radically on how the fundamental details ought to go. The two features of particularists that strike me as fundamental are (1) whether there is any room for general principles or rules in practical reasoning and (2) whether the defusing move always works, or works all the way down. With regard to the first, McNaughton and Rawling describe an extreme version of particularism where "[i]t is not that general principles are insufficient to guide us in our consideration of the particular case—they simply do not exist," McNaughton and Rawling, 2000, p. 257.1989, p. 190 (the view they are describing is not their own). In an earlier article, McNaughton describes the particularist belief as one wherein, "we have to judge each particular moral decision on its individual merits; we cannot appeal to general rules to make that decision for us." 1989, p. 190. Murdoch is another figure who can be placed at this end of the spectrum who I will spend more time discussing below.

At the other end of the spectrum is what I will call moderate particularism which does allow room for general rules. Margaret Little supports the usefulness of generalizations of rules 2001, pp. 32-40. Dancy also supports the idea that rules can serve as reminders to what features are salient in situations. 2000, pp. 130-157. With regard to the second , consider the difference between, Margaret Little, Piers Rawling, and David McNaughton. Little tells us that "the real lesson of particularism is…that there is a reason to doubt the existence of *any* codifiable generalizations linking moral and non-moral properties," Little, 2000, p. 188. For further discussion of this idea, see Mark Lance and Margaret Little, "Particularism and Anti-Theory," forthcoming, pp. 24-32. Rawling and McNaughton argue that a number of the cases pointed to by the particularists as evidence of valence switching are really best understood as cases in which explanation for the moral import is actually located at the level of moral properties that don't switch valence. "Unprincipled Ethics," 2000, pp. 256-275. I am borrowing the term 'rule fetishism' from David Bakhurst, 2000, p. 157.

[2] In "Self-Constitution in the Ethics of Plato and Kant" *The Journal of Ethics* 3: 1-29, Netherlands: Kluwer Academic Publishers, 1999 (SC for short), even Korsgaard argues for the importance of being able to make exceptions to one's maxim when it has failed to consider "everything needed to make the principle universal, and therefore might not have specified it completely….[and] [t]here are background conditions for the operation of these laws, and without listing and possibly without knowing them all, we mention that they must be in place when we say "all else equal." (25) So, there is at least some similarity between her view and that of the particularist. What really makes the difference to Korsgaard is that she offers a view of the self that she doesn't think is available to the particularist. I am going to offer an alternative account available to the particularist which will lend the missing element, the self, that is needed for offering a convincing account for the possibility of particularistic willing.

[3] Millgram, 2002, p. 65; Dancy 1993, p. 60; Hooker, 2000, p. 6.

[4] For example, "the moral import of any consideration is irreducibly context dependent," Little, 2001, p. 32.

[5] This strikes me as advantageous since one of the problems generalists face involves reconciling situations where the goal and our intuitions clash. This is not to say generalist theories are unable to handle most if not all exceptions by adding more rules, though two points should be noted. When exceptions to rules are made by appealing to the addition of another rule which outweighs the current one, it looks like the motivation behind adding more rules is a change in the background conditions and not the moral theory itself. So in this sense, the generalist is working in the same direction as the particularist when dealing with exceptions. Secondly, adding a potentially infinite list of exceptions to rules until there is a very long disjunct, prevents the generalist from appealing to simplicity as a reason to prefer it over particularism.

[6] Not all particularists would agree that there is no room for general principles as noted briefly in footnote one. For considerations of space, I will not go into significant detail on the varieties of particularism. For papers that focus on this topic in more depth see Lance and Little, "Particularism & Anti-Theory," forthcoming, pp. 1-37 and Elijah Millgram 2002. See also Hooker and Little's anthology *Moral Particularism*.

[7] I don't mean to suggest that all accounts of practical reasoning aim to give a theory or set of rules to follow, especially since an anti-theorist like Murdoch is also capable of offering a view of practical reasoning that doesn't offer action-guiding rules. However, there is a potential for frustration with such views when one is trying to figure out what to do, takes it that any useful practical reasoning account will give us guidance, and there is no rule to follow making the process more difficult.
[8] The first part of the argument comes from Korsgaard 1999. The second part of the argument comes from Korsgaard 1997.
[9] Korsgaard doesn't cite who she has in mind when she talks about the particularist. However, given what she has to say about the particularist it seems plausible to take her as using the extreme/anti-theorist version.
[10] 1999, p. 6.
[11] *Ibid., pp. 1-29*. The majority of the argument can be found on pp. 24-27.
[12] Incentives are just "the features of the objects of those inclinations that make them seem attractive and eligible." (SC, p.11) See also Korsgaard's "Motivation, Metaphysics, and the Value of the Self: A reply to Ginsborg, Guyer, and Schneedwind," *Ethics*, 109 (1998), pp. 49-66.
[13] 1999 p. 26. Korsgaard uses the phrase "act on the inclination of the moment, *because [I was] so inclined*." I think my choice of words is closer to what the particularist might identify with while maintaining the spirit of Korsgaard's.
[14] *Ibid.,* p. 27.
[22] I am not convinced that Korgaard's account exhausts the options. However, I will assume for the sake of argument she is correct.
[16] My aim is not to give a descriptive account of agency that applies to the majority of people. Nor is it to provide a normative account of agency that we should strive for.
[17] Anderson and Landy, 11.
[18] Anderson and Landy, 2.
[19] This example assumes that he does not have principles about stage behavior based on the city he is performing in. So, for instance, it is assumed that it is not the case that Marilyn holds the principle "Whenever I perform in NYC I will spit on the crowd."

PROCEEDINGS SUBMISSION
Hawaii International Conference on Arts and Humanities
Carole K. Harris

1. Title of Submission: "Cliché Language and the Provincial Grotesque: Gustave Flaubert and Flannery O'Connor"

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6. Abstract of Paper -- See below.

Abstract
"Cliché Language and the Provincial Grotesque: Gustave Flaubert and Flannery O'Connor"
Carole K. Harris
3rd Annual Hawaii International Conference on Arts and Humanities

A. Definition of Project.

In the context of my overall project, I use the context of Gustave Flaubert's "provincial" works -- *Madame Bovary, Un Coeur simple, Bouvard et Pécuchet, Le Dictionnaire des idées reçues* -- to study the function of cliché language in the stories of Flannery O'Connor. In my earlier work I write on Flaubert's lifelong critique of the cliché (which he links to bourgeois language, or *bêtise* -- stupidity), an undertaking which culminates in his final, unfinished project *Le Dictionnaire des idées reçues*. Flaubert's writing practices offer a lens through which to study O'Connor's work in terms of language issues, an approach that complicates the scholarship of critics who read her stories primarily in theological terms, tracing themes or symbols across each story. Placing Flaubert and O'Connor side by side provides a means of looking at their use of what Roland Barthes calls "quotations" of culture in revealing ways. Flaubert and O'Connor produced their major works at mid-century (nineteenth and twentieth, respectively), when new technology was forcing writers to re-think notions of originality, especially in relation to language and culture. The term *cliché* itself was originally invented to designate "the metal plate from which reproductions of print or design could be made in unending quantity" (Sabin 54). New technology was also changing the relationship between urban center and the provinces. Both writers share a profound sense of place in choosing settings for their fiction that are marginal from the center: the provinces in relation to Paris, and the South as a distinct region separate from the rest of the United States. Their choice to write from and about the provinces provides a critical and frequently comic angle of vision from which to view metropolitan culture.

At the same time, however, both authors remain ambivalent about the regional culture in which they are immersed. Their fiction is peopled by characters who use provincial clichés in often incongruous ways. Drawing on Alexander Gelley's notion of "idle talk" as a productive and often untapped site of investigation in fiction, I single out passages of dialogue in which characters speak in ritualized forms of cliché or idiomatic language. I start from the premise that using idiomatic language is a profound way of practicing and transmitting culture, precisely because such language, rooted in the values and customs of a particular region, calls attention to the conventions of everyday conversation. Such language practices are part of a process, one that does not necessarily "mean" in relation to content, but may, however, shed light on the writers' working through of their own ambivalent participation in the dominant culture of their times.

A number of literary critics examine Flaubert's strategic use of irony, including cliché language, and aptly question the degree of narrative distance it is possible to achieve through irony when one has been "immersed" in a particular culture. They are pointing to a problem of boundaries: to what degree does Flaubert take critical distance on the "received ideas" of his culture, and to what degree does he simply repeat/reproduce them (as Sabin would say about the technical use of *cliché*) "in unending quantity"? This same question applies to O'Connor's work. These scholars (and Flaubert himself, in his letters) imagine "immersion" as a wholly negative process, one to guard against, but I am intrigued by its *creative* aspects. I use the work of Anne Cheng, who, in writing about the performance strategies of Anna Deavere Smith, defines "immersion" in terms of responsibility rather than escape, as the "responsibility to enter the space of unlikely affinity" (191). Cheng takes into account the force of emotion that goes along with the human experience of immersion, and, I suggest, such emotional force might motivate a particular kind of ironic stance in relation to one's own language and culture.

B. Significance and Scope.

My project contributes new knowledge to the humanities in at least three ways. First, studying Flaubert and O'Connor "with" and "against" each other allows me to theorize on the function of the "cliché" in ways that extend current literary criticism on either author alone. Second, I use psychoanalysis as a frame to build on recent theoretical work on the cliché which examines it specifically in terms of language issues. I am indebted here to a range of thinkers from various fields who include Flaubert as part of their work -- Jonathan Culler, Shoshana Felman, Gelley, Prendergast, Michael Riffaterre, Avital Ronell, Margery Sabin, and Susan Stewart, among others. My project acknowledges their work and contributes a new angle by interpreting these specifically language issues in the context of the collective effects of trauma. The notion of the "transgenerational phantom" offered by French psychoanalysts Nicolas Abraham and Maria Torok helps me articulate a link between spoken language and a restive interconnection between the generations at historical moments of trauma or huge cultural change.

Third, by tracing the transmission of emotion (by means of clichéd speech) between characters from different generations, especially in relation to O'Connor texts, I articulate a distinctly feminist reading of the "grotesque," one that complicates the theological evaluations many O'Connor scholars give. I draw on a small set of feminist critics[1] who analyze O'Connor's use of the grotesque through the lens of psychoanalysis and trauma (in particular the history of racial violence in the United States), as well as on cultural anthropologists and feminist theorists who examine "emotion" (conventionally thought of as "private") in broad cultural and political terms, to suggest that O'Connor uses the grotesque as an ambivalent response to her own immersion in the patriarchal and racist structures of her times. Further, through close readings of

[1] Patricia Yaeger, Claire Kahane, Louise Westling

her "intergenerational" stories ("Good Country People" and "Everything that Rises Must Converge" would be just two examples), I expose unsettling connections between the ritualized, cliché conversations of "mother-speak" and the intense emotion we witness between characters of different generations. The force of this emotion points to a problem of boundaries: who is playing the role of parent and who the child? This basic question becomes so blurred that characters seem not to live or speak as members of their own generation. Rather, without conscious awareness, they take on the psychic burdens of an elder (or younger) generation. I name such an uncomfortable phenomenon the "transgenerational grotesque." I derive my term from the concept of the "Southern grotesque" as O'Connor uses it in writing about her own work, and from the transgenerational "phantom" as explained by Abraham and Torok, who frame my thinking here.

C. Plan of Work. (See Enclosed "Table of Contents" for chapter titles.)

I am in the process of revising chapters 1-4 of my book, and would like to present on my most recent writing which focuses on Flannery O'Connor. I am now extending my present reading in the fields of cultural anthropology and feminist criticism on the political and cultural dimensions of "emotion." This research will allow me to revise chapter 6: "Cliché Language and the Cultural Force of Emotion in 'Good Country People' and 'The Life You Save May Be Your Own.'" I am hoping to focus my talk at the conference on this chapter, providing a context for it from my project as a whole as described above.

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"Cliché Language and the Provincial Grotesque: Gustave Flaubert and Flannery O'Connor"
Carole K. Harris
3rd Annual Hawaii International Conference on Arts and Humanities

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HOW TO THINK DIFFERENTLY:
The Philosophy of Media Arts Technology

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Abstract

When the arts and humanities converge with technology, a cross-disciplinary dialogue is created – whether it be a Flash animation on a Web site, a digital video created with Final Cut Pro, digitally-created marketing print collateral, or streaming media downloaded from a distance learning university course. Why are specific media technologies adopted, implemented and embedded in organizations, while others just seem to disappear? The concept that technological innovations are neutral and "just tools" for the visual artist is popular with media arts technologists. Nothing could be further from the truth. The author's study should encourage creative and technical minds to think differently and explore the social construction of technology through the careful examination of the philosophy of technology.

Introduction to the Philosophy of Media Arts Technology

Notwithstanding funding shortages — often referred to as "resources stress," higher education institutions are constantly struggling to stay as current and responsive as possible to technological changes. Maintaining balance in the midst of chaos is no easy feat for the academe. It involves evolving roles, responsibilities, and actions of the key

stakeholders within the institutions, such as administrators, faculty, students, and support staff personnel. The latter includes a media arts cadre of formally educated and trained "academic support technologists," the backbone graphical and technical practitioners who are ultimately responsible for the technological forecasting, selection, acquisition, testing, development, creation, and subsequent implementation of computer-based media arts technology throughout the institution.

In order to understand what frames the technology of the media artists in the academe, we must first examine what frames technology as a whole in society. Technology has been described as "both a consumer and producer of philosophical ideas" (Bunge, 2003, p. 177). No one seems to dispute technology's significance to the understanding of the human condition. It is worthy of scholarly research and as a topic for philosophical inquiry, clearly if based on the theories and science and technology studies of two scholars Weibe E. Bijker and Robert J. Thomas. In this paper their position couples the relationship between the philosophy of media arts technology as an intellectual construct and the dynamic of the mechanics of making things work.

What is a Technical Artifact?

Reflecting upon the meaning and relationship of technology in our lives, Melvin Kransberg, a well-known researcher and scholar in the social sciences, refers to technology as dealing with "human work, with man's attempts to satisfy his wants by human actions on physical objects" (Kransberg & Pursell, 1971, p. 53). With this in mind, an artifact can be defined as a product of civilization. On the other hand, a

technical artifact can be defined as a product of society — an object, a tool, or a thing — based on its potential usefulness to civilization. In an organizational structure, a technical artifact is not only a catalyst for technological change, it is the integration of a technical system, and a social system based on freedom of choice and responsibility. A technical artifact gives members of a society an opportunity to do things differently using a machine. Organizations choose their markets and the process by which they will produce their commodities or service.

Bijker (1995) defines a technical artifact as a "sociotechnical ensemble" — an invention that is socially, economically, and politically constructed. Clearly, products of our civilization are not invented independently; they are shaped by the choices that people make about how the technical artifact will be positioned in society, within the economy, and in relationship to politics. The social system addresses what inventions to use, who is going to use it, when it is going to be used, why is it being used at all, what the best use is, and how it is going to be implemented.

When a technical artifact's role is examined in a university setting, it becomes an educational artifact — a product of our civilization applied to the academic community. In other words, a technical artifact becomes an educational artifact simply by being a technology that has potential value in academia. When a technical artifact becomes embedded as an educational artifact, it must do more than just be selected by a decision-maker in the academic community, adopted into the higher education organization, and implemented. Because media arts technology continuously transforms between the steps

of social construction, the adaptation phase is transitory. Sometimes a technical artifact is resisted or rejected outright, but returns later as a valued innovation. At the final stage, a technical artifact becomes stabilized and so commonplace that it is embedded in the academic culture.

Streamed media edited in Avid or Final Cut Pro, or video and audio clips created in Flash or Authorware are examples of technical artifacts, because they are innovative products of our culture. They are also considered emerging educational artifacts.

Technical and educational artifacts can be categorized as hardware or software. Hardware examples are artifacts such as the Xerox machine, a computer, the whiteboard, the blackboard, a pencil sharpener, and a slide projector. Software examples are as follows: a Web site, streaming media, a Flash animation, a library digital database, and a Powerpoint presentation. In summary, a media arts technology can take on a dual role as a technical and an educational artifact because of its potential use in industry as well as education.

The last 30 years the literacy goal of the United States has been to engage the public in "hard scientific literacy" in order to form a public that has the knowledge to make sound scientific decisions. This "basic toolbox of skills – in mathematics, physics, chemistry – that allows a person to delve into almost any technological area" has failed (Hammack, 2003, p.1). In spite of the fact that "... we are a nation of scientific illiterates" from the academic standpoint (Hammack, 2003, p. 1), just having awareness of the benefits and risks of science and technology has merit for our society. Mario Bunge

(2003) argues that "technology is not alien to theory, nor is it just an application of pure science; it has a creative component, which is particularly visible in the design of technological policies and in technological research" (p. 174).

Whether it is used successfully or unsuccessfully, a technical artifact does not have to make a difference in our culture. It just has to be a product of our civilized society. Not all technical artifacts introduced in society or the educational community become embedded. Many are adopted before members of society can feel comfortable using the technical artifacts and they are never embedded. Those technical artifacts become increasingly ambiguous.

World View of the Technologist

Both the latter-day Luddites, who are anti-technology, and the technocrats, who are technology fanatics, stir up emotional reactions much like the witchcraft proponents in Salem in the 1690s and the anti-Communists in the 1950s. The public's fear of science and technology from one perspective or the unconditional support of anything technical on the other end of the spectrum needs to make way for "technethics." This makes for sound reasoning when intertwined with the "responsible use of science, technology and ethics in a society shaped by technology" (Florman, 1981, p. 163). Evaluating media arts technology is much like debating whether a cup is half-full or half-empty. It is both, and should be evaluated as such.

Within the higher education literature, scholars have determined that social, economic and political values are intrinsically embedded in the decisions we make about

technologies. Bijker (1995) states, "… one should never take the meaning of a technical artifact or technology system as residing on the technology itself." A technical artifact becomes a "seamless web of science, technology and society" (Bijker, 1995, p. 6). This means that technical artifacts are not independent, but constructed by older technologies, economic choice, and society. Science is often, but not always, a factor in shaping media arts technology. To study technology, one must also look to meanings in society and science, and examine how they are intertwined with technical artifacts.

It is important to study not only the technical artifact itself but also the world view of the technologist. By nature, he or she is interested in the functional understanding of how things are created, how they work, and how they are used. The mechanical world view expounds upon the premise that to understand what makes something work, one must deconstruct it. If a technologist thinks outside of the mechanics of making things work and integrates the philosophy of media arts technology in our lives, he or she begins to examine what kind of higher education culture we are creating through the use of technical artifacts. The technologist then learns to see the world through the eyes of an organic philosopher, one who believes that the whole is more important than the sum of its parts. The organic world view focuses on organizational relationships in order to understand how something works. The question that must be continually asked is: With the invention of technical artifacts, what kind of world do we want to create? What kind of higher education system do we want for the people in our society?

During World War II, social concern and the framing of ethical choices about science and technology came to the forefront. Before that time, engineers, scientists, and technologists traditionally had the charge of solving problems, not questioning the problems. Their social authority was in the methodology of the solution. However, the social concerns of the atomic bomb reinvented how engineers, scientists, and technologists thought about technical artifacts. By questioning the solution to the problem through consideration of all options, thinking clearly, and evaluating inconsistencies, we can make socially responsible choices on whether the solution should be implemented. We can create socially responsible technology and connect theory with practice in transforming the future of technology (Agre & Schuler, 1997). In seeking a way to implement this concept, three areas are examined: the social, economic, and political construction of technical artifacts.

Social Construction of Technology

There are analysts in our society who believe that technology is an external force that drives history (Smith & Marx, 1998). These people are called "technological determinists." They believe that technology influences organizations in such a way that it forces change, and human beings have little choice in the matter. Winner (1986) states that the concept of technological determinism is like describing "all instances of sexual intercourse based only on the concept of rape" (p. 10). This scope of the technological viewpoint is much too narrow.

Other analysts advocate that technology is a social construct. Unequivocally, this means it is based on social and organizational choices, and people have the power to shape technology into what they want it to be. Those analysts, who advocate "sociotechnology," believe that society frames technology and technology in turn frames society. They believe that social factors play a major role in determining which technical artifacts become embedded. Once ingrained in our society, it is not easy to change (e.g., automobile culture). Usually technologists value the technical artifacts more than resources, and the resources more than useless objects (Bunge, 2003).

When Bijker (1995) discusses the politics of sociotechnical change, he refers to three configurations in his Configuration Model Theory. One is with no single dominant group and therefore no vested interests. The second configuration involves one group becoming dominant and persisting on defining the problem and addressing the solutions. In the third structure, there are two or more entrenched groups, each with a different agenda and set of priorities. This is significant because it defines the three ways that a technical artifact can be framed through societal factors, and explains that "technology and society are both human constructs" (Bijker, 1995, p. 3).

Many believed that the advent of the computer would be a social equalizer (Winner, 1986). Unfortunately, in our society there are the technological "haves and have-nots." The United States Department of Commerce has found that the so-called "digital divide"— the gap between those with access to technology and those who do not have access — is widening in the academic environment and causing further social

stratification (Nevens, 2001). Nevens states that the digital divide has often been held responsible for enabling disparities in class advantage, racial bias, and socio-economic advantage. Because technological development is not linear, social factors shape how deeply a technical artifact penetrates society or the educational community.

Videotex technology is an example of a technical artifact that was not embedded into society. In the mid-1980s, the researcher managed the computer graphic production of an international videotex venture called "Teleguide" in collaboration with McClatchy Newspapers of Toronto, Canada, and Phoenix Newspapers, Inc. The two-way interactive digital "information packages" were displayed on television monitors, which were placed in public kiosks. They provided free digital information for the general population, such as sports scores, weather, desert survival skills, higher education institution information, restaurant information, shopping mall product information, upcoming events in different cities, etc. Some of the information was newsworthy and written by the Teleguide staff. Other information was sponsored by "information providers" — the clients of the technical artifact. The kiosks were placed at the locations of the information providers as well as in other public places.

The Phoenix Teleguide venture also consulted collaboratively with industry on several innovative, on-the-cutting-edge-of-technology projects including: (1) a home banking project; (2) an in-hotel project; and (3) an agriculture "e-mail" advice project for southern California farmers, who accessed information through their home computers. The content, which was stored on mainframe computers, was similar in structure to the

World Wide Web content of today and was initially created using vector graphics and AT&T Frame Creation Systems. Eventually, raster images were added. The end users made their selections from numeric pads on the kiosks — the same selection concept as on the World Wide Web of today. The digital information was shared internationally with end users in Canada, Japan, and several states in the United States, including Arizona, Florida, California, Nevada, and Hawaii. This graphic networking process predates the Internet's use of graphic Web sites.

Videotex was introduced into selected portions of society shortly before Apple Computer introduced the Macintosh. Computers were not commonly found in homes at that time and people were not accustomed to retrieving information digitally. Because retrieving information digitally was not socially embedded into our culture in the mid-1980s, videotex was a technical artifact adopted before its time. It was a precursor to Web technologies. One participant of the videotex venture said that two-way interactive digital information would never be accepted, because he could not take it to the bathroom to read like his newspaper. Perhaps that is why Microsoft announced the summer 2003 debut of an Internet-enabled Port-a-johns called "iLoo" (Clark, 2003).

Today, computers have become embedded in our society and in academia. They are readily found in homes, offices, and educational institutions. They have become part of our culture.

Determining appropriate content for technical artifacts is as much a social issue today as it was 20 years ago. Previously, creative and production managers had charge of

the quality control of the content stored on a mainframe tape or a typesetting database. Today, content is much more difficult to manage, because everyone has the power to upload content.

A major issue is industrial standardization. History does matter, because many technological decisions are based upon what decisions have been made in the past (Thomas, 1994). Karl Marx said that people "make history, but they do not make it under circumstances chosen by themselves, but under circumstances directly encountered, given and transmitted from the past" (cited in Microsoft® Encarta®, 2003). Diane Forsythe (1996) says that if it can be done, it must be done, and her Technological Imperative Theory helps explain why many technologists are driven to do whatever is possible with technology, even if it should not be done at all.

Economic Construction of Technology

Economic construction is how the technical artifact is shaped by the economy and the financial decisions applied to the artifact. A particular product can be popular, simply because the corporation has more money to spend on marketing the product, not because it is the best product on the market. In another instance, technology may be perceived as a low-cost, high yield opportunity structure. Because the creation of digital products by professional graphical and technical practitioners looks effortless, it is devalued. Also misunderstood is the amount of time it takes to write and organize the content. Knowledge is labor-intensive. Those policy makers who believe that technology can take the place of labor are misinformed (Massy & Zemsky, 1995).

A review of the literature reveals that many policy makers also believe that technology will increase productivity and decrease the costs of operation (Gilbert & Green, 1995). Pressure to use new technologies originates from the administrators, who have a tendency to push technological solutions to resolve all financial problems in higher education (Frank, 2003; Massy & Zemsky, 1995). Since resources drive academic behavior, today's trend toward resource stress promotes the "quiet revolution" of academic capitalism. Faculty and higher education institutions are propelled into marketlike behaviors (Slaughter & Leslie, 1997). Frank argues that "the instructional function of higher education is becoming marketized as well" (p. 18). Short-term funding issues may be addressed by marketization, but there is a grave concern about the creation of "unrealistic expectations about the role and function of a public university, particularly the faculties' role in such an organization" (p. 18).

Another significant issue arising from the literature is that institutions of higher education have failed to place as much investment in the training of the use of new media arts technology as they do in the investment of the technical artifact itself (Alexander, 1998; Ehrmann, 1995; Gilbert, 1995; Lan, 1997; Williams, 1997). The cost of hardware, software, and labor is an investment for in-house efforts in the resource-stressed university. Because of the cost of equipment and trained personnel, outsourcing is "easier and cheaper" says David Rader, analyst at Jupiter Media Metrix Inc. in New York (Hamblen, 2001). This may cause concern about the future of in-house media production units in higher education in regards to the higher education infrastructure and budget

issues. Not everyone in higher education shares Rader's viewpoint. There is evidence that in-house media production units usually charge less for the creation of educational technology jobs than outside vendors (Subject A, personal interview, April 1, 2002). On a positive note, the benefits of in-house media units are not just a matter of funding. The facility becomes an academic resource for students and faculty. Since the media auxiliary units are a part of the university, faculty — the "content experts" — have more control over their projects. New technologies, such as desktop computers, video editing software, and a new distribution channel on the Web have, however, enabled films to be made at a fraction of the cost of traditional methods, although the investment in the media arts technology is still costly (Marioni, 2001).

At the heart of the economic construction is the battle of industry standards. Perhaps the problem is not that there is no standard, but rather that there are too many standards. For example, if society cannot settle on a single, permanent DVD format standard, how will the streaming standard be decided? Ideally, visionary companies will become opportunists and will stratify themselves as the media arts authority. Then industry and higher education decision-makers will invest in this venture, and a media arts standard will be established. Wouldn't this be an efficient method to embed a technical artifact in education? Realistically, however, technical artifacts are transitory — a work in progress. This insight impacts technological choices in academia, because once higher education institutions make financial decisions about investing in a particular software or hardware to support technical artifacts, history does matter (Thomas, 1994).

Economists, however, recommend that "sunk costs" — the amount that has already been invested — should not be a part of the most successful decision-making process.

Political Construction of Technology

Technical artifacts are political. They become defined more by political factors and control than by economic factors. Political construction is how the technical artifact is shaped by the political decisions made, which are based on the arrangement of power in human relations and human activities. The policy/decision-making phase and the research phase of a technological process are where most technical concepts are found (Bunge, 2003). Technological decisions, which are based on Thomas' Power-Process Theory, are determined by roles played by organizational power struggles and differences in the perspectives when examining the advent of new technologies. Thomas (1994) says "… new technology may be shaped less by market or strategic considerations than by internal power struggles…" (Thomas, What Machines Can't Do, book jacket). In other words, the decision to embrace and promote a technical artifact may ultimately be determined by the internal struggles between employees and their managers, employees and their peers, or the internal management power structure.

Winner (1986) believes that those who design, promote, and manufacture vast technical systems are lacking in political insight. The focus on profits, organizational control, and the excitement of incorporating new technologies into the organization takes precedence over the social implications.

Winner (1986) also believes that it is "a serious mistake to construct one sociotechnical system after another in the blind faith that each will turn out to be politically benign" (p. 58). Most members of society view people as having politics, but view technical objects as void of politics (Winner). According to Winner's (1986) Technical Artifacts Theory and Thomas' (1994) Power-Process Model Theory, technical artifacts do have political properties when they affect the arrangement of power and authority of people and organizations.

Matters of law are constructed out of "moral negotiations that accompany technological change" (Winner, 1986, p. 7). As an example, if a person is able to figure out how to digitally access an unauthorized database, it is difficult to prosecute the hacker if no laws are written to protect victims and prevent this from happening again. Before computer technology was introduced into society, the specific crime did not exist. This is where the potential ethical issues may come into play, and when money and political issues often get directly tied to the decisions that are made.

Hegemonic decisions, which result in people not having access to technology in higher education, are often made out of neglect. Once the oversight is recognized and deemed significant, policy is written to help equalize access. As an example, until governmental policies were passed, the handicapped were excluded from activities in academia through lack of access to computer labs or lecture halls with ramps.

If this perspective is taken one step further, it is possible for engineers and technologists to politically construct technical artifacts to give authority, privilege and

power to a select group of people. A prime example is the Long Island overpass design by Robert Moses, a master builder from the 1920s to the 1970s. There is evidence that Moses had a predisposed political agenda when he designed the overpasses (Winner, 1986). Two hundred low-hanging overpasses were designed on the island, which can be concluded to reflect his personal racial prejudice and social class bias. The height of the overpasses accommodates the middle- and upper-middle class automobile-owning-Caucasians on Long Island. Those who use the public transit — the African-Americans and the lower socioeconomic class — do not have access to the roads or Jones Beach, because the standard-sized 12-foot buses do not fit under the Long Island underpasses (Winner, 1986). This is evidence of how technical artifacts and choices that are made can be manipulated to produce consequences in the quality of our lives.

Politicians profess technology to be the salvation of a free society. They expound the positive link between human well-being and technology. It is generally accepted by American society that "new machines, techniques and chemicals" improve the human condition (Winner, 1986, p. 20).

Others perceive technology as "the means by which the ruling classes perpetrate their power over the masses" (Florman, 1981, p. 9). Administrative hierarchies are created because of the demands of the operational requirements of media arts technology. Those who effectively use, understand, or have access to a technical artifact are granted an elevated status. For example: a lower socioeconomic student, who has not developed

the skill sets to use a computer or who does not have access to one, begins his or her higher educational experience in an unfavorable situation.

Conventional media companies are seizing the opportunity to stratify themselves as the standard streaming media providers in the graphics industry (Pavlik, 2000; Tedesco, 2000). ~~At the same time, a small group of printers, who have realized the potential of electrophotographic processes, have stratified themselves as the leaders in their niche of the industry.~~ In the higher education arena, administrators also perceive that being engaged in high-tech projects emulates political power and charisma (Gumport & Chun, 1999). This construct might give the information technology or the in-house media auxiliary units the opportunity to also stratify themselves as the participatory power centers in higher education.

Many believe that the real power may be in the hands of the content providers — the faculty (Frank, 2003); however, intellectual property and copyright issues are intertwined with economic and political construction of technical artifacts in academia. The jury is out as to whether the participating faculties get financially compensated for the streaming media lectures for an online course, or if a part-time employee will get paid to coordinate the online course. In addition, legal issues may need to be addressed, such as: Can other institutions “borrow” the lectures, or if a non-tenured lecturer is not rehired, can his or her developed streaming media be used in the published, commercially sold, and/or reused coursework. The culture of higher education with its ambiguous core technology and multiple goals often prevents the institutions from adapting a particular

technical artifact. Ambiguous policies, which do not protect the use of the product or the creator, discourage a media arts technology from becoming an embedded technical artifact in education (Gumport & Chun, 1999, p. 17).

Academic Capitalism

During the last 50 years there have been many policy shifts in higher education. The most significant shift in the United States is the decrease of state allocation since the 1980s, which left the academy with the charge of finding new ways of doing business while facing dwindling resources (Heller, 2002). This national trend has resulted in higher education institutions, especially public universities, being forced to be entrepreneurial to survive. These higher education institutions are searching for alternative means of funding through external agents, and have moved from "an agency model to an enterprise model of investment" (Crow, 2003).

This organizational survival and adaptation behavior can be explained by the resource dependency theory, which is an organizational theory that justifies changes in academic labor (Pfeffer, J., & Salancik, G., 1978). It is a power and conflict theory and is supported by the application of academic capitalism during times of fiscal crisis in higher education. It maintains that resources drive organizational behavior. In other words, as Leslie (1997) contends, "He who pays the piper calls the tune," resulting in higher education organizations not being entirely self-directed. In the academic capitalism model (Slaughter & Leslie, 1997) the behavior of the internal actors are tied to the external actors, which results in the direct dependence upon external funding agents. The

concept of academic capitalism was built upon the foundation of the political economy model and the power-dependency model (Thompson, 1967). Pfeffer and Salanick (1978) argue that resource allocation results in organizations becoming dependent upon other organizations based upon several factors: (1) how critical the resources are to the survival of the organization; (2) the availability of alternative resources, and (3) organizational preferences of the allocations at hand.

Academic capitalism is prevalent on local, national, international and global levels. On a national level, external resources must be increased to balance the decrease in state funding. The examination of the newly formed stratification of access and attainment of higher education and the sociological impact on a national level can be perceived as an opportunity or a threat.

The United States is not the only country challenged with the academic enterprise model. Findings in other English-speaking countries in Europe consist of clashing academic values, resource diversity, and the trend toward entrepreneurial activity (Slaughter & Leslie, 1997).

Largely because of academic capitalism, universities have status in the global economy (Etzkowitz & Leydesdorff, 1997). Because the United States competes on a global market, higher education is a social stratification tool for the "techno-science regime" (Slaughter, 1998).

Because state and federal government revenues are diminishing as an American higher education financial resource, the academy is being restratified. Industrial

partnerships and the marketing of business and educational services help counterbalance the financial repercussions of this new direction (Gumport & Pusser, 1995).

The concept of academic capitalism is particularly valuable in informing our understanding of higher education organizations in the midst of budget cuts and strategic reorganization, especially through the unique ability of higher education organizations to adapt to survive. Rhoades and Slaughter (1997) argue that one should follow the money to see where the priorities are placed in institutions of higher education. Trow (1970) argues that resources stratify institutions and power reigns with those actors closer to the money (Rhoades & Slaughter, 1997). Those colleges and universities who have been successful in implementing academic capitalism, have brought prestige to their institutions, as well as resources.

Technological Change

Historically, higher education has been slow to adapt to all changes, including technological ones. Some technical artifacts have been revolutionary. Others have had little impact. The introduction of media arts technology into the educational arena has been met with "lukewarm support and mixed results" (Gumport & Chun, 1999, p. 7). Perceptions range from educators who believe it is the solution to all problems to those who believe technology will bring about "the unavoidable collapse of the educational system" (p.7). Unrealistic expectations of what media arts technology is capable of producing causes disappointment to the user, while premature condemnation of the educational artifact results in lost opportunity for improvement in teaching, learning, and

delivery of knowledge. The truth lies somewhere in between these extreme viewpoints. The impact of a technical artifact will not be apparent until there is a crucial number of people using the technology (Fiske, 1988). Gumport and Chun argue that the introduction of a technical artifact into the educational arena is less problematic, "when the technology fits within the basic paradigm" (p. 7). They give the example of how smoothly the photocopier replaced the mimeograph machine.

Organizational Change

Organizational change is stressful to the individual, regardless of whether it is positive or negative change. It is driven by the introduction of new government regulations, new products, and technological innovations. It is caused by a reaction to increased competition, a changing workforce, and the overall growth of the organization.

Human resistance to organizational change stems from several social perceptions. It begins with one's erroneous understanding of the change and the ramifications that go along with the change, as well as the personal fear of losing something of value. Some individuals perceive that the transformation, which is taking place, is not a logical step to take for the organization. Others just have a low tolerance for any changes in their life. Overall, most organizations can withstand at least a moderate organizational change one time a year without too much damage, and a significant organizational change every four or five years (Kotter, 1999).

Roles of faculty, administrators, and academic support technologists are modified when "technology is carried forward by individuals who negotiate the policy pressures

and at times resist the extent to which technology may take hold in higher education" (Gumport & Chun, 1999, p. 17). Roles have been eliminated, created and expanded because of the introduction of technology in higher education (Frank, 2003). The professors, who are the content experts, must be knowledgeable on what type of media is appropriate to student learning styles. Faculty must become coaches and facilitators of learning how to learn. They need to be trained in the use of the new media arts technology as an educational artifact. The effective techniques and methodologies used with the educational artifacts must be embedded in the teaching materials, so that the student becomes responsible in directing his or her learning.

The introduction of media arts technology in the academe reflect subtle paradigmatic shifts in teaching and learning. Overall media arts technology is framed by the social, economic, and political factors within the culture of higher education and society at large.

Summary

The concepts presented in this paper provide the foundation which the arguments of subsequent papers will be formed and framed. The themes are important to understanding much of the debate about technical artifacts. Such a background is therefore an essential point of origin for understanding the link between social, economic, and political factors in higher education and media arts technology. "Nothing, especially not technology, comes out of nothing" (Bunge, 2003, p. 174).

After reviewing the scholarly writing, the researcher's lifelong belief in technical artifacts being neutral was transformed to the world view of the sociotechnologist. In addition, theory needs to be linked with practice in molding the future of socially-responsible technology (Agre & Schuler, 1997).

In conclusion, the philosophy of technology is used as a driving force of this paper as an attempt to introduce all educators to an alternate way of perceiving how media arts technology becomes embedded in an organization. This has been achieved through this writer's position as a creative sociotechnologist and visual arts researcher.

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Previously she was a lecturer at ASU, coming to the university with over 20 years of industry experience. She has been the art director of The Phoenix Gazette, the computer graphics production manager at Phoenix Newspapers, Inc., an editorial illustrator for The Arizona Republic, the creative director of a Phoenix advertising agency, and the owner and consultant of Harris Studio, a computer graphic consultation and creative business.

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1.
"The Scary Mason-Dixon Line: James Baldwin and the South"

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In Just Above My Head (1979), his last novel, James Baldwin asserts that a black man can look at a map of the United States, contemplate the territory south of the Mason-Dixon Line, and scare himself to death. This presentation will examine the fearful as well as the love/hate relationship Baldwin has with the South in his short stories, plays, and novels. From depictions of lynchings to black people being shot down in cold blood, Baldwin is fascinated with the psycho-sexual dimensions of racial interactions on southern soil. In Just Above My Head, Baldwin suggests that the South is a chimeric engulfing monster out to destroy black manhood. He connects sexuality and politics when he writes about the Civil Rights movement in "Going to Meet the Man" and how the horrible history of violence in the South informs white male sexuality, which is in turn tied to the political activism of the 1960s. He follows a similar pattern in his play, Blues for Mister Charlie. I explore Baldwin's representations of the South and its people as a part of a larger project that is designed to blur—in the best possible ways— the distinctions frequently made between African American and Southern writers and their writings. The South as a rite of passage for Baldwin and other African American writers provides a lens through which to expand conversations about southern literature, southernness, African American identity and creativity, the intersections between African American and European American writers, and literary regionalism.

Hawai‘i International Conference on the Arts and Humanities 2005

Abandon Ship! Ditching Traditional English Style and Grammar in Favor of a Modern Amerenglish Model

Topic Area: English
Format: Paper Session, presenting work in progress

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• Traditional English grammars and style guides are hopelessly bound to conventions that no longer serve us or reflect our evolving American English language.

This presentation will discuss the possibilities and actual results of using a modern American English grammar instead of more traditional English grammars in both college composition and grammar courses.

Although it’s widely believed that the U.S.’ status as a world power precludes the possibility of our being thought of as a postcolonial people, I believe that our attitudes toward English contradict that. Many American and U.S.-based students and academics write in what I call an “imagined British English” when they want to be taken most seriously—word constructs we’d never use in spoken American English but refer back to Amerenglish’s origins in “proper English”—the Standard Received English of Southeastern England. I think this tendency reflects a deep-seated belief the inferiority of American English.

The modern Amerenglish style and grammar guide I created has its roots in my fourteen years of work as a copy chief at a publisher of popular-culture magazines, but in recent years I returned to school to study other grammars, teach grammar and composition, and ultimately refine the style and grammar guide I’d begun, expanding it into a complete book for my thesis. What I found was that students who had not been high achievers in previous English classes were able to work more easily within the parameters of this new grammar, which takes into consideration the many cultural and regional variations of American English as well as the speech patterns of those who don’t use English as a first language. I’ll share sample writing from the classroom to illustrate.

Additionally, my new Amerenglish style and grammar guide refers only to the most basic parts of speech, instead relying on students' learning to edit their own and others' work in order to improve writing skills, with emphasis put on punctuation and consistent style and usage. I have found that identifying parts of speech is in large part problematic—the specific usages of individual words make their categorization difficult and often inaccurate.

Even those who want to embrace a new American English style and grammar in their classroom have mixed feelings about the abandonment of teaching traditional rules altogether, so I'll discuss the possibility of teaching both traditional English and modern Amerenglish at even the most basic grammar and composition level. I recently guest-lectured in remedial grammar courses at a local community college and received valuable and insightful feedback from the students, which I'd like to share. My presentation will address the ongoing debates about the differences between written and spoken English as well as individuals' right to adopt a more traditional/formal English grammar if they choose. What I propose is offering students a choice, a viable alternative that should be widely accepted. I'll be looking forward to feedback from and discussion with the HIC audience after this presentation.

Van Halen: Changes In Their Harmonic Development, 1978-1986.

A music research paper submitted for a paper session at the 3rd Annual Hawaii International Conference on Arts and Humanities

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Musicological study of rock music has increased since the mid-1970s because, as Lawrence Grossberg noted, "rock [became] a part of the dominant mainstream culture"[1] It is in this context I will present a paper that discusses the heavy metal and/or hard rock group Van Halen, and the change in the writing style from 1978 to 1986. Research such as the one presented is a contribution to the growing field of popular musicology, yet differs from most of the other research in this discipline as those researchers have mostly centered on investigations into fan culture.

The large portion of research in heavy metal has focused on the fans and the artists performing. Deena Weinstein's research focused on the relationship between heavy metal fans, each other, and the artists. She includes a general description of the music itself, with an emphasis on power, and considers that Van Halen belonged to a sub-genre of heavy metal known as "lite metal," which is lumped together with groups such as Def Leppard, Poison, Bon Jovi, and Ratt.[2] As Van Halen was paired on tour with heavy groups such as Black Sabbath and Kiss, to assume that Van Halen was always seen as a "lite metal" band such as the others she noted would be inaccurate.

Weinstein is not the only researcher to examine heavy metal's fan base. In a manner similar to Weinstein, Donna Gains and Bruce Friesen also discussed the social practices of metal fans and their thoughts on life. .[3] Gains' research spotlights the problems that exist in the lives of suburban fans of heavy metal and crises that the fans face in adolescence. As with Weinstein, Gains has no analytical approach towards the

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[1] Lawrence Grossberg, *We Gotta Get Out Of This Place* (New York: Routledge, 1992), 9.
[2] Deena Weinstein, 46. See also Philip Bashe, "Heavy Metal Comes of Age", *Circus*, May 31, 1983, 26 for comments on the sub-genres of Metal

music itself, but Gains' discussion the troubled youths who are heavy metal fans is important to sociological findings.[4] Friesen acknowledged the sub-culture of heavy metal fans in the 1980s, including ones who fantasized about sex with a stranger[5].

Research of hard rock and heavy metal via Traditional Musicology

While research into hard rock music without a sociological emphasis has been lacking, to note that music is not just "for music's sake" as Cone or Peter Kivy might suggest is important.[6] Rather, it is important to situate popular music in its cultural and historical context. As such, it is argued that the analysis of compositional styles and performance practice should be contextualised by an analysis of reception, for instance, how the fans were affected by the group's practices, regardless of the group's original intent and awareness of their affect.

Over the last decade, the divisions between sociologists and musicologists have become less acute. David Brackett, for example, supports the need for musicologists to view more than just the group's music in order to gain complete insight into semiology. Phillip Tagg's detailed study of coding in a single song (Abba's "Fernando") remains an important example of the ways in which the semiotic analysis of musical structures of a specific song is fuelled by, in his description, "connections between Latin America and

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[3] See Donna Gains, *Teenage Wasteland* (Chicago: University of Chicago Press, 1991), and Bruce K. Friesen, "Powerlessness in Adolescence: Exploiting Heavy Metal Listeners", in Clinton R. Sanders, *Marginal Conventions,* (Bowling Green, OH: Bowling Green University Press, 1990), 65-77.
[4] Gains, *Teenage Wasteland* (Chicago: University of Chicago Press, 1991).
[5] Friesen, 69.
[6] See also Peter Kivy, *Music Alone*.

First world metropolis, neo-colonialism, and mass culture, subjectivity, and political reality."

One reason for the lack of activity in the scholarship of hard rock music in traditional musicology is because of the way that songs are analyzed. John Covach reasoned that the traditional music theorists "who have developed and routinely employ a number of sophisticated techniques and systems for analysis"[7] tend to ignore popular music, and that their techniques are not as useful to the two primary sects that analyze popular music: the musicologists and the scholars in popular music studies. The traditional music theorists tend to wonder not only how to examine music, but also how to select which type to examine.

Robert Walser was among the first in the academic community to write about heavy metal music, hard rock music, and Edward Van Halen, by publishing an article and a book in the late 1980s and early 1990s about those very subjects.[8] Walser argued that the study of Van Halen was important because he "revolutionized rock guitar with his unprecedented virtuosity and the tapping technique he popularized in 'Eruption' (1978), which demonstrated the possibility of playing speedy arpeggios on the guitar."[9] Unfortunately, few have followed Walser's lead into hard rock research.

Why Van Halen?

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[7] John Covach, 'We Won't Get Fooled Again', *Keeping Score*, 76.
[8] See Walser, *Running With The Devil: Power, Gender, and Madness in Heavy Metal Music*, (Hanover, NH: Wesleyan University Press) p. 58-70, and "Highbrow, Lowbrow, Voodoo Aesthetics", *Microphone Fiends*.
[9] Robert Walser, "Highbrow, Lowbrow, Voodoo Aesthetics", *Microphone Fiends*, 236.

My study discusses the gradual change in the group's harmonic writing, as a clear majority of Van Halen fans felt that their was a significant change in writing direction when David Lee Roth left the group and was replaced by Sammy Hagar. These results were obtained by conducting an informal survey via the internet prior to deciding research topics. Many of those fans felt that the music had changed for the worse. Through the fan's informal responses, I was able to gain some insight into the fans' feelings about the band and into their thoughts about their favorite songs and albums. The album containing songs the fans preferred was the album *1984*, with "Panama" receiving the highest response for a song on any album (41%), followed by "Drop Dead Legs" and "Hot For Teacher" (approximately 35%). "Summer Nights", "Dreams", and "5150" from *5150* were also well received, with each receiving a vote of over 25%. To help understand if a change had occurred that would explain the results, respondents were asked if they thought that Van Halen had changed their direction and/or sound after the *1984* album. Fewer than 40% felt that they had. This reaction is understandable because 1984 was the band's last album before the personnel change that brought Sammy Hagar into the group. However, many felt that the album in which the biggest change occurred was *5150*. This view could be the result of extensive involvement in the songwriting process by Hagar because much of *5150* was composed prior to his joining the band.

A similar thought that a change in writing direction occurred after *Fair Warning* album and after *Diver Down*. Preceded by *Fair Warning,* Diver *Down* contained mostly cover songs, an uncharacteristic trait of earlier Van Halen albums that normally contained only one or two. Though *Diver Down* was the last album in which keyboards were not featured as prominently as in *1984,* few thought that there was no change in direction.

Over half of the respondents felt that no matter what changes occurred after *1984*, the music, though different, had stayed at the same level of *Fair Warning* while 25% felt the change had occurred for the worse. Only 10% thought the change was for the better. Van Halen fans seem to prefer albums recorded with Roth that contained original material. Even though many thought that the direction had changed, these opinions were often based simply on the personnel change and not on a shift in musical direction.

My research proves that there was a gradual change in their harmonic writing, not an abrupt change in style because of a personnel change. The change occurs in what I define as the following three periods in Van Halen's approach to writing, similar to the ones found in classical music: Baroque, Classical, and, and Romantic. What defines these periods is the use of chromatic riffs in earlier periods and slower moving harmonic movement in later ones.

'Baroque' period: songs written for the first album and recorded on albums released during 1978-1986.

The difference between Van Halen and other rock groups of the 1970s, as well as some pop groups, is that its music used instrumental hooks, as well as vocal hooks, in their songs. The instrumental hooks were most common in songs composed before the group signed a recording contract and were among the most memorable parts of their works. As hooks, the riffs in Van Halen's songs created tension from two both harmonic and rhythmic standpoints. Harmonic tension occurs within the relation of the tonal center (tonic) to the rest of the riff. Rhythmic tension occurs when the riffs had more sub–divisions per pulse, which usually occur when the chords change at a quick pace.

This type of tension was similar to that found in the contrapuntal music of the Baroque era with such composers as J.S. Bach and Francis Couperin.

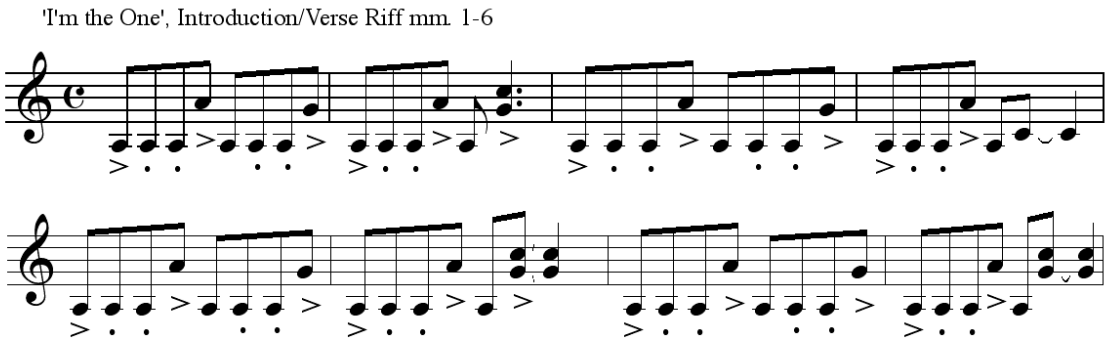
Collectively Van Halen slowly moved away from such flagrant exhibitions of virtuosity on their studio records and adopted less aggressive means such as the acoustic guitar solo "Spanish Fly" (*Van Halen II)* and the subtle use of guitar effects in "Little Guitars" (*Diver Down)*. In later periods, these instances of virtuosity of the solo performer eventually disappeared from their studio albums. Vocal inflections such as a high scream demonstrate an attempt to impress the audience in a similar manner, but the nuances become less frequent in the periods following the group's Baroque period.

As the frequency of recorded solos diminished on their albums, Van Halen's music began to become less based on a riff, referred to hereafter as a riff- based approach and focused more on a vocal melody supported by a more slowly changing harmonic base, referred to hereafter as a vocal-focused approach. Even fast tempo songs would use a single chord over the space of two or more measures and alter the chord by way of occasional suspensions or an added pedal tone. In order to examine the impact of both the riff-based and melodic-based approach, each period of their compositional styles will be divided into separate categories. The style prevalent in the Baroque period involves largely riff-based writing and vocal-focused writing in the Romantic period.

The identifying characteristic of "I'm The One"(*Van Halen)* is the strong triplet feel that is present throughout the song, creating an effect similar to that which Stolba describes as the unity of mood …(as found) in Baroque music…rhythmic patterns heard

at the beginning of a piece are repeated throughout it."[10] Rhythmic patterns of the Baroque style established the character of the piece and lasted throughout it. The eighth notes in this triplet feel are initiated with the guitar in the introduction, with syncopated accents occurring on notes of the A blues scale.

Example 1



Even when harmonic progressions become chromatic, the strong downbeat pulse and triple up beats exist in the drum figures, even though the guitar begins to play chords on the upbeats exclusively.

Some songs use the same rhythmic principle in the harmonic writing by repeating the same riff in either the original key, a transposed version, or a variation on the original during most of the song, as shown in such examples as "Bottoms Up" (*Van Halen II),* and "Take Your Whiskey Home" (*Women and Children First).* "Bottoms Up" starts with a shuffle riff rhythmically similar to "I'm The One", yet it is played is at a slower tempo using the A major and C major chords. After a brief two-measure break in the pre-chorus, a variation one octave higher occurs between A major and G major chords. Any changes in texture during the repeated A major and C major

[10] K. Marie Stobla, *A History of Western Music*, Third Edition. (New York: McGraw-Hill, 1998), 136.

chords in the verse and chorus are caused by the addition of thicker backing vocals. The original riff is transposed to the relative minor F♯ during the solo. This riff is then followed by a dynamically reduced version of the variation in the bridge of the pre-chorus.

"Take Your Whiskey Home" uses a variation on the main riff found in the verse and chorus in other parts of the song that is more appropriate to the instrument it is played on, an acoustic guitar. The same riff transposed up a minor third to the relative minor separates each section's verse and chorus combination before returning to the original key that contains the vocal hook in the last line of the section. The introduction and bridge section occurring after the solo are simplified versions of the main riff that holds on to chords for a longer duration before returning to the main idea.

However, it is the rapid harmonic movement of songs like "On Fire" (*Van Halen)* that are more characteristic of this period because most of these songs do not stay on a single chord for longer than two beats. In this period, Van Halen would often play quick riffs of the single note variety with a couple of full chords added to retain harmonic balance. This effect is heard in the chorus and in the bass line during the guitar solo. Chords are held for a measure before the riff appears again in the verse, but the reoccurrence of this riff indicates that this is the hook of the song. Of a similar nature is "Somebody Get Me a Doctor" (*Van Halen II)*, in which there is a signature riff that acts as the hook in the chorus and introduction and resurfaces after the repetition of two chords into the verse. Though some slower moving chordal patterns are briefly heard in the verses, the riff becomes the unifying element of the song. "DOA" uses the same type

of development, starting with a main riff at the beginning of the song and continuing through the verses and chorus with a short three-chord pre-chorus between each section before resuming the riff. These last three songs contain an identifying characteristic: they do not transpose the riff to a different key.

'Classical' period: The beginning of clear melodic writing on *Van Halen II, Women and Children First,* and *Fair Warning*.

The Classical period in western music was one in which music became simpler and more direct in its appeal to listeners. Donald Jay Grout remarked that it became more "natural in the sense of being free of needless technical complications and capable of immediately pleasing any normally sensitive listener." [11] In other words, the Classical style was stripped down by placing less emphasis on virtuosity and more on what Stolba describes as "clarity, balance and restraint."[12] This change meant that form became more crucial and allowed for clear phrases to dominate the music. These phrases were part of a melodic writing that contained less ornamentation than the Baroque and exhibited more diatonicism than the Romantic period. Harmonic clarity was also an imperative aspect during this period, for this element is the common link between the traditional Classical period and the Classical period in Van Halen's career.

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[11] Donald Jay Grout, *History of Western Music*, Third Edition (New York: Norton, 1980), 207.
[12] Stolba, 361,

The Classical period of Van Halen's career occurred when they began to write more songs using the vocal-based approach, with less frequent harmonic movement. These were the first songs to be written following the band's first world tour and widespread acclaim. Yet, only one song for *Van Halen II* was written after they had recorded their first album. However, to exclusively include *Van Halen II* in the Classical period, as much of it was written earlier, would be misleading. As with any change in musical direction, this change too is gradual. In summary, riff-based writing decreased, but it was not completely eliminated. That Van Halen looked for classic cover songs to add to the number of songs they recorded because these songs used slower harmonic movement should come as a surprise to no one. The ratio of songs characterised by the earlier compositional technique shifted in favour of songs written in the later style, with only four songs being riff-based and ten songs being vocal-focused. One in each category uses what can be described as a hybrid approach by featuring riffs in one portion of the song but less harmonic movement in another. They are categorised below according to which type appears more frequently.

The main difference between the riff-based writing of the Baroque period and the Classical period is that every song of the latter used at least a small percent of vocal-focused writing. This move could be easily interpreted in terms of the band's maturity, yet it can be argued that it was simply a change in taste. New songs that had a preponderance of riff-based writing began to emerge on *Women and Children First*, but by the time the songwriting process had started for the *Women and Children First* album, two years had passed. Two years is a long period of time for a professional rock group to

be away from the writing process. This absence could account for the shift in creative ideas.

Unless the band could remember in what order they had written the songs over twenty years after they made the record, to deduce which of the songs was written first for each album would be virtually impossible without some sort of demo recording as proof. However, from a stylistic standpoint, "Romeo Delight" is included as a Classical era song for the following two reasons: first, the song has a strong Baroque type riff for the introduction and chorus sections; and second, the lyric "I'm taking whiskey to the party tonight and I'm looking for somebody to squeeze" was taken from an older Van Halen song, "Get the Show on the Road."[13] Even though the new Classical approach emerges during the verse in which the guitar incorporates volume swells on chords, to allow more room for the vocals, the brief Baroque lead guitar parts in between each vocal phrase.

A change in style became more apparent to Van Halen fans through the new writing that occurred on the second album. "Dance the Night Away" was the first single from *Van Halen II,* and as mentioned earlier, the only song from that album composed before their first album. Exhibiting strong elements of the Classical style, "Dance the Night Away" highlights vocalist David Lee Roth who sings melodic lines that are based on an E pentatonic scale, a scale familiar from its use in folk music. Stolba has mentioned that the use of elements found in folk songs as essential to the Classical style.[14] The song was composed less than one year after the release of the first album, yet only two of the higher vocal screams common on much of the first album were contained

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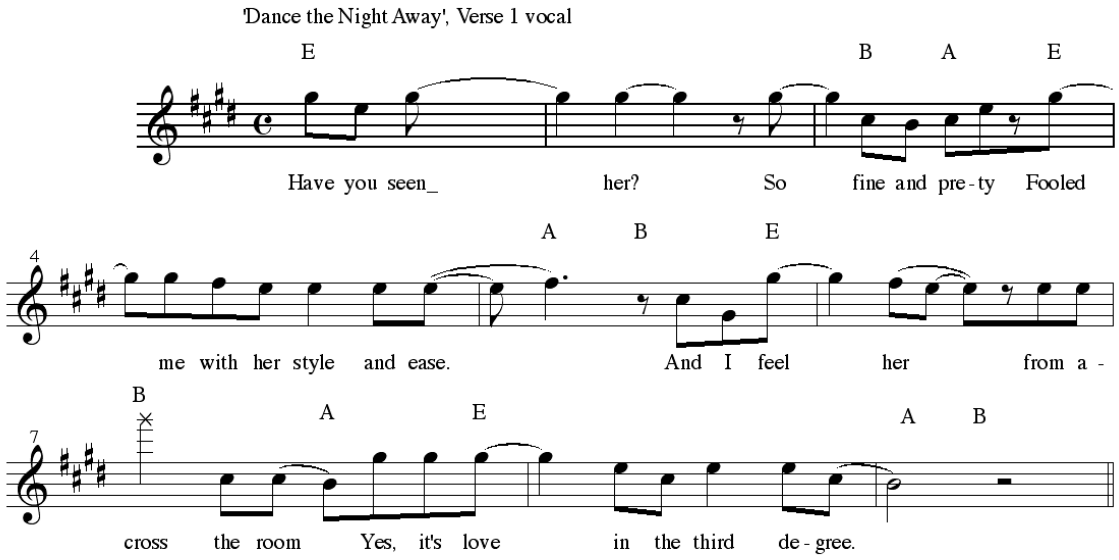
[13] As discovered on a Van Halen demo recording and mentioned in Chilvers, 177.
[14] Stolba, 361.

in this song. They were located in the first pre-chorus and on the first note of the second verse.

Example 2



From a harmonic approach, the elements of Classical writing are obvious: the song is in the key of E major, with the verse and chorus progressions being identical (E–E sus4–B–A, each receives approximately two beats) in a major key. During the pre-chorus section, the song modulates into the relative minor with the use of the dominant of E major as the chord that makes a firm, harmonic transition between the sections. The bridge section focuses on the dominant key. For modulations in the Classic period to move from tonic to either its dominant key (for pieces in a major key) or relative major (for pieces in a minor key) is common.

"And The Cradle Will Rock" was a single from the *Women and Children First* album. In this song the keyboard is played through an electric guitar amp containing

distortion by EVH. Because he had piano training in his youth, he probably wrote the song on that instrument instead of on the guitar. With this information exposed are the following two facts about the analogous period of Classical music should be examined: first, Mozart, considered by many to be the quintessential Classical composer from the period, is EVH's favourite composer; and second, the piano emerged in the late Classical period following improvements to the instrument. In a similar way, the use of the piano emerged in Van Halen's own Classical period. The piano became popular in the Classical period following improvement of the double-escapement action and metal bracing that resulted in a louder and more brilliant tone. Van Halen began to use the keyboard more extensively because of improvements in MIDI and digital synthesis technology.[15] As with other vocal-focused songs in this compositional period, little harmonic movement is found in "And The Cradle Will Rock". The chorus and introduction sections use progressions in the key of A minor of Am–C–Am and Am–C–Dm in the two phrases with a pedal tone of A played by the bass on all chords except the D, where it shifts to a G. Outlining the tonality of the section, the pedal tone gives the music a sense of stability before returning to the verse that contains more active harmonic movement.

The verses shift to a tonal centre of C, the relative major of A minor, similar to modulations of the Classical period. What differs is in the Van Halen example from traditional Classical music period is that uses a different type of major mode

(Mixolydian) with an inclusion of the ♭VII chord. The chord is outside the tonality of traditional Classical period. "Everybody Wants Some" is another song that uses the same slower harmonic movement, yet the tempo of the song is quicker than the two mentioned

[15] Don Michael Randel, *Harvard Concise Dictionary of Music*, (Cambridge, MA: Harvard University Press, 1978.

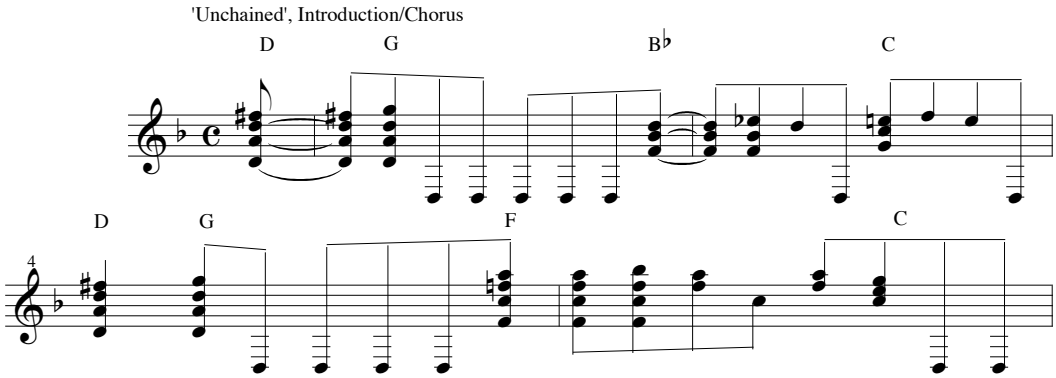
above. The harmonic progression of the chorus, Em–G–D–A, is reminiscent of another guitarist popular in the 1970s, Pete Townsend of the Who. In "Won't Get Fooled Again", the chords move in a slow harmonic rhythm, yet the tempo (and energy) of the song is deliberate in part because of the staccato chords that Townsend plays in a syncopated manner. The only difference between the two progressions is that the E minor chord is omitted from the Who's version. During the chorus, Van Halen's technique is similar to the Who's, but the approach makes the vocal line stand out from the rest of the group. The vocal lines from the verses are expressed in a legato fashion because the guitar plays some brief sound effects over a drone played by the bass guitar using the lowest note on the instrument, E. Even in the bridge, which has few lyrics, the group ignores the opportunity to play a quick harmonic progression and opts instead to build tension by playing eighth notes for two beats per chord, setting up the tension for the next solo guitar section. Ironically, the impression that Van Halen makes is that the group had taken the time to carefully write these parts because of some extraordinary lyrics that Roth had brought to the band. This scenario was not true because Roth "came into he studio on the day of recording with the vocals unprepared, so he just winged it."[16] This is a crucial point because the rest of the band was changing direction in their writing style, but they were not aware of it. Thus, the resulting writing trend became more natural to the group and prepared the audience for the change in writing style that emerged on the *Diver Down* and *1984* albums.

The trend toward less harmonic movement became more prevalent in their fourth album, *Fair Warning,* on which Van Halen began to expand the use of suspended fourth

[16] Chilvers, 74.

chords. The main chord would last for a full measure while notes that were added would displace various voices in the chord. The melodic movement of these additional notes added interest to the song because the harmonies remained stable. The first example of this type of approach in Van Halen's writing was in the chorus of "Unchained". The third of the D major chord is raised a half step to a perfect fourth, creating a suspension. It was then followed by a B♭ major chord and a C major chord, each with its fourth raised in a manner similar to the D chord. The verse used what may be described as older riff-based writing that was based on notes from a blues scale in D.

Example 3



"Sinner's Swing" used a similar approach for contrasting styles of writing in the same song. The verse used a riff-based approach while the bass doubled the guitar lines, but the two-beat pauses that occur after each riff is played allowed the vocals to stand out from the rest of the band. Both the pre-chorus and chorus used slower harmonic rhythm, but rhythmic tension was created by the syncopated rhythms played by the guitarist before contrasting with every eighth notes on the same chord and then moving to a

different chord in the next measure. The inclusion of both types of writing helped mask the band's progression from the Baroque to the Classical style of writing. As a result, many fans to believe incorrectly that Van Halen had little shift in writing direction between the first and second albums.

'Romantic' period: the use of the keyboard affects the songwriting approach on *Diver Down, 1984* and *5150*.

The Art Song (or Lied), a composition for solo voice and piano, was one of the most distinctive forms of the romantic period of western art music. Piano accompaniments were written to provide additional imagery and meaning to the words, while the text often revolved around topics such as love and nature. This type of expression was similar to that found in other disciplines, such as literature, poetry, and visual art. It can be argued hat comparable attitudes affected the way that Van Halen composed music after 1981 though many felt that Van Halen's music changed after vocalist David Lee Roth left the group and was replaced by Sammy Hagar. The change in musical direction was actually taking place while Roth was still in the group.

However, one distinction between Van Halen's Romantic period and the Romantic period of the nineteenth century is that Van Halen was considered a group that fans would consider 'fun', a group opposed to serious matters such as nationalism and exoticism (the inclusion of programme music). EVH incorporated changes in his guitar equipment to make the music sound fresh and interesting, similar to advances in piano and saxophone technology of the 19th century Romantic period. The piano underwent dramatic improvements in the 1820s, such as covering the hammers with felt, the inclusion of a more resilient iron frame, and the development of the upright form of the

instrument.[17] These changes led to its widespread popularity and increased virtuosity. The keyboard instruments in the early 1980s made many strides toward acceptance by keyboardists because of developments in MIDI technology that led to an increase in popularity. EVH took advantage of the developments and began to increase the amount of keyboard used in the new musical direction into which the band was evolving. This increased importance of the keyboard affected the way that Van Halen wrote songs, resulting in a writing approach that incorporates less harmonic movement that reflected EVH's piano abilities. This approach allowed Van Halen to become more expressive with melodies and have a more mature attitude in song topics.

Andrew Blake proposes that the music of younger audiences differs from the music of mature audiences[18]. He explains that differences in text tend to be more serious' or less humorous when geared toward an older audience, and that the tempos are slower than the faster, energetic tempos that younger crowds tend to favor. Similar attitudes can be directed towards the music of Van Halen released after the *Diver Down* album. This album furnishes an example of what Andrew Blake describes as a change of context, a change that sees Van Halen not as young men interested in a non–stop party, but as millionaires who are just going through the motions to sustain the party. Pop artists have always tried to prolong their careers by creating new music, while still relying on the older hits of the past, but in the case of Van Halen, they probably sought to retain the energy of their youthful club days during which they performed cover songs regularly.

Few of the newly composed songs in this period of the group's career contain the same riff-based materials shown in the group's earlier songs. Only one song on the *Diver*

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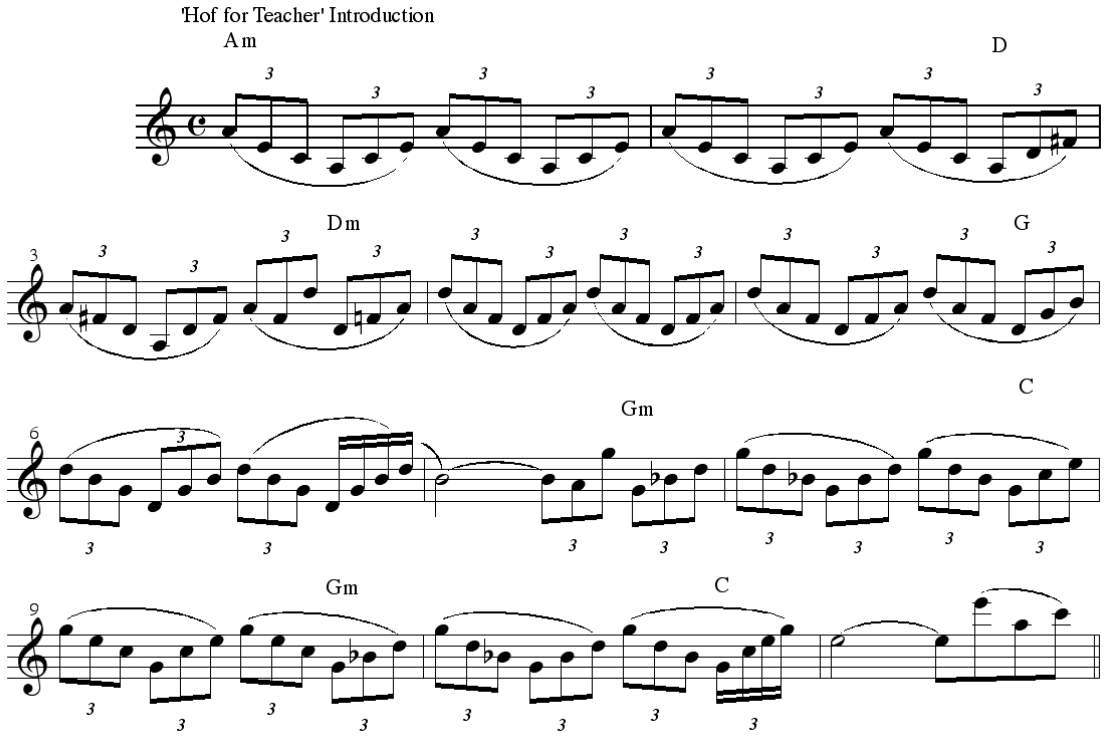
[17] Stolba, 1998, 302.
[18] Blake, 1997, 23.

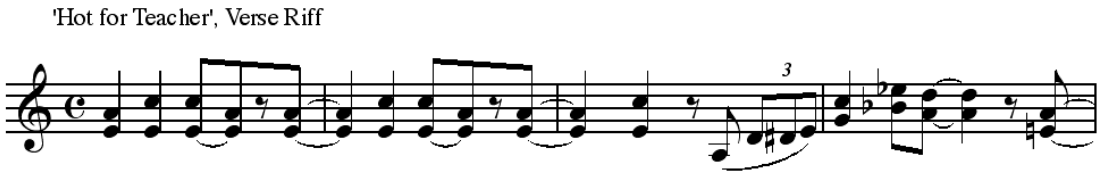
Down album, “The Full Bug”, uses a riff-based approach for the main hook of the song while exhibiting little harmonic movement during the verse and chorus sections. Of the newer songs composed for the *1984* album, only “Hot for Teacher” uses a guitar riff for the unifying element. After a lengthy introduction played on the drums, the riff appears in the song and is followed by a hammer-on sequence that outlines the harmony that was dictated by the interval pattern as played on the guitar.

Example 4

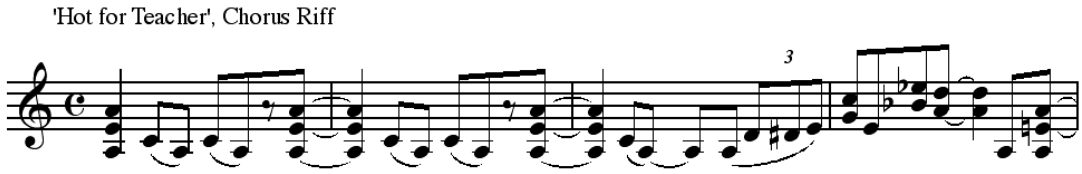


The riff then appears in the verse, and, with the exception of the solo, the sequence is repeated in a variety of dynamics throughout the whole song.

Example 5



Example 6



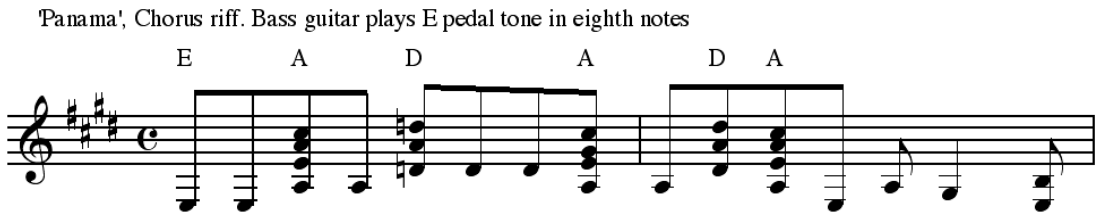
The riff-based approach was adopted on only two songs written after Hagar joined the group: “Get Up” and “Love Walks In” (*5150*). Like “Hot for Teacher,” “Get Up” is an up-tempo song that contains more than one riff played at different dynamics in the song with a change occurring in the bridge section before the solo. “Hot for Teacher” uses harmonic graduations to help build tension and release, but “Get Up” adds extra tension in the verse through the use of syncopated, muted string noise between chords. “Love Walks In” differs from both of these songs because it uses a riff-based approach that is played on the keyboard while the guitar plays eighth notes in unison with the bass. The approach is significant because EVH focuses on the keyboard while composing. The fact that the guitar in this song is a background instrument until the guitar solo emerges is an important point. At the point the guitar solo emerges as the lead instrument, the keyboard is tacit while Van Halen plays a jazz-fusion influenced, highly intervallic melody in unison with the lead vocal. After the guitar solo is finished, the keyboard

returns for the remainder of the song. This song is the only instance in which the keyboard plays a riff that is the main focal point of the song; thus, it is categorized among songs that I have called vocal-focused.

Starting with the release of *Diver Down* in 1982, the vocal-focused approach was predominant on each of the records of this period, though few original compositions appeared on that album. "Secrets" has harmonic progressions in which the basic version of the chords changes less often than a riff-based song. It is the beginning of a new approach in the guitar writing as well because EVH begins to use suspended fourth and second chords more extensively. His use of the fourth and second chords is caused by his keyboard writing, as it is easier to play a suspension on the keyboard than on the guitar. Following a drum introduction, the guitar plays a riff before the first verse of "Little Guitars" as in songs in the earlier writing periods. Then the approach returns to the vocal-focused approach with little harmonic movement. Rhythmic tension is achieved when parts of the chords are played quickly with the fingers of the right hand leaving the basic harmonies unchanged. Without the added rhythmic tension and the inclusion of the second and fourths above the root, the slower harmonic pace would appear too static to the listener.

Comparable approaches were taken on songs written for the *1984* album. Like *Diver Down*'s "Secrets", "Panama" uses suspended chords in the introduction before modulating briefly to the relative minor, followed by the verse with each of the chords encompassing one measure in length. Rhythmic motion is created as the guitarist plays a simple pedal tone on E underneath each chord.

Example 7



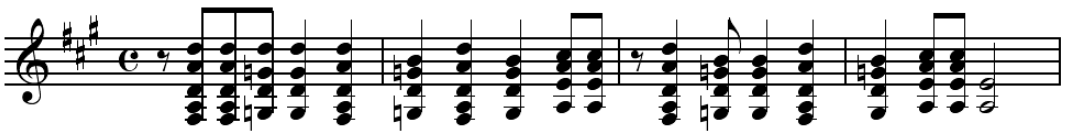
Though chords in the chorus have a busier harmonic rhythm than many other vocal-focused songs, the fact that EVH uses open -fingered chords on the guitar during this section suggests that he is writing in a vocal-focused mode that differs from the repeated riffs seen in earlier years. Like *Diver Down*'s "Little Guitars", EVH creates rhythmic motion in *1984*'s"Top Jimmy" by finger picking the notes of slower moving chord progressions.

Other vocal-focused songs which EVH performed primarily on the guitar during this period include *1984*'s "Drop Dead Legs" and "Girl Gone Bad" and *5150*'s "Good Enough", "Summer Nights", "Best of Both Worlds", "5150" and "Inside". Although "Drop Dead Legs" uses the slower harmonic rhythm consistent with other vocal-focused songs, EVH embellishes the progression by playing staccato arpeggios and short melodies based on the harmonic sequence. In contrast, "Girl Gone Bad" uses suspensions and arpeggios while sustaining each note of the chord until the arrival of the next chord. During the bridge section, a riff-based passage occurs before returning to the chorus progression. "Summer Nights" and "Best of Both Worlds" use chords found in the open position in the Townsend manner of "Everybody Wants Some" from the Classical period but, as noted with "Panama", open-chord voicings have been used for their simplicity by

the singers and songwriter while playing the guitar for decades in rock, folk, and country music.

Example 8

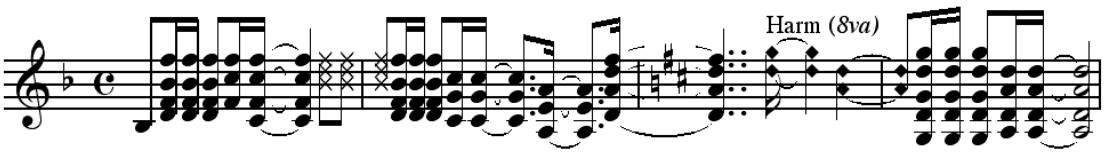
'Best of Both Worlds', use of open chords



In addition, the ringing sonic effect of an open chord on the guitar allows notes to sustain longer than fretted chords. "Summer Nights" uses the fingerpicking approach to playing the arpeggios of the chords during the introduction, similar to "Little Guitars" and "Top Jimmy." What is unusual about the introduction, as noted in a transcription of the song, is EVH's use of a Steinberger guitar with a Trans-Trem tremolo system which enables him to lock the bridge in different positions, transposing the pitches of the open strings[19]. He locks the bridge three semitones higher so that the chords, B♭-F-C, are actually fretted like G-D-A in open position.[20]

Example 9

'Summer Nights', mm. 11-14. Example shows transposition using Trans-Trem



Consistent with the other songs of the vocal-focused approach, chord progressions in

[19] The locking procedure referred to was unique to this system, as the whole guitar could be transposed up or down to the desired key by locking the bridge into a different position.
[20] Stang, 162.

“Good Enough” have less harmonic movement; however, he EVH uses chord voicings found most often in the Classic era in which he plays the voicings for the chords in positions other than the open.

The songs that are most identifiable with this period are those based on the use of a synthesizer. “Jump” was the first single released by Van Halen off the *1984* album. This is important because it shows how the Van Halen approach to songwriting was changing, in part because of the advances in synthesizer and MIDI technology. Because many of the synthesizers of the 1970s were controlled by a series of switches and knobs, a variety of patch cables were required to make the sound pass through one or more oscillator, filter, and/or noise generating circuit. Because of this complex set-up, considerable numbers of pianists were reluctant to embrace the technology, but by the early 1980s, synthesizers such as those manufactured by Yamaha, Oberheim, and Roland, contained the circuits inside the machine itself. Because of digital emulation of the older analogue circuits, changing between different sounds on the newer keyboards, and became a more attractive option for the keyboardist seeking new timbres. A good example of alteration of a keyboard’s timbre in the context of Van Halen occurred when EVH used a keyboard in the 1970s. He distorted its timbre by playing it through a guitar amplifier on “And the Cradle Will Rock”, but he used an unmodified Oberheim for “1984”.

Chord progressions using the keyboard in “Jump”, “I’ll Wait” (*1984*), “Dreams” and “Love Walks In” (*5150*) move more slowly because it is difficult to play faster progressions on the instrument without having the skills of a virtuoso keyboardist. Because EVH was not a virtuoso keyboardist, he began to write many of his

progressions at the speed of his keyboard skills, regardless of whether he was playing the guitar or the keyboard. That his use of the keyboard occurred in the Romantic period, which led to a change in writing style from songs in the Classical period is important to note. The progression from the Baroque writing style to the Romantic was gradual and did not reflect a change in the vocalist.

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PROPOSAL

Hawaii International Conference on Arts and Humanities, 2005

From Velina Hasu Houston, Ph.D.

TITLE

The title of my presentation is "Vision and Paradise: 'The Eyes of Bones'."

ABSTRACT

"The Eyes of Bones" is a contemporary play set in Hawaii that explores the visual power of the islands in the context of a mid-career surgeon who loses her eye sight. The play also examines issues of cultural identity, gender identity, and identity as articulated through career including issues of geographical preferences and the impact on the individual. The play will have a staged reading utilizing local actors. A post-reading discussion will be conducted investigating the themes of visual power in the absence of sight, depression resulting from critical loss, the impact of critical loss on interpersonal communications and relationships, and the fortitude of the human spirit. The playwright will lead the discussion, and integrate audience discourse and inquiries into the exploration. The playwright is the author of "Tea," which was produced at Kumu Kahua and subsequently toured around the islands by the Bishop Museum. "Tea" and other plays by the playwright have been produced extensively throughout the U.S., Japan, Singapore, and Indonesia.

PRESENTATION FORMAT

"Vision and Paradise: 'The Eyes of Bones' shall be a workshop presentation.

TOPIC AREA
The topic area is theater.

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Landscape Options to Reduce Transportation-Related Pollution

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ABSTRACT

There are more cars in the United States than there are licensed drivers. In our haste to travel from here to there we blithely ignore the environmental consequences of our conveyance. The Dwight D. Eisenhower System of Interstate and Defense Highways, an outgrowth of the 1916 Federal Aid Road Act, stretches 66,000 km north-south and east-west across our country. These frequently traveled paths provide a corridor for the dispersion of airborne pollutants. This paper discusses three ways to reduce pollution from vehicles along transportation corridors: reduce emissions of greenhouse gases, increase absorption of CO_2, and capture airborne particulates.

The first approach is to limit vehicle emissions. The US Department of Transportation has considered three types of strategies to reduce carbon emissions from the transportation sector. They were: 1. reduce vehicle miles traveled (VMT), 2. improve fuel economy, and 3. reduce carbon content of emissions. Infrastructure investments in roads and mass transit systems will reduce VMT. Advances in technology are recommended to improve fuel economy and reduce emissions.

Phytoremediation of our transportation corridors can increase absorption of CO_2 through carbon sequestration. Through a process called photosynthesis, carbon dioxide is converted to sugar. Eventually, the sugars form cellulose which is used for all plant structures. For every four pounds of weight in a fresh cut tree, one pound is carbon and two are water. The carbon remains sequestered until the tree decomposes or burns.

Research has also documented the ability of trees to capture and retain airborne particulates on their leaves, trunks and limbs. These sustainable particulate control systems renew and replenish themselves on an annual basis. Some species, such as evergreens, have the ability to capture particulates all year long. When deciduous trees lose their leaves in the fall, their trunk and limbs continue to intercept particles. It is estimated that an individual tree in an urban environment removes a pound of particulates weekly. No other particulate control system can physically accommodate the expanse of the interstate highway system. It is for this reason that we must consider the benefits of planting trees within the highway right-of-way.

Landscape Options to Reduce Transportation-Related Pollution

Since the introduction of the automobile more than a century ago, our most familiar mode of modern transportation has been alternately blessed and cursed. There are currently more than 280 million registered vehicles in the United States. Those of us who live in the suburbs commute across distances which previous generations traversed on holidays or reserved for family emergencies. We generally ignore the impact of our daily commute on regional air quality. Reading the air pollution index, we give thanks that we do not live downtown where, everyone knows, it is worse. As we grill steaks on the patio and inhale the fragrance of fresh cut grass, we conclude that, yes, life is good. Thanks to American ingenuity, our children can breathe cleaner air than we did at their age. Unfortunately, we are behaving like ostriches. Tailpipe emissions of particulates and gases along our transportation corridors are contributing to the problem of global climate change.

According to US Department of Energy published estimates of the global levels of emissions and absorption of common greenhouse gases,[2] annual atmospheric concentrations of Methane (CH_4), Carbon Dioxide (CO_2), and Nitrous Oxide (N_2O) exceeded the absorption capacity of the earth. For example, for CO_2 in 1995, biogenic sources emitted 150,000 mmtCE (million metric tons of carbon equivalent) and anthropogenic sources emitted 7,100 mmtCE. They estimated 154,000 mmtCE were absorbed through natural ecosystems, leaving 3,100-3,500 mmtCE in the atmosphere. The United States contributed approximately 23% of total CO_2.[3] Almost 457.2 mmtCE were attributed to the US transportation sector through the production and consumption of jet fuel, gasoline and diesel fuel.[4]

Reducing Transportation-Related Emissions

Under the direction of Rodney E. Slater, Secretary of Transportation during the Clinton administration, Apogee Research, Inc. prepared a comprehensive review of published research linking transportation issues to Global Climate Change. Although halocarbons, fluorocarbons, and methane are more powerful greenhouse gases, the emission of CO_2 from vehicular sources was the primary focus of the report, *Transportation and Global Climate Change: A Review and Analysis of the Literature*. The consultants considered three types of strategies to reduce carbon emissions from the transportation sector. They were: 1. reduce vehicle miles traveled (VMT), 2. improve fuel economy, and 3. reduce carbon content of emissions.

As shown in Table 1, there are five ways to reduce VMT. The first, Land Use Planning, requires a change in zoning, in effect, to eliminate suburbs. The emphasis of the new zoning is to create densely-populated, pedestrian-friendly, transit-oriented communities. Communities without industry would entice businesses to relocate. Local congestion might increase, but overall commuter miles would decrease.

The second tool to reduce VMT, Parking Management, uses a combination of parking supply and pricing to encourage ride sharing. Many businesses in our older cities understand the relationship between scarce, expensive parking and customers. Some employers offer a parking space as an employee benefit. In congested places like New York City, free parking connotes rank and privilege, whereas amply parking is assumed in most suburban malls.

The third, Travel Pricing, involves a series of tax and fee options including tolls and fuel taxes. Mass transit to metropolitan areas would become more cost effective as more people would be forced to ride. People in areas without mass transit would have to budget more for transportation. The consultants note that this method to reduce VMT is akin to a regressive tax on the poor. They caution that higher gasoline taxes, road tolls

Carbon Emissions Reduction Strategies
Reduce VMT
Land use planning
Mixed-use Zoning
Parking management
Limit availability
Inflate price
Provision of Alternate Modes
Mass transit
Bicycle support facilities
Park and Ride
HOV express lanes
Travel Pricing
Gasoline tax
Usage fees, including tolls
Other
Flextime
Telecommuting
No drive days
Improve Fuel Economy
Change consumer behavior
Limit freeway speed
Gas mileage manual
Usage fees
Vehicle technology improvement
Reduce weight
Reduce tire rolling resistance
Develop electric car
Vehicle replacement program
Alternative Fuels
Research & Development
Alternative fuel vehicle
Tires
Batteries
Fuel cells
Clean coal

Table 1 Strategies to reduce carbon emissions

and vehicle registration fees may result in unintended economic consequences as the cost to bring goods to market increases.

The fourth, Provision of Alternate Routes, includes increasingly expensive infrastructure improvements. Two options, free parking for commuters who take mass

transit and express lanes for people who carpool, entice drivers to reduce VMT. The designation of Park and Ride parking spaces at existing suburban malls can attract commuters from rural areas who wish to avoid driving and parking downtown. Publicly-owned Park and Ride facilities could be built. Improved bus service could result. The cost of building light rail or other type of high speed mass transit makes it an unlikely option for existing metropolitan areas.

High Occupancy Vehicle (HOV) lanes on the freeway are reserved for vehicles with 2 or more occupants. These are generally faster than the other lanes during rush hour. An example is I-24 through Atlanta, GA which was successfully redesigned with HOV lanes prior to the Olympics. Costs include signage and enforcement, additional land acquisition, and access/egress lanes.

Another alternative route is the bicycle path. The term Bicycle Support Facilities refers to designated bicycle paths, storage facilities such as racks and lockers, safety devices such as lighting and lane markers, and amenities like showers, water fountains, and toilets. Many public parks which permit bicycles, contain support facilities. In the United States, most people who ride a bicycle use other modes of transportation during bad weather. Generally speaking, very few people commute more than a mile by bicycle. It would be interesting to determine the relationship between the availability of bike paths and the number of children who walk or bike to school.

The fifth method to reduce VMT concerns the employer-employee relationship, specifically work schedules and meetings. Improvements in digital technology encourage the practice of telecommuting. Rather than schedule a meeting in a conference room, participants agree on a time for a conference call. Each participant can hear and see the others while remaining at the office.

Compressed work hours are a variation of flextime. A good example, the nursing shortage, has led to a number of options. Some nurses work 3 days a week, 12 hours a day, eliminating 2 days of commuting travel. Other employers permit employees to schedule work around core hours of business, perhaps 10 AM to 2 PM, with the requirement to work 40 hours a week. This practice permits commuting during off peak hours, and improves fuel economy, but does not reduce VMT.

The consultant briefly mentioned a radical “no drive day” policy which would prohibit the use of specific vehicles on particular days. The vehicles could be identified, for example, by license plates or by pollution levels. Mexico City, Athens, and Santiago have regional, mandatory, no drive programs. In the United States, no drive programs are usually voluntary.

The second strategy to reduce carbon emissions focuses on methods to improve fuel economy. Benefits accrue as a result of new technology, driver education, and changes in consumer behavior. The Big 3 automakers (Chrysler, Ford, and General Motors) formed the Partnership for a New Generation of Vehicles (PNGV) in 1993 with 7 Federal agencies (Departments of Commerce, Transportation, Energy and Defense, plus the EPA, NASA, and NSF), 19 government laboratories, and 300 suppliers and universities to develop an environmentally-friendly, safe, fuel efficient (80 mpg), affordable family sedan. Some of the new technologies have been introduced to current product lines to improve fuel efficiency. The Department of Defense Advanced Vehicle Program in 1998 formed a similar partnership with manufactures of heavy duty engines for civilian buses and trucks.

Consumer behavior is difficult to change by mandate. Prior to 1974, the national speed limit was 75 mph and most automobiles contained a V-8 engine. Average vehicle speed in many states exceeded 80 mph. In 1974, Congress reduced the national speed limit to 55 mph. In theory, emissions were reduced by almost 20%. In practice, the law was impossible to enforce. In 1993, the average speed on rural highways was 66.9 mph.[5] In1995, that law was repealed and 65 mph became the standard. As more states raise their speed limit above 65 mph, I wonder what the average speed will become.

In 1975, the Energy Policy Conservation Act established Corporate Average Fuel Economy (CAFE) standards for new cars at 14 mpg. That rose to 27.5 mpg in 1985. The 17.2 mpg for light trucks was raised to 20.7 mpg in 1997.[6] Tire manufacturers developed tires with reduced rolling resistance. Automobile manufacturers responded by streamlining the vehicle aerodynamic profile, by reducing vehicle weight through the use of plastics and composite materials, and by incorporating new fuel systems. In the past 30 years, 4 cylinder and 6 cylinder vehicles have been introduced. The latest technology integrates an electric drive train with the traditional internal combustion engine drive train on some models. Customers have been educated about the relationship between fuel economy, engine size, and vehicle speed. Window stickers showing estimated fuel economy are posted on every new car and light duty truck. Insurance rates have been adjusted for vehicle engine size. Yet, 41% of new vehicle purchases in 1997 were light duty trucks, up from 17% in 1972.[7] Is the demand for new trucks a result of a fashion trend or is it driven by the price of new cars?

According to the US DOE, the average life of an automobile is 14 years.[8] The consultants proposed various tax and fee-generating schemes to encourage the replacement of older vehicles. Congress, for example, inserted in the 2003 tax code a tax credit for the purchase of new technology vehicles such as the hybrid-electric Prius. The suggestion to link vehicle registration fees to estimated vehicle fuel efficiency has not been widely adopted. A potentially popular program mentioned in the 1990 Clean Air Act Amendments proposed the establishment of voluntary vehicle retirement incentives to help urban areas comply with national ambient air quality standards.

The final strategy mentioned in the report is centered on the development of alternative fuels and innovative power systems for transportation applications. The US Advanced Battery Consortium (USABC) composed of the Big 3, the US DOE, 5 major electric utilities, and the Electric Power Research Institute, formed in 1991, has developed a battery for the electric car. Obviously, batteries have to be recharged. The common power grid already contains energy from solar, nuclear, hydroelectric and wind sources. More recent research and development efforts have attempted to reduce the greenhouse gas emissions from reduced carbon fuels such as ethanol, compressed natural gas, and liquid petroleum gas. Clean coal technology was endorsed during President Bush's May 4, 2004 visit to Cincinnati Gardens and he reaffirmed his support for hydrogen-based fuel cells last January in his State of the Union Address.

Phytoremediation of Transportation Emissions

As comprehensive as the US DOT report summarized above attempted to be, there is one strategy which was totally ignored: Phytoremediation. Greenhouse gases are absorbed through natural systems such as oceans and forests. Life on earth depends on the carbon cycle. Carbon dioxide is removed from the atmosphere during the process

known as photosynthesis. Plants use energy from the sun to convert CO_2 and other nutrients into plant biomass.

Carbon dioxide is absorbed at biological receptor sites within the air cavity. Water and CO2 are then converted into carbohydrates. These travel to the cells where they are processed further. Not all plants process CO2 with the same efficiency, as is evidenced by the amount of water various species require for their chemical reactions. Highly efficient species can in fact drown. Soluble alkaline metals including Ca, K, Na, and Mg combine with H+ (Hydrogen) and the highly reactive halogens such as C (Carbon), O (Oxygen), N (Nitrogen) Si (Silicon), S (Sulfur), P (Phosphorus) and CL (Chlorine) within the plant cell. Aided by mitochondria, these elements are converted into energy within the cytoplasm. The chemical energy from carbon compounds is transformed into adenosine triphosphate. This three-step process is called respiration, Chloroplasts within the cell also convert sunlight into energy. The cell wall itself is active in the nutrient cycle. The fibers, mostly cellulose, transport, absorb and secrete nutrients and waste products.

Table 2 contains a list of essential elements and their bio-available form. Chemical analyses of roadside soils reveal the presence of these and other compounds. Microorganisms which exist in the soil, on plant surfaces, and in the air, process compounds containing these substances and excrete the ions. The field of air pollution is just now discovering the exciting possibilities for research into this area. Bio-available nutrients travel through the plant circulation system obeying the laws of chemical kinetics, using sunlight as their primary energy source.

Plant Nutrients and Functions

Essential Elements	Bio-available Form	*Concentration mmol/kg	
Hydrogen	H_2O	60000.000	universal organic molecule
Carbon	CO_2	40000.000	universal organic molecule
Oxygen	O_2, CO_2	30000.000	universal organic molecule
Nitrogen	NO_3^-, NH_4^+	1000.000	macromolecules
Potassium	K^+	250.000	transpiration, respiration, osmotic potential
Calcium	Ca^{2+}	125.000	cell division, cell adhesion, enzymes
Magnesium	Mg^{2+}	80.000	chlorophyl, photosynthetic carbon fixation
Phosphorous	HPO_4^-, HPO_4^{2-}	60.000	metabolism
Sulfur	SO_4^{2-}	30.000	protiens, vitamins, coenzymes
Micronutrients			
Chlorine	Cl^-	3.000	cell division, electrical neutrality, photosynthesis
Boron	BO_3^{3-}	2.000	cell division, cell wall
Iron	Fe^{2+}, Fe^{3+}	2.000	chlorophyl, electron transfer reactions
Manganese	Mn^{2+}	1.000	enzyme cofactor, carbon respiration
Zinc	Zn^{2+}	0.300	metabolism
Copper	Cu^{2+}	0.100	oxidative enzymes
Nickel	Ni^{2-}	0.050	seed germination
Molybdenum	Mo_4^{2-}	0.001	nitrogen metabolism

Beneficial Elements for some species	
Sodium	used for C4 photosynthesis
Silicon	as SiO_2 for grass blade strength
Cobalt	legumes for nitrogen fixing
Selenium	legume genus *Astragalus*

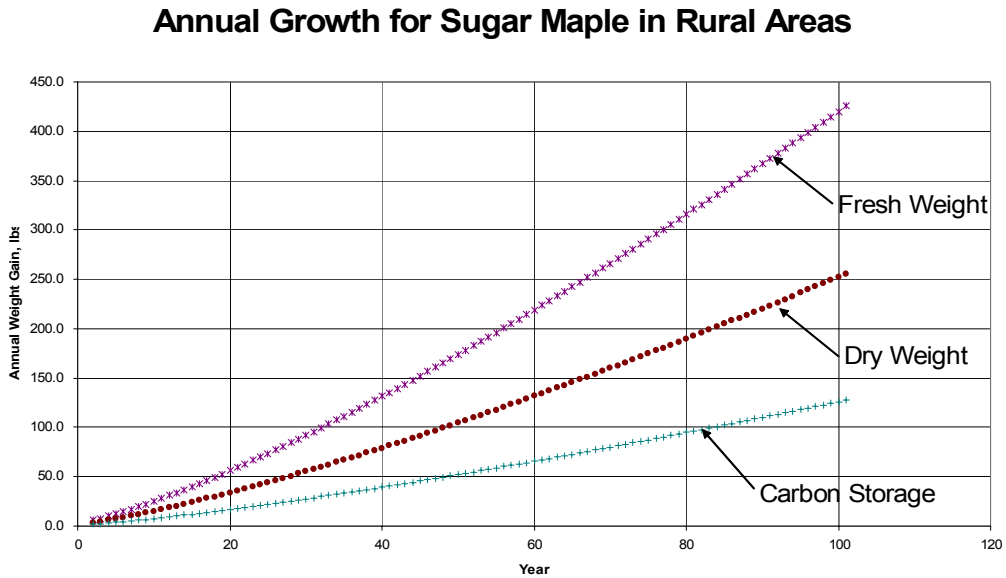
* as measured in dry plant material

Table 2 Plant Nutrients and Functions

One of the most effective means to reduce atmospheric CO_2 is to plant trees. In fact, the practice of converting forests to pastures has been widely criticized. In Brazil, an experiment was conducted to compare the amount of CO_2 released by grasses planted on recently cleared forest lands with the respiration of CO_2 from standing forests. (Ometto et al) The team attributed the respiration of CO_2 by the forest canopy to the metabolism of carbohydrates. Two species of pasture groundcover were studied. Undergrowth exposed by clear cutting is primarily composed of C-3 plants. Typical grasses (Brachiaria spp.) which process CO_2 around the clock are C-4 plants. The rate of respiration of CO_2 was higher for pastures planted with grass than for the forest canopy by 10 parts Carbon13 per thousand parts air.[9] This study confirms the hypothesis that trees are more efficient in removing CO_2 from the air than are grasses. Trees are therefore preferred for carbon sequestration.

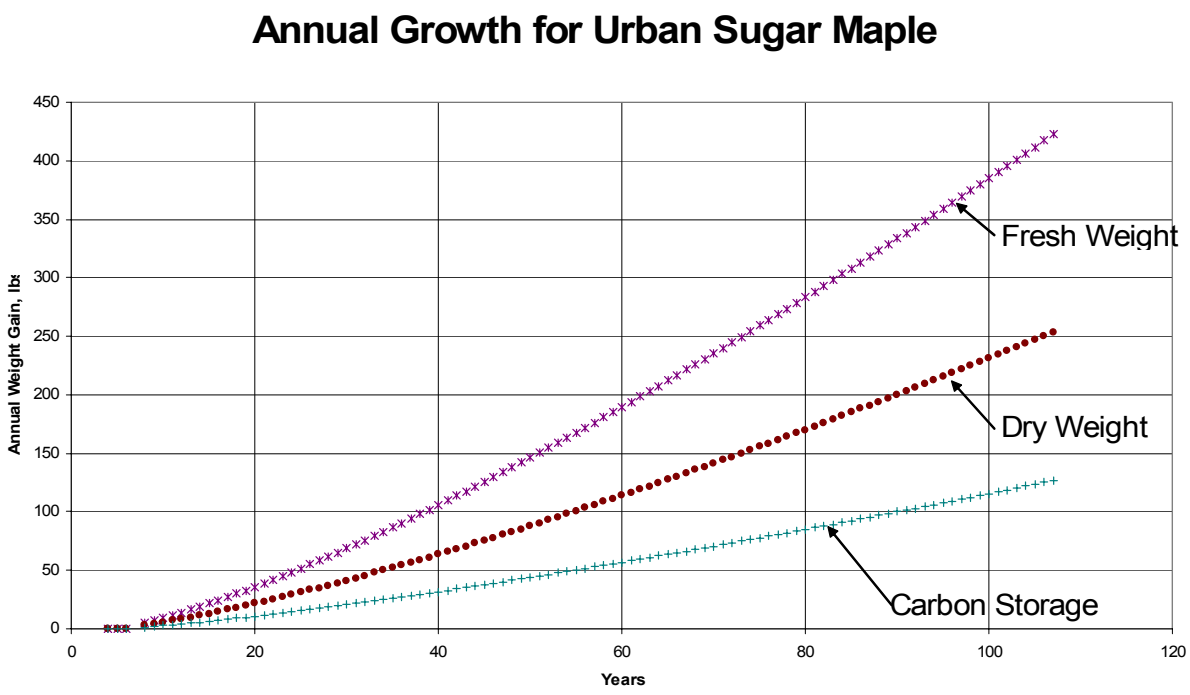
Carbon Sequestration

How much carbon does a tree sequester annually? The answer depends on many factors. Some of those are: the type of tree, air quality, the weather, cloud cover, and location on the earth. Dave Nowak at the US Forestry Service has developed growth models for Sugar Maple and White Pine in the United States. The model assumes an annual increase in diameter. As tree diameter increases, the amount of carbon also increases.



- Developed by Dave Nowak, USDA Forestry Service
- Biomass formula from Wenger K.F. (ed.) 1984. *Forestry Handbook*. John Wiley and Sons, New York. p.1335.
- Relationships established between tree growth, biomass accumulation, and carbon content of biomass
- Assumptions:
  - Annual increase in tree diameter $\Delta d = 0.33$ in/yr.
  - Carbon storage $\simeq$ 50% dry weight storage, all types

  How much Carbon is there in a 20 year old tree?
  Sugar Maple, Rural = 186 lb.
  White Pine, Rural = 120 lb.
- Relationship between tree growth, biomass accumulation, and carbon content of biomass:
  - Fresh weight storage, sugar maple, rural= exp(1.9406+2.3067(ln d))
  - Dry weight storage, sugar maple, rural = 60% fresh weight
  - Carbon storage $\simeq$ 50% dry weight storage, all types



Urban tree growth = 80% Rural tree growth

Research sponsored by the US Department of Energy and the US Environmental Protection Agency supports the hypothesis that growing trees in urban areas can improve

the air quality for residents.[10] The research studied aspects of trees specifically for their ability to reduce building energy consumption. The first is shade, the second is wind shielding, and the third is evaporative cooling. Homes in older neighborhoods are valued for their old, tall trees. Everyone knows it is cooler under a shade tree on a hot summer day. When the winter winds blow, the branches slow the breeze. This reduces the amount of heat lost through the walls and roof. As trees process CO_2 in the presence of sunlight, oxygen (O_2) and water (H_2O) are released into the air. The temperature of the air drops as this water evaporates. Each of these characteristics of trees improves the microclimate in the vicinity of the tree itself. The same benefits accrue when trees are planted near roads, parking lots, sidewalks, and driveways. Since trees counteract the heat island effect, the potential benefits are greater in metropolitan areas where large spaces have been denuded of vegetation. Costs associated with tree planting and maintenance are offset by the reduction in heating and air-conditioning expense. More trees means fewer power plants and less atmospheric CO_2.

Applying the results of this research to transportation corridors, it is easy to imagine the benefits. Trees planted on the south and west sides of the road may shade portions of the pavement from blistering summer heat, thereby slowing the release of volatile organic compounds in asphalt wearing surfaces. Cooler temperatures attributed to transpiration and shade may result in reduced use of air conditioning in vehicles. Trees planted on the east and west may reduce the number of dawn/dusk accidents caused by glare. Each of these benefits should be verified in the field.

One of the immediate benefits of planting trees is the reduction in highway maintenance costs. A portion of I-71 in Cincinnati was planted in Locust trees in 1986. Volunteers provided the manpower. ODOT provided the trees and fertilizer. Locust trees were selected because they are native to the region and can survive in poor soils. The project won an award for highway beautification. The project saved $500.00/acre/year in mowing costs in 1986 dollars.

The Dwight D. Eisenhower System of Interstate and Defense Highways, an outgrowth of the 1916 Federal Aid Road Act, stretches 66,000 km north-south and east-west across our country. State divided highways include another 70,000 km. Each road has 2 shoulders. Some have wide median strips. Most rural roads have a right-of-way in excess of the 10+ meters reserved for out-of-control vehicles. Safety considerations for vehicles entering the highway and for shape turns may prohibit the planting of trees along some stretches of the road. Landscape architects allow 10 meters on-center for mature hardwoods. Some growers plant seedlings 1.3 meters on center and thin as required. For the purposes of this exercise, assume 20-year old Sugar Maples growing 10 meters on center at the edge of the right-of-way on one side of the road. Assume urban conditions apply for growth rate.

The amount of carbon sequestered in the trees after 20 years:

[(136,000km road)*(1000m/km)/(10 km/tree)]*(186 lbC/tree)*(0.80)*(.454 kg/lb)=

13,600,000 trees

0.92 mmt CE

Nowak's tree growth model predicts that each of those trees will sequester an additional 19.6 lb the next year. These trees sequester an additional 0.12 mmt CE their twenty-first year at zero additional cost. No other pollution control device is as cost effective as trees for carbon sequestration.

Particulate Control

Tree leaves and needles are effective mechanisms for the removal of greenhouse gases such as CO_2 through the process known as photosynthesis. During a second process called transpiration, the water taken by the roots from the ground is released through the stomata in the leaf tissue. This moisture can impact dust particles, causing them to stick to the external tissues of the plant. In the presence of sunlight, at specific temperatures, the moisture reacts with liquid droplets to form other compounds which can, in some instances, be harmful to plant tissue. Moisture in the air itself condenses onto tree surfaces at the dewpoint. Through evaporation, larger particles remain behind until they are washed off by rain. In the same way that particulates clog the pores of our skin, trapped solids occasionally block the stoma openings. The plant may surround the offending particle with tissue, called a callous, or it can direct internal fluids to the site in an effort to flush the pore. In the autumn, the falling leaves return their trapped nutrients to the soil.

Research on particle deposition has included several field studies. Beckett cited work completed by McPherson, et al in 1994 that claimed 234 tons of particulates were removed annually by trees in Chicago. Two types of trees studied at The Level in Brighton, England. Estimates of total load per tree were based on measurements of total foliar area made with the Li-Cor Nebraska LAI-2000. The Lime tree (Tilia europaea L.) carried 4 times as much particle load (166.4 g) as the Plane (Platanus hispanica Muenchh.) tree (43.1 g, avg.). The number and size of stomata and the roughness of the leaves contribute to the amount of particles captured and retained. Additional research is needed to predict the annual tree load for particulates. A conservative number would allow 0.5 kg/week/20-year old tree. Using the 13,600,000 Sugar Maple trees planted along the highway for the above example, and a 30 week growing season, 0.2 mmt Particulates annually.

Conclusion

The United States Department of Transportation is committed to reducing carbon emissions from transportation related sources. Multiple strategies focused on changing behavior through negative reinforcement are doomed to failure because of inconsistent enforcement. There will always be speeders who never get caught. Strategies which increase the cost of driving carry a negative political consequence and unfairly burden the poor. Incentives work as long as attractive incentives are offered. The best hope for reducing carbon emissions from mobile sources lies in new technology.

The contribution of trees to cleaner air cannot be disregarded; however, no one would ever suggest that trees replace commercial scrubbers for industrial applications. The loading per tree seems insignificant when compared to those devices. Yet, the total benefit package, including their ability to sequester carbon and capture particulates, makes a favorable argument for planting trees along urban and rural transportation corridors. Trees can be used effectively to mitigate emissions from mobile sources.

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Paper: *Paul Hindemith's First Piano Sonata and its poetic and cultural context. A study in "narrative" analysis.*

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Abstract

Paul Hindemith's personality as an artist in a changing social, cultural and political environment is reflected in a very individual approach to aesthetic, structural, and theoretical concepts of music. Hindemith functioned as the prophet of radical modernism after World War I, whereas after World War II he became a paradigm of conservative dogmatism. Since the study of these issues of changing attitude is a matter of historiography, one also has to consider analytical aspects of his musical language as a dialectic reflection upon biography, general art and literature.

Hindemith's compositional theory and practice are repeatedly concerned with the problem of consistent musical form versus free poetic structure. In his first Piano Sonata (1936) Hindemith links a poem by Friedrich Hölderlin to different structural and formal layers of the composition. The formal structure and the semantic substance of the poem interact as creative forces in order to shape a composition that follows unique formal and structural procedures while retaining a traditional genre (sonata as single movement and as multi-movement form). Behind these mere structural aspects an autobiographical narrative can be uncovered. It relates Hindemith's situation as a banned composer in Nazi Germany to Hölderlin's poem that metaphorically describes the destruction and recovery of human culture.

It is the purpose of this paper to unleash the different interacting layers of structural, poetic, contextual and autobiographical meaning related to this Sonata and to other works by Hindemith in the 1930's as paradigms of "political" statements in musical modernism.

Constructing the nation – Germany and Germanness in selected post-unification fiction and film

by

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Research paper proposal
for the

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Topic Areas: German Studies / Literature / Film

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Constructing the nation – Germany and Germanness in selected post-unification fiction and films

Corinna J. Heipcke

In this paper I will be looking into post-unification representations of German national identity in film and narrative and question their political implications.

German Reunification in 1990 has – of course – given rise to the question what 'Germany' will mean and what it will mean to be 'German'. Investigating narrative and theoretical attempts to create the 'new Germany' and its inhabitants, I establish myths, images, and concepts that form part of the 'archive' from which constructions of German identity derive their material.

After the government's decision for Berlin as capital of the unified Federal Republic (*Bundesrepublik*), the newly established country became soon labelled the 'Berlin Republic' (*Berliner Republik*). Sociologist Heinz Bude even invented the 'Generation Berlin', an elite of 30something year old "entrepreneurial individuals" who would eventually influence politics by their pragmatism and engagement, characteristics that Bude considers to be effects of a marked departure from post-war Germanness. While the elder generation allegedly confronts Germany's warped past with a feeling of uneasiness, the 30somethings, Bude argues, deal with the past but are not marked by it.
Cinematic and prose representations of young Germans often display a similar desire for difference from the elder generation(s): Ada and Katharina for instance, the protagonists of Tanja Dückers' novel *Spielzone*, both scorn the elder generation's political activities such as protest marches and manifestations of what they consider to be an institutionalised culture of remembrance.

Such cultural products – protagonists from books, inventions of German youth by a sociologist – , I argue, combine to a myth of 'the happy young'.

Another way of exiting Germany's troubled past is reflected in what I call the 'Weimar myth', Weimar being considered – as Thomas Elsässer puts it – "a brand-name for a better Germany." (12) In contemporary cultural productions from Germany, this is reflected by a tendency to resume aesthetic traditions and stories that belong in the pre-fascist Weimar Republic. Films such as Thomas Schadt's *Berlin Symphony* (*Berlin: Sinfonie einer Großstadt, 2002*) clearly derive their inspiration from Weimar era products such as Walter Ruttmann's much acclaimed film *Berlin: The Symphony of the City* (*Berlin: Die Sinfonie der Großstadt,* 1927).

Both these myths – the myth of the 'happy young' and the 'Weimar myth' – provide (emergency ?) exits from history. While the myth of the 'happy young' lets us forget the feelings of guilt and responsibility that have haunted Germans ever since the end of World War II, the 'Weimar myth' – as Evelyn Preuss argues – collapses the present and the past by making contemporary German cultural productions look curiously similar to the ones from the 'roaring twenties', as if the time in between – 1933-1945 and 1945-1989 – had not happened.

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Running Head: GERMAN AMERICAN WAR STORIES

Accounting for Germany's Past from Afar:

Intergenerational War Narratives of German Americans

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Abstract

The focus of this investigation is the symbolic content of war stories told by Germans who immigrated to the United States (circa World War II) to their American-born children. The data consist of 12 unstructured in-depth interviews with this first generation of German Americans. Drawing on rhetorical analytical methodologies, the study identifies five distinct accounting strategies that are embedded in these intergenerational war narratives. These are employed by the immigrant families to deal with a conflicting German identity and moral emotions such as shame and guilt. Three of them focus on the German parents' limited degree of agency in regard to war cruelties, a fourth revolves around a positive redefinition of German ethnic identity, and a fifth type protects the interviewees by reframing the very act of inquiring about their parents' past as morally questionable. By comparing the identity-protective strategies of the respondents and their parents when dealing with the German past to the coping mechanisms of German generations in Germany, the project is able to draw significant parallels to a large body of research focusing on German *Vergangenheitsbewältigung* while illuminating the specific situation of German identity in the context of American Diaspora.

German public discourse has undergone several stages in the process of *Vergangenheitsbewältigung* (coping with Germany's role in World War II), moving from systematic avoidance in the 1950s and 60s to an increasingly critical interaction with the past that still persists (Wilkinson, 1985; Jarausch & Geyer, 2003). Mitscherlich and Mitscherlich (1967) concluded that Germany's initial lack of critical engagement was caused by overwhelming moral emotions, such as shame and guilt. They discovered that in the early stage of coping, Germans typically engaged in denial and systematic repression of memories about World War II cruelties (cf. Heimannsberg & Schmidt, 1993). This silence, however, has been superseded by public discourse that is dealing more openly with the complicated "link between the suffering of victims and perpetrators" (Jarausch & Geyer, 2003, p. 335). The heightened level of engagement attests, as noted by Moeller (2001), to Germans' ongoing struggle with their conflicting ethnic identity.

This shift in reconciliation strategies has been documented in a number of studies exclusively focusing on Germans living in Germany. Author Ursula Hegi's (1997) oral history of the war recollections of 14 German immigrants in America offered a literary investigation of diasporic German discourse, but there is no systematic rhetorical analysis of the accounting strategies embedded in intergenerational war narratives. Hegi (1997) notes the occurrence of avoidance and denial, which indicates that the immigrant families might be largely locked into a stage of symbolic coping similar to the early phase of *Vergangenheitsbewältigung* in the nation of Germany, but a more rigorous investigation is necessary for more reliable conclusions.

Therefore, this study identifies the accounting strategies of German immigrants by examining the war stories they told to their American-born children. Based on twelve recent interviews with the daughters and sons of nine immigrant families, I have identified five distinct accounting strategies. The respondents have at least one native German parent who came to the United States no later than 1955 and was born in 1930 or before. The first three strategies focus on the immigrant parents' limited degree of agency in regard to war cruelties by presenting them as agents in non-identity-threatening situations exclusively, identifying only external sources for war cruelties or omitting them altogether, and by focusing on the victimization of the German people as opposed to their role as perpetrators. A fourth strategy revolves around a positive redefinition of German ethnic identity and Germany as a nation. While these first four categories of accounts mainly serve to deflect threats to parents' identity, the fifth type is used by the responding children to protect themselves by reframing the very act of inquiring what the German parents did in the war as morally questionable.

"He never felt he was very political at all"

Three key characteristics of the data emerged already in the interviewing phase of the project that are of significance for all accounting strategies identified. First, German identity was found to be expressed very faintly among the children generation, which means that the answers of respondents to questions tapping into their identification with German ethnicity suggested that they typically felt quite detached from it. Second, a tendency to "taboo-ize" the German past within the discourse of the family was noticeable, which corresponds to the silencing observed in the Republic of

Germany. Third, the respondents themselves were generally reluctant to ask their parents about their past in addition to their parents' silence. Repeatedly, respondents suggested that their parents and they themselves were facing discrimination based on their German ethnicity and described their parents' decisions to stop speaking German in their homes within only a few years after their immigration date.

This discrimination was based on the immigrants' involuntary association with the problematic German past and can be viewed as ethnic identity threats. Accounting behaviors, such as denying, apologizing, excusing, and justifying, have been detected in people who seek to protect their integrity from such threats (Sheer & Weigold, 1995). Research done by Tangney (1991) confirms that avoidance and externalization, forms of denial and excuse, are potential strategies by people dealing with moral emotions such as shame and guilt. Both generations collaborated in the rhetorical task of reconciling their family's personal past with Third Reich history, and the interviews often featured a combination and variation of accounting behaviors.

The first strategy described here, the manipulation of parents' agency as dependent on the situation and type of their actions, was an attempt to deflect potential responsibility for and resulting feelings of guilt about war atrocities committed by Germans. Thus, respondents typically presented their parents as apolitical. An assumption was shared that responsibility seemed to either stem from having committed such atrocities or having had knowledge of them. As it was inherently difficult to purify the parents' potential "guilt record" by pointing out that they had not known about atrocities being committed, it seemed to be vital to pronounce the lack of choice to act parents faced. There was a clear correlation in the interviews between the

degree of agency with which parents were depicted, and the context of their actions. In general, parents were identified as agents that acted as purposive, rounded characters within the private sphere of their homes and families, but the level of agency with which they were depicted went down considerably when the scene or act was potentially problematic.

Scenes proving most difficult to account for were usually found on the war battle field or other public areas in which it was more likely to be confronted with Nazi deeds and ideology. Similarly, problematic acts were mostly connected with the deportation of Jews and Catholics. Narrators appeared to subconsciously evaluate the action and its setting before they determined who or what would fill the agent role. Many respondents recalled that in their parents' villages, people "were disappearing." The problematic act of deportation, which intruded into the personal lives of the parents, needed to be disarmed rhetorically in order to not threaten the identity of the parents. A comparison of the agent role of Paul's[1] mother and her relatives in the two following excerpts indicates that while she seemed "in charge" of the action in the first situation, she did not appear in the problematic parts of the second scene and act other than an external narrator:

> She and her sister snuck out in the middle of the night, because they did not want to get spotted by soldiers, and found this cow which had been starting to decay already. And they took some of the meat, because during the time, they didn't have a lot of meat, so this was an opportunity to get some. So they got some of the meat and again, snuck back home and talked about what they should do to preserve it.

[1] All names of respondents have been changed.

> She went to a Catholic school. And there was a priest there, and she talked about how strict the priest was and that he hit them on the fingers with a ruler. She was also talking about the priest getting into trouble with the authorities. It had to do with something against the Nazis. Or he was teaching something he was not supposed to be teaching. I think she said that one time he was just gone and they think that they came and got him and took him away. He was suddenly not there anymore and was not likely to have said good-bye. One day he was there, one day, he wasn't.

The actual occurrences that were described in these two stories were obviously not equally dangerous for his mother when she experienced them. The first one was a situation in which she could have easily been punished for doing something illegal, whereas in the second one, she was merely noticing that somebody else, who had victimized herself before, had disappeared. Interestingly enough, the threat to identity constituted by telling the two stories is reversed. So the act of stealing the cadaver became in hindsight an act of bravery while the act of witnessing a person's disappearance becomes so conflicting that the mother's agent role needed to be downplayed as thoroughly as possible.

This general tendency of respondents to engage in an event-dependent manipulation of their parents' levels of agency helped to take the focus away from their parents' action or lack of action and was therefore an effective means to cope with their guilt-shame about the acts of cruelty committed by Germans. While initial readings of the data only provided a "hunch" for looking at the varying degrees to which the parents functioned as agents, a systematic analysis of these nuances helped to collect solid, consistent evidence across all interviews for the dependence of the parents' agent roles on the context and the type of the action described.

Even though some of the respondents' parents may have been witnesses of highly political acts such as the deportation of Jews, the collected stories concentrated on their personal lives, and their children had no clear sense of where their parents stood ideologically. The parents seemed to avoid identifying their attitude about the Nazi regime. In Katherine's family, it was the father who felt apolitical as a soldier:

> He just got drafted and he never felt he was very political at all. He really didn't have much opinion one way or another about the war, but he was drafted, so his idea was just to survive the war and try to stay as low-key as possible.

Theresa also pointed out that while stories of personal experiences seemed acceptable to her parents, they seldom commented on their attitudes towards the regime. "When we talked about the war, it was always about how they were affected by it, we actually never talked about the Nazi or Jew issue," she remembered. Jürgen also noted that his father never expressed his opinions about the Third Reich in front of his family, even though he had several friends with whom he discussed the issues.

"It was this maniac Hitler and his cohorts"

In addition to stressing parents' political detachment, respondents employed another strategy useful for reducing parents' levels of agency in problematic scenes when they identified somebody else as carrying out questionable actions. Scapegoating functions a purification strategy to rid oneself of feelings of guilt. It is convenient in two respects, because it shifts action away from the parents and it provides an alternative agent onto which the corresponding guilt can be transferred. Scapegoats are also the perpetrators that might become necessary in a theme of victimization, which will be

described later. The tendency of parents to identify scapegoats was documented in their war stories, but it was also visible when children addressed their parents' prejudices and stereotypes. As scapegoating is a strategy that often is easily identified as a measure of repressing intrapsychic identity conflicts, several of the children expressed some kind of disagreement with their parents' tendency to determine scapegoats. But they generally supported their parents' depiction of villains when they occurred in the war stories instead of in utterances of ethnic prejudices, and many different groups of scapegoats emerged. Respondents identified the Germans, the Americans, the Slovakians, the Polish, the French, and in particular the Russians as scapegoats.

Sometimes, it did not even matter who the scapegoats really were ("the soldiers"), as long as it was made clear that "they" were the perpetrators while at the same time the parents were not. Here are two example of how such a scapegoating story could restore victimhood (Zachary) and a sense of agency (Warren) to the family of Warren and Zachary, with Zachary's story first:

> They loaded them all up on the truck, and they were going through the neighborhood picking up all the men. So they got on the truck, they drove out into the country, and something happened to one of the trucks in the caravan and they stopped. My mom and her whole family got out and ran to a hay barn, and they hid underneath the hay. And the soldiers came in with the bayonets and started ramming it into the hay and didn't find anybody, and then another soldier whistled for them to come, and so they left them in the barn.
>
> I can't remember if they were hiding from the Russians or the Germans, because the Russians were there. And I don't know why they would hide from the Germans because they were just German refugees. But they were hiding in the woods, and there was a column of soldiers going down the road, and they slept

> outside that night because the Germans or the soldiers, whoever they were, were all over. I am pretty sure it must have been the Russians, because mom was saying that they would shoot people. So it must have been the Russians because I can't imagine why the German soldiers would shoot German citizens. So their whole family was hiding. They were able to find a barn that they hid in. She said they were all praying like crazy that they will not be found, and the soldiers looked all around and didn't find them.

Jürgen's account exemplified that the children seemed to generally agree with their parents on the notion of the Russians as perpetrators when he said that "the Russians took everything, and we saw that when we were there." But Robert evaluated his family's prejudices against Slovakians critically and called his grandmother's "hatred towards the Russians" just "insane." Tony described his parents' prejudice against the Polish without realizing that he had adopted their discriminatory vocabulary:

> They can't keep holding up their hatred against Polaks. I don't know that there is a reason why I should be hating the Polaks. I have never understood why there are Polak jokes. There are a few things my parents have told me over the years. To me, not having experienced or been exposed to them, it doesn't make sense. My mother just talks about East Prussia and how she hates the Polaks, that's all she says. That's all she talks about. And even that doesn't make any sense. It really doesn't.

A majority of respondents created a powerful, universal scapegoat by depicting Hitler as the "master" agent. Wilkinson (1985) detected a similar tendency in the public discourse in post-war Germany, and notes that "the dictator's formal powers, which far exceeded his ability to control men and events in practice, were invoked time and again to absolve his subordinates from responsibility" (p. 336). The agency analysis showed

once more that in the respondents' accounts, Hitler acted as perpetrator and decision-maker in regard to problematic issues. Dianne explained the role of Hitler as she understood it:

> It wasn't just the Germans that were killing the Jews and were the bad guys, it was this maniac Hitler and his cohorts that apparently didn't have much of a chance getting rid of him because they knew they'd be hung. Hitler had everyone so buffooned, so brainwashed, and totally in control.

None of the other respondents identified Hitler as the one that had to be held accountable with such clarity, but others also constructed him discursively as a person with mystical superpowers. Leanne describes how things were "when Hitler was starting to take over," and Marita explained that her parents might have "felt guilty for thinking Hitler was so great because then he turned out so bad." Hitler not only "invaded the Ukraine" to make Warren's father leave, but he also "was trying to teach" Henry's parents things they did not want to learn. While in most cases, the respondents used Hitler as a primary agent of evil in their own sense-making of their parents' past, some respondents felt that the argument was flawed. Robert, for example, recalled that he countered this argument of his father about the dominating role of Hitler by saying that "one man, namely Hitler, does not create history."

As an alternative to using ethnic groups as scapegoats or bestowing responsibility upon the person of Hitler, parents and children alike used other means to reconceptualize the war. Often, the war was talked about not as if it had entailed atrocities and cruelties carried out by actual people, but in terms of an abstract entity that was at work. This entity could be likened to a kind of natural disaster or reframed as "misfortune" (according to Jürgen) which was governed by fate, something "which

happens." Henry recalled a lucky survival story of his father in which "he was blown off the ship and there were forty-some survivors left out of four hundred people on that ship. So he was lucky there." Vocabulary such as "fortunately," "luckily," and "by chance," which was recurring in many different stories about survival and escape, suggested that the parents were dealing with the forces of fortune. Warren remembered his mother's description of air raids, saying that "the sky would be just black with airplanes, and the whole earth would shake from the noise." Katherine described that at the end of the war, "everything was in such chaos, it was pretty crazy," and Tony characterized the insignificant role of his parents in the war inferno:

> They were nothing more than a pawn in all of this. People like my parents, they are just nothing more than a body that is placed here and there. And they unfortunately still have emotions and their own thoughts, and they have their own opinions.

Jürgen explained that "it was just one of those things that our parents went through. It's no different that if you had a tornado you only survived." The element of luck appeared in many of the stories, and it seemed that when fortune took over, agency and corresponding responsibilities were removed from the parents.

In general, the conversations with the participants often revealed that they were uncomfortable "naming" the cruel acts themselves. By using abstract terminology to refer to atrocities and their victims, the respondents and their parents could keep an emotional distance from the horrible deeds committed by Germans in World War II. Moeller (2001) found that this tactic was also prevalent in German public discourse and remarked that "what Germans had inflicted on others remained abstract and remote; what Germans had suffered was described in vivid detail and granted a place of

prominence in the public sphere" (p. 35). The mass murder of the European Jewry was referred to in almost euphemistic terms by several respondents. Henry, for example, talked about "the stuff with the Jews," Veronica called it "the Jewish part of it," and Theresa termed it as "Nazi and Jew issues." These expressions almost bring to mind the terms *Judenfrage* ("the Jewish question") and *Endlösung* ("the final solution"), the original Nazi euphemisms which were used to refer to the genocide of the Jewish people during the Third Reich. This comparison is not intended to accuse the participants in the study of trying to downplay the Holocaust, but it seeks to point out that using abstract terms may constitute an act of symbolic avoidance.

Similarly to conceiving of the war as some sort of natural disaster or abstract entity, respondents recalled stories without any agents at all which suggested that the war was perpetrator-less. Again, Moeller (2001) detected the same strategy in Germany, in a 1951 public speech of Konrad Adenauer, the German Chancellor, who proclaimed that "unspeakable crimes have been committed in the name of the German people" (p. 25). Moeller (2001) notes that this "carefully formulated passive construction left open the question of culpability and differentiated between guilt and responsibility: criminals had no names" (p. 25). In some situations, the structure of the symbolic drama required that the victims would assume the role of the agent, as is exemplified when Dianne's mother Ellen talks about "the people that were leaving us" in reference to Jewish community members who were deported. Katherine changed her account to an impersonal voice when talking about her mother's belief in the Third Reich. Instead of saying "my mother did not acknowledge" that the German regime had been a

dictatorship," she said "it was not acknowledged," thus excluding her mother rhetorically from "owning" a potentially problematic ideological statement.

Respondents introduced various dichotomies to create separations between their parents and the persons who were responsible for the atrocities during the war. These dichotomies were created between "good Germans and bad Germans," "Germans and the Nazis," and "Bavarians and the Nazis." More than half of the respondents offered such explanations, and it seemed that they had picked up this type of argument mainly from their parents. A statement from Dianne demonstrates this strategy:

> There were good Germans and bad Germans. And my mom was not one of the bad Germans. Women and children had nothing to do with the war, and the men, the soldiers, just had to carry the out orders because otherwise, they would probably get killed.

Theresa described how her parents sought to separate themselves from the Nazis by pointing out that "a big topic for them is the differentiation between the Nazis and the Germans. They often feel that in the mind of Americans, all Germans during that time were Nazis. And that is a big issue for them." Paul recalled that his mother was also concerned about differentiating Germans and Bavarians from the Nazis. His story shows that such dichotomies became problematic as soon as his father, an American soldier, also entered the conflict scene:

> My mother always made it pretty clear that there was a difference between Germans and Nazis, that the Nazis where the ones who were doing all that stuff. We were Germans or Bavarians. I don't remember any specific thing she said, but I always got that there were Germans and Nazis, and that she and her family and everyone she lived with were Bavarians or Germans. Her brothers were drafted and put into the army and told what to do. My father was in the army for

> the United States. Her brothers were in the army for Germany, and, basically they were fighting each other. But again, my dad wasn't fighting my mom's brothers, he was there because he had a job to do. He was drafted to help win against the Nazis, so it wasn't a personal thing of going against another person.

A closer look at this story reveals that blaming the Nazis works fine to explain Paul's father's involvement in the war, but in conjunction with the war activities of his uncles, the dichotomies invariably had to fail. Needless to say, dichotomous arguments emphasizing differences between Germans and Nazis are flawed to begin with, because strictly spoken, the label "Nazi" was simply used to identify members of Germany's Nationalist Socialist Party. In modern discourse, it often also refers to SS military personnel, which largely provided the executioners for the Holocaust and other ethnic cleansing projects initiated by the Nazi government. The mystical notion of Nazis as "non-Germans," which is necessary to create the dichotomy, falls apart under a little scrutiny.

Less controversial was a strategy which sought to marginalize the perpetrators. It functioned like the "good Germans, bad Germans" distinction without assigning value judgments. A comment by Paul provides an example for this type of strategy; He said: "You can't condemn a whole nation of people for what some people did." Public post-war discourse in Germany also stressed that the perpetrators were a marginal, clearly defined small group in order to repel the claim that the majority of German citizens participated more or less actively in the perpetuation of Nazi ideology. Moeller (2001) points out this careful distinction between the notion of a "handful of faceless individuals responsib[le] for the crimes of National Socialism" and the idea of a whole fascist society (p. 49). Leanne's strategy of differentiating between the evil people, the

scared people, and people like her mother is difficult to maintain when scrutinized more closely:

> The Holocaust happened for several reasons. One, there are evil people in the world. Two, there are people who are not necessarily evil, but find it easier to just turn the other way and pretend. They are not directly involved and it is not happening to them. I noticed so many people who were so afraid at that time that they probably let things happen because they were afraid if they said anything, it would happen to them, too. I feel really sorry for all the scared people. Because they have to live with the fact that they let it happen. My mother and her relatives did know that political camps and concentration camps were happening, but I don't think they knew exactly what was happening in them. It was disturbing to know that all the priests would go into hiding, they were sent there. I don't think [my mother belonged to the scared people]. The ones I am thinking of that were more afraid are the ones that actually lived by the concentration camps and so could not help knowing that they were there. They just went along their every-day lives pretending they were not there.

"My parents were always the victims"

Another type of strategy was pervasive and emphasized the victimization of the German people. Bar-On (1996) interviewed the children of Nazi perpetrators and noted that even among this group, in which the knowledge of having a perpetrator in the family would suggest a focus on the cruel actions themselves, "their own suffering helped our interviewees ignore the victims of the Nazi era and their suffering" (p. 17). Paul explained that his mother felt she needed to point out to Americans that not only the Jews suffered:

> She has some discussions with people who have ideas and she wants to set them straight on things. Because some people think that the Jews were the only ones who had a hard time at that time, and she wants to let them know that everyone

> had a hard time at that time. Not to minimize the fact that a lot of Jews were killed, but everyone in Germany also suffered to some degree as well. Not necessarily to that extreme, but like this Catholic priest who disappeared.

Theresa suggested her parents were angry and sad about the hardships that they as Germans had to endure during the war. She described that her parents "were the victims. All the way. And who were the villains? In the minds of my father and my grandmother, it was sometimes the Slovakians. The villains were actually fuzzier. But my parents were always the victims."

A strategy which allowed some of the parents to remain comparatively agentic in the war stories was to focus on acts of resistance. Even if such acts appeared hopeless, they nevertheless helped them to point out agency constraints that were beyond the parents' control. Themes of restriction and confinement, of escape, hiding, and danger echoed in many of the stories recalled by respondents. They feature the struggle of parents against forces that could not be overcome, and by focusing on the agent role of the parent, demonstrate how limited their range of options was. Ellen pointed out that her "mother had a Jewish piano teacher. My grandmother helped her money-wise to get out of the country, and that was a dangerous thing to do. It was." Henry recalled a turbulent story in which his mother repeatedly sought to break through confinements that were never actually described in detail:

> The Russians burned the orchard and killed all the livestock. They were raising ducks and dogs there, and they killed every one of them. My mom and my sister snuck out of there and got away. The whole family got out of there. She was later on captured, though, and got stuck in East Berlin, on the other side of the wall, and she was there maybe for a week or two, and she escaped out of there.

> Her mom and dad were separated, too. Her mom and dad got away and she got stuck in East Berlin.

Sometimes, the stories also pointed out that acts that resistance against the regime was not possible. In a different context, but applicable to this strategy, bell hooks (1995) notes that "no responsibility need be taken for not changing something if it is perceived as immutable" (p. 271). Ellen exemplified this stance by pointing out repeatedly that "Germany's finest" risked their lives to assassinate Hitler. Their failure seemed to suggest in Ellen's mind that an ordinary citizen would be even less likely to succeed in resisting the regime, which made it inevitable to conform due to the lack of other options. Wilkinson (1985) points out that "the Federal Republic emphasized the military-aristocratic resistance embodied in Hitler's would-be assassin, Claus Schenk von Stauffenberg" (p. 336), and this orientation was mirrored by Ellen's arguments.

As mentioned earlier, when respondents were accounting for their parents' past in Germany, they emphasized that they were neither the agents committing cruelties nor had knowledge of the atrocities that were committed. It seemed important to respondents to communicate that even if there were doubts that their parents were fully oblivious of genocidal acts around them, they could not choose resistance as a possible behavioral response. Postone (1990) found an assumption prevalent in early German public discourse which claimed that even if details about the Holocaust had been known, people still had no control to prevent the atrocities from happening, so knowledge could not be equated with guilt. Postone's (1990) observation that the "denial of knowledge was an attempt to deny guilt" (p. 237) was descriptive of the way with which the respondents in the study approached the issue of obliviousness.

Marcuse (2001), who was referring to the resistance and victimage strategies as applied in German public discourse as the "myth of resistance" and the "myth of victimization," pointed out that there also existed a "myth of ignorance" (p. 58). A majority of the participants in the study seemed to regard the issue of potential knowledge about cruelties as so important, that at some point during the interview, they made references to their parents' obliviousness on their own.

While some of the respondents revealed that they sometimes had doubts about their parents' truthfulness when they claimed not to have known anything, most of them emphasized their parents' obliviousness almost like factual knowledge. Dianne said that "you wouldn't have agreed if you would have known." Theresa shared that it had always been obvious to her that her parents had not known "of it." As an adult, she once asked if maybe "something was known," and they negated the question. Theresa's careful framing of the question "Did you know something?" into "Was something known about it?" exemplifies again that the sheer act of knowing was highly problematic. Respondents also said that they did not want to appear intrusive, and most of them did not risk asking these questions at all. Katherine described occasional doubts about her parents' obliviousness:

> I did ask my parents, on a number of occasions. Did you know this was going on? And of course, they would always say, we did not know this was going on. As far as the concentration camps or that the Jewish population was actually being terminated. They both claim they did not know anything. And yet it always nags in the back of my mind. You wonder, how much did or didn't they know? In the back of your mind, you wonder.

Leanne and Marita were less sweeping in their recollections of their parents' obliviousness, but instead qualified their parents' knowledge. Leanne said that her mother knew that camps existed, but had no knowledge of what happened inside of them. Rather untypical for the group or respondents as a whole, Marita acknowledged her father's awareness of deportations in this statement when she tried to explain why her father did not like to talk about the German past:

> Maybe because they weren't small children. They weren't small children, they were teenagers. He was a teenager. Maybe it's embarrassment. Maybe they were more supportive of how things were because they didn't know what was going on in the camps. I know that family members and neighbors were taken off in trains and herded away, and I know that they know that those things happened, but maybe they just were embarrassed about what happened.

Other respondents also attempted to relativize the horrors of German World War II atrocities by drawing comparisons to genocides which occurred at other times and places, thus reducing some of the threats to German ethnic identity. While this was a strategy typically employed by the respondents rather than their parents, it seemed to be beneficial for the identities of both generations. Events and countries mentioned were the expulsion of the American Indians, slavery and racism in the United States, the Vietnam War, "Afghanistan and Iraq and other places of that nature" (Leanne), and Cuba, Russia, and China. Warren's story of how a friend confronted him with the Holocaust exemplified how such a comparison could play out in a conversation:

> I have had friends that gave me a lot of grief about German history. You Germans, look at what you did to the Jews in World War II! I said, well, what the Germans did to the Jews was not right, but there are problems today that are going on and no one even says anything about it. At that time, the Khmer Rouge

> in Cambodia, they were just slaughtering people by the millions. No one says a boo about it. They are killing more people than Hitler ever did and no one says a thing about it! Don't worry about the past. Worry about today.

This excerpt shows quite noticeably that as soon as Warren had shifted the conversation to discussing a genocide that was not particularly identity-threatening to him, he seemed much more comfortable using concrete, negatively connotative language (compare "what they did was not right" to "slaughtering" and "killing"). When he needed an agent to make the comparison statement, Hitler emerged again as the clearly identified perpetrator.

"There are a lot of people here that wish they were German"

The previously described strategies shifted potential responsibility away from the parents were used quite frequently by respondents. Other strategies sought to reduce affiliation with German ethnicity or to redefine it in positive ways, thus reducing the level of identity conflict. Veronica and Dianne re-labeled what might have been problematic about their ethnic heritage. Both did not claim German ancestry, but considered themselves to be from "overseas" (Veronica) or "European" (both). By avoiding the connection to Germany linguistically (both of them thought of themselves as "very American"), they were able to take some pride in their European heritage.

Jürgen and Tony both used a strategy similar to table-turning as described by Wurmser (1994) by rather reacting aggressively in identity-threatening situations than to admit feelings of shame. With a pronounced emphasis on their pride and commitment to their German nationality, they seemed to be able to deal better with the frequent instances of anti-German sentiment they both were subjected to. Jürgen claimed that

others were envious because he was German and noted that "there are a lot of people here that wish they were German." He said he has "always been kind of *stolz* [proud]" on being the "only true German" left in his community. Tony's highly negative evaluation of his German family clashed with his professed commitment to his German identity. He described his relatives in Germany with expressions such as "jerk," "relentless," "frustrated," "strange," "cookie," "hard and stern look on [the] face," "brat," and "difficulty of relating." The two following conflicting statements revealed that he might have tried to combat his ambiguous feeling about his German heritage by two different strategies at the same time:

> I consider myself German, one hundred percent. Nobody will ever be able to take that away from me, and I am certainly not ashamed of it. As a matter of fact, there are people in this community who find that very intriguing. I find that with a lot of people all over this country. They find foreigners very intriguing, even Germans. Especially if you can speak the language, they find that even more intriguing. It's more of a plus than it used to be in the past. Right after the war, there were always anti-German sentiments. But it's not that way now anymore. I think that they are looked upon with a great deal of respect and admiration, because they have recovered really well, they produce good products, and they are good, hard workers.
>
> I have been changed by the way Americans are here. I have learned to become friendly and to be totally American. Being German in any way, shape, or form, being too serious, doesn't really get you anywhere over here. Learning to loosen up is really good for you here in the United States.

Tony's account already hints at some of the positive stereotypes of German nationality, and the parents of many respondents concentrated on positive German

character traits when sharing stories about their home country. By reframing what it meant to be German in a strictly positive sense, parents could maintain some esteem about their country of origin. A host of vocabulary items describes how respondents thought about German culture and German traits, among them the words "structure," "discipline," "respect," "stability and order," "a strong breed," "hard-working" (Dianne), "accurate," precise" (Tony), "neat," and "strict and straight" (Warren).

Such traits were applied simultaneously with negative social comparisons that painted a more critical picture of American society. Gudykunst, Forgas, Franklyn-Stokes, Schmidt, and Moylan (1992) identify two parts of social identity[2] influencing communication between ethnic groups, "positive intergroup comparisons" and "ingroup identification" (p. 90), which brings in the component of self-categorization, the tendency of people to look at their own ethnic identities in the light of others' (Hogg & McGarty, 1990), and the German immigrant families could engage in the first part by talking about Americans as "lazy" (Warren) and less "classy," people without "manners" (Dianne) who raised their children to be "unruly" (Katherine). Interestingly enough, the respondents remembered their parents criticizing America, but nevertheless felt incited by them to be successful in the new country.

"Why talk about it? My dad wanted it out of his mind

A last type of accounting strategy was elicited by the interview situation itself as it confronted respondents with direct questions about why they had been reluctant to ask

[2] Tajfel & Turner's (1986) social identity theory (SIT) is especially useful when talking about the identity of a person construed through affiliation with an ethnic group. For further reference, see their discussion in *Psychology of intergroup relations* (S. Worchel & W.G. Augstin, Eds., pp. 7-24). Chicago: Nelson-Hall.

their parents about the war. While the accounts thus generated do not in all instances create a connection with the German past, they provide enormous insights into the general effects of the identity conflict on the family system. These strategies have to be imagined as generated by persons who were asked to account for how they dealt with problematic issues in their families that were obviously marked as taboos. They found themselves in need to explain why their parents had never talked and why they had never asked.

The intergenerational sharing of many of the strategies that surfaced in the war narratives suggests that the respondents were very concerned about presenting their parents in an acceptable light, but they probably also wanted to present themselves as interested and critical thinkers. Being questioned why they did not ask seemed to suggest to them that they *should have* asked, and the potentially resulting feelings of guilt were compensated mainly by reframing the act of inquiry itself and the agent role they felt they should have played in it as morally questionable and inappropriate. Nevertheless, in the process of accounting they appeared to also keep relationship concerns with their parents in mind.

Several respondents reported that they wanted to avoid asking questions because they could tell that talking about the war would hurt their parents' feelings. Many of them noted that it seemed painful for their parents to bring up the topic and consequently tried to avoid the pain. Theresa described the strong emotions of her parents whenever the war came up in conversations, which gives a good sense of why the respondents would avoid "stirring it up":

> Sometimes, they were upset because they as Germans also had suffered strongly in the war. Many Americans don't understand that the Germans had also

> suffered in the war, and they were upset about that. And of course, they also were sad sometimes. My father was mainly angry. He always had to work. And my mother got sad, or scared. She still speaks of nightmares she has. She talks about an incident in which she had to look at corpses, I believe of French soldiers. In her hometown. They all had to walk past a grave. And she still is dreaming of it today.

Other respondents also felt that they would cause pain for their parents if they would bring the topic up. Paul said that he "didn't want to bring up old wounds or any hurt, so I never asked." While this type of account was generated by concerns about the emotional well-being of the parents, Tony seemed willing to sacrifice his parents for the sake of removing the conflict. By stating that his parents will have to die, Tony seemed to express the symbolic wish that their death will lead to a resolution of the problem. His account clearly mirrored his frustration about the silence of his parents and portrayed the inquiry of his parents' past as pointless and ineffective:

> When there is nobody else to talk to, then there's not much point talking. You can go over the material over and over again, but after a while, it gets ridiculous. If you're too young or it doesn't make any impression on you, which it doesn't normally do when you're young, then you won't remember too much about it. There wasn't much for them to talk about to begin with. The VFW is going to be diminished here pretty soon. They are all dying away, and all the memories and the hatred dies with them. Eventually, there won't be any membership in this VFW anymore. They are trying like heck to keep it alive, but it can't keep alive. It has to die. And the world is better off that way. My parents have to die. There is no point dwelling on anything about the past. You have nothing but your future, and the future holds so many bright things, it has to go in that direction. The past and the past. Let it go. It's best for the young people to let their parents go. History is what it is. It's all done and over with. The world has to move on.

The same type of future orientation also becomes visible in Jürgen's account. His and Ellen's main strategy was to reframe an interest in the German past, the Holocaust, and his parents' personal war experiences as a morally questionable act. The following excerpt summarizes Jürgen's rationale for this approach and also illuminates why he rejected an opportunity to see a concentration camp:

> I felt somewhat uncomfortable about it because I knew what had happened, and it's common knowledge. When I was in Germany, I had a chance to tour Auschwitz and I declined. I just didn't want to see it. A lot of people died there. What you had heard about how things happened, the gassing, I just wasn't interested. I don't like to thrive on the misfortune of others. I would hope it goes away, but it's part of history. But I don't thrive on it or think about it. It's just one of these things that were. It's behind us, life goes on, we're in a different world, and that's probably why not much was ever said about it. Why beat it to death? Why talk about it? My dad wanted it out of his mind. Water over the dam. It was not a good thing, a lot of things have happened since that weren't good things either. I don't hound on him. I'm not going to pry anything out of him. I was close with my folks but I never meddled in their business. I don't remember that my dad was ashamed of it. But he just didn't talk about it. Left it alone. And things went smoothly that way.

Jürgen's and Tony's accounts stuck out from the rest because they seemed to be so much more laden with genuine conflict. The analysis does not provide obvious reasons for the deviations, but it should be noted that they are the two only respondents who had spent several of their infant years in Germany and immigrated as kindergarten children. It is possible that their prolonged direct exposure to German culture as small

children caused a higher level of identification with being German than in the other respondents.

Conclusion

This study was designed to identify strategies employed by German immigrant families to account for the role of Germans in World War II atrocities. The respondents were asked to recollect war stories from their parents, and transcriptions of these interviews served as data for the analysis. Five accounting strategies were detected. Each of them was intended to alleviate the German ethnic identity conflict felt by the participants due to their association with the problematic German past. The first three types exemplify how respondents manipulated the degree and type of agency in the war stories, the fourth type aims at reframing the conflict, and the fifth type serves to deal with identity threats created in the interview situation itself, when respondents felt they needed to account for their lack of inquiry into their parents' past.

This continuing taboo-ization of the German past suggests that these families' conflict response to German ethnic identity threats has never progressed much beyond avoidance and externalization, as exemplified by strategies that focus on dichotomies, scapegoating, and victimization. This means that they are comparable to the early, incomplete stages of coping in the Republic of Germany, as has been described extensively in landmark studies such as the one by Mitscherlich and Mitscherlich (1975).

The silence about Germany's past has largely been sustained by the families up to this date. Cut off from German post-war discourse, the immigrant parents have largely missed the opportunity to transform their feelings of guilt into symbolic action.

It remains doubtful if their children, whose incentive to explore alternative conflict is decreasing as time passes, will be able to attain an understanding of the past that will supply them with the awareness of preventing history from repeating itself. The accounts of respondents illuminate the importance of agency, and by curbing symbolic action rhetorically, moral emotions are rejected. The only way to restore agency and dignity to oneself is to assume rhetorical ownership of moral emotions such as shame and guilt

Further research could directly compare privately transmitted war stories remembered by members of the same age cohort in the republic of Germany and the United States in relationship to the respective public discourse about World War II. It would be worthwhile to determine if there is in fact a correlation between higher levels of critically infused public engagement with Germany's past and individual accounting strategies in families.

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1. Title of the submission:

Music as a Dynamical System

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6. Abstract of paper

The purpose of this paper is to apply dynamical systems theoretical approach to the study of music and its patterns within the human-computer dichotomy. Its main goal is to identify limits and boundaries encompassing the music generation (and interpretation) processes, which are marked by the sometimes turbulent and unpredictable dynamics that is innate to the musical phenomenon. The unpredictability quality is at the essence of music, which can be described as being on the verge of order and chaos, predictability and surprise.

Title: The Geopolitics of Aldous Huxley's Travel Writing

Topic Area: Literature
Keywords: Aldous Huxley, British literature, modernism, Travel writing

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TITLE: The Geopolitics of Aldous Huxley's Travel Writing

ABSTRACT:

This paper explores the geopolitics of travel narratives by British novelist and essayist Aldous Huxley and the extent to which Britain's national identity in the early 20th century was challenged or renegotiated by popular travel narratives, a seemingly non-political and presumably innocent literary genre. The paper discusses those emerging technologies of the early twentieth-century that opened up global travel in unprecedented ways.

British authors who ventured far afield of England, in particular Aldous Huxley, often were

confronted with the grave limitations of Britain's national insularity. In many cases, British travel writers experienced an inevitable fascination and collaboration with those they initially saw as alien or barbaric others. In turn British travelers often reported their sense of the equality or even superiority of the people and cultures they encountered.

Huxley traveled widely throughout Italy and Europe, India, Mexico, the U.S., and the Pacific, and published collections of essays on his experiences with the many cultures he encountered. At the close of a volume of travel essays titled *Jesting Pilate*, Huxley suggests that despite extreme diversity, humans nevertheless participate in a global community: "But if travel brings a conviction of human diversity, it brings an equally strong conviction of human unityŠ.All men, whatever their beliefs, their habits, their way of life, have a sense of values. And the values are everywhere and in all kinds of society broadly the same" (325).

Huxley's perspectives of other cultures forged through international travel challenged those arbitrary divisions between nations that appear only as lines drawn on a map. Such insights, he argued, only come to the traveler. Huxley commented, "And to realise that it takes all sorts to make a world, one must have seen a certain number of the sorts with

one's own eyes. Having seen them and having in this way acquired an intimate realisation of the truth of the proverb, one finds it hard to go on complacently believing that one's own opinions, one's own way of life are alone rational and right. This conviction of man's diversity must find its moral expression in the practice of the completest possible tolerance" (324-5). Huxley argues, at the close of *Jesting Pilate*,, that global travel inevitably challenges notions of nationalism and, in particular, British imperialism. He writes, "Convinced by practical experience of man's diversity, the traveller will not be tempted to cling to his own inherited national standard, as though it were necessarily the only true Š one" (326). While Elaine Freedgood in *Victorian Writing about Risk* (2000) looks at England's insular geographical vision at the turn of the twentieth century, my research explores how travel narratives by Huxley and other modernist travel writers repositioned England, in the mind of popular audiences, in a more technologically connected and thus global community.

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The Brazos Valley Symphony Orchestra, Bryan-College Station, Texas

Marianne Henry, 1st Violin; Nicole Cherry, 2nd violin
Diedra Lawrence, Viola, Prudence McDaniel, Cello

Music Performance Title:

"Music: An Appreciation"
A Perspective on Music in Higher Education

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The Marian Anderson String Quartet
"Music: An Appreciation" Lecture Recital Proposal

Project Goal:
The Marian Anderson String Quartet will present an interactive lecture recital examining the ways campus and community life are enhanced by the presence of a resident chamber ensemble.

About the Marian Anderson String Quartet:
For over a decade, the Marian Anderson String Quartet has brought music, inspiration and hope to every segment of American society. Named in honor of the legendary contralto Marian Anderson, the Marian Anderson String Quartet was the first African-American ensemble in history to win a competition in the field of classical music (1991 Cleveland Quartet Competition). With performance venues that range from the 1993 Presidential Inaugural, Lincoln Center's Alice Tully Hall and the Library of Congress to soup kitchens, shelters and juvenile correctional facilities, the Marian Anderson String Quartet continues to uphold its mission to create new and diverse audiences for the field of chamber music.
The Quartet currently serves as Ensemble-in-Residence at Texas A&M and Prairie View A&M Universities. The Quartet also serves as quartet in residence playing principal chairs in the areas Brazos Valley Symphony Orchestra.

Project Description:
The Marian Anderson String Quartet will present an interactive performance that will include a brief description of the works that will be performed, the history of the Marian Anderson String Quartet, and a discussion of the role of music in the university setting sighting examples of how string quartets can and have been utilized in this capacity. Short performances will be integrated within the discussion. A question and answer period will follow the performance.

Project Equipment: 4 armless chairs, two microphones

Project Time Schedule: The Marian Anderson String Quartet will need 45 minutes.

For Proceedings of the 2005 Hawaii International Conference on Arts and Humanities

Multilingual Discourse in an Umberto Eco Novel: Codeswitches, Calques, and Two Translations of *L'isola del giorno prima*

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Umberto Eco's *L'isola del giorno prima* (Eco 1994), in William Weaver's English version, *The Island of the Day Before* (Eco 1995a, is a companion volume to three others also translated by Weaver: *The Name of the Rose* (Eco 1984), *Foucault's Pendulum* (Eco 1989), and *Baudolino* (Eco 2000). Like the others, *The Island* – in the words of Italian critic Rocco Capozzi (1997b, 391) – "is overwhelmingly (but pleasantly) saturated with intertextual echoes that readers, depending on their cultural competence, can recall from a variety of interdisciplinary sources." He calls *The Island* a "ludic neo-Baroque narrative machine that opens with an "unabashed conceit" by a narrator who is just as interested in dialoging with his readers as he is in narrating his adventure story" (ibid, 392). Another critic, Norma Bouchard (1997, 356), stresses the intertextuality that suffuses Eco's novels and asserts that "*The Island* repeats the adventures of Don Quixote, the man who set out to reconnect worlds and words." Capozzi (*ibid, 291*) observes that "Eco's witty and parodic international post-modernism sails freely around *The Island*, and we can feel the presence of the model (and empirical) author winking at us from behind every allusion."

This paper addresses a device that serves as a means for engaging the reader regardless of the language of publication. I refer to code-switching (CS), the use for stylistic purposes of one or more second languages in addition to the basic text language, i.e., that of the original or its translations. In *The Island*, the second languages are mainly Latin and German, and there are passages in French , English, or Dutch. In general, CS calls attention to language itself and provides a transcultural dimension for the reader to interpret and appreciate. This device is common to all of Eco's novels to date. Its use by major writers dates back at least as far as Petronius' *Satyricon* and as recently as the work of best-selling American authors Cormac McCarthy (1993, 1995, 1999) and Sandra Cisneros (2002a); see Hensey (2003 and 2004 forthcoming, respectively).

Sociolinguists have long studied CS as a widespread conversational practice among certain bilinguals. One such scholar, Carmen Silva-Corvalán (2001, 315) defines CS as the use of two languages by the same speaker within a single turn at speaking. Another, Ronald Wardhaugh (1986, 99-100), defines it as "a conversational strategy used to create, evoke, or change interpersonal relationships." CS is seen to have both linguistic features and social functions as well as potentially contributing to language change. A widely cited model of CS is Carol Myers-Scotton's Matrix Language Frame

(MLF), originally set forth in Myers-Scotton (1993). Initially, the ML was defined as the language the speaker believes him/herself to be speaking, and the basic unit of analysis was the sentence. The matrix sentence provides the grammatical framework for insertion of elements from one or more embedded languages (EL) into syntactically compatible slots in the MS.

It has always been clear that CS is not haphazard but is subject to various constraints. As defined by Shana Poplach (2000), CS consists of integrating a word or phrase from Language A into a structurally suitable slot in Language B. This means that it "involves enough knowledge of two or more grammatical systems to allow the speaker to draw from each system only those rules which the other shares, when alternating one language with another." (*op. cit*., 241). Much research has sought to identify such constraints and to update MLF model itself, particularly in ongoing discourse; see Clyne (2000), Jacobson (2001b), Myers-Scotton (2001). These scholars point out that it is not always possible to identify the ML. In *The Island*, the ML is usually but not always the language of publication, i.e., Eco's Italian or the translator's target language.
This issue arises when an entire sentence or text is in Latin, German, French, or English.

There is an extensive literature on CS as observed in spoken interaction, while discussion of written CS is somewhat limited. An exception to this trend is the work of Laura Callahan (2004) and Cecilia Montes-Alcalá (2001). Callahan focuses on English/Spanish CS switching in Latino poetry and fiction published in the United States, reviews current theories on CS, and identifies the major structural and discursive features represented to different degrees in a sample of 30 texts. (*op. cit*., 165-9). Montes-Alcalá, who claims full proficiency in English and Spanish, studies her own college journal, which shows frequent CS and covers a period of about a year and a half. She develops a taxonomy to describe the various patterns and concludes that written CS is a literary device whose pragmatic and social functions do not mirror those of conversational CS. She asserts that the predominant function of written CS is stylistic and that is not motivated by a lack of language proficiency. (*op cit.* 218-9).

Translation scholars Sándor Hervey *et al*. (1995, 115) follow up on Wardhaugh's recognition of code-switching as a linguistic device with interpersonal functions. "Since code-switching is a definite strategic device, the translator of an ST (source text) containing code-switching should convey in the TT (target text) the effects it has in the ST." These authors argue that while this might not be obligatory for a written text but not for dialog, where "it would be more effective, if possible, to reproduce code-switching in the ST by code-switching in the TT. Such cases place even greater demands on the translator's mastery of the TL (target language)." Callahan (*op. cit*., 91) lists seven codeswitched novels which have been translated into Spanish in such a way as to preserve little or nothing of the switched elements. Azevedo (2000) examines five translations of Hemingway's (1940) *For Whom the Bell Tolls*. Azevedo's insights are highly relevant to some issues arising in this paper and will more thoroughly discussed below.

Claudia Miranda (1997, 362) sees *The Island* as many novels in one: "a seafaring novel which uses *topoi* from a narrative tradition springing from the1600s to the 1900s, a *Bildungsroman,* a text that examines scientific and epistemological arguments in the last four centuries, and a metanarrative discourse, just to mention a few." Here I limit my focus to Miranda's first category, that of a highly entertaining seafaring yarn set in the mid-17th century, the tale of an Italian adventurer, Roberto della Griva or Robert de la Grive. This is an age of exploration, and the European powers are searching for a precise means of calculating longitude in furtherance of their overseas expansion.

After coming of age on the battlefield and passing through the tutelage of several eccentric mentors and into the *salons* of Paris, Roberto is falsely arrested and pressed by the crown into service as a spy aboard a Dutch ship. He is sent there to apply his knowledge of English to spying on some English scientists who are working on the longitude problem for their own government. No sooner has Roberto learned their secret method, he is swept overboard. As the novel opens, Roberto is drifting on a plank and will soon reach a second Dutch ship anchored near an apparently deserted island. By a heroic effort, he manages to board the vessel. He finds it deserted and will later learn that the crew of this second ship has been killed by cannibals and the ship's longboat ashore on the island, useless to Roberto.

Unable to swim and having no other means of reaching the island, Roberto devotes himself to sleeping days and writing a journal, which includes baroque letters to Lilia, his beloved précieuse from the *salon*. Meanwhile, the author reviews Roberto's past life in France and Italy. CS is a frequent feature of this part of the text, but I propose to limit my observations of CS to a set of six chapters (20 through 25) in which Roberto acquires and finally loses his last mentor, a priest named Caspar Wanderdrossel. It should be pointed out that *Drossel, Griva,* and *Grive* all mean "thrush", and the name of English scientist is Dr. *Byrd*; clearly, the author is winking at us through the screen of languages..

Roberto soon discovers that he has a secret sharer, dubbed the Intruder, who turns out to be a German Jesuit also engaged in a search for the 180th meridian. Jesuit Father Caspar Wanderdrossel, formerly a passenger and now a stowaway, has in fact succeeded by means of a device erected on the island but no longer accessible. Over a space of six chapters, these two talkative men will engage in an interlingual dialog. Their discourse, particularly the speech of Father Caspar, will be the focus of my study of Eco's CS and other forms of interlinguistic manipulation. The episode closes with the disappearance of Father Caspar, who apparently perishes while attempting to reach the island in an improvised diving bell.

Later, after philosophizing and fantasizing about his evil twin Ferrante, Roberto brings his journal to a close. Stranded alongside the meridian that separates today from yesterday or tomorrow, he will set fire to the ship and plunge naked into the sea. The fire fails to catch, and Roberto may or may not have reached the Island. Nothing further is known of him until, many years later, the ship is discovered (perhaps by the Bounty mutineers!), and the journal is recovered by parties unknown and eventually delivered to

the author. Eco intervenes at the end (Eco 1995a, 512) to assert that such a tale, one that lacks a satisfactory beginning or end, can be turned into a novel only if it is presented in the form of a palimpsest of a recovered journal or manuscript that somehow made its way into the hands of its transcriber or translator.

This time-honored literary device underlies all the Eco novels cited above. It also provides the image of the multilingual text as a palimpsest of overlain languages. Here we may see the author peering at the readership through the layers of language and inviting them to probe and mine the surface text for what treasures may lie below. We will use two surface texts provided by Weaver's (Eco 1995a) English version and the Spanish translation by Helena Lozano de Miralles (Eco 1995b): *The Island of the Day Before* and *La isla del día de antes,* respectively. Hereafter, unless otherwise indicated, parenthesized page numbers refer to the English and Spanish versions.

To introduce the two speakers, we present the "unabashed conceit" Roberto uses to begin his tale. The following three samples are the translators' versions of the same part of the Italian text. Rather than displaying Eco's own words, I invite the trilingual reader to attempt a reconstruction of the original based on a comparison of the commonalities of meaning and structure in the two versions. Here, shortly after climbing aboard ship, Roberto closes his first letter to Lilia.

I take pride withal in my humiliation, and as I am to this privilege condemned, almost I find joy in an abhorrent salvation: I am, I believe, alone of all our race, the only man in human memory to have been shipwrecked and cast upon a deserted ship. (1)

Y con todo eso, me envanezco de mi humillación; pues a tal privilegio estoy condenado, casi gozo de aborrecida salvación: soy, creo, el único ser de nuestra especie que ha hecho naufragio en una nave desierta. (9)

The author now introduces the two protagonists and interlocutors. Roberto is presented as a native speaker of French and Italian:

Roberto's father spoke French with his wife, the local dialect with his peasants, and Italian with foreigners; to his son, he expressed himself in various ways, depending on whether he was teaching the boy a secret of swordsmanship or taking him on a ride through the fields, cursing the birds that were ruining the crops. (20)

El padre – que hablaba en francés con la esposa, en dialecto con los campesinos y en italiano con los extranjeros – con Roberto se expresaba de diferentes guisas según le enseñara una estocada, o lo llevara a cabalgar por los campos, soltando reniegos por los pájaros que le echaban a perder la cosecha. (24)

Father Caspar's social and linguistic background is rather different:

As can be deduced from Roberto's transcription, this Teuton had lived in Rome, speaking Latin with his brothers from a hundred countries, but he had little practice in Italian. (245)

Como he podido deducir, aquel Teutón vivía en Roma hablando latín con los hermanos de cien países, pero del vulgar no tenía una gran práctica. Así es que yo, en esta transcripción, que lo es, tendré cuidado de pintar muy al vivo su lengua. (204)

When people meet without knowing what language(s) they may have in common, there is often a form of negotiation in which, according to Thomason (2001), "speakers change their language to approximate what they believe to be the patterns of another language" (142). The first encounter of Roberto and Father Caspar involves such negotiation in through trying out several languages, foreshadowing the translingual conversations to follow. Here, the priest is holding Roberto at gunpoint.

The first sentence was in German or Dutch, and the second, and surely he was repeating the message, was in halting Italian: "If you move, I kill you!"
"Sir," he said, "I mean you no harm. I am a friend. You understand? Amicus!"
The man said, "Gratias ago, Domine,", raised his hand as if to bless Robert,who at this point, taking a closer look at the man's dress, realized he was a cleric." (241)

La primera frase fue en alemán o en holandés, y la segunda, y sin duda estaba repitiendo su mensaje, fue en un esbozado italiano. -- ¡Si muéveste tú, yo mato!
Señor – dijo -- yo no quiero hacer ningún daño. Soy un amigo. ¿Entiende? ¡Amicus!
--Gratias ago, Domine—levantó la mano como para bendecirlo, y en ese momento Roberto advirtió, considerando mejor la vestimenta, que era un religioso. (200)

Lozano's version is closely parallel to Weaver's and thus one may infer that both translators have, for the most part, stayed close to the wording of Eco's original. This is not to imply "literality" but only that the translations carry over the basic sense of the Italian words and much of the overall sentence structures common to the source and target languages. One should also note that the translators had to decide on how to represent the priest's "halting" Italian" – Eco's (1994, 224) *se tu ti muovi, io ammazzo* <if you move, I kill> --in halting English and Spanish, respectively. This will be one of their challenges throughout the episode in question.

Poplach (*op. cit*., 241-3) and Callahan (*op. cit*., 167-9) make use of structural criteria as a major device for classifying switches. In that approach, the simplest type of code-switching is that of single items. Bracketed glosses are provided for German items unless the meaning is obvious. Weaver and Lozano provide such examples as:

Put me in the Wasser. (332)
This was my little jocus. (261)
It begins again its oscillatio. (290)
Ach, now I have got you and your hereticissimi friends (315)

¿Qué es das? (258)
Yo perdono a ti, si un Witz hacer querías. (257)
<chiste>
Esta es la hypóthesis de un malitioso. (259)
Con la eruptione de los volcanes submarinos, natürlich! (221)

Some items come from Latin and the rest from German. There is a variety of forms: nouns, an adjective, an adverbial expression, an interjection. Following are instances of noun phrases with varying structures.

So imagine then an ungeheurerer Regen. (p. 262)
<a huge/monstrous rainfall>
You think with the humana conceptione of time. (p. 267)

If the places are proximi, a very little error makes gross differentia. (282)
The most gross amusement of mein Leben. (p. 323)
<greatest … of my life>

No dejarse escapar el initium totalis immersionis. (233)
Todas las Quellen, las fontes abyssae magnae, todas las fuentes del abysso grande. (217) <fuentes>
Éstas son Lügen der spanischen Monarchy! (215)
<mentiras de la monarquía española>
Esta era la Offenbarung göttlicher Mayestat. (213)
<revelación de la majestad divina>

Beyond the noun phrase comes the clause, which centers on a verb phrase and may constitute an entire sentence. In several of the following examples, it isn't clear which language provides the matrix framework and consequently, which is/are the embedded element(s). The single sentence is not always a sufficient unit of analysis.

So, dumm bin ich nicht, not stupid! (p. 262)
<I'm not stupid>
Solomon dixit: cut baby in two. (p. 263)
Some pagan, cujus venter Deus est. (251)
And this est mathematica! (p. 281)

Que el sanctísimo nombre de su creador fiat semper laudado. (216)
Dios puede agua ex nihilo creare. (217)
Tempus Dei, quod dicitur aevum, muy diferente. (220)

En cuarenta días ist das unmöglich, no posible. (217)
<eso es imposible>

The largest unit is the occasional sentence most of which is in Latin.

May the *Sanctissimum Nomen* of our Creator *fiat semper* praised! (261)
"*Omnibus rebus diligenter repletis*," Father Caspar said. (331)
Ecclesiastes says "*terra autem in aeternum stat, sol oritur*." (304)
Et hora we must *Novissima Experimenta* make, *ut clarissime et diligenter* demonstrate that we are on meridian one hundred eighty. (284)

Like Weaver, Lozano simply transcribes these Latin utterances as they appear in Eco's original. The examples appear to correspond to Jacobson's (2001b, 59) description of language alternation as a form of CS where "the two participating languages may play equal roles in the unfolding of the message". Such participation, temporarily at least, blurs the distinction between the matrix/dominant/host language and the embedded/subordinate/guest language.

A different category of embedded items is that of discourse elements such as conjunctions and other linking devices, interjections, and tag endings. Such forms abound, and for the most part Weaver and Lozano simply transcribe the original Latin or German forms. The first group consists of Latin forms with which the readership is likely to be acquainted: Latin forms like *ergo, in primis, ecce, et, sed, ad exemplum* and German ones like *und, so, ja, nein, nichtwahr?, richtig? verstanden?, natürlich, wunderbar, ach, bitte, gut ...(*Weaver and Lozano, *passim et sic).*
.
A number of sentences deviate from usual English and Spanish word order; e.g.,

You could these things see down there. (277)
Podrías estas cosas allá abajo ver.
We must in it a whole vessel put. (292)
Tenemos en ella toda una máquina montar. (240)

Here we see an inversion of the usual (for Italian as well as English and Spanish) verb+object or verb+complement order. Instead of the insertion of L2 words or phrases, calques replace matrix-language structures with patterns imported from the embedded language. The process is termed calque, and it may involve words as well as grammatical patterns. The stock example of a lexical calque is *Between and drink a chair* based on lexical ambiguities in decontextualized Spanish *Entre y tome asiento* ("Come in and have a seat") Another, from Spanish to English, renders of *tulipanes en la oscuridad* ("Tulips in the dark") as yielding *Two lips in the dark*. Bilingual hearers or readers are presumably able to reconstruct the Spanish original, i.e., to recognize the pun and the intended humor. In Hensey (2004, forthcoming) I suggest that calquing amounts to a covert form of code-switching. While ordinary code-switching reveals a larger or smaller fragment of a sentence partially thought out in a second language, calquing provides a literal back-translation of the other sentence, often in its entirety.

A simple definition of calque comes from Vinay and Darbelnet's (1977, 6) classic text of French-to-English translation. "Borrowing of a foreign phrase (*syntagme*) with a literal translation of its components." These authors distinguish between *calques d'expression,* which respect the structure of the receptor language, e.g. in rendering English weekend as Spanish fin de semana, and *calques de structure*, when the incoming syntax is foreign to the matrix language (rendering Eng. science fiction as Sp. ciencia ficción. (*ibid,* 242) Spanish translation scholars López Guix and Minette Wilkinson (1997, 243) quote Miguel de Unamuno to the effect that some calques may enrich the receptor language. On the other hand, they urge translators to beware of calques, which they call "the most concrete expression of the abomination of desolation"

Calques are certainly not unknown in literature. Witness the following excerpt from a text discussed in Robinson (1971) and quoted by Hensey (1984, 201) as a virtual parody of Mexican-American speech. Readers who can think bilingually have no difficulty in reconstructing the source of these "literal translations", a virtual Spanish text that "percolates up" through a rather porous English cover.

"*Válgame Dios," groaned Cristóbal, after they had gone a few miles. "But it is very long without to drink. For the love of the Virgin, cuñado, give a little to me!"*

"But how! But that thou not rememberest our compromise?" asked the virtuous Tránsito.

"It is truth, compadre. That we compromised not to give us one drop. But of the to sell was nothing said. See! That I have cinco centavos! Sell-me a drinklet to me."

*"Stá bueno," said Tránsito. (*Robinson *1971, 217)*

Patterns like "for the to sell", "that thou not rememberest", "sell-me a drinklet" are in fact *mot-à-mot* renditions of easily reconstructed Spanish sentences. In an essay on the use of so-called Chicano English in various media (Hensey 1984, 210), I included this passage as an example of early literature about Mexican Americans produced by Anglo-Americans. This particular writer, identified only as Charles Lummis, date of writing unknown, clearly has knowledge of such Spanish structures as clitic pronoun placement, the second person familiar: (*thou/thee* < *tú*), preposition-plus-infinitive: (*of the to sell* < de vender), and diminutive formation: (*drinklet* < traguito or copita).

The source of Fr. Caspar's calques is German, and all of them involve novel placement of main verb or auxiliaries. Clyne (2000, 267-9), in discussing switching between German and English, deals mostly with differences in placement of main verbs along the lines discussed below. In *The Island* there are three main calque patterns of this type, and in each the underlined segment has been shifted to the left of the verb.

The three syntactic calques shown below in matching English and Spanish versions are basically Verb-Object inversions in different syntactic contexts. The first type occurs in complement clauses whose verb is in the infinitive, which in English is the bare verb stem. These are regular patterns of German word order.

We must in it a whole vessel put. (292)
You could these things see. (277)

Tenemos en ella toda una máquina montar. (240)
Podrías estas cosas allá abajo ver. (229)

The second type is Auxiliary *have/haber*-Verb-Object inversion in independent clauses, where the verb form is a past participle. The underlined object is displaced to the left of the Auxiliary, The first example from each translator also contains Subject-Auxiliary inversion, which is common in German and English.

Such bestialitas have I never heard. (252)
My brothers have perfect calculations mathematically made. (316)

Tal bestialidad he yo jamás oído. (209)
Mis hermanos han cálculos matemáticos perfectos fecho. (260)

The third pattern occurs in relative clauses and moves the object or complement to the left of the verb.

Atheists who of infinite worlds talk. (264)
The Reverend Pater Carolus Spinola who at Nagasaki, in Iaponia, the same eclipse at nine thirty of the same evening was observing. (p. 282)

Ateos que de los mundos infinitos hablan. (218)
El Reverendísimo Pater Carolus Espínola, que en Nagasaki, en Japonia, el mismo eclipse a las nueve y treinta de la misma noche observaba. (233)

These calques are very frequent in Father Caspar's speech, and they contribute far more to representing his German-based accentedness than do his sporadic CS into German. Lozano reproduces them more often than does Weaver, who tends to restore normal English order to his renditions of the sentences. Both speakers switch into Latin, which is not a foreign language to either of them the way Italian is to Father Caspar and German to Roberto. As Richard Pugh (1996, 63-4) points out in his study of language use among professionals in healthcare and social work, CS sometimes serves them to demonstrate their professional competence. It is common practice in some professional fields, both spoken and written, for practitioners to use terms and allusions that may be expressed in foreign languages. Some examples are classical studies, psychology, theology, literary criticism, and – needless to say! -- semiotics . This is evidently a way to demonstrate to colleagues and others that one can "talk the talk" or "write the writ".

At times, Roberto mocks Father Caspar's calques, as in the following exchange:

Father Caspar: *If you to schwimm would learn, you could these things see. (227)*
Roberto: *If I schwumm, my chest would a keg become. (277)*

Padre Caspar*: Si tú a natar aprenderías, podrías … (229)*
Roberto*: Si yo nadaría, mi pecho fuera una bota. (229)*

There is another exchange along these similar lines. Here, Roberto twits the priest about his mishandling of the syntax of conditional (ifp-then) sentences as concerns the standard choices of verb tense and mode in both protasis and apodosis. In Italian and Spanish, the corresponding forms are past subjunctive and conditional indicative, respectively. It happens that Spanish has forms to match those of Italian, so that Lozano was able to provide direct equivalents. Weaver, lacking such a direct correspondence in English, used different English grammatical resources. The target verb forms are underlined. In translating Father Caspar's sentences, Weaver and Lozano both combine stereotyped spelling of accented speech (*schwimm, natar*) with one of the syntactic calques described above (*If you to schwimm would learn/Si tú a natar aprenderías).*

Father Caspar*: So then try to think what you do if you are God.*
Roberto was caught up in the game. "If I am God" he said, forgetting to use the subjunctive as the God of the Italians commands, "I create new water" (p. 263)

Roberto, embargado por el juego. – Si yo era Dios—dijo, dado que considero que ya no conseguía conjugar los verbos como el dios del buen idioma manda – yo creaba nueva agua. (217)

Occasionally, spelling meant to represent a German accent in the respective target languages includes such forms as *zlides, schwumm, Amérika, tortuca, piragva, natar, acva*. The reader needs to interpret such "eye dialect" in terms of stereotypical German interference with the phonology of the language of publication.

On a few occasions, Father Caspar asks Roberto to translate some term in order to continue his lecture. Here he negotiates meaning relying on their mutual knowledge of French.

Father Caspar: *But if God did not forbid die Wette – how do you say? – the pari…*
Roberto: *Betting.*
Father Casper: *Ah. If God did not forbid* … (291)

Padre Caspar: Aunque si Dios no prohibiera *die Wette* … ¿cómo tú dices? … *le pari …*
Roberto: *La apuesta.*
Padre Caspar*: Eso. Si Dios no prohibiría* … (239)

On another occasion, their shared knowledge of Latin is brought to bear.

Father Caspar: *The island of Ophir, from which they bring him – how do you say?* -- *Quadringenti und viginti* ...
Roberto: *Four hundred twenty.*
Father Caspar*: Four hundred twenty talents of gold*. (253)

Padre Caspar: *La isla de Ophir, de donde le traen ... (¿cómo tú dices?) … quadringenti und viginti …*
Roberto: *Cuatrocientos y veinte*.
Padre Caspar: *Cuatrocientos y veinte talentos de oro* … (209)

Six chapters of *The Island* are replete with intrasentential code-switching, which is the variety that demands of its users high bilingual switching skills to achieve a seamless blend of the two languages. Intersentential/extrasentential switching or code alternation in Sarah Thomason's terms (2001, 136-8) is less demanding of the speaker's bilingual balance, since he or she speaker chooses to produce entire sentences in the other language. In the Roberto/Father Caspar dialogs, there is a single instance in which Fr. Caspar fully switches over to his native German. He then launches into a ranting parody by Germanizing noun and verb in the pattern "Verb-*with-the*-Noun". Each translator adapts the rendition to the resources of his or her respective languages. .

Only the German language – the obsessed Father Caspar now shouted in his native tongue -- *"Redet mit der Zunge, donnert mit dem Himmel, blitzet mit den schnellen Wolken."* or, as he inventively continued, mixing the harsh sounds of different idioms, only German speaks the tongue of Nature, "*blitzes with the Clouds, brumms with the Stag, gruntzes with the Schweine, zlides with the Eel, miaus with the Katz, schnatters with the Gander, quackers with the Dux, klukken with the hen, clappers with the Schwan, krak with the Raven, schwirrs with the Hirundin!"* And in the end he was hoarse from his babelizing, and Roberto was convinced that the true language of Adam, rediscovered . with the flood, flourished only in the lands of the Holy Roman Emperor.(269-70)

Solamente la lengua alemana, ahora gritaba en su lengua materna el padre Caspar poseído, "*redet mit der Zunge, donnert mit dem Himmel, blitzet mit den schnellen Wolken, ,* o como luego inventivamente seguía, mezclando los aspérrimos sonidos de idiomas diferentes, sólo la lengua alemana habla la lengua de la naturaleza, *"blitza con los Nubes, brumma con el Cierfo, gruntza con el Schwaino, tzissca con el Anguicolo, maua con el Kato, schnattera con el Ansérculo, cuaquera con la Gansa, kakkakakka con la Gallina, klappera con la Cigonia, krakka con el Korbaccho, schwirra con la Hirundine!"* Y al final él estaba ronco de tanto babelizar, y Roberto convencido de que la verdadera lengua de Adán, vuelta a hallar con el diluvio, arráigase sólo en las landas del Sacro Romano Emperador. (222)

The "Adamic" language, the "perfect" language, is a recurrent theme in Umberto Eco's essays and essay-novels; in the series of papers brought together in Eco's *Serendipities: Language and Lunacy* (Eco 1998, 54-5), the author points out that European theologians and grammarians long hoped to somehow rediscover the language of Adam, thinking that it might turn out to be Hebrew. Such a language had to be perfect because of its direct analogy with nature. This is the basis of Father Caspar's "babelizing" and of Roberto's conclusion that the Adamic language was really German.

In his study of *The Island*, Italian critic Ruggero Puletti (1997, 337) fails to find Father Caspar's speech believable or natural and expresses his displeasure at this aspect of Eco's text:

"Father Caspar expresses himself by mixing his native German – and he will exalt that language, which he considers to be directly derived from the language of Adam, hence almost entirely immune to the errors and distortions springing from the Babelian confusion – with a clumsy Italian and a bookish scholastic Latin. I'll state at once that the part of the narrative that makes use of this strange language not only fails to persuade me but ultimately bores me, because it's a cold, artificial device that has been constructed." (Translation mine). Puletti refers to the Italian original; here, however, it could relate to how CS comes across to readers in other languages.

Milton Azevedo (2000, 30) calls Ernest Hemingway's use of similar devices in *For Whom the Bell Tolls* "an admirable stylistic experiment in which Hemingway manipulates English and Spanish syntax and vocabulary to give the impression that the characters are speaking Spanish." Sandra Cisneros told Spanish media that she had "worked so as to make the North American reader believe that the characters are really speaking Spanish" (Quoted in Hensey 2004, forthcoming; my translation).

To this end, Hemingway inserts Spanish words and phrases into the English text, such as the expletives *cabrones* and *hijos de puta* and everyday phrases like *nada* and *¿y qué?*, and he calques a variety of Spanish lexical and syntactic patterns. He renders the familiar pronoun of address *tú/te* as *thou/thee* in patterns like *(Understandest thou?, What passes with thee?)* and produces self-censored calques of vulgarities like *I obscenity on the milk* and *Go to the obscenity* and *unprint thyself!*. He also presentes , syntactic calques reminiscent of Father Caspar *(Killed he them with this pistol? a*nd *How are you called?).* All quotes are from Azevedo (2000, *passim)* .

Azevedo (*op. cit.,* 32) in effect answers criticisms like Puletti's by arguing that negative reactions by some critics to this "strange language" and this "artificial device" may be due to misunderstanding of their structure and function; namely, to use such strangeness to draw the reader's attention to language itself and (in Hemingway's case) to make the reader believe that the dialog is actually in Spanish.

As for the translations he examines, Azevedo (43) asserts that "the translation process alters the original relationship between reader and text." He faults translations of Hemingway's codeswitches into the various languages, finding the process unsatisfactory

because it leaves out "the shadow of something vital" (44). However well done *qua* translations, such renditions, by "neutralizing" switches and calques into standard Spanish, French, etc., efface the "otherness" of the characters, including the Spanish-speaking American Robert Jordan and the Spaniard, El Sordo, who at times addresses Jordan in a simulated "foreigner talk" with such utterances as *You like*? and *When blow bridge*?. Thus, Hemingway's "admirable stylistic experiment" often gets lost in translation precisely because of the fact of translation.

Fortunately for Umberto Eco's text, in rendering *The Island* into their respective languages, the translators have avoided neutralizing code-switched units; they transcribe them verbatim and occasionally enhance them with their own expanded renditions. As for calques, Williams and Lozano usually choose to replace them by rendering embedded L2 structures with similar forms and patterns from their respective source languages. Their adaptations and compensations are legitimate translation procedures proposed by Vinay and Darbelnet (*op. cit*., 4-5) and are commonly discussed and taught in current textbooks of English/Spanish translation such as López-Guix and Minette Wilkinson, (1997, 277-97), Zaro and Truman (1998, 24-26), and Vásquez-Ayora (1977, chapters 8.6 and 8.10).

Adaptation and compensation are among the *procédés techniques* of the Comparative Stylistics model introduced by Vinay and Darbelnet (*op. cit*., 258-69). Adaptations attempt to reformulate the original in culturally acceptable versions, while compensations restore in one place a message or shade of meaning which was lost in some other part of the target text. In short, both translators opted to leave most of Eco's translingual devices in place, thus allowing author and reader to share in the game. If translations have impoverished some versions of a Hemingway classic novel by denying the reader access to the author's experiments in creating a certain type of literary dialect, the re-expressive work of Weaver and Lozano gives well-founded hope that their recreations of *L'isola del giorno prima* will not suffer such a fate CS as a stylistic device takes many forms, and it serves to enhance the sort of literature that will become increasingly popular in today's world of transparent borders. The outstanding commercial and critical success of Eco's novels and those of contemporary American authors like Cormac McCarthy and Sandra Cisneros augurs well for translingual-transcultural literature.

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Empowering Spiritualities

A Critical Analysis of Chicana/Latinas Strategies of Self-Representation

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Chicana spirituality grew out of theories of mestizaje and third world feminism and, when enacted, becomes a personal and collective performance of resistance to Western hegemonics (political, spiritual and neocolonial). Chicana spirituality draws strongly from Pre-Columbian and Native American values and customs, but is also infused with mestiza consciousness, which according to Gloria Anzaldúa, calls for a women's movement based on the careful selection of ancestral knowledge (including what they gain from the Spanish and Anglos), interrogation of the oppressive traditions of all cultures and religions, and reinterpretation of history starting with the deconstruction of the virgin/whore paradigm.

The theory of mestizaje characterized by Anzaldúa enables us to express our position as Latinas and Chicanas along the border, but it also acquiesces to our desire to draw elements from other cultures in order to define ourselves. This paper analyzes mestizaje theory as it informs Chicana/Latina spirituality in literature and in ceremonial practices at a community garden in Los Angeles. I specifically examine the ways spirituality serves as an ideological platform by which to negotiate Native American identity and reconfigure gender politics. I argue that in theory and practice few Chicana/Latinas have critically analyzed their values and customs and therefore have failed to see the inadequacies of their empowerment strategies.

While theories of mestizaje are useful in contesting patriarchy they also contribute to racist ideology for they propose a homogenous race based on biological sameness that produces division and hierarchies among ceremony participants and Chicana/Latinas in general. Additionally, to place the body in the realm of spirituality, whether through their performance as Native Americans or as fertile women inevitably leads to their equation to nature, which in turn validates male domination. This paper offers a reading intended to provide a fuller understanding of the ideas that influence the creation of a female centered spirituality articulated in literature and in ritual performances.

AFRIKAANS FOLK SONGS IN NEW JACKETS

During the past ten years a resurgence of Afrikaans folk songs have been witnessed appearing in the Afrikaans popular repertoire. This is a new phenomenon which was rarely present in the ten years preceding the 1994 democratic election. The earliest example that could be traced during this period is the song Pers Reën (Purple Rain) by Johannes Kerkorrel (1992)

Although the singer Randall Wicomb had recorded folk songs, as on the album, Hiep, Hiep, Hoera of 1986, these songs were mostly regionally bound and unfamiliar to the wider public. This study concentrated mainly on folk songs indexed in the compilation of Afrikaans songs, the FAK. The first edition of the FAK was published in 1937 with updated versions appearing in1961 and 1979.

TEN MOST POPULAR FOLK SONGS

Suikerbossie (Sugar bush)
Al lê die berge nog so blou (Although the mountains are still so blue)
Sarie Marais (Name of a girl)
Bobbejaan klim die berg (Baboon climbs the mountain)
Hier's ek weer (Here I am again)
Die trane die rol oor jou Bokkie (The tears are flowing about you Bokkie)
Die Alibama (The Alibama- a ship)
Vat jou goed en trek Ferreira (Pack you bags and go Ferreira)
Ver in die wereld Kittie (Far in the world Kitty)
My hartjie my liefie (My sweetheart my love)

POSSIBLE REASONS THAT HAVE INFLUENCED THE CURRENT POPULARITY OF AFRIKAANS FOLK SONGS.

Afrikaners taking pride in their language, were forced by the change after democracy to rethink their cultural heritage. The Afrikaans youth does not carry the political language burden as found in previous generations.

The world becoming a global village has seen many Afrikaans-speaking South Africans emigrating and working overseas. Afrikaans clubs exist in the major centres of the most popular countries where many South Africans have emigrated to: Australia, New-Zealand and Canada.

The Afrikaner in general is much less politically inclined than before and much more social. The social commentary in the song Afrikaners is Plesierig by Karen Zoid, is an example of this trend. During the past ten years, people do not want to listen / get involved in politics, the majority just wants to party and have a good time. Dance music has therefore increasingly become much more popular. The song medleys are geared towards a dancing audience.

The emergence of a number of Afrikaans Arts Festivals, such as the two big ones, Aardklop and Klein Karoo Nasionale Kunstefees, the many smaller ones (as found in Bloemfontein, Hermanus, Thabazimbi, Nelspruit) as well as cultural festivals in other countries (KaNasie in Alberta, Canada and Ukkasie in London, United Kingdom).

The active participation of audiences in singalong events. The reluctance to sing Afrikaans songs and especially those from the FAK has changed. Artists such as Pieter Smit, Jacques de Coning and Theuns Jordaan entertain a singing crowd in the student bars on Afrikaans campuses and at the many festivals. These events are conducive to attract a variety of age groups. Characteristic of the recordings released and performances by these artists are the medleys which combine a variety of folk songs with other popular Afrikaans songs. The medleys draw upon the original words and music thereby enhancing the joy of remembering the words of one's youth. Although it is similar to a Karioke experience, the fact that live artists lead the singing, enriches the experience.

Record producers, interpreting the market, advising artists to include folk songs on albums. A number of compilation discs have been released during the past few years and artists such as Randall Wicomb and Lucas Maree have recorded compact disks that only include folk songs. The fact that the Afrikaans community buy compact discs and that piracy or the illegal copying of discs are not such an issue, further help the artists. This point is highlighted with the Afrikaans artists, Steve Hofmeyr producing the top selling South African CD during 2003, despite the so much bigger African audience. The selection and variety of Afrikaans music has further widened during the past ten years. Afrikaans songs are now using a variety of styles such as rock, jazz, blues, folk.

Music mirrors the general trends currently occurring in South African. Musicians do not merely follow the overseas trends, which is demopnstrated in the artists including more local topics in their songs.

CHANGES OCCURRING IN FOLK SONGS

Retaining the basic meaning of the folk song but using different words to tell the story.

Using the original text but changing the meaning through implying social commentary with added words.

Creating a new melody but retaining the original text.
Including short melodic references to a specific song.
Combining more than one folk song into one song.
Alternating new material with a reference to one folk song.
Changing the style.
Changing the mood of the song.
Changing the tonality of the song.

SUIKERBOSSIE SEEN FROM DIFFERENT PERSPECTIVES

Fred Michel, a Cape Town dance-band leader, composed the now famous Afrikaans love song, 'Suikerbossie ek wil jou hê' (Sugarbush, I want you!) while picnicking amidst Sugarbushes on Lion's Head. It received worldwide acclaim in the 1940's when broadcasted on the NBC Blue Network on the regular weekly radio programme, 'African Trek' by the American singer, Josef Marais. He performed South African favourites with his Bushveld Band in the United States, but also on short-wave to Africa. His long playing record, 'Songs from the South African Veld' was released in 1949.

In the first verse the speaker sings about a girl, Suikerbossie, who he would enjoy knowing better, but wonders how her mother would react if it comes true. In the second verse he dreams about the two of them walking together under the moon light. These two verses of Suikerbossie often appears as the entire song.

The second part which is periodically omitted, describes the domestic virtues of Suikerbossie. Despite the fact that she cannot cook or bake bread and her tea is too weak, the speaker is willing to wait for her.

Jacques de Coning uses Suikerbossie as part of a medley of songs. He includes both parts of the song without altering the melody or the words. The medley combines three other folk songs from the list of popular ten (Al lê die berge, Sarie Marais, Hier's ek weer) as well as two others: O brandewyn laat my staan (O brandy please leave me alone) and Jan Pierewiet. The popular songs included are: Osbraai op Kromdraai (Oxbraai at Kromdraai), Kruidjie roer my nie (Don't bother me), Klein bietjie wyn (Just a little bit of wine), Stoksielalleen (Alone) and Lisa se Klavier (Lisa's Piano).

Randall Wicomb's rendition is another exact melodic and text interpretation although the second part is omitted. It is a happy version with a strong rhythmic accompaniment. An instrumental melodic interlude starts the song and later repeats the Suikerbossie melody, before the singer returns to repeat the song a second time.
Nadine uses the complete song, exact melody and lyrics. Tempo changes are exploited to change the style of Suikerbossie. The instrumental introduction starts with an electronic keyboard following by a typical Boeremusiek sakkie-sakkie part. The singer starts with a much faster upbeat version of the song. In the second part ('she cannot cook') the tempo is slowed down and the sakkie-sakkie character returns. This procedure returns twice, the first time it follows the exact phrase structure: 'Suikerbossie ek wil jou hê' - fast; 'Dan loop ons..' slow, while the second time the upbeat part continues into 'Dan loop ons' and gradually slowing down and moving back into the sakkie-sakkie style.

The Dutch singer, Stef Bos arranged Suikerbossie enhancing the melancholic and longing character of the song. Starting the song with added lyrics, he reflects on his travel southwards, following the path of the old ships far across the equator to where his heart is calling. In his reflective mood he believes that his love must be somewhere. He searched for her, from day to night from Mpumalanga to the Cape and if he has to, he would be prepared to go to the moon in search for her. The second verse reflects his longing that maybe the two of them would walk in the moon light together as that is what makes life worthwhile.

The thinly textured guitar accompaniment with the balalaika playing the melody while the singer mostly speaks the words, enhances the reflective mood. Bos also omit the second part of the song.

Lucas Maree utilizes a light jazz character to represent his version of Suikerbossie. The new lyrics describe the speaker hiding behind his shyness as a reason why he can not pronounce his love for her. In stead of describing Suikerbossie's virtues, the speaker uses the contrasting second part to belittle her lover, Francois: 'He cannot speak French he lied to you, he did not pass his language at school', 'He does not own a farm nor does he play rugby', 'His sports car belongs to his father, he asks his mother's permission before he goes out, and unfortunately Suikerbossie said yes to him before the speaker had a chance to tell her how he felt about her.' The character of the contrasting second part becomes more demanding, almost as if the speaker wants to convey to Suikerbossie to rethink her decision.

The song ends with the speaker's reiterating that he wanted her, but reflecting that if only he had told her in time.

Suikerbossie Blues by Jakkie Louw combines the words of the two folk songs Suikerbossie and Hier's ek weer with completely new melodic material in a blues version. The song follows a Binary Form with the A section using the folk song references and the B section in the form of a chorus using the words: "I have the Sugar bush blues".

In the A section both songs are performed in a speaking fashion, with strategic words changed which impact on the meaning. The 'mother' in the original version is changed to 'boyfriend'. In 'Hier's ek weer'the speaker has arrived on her doorstep with his 'kakies', emphasizing the traditional Afrikaans fashion. He also suggests that he wants Suikerbossie to cuddle her.

In the B section the singer reiterates that he has 'the Suikerbossie Blues', with Suikerbossie causing him grief. The singer alternates twice with the instrumental part, strongly emphasising the blues style.

The group Disselblom uses several folk songs in their song, Diereverdriet (Animal sadness/grief) strongly using the themes 'mountain' and 'lie' to link the songs.

Diereverdriet starts with 'Al lê die berge nog so blou'. This melody is used throughout the song to depict the story of a problematic relationship.. 'Bobbejaan klim die berg' is quoted secondly suggesting that handling a relationship is as difficult as climbing a mountain. In this specific case

the female baboon is being portrayed as the angry demanding partner. Suikerbossie is the third folk song used. The changes in the lyrics explain that the speaker wants to lie down with Suikerbossie, but knows that she will deny his request. He subsequently packs his bags and leaves as he sees no future in the relationship, quoting the fourth folk song 'Vat jou goed en trek Ferreira'. The song ends with the words 'And baboon died without love' returning to a very sad and melancholic rendition of the first 'Al lê die berge nog so blou'.

Suikerbossie does not feature prominently in the song 'Daar lê die ding' by Kurt Darran. The lyrics of the two phrases 'Suikerbos ek wil jou hê, vanaand as die son en die maan gaan lê' (Sugarbush I want you, tonight when the sun and moon are gone) are the only reference used, without any melodical references.

As the name indicates to the listener the song 'Daar lê die ding' would have the most prominent reference, both musically and in the lyrics. He alternates the references to the lyrics of several folk songs with the exact words and melody of 'Daar lê die ding'. The first reference links Suikerbos with Afrikaners is Plesierig, and the second the four folk songs Die trane die rol oor jou, Al lê die berge nog so blou, Dis julle wat die wind laat waai en Kaapse Draai.

Valiant Swart composed the instrumental punk rock interpretation of Suikerbossie arranged under the name Shake-a-bossie / wingerdstomp in 1998. Occassionally the instrumental melody has a touch of Boeremusiek in the sound.

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The Crisis of the Post-Civil War South: An Historical Narrative of a Defeated People

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The Crisis of the Post-Civil War South:
An Historical Narrative of a Defeated People

"There is much discussion today about the Confederacy and its place in today's world. I do hope that you view these as they are intended—as an educational aid to teach facts that may be left out of current history books."

—Kathy Smith Brewer, Third Vice President General of the United Daughters of the Confederacy, in an Email Correspondence on February 24, 2003.

The "educational aids" Kathy Smith Brewer made reference to in the above quotation were the United Daughters of the Confederacy's catechisms for children. I had contacted Ms. Brewer to ask if she had any information on the UDC catechisms—or mini-history books used to teach Southern children about Southern history—printed in 1904, 1908, 193?, and 1934; for example, I asked about how many were printed, if they were local or national catechisms, and if they had been used in Southern schools. After answering many of my questions, Ms. Brewer concluded her Email with the statement above which prompted me to think not only about the "place of the Confederacy in today's world," but also about the place of the UDC catechisms within their historical context. As any public address student would, I thought about how the events and attitudes of the post-war era informed the content of the catechisms, and about how the catechisms themselves fit into that context. In order to answer these questions and properly contextualize the UDC catechisms for a future project, I devote this essay to historicizing the post-Civil War era in the South. In addition to contextualizing the catechisms, this essay also contextualizes the rhetorical responses of ex-Confederates in the post-war era, which will also be the subjects of future research.

It is important to remember while reading this essay that there are numerous historical narratives one may tell about the South after the Civil War; for example, one may follow the freed slaves through their civic struggles, walk in the shoes of the poor white farmers, observe

the political battles in the new state legislatures, or recount the economic trials and tribulations that kept the South on its toes. The narrative I construct in the pages of this essay focuses on how white ex-Confederates responded with humiliation, bitterness, and resentment to major events in the decades following the Civil War, and how their feelings contrasted with their refusal to remember and identify themselves as a defeated people. In building this narrative, I include an examination of women's memorial associations, particularly the United Daughters of the Confederacy, for their place in rebuilding memory and identity in the post-war South. Because the UDC's narrative necessarily includes the Children of the Confederacy—the organization for whom the UDC wrote their catechisms and through whom they believed they could perpetuate their versions of identity and memory—I write them into my narrative as well. While the historical narrative in this essay might seem narrow and limited, I offer historian Staughton Lynd's philosophy on history-writing to explain my motivation: "To study history…is to strive simultaneously for a clear, selective focus and for an integrated, over-all view" (vii). It is my hope that the focused historical narrative I construct in these pages will also give the reader a general sense of the post-war era in the South.

It is also important to keep in mind while reading this essay that I withhold judgment on historical controversies debated in the scholarly literature. For example, some scholars have debated whether Radical Reconstruction was successful or not; specifically, if the decade of Reconstruction should be shamed as a "tragic era," or if it should be lauded for its "revolutionary aspects."[1] Others have argued that the embittered post-war South brought much of its hardship

[1] In arguing for Reconstruction's success, Paul H. Buck highlighted "the accomplished fact of Southern restoration to full political rights within the Union" (169); John H. Franklin deemed "the most revolutionary aspect of the reconstruction program" the fact that roughly 700,000 former slaves were enfranchised and entered the "political arena" (86); and Eric

upon itself; for example, historian Forrest G. Wood argued that, "by his attitude and actions he brought down upon his back the wrath of the radicals in Congress. The unreconstructed white Southerner, as much as anybody, was responsible for his own misery" (43). Whether Reconstruction was a success or not, whether white ex-Confederates brought hardship onto themselves, or whether they were even justified in feeling bitter and resentful are not the immediate concerns of this essay.[2] I am ultimately interested in studying how the ex-Confederates who did feel resentful, bitter, and humiliated reacted and rhetorically responded to significant events from 1865 to 1930.

A Defeated People Respond to Defeat

The story of the UDC catechisms begins with the Civil War itself. From December 20, 1860 to February 1, 1861, seven Southern states seceded from the United States of America. The seceded states were fearful that the newly elected president and known opponent of slavery, Abraham Lincoln, would disrupt or abolish their way of life. In February of 1861, the seceded states formed their own nation—the Confederate States of America—and by May of 1861, four

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Foner argued that Reconstruction was successful because of the political ground gained by ex-slaves (xxv).

Yet, historians have also argued that Radical Reconstruction was a "tragic era" (as so deemed by Claude G. Bowers in his 1929 book *The Tragic Era: The Revolution After Lincoln*) and a "failure," mainly because it "did not go far enough" (Wood 92). Historian Staughton Lynd argued that Reconstruction failed because of "the futility of trying to coerce deep-seated attitudes by legal or military force," because "it did not give the freedman land of his own," and Reconstruction "stopped too soon" (4, 8, 5). Clark and Kirwan argued that while it may celebrate successes, Reconstruction also must admit its failures, the most significant of which was "produc[ing] a trauma in the southern psyche from which its people would not soon recover" (50).

[2] Of course, it must be mentioned that some Southern people were not bitter at all; instead, they were optimistic and "determined to work and, if necessary, fight to preserve what was left" (Franklin 4-5). The rhetoric that emerged from these optimistic and future-oriented Southerners formed the backbone of the New South myth.

more states joined the Confederacy.[3] By the time secession was complete, most Northerners believed that the Southern states had no constitutional right to secede and therefore considered the Confederacy "states in rebellion." President Abraham Lincoln reportedly had little interest in answering the question of whether the Confederate States were still in the Union or had lost their legal lives by secession; as such, Lincoln insisted on waging war with the Confederate States under the assumption that "it was a rebellion of citizens rather than a revolt of states" (Ezell 60). The Confederate States argued that the Constitution did allow for secession, and because they were no longer part of the United States, they were about to fight a legitimate war, not a "rebellion."

The American Civil War began on April 12, 1861, when Confederate forces attacked Fort Sumter, South Carolina. The causes of the Civil War have been fiercely debated by historians, some citing such causes as "economic differences, constitutional conflict, conspiracy theories, bungling generations, cultural clash, and various other factors" (Wood 64).[4] But as historian Forrest G. Wood has argued, historians do not much debate the causes of the Civil War any more because after the smoke cleared, "the slavery issue still loomed as the greatest single antecedent of the sectional conflict" (64). While Wood's assessment is accurate, the slavery issue alone does not fully explain why Southerners without slaves supported and participated in the war.

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[3] The eleven states of the Confederacy consisted of Virginia, North Carolina, South Carolina, Tennessee, Georgia, Florida, Alabama, Mississippi, Louisiana, Arkansas, and Texas. The "border states," or slave states that stayed with the Union, were Missouri, Kentucky, Maryland, and Delaware. Defining the "South" is more difficult, though, with historians such as Richard N. Current concluding that "the South, after all, is not so much a place as it is an idea," and John S. Ezell agreeing, "One must therefore be content with the conclusion that history and not geography made the South, that it is a 'state of mind' rather than a geographical or genealogical development" (*Northernizing* 12, *The South* 6). Also see the first three essays in David M. Potter's book, *The South and the Sectional Conflict*, for his definitions of the South.

[4] For a review of the secondary literature on the causes of the Civil War, see especially Chapter Four, "The Literature on the Background of the Civil War," in David M. Potter's book, *The South and the Sectional Conflict*.

Historian John S. Ezell has addressed this dilemma, arguing that while slavery may be viewed as the primary cause, the Civil War was not fought only to retain slavery: "Southerners had come to believe that their beloved Southern way of life was something they could not keep if they remained in the Union. And to them all—the planter, the yeoman, the poor white—it was a way of life worth dying for" (22). Fighting to protect slavery and their way of life, Confederate men across social and economic classes fought the war until April 9, 1865, when the leader of the most important Confederate army, General Robert E. Lee, surrendered that army to General Ulysses S. Grant at Appomattox, Virginia. Casualties during the war were incredibly high, "with over 600,000 men in two armies losing their lives at a time when the total population barely exceeded thirty million" (Reid 485). Hundreds of thousands more were left physically or mentally maimed (Connelly 91).

Most of the South's citizens, not just its veterans, were left "mentally maimed" after the war as they struggled to understand how the North defeated them.[5] The typical reactions to their defeat were feelings of humiliation, bitterness, and resentment which many white Southerners had already experienced in the antebellum years in response to "Northern interference" by abolitionists, politicians, and other "Yankees." In the post-bellum years, the defeated ex-Confederates clung even tighter to those sentiments: "the war only intensified the anti-Yankee bitterness of Southerners and made them, on the whole, less willing than ever to accept and adopt Northern ways" (Current 57).[6] Discussing the psychology of a defeated people, historian Paul H.

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[5] In *The Waning of the Old South Civilization, 1860-1880s*, historian Clement Eaton argued that "A profound mood of discouragement and pessimism affected the Southerners as a whole after the conclusion of the war . . . For many months after the fall of the Confederacy, the Southern people tried to explain to themselves why the tragic event had occurred" (112-113).

[6] Agreeing that antebellum sentiments remained strong as Southerners faced Reconstruction is rhetorical critic W. Stuart Towns: "The decades of bitterness from the 1830s to

Buck explained, "[t]he defeated tend as readily to resent the implied inferiority of their humiliating position," which acutely defined the feelings and "mental maims" of most white ex-Confederates after the war (vii). Agreeing with such a position, historians Thomas D. Clark and Albert D. Kirwan have argued that when the dust settled after the war, the people of the South were left "groping in a decade of defeat" (2).

The physical wounds the South needed to nurse after the war took the form of defunct state governments, devastated economies, and destroyed landscapes. Most Southerners despaired knowing that rebuilding was all but impossible with their limited resources, especially because two billion dollars worth of human capital—the slaves—were freed (Franklin 3). The South still had its land, which could be cultivated again,[7] but the South's need for capital, specifically Northern capital, eventually became all-consuming. Commenting on Southern attitudes towards the need for Northern capital, Buck asserted, "at no time in the postwar period did Southern morale reach so low a level as when the yearning to escape the dire circumstances of defeat led many to expect salvation from the North" (150).[8] The need for Northern capital

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the end of the War were nourished by the real as well as the perceived wrongs perpetuated upon the South by the Reconstruction governments" (121). Towns went on to argue that, "For years after the guns had cooled, many white southerners felt no interest nor desire to be reconciled to the victorious North…They limped away from the devastation bitter, uncertain, and unreconciled to their conqueror" (121).

[7] For primary sources on how the South revived its agriculture, specifically how it moved away from a one-crop system, diversified its crops, and how tenancy farming and sharecropping became the norm, see Thomas D. Clark's edited book of essays, *The South Since Reconstruction*, pages 61-130, and for a secondary account, see Chapter Four: Farmers on the Land in Clark and Kirwan's book, *The South Since Appomattox: A Century of Regional Change*. For more on challenges to farming, production costs, and crop yields, see John S. Ezell's Chapter Seven: Southern Agriculture, 1865-1930, and for Charles W. Ramsdell's perspective on the South's "Preoccupation with Agriculture," see his essay in Monroe L. Billington's edited book, *The South: A Central Theme*?

[8] For more on the South's need for Northern capital, see *The First New South, 1865-1920* by Howard N. Rabinowitz, especially pages 31-48. In those pages, he argued that the

after the war only added insult to injury for many ex-Confederates already feeling bitter and resentful towards the North.

With their heads hung low, the people of the South opened their doors to Northern capital and the "Yankee investor," who quickly fueled Southern resentments and became a most hated "villain." While many ex-Confederates acknowledged the necessity of Northern investors bailing the South out of debt, historian Eric Foner explained that, "what most annoyed Southern whites was the newcomers' sublime confidence that they knew better than former slaveowners how to supervise free black labor" (137-138). Despite the fact that Northern investments greatly helped the Southern farmers and economies get back on their feet, most white Southerners were "annoyed" by what they perceived as Yankee investors trying to control businesses and "Northernize" the South.[9]

Besides the Yankee investor, the "carpetbagger" was another villain from the North also accused of "Northernizing" and "Africanizing" the South. Foner explained the myth of the carpetbaggers and why they were maligned by the Southern people: "Able to pack 'all his early belongings' in his carpetbag, he supposedly journeyed south after the passage of the Reconstruction Act 'to fatten on our misfortunes,' in the process of poisoning the allegedly harmonious race relations of 1865-67" (294). Believing the carpetbaggers possessed nothing but sinister intentions, the people of the South often described the villains as "grasping, ignorant, unconscionable, filthy, and totally lacking in refinement or any other civilized quality" (Wood

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South needed capital for industrialization (especially for railroads) and agriculture. He also showed how the capital that flowed into the South helped revive the section.

[9] See Richard N. Current's book, *Northernizing the South*, for his discussion of how some Northerners did, in fact, want the South to look like the North. Current examined how the idea of Northernization was crafted in the minds of some Northerners decades before the Civil War began (which, he argued, contributed to Southern secession in the first place), and how ideas of "Northernizing" the South carried through and after the War.

55). Southerners developed and expressed deep-seated resentments for the "unrefined" Northern carpetbaggers whose primary goal, they believed, was "poisoning" and taking advantage of the South.

The "scalawag" was yet another villain in the South. The derisive term was applied to any "'traitorous' white southerners who supported the Republican 'invaders'," or in other words, did not support secession or the war (Rabinowitz 76). Embittered ex-Confederates believed that these "traitors" were "motivated not only by the chance for private gain…but also by spite. Here was their chance to get even with the haughty plantation overlords who had been toppled by the war" (Wood 55). Like their beliefs about the carpetbaggers, the ex-Confederates who applied this term believed wholly in the devious and vengeful intentions of scalawags. While historians have argued that most carpetbaggers and scalawags were well-intentioned individuals who were largely misunderstood,[10] it is most important to keep in mind Southerners' perceptions of these people as outsiders and even enemies whose sole purpose was "Northernizing," "Africanizing," and even "poisoning" the South.

Besides the "villains," a major source of resentment for the ex-Confederates facing Reconstruction was with the Northern occupying army in the South: "Nothing offended the warriors of the Lost Cause more than the presence in their towns and villages of companies and

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[10] For more on the misconceptions of carpetbaggers, see especially Richard N. Current's essay, "Carpetbaggers Reconsidered," or his more recent book, *Those Terrible Carpetbaggers: A Reinterpretation*, John H. Franklin's *Reconstruction After the Civil War*, pages 93-103, and Forrest G. Wood's *The Era of Reconstruction, 1863-1877*, pages 55-60. Also see Jack B. Scroggs' essay, "Carpetbagger Constitutional Reform in the South Atlantic States, 1867-1868," for his argument that the South actually needed more carpetbaggers during Reconstruction.

For more on the misconceptions of the scalawags, see Trelease, Allen, "Who Were the Scalawags," Otto H. Olsen's "Reconsidering the Scalawags," and James A. Baggett's *The Scalawags: Southern Dissenters in the Civil War and Reconstruction*.

regiments of the victorious army—including Negroes, many of them former slaves—to remind them of their humiliation" (Franklin 35).[11] The responsibilities of the military in the South were to organize new state governments according to the congressional plan, administer oaths of loyalty, and register as many qualified voters, including former slaves, as possible. Ezell pointed out that some military occupiers were "reckless with their power, suppressing Confederate veteran organizations, parades, and other symbols of the lost cause," but that most were essentially "good men doing a distasteful job" (82). Again, while historians have argued that "the strength and influence of the military forces in the South between 1867 and 1877 have frequently been exaggerated,"[12] what is most important to understand is the Southern perception of being invaded and controlled by an intrusive force; a perception that only fueled their feelings of resentment for years to follow (Franklin 119).

Another source of agitation for Southerners was the "Bureau of Refugees, Freedmen, and Abandoned Lands," or more commonly known as the "Freedmen's Bureau." Congress created the military-run Freedmen's Bureau in March of 1865 to "aid refugees and freedmen by furnishing supplies and medical services, establishing schools, supervising contracts between freedmen and their employers, and managing confiscated or abandoned lands" (Franklin 37-37). While the Bureau was created to assist both blacks and whites after the war, many poor whites

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[11] Explaining this resentment further is historian Clement Eaton: "Southerners bitterly resented the use by the North of Negro troops, many of whom were slaves recruited from Kentucky and the occupied regions of the South. There was something ignoble they thought in the eagerness of Northern states to recruit Negroes from the South, even using brokers, to fill out their quotas in the draft and thus to avoid conscripting some of their white men" (114).

[12] John H. Franklin, in *Reconstruction After the Civil War*, argued that the numbers and influence of the occupying army have been exaggerated (see especially pages 35-36, 119-121). John S. Ezell did not make a judgment about whether or not perceptions of the occupying army have been exaggerated, but he did inform his readers that the occupying army throughout Reconstruction numbered 20,000 troops, distributed in ten states at 134 army posts (82).

simply refused the assistance: "asking the Freedmen's Bureau for help now would have been, in their minds, tantamount to admitting social equality with blacks" (Wood 26). The Freedmen's Bureau is credited with helping thousands of refugees and freedmen after the war,[13] yet most white Southerners, including President Johnson, viewed it as just another source of outsider aggression and intrusion: "Since it stood in the way of states' rights and self-government, they were resolved that it should be resisted. Thus, to former Confederates the Bureau was a symbol of outside interference that every self-respecting Southerner could be expected to oppose" (Franklin 39). Those who were opposed to the Bureau expressed their opposition by refusing assistance—which, incidentally, may be read as an example of Southerners bringing hardship upon themselves—by blocking legislation to extend its tenure[14] and some even turned to violence by burning down schools where Bureau workers taught black students. However they chose to resist, it was clear that most white Southerners resented the Freedmen's Bureau.

A major cause of tension for white Southerners immediately after the war was "the Negro question." Abraham Lincoln had declared freedom for all slaves in the rebellion states on January 1, 1863, with his Emancipation Proclamation. While most slaves were not actually freed at that time because the Confederate States rejected the Proclamation, the Thirteenth Amendment which was ratified in December of 1865 abolished slavery and brought freedom to four million

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[13] The Freedmen's Bureau's accomplishments were indeed substantial: "Within four years the Bureau had issued twenty-one million rations to white refugees and Negro freedmen. It established more than forty hospitals and spent more than two million dollars in treating 450,000 cases of illness. It assisted in the settlement of some thirty thousand persons who had been displaced by the war. It restored, at the insistence of President Johnson, most of the abandoned lands to pardoned rebels" (Franklin 37). For more on the Freedmen's Bureau, see Foner 142-170.

[14] In 1866, President Johnson vetoed a bill to extend and enlarge the Freedman's Bureau, but months later, Congress passed another Freedman's Bureau Act over the president's veto thereby extending the life and functions of the Bureau.

slaves. Unsatisfied with the Thirteenth Amendment, Northern reformers advocated for full citizenship and suffrage rights for the former slaves, some even pushing for suffrage as a prerequisite for re-entrance by the Confederate states into the Union. Most Southern whites outright opposed the idea: "For Southern whites such a proposition was absurd. They held that Negroes were not only unprepared for politics but, because of their innate inferiority, were unfit" (Franklin 43). The thing white Southerners feared most was "Negro rule," or the idea that former slaves would take control of their state governments. The apprehension of "Negro rule" included a fear that freedmen would outvote the white men, and that votes by former slaves would be protected to insure a majority while at the same time white men were systematically disfranchised.[15] Regardless of whether or not their fears were founded, white Southerners argued "stolidly and unyieldingly for control over a problem they insisted was domestic in nature," and that the "Negro question" required home rule (Buck 283).[16]

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[15] Historians have examined "Negro rule" in the South, mostly, as a gross exaggeration by Southern whites. For example, John H. Franklin argued that, "Negroes were not in control of the state governments at any time anywhere in the South" (133). For more by Franklin, see pages 133-138, and especially page 102, where Franklin provided a quantitative comparison of blacks and whites in state conventions, 1867-1868. Also see Forrest G. Wood who argued, "there was never much real evidence to support the charge that the freedmen were taking over, and, in particular, that southern whites had been disfranchised to guarantee a black majority" (68). Finally, see Rabinowitz's argument that "Africanization" was an exaggeration in pages 75-76 of *The First New South: 1865-1920*.

But on the voting front, see Clark and Kirwan who have argued that by the time the First Reconstruction Act was fulfilled, "a total of 703,000 Negroes and 627,000 whites were enrolled in the five districts. Registered Negroes outnumbered whites in Alabama, Florida, Louisiana, Mississippi, and South Carolina, despite the fact that only in the last two states were Negroes a majority of the population" (34). Of course, the number of registered voters at this time was much larger than the number of people who actually voted, especially among the black voters who were kept from voting in the South by way of Jim Crow laws, terrorism by the KKK, and other forms of intimidation.

[16] Historian Eric Foner has argued that "home rule" was a euphemism for "white supremacy" (xix-xx).

One manifestation of whites' attitudes towards ex-slaves, their fear of "Negro rule," and their insistence on dealing with the question themselves was the passage of Black Codes by Southern legislatures in 1865. The Black Codes varied from state to state but most were consistent in denying ex-slaves such freedoms as the right to bear arms, the right to buy or possess alcoholic beverages, the right to leave their houses after ten o'clock at night, or the right to hold special meetings after sunset without permission. To reformers in the North, the Black Codes confirmed their worst fears: "that leaders of the Confederacy were determined to restore as nearly as possible the conditions of the ante-bellum South….to restore the old condition of slavery under a new name" (Clark and Kirwan 28, 29).[17] To white Southerners, besides wanting to keep the former slaves from "ruling," enacting the Black Codes was a way to exert some control over their own territory. Perhaps Franklin explained it best when he argued, "the spirit that lay behind the black codes and other reconstruction measures of the former Confederates was a disquieting feature of 'home rule'" (51).[18] The Black Codes were suspended in 1866 by federal officers, but an organization called the Ku Klux Klan was already forming and deciding to assert "home rule" across the South in yet another way.

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[17] It is important to remember that the North had their own "anti-Negro" laws as well; such as "vagrancy laws, suffrage restrictions, and laws against intermarriage" (Franklin 50). As a matter of fact, Eaton argued that the Black Codes "were derived from the apprenticeship and vagrancy laws applying to whites in the North as well as in the South, the customs of slavery times, the ante-bellum laws relating to free Negroes, British West Indies legislation for ex-slaves, and regulations of the Union Army and the Freedmen's Bureau" (128).

[18] Or in Eaton's words, "The Black Codes expressed accurately the mood and opinions of the Southerners as they faced the colossal problem of establishing a stable social order and of adjusting the former slave to the conditions of a free society. Many Northerners, especially radical politicians, saw in these codes an attempt to continue the practice of virtual enslavement of the Negro" (129).

Undoubtedly the most violent expressions of bitterness and resentment for the freedmen came from the Ku Klux Klan.[19] The KKK, or the "Invisible Empire of the South," was organized in December of 1865 (the same month the Thirteenth Amendment was passed and months before the Black Codes were finally suspended), by a group of young white men in Pulaski, Tennessee.[20] The white sons of the Confederacy who joined the Klan vowed to protect white supremacy in the South, especially the purity of white womanhood, and to protect ex-Confederates against the dreaded "Negro retaliation." The Klan considered not only black men and women their enemies, but also the Freedmen's Bureau, Northerners, carpetbaggers, scalawags, the black militias, those who supported Radical Reconstruction, and those who even associated with former slaves as equals. Klan members "protected" white supremacy with such tactics as whipping, maiming, mutilating, beating, burning, hanging, and generally intimidating and terrorizing those who challenged white dominance in the South. While it was only a small minority of Southerners who actually participated in the KKK, it is the wide-spread support they received throughout the South that is most significant: "it is…a commentary on the attitude of a majority of whites that they not only tolerated the terrorists, but, in many instances, welcomed and encouraged them….And to much of the white population, these men were the saviors of the

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[19] Other white supremacy groups in the South during Reconstruction were the Knights of the White Camellia in Louisiana, the Knights of the Rising Sun in Texas, the White Line in Mississippi. Others across the South included the Constitutional Union Guards, the Pale Faces, the White Brotherhood, the White League, the Council of Safety, and the '76 Associations. For more on the KKK, see Allen Trelease's *White Terror: The Ku Klux Klan Conspiracy and Southern Reconstruction*.

[20] To read about white women's participation in the Ku Klux Klan, read Kathleen M. Blee's book, *Women of the Klan: Racism and Gender in the 1920s*.

South" (Wood 80, 81).[21] The KKK and its supporters were very much active by the time Radical Reconstruction began in 1867.

The political struggle over Reconstruction planning began before the Civil War even ended, and most former Confederates found themselves on the sidelines as helpless and anxious observers rather than active participants.[22] The major bone of political contention was that the Constitution, which contained no provision for disunion and reunion, did not specify which branch of government should be in control of Reconstruction: the executive or legislative. As such, both branches began constructing their post-war plans for the South and debating them bitterly. Having effectively won the struggle over Reconstruction, the Radical Republican-controlled Congress began crafting their plans for Reconstruction with the Fourteenth Amendment.[23] Based on the Civil Rights Act of 1866, the Fourteenth Amendment defined

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[21] The Klan was eventually pushed underground by way of the Third Enforcement Act or "Ku Klux Act," which became law on April 20, 1871. The Enforcement Acts of 1870 and 1871, passed by Congress to stop the KKK by enforcing the Fifteenth Amendment, proved wholly inadequate (the Fifteenth Amendment was ratified on February 3, 1870 and granted citizens the right to vote regardless of "race, color, or previous condition of servitude"). Blee found that even before the 1871 Act, though, the Grand Wizard of the KKK in 1870 ordered the dissolution of the organization, "insisting that atrocities blamed on the Klan were in fact committed by opportunistic nonmembers" and as such, "the local remnants of the first Ku Klux Klan disintegrated during the mid-1870s" (16).

[22] For more on the political struggle over Reconstruction—including the struggles between President Lincoln and Congress over their plans for reconstruction, the Civil Rights Acts, the Thirteenth, Fourteenth, and Fifteenth Amendments, the struggles between President Johnson and Congress, and the four Radical Reconstruction Acts—see Chapter One: Reconstruction and War (especially the sections entitled "The President Acts" and "The Congress Reacts"), and Chapter Two: Congressional Reconstruction in Forrest G. Wood's book, *The Era of Reconstruction, 1863-1877*, Clark and Kirwan's Chapter Two: Political Reconstruction in their book, *The South Since Appomattox: A Century of Regional Change*

[23] It is interesting to note that the Radical Republicans ruled Congress only in influence, not in numbers. Wood succinctly explained the control Radicals enjoyed in Congress at the time: "An aggressive minority faction had demanded fundamental changes that conservatives resisted. When moderates grew disenchanted over the president's unwillingness to consider even the most reasonable reconstruction proposals, they joined the radicals in

citizenship as "All [male] persons born or naturalized in the United States" and as such, "no state shall make or enforce any law which shall abridge the privileges or immunities of citizens of the United States; nor shall any state deprive any person of life, liberty, or property" (Cornell Law Web Site). The Fourteenth Amendment passed both houses in June of 1866 to the delight of Radical Republicans and to the chagrin of most ex-Confederates. White Southerners perceived the Amendment as yet another unfair punishment, another outside interference, and another encroachment on home rule. As such, most Southern states refused to ratify the Amendment, but the Radical Republicans would not be deterred as they pushed through Congress the First Reconstruction Act in March of 1867.[24]

The decade of Radical Reconstruction from 1867 to 1877 brought new sources of hope to the South—such as the election of Ulysses S. Grant in 1868, relaxed military control in the South during elections, reviving state economies, and rebounds in agriculture—but it also introduced new reasons for low morale, such as inflation and debt that plagued the Southern states, as well as corruption and graft which was widespread across the nation. Also, the state governments in

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overruling him and attempting to overthrow him" (92). Clark and Kirwan explained that "the radicals owed much of their victory to Johnson, whose unyielding attitude had recruited moderates to their cause, so that the early radical minority was not turned into a majority" (32).

[24] The Second Reconstruction Act was passed later in the month explaining how the military commanders were to carry out reconstruction in the South: "This involved the registration of voters who could take an 'ironclad oath,' the election of delegates, the assembling of conventions, and the adoption of state constitutions" (Franklin 72). The Third Reconstruction Act was passed over Johnson's veto months later, in July 1867, and it empowered registration boards "to deny registration to anyone they thought had not taken the oath in good faith, a provision that invited abuse because a board could disfranchise someone with only a tissue of evidence" (Wood 45). Then in March of 1868, a Fourth Reconstruction Act was passed because "Alabamans defeated their proposed constitution by registering and then not voting on the constitution one way or the other" (Franklin 72). The Fourth Act made it so that "a majority of the votes actually cast would be sufficient to put a new constitution into effect, even if a large number of registered voters stayed away from the polls when the constitution was up for consideration" (Franklin 73).

the South strained under the weight of new government plans which included improving public education, building railroads and new roads, and reorganizing the penal systems. And while taxation and borrowing were the South's primary strategies for meeting their new needs and challenges, many Southerners accused the new governments—which, in their minds, were being run by carpetbaggers and scalawags anyway—of "stealing" money from them through taxation.[25]

In the decades after Reconstruction ended, the political, social, and economic situations in the South changed very little, which may in part explain why many ex-Confederates still clung tightly to their grudges: "They felt that they were badly treated by reconstruction and were bitterly resentful," Ezell argued (87). Furthermore, these feelings of bitter resentment "did not die out with the return of home rule to the section and became one of the factors which account for the continuance of a 'self-conscious' South long after the last federal troops had been withdrawn" (Ezell 87). And still, the people who bore the brunt of the white Southerners' bitterness were the former slaves, and again, a main front was voting and political participation. For example, to keep black men from voting, polling places were changed at the last minute, ballots were made long and complicated, and literacy tests were required before one could vote. Still more ways of disqualifying or discouraging the freedmen's votes were frequent gerrymandering, setting time limits on how long a voter could spend in the voting booth, setting up registrations and elections in areas far from black settlements, and imposing poll taxes and property requirements that the freedmen and poor whites could not afford (Ezell 178).[26] As a

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[25] As a matter of fact, Ezell argued, "considering their financial bankruptcy, Southerners became the most heavily taxed people in United States history" (85).

[26] See also Rabinowitz, especially pages 113-114 where he discussed the "grandfather clause" and the "good character clause" as two more methods of disenfranchisement, as well as Thomas D. Clark's *The South Since Reconstruction* for primary documents such as the 1890 "Mississippi Plan" that contained the literacy provision, poll taxes,

result, most black men simply stopped voting, and significantly, "Effective political power therefore remained where it had been before the war—with an oligarchy, a small ruling clique, which wielded power far out of proportion to its numerical strength" (Franklin 219).[27] In other words, despite the war and a decade of Reconstruction efforts, the post-Reconstruction era in the South looked in many ways identical to its antebellum era, resentments and all.

On the social front, whites continued to hold grudges against emancipation by segregating blacks from them in public institutions, especially in churches and schools. In 1896, the Supreme Court ruled in *Plessy v. Ferguson* that it was legal to separate the races in public as long as accommodations were equal, a victory for many Southerners.[28] The "separate but equal" clause became the law of the land, especially in the South, where Jim Crow laws were passed to keep the races separate in all public capacities. Jim Crow laws closely resembled the Black Codes of 1865-1866; for example, it was illegal for whites and blacks to attend the same schools, in some states it was illegal for a black barber to cut a white woman's or child's hair, for a restaurant to serve both blacks and whites, for a hospital to require a white nurse to work in wards where black men were admitted, and like the Black Codes, it was illegal in most states for blacks and whites to intermarry. Again, these laws were largely motivated by white fear of "Negro rule," miscegenation, economic competition, as well as the desire many whites had for

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and other forms of disenfranchisement (pages 149-151), and "The Grandfather Clause" as it appeared in Louisiana's state Constitution in 1898 (pages 152-154).

[27] Historian Howard N. Rabinowitz has argued similarly, that "by 1920, the South, despite often momentous instances of change, was more as it had been in 1865 (or even 1860) and less like the North than New South spokesmen had hoped it would be or claimed it had become" (4).

[28] To read the *Plessy v. Ferguson* Supreme Court decision, see pages 155-167 of Clark's edited book, *The South Since Reconstruction*. Also see Clark's pages 237-243 for the 1954 *Brown v. Board of Education* decision which declared *Plessy v. Ferguson* unconstitutional in public schools.

racial supremacy; but this time, because they were sanctioned by a Supreme Court ruling, the Jim Crow laws lasted well into the 1960s.

Another unfortunate but perhaps predictable feature of the post-Reconstruction era was the violence visited upon those who made any gesture of equality. The years between the end of Reconstruction in 1877 and the beginning of the Great Depression in 1930 is often referred to as the "lynching era." Historians Stewart E. Tolnay and E. M. Beck found that, "During these years we may estimate that there were 2,018 separate incidents of lynching in which at least 2,462 African-American men, women and children met their deaths in the grasp of southern mobs, comprised mostly of whites" (17).[29] Black men, women, and children were hanged, burned, dismembered, and beaten—tactics similar to the KKK's during the Reconstruction era—and as a matter of fact, lynch mobs were often joined or roused into action by the KKK themselves who reemerged in 1915. The reasons that warranted lynching in the minds of some white Southerners included acting suspiciously, gambling, adultery, being improper with a white woman, arguing with a white man, incest, resisting a mob, slander, being obnoxious, injuring livestock, spreading disease, insulting a white man, throwing stones, trying to colonize blacks, demanding respect, trying to vote, unpopularity, acting uppity, vagrancy, peeping tom, voting for wrong party, frightening a white woman, and poisoning a well (Tolnay and Beck). The fear of

[29] Tolnay and Beck found that the reasons why whites lynched blacks were similar to their reasons for passing the Jim Crow laws: "In addition to the punishment of specific criminal offenders, lynching in the American South had three entwined functions: *first,* to maintain social order over the black population through terrorism; *second*, to suppress or eliminate black competitors for economic, political, or social rewards; *third*, to stabilize the white class structure and preserve the privileged status of the white aristocracy" (18-19).

"Negro rule" and the desire for total white supremacy in the South were arguably as strong in 1930 as they were in 1865.[30]

Behind the enactment of the Black Codes, resistance to the Freedman's Bureau, resentment of the occupying armies, objections against "unfair taxation," the brutality of the KKK, refusal to amend the Fourteenth Amendment or support Radical Reconstruction, the creation of Jim Crow laws, the lynching era, and animosity for the Yankee investors, carpetbaggers, and scalawags, stood a humiliated people embittered by their defeat, resentful of outside interference, and determined to regain home rule.[31] Complicating these feelings even more was the fact that most ex-Confederates refused to identify themselves as a defeated people, and they loathed the thought of being remembered in history as such.[32] Describing these complex tensions, historian Forrest G. Wood explained, "The war had brought defeat and humiliation to a proud people" and "since defeat and humiliation were not the stuff traditions

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[30] For more on segregation, Jim Crow laws, *Plessy vs. Ferguson*, and the lynching era, see Howard N. Rabinowitz, pages 133-157. Also within those pages are discussions of reformers such as Booker T. Washington and W. E. B. Du Bois and their efforts to reform racist policies at the time. For primary documents by such reformers, see Clark's *The South Since Reconstruction*, especially pages 263-287 for George Washington Cable's 1882 speech "The Freedman's Case in Equity," pages 323-342 for W. E. B. Du Bois's 1901 speech, "Relations of the Negroes with the Whites," and Booker T. Washington's 1895 "Cast Down Your Buckets" speech on pages 510-515. Also see Staughton Lynd's book *Reconstruction* where he reprinted speeches and essays from W. E. B. Du Bois, James F. Rhodes, and William A. Dunning on the topic of "Negro Suffrage, Pro and Con," pages 24-81.

[31] Even more reasons for white ex-Confederates' resentments existed at the time; for example, see pages 51-54 of Paul H. Buck's book, *The Road to Reunion, 1865-1900*, for his argument that Southerners were even "further irritated by the arrest and imprisonment of Jefferson Davis," as well as the "martyrdom" of Lincoln by Northerners. Clement Eaton also argued that, "Another source of keeping alive hatred of the victorious North was the humiliating treatment of Jefferson Davis while he was a prisoner at Fort Monroe" (119). Additionally, "Most Southern people were especially resentful of the Yankee "nigger teachers" who invaded their communities to uplift the freedmen" (Eaton 118).

[32] Historian Gaines M. Foster has deftly pointed out that, "Most white southerners, despite their alleged heedless romanticism and obsessive love of the past, were far too realistic to let bitter memories get in the way of rebuilding their society" (5).

were made of, the white Southerner found it necessary to read back and glorify an earlier era in order to find his tradition" (61).[33] Simply put, the defeated people of the South were faced with crises in memory and identity.

Finding the era in which they lived from 1865 to 1930 so humiliating to them, most bitter and resentful ex-Confederates chose instead to remember a better time in Southern history; namely, they chose to remember the romanticized antebellum era (which they expressed with the rhetoric of the Old South myth). In addition to reviving their memories of the antebellum years, white Southerners who despaired in the post-war era also chose to remember the Confederacy, the Civil War, and themselves in glorified terms; these remembrances became the backbone of Lost Cause myth. Because identity is grounded in memories, ex-Confederates chose to remember a glorified and romantic past in order to rebuild their identities in a similar light. Perhaps Wood explained it best when he claimed, "Every culture needs a heritage to survive, and the Southerner was no different from anyone else" (61). Rebuilding their sense of identity and their collective memories in the wake of defeat and in the midst of humiliation, bitterness, and resentment was perhaps their greatest challenge; a challenge met head-on by the women of the South.

Women's Memorial Associations and the United Daughters of the Confederacy

As the people of the South sought to rebuild their identities and remembrances amidst an era of defeat, many voluntary memorial associations formed in response to this exigency.[34] The

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[33] Paul H. Buck has talked about "Southern pride," finding that, "Whatever the cause, whether it was the reflex of Southern provincialism, the defense reaction of a slave society in a world of freedom, or inherent justification, the South did firmly believe in its own superiority. Few people have carried self-respect and self-pride to so sensitive a degree" (28-29).

[34] Voluntary associations refer to reform organizations, memorial associations, and clubs. Reform organizations strive to better society with causes such as temperance, abolition,

memorial associations devoted themselves to honoring the men who fought in the war with commemorative activities such as monument building, awarding crosses of honor to Confederate veterans, recording the stories of wartime experiences, holding banquets for the veterans, orchestrating parades and pageants, sponsoring public programs to mark the birthdays of famous men and the anniversaries of notable historic events, and even decorating the graves of soldiers who died in the war (Sims 131-132). Behind each of these activities was the desire to remember and identify in the most respectful and proud way possible, especially by the women who joined the memorial associations after the Civil War. Women's involvement in public organizations—such as reform organizations, clubs, and memorial associations—"boomed" in the late nineteenth century, perhaps because men finally gave women complete control over the women's organizations.[35]

Until the time when women's associations were left solely in their own care, women's participation in public organizations met resistance from men and women, especially in the South. Historian Anastasia Sims discussed the hesitation some Southern women faced when considering membership in voluntary associations: "perhaps North Carolina women's discretion grew out of their awareness of widespread hostility toward women who openly defied convention. Feminism, an offspring of the abolition movement, was as unpopular in North

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and suffrage. Memorial associations strive to commemorate war and the men and women who fought in wars. Clubs are philanthropic organizations that strive to raise funds, educate about God, and contribute to charity. For further discussion on the "club movement," see Jane C. Croly's seminal work, *The History of the Woman's Club Movement in America*.

[35] The earliest organizations were run primarily by men, while women served as members only. Even some women's organizations in the early nineteenth century were managed by men. Historian LeeAnn Whites has noted that women in the early organizations, such as the Ladies Memorial Associations, "gave over conventionally 'male' aspects of public organizational activities—public speech making, managing the construction finances for monuments, reordering graveyards, and negotiating with building contractors—to prominent men" (141).

Carolina as it was in the rest of the South" (11).[36] As such, the women who joined voluntary associations in the South faced the rhetorical challenges of convincing Southern men that they were not trying to defy convention and that they were instead the most qualified authorities of such commemorative work. For the most part, the upper-class white women who joined the United Daughters of the Confederacy did not intend to overthrow patriarchy or advance feminist agendas.[37] As a matter of fact, they worked hard to reassure men that their intentions were still consistent with "feminine" ideal roles.

The earliest development of the United Daughters of the Confederacy may be traced back to 1890. At this time, a number of unrelated memorial associations across the South began forming and calling themselves "Daughters of the Confederacy" (DOC) in honor of Jefferson

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[36] Historian Anne F. Scott argued that, "the South was slow to develop an organized suffrage movement," although suffrage organizations did eventually form (*Southern* 170-173). For more on women's suffrage organizations in the South, see Aileen S. Kraditor's book, *The Ideas of the Woman Suffrage Movement, 1890-1920*, especially Chapter Seven: The "Southern Question." Some memorial associations did work openly for suffrage, such as the Northern-based Daughters of the American Revolution, but the UDC was not one of them (Scott *Southern* 180). Gaines M. Foster argued that within the group, no clear consensus on women's issues emerged: "some members supported careers for women outside the home; others did not. Some advocated women's suffrage; other opposed it" (174). As an organization, the United Daughters of the Confederacy was not interested in endorsing suffrage.

[37] Foster argued that "although membership records are unavailable, literary evidence indicates that the UDC also had a primarily upper- and middle-class membership" (171). Some nineteenth-century Americans argued that upper-class women *should* devote their time, energy, and resources to voluntary associations, and to educational work. For example, well-known education reformer and teacher Catharine Beecher argued that, "upper-class women . . . should do whatever they could to contribute to the 'proper education' of American children. Whether by teaching themselves, or by raising funds, or by supervising schools in their community, all well-to-do women could do some productive labor for education" (Sklar 143). According to historian Fred A. Bailey, the upper-class, elite women of the UDC openly accepted this assumption: "The United Daughters of the Confederacy gladly embraced this assignment . . . affluent and unfettered by domestic duties, UDC women had both the time and the commitment to review textbooks, lobby school boards, and write literature" (516). Historian Karen L. Cox argued that women were attracted to the UDC "because of its social status" as an "elite" organization (52).

Davis's daughter—"the Daughter of the Confederacy par excellence"—Varina Anne (Winnie) Davis (Poppenheim, et al. 3). The DOC organizations were open to "the widows, wives, mothers, sisters, or lineal descendants of the men who served honorably in the army, or navy, of the Confederate States" (Poppenheim, et al. 22).[38] In 1894, Anna Davenport Raines (a member of the Savannah DOC group) and Caroline Meriwether Goodlett (president of the DOC Nashville group) decided that these separate groups should meet and perhaps form one organization.

Raines and Goodlett succeeded in organizing the DOC groups in Nashville, Tennessee, on September 10, 1894. It was there that the women passed a constitution listing the name of their organization ("National Association of the Daughters of the Confederacy"), as well as their objectives, officers, finance, monuments, representation, powers, insignia/seals, badges, and certificates of membership. The United Daughters of the Confederacy (so named at the 1895 annual convention) continued to grow rapidly year after year. Historian Karen Cox discovered that within a year of its founding, "twenty UDC chapters were chartered representing women in Tennessee, Georgia, North Carolina, South Carolina, Virginia, Maryland, Texas, Kentucky, and Washington, D.C." (48). Within two years of its founding, "eighty-nine chapters had been chartered. By the third year, one hundred and thirty-eight UDC chapters were active. The UDC had grown large enough within its first few years to receive discounted railroad rates for travel to

[38] The minutes went on to state that membership was also open to women "who served in the civil service of the Confederate States, or, one of the Southern States; or, who gave personal service to the Confederate cause; or, those who wherever living, gave aid or comfort to the Confederate States during the war" (Poppenheim, et al. 22).

its conventions" (Cox 48). By the turn-of-the-century the UDC was, in Sims' words, "by far the most popular patriotic group among white southern women" (32).[39]

The UDC's objectives, as outlined at their first General meeting in 1894, were 1) social: "to cultivate ties of friendship among our women whose fathers, brothers, sons (and in numberless case) mothers shared common dangers, sufferings and privations," 2) memorial: "to perpetuate honor, integrity, valor and other noble attributes to true Southern character," or in other words, to positively rebuild Southern identity, 3) historical: "to perpetuate a truthful record of the noble and chivalric achievements of [our] ancestors. All with the view of furnishing authentic information, from which a conscientious historian will be enabled to write a correct and impartial history of the Confederate side during the struggle for Southern independence," which fulfilled their desire to proudly remember their past, and 4) educational: "to instruct and instill into the descendents of the people of the South a proper respect for and pride in the glorious war history, with a veneration and love for the deeds of their forefathers, which have created such a monument of military renown" (*UDC Minutes* 2). Consistent with these objectives, the women devoted themselves to activities such as fund-raising for monuments and memorial markers, providing care for aging Confederate veterans and widows, collecting artifacts for the Confederate Museum in Richmond, Virginia, placing "true" accounts of the Confederacy and the War Between the States in public libraries, awarding scholarships to Southern children, and forming textbooks committees to decide which books were the most sympathetic to the Southern perspective and therefore acceptable for use in the public schools.

[39] Within the first decade of their existence, the UDC attracted nearly thirty thousand women, and by the end of World War I, the organization claimed a membership of nearly 100,000 women (Cox 48-49).

The Daughters were able to pursue these activities with little resistance from Southern men, in part, no doubt, because of the widely held assumption that women were "natural memorializers" who reigned in the "realm of sentiment,"[40] but also, I maintain, because the Daughters crafted a rhetoric that fashioned themselves as authorities of collective memory. In the literature on collective memory, there are two important questions regarding the politics of public memory that emerge: 1) Who and what gets remembered, and 2) Which individuals or groups have the "authority" to construct memory for a collective? After reading much of the UDC's public discourse, I conclude that the Daughters constructed their authority as public memorializers by asserting their non-political (and non-feminist) interests, insisting they were "called" to public service, explaining that they only chose activities that were consistent with their "feminine" positions, and that they were wholly dedicated to preserving Southern manhood.[41] The UDC's rhetoric not only served to reassure uneasy men that they were not trying to overthrow patriarchy, but it also authorized their roles as public memorializers.

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[40] Many men agreed that women were the natural leaders of memorial associations after the war because of the assumption that women's "sentimental" and "virtuous" natures made them better memorializers (undoubtedly a perceived outgrowth of their roles as mothers). Historian Gaines M. Foster found that Southern males "believed that memorial projects belonged to the realm of sentiment in which women had innate abilities and over which they had primary responsibility. Men therefore helped organize the societies and donated money to them but left the leadership of the groups and most of the work to women" (38). Historian Fred A. Bailey argued that the Sons of Confederate Veterans especially believed that "the preservation of tradition and the teaching of children was a more appropriate calling for females" (516).

[41] Three of the acceptable "feminine ideals" for white women in the nineteenth (and other) centuries have been labeled by contemporary researchers as Republican Motherhood, Cult of True Womanhood, and Southern Lady. For more on Republican Motherhood, see footnote 42 of this essay. For more on the Cult of True Womanhood, which defined "the home" as a white woman's proper sphere and her four cardinal virtues as "piety, purity, submissiveness, and domesticity," see Barbara Welter's article, "The Cult of True Womanhood: 1820-1860" and Mary Beth Norton's book, *Liberty's Daughters: The Revolutionary Experience of American Women, 1750-1800*. Also see Foner who pointed out that the Cult of True Womanhood did not apply to black women at the time (85). For more on the Southern Lady role, see Anne F. Scott's book, *The Southern Lady: From Pedestal to Politics, 1830-1930*.

The first rhetorical strategy the Daughters employed to secure their positions as public memorializers was insisting that they were not political. As historian Elna Green argued, "while the work of the UDC had a decidedly political agenda (the defense of the Confederate rebellion), it carefully maintained its non-political facade. The organization insisted that the non-political role was the only proper public role available to women" (71). Written into their constitution at the first UDC meeting in 1894 was the explicit declaration, "The objects and purposes of the federation shall be social, literary, historical, monumental, benevolent and honorable in every degree, without any political signification whatever" (*UDC Minutes* 2). Even to this day, the Daughters still maintain their "non-political" facade. For example, in a talk given by the President-General in 2000, June Murray Wells told her audience, "I am often asked why the U.D.C. is not heard from more often in debates and arguments, why we are not seen in marches and protests. The rules set by our founders and still in effect today require us to be non-political" (2). By declaring themselves "non-political," the Daughters intonated that they were "not feminists," and that their authority to commemorate was in no way politically-motivated or biased.

A second way the Daughters justified their membership in this public organization was referring to themselves as ordinary women who were "called" to do the official work of commemorating the war. As I mentioned earlier, it was generally assumed in the post-war South that women were natural commemorators. According to Foster, "southern males believed that memorial projects belonged to the realm of sentiment in which women had innate abilities and over which they had primary responsibility" (38). Many women also felt that they were the natural choice for joining and leading memorial associations and often expressed a patriotic "calling" and "duty" to commemorate the war. For example, in a speech delivered to the fourth

annual UDC meeting in 1897, Mrs. D. Giraud Wright spoke of the "calling" with her comment, "across the waste of years the voices of our loved ones call to us. They have called you together here on this mission of love and duty, and in response, you come . . . in answer to this resistless appeal" (*Minutes* 1897 4). Wright's quotation not only illustrates the "calling" the Daughters heard to act, but it also shows how these women believed it was their duty or "mission" to preserve memory.

A third way the UDC constructed their public authority was by dedicating themselves to "feminine" or even "motherly" issues. Historian Gaines M. Foster has argued, "In general. . . the Daughters seemed able—and content—to harmonize their expanded activities with the traditional ideal of femininity" (174). Besides memorializing, some of the other issues the UDC devoted themselves to, which were also consistent with traditional "feminine" roles, were children's education and textbook reform. In their *History of the UDC*, Poppenheim et al. stated their interest in reforming Southern textbooks:

> the importance of having correct, fair, and unbiased history taught in the Southern schools has impressed itself upon the members of this organization from its earliest incipiency, this being one of the objects laid down in the constitution . . . at each succeeding convention the voice of the members was raised in protest against the use in Southern schools of 'improper, unfair, and sectional histories. (135)

One Daughter, Mildred Lewis Rutherford, justified her participation in the UDC for the sake of Southern children's education by stating, "Patriotic organizations are needed to keep alive the spirit of patriotism in the hearts of the young people in the land. We must teach them loyalty to

our government, and to our country's flag, to our State and our State flag, to our city and all that pertains to civic righteousness" ("The Civilization" 43).[42]

A fourth strategy the Daughters employed to justify their public roles was overtly devoting their efforts to the preservation of Southern manhood. George C. Rable explained that although women's participation in voluntary associations may be viewed as undermining Southern manhood—because they were entering the public sphere in record numbers and building political consciousnesses—that was not the case with women's associations such as the UDC: "women in effect reassured uneasy men that their strength would buttress rather than undermine the social order and that their energies would flow in perfectly safe channels" (238).[43]

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[42] Historian Karen L. Cox would likely agree that Rutherford's comments also illustrate the UDC's "Lost Cause Motherhood" role: "Women were considered especially suited for that task [teaching Southern children how to be good, patriotic Southerners], and the Daughters' actions as Lost Cause educators was considered an extension of their role as mothers" (186). Cox's idea of Lost Cause Motherhood is grounded in the research on Republican Motherhood. Republican Motherhood is a "feminine" ideal that defined women's roles in the United States from Revolutionary times through the nineteenth century. Linda Kerber has argued that "the Republican Mother was a device which attempted to integrate domesticity and politics....[the Republican Mother's] political task was accomplished within the confines of her family…[her] life was dedicated to the service of civic virtue; she educated her sons for it; she condemned and corrected her husband's lapses from it" ("The Republican" 202-203). Historian Marilyn Blackwell's essay, "The Republican Vision of Mary Palmer Tyler" in *Mothers and Motherhood: Readings in American History*, identified some basic qualities and virtues that Republican Mothers were encouraged to instill in their children: "focusing attention on their sons and encouraging industry, frugality, temperance, and self-control, republican mothers would nurture virtuous citizens who served their communities; by educating their daughters, mothers would ensure the virtue of future generations" (31). See Linda Kerber's book, *Women of the Republic*, for more on the duties and characteristics of "good" Republican Mothers, as well as articles by Ruth H. Bloch, Amelia H. Kritzer, Karen List, and Margaret Nash. Also see Kathryn Michel's master's thesis, "Republican Motherhood in the South?: An Examination of the Roles of Elite White Women in North Carolina and Virginia, 1784-1830."

[43] Two dominant perspectives have emerged in the literature on the voluntary associations in the post-war South. Some historians view the voluntary associations as "training grounds" for women's political participation. Scott, for one, argued that, "within this network women learned how to conduct business, carry on meetings, speak in public, manage money. Experiences in small-scale voluntary associations ('our little republic,' one woman called hers)

Women needed to assure men that they were not trying to break the mold of the "gentile Southern lady;"[44] that they were only in public to serve their men and preserve their heroic memories. Take for example Cornelia Branch Stone's answer to the question, "For what purpose did they [UDC] organize," in her 1904 catechism: "To preserve the true history of the Confederacy and keep in sacred memory the brave deeds of the men of the South, their devotion to their country and to the cause of right, with no bitterness toward the government of the United States, under which we now live" (11-12).[45] It is interesting to note how Stone frankly asserted that the South did not feel bitterness nor would they teach bitterness to their children, although as we have seen, many Southerners *did* still harbor feelings of bitterness and resentment at this

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prepared women for politics, broadly defined" (*Natural* 2). Historian Anastasia Sims agreed, adding that, "women who joined voluntary associations proudly described themselves as trailblazers, exploring new frontiers for women and articulating altered definitions of woman's place" (1).

Conversely, some historians have argued that women's voluntary associations served a hegemonic function; that the memorial associations not only rebuilt Southern masculinity, but they also reinforced traditional women's roles. Historian LeeAnn Whites contended, "whereas historians of women have been inclined to view women's voluntary associations as a basis for women's struggle for independence, they can just as easily be viewed as an extension of women's 'dependent' domestic role as mothers of men" (137). Speaking of the UDC specifically, Gaines M. Foster has argued, "Too much could easily be made of the way the UDC expanded the female role, however . . . Traditional social affairs and gentility persisted alongside the new activities" (173).

44 The traditional "Southern lady" role required women to be gentile, obedient, guardians of the home, and "trained to the ideals of perfection and submission" (Scott *Southern* 7). Again, see Anne F. Scott's book, *The Southern Lady: From Pedestal to Politics, 1830-1930*, for more on this "feminine ideal."

45 Decca Lamar West's answer to this question was slightly amended in her 1934 version: "Q. For what purpose did they [UDC] organize? A. To preserve the true history of the Confederacy and keep in sacred memory the brave deeds of the men of the South, with no bitterness toward the government of the United States under which we live" (29).

time.[46] Decca Lamar West echoed Stone's sentiment regarding Southern manhood in her 1934 catechism when she asked,

> Q. After their benevolent work, what does the United Daughters of the Confederacy consider next in importance? A. To teach their children from generation to generation that there was no stain upon the action of their forefathers in the War Between the States; and the women of the South; who nobly sustained them in that struggle will ever feel that their deathless deeds of valor are a precious heritage to be treasured for all time to come" (29).[47]

As these quotations show, the Daughters expressed reverence and highest regard for the men who fought in the War Between the States by always referring to them as "brave," "devoted to their country," and/or "valorous." The women also indicated the importance of the men's actions, that their actions comprised "a precious heritage," which was worthy of being commemorated, or in West's words, "treasured for all time to come."

The strategies the Daughters relied on to construct their authority as public memorializers were insisting that they were "non-political," declaring that they were "called" to do the patriotic yet "feminine" work of commemoration, dedicating themselves to traditionally "feminine" areas (i.e., working with children and "sentimentalizing"), and reassuring Southern men that

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[46] As a matter of fact, Gaines M. Foster has argued that women were actually the most bitter members of Southern society after the war: "Women who right after the war had displayed greater hatred than men for the Yankees who had exposed their vulnerability and denied them respect apparently not only continued to harbor their resentments but passed them on to their daughters" (172). Some of those daughters, Foster argued, joined the UDC: "Women who still hated the Yankees for killing fathers, husbands, and sons and for violating the protections of the traditional female role found a forum in which to vent their persisting hostilities and to voice their continuing admiration for the men of the Confederacy" (174).

[47] Cornelia Branch Stone asked in her 1904 version, "What other purpose have the Daughters of the Confederacy" (12)? Her answer is exactly the same as West's answer here in 1934.

preserving Southern manhood was at the heart of all their public work. After all, who better to craft collective memories than those who are not influenced by politics, those who were asked by others (or even a higher power) to do the job, those who were "naturally" suited for tasks such as educating the young, and those who were devoted to honoring Southern manhood and patriarchy? In the 1897 edition of the *Confederate Veteran*, UDC co-founder Anna Raines employed these four strategies in one potent remark: "We are not a body of discontented suffragists thirsting for oratorical honors, but a sisterhood of earnest, womanly women, striving to fulfill the teaching of God's word in honor of our fathers" (Cox 54). It is fair to conclude that the women of the UDC strategically kept "one foot in the domestic sphere and one in the public sphere" as they built their authority as collective memorializers amidst an era of defeat (Cox 67).

The Children of the Confederacy

One of the ways the UDC fulfilled its "feminine" and "motherly" educational objective—as well as perpetuated "true Southern character" and "a truthful historical record"—was by organizing the Children of the Confederacy. The first branch of the Children of the Confederacy was organized on April 18, 1896 by Mrs. D. H. Appich, a member of the Mary Custis Lee Chapter of Alexandria, Virginia. The Mary Custis Lee Chapter reported having "over a hundred little girls and boys" in their organization, all interested in taking part in the commemorative activities "similar to the adult organization" (Cox 206). Shortly thereafter, at the UDC's fourth annual convention in 1897, Mrs. E. G. McCabe of Atlanta, Georgia, requested "that there be children's chapters formed at each domicile of a chapter of the United Daughters of the Confederacy" (Poppenheim, et al. 181).[48] The "Committee on Organization of Children" was

[48] According to the 1999 version of the *Catechism on the History of the Confederate States of America, 1861-1865*, "A children's organization begun [sic] as an auxiliary to the UDC. It was suggested by Miss Bunnie Love at a Georgia Division UDC Convention on October 14,

then formed, comprised of seven Daughters, who named the Mary Custis Lee Chapter in Alexandria the headquarters for the C. of C.[49] The Committee also wrote the constitution and by-laws for the Children of the Confederacy, which established such things as the organization's object, officers, fee, seal, and badges. The 1897 convention decided that the Children of the Confederacy would not have representation in the General conventions, that their representation would instead be confined to Division conventions.[50]

The UDC's interest in the Children of the Confederacy continued to grow in the years that followed with many Daughters arguing that their involvement with the C. of C. must increase.[51] Poppenheim et al. reported that after 1904, "for the next several conventions, the

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1897, and a Resolution was presented that the organization be created" (25). I take this to mean that Miss Bunnie Love heard about Mrs. Appich's C. of C. organization in Virginia and suggested at the Division meeting that Georgia also create C. of C. Chapters. It is also reported in the 1999 catechism that "the resolution [proposed by Miss Love] was passed and Mrs. McDowell Wolff was named the Founder of the C of C" (25). Since I find no mention of Mrs. Wolff in Poppenheim et al.'s history of the UDC, I assume Mrs. Wolff to be a member of the Georgia Division who organized or recognized the first C. of C. Chapter in that state. It then appears that Mrs. McCabe, also from Georgia, took Miss Love's suggestion of organizing children's Chapters at the Division meeting and proposed at the General meeting that all Divisions organize children's Chapters.

[49] As the C. of C. headquarters, the Mary Custis Lee Chapter was responsible for selling charters for $1.00 each to the UDC Chapters who formed C. of C. divisions (the money from the charters would then be donated to such causes as the Winnie Davis Monument Fund).

[50] The increasing size and significance of the Children of the Confederacy organization eventually led to its recognition as a national organization. Poppenheim et al. stated, "History was made," on June 10, 1954, "when an all-day Conference was held by the Third Vice-President and delegates from the four States…to discuss plans for a General C. of C. Organization and Convention" (382). That discussion became a reality on August 26 and 27, 1955, when the first General Organization of the C. of C.—with its "full quota of officers"—met at its first annual Convention at the Cox-Carlton Hotel in Atlanta, Georgia (Poppenheim, et al. 383). The individual C. of C. Chapters, like their foremother in 1894, finally came together in 1955 as a nationally recognized organization in the South.

[51] For example, at the 1909 annual convention in Houston, then President-General Mrs. Cornelia Branch Stone stated, "Greater activity in the organization of C of C cannot be too

minutes show a continued enlargement of the children's work, as reported by Division presidents" (186). Interest in the C. of C. was shown not just within the ranks of the UDC, but also by young folks across the South. Southern children joined the C. of C. (or were signed up by their mothers or grandmothers) at a steady rate.[52] The first report on the size of the C. of C. was not made until 1920 at the General convention in Asheville. Mrs. R. P. Holt, then Third Vice-President General,[53] reported that there were 1,314 children holding registration cards from fourteen Divisions of the C. of C. The following year in St. Louis, Mrs. Holt reported a registration of 3,470 members, and by 1929—five years before Decca Lamar West published her catechism—Mrs. J. T. Burney reported to the convention at Biloxi that the C. of C. had a total enrollment of 22,507 (Poppenheim, et al. 189). The Children of the Confederacy's most active members were between the ages of six and eighteen—the children who reached the age of eighteen then usually joined the UDC or the SCV.

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strongly urged upon the chapters. For upon the training of these our boys and girls, our citizens and patriots of the future—depends the perpetuity of the organization" (Poppenheim, et al. 186).

[52] Most of the C. of C. members were children and grandchildren of UDC members: "Boys as well as girls were eligible to join the C. of C. Membership sometimes began as early as the day a child was born since UDC members were quick to enroll their children and grandchildren" (Cox 207).

[53] At the twenty-third convention in 1915, the UDC amended their constitution to read that the third Vice-President-General "have under her consideration the uniting of the C. of C. and bringing them into closer association with the UDC," a tradition that has carried through into today (which is why I have corresponded with Kathy Smith Brewer, the most recent Third Vice President General, regarding the catechisms) (Poppenheim, et al. 186). One of the responsibilities of the Third Vice-President General/Director of the C. of C. was to issue a booklet each year "which contained full information on all phases of the work, material for programs, and list of awards. The Yearbooks were sent to the Division Directors to be distributed to Chapter Leaders and Officers" (Poppenheim, et al. 366). The intention of the yearly booklet was to provide a "background and guide for C. of C. workers;" in other words, it helped maintain consistency in instruction across the C. of C. Chapters.

When Children of the Confederacy joined the UDC, they most likely felt right at home because they performed many of the UDC's rituals in the C. of C. monthly Chapter meetings. For example, "Like the UDC, children began their meetings with prayer and an opening ritual in which they pledged themselves to honor Veterans and study and teach the 'truths' of history" (Cox 208). In the Pledge itself, the children recited in unison the words, "we desire to perpetuate in love and honor the heroic deeds of those who enlisted in the Confederate Army and upheld its flag through four years of war," a promise that fell directly in line with the UDC's devotion to Southern manhood (Poppenheim, et al. 366). The Pledge also declared the C. of C.'s overall goals, which again, closely resembled the UDC's objectives to remember and identify themselves with pride:

> to preserve pure ideals; to honor our Veterans; to study and teach the truths of history (one of the most important of which is, that the War Between the States was not a REBELLION nor was its underlying cause to sustain slavery); and always to act in a manner that will reflect honor upon our noble and patriotic ancestors. (Poppenheim, et al. 366)[54]

After the children recited their opening prayer and the C. of C. Pledge, the children and their leader would then discuss business; for example, they might talk about how much money they raised thus far for a local, regional, or national monument, figure out how to raise money for a C. of C. scholarship fund, or discuss which veterans and/or widows' homes to visit next (Cox 207).

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[54] The minutes of the Children of the Confederacy's 2002 General meeting inform us that the wording of the C. of C. Pledge (now the C. of C. Creed) has been amended twice: in 1965, the words "to honor our Veterans" was changed to "to honor the memory of our beloved veterans," because there were no longer any Confederate veterans still alive to "honor;" and then the phrase "those who enlisted in the Confederate Army" was revised to "those who enlisted in the Confederate service" to allow for broader recognition of those who aided the Confederate cause (15-16).

The children also engaged in such activities as "[writing] essays, and [singing] favorite Confederate songs such as 'Dixie' and 'The Bonnie Blue Flag'" (Cox 207-208).

The centerpiece of the C. of C. meetings, however, was learning Confederate history from their Chapter leader. The Chapter leaders were members of the UDC, and according to Cox, they were the "key to the success of the children's chapters…They were Daughters who were the most zealous about instilling children with a reverence for Confederate men and women, as well as the sacred principles of states' rights" (208). The subjects the Chapter leaders taught included the War Between the States, the Old South, slavery, and Reconstruction. Cox found that Chapter leaders taught these subjects with the assistance of a monthly program developed by the Historian-General,[55] and a Confederate catechism, which was written in "a call and response format in which leaders asked questions to which children responded with the 'correct' (i.e. pro-Southern) answer" (209).

The catechisms written for the Children of the Confederacy—and perhaps placed in some local schools and libraries across the South as well—were significant educational artifacts.[56]

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[55] At the 1915 convention, Mrs. S. E. F. Rose of Mississippi was elected Historian-General. In that capacity, Rose took it upon herself when later compiling the Historical Yearbook for 1917 to include monthly historical programs for the Children of the Confederacy. Poppenheim et al. commented that, "The value of these programs was recognized at once, and each succeeding Historian-General has continued their preparation and publication" (187). The historical programs for children were printed in the *Confederate Veteran*, a monthly magazine which became the "official organ of all Confederate organizations—United Confederate Veterans, Sons of Confederate Veterans, Southern Confederate Memorial Association, and the United Daughters of the Confederacy" (Poppenheim, et al. 174).

[56] I have not been able to find out how many or which catechisms have been placed in which public schools and libraries. Kathy Smith Brewer was not able to locate information on the catechisms placed in public schools and libraries either: "They are used primarily in CofC meetings—I don't know of any used in schools, but that does not mean that they aren't, especially with children today who are home-schooled. Some have been placed in public libraries" ("Catechisms" 24 February). In a follow-up correspondence, Ms. Brewer informed me, "I am sorry that there is no way I can tell you how many have been placed in libraries, but I will check with the 2nd Vice President CofC to see if he has any history in his records. The

Cox argued that "Children's learned responses to the questions from the catechism was a key ingredient in their indoctrination" (211). Furthermore, the lessons the children learned from the catechisms in their C. of C. meetings often made lasting impressions on those children, and "combined with information children learned at school and at home, provided lessons that remained with them through adulthood" (Cox 211).[57] The rhetorical strategies UDC members employed to make those impressions, especially the impressions on Southern identity and collective memory, will be analyzed in a future project.

Conclusion

The story of the UDC catechisms published in 1904, 1908, and the 1930s actually began with the birth of the Confederacy in 1861. After seceding from the Union, forming their own nation, and then losing a devastating war, most white people in the South were left mentally "maimed;" in other words, a traditionally proud people experienced humiliation, bitterness, and resentment while struggling to comprehend their defeat. The physical wounds the Southland sustained were destroyed economies, governments, and landscapes, which opened the door to Northern capital for relief. In with Northern capital entered the Yankee investors and the carpetbaggers, two maligned villains in Southerners' eyes. The scalawag was another hated figure in the post-war South, as were the Northern occupying army, the Freedmen's Bureau, and the ex-slaves. Acting upon their resentments against the former slaves, some bitter ex-

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officers pass the files around, but it is possible that a lot of the info has been previously "filed" away….We do have an award for most books placed in libraries but it doesn't distinguish Catechisms from other books so researching that would not give you an accurate count" ("Catechisms" 25 February).

[57] For example, in 1990, Cox interviewed Helen Foster—a former C. of C. member in South Carolina, born in 1911, and educated about the Civil War at school and in the children's chapters—about what caused the Civil War. Foster responded, "I still think they were fightin' for states' rights" (212).

Confederates passed the Black Codes, joined the Ku Klux Klan, refused to amend the Fourteenth Amendment or support Radical Reconstruction, upheld *Plessy vs. Ferguson* by instituting Jim Crow laws, and lynched black men, women, and children. Behind each of these actions stood a defeated people, anxious to expel "outside interference" and determined to regain "home rule." As if their feelings of humiliation, resentment, and bitterness were not causing enough tension for them, most ex-Confederates refused to identify themselves as a defeated people and objected to being remembered in history as such. Instead, they insisted on remembering a romanticized antebellum era and commemorating a glorified Confederacy and Civil War as the bases for their identities.

Meeting their crises in identity and memory were the Southern women who joined voluntary memorial associations in the post-war era, especially the most popular organization, the United Daughters of the Confederacy. Organizing in 1894, the UDC devoted themselves to social, memorial, historical, and educational objectives, and enjoyed the support of men because they were perceived as non-threatening to the gendered social order. The Daughters were perceived as non-threatening in part because of the popular belief that women were "natural memorializers" who reigned in the "realm of sentiment," but also in part because the Daughters rhetorically crafted themselves as authorities of collective memory. The four strategies the women employed in their discourse were insisting that they were "non-political," reassuring Southern men that preserving Southern manhood was at the heart of all their public work, declaring that they were "called" to do the patriotic yet "feminine" work of commemoration, and dedicating themselves to traditionally "feminine" areas (i.e., working with children and "sentimentalizing").

The UDC's work with the Children of the Confederacy was a primary way the women fulfilled their "feminine" and "motherly" educational objective. Officially organized in 1897, the C. of C. became an immediately popular auxiliary of its parent organization. As membership numbers steadily climbed, Daughters argued at the General conventions that their involvement with the C. of C. must increase. The UDC's increased involvement with the children's organization was evident in the C. of C. Chapter meetings where the opening prayers, rituals, and business were similar, if not identical, to the UDC's. The highlight of the Chapter meetings, though, was learning Confederate history from the catechisms written by UDC members. The content of those catechisms was influenced heavily by the historical context, as well as rhetorical context, in within which they were written. Having narrated the historical context of the post-war era in this essay, I hope to add to this narrative in the future by examining the rhetorical context within which the UDC crafted their catechisms for children and then analyzing the catechisms closely for their rhetorical strategies.

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Alternate Densities:
A Multi-Family Approach to Sustainable Dwelling

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Alternate Densities:
A Multi-Family Approach to Sustainable Dwelling

> ***"The postwar suburb is a model of social and economic segregation. Zoning laws are the primary culprit – They mandate large-lot subdivisions and separate low-income "pod" developments while prohibiting accessory housing (such as apartments above stores or garages) and mixing land use and lot sizes in one area. By physically segregating uses, these ordinances increase land and development costs while virtually mandating the use of an automobile for every errand. Moreover, such enforced homogeneity of building types cannot respond to changes in one's own family, such as children growing up and parents growing old." -John A. Clark, David A. Tice, and Neal I. Payton***

Fig. 1 – Red House, view from southwest

COMPETITION

In the summer of 2004, the American Institute of Architects Committee on Design held an ideas competition, entitled "New Home on the Range," which called for designs for the 21st century seminal house, with an emphasis on sustainable design over form. I began with the assumption that the competition itself was flawed, in that it required a typical suburban house on a typical suburban lot for a typical suburban family. My contention is that any current suburban model of development which can be considered "typical" is by nature unsustainable because it assumes too large a footprint, promotes manicured lawn over natural habitat, and sustains our dependency on motor vehicles. I propose the alternative model of Red House. In its most basic form, the Red House model of land use is one of conservation, cultivation, and collection. The conservation of natural habitat and resources, the cultivation of fruits and vegetables, and the collection

of natural energy as well as the collection of people are prioritized over profitability. Instead of dividing land into numerous large-lot subdivisions which lack any communal spaces, Red House proposes to increase the density of developed areas so that a portion of land is left for conservation, a portion of land is left for cultivation, and a portion of land is used to develop a sense of community among the residents.

SOULTION - RED HOUSE

Red House begins with the statement that a different land use model is required to promote a more sustainable dwelling. Red House assumes that current profit-driven residential developments are flawed. This assumption is not a new position, in that many architects have made attempts to critique the status quo in residential design and to propose improvements to that status quo. Many solutions attack developer-driven housing at the level of aesthetics; however, a beautiful house can be just as unsustainable as an ugly house unless other architectural and planning issues are addressed. In Red House, I've begun to address these other aspects, such as density, environment, energy, transportation, and community. Still in its embryonic stage, and without funding to test the theories which have fueled it, Red House puts forth a concept for development which has the potential to impact the American landscape and the quality of life for average Americans.

In Red House I propose that, instead of creating a single single-family dwelling on the 75'x150' lot, one can place at least three single-family dwellings on the given lot. By increasing the density of development on a single site, then adjacent sites can be used for more sustainable purposes, including that of conservation. The notion of consolidating program into a smaller footprint and developing a more vertical section is not a new idea. Generally developers would see a smaller footprint as an opportunity to build apartment buildings, townhouses, or condominiums with the same attitude towards any open land. Red House would require that the efficiency gained by minimizing a building's footprint be applied to the conservation of resources instead of the economic gain of increased development. Open space should be maintained for the good of the community. Conservation and cultivation are two uses of the additional open space, but if the concept is developed further, additional programs such as outdoor recreational ones should be permitted.

Fig. 2 – Typical Suburban Lot – 75'x150'

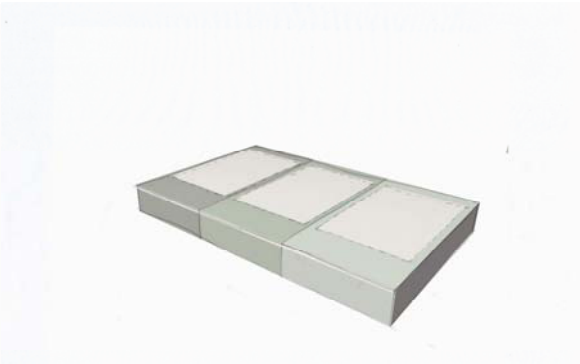


Fig. 3 – Three adjacent lots

CONSERVE

Given a typical 75'x150' suburban lot, most developers provide a house with a driveway, garage, front yard, and back yard. In pursuit of the American dream, Americans have developed an unsustainable and unnatural model of landscaping. Native vegetation gives way to cultivated lawns which require additional irrigation, fertilizers, herbicides, and insecticides. These additional chemicals and water find their way into the water supply and surrounding eco-systems. In *The Freedom Lawn* (Earth Pledge, 2000), Gordon Geballe and April Reese point out the environmental hazards of attempting to maintain a manicured lawn.

> ***"…runoff of chemicals and fertilizer from residential and commercial lawns pollutes our rivers, lakes, and bays. The U.S. Environmental Protection Agency estimates that 74 million pounds of herbicides, insecticides, and fungicides were applied to residential lawns and gardens in 1997 – far more than necessary…Approximately 60 percent of the nitrogen applied to lawns ends up in groundwater. Power mowers add to the tally of the lawn's environmental damages. Fossil fuels burned by gas-powered lawnmowers, trimmers, and other machinery emit harmful pollutants into the air."***
>
> ***-Gordon Gabelle and April Reese***

Red House provides an alternative to individual, unsustainable landscapes. Since three families can be consolidated onto a single site, then one out of every three sites can be used for conservation of the pre-existing natural habitat. This conceptual proposition assumes that there is some kind of natural habitat to preserve; however if no natural habitat exists, i.e. if the site has been previously clear-cut, then native plants should be re-introduced in the same proportion. In lieu of the manicured lawn, natural plants and grasses are used in the minimal side yard areas adjacent to the buildings.

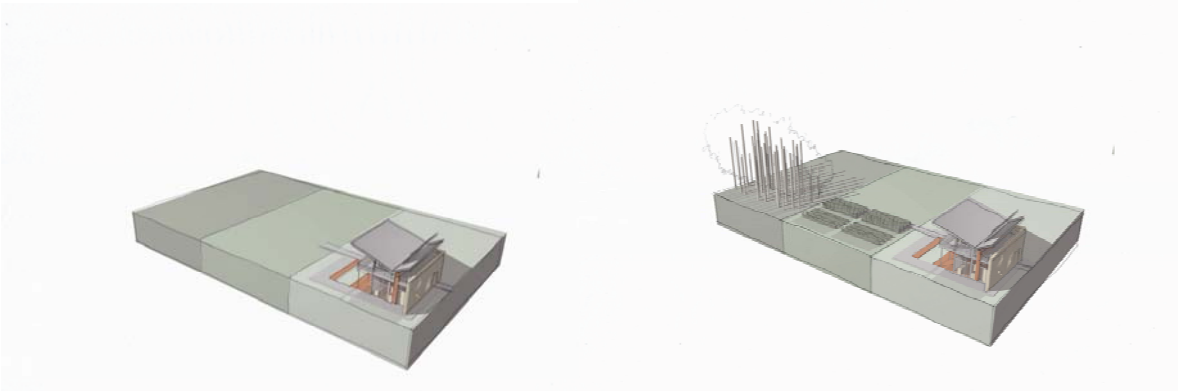
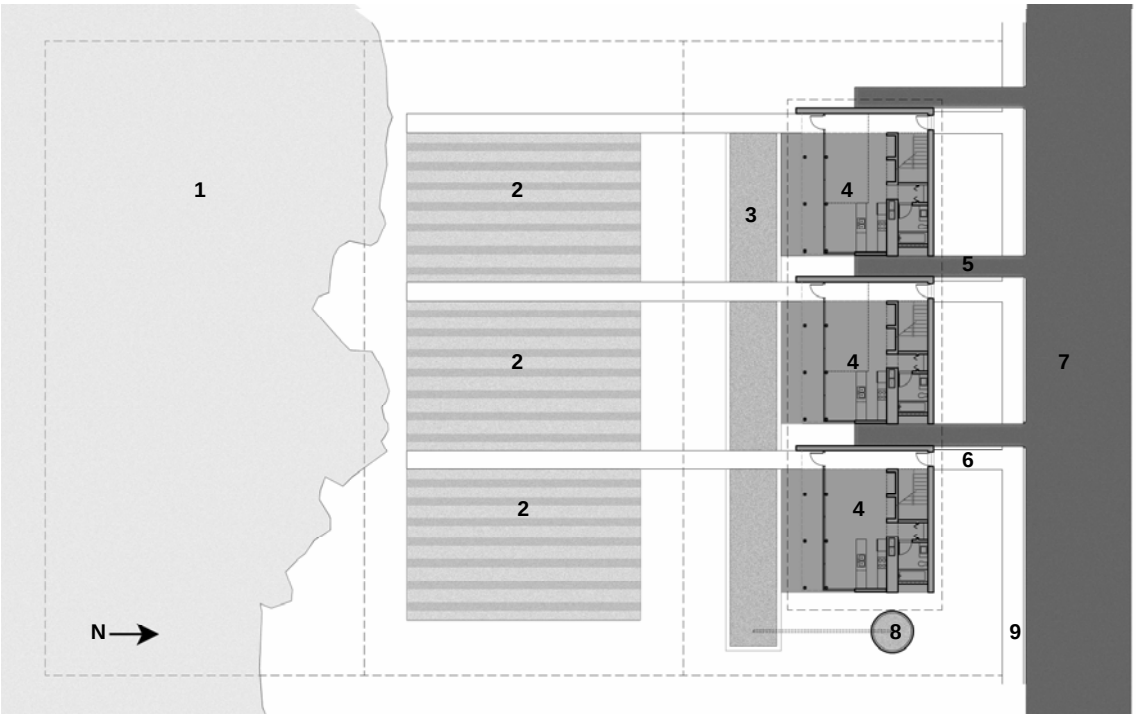


Fig. 4 – Single-Family Dwelling **Fig. 5 – Land dedicated for conservation + cultivation**

CULTIVATE

> ***"In any city, residential neighborhoods can become an arena for a new kind of extended family living – as long as there are places where people can easily meet face to face, as happens in community garden commons."***
>
> ***-Karl Linn***

Suburban Americans have become too dependent upon super markets for fresh fruits and vegetables. Instant gratification in a can has replaced the backyard vine-ripened tomato. In an attempt to bring the suburbanite back into nature, one of the three sites will be left for cultivation. An organic garden will provide a buffer between the dwelling's site and the conservation site. In the process of cultivating the land, neighbors will re-discover their neighbors in their sharing of family recipes and of gardening tips. Each residential unit has a garden plot, but there is potential flexibility and opportunities for co-ops and community gardens, depending upon the specific residents. Rainwater collected from the metal panel butterfly roof is filtered and stored in a series of retention ponds. This grey water is then available for more energy-efficient irrigation of crops.



1 land conservation – native habitat
2 land cultivation – garden plots
3 retention pond
4 residential unit
5 bicycle driveway
6 pedestrian walkway
7 street
8 water cistern
9 sidewalk

Fig. 6 – Site Plan

COLLECT

One of the three sites is used for semi-detached, multi-story, multi-family dwellings. This multi-family dwelling collects natural resources such as sun, wind, and rain, all under one roof. Sun is directed by a large overhang and operable louvers, and it is collected by rooftop photovoltaic panels. The sun's energy is further collected and stored by slab-on-grade construction. Wind is collected by operable windows and shutters, and it provides evaporative cooling from the adjacent pool. Rain is directed by the butterfly-pitched roof and is collected in a cistern for non-potable use.

Fig. 7 – Red House, view from southwest

Red House proposes integral green building strategies to increase the energy efficiency and sustainability of the development beyond the scale of the site. Large overhangs on the southern face of each building provide shade in the summer while allowing winter sun deeper into the building. The standing seam metal roof which unifies a number of dwellings acts a collector of rain water, to provide grey water for irrigation and other non-potable uses, and it also collects solar energy through a photovoltaic collection system. Concrete slab-on-grade construction allows for the storage of solar

heat gain during winter months, and the heat gain is transferred from the slab to a mass wall deep in the building's section. A series of pools stores the grey water after it's filtered, and the water provides evaporative cooling in the summer months. Heat is transferred to an under-slab rock bin which acts as a heat sink. Additionally, louvered openings and operable windows are oriented towards prevailing winds in order to provide cross-ventilation and cooling.

The building is organized by a series of folded planes around a structural steel frame. The primary folded plane is the concrete slab-on-grade which turns up to become a mass wall which stores heat transferred through the slab. This plane, rendered in red, gives the Red House scheme its name, and it doubles as a thickened storage wall. A secondary series of folded planes forms the western and northern walls. These planes are made from rammed earth construction, with small punched openings to provide privacy from neighbors while still allowing cross-ventilation.

1 entry from sidewalk
2 bathroom
3 kitchen
4 living area
5 bedroom
6 dining area
7 balcony
8 patio
9 pool

Fig. 8 – Floor Plans – Single Unit

COMMUNITY

While the current suburban model of development prioritizes the individual over the community, Red House reintroduces spaces of communal interaction. By bringing people closer to each other through increased density, there are more opportunities for interaction. Additionally, patios, balconies, and community gardens provide opportunities for people to cross paths with other people.

In order to bridge generations and to provide a community of different family types and sizes, the Red House model is flexible. Within a basic footprint of 800 square feet, the public program spaces are located on the ground floor. Varying numbers of bedrooms on the upper floor, with varying degrees of openness in the floor plate, make Red House feasible for single people as well as families.

1	entry from sidewalk
2	bathroom
3	kitchen
4	living area
5	bedroom
6	dining area
7	balcony
8	patio
9	pool

Fig. 9 – Floor Plans – Family Unit

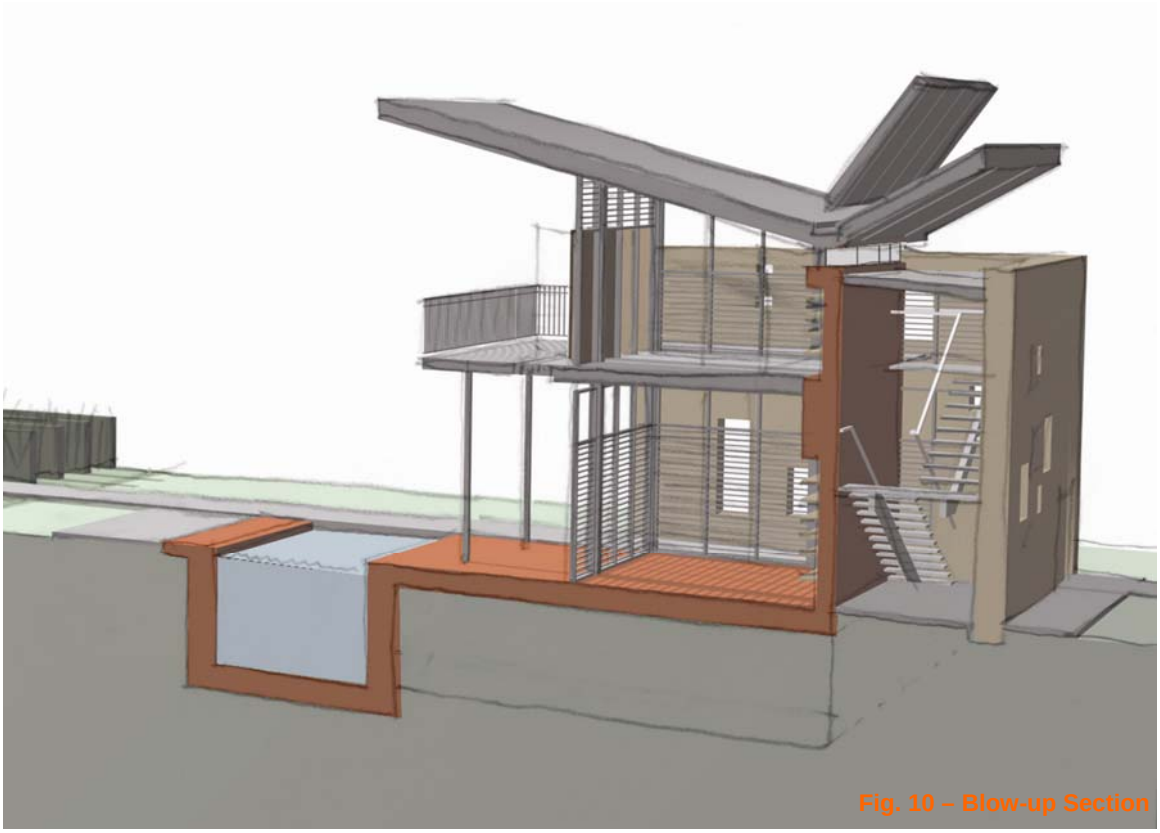


Fig. 10 – Blow-up Section

SUMMARY OF GREEN BUILDING CONCEPTS:

- Natural day lighting reduces the demand for electricity. Large windows with louvers, shutters, and southern exposure allow the sun to penetrate the building interior.
- Roof overhang on the south side provides shade during summer months while allowing sun into building in winter.
- Balcony provides shade of ground floor during summer while allowing sun into building during winter.
- Butterfly profile of roof allows for collection of rainwater from roof, into cistern, to be filtered and stored in retention pools. This grey water system reduces the demand for irrigation.
- Retention pools along patio provide evaporative cooling in the summer while acting as a part of a heat sink system in the winter.
- Solar gain and thermal mass is provided through a ground floor slab-on-grade and mass wall.
- Reflective and insulated metal panel roof reduces the heat island effect while reducing the demand on HVAC systems in the summer.
- Operable windows on the north and south faces allow for cross-ventilation and night time cooling
- Rammed-earth wall at west and north facades provides thermal mass as well as privacy screem from neighbors and street.
- Reflective patio and balcony surfaces provide diffuse day lighting during winter months.
- Interior spaces are placed according to the path of the sun. The kitchen and dining area are on the southeastern side, to receive morning and noonday light, while more private spaces are pushed up to the second floor or towards the northern side of the scheme.
- Patio and balcony allow building to be opened up to the outdoors during summer months, via adjacent doors in storefront system.
- Steel structure provides long-term skeleton for long-lasting construction.

Fig. 10 – Sectional Diagram

SUMMARY OF GREEN SITE CONCEPTS:

- Increase density by consolidating multiple families on the same lot.
- Provide space for alternative transportation. Bicycle driveways replace automobile driveways, in an effort to promote cycling and therefore reduce fossil fuel emissions.
- Vertical construction increases efficiency of building footprint.
- Designate portion of development for conservation of natural habitat. Re-introduce natural plants if there is no pre-existing natural habitat.
- Designate portion of development for cultivation. By providing the opportunity for residents to grow and harvest their own crops, then there will be a savings in energy used to produce and transport packaged goods to markets.

Fig. 11 – Red House, view from patio

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Narrow Lots:
Towards Sustainable Urban Infill

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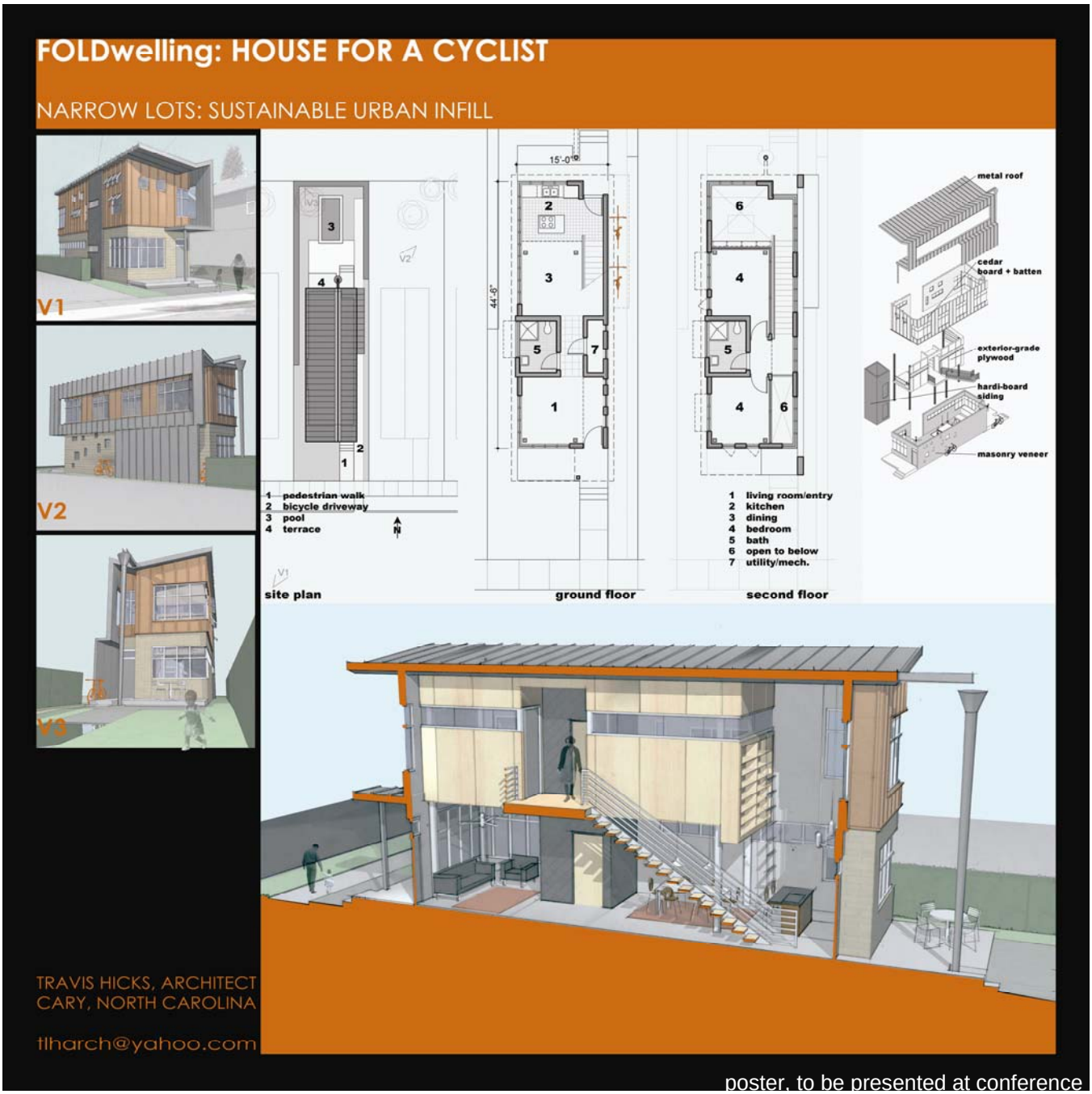

poster, to be presented at conference

The 1,100 s.f. scheme entitled “FOLDwelling” balances sustainability, economy of scale, and material and visual interest in an affordable entry level dwelling for a narrow urban infill site. Alternative transportation is given precedence over the automobile, with a bicycle parking area in lieu of a garage. Use of local materials, such as cedar board and batten siding, reduces energy consumption. The butterfly roof is a solar and rainwater collector, with integral PVs and a gray water storage and reuse system. Operable windows allow cross ventilation, and ceiling fans reduce HVAC demand. Combining program, as in an elevated bookcase/partition, helps reduce the overall square footage. Materials and finishes respond to program, which is divided into public (front), semi-public (back), and private (upstairs).

The Nothing That Is: Nature as Protagonist in "The Open Boat"

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Abstract

The Nothing that is: Nature as Protagonist In “The Open Boat”

As many critics have argued, questions of perspective and epistemology are central to Stephen Crane’s “The Open Boat.” (Kent; Hutchinson) The first sentence famously clues us to this: “None of them knew the color of the sky.” (68) But behind the uncertainties of perspectives is a determinable ontology, a presence, or rather, as I shall argue, a sort of presence, the existence of which implies a rectified aesthetic response. It emerges, however, from negations, denials and occultations: what is not seen, who is not there, and what does not happen.

Fully as much as Stevens writing of “Nothing that is not there and the nothing that is” in “The Snow Man,” Crane is concerned with certain conventions of representation: personification, the picturesque, and the American sublime. Crane’s story is intertextual with nature poetry, hymns, and landscape art, as well as with theological clichés and, less obviously, theological actualities. For the most part these conventions add up to what the Stevens poem declares is “not there.” To get to “the nothing that is” we must first traverse an ocean of error. In doing so it helps to keep our perspective not just on the men in the boat but as much on the ocean that they are responding to. If the story is at least as much about Nature as about men in nature, if nature is a central character in the story, one of its central questions my be whether one can see nature from a natural rather than human perspective.

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Title of Submission: "*El Quijote* in the 21st Century: A Look at Two Recent English Translations
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Abstract:

El Quijote in the 21st Century: A Look at Two Recent English Translations

This analysis examines the difficulties that the translator encounters when confronted with strictly idiomatic references in a literary work. *Don Quijote*, the 17th Century work that is the foundation of the modern novel, and one of the most thoroughly translated pieces of western literature, is rife with "*refranes*"—proverbs—unique to the Spanish language. The problem of rendering these bits of folk wisdom as spoken by Sancho Panza and Don Quijote himself has posed a challenge for all English translations since the *Quijote*'s publication. The paper focuses on two English translations published within the past five years (Burton Raffel's 2001 and Edith Grossman's 2003 editions), investigating the strategies employed by both translators when confronted with the task of translating what may, in fact, be deemed "untranslatable". Relevant segments from Chapter 43 of the second book of the *Quijote* are used in the analysis.

Anna E. Hiller
Spanish 201
Final Presentation
3 May 2004

El Quijote in the 21st Century: A Look at Two Recent English Translations

The task of the translator has always been akin to the myth of Tantalus in its elusiveness: as the requirements for *fidelity* are met, the actual meaning of the text slips away, or vice versa—adherence to meaning alone causes the translation to lose its lexical or syntactic footing. Either way, the translator is often in the uncomfortable position of seeing a text clearly and being unable, due to the nature of conflicting language systems, to render it fully in his or her own native language. Walter Benjamin in his essay, "The Task of the Translator," views translation as an aspiration to what he deems "Pure language" through the "transparency" of the translation itself. He does add, however, that this is an abstraction and that the transfer from original to target language "can never be total". He says of the untranslatable element of every text, that this untranslatability functions as a nucleus around which the translation must develop. "Even when all the surface content has been extracted and transmitted, the primary concern of the genuine translator remains elusive. Unlike the words of the original, it is not translatable, because the relationship between content and language is quite different in the original and the translation."[1] Content and language, meaning and syntax: a translator must always choose which element to privilege because complete transfer from one system to another is, to wit, *impossible.* And yet we persist…

[1] Walter Benjamin, "The Task of the Translator." Illuminations. New York: Schocken Books, 1968. 75.

There are books and poems which are notorious for their seeming "untranslatability", one of which happens to be Cervantes 17th Century classic *El ingenioso hidalgo Don Quixote de La Mancha*. *Don Quixote* has all of the elements that render it a translator's nightmare—complicated poetic forms, a highly specific and regionalized lexicon, and a wealth of colloquialisms and proverbs. And yet *Don Quixote* is not a novel that has retained its fame only within the Spanish-speaking world; rather, the *Quijote* is considered world-wide to be "the first modern novel" and is so prevalent in the poetic imagination that not only has it been alluded to and imitated (perhaps most notoriously in the Broadway musical "Man of La Mancha"), but its very own characters have become *archetypes* in themselves, and the "quixotic" has made its way into modern-day psychobabble, if not in everyday use. How is this incongruity possible? *Don Quixote*, in spite of its difficulties, has proved to be one of the most translated books in history; in English alone, since the first volume appeared in 1605, the text has been translated by more than a score of individuals, each one with their own philosophy, their own position towards the book itself. Each one has come to reflect its age in its own way, mostly because of the privileges each translator has taken with the text. Reading the commentary of the translators as one generation passed into another is cattier than your average gossip column. For example, Samuel Putnam writes that John Phillips version that appeared in 1687 is "by all odds the worst English version—it cannot be called a translation."[2] Putnam also cites John Ormsby when he said that the later Motteux version in 1725 was 'worse than worthless'.[3] The list of grievances goes on as later generations of translators continue to challenge their predecessors, attacking them for their excesses

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[2] Samuel Putnam. Translator's Introduction. Don Quixote. New York: Modern Library, 1998. xix.
[3] Putnam xix.

and liberties as need be. It is difficult to ascertain, then, when one goes to purchase a translation of the *Quijote*, which to buy, especially when the publishers seem to be able to excerpt quotes from pertinent contemporary writers alluding to their preference of the many versions. Tough waters to navigate, for sure, especially for the novice who wishes only to understand what all of the flap is about.

The Quijote is difficult to translate but—obviously—not impossible. And as techniques improve and translation theory advances, what emerges is a new brand of translation that is attempting anew the transparency that Benjamin spoke of. In the past five years, *two* new translations of the *Quijote* have been written: Burton Raffel's version in 1999, and the most recent edition by Edith Grossman, issued in 2003 and still in hardcover. Both have met with much critical acclaim—the Raffel translation has now replaced the 19th century Ormsby translation in the Norton Critical Edition, and Grossman's version is selling quickly after getting stellar reviews from critics such as Carlos Fuentes in the *New York Times' Book Review*. (It has even been released in an audio version). Both translators recount their difficulties in their introductions, as have most translators since Ormsby. Grossman explains that she has tried to avoid excessive documentation, so that the reader would not be "put off by references that may now be obscure" but also not "miss the layers of intention and meaning that those allusions create".[4] Raffel's attention was most focused on syntax: "Syntactical organization being however the most basic hallmark of any prose style—the stamp of a writer's mind—I have made it my special concern to re-create, as closely as possible, the organization of

[4] Edith Grossman. "Translator's Note to the Reader". Don Quixote. New York: HarperCollins, 2003. xviii.

Cervantes' sentences."[5] The priorities of each translator are clarified in these introductions, but how does it play out in praxis? I have chosen to focus on one aspect that is particularly problematic for translators of the *Quijote*: the *refranes*. While *refranes* or proverbs are common in any language, *Don Quixote* is peppered with them throughout, as they are the calling card of the most eminent squire, Sancho Panza. I have chosen a selection from the second part of the book, from chapter 43. In this particular chapter, Don Quixote is giving advice to Sancho about gentlemanly conduct; Sancho has just been given an *ínsula* to govern, and Don Quixote is concerned that he be a just ruler. There is a certain irony that is pervasive in this chapter: Don Quixote's advice amounts to a "never a borrower or lender be"-type speech, such as Polonius gives in *Hamlet*. His main counsel for Sancho is that he ceases to speak in proverbs, since Sancho is wont to use them indiscriminately and inappropriately. And yet, while he inveighs against the use of proverbs, Don Quixote speaks them himself—perhaps with the distinction that he employs them *correctly*, while Sancho uses them *"a troche moche"*—helter-skelter. The original citations are given on page one of the handout. Page two includes definitions of the *refranes* that are used—as many as were available. Pages three and four are the parallel texts from Raffel and Grossman, respectively. I will refer to future citations by the numbers given to the citations, and individual proverbs will be discussed according to the letter assigned them (a through n).

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On first read-through, it becomes apparent that Raffel and Grossman share a similar philosophy in the way they have chosen to address the proverbs spoken by Don Quixote and Sancho. Both of them, for the most part, have offered literal translations of

[5] Burton Raffel. Translator's Note. Don Quijote. New York: W.W. Norton & Co., 1999. xvii.

the proverbs rather than the substitution of an English proverb with an approximately equivalent meaning for the original Spanish. Mary Jane Power's study of the *Quijote*'s proverbs in translation documents that earlier translators preferred the latter. She writes:

> Translating proverbs is a double-edged problem. The translator can be true to the mood and idiom by replacing the Spanish proverb with an English one. "Zamora was not taken in an hour" would become "Rome was not built in a day." Similarly, "a sparrow in the hand is worth more than a vulture on the wing" is easily interpreted, "a bird in the hand is worth two in the bus." If this were a general policy, the translator could be charged with unduly anglicizing the novel. On the other hand, if he is consistently faithful to the literal level of a proverb, the translator may well lose all sense of spontaneity, perhaps all meaning.[6]

If we look at the 18th century Motteux translation, for example, Motteux translates proverbs translates proverbs (a) through (d) in the following way:

> "For in a rich Man's House the Cloth is soon laid (i); where there's Plenty the Guests can't be empty (ii). A Blot's no Blot till 'tis hit (iii). He's safe who stands under the Bells (iv); you can't eat your Cake and have your Cake (v); and Store's no Sore (vi)."[7]

The Motteux translation renders *six* proverbs instead of the original four. Proverb (**a)** in the original can be seen to correspond to proverbs (i) and (ii) in the Motteux. Proverb (iii) could possibly conform to (b), although this particular English proverb is no longer current and is impossible to judge. Proverb (c) and (iv) are analogous. But proverbs (v) and (vi) seem completely removed both literally and semantically from their origin. This is characteristic of Motteux, among others, who allowed a full 35.5% of all the proverbs of the book (some 388, according to Power) to be translated idiomatically.[8] Motteux also seems to fall prey to the "clang association" (an phenomenon in some psychiatric patients who are compelled to rhyme all speech and become upset when they cannot), where he

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[6] Mary Jane Power. "The Voices of Don Quixote: A Study of Style through Translation". Diss. U of Wisconsin, 1967. 62.
[7] Motteux, trans. Don Quixote. New York: Alfred A. Knopf, 1998. 312.
[8] Power 70.

feels the need to create rhyme in English in order to reflect the presence of rhyme in the original Spanish—thus "plenty-empty" and "store-sore" for "llena-cena" and "tener-menester". It can be agreed that for the sake of this effect, not only has Motteux warped the original meaning, but he has indiscriminately added his own content. And perhaps this is the justification for the Motteux translation being called at times "odious".

Now, to transfer our gaze to the Raffel and the Grossman, we can see that most of the qualities of the Motteux translation have been preserved—thankfully. For proverbs (a) through (d), Raffel and Grossman have elected literal translations of the Spanish. While it can be granted that some meaning is lost—proverb (b) is especially difficult for the English speaker, since the meaning as given by Sbarbi (page 2) is not apparent—at least there has been no cheapening of the text through facile comparisons, nor has there been any adulteration of the content through unwarranted editions to the text. While each has certain stylistic preferences (Raffel's favors the masculine "man" where Grossman tends to use "you") it is clear that neither has made any drastic alterations of the original text.

In the following paragraph, however, there is a noticeable difference in the translators' approaches to the text. It is Don Quixote that says proverbs (e) and (f), not Sancho, and he is using them correctly. Proverb (e) implies that in spite of Don Quixote's exhortations to cease with the *refranes*—a form of castigation—Sancho continues to use them; and thus the meaning of the proverb actually is presented through the action of the text although metaphorically. Raffel's translation of (e) as "My mother may catch me at it, but I'll keep on fooling her!" comes closer to this parallelism between proverb and action than does Grossman's "My mother punishes me and I deceive her!"

While *trompar* is also *engañar*, the salient feature of the expression here employed is not the sense of *engaño*, but of repeated action (as suggested by the continuous present of the original). Thus Raffel's translation of "keep on" is in line with the syntax of the original, while also preserving the relationship between the action of the text and its reflection in the proverb. Grossman gives us a direct translation, but in doing so misses the reason for Don Quixote's use of the proverb. Grossman again shows her preference for literalism in proverb (f) about the hills of Úbeda. Sbarbi gives his interpretation of this proverb as having to deal with people who respond to or say things that do not deal with the matter at hand. Grossman maintains the use of Úbeda, and the effect is clear enough, mostly because it is given in the format of any simile: "X has as much to do with Y as Z." This familiar semantic pattern allows for the presence of the (possibly unknown) entity of Úbeda to be understood. Raffel takes a different path by substituting "the hills of Úbeda" with "your great aunt's uncle." Raffel's phrase has a colloquial tone to it, very local; while this is a pat phrase in English, it is a regionalism, and is not necessarily recognizable to all English speakers. Therefore it could have two possible adverse effects—that of lowering the elevation of Don Quixote's speech by infecting it with the common parlance, or by simply rendering it opaque to those unfamiliar with the connotations of the phrase.

Moving to the second selection from Chapter 43, it is here that we find perhaps the most interesting phenomenon in the translations of the *Quijote*. In all of the translations that I examined for this project, when confronted with proverb (g) which is left incomplete by Sancho in the original, each translator was not only forced into a literal translation, but was obliged as well to give a footnote. This is true in Motteux, Jarvis,

Ormsby, Putnam, Raffel and Grossman. Given the scenario, it is understandable. For the 17th century Spanish reader, the reference to the *alcalde* and its signification would have been apparent—those who have friends in high places need not worry. Perhaps translating it as such (and you know, when you've got friends in high places…, for example) would be a possibility. But each translator preferred to give the complete proverb as a footnote. What's more, it is given in the footnote as a literal translation, leaving out entirely its semantic function. For Raffel and Grossman, this sort of obligation was designated in their introductions as being somewhat onerous. And yet, the only other option is to substitute an idiomatic phrase, which is problematic as stated previously.

Leaving aside proverbs (h) through (l), all of which (excepting proverb (i) are unproblematic), let us focus on proverb (m). The original Spanish gives: "del hombre arraigado no te verás vengado"—power has the upper hand, no matter how outraged you are. Grossman leaves aside the rhyme scheme, as is characteristic of her translation, and chooses (again) a literal translation. Raffel's choice is somewhat more perplexing. His translation is "you can't sue city hall". Again, the problem with Raffel's choice is that its comprehensibility is limited to a particular audience, namely and American one. (If we're going to split hairs, the typical use is not *sue* but *fight*.) In terms of the substitution itself, it is questionable. Not only is it a distant approximation, but it is also mildly anachronistic. Although recent translators have continued to affirm the *modernity* of Cervantes' prose, this substitution is jarring precisely because it is *too* modern. While in general I find Raffel's translation very generous and accurate, I must assert that his use of substitutions is not effective at all. It is not possible to generate a maxim here that *all*

substitutions are misguided, but it certainly seems in Raffel's case that his substitutions are not very strategic and seem incongruous within his own translation, since he shows that proverbs, even when translated literally, can still carry meaning. So why does he insert these anachronistic, regional substitutions? In sum, the use is questionable and somewhat mars a generally good translation.

Finally there is proverb (n), in which Sancho plays upon his own name as a rhyme with "santo". Grossman and Raffel navigate this tricky area with a basic substitution: silence is golden. It can be agreed that this is a one-to-one equivalence semantically, but that because of the pun, it must be a complicated rendering into English. Raffel's translation shoots wide of the mark by incorporating the Sancho-element as a sort of cliché "like I always say". "As Sancho always says" has very little to do with the actual Spanish. In fact, it is not even suggested and is nearly superfluous. Grossman's translation is somewhat more intriguing as it attempts to blend the two languages. George Steiner says in *After Babel* that "a translation from language A into language B will make tangible the implication of a third, active presence… The translator enriches his tongue by allowing the source language to penetrate and modify it. But he does far more; he extends his native idiom towards the hidden absolute of meaning."[9] Grossman does not manage to render the pun entirely, but she does allow for the Spanish to penetrate the English. Where "silence is golden" would be sufficient as a substitution, Grossman extends the analogy between the two proverbs to include the element of naming or calling—the *llamar* of the original text. And so we have the two proverbs blending harmoniously. This is the *third term*—the suggestion of the possibility of not just *transparent* translation, but a truly *generative* translation that goes toward linguistic

[9] George Steiner. After Babel, 3rd Edition. Oxford: Oxford UP, 1998. 67.

and cultural interpenetration. I will close with this observation, as I feel it is the most optimistic note upon which to end, approximating as it does the gnostic ideals of translation that Steiner promotes and the ambitions of translatability set forth by Benjamin. Judging by Grossman's and Raffel's efforts, translation is genuinely proceeding away from its hackneyed past towards a more comprehensive *art* form. I stress the word *art* because although the translator's work is often seen as a secondary impulse, when we consider how translations affect the artistic consciousnesses of the global community, it is true that we are completely indebted to them for what we create of our own supposed genius. As for *Don Quixote* himself, it is the work of people such as Grossman and Raffel that prevent the "quixotic" from being a mere SAT word.

1a. From *Don Quixote,* Part II, Chapter 43 (p. 1290-93) (ed. Justo García Soriano and Justo García Morales. (Madrid: Aguilar, 1968).)

—También, Sancho, no has de mezclar en tus pláticas la muchedumbre de refranes que sueles; que puesto que los refranes son sentencias breves, muchas veces los traes tan por los cabellos, que más parecen disparates que sentencias.

—Eso Dios lo puede remediar—respondió Sancho—;porque sé más refranes que un libro, y viénenseme tantos juntos a la boca cuando hablo, que riñen por salir, unos con otros; pero la lengua va arrojando los primeros que encuentra, aunque no vengan a pelo. Mas yo tendré cuento de aquí adelante de decir los que convengan a la gravedad de mi cargo; que en casa llena, presto se guisa la cena **(a)**; y quien destaja, no baraja **(b)**;y a buen salvo está el que repica **(c)**; y el dar y el tener, seso ha menester **(d)**.

—¡Eso sí, Sancho!—dijo Don Quijote—. ¡Encaja, ensarta, enhila refranes; que nadie te va a la mano! ¡Castígame mi madre, y yo trómpogelas [*Trómpogelas: De trompar, engañar*] **(e)**. Estóite diciendo que excuses refranes, y en un instante has echado aquí una letanía dellos, que así cuadran con lo que vamos tratando como por los cerros de Úbeda **(f)**. Mira, Sancho, no te digo yo que parece mal un refrán traído a propósito; pero cargar y ensartar refranes a troche moche hace la plática desmayada y baja.

1b. From *Don Quixote,* Part II Chapter 43 (p. 1294-95)

—Bien sé firmar mi nombre—respondió Sancho—; que cuando fui prioste en mi lugar, aprendí a hacer unas letras como de marca de fardo, que decían que decía mi nombre; cuanto más que fingiré que tengo tullida la mano derecha y haré que firme otro por mí; que para todo hay remedio si no es para la muerte; y teniendo yo el mando y el palo, haré lo que quisiere; cuanto más que el que tiene el padre alcalde... [*Ese refrán completo dice: El que tiene el padre alcalde, seguro va al juicio.*] **(g)** Y siendo yo gobernador, que es más que ser alcalde, ¡llegaos, que la dejan ver! No sino popen y calóñenme [*desprecien y calúmnienme*]; que vendrán por lana y volverán trasquilados **(h)**; y a quien Dios quiere bien, la casa le sabe **(i)**; y las necedades del rico por sentencias pasan en el mundo **(j)**; y siéndolo yo, siendo gobernador y juntamente liberal, como lo pienso ser, no habrá falta que se me parezca. No, sino haceos miel, y paparos han moscas **(k)**; tanto vales cuanto tienes, decía una mi agüela **(l)**; y del hombre arraigado no te verás vengado **(m)**.

—¡Oh maldito seas de Dios, Sancho!—dijo a esta sazón Don Quijote—. ¡Sesenta mil satanases te lleven a ti y a tus refranes!...

...—¿A qué diablos se pudre de que yo me sirva de mi hacienda, que ninguna otra tengo ni otro caudal alguno sino refranes y más refranes? Y ahora se me ofrecen cuatro, que venían aquí pintiparados; o como peras en tabaque; pero no los diré, porque al buen callar llaman Sancho **(n)**.

2. Definition of some of Sancho's *Refranes* as found in José María Sbarbi y Osuna's book *Diccionario de refranes, adagios, proverbios de la lengua española*

(a) *En casa llena presto se guisa la cena.*: Donde hay abundancia de medios, pronto se sale con facilidad de cualquier empeño.
(b) *Quien destaja, no baraja.*: Advierte que para evitar quimeras y pleitos conviene prevenir todos los lances al principio de un negocio.
(c) Definition unavailable
(d) *El dar y tener, seso ha menester.*: Enseña que se debe ser liberal, pero con prudencia. (Also *Da y ten, y harás bien*)
(e) Definition unavailable
(f) *Como por el cerro (o los cerros) de Úbeda.*: A los que responden o dicen una cosa que no viene al asunto de que se trata.
(g) *El que tiene el padre alcalde, seguro va a juicio*.: Denota que cuando se tienen buenos valedores o padrinos no hay que temer, aun viéndose en malos pasos.
(h) *Ir por lana y volver trasquilado.*: Salir malparado de una empresa de la cual se lisonjeaba uno obtener el éxito más favorable.
(i) *A quien Dios quiere bien, la casa le sabe.*: Al que tiene suerte todas las cosas se le vienen a la mano.
(j) Definition unavailable
(k) Definition unavailable
(l) Definition unavailable
(m) *De hombre arraigado no te verás vengado*.: Es muy difícil tomar venganza de personas hacendadas y poderosas.
(n) *Al buen callar llaman Sancho,* o *santo.*: Recomienda la prudente moderación en el hablar, evitando, sobre todo, palabras necias o inútiles.

2.1. Excerpt from Motteux' translation of *Don Quixote* (circa 1700) (p. 312)

For in a rich Man's House the Cloth is soon laid (i); where there's Plenty the Guests can't be empty (ii). A Blot's no Blot till 'tis hit (iii). He's safe who stands under the Bells (iv); you can't eat your Cake and have your Cake (v); and Store's no Sore (vi).

3a. From *Don Quijote,* Part II, Chapter 43 (p. 582-83). (trans. Burton Raffel. (New York: W.W. Norton & Co.: 1999)

"In addition, Sancho, you shouldn't jumble up your speech with piles of proverbs, as you usually do, because even though proverbs pack a lot of wisdom into a short space, you often drag them in by the hair, so they seem less like sense than nonsense."

"God will have to take care of that," replied Sancho, "because I know more proverbs than any book, and they come jumping into my mouth whenever I open it to say anything, and then they fight with each other to see who can get out first, but my tongue just tosses out the first one it finds, even if it's not right on target. But from now on I'll try to stick to ones better suited to the dignity of my office, because when a house has a well-stocked larder, there's always something cooking **(a)**, and the man who cuts the cards doesn't shuffle them **(b)**, and the man who rings the alarm bell doesn't get caught in the fire **(c)**, and if you're going to be a giver or a keeper, you'd better know exactly what you're doing **(d)**.

"That's exactly it, Sancho!" said Don Quijote. "Let them roar, let them rip, there's bound to be one that makes a fit — and who's going to stop you from pouring them out! My mother may catch me at it, but I'll keep on fooling her! **(e).** Her I am, telling you to stay away from proverbs, and quick as a wink you trot out a whole troop of them, all about as relevant to what we're discussing as your great aunt's uncle **(f)**. Look, Sancho: I'm not telling you there's anything wrong with a proverb, properly used, but to reel off cartloads of them, all helter-skelter, drains the life out of your speech and makes it worthless."

3b. From *Don Quijote,* Part II, Chapter 43 (p. 584)

"Of course I can sign my name," replied Sancho, "because when I was an usher at union meetings, back home, I learned how to write some of the letters of the alphabet — and they said that was how my name was written and, anyway, I can make believe my right hand's paralyzed, so somebody else has to sign things for me, because there's a way around everything except death, and when I'm in charge and the stick's in my and I can do whatever I want to, because, you know, when your father's the judge… [1. "When your father's the judge, you can feel safe going to court" –*Translator's Note*] **(g)**. And I'll be the governor, which is even better than being a judge — so come on, and we'll see what we'll see! No, let 'em make fun of me and call me names, because the can come after wool and go home fleeced **(h)**, and when God loves you, He knows where you live **(i)**, and in this world a rich man's foolishness is called wisdom **(j)**, and since I'm going to be both a governor and generous (because that's what I'm planning), no one's going to criticize me. No, just make honey and there'll be flies all over **(k)**, because, as my grandmother used to say, whatever you own, that's what you're worth **(l)**, and you can't sue city hall **(m)**."

"Oh in the name of God, Sancho!" said Don Quijote after this outburst. "May sixty thousand demons come and carry off you and your proverbs too!"…

… "Why in the name of the devil are you getting mad, just because I use something that belongs to me, since I don't own anything else, not a blessed thing except proverbs and more proverbs? Right now I've got four of them, as right to the point as pears in a basket — but I won't say them, because, as Sancho always says, silence is golden **(n)**."

4a. From *Don Quixote*, Part II, Chapter 43 (p. 733-34) (trans. Edith Grossman. (New York: HarperCollins, 2003).)

"Sancho, you also should not mix into your speech the host of proverbs that you customarily use, for although proverbs are short maxims, the ones you bring in are often so far-fetched that they seem more like nonsense than like maxims."

"God can remedy that," responded Sancho, "because I know more proverbs than a book, and so many of them come into my mouth at one time when I talk that they fight with one another to get out, but my tongue tosses out the first ones it finds, even if they're not to the point. But I'll be careful from now on to say the ones that suit the gravity of my position, because in a well-stocked house, supper is soon cooked **(a)**; and if you cut the cards, you don't deal **(b)**; and the man who sounds the alarm is safe **(c)**; and for giving and keeping, you need some sense **(d)**."

"Go on, Sancho!" said Don Quixote. "Force the proverbs in, string them together one after another on a thread! No one will stop you! My mother punishes me and I deceive her **(e)**! I tell you to avoid proverbs, and in an instant you have come out with a litany of them that have as much to do with what we are discussing as the hills of Úbeda **(f)**. Look, Sancho, I am not saying that an appropriate proverb is wrong, but loading and stringing together proverbs any which way makes your conversation lifeless and lowborn."

4b. From *Don Quixote*, Part II, Chapter 43 (p. 735-36)

"I know how to sign my name very well," responded Sancho, "because when I was steward of a brotherhood in my village, I learned to make some letters like the marks on bundles, and they told me that they said my name; better yet, I'll pretend that my right hand has been hurt, and I'll have somebody else sign for me; there's a remedy for everything except death, and since I'll be in charge of everything, I can do whatever I want; then, too, when you're father's the magistrate… [This is the first half of a proverb: "When your father's the magistrate, you're safe when you go to trial."—*Translator's note*] **(g)**. And being a governor, which is more than being a magistrate, just let them come and they'll see what happens! No, let them make fun of me and speak ill of me: they'll come for wool and go home shorn **(h)**; and when God loves you, your house knows it **(i)**; and the rich man's folly passes for good judgment in the world **(j)**; and since that's what I'll be, being a governor and a very generous one, which is what I plan to be, nobody will notice any faults in me. No, just be like honey and the flies will go after you **(k)**; you're only worth as much as you have, my grandmother used to say **(l)**; and you won't get revenge on a well-established man **(m)**."

"O, may you be accursed, Sancho!" said Don Quixote at this point. "May sixty thousand devils take you and your proverbs!"…

… "Why the devil does it trouble you when I make use of my fortune, when I have no other, and no other wealth except proverbs and more proverbs? And right now four have come to mind that are a perfect fit, like pears in a wicker basket, but I won't say them, because golden silence is what they call Sancho **(n)**."

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Adult Second Language Learners and Present Tense /-s/

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It is evident to native speakers of English, teachers, and second language (L2) researchers that third person singular /-s/ can be variable in the speech of adult non-native speakers of English. There is substantial evidence in L2 research (Tarone 1988; Eckman 1987; Saunders 1987; Van Patten 1984) that third person singular /-s/ continues to be unstable even in the speech of advanced learners of English. In this paper, I show that the variability of third person singular /-s/ is linked to principles and properties of phonology, syntax, and semantics, each providing a layer of difficulty for the learner. In early stages of acquisition, learners may encounter difficulties with the semantics of third person singular /-s/ because the present tense is used for a variety of meanings, such as the habitual, generic habitual, and narrative for past, present, and future. Syntax also provides difficulties for beginning learners in that third person singular /-s/ mediates between two major components of a sentence, the noun phrase and verb phrase, requires complex cognitive decisions regarding its use, and follows a non-binary model of acquisition. In addition to semantics and syntax, principles of phonology operate to constrain complete acquisition of third person singular /-s/. L2 learners who have mastered the syntactic and semantic complexities of third person singular /-s/ but continue to show variability in its use are attempting to operate under constraints imposed by phonological principles, such as a preference for a consonant-vowel (CV) syllable, sonority sequencing, and the Obligatory Contour Principle. In this paper, I propose that L2 learners of English eventually sort through the semantic and syntactic difficulties associated with third person singular /-s/ but that the continued variability found in the speech of advanced learners can be traced to the phonological constraints.

1. Title: **"In Search of a Virtual Classroom?": Hypertexts in ESL**

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6. Abstract:

In *the Effect of Hypertext on Processes of Reading and Writing*, Charney points out that the appearance of hypertext is "a new and exciting development" which provides English teachers with crucial pedagogical implications and therefore needs to be critically examined. (2001, p. 86). In response to Charney's powerful call for examining the role of hypertexts in education, I argue that the issues on the influences of computer technology in ESL literacy practices be critically examined.

Although a number of studies have explored the role of cyber literacy in learners' reading and writing developments (Barnes, 1994; Gabor, 2002; Kupper, 1997; Olson, 1996; Snyder, 1995; Thomas, 1997), many of these studies look at educational contexts in which the majority of the students are native speakers of English. Few examine the relationship between ESL learners' cyber literacy and their second language acquisition (SLA) and the design and effects of computer-based instructional materials such as language learning websites. The purpose of this paper is to explore the definitions of cyber literacy in both L1 and L2 contexts and to examine hypertexts on free commercial websites. The goal is to better understand what kind/level of cyber literacy may be entailed for learners to make productive use of free online materials. Implications of the findings for online ESL learning are discussed.

"In Search of a Virtual Classroom?": Hypertext in ESL

INTRODUCTION

With the advent of ever-progressing computer technology, the 21st century has seen many instructional innovations with the aids of computers. Computer literacy, electronic literacy, digital literacy, and online/cyber literacy are just several of the many buzzwords that have been created to describe the skills that a computer-mediated learning and teaching environment would entail. Literacy related to computer technology has drawn a tremendous amount of attention from teachers and researchers and has aroused heated discussions on the promise and perils of such technological innovations in academic settings. One of the most important technological innovations is the development of the Internet or the World Wide Web. The Internet has provided a convenient platform for the exchange of information, which calls for a new kind of literacy practice, such as reading and writing hypertext with hypermedia components. This computer literacy practice can affect learning and teaching in both L1 and L2 contexts. This paper explores the definitions of online/cyber literacy in L1 and L2 settings, details the relationships of the hypertext and critical literary theories and points out several caveats of using free commercial websites for ESL learning. I will also examine the hypertext in two commercial websites to better understand the literacy skills that are required to navigate the sites and to productively use the online materials.

LITERATURE REVIEW

Online/Cyber Literacy

Many researchers and educators have pointed out the importance of computer literacy since computers were first used to facilitate language learning and teaching in

the 80s. With the fast progress of new computer technology such as the Internet and hypermedia in recent years, the traditional notions of computer literacy have gone through a tremendous change. More and more researchers promote online/cyber literacy, which involves more than just typing, using hardware, word processing software and simple programming. The notion of online/cyber literacy calls for 'critical computer literacy' (Kellner, 2002). Critical computer literacy includes learning to use the Internet to "do research and gather information, as well as to perceive computer culture as a terrain containing texts, spectacles, games, and interactive multimedia" (p. 161). Snyder (1995) notes that today's networked computer classrooms promote a "discursive and political" environment in which everyone can voice their thoughts, share ideas, and engage in active 'cultural dissemination' (p. 27). In other words, individuals can take part in producing culture(s) by exchanging opinions concerning a wide variety social issues online.

To enhance critical computer literacy, Kellner (2002) suggests an expanding view of computer literacy which includes not only using computer programs and hardware but also multimedia literacy, such as accessing information and educational material online, using e-mail, listserv, discussion boards/forums, and constructing websites. The use of networked computers requires "the accessing and processing of diverse sorts of information proliferating in the so-called 'information society'" (p. 161). Therefore, in addition to being able to research information online, one needs to learn "how to organize, interpret, and evaluate the information" (p. 161). This idea of critical computer literacy has an important implication to ESL learners who plan to use free commercial language learning websites to enhance their learning since it takes their second language (L2) literacy to navigate the English websites.

A number of studies have been conducted to survey the computer and online literacy practices of the general pubic and learners at different educational levels. Tapper suggests that such studies have shown "the importance of considering the 'environmental dynamics'" of particular groups who use networked computers (1997, p. 27). These dynamics refer to variables that can affect learners' online practices and future online literacy development: gender, attitudes toward computers, types of school-based computer course studies, accessibility of a PC at home and school, and levels of print literacy. I argue that this concept of 'environmental dynamics' can become more complicated in the case of ESL learners' online literacy practices since it involves their L2 literacy to operate the computer system, navigate the Internet, and evaluate the information online.

In addition to navigating the Internet and evaluating online sources, Kellner suggests that learners be familiar with hypertext reading to "traverse the ever-changing fields of cyber culture, and to participate in a digital and interactive multimedia culture that encompasses work, education, politics, culture and everyday life" (2002, p. 162). Regarding Kellner's call for literacy in hypertext and cyber culture, I will now turn to a more detailed discussion on hypertext and its impact on people's literacy practices online.

History of Hypertext

The earliest idea of hypertext originated from Vannevar Bush's 1945 article, *As We May Think* in *Atlantic Monthly* (Barnes, 1994). In the article, Bush, a pioneer in Internet and hypertext research, mentioned the drawbacks of print media and problems related to exchanges of vast amounts of information. He notes that the "methods of transmitting and reviewing the results of research are generations old and

by now are totally inadequate" (qtd. in Barnes, 1994). Bush, therefore, suggests that new ways of reading and documenting print sources be developed. He invented the concept of 'textual interaction', which is quoted in Landow (1992):

> Associative indexing (or links), trials of such links, and sets or webs of such trials. These new elements in turn produce the conception of a flexible, customizable text, one that is open—and perhaps vulnerable—to the demands of each reader (p. 17).

This concept of organizing text influenced Theodor H. Nelson, who coined the word 'hypertext' in the 1960s to describe a form of electronic text (Barnes, 1994; Landow, 1997). Such electronic text features non-sequential reading and writing—"text that branches and allows choices to the reader, best read at an interactive screen" (qtd. in Landow, 1997, p. 3). The branching of text enables an online system in which documents can be stored and transferred through networked computers. This innovation offers readers easy access to vast amounts of data of all kinds by clicking on the electronic links. Barnes describes such convenience in reading research articles online:

> When a reader encounters a footnote in a text, the first text branches out and links to the second footnoted text. The reader can easily move back and forth between the first and second texts to grasp the different author's ideas (1994, p. 26).

Therefore, hypertext is an electronic information medium, which offers readers various pathways to move from text node (chunk of text) to text node without a predetermined restructure like page-bound print materials. A major difference between hypertext and linear print text is "the degree to which hypertext readers may choose from multiple paths through a body of text" (Snyder, 1995, p. 27). Hypertext is co-constructed by 'the author who creates and places the links', and 'the readers who decide what thread to follow'. Print text, on the other hand, may not allow as

much flexibility since the information tend to be presented in a linear sequence, predetermined by the author. Snyder, thus, observes that "the use of hypertext affects how we read and write, how we teach reading and writing, and how we define literacy practices", which can lead to "enhanced ways of teaching and learning reading and writing" (p. 27). This observation points out the influences of hypertext in both native English speakers' and ESL learners' literacy practices. More research is thus needed to better understand what the influences are and what the impacts on second/foreign language (L2/FL) learners and their instruction may be.

For the past few decades, the hypertext technology has been expanded to include not only all kinds of electronic texts (e.g. interactive books, encyclopedias, online reference indexes, etc) but also the applications of hypermedia. The hypermedia applications connect texts to visual images, sound, animation, maps, and diagrams, which "expand the notion of text beyond the solely verbal" (Landow, 1997, p. 3). In other words, hypertext is an electronic medium that links verbal and nonverbal information. Due to today's computer technology, the hypertext can be purely text-based or with hypermedia components. Based on Lindow's definition of today's hypertext technology, I use hypertext and hypermedia interchangeably in this paper.

Hypertext and Critical Reading and Writing Theories

Researchers have suggested that hypertext "can serve to expose 'the operations and effects' of the powerful modern theories of reading and writing—post structuralism, reader-response criticism and critical literacy" (Johnson-Eilola, 1994; Landown, 1997; Snyder, 1995, p. 30). Bolter (1991) claims that critical theory provides a theoretical ground for hypertext due to its emphasis on discontinuity of texts. Landow (1997) also argues that hypertext reflects the fundamental elements of

critical theory such as "textual openness, intertextuality, and the irrelevance of distinctions between inside and outside a particular text" (p. 33). Foucault, Bakhtin, Derrida, and other critical theorists constantly use the terms, such as link (*liaisons*), web (*toile*), network (*reseau*), and interwoven (*s'y tissent*) in the their work. The 'nonlinearity,' 'open-endedness,' and 'multivocality' of hypertext thus promote a new form of reading and writing:

> Hypertext is nonlinear and open-ended so that the reader is not locked into a particular organization or hierarchy. Hypertext has the capacity to emphasize intertextuality, by connections and cross-references to other texts, in ways that page-bound books cannot. Hypertext promotes multivocality, that is, it doesn't permit the reign of a univocal, authorial voice (Snyder, 1995, p. 30).

However, this notion about hypertext is not received with complete agreement. Dobrin (1994) argues that "hypertext is not a new text form" and thus "has no potential for fundamental change in how we write or read" since one can always "jump around" or flip to a certain section when reading print materials (p.308). Although Dobrin made a good case that the procedures of reading print materials like skipping and flipping function similarly as navigating hyperlinks, it is worth noting that a hypertext environment might still allow more flexibility compared to the conventional print materials. For example, a hyperlink to a footnote or a reference list is usually interwoven with another link to the full text version of that reference, which is very unlikely, if not impossible, when reading a print journal article. In addition, since hypertext technology has evolved tremendously, the difference between today's hypertext and print materials is more likely to be more obvious, compared to the hypertext in it's preliminary stages. As Dobrin himself also notes, "hypertext [were] not well developed and the technical capabilities of machines [were] not well

established" at the time he wrote up his critique.

Reading and writing in a hypertext environment reflects the central idea of poststructuralists and critical theorists about literacy, who believe that reading and writing should not be confined to the linear structures of printed texts (Johnson-Eilola, 1994; Snyder, 1995). Regarding 'hyper-reading', Sosnoski identified the following characteristics of hypertext reading

1. filtering: a higher degree of selectivity in reading [and therefore]
2. skimming: less text actually read
3. pecking: a less linear sequencing of passages read
4. imposing: less contextualization derived from the text and more from readerly intention
5. filming: the "…but I saw the film" response which implies that significant meaning is derived more from graphical elements as from verbal elements of text
6. trespassing: loosening of textual boundaries
7. de-authorizing: lessening sense of authorship and authorly intention
8. fragmenting: breaking texts into notes rather regarding them as essays, articles, or books (1999, p. 163).

These characteristics of hypertext reading, according to critical theorists, promote associative or critical thinking in both readers and writers. Pea and Kurland (1987) argues that the use of hypertexts can facilitate the writing process in several ways. First, browsing hypertexts on the Internet helps writers to generate and select ideas at the invention stages. The invention processes can become productive as the writer tries out and experiments with different idea clusters and outlines with the aid of a system that allows the writer to view and rearrange different ideas by using linked note cards (Smith, Weiss, & Ferguson, 1987). In addition, hypertext systems that enable peers to annotate each other's drafts facilitate collaboration in the writing process (Irish & Trigg, 1989). From pedagogical point of view, hypertext systems, if

designed appropriately, can guide "novice writers though heuristic activities that support the critical thinking and analysis" (Charney, 2001, p. 86; Neuwirth & Kaufer, 1989).

In addition, Charney (2001) notes that hypertext system benefits writers of computer manuals or reference materials. It allows technical writers to create different versions of the manuals for a wide range of readers. Novice readers can choose links to texts with definitions, examples, and explanations, whereas more experienced readers can skip those completely. In a hypertext environment, writers can also predetermine the paths of navigations to guide readers "through the network at the appropriate level for their purpose or level of expertise" (p. 87). Therefore, many hypertext researchers have suggested two strong pragmatic appeals of hypertext: "to facilitate the efficient creation and dissemination of complex documents and sets of documents of all kinds and to allow people to access information in the sequence, volume, and format that best suits their needs at the time" (Charney, 2001, p. 87; Grice, 1991).

The nature of hypertext reading and writing has important implications for using online language learning websites to facilitate and enhance ESL learning. The advantages mentioned can create a virtual learning environment in which learners can choose materials that interest them on their own. This also gives learners agency in navigating learning materials at their own pace since they will be able to "retrieve and assemble the text as they please" (Snyder, 1995, p. 31). As Snyder also notes that hypertext reading thus "becomes interactive, the order of its parts determined by reader response" (p. 31).

However, hypertext is not without its limitations and potential drawbacks.

Some researchers have pointed out several drawbacks of hypertext and its impacts on literacy practices. Cognitive psychologists argue that the idea that hypertext is more natural and intuitive than linear text is ungrounded and misrepresents cognitive psychological perspectives on information processing (Charney, 2001). Although information in memory can be "organized in complete amorphous associative networks", studies have shown that knowledge tends to be arranged and stored "hieracarchically" and "sequentially" (p. 88). Furthermore, no evidence shows that readers process information more efficiently in a hypertext environment than when reading linear texts. The limitations of working memory (i.e. short-term memory or focal attention) might hinder human's thinking and learning in nonlinear networks of texts. This short-term memory or attention span requires a linear and serial thought process (Charney, 2001). Therefore, even though part of human memory calls for associative thinking as that in hypertext environment, it does not mean that "the best formats in which to read or write are also associative networks" (Charney, 2001, p. 89; Neuwirth & Kaufer, 1989). Charney thus argues that "if the goal is to ensure that readers consider a specific set of associations, then a highly organized text format is more likely to achieve that aim than an amorphous network" (p. 89).

Eylon and Reif (1984) and other reading theorists also argue that "the more cohesive the text, the easier it is for readers to create a well-structure, meaningful, and useful mental representation" (Charney, 2001, p. 90). The order in which texts are constructed and arranged is thus very crucial in helping readers to generate a quality representation and may also ease the decoding and interpretation processes. A disjointed or disorganized text, print or electronic alike, can pose difficulties to readers.

Drawing on Felker et at. (1981) and Kieras and Dechert's (1985) studies, Charney (2001) discusses four texts features that enhance reading process. First, in a text, information should be presented in a coherent organization with related ideas appearing in close proximity. Second, a text should contain an informative title, headings, overviews, and topic sentences "introducing key concepts that are repeated and developed in successive portions of text" so that it becomes easy for readers to comprehend and recall (p. 91). Third, a good text should reiterate important points through repetition or reference to points mentioned in previous passages. Finally, a text based on a familiar structural pattern or genre is considered easier to follow than innovative or implicit text structures. Charney notes that these text features "place the burden of selecting and arranging information, and providing signals to arrangement, primarily on the writer"; therefore, it is "easier for readers to construct a coherent representation of a text, to reflect on its relation to prior knowledge, and to integrate new ideas and new information with what they already know" (p. 91).

In a hypertext environment, on the other hand, a large portion of the burden is shifted to the reader since a hypertext gives readers freedom to decide which information to read and what sequence in which they read it. This shift might create problems for readers who are inexperienced and unfamiliar with the subjects presented in hypertext formats since they cannot rely on the aid of traditional structures or discourse cues as in printed texts. (Charney, 2001). Based on this, Charney suggests that more studies are needed to investigate the impacts of hypertexts on reading and writing practices.

Several studies on hypertext have noted that readers may "become overwhelmed by the choices among links and by the difficulties of maneuvering

through the networked text structure" (Charney, 2001, p. 94; Conklin, 1987). It is also not uncommon that readers lose track of information and need to reread what have been read in the network. Kieras (1980) conducted a study on adult readers' reactions to technical manuals presented in a hierarchical hypertext format that contains links of major steps and tasks. The participants could choose to read to a deeper level of detail before carrying out certain steps by using a menu-selection system. The results show that many participants stopped reading before reaching crucial details under the false impression that they had figured out what to do. As a result, they failed to perform the instruction correctly. By contrast, the participants who read the manual in a linear print version did better in carrying out the task. David and Kieras thus concluded that hierarchical hypertext which gives readers control over what information to read might not be always effective.

Another study conducted by Reink and Schreiner (1985) also shows similar results. The participants were fifth- and sixth-grade students who were given a set of electronic expository passages annotated with various links such as definitions, paraphrases, background information and glossed main ideas. The results show that students who were guided though all the electronic links performed better than the groups that were allowed to explore the passages at will on a serious of comprehensive exams based on the electronic expository texts they read. Drawing on these two studies, Charney argues that when given the freedom to choose what texts to read, students "often omit significant information altogether, perhaps they can't find it, they don't know it's there, or they don't think it's important" (p. 96).

It has also been found that readers' "preferred learning styles (or 'cognitive styles') may determine how well they can cope with charting their own path through a

hypertext" (Charney, 2001, p. 97). Richard Mayer (1976) conducted a study on college students' ability to use instructional hypertext materials to solve computer-programming problems. The participants were divided into two groups with one using "experimenter-controlled" hypertext note cards system and the other using "subject-controlled" system. Students in the experimenter-controlled group read cards in a predetermined order, either logical or random. In the subject-controlled group, students were allowed to decide on which information to read first by using a table of contents for the cards. Mayer found that while the participants who had decided their own reading order were significantly better at solving novel, unexpected types of programming problems, those who read cards in experimenter-controlled order were only better at problems that were similar to those in the text. Mayer concluded that having control over the reading sequence of hypertext materials "may result in deeper, more active encoding, which allows subjects to struggle harder to relate the text to their own experience rather than memorize the information as presented" (1976, p. 149).

The studies on hypertexts show inconclusive results. While some studies have shown the drawbacks of hypertext, others found opposite results. Kasper (2003) conducted a study on the impacts of interactive hypertext on the development of ESL students' reading skills. One hundred ESL students studying at an American university participated in this study for a period of four semesters. To help the students build literacy skills, Kasper designed five types of hypertexts: glosses (links providing popup vocabulary definitions), controlled hypertexts (links leading to a predetermined texts of students' chosen topic), free hypertexts (links leading to an online research engine for free research), controlled hypertexts with glosses, and free

hypertexts with glosses. The results show that students with access to any form of the hypertexts did better on reading comprehension tests than those who read only print texts although controlled hypertexts with glosses lead to the highest level of text comprehension. Therefore, Kasper concluded that Internet hypertexts are "a highly motivating textual format that not only enriches their overall learning experience, but also helps them development the literacy skills they will need to succeed in the age of information" (2003, p. 5).

HYPERTEXT IN ESL WEBSITES

Although studies on the impacts of hypertext reading and writing have shown insightful pedagogical implications, many of these studies examined hypertext literary practices in an L1 and focused on the literacy practices of native English speakers. Only a limited number of studies looked at the computer literacy of ESL learners. In these studies on ESL learners, many researchers experimented pre-designed, highly controlled curriculum involving the use of hypertexts, which were usually specially designed and tailored to specific learners at certain language proficiency levels. Very few studies examined the hypertexts on the free commercial websites for ESL learning. With the increased accessibility to computers and the Internet, more and more ESL learners have opportunities to search hundreds and thousands of language learning sites on the Internet. However, the impacts of hypertexts on these free commercial websites for language learning remained to be seen since it is not clear what kind of computer literacy skills might be entailed in order for learners to successfully locate and navigate an appropriate site and make productive use of the materials available online.

This study examines the hypertexts in free commercial language learning

websites. The purpose is to find out the common features of hypertexts on these websites and to discover what kind of computer literacy skills are required to navigate these sites. Two free commercial websites were chosen for analysis from the lists of ESL websites on Kentucky Migrant Technology Project webpage (www.migrant.org). The Kentucky Migrant Technology Project was supported by a five-year research grant from the Kentucky Department of Education to migrant ESL students. The webpage provided direct web links to various ESL sites both for teachers and learners. The chosen sites for analysis were *BBC World Service: Learning English* (hereafter BBCWSLE) and *BBC's Word and Picture Page* (BBCWPP). BBCWSLE targets teenager and adult ESL learners and has learning materials mainly based on feature news stories with grammar and vocabulary highlights and explanations. The feature news stories and other materials are renewed on a weekly basis. BBCWPP is designed for young ESL learners with games on basic vocabulary and phonetics that are not regularly updated. The reason for choosing these two sits was that both were designed by a fairly known commercial corporation (BBC) and featured free web-based ELT materials. Although it was not intended to select free ESL sites that feature certain varieties of English, sites with specifically specified group authors/webmasters seem to be more credible than those with an unidentified/unknown author.

The hypertexts in these two websites are composed of a high degree of symbols visual icons, and pictures (see Figures 1) with each presenting a hyperlink to another web page on certain articles or activities. One of the major features of the two sites is that each webpage contains a table of contents in the form of hyperlinks on the left hand side of the screen, which allows readers to browse the materials that interest them. This webpage set-up gives learners agency in learning as they can decide on the

materials and the sequence of learning.

Figure 1 Screen from Phonics Year 2 hyperlink

(http://www.bbc.co.uk/schools/wordsandpictures [accessed April 20, 2004])

Both web sites feature an interactive audio feedback component through which learners can read and listen to the materials at the same time. Take *Write a Postcards*, one of the language games on BBCWPP for example. In the game, learners are presented a sequence of complete sentences both visually and audibly. To play, learners need to follow pop-up instructions by either clicking on certain words that contain certain vowel phonemes or dragging phonemic representations to fill in the banks (see figure 2). Another example is *Singer and the Song* on BBCWSLE in which learners need to fill in the gaps in the lyrics as listening to the song online (see figure 3). The insertion of sound files and video clips is a common feature in the hypertexts on both websites, which means in addition to the written texts, learners can rely on

other media to interpret the meaning of information presented. However, it is worth noting that in order to make productive use of such media online, learners need to have appropriate software and know how to download and open audiovisual files.

Figure 2. Screen from Write a Postcard Hyperlink (http://www.bbc.co.uk/schools/wordsandpictures/phonics/postcard/index.shtml [accessed April 20, 2004])

Figure 3 Screen from Watch and Listen Hyperline.

(*http://www.bbc.co.uk/worldservice/learningenglish [accessed Sep.l 20, 2004])*

The hypertexts interwoven with multimedia hyperlinks to audiovisual files are different from those described and studied by literary theorists in mid 1990s such as Charney, Conklin, Kieras and others, whose studies are mentioned in the previous section of this paper. Since hypertext technology and interactive software have evolved significantly since these studies, today's hypertexts might not be as limited and static as those examined in the previous studies, which were mainly composed of academic texts such as electronic journal articles with hyperlinks leading to another academic text referenced in the article. In addition to texts, hypertexts on today's commercial sites feature a high-level of audiovisual materials, such as animations, sound files, and video clips. Therefore, I argue that some of the drawbacks linked with the mainly text-based hypertexts, identified in earlier studies might not always

apply to the hypertexts in ESL learning websites. For one thing, some studies have found that the addition of audiovisual materials can facilitate ESL learners' reading comprehension and can better cater to the individual differences among learners (Chun & Plass, 1997; Kasper, 2000, 2003). As Chun and Plass note that "the use of sound, pictures, and animated pictures or video in addition to text have played an important role in vocabulary acquisition and in overall text comprehension, and are unquestioned components of instructional materials for language learning" (1997, p. 60).

With respect to individual differences, studies have shown that information presented in different modes has different effects on L2 learners' reading comprehension. According to Gardner's multi-intelligence theory, different learners have their own preferred learning methods and may resort to different intelligence to come to a productive outcome. It has been suggested that in addition to verbal or linguistic intelligence, people can depend on other intelligences such as spatial intelligence, 'visualizer' or musical intelligence to facilitate text comprehension (Chun & Plass, 1997). Depending on their preferred learning style, some people rely on certain kinds of intelligences more than others can. For example, learners with low linguistic intelligence might find texts with visual aids more helpful than others. Also, learners with low prior knowledge and high spatial intelligence might benefit greatly from multimedia materials while reading (Chun & Plass, 1997). Given these, hypertexts on the free commercial ESL websites, especially those that are similar to those examined in this paper can be good L2 learning materials.

Furthermore, the interactive hypertexts in such websites also have the potential to increase learners' motivation and provide exigency for reading and writing in

context. Both BBCWPP and BBCWSLE sites include message boards on various topics, email discussion groups, and free e-postcard service. These features provide learners with an authentic context in which they can write and communicate with others without spatial constraints. These interactive materials constitute a venue for using the language for communicative purposes, which can motivate learners to write in L2. More importantly, they engage learners in a virtual ESL learning community by connecting learners around the world.

However, it should be noted that there are also problems associated with using free commercial websites. First, as noted in the previous section of this paper, locating and choosing an appropriate website might be difficult for some ESL learners, especially those who are beginners and have low computer/online literacy. To make good use of free commercial sites, learners need to be able to search the Internet for useful sites and know how to choose the right one from hundreds and thousands of "hits" (e.g. using Google for a keyword search on "ESL sites" comes up with 723,000 hits).

Second, it was found that many commercial ESL sites do not specify specific language levels for their hypertext materials and activities. The BBCWSLE sites examined in this study show this drawback. Although it is not hard to tell that the design of the site is geared towards teenagers and adults by the subjects of learning materials, the site does not indicate the difficulty level of each article and activity and does not specify if learners need to complete a certain activity before advancing to the next one. Third, unlike the two websites examined in this study, most free commercial websites are designed by unknown individuals; therefore, it is hard to judge if the hypertext materials on such sites feature accurate linguistic information. From my

own experience in browsing free commercial ESL sites, I have come across several sites that contain grammar mistakes, typos, and non-targetlike usage of linguistic forms in the hypertexts. Therefore, due to these problems, both ESL teachers and learners should be cautious when using the hypertext materials on free commercial sites. Without extra attention to the drawbacks, there is a chance that it may do more harm than good for language learning.

CONCLUSION

This study has shown several advantages of using interactive hypertexts on free commercial language learning websites, which include promoting self-paced learning, increasing learner motivation through audio-visual enhancements, catering to individual learning styles, and providing exigency for writing through online chats and email exchanges. However, there are also drawbacks linked with using online materials. Choosing the right websites and evaluating online information can be problematic for some learners. This critical computer literacy skill might not be easy for ESL learners since it also involves their L2 literacy when it comes to reading ESL materials online.

The major pedagogical implication of this study is that ESL learners should obtain critical computer literacy if they want to make good use of free commercial sites to facilitate their L2 learning. In addition to basic computer skills, they should become multimedia literate, know how to download audiovisual files, interact with animated icons and pictures, and most importantly, critically evaluate online materials. In summary, reading Internet hypertexts calls for critical computer literacy, multimedia literacy, and visual literacy.

Further research on hypertexts on commercial ESL sites can set up an experimental design to examine the effects of hypermedia and audiovisual materials on ESL learners' reading comprehension and literacy practice online. Also, one can look at learners' interactions in the messages boards or internet chatrooms in commercial sites to better understand their L2 development with the aids of networked computer technology. Future research can also include interviews or surveys of learners to discover their attitudes or perceptions of using online hypertexts for language learning.

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ATT: PROCEEDINGS

Attached herewith is my text for "SILVESTRE REVUELTAS: A SHORT STUDY OF HIS LIFE AND MELODIES".

Charles K. Hoag

Charles K. Hoag

1530 Naismith Dr. Room 460 • Lawrence, KS 66045-3102 • Telephone: 785.864.3436 • Fax: 785.864.5866

Some Melodies of Silvestre Revueltas

by

Charles K. Hoag

Silvestre Revueltas is arguably the greatest Mexican composer of the first half of the twentieth century. Born on the last day of the nineteenth century he lived only to 1940. All of his music was written in the span of the last eleven years of his life. Prior to that, he devoted himself to playing the violin and conducting. He died of pneumonia no doubt induced by exhaustion and alcoholism.

There are two sides to the Revueltas personality and both may be heard in his music. There is the spokesman for the common man, the underprivileged, advocate of the political left, in short, a revolutionary. This side of him is seen and heard in such works as ***Redes*** [Waves]--music for a film about the poverty and death by starvation of Mexican fishermen; and ***Homage to Federico Garcia Lorca***—memorializing the loss that great poet at the hands of one of Franco's firing squads. ***Sensemaya,*** Revueltas' best-known work and a good place to start for those wishing to become familiar with his music, also falls in this category. On the face of it, the title itself may not indicate much about the extra-musical content. The rhythms and meters sound Latin-American. In fact the music was inspired by the poem "Sensemaya: a Chant for Killing a Snake" by the Afro-Cuban poet Nicolas Guillen. Couple the fact that the composer and poet traveled together to Loyalist Spain during the Civil War, and that the snake in question may symbolize fascism or imperialism, and we can put this music into the serious, leftist side of the Revueltas personality. This music is dark, dissonant, verging upon atonality.

The other side of this great personality is his fun-loving, quirky, rollicking, earthy sense of humor, as seen in such compositions as ***Ocho per Radio*** [Eight Musicians Broadcasting]—diatonic music with some hilarious harmonies, ***El Renacuajo Paseador***--a puppet show for children involving a frog, mouse, a cat, and a duck; and ***Musica Para Charlar*** [Chit-Chat Music]. Regarding this last work, John W. Duarte quotes Revueltas as saying: "I like all kinds of music. I can even stand some of the classics, and some of my own works."

Silvestre Revueltas—popular man in the street, revolutionary, genius, alcoholic, pianist, fine violinist, fun-loving but depressed, composer with a love of folklorica, a Mexican composer who never included the guitar in his music, a Mexican composer always on the verge of exhaustion.

Before examining melodies in various Revueltas works, it may be helpful to define several general terms. I do this for the benefit of those with little specialized musical training. The melodies in this inquiry will fall into one of the following categories of scales:

Pentatonic Scale=formed by the five black keys of the piano. It has a folkloric sound. Debussy's use of this scale was no doubt influenced by the sound of the Gamelon Orchestra of Java. It is a scale not commonly found is European classical music prior to Debussy.

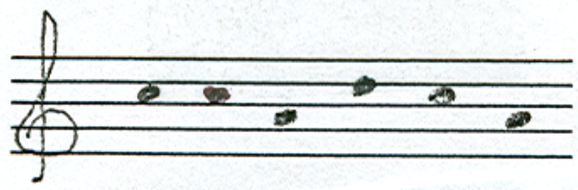
Diatonic Scale=formed by the seven white keys of the piano—also found in folk music commonly used in European classical music. The major, minor scales, and the church modes are diatonic.

Octatonic Scale=alternating half and whole steps. Though it was found earlier, it is a scale commonly associated with 20th century; found in the music of Debussy, Stravinsky, Messiaen, Joan Tower and many others. Both tonal and atonal music are possible with this scale.

Chromatic Scale=made by using all the notes on the keyboard—black and white. It is found in music from Wagner to the present including Mahler, Strauss, Schoenberg, Berg, Webern, Milton Babbitt and a host of others.

There is a three-pitch building block common to all these scales and it is prominent in some of the melodies of Revueltas. Those pitches are so universal that they are prominent in children's tunes. This example is best sung:

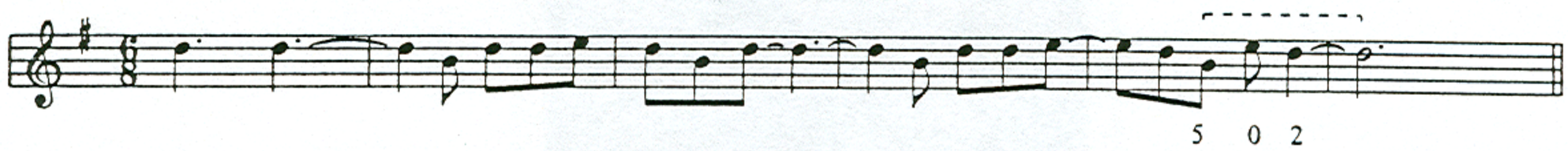
Example 1, children's tune.



These three notes—still very much with us today--are even thought by some experts in that area to be among mankind's earliest vocal utterances. Theorists would count the half steps between the tones and would use the result as a name of the set. The result is <0, 2, 5>. It occurs in different transpositions and inversions four times in the pentatonic scale, seven times in the diatonic, and eight times in the octatonic. I shall point them out in several of Revueltas' work. Their presence at the beginning of many of these works has lead me to call them "Salutes".

Take, for instance the trumpet call at the beginning of the happy-go-lucky ***Ocho Por Radio:***

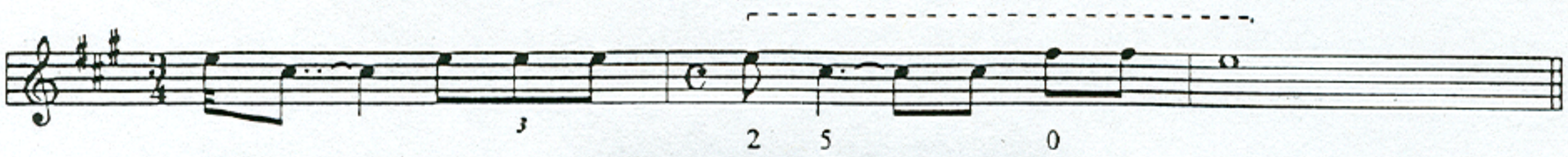
Example 2, *Ocho por Radio*, meas. 1.



Note also the 'accented short-long' rhythm heard here. It is common to Revueltas' melodies. This piece is diatonic throughout—beginning and ending in G major with occasional wrong-sounding notes or, as some might say 'clams', perhaps making fun of the abilities of the eight musicians broadcasting.

In ***Caminos*** for large orchestra we heard the opening salute twice in the first fourteen measures, played this time by four trumpets in unison:

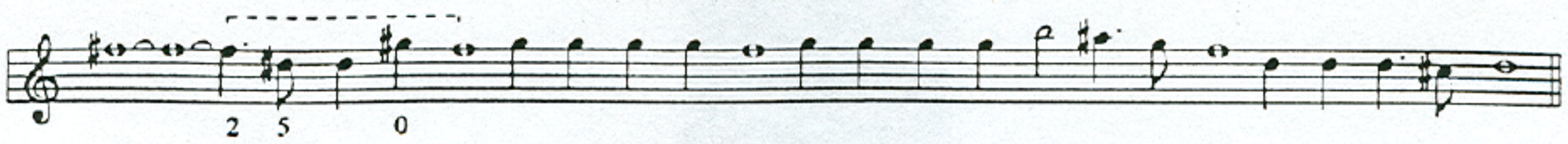
Example 3, *Caminos*, meas. 1.



It is heard again at the end of the work and throughout in various different melodic guises. Clearly, the salute in ***Caminos*** is more integral to the rest of the music than it is in ***Ocho Por Radio***.

In ***Homage to Federico Garcia Lorca*** for chamber orchestra the same salute figure, given by a solo trumpet, assumes a somber tone by the composer's repetition of notes and the inclusion of an extension of the melody.

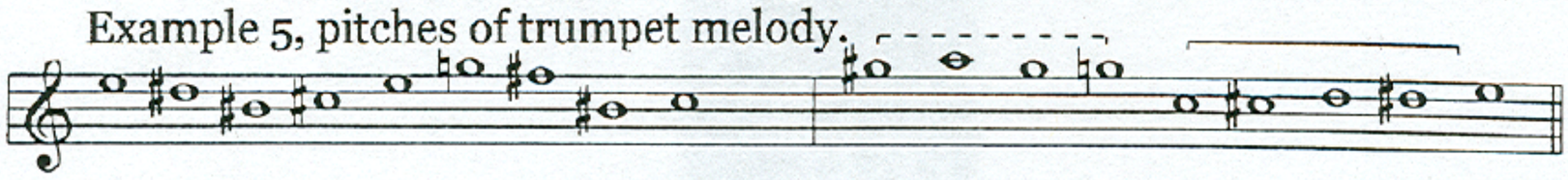
Example 4, *Homage to Federico Garcia Lorca*, meas. 1.



It is heard again at the end of the movement.

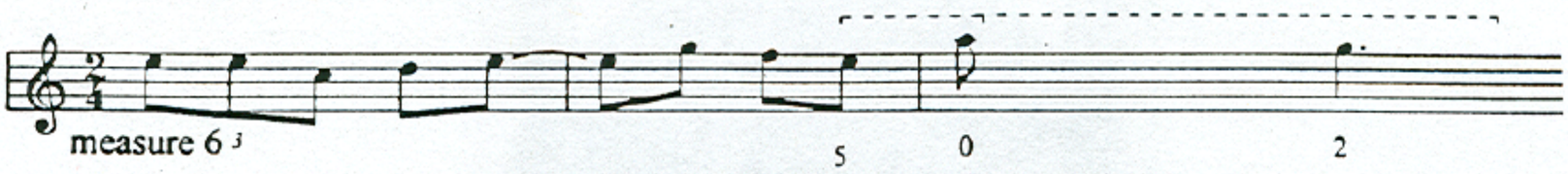
Here are the pitches used in the melody of the second movement. Once again, we hear the trumpet, this time muted It begins octatonic and ends chromatic:

Example 5, pitches of trumpet melody.



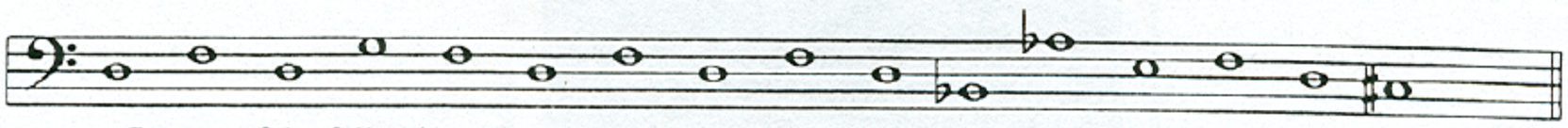
In the sixth measure of the first movement of ***Alcancias***, the salute figure is heard in several as part of a longer diatonic melody. These three notes, <0, 2, 5>, seem to epitomize the melodic structure of the first movement.

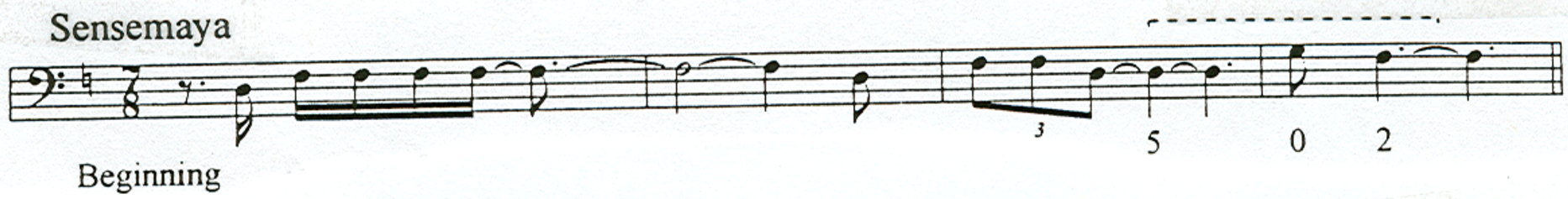
Example 6, *Alcancias*, measure 6.



We now turn to his most well-known work, ***Sensemaya***. The opening melody heard in the tuba is chant-like, and, though it uses the three-note salute pattern ending with the accented short-long rhythm, it is certainly much more than an opening salute. Rather, it is the most important theme of the work, (and a staple in every tuba player's repertoire). It uses seven tones of the octatonic scale:

Examples 7, the pitches of the opening melody, and the octatonic scale.





Sensemaya is built by adding a succession of layers of new pitches and rhythms to the opening. The strength of the music lies, however, in the quality of the melodies just as it did in the works of the earlier masters.

We have observed the simple<0, 2, 5> building block as it is found in a variety of the works of Revueltas. His skill at manipulating this commonplace material into works of widely differing moods music lead us to wonder what his next ten, fifteen, or twenty-five years might have yielded were he given the time.

SUPERMARKET TABLOIDS:
DISCERNING TRASH FROM TRUTH

Topic Areas: Philosophy, Speech, and Communication related to the Sciences

Format: A workshop in cross-disciplinary collaborative teaching

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SUPERMARKET TABLOIDS: DISCERNING TRASH FROM TRUTH

Because we live in a media-rich society, bombarded with quantity but not always with quality of information, media literacy and critical thinking should be part of the college curriculum and should be presented actively in order to stimulate and involve students. One productive means of doing this is the tabloid media, which includes print and electronic formats. Tabloids are ubiquitous.

For example, tabloid magazines have become part of the supermarket check-out experience. Whether customers actually buy a tabloid newspaper, glance through one while waiting in the check-out line, or just simply notice the headlines, they consider phenomena like:

"Woman Spontaneously Burns"

"Big Foot Saved My Life"

"Man Loses Arm to Flesh-Eating Bacteria"?

Do these stories reflect reality? For the first and second stories, probably not; for the third, yes. In fact, "flesh-eating" bacteria (Group A Streptococcus) do exist and can cause tissue liquefaction (necrotizing fascitis). These tabloids also carry advertisements for products and services, making claims that are not necessarily supported by fact, logic, or experiment. Some of these claims are intentionally fraudulent and others simply misguided.

Other media also carry tabloid stories and advertisements. For example, while some television programs about tabloid topics are documentary (such as those found on National Geographic and The Learning Channel) and some

programs are fictional (such as *The X-Files*), others are not so well delineated; they are not well documented and they often present selective information, leading the viewer to "interesting" conclusions. Television also carries advertisements for products and services whose claims are not factually supported but are promoted by "experts," for example, the plethora of weight loss products and the psychic hotlines. Nor is the Internet immune from tabloid thinking, as can be seen in the multitude of spam messages and in the ever growing number of unvetted web sites.

Because freedom of expression is part of the foundation of a democratic government, people cannot expect nor would they want others to extensively screen their messages and media for them. People need to make their own evaluations and decisions. This freedom carries with it responsibilities, specifically the responsibilities to be informed and to think critically. Developing these skills should be an integral part of the college curriculum, and engaging students in the analysis of questionable claims and stories is an effective way to do this.

We have developed a collaboratively taught course which students actively develop their critical thinking abilities by exploring the scientific method and various rhetorical and persuasive techniques. In this class we analyze the ways in which tabloid claims are presented, experimentally examining the science behind selected claims; for example, we investigate the true nature of "spontaneous" human combustion and we test our psychic abilities in the laboratory. We explore

communication techniques such as audience analysis, persuasion, and language manipulation to help detect questionable claims. We write articles and develop advertisements promoting questionable products and services, which we analyze and critique thoroughly. Ultimately, students become masters at discerning trash from truth.

In this work shop we will:

- Provide the rationale for our course
- Discuss the importance of collaborative teaching
- Describe the topics covered in our course
- Review the scientific method and communication techniques
- Involve groups of participants in the analysis and critique of several tabloid articles and stories
- Involve groups of participants in the creation of tabloid stories from factual information
- Help groups of participants create an advertisement of a questionable product or service
- Lead the participants in the analysis and critique of these advertisements
- Explore other possibilities for collaboratively teaching media literacy and critical thinking.

Tabloid content crosses all disciplines. Participants, whether in the humanities or the sciences, will find interesting and practical information in this workshop.

Elizabethan Racism: An Examination of the Race and Gender Constructs in Shakespeare's Othello and Antony and Cleopatra

A. Topic: **English**

B. Presentation Format: **Paper Session**

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Introduction

The Elizabethan time period is one of the most studied eras in World history because of the English Renaissance that emerged under the reign of Queen Elizabeth. During this time between 1558-1603 many English writers made several contributions to the English literary canon by depicting the culture and people of London through poems, plays, and other forms of art. William Shakespeare, one of the most prolific writers from this time, brilliantly depicted his interpretation of English culture through history, comedy, romance, and tragedy in his plays and sonnets. Shakespeare's plays address and mock the social and political issues that were pervasive throughout England during this time. The issues that he addresses; homosexuality, gender roles, venal political structures, and ethnic differences, are especially significant to contemporary readings of his writings because of the similarities that link these historic social issues to modern day issues. As an African American woman, scholar these links have played a significant role in my understanding and appreciation for Shakespeare because I have had to search to find representations of myself and my culture throughout his text. As Renaissance scholar Kim Hall notes, "Interrogating the category of 'race' is not a worthwhile endeavor if it makes no connection to the realities of people's lives and does not take into account that desire to know 'who she actually was'—to know more about the real people who lurked behind the representation" (349). My interrogation of Shakespeare has been motivated by my desire to gain a better understanding of race and what it meant during the Elizabethan time period.

In many of Shakespeare's plays there are references to color differences and ethnic differences. In *The Merchant of Venice*, Lorenzo uses such terms as "negro's belly" and "moor" (3.5.36-37). In *Titus Andronicus*, Tamora's lover, Aaron, is also labeled and identified as a

"moor." For the contemporary reader these distinct terms are indicators that there was such a thing as "race" in terms of the "other" that Shakespeare and other Elizabethans recognized. Because gender was also an important factor in racial distinctions my goal is to understand if and how there were differences in the depiction of the male "other" and the female "other". In order to hone in on the language and thoroughly understand the racialization of the black male body and the black female body I will be doing a comparative analysis of the plays *Othello* and *Antony and Cleopatra*. I will explore the ways in which Othello's masculinity, sexuality, and power were asserted through his race and used to create division and discrimination amongst him and the other characters. Similarly in *Antony and Cleopatra* I will explore how the construction of Cleopatra's black, hyper-sexualized femininity is misappropriated in the empirical struggles between Rome and Egypt and used to justify her being overthrown from her position as queen. From both of these examinations, I want to determine how they were perceived amongst Elizabethans. My ultimate goal is to conclude whether or not racial and ethnic differences played a significant part in Elizabethan society and how they confronted these differences.

The Construction of Race

The study of race and ethnicity during the 16th and 17th centuries is a complex and complicated process because of how race was constructed. Constructs of race were often quite fluid because factors such as color and region sometimes determined one's race. Arthur L. Little Jr. notes in his book Shakespeare Jungle Fever, that "even in a single text, depictions of race can draw from mythology, the Bible, the voices of classical authorities, the humors, the physiognomy, and one's cultural location and habits" (1). Religion especially played an important role in the construction of race because it created distinctions, particularly between Muslim and Christian faiths, that inevitably created social divides, that created racism and

ultimately discrimination. During the medieval time period there were a lot of new discoveries being made as a result of voyages and other explorations. Many of these journeys included the discovery of new people and land. According to G.K. Hunter in his article entitled "Elizabethans and Foreigners," the sons of Noah inhabited each of the continents. In particular the continent of Africa housed the descendants of Ham. This concept of defining the regions and the people of those regions was an essential aspect of the explorer's voyages. As Hunter pointed out, they justified the blackness of Negroes skin as indicative of "God's disfavor" towards the descendants of Ham. This is one of the reasons why "Blackness" in the Western tradition became synonymous with evil. Because of such strong religious convictions many church leaders likened "Blackness" to sin, and used this belief to discriminate against Africans.

The specific term that was often associated with people of African descent, during the 16th and 17th centuries was the word "moor." The exact origins and definition of the term "moor," stem as far back as the 5th and 6th centuries. Anthony Gerard Barthelemy's book Black Face, Maligned Race notes that: "Moor is most probably derived from the Greek *Maupos*, a proper noun that identities the inhabitants of ancient Mauritania, the area that now makes up Morocco and Algeria" (8). However, the term *maupos* was also used as a synonym for black. "The Greek *maupos* became *Maurus* in Latin, a proper noun that identified a particular ethnic group and that, like its Greek predecessor, came to mean black" (Barthelemy, 8). As a result, the evolution of the term *moor* was initially centered around a lot of confusion over whether the term meant precisely Black, or was used as a term to describe the inhabitants of Northern Africa. However, eventually religion intersected these definitions and *moor* became a term to describe Muslims and non-Christians, but inevitably was still associated with blackness. According to Barthelemy, for European Christians there was not a spectrum of definitions to define people of

other ethnic or religious backgrounds there was only a binary of Christian and non-Christian, and white and black. Even though "the word 'Moor' was very vague ethnographically, and very often seems to have meant little more than 'black-skinned outsider,' …it was not vague in its antithetical relationship to the European norm of the civilized white Christian" (Hunter, 56). Because the lines of race were so fluid, the debate over race constructs has been a pervasive question throughout many of Shakespeare's plays and even his sonnets.

Particularly within Shakespeare's play *Othello*, there has been some debate over whether Othello was black, or a dark skinned Spanish moor. In her essay, "Spanish Othello: The Making of Shakespeare's Moor," Barbara Everett claims that the typical, modern, depiction of Othello as a Black man is done because some scholars "set him essentially in an African context, and impose on him something of the history of American coloured peoples" (71). Everett believes that when Othello is placed within an Elizabethan context his color or race is less significant than the fact that overall he is classified as the "other." "In Othello, the Moor is a mixture of black and tawny, and Negroid and Arab; he is almost any 'colour' one pleases, so long as it permits his easier isolation and destruction by his enemies and by himself" (Everett, 72). While it is true that Othello was undoubtedly the stranger or "other" amongst the other characters, the language used to describe Othello suggest that he was not entirely Arab and more than just a mixture of races. By ignoring such terms and placing Othello within a larger category of "stranger" ignores part of the problems with the depiction of Othello. "Othello is unquestionably a black man, referred to despairingly by his detractors as the 'thick lips,' with a 'sooty bosom'," according to David Bevington, the editor of The Complete Works of Shakespeare. In addition to color, the descriptions of his physiognomy as having 'thick lips' also suggest that Othello was of Sub-Saharan African descent. G.K. Hunter also points out that, "…Shakespeare's Othello…is not

conceived of as a 'sheikh of Araby' type of coloured man, but as…'the devil,' with 'collied' complexion—in short, as a coal-black Negro" (Hunter, 56). If Othello's color had not been such a distinct feature of his identity, Shakespeare would not have used such strong descriptions and definitely not as often. Shakespeare wanted the readers to know indubitably that Othello was a Black African.

Furthermore, when the term "moor" was used to describe Africans several other negative connotations of blackness also consumed its definition. In addition to associating Black people with evil and sin the early European explorers also reported that Blacks were bestial, immoral savages. In this context the term "bestial" implied lascivious conduct and concupiscence. Barthelemy cites that Leo Africanus, one of the leading authorities on Africa during the 14th and 15th centuries, proclaimed to Europeans that the Africans he encountered lived like savages, clothed in animal skins. The men had multiple wives or partners and the women were harlots.

> "The Negros likewise leade a beastly kinde of life, being vtterly destitute of the vse of reason, of dexteritie wit, and of all artes…They lived like beasts, without King, Lord, Commonwealth, or any government, scarse knowing to sowe their grounds: cladede in skinnes of beasts: not having any peculier wife; but lie ten or twelve men and women together, each man chusing which he best liked" (Leo Africanus cited in Barthelemy, 5).

Because Africanus was such a leading authority his depictions of Africa were held to be accurate and true for over 200 years. Many scholars including Shakespeare referenced Africanus's History of Africa when they sought to learn more and write about African culture and African people.In addition to verbal commentaries there were also visual ones that not only focused on the sexual conduct of Africans but also on their physical features. In her book Shakespeare,

Race and Colonialism, Ania Loomba finds that even some 14 centuries before the Elizabethan era there were sexual depictions of Africans.

> An extraordinary Roman mosaic dating to the second century AD, found at the entrance to public baths in Timigad (in present-day Algeria), depicts a bath attendant or person who shoveled coal into the furnaces for the heating of baths as a black man with an enormous erect and dripping penis…The associations between furnaces and lechery in the figure of the bath attendant is established via his blackness; conversely it reinforces the connections of blackness with literal as well as sexual heat (49-50).

This image is evidence that as early back as the second century obsessions and infatuations with the black body were present. As a result of these images and commentaries several myths about African men and women being hypersexual and promiscuous dominated the images of Africans and tainted the perceptions of Europeans in regards to Black people. In the plays *Othello* and *Antony and Cleopatra* we can further see these myths conceptualized in the dynamics between their interracial relationships.

Othello

Before we can examine the play *Othello*, we must first examine the character Othello. Othello was not the typical stage moor, because he was a noble hero and general, who served the Venetian government and army well. G.K. Hunter points out that "in Elizabethan drama before Othello there are no Moor figures who are not either foolish or wicked" (55). Initially we believe Othello to be an honorable dignitary who is able to defy they typical stereotypes of the 'moor' during this time and be fully embraced within a European society. The Venetians are able to embrace and respect Othello on a political level because of his significant feats as the Venetian general. "…Every man put himself to triumph…Heaven bless the isle of Cyprus and

our noble general Othello" (2.2.10-11). However, too often throughout the play they deny him his right to an individual identity by addressing him as 'moor' instead of by his name. By doing this, they confirm that they only see Othello as an exceptional, black outsider and not as a regular citizen. Moreover despite his valiant work for the city of Venice Othello cannot escape the stigma of being a "racial outsider." The limited role that Othello is allowed to have in Venetian culture and society is more clearly defined when reactions to the marriage between him and Desdemona sparks controversy amongst his fellow soldiers and her father Brabantio, a member of the senate. Initially, "Because Othello is needed in order to combat the Turks, the senate is willing to regard him as 'more fair than black' but for Desdemona's father such colour-blindness is not possible" (Loomba 103). All that Brabantio can see now is the blackness of Othello and not his incredible accomplishments.

Othello even recognizes his racial difference and struggles with it throughout the entire play. He says such things as "Rude am I in speech/ And little blessed with the soft phrase of peace" (1.3.81-82), and " Haply for I am black/ And have not these soft parts of conversation/That chamberers have" (3.3.267-268). Othello has internalized the negative stereotypes that define moor and had used these things to describe himself, and to assert his inferiority. Shakespeare has constructed Othello as a valiant 'moor' to show the dichotomy between myth and reality and hero and savage. Othello's dual identity as the hyper-masculine general is combated by his ethnic background and his own insecurities. Throughout the play Othello and the main characters struggle with trying to balance his positive attributes, with the negative attributes of his inevitable blackness.

Iago in particular has significant problems with accepting Othello's blackness because he is forced to work as Othello's servant.

> Iago's racial jealousy of the Moor is also a class envy of the servant who does not believe that his master has a right to be his master…His master moreover was not born to his station; indeed being a Moor, he should not even have been able to acquire it. In Iago's eyes, Othello's colour should properly code him as Iago's inferior, it should undercut Othello's 'service' to the state as well as his 'royal' lineage (Loomba 107).

From the beginning of the play we recognize that Iago is the main antagonist towards Othello despite his close working relationship with him and claims he makes that they are close friends. Iago refers to Othello in several disparaging terms including 'black ram'and 'barbary horse'' to make the point that he sees Othello as an uncivilized beast. Other characters also echo Iago's sentiments by labeling Othello a 'black devil' and 'thick lips'. Roderigo further asserts Othello's bestiality when he proclaims that Othello is lascivious. When Roderigo alerts Brabantio that his daughter his missing he says: "…your fair daughter/at this odd-even and dull watch o'the night, transported with no worse nor better guard, but with knave of common hire, a gondolier, to the gross clasps of a *lascivious* Moor" (1.1.125-129). The notion that Othello was lascivious stemmed in part from claims that Africans, as noted earlier by Leo Africanus, were bestial in terms of their sexual conduct. Particularly the relationship between Desdemona and Othello was scrutinized because Othello crossed the color line and violated the purity of the white woman and metaphorically became her rapist because historical accounts suggested that people of his ethnicity were bestial. According to Arthur L. Little:

> In classical and early modern culture rape happens primarily to the woman perceived as man's property, not to the woman perceived as an individual subject with her own claims to the boundaries of her body. In this respect rape by a member of one's own community fits all too well into men's negotiations about their various inventories. To be raped to be

> stolen, by one's proprietor becomes an ideological conundrum. Following the same logic, to be raped by an outsider to be claimed by one who has or is given no local claims, signifies less than an act of aggression against the body politic itself. Within the misogynistic frame of the nation-empire, rape really comes to mean something when its perpetrator comes from the outside; and rape comes into its most visual, catastrophic sign when it is committed by a *black* outsider" (59).

This theory works in the play *Othello* because even though Othello did not literally rape Desdemona, his union with her was nevertheless seen as a rape and violation in the eyes of white society. Again, within this context of white rape we can refer to Iago's language and animalistic references as an example of how Othello's interactions with Desdemona's were perceived as invasion and violation. When he notifies Brabantio he says, "Zounds sir, you're robbed…Your hear is burst; you have lost half your soul/ Even now, now, very now, an old black ram/is tupping your white ewe" (1.1, 87-91). Further on in the scene when Brabantio is hesitant to respond to Iago's pleas he says, "Because we come to do you service and you think we are ruffians, you'll have your daughter covered with a Barbary horse" (1.1, 112-114). And when Iago actually states that Brabantio has been "robbed" of his daughter it implies that she was in fact Brabantio's possession or property. This substantiates Arthur Little's theory that the rape of a white woman, within this time, could only be classified as rape if she was another man's possession. Brabantio even says later on in the play that, "She is abused, stol'n from me, and corrupted" (1.3.62). He believes that Othello has bewitched, Desdemona, and stolen her from him, because he cannot understand why she would "run from her guardage to the sooty bossom of such a thing as thou—to fear, not to delight" (1.4.35). Othello poses a threat to Brabantio because he has the power to destroy the natural sanctity of marriage and the lineage of his family

all because of his skin color. Ania Loomba remarks that even when we factor in any possible religious differences between the two, overwhelmingly so "It is Othello's colour that provokes anxieties about Othello's integration into Venice—Iago, Brabantio, and Roderigo do not worry that Othello will assimilate unnoticed, but that he will produce, with a white woman spectacular evidence of miscegenation" (107).

This fear and fixation over the sexuality of Othello actually greatly reflected the xenophobic attitudes of the Elizabethan audience to which Shakespeare directed this play towards. Despite the fact that the English audience and the Italian characters culturally clashed this obsessiveness was at least one commonality between the two. What's interesting though about Othello's sexuality is that it only becomes a main focal point because of the other characters' interest in it and not because Othello was actually libidinous. According to Barthelemy:

> In Othello, frank and unencumbered sexual desire is not confined to the villains; rather it is distributed among most of the major characters including Othello, Desdemona, Emilia, Cassio, and of course, Iago, and Roderigo…That Iago rather than Othello is obsessed with sex is startling because sex is conventionally the black man's preoccupation. In some ways, Iago's obsession helps to explain why it is blacks who are represented as lascivious and sex-obsessed, for Iago never ceases to project onto others his own overriding sexual interests as he reveals his sexual anxieties (151).

Iago is jealous of Othello not just because of his power as a general but also because of the myths about African sexuality he has associated with Othello. Iago's resentment towards Othello stems in part because of his own sexual inadequacies, which is evident in the strained relationship between him and his wife, Emilia. Their relationship is in no way comparable to

Othello and Desdemona's relationship because the love isn't there. Together, Iago consciously, and Emilia subconsciously, destroy Othello and Desdemona's relationship because of one symbolic handkerchief.

Consequently, by the end of the play Othello lets his jealousy get the best of him and he transforms from an admirable, military genius to an uncontrollable, jealous maniac, thus confirming Africanus' observations and Elizabethan notions about Black Africans. Othello's insecurities concerning his identity were amplified which in turn made him highly susceptible to the machinations of Iago and as result he became a victim to these maledictions. In Act 3, scene 3, Iago plants the seed in Othello's brain that Desdemona is cheating on him with Cassio. "Look to your wife; observe her well with Cassio./Wear your eyes thus, not jealous nor secure. I would not have your free and noble nature, /out of self-bounty, be abused" (3.3.211-214). As Othello deals with what Iago has told him he admits to himself and the audience that "I had rather be a toad and live upon the vapor of a dungeon than keep a corner in the thing I love for others' uses" (3.3.286-289). By Act 5, scene 2, Othello has confirmed that Desdemona has been adulterous and he rationalizes why he must kill her. "Yet I'll not shed her blood, Nor scar that white skin of hers than snow, And smooth as monumental alabaster. Yet she must die, else she'll betray more men" (5.2.3-6). The extreme jealousy that transforms Othello into a murderous "beast," was believed during this time to stem from his ethnicity that was associated with hotter climates. Loomba cites from Robert Burton's Anatomy of Melancholy, published in 1621, that:

> Southern men are more hot, lascivious and jealous, than such as live in the North: they can hardly contain themselves in those hotter climes, but are the most subject to prodigious lusts. Leo Afer telleth incredible things almost of the lust and jealousy of his

> Countrymen of Africa, and especially such as live about Carthage, and so doth every Geographer of them in Asia, Turkey, Spain, Italy (94).

Therefore, Othello's jealousy is created not just because of Iago's influence, but also because it was in his nature as a Black African to exude extreme rage and jealousness, according to early English scholars. However, Othello's jealousy is really just a manifestation of his insecurities and his inevitable doom as an "outsider" in a hegemonic society. Before Othello could be seen as heroic and valiant, he was seen as black, and regardless of his noble duties, he could not escape the stereotypes. Shakespeare constructed Othello to reflect not only the inner struggles of the 'moor' within Elizabethan society, but also to expose the fear and prejudice that Elizabethans felt towards foreigners.

Antony and Cleopatra

The story of Antony and Cleopatra is more than a romantic tragedy it is also a historic account of the political collision of two great empires. Antony was a great Roman general who was given power and control over the East after he defeated Brutus, and Cassius, two disloyal supporters of Julius Caesar. Cleopatra, the daughter of Ptolemy XII, reined as the Queen of Egypt, until her brother Ptolemy XIII forced her into exile. Cleopatra was able to form two very strong romantic, yet political networks with Julius Caesar to regain her throne in 48 B.C, and the second with Marc Antony in 41 B.C. in order to keep her throne and power. Shakespeare reinterpreted the story of Antony and Cleopatra from the historical account, Lives of the Noble Grecians and Romans written by the Roman writer Plutarch in 75 A.C., but he did it with emphasis on the political and social issues relevant to the Elizabethan time period. In his essay "The Politics of Antony and Cleopatra," Paul Lawrence Rose links the problems of political authority during the Greco-Roman era to the problems of political authority during Elizabethan

era that were implicit in *Antony and Cleopatra* and how these problems were conceptualized and understood by Elizabethan audiences. "The political attitudes of Antony, of Caesar, and of Cleopatra are all basically archetypes of conflicting sixteenth-century views on kingship" (Rose, 381). Elizabethan contemporaries had two major political issues they wanted to address.

> "The first was whether the crown could be entrusted to simply any person with the necessary hereditary claim on it without prior guarantees of his fitness to hold office, of his responsibility. Secondly, the existence of this great administrative machine raised the problem of the nature of power. Could a bureaucracy or a country run by itself, or did it need steady firm direction form an efficient king? To what extent was the king dependent on his servants (Rose 381).

It was these very issues and concerns that were addressed in Antony and Cleopatra that responded to the interests of Elizabethans.

However what Rose fails to mention in his analysis of these common power struggles is that within the politics of Rome and Egypt, and Antony and Cleopatra's relationship, race and gender were two very important dynamics and how Shakespeare re-conceptualized these dynamics is also a very important element to address in the discussion of Empire. If these dynamics were not important factors in the power struggles between authorities or in Elizabethan social struggles and hierarchies, Shakespeare would not have made the differences between the ethnicity of Antony and Cleopatra so distinct. Like the character Othello, the race and ethnicity of Cleopatra has been under high scrutiny and debate within academia. However, the process to understand the race of Cleopatra is a lot more complicated than for Othello because of the historical facts of her actual life that factor in to defining her ethnicity. Cleopatra's lineage as a descendant of Ptolemy often times overshadows the possibility of her matrilineal heritage being

of Egyptian descent. "Who Cleopatra's mother was is also unknown, and hence the possibility of her ethnic matrilineal descent cannot be dismissed" (Habib, 164). It is likely that Cleopatra's mother was Egyptian not only because historical accounts prove that there were "Pharaonic unions with Nubians," (Habib, 165), but also because the mystery and almost non-existent details behind the identity of Cleopatra's mother suggest that it was not a eugenic or political union in which she was conceived. If it was a eugenic union it seems that there would be more details about who this woman was and whom she descended from.

Another way to look at determining Cleopatra's race is in terms of culture. As Joyce MacDonald cited in her book Women and Race in Early Modern Text, Kwame Anthony Appiah believes that "shared experiences are a meaningful construct of racial identity" (23). By shared experiences he means "the experience of life as a member of a group of people who experience themselves as—and are held by others to be—a community" (23). In accordance with this notion of race, Imitiaz Habib writes in his book Shakespeare and Race, that "although most scholarly opinions steadfastly refuse to consider Cleopatra as anything but Macedonian Greek they consistently admit that she was, to a degree unprecedented in her ancestors, close to and deeply involved in native Pharaonic Egyptian cultural life, that her 'thoughts and feelings…were certainly far closer to the Egyptian world than we have so far assumed,' and that she was 'primarily an Egyptian Queen',"(165). So even if we define race in terms of culture and view Cleopatra of only Grecian descent her cultural practices still made her African-Egyptian because she was more closely associated with their practices.

Similarly if we apply all of these notions and evidence of Cleopatra's race to the Elizabethan era we can see how they also re-envisioned Cleopatra as a black woman. Shakespeare makes two important references to Cleopatra's skin that lets the readers know that

she is not white or European. The first is by Philo, one of Antony's followers, who describes Cleopatra as a "tawny front," (1.1.6). The second reference to skin is made by Cleopatra as she describes herself as "Phoebus' amorous pinches black" (1.5.28). Each of these references not only establish the grounds that Cleopatra was definitely of a darker complexion but both of the statements each imply that her darkness was a negative attribute that went against the norm of beauty. Essentially Cleopatra was able to transcend the definitions of beauty despite her dark complexion. Outside of Shakespeare several other important scholars during this era referenced Cleopatra and her blackness as distinctive characteristics. Habib cites some of the following examples: "Robert Greene in his *Ciceronis amor* 1589, who said that Cleopatra was a 'black Egyptian,'…Samuel Brandon in his *The Virtuous Octavia* defined Cleopatra as 'sun-burnt beauty'" (165). Kim Hall notes that even the charcoal drawing of Cleopatra titled "Head of Cleopatra," drawn in 1533 by Michelangelo Buonarroti , depicts Cleopatra with dark skin and certain distinct African features that are different from European features, like thicker lips and a broader nose (349).

Even beyond Cleopatra, the presence and recognition of Black women during early English culture can be substantiated by other literature and visual art. The sculpture of the *Black Venus* by Danese Cattaneo in 1550, that Kim Hall writes about in her essay "Object into Object: Some Thoughts on the Presence of Black Women in Early Modern Culture," is another example of how prominent the presence of Black women really was during 16th century Europe. Hall's analysis of the implications of this sculpture in addition to race also suggests sexuality and objectification. "Most images of black women in the period, even the beautiful eroticized ones in some way fit Cliff's[1] definition of objectification: 'Through objectification—the process by

[1] She is referring to Michelle Cliff and her essay "Object into Subject: Some Thoughts on the Work of Black Women Artists."

which people are dehumanized, made ghostlike, given the status of Other—an image created by the other replaces the actual being'"(Hall 346). The women who are objectified lose all agency. In some cases objectification equals exoticism and "exoticism in general controls ethnicity in particular" (Habib 158). The fictional Cleopatra constructed by Shakespeare is exoticized because she is hyper-sexualized. And because she is hyper-sexualized this again reinforces the theory that she is a Black Egyptian because of the associations with lasciviousness and blackness that I mentioned in the earlier section about race constructs.

In one of the first references to Cleopatra's sexuality Philo calls her a "gypsy," (1.1.9) because she allegedly possesses the power of a temptress who is able to subdue Antony. "Cleopatra as the 'enchanting queen' brings together magic associated with Non-Western cultures, the sorcery associated with witches and enchantresses, domestic and alien, as well as the trickery associated with petty crime at home" (Loomba, 129). Pompey further confirms the notion that Cleopatra is a powerful seductress when he states "Let witchcraft joined with beauty, lust with both, /tie up the libertine in a field of feasts, /keep his brain fuming" (2.1.22-24). In this remark he hopes that Antony stays entranced by the love spell Cleopatra has placed over him so that he won't be able to fulfill his leadership duties. Some of the more explicit terms to describe Cleopatra further confirm how intertwined her sexuality and identity were in the eyes of the Romans. In Act 1 scene 4, Caesar calls out to Antony to "Leave they lascivious wassails" of Egypt and return to Rome to handle business (1.4.57). He states this to suggest that Cleopatra is a libidinous woman who has caused Antony to be "not more manlike than" (1.4.5) she and her no "more womanly than he" (1.4.7). Later on in the play when Antony abandons Octavia, Caesar states "He hath given his empire/Up to a whore" (3.6.68-69). In each of these statements Caesar profoundly expresses that his disgust for Cleopatra is motivated by his belief that she is in

contemporary terms a "slut". When Cleopatra is viewed strictly through this white male gaze she becomes the objectified, black female body, with no selfhood, that Kim Hall cites from Michelle Cliff in the earlier definition of objectification.

The dynamics between Antony and Cleopatra's relationship is also a very important element in examining the sexuality of Cleopatra because it presents another dimension of her character. Throughout the play and even throughout the history legend has always alluded to Cleopatra as the magical, seductress who cons and manipulates Antony. However, what most critical discourse about their relationship fails to examine is how Antony also played a major role in objectifying and obsessing over Cleopatra's body even without her impeccable charm. According to Edward Scobie:

> Black women were the most talked about, sought after and courted women in Europe from the time Europe made contact with Africa. European men of all ranks could not resist their charm that was mysterious, spiritual, yet with that spark or flicker of sensuality that ignited the passions of European men and made them pay homage to both a physical and spiritual quality (qtd in Hall, 348).

Antony equally took part in initiating their love affair because he was curious about the mystical Black woman he had heard so many stories about. Antony's love obsession with Cleopatra is about more than her charm it is also about her body. Even when he is speaking to Pompey, Antony speaks in sexually suggestive undertones about Cleopatra, that lead us to believe he like Caesar also considers her to be a very lewd and lascivious creature. "The beds I'th'East are soft; and thanks to you, / that called me timelier that my purpose hither/ for I have gained by't" (2.6.50-52). There is even a time in the play when Antony refers to Cleopatra as a "triple turned whore" (4.12.13), because he believes she has betrayed him. In the midst of his anger and rage

about Cleopatra retreating from the battle between Caesar, Antony too relies on the stereotypes of African women as means of insulting Cleopatra and proving that she is less of woman.

When the depictions of Octavia and Cleopatra are juxtaposed we can more clearly see the extent to which Cleopatra's alleged lascivious conduct pervaded her reputation and image before the Romans, and consequently the Elizabethans reading the play. Octavia is the polar opposite of Cleopatra. She is the virtuous, European, white beauty that is the representation of true womanhood. When Agrippa suggests that Antony and Octavia wed he says: "take Antony/Octavia to his wife, whose beauty claims/No worse a husband than the best of men, /Whose virtue and whose general graces speak/That which none else can utter" (2.2.135-139). She is poised and graceful and the ideal woman for Antony to have as his first lady. Conversely, when Enobarbus describes Cleopatra, he describes her extravagant attire, and mystical presence. "Other women cloy the appetites they feed, but she makes hungry where most she satisfies" (2.2.246-248). Octavia is the traditional beauty and Cleopatra is the exotic beauty. Whereas Cleopatra is often times referred to as "whore," Octavia is referred to as "lady," and "madam" (3.6.94-95). Cleopatra's womanhood can never mirror that of Octavia so long as she as the exotic other.

The sexual references to the fictionalized Cleopatra made throughout the play are also significant factors in how she was perceived as a leader. Cleopatra was a symbol of Egypt and the East and the disfavor shed upon her by Caesar and other characters is symbolic of the power struggles between Rome and Egypt and the hegemonic white, male versus the libidinous, Black female. Imitiaz Habib cites that: "Shakespeare is forced to return to the repressed black female subject in Antony and Cleopatra in his thoughts of empire, since as Robert Young has said the subliminal heart of the colonial/imperial instinct may be the dream of sexual dominion over a

resistant black woman" (159). For Caesar and the other Romans, invading and seizing Egypt was about more than just the territory it was also about seizing the black female body. As Ania Loomba points out "Roman accounts of her as a luxurious wanton, given only to pleasure, deliberately ignore the fact that she was an astute political leader (retrospectively some Egyptian histories even cast her as a nationalist)" (Loomba, 114). Cleopatra was an opportunist and strategic thinker who used her political connections to ensure her control over Egypt and to thwart the attempts to usurp her power and dignity. Even in the end of the play after Antony has committed suicide she attempts to negotiate a feasible resolution over territory with Caesar so that she can maintain some political status and some of her wealth. As a leader she lies, manipulates and cheats as a means of maintaining her power. Her political tactics are no different than her white male counterparts except for the fact that she is an African woman. It is because of her ethnicity and gender that she is objectified and relegated to the role as sexual other.

Conclusion

The experience of Othello and Cleopatra as "outsiders" is slightly complicated because of the gender differences but nevertheless still reflects their inevitable roles as symbolic pariahs amongst a white hegemonic culture. Both Othello and Cleopatra struggle with dual identities that are further problemitized by their positions of leadership. Othello is the honorable moor who is able to lead great battles, but whose leadership and power is undermined in social settings because of his race. It's all right for Othello to be admired as a great general but in terms of his relationship with Desdemona he has crossed an invisible line that mandates that foreigners can never really be fully accepted into all realms of life. Conversely, Cleopatra's power and authority is not admirable or honorable in the eyes of the Romans because it is believed that she has

acquired this power strictly because of her sexuality. She can never be respected as a brilliant mastermind who has manipulated the system of politics in order to keep her reign as queen.

Essentially at the core of Othello and Cleopatra's depictions is the obsession over their sexuality. And because, as I earlier noted, hyper-sexuality was associated with a particular race they cannot escape neither their race nor their sexuality because they were intertwined. So, though Cleopatra was labeled a "whore," and Othello was considered a lascivious beast, both experienced the same kind of oppression. They were both equally devalued because of the myths centered around their ethnicity. Shakespeare even manipulated the myths about African jealousy in both plays because he depicted the trait as a significant factor in the tragic downfalls of both character. Othello obviously became a slave to his jealous rage and found his only outlet to be murder. Though Cleopatra's jealousy was not as pervasive through the plot of the story it still played a significant factor in her characterization. Her jealousy also turns into violent rage in the scene where she beats the messenger who informs her that Antony has married Octavia. From both incidents, when Othello murders Desdemona and Cleopatra whips the messenger, we see how uncontrollable their jealous rage was. Throughout both plays, Shakespeare intentionally plays upon all of the stereotypes about moors because he is mocking the actions and behaviors of his society. From both plays it is clear that race and ethnicity were very significant factors of Elizabethan life and much work was done to ensure that these foreigners remained "outsiders." Evidence of Queen Elizabeth's sentiments towards foreigners further substantiates this claim. Ania Loomba notes cites this remark from Queen Elizabeth in 1601, she was:

> Highly discontented to understand the great numbers of Negroes and blackamoors which (as she informed) are carried into the realm since the troubles between her highness and the King of Spain; who are fostered and powered here, to the great annoyance of her own

> liege people that which co [vet?] the relief which these people consume, as also for that the most of them are infidels having not understanding of Christ or his Gospel: hath given a special commandment that the said kind of people should be with all speed avoided and discharged out of this majesty's realms…(52).

This explicit disgust for Africans and other outsiders, combined with Shakespeare's own parody of such sentiments is clear evidence that Elizabethans were racists. And though their notion of race was not exactly the same as 21st century definitions, in terms of differences being used as factors to discriminate I see no clear distinctions. I believe the strained racial dynamics during the Elizabethan era mirror those of today more so than most are willing to recognize. My overall conclusion is that yes, Elizabethans knew what race was, and yes they were racists.

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Susan Hogue, University of South Carolina

Title Page

Promises Made *–a video documentary in Rural South Carolina*
Art – Media Arts – Film
Panel Session
Susan Hogue, Photographer, Artist, Filmmaker, Instructor of Media Arts,
and Director & Producer of *Promises Made*;
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Aug 29, 2004

Abstract: ***Promises Made:*** **a documentary video exploring commitments and the fight to honor one promise in rural SC (**filming began in May 2004**)**

In autumn, 2003, an NBC Nightly News feature - 'The Fleecing of America' - focused on a proposed nine-mile bridge between two predominantly African-American towns in rural South Carolina. The towns, Lone Star and Rimini, were separated when Lakes Marion and Moultrie were created as part of the Works Progress Administration (WPA) program in the 1930s to bring electricity to rural areas; in the process, some 177,000 acres of land were cleared, hundreds homes were moved or destroyed, some 7,000 graves were relocated or flooded, and churches, farms, prime hunting grounds, landmarks and community gathering places disappeared forever. But the people of this flooded land took solace in *The Promise* - the promise that the communities of Lone Star and Rimini would be reconnected by a bridge across Lake Marion.

The most visible proponent of keeping *The Promise* is Representative James E. Clyburn, South Carolina's lone African-American Congressman, former chair of the Congressional Black Caucus, and current vice-chair of the House Democratic Caucus. As he wrote in February, 2001,

> "My support for building a bridge spanning Sparkleberry Swamp to join the communities of Lone Star and Rimini is a commitment to fulfilling a promise made by the State of South Carolina nearly 70 years ago. At that time, the State faced opposition to its proposal to build a dam to create Lake Marion. Many opponents were "Northerners" who didn't want to lose their prime hunting ground. I am still hearing this same argument from outsiders today with regard to the bridge.
>
> But a more compelling argument came from communities that were once neighbors that would soon be separated by the man-made lake. At the time, residents in Calhoun, Clarendon and Sumter Counties were assured that once the lake was built, a bridge would soon follow to reconnect their now disjointed communities. That is the very same bridge we are still debating today.
>
> Had two wealthy communities been split by the waters that created Sparkleberry Swamp the promise of a bridge would have been quickly fulfilled. But poor, rural, black communities have little voice and even less power. They could not make the State be accountable for the promises made in the 1930s."

"The Fleecing of America" segment on NBC broadcast a different message: a $90-million bridge reconnecting these two communities to keep a 70-year-old promise is frivolous, wasteful, environmentally destructive, and possibly the product of a politician's vanity.

The elements that make up the story deserve more than a scant few minutes of coverage. We are researching historical documents, archival photographs, and film footage, and we are creating a new record by filming interviews with town residents, local and state politicians, environmentalists and economic development specialists, and other proponents and opponents of *The Promise* over the past seven decades. We are examining the many elements of keeping promises and maintaining hope in the face of disappointment, the change of commitments over time, and the classical American drama: conflict between whites and blacks, the wealthy and the impoverished, those with political power and those without, progress and tradition.

We will present a rough cut of approximately 10 minutes of footage highlighting major themes

listed above, and will solicit the interest and comments of anthropologists, political scientists, environmentalists, economists, artists, filmmakers, film aficionados and any other social observers who may wish to offer insights that will help shape this film.

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"Personal Liberty, Religious Values, and Public Policy"

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Abstract:

Richard Ostling of the Associated Press reported on 27 August 2004 that "A religiously linked values clash is redefining U.S. politics, according to Louis Bolce and Gerald De Maio of City University of New York. "The Democrats with equal validity, can be called the secularist party." A University of Akron poll of 4,000 adults this spring showed that those with no religious affiliation are 17 percent of self-identified Democrats, rivaling the party's traditional blocs of white Catholics (18 percent) and black Protestants (16 percent). The secularists favored John Kerry over George W. Bush by 57.4 percent to 27.2 percent (with the rest backing others or undecided)." Bush has been touting the Southern Baptists, Catholics, and the Christian Coalition for support in this year's election. Bush claims to represent the moral steadfastness of these groups particularly on gay marriage and stem cell research. Religion is not the only value dividing the country. Another value is conflicting with religious values; that value is personal liberty. No one in the media has yet to recognize the latter value. The disagreement in the heated debates over the aforementioned issues is not because people disagree about the religious values only. They also disagree over personal liberty. No one in the media has discussed how and why these values are clashing. This manuscript discusses this issue specifically—the clash between religious values and values of personal liberty. I make no judgment claims regarding these values or any particular issue.

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Many political commentators and annalists claim that George W. Bush is the most socially divisive President in recent history. He has divided this country on social issues such as gay marriage, stem cell research, cloning, and abortion. Bush and Kerry speak of values on the campaign trail and in interviews. What are these values? In a 9 July 2004 White House press release, President G.W. Bush claimed that John Kerry did not represent the values of mainstream America that are important to families. Kerry/Edwards responded that Bush is abusing the word "values," "values are not part of a political slogan; it is what is inside you." Edwards/Kerry basically said that Bush is using the word "values" but never states the values. What are these values and how do they relate to public policy formation; specifically in relation to the social debates of today?

Religious values influence public policy. Bush sought Vatican support for his opposition to gay marriage and is attempting to gain official support from Protestant groups, particularly Southern Baptists and Evangelicals.[i] Pat Robertson is the founder of the Christian Coalition, one of the largest supporters of the GOP Republican Party (seventh largest lobbyist group in the country overall). Robertson has a law degree and is founder and Regent of an Evangelical law school in Virginia Beach, Virginia. Ralph Reed, former president of the Christian Coalition was top advisor to George W. Bush as governor of Texas. Sixty percent of George W. Bush's votes came from religious conservatives of various types. Religious conservatives are very influential in politics.[ii] The Christian Coalition attempted to raise $21 million for the 2000 election. The Christian Coalition vehemently supported Roy Moore's placement of the Ten Commandments in the rotunda of the Alabama Courthouse. They organized the prayer

vigils and the Ten Commandments Bus. John Edwards and G. W. Bush are members of the Prayer for National Leaders and regularly attend the National Prayer Breakfast.

Given the influence of religion on public policy formation we need to understand the religious values and the political values that are polarizing the country. "In the long history of humanity the most precious spark is that of individual freedom."[iii] This is the value and basis of our liberal government. I employ the classic definition of "liberal"; each person is capable and free to shape his/her life as s/he wishes, legitimately limited only by the requirement to not interfere with others. This liberal political value is the cornerstone of Western political theory. Many Americans hold two very fundamental and cherished values, political liberty and religious values. Our political values are diametrically in opposition with many religious values. The religious value is "God has a plan for our lives" exemplified by the stories of Jonah and Balam. These stories teach that we are required to comply with the mandates and wishes of the deity—be it the Judeo-Christian-Islamic deity (or the deity of any other religion). The tension between these values should be obvious in our current political climate but it does not seem to be. There has been little, if any, discussion of the political and policy making implications, *at the fundamental level*, of current social issues. The fundamental religious values and our fundamental political values are contradictories. I will not argue that either side is right or wrong. I only wish to outline the two opposing values and the implications for public policy if applied universally.

The (Southern Baptist) Orthodox Creed of 1679 states:

> The supreme Lord and King of all the world hath ordained civil magistrates to be under Him, over the people for His own glory and the public good. And the office of a magistrate may be accepted of and executed by Christians, when lawfully called thereunto; and God hath given the power of the sword into the hands of all lawful magistrates for the defense and encouragement of them that do and for the punishment of

> evil doers and for the maintenance of justice and peace, according to the wholesome laws of each kingdom and commonwealth, and they may wage war upon just and necessary occasions…. Subjection in the Lord ought to be yielded to the magistrates in all lawful things commanded by them for conscience sake, with prayers for them, for a blessing upon them, paying all lawful and reasonable custom and tribute to them for the assisting of them against foreign, domestical, and potent enemies.[iv]

The Orthodox Creed of 1679 implies that magistrates are the tools of God. The immediate inference is our concept of liberty is false. According to a February 2004 poll conducted by the *Mobile Register*, 74% of Alabamians agree with Roy Moore's placement of the Ten Commandments in State Courthouse rotunda. If religion is the moral foundation of law then the law must be consistent with the Divine Command Theory (or some other religious ethic). We are not free to shape our lives as we see fit but must conform our lives to the will of the deity just as Jonah and Balam were forced to do. Alabama is not unique in their religious beliefs. A 2003 Gallup poll shows that 8 of 10 Americans call themselves Christian. Approximately 6 in 10 say religion is important in their personal lives. Sixty percent of Americans say that religion can solve *all* of today's problems while 26% say religion is antiquated.[v] Claiming that religion can solve *all* of today's problems shows deference to religion on social issues. The opponents of gay marriage, euthanasia, stem cell research, and abortion claim legal action at various levels are necessary to resolve these issues.

The truths of Christ are believed to be objective truths; i.e., truths independent of people and to which all people are subject. "Civil government is of divine appointment, for the interests and good order of human society; and that magistrates are to be prayed for, conscientiously honored, and obeyed, except in things opposed to the will of our Lord Jesus Christ, who is the only Lord of the conscience, and the Prince of the kings of the earth."[vi] Religious beliefs, whether or not they are Christian, formulated as objective

truths are contrary to our concept of liberty. Southern Baptists do not value personal liberty.

> Throughout our history [Southern] Baptists have not wavered in our belief that God intends for a free church to function in a free state. Since God alone is Lord of the conscience, the temporal realm has no authority to coerce religious commitments. However, the doctrine of religious liberty, far from implying doctrinal laxity or unconcern, guarantees the ability of every congregation and general [Southern] Baptist body to determine (on the basis of the Word of God) its own doctrinal and disciplinary parameters.[vii]
> All Christians are under obligation to seek to make the will of Christ supreme in our own lives and in human society…. God alone is Lord of the conscience, and He has left it free from the doctrines and commandments of men which are contrary to His Word or not contained in it…. Civil government being ordained of God, it is the duty of Christians to render loyal obedience thereto in all things not contrary to the revealed will of God.[viii]

The phrase, "the temporal realm has no authority to coerce religious commitments" is odd. God is believed to be outside the temporal realm. The implication is that God can coerce religious commitment. These religious values are potentially self-contradictory. A "free church in a free state" is free only in relation to the "Word of God" coerced by God who is outside the temporal realm.[ix] Explicitly stated is the view that liberty must be based on the "Word of God". The Southern Baptist doctrine continues: "Church and state should be separate. The state owes to every church protection and full freedom in the pursuit of its spiritual ends. In providing for such freedom no ecclesiastical group or denomination should be favored by the state more than others. Civil government being ordained of God, it is the duty of Christians to render loyal obedience thereto in all things not contrary to the revealed will of God."[x] This passage is interesting and must be examined closely. Government is "ordained by God" but Church and State are to be separate. It is unclear how Church and State are to be separate if the State is "ordained" by God.

Reverend Nate Atwood on CBN said, "…here's the way it works. You've got three choices. Either God is the source of Law and we all put ourselves in obedience to

him. If we do that the result is freedom and security."[xi] Atwood believes that by obeying God we are free. He seems to have a different concept of freedom that is not synonymous with personal liberty.

> . . . the foundation of law is God. The basis of our nation is Biblical religion. They'd say that we better never forget that because if we do we'll start thinking that's government which has the ultimate authority of law…. If we don't choose that route then there are only two options left ... option A is that it's the state which is the supreme authority and then we've got dictatorship coming at us hard and fast…. Option B -- each person is the source of law. We decide for ourselves what we like and what we don't like. Each of us becomes a "mini-nation" running around choosing right and wrong. The word for that is "anarchy"…. Our Founding Fathers knew that those were the choices -- God, dictatorship, or anarchy.[xii]

Atwood equates personal liberty with an anarchic governmental system; a non-theistic government with dictatorships. Only a religious based system entails democracy. Obviously, he is committing the false equivocation fallacy. The government can be the ultimate authority on law and it not be a dictatorship; we call it democracy. The function of government is to guarantee personal liberty. His option B is a slippery slope fallacy. He implies that democracy leads to anarchy. His false equivocation of democracy and religion forces him into a false alternative fallacy; a religiously neutral democracy is not offered as an option. The implication is that democracy necessarily is religiously based.

Today's religious values oppose the values of our founding fathers and the first pilgrims, religious freedom and tolerance. They were escaping religious persecution under the Anglican Church, the official Church of England. The religious values appealed to by Atwood, Moore, Robertson, and "mainstream" America entail a denial of religious freedom. The consequences of these religious values are a union of Church and State. Atwood stated it very plainly, "the foundation of law is God." Such a union would entail a squabbling over religion affiliation and denominational affiliation.

The most explicit illustration of conflicting fundamental values comes from the Catholic Church on the issues of gay marriage, abortion, euthanasia, and stem cell

research. Catholic priests are beginning to coerce parishioners into complying with the beliefs of the Church.

> …Thomas Dawson [a parishioner] says living the faith means following church law -- on everything. If you can't abide by that, you shouldn't take Communion. Some clerics in past years -- among them, Archbishop Alfred Hughes of New Orleans and Archbishop Sean O'Malley of Boston -- have publicly said Catholic politicians who diverge from church teachings should not seek Communion. …Archbishop Raymond Burke of St. Louis, MO., said he would deny the sacrament to Kerry because of the senator's stance on abortion. Sheridan, the Colorado bishop, has broadened his warning to include the laity as well as politicians. In the beginning of May, he wrote in his diocesan newspaper that any Catholic politicians and any Catholics who vote for candidates who stand for abortion, stem-cell research or euthanasia "place themselves outside full Communion with the Church and so jeopardize their salvation." On Thursday, the Americans United for Separation of Church and State asked the Internal Revenue Service to revoke the Colorado Springs diocese's tax-exempt status. "It crosses the line into religious blackmail," the Rev. Barry W. Lynn, the group's executive director, said Friday.[xiii]

It was for this very reason that Catholics had a difficult if not impossible task of being elected to public office. John F. Kennedy was the first Catholic to be elected President and John Kerry is the first Catholic to seek Presidency since. The belief among the American people was that Catholics would be a mouthpiece for the papacy. This is exactly what the Catholic Church is attempting to force upon Catholic politicians. "Jeopardizing one's salvation" is the ultimate coercion. Americans United for Separation of Church and Sate are correct in pointing out that these beliefs and practices entail a union of Church and State. Thomas Dawson does not mix words. Church law; i.e. God's law, is to be followed on everything.

Not all Catholic parishioners agree with Thomas Dawson. A poll conducted between 18-24 May 2004 by Quinnipiac University in Hamden, Conn. shows that 66% of Catholics disagree with Catholic Church leaders' attempts to pressure Catholic politicians on issues (and 71% of non-Catholics disapprove). It is the Catholic leaders who have the authority to coerce and enforce by withholding communion and other religious services. "Willa Mary Willis of Opa-locka goes to St. Philip Neri Catholic Church for Communion four times a week. Without the Holy Eucharist, she wouldn't consider herself Catholic."

Not all Catholic priests agree it is the Church's position to act in such a manner. "Two weeks ago, 48 Roman Catholic Democratic members of Congress wrote to Cardinal Theodore McCarrick, the Washington archbishop, expressing concerns that the bishops are "miring the church in partisan politics." (None of Florida's 23 congressional representatives signed the letter.) Only 5 of 182 polled dioceses said they would withhold communion."[xiv]

The Papacy stringently opposes gay marriage and President Bush agrees even though he is not Catholic. The Vatican in its twelve page document called for all Catholics to stridently oppose the recognition of same sex relationships. "There are absolutely no grounds for considering homosexual unions to be in any way similar or even remotely analogous to God's plan for marriage and family," the document says. "To vote in favor of a law so harmful to the common good is gravely immoral" it theorized and "Marriage is holy, while homosexual acts go against the natural moral law." While President George W. Bush suggested that "Marriage should be limited to unions between a man and a woman." Bush went on to say that his government is looking at ways to alter the constitution so that gay marriage or recognition of same sex relationships is simply not allowed. Again, I am not arguing and I do not intend to imply that gay marriage is morally permissible. I only want to show that religious beliefs are in opposition of our concept of liberty. I must assume that gay marriage does not interfere with others contrary to the beliefs of President Bush and the Pope. They have failed to demonstrate that gay marriage, in general, causes harm to the general population. Only in this case is anyone's liberty restricted. It is important to note that Pope John Paul II directly appealed to "God's plan". This implies that even in the matter of a spouse,

whether heterosexual or not, we are to comply with God's desires for our lives. In all things we are like Jonah. If we fail to comply, then we will be swallowed by a whale; today, that whale is denial of church services if you are catholic, or denial of civil liberties if you are gay, or denial of potential medical procedures.

An ugly expression of religious values in the public arena was made infamous by Pat Robertson and Jerry Falwell in the 1980's when they said, "AIDS is a plague sent by God to punish homosexuals." (Recall two of these three sought the Presidency.) The gay marriage issue has revived the sentiment. Falwell's quote can now be seen on the public signs of dental offices,[xv] signs at funerals of homosexuals,[xvi] as well as churches. This view extends the fundamental religious value. A person will be punished if s/he does not comply with the law of God. Billy Graham and others who hold this sentiment cite Leviticus 18:22, "Do not practice homosexuality; it is a detestable sin," and Leviticus 20:13, "If there is a man who lies with another man both have committed a detestable act. They shall be put to death." Violating the commandments of God entails death. These religious stewards believe AIDS is God's tool for punishing violators of God's commandments. Since homosexuals violate God's law, they are denied marriage rights. According to a joint CNN/Gallup/USA Today poll, 48% of Americans support gay marriages while 40% support civil unions only. (According to research conducted by Anna Greenberg and John Green,[xvii] 80% of Evangelicals oppose gay marriage and 50% say only state laws are needed to ban gay marriage.) Those who oppose gay marriage believe it is a religious institution. "'The president has taken a courageous stand in favor of traditional marriage at a moment in American history when the courts are conspiring

with anti-family extremists to undermine our nation's most vital institution,' said the Rev. Louis Sheldon, chairman of the Traditional Values Coalition." [xviii]

Government officials at various levels are using religious beliefs to shape or influence public policy. Rhea County Tennessee unanimously voted to ban homosexuals from living in the county. County attorney Gary Fritts said, "They wanted to send a message to our (state) representatives and senators that Rhea County supports the ban on same-sex marriage," he said. 'Same-sex marriage is what it was all about. It was to stop people from coming here and getting married and living in Rhea County.'"[xix] The liberty of homosexuals was being denied on religious grounds. Homosexuals are not free to live in neighborhoods they may deem desirable for any reason. Bush aggressively and intentionally uses religion to shape public policy as he sees fit. In March of 2004, President Bush dropped two advocates for embryonic stem cell research on his advisory Council on Bioethics. They were replaced with two religiously conservative scientists.[xx] Bush has stacked the scientific deck in favor of conservative religious views. Religious views were expressly presented in his ban on cloning and stem cell research. The two dropped were the only members who were not religious conservatives. Bush addressed this year's Southern Baptist Convention for the third consecutive year. He asked the representatives to submit to his campaign their church directories so he may campaign to the congregations directly.[xxi] George W. Bush went on record saying,

> The union of a man and woman is the most enduring human institution, honoring -- honored and encouraged in all cultures and by every religious faith. Ages of experience have taught humanity that the commitment of a husband and wife to love and to serve one another promotes the welfare of children and the stability of society…. Marriage cannot be severed from its cultural, religious and natural roots without weakening the good influence of society. Government, by recognizing and protecting marriage, serves the interests of all. Today I call upon the Congress to promptly pass, and to send to the states for ratification, an amendment to our Constitution defining and protecting marriage as a union of man and woman as husband and wife. The amendment should fully protect

> marriage, while leaving the state legislatures free to make their own choices in defining legal arrangements other than marriage.[xxii]

If marriage is a religious institution, then the State performs a religious service whenever it issues a marriage license or a judge performs a wedding ceremony at the courthouse. (It does not matter for my purposes whether homosexuality is a free choice or biologically determined.) The implication of Bush's position is rights and privileges are extended in so far as they are consistent with religious faith.

"Each individual is his own sovereign master, and acts from the dictates of his own mind; the authority of the Chief being nothing more than the mere admonition supported by the influence which the propriety of his own exemplary conduct may have acquired him in the minds of the individuals who compose the band."[xxiii] The religious values held by President Bush, et.al. entail that we are not our own sovereign master. God is the only sovereign master and we are his subjects, and our acts follow from the dictates of God's mind. The fundamental religious beliefs behind the gay marriage, stem cell, cloning, and abortion debates, if applied to policy making generally, entail that our beliefs regarding personal liberty are false. We must, logically, reshape our government as a religious one. "Never allow the enemy to block you," Thomson urged them. "Get around them, run over the top of them, destroy them—whatever you need to do so that God's word is the word that is being practiced in Congress, town halls and state legislatures."[xxiv] Public policy must be consistent with the mandates, rules, wishes, etc. of the deity. It follows that the Chief (political figure head) must be one who knows and understands the deity's mandates, rules, etc. We would have a government of Priest Presidents. Only two choices remain, we must abandon our political values of personal liberty in deference to the religious value or we must abandon the fundamental religious values expressed here (not necessarily all of them) in deference to personal liberty. The

latter does *not* entail atheism. The former does entail religious fascism. These religious Americans have a tough choice to make.

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Anton Webern's Symphony, Op. 21

"He speaks little, says everything."[i]

Anton Webern's Symphony, Op. 21 is the first major work he created within the guidelines of twelve-tone serial technique. It is a work that achieves the highest levels of abstraction through careful construction and adherence to the greatest possible comprehensibility.

The work is, above all, an essay in symmetry, beginning with the row itself and ending at the level of entire movements. Symmetries are expressed horizontally and vertically, as well as within the constraints of canonic motion.

The Symphony constitutes a milestone in the development of serial technique. A generation later, Webern's rigid application of this process was to have enormous influence on his followers. The Symphony became a point of departure for those who sought a method of complete predetermination of all structural elements.

Writing the Symphony

Prior to 1924, Webern's output had not ventured into a definitive twelve-tone system of construction. In his Op. 9 Bagatelles he had written out the chromatic scale in his sketchbook and crossed off notes as he went[ii], but he had not fully approached the technique of involving the entire twelve-note row.

The first appearance of Webern's twelve-tone usage occurred during the autumn of 1924, in an unpublished piano piece of a mere seventeen bars length.[iii] From this point forward, his art would take the twelve-tone system to extreme levels of constructional intricacies.

On the 25th of November 1927, Webern first mentioned to Schoenberg that he was busy with "something for orchestra, a little symphony."[iv] A subsequent plan for the Symphony was sketched in Webern's notebook during December of that year. The original format was to be such:

I. Rondo: lively - sun
II. Variations: moderately
III. Free form: very calmly - moon

A few pages later (date uncertain) the plan is changed:

I. Variations
II. Rondo (Scherzo, march-like)
III. Slowly[v]

The Variations movement was finished in March of 1928, which was to become Movement II of the published score. June of the same year saw completion of the third movement: Movement I in the finished score.

The third movement was begun on August 3rd, 1928. In an undated diary entry Webern recorded: "The next few days occupied by the third movement of my Symphony, Op. 21. Arrived at the decision to remain with two movements."[vi] As an explanation for his decision, Webern wrote the following to Schoenberg on August 20th:

> "I was rather far along with a third movement. But whatever I sought to imagine as a supplement (before or after) or as a center between the two movements disturbed me, and I recognized (after long deliberation) that the work should consist only of the two movements. [...] In respect to form, I was finally put at ease by the example of so many two-movement sonatas by Beethoven and also by the two-movement orchestral works by Bach."[vii]

In the final version of the Symphony there are two movements: I. Ruhig schreitend and II. Variationen. The scoring calls for clarinet, bass clarinet, two horns, harp, and strings (no basses).[viii] The string parts may be played by a large section, a quartet, or anything in-between.

This period in Webern's life was an island of relative peace and financial security. His position as a composer and teacher was boosted by good relations with his publisher, increasing performances and recordings of his music abroad, and the general success of his disciples. He also held a solid conducting engagement from the Austrian Radio, a position he maintained form 1927 to 1935.[ix]

The American League of Composers commissioned Webern for a chamber ensemble work in 1929. Webern offered his newly finished Symphony - since it had not been performed - and it was premiered by the Philadelphia Orchestra on December 18th of that year.[x]

Webern's compositional process involved an interesting arrangement of materials. He composed the Symphony at the piano, and would place a double row of manuscript paper above the keyboard. The bottom row would contain the sketches for the composition in progress, while the top row contained the tone rows he wished to utilize. This arrangement allowed Webern easy access to all aspects of his compositional tools, but introduces some confusion when the Symphony sketches are examined.

The sketches for Op. 21 were all done in pencil: both normal and colored, with the various colors relating directly to the appearance and application of the various rows used. This raises three beguiling questions: Did Webern compose the piece following the row table, did the row table result from what had already been developed in the piece, or did the two evolve simultaneously?[xi] There are no easy answers here, as the sketches will show.

The sketches for Op. 21 were written on three separate leaves of manuscript paper, held together with tacks placed in the lower corners. The P_0 row (which will be discussed later) is a palindrome, and therefore the entire work yields only twenty-four different rows. Yet, each sheet holds four sets of four rows (Webern wrote out not only each row, but each inversion and retrograde as well: another fact that I will return to shortly).

The first group of four rows (first sheet) contains the material for the Theme of the second movement. Purple pencil was used for the notes, and orange pencil for the bracket, bar lines, row tables and numbers. The second and third groups of four are all written in green pencil, and contain material used in Variation I. The last set of four is done in ordinary pencil, and crossed out in purple (which notes redundancy, a method that holds consistent throughout the sketches).[xii]

On the second sheet Variation II material is introduced in the first two sets of four rows, and, predictably, in a new color: blue. The last two sets are redundant; written in pencil and crossed out in purple.[xiii]

The third page hold material used in Variation III (and ultimately, all of the material for the rest of the Symphony). Webern follows his pattern by introducing this new information in a new color, this time red. However, the entire page is written in this red pencil, excepting for the purple used to cross out the last three (redundant) sets of rows. Unfortunately, there are no good answers to the problem of this last page. It could have been a replacement

page, hastily written later, but the thumbtack holes match this page with the holes in page two.[xiv] The mystery remains.

Alluded to above is the fact that Webern wrote out all four forms of each row, at all twelve levels of transposition. I agree with Webern scholar Kathryn Bailey when she states that this is an "unexpected extravagance in a composer whose music is so succinct"[xv] (especially since neither Schoenberg nor Berg found this to be necessary). Perhaps Webern wanted to visualize the full range of possibilities for the symmetries he had devised. On the other hand, the three sheets themselves are not symmetrical, in relation to the placement of "used" rows with their redundant counterparts. He proceeds chromatically through the transpositions, when he could have ordered his list in a symmetrical fashion. Surely Webern knew the symmetrical capabilities of this row, but did he not know where?

Row Construction

The row of Op. 21 contains six half steps, with each half of the row containing one isolated half step plus a chromatic run of three notes.[xvi] When this sequence has been completed, there are no troublesome notes left over. In addition - and certainly the most crucial element of the row - the result is an intervallic palindrome. This particular row was unique to the music of Webern; he never again used this type of palindromic sequence.[xvii]

In fact, two palindromes are inherent in this row. The obvious one having just been stated, the second is found in the relationship between P_0 and I_9.[xviii] While this is a less exact palindrome, the symmetrical properties create a closed circle of various possibilities. The outer tetrachords appear in reverse order, while the internal group remains in place. Also, the order of the two halves of the central tetrachords remain the same in both rows, while the internal orders are reversed. At no point do these kinds of reversals take place together. The most important element of this relationship is that pairs of notes stay intact and operate as units.[xix]

Movement I

The first movement is set in three slightly overlapping sections, with two mirror canons occurring simultaneously in each. The sections are separated into bars 1-12, 25b-44 and 44-66b. The rows and canonic structures of the outer sections are the same, and the canons consistently make use of a two-note axis (and are therefore potentially palindromic). However, the textures are varied dramatically through a diversity of note values, range and timbre, thereby rendering the sections aurally different.

The orchestration is such that like instruments are paired - clarinet and bass clarinet, two horns, two violins, viola and cello (harp is separate). In the first section, the dux of the canon is presented in one voice and imitated by its partner in the comes. Rhythm and duration is imitated exactly in both canons, and the symmetrical relationship of the P_0-I_9 rows is exploited.

Measures 25b through 44 also consist of two mirror canons. However, in this section the four voice groups agree on rhythm and segmentation, and as such form a single four-voice canon on top of the previously stated design. The row technique is focused on the inherent qualities of the row to appear to be returning units in retrograde.

The last voice to enter in the second section leads into the third. It becomes clear that from the center of the movement (in which I_3 and RI_3 are isolated by fermatas) everything proceeds to the end in reverse order.[xx]

Movement II

Theme:

The Theme, along with Variations I, II, V, and VI, provide the only non-pointilistic moments in the Symphony. In addition, the Theme provides the first time in the work that an entire row is played by a single instrument: P_0 by the clarinet.

A canon is not found in the Theme. This is the only section of Op. 21 that is lacking this element of symmetry. However, closer examination of the score yields the realization that the Theme could have been a canon; had the two rows that provide melody and accompaniment exchanged roles, a cancrizans canon would have resulted.[xxi] We will find this to be important to the larger structure of movement II.

Variation I:

Variation I is played entirely by the strings, and is strikingly more complex than the Theme. These four voices comprise two canons in mirror inversion played simultaneously: the first between violin with P_7 and cello with I_5, the second between violin with R_7 and viola with RI_5. When each instrument reaches the end of its row, they begin a retrograde of everything that has previously happened (pitch, rhythm, duration, articulation).[xxii]

The eleven bars of Variation I are in fact a very rare canon. The larger palindrome is incomplete, because the voices do not stop and wait for each other to "catch up" before beginning the retrograde at the center of the variation. This creates a lack of vertical symmetry, while within the context of perfect horizontal symmetry.

Variation II:

The second variation is a mirror canon, in which each voice is an exact palindrome (just as in the previous variation). The rows utilized are P_2-R_2 and I_{10}-RI_{10}, therefore forming further palindromes between the pairings of voices. Also, a further interpretation is that the voices could be grouped as such: P_2-RI_{10} and I_{10}-R_2. This creates a cancrizans canon out of the former mirror canon.[xxiii]

However, Variation II is not a palindrome as a whole. The horn alternates between I_0 and P_{11}, and does not play their respective retrogrades.

Variation III:

In Variation III the orchestra is separated into two voices who play a cancrizans canon. The circular relationship of the P_0-I_9 row association is exploited (I_3-P_6-I_3-P_6-I_3 and RI_3-R_6-RI_3-R_6-RI_3), with the two note "meeting place" in use[xxiv]. Palindromes occur in bars 35, 37, 41 and 43, making the overall shape abcba, a palindrome in the largest sense (something we have yet to encounter in this movement).

Variation IV:

Variation IV is perhaps the most unique section in this movement. Out of the nine sections a single palindrome is formed, a fact which places Variation IV as the axis. The first five bars involve a rhythmic canon in four voices containing two prime and two inverted rows. The last five bars contain the matching material following the pattern of the P_0-I_9 relationship.

The sixth measure of Variation IV is the central elision of the variation and of the entire movement. This measure is static; single pitches or pairs of pitches are repeated by the winds and the harp.[xxv]

Variation V:

From this point on, each variation has the same row structure as its earlier counterpart: V=III, VI=II, VII=I, and Coda=Theme. Hence, movement II is a palindrome on the highest level.

Variation V is a palindrome as well. This fact is well hidden, due to the static nature of the seemingly homophonic texture. The non-retrogradable figures played by the harp form a symmetrical relationship: ababa.[xxvi]

Variation VI:

Variation VI has the same canon structure as Variation II, its partner in the larger palindrome. The texture is changed from pointalistic interaction to a smoother sounding conversation. In this case the horn does play a canon with itself, allowing the variation to form a single palindrome (that which did not occur in Variation II).[xxvii]

Variation VII:

The timbral relationship of Variation VI to Variation II is reversed in Variations VII and Variation I. The long string lines in the earlier variation are reshaped by extreme pointillism. However, the canon structure remains the same: two double canons reversing at the center.

Whereas Variation I was not a single palindrome, the symmetry is complete in Variation VII. The four voices leave the center at the same time, allowing the vertical palindrome to occur.[xxviii]

Coda:

As expected, the Coda returns to the simplicity of the Theme. Two rows are involved, here in extreme pointillism to contrast the simple lines of the Theme. Where the Theme was not a palindrome, the Coda is. These two rows do cross at midpoint, which creates the cancrizans canon that the Theme could have been.[xxix]

Formal Construction

Out of triumvirate that comprised the Second Viennese School, Webern was the only member rooted in a formal European musical education, specifically in music history (his dissertation concerned Heinrich Isaac's *Choralis Constantinus*). As such, it is not surprising that the movements of Webern's twelve-tone music follow traditional formal models. It also reflects on his faith in organization.[xxx]

With the exception of the Theme in the second movement (a mere eleven bars), the entire Symphony is based on canon structure. This type of formal symmetry is inclusive: elements of melody, rhythm, dynamics, timbre, and articulation all find themselves treated canonically and in mirror form.

But is Op. 21 a symphony? Formal considerations will shine some light on this overriding question. To the casual listener, the canonic imitation is often impossible to perceive aurally; pointillist orchestration, sometimes at an extreme degree, masks the various structural intricacies inherent in the work.

Movement I

The first movement in a Symphony is traditionally cast in sonata form. In his treatise *Fundamentals*, Schoenberg calls sonata a process rather than a form

and cites its flexibility - its successful incorporation of diverse ideas and structures - as the reason for its long supremacy in Western music.[xxxi] It may be safe to assume that Webern shared this concept with his beloved teacher.

In Op. 21 the sonata does occupy its usual position as first movement, as well as exhibiting the binary outline of the classical form: both of its sections - exposition and development/recapitulation - are repeated. However, the similarities are not that simple. It seems that Webern reformulated and reshaped the basic assumptions and relationships inherent in sonata form. Several problems present themselves, and demand further analysis in order to understand these "adjustments" of sonata form.

To begin with, the movement is entirely canonic, which harkens to an earlier tradition. Canonic motion is not unheard of in sonata forms, but is more associated with the developmental portion, not the entire design.

Looking only at the exposition, it can be observed that both of the two simultaneous canons continue without break for the duration of the twenty-six bars. This constancy seems to make a subdivision of these bars into two theme areas difficult. However, it seems Webern has rotated the exposition so that events normally associated with two separate theme areas are now occurring simultaneously instead. This creates a horizontal separation rather than a vertical one.[xxxii] As further justification for this perspective, the first of Webern's theme groups consists of rather stable, memorable material, with both of its voices beginning on the note (F) that acts as a fixed point of reference for the entire piece, while the second group is constructed of more elusive material, using only transposed rows. This analogy allows Canon I to represent Theme I, and Canon II to Theme II.[xxxiii]

The central section, bars 25b to 44, is also hard to visualize in the context of a traditional developmental section. The entire section is perfectly symmetrical, with all four voices moving in mirror canons revealing a larger horizontal palindrome, yet none of the material present bears resemblance to what has been laid out in the exposition. What is developed are the structural concepts of the exposition: mirror canon, palindrome, and both horizontal and vertical symmetry.[xxxiv]

As in a traditional development the contrasting themes are played dramatically against each other, so here the technical differences that distinguished the two themes in the exposition are exaggerated and presented in new combinations. The differing note values associated with Canons I and II have been switched, while the rhythmic stability and unsuitability of the two canons has also received an inverted relationship.

Unfortunately, this analysis does not explain the lack of the typical harmonic motion of a traditional development section. But, the rows used at the outset of the development stand in the same relationship to each other as those at the beginning of the exposition, but here the whole complex is a perfect fifth higher. It seems fairly clear that this is Webern's version of the move to the dominant, which is customary at this point.[xxxv]

Having established the exposition and development sections, measures 42-66b remain to enclose the recapitulation. Again, Webern's interpretation of sonata form presents analytical problems.

In this recapitulation the second theme material returns at the same tonal level as it was stated in the exposition (in clear defiance of sonata principle). However, due to the nature of the simultaneous presence of the themes, a transposition would create impossible repetitions and doublings. This would surely have had disastrous results, and is certainly opposed to the technical specifications of twelve-tone construction. Webern fulfills the requirements of the recapitulation in another fashion: he increases the activity of dynamics, range, timbres and rhythm in order effect the diversity of motion found in a typical recapitulation.[xxxvi] In this heightened activity, the Canon I characteristics yield to those associated with Canon II.

Convention has the second theme defer to the first upon its return; here the surrender is in the opposite direction. The result is a new perception of sonata form as progressive, rather than circular: a crescendo rather than an arch. The characteristics of the second-theme Canon were instability, irregularity and unpredictability. The particular forms taken by these characteristics in the exposition are magnified in the development and further exaggerated in the reprise. Since the first material to be heard in the exposition, and by far the most memorable, was the horn's opening figure - a model of stability and equilibrium - this progressive focusing of attention on those opposite qualities represented by the second canon, culminating in their complete dominance by the end of the movement, results in a gradual and inexorable increase in intensity which is aided structurally by the tension resulting from the discrepancy between what is expected and what actually happens in the recapitulation.[xxxvii]

In the last few bars of the movement, Canon I finishes earlier in relation to Canon II, leaving Canon II to end the movement alone. Thus, while not a coda in the traditional sense of added bars having no parallel in the exposition, these last measures emphasize the changes that have been wrought in the course of the movement.

Movement II

The Symphony was Webern's first attempt at the composition of a set of variations. He apparently took great care to adhere to the intrinsic features of the form. The nine-movement structure contains sections of equal length (eleven measures), each in contrast with it's neighbors in regard to orchestration and texture, and each having a separate tempo (except the last, which imitates the Theme).

Five of Webern's twelve-tone works would have movements in variation form. However, with the exception of his Op. 30 Variations for Orchestra, which is built on two rhythmic motifs, none of these movements have an actual theme (in spite of the fact that he has clearly labeled a theme and variations in the second movement of the Symphony[xxxviii]). There is nothing in the material of the Op. 21 theme that remains constant throughout the consequent variations, except the concept of horizontal symmetry.

Just as material within the first movement was developed on the basis of abstract concepts, so is the treatment in the second movement. Nine different musical realizations of the palindrome achieve symmetry in different ways. With respect to the type of symmetrical realization, the movement can take on a ternary ABA form. At this highest level, the entire movement forms a palindrome.[xxxix] Much of this discussion has already taken place in the previous discussion of row structure.

With this set of variations Webern was in fact following a long tradition, which for him would culminate in the Op. 30 Variations for Orchestra. For him, it was an *exercise* in superimposing a closed form on an inherently open-ended musical structure.

Interpretations

It is unfortunate that this ingeniously constructed symmetrical edifice is to be admired only by those who examine the score and are able to deduce the various compositional forces at work. However, this perspective, in and of itself, can bring rise to interesting opinions. To the casual listener the second movement presents a deceptively simple string of variations, each with its own distinctive instrumentation, rhythms, articulation and character - features that do not recur in symmetrical fashion. Probably no section will be recognized as a palindrome at all until the Coda is heard.[xl] This brings to

light an interesting point regarding Webern's construction of the variations movement: the only technical aspect not symmetrically organized is the most audible one - the surface.[xli]

Webern's love for nature and his quest for connections between the natural world and the esthetics found in music have developed other theories on how his music should be viewed. In a letter to Alban Berg, dated from 1919, Webern wrote of one experience with the profound influence of nature:

> "I have been to Hochschwab. It was glorious: because it is not sport to me, nor amusement, but something quite different; a search for the highest, for whatever in nature corresponds to those things on which I would wish to model myself, which I would have within me. And how fruitful my trip was! The deep valleys with their mountain pines and mysterious plants - the latter have the greatest appeal for me. But not because they are so 'beautiful'. It is not the beautiful landscape, the beautiful flowers in the usual romantic sense that move me. My object is the deep, bottomless, inexhaustible meaning in all, and especially these manifestations of nature. I love all nature, but, most of all, that which is found in the mountains."[xlii]

From statements such as these, lines have been drawn connecting Webern's various musical gestures to events found in the natural world he loved. With regard to Op. 21, the second movement has fruitful possibilities. The Theme has a quiet, calm texture, which has been related to earlier slow works that reflect on Webern's meditatons on his parent's gravesides. Variations I, II, and III relate to images of spring found in Op. 22, Op. 28, Op. 29/ii ("Kleiner Flugel, Ahornsamen") and Op. 23 no. 3 ("Herr Jesus mein"). The central moment of Variation IV, which is the center of the entire palindromic structure, contains a mysterious moment of stillness, in which the remaining variations proceed on a journey into more spiritual realms as found in Op. 15 no. 3 "In Gottes Namen aufstehn" and Op. 15 no. 5 "Fahr hin, O Seel".[xliii] This larger concept of an abstract journey is an element that underlies the later choral and vocal works, as well as the subsequent variation forms.

Another point for consideration in an effort to interpret this work is to look at the patterns of Webern's life. His earlier years (and to a lesser degree his later years) were a time of restless, unpredictable, and continual movement from one place to another. He was consistently spending only a brief moment in each place before taking a new direction. His compositions seem to reflect a remarkably accurate parallel to this behavior.[xliv]

With the Symphony, Webern felt that he was close to the realization of his creative ideal, one in which art is governed by the same laws as nature.[xlv] Sensing this breakthrough, he copied into his diary in the spring of 1929 two excerpts from the *Italian Journey* by Goethe: "In art I must reach a point where everything becomes knowledge through observation, where nothing remains tradition and name"; and "...for it now is unfolding, and art is becoming for me like a second nature, which, like Minerva from the head of Jupiter, is born out of the heads of the greatest men."[xlvi] For Webern the tone row was the *Urpflanze* (primeval plant), and from it derived all components of the entire organism.

With sly Webernian wit, I will let the composer have the last word:

> "After the performance [of the Vienna premiere], one of Webern's young singers from the bass section asked: 'If you please, Herr Doktor, could you not explain the work to us a little bit so that we are able to understand it better?' Webern jovially patted the young man on the shoulder and said to him and his friends, 'Just listen intently, Kinderl [children]!'"[xlvii]

Musical Examples

No. 1
P_0: F, A^b, G, $F^\#$, B^b, A, E^b, E, C, $C^\#$, D, B

No. 2
I_9: D, B, C, $C^\#$, A, B^b, E, E^b, G, $F^\#$, F, A^b

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[i] Stefan, 25
[ii] Bailey, The Life of Webern, 77
[iii] Bailey, The Twelve-Tone Music of Anton Webern, 1
[iv] Moldenhauer, Anton von Webern, 324
[v] Johnson, Webern and the Transformation of Nature, 200-01
[vi] Moldenhauer, ibid, 325
[vii] Moldenhauer, ibid, 325
[viii] Webern, Symphonie Op. 21
[ix] Bailey, The Life of Webern, 122
[x] F. S. "notes"
[xi] Bailey, "Webern's Row Tables," 186-87
[xii] ibid, 190
[xiii] ibid, 190
[xiv] ibid, 190
[xv] ibid, 174
[xvi] see musical example no. 1
[xvii] Bailey, The Twelve-Tone Music of Anton Webern, 43
[xviii] see musical example no. 2
[xix] Bailey, ibid, 18-19

[xx] ibid, 97-98
[xxi] ibid, 99-100
[xxii] ibid, 100
[xxiii] ibid, 100
[xxiv] ibid, 102
[xxv] ibid, 102
[xxvi] ibid, 102-03
[xxvii] ibid, 103
[xxviii] ibid, 103-04
[xxix] ibid, 104
[xxx] ibid, 2-3
[xxxi] ibid, 164
[xxxii] ibid, 167
[xxxiii] ibid, 167
[xxxiv] ibid, 167
[xxxv] ibid, 167
[xxxvi] ibid, 169
[xxxvii] ibid, 169-170
[xxxviii] Bailey, Life of Webern, 128-29
[xxxix] Bailey, The Twelve-Tone music of Anton Webern, 199
[xl] ibid, 201
[xli] ibid, 200
[xlii] Webern, "Letter to Alban Berg," 17
[xliii] Johnson, ibid, 201-02
[xliv] Bailey, The Life of Webern, 81
[xlv] Moldenhauer, ibid, 328
[xlvi] Bailey, ibid, 327
[xlvii] Moldenhauer, ibid, 359-60

Confucian ideology and ideologically motivated Korean Honorific usages

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Brown & Levinson's (henceforth B & L) notion of relational work highlights that individual interests and personal motivations are crucial elements in influencing linguistic strategies – and are particularly obvious in the use of politeness. Nevertheless, with regard to institutional politeness, the personal interest that may conflict with H's institutional face on a discursive level, often employs a culturally specific ideological nature in the renegotiation of individual identity. For instance, the ideological language use viewed from situation-specific norm based modelling clearly demonstrates that the Professor's choice of various address terms are intentional, because the deferential level of honorific language use is inconsistent with situational features. That is why intentional language use employs extremely deferential language use. For example, Professor's addressing 'secretary Lee' toward a secretary is the norm. Yet, the academic mentor's choice of non reciprocal address term 'teacher' combined with honorific marker 'nim' toward the less powerful secretary means that she makes use of linguistic ideology in order to accomplish his/her personal goal. In this sense, politeness is INTENTIONAL. Address terms are used as negotiating boosters for the fulfilment of work-related tasks and seem to promote work related efficiency. Functional effects (i.e. deliberate effects) of these resources (i.e. power and discourse) are derived from personal motivation which is constantly changing with interact ional discourse. Individual identity also varies with ever changing discursive roles. In this sense, politeness is CONSCIOUS. These deliberate effects are also derived from the situated nature arising from the discursive interaction. In this respect, politeness is INTERACTIONAL.

One point needs to be considered is that deliberate motivation triggering cultural ideologies can only be visible in ideological language use, as Harris (2003: 7) argues against pre-existent socio-linguistic perspective by claiming that institutional norms have long been viewed as appropriate behaviour in a particular situation. However, the notion of appropriacy should be ideologically determined rather than defining appropriateness in context.

Like Harris (2003), my data also supports that the notion of appropriateness operates on the culturally specific ideological dimension rather than merely being appropriate within locally situated contexts. In this sense, situation-specific based socio-cultural

practice can better analyze institutional norms, since I describe ideological language use and linguistic behaviour as well. For example, Korean honorifics are very sensitive to social and situational practice. When Korean people express deep gratitude, they often express 'ceong mal komaweoyo' ('정말 고마워요'), 'taetanhi kamsahapnita' ('대단히 감사 합니다'). All of which indicate identical meaning 'I really thank you', but reveal different ideologies. The former can often be applied between equal positions, but the latter can be applied between power differentials. The selection of appropriate language use depends on differing situational contexts and power relationships. The former reveals more solidarity based emotional feeling, since 'ceong mal' (very) displays emotional sincerity and is often used positive face strategies.

Submitting a Proposal:

Confucian ideology and ideologically motivated Korean Honorific usages

1. Create a title page for your submission. The title page should include:
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2. Email your abstract and/or paper, along with a title page, to humanities@hichumanities.org. Receipt of submissions will be acknowledged via email within 48 hours.

Reading as Archeology: Genetic Criticism of *Finnegans Wake*

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Toyo University, Tokyo

October 31, 2004

…look at this prepronominal funferal, engraved and retouched and edgewiped and puddenpadded very like a whale's egg farced with pemmican as were it sentenced to be nuzzled over a full trillion times for ever and a night till his noddle sink or swim by that ideal reader suffering from an ideal insomnia.

—Finnegans Wake (120)

Whoever wants to accuse an author of obscurity ought first of all to have a good look at his own inward self and see whether it is really light in there: twilight makes even very clear handwriting impossible to read.

—Johann Wolfgang Von Goethe

The works of James Joyce are progressively difficult to read. From the relatively straightforward stories of *Dubliners,* the reader proceeds to the dense *A Portrait of the Artist as a Young Man,* only to be confronted by the nearly impenetrable *Ulysses.* The average reader—sophisticated, intelligent, well–read, and earnest—usually surrenders long before Molly's final *yes* nearly 800 pages later. For those few with the patience and stamina to read and learn to appreciate *Ulysses*, for the rare, truly quixotic intellectual warrior, there remains the great

unexplored country of Joyce's world: *Finnegans Wake.*

Joyce began work on *Finnegans Wake,* originally published serially as *Work in Progress,* in 1923. For the next seventeen years, he labored on his *book of the night* until its final publication on his 57th birthday, February 2, 1939. To attempt to explain what *Finnegans Wake* is and is about merely expresses the difficulties it poses—it defies fundamental notions of genre and grammar, manipulates words for phonetic value, borrows words from dozens of languages, draws on the broadest range of obscure references, blurs the lines between individual characters, layers plots one on top of the other, ranges over all of human history, and continually teases the befuddled reader. One shudders to think what Joyce might have produced subsequently, had a misdiagnosed perforated ulcer not taken his life prematurely in January 1941. One laments that he did not survive long enough to illuminate the obscure work on which he labored for so many years.

Finnegans Wake was not well-received. Even his most ardent supporters expressed misgivings. Ezra Pound, in a 1926 letter to James, joked that "nothing short of divine vision or a new cure for the clapp can possibly be worth all the

circumambient peripherization" (202). His own brother, Stanislaus, wrote "I don't know whether the driveling rigmarole…is written with the deliberate intention of pulling the reader's leg or not" (qtd. in Ellmann 577). Joyce's own comments suggest that he was both anxious and realistic about the books' reception: "Perhaps in years to come this work of mine will remain solitary and abandoned, like a temple without believers." (Potts 161) More than sixty years later and despite the acclaim eventually accorded *Ulysses,* his final work, though never abandoned, is still in search of its audience. This is particularly unfortunate because, in the opinion of many dedicated Joyce scholars, *Finnegans Wake* is the more important book, the very height of Joyce's art.

Joyce saw the dangers early on, and in 1929, as early passages of *Finnegans Wake* were being published as *Work in Progress,* he commissioned twelve friends and disciples, Samuel Beckett among them, to write a series of essays in defense of his work. The results were published collectively as *Our Exagmination Round His Factification for Incamination of Work in Progress.* Beckett's essay, "Dante… Bruno. Vico.. Joyce," is concerned primarily with the

language of *Work in Progress*, or more specifically, with what he sees as the elevated status of individual words—a response to the exhaustion of the English language in the early twentieth century as he saw it. To Beckett, the English language has become “abstracted to death” (15). Words had grown dull with repetition, incapable of expressing any sensual connection between a word and its object; they had been reduced to meaningless cliché. Joyce, he asserts, is devolving the English language, returning words to a more direct form of expression: “This writing you find so obscure is a quintessential extraction of language and painting and gesture…. Here is the savage economy of hieroglyphics. Here words are not the polite contortions of twentieth century printer’s ink. They are alive“ (15-16). The contemplation of individual *Wake* words can be rewarding in itself. But Beckett does not stop there. He goes on to assert that these words are the very *subject* of *Finnegans Wake*:

> Here form *is* content, content *is* form. You complain that this stuff is not written in English. It is not written at all. It is not to be read—or

> rather it is not only to be read. It is to be looked at and listened to. His writing is not about something; *it is that something itself.* (14)

Finnegans Wake, for Beckett, is not about Earwicker and his family; it is not about the night; it is not about the universal themes of, for example, *the Fall of Man.* For Beckett, *Finnegans Wake* is about *Finnegans Wake*, about Joyce's grand experiment with language. The implications of this point of view are significant. If Beckett is right, there is no need to locate and follow the narrative threads of the book, if indeed they exist. Furthermore, he suggests that the book is not to be read in the ordinary sense。Rather, it is to be looked at and listened to. Implied is that one need not bother reading sentences, that grammatical sense is irrelevant. Beckett's point of view invites readers and critics to extract and consider individual words or discreet passages of *Finnegans Wake* without considering their context within the work as a whole. Beckett, and scholars who followed his lead, read nose pressed to the page. An unfortunate consequence of the Beckett approach is a tendency toward free association, the failure to ground interpretation in anything beyond the immediate sensation evoked in individual

readers. This will not do.

Stepping back and attempting to read *Finnegans Wake* more like a novel, Joseph Campbell and Henry Morton Robinson published *A Skeleton Key to* Finnegans Wake in 1944. It is essentially a chapter-by-chapter plot summary, and for many years it was the primary tool readers used to gain a foothold in the text. In their introduction, Campbell and Robinson introduce the main characters, or rather the archetypal characters—HCE and ALP, etc.—and their manifestations in the Earwicker family. Their personality traits, the incidents involving them are discussed. They introduce the plot-moving incident in Phoenix Park, the uncertainty surrounding the incident, and the rumors it provokes. Little is said or made of the language of which Beckett is so fond. The final paragraph of their introduction brings their approach into focus and reveals a certain bias:

> What, finally, is *Finnegans Wake* about? Stripping away its accidental features, the book may be said to be all compact of *mutually supplementary antagonisms*: male-and-female, age-and-youth, life-and-death, love-and-hate; these, by their

> attraction, conflicts, and repulsions, supply polar energies that spin the universe. Whenever Joyce looks in history or human life, he discovers the operation of these basic polarities. Under the seeming aspect of diversity—in the individual, the family, the state, the atom, or the cosmos—these constraints remain unchanged….James Joyce presents nothing more nor less than the eternal dynamic implicit in birth, conflict, death, and resurrection. (21)

As opposed to Beckett, Campbell and Robinson focus on the stories and themes of *Finnegans Wake*. They proceed to provide a chapter-by-chapter plot summary of *Finnegans Wake*. This might be a worthwhile project; they do an admirable job of proving that plots and characters, however amorphous, are there to be followed. However, they never question the *importance* of following such elements. They betray a pronounced and unjustified bias toward those elements when they state that their methodology of reading *Finnegans Wake* involves "stripping away accidental features." These "accidental features" may not be

accidental at all. The implication is that all one need do to understand *Finnegans Wake* is to weed out the elaborate word play Joyce so meticulously incorporated into the text, in effect killing the language Beckett loves so much. This is not to say that Beckett was correct to dwell so intently on individual words to the neglect of other aspects. But by removing the "accidental features" Campbell and Robinson have eliminated the richness: tone, style, many layers of meaning and reference, and a great deal of the pleasure of reading the book. They assume that the puzzles and ambiguity of the text are only *in the way* of interpretation. What remains is flaccid paraphrase, an uninteresting reduction of *Finnegans Wake.* Or as Bob Williams writes, "For the most part *A Skeleton Key* is to *Finnegans Wake* what water is to wine" (Williams).

Nevertheless, there is a strength to Cambpell and Robinson that must not be overlooked: They attempt to make sense of the book as a whole. As Tim Carter writes, "I think too often the meaning of *Finnegans Wake* as a whole becomes lost in everyone's attentiveness to the analysis of individual words and phrases" (Carter). Attention to "the big picture" is essential, for it provides context

for the interpretation of those individual words and phrases and justifies the 628 pages of text Joyce thought necessary.

The work of Beckett and Campbell/Robinson provided the earliest handholds for future climbers of *Finnegans Wake.* They represent opposite ends of the critical spectrum: Beckett extolling the microcosmic aspect, Campbell and Robinson championing the macrocosmic—neither fully satisfying. Can this divide be bridged, allowing readers to "byhold at ones what is main and why tis twain,…and the thereby hang of the Hoel of it…"? (143.14-17).

Genetic Criticism

> *It is impossible to say which is the best interpretation of a text, but it is possible to say which ones are wrong.*
>
> —Umberto Eco[1]

The disparate fundamental emphases dictated by Beckett and Campbell/Robinson informed critical approaches to the text for decades. Yet it was clear from the beginning that neither emphasis was adequate. The crux of the question remained: how does the reader, hapless and hopelessly out of his or

[1] *The Limits of Interpretation* 148.

her depth, justify interpretations of a text that refuses to be pinned down at every turn? Confronted by a text that seems to offer little context for valid interpretations, some critics have expanded field of inquiry to include pre-textual materials.

By definition, genetic criticism means to look at where a text comes from, seeing how it evolved from its earliest form to its final publication. This brand of criticism has two main and distinctly different goals: to look for clues that might illuminate obscurities in the final text, and to examine the creative process. Genetic critics broaden the definition of the text to include pre-publication materials—the notebooks, drafts, typescripts and galley proofs—looking for clues that might ground interpretation in Joyce's intentions and illuminate hopelessly obscure aspects of the *final* text. Daniel Ferrer notes a reason for and a problem with the method:

> Joyce's works were so intimidating that one felt from the start that one needed all the help one could get, including whatever clarification of intentions was to be discovered in the available manuscripts. But the manuscripts, far from making things simpler,

> introduced new levels of complexities, inducing new modes of reading. (501)

Given the obscurity of the text, it is not surprising that critics would turn to the pre-textual material, looking for traces that are submerged or erased in the final text. Great emphasis is placed on authorial intent, which carries certain critical baggage that will be discussed later. More importantly, Ferrer sees two important implications: One is that genetic criticism does not make *Finnegans Wake* any easier to read. This is a key point to remember. Genetic critics are not interested in simplifying *Finnegans Wake.* Rather, they aim to improve interpretations by grounding them in pre-textual material. If this makes the reading process more difficult, so be it. Another is that genetic criticism demands a new reading methodology. Genetic critics seem to be acutely conscious that *Finnegans Wake* is different from other texts, and that it demands to be read differently. The new methodology of reading implied by the genetic enterprise includes a degree of detective work, and a hunt for meaning *outside of* what is generally considered to be the text. Is this still *reading* in the traditional sense? It doesn't seem so. The

important question is, does genetic criticism indeed lead to more plausible interpretations? Does it tend toward the Beckett or Campbell/Robinson approach, or does it bridge the divide?

In his 1963 book, *A First-Draft Version of* Finnegans Wake, David Hayman performs a sustained genetic analysis of the text. It is a well-established fact that, compared to more traditional writers, Joyce worked backwards: Instead of eliminating obscurity in subsequent drafts, he maximized it. Early sketches of a few lines might become several pages long in the final text. Hayman tries to demonstrate the evolution of the text so as to illuminate elements such as style and tone that are obscured in the final draft. In the process, he devolves the text back to an earlier, simpler, and seemingly more coherent form, eliminating obscurity and bringing sentences to the surface. On the surface, this may seem to be exactly the same approach taken by Campbell and Robinson: Weeding out the fine debris. But whereas Campbell and Robinson merely provide inadequate summaries, Hayman resurrects Joyce's original draft version of the text that resembles standard English. He justifies his approach:

> …the first draft of almost any passage served to define form, tone, and content. In general Joyce's extensive revisions of detail contributed body and texture only. However, a study of these extensive and elaborate revisions can supply information concerning meaning, style, influence, function, and method which the primitive versions lack and which the complete passages conceal. (9)

Though this method removes much of the fine debris loved by Beckett, it does indeed bring valuable information to the surface—information that may help illuminate the "big picture" in a way that plot summaries cannot. Hayman's method is closer to the Campbell/Beckett camp, but broader in that it grounds interpretations in evidence provided by pre-textual materials. Still, Hayman makes an assumption that, because the first draft served to define form, tone, and content, that this is where the *meaning* lies. He believes that the "fine debris" *conceals* meaning, whereas Beckett might say that the fine debris *is* the meaning.

Hayman's early genetic work improves upon the Campbell/Robinson approach but does little to bridge the gap in the critical divide.

More recent genetic criticism seems to drift closer to the Beckett camp. R.J. Schork, writing in 1994, notes that recent genetic criticism has evolved into two distinct schools:

> One group, generally speaking, takes an 'expansive' approach to the interpretation of these data [in pre-publication materials]; the other group seeks to use 'circumscribed' criteria for significance…. Members of the expansive school are likely to find biographical references embedded in a series of entries, or to exercise a considerable psychological ingenuity in explicating the connections between strings of entries [in the notebooks]…. Practitioners of circumscribed genetic criticism tend to emphasize the detection of documentary sources for the entries; they stress the primary (but not the exclusive) significance of the actual words in the entry. (108)

Schork places Hayman's later genetic work, *The "Wake" in Transit*, into the *expansive* category, and accuses him of interpretations bordering on free-association. But this may be an oversimplification of Hayman's project. In his introduction to *Transit,* Hayman explains his purpose: "I propose here to investigate only the *Wake's* early development, that is, the traces of what led up to its consolidation. This book will treat the novel's framework as opposed to its verbal substance and details" (14-15). Hayman is concerned with the notebooks only in so far as they help him establish the order of composition and the larger framework of the text. Though occasionally this may require Hayman to speculate as to Joyce's intentions, as when he suggests that any plans Joyce made in 1922-23 were best characterized as fishing expeditions (18), there is no reason to believe that Hayman's claims are free-association. Furthermore, Hayman's approach seems to be focused on the macro-cosmic aspects of *Finnegans Wake*, differentiating his "expansive" approach from Schork's in a significant way. Hayman is concerned not so much with the sources of the entries as he is with what they say about the larger structures of the book. Perhaps there

are critics who fall under Schork's definition of expansive genetic criticism, but Hayman is not one of them.

Critics like Schork and Jean Michael Rabaté fall into the *circumscribed* school, focusing on words or clusters of words in the notebooks, tracing Joyce's sources for them in an attempt to limit interpretations of words or passages to what the sources may support. This approach is similar to what Atherton does in *The Books at the Wake*; where he traces Joyce's sources in literature. However, the circumscribed approach, while an improvement over free-association a la Beckett, still focuses on individual words and phrases without regard to other limiting contexts.

A genetic approach to *Finnegans Wake* is not without problems. Some critics might complain that such an approach places too much emphasis on authorial intent. But *Finnegans Wake* is an *open* text, in which the reader's experiences and interpretations would seem to far outweigh authorial intent. Joyce himself asserts that people can make what they want of the book: "…*Work in Progress* can satisfy more readers than any other book because it

gives them the opportunity to use their own ideas in the reading" (Potts 131). But honoring authorial intent is not incompatible with the idea of an open text—we might consider Joyce's intentions without making them the touchstone of interpretation. It is important to remember that the goal here is not to come up with a single, best interpretation but rather to weed out insupportable ones. The text's openness may be preserved.

A more difficult question arises when one considers the procedures used by genetic critics. In their analyses, they *begin* with the words and clusters in the notebooks and work *farther* away from the final text, looking for the sources of the notebook entries. The final text of *Finnegans Wake* seems hardly to enter into the equation. And so what if Schork discovers that the word *Jingo* may be "a corruption of Jainko, the Basque name for God" (Schork 114)? How does this help the reader understand *Finnegans Wake?* So Schork has shed light on a minor obscurity. Is this even desirable? Or is it merely a fun detective game? Genetic critics, both expansive and circumscribed, sometimes appear not to be *reading* at all. If genetic criticism is to justify itself as a valuable approach to

Finnegans Wake, it must demonstrate how it actually contributes to our understanding of the text. So far, it has not done so.

The Road Ahead

Genetic criticism, as applied to *Finnegans Wake,* must undergo a rigorous critique. The methods of the various genetic critics, the results they yield, and the ideas that inform their operations must be analyzed, compared, and tested to see what value the genetic project holds for a deeper understanding of *Finnegans Wake.* In short, does genetic criticism shed light on *Finnegans Wake?* Or does it merely shed light on the genetic material?

With the publication of *The Finnegans Wake Notebook Edition* (an integrated, cross-referenced edition of all the genetic material—three volumes each year, beginning in 2001) and the explosion of electronic genetic resources, we can expect an influx of research, as scholars gain unprecedented access to genetic material (previously only available via Garland's rare, cumbersome, and unwieldy 1978 edition of the Archive) and tools to make for faster and more

efficient analysis. The time is ripe for a broad and constructive critique of the genetic project in order to place the coming influx on firmer ground.

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Lightness and Masonry

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Traditionally, the image of masonry, whether baked clay or cured concrete, has been decidedly one of "strength," "solidity," and "weight". It is the stuff of which forts, bunkers and banks are built. Hence, the expression, "Solid as a Brick." But, over the past 40 years a different philosophy and aesthetic has been spreading through architecture. One that calls for lightness, for openness and an economy of material in our man-made constructions.

New York Architect, Todd Dalland, argues that the heavier a building structure is, the more of the earth's resources it consumes. His convincing response is to reduce both the physical and psychological weight of massive structures by making them of fabric. Furthermore, the demands for multi-functionality in our built environment is stoking a parallel revolution. How can we construct buildings with sufficient flexibility to accommodate the constantly changing needs of it's inhabitants? New technologies have paved the way for surprising answers to this challenge. Werner Sobek, a visionary engineer of Stuttgart, Germany has created buildings that automatically open their walls to the outdoors when the weather is pleasant. The windows automatically darken when the sun's rays are too warm. And they employ an array of ventilators to automatically channel natural breezes to areas of the building where they are needed most. We are employing high tech solutions to vary the permeability of the walls between man and his environment.

While there are good reasons to believe that the philosophy of airiness and lightness is a powerful trend of future construction, do such developmental explorations cease to apply in developing countries such as those of Central America where the economy does not allow such an investment in materials and technology? In many such countries, due to climate, economy and social conditions, masonry is still the optimal choice in construction. Is the choice of lightness and openness a viable philosophy of design in lands where the dominant method of construction is masonry? This paper will offer an approach that may bring lightness and openness to masonry construction in lands to which technological solutions may not yet

extend.

The country of Guatemala has a history and culture built solidly around masonry construction reaching back to the pyramids of its Mayan past. Today concrete, brick, block and tile serve as floor, wall and roof of the vast majority of the country's residences. The reasons for this choice of construction, in grand as well as modest homes, are equally economic, climatic and social.

The economic advantages include the fact that calcium for concrete is mined locally in abundance from the mineral rich landscape of the Guatemala. Similarly, clay, appropriate to brick and tile manufacture is readily available, and removed from the ground at minimal cost. The warm, sunny climate makes heavy masonry a valuable, heat diffusing shelter from the sun's rays. The weather, also inviting to wood-eating insects, makes wood, the typical alternative to masonry, appropriate for only the most temporary of structures. Additionally, a strained national economy has created a long-standing social crisis in the high incidence of criminal activity. The most basic security measures of the family consist of iron-barred windows and, yes, masonry walls both enclosing the house and surrounding the family yard or garden.

In short, masonry construction is a constant of life to which there is, at present, no practical and economical alternative. So, how can masonry accommodate an exploration of lightness and airiness? In a sense, this is already being done. And it is being carried out by application of traditional methods that go back farther than the founding of the country itself.

In Tejal, a small town two hours from Guatemala City, a narrow country road is flanked on both sides by scattered one-story buildings with signs bearing the words "ladrillo" and "teja", the Spanish words for brick and roof tiles. Behind one structure are three men working in the sun. One man scrapes away at the side of a hill with his shovel. After loosening several buckets of dark earth he moves a few meters along the bank to carve away at a lighter vein of earth on the bank face. He gathers the measured mixture and tosses it before the feet of his companion. The second man, with his pants legs rolled up above the knee, treads the newly mined earth into a soft clay by adding water from a bucket and repeatedly messaging the mixture with his feet until the consistency feels right. The third man scoops a ball of the clay that fits neatly in his two hands and flings it into a rectangular metal frame resting on the hard, sand-covered ground. He uses his machete to quickly smooth the clay into the frame with swift, practiced strokes. He lifts off the frame, dusts the clay with sand and slides a curved spatula under the edge of the clay slab. He picks up the slab so that it drapes over the sides of the spatula forming half of a cylinder. He places the now tunnel-shaped slab gently on the ground to dry in the sun along with hundreds of other slabs that will become clay roofing tiles. In about two days when these tiles have thoroughly dried, they will be carefully stacked in an outdoor brick enclosure about the size of a small bedroom with no ceiling. Between the stacks of tile will be piled large quantities of split tree branches, trunks and stumps which will be set ablaze to burn for three or four days and left to cool until the baked clay tiles can be safely handled and shipped to market.

These simply manufactured roofing tiles, whether used locally or shipped to the Southern United States, apply the principles of lightness and airiness to channel sun-heated air up through the tunnel-shaped chambers of the roof tiles and away from the living space of the inhabitants.

Two hours away from the tile making shop is the Universidad Rafael Landivar. There the only Industrial Design program in the country has its students looking for a way to make the skills of the traditional craftsmen of Guatemala marketable to more affluent nations. The Guatemalan government supports this venture because generating such a market-based connection would be financially rewarding to the indigenous natives, good for national recognition, and beneficial for the economy as a whole. As a lecturer invited to speak at that university on issues of industrial design education I was invited to engage in the discussion of how to adapt Native skills to products of American needs and tastes. As the discussion evolved, I saw an opportunity to adapt the skills I had seen demonstrated in Tejal to create a different type of modular masonry tile. The new tile would meet the criteria of being manufactured by traditional means. They could be assembled in a variety of ways to allow for complete privacy; permit limited visual contact or block vision while permitting the flow of air to pass through. In this way the masonry system would also be accommodating the open airiness that is part of a growing architectural awareness in the United States. At the same time, this new construction element could offer similar architectural benefits to the general Guatemalan populace.

I began my new tile design with the form of a hyperbolic paraboloid. Theoretically, this would be the shape one might get by taking a square sheet of rubber by its four corners and stretching two opposite corners upward while pulling the other two corners downward until the corners of the rubber reach the approximate corners of a cube. Imagine, now, that the compound curved sheet is no longer rubber, but is an inch-thick slab of clay packed within a four-sided metal frame that is not square, but runs zigzag from corner to corner around the outside of an imaginary cube. Being derived from a cube, the tile inherits the modular qualities of the cube. Two such curving modules can be mortared together edge to edge in a patterned array to form a wall. Depending on the orientation of each tile to its neighbor, the array could form an open mesh permitting breezes to pass through, or a closed surface blocking both sight and air. In the climate of Guatemala, this system has the added advantage of blocking the rays of the sun while permitting passersby to enjoy a directed line of sight.

The next step of this design process is to return to Guatemala with the custom-built frames to test whether the tile makers can apply their traditional manufacturing methods to create a new system of masonry tile, and perhaps add to the economy of Guatemala.

1. Title: ***Silenced Voices: Singing the Songs of the Oppressed***

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6. Abstract: please see page two

Abstract

Silenced Voices: Singing the Songs of the Oppressed

For centuries, classical music in the Western world has been dominated by the phenomenal works of composers such as Wolfgang Amadeus Mozart, Ludwig van Beethoven, Johannes Brahms, and countless others who have become household names even to the most casual of classical music listeners. Their work is outstanding, and has developed into the canon, or a group of works around which formal musical training is based.

Today, the works of Mozart, Beethoven, and Brahms remain an integral part of musical study and performance; however, the world has changed drastically in the past one hundred years, and our growing society is now also able to enjoy works by composers who come from groups of people that have previously been silenced.

This presentation shows how music can be used to share some of the many cultures of our society with listeners by taking them on a tour of works by African American, Jewish, Female, and Latin American composers. It discusses how each composer explores their own rich history and combines it with their diverse personal experiences to create music that has both aesthetic appeal and educational value. The music presented will address historical events such as slavery, the Holocaust, colonization, and the oppression of women— its survival over time and presentation to the public serves as a testament to the survival of the human spirit, as well as to humankind's ability to overcome even the worst atrocities through art.

The topic will be explored through the genre of classical art song, and will focus on live performance as demonstration. It is intended to serve as an introduction to outstanding works by selected composers and will focus largely on the philosophical and sociological implications of each work.

Spiral Mirrors and Cruel Enlightenments: Disability and Sexuality in *Mary Derwent* and *Geek Love*

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"Spiral Mirrors and Cruel Enlightenments" studies the deployment of disability in two female-authored, critically under-discussed best-sellers. Taking Ann S. Stephens' *Mary Derwent* (1858) and Katharine Dunn's *Geek Love* (1983) as my key texts, I will interrogate these authors' representations of "deformed" females who reject the social-aesthetic understandings that already exclude them. I will also contend that each novel's critical reception is symptomatic of literary-aesthetic understandings that devalue the generically transgressive narrative. My discussion of these concerns will engage the discourses of feminist, body, and disability studies.

The temporal disparity between these two best-selling novels will allow me to consider consistent tropes of disability, as well as ways in which these texts revise and challenge conventional understandings. For example, in both novels, the protagonist is a female hunchback; each narrative contains a crucial scene in which the protagonist realizes that she is "different" from other females. However, each protagonist also develops strategies for circumventing traditional practices associated with the development of romantic and familial relationships. The underlying assumption, of course, is that sexual and maternal experiences are inappropriate for the "deformed" female; my paper seeks to tease out the implications of this thinking and to examine each author's negotiations of this dilemma.

Finally, I will highlight each text's generic non-conformity in order to suggest a correspondence between the extra-categorical nature of the "freak" body and the failure

of traditional forms to adequately render the complexity of "freak" experiences. These texts, like the bodies they describe, are endowed with a superabundance of signification.

Border Integrity: Immigration and Identity in Post-War Hong Kong

Topic Area: History

Presentation Format: Paper Session

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ABSTRACT

With the formation of the People's Republic of China, the government of Hong Kong found itself forced to take new measures in controlling its population levels. Fleeing the crisis on the mainland, refugees entering the colony caused a near doubling of the population. In order to deal with this massive influx of people the Hong Kong government began to pass new or improve existing immigration laws, inculcate a sense of inclusion and a shared stake in the colony's future, and created an identity and definition of citizenship sui generis to Hong Kong.

Under the specter of the Chinese Communist victory in the late 1940's, the Hong Kong government found that it needed to rethink and redefine citizenship within the colony. As the

government came to a new definition, it acknowledged that it had to foster a stable environment for its population and create a sense of a shared stake in the colony's future. The influx of refugees fleeing the instability of mainland China during the conflict between the Chinese Communists and the Guomindang necessitated creative thinking about population levels and the question of citizenship.

Until the formation of the People's Republic, Hong Kong had a virtual open door policy with the neighboring province of Guangdong. Chinese residents had virtually complete freedom of movement between the colony and the mainland in regards to commuting for employment (to Hong Kong) and the visitation of family. The vast number of refugees seeking entry into Hong Kong negated the desirability of continuing that policy. In order to keep population at a manageable level and not allow the colony to be filled with potential subversives, the Hong Kong government had to develop new immigration controls through the Immigrants Control Bill (1949) and the Expulsion of Undesirables Ordinance (1949). Concurrently, by the reformation of the Hong Kong Defense Force and by widening eligibility for service, the colonial government created a sense of ownership of the colony's future among its old and new citizens. These efforts culminated in the creation of a new status of citizenship in Hong Kong, that of "Belonger." This new definition of citizenship then gave the colony a valuable tool for population control and insured minimum social services without sliding to an abyss of entitlement programs.

Hong Kong emerged as the Qing Dynasty declined and England solidified its position as a global empire. After the British victory in the First Opium War (1839-1842) China and England signed the Treaty of Nanjing in 1842 and ratified it in 1843. The treaty stipulated that China

open its ports to foreign trade, permit foreign consular jurisdiction over foreign nationals (extraterritoriality), and officially cede the island of Hong Kong in perpetuity to Great Britain.[1] In the 1860 Convention of Beijing, which ended the Second Opium War (1858-1860), Britain received further concessions from the Qing Dynasty, including the southern part of the Kowloon peninsula (south of Boundary Street) and Stonecutter's Island.[2] Settlement in the colony centered around what was known as the city of Victoria, which occupied the narrow northern coastal strip on the western part of Hong Kong Island, and the west coast of Kowloon.[3] To complete the territory which is now Hong Kong, the United Kingdom capitalized on China's defeat by Japan in the Sino-Japanese War (1894-1895). During the European "Scramble for Concessions" and under the Convention of 1898, Britain received the New Territories which it leased for ninety-nine years.[4]

Since many of the inhabitants of the colony had been born in British territories, they were potential British subjects and, as a result, many became entitled to substantially the same privileges as British subjects residing in the United Kingdom, including the right of abode in the mother country.[5] According to historian Kathleen Paul, the encompassing granting of citizenship to members of the British Empire "was designed to maintain Britain's unique position as a metropolitan motherland and to demonstrate to the world that the United Kingdom was still the center of a great commonwealth of nations . . .. "[6] The impetus for the 1948 BNA came about due to a post-war population decline in the United Kingdom and a resulting shortage of labor. Therefor, in order to increase Britain's labor supply active recruitment of immigrants from colonial areas occurred. It also became a "means of securing Britain's role at the center of an empire/commonwealth and securing the continuing dependence of parts of that empire."[7]

Both purposes applied to the colony of Hong Kong and assured access to those who applied.[8]

As Hong Kong's, and other colonial areas' population grew, the British government needed to narrow and restrict the eligibility of Commonwealth citizens. The 1948 and subsequent British nationality laws up to 1990 reflected a tiered national identity resulting in different communities of Britishness.[9] As British nationality law developed, racialization produced "a hierarchy whereby British and European populations or races were regarded as superior to African and Asian." This hierarchy based upon perceptions of "cultural, social, religious, and political distinctions in addition to physical ones" was maintained chiefly through a rigid system of "discrimination and prejudice."[10] Indeed, "The association attached to the colonial's skin color were sufficiently strong to override the presumptive rights of their legal nationality." According to the Deputy Permanent Under Secretary at the Ministry of Labour, Sir Harold Wiles, "any scheme for the importation of coloured colonials for permanent settlement here should be embarked upon without full understanding that this means that a coulored element will be brought in for permanent absorption into our own population."[11]

The British Government accomplished this through the imposition of the Commonwealth Immigrants Act of 1962 which "codified what successive Labour and Tory Cabinets had been thinking and saying in private since the early postwar years." British subjects became categorized into three groups, "those with jobs to go to, those with skills or experience deemed advantageous to the United Kingdom, and unskilled laborers in search of work." Numerical control concentrated on the last category.[12] The focus, therefor, in Hong Kong, centered on Chinese citizens of the British dependent territory as demand for (of all things) Chinese food (and therefore Chinese cooks) became less desirable in the post-war period.[13] It is important to

note that before the Communist victory in China emigration out of Hong Kong to the United Kingdom did not happen on a large scale.

Of the vast population of Hong Kong prior to 1949, not only did the desire to emigrate overseas exist in minuscule numbers, only a small minority considered the colony their permanent home. This minority included the British and upper class Chinese commercial elite who, for generations, lived in the colony. However, for the vast majority of the inhabitants of the colony, both European and Chinese, Hong Kong remained simply a place for conducting business, carrying on a trade, plying a craft and making a living. Having what might be called a "sojourner mentality," they maintained close contact with "home" located elsewhere.[14]

Enabling this “sojourner mentality” was the lack of restrictions covering travel between Hong Kong and the mainland. Most of the Chinese population of Hong Kong hailed from the adjacent province of Guangdong, and within that province from localities with easy access to Hong Kong via the established communications links (bus, railroad and steamship service). Therefore, they could spend a weekend at home and return to work in Hong Kong. Many of them went home to celebrate the Chinese New Year and on the occasions of the Spring Festival (Ching-ming) and Double Ninth (Chung-chiu) to pay respects to the memory of the departed ancestors. Single men went home to look for brides to marry. Like their expatriate counterparts, many Chinese sojourners also preferred to spend their retirement in their ancestral home.[15]

The absence of legal barriers between the colony and the mainland meant that two factors primarily determined the population level of Hong Kong. Hong Kong served as a land of opportunity and as a haven for those fleeing from wars, banditry and revolutions in China. When these advantages disappeared, the population of Hong Kong dropped drastically, as

occurred during the Japanese occupation in 1941-1945, when the population stood at only approximately 650,000, (down from a pre-war figure of more than one million).[16] In the light of Hong Kong's customary role as a place of refuge for people fleeing from the turmoil in China, the influx of refugees during the Civil War was not unique. On previous occasions, when the crisis in China passed, generally, the flow of people reversed so that the population of Hong Kong returned to a more manageable level.

After the 1949 Communist seizure of power the situation in China became one of perpetual crisis as one revolutionary movement after another was launched. From the beginning of Communist rule, each successive development on the mainland resulted in the increase of Hong Kong's population. Thus, no reverse flow of people occurred to reduce the population pressure of Hong Kong. Many sought to enter Hong Kong to escape from the persecution meted out to the victims of class struggle on the mainland. Even more sought entry simply to escape from the bleak conditions unfolding around them. Thus, it was obvious that unless effective steps were taken to stem the tide, Hong Kong would be swamped by wave after wave of refugees.

One of the first measures to control the inflow of refugees and immigrants did not occur until well into the twentieth century. Because of the number of refugees that the Japanese conquest of China created, the Hong Kong government passed new immigration laws restricting the free movement over the border between the colony and Guangdong. The Immigration and Passports Ordinance of 1934 required persons entering Hong Kong to possess a valid passport or other suitable documents such as a certificate of origin or reentry permit. The bill attempted to control the growing number of people fleeing the Japanese invaders and the growing conflict between the Guomindang and the Chinese Communists. The Hong Kong government considered

immigration control a necessity in the interests of health, sanitation and defense.[17] During the Civil War in China, with a much larger group of refugees, made the necessity acute.

In mid-1948, Governor Alexander Grantham charged the Executive Council with finding a way to slow, if not halt, the flow of refugees across the border. The Executive Council suggested that "in view of the alarming increase in the number of Chinese entering the colony," the Hong Kong government needed new immigration controls to retard the numbers coming from mainland China and Macao. In particular, the Executive Council advocated that "the frontier should be wired except for a few controlled crossing places," into order to funnel those coming over the border. That movement should then be controlled by formula "relating inward traffic to outward traffic" on a one to one ratio concerning those immigrants and travelers transported by ship and rail from Macao and Guangzhou. The last suggestion offered the most extreme measure: if the other measures did not meet with the desired success, then the Hong Kong Commissioner of Police should "consult with the General Officer Commander in Chief [of the Hong Kong Defense Force] regarding the closing of the frontier."[18]

By the end of November 1948, the British Parliament and the Hong Kong government elected to implement all measures including closing the border between the New Territories and Guangdong completely. Even with the new methods, Hong Kong never solved the illegal immigration problem and thousands crossed the border every day. In order to address the current situation checkpoints were set up at the normal crossings from China. This step became indispensable for any future efforts to implement normal immigration procedures.

The Immigrants Control Bill, passed in October 1949, was used to determine whether or not an individual was an “undesirable.” An individual could be declared undesirable if the person

was;

> diseased, maimed, blind, idiot, lunatic or decrepit not having the means of subsistence and may be hindered by his state from earning a livelihood; or B) is unable to show that he has in his possession the means of decently supporting himself and his dependents, if any, until he obtains a livelihood; or C) is a person likely to become a vagrant, beggar or a charge upon any public or private charitable institution; or D) is a person suffering from a contagious disease which is loathsome or dangerous; or E) has been removed from any country or state by the government authorities of any such country or state on repatriation for any reason whatever; or F) is suspected of being likely to promote sedition or to cause a disturbance of the public tranquillity; or G) is unable to show that he has definite employment awaiting him or that he has a reasonable prospect of obtaining such employment; or H) is a prostitute, a person living on the earnings of prostitution or a person of known immoral character; or I) is not in possession of such certificates and may be necessary under the Quarantine Regulation in force; or J) is prohibited from entering the Colony under any other enactment for the time being in force: or K) is found squatting or dwelling in any unlawful structure or in any tunnel or cavity or in any place which has been declared by a health inspector to be or to be likely to become dangerous to health.[19]

The following Immigrants Control Ordinance (1949) then enabled the Hong Kong government to enforce the guidelines for admitting or excluding people attempting to come into the colony.

In addition to the Immigrants Control Ordinance, the Hong Kong government passed the Expulsion of Undesirables act to check the flow of refugees as well as allowing Hong Kong officials to deport illegal immigrants or members of the population no longer welcome in the colony. The Expulsion of Undesirables Act encompassed the criteria of the Immigrants Control Ordinance and added seditious behavior and criminal acts. It is important to note that neither of the two controls created new legislation, but built upon earlier laws which "intended to provide a reinforcement to legislation [by] giving enabling powers [to the Governor] to meet an emergency as and when it arises."[20]

The emergency in question, at that moment and for future consideration, concerned the overpopulation of Hong Kong. According to an editorial in the South China Morning Post, the

act intended

> less to weed out and deal with actively subversive elements, and more to reduce the colony's population in time of emergency on the grounds that we cannot afford unnecessarily to endanger public health or jeopardize public order.[21]

The concentration of official opinion emphasized that the new legislation really only would come into play in times of emergency. This attitude, reflected in a Foreign Office memoranda signed by P.D. Coats, an Undersecretary of State, said that his "own feeling [was] that these [were] very suitable and necessary powers to have in reserve against a first class emergency . . . for use in the near future."[22] With the population rising at such an alarming rate (over 800,000 in the immediate post-war era) both the Hong Kong government and the Foreign Office felt that the present emergency constituted a first class one.

Under the Expulsion of Undesirables act, deportation of illegal aliens became automatic.[23] The government explained the terms of deportation under the ordinance as "final and conclusive, subject to the revocation by the Governor . . . an order of expulsion, if not revoked [would] be valid for five years, whether or not the Ordinance [continued] to be in operation."[24] In the line of enforcing this act, aliens could be arrested "without a warrant by any police officer and [would] be liable on summary conviction to a fine not exceeding five thousand dollars along with deportation."[25] The Ordinance did not apply, of course, to those who could prove they belonged. In order to do that, the individual in question had to "satisfy the Competent Authority [Justice of the Peace] that he or she [was] a British subject, or that he or she [had] been ordinarily a resident in the colony for ten years or more."[26] This at least began the working definition of a Hong Kong "Belonger."

Though criticism of the Expulsion of Undesirables Ordinance arose from the population for

being "too arbitrary" and capable of being put in motion against a wide range of the population, "no opposition was raised by Unofficial Members to the passage of the Bill."[27] Since some of the Unofficial members of the Legislative Council were ethnically Chinese, it seems surprising that there would not be at least some objection raised. This lack of protest can be attributed to the nature of the post. Since the Unofficials were appointed by, and served at the pleasure of the Governor, it is not altogether unusual that they acquiesced on this issue, preferring to wait for one that more closely fell along the lines of their constituency and one on which they might have an actual influence.

There did exist, though, definite opposition to the expulsion of undesirables. Many ethnic Chinese residents, who still had family in the PRC, thought that the open border policy of Hong Kong should continue unfettered. If the Hong Kong government closed the border, they argued that the Chinese refugees from the mainland were "deprived of their right to escape political persecution," which violated Article 14 of the United Nations Proclamation on Human Rights which provided that "everyone has the right to seek and enjoy in other countries asylum from persecution." Otherwise, the only individuals that escaped the Communist regime were those who crossed the border undetected. Since the policy violated the article, "the restrictions which the Hong Kong government placed upon refugees who would enter its territory [were] obviously not in accord with England's traditional respect for human rights, even though one can understand the situation which had brought about their enforcement."[28]

Many who favored the measures did not sympathize with the plight of the refugees. One resident at least (which probably mirrored the feelings of a sizable amount of the ex-patriot population) felt that the burden of the refugees should not fall on the colony. In a letter to the

editor of the South China Morning Post, "Wakeup" expressed his concern for the hardship placed on the colony and his desire for Hong Kong to concentrate on its "legal residents" who, to him, would more than likely be those who also held British citizenship. "Wakeup" queried "why Hongkong should be asked to educate a transient population from a country --or any country-- which does nothing for its own. Hong Kong should first of all look after its own . . . a large number of whom fought for the Colony, and whose parents, and children, . . . are in a bad way."[29] Clearly, which ever side of the issue the residents and officials of the colony laid, all would have to agree that if the legislation were to be enacted fairly, some type of definition of who belonged in Hong Kong had to be determined. Up to this point in the colony's history, a truly formalized policy had yet to be articulated.

While preventing undesirables from entering and maintaining residence in the colony became important, perhaps inculcating a sense of vested interest among a population of "sojourners" should have received greater attention. The creation of the Hong Kong Defense Force (HKDF) went a long way toward this process considering the potential threat from the mainland and of dissension with the colony. Perceiving the crux of the matter, Lord Waleran, who served as a wing commander in the Royal Air Force, on February 13, 1949, made the insightful remark, "the only way to get an army large enough to hold that perimeter is by recruiting an army of loyal Chinese fellow citizens in Hong Kong."[30] A large army comprised of loyal Chinese citizens of Hong Kong had never existed before in the colony. However, something comparable did materialize, the HKDF.

Though disbanded after World War II, in light of the approaching crisis on the mainland, Governor Grantham ordered the reactivation of the HKDF.[31] Once the Legislative Council

passed the Hong Kong Defense Force Ordinance, the new local military force was generally welcomed as an "indication that the British position in Hong Kong would be maintained." The Chinese press, though, chose to regard its reformation as more of a guarantee for "preservation of local law and order."[32] The HKDF proposed to insure both.

Membership in the Hong Kong Defense Force included all nationalities residing in Hong Kong, and the oath for soldiers was worded so that "non-British citizens may join without endangering their own national status."[33] The organization became significant because total segregation of the different ethnic groups did not occur. Nor did ethnicity play a part in the criterion for command since, "a company composed mainly of English other ranks may well have some Chinese officers or a predominantly Chinese company may have Portuguese officers," or of any other nationality.[34] By 1953, the Hong Kong Defense Force became a truly multinational armed service. The Chinese made up the majority of the force (45%), the Portuguese were the second largest (23%), followed by the British (16.5%), Eurasians (5.3%), Indians and Filipinos (2.5% respectively), Pakistani (1.8%), and the remaining 3% came from several other nationalities.[35]

Whether the Hong Kong Defense Force had the capability of mounting an effective resistance to the People's Liberation Army or not, the formation of the Defense Force became one of the first steps in defining Hong Kong citizenship. Since it opened membership to all without consideration of race, class, or nationality, the HKDF turned into a symbol of unity in an ethnically and economically diverse community. The oath of allegiance to the HKDF did not compromise a resident's citizenship in their country of origin. This oath laid the foundation for the creation of "Belonger" status in Hong Kong, and also defined a vested interest in residing in

the colony without jeopardizing citizenship in the "Belonger's" home country.

While the HKDF reformed, to better control the human traffic coming into Hong Kong, the previous communication links with the mainland became only partially restored after the Communist regime firmly established itself. While direct communications with the mainland were discouraged, many Hong Kong residents had legitimate reasons for traveling there. Others needed to travel overseas. Such individuals had to be provided with legal documents to prove that they belonged in Hong Kong upon their return. For this reason and for purposes of overall security, the government decided to provide all permanent residents of Hong Kong with identity cards.

In the initial planning, the Executive Council recommended that the registration of Hong Kong persons be done in stages. They advised that the first to register should be present holders of ration cards followed by "all other persons who wish to register as residents." Residents then had to produce "proof that they have resided in the colony for a minimum period."[36] After deliberation, the Council further advised "that the registration of persons should be applied on a compulsory basis from its inception, provision being made, however to allow of actual registration being effected progressively according to the categories to be specified by order of the Governor." The only exemptions from registration were children under the age of twelve.[37]

From those recommendations, the Legislative Council introduced a bill requiring all persons that resided in Hong Kong to register and receive an identity card which carried their personal information. The holder's picture, name in English and in Chinese, thumb print, as well as a serial number appeared on the identification card. At the end of the registration drive, all those who had not been issued a card or did not reside in the colony on established visas, had to leave.

If a violator was actually arrested, deportation proceedings promptly ensued.[38] A series of editorials, beginning August 4, 1949, in the South China Morning Post voiced the opinion of the majority: "The Bill which [had] for its object the registration of people in Hong Kong normally would meet with considerable opposition," asserted the editorial. It continued in stating that even then it could be expected to "involve some resentment," since the bill demanded the fingerprinting of residents who would in all likelihood regard it as a humiliating experience. Although registration would cause some indignation, "registration of the colony's inhabitants [served] a useful purpose." A registration of "British subjects would be helpful if only to crystallize loyalties and, possibly compel government to accept full responsibility for all British 'Born.'" Unfortunately the registration did not "automatically guarantee the good intentions of the holder towards this Crown colony."[39]

Although there had been some nervousness and indignation at having to register, the passage of the Registration Ordinance in August, 1949, and its ensuing accomplishment went smoothly. Contrary to public opinion, only the thumb print, not all the fingers of one hand was required. For the most part, this effectively removed any feeling of residents that they were processed like criminals. Some thought registration might restrict or bind their travel and that the cost of the card would be very expensive. These fears proved groundless.

One potential problem to registration became the impossibility of insuring that every resident provided true and accurate information on his\her application. For instance, elderly people sometimes reported a lower age in hope of boosting their employment prospects. Though there could be no assurance of honesty, the actual application process turned out to be fairly simple. The initial step sent applications to employers since they had "an economic stake in the

maintenance of the peace and prosperity of the community."[40] The Hong Kong government then set up six mobile photography and fingerprinting teams. Each team went to the locations specified to process the scheduled groups. Because of scheduling difficulties, completion of the process did not occur until the middle of 1950.

The colony-wide registration of residents took place at about the same time as the introduction of the "passbook" system in South Africa. The so-called passbooks played an important role in the system of control that became known as Apartheid. Non-white South Africans were required to carry their passbooks with them at all times and produce them for inspection upon demand by a policeman. Each persons' passbook indicated the individual's address, thus potentially restricting movement.[41] The Hong Kong system of identity cards never incurred the odium of the African passbooks. Unlike the South African passbook system, resented because it was directed only at the South African non-whites, no stigma was attached to the Hong Kong system because it was applied indiscriminately to residents of all races and nationalities. The sole purpose of the identity cards was to validate the status of the card holder as a legitimate, permanent resident of the colony, a "Hong Kong Belonger" in technical language. As part of this status, each card holder was assigned a card number. This number became an integral part of each person's identity, comparable to his/her age, sex or national origin, playing a role for Hong Kong residents similar to that of the Social Security number for citizens of the United States. The number had to be supplied when applying for a job, public housing, admission to school or other similar situations.[42]

Although one of the most cosmopolitan cities of the world, the overwhelming majority of the residents of Hong Kong were of Chinese descent. Those born in the colony and producing

legitimate birth certificates could claim British citizenship. Those who could not were presumed to be Chinese. If it was expedient for them to get their Chinese citizenship activated (for instance to travel overseas with a Chinese passport), they could go through the established procedure of either the Nationalist or the Communist regime. At one time, the distinction between British and Chinese nationality for the Chinese residents of the colony was of critical importance. The British rulers of Hong Kong were color-blind, in theory. Thus, Hong Kong Chinese of British nationality technically received the same privileges as British subjects who resided in the United Kingdom. They found favor in competing for government jobs, immunity from deportation for committing criminal offenses and possessed the supreme privilege of immigration to the United Kingdom.[43] The tiered nationality resulting from the 1948 and subsequent BNAs though, mirrored a good deal of the existing social stratification within the colony. According to Kathleen Paul, "white-skinned children of the empire, together with migrants of high utility, have gained entry [to the United Kingdom], while most subjects of color have been excluded." The reason abandoning may of the denizens of Hong Kong was based on the potential numbers, which were perceived as far too large for Britain to support. This new definition of citizenship rights conflicted with a 1949 Cabinet decision that in "Hong Kong 'every endeavor' was to be made to demonstrate that 'life under British rule was preferable to life dominated by communism.'"[44]

The introduction of the identification card system, and the Hong Kong Belonger status which it created, relegated the old distinction between British and Chinese nationality to the background within the colony. Although the distinction continued, it paled in significance when compared to the overriding difference between a Hong Kong Belonger and a non-Belonger.

Continuing decolonization on the part of the United Kingdom hastened the process. By the early 1960's, with its former empire almost completely gone, the British Government had to do something to clean up the aftermath. As many former British colonies in Asia and Africa received their independence, British subjects had the option of acquiring citizenship of the newly created countries or retaining British citizenship. Many retained their British citizenship. This held especially true for ethnic Indians or Pakistanis in Africa who had no confidence in the emergent new political order and wished to immigrate to the United Kingdom.[45] As conditions worsened and as they became scapegoats in economic downturns, many of them exercised their option of relocation. To stem the tide of Asian immigration into the United Kingdom, the British government amended its nationality laws, resulting in the creation of a class of British overseas citizenship which did not carry the right of abode in the United Kingdom, such as the aforementioned 1962, 1968, and 1982 nationality amendments. In the process, the British government placed the Hong Kong born Chinese in the new category. Thus, during the 1980's Hong Kong's population became divided between the 3,000,000 British subjects and 3,000,000 citizens of "China."[46]

Hong Kong residents, therefore, became defined and separated into three categories; British Chinese, Chinese residents, and Hong Kong Belongers (which also included ex-patriots). A British Chinese resident was defined as a Hong Kong Chinese person who acquired British nationality within the meaning of the British Nationality Act of 1948 and therefore did not have the right of settling in the United Kingdom. A Chinese resident was an immigrant who was wholly or partly of Chinese race, and at any time been ordinarily resident in Hong Kong for a continuous period of not less than seven years and registered in compliance with the laws of

Hong Kong. Finally a Hong Kong Belonger was "A. A British subject who was born in Hong Kong; B. A British subject by naturalization in Hong Kong; C. A British subject by registration in Hong Kong; or D. A British subject who is or has been married to, or is the child of a person mentioned in (a,b,c) above."[47] The government also considered those in the British Chinese category as Hong Kong Belongers.

Questions of nationality for Hong Kong Chinese did not only concern the British and Hong Kong governments though. How did the two Chinese governments of that time view the Hong Kong residents if they were not true subjects of the United Kingdom? Both the Nationalist and Communist Governments looked on Chinese in Hong Kong as compatriots but with a difference. As compatriots, they did not need a visa to enter PRC or ROC territory on a visit. They did, though, have to have an entry permit which could only be issued if they had guaranteed reentry into Hong Kong.[48] So by implication, colonial people such as Hong Kong Chinese could not be completely regarded as a legal person even though they had limited rights as a natural person. Thus, a Chinese resident traveling on a Hong Kong Certificate of Identity was treated in international law as a stateless person. He did have the reassurance of his reentry into Hong Kong as long as his Certificate of Identity remained valid. A Hong Kong passport holder, furthermore, was entitled to the British Government's protection abroad.[49]

As the specter of an eventual Communist takeover (peaceful or otherwise) of the colony loomed in the background, prudence dictated that Chinese people of means needed a desirable haven to which to retreat, should the necessity arise. British citizenship without the automatic right of abode in the United Kingdom did not nearly equal the rights of regular British subjects. Chinese British subjects in Hong Kong were thus in the same boat as those of Chinese

nationality. They had no place to go. Even with that predicament, the problem of refugees persisted throughout the next two decades with the ever present possibility of a massive influx of refugees from China such as when more than 50,000 people entered Hong Kong in just one week in May 1962.[50] Early inhabitants, British subjects, and refugees alike had one thing in common. Hong Kong was their home; their destiny was tied to all those to whom the colony had reluctantly extended its hospitality by allowing them to stay.

Questions and feelings of unease increased in the wake of the incidents occurring at Tiananmen square in 1989. With the handover eight short years away, corporate leaders in Hong Kong began to take the lead in pushing for increased access to the right of abode in the United Kingdom.[51] This lead to the 1991 British Nationality (Hong Kong) Act. Parliament and especially conservatives feared that granting British passports to the 3.2 million eligible Hong Kong residents would reverse the previous twenty-five years of immigration policy.[52] Instead, the Thatcher government, in December, 1989, announced that it would grant full citizenship to only 50,000 Hong Kong families which potentially equaled 225,000 people. This scheme enabled those who met a strict qualification to acquire full citizenship in the United Kingdom without establishing residence there first.[53] According to Political Sociologist Alvin Y. So, "most offers of British Nationality would go to corporate professionals (26,486 business managers, accountants, engineers, and computer experts) and state officials (13,300 in sensitive and professional services); only 5,814 would go to doctors, lawyers, and teachers."[54] The logic of limited emigration hoped that if Hong Kong residents "knew they had a fall back position, and right of abode in another place it would discourage them from immigrating [immediately] in search of foreign passports."[55] Thus, it lent stability and confidence to Hong Kong's population.

The 1991 BNA received a mixed reaction. While many expressed their support within Parliament and the Hong Kong Legislative and Executive councils, the former Conservative Party Chair, Norman Tebbit led some conservatives in arguing that 50,000 was too large a figure and "broke [British] election commitments on immigration." Opponents in the British Parliament feared reprisals from the PRC government and potentially undermine the Basic Law agreement. Finally, Labour MPs decried it as favoring only the wealthy and powerful sectors of the Hong Kong population.[56]

Those who predicted a less than positive reaction from the People's Republic were quite correct. The PRC expressed almost immediate outrage. Beijing warned that it would treat any Hong Kong Chinese as a Chinese National even if they acquired the right of abode since, "no Hong Kong Chinese can assume a non-Chinese identity unless he or she has settle abroad and acquired foreign nationality, or has successfully renounced Chinese nationality."[57] Therefore, any Hong Kong Chinese who received a British Passport under the 1991 legislation had to have departed by 1997.

Surprisingly, little reaction or fanfare occurred in Hong Kong, at least in the first few years. Both British and Hong Kong government officials anticipated a flood of applicants. Rather than the 300,000 applications predicted, only approximately 65,000 heads of households applied for British Nationality. This could be due to the rigid screening system which some may have interpreted as unattainable. More likely, was the choice of destination. Most Hong Kong residents sought not to emigrate to the United Kingdom or other European destinations, but rather to the North American and Australasian regions.[58] Some, though, did see the planned emigration as a "brake on [Hong Kong's] development," in that as Hong Kong progressed

toward more of a service economy the departure of professionals could "erode the 'functional core' of the labor force."[59]

The question of the 1997 handover still remained. Beijing had to determine for themselves what citizenship within Hong Kong meant, an easy task since they already had a working definition in place concerning those born or residing in territories that they considered Chinese soil. The PRC considered Chinese born in Hong Kong, Taiwan and Macao "compatriots." This differed from the term "overseas Chinese" in that compatriots were considered Chinese born in a territory of China even though that territory did not come under rule of the mainland. In the cases of Hong Kong, Taiwan and Macao, the mainland always regarded these three places as part of China and therefore its citizens Chinese. [60]

After the establishment of the Hong Kong Special Administrative Region (HKSAR) in 1997, all Hong Kong Chinese automatically became Chinese citizens holding HKSAR passports of the PRC.[61] Unlike Hong Kong under British rule, China did not recognize dual nationality. Therefore, the 1984 Settlement and Joint Declaration did not create a Hong Kong nationality since the creation of a nationality *sui generis* to Hong Kong had the implication of theoretical independence which the PRC certainly was not willing to consider.[62] The Chinese created, though, a sub-division of Chinese nationality in order to distinguish the population in the new HKSAR. Residency in Hong Kong then became based upon the criteria of:

> 1(a) all Chinese Citizens born in Hong Kong (whether before of after 1 July 1997);
> 1(b) all Chinese citizens born elsewhere (whether before or after 1 July 1997) to parents in 1(a);
> 2(a) all Chinese citizens with seven years continuous ordinary residence in Hong Kong (whether before or after 1 July 1997);
> 2(b) all Chinese citizens born elsewhere (whether before or after 1 July 1997) to parents in 2(a);

> 3(a) all other persons with seven years continuous residence in Hong Kong (whether before of after 1 July 1997) whose place of permanent residence is Hong Kong;
> 3(b) Persons under 21 born (whether before or after 1 July 1997) to parents in 3(a);
> 4 any other person who before 1 July 1997 had a right of abode *only* in Hong Kong (emphasis added).[63]

Therefore, eligibility requirements for "citizenship" in Hong Kong did not change much from British rule except for two important differences. First, of course, Hong Kong citizens became citizens of the PRC and could not hold dual nationality. Secondly, unlike British rule, expatriates did not enjoy "Belonger" status and the rights it entailed. They had to go through an identical process of procuring visas just as they would have in mainland China. The British could hardly be indicted for narrowing their definition of citizenship when the PRC restricted it further. Again, Hong Kong exists as an exception to the norm concerning citizenship and as a subset of another country's nationality.

Since 1949, Hong Kong stands out as an example of how a government can take responsibility for its denizens, maintain manageable population levels, and protect the integrity of its internal security while creating an environment of inclusion and hope for the future. Without such immigration controls, total population in the post-war era could have reached an intolerable level. Also, the incoming refugees from the mainland, without some manner of immigration litmus test could have filled the colony with an assortment of undesirables and potential subversives. By maintaining the number of citizens, the colonial government insured the provision of minimum social services without involving itself in a quagmire of entitlement programs. Simultaneously, the government, by giving the population some responsibility in ensuring the security and defense of Hong Kong, began to create a vested interest in the future of

the colony that the previous sojourner mentality had not allowed. Finally, the experience of Hong Kong could provide an object lesson for many nations' immigration laws. By defining varying degrees of citizenship, which can be revoked or suspended depending on circumstance, Hong Kong and the British government gained a valuable tool in dealing with a sometimes transient population and a continuing refugee problem.

END NOTES

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11. Paul, p.125

12. Paul, p. 166-167.

13. Skeldon, p. 138. The potential for emigration became reduced even more by the 1982 creation of British Dependent Territories Citizens (BDTCS)which clarified that while BDTCS were eligible to receive assistance from the British onsulate during overseas travel, they did not have the potential for right of abode in the United Kingdom. Enbao Wang, Hong Kong 1997: The Politics of Transition, (Boulder, Lynne Renner Publishers, 1995), p. 125 *n*6.

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Title
Pictures at an Exhibition: *SMLXL*, by Bruce Mau, Rem Koolhaas and OMA

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Pictures at an Exhibition—*SMLXL*, by Bruce Mau, Rem Koolhaas and OMA

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Abstract
This article focuses on *SMLXL* (Rotterdam: 010 Publishers: 1995). I will address one of the books most salient characteristis: the utilisation of visual mediums that layer supplemental meaning onto the architectural object and in particular the manipulation of images to look like other images. I will argue that Rem Koolhaas, in departing from what is already a depiction, is reading representation. I will demonstrate the ways in which the built form, the "model" and the pictures that look like images of the model together construct a particular reality.

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SMLXL claims to be "a novel about architecture" on its back cover. In an interview with the author, Rem Koolhaas stated that he was torn between the desire to write a monograph on his work and a theoretical study of the city. This ambivalence is manifest in the book, which is both a kind of writing with pictures and the story of the subject itself. It is not to be read in the conventional sense, from 'cover to cover'. Work is organised both chronologically and according to size, and is presented in counterpoint to a “dictionary” of terms located in columns at the margins of pages. At issue is the alphabetical and categorical transmission of information. Through the use of the textual authority of systems of reference that historically participate in the institutionalisation and representation of truth, models and convention, *SMLXL* reformulates the principles and intentions of the modern movement, situating and constituting the work and thought of Koolhaas/OMA as a form of architectural knowledge.

In the book, individual projects are represented with various elements, frameworks, sequences. (Photo)graphic and textual sequences are presented with a fragmentary structure of representation and an excess of themes. Images and text have different levels of significance and make connotative and denotative associations that both both complement and supplement the projects. The manoeuvre of finding an exact reference for every image or text would fix and limit the play of meaning. Rather, *SMLXL* accommodates different types, speeds and depths of reading. One of the pleasures of Koolhaas's text its openness to interpretation. Koolhaas's system of reference is a gesture of seduction, in which the act of searching, finding and reading, leading to just-glimpsed fragments of text whose meaning often remains indefinite, holds the promise of clear definition. This, combined with other appearances of the works in the professional, popular and academic presses, suspends OMA's constructions in an ambiguous state, one that lies between built form and text to reflect the existence of architecture as both object and description in image and word.

Koolhaas approached Toronto-based graphic designer Bruce Mau with the idea of collaborating on a book in 1990. OMA had roughly 10 years of work to document, having been founded in Rotterdam in 1979. Koolhaas won the Dutch Maaskant Prize in 1986. OMA completed its first public commission for the Netherlands Dance Theater in 1987. In activity that stretched into the mid-nineties, Koolhaas/OMA did a number of major competitions in France, for Melun-Senart, La Villette, La Defense and the University of Paris. A number of other directions came to fruition after the publication of *SMLXL* were initiated. The Fukowaka, Japan, commission in 1991 was the first project in Asia. Koolhaas began to teach at the Harvard School of Design in 1992; the subject of his studio was the city in China.

The art discourse of the 1980s lends us ways to view the representational and textual strategies of *SMLXL.* Art and criticism centering in New York used the notion of "pictures" as a principle interpretative framework for the practice of art under the name appropriation or quotation art. Artists constructed hybrid images that always concealed, or revealed, a reference to another image--for example, *I'm not Jasper Johns*, or Sherrie Levine's *After Walker Evans*. **(Fig. 1)** They used photography, film and collage as mediums. Works of this kind were grouped together in an exhibition called "Pictures" held in New York in 1977 and organised by Douglas Crimp. His article in *October* Spring '79 addressed the mental process referred to by the word "picture" in its verb form (as in the expression "picture this") and linked it to theater. Ensuing authors such as Hal Foster and Craig Owens focused on the reading of resemblances identifying the processes of framing and staging.[1]

This kind of work could be traced to 18th-century French painting, its principles rooted in the first exhibition of copies was called "D'après les maitres." Held at the turn of the century, it was not an isolated phenomenon, and several successors followed after 1920. If the study copy, a sort of free investigation into the aesthetic nature of a work, was traditionally part of a painter's formation, there already existed an industry of copying ranging from these strictly academic copies, institutionalised by the French State and Academy, to wilfully interpretative copies, where the artist would change media, for example making oil paintings after prints, in addition to manipulating the forms and the subject matter depicted. Copies were often more expensive than the originals—the fact of manual translation increased, literally and symbolically, the value of the work. Works were titled, for example, "after Chardin" or "after Delacroix."[2] Evolving through the 19th and early 20th century, the copy gradually came to be an index of the originality of the copyist and took on an aura of it's own. For my discussion the point is that practice of copying images was crucial in defining the concept of the original, the new, in the emergent discourse of the Modern Movement. The practice of copying images was crucial in defining the concept of the original, the new, in the emergent discourse of the Modern Movement.

Art historian Rosalind Krauss voiced the issue as the originality of the avant-garde. Beyond a rejection of the past and a revolt against tradition they sought a beginning from ground zero: a fresh start; a birth. In architecture, the need for change implicit in advanced technology was inconsistent with the desire for norms implicit in mass-produced standards. This dilemma, first recognised by Reyner Banham in *Theory and Design in the First Machine Age* (London, 1960), was one in which architects of the modern movement felt the impulse towards singularity in the face of forces governing mass production. They searched paradoxically for unique forms of building through the use of materials and technologies of mass production. Terry Eagleton notes that the contradictory condition of originality in both art and architecture of the modern movement results in fetishism. This is the the irony on which the whole modernist project founders, in which modernist works are “in contradiction about their own material status.”[3]

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[1] "Subversive Signs" by Hal Foster and "The Allegorical Impulse" by Craig Owens in *October*.

[2] See Robert S. Nelson, "The Discourse of Icons, Then and Now," *Art History* (Vol. 12, no. 2): 144-155.

[3] "High modernism, as Fredric Jameson has argued elsewhere, was born at a stroke with mass commodity culture. Modernism is among other things a strategy whereby the work of art resists commodification, holds out by the skin of its teeth against those social forces which would degrade it to an exchangeable object. To this extent, modernist works are in contradiction about their own material status, self-divided phenomena which deny in their discursive forms their own shabby economic reality. To fend off such reduction to commodity status, the modernist work brackets off the referent or real historical world, thickens its textures and deranges its forms to forestall instant consumability, and draws its own language protectively around it to become a mysteriously autotelic object, free of all contaminating truck with the real. Brooding self-reflexively on its own being, it distances itself through irony from the shame of being not more that a brute, self-identical thing. But the most devastating irony of all is that in doing this the modernist work escapes from one form of commodification only to fall prey to another. If it avoids the humiliation of becoming an abstract, serialised, instantly exchangeable thing, it does so only by virtue of reproducing that other side of the commodity which

SMLXL is literally framed by references to the work of Le Corbusier, the Modern Movement architect synonymous with the very notion of "modern architecture." Le Corbusier's work internalized the contradiction of the modern movement, pairing the Delage Cabriolet and the Parthenon, neither of which was mass-produced, in order to equate standardization in automobiles with architecture. **(Fig. 2)**

The final image on the back leaf of *SMLXL* refers to Koolhaas's own *voyage d'Orient*. The front leaf and first pages consist of a series of graphs, called "OMA Income and expenditure," "OMA Workforce" and "OMA Turnover," that can be analogised to Le Corbusier's use of statistics in his theory of the city. *Urbanisme* includes a graph called "Traffic" that cited statistics to come to terms with the immensity of the city. OMA's chart entitled "Travel behavior" is visually shows the number of miles and trips taken by Koolhaas over a period of time. **(Fig. 3)** *SMLXL* shows modernist concerns with traffic connections and human circulation not on a "neutral" background but rather against the backdrop of OMA office interiors. The phenomenon they chart relate to office activity and not the city. The charting of the dynamic flux of the office activity is set against static office space. This seems narcissistic and nihilistic when compared to the optimism and celebration of architecture manifest in other parts of the book. And if Koolhaas himself in this writing points to the tension between the dynamic flux of the city and the static character of architectural space, all of this was inherent in *Urbanisme* as seen in Le Corbusier's use of statistics. This is one aspect in which Koolhaas picks up where Corbusier left off.

Building Image Text

A significant number of the projects shown in *SMLXL* manipulate and fragment the forms, elements, iconic images and plan/section configurations of Le Corbusier. Projects such the Villa dell-Ava in Paris, the Kunsthal in Rotterdam and the Sea Terminal in Zeebrugge, Belgium, construct a discourse in collusion with their references, their rhetoric and their representations.

This series constitutes, literally, a writing on (as opposed to about) Le Corbusier. Koolhaas suspends his construction between architecture and text. He takes the canonical and iconic images circulated by Corbusier, constituting a large part of our received views, to communicate his theories. Koolhaas's reworking of images addresses Corbusian "teachings" in a contemporary context. This is a writing conceptually not unlike the work of Barbara Kruger, an artist whose work juxtaposes pictures and words. Kruger works with images that were originally signifiers of messages and are today aesthetic objects valued in and for themselves. She draws attention to their status and meaning in a contemporary context. She is one aspect of the Duchampian legacy. Kruger's work is connected to medieval iconography because she literally writes over images with phrases that reflect certain belief systems of western culture. Her *Untitled* of 1981 shows a close-up of a face from what is apparently a Greek statue overlaid with the words "Your fictions become history." **(Fig. 3)** Like Kruger, Koolhaas treats received views and forms as artefacts; his rewritings of modern architecture are his interpretations. Koolhaas gathers his images many of which are based on Le Corbusier's in his book, *SMLXL*, referred to as "the Bible."

The Villa dell'Ava

Pictures of the Villa dell'Ava, a single family house in the 10th arrondissement of Paris built for the owner of the publication *Architecture Le Moniteur*, deform the iconic representations of what is probably the best-known example of a Corbusian "ideal" villa.

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is its fetishism. The autonomous, self-regarding, impenetrable modernist artefact, in all its isolated splendour, is the commodity as fetish resisting the commodity as exchange, its solution to the reification part of that very problem." Terry Eagleton, "Capitalism, Modernism and Postmodernism" *New Left Review* 152, 7-8/1985, pp. 60-73.

(Fig. 4) The house is made to "look like" the photographs in the *Oeuvre Complète* of the Villa Savoye that Le Corbusier used to illustrate his 5 Points of Architecture. Yet while the Villa Savoye purports to be a seamless whole, the Villa dell'Ava is constructed as a series of discontinuous, referential fragments. That it resembles its architectural "model" without having any actual volumetric similarity to it reinforces both the gap between and the inseparability of the building and it's representation. The resemblance was constructed after the fact; according to OMA collaborator Xaveer de Geyter, the design process addressed only pragmatic issues.

The Kunsthal: Double Vision

The Kunsthal is a gallery for temporary installations that includes other public functions such as an auditorium, restaurant and bookstore. The building has a double life as experienced space and representation, making explicit references and suggesting associations to both the history of architecture and the immediate context, effecting spatial as well as structural invention. The building itself and the images in *SMLXL* together constitute a theatre-in-the-round in which our knowledge of the history of architecture functions as the framework through which we understand visual references to "modern architecture." As such the building is a a *cadavre esquis* whose surfeit of parts overwhelms the whole. The fragmentation of associations is a metaphor fusing the notions of architecture and reading, and confirms the kaleidoscopic character of Koolhaas's work. What applies to the Kunsthal applies to Koolhaas's work as a whole. **(Fig. 5)**

The double themes constructed by the co-existence of the building and its representations. It is contextual, constructed from materials specific to Holland such as a black stone used for building dykes. The tree-trunk columns on the ground floor mirror the garden beyond. It refers to mass-production using uses materials common to modern architecture (glass, steel, concrete and asphalt, various column-types at the entry). The site has a dual condition—one facade facing a garden, the other oriented towards a highway. The concept of the building is a double circuit which makes the connection, through a public passageway, between these two conditions. Two pedestrian ramps, one orthogonal, one angled, are superimposed. One of the ramps is split, with a glass wall separating the outside open to the public from the inside, which is part of the gallery circuit. A second ramp, running parallel and reversed, is terraced to accommodate an auditorium above and restaurant below. The main entrance occurs where the two ramps cross.

Images in *SMLXL* make reference to well-known images that for architects stand for "modern architecture." The aerial axonometric and the section of the Kunsthal resemble representations of the Villa Savoye that focus on the penetration of a vertical section into a horizontal grid. The diagram of the double circulation concept resembles one of Corbusier's schemes for an exhibition pavilion, an early proposal for the Carpenter Center. Photographs recall the portico of Mies van der Rohe's Nationalgalerie, the facade of Corbusier's project for a Congress Center in Strasbourg and a gas station. These allusions are reinforced by a visit to the building and depend on one's viewing position. In the "chance encounter" of architects as different as Mies van der Rohe and Le Corbusier with a generic building type, each reading denies the ideological position that the others affirm.

Zeebrugge

The Sea Terminal in Zeebrugge, Belgium, is OMA's project for an alternative to the tunnel under the English Channel. It visually and verbally conflates the Open Hand, the Globe Tower and the Tower of Babel. **(Fig. 6)**

If in the design development phase, the project team searched for buoy-like forms, the project is actually formally and programmatically derived from the Globe Tower, a

Manhattan project for a transportation hub and multi-functional recreation center. In *Delirious New York* Koolhaas describes the Globe Tower as "a multilevel interchange of various modes of transport: a combination of parking garage, subway and railway station with a branch going out to the sea as a pier for boats. It is a variety of programs "stacked on consecutive floors, the essence of the idea of Skyscraper." *SMLXL* clearly correlates Zeebrugge to its Manhattanist predecessor. Just as the Globe Tower "combines the opposites [of] needle and sphere" so the Sea Terminal "crosses a sphere with a cone." At Zeebrugge, "The two lowest floors organize traffic to and from the ferries ... a bus station is above [with] pedestrian access through a separate external loop. Above, two floors of parking wind in an ascending spiral culminating in a public hall" that reveals, like a roof garden, the panorama of sea and land."[4]

Zeebrugge is mentioned under the "Large" category in *SMLXL*. In his historical research for *Delirious New York*, Koolhaas had discovered that the Globe Tower was advertised as the "largest steel structure ever erected," with the "Largest Ballroom in the world," the "largest Hippodrome in the world" and the "largest revolving searchlight in the world."[5] This aspect also relates to Le Corbusier, whose Open Hand was on of four huge objects set against the Himalayan mountains at Chandigarh. Zeebrugge is a large object set in an industrial landscape on the coast of Belgium. Verbally, the spirit of Zeebrugge recalls the Open Hand. Le Corbusier wrote: "The Open Hand will confirm that the second era of the machine age has begun: the era of harmony." Koolhaas claims his object as an optimistic sign in the landscape: "This machine proclaims Europe's new ambition: its different tribes—the users of the terminal—embarking on a unified future."[6] As such it contrasts with the tragic view of Le Corbusier that centered on the Open Hand as it was interpreted by Manfredo Tafuri.[7]

To present Zeebrugge metaphorically as well as formally an upside-down Tower of Babel, the well-known painting by Pieter Bruegel is turned upside down and used as the frontispiece for the project. The strategy of overturning a tower echoes Claes Oldenburg, who conceptualized the Batcolumn by inverting various Chicago towers--the Hancock, Sears and Water Towers--to make a bat shape. The patterns of Oldenburg's Bat referred to the different grid patterns of the buildings surrounding it, esp. the Hancock Tower where Oldenburg notes that the large x-grid is not structural. Koolhaas's work with scale and the notion of Zeebrugge as a skyscraper with a different structural system for each level makes the Oldenburg work an appropriate reference for OMA's "big" building.

Le Corbusier

If Le Corbusier is his alter ego, Koolhaas nonetheless denies the moral, ideological and aesthetic baggage inherited from the French/Swiss architect. He both denigrates and identifies Le Corbusier with "modern architecture":

> "What Noah needed was reinforced concrete. What Modern Architecture needs is a flood. Corbusier's Floating Asylum for the Salvation Army establishes [this] metaphor on a literal plane. (Bums are the ideal clients of modern architecture: In perpetual need of shelter and hygiene, real lovers of sun and the great outdoors, indifferent to architectural doctrine and to formal layout."[8]

The frequent elaborations of water and vessels such as arks can be accounted for as reevaluations of Le Corbusier's metaphor for modern life, the ocean liner, focusing not on

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4 *SMLXL* p. 587.

5 *Delirious New York* pp. 71, 73, 74.

6 *SMLXL* p. 587.

7 See Manfredo Tafuri, "Machine et Mémoire, the City in the Work of Le Corbusier" [trans. Steven Sartorelli, in *Le Corbusier–Urbanisme, Algiers and Other Buildings and Projects 1930–1933*. Garland Publishing: New York and London, 1983].

8 *Delirious New York*, p. 249.

the object (the ship) but on its context (the sea).In Story of the Pool (1976), the Floating Pool is actually a ship, “the most popular structure in Modern Architecture” that brings the Constructvist architects to Manhattan. The Floating Pool morphs in SMLXL, in "Palace of the Soviets.” This story fictionalising Iofan's 1933 design for the Soviet Palace crowned by a huge statue of Lenin. portrays water as the vehicle of a liberation ssignifying the birth of a new social order.

Even Koolhaas’s concept of Bigness was already inscribed into the work of Le Corbusier. The author finds that bigness was already inscribed into *Delirious New York*. His book "implied a latent 'Theory of Bigness' based on five theorems" (SMLXL 499) Bigness was also already inscribed into Le Corbusier's modernism. Think of the four immense objects at Chandigarh and the *Ville Contemporaine*, a City for Three Million Inhabitants. Consider the Marseilles block, vast for its time: more than 330 apartments, hotel, shopping streets, community services and a recreational landscape on the roof. Le Corbusier strove to come to terms with "la phénomène gigantesque de la grand ville" and "la sublimité de leurs dimensions" through statistics.[9] With “Bigness,” Koolhaas journalizes his concept rather than formalising it.

"Tabula Rasa Revisited" is OMA's competition project for the extension and renewal of La Defense. Here, Manhattanism and the Modernism of Le Corbusier signify the modern. **(Fig. 7)**

OMA speculated on what would happen if every building older than 25 years was declared worthless and—because the cost of upkeep and renovation would be greater that the cost of a new building—removable. Design analyses show areas that would be opened for new development if the site was laundered in 5-year increments. The project proposed a new beginning, one anticipating the future and overcoming the present by "erasing" the past. The act of erasure is a seductive, symbolic return:

> "The process of erasure could be spread over time in a surreptitious way—an invisible reality. We could gradually scrape ... whole areas of texture off the map ... that had, for us, an exhilarating and secret connection to the operation of Le Corbusier. But while Le Corbusier might have been too drastic in saying 'I scrape everything away at once' ... we could argue ... that this urban culture presumes this kind of elimination."[10]

The erasure of Le Défense is effected by an anonymous hand, shown in several photographs in various positions, lifting the ground to reveal, underneath, the Manhattan grid. Le Corbusier praised the Manhattan grid in *When the Cathedrals were White.* Just as within the Manhattan grid OMA would preserve buildings of merit or sentimental value so when Le Corbusier placed the Plan Voisin in the center of Paris overcrowded with slums he left monuments in the center intact. In the Plan Voisin,

> "the historical past, our common inheritance is respected. More than that, it is rescued. The persistence of the present state of crisis must otherwise lead rapidly to the destruction of that past ... In this the past becomes no longer dangerous to life, but instead finds its true place within it."[11]

According to Tafuri, Le Corbusier kept the old and the new separate because the past was dangerous to life. Old centers were unrecoverable museums that had to be defended as such. He proposed an ambiguous history of architectural images of the past. As in the Bestegui penthouse, and in Le Corbusier's sketches of Paris, the city is a selection of *objets a réaction poétique* kept at a distance.

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[9] Le Corbusier, *Urbanisme,* pp. 69, 71.

[10] *SMLXL,* p. 1109.

[11] Le Corbusier, *City of Tomorrow,* pp. 69, 71.

Tabula Rasa Revisited" reenacts the operation identified with the *Plan Voisin*. It retroactively reads *tabula rasa* as entropy. In the end is the beginning, a dilemma created by the strategy initially proposed as a solution:

> But the notion of a new beginning—starting from scratch, the tabula rasa—had been taboo ever since Le Corbusier's brutal attempt with the Plan Voisin to scrape everything away at once. The harshness, the shock, the obvious insanity—but at the same time the incredible eloquence—of his operation closed the book on the question of the new beginning for generations to come ..."[12]

The involvement with the past of "Tabula Rasa Revisited" recalls Robert Rauschenberg, who in the early 1950s made a drawing by erasing a work of Willem de Kooning. Rauschenberg wanted to make an outrageous gesture and left as his own work the marks of the eraser. He said that the impetus for this piece came from a determination to not mimic the work of the older artists he knew. For Koolhaas, the action of erasure establishes a link to not a renunciation of the forbidden past. Another association to the past appears on the double page spread of the Sistine Chapel ceiling shown with this project. Here, erasure can be associated to the cleaning of the ceiling a number of years ago that exposed the prevailing myth about Michelangelo, who was discovered to be not only a sculptor but also an accomplished colorist.

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Koolhaas's work is an empire of signs and a theatre of representation. Rather than merely exhibiting pictures, his pictures are a mode of exhibitionism, a way of acting out a return to the Modern Movement. His are continual and repeated references to the recognizable images that constitute a large part of our received views, those included in every architectural history book from Sigfried Giedeon's to Kenneth Frampton's and <<criticised by Manfredo Tafuri as operative criticism.>> Each time, Koolhaas discovers hidden dimensions, produces something new, reveals new traits and possibilities. This is his "unconscious rhetoric." His pictures are his interpretations of his own work, seen through the screen of the images they refer to and the discourses they represent. We can look at Koolhaas looking back on his modernist origins, and watch them splintering without end.

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[12] *SMLXL,* p. 1103.

Title of Submission Operative Topography
— Mapping a Chinese Village

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Abstract:

Under the pressure of globalization are Chinese villages experiencing transformation, which causes cultural crisis. This paper addresses topography as an agent to invent or reinvent regional architecture and cities in the age of globalization. At one level, the study of topography provides a re-reading of the relationship between globalization and regional culture as well as a re-examination of the conception of place in contemporary cultures; At a more concrete level, the roles of topography in the siting selection, formation, future development of a Chinese village are explored in order to bring identity back to constructions of Chinese villages.

Topography is not simply the contours of a given place, but a three dimensional structures with different layers embedded within it. Moreover, topography is not a framed picture. *Operative* indicates "a system or device capable of fostering combinatorial evolutionary developments based on open logics."[1] Topography is constructed a mechanism for pursuing the collective social relations and generating the social conditions of its making.

The impact of topography on constructions of Chinese villages is explored by mapping *Yuliang*, a Chinese village in Huizhou area, China. Through mapping the village, "Topography as boundary", "Reciprocity between topography and spatial fabric", "Water constructs the village", "Spatial fabric as labyrinth", "Empty center and flourishing edge", "Multi-programmatic spaces" and "Wetting events", all these unfold the village at different levels. Through mapping the village, it will supply hints for constructing a new context and direction for the built environment as a mediator between architecture and environment in the age of globalization.

[1] *The Metapolis Dictionary of Advanced Architecture*, Ingoprint SA, 2003, p464

Title Page

Title: Imagining the Orient: Pound and Fenollosa

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Imagining the Orient: Pound and Fenollosa

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This paper branches off from Edward Said's discussions of various aspects of Orientalism in his book of the same title. Said cites two European Orientalists, Silvestre de Sacy and Ernest Renan, that exemplified the way "Orientalism fashioned a body of texts and a philosophically rooted process by which the Orient took on a discursive identity that made it unequal with the West," and that represented "a wholly bookish Orientalism, since neither claimed any particular expertise with the Orient *in situ*" (156). Sacy and Renan did not have the "privilege" of residing in the Orient and therefore their knowledge of it did not derive from any actual residential experience in the Oriental countries they studied. And because of this lack of immediate contact with their subject, their scholarship then has to be called into question for its obvious potential to be distortional and inaccurate, two fears that Said identifies in his critique of Orientalism.

Sacy and Renan embody "the bookish tradition of the textual attitudes" (157). Said mentions but does not discuss in depth two American Orientalists: Ernest Fenollosa and Ezra Pound. Both lived abroad, the former more in Japan and the latter more in Europe; both accomplished a considerable deal in their studies of Chinese literature and culture, but neither was ever physically in China. By Said's definition, then, both are bookish Orientalists. Is there such a thing as "bookish Orientalism"? A tantalizing answer is yes when one considers the instances of scholars like Fenollosa and Pound. But what does "bookish Orientalism" really mean when applied to these two Orientalists? Was it able to accomplish anything positive in the nineteen and twentieth century? How should we view this notion in the twenty-first century when globalization and cross-culturalization are hot-button issues? These questions and their answers will be the focus of my critique.

Nonverbal Messages and Communication Motives: Do the Messages Match the Motives?

Topic area: Speech/Communication/Proposal for study

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Running Head: NONVERBAL MESSSAGES AND MOTIVES

The message approach to nonverbal communication emphasizes analyzing the message rather than analyzing only the perspective of either the sender or the receiver (Burgoon, 1994). Using this perspective, Burgoon (1994) defined nonverbal communication as a "system of socially shared coding" (p. 231); where the meaning of the nonverbal message is considered "typically" (p. 231) intentional. The word typical leaves ambiguity of the intentional nature to accommodate those behaviors that are semiautomatic, but still carry a meaningful message. Some unintentional behaviors, such as squinting in bright sun, however, would be attributed (if interpreted correctly), by both the sender and the receiver as a reaction to bright light instead of a frown or negative facial expression directed toward the receiver.

I suggest combining the message approach with the sender's reasons for the communication in the first place. For example, the message approach assumes that some behavior is intentional. Arguably, the sender may intend the message to accomplish an instrumental goal resulting from a motive, such as control. At the same time, the sender is attending to self-presentation goals to create an impression upon the receiver (Jones & Pittman, 1982). So receivers are faced with interpreting the sender's situational goals resulting from communication motives in addition to self-presentational goals. Some motives, such as control, may be less desirable to openly present. In situations such as these, the speaker may strategically present an impression incongruent of a controlling motive.

Incongruent behaviors are more difficult to interpret (Burgoon & Bacue, 2003). The sender may "come across as smug, insincere, or patronizing" (p.194). For example, Schrader (1994) found that participants rated nonverbal indicators of intimacy as most acceptable for messages of self-presentation goals. Schrader also found, however, that even messages resulting from a control motive, such as convincing an adversary, were rated more appropriate when accompanied by nonverbal indicators of immediacy and intimacy, not dominance. The participants in this study were rating the appropriateness of movie characters' nonverbal communication according to the apparent motivation. Research, however, has not yet addressed how people actually use nonverbal messages in conjunction with the motivation for their own communication in a natural setting across people. The nonverbal indicators represent relational-level messages.

Relational level messages represent meaning about a relationship between two people, but are separate from the verbal words of the message (Burgoon, 1994). The relational message is the topic of many nonverbal studies. For example, the use of space, vocal qualities, and eye contact are three types of nonverbal behaviors that can convey relational level messages. Relational communication focuses on the meanings associated with nonverbal behavior (Burgoon, 1994).

Burgoon and Hale (1984) described perceptions of relational level messages based on themes. The research surrounding the relational message typology usually involves an observer's perception of the relational message or a target's evaluation of the relational message. However, the speaker's relational message is not compared with why they intended to communicate in a natural setting. For example, perhaps someone wants

to communicate in order to control another person. Does that speaker also demonstrate nonverbal messages that convey control or dominance?

Motives research has addressed the reasons why people communicate with each other. Interpersonal communication motives specifically address why people communicate interpersonally. This research is based on a functional view of communication where one is fully aware of his or her own needs and the alternatives available to fulfill those needs. In short, people know why they communicate. They choose to communicate with others interpersonally to fulfill a psychological need.

Motives research has addressed interpersonal communication motives that have been examined in relational contexts, in conjunction with other personal characteristics, and in relation to outcomes of interaction or relationships. These motives provide reasons why people communicate interpersonally. However, the nonverbal messages that accompany verbal messages have not been compared to the motive for communicating. Relationships between these two concepts may exist. These potential relationships might reveal inconsistencies in the way one communicates his or her motives and the way the nonverbal message is perceived. The analysis might also reveal that when people communicate for a certain reason (motive), their nonverbal behaviors are perceived to be congruent with the motive.

The focus of the literature review is to show how two lines of research (interpersonal communication motives and nonverbal relational level messages) can be examined together. Examining the two together will provide a picture of how a motive either complements or contradicts a relational message. First, an exemplary review of research addressing the relational dimensions proposed by Burgoon and Hale (1987) is

reviewed. Second, the research examining interpersonal communication motives is reviewed. Finally, research questions using both concepts are presented.

Relational Level Messages

Early research in relational level messages is summarized in Siegman (1978) and Thayer (1986). Subsequent research in nonverbal relational communication focuses in the relational typology developed by Burgoon and Hale (1987).

Interpersonal interactions can express a diverse set of relational messages (Burgoon & Hale, 1987). Burgoon and Hale (1987) developed a typology of themes to represent the meaning of messages (Relational Dimensions Instrument). According to Burgoon and Hale (1987), there are seven themes, the first of which contains subthemes: intimacy (affection-hostility, intensity of involvement, inclusion-exclusion, trust, and depth-superficiality), emotional arousal, composure, control, similarity, formality, and task-social. These relational level messages are conveyed through nonverbal communication. Although the dimensions are categories themselves, they each represent a continuum on which to place a perception (Burgoon & Hale, 1987). For example, one can communicate and be perceived as somewhat dominant, really dominant, or not dominant at all.

Some research focuses on the nonverbal relational messages that are conveyed by specific nonverbal behaviors. A sample of these is presented first. Second, other scholars have focused on additional variables that are related to the presence of certain nonverbal relational messages.

Burgoon, Buller, Hale, and deTurck (1984) found that distance between people and posture affected relational messages. Specifically, greater intimacy, attraction, trust, and caring are perceived when the sender is closer rather than farther away. Closer proximity to the target of message also conveyed greater dominance, persuasiveness,

aggression, and intimacy. Burgoon (1991) found similar results that indicate closer proximity communicated more dominance, similarity, immediacy, and composure. The results for frequent eye contact with the receiver of the message are similar (Burgoon, et al. 1984). In addition, when the sender leans forward while smiling and briefly touching the receiver, the receiver reports messages of intimacy, composure, and informality. Again, similar findings for posture were reported in Burgoon (1991). She found that for opposite-sex attractive pairs of people, an open posture indicates more trust and composure. Open posture was related to more composure for males and females. In addition, when status was equal, moderate posture indicated more similarity.

Eye gaze and touch also influence relational messages. Burgoon, Coker, & Coker (1986) studied eye gaze in interviews. They found that gaze aversion was related to less immediacy, less credibility, and less attraction. For males and females who held a high reward for the receiver of the message, males who employed the high gaze were rated as more dominant whereas females who employed high eye gaze were rated as more submissive. Burgoon, Walther, and Baesler (1992) found that the use of casual touch conveyed nonverbal relational messages such as greater immediacy, greater affection, trust, relaxation, similarity, and informality. The effect of touch in this study was moderated by valence of the toucher.

Nonverbal behaviors, such as distance, posture, eye gaze, and touch influenced the relational messages felt by the receiver of the nonverbal cues. The relational messages produced by the nonverbal cues also influence other aspects of conversation. For example, relational messages sent would also affect other concepts such as conversational involvement (Burgoon & LePoire, 1999; Burgoon & Newton, 1991; Capella, 1983;

Coker & Burgoon, 1987), satisfaction with a relationship (Burgoon, Pfau, Parrot, Birk, Coker, & Burgoon, 1987), love (Gonzaga, Keltner, Londahl, & Smith, 2001; and attractiveness or liking (Borderman, 1972; Burgoon, Coker, & Coker; Burgoon, et al. 1992; Mehrabian, 1969), and credibility (Burgoon, et al., 1992).

Conversational involvement has been linked to nonverbal relational communication messages (Burgoon & LePoire, 1999; Burgoon & Newton, 1991; Capella, 1983; Coker & Burgoon, 1987). Capella (1983) states that "proximity, lean, orientation, gestural activities, smiling, gazing, laughing, and touch," in addition to paralinguistic cues signal involvement in a conversation (p. 117). Coker and Burgoon (1987) attempted to have subjects regulate their behavior based on if they wanted to appear involved in a conversation with another person. Those participants who wished to appear highly involved demonstrated behaviors such as leaning forward toward the other person, relaxed laughter, fewer latencies in speech, fewer silent moments in speech, and more coordinated speech. Highly involved participants also were more attentive to the other person instead of objects around them. Burgoon and LePoire (1999) found similar relationships between conversational involvement and dimensions intimacy, dominance, composure, and informality. Burgoon and LePoire (1999) and Burgoon and Newton (1991) validated the perceptions of the receiver with perceptions of an observer. The matching perceptions reinforce the idea that the meanings of nonverbal relational messages are socially agreed upon in societies or cultures. Although these studies address how the sender will encode a nonverbal message to appear a certain way and how observer judgments match perceiver judgments, the studies still don't address reasons for communicating compared to relational messages perceived.

Burgoon et al. (1992) and Mehrabian (1969) found that nonverbal relational messages are related to attraction or liking. For example, Mehrabian (1969) concludes that eye contact increases as a person reports higher levels of attraction until the attraction level become very high. At the high point, the amount of eye contact decreases slightly. Body orientation, for females, is turned toward a person whom is liked, and away from a person who is not liked. On the other hand, males who like a person a lot tend to slightly turn the body away from the other person. Boderman, et al. (1972) and Fisher et al. (1975) reported higher levels of liking for those in a touch versus no touch conditions in ESP and library experiments. In addition, Burgoon, et al. (1986) found that gaze aversion was associated with less attraction.

Although the research in relational communication is robust, aspects of relational communication still need exploration. For example, much research focuses the perception of those who are targets of nonverbal communication. After the behavior is perceived, the behavior is evaluated. However, another important avenue is the motivation of the sender, and how that motivation manifests itself in terms of nonverbal communication. Perhaps the person is trying to communicate an affectionate message, but a conflicting message is displayed nonverbally. The motive might also match the nonverbal behavior displayed. In the case that the two match, the communicator might be considered more efficient in communicating to fulfill his or her motives. In the case that the motive for communicating doesn't match the relational message displayed, problems in understanding might arise. One may try communicating to fulfill another's need for affection, but nonverbally display behavior that communicates dissimilarity.

Interpersonal Communication Motives

Interpersonal communication motives are reasons why people communicate. The motives perspective grew out of a combination two separate research agendas. The first was developed by Schutz (1966) who posited three reasons that people need to communicate interpersonally with one another. He named inclusion, affection, and control as the three interpersonal needs. The second research area is uses and gratifications (Katz, Blumler, & Gurevitch, 1974). Uses and gratifications states that humans have media needs that they are aware of and that they attend to media that will gratify the needs they have. These two bodies of research have been combined to form the interpersonal communication motives model. The motives evolve from needs that people try to fulfill using interpersonal communication with others (Rubin, Perse, & Barbato, 1988). Rubin and Martin (1988) have discussed the concept of interpersonal communication motives. These motives include: inclusion, control, affection, pleasure, escape, and relaxation. These motives provide reasons why people communicate interpersonally. Interpersonal communication motives have been examined in relational contexts, in conjunction with other personal characteristics, and in relation to outcomes of interaction or relationships.

Past research has established a relationship between interpersonal motives and relational contexts such as student-teacher (Kelly, Duran, & Zolten, 2001; Martin, Myers, & Motlett, 1999), father-daughter (Martin & Anderson, 1995), family communication climate (Barbato, Graham, & Perse, 2001), and cross-cultural (Anderson, Martin, & Zhong, 1998; Rubin, Fernandez Collado, Hernandez-Sampieri, 1992).

Interpersonal motives also relate to other characteristics about the person such as loneliness (Anderson & Martin, 1995; Downs & Javidi, 1990; Hosman, 1991), privacy (Hosman, 1991), conversational sensitivity (Hosman, 1991), life position (Barbato & Perse, 1992), locus of control (Flaherty, Pearce, and Rubin, 1998), communication apprehensiveness (Flaherty, Pearce, & Rubin, 1988; Kondo, 1994; Rubin, Perse & Barbato, 1988), gender (Barbato & Perse, 1992), age (Downs & Javidi, 1990; Rubin , Perse, & Barbato, 1988), and antecedents to motives (R. Rubin & Rubin, 1992).

In addition, the motives are related to outcomes of the interaction. These include satisfaction of groups (Anderson & Martin, 1995), satisfaction with the father-daughter relationship (Martin & Anderson, 1995), satisfaction with communication (Rubin, Perse, & Barbato, 1988), and appropriateness and effectiveness of the message based on channel choice (Westmyer, DiCioccio, & Rubin, 1998).

Combining the Relational and the Motive Research

Because past research has shown that given a conflicting verbal and nonverbal message, people more often believe the nonverbal message (see Burgoon, 1985), communicating for the reasons one intended to and having one's communication perceived as intended is important. In short, matching the nonverbal communication to the motive of the message can enhance one's effectiveness in fulfilling needs of both the speaker and the target of the message.

In addition to examining the nonverbal behavior and the motive, the verbal message must also be examined. By examining all three, an entire picture of why someone communicated interpersonally and what actually happened as a result of that motive can be studied.

This research would still involve the perceptions of the target of the message in terms of the target's evaluation of the relational themes communicated during the message or episode. The verbal message would also be evaluated to determine the verbal content of the message. The next step would be to ask the speaker what motivated his or her communication in the particular event or message. The motive, verbal message, and relational message could then be compared to see if they match.

This type of research could also reveal patterns of awareness of one's relational communication in interpersonal interactions. For example, a person communicating to have control over another person, while at the same time displaying submissive nonverbal behavior might not be aware of the inconsistency. It is also possible that the person has found submissive nonverbal behavior to be a tool to control his or her environment.

Examining the nonverbal messages that accompany motive-produced messages also expands the ongoing research in interpersonal communication motives. In the past, motives have not been studied in conjunction with the nonverbal messages that accompany communication produced to satisfy a motive. The crossing of the two perspectives leads to research questions.

RQ1: Are there relationships between interpersonal communication motives of the sender and nonverbal relational communication messages perceived by the receiver?

RQ2: Does gender of the sender or receiver mediate the relationships between motives and nonverbal relational communication messages?

RQ3: Do people convey different nonverbal relational messages across situations when communicating for the same motive?

RQ4: Do nonverbal behaviors such as eye gaze, touch, proximity, and posture correlate with interpersonal communication motives?

Method

The motive of the communication and the relational messages accompanying the verbal communication should be examined together to see if the motive matches or is inconsistent with the message. A conversation will be taped. After the conversation, the participants will be asked to complete the interpersonal communication motives scale. The nonverbal relational communication messages for the conversation will be compared against the results of motives survey to see if any relationships exist.

Patterns of eye gaze, posture, touch, and proximity will also be assessed for the interaction to determine if the nonverbal behaviors coincide with interpersonal communication motives.

As stated before, nonverbal relational communication messages have been studied mainly from the receiver's point of view. Using interpersonal communication motives as a guide, the nonverbal relational messages can be compared with the interpersonal communication motive driving the interaction. The result will be a compliment of two different aspects of communication research. One is from the receiver's point of view (relational), and the other (motives) is from the sender's point of view. In addition, the verbal message provides more information to analyze regarding the nature of the message. The message might or might not reflect either the nonverbal message or the motives of the person.

Although the brief method of this paper described a face-to-face interaction, the motives and relational messages could eventually be applied to a mediated setting. Of course, the nonverbal behaviors that would convey the relational messages would be different from the ones chosen for this study. For example, posture, proximity, eye gaze, and touch might be replaced with tone, fluency (written or oral), response time, or convergence of speech pattern.

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COMMUNICATION OF IDEAS:
STUDY OF FACE-TO-FACE AND VIRTUAL MEETING METHODS

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Background

In many business and educational organizations today, traditional face-to-face communication and meetings are being replaced with computer supported communication (CSC) like electronic mail, instant messaging or chat, teleconferencing, videoconferencing and computer conferencing. Decreasing costs of new communication technologies and increased accessibility to online information have promoted the use of CSC systems, making it both interesting and worthwhile to investigate whether CSC meetings are as effective as face-to-face meetings. It is also important to understand the underlying differences between face-to-face and CSC meetings, in order to use this information to design more effective CSC systems that incorporate the advantages of face-to-face meetings and even overcome some of their shortcomings.

Many organizations conduct business crossing state and national boundaries. For example, in an industrial organization, enterprise domains such as product design, planning, control, scheduling, forecasting, and sales might be required to cooperate so as to achieve their common goals. These functional units may be geographically dispersed and need to continuously share knowledge and information (Stegmayer, Caliusco, Chiotti, & Galli, 2002). In higher education and in conducting business across national boundaries, meeting face-to-face may be neither economically feasible, nor the most effective mode of communication. It can also be challenging logistically to arrange meeting times and locations when people are dispersed across several geographical locations. Thus, many colleges, universities and business organizations have implemented various forms of CSC systems as a means of augmenting or replacing face-to-face meetings among geographically dispersed groups of people (Perry, 1992). Trevino, Lengel, Gerloff, and Muir (1990) propose that media choice can be affected by rational evaluations of situational determinants, such as the distance between communication partners.

Recent advances in computer technology offer a variety of sophisticated tools for providing computer assistance to group decision making. This communication technology includes hardware and software for local and wide area networks, distributed processing, electronic mail, computer conferencing, teleconferencing, videoconferencing, instant messaging, and others (Tung & Taracad, 1990). Over the past 20 years, the integration of computers and communication technologies has

revolutionized communication and made possible new and expanded forms of group work. For many people, electronic messaging and computer conferencing are becoming more commonplace than using the US postal service or even the telephone. The increased use of computer networks to conduct business has been stimulated by decreasing costs, increased accessibility of information, and the rapid exchange of documents, databases, and messages. CSC is becoming an integral component of organizational communication, and provides new ways to support work in groups distributed by time and space (Baltes, Dickson, Sherman, Bauer & LaGanke, 2002).

Although current electronic communication technologies make collaboration between dispersed groups more convenient and less expensive than traveling to meet face-to-face, questions arise as to whether CSC enhances or inhibits group processes and outcomes, and whether there are negative consequences associated with reliance upon CSC. Several theories relate to these modes of communication, such as media richness theory and the social presence theory. These theories were used as a basis for a survey project that analyzes preferences for several popular on-line CSC meeting techniques compared to face-to-face meetings.

Media Richness Theory (MRT)

Face-to-face communication is the warmest of all forms of communication (Chidambaram & Jones, 1993). What is it that makes face-to-face communication the "warmest" medium? Daft and Lengel (1986) and Daft, Lengel, and Trevino (1987) have theorized that it is the richness of the communication medium that accounts for people's preference. Moreover, as CSCs significantly alter communication processes and outcomes in organizations (Bordia, 1997); it is important to develop a better understanding of their effects in order to enable increased benefits from their use. Media richness theory is one of the widely used theories that has been developed in this regard (Dennis & Kinney, 1998; Suh, 1999). Media richness theory argues that four factors influence media richness: the ability of the medium to transmit multiple cues, immediacy of feedback, the use of natural language, and the personal focus of the medium (Trevino, Lengel, Bodensteiner, Gerloff, & Muir, 1990).

MRT claims that different communication media can be classified as lean or rich, according to their ability to convey knowledge and information. Knowledge must be communicated in order to reduce task equivocality, whereas information must be communicated in order to reduce task uncertainty (Koch, 1998). When people communicate in traditional face-to-face interactions, they have both visual and auditory sensory channels to receive and send information – a communication "rich" environment. As individual components of a medium are eliminated like the telephone eliminating the video cues, the communication becomes "leaner" (Kinney & Dennis, 1994). Leaner media (electronic mail and instant messaging) facilitate communication clarity when participants have less task-relevant knowledge. The impacts of these mediating constructs on decision quality were found to depend on the levels of participant expertise and deception. In general, it was found that richer media can have significantly positive impacts on decision quality when participants' task-relevant knowledge is high. Effects of participant deception can be mitigated by employing richer media.

Effect of task characteristics. Daft and Lengel (1986) consider task choice crucial in effectively matching media. They argue that when media richness matches task

characteristics, performance improves. Two task characteristics dominate: uncertainty and ambiguity. Uncertainty exists when communicators have a framework for interpreting messages like rules and experience but lack adequate information to make a decision or to come to a shared position. Ambiguity exists when multiple interpretations of an information or framework exist. It requires negotiation among group members to come to consensus on one interpretation. MRT predicts that the uncertainty and ambiguity of information communicated will vary with the richness of the media. Rich media convey rich information that can be expected to resolve ambiguity at a high rate. Face-to-face communication is considered a rich media and is predicted the best choice to resolve ambiguity. Research suggested that media richness assists groups in making faster decisions (Kahai & Cooper. 2003). Less rich media, such as asynchronous computer-mediated communication is predicted the best choice to resolve uncertainty. With low ambiguity and high uncertainty, leaner media are better as rich channels provide communicators with too much information and unnecessary messages (Kinney & Dennis, 1994).

Choice of the media may be either a positive or a negative influence upon the group's effectiveness. For example, the initial meeting of class members online, arriving with different backgrounds, might be left with ambiguous information in the minds of the students without a rich medium for communication. Conversely the syllabus and course schedule should be posted online for certain understanding of the plan of the course. The richer medium is predicted to better process ambiguous information for faster understanding while the less rich medium will better transmit well-understood information structures.

In 1988, Lengel and Daft predicted that when given the opportunity to choose between the face-to-face and a leaner medium, users involved in tasks where ambiguity is high would rationally opt for the face-to-face medium.

Multiple cues and feedback immediacy. Nonverbal channels communicate information beyond spoken words, often emphasizing or complementing the spoken message, such as when emphasizing the importance of a point, indicating one's feelings, and showing authority (Kahai & Cooper, 2003). In addition to providing multiple cues, richer media can also enable immediate feedback, such as concurrent feedback, which takes place simultaneously with the communication of a message (as when a receiver nods or indicates surprise vocally) and sequential feedback, which occurs when the receiver interrupts the sender and uses a pause in the sender's communication to indicate understanding of a message or to direct the sender. Media that enable multiple cues and immediate feedback influence decision quality by enabling a receiver to have a clearer understanding of messages (Koch, 1998). Face-to-face communication enables feedback immediacy; feedback in face-to-face can be concurrent and sequential. CSCs such as e-mail do not allow concurrent or sequential feedback.

Fowler and Wackerbarth (1980) have demonstrated that decision time increases as the multiplicity of cues decreases and as users are required to type. Research also suggests that reduced immediacy of feedback increases decision time because users find it more difficult to coordinate activities. However, other reviews of the effects of CSC suggest a positive effect on output quality (Gallagher & Kraut, 1994).

Social Presence Theory (SPT)

Much of MRT presumes that increased richness is linked to increased social presence. Media Richness has often been linked to Social presence (Rice, 1992; Zmund, Lind & Yound, 1990). Social presence theory (SPT) predicts that CSC can create in users a sense of intimacy and immediacy. When people participate in communication they can assess how much they feel that they are present in a real setting. Face-to-face yields the highest level of social presence (Lombard & Ditton, 1997).

Multiplicity of cues and immediacy of feedback are likely to influence quality via their impact on social perceptions, message clarity and the ability to develop evaluations of others' expertise and deception (Dennis & Kinney, 1998; Ferran & Strock, 1997; Weisband & Atwater, 1999). Dennis and Kinney (1998) suggest that leaner media requiring typing can result in senders altering the creation of messages in ways that reduce message clarity which in turn reduces the ability to present information and/or data. Face-to-face communication permits expressions of a wide array of socio-economic information (Chidambaram & Jones, 1993).

Advantages and Disadvantages of CSC for Meetings

Advantages of CSC. A 2003 paper by Alge, Wiethoff, and Klein found that the face-to-face teams exhibited higher openness/trust and information sharing than CSC teams. It can be concluded that even though CSC is considered to be a medium that is low in social context cues, it can be perceived as interactive, active, interesting, and stimulating by conference participants. However, it is the kind of interactions that take place between the participants, and the sense of community that is created during the conference, that will impact participants' perceptions of CSC as a "social" medium (Gunawardana, 1995).

CSC is especially applicable to organizations with overseas branches. It lets overseas people participate in many more decisions than they would if they had to travel to head quarters. It is also possible for an international organization to train is overseas personnel without an undue amount of travel. CSC can extend an organization's services to its remotely located clients in the form of educational support services, delivery of new or modified plans, notification of new products, and changes in service procedures.

Educational programs can be made more widely available and easier to participate in for those who are located in remote regions or cannot easily travel for any reasons. CSC opens up the possibilities for continuing education, education for handicapped, education at the workplace, and education for people located in remote areas. It permits a high level of interaction to take place between the teacher and students, a critical component of learning. Without sacrificing the visual component of teaching, for example, writing on the blackboard, seeing student's reactions to the material being presented, and the like, videoconferencing makes it possible to bring the classroom to the home, the workplace, or wherever it is convenient for students to carry out their studies. Web enabled (video on demand) classes provide additional benefit of 'whenever' classes. By substituting teleconferencing for travel, the teacher/expert's energy is conserved while, at the same time, his/her message is reaching a much wider audience that it would in a typical classroom situation. The class can span across campus, state and even international borders giving true meaning to the phrase 'global classroom'.

Shortcomings of CSC. CSCs offer many advantages for business and educational meetings; however, there are disadvantages as well. For example, CSC lacks channels such as gestures, facial expression, and tone of voice that face-to-face communication has, unless a video is used such as in a video conferencing. CSC, therefore, has less capacity for information richness than face-to-face communication. It is more difficult to reduce ambiguity when using media with lower richness (Daft & Lengel, 1986; Daft, Lengel, & Trevino, 1987).

A second potential disadvantage is that groups using CSCs often take longer to reach decisions as compared to meeting face-to-face. Galegher & Kraut (1994) found evidence that communication with less rich media can be compensated for with more time for equal output results. However, the increased time has a negative effect on user satisfaction with a system (McLeod, 1992). A 1990 paper by George, Easton, Nunamaker, and Northcraft described an experiment which found that CSC groups were less likely to reach consensus and took more time to reach a decision. A 2003 paper by Alge, Wiethoff, and Klein reports that the face-to-face teams exhibited higher openness/trust and information sharing than CSC teams.

Technical problems can also arise in a CSC. These include excessive audio noise as a result of open microphones, poor video resolution, unsatisfactory audio bridge operations, and operating controls that are too complex. Also, due to the nature of the technology, information can be made too widely available, creating security problems. This is especially a problem with full-motion video teleconferencing that is transmitted via satellite.

The most prevalent hesitation that people express about CSC is that it will decrease their person-to-person contact and, as a result, their ability to influence and convince others. They also fear that CSC will impersonalize their work, make their work more abstract, less people-oriented, and less sensory. A teleconference participant often cannot see the audience, and this makes it harder to assess reactions to what is being said. Lack of visual feedback can make people uneasy about their status and their freedom to interrupt someone else, making them reluctant to participate in the discussion. Additionally, except in video conferencing, the usual nonverbal cues, for example, body language, eye messages, handshake, and he like, cannot be sent or received. In computer conferencing, the keyboard is the outlet for expression, and it is sometimes difficult to communicate the nuances and subtleties of a message. More often than not, however, problems that arise with CSC are due to lack of communication skills, including lack of speaking, meeting, writing, and organizational skills. The unique features of some of the most popular CSC will be described now.

Modes of Facilitating Meetings with CSCs

Teleconferencing. Teleconferencing is an audio only system, which enables groups of people dispersed over multiple locations to communicate and exchange information dynamically, employing voice communication. There is a popularly held belief that communication via telephone is inferior to face-to-face communication. Research findings do not support this simplistic notion; in many respects audio communication is equal, if not superior, to face-to-face communication. In an experiment conducted by Rogers in 1976, ninety percent of the participants reported greater comfort in face-to-face counseling situations than teleconferencing. In 1976, Short, Williams, and

Christie in his study showed that participants in an audio-only channel typically rated their interaction partners more negatively and also felt a greater sense of uncertainty about the quality of their interactions. This is due to the reduction of behavioral cues and the resulting difficulty of assessing a communication partner's reactions prelude the development of smooth social interactions (Galager & Kraut, 1994).

For tasks which are of a complex nature, or which involve interpersonal factors, teleconferencing may not be the best choice. In some task situations, teleconferencing may create an impersonal, unproductive, and hostile communication environment.

Video conferencing. Videoconferencing is the transmission of full-motion, live television images from the production site to remote sites. Video conferencing offers an approximation of face-to-face meetings by means of two-way electronic connections, with audio and "live" video television transmission between two or more locations. This is the most expensive form of conferencing as it requires a wide-band transmission capability. Videoconferencing is a close cousin of face-to-face communication as it offers synchronous audio and visual information. Video provides a shared workspace, allowing communicators to sense environmental cues that contextualize and therefore add meaning to the references they bring up through speech and action.

Furthermore, video allows for the observation of specific artifacts, which may be the target of discussion and deliberation. This may further contextualize discussion, or allow users to adapt their language to even more efficient referential, rather than descriptive, speech like referring to an object all can see as "that". In many cases video may be more useful that even unmediated face-to-face communication. For example, when a discussion is focused on a common virtual object rather than on the users themselves (Watt, Walter, & Nowak, 2002). Videoconferencing thus provides particular communicative advantages to geographically and / or temporally dispersed groups that text-only or audio-based communication cannot, at least under some circumstances.

Whereas seeing the other person is of real, but limited value for conversational tasks, when reactions must be noted carefully, video conferencing provides better social cues than teleconferencing. Moreover, video is better than audio when language barrier exists. Emotional messages can be conveyed through facial expressions alone as effectively as by gestures and other bodily clues combined. Johansen (1977) found that video is perceived as more effective than audio for forming an impression of others. On the contrary, White Muhlfelder, Klein, Simon, and Luczak (1999) found no differences in interpersonal trust between videoconferencing and face-to-face communication. And, Hinds (1999) found that real-time videoconferencing overloaded the cognitive processing of team partners performing a complex task, and biased their perceptions of one another, compared to those groups using text-based conferencing system.

The popularity of videoconferencing is increasing in recruiting and selection process (Chapman & Rowe, 2001). An increase in globalization of organizations and tighter labor markets require organizations to evaluate an increasing number of applicants in diverse geographical regions. Videoconferencing has provided a means to dramatically reduce the costs associated with interviewing distant applicants while simultaneously expanding applicant pools and satisfying the employer's desire to see the candidates they are interviewing (Chapman, 1999). However, Matarazzo and Sellen (2000) report that internal group structure and hierarchy do not emerge as clearly in videoconferencing as in face-to-face. It has an implicit unorganized formality; people are

more polite and solicit participation from quiet members in a way that does not happen in face-to-face. Leaders do not emerge spontaneously and indeed seem not to be needed (Matarazzo & Sellen, 2000).

In general, videoconferencing is satisfactory for a wide range of typical business communication tasks, but is particularly valuable, compared to non-visual media for complex communication situations and tasks which stress interpersonal communications. While better than audio for some interpersonal tasks, video meetings may not match the quality of face-to-face meetings.

Computer conferencing. Computer conferencing is the ability to conduct an ongoing meeting with personnel in different geographic locations using a display (LCD, CRT, etc.) to share information stored on personal computers or computer servers via the internet/intranet accompanied by audio which is sometimes on a normal telephone line. Well-designed systems are very easy to learn and need minimal computer expertise. Lack of typing abilities is not always a barrier to participation (Kelleher & Cross, 1985). However, the written record basic to the computer conferencing is crucial for some tasks. It allows time for reflection on the topic of conversation.

Computer conferencing is considered well suited to solving simple problems and can also be used as a preface and/or follow-up to a face-to-face conference (Kelleher & Cross, 1985). Computer conferencing appears particularly useful in coordinating technical projects. Participants can obtain more deliberate answers to technical questions, backed up by facts and figures and with less delay. It is well suited for crises management and group judgment. It is perceived as satisfactory for exchanging information, asking questions, exchanging opinions or orders, staying in touch, and generating ideas. Greater equality in group participation can be facilitated by the use of computer conferencing. Computer conferencing involves a substantial reduction in the social cues that regulate and facilitate communication. This reduction leads to behavior characterized by a greater focus on the task at the expense of focus on the audience, the target of the communication (Galager & Kraut, 1994). However, among experienced users computer conferencing can support self-presentation and emotional subtleties.

However, the volume of information in a computer conferencing can sometimes be overwhelming. In synchronous computer conferencing, messages are not sequential and multiple topic threads can appear; information overload can thus result (Kelleher & Cross, 1985). Computer conferencing demands strong leadership. It is sometimes difficult to focus the discussion in computer conferencing (Kelleher & Cross, 1985), and so problems may take longer to solve in computer conferencing. Studies have shown that questions asked within computer conferences often go unanswered and there is often a lack of interpersonal feedback, and so those who perceive the need for immediate feedback might thus be frustrated (Johansen, 1977). Participants sometimes feel a lack of group interaction. It is perceived as unsatisfactory for bargaining, resolving disagreements, persuasion, and getting to know someone. Computer conferencing is vulnerable to poor human/machine interface with computer networks and computer terminals. Hence training takes an important role in computer conferencing.

Electronic mail. Traditional time barriers, for example, different individual schedules and different time zones can be overcome with asynchronous communication by electronic mail. Store-and-forward aspects of electronic and voice mail let people

send messages when they have the time and at their own convenience. This means that people can participate independently of each other's time schedules.

The medium is completely self-activated. People must be motivated to log on and collect their messages. Participants in an E-mail exchange assume that everyone logs on regularly and keeps up to date. Consequently, they have little patience for the excuse that one missed the message because one did not log on. Many corporate systems have developed social norms, most of which are very polite. Some firms encourage their employees not to send a response to E-mail immediately but to compose a response when they want and hold it overnight to be sent early in the morning next day. Many messages are seen to be unnecessary or inappropriate. This has the side benefit of holding down overall mail volume.

The inherent lack of expressiveness in a messaging system has not stifled human expression and creativity. A whole symbolic language has evolved on conferencing systems. For example, the users of one system have developed the symbol for smile as '☺'. The bottom line is that ingenuity will often overcome the limitations of any communication medium (Johansen, et.al., 1991).

Information Richness Theory predicts that individuals will not prefer to communicate via E-mail in situations requiring the exchange of information to resolve ambiguity; however, no evidence has been found to support this (El-Shinnay & Markus, 1992). A study by Zuboff in 1988 reported the presence of information richness in communication that uses E-mail: information richness is defined as the ability of information to change understanding within a time interval. In 1988, a study by Lingel and Daft confirmed that e-mail was consistently favored by the groups as their main medium for communication, in spite of being a 'leaner' media than the phone and face-to-face media the reason being the reduction in disruptiveness, typically linked with the possibility of interacting with the group at the most convenient time for them. In the same study, it was also shown that there was higher likely ambiguity in an e-mail discussion, in comparison with a face-to-face discussion: the reason being the lack of immediate feedback and the filtering of verbal cues inherent in the electronic medium. Group members seemed to have taken longer to provide their contributions to the group through e-mail. This suggests that members reflected more on their contributions, prior to posting them, than in typical face-to-face meetings (Lengel & Daft, 1988). It is said that in particular, managers, especially senior managers, used the E-mail medium more intensively (Markus, 1994).

<u>Instant messaging (IM)/(Chat).</u> Instant messaging is intended to be synchronous written communications, in the same way that telephone calls are synchronous voice communications. It allows the user to conduct multiple instant messaging sessions at one time and perform other tasks simultaneously (e.g., attend a meeting, talk on the telephone, compose an e-mail message, or browse a website). It allows for alternating, free-flowing, stream-of-consciousness communications involving two or more individuals simultaneously.

IM has many unique capabilities not available in other CSC applications. First, current IM applications provide near-synchronous one-to-one communication (Nardi, Whittaker, & Bradner, 2000), and near immediate confirmation of exchange messages, making the transaction almost like a telephone conversation, except that it is text based. Unlike telephone conversation, how ever, IM allows longer delays between exchanges, so

users do not need to give it their full attention. Thus, users can conduct other businesses simultaneously while using IM. Second, IM offers users the ability to instantly create a private chat room. IM also allows sharing of images, music files, or even streaming content such as stock quotes. Third, IM provides presence awareness by notifying users when their buddies are online or ready to chat. Sometimes, this presence awareness itself has value to users, even if no text messages are exchanged (Dourish & Bly, 1993), because with presence awareness, users perceived a kind of connection. This personal connection has been likened to having someone present in the same room, even if no conversation takes place.

IM is not as popular as other CSC. But, it is a promising tool for communication in organizations as it supports spontaneous and opportunistic communication. Such capabilities should make IM a valuable work tool, especially as connection of a home base to geographically dispersed teams becomes more important in global economy (Davis, 1989). In addition, the presence awareness and immediacy of IM are useful in filling some of the gaps in traditional business communication systems for connecting distant workers, telecommuters, and business partners. Multinational teams located on different continents desperately need a coordination tool that will allow them to conduct formal meetings and transfer documents, and allow them to respond to unanticipated events quickly. IM is ideal for spontaneous communications such as brief questions, clarifications, coordination, scheduling, and other tasks that require the rapid exchange of information. IM removes the need to negotiate availability before communication, which can also be very useful in encouraging communication and making more-efficient exchanges, because it promotes informal communication (Hersleb, Atkins, Boyer, Handel, & Finholt, 2002).

Many times, IM is preferred over telephone. Telephone does not provide continuous presence awareness or visibility. About sixty percent of workplace phone calls fail to reach their intended recipients, for various reasons. Callers may have to call back or leave messages on voice mail, wasting a great deal of time and other resources. With IM, callers know the intended message receiver is available before they send the message. Also, telephoning is more interruptive and intrusive than IM. It is difficult and rude to try to conduct a telephone conversation while meeting with other, but IM allows multitasking, so users can work on other tasks simultaneously while using it (Huang & Yen, 2003). IM is an ideal prioritizing device: the response to a message can be delayed if something else demands immediate attention unlike a phone call where one has to make the decision to take the call in a few seconds. IM is text-based, so users do not need to hurriedly scribble information onto paper, as do telephone users; the feature helps eliminate mistakes due to transcription errors. Moreover, unlike a telephone conversation the IM 'conversation' can be easily logged (recorded) for future reference or documenting the decision as well as the discussion that led to the decision. IM can be used for workplace socialization because it is a quiet way to exchange greetings when the office is crowded. Finally, IM has a very low setup cost and is very easy to use (Hersleb, Atkins, Boyer, Handel, & Finholt); however, IM is not well-suited for complex discussions or meetings where files and data need to be used, and it also has all the disadvantages of being a CSC system, including lack of cues.

Survey Research

A recent survey conducted by Sadananda and Humble (2004) indicates that respondents preferred face-to-face meetings whenever possible. In this study, over 100 participants were selected from engineering and technical positions in local manufacturing and related organizations. They were asked to indicate their assessment of the effectiveness of different modes of communication (face-to-face, email, instant messaging, teleconferencing, videoconferencing, and computer conferencing) for five different types of business meetings (brainstorming, business meeting, job interview, staff informational and training session). Preferences for different features of the communication media (anonymity, communication speed, feedback immediacy, multi-channel communication, perceived ideas, perceived information and data) were also assessed by the survey. The following table summarizes the research results.

Conclusions

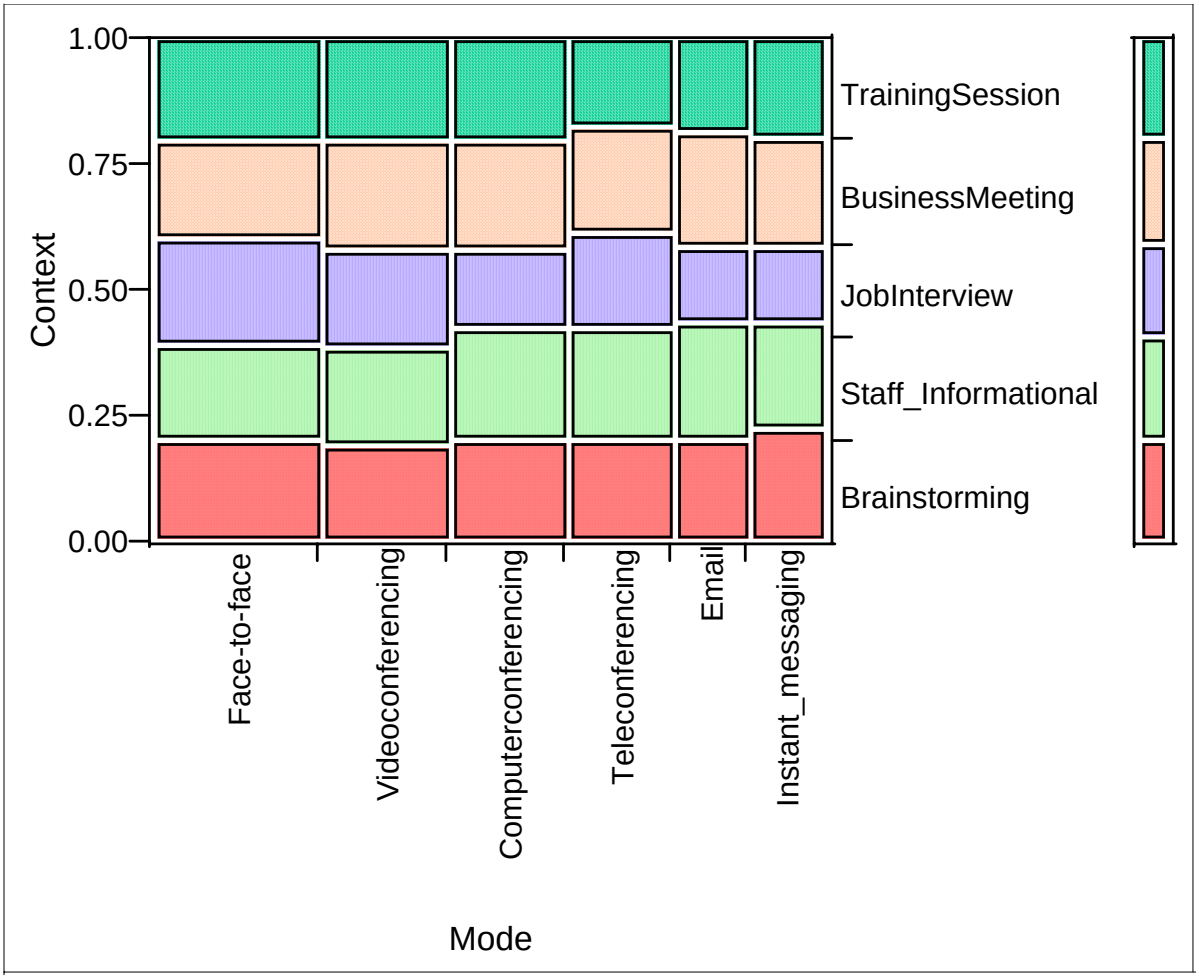
Based on the recent (2004) survey, the order of preference for the modes of communication is: first, face-to-face; second, video-conferencing; third, teleconferencing; fourth, email; and fifth, instant messaging. These results can be explained by Media Richness Theory, which recognizes the benefits of multiple modes of communication when gathering data in uncertain, new, or unknown areas.

Researchers have begun to focus on the question of how CSC affects various outcome variables such as group performance and member satisfaction. The research findings have been unequivocal in some studies, however, inconsistencies have been found by others. The literature review and recent survey of individuals making decisions using computer supported communication have provided insight into the best modes of CSC for various types of meetings. In general, face-to-face communication is preferred due to the richness of the communication provided. Substitution of email or instant messaging has been shown to be a weak alternative to face-to-face communication, and therefore, is not recommended for business meetings or delivery of educational services. However, videoconferencing, computer-conferencing, and teleconferencing may suffice if a face-to-face meeting is impossible or impractical.

Analysis of Context By Mode

Freq: Suitability

Mosaic Plot



Contingency Table: Mode By Context

Count	Brainstorming	Staff_Informational	JobInterview	BusinessMeeting	TrainingSession	TOTAL
Face-to-face	437	397	451	415	430	2130
Videoconferencing	313	318	318	346	332	1627
Computerconferencing	300	322	235	315	301	1473
Teleconferencing	271	288	251	278	233	1321
Email	197	228	145	226	181	977
Instant_messaging	208	190	137	201	180	916
TOTAL	1726	1743	1537	1781	1657	8444

Tests

Test	**ChiSquare**	**Prob>ChiSq**
Likelihood Ratio	51.750	0.0001
Pearson	51.358	0.0001

As the computed significance in Pearson ChiSq test is < 0.05, there is a relationship between meeting context and the mode of meeting.

Related Research

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Elements of Discontinuity Editing and Montage in William Faulkner's *Absalom, Absalom!*

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Abstract

In his article "*Absalom, Absalom*!: The Movie," Joseph Urgo touches on similarities between Sergei Eisenstein's ideas of film montage sequences and Mr. Compson's way of thinking in pictures in *Absalom, Absalom!*, but the similarities between film and this novel extend much further (62). *Absalom, Absalom!* juxtaposes narrations and stories in the same manner that the discontinuity editing styles of Sergei Eisenstein and Lev Kuleshov juxtapose shots. Eisenstein's theory of intellectual montage intended to direct the thought process of the viewer, rather than just direct emotions, by forcing the viewer to make intellectual decisions about the narrative based on the juxtaposition of two individual shots. Faulkner juxtaposes voices and viewpoints in the same manner, forcing the reader to make intellectual decisions about who is narrating, the personality of the narrator, and why the narrator is giving this individual account.

Stephen Ross discusses the importance of the relentless movement forward in *Absalom, Absalom!,* and finds through "the building up and piling on of words and images, a gathering of [forward] speed and momentum" (74). The novel is driven forward by this constant piling of voices and viewpoints in the same manner that film is driven forward by the constant piling of individual shots. These shots often have no individual meaning outside of the relationship the viewer gives them: "The dynamics of montage serve as impulses driving forward the total film…the juxtaposition of two shots by splicing them together resembles not so much the simple sum of one shot plus another – as it does a creation" (Reisz 39). *Absalom, Absalom!* seems to depend on the intellectual input and communication of the reader just as much as discontinuity editing depends on the viewer.

This paper does not intend to look at discontinuity editing, Soviet Montage, and Kuleshov effect as being direct influences on Faulkner's writing in *Absalom, Absalom*!, but rather to present similarities in content, effect, and viewer/reader communication and involvement that result from similarities in style of two separate mediums. As Gene Phillips puts it, "William Faulkner was very much aware of the intrinsic differences between fiction and film as two separate modes of artistic expression" (1). However, it is clear that Faulkner was influenced by film in general during this time. He was often quoted as using the ideas of cinema as metaphors for his writing: "Faulkner's use of cinema as a metaphor…is revealing, for it suggests a relationship between his self-consciousness about his literary experiment – his faltering, disjointed narrative structures – and his understanding of the apparatus of film" (Lurie 566). Whether Faulkner

intended for the prose of *Absalom, Absalom!* to reflect these editing styles is unknown, but one can assume he was clearly influenced by film in general, considering he gained familiarity with cinema working as a Hollywood screenwriter and watching silent movies as a child (566). This paper intends to present how in the same manner discontinuity editing and intellectual montage depend on the viewer to draw relationships and connections in the juxtaposition of two individual, often unrelated shots in order to form a narrative, Faulkner depends on the reader's ability to draw the same connections and relationships in his juxtapositions of voices in *Absalom, Absalom!*.

The style of discontinuity of editing began as Soviet Montage (1924-1930), and essentially worked under the theory where shot (A) could be the thesis, shot (B) the antithesis, and this synthesis (C) becomes an entirely new thesis (A'); or this synthesis (C) could link up to shot (Z) to create a whole new synthesis (Kawin 9). Directors of this style and era would combine stories, often having multiple stories occurring simultaneously. According to Kawin, "Faulkner used a simpler version of [this] montage in his novel *The Wild Palms* (where two stories are told in alternating chapters), and a variation…of montage in the opening sections of *The Sound and the Fury*" (8). Faulkner presents a slightly different montage effect in *Absalom, Absalom!* in his juxtaposition of images within one storyline, rather than just presenting multiple interwoven storylines. Alfred Hitchcock furthered the idea of Soviet Montage in 1960, when he directed *Psycho*, one of the most well known examples of discontinuity editing or montage. The infamous shower murder scene in *Psycho* juxtaposes shots of a screaming face, a showerhead, a knife, and bloody water, causing the viewer to infer a murder from these shots. Although inference would be less obvious, this idea can be directly applied to Faulkner's use of "editing" in *Absalom, Absalom!*.

Before diving into the novel as a whole, we see that the text itself reflects Faulkner's choice to place opposing words and phrases in direct contact with each other. This idea is established in the very beginning of the novel when the narrator is describing a scene between Rosa Coldfield and Quentin :

> Her voice would not cease, it would just vanish. There would be the dim coffin-smelling gloom sweet and oversweet with the twice-bloomed wistaria against the outer wall by the savage quiet September sun impacted distilled and hyperdistilled, into which came now and then the loud cloudy flutter of the sparrows like a flat limber stick whipped by an idle boy, and the rank smell of female old flesh, long embattled in virginity while the wan haggard face watched him above the faint triangle of lace at wrists and throat from the too tall chair in which she resembled a crucified child…(p. 4)

In this passage, Faulkner has placed the images "coffin-smelling gloom" beside "sweet wistaria," causing us possibly to imagine a situation where time has passed, given the layering of smells, with the sweetness of the wistaria almost taking over the coffin-smelling gloom. This is, of course, one of many possible interpretations of this imagery. The examples continue in this passage with "savage quiet," "impacted distilled," the images of "rank smell of female old flesh" and "virginity," and "crucified child." These opposing words and images might possibly cause each reader to infer a different meaning

from the passage, but the passage seems to offer a general sense of uneasiness and antiquity. Textually speaking, this use of thesis directly followed by antithesis not only causes the reader to feel pulled in opposing directions, but also forces the reader to derive meaning from these oppositions.

"Like any system, a film is more than the sum of its parts," and like film, this novel's meaning evolves out of this interrelation of parts through the connection divined by its audience when regarding the montage (Kawin 7). This idea not only applies to the intricate details of the text, but also is furthered conceptually by the novel as a whole. We are often slapped in the face with a group of images, sometimes seemingly unrelated except for the relationships we give them in our minds. This occurs in Mr. Compson's narration of Rosa:

> So for the first sixteen years of her life she lived in that grim tight little house with the father whom she hated without knowing it…that man who was later to nail himself in his attic and starve to death rather than look upon his native land in the throes of repelling an invading army – and the aunt who even ten years later was still taking revenge for the fiasco of Ellen's wedding by striking at the town, the human race, through any and all of its creatures…who had taught Miss Rosa to look upon her sister as a woman who had vanished not only out of the family and the house but out of life too, into an edifice like Bluebeard's and there transmogrified into a mask looking back with passive and hopeless grief upon the irrevocable world, held there not in durance but in a kind of jeering suspension by a man (his face the same which Mr Coldfield now saw and had seen since that day when, with his future son-in-law for ostensible yokemate but actually whip, Mr Coldfield's conscience had set the brakes and, surrendering even his share of the cargo…(p. 47)

Visually, we are faced with piecing together Rosa's personality and character through the images of a father who nails himself in an attic, a war, an aunt taking revenge over a wedding, a vanished sister, and some type of failed cargo deal between her father and brother-in-law. If this passage had been portrayed literally through film, the viewer would have merely been given these five images in a series, with the image of Rosa book-ending the series. So what might a reader infer about Rosa from these images and their placement? Three of the five images involve characters abandoning Rosa in some manner. The images also tell a story of a girl possibly overshadowed by the events and people existing around her, causing one to infer she might harbor feelings of loneliness and inadequacy. This example supports Eisenstein's theory where he "emphasized that the elements of a montage ought not to build on each other but to collide, and that this process was essentially dialectical" (Kawin 8). These images of Rosa's life are colliding with each other, causing either curiosity or utter confusion. We are forced to "work it out" (the story) for ourselves through a dialectical process of thesis, antithesis, and synthesis. The previous passage involved Ellen's wedding and Ellen's vanishing, her father's cargo deals and his suicide in combination with a war in which he obviously wasn't participating, and an Aunt who is involved with a wedding yet described as a snake. All supporting the thesis/antithesis/synthesis method of discovery.

The novel provides several examples of the dialectical process of working out the story, because the montage style is found throughout the novel. We are faced with several very important images in the following paragraph, but only given the images themselves. The stories lie in the connections between the images. For example,

> …in the summer when Judith was seventeen, stopping in on their way overland to Memphis to buy Judith clothes; yes: trousseau. That was the summer following Henry's first year at the University, after he had brought Charles Bon home with him for Christmas and then again to spend a week or so of the summer vacation before Bon rode on to the River to take the steamboat home to New Orleans; the summer in which Sutpen himself went away, on business, Ellen said, told, doubtless unaware, such was her existence then, that she did not know where her husband had gone and not even conscious that she was not curious, and no one but your grandfather and perhaps Clytie ever to know that Sutpen had gone to New Orleans too. (p. 55)

Again, a series of images exist, but rather than being presented with a montage of opposing images, we find a montage of stories seemingly colliding with one another. We see Judith buying a trousseau in obvious preparation of marriage (but to whom?); Henry attending college (but where?) apparently with a friend, Charles Bon; Sutpen leaving home with no word as to where; and finding out Clytie might be the only one to know (why would Clytie know?) that Sutpen has gone to the same town as Charles Bon's hometown (what is his connection, if any, with Charles?). In film, directors of montage filmmaking did not necessarily desire for all viewers to infer the same meanings in the juxtaposition of images. For example, one might infer from this passage that Charles Bon has told Sutpen of a good place in New Orleans in which to buy Judith's wedding present, and Clytie was told to make sure Judith and Ellen were not aware of it so as to not spoil the surprise; these would be perfectly acceptable connections and inferences under the Soviet Montage ideology, while these outcomes are not what Faulkner intended to convey. Faulkner frequently achieves these individual inferences and connections often desired in film in sections of *Absalom, Absalom!* through the reader's process of working out the story.

In Chapter 5, when Rosa narrates, we are taken through images as if traveling through someone's dream, weaving in and out of fast-changing images and gaining momentum; we attempt to find connections in the material, while keeping up with what has been presented:

> 'Don't you go up there, Rosa.' That was how she said it: that quiet, that still, and again it was as though it had not been she who spoke but the house itself that said the words – the house which he had built, which some suppuration of himself had created about him as the sweat of his body might have created, produced some (even if invisible) cocoon-like and complimentary shell in which Ellen had had to live and die a stranger, in which Henry and Judith would have to be victims and prisoners, or die. Because it was not the name, the word, the fact that she had called me Rosa. As children she had called me that, just as she had called them Henry and Judith; I knew that even now she still called Judith by her given name.

> And she might very naturally have called me Rosa still, since to everyone else whom I knew I was still a child…outrage at that black arresting and untimorous hand on my white woman's flesh. Because there is something in the touch of flesh with flesh which abrogates, cuts sharp and straight across the devious intricate channels of decorous ordering…(p. 111)

We are forced to flip-flop between past and present, because we are reading as Rosa remembers. The images transform from Clytie's voice in the present, to the house, to Sutpen, Ellen, Henry and Judith in the past, to the name "Rosa" in the present, to childhood memories of Henry and Judith's names of the past, and to the imagery of flesh in the present. Faulkner implies that the past has influenced the present, and he shows how the present is forcing Rosa to remember the past, thus influencing the past through remembering.

According to Bruce Kawin, there are five basic forms of montage: "the oxymoron, dynamic unresolution, parallel plotting, rapid shifts in time and space, and multiple narration", and *Absalom, Absalom!* employs the oxymoron form frequently, that of juxtaposing opposing terms (113). Kawin goes on to say that these contradictory terms allow Faulkner to "carry on a dialectical montage within the sentence, and is often his way of evoking – through a state of contradiction – that kind of synthesis-term whose equivalent Eisentstein called 'graphically undepictable'" (113). This paper finds that each of these montage forms is present in *Absalom, Absalom!*. Examples of oxymoron, parallel plotting, and shifts in time and space have been given. Multiple narration is fairly obvious in the novel as we are forced to figure out who is narrating, usually between Rosa, Quentin, Mr. Compson, and Shreve. We will often recognize a character's story, previously told by that character, in another character's narration, as in Rosa's narration:

> Once there was – Do you mark how the wistaria, sun-impacted on this wall here, distills and penetrates this room as though (light-unimpeded) by secret and attritive progress from mote to mote of obscurity's myriad components? (p. 115)

This is a selection from Rosa's memory, but one will notice how this narration reflects the previously cited narration in the beginning of the novel: "…wistaria against the outer wall by the savage quiet September sun impacted distilled and hyperdistilled" (4). So not only does the novel switch back and forth between narrators, but it also presents narrations simultaneously, by referring to other accounts within a separate retelling. This adds a layering effect to the montage principle, rather than create just a collision of images.

Another example of this layering effect occurs in Rosa's description of events, and then Quentin's description of Rosa's description. It is obvious the two characters pay attention to completely different details, thus presenting different renditions of the same event. This is obviously intentional on Faulkner's part, according to Bruce Kawin: "Montage in Faulkner's work is not something added after the fact, not the product of rearrangement, but integral to each fragment" (114). One example occurs with Rosa and then Quentin:

[Rosa]…knowing nothing, able to learn nothing save this: a shot heard, faint and far away and even direction and source indeterminate, by two women, two young women alone in a rotting house where no man's footstep had sounded in two years – a shot, then an interval of aghast surmise above the cloth and needles which engaged them, then feet, in the hall and then on the stairs, running, hurrying, the feet of a man: and Judith with just time to snatch up the unfinished dress and hold it before her as the door burst open upon her brother, the wild murderer whom she had not seen in four years and whom she believed to be…a thousand miles away; and then the two of them, the two accursed children on whom the first blow of their devil's heritage had but that moment fallen, looking at one another across the up-raised and unfinished wedding dress. (p. 108)

[Quentin]…that door, the running feet on the stairs beyond it almost a continuation of the faint shot, the two women, the negress and the white girl in her underthings…pausing, looking at the door, the yellowed creamy mass of old intricate satin and lace spread carefully on the bed and then caught swiftly up by the white girl and held before her as the door crashed in and the brother stood there, hatless, with his shaggy bayonet-trimmed hair, his gaunt worn unshaven face, his patched and faded gray tunic, the pistol still hanging against his flank: the two of them, brother and sister, curiously alike as if the difference in sex had merely sharpened the common blood to a terrific, an almost unbearable similarity, speaking to one another in short brief staccato sentences like slaps…
(p. 139)

Quentin's account distinguishes between the women by their race, while Rosa's account does not. It is also clear Quentin had imagined Henry in this way, and was, thus, giving a much more detailed account of Henry's appearance than Rosa's original description. These details might have come from either his imagination or from his father, but, nonetheless, it is clear Quentin is interested in different aspects of Rosa's account. Quentin tends to focus on what they were wearing and the details of the fabric, rather than the character's actions and, more importantly, emotions. This example employs both the multiple narration and the shifts in space and time forms of montage.

The narration seems to take on different speeds due to the use of montage. When the narration is evolving out of a character's thoughts, the images pile on top of one another and collide, much as they do in one's imagination. One might often feel he/she is on a roller coaster. But when the narration switches to a moment where Quentin and Shreve are communicating or narrating in the present, Faulkner slows down the changing of images thus slowing the actual narration. At one point, Shreve's talking propels Quentin into a series of thoughts that produces an acceleration of words and images:

[Shreve]…running his little crossroads store with a stock of plowshares and hame strings and calico and kerosene and cheap beads and ribbons and a clientele of freed niggers and (what is it? The word? White what? – Yes, trash)

[Quentin]…that of the show girl, the pony, who realizes that the principal tune she prances to comes not from horn and fiddle and drum but from a clock and a calendar, must have seen himself as the old wornout cannon which

with Jones for clerk and who knows maybe what delusions of making money out of the store to rebuild the plantation; who had escaped twice now, got himself into it and been freed by the Creditor who set his children to destroying one another before he had posterity, and he decided that maybe he was wrong in being unfree and so got out of it again – and then turned right around and bought his way back into it with beads and calico and striped candy out of his own showcase and off his shelves?

realizes that it can deliver just one more fierce shot and crumble to dust on its own furious blast and recoil, who looked about upon the scene which was still within his scope and compass and saw son gone, vanished, more insuperable to him now than if the son were dead since now (if the son still lived) his name would be different and those to call him by it strangers and whatever dragon's outcropping of Sutpen blood the son might sow on the body of whatever strange woman would therefore carry on the tradition…(p. 148)

These passages again present two separate narrations, but Quentin's account seems accelerated because it exists in his thoughts, and through montage the narration reflects thoughts in the manner they happen. As opposed to Shreve's chronological account focused on Wash Jones, Quentin reflects images of a showgirl, pony, horn and fiddle and drum, clock and calendar, wornout cannon, and dragon references to Sutpen. It would be very difficult to literally portray these thoughts through film, reiterating Eisenstein's idea of a "graphically undepictable" passage. Quentin tends to get stuck in his thoughts on certain elements of the story, while Shreve is trying to further the story and force other images into the narration. One could call such portions of the novel battles of the montage.

The final montage form Kawin talks about is dynamic unresolution, and *Absalom, Absalom!* is clearly riddled with examples of it. The very ending of the novel, where Quentin claims he doesn't hate the south, is one example, considering we are left questioning exactly what this ending means. According to Kawin, this ending is precisely the "simultaneous X and not-X of unresolution" (112). We never truly know what conversations existed between Henry and his father, Sutpen. This indeterminacy, of course, makes the situation between Henry and Charles Bon somewhat unresolved, and we are left to speculate why Henry and Bon behaved in certain ways and the nature of Sutpen's role in their action. Similarly, we are never made aware of the initial relationship between Sutpen, Ellen, and Rosa's father, due to never knowing Sutpen's business, which would have given clues as to the nature of their relationships with each other.

When discussing the idea of montage in film, the movie *Intolerance* (Griffith, 1919) is often discussed as a primary example, because of its progressive use of four simultaneous stories. The parallel plotting and multiple narration that exists in *Absalom, Absalom!* seems secondary to the element of montage that involves a collision of images. Faulkner has so clearly caused such juxtapositions to occur on a textual and a conceptual level in this novel. According to Gene Phillips, Faulkner himself was quoted as saying: "You can't say the same thing with a moving picture as you can with a book…any more than you can express with paint what you can with plaster. The mediums are different" (1). Phillips goes further to claim a novel actually resists translation to the screen. Those

subscribing to the Soviet Montage ideology would probably disagree. Although Eisenstein himself coined the term "graphically undepictable", on the contrary, Faulkner's fiction is cinematically depictable; and while it would be difficult to depict something like "savage quiet" or "impacted distilled", it remains possible to aim a camera at mote-filled sunlight in an old-fashioned parlor. Whether Faulkner was directly influenced by Soviet Montage and discontinuity editing or not, his fiction was clearly doing something that paralleled two very important developments in cinema.

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TITLE PAGE HAWAII ARTS AND HUMANITIES CONFERENCE

1. Airing Private Undesirables in Public

2. Architecture and Visual Arts

3. Paper Session

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Airing Private Undesirables in Public

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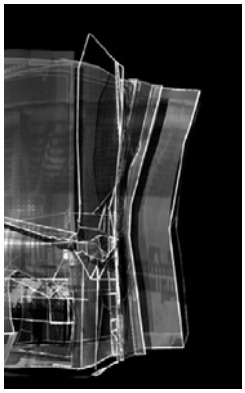
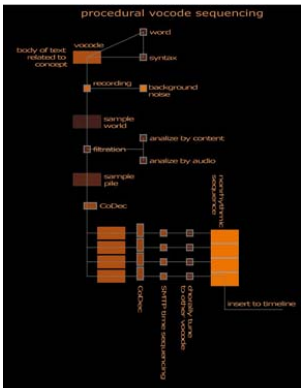
The perception of any context is always partial, an always-incomplete set revealing the idealized field within which the designer works. To ignore or accept a specific set defines a specific utopian field of discourse. Digital methods of generating form/space are able to incorporate information different from the customary influences of site. Referencing different data empowers the designer to directly be able to influence or base work on more ephemeral forces of the context.

The customary [tabular] relationship of context to construct, within architecture, denies rich site forces. The richness of any context, or subtext, is far greater than information convertible to table or graph. A photograph lends a much deeper data set, documenting detail, region, block, light, human passage, and horizon. Through juxtaposition and serial documentation, images begin to form a new construct, or index. The construct of images is still partial, and as such, is as partial and idealized as any customary site documentation [topography / bus schedule]. In terms of conveying spatial, emotional, and cultural properties, the photograph, may be richer than any customary site documentation.

This project poses a method of using a constructed photograph to directly coax a spatial construct from representations of context, thereby facilitating a contextual [though compartmentalized] index of site. This paper is concerned with the potential for projection of private spaces into the public through a transformation and amplification of uncustomary and often considered inconsequential site forces. These small forces are termed the "contextual undesirables" forming a psychological topology. The final product of this work in progress is five constructed spatial manipulations installed in a public forum. The constructs include drawings by hand and machine, three-dimensional forms by hand and machine, sound and the moving narrative image.





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Recontextualizing Gavin Bryars's *Jesus' Blood never failed me yet*

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In 1993, Point Music, the “experimental” division of PolyGram Records, released a CD entitled *Jesus’ Blood never failed me yet*. It is a rather unusual album, and it contains only one work: a 75-minute composition by British composer Gavin Bryars, a piece that he originally conceived in 1971. This work begins extremely quietly. At first, I hear only very faint fragments of some sort of song, sung by a man whom I imagine to be very far away. As the volume gradually rises, a few details emerge. First, I realize that the singer is simply repeating a 25-second melody over and over again. Second, I begin to assume, given the somewhat scratchy, gravelly and undistinguished voice, that the singer is an “ordinary” old man. At the very least, the singer is not a trained performer. Third, I am able to pick out some of the words that the old man is singing, and I therefore recognize that the song contains some sort of Christian message. About three minutes into the recording, a rich and ambient orchestral accompaniment enters softly, giving warmth to the raspy voice of the old man. Soon afterwards, I begin to wonder what the next major event is going to be. In the next ten minutes, I hear some subtle changes in the orchestration of the accompaniment, but there are no major developments. I am ready to push stop on my remote control, but something stops me. Another ten minutes pass by, and I now realize that nothing major is going to happen. Yet, I keep listening. I listen to all 75 minutes: not once, but several times.

Four years have passed since my first encounter with *Jesus’ Blood*, and there is still something about this piece that I find at once intriguing and mesmerizing. There is something comforting about the orchestral sounds that “wash over” me when I listen to the work. And yes, I say this despite the fact that I am quite uncomfortable with a central aspect (which I will discuss later) of *Jesus’ Blood*.

Obviously, not everyone shares my aesthetic assessment of Gavin Bryars’s *Jesus’ Blood never failed me yet.* When CBC (Canadian Broadcasting Corporation) Radio 2 played

this work on the air in 1998, many listeners wrote in to express their disgust. The following are some of my favorite e-mails that the CBC received:

> From Andrea Mein: "I'm ready to tear the radio off the wall. Have you gone crazy? Turn it off!!! This is terrible. I thought some aliens had invaded the airwaves. I can't stand it. Please!!!!! This is torture."
> From Cindy: "It is a monotonous, grating, nonsensical, irritating, unimaginative piece of pseudo-music with all the audio charm of a dentist's drill."
> From Michel Dumont: "This repetitive piece that has been playing forever is both boring and insulting. Do that again and I'll never listen to *Take Five* ever again. Do you call that "music"? "art"? or what?
> From an anonymous listener: "Did somebody die in the control room Thursday? I hate to think that anybody would have inflicted something like whatever that was on purpose. It is still going on, and on, and on. If anybody does read this, could they please check to make sure there isn't a medical emergency. BUT FOR GOD'S SAKE DO SOMETHING!!!!!!!!!!!"
> From Bill Musselwhite: "It reminded me of a very bad production of *Waiting for Godot*!"[1]

At the same time, I know that I am not the only one who is deeply moved by this work. About 20 percent of those who wrote the CBC that day enjoyed Bryars's work. Critics have also called *Jesus' Blood* a "masterwork," and the Point Music release "the album of the 90s."[2] Perhaps most importantly, *Jesus' Blood* was and continues to be—by "Classical" music standards—a huge hit; according to the Wall Street Journal's Greg Sandow, the two recordings of this work have sold about 200,000 copies by 1998.[3]

Looking back, it appears that the paratext of the Point Music CD might have played a large role in my initial reaction to and in the commercial success of *Jesus' Blood*. In his liner notes, Bryars promotes the notion that *Jesus' Blood* is a sincere tribute to the great old man whose voice pervades the work (and incidentally who died before he heard Bryars's piece). Near the beginning of his short essay, Bryars discusses the effect that the old man—through only his singing—had on him and others:

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[1] All five quotations and many other reactions to CBC's airing of *Jesus' Blood never failed me yet* (both positive and negative) were posted at http://www.radio.cbc.ca/programs/takefive/jesus.html. Unfortunately, this webpage was removed during the past year.
[2] Cowan 1993, Paragraph 2 and "Record Highs" 1999, Dave McElfresh section.
[3] Sandow 1998, Paragraph 8.

> When I copied the loop [of the old man's singing] onto the continuous reel in Leicester, I left the door of the recording studio open…while I went downstairs to get a cup of coffee. When I came back I found the normally lively room unnaturally subdued. People were moving about much more slowly than usual, and a few were sitting alone, quietly weeping. I was puzzled until I realized that the tape was still playing and that they had been overcome by the old man's unaccompanied singing.[4]

Later, Bryars reveals the meaning of his piece:

> The piece remains as a restrained testament to his [the old man's] spirit and optimism…for me there is great poignancy in his voice and, though I do not share the simple optimism of his faith, I am still touched by the memory of my first encounter with what Grainger would call the "human-ness" of his voice, and through this piece I try to give it new life.[5]

The covers of the CD booklet seem to complement perfectly the sentiments he expresses in the liner notes. Specifically, the front cover contains a slightly overexposed photo of Bryars dressed in black with a silhouette of the score on his face. A peculiar feature of this photo is the highlighting of the word "failed" below his right eye. For me, this seems to imply that the composer is telling his audience that, although he tried his best, his piece is in the end an inadequate tribute to this old man. On the back of the CD booklet, we find a brown monochrome photo of Bryars. With his wrinkles clearly shown, Bryars appears to be at least ten years older—a difference that is accentuated by the fact that the picture is monochrome brown (a color which is reminiscent of really old photographs and movies). In the end, I can't help thinking that this monochrome picture is intended to portray not Bryars the composer, but rather the old man. To put it more bluntly, the covers of the CD booklet seem to create the illusion that Bryars is in fact two people: on the back, he is standing in for the old man whose life we are celebrating (since as far as I know Bryars does not have a picture of the actual old man who sang the song); on the front, he is the composer who wrote the poignant tribute.

Although I do not really doubt the sincerity of Point CD's paratext (that is, I believe that in 1993 Bryars thought of his work as a tribute to the old man), I do wonder why the 1993

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[4] Bryars 1993, p. 1.
[5] Bryars 1993, p. 3.

presentation of *Jesus' Blood* contrasts so greatly with the emotionally neutral statements that Bryars made about this work in the 1970s. Were Bryars's 1993 liner notes influenced by marketing decisions? Did he simply become more open about revealing the thoughts behind his work? Have Bryars's views of *Jesus' Blood* changed over the past three decades?

In this case study, I will try to answer the above questions by placing—or "replacing"—*Jesus' Blood* in the context of the British Experimental Music scene of the early 1970s. Through this process, I hope to gain a better understanding of Bryars's initial thoughts about *Jesus' Blood* and its early reception, and also of the work's relation to the legacies of Duchamp, Satie, and the New Sensibility of the 1960s. At the end, I will discuss Bryars's new emphasis on expression and the ethical issues raised by *Jesus' Blood*.

The Genesis of *Jesus' Blood*

Gavin Bryars (b. 1943) was exposed to a wide variety of music from an early age. As a teenager, he played jazz, wrote a piece in the style of Ravel, and was exposed to the music of Cage through, "oddly enough," a grammar-school teacher.[6] While he was an undergraduate philosophy student at Sheffield University, he began his professional music career as a jazz bassist, and spent most of his earnings buying scores, books and records of works by Cage, Feldman, Wolff, Stockhausen and Messiaen. In the mid-1960's, he, along with fellow Yorkshire jazz musicians Derek Bailey and Tony Oxley, formed a trio that experimented with free improvisation. Bryars, however, quickly became disillusioned with improvisation for two reasons. First, he saw little potential for originality, growth or variety in improvisation. Specifically, he felt that improvisers inevitably develop a bag of tricks that they repeat over and over again. He states, "I was only bringing to improvisation what I already knew beforehand, and it was just coming out in different permutations. I felt that this wasn't only my problem but

[6] Griffiths 1985, p. 150.

that it was a limitation in improvisation itself."[7] Second, Bryars was, in the mid 1960s, becoming increasingly interested in ideas which, for him, were incompatible with the art of improvisation. In an interview with Derek Bailey in 1966, he discusses his growing fascination with conceptual works and with creative distance:

> One of the main reasons I am against improvisation now is that in any improvising position the person creating the music is identified with the music. The two things are seen to be synonymous…. It's like standing a painter next to his picture so that every time you see the painting you see the painter as well and you can't see it without him. And because of that in the music, in improvisation, doesn't stand alone. It's corporeal. My position, through the study of Zen and Cage is to stand apart from one's creation. They are conceptions…. I'm more interested in conception than reality.[8]

In 1967, Bryars, who had given up improvisation for approximately a year, received an invitation from American dancer Powell Shepherd to go to the University of Illinois to rehearse some dance pieces that the composer had scored. When he arrived in Illinois, Bryars discovered not only an active new music scene, but more importantly the presence of John Cage—who was there to work with Lejaren Hiller on *HPSCHD*. In the end, Bryars stayed for six extremely fruitful months.

When he returned to England in 1968, he entered his most prolific four-year period as a composer. During those years, which might be called Bryars's "conceptual" or "experimental" phase, the composer wrote a large number of pieces that are based upon concepts or systems. At the time, he repeatedly stated that he was usually more interested in the conceptions behind his works than in their aural effects. With regards to *The Sinking of the Titanic* (1969), which remains one of Bryars's most famous compositions, the composer remarks:

> *The Sinking of the Titanic* was an attempt to consider what sort of music might be "conceptual", in the way that some art of that time was termed "conceptual". I tend to view performance of that piece as not absolutely essential: what interested me most was the whole network of things capable of becoming compositional material.[9]

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[7] Griffiths 1985, p. 150.
[8] Potter 1981, p.6.
[9] Griffiths 1985, p. 153. For an extended discussion of *The Sinking of the Titanic*, see Potter 1981, pp. 7-10.

Bryars's "conceptual" phase ended in 1972—a "crisis" year for almost all British "Experimental" composers. While Cardew and the Scratch Orchestra took a political turn and began renouncing bourgeois "experimental" music, Bryars fell silent. In an interview with Paul Griffiths, he states, "Composing didn't seem to be the activity I should be doing at that time. Until 1972 I was working in an artistic climate in which many things were being produced, and then that stopped."[10] Bryars spent much of the next two years studying art history (especially Duchamp) and the works of a number of rather eccentric writers and composers (e.g., Percy Grainger, Lord Berners, Henri Russeau, Raymond Roussel), but he returned to composition in 1975.[11]

Jesus' Blood was one of the last pieces of Bryars's "conceptual" period. Its genesis began in 1970 or 1971, when Bryars's friend Alan Power was making a film about tramps in London. Power made a number of tape recordings, and he asked for Bryars's help in mixing them. After Power finished his project, he gave all his unused tapes to Bryars. One of these contained the voice of a religious tramp who talked at great length about his belief and who broke into a song called *Jesus' Blood never failed me yet*. Bryars experimented with this tape, and he made two discoveries. First, he realized that, since the tramp's singing was generally in tune, he could use it as the basis of a composition. Second, being at the time very interested in the effects of repetition, he found that he could make a fairly effective loop from the tramp's singing. In the liner notes of the 1975 recording of *Jesus' Blood*, Bryars writes:

> The tramp's singing was in tune, more or less, within his own singing and with my piano—far more than any of the other songs [sung by other tramps]. He was not alcoholic, unlike all the other singers, and was very religious and talked at great length about his beliefs. I made a tape loop from part of his singing, a loop which

[10] Griffiths 1985, p. 155.
[11] Discussion of Bryars's "post-crisis" works—which are much less conceptual in nature—is beyond the scope of this paper. For more on Bryars's output of the late 1970s and 1980s, see the articles by Potter 1981, Thomson 1989 and Bernas 1987.

> resolved sufficiently for it to begin again without jarring, and this was transferred on to a full reel of tape, the duration being limited by the length of tape.[12]

These 1975 statements reveal that, at the time, Bryars did take some interest in the identity of the tramp whose singing he was using; he points out that this particular tramp, being religious and sober, was different from most tramps. At the same time, it is clear that—in great contrast to the highly sentimental 1993 liner notes quoted above—the Bryars of the 1970s was much more concerned with the musical quality of the tramp's singing and his own composition than with the plight of the tramp.

In the end, Bryars decided to make a piece that consists of numerous repetitions of the tape loop and a simple chordal accompaniment that is played by a live ensemble. The first version of *Jesus' Blood* was recorded in September 1971, and was used as a soundtrack for an abstract 16mm film by Steve Dwoskin, in which "an old man, filmed at very high speed, walks slowly towards the camera."[13] Over the next three years, Bryars performed *Jesus' Blood*, often without the film, in London, Brussels, Oakland and Ghent in a variety of arrangements. Finally, in 1974, Bryars wrote down the "definitive" score; in June 1975, this score was published in volume nine of the "Experimental Music" journal *Soundings*.

Analysis I: A Look at the Score

Although the 1974 score was arrived at after a number of performances, it resembles his other "conceptual" scores in that it does not provide very precise instructions. Specifically, the score is concerned mainly with the concept of the work: the gradual, subtle and "undramatic" addition of a live accompaniment to repetitions of the tramp's song on tape. Thus, most of the first page of the score contains instructions that tell the performers how to build the accompaniment as smoothly and as unobtrusively as possible. For example, he writes, "one by one, groups are added smoothly, fading into the performance—this may be done by

[12] Bryars 1975a, p. 1.
[13] Bryars 1975a, p. 1.

microphones or by close control of the instrument," "the entries should be evenly spaced throughout the performance," and "performance should be undramatic, subdued, without pomp or show."[14] As to specific details, Bryars leaves the performers with a number of options. He gives performers some freedom in terms of instrumentation: "reasonable substitutions may be made which maintain an overall balance." He also permits performers to extend the duration of the work: "the solo voice tape lasts approximately 30 minutes (though longer versions may be made)." Finally, he lets the performers decide upon the order of entry: "the [instrumental] groups may enter in any pre-arranged sequence."[15] This freedom allowed performers to create radically different versions of *Jesus' Blood*. Bryars himself has recorded two versions: a rather straight-forward and crude 25-minute version that was originally released in 1975 on Brian Eno's Obscure Label, and the much more refined and expressive 75-minute version released by Point Music in 1993. A much more colorful but to me less successful version was recently created by the New York-based new music group Bang on a Can.

Analysis II: *Jesus' Blood* and Marcel Duchamp

Although the score gives fairly clear indications that *Jesus' Blood* is in essence a conceptual work, it does not tell us much about Bryars's initial thoughts about the piece. To broach this issue, we turn once again to his 1993 liner notes. There, he writes:

> For some time, I had had the idea of making a piece of music which repeated in a gradually incremental way but which had something of the emotional tone of the late 1950s American war films. I had in mind in particular, the end of a film called, I think, *The Sands of Iwo Jima* where, approaching the closing credits, we hear the distant sound of the Mormon Tabernacle Choir humming *John Brown's Body Lies a-mouldering in the Grave* as the faces of the dead heroes appear superimposed on the clouds above the desert.[16] For me at the time, this idea related to both Pop Art and Minimal Art: a kind of non-abstract repetition but with

[14] Bryars 1975b, first page of score (unpaginated journal).
[15] Bryars 1975b, first page of score (unpaginated journal).
[16] Bryars seems to have misremembered the title of the film. *The Sands of Iwo Jima* ends with the Marine hymn "From the Halls of Montezuma." Although there are shots of clouds in the last moments of this film, there are no faces of dead heroes superimposed on these shots. I have yet to locate the film he describes.

> emotional overtones. However, I soon found that *Jesus' Blood never failed me yet* was far too complex and rich a resource for such a simple idea…. I had already thought about a gradually added orchestral accompaniment and I realized that this needed to be simple, to gradually evolve, yet at the same time respect the tramp's humanity and simple faith.[17]

From these statements, one might conclude that one of the main goals of *Jesus' Blood* is to discover a new way to be expressive. After all, Bryars says that the original conception involves translating the emotional tone of a certain film genre into music, that his goal was to create a kind of pop art or minimal art "but with emotional overtones," and that he was concerned about respecting what the tramp believed in.

When one listens to the 1975 recording, however, one begins to doubt Bryars's statement. Specifically, there appears to be little desire to respect the old man in that recording. The orchestra, which Bryars himself conducted, seems at first to be sympathetic to the tramp. It comes in gently, though perhaps somewhat clumsily and less expressively in comparison to the orchestra in the 1993 recording. As the performance proceeds, however, the orchestra gets more and more aggressive. In particular, some of the entries at the beginning of each repetition of the song are rather assertive. During the last ten minutes of the recording, the orchestra gets so loud that it overwhelms and engulfs the tramp. The brass entrances at the beginning of the last phrase of the song are especially harsh; some of them sound like they are in fact attacks on the old man. I feel that, in the 1975 recording, Bryars, rather than respecting the tramp's faith, is actually (or at least partially) ironizing the old man's supposedly naïve beliefs. In the end, I can't help feeling that there is a strong revisionist quality to Bryars's 1993 comments, and that we must look elsewhere to discover the original thoughts behind *Jesus' Blood*.

In what follows, I argue that *Jesus' Blood* was, at the time Bryars composed it, not mainly about expression or the plight of the tramp. Rather, it was largely a part of his goal of doing "the equivalent in music of putting a lavatory seat on the wall in art."[18] By this, I do not

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[17] Bryars 1993, p. 1.
[18] Potter 1973, p. 68.

mean that all of Bryars's "conceptual" works are directly related to specific works by Duchamp (although a few bear close resemblances). Rather, I am arguing that—just as many of Duchamp's works ask us to rethink what an art object is—much of Bryars's artistic activities from his "conceptual period" (1968-72) make us reconsider our assumptions about the nature of music.

It is unclear when Bryars first got to know the work of Marcel Duchamp (1887-1968). Although he did not undertake an intensive study of this artist until the early 1970s, it is clear that, by the late 1960s, Bryars was quite familiar with Duchamp's works and the influence that these works were having on artists who made their mark in the 1960s. After all, he was at the University of Illinois with Cage in 1968—the year Cage played the famous chess match with Ducahmp in Toronto. He also taught for a year and two terms at an art school in Portsmouth in 1969-70, a time when the Duchamp legacy was a hot topic for artists.

The Bryars work that is most closely associated with Duchamp is undoubtedly *The Sinking of the Titanic*. Originally conceived in 1969, this work is, as Bryars says, "an attempt to consider what sort of music might be 'conceptual.'"[19] The score of this work is simply a document that contains everything Bryars knows about the sinking of the Titanic. These include statistical data on the ship, theories and speculations surrounding the sinking, interesting tidbits that are related to the Titanic in some way, and information about previous performances of this work. There are no explicit instructions that tell us how a performance should be put together. Bryars himself has made drastically different versions of the work. A famous performance centers around the tune *Autumn*, which is likely the last piece played on the ship. Another famous performance is based upon Morgan Robertson's novel *Futility*, which foreshadowed the disaster 15 years before it happened.

The Sinking of the Titanic is a part of the Duchamp legacy in two important ways. First, one of Duchamp's major critiques of Western art is its focus on the visual/perceptual aspect of

[19] Griffiths 1985, p. 153.

art and its concomitant neglect of the conceptual side of art. For Bryars, this piece is without question a conceptual piece; he even feels that performance of the work (in other words, its sonorous/perceptual aspect) is not essential. Second, *The Sinking of the Titanic* is "Duchampian" in that it presents a document as a work of art. So, just as Duchamp presented *The Green Box* and *The White Box*—which contain notes, drawings and photographs for *The Bride Stripped Bare by her Bachelors, Even*—as artworks, Bryars is here presenting a document that can be used as the score of a musical piece as an artwork in itself.

Another Bryars project that is rather "Duchampian" is the Portsmouth Sinfonia. This orchestra, which Bryars founded in 1970, has a unique audition policy. To join this orchestra, one simply needed the will to play and the commitment to take the activities of the orchestra seriously (that is, to try to do one's best at all rehearsals and concerts); there were no skill requirements. This group's repertory consisted of the most famous sections of orchestral masterpieces such as Rossini's *William Tell Overture* and Beethoven's Fifth Symphony, and it frequently played in traditional concert venues, such as Queen Elizabeth Hall on the South Bank and Royal Albert Hall. Although performances by the Portsmouth Sinfonia undoubtedly produced more comedy than Duchamp's *Fountain*, the two—when taken seriously—share a similar agenda; both ask audiences to reexamine traditional assumptions about art. By presenting a urinal as a traditional art object in a traditional art gallery, Duchamp contested the notion of autonomous art by asserting that a mass-produced everyday object can be a work of art. By arguing that an "aesthetically indifferent" object can be a work of art, he also sought to demythologize romantic notions of the expressive artist-genius. In a similar way, the Portsmouth Sinfonia critiques the idea of autonomous art by presenting only the most famous sections of masterpieces—that is, the excerpts that have acquired various "extramusical" connotations through their appearances in cartoons, commercials, and film. At the same time, the ensemble questions idealized images of the artist by presenting performances that involve plenty of effort but unpredictable results.

Jesus' Blood can be seen as a part of the "Duchamp" legacy in two ways. First, it is an assisted "readymade" not unlike Duchamp's L.H.O.O.Q. (1919).[20] Second, *Jesus' Blood* is—like much of Duchamp's works—a reaction against the institutionalization of modernism. Duchamp's *Fountain* was submitted to the New York Society of Independent Artists in part to demonstrate how narrowly modern art had come to be defined. In a similar way, *Jesus' Blood* has been seen, in part, as a reaction against the institutionalization of British musical modernism during the 1960s and early 1970's. In an environment that increasingly valued complexity and harmonic intricacy, *Jesus' Blood* is, in terms of musical technique, an audaciously simple and consonant work. The simplicity of this work has in fact forced many early defenders of *Jesus' Blood* to fall back on this overused and deeply unsatisfactory defense: namely, the notion that the work is only deceptively simple.[21]

Analysis III: *Jesus' Blood* and Erik Satie

The genealogy of *Jesus' Blood* is of course not limited to Duchamp. The work is also a part of the tradition of repetitive pieces. Since it is a repetitive work that gradually increases in volume, it might be seen as a close relative of Ravel's *Bolero* and Shostakovich's Seventh Symphony. An even closer relative, however, is Erik Satie's *Vexations*—a repetitive work that does not gradually increase in volume.[22] Written in 1893, Satie's *Vexations* consists of a 52-beat passage for solo piano (played at 52 beats per minute and hence lasting exactly 1 minute) repeated 840 times with no alterations or manipulations. For half a century, this work remained relatively unknown even to musicians. Then, in 1949, Satie's friend Henri Sauguet showed the

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[20] An "assisted readymade" is a readymade that is altered by the artist in some way. The most famous example is Duchamp's *L.H.O.O.Q.* The readymade in this work is a cheap reproduction of *Mona Lisa*. Duchamp painted a moustache and a goatee on this reproduction and presented it as a work of art.

[21] Keith Potter writes, Bryars "is deeply involved with exploring the 'new consonance' and setting up simple situations which are then allowed to take their own time and set up their own reverberations on the other, more complex, levels" (Potter 1973, p. 68), and Michael Nyman states that *Jesus' Blood*, "as with all Bryars' music a simple surface gives rise to many more complex reverberations" (Nyman 1972, p. 14).

[22] Bryars does not acknowledge *Vexations* as an influence on *Jesus' Blood*. In several articles and interviews, he states that his first piece that is influenced by Satie is *Ponukelian Melody* (1975).

work to John Cage, and the piece gradually became a sort of monument in experimental music circles. Bryars knew this piece well; in fact, he performed it with Christopher Hobbs shortly before he composed *Jesus' Blood*.

The two works have some obvious differences: notably, *Jesus' Blood* contains a text and an accompaniment that slowly changes. That said, the two works seem to explore the same topic: namely, humans' perception of repetitive processes. In both pieces, the same musical material repeats over and over again. Yet, listeners have difficulty getting accustomed to it. Note the similarities between some statements Bryars made about his performance of *Vexations* and Michael Nyman's statements about *Jesus' Blood*:

> Bryars on *Vexations*: "Sometimes a chord sounds completely wrong—the last crotchet chord in the piece always does; and the C at the start sounds very sharp, after the preceding chord. When I make a mistake it's like the end of the world. The music's unnerving because it's impossible to get used to it."[23]
>
> Nyman on *Jesus' Blood*: "The tramp was recorded singing without an accompaniment, and Bryars was impressed that he sang remarkably well in tune and time. But not perfectly in time: the first bar, for instance is slightly shorter than the more or less regular 3/4 of the rest, due to the tramp's unconscious dramatization of the tune. No matter how many times the instrumentalists hear this it seems difficult to get accustomed to, and this gives the accompaniment a feeling of uncertainty."[24]

Analysis IV: *Jesus' Blood*, "Interpretation," and the New Sensibility

The above quotation from Nyman and other early writings on *Jesus' Blood* point out another aspect of the environment in which the work was originally conceived. Specifically, Bryars's 1971 work was a product of the New Sensibility. Developed during the 1960s, this

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[23] Bryars 1983, p. 18.

[24] Nyman 1974, p. 147. Nyman certainly exaggerates the extent to which the tramp sings in time. To my knowledge, Bryars has never made such a claim. George Barth might very well be correct when he suggests that the use of the 3/4 meter in the accompaniment might be a deliberate attempt to mislead the performers and in this way to create the sense of uncertainty that Nyman describes (Personal Communication, 2000).

critical movement asks us to pay less attention to the meaning or "content" of a work of art and to concentrate more on the sensory experience of art.[25]

Jesus' Blood is a work that almost demands "interpretation." It contains a nameless tramp's rendition of a religious song; in the 1975 recording of the work, his voice is gradually engulfed by an orchestra. For me, the temptation to construct a narrative interpretation of the work is almost impossible to resist. Yet, of the eight 1970s reviews I have located so far, only one—by Simon Emmerson—discusses the meaning of the work. Specifically, he hints at the moral implications of this work in the following paragraph:

> Somewhere, still wandering the streets of London, we might still find the singer who provided the basic material for this work—the real 'star' in our distorted terms. Each listener will make his own judgement, but if we lose sight of what surrounds the work, we become disinterested voyeurs and sink into a glorification of sentimentality.[26]

The other seven writers merely describe the work, and state that it is deceptively simple.

When Point Music CD released the 75-minute version of *Jesus' Blood* in 1993, the time of the New Sensibility had passed, and Bryars began to discover the "content" of his work. In a way, I welcome Bryars's new interest in the meanings of *Jesus' Blood*, and moreover in paying tribute to the tramp who enabled him to reach a large public and to make a good deal of money. At the same time, I must say that he has not satisfactorily answered my ethical concern about this work. While we know the name of the person who originally recorded the tramp (Alan Power), the name of the composer/arranger (Gavin Bryars—who gets paid for every performance and every CD sold), and in fact the name of every single person who played on the 1993 recording, the tramp—who really is the "star" of the recording—remains nameless.

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[25] For more on the New Sensibility, see Sontag 1966.
[26] Emmerson 1977, p. 20.

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POSTER

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The Christian Gay Movement: Motivation and Mobilization

I am a Reader in the Sociology of Religion at the University of the West of England. My specialized field is contemporary Christianity and my primary research interests include the Pentecostal and Charismatic movements, the New Age-Christian fringe, evangelism, post-evangelism, secularization, changing theology from a sociological of religion perspective, millenarianism, healing, changing moralities, and New Religious Movements. At present I am researching different aspects of what I would call the 'gay issue' in the churches. My recent book publications include:

The subject of gay rights is one of the most controversial and challenging issues facing contemporary Christian churches across the world (It has for example, split the Anglican communion on a global basis). This work in progress has sought to chart developments within the gay Christian movement, especially in the UK, historically and sociologically, and the forceful opposition to it by organized conservative factions within the Church. Although an on-going project, my research has already yielded fruitful findings which have been disseminated in various publications and conference papers (Hunt 2002a,b; 2003; 2004a,b,c).

In line with other elements of the gay liberation movement since its emergence from the so-called 'permissive' culture of the mid-twentieth century, the gay Christian movement has sought to organize and mobilize in order to extend and protect what it regards as fundamental rights. The principal organization in the UK is the Lesbian and Gay Christian Movement (LGCM), although there are also smaller denominational constituencies and smaller self-help groups outside them. Many of the broad movement's adherents have embraced a 'higher criticism' of scripture which views the very few biblical prohibitions on gayness as either a historical product of time and place and not applicable today, or perceived as misunderstood and misread by the Christian Church over the centuries. Yet the challenge of the LGCM to the

contemporary Church is not just in terms of theology but that its cause overspills into the secular political arena and overlaps with the ever-broadening agenda of civil rights and to this end the movements clearly utilizes the rhetoric of civil and human rights. At the same time. the LGCM has displayed both its own internal dynamic (for example denominational differences, and the separate needs of gays and lesbians), while engaging with wider political issues and legislative developments such as sex education in state schools and the lowering of the age of consent. Over a period of some thirty years the gay Christian movement has experienced different levels of success. A greater acceptance in the late 1980s-early 1990s followed a recognition of the legitimacy of the debate around gay sexuality and related issue. However, a backlash in the churches has resulted in differing levels of persecution and marginalization towards the movement and the production of a more conservative line in official literature produced by the various denominations.

Clearly more research needs to be conducted into of the gay Christian movement and its achievements in the UK. While its origins can be traced back to the wider gay rights movement of the 1970, it has displayed its own distinct development and ideology (or 'queer' theology). The research areas that I am currently concerned with involve accounting for the developing

theology of the movement and its link to the worldview of its membership. While the constituent membership obviously accounts for the theological outlook, little is known about the social composition of the membership by way of gender, class, ethnicity, age, and wider political attitudes. It is anticipated that the themes to be further developed include the link between gender perceptions, demographic variables, life experiences on the one hand, and the motivation behind belonging to the movement and articulated so-called gay spiritualities/theologies on the other.

While there exists little by way of comprehensive historical analysis the Christian gay rights movement, few commentators have shown interest in the evolving parallel movement within the churches. At the same time, there has been little by way of academic review of their conservative and traditionalist opponents. My research so far has sought to understand both constituencies and the tactics that they have utilized in order to advance their cause. Findings to date have been based on resource mobilization theory and the significance of such factors as ideology, internal group cohesion, public image, technology, finances, and relationships with other movements (for instance, the relationship between the gay Christians and the wider secular gay movement) in accounting for differential levels of success and failure.

As part of a work in progress I am very keen to interact with other scholars who are broadly interested in this field across disciplinary divides and who would like to develop future collaborative research interests on a topic of increasing relevance. Clearly, there are comparable gay Christian movements elsewhere who may use different forms of mobilization, ideologies and display different social membership composition. Comparative studies may yield a great deal that is significance in terms of scholarly research. Simultaneously, I am also keen to develop my other interests my collaborative ventures.

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Title of Submission: The Fragmented Body in Robert Gober's Sculptures: Evocations of Traumatic Body Memory and The Phantom Limb

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Abstract for Paper Session:

A sculpture of a partial, disembodied adult leg rests on the gallery floor, emerging from the wall. Represented from foot to mid shin, the leg is clothed in a beige dress-sock, part of a beige trouser and a brown oxford shoe. A patch of rather hairy, ghostly pale skin peers out from between the trouser and sock. *Untitled (Leg)*, 1989-90, is one of three sculptures of legs by American artist Robert Gober to be examined in this paper. All three artworks are created out of wax, inserted with human hair and clad in clothing and shoes. In *Untitled*, 1994-95, children's legs, dressed in white sports socks and open toed sandals, are piled like firewood in a fireplace. *Untitled*, 1991 depicts a pair of adult legs from feet to buttocks. They are bare except for white underwear, dirty white tennis shoes and white athletic socks. The unclothed sections of this pair of legs are perforated with skin-coloured drains.

Gober's sculptures can be interpreted as representations of the phenomenon of the "phantom limb". The "phantom limb", a term coined by U.S. civil war physician S. Weir Mitchell in 1871, describes an individual's ongoing sensation of an amputated limb. Although the limb is missing, the patient continues to feel its presence with a variety of distortions. As Elizabeth Grosz notes in her book *Volatile Bodies: Toward a Corporeal Feminism*, the "phantom limb" frequently feels flatter, shorter and lighter, and has impaired mobility (Grosz, 1994, 71). With the phenomenon of the "phantom limb", the continued, felt present of an absent limb distorts the boundaries between reality and fiction. Similarly, Gober's sculptures confuses these boundaries through the use of materials and by their ghostly existence within the gallery. His sculptures are spectres of traumatic loss that disturb the viewer by their seemingly life-like presence just as the "phantom limb" haunts the amputee.

The three sculptures will also be considered in relation to philosopher Edward S. Casey's concept of "traumatic body memory". In his book *Remembering: A Phenomenological Study*, Casey contends that the body is an essential component in the construction of memory in that the past and present intertwine and become blurred in body memories. He writes that traumatic events are especially experienced and remembered by the body and postulates that "traumatic body memory" is reflected in an experience of a fragmented body.(Casey, 2000, 155) Although Casey does not mention the phenomenon of the "phantom limb", this phenomenon could be seen as an example of "traumatic body

memory". Gober's sculptures act as an illustration of the myriad of ways that memories, particularly traumatic ones, are reconstructed through representation of a fragmented body. Each of the three sculptures under discussion represent "traumatic body memory" in particular ways; alluding to the "phantom limb" phenomenon, child abuse and HIV/AIDS.. In *Untitled*, 1994-95, the children's legs can be seen to illustrate a moment when media stories about child abuse were beginning to come to the fore in America. When that happened, such individuals' memories of abuse finally gained cultural and historical significance. The drains in *Untitled*, 1991, also act to signify trauma, indicating the general fragility of the body in relation to disease in general and HIV/AIDS in particular. Gober's representations of partial bodies metaphorically parallel how memory is accessed via small, segmented glimpses into the individual and societal past.

Title: "Making Everything Audible": The Gravesano Electro-Acoustic Studio

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Abstract

The Gravesano Electro-Acoustic Studio was founded in 1954 by the philosopher-conductor Hermann Scherchen. Scherchen's goal for the studio was interdisciplinary. He felt that the separate areas of acoustics, recording and sound transmission, compositional technique and aesthetics, radio, film, and television could only be understood by considering them all together. To consider one area by itself would "at most push a button, so that the light of others would shine forth." The purpose of this paper is to bring to light this significant, though little known institution, by examining four representative areas of inquiry: the creation of an ideal acoustical space capable of representing the objective musical work; the development of the "stereophoner," a small device used to evoke a sense of acoustical depth in monophonic recordings; the aesthetic writings of Iannis Xenakis, which married music and mathematics and offered a path for composers outside of integral serialism; and finally, the use of film and television to illuminate compositions such as Mozart's *Don Giovanni* and Schoenberg's *Erwartung*. The activities of the Gravesano Electro-Acoustic Institute were emblematic of a faith in technology and musical objectivity. They also indicate a tendency to view the various stages of musical production as inseparable.

Toward the end of 1953 the conductor Hermann Scherchen purchased a home in Gravesano, a village near Lugano in the Italianate region of Switzerland—basically north of Milan. The area around the house included five acres of forest and 1.5 acres of orchard land. The property was relatively inexpensive because it was far-removed from the main highway running from Lugano to Bellinzona. The village itself had perhaps only two hundred inhabitants. In spite of the property's isolation Scherchen made a down payment and by early 1954 the first studio for the Gravesano Electro-Acoustic Studio was complete. Scherchen's goal was to create a studio that was independent of any nationality and perhaps the remoteness of Gravesano and village between two cultures contributed to this goal. What made this independence possible at least in the initial stages was the support of UNESCO.

The activities in Gravesano were interdisciplinary. Scherchen felt that the separate areas of recording, radio, film, and television, could only be understood by considering them all together in terms of "electronic technology, acoustics, and artistic design." To consider one area by itself would "at most push a button, so that the light from the others would shine forth." Scherchen explained that Gravesano was a "direct activity of his existence," that he "lived" Gravesano.

Soon after the first studio was finished, Scherchen organized a first conference, which drew over twenty scientists, electro-acousticians, and musicians—many of the leading researchers in Europe, representatives of national radio from France, Germany, England, and Italy. The lectures at the conference were each roughly two hours long. These were supplemented in the afternoons and evenings by discussions and experiments. The proceedings of the conference were later published as *Gravesano: Musik, Raumgestaltung, Elektroakustic.*

A year after the first conference, the Gravesano studio started to publish the results of its activities in the *Gravesaner Blätter* (Gravesano Notes), which ran from 1955 to 1966. The cover for the *Gravesaner Blätter,* designed by the architect Le Corbusier, is based on the golden proportion, equal to $(\sqrt{5}+1)/2$. (This irrational number, approximately 1.6, appears often in nature and is thought to play a role in works of art, such as the *Parthenon*.) The *Gravesaner Blätter* became, like *Die Reihe*, a significant journal for issues in contemporary music, acoustics, and compositional theory. The journal's interdisciplinary range of subjects was truly impressive. It included articles on hall acoustics; instrument design; compositional technique and aesthetics; psychoacoustics; music sociology; recording and sound transmission; television and film. The following discussion can only outline the rich history of the Gravesano studio.

One of the principal areas of inquiry at Gravesano was the acoustics of halls and other sound spaces. By 1956 the Gravesano Institute had three studios. The main studio had a space of 500 cubic meters. It had five walls and a sloping ceiling to prevent any parallel surfaces. The walls of the main studio were covered with square boxes—the sides were thirty-four inches in length and the depth was variable. These boxes were meant to absorb the lower frequencies of the room; they could be removed individually or altogether to modify the acoustical dynamics of the room. The higher frequencies of the main studio were controlled through carpets and fiberglass constructions.

The design of the main room produced a very short reverberation time—3 to 5 tens of a second. Scherchen's goal was to create a "naked" acoustical space, one with no particular qualities. In such a room, the sound engineers could control the acoustical effect strictly through

microphone placement. The lack of standing waves and interference also allowed many more musicians to perform in the room, without influencing each other's sound.

The second studio room had a space of 220 cubic meters and was shaped like a triangle. When one side of this triangle was covered in non-reflective material, the opposite corner of the room was essentially free of reverberations. This allowed the engineers to experiment through microphone placement with differing degrees of reverberation. The third studio had a volume of 180 cubic meters. It was used for playback of recordings, for conferences, and for listening tests.[i] Each studio had eight microphone lines that led to a mixing board in a control room.

In its ten year history the *Gravesaner Blätter* featured numerous articles devoted to concert halls such as: the Berlin Philharmonic (3/9); the Berlin Congress Hall (3/10); the F.R. Mann Auditorium in Tel-Aviv (3/11-12); and the Canopy for the Tanglewood Music Shed (5/17). The journal also featured a large two-part article on the "Acoustics of Large Orchestra Studios and Concert Halls" (3/9, 3/10).

A particularly stimulating article devoted to hall acoustics and microphone placement concerned Scherchen's recording of Berlioz's Requiem. This is a notoriously difficult work to stage, not only for the mammoth orchestra and chorus but because of the spatial separation of the fanfare groups. Scherchen's recording took place during the first week of April 1958 in the Saint Louis des Invalides, that is the location of the work's premiere on December 5th, 1837. The project was so costly that it required the cooperation of three recording companies: Vega, Westminster, and French Radio. The Vega recording was monophonic, while Westminster and French Radio (Poste Parisien) were recorded stereo. The author of the article, W. Pistone, compared the different microphone placements that the Westminser and French Radio engineers decided on. He concluded that while the French Radio attempted a conventional "realistic"

recording, the Westminster configuration allowed the sound engineer to "transcend reality in a recording interpretation which would be impossible to realize in the concert hall." Pistone identified these two approaches as classical and expressionistic techniques of recording.
I would like to play an excerpt from this astonishing recording, a fanfare from the Dies Irae. The segment lasts approximately one and a half minutes:

A second important area of inquiry was the technology of sound transmission. The *Gravesaner Blätter* included articles on a variety of loudspeaker systems and recording technologies. Perhaps the most important development, however, was Scherchen's invention of the "Stereophoner," patented on 30 May 1958.

The Stereophoner or as it was later called, the Spectrophone, was a small device used to evoke a sense of acoustical depth in monophonic recordings. It did this by first splitting the sound channel, and then applying filters to each individual signal. The resulting sound coming through the two speakers was meant to imitate the placement of the various instruments in the orchestra.[ii]

Scherchen himself was responsible for the calibration of the various filters to accomplish the desired effect. The engineers at Gravesano designed a special multi-channel console to allow him to manipulate the monophonic recordings of his own performances. In this way, Scherchen's balancing and manipulation of the sound amounted to a kind of conducting and interpretation. The sound engineer Robert Kolben wrote,

> Literally hundreds of settings were tried over many months in an attempt to satisfy all kinds of music and spoken text, all standard recording characteristics, all types of microphone placing during recording; a stack of old 78's was unearthed even, and somewhere in the village of Gravesano something was found

> which was surely the first electric gramophone ever made, to play the 78s, and to be quite sure that the stereophony worked under really all circumstances.

The development of stereo was a key issue in the 1950s. Scherchen's goal in making the Stereophoner was to provide a relatively inexpensive alternative to the emerging stereo devices. It would also enable the continued use of the older monophonic records.

A second fascinating though impractical development was the so-called "Active Loudspeaker" or "Nullstrahler." This was a rotating sphere covered with thirty two speakers. It was supported by a tripod about ten feet above the ground. The purpose of the active loudspeaker was to generate a homogenous sound-field. The placement of conventional speakers, at least in 1959, limited the distribution of sound to the horizontal plane. This was fundamentally different from a live performance in a concert hall which involved the vertical plane as well. The acoustician F Loescher wrote,

> When the sphere is rotated in a horizontal axis the deformities of the sound-diagram in the vertical plane are equalized. … A double rotation in the horizontal and the vertical plane gives the best result…The sound field becomes practically homogenous and the reproduction gets an astonishing fullness and the harshness of normal reproductions is completely gone.

The result was not ideal however since the tradeoff for the increased smoothness was a loss of definition in the high and very high registers. Perhaps for this reason, the active loudspeaker never attained the popularity of the stereophoner. Because of its recognizable design, however, the active loudspeaker has become a symbol of sorts for the Gravesano studio.

Along with experiments in acoustics and sound transmission, the Gravesano Studio advanced theories of musical composition. Luigi Nono, Pierre Boulez, Darius Milhaud, and

Pierre Schaeffer—the father of *musique concrète*—all contributed to the *Gravesaner Blätter*. The most significant contribution to the institute, however, was made by the composer Iannis Xenakis.

Xenakis was born on 29 May 1922 in Romania to Greek parents. He was trained in Athens as a civil engineer, and during the war fought against the fascists as part of the resistance. After the British liberated Athens, they tried to contain the rise of the communists, who had made up the bulk of the resistance. Xenakis was badly wounded by British shrapnel; he lost an eye and suffered serious injuries to the left side of this face. Xenakis eventually fled to Paris in November 1947, where he was first employed by the architect Le Corbusier.

In 1951 Xenakis met Olivier Messiaen, who recommended that the twenty-eight year old composer use his knowledge of architecture and mathematics to guide his composition. The first fruit of this advice was *Metastasis*, an orchestral work inspired by Le Corbusier's theory of architecture. The work, whose title means "transformation," is conceived according to sound masses, surfaces, lines, and planes. These were the primary elements of architecture defined by Le Corbusier in his influential *Vers une Architecture* (1923).

In the spring of 1954 Xenakis sent the score of a new work, *Anastenaria*, to Pierre Schaeffer, hoping for a performance by the *Groupe de Recherche de Musique Concrète*. The score found its way, however, to Hermann Scherchen, who was visiting Paris to premiere Edgard Varèse's *Deserts* on 2 Decmeber 1954. Xenakis was told to visit the conductor at his hotel room at 7:00 A.M. so that they might discuss the work. When Xenakis arrived, however, Scherchen indicated that he was not interested in *Anastenaria*, but asked about the score that Xenakis had under his arm:

> It was a handwritten score of *Metastasis*. I had written it on loose pieces of architect's paper which were enormous, 1 metre by 70 cms. Scherchen lay in bed holding up a sheet above his head as he read. When he finished, he let it go and since it was unattached the paper fell on his nose and covered him completely. He just lay there under it. I did not know what to do. I felt awkward. Should I help him? Suddenly I had an irresistible urge to laugh. Then he did the same thing again. Finally I took the sheets from him one by one as he finished reading.

Scherchen was especially intrigued by the work's opening measures and asked Xenakis how he had come up with it, because it seemed to come from something entirely outside of music. No doubt the mathematical and scientific origins of Xenakis's work impressed Scherchen as well, since he invited him to write an article for the first issue of the *Gravesaner Blätter.*

The article Xenakis submitted was entitled "The Crisis of Serial Music." He argued that the current complexity of serial music, of its linear polyphony, left the impression of groups of pitches thrown randomly into various registers. Although such music might have a tightly controlled microscopic structure, the macroscopic impression seemed irrational and chaotic. "There is consequently a contradiction between the linear polyphonic system and the heard result which is surface, mass." Against this approach, Xenakis suggested that composers attend to "the statistic mean of isolated states of transformation of components in a given moment."

> The macroscopic effect could then be controlled by the average of movements of the objects chosen by us. There results from it the introduction of the notion of probability implied elsewhere in this actual case of combinatory calculus.

Here was Xenakis's important leap to stochastic composition, to works based on statistical operations. In several further articles, over the next ten years, Xenakis used the *Gravesaner*

Blätter as a forum to develop his theory of stochastic music. It is significant that, as with Luigi Nono, Scherchen encouraged Xenakis's artistic individuality and provided the encouragement to operate outside the orbit of serialism. Scherchen premiered Xenakis's *Pithoprakta* in Munich on 8 March 1957, *Achorripsis* in Buenos Aires in 20 July 1958, and *Terretektorh* at the Royan Festival on 3 April 1966.

The Gravesano Studio held three conventions from August 6 to 13, 1961: "The Problems of Television," "Medicine and Music," and "Music and Mathematics." The last convention featured six works by Iannis Xenakis, as well as lectures on "Musical Sounds from Digital Computers," on the relation of music to complexity and information theory, and on "Mathematical Analysis and Random Sequences." During the second convention, "Medicine and Music," participants discussed the effects of vibration on the body and its possibility for healing, as well as music therapy for the deaf and the development of a "vibrating couch." Finally, a Zürich medical student, compared the electro-encephalograph to orchestral recordings. The first convention that August "The Problems of Television" was the most important of the three.

The *Gravensaner Blätter* included articles on television as early as 1958 with Clemens Münster's article "Televised Opera." The attention to television and to film grew to be one of the principal areas of research of the Institute; the 1961 convention on television might then be viewed as a turning point. Scherchen opened the conference by emphasizing the importance of the new medium, one which had the potential to unify "SPACE, TIME, and MEANING by the transmission of MUSIC, IMAGE, and SPEECH."

After Scherchen's introduction came a series of lectures. The advantages of the Toshiba System for video tape recording over the current Ampex system were discussed as were the

advances in color television, and the development of television projection. Another paper explored some of the possible differences between television and film by comparing different performances of Mozart's *Don Giovanni*, conducted by Hermann Scherchen. The discussion after this talk turned from the question of television vs. film to the question of how much technical manipulation should be allowed in representing stage productions. The speaker concluded that "anyone who has had a good look at all the various ways of filming stage music, none of which has been very satisfactory so far, inevitably comes to the question whether it is not high time for film and TV to create their own musical art form." This observation pointed very clearly to what we today call the music video.

At the end of the television conference, participants viewed Scherchen's own production of the final section of Arnold Schoenberg's *Erwartung*. His version used a prerecorded orchestral track to which the soprana, Helga Pilarczyk, sang and acted. The music was cut into twenty-seven parts, which were carefully coordinated to the different scenes in the garden around the studio. The process took five days of shooting, but resulted in only 11.5 minutes of footage. Nevertheless, as Robert Kolben observed, "the film shows a unity and precision and, above all, perfect matching of image and music, such as has never been achieved by the division of labor—the single mind behind this work of art becomes evident."

In the article "An Hour with Franz Krämer," Scherchen discussed the pedagogical potential for television. He wrote, "Ninety percent of the television audience is presumed to be acoustically underdeveloped—which means that they are hard to interest in music as an art. Is there nevertheless a slim chance, by way of television, to make the essentials of music emotionally understandable to a vast, but often indifferent audience?" Scherchen's strategy of musical education by way of television was clearly similar to that of his previous work with

radio. He wanted to build on what the audience was familiar with in order to bring them to a level of aesthetic appreciation and greater understanding of the work.

I have tried to give some sense of the diversity and richness of activities sponsored by Scherchen's Gravesano studio. The sheer variety of topics necessarily raises a variety of problems and questions. But perhaps the overarching question is the relation between the musical work and technology. This question was in fact considered by Theodor Adorno in the article "Zum Verhältnis zum Musik und Technik heute" which appeared in the Gravasaner Blätter 1958. The English title is given as "Technique, Technology, and Music To-Day" which clarifies the ambiguity of the German word Technik which can mean technique or technology. For Adorno, if I understand correctly, the musical idea depends on both compositional and performance technique for its realization. The idea also depends on technology for its wide-spread dissemination. Although he admits that the idea and Technik are complementary, Adorno remains skeptical that technique and technology are manifestations of rationalization. The work at Gravesano, on the other hand, shows a more optimistic view of technology, that although the work is still somehow transcendent, technology can assist the listener in grasping the work. In illuminating the work for the listener, technology may actually supercede the natural, authentic concert situation. The emphasis on technology in defining the musical work that we see present in Gravesano in the late 1950s arguably has its roots in the early twentieth century. It also indicates a tendency to view the various stages of musical production as inseparable, which is characteristic of our own time.

Hawaii International Conference

Title Page

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Impacts of Video Captioning on L2 Learners' Listening Comprehension in Taiwan

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Impacts of Video Captioning on L2 Learners' Listening Comprehension in Taiwan

Over the years, greater emphasis is now placed on teaching English as a tool for communication and TV/video plays an important role in the transmission of information and is a powerful medium in language teaching. Presenting captions is another function of television/video which aides the visual channel to communicate verbal information. However, whether the captioned TV and videos improve or impede students' learning will be concerned in this study. This study investigated the effect of the use of ESL instructional video captioning on EFL college students' listening comprehension in Taiwan. The participants of this study were freshman students enrolled the national institute of technology in central Taiwan. The experiment proceeded for five weeks to watch two 15-minute episodes from the ESL instructional videotape, *Connect with English,* in the listening class once a week. The control group watched the episode videos without any captions whereas the experimental group watched the videos with captioning. General English Proficiency Test (GEPT), the pretest and posttest, was administered to assess students' listening comprehension. The Descriptive statistics, ANCOVA was utilized in data analysis. The data analysis revealed that subjects viewing captioned videos outperformed the control group, which did not view captioned videos. The findings suggested that the use of captioned videos improved learners' listening comprehension.

INTRODUCTION

Over the years, there has been a growing emphasis on teaching English as a tool for communication, and technology has played a crucial role in facilitating authentic communication. In a sense, the efficacy of multimedia has drawn great attention and is presumed, under the assumption of adding an additional channel of media to transmit a message, to dramatically enhance communication and comprehension (Dwyer, 1978). Multimedia technology [such as TV, computers, networks, electronic mail (E-mail), video cassette recorders (VCRS), compact disc ready-only memories (CD-ROMs) and interactive multimedia] aids the teaching technique of integrating real-life situations with the target language into the language classroom. In this particular setting, learners gradually develop their language acquisition by being exposed to the genuine environment of the target language. In accordance with one of the most prominent theories of second language acquisition, Krashen (1985) proposed that learners can learn a large amount of language unconsciously through ample comprehensible input.

Nowadays, learning language has become more accessible by implementing multimedia technology with verbal information and full visual context, such as captions. For example, captioned videos demonstrating pictures and words in an auditory form and in a visual form are

more likely to activate both coding systems upon processing than words or pictures alone. Hartman (1961b) broadly asserted when redundant information, the same unit of information presented at the same time in two or more sources, such as captions and dialogue, takes place, viewers then will be more likely to remember the message. In that sense the results of past research seem to sustain the aspect that the use of captions triggers multi-sensory processing, interacting with audio, video and print components. Many teachers believe captions shed some new light on a better way of using various multimedia in the ESL classroom. Captions help make education more accessible and have been continually trying to facilitate language teaching and language learning. (Goldman, 1996; Holobow, Lambert, & Sayegh, 1984; Koskinen, Wilson, Gambrell, & Neuman, 1993; Parks, 1994; Vanderplank, 1993).

Even though much research has hypothesized the benefits from the use of captions for the hearing-impaired, disabled students and language learners, similar studies regarding the use of English captions in English teaching are still limited in Taiwan. Thus, there is a need for further exploration into the potential of captioned television or captioned videos to discern their contribution to the language teaching of English-as-Foreign-Language (EFL) students. To make the distinction from past studies, this research project focuses on the absence or presence of 10 English captioned ESL instructional video episodes for a period of five weeks as a primary variable in an experiment to help determine the conditions for the improvement of Taiwanese college students' English listening comprehension.

THE STUDY

Created to investigate the causal relationship between the use of L2 captioned videos and learning of English as a foreign language (EFL) by college students in Taiwan, this study had a quasi-experimental design, specifically, a nonequivalent control group design (see Figure 1). The design of the nonequivalent control group was created in this study because the researcher had access only to existing groups of English-as-a-foreign-language (EFL) students. Randomization of subjects and control over scheduling were not possible. Eighty students enrolled in the English listening comprehension class participated and were randomly assigned to one of two different condition groups. Prior to the date of the actual experiment, the pretest was administered (using the practice sample of the GEPT- intermediate) to both the experimental and the control groups in order to determine the initial difference in prior language proficiency. To prevent this design from the mortality as a potential internal threat, the study was carried out only five weeks and the

group sizes and membership remained constant. Moreover, multiple treatment interference, as an external validity threat, was avoided since the treatment materials, captioned videos and non-captioned videos were not easily influenced by differences in the teacher's instruction.

The purpose of this study is to investigate the effects of the use of video captioning on English as a foreign language (EFL) on college students' language learning in Taiwan. The evaluation is on students' language comprehension of listening, as assessed by the General English Proficiency Test (GEPT).

PARTICIPANTS

The subjects for this study were 80 freshman students from a four-year national institute of technology in central Taiwan in the spring semester 2003. Their average age was 18-20.

Figure 1.

Quasi-Experimental Design

Group	Assignment	n	Treatment	Posttest
1	non-random	40	video with captioning	GEPT
2	non-random	40	video without captioning	GEPT

GEPT: General English Proficiency Test- intermediate level

DATA ANALYSIS

An analysis of covariance (ANCOVA) was applied to test the hypothesis as well as to determine whether the two conditions differed significantly from each other on the scores of the listening subtest of GEPT. As shown in Table 13, the findings reported that the experimental group's mean was significantly higher than that of the control group ($df = 1$, $F = 14.53$, $p = .000$). The ANCOVA results of this statistical analysis were presented in Table 1. It revealed that there is significant difference on scores in the listening section of the GEPT between subjects watching videos with captioning and those watching videos without captioning.

Table 1

ANCOVA: Scores on the Listening Subtest of the GEPT

Source	Sum of Squares	df	Mean Squares	F-Value	P-Value
Pretest	194.64	1	194.64	10.41	.002
Group	271.67	1	271.67	14.53	.000
Error	1440.23	77	18.70		

Preliminary Analysis of the GEPT Data

PEDAGOGICAL IMPLICATIONS

The results of this study suggested that using authentic videos containing rich environments of contextual clues to meanings and a rich cultural experience through real-life situations has as its aim enhancing the accessibility of authentic language to the foreign language learners in this study. By this measure, the combination of texts, sounds and images represents a rich and stimulating environment, providing learners with many possibilities to comprehend and access authentic target language. Thus, the use of rich context with visual, graphic and oral / aural cues through captioned videos or TV programs has increased students' enjoyment of the programs. Their motivation for learning increases and their interest lowers down the affective filter, defined as a student's state of receptivity to acquiring the new language by Krashen (1985). If the affective filter is kept low, the students feel confident and open to the language input. Therefore, it is encouraging to present both verbal and visual learning materials in the language classroom, enriching the content environment and making the setting more authentic, lively and interesting to the students. Moreover, integration of L2 visual and L2 verbal context is supported by the belief that L2 acquisition is enhanced through the incidental learning of language from contextually rich verbal input while students are focusing on the meaning rather than on the form of the input (Krashen, 1985). In this sense, increasing exposure to a broad variety of authentic texts in the foreign language classroom, such as ESL L2 captioned videos, seems to enrich pedagogical settings more than exclusive exposure to the teachers' lectures and a limited set of linguistic textbooks. In other words, ESL captioned videos provide simplified input which is geared to a specified level of L2 proficiency and is delivered at a natural rate of narration. According to the findings in relation to the effectiveness of captioned materials, this researcher suggests that the employment of appropriate captioned instructional video programs has a great

impact on the production of language learning to EFL students and promotes students' willingness to make progress.

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Submission for inclusion in the Proceedings
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a. Title: **Looking Back, Moving Forward: Trends in Contemporary Classical Music Composition**

b. Topic area: Music

c. Presentation format: Lecture Recital (Performance)

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Abstract of lecture recital topic:

"Looking Back, Moving Forward: Trends in Contemporary Composition"

During the 20th century, rapid evolution in communication technology, historical musicology, and a general globalization of musical activities resulted in a "musical era" (so labeled in text books) that so far can only be characterized by the enormous number of "isms" that were spawned. Serialism from the 2nd Viennese school, minimalism in mid-1960s America, and other such adventures in musical composition aspired to move music beyond the diatonic language and rhetoric-based formulas of classical art music.

Today, becoming a professional music composer depends on the ability of the composer to create "sellable" music as much as, if not more so, than his or her ability to say something new. So, in addition to music which continues to "push the envelope" in terms of the relationships between sound, tonality, and form – composers are also turning out music which makes no apology for its return to familiar harmonic languages and may incorporate references to known classical themes, procedures, or even popular music.

This recital program provides a brief survey of several of these trends. From the Hollywood-meets-Rachmaninoff stylings of Samuel Barber, to the minimalism derived mechanics of John Corigliano's Fantasia on an Ostinato, to a tone-poem with industrial inspiration by Eric Honour, Drs. Lawrence and Hynes from the Central Missouri State University Department of Music will present a program of musical trends which dominate art music composition at the present time.

Format: **Lecture Recital** (45 minutes)
Presenters: Dr. Robert Lawrence, Dr. Mia Hynes, Dr. Jon Hynes
Equipment needed: 1 piano
1 music stand

Program:

Excerpts from "Souvenirs" — Samuel Barber
Dr. Mia Hynes and Dr. Jon Hynes, piano

Excerpt from "Four Songs (for tenor, baritone, and piano)" (2004*) — Eric Honour
text by John Donne

"Aria of the Worm" (from the opera *Ghosts of Versailles*) (1991) — John Corigliano
text by William Hoffmann
Dr. Robert Lawrence and Dr. Mia Hynes

Fantasia on an Ostinato (1985) — John Corigliano

Concertpiece: House (2002) — Eric Honour
Dr. Mia Hynes

**world premiere*

About the presenters:

Dr. Mia Hynes

A native of Bloomington Indiana, Mia Hynes has performed as soloist and chamber musician throughout the United States, including appearances at the Aspen and Chautauqua festivals, the Library of Congress, and the Dag Hammerskjold Library at the United Nations. Dr. Hynes has performed live on National Public Radio's "Performance Today" with Scott Yoo, violinist and conductor of the Metamorphosen Chamber Ensemble, and frequently makes recital appearances with members of the Kansas City Symphony. She and Mr. Yoo premiered works by American composers Donald Sur ("Berceuse" - 1999) and Paul Barsom ("House Made of Dawn" - 1996). In addition to performing, Dr. Hynes maintains an extremely active schedule as speaker, clinician, and adjudicator. A winner of numerous competitions, Dr. Hynes garnered first prize in the 1995 National Federation of Music Clubs Young Artists Auditions, and was nominated in both 1995 and 1996 for the Excellence in Undergraduate Teaching Award at the Eastman School of Music. She received the Doctor of Musical Arts in Piano Performance and Literature degree from the Eastman School of Music where she studied with (and served as teaching assistant to) Nelita True. Dr. Hynes also holds Bachelor and Master of Music degrees from Indiana University where she was a student of Menahem Pressler, and served on the teaching staff of the Young Pianists Program. Dr. Hynes has served on the faculty of Central Missouri State University since fall of 1996, where she is currently Associate Professor of Piano and Piano Pedagogy, and Director of the Music Preparatory Department. She conducted the Warrensburg Area Youth Symphony from 1997-2002. Dr. Hynes also serves as the piano division chair of the National Federation of Music Clubs Young Artist Auditions, and current president of the Missouri Federation of Music Clubs.

Dr. Robert Lawrence

Dr. Robert Lawrence accepted a teaching position at Central Missouri State University in the Fall of 1998. Before coming to CMSU, Rob directed choirs at Berea College, KY, and at Eastern Kentucky University. He received his Bachelor of Music Education degree at Miami University and his Master of Music degree in conducting at Ball State University, where he then taught music education classes and directed the University Singers and University Chorus. He received his Doctorate in Musical Arts in choral conducting at the University of Kentucky. After spending several years as a performer, Rob directed choirs in Ohio and Kentucky. He is very active as a guest conductor, adjudicator and clinician, having directed honor choirs in KY, MO, NC, OH, IN and VA. He presented a clinic on choir techniques at the Kentucky Music Educators Association Conference in Louisville, and has served as Chair for various Repertoire and Standards Committees for Kentucky's American Choral Directors Association and for Missouri's Choral Directors Association. His professional affiliations include American Choral Directors Association, Missouri Choral Directors Association, Music Educators National Conference, Missouri Music Educators Association, Chorus America, International Federation for Choral Music, and two professional honorary music fraternities, Phi Mu Alpha and Pi Kappa Lambda.

Dr. Jon Hynes

Jon Hynes is a prizewinner of numerous competitions, including the Young Keyboard Artists' International Competition, the Eastman Concerto Competition, and the Nina Wideman National Piano Competition. He has given recitals at St. Martin-in-the-Fields (London), Oxford University, the American Cultural Center of Brussels, the American Embassy and Consulate of Paris, the America Haus in Frankfurt, Aula Auditorium in Interlaken, the American Concert Series in Geneva, Baccarelli Auditorium in São Paulo, and throughout the United States. A native of Little Rock, Arkansas, Dr. Hynes is a graduate of the Eastman School of Music. He received a Rotary International Scholarship for graduate studies at the Paris Conservatory. He is presently the Director of Piano in the Arkansas Baptist School System, and is also the conductor of the Arkansas Baptist Youth Orchestra. He teaches Music History, Theory, and French at Little Rock Christian Academy and has been a clinician and an adjudicator for several festivals and competitions sponsored by the National Federation of Music Clubs, and the Music Teachers National Association.

1. Title of the submission:
Subjectivity and Politeness: A Note on Japanese-English Comparison

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Subjectivity and Politeness: A Note on Japanese-English Comparison[†]

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In this study, we will account for how polite utterances are created in Japanese and English. The key notion we focus on is subjectivity - the representation of a speaker's viewpoint in discourse (Finegan 1995). It is well-known that the notion of subjectivity imposes very strong constraints on a Japanese speaker. Unlike English, descriptions of internal states of an animate entity should be morphologically marked, in Japanese, to indicate whether they are a speaker's own or others' Also, speech acts that necessarily involve politeness strategies present internal states (desire or thoughts) of a speaker toward a hearer, such as orders, requests, and offers. By examining subjectivity, we will present a unified account of how polite utterances are created in both Japanese and English and further show contrastive, yet unified, construal of subjectivity of the two languages.

1. Psychological Predicates

Speakers of Japanese have some morphological or syntactic constraints on expressing internal states of animate entities. Kuno (1973), Kuroda (1973), Aoki (1986), Iwasaki (1993), Maynard (1993), Uehara (1998), and many others have described the grammatical features of these expressions on the basis of the *person* of the grammatical subject. Those predicates are adjectivals of emotion, e.g., *uresii* 'glad', *sabisii* 'lonely'; of sensation, e.g., *atui* 'hot', *samui* 'cold'; of desire, e.g., *hosii* 'want' and *–tai* 'want to'; and verbs of cognition, e.g., *omou* 'think' and *sinziru* 'believe'.

First, consider examples of an adjectival predicate –tai in (1):

(1) a. *(Boku wa) itudemo asobi-tai yo.*
I T whenever play-want/Prs to SF
'I always want to play.'

b. *Taro wa itudemo asobi-*tai / ta-garu yo.*
T whenever play-want/Prs want to-Evd/Prs SF
'Taro always wants to play.'

[†] We are very grateful to Ms. Eiko Tanimoto, the vice chairperson of Kansai Gaidai University, for her support to fund our travel expenses to attend this conference from Japan. Without her generosity, we would not be able to have this opportunity.

A psychological predicate can be used alone to express an internal state of the speaker, as in (1.a). But, this predicate needs an evidential marker for a sentence with non-first-person subject, as in (1.b). This is because the speaker naturally knows how s/he feels but cannot know exactly such a state of others. So, the speaker needs to indicate overtly with the help of an evidential marker that the feeling described is viewed from a perceiver but not an experiencer. On the other hand, there is no such a strong constraint in English. As shown in English translation in (1.b), even when non-first person is a subject, the verb *want* is used alone.

This is also true with cognitive verbs. See examples in (2) with a verb, omou:

(2) a. *(Boku wa) ima soo omou yo.*
I T now so think/Prs SF
'I think so, now.'

b. *Taro wa ima soo *omou / omotte-iru yo.*
T now so think/Prs thinking-Sta/Prs SF
'Taro thinks so, now.'

When non-first-person is a subject of a cognitive verb, as in (2.b), the verb should get stativized, unlike its counterpart with a first-person subject, as in (2.a). The speaker is indicating with a help of the stative verb that the cognitive activity that is not directly observable is being carried out by a person other than him/herself. Again, English does not undergo this kind of syntactic change, as can be seen from a translation of (2.b).

Thus, linguistically, speakers of Japanese cannot take subjective stance to describe desire or thoughts of others, while speakers of English can do so as if it is the speakers' own. Speech acts we are concerned in this study are also expressions of these internal states of the speaker – desire or thoughts – in relation to the hearer. In the next section, we will briefly review a notion of politeness.

2. Politeness Strategies

Brown and Levinson (1987) proposed the universal theory of politeness, arguing that because human beings are one of the animate entities, we are born to want to be unimpeded as well as want to be approved of by others. The first *want* is *negative face* and the second *want* is *positive face* in their terms. But, unlike other animate entities, we are, also, endowed with rationality to save those faces to communicate with others in a peaceful manner, i.e., politeness strategies, when we cannot avoid doing some face-threatening acts (FTAs) of requests, orders, offers, and etc.

If the degree of an FTA is great, the speaker may not do such an act, and when the

degree is very small, the speaker may utter a blunt imperative sentence. If the degree of FTA is in between these two cases, the speaker conducts the speech act with politeness strategies of positive or negative politeness depending on a type of FTA in question. This is schematized as in Figure 1 (Brown and Levinson 1987:60) below:

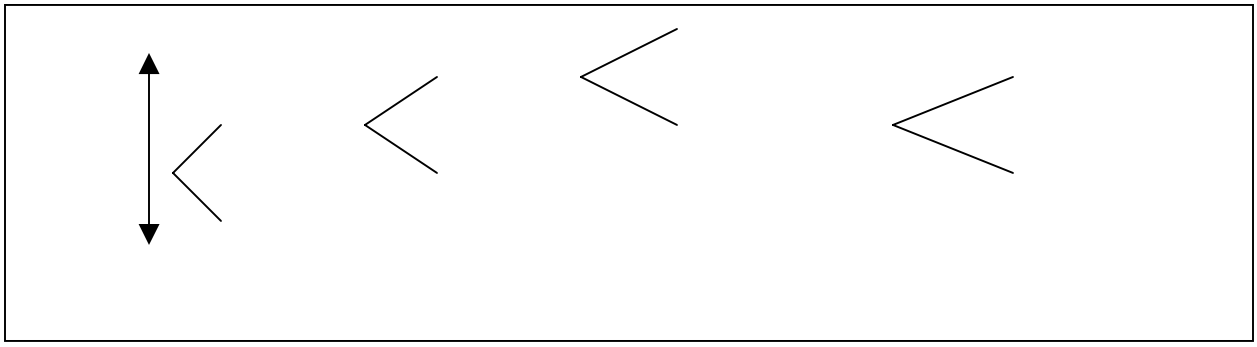

Figure 1. Circumstances determining choice of strategy

Following Brown and Levinson's proposal, many scholars of Japanese (Matsumoto 1988, Ide 1989 and 1992, Hori 2002, and Usami 2002 among many others) argued that the theory fails to account for politeness strategies in Japanese because Japanese has peculiar intricate honorific systems developed and manipulated in a *vertical* society unlike Western *horizontal* society. Studies of both groups definitely contributed to the field of human communication, but neither group accounted for how such polite expressions are constructed. We will show in the following sections that subjective construal of the speaker is the key to understanding politeness strategies.

2.1 General Features of Positive and Negative Wants in Japanese and English

Before examining examples of polite expressions in Japanese and English, it is necessary to grasp tendencies of each language with respect to the two types of wants/faces – positive and negative. A speech act of admirations is one of the typical examples of showing one's positive face to the hearer. For example, when we see a friend wearing new clothing, we often make a compliment to the friend.

(3) a. *Ah, totemo yoku (sono fuku ga) o-niai desu ne.*
very well the clothing N Hon-fit Cop/Prs SF
'Ah, the clothing fits you very well, right?'

b. *Wow, you look great/gorgeous/beautiful/awesome/cool/…in this clothing.*

The examples above are just some of presumable typical expressions of compliment in each language. What we can notice here are that Japanese do not take the hearer as a grammatical subject but the object of clothing, so that a word to show the speaker's compliment to the hearer is limited to *niai* 'fit' or its verbal form *niau*. On the other hand, English speakers are encouraged to take the hearer as a grammatical subject, and there are so many adjectives to show the speaker's compliment. Moreover, Japanese speakers try to be ambiguous stating the compliment by using the sentence final particle ne whose main function is to induce confirmation from the hearer.

Thus, English is a language that enjoys the positive face of the speaker whereas Japanese is not such a language. This point can be seen most clearly with a well-know expression of Japanese when giving someone a gift. See the example (4):

(4) *Kore wa tumaranai mono desu ga, doozo.*
this T trifling thing Cop/Prs but please
'This is rubbish, but (I wish you can enjoy it).'

Definitely, no one wants rubbish, but it is socially and linguistically required to say so in Japan. That is, being humble is more appreciated than showing one's positive face in Japanese. Now, look at another instance concerning negative want of the hearer from examples of refusals.

(5) a. *Iie, (watasi wa) daizyoobu desu. Dooka ki o tukaw-anaide kudasai.*
no I T fine Cop/Prs please energy A use-Neg/ing give/Hon/Imp
'No, I am fine. Please do not bother yourself.'

b. *Yes, please. I would appreciate your courtesy.*

Examples in (5) are model utterances in each language when we are offered some hospitality from others, for example, after working tireless hours or traveling a long distance. So, actual utterances vary depending on a particular individual. But, at least, it is regarded rude to express one's desire openly in a Japanese society, and an utterance like (5.a) is preferred. Thus, it shows that Japanese is a language that respects the negative face of the hearer, while English, again, appreciates the positive face (it is that of the hearer in this case). Keeping these features of the two languages in mind, we will next examine a speech act of requests.

3. Speech Act of Requests

The speech act of requests most likely requires the speaker to use politeness strategies because

this act threatens the negative face of the hearer. See examples in Japanese and its English counterparts below:

(6) a. *Denwa-bango o osiete kure-masen ka?*
phone-number A teaching give-Pol/Neg/Prs Q

b. *Could you tell me your phone number?*

These are both polite utterances for making requests. Constructions of them are interrogatives and, thus, speakers are asking hearers' internal states whether they wish to tell the information inquired. In Japanese, however, there is another frequently used politer expression for requests, as in (7.a):

(7) a. *Denwa-bango o osiete hosii-no desu ga.*
phone-number A teaching want-Nom Cop/Prs but

b. **I want you to tell me your phone number (but).*

Although implied with the final particle ga but never asking the hearer's internal state, a Japanese speaker is only presenting his/her desire to the hearer in (7.a). This utterance, however, communicates a more humble attitude of the speaker than (6.a) does. But its English counterpart (7.b) sounds rude and never presents a speaker's polite attitude.

To account for why (7.a) is politer than (6.a), while (7.b) is less polite than (6.b), we will further examine constructions of offers in terms of a cognitive notion of subjectivity in the next section.

3.1 Agentivity and Controllability

The most notable differences between the polite request form (6.b) and a rude request form (7.b) in English are that the former is interrogative with the second-person subject while the latter is declarative with the first-person subject. This interrogative-declarative contrast points to controllability of an action implied or denoted. If the action requested can be done regardless of the hearer, the speaker can utter a declarative sentence or even an imperative sentence, otherwise, the speaker has to ask the hearer whether it is possible to carry out the requested action.

The difference in the person of a grammatical subject is a matter of agentivity of the action. For example, a single event of transferring an object can be described in a multiple ways by the selection of an agent. A giver can be an agent of the action with a verb, such as *give, send,*

or *grant*, and a receiver can be an agent, too, with a verb, such as *receive, have,* or *get*. Both controllability and agentivity are some types of representations of the speaker's viewpoint, because both factors can affect constructions of sentences created by the speaker.

Table 1 below presents four types of possible types of requests to inquire a truth, in Japanese and English, with respect to the two elements which determine (im)politeness of utterances.

[Agentivity] / [Controllability]	First-person	Second-person
First-person	*Sinzitu o siri-tai no desu ga.* (1) *I want to know the truth.* (3/4)	*Sinzitu o itte-hosii no desu ga.*[1] (3) *I want you to tell me the truth.* (4/3)
Second-person	*Sinzitu o itte-morae-masen ka?* (2) *Can I hear the truth?* (2)	*Sinzitu o itte-kure-masen ka?* (4) *Can you tell me the truth?* (1)

Table 1. Request forms with the varying two elements

(Numerical numbers in parentheses indicate the order of preference by speakers of the language.)

Examples in (8.a) and (8.b) below are, respectively, the politest and most impolite utterances in Japanese of the four forms:

(8) a. *(Watasi wa) sinzitu o siri-tai no desu ga.*
I T truth A know-want to Nom Cop/Prs but

a'. *I want to know the truth.*

b. *(Anata ga watasi ni) sinzitu o itte-kure-masen ka?*
you N I D truth A saying-give-Pol/Neg/Prs Q

b'. *Can you tell me the truth?*

We can notice, here, three striking differences between the two languages. The politest utterance in Japanese, as in (8.a), has the first-person as both an agent and a controller, while the politest utterance in English, as in (8.b'), has the second-person as both of them. Thus, as it can be

[1] The grammatical subject of this utterance is the first person. But, its thematic role is an experiencer and the agent is the pro-drop second-person of an oblique agent.

predicted, the most impolite utterance in Japanese has the same configuration as that of the politest utterance in English, as in (8.b), and that in English vice versa, as in (8.a').

Also, the first two politer utterances in Japanese are consistent with the first-person agentivity, whereas those in English are consistent with the second-person controllability. Therefore, agentivity seems to play a more important role in Japanese and controllability in English.

Agentivity indicates physical faculty of a person who makes an action requested. On the other hand, controllability indicates someone's control over another who does the requested action in the above examples. Thus, controllability is not a physical but a psychological property of a person. Now, see the following English utterances to clarify which one the two elements is a matter of greater account to determine politeness of an utterance.

(9) *Please, do me a favor.* [a. *Can* / b. ??*Will*] *you?*

It is politer to ask the hearer's physical faculty than psychological property upon requesting a favor for the speaker. This is also the case in refusals. It is less impolite to negate the speaker's physical faculty than psychological property to make an excuse.

(10) *I'm sorry. I* [a. *can't* / b. **won't*] *help you because I'm busy.*

Therefore, controllability is a more important element than agentivity to determine politeness of utterances.

This point can also be inferred from the fact that, in requests, if a beneficiary (a speaker) took agentivity of a benefactor (a hearer), an utterance could be imperative which is, of course, the most impolite form of all.

Now, it appears contradictory in that although controllability plays a more important role in politeness strategies, agentivity is the primary element to determine politeness of utterances in Japanese. This is because, as we have seen in Section 1, Japanese speakers cannot take internal states of others so that they have no choice but need to take the first-person controllability.

Also, recall that speakers of Japanese appreciate not to be impeded by others, while speakers of English appreciate to be approved of by them. That is, in the case of requests, the speaker of Japanese takes agentivity of the beneficiary, i.e., the speaker, and communicates negative-side of the speaker's politeness because the action is viewed from a viewpoint of the

recipient. But the speaker of English, a positive politeness language, views the action from a viewpoint of the giver, the hearer, to communicate positive-side of the speaker's politeness. To confirm this point, we will examine a speech act of offers where the speaker is a beneficiary and the hearer is a benefactor.

4. Speech Act of Offers

Unlike requests, a speech act of offers can threaten the positive face of a speaker with a chance of the offer being denied by the hearer. As we classified the four types of utterances with requests in Table 1, Table 2 presents possible utterances of the two languages with the varying combinations of agentivity and controllability in terms of the person.

[Agentivity] / [Controllability]	First-person	Second-person
First-person	*O-tetudai o si-tai no desu ga.* (3) *I want to help you.* (4/3)	*O-tetudai o sasete-hosii no desu ga.* (1) *Let me help you.* (3/4)
Second-person	*O-tetudai o sasete-morae-masen ka?* (2) *Can I help you?* (1)	*O-tetudai o sasete-kure-masen ka?* (4) *Do you want me to help you?* (2)

Table 2. Offer forms with the varying two elements

(Numerical numbers in parentheses indicate the order of preference by speakers of the language.)

The politest utterances in Japanese and English are shown in example (11):

(11) a. *(Watasi wa anata ni anata no) o-tetudai o s-asete-hosii no desu ga.*[2]

I T you by you Gen Hon-help A do-Cau/ing-want Nom Cop/Prs but

'I want you to make me help you.'

b. *Can I help you?*

In (11.a), a declarative utterance with the first-person experiencer shows that controllability is with the first-person but agentivity is with the second-person by the use of a causative morpheme. In (11.b), the interrogative utterance with the first-person subject indicates the first-person

[2] As mentioned in requests, the first-person subject is an experiencer but the second-person is an oblique agent in this utterance.

agentivity and the second-person controllability.

Both languages do not change the person of controllability from that of requests. It is the first-person in Japanese and the second-person in English since this is a psychological property of a person and Japanese is a negative politeness language while English a positive politeness language. However, both languages change the person of agentivity. Japanese takes the second-person agent and English the first-person agent. The speaker is a benefactor and the hearer is a beneficiary in this speech act. Thus, as a negative politeness language, speakers of Japanese need to view the action from a viewpoint of the beneficiary, i.e., the hearer. On the other hand, as a positive politeness language, speakers of English need to view it from a viewpoint of the benefactor, i.e, the speaker.

Therefore, it is now clear that controllability is determined regardless of types of speech acts because it is a psychological matter and, thus, Japanese as a negative politeness language prefers it be the first-person, whereas English as a positive politeness language prefers it be the second-person. Nevertheless, agentivity of a physical faculty changes depending on types of speech acts. It is the first-person for requests in Japanese because the speaker is a beneficiary and Japanese is, again, a negative politeness language. But it is the second-person in English because it is a positive politeness language. These persons of agentivity change in both languages for the speech act of offers in which the speaker is a benefactor and the hearer a beneficiary.

5. Conclusion

We have seen in this study that there are two elements to determine (im)politeness of utterances – agentivity (a physical faculty) and controllability (a psychological property). Of the two, controllability is a more crucial factor for the languages: Japanese prefers the first-person and English the second-person because Japanese is a negative politeness language and English a positive politeness language. However, agentivity of utterances changes in both Japanese and English depending on a person who is the benefactor or beneficiary. Japanese takes the beneficiary as an agent to communicate negative politeness, while English takes the benefactor as an agent to communicate the positive politeness.

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Title of the submission: The Prospect of the Green Party as a Third Party in US Politics

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Abstract: This paper analyzes the prospect of the Green Party as a significant third party in U.S. politics. Despite the institutionalization of the two-party system, various minor parties emerged as important third parties throughout the history of U.S. presidential election. However, almost all of them were short-lived. This paper argues that the future success of the Green Party as a major third party mainly depends on the three factors: their ability to nominate well-known candidates in presidential elections, overcoming the problem of adequate financial resources, and to building strong organizational branches. Their failure to achieve any of the above mentioned objectives may jeopardize their third-party status and may reduce their status to a small minor party or a mere political club like other third parties in U.S. history.

Submission for Hawaii International Conference on the Arts and Humanities Proceedings
(January 13 – 16, 2005)

TITLE: A New Media Exploration: The Conceptual Work of Masaki Fujihata.

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Summary:

RATIONALE:

At last year's Hawaii International Conference on the Arts and Humanities, I presented a paper entitled "Japan's Pioneering Contributions to Today's International Art and Technology Movement". In that paper I gave an overview of the history of computer graphic art in Japan and mentioned several pioneering artists and gave examples of their work. In this paper, I would like to focus on the ideas of one of those artists.

ABSTRACT:

In a world in which the glitz of new technology keeps us in awe, there is a new media artist that does a great deal more with his work than just dazzle the eye. The digital explorations of Masaki Fujihata are unique. His artwork, his attitude toward creativity and digital technology, and his profound presentation of ideas are a breath of fresh air in an area that has continually struggled for recognition in the fine arts field. Fujihata currently teaches at Tokyo University of Arts and directs the digital media program

there. He is one of the pioneers in the computer art field. While his artwork is well known throughout the international realm of digital media, he is widely known in Japan for his philosophical output, as evidenced in his extensive exhibitions, websites, and published written work. The depth of his ideas is not as well known to the international world since most of his written work has been published in Japan, primarily in Japanese. Bringing to light Fujihata's analysis of the computer as a harbinger of mystical abstractions may be a refreshing addition to the way we think about the art and technology movement in an international context.

In his recent book *Art and The Computer: The Breadth of New Art* (Keio University Press, 1999), Fujihata compiles his thoughts on the nature of the computer and what it means to artists and how it can change our way of thinking. This is not a computer manual. Neither is it an art book. It is a written philosophy and documentation of a new way of seeing. In this book, Fujihata reveals the computer as an object, and as a non-object.

In this paper, I will present the work of Masaki Fujihata, as an artist, but more importantly, I will attempt to give the reader some insight into Fujihata's perception of the abstract realm of computing, and the implications that it has for human creativity.

When studying at Tokyo University of Arts in 1979, Fujihata studied traditional materials. It was then he discovered that different materials influence the expressive character of an artist's work. "There is a different means of expression for each different material. That is what I have an interest in. When I use computer graphics now, it is the same case, if one uses a different tool, a different expression is born out of it." (Personal interview, Tokyo: Frogs, Inc., 24 August 1990.)

The 20th century art movement from Japan called Mono-ha (School of Things) emphasizes the exploration of materials and their relationship to each other in works of art. This approach can be seen in Fujihata's attitude toward the computer as a kind of artist's material, worthy of exploration. It is not simply a tool for art, but it has a character of its own.

Many of Fujihata's early computer animated pieces are an expression of the computer's abstract and conceptual space through analogy. In 1983, he presented *Mandala*, a short computer generated animation, at the SIGGRAPH (Association of Computing Machinery's Special Interest Group for Graphics conference) in Detroit, Michigan. Fujihata explains the parallels that he finds between the Buddhist mandala and the computer in the following excerpt:

> *Mandala* is a computer of esoteric Buddhism. Spiritual powers of observation made it possible for esoteric Buddhism to give the universe a graphic representation. And now physicists are trying to simulate the universe by the use of computers. I felt this similarity between mandala and the computer, but I had no idea how to communicate it through a new medium of expression. The answer was to make a computer draw *Mandala*. (Fujihata, *Geometric Love,* 44.)

When *Mandala* was shown to the public – in 1983, an age when computer graphics were relatively new – the interest in the piece was probably more from high-resolution rendering obtained by traveling to Minneapolis, Minnesota to borrow the power of the Research Institute's CRAY-1 Supercomputer, than from the subject matter. In taking a closer look at Fujihata's concept for the piece, however, it becomes clear that the analogy of the mandala is the more profound aspect of the piece. And it is that profundity that gives it lasting significance after the initial glitz of high-resolution has faded. *Mandala* received the Grand Prize from Video Culture Canada in 1983.

Fujihata has published two catalogues of his work. *Geometric Love* in 1987 concerning a body of work that came from his love of the computer algorithm, and *Forbidden Fruits* in 1990 from his exploration of objects evolving from the virtual space of the computer.

In the catalogue entitled *Geometric Love,* Fujihata compares the world inside the computer with the atmosphere of a monochrome ink painting: "While ink drawings show rocks, mountains, pine trees and houses, what they really depict is the air, a feeling of space, and the universe." (Fujihata, *Geometric Love,* 8).

In his book *Forbidden Fruits,* Fujihata writes about the evolution of computer graphics: ". . . the art of computer graphics steals photographic reality in order to construct its own." He thinks, however, that it is time to stop pursuing the ability of the computer to recreate photographic reality, "and begin to explore its other potentials" (Fujihata, *Forbidden Fruits,* 7).

Fujihata says that truly original art has to have philosophy. (Fujihata, Personal Interview, Fujisawa, 5 March 1993) His work can be very philosophical, with undercurrents of meaning, or it can simply be an expression of his personal reaction to something. Much of his work is a pun,

a joke, or a comment on the state of the arts. He creates a computer algorithm with which to express his concept visually. The algorithm is the expression, and the output is the result.

The content of the article "Looking Toward the Invisible – Playing with the Telescope of Concept" (*World Graphic Design Now*/Kodansha, 1989) gives us insight into Fujihata's way of thinking about the computer in his own artwork. Rather than a tool for making art, it is a way of abstracting reality through mathematics and programming.

> People are still searching, but new technology is allowing people to change the way they see things. Now, the new technology of computers is inadvertently changing people's awareness of life. Technology outside of this essentially has a different aspect. What appears to be a container, this thing that devours electricity and cranks inside a boneless box, has nothing to do with the abstract and weightless concept. It is completely made up of numbers existing within the machine, and controlling it.
>
> This machine is originally a partner with abstraction. It devours bits of reality one after another. For example, it easily manages large amounts of numbers which are beyond the control of humans, and forecasts the future by abstracting the complicated matter of the past.

Fujihata explains that computer algorithms are usually designed to imitate reality; however, if we distort these algorithms by plugging in variables that distort reality, then we can create a new reality within the virtual realm of the computer. His advice to his readers is to not think of the computer as simply a new tool to make art, but as a new reality for artistic expression. "If we can relate to this machine as not merely a tool, but a means of fulfilling our imaginations and clarifying our senses, we will probably get extremely interesting results."

More recently, Fujihata has been working with interactive pieces. *Global Interior Project* (1996) allowed four users at a time to move through a virtual environment and interact with one another. A physical matrix maps out the user's progress. In this work, the artist's speculates on which is the real world, the physical matrix outside the computer or the virtual space within. Another work, *Beyond Pages (*1996), explores the concept of what the book of the future would be like using digital technology and interactive

design. *Beyond Pages* is a picture book that is projected onto the desktop, and the images seem to come alive as the user interacts with them. Each page presents a new artistic concept to the viewer. The artist explores how interactive digital media can take us beyond the printed page, and analyzes the impact that new developments in language storage, retrieval and dissemination systems can have on the growth of civilization. Fujihata was honored for his interactive work at Ars Electronicas in Linz, Austria (1996) with the Golden Nike award.

In 1999, while in Karlsruhe, Germany on a research grant, Fujihata produced *Nuzzle Afar*, similar to *Global Interior Project,* but utilizing distance around the globe. Users in different countries can meet within virtual rooms and interact with one another.

Nuzzle Afar extends the idea of communication via typewritten words over the Internet into a 3D visual environment. In other words, a 3D computer generated "chat-room". Fujihata states that "The aim of this virtual environment in "*Nuzzle Afar* is . . . [to] realize an experimental model of human communication." (*Nuzzle Afar,* version 1.6, October 1998, Masaki Fujihata. http://www.zkm.de:81/~fujihata/nuzzle16.html).

These are excerpts and examples of some of the work of Masaki Fujihata, but there is a great deal more. The artist has written an abundance of philosophical literature and has incorporated his ideas into his art projects. As I continue to read and translate his written works, I will also keep in touch with the artist via email. This paper will be a presentation of his past works, works in progress, and ideas for the future.

The effect of Class Standing on Water and Health of Citizens in Developing Nations

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Abstract

"Cholera kills . . . in N'Djamena" and "Dirty water, not food shortage, blamed for malnutrition among refugees" are headlines familiar to residents in some developing nations. Water is a scarce resource in most parts of the world, especially in developing nations, but not all residents are affected equally. People at the upper echelon of society often have access to good quality and enough water for their daily usage. This is not so for the lower class, especially in developing nations. Examination of the Sahel region of Africa shows the effect of class standing on the availability of an adequate supply of water.

The Sahel region of Africa has poor potable water quality as the surface waters are used by wildlife, livestock and humans, while groundwater is often exposed to contaminants from the surface. Because of the low annual precipitation and scarce potable water, people are being forced to drink polluted waters. Women, children, and the elderly are more susceptible to ill health from drinking or swimming in polluted water. Disproportionately low-income people do not have access to an adequate supply of water. However, the wealthy are not readily affected by diseases as they have access to good quality water.

Politicians are not often interested in addressing the water needs of these people because they are poor, uneducated, and probably do not vote. Health-care professionals can help educate the poor about health, hygiene, and sanitization. Professionals, students, and politicians can help make safe adequate potable water available to all peoples irrespective of their class standing, and help them manage, protect, and prevent contamination of the water resources.

Introduction

"Cholera kills…" "Dirty water and not food shortage blamed for malnutrition among refuges" (IRIN, 2004) are some of the headlines seen in some developing nations. Water, an essential part of life is not evenly distributed in the world, and developing nations have fewer water supplies. This is even more acute with those in the lower social ladder. Water plays a critical role in all aspects of life and the inadequacy in the supply and access to water is currently being taken seriously as more than half of all humanity will be living with water shortages (Vergano, 2003 and Martino, 2003).

Is there enough water for humanity? Yes. There is enough water to meet human needs if it were equitably distributed and because this is not so, scarcities exist in several parts of the world that may be due to natural causes or due to human activities as can be seen in the Lake Chad region of Africa.
The minimum amount of water recommended for every human being is about 50 liters per day, although two liters per person per day can sustain life (Gleick, 1996; Hawes 2004). Even this minimum amount is not met in rural arid regions of developing nations due to the environmental and climatic conditions, the rich are able to get a large quantity of good portable water for their daily usage. There are some issues impacting water supply such as population, politics, and poverty (class standing). It is being argued that the basic problem is not water but poverty (Rowson, 2003; Vergano, 2003; Brew, 2004).

Poverty is usually defined in terms of one's income or the amount of material (goods) one can consume. A dollar a day per person is the minimum amount on which a person can fulfill personal physical needs. Absolute poverty is where income is below a dollar a day per person (Rowson, 2003). However, there is another definition of poverty in which income is not the determinant, the non-income aspects of poverty. In this definition, access to health services, clean water and sanitation, life expectancy, mortality rates, literacy levels, etc are considered. If you live below the poverty level, there is a higher probability that you will live in a community without access to clean water.

Poverty is one of the most important factors related to the sustainable provision of basic water and sanitation services (Martino, 2003). The unavailability of basic services is said to be a primary measure of poverty and poverty is the primary obstacle in the effective provision of basic services. Some causes of poverty include but are not limited to: isolation . . . not net-working, physical weakness, powerlessness (the poor have little or no access to justice), and vulnerability. "Water scarcity has more dramatic effects for the poor than for the wealthy." (Martino, 2003).

Poverty and diseases have a strong correlation. Some of the diseases associated with poverty are infectious diseases such as tuberculosis and diarrhea. However, adequate water supply, sanitation, and proper hygiene habits have a direct impact on infectious disease, and nutritional status could be compromised where people are exposed to high levels of infection due to unsafe and insufficient water supply and inadequate sanitation (Martino, 2003; Rowson, 2003; WHO, 2003). Malnutrition, inadequate water supply and poor sanitation are linked to poverty. This forms a vicious circle….poverty, disease, inadequate water supply.

It has been shown that social status (class standing) directly affects one's health and life expectancy. This is even more true in developed nations like America, Australia, England, Sweden, etc. (Alex Brew, 2004). It is thus not surprising to see the link between class standing, availability of water, and poor health in the developing nations as observed in the Lake Chad region of Africa.

Study Area:

Climate:

The climate of the study area is semiarid with two seasons: a long dry season from October to April with day time temperatures of 30 – 36 ^{o}C and nighttime temperatures of 5 – 11 ^{o}C and a short wet season from May to September with daily maximum temperatures of 34 and relative humidity of 40-70%. The vegetation in the study can be divided into two zones: Sudan Savannah to the south and Sahel Savannah toward the north.

Available water resources

Rain: People get water from rain when they collect water in cisterns during the brief rainy season. Rainfall is not regular and as such, unreliable as a major source of potable water. Occasionally, rain water may collect in shallow depressions. The waters in these depressions used by livestock and humans could be heavily polluted and drinking such water can have a severe negative health effect.

Rivers: Since the study area is semiarid, there are few rivers. The major rivers in the study area are the Chari and Lagone rivers systems that supply about 90% of input water to Lake Chad. The El-Beid River to the south in Nigeria and the Yedsaram River to the northwest supply about 5% of the input water to Lake Chad. The Ngadda River from the southwest and other rivers do not reach the lake. Most of the above-named rivers are very shallow and are used by live stocks and humans. Only people living close to the rivers utilize the waters. Figure 1 shows a map of the study area with the major rivers and Lake Chad.

Lakes: The only significant surface water in the region apart from the Chari, Lagone and El-Beid rivers is Lake Chad, an inland drainage basin lake. The drainage basin of the lake encompasses eight countries, although only four countries share the lake directly (Isiorho et. al, 2000; Coe & Foley, 2001). The lake is shallow (~3 meters) with a maximum depth of 12 meters. The shallowness of the lake makes the shoreline a nightmare to cartographers as the shoreline tends to migrate with the season. The old shore lines are visible in the southwestern and western portions of the satellite image of southwest Lake Chad basin (figure 2). The water is relatively fresh and safe to drink, however, not all people live near the lake.

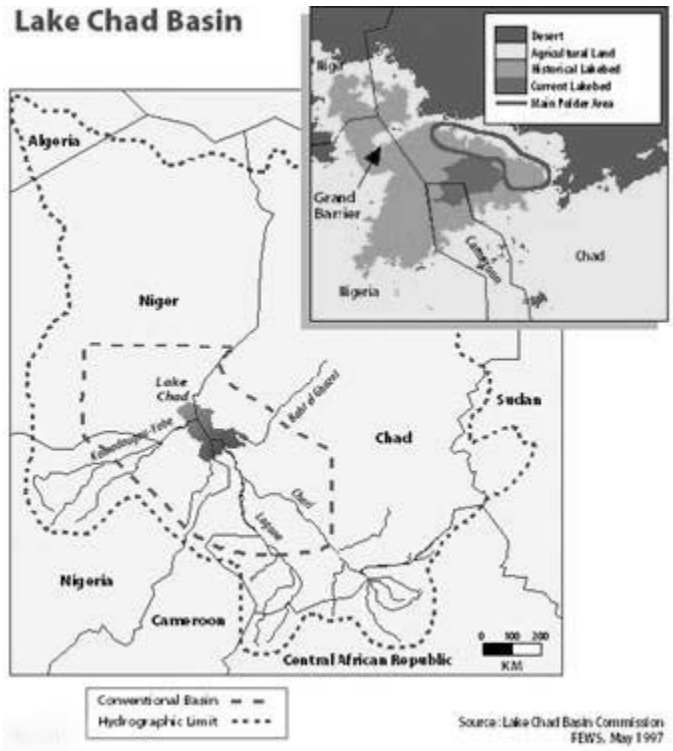

Figure 1. Map of Study area

http://www.solcomhouse.com/drought.htm (accessed October 4, 2004)

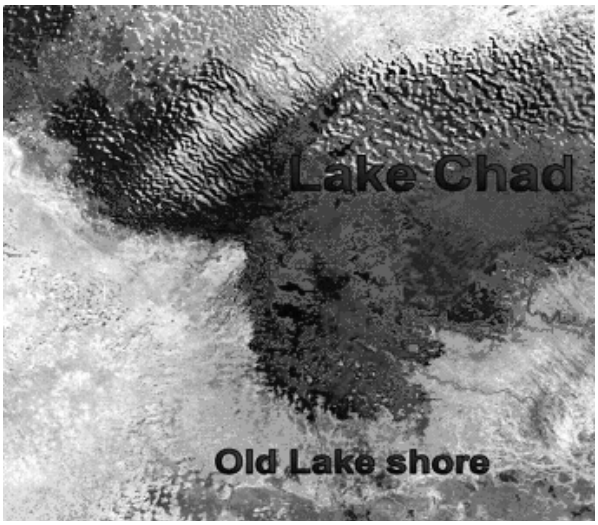

Figure 2. Landsat (2002) image of southwest Lake Chad Basin from USGS

Groundwater: Because the majority of the populations do not have access to surface water either in the form of rainwater, rivers or lakes, they resort to groundwater. Most of the wells are hand dug and relatively shallow, from one to 10 meters. Also, some of these shallow wells are about a meter wide and are usually not covered. Places that are far from the rivers or lakes tend to drill wells deeper than 30 meters. The only problem is that the wells are not well planned. The federal government of Nigeria commissioned the drilling of several thousand wells in the region but they have not met the needs of the people due to failure of some of the wells, poor quality, or thermal 'pollution.'

Problems

There are certain problems associated with the availability of water, class standing, and health of the people.

Irrigation: This is an area where a significant amount of water is being used. The South Chad Irrigation Project (SCIP) uses several million liters of water annually to irrigate several thousands of hectares. However, this project has failed to meet the expectations of providing food, job, and raise the social status of the populace in the region. Failure of such projects is not unique to the Chad Basin as similar projects have also failed in other parts of Africa and the rest of the world (Ostrom, 1992). The change in the climate and the wandering lake shore line all contributes to the failure of the project.

Artesian wells: Some of the well waters are about 40°C making it unfit for direct use. In order to use these warm waters, the natives allow the water to fill troughs that in some cases form "little lakes." In so doing, some water evaporates, and live stocks along with other wildlife use such facilities, making them susceptible to pollution. The cultures of the people were not considered as a significant percentage of the populations are nomads. Those wells that produced 'hot' water have not been used efficiently because they are allowed to run all the time and the hot water is lost through evaporation and the groundwater is literally being mined as the rate of the groundwater recharge is minimal if any. We do not enough infra-structure in place due to limited fund committed to water-related projects in the region.

The federal and state governments do not provide sufficient money for water resources in the region. For example, the current level of investment for water supply and sanitization in African is estimated at $1.3 billion a year, this figure remains totally inadequate to meet the sector's needs and has resulted in the poorest service coverage yet (Njuguna-Githinji, 2004). This low funding is not peculiar to Africa alone as the "funding gaps for clean drinking water in fracture is making people see red, even in the US where a funding gap to the tune of $535 billion for the next 20 years is staggering" (Neville, 2003).

Data: Lack of adequate data makes for a serious challenge to the management of water resources of the region. However, this is being addressed by the Global International Water Assessment (2003) and the

Lake Chad Basin Commission (LCBC). One of the objectives of the LCBC is to collect, examine, and disseminate all information on projects designed by all member nations and recommend the panning of joint actions and research projects in the Lake Chad Basin.

Population: Population is a major concern as increase in population without adequate preparation could exacerbate the already worsening water situations. The estimate is that there are 21 million people within the Chad Basin area and 54% of this population is less than 20 years old. The majority of the people live below poverty level. The nomadic residents in the region make planning a challenge.

Water quality: The low annual precipitation (~300 mm) within the area has led to surface water shortage. Because surface potable water is scarce and is of poor quality, several millions turn to groundwater. Groundwater is obtained from poorly dug wells which are shallow in depth (less than 30 meters). Boreholes are used in places where the groundwater is very deep (greater than 30 meters). Several practices at some of the wells are definitely health hazards. Some of the wells that are not covered have animals and other creeping creatures fall into the wells, and wind blown debris end up in such wells, making the waters unsafe for consumption (figure 3). Containers used for drawing water out of the wells are not cleaned and laundering is done at or near the wells.

Figure 3 showing a shallow well.

An examination of the semi-arid region of Africa reveals poor quality of potable surface water either in the form of rivers, lakes, or ponds. Because of low annual precipitation (~300 mm), many of the rivers either are dry most of the time or have low flows as observed in the Ngadda River. These rivers are often used by livestock and wildlife along with humans, so the majority of the rivers have become heavily polluted. Filarial transmitted by snails is one of the common diseases found in most of the rivers in the region.

Several water samples were taken from Lake Chad and some wells to the southwest of Lake Chad. The data show that most of the water samples are of acceptable standard. However, some have objectionable odors. Water samples collected from some local wells show that the water samples are of acceptable quality (table 1). The water is fresh as seen from the Total Dissolved Solids (TDS) although a handful has a nitrate level above 10 ppm, the maximum allowed in drinking water by the US EPA. However, few of the water samples are not fit for consumption. There is the smell of hydrogen sulfide in some of the wells, yet people continue to use water from these wells since there are often no other sources of potable water within several kilometers.

Field observations show that only people of low class standing use these wells as the wealthy or well-to-do do not live in these areas and when they do, they get their private boreholes that are well made with water tanks to hold the water, allowing it to cool before use. Also found in Bangladesh (Crow and Sultana, 2002), the low class have less access to good quality water. Along with the presence of water or lack thereof come ecological, social, and economic problems. "Innovative and sustainable water resources development would help alleviate poverty, protect ecological balance, contribute to economic and social development and enhance democracy" (Shagari, 2002). This innovative and sustainable water resource development is yet to be realized in the Sahel region of Africa.

Parameters	**Range**
Temperature	30-37 ^{o}C
Conductivity	1 -4 micro-siemen @25 ^{o}C
Total Dissolved Solids (TDS)	67-254 ppm
Chloride (Cl)	120-240 ppm
Dissolved oxygen (DO)	0-4 ppm
Sulphate (SO4)	204-276 ppm
Nitrate (NO3)	0-27 ppm
Iron (Fe)	0-0.6 ppm
pH	5.6-8.6

Table 1. Five well water samples from the southwest part of Lake Chad Basin.

Water related diseases: On a global scale, about 2.3 billion people suffer from diseases associated with dirty water, with 3 million people dying each year from diseases caused by contaminated water. Table 2 shows estimates of morbidity and mortality of water related diseases. Water related diseases could be water borne such as diarrhea, cholera, typhoid, dysentery, polio, meningitis, hepatitis A and E. Some of these diseases could be eliminated by filtering and boiling the water. There are water-based diseases such as guinea worm, filariasis, schistosomiasis and others are related to water related vector such as malaria, yellow fever, dengue, and sleeping sickness. About 60% of infant mortality is linked to infectious and parasitic diseases associated with lack of or poor quality of potable water (Fr. Bill Turnbull, 2003).

Table 2: Estimates of Morbidity and Mortality of Water-Related Diseases

Disease	Morbidity (episodes/year)	Mortality (deaths/year)
Diarrhoeal Diseases	1,000,000,000	3,300,000
Intestinal Helminths	1,500,000,000 (people infected)	100,000
Schistosomiasis	200,000,000 (people infected)	200,000
Dracunculiasis	100,000 (people infected, excluding the Sudan)	-
Trachoma	150,000,000 (active cases)	-
Malaria	400,000,000	1,500,000
Dengue Fever	1,750,000	20,000
Poliomyelitis	114,000	-
Trypanosomiasis	275,000	130,000
Bancroftian Filariasis	72,800,000 (people infected)	-
Onchocerciasis	17,700,000 (people infected; 270,000 blind)	40,000 (mortality caused by blindness)

Gleick P. H, http://www.hf.caltech.edu/hf/b3/library/kio-wat/w_table1.html (accessed Sept. 29, 2004)

Women, children, and the elderly are more susceptible to ill health from drinking or swimming in polluted water. However, the wealthy are not readily affected as they have access to good quality water. Most of the sickness among children in the region can be prevented through an adequate supply of clean water. Disproportionately low income people do not have access to an adequate supply of water, which explains why a greater number of them are affected by diseases from drinking water. Healthcare facilities are usually non existent and where they available are poorly equipped and staffed.

Health professionals can help minimize poverty by insuring interventions in the health sector to benefit the poor. Healthcare professionals should take care of (treat) the poor just as they would of the wealthy. They can provide better education of the health benefit of drinking clean water, sanitation, hygiene, etc. In other words, help provide justice and equality for the lower class standing people in our societies.

Politicians: Politicians are often not interested in addressing the water needs of these people because they are poor, uneducated, and most do not vote. Most politicians usually do not visit these areas and when they do, it is during election times. They basically 'buy the people's votes' by giving some bags of rice, flour, salt and some other food items. As the majority of the people are of lower class standing, they are not usually aware of what the government is after and most do not cast their vote. It is thus easy for the politicians not to be bothered about the welfare of such people. There is some movement by politicians to examine water issues among the poor and it is hoped that with education, consultation with all stakeholders, and sound management practices, good quality potable water will be available to all peoples irrespective of their class standing (social status). Towards this end, college students should be made aware

of the inequalities of water distribution especially among the poor citizenry. Politicians need to be involved. As there are no solutions without political solution in most cases (Mara and Otterpohl, 2004), we need to involved all stakeholders, including healthcare professionals and students, the future leaders of tomorrow.

Conclusions

There is shortage of good quality potable water in the Sahel region of Africa. Although both surface water and groundwater are of fair condition, they are quickly becoming polluted through human activities. Low social status people are disproportionately affected by lack of access to good potable water and thus suffer the health effect resulting from water related diseases. Increasing population and climatic changes would continue to pose challenges to water resource management. However, to come up with solution pleasing and acceptable to most people, all stakeholders should be involved through education, and participation in activities that would make for good management of the water resources of the region.

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The Founding of a Nigerian Group, My experience.

by

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Abstract

Foreign-born Americans form groups to remind them of their 'home land' and Africans are no exceptions. As more people ask Africans if they know those from the African continent lead to the formation of a Nigerian group within our community. The Nigerian Association in Fort Wayne (NAFW) continues in its third year from a dream I had on bringing Nigerians together. The saying "Uneasy lies the head that wears the crown" is a true statement as observed through my experience with the formation of the group. We achieved several goals, bringing Nigerians together, having national day celebrations, raising awareness of the rich cultural, natural, and human resources in Nigeria. Despite several obstacles, it is gratifying to note that a Nigerian group is now in my community with another group encompassing all Africans under way.

Introduction

How many times have you thought of starting a group or a company? How did you prepare, and what was the result of your efforts? Aliens and residents in the United States often form groups or associations for one reason or another, usually in an attempt to fellowship with those of similar background. One question Americans ask when they know you are of African descent is, "Do you know so and so who is from Africa?" Some Americans think Africa is a country so they expect you to know everyone from there. This is ironic considering the fact that some Americans do not even know their next-door neighbours. However, these questions raised an awareness to have a united body for

Africans living in different cities/states in the United States.

Africa, a continent with more than fifty independent countries has about thirteen percent of the world's population. However, with the constant question of do you know so and so African, it dawn on me, the need to gather Africans together within our community. Since I was not very familiar with most Africans living within my community, I chose to start by inviting Nigerians to a-get-together.

This burning desire to see Africans united in the United States lead to starting with Nigerians. Nigeria is the most populous country in Africa, and it is said that one of every five Africans is a Nigerian. My friend and I decided to collect names and addresses of Nigerians we know, and we also checked the area phone books for names that appeared Nigerian. We sent several invitation cards captioned "Getting to Know You." The meeting was scheduled for the first week in January. To make for a warm environment, the meeting was held in a home, and the two families furnished the food and refreshment.

The meeting was held the first Saturday in January of 2002 although the city was blanketed with more than 3 inches of snow. After food and drinks were served, the hostess welcomed everyone and stated the objective of the meeting was to have Nigerians get to know each other and to have one voice. Several people expressed their appreciation for organizing the party. They wanted more of the meetings (partying) At this point, several people suggested that the two women who spearheaded this gathering should organize a Nigerian group and that we all would support them in every way possible.

Questionnaires

We surveyed the participant through a five-question questionnaire after the meeting to gauge the interest in forming such a group. Nineteen of the fifty surveys were returned. The survey results show they all enjoyed the meeting and would attend a similar meeting if held in the future. In terms of how often they should meet, most people were in favour of meeting more than once in a year. Some of the comments are listed below.

"Thanks for everything, it is great."

"It was a worthwhile event and we should keep it up."

"I hope people can be committed. Commitment is the key to success."

"I really loved the idea of us Nigerians coming together, it is so great. Thank you and God bless."

"Let's forge a Nigerian unity."

"Organize group of people to come up with purpose of the meetings."

"Thank you for opening your house to all of us. May God bless you and your family Also thank you for bringing us together and I pray that the enthusiasm is still there many months to come."

Despite the snow, more than one hundred people turned out for the party. Some of the folks were not aware there were so many Nigerians living in the city. Among those present were ministers, physicians, nurses, pharmacists, professors, business men and women, engineers, college students, home makers, children, and many others. The group decided that it is good to have a body to represent Nigerians in the region. It was recommended that the two women make up the task force to form the group.

The After Glow

Subsequent calls for meetings were less successful because the attendance was very low (less than six people). Email, phone calls and cards were sent out for several meetings to elect members to serve as officers of the new group. However, at one such meeting, with ten people present, an election of officers took place in summer of 2002 for the new group. The president and vice president were the ladies that initiated this group. A treasurer, and a secretary were nominated and 'advisers' were mentioned. At this point in time, efforts were made to formalize this group. The objectives of the group are to:

(a) "Promote and facilitate awareness and interaction among Nigerians in Fort Wayne;

(b) Promote the general welfare of members;

(c) Foster unity, understanding, and respect of the diversity for our ancestral homeland Nigeria, for the United States of America, and for humanity.

(d) Promote and coordinate social, cultural, and economic programs aimed at enriching the lives of members, the people in the community, and in

Nigeria."

What's in a name?

The group decided on a name, "The Nigerian Community in Fort Wayne." This name was soon to be a turf war. Several years ago, there was a Nigerian group in the community but became defunct after it was officially disbanded. One of the members issued a threat of a lawsuit if the name was used. The officers in the defunct group said it was okay to use the old name but because of the threat of a lawsuit, the new group chose a new name. Fortunately for us, some of the people who were involved with the old group are also in this group. The individual who threatened the legal action was in the "Getting too know you" party, was also invited to all the meetings and the first national day (Nigerian Independence Day celebration) organized but did not attend. At a meeting after the celebration, it was decided to change the name to the "Nigerian Association in Fort Wayne" (NAFW) and the new name was registered. After the name change along with some other circumstances, the individual threatening the law suit became an active member of the group.

Children:

A special trip to the nationally acclaimed Fort Wayne's children zoo was organized to encourage children and for the children of Nigerian descent to feel part of the group. There was a low turn out as only a handful of parents attended with their children.

A look Back

The first year ended with the nomination of the first executive, a national day celebration, name change and registration (November 25, 2003) with a constitution drafting committee appointed, and end of year celebration. Also, there were two speakers during the national day celebration and a clown to entertain the children.

The second year saw an increase in attendance and a cautious effort to get a constitution in place. The second national day celebration was held in a community center with the

mind of teaming up with African Americans in Fort Wayne. It featured a guest speaker from a neighbouring state who spoke on raising African children in American culture. There were fashion show, traditional dances, breaking of kola nuts, and different types of music. The mayor of the city issued a "Certificate of Appreciation to the Local Community of Nigeria in recognition of valuable contributions to the city of Fort Wayne, Indiana (October 4, 2003)." A delegation on September 21, 2003 met with the president of Nigeria President Olusegun Obasanjo when he visited South Bend, Indiana. A draft constitution was ratified.

At the beginning of the third year, 2004, a new executive was elected in January 31, 2004, taking over from the pioneering executives. The new president of the group thanked the outgoing executive, even though; the manner in which the election took place was somewhat controversial.

Lesson

Uneasy lies the head that wears the crown is true even for a small group of less than 200 people. Despite insults, abuses, marginalization, and criticisms, we persevered to see to the survival of the group. Follow your dreams even when things seem tough. There is now a forum where Nigerians meet in our community. This same model has given rise to an African group that started meeting late in 2003. We are now using our experience in helping the executives of this new African group. Is it worth the pain, insults, trouble of starting the Nigerian group? It's a great experience and a thing of joy to see the group in existence. Long live Nigeria and God bless the United States of America for providing the atmosphere for such a cordial relationship amongst people of diverse background. Nigeria, with more than 250 ethnic groups, is not an easy country to govern. "Local and international observers of our political scenery and culture say that the art of governance in Nigeria is heavily plagued with the spirit of lies and deception.… They circumvent their own promises or pledges." (Kamson, 2004). We hope the above statements will not be applicable in a body such as the NAFW. Keeping to time was also an issue as meetings start between fifteen and forty minutes late. Despite some initial problems, the group is in place and continues to draw-in people.

It is a challenge to foster cooperation among Nigerians even in the United States. The mayor of the city recognized the group in the second year of the group's existence. We are attempting to connect with the African Americans by organizing activities together. There are still challenges within the group, but the desire to have Nigerians in the city working together in the city has been fruitful, and lessons learned from this process will be invaluable in future tasks.

Acknowledgement
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LUCE IRIGARAY: YOGA, SUBJECTIVITY AND TRANSCENDENCE

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Luce Irigaray: Yoga, Subjectivity, and Transcendence

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Charlene Spretnak – Luce Irigaray Ethics of Sexual Difference
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"Women seem never to have produced the singularity of their own body and world" (Luce Irigaray 1984 109).

"The cultural and social injustice, which nowadays goes unrecognized, must be interpreted and modified so as to liberate subjective potential in systems of exchange, in the means of communication and creation. In particular it must be made apparent that we live in accordance with exclusively male genealogical systems" (Luce Irigaray, 1993 16).

The purpose of this paper is to evaluate Luce Irigaray's Ethics of Sexual Difference for its emancipatory potential in empowering women. "Sexual difference means that man and women do not belong to one and the same subjectivity" (2004 12). For Irigaray, "the fulfillment of our humanity...requires an equivalent consideration for feminine and masculine values" (2004 11). Towards this end she practices yoga and incorporates it into a new spirituality based on breathing and "the cultivation of sensible perception" (2002 56). She teaches that women are autonomous subjects who must communicate our female values in this "between-men" culture (which objectifies women and nature) in order to protect the issues that are ours to conserve [1]. When women understand and express our equally valid ontology we unveil an epochal transformation in relational behavior between the sexes based on the unalterable "alterity" of the "other." Communication would then proceed along a "horizontal transcendence" between the

[1] Luce Irigaray in *Je, Tous, Nous*, 1993, 13, "It's important for each individual woman to realize the significance of the issues at stake which fall to them. Issues associated with the respect for life, and culture and with the continuous passage of the natural into the cultural, the spiritual into the natural."

sexes with equivalent respect for each other's values within this most initiatory of human relationships. By accepting sexual difference as a valid reason for creating a new culture of communication, peaceful cooperation within a multi-cultural society and world is possible. Tapping the resources of our morphologically different body gestates women's values and subjectivity, an inheritance stamped out of Western culture by patriarchal society for millennia. As Irigaray states in her dialectic way: "I don't understand what 'masculine discourse" means." "Of course not, since there is no other" (1985 140).

Irigaray not only critiques what she calls the "between men" culture, she also rebalances the injustice through her comprehensive "ethics of sexual difference." Her cogent analysis of language and relational patterns between the sexes lends authority to her ethics. In the history of civilization Irigaray notes (1993 16), "the sexual order has been neglected," and she asserts, "what we need for our future civilization, for human maturity, is a sexed culture" (16). In my experience, and Irigaray alludes to this also, hatha yoga structures a practice for a new corporeal religion of breath and body to mediate the spiritual culture of horizontal transcendence, where a masculine God proclaiming men's values will no longer serve the gender-balanced polis. I will examine Irigaray's ethics of Sexual Difference through her discourse on subjectivity, transcendence, and yoga to prove my assertion that yoga practice, by nurturing an empirical subjectivity and awakening a vertical transcendence through its mythos of the maternal divine, is an indispensable progenitor for harmonious communication between the sexes in the coming epoch.

My Bias

My bias is that I am predisposed to agree with Irigaray's "ethics of sexual difference". As a middle-class, seasoned, and educated American feminist of Swedish heritage, I see the importance of awakening women's subjectivity in all fields of culture. I see the wisdom in choosing a horizontal dualism of two transcendencies rather than a monosubjective absolute, which adjudicates masculine bias. I recognize the profundity of unearthing a respect between two differently sexed subjects, as in Irigaray's ethics; or as in yoga's Samkhya philosophy, where reality is generated between the gendered attributes of matter and spirit where (female) matter is the active force and spirit (male) passively witnesses. Long years of practice and study in yoga benefit me physically, mentally and spiritually. My research links yoga to the dualist Samkhya philosophy, and to Tantra, one of India's Goddess religion, which is especially designed to honor nature by homologizing it in our bodies in homage to the natural world while healing our bodies at the same time [2]. The yoga body can be a stepping-stone to women's authentic subjectivity, a preliminary step towards a community of horizontal transcendence.

Methodology

After surveying Irigaray's ethics of sexual difference, and her theories of a horizontal transcendence between two subjects, I will examine her emphasis on yoga as a transformative path, especially hatha yoga, and the effects this practice has on the physical and cultural levels. I will discuss Irigaray's corporeal philosophy, which along

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[2] Mircea Eliade. *Yoga Immortality and Freedom*. 1958. Eliade says the Tantric religion from which hatha Yoga arose, "is above all a practice, an act, a realization" (p. 211) and notes that by observing nature, the yogis would endow themselves with "a profound assimilation of the physiological functions to the life of the cosmos" (112).

with yoga practice, increases women's subjectivity by teaching them a body-based empirical path that cultivates sensible perceptions to transform their relationships not only to the systems within their skin but also their relationships with nature and, ultimately, with culture. "Our body right now gives us a very different certainty. Truth is necessary for those who are so distanced from their body that they have forgotten it" (1985 214). My methods will be a review of cultural history, empirical phenomenological experience, and a hermeneutical study of Irigaray's writings.

Dualist Philosophy Links Yoga and Sexual Difference

I believe that yoga practice is a helpful way of increasing subjectivity in women. The key word is practice. Yoga is an empirical tradition of body-based wisdom that stems from a metaphysical dualism where matter is female-gendered and considered the "personification of primordial energy...as well as the controller of all the forces and potentialities of nature" and imagined as a Goddess, Shakti (Bhattacharya 1974, 1). My research links yoga with the matristic pre-Vedic female aboriginal traditions in ancient India, the "agricultural peoples who based their social system on the principle of mother-right" (*Ibid.*). The two main schools of Yoga (Raja and Hatha) are both explained by a dualist proto-materialist metaphysics called Samkhya, an aberrant dualist philosophy in the predominantly non-dualist (advaita-Vedanta) religious culture of India, where all is "maya" or illusion, and the only reality is Brahman, or God, a monist worldview pithily encapsulated by philosopher Huston Smith in the phrase, "all is God[3]." Irigaray points out that these so-called "universal" systems are defined by the values of a predominantly

[3] Smith taught us the different conceptions of God (monotheism, polytheism, pantheism, monism) during a lecture at Krotona, school of Theosophy in Ojai, January 2000.

masculine gender (1984 121). Hence yoga's accompaniment by the dualist Samkhya promises insurrectionary potential. Samkhya philosophy fertilized the Tantric religion, which arose in 6th century CE India and proclaims the Goddess Shakti as their Supreme Being. This religion was the cradle of Hatha yoga.[4]

Irigaray's ethics of sexual difference are also a dualism promising insurrectionary appeal. Samkhya philosophy posits a horizontal transcendence between the material and spiritual forces. In Samkhya, the material realm is female gendered and exemplified in Shakti, the great mother goddess who creates all life by uniting with Shiva, her male consort, the conscious (spiritual) but passive witness of Shakti's myriad life forms (Bhattacharya, 1974 17). Irigaray also envisions a horizontal rather than hierarchical dualism, calling for respectful dialogue and "horizontal transcendence" between the two halves of humanity, who each claim for themselves authentic subjectivity and who "love to share"[5] the sexually different, unapprehendable world of the opposite sex while living securely within the mystery of their own biology.

Awakening subjectivity in women is preliminary to women's reclaiming their autonomous authority in a culture of horizontal transcendence. I believe yoga practice can encourage it. Yoga teacher and author Donna Farhi writes, "Intrinsic to this practice is the uncompromising belief that every aspect of the body is pervaded by consciousness...This down to earth flesh and bones practice is simply one of the most direct ways to meet yourself" (2002 16-17).

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[4] Georg Feurstein, *Yoga: The Technology of Ecstasy*. 1989 246. "Athletes of the spirit intensively explored the hidden potential of the human body. Their curiosity, daring and persistence led to the creation of what came to be called hatha yoga, the yoga of the force. The force is the esoteric serpent power Kundalini Shakti celebrated in the Tantras."

[5] Luce Irigaray, *The Marine Lover of Friederich Nietzsche.* 19, "But since I have never mellowed, I still want to live. And if your hour ends when mine begins, that gives me no pleasure. For I love to share whereas you want to keep everything for yourself".

Roots of the Monosubjective Culture

Irigaray's ethics rest on the assumption that women will be strong enough to tackle their own becoming in a cultural landscape ruled by masculine values that are hostile to our gender and prediscursive subjectivity (2004 ix). About masculine exclusion of women from the cultural landscape she observes, "Such an avoidance seems to result from a lack of any existing relationship with the other which respects difference" (2004 38). Irigaray attributes this to masculine rejection of his maternal origins, his original home enveloped by the womb of the mother.

> The first other in the life of a man, the first human you with whom he is in communication is a feminine-maternal you. But this you becomes merged in a nature from which man has to differ in order to become a subject. The first other, the initial you, thus remains ignored, forgotten in its alterity. Furthermore this other is a female other; a subjectivity to be recognized in its difference. The originary character of this you, this you differently sexuated with regards to the masculine I, would become the apriori framework we need to recover a just perception of any other in our culture. (2004 38).

The first "I – Thou" relationship, then, envelops the male subject, transcending his "future masculine subjectivity" (*Ibid.*). It is a prediscursive reality, which remains beyond the grip of rational language-based understanding. "In order to secure the stability of his thinking, his logos, the masculine subject will thus reduce feminine maternal subjectivity to a non-Being..." (*Ibid.*). This "prediscursive" relationship can never be explained within the male rational subjectivity, as it transcends Western logic,

knowledge and judgment. "To escape a return to such a substratum, he has elaborated a culture of men and between men, a culture of the same as he is" (2004 9). Therefore, masculine subjectivity secures itself by erasing the memory of the "originary other," and patriarchal, phallocentric society is the result. Irigaray observes,

> The law of the father should bring order where at the beginning there would be only fusional chaos. But only God can become a counter-balance capable of veiling the problem of the maternal transcendence. Now God is designated in our Western tradition with a masculine gender. Thus the transcendence will be expressed by a gender different than that of the mother. Sexuate difference as such is then evaded rather than considered as a reality that underlies our culture. (2004 38)

For Irigaray, "sexuate difference" initiates a "process of differentiation" (*Ibid* 39), in the relationship between the sexes. She believes a new stage has been reached where the male subject will recognize and value "the transcendency of the originary you. This work requires the active recognition here and now of the irreducible difference between a feminine you and a masculine I" (*Ibid.*). It is not only to the maternal you that masculine culture must re-consider and re-cognize but also to "the other as woman" (*Ibid.*). Only when man realizes that woman represents a "being beyond all its judgements" (2004 39) will a discourse be possible between "the two transcendencies" (*Ibid)*. Woman can do her part in this process, according to Irigaray, by refusing to be assimilated with nature's maternal capacities and by "cultivating her own subjectivity" (*Ibid*).

That phrase jogged my mind, and I realized I wanted to know how I could cultivate my own subjectivity. As I considered my livelihood as yoga teacher, I thought

how yoga had empowered me to get this far, and I know how feeling healthy keeps me happy and strong. These were qualities that could empower women to unfold their subjectivity. I was delighted to learn that Irigaray also turns to yoga in this vein.

By the 'Twain

> The existence of a double subjectivity opens a horizon yet unknown for our history. And it would be helpful from now on to abandon the cross of suffering entailed in a realization of the absolute...an absolute saturated with language in order to return to the absolute silence that the respect for other as irreducible to oneself calls for (2002 100).

Irigaray underscores the momentous necessity for a society between sexed subjects engaging in autonomous dialogue to cultivate a cultural zeitgeist hospitable to each gender. Analysis of linguistic evidence proved that discernible differences in relational patterns exist between the sexes. Irigaray notes,

> There are two linguistic chains that enter into interaction leaving open the totality of meaning and of its verbal, gestural, or plastic expressions. Between these two subjects, men and women, there takes place then not only a natural generation, that is to say children, but also a spiritual generation, a culture foreign to a unique objective, and a unique absolute. There is no risk, thus, of a totalitarian order composed by only one truth, only one subjectivity, only one leader (2002 99-100).

For there to be dialogue in the matter of religion, we need a sexed culture. When patriarchal celestial Gods supplanted the Neolithic Goddess civilization in ancient Greece, they cut the oracles off from their roots in the immanent earth. "The change was

accompanied by modifications in law, justice and rhetoric. A new logical order was established, censuring women's speech and making it gradually inaudible" (1993 17). With a sexed culture, Irigaray teaches, "There no longer exists one soul logos, defined always forever in the horizon of only one absolute or only one God and supposedly inscribed in the neurons of the human species" (2002 99). When both halves of the sexes maintain respect for each other's difference, a replacement for the spiritual values of Western religion will be sought. "Such would be the mysteries of a love respectful of difference: to intuit or glimpse an absolute ideal without claiming to realize it objectively or alone" (*Ibid.* 104).

A Spiritual Path for Sexual Difference

Yoga celebrates the corporeal body. Since yoga's parent philosophy, Samkhya, conceives *prakriti* or matter, as the Great Mother Shakti, yoga is a therapeutic technology based on postures and breathing. Irigaray is particularly impressed with yoga's potentially liberatory breathing techniques. She states, "The soul corresponds to the life of the body...cultivated to the point of acquiring the autonomy of breath" (2002 75). Once we know ourselves, we need to exercise our different subjectivities: "The human species is made up of two genders, irreducibly different, attracted to one another by the mystery that they represent for each other" (2002 83). Yoga links us through an empirical philosophy of our bodies to our subjective transcendence. "It is in sexual difference that the split between human and divine identities can be overcome thanks to a cultivation of energy, particularly a cultivation of breathing" (2002 90). In the plainest language, Irigaray exhorts:

> This passage to another epoch of the reign of spirit depends upon a cultivation of respiration, a cultivation of breathing in and by women. They are the ones who can share with the other, in particular with man, natural life and spiritual or divine life, if they are capable of transforming their vital breath into spiritual breath. This task is great, yet passionate and beautiful. It is indispensable for the liberation of women themselves and, more generally, for a culture of life and of love (2002 91).

Irigaray emphasizes the importance of knowing ourselves to engage in subjective dialogue with men. "The most universal and irreducible difference is the one between the genders. It appears as the empirical as well as transcendental condition for guaranteeing the possibility of a new epoch" (2002 98). Hatha yoga modulates movement in our deepest tissue centers. Subjectivity is awakened as we communicate authentically with our body and its different adaptations. Silent witnessing of wholehearted breath winds its way through our movement, as nature's numinous quintessence illuminates mindful experience. Through our bodies, in yoga, we homologize nature. And nature is as real as anything. It is what I trust to lead me back to my soul's origin, as it is untainted by the discourse of man's "infallible" revelations.

Irigaray has been criticized for being essentialist because of her discourse on difference through biology. Essentialism is a philosophy that claims women are essentially this or essentially that, such as essentially more nurturing because of their capacity for child bearing. For Irigaray, a culture must valorize difference, and women must decipher and change the outdated norms mediating our reality. "Social justice,

especially sexual justice, cannot be achieved without changing the laws of language and the conceptions of truths and values structuring the social order" (1993 22).

A new religion shared through breathing and corporeal cultivation of energy balances the hierarchical dualism characteristic of Western theology. Irigaray's ethics posit a horizontal transcendence between two autonomous subjects who can fecundate the world by sharing it through the eyes of the opposite gender. This awareness of the mystery that the differently sexed human brings us is similar to the inspirational cycles of nature, which delight our senses and spirits. Perhaps it is cultivation of this sense of awe between the two halves of humanity and between humanity and nature that will replace the awe we usually reserve for communion with God. Western religion has imprisoned God within a monosubjective discourse. Vivifying the divine through the body, and together with the differently sexed body of the other, is ripe with promise.

Real Men like Shakti Women

In *Immemorial Waters*, her paean to Nietzsche, Irigaray (1991 19) considers how the unknown and mysterious side that women represents for men, leaves a man feeling naked without concepts in which he can safely contain women's subjectivity. While critiquing Nietzsche, she queries:

> If for men their God is dead, where can the divine be spoken without preaching death? Where can the music be sung that calls neither to the unique nor to the eternal but to this new tiding – There is no greater happiness than living, no greater rapture than love (1991 20).

Irigaray cautions philosophers to remember their origins, "Learn what was the foundation of everything you have built up. If you want to rise up once more, remember the earth you take flight from, for if she were to fail you, you would lose the very sensation of height" (1991 20). With this admonition she is reminding humanity to remember the maternal container, the originary other through which each one of us comes into the world, as well as nature who ceaselessly fecundates life. She reiterates,

> My fortune would be to discover your limit and coming closer to the boundaries of your body, to journey back to the well-spring of your life with you, allowing you also to sip from mine. And to join those first springs which have been dammed up beneath appearances and waste of all kinds (1991 21).

One of the foremost objectives of women's values is to protect nature, for it is upon nature that humans can grow food and nourish themselves and others. This basis in corporeality also runs through Irigaray's discourse. "Who or what can move us out of mere survival except a return to the bodily-fleshly things that have never come to full flower" (1984 144).

The patterns of language are an empirical phenomenon that has escaped examination for centuries. "Patriarchy, like the phallocracy that goes with it, are in part myths which, because they don't stand back to question themselves, take themselves to be the only order possible" (1993 23). Since the between-men culture has built itself through language, it is a significant advance in feminist studies to have a woman perceive and articulate the different patterns she uncovered between the two sexes. For instance, men prefer relating themselves to objects, such as to their work, or material possessions, or women; women prefer relating to one other person, preferably of the other sex, as

subject to subject. When men relate to other people, they prefer to be a subject among a group of others, especially of their own gender (2004 10).

> The problem is that some of these characteristics belong to masculine subjectivity and the other to feminine subjectivity and that our culture is constructed starting from masculine values. The values of feminine subjectivity in great part are still unknown and yet to be cultivated. (2004 10)

Irigaray articulates a reason for the gender inequities in our culture, "The realities of which his discourse speaks are artificially mediated to such an extent by one subject and one culture that it is not really possible to share them" (1993 35). Unfortunately, like the fable of the frog in the stew pot, which heats up so slowly that the frog acculturates to the temperature and seals its doom, we are not aware of how deeply patriarchal culture proscribes our worldview. Irigaray points out, "We are subject to conditioned social rules that we confuse with freedom: a single sex or gender and not two, the (patriarchal) culture we are familiar with and no other" (1993 46).

Irigaray answers the essentialist criticism by asserting that the reality for the "second sex" in gaining their social and political rights are rooted in these "relations between biology and culture. At present, to deny all explanations of a biological kind – because biology has paradoxically been used to exploit women – is to deny the key to interpret this exploitation" (1993 46). Emphatically she sums up, "In order to obtain subjective status equivalent to men, women must gain recognition for their difference" (*Ibid.*).

Deconstruct to Reconstruct

The purpose of this paper is to show women that yoga is a path to subjective autonomy, empowering us to realize and express our gendered values. In my field of women's spirituality and yoga, I work to change the symbols of the divine that do not valorize women. Irigaray's philosophical aptitude lends a provocative edge to her work. "Thus my criticism of Western culture above all concerns the forgetting of her – as woman, nature or Goddess" (2004 7). Upon the heels of this forgetting, the patriarchal culture rises, defining and leading Western society based on masculine paradigms and its monosubjective discourse. Irigaray's work is a survey of such discourse, "To make appear such errors of thinking by those who were considered the greatest masters of our culture" (2004 viii).

The only escape from the aporia of a neutered world is, according to Irigaray, to construct a "culture of two subjects" (2004 viii).

> The criticism of a monosubjective culture must remain a constant gesture. But it has to be accompanied by the construction of another culture, and even two – one appropriate to female subjectivity and a culture concerning the relationship with two different subjects (*Ibid.*).

Above all Irigaray's work has been about the "forgetting of the existence of a subjectivity which is different from a masculine subjectivity, a subjectivity in the feminine. And this oblivion goes hand in hand with the oblivion of the importance of nature, outside or inside humanity and of the Goddess (es)" (*Ibid.* vii).

Conclusion

My work has been to teach people yoga, thereby helping them to relax, and alleviate painful bodies and minds. My research is in religion, specifically Women's Spirituality. I agree with Irigaray who concludes that the core issue is a question of valuing life (2004 *ix).* Difference is not only a question of women's biologically different imperatives, but that we relate to the world and each other in a different way, which is why our values need to join the current of Western discourse. My thesis is that yoga practice lends itself to subjectivity because it is an experiential practice that vivifies our body, thus cultivating a healthy brain and optimizing conditions for a blossoming subjectivity. According to Irigaray a culture "tied to experience cannot be reduced to the representation of an already written corpus" (2002 59). This practice aligns with women's prediscursive transcendence, allowing our values to surface to fruition as we move away from a culture dominated by rational language and masculine subjectivity. Irigaray learned form the yoga and Tantric traditions,

> that the body is itself a divine place – the place or temple of the divine in harmony with the universe... Through practicing breathing, through educating my perceptions, through concerning myself continually with cultivating the life of my body, through reading current and ancient texts of the yoga tradition and Tantric texts, I learned what I knew: the body is the site of the incarnation of the divine and I have to treat it as such (2002 61).

Irigaray's work is important not only because she critiques the monosubjective patriarchal culture, but she also points out that it is based on a masculine subjectivity that has expelled female subjectivity from the cultural plane. Irigaray objects to the

"domination of the philosophical logos" (1985 74), which reduces everything to a universal sameness defined by the subjectivity of one sex whose authors are the unchallenged thinkers of our time. This one-sidedness has unbalanced our world, and the cure is to invite female subjectivity back into the cultural dialogue through the ethics of sexuate difference. In order to find the stability of an authentic subjectivity from which to deconstruct and reconstruct society, women are turning to the ancient matristic art of yoga practice which valorizes a Goddess, (Shakti) as well as addresses the corporeal reality of nature both inside and outside our bodies. Yoga can lead women to the goal declared by Irigaray: "I seek an alliance between the one who you are and the one who I am" (2004 2).

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SHAKTI TANTRA: MYTH AND MATRIARCHY IN HATHA YOGA

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Shakti Tantra: Myth and Matriarchy in Hatha Yoga

"Humans cannot tolerate ecstasy deprivation"[1].

Weaving long years of yoga practice into my studies in Women's Spirituality, I saw the connection of yoga to nature, and through nature to the Goddess religion where the deity is immanent in the earth. I began looking for the roots of yoga, hypothesizing that it originated in ancient matriarchal cultures. My question was not exactly did women invent yoga, but was yoga born in ancient matriarchal cultures, and with its popularity among women today does this signify a resurgence of a gender balanced culture? My theory is that by understanding yoga's link with matriarchal and goddess cultures in earlier times, we will understand its usefulness to us now as we work to reconstruct a more egalitarian society and gender-balanced religious symbolism. Eisler believes, "turning to yoga...finding a transformative process that systematically awakens, coordinates and realizes latent resources in human nature" facilitates "full self awareness"[2]. She explains, "reinvesting the body with the sacred is the most important building block for partnership spirituality"[3]. Judy Grahn also recognizes that the ancients enacted the cosmos, by using the postures and forms of their own bodies "turning themselves into cosmological metaforms"[4]. And Goodman declares, "humans cannot

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[1] Felicitas Goodman. *Ecstasy, Ritual and Alternate Reality.* 1988, 171.
[2]Eisler 379.
[3] *Ibid.*
[4] Judy Grahn. "Marija Gimbutas and Metaformic Theory: Women as Creators of Cognitive Ideas." 1997, 543 in *From the Realm of the Ancestors*.

tolerate ecstasy deprivation"[5]. The purpose of Shakti worship was to "achieve unity with her forms" thus realizing "the experience of liberation"[6]. With this view in mind, I consulted books on India's Goddess centered Shakti Tantra religion, its cultural and archaeological history, and anthropological evidence that cultures have long done postures to reach altered states. Current feminist scholarship is also cited highlighting how yoga is a modern form of matriarchal art.

Eisler states that the return of spring was a fundamental event of the Neolithic Goddess religion[7]. I have always referred to Yoga, experientially as the "greening" of the body. Yoga embodies elements of a matriarchal legacy and its rise in popularity today is concurrent and I believe correlated with the rising goddess movement. Yoga teaches that enlightenment is realized through our bodies, so they should be as healthy and strong as possible. When the Goddess religions were supplanted by patriarchy, Eisler notes that the seeds of the old religion were embedded in the hybrid societies[8] and evolved into greater complexity[9], which is what happened with Tantrism, the movement that birthed Hatha Yoga. "The yogic process peculiar to the Tantric tradition which straddled Hinduism and Buddhism is known as *kaya-sadhana*, 'body cultivation'. It was the cradle of Hatha Yoga"[10].

In today's world, patriarchy presents older women as worn out, with no value, "treated like throwaways"[11]. Yoga brings women together in a group, concentrating on what is profoundly healing to our bodies, and nurturing to earth, inviting nature's

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[5] Goodman 1988, 191.
[6] Bhattacharya 130
[7] Riane Eisler. *Sacred Pleasure*. 1995, 28.
[8] *Ibid.* 31.
[9] *Ibid.* 36.
[10] Georg Feuerstein. *Yoga: The Technology of Ecstasy.* 1989, 281.
[11] Vicki Noble. *Shakti Woman.* 1991, 35.

participation through our postures, while simultaneously liberating the Goddess Shakti within our spine. In *Shakti Women* (detailing the Goddess's manifestation in "shaman" women), women's spirituality author Vicki Noble reiterates:

> Support groups and ritual circles are the heart of the work, creating containers that will hold us through our willed transformations...Groups provide a forum for women to join together in study, practice, and discussion of these phenomena. The circle grounds us and holds us in connection to one another and the earth. It makes the work safer and easier[12].

And summing up why we undertake the challenge, she surmises, "The deepest form of creativity facing a Shakti Woman is the invention of her own life, the actual determining of her own destiny"[13]. That is why I study yoga and religion. These two paths have shaped my life to fit my spirit. I want to understand them better, and also to share these methods with others, especially to women whose bodies, minds and spirits are rallied towards greater resolve in our efforts at realizing more intelligent ethics.

I have realized a few epiphanies while writing this paper. Focus on Hatha Yoga and Tantra, the Shakti Kundalini, mantra, chakras, prana, rather than Patanjali's Raja Yoga, which is an orthodox, patriarchal interpretation. Samkhya, a dualist philosophy that accompanies both schools of yoga (Raja and Hatha) in its ancient form, postulated that Prakriti was Shakti, (matter), the Supreme Female principle, and She was the active generative creatrix of the cosmos. Remember that nature is homologized through the postures into our bodies, and we align ourselves with the habitat, which was once sacred and shall be again. We kindle respect and care for our cosmic pillar in the spine, home of

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[12] *Ibid.* 42.
[13] *Ibid.* 168.

the Goddess. We see the matriarchal roots embedded in yoga practice, and re-experience how it can empower women to reclaim our rightful place in restoring the cultural balance.

Evolution of an Ethos

Cultures have long used postures to facilitate altered states for numinous purposes. Anthropologist Felicitas Goodman studied postures found in the art of ancient and tribal societies[14]. She also documented the cultures and their mythologies. The earliest human societies were hunter-gatherer that lived close to nature. Hunter-gathering women enjoyed egalitarian societies, sexual freedom, and medicine roles. To the modern hunter-gathering Pygmies, the forest is the habitat but also is "present as an all persuasive essence in the alternate reality"[15]. Thus, in the "alternative reality" of the hunter-gatherer, all beings are equal. This non-hierarchical worldview is mirrored in their social reality[16]. For example, Goodman notes that Navajo has no category for animal, using instead "compound words that translate as 'the non-speaking ones', 'those that travel by day'... 'those that crawl around on all fours', 'those that fly,' and equally casually 'the five-fingered ones'"[17].

The indigenous ethic is not to disrupt the balance with the habitat. Wailing over the dead saddens the forest [18]. It is part of a larger context where humans shape their behavior aware of its appropriateness towards the habitat. "Medicine" is needed to comprehend the alternate reality. This includes trance or dreaming. It also involves the use of "stereotypical postures, each one mediating a different type of trance

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[14]Felicitas Goodman. *Where the Spirits Ride the Wind.* 1990, 19.
[15] Goodman 1988, 77.
[16] *Ibid.* 83.
[17] *Ibid.*
[18] *Ibid.*86

experience...there are many horticulturalist postures...especially for metamorphosis"[19]. Yoga postures incorporate many animals and elements of nature, a reflection of its ancient roots in ritual metamorphosis. Mimicking nature by holding postures representative of the habitat brought nature's power into people creating healthy habitat in the human body for its various systems and components.

Horticulturalists differ depending on their relation to nature. The Yamamamo of the Amazon pay little attention to their gardens and more to hunting and gathering. The opposite are the Semai in Malaysia, who lavish care on their gardens, and hunting is deemed unimportant. The Yamamamo have a war complex with raiding the central concern of the men, while the Semai, are devoutly non-violent[20]. The Yamamamo means "fierce men" where "killing, lying, and treachery" are all appropriate, and it carries over to their alternative reality, while the Semai would rather "run than fight", are "uneasy" about killing animals, and "murders are unheard of"[21].

People slowly got socialized into high agricultural settlements, where they could no longer leave to avoid conflicts. Authority and personal property arose, which included male desire for exclusive rights to his spouse. With men's elevated status women's declined and led to her "disenfranchisement and ritual inferiority"[22]. Adapting to an advanced agriculturalist society led to passive, obedient and compliant citizens predisposed to be the docile victims of marauding nomads, or bureaucratic warrior castes who forced the populace to "produce and surrender" a surplus. In the alternative reality of the agriculturalists, the central position is assigned to the radiating power center, the

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[19] Goodman 1988, 93.
[20] *Ibid.* 97.
[21] *Ibid.* 104.
[22] *Ibid. 106.*

Supreme God. This deity is no longer a "representative of the habitat"[23]. This theory contradicts archaeologist Marija Gimbutas' theory that Neolithic agrarian "Old Europe" was peaceful and egalitarian. Other schools find the precursors of class and gender hierarchy and warfare in the late-agrarian era leading into the Bronze Age.

The first sign of yoga is found on seals in the ancient Indus Valley civilization from 2500-2000 BCE[24]. "The god is seated in a typical attitude of yoga"[25]. Eliade states that India is preeminently conservative so its ancient heritage has not been lost. He describes the two "citadel cities" of the Indus civilization, with "Mohenjo Daro on the Indus, and Harappa on the Ravi"[26]. Both are "striking in their uniformity and stagnation"[27]. The society enjoyed public baths and indoor bathrooms, and Eliade remarks, "No Aryan people has raised the female divinity to the rank that she held in the civilization of Mohenjo-Daro"[28]. Eliade also recognizes that in the practice of yoga,

> We can divine the pressure exerted by the immemorial magico-religious substratum that preceded the constitution of yoga in the strict sense, a pressure that, from a particular moment on succeeded in sending to the surface, and incorporating into yoga, certain elements of the ancient, aboriginal spirituality. It may even be that yoga recognized and preserved the contribution of long-vanished civilizations such as that of Mohenjo-Daro[29].

As nomadic pastoralists entered the Indus river basin, they overran the natives and established their patriarchal system of military government. Hindu scholar Bhattacharya

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[23] Goodman, 1988, 117.
[24] Mircea Eliade. *Yoga Immortality and Freedom.*1958, 354.
[25] *Ibid.*
[26] *Ibid.* 353.
[27] *Ibid.*
[28] *Ibid.* 354.
[29] *Ibid.* 341.

notes that wealth came in two ways in ancient India: through either agriculture or domesticated animals. "Agricultural lands that turned pastoral usually maintained a higher status for women, where due to their historic association with agriculture they could exert a greater hold on social life and affairs"[30]. But where agriculture developed in its most productive form in the "societies which were originally pastoral, the opposite happened. Instead of raising the economic power and importance of earth-cultivating women, it gave rise to the most pronounced type of patriarchal society"[31]. The ancient Rg Veda written from 1200-1000 BCE, is the oldest known scripture and names the Vedic age of India, lasting from 1500 to 600 BCE.[32]. This scripture reflects a literate society whose Indo-European language came to be known as Sanskrit. The original language grew from within a particular race that migrated into different countries, both east and west, particularly Europe[33].

The Rg Veda is the "earliest literary record" of India and reveals a "socioeconomic, religio-philosophical process in transition"[34]. Out of 10,662 verses, only 25 refer to agriculture, while cows are frequently extolled, the word even being a synonym for earth. The gods are invoked as offspring of cows, and "the old word for war is 'desire for cattle'"[35]. Increasing wealth was also easier for pastoralists who could augment their durable fold of cows by raiding and invading neighboring lands. "Thus among the pastorals, the leadership was military"[36]. Bhattacharyya also explains that the chief and his followers got the lion's share of the stolen wealth thereby increasing social

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[30] N.N. Bhattacharya. *History of the Sakta Religion.* 1974, 33.
[31] *Ibid.*
[32] *Ibid.* 32
[33] *Ibid.*
[34] *Ibid.* 33
[35] *Ibid.*
[36] *Ibid.* 46

inequality. Hence "the character of the pastoral war-leader and his followers is reflected in the Rg Veda by that of Indra and his associates. Although they represent the forces of nature, most Rg Vedic gods were modeled after the pastoral warriors, hence male dominance of the Vedic pantheon was inevitable"[37].

Goodman continues delineating the levels of human social systems. She states that the "city dweller is impoverished with respect to interaction with the habitat"[38]. The child living in a world without myths and magic "abdicates its ecstasy" and "religious observance becomes a social routine"[39]. She recognizes that Westerners maintain their mystic rites by inventing new religions with ecstatic experiential capacities. She states, "We have a biological propensity for experiencing both the ordinary and the alternate reality"[40]. Eisler concurs: "movements come into being to satisfy practical human needs that are not being met"[41].

As noted above, Eisler believes the seed of Goddess religion has been embedded, buried in human heritage, and just as She is now resurfacing, She has resurfaced in the past. Appearing around the 4th century CE, Eliade describes how the Tantric "pan-Indian vogue from the 6th century on was immensely popular among ascetics, yogins and the popular strata"[42]. He relates:

> Here we recognize the religion of the Mother, that in ancient times reigned over an immense Aegeo-Afrasiatic territory and which was always the chief form of

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[37] Bhattacharyya 49.
[38] 1988, 160.
[39] *Ibid.* 161.
[40] *Ibid.* 170
[41] Eisler 79.
[42] Eliade 202.

devotion among the autochthonous peoples of India. In this sense the irresistible tantric advance also implies a new victory for the pre-Aryan popular strata[43].

He also calls it "the religious re-discovery of woman...every woman becomes the incarnation of the Sakti...the presence of the mystery of generation and fecundity"[44].

The Shakti (Sakti/Sakta) religion is the "practical side of the Tantric cult of the Goddess"[45]. The aim of Sakta religion is to "realize the universe within the self and to become one with the goddess"[46]. The body is recognized as the "abode of all truth and the best medium for reclaiming the truth"[47]. In Tantra, the Shakti resides within us as the Kundalini Shakti, the latent luminous phenomena coiled at the base of our spines. "The Kundalini Shakti is the original Female Principle, the Devi whom the aspirant has to send from the lowest extremity of the spinal cord to meet Siva"[48].

Eliade teaches that the dualist metaphysics of the ancient Samkhya philosophy, which originally reflected matriarchal ethics, is conjoined with Tantra. The "schema of the Samkhya philosophy is prolonged on both the metaphysical and the mythological planes" [49]: spirit, the male, Purusha, (Siva) is contemplative while Prakriti, the female (Shakti), matter, is the activity that works and generates life. He continues, exhorting that "we must never lose sight of the primacy of the Sakti – in the last analysis, of the Divine Woman and Mother – in tantrism and in all movements derived from it"[50].

Tantrics believe in the pleasure principle, and eat meat, drink wine and engage in ritual sex, all taboo within Hinduism. They believe perfection is attained by satisfying all

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[43] *Ibid.*
[44] Eliade 203.
[45] Bhattacharya 130.
[46] *Ibid.*
[47] *Ibid.* 153.
[48] *Ibid.* 154.
[49] Eliade. 203
[50] *Ibid.*

desires[51]. For them, creation is split into Siva/Shakti and we experience this duality as subject and object. The purpose of Tantra is to reunite the two "polar principles" through disciplines of the body. "Tantrism is above all a practice, an act, a realization"[52].

Tantrics homologize the cosmos, which Eliade calls "a profound assimilation of the physiological functions to the life of the cosmos"[53]. He states that homologizing the physiological organs with the "cosmic regions and rhythms" is pan-Indian, but "it is only in Tantrism that it will acquire the coherence of a system"[54]. Citing the practical consequence of homologization as being substitution of priestly sacraments for physiological sacraments Eliade concludes the practice of the yogis was offered as ritual sacrifice[55].

In Hinduism, orthodoxy meant "first of all the spiritual domination of a caste, that of the Brahmans"[56]. They insisted on two points, the "Vedas are regarded as forming an unalterable scripture" and "sacrifice outweighs everything else in importance"[57]. However scholars frequently re-interpret the Vedas, and religious homologization reduces the complexities of "extra-orthodox cultures and mysticisms", reducing them to a "common denominator [until they are] finally, absorbed by orthodoxy"[58]. This means the religious variety that characterizes unorthodox sects and their original ideas is subsumed into another branch of Hinduism.

By formulating the identity of Atman, or the Self, with Brahman, the Supreme Being, the Upanishadic rishis liberated people from Vedic rituals and works. Instead of

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[51] *Ibid.* 205.
[52] Eliade 211.
[53] *Ibid.* 112.
[54] *Ibid.* 113.
[55] *Ibid.*
[56] *Ibid.* 115.
[57] *Ibid.*
[58] *Ibid.*

leaving spiritual sustenance in the hands of the priests, humans themselves could recognize their essential nature as linking them directly to the deities. By cleansing their physical bodies, they purified the temple home of their connectivity to the Gods and goddesses.

> "It is at this precise point that the Upanishadic rishis meet with the ascetics and the yogins; setting out from other premises and obeying vocations that are less speculative more technical, more mystical. The yogins also recognize that true knowledge of the cosmic mysteries found expression in the possession of an unbounded spiritual force, but they were inclined to gain this knowledge... through half contemplative, half physiological techniques. They will eventually identify the cosmos with their own body...The cosmic winds will be mastered as breaths, the cosmic pillar will be identified with the vertebral column[59].

In India "some of the archaic cultural elements played their part in the prodigious advance of tantric Shaktism"[60]. Yoga mythology became part of the literature of the country. It shows how people "valorized" yoga. Eliade states "It was the unrivalled means of conquering death, of gaining miraculous powers"[61]. This was to be accomplished by "tantrism, hatha yoga, and alchemy"[62]. One of the concepts is that of the unripe or ripe body with the latter one being "obtained through practicing yoga and is called the *yoga deha*, the yoga body"[63]. Eliade sums up that the supreme ideal of the school is "freedom, perfect health, and immortality"[64].

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[59] Eliade 117.
[60] *Ibid.* 300.
[61] *Ibid.* 317.
[62] *Ibid.*
[63] *Ibid.*
[64] *Ibid.* 318.

Yoga Body

Now with an understanding of the link to ancient mother- right cultures that the path of yoga embodies, let's consider Eisler's views about the politics of the body. She states that socialization must happen at the most basic bodily level, in our neural cells where we shape the images that prefigure our worldviews. Our bodies react physically to psychological abuse as the work of Marion Rosen teaches[65]. Davis points out that many people have numbed themselves "to the messages of their bodies"[66]. Eisler maintains we "need to find ways to help us wake up from what has been a social trance infused by the institutionalization of trauma"[67]. The "spare the rod, spoil the child" attitude leaves a dominator legacy of thickened skins. "Children brought up in this poisonous pedagogy learn that they have no right to their own lives. They suppress their feelings and sensations, the power of the life force within them...The price they pay is that they can no longer feel joy"[68]. Part of the revolution in consciousness means that people are no longer willing to accept abusive relationships[69]. And as we make changes in our behavior, Eisler believes we will be empowered to work for social change[70]. She says control over people's bodies is the mainstay of the dominator system[71]. Eisler recounts the importance to the dominator system of socializing women for low self-esteem and teaching them that they have no options other than pleasing men[72]. She reminds that the "repression of bodily energies" is a key element in the functioning of authoritarian social

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[65] Marion Rosen. *Rosen Method Bodywork.* 2003, 61-62.
[66] Marilyn Davis. *The Rosen Method: Coming Alive and Staying Alive in the 21st Century.* 2002, 66.
[67] Eisler 190.
[68] Carol Christ. *Rebirth of The Goddess.* 1997, 139.
[69] Eisler 192.
[70] *Ibid.* 194.
[71] *Ibid.* 205.
[72] Eisler 270.

systems and the freeing up and re-balancing of our vitality will be essential to the establishing of a "freer order"[73]. Yoga teacher Donna Farhi states about yoga, "Each movement pattern and principle is directly related to an organizing pattern of consciousness. Thus, when you learn to breath freely, you are also learning to think and live freely"[74]. In India Hatha Yoga embodied an insurrectionary popular movement as people re-sacralized their bodies for the Goddess[75].

Methodology

I have been using a methodology that combines cultural history with a phenomenology of yoga experience and practice. To this I add a women's spirituality focus on the mythology and meaning of the Goddess. I am describing what the path of yoga is, and its coincident rising with the Goddess religion, and a more balanced society. Researchers Bentz and Shapiro teach us to use phenomenology when there is a "distrust of prevailing descriptions, there has been a change in the prevailing culture that calls into question old ideas and assumptions"[76]. We gain understanding from "empathic immersion...dwelling... suppression of belief, intense interest"[77]. Questions asked by phenomenologists are "what is X"[78]? "Phenomenology does not explain, but rather it creates understanding among the set of observers and observed. It makes public and manageable the lived experience"[79]. Yoga helps me balance my body and mind to

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[73] *Ibid.* 369.
[74] Donna Farhi. *Yoga: Mind, Body and Spirit.* 2000. 23-24.
[75] Donna Jordan. "Sakti's Revolution: A History of the Fierce Goddess of India." Diss., 2002, 166.
[76] Valerie Bentz and Jeremy Shapiro. *Mindful Inquiry in Social Research.* 1998, 98.
[77] *Ibid* 98-99.
[78] *Ibid.* 99
[79] *Ibid.* 100.

achieve more harmonious relations in my everyday life. It also strengthens me to critique our gender biased society and to work towards a more balanced culture.

Yoga as Matriarchal Art

Bringing yoga into focus as a practice to balance both bodies and cultures, I discovered that experience and process are also part of what feminist writer Heidi Gottner-Abendroth calls "matriarchal art"[80]. Matriarchal art comes from a pre-existing structure that is "created and recreated" through our forms such as in dance and postures. The energies of the participants are all focused on the "symbolic action, the emotional identification, and the theoretical contemplation"[81] that the action, or posture evokes. Matriarchal art is not an object, but a process "having the psychological characteristics of ecstasy and the social effect of changing reality"[82]. Gottner-Abendroth enumerates her theses of matriarchal art finding "eroticism is its dominant power – not work, discipline or renunciation"[83]. She contrasts the basic social rules of matriarchy such as "motherliness, sibling love, and sense of community with paternal authority, conjugal domination and individual group egoism"[84]. These qualities could guide the yogini today in her search for the right yoga class by steering her away from rigid authoritarian styles and towards qualities of caring warmth in her teacher and class. Gottner-Abendroth believes that matriarchal art symbolizing matriarchal values "triggers changes in the psychic, and social sphere, and is a process of complex social counter practice in a

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[80] Heide Gottner-Abendroth. *The Dancing Goddesses. Principles of a Matriarchal Aesthetic.* 1991, 49.
[81] *Ibid.* 50.
[82] *Ibid.* 50-51.
[83] *Ibid.* 51.
[84] *Ibid.*

patriarchal society...In every patriarchy matriarchal art is an oppositional force with the possibility of revolutionary change"[85].

Matriarchal mythology is the structural basis for matriarchal art. Gottner-Abendroth believes we are creating a new awareness of that indigenous structure. Hatha Yoga contains the Shakti Kundalini and homologized natural forces through its postures. This discovery directly and consciously vivifies our connection to archaic matriarchal art – a connection that has existed only indirectly and unconsciously for millennia[86]. I believe that recognizing the matriarchal roots of Hatha Yoga puts us in touch with a powerful path for both women and men to awakening our Shakti Kundalini. Gottner-Abendroth recalls that this experience is "the unconscious knowledge of a very old repressed cultural tradition"[87]. We recall now the ancient roots of yoga in the pre-Vedic Indus valley civilization and how it's Goddess was subsumed under patriarchy.

Gottner-Abendroth believes matriarchal art exists to inspire ecstasy, "the sudden interplay of power – emotional, intellectual and behavioral. Ecstasy is not achieved at will. Inspiration, illumination and intuitive insight hint at the spiritual element of ecstasy"[88]. Inspiring ecstasy leads to a difference between matriarchal and patriarchal art. "Matriarchal art is not art for an audience, it is not art for voyeurs. One can recognize matriarchal art only by entering into its process"[89]. Gottner-Abendroth believes that, "entry into the process of matriarchal art presupposes theory. That is, knowledge of the matriarchal form of society and mythological structure as well as intense contemplation

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[85] *Ibid.* 51-52..
[86] Gottner-Abendroth 65.
[87] *Ibid.*
[88] *Ibid.* 68.
[89] *Ibid.* 69.

of ways to transpose them into the present"[90]. I believe that Hatha Yoga postures transfer the ancient religion of matriarchal India into the present. By recognizing the link and applying ourselves to the practice, we are growing stronger and healthier in the process.

Gottner-Abendroth does not stop at the "domestic" transformation, but requires that it also instill a change in lifestyle "not only to the way of life of individuals but also to that of a group and the entire society"[91]. Phenomenological method applied to yoga helps change the public and private life of individuals. An important contribution of phenomenology to the study of religions, as religious researcher Katherine Young asserts, is that the experiences of ordinary everyday people are worth investigating and become the "focus of philosophy"[92]. This extended the scope of "religious phenomena" to include the "vernacular religions"[93]. "Perspective changes the perception of an object to the idea that an object is constructed and deconstructed. Deconstruction affirms that we can critique the assumptions of patriarchy"[94]. Young concludes, "In a sense the phenomenology of religion paved the way for later deconstructive, postmodern and feminist challenges to texts, norms and institutions"[95]. Therefore, my experience in not only yoga, but also religious studies and women's spirituality, has taught me how to evaluate the transformative practice of yoga, and how to link it to the feminist critique of society and religion. By moving in through the physical field with a path leading to health, vitality and balance our strength is engendered and our sense of self esteem

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[90] *Ibid.* 70.
[91] Gottner-Abendroth 71.
[92] *Ibid.*
[93] *Ibid.*
[94] Katherine Young. "From the Phenomenology of Religion to Feminism and Women's Studies." 2002, 22. In *Methodology in Religious Studies.*
[95] *Ibid.* 23.

increases. We have a body based grounded center from which to engage life's fierce edges.

Shakti Women's Diamond Body

As with matriarchal art, yoga scholar Georg Feuerstein agrees that the kundalini awakening must be experienced in order to be understood. He explains "the quest to awaken the sleeping goddess kundalini is at the heart of Tantrism"[96]. Kundalini is the individual manifestation of the goddess Shakti slumbering at the base of the spinal column, an example of homologization, where the Goddess is taken into the living body. The yogi must clear the obstacles for the path of the kundalini up the spine. This is known as purification. The rising of kundalini purifies the elements of the human body, and activates the chakra centers along the way from base to crown[97]. Tantra pioneered a whole new attitude toward the body, according to Eliade[98]: "In Tantrism the human body acquires an importance it never attained in the spiritual history of India." Tantrics sought the "diamond body" or transubstantiated body, "true to their belief that enlightenment was a whole body event"[99]. And Feuerstein reminds us, "Hatha is an offshoot of Tantrism"[100].

The tantric adept is a "spiritual alchemist who transforms material form", the "yogic processes peculiar to this is body cultivation...and out of it came hatha yoga"[101]. Based on postures and breath, yoga is designed to "regulate the life force in the body to

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[96] Feuerstein 267.
[97] Feuerstein 268.
[98] In Feuerstein 278.
[99] *Ibid.* 2796
[100] *Ibid.* 277.
[101] *Ibid.* 281.

balance, strengthen and heal"[102]. Feuerstein cautions against adopting a narcissistic outlook, instead positing, "the ultimate purpose of hatha yoga is often expressed as the state of balance or harmony in the body"[103].

From the ancient Indus civilization, the Goddess remained subaltern, until the Tantric age from 800-1500 CE[104]. Throughout the Vedic, Brahmanic, Upanishadic, and Classical ages, She waited until finally achieving in Tantra "a grand synthesis between high philosophical ideals and popular religious beliefs, and genuine innovative spiritual practice"[105]. This lent "philosophical respectability to the female psycho cosmic principle – Shakti"[106]. The Tantra literature purports to be a restatement of the Vedas for the seeker in the Dark Age who cannot attain enlightenment by ordinary means. "They place the Female Principle Shakti as their Supreme Being"[107].

Empirical experience is intrinsic to yoga. Yogis have explored the body mind but "at no time has this experiential mood been more prominent than during the centuries that saw the birth of Tantrism between the 6th and 7th – 14th centuries A.D"[108]. During that time the

> Athletes of the spirit intensively explored the hidden potential of the human body. Their curiosity, daring, and persistence led to the creation of what came to be called hatha yoga, the yoga of the force. The force is the esoteric serpent power Kundalini Shakti celebrated in the Tantras[109].

Tantra yogins asked why they had to give up pleasure to achieve realization.

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[102] *Ibid.* 289.
[103] *Ibid.* 286.
[104] *Ibid.* 65
[105] Ibid. 68.
[106] *Ibid.* 69.
[107] Feuerstein 209.
[108] *Ibid.* 246.
[109] *Ibid.*

Their new idea was written in the Tantras, "dedicated to the feminine psychocosmic principle, Shakti"[110]. The Tantras teach "esoteric physiology, awakening of the mysterious serpent power...techniques of bodily and mental purification, nature of enlightenment, and sacred sexuality"[111]. The keynote of Tantra, is "integration". It is above all "a practice of realization...Thus the spirit of yoga is integral to it"[112].

Feuerstein reiterates, "The Tantric adepts reclaimed for the spiritual process all those aspects of existence that the mainline had excluded: sexuality, the body, the physical universe at large"[113]. Further, "In Jungian terms we can see this as a concerted attempt at re-instating the anima, the feminine psychic principle"[114]. Eliade links Tantra to the ancient mysteries: "For more than one curious parallelism is noted between Tantrism and the great Western mysterio-sophic current that at the beginning of the Christian era arose from the confluence of Gnosticism, Hermeticism, Greco-Egyptian alchemy and the traditions of the mysteries"[115]. In Tantra, Eliade notes, "for the first time in the spiritual history of Aryan India, the Great Goddess acquires a prominent position"[116]. The Eleusinian Mysteries in ancient Greece encapsulated older agricultural rituals centered in Neolithc "Old Europe" where Gimbutas has documented the evidence of a Goddess-centered religion. Eliade, links Tantra to this religion, attesting to the centrality of the Goddess. I have shown the link of yoga to Tantra, and to the older cult of the Goddess.

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[110] *Ibid.* 251.
[111] *Ibid.*
[112] *Ibid.* 252.
[113] *Ibid.* 254.
[114] *Ibid.* 254.
[115] Eliade 202.
[116] *Ibid.*

Conclusion

I have described the pre-Vedic culture that originated yoga in the Indus valley and its devolution from an egalitarian culture into patriarchy under the Indo-European invaders. Tantra reclaimed the feminine Goddess and the practice of yoga as a purificatory body cultivation technique. Matriarchal art requires people to participate together in a transformative process that embeds process, theory and mythology. Yogis sacralized the habitat, a hallmark of hunter-gatherer societies, by homologizing the cosmos in their bodies. Gottner-Abendroth explains, "when we act in accord with nature, for example through our treatment of our own body which is part of nature", nature can then reciprocate through symbols. "All who have participated in the process of matriarchal art in which every element in the interplay becomes a symbol recognize that they have participated...in a new form of life"[117].

Through this paper I examined the ways that yoga participates with nature, gathers us in a group, relates an ancient Goddess mythology and births a new way of being. My research augmented my theory by showing the heritage of Hatha Yoga to Tantra's Goddess religion, and to the older proto materialist philosophy, Samkhya, inherited from the oldest layers of pre-Vedic culture. Yoga is very old, it cites nature as its teacher, and it empowers us to know ourselves so we can evolve to our inheritance of the feminine force that births and rebirths all, Shakti Kundalini with us ever through the living spine.

[117] Gottner-Abendroth 73.

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The Inferiority of Power and the Power of Inferiority in William Faulkner

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ABSTRACT
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The Inferiority of Power and the Power of Inferiority
in William Faulkner

In a 1957 interview with a Charlottesville, Virginia reporter, William Faulkner stated, “Racial integration…is inevitable. As I see it, the white man had better take charge of it and control it, rather than have it thrust on him.” Faulkner’s bold statement would have his reader believe that he thought it the responsibility of dominant-class individuals to modify the inequitable social structure of the South, which for centuries labeled white, middle-class males as superior to blacks, women, and lower class white males. However, in *The Sound and the Fury*, *Absalom, Absalom!*, and *Go Down, Moses*, Faulkner does not depict dominant segments of southern culture dismantling the social ills of the South. They do not “take charge of it.” Quite contrarily, the destabilization of the South’s injurious ideologies is indeed “thrust” on the dominant class by those they sought to marginalize.

In the three novels, I discuss in “The Power of Inferiority and the Inferiority of Power in William Faulkner,” *The Sound and the Fury, Absalom, Absalom!,* and *Go Down, Moses*, Faulkner deals with two salient cultural aspects of the Post-Civil War South: dominant and marginalized individuals. His fiction delineates the ways in which social constructions shape subjectivity and subjugation within these socially divided groups. In this project, I discuss the representations of the voiceless object and the patriarchal subject in Faulkner’s works and how the identity formation of both groups are bound by the same traditions and principles that characterized the South in the first half of the twentieth century.

Through a close examination of Faulkner’s illustration of male subjectivity and the subversive voices of the ostensibly voiceless women, blacks, and lower-class, white males, I demonstrate the ways in which Faulkner’s marginalized characters emerge to subvert dominant ideologies and subsequently, the ways in which “privileged” individuals are themselves bound by the expectations of the patriarchal societies in which they live and perpetuate.

Paper Title: Janie Crawford: The Quest of the Self

Category: Literature

Panel Session:

Dr. Randy R. James, Asst. Professor English Literature
Dr. Gay Outler, Asst. Professor English, Independent Scholar
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Janie Crawford: The Quest of the Self

Identity in literature has always been a prevailing theme that has driven man to quest for his true self-identity. To know his place in this macrocosm, the world, and to leave his mark on the world have caused man to search the world over to discover his connection to sub-lunar life. Moving through diverse planes, man has learned that his truer, fuller, brighter self comes to bare through his lived experiences as he intersects and interacts with the world around him. Upon emerging from his quest, he should be as Coleridge's Ancient Mariner, "…A wiser man" (l. 624).

The African American is no different than any other man, for he, probably better than any other, has had to traverse difficult circumstances in order to discover and establish his identity as a thinking-individual. Moreover, the African American woman, who has always known that she has had a truer identity and deserved a higher place in life than the one prescribed to her by society and her peers, has been on a seemingly perpetual quest to demand her right to live independently of society's prescriptions for her. The freedom of choice prevails through her life quest for a truer self. In Zora Neale Hurston's *Their Eyes Were Watching God*, Janie Crawford, a representative type, returns from her journey into the external a resolved woman who has a more lucid understanding of the world and herself than the community she initially forsook.

Abstract: *Performing History: E. L. Doctorow's* Ragtime
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Suppose, in a novel, the Reverend Jesse Jackson is sent to speak to a persecuted fellow who is threatening to destroy New York City=s Metropolitan Museum with massive explosives. With the use of names of living people and concrete places, we may be able to draw comparative conclusions to some particular contemporary political meaning; however, we are taught the basic mechanics of fiction and are not to confuse a novel with a news report, expecting this event to have actually occurred. Curiously, changing the setting to a relative past and the characters to historical persons seems to force the author to comply to rules of verisimilitude, or at the very least to be prepared to answer the critical complaints should certain standards of historical veracity not be met. Such is the position of E. L. Doctorow. His 1974 novel, *Ragtime*, is a tightly crafted postmodern work that mediates the paradox of continuity and fragmentation in its turn-of-the-century tale of both fictional characters and fictionalized figures.

With the growing expectation of narrativized history, the Averbal images@ they create are subject to rules of language and semiology as any other literary endeavor. The binary that they establish is that of the past and of the present B aware that while they favor the recounting of the past, the present is always already there due to the choices the historian makes regarding which events and evidence are to be included in the construction of the telling of history. Consider the recognition of any overt agenda in relation to an admission that A[h]istory has become a commodity B something to be >fixed= according to maximum consumer desire." So, where the historian once set him or herself apart from the whims and needs of cultural curiosity, deciding which empirical facts were to be gathered into textbooks and cloaked in the mantle of Truth, analysis is replaced by narrative and tempered with interpretation for marketing purposes.

The story of *Ragtime* and its adaptations further clouds the issue by layering not only issues in shifting the novel to performance (the 1981 film and the 1998 stage production), but by posing a new question: do these adaptations have a responsibility to Doctorow's version of history or to one more documented? By examining specifically the character of Evelyn Nesbit, an historical figure fictionalized in Doctorow's work who appears in both adaptations, the marching progression of marketed narrativized history is evident. Nesbit, the chorus girl and catalyst for the "Trial of the Century" in 1906, provides elements of easily exploitable sex and scandal – but is there accuracy in her conflicting treatments? Consideration made to how the verbal images within the novel translate to a much more forced gaze in the performed adaptations illuminate questions surrounding not only the fictionalization of history, but its performance as well.

TITLE PAGE

Title: Two Eves: The Dual-Goddess Symbolism & A Two-Fold Feminine Nature

Topic Area: Cross-Disciplinary – Philosophy, Religion & Woman's Studies.

Presentation Format: 30 Minute Paper Session.

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TWO EVES
The Dual-Goddess Symbolism & A Two-Fold Feminine Nature

By Sharron Jamisson

I would like to state from the outset that while I see value in feminist critiques, and this paper shares many feminist agendas, this is not strictly speaking a feminist paper. I believe there is greater need to overturn longstanding misrepresentation of the feminine within tradition. My concern is primarily a reappraisal of the traditional feminine. I am not of the same mind as those who view tradition as a patriarchal system in itself. It is not tradition per se *that is responsible for the mistreatment and misrepresentation of women, even though it has at times been used to justify disgracing and shaming the feminine. The problem is ignorance. Our spiritual upliftment and return to a balanced view of the forces of nature depends on our willingness to embrace complementarity, within traditions and universally. In order to do this we must reclaim our ability to view both sides of the coin simultaneously, so that concealed and revealed, container and contained, void and presence, principial and corporeal, all guide us back to the understanding implicit in higher principles. This is the true understanding of the archetypal figure of the consort.*

In ancient times the feminine constituted divine mystery. It represented introspection and the inward path of consciousness returning to Godhead. As vehicle the feminine was understood to embody oral initiatic teaching and encompass mystical bhaktic experience. Receptive modes like silence, contemplation, meditation, rest and repose, all means to a higher order, were generally regarded as feminine, as was the soul and ancient gnosis. The feminine thus comprised access to transcendent ethereal modes and the means leading to liberation, transfiguration and enlightenment. Ancient regard for the feminine is evident in the Greek tradition with *Sophia* revered as patron goddess of philosophy, the path of wisdom. Feminine receptivity functioned pervasively as the archetype of spatially defined absence, receptacle of becoming and change. At its highest the feminine in Hindu terms is an aspect of Brahman; it is Shakti, the power of the Absolute. Restoring the

feminine to its former status may thus hold the key to revisiting timeless truths and restore to us right knowledge of the Divine Transcendent beyond gendered definition and distinction.

Over the ages the feminine has been ridiculed and degraded. From consort to commodity 'She' has endured many forms of abuse. Injustices inflicted on the feminine range from female circumcision and infanticide, to matricide and the rape of Nature, Gaia, Mother Earth.[1] 'She' has been persecuted for not producing male heirs, hunted down and burnt at the stake as a witch, tortured for concealing the secrets of nature in her body, and blamed for men's lack of sexual control.[2] As counterpart 'She' suffers the ultimate betrayal. Denied the right of self-determination 'She' is silenced. Denied autonomy 'She' is condemned to a shadowy existence. 'She' embodies the secret of manifestation yet is a stranger to 'Herself'. Mystical notions of an imperceptible feminine are counter-productive, barring women from realising a feminine identity. In Greek philosophy 'She' is said to descend from Chaos, the unfathomable source of creation. 'She' is an exile, sentenced in Patriarchal society to perceive herself relative to the masculine. Literalist interpretations of ancient cosmogony's tell us the archetypal feminine is object, resource, an extension of male desire. Eve, we discover in *Genesis*, is created for Adam from Adam's thigh or rib.[3] The feminine is assigned second place in order of importance. At the end of *Timaeus* Plato informs us:

> On the subject of animals, then, the following remarks may be offered. Of the men who came into the world, those who were cowards or led unrighteous lives may with reason be supposed to have changed into the nature of women in the second generation.[4]

So how did the feminine fall into disrepute when in earlier times she was honoured and enjoyed a noble status? In retrospect, these abuses, and a general sense of a fallen feminine, issue from a misreading of 'Her' primary symbolisms? For too long we have

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[1] Merchant C., *Reinventing Eden: The Fate of Nature in Western Culture*, Routledge: New York, 2003.
[2] Merchant C. *The Death of Nature: Women, Ecology and the Scientific Revolution*, Harper & Row: New York, 1989.
[3] *Genesis 2:20-23*
[4] *Timaeus 90e-91a*

allowed the feminine to be obscured and overshadowed by emphasis on the masculine. This has come at great expense to the planet and its inhabitants who labour under an imbalanced view of masculine and feminine principles and forces, in themselves and in nature. In ignorance of her higher meaning, under the auspices of hierarchy and misguided application to gender, the archetypal feminine is wed to evil and the dark side of nature. In respect to the meaning of darkness René Guénon says:

> …the symbolism of 'darkness' in its most general traditional usage presents two opposite meanings, one higher and one lower…In its higher meaning, darkness represents the non-manifested…This presents no difficulty, but it seems nonetheless that the higher meaning is generally unknown or misunderstood, for it is easy to show that when it is a question of darkness, only its lower meaning is commonly considered; and often a 'malefic' significance is added that is by no means essentially inherent to it and is justified only for certain secondary and much more particularised aspects.[5]

He further states "the lower meaning of darkness is of a cosmological order while its higher meaning is of a properly metaphysical order".[6]

Pythagorean mathematics affirms and explains this. According to ancient Greek sources, the monad properly commences the odd masculine sequence and the dyad, which some believed evil, properly commences the even female series of numbers, thus implying the masculine is precursor to the feminine. But this is partially true, and only in terms of hierarchical notions of superior and inferior, for it goes against the general notion in antiquity that male and female are complementary.[7] From the perspective that the monad commences both the masculine and feminine series, it is a symbol of the indivisible Divine Unity, and as such, not amenable to the laws of mathematics. Theon of Smyrna informs us the monad cannot be multiplied or divided, added or subtracted.[8] It is the principle of number, not number itself.[9]

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[5] Guénon R., *Initiation and Spiritual Realisation*, Sophia Perennis: Ghent, 2001, pp159-60.
[6] Guénon, op.cit., 2001, pp160-1.
[7] Theon of Smyrna, *Mathematics Useful for Understanding Plato*, Wizards Bookshelf: San Diego, 1979, pp14-15.
[8] Theon of Smyrna, op.cit., 1979, p12-13.
[9] Ibid., p12.

The problem is easily clarified when it is seen that there are two ways of viewing the monad, one metaphysical, the other ontological. The metaphysical embraces receptivity and voidness, and is the science of absence. The ontological, and the term suggests, encompasses Being, and is the science of presence. For the monad to be solely the commencer of the masculine series 1,3,5,7,9 *ad infinitum*, it would have to be number. But it is not. Thus, despite claims the ancient Greeks did not possess a zero, the monad clearly takes on this function when it is seen commencing the even female series, in line with the notion of a passive feminine receptacle – a principle of which the ancient Greeks were acutely aware, but refused to elaborate – i.e. Plato's "nursemaid of all becoming to change".[10]

It is evident from this hierarchy can only exist within odd masculine and even female series, not crossing over. The sequence of interchange between masculine and feminine, such as we find in 1,2,3,4,5 and so on, is a sequence of complementarity, not hierarchy. Hierarchy is not applicable here because after the first term it dissipates into a process of interplay between opposite but complementary terms *coincidentia oppositorum* - This is the Taoist principle of *Yin* and *Yang.*[11] Rarely is this significant point acknowledged, though crucial to a proper understanding of the principles of manifestation. Systematic one-sided emphasis on presence and light overrides dyadic receptivity. All too often container is sacrificed to content and the pivotal role of the feminine receptacle is masked behind a chimera of presence. Plato's "nursemaid of all becoming and change" is dismissed out of hand and the female trinity in *Genesis* is overshadowed by the masculine principle.[12]

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[10] *Timaeus 49*

[11] Rawson P., & Legeza L., *Tao: The Chinese Philosophy of Time and Change*, Thames and Hudson: London, 1973, pp104&112. It is important to bear in mind that the three terms of the metaphysical, monad, dyad and triad, cannot be ordered hierarchically because they are beyond manifestation and the laws governing it.

[12] *Timaeus 49*. This raises two further points. Firstly, the triad properly commencing the masculine numerical series, is in keeping with the trinitarian notion that Father precedes Mother precedes Son - *Logos* is the third term in successive order. It cannot be otherwise. Iconic representations of Virgin with Christ Child seated on her knee portray Her divine station as Mother of Avatara. Secondly, the harmonising tendency of the even series is closer to the equilibrium of Divine Unity. Restated, the feminine even series emerging from monadic Unity through dyad, and so on and so forth, is a continuum of equipoise. The feminine balances and harmonises act. The masculine series issuing from monadic Unity radiates a disequilibrium continuum. Plato explains this in his elemental account of creation in *Timaeus* and in Theon of Smyra the aforementioned pages of the text cited above.

The problem stems in part from inadequate representation – a search for references to 'womb' in Plato's *Dialogues* and the Hindu *Upanishads* yields scant results. This is not to say the feminine is not present in ancient cosmogony. It merely implies it has not been sufficiently accentuated. This is due largely to the nature of oral tradition and the notion of relevance. Oral traditions, past and present, embrace the fluidity of a living history, for it is quite legitimate to embellish oral narratives and adapt them to suit the changing times. Altering certain elements in the retelling of an historical account or incident was not unprecedented. Contrary to popular opinion, it is not a perversion or deviation from truth by oral traditionalists. That said, it is still reasonable to expect a certain degree of consensus.

The demands for evidence, in the face of prior oral traditions, is problematic indeed for a tradition that values documented history. The demon goddess Lilith is a perfect case in point. What we are not told in abridged versions of *Genesis* is that Adam had two wives, first Lilith and then Eve:

> The written canon deals very briefly with the fall of Adam and Eve. However, Judaism's oral tradition gives a much fuller account of the incidents. Some of the spoken teaching was included in the Talmud, the rabbinic record of legal discussions, folklore and miscellaneous subjects related to the Bible. [13]

According to Judaic accounts Adam earlier divorced Lilith because she refused to be dominated by him:

> …Lilith was first given to Adam as wife. Like him she had been created out of the dust of the ground. But she remained with him only a short time, because she insisted upon enjoying full equality with her husband. She derived her rights from their identical origin. With the help of the Ineffable Name, which she pronounced, Lilith flew away from Adam, and vanished in the air. Adam complained before God that the wife He had given him had deserted him, and God sent forth three angels to capture her. They found her in the Red Sea, and they sought to make her go back with the

[13] Z'ev Ben Shimon Halevi, *Kabbalah: The Divine Plan*, HarperSanFrancisco: New York, 1996, p10. "The written canon deals very briefly with the fall of Adam and Eve. However, Judaism's oral tradition gives a much fuller account of the incidents. Some of the spoken teaching was included in the Talmud, the rabbinic record of legal discussions, folklore and miscellaneous subjects related to the Bible."

> threat that, unless she went, she would lose a hundred of her demon children daily by death. But Lilith preferred this punishment to living with Adam.[14]

Other references to Lilith in the Jewish cannon describe her as an evil deity:

> In Hebrew scriptures, there is only one clear reference to Lilith *Isaiah* 34:14, describing the devastation of Edom, maintains that Lilith shall be at rest in the desert, among wild animals, screech owls, and satyrs. This reference to Lilith as demon is more fully developed in postbiblical literature, where Lilith is associated with the Lilin, one of three classes of demons that appear in rabbinic writings. In the Babylonian Talmud Lilith is portrayed as having a woman's face, long hair ('Eruv. 100b), and wings (Nid.24b) like the cherubim. Her identity as demon is underscored in *Bava'Batra'* 73a, referring to the demon *Hormiz* or *Ormuzd* as Lilith's son, and in *Shabbat* 171b, where men are warned against sleeping alone lest they be seized by Lilith.[15]

According to Samuel Kramer the oldest known reference to Lilith is found in a prologue to *Gilgamesh*.[16] In Judeo-Christian tradition, there is a tendency to look upon Eve as a substitute for Lilith, at least for those aware of her prior existence. Superseded by Eve, Lilith, over time, became superfluous to the myth. Whatever course of action was eventually decided on by different Jewish Rabbinical factions the rebellious, strong-willed goddess, inherited from ancient Babylonian cosmogony, was evidently an anomaly.

Lilith's removal prevents us from seeing how her presence in *Genesis* adds another dimension to the myth concerning the role of the feminine and its primary function. Lilith is a key to the female trinity in the first three chapters of *Genesis*.[17] *Genesis* 1 describes the creation of the metaphysical dyad, the first step in the process of differentiation.

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[14] Ginzberg L., The Legends of the Jews, 1909, http://philologos.org/__eb-lotj/vol1/two.htm#7

[15] Umansky E.M., *Lilith* in Eliade M., *The Encyclopedia of Religion*, Macmillan: New York, 1987, vol. 8, p554.

[16] Humm A., *Kramer's Translation of a Gilgamesh Prologue*, 1995-7, http://ccat.sas.upenn.edu/~humm /Topics/Lilith/consort.html.

[17] Kaplan A., *Sefer Yetzirah: The Book of Creation*, Weiser Books: York Beach, 1997, 81-2. Aryeh Kaplan explains the Jewish Mystery of the Three Mothers. "The three letters of the Divine Name, Yud Heh Vau, parallel the three mothers Alef Mem Shin [and then states] the three mothers represent thesis (Yud), antithesis (Heh) and synthesis (Vav), the basic triad of the Sefer Yetzirah (3:1)." Kaplan later relates them to the Tree of Life diagram, the Sefirotic Tree, p143.

Genesis 2 provides a detailed account of the primary role and function of the feminine as 'Mother Nature', Eve, and as cosmic womb, Lilith - the cosmological and meta-cosmic levels, respectively. Lilith and Eve are brought together in *Genesis* 3 as serpent and archetypal feminine to account for evil coming into the world.

Contrary to popular opinion, it is no accident we have two accounts of the splitting of Androgyny in *Genesis* 2*,* one at an intermediate level and one at the lowest level of manifestation. The latter mirror images the former, which mirror images the one above. *Genesis* 1 informs *Genesis* 2 informs *Genesis* 3. Restated, level one of *Genesis* is arche, level two is contingency and level three is materia prima. René Guénon refers to these levels as unmanifest, unmanifest manifestation (formless) and manifestation (gross), respectively.[18] The reinsertion of Lilith as intermediary, cosmic womb, brings to light the relative positioning of all three levels of the feminine precursor, the receptacle that births creation.[19]

An analysis of Lilith symbolisms is called for – albeit liberated from the constraints of superstition and fear. For many, Lilith embodied the dark side of sexuality:

> Lillith personified licentiousness and lust. In the Christian Middle Ages she, or her female offspring, the Lilim, became identified with succubae (the female counterpart of incubi) who would copulate with men in their sleep, causing them to have nocturnal emissions or "wet dreams"…Celibate monks would attempt to guard against these nocturnal visits by the Lilith/Succubus by sleeping with their hands crossed over their genitals and holding a crucifix.[20]

Celibacy is a well known discipline practised by certain initiatic orders as preparation for enlightenment. Thus, fending off seductive forces was important to the process of transforming life force energy into higher levels of consciousness. Nevertheless, resorting to such measures indicates a degree of ignorance, if we take the view that Lilith, and her subsequent departure from Adam, the first split of Androgyny, symbolises the creation of the cosmic womb. Even her banishment, when sentenced to take up residence as queen of

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[18] Guénon R., *Man and His becoming According to Vedanta*, Sophia Perennis: Ghent, 2001, p54.
[19] Kaplan, op.cit., 1997, p143. Kaplan later suggests the three mothers give birth to the three fathers by relating them to the Sefirotic Tree.

the underworld after refusing three times to return to Adam's side, is purposeful, if we recall how the female womb is hidden from view. "In one early Midrashic commentary on the *Bible* (Nm. Rab.16.25), Lilith is portrayed as child killer, slaying her own children when no others are available to her."[21]

From a more enlightened perspective allusions to child killing and stealing men's semen is simply a stylised anthropomorphism of the biological processes occurring naturally in the womb, after sexual intercourse. More sperm are killed off than survive in the race to fertilise the ovarian egg. From a female perspective these fears are grounded. "Rachael Patai points out that Aramaic incantation texts from Nippur in Babylonia (present day Iraq) dating from the seventh century CE describe Lilith as endangering women at various times in their sexual life cycle, especially during childbirth."[22] *Matri Upanishad* suggests to us a possible explanation as to why Lilith, and the archetypal feminine, came to be associated with evil. "The body owes its existence to sexual intercourse; it grows up in the [dark] hell [of the womb]."[23]

If womb is synonymous with hell, then Lilith cannot be overlooked as a simile of the female womb. In fact, when all three female archetypes in *Genesis* are seen together representing aspects of a single feminine, they comprise a trinity of lower female body parts. The Hebrew Shekhinah correlates with the female *labia* - when "the Spirit of God hovers over the deep and the primordial waters split into upper and lower because a firmament is placed between them", is a reference to the upper feminine.[24] Firmament is an allusion to the meta-cosmic womb. Lilith's part-cosmic part-divine nature, implied by her part animal, part human anatomy, serpent, owl and wings, is that womb.[25] Eve as 'Mother Nature' is Materia Prima, the material substrate from which creation is fashioned. She symbolises the blood that is reserved and expelled every month in a

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[20] Whitcome C. *Eve and the Identity of Women*, Sweet Briar College, 2000, http://witcombe.sbc.edu/eve-women/7evelitith.html, p3.
[21] Umansky, op.cit., 1987, p554.
[22] Ibid.
[23] *Matri Upanishad 4.1,* Zaehner R.C., *Hindu Scriptures*, Everyman's Library: New York, 1966, p281.
[24] Similar accounts of origin allude to the splitting of the primordial egg which sets in place the feminine as *arche*. Throughout antiquity we find myths suggesting this is the first creative act.
[25] Schuon F., *Light On The Ancient Worlds*, World Wisdom Books: Indiana, 1965, p89. We cannot ignore the possibility Lilith was once associated with wisdom. Sometimes her feet are replaced by talons, sometimes the lower half of her body is in the shape of a serpent and sometimes she is accompanied by two screech owls. In older accounts and images she usually has wings. All of these, at one time or another, have been associated with wisdom, and wisdom with the night-time consciousness, the hidden feminine.

woman's menstral cycle - the blood containing the genetic coding for the incarnating being, DNA; the divine blueprint and law of nature governing this procreative process. Observe how the Garden of Eden is reminiscent of a womb with the two trees in the centre of the garden resembling the female ovaries. [26]

Attacks on the female genitalia have been no less brutal and degrading than attacks on the female reproductive processes, and on the reputation and divine standing of the feminine. Further analysis of different levels of female representation reveals they are essentially interconnected, because interrelated. Theories like *vagina dentata* (vagina with teeth), advanced to explain male sexual fear fantasies, proliferate in the modern era.[27] Consider as evidence the following account of the Sheela-na-gig, a vaginal fertility symbol of ancient Celtic origin:

> The type of gross effigy known as the Sheela-na-gig is a graphic representation of the Celtic goddess of creation and destruction. Common in Irish castles and churches, its blatant sexual nature relates to male fear-fantasies of the devouring mother. This repellent Kali-aspect of the goddess recurs throughout Indo-European myth and ritual.[28]

The mere location of the Sheela-na-gig calls into question the validity of male fear-fantasy accounts.[29] It would have been more prudent to venture a guess as to why a people with strong religious convictions saw fit to place images like this in a church, if so "blatantly sexual and repellent"? An array of devouring mother goddesses can be seen across cultures and traditions, all formalising the life and death motif, but none more graphic than *Kali:*

> *Kali*, the terrifying aspect of *Devi* (the great goddess), whose task it is to destroy demons who threaten the cosmic order, is depicted as [a] black-faced hag wearing a

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[26] Coomaraswamy A. K., *The Tantric Doctrine of Divine Biunity* in *Coomaraswamy 2: Metaphysics: Selected Papers*, Princeton University Press: Princeton, 1977, vol 2, p66.
[27] Rotten Library, *Vagina Dentata*, 2004, http://www.rotten.com/library/sex/vagina-dentata/
[28] Sharkey J., *Celtic Mysteries: The Ancient Religion*, Thames and Hudson: Great Britain, 1975, fig.6.
[29] Sharkey, op.cit., 1975, fig.6.-Corbel, church of St Mary and St David, Kilpeck, Herefordshire, England.

> necklace of skulls or heads. She is smeared in blood and wears a girdle of severed hands: in her four arms she holds a sword, noose, shield or cut-off head...[30]

Was Lilith, like Kali, once a destroyer of demons, who came to symbolise the demonic realm through a misunderstanding of her innate symbolism?[31] This is entirely possible, given her status as 'Queen of the Underworld'. Shiva, on the other hand, is a slayer of demons but not a demon himself.

For A.M. Greeley a malevolent reading of the feminine is not so black and white. He suggests:

> It seems reasonable to assume that there was both fear of female sexuality as well as awe and reverence for it among primitive and archaic peoples. It was a sacred force, and sacred forces were to be both reverenced and feared.[32]

This insight is of utmost significance. Kundalini who guards the secret passageway to enlightenment in Hindu tradition, who for Swami Muktananda was the Great Mother, can be either a wrathful or kindly deity, depending on how she is awakened from her dormant state, lying coiled at the base of the human spine.[33] Once appeased, the fearsome deity assists the adept in grace like fashion on their spiritual quest through many trials and tribulations, ensuring their safe arrival at the final destination.[34] This too is the role of Athena in the *Odyssey*, escorting Odysseus on his return home to Ithaca.

In *The Mary Myth* Greeley sees the feminine in a redemptive light, irrespective of her capacity for evoking fearful reactions:

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[30] David Fontana, *The Secret Language of Symbols: A Visual Key to Symbols and Their Meanings*, Chronicle Books: San Francisco, 1993, p43.

[31] It is worth recounting the rest of David Fontana's description of this memorable Hindu painting of Kali because of the similarities between Kali's consort Shiva, the beautiful woman issuing from Brahma's head and the once Androgynous Adam and the beautiful Shekhinah. "…In this painting Kali sits astride her consort, *Shiva*, one of the main Hindu deities. Shiva is typically represented as a white-skinned man (or hermaphrodite). He has a third eye (symbolising his inner wisdom) and a crescent moon on his forehead. Brahma, the creator god (to the right of the picture), is usually shown with four faces. The origin of his appearance is described in myth: Brahma produced a beautiful woman from his own body and was smitten by her beauty. As she walked around him as a gesture of respect, Brahma's wish to stare at her beauty caused a succession of faces to appear.

[32] Greeley A.M., *The Mary Myth: On The Femininity of God*, The Seabury Press: New York, 1977, p59.

[33] Swami Muktananda, *Kundalini: The Secret of Life*, SYDA Foundation: New York, 1979, p4.

> Fertility was to the primitives, as well as to many sophisticated people since them, not only sacred but *the* sacred thing, *the* sacrament, *the* revelation…A woman, then, as a locus of fertility, was an especially sacred thing.[35]

From this viewpoint we can conclude the problem is not the image itself, but rather, as Buddhists state it, unenlightened view, for fear is a product of ignorance. An equally explicit image in sacred Buddhist art reveals the sacred intention behind such images.[36] The *Womb Door-Sukhasiddhi Dakini thanga*, portraying a female Dakini with legs raised to expose her vagina, is rumoured to be the place from whence all Buddhas emerge. This image suggests the feminine, and its associate symbolism, is the key to wisdom and higher consciousness because "To understand what is born you must first penetrate what is beyond both birth and death[37] For the spiritual adept contemplating the 'Tantra of the Secret Nucleus' the entrance to the female womb is far from frightening. The image is equally an invitation to embark on the inward journey to transcendent awareness as it is repugnant to the ignorant. Properly understood, it reveals the nature and location of the secret doorway leading to the ultimate realisation, at the highest level of manifestation.

This imagery is no less present in Christian tradition in the symbolism of the *Vesica Piscis* and its almond shaped haloed extension, the *Mandorla*[38]:

> The Vesica Piscis was a figure often used by the mystery schools. The vesica is created by two interpenetrating circles, their conjunction being shaped like a lozenge. It is a symbol of the womb, the feminine principle, and the moon. In Christianity the vesica symbolises the Virgin as well as the spear wound in Christ's side.[39]

Robert Lawlor's examination of *Vesica* symbolism illuminates it multi-dimensional significance in Christian symbology, and how it ultimately symbolises the feminine domain:

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[34] Swami Muktananda, op.cit., 1979.
[35] Greeley,op.cit., 1977, pp58-9.
[36] Chakraverty A., *Sacred Buddhist Painting*, Tiger Books International: London, 1998, p86.
[37] Chakraverty, op.cit., 1998, p86.
[38] Fontana, op.cit., 1993, p130.
[39] Mann A.T., *Sacred Architecture*, Element Books: Melbourne, 1993, p24.

> There are few figures which carry so much meaning as the simple Vesica…The overlapping circles – an excellent representation of a cell, or any unity in the midst of becoming dual – form a fish-shaped central area which is one source of the symbolic references to Christ as a fish…This fish is also the symbolic designation of the Piscean Age, and consequently the Vesica is the dominant figure for this period of cosmic and human evolution, and is the major thematic source for the cosmic temples of this age in the west, the Gothic cathedrals.[40]

The plan for St Mary's chapel in Glastonbury reiterates Vesica symbolism.

From this we may deduce that popular interpretation is corrupt. When *Genesis* is read as a myth about the feminine principle, the creative power of God, the female figures constitute upper and lower feminine. Note how Adam is backgrounded even though central to the myth, and Eve is central to the creative process even though she is essentially 'other', support.[41] Negative emphasis portraying the feminine in an unfavourable light fails to convey its precise place and nature in primordial narrative. Such readings belie a fundamental ancient truth that everywhere embraced the complementarity of masculine and feminine.[42]

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[40] Lawlor R., *Sacred Geometry: Philosophy and Practice*, Thames and Hudson: London, 1982, pp33-5.

[41] The irony of their respective roles, and apparent contradictions, can be explained through an analysis of human physiology and male and female sexual processes. The male's participation in birthing the human species accords with the role of transcendent Unity. Both are basically redundant after the initial act. The male no longer has a part to play in creating a human being once his semen has been emptied into the woman's womb. The Divine Absolute is likewise rendered impotent after the principial act. This is the thematic behind ancient origin myths like the *Theogony* where we find Ouranos (Heaven) being castrated by his son Chronos (Time). Myths about male castration and impotence allude to the non-participatory role of Absolute Indifferentiation. The severed genitals symbolising divine potency recount how Father is Sacrificed to Son, potency sacrificed to act. Because of the non-participatory nature of equilibrium, Divine Unity is the antithesis of the manifesting impulse. It entirely lacks the inharmonious tendency necessary for manifestation. Creation is born in him and of him, but not from the point of view of wholeness. The Godhead must appear to undergo a kind of internal metamorphosis in order to bring about creation. The first stage of transformation from Absolute to Differentiation, from Unity to Dyad is the creation of the feminine receptacle. God first becomes Mother so that It can be born Son. God first assumes the form of meta-cosmic womb so that it can birth creation. This imagery evokes notions of a Self-Impregnating Divine Unity.

[42] In former times there was no privileging of one gender over the other. To do so was sacrilege, a desecration of the divine. This tendency came much later and, ironically, coincides with documented history ('his-story'). In early antiquity both genders were equally valuable, together and in their own right. The early ancients understood full well that balance could not be achieved if the constituents of the sacred marriage were divorced. Thus, each was regarded with the utmost respect by the other. This is still evident to a degree in Indigenous cultures. The Australian Aboriginals, for instance, maintain women's business is strictly women's business and men business is men's business. Penalties can be imposed if either crosses the line. This demonstrates how feminine and masculine were treated equals in primitive culture, and it is indicative of their reception throughout antiquity generally. And not just because the tribe's survival

So why are Adam and Eve not shown the same degree of respect as their eastern counterparts? Purusha and Prakriti are revered in Hindu culture while Adam and Eve are shrouded in shame. The answer is simple. Western interpretation is unbalanced, leaning toward a malevolent reading of serpent symbol and feminine. The West is unduly influenced by the notion of evil, which has far less sway in the east. Evil, in certain Eastern doctrines, entirely lacks the grandiose, seemingly irredeemable, character we see enshrined in the satanic inferno of western cosmology.[43] Previously, evil was a matter of reverse process, as left is to right and right is to left. Original sin was 'left-ness', a reference to mirroring and the state coincident with the feminisation of God. Evil spelt backwards mirror images the word live (evil=live), literally.[44] Thus, attributing evil to the feminine because sinister, is the point of view of ignorance. This is not necessarily the point of view from the perspective of the divine.

Hindu metaphysic is useful for clarifying problems in western interpretation. The Hindu tradition retains knowledge of how evil is merely one half of a dualism, a lesser level of manifestation. Vedantist doctrine insists, the good-evil dichotomy underpins relative reality only, not absolute reality. And, to the degree that the relative is contingent on the absolute, it implies one is unaware of the other, the former ignorant of the latter. Duality perceives not Unity. The Absolute is invisible in the face of dualistic creation. This is the principle behind notions of a two-fold feminine that veils and unveils. The symbolism of weaving and the principle of the dual feminine are united in the figure of Penelope who whiles away the days and nights weaving while she awaits the return of her beloved Odysseus:

> Penelope represents the soul in its original purity, as the faithful wife of the spirit. The fact that each day she weaves her nuptial garment and each night undoes it again – in

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depended on their harmonious working together. The respect was genuine, issuing from an informed understanding of the invisible forces and processes of principial manifestation, which masculine and feminine embody.

[43] Most ancient traditions look upon the serpent as benevolent. This is still evident in the East with spiritual adepts instructed to "become as wise as a snake and as gentle as a lamb" in their quest for spiritual realisation. For the Australian Aborigines the rainbow serpent is the Great Mother. Here again we find subtle inferences linking the serpent and the feminine to wisdom.

[44] Opcit., Z'ev Ben Shimon Halevi, 1996, p26. Even though this particular example only works in English, the same principle is expressed in unique ways in different cultures and traditions. For instance, Z'ev Ben Shimon Halevi tells us in Hebrew its is 'Eheyeh asher eheyeh' ('I am that I am). The relative pronoun 'that' sets up the second 'I am' as a reflection.

> order to deceive her suitors – shows that her nature is related to universal substance, the principle both virginal and maternal of the cosmos: like her, Nature (*physis* in Hellenism and *Maya* in Hinduism) weaves and dissolves manifestation following a never-ending rhythm.[45]

This process can be mapped in the Hindu system of two-fold elements. The principial elements *tanmatras* and the corporeal elements *bhutas* are knitted together *in utero*.[46] Universal soul is individualised in the confines of the womb. Meta-cosmic womb and cosmic womb unite to weave a garment of flesh for spirit. The principial elements mesh with the corporeal elements in two stages. First in the womb at the level of unmanifest manifestation, and then again at birth when the composite being emerges from darkness into the world and the external elements, conjunct with the internal principial elements, activate the external senses. Emergence from the womb when inner and outer meet for the first time, when the vital organs are awakened so that the soul can function as an independent being, is a form of initiation. Hence, spiritual initiation is often referred to as a second birth, or rebirth in the sense that we are re-initiated into the meta-cosmic womb. The great unknowing on which life pivots at the time of birth and again at death is the great feminine unknowing. This is the Eve or Dawn of creation, the point when life and death hang in the balance.

From the point of view of the 'One and only transmigrant' this biological simile is but a fleshly replication of the ever recurring primordial event, the birth of *Logos*.[47] Over and again the cosmic drama is enacted in the unfolding from conception to birth. Like an inverted phallus, the ovarian tree produces and then releases the fertilised egg for incubation in the fleshy womb. Seed meets seed when female and male unite, in ecstasy, to produce half-divine, half-animal progeny, humans. The human being is a physical creature created in God's image.[48] This is attested by the divine nature of sexual orgasm, when for a brief moment each of the participants is aligned with their bliss bodies and

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[45] Burckhardt T., *Mirror of the Intellect: Essays on Traditional Science & Sacred Art*, Quinta Essentia: Cambridge, 1987, p162.
[46] Swami Chinmayananda, *Atma Bodha of Bhagawan Sri Sankaracharya*, Central Chinmaya Mission Trust: Bombay, pp18-19.
[47] Coomaraswamy, op.cit., 1977, p66.

taste a pale reminder of what awaits them in the higher orgasmic state contained therein. Every procreative act is a chance to experience the coupling of the primordial pair Adam and Eve, Purusha and Prakriti and every conception an opportunity to experience and participate in the miraculous birth of creation.

So what does this mean for the feminine in the absence of a two-fold feminine nature? The meaning of the lower feminine is projected onto the higher feminine. The evil attributed to the feminine cosmologically is assigned to it metaphysically. As a result meta-cosmic womb and feminine dyad are often misunderstood. For instance, the marriage of lower night with Chaos contradicts the works of early Greek poets and Presocratic philosophers who suggest otherwise. Hesiod's description of Chaos in the *Theogony* highlights its kinship with Maya, a higher feminine:

> Tell me these things, Olympian Muses, tell
> From the beginning, which first came to be?
> Chaos was first of all, but next appeared
> Broad-bosomed Earth, sure standing-place for all
> The gods who live on snowy Olympus' peak,
> And misty Tartarus, in a recess
> Of broad-pathed earth, and Love, most beautiful
> Of all the deathless gods. He makes men weak,
> He overpowers the clever mind, and tames
> The spirit in the breasts of men and gods.
> From Chaos came black Night and Erebos.
> And Night in turn gave birth to Day and Space
> Whom she conceived in love to Erebos.
> And Earth bore starry Heaven, first, to be
> An equal to herself, to cover her
> All over, and to be a resting-place,
> Always secure, for all the blessed gods.[49]

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[48] It has always struck me that there are two senses of image here, the first is a microcosmic representation of macrocosm and the second a reference to the feminine creative power of God, Shekhinah or Shakti, God's own image, the metaphysical ground of manifestation.

[49] *Theogony 31*, *lines 114-130.* Wender D., Hesiod, *Theognis: Theogony & Works and Days*, Penguin Books: Victoria, 1973, pp26-7.

There is uncertainty concerning the gendered status of Chaos, which might be thought altogether beyond the distinction of gender because neuter.[50] This effectively aligns it with the notion of Absolute considered from the point of view of *Brahman Saguna* and *Brahman Nirguna*, Absolute qualified and unqualified respectively; however, a higher meaning is implied.[51] It is possible Chaos takes on a feminine function, and status, when seen as the ground of manifestation.[52] 'Gape', 'yawn', 'gap' or 'chasm', are equally references to the feminine receptacle that births creation, when taken in a primary sense. The first point of separation within the Divine immensity, whether implied or actual, is dyadic. And, as the dyad is hallmark of the feminine, the process of transition from Unified Indistinction to Distinction is the feminine domain. Coomaraswamy illuminates this principle in the Hindu tradition:

> The Supreme Identity is equally bipolar whether one thinks of "It" as masculine or feminine: so one asks with respect to the Magna Mater, Natura Naturans Creatrix, the Infinite (viraj, aditi), "Who knoweth Her progenitive duality?" (yonis ca giyate, VS 1.4.7.27). But if the conjoint principles are considered in their reciprocity, it is the manifested God that is the masculine and unmanifested Godhead that is the feminine power, as being the inexhaustible reservoir of all possibility, including that of manifestation. [53]

The feminine principle is passive, the unmanifest in manifestation, and Chaos, from the standpoint of substrate, *matrix*, is essentially feminine. Hence it acquired an evil status in the minds of philosophers who did not fully understand the metaphysical nature of Chaos.

From the point of view of a fifth element, *aether*, the dyad constitutes the receptive pole of an invisible divine axis. The feminine womb that frames the cosmos is the dyadic extreme. This is the overriding principle in the gospel of *Matthew* and the famous Christian resurrection scene. Christ's ascent from the tomb is witnessed by not one Mary but two.[54] One we know is Mary Magdalene because in *Matthew* 28:1 she is named.[55]

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[50] Kirk G.S., Raven J.E. & Schofield M., *The Presocratic Philosophers: A Critical History with a Selection of Texts*, Cambridge University Press: Cambridge, 1983, pp34-9.
[51] Hiriyanna M., *The Essentials of Indian Philosophy*, Motilal Banarsidass Publishers: Delhi, 1995, p160-8.
[52] Opcit., Kirk, 1957, p35.
[53] Coomaraswamy, op.cit., 1977, pp148-55.
[54] Kingsland W., *The Gnosis or Ancient Wisdom in the Christian Scriptures*: George Allan & Unwin: London, 1937, p169.

The other we can only surmise is the Virgin Mary following the premise they were both present at the time of the crucifixion, and Christ's Mother fits the womb-tomb motif.[56]

The axial significance of the two Marys comes to light in a side-by-side comparison with the techniques of esoteric initiation. J. Nigro Sansonese tells us:

> In Hebrew the literal name of Jesus derives from *yehoshua*, a word that originally meant "breath" but also has the sense of "protection" and "peaceful". In other words, it describes trance on the breath. So when the Angel of the Annunciation, a recapitulation of the Holy Spirit, tells Mary "thou shalt call his name Jesus: for he shall save his people from their sins", a double entendre results between a literal sound, that of the breath, and the approximation of that sound, *Yehoshua* (translated in the Vulgate as Jesus). The name of God is hiding in plain sight.[57]

If the *Logos* that is housed in the breathy receptacle is Jesus Christ, then the two Marys are the ethereal poles on which the breath pivots, the root of *inspiritus* and *exspiritus*.[58] We should not be blinkered by a feminine dualism working its way out in primordial narrative as two distinct female characters, opposite in virtue and apparently separate from each other, or how reunification of the two-fold feminine principle is effected through a third character or principle, seemingly external to them. They are prerequisite poles of Avatara. Thus equating Chaos and the feminine dyad with evil is undeserved. In a higher sense this is simply the play of creation.

If we can get past the evil reputation that has engulfed Lilith, she too is a playful goddess, like the Hindu Maya:

> Maya is an exclusively Vedantic term, often rendered as "universal illusion", or "cosmic illusion", but she is also "divine play". She is the great theophany, the "unveiling of God "in Himself and by Himself" as the Sufis would say. Maya may be likened to a magic fabric woven from a warp that veils and a weft that unveils; she is

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[55] *Matthew* 28:1.
[56] *Matthew 27:56.*
[57] Sansonese J.N.*, The Body of Myth: Mythology, Shamanic Trance, and the Sacred Geography of the Body*, Inner Traditions International: Rochester, 1994, p236.
[58] The underlying principle of *inspiritus* and *exspiritus* evokes imagery of the pathways of ascent and descent as corresponding with the Cosmic tree symbolism found in *Hermetic* and Hindu traditions - *Eve* and the Serpent are *Ida* and *Pingala.* In Hindu terms 'She' is quite likely the dharmic polarity, dyadic extreme of dharmic axis.

> quasi-incomprehensible intermediary between the finite and the Infinite – at least from our point of view as creatures – and as such she has all the multi-coloured ambiguity appropriate to her part-cosmic, part-divine nature.[59]

It is also possible Lilith once symbolised 'Divine-Art', as well as 'Divine-Play':

> *'Maya'* is the maternal 'power' (*Shakti*) though which divine Understanding acts; more precisely still, it is *Kriya-Shakti*, that is 'divine Activity', which is *Ichchha-Shakti*. As such, it is inherent to Brahma Himself, or to the Supreme Principle. It is therefore situated at an incomparably higher level than Prakriti, and if the latter is also called *Maya*, notably in *Sankhya*, this is because it is in reality but the reflection of this *Shakti* in the 'cosmological' order.[60]

This would certainly explain why Lilith was created before Eve in early accounts of *Genesis*:

> Maya, by the very fact that it is the divine 'art' that resides in the Principle, is also identified with 'Wisdom' *Sophia*, understood in exactly the same sense as the Judeo-Christian tradition, and, as such, is the mother of Avatara. It is so, primarily, as to its eternal generation, in as much as it is Shakti of the Principle, which is moreover but one with the Principle Itself, of which it is but the 'maternal' aspect. And it is so also, as to its birth in the manifested world, inasmuch as it is Prakriti, which shows even more clearly the connection existing between these two higher and lower aspects of Maya.[61]

It naturally follows, that Lilith and Eve are the Maya and Prakriti of the west. It is unfortunate that the West no longer endorses a higher feminine and now lacks the necessary orientation for comprehending how 'She' is divine revelation at its highest.[62] Formulations such as 'divine-art' and 'divine-play' infuse the feminine with a positive status – the same way Ishvara, predicated on the feminine arche, affirms the unknowable Brahman, whose nature is essentially intangible, because transcendent:

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[59] Schuon, op.cit., 1965, p89.
[60] Guénon R., *Studies In Hinduism*, Nirmal Singal: New Delhi, 1985, p75-6.
[61] Guénon, op.cit., 1985, p75-6.
[62] Schuon, op.cit., 1965, p89.

> Brahman, according to Sankara, is attributeless, immutable, pure Intelligence. Ishvara [a modification of Brahman], according to him, is a product of Maya – the highest reading of the *Nirguna Brahman* by the individualised soul. The world is a *Vivarta* or apparent transformation through Maya of the *Nirguna Brahman* but not in reality. [63]

An examination of an equally menacing goddess who has power over life and death, gives us another measure of how far we have strayed from an understanding of divine principles:

> The head of Medusa, which turns men to 'stone', represents the corruption of Wisdom; her hair (according to the Sufis symbolic of the divine mysteries) turns into serpents, naturally taken in a pejorative sense, for in its other sense the serpent is also a symbol of Wisdom itself.[64]

Medusa symbolisms invite a positive reading when interpreted as a metaphor for reverse process and mirroring - not just descent. If Medusa's trunk is seen representing axial manifestation, and her serpent hair the diversity of formal manifestation, we encounter in her symbolisms principles of reflection and inversion.[65] Reference to conquering the snake-haired, Gorgon queen, through her reflected image, is thus a reference to the limits of human endeavour. This myth alerts us to the dangers in mistaking relative reality for absolute reality and taking the feminine principle for granted. It serves as a reminder of what we can expect to see, or experience, pursuant to the two perspectives, ascent and descent, and their eventual outcomes, mortality or immortality. The reflected image, symbolised by Athena's shield, is arche, and its allusion to the feminine receptacle intimates evoking the protection of the great goddess when properly understood – as did the hero Perseus who conquered the Gorgon by beheading her, with the help of Athena's shield.

Medusa symbolism is essentially a simile of initiatic pathways, an allusion to the system of karmic repository within the human form. Medusa's significance at this level

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[63] Swami Vireswarananda, *Brahma Sutras According to Sri Sankara*, Advaita Ashrama: Calcutta, 1996, ppxii-xiii.
[64] Guénon R., *Insights Into Christian Esoterism*, Sophia Perennis: Ghent, 2001, p38, n.9.

might be better understood in the light of Swami Muktananda's explanation of the serpent goddess Kundalini and of the subterranean processes in the human body:

> The body may appear from the outside to be made of simply flesh and blood, but that's not really what it is. This body is also made of *nadis*, or channels…These *nadis* perform different functions. Some are channels for blood, some for wind, some for *prana*, and so on. Among the 720,000,000 *nadis* which make up the human body, there are one hundred which are important, which support the other *nadis*. Among these *nadis* ten are supported by three *nadis* which are of the highest importance: the *ida*, the *pingala*, and the *sushumna*. Everyone's *ida* and *pingala nadis* are active, because when one inhales and exhales, the breath comes in and goes out through the *nadis*. However, most people are unaware of the *sushumna nadi*, which is most significant of the 720,000,000 *nadis*. The *sushumna* is situated between the *ida* and *pingala* in the center of the spinal column. The various activities of life are only possible because of the *sushumna*. It extends in an unbroken line from the *muladhara*, where the dormant Kundalini lies coiled up, to the *sahasrara*, in the crown of the head, the seat of supreme Shiva. Within the *sushumna* is a subtle *nadi* called *chitrini*, which is the channel for the movement of Kundalini. The *sushumna* is also called the *brahma nadi* (the channel of the Absolute), the *samvitti nadi* (the channel of consciousness), the *madhya nadi* (the central channel), or the pathway of the great Kundalini.[66]

This striking configuration bears similarity to the Caduceus, Herme's Wand, and duplicates the symbolism of the two-trees in the midst of the Edenic garden in *Genesis*; if we imagine transposing the tree of knowledge of good and evil on to the tree of life. The tree of dualistic consciousness entwined around the tree of life like a serpent replicates the drama of Eve, Serpent and Tree. This relationship is even clearer in Lilith symbolism with her half serpent, half female winged form, superimposed on the tree.

If the Christian church were not so eager to eradicate pagan undercurrents they might have retained knowledge of the indispensable positioning of the feminine.[67] Located in

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[65] From another not unrelated perspective Medusa's hair may symbolise the 720,000,000 *nadis* that make up the human body and the need for exchange of little insights for the state of wisdom itself, which can only be properly effected through purification. These *nadis* are the repository of *karma* residue.

[66] Swami Muktananda, op.cit., 1979, pp28-9.

[67] Bede: *A History of the English Church & People*, Penguin: Victoria, 1981, pp86-7.
"A copy of the Letter sent by Pope Gregory to Abbot Melliltus on his departure for Britain [A.D.601] reveals Christian intentions: "…when by God's help you reach our most reverend brother, Bishop

Sacred Heart Cathedral at Bendigo is an image of Mary with serpent underfoot. Nowadays, it is thought to reference Saint Patrick who drove all the snakes out of Ireland. Culturally speaking, it demonstrates the Irish community's reluctance to relinquish their ancient connection to the Great Mother of their Celtic tradition.[68] From the perspective of divine mystery, however, the imagery is a fortuitous reminder of the intimate connection between Great Mother and Serpent. It is not simply a matter of biblical exegesis, a retelling of when God put enmity between the offspring of woman and serpent in *Genesis* 3:15, rather an acknowledgment of *gnostic* initiation. Once we encounter the serpent goddess Kundalini of Eastern Tantra side by side with the two Eves and the Virgin Mother, we are truly positioned to realise the fall is a two-way process, descent and ascent, and the serpent is the key to paradisical consciousness, and the possibility of return.

God the transcendent Father of Christian doctrine might not be quite so inaccessible if Mary principles were resurrected, and Lilith restored to her rightful place in *Genesis*.[69] It is odd how the Biblical version of *Genesis* deviates from ancient practice by absenting a consort for God the Father. Most ancient traditions had an arrangement where both Absolute and Creator God were paired with a female consort, whatever its form or nature, whether image, shadow or creative power. Brahman has Shakti, Baal has Baalat, Geb has Nut and Yahweh has Shekhinah:[70]

Augustine, we wish you to inform him that we have been giving careful thought to the affairs of the English, and have come to the conclusion that the temples of the idols among that people should on no account be destroyed, but the temples themselves are to be aspersed with holy water, altars set up in them, and relics deposited there. For if these temples are well-built, they must be purified from the worship of demons and dedicated to the service of the true God. In this way, we hope that the people, seeing that their temples are not destroyed, may abandon their error and, flocking more readily to their accustomed resorts, may come to know and adore the true God. And since they have a custom of sacrificing many oxen to demons, let some other solemnity be substituted in its place, such as a day of Dedication or the Festivals of the holy martyrs whose relics are enshrined there…"

[68] Patterson H., *The Celtic Lunar Zodiac,* Rider: Sydney, 1992, pp39,40&43. "Candlemas was a Celtic Christian festival celebrated on the 2nd of February…Candlemas was also the Christianised version of an ancient festival of candles in honour of Brigit or Brigantia, a triune moon goddess. The Virgin Mary was duly substituted for Brigantia, and the sacred flame rekindled from the festival of Brigantia, a Celtic spring festival in her honour…Brigantia is also a symbol of the feminine mysteries."

[69] Humm, op.cit., 1997.

[70] Brandon S.G.F., *Creation Legends of the Ancient Near East*, Hodder and Stoughton: London, 1963, pp23-6.

> The Shekhinah, divine presence, is the feminine aspect of God. It is that aspect of the divine which is closest to humankind and with which we become united in reaching our fullest spiritual potential.[71]

Christianity had no problem accommodating the Shekhinah in New Testament doctrine with the Holy Ghost, so what happened to her in the Old Testament creation myth? It appears Lilith was meant to fill this void. There is ample reason to suspect Lilith is a personification of the Jewish Shekhinah. They share many traits. Both are exiles, both queenly in stature, and both of *matrix* proportion - albeit, Lilith manifests more of a Kali nature while Shekhinah is coincident with Shakti.[72] Surely it cannot be mere coincidence that the etymology of Lilith aligns her with the Lila aspect of Maya, or Shekhinah in this case.[73] The root *'lil'*, hosts a number of like female deities:

> As the name of a demon, the Hebrew Lilit (Lilith) is etymologically related to the Sumerian lil ("wind") and not, as some once supposed, to the Hebrew laylah ("night"). Yet like the Sumerian wind demon and her later Babylonian counterpart, Lilitu, a succuba who seduces men in their sleep, Lilith is active at night, seizing men and forcing them to copulate with her. Although as child slayer Lilith bears greatest resemblance to the Babylonian demon Lamashtu, Lamashtu eventually became confused in the popular imagination with the succuba Lilitu. [74]

Here is another means of linking Lilith with Shekhinah. Wind and Spirit can read as one and the same thing at different degrees of manifestation. And *daemon*, the root from whence we derive the word 'demon', was a benevolent creature in antiquity, who acted as go between, between the divine and human realms.[75] *Daemons* were originally messengers carrying out the will of the gods. Nor should we forget the Lily and its eastern cousin the Lotus, floral emblem of purity, motif of the Virgin Mother and the

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[71] Brian Lancaster, *The Elements of Judaism*, Element: Shaftesbury, 1993, pp71-2.
[72] Scholem G., *On the Kabbalah and Its Symbolism*, Schocken Books: New York, 1965, pp139-157.
[73] Coomaraswamy A.K., *Lila* in *Coomaraswamy 2: Metaphysics: Selected Papers*, Princeton University Press: Princeton, 1977, vol 2, pp148-55. In his article *Lila* suggests the use of the term *Lila* is relatively new, but there is much to suggest it has an ancient feminine root in traditions other than Hindu.
[74] Umansky, op.cit., 1987, p554.
[75] *Symposium* 202e-203a

feminine principle replicating the female genitalia.[76] A Hindu creation myth portrays Vishnu reclining on the primordial ocean. A lotus issues from his naval to reveal the creator god Brahma.[77]

There is another angle from which to approach the whole issue. If God and only God, God Alone is, how can we justifiably ignore God's feminine aspect? A re-reading of the feminine in this light prompts us to ask, if God the Father and God the Son, why not also God the Mother, given the irreplaceable role of the feminine in birthing creation. Subordinating the feminine in an account of man's origin denies a proper reading of its indispensable positioning in principial narrative. Is not Eve, after all, God in feminine form at the level of universal manifestation, and Lilith God in feminine form at the level of unmanifest manifestation? Monists, at least, would have to concede this - gnostics and metaphysicians too, in order to elicit a higher reading of the feminine, which, from this perspective, must be viewed as transformation not separation.

Hindus declare, Brahman Alone is real.[78] If perceived as trinity Brahman is all three aspects. For the 'One without a second' cannot be other. This principle finds expression in the Hindu metaphysical trinity *Sat-Chit-Ananda,* Being-Consciousness-Bliss.[79] According to *Hindu Vedanta*, the Maya-Consciousness aspect of the metaphysical trinity is neither real nor unreal. Its neither-nor qualification, which is but the feminisation of Brahman as Shakti, brings it into line with the Holy Ghost of western trinity.

Frithjof Schuon informs us the Islamic religion is more inclined to give the feminine its proper due:

> The Koran has been reproached for bringing the Virgin Mary into the Christian Trinity; we will answer this objection here, not only to explain the intention of the Koran, but also, at the same time, to clarify the problem of the Trinity by means of a particular metaphysical accentuation. According to an interpretation which is not theological in fact, but is so by right and finds support in the Scriptures, the "Father" is God in Himself, that is, as Metacosm; the "Son" is God insofar as He

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[76] Warner R., *Encyclopedia of World Mythology*, Octopus Books: London, 1975, pp240&251.
[77] Snodgrass A., *Patterns of symbolism in Traditional Architecture*, Sri Lanka Institute of Traditional Studies: Sri Lanka, 1998, p7.
[78] Hiriyanna, op.cit., 1995, p155.
[79] Danielou A., *The Myths & Gods of India: The Classic Work on Hindu Polytheism from the Princeton Bollingen Series*, Inner Traditions International: Rochester, 1991, p15.

> is manifested in the world, that is, in the Microcosm; and the "Holy Ghost" is God insofar as he is manifested in the soul, that is, in the Microcosm and Macrocosm.[80]

Schuon goes on to explain the correlation between "Holy Ghost and Divine Virgin" and how "it is an equation which is linked to the feminization, in certain ancient texts, of the divine *Pneuma*."[81] Any one person or tradition who assigns third place to the feminine in a trinitarian account of creation is therefore remiss, or has simply lost the way. For this is clearly inconsistent with ancient doctrine, and the express understanding of the feminine as dyad. Does not Mother precede progeny in the natural ordering of things? Who are we to believe, Nature, the repository of divine principles, or those seeking realisation of a political agenda? Assigning third place in order of importance detracts from a correct reading of the feminine as divine intermediary.

It is unfortunate that even good intentions sometimes go astray. There have been many who supported the feminine throughout the preceding centuries but nevertheless got it wrong because they lacked the right orientation. No matter how they tried to vindicate the Virgin Mary through her esteemed title 'Mother of Avatara' her divine standing was still undermined by being positioned as 'other'. It is as if Her divine station 'is', only by virtue of her Son, *Logos*. Titus Burckhardt informs us of just such an instance:

> St. Albert wrote of the Virgin: 'Her son is King of Kings and Lord of Lords; so she must be called Queen of Queens and Lady of Ladies…Her son is called God of Gods; so she must be called Goddess of Goddesses.[82]

Even more disconcerting are suggestions that the Divine Mother is in some way an off-shoot of her off-spring.

> As the lowest and highest in creation the Virgin appears in the manner described by Dante in the famous verses that he puts in the mouth of St Bernard: Vergine madre,

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[80] Schuon F., *The Religions* in *Christianity/Islam: Essays on Esoteric Ecumenicism*, World Wisdom Books: Indiana, 1985, p95.
[81] Schuon, op.cit., 1985, p95.
[82] Burckhardt T., *Chartres and the Birth of the Cathedral*, World Wisdom Books: Indiana, 1996, p68.

> figlia del tuo figlio, umile ed alta pi che creatura ('Virgin mother, daughter of thy son, lowly and exalted more than any creature').[83]

Such opinions, albeit well intentioned, detract from her entitlement to be acknowledged as the feminine aspect of God. For in a final analysis:

> …Maya and Brahman may each be represented as the cause of the universe, though in different senses. If we now choose to look upon them as 'together' constituting the source of the world, their blend or combination becomes what is known as the qualified (*Saguna*) Brahman, comprehending all the diversity of experience, including the experiencing selves. In this sense, Brahman may, like Maya, be conceived in two stages – as cause and effect. In the former, diversity is latent, while in the latter it is manifest.[84]

So what does all this mean in terms of a dual-natured feminine? Alienating the two halves of the feminine dyad prevents us from understanding primordial symbolism, and obscures fundamental spiritual processes. Ignoring a prior female goddess trinity, Shekhinah, Lilith and Eve overshadows how the Biblical narrative is centrally concerned with the feminine aspect of the divine. Downgrading the serpent from a creature of wisdom to the scourge of the earth, and marrying a higher feminine and the female sexual and reproductive processes to overstated notions of evil denies sexual energy as a means of return to God. It is vital we realise Woman is attuned to Origin. Her very nature demands it. Her body encompasses and reflects its. She holds within the core of her being the secret to life. She is an instrument of manifestation.[85] To recapitulate: From a position of presence the feminine is matrix, materia prima, virgin nature, the great mother. From a position of absence 'She' is substrate, receptacle, womb, the great void. She is the spatial

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[83] Burckhardt, op.cit., 1996, p68.
[84] Hiriyanna, op.cit., 1995, p163.
[85] It is possible, therefore, she can know a feminine essence? The feminine is privy not only to the moment of conception and the moment of birth occurring within her, she also experiences enlightenment for a brief moment when all her chakras are open and she feels the creative power of the Absolute birth the being that has been growing inside her womb. Contrary to popular opinion, it is therefore possible for the feminine to know a feminine essence. Aside from intuiting it from the depths of her soul she can experience the feminine aspect of divine totality at the core of her being, in her body. From this standpoint the highest honour is bestowed on woman (womb-man). It is important to realise the degree of injustice in denigrating accounts of woman and the feminine nature. For, unfortunately, the pains of labour and child-birth increase

void that frames and interstices creation and our link to a transcendent Absolute. She is mystery, She is wisdom, She is revelation, She is soul, She is all these things and much more. Until we correct false assumptions about the place, nature and function of woman and the feminine, our advance to an enlightened humanity will be slow indeed. It is only by acknowledging the Divine in its feminine form that wisdom will be restored to us. And as both male and female contain masculine and feminine we all have a stake in reclaiming the feminine principle.

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under the assumption they are a punishment meted out to women for their sinful nature. The experience of childbirth may be far less burdensome when her honorary title is restored.

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Spirits That Never Die:
Yoruba Traditional Religious Motifs in Contemporary Yoruba Art

Art History/Cultural Studies
Paper Session

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Abstract:

The Yoruba live in present-day Nigeria, Togo, and the Republic of Benin. Their traditional religion focuses on the veneration of Orisa (deities), whose powers are harnessed for individual and collective empowerment. For as long as anyone could recall, sculpture, shrine paintings, and masquerades were the primary forms of depicting these traditional philosophies and the characteristics of the deities. However, many contemporary Yoruba artists such as Twins Seven-Seven, Nike Olaniyi-Davies, Jimoh Buraimoh, and Rotimi Fani-Kayode have taken Yoruba traditions and made them personal to their own lives and conveyed their interpretations of said traditions in a new fashion through their art-works.

Spirits That Never Die:
Yoruba Traditional Religious Motifs in Contemporary Yoruba Art

The Yoruba are located in Southwestern portion of Nigeria, West Africa. Traditionally, they have a very complex spiritual system that predates the arrival of Christianity and Islam in West Africa. Within the Yoruba traditional spiritual system there exist deities known as Irunm?le and Òrìsà[1], and a supreme creator known as ? l?dùmárè[2]. For as long as anyone could recall, sculpture, shrine paintings, and masquerades were the primary forms of depicting these traditional philosophies and the characteristics of the deities. However since 1945 (circa), many Yoruba artists have taken on the task of depicting traditional philosophies, events, and deities in their works by modernizing the traditional forms. With a mixture of nontraditional modes of representation and traditional forms, the Òrìsà traditions as well as traditional myth take on a new look. This paper will examine the works of Twins Seven-Seven, Nike Olaniyi-Davies, Jimoh Buraimoh, and Rotimi Fani-Kayode. In modern times there are a large number of Yoruba Christians and Muslims, many if not most are aware of the traditional spiritual system and may partake in traditional celebrations. The artists of this paper come from backgrounds that are a mixture of Traditional, Christian, and Islamic beliefs. Yet, each of these artists have taken Yoruba traditions and made them personal to their own lives and conveyed their interpretations of said traditions in a new fashion.

During the period of colonial rule of the Yoruba by the British what was traditional began to go 'underground' in Yoruba land. This is referred to as the Imposition Period. Artist

[1] The Irunm?le are different from the Òrìsà although they are all deities under ? l?dùmárè. The Irunm?le come directly from orun (heaven), where as the Òrìsà are deified ancestors that achieved great accomplishments during their life on Earth.
[2] There are many names for the supreme creator within the Yoruba tradition ? l?dùmárè is but one appellation. Other names like Edumare, Eleda, and Oyigiyigi can also be heard during spiritual ceremonies.

and scholar, Moy? Okediji in his book *African Renaissance*[3], comments on the impact of 'wars, slavery, and colonization' on an oral culture; these factors also contributed to the loss of identity of Yoruba artists. Artists of the colonial period were not willing or were unable to learn from traditional artisans openly[4]. Most Yoruba artists simply conformed and learned western styles of the visual arts in order to have some level of acceptance. Many Yoruba were converted to Christianity, thereby causing the faces of the old cults to change. This contributed to a most unfair belief of anything being traditional as 'primitive' and 'talentless'. Okediji quotes an Africanist historian J.D. Fage about the Africans plight during the colonial period.

> The main burden of imposing European art education on Africans was also borne by Africans. The learning of European art and technique would have been less easily acceptable had their teachers also been European. The art teachers were Africans. Once Europeans had forcefully imposed their aesthetic tastes on the continent, they continued to rely on Africans to help them propagate it.[5]

Western aesthetics pervaded dress, traditional beliefs of beauty, traditional depictions of beauty as well as the traditional spiritual teachings. Yoruba artists had to learn a new hand as well as a new way of 'seeing'.

Standard form is of extreme importance when it comes to traditional motifs. However, each artist has an individual nuance or style that would make the art recognized as his or her work. In general, uniformity equates to social unity. The goal of traditional forms is to convey sometimes highly complex cosmological and philosophical ideas and expressions visually. The idea is the same; therefore there must be uniformity to the overall form, depiction, and function

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[3] Okediji, Moyo. *African Renaissance: Old Forms, New Images in Yoruba Art*. Colorado: University Press of Colorado, 2002.
[4] Traditional artisans were responsible for traditional forms of sculpture and shrine paintings. Many of them preferred to not pass on their knowledge because of the changing attitude towards traditional art forms.
[5] Okediji, 17.

of the traditional art created. For example Edan Ògboni figures of the Obgoni Society will have the same basic form. Sometimes they are coupled, one male figure linked to a female figure. Both figures are nude with genitals fully exposed. Other times an Edan figure is depicted as an androgynous female figure adorned with a beard. Each Edan Ògboni figure has specific meaning and function; however artists are allowed to create these figures while incorporating their own personal style.

The Exposition Period[6] brought about many changes for Yoruba artists. Artists began to display paintings that depicted the Òrìsà, metaphors, myths, proverbs and daily life. The representation of form could either be abstract or naturalistic. However abstract the images, the traditional formal meanings can still be interpreted from the work of art. One such artist that has utilized Yoruba traditions is Twins Seven-Seven[7]. Twins was raised in the Ogidi area of Yoruba land. In 1964, he met Ulli Beier and went on to participate in Beier's art project. It was Beier's goal to capture the untamed and untouched innocence of the Yoruba natives. Beier wanted to allow untrained individuals the freedom to depict traditional forms in any manner they chose. Twins happened to be one of his best students.

Twins created the work *Priest of Shango, the Yoruba Thunder God* in 1966. Sàngo is the Yoruba deity of thunder, lightening and fire. He fights on behalf of justice and the innocent. The Òrìsà Sàngo was a king in Oyo region; through the Òrìsà Sàngo, Irunm?le that deal with the same or similar issues can be reached. In *Priest of Shango*, Twins incorporates the Osè Sàngo, (Sàngo's axe) as well as metaphors of Sàngo's power to create the image of a Sàngo priest. The traditional motif for the Osè Sàngo uses a female figure with bulging almond shaped eyes that are closed or swollen shut. This indicates the presence of Sàngo's lightening as well as a deep

[6] Circa 1960 to 1990
[7] Birth name is Taiwo Olaniyi

state of meditation or spirit possession. The double-headed axe crowns the head of the female. At times the female figure is kneeling or standing with very full breasts that point straight out; this signifies her ability to nurture and provide for her family and community. She may also have in hand a container or child. These images express the delicate balance between male and female energy. Sàngo, a masculine deity channels his energy to Ilè (Earth) a female deity.

Twins takes the eyes of the priest and rounds them. He draws spirals around the pupils creating a hypnotic effect. These spirals denote spirit possession, the àṣẹ of the priest and the àṣẹ of Sàngo. The oral tradition of the Yoruba says this of Sàngo, "Iná lojú, Ina lenu, Ina lorule ile," "There is fire in his eyes. Fire in his mouth. Fire in the roof." This speaks of Sango veracity and strength as well as his spiritual prowess.

Twins also changes the double-headed axe to the horns of a ram. Rams are a sacrifice that is given to Sàngo. Twins skillfully hides the figure of an elephant in the image of the priest. The trunk of the elephant can be seen in the area just above the forehead of the priest. The horns are then transformed into the ears of the elephant. Twins mixes the verbal metaphors and physical motifs in *Priest of Shango* in this instance. Sango is known to captures his enemies while they are unaware; by the time they recognize that he is present it is too late for the strength of Sango is overwhelming. The power of transformation is also with Sàngo and is displayed in the creation of lightening. Twins uses sharp lines to include the lightening symbol of Sàngo in the image. He also depicted the hairs of the priest standing up on end. When the body feels electric energy or if it is spiritually energized, the hair rises up. It is clear that Twins has given a new visual representation to display the intensity of Sàngo.

Nike Davies was one of Twins Seven-Seven's assistants. When she was just a young girl, she learned the art of batik making from her mother and maternal grandmother. After she became

more successful creating magnificent batik works, she opened the Nike Center for Arts and Culture in Osɔgbo, Osun State, Nigeria. At the Nike Center, Davies encourages both rural men and women to explore their creative natures, often free of charge. Davies is renowned worldwide for her decorative batik designs. She incorporates the traditions of Yoruba village life, festivals, and myths in her batik creations. One such example is that of the batik wall hanging titled *Òṣun Festival,* created in 1998. Òṣun is a deity that represents the epitome of femininity (both active and passive feminine force). She is an example of the quintessential mother; she brings victory to the downtrodden, and is a healer of the sick. There is an Òṣun festival held annually in Osɔgbo during the rainy season. Because of the afore mentioned attributes of Osun, devotees as well as curious onlookers flock from remote places around the world to participate in this spectacular event. People attending present their prayers at the shrine and the Òṣun River during the festival with the hopes that Òṣun will fulfill their desires. Many return from the previous year to show gratitude for Òṣun fulfilling her promises. Davies depicts part of these rituals in the *Òṣun Festival* batik wall hanging.

At the time of the lighting of the Sixteen Lamps, Olojumerindilogun, the devotees of Òṣun sacrifices and join in the merriment of the festivities. On the same night, an all night vigil is held were visitors are able to greet the deity through song, dance, and plenty of drumming. Davies' depiction is that of the arugbaʔ[8] carrying the container filled with offerings from the shrine. The arugbaʔ is escorted from the shrine through neighboring areas, back to the street that leads to the grove. She dances the whole way to the Òṣun River, where the sacrifice is then fed to the deity from the banks. Davies includes the traditional drummers that play for the arugbaʔ on

[8] The arugbaʔ in Osɔgbo is a virgin girl belonging to the royal family.

lookers, and the ?l?s?[9]. Also seen in the batik are images of brass emblems, which are favored by Òṣùn.

An important aspect of Yoruba traditional cultures is the use of beads. In the past, primarily the royal families and traditional priests had complete access to beads. The Yoruba are renowned for their beaded crowns that adorn the heads of their rulers. A beaded bird, representing Aje?or the Mothers, tops the crown. This is a constant reminder to the ruler to remain humble to forces that are greater than human beings. Another common component of the traditional crown is the veil. The veil portion of the crown is made up of long beaded strings used to either fully or partially conceal the face of the ruler when in public. Traditional priests use beads to create ileke?[10] and other important shrine items.

Jimoh Buraimoh utilizes beads in the creation of much of his artwork. With the addition of beads, he creates solid physical texture in the work that is difficult to achieve with paint. In his work *Obatala and the Devil,* Buraimoh applies beads to outline the bold elongated shapes painted with vivid colors to compose the figures of Obatala and Esù. The figures of the two deities are placed against a soothing mixture of light and dark greens. The body of Esu is composed of horizontal discs filled with a vibrant yellow hue. This expresses the dynamic active nature of Esu. While Obatala's image is created using more vertical lines and consists of cool shades white, blue, and varying tints of brown.

Obatala is a deity of wisdom, old age, and coolness. His asẹ helps one to be patient in life; thereby making it possible for the person to receive their greatest rewards. In many of the stories from the Yoruba spiritual corpus, Odu Ifa, adverse forces constantly test Obatala's

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[9] These men carry long switches that they use to whip each other. In times of old, the boys would not have on many clothes. To take the pain, was a sign of their virility. But in modern times, the boys will pad themselves down with clothes to protect them against the sting of the switches.
[10] Spiritual necklaces

patience. Through each trial of endurance, Obatala is triumphant. Obatala is also the molder of the human form. It is believed that when a woman is pregnant, he works along with other deities to work to give physical characteristics to the baby according to that soul's destiny.

After the Christian invasion into Yoruba land, Esù became associated with Satan by the Christians who lacked understanding of this deity. Esù resides in the middle of all things and survives in the gap between light and dark, while balancing both sides. This action gives him the attribute of being the keeper of asè. Esù is also known as the trickster, however it is not actually Esù that tricks people. He provides choices for everyone and leaves it in the hands of the individual to choose a path.

By placing Obatala and Esù together, Buraimoh cautions the viewer to be mindful of the decision making process. Obatala and Esù are featured working together in Odu Ifa. It is said that Esù was once a student of Obatala. Through this course of devotion to Obatala, Esu now receives a portion of offerings given to the deities. If one does not give into the temptation of accepting the easy way through all things, their patience is rewarded. To reach old age and have many gray hairs like Obatala is a blessing, but it takes endurance and determination in order to accomplish such. This is a major lesson that can be extrapolated from Buraimoh's work.

With the advent of photography, new avenues of artistic creativity appeared. It was not long before Yoruba artists combined photography and Yoruba traditions to express mixed metaphors. Rotimi Fani Kayode created performance, installation, and photographic arts. Though, Kayode suffered alienation from his birth-culture, Yoruba, because of his homosexuality, he sought to reconcile the two worlds he lived in. His attempts at this elusive reconciliation lead him to depict Yoruba mythology, history and culture. In his work *S?np?nn?*, Kayode covers his body with red and white dots. Against a darkened space, he holds a cluster of

white candles in his hands. Around his neck are two necklaces, one gold and the other in traditional materials. The dots painted on his body are like those found in the Obaluaye (S?np?nn?) shrine. In some instances when one is initiated to a traditional deity, osun (camwood) and efun (white chalk) are used to dot the initiates body. It is believed that the two, osun and efun, will add asẹ to the individual along with all of the rituals included in the initiation ceremony. Obaluaye is a fierce deity responsible for some fevers, viral diseases, small pox and similar infections, and sexually transmitted diseases. To appease Obaluaye, sometimes beans are rubbed over the body and thrown outside for the birds or other animals to eat. Other times hot water may be used. It is believed that the beans and water will take away illnesses. When Kayode created *S?np?nn?*, he had been inflicted with HIV and would later pass from AIDS related complications in 1989. This depiction is that of a plea to a deity that is very stern. Often times it is hard to appease Obaluaye after he has been offended. It is possible that Kayode had hoped Obaluaye would take mercy on him and release him from the suffering of HIV, but that was not to be the case.

Ulli Beier, says this of the African artist:

> The [contemporary African] artist is chiefly concerned with establishing a new identity, with gathering the broken pieces of a tradition and building them—often self-consciously—into a new kind of collage in which the *African renaissance* is proclaimed[11]

It is very true that each of these artists as well as countless other Yoruba artists have taken the pieces of a broken past to recreate and reinvent themselves, the worlds around them, and traditional motifs. Theses artists have made, and will continue to make, positive contributions to an every expanding and all encompassing ancient tradition that expresses the Yoruba spirit.

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[11] Beier, Ulli. *Contemporary Art in Africa*. New York: Praeger, 1968, 109.

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Whiteness Studies and the Multicultural Literature Classroom

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Author's Note: This essay depends heavily on team-teaching experiences with my colleague Sandra Jones, who is the source of many of the insights and ideas explored here. Since she is busy finishing her dissertation, she did not have time to sit in front of the computer to help write this essay, but she should be credited nonetheless with much that may be valuable within it.

I. Introduction

"It was the whiteness of the whale that above all things appalled me."
--Herman Melville, *Moby-Dick*

"white people are not white: part of the price of the white ticket is to delude themselves into believing that they are."
--James Baldwin, "The Price of the Ticket"

When I began some years ago to maintain a Whiteness Studies web site, the "Select Bibliography" was rather short and easy to update. Now I feel overwhelmed, as books and articles come pouring in from across the disciplines. Thinking naively that the scholarly consensus was pervasive, Professor Krista Ratcliffe and I actually submitted a proposal to the National Endowment for the Humanities to conduct a summer institute on Whiteness Studies, encouraged by a standing-room-only response to our session (with Sandra Jones) at a convention of the National Council of Teachers of English. But the NEH, which had invited us to apply, now told us that whiteness was a "passing fad." If only it were so, and if only the field were unnecessary. Yet its emergence and extension testify to the real intellectual, political, and pedagogical problems its practitioners address. This essay will not attempt an overview of the field, which is now impossible, but concentrate rather on an effort to incorporate Whiteness Studies into the multicultural literature classroom. What motivates such an intervention? What forms can or should it take? At what cost does such an addition come, given the originally marginalized status of writers and communities of color? How does Whiteness Studies position or challenge students of different racial and/or ethnic ancestries? And what effect might this pedagogical innovation have on the authority or position of the instructor?

Though I cannot offer a comprehensive overview of Whiteness Studies here, it will be helpful to sketch my idea of its contents and orientation (for helpful recent anthologies see Delgado and Stefancic; Fine et. al.; and Rothenberg). I believe that Whiteness Studies belongs to the general effort to create a "critical multiculturalism" as an alternative to the "celebratory multiculturalism" popular since the 1970s and still largely influential in our classrooms (especially K-12). Critical multiculturalism analyzes the inequalities of power that both motivate and result from practices of racial, ethnic, gender, class, or sexual discrimination; it is antiracist, dedicated to social justice and structural change, and connects ethno-racial conflict in the United

States to its global contexts (see the essays collected in May, *Critical Multiculturalism*). Whiteness Studies traces the economic and political history behind the invention of "whiteness," challenges the privileges given to so-called "whites," and analyzes the cultural practices (in art, music, literature, and popular media) that perpetuate the fiction of "whiteness." "Whiteness Studies" is not an attack on people, whatever their skin color. Instead, "Whiteness Studies" thinks critically about how white skin preference has operated systematically, structurally, and sometimes unconsciously as a dominant force in American— and indeed in global—society and culture. This includes how white skin preference insinuates itself into the culture of communities of color as well, where we may find everything from prejudice against darker skinned people within the community to commercial practices of white-body imitation and surgery (nose jobs, skin creams, eye-lid alteration, etc.). The transnational character of white privilege results from the legacy of European colonial imperialism, so that Whiteness Studies may be usefully articulated with theories of globalization and postcoloniality as well.

The discourse of "whiteness" weaves an ideological fiction in which "white people" possess supposedly unique characteristics, qualities purportedly making them both a "superior race" and the "norm" by which others are judged. "Whiteness" is also—or above all else—a legal fiction determining the distribution of wealth and power among bodies denominated by this fiction (see Lipsitz). Historically, white people are an invented "race," made up of various Northern European ethnic groups (French, German, English, Irish, Norwegian, etc.) that form a powerful social coalition. "White" is thus a political fiction used by one social group to harm and oppress others. Indeed, the history of the invention of whiteness may strengthen arguments against the very notion of "race" itself since this history reveals that there is no such things as a "pure" race and that all human population groups are historical mixtures of different ethnicities. So Paul Gilroy, for example, titles his recent provocative book *Against Race*, arguing that ultimately we must abandon the term if we have any hope of progressive political change. Though contemporary genetic research has also done much to discredit the notion of distinct races, it would be folly to institute "color blind" policies that ignore how race still plays a distinctive role in medical as well as social reality. Thus the American Sociological Association, among others, argues that race must still be a factor in social scientific research and government policy (see also Brown, et. al.).

"Whiteness" as an ideology derives from the historical practice of institutionalizing "white supremacy." Beginning in at least the seventeenth century, "white" appeared as a legal term and social designator determining social and political rights. Eventually it was used widely to decide who could vote or be enslaved or be a citizen, who could attend which schools and churches, who could marry whom, and who could drink from which water fountain. These and thousands of other legal and social regulations were built upon the fiction of a superior "white" race deserving special privileges and protections. Many of these regulations were still in force well into the 1960s when the modern Civil Rights Movement fought to overturn the regime of segregation put into place after the defeat of slavery. It was only in 1967 that the Supreme Court finally overturned the last state statutes against interracial marriage. But the power of the fiction of "whiteness" continues to the present day, distorting our laws and culture in ways we still fail to recognize. Most whites continue to deny vehemently that they benefit from their skin color. Where once "white supremacy" was a routinely publicized, accepted, and legitimated norm of socio-political and cultural discourse, today it is a reality that dare not speak its name.

Whiteness Studies exposes this silence and this fiction, making visible the history and

practices of white supremacy as found in social life, the law, literature, music, politics, and every other realm of "civilization." Thus Whiteness Studies can be part of the general effort to eradicate prejudice, bigotry, discrimination, and racism. Such a liberation project will be strengthened by deconstructing the notion of a "white race," delegitimating the privileges given to whites, and criticizing the cultural preference given to images of whiteness. Whiteness Studies owes a great debt to the work done by generations of African American writers and thinkers, as well as to critics from many other ethno-racial groups (see Roediger). Whiteness Studies is no substitute for area studies, ethnic studies, or postcolonial studies, but a necessary complement to them. There is always the danger that Whiteness Studies will be misunderstood as just a gimmick for keeping the focus on white people, or as another attempt to put white people back in the position of privilege, or another way of avoiding the challenges presented by non-white perspectives. Teachers working to include Whiteness Studies in their courses should be aware of these dangers and take steps to avoid them as much as possible. Emphasizing critiques of whiteness, in literature and other areas, by people of color is one effective way to continue decentering whiteness even as we focus on it.

II. The Syllabus: Starting with Whiteness

In the year 2000, my colleague Sandra Jones and I began team-teaching the "Introduction to Ethnic Minority Literature" class; she is African American and I am white, a difference that often made a difference. Sandra and I had just begun a new initiative at our university called the Cultures and Communities Program; a version of this class would eventually become the core course on "Multicultural America." We wanted to provide first and second year college students with an introduction to issues of race and ethnicity in the United States, chiefly through the study of literature, history, and visual culture. That entailed covering numerous ethno-racial groups in a comparative fashion and along an historical timeline. To provide the history, we chose Ronald Takaki's *A Different Mirror: A History of Multicultural America*, which begins with Shakespeare's Caliban and the "racialization of savagery" during the Colonial period and then proceeds through chapters focused on the experiences of specific groups—primarily those of African, Mexican, Chinese, Japanese, Irish, Jewish, and Native ancestry. Takaki's narrative proceeds chronologically from the seventeenth to the late twentieth centuries, but does so in chapters with an individual focus on the struggles of these groups for identity, land, wealth, and power. On our syllabus we follow this chronicle week by week, aligning short stories and novels with the Takaki chapters to explore the literary work of these groups as a response to their historical experience. For this we have used various anthologies, particularly Wesley Brown and Amy Ling's *Imagining America* and Barbara Rico and Sandra Mano's *American Mosaic*.

After our first semester, Sandra and I and our instructional team made one decisive change. We reorganized the syllabus to begin with a unit on whiteness, sometimes called the "Raising Our Consciousness about Racism, Bigotry, and Discrimination" unit (see Brown, Jay, and Terrell). Though Milwaukee is a "majority minority" city, the university's student body is mainly white, drawn from the surrounding suburbs and towns and increasingly from outlying areas all over the state of Wisconsin. Thus we found it impossible to deal honestly with our subject without first addressing the problematic racial and ethnic situation of our city, our university, and our class. Students needed ways of understanding their place in the story of multiculturalism, globally and locally. "Effective multicultural education," argues Jones, "must

help white students and students of color alike understand where they are positioned, where they fit, in these changing times. Confusion around *this* question is often the major source of resistance to multicultural teaching and learning, especially among white students."

As a class we acknowledge that different students have a diverse, and sometimes difficult, relation to the materials we study, depending on their ethno-racial background. Most of our students, whether white or of color, come from segregated communities. Many of our white students report that there were no people of color where they grew up. Moving to Milwaukee and enrolling at the university constitutes their first initiation (beyond the media, movies, and T.V.) into multicultural America, though many also express dismay at the lack of diversity on campus and the persistence of segregation. For our students of color, the transition is from high school classrooms with few or no white faces to college classrooms overwhelmingly white in enrollment. They naturally wonder whether and how they belong, feeling isolated and marginalized. Though they bring with them a wealth of experience and cultural/social knowledge from which other students as well as faculty can benefit, these students are not always seen as resources for knowledge, for they are too often stereotyped as "lacking" skills or as having "deficits" of one kind or another. In between we have white students who attended racially mixed high schools and have many friends across the color line, and students of color who attended nearly all-white high schools in the suburbs. Given these disparities, it is a challenge to figure out a pedagogical approach to race and culture that addresses every student's needs as well as the imperative to communicate productively across differences.

So beginning with whiteness makes sense to us since it puts our immediate context on the table. White student resistances to antiracist or multicultural education are fairly familiar. They think it is not about them. They think they are being made to feel guilty. They think racism is something that happened in the past. They believe that since they are not personally racist, race has nothing to do with them. They have been taught that multiculturalism is a "celebration of differences," analogous to a folk-fair or food court where you get to taste all the nice things "those people" create. They believe that in America anyone can make it if they just work hard and play by the rules, and thus that people who are poor or illiterate or in jail or stuck in dead-end jobs got what they deserved. They defy the authority of the black woman team-teaching the class, dismissing her perspective as "biased" or complaining that she is "out to get them" or "doesn't listen." They turn to the white male teacher with their complaints, on the implicit assumption that he will empathize with them. Letting these student strategies of resistance emerge haphazardly and persistently during the course of the semester damages everyone's learning, while confronting such resistances at the start gives us some momentum in facing and overcoming them.

The pedagogy of whiteness begins with recognizing "white privilege." At first this term surprises our students, for it names a reality that they have been taught not to see. Reading Peggy McIntosh's classic essay, "White Privilege and Male Privilege," white students examine concrete examples of how they are implicated in racism regardless of whether they themselves "are a racist." The preferences given to whiteness do not depend on what the individual feels or thinks about race: I have a better chance of getting that mortgage loan or that low price on my car or that good service at the restaurant because I am white, no matter how antiracist I may be. Analyzing white privilege can help circumvent white resistance since discussion moves from the personal to the structural, from hazy feelings about guilt to practical, objective recognitions of how society works. For students of color, the McIntosh essay expresses what they see everyday,

and so validates observations these students offer that are sometimes dismissed in other classes. Indeed, having white people themselves make these observations opens the door for students of color to testify in ways that they otherwise feel might be dangerous to themselves or their academic success.

Along with the McIntosh essay we use videos of the work of Jane Elliott, creator of the famous "blue-eyed/brown eyed" experiment, done first with elementary school students in the 1960s and now refined by Elliott into a tool for group workshops whose focus goes beyond race to sex, gender, and class. While there are a number of videos on Elliott's work, two have been most effective for us: *Blue-Eyed*, a 90-minute workshop documentary that includes footage from the 1968 class and interviews with Elliott, and the shorter *The Stolen Eye*, a more recent video done by Elliott in Australia where her participants are whites and aboriginals. This latter video has the advantage of showing how white supremacy belongs to a global history of colonial imperialism and racism, of which the American story is only one part. The anger and pain expressed by the participants of aboriginal descent are searing, more explicit and confrontational than the behavior of the American people of color in *Blue-Eyed*.

Students viewing *Stolen Eye* debate Elliott's technique, which is unforgiving, sarcastic, and unrelenting. Her manner is a far cry from the therapeutic, feel-good multiculturalism of many American workshops. Elliott wants her blue-eyeds to really feel the pain of discrimination and inequality. So effective is she that two white-males stalk out of the workshop, one elderly man angrily declaring that this woman has no right to treat a man like him this way. These two walk-outs, along with Elliott's treatment of one of the women in the group, whom she insists on calling "Blondie" as she reduces her to tears, incite students to a dialogue on the interaction of attitudes towards gender, race, and power. Some argue that no man could get away with Elliott's behavior, while others say that she merely acts the way powerful men always act, ways for which they are routinely rewarded or praised as strong, forceful, and authoritative. Since later in the course we focus a good deal on the different experiences of women in slavery and immigration, Elliott's performance gives us a head start in thinking about the interrelated social construction of race, ethnicity, and gender.

Many of us are accustomed to saying or reading that race and gender are "socially constructed." Yet what do we actually mean by this assertion, and how can we demonstrate it effectively for students? As Elliott arbitrarily divides up her workshop participants, putting collars on some to humiliate them, keeping them in hot crowded rooms without explanation, making them sit on the floor so they have to look up to her, giving them tests designed to cause them to fail, changing the rules at a whim—we watch the process of social construction before our eyes. People who came in strong and self-confident and accustomed to privilege are reduced to angry, confused, tearful, helpless individuals who lose much of their self-esteem and seem de-centered by workshop's end. Elliott notes this change and asks her blue-eyeds something like this: "If you have so much trouble accepting this kind of treatment for only a few hours, when you know it isn't even real, how do you think people of color feel during a lifetime of such treatment?" While Elliott appears to be following the humanist pedagogical maxim that empathy, learning to walk in someone else's shoes, is crucial to multicultural education, she works in such a way that empathy does not result in the complacent or congratulatory observation of our sameness, or that "we're all really alike under the skin." Instead of that homily of celebratory multiculturalism, we get a lesson in critical multiculturalism where white identity has the experience of living without empathy in a structure of oppression.

Allan Johnson's *Privilege, Power and Difference* extends McIntosh's essay, revising her famous list of privileges with examples from sexual and class preferences. Johnson defines "privilege" as an extra value or "asset" that makes difference in turn "a liability" (24). Privilege is given to *groups*, not to individuals, based on one's perceived identity. Such privilege brings with it "unearned entitlements" and "conferred dominance." Johnson's lucid exposition of privilege helps students work through its social construction logically, unmasking familiar social relations to reveal their oppressive character. Like McIntosh and Elliott, Johnson is a critical, rather than a celebratory, multiculturalist and is not afraid to offer a Marxist interpretation of social oppression. Words like "diversity, "tolerance," and "appreciating difference," he argues, are evasive terms, as is the commonplace notion that "people are naturally afraid of what they don't know" (16). Actually, people, and most students, are naturally curious creatures. The "problem is our ideas about what we don't know." Antiracist education, then, entails deconstructing what we take to be common sense; this criticism of commonplace assumptions inevitably elicits resistance. "The idea that we're going to get out of this by somehow getting to a place where we're kinder and more sensitive to one another ignores most of what we have to overcome," which is structural racism and systems of oppression, not individual tendencies or prejudices (71). Let me paraphrase Johnson's handy summary (74-77) of the six reasons members of the dominant group "don't get it" (or say they don't):

1. Obliviousness/ignorance (they don't know what's going on)
2. Security/Complacency (they don't have to know what's going on)
3. Individualism (they think what's going on is a result of individual effort and/or merit, and that inequalities are therefore deserved)
4. Benefits (they don't want to lose what they gain because of what's going on)
5. Prejudice (they think they know what's going on, and it offends them)
6. Fear (they are afraid that acknowledging what's going on will bring harm or loss to them)

Working through these sections of Johnson's analysis will, for most white students, mean looking uncomfortably in the mirror. But students also find some solace in discovering the logic of their own resistance, as well as reasons for overcoming it. The lessons are not just for white students, however; as Johnson keeps returning to other forms of privilege based on gender bias, class discrimination, and homophobia, students of color find themselves implicated as well in complex ways they will have to sort through, analyze, and overcome.

In a wonderful discussion on "Getting Off the Hook," Johnson deconstructs a number of attitudes one often hears expressed in class (117-36). When whites, straights, or men deny that there is any racism or homophobia or sexism, "it rarely seems to occur to them that they're in a poor position to know what they're talking about" (118). Such expressions treat other people like children, as if we understand their lives better than they do. Strategies of resistance include denying or minimizing the problem ("Oh, you're exaggerating"; "That's the way it's always been/Things have changed"); blaming the victim ("She was just asking for it dressed like that"; "Why don't they just get a job?"); calling the problem by a misleading or innocuous name ("It's just the natural 'battle of the sexes'"); the defensive claim of innocent intentions ("That's not what I meant, you're just oversensitive"); the assertion that one is the virtuous exception to the rule ("Some people are racists, but I'm not prejudiced against anyone"); and exasperated expressions that one is "just sick" of the subject ("Do we have to talk about this again?").

Foregrounding such language anticipates resistance by putting the most common expressions of it up on the board for analysis at the start of the semester, rather than waiting for them to interrupt discussion constantly. For the instructor of color, materials such as Johnson's preempt the inevitable resistance white students are going to display to a class taught by a non-white person. Since this resistance is structurally motivated by social conditions, it needs to be deconstructed as such. Students should not be allowed to indulge in personal hostility toward the teacher; such hostility is only a symptomatic, illusory expression of their fear of a loss of privilege and power.

Another helpful resource for teaching about whiteness is Gary R. Howard's *We Can't Teach What We Don't Know: White Teachers, Multiracial Schools*. Howard's book frames the critique of racism and whiteness within a general theory of "social dominance." Writes Howard: "It is important to remember as we embark on this complex and sometimes uncomfortable journey into greater understanding that the 'enemy' is dominance itself, not White people. This distinction becomes blurred at times precisely because of the overwhelming convergence of Whiteness and dominance in Western nations" (27). What is "Social Dominance"? we ask our class. Look around, and you will observe that resources and opportunities in a society are unequally distributed among individuals according to group membership (race, gender, class, sexual orientation, etc.) Social institutions (schools, churches, government organizations, businesses, etc.) systematically reproduce inequalities that favor the dominant group and oppress others. Though we don't want to minimize the sufferings it causes, racial oppression is only one form of social dominance. Other types of prejudice, bigotry, and discrimination also create structures of oppression, including sexism, homophobia, anti-Semitism, and Orientalism. According to "minimal difference group theory," people form social groups around minimal perceived differences (skin color, shape of nose, clothing, language, region, fraternity or sorority, cars owned, etc.). In-groups and out-groups are based on these differences, and values of inferiority and superiority accordingly assigned. In-group and out-group distinctions become structures or systems of dominance and subordination, enforced and reproduced by rituals, customs, laws, cultural practices, media, and institutions. This assignment and arrangement of individuals into dominant and subordinate groups affects our self-perception: we perceive—or misperceive—ourselves and others from within our social positionality. Misperception occurs because of the difference between our *subjective* positionality and our *objective* positionality. Howard explains:

> From the perspective of those members of society who are not White, it is quite clear, both subjectively and objectively, that Whites have been collectively allocated disproportionate amounts of power, authority, wealth, control, and dominance. However, for me as an individual White person, subjectively experiencing my own reality, I may or may not feel dominant. I may or may not perceive myself as belonging to a collective group defined by Whiteness. (29)

Hence the commonly observed phenomenon that white students do not see themselves as having a race or a culture. "I'm just a normal American," one hears from students, who can become puzzled or angry when asked to be accountable for their white social positionality.

I like to use a simple analogy, one meant to answer those who say "I (or my family) worked hard for what we have. We earned it" (you will hear some such statement frequently

during discussions of affirmative action). I ask my students to imagine a foot race where all the white people get to line up fifty yards ahead of all the people of color. The race begins. The white people, who may have been training for months, indeed run fast and hard. When they win the race they believe it is because of their own effort and skill. It does no good to deny that they worked hard and are meritorious. That is their subjective understanding of their positionality, and from within their group it makes sense. But objectively they had an unfair advantage, which they may or may not have seen or known about, though it becomes increasingly difficult to explain how the white racers were so oblivious to their advantage. To admit that advantage, however, would necessitate changing the rules of the race itself, rather than addressing the case of one or two individuals, and the result would be a substantial change in the fortunes of the two groups.

The class can usually provide its own list of examples of objective dominance from their readings in Takaki: the right to vote was originally restricted to white male property owners; naturalization of immigrants for citizenship was restricted to whites; jobs and housing were closed to blacks and Jews and other non-whites; immigration quotas were set to favor Northern Europeans; admission to schools and colleges was restricted by race; the list goes on. These examples of unmerited objective dominance speak once more to the difference between individual acts of prejudice and systems of social oppression. With this difference in mind, the class can challenge some of the typical statements of resistance: "I didn't kill the Indians . . . Some of my best friends are Latinos . . . My aunt is a lesbian . . . I've never discriminated against anyone . . . My family never owned slaves." The last example can be the start of a useful exercise if the class works to build a chart of the economic matrix for which the plantation served as center. Who did the Master buy his seeds and horses and tools from? White people, who, if they didn't own slaves, thus still profited from its economy. Who bought the Master's cotton at a cheap price made possible by slave labor? White people, who, if they didn't own slaves, still profited from its economy. Who had well-paying jobs in the factories that processed the cotton or in the shipyards that built the boats that sent it overseas? White people, who often reacted violently to the prospect of allowing people of color to compete for these jobs. The wealth of all white people was artificially enlarged by the slave economy, a fact of objective dominance that may not have been subjectively realized by the whites, north and south, who nonetheless benefited.

Building on Howard's discussion of the "subjectivity of dominance," one can describe its key features. First, "the assumption of rightness," in which one's own beliefs or truths are seen as universals rather than the product of one's particular cultural experience. To this I add the corollary "assumption of wrongness": if white (or male or straight) is the norm, and the West is the best, only "other" people have a "culture" that makes their viewpoint partial, local, biased, and therefore less true. Second, "the insult of colorblindness," commonly expressed in statements like "I don't see color, I see people and I treat everyone the same." The declaration of colorblindness assumes that we can erase our racial categories, ignore differences, and thereby achieve an illusory state of sameness or equality (Howard 53). But assertions that race doesn't matter turn into assertions that people of color don't matter since the authenticity of their experiences is denied by this assertion. As Howard explains: "Colorblindness grows from a dominance-oriented perspective. Difference threatens dominance, because it upsets the belief in one's own rightness. 'We're all the same' translates as 'We are all like me'" (53-54). I make the case to my students that equality is not the result of ignoring differences, but of understanding their history, functions, and effects. Knowing others means learning about someone other than

you. To treat someone equally is to recognize their right to difference. Equality is not sameness. Difference is not the enemy; inequality is the enemy.

Howard's discussion of white racial identity formation can be very helpful in giving students a map of where they have been, where they may be stuck, and where they might go. Organizing the critique of dominance into a narrative of identity development puts a more positive spin on the critical process, since it replaces reiterated accusations with a coherent, recognizable plot that can have a positive outcome. The first stage is "pre-contact": little or no multiracial experience, leaving individuals susceptible to believing positive or negative stereotypes and vulnerable to either white supremacist opinions or naïve liberal platitudes. Second, "initial contact" prompted by new experiences (friends, work, move to the city, college, the media) leads to acknowledgement that whites do have a racial identity and certain privileges; this stage brings defensiveness, anger, denial, and confusion. Third is "dis-integration of identity": a growing knowledge of present and historical injustices and white supremacist practices causes guilt, shame, and grief, often attended by an angry repudiation of the "American Dream." Many of our students find themselves in this stage by mid-semester, especially after reading Takaki's chapters on slavery, the Indians, and discrimination against non-white immigrants, including the Irish and the Jews. Fourth is the "conflicted identity of connection-repudiation," including excitement at knowledge discoveries, new personal connections with people of color, and the emotional inspiration of denouncing injustice; this stage includes the danger of becoming "wannabes," the "wigger" or "white negro" phenomenon. Some people may skip stage four and go right to five,"reactionary defensiveness": disintegration causes a reactionary reintegration or retrenchment through regression to previously held prejudices, racist beliefs, or denials of responsibility. Racism and inequality are then rationalized as the natural result of the inherent inferiority of the dominated group: "The guilt and anxiety of the previous stage are repressed and redirected as fear or anger toward other racial groups" (Howard 91). Members of the dominant group see themselves as besieged or victimized by the oppressed group, e.g., the "white male backlash" phenomenon.

In stage six, what I call "the missionary position," the dominant or white person acknowledges their privilege and responsibility, but the attempt to abandon racism or discrimination takes the form of trying to "help" the oppressed rather than dismantle structures of power. Paternalism, condescension, and lack of self-awareness infect this stage. Stage seven,"commitment to change and social justice," is characterized by efforts to "help others" balanced by efforts to change oneself and challenge other members of the dominant group to join in altering the system of oppression. Alliances with non-whites can be based on mutual respect; "others" now can be seen as teachers and resources for knowledge, not as deficits or problems to be fixed. With some modification these stages can be adapted to narrate stages involving not just racial domination and subordination, but those hinged on differences of gender, class, nationality, or sexuality. Of course, this narrative of stages appears as prescriptive as it is descriptive since it leads inexorably toward a progressive vision of social justice solidarity that many will find unrealistic. I think it beneficial, nonetheless, because it offers students hope as well as criticism, and tools for moving out of positions where they may feel stuck.

Usually we conclude our unit on whiteness with a short essay assignment on the meaning of whiteness. It asks students to use the readings and videos, as well as their own experiences, to reflect critically on the social, political, and cultural functions of whiteness, with specific examples drawn from literature, history, the media, and their own lives. This essay can also be

tied to other assignments, such as a cultural identity autobiography or a family-tree research poster. White students now have some grasp of their place in the story of multiculturalism, which they acknowledge to be about them as well as about others. Students of color acquire academic resources for theorizing and critiquing what they know from experience, and they perceive that they have not been positioned in the class as the only "native speakers" who know anything about racism. As we move through the rest of the semester, the work done in this opening unit usually lessens the resistances elicited by reading materials on the history of racial and ethnic oppression in the United States. As a thesis statement, the unit on whiteness asserts that ideologies and practices of white supremacy are the foundation for understanding formations of race and ethnicity in the United States, as well as the interactions or struggles among groups categorized by such concepts.

III. Reading Whiteness

How does a critical pedagogy of deconstructing whiteness work in the analysis of literary texts? Again, a formidable number of scholars have begun theorizing this issue and showing us in practice what value this approach may have (for a good introduction, see Babb). Most famously, perhaps, Toni Morrison's *Playing in the Dark* makes the case for a thoroughly revisionary reading of American literary history:

> What Africanism became for, and how it functioned in, the literary imagination is of paramount interest because it may be possible to discover, through a closer look at literary 'blackness,' the nature—even the cause—of literary 'whiteness.' What is it for? What parts do the invention and development of whiteness play in the construction of what is loosely described as 'American'? . . . What I propose here is to examine the impact of notions of racial hierarchy, racial exclusion, and racial vulnerability and availability on nonblacks who held, resisted, explored, or altered those notions. The scholarship that looks into the mind, imagination, and behavior of slaves is valuable. But equally valuable is a serious intellectual effort to see what racial ideology does to the mind, imagination, and behavior of masters. (9, 11-12)

Reading whiteness, then, extends across the various canons, requiring a critical defamiliarization of racial thinking in texts by people of every skin color. Such a critique can take many forms: deconstructing literary blackness in works by non-blacks; exposing how whiteness constructs itself as the other to an imagined blackness (or brownness or redness); delineating the values and anxieties expressed in the imagery of whiteness seen in texts by white authors; tracing the ambiguity of the color line in texts by and about "mixed race" people, including critiques of the figures of the "tragic mulatto" or the "half-breed"; confronting prejudices in favor of lighter skin or European features in the color politics of non-white communities; identifying texts that represent episodes or issues in the historical invention of whiteness; and, as in Morrison's book, reading how ideologies of white supremacy create structural and conceptual fissures in white-authored texts. This is by no means an exhaustive list, but it may give some sense of the possibilities.

In our class, the critical reading of whiteness plays a significant part in the interpretations

of numerous texts, only a few of which I can discuss here, and then only as brief examples. After the whiteness unit we usually read Paule Marshall's *Praisesong for the Widow*. As the novel opens, the protagonist, Avey Johnson, is cruising the Caribbean aboard the *Bianca Pride*, whose name suggests how Avey's investment in whiteness will be the cause of her fall. She is suddenly nauseated by consuming the culture of racist colonial imperialism: she cannot digest a dessert named "Peach Parfait à la Versailles," whose peachiness recalls the flesh color of whiteness and whose name recalls the treaty by which the European powers carved up their respective empires. Avey jumps ship. Her journey back to black identity includes a voyage of remembrance, back to the happy days in Harlem before she and her husband moved to North White Plains, and further back to visits to her Great Aunt Cuney, a Gullah griot of the Georgia Sea Islands whose tale of Ibo Landing connects Avey to her African roots. As Marshall so explicitly makes whiteness an issue in the novel, students can begin practicing the kinds of reading Morrison advocates: for example, looking at how the "literary blackness" finally arrived at by Avey requires a ritual expurgation of the whiteness she has ingested. The political economy of Avey's assimilation to whiteness is also keenly delineated by the novel, and prompts students to learn something about the situation of African Americans between the early 1920s (when the Johnsons marry) and the 1940s (by which time Avey's husband has become a walking embodiment of racial self-hatred as a result of white refusals to employ him).

Early on we also read Nicholasa Mohr's trenchant tale, "The English Lesson," which depicts the politics of assimilation in an English-as-a-Second-Language classroom. Mohr's depiction of the teacher, Mrs. Hamma, creates a vivid portrait of one white authority figure who appears disastrously unaware of her own ignorance about the students she teaches and the effect her condescension has upon them. She takes up the missionary position, "convinced that this small group of people desperately needed her services," and projects her own white ethnic experience uncritically onto theirs: "My grandparents came here from Germany as poor immigrants, working their way up. I'm not one to forget a thing like that!" (22). She exudes what Johnson calls the "luxury of ignorance," though Mohr's ironic treatment makes us feel that she must have some awareness, and enjoyment, of the power she exercises over the class. Mrs. Hamma's promotion of assimilation prompts one Dominican man to vehemently object. Ignoring Mrs. Hamma's attempts to silence him, he declares that he has no intention of seeking American citizenship and goes on to denounce American economic exploitation of his homeland. Mohr's depiction of the white teacher helps us reflect critically on the dynamics of our own classroom situation (and provides particularly interesting reading for students from the School of Education).The way Mohr's story brings out the dynamics of white privilege within the problematic of assimilation and nationalism resonates in many stories that we read and helps to critically rethink commonplace notions of America as a "nation of immigrants."

African Americans (like Chicano/as and Native Americans) fit uncomfortably into the myth of the "nation of immigrants," and their experience includes a "Great Migration" of internal diaspora caused by white supremacist practices in the post-bellum south. In Marita Bonner's "The Whipping," the story begins with the description of a prison matron, an immigrant from Denmark who has successfully assimilated and risen on the ladder of upward economic mobility. She has traded in her old world identity and ethnicity for American whiteness, preserving only a few nostalgic memories and some cuisine. Bonner contrasts her fortune with that of her charge, Elizabeth, a black woman convicted of causing her own son's death by striking him. Though Elizabeth too has migrated to Chicago, in her case from the fields

of Mississippi, the matron displays no empathy or solidarity with her since part of the "price of the ticket" of whiteness includes this adoption of oblivious supremacy (see Baldwin). A white clerk at the welfare office mistakenly thinks Elizabeth has pulled a knife during an altercation with another client: "Her books had all told her that colored women carried knives" (17). Bonner's structural analysis of her character's fate dramatizes the unjust power exercised by white institutions, including sharecropping, the social welfare bureaucracy, the courts, and the prisons.

The price of the ticket for European ethnics wanting to become Americans included a negotiation with the costs of white supremacy. Among the most influential and interesting turns in Whiteness Studies has been the scholarship on how the Irish and the Jews "became white" (see Ignatiev; Brodkin; Jacobson). In Mary Gordon's "Eileen," we explore the experience of Irish immigrants, especially the Irish maids who so predominated near the end of the nineteenth century, displacing northern blacks from domestic service (see Takaki, ch. 6). As Jacobson has it, the Irish are "whites of a different color," or at least off-white. Ethnic discrimination by the dominant Anglo-Saxon class combines with gender and disability discrimination to short circuit the ambitions of the women in the story. The partially crippled Nora, from whose point of view the story is told, ends up bitter and alone, her education no protection against discrimination and sexism. Eileen herself returns to Ireland after her brother's accidental death: "She cursed the day she ever left, she cursed the day she'd listened to the lying tongues, the gold-in-the-street stories, the palaver about starting over, making good" (63). In Gordon's story issues of gender and class complicate received myths about immigration and the American Dream, forcing us to consider how European ethnic groups such as the Irish experienced the imperatives of whiteness.

In Anzia Yezierska's "Soap and Water," the author deconstructs the stereotype of the "dirty Jew" who will never be white enough. The story's protagonist is a young Jewish woman who puts herself through college working in a laundry washing the clothes of the more privileged white people who can afford such a service: "At the hour when they came from the theater or musicale, I came from the laundry. . . . so bathed in the sweat of exhaustion I could not think of a bath of soap and water," a useless thought anyway since "there were no such things as bathtubs" in the house where she lived (106-107). Ironically, her laundry labor just makes her filthier in the eyes of the "agents of clean society": "What I so greatly feared, happened! Miss Whiteside, the dean of our college, withheld my diploma. When I came to her office, and asked her why she did not pass me, she said she could not recommend me as a teacher because of my personal appearance" (105). Yezierska's language expresses the symbolic power of whiteness in setting boundaries of race and class and privilege, for example when her protagonist protests that "I felt the suppressed wrath of all the unwashed of the earth break loose within me. My eyes blazed fire. I didn't care for myself, nor the dean, nor the whole laundered world. I had suffered the cruelty of their cleanliness and the tyranny of their culture to the breaking point" (106). Like Marshall, Yezierska makes the issue of whiteness an obvious one through her choice of words as well as her imagery. Yet the blatant references have still left the issue of whiteness in stories such as these largely unexplored by critics, at least until recently. This story fits well with a reading of Takaki's chapter on the Jewish women who worked in the sweatshops of New York's garment district. Gordon's and Yezierska's texts give fictional reality to "objective dominance" in their portrayal of the immigrant's oppression by systems of labor built on white supremacist practices of ethnic, racial, and gender discrimination.

To study the "subjectivity of dominance" in relation to whiteness, one cannot do much

better than to read D'Arcy McNickle's story "Train Time." This Native-authored story is set in the time when the U.S. government pursued its ruthless policy of coaxing, coercing, and abducting Native American children into boarding schools where they would learn to assimilate to the ways of the white man. But McNickle, who was himself put in one of the boarding schools, chooses to tell the story from within the point of view of the white Major Miles, an army officer trying to get one group of children ready for the train. This narrative strategy deconstructs the Major's consciousness from the inside. When we read that "Major Miles was a man of conscience. Whatever he did, he did earnestly," we are meant to interpret this as Miles's own self-perception, and as a revelation of his moral obtuseness. We feel and experience his self-congratulatory liberal progressivism and his condescension toward Native Americans. He knows what is good for them, after all. One boy in particular, Eneas, becomes the focus of his missionary efforts: "He had decided that day that he would help the boy in any way possible, because he was a boy of quality. You would be shirking your duty if you failed to recognize and to help a boy of this sort" (93). Eneas lives with and assists his grandparents, elders he respects as part of a culture of ancestral obligation. The Major's individualistic ethic, however, encourages Eneas to forget this obligation: "I'm going to help you. I'll see that the old folks are taken care of, so you won't have to think about them" (93). The boy objects, but the Major's paternalism causes him to dismiss Eneas's concerns, for he—and implicitly all Indians—belongs to the category of children: "Whether the boy understood what was good for him or not, he meant to see to it that the right thing was done" (93). The Major's consciousness exhibits most of the features I have been discussing in regards to the self-delusions of white identity, especially the assumption of rightness, the luxury of ignorance, and the obliviousness to privilege. The Major also allows himself to think that his own personal feelings are what count, rather than his position of structural oppression.

In conclusion, I do not wish to be misunderstood. I am not advocating that courses on multicultural literature make whiteness their central focus or that white identity development replace the cultural identity crises of people of color as our main topic. But I am arguing that texts by white authors belong on the multicultural syllabus list since one cannot understand the social construction of race in the United States without analyzing its foundation in the dominant practices of white supremacy, which can frequently be exhibited through readings of white ethnic as well as canonical Anglo-Saxon authors. The reading of non-white texts can be enriched as well by asking questions about the literary constructions of color within and among them. Finally, my case for including Whiteness Studies in the multicultural literature classroom returns once more to the figure of the student. Those of us teaching in predominantly white institutions have an obligation to assist our students in achieving critical self-consciousness, to make them better citizens as well as better readers. Those of us working with students of color may also find the tools of Whiteness Studies useful, as one would surmise given the fact that its pioneers were writers such as Du Bois, Larsen, Ellison, Wright, Baldwin, and Morrison. Following their lead, we still have much to learn about the price of the ticket of whiteness.

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GENERAL EDUCATION: A PROGRAM FOR CHANGE

Workshop on Arts and Humanities

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Online Web-based Learning (OWL)

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Demonstration Class Teacher: Miriam R. Jenkins, Lecturer, Department of Music and Dance

Experience and investigation indicate that the best teacher, the best doctor, the best parent, the most effective political leader is one who has acquired the special creativity that produces visionary solutions. This creativity—combining a spirit of inquiry, discovery, and integration-- is a primary goal of the general education of every undergraduate student. Certain aspects of general education curriculum design and implementation have emerged as "non negotiable." These design elements provide a point of departure for interactive discussion of a model arts program developed at the University of Massachusetts Amherst—*The Lively Arts.*

PART ONE—REFORM STRATEGIES FOR GENERAL EDUCATION

In September 1996 the University of Massachusetts initiated a multiple-year redesign of the General Education Curriculum. The Chancellor appointed Professor John A. Jenkins to formulate a change strategy, direct the design of a new University model, and chair the University Task Force on General Education. Based on the successful model established at U-MASS Amherst, Dr. Jenkins was appointed Visiting Foreign Professor, Hokkaido University, Japan in 2000-2001 to provide expertise and leadership in implementing a new general education curriculum. Recently he has served as advocate and consultant on general education for the Ministry of Education and Japan Society of Higher Education; Hiroshima University, Hokkaido University of Education, and Kushiro National College of Technology; British Association of International and Comparative Education, University of Nottingham, UK; Project Kaleidoscope National Conference Planning Committee on Leadership in Reform of Science, Mathematics Education and Training; Quinnipiac University *Excellence in Education Seminar Series.*

What makes General Education so important?

- "You see everyone else's point of view—not just the point of view of your home town."
- "You learn from General Education the kind of creativity that leads to visionary solutions."
- "General Education is ideally positioned to prepare and inspire students to go on studying and learning as long as they live."

Non-negotiable elements of general education curriculum design

1. The First Year Program
   - Envision the first year as an integrative experience rather than a set of atomized activities.
   - Create "communities for learning"—in the classroom, in the residence hall.
2. The Writing Program
   - First year and upper division
   - Link writing and disciplinary study
   - Writing across the curriculum
3. Global perspective and domestic diversity
   - Learn to look outward
   - Gain a multiplicity of perspectives

Other important aspects of design and implementation

4. A faculty development program—Center for Teaching
5. Transforming the classroom--active learning strategies—critical thinking, inquiry, investigation, discovery
6. Interdisciplinary opportunities
7. Four-year general education curriculum

Preparing students for leadership in a democracy

- Developing "human capital" in the United Kingdom—British Association of International and Comparative Education
- Diversity and innovation in Japan—leadership by the Institute for Democratic Education, Tokyo, and the National Universities
- University of Massachusetts Amherst, "General Education: A Proposal for Change"

PART TWO—INNOVATIONS IN THE UNIVERSITY'S MODEL COURSE, THE LIVELY ARTS

Demonstration class (Miriam Jenkins) with audience participation and discussion throughout

The Lively Arts course at the University of Massachusetts Amherst

In 1986 the University of Massachusetts Amherst established a bold new General Education curriculum. The University Provost invited Professor John A. Jenkins to develop an interdisciplinary arts course that exemplified the "General Principles and Guidelines" approved for the new curriculum—engaging students in critical thinking, inquiry and problem solving; "writing to learn" throughout the course; a diverse and international perspective; and experiential opportunities for students to learn from artists, in person, how they think about and engage in their disciplines. In response the Fine Arts Center and academic departments of Art, Theater, and Music & Dance worked with Professor Jenkins to create the University's first writing-intensive, interdisciplinary General Education arts course—*The Lively Arts*. This course and its role in General Education have provided an ever-evolving model within the University, elsewhere in the United States, and in Japan.

Students in The Lively Arts come from a wide range of cultural and ethnic backgrounds. We value this diversity, and encourage students to share their own unique "arts genealogies." Each semester's enrollment includes two hundred University students, half of whom are members of Residential Academic Program Learning Communities; a number of national and international exchange students; students from the Commonwealth College Honors Program; and some forty adults enrolled through the Division of Continuing Education, University Without Walls, and Greenfield Community College Partnership. Students meet in small group discussion classes, attend lecture/demonstrations by guest artists and faculty, and experience the arts in person at Fine Arts Center performances and gallery exhibitions.

Mark Hopkins and the Log—strategies for engaging students in their own learning

- What's so "lively" about *The Lively Arts?*
- Point of view, diversity, and students' "arts genealogies"
- "Color"
- Writing throughout the course—In-class writing (ICW) exercises

The University of Massachusetts Large Lecture Course Redesign Project—Online Web Based Learning (OWL) system application to *The Lively Arts.*

The challenge to using instructional technology in the performing arts grows out of their intrinsically experiential nature. Conventional introductory courses in the arts have been limited by an inability to teach the material to students in an interactive format that provides opportunities for repeated demonstration, student responses and immediate feedback. We have begun a two-year project, funded by the Davis Foundation and a University Professional Development Grant, to extend the capabilities of the OWL system to include "high tech" animation and other multi-media devices that convey the artistic content in a manner consistent with the visual and auditory nature of the media. The performing arts are an inherently experiential medium and--short of teaching students how to play actual instruments—the use of animation best enables students to actively engage and interact with music making.

Work in progress

Each semester, students in The Lively Arts learn from Dr. Billy Taylor how jazz styles differ among various historical periods. As a complement to Dr. Taylor's lectures we are developing multiple opportunities for students to master the material through Online Web Based Learning. Using OWL, students will be able to

- listen to a succession of short excerpts played by artists from different jazz eras on each of several jazz ensemble instruments;
- respond to a series of questions about each performance, receive feedback, and be referred to additional similar examples or advanced to the next stage of instruction;
- interact with animated "performers" to better understand the characteristics of different musical instruments and styles.

This work in the performing arts is inspired by Professor Laetitia LaFolette's exemplary design of visual arts modules for teaching Art History.

Demonstration and discussion: Professor LaFolette's "Greek and Roman Temple Design"

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Why do I Believe in God…or Not: How One forms the Image of God and Fights to Prove it Right

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Abstract: This paper will discuss how one forms the image of God and why individuals fight so hard to hold onto that early childhood image. An exploration of psychology (psychoanalysis) will shed light on the topics of childhood indoctrination, early trust injuries, relationships with caregivers, suppressed intellectual investigation, fear of not believing, fear of abandonment, and regressed desires to be protected are some of the influences when forming the God-image.

> *"As though the world had not riddles enough, we are set the new problem of understanding how these other people [religious believers] have been able to acquire their belief in the Divine Being and whence that belief obtained its immense power, which overwhelms 'reason and science'."*
>
> *Freud, Moses and Monotheism, 193, p. 123*

At the moment of birth each child is born into circumstances, which include a set of beliefs or lack of a set of beliefs about the reason for existence, purpose of human life, creation and destruction. Individuals and families tend to past on core beliefs from generation to generation around deities, religious traditions, prayer and locus of control. Although societal values may change around those family beliefs, the essential belief in deities, modes of worship, levels of existential death anxiety and hence perhaps, avoidance of thoughts around death and urgency to create meaning, often move through the generational life-span. But how did these need for deities first begin to develop in

civilization and in the individual psyche? Why do primary caregivers introduce and often demand that a child embrace the traditions of the family through coercion and guilt? Why do men and women's psyches often cling to the beliefs of their introductory values of childhood? For the purposes of this discussion, we will focus on the Judeo-Christian western traditions when referring to God, Images, and religious rituals. Although there are many branches to these questions in other disciplines such as sociology and anthropology, we will use the psychology lens for discussion.

When tackling the question of why/how deities rose from civilization, a psychoanalytic viewpoint offers some suggestions. Sigmund Freud (1927) in *The Future of an Illusion* suggested that man first came together in communities to conquer the evil forces of nature that might otherwise destroy them.

> *"But how short-sighted after all, to strive for the abolition of civilization! What would then remain would be a state of nature, and that would be far harder to bear. It is true that nature would not demand any restrictions of instinct from us, she would let us do what we liked; but she has her own particularly effective method of restricting us. She destroys us – coldly, cruelly, relentlessly, as it seems to us, and possibly through the very things that occasioned our satisfaction. It was precisely because of these dangers with which nature threatens us that we came together and created civilization, which is also, among other things, intended to make our communal life possible. For the principle task of civilization, - its actual raison d' etre, is to defend us against nature."*
>
> *(Freud, 1927, p. 15)*

Rorchler (1973) discussed *The Darwinian Legacy* and suggested that "Animals that bonded, whether for periods or for life, are very aggressive. By definition, "bonding" refers to behavior patterns which hold a troop or flock together or, in some instances, maintain individual animals together as mated pairs. This arrangement is not dedicated

by sentiment, nor does it express durable romance. The bonded relationship is a defense; its function and purpose is species survival."

Because of the instinctual behavior that human's have toward pleasure and aggression Freud (1927) also said, "One has, I think, to reckon with the fact that there are present in all men destructive, and therefore anti-social and anti-cultural, trends and that in a great number of people these are strong enough to determine their behavior in human society (p. 7)." Due to this aggression, man needed a larger regulatory force to regulate values and morality (superego) in order to survive and not destroy the population.

Freud (1927) also believed that, " men are not spontaneously fond of work and that arguments are of no avail against their passions (p. 8)." A need for a Supreme Being is necessary to control the masses, work toward progress and allow individuals to lead. Religion (cf. Carl Marx' 'opium of the people') allowed the minority to control the majority.

> *" It is impossible to do it [control power and wealth] with the control of the mass by a minority as it is to dispense with coercion in the work of civilization. For the masses are lazy and unintelligent; they have no love for instinctual renunciation, and they are not to be convinced by argument of the inevitable; and the individuals composing them support one another in giving free rein to their indiscipline. It is only through the influence of the individuals who can set an example and whom masses recognize as their leaders that they can be induced to perform the work and undergo the renunciations on which the existence of civilization depends."*
>
> *(Freud, 1927, p. 8)*

If the minority is to regulate and control the behavior of the masses, there must be a Supreme quality about him/her. Throughout history, rulers, Kings and Queens have been descents, appointments and constructs of the Gods. This allowed for the leadership

to prevail with "Devine" rule. Along with other forms of fear, leaders often called upon the Devine power given to him/her to conquer and destroy others. In the Judeo-Christian (as well as many Eastern traditions) faiths, the poor, the weak, the sick, those lacking in the good life on earth are the ones who are chosen to be God's people or the ones who shall inherit the Heavenly Kingdom. Many (most) religions have made it "holy" to be poor, persecuted, punished, repressed and controlled by others. The religions work with the minority leadership to create holiness in repression. In fact, many "gods" of the Judeo-Christian cultures have poverty as endearing qualities (specifically Moses and Jesus).

Freud wrote that like society, the individual psyche needed an external locus of control to explain the condition of personal human suffering. Fate is often the religious answer for a shared human condition that helps to soften the pain of suffering. Man has created that concept (often within a religious and spiritual context) as a defense mechanism to the depth of psychic pain that accompanies suffering. Although Freud did not include belief in illusions of external controls as a defense mechanism, it shares many properties with others such as denial (over death), repression (of sexual urges as sin), regression (acting like to child to God the Father and asking for things).

> *"For the individual, too, life is hard to bear, just as it is for mankind in general. The civilization in which he participates imposes some amount of privation on him, and on other men bring him a measure of suffering, either in spite of the precepts of his civilization or because of its imperfections. To this are added the injuries which untamed nature – he calls Fate – inflicts on him."*
> *Freud, 1927, p. 16*

Freud (1927) also discussed anxiety around death as a need for deities to become powerful in the psyche of against "impersonal forces and destinies (p.16)". Fear of

death, or other unknowns, often causes grief and other psychic pain to be unsustainable for some. The after-life concepts (or even reincarnation from eastern religions) offer comfort to the dying or grief stricken. Prayer may be a way of giving an illusion of control back to a person who feels circumstances are not controllable. Often prayer will take the form of asking for "control". Many people pray for things to be back under his/her control and have the outcome that he/she wishes for. This gives a person a sense of control when there is none. If the outcome is as desired, then God has created a miracle, if it is not, it is Fate.

> *"But if the elements have passions that rage as they do in our own souls, if death itself is not something spontaneous but the violent act of an evil Will, if everywhere in nature there are Beings around us of a kind that we know in our society, then we can breathe freely, can feel at home in the uncanny and can deal by psychical means with our senseless anxiety. We are still defenceless, perhaps, but we are no longer helplessly paralyzed; we can at least react. Perhaps, indeed, we are not even defenceless. We can apply the same methods against these violent supermen outside that we employ in our own society; we can try to adjure them, to appease them, to bribe them, and by so influencing them, we may rob them of a part of their power. A replacement like this of natural science by psychology not only provides immediate relief, but also points the way to a further mastering of the situation."*
>
> *Freud, 1927, p. 17*

When a child is born, he/ she is often introduced to existential matters before he/she is able to understand. If a child's spiritual life is to develop properly, how can this be accomplished if it is not a process but a commandment? Children are born into the traditions of their parents and are often not given a choice in the process. " A believer is bound to the teachings of religion by certainties of affection (Freud, 1927, p. 47)". Because many parents influence their children prior to the ability to abstract think, religion may become a rote experience, a mantra of sorts, that is incorporated into the

coping skills and defense mechanisms of the child before the ability to think and process begins.

> *" I think it would be a very long time before a child who was not influenced began to trouble himself about God and things in another world. Perhaps his thoughts of these matters would take the same paths as they did with his forefathers. But we do not wait for such a development; we introduce him to the doctrines of religion at an age when he is neither interested in them nor capable of grasping their import. Is it not true that the two main points in the programme for the education of children to-day are retardation of sexual development and premature religious influence? Thus by the time the child's intellect awakens, the doctrines of religion have already become unassailable. But are you of the opinion that it is very conducive to the strengthening of the intellectual function that so important a field should be closed against the threat of Hell-fire? "*
>
> *Freud, 1927, p. 48*

Perhaps it is how it was in the beginning of civilization. Deities were perhaps created to control: elements of nature, the masses of ignorant people, psychic pain, and death anxiety. Religion (community, prayer, ritual) may have evolved from primitive civilizations to give an illusion of control over the uncontrollable. So why in modern times, do parents still introduce children who have no interest or ability to understand to a concept of God, meaning etc. Religions, to ensure the future of their institution (and perhaps the world), often build in safeguards to influence parents to do such. Concepts such as children being born with "Original Sin" ensure that a child must be baptized at birth or could end up in purgatory upon death. This concept frightens even non-religious parents into the "just in case" baptisms. When entering marriage, many prospective parents are counseled / demanded that they raise the children in the tradition with which they were raised or are now committing to be married within. These religious "policies" are still controlling the masses. The parents, religious or not, often claim a sect of

religion as their own based on the history in the family. The child can often identify him/herself as a religious tradition before he/she knows what it means to be in that tradition. Why are we as a society afraid to allow children to grow up, find an interest, and be able to think abstractly before we introduce such existential concepts? One reason, perhaps, is that the intellect may be in direct polarization with western religion, the concept of deities, the need for an external locus of control. Religion is an emotional, affective experience, which often is unexplained by intellect. Religions have coined terms such as: faith, fate, meant to be, offer up to God, God's will, let Go let God, and the list goes on and on. All of these terms convey a blind intellect. Religions have perfected the ability to have people believe without thought. They appeal to a person's narcissism by making he/she special with a special experience. That one can "feel" God or one can "experience" God and he/ she just "knows" that God exists. This blind faith may not be faith at all. Unless one can process the concepts of deities intellectually, emotionally and perhaps spiritually, how can one experience the Devine. If one is afraid not to believe because of betrayal of family, God, Hell, or other repercussions, how can one properly process a spiritual life? He/She cannot.

Christian children are often told of another abstract Being in childhood called "Santa Claus". How does a child discern between Santa Claus and God? Which one is better to a child who cannot think in the abstract? The one that gives him/her presents or the one that must be worshiped, prayed to, and adorned with an outcome that is never known s. The child is told that he/she needs to go to a place of worship and ask God for love, forgiveness and measures of control. A child can "be good" all year, and leave milk and cookies for Santa, and of course, be in bed by a certain hour and Santa will bring

tangible material items of desire. At a proper age, as the child enters school, the parents begin to tell the child that there is no Santa Claus and that they made that up to make the child happy and create some magic. What does that do to the child's image of God? Is that made up also? Erik Erikson (1959) in *Identity and the Life Style* discussed life-span developmental stages. The first stage of life is when the child develops Trust verses Mistrust. During this time, "Mother's create a sense of trust in their children by that kind of administration which in its quality combines sensitive care of the baby's individual's needs and a firm sense of personal trustworthiness within the trusted framework of their community's lifestyle." The trust a child builds for parents is betrayed by the Santa Clause/ Easter Bunny/, Tooth Fairy lie. Parents are supposed to be truthful. Children idealize parents and all truth comes from them at an early age. Does this Santa Claus wound of mistrust affect other areas of the child trust of parents or faith in God? How can they make up Santa Claus but not God? Perhaps the wound of the Santa lie compels children/ adults to hold on tighter to his/ her ideas of God as to not feel an unconscious betrayal again by the parents. Perhaps this helps to rebuild the trust needed for personal security in the parents who have betrayed them.

The coping skills of God taking care of us, of being able to pray for control, and an after-life to have to deal with Death, are often far too fearful to eliminate in one's consciousness. If one is to process the journey, one has to consider the rejection of all of the ideas of childhood and work back to a balanced intellectual, emotional, and spiritual place. In childhood, the intellectual is left out and for many people never considered. The intellectual piece of the Self is perhaps the most frightening and perhaps challenges one's coping skills the most. To venture into the area of investigation is often stunted by

our own defense mechanisms. If we take away "faith" in an external force with what would it be replaced? There is nothing except faith in oneself and the anxiety of not knowing. Many people regret this journey because it often leads from a place of peacefulness to a place of unrest. But yet, can one truly ever have faith without the journey to the land of unrest?

> *" That sounds splendid! A race of men who have renounced all illusions and have thus become capable of making their existence on earth tolerable! I however cannot share your expectation."*
> *Freud, 1927, p. 51*

Freud felt that the father-son relationship was the basis of forming the inner images of God. Perhaps in a modern social context that considers young women, we could expand the relationship of influence to parent-child of either gender. However, in most cases the Image of God in Western Civilization tends to look like a wise, protective man. Even if the mother has an influence on the "type of relationship formed" to the God, the visual still tends toward the masculine. Judeo-Christian traditions have helped society form images through art, descriptions and building decorations.

> *" Psychoanalysis has made us familiar with the intimate connexion between the father-complex and belief in God; it has shown us that a personal God is psychologically, nothing other than an exalted father…. Thus we recognize that roots of the need for religion are in parental complex; the almighty and just God, the kindly Nature, appear to us as grand sublimations of father and mother, or rather as revivals and restorations of young child's ideas of them*
> *Freud, Leonard Da Vinci, 1910, p.123)*

Rizzuto (1979) suggests that idealized parents contribute to forming one's childhood image of God that often later carries on to adulthood. Rizzuto (1979, p. 44) suggested, "Once told that babies are made by mommies and daddies in mommy's tummy, the child wants to know who made mommy and so on. This ceaseless chaining of causes

inevitably ends in a 'superior being'. That notion suits the child well because in his mind his parents are superior beings of great power and size, gifted with a remarkable ability to know the child's intentions. In psychoanalytic terms, the child is dealing with idealized representations of his parents, to whom he attributes great perfection and power."

Why does an individual's image of God rarely change from the early childhood visualization and concepts? As the intellect develops, there is often a pull on the other side of rationality to remain "faithful" to early beliefs that our parents instilled in the psyche. Perhaps, there is an unconscious connection, which results in fear about giving up the relationship with the parents. It is safer in childhood when your parents control your world and the internal locus of control is minimum. Perhaps maintaining childhood images of God is a way of regressing back to safety of childhood when parents took care of and explained life in such a clear/concrete manner.

Freud suggested that religious practices had obsessive qualities. For instance, a person who continues to turn the lights on and off for no apparent reason, performs a ritual, which he/she does not understand by reasoning. Likewise, a person (especially a child) who performs ritual behavior without the ability to understand the meaning behind it shares the same obsessive qualities. Do these rituals promote obsessive qualities in in children/ adults?

> *" It is one of the conditions of illness that the person who is obeying a compulsion carries out without understanding its meaning – or at any rate its chief meaning."*
> *Freud, Obsessive Actions and Religious Practices, 1924, p. 122*

In other words, Freud suggests religion is psychologically pathological. Humans often look to be taken care of and hence, look outside of themselves for a protector.

Parents usually play that role in the beginning of life but as the reality of aging and death set in, what can now protect the adult child? Only the faith in an exalted father is left. That, in fact, man needs this "illusion" (Freud, 1927) of God to maintain civilization, order, work ethic, so a few can control the masses, and to ease to pain of humans' suffering and death anxiety.

Rizzuto (1979) in *Birth of a Living God* suggested, "In a sense at least religion is not an illusion. It is an integral part of being human, truly human in our capacity to create nonvisible but meaningful realities capable to containing our potential for imaginative expansion beyond the boundaries of the senses. Without those fictive realities human life becomes a dull animal existence. Without unseen atoms, imaginary chemical formulas, or even such fictive entities as id, ego, superego, the entire domain of culture becomes a flat, irrelevant world of sensory appearance."

So what of the people who do not believe in God such as atheists, agnostics, and most existentialists? Do they live a life of "dull animal existence"? The mainstream population rejects creating meaning in humanness without an image of God or a belief in God. So what is the image of God to a non-believer? Perhaps the human meaning is more powerful if not fed by the fear of the wrath of God. Perhaps if intellect is balanced with emotion and spirit a more pure outcome will arise.

Paul Vitz (1999) wrote in *Faith of the Fatherless* about Soren Kierkegaard's (1813-1855) journey with religion and struggle with his father. Vitz (1999) reported that Kierkegaard's journey landed at the father's role in instilling morality and religious groundwork. "It was the full significance of fatherhood which his reconciliation had discovered, of the Divine fatherhood which is the moral type of that 'great tradition'". It

is in the light of this flash of comprehension that he can say that Christian truth is true ‘because my father told me so (p. 78).”

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1. TITLE

Attitudes on Artificial Intelligence:
A Reexamination of the Minds & Machines Debate

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6. ABSTRACT OF PAPER

Traditionally the minds and machines debate has focused on the question of whether the behavioral capabilities of computers and robots are limited in ways that human capabilities are not. This is a misdirected approach, since we employ criteria other than behavioral capabilities to ascribe personhood status to fellow human beings. Moral, legal, social, and personal criteria form our attitudes and make us regard other humans as persons. We should apply the same criteria to machines. Moore's Law suggests that the rapid pace of computer and robot evolution will continue. This may soon force us to extend personhood status to machines.

ATTITUDES ON ARTIFICIAL INTELLIGENCE:
A Reexamination of the Minds & Machines Debate[1]

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Much of the traditional debate concerning artificial intelligence is misdirected. The discussion typically focuses on abilities and capabilities and the issue of whether machine abilities are somehow inherently limited in ways that human abilities are not. The attitude expressed by those who argue in favor of limited machine capabilities often sounds very much like irrational prejudices comparable to sexism and racism.

Typically, when I discuss the prospects for artificial intelligence with students or colleagues, the dialogue proceeds as follows:

"Can a machine think?"

"No! Of course not."

"Why not?"

"Because it is a *machine*."

This is not reasoning; it is repetition. Moreover, it sounds very familiar to this:

"Can a women parallel-park?"

"No! Of course not."

"Why not?"

[1]The author thanks Hugo de Garis, San Halioris, and Louise Griffiths-Johnson for their assistance with this paper.

"Because, she is a woman."

Negative attitudes expressed in this way are simply irrational repetition, not rational justification. Biases are evident in both sexism and "mechanism." It is assumed, without justification, that there is some essential characteristic machines have, no matter how technologically advanced they are, that will always limit the sophistication of their behavior in such a manner that it cannot equal the complexity of human behavior. The emphasis is entirely on behavioral capabilities.

Also, it is puzzling that people seem willing to discuss nearly any topic other than minds in terms of their understanding of contemporary physics. Yet, when they discuss minds, they revert to concepts derived from Seventeenth Century physics. In the Seventeenth Century, atoms were thought to be inert, deterministic, indestructible little globs, something like miniature ball bearings. Matter was supposed to be composed entirely of these small, dead things. In this context, it was inconceivable that anything composed entirely of matter could think, emote, or sense. The concept of an atom that we get from contemporary quantum mechanics could hardly be more different from the Seventeenth Century concept. However, it is often the case that when people discuss the potential for thought in artificially constructed, material devices, they seem to think in terms of Seventeenth Century atoms and Seventeenth Century, cogwheel machines. If Rene Descartes

were confronted with an electronic computer, he would probably say, "That is not what I mean by 'machine'!" In contrast, a clunky steam locomotive would fit Descartes' concept of "machine."

Claims that machines are the wrong shape (Gunderson), composed of the wrong stuff (Ziff), or the wrong *kind* of thing (Malcolm) almost exactly match sexist or racist claims. Compare the following: Women are the wrong shape to attend colleges or vote. Blacks are made of the wrong stuff and are the wrong kind of individual to live in our neighborhoods or marry our siblings.

Perhaps the clearest example of an objection to machine intelligence based on behavioral capabilities is the argument from various disabilities. This one states that you might get a machine to do ***X***, but you will never get one to do ***Y***. A classic example of ***X*** is the ability to perform rapid mathematical computations. Examples of ***Y*** are usually some lofty, human achievement in the humanities, such as writing moving poetry, performing a violin sonata, or writing the great American novel. The argument from various disabilities demands a higher standard for machines than is placed on human beings. If a person must be able to write poetry, perform a violin sonata, or write a great novel in order to be considered intelligent, then, alas, I do not qualify. I am reminded of a SETI researcher who was asked to define 'intelligence'. He responded that intelligence is the ability to build a radio telescope. Once again, I do not qualify as an intelligent critter by that standard; most people do not.

We readily ascribe personhood to humans who have minimal (or no) behavioral capabilities. For instance, humans who have severe disabilities, people who are paralyzed, people who are comatose, and human infants are considered to be persons. Neither a paralyzed human nor an infant could pass Turing's Test. Instead of insisting upon a Madeline Albright or Henry Kissinger standard that machines must meet, it would be more fair to think in terms of a minimal human being and ask if a device could be constructed that can behave at that level. There are plenty of choices. Imagine a vagrant sitting in a recessed doorway drinking a bottle of fortified wine from a bottle enclosed in a grimy, paper bag. When you approach him, he asks, "Hey, buddy! Can you spare a quarter?" If we want to be entirely fair and realistic, we should ask, can we construct a machine that is capable of doing that?

Examples such as Stephen Hawking (for much of his life), Christopher Reeve (after the fall), Willy Shoemaker (after he was paralyzed from the eyebrows down) reveal that we are willing to ascribe personhood and intelligence to human individuals, who have minimal behavioral capabilities. We are also willing to literally ascribe psychological predicates to pre-verbal human infants, who lack the ability to pass both Turing's Test and Descartes' tests for the presence of minds. It is obvious why behavioral capabilities have historically been the focus of debates concerning AI. For one thing J.S. Mill's Argument from Analogy, as well as the more recent Simulation Theory, have suggested that we always infer that others have

mental experiences comparable to our own by observing that their inputs and outputs resemble ours. In the context of computer technology and robotics, the Argument from Analogy suggests that we can reduce the issue of developing AI to an engineering problem. The supposition is that, if we can artificially replicate human-like input/output correlations, then we will have replicated human-like intelligence. The fact that we do not use input/output correlations as criteria for the ascription of psychological predicates to fellow human beings indicates that this focus is misplaced.

One possibility is that our attitudes toward other people play a more significant role than their behavioral capabilities. Our attitudes determine whether we are willing to confer personhood status on others. There are at least four kinds of personhood status:

STATUS

1. Moral
2. Legal
3. Social
4. Personal

Consider first moral status. Until we can regard artificially constructed devices as viable moral agents that can be held responsible for their actions and can perform morally good or bad acts, we will not consider them moral persons. It is the status of the acts, not the acts themselves that is crucial. Notice that infants

and young children are typically not considered full-blown, moral agents, hence full moral status is withheld from them. Historically, there have been times and places (and, no doubt, there still are) in which moral status has not been extended to women and minorities. After the New World was discovered by Europeans, for example, there was some debate about whether Christian missionaries should be sent to America; some people argued that Native Americans did not have souls. Simply being a biological human does not suffice for achieving moral status. These days there are plenty of people who argue that animals and geological formations have moral rights. It is interesting to note that some non-humans, (lab animals) are often given moral status, while some humans (women and children) are not. It would not be surprising, if in the near future Robots' Rights Leagues emerge that are analogous to animal rights organizations.

It is certainly possible to feel moral compassion for machines. The AI project at MIT had an electric duck. It waddled around the lab and quacked. When its batteries began to run low, it went to an electrical outlet and plugged itself in to recharge. Some graduate students decided to tease it, so they put barriers in front of the electrical outlets. The poor, little, electric duck waddled frantically from one outlet to another, but it was blocked at every turn. The principle investigators discovered this, and they made a lab rule forbidding abuse of the electric duck.

Legal status involves, among many other things, the right to own property, the right to enter into legal contracts, and the right to vote. Legal status has, and is,

frequently denied to biological humans. In this country it was only comparatively recently that women were given the right to vote. Women are still not given equal pay for equal work. The proposed Equal Rights Amendment was easily defeated. Our country has not treated minorities well; we have slavery in our history. The legal rights of human children are limited. Legally insane humans are not held responsible for crimes.

In contrast, some non-humans hold considerable legal status. Corporations can own property and enter into contracts. Corporations are considered legal persons; they also have a great deal of political power both nationally and internationally. As is the case with moral status, there are many people who claim that animals and geological formations deserve legal rights.

Computers and robots are also non-human. Until they are granted legal personhood status, they will not be considered legal entities, no matter what they can do.

Social status involves membership in clubs, organizations, and communities. There have been, and still are, plenty of cases in which biological humans have been denied full social status. Women and minorities are excluded from country clubs. Even though access to public facilities has improved, social pressures drive minorities from certain neighborhoods. The struggle for equal rights and equal opportunities continues.

It is inevitable that, when artificially intelligent devices emerge, there will be

serious social issues concerning them. Would you be willing to invite a robot to your home? Do you want one living in your neighborhood? Would you want your sister to marry one? Until machines achieve social personhood status, many of us will not consider them social entities.

Personal status is the most primal. I am not sure that 'personal' is the correct word to use here. Let me illustrate. Until we can experience pride or shame in front of a machine, we will not consider it a person, no matter what it can do. We will confer personhood upon a machine at about the time when we feel uncomfortable undressing in its presence. Perhaps companionship is a viable test. When I am at home with my vacuum cleaner, I do not experience companionship. If someone phones and asks, "Who is there?" I do not reply, "It is Hoover and me." I just say, "Just me. I am here alone." Until we do not feel alone in the presence of a machine, we will not grant it personhood.

What sort of things are we willing to admit into the People Club? Our decision is dependent on our attitudes, together with the biases and prejudices that are governed by our attitudes. Attitudes, not behavioral capabilities, determine whether or not we confer moral, legal, social, and personal status. I suspect that the minds/machines debate is not unique in this respect. The abortion issue and the euthanasia issues can also be characterized as debates about who should be included or excluded from the People Club.

This reveals one serious difficult with Turing's Test. A.M. Turing observed that

we cannot answer the question, "Can a machine think?" because the concepts "machine" and "think" are unclear. He proposed a conversational test to replace this question and suggested that we should instead ask whether a machine can pass what he called the "Imitation Game," which is based on a parlor game. In the Imitation Game, you are the interrogator. You are placed in a room with a communication device, for example a computer terminal. The terminal is connected to two other rooms, Room A and Room B. The other two rooms may contain two humans, two computers, or ideally, a human in one room and a computer in the other. You can send any messages you like to the two rooms. The messages may be comments or questions. You will receive responses from the two rooms. If you, as the interrogator, cannot distinguish between human answers and machine answers, then a machine participant will have passed the test.

We are encouraged to take an affirmative answer to the question, "Can a machine pass Turing's Test?" as also being an affirmative answer to the question, "Can a machine think?" There is a logical difficulty with Turing's question-switching. Since they are different questions, it is not obvious that an answer to one of them forces the same answer to the other. Fallacies are sometimes taken more seriously, if they have Latin names. So, we may wish to call this the *Questiones alternandum* fallacy. This fallacy also occurs with respect to IQ examinations. We cannot answer the questions, "How intelligent is Susie?" because the concept of "intelligence" is vague and ambiguous. However, we can answer the question, "How well did Susie

do quantitatively on an IQ examination?" Then, we are encouraged to consider the anser to this second question to also be an answer to the first one.

Apart from this fallacy, there is an additional difficulty with Turing's Test. If I were the interrogator, and I went through an imitation game trial, after it was concluded I would want to know who (or what) was in the two other rooms. Suppose a machine passed the test. Then, if I were shown into Room A, and I found a human being there, I would not be surprised. However, if I were shown into Room B and encountered a computer or a robot, I could respond, "Well, you sure fooled me! I thought there was a thinking-thing in here. Now I can see that it is just a machine." The fact that the machine passed Turing's imitation game test would be made irrelevant by this response.

There may be circumstances in which I could know that I am confronted with an artificially-constructed device that exhibits complex behavior yet not be in a position to meaningfully say, "You sure fooled me! I thought that this was a thinking-thing. Now I can see that it is just a machine." Consider two possible scenarios:

Scenario 1:

Suppose you see an advertisement in the local newspaper in which $25 is offered to participate in a psychological study. You decide that you could use the money, so you go to the address indicated in the advertisement. It is a low, cinder-block building in downtown Honolulu. You are met by a scientist wearing a white, laboratory coat. He thanks you for coming and says that the study involves taking a psychological profile examination. The scientist informs you that the examination

will be administered by his assistant, George. You meet George in a nearby room, and he administers the examination. The exam includes questions such as: "Would you rather be an explorer or a librarian?" "Who do you love more, your Mother or your Father?" "Would you rather dance a tango or a waltz?" In the course of the examination you discover that George is a really nice guy. Apparently, he thinks that you are a good person as well. After the exam, George suggests that, if you happen to be in downtown Honolulu again soon, the two of you should meet for lunch. You agree. A few days later you meet George for lunch at Keo's, and you begin a grand friendship. After you finish the conference here you remain in frequent contact with George. You talk to him often on the telephone, and you exchange e-mail messages. As the years go by, your families get together for major holidays, and your families also frequently vacation together. This goes on for fifteen years.

One evening, you and George are sitting in overstuffed chairs in front of your fireplace. A fire is crackling in the fireplace. You and George are enjoying snifters of Courvoisier.

George turns to you and says, "Do you remember how we met?"

You reply, "Yes. That psychology profile study back in Honolulu."

"Well, we are both going to be in Honolulu again tomorrow. Would you like to stop by the research facility for a nostalgic reunion?"

"Sure!"

The next day you enter the same low, cinder-block building. You are met by the same scientist in the white lab coat.

The scientist says, "I am glad to see you again! You and George seem to have become good friends."

"Yes, we are the best of friends."

"There is something I should tell you about George."

"What could you tell be about George that I do not already know? We are close friends."

"Well, it is rather serious."

"Look. There is nothing you could say that could change my feelings about George. We have been friends for fifteen years!"

"Perhaps I had better show you. George, please come over here."

George goes to the scientist.

"George, please remove your jacket."

George removes his jacket.

"You had better remove your shirt as well."

George removes his shirt.

"Please turn around, George."

George turns around.

The scientist depresses a couple of points in George's back, and a panel pops out. You can see that, inside the panel, George is filled with wires, wheels,

cables, plastic and aluminum parts, and computer chips.

At that point, would you be in a position to say, "You sure fooled me! I thought that George was a thinking thing. Now I can see that it is just a machine."?

If you and George returned to your home and sat in those overstuffed chairs in front of your fireplace again, would you consider it wasteful to give him a snifter of Courvoisier? Would you feel companionship while you were there with George? If you left the room, would anyone be in your living room?

Scenario 2 [Inspired by Marvin Minsky and Max Weber's *Verstehen* Technique]:

Suppose you see an advertisement in the local newspaper in which $25 is offered to participate in a psychological study. You decide that you could use the money, so you go to the address indicated in the advertisement. It is a low, cinder-block building in downtown Honolulu. You are met by a scientist wearing a white, laboratory coat. He thanks you for coming and says that the study involves taking a psychological profile examination. The scientist informs you that the examination will be administered by his assistant, George. You meet George in a nearby room, and he administers the examination. The exam includes questions such as: "Would you rather be an explorer or a librarian?" "Whom do you love more, your Mother or your Father?" "Would you rather dance a tango or a waltz?" In the course of the examination you discover that George is a really nice guy. Apparently, he thinks that you are a good person as well. After the exam, George suggests that, if you happen to be in downtown Honolulu again soon, the two of you should meet for lunch. You agree. A few days later you meet George for lunch at Keo's, and you begin a grand friendship. After you finish the conference here you remain in frequent contact with George. You talk to him often on the telephone, and you exchange e-mail messages. As the years go by, your families get together for major holidays, and your families also frequently vacation together. This goes on for fifteen years.

One evening, you and George are sitting in overstuffed chairs in front of your fireplace. A fire is crackling in the fireplace. You and George are enjoying snifters of Courvoisier.

George turns to you and says, "Do you remember how we met?"

You reply, "Yes. That psychology profile study back in Honolulu."

"Well, we are both going to be in Honolulu again tomorrow. Would you like to stop by the research facility for a nostalgic reunion?"

"Sure!"

The next day you enter the same low, cinder-block building. You are met by the same scientist in the white lab coat.

The scientist says, "I am glad to see you again! You and George seem to have become good friends."

"Yes, we are the best of friends."

"There is something I should tell you about George."

"What could you tell be about George that I do not already know? We are close friends."

"Well, it is rather serious."

"Look. There is nothing you could say that could change my feelings about George. We have been friends for fifteen years!"

"George has remained as my 'assistant' these past fifteen years. He has been observing you. Perhaps I had better just show you. Please come over here."

You go over to the scientist.

"Please remove your jacket."

You remove your jacket.

"You had better remove your shirt as well."

You remove your shirt.

"Please turn around."

You turn around.

The scientist depresses a couple of points in your back, and a panel pops out. The scientist positions a couple of mirrors so that you can see that, inside the panel, you are filled with wires, wheels, cables, plastic and aluminum parts, and computer chips.

At that point, would you be in a position to say, "I sure fooled me! I thought that I this was a thinking thing. Now I can see that I am just a machine."

If you and George returned to your home and sat in those overstuffed chairs in front of your fireplace again, would you consider it wasteful for you to drink a snifter of Courvoisier? Would George feel companionship while he was with you there in the living room? If George left the room, would anyone be in your living room?

It is does not make sense in either of these scenarios to respond by saying, "you sure fooled me!" If androids can become good friends, or a person can be an android, doubts about their thinking will not arise.

There are compelling indications that the emergence of sentient, intelligent machines is inevitable. One of the founders of Intel, Gordon Moore, has established a principle, which has been called "Moore's Law." It was bad enough that we have Murphy's Law (If anything can go wrong, it will) and Cole's Law (finely

chopped cabbage), but now we also have Moore's Law. In 1965, Gordon Moore, noticed that the number of transistors per square inch on integrated circuits had doubled every year since the integrated circuit was invented. Moore predicted that this trend would continue for the foreseeable future. Presently, the data density of computer chips is doubling approximately every 18 months. There is tremendous economic incentive for this to continue. Any chip manufacturer that falls very far behind will soon be out of business. Right now the computational power of your brain, measured in terms of processing speed (bits per second) is about one million times greater than the CPU in your home computer. However, if Moore's Law continues to hold, then you will be able to purchase a computer chip for about $1000.00 by the mid to late 2020's that will be suitable for a humanlike robot. In about thirty years a $1000 CPU will exceed the processing speed of the average human brain. This will occur even if we are still dealing with classical computers, and quantum computers are not yet developed. Combine this with heuristic programming (programs that learn and computers that can program themselves) and the prospects for future developments become a matter for some concern.

Naysayers concerning the prospects for AI typically claim that the *potential* for long-range technological development of computer, robots, and androids is somehow essentially limited. This suggests that machines will by unable to evolve to the level of human, mental competency. As it happens, computers are evolving at a million times the rate at which humans evolved.

Evolved machines may wind up having attitudes similar to our own. Marvin Minsky suggested that, when AI machines emerge, they will be as likely to be Dualists (in the Cartesian sense) as we are. When they introspect, they may come to the conclusion that their mental experiences cannot be reduced to their inner-workings of their wires, chips, and molecular circuits. They will feel that their minds must be something different from their physical components.

It may be the case that calling any machine "intelligent" amounts to anthropomorphizing. Perhaps terminology should not be an issue. We should be discussing machine-intelligence instead of artificial human-intelligence. Contemporary computers do *something*. Whatever it is that they do, future computers will do it much better. Either we or our decedents will have to deal with whatever it is that future machines do. What they can do may far surpass what we can do. Science fiction may soon become science fact.

One genuine fear is that AI development could occur without our knowing about it. The Manhattan Project developed nuclear weapons that were deployed without public examination or debate. The same thing could easily occur with computer and robot development. If the development of quantum computers is successful, then the computational power of the human CNS is only the starting point. Hugo De Garis predicts that quantum computers will have computational power trillions of times greater than human brains. If he is correct, then AI researchers will become God-makers. Ethical issues surrounding these possible

developments have received very little public attention or discussion. Yet, they seem much more serious than ethical debates regarding cloning or genetic engineering. Godlike machines could be the next stage of evolutionary development. We may be making ourselves obsolete. Super-advanced quantum computers could regard humans as pesky annoyances. Can you really trust a computer, when the chips are down?

In the near future we may well be in a position analogous to Descartes'. If Moore's Law continues to hold at its present pace, or if the prospects for quantum computers are successfully fulfilled, then when we are confronted with a fully developed AI device, we, like Descartes, may be forced to say, "That is not what I mean by 'machine'."

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PLAYING THROUGH THE DARK: "BLINDNESS" AS A VEHICLE FOR TRANSCENDENCE IN SELECTED SPORTS POEMS

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Abstract

"Playing Through the Dark" examines several contemporary American poems about sport in their treatment of transcendence as it is facilitated by the deprivation of sight. Being blind, usually as a result of natural darkness, the central figures in these poems connect with an "out there" when their blindness sharpens their auditory and tactile response their environment. In basketball poems, for example, "touch" ironically is a certainty culminating in a player's being "in the zone" or out of touch with reality. In this state, a shadowy darkness in which athletes are absorbed into a world beyond themselves, players are without personal identifiers, ego, and personality. For black players, transcendence has social as well as athletic implications, allowing for individualized reappropriation of controlled space and expressions of freedom.

PLAYING THROUGH THE DARK: "BLINDNESS" AS A VEHICLE FOR TRANSCENDENCE IN SELECTED SPORTS POEMS

After Frost's "Stopping By Woods . . .," William Stafford's "Traveling Through the Dark" is probably the most anthologized "wayfarer" poem in American literature. In "Traveling," the speaker stops in the dead of night on a narrow road above a canyon to examine the carcass of a doe that has been killed by a car. Touching the doe's side he discovers that she is carrying a fawn that is still alive in her womb. Musing on the deer's death and the possibility that its body might cause another motorist to swerve and perhaps plummet into the canyon, considering the prospect of abandoning the unborn fawn, and weighing his options and responsibility, the isolated speaker becomes one with his surroundings. With his vision impaired by darkness he listens so intently that he can as a consequence "hear the wilderness listen." He thinks "hard for us all," and then rolls the

carcass bearing the unborn fawn over the canyon's edge into the river far below (*Stories* 61).

Stafford's poem tempts the reader to allegorize the incident, to turn the deer, the car and the canyon into symbols for larger entities. I would argue, however, that Stafford, like Frost, is in this poem more synechdochist than symbolist, that to deny the incident's reality and concreteness is to deny the significance of the vision it generates. Stafford's traveler is not Everyman floundering through life's mysteries. He is one man whose experience is **like** those the rest of us undergo, and the vision he experiences is available to the rest of us if conditions are conducive to such a vision, and if we take full advantage of those conditions by a passionate focusing of our attention and energy on the moment. The darkness the speaker experiences limits normal perceptions, but "calls his listening out "("Listening," *Stories* 33), as Stafford says in another poem. This listening, ironically, allows him in Wordsworth's phrase, to "see into the life of things."

Darkness takes many forms in poems about athletes and sports. In Neal Bowers's "Late Innings" and Jonathan Holden's "How to Play Night Baseball" it underscores the urgency of the boys' play, helps to encapsulate them in special circumstances and hints at the limits of childhood. In Galway Kinnell's "On the Tennis Court at Night" it teams with falling snow to obliterate the lines on the asphalt and transform the doubles game into a desperate attempt to stave off winter and the death it implies. The four old men who are seen as "half-volleying, poaching, missing, grunting, / begging mercy of their bones, " manage to "hold their ground, / as winter comes on, all the winters to come" (*Mortal Acts*, 28). In Dave Smith's "Running Back" the pure dark "at the zero's middle" which forms the ball carrier's target each time he is given the ball is the yawning mouth

of the abyss, the ultimate end zone for those dedicated to what becomes in Smith's poem a doomed, self-destructive pursuit of gridiron glory (*House* 30). This same pessimism broods over Michael Bettancourt's "The Freshman Football Game," in which the naïve, ill-equipped youngsters are initiated into a fraternity unified by its drive for "end zones scored with darkness" (*Arete* 4.2, 98).

In other sports poems, however, darkness envelops the principals, all but eliminating their ordinary vision while at the same time elevating the intuitive, instinctual element in their games. In extreme cases the dark eradicates personal identifiers, ego, personality, and absorbs athletes into a shadowy world beyond themselves. It is this darkness I would like to examine in Stafford's "Run Before Dawn," Dennis Trudell's "The Jump Shooter," Carl Lindner's "When I Got it Right" and "Shooting Baskets in a Dark Gymnasium," Michael McFee's "Shooting Baskets at Dusk," and Tim Seibles' "For Brothers Everywhere."

In Stafford's "Run" the athlete's isolation in the early morning darkness ironically intensifies his attachment to the world around him. His experience is "too precious for anyone to share," but he becomes caught up in the rhythm of his breathing which induces an altered form of consciousness through which he unifies 'the little gems / of darkness" he encounters, his own breath, "and the road" (*motion 207*). In Trudell's "The Jump Shooter," deprivation of sight brought about by approaching darkness maximizes the shooter's touch, so that the overweight, over thirty-five player drops shot after shot into the basket as the twilight deepens over the playground where he has been joined by the poem's speaker. The speaker, who has wordlessly drifted into the action, alternates shots

with the first man and is lifted out of a sour mood by watching the stranger in full possession of his touch (*Fragments* 73).

Both Stafford's and Trudell's poems illustrate the isolation of the athlete, the intensification of senses other than sight, and the elevation of "touch" that darkness generates. Carl Lindner's "When I Got it Right" focuses exclusively on touch, that indefinable assurance that once the ball leaves the hand it seems drawn by some outside force to the center of the basket. "Once it began," Lindner writes,

> I couldn't miss.
> Even in the falling dark,
> The ball, before it left
> My hand, was sure.
>
> (*Shooting Baskets*, 63)

Here the darkness is not so much a factor contributing to the achievement of touch as it is a testament to charmed athlete's ability to overcome even seemingly impossible conditions when the touch is on him.

In "Shooting Baskets in a Dark Gymnasium" Lindner takes the issue one step further. In the hands of the sightless shooter "the ball / thumps like a heart." Behind his eyes,

> another eye
> opens. Somewhere
> a finger points,
> as floor, ball
> and you revolve.

You go by touch.

(*Shooting Baskets*, 8)

After the shot, Lindner writes, "You wait. / Without the ball / you are all ears." This shooter relinquishes physical control and is directed by the other eye and an unseen finger. He becomes caught up in a unified whole with the floor and the ball, and the shots become automatic. The auditory confirmation of each shot's success underscores his dependence on the other senses in the absence of sight. The shooter becomes wholly attentive, as evidenced by the cliché turned upside down by being made almost literal. He is "all ears."

Chris Messenger has described basketball as an attempt at "transcendence in which the player becomes 'at one' with the ball and the rim, the goal becoming that of a touch that results in no touch with the rim, a clean descent of circle . . ." (388). But he has in mind here actual competition, with a strong emphasis on the athlete's ability to arrive at open space through his leaping ability. Transcendence involves freeing oneself from the limitations imposed by boundary lines, the press of other bodies, and, in the case of the African/American athlete, sociological and historical impediments. With the exception of Tim Seibles "For Brothers Everywhere," (and I will deal with that below), these poems involve solitary figures at the outset. Freedom and space are givens, and transcendence becomes less a matter of a release from this world as it is a connection with an other.

Michael McFee's "Shooting Baskets at Dusk" is a perfect example. McFee's poem is similar in tone to Trudell's "The Jump Shooter." Both poems take place at dusk and in each situation the respective shooters experience a kind of magic. Neither poem

involves competition, just shooters floating effortlessly "in the zone." McFee's shooter "will never be happier than this," as he becomes "absorbed in the rhythm" of shoot, rebound, dribble, the ball almost magically returning to him after each shot as it bounces off the brick wall behind the basket. McFee, though, takes the blending of Trudell's speaker into the shadows surrounding the court one step further by having darkness fully envelop the shooter's game as it is being played. The young man becomes "just a shadow and a sound, still playing through the dark, the ball burning "in his vanished hands" (*Vanishing Acts* 9) While Messenger's basketball players rise above the crowd and play beyond themselves, McFee's shooter achieves transcendence through such a complete absorption in the game that his corporeality is momentarily jeopardized. At the same time, the rhythm of his game "seems to flow"

> from his fingertips to the winded sky
> and back again to this lonely orbit
> of shot, rebound, dribble, shot,

thus linking him in his bodiless state to forces which lie beyond (9).

Tim Seibles's "For Brothers Everywhere" moves beyond the solitary exercise of the shooter in the darkness of his own driveway or suburban park to actual competition in the "schoolyard," where "brothers keep goin to the hoop, keep / risin up with baske'balls ripe as pumpkins." The rhythm of Seibles' lines mimics the furious action on the asphalt as the court is "lit by brothers givin and / goin, flashin off the pivot, dealin / behind their backs, between their legs, / rockin the rock an' glidin like mad hawks"(*Hurdy Gurdy* 12). The parallel verbs and adverb phrases capture the give and take, the offense/defense of balanced competition. The title of Seibles's poem identifies

it as a black anthem, and its first seventeen lines are dedicated almost exclusively to celebrating the energy, inventiveness and showmanship of the black athlete. If any sense of resistance to or antagonism toward the dominant white culture exists to this point, it is implied through the declaration of racial identity and the separation of the game's venue from the surrounding urban landscape:

> There is a schoolyard that runs
>
> from here to the dark's fence
>
> where brothers keep goin to the hoop,

Seibles writes, thus establishing the court as both set apart and exclusive. Two lines just before the poem's mid-point, however, transform this separation and exclusivity to opposition. As the sun sinks and shadows gather on the court, play continues,

> even with the day gone, without even
>
> a crumb of light from the city, brothers
>
> keep runnin, gunnin . . .

(12)

Even the pace of the action is uninterrupted by the encroaching darkness.

More important in the passage is the implication that the city has consciously decided to deprive the black community of (electrical) power. Further, Seibles metaphor (crumb of light) suggests that illumination is just one aspect of a more comprehensive program of starvation. The game in the dark thus becomes an act political defiance as well as almost mystical athleticism. Undaunted by their diminished visual acuity, the brothers achieve what could only be defined as transcendence as they rise

beyond

summer, beyond weather, beyond

everything that moves . . .

(12)

ultimately "pullin-up from the edge of the world," until even "gravidy gotta giv'em up." Like McFee's shooter, they lose themselves in the enveloping darkness evading their opponents, mocking civic authority and overcoming natural law.

Seibles's "For Brothers . . ." contrasts markedly with the poems by white poets discussed above, and illustrates perfectly the distinction that Messenger makes between black and white basketball in fiction. For the white player "basketball is a mystical experience, for black players, a cultural event" (417). Moreover, for white players, as we have seen in Trudell, Lindner, and McFee, "the shot," according to Messenger, "is the key to beginning . . . transcendence" (403). White players strive to maximize their performance **in** game, while black players rise above the game. Messenger argues that black players "defy gravity and space rather than time," but Seibles's athletes not only leap so high and well that "gavidy gotta giv'em up," they "play beyond summer," thus shaking off temporal as well as spatial limitations.

Even more relevant than Messenger's comments insofar as transcendence in basketball poems is concerned is an article by Colin Howley in the most recent *Aethlon* (21.1) entitled "'Ball and Chain': The Basketball Court and the Trope of the Prison Yard in Contemporary African American Narratives." While Howley's entire argument about the way in which space is appropriated and designated in these narratives is insightful and broadly applicable to any discussion of basketball, his discussion of John Edgar Wideman's *Philadelphia Fire* is uncannily germane to my analyses of the poems featured

in this study, especially "For Brothers Everywhere." Howley quotes at length a passage from *Fire* to illustrate the way in which "spatial modes" of resistance to authority can be registered through re-appropriation of "restricted" space. In the novel this reappropriation occurs in a basketball game played in darkness. Wideman explains that most people would find such a game insane, but the players make adjustments and keep on playing. "It's darker," Wideman writes.

> Not everything works now that works in daylight. Trick is knowing what does . . . You could be blind and play if the game's being played right so you stay past the point people really see . . .. Dark changes things, but you can manage much better than anyone not in the game would believe. (Wideman, 39) ("Ball and Chain," 88)

Howley connects the players' ability to disappear and continue playing in defiance of natural expectation to Foucault's theories of surveillance and to other "invisible" characters in Ralph Ellison and Richard Wright. He also references another Wideman piece, "Doc's Story," in which a black ex-professor who has lost his sight continues to amaze outsiders with his shooting ability.

Howley's analysis synthesizes much of what has been written about black athletes in our culture, Foucault and other spatial theorists in a brilliant commentary on the use of space in Spike Lee's *He Got Game*. His essay also sharpens the contrast between the treatment of transcendence in basketball poems by white poets and Tim Seibles's "For Brothers Everywhere" by deepening the political resonance of the latter.

The power of darkness, the "dark side," the "dark other," are phrases traditionally associated with evil or, at the very least, the absence of good. For sports poets, especially

those dealing with basketball, the opposite is often true. Playing through the dark often forces a reliance on other senses, other resources, which elevates the game to the point of going beyond, if not actually defying natural laws. If what they experience can be called transcendence, it is a visionary state akin to what John Keats describes in the "Ode to a Nightingale" when he asserts, "I cannot see what flowers are at my feet." Deprived of sight, the poet is forced to rely on his olfactory sense to "guess each sweet" that surrounds him in the flower garden. His efforts result in his naming the "white hawthorn and pastoral eglantine" that currently surround him (the present), "fast-fading violets covered up in leaves,"(the past), and "mid-May's eldest child, the coming musk rose" (the future, since it has not yet arrived) (*Complete Poems* 280-81). While Keats's expansion of his senses could by no stretch of the imagination be called athletic, the process through which he achieves what Earl Wasserman calls a "fellowship with essence" is identical to that experienced by the respective athletes in poems by Stafford, Trudell, Lindner, and Tim Seibles. Keats is taken so far out of himself that near the end of his poem the word "forlorn" brings him back from where he has been to "my sole self." The beyond that he has visited is the same beyond that hangs above the darkened venues where these poets play.

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High Tech, High Touch: Maintaining and Enhancing Traditional Studio Teaching Methods in the Age of Digital Art and Design.

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Abstract:
Little has changed in the way in which design ideas have been developed and shared. From the sketchbooks of da Vinci to the notebooks of Halprin, designers have been creating and sharing their ideas through drawings. Although technology has allowed us to share these ideas faster and easier, little has changed in the way that design studios have been taught since the days of Bauhaus.

Students begin the development of their designs through a series of progressing sketches on tracing paper or by building a study model. Faculty circulate from desk to desk giving one to one critiques, making notes on the students' drawings and generating new sketches overlaid on their drawings to help illustrate other design alternatives. At times informal small groups of students are organized to address common problems and allow students to critique each other's work and assist each other in simulating new ideas. Once a design is complete, formal juries are often held where students present and defend their work amongst professionals and colleagues alike. Throughout the entire process, a continuous stream of thoughts, ideas, concepts and alternatives are recorded through the use of many bits of paper and/or study models. These artifacts not only represent the student's progress through the design process, but they are an integral part of it. They facilitate the iterative process of generating, expressing, evaluating, revising, and regenerating design ideas that is essential to solving design problems and creative thinking.

This entire process has always been very personal and hands-on. It relies on the direct interaction between students and faculty with the representations of design ideas from concept to detail that traditional media have always allowed. As more and more of the design process is accomplished using the computer, however, this high touch, hands-on approach is often compromised. Using a mouse to sketch initial design ideas is neither easy nor effective. Computer generated images tend to look very finished and final even in their early stages. This tends to discourage the exploration of design alternatives early in the design process. Instructors can't easily interact with the students work on the computer screen and there is no efficient and accurate way to record the interaction when it does occur. The same lack of interaction affects the way students interact with each other; it is hard to "look over someone's shoulder" while they are working on a computer screen. Projecting computer images onto a large screen limits the type of interaction that is possible during presentations, as well as creating scale issues.

One solution to these problems lies in the use of pen-based computer hardware and touch screen technology. This paper will present a wide range of techniques for using pen-based and touch screen technology for maintaining and improving tradition studio teaching methods while using digital design tools. It will address pen-based tools for generating and evaluating design ideas, pressure sensitive LCD tablet drawing techniques for sketching, touch screen techniques for individual design critiques, large

screen touch screen techniques for small group critiques and demonstrations, Interactive presentation methods and pen-based tools for project grading and evaluation. Real world examples from Landscape Architecture studios will be presented as well as specific hardware and software options that have application in many disciplines.

Introduction

From the sketchbooks of da Vinci to the notebooks of Halprin, designers have been creating and communicating their ideas through drawings. Although technology has enhanced our ability to share these ideas, little has changed in the way that design studios have been taught since the days of Bauhaus. Students begin the development of their designs through a series of progressive sketches on tracing paper or by building a study model. Faculty circulate from desk to desk giving one on one critiques. They make notes on the students' drawings and generate new sketches on overlays to help illustrate other design alternatives. Throughout the entire process, a continuous stream of thoughts, ideas, concepts and alternatives are recorded through the use of many bits of paper and/or study models. These artifacts not only represent the student's progress through the design process, but they are an integral part of it. They facilitate the iterative process of generating, expressing, evaluating, revising, and regenerating design ideas that is essential to solving design problems and facilitating creative thinking.

This entire process has always been very personal and hands-on. It relies on the direct interaction between students and faculty with the representations of design ideas from concept to detail that traditional media have always allowed. As more and more of the design process is accomplished using the computer, however, this high touch, hands-on approach is often compromised. This paper will present a wide range of techniques for using pen-based and touch screen technology for maintaining and improving tradition studio teaching methods while using digital design tools. It will address pen-based tools for generating and evaluating design ideas, pressure sensitive LCD tablet drawing techniques for sketching, touch screen techniques for individual design critiques, large screen touch screen techniques for small group critiques and demonstrations, interactive presentation methods and pen-based tools for project grading and evaluation. Implementation examples from Landscape Architecture studios will be presented as well as specific hardware and software options that have application in many disciplines.

History of studio teaching

"Design is regarded by many as the core problem solving process…" and in recent years there's been a growing recognition of the educational value of design activities in which students create external artifacts that they share and discuss with others. Many different studies of education have looked favorably on the implementation of design studio methods as a way of teaching traditional classes outside the area of design. As integration of technology into the design process increases, the greater effect it is having on the core of design education; the design studio. Studio remains one of the few forms of learning in an undergraduate education that includes an extraordinary amount of contact between professor and student. (Fisher)

To understand the implementation of design education and the use of the design studio, one must refer back to the European influence of the early nineteenth century and the birth of Bauhaus. In 1919, the country of Germany was responsible for the creation of a state funded arts and crafts school, beginning what many believe is the "utopian" interdisciplinary curriculum that many design programs are based on today (Cramer) Founder Walter Gropus described his curriculum at the time as "visual training under object of principles". This was a shift in design philosophy, as designers were no longer responsible for learning just the core principles of design such as color and form, but were encouraged and trained in other trades such as metalworking, weaving, and carpentry. Believing that this would expand upon the ability of the design and had it not been for forethought of men who questioned the current design trends of the time the world of design would have been a vastly different place. Unfortunately, during the second world war the Bauhaus movement was closed down causing an insurgence of these progressive students of modern design to take refuge in the United States. By taking up various academic appointments they brought the traditions of Bauhaus into the American academy. (Cramer)

Although no one will argue that the Bauhaus movement was key in the development of the contemporary design studio. The actual studio way of education can be traced back much further to the formalization of architectural education. The Ecole des Beaux-Arts in Paris officially taught architectural design from 1819 to1968. The Ecole grew out from the schools of the Académie Royale de Peinture etde Sculpture and the Académie Royale d'Architecture during the period between1792 and 1819. With its initial eight members, the Académie Royale d'Architecture was founded in 1671 under King Louis XIV., as part of the French Academy system established to counter the medieval guilds that were not under royal control. The academicians were architects named by the king who met once a week to share their expertise. They formed an elitist group that would advise the king on the designs of the royal buildings. The Académie also conducted a school to share the expertise of these academicians with young architects.(Chapter 2 article)

The cornerstone of the beaux arts movement was the "design problem", Architectural issues that were assigned to students early in their terms and carefully developed under close tutelage of the master architects. The problems that were assigned often began as an esquisse, or a sketch problem and ended in a CHARRETTE; the cart that took the finished products the schools Master architects so that they could evaluate the students work. So it was here that the seeds of our own studio culture was born where the competition for positions was fierce which led to the tradition of "burning the midnight oil".(Fisher)

Although formalized architectural education began in the 17th-century, we can trace back the idea of the design studio back to the 12th century. It began in Europe during medieval times, with the development of craft guilds. The only way any person was to learn a craft was to become an apprentice of a Master craftsman. The development of the skills was attained by allowing students to work alongside. There were no isolated schools to learn these trades but learned by being exposed real projects within the community. By learning in this manner students gain the mastery of certain technical skills. Historically design studios have always been associated with professional education and many consider the studio to be the most important part of any designers education.

Characteristics

Design studios have been described as a loft-like setting of space in which anywhere from twelve to as many twenty students arrange their own drawings tables, papers, books, pictures, drawings and models. It is in this space that students spend much of their working lives, at times working together but mostly engaged in private parallel pursuits of the common designed task (schon).

So what is it about the design studio that gives it such a successful and powerful following? What makes this manner of education any different than any other classroom setting? What are some other characteristics of the design studio? And how are emerging technologies affecting the ways in which studios perform.

Following is a list of some of the characteristics found in design studios:

- The design studio involves learning by doing
- The learning Environment between students and teachers, students and students, and even students and professionals is intense and highly interactive.
- The primary teaching is done through the critique of student work (individual and group).
- Collaboration is a key process and the design studio education, between teachers and students and students and their peers.
- Student assessment is based on the presentation and Communication of the design.
- Learning the ability to create multiple solutions.
- Learning to communicate visually.
- Learning to integrate to synthesize various forms of information

Those who work in a design studio tend to form camaraderie amongst themselves over the course of time. Long hours and hard work tend to forge the students into a close knit group of men and women

who are marked by are dedication, perseverance, and talent. Design studios require a high level of dedication in order to achieve success. Despite studio's advantage and potential, they have become synonymous with sleepless nights, long hours, and belligerent critiques. Learning by doing is a time-consuming process that can seem more like trial and error, with problems that seemingly have endless solutions. In addition, the presentation and communication of a design solution is often as important as the solution itself. Studio education is even being questioned by the universities themselves continually pressing for more efficient use of students' time and space.

Studio Technology

The role of the computers in design studios has changed drastically in the past two decades. The introduction of the personal computer in the early 1980's led many early adopters to speculate that computers would quickly revolutionize the process of design. In fact, computer technology has seen a slow but steady adoption rate in the design professions. Today computers are used in virtually every design office, but most often as a drafting and production tool and not for design. There are many factors that prohibited designers from using computers as a design tool. Initially, their cost as well as their limited speed and graphic capabilities kept them from producing work that had the same quality as hand work. As computers grew smaller, faster, and cheaper, they gradually became more integral to the practice of design. With increased acceptance of computers in the design professions, came the vigorous development of various hardware and software that made the computer more design friendly. A survey of landscape architectural design firms in 2000, 99% of the respondents used computers to draft and enhance design work regardless of the firms' size. This was a stark contrast of a survey taken in 1993 and 1996, which reported only 30% were using computers. (Tai)

In the beginning, computers were used strictly to draft final design proposals and in the creation of working documents. This has become quite common because of the efficiency of CAD drawings. They allow designers to work collaboratively, use digital base information, easily modify drawings at any time, generate accurate calculations, display any of the design elements in any combination and maintain consistent drafting standards. As more and more drawings were being created using CAD programs, design firms have become more dependent on the tools they provide. Since more and more of the files and draftsman were working on computers, the more they integrated computers became into the design process. With its ability to easily save and overlay multiple solutions, computers have become design development tools. But the sentiment of most professional's is that, "the computer's accuracy hinders the development of "loose" design." Many argue that the non-intuitive nature of the computer hinders personal creativity in the initial concept phase of the design process. (Tai) As a result, much of the early design process is still carried out on trace paper with markers and pencils. Once the initial ideas have been developed and explored, the images are digitized and design development work continues using digital tools. Most illustrative work for presenting final designs is also still done by hand. Often "CAD" drawings are printed out, rendered by hand and then scanned back into digital format for presentation.(Tai)

The demand for proficiency in both traditional hand techniques and digital techniques has placed a huge burden on design students and educators. Curriculums that were quite demanding already, teaching traditional graphic skills, must now incorporate digital graphic skills without adding credits to the program. This has led to the increased integration of the computer in design education. It is clear that schools will need to continue planning and committing the necessary support for the development of successful pedagogical environments in design and technology. This not only enhances the student's education, but it also meets the needs of professionals seeking graduates that are competent with digital design and production methods. (Tai)

Ranges of computer use in studio

To meet the demand for design computing most schools have provided various classrooms and computer labs. Computer labs are often small rooms, consisting of 30 to 40 computers with very little extra space for laying out drawings or reference materials. Although the computers may be properly configured, the environment is not conducive to the design process. Many students also purchase their own computer (some programs require this) which they can use in their apartment or dorm room. Some programs have

integrated computers into the studio by placing them on separate desks or on the drafting tables themselves.

Regardless of location, students use computers in much the same way professional offices do. They use CAD software for drafting their projects, PowerPoint for presenting them, word processing and spread sheets for written and numerical tasks and the web and email for communication. Many students also explore the use of visualization software such as 3D modeling, image processing and digital video; areas not widely utilized in most professional offices. In general, given the opportunity, students are willing to experiment and push the limits of digital technology as far as teachers will let them. Despite the students' willingness and enthusiasm, there are some issues that need to be addressed when integrating digital design tools into the design studio.

Printing
One problem facing the integration of digital media stems from the fact that design studio is still dominated by traditional methods of communication and presentation. The increase in computer use has not led to the paperless studio; in some ways, it has increased the amount of paper as students print out their work for desk crits or reviews. (Fisher) But there is resistance to eliminating the printing step from design. Current practice still sees the "drawing" as the final product. This is a drain on resources, often the biggest bottleneck in the process, and a continuous source of frustration for students when everyone tries to print just before the project is due.

Students
With digital design tools, students can work anywhere they want. This often results in working in isolation, separated from their peers. Studios have become places to meet professors and be with fellow students, but increasingly students are doing work in more flexible ways, outside the studio proper and at widely varying times. (Fisher) One of the core characteristics of design studios is collaboration with classmates. Time spent working and critiquing projects with their peers is as important as the individual critique with the instructor.

Teachers
To complicate matters, electronic media is steadily overtaking drawing diagrams that guided studios faculty finding themselves reviewing work on a screen rather than on paper. Rapid changes in digital design tools yield a professoriate that is inevitably outdated, and often unsure about the strategies of criticism. (Cuff) How does one critique, digital media? The important aspect of the critique is not only the discussion about the design of the ability to create further design iterations during the crit. In order to effectively integrate technology into education, educators must be willing to adapt to the technology and change their teaching methods.

Administrators
Administrators see the need for advanced technology, but constantly dealing with the issues of the of staying up-to-date can be difficult in the face of tight budgets and increasing expenses. For administration's this is a no-win situation. Digital design tools continue to change at an alarming rate. The lifecycle of hardware is no more than three years and software is often upgraded more than once a year. Keeping these tools up to date requires more than a one time infusion of capital. Unlike drafting tables which you purchase once every 20 years, digital technology requires a steady stream of resources to stay effective from year to year.

Bridging the Gap
As more and more students and teachers use digital media in the design arts, traditional studio teaching methods are becoming more difficult to maintain. The challenge is to maintain the high touch studio approach to teaching regardless of the medium and to provide a way to transparently integrate hand and digital techniques. Solving this problem involves a holistic approach that recognizes the importance of a wide range of factors including technology, space planning, curriculum and personnel.

The ultimate solution to this problem is to have technology so thoroughly integrated into the studio environment and process that the hand vs. digital issue will simply not exist. This condition is referred to

as ubiquitous computing, or calm computing. Instead of having a desktop or laptop machine, the technology will be imbedded in the studio environment itself. This type of approach is radically different from the current approach of putting computers out for our use, and having us adapt to them. In the world of ubiquitous computing, computers will be implicit in our lives and built in to the things we use. This requires a major change in the way computing is approached and a complete rethinking of user interfaces, displays, operating systems, networks, and wireless communications. Although this change may occur over time, for now there are still some things that can help the design studio move toward the goal of computing that is unobtrusive, flexible and implicit in the design studio environment.

The starting point for this transition is the adoption of touch and pen based computing in the studio. Replacing the mouse with a pen as the primary input device for graphics and interaction provides an entirely new set of options for creating, visualizing and communicating visual information using digital media. Secondly, this touch based computing needs to be physically integrated into the studio setting. Using clusters of computers in the studio is an improvement over maintaining a separate computer lab. The best solution, however, is to have pen based computing at their drawing tables on an individual or shared basis. Without this close proximity to the student's personal working space, digital technology will never become transparent.

Getting the right computers in the right place needs to be followed by training teachers so they are proficient and fluid with the technology themselves. It is also important to have the necessary financial and technical support in place to keep both personnel and equipment up to date and well maintained. At Penn State, we have been able to implement many of these procedures. The following sections will describe in more detail the hardware and software that have used as well as some specific applications of high-touch technology in the design studio.

Hardware Profiles

There is a wide range of hardware options for enabling a high touch approach to teaching with digital technology. These options use different technology and methods for providing a touch-based interface but can be used in the same way for many of the same purposes. Understanding the options and choosing the right tools for the job is the first step toward successful integration of this technology into a studio course. This section will describe the hardware and software options currently available.

Touchscreen lcd monitors

These touch sensitive lcd monitors are the least expensive and simplest to use. Although there are many types, the most common is the resistive touch panel. This touch panel is comprised of two transparent resistive layers, separated by small spacers. Touching the screen causes the two layers to come in contact which indicates the location on the screen. This design does not require the use of a special type of pen. The user can use any pointing device, including their finger, to interact with the screen. Some of these screens are manufactured as touchscreen monitors, others are standard lcd monitors with an integrated touch screen added by another company. Sizes range from 15" monitors to 20" monitors. Prices vary widely, but in general, a touchscreen costs about $300 more than a comparable size lcd monitor.

Pressure sensitive lcd monitors

Although resistive touchscreens allow easy interaction with a monitor, they lack any kind of pressure sensitivity; they only track location. Pressure sensitive lcd monitors like the Wacom Cintiq add another level of interaction that more closely mimics the use of a pen or pencil on paper. This technology uses a special pen that transmits an electromagnetic signal which indicates position, pressure, tilt and other information. A grid of wires in the monitor receives this information and translates it into the response of the cursor on the screen. In applications like PhotoShop this allows the user to create variation in line weight and opacity by varying the pressure on the pen. Prices on this type of monitor range from $1,600 to $3,600.

Tablet PC

In the last few years a new generation of pen based computers have emerged. Although pen-based computers have been around for a long time, the introduction of Microsoft XP Tablet PC operating system

has allowed for better performance and standardization of features. Tablet PC's use an electromagnetic digitizer based on Wacom technology. In fact, if you want your Tablet PC to have pressure sensitivity in PhotoShop, you will need to install a special Wacom driver. Today there are many Tablet PC's on the market in a variety of form factors. Most come in either a "slate" or "convertible" syle. The slate is the lightest and most portable since it does not include a keyboard or CD-Rom drive. The convertible looks like a typical laptop computer and includes an integrated keyboard and CD-rom drive. To use as a Tablet PC the screen can be pivoted around and folded down flat on top of the keyboard. This form factor allows portability and the flexibility to use pen or mouse input depending on the task. Screen sizes range from 10" to 14" and have a much smaller viewing angle that touchscreens or lcd monitors. Tablet PC's, however, have the advantage of portability and integrated handwriting and speech recognition. Tablet PC's range in price from $1,500 to $3,000.

Plasma Screens with Touch Interface
Plasma screens have the advantage of a much larger image size (up to 60" diagonal), a wide screen format and a picture that has the clarity of a CRT. Adding a touchscreen overlay system that attaches to the front of the plasma screen, provides the same functionality of a standard touchscreen display. The Smartboard system allows you to use your finger or a soft tip pen to interact on the screen. Cameras in the corners of the overlay track the position of the pointing device. Special software is also included that support many of the feature available on the Tablet PC such as digital ink and handwriting recognition. A plasma screen with a touch overlay system ranges in cost from $7,500 to over $10,000.

Projection systems
For larger audiences, a touchscreen that is larger than 60" is sometimes necessary. Using a projection system combined with a touchscreen, pressure sensitive lcd monitor or a Tablet PC is currently the only way to meet this requirement. This setup allows you to present to a large group using an image that is only limited by the size of the projection surface. This combination is rapidly replacing the use of digital whiteboards since it allows the presenter to face the audience while interacting with the screen. A system that includes a high quality projection unit, a computer and touchscreen or pressure sensitive lcd ranges in price from $7,000 to $12,000.

Application: Design & Visualization
Although written and verbal communications skills are important, design is dependent on a visual approach that uses a wide range of graphic communication skills and techniques. Beginning with quick, loose conceptual sketches and ending with precisely drafted construction documents, landscape architects use pencils, pens, markers, water colors and other traditional media to help them express, evaluate and communicate their ideas to themselves and others. In order to be effective the tools and techniques must become transparent to the designer and allow the focus to be on the design ideas that are being explored. Traditional hand drawing techniques quickly become transparent because the tools are simple to use. Because each person holds and uses them in a different way, they also express the personality and skill of the designer.

Creating expressive drawings on a computer is extremely difficult using a mouse. Quick sketches and illustrative drawings are usually avoided altogether. Using a pressure sensitive lcd monitor or Tablet PC allows you to create very expressive drawings that have the qualities of traditional media. In addition, using an lcd tablet has some distinct advantages over traditional media.

Using software such as PhotoShop for digital drawing allows the creation of custom symbols and drawing tools. These tools can create complex textures in a single stroke instead of the hundreds of strokes it would take with a pencil. They provide the ability to use a full range of drawings techniques. Regardless of the technique, the pressure sensitive pen allows each drawing to express the skill and stylistic preferences of the user. The use of layers allows quick iterations to be overlaid or finished sketches to be produced in stages. Layers also allow for very easy editing at any time. These features result in very effective graphics in less time than using traditional media. Finally, since the original drawing is digital, any illustration can be used for a variety of purposes such as PowerPoint, the web, desktop publishing, posters or archiving.

Student Response to this technology has been extremely enthusiastic. It is rapidly becoming the preferred method of working on their projects. Customized tools for different types of drawings allow them to save time on everything from conceptual diagrams to illustrative sketches. They like the ability to easily modify and reuse graphics. Students with weaker drawing skills are able to produce better quality graphics than they could with traditional freehand media. They only complaints have been related to the fact that they have to sign the pens out from the library in order to use them. This doesn't allow for the same level so spontaneity as paper and pencil.

Application: Individual Critiques (faculty/student, student/student)
In a studio course, most of the teaching and learning occurs during one to one interactions between faculty and students and between students and their peers. These critiques (or crits for short) involve the teacher sitting down at the drafting table and adding comments, suggestions and alternatives to a students design by using a series of trace paper overlays. The student can respond by adding their comments and alternatives to the teacher's comments. This iterative process continues until a consensus is reached or enough alternatives have been explored. The student is left with the visual notes and design ideas which they can continue to reflect on after the teacher has moved on to the next student. This process is the very foundation of studio instruction and is very difficult to do while sitting in front of a computer with a mouse in your hand. The difficulty is so great that many teachers require their students to print digital work in order for them to get a critique. Attempts to critique on the screen result in the monitors being covered in fingerprints.

Using a resistive touch screen or a pressure sensitive lcd tablet along with some special software allows faculty and students to interact in the same way they do at the drafting table with a roll of tracing paper. Unless the critique involves working on illustrative graphics, a pressure sensitive lcd tablet is not necessary. The addition of software such as Interwrite allows faculty and students to share an interactive "white board" on the screen that allows comments to be added over any application software that is running. This also means that the teacher does not have to be proficient in the software the student is using in order to critique their work. Interwrite takes a snapshot of the screen and then provides tools like different colored pens, highlighters, symbols and shapes that allow the student or teacher to draw on the image. It can also create a blank white or gridded screen as a means for making new drawings or additional comments.

The combination of Interwrite software and a touchscreen has a number of advantages over typical critiques at the computer. First of all, it provides a simple method for making visual comments directly on the screen without having to use application specific tools. If both the teacher and student have their own pens, it allows for the same kind of back and forth interaction that usually occurs during paper based critiques. With the addition of customized symbols, standard comments or notes can be added with a single tap on the screen. Most importantly, it provides a record of the interaction which can be saved and referred to later. Individual screens can be saved as graphics files and brought back into a CAD program for example as a guide to making modifications to the original work.

Student response to this type of feedback has been good, although it does take some time to get faculty comfortable with a new approach. Providing teachers with their own pens is essential to broad acceptance. Many teachers still find it difficult to give up paper based critiques of design drawings. As more and more work is done using digital media however, this type of system will be essential to effective critiques.

Application: Group Critiques and Formal Presentations
In addition to individual critiques, small group critiques are another important part of studio based teaching. Getting several students and a faculty together to take turns critiquing each student's work encourages peer to peer learning in a low pressure environment. These pinups are usually very informal and may occur spontaneously if the teacher observes common problems or similar questions among several students. Traditionally, each student pins their work up on a wall and they take turns presenting and discussing their work. This is simply not possible in the digital environment without a larger display that can be used in any location.

The best solution to this problem is a plasma screen with a touchscreen overlay system mounted on a mobile stand. This not only provides an image that is large enough for a small group to see, but it also can be used in the studio with all the lights on. This setup provides the same functionality described in the last section, but in a format that is suitable for small groups. Smartboads or projection systems can also be used, however, they are not very portable and require more lighting control in order to be effective. In addition to Interwrite software, Portfolio Wall can be an effective tool for these small group critiques. Portfolio Wall software uses a gestural interface and allows multiple images to be displayed on the screen at the same time. With simple movement of your hand or pointing device you can zoom in on a single image or make a side by side comparison of two or more images. The ability to compare images is particularly important to this type of critique. You can also annotate any image and save the comments for reference at a later time.

At the time of writing this paper we are waiting for our plasma screen to arrive so we have not had the opportunity to test it. This system has been used in a corporate environment by such companies as Fisher-Price toys as a tool for design review with great success.

Application: Teaching and Demonstration

Even in a studio setting there are times when it is necessary to give lectures and demonstrations on various principles and techniques. Sometimes this is done in the studio, at other times students are taken to classrooms that are designed for lecture courses. Although most faculty have finally retired their slide projectors or PowerPoint for lecturing, when it comes to demonstrating techniques most still use traditional methods. At Penn State every technology classroom still comes equipped with an overhead projector for those times when it is important to write or draw something in real time. Even faculty who use PowerPoint on a regular basis are forced to use an overhead projector or chalkboard for demonstrations. In other cases, mirrors or video cameras suspended above a table are used to project drawing demonstrations for a larger audience.

The use of a plasma screen or projection system with a pressure sensitive lcd tablet provides a much better option for this type of presentation. PowerPoint slides can be easily annotated, drawing demonstrations can be done using PhotoShop and Interwrite can be used to demonstrate any manual process with screen overlays.

The advantages of using a “digital chalkboard” include more flexibility in the media that is used during the presentation. Also, digital image, 3D models and animations can be integrated with hand drawings and techniques. Using one device for all aspects of a lecture and demonstration also streamlines the presentation and improves the effectiveness of the demonstration. Image quality is superior to the chalkboard or overhead projector and demonstrations can be recorded on screen and used as a reference source.

Student Response to this approach has been overwhelmingly positive. They appreciate the fact that the demonstration is clear and easy to see without having to look around the teacher or a hand that may be obscuring the view. Seamlessly moving between lecture and demonstration provides better continuity.

Application: Grading and Teaching Feedback

Grading design projects has often proved to be somewhat of a challenge for studio teachers. In the design arts, final drawings are usually submitted for evaluation. Sometimes these drawings are copies, which allow the teacher to write their comments directly on the drawings. Graphic symbols, like arrows and circles, show which part of the drawing particular comments apply to. In some cases, however, original drawings and renderings are submitted for evaluation. In this case, comments are made on a separate sheet of paper which makes it very difficult to specific comments to the visual elements in the drawings. In either case, this type of grading tends to be very time consuming and tedious. As more and more digital media is used to produce design drawings, students still must print them out in order for their teachers to grade them. In the case of digital media such and 3D models or multimedia, printed views are simply not enough information to properly evaluate the performance of the student, making them extremely difficulty to grade in a consistent way.

Grading with design projects using digital images and touchscreens, pressure sensitive lcd monitors or Tablet PC's make the grading process much more efficient and effective. Projects can be completed using traditional media on paper and digitally photographed or scanned into a digital format. Projects that are done on the computer in the first place, can be saved in their original format or as Adobe Acrobat or image files. For digital projects such as 3D models, multimedia, web sites or PowerPoint, Interwrite software works just as well for grading as it does for individual or group critiques. It can be used to add comments to anything that can be displayed on the screen. For two dimensional compositions, Adobe Acrobat provides a rich selection of tools that can be used to automate and streamline the grading process.

Either of these tools allows the teacher to add a wide variety of feedback to a project. In addition to using the pen to write comments like they would on paper, a teacher can also add custom graphic symbols, typed text and even audio comments to a project. Tablet PC's allow you to dictate comments into text boxes without having to type anything which can be a real time saver. Adobe Acrobat allows all the comments on a drawing to be listed and sorted for easy review. Clicking on a text comment will highlight the graphic on the drawing that is associated with the comment, making it easy for students to review. Since all these methods use digital media, grades can be returned to the students confidentially via email instead of placing marked up drawing on their desk in public view. Finally, when large drawings are returned with comments on them, they are usually the only copy of the comments so the teacher rarely has any record of the evaluation other than a letter grade. Using digital techniques the teacher always retains a copy of all comments made.

Student response to these grading techniques has been extremely positive. Students have expressed their thanks and appreciation on numerous occasions. They like getting a digital copy of their grade, the direct feedback on their work regardless of the format, as well as the organization and clarity of the presentation.

Conclusion

This past summer Kodak announced that it had stopped making slide projectors. In many ways this unnoticed announcement signaled the beginning of a new era in digital art and design. Just as slide projectors have been replaced with digital projectors, design drawings are increasingly done using digital media. It remains to be seen if traditional freehand design methods will become obsolete. Regardless of the media used for design, traditional studio teaching methods will continue to be essential to a design education. The use of touch and pen based computing will allow students and teachers to take advantage of digital design techniques without forfeiting the benefits of a studio based learning environment.

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Hawai'i International Conferences on Arts and Humanities
"Constructing Purposeful Websites"
Dr. Peggy Jolly
University of Alabama at Birmingham
Honolulu, January 2005

Constructing Purposeful Websites

Constructing any website is labor intensive, a daunting burden or a labor of love, depending on one's expertise and interest. Regardless, bringing order out of chaos is the goal of the work; creating an informational vision available at the click of a mouse is the reward.

Buying the skills of an architect to fashion the site's infrastructure is easy enough although trial and error of a less adept designer can also result in an accessible site. Content designers, too, exhibit a range of expertise. But the value of any site is its ability to clearly communicate its intended message to an audience, to provide useful and useable information, and to be easily navigated. Absent these attributes, the site has no purpose.

The site I want to consider is the University 101 page available at http://main.uab.edu/show.asp?durki=68447 . Through still under construction, the site went live in August 2004. While a portion of the continuing construction can be attributed to lack of time to write content, the site itself was built with the intent that it would continually

be added to, that materials would be updated and expanded to meet the needs of an evolving program.

History

University 101 is a critical thinking course required for students conditionally admitted to the University of Alabama at Birmingham--approximately one-third of each incoming freshman class. Based on the national model of First-Year-Experience programs, the course was piloted for a three-year study in 1994. Based on its demonstrated success in both retention rates and improved grade point averages, the course was given University status, funded by the Provost's office and administered through the General Studies Advising office. Campus-wide faculty staffs the course as part of their regular teaching load, and credit hour production for the courses accrues to the course instructor's department.

Using a common syllabus and course materials, instructors focus on three primary aspects of critical thinking: (1) identifying main ideas and supporting details; (2) understanding relationships among ideas in terms of cause-effect, chronology, and space; and (3) analyzing relationships among ideas to determine their significance. Just as these skills transcend any specific course, the materials used to discuss them are not limited to text; rather they also include numbers, graphs, charts, and other visuals.

Two years ago a web component was added to the U-101 course. This was in part a response to the University-wide inclusion of a computer literacy requirement in the core curriculum and in part to our tri-campus (University of Alabama, UAB, University of Alabama at Huntsville) mandate that by 2005 all courses must be identified as either "traditional," "hybrid," or "distant," depending on the extent to which they relied on technology for instructional delivery.

A final impetus toward developing an independent website for the U-101 course came when we were told that the space we used to house materials on the chemistry server would no longer be available to us. A Chemistry professor who taught a section of the course has provided that space, but his department deemed university-wide access as a potential security risk. That decision left us little choice but to find space devoted exclusively to the University 101 program.

Designing the Site

Committed to developing a site, we faced the two inevitable questions: where to secure space and how to design the site's content. The answers, we determined, would logically depend on the site's purpose. Rather than limit ourselves to simply resolving our immediate curricular needs, we determined to look at our opportunity in a more expansive way, to fashion a wider purpose for our site. Doing this, we identified five purposes that would guide our design:

1. Information Dissemination
2. Community Development
3. Curricular Needs
4. Faculty Resources
5. Publicity

To provide general information about the course, the opening page of the site, http://main.uab.edu/show.asp?durki=68447, includes links to four further pages: Objectives, History, Description, and Frequently Asked Questions. In turn each of these pages offers detailed information that addresses the general heading of the sub site. The *History* page, for example, chronicles evolution of the University 101 program from its inception to its current form, focusing on the University's mission to enhance the academic experience of the Conditionally Admitted Student population, while the *Description* page outlines specific curricular concerns common to each section of the course, including assignments, projects, and sample syllabus. The *FAQ* site provides answers to a range of questions that students may have about the program: why they are required to enroll, what types of assignments they can expect, how the course grade will affect their Grade Point Average. Through these different sub sites, this page provides an overview of the University 101 program to three constituencies: the general public, U101 faculty, and U101 students.

To build community, both for students and faculty, we provided two separate pages. The first, titled *Faculty, Advisor, Staff Bios*, includes photos as well a brief biographical sketches, academic affiliations, and office locations of those who work in the development and delivery of the University 101 program: http://main.uab.edu/show.asp?durki=68447. Although the Program Directors and Advising Staff remain constant, the teaching faculty changes from term to term. Because of the University's physical layout and the tendency to isolate us in our own schools, it is not unusual for the teaching faculty across disciplines to not know each other during their initial term in the program. Similarly, incoming students will not have had the opportunity to meet faculty and may not be aware of the faculty member's academic expertise. Providing this site offers a quick overview that can facilitate introductions.

A second community-building page is titled *Student Speak*. This location provides students with an opportunity to publicly speak to each other and to the faculty about their views and experiences in the University 101 program. Faced with the question of whether to make this page directly accessible to the students or to censor the comments before printing them, we decided that prudence was the better tactic. The comments, whether solicited or spontaneous, are screened and edited before being uploaded to the page.

To meet the curricular needs of the course, one of the most important purposes of the site, we included three separate pages. The first, titled *Course Matters*,

http://main.uab.edu/show.asp?durki=68447, includes sub pages that focus on common course material and projects required for all sections of the course: Syllabus, Advisor's Project, Course Project, Seminars, and Library. A second page, generically called *Web Component*, features information that ranges from a simple link to the WebCT program, to step-by-step text and visual instructions for using the WebCT course tools, to an explanation of how virtual classes work, to sample web assignments that students may encounter. A third page, called *Learning Communities*, details the purposes and practices of paired classes. University 101 offers both two-course and three-course Learning Communities, separate pages are provided for each of them.

To provide faculty resources, the initial reason for the site, we designed a page called, aptly enough, *Faculty Resources*, http://main.uab.edu/show.asp?durki=68447. Password protected so that it is available to faculty and staff but restricted from others, this location houses pedagogical and assessment material developed for the courses: Assignments, Charts, Exercises, Logic, Tests, and Miscellaneous. Information on these pages is both solicited from the instructional faculty as well as developed by the Program's Advisory Board. These pages are, perhaps, the most useful—and used—pages of the entire site.

To publicize the course, we included three additional pages: *Kudos, Successes,* and *Other Programs*, http://main.uab.edu/show.asp?durki=68447. The *Kudos* page is essentially our "brag book." Its sub pages of Awards, Conference Presentations,

UAB Support, and Publicity feature the achievements of individuals involved in the program as well as the larger program itself. For example, Nancy Walburn, the Director of General Studies received the NACADA Outstanding Advising Administrator Award in 2003, a number of U101 proposals have been funded by the UAB Educational Foundations Grant, and the program has been featured at a dozen or more conferences during the past few years.

The *Success* page focuses on the "hardcore" statistical data that our program relies on: Grade Point Averages, Retention Rates, Assessment Levels, and Quality Education Program (QEP) Learning Outcomes. While the individual accolades and invitations are nice to receive, it is the analytical data that keeps us in business.

The last page, simply titled *Other Programs*, http://main.uab.edu/show.asp?durki=68447, features selected First Year Experience programs throughout the country. This information offers our students—and other visitors—the opportunity to see how others have envisioned their work with at-risk students. By comparison, our programs exemplify some similarities although they are noticeably different in others. This page reminds us that there is no one-way to see the world, no single solution to a given problem.

Our site, too, reminds us of our uniqueness. Our project is live; it meets an immediate need that we faced. We trust it clearly communicates an intended message to a targeted audience in an easily navigable form.

1. "Preserving Inuit Heritage through Arts and Crafts"

2. Dr. H. G. Jones

3. University of North Carolina

4. UNC Campus Box 3930, Wilson Library
Chapel Hill, North Carolina 27514-8890

5. hgjones@email.unc.edu

6. **Abstract**

PRESERVING INUIT HERITAGE THROUGH ARTS AND CRAFTS

Paper for ICAH, January 13-16, 2005
(30 minutes, including text and slides)
Equipment requirement: Lectern, 35 mm. Carousel Slide Projector, Remote, and Screen

Once isolated from the remainder of the world that they did not know existed, and without a written language with which to convey the story of their past, the Inuit (the Eskimoan people of the Canadian Arctic) until recently were limited to transmitting their history through oral tradition and through skillfully shaped tools, utensils, weapons, toys, and other implements carved from stone, bone, and other natural materials.

From earliest contact, Qallunaat (whalers and other outsiders—"people with heavy eyebrows") traded manufactured goods for the most appealing of these carvings, but it was only after World War II that a market was developed in Southern Canada, the United States, and Europe, where "Eskimo carvings" have become increasingly popular.

Almost simultaneously, two alien art forms, tapestry weaving and stonecut printmaking, were introduced to the Inuit, and in the past half century Inuit art has flourished until today it is a chief source of income for hundreds of Inuit carvers, weavers, artists, and printmakers in the huge (one-fifth of all Canada) but sparsely populated (28,000 people) new territory of Nunavut. A remarkable feature of all three mediums is that an ancient culture is transmitted through them in terms of skills demonstrated, beauty attained, and "old ways" captured visually. Inuit art incorporates history and ethnicity with art.

Having been in the Canadian Arctic when these new arts and crafts were introduced, and having returned annually for more than 30 years, I have had the opportunity to see and photograph the remarkable birth and maturation of this new phenomenon, Inuit art. In a 30-minute paper, illustrated with slides made in the remote settlements over the decades, I will demonstrate how an indigenous people share their traditions with the outside world through sculptures, tapestries, and limited-edition prints.

ABSTRACT

1. Title: Key Classes and Textural Dissonance: An Instrument-Specific Study of Modulation in Selected Early Romantic Music for the Guitar (1799–1840).
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6. Abstract and/or full paper: Abstract below

This paper undertakes a variety of approaches, both traditional and new, to early Romantic music for the six-string guitar. Specifically explored are the means by which the textural and registral limitations of the instrument itself result in a unique set of voice-leading and structural schemata, and how these schemata relate to the music for other instruments of the time. Of primary importance in this regard is the introduction of the *key class*, an original classification scheme that studies modulation from an instrument-specific viewpoint. From the perspective of the key class, compositions can be understood in part through a narrative of *textural dissonance* and resolution, which often can amplify and elucidate the deeper tonal structural levels. Of primary importance in this study are the 36 Caprices, op. 20, of Luigi Legnani (1790–1877), which are short, virtuosic showpieces with interesting tonal structures, and they use all major and minor keys.

a. Title: Women Refusing the Gaze in *Beowulf* and Tarantino's *Kill Bill, Volume 1*
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Abstract

Traditional interpretations of the character of Queen Thryth in *Beowulf* have followed the *Beowulf* poet's lead in that most scholars have demonized Thryth because she has her retainers killed for 'daring to stare at her.' This essay seeks to overturn these interpretations of Thryth as a "terrible Queen" by demonstrating that her decision to have the men killed represents in literature a rare appearance of *the refusal of the gaze.* This essay further extends and applies this new theory of the refusal of the gaze to film, by building on the theories of Laura Mulvey, Jacques Lacan, and Todd McGowan, and uses the example of Tarantino's *Kill Bill, Volume I* to show how the refusal of the gaze represents not only an alternative way of reading gender in literature and film, but that it also overturns traditional theories of spectatorship in cinema: The theory of the refusal of the gaze reveals women not as 'passive objects of the male gaze', but rather as active constituents in the control of their own spectatorship.

Women Refusing the Gaze in *Beowulf* and Tarantino's *Kill Bill, Volume I*

By Jessica Hope Jordan, Ph.D. graduate student, University of California, Davis

Like fantasy, film is a knife that cuts in both directions: it can provide crucial support for ideology, but it can also [...] take us to an encounter with the gaze that would otherwise be obscured in our experience of social reality--Todd McGowan[1]

In the "Thryth Digression" in *Beowulf* (lines 1925-1962), the decision by Queen Thryth to execute her retainers for openly daring to stare at her (*eagum starede*), spurs a comment by the *Beowulf* poet that suggests an underlying cultural patriarchal assumption that a woman should passively accept being the object of the male gaze:

1940 Ne bi [2] swylc cwenlic eaw
idese to efnanne, eah e hio aenlicu sy,
aette freo uwebbe feores onsaece
aefter ligetorne leofne mannan.
(Klaeber 73)

1940 Such is no queenly
practice for a lady, though peerless she be,
a peace-weaver taking, because of *pretended affront*, the life of a loving man!
(Osborn 31)

1940 Even a queen
outstanding in beauty must not overstep like that.
A queen should weave peace, not punish the innocent
with loss of life for *imagined insults*.
(Heaney 132)

[1] See Todd McGowan, "Looking for the Gaze: Lacanian Film Theory and Its Vicissitudes." 2003. 39.
[2] Old English runic letters must be hand drawn in here on a hard copy since modern fonts do not accommodate these.

In the original text, the *Beowulf* poet appears to question the validity of Thryth's motive for having the men killed. Whereas Osborn calls it a “pretended affront” and Heaney refers to it as “imagined insults,” Thomas Shippey translates *lige-torn* more harshly as a “lying accusation”:

> It is not a queenly custom (*cwenlic eaw*), the poet comments, for a peace-weaver (*freo webbe*) to seek lives by lying accusation, however beautiful she may be. A natural explanation so far would be that "Modthrytho" resents being looked at, and charges those who do it, falsely, with a form of sexual harassment. (3)

In this passage, implicit within the idea that it is an extreme action for Thryth to have her retainers killed for staring at her, is also the idea that being stared at by men is something Thryth should just peacefully accept. Thus, the poet's qualifying her "affront" or "insult" as one that is "pretended" or “imagined" (*lige*-torn) seems to suggest that Thryth is just making up excuses for killing these men who stare at her when, instead, she should just passively accept or even welcome their appropriating gaze.

Certainly, most would agree that having these men executed for merely gazing at her is an extreme response to what seems like a small case of being insulted. For her apparent excess, Shippey further refers to Thryth as "a queen who [...] behaved cruelly and irrationally, having men executed for no reason" (1), while Klaeber calls her "a haughty, violent maiden" (187). However, in this paper, I question the poet's comment that having men stare at her, is a "pretended" and not a real "insult." When men stare at a woman in a sexually desiring way, can this not be considered, as Shippey also states, a form of sexual harassment? More importantly, I assert that Thryth's refusal to be the passive object of the male gaze represents a rare appearance in literature of *the refusal of the gaze.*

In explaining the dynamics of the refusal of the gaze, I first look at its instance in the Thryth digression in *Beowulf*. I then turn to film theory, following with an example of the refusal of the gaze in postmodern cinema in Quentin Tarantino's *Kill Bill, Volume I* (2003), while I explore this dynamic through the critical lens of Lacan's theory of the gaze as it is expressed in Todd McGowan's article "Looking for the Gaze: Lacanian Film Theory and Its Vicissitudes." While the characters of Thryth in *Beowulf,* The Bride (Uma Thurman) and several other active female characters in *Kill Bill,* are representations of women separated by over a thousand years, I assert that in their refusal of the gaze, they all represent very similar constructs of the feminine.

The significance of the refusal of the gaze for both literary and film theory is that when representations of women appear that refuse to be the passive objects of the male gaze they reveal a more accurate view of Lacan's dynamic of the gaze in that: 1) in response to the refusal of the gaze, the controlling male gaze (spectator) now becomes the passive object (*objet petit a*) which is subsumed into 2) an identification within the (on-screen) object 3) wherein the now passive *objet petit a* desires to be controlled by the (on-screen) object and, 4) in this desire to be controlled by the object, the *objet petit a* desires a confrontation with the "trauma of the Real."[3] In other words, by refusing to be the passive object of the male gaze, representations of women in postmodern cinema, as well as our example in Anglo-Saxon literature, Queen Thryth, are fulfilling a masochistic desire[4] by the spectator to be controlled by its object. By killing off the male gaze, and by refusing to be the passive object of spectatorship, the women are, in effect, killing off

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[3] This section is a paraphrase of Lacan's theory as presented by McGowan.

[4] For a discussion of spectatorship as a masochistic desire see Gaylyn Studlar, "Masochism and the Perverse Pleasures of Cinema." Film Theory and Criticism. Eds. Gerald Mast, et al. Oxford: Oxford UP, 1992. 773-790.

their spectators, turning them instead into passive objects to be controlled by an active woman's image, wherein the spectator becomes subsumed into the realm of the imaginary, and mesmerized by a traumatic encounter with the Real.[5] Furthermore, by refusing the gaze, the active female characters break the "fourth wall of cinema" in that they refuse to be passive, and yet, they also paradoxically reinforce this wall by drawing attention to its function as a line of demarcation between the spectator and the image, the real and the imaginary. As such, this paradox represents a dynamic of desire never realized, a reading which is in keeping with Lacan's theory of desire.

The relationship of this primarily cinematic dynamic to that of the character Thryth in *Beowulf* is that by Thryth's killing off her own spectators, i.e., having them killed, she demonstrates the presence of women who are in positions of power over men. Furthermore, her presence also reveals, from the *Beowulf* poet's anxiety about her "unqueenly" behavior, that women like Thryth posed a real threat to a patriarchal order. If, as according to Carol Clover, masculine traits in both women and men were valued by early Scandinavian and Germanic cultures,[6] then the *Beowulf* poet is commenting on the Christian views that overlie the values of a pagan society by implying that Thryth should just put up with being a passive object of the male gaze. This attitude, according to Klaeber, is consistent with "the author's strong disapproval of Thryth's behavior (1940) [and] is quite in keeping with his moralizing, didactic propensities shown in various other passages" (190).

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[5] For Lacan the Real exists only in the realm of the imaginary thus representing a desire never satisfied.
[6] Carol Clover, in her article, "Regardless of Sex: Men, Women, and Power in Early Northern Europe demonstrates that there existed different "gender paradigms" than what are generally known in modern day culture.

The further significance of Thryth's refusal of the gaze lies within the interest of feminist literary criticism. Damico and Olsen write that

> most interpretations of women in Old English literature make them resemble the passive women of the novel, which [...] describes men of action and women of emotion. Such a general characterization does not reflect the actual representation of women in Old English literature. Rather, it reduces them to comfortably familiar entities. It rehabilitates stereotypes rather than "deconstructs" them. (12)

Through our critical recognition of Thryth's refusal of the gaze, as well as her active control of it, we rescue Thryth from her previous representations in literary criticism where she has been depicted as just a murderous queen[7] who suddenly becomes rehabilitated from her old, bad ways after she meets a man she truly loves, her subsequent husband, King Offa of Mercia. In our interpretation, Thryth, then, becomes a woman who refuses to put up with being a passive object of the male gaze.

As a way of providing support for this interpretation, I will mention that Carol Clover has pointed out that traditional interpretations of women as passive beings in early Scandinavian and Germanic literature belies "an aspect of early Scandinavian culture, and perhaps Germanic culture in general, [of] a sex-gender system rather different from our own, and indeed rather different from that of the Christian Middle Ages" (364). Instead of our more familiar modern idea of rigid sex roles, Clover designates in early Germanic culture an opposition of the attributes of what she names *hvatr/blau r* (hard/soft), a distinction that works more as "a gender continuum than a sexual binary" (377). Possessing the attribute of being *hvatr* was apparently highly valued regardless of biological sex. Thus Thryth can be seen as a queen who possessed the positive cultural attribute of being *hvatr*. Of course, the very fact of her aristocratic position gives an added dimension to her actions in that she functions not only as capable of transcending

[7] Almost all previous criticism on Thryth designates her as such.

gender expectations, but that she also possesses her power by virtue of her class position. Damico refers to this advantage when she writes that "the social position of the aristocratic woman in Anglo-Saxon England was much stronger than previously believed. [...] Anglo-Saxon women exercised considerable economic independence and enjoyed a relationship of 'rough equality' to men" (14). Thus Thryth's "unqueenly custom" represents much less an anomaly in the gender practice of her own culture than it does the *Beowulf* poet's own Christian cultural beliefs which overlie the beliefs of a pagan society.

With respect to this idea of "*hvatr*" women, Clover, Virginia Woolf, and other feminist scholars have often remarked that "from the outset of the scholarly tradition, readers have been startled by the extraordinary array of 'exceptional' or 'strong' or 'outstanding' or 'proud' or 'independent' women--women whose behavior exceeds what is presumed to be custom and sometimes the law as well" (Clover 366). One can think of many such examples: Cleopatra, Dalila, Judith, and St. Margaret, among others. Interestingly, these women are often, as is Thryth, associated with a knife or sword, and thus appear in literature as the so-called "phallic women." Cleopatra "wears" Marc Antony's sword, while Dalila cuts off Samson's locks with a knife, just as Judith wields a heavy sword to cut off Holoferne's head. Queen Thryth has her potential suitors put to death with a "damascened sword." In traditional literary criticism, as Damico and Olsen discuss, when women wield such phallic power as "in the case of Lady Macbeth and Medea, for example, the woman's emotional life loses in intensity and effectiveness because they have been presented as unbalanced, a situation that does not occur with a hero like Lear"(10). For her "unqueenly custom" of defying patriarchal cultural assumptions that a queen should be a peace-weaver (*freo uwebbe*), like Hygd, the "good

queen," as well as for her having the men executed, Thryth is demonized as a "terrible queen" by many literary critics. For example, when discussing "what makes a good queen," Shippey writes that while "the 'Modthrytho' of *Beowulf* seems to bear no hint of adultery, one might say almost the reverse: she is too touchy, not too free with her favors" (5), the implication here being of course that perhaps Thryth should be a little more willing to "give it up," as it were, to her sexually harassing suitors.

In turning now from Thryth and literary criticism to film theory and *Kill Bill,* it is first necessary to give further background on the theory of the gaze in cinema. The theory of the gaze was established by Laura Mulvey (1975), who appropriated Lacan's theory of the mirror stage. Mulvey's film theory article explains how in Classical Hollywood cinema the camera's subjectivity represents a controlling and objectifying male gaze where women are always the passive objects of that gaze. Since its appearance, Mulvey's theory of the controlling masculine gaze has been widely applied across many disciplines, including interpretations of literature as well as film.

However, according to Todd McGowan, Mulvey's theory of the controlling masculine gaze represents only half of the Lacanian dynamic of the gaze. McGowan explains that the desiring of the *objet petit a* is an aspect of Lacanian theory that has previously been left out of the main discourse of feminist film theory. By including a fuller background of Lacan's theory of the mirror stage, I demonstrate how the theory of the gaze is not limited to just a subjective, male controlling gaze (spectator and/or camera subjectivity) that objectifies the (passive) screen object, but that it is a gaze that *also*, in its desiring of the object (screen image), becomes drawn into the object itself (identification), wherein the object (image) then "sees" the subject (spectator); thus

within the process of gazing is implicit the idea of being gazed at in return. This return of the gaze is an idea that has previously appeared in art criticism in relation to the work of Hans Holbein, *The Ambassadors* (1533), as well as DaVinci's *Mona Lisa* (1503-06), who breaks with social convention when, instead of averting her gaze, she gazes directly at her viewer. This represents a more fluid dynamic of the gaze than has previously been represented in feminist film theory.

While this "looking back" can certainly function as an instance of *voyeur vu* in cinema, in the case of the Thryth digression, the object of the gaze "Thryth," rather than just merely returning or only internalizing the gaze, recognizes an attempt at the controlling gaze and takes control of it herself, defiantly refusing the male gaze. Through her execution of the retainers who dare gaze at her, Thryth turns the gaze back onto the subjects themselves, thereby breaking the male gaze or the 'fourth wall of cinema' as she kills off her own spectators. *In her refusal of the male gaze, Thryth fights back.*

Postmodern cinema offers many examples of women who fight back, as Elaine Showalter discusses in her article "Sex Goddess," wherein she examines constructs of the feminine in postmodern cinema. She finds them to be an uneven admixture of strong and weak, hard and soft, or as we say for the purpose of this article, *havtr/blau r.* Showalter writes that "feminist motifs recur in several of these films, [including] women's athleticism and strength" (38). Quentin Tarantino's *Kill Bill, Volume I,* provides a great example for looking at *hvatr* constructs of the feminine in that the film is primarily about strong, athletic women who possess power over men and each other through their wielding of swords, knives, and even a mace.

The story centers on the protagonist known only as The Bride (Uma Thurman). She seeks revenge on the mysterious Bill, a character whose image Tarantino keeps out of the camera's gaze, and a character who, interestingly, also describes himself as being "the most masochistic." In addition to Bill, The Bride also seeks revenge on a number of her potential assassins who are responsible for killing her entire wedding party and her unborn fetus, as well as for putting her in a coma for several years during which she was repeatedly raped by a male nursing home aide. The Bride, in a perversion of the *Charlie's Angels* motif, had previously been one of Bill's "killer girls." In pursuit of her revenge, she obtains a superior sword made of "Hattori steel" which enables her successfully to kill her potential assassins. That most of her potential assassins are women themselves adds to the film's interest in representing strong women. What the spectator sees then, instead of women as passive objects, are images of active women wielding swords against numerous men and each other in a series of some of the bloodiest battle scenes in the history of cinema.[8] Thus Tarantino deconstructs Classical Hollywood cinema's representation of passive women as well as Mulvey's theory of the woman as the passive object of the male gaze by making his female characters all women who refuse the gaze.

A perfect example of this refusal of the gaze is shown in a still shot from the film where The Bride, who is holding her Hattori steel sword at a cross angle, is surrounded by several Japanese male would-be assassins. Their own swords are held in the position of erect penises. Tarantino heightens this idea of the refusal of the gaze by having the male assassins wear "Cato-like" black masks, drawing the viewer's attention to their

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[8] In a previous publication "Blood Fetish and Voyeuristic Pleasure in the Cinema of Martin Scorsese," I had written that *Gangs of New York* presented the bloodiest battle scenes in cinema. With *Kill Bill, Volume 1,* Tarantino has superseded Scorsese's predilection for blood spectacle in cinema by creating scenes of blood violence that are ludicrously excessive.

attempt to possess her with their gaze as well as with their "phallic" swords. The Bride kills them all in the next scene. Another still from the film shows O-Ren-IishiI (Lucy Liu) staring directly at the viewer with a large sword blade held right at eye level as she all at once 1) returns the gaze, 2) refuses the gaze, 3) and draws attention to the line of demarcation between herself and the viewer, between the imaginary and the real. In the dialogue below, another character in the film, the adolescent girl Go Go Yubari, who works for O-Ren-IishiI as one of her protectors, and who proves even more violent than her elders, seems to move beyond just refusing the gaze, to actively seeking out the gaze in order to wreak her revenge on men who display it. In this excerpt from the film, she toys with a Japanese businessman who tries to pick her up in a bar:

Japanese Businessman: Do you like Ferraris?

Go Go Yubari: Ferraris...Italian trash. [*Japanese businessman giggles*]

Go Go Yubari: Do you want to screw me? [*Japanese businessman giggles again*]

Go Go Yubari: Don't laugh! Do you want to screw me, yes or no?

Japanese Businessman: Yes.

[She stabs him in the stomach with a Samurai short sword]

Go Go Yubari: How about now, big boy? Do you still wish to penetrate me?...Or is it I who has penetrated you?

The statement "Do you still wish to penetrate me? Or is it I who has penetrated you?" captures the very essence of the refusal of the gaze. Thus what the viewer finds in the refusal of the gaze is contrary to what Lacan describes as

> the process at work in the visual drive: What is the subject trying to see? What he is trying to see, make no mistake, is the object as absence.... What he is looking for is not, as one says, the phallus--but precisely its absence. (qtd. in McGowan 36)

According to Lacan, this absence can be posited as the feminine and/or maternal. In opposition to Lacan, by presenting these examples of the refusal of the gaze, I am, in essence, asserting that while the spectator may expect to find the object as absence at the center of the screen image, where the refusal of the gaze appears the spectator finds instead, embodied within the feminine, the presence of a phallus. This encounter with the phallus as an absent presence thus registers for the spectator as a “traumatic encounter with the Real":

> Grasping the gaze as objective rather than subjective transforms our understanding of the filmic experience. Instead of being an experience of imaginary mastery (as it is for traditional Lacanian film theorists), it becomes--at least potentially-- the site of a traumatic encounter with the Real, with the utter failure of the spectator's seemingly safe distance and assumed mastery. The crucial point here is that not only is this failure of mastery possible in the cinema, but it is what spectators desire when they go to the movies. (McGowan 29)

Thus the discovery of the refusal of the gaze is a dynamic which has potentially profound implications for feminist representations of women in both literature and cinema, as well as in literary and film theory, in that its appearance deconstructs traditional representations of women as passive objects or "unbalanced" or "terrible," revealing instead representations of *hvatr* women. In this view, women appear as active constituents in the construction and control of their own spectatorship.

As further representations of the refusal of the gaze are identified within literature and film, continued scholarly analysis will reveal the presence within our history and culture of a rich legacy of *hvatr* women who, through their refusal to be passive objects, bring forth much-needed examples of strong women who quite often attempt, and more often achieve, control over their own destiny.

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My thanks to Marijane Osborn for her helpful comments on this essay.

The Bride (Uma Thurman) refuses the gaze in Quentin Tarantino's *Kill Bill, Volume I.* (Miramax 2003)

O-Ren-Ishi (Lucy Liu) returns the gaze, refuses the gaze, and gives the spectator a traumatic encounter with the Real in Quentin Tarantino's *Kill Bill, Volume I.* (Miramax 2003).

“We’re Like the Black People of Asia, Word Up!”

Filipino Americans Negotiating Ethnicity and Race in Spoken Word

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Spoken word has taken off as a mode of expression for young Asian Americans, and particularly for Filipino Americans. In their poetry, they grapple with issues of identity, including race and ethnicity, which they contextualize within political struggles for social justice. As Asian Americans, they are caught within the gray area (or, perhaps more appropriately, “brown area”) between American racial politics of black-and-white. For Filipino Americans, this territory is especially nebulous because of our mixed (“halo-halo”) heritage—not entirely Asian, not quite Latino. Through spoken word infused with the rhythms and language of hip hop, Filipino American poets declare their allegiances to communities of color. How do these poets position themselves as Filipino Americans within the larger, coalitional identity of “people of color”? How does their chosen medium of hip hop inform their positions, and how does it “color” the poets? Finally, what do their performances say about the future of progressive politics?

I seek to address these questions by investigating an ongoing spoken word open mike forum in Los Angeles called Nommo. In this space, primarily African American capoeira practitioners open the evening with improvisational sparring. The open mike follows, hosted by Filipina poet Alfie Ebojo, and usually members of the LA Filipino spoken word group, Balagtasan Collective, step up to test out new poems. People of color normally dominate this forum, and the “of color” aesthetic permeates the performances through hip hop styling.

In this paper, I argue that American ethnic- and race-based political and cultural movements have roots in and retain influences from African American precedents, particularly the Black Power movement, the Civil Rights movement, and the Black Arts movement. Thus, African Americans, as “racial trailblazers,” continue to set the standard that defines what and who is “of color.” Likewise, hip hop and spoken word trace origins to African American arts such as jazz and blues, which other youth of color adapt to reflect both the particularities and similarities of their own experiences. Despite appropriation and mass consumption, hip hop maintains its currency as a symbol of “of color” authenticity.

The Filipino poets draw on these two race markers—movement politics and spoken word—to position themselves as people of color. At the same time, they also draw on biologically-based notions of difference to establish their particularities as *Filipinos*—notions that reify essentialism and race divisions. This runs up against the fundamental aporia that faces artists/activists who organize around race issues: how to fight racism and organize across boundaries when the foundational principles of your movement undermine your goals. In this

paper, I examine these contradictions as manifested in performances and explore alternatives drawing from corporeality, place and glocality, and performance theory.

TITLE: *Formal Structure as an Expressive Element in a Musical Artifact*

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Formal Structure as an Expressive Element in a Musical Artifact

(Dennis Kam, University of Miami)

We, as listeners as well as composers, usually do not think of formal structure as an expressive element in a musical work. When, or if, music is acknowledged to be expressive, other parameters such as melody, harmony, rhythm, and dynamics – not to mention text – are usual elements pointed to or given priority in musical discourse about expression. Among composers, a common notion is that form is primarily an organizing agent of musical content: a factor that contributes coherence to a musical artifact. In other words, formal structure is a frame or container for musical content. Thus formal structure falls in the pragmatic domain in the composition process: a way of achieving clarity, organization – or some kind of directionality in one's work.

During the 20th century, the natural and concomitant development of innovative approaches to form due to exploration and acceptance of new musical resources (materials) was evidence that form, formal procedures, or processes in music were considered important. The large number of approaches to form emerged – ranging from variations of common classical types to special interests and experimentation in the perception of the "musical" rather than the "compositional" process – demonstrated the significance and power form might have in the musical fabric. In music analysis, form is usually given attention and is considered an essential element. However, as other parameters of music often receive more weight – making form a servant to musical content – discussion of its power is often neglected.

This presentation will call attention, not only to the general power of form, but more specifically to the *expressive* side of it. I will try to demonstrate that aspects of form such as length, rate of information, types and order of sections, continuity, etc. have expressive effects. The music of Cage to Reich to Tippett will be discussed to show the divergent approaches that have emerged in the 20th century. In addition, versions or variations of my works having alternate formal structures will be compared to demonstrate the forceful effects of form and the use of it as a tool for expressive purposes in the compositional process.

A proposal to the Third Annual
Hawaii International Conference on Arts and Humanities

Title: Enhancing the Mission, Role, and Scope:
Designing the Iowa State University Accreditation and Planning Web Site

Topic Area of Submission: Graphic Design

Format of Presentation: Panel Session

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Enhancing the Mission, Role, and Scope:
Designing the Iowa State University Accreditation and Planning Web Site

Objectives:
This panel will examine of how a collaborative team of faculty, staff, students and administrators can work together to create a unique, interactive web site for the university accreditation process. It will show how the visual arts affirm and enhance the strategic goals of a university by taking a leadership role as visionaries and communication experts.

Abstract:
Vision, invention and communication are hallmarks of visual design. The creativity that is central to all forms of visual art can also be used to enhance visual and verbal communication: to tell stories, to set the scene. This approach to communication was used to create the essence of ISU in a unique collaboration between faculty, staff, students and administrators in creating the Iowa State University Accreditation Web Site. A first of its kind, this site uniquely combines the 100 visual stories of ISU with verbal stories, strategic plans, mission statements, and the statistical data that make up this web site.

The research, planning, design, and implementation of this site lead to many discoveries that will become a benchmark for other universities in the accreditation process. Initial research discovered that few if any university had completely and successfully used the web in their accreditation processes. And of those examined, none attempted to create the integration of visual and verbal information that truly captures the essence of university life.

It was also discovered that administrative support is critical to the success of such a process. Complete support and confidence at all levels of administration was a determining factor in creating this unique collaboration. Team members were carefully selected for their ability to provide the skills and leadership necessary to successfully complete the site. Through dialogue, the web site team created interactive concepts for the web site model. It was decided that those using the site should also be given the opportunity to respond to it in a meaningful way. And the design was created to support this form of interaction and feedback.

Because many of the team members are designers, we are drawn to visual imagery. However, strong visual images can easily influence people's decisions, not only in everyday life, but also when making design decisions. Web design is no exception. Often, great visual design is not necessarily the best or most appropriate for web design due to technical issues such as programming. It is well known that content, information structure, and navigation are also important considerations in the design of a web site. Implementing the site involves pre-production, production, and maintenance. Through this design process we had to answer questions such as how can all of these people overcome disagreements and make a final design decision that satisfies everyone? How can designers and decision makers come together to create the best design solutions? This presentation will examine presentation methods, tools, and techniques for each step of this web site design project through a case study. It will show ways that other visual art departments might take on leadership roles in communication and visualization in the university setting.

The followings are the area each panel will present at the conference.

Roger Baer: Web design is an interdisciplinary team project with content providers, designers, programmers, and clients. Planning and management are integral parts in completing a web

project successfully. As a director of the accreditation web site project, he will present how to plan the project, create a team of people for the project, manage the process of designing, and promote positive interactions between university administrators and the creative team.

Sunghyun R. Kang: It is well known that content, information structure, and navigation are also important considerations in the design of a web site. Implementing the project involves pre-production, production, and maintenance. User testing determines which navigation is the best for usability by the target audience. Methods for user testing of prototypes and accessibility issues will be discussed.

Debra Satterfield: Concept presentation is vital to the acceptance of the project. Helping people understand the connections between research, creative concepts, and final design deliverables is critical to success of a team project. The importance of presentation styles and critique methods will be discussed and analyzed.

A proposal to the Third Annual
Hawaii International Conference on Arts and Humanities

Title: Integrating Written, Oral, Visual, and Electronic Communication Across a University Curriculum

Format of Presentation: Paper Presentation

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Topic Area of Submission: Visual Art

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Integrating Written, Oral, Visual, and Electronic Communication Across a University Curriculum

Objectives:
To examine how existing curricula can be used to integrate written, oral, visual, and electronic communication methods into college level courses. This paper will examine several intervention strategies and discuss how they can be used to equip instructors to effectively include and evaluate communication strategies through the context of a students major coursework.

Research Method:
A case study on a model of intervention for colleges and universities in introducing written, oral, visual, and electronic communication modes into the academic curriculum at all levels of instruction.

Abstract:
New information technology has changed the ways that we communicate in everyday life. It has also changed the expectations that business has for students entering the job market. It is no longer sufficient for a student to only be proficient in his or her subject area. The internet has made visual and verbal communication an essential part of life. E-mail and multi-media have changed how we communicate in business and how we present our ideas to others. In order to prepare students for this new communication environment, Iowa State University (ISU) has developed new communication instruction techniques for students. This new paradigm of communication teaching is referred to as ISUComm. It utilizes new strategies for freshman English designed to enhance their communication skills not only written and oral communication, but also in visual and electronic communication. This course is followed up communication projects that are integrated into major area courses with career-specific goals and objectives. ISUComm is a unique pilot project. The purpose of this presentation is to examine the interdisciplinary work between the departments of English and Art and Design at Iowa State University, and their effectiveness in enhancing students' communication skills in preparation for jobs in the information age.

Title: *A Content Analysis of Qualitative Research Dissertations in Music Education, 1998-2002*

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Abstract:

The purpose of this study was to analyze the contents of music education dissertations written from 1998 through 2002 that used qualitative research methods. I analyzed 144 dissertation abstracts to determine the degree type, year and country in which the dissertation was written, type of qualitative research methods used, and topics. Results showed that the Ph.D. was by far the most-awarded degree, followed by the Ed.D., D.M.A., and Other. However, qualitative Ed.D. degrees were a considerably higher percentage (25.36%) of all music education Ed.D. degrees awarded during the time period than were the qualitative Ph.D. degrees (17.98%) of all music education Ph.D. degrees awarded. Essentially, one in four authors who earned the Ed.D. in music education wrote a qualitative dissertation. Overall, the 144 qualitative dissertations in this study were 13.70% of the 1,051 music education dissertations written in 1998-2002. The number of qualitative dissertations written per year ranged from 22 to 32. Although some authors identified their dissertation as simply "qualitative," most specified the type of data collection and analysis method they used. Case study was used most, followed by ethnography, participant observation, phenomenological, focus group, naturalistic, and others. Some authors who wrote case studies labeled them as being collective, comparative, group, historical, intrinsic, longitudinal, multiple, and multi-site. Music programs (academic, geographic, and religious) were the most researched topics, followed by multicultural, ensemble members, instructional strategies, teacher education, and others.

Choir Acoustics: "Voicing the Choir"

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Choir Acoustics: "Voicing the Choir"

Having written and published several articles on the acoustical aspects of choral singing and having served as second author on the chapter "Choir" in *The Science and Psychology of Music Performance: Creative Strategies for Teaching and Learning* (published by Oxford University Press, 2002), I am continuing my collaboration and writing with Dr. Sten Ternström (Royal Institute of Technology, Stockholm, Sweden) on this same topic. Our collaborative intent is to write a book (*The Choral Voice* –or- *Voicing the Choir*) on the acoustical considerations of choral singing. This future book would be the first of its kind in our field of choral music as well as in acoustics.

Currently there are many dissertations, journal articles, and books which discuss in great detail the laws of physics as applied to musical sound, the acoustical properties of the solo voice, and architectural room acoustics. There is, however, very little research written specifically on the acoustics of choir singing. The main researcher in this area is Sten Ternström, an associate professor in the Department of Speech Communication and Music Acoustics at the Royal Institute of Technology in Stockholm, Sweden. His dissertation titled *Acoustical Aspects of Choir Singing* and related journal articles authored by Ternström form the basis of available research and written documentation in the area of choir acoustics. In his writings, Ternström describes various aspects of choral sound in acoustical terms, taking into account the acoustics of voice production, the acoustics of rooms, and the psychoacoustic properties of auditory perception—these being all relevant and applicable to the production of choral sound. Ternström's goal has been to bring together and apply existing knowledge and methodology from these three fields and discover how each affects the individual choral singer as well as the choral ensemble.

Even though most choir directors are aware of the importance of room acoustics to the production of choral sound and its resulting performance, there is very little written documentation on the subject in books and journals related to the field of choral music. And choir acoustics in general is rarely discussed in most of the prominent choral conducting textbooks used in college-level vocal/choral techniques classes and choral conducting courses. In my own work with choirs and singers, I continue to experiment with and learn how acoustical principles affect our work in the choral art.

Although Sten Ternström's experiments, work, and writings are the primary scholarship in this field, he and I are very interested in continuing our previous collaborations far beyond a summary of just this one scholar's work. We would like to explore further directions and new scholarship in this field. Up to this point, we have compiled and synthesized only some of the current research in the field of choir acoustics for the practical application of choir directors. Our collaborative chapter "Choir" published in *The Science and Psychology of Music Performance:*

Creative Strategies for Teaching and Learning **is a very useful introduction into this topic and presents several basic principles of the acoustical aspects of choral singing. I hope to not only present the major findings of Sten Ternström's current research in this field, but present results of my own investigations as well as explore other scholars' directions and work in this same field.**

Since 1996, my on-going research project has investigated this topic and I have published several introductory articles on acoustical considerations for choir directors ("Choir Acoustics." *Unison*, Washington State American Choral Directors Association Newsletter, Winter 1999, Vol. 12, No. 2: 7-9. "Acoustical Considerations for Church Choir Directors." *The Chorister: Resources for Music Ministry*, December 2000, Vol. LII, No. 6: 4-6.). In August of 2001, Sten Ternström and I were co-presenters on a choir acoustics session at the Fifth International Congress of Voice Teachers in Helsinki, Finland where we demonstrated several acoustical properties of choral singing using a powerpoint presentation. Subsequently, we collaborated and co-wrote the chapter "Choir" in *The Science and Psychology of Music Performance: Creative Strategies for Teaching and Learning* which was published by Oxford University Press in 2002. (See attached article and chapter included in this proposal for the reader's review).

My long-term goal has been to compile and synthesize the available research materials into a publication for choral directors that discusses the application of my research findings and the way choir acoustics impacts upon how choral directors teach, rehearse and, ultimately, conduct choral music. Based upon my reading and research thus far, I know that for many choral directors this heightened awareness, and, perhaps for some, this new knowledge, will have a strong impact upon their teaching and choral work.

Because choral directors and their choirs continually adapt and change their sound levels, dynamic range, timbre choices, and voice usage depending upon a particular room's acoustics, I have been interested in pursuing further the application of the available research in acoustics to a choral ensemble situation. I continue to explore how vocal placement, resonance, vowel modifications, vocal timbre, articulations, and breath support are affected and influenced by a room's acoustics. Over the course of the next several years, Sten Ternström and I would like to write a book (with DVD--aural and visual examples) for choral directors and voice teachers that discuss the application of this research as it applies to various choral rehearsal and performance situations. Robert Caldwell, owner and editor of Caldwell Publishing based in Redmond, Washington, has expressed interest in reviewing a proposal from me regarding the publishing of such a book. Caldwell Publishing is one of the major publishing companies of textbooks and resources used widely by voice teachers and choral directors.

This proposed book on choir acoustics will focus on such topics as placement of voices within a choir, performance/rehearsal hall acoustics, and "choir" acoustics in general. Readers will learn more about the scientific principles involved in acoustics

and how they can be applied to choral music, choral conducting, and choral singing. Here are just some of the questions we would like to investigate and answer:

1. **"Why is it I think I'm in tune but the soprano next to me seems not to agree?"**
2. **"Why is the choir simply too weak against the orchestra?"**
3. **"How should the singers be placed on the choral risers?"**
4. **"Should the choir sing in mixed quartets or in sections?"**
5. **"Is there any benefit to using choral shells on stage?"**
6. **"What is the optimal spacing distance between singers within the choir?"**
7. **"When should we consider using different choir formations?"**
8. **"If sopranos use vibrato, can we still achieve a choral blend?"**
9. **"How is choral singing different from solo singing?"**
10. **"Why can't I hear myself within the choir?"**

Chapters will explore such topics as a brief overview of acoustics, pitch amplitude effect, self-to-other ratio, placement of voices, choir and instrumental ensembles, mixed versus section singing, rehearsal/performance hall acoustics, choral blend and intonation, chorus formations, vowel and singer's formants, room reverberation, singer's vibrato in a choral setting, and overtones in choral singing.

It is my hope that the knowledge gained from such a book will result in a better awareness of choral acoustical issues as well as have an eventual impact upon choral directors' teaching and the preparation of their choirs for performance in a variety of acoustical settings.

Potential chapter titles are currently being developed during the Fall of 2004 as well as preliminary collaborative writing. A formal book (*The Choral Voice* –or- *Voicing the Choir*) and chapter topics proposal will also be prepared at this time and forwarded to Caldwell Publishing for review and acceptance. During the Spring and Summer of 2005, Sten Ternström and I will refine the first draft and prepare for further editing. Necessary tables, figures, and illustrations would also be prepared during this time. Summer and Fall of 2005 would be spent preparing a second draft as well as refining the accompanying DVD. If successful in my grant application to the American-Scandinavian Foundation (due November 1, 2004), the 2005 calendar year would allow for a travel opportunity to Sweden to complete the book's final manuscript. This final manuscript would be sent to the publisher in late 2005.

This collaboration between scientist/acoustician and practitioner/choral conductor will make important contributions to our field of choral music and choir singing as well as music acoustics in general. The proposed book would be the first synthesis of existing research.

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Dr. Duane Richard Karna

Dr. Duane R. Karna, Assistant Professor of Music and Director of Choral Activities, oversees the UNR choral program which consists of seven choirs—the Nevada Chamber Choir (our most select, audition-only ensemble); the Concert Choir (non-auditioned and open to all students regardless of major); the Concert Choir Women; the Concert Choir Men; the Vocal Jazz Ensemble; the new 24-Voice "semi-professional" Choral Ensemble—the Reno Chamber Singers; and the Symphonic Choir (which sings regularly with the Reno Chamber Orchestra and the Reno Philharmonic). Dr. Karna has held previous appointments at the University of Oregon in Eugene, Oregon; Central Washington University in Ellensburg, Washington; and Salisbury State University in Salisbury, Maryland. His Bachelor of Music in vocal performance is from the University of Puget Sound in his hometown of Tacoma, Washington; his two Master of Music, one in vocal performance and the other in choral conducting, are from Southern Methodist University in Dallas, Texas where he studied with Berton Coffin and Lloyd Pfautsch; and his Doctor of Musical Arts in choral conducting represents the University of Arizona in Tucson, Arizona where he worked with Maurice Skones. Dr. Karna is an accomplished singer and choral conductor and recently collaborated with Sten Ternström from the Royal Institute of Technology (KTH) in Stockholm, Sweden on writing the chapter "Choir" in *The Science of Psychology and Music Performance: Creative Strategies for Teaching and Learning* which was published in 2002 by Oxford University Press.

Assistant Professor of Music, Director of Choral Activities, Department of Music & Dance, University of Nevada, Reno, July 1, 2002-present.

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Getting Ready for Vivaldi

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The Fine Art of Accompanying

by duane richard karna

A Choir Acoustics Overview

In my own singing, as well as in my work with choirs and vocalists, I have experimented with and discovered how different rooms' acoustical principles affect the singer's use of breath management, the choice of vowel modifications, the selection of tempi, various articulations, dynamic levels and intonation.

A live acoustic with good reverberation allows a singer to use the voice more intelligently in terms of healthy vocal production with a better sense of connected breath to the vocal tone. The voice travels better in this type of acoustical environment, allowing for better decisions to be made by singers on how to best use their voice.

All of us have observed in our choral work and solo singing how a room's particular acoustical properties influence our choices of vocal tone and timbre. Often a "live" sanctuary brightens the tone, sometimes requiring timbre shadings and vowel modifications better suited to that particular acoustical environment. Many singers will unconsciously choose to spread their vowels in a "live" acoustic requiring some vowel modifications to adjust and compensate for this acoustical influence upon vowel timbre qualities and the choir's uniformity of vowels. An acoustically "dull" sanctuary also influences singers and choirs and encourages them to create vocal tone that is often pressed, strident, less bright, and lacking in resonance.

A sanctuary with good reverberation allows the vocal tone to travel more easily than in a room that lacks reverberation, and this in turn encourages singers to use their voice and supported breath control more wisely. An acoustically "dull" sanctuary makes demands upon a singer's voice, use of breath, and selected tempi that often puts the singer at a disadvantage in terms of healthy vocal production. Typically, this type of acoustical environment encourages forced, oversinging resulting in a pressed laryngeal position that places great demands upon the musculature involved in the singing effort.

Acoustical environments require singers, choirs, and their choral directors to make decisions regarding tempi, articulations, and dynamics for successful singing and performance. A sanctuary that lacks good reverberation requires faster tempi so that the singers can sing more easily, hopefully creating vocal production that is healthy, buoyant, and supported with good use of breath. In an acoustical setting with good reverberation, singers, choirs, and choral directors will often choose slower tempi so that the resulting sound is not muddy — this being especially important in polyphonic choral works and musical compositions which have a great deal of eighth-note and sixteenth-note subdivision.

As far as dynamics are concerned, it is much easier to sing softly in a sanctuary with a "live" acoustic than it is in

Acoustical environments require singers, choirs, and their choral directors to make decisions regarding tempi, articulations, and dynamics for successful singing and performance.

a sanctuary with little or no reverberation. Of course, it is also dangerously easy and tempting for singers to "over-sing" in a room with a live acoustic.

Singers must choose wisely when determining duration of note values, type of articulation (accented, staccato, stressed, sforzando, weighted, lengthened notes, melismatic runs, tenuto, etc.), clarity of diction, use of voice and unvoiced consonants, and the dynamic level and intensity of the articulations because all of these musical, vocal, and textual decisions are directly related to and greatly influenced by a room's particular acoustical properties and response.

The acoustical properties of rehearsal rooms, sanctuary spaces, and performance halls have, as well, a direct impact upon intonation and successful choral blend. The placement of voices within a choir contributes to how a singer "hears" himself in relation to other singers in his section and in relation to the entire choir. Choir singers need to hear both the sound of their own voice and the sound of the other choir members.

Depending upon a particular room's acoustics, I often move around individual singers within the choral ensemble as I try to better match their vocal timbre, sense of pitch, loudness or softness of voice, and intensity of vibrato to the other nearby singers as well as to the room's acoustical response. The strong need for hearing one's own voice, called the feedback, as well as hearing the sound of the rest of the choir, called the reference, is one of the more important acoustical factors in choir singing.

> Sten Ternström has investigated what he terms Self-to-Other ratio (SOR). This phenomenon may ultimately relate to singer preference for spacing. In a choral situation, a singer attends to two sounds: the sound of his own voice and the sound of the choir as a whole. Choral singers apparently have rather defined preferences for the balance between self-sound and other sound. According to Ternström's research, when the reference sound of the rest of the choir overpowers the feedback received from one's own voice, as might happen in a choir singing with cramped spacing between and among singers, potentially all manner of chaos may ensue: oversinging, intonation problems, and less than ideal vocal production. Venue acoustics, of course, can exacerbate the problem still further, especially in absorbent and overly reverberant rooms.[1]

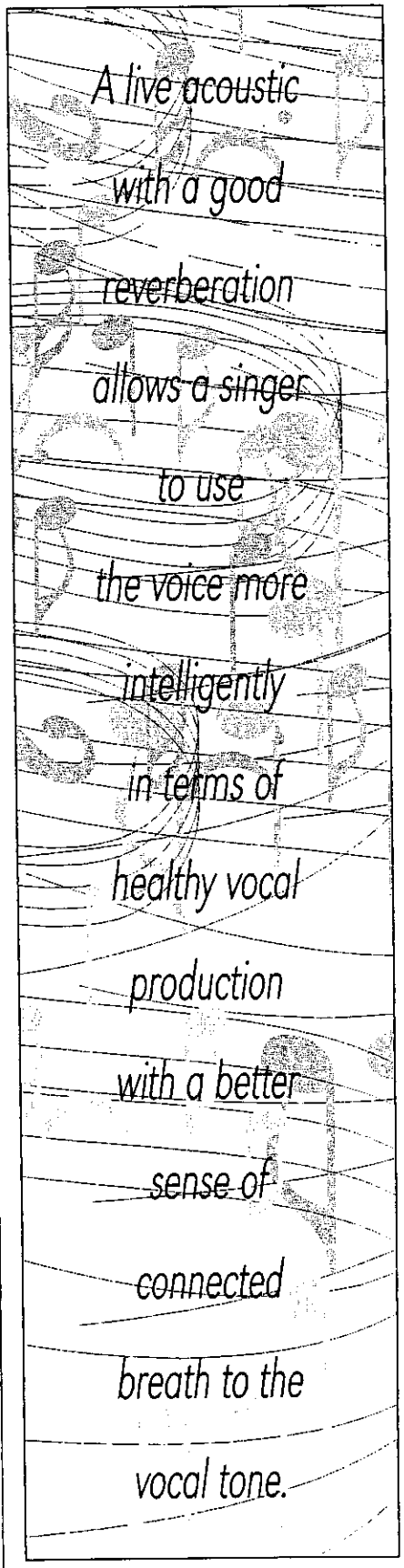
Because this is a constantly changing variable in our choral work, the placement of voices within a choral ensemble is one of the most important decisions a choral conductor must make. I believe that choral singers perform at their best when they are positioned in SATB quartets with no two similar voice parts next to each other and with a fair amount of distance between singers so that they can better hear themselves as well as the other parts that make up the choral texture. Spacing with distance between and amongst singers leads to more independent singing, improved vocal production, an ability to hear better, and a better awareness of intonation.

With more knowledge about these relationships, church choir directors can be better equipped to optimize the conditions for performance and/or rehearsal (for example, by changing the spacing between singers, the placement and position of particular singers within the choral ensemble as well as placement of the entire choir, and/or by making alterations to the room's absorption).

> Results of research into this area of choir acoustics suggest very practical applications for your choir. Position your singers with sufficient space between them laterally, ideally 18-24 inches. If possible, grant them circumambient space as well (the equivalent of a vacant row between all rows of the ensemble). Since all choirs and all singing venues are not alike, experimentation may be necessary to determine optimal conditions for your choir. Consider also that research results suggest that "weaker" singers may at first resist spread spacing, especially circumambient spacing. These singers may actually have to hear themselves for the first time. "Average" and "strong" singers, however, appear to prefer spread spacing. Male voices, particularly basses, may do fine with a little less spread spacing, especially if they are positioned in the center block of the choir. Soprano voices, by contrast, will likely do well with as much spacing as feasible. Let your singers assist in the process of experimenting with spacing. Not all voices emit the same acoustical power, and some individual variation in spacing may work well [depending upon your particular choral singers]. Spacing your singers is not a magic technique to solve all choral sound problems. But it may add a desirable nuance to choral sound, while improving intonation and blend. Spacing, moreover, is a vocally non-intrusive strategy that is relatively easy to implement with smaller and medium sized ensembles.[2]

The final placement of singers within the choir and within a particular sanctuary space has a strong and immediate impact upon the resulting choral blend and intonation. And, it is hoped of course, that this final placement and arrangement of the singers within the choir and within the performance space will enhance

> ...the ensemble effect or chorus effect; [which] arises when many voices and their reflections create a quasi-random sound of such complexity that the normal mechanisms of auditory localization and fusion are disrupted. In a cognitive sense, the chorus effect can magically disassociate the sound from its sources and endow it with an independent, almost ethereal existence of its own. The sensation of this extraordinary phenomenon, strongly perceived inside the choir, is one of the attractions of choral singing.[3]



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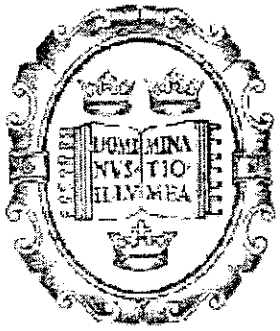

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The Science and Psychology of Music Performance

Creative Strategies for Teaching and Learning

Edited by RICHARD PARNCUTT and GARY MCPHERSON

Bridges the gap between music educators and music psychologists, providing the most recent research in a format useful for teachers and students.

What type of practice makes a musician perfect? What sort of child is most likely to succeed on a musical instrument? What practice strategies yield the fastest improvement in skills such as sight-reading, memorization, and intonation? Scientific and psychological research can offer answers to these and other questions that musicians face every day. In *The Science and Psychology of Music Performance*, Richard Parncutt and Gary McPherson assemble relevant current research findings and make them accessible to musicians and music educators. This book describes new approaches to teaching music, learning music, and making music at all educational and skill levels.

Each chapter represents the collaboration between a music researcher (usually a music psychologist) and a performer or music educator. This combination of expertise results in excellent practical advice. Readers will learn, for example, that they are in the majority (57%) if they experience rapid heartbeat before performances; the chapter devoted to performance anxiety will help them decide whether beta-blocker medication, hypnotherapy, or the Alexander Technique of relaxation might alleviate their stage fright. Another chapter outlines a step-by-step method for introducing children to musical notation, firmly based on research in cognitive development. Altogether, the 21 chapters cover the personal, environmental, and acoustical influences that shape the learning and performance of music.

Richard Parncutt is associate professor of systematic musicology at the University of Graz. He is the author of *Harmony: A Psychoaccoustical Approach*, and many research articles on the perception of harmony, tonality, and rhythm. He is also an internationally experienced pianist and piano teacher. **Gary McPherson** is associate professor of music education at the University of New South Wales. He has served as treasurer of the International Society for Music Education and national president of the Australian Society for

Music Education. As a trumpeter, he has performed with several of Australia's leading ensembles.

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The Science and Psychology of Music Performance

Creative Strategies for Teaching and Learning

Edited by Richard Parncutt and Gary McPherson

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17

Choir

STEN TERNSTRÖM & DUANE RICHARD KARNA

Choir singers and directors frequently find themselves grappling with acoustical issues that appear to affect their ability to perform well. Hearing one's own voice, for example, is crucial. It improves with increased singer spacing and depends also on the room acoustics. Singer preferences are diverse but on average one's own voice needs to be about 6 dB stronger than the rest of the choir. In most rooms this implies a fairly spread-out formation. Precise intonation may be jeopardized by pitch perception discrepancies and by mechanisms inherent to voice control but it can also be facilitated by acoustically informed measures such as articulatory enhancement of common partials. Researching such issues necessitates decomposition while remaining aware of the true complexity of the situation: that of many people singing together and hearing each other in a room.

Many people who choose to perform music as a satisfying pastime do so as choir singers. Singing in unison or in harmony with other people is a low-cost, enjoyable activity, which at the beginner's level demands little more than one's time and a certain dedication to the task.

During the past couple of decades, research into the acoustics of choir singing has uncovered numerous interesting effects that are of potential relevance to choral performance. Some concern voice production, others have to do with the acoustics of the stage and the auditorium, while still others are related to our sense of hearing. Many of them are rather subtle and, if taken in isolation, of minor importance. When the acoustical circumstances combine constructively, however, choral singing is certain to become easier; conversely, when they combine destructively, choral performance is likely to suffer. For this chapter, we have chosen to describe in detail some phenomena that we expect and hope to be particularly interesting and useful to choral directors and singers who are curious about acoustics.

Fundamentals of Room Acoustics

We note first that choirs are particularly dependent on the acoustics of the room, a subject that is not covered by other chapters in this volume.

Sound waves are a form of energy. One adult singer emits about three milliwatts (mW) of acoustic power in *forte*. Most of the energy emitted by the singer will bounce around in the room as reverberation until it is absorbed (into heat) by the walls and furnishings. The greater the absorption, the quicker the sound energy disappears, and the shorter the reverberation time will be. A minuscule proportion of the radiated sound energy eventually reaches the eardrums of listeners. The sound that reaches the listener from the source has three components: the direct sound, the early reflections, and the diffuse field (or reverberation). The *direct sound* travels in a straight line from source to receiver; it arrives first and reveals the distance and the direction to the source. The nearer the source, the stronger the direct sound. *Early reflections* are sounds that arrive at the listener after only one or two bounces against nearby walls. At delays less than about 40 ms we do not perceive these as separate echoes, but they are still very important for our impression of the acoustical liveness of a room. The *diffuse field* is the sum of the thousands of all later reflections that rapidly die down as a small amount of energy is lost into the wall at each bounce. The *reverberation time* is defined as the time it takes for the diffuse field to become 60 decibels (dB) weaker once the sound source has been turned off. After that time, the reverberation is essentially inaudible.

The diffuse field is so called because the many reflections tend to merge into a practically uniform sound field with no direction of its own. For a given source, the intensity of the diffuse field is much the same throughout the room. (Analogy: when you have been swimming in a pool for a while, the slosh of waves won't tell you where in the pool you have been.) There exists a distance from the source such that the intensities of the direct sound and the diffuse field are equal; this is called the *reverberation radius* of the room. If we move out farther from the source, the diffuse field dominates and the total sound intensity does not diminish appreciably with distance. If instead we approach the source, the direct sound will dominate and become louder the closer we are to the source. Considering the situation inside the choir, in rooms typical for choir performance only the one or two nearest circles of neighbors in the choir are within one reverberation radius of each other; the rest of the choir is outside.

Physical Versus Perceptual Sound Properties

The loudness, pitch, and timbre of a sound are *perceptual* entities that can be measured only by asking listeners what they hear. Fortunately, these three entities correspond closely—but not exactly—to three measurable *physical* entities of sound: pressure level (SPL), fundamental frequency (F_0), and distribution of energy over frequency. The physical properties are the main entry points of the

acoustician, who can measure them, study their evolution over time and space, and subject them to statistical analysis.

All the physical parameters of a tone can to some degree influence any or all perceptual parameters (Fletcher, 1934). The study of these dependencies is the basis of psychoacoustics. For example, a tone that has a strong fundamental partial but weak overtones is perceived as dull. When presented at very different loudness levels, such a tone may also appear to change somewhat in pitch, even though its fundamental frequency remains the same. This so-called pitch-amplitude effect is not generally known to musicians, but it may influence choral intonation in certain circumstances.

Sound Properties and Mechanisms as an Organizing Principle

For any research project on choir acoustics it is convenient to constrain the issue to one or two of the measurable *properties*, usually adopting a perspective either of voice production, of room acoustics, or of hearing, which are all *mechanisms*. It must be stressed that such constraints are for practicality only, because the reality of choral performance is too complex to be studied all at once. In Table 17.1 we list some examples of topics related to choir acoustics, categorized along these lines.

The intricacy of possible topics means that there is no obvious, systematic path for us to follow in order to cover the subject of choir acoustics in this compact overview. Instead, we will state some acoustical problems commonly encountered by choirs and point to ways of understanding and negotiating these problems. In each case we will first list the relevant acoustical issues and provide some practical recommendations. This will be followed by an in-depth background discussion of the problem, with explanations of the recommendations and references to scientific research.

Balance of Loudness

Choral singers sometimes complain that they cannot hear their own voices. Why might this be, and what can be done about it?

Relevant Factors

1. The physical spacing between singers
2. The amount of reverberation in the room
3. The presence or absence of reflectors close to each singer
4. The vocal power of the complaining singers relative to that of their neighbors

Recommendations

1. Increase the spacing between singers, and/or have the choir stand in fewer rows. If this is not possible, mix the sections.

Table 17.1. A tentative categorization of topics in choir acoustics. Topics discussed in this chapter are indicated in italics.

	Loudness/ Balance	Intonation	Timbre	Multivoice Issues
Voice production	Diversity of singers' vocal power; directivity of the human voice	Breath support, vibrato in choirs; *articulatory perturbation of pitch*	Acoustic differences between S-A-T-B, between trained voice and untrained, singer's formant or not	*The role of flutter in ensemble sound*; placement of singers within the choir; does uniformity of vowels matter?
Room acoustics	Effects of choir size, formation, *singer spacing and room absorption on the self-to-other ratio (SOR)*; distances; risers, shells, and reflectors	Effect of the SOR on intonation ability; can the pitch of the reverberation seem to go flat?	Effects of room response on voice usage; effects of different types of absorbents; wall proximity for basses; where to hold the music folder	Choir placement relative to audience; trade-off between room reverberation and the number of singers; ensemble timing
Perception	*Reflection, occlusion and bone conduction of one's own voice; diversity of singer preferences as to the SOR*	The *pitch/ amplitude effect* as an intonation hazard; *the pitch can differ slightly in the left and right ears*	*Pitch is more salient with certain timbres; role of common partials*; why some voices fit together and not others	Blending ability of different voice types; differences between choirs and vocal groups; *combination tones and beats*; how close is unison?
Sound technology	Choir with instrumental combo; public-address systems; self-monitoring for the choir	*What devices are suitable for giving the starting pitch?*	Faithful reproduction or enhancement?	Placement of microphones and loudspeakers

2. Decrease the amount of reverberation in the room by introducing absorbents, closing curtains, admitting the audience, or opening several windows.
3. Encourage the singers to experiment with the sheet music and folder as a small personal reflector. There is a particular angle that noticeably improves the perception of one's own voice. Remove any shells or other large reflecting surfaces at close range, because these tend to exacerbate the problem.
4. Place the quieter voices near the ends of the choir and the louder ones near the center.

Scientific Background

Self and Other. Inside a choir we have a complex transmitters-receivers situation with many directional sound sources, all of whom are also listeners (Marshall & Meyer, 1985). Taking the perspective of an individual singer in the choir, we will refer to the sound of one's own voice as *Self* and to the sound of the rest of the choir as *Other*. The Self sound is dominated by *airborne* sound coming out through the mouth, but it also has a component of *bone-conducted* sound. The relative contribution of the bone-conducted sound is hard, however, to measure objectively (von Békésy, 1949). For example, it can vary dramatically with vowels: block your ears and sing to compare /u/ with /a/! An open mouth radiates more sound, leaving less energy to be coupled through the body's tissues.

The airborne part of Self is entirely dominated by the direct sound from the mouth. The room reflections of Self are typically 15 to 20 dBs weaker than the direct Self. This means that inside any choir they will be drowned out (*masked*) by Other.

The Self-to-Other Ratio. A choir singer hears the Self sound together with the Other sound; ideally these should both be discernible in some optimal proportion. The *Self-to-Other Ratio* (*SOR*) can be measured on location for any particular singer and can be expressed in decibels. When the ears of a singer are subjected to the sounds of Self and Other simultaneously, Self will usually be a certain number of decibels stronger, in which case the SOR is said to be positive. Clearly, the SOR is a predictor of how well a singer will hear his or her own voice. Typical SOR values in live choral performance range from +1 to +8 dB (Ternström, 1994).

The major factor to influence the SOR is the intersinger spacing (item 1 above). The farther apart the singers are standing (especially from their own section colleagues), the greater the SOR, and the easier it will be for them to hear their own voices–and, conversely, the harder it will be for them to hear the others. Daugherty (1996) found that both singers and auditors preferred the choral sound produced in spread formations over that produced in close formation.

The SOR is also inversely related to the amount of reverberation in the room: the less reverberation, the weaker the total sound will be, and so the easier it will be to make out the sound of one's own voice (B). For a given choir placement in a room with given physical properties, the SOR can be predicted with some accuracy. This is important because it gives the architect's acoustics consultant a tangible goal: to design for a SOR onstage in the vicinity of +6 dB (Ternström, 1999).

Singer Preferences. In a normal situation, the individual choir singer cannot do very much to change his or her hearing-of-self, other than to use the music folder as a personal reflector to increase SOR. The permissible loudness of one's own voice is constrained by the music's dynamics. Vocal artists who perform with adjustable amplification, however, can be very fussy about the exact amount of monitor feedback they require. Ternström (1999) did an experiment with 23 experienced singers to determine (1) whether choir singers are particular about

their preferred SOR in a choral context and (2) how large the preferred SOR might be. The singers were indeed quite precise about their personal preferences: they reproduced their individual preferred SOR to within ±2 dB, which is a remarkably close tolerance. The overall average preferred SOR was +6 dB. However, tastes varied wildly, from +15 dB down to 0 dB. In other words, some of these singers wanted to hear their own voice a lot, while others preferred the rest of the choir to be just as loud. This large variation may be due to different habitual placement within the choir (see later), to individual voice timbres, and even to certain hearing losses so small as to be unknown by the singer.

Loudness Issues. The choir director should be aware that singer placement is not just a question of how well or poorly different voices sound together but also one of how comfortable each singer is with the balance of loudness of voices in his or her vicinity.

Having the choir stand in many rows will cause large differences in SOR between the center and the periphery of the choir, since some singers will have many neighbors and others will have few. In single-row formations, the SOR varies less with position in the choir. Furthermore, the SOR will be lowest in the bass section and highest in the soprano section when all sections are singing (Ternström, 1995). This is because sopranos are loudest: the human voice radiates acoustic power more efficiently at high fundamental frequencies. In terms of SPL, the Other sound will thus be dominated by sopranos, except in very close choir formations.

The ability to monitor one's own voice is crucial for accurate singing. As an example, have some volunteer singers carry small tape recorders to record their own voices (without headphones!) at very close range in various choral performance situations. Ask them to assess their own performances from the tape a few hours later. If the tape reveals unexpected errors, chances are that they could not hear themselves well enough.

Unison singing—all voices in synchrony on the same tones—is the worst case for monitoring one's own voice, since Other masks Self most efficiently when the frequencies overlap. If the SOR is too low, the singers may be able to hear their own voices only by making mistakes, and the scatter in intonation is likely to increase. In very large choirs, therefore, sectional formation is likely to be problematic.

Intonation

We are working on a piece that often tends to go out of tune at a particular point. Why might this be?

Relevant Factors

1. The *intrinsic pitch* of vowels and consonants is an acoustical and physiological phenomenon known from phonetics. In speech, some sounds tend to have a slightly raised or lowered F_0 because of the way the voice organ must be configured to produce them.

2. The *pitch-amplitude effect* is a perceptual phenomenon that makes it possible for the perceived pitch of a constant-frequency tone to change slightly with changes in loudness. Some people are more susceptible to this effect than others. The effect is most relevant to high and loud soprano singing.
3. *Breath support* has a direct bearing on intonation, particularly on long sustained tones in the upper pitch ranges. This is not really a choral issue but one of vocal training, although the problem is very common in choral singers.
4. *Complex modulations* between tonally distant keys is a music theory issue that many others have described, although little of predictive use has been reported; see any text on scales and temperament.

Recommendations

1. Analyze the text for intrinsic pitch effects (see later). Temporarily change the lyric to something completely different and see whether the intonation is affected.
2. If some sopranos tend to sing sharp on high, loud tones, chances are that their ears are fooling them. In this situation, conductors sometimes accuse the singers of a poor sense of pitch; however, most of the time they are doing their best and have no way of knowing they are sharp. Instead, try to ascertain whether the pitch-amplitude effect is in fact the culprit. An individual test for the pitch-amplitude effect is suggested later.
3. Have the singers learn vocal technique. The term *breath support* refers to a singer's proficiency in controlling the subglottal pressure. The fundamental frequency of vocal fold vibration is regulated mainly by the subglottal pressure (coarse, slow control issued by many large respiratory muscles) (Titze, 1989) and by the pull of the rather small *cricothyroid* muscle (fine, rapid control). If the subglottal pressure is too low, as with insufficient breath support, then the cricothyroid muscle must exert a much larger force to achieve a high target pitch, and so it tires quickly (chapter 16).

Acoustical and Psychoacoustical Background

In speech, there is rarely a need for precise intonation of sustained tones; rather, it is *gestures* or *inflections* in pitch that carry important information. Pitch in speech is also closely related to vocal effort. Increased subglottal pressure will normally raise the fundamental frequency, or F_0 (e.g., Titze, 1989). Hence, we expect in speech a strong covariation of loudness and pitch: the louder, the higher. Singers, however, must learn to control loudness and F_0 separately. This is a task that requires considerable coordination.

From an engineer's viewpoint, the voice organ is an unruly and entangled conglomerate of cartilage, muscle, and soft tissue. For such a device to produce sound at a stable F_0, it must be controlled by use of a host of auditory and neuromuscular mechanisms with compensatory action, or *servo systems*, that continuously monitor the voice output and apply corrective signals until the out-

put is perceived to match the target. Voice research has shown that the servo-system paradigm is in fact a good model for F_0 control (Larson et al., 2000; Ternström & Friberg, 1989). Since the voice organ is driven mainly by lung pressure, is steered by minute muscular control in the larynx, and is monitored by hearing and other types of receptors in the body, there seem to be few aspects of vocal function and near-field acoustics that could *not* have some bearing on intonation.

Because the intonation precision needed for choral harmony is very high, even small disruptions to pitch can be significant. Here we will discuss two of these: *intrinsic pitch*, which is a voice production phenomenon; and the *pitch-amplitude effect* that was mentioned earlier, which is a pitch perception phenomenon.

Articulatory Perturbation of Pitch (Intrinsic Pitch). In a voice science context, the term *articulation* refers to the action of adjusting and positioning the jaw, tongue, and lips to produce a given sequence of sounds. To phoneticians it is well known that in running speech some vowels tend to be produced with a slightly lower or higher F_0 than the average for the speech as a whole (Ladd & Silverman, 1984). Front vowels such as /i:/ and /e:/ (with the tongue held forward) tend to receive a slightly higher F_0, and back vowels such as /a:/ and /e:/ tend to be lower, on the order of a semitone or two. Phoneticians call this *intrinsic pitch*. Despite its name (*pitch* normally refers to perception or experience), this is not a perceptual effect but rather a vowel-dependent bias on F_0 that is somehow exerted by the articulation. Several biomechanical and acoustic hypotheses have been advanced to explain these deviations, but the matter is not yet closed.

In addition, the articulation of consonants sometimes involves movements of the larynx or changes in the air pressure differential that drives the vibration of the vocal folds. This can cause the F_0 of voiced consonants to differ from that of the adjacent vowels. For example, say very slowly *ahdahdah* and notice how the pitch drops during the *d* consonants. In fact, this intrinsic drop in pitch is a strong cue for us to interpret the sound as the consonant *d*.

In singing, intrinsic pitch effects would presumably be compensated for, as the singer is striving to reach a target frequency for each note. But what happens if it is hard to hear one's own voice, as is often the case in a choir? Ternström, Sundberg, and Colldén (1988) asked choir singers to sustain tones over a change of vowel and measured the average F_0 before and after the vowel transition. The subjects wore closed headphones in which they alternately heard their own voice fed back and a masking noise that completely drowned out their own voice. Each vowel pair was sung in noise and was then immediately repeated without noise. Intrinsic pitch effects were found in *both* conditions, but they were larger in noise, as expected. On the average, the largest F_0 changes were observed between /i:/ (high) and /ɛ:/ (low). For this case the average effect was about thirty cents, larger in noise and smaller with normal feedback. Such a pitch change is certainly large enough to make a chord go out of tune. Figure 17.1 summarizes the *occurrence* of pitch changes for the different vowel pairs in this experiment. The vowel /a:/ was not included, but it is known to have an even lower intrinsic pitch than /ɛ:/.

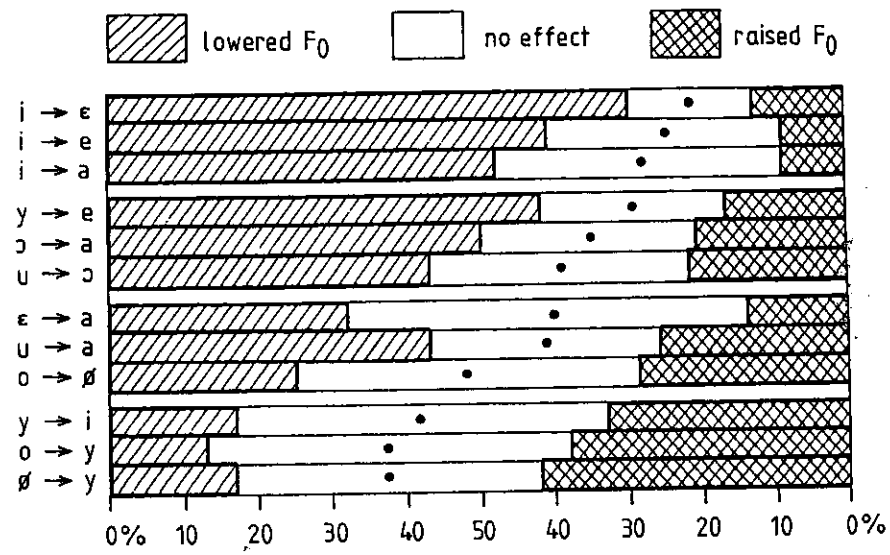

Figure 17.1. Articulatory perturbation of pitch over vowel changes. The bars show the relative occurrence of intrinsic pitch effects found when six subjects changed vowels on sustained tones (see text). The conditions with and without auditory feedback are pooled. For example, the top line is interpreted as follows: when the vowels /i:/ and /ɛ:/ were paired, /ɛ:/ was sung at a lower pitch in 70% of the cases and at a higher pitch in 13% of the cases, regardless of whether /i:/ or /ɛ:/ came first. (From Ternström, Sundberg & Colldén, 1988. Copyright American Speech-Language-Hearing Association, reprinted with permission.)

A practical consequence of this result is that intonation problems can sometimes be ascribed to a particular sequence of vowels and consonants (for example, *dies irae* or *kyrie eleison*) and that not hearing one's own voice will make things even worse.

The Pitch-Amplitude Effect. To test yourself for the pitch-amplitude effect, you will need a sound source that can produce a pure or nearly pure sine wave with stable loudness and frequency. Such a wave is best produced with a tone generator or a synthesizer with a Sine program or a very dull flutelike sound. Failing that, you can use a high-quality microphone and tape recorder to record somebody whistling a pure tone or have a soprano sing on a closed vowel. Try three or four tones that range from middle C (262 Hz) and two octaves up. Connect a pair of headphones to the sound source. Place the headphones on a table in front of you and adjust the volume so that you easily can tell whether the tone is playing or not, but no louder. Listen to its pitch, then put the headphones on without adjusting the volume and listen again. Many people will perceive a lower pitch when the tone thus becomes louder. To some, the drop will be large (a semitone or more); to others, it will be small or inaudible.

The pitch-amplitude effect is well known to psychoacousticians (e.g., Verschuure & van Meeteren, 1975). It is typically at its strongest in the region of 300 to 500 Hz, becomes insignificant at 1 to 2 kHz, and reverses at very high frequencies, where the pitch instead seems to increase with level. This explains why dull tones with only a few low partials are the most susceptible. The more high-frequency overtones there are in the stimulus sound, the less their combined pitch is perturbed, and the weaker the pitch-amplitude effect becomes. Ternström and Sundberg (1988) found a pronounced pitch-amplitude effect in some but not all male subjects who were attempting to sing in unison with a synthesized stimulus vowel /u:/, which is poor in high partials, but not with /a:/, which is rich in high partials. Ternström has also demonstrated the pitch-amplitude effect for soprano tones in syntheses of ensemble sounds (not published). For the effect to occur, the reference tone and the tone produced by the subject must be very different in loudness and the louder tone must have strong low partials and weak high partials. This situation is quite rare in choirs, but it does occur for sopranos who are singing high and loud. The effect will probably be more pronounced in venues with little reverberation, because then the difference in loudness will be large between one's own voice and the rest of the choir (the SOR will be high).

A soprano whose sense of hearing happens to have a steep pitch-amplitude dependency is faced with this problem: when singing high and loud she is likely to perceive her own voice as a little flat, because it is stronger than the other sounds around her and because high soprano tones are necessarily dominated by the fundamental partial (chapter 16). To compensate, she will probably produce a tone that is perceived as sharp by everyone else. Not knowing about the pitch-amplitude effect, she will feel unjustly accused of singing sharp and having a poor sense of pitch. Unfortunately, there is not much she can do to determine exactly at what pitch she should really be singing, other than gradually to learn how flat she should hear herself for the others to stop complaining. We believe choral directors should be aware that the pitch-amplitude effect exists, that it is an innate property of our auditory system, and that it has nothing to do with musical ability or talent.

A related phenomenon is the relationship between *timbre* and *pitch salience*, that is, whether the perceived pitch is clear or unclear (Terhardt, 1975). Listeners tend to agree less on the pitch of a tone if its spectrum is not balanced. For example, it is probably a bad idea to give the starting tone to the choir using a low flute stop on the organ, which has strong low-frequency partials and weak high-frequency partials, because different singers may perceive its pitch slightly differently. It is also risky to use small electronic beeper devices, which are rich in high partials but completely lacking in low partials. A voice or a piano should serve most singers well.

Singers sometimes try to hear their own voice better by blocking one ear with a fingertip. Blocking the ear does make the Self sound louder, but it also becomes muffled, while the Other sound becomes a lot weaker. This jeopardizes intonation, because such conditions increase the risk of the pitch-amplitude effect. Of course, closing one's ear would also look silly on stage. But wearing an earphone or hearing aid, for example, would have much the same effect.

Finally, we cannot even trust our two ears to perceive the same pitch. It is not uncommon to hear slightly different pitches from a tone generator—or tuning fork—that is held first to one ear and then to the other. A choir director giving pitch might need to know if one of his or her ears is slightly out of tune.

Overtones

In some long chords I can hear a tone that is not being sung by anyone in the choir. The tone typically sounds like a high-pitched whistle and is sometimes musically appropriate, sometimes not. What is going on?

Relevant Factors

1. One or more of the following circumstances may combine to make a particular partial tone especially loud: (a) the partial tone is a component of many of the constituent tones of the chord, (b) the formant frequency configuration of the vowel happens to enhance it, (c) many of the singers happen to agree very closely on the formation of that vowel, (d) vibrato is small or nonexistent.
2. The so-called *chorus effect* makes it easier for the ear to pick out the individual partial tones in ensemble sounds than in solo sounds.
3. In loud and/or pressed voice, in which the high-frequency partials are more intense than in soft voice, this phenomenon becomes more likely. This is in fact a strategy adopted for example by the Tuva throat singers (Levin & Edgerton, 1999).

Recommendations

1. If the unsung tone is a problem, sing in a softer nuance or experiment with a different vowel to see if the problem goes away. Modify open vowels to closed or vice versa. If the unsung tone is a desired effect, modify the vowel very slowly and carefully until the effect is maximized. Decide and explain to the singers which section is to act as the intonation reference at various points in the piece.
2. If the singers are having difficulty tuning a particular harmony and if different sections have different lyrics, try making them sing the same text. Change closed vowels to open; in particular, let the basses sing on *ah* for a while. More often than not, rich overtones will facilitate accurate intonation.
3. In practice, independently audible overtones are rarely a problem but rather an interesting curiosity that often goes unnoticed by the audience, unless the composer and the performers have taken extra pains to make the effect come across. In some traditions overtones are even cultivated as an instrument in its own right. Singers often wonder about overtones and how to enhance them, and the choral director can sometimes exploit overtone enhancement in the service of intonation.

Background

Combination Tones, Beats, and Harmony. When two stable unison tones of similar loudness are tuned slightly apart, they sound not like two tones but like one tone that *beats*. If the mistuning is gradually increased, the beating becomes too rapid to be perceived as such but rather invokes a roughness of timbre; at some point the ear will also start to resolve the two tones. Furthermore, for tones that are close in frequency to each other, distortion effects inside the ear can generate various audible *combination tones* whose frequencies are sums and differences of the frequencies of the two physical tones and their harmonics.

On instruments with stable pitch, so-called just or pure intonation sounds pure because it minimizes the beating and hides the combination tones by lining them up with the real partial tones. In choral sounds, however, things are rather different. Regular beats are never heard in a choir, for two reasons. The first and foremost is that the human voice is not stable enough in frequency for regular beats to occur. Even when singing an acceptably straight tone, most voices *flutter* up and down by 10 to 20 cents (Ternström & Friberg, 1989). This makes the beats irregular, and therefore they are not readily perceived. One interesting consequence of this is that there should be no inherent advantage of using just intonation in choir music (cf. Chapter 12). Ternström and Nordmark (1996) found that musically trained listeners who were asked to fine-tune major third intervals in synthesized sustained, nonvibrato ensemble sounds had diverse preferences but averaged between just intonation and equal temperament.

The second reason we do not hear the beats in the choir is that with more than two unison voices even the smallest F_0 differences between them will cause each voice to beat against each other voice, creating a great multitude of irregular beats. The beating is in fact so profuse and irregular that it sounds like something else. We might define the *chorus effect* or *ensemble effect* to be that character of sound that prevents us from hearing exactly how many voices are singing in unison. The minimum is three, which sounds distinctly different from both one and two voices (Ternström, Friberg, & Sundberg, 1988).

In vocal groups that perform close harmony with one voice to a part, the chorus effect is often intentionally avoided. Instead they strive to achieve harmonies that are so precisely tuned and so straight in pitch that the voices fuse together and we hear one instrumentlike chord rather than several part singers.

Reinforced Partials as an Aid to Intonation. We assume here that the reader is already somewhat familiar with the harmonic series of partial tones (fundamental plus overtones) and its relation to the musical scale.

In any sound from a single tone source, some partials will be stronger than others, but if they all vary together, the auditory brain centers will assume that they all derive from the same source and report only one percept to the listener. Therefore, we do not hear individual partial tones, unless one of them is markedly reinforced (see discussion of overtone singing in chapter 16). In ensemble sounds, however, the partial tones do not vary strictly together, as they do in

the sound of a single voice. Thus it can be easier to hear out individual partials in a sustained choral sound than in one voice.

Ternström and Sundberg (1988) did intonation experiments in which individual male singers sang fifths and major thirds together with both synthetic tones and with a prerecorded unison male choir. The experiment showed that when partial number three of the lower tone (which sounds like a fifth) was reinforced by the formant structure of the vowel, the subjects were more agreed on the intonation of fifths; similarly, when partial number five (which sounds like a major third) was strong, the subjects were more agreed on the intonation of major thirds. While the effect was not very large, it appeared even though the subjects were ignorant of the purpose of the experiment. The implication for choral directors is that accurate intonation of a particular chord can sometimes be facilitated by judiciously choosing a vowel that will emphasize (a partial tone at some octave of) the reference tone in the chord.

The formants of the vocal tract are only resonances and produce no sound of their own (chapter 16). Instead, they reinforce whatever frequencies are produced by phonation and frication. In most languages, the two lowest formants, F_1 and F_2, are sufficient to determine the identity of the vowel. The legend to Figure 17.2 discusses how this can be relevant to choral intonation. Read the words shown in Figure 17.2 in a loud whisper, without voicing, and you will probably hear the pitches of F_1 and/or F_2, albeit vaguely.

In the first example in Figure 17.2, with *who'd*, F_2 reinforces the tone B, which is common to the harmonic series of both the sung tones E and G; this is likely to facilitate intonation. In the *hood* example, F_1 emphasizes the G that is common to bass and tenor; again, this is probably good for intonation. In addition,

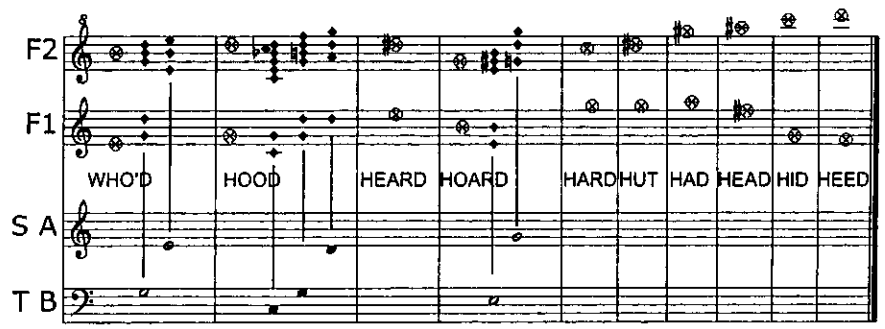

Figure 17.2. Some examples of possible interactions between formants and partials. The crossed circles indicate the approximate frequencies of the first and second formants (F_1 and F_2) for spoken English vowels as pronounced by adults (Peterson & Barney, 1952). These frequencies are vowel-specific and essentially independent of the sung pitch. Notice the *octava* on the clef for F_2; it needs to be notated an octave higher. The diamonds indicate the lowest few partial-tone frequencies of the corresponding sung tones on the S A and T B lines (soprano, alto, tenor, bass).

the F_2 of *hood* emphasizes the high D, which is common to all three voices; this is likely to reinforce the ninth of the chord. On *hoard*, however, F_2 might cause a problem by amplifying the clash between the $G_\sharp$ that is the fifth partial of the bass tone and the $G_\natural$ that signals the minor tonality.

A good place to learn more about intonation and overtones is at barbershop rehearsals and workshops. Because of their particular style requirements, barbershop singers usually take a keen interest in acoustical matters and often present lessons on the intricate relationship between the formant frequencies and the configuration of the common partials.

Conclusion

With this small sampler, we hope to have stirred the reader's interest in the field of choir acoustics, which of course encompasses many more topics, such as room and stage design, choral formations, the use of choral risers and reflecting shells, the deployment of sound equipment, and so on. More references to literature by others as well as ourselves can be found at www.speech.kth.se/~sten. While many issues are already addressed by the literature, there are still many more questions that remain to be answered. In anticipation of future research (Daugherty, 2000), let us close with some intriguing questions that have *not* been investigated at the time this chapter was written:

- Does a choral piece that tends to go flat generally stay in tune if it is sung a semitone higher, and if so, why?
- How is it that one or two key singers can seem to lead a whole section, while others seem to become expert at following the leader?
- How is it that some pairs of voices sound better together than others?

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Presentation

Hawaii International Conference on Arts and Humanities

1. Title	Teaching Values Across the Curriculum: The Bowling Green Experience (BGX)	
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Abstract

Bowling Green State University has embarked upon a major effort to make the study of values the hallmark of its undergraduate education. The cornerstone of this effort is requiring every freshman to take a course addressing value issues during his or her first semester at the institution. These are 25-student introductory classes taught by regular faculty in many different disciplines which introduce value issues into the study of the standard introductory course material. Beginning with a pilot group of 125 students in 2002-03, the program has grown to 1700 students in 2004-05 and will enroll the entire freshman class (approximately 3700) in 2005-06. This report begins with an overview of the effort, highlights its several special features (the use of undergraduate peer facilitators, a faculty training workshop, and a 2-day intensive student introduction), describes the accomplishments to date, outlines the financing of the program, and speculates about what the future may hold.

Language changes speeded up

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Abstract

The paper presents some results of the project "Changes of the language of the Northern Selkups in the XXth century" which has recently been realized at the Research Computational Centre of Lomonosov University of Moscow with financial support of the Russian Research Support Foundation for Humanities (2001-2003).

Selkup is the only living representative of the Southern subgroup of the Samoyed branch of the Uralic language family, spoken by the Selkups, an indigenous minority of Siberia. Counting 3612 pople (according to the census of 1989), Selkups are dispersed on a large area of Western Siberia between the rivers Ob and Yenisei. The northern, or Tas-Turukhan, group of the Selkups resides in the the Yamalo-Nenets autonomous area and in the Krasnoyarsk territory and speaks the Northern (Tas-Turukhan) dialect. The southern, or Narym, group resides in the Tomsk region and speaks several different dialects. Nowadays the northern group counting 1883 people outnumbers the southern group (1347). The transmission of the southern Selkup dialects from parents to children has stopped since some decades. Now these dialects are spoken only by a handful of elderly people. The Northern dialect is better preserved, though the number of its speakers is being steadily diminished.

A series of sociolinguistic surveys carried out in the places of residence of the Northern Selkups in 1996-2000 revealed that the Northern dialect is now spoken by no more than 600 people and there are very few children among them. Practically all Selkups speaking Northern Selkup are bilingual with Russian as their second or (sometimes) their first language. In the elder generations there are also trilingual persons with one of indigenous minority languages of the area (Ket, Evenki, or Nenets) as the third (or as the second - in the latter case Russian being the third) language.

Within the project shifts in the system of the four still functioning sub-dialects of the Northern dialect of Selkup (the **Middle-Taz,** the **Upper-Taz,** the **Baikha, and** the **Upper-Tolka** sub-dialects) having occurred since the earliest fixations of these sub-dialects (both published and archival data were used) were traced and analysed. The present-day linguistic data was collected during the three expeditions to the places of residence of the speakers of the Northern Selkup sub-dialects held in 2001, 2002, and 2003.

The categories undergoing most evident transformation are *Number* (the lost of the Dual in the Baikha and partly also in the Upper-Taz sub-dialects), *Type of conjugation* of the verb (neutralisation of the opposition of the forms of the subject and object conjugation in the 1st and 2nd person singular manifested differently in different sub-dialects), *Mood* (reduction of the mood system can be seen in all the sub-dialects). Shifts in the argument structure and in the word order can also be seen, not to speak of phonetic changes.

Changes in the linguistic structure of each sub-dialect were regarded against the background of the language situation in the respective dialect speaking communities.

Comparison of the changes going on in the sub-dialects of the Northern Selkups revealed some general trends, but the speed of changes and the concrete realisation of these general trends vary from sub-dialect to sub-dialect.

The role of the total bilingualism of the Selkup speakers in the structural changes of the language is worth discussing. Though there is no doubt that the intensive contacts with Russian contributed to these changes, the contacts could probably just speed up the inner processes slowly developing in the language itself.

Folk beliefs and shamanic tradition among the Northern Selkups to-day

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Abstract

The paper presents a panorama of the present day's life of folk beliefs and shamanic tradition among the Northern Selkups and gives an analysis of dynamics of changes of the proportion of tradition and innovation in the Northern Selkup culture. The data being analysed in the paper was collected in the course of a series of expeditions to the Krasnoselkup and Pur districts of the Yamalo-Nenets autonomous area and to the Turukhansk district of the Krasnoyarsk territory held within the last decade with financial support of the Russian Research Support Foundation for Humanities and Russian Fundamental Research Support Foundation, and Open Society Research Support Foundation. Beside the mere observation of the situation in Selkup villages, folklore texts, life stories, family memoirs, and interviews with inhabitants of these villages recorded during the expeditions are used as the source of the information.

Though, as far as we know, there are no practicing shamans among the Northern Selkups to-day, shamanic tradition in the area is still alive and appears to be rather strong, especially at the Taz River. Sacred sledges with shaman's attributes (shaman dresses, headdresses, images of shaman spirits, drums, etc.) are still drawn through the taiga and tundra of the Middle and Upper Taz. In the villages all along the Middle and Upper Taz people keep telling a story of a man responsible for the sacred sledge of his family with the things of his shaman-ancestor who died some months after he had given some things from that sledge to the local museum. In different villages we were shown people sick for shaman's disease (now most of them try to calm the torturing spirits with alcohol). Shaman songs ('voices') are still preserved in the families having shaman ancestors. A new strong Selkup shaman might still appear some day…

As for folk beliefs, in the whole intergenerational transmission of some of them appears to be better preserved among the Northern Selkups than the transmission of their ethnic language, though with the language being lost they also gradually begin to erode. The most stable are folk beliefs related to hunting and fishing. They are transmitted not only inside the ethnic group, but also outside it. It does not mean that people always respect traditional prescriptions, but in case they break some traditional hunting or fishing rule they usually realize they do it and are fully aware of the consequences which, according to old beliefs, might follow.

Title: "The Rhetoric of Mothering"

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THE RHETORIC OF MOTHERING

"The hand that rocks the cradle is the hand that rules the world." –W.R.Wallace

My mother appears around the edges of my earliest childhood memories – a distant, cool, slightly hostile figure of authority. I avoided her, and she had very little interest in me. She interacted with me only when I could be of some use to her – to run an errand or to carry out some small task. We barely knew each other.

The power of a mother to affect her child's life – either with her presence or by her absence – is profound. For me, that feeling of not being known to my mother was deeply isolating and my young world was a rather empty, insecure place. Without the help of a mother who could "see" me and relate to me, I had difficulty "seeing" myself.

During my pre-teen and teen-aged years my parents found it necessary to leave me to the care of relatives for periods of months or years. At those times I was blessed by the love and attention of people who cared for me, but the sense of isolation, of feeling "outside" relationships, persisted. The lack of maternal acknowledgement during my

early childhood left me unable to fully connect with others. It took me many years to break out of my shell and find my way to the close, meaningful, personal relationships I now enjoy.

What is it about what mothers say – and don't say – to their children that is rhetorically unique, and why is the rhetoric of mothering so powerful?

The rhetoric of mothering is a unique rhetorical form.

By virtue of biology, mothers share a uniquely intimate relationship with their children. A tiny developing fetus begins life rocked in the cradle of its mother's womb, soothed by her heart beat, ear tuned to the frequency of her voice. It is no wonder mothers have such powerful ethos! For a small child, its mother is the author of all answers to questions about life; mother, in fact, defines the very boundaries of her baby's prenatal world.

After birth a special rhetoric bonds mother to child, and through that rhetoric mother continues to largely define her child's world. Under the best of all circumstances, mother and child connect through meaningful dialogue with a special intimacy born of their relationship. But that mother/child relationship and its rhetorical situation arise from more than the unique biological connection. According to Helene Cixous, maternal rhetoric arises from the very essence of women: "In women there is always more or less of the mother who makes everything all right, who nourishes, and who stands up against

separation; a force that will not be cut off but will knock the wind out of the codes." (Bizzell, Patricia, and Herzberg, Bruce, 1528)

Cixous associates nourishment, or nurture, with mothers, but in truth not all mothers are nurturing and not all nurturers are mothers. In fact, not all nurturers are even women. But there is a discernible "rhetoric of mothering" that roots in the uniquely feminine way with which women interact and communicate. Women have special physical and emotional gifts that contribute to the texture of mother/child communication, but the defining characteristic of the rhetoric of mothering is, I believe, women's drive to nourish. It is the "white ink" (Cixous, B&H 1528) with which women write upon the souls of their charges.

Maternal rhetoric nourishes security through a gentle ordering of priorities.

The rhetoric of mothering fits into the larger category of parental rhetoric. Both mothers and fathers have strong rhetorical relationships with their children, and both have similar goals. But the rhetorical styles of mothers and fathers typically differ along gendered lines. In contrast to the style of fathers, which favors delivery of reality without dilution, the rhetoric of mothers typically filters reality through a protective, reassuring lens.

In the opening scene of her book "To the Lighthouse," Virginia Woolf contrasted the flavor of maternal rhetoric with its paternal counterpart:

> "Yes, of course, if it's fine tomorrow," said Mrs. Ramsay. "But you'll have to be up with the lark," she added.

> To her son these words conveyed an extraordinary joy, as if it were settled, the expedition were bound to take place, and the wonder to which he had looked forward, for years and years it seemed, was, after a night's darkness and a day's sail within touch.

> "But," said his father, stopping in front of the drawing-room window, "it won't be fine."

This tight little scene eloquently contrasts the rhetoric of mothering with that of fathering. While the father served up Truth Unadorned, the mother, a character based on Woolf's own mother, draped Truth with a soft, thick blanket of Hope. She nourished her child's tender spirit by offering comforting Possibilities.

> "Perhaps you will wake up and find the sun shining and the birds singing," she said compassionately, smoothing the little boy's hair, for her husband, with his caustic saying that it would not be fine had dashed his spirits she could see.
>
> "And even if it isn't fine tomorrow," said Mrs. Ramsey, "it will be another day."

Nurturing may be a component of any parent/child interaction, but the Ramsays

illustrate a basic difference in the way in which men and women communicate with their children. Although he undoubtedly cared about his son's feelings, the father would not soften the truth to spare them. The mother, on the other hand, surely didn't wish to lie to her son, but she presented truth obliquely, gently. On an essential, emotional level, women process thoughts, see life, and speak to their children differently from men. In a parent/child rhetorical situation, men and women may perceive similar goals, but they assign differing hierarchical arrangements of those goals; women typically place nurture at or near the top of their hierarchy.

"It would be a thousand pities if women wrote like men, or lived like men, or looked like men." (B&H, 1266) Or parented like men.

Maternal rhetoric instills values through emotional appeal.

Recently in the presence of my daughter, Jenny, I expressed my distaste for ordering people around, proclaiming myself to be "not a leader." Jenny found that assertion to be amusing since, in her words, I have been "making her do things all her life." In fact, we were both correct: she has followed my direction all her life, but not because I ordered her around. Rather, I would characterize my management technique as "benevolent manipulation." My directive approach with my children and with my students is to first try to be certain that whatever I'm asking them to do is in their best interests, and second, to try to convince them that they want to do whatever it is that I want them to do. I consider myself to be experienced to the level of expert with this very effective means of furthering my maternal rhetorical agenda.

This appeal to emotion as a means of promoting values and guiding behavior is, like gentling truth, a distinguishing characteristic of the rhetoric of mothering, and it is beautifully illustrated in the writing of Mary Astell. Astell, a self-proclaimed "lover of her sex," was dedicated to the shepherding of women's lives, especially as concerned their educations. Herself a victim of financial reversals, Astell urged women to take responsibility for themselves and to seek educations, both to enrich their lives and to protect themselves from joblessness in the event of financial need.

Astell was unmarried and childless, and yet she constructed classically feminine, maternal lobbies for "doing the right thing" – support for Cixous's assertion that "in women there is always more or less of the mother who makes everything all right." In Astell's construct, first she appealed to her audience's trust in her motives: "I'm only asking you to do it for your own good." Secondly she appealed to their confidence in her judgment: "If I say it can be done, it can be done." And thirdly, classically, she appealed to their guilt: "If you don't do as I ask, I'll be very disappointed." To quote Astell in *A Serious Proposal to the Ladies, Part II*: "For tho I desire your improvement never so passionately, tho I shou'd have prov'd it feasible with the clearest Demonstration, and most proper for you to set about; yet if you will believe it impossible, and upon that or any other prejudice for bear t'attempt it, I'me like to go without my Wishes."

That tone of maternal rhetoric regarding behavior, that tug-at-the-heart-strings format, resonates through time; modern mom's arguments are eerily reminiscent of the arguments Astell directed toward her "children" back in the early 1700s.

The pathos of the rhetoric of mothering is enhanced by women's natural tools.

At least as long ago as 55 B.C.E. Cicero recognized and described the effect of voice and body language on message. In Cicero's dialogue *De Oratore,* Crassius commended Sulpicius: "For never, I think, did I listen to a speaker better qualified in respect of gesture, and by his very bearing and presence, or to one with a voice more resonant and pleasing." (B&H, p 307) According to Cicero, voice and body language are important rhetorical tools, inseparable from message.

Physical devices are no less important to the rhetoric of mothering with its vulnerable, sensitive audience than they were to classic Roman rhetoric. According to Astell, women are innately endowed with expressive tools appropriate to their rhetorical needs. Astell asserts that women's voices are "naturally more pleasing and better suited to … private occasions" (B&H, p. 845) and, one might add, the privacy of family interactions. The maternal voice has exceptional importance as a rhetorical tool since it is one of the first conduits of communication from mother to child; in fact, babies hear and seem to bond to mother's voices even before birth, and children perceive meaning from vocal tone long before they are able to understand language.

Cixous discusses the power of the feminine voice in "The Laugh of the Medusa": "In women's speech, as in their writing, that element which never stops resonating, which, once we've been permeated by it, retains the power of moving us – that element is the song; first music from the first voice of love which is alive in every woman." (B&H, p 1528) The fact of its "firstness" I think gives the maternal voice its extraordinary authority and power. It is no wonder that a mother's tone of voice forever and always colors her message.

Body language is the other important physical rhetorical device. According to Cixous in "The Laugh of the Medusa," women are lushly expressive with their bodies: "Listen to a woman speak at a public gathering (if she hasn't painfully lost her wind). She doesn't "speak," she throws her trembling body forward; she lets go of herself, she flies; all of her passes into her voice, and it's with her body that she vitally supports the "logic" of her speech. Her flesh speaks true. She lays herself bare." (B&H, p 1528)

Cixous' description of women's physical expression is, frankly, alarming to me! Such a vision of myself as an orator makes me want to immediately resign as president of my professional society and seat myself safely in the back of the audience where I am less likely to make a womanly spectacle of myself! But even women more reserved than Cixous' example, wield with their bodies a powerful tool in the rhetoric of mothering. Maternal body language, like maternal voice, is endowed with special power simply by virtue of the physical intimacy between mother and child. Children are acutely attuned to their mothers' non-verbal messages, and they respond deeply to those messages. The unusually strong expressive quality of women's body language and voices contribute to the power of the rhetoric of mothering.

Active listening is an important rhetorical tool.

Careful listening is probably as important to the rhetoric of mothering as is effective speaking because it is only through active listening that a mother can really understand and communicate with her child. While children are often artlessly honest, they just as frequently lack the communication skills necessary to convey important

feelings and ideas. And children sometimes come up with ideas so peculiar that it is only through the most skillful listening that a normal person can sort them out.

A case in point is my daughter's first air travel experience: Before boarding a flight to California my husband, two older daughters, and I took a small amount of a decongestant medication to prevent the unpleasant sensation of ear pressure that sometimes occurs during take-off. Jenny, the youngest - three years old at that time, didn't want to take any medicine, but she was concerned about the consequences of refusing. I "reassured" her, explaining that the medication only helped prevent our ears from popping. In retrospect I understand why she almost had to be dragged onto the plane, but at the time her reluctance to board was baffling. It was not until she explained that she thought I meant "pop OFF" that such an idea even occurred to me.

"Hearing" and understanding children's thought processes is a real communication challenge, but fortunately, listening is an art women have been practicing for generations. In *Professions for Women* Virginia Woolf observes: "Living as she did [in the 19th century] in the common sitting-room, surrounded by people, a woman lived almost solely in her home and her emotions." While women are no longer confined to sitting-rooms, they still tend to be ardent people-watchers, gifted with the active listening skills so important to the rhetoric of mothering. According to a Jewish proverb, "A mother understands what a child does not say." That intuitive connection between "orator" and "audience" is unique and essential to the rhetoric of mothering; intimate listening is yet another tool in the powerful arsenal of the rhetoric of mothering.

The rhetoric of mothering is fraught with special challenges.

Maternal rhetoric is the very earliest and the most intense rhetoric to which most people will ever be subjected, and as I and many others can attest, the effects of it badly applied can be devastating. Just as women's natures and gifts can be powerfully positive gifts, they can also be equally dangerous weapons.

Mothers' often acute listening skills can be particularly dangerous. Listening and "learning the audience" is critical to effective maternal rhetoric, but there is an exquisitely fine line between active listening and invasion of privacy. That fine line represents a child's most personal boundary - a boundary that must be scrupulously respected in order to avoid intruding too far into a child's space at the risk of damaging his self esteem and sense of safety. Discernment of that fine line is one of the greatest and most important challenges to the rhetoric of mothering; it requires "listening" for the subtle clues of encroachment, and it demands maternal exercise of sensitivity, good judgment, and basic human decency and respect for one's child.

The intimacy of the emotional relationship between mother and child is a treasure and a unique opportunity for close communication, but it is also a danger. Just as it is wrong for a mother to push too deeply into her child's comfort zone, it is equally inappropriate for mother to draw her child too deeply into her own space. Rhetorical boundaries can be mine fields between mother and child.

Another fine line that presents a problem for maternal rhetoric is the line between legitimately manipulating and molding a child, and crushing the child's individuality. The rhetorical skill that makes one accomplished at the art of gentle manipulation is a dangerous weapon when applied unfairly.

Mary Astell uses benevolent manipulation to nurture "good" behavior and positive human relationships among her readers. In *A Serious Proposal to the Ladies, Part II*, Astell tells her readers that they "are good" in hopes that they will succumb to her rhetorical persuasion and "be good." "No Ladies, Your Souls are certainly of a better Make and Nobler temper, your Industry is never exerted to pull down others but to rise above them." (B&H, p 848) Astell told her readers that they were a particular thing, and the ones who believed her probably became that thing.

The use to which Astell applied her rhetorical power was a positive one. The problem arises, however, when a mother tells her child that he or she "is" a thing that the child "is" not. Because maternal rhetoric has tremendous ethos for a child, and because the rhetoric can be so subtle as to be unnoticeable even to the parent, a child can be confused or badly injured by such manipulation. Sarah Grimke wrote in her *Letters on the Equality of the Sexes and the Condition of Woma*n": (Such a woman as visits the needy) sees in her children, creatures bearing the images of God; and she approaches them with reverence, and treats them at all times as moral and accountable beings." (B&H, p 1054) That is a lovely sentiment and certainly the ideal way for a mother to regard her child. But when mothers, as they all too often do, see their children as "bearing the images of themselves," they may commit the grave injustice of trampling individuality and using their considerable rhetorical power to try to mold a sovereign individual into someone whom that individual is not.

The rhetoric of mothering must intensely embrace - and then firmly release its audience.

The uniqueness and power of maternal rhetoric derives from the nature of women and from women's capacity for giving. Cixous observes of women in *The Laugh of the Medusa*: "On the one hand she has constituted herself necessarily as that "person" capable of losing part of herself without losing her integrity…She doesn't "know" that she's giving, she doesn't measure it; she gives, though, neither a counterfeit impression nor something she hasn't got. She gives more, with no assurance that she'll get back even some unexpected profit from what she puts out."

At the same time she gives to her child, the mother must prepare to give up her child. Bitter irony. Woolf asks the question: "Often nothing tangible remains at the end of a woman's day. The food that has been cooked is eaten; the children that have been nursed have gone out into the world. Where does the accent fall?" (B&H, p 1259)

That juxtaposition of the giving - and the giving up - is hauntingly familiar… Ah, yes… Birth. Mother nurtures a child within her body for nine months, and then in a heartbeat the birth process separates mother from child. Mother through maternal rhetoric reties the umbilical cord, but then must progressively and sensitively loosen that cord as the child, under her guidance, matures. Mother who so fully embraced must at last, once again, let go. This letting go is the final challenge – and strength - of the rhetoric of mothering.

THE DEATH OF ALEXANDER THE GREAT: ALCOHOL POISONING AND SOME CASE STUDIES FROM HIPPOCRATES

By Robert B. Kebric

I.

It is certainly an odd state of affairs that the circumstances surrounding the death of Alexander the Great in Babylon over 2300 years ago is still a "hot" topic today due, in part, to the release of the Oliver Stone film, *Alexander*, and anticipation of another cinema offering about the Macedonian king by Baz Luhrmann. Although the real Alexander did not die as quickly as Stone's film did at the box office, bookstores had previously filled their shelves with reissues and new publications on the young monarch. Articles about what caused Alexander's death also have been popping up so frequently in medical journals that one would think he had died not in 323 B.C. but only a short while ago. An August 2, 2004 entry on **discoverychannel.com**, for example, summarized many of the latest medical proposals under the rubric, "Alexander the Great's Death Debated," with theories that include poison, malaria, cirrhosis of the liver, typhoid, and even west Nile virus, the latter disputed in the July (2004) issue of *Emerging Infectious Diseases*, published by the Centers for Disease Control and Prevention. Clearly, the subject of his death remains controversial.

It was never my intent to add to the controversy (in fact, I was unaware of the extent to which Alexander's death had recently been fascinating so many medical professionals) —but only to point out that there are a number of case studies from the medical corpus of Hippocrates related to alcohol poisoning that may be pertinent in solving the mystery

behind Alexander's dramatic end. As far as I know, this is the first study to actually look at ancient medical records to ascertain if any there are any similarities between cases mentioned in them and the symptoms Alexander is said to have suffered during his final days. It would seem a logical methodology to pursue since there is a day by day account of the king's physical decline given by two well known ancient writers, Arrian and Plutarch. Neither of them specifically gives an opinion as to what it was that killed the king—they only repeat what their source(s) say-- but they do include the major symptoms that Alexander was experiencing. Their version of the king's death, however, has been challenged more than once by historians. In fact, as in the case of the more recent medical theories mentioned above, every other previous version of Alexander's demise has been challenged at one time or another by classical scholars. The arguments have been aptly summarized by Professor O'Brien, whose Dionysian theme in *Alexander the Great: The Invisible Enemy* (1992) supports, as in this paper, an alcohol-related death for Alexander; in Robin Fox Lane's *Alexander the Great* (Penguin Book reissue with updates, 2004); and Paul Cartledge's new life of *Alexander the Great* (2004). The only observation I will make is that when all is said and done, neither the historians nor the medical experts have offered any *conclusive* explanation about what actually killed the young king. A dubious sudden pain in his back is said to indicate one cause; his inability to speak means another; and now even chance sightings of birds passing overhead imply west Nile virus. Drawing conclusions about Alexander's death from single comments or combining various symptoms mentioned by ancient sources seems a fruitless exercise, and the bottom line remains the same-- Arrian (7.25.1-26.3) and Plutarch (*Alexander* 75.2-77.1) provide what is just as likely to be an accurate account of Alexander's death as

anyone else. In respect to the medical details they describe, if cases can be found in the medical corpus of Hippocrates which include symptoms similar to what Arrian and Plutarch cite for Alexander, there is an even stronger argument for their narrative about the king's final days being genuine.

Arrian and Plutarch both give the *Royal Diaries* (*Ephemerides*), the daily record of the king's activities, as their source of information for how Alexander's fatal malady progressed through his last days. O'Brien has briefly outlined their accounts (223), and although his "subjective" treatment did not convert many to his view of alcoholic poisoning (e.g. F.W. Walbank, *Review*: *A Literary Supplement to Education*, second issue, Nov. 20, 1992, who, conversely, believes that the present paper "strengthens the case…in a way O'Brien did not."), his reconstruction may serve as the basis for my discussion. It generally follows that of Fox Lane and Peter Green, another historian of Alexander (1991).

On May 29th (the Greek month, Daesius, day 16), Alexander made sacrifices, sharing the victims and wine with his men, and drank late into the night at an elaborate banquet in honor of his admiral, Nearchus. When Alexander was about to leave, Medius, one of his most trusted officers, approached and invited him to drink further at a more intimate carousal where Alexander continued to drink heavily. He finally returned to his quarters, bathed, and slept until dinner on May 30th (Daesius 17) when he supped again with Medius and, again, drank late into the night. Then feeling feverish, Alexander tried to cool down by bathing and subsequently sleeping in the bathhouse. By the next day, May 31st (Daesius18), Alexander had become so weak that he needed a litter to carry him to perform his sacrifices. He subsequently briefed his officers and ordered that his litter be

carried across the Euphrates River to the gardens there, where he attempted to refresh himself. On June 1st (Daesius 19), he played dice with Medius, and the following day (20), Alexander again met with his officers. However, when his fever worsened and his condition declined, he was carried back across the river to the palace, where he could receive better care. June 3rd, 4th, 5th, and 6th (Daesius 21, 22, 23, and 24) showed no improvement, and by June 7th (Daesius 25), Alexander had lost the ability to speak. Over the next two days (Daesius 26 and 27), his condition worsened, and his troops, fearing he might already be dead, demanded to see their leader. They paraded by his couch in single file, and though speechless, Alexander raised his head and moved his eyes to acknowledge them. Toward evening on June 10 (Daesius 28), Alexander died. He was not yet thirty-three years old. Using this reconstruction, the length of Alexander's ordeal (starting when he first felt feverish late on the night of the 30th) was twelve days, and there does not appear to have been any obvious reason for the onset of Alexander's fatal illness other than his heavy consumption of alcohol, which continued throughout his final days.

That the most *immediate* cause of Alexander's death as described by Arrian and Plutarch appears to have been alcohol poisoning can hardly be a surprising revelation since it was a common occurrence in antiquity and not infrequent within Alexander's own experience. Strong evidence concerning the death of Alexander's closest friend, Hephaestion, indicates that it was the result of heavy drinking. Elsewhere, it is written that after the death of another valued friend, the Indian philosopher Calanus, Alexander proposed a drinking contest in which 42 of the competitors, including the victor, died from consuming too much uncut wine (see discussion in O'Brien, 196). There are many

other examples of excessive drinking throughout the source material, and they all cannot simply be dismissed as sensational reporting. Wine in quantity may not always have been available throughout the course of Alexander's lengthy campaign, but when it was (even when not the best of quality), it appears that no one was shy about drinking it. There was certainly no shortage of it at the end of his life. Even A.B.Bosworth (*Conquest and Empire: The Reign of Alexander the Great*, Cambridge [1988]: 155), who suspects the authenticity of *Royal Diaries'* account of Alexander's death recorded by Arrian and Plutarch, still states unequivocally that, "The intemperance of the court was….assuming legendary proportions, and the excesses…were to recur periodically throughout Alexander's last months of life".

That a direct connection between wine and death was widely known in the ancient world is attested by Plutarch's observation (*Antony* 77.3-4) that Mark Antony's call for wine as he lay dying from his self-inflicted wound may have been specifically intended to hasten his end. That being the case, Alexander would have done himself no good by doing the same during his fatal illness. Plutarch also quotes Aristobulus (*Alexander* 75.6; see also, O'Brien, 'Postscript"), one of Arrian's two major sources and a contemporary of Alexander who served with him and was probably present when the king died, as specifically stating Alexander became so feverish during his final illness that he continually drank wine to relieve his discomfort. He subsequently became delirious--and died. Nothing over the millennia has changed to contradict assertions about the deadly effects of overindulgence in alcohol, as reports of deaths from drinking binges on modern college campuses as well as warnings about alcohol poisoning are ubiquitous.

The tradition of Alexander's final days which Arrian and Plutarch preserve had to have been a strong one as late the second century A.D. because both writers selected it, independently, as their definitive explanation for the king's death. Perhaps it was the tradition's stated dependence on the *Royal Diaries* which gave it more credibility than other accounts. Of course, it is also fair to say that some four centuries after Alexander's death, neither Arrian nor Plutarch could have had any way of knowing whether the tradition they were reporting was accurate or not. Consequently, the legitimacy of the *Royal Diaries* in this matter *should* be questioned; but, unfortunately, there are as many arguments in favor as against accepting them as legitimate. For the purposes of this discussion, however, it is not the weight of learned opinion that will decide the case one way or the other. A more profitable course to pursue, I would offer, is one related to the medical details recounted by Arrian and Plutarch concerning the day by day progress of Alexander's decline and death. If they can be demonstrated to be medically sound and consistent with independent ancient medical observations about alcohol poisoning in ordinary cases unrelated to Alexander-- free from the kind of bias which critics have charged distorted the actual facts of the king's demise-- then the account given in the *Royal Diaries* has to be given more serious consideration as authentic. Fortunately, as I have previously stated, there are a number of cases of alcohol-related deaths recorded in the medical corpus of Hippocrates which are pertinent to the discussion.

II

The first case from Hippocrates (*Epidemics* 1, Case 2) most resembles that of Alexander and concerns a young man about twenty named Silenus. Since Silenus had a

physician attending him and continually noting his symptoms, the progress of his illness is fully recorded as a medical record. There may also have been physicians present to tend Alexander (although he had reportedly executed Hephaestion's physician for not preventing his death the previous autumn, which was certainly not an incentive for doctors to rush to the side of the ailing king), but the king himself had a vast medical knowledge which he displayed often, and he had been very drunk and seriously ill before. Not even he would have had any reason to expect a more adverse reaction on this occasion than any he had experienced before. A detailed record of his progress during the first days of his illness may never have existed, and even if one did, we cannot know about it since our information is based entirely on entries Arrian and Plutarch say were from the *Royal Diaries*, which was not a medical record. Consequently, we have only those symptoms recorded in the sources on which to base our comparisons.

Silenus is described as having gone into a fever after "drinking" (implying excessively) and unwisely overexerting himself, conditions which can equally be applied to Alexander-- especially, in regard to the latter, considering the stress he was continually under and the irregular rest he had immediately preceding the development of his fever. Plutarch adds that Alexander was grieving, too, because he had just received oracular responses concerning his dearest friend Hephaestion, whose death he was still mourning. He was also drinking excessively. In the case of both Alexander and Silenus, then, immoderate drinking, mixed with immediate stress and fatigue, first brought on what would prove to be the fatal ailment.

The *Royal Diaries* indicate that Alexander's fever did not appear until late the following day after an entire night of heavy drinking and carousing. It was preceded on

that same day by additional heavy drinking. Silenus' symptoms also do not appear to have manifested themselves immediately but sometime after his overexertion and drinking. Enough time had passed for him to feel it necessary to summon a physician, and his malady had developed to the point that certain unhealthful conditions were observed on what is described as the "first day". Thus far, the illnesses of Alexander and Silenus appear to be running a similar course, and for the purposes of this inquiry (so that we may follow the decline of both men more exactly), the circumstances allow us to equate *Day 1* for Silenus with what was May 30th, or *Day 1*, for Alexander.

Over the course of their illnesses, both men are described as intermittently dry-mouthed or thirsty, delirious at times, with extreme feverishness, and they were fitful. Of greatest interest, however, is the fact that Alexander and Silenus both become speechless at about the same time-- *Day 8* (Plutarch identifies it as *Day 9*, but his account is clearly an overlap from the night of *Day 8*). It appears, then, that both men's illnesses, arising from similar causes, were developing along the same lines, especially since death comes to Silenus on *Day 11*, while our reconstruction above has Alexander die on *Day 12*. However, if we had started our count on the first *full* day that Alexander was sick, our model would shorten by a day, and Alexander would also have died on the eleventh day of his illness. Whatever the case, the progress of Silenus' and Alexander's decline is, medically speaking, remarkably similar, and the *Royal Diaries* are close in their content to actual medical observations gathered on site about Silenus, whose death we know was instigated by immoderate consumption of alcohol and physical exhaustion. It would appear, then, that Alexander's experience as related by the *Diaries* reflects general symptoms as real as those which Silenus experienced and has not been randomly

concocted as some have charged. That being the case, are there any other reports in Hippocrates that might further conform the legitimacy of Alexander's medical record?

Remarkably, the corpus of Hippocrates includes at least four other cases of adult males in which excessive drinking is specifically cited as a primary, if not *the* primary cause of illness. A fifth describes "a careless way of living," which most would assume to include carousing and the unwise use of alcohol, along with labor and fatigue as causes. They are (in order of appearance in the Hippocratic corpus) a man who is not named (*Epidemics* 1, Case 12), Philistes (*Epidemics* 3.1, Case 4), Chaerion (*Epidemics* 3.1, Case 5), Pythion (*Epidemics* 3.17, Case 3), and another whose name is not given (*Epidemics* 3.17, Case 16). One of these men, like Alexander and Silenus, is described as fatigued when he imbibed too much alcohol, while another was "hot" when he did the same, indicating overexertion. The five subjects also variously display symptoms that include acute fever, chills, dry-mouth or thirst, and they are at times fitful or delirious. They also share other medical details with Silenus (which are not available for Alexander). One even dies, like Silenus, on the eleventh day; another is cited as unable to speak on the second, fourth, and eighth day of his illness, and was completely speechless on the tenth day when he dies. The "silence" described for the patient in Case 16, also on day ten, may have been the result of the same inability to speak-- but that individual does not die until the twenty-fourth day. Obviously, the length of each patient's illness depended on his ability or inability to resist. Of the remaining two patients, one dies on the fifth day, while the last recovered completely on day twenty. Clearly, death not need have been the automatic result of the ailment, and Alexander, too,

might have been restored to health—a fact which may have contributed to the early lack of concern about the seriousness of his condition, both by himself and his companions.

Ancient medical observers could go only by what they knew and saw. No one case is ever exactly the same as another, and, to be sure, these individuals may have had pre-existing conditions or problems which exacerbated whatever ailments they had. Nonetheless, the medical observer specifically cites in each of these cases that the common starting point for the immediate medical problem was drinking immoderately and usually some form of stress—and, from that point on, the individuals share many of the same symptoms. There is enough consistency among their experiences to posit a working diagnosis for the attending physicians, and that diagnosis can best be described as what we today call "alcohol poisoning." Why, then, would it be any different for Alexander when we review the details given by Appian and Plutarch for the progress of his demise, so similar to those cases mentioned in Hippocrates? Why need his immediate condition, too, be the result of anything other than alcohol poisoning--except for the fact that *he* was Alexander the Great? We do not like to concede that what fells common men can also afflict someone like Alexander.

Judging from these cases in Hippocrates, it is clear that someone observing Alexander's final illness was also likely to have concluded, as the *Royal Diaries* seem to, that heavy drinking, combined with fatigue and stress, led to Alexander's death. Some writers, even in antiquity, suggest that Alexander was poisoned. Both Plutarch ("pure invention") and Arrian ("they're just stories") deny it, but tell of others who relate elaborate stories about how an unlikely foreign substance could have been secretly transported and administered to the king by his enemies while he was drinking and

feasting. Even Aristotle is somehow involved! Cartledge rushes over the death in his recent book, but, unfortunately, lingers long enough to give new heart to the poison theory, citing that a "low-level dose of strychnine would fit with his reported symptoms" (p.215). Poison also well suits mystery writer Paul Doherty. His new offering entitled, appropriately, *The Death of Alexander the Great* (2004), in which even the chapter heads have too many question marks, has Alexander's general, Ptolemy, administer the fatal dose of arsenic. A similar 2004 effort by Graham Phillips (*Alexander the Great: Murder in Babylon*), whose previous inquiries have included the *Grail* and Robin Hood, places the blame on Roxane, who returns to strychnine as her poison of choice.

Ironically, it was heavy drinking which may have been part of Alexander's regime to prevent such a thing from happening since no one could consume so much wine without continual vomiting; and it certainly would have also diluted any immediate foul substance introduced by mouth and reduced its effectiveness—or negated it. Caesar, it may be recalled (Cicero, *Letters to Atticus* 13.52), was on a regular course of emetics to thwart those who would poison him. One also has to wonder how much food Alexander could keep down, a lack of which over an extended period would have weakened him further during his illness. A direct poisoning of the king would also have been a difficult proposition since there could be no certainty about the result. Alexander had an iron constitution, knew he could be poisoned at any time, and was as medically knowledgeable as his physicians. Not only that but there were also no known poisons which could conveniently string out the king's death and go unnoticed over a period of time. Their effect would have been immediate—and fatally suspicious for any hopeful conspirators. Lane Fox, I think, has best summarized the arguments against poison,

although he is still ambivalent enough for Oliver Stone, who followed his account, to have Ptolemy admit in old age that the high command poisoned Alexander (and then have the scribe taking his dictation tear up the page on which the admission was made). With so many suspects hovering over the corpse, it is surprising the 'Alexander Death in Babylon' board game has not already appeared in stores!

The most revealing independent evidence that Alexander was not poisoned, however, was the condition of his body after death. Plutarch (*Alexander* 77.3) says the body showed no signs of corruption by poison. Viewed by itself, this might not be regarded as compelling, but centuries after Alexander, the Roman imperial historian, Tacitus (*Annals*, 2.73), is revealing when he absolves the Emperor Tiberius (even though Tacitus detested Tiberius) from having the young prince Germanicus poisoned for the same reason. The body was placed on display for the public to see in the main square at Antioch, and Tacitus admits it showed no outward signs of poisoning. (Interestingly, Tacitus even compares Germanicus's youthful death with that of Alexander.) Obviously, if by Tacitus' time in the early second century A.D., there was no poison which could be administered without later showing tell-tell signs on the body, then the same would have been true during Alexander's day—and in his case, the body would remain on display for centuries at Alexandria. Plutarch, then, is correct in his observation that someone would certainly have noticed if the body had been poisoned. Plutarch also says that five years passed before anyone even started to suspect poison. On the other hand, alcohol was poison enough if consumed in large quantities. If some in the high command had indeed wanted Alexander dead, they had already seen enough of their number die from alcohol poisoning over the years to know its effects could be deadly. Encouraging Alexander to

drink as much as he did at the end of his life, as Medius apparently did, would eventually achieve their desired effect—and no one would be the wiser (or could prove otherwise). But even this is speculation.

III

To conclude, Alexander's affliction was one which affected only him—a singular death. Whatever it was that killed him was not infectious and was so specific that no one else eating or drinking what he ate and drank died. Considering all the portents, signs, and sensational material coloring Alexander's final days at Babylon, we certainly would have heard about it if others in his company had died. There is nothing. When the medical details included as part of Arrian's and Plutarch's accounts of Alexander's death are compared with specific unrelated cases in the corpus of Hippocrates, the most convincing immediate reason that emerges for Alexander's death is that he *did* ultimately die from the effects of alcohol poisoning. N.G.L. Hammond's conclusion that death from alcoholism (which would discredit Hammond's otherwise favorable impression of Alexander) is not consistent with the detailed report in the *Royal Diaries* (*The Genius of Alexander the Great*, The University of North Carolina Press [1997]: 198) is no longer defensible. Critics may wish to argue that conspirators, too, could have been familiar with the symptoms and progress of alcoholic poisoning from sources such as Hippocrates or personal observation, and put out details similar to those later attributed by Arrian and Plutarch to the *Royal Diaries* to cover far more dastardly causes for the young king's death. However, the more rational conclusion is that Alexander simply died unexpectedly from the same cause that thousands, likely millions died from unexpectedly

in the ancient world—and continue to die from today. Alcohol poisoning *is* the most compelling—and *most demonstrable*-- explanation for what happened to the man who was perhaps the most dynamic individual the world has ever known.

Creative Writing at ASU poster session:

The Virginia G. Piper Center for Creative Writing at Arizona State University

Topic: Information on the Piper Center's international program emphasis, publishing opportunities, and student and faculty foreign exchange programs.

Presentation Format: Poster session

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Abstract:
The Virginia G. Piper Center for Creative Writing at Arizona State University is fast becoming a dynamic force in the international artistic community through innovative and collaborative educational and artistic programming. The International Conference on the Arts and Humanities provides a unique and valuable opportunity to share the Center's growing programming initiatives and develop new collaborative relationships to benefit our educational and artistic communities. As the Center begins its second year, we see this international conference as an ideal way to reach and engage our global colleagues.

The Piper Center program will be a four-part presentation:

1. The Piper Center vision and current programming. A 10-minute introductory PowerPoint presentation.
2. International student and faculty exchange initiatives. A 15-minute presentation by Artistic Director, Dr. Jewell Parker Rhodes.
3. Publication opportunities. A 15-minute presentation by Managing Editor, Salima Keegan.
4. Audience Q and A and informal one on one discussions.

Iconicity in Music and Film: Perspectives from Systematic Musicology

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Experimental semiotics has recently explored the relationship between visual and musical patterning, particularly in film. The interdisciplinary approach of systematic musicology, involving theories of meaning in the aesthetic domain, experimental cognitive science, and connections to visual meaning, is employed to investigate iconic relationships; those in which patterns in the musical domain connect to those in film. A taxonomy of iconic archetypes is presented consisting of ramp, arch, and burst along with nestings and combinations of these protean elements. Film examples in which music and visual elements symbiotically reinforce one another demonstrate the usefulness of the taxonomy. Preliminary experimental research at UCLA and connections to the cognitive psychology literature in multimedia in general are interpreted in this experimental semiotic approach. The presentation emphasizes relationships among domains through audio/visual demonstration rather than scientific jargon and detail.

1. Title of the submission

"Blue Eyes in a Black World: Aspects of Postcolonialism in Jamaica"

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6. Abstract and/or full paper

Abstract

In his 1987, internationally acclaimed novel, *The Lunatic*, Jamaican author Anthony C. Winkler, risibly examines the island's taboos. Its ribald atmosphere is infused with assertive social satire, scrutinizing such topics as education and corruptness, colonialism and social injustice, poverty and wealth, race and religion.

The story evolves around the protagonists Aloysius, the village madman, and the German tourist, Inga Schmidt. These two unlikely people meet and, however tenuous, bond friendship; one Jamaican, the other German, one black, the other white, one unlettered, the other university educated, one poor, the other rich, one slave, the other master, one a pacifist, the other an agitator, but both in their own way mad.

As a tourist, Inga is blindsided by even the most ordinary, which seems colorful, exciting, and exotic, simply because it is new. Initially, her writing, documenting, and photographing do not aid her to see beyond the coruscation of her surroundings, which explains why Inga, at first, does not take notice of the Island's rampant pauperism.

Inga shares with most tourists who come to Jamaica the same exaltation about the Island of the sea and sun. As an educated and cultivated German, Inga is well informed, her knowledge gleaned from the multitude of guidebooks available. Yet, she knows very little about the land and its people. However, once her money is spent, she moves into Aloysius' ramshackle dwelling in the bush, from which she can observe the magnificent house of the landowner on the hill above. Living now in poverty herself, she is suddenly struck by the endemic poverty and by the obscene and gaping difference between the

destitute and the conspicuously rich. She now experiences the injustice the islanders have endured over decades.

As the novel progresses, the reader finds out that Inga Schmidt is actually a Red Brigade terrorist on the run from the law. To improve her own living conditions she is willing to use terrorist tactics and employs Aloysius and others to execute her plan to rob the landowner's house. The outcome of this undertaking has disastrous consequences.

In short, I will show how the travails of this relationship between Aloysius and Inga, and the inevitable collision of these two very different cultures become the portrayers of the biting social criticism and satire at the core of the novel.

Art in Four Dimensions

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ART IN FOUR DIMENSIONS

Abstract

This work explores how the use of animation can enhance the viewing experience of traditional media by providing an interpretation of the artwork. Paintings by famous artists were selected as the basis of the study. This paper is intended to be a short overview of the projects that students are developing in a computer graphics class.

(Note: All figures are student images from their animations of 3D worlds. It is intended that at the paper session, some of the animations would be shown.)

Overview

From the mind and the hands of the artist, the vision and the brush, a masterpiece is created. Traditionally two dimensional and static, the best paintings can conjure virtual worlds, convey the thought processes of the artist, evoke sharp emotions. So, what are the possibilities if they are three dimensional and dynamic?

This project does not compare the "quality" of real and digital, two dimensional and three dimensional, static and dynamic. Instead it provides a backdrop for students to explore animation by augmenting a well-known drawing. Architectural subjects were strongly encouraged, a range of paintings was chosen, and different intentions about the role of animation are being investigated. The context of development was an architecture computer graphics course. Generally the students are free to choose which project to examine; one semester it was required that they choose great works of art, but usually it is just one or two students a semester who investigate two dimensional art rather than a building case study.

Initially the students were asked to present their choice of paintings and initial concepts through the use of Adobe Premiere. The movie could be educational, political, entertaining -- it should tell a story or present a vision inspired by the choice of paintings. Still images, video clips, and sound files were combined to make these vision statements. Then the students used 3D Studio MAX to develop the form of their objects, render them, and produce short animations. Repeatedly the students fell into the trap of just wanting to model and render a single three dimensional depiction of the painting without fulfilling the potential of their vision.

This was immediately apparent in the discussions about the QuickTime VR assignment. There are two main types of QuickTime VR, panoramic and object movies. In panoramic views (similar to the pictures that some cameras can produce), a single image depicts a full 360 degree view from a specific viewpoint. For object movies, multiple views are rendered by the computer and stitched together. Once again, only a single viewpoint is used. Generally, panoramic views work best when the viewer is surrounded, for example in an interior of a building or courtyard or landscape that extends completely around. Object movies tend to distance the viewer from the scene as often the objects are seen floating in blank space. In both types, the user interacts with the image on the computer screen by moving the mouse around. QuickTime VR images are not difficult to create in most 3D computer graphics software. The students were excited about the use of panoramic and object movies to show their worlds, especially since the computer was doing much of the work. Yet, the potential of adding non-continuous imagery about their project was met with skepticism. The verbal example given to the students was the development of a QTVR object movie that evoked emotions associated with the Vietnam Veterans Memorial in Washington, D. C.. As the viewer interacted with the movie, views of the memorial would be shown from different vantage points (typical of an object movie), initial sketches of the design with Maya Lin, images of the Vietnam War, a sound clip from Walter Chronkite, pictures of demonstrations. Other professors, notably Nancy Chen at the University of Oregon, have had much better results with her students.

More interesting projects were developed by the students through the use of animation in 3D Studio MAX and then adding sound, static images, and transitions in Premiere. Interactivity is strictly controlled in an animation; the viewer can start and stop the animation, but cannot choose to go somewhere else. This

restriction allowed the students to present their 3D world in a highly constrained manner that concentrated their vision or message about the artwork.

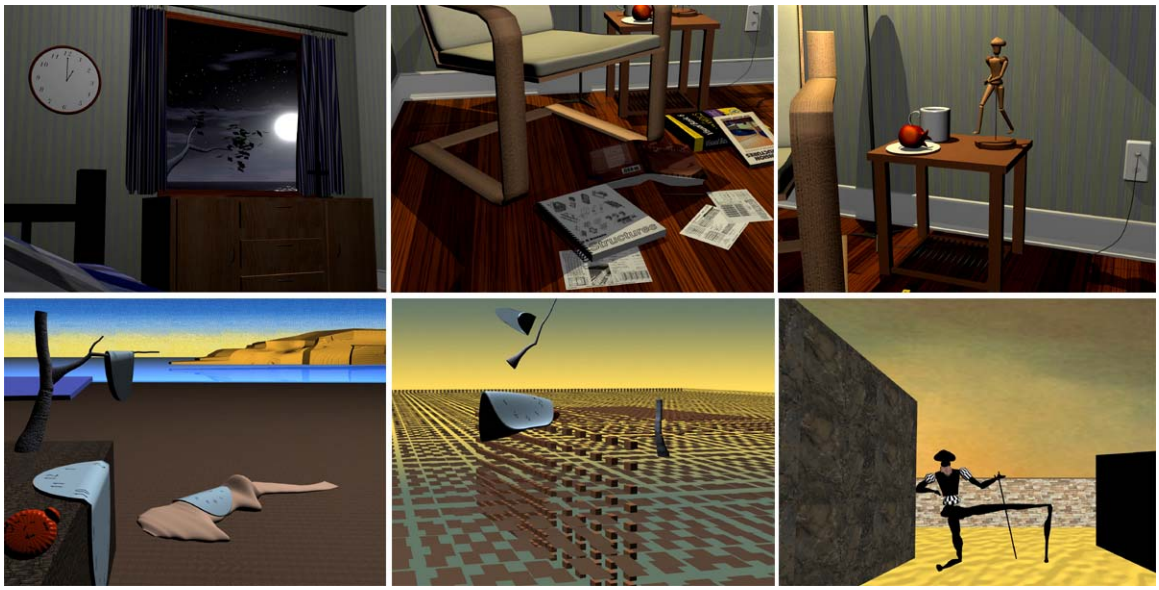
Even a simple tool like animation provided students with multiple ways of thinking about their paintings. In response, the students have developed animations that interpreted the paintings in a variety of ways from straightforward depiction of a 3D world to interpretation of abstract paintings. The most common technique has been to use clues in the painting to develop a 3D world that an imaginary visitor wanders through or watches. This is easiest when the drawing itself depicts architectural elements such as a Lebbeus Woods' sketch (Beisswenger) or science-fiction futuristic cities. The worlds themselves might be developed to look realistic or in the style of the painting; in this example the world has been rendered with the brush strokes of Van Gogh (Peng). Or within the painting, environmental elements like the sun and wind are animated. (Puri)

Melanie Beisswenger (spring 1998), inspired by *Houses in Tension* and/or *Reconstruction of the Air-Space*, a design for Sarajevo, Lebbeus Wood; Yu-Wen Peng (spring 1998), inspired by *The Cafe Terrace at Arles at Night,* Vincent Van Gogh; Anshul Puri (spring 1999), inspired by *Interior of a Kitchen*, Martin Drolling

Similarly, a series of paintings by the same or different artists may be linked together in semi-navigable worlds. The artist might not have intended that the images portray the same place, but the styles and subject matters are often similar enough to link them together. With Rene Magritte's paintings, the viewer is taken to places of the paintings and then places that could have been his paintings, but are instead student interpretations of his work (Satoh). And for a series of paintings by Edward Hopper, the interior of a lighthouse is quilted together, and a contrasting mood between the lighthouse at work in a storm and the tranquil setting of the paintings of the interior is established (Ratto). The best animations that were produced are contained works of art that the student knows well. In the Dali series, the story starts out in a bedroom; notice the different elements such as the pomegranate, clock, cross, cup, tree, and wooden manikin. These objects later make an appearance in the dream sequence that highlights the paintings. In both Dali's (Rodrigues) and Magritte's (Satoh) worlds, not only do the visuals, but the choice of the music enhances the experience.

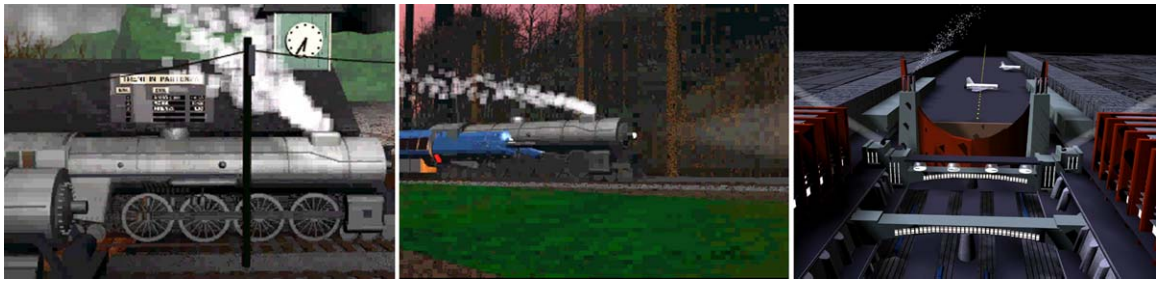
Mike Satoh (spring 2001), inspired by *Telescope, The Unexpected Answer, The Listening Room,* and *The Son of Man*, Rene Magritte

Jeffrey Ratto (spring 2001), inspired by *Lighthouse At Two Lights, Carolina Morning, Western Motel, New York Movie, Room In New York,* and *The Lee Shore*, Edward Hopper



Kavita Rodrigues (spring 2004), inspired by *Soft Watches, Disintegration, Nuclear Cross, Giant Cup,* and *Vermeer*, Salvador Dali

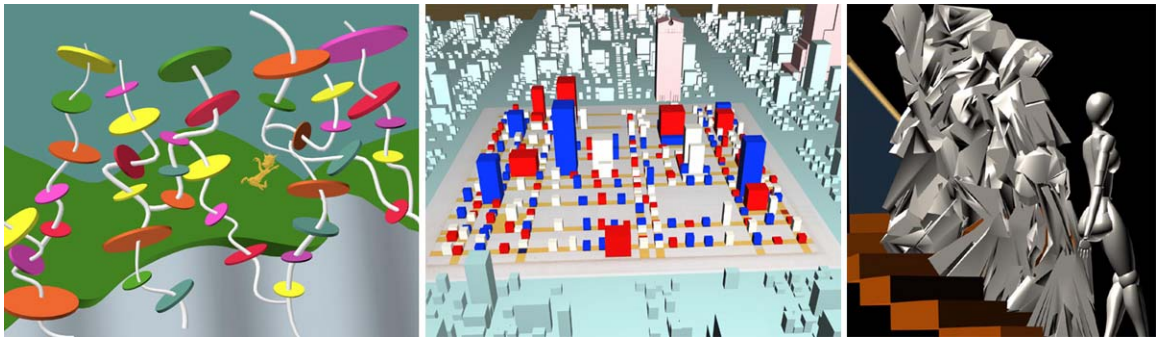
The journey sometimes incorporates the element of time, going from the past to the future as in the transformation of the setting along a river or road or is used to create a tension between vision and reality. In *Station for Airplanes and Trains* by Antonio Sant'Elia, the student contrasts the grandeur of Sant'Elia's vision at a time when bullet trains and jet airplanes did not exist (Stage). The animation might also depict an event that happened, but was not shown in the painting as in the burning of Carthage (Balmanoukian). Balmanoukian animated the warships coming into the city and the destruction afterwards.



Chris Stage (spring 1999), inspired by *Station for Airplanes and Trains*, Antonio Sant'Elia

Garo Balmanoukian (spring 2001), inspired by *Dido Building Carthage, The Fall of the Carthaginian Empire, Storm at Sea,* and *Self-Portrait*, J. M. W. Turner

Not all paintings chosen depicted purely architectural themes. Dr. Seuss came alive for a Greek student who had never heard of him before (Paparizou); Mondrian's *Broadway Boogie Woogie* was transformed into an abstract New York City (Sun); and Marcel Duchamp's nude actually did descend the staircase (Huang). This transformation of the abstract into virtual reality has promise for exposing students to the nature of modern art, but aside from obvious parallels, it is difficult to have them draw conclusions from the artwork directly.



Elena Paparizou (spring 1999), inspired by *I Had Trouble in Getting to Solla Sollew*, Dr. Seuss; Ligong Sun (spring 1999), inspired by *Broadway Boogie Woogie*, Mondrian; Siheng Huang (spring 2000), inspired by *Nude Descending Staircase*, Marcel Duchamp

Some students go for pure entertainment in the form of story-telling. In one animation, two bugs fall in love at the diner in *Nighthawks*. The story is inspired by the painting, but is not necessarily about it. In this example, a copy of the student's "movie poster" is also shown. In Khalafyan's project, a piece of Kandinsky's drawing falls into a bathtub in the Villa Savoye. The other abstract objects in the painting

transform themselves into a rescue team and with the Corbu man, rescue their colleague; returning to the painting's frame, they re-assemble into a different image.

Edward Tumanut (spring 2001), inspired by *Nighthawks*, Edward Hopper; Armen Khalafyan (spring 2001), inspired by *Watercolors*, Wassily Kandinsky

Many other ideas about animating drawings are also possible, but have not been done by the students. These include demonstrating the techniques of painting, exploring a three dimensional narrative of how the image involved to become its final form, and generating a interactive world that is hyperlinked to also explain textural facts about the painting, artist, technique, context, etc. It is intended that the students study the art and the artist's intentions critically, but they are also allowed their own interpretations and may decide very differently on how to animate their painting. Hopefully, the animation of the painting will add to the undefined "quality" of the original and provide a transformation of understanding about spatial and temporal characteristics in the mind of the student. The biggest failing in this study has been the repeated problem of lack of content in many of the final animations. The students tend to focus on the visual aspects of the painting without having enough background in art history to make a serious study. More guidance is needed from knowledgeable art historians. An interdisciplinary approach would add depth and layers of meaning to these projects that cannot necessarily be achieved in an architecture computer graphics course.

On the Nature of Representation, the San Bernardino Convent

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ON THE NATURE OF REPRESENTATION, THE SAN BERNARDINO CONVENT

ABSTRACT

People living in landscapes dotted with ancient monuments have respected, reviled, reconstructed, and wondered about the people who lived before them. The yearning to reach across time to explore and understand the ancient past, its people, and the places they lived is a long-standing human experience. Until the 19th century Homer's epic poems inhabited an uncertain landscape but then Heinrich Schliemann dug into the ruins of Troy and gave the bard's words and his Trojan war a home. What a vivid partnership of narrative and archaeology! A vision of the great walls and gates awaiting their final assault and a giant Trojan horse was immediately present in the minds of contemporary men and women who read about these discoveries. Now imagine for a moment what actually was found in those excavations at Troy: scraps of ancient buildings, short stubs of broken walls, shattered pots, a far cry from the imagined state. And was this even the Troy of Homer?

This paper considers the nature of ambiguity, evidence, and alternatives in virtual reconstructions of ancient, historic, and other no-longer-existing environments. These digital renderings and animations may not only seem realistic, but also be judged by the naïve viewer as a completely accurate vision of the past. Yet even within one "realistic" image, the historian had to make informed guesses to complete the model, conjectures that vary from hard evidence about the building (a wall survives) to using comparables (here is a painting from another church that is like the one described by a contemporary) to educated guesses (it is likely that the wall was white plaster, but we cannot be sure). In particular, we will be critiquing the computer rendering of the convent of San Bernardino in order to produce a document that will be a "witness" to the process, a truthsayer to balance the seductive imagery that can be produced in digital modeling. Other techniques for portraying the reliability or accuracy of the base assumptions will also be discussed in addition to an assessment on how this could be important to the field of architecture.

INTRODUCTION

Importance on maintaining the "footnotes" of reconstruction

Transparency between the real and virtual world is desirable, and in certain cases, it is essential. The interpretive power of 3D reconstructions of ancient places is apparent in our research, as it is in the work of others (Serrato-Combe 2001. Snyder and Paley 2001). Both the process and the product of virtual reconstructions provide visualization, communication, and experimentation opportunities that may be difficult to attain using traditional 2D or even static 3D techniques (Heylighen and Neuckernmans 2001:91; Snyder and Paley 2001:63). The ability of creators of virtual reconstructions to enhance and direct cognitive perceptions of antiquity (or of counterfactuals) entails risk (Forte 1997). One risk is that virtual archaeological reconstructions can have a life of their own; they are seductive; they can seem viable. This situation is especially acute when there is no explicit linkage to an evidence corpus such as the type provided in text-based or static 2D reconstructions through footnotes, or when the virtual product is not properly constrained due to the lack of evidence, or when a virtual reconstruction is created without rigorous reference to the extant evidence sources, a problem recently considered by Serratto-Combe (2001). Virtual reconstructions may offer an experience that may be perceived as authoritative. Even careful scholars can be seduced by the realistic imagery, renderings, and animations. Although an archaeologist may know what the columns of a particular temple looked like (having found remains at the site), and may have a fairly good idea of the wall construction (from comparative buildings), and may be a bit vague as to the roof of the building (from vague text resources); still the rendering of this temple might look equally resolved and modeled, thereby inadvertently presenting the same degree of certainty for all aspects.

A variety of existing tools for providing access to the underlying corpus of evidence have already been suggested by researchers in this field, including some that may exist one day in the future (for example, Snyder and Paley 2001:68). The goals of these evidence presentation interfaces have been articulated in a dual manner: (1) to make evidence accessible to the user of the virtual world and (2) additionally to make the experience more immediate, more "real" and more convincing by rendering an ancient place in such a way that the projected or real activities that took place there resonate through to the user of the virtual world (Serrato-Combe 2001).

Quality of evidence

We are addressing the theoretical and practical issues of making ambiguity unambiguous. In seeking to make the level of ambiguity apparent, one major focus is how to use competing or non-definitive sources of evidence as a basis for all or part of a virtual reconstruction. This may occur because of layered occupation episodes at a site. In such as situation the question becomes: which building is being reconstructed among the many possible buildings? In many other cases, the recovered portions of the building or the site may be fragmentary, perhaps because they have been destroyed by any number of formation processes, such as subsequent construction, erosion, or aggressive earth moving for local agricultural or other needs, or the excavation may not have had the resources or the plan to excavate the entire building or site. Whatever the cause, the result is the same: constraints on evidence available for a reconstruction.

Each loss of evidence opens up multiple, possible, and realizable alternatives for a virtual reconstruction, because a less-complete (and thus less-constrained) data set exists as a restraint on interpretation. Only a fully-standing, perfectly preserved, measurable building or artifact would avoid any concern for alternative reconstructions (Anderson and Bilde 2000). Thus, any single presentation of a version of a virtual reconstruction is by its very nature an abridged version of the possible reconstructions. These three-dimensional reconstructions can provide new insights about the objects or architecture being modeled (Note the example for the village of Ceren where clerestory windows were added by the modelers. Novitski 1998). In the case of academic researchers, normally the reconstruction chosen is that which corresponds most perfectly to the evidence and the designers' understanding of it.

Essentially we are interested in maintaining the concept of endnotes and footnotes in a digital reconstruction, in order to show how we know what we know and don't know, and even more specifically, to make clear how confident we are of the various parts of the reconstruction.

RECONSTRUCTIONS

Physical Objects and Architecture

In the museum world, artifacts are regularly reconstructed for display according to the most current understanding of the former reality. In certain cases the original form is contested, or there are multiple possible realizations in existence. Even in these cases, normally, the viewer is presented with the work without commentary about other possible reconstructions in which the object might be realized or reconstructed. In some cases, the museum curators have provided information to the visitors making it clear which parts of the statue are real and which parts have been rebuilt. Imagine a situation where shards of a pot are discovered and then put together like a jigsaw puzzle. The re-constructor can leave the missing parts empty, use a material similar to the object but different enough so that the viewer understands that the material was not original, or make the object look exactly like what he thinks the original object looked like. In the first two cases, it is obvious what is real and what is not, but the completeness of the object is often difficult to discern. And in the third case, a sense of the wholeness of the patterns and shape are apparent, but the information about reconstructed versus original is lost. This is a fairly simple case, real/not real. These techniques are already well established, although the limitations in the real world are notable. Once an object is restored, there is considerable investment

required to change the form to accommodate new data or to experiment. Such constraints are less relevant in a digital domain.

In other instances, museum conservation and restoration practitioners adhere to the so-called 10-inch rule. This approach reconstructs objects so that a viewer can stand at a comfortable distance and get a sense of the object's original form, while allowing the viewer to see, under close inspection, which elements are reconstructed. This is often done with texture and color differences between the original material and the restored material.

In certain respects, this is the conceptual frame on which we are modeling the approaches described here. A viewer can experience the reconstruction fully (as from a comfortable distance) but when desired, can quickly interrogate any portion of the virtual object to isolate and identify the nature of the evidence on which it is based, that is, its connection to the real world, to a body of evidentiary data elements and associated interpretations (as if they were inspecting from a few inches away).

The question becomes more difficult when one looks beyond simple pots to reconstructions of buildings, complexes, and even entire cities. A common archaeological technique for revealing the relationship between extant remains (evidence of a material nature) and the reconstruction is well-known: books using transparent overlays (De Franciscus 2000). The artists' reconstruction is shown on a sheet of paper on top of the physical ruins of the site. This is one step forward from just showing a photograph of the site with an image of the reconstruction next to it.

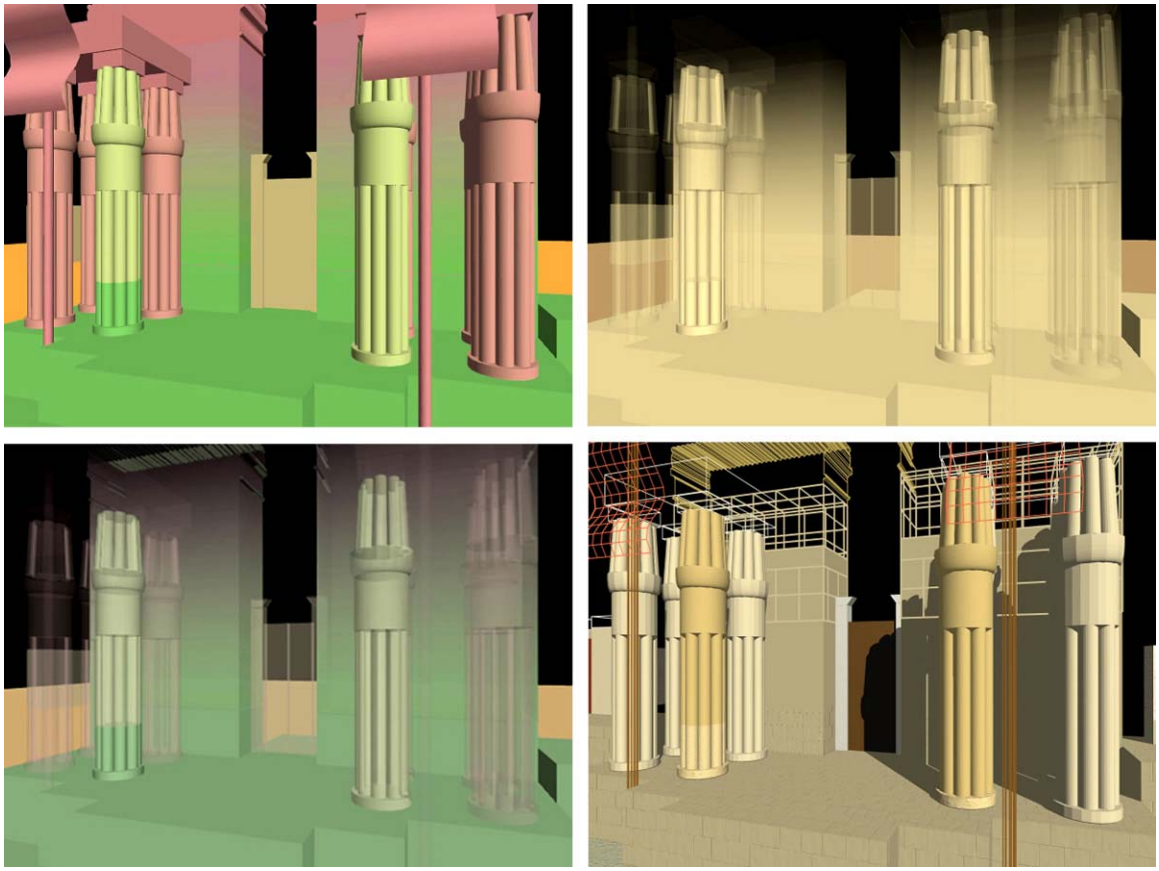
Transparent overlays have been attempted at the site level, in full size. There is an excellent, unique example is situated in Ename, East Flanders, Belgium where virtual reconstructions are projected over the remains of a building (http://www.ename974.org/Eng/pagina/archeo_concept.html). The resources to accomplish this are more substantial, but the relationship between remains and reconstruction is intuitively apparent. Still, however, the reasoning behind the entire reconstruction, while it may be read or voiced, is not made transparent to the viewer, although this could be accomplished within the framework the creators have established.

Historic St. Mary's City in Maryland (http://www.stmaryscity.org/VirtualExhbit/lnadscp.htm) is an excellent example of using multiple techniques to convey information to the visitor. Although they could not use every method for each building, the use of multiple techniques is noteworthy. The curators have exposed actual archaeological remains, built reconstructions of archaeological remains, depicted buildings as framelike "ghosts", and created full reconstructions based on period information of specific buildings (ranging from an indentured servant's hut to the past capital of Maryland). In addition, there are first person guides who act as though they are living in the 17th century to provide a personal view of the site and third person guides who can provide historical perspective.

Range of the methods used at historic St. Mary's City for showing reconstructions: upper left: showing actual remains (floor); upper right: reconstruction of the ruins (the remains were reburied); lower left: "ghost outlines" of buildings (timber frames outlining the edges full size of places they thought buildings existed); lower right: reconstructions of buildings and gardens.

Digital Techniques

Based upon existing non-digital techniques, there are already available several two-dimensional, single image methods of showing the confidence level of the reconstructor. These include false color, mixed opacity values, hybrid systems (in this case false color and different opacity values), and rendering types (wireframe, shading, rendered). All these methods offer the viewer a reconstruction based on some body of evidence that grounds it in reality, but none of these methods necessarily address the issues of ambiguity or the evidence base on which the displayed view of the ruins and its reconstruction in predicated. In addition, mouseovers (similar in concept to the use of transparent overlays) provide a slightly more interactive way of showing real versus virtual.



Examples of methods for showing confidence in a reconstruction: false color (red is less confident; green is more confident), transparency (more transparent, less confident), hybrid (false color and transparency), and rendering types (wireframe, less confident; shaded, more confident).

The Issue of Ambiguity

Now imagine that the aforementioned pot recontructor has detailed knowledge of the shape of the final pot, some good guesses on the colors used, and limited knowledge about the complete pattern. How then can he show the different levels of ambiguity in his reconstruction while still providing the viewer with a sense of the completeness of the pot? Or the archaeologist knows where the foundations of the building are located, has some idea of the materials used for the walls, assumes from other excavations where the doors are located, but has a low level of confidence for the shape of the roof? How can she provide to the viewer a reconstruction and a graphic sense of some of the possible alternatives and ambiguity levels of the reconstruction?

MULTI-MEDIA OPPORTUNITIES

Interactive links between virtual reconstruction to real-world evidence

In some cases the Internet (with its ability to combine both graphics and text) has offered the opportunity to offer both reconstructions and text-based detail as an extension of traditional publications (Jepson and Snyder). This ability to flexibly associate different kinds of data allows information about the reconstruction to be linked, so that details about existing ruins, structural feasibility, textual sources, ancient and modern pictures, comparative examples (appropriate cultural norms), and alternatives offered by other researchers can all be called up and considered by the viewer. Once the viewer has asked for

additional information, there are a wide variety of possible techniques that could be used to convey information: sound, text, scanned photographs, links to other reconstructions, etc. Despite the already considerable multimedia tools available off-the-shelf, we have so far been unable to identify any instance in which the reasoning or the balance or assessment of the value of multiple evidence sources is articulated visually so that the viewer can seamlessly make a transition from their viewing of the reconstruction to the rationale for the reconstruction.

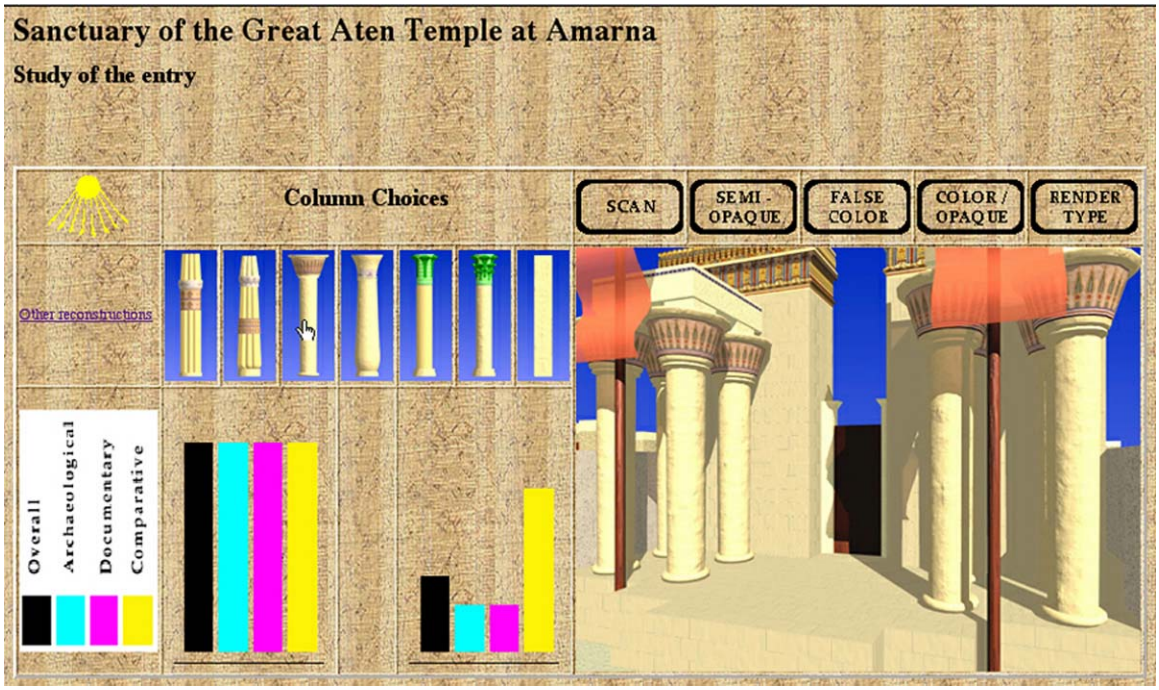
Examples from Tell-el Amarna in Egypt (Temple of the Sun)

Some useful suggestions have already been made about ways to make accessible to the reconstruction's consumer the evidence on which the virtual reconstruction is based (Snyder and Paley 2001: 68). Also, steps have been taken to make apparent the process by which the reconstructions are digitally realized (Samuel and Paley 2000). This is a step in the direction of transparency. Transparency is desirable and entails the presentation of a real world basis for a virtual reconstruction. To address this theoretical issue, we have encouraged to students, through the use of Web page explanations, to essentially annotate their reconstructions with data from excavation reports and interpretations of other scholars. Students were required to keep "design notebooks," which corresponded to the development of their computer models. In these journals the students recorded their questions and uncertainties about their reconstruction. They also recorded evidence and answers to their questions when answers were identified (for example: " what did the column look like? On page 100, Petrie states that he found a partial column base in his excavation of this side of room 8 …").

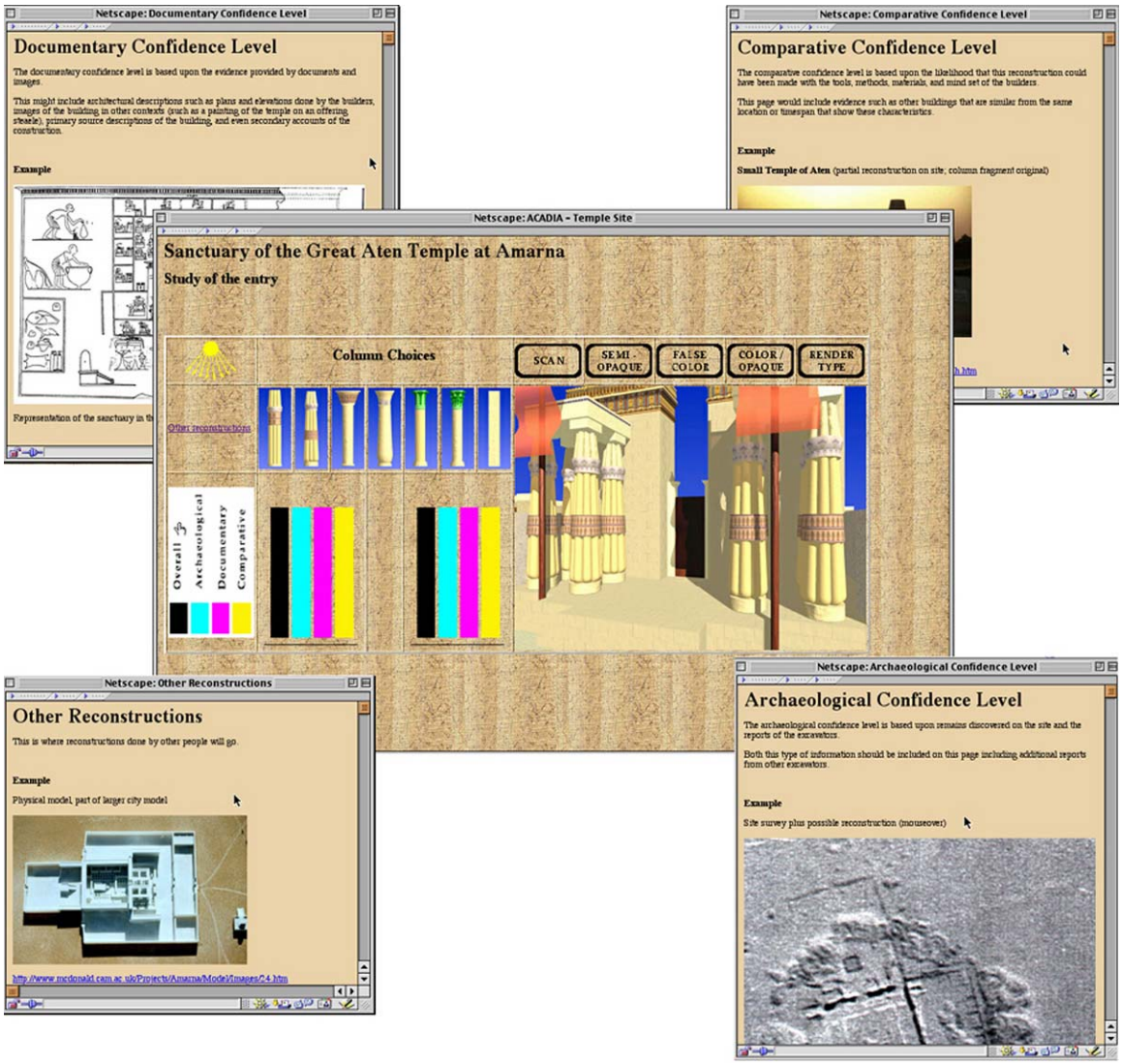
Providing the information statically has the disadvantage that the viewers are required to remove their gaze (their mental presence) from the virtual world in order to assess its relationship to the real world. This strategy fails to realize the possibilities of the virtual world and of the multimedia tools. We have made an attempt to eliminate the divide between the virtual world and its evidentiary basis by allowing the viewer to stay in the reconstruction while also assessing its relationship to the real world evidence and conclusions on which it is based. We have made two in-progress prototypes that offer dynamic, interactive solutions. These are not ideal solutions, but they are a means of addressing this theoretical concern for transparency between the real and the virtual. The prototypes also may stimulate further discussion of the issues and hopefully prompt researchers to create other, better solutions. The intent of these "consoles" as we call them, is to allow multiple evidence streams to be perceived both independently and in interrelation without leaving the virtual reconstruction, but in fact dependent on selecting areas within the virtual world.

The interactive console makes the reasoning process more transparent because it visually shows a multiple-variable array of data categories that comprises the evidentiary foundation. The console also presents the level of confidence the designers place in that evidence and simultaneously shows the summary result. A further step, and an equally important one, is to make clear the interlocking nature of the evidence and the way in which various components of the evidence corpus have been privileged in the creation of the presented version of the virtual world or reconstruction.

In the context of web-based interactive 3D reconstructions, certain areas within an image can be made "live" so that when the mouse moves over them the data appropriate to that area is invoked and causes an interactive, multimedia console to appear. The first console shown was made in Dreamweaver using simple menu-driven commands that produce a series of disjointed mouseovers that link to pages containing further details about the reconstruction and the evidence on which it is based. The console shows the creator's confidence level in the material being viewed. This confidence (or lack of confidence) can be made apparent to the viewer by using real images of the archaeological site, varied opacity levels, false color, and rendering-type depictions of a reconstruction; this links are above the image of the temple portico. Links to other possible reconstructions are also offered so that the viewer is able to cycle through any other options offered as possible alternative reconstructions. In this example, there are multiple possible column types that might be appropriate in this reconstructed Egyptian temple portico.

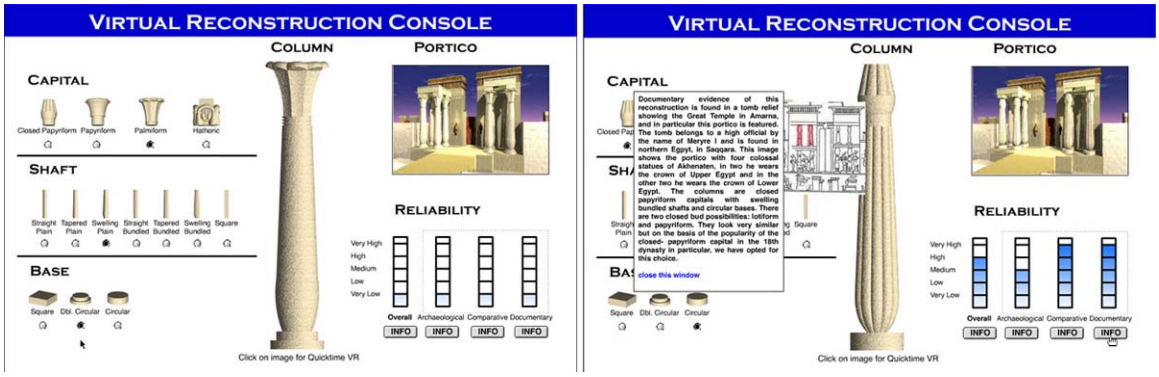


Prototype interactive Web based console designed to allow the user to understand the reliability index of the reconstruction. Each column is placed within the sanctuary's portico as one moves the mouse over the different column types. The confidence level bars interactively change as a different column is selected. Different viewing choices (scanned image, false color, semi-opaque or transparency, color/opaque or a hybrid approach, and rendering type) can be chosen from the menu.



Mock-up showing the pop-up windows that would appear as the user clicked to discover the nature of the reconstructor's evidence for the reconstruction.

A second prototype focused more on user interactivity in producing architecture reconstructions (of a single element) and then providing a "confidence meter" supported by textual evidence indicating the likelihood of that reconstruction. Nick Cipolla, a Ph. D. student at USC, built the computer model of the temple and then used Flash to portray different reconstructions of the portico. In the example shown, the user selects between the choices of capital, shaft, and base of a column. It is intended that the system would prevent "nonsense" selections from being made (for example, a Hathor capital with a tapered bundled shaft on a double circle base). Essentially a morphologic tables of columns is provided with the base, capital, and shaft as the parameters. The column is shown in context, and the confidence meters would activate through mouseovers a mainly textual description for the evidence used in making the reconstruction. In addition, a pop-up window would show a QuickTime VR of the column or other building element being discussed.



A second console design that allows the user to choose different capital, shaft, base combinations for a column in the sanctuary's portico. Reliability meters give an indication of the reconstructor's confidence in the specific choice. Student Lin Yu-Chuan during the summer of 2002 built all the column variations. Nick Cipolla designed and programmed the console.

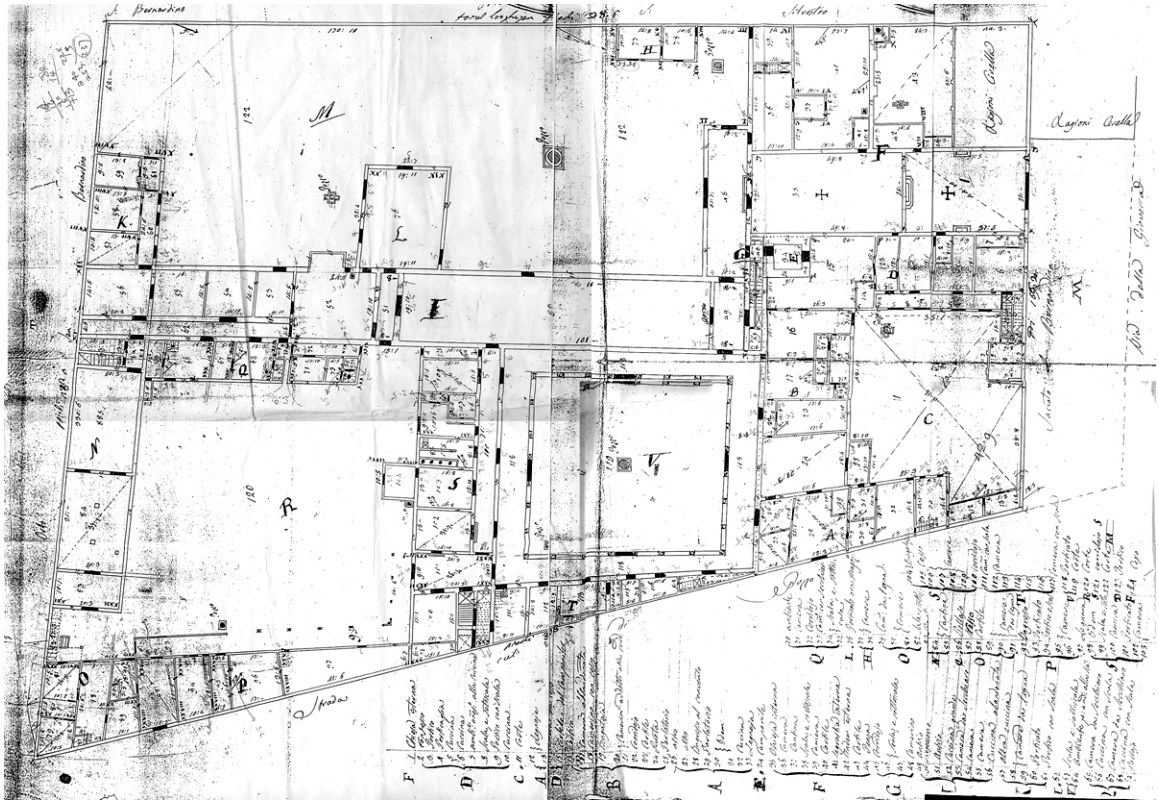
SAN BERNARDINO CONVENT

Description of the process of modeling and rendering

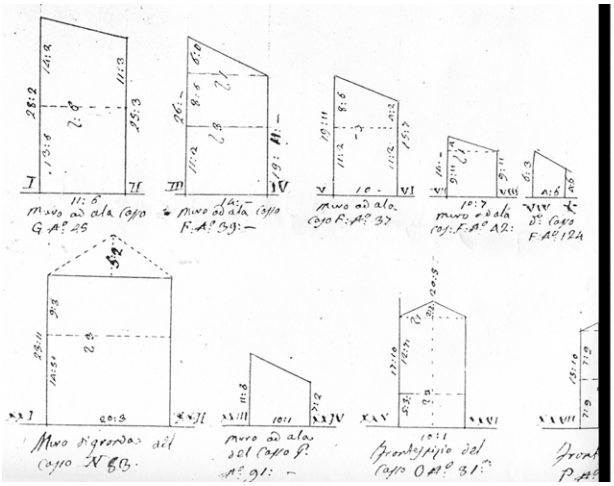
Two students worked on the modeling of San Bernardino convent, Roger Zhang and Pelin Hepcilingirler. Roger started with an axonometric of Ferrara. From this he made first a digital massing model in ArchiCAD of San Caterina de Siena convent; then, he deduced a likely floor plan, which he drew in AutoCAD. Finally he took a floor plan of San Bernardino convent, and using information about the massing of San Caterina and partially translated room descriptions, built his final digital three dimensional model in ArchiCAD, which was then exported to form•Z.

Pelin received his files, an axonometric of Ferrara including the San Bernardino convent, and translated descriptions of the rooms with wall elevations from Roger, but no personal contact was made between the two students. She translated the files to AutoCAD 3D, but had difficulties with the conversion of solids into surfaces and ended up remodeling the convent. 3D Studio MAX was used for the modeling, rendering, and animation.

The transcription about the convent plan was not easy to understand, and the problem of "Ferrara scale" came up; what was its relationship to English scale? Roger used Ferrara scale without any conversion. Further work on the model showed that this was probably an incorrect assumption. For example, the dimensions of the doors became impractical. Pelin decided to make the conversion at two Ferrara units equals 1 English foot.



Plan of San Bernardino convent. Notes on the bottom right give specific information about many spaces (Archivio di Stato).



Legend for San Bernardino Plan
ASFe, ANA, Perito Campana, Benedetto, B. 111, f. 2 (1823)

1. Church
2. Confessional
   door and small window. Paved with square tiles, ceiling *alla distesa, a terzi, cantinelle, and* rough wood beams
3. Portico
   Two glazed windows in good state, 9:10 x 1:10
4. Partial portico, on one side
5. Kitchen
   Two windows 1:11 x 3.
   Antique style fireplace, with two large iron rods. Two glazed windows, their **grate,** iron

6. "
   rustic fireplace with its iron. Fornello e secchiaro. (secchiaro is a recipier some type, but I am not able right now to figure it out precisely for here probably a basin to hold water, but it can also be a container for ashes, o garbage…)

   has door, window d'occhi;
7. Room next to kitchen
8. Stairs and understairs have doors;

Partial scans of drawings with room elevations (Archivio di Stato) and room descriptions (translated by Diane Ghirardo) for the San Bernardino convent.

Using the floor plan and room descriptions, Pelin continued work on the digital model. The door dimensions were already in the plan. When the height was not mentioned in the transcription, she drew

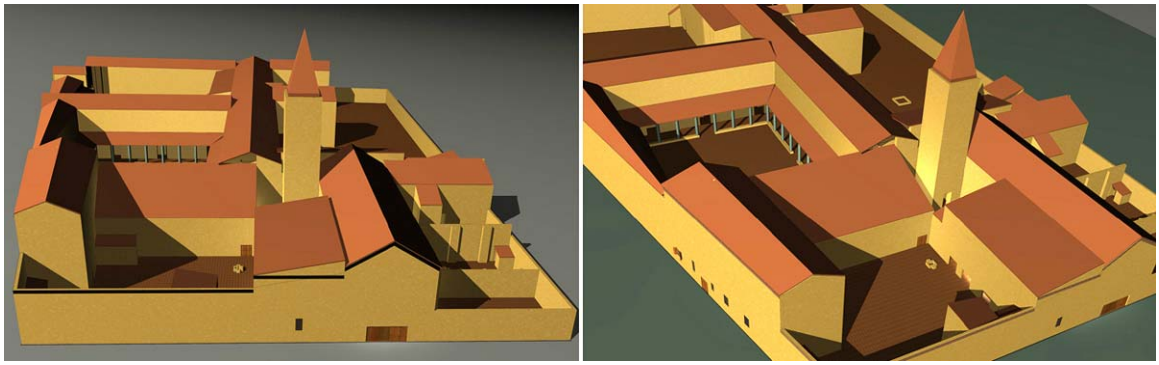
them as 8’10” except for the one entering the church which is 10’. Doors were given a thickness of 4” as they were assumed to be constructed from thick wooden planks.

Figuring out where to put the windows was more complex. First the room and adjacent room descriptions were checked. If nothing was mentioned, the windows were placed according to the functions of the rooms. For example, if there was a window in a room, next to courtyard, Pelin put the window on the shared wall. Windows were placed centered on interior walls. If there was more than one window on a wall, they were evenly spaced along the wall. If the size of the windows was not mentioned in the text, they were drawn as 1:11x 3 (3’10”x6 in English scale), which was the most common window size in the transcription. The height of the window from the floor is taken as 4’, but if the window faced the street, the height was set to 8’. It is highly likely that windows facing the street were placed too high for anyone to see inside the convent.

Some of the windows had occhi and others were grated. The diameter for round steel for the windows of occhi was set to 3 inches, an educated guess based on photos of buildings in Ferrara. One window with grates had its dimensions specified in the transcript; Pelin approximated the other grate dimensions from the one she knew, and the distance between the grate bars ended up 5-51/2’’ in horizontal direction, 1’-1’1/2” in the vertical direction. Assorted furniture was modeled according to examples from the time period.

Three digital possibilities for the windows on San Bernardino convent.

In general, Pelin used stucco for exterior and interior wall materials, wood plank maps for doors, and brick for fireplaces. She was supplied with an image of floor tiles from another convent that she used to make her floor pattern, and a black and white drawing was mapped onto the painting in the church.

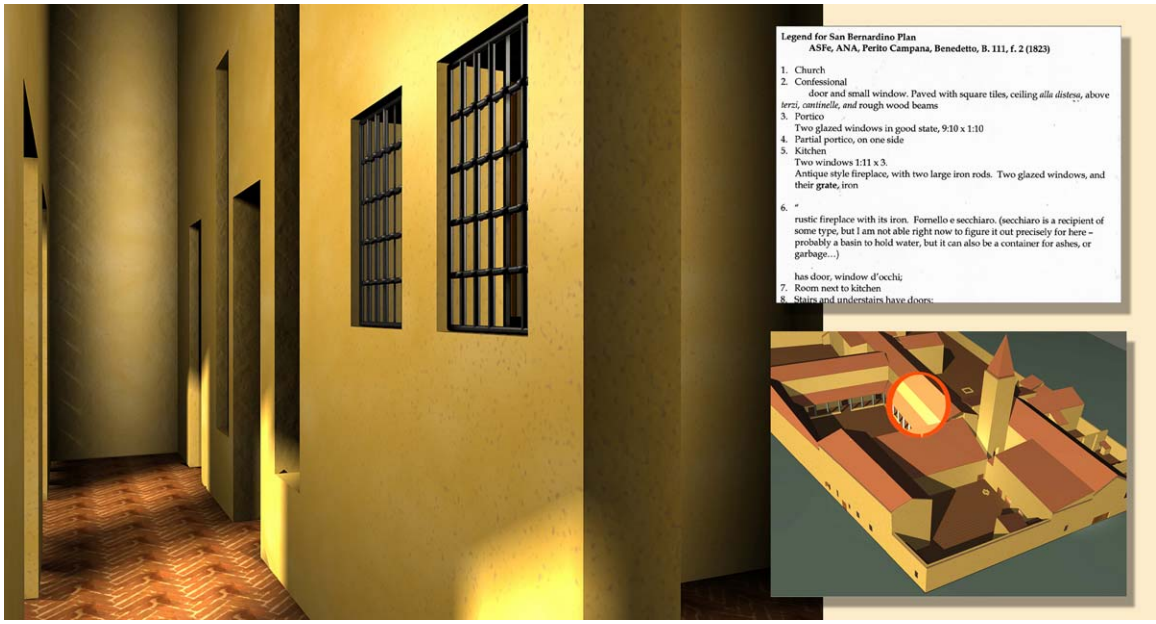


Digital model of the exterior of San Bernardino convent.

Potential methods of showing the reliability of data

As might be expected from trying to create a reconstruction from a building that no longer exists, there was not enough information to allow Roger and Pelin to accurately finish the model of the San Bernardino convent. The two modelers had to assume dimensions, materials, and furniture based other buildings and educated guesses about the plan. The end result for the San Bernardino Convent reconstruction was a digital model that was used in the production of a Premiere movie using still images, sound, and an animation walk-through of the convent. Although images of the "data" (a floor plan and room descriptions from where the convent still existed) were briefly shown, the opportunity to make the connection between the data and the final model, or the full extent of the ambiguity explicit was not fully realized, due to time and money constraints. Another stage of the process would be to develop an interactive animation using either Flash, Smoothmove, or ActiveWorld environments.

A Flash solution might be similar to the Tell El-Amarna console previously discussed. It would be Web based to allow for links from images of the animation and the floor plan to the textural description of the rooms and contents. Additional graphical information might show for example alternative placements or sizes of windows and doors where the evidence was unclear. A pop-up window would also provide information about the decision making process of the modeler.



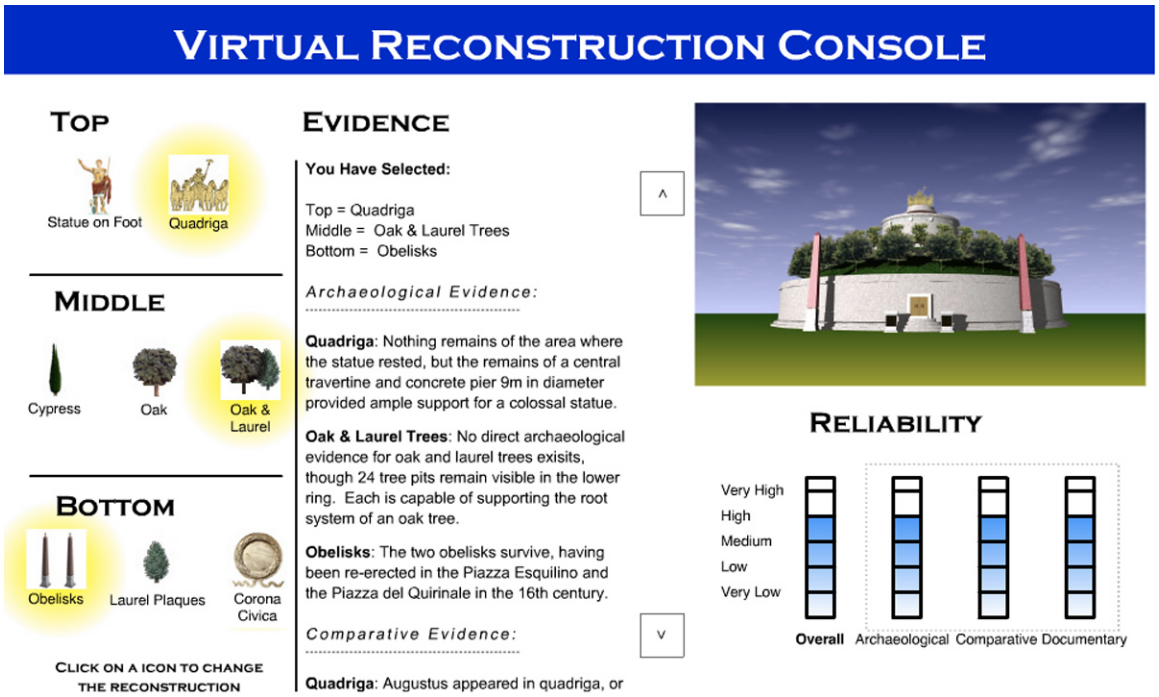
Proposed design for incorporating evidence about specific choices made in the digital model.

The Smoothmove solution would be similar except the viewer of the animation would be able to click on elements within the animation itself and not images of the animation. This would be very similar to the UCLA Urban Simulations real-time navigable version of Temple Mount's reconstructed buildings done in collaboration with the Israel Antiquities Authority (Jepson and Snyder). These reconstructions include clickable boxes that allow a user to see static images of remains that actually exist (in comparison to the created model) with some text commentary. A more complex solution could be achieved in fully three-dimensional Web based worlds with hyper-linked evidence text boxes. Perhaps even "agents" could be virtual tour guides explaining not only on the remarkable features on the reconstruction, but also the confidence level of the data using alternative reconstructions, false color, and transparency.

WORK IN PROGRESS

Work is continuing on the reconstruction of the convent of San Bernardino. Several problems surfaced during its creation so that the modelers became unclear about the confidence levels of specific pieces of the digital model. New information has also been translated by researchers, and this will be incorporated into the computer model. Professors Diane Ghirardo (USC, Architectural History) and Eunice Howe (USC, Art History) will be consulted more vigorously by the modelers for their insights into both three dimensional depiction of the convent and reasonable guesses as to the artwork on the walls.

A separate study was also undertaken for the reconstruction of the Mausoleum of Augustus. Much is known about it from substantial archaeological remains but there have been a multiplicity of past interpretations of this monument. This uncertainty was surely an original component of the mausoleum, allowing for multiple readings then as now. In that building, it was decided to limit the investigation to three problematic areas in the reconstruction: (1) the image of Augustus atop the structure, (2) the middle area and its trees, and (3) the area around the entrance at ground level (Cipolla, Dodd, Kensek, Pollini 2004). This limiting of the focus of inquiry to three specific components of a reconstruction may prove to be a useful method for the reconstruction of the convent as well.



Flash based virtual reconstruction console for the Mausoleum of Augustus. Nick Cipolla (2004).

Simultaneously, further research is being undertaken that explores the following three questions: What are techniques for showing missing or reconstructed data? What are possible methods for showing multiple reconstructions? How do you show how confident you are about parts of the reconstruction? We expect to discover a range of cross-disciplinary answers to these questions that we will test on historic reconstructions.

CONCLUSION

Today, most archaeologists still do not have the time or the tools to attempt a reconstruction of their site. In terms of archaeological reasoning, it is common for an excavator to create a mental picture of the whole on the basis of the fragments found. The evidence for these inferences is normally presented in a written format (often heavily footnoted) accompanied by static, two-dimensional illustrations in scholarly journals. However, this material is not normally present in publicly accessible formats such as museums, TV programs, or on tourist sites. This transformation into the public sphere may reduce an often well-documented body of evidence, conjecture, and reasoned arguments to a single image. But it is often the case that the confidence levels for all parts of the reconstruction are high or consistent quality. We hope that digital tools will provide more opportunities for researchers to relink the evidence to the reconstruction. So far, it appears this is difficult and time consuming. But these attempts to make concrete experiments with the presentation of ambiguity were catalysts for us to consider critically what the rationales are that underpin the creation of a virtual world, and for the archaeologists, these experiments focused them on the nature of the hermeneutic process and their reasoning. Fundamentally, a concern for ambiguity recognizes that there may be multiple sources of evidence, multiple bases for reconstructions. When *archaeological* reconstructions are at issue, there is the further layer of analysis since interpretation is a creative authoring act that takes place in the present and not in the past that is

represented. Ideally, this reconstruction or presentation of the past occurs in some bounded relationship to a body of evidence in the past. But, the bounds of this relationship are potentially fluid and elastic. The perspective of the interpreter is fundamentally and explicitly engaged in the identification, the evaluation, and the selection of the evidence being used as criteria for elements and versions to gain entrance, or to be excluded from a virtual world. In short, the difficulty is how one can dynamically and fixedly represent the intention and the expertise or competence of the author of the virtual world.

Even once the nature of the foundational evidence has been identified and evaluated, there remains the issue of confidence assessment in the assigner of the evidence confidence assessments. In this respect, the virtual world is always unable to escape the limitations its real world origins and it is grounded in the same need for critique and reflexivity as any investigation of our environment, past or present, has always been. If the means of making ambiguity transparent is left unconsidered, then the money and time lavished on such reconstructions is not well-spent and might be better directed toward programming a video game, which would at least have commercial potential.

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Submission for Publication in Conference Proceedings

I Madonna or Murderess: Miguel de Luna's (Re)presentation of the Virgin Mary

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VI. In his pseudo-history entitled La verdadera historia del rey don Rodrigo, author and royal translator to Phillip II and III, Miguel de Luna, uses his position at court to criticize Spain's policies regarding the country's *morisco* population by re-writing within unusual and unexpected contexts figures iconic to the development of Iberian identity and unity. One of the figures appropriated by Luna is that of the Virgin Mary. Instead of portraying the Virgin in her traditional roles as mediatrix, dispensatrix, co-redemptrix and as reconcilliatrix, Luna lifts her out of her untouchable place in Spain's sixteenth-century Catholic ideology and recontextuales her within flawed, human forms. This recontextualization of the Virgin draws the reader's attention to the plight of the *moriscos* as they awaited the expulsion decree of 1609, and questions the legitimacy of the impending decree. Thus, Luna's references to the Virgin function at various levels to illuminate the social situation facing the *moriscos*, to criticize Spain's nation-building efforts and the monarchy's emphasis on cleanliness of bloodline, and to blur the lines that divide that which is considered "*morisco*" or "New Christian", and that which is defined as "Old Christian."

Madonna or Murderess: Miguel de Luna's (Re)presentation of the Virgin Mary

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Fewer than one hundred years after the forced conversions of 1500 and very shortly before the impending Morisco expulsion decree of 1609, in the shadow of the rebellion of the Alpujarras and during a time of royal edicts aimed at destroying any visible trace of "Moorishness" in Spain's Morisco populations, Miguel de Luna published La verdadera historia del Rey don Rodrigo, en la qval se trata la cavsa principal de la perdida de España, y la conquista que della hizo Miramamolin Almançor Rey que fue del Africa, y de las Arabias, y la vida del Rey Iacob Almançor. Compuesta por el sabio Alcayde Abulcacim Tarif Abentarique, de nacion Arabe, y natural de la Arabia Petrea.[1] In this two-volume, pseudo-history of the first fifty years of Spain's Islamic period, Luna vindicates and re-writes the Muslim conquest of the Peninsula while implicitly commenting on the historical present in which he lived. To this end, Luna questions and re-writes figures iconic to the development of Iberian identity and unity in such a way as

[1] "The True History of King don Rodrigo, in which the Principal Cause of the Loss of Spain to the Moors is explained, and the Conquest of Spain by Miramamolin Almançor King of Africa, and Arabia, and the Life of King Iacob Almançor. Written by the Wise Governor Abulcacim Tarif Abentarique, of Arabic origin, and a citizen of *Arabia Petrea*." Miguel de Luna published the first part of his history in 1592, and the second part in 1600. There is little biographical information available concerning Luna's life. He was born in Granada during the second half of the fifteenth century and spent many years working as an official court translator of Arabic in Madrid for both Phillip II and III. Luna was also trained as a physician, and was married to a woman known in his letters as doña María, who is thought to have been one of Alonso del Castillo's daughters. The couple had at least two children to whom Luna refers in his letters dated May 19, 1609 through June 15, 1610. Luna also collaborated with Castillo in the forged Pergamino de la Torre Turpiana, found on March 19, 1588, and the Libros plúmbeos del Sacromonte, which were unearthed in Granada between the end of February, 1595 and December 22, 1599.

to positively characterize Islamic society in Spain. This act of re-contextualizing what would be for a Spanish reading audience well known and recognizable figures in part draws upon a processes of naming and re-naming, or the symbolic imposition of a particular vision of the social world (Bourdieu 239). "Naming", according to Bourdieu, can assume many forms. It can encompass " [. . .] official naming [. . .] nicknames, insults, or even accusations, indictments [or] slanders [. . .]" (239), and in order that the act of naming should carry greater impact, it is ideally performed by a delegated agent of the state who is authorized to gain recognition for the point of view he or she seeks to impose (Bourdieu 239). Naming is therefore social in nature, and derives its efficacy from hidden relationships between the social space within which discourse is produced, and the social field within which the message is received and interpreted (Bourdieu 41).[2] Agents and groups of agents are thus defined, define themselves and are recognized based on the socially-negotiated position they occupy, and the meaning of their discourse within the social space.

As the "delegated agent of the state" to which Bourdieu has referred, Miguel de Luna held the symbolic authority necessary in order to impose a particular vision of the social world upon the events he narrated in his history. An official court translator to Phillip II and III, who had dedicated " [. . .] mas tiempo de veynte y siete años [. . .]" 'more than twenty seven years' (Luna 9-10) to the meticulous study of Arabic, Luna's linguistic authority marked his history as, to a great extent, "true" and therefore worthy of

[2] Bourdieu conceives the social world that contextualizes the elaboration and interpretation of a given message as a multi-dimentional space built upon and defined by " [. . .] principles of differentiation [. . .] constituted by the set of properties active in the social universe under construction [. . .which are] able to confer force or power on their possessor in that universe" (229).

attention.[3] Luna used his institutionally delegated title as court translator and his years of diligent study which, in the eyes of his readership would have supported his linguistic competence, as tools that would allow him to re-write Spain's history as a country. In Luna's particular telling of the events surrounding the Islamic conquest of the Peninsula, he enters into dialog with figures that had been fundamental in building the Spanish empire. One such figure re-written by Luna is that of the Virgin Mary. Instead of presenting Mary as the founding mother of a group of believers, as was common in Castilian Spanish literature during this period, Miguel de Luna removes the Virgin from her privileged position and casts her in an ambiguous and destructive roll as a mortal woman incapable of having immaculately conceived the Son of God. This "re-naming" or symbolic imposition of negative connotations over the traditionally maternal image of the Virgin allows Luna to question existing cultural assumptions concerning Spain's various Morisco populations; to challenge the reader to re-examine the justness of the impending Morisco expulsion; and to create a new space, or area of socially negotiated meaning, wherein being considered descendants of the Muslims who conquered and occupied the Peninsula for several centuries would not justify expulsion.

The image of the Virgin Mary had come to be of great importance in Christendom long before the time Miguel de Luna was planning his history. In fact, there would have been few figures of equal or greater significance within sixteenth- to seventeenth-century

[3] It is important to note that the characteristics that defined "true" historical discourse in early modern Spain were different than the criteria used to define it today. For Miguel de Luna, the exemplary value of the text, the qualifications and character of the historian, the use of eye-witness testimony, and the incorporation of ethno-geographic narratives all played a part in determining the "truth" of a given narrative. For discussions concerning how Luna's contemporaries constituted "truth" in historical writing, see Luis Cabrera de Córdoba and Antonio de Herrera y Tordesillas.

Peninsular society (Carroll 10-16). The influence of the Virgin Mary as a signifying force in Christian tradition increased within the first centuries of Church history, so that by the early fourth century when the Apostle's Creed was revised, Mary's place was secured in Christian dogma and her central role in the redemption story was acknowledged. In Europe, the first known church dedicated in the Virgin's name was at Ephesus in 431C.E. It was in this church that the third oecumenical council was held, decreeing Mary the *Theotokos*, or "Mother of God" (Carroll 5). According to Church doctrine, Mary was destined to provide God with a physical body which would bear His essence among men (Alastruey 1: 30). Not only was the Virgin seen as a vessel that made possible God's presence on earth, she intervened on man's behalf as his advocate before the Lord to ensure special divine grace.[4]

In addition to bearing the essence of God in human form and mediating between man and the Divine, the image of the Virgin was evoked in Early Modern Spanish literature as a fundamental figure in the process of empire-building. The image of the Virgin and the miracles she performs is intimately associated with the waging of a justified and justifiable conquest, and with the religious unification of the Peninsula. This emphasis on religious unity and justified conquest is seen in works such as Alfonso X's Cantigas de Santa María, the Milagros de Nuestra Señora by Gonzalo de Berceo, the Poema de Mio Cid, Hernán Cortés' Segunda carta, and Alonso de Ercilla y Zúñiga's La Araucana. Mary's power as a Christianizing force that either converts Jews and Muslims or, at times expels them, is seen in *cantigas* 4, 25, 27, 46, 107, 167, 328; and in *milagros* 16 and 23. Her importance as one who protects, inspires and aids Christians in their

[4] op. cit., chapters III and IV, vol. II.

conquests against non-believers in Spain and in the New World is evidenced in *cantigas* 12, 28, 63, 83, 95, 99, 165 (395), 169, 185, 323, 325; in *milagro* 18; and in the Poema de Mio Cid. In Cortés' second letter, the captain and his men are aided on several occasions in their battles against the indigenous forces of the New World by the "Glorious Mother", whose image the Spanish troops find solace in placing within the natives' temples or on top of their towers (64-80). Also, in *canto* 9 of the Araucana, the Virgin Mary appears to the Spanish army from high within a thunderstorm to bless their just endeavor against the indigenous forces. Mary, therefore, represents a desire for conquest and religious unity that has been vital to Spain's nation-building efforts throughout the centuries.[5]

In the Verdadera historia, Miguel de Luna appropriates the image of the Virgin Mary, removes her from her role as unstained, founding mother of a community of believers, and repositions her within a human body that possesses both human characteristics and vices. Francisco Márquez Villanueva has pointed to what he describes as a sense of religious indifference underlying Miguel de Luna's references to the Virgin (39). According to Márquez, Miguel de Luna opts for a scientific, as opposed to either Christian or Muslim explanation of the story of Christ's birth (90). He also suggests that Luna's allusion to the impossibility of virgin birth undermines the most basic Christian dogma: the Incarnation and the divine nature of Jesus Christ. According to Márquez Villanueva, this process of subverting Christ's virgin birth would not only be seen as a criticism of the Catholic Church, but also as a point of difference between accepted Islamic thought and that of our author, given that Islam also accepts virgin birth

[5] This brief overview of Mary's various roles in Spanish literature is not meant to be exhaustive, but rather simply to demonstrate the Virgin's importance in some of the primary nation-building narratives that had preceeded Luna's history. For further detail, see the list of Works Cited.

(90). But, in addition to realizing the goals proposed by Márquez Villanueva, I suggest that Miguel de Luna uses his complex repositioning of the Virgin to call attention to the plight of the Moriscos during the pre-expulsion years.

Miguel de Luna contextualizes his first reference to the Virgin following a discussion concerning the religion and cultural practices of the newly-conquered Spanish territory, and after having alluded to the fact that theirs was not the most morally advanced of social and religious systems. He describes the "profession de sus naturales Godos y sus Reyes" 'religious faith of the land's Visigothic inhabitants, and their kings', to be Christianity, a faith whose believers adore the "benditissimo IESV" 'blessed Jesus', their savior—the son of the Virgin Mary (162L). He then details the moral laxness of the Christian population. The questionable morality of the area is evidenced by the sins of Rodrigo, the last Visigothic king; by the people's propensity for giving false edicts; and by the pagan practices of the Greeks who also had inhabited the peninsula. Even the Jews of the region who practiced the law of Moses, did so in what he refers to as a "depraved" form (162R). But in addition to diminishing the image of the Virgin Mother by recontextualizing her within a list of Christian shortcomings, Luna also criticizes the doctrine of virgin birth. In speaking of the inhabitants of the area known as "Vandalusia", he relates part of the folklore of the region wherein a western wind is said to have the ability to impregnate the mares in the area, without any sort of reproductive contact with the stallions: "[. . .] dizen sus moradores que el viento occidental empreña las yeguas sin copula de los cauallos" (163L). Immediately afterward, Miguel de Luna's voice, as translator of the history, denies the possibility of horses bearing young spontaneously: "[. . .] Ninguna yegua, ni otro animal vivuiente puede engendrar sin

copula de macho de su especie" 'no mare or other living animal is able to engender offspring without copulation with the male of the species'. He further proposes that since God is the supreme orchestrator of the universe, and all living things procreate according to His divine plan, deviation from this plan would be against Him (163L). Luna's line of reasoning is suggestive. If virgin birth is an impossibility, then could Christ's divinity be quesitonable as well? Had Jesus come into the world as the product of a carnal, pre-marital union, one can assume that He would have born the stain of original sin, thereby negating his divine, sinless nature.[6] Bearing this logic in mind, the main area of irreconcilable conflict between Islam and Christianity—which is Christ's divinity—could, perhaps, be no more than a culturally defined and defining legend with little basis in empirical reality. In this sense, Miguel de Luna demonstrates that the principle rift between Christian and Muslim could be one of divergent customs, not one of verifiable flesh and blood.

After having cast doubt on the idea of non-sexual reproduction, Miguel de Luna further challenges established religious thought via the multilayered allusions to the Virgin Mary in his descriptions of captain Mahometo Abdalaziz's two wives. First, the Holy Mother is associated in an ideologically ambiguous light with Egilona, Rodrigo's young, chaste, orphaned daughter who is to be the second wife of Abdalaziz. Next, our author re-contextualizes the image of the Christian Virgin within the body of a Moorish

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[6] The concept of original sin is complex and multivalent. According to Catholic doctrine, it can refer to the sin that Adam committed, or to the hereditary stain that all humanity bears as a consequence of this first sin. The most widly accepted definition of original sin caracterizes it as a state of inherited privation from divine grace, meaning a separation from God. For more information, see The Catholic Encyclopedia and The Modern Catholic Encyclopedia.

noble woman—the sister of king Abencirix, and captain Mahometo Abdalaziz's first wife who is named "Lela Mariem," the Arabic name commonly used to refer to the mother of Jesus.[7] As we shall see, this reemplotment of the Virgin Mary within both of Abdalaziz's wives represents a complex interweaving of Christian and Muslim traditions.

Miguel de Luna begins his portrayal of Egilona by correcting what he asserts are mistakes that had been made previously concerning her identity. In his capacity as official court translator, Luna explains in the *prohemio* to the second part of the first volume that Christian chroniclers have confused the identities of Rodrigo's wife Eliata, with that of his daughter Egilona (130L).[8] Luna characterizes Rodrigo's daughter in an ambiguous manner which is offered to his reader as a historically accurate truth. It is within this act of re-naming, or imposing a particular identity upon the woman others have referred to as "Egilona" that Miguel de Luna alludes to the difficult position of the Moriscos in Spanish society.

Luna portrays Egilona as the embodiment of virtue. As a prisoner in Mahometo Abdalaziz's house, she maintains her virginity, reminding her future husband that he should not compromise her in any way. Her faith runs deep, and even after marrying a

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[7] It is important to note that the use of the name "Lela Mariem" (or "Marién") by Arabic speaking peoples during Luna's time in order to reference the Christian Virgin Mary is evidenced in Cervantes' Los baños de Argel and the story of the Captive in Don Quijote (I, XXXVII-I, XLI). In these stories, Cervantes intricately weaves an ambiguous identity for his female protagonists and defines the name "Lela Mariem", which is distinguished from the common Spanish name "María."

[8] "Eliata" is, according to Miguel de Luna, the name chosen by the renegade Muslim princess, Zahara Benalyaça, after her conversion to Christianity in order to marry Rodrigo. In earlier chronicles, "Egilón" had been characterized as Rodrigo's widow, not his daughter. See Ramón Menéndez Pidal's Floresta de leyendas heroicas españolas (XXII).

Moor, she never denies her Christian God. But Rodrigo's daughter embodies more than simply a positive model of Christian conduct. Egilona strives ceaselessly to draw her husband into the worship of Christian saints. Her efforts to force her husband into conforming to her religious demands can be seen as symbolic of the Church's efforts to spiritually indoctrinate the Moriscos into the practices of Catholicism. Egilona tricks Abdalaziz into unknowing shows of piety towards the Christian images decorating her room. Miguel de Luna informs his reader that Egilona:

> [. . .] desseava [. . .] en su coraçon que el Abdalaziz quisiesse tornarse Christiano, y no le osava dezir ninguna cosa que tocasse a esta materia, y para incitarle [. . .] tenia sus aposentos llenos de imagenes, y para que Abdalaziz los reuerenciasse mando labrar las puertas de aquellos aposentos donde las tenia muy baxas y pequeñas, afin de que quando el entrasse en ellos a su conuersacion, de necessidad se abaxasse, y abaxandose hiziesse reuerencia y acatamento a aquellas imagines.
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> [. . .] desired [. . .] in her heart that Abdalaziz would want to convert to Christianity, although she didn't dare say a word to him about the matter, and so as to entice him [. . .] she had her rooms filled with images, and so that Abdalaziz should worship them she ordered the doors of her rooms where she kept her images to be made very low and small, in order that when he entered to visit with her, of necessity he should bow down, and in bowing down, he should show reverence and respect to those images (219R).

While forcing Abdalaziz to bow unwittingly to her Christian images, Egilona lies to him. Abdalaziz asks her why she had her doors built so small, but she answers that this is the

way she was raised, and in order to maintain good health, she needs to continue in the same way. Notably, the Muslim captain allows her to follow the customs of her youth, supporting the model of Islamic tolerance of Christian practice which is evident throughout Luna's history (219R). Never receiving adequate explanation and instruction, Abdalaziz is manipulated into bowing, and symbolically worshipping what to him are idols devoid of any religious significance. Together in the same house (or country), we see Christian and Muslim living side by side under Islamic rule, each continuing to practice their faith. The authoritative, conquering male figure allows the subordinate female figure, who was once his prisoner, to continue living according to her customs and beliefs, even while under his roof. But the favor is not returned. She later gains the upper hand, conquering and obliging him into betraying his faith and worshipping in ways that are not traditionally his and which he does not understand. Nor does she—the daughter of Rodrigo, the last Visigothic king and symbol of Christian Spain—instruct Abdalaziz adequately in the theology of her faith. Egilona demands but does not teach.[9]

Miguel de Luna depicts Egilona not only as symbolic of the Christianizing force of the Church, but also contextualizes her as a type of liminal figure, likened to both the Holy Mother and the Prophet Muhammad's only virgin wife, 'A'isha. Miguel de Luna demonstrates through Egilona the extent to which Andalusi Muslims and Christians had intermingled, thus blurring the division between the two groups. Egilona's description in the Verdadera historia bears a striking resemblance to Islamic representations of both the

[9] For more information concerning the Christianizing efforts of "Egilón, see Ramón Menéndez Pidal's Floresta de leyendas heroicas españolas. Menéndez Pidal aserts that "Egilón ejerció sobre el enamorado espíritu de Abdelaziz las más audaces y comprometadoras sugestiones…ella le imbuía ideas cristianas…" (XXII).

Virgin Mary and "A'isha.[10] All three women—Mary and 'A'isha in Islamic tradition, and Egilona in the Verdadera historia—are substantially younger than the men who are charged with their care: Muhammad in the case of 'A'isha; Zakariyya in the case of Mary (Qur'an 3:37); and her father's servant Cratilo and Abdalaziz, in the case of Egilona (217R-219L). All three are associated with protected, cloistered spaces. In the Qur'an's description of Mary, the young woman spends her time praying in the *mihrab* (3:37), "…withdraw[ing] from her people to a chamber looking East" (19:16) and taking to herself a curtain, or veil, to facilitate her withdrawal (19:17). She later leaves with her newborn son for a faraway place after having conceived Jesus (19:22). 'A'isha is associated with the *hijab*, or curtain from behind which Muslims were instructed by revelation to speak with the Prophet's wives (Qur'an 33:53), as well as by the fact that she was "screened off" from her own family at the tender age of nine, when Muhammad took her as his wife.[11] Egilona's cloistered space is ideological: she agrees to marry Abdalaziz as long as she can live separately in her "ley de christianos" 'Christian law' (219L). She lives away from others in a room closed off by a small door (219R). She has religious images in her room (219R), turning it into the "important place of worship"

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[10] These similarities have been studied in depth by Neal Robinson in his work Christ in Islam and Christianity. See ch.15, "The Virginal Conception", pages 156-166.

[11] Islamic tradition varies concerning 'A'isha's precise age at the time of her betrothal and marriage to Muhammad, and the point at which their union was consummated. In general, it is accepted that she was promised to Muhammad by her father, the Prophet's friend Abu Bakr, when she was still a child who played with dolls. This view is supported in Muhammad ibn Isma'il al-Bukhari's collection of Traditions. See Traditions 4794, 4795, 4818, and 4748 in The Book of Marriage. Bukhari's Traditions state that 'A'isha was promised to Muhammad at six years of age, and that she went to live in her own room of his house at nine. There is no mention of the age at which their marriage was consummated, but it is generally thought that Muhammad assumed a paternal role for several years.

that is a commonplace to both the Mary and the 'A'isha stories in the Qur'an: Mary is associated with the *mihrab*, while 'A'isha lived in her own quarters in the house that was used as the first mosque (Robinson 159). All three were accused of sexual misconduct and immorality. Mary's pregnancy was made public, causing accusations of her not being a virgin before her wedding (Qur'an 4:156, 19:27-33), and 'A'isha was accused of having spent the night with a man other than her husband, although only out of necessity (Qur'an 24:1-11).[12] The basis of Egilona's misconduct can be found in both civil and religious traditions. First, Abdalaziz married her without the express consent of his sovereign, king Abencirix (219L). Also, as a Christian, Egilona marries a Muslim without any promise of conversion on his part. Third, as the wife of a Muslim, she refuses to profess Islam (219R). This refusal outrages Abdalaziz's first wife, Lela Marién, and is the cause of Egilona, her husband, and their unborn child's eventual deaths. If we understand Egilona as the conflation of the founding mothers of both Islam and Christianity, the boundaries between the faiths are effectively blurred. The reader finds it difficult to categorize Rodrigo's daughter. Is she a Christian in Muslim clothing,

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[12] Although this passage of Surah 24 does not directly name 'A'isha, Robinson states that "…it clearly refers to a false accusation of unchastity made against an eminent Muslim woman" (160). In his The Meaning of the Glorious Qur'an, Mohammed M. Pickthall begins his interpretation of Surah 24 by relating a Tradition wherein 'A'isha had been left behind accidently as she, Muhammad and his troops were returning from a campaign. Rumors of her unchastity began to spread upon her return to Medina accompanied by a handsome young man named Safwan ibn al-Mu'attal who had also fallen behind. No eye-witness to the events can be produced, and the young woman's reputation is put seriously in question. The situation resolves when Muhammad receives a revelation from Allah declaring 'A'isha's innocence. See Pickthall's 1930 edition of the Qur'an 24:1-19; Robinson 159-160; Abbott 27; and Muhammad ibn Isma'il al-Bukhari's compilation of Traditions: The Book of the Prophets 3160; The Book of Witnesses 2491; The Book of Military Expeditions 3861-3863; and The Book of Exegisis of the Qur'an 4360 and 4422, concerning the association of 'A'isha with this particular Surah.

or a Muslim in Christian clothing? Is it possible that, by noting the blurred separation of identities, we can say that the text comments on the status of the Moriscos facing expulsion? If we cannot distinguish the Christian Mary from the non-Christian 'A'isha because they inhabit the same body, how could one be justly expelled without the danger of losing the other?[13]

Through his re-naming, or symbolic act of imposing a particular vision of the social world upon the past events he narrates, Miguel de Luna also comments on his own historical moment while rewriting the past. In re-writing the story of Abdalaziz, Lela Mariem and Egilona, Luna foreshadows the eventual expulsion and cultural extinction of the Moriscos. The Virgin, in this case symbolized linguistically by the Moorish woman Lela Mariem, is outraged by the marriage between her Muslim husband and the Christian daughter of Rodrigo. Eventually, Lela Mariem grows jealous. She poisons her brother, king Abencirix, against the mixed-faith union by complaining to him daily. In fact, Lela Mariem causes her brother so much heartache that he dies naturally from his many cares and woes (225R). The new king, Abencirix's son, prince Abencirix

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[13] It is important to consider the similarities between the personage of Egilona as represented in Luna's work, and the way in which Miguel de Cervantes characterizes Zoraida/María in El ingenioso hidalgo don Quijote de la Mancha ("The Captive's Tale", chapters XXXVII and XXXIX). Like Egilona, Zoraida is portrayed in an ambiguous light. Her outward appearance—clothing, jewelry, language, customs, home, family and given name—would characterize her as Muslim. Yet, we are told by her escort, the Captive, that she has rejected her Islamic roots in favor of the Christian faith of her wet-nurse. She has changed her name from "Zoraida" to "María", and she corrects the other guests at the inn when they express doubt concerning her religious affiliation. Although the other travelers at the inn are wary at first of her outward appearance, they are compelled to ultimately view her as Christian, to at least a certain extent. It is interesting to note that Zoraida/María never refers to the Mother of God in the language of her newfound fellow Christians, but rather in Arabic, the language of her father, country and former religion.

Almanzor is described as of "condicion [. . .] vengatiuo, cruel, desconsiderado, y amigo de executar su voluntad" '[. . .] vengeful, cruel, inconsiderate condition, and prone to exercise his own will' (225R) and he conspires with his aunt to end Egilona and Abdalaziz's life (225R). This young king of "poca edad y menos capacidad" 'few years and less ability' (226L) kidnaps Abdalaziz's eldest son and poisons him (226R). More intrigues follow and eventually, the Viceroys of the Spanish kingdom are convinced to bear false witness against Abdalaziz, testifying that because of his interfaith marriage, he is a false Muslim with intentions of converting to Christianity (231L). Abdalaziz is assassinated and Egilona—who is pregnant with his child—miscarries and dies (231L). True unity between Christian and Moor is never achieved, and the offspring of the first attempts at integration and incorporation dies before ever being born. In this example, Miguel de Luna takes the Virgin, linguistically embodied in the person of Lela Mariem, out of her untouchable ideological place as a unifying religious and national myth and casts her in the role of a destructive force rather than that of a giver of life and an advocate on man's behalf. She is shown to be jealous of what is hers and sets in motion a series of events that eventuate the death of the only mixed-blood child mentioned in the Verdadera historia. The death of this unborn child is exemplary of Miguel de Luna's concern for the Moriscos of his day.

If we understand the Christian Egilona as embodying both Islamic representations of the Virgin and as symbolizing the Christianizing efforts of the Church, and the Muslim Lela Mariem as Luna's re-writing of the Virgin as a destructive force, we see that both women function in tandem to illuminate the difficult situation facing Spain's Morisco populations, who were being pressured into accepting cultural annihilation (evidenced in

the death of the mixed-blood baby) and assimilation (evidenced in Egilona's evangelical efforts). The fact that Biblical and Islamic traditions concerning the Virgin coincide with Luna's re-contexualization, or re-naming of Egilona effectively blurs the boundaries between the faiths. This blurring of identities forces the reader to contemplate the extent to which it is possible for Spain to expel its Morisco population—which was feared by the Christian Monarchy to be more Muslim than Christian—without losing sincere Christians in the process. Miguel de Luna uses his socially legitimate and legitimating authority as official court translator and student of Arabic to impose a particular view of the social world upon the history he purportedly translates. To this end, Luna re-contextualizes figures that are important to Spain's empire-building process, and which are recognizable within the social field in relation to which his readership interprets the message of his text. This re-contextualization of recognizable, important figures defines a space wherein the Morisco voice might be heard, bleeding through Luna's history.

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BRUEGEL'S *PATIENCE*: A 16th c. RELIGIOUS AND POLITICAL STATEMENT .

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Before the Italian Renaissance, Thomas Aquinas' division of "virtue" into intellectual, moral, and theological categories set the standard for certain religious programs. While the depiction of virtues multiplied during the Renaissance, there are few commissions for sixteenth-century personification of the Cardinal Virtues, during or after the Reformation. In this iconoclastic period, when it did occur, such scenes were relegated to the background, often effectively concealed by extensive landscapes.

It seems, therefore, to be significant that a series of engravings, consisting of Vices (1557) and Virtues (1559) were produced in Antwerp after drawings by Pieter Bruegel.. This sequence of personifications has not been, but is here considered in the context of Thomas Aquinas' categories (theological and cardinal virtues). Further, it is proposed that the additional virtue, Patience, points to contemporary circumstances, associated with religious and political events in Dutch territories. .

Bruegel's personifications do not retain their traditional, medieval symbolism but, set into contemporary environments, are updated versions with, at times, unexplained symbols. In a period, when common people were increasingly presented with vernacular texts (including vernacular bibles), the inscriptions on these prints are in Latin. This use of Latin is of specific interest, since text and illustrations coincide with catholic sentiments...

In my opinion, the print series echoes discussions of the differences between Catholic, Lutheran, and Calvinist beliefs, whose differences had been the subject of the Council of Trent (1545-63). It should be noted here that this, the 19th ecumenical council, did not meet continuously. It should also be considered that, when Bruegel became a member of the guild in Antwerp, the council had been suspended (1552), due to political

disturbances that were aided by the French: the outbreaks of war in Italy and a revolt in Germany which overthrew the supremacy of Charles V. In 1555, the year that Germany was pacified by the settlement of Augsburg, Pope Julius III died. During the tenure of Pope Paul IV (1555-59), when Bruegel's prints were produced, there was no assembly of the Council of Trent. In 1562, when the Council reconvened under Pius IV, Charles V was dead, and the German and Spanish powers had separated.

Therefore, dated to 1557 and 1559, Bruegel's prints might NOT, as proposed by Ebria Feinblatt, be mere satires on Catholicism. Distributed in Protestant and Catholic territories, Bruegel's prints would NOT have been an expression of Protestant attitudes towards Catholicism. Rather, the opposite is likely, especially since Pieter Bruegel was a Catholic.

Bruegel's series of the Virtues and Vices, as noted, was produced during the period of Pope Paul IV (1555-59), a reform-minded, anti-Lutheran pope, who was autocratic and who was inspired by a medieval conception of papal supremacy. Since that pope's favorite author was indeed Thomas Aquinas, it is not surprising that canon law and a revival of Christian virtues would become part of the thoughts expressed during his tenure. Without compromise, Pope Paul IV had denounced the peace of Augsburg as a pact with heresy (Sept. 25, 1555) and had negated the then uneasy coexistence of Catholics and Lutherans in Germany.

It should also be remembered that, in Dutch territories, the Spanish Inquisition did not materialize until after the departure of the Cardinal of Granville (Antoine Perrenot, 1517-80) who is generally associated with the restrictions that were imposed by this inquisition. Bruegel, who signed his work, was not called before such an inquisition, although his prints were tinged with religious and political references. Political policy greatly effected Catholic and Lutherans alike, since papal edicts were not universally accepted and a Catholic emperor's edicts often conflicted with traditional Catholicism. Since a list of "forbidden books", indicative the restriction of publishers, was not considered by the Council of Trent until 1562, based on the critical and satirical subject

matter of Bruegel‘s prints, such restrictions were also not yet in effect (or lax) during the Cardinal of Granville‘s tenure.

The varying comments made in Bruegel’s cardinal and theological virtue prints indicate that there was a Catholic opposition to Spanish occupation, ready to fight. That the time had not yet come to ‘strike’ is indicated by the addition of the eighth virtue to the print series, Patience. This virtue is discussed by Thomas Aquinas in the context of Temperance, the curbing of passions.

“Patience is the tranquil endurance of evils that assail you through malice or through accident (from Book 5 of Lactanius’ *Institutiones Divinae*)” This Latin inscription fits the medieval sentiment, but is visualized in a contemporary fashion that draws on more recently invented iconography, introduced by Hieronymous Bosch in the early sixteenth century. Already present in the 1557 Vices, Boschian elements were also introduced into the visualization of demonic vices in some of the Virtues, like the print of Fortitude. The profusion of ‘evil’ in Bruegel’s print of Patience similarly exhibits the artist’s and his patron’s full understanding of Boschian concepts.

In contrast to the prints of Bruegel’s other Virtues, the most striking feature of Patience is the size of that personification. In the prints of Faith and Temperance, Bruegel exempted these personifications from the laws of perspective that he applied to the subject matter surrounding each of the personifications, making them larger than life-sized. Spatial voids around Hope, Prudence, and Temperance distinguish the allegorical from the didactic scenes. However, like Patience, Justice is elevated on a base and, like Charity, is integrated into the subject matter. Patience, however, is almost lost into a landscape that could have been designed by Bosch. Her relatively small figure is placed in the lower center, aligned vertically with a peaceful city in the background, dominated by church steeples.

The perspective divides the scenes into three basic sections. A traditional birds-eye view is applied to the lower section. The central section shows a straight-on, the upper a

worms'-eye view. The likely explanation of this compositional arrangement is an adaptation of Italian principles, used extensively by Raphael as early as the Marriage of the Virgin (1507).. However, the same compositional devices were already used by Jan Van Eyck in his Crucifixion & Last Judgment panels (Met. NY), dated to 1438-40.

As noted, Bruegel based Patience on the prototype of Temperance. According to Male, as part of the *Psychomachia*, Temperance is depicted as grave and quiet, immovable as a rock. Usually shown with her opposite, Anger (Ire), the medieval Temperance wears a helmet and a cuirass and is generally attacked by Anger who holds a sword in her hand. In such scenes, Anger's sword breaks as it strikes Temperance's helmet. Temperance picks up a javelin, lying at her feet, but thrusts it at her own breast rather than her enemy. In this fashion, based on her reliance on Divine Wisdom, Temperance wins without ever defending herself.

Bruegel's Patience, therefore, has no medieval precedent. She is surrounded by a variety of Boschian visualizations. She wears no armor and, other than the cross in her hand, carries no weapons. Like Temperance, Bruegel's Patience is grave and quiet. However. embodying elements of her counterpart (Impatience), Patience needs help to stay in place. This is indicated by her left foot, hidden under the drapery, but chained to her base. A yoke (symbolic of restraint, see Justice) lies in front of this base but is surrounded by deceptive scenes. These, in a reversal of victories over vices, show the spreading of evil when there is no restraint. Surrounded by evil, Patience lifts her eyes towards heaven and, holding the cross, prays.

Certain evils are half-hidden in the dark places of the print. In the upper left-hand section, a group of people emerge from a church. Indicated by the ladder leaning over its roof and the billowing smoke, it seems likely that this church was set on fire. This event, hidden in the darkest area of the print, stands in direct contrast to the well-lit areas below and on the right, where a brilliant sun is setting on the horizon, illuminating monstrous creatures, of human and animal natures, who dominate the foreground.

The scene that depicts the burning of a Church is spatially separated from the event directly below, a theme that seems to have been inspired by Bosch's right interior panel of *Hell* from *The Garden of Earthly Delights.* Instead of using an egg-shaped carcass as a tavern, Bruegel combined the carcass with a hollow egg (devoid of its original meaning: life and resurrection) and gave it a human shape. Led by this human-headed, deformed animal, a procession of figures, in proportion with those in the rest of the scenes, carry two ladders and an oversized knife into the interior of the hollow egg through its rear, where its shell has been broken away.

The hat on the creeping figure's head is decorated with two plumes of smoke. This figure is combined with a semi-human animal on all four extremities, suggesting both homosexual intercourse and an equestrian pose. The rider wears a cardinal's hat, indicated by the crossed keys on the brim. As a likely reference to the papacy, this deceptive hollow twosome seems to be creeping towards the city in the central background with its churches and orderly life. This equestrian group is attacked by a furious fish (the symbol of Christ), carrying a raised saber and a small shield, but is totally ignored. The equestrian's view is directed towards the city, that of the egg's head looks towards the right into the direction of the hollow tree (discussed below).

Were it not for the partially visible decoration on the knife, where the same insignia appears above the letters W and A, above the rivets down the handle, the tendency is to associate this 'cardinal' with that of Granville who, during the reign of Charles V was the bishop of Arras and, after the emperor's abdication, held that office under his son, Philip II after 1555. However, it was not until after 1559 and after that cardinal had left for Naples that the until then threatened Spanish Inquisition was instituted in Dutch territories, then ruled by Spain.

Although earlier, the German emperor Maximilian had been intent on claiming the papacy for himself and to institute a hereditary papacy (pope-emperor), Charles V is generally credited with the introduction of a papal inquisition into Dutch territories when, according to Motley, 50-100.000 heretics were "burned, strangled, beheaded, or buried

alive". During this time, the papacy stood in opposition to Charles V and eventually allied itself to the French to drive the Spaniards from the Italian peninsula. While Philip II remained in Spain, the Cardinal of Grenville ran his administration and, therefore, was the likely target of the Dutch and, therefore, Bruegel‘s comments.

The equestrian's torso continues into the interior of the hollow contraption, indicated by the emerging right leg, and he could be seated on the edge of the knife. The crossed keys on the cardinal's hat might indicate that this contraption depicts the castration of the cardinal, 'riding' the Spanish emperor. The equestrian's right hand, held firmly in place over his leg by the egg's shell, holds a three-petaled flower; while a sword-like walking stick or riding crop is wedged under his arm. The emergence of a dry branch from the back of this figure also hints at the building of an effigy, but in conjunction with the equestrian pose, could also be a reference to a "Trojan Horse" that advanced towards the city.

The ship approaching the equestrian figure is in the shape of a fish. Rowed by oars in the shape of human legs, this ship is comparable to that below the setting/rising sun behind the hollow tree on the right. Driven by human energy (legs), one boat docks, ready to lower its shield to let what might be assumed to be an army of (Spanish Christian) soldiers ashore, the other approaches the city from the sea.

The Fish, a symbol of Christ since early Christian times, appears in a variety of guises. Of those appearing in Bruegel‘s Patience, the fish-shaped boat beneath the hollow, egg-shaped equestrian pair, dangles a fish on a line on its bow, but is surrounded by dead and drowning people. The food passed through a window has been accepted by a man who is not aware or does not care that a demon lurks behind the prow and that frogs, the symbol of heresy, are on the boat and at the base of the equestrian pair.

The immediate area surrounding the equestrian pair and the Fish-boat show resigned or defeated humans set upon by monsters. Despite the messenger on an ass (stupidity), identified by a dunce cap, carrying a trumpet (Fame), and holding out a written decree,

the monk at the edge of the river administers Last Unction to the dead and dying, floating in the river. To the left, behind a medieval crossbow on the ground, a seated figure hides under his hat, resignedly holding a flail. The flail points into the direction of another soldier, attacked by a deer-like, antlered animal with an arrow sticking out of his back.

Below this scene and to the left of the personification of Patience, a series of monsters follow a crab ashore. A solder, followed by a pig-like demon holding a tankard, hides behind his shield as he moves past the seated Patience towards the other side, where humans and monsters interact in and behind the hollow tree. Due to an amputated foot, the soldier's lower left leg is supported by a crutch but, as he hobbles towards the hollow tree, the incapacitated warrior is again attacked by a demon.

While these activities express the futility of fending off the impact of an inquisition under Charles V, continued by his son Phillip II, the hollow tree with its spreading dead branches behind the seated and praying Patience deals with another contemporary social problem, one that prompted the actions by the inquisition.

Initially reminiscent of Bosch's *Ship of Fools*, whose theme is associated with Sebastian Brandt's work of the same title, produced in 1494, it should be noted that Bosch depicted a life, Bruegel a dead tree. Hollow dead trees in Bosch's drawings and paintings show a twofold use: the depiction of nature spirits (*The Tree-Man*, Berlin, Kupferstichblatt) or simple shelters, like that in *Temptations of St. Anthony* (Gallery of Art, Kansas City).

In the print of Patience, the dead hollow tree is used as a secular shelter. What appears to be a boat, is a flat, circular piece of wood. Like Bosch, Bruegel uses a variety of table-tops like offering tables, especially in the versions of *Carnival and Lent.* Here, it seems to indicate access to women and wine.

The activities in this hollow tree, whose prominent presence focuses on activities in the right third section of the print, is indicated through a series of symbols: a bell, a tankard, a hatchet, a globe fashioned of garlands, and a banner displaying a gaffing hook. While

the tankard advertises drink, the hatchet below the drinking bird, could be a butcher's tool, advertising food, or be a weapon. The garlanded globe (without a cross) indicates the secular world. Like the tree, this orb is hollow and of a biodegradable plant-material that will soon decompose, thus indicating the world's short-lived pleasures..

Since Bruegel was fond of "reversals", stuck in the branches, the bell above the hatchet could be a souvenir from a defunct church, associated with iconoclasm. This might well signify those individuals who, due to their experiences in life, abandoned their Christian beliefs and now followed a different call.

The banner with the gaffing hook, a tool used by fishermen, placed over an area that displays activities associated with food, drink and music, is also a pun on abandoning the "fisher of men". Here, the reference is not to the apostles but to the 'hook' that reels in certain Christians. Hungry for spiritual nourishment, similar to the man in the Fish-boat, they receive only earthly food at the expense of their souls..

These ambiguous meanings are nevertheless clarified by the owl, the traditional symbol of pagan wisdom who, defecating, is perched atop the symbols and activities in the hollow tree. As a traditional symbol of witchcraft, the owl, like the hollow egg (in the equestrian and the egg in the lower right corner) are also part of Bruegel's print of the *Witch of* Malleghem. published in the same year. Most likely, those familiar with the artist's print, would recognize these references.

That part of the scene is a direct adaptation from Bosch's central panel of *The Haywain* (El Escorial, Monasterio de San Lorenzo), where the owl perches in identical fashion on the dead branch of a tree, there placed above a demon who entertains a group with his music. The musical instruments used in the hollow tree are also found in the right interior panel of Bosch's *Garden of Earthly Delights*, there converted into instruments of torture.

In the print of Patience, musical instruments are presented as instruments of pleasure, associated with artificial stimulation, clearly indicated by the arrival of the bird-headed

‘demon‘, approaching the shore on the left, who is heralded by a frog, ringing a bell.

The bird-headed figure, carrying a harp on his back, is reminiscent of the right interior panel of Bosch’s *Garden of Earthly* Delights, where the harp became an instrument of torture for a man, whose body has been placed in a crucifixion-pose between its strings. The bird-headed demon also appears in this panel, devouring humans and defecating them into a bottom-less pit. It also appears in the lower right of the left interior panel of Bosch’s *Temptations of St. Anthony* (Lisbon, Musieu Nacional de Arte Antiga) and Bruegel’s 1559 print of the *Witch of Mallaghem*.

Placed on the same level with the “second floor” (middle section) of the hollow tree, the bird-headed man is preceded by three-leafed plants that are also visible on the table in the room where a woman pours a drink from a container. The association of the harp with ancient cults (rather than the Old Testament and David) seems to be implied by the moon-insignia (associated with Luna/Diana) on this demon’s coat. The references there are to “bird-brain” and “lunacy”, Bruegel’s comment on secular herbalism (witchcraft).

That music, drink or even certain drugs lead to sex is explicit in the layering of scenes, leading to the section directly below the owl. The variety of empty tankards, placed on hooks on the hollow tree’s exterior, coincide with the ’demon of drink’ that also follows the crippled soldier to the left of Patience.

Directly below, wedged within a roof-like arrangement is an animal skull, associated in one of Bosch’s drawings with death (Berlin, Kupferstichkabinett). Below that overhang, the hollow tree widens and becomes large enough to have a window with a musician leaning towards the left, and room enough for a circle of men and demons to dance, while holding hands (comparable to the dancers in Bosch‘s ‘Hell“).

Submerged into this scene, directly below the bird-headed demon and the bell-ringing frog, but set apart from the dancers in the hollow tree’s base, an artist is painting the scene. He sits before his panel painting, halfway between the barren beach below and the

Atlantic ocean behind him. Painting with his right hand, it appears that he is turning a rotisserie with his left. Self-absorbed, this artist appears to be oblivious to his surroundings.

While the artist paints, he is approached by demons from the right, behind his panel painting. A dragonfly-winged demon, whose prototype was taken from Bosch, seems to draw a line on the artist's panel. This interference with the artist's work is a likely reference to iconoclasm and the restriction of religious subject matter, persisting into Bruegel' time.

In a world upside-down, reversal of traditional meaning and function is also indicated in the nature of the demons. Capable of flight, the demon next to the artist stays earthbound, while a fish without wings, holding sword and shield, flies angrily through the sky towards the advancing equestrian pair. Intrigued by dichotomies, the satirical nature of Bruegel fully emerges. The contrast of the artist's meager meal on the table, pursued by a hungry dog, is similarly contrasted with the pig, the symbol of Gluttony, next to the winged demon on his right.

What initially appears to be "multi-tasking", i.e. painting with his right hand, while turning a rotisserie with his left, seems to befit the artist's gluttonous nature until the viewer realizes that there is no fire under the rotisserie, and that the animal is just another demon, who seems to be roasting in its own hell-fire. Unperturbed, the artist turns the handle of the rotisserie and continues to paint, while 'roasting his demons', i.e. coming to terms with the nature of contemporary Catholicism while practicing patience..

The association of the artist's meager meal and the fish, covered by a table top, features into this scenario. Already in 1558, Bruegel produced a drawing, called *Big Fish Eat Little Fish*. Although it was then not produced as a print, on a small scale, a variation of that theme occurs one year later in the print of Patience.

In the earlier drawing of *Big Fish Eat Little Fish*, the basic reference to the Fish as a

symbol of Christ since early Christian times, also associated with the Church, has taken on horrendous proportions. A variety of fish of all sizes and types emerge from its slit gut. If indicative of the variations of beliefs that emerged from Christ's teachings and the early church, the owl-faced figure inside the fish in Bruegel's print of Patience reflects the crisis of Faith of contemporary Catholics. ..

Amid these diverse activities, indicative of her resolve, Patience sits on a block of stone (finely honed) rather than a rock (a natural outcropping). The shape of the seat for this lone praying figure is a likely reference to the finely-honed principles of the Catholic Church, reaffirmed in the earlier sessions of the Council of Trent. Therefore, Patience is a reference to the work that had yet to be done by the Council to reform the Church. Considering that the entire print sequence was based on the principles in Thomas Aquinas' writings, the print of Patience completes the cycle of Virtues, but takes the viewer back to Faith (the first virtue) that sustains a patient person.

Throughout the print sequence, starting with a full view of a church's interior, where the Seven Sacraments were depicted, the progressive absence of virtue in the behavior that accompanies the other Virtues also explains the increased presence of Boschian iconography, representing visualizations of evil, perverting and crowding out traditional virtuous behavior. What initially appears to be Catholic propaganda, directed at Protestant factions, then was a message to Christians, pointing out how far they had strayed from their principles.

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6. *Obasan*: The Melancholic Silence of a Minority Race

In *El Norte* introduced in *Sundance* in 1999, one of the most well-known independent movie festivals, the director Gregory Nava faithfully portrays the plight of Central American political refugees. When their father is killed and their mother arrested by the military, Rosa and Enrique, the protagonists in the movie, flee the coffee fields of Guatemala for *el norte*, a place they know only from pictures in their godmother Josefita's American magazines displaying the splendid home furniture of the American middle class. Rosa, however, asks her brother Enrique at the end of their long journey for the American dream: "When will we find a home?" She adds, "We are not free. Life here [America] is still difficult and hard. [There is] no home for us." The el norte they have known as a land of dream and liberty free from despotism and genocide at home ends up another migratory "home" *abroad* where they are marginalized and exploited. Their story of immigration pursuing for the American dream falls under the narrative of a post-modern version of slave, a domestic/international working class in the "international division of labor" of global capitalism. As a result, the narrative of post-modern diaspora is not much different from the classic slave narrative of, e.g., Fredrick Douglass, which embodies the desire of assimilation as "the rhetorical strategies of hybridity, deformation, and masking" (Bhabha 144)—that is, the essence of American dream of Third World people in pursuit of the Western/American bourgeoisie.

There are some interesting points in this movie with respect to the narrative of immigration; firstly, it problematizes the epistemological (re)placement of home which was implicated in Rosa's question—"When will we find a home?" People like Rosa and Enrique inadequate to their "motherland" in terms not of nationality and the right of birth but of political interests are destined to run away from their native land and to settle into a new place which they believe will

be their new home; however, they find it not. Being unwelcome and uninvited anywhere, thus, they are denied in the first place where they are born and then alienated in the second one where they choose to live. In other words, people like them are the postmodern presence of the liminal situated in an "uncanny" place of "gathering the signs of approval and acceptance" (Bhabha 139)—the place of diaspora ambivalently anchored between the memory of the past and the temporality of the present. Their communal or national identities are always vacillating and compromising in the uncanny place of what is called "home" which is neither determined in their birthplace nor in their place of residence.

Given Homi Bhabha's postcolonial theory, such a place of the liminal, where there is no fixed or determinate term or narrative to define "home" producing "a continual slippage of categories" (140), is literally uncanny in that migrants' national and communal identities can only be temporarily articulated in a "language of metaphor" that turns their loss of originality permanent and repetitive. This displacement and metaphoricity of migratory/uncertain/undecidable/uncanny identities of migrants is in effect what mobilizes so-called "imagined communities" based on nationalism as "arbitrary historical inventions" (Gellner 56) to take place—an indeterminate but repetitive formulation/(re)placement of liminal and ambivalent boundaries as "zones of control or of abandonment, or recollection and of forgetting" (Said 225). Hence, the idealized embodiment of "home" is both nowhere and everywhere; the question "When will we find a home?" is uncannily unanswerable and ambivalent.

Secondly, the movie of immigration, *El Norte*, visualizes a sense of loss through the narrative of diaspora in terms of the arbitrary (re)placement of home. The cinematic narrative of *El Norte* is based on the historical event of Guatemalan civil war, which lasted for thirty years or so and climaxed in the early 1980s, that left 200,000 dead and/or disappeared, one million displaced, and 440 Mayan villages burned to the ground (GHRC/USA). Famous for its lyrical and powerfully emotional portrayals of Guatemalan diaspora and genocide, this well-known independent movie not only deals with the narrative of immigration but also with psychological effects of diaspora experience Mayans both in Guatemala and in exile have had, which are visualized in a remarkable fusion of documentary realism and visual poetry; The atmosphere in which *El Norte*

reflects joys and sorrows of Guatemalan refugees who immigrate into America is so much heavy and oppressive that those scenes affected by such melancholic mood tend to be represented in a lyrical way or visual poetry—that is, the melancholic language of metaphor, temperance, unspeakability, and even uncanniness. In fact, what we experience through watching this movie of unspeakable violence and unbearable emotion of sadness based on the sense of loss is associated with what Sigmund Freud terms "the uncanny."

According to Freud, the uncanny is equivalent to an ambivalent state of feeling that is associated with fear and pleasure at the same time as based on the sense of uncertainty and undecidability; In general, "the uncanny proceeds from something familiar which has been repressed" (XVII 247). More specifically, the feeling of uncanniness is coming out of an ambivalent situation in which something familiar that has to be repressed has come to be revealed: "*Unheimlich* (the uncanny) is the name for everything that ought to have remained…secret and hidden but has come to light" (XVII 224). Namely, the uncanny arises from the sudden revelation of something so frightening as to be secret and hidden—that is, traumatic experience and impressed memory of the past. In this regard, this movie of documentary realism and visual poetry, *El Norte*, comes to be an embodiment of the unforgettable experience of violence which cannot be fully repressed but articulated—namely, come to light—in a lyrical/uncanny way. As a result, dealing with such a horrible event of state terror and the adversity of migrants, *El Norte* concludes with a melancholic mood of the unanswerable/unanswered question, "When will we find a home?" which tells us about the ambivalent and uncanny placement of internal/external migrants in the post-modern era.

As Amritijit Singh and Schmidt point out, "the act of immigration is symbolic of the transcendent postcolonial who is not only able to break away from the colonizer on a national level, but is also able to transfer his or her existence globally to the promised land" (28). However, the postcolonial immigrant's desire for assimilation like the American dream into the multicultural order of the better world is fatefully consumed in the symbolic order of the name-of-the-Father. To put it a different way, their desire for the Western bourgeoisie is neutralized and incorporated into the (post) colonial order of global capitalism when they are exoticized, fetishicized, and thus

treated as "prized possessions or viewed as living proof of desired diversity even as their voices are ignored or silenced" (Singh 28). Namely, the colonial mechanism of domination and subordination is still effective in the great salad bowl of the US in global capitalism. The postcolonial immigrants can only find their home in a certain sense as borrowed or mortgaged as not to be able to claim their right of possession—that is, the perpetual loss of home at *home* and/or abroad.

In this regard, it appears to be improbable to find any positive answer to Rosa's question, "When will we find a home?" in terms of the perpetual loss of home for the postcolonial migrants. In fact, the uncertainty, indeterminability, and slippage of epistemological placement of self, identity, and nationality "in place" turns out to be an effective tool to interpret (post) coloniality in the era of globalization or global capitalism. Against this backdrop, I will investigate another immigration narrative, which is mediated through the uncanny experience of a "migratory" minority, in terms of melancholia based on the psychological effect of diaspora—that is, *Obasan* by Joy Kogawa. In most cases, immigration narratives of migratory and alienated ethnic communities embedded in a dominant culture are associated with the problematic of cultural/national identities in the wake of "experiencing the joy of immigration and the sadness of exile" (Singh 28). Written in 1981, *Obasan*, Kogawa's award-wining novel about the World War II internment of Japanese Canadians (JCs), would be an intriguing subject to "speak in silence" the possibility of recognizing the ambivalent question, "When will we find a home?" as "an act of exorcism" (Kruk 75) for the unforgettable past of melancholic human history.

* * *

Similar to the cinematic narrative of *El Norte* in terms of the technology of literary representation, *Obasan*[1] is also based on a textual narrative of documentary realism portrayed in a lyrical mood of poetic language, standing "at the intersection of history, politics and literature" (Rose 215). Juxtaposing the first person narrative of Naomi Nakane with the chronologically arranged political documents and diaries of Aunt Emily which are told by the narrator in flashbacks, this text is a political writing, as Kogawa says, to struggle "to free something that

[1] All the citation from this text will be numbered in parentheses.

[wants] to be free" (Delbaere 461). Even though it calmly and peacefully starts with a poetic language, describing beautiful Canadian prairie, of which "attentive silence" is a dominant textual mood to proceed its narrative, this novel does not fail to remind the reader of its political significance by marking, e.g., "August 9, 1972" (2), the twenty-seventh anniversary of Nagasaki nuclear bombing in the very first page. In a political sense, even though the author confessed that "the writing of *Obasan* was very unconscious" (Delbaere 461), this novel is intended to be a haunting text to revisit an almost hidden chapter in the traumatic and thus unspoken history of Canada—that is, the internment, dispersal, dispossession, and relocation of JCs during and after WW II.

What Kogawa fundamentally aims at in *Obasan* is to awake a forgotten/unforgettable memory immanent in the tragic human history and thus to disclose it, only to heal the traumatic wound that has been left ignored, unsettled, and repressed for decades since World War II. The historical background of what this text deals with, which is correspondent to the familial history of what both the Nakanes and the Katos go through in the text, is as follows: Immediately following the Japanese attack on Pearl Harbor in 1941, whites in British Columbia as well as America, who had long harbored distrust of Orientals, demanded the evacuation of all Japanese ancestry from the Pacific Coast. 1,800 Japanese Canadian fishing boats were seized and impounded in Canada. Japanese language newspapers were shut down. Within three months after the breakout of war, the Canadian government forced the removal of Japanese Canadian male nationals to camps, and then authorized the removal of all persons of Japanese origin. Enacted by the government, a Custodian of Enemy Property was authorized to hold all land and property in trust, which was later sold without owner's consent. Land, businesses, cars, houses and personal effects were liquidated at a fraction of their value. The government justified this action by which both migrant and native JCs were stripped of their rights and categorized as "enemy aliens," which resulted in the total destruction of JC communities.

The external reason of the government for this action against JCs is that they would be a threat to national safety in wartime; yet, the more plausible reason is associated with racial prejudice and economic interests—white Canadians' long-rooted racism against Asians who had

been regarded an economic threat as often symbolized as the "Yellow Peril" (20). As a result, the war ends up a good cause for the whites to be able to seize the opportunity to get rid of the threat by dispossessing and expelling JCs not only from their hometown but also from their "homeland," Canada. Among fourteen thousand JCs or so who were dispossessed, interned in camps, and relocated at the interior in Canada since 1944, four thousand internees had to be almost forcibly repatriated to Japan (Goellnicht 289).

As Mary Byrne states, Kogawa's *Obasan* is "the family saga of the Nakane and Kato families" (31) who suffered such a hard time during and after WW II, portraying the anguish of a particular community facing the faceless state terror facilitated by the homogenizing impulse of white supremacy in Canada. On a symbolic day, August 9, 1972, the narrator Naomi Nakane, a shy and reticent schoolteacher gets a phone call when teaching at her classroom that her uncle died. Thus all the family members, such as Aunt Emily Kato, a loquacious activist for JCs' rights, and Naomi's famous brother, Stephen Nakane, as a world-famous musician, rush into Aya Obasan's house to mourn the death of her husband. While Naomi and Obasan are waiting for them to come, Naomi's narrative leads the reader to the unspeakable family history which has been almost forgotten by the narrator herself, but was recorded in the official documents and diaries of Emily that have been waiting to be read and spoken in a sense. In short, her storytelling is equivalent to the recovery of memory that should not be articulated and revived in terms of the traumatic experience of the families—that is, the memories of family deconstruction that has never been restored, of Naomi's mother never returned, and of her personal history so shameful as never to be told.

As mentioned above, all the traumatic experience of the past the Nakane and Kato families had, which is belatedly revealed in the present tense through the documents, is actually what JCs suffered during and after WW II. Therefore, *Obasan* manifestly shows the characteristic of political writing to establish a "blurring of boundaries between fact and fiction, history and myth, poetry and prose" (Lim 292). Laurie Kruk says, "*Obasan* became part of a successful campaign to lobby the Canadian government both for recognition of its wrongdoing and for reparations, years after this shameful event in Canadian History" (75). This text is, however, not so deter-

mined and symbolic as to be such a such political writing to reveal and thus to reconstruct a suppressed chapter in Canadian history especially given its dominant atmosphere of silence, the sense of loss, and repression that characterize Naomi and Obasan's voice of taciturnity. This voice of silence mediated through "the intense personal history of Naomi's narrative" (Harris 41) is meant to be not so much political and external as private and internal in counterpoint to Emily's belligerent and garrulous voice for the recovery of JCs' rights that is mediated through her documents.

Concerning the introvert narrative of Naomi that "[speaks] from stone" (Kogawa 132), Chinmoy Banerjee argues that it is "a therapeutic narrative" of "a woman, pathologically silenced by the multiple traumas of sexual molestation, mother's abandonment, political internment and the condition of the Japanese culture of silence" (101). In effect, Naomi's narrative seems not inclined to disclose and speak her traumatic past in a political sense; She questions herself, "Do I really want to read these [documents and diaries of Emily]? What does it all matter in the end?" (218; 219). She even wants to remain where she has been—in silence, "within the darkness" (131). Even though Naomi wants to get rid of the darkness of her past which was filled with her vacant memories of her mother who was gone back to Japan before the war and could not return to Canada and to the family, she shows an ambivalent attitude in disclosing her repressed past, longing to be in the "protective silence" (26): "If my mother were back, she would move aside all the darkness with her hands and we would be safe and at home in our home" (82). Namely, she wants to escape from reality that contains facts and truths kept long in the silence Emily always tries to break. To put it another way, Naomi's melancholic narrative is seemingly not so always consistent, synergetic, and productive as to maintain its thematic objective for oneness as a political writing based on *Obasan*'s well-known political implication of revisiting the hidden/repressed history of the past. This contradictory textuality of *Obasan* between its manifest objective as a political writing and Naomi's "disruptive, or polyphonous" (Goellnicht 288) voice of silence and lyricism, therefore, requires a different approach to the literary and cultural significance of the text.

Hence, it seems to be less important to read *Obasan* in light of a postcolonial political

writing focused on the revelation of racist history of Canada by disclosing belatedly what JCs traumatically went through during and after WW II; rather, it is more urgent to understand the text in a psychological sense, or in terms of what Naomi's melancholic narrative textualizes through the silence. In effect, Naomi's narrative of revelation intends to overcome the unspoken/unspeakable memories of the past which have not been able to be properly articulated and which has thus remained in JCs' unconsciousness in the "perpetual tense" (Kogawa 9); Their traumatic experience has been kept in their bodies, the "body of grief" (295), on the unconscious level, which makes "silence" the "language of [their] grief" (17). JCs like Obasan, Uncle, and Naomi who tend to be silent remember their past in their bodies and hearts, not in their brains, so that they cannot fully articulate what they have suffered and tend to avoid looking back upon it because it is traumatic and melancholic. In short, their experience is literally too much for them and, in turn, they are consumed by the memories of it; they simply do not know how to remember the past because they have been in melancholia, an uncanny state of emotion, in which they do not know how to express what they experienced. In this regard, Naomi's narrative based on the contradictory textuality is in a sense "to forget" or to relieve rather than to revive what their bodies have remembered and, thus, properly to recognize what their past was, what their present is and what their future will/should be.

As Kogawa herself says, "the writing of *Obasan* was very unconscious" (Delbaere 461), this text is a restoring process of JCs' uncanny "memories," which "were drowned in a whirlpool of protective silence" (26), to a literary form of articulation, representation, and externalization on the conscious level. This text requires the reader to think the memories of the traumatic past as monumental by which the text itself becomes a monument to which people can "assign responsibility for supporting and carrying their [traumatic] memories" (Homans 23). In order for "memory and resistance to become "the medication necessary for a cure" (Brydon 466), the text externalizes JCs' memories of the traumatic past through the textuallization of it as a monument to be able to relieve the anguish of unforgettable/unspeakable experience. In short, Kogawa's writing of *Obasan* is a truly psychological task to remember the resentful past in order to *forget* as Peter Homans argues that "the monument represents a past event and serves as a carrier of

memory back through time to that event. After the event has been recollected and reflected upon, memory is released, and one comes back, so to speak, to the present" (22).

Nevertheless, the textual objective of *Obasan* to break the "calmness" that "was maintained" (Kogawa 26) does not aim to restore, and to rejoice at, the lost memory of totality of the past before the war—i.e., the imaginary; rather, it is meant to abandon the totality so that post-war JCs who once left their "motherland" (Japan) and were almost expatriated from their "homeland" (Canada) could recognize and survive a new order of multiculturalism or the "salad bowl"—i.e., the symbolic—out of self-repressed silence "unbearable" (282), which "has grown large and powerful" "within their [collective] body" (17). To Kogawa, writing *Obasan* is "gluing [JCs'] tongues back on" (43) by textualizing the memory which has been melancholically repressed underneath their "dead skin" (59) in order to end "the song of mourning" that should not be "a lifelong song" (295).

My reading *Obasan* in such a way that the textual unconscious of the narrative gradually moves from the imaginary (the order of silence) to the symbolic (the order of word/language) is founded on the relationship of antithetic characters between Obasan/Naomi and Emily—namely, the former whose language remains deeply underground vs. the latter, "a word warrior" (39). It is especially significant to view the narrative structure of *Obasan* in the relationship between the imaginary—where one is obsessed with such metonymical terms as totality, origin, and home—and the symbolic—where one is associated with such metaphorical terms as arbitrary rule or law, lack of totality, and slippage/indetermination of identity. For Naomi's narrative to break the silence in an ambivalent way is ultimately meant not only to show how JCs can finally enunciate what they suffered through their history of immigration, but also to agonizingly break away from what they have been as Japanese and, in turn, to be legitimized Canadians. Now, let's take a look at how Naomi's infantile complex based on melancholia can be finally overcome and, in turn, she can glue her tongue back on not as a JAPANESE Canadian but as a Japanese CANADIAN. It is high time for JCs like Naomi to forget or relieve their traumatic memories so as not to being lost lingering on the past but to overcome the past, to deal with the present, to speak out, and finally to be Canadians: "Everything is forgetfulness. The time of forgetting is now come" (36).

* * *

Although Naomi's voice mostly keeps the present tense from the beginning to the end, her narrative in the text consists of two intermixed points of time: the past filled with the memories of the Nakane and Kato families during WW II and the present when Uncle is dead in the 70s. However, what goes through the two points of time which make Naomi confused with tense—"Is that past or present tense?" (9)—is the convergent mood of silence mediated through Naomi's "personality: Tense" (9). Naomi's tendency to be silent and tense can be understood in a political sense. JCs like Naomi are repressed to be silent as their white Canadians abuse them psychologically as well as bodily not only at the time of colonialism but also of postcolonial multiculturalism. In other words, their tendency to be silent and repressed reflects in a cultural sense that they still fall under the (post-) colonial subject which has been repetitively and perpetually reproduced not only in the past but also in the present in the forms of xenophobia, racism, and prejudice in the postcolonial multicultural society: "it's a nightmare" (90) "Time has solved few mysteries. Wars and rumors of wars, racial hatreds and fears are with us still" (93).

This silence forced to JCs is manifestly projected upon Naomi's infantile experience of sexual molestation by Old Man Gower: "Every time he carries me away, he tells me I must not tell my mother… The only way to be saved from harm was to become seductive" (73). She is disciplined to be silent and in turn repressed by the white old man. Likewise, as a minority considered as "the Yellow Peril" in wartime, JCs can do nothing but "walk together rapidly and in silence" (183) whenever they face racial prejudice and harassment. This colonial relationship between white Canadians and their Japanese counterparts is reflected as well in Naomi's dream: "The more he [the Grand Inquisitor who repetitively shows up as the colonizer in different forms in Naomi's dream] killed her [as a metaphorical presence signifying disempowered minority race, that is, the JC], the deeper her silence became"(274). Considering it is a truism that imperialism feminizes the colonized, or it masculinizes the colonizer, JCs as symbolically castrated as to be demasculinized have learned paradoxically "the avenues of speech are the avenues of silence," (274) or disciplined to be as silent and repressed as an *Oriental* woman is supposed to be: "The Grand Inquisitor was carnivorous and full of murder. His demand to know was both a judgment

and a refusal to hear" (273).

In effect, disciplined to be silent and repressed, JCs are simply invisible and unheard at all, so to speak, for their own sake, and their epistemological presence is vacant, empty, and "lost"—that is, ontologically "dead" (28). In this regard, the main cause of Naomi's silence is associated with the loss of national identity as a minority in multicultural but still white-dominant Canadian society. In the wake of their traumatic experience during and after WW II, JCs end up belonging neither to Japan (their motherland from which their cultural and biological identity inherit), nor to Canada (their homeland to which they belong in a legal sense). They become nobody: "We are the Issei [the first generation of Japanese immigrants] and the Nisei [the second] and the Sansei [the third], the JCs. We disappear into the future undemanding as dew" (132). Even though JCs like Emily hysterically cross out the mark "Japanese" when her documents identify them with "Japanese" Canadians and try to recognize themselves as "Canadian citizens" (40), it is still unlikely for them to be legitimized Canadians rather than legally Canadian citizens as long as they are regarded "a stench in the nostrils of the people of Canada" (139). This kind of racial hatred and prejudice of Canadian society against JCs has made them invisible. When the German Nazi was exterminating the Jew including Jewish-German citizens in Europe, Canada was carrying out its own way of genocide to "make sure [JCs]'d never visible again" (41): "It's as if we [JCs] never existed" (105).

As a matter of fact, JCs' migratory identity that can belong neither to the Japanese nor to the Canadian is from the beginning concerned with the loss of JCs' ethnic identity, which came to the surface during WW II in earnest. As Wenying Xu points out, "In *Obasan*, expressions of resistance to racism and its internalization center on enjoyment or pleasures specific to Japanese culture" (60). Likewise, JCs' ethnic identity as Japanese plays a key role in this novel in recognizing how different their life before and after the war become and how the war affected the JC community in terms of "the disruption of the relation between [immigrant] generations by the dispersal of the community" (Xu 41). Namely, the uncanny situation of WW II in which JCs cannot claim their right of birth neither in Japan nor in Canada makes them realize how humiliating and even dangerous it is to live in a multicultural society as a minority and, in turn, how ur-

gent and demanding it is to give up their old identity as the Japanese and to accept and internalize a new one as the Canadian. Frankly speaking, the JCs were Japanese rather than Canadians before the war who live in a world of totality—the imaginary—where there is no urgent need to be the Canadian, which eventually makes Naomi's narrative ambivalent.

The author Kogawa's attitude toward JC's ethnic identity shown in Naomi's narrative is ambivalent in terms of the contradiction between the nostalgic way Naomi portrays her past before the war in flashbacks and the apocalyptic one she deals with JCs' impending problem of racism and political movement for the recovery of their rights in reality. The "barely unreal" (25) past left to Naomi is the order of silence itself, "wordlessness" (33), in which "there is no language" and [e]verything is accepted" (34). This order of silence "as positive force to bring about revelations, allowing one to perceive the very essence of a matter hidden behind silence" (Ueki 6) in Japanese culture, is remembered with such emotions as "decorum" (58), "pleasure" (59), and "a torpid peace" (59). That is to say, it is the world of totality without "fragments" (64) Naomi wants to live in "forever" (59), which is metaphorically represented both in the episodes of her taking a bath with her grandma and Obasan, and in the family picture. The symbolism of totality the bath scenes and the picture represent is particularly focused on the harmony of the families; however, that harmony is always remembered as the past tense which cannot be restored at all: "Every event was a warm-water wash, drawing us all closer till the fiber of our lives became an impenetrable mesh… We were the original 'togetherness' people… The families were not fragmented. Such a time there was once" (24).

In the memories of her families before the war, Naomi does not need to lack her mother and remembers them with harmony, pleasure, and happiness; they reflect symbolically an idealized totality of the Japanese culture and her mother—that is, the imaginary. Mason Harris points out, "Naomi's intense memories of the perfect mother of her childhood make it clear that for her this mother represents a feminine ideal" (45): "Mother's voice is yasashi, soft and tender… She is altogether yasashi" (51). Moreover, such an idealized "togetherness" makes possible the positive "silence" of Japanese family life, "exemplified by an understanding of the child by the mother so complete that words would only be an intrusion" (Harris 45). This idealized totality of

familial harmony and her mother is, however, "fragmented" and never restored even in the present tense of her narrative since the war destructed her Japanese community in Canada and makes Naomi's mother never able to return from Japan. In the wake of WW II that not only destructs the whole familial harmony but also Naomi's connection with her mother, the whole world surrounding her becomes the symbolic, the order of language, lack, fragmentation, and desire. Namely, Naomi as a child who "simply by existing is delight" (55) with such an intuitive understanding which does not require words in the order of wordlessness and totality" becomes silent, repressed, and introvert as she grows because "she is trying to recover a past she experienced as a child, much of which has been expelled from memory" (Harris 44) but fails to do unless her mother returns to her with a memory of an ideal childhood provided by the very ideal mother.

Therefore, Naomi's silence as part of positive characteristics of Japanese community where everyone is perfectly known and from which no one feels alienated turns to the negative silence of Obasan—"an inner retreat from which there is no return" (Harris 46). As Harris brilliantly points out, Obasan's "silence that cannot speak" is "a pathological response of the Issei world-view to permanent loss of community" (46). In other words, the virtuous silence of Japanese culture in the imaginary where the familial and communal harmony and togetherness can be kept ends up being a negative and dangerous stumbling block that makes the Nisei and Sansei who desperately need to be a legitimized Canadian for their own sake as silent and repressed as not to speak out for their rights against white Canadians' racism: I [Naomi] want to break loose from the heavy identity… I am tired of living between deaths and funerals, weighted with decorum, unable to shout or sing or dance, unable to scream or swear, unable to laugh, unable to breathe out loud" (218). In brief, the silence that seemed ideal in childhood becomes pathological for Naomi as an adult Nisei.

The problematic related to the silence of Naomi and Obasan in the text is, therefore, concerned with the identity of the Nisei. The silence that is regarded a positive aspect of Japanese community—the Japanese cultural heritage itself in a sense—turns out to be what makes the JCs in Canada alienated and dissimilated from the multicultural society where they take part in as a

minority and, in turn, silent and repressed toward how they are treated by their racist compatriots. Such JCs as Naomi, the Nisei, not to mention Obasan and Uncle, the Issei, can have no way determinedly to shout, "*I am Canadian*… This is my own, my native land!" (47-8), while the JC activists like Emily have done on behalf of them against the unjust and inhuman racial discrimination. In short, the ontological significance of the JCs like Obasan, Uncle and even Naomi is more deeply rooted in the imaginary, the order of totality about Japanese culture, than in the symbolic, the fragmented order of multiculturalism in which white supremacy and culture are predominant over other minor ethnic and cultural groups.

In this regard, it is remarkable that, as "a young man with a future"(257), Stephen, a symbolic figure who always "scowls" (155) about "anything [that] is too Japanese" (261) and makes "himself altogether unfamiliar with speaking Japanese" (276-7), becomes a world-famous musician and the most non-Japanese Canadian at last in the JC community. Like Emily who has been eager to fight against unjust racism and for their rights as a Canadian, Stephen is symbolically representing "the one with the vision" (38) Kogawa shows through *Obasan* as a figure that gets off the imaginary where his other family members have long been obsessed in silence and actively moves on to the symbolic where he can find his own way to survive as a Canadian rather than a JC: "At the top of the garden, Stephen digs a hole and plants a flagpole with an oversized Union Jack" (164).

In effect, not only the ethnic but also the national identity of such JCs as Obasan, Uncle, and Naomi are uncanny or unspeakable in terms of the dilemma that they are "both the enemy and not the enemy" (84) in wartime both to their ethnic motherland, Japan, and to their native homeland, Canada. This ambivalent postcolonial situation in which they cannot be placed where they are supposed to belong to—that is, where they are born or where they choose to live—is what makes JCs silent about the unjust treatment of the Canadian government and uncannily melancholic. This desperate psychology of postcolonial immigrants can be likened to what Anne Cheng calls "racial injury." Based on Cheng's psychological theory of racial melancholia, such raced subjects as JCs like Obasan, Uncle, and Naomi are suffering from the "intangible effect of racism" which is eventually the cause of their silence.

According to Cheng, both American whites as the racial oppressor and the raced subjects such as African Americans and Asian Americans, are committed to be put in racial melancholia—that is, "the internalization/naturalization of racism and the installation of a scripted context of perception" (17) including racial stereotypes, racial discourse, prejudiced pseudoscience of racial superiority/inferiority and so on and so forth. That is to say, on the one hand, the former becomes hypocritical racists who advocate equality and freedom that contradictorily inscribe "racial and psychological injury" in the notion of "one nation" that sustains American multiculturalism founded on the declaration of independence. Thus, they are put in an ideological dilemma centered on the proposition—"all men are created equal," which causes American whites to be melancholic in an uncanny way:

> While racism is mostly thought of as a kind of violent rejection, racist institutions in fact often do not want to fully expel the racial other; instead, they wish to maintain that other within existing structures. With phenomena such as segregation and colonialism, the racial question is an issue of place rather than of full relinquishment. Segregation and colonialism are internally fraught institutions not because they have eliminated the other but because they need they very thing they hate or fear. (Cheng 12)

Namely, the whites are created equal only when they can find their counterparts to treat unjustly and unequally; The great American heritage of equality and freedom founded on the deceleration of independence discloses the racial and psychological injury of Americans per se, for American whites are conscious of what they are doing with regard to their own racism. On the other, the raced subject is doomed to racial melancholia as well in terms of invisibility and silence. Cheng asks the reader "who is the invisible one?" concerning Ralph Ellison's *Invisible Man*. Is that the white man who bumps into the black narrator on the street, cursing him for his clumsiness rather than for racist reasons, or the latter who blames the former for his insolence? Cheng's ambiguous question is in effect focused on the fact, "in this confrontation, there is potential mutual invisibility and mutual projection" (Cheng 16); she argues that, while the white man's response is "both macho and hysterical, the narrator, the black, "demonstrates that he is trapped, not by having

been seen as invisible but by suspecting himself to be so" (Cheng 16-7). That is to say, the invisibility of raced subjects is due to their melancholia based on racial and psychological injury that they deserve to be invisible in front of the white: "the internalization of discipline and rejection and the installation of a scripted context of perception."

Like Cheng, Kogawa in effect throws an uncanny question in *Obasan*, "What is the silent one?" in a different way. Racism and racial rejection are based on the mutual perception of racial discourse and discipline between the white and the raced subjects. In this regard, those JCs who tend to be silent and believe silence is the good heritage of Japanese culture are in fact suffering from the racial and psychological injury caused by racial melancholia: "We must always honor the wishes of others before our own…. Obasan teaches me not to be wagamama (selfish and inconsiderate) by always heeding everyone's needs" (151). In the case of JCs, whose wishes do they must always honor before their own? Whose need do they have to heed? These are definitely Canadian whites that do not want JCs to remember and speak what Canada, their racist country, has done to her own citizens. In the multicultural society of Canada, the unique vulnerable heritage of Japanese culture cannot be always virtuous, for it is JCs themselves who want to keep quiet about what they have gone through and traumatically hate to remember their own tragic history. Naomi says, "Some families grow on and on through the centuries, hardy and visible and procreative. Others disappear from the earth without a whimper" (25). It is she herself who thinks her own families are of the very case of the latter one.

Hence, suffering such unthinkable and thus unforgettable experience of the past, Naomi tries to deny what has been left behind her and her families: "the memories that are left seem barely real" (25). The past cannot be forgotten but forgettable in a way she tends not to remember. However, the memories are always haunting them and put them in an uncanny situation in which they cannot properly recognize their own past and, in turn, leave themselves lots of questions unanswered, for example, "where is my [Naomi's] mom?": "We're trapped, Obasan and I, by our memories of the dead… Like treads of old spiderwebs…the past waits for us to submit, or depart…. 'Please tell me about Mother,' I would say as a child to Obasan. I was consumed by the question. Devoured alive" (30-1). Without the treatment of their traumatic experience by facing

their own past—that is, recognizing and speaking out for themselves what they have gone through—such political activists as Emily who deny being silent lose their chances for their objectives in the present: "Like Cupid, she aimed for the heart. But the heart was not there" (49). It is because those who resist to be silent at all in terms of the political movement for JCs' rights are also still suffering from the racial injury out of their traumatic experience of the past: Emily writes in her diaries, "Some memories might better be forgotten…. What is past recall is past pain. Questions from all these papers, questions referring to turbulence in the past, are an unnecessary upheaval in the delicate ecology of this numb day" (54-5). JCs are still suffering racial melancholia causing racial and psychological injury in which they "[suspect themselves] to be invisible and silent" (Cheng 17) rather than think their silence and invisibility are forced to them by their racist oppressor: Naomi says, "The only way to be saved from harm was to become seductive" (73). His [Gower] hands are frightening and pleasurable" (77). "Whichever way we decide there's a terrible feeling of underlying treachery" (108). That is to say, to keep silent on their own is the best and only way for JCs to survive *their* country as good Canadian citizens and to resist the racist Canadian government and society where "the most familiar enemy is a friend" (72) and they "are both the enemy and not the enemy" (84) as "enemy aliens" (110)—the very uncanniness of racial melancholia that JCs are suffering from. And this is why JCs "are the silences that [can do nothing but] speak from stone" (132).

What Kogawa would like to "speak" in Naomi's narrative is manifestly shown in the very last chapter of the text: "Silent Mother, you do not speak or write…remain in the voicelessness…. How shall I attend that speech, Mother, how shall I trace that wave?" (289). Concerning that Naomi "increasingly represents her sense of psychic injury" (Harris 53) through her dream, which is originally caused by her mother's absence and the unanswered question, "Where is my mother?" what Kogawa intends to do through her narrative is; firstly to let Naomi break away from the imaginary where the Issei such as Uncle and Obasan idealize as their "home"; secondly, to encourage the Nisei to break their silence; thirdly, to speak up for their rights they deserve as Canadians; and lastly, not to leave unanswered any questions concerned with the traumatic history of their own: "I want to break loose from the heavy identity….I am tired of living between

deaths and funerals, weighted with decorum, unable to shout or sing or dance, unable to scream or swerr, unable to laugh, unable to breathe out loud" (218). Nomi's sense of psychic crippling can be cured only by breaking away from the haunting ghost of the past that belongs to the imaginary and thus by actively joining in the symbolic to which they belong in the present and by speaking out for their rights. By means of these, Naomi can be, in a psychological sense, an adult in the symbolic who has been obsessed with the infantile question unanswered for a long time "for the sake of the children" (263) in the imaginary: "Where is my mom?"

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Kogawa seems to ask the reader to see the future rather than the past when people tend to think mostly in two different states of emotion: a nostalgic memory of wonderful days and a traumatic one of unforgettable experience of the past. In other words, the past tends to be remembered in general in an ambivalent way in which people are obsessed with it because, on the one hand, it is too good to forget, and, on the other, it was too traumatic to remember; The best days of the past can ironically exist thanks to the worst ones in it in which people suffer from psychological injury for the sense of perpetual loss. Such an emotional state of melancholia based on the sense of loss is simply what the postcolonial immigrants are doomed to feel when they cannot find their appropriate place they call "home,' both at home and abroad. Rosa's question, "When will we find a home?" and Naomi's one, "Where is my mom?" are in effect not different from each other in terms of the perpetual loss of the imaginary in which the best memories of their own have been long kept unforgotten and unattainable. People tend to idealize the past with good memories in which the placement of home is the center of such a positive impression; however, people also tend to remember the past in terms of perpetual loss ambivalently because, for the immigrants, home is not meant to be regainable. What does matter here is not whether the home of the past can be retaken or not; rather, it is how people in the symbolic can deal with such an inevitable loss of home that belongs to the imaginary and think in a future-oriented way to survive an uncanny situation where there is no fixed placement of home. It is especially the melancholia of race, community, and immigrants that have no place to go back but an uncanny place to live in as a minority uninvited, alienated, and displaced in terms of race, culture, and re-

ligion.

There is no place like home; yet, the home is nowhere else but in one's memory, which cannot be fixedly identified and defined in terms of the contemporary postmodern cultural conception and boundary. This impossibility for the postcolonial migrants to regain "home" can be explained in light of melancholia. Since Sigmund Freud defines that melancholia is pathological, interminable in nature and refuses substitution in terms of the "ideal object of loss" (MM 53-61), their loss of abstract home is perpetual and not able to be substituted as we can see from *El Norte* and *Obasan*. Rosa and Naomi's questions as mentioned above, thus, end up being an ongoing assignment to solve for all the people who live in the multicultural society of postmodern era.

This assignment seems, however, improbable in such an uncanny situation of melancholia as exemplified in the life and death of Jose Guiterrez, Guatemalan orphan slain fighting for his adopted country as an American soldier in Iraq. He was one of noncitizen US soldiers reaching 37,000 who have been deployed in the war in Iraq as a Green Card Marines (Arax) since the breakout of the war. After his parents in Guatemala died, twenty two years old Jose could immigrate into America by hiding his age and telling he is sixteen because adults who cross the border illegally are subject to deportation. A juvenile with no family could probably stay. Due to his lie, he could get a green card and, thus, join the Marines which took him to the war in Iraq where he was killed on March 21, by one of his friendly soldiers who shot Jose by mistake assuming him to be an enemy sodier. As Jose's commading office wrote in a letter to Jose's sister, "Obvisously, this was a tragic accident," this accident and his unfortunate fate are uncannily melancholic. To acquire American citizenship, Jose volunteered for military service in Iraq for the sake of his would-be homeland where he chose to live and got killed by his American soldier, his friendly compatriot. Once Jose wrote as follows: "I understand everything we've been taught. The only thing I do not understand is, why wars? Why do we fight against other human beings if, at the end of our time—friends or enemies—we all end up in the same place, buried in cemeteries and many times forgotten" (Arax).

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My paper, "Local Conflict and Ethnic Consciousness in the Pearl River Delta of South China," focuses on one of most important and controversial minorities in China—and a group that significantly shaped the country's nineteenth and twentieth century history: the Hakka or "guest people." Han Chinese who migrated from western Fujian to Guangdong province in search of new economic opportunities over the course of the eighteenth and nineteenth centuries, these "guest people" challenged the economic control of earlier settlers in these provinces and thereby sparked some of the most violent struggles of late Qing China. (The Taiping Rebellion, for example, which almost destroyed the Qing dynasty, originated as an uprising of Hakka in Guangxi province.) I examine, in particular, how the participation of the "guest people" in a series of struggles, the Red Turban Rebellion (1854-1856) and the Hakka-Punti War (1856-1867) in the Pearl River Delta areas of South China, helped create among these people a distinct sense of identity, a sharp sense of their own, different, Hakka, ethnicity.

My study is designed to provide a detailed historical analysis of the construction of Hakka identity. I will focus on the whole network of different interests and relationships that led to the Red Turban rebellion and the Hakka-Punti War of the mid-nineteenth century: the long-standing economic conflicts over land use; the different associational ties that divided migrants from natives; the part played by local gentry and lineage organizations in Hakka-Punti feuds; the role that the state, and most particularly local governments, played in intensifying existing tensions and thus drawing "ethnic" lines. In short, in focusing intensively on one particular place and time, my work will provide a full and rich picture of all the factors--economic, political, as well as social--that contributed to the definition of Hakka "ethnicity." My paper will thus help us understand more precisely the complex process by which ethnicity is constructed.

Local Conflict and Ethnic Consciousness in the Pearl River Delta of South China

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I. Introduction

It is difficult to overestimate the role that ethnicity and perceived ethnic differences have played in late imperial Chinese history. At many turning points in late Ming (1368-1644) and Qing (1644-1911) history, underlying subethnic factors, perceptions of group interests at the regional level, and local value systems have been crucial elements in events that shaped the future of the empire. Even today, the perception of one Chinese about another is likely to be colored by knowledge of his native place or of the dialect group to which he belongs, as evidenced by his pronunciation of Standard Chinese. Thus, the survey of subethnic groups within China not only reveals the complexities of dialect or local folklore, but also becomes necessary, a basic step, in the effort to understand Chinese history and society better.

The recent proliferation of works by historians and anthropologists on ethnic groups in China brings us closer to this understanding.[1] Yet only the most preliminary work has been done on one of the most influential and controversial minorities in China: the Hakka. Taking off from (and to some degree contesting) the important work

[1] According to Honig, ethnic differentiation often occurs among those who consider themselves Han Chinese. She examines the discriminatory attitudes of the Shanghai residents against those they named "Subei People." Although the label is primarily geographical, she sees the issue as one of ethnicity. See Emily Honig, *Creating Chinese Ethnicity: Subei People In Shanghai, 1850-1980* (New Haven and London: Yale University Press, 1992); Stephen Harrell, "Ethnicity, Local Interests, and the State: Yi Communities in Southwest China," *Comparative Studies in Society and History* 32 (1990): 51-548; Pamela Kyle Crossley, "Thinking about Ethnicity in Early Modern China," *Late Imperial China*, 11 (1990): 1-35; Dru C. Gladney, *Muslim Chinese: Ethnic Nationalism in the People's Republic of China* (Cambridge: Harvard University, 1991); David Ownby, "The Ethnic Feud in Qing Taiwan: What is This Violence Business, Anyway? An Interpretation of the 1782 Zhang-Quan Xiedou," *Late Imperial China* 11 (1990): 75-98.

of Sow-Theng Leong, my paper examines the event that sparked formation of a distinct Hakka identity in the nineteenth century. Through a study of Hakka involvement in the Red Turban Rebellion (1854-56), I focus on how the Hakkas conceived of their identity and how they expressed it through their voices, their daily lives, their construction of the village, and their conceptions of the way their local history was linked to broader Hakka and Chinese history. It is my contention that it was the experience of the Red Turban Rebellion and the resulting Hakka-Punti War (1856-67) that stimulated the development of a self-conscious Hakka identity.

II. Hakka Controversy

Since the middle of the nineteenth century, because of Hakka leadership of the Taiping Rebellion, the Hakkas drew the attention of foreign scholars, missionaries, and travelers. It is in the writings of these observers that the puzzle of Hakka origins was first posed: Where did the Hakkas come from? Were they in fact Han Chinese? These questions were the subject of much controversy. At that time violence often broke out between Hakka people and non-Hakka people, and the Hakkas, with their different language, clothing, and cultural practices (especially their lack apparent of loyalty to the land and ancestors), were often accused of being non-Chinese "barbarians" of lowly tribal origin. Although this accusation is now uncommon and the Hakkas are officially considered part of the Han Chinese majority nationality today, it still permeates the gravest insults that are directed against the Hakkas in the Pearl River Delta area.[2]

[2] Fred C. Blake, *Ethnic Groups and Social Change in a Hong Kong Market Town*, Asian Studies at Hawaii, no. 27 (Honolulu: University Press of Hawaii, 1981): 49-50; Nicole Constable, *Christian Souls and Chinese Spirits: A Hakka Community in Hong Kong* (Berkeley: University of California Press, 1994): 5

Hakka scholars themselves have of course devoted their energies to contesting this view of the “barbarian” origins of the Hakkas. Since the creation in 1921 of the International Hakka Association, a group formed to protest allegations that the Hakkas were non-Han and "wild," the Hakkas have produced a steady stream of publications about the history and culture of their people.[3] Luo Xianglin, a Hakka historian, produced what quickly became the favored theory of Hakka origins: the Hakkas were in fact "pure-blooded Han," originally from the Central Plain, who had migrated over the centuries to the south. Building on Luo's theory, other authors celebrated (and continue to celebrate) the "Hakka Spirit" and the fine qualities distinctive to the Hakkas that make them nonetheless essentially Chinese: willingness to work hard, honesty, thriftiness, diligence, straightforwardness, and practicality.[4]

Though these works do single out migration under adversity from north to south China as a defining factor in Hakka history, none of them provides a serious examination of either Hakka origins or the evolution of Hakka identity. *Migration and Ethnicity in Chinese History: Hakkas, Pengmin*, *and Their Neighbors* by S. T. Leong (1997) is really the first work to present a complex and persuasive account of Hakka migration and evolution. Regional developmental cycles of economic expansion and decline, Leong argues, fundamentally shaped the patterns of the Hakka migration and

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[3] Blake, 50; S. T.Leong, *Migration and Ethnicity in Chinese History: Hakkas, Pengmin, and Their Neighbors* (Stanford: Stanford University Press, 1997): 28-30

[4] On the basis of genealogical records and linguistic and cultural evidence, late nineteenth- and early twentieth –century writers, like most scholars today, believed that the ancestors of today's Hakka migrated southward from Henan and southern Shanxi provinces in north central China during the early fourth century A.D. By the thirteenth century, when they crossed the border into Guangdong province, they were identified as culturally distinct "Hakka" or immigrants. Less well resolved are the questions of whether the migration in the fourth century A.D. was the earliest migration, what the reasons for the migrations were, and what point in history the Hakkas became an ethnic group. See Luo Xianglin ? ? ? , *Kejia yanjiu daolun* ? ? ? ? ? ? (Xinning: Xishan shucang, 1933); Mylon L. Cohen, "The Hakka or 'Guest People': Dialect as a Sociocultural Variable in Southeastern China," *Ethnohistory* 15.3 (Summer 1968): 237-92; Leong, *Migration and Ethnicity*, passim.

their complex relations with native populations.[5] While economic upturn in the regional core typically attracted migrants, the Hakkas, economic downturn led to conflicts between the natives and the migrants. It was through these conflicts that ethnic consciousness developed.

Leong takes a situational approach in his analysis of the formation of ethnic consciousness. Following the insights of Orlando Patterson and Frederik Barth, he questions the connection between cultural and ethnic groups and links the development of local expressions of Hakka ethnic awareness to specific regional situations of conflict and competition.[6] On this basis, the conflicts in Fujian province throughout the sixteenth century between the She (a non-Han minority) and the Han (who later became known as the Hakkas) provided the setting in which ethnic identity emerged. It was at this time that Leong believes the term "Hakka" made its first appearance.

Leong's work is impressive for the scope and breadth of his analysis and his ability to avoid simplification and over-generalization. *Migration and Ethnicity* is a persuasive application of William Skinner's ground-breaking core-periphery analysis and a valuable contribution to current literature on migration and ethnic history within China. However, Leong has little evidence to prove the development of a self-conscious sense of difference among the Hakkas. He simply asserts that the economic conflicts of the eighteenth and nineteenth centuries created a distinct sense of identity, but is not able to provide any textual references that might support this assertion. Indeed, the label "Hakka," as used to refer to a distinct group of people, did not come into common use until the early twentieth century, and there is no evidence for its use at all before the

[5] Leong , *Migration and Ethnicity,* 28-29.
[6] Ibid., 14-15.

very early nineteenth century.[7] Certainly, Leong argues persuasively that economic inequality created tensions that resulted in conflicts between the Hakkas and native populations before the middle of the nineteenth century. But socioeconomic conflict alone does not necessarily create ethnic self-consciousness.

This paper contends that, though the Hakkas are in conflict with local, native populations long before the mid-nineteenth century, it is not until the great conflicts of that period that a genuine Hakka awareness is formed. Most distinctly, it is formed, in the Pearl River Delta area,[8] in the course of the Red Turban Rebellion (1854-56) and the Hakka-Punti War (1856-67). It was, then, not just economic conflict, but the *convergence* of a range of long-standing economic tensions, religious differences influenced by the presence of western missionaries and traders, and, most significantly, the intrusion of the state, that stimulated the development of a distinct Hakka identity.

III. The Hakkas and the Red Turban Rebellion

The term "Hakka" (*kejia* ? ? in Mandarin, meaning literally "guest people") usually indicates an immigrant population in southern China, distinguished from the Punti (*bendiren* ? ? ? , natives) primarily by dialect.[9] The line of demarcation between

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[7] Luo Xianglin's notion that the *ke* (?) or *kehu* (? ?) of the Jin (?) dynasty (317-419) were the origins of the Hakkas cannot be true, because *kehu* were ubiquitous in China. The term simply means "immigrants." See Nicole Constable, introduction to *Guest People: Hakka Identity in China and Abroad,* by Nicole Constable, ed. (Seattle and London: University of Washington Press, 1996): 9.

[8] The Pearl is one of China's three major river systems. The Pearl River proper is the sunken valley through which the East River, the North River, and the West River are channeled into the South China Sea. Inhabitants of the Pearl River delta recognize by common agreement three ethnic divisions broadly placed within the category of Han people: the Punti (*bendi*:? ?), the Hakkas (*kejia*:? ?), and the Dan (*danjia*:? ? ; popularly referred to in the English-language literature as the Tanka).

[9] Luo Xianglin ? ? ? , "Kejia yuanliu kao" ? ? ? ? ? in *Kejia yanjiu* ? ? ? ? , eds. Zhang Weidong ? ? ? and Wang Hongyou ? ? ? (Shanghai: Tongji daxue chubanshe, 1989): 3-5; Luo, *Kejia yanjiu daolun*; S. T. Leong, "The Hakka Chinese of Lingnan: Ethnicity and Social Change in Modern China," in *Ideal and Reality: Social and Political Change in Modern China, 1860-1949,* eds. David Pong and

the Punti and the Hakkas that lived in some parts of Guangdong (Enping, Gaoming, Heshan, Kaiping, Xinhui, and Xinning) was particularly rigid. Those Hakkas who had migrated to these localities in recent times often faced discrimination by the natives, and readily engaged in constant disputes with the latter.[10] Especially in the nineteenth century, Hakka expansion into the Punti areas often caused feuds over the control of land and water.

Religion adds an important dimension here. The Hakka identity has been historically influenced by western imperialism and nineteenth-century Christian evangelism. In the midst of the turmoil of the nineteenth century, the Punti were able to gain some security and mutual aid from "traditional" Chinese religious organizations and secret societies (like the Red Turbans) that were based in settled Punti communities. In contrast, the fragmented kinship and settlement patterns of the Hakka in Guangxi provided no firm social base, so the Hakkas utilized the ideas and institutions of the foreign missionaries for their protection.[11] In some cases, turning to the missionaries was probably a last resort in an effort to escape poverty and homelessness. Alliance with the missionaries, powerful because they had the backing of their governments, also provided Hakka with a useful counterweight to the Punti.

In any event, European missionaries found that the Hakka provided more fertile ground for sowing the seeds of the gospel than the Punti. In converting their charges,

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Edmund S. K. Fung (Lanham: University Press of America, 1985): 287-326 As the Hakkas were also granted Guest Families (*kehu*:? ? : legally registered status) status, they used this to identify and call themselves Ke (?) or Kejia (? ?), or in their language "Hakka." The Punti (Mandarin: *bendi*: ? ?) are the earliest Han Chinese inhabitants of a region. This term is often translated as "natives" or "indigenous inhabitants." In Guangdong the Punti are Yue (? :Cantonese speakers); in Fujian they are Min (? :*Hokkien*). In both cases this distinguishes the Chinese who were already settled in the area from the Hakkas and other later arrivals. Often the Hakkas regarded themselves as the Punti in their heartland, Meixian (? ?).

[10] Leong, *Migration and Ethnicity*, 72-73.

[11] Philip A. Kuhn, "Origins of the Taiping Vision: Cross-Cultural Dimensions of a Chinese Rebellion," *Comparative Studies in Society and History* 19, no. 3: 365.

the missionaries, pursuing what Stevan Harrell has named "the Christian Project," hoped to elevate the Hakka to what they perceived as the superior level of western civilization. Confronted then by these missionary attempts to educate them to be "civilized," Hakka communities were forced to reflect on who they were and how they were different from the foreigners attempting to "civilize" them. Thus contact with western missionaries served to stimulate the ethnic self-consciousness of the Hakka.[12]

A complex mix of factors--economic, religious, and associational--created, then, an explosive situation in the Pearl River delta area. A series of uprisings throughout the empire--the Taiping, Nian, and Moslem rebellions--served only to heighten the tension and intensify dissatisfaction with the status quo.[13] In Guangdong, by 1851 feuding was already endemic in Enping (? ?), Kaiping(? ?), and Xinning (? ? :Taishan), to the southwest of Guangzhou, as well as in Zengcheng (? ?), to the northeast of the same city.[14] Finally, in 1854, the Red Turban leader in Foshan (? ?), borrowing the insignia and watchwords of the local Triad organizations, proclaimed his intention to restore the Ming. He attempted to take the city of Guangzhou, fifteen miles from Foshan, that same year.[15] Though he failed at this effort, the district cites of Heshan (? ?), Kaiping, and Enping were captured by the Red Turbans.

Faced with a critical situation, in a number of districts the magistrates took a step which was later thought to have done more than anything else to provoke the Hakka-Punti war: they summoned Hakka braves to fight against the Punti Red Turbans.

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[12] Steven Harrell, ed. *Cultural Encounters on China's Ethnic Frontiers* (Seattle and London: University of Washington Press, 1994): 20-29.
[13] E. J. Eitel, "An Outline History of the Hakkas," *China Review* 2 (July 1873-June 1874): 162-63
[14] Luo, *Kejia yanjiu daolun*: 3
[15] Frederic Wakeman Jr., "The Secret Societies of Kwangtung, 1800-1856" in *Popular Movements and Secret Societies in China: 1840-1950*, ed. Jean Chesneaux (Stanford: Stanford University Press, 1972):43.

The first clashes between the Hakkas and the Punti occurred while the Red Turban revolt was at its height. The state deliberately used the hostility between the Hakkas and the Punti as a means of containing the revolt. Tensions between the two peoples lasted until 1867, engulfing as many as eight counties--Xinning, Gaoming(? ?), Heshan, Yangchun(? ?), Yangjiang(? ?), Enping, Kaiping, and Xinxing(? ?)--and causing the loss of 150,000 lives. The war was not over until finally, in 1867, the governor of Guangdong succeeded in reaching an armistice. A portion of Xinning county was marked out to form a new county, Chiqi (? ?), where the Hakkas were resettled.[16] It was this series of violent conflicts, from the mid-1850s to 1867, that led to the assertion of sharply different Hakka identity.

IV. Hakka Identity

There are various theories about when the Hakkas came to be seen as an ethnic group, but most of these theories depend on which definition of ethnicity is being used. From the Hakka historians' view, ethnic identity is rooted in shared sentiments thought to derive from a common primordial past and passed down to the present from generation to generation. These bonds--based on a common language, religion, and history--are believed to create the basis for ethnic ties.[17] But as Eric Hobsbawm has

[16] Leong, *Migration and Ethnicity*: 74; David C. E. Liao, *The Unresponsive: Resistant or Neglected?: The Hakka Chinese in Taiwan Illustrate a Common Missions Problem* (Chicago: Moody Press, 1972): 86.

[17] Leong identifies the first consciously "ethnic" statement articulating the origins and "ethos" of the Hakkas as appearing around 1808, in a lecture presented by a scholar named Xu Xuzeng (? ? ?). Many of Xu's views, and those of other isolated Hakka spokesmen of the nineteenth century identified by Leong, were reiterated by Hakka intellectuals during a period of strong Chinese nationalism after the turn of this century. Certainly by the 1920s, with the emergence of international Hakka associations and the visions and rhetoric they produced, Hakka ethnicity became the basis for the action. However, the puzzle arises why "Hakka" is never used before the Qing dynasty, if Hakka was a glorifying term to represent "true Chinese traits." See Leong, “The Hakka Chinese,” 302-7.

illustrated in his study of what he calls "invented traditions," what is important is that people believe "traditions" to be old, not that they are in fact so.[18] Hakka genealogies reach back as far as possible and are considered evidence of “pure Chinese” as opposed to “barbarian” status by Hakka historians, but these early so-called "Hakka" were not an ethnic group. Leong complicates the understanding of Hakka identity somewhat by emphasizing the importance of economic competition between Hakka and Punti, but even his more sophisticated analysis is too simple. Ethnicity cannot be defined through one type of relationship, any more than it can by reference to some shared primordial origin.

More promisingly, recent studies by Emily Honig and Stevan Harrell suggest that ethnic identity should be seen as socially constructed.[19] It is, to be sure, quite useful to see Hakka ethnic consciousness as a constructed tradition, and I intend to treat the social construction of Hakka identity in this paper. But it is important to understand the full range of factors—not only social, but also economic, religious, linguistic, and political—and the complex interaction of these factors in analyzing the process of construction. Therefore, the whole network of different interests and relationships that led to the Red Turban rebellion and the Hakka-Punti War of the mid-nineteenth century – the long-standing economic conflicts over land and water use; the different religious allegiances and associational ties that divided migrants from natives; the impact of the foreign presence on the formation of Chinese identities; the part played by local gentry and lineage organizations in Hakka-Punti feuds; the role that the state, and most

[18] Eric Hobsbawm, "Introduction: Inventing Traditions," in *The Invention of Tradition* eds. Hobasbawm and Ranger (New York: Cambridge University Press): 1
[19] See Honig, *Subei People* passim; Harrell, *Yi Communities* passim.

particularly local governments, played in intensifying existing tensions and thus drawing "ethnic" lines – contributed to the definition of Hakka "ethnicity."

The Hakkas have a unique history of migration, one of which they are most conscious, even proud. Many even moved to places like Taiwan, Hawaii, Singapore, and even America, where many non-Chinese could observe them and note that they tended to hold themselves aloof from other Han Chinese, in a sense encouraging others to treat them differently. Today, the memory of the animosity and competition between the Hakkas and the Punti sometimes plays a role in the maintenance of Hakka identity, as can be seen from the case of the Hakkas in Calcutta.[20] Since the prejudice against Hakkas is still apparent in Chinese society in the mainland as well as overseas, the more specific study of subethnic conflicts in central Guangdong may serve as a basis for comparative historical analysis of the interaction of immigrant groups within China as well as within Chinese settlements overseas.[21]

[20] Ellen Oxfeld, "Still 'Guest People': The Reproduction of Hakka Identity in Calcutta, India," in Constable, *Guest People*, 149-175.

[21] Following the Taiping Rebellion and the Hakka-Punti War, many Hakkas fled overseas for fear of political persecution. Hakka Christian community and mission centers often furnished channels to overseas communities for the Hakkas. Members of various international Hakka associations claim that there are as many as seventy-five million Hakka worldwide today. See Constable, *Guest People*, 4, 37.

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The Cultural Use of Religious Space:
A Case Study of the Korean Catholic Church

Abstract

This study has its goal in establishing theoretical foundations for cultural programs that Korean Catholic parishes operate as a new pastoral policy, analyzing and evaluating the motives and gratifications of the participants, and providing the alternatives for the future cultural programs. For this purpose, this study will examine the deprivatization of religion as a theoretical basis of religious change expressed in the cultural use of religious spaces in the Korean society and the recent history of the Korean Catholic Church's public activities. The study assumes that the participants of Korean Cathlolic parish cultural programs be satisfied with those programs. In order to approve this, the study will adopt a quantitative method to assess motives and gratifications of the participants through statistic research and analysis.

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Reflective and Refractive Screen: Social Significance of Cinema in North Korea

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Very little is known about North Korean cinema in the outsides world, and yet many have heard of the "beloved leader" Kim Jong-il's intimate relationship with film. As one of the most notorious film maniacs in history, Kim Jong-il went so far as to order the kidnapping of a South Korean director and his actress wife. As another testimonial to his love for film, the December 2002 issue of the *Atlantic Monthly* magazine sardonically suggested that Kim would be a perfect candidate to replace the deceased film critic Gene Siskel and join Roger Ebert as his co-host.

Even though film industry is a collaborative field operated by multiple constituencies, it is very difficult to imagine North Korean film without Kim's unlimited support. However, what is often overlooked in the outside world's curiosity about Kim Jong-il and the North Korean film is how Kim endowed film industry with a mighty social status as an adequate tool to carry out propaganda in disguise of an entertainment. North Korean cultural policies over the years have demonstrated that film industry is more suitable to educate the people than any other forms of culture such as literature or live theatre. Such a policy naturally had a consequence of bringing demise to regional theatre troupes and small stage productions whereas the central film studio run by the propaganda bureau thrived under the auspice of Kim Jong-il. But what did this mean in people's everyday life? What were the social consequences?

Film in North Korea as the ubiquitous medium of education and entertainment became a conduit to an appropriate worldview itself. North Korean films intended to reflect the national progress while refracting the dismal daily lives of the people. The gap between utopian illusion and dystopian reality had to be somehow bridged in order to make education by film an effective one. North Korea's remedy was to transform spectators of film into everyday performers by urging them to emulate the heroic virtues in films. In this respect, everyone in North Korea had to perform their lives as model citizens in order to satisfy the gaze of one person, the "beloved leader" Kim Jong-il. The mighty status of cinema as a tool of education brought about an

intriguing variation in the roles of performers and spectators: the usually anonymous spectators watching film (North Korean people) had to become performers under constant social surveillance, whereas the role of the spectator with all-seeing privilege was reserved only for the leader.

The Chair: New Study and a New Study Collection

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The chair, the ultimate design problem, has also been known as the ultimate power symbol. The chair, composed of a set of legs, a horizontal seat and a back rest, often each of these elements are of significance. What is it about this assemblage that encourages designers to continue new attempts to find the perfect chair? To assist in studying the chair, a new study center has opened to encourage the examining of outstanding chair designs of the past.

A person spends time sitting, whether in the workplace, in school, in transportation, at home --- even in exercising, the sitting position is used. The chair and its relation to comfort are important. Chairs vary to assist with human functioning. There are high chairs, stools, low chairs, beach chairs, outdoor chairs, kitchen chairs, dining chairs, lounge chairs, folding chairs. This is only taking into account chairs for one occupant. Two or three people may sit together on a bench or sofa unit.

Yet chair design tells history, the era of origin is described by the way the chair was put together, the materials that were selected, the fabric with its weave structure, the color and perhaps textile pattern. The chair design represents the manner in which it was used and how it related to other furnishings, in various enclosures or rooms.

The chair of the Middle Ages represents what is found in the chair today, fundamentally: legs, a seat and a back. The chair of that period was a wooden seat made by a local craftsman, the decoration reflected the standard of living the owner had attained. Cabinet makers often supplied the chairs, beautifully made and meant to be passed through generations.

In the mid-1800's, the chair became an industrial product when Austrian Micheal Thonet introduced the Model 14SP 'Bistrot' model chair. This light wooden chair had its back and part of the leg structure formed by using a steamed wood process for bending the wood material. Designers have continued to use experimental metals and techniques in innovative technologies. Metal pieces, steel chrome plated tubing, processed plywood, manmade plastics and polymer networks have all been part of successful chair structures. Examples as the Red, Blue, Yellow Rietveld chair of 1918 have innovations that mark the specific period. The Marcel Breuer 1927 tubular leather structures, the formed molded plywood shell by Charles and Rae Eames in1945, the wooden one-piece 'Ant' chair molded by Arne Jacobson in 1955, the injection molded thermoplastic by Viener Panton in 1959, the folded and glued cardboard chair by Frank Gehry in 1972, the beanbag chair Gatti/Paolini/Teodor in 1968, all were unique in their time. Maya Lin continues unique chair design today.

Chair design analysis benefits future design. Analysis criteria include: linear dimensions, materials, construction techniques, three-dimensional qualities, and social use considerations. The Chair Collection of Western Washington University, Bellingham, Washington has recently opened. The Collection holds approximately 65 prime examples ranging from the mid-nineteenth century to the latest acquisitions of Frank Gehry and Maya Lin.

The Collection in this University of 12,000 students, was begun by Dr. Dorothy Ramsland, Professor, founder of the Interior Design Academic major. Dr. Ramsland had been selected for a grant from the Norwegian University's Women's Group as a scholar for a year' study in Scandinavia. Recognizing the unique aspects design offers, she began the Chair

Collection when she returned to allow students to use and study the pieces. Many of the original Scandinavian pieces were purchased with state funds while gifts by both manufacturers and individuals assure the Collection continues to grow.

Benefactor, Mary Gilles Johnston, former Editor of *McCalls* magazine, endowed the Collection with money to move the pieces to the present location. Now under the direction of Western Gallery Director, Dr. Sarah Clark-Langager, the Chair Collection is well documented with valuable supporting books and materials. The Collection is used by the Art and Design students in their classes at Western Washington University, as well as by professionals in design, architecture, interiors and furniture. Notable holdings include: Charles Eames – Lounge Model 670, 1956; Marcel Breuer – Wassily Chair, 1925; Aarne Jacobsen – Swan Chair, 1958; Eero Saarinen – Pick Pocket, 1951; Hans Wegner – Y-Chair No. 24, 1950, and many others.

Advanced appointments are advised to use the Collection. The Chair Collection complements the long established Outdoor Sculpture Collection also on the Western Washington University campus.

Chairs will continue to intrigue the designer; chairs will never be out of style!

Ancestor Commemoration in Early Minoan Tholoi

Topic Area: Archaeology

Presentation format: Paper session

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Ancestor Commemoration in Early Minoan Tholoi

Introduction

Within Bronze Age Mediterranean archaeology, terms such as ancestor worship, tomb cult, hero cult and the cult of the dead are often referred to when discussing religious ideology or mortuary practices (Antonaccio 1995: 448). However, if one is to discuss these terms with any clarity, a tightly drawn definition of the words ancestor and ancestor veneration must first be forward. An ancestor is one who belongs to the same direct line of descent within a kinship group. Ancestor veneration is limited to those groups who commemorate ancestors by name and not to those who display a general attention to the spirits of the dead. From an archaeological perspective, a critical characteristic of ancestor worship or commemoration is that of protracted burial rites. Though the names of ancestors within Bronze Age Aegean societies are for the most part loss to us, we can assume that they were known and used by those who buried them. Taken in this light, the term veneration or, as I prefer, commemoration is appropriate when referring to the dead within these societies.

The inhabitants of the Aegean lived with their ancestors in a manner that departs radically from twenty-first century mortuary practices. Rather than distancing themselves physically from the dead, they maintained a proximity between the living and the dead (Branigan 1998:15). Communing with the deceased progenitors was not a religious experience divorced from political and economic realities (as the antiquated term, "ancestor worship," leads us to believe); rather, it was a practice that drew power from the past and legitimized the current state of affairs. The emergence of the practice

of creating ancestors is linked most often to land resources and inheritance (Antonaccio 1995: 6); in effect, the ancestors are markers of places. The tombs of the ancestors served as legitimizing devices, territorial markers and were used as political weapons (Alcock 1991: 447) to re-establish the rights of the descendant's claims to land, and other inheritable goods, properties and resources. This essay will discuss the relationship between the ancestors and the living and their manipulation of settlement/cemetery arrangements, mortuary practices, and the function of rituals within their societies.

Territorial Markers

The close proximity of settlements and cemeteries within the Early Minoan Mesara area suggest that the tombs were deliberately constructed within close proximity to the settlements to provide the living with the immediate accessibility and visibility of the dead (Branigan 1998: 19). The proximity of the tombs to the settlements and the intervisibility between them stresses the close relationship between the inhabitants and those buried in the tombs. This evidence combined with the fact that the tombs were used by extended family groups over long periods of time, perhaps up to 900 years (Branigan 1993: 74), point to the communities of the Mesara as subscribing to the use and control over resources attained or legitimized by means of lineal descent.

The funerary ritual can be seen as a communication system which conveys information not only about the status of the deceased (Tainter 1978: 105), but also about the status of the living. The size and ornate-ness of a tomb, the quantity and quality of the grave goods or funerary offerings and feasting rituals may speak volumes about the importance of not only the deceased but also their successors. The control and use of important resources may be maintained and legitimized by lineal descent from the dead,

while tombs and cemeteries may be used to make permanent and repeated statements about the ownership of territory by a family or kin-group (Branigan 1993: 105).

The construction of the tholoi and the engineering efforts that were applied to them displays their importance in their society as they represent an energy intensive expenditure (Tainter 1978: 106). This is most noticeable in the building materials used, their attempts at stability and the consistency of the shape of their tombs. The tombs were mostly constructed of local large rocks, in contrast with the settlements which were made of rubble walling of smaller stones (Branigan 1070: 74). The architectural superiority of the tombs over the settlements is evidenced at both Mochlos and at Gournia. At these sites not only are the tombs more distinguished than the settlements in their architecture but there is also a division between the tombs. On Mochlos, the West Terrace utilized monumental slabs as seen in Tomb Complex I/II/III and Tomb Complex IV/V and VI, this is in direct opposition to the South Slope, where the majority of the tomb walls were constructed of rubble (1970: 74-5). This type of tomb construction reveals that the tombs were intended to withstand the deterioration of time, unlike the settlement areas that were constructed of rubble, which can be perceived as an attempt to emphasis the ever-present nature of the dead as opposed to the transient nature of the living.

The location of the tombs within the landscape is significant. The tombs, in effect, marked the resources and legitimized the related community's right to those resources. The use and maintenance of the tombs had the effect of expressing the people's presence within the landscape and denoting the area in which they worked. The presence of the dead in the landscape is a continuum which marks and parallels the perpetuation of the

living in the landscape. The act of maintaining these tombs and their visual effect on the landscape mark and legitimize the related community's rights to act as guardians of restricted resources in the vicinity (Antonaccio 1995:263). Murphy suggests that the living inherit the right to use the land, but also are obliged to guard and defend it (1998: 31). I would suggest that the ancestors were placed in close proximity to the resources they safeguarded because land rights were inextricably linked to the ancestors themselves. Land is conceived of as belonging to the ancestors and their descendants live upon the land by the ancestor's goodwill. The ancestors are in essence, loaning out the land to the descendants, for which the descendants make payments in the form of offerings for this entitlement.

If burial in the tholoi was based on familial descent, we must take into account that lineages die out or that individuals move away from a particular area. Given the nature of the tomb's re-use over several hundreds of years, it would be unreasonable to suggest that these tombs were in continuous use, therefore we must assume that at some point within the tomb's history, individuals may have moved away or married outside their native settlements, thus leaving the tombs unused during certain periods. The clearance of some of the tombs at Platanos and Lebena may indicate a re-use of tombs rather than a continuation of use by the same people (Branigan 1993: 78). Lineages exist not in episodic but in durational time – the *longue durée* of Braudel. Given their potential for longevity, lineages are not static social formations. Lineages can undergo rapid or slow cycles of growth, dissolution, or coalescence with other lineages. Taken in this light, the re-use of the tombs by newcomers need not be seen as a group of people unrelated to the ancestor (Murphy 1998:31), rather this return to the area can be viewed as descendants

moving back to an area in order to claim lineal descent from their buried ancestors and in turn legitimize their right to the resources in the area.

Mortuary Practices

Van Gennep, in his classic paper of rites of passage suggests that funeral rituals fall into three stages, which mark out separation, transition and incorporation. In separation, the deceased is removed not only from his/her family and friends but also from his/her status as a living member of society. The second state is the liminal period which in physical terms is usually identified with the period of decomposition. The final state marks his/her incorporation into a new status as dead ancestor and a translated soul (Branigan 1993:106). Immediately following a death, the body would probably have been interred in the main tholos chamber, though in some cases they may have been placed in the outer chambers. The majority of the excavated tombs have small rectangular ante-chambers with paved areas around them which are located directly in front of the tomb entrance. These ante-chambers are associated with rituals performed prior to burial and attended by a small group of individuals, probably the closest of the deceased descendants. This theory is supported by the small size of the ante-chambers and certainly by the extremely small tomb entrance itself (Branigan 1070: 95).

Additionally, many of the tholoi have a grouping of outer chambers built on to the ante-chamber and to the east side of the tomb. The annex room at Ayia Triadha A contained a substantial amount of bone and was interpreted by early excavators as an ossuary. However, the evidence suggests that these annexes were utilized to accommodate new burials when the primary tombs were full. This idea is reinforced by the lack of burial remain but, more importantly, by the large amount of pottery, vases,

stone bowls, and figurines found in some of the rooms. In Platanos A, 300 stone bowls were discovered and similar remains were recorded at Ayia Triadha A, Kamilari I, and in Vorou A while hundreds of clay vessels were found at Lebena and at Ayia Kyriaki (Branigan 1993:67). Additionally, benches in both Ayia Kyriaki and at Lebena II, point to ritualistic activity rather than storage areas. At Lebena II, a large number of conical cups were found that may have been used in ritualistic "toasting" when the body was buried. The small size of the rooms combined with the small number of cups per burial would again suggest that a funeral rite was performed prior to burial.

There is evidence for the manipulation of the bones after decomposition, the most common practice being clearance and fumigation. At Lebena II, after completion of the fumigation process the tomb was covered with clean white sand to create a new floor and at Koumasa E, bone deposits were found swept to one side of the tomb and were covered in sand along with the tomb floor (Branigan 1987: 35). Some scholars have interpreted this as a purification ritual (Murphy 1998: 34) but this could be interpreted as simply laying down new flooring material to accommodate additional burials. White sand may not necessarily be associated with purification rituals within these societies.

Another manipulation method seen within the tombs is the actual removal of selected bones and the charring (probably occurring during the fumigation process) and the deliberate breakage of bones (Branigan 1987: 49). Xanthoudides examined fifteen tombs in the Mesara which probably contained at least one thousand burials, but recorded only eight skulls (1987: 48). Likewise, Marinatos noted that at Vorou A, he discovered the majority of burials in larnakes and pithoi which contained incomplete skeletal remains. It is difficult to determine if these events occurred pre- or post- burial since the majority of

the burials made in the Mesara tholoi were made of collections of disarticulated bones 1987: 305). It certainly seems possible that the removal of certain bones (skulls and long bones) but particularly skulls did constitute some type of religious beliefs within the community. It has been suggested that a sort of ancestor worship could have occurred, particularly in light of the missing skulls and long bones (Branigan 1993: 110).

The main interpretative problem with this evidence is that the skeletal remains found within the Mesara tholoi represent highly disturbed remains caused by centuries of re-use and looting. Given this fact, it is difficult to determine how much of the skeletal manipulation is associated with religious practices versus skeletal manipulation due to disturbance. Clearance and fumigation seems probable in light of the need for additional burials, certainly fumigation would explain the charred bones. However, this type of manipulation could have been for pragmatic reasons, not those of fulfilling a specific religious function. The "deliberate" breakage of bones is quoted often, but yet no explanation has been put forth as to how they arrived at this conclusion. The strongest case for religious overtones is certainly the removal of select bones, the skull and long bones. These bones would be the most logical metaphor for the human body since they are the most recognizable as the human form among skeletal remains.

The retention of select bones is a way in which to keep the ancestors close at hand, to reinforce their ties of lineal descent to others within the community. A simple analogy could thus be put forward: in today's society when a family member dies, someone has written acknowledgement of inheritance; however, within past societies with no written records one has only the tomb and/or the bones of an ancestor in which to lay claims to descent and therefore, claims to land resources. The retention of the skull and long bones

may be the strongest tangible means in which to convey this acknowledgement. The bones become heirlooms among the living and potent symbols of power for the descendants.

Ritual Functions

Other aspects of ancestor commemoration include ritual feasting and drinking activities. Active propitiation of ancestors is a vital part of ancestor commemoration and is implemented through feasting and other dedicatory rituals (secondary burials). Certainly the initial burial of the newly deceased would have been accompanied by a drinking ceremony and is supported by the large numbers of drinking vessels (conical cups) found within the annex-rooms of the Minoan tholoi (Branigan 1987: 47). Larger, more public rituals would have been incorporated during secondary burials. Ritualized drinking and feasting and perhaps, dancing would have taken place, probably outside the tholoi on the paved areas and this theory is supported by the large quantities of drinking and pouring vessels and the charred remains of animal bones found close to these areas (Branigan 1970: 108).

Murphy has maintained that the paved areas in conjunction with the benches found within some tombs and the removal of selected bones are evidence for a "cult of the dead" (1998:37). She also stated high quality grave goods are associated with some of the burials, which she interprets as votive offerings. She summed up by stating that "the ancestors may have also been regarded as divine" (1998:37). Upon close examination, this evidence is not as convincing as she purports it to be. Removal of select bones as already discussed were a means to visually demonstrate claims of legitimacy for descendants and there seems to be no evidence that the ancestors were viewed as divine

or that they were worshipped. Certainly, they were commemorated during feasting and drinking rituals and possibly a prayer was said over the body after the initial deposition or over the skeletal remains during reburial, but this is vastly different than saying they were actually worshipped. The quality of grave goods found within some tholoi may represent a difference in wealth or status level, but does not necessarily constitute a votive offering, not in the sense that it was a token for the gods. Grave goods most commonly found were of a personal nature; seal stones, gold/bronze daggers and knives, and jewelry, or items that had more everyday uses, such as pottery ware. Some ancestors were buried with specially made ornaments for funerary use. An excellent example is the thin gold jewelry; in particular *repoussée* diadems that are so thin a construction that they would not have held up during everyday use (Branigan 1993: 74). The differences in grave goods demonstrate marked differences in wealth and therefore, status. The tombs helped the descendants re-establish their position within the community's society while reasserting their claims to the deceased's property. By including burial goods within the tomb, the grave goods themselves become the material stuff of inheritance and are inseparable from its source, the ancestors. These two factors taken together provide a strong statement from the descendants to the community about the distribution of resource rights, privileges and social obligations.

Conclusion

The practice of ancestor commemoration ultimately is not about the dead, but about how the living makes use of the dead. Minoan ancestor commemoration is not a "cultic" practice engaged in by a group sharing an obsessive or esoteric interest in the dead, and

neither is it a mindless worship of "idols;" rather it is a type of discourse with the past and the future.

The role played by specific ancestors in the formation of lineal descent groups is critical. For it is by reference to an ascending multi-generational chain of progenitors that individuals establish their social identify as well as their rights, privileges and authority over others. The ancestors generally are invoked to legitimize, sanctify and bring order to everyday existence. In our society, land claims and inheritance are handled through legal recourse. In traditional societies; however, these issues are handled in the context of death rituals, burial rites and continued interaction with the dead through ancestor commemoration. The rituals and rules of intergenerational transmission of resources, privileges and obligations is an important part of lineage organization. The social practice of keeping ancestors within the realm of the living to legitimize the claims of their descendants also provided a rational for emergent and existent social inequality.

The descendant's land and other resources belonged to their ancestors and that they, the descendants, were but temporary lodgers in a protracted chain of inheritance. Ancestors played an active role in establishing a sacred geography linking territorial places to ancestral time. It follows; therefore, that the emergence of the practice of creating ancestors is symptomatic of the well established pattern of land tenure in which the inheritance of land resources played a primary role.

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TITLE: Boundary Theory and Greek Tragedy
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This paper follows upon the heels (and further examines the implications) of the papers I gave at the 2003 and 2004 Hawaii International Conferences on Arts and Humanities, 'How Boundary Theory Affects Your Life' and 'Boundary Theory and Homeric Epic.' I intend to expand the entire project into a larger, book-length study that will apply my boundary theory to a number of readings of classical Greek and Latin literature.)

To draw boundaries is to be alive, and vice versa. Human beings, supremely, are boundary-making creatures, and this activity spans from the literal to the metaphorical. The implications of these facts are far-reaching, even for the major narratives of the western tradition. As I have already shown, this includes Homer's Iliad and Odyssey. The same is certainly true – and in some ways, more pointedly so – in the case of Attic tragedy. I propose to demonstrate the truth of this, not only from the extant plays of the three great playwrights, Aeschylus, Sophocles, and Euripides, but also by considering some of the earliest (and most astute) literary criticism of Attic drama: the Poetics of Aristotle.

It is no exaggeration to say that the very plots of these stories are determined by boundaries. As I have previously demonstrated, the very drawing of a boundary simultaneously reinscribes and undermines the binarism that so defines our somatic being, our humanity, and our preferred way of constructing mental categories.

Aristotle typically thinks in profoundly binary terms. The Poetics is structured by a number of binarisms: tragedy :: comedy; ignorance :: recognition; and of course the binary 'reversal of fortune' from joy to woe (or vice versa). In addition to these, there are a number of Greek terms in the Poetics that represent binary oppositions (and turn, for their meaning, on the boundaries between them: miasma :: katharsis (defilement and purification); mimesis :: diegesis (representation and narration); spoudaios :: phaulos (characters noble or base); and the like.

But the extant tragedies are themselves also full of boundaries and binaries. To take just one example – Sophocles' Oedipus The King – we find that on the level of theme as well as of character, the material is repeatedly presented in binary format. Blindness and (in)sight; hunter and hunted; Corinth and Thebes; father and son; and, again, purity and defilement. Numerous binary combinations of characters also shed light on the meaning of the play: Jocasta and Merope; Laius and Polybus; Jocasta and the Sphinx; Oedipus and Laius; Oedipus and Tiresias; and so forth.

All of this invites us to think in terms of a major, final boundary in the physical space of the theater: that between the characters onstage and the lives of the members of the audience. It is the crossing of that boundary, if only in imagination, that allows and invites that vital identification with dramatis personae that makes the theater-going experience so intense and important.

Title Page

1 title of submission: Regenerative and Destructive Creation in D. H. Lawrence's *Birds, Beasts, and Flowers*

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Regenerative and Destructive Creation in D.H.Lawrence's *Birds, Beasts and Flowers*

Birds, Beasts and Flowers is, loosely defined, a poetic sequence, begun in 1920 and finished in 1923. It is divided into nine sub-sequences, some of which are more tightly integrated than others, sequences, that is, in the stricter sense. This paper is concerned with one of those, the first sub-sequence, *Fruits*, a close-knit group of eight poems written in 1920. It is remarkable in that it travels from a defiant affirmation of woman-centered regenerative creation in its first poem, "Pomegranate", to the male poet-prophet's call for destruction in its last, "Peace"; in doing so it seemingly exchanges one value system for its opposite. Its trajectory is, as it were, a compressed dramatization of the progression in Lawrence's thinking from the woman-centered novels that had preceded it, *The Rainbow* and *Women in Love*, to the man-centered, so-called "leader" novels that were to follow, *Aaron's Rod*, *Kangaroo* and *The Plumed Serpent*. In the earlier novels woman is the life-giver, the sexual act is a source of renewal; in the "leader" novels woman takes a subordinate role, the sexual act is a springboard for man into a life of social action, for the man with Lawrence's sense of election the role of teacher and prophet.

In "Pomegranate" the poet's vitalist morality polarizes the principles of life-assertion and life-denial. It is a dramatic monologue, in the form of a dispute between the poet and an off-stage female opponent. He would convince this stubbornly unconvinceable woman – and through her the hostile reader and an unbelieving world – of this truth: that the sexual act is entry into the full life of the body, and the full life of the body is the deeper and larger life of the psyche. The act entails a breaking open and surpassing of the closed self, a death and a rebirth, a transformation of being. I am, of course, interpreting and translating the symbolism of the pomegranate.

Much of the poem is taken up with the description and comparison of three stages in the growth of the pomegranate, observed in three different places, red flowers in Syracuse, unripe fruit in Venice, ripe fruit in Tuscany. The speaker begins, accusingly:

> In Syracuse, rock left bare by the viciousness of Greek women,
> No doubt you have forgotten the pomegranate-trees in flower,
> Oh so red, and such a lot of them.

As Christopher Pollnitz has shown, Lawrence is recalling and expecting the reader to recall Thucydides' account of Athens' expedition to the Greek colony Syracuse and its defeat, and the terrible consequences for the captured Athenians. They were heaped into the stone-quarries and left to die of starvation. He and Frieda Lawrence had visited the site. They remembered, or thought they remembered, a further horrifying detail, which may have come to them through local tradition, but is absent from Thucydides' narrative: that the ladies of Syracuse promenaded along the top of the quarries to see the young men slowly die, even that they laughed at them. Hence "the viciousness of Greek women", whose actions have, in mythic fashion, wasted the land. The speaker's presumption that the woman he is addressing will have forgotten the flowering pomegranate-trees presumes that she is indifferent to the life-assertion they represent. He is, provocatively, aligning her perverse refusal to recognize the necessities of natural, specifically sexual, existence with the literally life-denying behavior of her Sicilian precursors.

The relation of past to present in Syracuse is one of reversal. The red flowers seen in April of that year are a defiant answer to an ancient violation of nature and the corresponding atrophy of feeling that fostered in the women of that city a murderous hostility to instinctual life – hostility mirrored in the presumed reactions of the woman addressed and Lawrence's reader. In Venice, where in August unripe pomegranates were observed, the relation is one of continuity.

> Whereas at Venice,
> Abhorrent, green, slippery city
> Whose Doges were old, and had ancient eyes,
> In the dense foliage of the inner garden
> Pomegranates like bright green stone.
> And barbed, barbed with a crown.
> Oh, crown of spiked green metal
> Actually growing.

This shows Venice as it is represented in an essay written in the same month as the poem [*Phoenix*, 85-91], intended, but not used, as an introduction to *Studies in Classic American Literature*. Christopher Pollnitz has drawn attention to the connection. There post-war Europe, epitomized in Venice, is stigmatized as an old established "life-form", inert obstruction to the growth of new life. The Doges, I conclude, though Pollnitz disagrees, belong with the "old men" of Europe, die-hard custodians of a dying civilization, denounced by Lawrence five years before, in 1915, as "the old and elderly, complacent with egoism, bent on maintaining the old form" [RDP, 290]. The horror of fruit like "bright green stone", the hard brightness of simulated life, links Venice to Syracuse. Barren rock signifies the blighting of nature; nature turned to stone is a parallel manifestation of anti-life. The horror is completed when the petrification of organic life is succeeded by the inorganic hardness of metal: fruit turned metallic and militant. A "spiked" crown would, surely, suggest to the contemporary reader the German helmet, as "barbed" would recall the barbed wire of the battlefields.

The next poem, "Peach", continues the debate with, or rather the bating of, the speaker's female opponent. "Medlars and Sorb-Apples", which follows, is a turning-point in the sequence and I must defer discussion of that till later. The fourth poem, "Figs", notoriously accuses modern woman of betraying "the female mystery" in her care by exposing to the light of mental consciousness what should be "covert and inward". "Pomegranate" charged the ladies of Syracuse with emotional barrenness, the fear and hatred of elemental passion. "Figs" adds to this the sin of disclosure, the denaturing and vulgarization of the sexual rite. "Grapes", seeking to restore the mystery of "the covert and inward", dreams of a time "before eyes saw too much", when "the power of invisibility" was supreme, of "a dusky, flowerless, tendrilled world", in which "men, soft-footed and pristine" communicated with an "Audile, tactile sensitiveness as of a tendril which orientates and reaches out, / Reaching out and grasping by an instinct more delicate than the moon's as she feels for the tides". There is no mention of women in this dusky Eden. The moon perhaps stands in for their absence.

In the sub-sequence called *Fruits* only five of the poems actually use fruits for their symbolism; the last three poems – "The Revolutionary', "The Evening Land" and "Peace" – are not, however, appendages: they take over from the "fruit" poems proper and complete the sequential movement of thought. As they do, we move into a wider context. There were earlier indications of this transference of attention. "Figs" starts with female sexuality and then expands its circle of attention to include the modern world of female self-assertion. "Grapes" is entirely concerned with an imaginary "otherworld" of prelapsarian communion. In "The Revolutionary" (the speaker is Samson) the new focus has established itself and the subject is identified as "ideal civilization", named for the first time but implicitly under attack from the start. Life, the capacity for change, has gone out of it; the "rigidity" of *rigor mortis* has set in. This "*ideal* civilization" has substituted its *idea* of life for the lived reality. Its temple is Samson's moral prison: the "roofed-in erection of right and wrong" upheld by the caryatids which he must bring down. These are female figures whose "idealist foreheads" are the "naked capitals / To the entablature of clouded heaven". "Entablature" insinuates a mocking allusion to the Mosaic Tables of the Law. The caryatides were female devotees of the virgin goddess Artemis; more to the point here, the caryatid pillars are *stiff* maidens, recalling the poet's female antagonist in "Pomegranate" and "Peach", and the "clouded heaven" of divinity reified in stone of moral prohibition is a *dead* weight on their "idealist" brows. This confirms Lawrence's curious judgement in his *Study of Thomas Hardy*: "In the whole of the ten commandments, it is the female who speaks".

In "The Evening Land" (America as epitome of the West), Lawrence puzzles over the relationship of idealism and mechanism, the relationship as revealed in the American combination of a "more-than-European idealism" with its "resurrection / Into machine-uprisen man" – confessing his fear of both but especially of the latter:

> Even the winged skeleton of your bleached ideal
> Is not so frightening as the clean smooth
> Automaton of your uprisen self,
> Machine American.

Even as comparison separates "skeleton" from "automaton" the lines demonstrate that they are in reality one: the American ideal is a *winged* skeleton, the machine is America's *uprisen* self. Their common goal is a deathly (ideal or mechanical) perfection. The death-process is apparently further advanced than in Europe.

Finally, in "Peace", the sequence returns to the initial image of petrifaction. It is the "grey-black rock", however, of petrified lava. The Lawrences had rented a house in Taormina on the east coast of Sicily, below Mt. Etna and above the ancient site of Naxos. On the doorstep, carved out of volcanic rock, someone had inscribed the word "peace" (this is, let me remind you, 1920):

> Peace, black peace congealed.
> My heart will know no peace
> Till the hill bursts.

The poet calls for a new eruption:

Forests, cities, bridges
Gone again in the bright trail of lava.
Naxos thousands of feet below the olive-roots,
And now the olive leaves thousands of feet below the lava fire.

In this volcanic landscape of "grey-black rock", hot flowing lava now "set" in stone, the desire for destruction is what fills the poet's heart. He outlines a cycle of events: the crust of old lava burst open; liquid fire, liberated, flowing down the mountain; molten lava that will "set" again, awaiting the next eruption:

Peace congealed in black lava on the doorstep.
Within, white-hot lava, never at peace
Till it burst forth blinding, withering the earth;
To set again into rock,
Grey-black rock.

Fruits begins with rock and ends with rock. The symmetry highlights the contrast between "rock left bare" and the black rock of petrified lava. "Pomegranate" adds to "rock left bare" the horror of unripe fruit "like bright green stone". Barren rock and petrified fruit are images of anti-life, negations of what in *The Rainbow* Lawrence calls "fruitful fecundity" [438], the natural fecundity of life. The symbolism of fruits takes on this meaning most clearly in "Pomegranate", "Peach" and "Figs"; it symbolizes different kinds of fulfillment in "Grapes" and, as we shall see, in "Medlars and Sorb-Apples". In the image of petrified lava, however, the new active element is fire, a recurrent image in Lawrence's writing for the dynamic source of being. As early as 1911 he was praising poets who tap "the living volcano of our souls", who "take life welling up hot and primitive…from the central fire, which feeds us all with life" [Banarjee, 38-9]. In "Peace" the flow of life and the rigidity of anti-life are combined in a single image: molten lava "set", fluid fire "congealed". Volcanic rock is an exterior of dead matter overlaying and enclosing an interior of hot, turbulent life. Enclosure here is the repressive inertia of the old order "set" in stone, whose destruction, Lawrence would believe, must revitalize society.

I return to my opening observation: that the sub-sequence *Fruits* travels from a defiant affirmation of regenerative creation in "Pomegranate" to a passionate call for destruction in "Peace", seemingly exchanging one value system for its opposite. I have been illustrating the workings of the first value system, polarized between the principles of life-assertion and life-denial.To understand the significance of the reversal I need to pick up another thread in the total thought-movement of this sequence.

In "The Evening Land" the poet apostrophizes America as "You who never find yourself in love / But only lose yourself further, decomposing". He continues:

You who never recover from out of the orgasm of loving
Your pristine, isolate integrity, lost aeons ago.
Your singleness within the universe.

Here the opposition between loving and singleness is applied diagnostically to a whole society. We recognize in these lines, however, the priorities over which Birkin fought with Ursula in *Women in Love*. Birkin claimed, or fervently hoped, that his conception of sexual union as "mutual unison in separation" [264] was realizable: these poems start from the hard knowledge that it is not. Another way must be found to realize that singleness and it must be done without woman's believing participation. That other way is explored in *Fruits*. The dethronement of woman, uncrowning of sexual union as the creative principle and the consequent preferment of man's perfected singleness are undertakings already begun in its first poem. Gladdened by the sight of pomegranates in Tuscany wearing "*kingly*, generous, tilting crowns / Over the *left* eyebrow" (a *sinister* tilt of the royal crowns), the poet asks: "Do you mean to tell me there should be no fissure? … Do you mean it is wrong, the gold-filmed skin, integument, shown ruptured? / For my part, I prefer my heart to be broken". His provocative celebration of a sexuality the woman addressed believes to be immoral should help us to recognize in "for my part" the note, quietly sounded, of parting. It initiates the action of separation by which, in the next three poems, "Peach", "Medlars and Sorb-Apples" and "Figs", the speaker secures his position of independence. In "Medlars and Sorb-Apples" it is envisioned as an Orphic descent into hell, not in search of Eurydice but, at each turn of the damp autumnal road, "a new partner, a new parting, a new unfusing into twain…Going down the strange lanes of hell, more and more intensely alone…the soul…Like a flame blown whiter and whiter / In a deeper and deeper darkness / Ever more exquisite, distilled in separation". The first poem overtly to subordinate the sexual consummation, it is also the first to give emphatic valorization to the (now exclusively male) "pristine, isolate integrity" named in "The Evening Land". Instead of the orgasmic fusion from which the American male has allegedly not yet recovered his lost individuality we have in "Medlars and Sorb-Apples" "a moment's orgasm of rupture". Furthermore, each "unfusing into twain" entails another kind of separation: a separation from the female-centered *idea* of the sexual connection, according to which the man finds and completes himself through encounter with the female other. The process is by the same token a breaking-down of the old self molded in the form of that idea : with each "new parting … The fibres of the heart parting one after another". This is what the speaker in "Pomegranate" means by saying "I prefer my heart to be broken". These partings are presented as acts of destruction – destruction whose consequence is, however, creative, though differently creative, being instrumental to the restoration not of "mutual unison in separation" but of male singleness.

Lawrence's metaphors consistently equate the breaking-down of the old self to regain its "pristine integrity" with the bringing-down of the old order, clearing the soil, as it were, for a new sowing. Birkin, in *Women in Love*, has both in mind when he speaks of "the flowering mystery of the death-process" as "destructive creation" [172]. Lawrence distinguishes between death that is simply dissolution (which is the "catastrophe" of Western civilization in its American twilight, lost in "the orgasm of loving" and "decomposing") and "the flower of putrefaction which", as he told his friend Catherine Carswell, "must take place before the seed of the new [is] ready to fall clear" [42]. There is no difference in the process itself, only in the participant's relation to it. Civilization is in its death-throes, its predicament is inescapable; you are either a symptom or a promoter of the death-process. In the sexual relation, in the early poems of this sequence, destructive creation is, as we have seen, the action of separation instigated and carried out with relentless thoroughness by the poet. It reaches its climax in

"Medlars and Sorb-Apples". Savouring the fruits' "delicious rottenness" with lip-smacking relish, enthusiastically facilitating "the stages of decay", the speaker explores the death-process with melodramatic verve: "I love to suck you out from your skins / So brown and soft and coming suave, /So morbid…" It is a process of evacuation, an emptying out of "autumnal excrementa", a purgative for a costive morality, and he contemplates its completion with rapturous anticipation: "More than sweet / Flux of autumn / Sucked out of your empty bladders". In 1915, the year before Lawrence started work on *Women in Love*, in his long essay "The Crown", he had written that only by entering actively into the death-process might we win "a release into life" [RDP, 289].

Destructive creation is a process of destruction undergone – or *undertaken* – from which a new creation necessarily follows. Figured as a personal ordeal of fire in "Medlars and Sorb-Apples", it prefigures the public mission announced and ultimate goal presumed in "The Revolutionary" and "The Evening Land". The male initiate – refined and tested in "the strange retorts" of hell, the soul's "flame blown whiter and whiter / In a deeper and deeper darkness" – is restored to his essential singleness, primed for his prophetic task, agent of renewal. But there is a difference, and it is a crucial difference: the process *enacted* in "Medlars and Sorb-Apples" is only *projected* in the poems of public mission. What was feasible, or plausibly imagined, for the elect individual has not yet been accomplished by society at large. The expectation that it might be accomplished survives in "The Revolutionary" as a blustering challenge: "When your world is in ruins", Samson threatens, "See if I am not Lord of the dark and moving hosts / Before I die". In "The Evening Land" it survives, barely, as a forlorn hope.

The reversal that takes place in *Fruits* is not the reversal of *values* that at first glance it would seem to be: in Lawrence's system of ideas, as expounded in his theoretical prose, it is the replacement of one source of creative renewal, sexual union, by another, destructive purgation. This is not to deny the shocking difference, and one that is meant to shock, between, for example, the fruitful fecundity passionately affirmed in "Pomegranate" and the "orgasm of rupture" repeated again and again in a process of breaking-down and separation enacted in "Medlars and Sorb-Apples". They might easily be taken for diametrical opposites if "rupture" were not a key image in both poems. The sources of creation are opposed but the creative process in each – death and its natural sequel rebirth – is, we are to believe, the same.

Behind the image of rupture lies Lawrence's conception of the underlife. The surging up of life from under is consistently represented as rupture, a violent response, whether in the form of regenerative or destructive creation, to repressive cultural attitudes. In "Pomegranate" that motif is central to its closing visionary statement:

> For all that, the setting suns are open.
> The end cracks open with the beginning:
> Rosy, tender, glittering within the fissure.
> Do you mean to tell me there should be no fissure?
> No glittering compact drops of dawn?
> Do you mean it is wrong, the gold-filmed skin, integument,
> shown ruptured?

The image of suns going down and rising in a new dawn is blended with the image of organic death seeding new life. In the rising and seeding "the end *cracks* open with the beginning" and the "integument" is "ruptured" – the offense of Lawrence's poetry is that it is '*shown* ruptured". The word "crack" is picked up again in "Figs": "the vulgar way" to eat a fig – the socially improper way, the offensive way – "Is just to put your mouth to the crack and take out the flesh in one bite" (the abrupt monosyllables and jolting rhythm beat out its brutal directness). The act of eating completes the act of rupture. The image expresses not rape but the breaking of sexual taboos. Rupture is irruption when it is the breaking of society's taboos; it is volcanic eruption when it is the envisioned annihilation of society itself, the repressive inertia of obsolete forms of life. The "white-hot lava, never at peace" is the poet's "heart that will know no peace / Till the hill bursts".

When we read "Peace", the concluding poem, there is a particular reason why we should remember that in 1920 the War was an immediate presence in the contemporary mind. The doorstep inscription, the word engraved in lava, brings to bear the whole of recent history. The last line, "Call it Peace?", with the title word capitalized, is a question *calling* into question the settlement negotiated at the Paris Peace Conference in 1918 – by representatives of the "old stiff senile nations of the West" [3L 285] whose fate Lawrence had been discussing with his friend Koteliansky in the same year. All the bitterness and contempt and annihilating fury voiced in the poem are locked into this terse question: "Call it Peace?" For the answer is already known. Samson's triumphal anticipation of the collapse of the temple of idealism, of a "world…in ruins", has yet to be fulfilled. This so-called peace is not, then, the "new being" he had hoped would follow the convulsion of war. The "old men" of Europe, "bent on maintaining the old form" [RDP, 290], are the only victors. *Their* peace is petrified lava: 'black peace congealed".

The reversal transacted in the sequence culminates in "Peace". The whole poem itself is an act of reversal, in which the title-word plays the major role. It begins with the spurious Peace of 1918. "Black peace congealed" is not peace at all but "the old prison-house of a dead form", "the shell of our civilization" [RDP, 289], emptied of life, intact. Lawrence counters with his own reversal: "My heart will know no peace / Till the hill bursts". This *is* peace but not the peace of a world reborn, which had been in Lawrence's system of ideas the expected sequel to completion of the death-process. In this poem's employment of his cyclic theory of history, the wheel of creation and destruction, it is the eternal return of apocalyptic cataclysm that calls to his imagination: first the ancient Greek colony of "Naxos thousands of feet below the olive-roots, / And now the olive leaves thousands of feet below the lava fire". The reversal of meaning that motivates the poem and structures its argument is a vision not of rebirth but of destruction as in itself constituting the heart's peace: a vision of molten lava "Walking like a royal snake down the mountain towards the sea", resuming possession of the land.

A preoccupation with ideas of crisis and disaster had been evident in serious and popular literature for several decades before 1914. Lawrence's own mind was already cast in that apocalyptic mold when the war began. It is not surprising that in his eyes the War should be a manifestation of Armageddon. He himself pointed to the "end of the world" character of *Women in Love* [3L, 25], written during the War. Apocalypse, however, had hitherto meant to him not

only destruction but also the quasi-millennial expectation of re-creation. In a sequence notable for its complex mixture of moods and tones and rapid transitions between them Lawrence chooses "Peace", a poem written three months before the others, to have the last word: a poem embodying his bitter recognition that this millennial expectation is an illusion, that his apocalyptic scenario of destruction and re-creation has not taken place and could not possibly take place.

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The Demonic Temptations of Medieval Nominalism

Gyula Klima (Fordham University, New York, N.Y.)

In his *Summulae de Dialectica*, John Buridan (ca. 1300-1361) provided the following, striking description of a line of reasoning that later came to be famous in Descartes' "Demon-argument":

"It is true that, because of the above-mentioned requirements demanded by the concept [*ratio*] of knowledge, some people, wanting to do theology, denied that we could have knowledge about natural and moral [phenomena]. For example, we could not know that the sky is moving, that the sun is bright and that fire is hot, because these are not evident. For God could annihilate all these, and it is not evident to you whether He wills to annihilate them or not; and thus it is not evident to you whether they exist. Or God could even put the sky to rest or remove light from the sun or heat from fire. And finally they say that it is not evident to you concerning the stone you see as white that it is such that it is white, for even without the whiteness and the stone God can create in your eye an image [*species*] entirely similar to the one you have now from the object; and thus you would judge the same as you do now, namely, that there is a white stone here. And the judgment would be false, whence it would not be certain and evident; and, consequently, it would not be evident even now, for it is not evident to you whether God wills it so or not." [SD 8.4.4, p. 708.]

Although nominalists were often charged with skepticism, it is important to note here that Buridan is referring to this line of reasoning to refute its skeptical conclusion. Equally important, however, is to notice Buridan's strategy in fending off the skeptical argument in his subsequent discussion. He acknowledges the possibility of divine deception as a mere *logical* possibility, while rejecting it as a *natural* possibility. As the paper is going to argue, in these reasonings Buridan is relying on an implicit principle that I call "the principle of natural invariance of mental representation". As I will show, strict adherence to this principle is what fundamentally distinguishes Buridan's account of mental representation from Ockham's *within* the nominalist conception. Both accounts are distinguished, however, from a (moderate) realist conception that endorses a much stronger invariance principle in the "thesis of the formal unity of the knower and the known", which is excluded by the principles of 14th-century nominalism.

Proceedings Submission for the
3rd Annual (2005) Hawaii International Conference on Arts and Humanities

Title of the submission: Challenging Encounters: Infusing Critical Issues Discussion into Professionally-Oriented Academic Programs and Courses

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ABSTRACT

Academic programs that are professionally oriented often leave little room in the curriculum for "issues" courses focused on critical theory and cultural critique. The author will discuss how and why one state university revised its professionally-oriented Journalism and Mass Communication program to incorporate critical issues discussion, including the logistics and rationale for such curricular transformation.

However, resistance from the academy is only one aspect of the challenge. Another challenge comes from the students themselves, who are sometimes predisposed to oppose cultural critique. The author will explore the reasons for student resistance to critical theory and will share "stories from the trenches" about specific pedagogical encounters and strategies for turning instances of student resistance into "teachable moments." The author will share course particulars, including effective assignments and classroom activities, that are adaptable across disciplines.

Hawaii International Conference on Arts and Humanities

Paper Presentation

Title: **The German Concept of Literary Humor in the 16th and 17th Centuries**

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Work-In-Progress Report:
The German Concept of Literary Humor in the 16th and 17th Centuries

Abstract

This paper will discuss why today's English and German concepts of humor differ. In English, a secondary meaning of humor as an equivalent for "temperament" has survived since the Middle Ages, in German, it has been lost. This difference is crucial to current humor theory and to German literary studies because in German dark/black humor is excluded from serious research due to this difference. Under the working hypothesis that this difference has its roots in the development of the German concept of humor from 1450-1650, I will examine both literary and non-literary texts.

Background Information

In contemporary English and German, the concept of humor is closely associated with laughter and therefore with the comic. As such it has a three-fold quality, referring to the humorous quality of someone or something, the mental faculty of perceiving humor, and the expression of humor in books, skits, and jokes. In the English language, a secondary meaning exists, however: that of humor as an equivalent for "temperament," "mood," or "personality trait" and thus of a non-comical aspect. In German this meaning has been lost. In addition, in German, humor is solely defined as positive value, stemming from its equation with cheerfulness, *Heiterkeit*, a term derived from meteorological roots, as a metaphor for the blue sky of the Mediterranean used to contrast the melancholy evoked by the rainy northern European sky. In contrast, in English, the "black" humor—historically associated with melancholy and the darker personality traits—is still considered as a component of the concept of literary humor.

Why do the German and English concepts of humor differ so much and where do the roots lie for this difference? My preliminary readings have shown that the difference started to develop during the 16th century. Whereas both the English and German concepts of humor are

rooted in the ancient theory of the *umores* (the four "bodily fluids:" blood, phlegm, yellow bile and black bile, whose balance in the body was said to have an influence on a person's mental state), and have mutually influenced each other since the end of the 17th century, they took different turns during the period between the late Middle Ages and the 17th century.

In English, the concept of humor developed in stages: In the 1580's, it broadened to include abnormal social behavior patterns such as eccentricities, exaggerated personality traits, or unusual mannerisms. These "traits" began to be seen as a source of the comic, the ensuing laughter was believed to have a corrective effect. Toward the end of the 17th century, a further expansion takes place in the English concept. Rather than representing *humour* as an extreme and therefore ridiculous character, it now comes to be portrayed as a mental capacity, one that is able to detect this character trait and then recreate it in a cheerful, amusing, and "sentimental" work of literature. This transition marks both a semantic change and a new focus on the subjective aspects of *humour* in English. On the semantic level, *humour* had at this point become a mass noun; the plural marker *-s* had been dropped.

In considering the semantics of the German word *Humor* at this time, Karl Otto Schütz states that, although the Latin word *humor* had entered the German language during the late Middle Ages as a description of the four temperaments, its modern meaning did not evolve in stages as it had in England. Schütz states that he did not find any documents that show a similar transition as in English. He states that German simply adopted the English concept sometime during the late 18th century. Schütz does not explain, however, when and why the German concept of humor, before this adoption, lost the connotation of "personality trait" and thus its association with melancholy, the root of literary black humor.

Goals and Objectives

What happened to the German concept of humor during the 16th and 17th centuries? When did it loose the connotation of "personality trait" and was dissociated from the concept of melancholy? My guiding question is: What did audiences consider humorous (and thus what did popular playwrights write about) from 1450 to 1650? How did the medieval concept of the fours humors change in German? Whereas that transition has been investigated for the English concept of humor, studies on German comedies of the 16th and 17th centuries focus on different aspects, such as formal ones, dramatic theory, character development, and historical references. I have been able to find only one article that deal explicitly with the humor aspects of these plays.

There is a large number of documents, both literary and non-literary, regarding humor in Germany during the 16th and 17th centuries. Since most of the theater plays from this time have been considered as part of the popular, low culture instead of as part of the serious, high culture, not much attention has been paid to them in a literary context. In addition, there are a number of court documents, that describe proceedings against "unruly behavior," especially during the carnival period when many of the popular comedies were performed. The figure of the *Narr* (fool, jester) is featured prominently in these plays and in many contemporary drawings. The authority figures are depicted as stern and serious, the jester is the one laughing in their face. This difference accentuates the concept of performance in these plays: The official, public image was subverted and seen as in opposition to the people's real interest. For this reason, my focus will be on plays rather than written stories (such as the *Volksbücher*). At the core of my

investigation lies the construction of humor in the interplay between actor and audience, in the act of performance. As such this act is both dynamic and reflective of its socio-cultural context. Rather than being prescribed by rules, such as Opitz's and Gottsched's in the late 17th and 18th century, these plays developed in immediate response to their audiences. Thus I hope they reflect a number of different stages that the German concept of humor underwent during the 200 years between 1450 and 1650.

With this project, I hope to close the gap described in the first section of this proposal: What happened to the German concept of humor between the late Middle Ages and the late 17th century, i.e. during the time when it was not yet influenced by the English concept of humor? In addition, I want to investigate when and possibly why the German concept of humor lost the connotation of "personality trait" and in consequence was dissociated from the negative, melancholy, dark sides of humor that are still part of the English concept today.

The significance of my project lies not such much in the field of early modern German literature as in the fairly recent field of humor studies and in 20th-century German literature. The difference in the concept of humor in English and German has had consequences for the study of literary humor in the two cultures until today. Whereas in the fields of English and American literary studies texts with a variety of types of humor are included, especially black humor, in German studies black humor has been excluded from any research on literary humor.

My awareness of and interest in this difference grew out of my dissertation project (completed in 2000) which focused on the humor in the works of the German-Jewish writer Edgar Hilsenrath. He employs black humor to depict the story of a perpetrator of the Holocaust who takes on the identity of his Jewish boy-hood friend—and succeeds to lead a successful life under the guise of a Holocaust survivor in Israel. In my dissertation, I used the American black humor literature of the 1950s and 1960s as a frame of reference. There were no studies on German-language literary black humor I could have consulted instead. (Since Hilsenrath spent 20 years living in the US during the 1950s and 1960s, using the culture and literature of his exile context as a backdrop for my interpretation was more than acceptable. In fact, I have explored this very connection—between Hilsenrath's exile and the black humor he uses—even more in depth in a recent article.)

I am now asking *why* there are no studies done in German/Germany on literary black humor. After a close examination of numerous books on German literary humor the difference in the concept of humor in German and English (as described above) seems to be the only explanation. In Germany, any literary humor that is not exclusively positive is not considered to be part of high culture and thus worthy of literary studies. When it is indeed written about it is under the paradigm of "the grotesque," which in contrast focuses mainly on the dark aspects and excludes the humor. There is thus a split that can be observed: black humor is either seen as popular or it is seen as part of the grotesque and not studied with a focus on its humorous aspects. This project will contribute an answer to the question why there is such a difference between the two concepts of humor.

Title of Submission: *Why America Goes to War: World War I as a Test Case*
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Paper Session in History

Abstract / Title: *Why American Goes to War: World War I As A Test Case*

This paper is an examination of the state of Woodrow Wilson scholarship from the 1917 inception of American idealism to the present. The range of historiographic inclusions aims to separate schools of thought, deal with the concept of President Wilson as pragmatist and deal/ discuss the idea that there was a millennialist component to Wilson=s progressive ideology. Earlier, incomplete scholarship on Wilson=s diplomacy was updated and modernized when Wilson=s *Presidential Papers* became available in their entirety following the death of Edith Wilson in 1961. So, besides the classic authors from Charles Seymour through Arthur Link, new ones must be considered, among them Kendrick Clements, John Milton Cooper, N. Gordon Levin, John Coogan, Edwin Weinstein and Thomas J. Knock. Perhaps the mirror of the Great War will somehow shed light upon contemporary debates of declaring war, making peace and their complex ramifications.

Why America Goes to War: World War I as a Test Case

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This essay analyzes the role of President Woodrow Wilson as leader and peacemaker in World War I. The range of historiographic inclusions emphasize the role Wilson's Progressive ideology played in shaping world events and the possibility that his millennial vision determined the sort of peace which , in his estimate, was most desirable. Earlier, incomplete scholarship on Wilson's diplomacy was updated and modernized when his Presidential Papers became available following the death of his wife Edith in 1961. Aside from the classic Wilson historians from Charles Seymour to Arthur Link, new ones must therefore be considered, among them Kendrick Clements, Lloyd Ambrosius, N. Gordon Levin, John Milton Cooper, Edwin Weinstein, John Coogan and Thomas J. Knock. Perhaps the mirror of the Great War will somehow shed light upon contemporary debates of declaring war and making peace.

I

Progressive idealists were early enthusiasts for American intervention. They were not historians but reformers who had favored Theodore Roosevelt's domestic and tolerated his foreign policies. The most prominent was Herbert Croly who, in 1909, explained the ideology of Roosevelt and the progressives in his work, *The Promise of American Life*. He was a Hamiltonian, and as such abhorred the concept of laissez-faire Jeffersonianism espoused by Woodrow Wilson. The Hamiltonian New Nationalism was intended to direct the individual away from personal, selfish interests toward a collective, national interest operating for the national good. Rather than 'bust' trusts, he preferred to regulate them. For all his belligerent talk, Roosevelt also preferred to regulate, rather than demolish big business, and as Croly perceived, Roosevelt had little faith in the ability of the 'small man' to carry out the grand design of the progressives. The United States, at the turn of the century, was a great nation but the progressives envisioned her as a greater one, constantly aspiring toward a millennium.

Roosevelt encouraged the dream during his eight years in the White House and by 1912, when the incorrigible Rough Rider threw his hat in the ring, the words of the New Nationalism were on the tongue of every reform-minded young intellectual.[1]

It took nearly four years for the Hamiltonians to endorse Woodrow Wilson. When Wilson was elected, he stood for everything they loathed. Wilson's New Freedom promised to give the country back to the grass roots farmer and the urban workingman. By putting his faith in individuals he appeared to be 'turning back the clock' to the golden era of nineteenth century Jeffersonianism. However, Wilson proved to be less radical than his early campaign speeches

[1]Arthur S. Link, *Woodrow Wilson and the Progressive Era*, 2nd ed. (New York, 1963), pp.18-22.

would indicate and by 1915, his domestic reforms had won a measure of approval from Croly and similar thinking young men.[2]

1916 was the turning point in their relationship with Wilson. They regarded the President as the savior of a certain type of progressivism. Croly, Walter Weyl and Walter Lippman, all editors of the *New Republic*, the magazine in the vanguard of progressivism, broke with Theodore Roosevelt, the former President whom they had once ardently supported.

At the inception of European hostilities, the progressives favored absolute neutrality for America. Croly, Weyl and Lippmann did not favor Wilson's vacillating policy. After the sinking of the *Lusitania* in May, 1915, they probably would have supported Roosevelt if the latter had valid alternatives to Wilson's policies. By this time, they had become convinced that the Allies were fighting a moral battle against the 'evil' German nation, and were attracted to a policy of 'aggressive pacifism,' an unneutral course which would have brought the United States to a position just short of war. The idea behind this policy was to castigate Germany openly and frequently for her various depredations on the high seas, while de-emphasizing, at the same time, the issue of the English economic blockade.[3]

Still, by 1916 they were unwilling to entertain the aggressive rhetoric of Theodore Roosevelt. Apparently, Wilson's domestic reforms of that year won the progressives over to the President's camp just in time for the presidential election.[4] Croly, Weyl and Lippmann believed that the lost progressivism of Roosevelt's administration had returned. Wilson's 'peace without

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[2] This approval was not without reservations. "He was not a progressive of the advanced persuasion. He had carried out his pledge to lower the tariff, reorganize the currency and banking system and strengthen the antitrust law. He put the Federal Reserve System into the hands of cautious men. He was not an ardent social reformer." Ibid., p.80.

[3] Charles Forcey, *Crossroads of Liberalism: Croly, Weyl, Lippmann and The Progressive Era* (New York, 1961), pp. 221-267.

[4] Kern-McGillicuddy Bill, Keating-Owen Bill, Jones Bill, rural credits bill and Adamson Act. Link, pp.226-7.

victory' speech was recognized by Croly and Lippmann as a plea for a new kind of war, a moral engagement that would preserve the international community as Roosevelt had preserved trusts, a war where there would be no victors; it would be the extension of the New Liberalism from the domestic scene to the realm of international affairs and power politics. It was, above all, the last chance for the liberals to recapture both the moral fervor of Roosevelt administration and the belief in the continuing ascent of humanity.[5] "Lippmann, Croly and Weyl had fallen in behind Wilson, subordinating their own preferences for power politics to Wilson's strategy of appealing to world public opinion, subordinating their own image of the desirable world order to Wilson's vision of democratic internationalism and a league of nations."[6] John Dewey fought for the entry of the United States into the war by urging all former pacifists to rally behind Wilson's banner and embark upon a holy crusade to cleanse the world of evil.[7] In an insightful variation upon the Wilson-progressive theme, Thomas J. Knock presents Woodrow Wilson as a leader profoundly influenced by left-liberal thinkers, among them Jane Addams, Lillian Wald, Max Eastman of *The Masses,* civil rights activist Oswald Garrison Villard and poet/journalist John Reed. All awaited the creation of an international justice community in the wake of war, and all had faith in Wilson to bring this dream to fruition. Unfortunately, it was the President, himself, who compromised this dream by abruptly cutting off civil liberties in America, failing to follow through on his own idealistic Fourteen Points, failing to reach d'etante with political adversaries and failing to push the centerpiece of national self-determination at Versailles.[8]

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[5] Forcey, pp.227-72.
[6] Warren I. Cohen, *The American Revisionists* (Chicago, 1967), p.4.
[7] Ibid., p. 7
[8] Thomas J. Knock, *To End All Wars: Woodrow Wilson and The Quest for a New World Order* (New York, 1992).

No matter how practical or sublime its motives, the nation entered the war on a wave of unbounded enthusiasm. Curiously, the young reformers who lifted American's entry to rarified heights were precisely the ones who led the movement of disillusionment when their collectivist dreams were blasted. The total war that was waged and the aftermath of illusory peace squashed social justice progressivism and led the United States into two decades of deep isolation.

II.

Between January and June, 1919, Americans waited hopefully as Wilson conceded much to achieve his dream. The nation needed proof that the United States entered the bloody war for morality and justice. On April 2, 1917, the President claimed that the nation would enter the war because "the right was more precious than the peace."[9] The peace had come but the right had not followed. Germany and Russia were not invited to the talks. Britain, France and Italy demanded victors' spoils and the complete destruction of German power. Article 231 of the Treaty, the famed "war guilt" clause, demanded that Germany accept responsibility for causing all the loss and damage suffered by the Allies as a consequence of German aggression. The shame of Germany, then, would be written for all time, forced upon a nation already broken by the "just powers." The reparations asked by the Allies were unrealistic; Germany, in her present state could never hope to pay the ludicrously large sum. What was left? Why had Wilson compromised the "right"? He did it to preserve an illusion which to him was higher than the right. He conceded the predatory peace to the Allies for the League of Nations. The hope that the United States would join the League temporarily staved off disillusion. Even after this final hope

[9] Quoted from *The Public Papers of Woodrow Wilson, War and Peace*, I, 6-16, by Link, p. 282.

flickered and died, there were few men who would attack the League. However, the world wondered why the United States refused to become part of this righteous brotherhood of nations. It was cruelly ironic that the great moral vindicator, Woodrow Wilson, failed to convince his own countrymen to join. Until 1925, President Wilson received a good press from historians and journalists. Writing before melancholia set in, Charles Seymour assured the weary populace that Woodrow Wilson entered the right war for the right reason: "to insure peace."[10] Wilson had severed diplomatic relations with Germany because she "had resumed unrestricted submarine warfare. After the torpedoing of the *Vigilancia* (an American merchant vessel) America was prepared," and in Seymour's words "calmly eager for the President's demand that Congress recognize the existence of a state of war."[11] Wilson would have nothing to do with a victors' peace; he made it perfectly plain to the Allies at the outset that he would not help them defeat Germany for selfish individual purposes.[12] "Wilson thus imagined the war as a crusade... for American ideals," and entered the European conflict because the American people "hated Germany for the sinking of the *Lusitania* and all other submarine outrages, for her crime in Belgium, for her plots and explosions in this country, for the Zimmermann note and finally, for her direct and insulting defiance of American rights. He recognized that the Allies were fighting for civilization...."[13]

The second and less lucid member of the "Submarine" or "Official School"[14] was journalist George Creel. His book, written in 1919, was a plea for idealism. The Treaty of Versailles did not seem likely to pass the Senate. This, of course, meant that the League would

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[10] Charles Seymour, *Woodrow Wilson and the World War* (New Haven, 1921), p. 113.
[11] Ibid., p. 104
[12] Ibid.
[13] Ibid., pp.113-114.
[14] Designated as the Official School because it unequivocally accepted the government's view that America had been provoked by Germany's use of unrestricted submarine warfare.

be rejected also. Creel headed a propaganda agency[15] during the war years and was an ardent Wilsonian whose defense of the "submarine thesis" was strained[16]: it was intensely spiritual but not spiritually uplifting.[17]

III.

Durable, challenging but not quite defining, the Revisionist School on the diplomatic career of Woodrow Wilson emerged in troubled times and, to a greater or lesser degree, still thrives. In portraying the 1917-1920 American epoch as Wilson's "folly," a natural query for this sort of critic would be: did the President jump or was he pushed by an assortment of unwholesome factors? A reply is not final; it is a continuing debate.

Two factors must be considered before an attempt can be made to explain the writings of the early revisionists. First, the materialistic, business-minded atmosphere of the 1920's was alien to reform-minded intellectuals. The war provided a challenge to the Wilsonian ideal of laissez-faire. Realizing that these were extraordinary times, the President abandoned his Jeffersonian leanings and established the centralized War Industries Board. After the war, Wilson ended government control and paved the way for a decade of renewed industrial consolidation. It seemed as if the national interest had been sacrificed to big business by Wilson.

Also, The Treaty of Versailles was rejected in the Senate. Wilson, in the opinion of his accusers, had not only failed at home but had also been disgraced in France. The Allies had

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[15] This agency was the Committee on Public Information, designed to "mobilize public opinion" behind Wilson and the war effort. John Morton Blum, *Woodrow Wilson and the Politics of Morality*, (Boston, 1956), p. 141.
[16] George Creel, *The War, The World and Wilson* (New York, 1920), pp.52-53.
[17] Ibid., pp

betrayed him at the conference table and the Senate did the same in Washington. America had been tricked on all levels; hatred was focused on the British, because it was felt that they were responsible for our entry into the war. The "image of the 'all-evil Hun' which had been provided by the Creel committee" was no longer acceptable. Was not the United States as guilty as the Allies? In truth, had this been the wrong war, embarked upon for the wrong reasons?

Harry E. Barnes spoke for all the revisionists of his era when he said that the war was an "unmitigated disaster."[18] When he shattered the Wilson myth, Barnes left nothing to the imagination. He contended that the President was a hypocrite because, as a neutral, a double standard characterized his policies toward the belligerents. The reason the United States did not take harsh measures against the English commercial blockade was that Wilson, Robert Lansing (Secretary of State), and Walter Hines Page (America's ambassador to England) were rabidly pro-British. He found that the American banking houses preferred an Allied victory because they had been floating loans to the London and Paris governments and therefore, had an economic state in the Allied cause. Although bankers held the President's ear, it was in reality British newspapers and American propaganda that convinced the president that the Germans were no longer human, but "wild beasts."[19]

In 1917, Charles Beard had been an ardent interventionist. In less than ten years he had retreated to isolationism; on the eve of World War II, he supported the America First movement. He believed that by 1915 Wilson realized that he had come to the end of his domestic reform program and to increase his popularity, he decided to enter the war; so the President knew the war was a commercial one and entered it with no illusions.[20] In 1915, under the influence of the

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[18] Harry E. Barnes, *In Quest of Truth and Justice* (Chicago, 1928), p. 105.
[19] Ibid., pp.99, 101-102.
[20] Charles and Mary Beard, *Rise of American Civilization* (N.Y., 1927), pp.622-630.

'Big Navy Boys,' Wilson used the preparedness campaign to build a large navy[21] and by 1917 was fully prepared to enter the war of "commercial powers to win the spoils of empire."[22]

The second phase of revisionism lasted approximately nine years. Revisionist thought once again reflected the times: "All the men except Charles C. Tansill were reform-minded intellectuals who used revisionism as a weapon against what they called the reactionary, illiberal character of the dominant political and social values of the 1920's. In the 1930's all except Tansill were vitally concerned with consummating the promise of the New Deal."[23] The revisionist preoccupation with the economic bases for America's entry into the First World War may be explained by the stock market crash, the report of the Nye Committee and the New Deal. The argument was stated most clearly by Charles Beard, who suggested that the only way to create a better world was to let the New Deal grow unhindered.

Unfortunately, this preoccupation with past conspiratorial economic policies had grave effects in the international sphere. Before the United States awakened in 1940 to the threat of totalitarianism, the country itself, nurtured its growth. The Hoover-Stimson Doctrine failed to solve the Far Eastern crisis. Evidently the Japanese were little effected by the moral sanctions President Herbert Hoover "imposed" upon them. In 1935, America relinquished its traditional right of freedom of the seas when the First Neutrality Act was passed. The United States looked on passively as Japan and Germany left the League of Nations: Italy crushed idealism by waging war against defenseless Ethiopia. Only after Munich did the United States realize that the democratic European powers were capitulating to unheard of demands and that eventually neutrality might be an insufficient response. Even then, however, the Lindberghs, Longs,

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[21] C. Beard, "Big Navy Boys," *New Republic*, LXIX (Jan.20, 1932), 261.
[22] Charles and Mary Beard, *Rise of American Civilization* (N.Y., 1927), pp.627-629
[23] Cohen, p. IX.

Coughlins and revisionists gained an advantage by proclaiming that the United States must stay out of the European sphere; instead, isolationists opined that Washington should build a fortress around the Western Hemisphere strong enough to resist any European threat.

Walter Millis' book, *The Road to War*, was called the isolationist's handbook.[24] In it he endorsed the policy of appeasement as wiser than Woodrow Wilson's economic adventurism. He cautioned the American public and contemporary policy makers to take heed lest the flaw of dependence upon Great Britain prove terminal.[25]

Although there were massive monographs dealing with the corrosive effect of British propaganda in neutral America and Pro-British diplomacy of conspiratorial White House Anglophiles between 1914 and 1917,[26] the economic argument proved to be the most compelling. Charles Tansill was not in the true sense a revisionist. He was unique because he had been too young at the conclusion of the First World War to experience guilt or disillusion with its outcome. He was deeply interested, however, in American economic isolation in 1938 as a factor which maintained the country's independence from Europe. He refused to draw a connection between British safety and American national security adding that any intervention in affairs across the Atlantic at the present would result the same way it had in 1917, in "a shattering of the balance of power and the sowing of seeds of future conflict."[27] Tansill believed that the United Stated had been unneutral almost from the very outbreak of hostilities in 1914. Although he said that no single set of circumstances explained Wilson's decision to enter the

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[24] Ibid, p.149

[25] Walter Millis, *Road to War* (Boston, 1935), pp.11, 32, 173, 221, 342, 431; Walter Millis, "Last War and the Next," Walter Millis, "Morgan, Money and War," *Nation*, CXLII (January, 1936), 95-98. Walter Millis, "Will We Stay Out of the Next War? How We Entered the Last One," *New Republic*, LXXXIII (July 31, 1935), 323-327.

[26] Horace Peterson, *Propaganda and the War* (Norman, 1939), pp.1-11, 33-71, 134-159; Edwin M. Borchard and W.P. Lage, *Neutrality for the United States* (New Haven, 1937), p. 33.

[27] Charles C. Tansill, *Back Door to War* (Chicago, 1952), p.9

war, he made an excellent case for the economic view.[28] Tansill exonerated Germany for killing Americans who sailed on armed vessels; in that case, unrestricted submarine warfare was perfectly legal. If America had refused to allow armed British ships into United States harbors, a new understanding would have developed between Germany and the United States which would have alleviated the tension between the two nations. Tansill concluded that it was the fault of the villainous Anglophile Edward M. House that Washington followed a policy dictated by Allied rather than American interests.[29] Tansill implied, of course, that the President must not make the same mistake again; by maintaining strict economic neutrality in 1938, the United States could avoid going to war. In a review of Tansill's *America Goes to War*, Henry Steele Commager agreed wholeheartedly with the author that the war in 1917 was not inevitable and that House was the malefactor who engineered America's entry.[30]

As a historiographic form, revision did not end at Pearl Harbor. As a matter of fact it prospered during and immediately after the Viet Nam War. N. Gordon Levin's *Woodrow Wilson and World Politics* (1968) presented the idea that America's entry into World War I was predicated on preserving and expanding world markets rather than making the world "safe for democracy." Drawing on the earlier theories of William Appleman Williams, Levin theorized that it was Wilson's objective to construct an international capitalist community safe from war and revolution under United States moral and commercial leadership.[31]

Neurologist and psychiatrist Edwin Weinstein relied mostly on Woodrow Wilson's published papers, memoirs and a host of secondary sources which underestimate any but medical

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[28] Charles C. Tansill, *America Goes to War*, 2nd ed. (Gloucester, 1963), pp. 118.134.
[29] Ibid., p. 429
[30] Henry Steele Commager, "Our Entrance into the World War," *Yale Review*, XXVIII (Summer, 1938), 855-857.
[31] N. Gordon Levin Jr., *Woodrow Wilson and Word Politics* (New York, 1968).

influences in an assessment of the President's "impaired" decision making abilities during and after World War I. In the same year as Weinstein published his *Woodrow Wilson: A Medical and Psychological Biography*, 1981, John Coogan offered layman and specialists *The End of Neutrality: The United States, Britain and Maritime Rights, 1899-1915.* Original as well as subtle, Coogan contends that Woodrow Wilson was unneutral in thought and action, moving from strict neutrality to benevolent neutrality and finally to outright alliance with England. The President deceived himself and the American people by claiming neutrality when, in fact he held a vision of moral universalism which he hoped would replace the existing nation state balance of power and become a new foundation for world politics.[32]

IV.

Following the fall of France in 1940, the United States committed itself to the British cause and emerged from isolation. *The New Republic*, traditionally slow in adopting militant attitudes, was won over in 1941. Walter Lippmann was not as disillusioned after World War I as his compatriots because "he was able to fall back on his early reasons for intervention–the stake of the United States in the defense of the existing Atlantic community, and his conviction that the defeat of Germany was essential to American Security."[33]

However, Germany was only half the story, at least according to Neo-official, Cold War or "Realist" historians who cared less for Wilson's economic motives in World War I than for his ill-considered diplomacy which bore tragic fruit twenty-five years hence. In 1953, Robert Osgood characterized Woodrow Wilson as a dreamer, whose 'self-denying idealism' neglected

[32] Edwin A.Weinstein, *Woodrow Wilson: A Medical and Psychological Biography* (Princeton, 1981); John W. Coogan, *The End of Neutrality: The United States, Britain and Maritime Rights 1899-1915* (Ithaca, NY, 1981).
[33] Walter Lippmann, *United States Foreign Policy* (Boston, 1943), p.37.

balance of power issues and national self-interest for fuzzy sentimentality. George Kennan, an architect of American foreign policy after World War II, found the roots of the Cold War at Versailles, where crusader Wilson rendered the European balance of power obsolete by burying both Germany and his own martyrish idealism. Obviously, Kennan castigated Wilson for making the soil of Europe fertile for Communist growth. Within the last fifteen years or so, Lloyd Ambrosius postulated that Wilson pursued unrealistic goals in Paris because he underestimated his domestic opposition, disdained his foreign opposition and in sum, was blinded by the transcendence of American values.[34]

V.

The Neo-Official School, last of historiographic 'Significant Four' on World War I, has greater staying power than the others primarily because it attempts to reconcile a wider variety of issues while admitting to Presidential flaw, without necessarily becoming pejorative. Inaugurated by Walter Lippmann and continued by Thomas A. Bailey,[35] it was mindful of economics and ideals but focused on unrestricted submarine warfare, national security, balance of power and the limits of individual leadership.

Edward Buehrig does not deny that Wilson was concerned with economic factors. On the contrary, the President was very interested in prosperity, but he did not go to war to maintain prosperity. Some revisionists claimed that the munitions trade was the controlling factor in America's entry into World War I. This was false; the Germans would have used submarine warfare no matter how large or small America's trade with England happened to be. Buehrig

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[34] Robert E. Osgood, *Ideals and Self-Interest in American Foreign Relations* (Chicago, 1953), p. 111, 127-128, 152, 175-176, 180, 222, 252, 262; George F. Kennan, *American Diplomacy 1900-1950* (Chicago, 1951), pp. 50-51, 57-65; Lloyd Ambrosius, *Woodrow Wilson and the American Diplomatic Tradition: The Treaty Fight in Perspective* (New York, 1987), pp.124-125 and *Wilsonian Statecraft: Theory and Practice* (Wilmington, Delaware, 1991).

[35] Thomas A. Bailey, *Woodrow Wilson and the Lost Peace*, 2nd ed. (Chicago, 1963), pp.10-11.

states that Wilson was mainly concerned with national security and the balance of power. The President was convinced that America's rights were tied to national security; in this case, freedom of the seas. The United States did not attack England as violently as Germany because Britain had always honored America's security by respecting her naval rights. Wilson realized that if England were defeated, Germany would replace her as the leading European power and America's status would be threatened. Buehrig touched upon a point which was later to be elaborated upon by Ernest May: that German-American relations were complex and confusing, but Buehrig concluded that the United States did not go to war over diplomatic misunderstandings but to protect the national interest and maintain security.[36]

Arthur S. Link, editor of the *Woodrow Wilson Papers*, subordinated the balance of power concept to that of national security. In developing his thesis, Link rejected the idea that Wilson's alleged unneutrality ever favored the British. Link points out that throughout 1916, America's relations with Germany were better than those with England. In the winter of 1916, Germany and the United States almost reached an accord. Anglo-American relations had been developing too with the House-Grey Agreement but ended inconclusively. The point Link made was that, until 1917, Wilson was willing to negotiate with either Germany or England to restore peace. His impartiality was demonstrated at the Sunrise Breakfast Conference in late February, 1916. The President was opposed to the Gore-McLemore Resolution because America would be forced into war if it was violated. "His were the policies of peace, not war."[37]

Wilson changed after Germany decided to risk war with the United States for the sake of 'total victory.' The resumption of unrestricted submarine warfare by Germany caused the United

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[36] Edward H. Buehrig, *Woodrow Wilson and the Balance of Power* (Bloomington, 1955), pp. IX, 104-105, 169, 274.
[37]Arthur S. Link, *p. 212.*

States to abandon its policy of armed neutrality and enter the war.[38] The President at no time wanted war, Link explained, either for idealistic or economic reasons.[39] Even in the early weeks of 1917, Wilson was convinced that "there was no alternative left but to seek peace through diplomatic cooperation with the German government."[40] Wilson believed that the only way to preserve the balance of power would be by a negotiated agreement between the belligerents.

That Wilson went to war over slogans and humanitarianism is unproved, said Link.[41] He contended that the situation was quite the reverse. Even after Germany resumed her policy of unrestricted U-boat warfare

> Wilson was indignant, disappointed but not belligerent... The three weeks following the break in diplomatic relations (with Germany) were a time of waiting, wasted in the false hope that no overt act by the German government would compel abandonment of neutrality... The week of March 12 to 20 was the time of Wilson's Gethsemane (three United States vessels were torpedoed by Germany during that week) when events on the seas compelled (underlining mine) him to a reluctant decision for war.[42]

Daniel M. Smith, Ernest May and John M. Cooper have also dealt with the problem of America's entry into World War I. Smith's book, *The Great Departure*, written in 1965, constructs Woodrow Wilson's foreign policy from, heretofore curiously incompatible elements: moralism and pragmatism. He states plainly that the United States entered the war "in an involved controversy over neutral rights, because of national self-interest."[43] Later, Smith

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[38] Ibid., pp.280-281.
[39] Ibid., pp.277-279.
[40] Ibid., pp. 255-256.
[41] Ibid., p. 277.
[42] Ibid., pp. 267, 269, 274-275.
[43] Daniel M. Smith, *The Great Departure: The United States and World War I 1914-1920* (New York, 1965), p. X.

expanded on this general analysis, as he explained why the President felt constrained to yield his policy of armed neutrality for belligerence:

> ...the prestige and honor of the nation was so committed as the result of previous policies that nothing less than a diplomatic break and a forceful defense of self-interest were possible. By 1917, Wilson feared that a German victory was probable and that it would disturb the world balance....[and]... accepted the necessity for actively entering the war, it would appear, with the submarine as the precipitant, only because he believe that larger reasons of national prestige, economic interests and future security [i.e. balance of power] so demanded and, above all, because of his commitment to the cause of an enduring world peace.[44]

Ernest May emphasized the interplay and overlapping of the foreign policies of England, Germany and the United States between 1914 and 1917. While America and England were reaching an economic accord in 1915, the German government was being torn apart by factionalism. The anti and pro-war groups in the Reichstag were at each other's throat. The latter group favored unrestricted submarine warfare even if it cost Germany the neutrality of the United States. The former group, composed of Progressives, Centrists and Socialists were opposed to unrestricted U-boat warfare. After the sinking of the *Lusitania*, May pointed out that Wilson had no choice but to adopt a hard line with Germany. Wilson held his ground on the issue and Chancellor Bethmann Hollweg retreated. However, the Reichstag, supported by the navy and public opinion, demanded the resumption of the use of U-boats to whatever level the

[44] Ibid., p. 82.

United States would permit and still remain neutral. Bethmann was the temporary victor but the militant representatives in the Reichstag would not abandon their campaign.[45]

Although the United States acted swiftly in denouncing Germany, it was slow in acting against the English blockade. May wanted it clearly understood, however, that economic prosperity in the United States was only one of many factors contributing to the friendly policy which America pursued toward Britain. The President's amicable approach to British was designed to forestall a move by a coalition of Republicans and Progressives to capture the presidency. Also, whatever moral influence he had upon the Allies would be lost if he supported Germany.[46]

In January, 1917, Bethmann lost his battle with the generals and unrestricted submarine warfare was resumed:

> The policy contrived at that time [after the sinking of the *Lusitania*] had broken down. The President had to review once again the alternative of surrendering before the German challenge. In the end, he emerged satisfied that the right and rational course was war.... The one hope of preserving a world in which America's peculiar values could thrive lay in a settlement that averted future wars, and such a peace could be achieved only if the United States exerted the influence to which her power and virtue entitled her... in other words...a policy which sacrificed American prestige and moral reputation would mortgage the welfare and happiness of generations to come.[47]

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[45] Ernest R. May, *The World War and American Isolation 1914-1917* (Cambridge, 1959), pp.34-35, 90-109, 228-252.
[46] Ibid., pp. 339-350.
[47] Ibid., pp. 424-426.

The culmination of three years of diplomatic intrigue between the three nations, concluded May, was the entry of the United States into the World War. It is evident that Wilson defended his final decision on moral grounds as well as grounds of security.[48]

John M. Cooper wrote of Wilson as a great "realist" who sought to weave individual and national interests into a community of peace.... "With regard to the President's pragmatism, Cooper respected Wilson as a "practical politician," even if he erred. At Versailles and, a year before, when he set the peace agenda in his 'celebrated and powerful" Fourteen Points, Wilson championed a "new, liberal approach to international order and peace" based on the League of Nations. His was the right war for the right reason: the creation of a sober, realistic "order."[49]

VI.

In an idealistic age, Woodrow Wilson was a flawed, ambitious visionary who had yet to experience the nastier implication of national self-interest. His failings were those of his contemporaries who, rightly or wrongly, shared his confidence in American institutions. But, then again, he was not that much of a visionary. In the half-century after 1945, and only two decades after his death, Wilsonism became the blueprint for reintegrating Germany within a collective European structure and confronting global situations successfully within the United Nations.[50]

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[48] Ibid., p. 427.
[49] John M. Cooper, Jr., *Pivotal Decades: The United States 1900-1920* (New York, 1990), pp. 266,315-316, 335-336, 350, 354.
[50] Kendrick A. Clements, *The Presidency of Woodrow Wilson* (Lawrence, Kansas, 1992); Tony Smith, *America's Mission: The United States and the Struggle for Democracy in the Twentieth Century* (Princeton, 1994), pp.87, 102-109.

KRAKATAU: BRIDGING SUNDANESE GAMELAN AND FUSION JAZZ

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Krakatau: Bridging Sundanese Gamelan and Fusion Jazz

I am interested in studying an artist who combines traditional Indonesian music with Western music. Therefore, I choose to do my final project on the Indonesian band Krakatau because they are known for bridging Sundanese traditional music with fusion jazz. Popular Indonesian music is more influenced by Western music. According to Lely Kristinawati, an international student from Indonesia attending Indiana University,

> Indonesian pop music is so diverse. There are artists that play soft rock, there are artists that are famous for dance music and play Latin rhythms, and there are a lot of Indonesian rappers, and so on. Indonesian pop music is influenced by Western music and is heard on the streets and the media just like in America. However, unlike America, the opportunities to see traditional dance performance, wayang[1], and traditional musical performances is equally visible in Indonesia with Indonesian pop music heard on the streets and media. There is an equal feel of promoting the Indonesian culture and putting in the music market what is popular, influences of Western music (Knight 2).

However, some artists feel the need to promote Indonesian culture through the combination of Western music with Indonesian music. Kristinawati states,

> I feel that Indonesian artists have a desire to promote Indonesian culture by incorporating traditional Indonesian music with their own. This is because they want people from around the world to know about Indonesian culture. Moreover, by doing this, it makes their song unique and different to other artists outside Indonesia. I think those are the reasons for why Indonesian artists have a desire to promote Indonesian culture (Knight 3).

Music that uses Western instruments and harmony are influential to popular Indonesian music and are inspired by many recognized Indonesian musicians, such as Krakatau. Krakatau is known for creatively integrating the indigenous Indonesian music of Sundanese saron, bonang, rebab, and kendang with Western music, particularly jazz.

In the late 1980s, a jazz guitarist, Dwiki Dharmawan, set out to achieve a goal of forming a band whose music was based on original fusion jazz tunes with complex harmonies and rhythms (Sutton 323). As a result, Krakatau was formed, consisting of: Dwiki Dharmawan,

keyboard; Pra Budhiharma, fretless bass; Agus Aziz, Western drum set ("traps"); Adhe Rudhiana, kendang and percussion; Yoyon Dharsono, multi traditional instrument; Tudik, Efik, and Zainal, bonang, saron, and percussion instruments; and Trie Utami, vocalist. According to Sutton, early recordings done by them "included jazz songs, some are in English, sung by a female Javanese-Sundanese singer, Trie Utami, who offers polished and sophisticated imitations of African-American jazz vocal styles" (321). However, during the early 90s, Krakatau began to grow interest in mixing Sundanese music into their own. There is evidence that this kind of experimentation, of incorporating the music of two cultures, has been taking place in Indonesia for centuries. In the 1990s, Indonesia experienced an increase in experimental combinations of pop/rock instruments and traditional Indonesian music (Sutton 321-322). Sutton states that "The musician often acknowledged as the inspiration of this trend is Guruh Sukarno Putra… But where Guruh drew on various regional Indonesian styles, the members of Krakatau have attempted to focus on their own region, Sunda" (322).

As a result, Krakatau wants to present Indonesian culture by creating a "third identity." The "third space" that Vargas talks about in her article represents the borderlands, counties of the United States and of Mexico that are close to the U.S.-Mexican borderline (226). Music artists who bridge modern Western music with the traditional music of their culture also accomplish Vargas' notion of "third space." Krakatau specifically incorporates traditional Sundanese gamelan with fusion jazz. *Shufflendang-shufflending* (Sutton CD 3 Song 10; see transcription below) is an example of mixing fusion jazz with Sundanese sarons, rebab, and drumming. Therefore, we will take a closer look at these three kinds of Sundanese instruments as well as Western fusion jazz.

Timed listening, "*Shufflendang-shufflending*" (Sutton 323)

0:00	Piece begins with a repeated figure (ostinato) on Western instruments in fusion jazz style.
0:15	Hints of a pélog scale
0:42	Abruptly, sarons play in sléndro
0:51	Sarons play in pélog
1:00	Sarons return to sléndro
1:10	A switch to rebab in pélog
1:37	Back to jazz and the rotation continues, although not in exact repetition
3:52	Sundanese drumming shortly before fadeout

The saron family makes up the main theme of the gamelan, "a term for various types of orchestra played in Indonesia" (Javanese Gamelan Website). The instruments of this family include the saron demung, saron barung, and saron panerus. When it comes to sarons, the higher the pitch is, the smaller the bar is. The bars of the sarons have an arch shape; each bar has a flat bottom and an arch top. The rise of the pitch also raises the arch of the bar. "Because of the thickness of the metal bars, the mallets used to struck on all the saron instruments has to be very hard" (Javanese Gamelan Website).

Saron demung (Photo credit: Javanese Gamelan Website)

The saron demung, demung for short, is the largest of the saron family with six or seven metal bars 35.5 cm long and 9 cm wide, resting over a resonator, producing the lowest sounds when hit by a wooden mallet (Javanese Gamelan Website; Sutton 285). There are one or two saron demung for each scale system of the gamelan: "sléndro, a five-tone system made up of

nearly equidistant intervals, normally noted with the numerals 1, 2, 3, 5 and 6 (no 4); and pélog, a seven-tone system made up of large and small intervals, normally notated 1, 2, 3, 4, 5, 6, and 7" (Sutton 283).

Saron barung (Photo credit: Javanese Gamelan Website)

The saron with the medium size metal bars is known as the saron barung, or simply barung. "Its pitches are one octave lower than the saron panerus, and one octave higher than the saron demung" (Javanese Gamelan Website; Sutton 285). The mallet is of the same construction as the one used for saron demung – consisting of a wooden handle and a wooden barrel-shaped head- but smaller (Javanese Gamelan Website). There are two to four for each scale system.

Saron panerus (Photo credit: Javanese Gamelan Website)

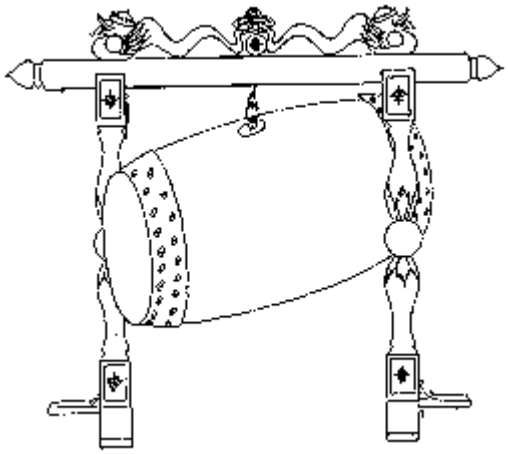
The saron panerus, often called by its nickname peking, is the smallest of the saron family, consisting of the smallest and thickest metal bars of the sarons at 18 cm long by 4 cm wide, sounding an octave higher than the saron barung. "Because of the size of these smaller bars, the mallets of the saron panerus are smaller than those of the saron barung and saron demung. However, the thicknesses of the panerus metal bars require a harder mallet to strike on.

A buffalo[2] horn is usually used for the head of the mallet. The buffalo head helps to produce a bright and piercing sound" (Javanese Gamelan Website).

Rebab (Photo credit: Javanese Gamelan Website)

The rebab is a two copper stringed fiddle. According to the Javanese Gamelan Website, "What appears to be two strings is actually a single long copper string wound around the bottom of the stick and ending in two pegs at the upper part of the stick." There is one or two per gamelan. It is often referred to as the foreign instrument of Indonesian gamelan because it is found in many countries where Islam is the dominant religion. Rebab almost has a heart-shaped body made of wood, covered with a layer of buffalo[2] intestines or bladder used for the skin. The two tuning pegs of the Rebab are exaggeratedly long and, if they are not gripped closer to the neck of the instrument, will break easily (Javanese Gamelan Website).

> During playing, the player's palm, which holds the bow, is facing upwards. The player's third and fourth fingers should pull the hair of the bow, to create some tension. The Rebab is held vertically or slightly tilting forwards. There is no finger board on the neck of this instrument. The player's fingers press the strings lightly, and the string should not touch the neck. However, this instrument can produce a fairly loud sound (Javanese Gamelan Website).



(From left to right): Kendhang drums and the bedhug (Photo credit: Javanese Gamelan Website)

There four kinds of drums in Javanese gamelan: kendhang gendhing, kendhang ciblon, kendhang ketipung, and bedhug. Kendhang gendhing is the largest of the hand drums consisting of two leather heads that are laced onto a barrel-shaped shell. There is usually one per gamelan. Kendhang ciblon, or ciblon for short, is the middle-sized hand drum of the same construction as the kendhang gendhing. Kendhang ketipung, or ketipung, is the smallest kendhang hand drum, usually held in the lap of the drum player. The bedhug is a large stick-beaten drum suspended from above in a frame. It has two leather heads of equal size, unlike the kendhang drums, that are tacked onto a cylindrical shell. There is one per gamelan and is usually restricted to louder pieces, such as pieces associated with dance or ceremony (Sutton 286; Javanese Gamelan Website).

The meaning of the word "fusion" has been "so liberally used during the past quarter-century as to become almost meaningless," with an original definition being "a mixture of jazz improvisation with the power and rhythms of rock" (Fusion Jazz Website). Eventually, "rock became more creative and its musicianship improved" (Fusion Jazz Website) and some jazz musicians wanted to create their own jazz style.

> Major groups, such as Return To Forever, Weather Report, the Mahavishnu Orchestra and Miles Davis' various bands were playing high-quality fusion that mixed together some of the best qualities of both jazz and rock… much of what was labeled fusion was actually a combination of jazz with easy-listening pop music and lightweight R&B. This style of commercially-oriented, melodic, crossover jazz became the dominant style of fusion in the '80s, and by the beginning of the '90s, it had earned a new name - smooth jazz - which further separated from the risk-taking fusion that was its forefather (Fusion Jazz Website).

Scholar Deborah Vargas states that "crossing over" is done in hopes of "moving towards something better," of living the "American Dream," of equality, and of working hard to achieve success (225). She gives her readers an in-depth explanation of why "crossing over" is done in the music industry. She states that "crossing over" is creating a "third space" identity, "a geographical as well as a discursive space symbolized by the social constructed 'in between' territory north of the Rio Bravo" (Vargas 226). To me, "crossing over" is when you have accomplished a goal you have been trying to succeed. The artist does not necessarily have to be of mixed identity, like Selena, Ritchie Valens, Los Lobos, and Carlos Santana in order to "cross over" in the music industry. Music artists who bridge modern Western music with the traditional music of their culture also accomplish Vargas' notion of "third space." Popular Indonesian music is more influenced by Western music but there are still some artists, such as Krakatau, who feel the need to promote Indonesian culture through the combination of Western music and Indonesian music. This incorporation of Western music with traditional Indonesian music is similar to how U.S. Latino artists mix both Spanish and English in their song lyrics. Both Latino and Indonesian artists are known for creatively presenting a "third space" identity in their music and performance.

This research is important because promoting Indonesian culture has been more evident in America throughout the years. There are various organizations and university programs that are aimed at teaching others about Indonesian culture. Such as, the Center for Southeast Asian

Studies at Northern Illinois University[3], Society for Indonesian-Americans[4], Indonesian Student Associations at colleges nationwide[5], the UCLA Indonesian Culture Club[6], Bahasa Indonesia courses offered at certain universities[7], and much more. A part of Indonesian culture, that does not have a lot of resources written about, is Indonesian music artists. I want to continue the promotion of Indonesian culture, but through researching pop culture because I feel that there are already numerous organizations and university programs focusing on traditional Indonesian culture.

NOTES

1. Telling of Indonesian folk stories through a shadow puppet play performance
2. Water buffalo
3. http://www.seasite.niu.edu/Indonesian
4. http://www.sianews.org
5. For example at Indiana University http://www.indiana.edu/~indo
6. http://www.studentgroups.ucla.edu/ibsa
7. For example at Cornell University http://www.arts.cornell.edu

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Indonesian Music Shop. Indonesian Music Shop Webmaster. 11 August 2003 <http://www.indonesianmusic.com>.

This website is an online music store for all kinds of Indonesian music.

The Promises of Postmodernity for Southeast Asian Shakespeare: Reading *Chicken Rice War*

Topic Areas: Film, Comparative Literature

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The Promises of Postmodernity for Southeast Asian Shakespeare: Reading *Chicken Rice War*

This paper will question the promises of postmodernity and its realized conditions in Southeast Asian cinema, the existing ghosts of postcolonial dependency, and the complications of cultural capital in a global economy of capitalism. The promises of postmodernity for those on the margins include the possibility of being heard on equal terms: for the terms "aesthetic", "theatre" and "cinema" to no longer be bound only to the Western centre of production. This promise leads the artist from the margins to believe that in our postmodern age, s/he will no longer be seen as a "Commonwealth" artist, a "black" artist, an "Asian" artist, but simply an artist, on equal terms with the Western world. But how have these promises actually held up? This paper will examine this question through reading the film *Chicken Rice War*, a film by Malaysian director CheeK produced as Singapore's version of *Romeo and Juliet*. *Chicken Rice War* rewrites one of Shakespeare's tragedies as romantic comedy set in the background of a local hawker center, with the Capulets and the Montagues being replaced by the Chans and the Wongs, both chicken rice sellers. Derek Elley's *Variety* review of the movie comments that it "strains for local-colour laughs amid its Shakespeare references." How can Elley's review and the aspirations of the film be read in light of the promises of postmodernity and the ghost of colonialism? In this remake of *Romeo and Juliet*, is there the hint of a "colonial text" submerged within the film? Does the existence of a "colonial text" imply the debt of dependency upon a central source once again? And if so, where does this central source then reside – and where exactly does the colonial debt of the age of postmodernity lie?

Casting Stereotypes Based on Language

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Language, and the way in which people use it, contributes to a person's identity, and is therefore easily manipulated by authors, creators and casting directors in order to portray characters as stereotypes. Stereotypes based on language can be positive, or even neutral, but most of them are harmful as they focus on negative traits that are commonly associated with certain nationalities, ethnic groups, genders or any other distinguishing accents (for instance, those of Southerners). This technique of language stereotyping is used in both films and literature intended for the old as well as young, which can either reaffirm an adult's negative perception of certain groups or it may leave harmful impressions on children potentially teaching them to discriminate. The effects of this could be devastating to children and adults alike, especially if they project the stereotype onto themselves and others because they are too impressionable to distinguish between the portrayal of groups and the reality of them.

People tend to absorb the dialects, accents and other linguistic signs of those who surround them, so to an extent a person's native, or dominant, language can reveal certain features of his or her identity, like age, social, national, regional, racial or other group affiliations. The implications of such linguistic signs impact the way in which people perceive the world; this is how stereotypes based on language are started and used, then perpetuated, especially through films and literature (Singh 88). In her book, *English with an Accent*, Rosina Lippi-Green states that:

> "The analysis of language can provide insights into how that mediation [of our knowledge about the world by means of the media] can affect the representation of people, places and events."

This is what allows authors and casting directors to use:

> "[…] language variation and accent to draw character quickly building on established preconceived notions associated with specific regional loyalties, ethnic, racial, or economic alliances (Lippi-Green 50)."

In addition to dialects and accents, the qualities of one's voice can be manipulated in order to

portray specific personality traits. For instance, in film, a person's tone can be adjusted to make him or her seem more or less approachable. Typically, female characters with higher pitched, airier voices are associated with friendliness (like Snow White) and those who have deeper, raspier sounding voices (like Ursula from *The Little Mermaid)* are thought to be on the dangerous or frightening side. Although more often than not, these stereotypes are based on negative characteristics of the groups they represent, there are a few instances where traits are assigned in order to create a positive image for characters.

A few of the positive characteristics assigned to characters are beauty and wealth, also perceived as desirability. They are defined by certain linguistic and vocal traits, which can be seen in several Walt Disney movies where:

> "To be truly sexually attractive and available in a Disney film, a character must not only look the idealized part, but he or she must also sound white and middle-class American or British (Lippi-Green 81)."

In addition to that, all the wealthy, aristocratic characters, regardless of their nationality or logical languages, are assigned British accents. To many people, the use of a British accent is associated with an abundance of money since it makes people sound as though they are prestigious and refined. The way in which people with British accents tend to enunciate their "t"s (pronouncing "butter" as [b ta] rather than with flapped "t"s like Americans [b d]) makes them appear as though they are careful in the production of their words because they are aware of their high position in the social hierarchy (Lippi-Green 97, 100).

Beautiful women, like Snow White, Cinderella and Jasmine, speak with either British or American accents in addition to other vocal qualities marking their desirability. In Disney's 1938 film *Snow White,* the main female character is portrayed as a dainty and physically attractive, passive and sophisticated young woman. Her very prominent British accent makes her sound

aristocratic, while her young, quivering voice marks her as timid and vulnerable. The passivity of women can be a very attractive trait to men as it demonstrates a woman's need for a strong prince to come and sweep her off her feet, saving her from evil queens and stepmothers. Cinderella is also depicted in a similar manner to Snow White, as an attractive maiden waiting for her Prince Charming to rescue her from her life of servitude. She is a very soft spoken, gentle sounding young woman, who enunciates her words, pronouncing her "t" s as [t] s rather than [d] s. Her voice is breathy and proper, and when she speaks she does so with excitement, causing her to be interpreted as friendly, yet submissive. Though she is a poor woman, she comes from a wealthy family which accounts for her proper use of the English language with a slight British accent.

In the 1992 film *Aladdin*, the American accent used for the character of Jasmine shows the representation of beauty and wealth shifting away from being characterized exclusively by British accents. Even though Jasmine is clearly not an American woman, for she embodies the physical characteristics of an Arabian princess and is expected to follow customs in her Arabian culture, she carries a seductive Midwestern accent that makes her eligible to be an attractive character by Disney's standards. As women become more assertive in real life, so do the prototypical beauties of Disney's films. Jasmine turns away the suitors her father chooses for her and finds one for herself that is not to her father's liking, which is almost unheard of in Arabian traditions. The confidence she demonstrates shines through not only by means of her rebellious actions but also by her sarcastic and witty remarks, her slower speech and her use of lower intonations. These women show how language and speech are used to depict positive characteristics in film, but more commonly they are used to stereotype characters in a negative manner.

The villainous women are generally older, unattractive and tend to have raspy voices, for instance Ursula, Ariel's nemesis from *The Little Mermaid*. In addition to being grossly obese with white and gray streaked hair, she is tinted blue (as opposed to the fair skinned beauties who do not

tend to have multicolored hair) and is boisterous and obnoxious with a deep and gruff voice. All these characteristics come together to help structure an evil woman whose wrath is what drives the dainty, desirable women to become damsels in distress. Ursula would not be nearly as frightening as she is if she were to maintain her physical qualities, but instead have the vocal qualities of a woman like Snow White. The association between her ugliness as a person and the components of her voice cause the audience to see her in a different light, thus aiding the development of stereotypes based on language.

Disney movies also use traits of the French language in order to depict negative aspects of the character being portrayed. More often than not, people, and in some cases animals, with French accents are deemed "greedy and slimy" cowards who have exceptionally low standards for morals (Singh 90). Possibly in retaliation or to perpetuate this negative stereotype of the French, they are often portrayed as being connected in some way to food preparation or the service industry. Louis, the chef from *The Little Mermaid,* is shown in the kitchen preparing a meal and singing:

> "[…] to serve little fish, to serve little fish, first I cut off their heads then I pull out the bones, Ah mais oui Ca c'est toujours delish Les poissons Les poissons Hee hee hee Hah hah hah. With the cleaver I hack them in two, I pull out what's inside and I serve it up fried, God, I love little fishes, don't you (*The Little Mermaid*)?"

Here, he graphically describes how he dismembers the carcass of a powerless fish, seemingly with pleasure, at the top of his lungs. It is not just what he says, but also the accent in which he says it that gives the French a reputation for being so crude. People often misperceive the French accent to be one that is harsh on the ears, which, in combination with the tension that historically exists between Americans and the French, causes French characters to often be made out to be rude and pushy people.

Another negative characteristic that is perceived and portrayed using language is ignorance.

A very common way to depict ignorance in characters is to develop them using African American Vernacular English as their means of communication in films and literature. This is partially based on historical context linked with the days of slavery, and partially because of the fact that people fail to see AAVE as the grammatical language that it is. Neal A. Lester argues that African Americans are frequently stigmatized by speakers of the standard variety of English "because of their alleged inability to master standard English." The fact that they were slaves automatically stigmatizes them as inferior, so people will often correlate that with the "ungrammatical" English that Africans have adopted, then passed on after they were brought to America to be slaves, leaving them to be deemed as "unintelligent, unintelligible, and linguistically unsophisticated." Though this label was assigned to them long ago and has since been proven wrong, people still believe in it and continue to interpret the use of AAVE as ignorance. Take Zora Neale Hurston's *Their Eyes Were Watching God* for example, she chose to write her book recording "the language of black folk without apology and annotation [connecting] language with cultural identity, value, and self-empowerment (Lester 21, 31)." The audience is made aware of her decision because of the clear distinction between the narrative voice and the main character, Janie's, voice. Although this is what she intended to do, some people did not see her use of AAVE as she did; in fact, some took offense to her choice, seeing it as an attempt to sell more books by appealing to the white man's desire to see Blacks as the inferior, more ignorant race (Wright 76).

Some examples of the speech Huston uses in her book include: "De old folks say 'de higher de monkey climbs de mo' he show his behind," and "He wuz hollerin' for me tuh turm him loose, but baby, Ah turns him every way *but* loose (Lester 73)." Clearly, this is not the standard variety of English that white suburban folks typically identify with, but what some people do not realize is that it is a calculated language with its own set of grammatical rules. Characteristics of AAVE that are shown above are as follows: word initially, the dental fricatives [ ] and [ ] are

replaced by the voiced alveolar stop [d] ("de" instead of "the"), word finally, "r"s and "g"s do not get produced ("mo'" instead of "more" and "hollerin'" for "hollering"), and the present tense of third person singular verbs lack the -s/-es that exist in Standard English ("he show"). Other features that are not demonstrated above are the use of "be" to describe habitual occurrence (sometimes we *be* runnin'), producing voiced stops as devoiced in stressed syllables and leaving out forms of is ("she mad" pronounced as [m t]) (Fennell 233).

The rules, including, but not limited to those described above, contribute to the construction of the African American dialect of AAVE. However, since not everyone is able to learn every aspect of every existing language it is easy for misconceptions to arise about the people who speak languages perceived to be "ungrammatical" by others. Those who speak stigmatized dialects are well aware of this, and must often fight the negative stereotypes whenever possible, which is why many reviewers did not see Hurston's use of AAVE as celebrating Black heritage, but rather as exploiting the connotations which accompany its use. V.P. Franklin illustrates both sides of the argument in his article "Richard Wright and Zora Neale Hurston: Conflicting Blueprints for Black Writing," stating:

> "*Their Eyes Were Watching God* is saturated with black folk traditions […] most astonishing was the language; Hurston's use of the Negro dialect was masterful and achieved a resonance and beauty that has been unsurpassed. That has been the assessment of later critics, but when the novel was published in 1937 most reviewers did not know what to make of it."

He explains that Richard Wright felt quite differently about her choice to use AAVE in her novel:

> "While he grudgingly admitted that 'Miss Hurston can write,' he also found her prose 'cloaked in that facile sensuality that has dogged Negro expression since the days of Phillis Wheatley. Her dialogue manages to catch the psychological movements of the Negro folk-minded in their simplicity, but that's as far as it goes (Franklin 208).'"

Wright worried about the image of African Americans that Hurston portrays through AAVE

because of the fact that the language of socially deemed subordinate groups is always understood to be substandard when compared to the dominant group's standard language (Wolfram 104).

This especially holds true for the character of Jim in Mark Twain's A*dventures of Huckleberry Finn*. In this novel, Jim is the epitome of what Southerners thought of slaves during the days of slavery, and therefore exactly what he is portrayed as. As a runaway he is depicted as a disobedient, disloyal and ungrateful man, and after he is duped by Huck, a much younger boy, the audience is assured that Jim is not an intelligent man. The fact that Jim speaks AAVE on top of everything else completes the stereotype of what many whites perceived African Americans to be, again giving the target audience of that time precisely what it wanted to see. He says things like: "Well, den, dis is de way it look to me, Huck. Ef it wuz *him* dat 'uz bein' sot free, nemmine 'bout a doctor f'r to save dis one (Twain 340)?" His use of speech is manipulated to enhance the audience's awareness of Jim's stupidity, and it only perpetuates the wrongful assumption that all African Americans are the embodiment of ignorance, incapable of communicating with others in what is considered to be standard English.

There is one colossal difference that exists between Hurston's decision to use the dialect of African American Vernacular English in her book *Their Eyes Were Watching God* and Twain's reason for using it in his *Adventures of Huckleberry Finn*, that being the intentions of the authors. Hurston wanted to represent her characters as accurately as possible, intending to celebrate Janie's voice, embracing both its grammatical attributes as well as what she actually says. Janie is not portrayed by her creator as an unintelligent woman, but rather received by her audience as one because she is unable to use "correct" English grammar. Jim, on the other hand, is ridiculed throughout the book for his lack of brains, so to speak, which is how Twain seemingly intended Jim to be interpreted by the reader. In using AAVE Twain not only stigmatized Jim, but he also stigmatized Jim's language.

Since language is one of the most fundamental ways we have to create an identity for ourselves it is also plays a large role in sculpting the way in which others view who we are both ethnically and culturally (Thornborrow 136). The sheer size of the world makes getting to know people of each nationality and/or race entirely impossible, so one of the few ways humans have to become even remotely familiar with people unlike oneself is by means of television and literature. For this reason alone, "language is used as a quick way to build character and reaffirm stereotype" in many situations (Lippi-Green 81, 85). It is through the media that people are able to observe representations of people belonging to racial and/or national groups they may never have the opportunity to encounter in real life, and oftentimes people hold those stereotypes to be true for all members of such social groups (Cinnirella 39-40).

Stereotypes, such as those of the British, Americans, the young, the old, the French and the African Americans can cause people to project such expectations onto others belonging to those groups. Repeatedly marking a group's ethnicity can cause people to focus all their attention on such distinguishing features, and if those stereotypes are confirmed on multiple occasions to be negative, negative stereotypes of those ethnic groups will be carried on (Singh 89). Even when the stereotypes are not blatantly made out to be negative they can still end up being harmful because stereotypes are "confusing and misleading (Lippi-Green 101)."

Although our languages, dialects and accents reflect certain aspects of who we are, we cannot accurately be defined by the stereotypes that have become attached to characteristics of our speech. By means of film and literature people are continuously exposed to "types" of people they may never have the opportunity to encounter except through movies and books. An easy way for creators, authors and casting directors to project specific varieties of people is through language, dialects and accents. People with British or American accents tend to be attractive to the opposite sex, whereas the French are historically alleged by Americans to be a crude and boisterous culture,

causing people to associate their accents with this perceived stereotype. This is one of many potential reasons French characters in Disney movies are oftentimes portrayed as a loud, uncensored, subservient bunch. Then, possibly the most disheartening, is the way in which speakers of African American Vernacular English are received by others both in and out of the media. Speakers of the standard variety of English have a tendency to misconceive AAVE as an ungrammatical version of the Standard dialect, and therefore its speakers are often misunderstood and being thought of as unintelligent. This stereotype is horribly damaging because AAVE is a highly calculated language with its own grammatical rules, and this misunderstanding between cultures can cause tension, thus furthering racism and segregation. In fact, all of these stereotypes can be potentially damaging to people, especially the impressionable ones. The media must use care when portraying negative characters using stereotypes of groups, especially by means of the characteristics of language that people cannot control.

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Hawaii International Conference on Arts and Humanities
Paper Submission

Title: **Images of Bach and His Music in Twentieth-Century Poetry**

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Abstract

Like most of us, many poets who have encountered the music of Johann Sebastian Bach have been moved and intrigued enough to listen carefully and to investigate further. Unlike most of us, the poets have preserved their experiences of Bach's music, and furthered their investigations, by creating their own works of art. While the poet has no responsibility to maintain even a semblance of objectivity, or to provide documentation for his claims, the poetic commentaries on Bach and his music can prove enlightening in their very idiosyncrasy. In the images offered by twentieth-century poets, we encounter many faces of Bach, as well as some familiar facets of ourselves—as listeners, performers, and seekers of truth and beauty. The present survey considers the content and technique of these poems, as well as their relevance for the listener and scholar.

"Resistance, Community Development and Women's Daily Life in Havana, Cuba"

Topic Area: Other Areas of Arts and Humanities
(Sociology, Women's Studies, Geography, Philosophy)
Presentation Format: Research Paper

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Resistance, Community Development and Women's Daily Life in Havana, Cuba.

By Catherine Krull
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This project was undertaken in the barrio of San Isidro, Havana, to investigate the strategies developed by women during the Special Period to overcome the severe adversities created by the collapse of the Soviet Union and the ongoing U.S. embargo. Women have been and continue to be essential to the purposes of the Revolution in Cuba. During the Special Period, their ability to contribute to society, however, was reduced by the sheer challenge of trying to make it through every day, dealing with the ordinary concerns of women everywhere: cooking, cleaning, obtaining provisions, caring for children and the elderly, and working outside the home. Part of a larger project that focuses on the ways in which Cuban women can work cooperatively in neighbourhood development, the present paper draws from focus group interviews with 150 women and a use of time questionnaire that we administered in 2003 to 260 women living in San Isidro.

TITLE PAGE

1. Title of the submission: A Fine Line Between Life and Art in Two Spanish Plays: Lauro Olmo's Pablo Iglesias and Antonio Buero Vallejo's Misión al pueblo desierto

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Abstract for a paper presentation at the 3rd Annual Hawaii International Conference of Arts and Humanities

Title of Conference Presentation: A Fine Line Between Life and Art in Two Spanish Plays: Lauro Olmo's Pablo Iglesias and Antonio Buero Vallejo's Misión al pueblo desierto

The primary objective of my conference presentation is to demonstrate the extent to which two Spanish playwrights-- Lauro Olmo and Antonio Buero Vallejo--have integrated references within their dramatic texts to specific paintings (a Velázquez painting in Olmo's play and an El Greco painting in Buero Vallejo's play) and to the sketches of a well-known Spanish artist, Alfonso Castelao, (in Olmo's play) as a means of portraying numerous social, cultural, historical and political events relevant and specific not only to Spain but with universal implications as well.

Pablo Iglesias, written in 1982-83 by the Spanish social realist playwright, Lauro Olmo, was critically acclaimed for its innovative staging techniques and for its human dimension, honesty and vivid representation of a moment in the life of Spain. Significant events encompassing a sixty-year period (1850-1910) are reenacted, culminating in Pablo Iglesias's election in 1910 as the Spanish Socialist Workers' Party's first elected representative to the Spanish Parliament.

Lauro Olmo not only attempts to rescue Iglesias from oblivion but also to rescue the momentous time period through the incorporation of multiple texts, with the purpose of recreating and reliving the life and times of Iglesias. To achieve this, Olmo blends no fewer than forty-five different texts to coincide with important moments in the life and times of Iglesias, to establish a certain atmosphere, or to underscore the social commentary evoked by scenes being re-enacted.

My conference presentation will focus on the significance of the references to a painting by the 17th century Spanish court painter, Diego Velázquez. His painting, "*El bufón Calabacillas*, erroneously called "*El bobo de Coria*" (*The Simpleton of Coria*), depicts Juan de Calabazas, a servant to Fernando de Austria and later to King Philip IV. The Simpleton of Coria is a character in Olmo's play and underscores some of the paintings by the great Spanish artists, such as Velázquez and Francisco de Goya, which depict the lower classes as well as the suffering, injustices and oppression experienced by Spaniards in general. Such suffering, injustices and oppression also characterized a very crucial time period in Olmo's life—the dictatorship of Francisco Franco from 1939-75. My presentation will include a visual of the Velázquez painting, a description of it and its implications in Olmo's play.

Olmo also includes another character in this play—a Blind Balladeer-- who "looks like a sketch by CASTELAO," according to the stage directions. The sketches by Alfonso Rodríguez Castelao (1886-1950), the "apostle" of Galician nationalism, underscore the Galician struggle [Galicia is a province in the northwest corner of Spain]. Like thousands of Galicians, Castelao, as did Olmo and Iglesias, left Galicia at an early

age in search of a better life for themselves and for their families. Castelao's sketches depict the emigrant experience as well as the characteristic suffering of his people. A familiarity with Castelao is important to understanding the reference to him and the character of the Blind Man at this particular moment in Olmo's play.

The idea of art as salvation is a key aspect of Antonio Buero Vallejo's play, Misión al pueblo desierto [*Mission to the Deserted Village*]. Buero's final play, completed in 1998, demonstrates his commitment to portraying the social concerns of his time. In Misíon al pueblo desierto, Buero revisits the Spanish Civil War, but the issues that encompass this pay are no less important in the 1990s and beyond, plagued by wars, social injustices, political unrest and crises in numerous countries. This play is a reflection on war, its evils, and its impact on its protagonists. Also unique to Misión is the fact that it is a play within a play. A literary work, discovered among the writings of the predecessor of the "Secretaria," has been selected by the "Presidente del Círculo de Estudios" (a literary circle) to be read aloud by the "Secretaria." Passages from this literary work are subsequently staged by characters who portray Damián, Lola and Plácido. These scenes are periodically interrupted by the "actors" in the "Círculo de Estudios" who comment on the contents of the text being read by the "Secretaria." The play within the play relives the moments during the Spanish Civil War, specifically the attempt to recover a painting from a palace in the now-abandoned "Puebla del Zarzal" (hence the Biblical reference to the "burning bush" and "no man's land"). References to the "enemy" also take on various meanings. Who is this enemy? While attempting to rescue the painting, the palace is bombed and the main characters plot their escape, on nothing less than a motorcycle with a side car on which they will strap the painting in an attempt to smuggle it to safety and preserve it for posterity. Of what is this painting and why is it so important? Will the mission succeed? The ambiguous ending to the play in itself provokes reflection. The painting is El Greco's *Annunciation*. A visual of this painting and a description of it and its significance within Buero's play will be included in my presentation.

Buero Vallejo studied painting at the San Fernando Royal Academy of Fine Arts in Madrid before the Spanish Civil War and collaborated with a Republican group whose objective was to rescue works of art during the civil war conflict. Among them was a painting by Francisco de Goya. Buero stated that his play, Misión al pueblo desierto, is an homage to those who worked in those groups to save works of art from the ravages of war, those for whom there was something that mattered more than anything else—art.

Examples of the artistic works represented in these two important Spanish plays from the end of the 20th century will be shared with the session attendees via slides and/or transparencies (possibly as part of a power point presentation). Passages from these plays will be provided in their English translations.

Title:

IS IT TRUTH – OR JUST AN ILLUSION?
Towards a Heideggerian Ontology of Audiovisual Rerepsentation

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ABSTRACT

This paper look at film art, including television and audiovisual multimedia products, from the philosophical approach of Martin Heidegger. The main question is addresses is: Can audiovisual representation disclose Being? If it can, what are the ways it does this Heideggerian unveiling of Lighting (*Lichtung*) of the Truth. Or if it cannot, is it the greatest Untruth, a threefold illusion, because 1) its movement is an illusion of motion, 2) its time-space continuity is a gragmentary (re)construction, and 3) its light is no more than a reflection of illumination.

Heidegger condemned film and radio in his essays on technology (*The Question Concerning Technology/Frage nach die Technik), The Return/Die Kehre*). Perhaps Heidegger's 19th century education is responsible for giving him a prejudiced and inadequate understanding of modern technology and the production, exhibition and reception of audiovisual works or art. I claim that at closer scrutiny, in their ever temporal becoming as works of art, all audiovisual representation more closely follows Heidegger's conceptions of disclosing Being (*Sein*) as an Event (*Ereignis*) that most of other art forms. I doing this I'm not relying on any interpretations of Heidegger's philosophy by postmodern theories or theorists or recent sketches of 'virtual' reality for support. I focus my attention fortright on Heidegger's ontology in his own major texts like *Being and Time* (*Sein und Zeit*) and *Beiträge zur Philosophie*.

I will show how a film is a true work of art in the fullest send of The Origin of the Work of Art (*Die Ursprung des Kunstwerks*), and how a film in being (*Seiende*) a true work of art and a concrete physical object is a special example of the thing (*das Ding*), the equipment (*das Zeug*) and the work (*das Werk*). I also pay attention to the filmic (re)presentation of time and how along with the features mentioned above, particularly in its temporality and manifold means of organizing time and space, audiovisual representations can disclose Being in an authentic way.

The main themes in the paper concern the essential characteristics of audiovisual representation, filming and viewing which can be understood in a new way through Heidegger's concepts of 1) 'present-at-hand' (*vorhanden*) and 'ready-at-hand (*zuhanden*) in parallel and interplaying existence of the viewer's and filmic reality in 2) ontical (*ontisch*), ontological (*ontologisch*), pre-ontological existential (*vorontologisch ontisch*) Being-in-the-World, and ontologico-existential (*ontologisch existenzial*) worldhood. But I go even further, following Heidegger's conclusion in the Time of World Picture (*Die Zeit des Weltbilds*) I sho how the development of moving pictures from the times of the laterna magica and the camera obscura closely follow the changes in world view and the presentation of the world in Western thought and art since the Renaissance, as well as the birth of Albertinian and Leonardian scientific perspectives.

Title Page

Title of Submission: The Freedom and Democracy Crusade in the Rhetoric of Bush's Battle.

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Abstract

In his 2002 State of the Union Address, President Bush discusses the war on terrorism in Iraq and states that "history has called America and her allies to action, and it is both our responsibility and our privilege to fight freedom's fight." The sense that it is the United States' calling to wage war for "freedom" is one based on the assumption of divine right that Americans are the "chosen people" whose fate lies in fighting for the freedom of other nations. Going to war with Iraq is thus justified from a US moral imperative to fight for "freedom" and "democracy." Such an outlook towards the world reveals a simplistic view of the world where the Unites States is seen in terms of the "good" and Iraq as the "evil," and it is this binary view of peoples and nations which is illustrative of scapegoating in language.

In this paper, I will argue that scapegoating occurs when language is manipulated religiously as a means of dividing the world into peoples and nations who are either "good or evil" thus allocating their guilt and innocence. By employing Kenneth Burke's notion of god term, and charismatic vessel, I assert that terms such as "freedom" and "democracy" act as prayer and god cause in the rhetoric of war and so signify hierarchical, transcendent aims in language. Such tendencies of language coincide with the euphemization of language where words are used to signify the opposite of what they mean. Hence Chilton and Lakoff's call to heed the metaphor and Chomsky's claim that the communicative meaning of words lie in peoples' ability to use words to mean the opposite of what they say.

Both Lakoff and Chomsky provide insightful points of analysis for how the rhetoric of war reflects foreign policy initiatives which are "defensive" strategy initiatives common to the language of nations experiencing war from an offensive military and political standpoint.
By addressing the ideological operations of scapegoating in language, I hope to demonstrate the psycho-linguistic forces at work in the hailing of the moral cause employed as rallying principle in times of war. In this way, I wish to show the dangers of consensus making when nations succumb to the political rhetoric of god terms and supernal call to arms. The most sinister political coercions often lie at the heart of transcendent language where brutal aims and motives are blanketed in god terms such as "freedom," or "democracy." In failing to recognize national agendas and motives veiled behind the employment of god invocations in the rhetoric of war, one becomes one's own worst enemy.

Ernest Bloch (1880-1959) in New York

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ERNEST BLOCH IN NEW YORK

David Z. Kushner

On July 30, 1916, Ernest Bloch, the Swiss-born composer—conductor, arrived in New York. His path had been made smooth by virtue of the laudatory comments spread on these shores by such eminences as Alfred Pochon of the Flonzaley Quartet, already in New York, and by Romain Rolland, who responded in a most favorable tone to an inquiry about Bloch from Daniel Gregory Mason, whom Rolland referred to as "a high musical pontiff in New York." Given Mason's later diatribes against the "Jewish menace" in music, with Bloch as the chief nemesis, this early gingerly step to gain some information about the creator of the "Jewish Cycle," seems, in retrospect, something more than a touch of curiosity.

In September 1916, with Bloch conducting an orchestra for the touring dance company of Maud Allan, Claude Debussy was belittling him to Robert Godet, both of whom Bloch, in his naiveté, believed to be friends. (Debussy wrote to Godet, "I was not in the least anxious to get to know him, but he put me through a torture like King Lear's.") When the Allan tour turned into a financial disaster, Bloch, with the aid of luminaries such as Olin Downes and Paul Rosenfeld, gained performances of his works, including the *String Quartet No. 1* (by the Flonzaley Quartet), on December 30, 1916; *Trois poèmes juifs* (by the Boston Symphony Orchestra under Bloch's direction), on March 23, 1917; and an all-Bloch concert on May 3, 1917 sponsored by the Society of

the Friends of Music, with the *Jewish Poems*, the three psalm settings (Nos. 137, 114, and 22), *Schelomo* (with Hans Kindler as cello soloist) and *Israel* programmed under the baton of Artur Bodanzky.

The fall of 1917 saw Bloch engaged as an academic, teaching theory and composition at David Mannes's newly-formed music school. He was further involved in writing articles, granting newspaper interviews, guest conducting, and arousing a variety of controversies about his Jewish identity (the crucifix that held a visible place in his apartment stirred many passions as did his visit to a Lower Eastside Orthodox synagogue), his teaching methods, and his relationship with his publisher, G. Schirmer, Inc., and his editor, the venerable Oscar Sonneck.

That Bloch's stay in New York was tumultuous would be putting it mildly. But it was also a period in which his powerful early works found their way into the repertory. This paper explores the various forces, including the musical personalities, that impacted on Bloch, the man and artist, during his years in New York, and treats representative works in the context of that milieu.

Hawaii International Conference on Arts and Humanities 2005
Proceedings

Title: *The Percussion Music of Lukas Foss*

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ABSTRACT

The Percussion Music of Lukas Foss

Lukas Foss has enjoyed a celebrated career as composer, conductor, pianist and teacher. Born in Berlin in 1922, he has resided in the United States since 1937. His compositions have garnered critical and popular acclaim, including prestigious awards such as the New York Music Critics' Award, the Guggenheim Fellowship and several honorary doctorates. On one famous occasion, Leonard Bernstein conducted Foss's *Time Cycle* for soprano and orchestra, with the New York Philharmonic, twice in the same evening, in an unprecedented demonstration of admiration and respect for the piece. As a conductor, Foss held positions with the Buffalo Philharmonic, Brooklyn Philharmonic and the Milwaukee Symphony, in addition to guest conducting many of America's top-tier orchestras. As an educator, Foss held positions at UCLA (replacing Arnold Schoenberg), SUNY-Buffalo, and Boston University.

Foss's oeuvre covers many genres, including orchestral music, chamber music, choral music and piano music. Foss also composed two significant works for percussion. His *Concerto for Percussion and Large or Small Orchestra* was composed in 1974 and was premiered by renowned percussionist Jan Williams, Foss's colleague at SUNY-Buffalo. Foss also composed a work for percussion chamber ensemble, the *Percussion Quartet*, in 1984. Both of these works demonstrate a profound comprehension and respect for the capabilities of percussion as a musical vehicle.

The proposed lecture will focus on these two works for percussion, with particular emphasis on the unique compositional style Foss employed in these works. The lecture will also discuss some of the innovative and more unusual performance techniques Foss

utilized in these compositions. Some of these unusual techniques include Superball (a popular toy) “moans,” resonator scrapes, bowed vibraphone, and “inaudible” playing. In the *Concerto for Percussion and Large or Small Orchestra,* the percussion soloist is also called upon to act as the conductor, utilizing slapsticks, handbells, and flexatones in place of a more traditional baton. These works employ a combination of both fixed compositional elements and chance elements, thereby ensuring that no two performances will be exactly alike. The performers are also given some artistic interpretational license which also affects the final outcome. The presentation will place these works in the context of his overall compositional style and periods, including his use of percussion in other pieces. Recordings will be used to illuminate the distinctive nature of these compositions.

The Effects of Specific Color Wavelengths of Ambient Light on Human Behavior in an Experimental Environment – Implications for Designers of the Built Environment

Topic Area: **Architecture**

Presentation Format: **Research Paper**

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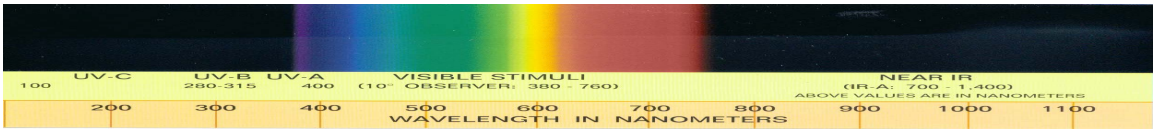
ABSTRACT

Topic: Architecture
Presentation Format: Research Paper

The Effects of Specific Color Wavelengths of Ambient Light on Human Behavior in an Experimental Environment – Implications for Designers of the Built Environment



PURPOSE:

This paper presents findings from a four-week research project designed to indicate if human exposure to specific colors of ambient light and ambient white light at illumination levels that permit the performance of common tasks, can affect the behaviors of eight research participants of differing ages, gender, and health conditions. Further, if behaviors are affected, what specific color wavelengths and/or white light affect specific changes in behavior?

METHODOLOGY:

Eight research participants were individually exposed to five different colors of ambient light, including white light, for a period of three hours for each individual exposure in an environment with all white finish surfaces. Particular behaviors were identified for observation for all the research participants, and specific additional behaviors were identified for the participants with diseases known to elicit specific negative behaviors. Participants were videotaped during all sessions, and systematic observation of behaviors was made. Approximately 120 hours of videotapes were reviewed by trained observers. Tabulations of observed behaviors were compiled and comparative analysis across the five different colored light

environments and across the range of research participant types was made. A detailed presentation of the methodology will be made at the paper presentation.

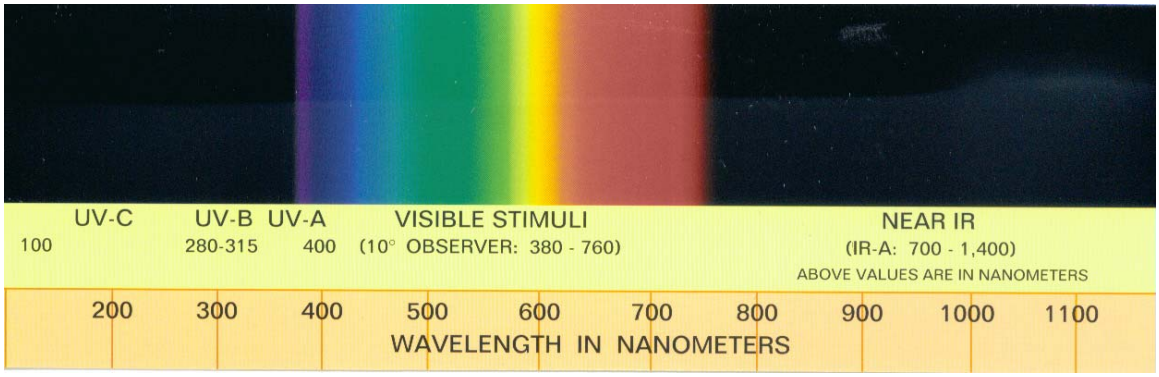
FINDINGS and IMPLICATIONS:

Findings from this small study indicate that specific color wavelengths of light and white light affected identified behaviors in all research participants. Those participants with diseases known to elicit specific negative behaviors were most affected, and specific color wavelengths had different effects on these participants than on those participants without diseases known to elicit specific negative behaviors. A complete presentation of the findings with comparative analyses will be made at the paper presentation.

This is a small pilot study of eight research participants and statistical significance of findings is, therefore, impossible to make, but a workable methodology for larger studies has been determined. Since this study indicates that specific color wavelengths of ambient light and white light do affect human behavior, and if larger studies are made to support the findings, then designers of the built environment could prescribe therapeutic lighting interventions calling for specific color wavelengths and illumination levels that may improve the quality of life for all individuals in the built environment and particularly for those with behavioral disorders and for their caregivers.

PAPER

The Effects of specific Color Wavelengths of Ambient Light on Human Behavior in an Experimental Environment – Implications for Designers of the Built Environment



PURPOSE:

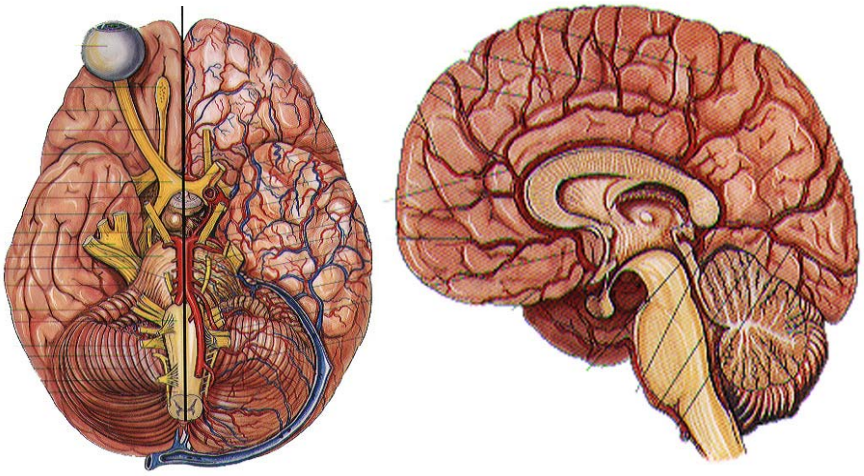
The primary goal for this pilot study was to discover from systematic behavioral observation of videotaped human subjects in five different experimental lighting environments if the possibility of affecting human behaviors exists. The research questions is: Does human exposure to specific colors of ambient light (as defined by specific electromagnetic wavelengths called nanometers) and ambient white light (defined by color temperature measured in Kelvins and color rendering indices) at an illumination level that permits the performance of common tasks, affect the production of various enzymes and hormones that are elicited in the brain and that are known to affect human behaviors? Further, what specific color wavelengths and/or white light affect specific changes in behavior?

The paper presentation presents findings from a four-week pilot research project designed to indicate if human exposure to specific colors of ambient light and

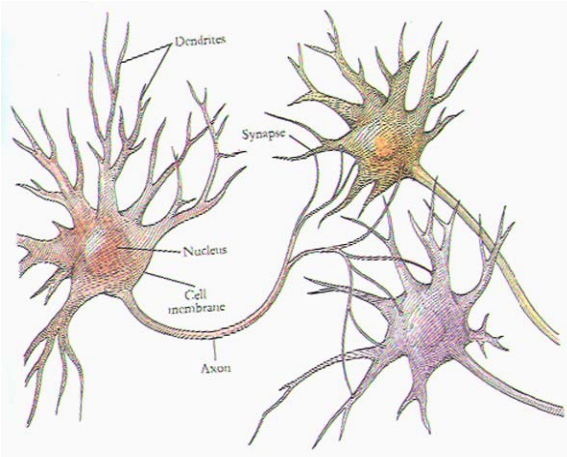
ambient white light can affect the behaviors of eight research participants of differing ages, gender, and health conditions.

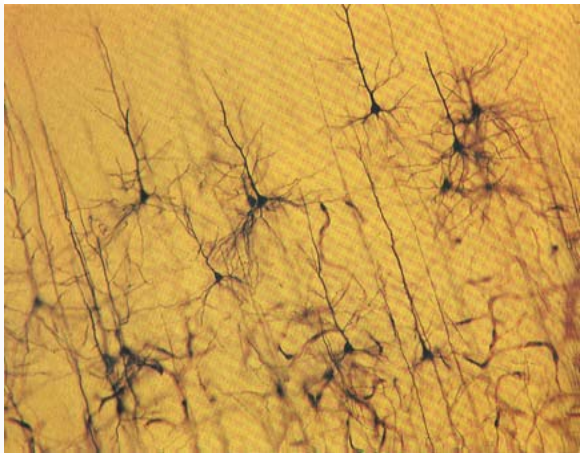
BACKGROUND & RATIONALE:

Lighting is known to affect hormonal and metabolic balance (Brainard, 1994; Fellman, 1985; Klein, 1986; Reiter, 1986; Rieter and Karasek, 1986; and Wurtman, et al., 1085). The photobiological impact of light on the human body is dependent on wavelengths from the electromagnetic spectrum, both visible and invisible, striking the retina of the eye.



This, in turn, influences the production of several neurotransmitters in the brain that are believed to affect the entire nervous system (Waxler, et al., 1992; Rea, et al., 2002; Thapan, et al., 2001; Hut, et al., 2002; Wright and Lack, 2002), have neuroprotective effects (Savaskan, et al., 2002), behavioral consequences (Reiter, 1990), affect mood disorders in adults, adolescents, and children (Wetterberg, et al., 1990; Shafii, et al., 1990; Mayeda, et al., 1990; James, 1990), and affect agitated behaviors in dementia patients (La Garce, 2004; La Garce, 2002; Lyketsos et al.,





This production process can be greatly influenced by the frequency, duration, and intensity of environmental light (Feierman, 1982; Reiter, 1990; McIntyre, 1990, Wetterberg, 1997). Manipulation of environmental lighting then becomes a distinct possibility for stimulating increased or decreased production of neurotransmitters in the brain that in turn stimulate the production of enzymes and hormones that affect human behaviors (Sorensen and Brunnstrom, 1995; Rubin, 1997; Schulmeister, 2002).

This study is unique in that it analyzes the effects of ambient color wavelengths of light and white light and not focused or point sources of light. Ambient light conditions will allow subjects to perform common tasks throughout the duration of light exposure. The implication is, that since changes in behaviors are found to occur under ambient light conditions, then longer term application as therapeutic environmental light in a common setting becomes practical.

METHODOLOGY:

This research project was approved by the Human Subjects Committree of the University. Potential research subjects were screened by a qualified medical

practitioner to determine general health conditions regarding any history of high blood pressure, heart disease, blood disease, eye disease, color blindness, or extra-

ordinary vision difficulties. ADHD and Alzheimer's probability diagnoses were provided by the subjects with ADHD and Alzheimer's disease. A Consent and Authorization Form that included the means for protecting subjects' confidentiality and disclosure of videotaping was approved by the Human Subjects Committee and signed by the research subjects' parents.

Particular behaviors were identified for observation for the participants with diseases known to elicit specific negative behaviors. Eight subjects were exposed individually to five different colors of ambient light, including white light, for a period of three hours for each individual exposure in an environment with all white finish surfaces and at a light level sufficient for performing common tasks (reading, crafts, games, etc.). The subjects could not watch television, play video games, or sleep, but were free to reasonably do whatever they chose within the confines of the space. A toilet facility was located within the space. Each subject was exposed under these conditions to five different light exposures so that each subject's time participation was five – three hour sessions for a total of 15 hours over a four week period. Approximately 120 hours of videotapes were reviewed by trained observers.

The methodology for behavioral analysis consists of identifying the behaviors common to pre-adolescent individuals with ADHD and the behaviors common to Alzheimer's disease patients; training observers as empirical environmental behavior observers to recognize, systematically record, and make double blind observational assessments of the subjects' behaviors; tabulating the recorded observations, and making comparative analyses of the behaviors.

FINDINGS and IMPLICATIONS:

Findings from this small study indicate that specific color wavelengths of light and white light affected identified behaviors in all research participants. Those participants with diseases known to elicit specific negative behaviors were most

affected, and specific color wavelengths had different effects on these participants than on those participants without diseases known to elicit specific negative behaviors. A complete presentation of the findings with comparative analyses will be made at the paper presentation.

This is a small pilot study of eight research participants and statistical significance of findings is, therefore, difficult to make, but a workable methodology for larger studies has been determined. Since this study indicates that specific color wavelengths of ambient light and white light do affect human behavior, and if findings from larger studies support the findings, then designers of the built environment could prescribe therapeutic lighting interventions calling for specific color wavelengths and illumination levels that may improve the quality of life for all individuals in the built environment and particularly for those with behavioral disorders and for their caregivers.

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How in the World Do You Teach *GLOBALIZATION* to Architecture & Interior Design Students?"

Topic Area: **Architecture**

Presentation Format: **Report/Issues Related to Teaching**

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REPORT

Topic: Architecture
Presentation Format: Report/Issues Related to Teaching

How in the World Do You Teach *GLOBALIZATION* to Architecture & Interior Design Students?"

PURPOSE:

To demonstrate instructional methodologies that heighten architecture and interior design students' awareness and understanding of globalization issues in order to form and apply global design principles to design of the built environment.

ISSUES:

Issues to be targeted include:

- **global sustainability**
- **design's impact on global sustainability**
- **global cultural diversity**
- **cultural contexts**
- **global economies**
- **global politics**
- **awareness of need to form and apply global design principles**

Global issues such as those listed above should be addressed throughout the curriculum but particularly in such courses as:

design studios – to include internationally based projects, hopefully, with international participation

professional (business) practice – to include international business practices and international project management strategies

building codes – to include study of international building codes

materials, finishes, building construction, fabrication methods and costs – to include materials indigenous to particular international locales with cost estimates made in foreign currencies

the histories of - cultures, art, architecture, interior design

contemporary international design – study of current and future global design trends and developments

Offer financial encouragement for students to attend international conferences and design shows, and to participate as design interns in other countries.

THE CHARRETTE:

Propose an Annual International Design Charrette to be facilitated at the Hawaii International Conference on Arts & Humanities with student design teams paired from widely culturally divergent countries with one team developing the program for a mixed-use design project, and the other team developing the design for the

mixed-use project. The charrette would begin opening day of the conference and end the last day of the conference with presentation of the design solution made by both teams presenting together to the conference attendees.

Team Responsibilities:

Team A: **develop the program**
provide materials/finishes/FF&E resources
provide knowledge of the cultural context
provide historical knowledge
provide knowledge of current & future trends & styles

Team B: **design development**
bring design tools and presentation materials and equipment
prepare presentation

Information about how existing design firms practice globalization will also be provided at the paper presentation.

A New Assessment Tool to Measure Older Women's Satisfaction with Social Resources

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Maria Bratly
Judy Urquidi

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Abstract

This study investigated the satisfaction with social resources experienced by an ethnically diverse sample of older women. It proposed a new assessment tool, created specifically for use with this often-neglected research population. The construction of this instrument reflects the increased research emphasis on ways in which familial and community support, as well as contribution to family and society, affect life satisfaction among older women (Lowenstein, 1999). This novel tool is anchored in Salamon's (1988) conceptualization of subjective well-being and focuses on the reactions of older women to several facets of the environment (e.g., social and emotional). Such a conceptual framework provided the foundation for the "Life Satisfaction in the Elderly Scale" (Salamon, 1985). However, the Salamon scale is not gender-specific and confounds health status with quality of life; the proposed tool is the first of its kind to assess satisfaction with social resources beyond health status.

A sample of 148 ethnically diverse women over the age of 55 (mean age = 72.3) was gathered for this study. These women were community dwellers residing in Los Angeles County. Research assistants were trained in accessing and interviewing older women prior to conducting one-to-one interviews at locations chosen by the research participants, in order to maximize their level of comfort with the research procedure. First, the interviewers administered a screening tool to verify study eligibility (including high cognitive functioning), then a demographic survey and the new instrument. A factor analysis to validate the "Elders Satisfaction with Social Resources" tool was conducted on 138 older women with complete data. It obtained very promising results, with 22 items from the original pool of 50 items explaining over 41% of score variance and loading heavily on one single factor. In regard to reliability issues, data analyses showed remarkably high internal consistency of the new tool (α = .93). Overall, the findings indicate that availability of support from family and the perceived contribution to the lives of others in older age are important factors related to life satisfaction. The discussion focuses on the role played by specific social resources in the lives of older women.

Title: The Influence of Calligraphy on Chou Wen-chung's Music

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Abstract:
The music of Chou Wen-chung has always been studied in light of his compositional aesthetic or his compositional system. The former advocates what he has called *re-merger,* the genuine fusion of Eastern and Western cultures, whereas the latter attempts to express this concept through the musical realization of the *variable modes*, a compositional construct that has its roots in the metaphysical principles of *Yijing* ("Book of Changes") and is manifested most notably in pitch organization. Although research into these two areas has revealed valuable information about Chou's music, one cannot fully comprehend the structural intricacy and aesthetic orientation of his music without examining other parameters such as timbre and texture. This paper, therefore, attempts to enrich our understanding of Chou's music by reviewing his approach to musical texture, in particular the application of Chinese calligraphic principles. The presentation will comprise a summary of Chou's own discussion of the roles calligraphy plays in his music, and an historical overview of texture categories that have particular significance in the composer's output. This exposition of musical textures will cover register, timbre, linear-vertical interaction, and other compositional topics. In order to enhance the audience's understanding of the material, illustrations drawn from a variety of sources that includes Chinese painting, calligraphy, compositional sketches, and Chou's music will be examined. The paper will conclude with observations on the roles musical texture plays in the realization of compositional aesthetic in Chou's *oeuvre*.

Triangulations of Desire: Homosocial Desire in John Dryden's Marriage a la Mode and William Wycherley's The Country Wife

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Abstract: Two representations of male homosocial desire, one based on a masculinity that requires male rivalry and the other based on the dominance of masculine men over submissive men, are examined in two popular stage dramas from the English Restoration period.

Rene Girard argues that most erotic triangles involve two men who dispute access to, and control of a woman. In these triangles, the bond created by erotic rivalry between the two men may be equal to, or more intense, than the bond that either man has with the woman. Eve Kosofsky Sedgwick develops this argument and contends that in the process of that rivalry men form bonds that establish their status within society and their relationship to patriarchy. However, according to Sedgwick, male homosocial desire does not, automatically, imply homosexuality, as most men consider the idea of performing a homosexual act to be abhorrent. On the other hand, homosocial desire may be placed on a continuum that includes homosexuality. In this paper I will examine two representations of male homosocial desire, one based on a masculinity that requires male rivalry and the other based on the dominance of masculine men over submissive men.

In John Dryden□s Marriage a la Mode, Rhodophil and Palamede act according to the "measure of male bonding practices [that are] a method of emphasizing the structure of men's relations in a patriarchal system" (Henry 1). That measure is the willingness of men to compete for status with other men. The concept of masculine competition requires that men are always ready to submit to a test of their manhood, whether that test is with their sword or with their penis. Men must be able to perform, in both senses, at all times, lest they risk losing their position in the "stratification system in which males . . . have almost exclusive access to major resources" (Britton 3). Rhodophil and Palamede understand what is at stake and they maintain their positions and access to the rewards that hegemonic masculinity brings to masculine men.

Consequently, the two dominant male characters in Marriage a la Mode "turn to other men for the satisfaction of most of their needs" (Britton 3). These needs include recognition of their power and status among men, needs which cannot be met in the company of women and nonhegemonic men. In this context, Rhodophil and Palamede turn to each other to fulfill their need to confirm their masculine status and through confirming the homosocial bond they also confirm their superiority to women and everything feminine. These two men accept the "meaning [of masculinity] constructed and maintained through relationships with other men . . . [that] is conceptualized not only as different from female but as better than female" (Bird 121). As a result, Dryden gives us an example of homosocial desire between two men who respect each other and view themselves as equals. Therefore, the Rhodophil/Palamede/Doralice and Rhodophil/Palamede/Malantha triangles illustrate the rivalry of two men of equal status for the control of a woman.

In Marriage a la Mode Rhodophil and Palamede do not desire their legitimate female partner until each discovers that the other man desires his woman. Each man indicates that if the other, who has wit (an important quality), desires his partner then there must be a rich mine in his woman that should be mined by

himself. Rhodophil confirms this attitude when he says to Doralice: "if he [Palamede] loves you, there's something / more in ye than I have found, some rich mine, for / aught I know, that I have not yet discovered" (*MM*.V.i.368-70). In this speech Rhodophil clearly acknowledges that Palamede's good opinion of Doralice is extremely important to him. As Whitney David points out, when reviewing a book by Klaus Theweleit on Sigmund Freud, "male object-choice replicates a man□s fears of other men, his desire to be like them, [and] his fantasy that they fear or desire him" (29). As a result, men choose women who will serve their status need to validate their dominant masculinity. In Marriage a la Mode the triangulations of desire illustrate that Rhodophil and Palamede need the "liberating presence of the other as a mirror reflection of the emotions" (McKeon 160) that they cannot express by themselves. Consequently, Palamede responds that he too will dig the mine of Melantha to find the hidden treasure that was the object of Rhodophil's desire. The references to digging a mine have a bawdy connotation that consolidates the sexual prowess of men who can pass the sexual test of masculinity at any time.

While both men try to have sexual liaisons with the other's woman, neither man consummates the act, despite several attempts. These attempted liaisons lead to a confrontation between the two men where they reach the stage that they are ready to draw swords on each other. This exchange illustrates that both men are also ready to undergo the test of the sword:

RHODOPHIL. Further arguments are needless. Draw off, I shall

speak to you now by the way of Bilbo. (*Clasps his*

hand to his sword.)

PALAMEDE. And I shall answer you by way of

Dangerfield. (*Clasps his hand on his*.) (*MM*.V.i.354-57)

The fact that they are ready to draw swords on each other demonstrates that they share a concept of masculinity that calls for physical strength to defend themselves against assaults on their private property, reputation, and honor. Dryden creates strong masculine men who are capable of killing in defense of their rights, which, in this case, is their legitimate partner's virtue. Their sense of masculine power and entitlement leads them to defend themselves against encroachment by another man, even if that man is a longtime friend. Each man must "assert his potency . . . through his physical strength" to maintain his dominant status and the admiration and respect of other men (Henry 3).

Dryden does not allow two dominant men to kill each other over "mere" women, as that would undermine the concepts of homosociality and masculinity dominant in Restoration England. Therefore, the two men reach an agreement:

RHODOPHIL. Then I think, Palamede, we had as good make a

firm league not to invade each other's propriety.

PALAMEDE. Content, say I. From henceforth let all acts of

hostility cease betwixt us, and that in the usual

form of treaties, as well by sea as by land, and in

all fresh waters. (*MM*.V.i.410-15)

The language of this exchange is revealing in that the men adopt legalistic language that reflects the public world of men, even though they are essentially dealing with private matters. Even in the heat of a passionate defense of their most private relations they cannot detach themselves from their public roles.

The men reach their agreement, but do "not consult the women about this contract" (Rosenthal 44). However, Doralice, who is an assertive woman who

influences much of the action in Marriage a la Mode, adds her own proviso to the agreement. She gets the men to agree that "whoever breaks the / league, either by war abroad or by neglect at home, / both the women shall revenge themselves by the / help of the other party" (*MM*.V.i.416-19). Earlier, she had reached a separate agreement with Palamede by which they had agreed that she should be his second wife, should the opportunity present itself.

Meanwhile, Palamede□s and Rhodophil□s homosociality and close attachment for each other is also demonstrated by the stage directions in the text. The directions call for Palamede to clap Rhodophil on the shoulder just after Rhodophil has said that he would like to have sexual intercourse with his own wife (*MM*.V.i.422). This physical sharing of the moment between the two men indicates their support and respect for each other. Their comradeship and shared experiences leads them to an understanding of each other that transcends emotions. Furthermore, this homosocial friendship would have been destroyed if the sexual adventures had lead to physical action, because if they had not remained faithful "male homosocial friendship would become impossible" (Rosenthal 44). If either man had sexual relations with the illegitimate mate then their mutual respect would have been destroyed. Their sense of their masculinity would not have allowed for cuckolding the other man and still respecting him. In this instance both men place a higher value on their homosocial friendship than on their desire for sexual adventure. The men's erotic desire is modified to conform to the higher needs of the homosocial bond when they refuse to become involved in the triangulation of partner swapping for fear that one of them might get the "longest cut." They defer, or displace, their immediate sexual desires to maintain the important homosocial bond.

However, while the men may deny themselves sexual adventures, Marriage a la Mode contains several explicit sexual references. The sensual language and veiled references to heterosexual intercourse infuse the play with a vibrant sense

of sexuality that is almost pornographic. When Doralice defends her virtue she states:

Consider, if I have played false,

you can never find it out by any experiment you can

make upon me.

RHODOPHIL. No? Why, suppose I had a delicate screwed gun.

If I left her clean and found her foul, I should

discover to my cost she had been shot in.

DORALICE. But if you left her clean and found her only rusty,

you would discover to your shame she was only

so for want of shooting. (*MM*.V.i.382-91)

In this exchange, Doralice exhibits her considerable command of witty repartee, which is highly prized in male characters of the Restoration period. Dryden presents Doralice as a female character with limited agency, but does not allow her to subvert the action driven by the men. Her role is to demonstrate that women may ameliorate the adverse effects of patriarchy in a subtle manner while not threatening dominant masculinity. Doralice facilitates the homosocial bond between the two men by accepting the "treaty" that they have already established. However, by adding her own provisos, she carves a space for herself that allows her to influence the action.

The erotic triangles in Marriage a la Mode are resolved in that the men dominate and control the sexuality of the women, but with considerable input from Doralice. Each man realizes that to protect his own honor he must maintain control over

the sexuality of his female partner. However, in order to maintain that control he must be able to compete with other men and confirm his membership of the dominant group. As a result, Palamede and Rhodophil subscribe to a concept of masculinity that is defined by the "bonds established between men via the traffic in women" (Henry 3).

Furthermore, the construct of masculinity dominant in Restoration England required "emotional detachment, competition, and the sexual objectification of women" (Bird 122). This concept of masculinity demanded that men never talk about their feelings, nor show their emotions in public. Such displays resulted in "penalties to violators" (Bird 130), which is what happens to Sparkish and Pinchwife in William Wycherley□s The Country Wife. These men display jealousy, anger, and they lack self-sufficiency. These attributes leave them open to accusations of effeminacy, which undermines their position in the male hierarchy.

In The Country Wife it is the aspiration of Sparkish to be accepted as a wit and Pinchwife□s fear of cuckolding that demonstrates their insecurity. While homosociality underlies these two major themes, it is the difference in status and dominance that differentiates the characters. The submissive group includes Pinchwife, Sparkish, and Sir Jasper. The dominant group includes Harcourt, Dorilant, and Horner, although Horner occupies a separate space on his own. The Sparkish/Alithea/Harcourt and Pinchwife/Margery/Horner erotic triangles illustrate dominance and submission. These contrasting examples of homosocial desire illustrate how women were valued and used within Restoration society.

One of the most tangible rewards for men who outwardly conform to the dominant ideal of masculinity is heterosexual genital gratification and the admiration and respect of other men. Meanwhile, to maintain dominance they must display their sexual prowess, as "the phallus, the symbol of patriarchal male power, needs to be exercised" (Henry 2). It is not enough to "compete with one

another in efforts to gain the attention and affections of women . . . [but they must also engage in] boasting about their sexual exploits" (Bird 128). However, such boasting must be supported by action, or else the man will appear a fool and become an object of ridicule. Sparkish fulfills this role, which leaves him open to exploitation by Horner and his associates. Likewise, as Pinchwife "could never / keep a whore to [him]self" (*CW*.1.i.493-94) he displays his lack of masculine power by being cuckolded without being married. The men who matter in this small social group do not admire or respect Sparkish and Pinchwife.

However, all the male characters in The Country Wife who are married do respect and fear Horner, Dorliant, and Harcourt because these dominant men are a danger to their social position through the possibility that they can gain sexual access to their wives. By doing so, these dominant men could cuckold them without their knowing. However, everyone else in their social circle would know of their cuckolded status through the requirement of hegemonic masculinity that the cuckolder boasts of his exploits.

In an attempt to avoid such a fate, Pinchwife tries to abrogate his homosocial ties to the dominant group by going to the country and marrying a woman who is unspoiled by city influences. Pinchwife believes that his new wife, Margery, is "a fool [who] cannot contrive to make her husband a / cuckold" (*CW*.1.i.460-61). It is clear that Pinchwife "values both inexperience and witlessness in a wife" (Knapp 454), as these failings may protect him from being shamed. However, the fact that Horner and his friends have seen her at the theater makes him uneasy, yet he confidently declares that "I'll / keep her from your instructions, I warrant you" (*CW*.1.i.426-27). However, he knows from previous experience that "[g]iven that the object of man's existence is to cuckold men . . . [and that] Horner is a master" (Sedgwick, *Sexualism* 231) that he has a great deal to fear from his former associates.

While Pinchwife is not a core member of the dominant group, they tolerate him as an amusing diversion. He is much older than the dominant men and his failure to hide his concern "about material accumulation or conservation is fatal" to his being accepted into the inner circle of these wits (Sedgwick, *Sexualism* 236). His acquisitiveness may also be seen to "revolve around guarding a woman's sexual actions as possessions might be pilfered by another man to the husband's loss of both capital and respect" (Knapp 452). His middle class perspective does not fit well with aristocratic gallants who despise his values and ridicule him to his face. This is evident when, near the end of the play, he offers to draw his sword on Horner and is stopped by Harcourt. Due to Pinchwife□s lower status the powerful men will not allow him to participate in the test of masculinity by the sword that is reserved for dominant men.

As he cannot fight the dominant men to protect his wife□s chastity, he has to take extraordinary measures to prevent his former associates from cuckolding him. These strategies include locking his wife in her room, threatening her with physical violence, and dressing her as a man. The threat of violence includes "writ[ing] whore with this / penknife in [her] face" (*CW*.IV.ii.99-100). Pinchwife's threats are enhanced by his name, as pinching was "a common form of spousal abuse in this period" that could lead to a doctor being called to help the victim recover (Knapp 456). This threat, and the knowledge that he could possibly kill her, has the desired effect on his wife in the short term. However, in the long term, Pinchwife□s heavy-handed actions feed his wife's desire to become acquainted with the dominant group and to have sexual "conversation" with Horner.

Pinchwife is a pathetic character in the sense that he does not completely understand the reasons why the dominant men desire to cuckold other men. He does not comprehend that it is not the sexual pleasure that may be gained from the cuckolding that matters, but it is the enjoyment of one man dominating another that really matters. Sedgwick maintains that Pinchwife has one page

from the rulebook and thinks that he has the complete text (*Between* 51). This particular "rulebook" details the rules for the exchange of women as property among men. Pinchwife knows enough about how the system operates to be wary of allowing his wife to be seen in public. However, he underestimates the speed with which his wife learns city values and the devious ways of his former associates. Even though he believes that "all women [are] cuckold-makers" (Marshall 68), and all men potential cuckolds, his misogyny prevents him from effectively protecting his most valued possession. His most valued possession is not his wife but his honor, which is directly linked to his wife's sexual behavior.

On the other hand, Sparkish desires the confirmation of the homosocial bond above all else. He desires the approval of the men in the dominant group to such an extent that he allows himself to become a figure of ridicule. They see him as a "noisy pert / rogue of a wit, the greatest fop, dullest ass, and worst / company" (*CW.*1.i.303-05). While Horner and friends verbally abuse him, he prefers their company to his supposed friends at court. Sparkish□s wish to be accepted leads him to allow Harcourt to take Alithea from him a day before he is to be married to her. Therefore, when Sparkish introduces Harcourt to Alithea, his intention is to get Harcourt's approval for the match. If Harcourt approves of Alithea then the "homosocial bond with Harcourt and the wits" will be strengthened (Sedgwick, *Between* 51). Sparkish does not value the intelligent and honorable Alithea for her own worth, instead he sees her as a means to promote his position among the dominant group. Sedgwick contends that Sparkish has half the truth in that he perceives Alithea as having value only when she is circulated among men. In order to be accepted by the dominant group, who despise him; Sparkish is prepared to sacrifice Alithea to one of their number and gives up her dowry of five thousand pounds.

While Pinchwife and Sparkish operate outside the dominant group, Horner, Dorilant, and Harcourt form the inner circle. Harcourt and Dorilant are dominant men who play supporting roles to Horner, the natural leader. Horner has the

ability to strategize and to control others to such an extent that he can easily contend with the negative consequences of his supposed impotence as he understands that a "eunuch is the perfect disguise for a seducer" (Country 1). He declares in the last stanza:

Vain fops but court and dress and keep a pother

To pass for women's men with one another,

But he who aims by women to be prized,

First by the men, you see, must be despised. (*CW*.V.iv.460-63)

The risky strategy of feigning impotence allows him to seemingly "escape from the circuit of male homosocial desire" and to claim that he actually likes women (Sedgwick, *Between* 55). However, this claim is speedily undermined when he encourages Harcourt and Dorilant to disparage women in favor of male bonding. Horner argues that "women serve / but to keep a man from better company. Though / I can enjoy them, I shall you the more. Good / fellowship and friendship are lasting, rational, and / manly pleasures" (*CW*.1.i.223-27). Therefore, his impotence is nothing more than a "cold-blooded, manipulative erotic strategy" (Sedgwick, *Sexualism* 227) to gain access to the pleasures of cuckolding more easily than he would if he were still a "full" man. His ability to feign impotency is a ploy to further his designs to gain access to sexual and social pleasure and to display his acting ability.

Lawrence Stone argues that Horner is a prisoner of sex who gets "satisfaction at the seduction and then betrayal of his victims" (250). The fact that he goes to great lengths to gain access to the sexual favors of "honorable" women, and to make cuckolds of their husbands, shows that his dedication to this mission is consuming. However, his sexual Machiavellianism means that he cannot trust his friends with the information that his impotency is an act. Furthermore, as Robert

D. Hume argues, even when Horner triumphs his seductions "become merely mechanical" (103). While this argument may be too strong, Horner savors the outcome of the seduction more than the physical pleasure that may be gained from the sexual act itself. Likewise, Horner uses his "castrated" position to manipulate women into believing that he cares for them, while he assures men that he is not interested in cuckolding them. His claim to be impotent is a risky strategy, but he has the confidence and style to carry it off.

However, Horner's impotence introduces sexual ambiguity in that men such as Sir Jasper trust Horner to accompany their women because they view Horner as less than a man. Sir Jasper enjoys referring to Horner as "a privileged man amongst the virtuous ladies" (*CW*.11.i.492), not knowing that Sir Jasper is behaving exactly as Horner knew he would. Sir Jasper is too concerned with business and the public world to pay attention to his wife and what is happening at home. Therefore, the resourceful Horner has access to "women of honor" who "love / the sport . . . [and are] only / chary of their reputations, not their persons, and 'tis / scandal they would avoid, not men" (*CW*.1.i.178-83).

It is the love of sport that attracts Horner to Lady Fidget and her "virtuous gang." In the "china scene" they conspire together to "deceive Sir Jasper while indulging their desire to refer to their 'secret'" (Knapp 453). While the "china scene" is amusing, it also demonstrates that the female characters can also act in a devious and manipulative manner. The "virtuous gang," supposedly the upholders of virtue and marital fidelity, wholeheartedly involve themselves in the play on words and they too seem to enjoy the "sport" of the sexual liaison more than the physical pleasure that sexual intercourse may bring:

LADY FIDGET. And I have been toiling and moiling for the

prettiest piece of china, my dear.

HORNER. Nay, she has been too hard for me, do what I could.

MRS. SQUEAMISH. Oh Lord, I'll have some china too. Good Mr.

Horner, don't think to give other people china and

me none. Come in with me, too.

HORNER. Upon my honor I have none left now. (*CW*.1V.iii.201-207)

Later, the "virtuous gang" meets again and, thanks to the absence of men and the presence of alcohol, they allow themselves to vent their anger and frustrations with their husbands. After several jibes at their absent husbands, they eventually realize that Horner has been sexually active with all three of them. This means that they are all "sister sharers . . . [and that Horner's ruse means that] we are savers / of our honor, the jewel of most value and use, / which shines yet to the world unsuspected, though it / be counterfeit" (*CW*.V.iv.180-85). They and Horner are sophisticated enough to know that "for honor, like beauty now, only depends on the opinion of others" (*CW*.V.iv.187-88). Therefore, Horner "devises to trade public recognition of his manly virtuosity for private sexual and competitive satisfactions" (Knapp 456) and manipulates his supposed impotence to gain unfettered access to sexual and social pleasure.

However, it is Margery's truthfulness and lack of sophistication that poses a threat to the charade that Horner has spent so much energy creating. In the world of The Country Wife it is truth that is subversive, not falsehood. Horner hesitates to bed her "not so much [because] of Margery's lack of experience, but [he fears that] her apparent helplessness" will involve him in unnecessary complications (Knapp 454). Horner believes that Margery is not sophisticated enough to carry on an affair and cope with its ending in a worldly manner. He fears that she has the "naove assumption that because he wants to cuckold her husband he must therefore want her" (Knapp 455). This naiveti is what threatens his carefully constructed plan, not the worldly attitude of the "virtuous gang" who know how to conduct *dangerous liaisons*. Horner understands that Margery

would undermine his strategy by telling the truth, a truth that would show him as a liar and the supreme manipulator that he undoubtedly is. As a result, Horner fails to act even though Margery is obviously available to him should he desire to cuckold her husband.

Therefore, in the final act of The Country Wife Horner shows his feelings toward women when he dismisses Margery and sends her back to her brutal husband. Horner is outwardly impotent and a friend to women, but inwardly misogynist at worst and ambivalent at best. By appearing to accept the patriarchal attitude that sees women as objects to be traded for the advancement of men, he confirms his homosocial status among dominant men. Furthermore, Horner views the act of cuckolding as a social, rather than a sexual act. By cuckolding he can subvert the marital relationship and dominate the husband, even though the husband may not be aware that he has been cuckolded. However, that is the issue, as the husband may never become aware that he has been demeaned in the eyes of his peers. Therein lies the jest and the reason for the illegitimate sexual liaison; the husband's honor is undermined in the eyes of his wife and of his peer group, yet he believes that his honor is still intact. Horner takes pleasure in subverting the social institution of marriage and depriving other men of their value (honor) in this small elite leisured class.

While the traffic in women is the cement that bonds men together, it is male homosocial desire that is the means that men choose to express their social relations to each other and confirm their heterosexuality. Their control over women and their power to exchange them between members of the dominant male group demonstrates to other men and to all women that these men are powerful. Power, dominance, and the ability to control women are facets of their masculinity that cannot be separated from each other. It is the lack of such signs of masculinity that mark Sparkish, Sir Jasper, and Pinchwife as submissive.

The homosocial desire evident in these erotic triangles does not give any indication that there is any element of homosexuality. While Sedgwick contends that homosocial desire is on a continuum that includes homosexuality, the dominant men in these two plays express no interest in performing homosexual acts on their rivals, or subordinates, as the act of non-consensual anal penetration may be seen as the ultimate act of dominance and submission in heterosexual society. However, in The Country Wife, Horner and Harcourt do not attempt this final humiliation on their defeated subordinates Pinchwife and Sparkish. On the other hand, given the equality in status and power between Rhodophil and Palamede in Marriage a la Mode such an act between them would be unthinkable as they are rivals, which presupposes equality. However, no such constraints affect Horner and Harcourt in their relations with Pinchwife and Sparkish. Given that Horner, and to a lesser extent Harcourt, view the sexual act as a social transaction devoid of sexual meaning, there are no moral constraints in carrying their view to a logical conclusion with anal penetration of the feminized men. However, it could be argued that Horner "horns" the cuckolded men in the metaphorical sense. When he penetrates their wives he is in effect penetrating the men's property and, by extension, penetrating the men.

While homosociality is a continuum with heterosexuality at one end and homosexuality at the other, homosociality "promotes clear distinctions between hegemonic masculinities and non-hegemonic masculinities" (Bird 121). In this concept of masculinity non-hegemonic masculinities are ignored, or repressed. Furthermore, according to Britton, masculinity depends on a negative touchstone, with any feminine traits being linked to effeminacy and a consequent loss of dominant status (424). The fear of being labeled as feminine is an effective method for dominant men to exclude some men from the benefits of patriarchy. Therefore, to maintain their place in the hierarchy men will conform to the masculine norms, which include heterosociality, homosociality, and homophobia.

Rhodophil, Palamede, Dorilant, and Harcourt are masculine men who are secure in the knowledge that they fit firmly into the gender roles ascribed to them by their society. However, Sparkish, Pinchwife, Sir Jasper, and even Horner do not fit so securely. The first three are not accepted as masculine men by those men whose opinion of them matters. Therefore, not being accepted as dominant men forces them to go to great lengths to perform their masculinity. Sparkish pretends to have wit, Pinchwife descends to spousal abuse, and Sir Jasper bolsters his own claim to masculinity by disparaging Horner's feigned impotence. These three seek to substitute elements of hegemonic masculinity for the whole, but fail and are doomed to perpetual exclusion. On the other hand, Horner occupies an ambiguous place in masculine society. He has the attributes of a dominant male, but his supposed impotence compromises his masculine status. However, he is a master manipulator and uses the constraints of the masculine construct to his advantage.

The two triangulations of desire in Marriage a la Mode work themselves through to a satisfactory conclusion, with each man coming to terms with the other and with their women. However, in The Country Wife only two of the three erotic triangles reach a satisfactory compromise for the participants. While Harcourt and Alithea marry and Horner and the "virtuous gang" reach an understanding, Margery is left in the control of her abusive husband. Where the men were rivals and equal in status the conclusion to the drama sees a happy outcome. However, where dominance and submission are involved, it is the dominant men who decide the outcome. Harcourt and Horner, the dominant men, control the action in this instance and, unfortunately for Margery, she must remain with her husband.

Male homosocial desire provides masculine men with a social outlet that allows them to escape their wives□ company, it confirms their dominant status among men, and it meets their needs for male bonding without compromising their heterosexuality. Furthermore, this masculine group identity allows them to

exclude subordinate men from group membership and provides them with the rewards of patriarchy that includes access to sexual and material goods. Wycherley and Dryden demonstrate through their characters that homosociality supports patriarchy and rewards masculine men.

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MUSICAL PERFORMANCE AND/AS INTELLECTUAL ACTIVITY IN THE MUSIC DISCIPLINE OF THE RESEARCH UNIVERSITY

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ABSTRACT: In an innovative research university, musical performance deserves a place at the table. The divide between Performance and Scholarship has been based upon a misconception of performance as a narrow skill. Performance is arguably as significant an artistic and research activity as the composition of instrumental and vocal music, and can be shown to have a broad base of knowledge with application to musical research, as well as an interdisciplinary connection to neuroscience and cognitive psychology. Exciting new research demonstrates that non-verbal high-level cognitive processes and a large body of detailed musical knowledge play an important role in expert musical performance. This knowledge addresses more than mere motor skills. It includes both traditional declarative music scholarship and a unique and sophisticated procedural knowledge.

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Research on computer-based communication often asserts that the Internet provides an anonymous forum for social interaction between people who have not met in person (Kiesler et al. 1984; Dery 1994; Tannen 1998). Certainly many fascinating accounts show that elaborate Internet masquerade is possible (Turkle 1984, 1995; Hall 1996; Porter 1997). However, assuming that Internet interactions are anonymous to the same degree because they take place remotely through a computer is theoretically flawed. Such an assumption ignores the vast number of linguistic clues about identity that inundate text-based Internet conversation. Linguistic exchanges between non-face-to-face participants often provide important information about interlocutors' identities (Herring 1996; Hall 1996; Tannen 1998; Lange 2003). Specifically, this paper examines how Internet conversation may contain indexical expressions (Peirce 1955) and interpellation strategies (Althusser 1971; Butler 1997) that participants use to discover as well as co-construct social identities. The paper analyzes a specific case study in which a participant who was banned from an Internet community attempts to rejoin using a different persona. The paper examines the linguistic resources that the participants use to identify the "newcomer" as the banned member. In particular, participants launch both verifiable and non-verifiable indexically-based claims to interpellate the newcomer's identity. For example, participants refer to past behavior and accuse the newcomer of "acting like" the exilee (Peirce 1955). They launch an accusation such as "you type like him" that may be cross-checked in previous logs of conversation. Participants also invoke non-verifiable indexical links such as "glaring at" the "guilty" party in the identity dispute. The success or failure of such accusations depends upon how the accused responds. The paper investigates how the accused's defense strategies provide additional social and linguistic resources for his accusers. The exiled member thus facilitates the interpellation of his own identity as a deviant member of the society. Importantly, this paper in no way argues that masquerade is impossible, undesirable, or historically absent on the Internet. Rather, the paper explores how remote interlocutors come to know and make judgments about others using interactive linguistic resources. The paper provides a more nuanced addition to theories of identity and anonymity by examining how identities are socially co-constructed through talk. The implication for further research is that the degree of anonymity in a particular interaction should be treated as a social variable and examined in context, rather than assumed solely on the basis of the medium of the exchange (e.g. computer-based interaction). Further, the paper adds to semiotic theory by showing how the assumed existential concreteness of indexical expressions appears to lend credibility to the interpellation of identity, although the indexicals used are socially constructed in ongoing talk. Finally, the paper demonstrates that identity should not be considered an a priori category that participants bring to an interaction, but rather is an interactional process that changes as talk unfolds (Jacoby and Gonzales 1991; Brubaker and Cooper 2000).

'TIS A PRETTY TOY TO BE A POET": MARLOWE'S FAUSTUS AS THE RENAISSANCE POET-MAKER

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ABSTRACT

The tragedy of *Doctor Faustus*, embodying both "the heroic aspiration of 'Renaissance man'" and his ultimate "subversion through transgression" (Dollimore 122), is Christopher Marlowe's attempt paradoxically to explore *beyond* while constrained *within* the box of "severe Christian orthodoxy" (112). In this at once conventional and unorthodox work, Marlowe, through parody, manages ingeniously to trouble canonical truth within the rigid structure of a morality play. Doctor Faustus, according to the German tale, is a scholar and a voluptuary whose thirst for ultimate knowledge and sensual experience compels him to sell his soul--to him a mere trifle, a ticket to an illusory heaven. Both Faustus's empiricist doubt and sensual being question Christian piety as submission to God's will. Unable to ignore the promptings of the intellect and the lyre, Faustus abjures the submissive soul and subscribes instead to the dictates of the sensual soul. Even with a fearsome God rumbling in the background, Faustus follows a sovereign will of his *own*, which cannot be satisfied within the strictures of Christian experience, but rather, he thought, through the arts of necromancy and ultimately through poetry, through "that high flying liberty of conceit" (Sidney 505). He dares as a human artisan to emulate God, regarded as the ultimate Artist. He wants to attain the transcendent without recourse to God, but

rather through human-derived magic, aided by devils--other imperfect, striving beings who sought an "ungodly" way to live. To this end, Marlowe's play aptly illustrates the Renaissance theory of the poet-maker, celebrating the human imagination. Using rhetorical powers to create worlds that transcend the foul media--the loathsome devils--by which he arrives there, Faustus, the poet-maker, indeed, "gain[s] a deity" (1.1.65).

Doctor Faustus show the courage of not wagering on God. According to Christian dogma,

> any though system not oriented toward Supreme Being was, by definition, 'apart.' Self-differentiation merely isolated man from that Supreme Unity which he was not supposed to be able to attain by himself in the first place. If he aspired solely to what we might now regard as the conditions of his own identity, a man was not 'whole': he was isolated, alone, 'nothing'. (Barroll qtd. in Smith 27)

Faustus defies this very ideology. Yet Faustus will be damned according to the Christian dogma, deemed as Truth. The ineluctable tragedy of Faustus derives from the constraints imposed at once by early modern religious and political ideology, and by the very nature of metaphysical desire. If the End-All is that there is no end--that we cannot know anything except through the lens of human perception and that there is nothing to satisfy endless, changing, complex desire--then Pleasure is all. Yet in the face of perceived despair, Faustus's very act of protest and his sense of wanton play become an end, or goal, of his life. Faustus's single response to both the Christian and metaphysical constraints is rapturous abandonment in pagan lore; his single hope for salvation is unity through nature, not God. Ultimately in both endeavors, Faustus, the aspiring Renaissance man, yearns to soar on the wings of Poesie.

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Newcomb's Problem, the Calvinist Case and the Counterfactual Power Over the Past[1]

Since the first exposition of Newcomb's problem by Robert Nozick in 1969, a lot has been published on the topic[2]. This problem raises a great number of issues in philosophy and decision theory, namely, among others, the relationship between time and rationality, freedom and rationality and determinism and rationality. In this paper, I would like to discuss Jean-Pierre Dupuy's original account of this problem[3]. In order to follow the brevity injunction, I shall restrain my analysis to two decisive aspects of Dupuy's solution, respectively the analogy between the Newcomb problem and the Calvinist case and the concept of counterfactual power over the past, which Dupuy borrows from Alvin Plantinga[4].

The thought experiment can be formulated as follows[5]. There are two boxes, B1 and B2. B1 contains $1,000 and B2 contains either $1,000,000 or nothing. You are given the following choice: either you take B2 or you take B1 *and* B2. You know that a Predictor has put $1,000,000 in B2 *if and only if* he has predicted that you would choose B2 only. Moreover, you are confident that the Predictor is omniscient, in a way that could be compared to what traditional theology considers as "divine omniscience" (Lagueux 1991: 1)[6].

The problem relies in the fact that two principles of action suggest two conflicting paths to the agent. The first path is given by the so-called dominance strategy. Following this strategy, the agent chooses the two boxes, securing his payoff ($1,000 or $1,001,000) without relying on the Predictor's prediction. This strategy is reinforced by the fact that when the agent chooses, the $1,000,000 *are or aren't* in the box and his actual choice seems to have no influence on this state of the world. But a second strategy, the expected-utility maximisation, suggests the other path. Since the agent is confident that the Predictor is omniscient, there are good reasons to believe that he will have successfully predicted the decision, and that picking B2 will pay 1,000,000. Within this argument, the expected-utility is given by "the sum of the payoffs associated with each of the mutually exclusive outcomes times the probability that each will occur" (Brams 1975: 599). As a result, the agent should pick B2 if the probability that the Predictor is correct exceeds 0,500[7].

As mentioned by Dupuy, the conflict between the two strategies comes from the fact that "the state of the world (i.e the fact that $1,000,000 is, or not, in B2) holds a *probabilistic dependence* to the action

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[1] I am greatful to Maurice Lagueux for his comments on earlier versions of the paper.
[2] See, among others, Campbell, R and L. Sowden (eds.) (1985),
[3] See Dupuy (1990); Dupuy (1992); Dupuy (1994).
[4] See Dupuy (1990) and Plantinga (1989).
[5] There are a lot of different formulations of Newcomb's problem in the literature, and slightly different formulations can lead to conflicting solutions and explanation. I rely here on Dupuy's (1990) formulation.
[6] The specific nature of the Predictor's omniscience plays a decisive role in the resolution of the problem, especially when one considers the omniscience as being either an essential omniscience or a *de facto* omniscience. This aspect of the problem is discussed in the last part of my paper.
[7] As a result of the following equation: $1{,}000{,}000p > 1{,}001{,}000(1-p)$. p is the probability the Predictor has predicted correctly the agent's decision.

of the agent but no *causal dependence*" (Dupuy 1990: 6)[8]. Since the state of the world precedes the agent's decision, the latter cannot cause the former without putting forward a causality principle that would let a present event (the agent's decision) cause a past event (the Predictor's prediction). But since the Predictor is said to be omniscient (or at least the agent has good reasons to believe that he is), there is a high probability (to say the least) that he will have successfully predicted the agent's decision. For this reason, the dependence between the agent's decision and the Predictor's prediction can be said to hold a probabilistic relationship but no causal dependence[9].

The originality of Dupuy's discussion resides in the proposition that those contradictory solutions are in fact manifestations of two conflicting conceptions of time, arising from two conflicting types of reasoning[10]. To the dominance strategy corresponds what Dupuy denotes as "the time of history". Within this time framework, the agent considers that some part of the state of the world is, following an ockamian terminology, "a hard fact about the past"[11]. What has been has been and there is no way to make it otherwise, the past is "fixed". In other words, the fact that the money is (or is not) in B2 is a fact "belonging" to the past and there is no way in which the agent can influence this state of the world. Within the second framework, "the time of the project", the actor has a specific kind of influence on some facts regarding the past. Despite the fact that what has been "belongs to the past", the actor has a *logical power to change the past by free action*. This specific influence is a "counterfactual power over the past"[12].

The Counterfactual Power Over the Past

Regarding the conflict between the "utility-maximising strategy" in the time of the project and the "dominance strategy" in the time of history, Dupuy sees that the main problem is that of the agent's free will: if the Predictor is right regarding my choice (in the future), how can I argue that I am still free to chose between the two paths[13]? One could formulate the "incompatibilist argument" the following way[14]:

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[8] My emphasis.

[9] In his 1990 text, Dupuy describes the probabilistic relationship as a "probabilistic dependence". This concept of a "probabilistic dependence" seems problematic. To avoid such a problem I shall speak of a "probabilistic relationship". I have benefited of Maurice Lagueux's commentaries on this point, but the vocabulary transformation is my own initiative.

[10] One should note that those two forms of reasoning are not always conflicting, but Newcomb's problem gives a particularly strong account of a conflict between those two "time frameworks" (Dupuy 1990: 4). Moreover, Dupuy affirms that the 'time of history' is 'more fundamental'. Within this framework, events are "pure beginnings", they do not shed any light on the past whereas in the framework of the "time of the project", the future events are the realization of a 'plan' or 'project' which belong, more or less loosely, to the past. Unfortunately, this complex issue cannot be addressed in this paper.

[11] See Plantinga 1989: 179-210.

[12] Dupuy's borrows the concept of "counterfactual power over the past" to Plantinga (1989).

[13] If the agent is not free, how can I consider any decision „rational"? This issue is crucial for decision theorists and economists.

[14] This argument has been inspired by an argument proposed by Jonathan Edwards in 1745. See Dupuy (1989: 10) and Fischer (1989: 6). The „necessity operator" NSt (p) ought to be read: "p obtains and S is not free at t to

E1: NSt2 (The Predictor believed at t1 that S would do X at t2) [15]

E2: N (If the predictor believed at t1 that S would do X at t2, S does X at t2)

Therefore

E3: NSt2 (S does X at t2)

It seems that E1 expresses adequately the principle of the "fixity" of the past[16] as applied to the Predictor's belief (prediction) at t1. E2 seems to be logically necessary given the fact that the Predictor is omniscient. To accept E3 however, one must accept an inference principle called "principle of the transfer of powerlessness" (Fischer 1989: 6). According to this principle, if 1) S cannot perform an action such that p does not obtain and 2) S cannot perform an action such that *p entails q* does not obtain therefore 3) S cannot perform an action such that q does not obtain.

Dupuy's solution regarding the rational justification of the utility-maximising choice relies on two key notions. The first notion refers to a criterion that allows to distinguish between "hard facts about the past" and "soft facts about the past" (Dupuy 1990: 19. Plantinga 1989: 192). Inspired by medieval theologians such as Ockam and Damien concerned by the compatibility of human freedom and divine omniscience, Plantinga and Dupuy would like to draw a distinction between soft facts about the past and hard facts about the past such that the principle of the fixity of the past applies to the second but not to the first.

Considering the following proposition:

(C1) The Predictor believed at t1 that S would do X at t2 implies (if the Predictor is omniscient)

(C2) S *will* do X at t2

one can see that C2 contains a statement relative to the future. According to Plantinga (1989: 197): "a proposition is not strictly about the past if its truth depends on the truth of propositions about the future" and the principle of the fixity of the past would not be operative for such propositions.

If Plantinga is correct, one could argue that the truth of a proposition such as

E1: NSt2 (The Predictor believed at t1 that S would do X at t2)

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perform any action such that if S were to perform it, p would not obtain" (Fischer 1989: 6) and is a derivation of N (p): "it is necessary that p".

[15] T1 and t2 are two different moments and t1 precedes t2.

[16] Dupuy describes the principle of the fixity of the past in the following way : "what happened can't be changed in an ulterior time. It is within nobody's power to act in such a way that what happened didn't happen".

depends on the truth of a proposition about the future, "S will do X at t2". For this reason, the principle of the fixity of the past can't be used to affirm that such a proposition is irrefutable. Edward's argument doesn't seem to be sufficient to refute the free will of the agent in the case of Newcomb's problem.

But another argument, inspired of Nelson Pike's (1965) incompatibilist discussion, relays the problem put forward by Edwards.

P1: "The Predictor exists at t1, he thought at t1 that S would do X at t2 and it *is* in the power of S *not* to do X at t2" entails (at least) one of the three following propositions[17] :

4.1 S can at t2 bring it that the Predictor had a false belief at t1

4.2 S can at t2 bring it that the Predictor did not exist at t1

4.3 S can at t2 bring it that the Predictor held a different belief at t1

If we consider the fact that the Predictor is omniscient, it seems that neither 4.1 nor 4.3 can be held as true. Moreover, 4.2 can only be held as completely absurd in the context of Newcomb's problem.

The main concept used by Dupuy in his attempt to preserve the agent's freedom of choice, by refuting the validity of 4.3, is a so-called "counterfactual power over the past". In *Temps du projet et temps de l'histoire*, such a power is described in the following terms: "it is within S' power at t2 to act in such a way that the Predictor wouldn't have held at t1 the belief he effectively held" (Dupuy 1990: 16). This power is never exercised – it is a counterfactual power – but it is logically necessary in order to preserve free will. In the context of Pike's argument, such a power is used by Dupuy to demonstrate that 4.3 is not necessarily false, and that the agent is still free[18].

Moreover, such a power gives a strong support to the "utility-maximisation" strategy. The argument goes as follow:

P1: If the agent chooses B2, the Predictor has predicted this outcome.

P2: If the agent chooses B2 and the Predictor has predicted this outcome he has put $1,000,000 in B2.

Entails, in counterfactual logic,

P3: If the agent chooses B2, the Predictor has put $1,000,000 in B2[19].

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[17] See also Fischer (1989: 8).

[18] Plantinga (1989: 187) says a lot more than Dupuy in his justification of the "counterfactual power over the past". He does not see good reasons to accept the following principle, which he says to be necessary to the refutation of 4.3 in Pike's argument : "For any persons S and S*, if at some time in the past S* held a certain belief, then it is not within the power of S to perform any action which is such that if he were to perform it, then S* would not have held that belief then".

[19] See Dupuy (1990: 17). A similar development leads to the conclusion that if the agent chooses B1 and B2, the Predictor hasn't put $1,000,000 in B2.

According to Plantinga, if we are to accord such a power to the agent, we are forced to conclude that not all the hard facts about the past are accidentally necessary[20]. Moreover, one could believe that such a power over the past could annihilate any hopes of ever finding accidentally necessary propositions. But Plantinga puts forward a few accidentally necessary propositions that would resist the counterfactual power over the past. For example, I can't perform an action such as, if I was to perform it, I would never have existed (Plantinga 1989: 205). It is however very difficult to find a diversity of examples of propositions which are not logically necessary and which can escape the counterfactual power, and therefore be accidentally necessary.

In the case of the Newcomb's problem, the two strategies – the distinction between hard facts about the past and soft facts about the past and the counterfactual power over the past – are used in order to preserve the agent's free will. Within the first time framework, the "time of history", the preservation of the agent's free will doesn't require a counterfactual power over the past because the future is more loosely inscribed in the past. Thus, the recourse to the ockamian distinction between hard facts about the past and soft facts about the past is sufficient to preserve the agent's free will and the rationality of the decision. Within the second framework, the "time of the project", the future is inscribed in the past in a hard way. It is impossible to preserve the agent's freedom of choice without the recourse to the counterfactual power over the past: "of course, might say the agent, I was free to act differently than I actually did, but then the past would have been different". The logical consequence of the counterfactual power is precisely to render plausible such a paradoxical affirmation.

The Calvinist Case

In order to support the distinction between the "time of history" and the "time of the project", Dupuy presents what he says to be a "massive example", borrowed from Max Weber. Weber's analysis of the ethical consequences of predestination could be schematised in the following way[21]. As an outcome of God's decision, which has always been and will always be, the souls are separated in two groups. In the first group stand the elected men and in the second one stand the damned men. The men not only ignore to which group they belong before judgement day, but they know that they can't influence in any way God's decision. God however gives them divine indications of their fate through signs of a peculiar sort: hard professional work was seen as being the best way to confirm God's favourable judgement (Weber 2002: 66). The more the Calvinist experiences professional success, the more he is given assurance in God's decision, but since the decision has always been and will always be, the Calvinist can in no way influence the outcome of the decision.

[20] P is accidentally necessary, according to Plantinga, if and only if P obtains at t and it is *not* possible that P obtains and that an agent S and an action A exist such as: 1) S has the power at t or later to do A and 2) if S was going to perform A at t or later, p would then be false (Plantinga 1989).
[21] See Dupuy (1989: 42-46) and Weber (2002: 53-125).

According to Dupuy, this situation may be schematised as a "Newcomb's problem with common cause". Such a problem has the same payoff structure as the original Newcomb's problem, but a common cause *causes simultaneously* the significant benefit (the fact that the $1,000,000 are in B2) and the moderately expensive decision (renouncing to the $1,000 in B1). In the Calvinist case, the divine decree causes both the salvation (or the fact that there is $1,000,000 in B2) and the agent's decision of investing time and energy in his work in order to achieve professional success. This feature of the Calvinist problem does not obtain in the original problem, because the Predictor's prediction causes in no way the agent's decision.

Facing such a problem, the two principles of choice are once again conflicting. Since the Calvinist knows that he is already in a group (the elected or the damned) and that his behaviour has no influence on God's decision, the dominant strategy would suggest him to live a life of exquisite pleasures and sensual delights. If he belongs to the damned, he will at least have lived a pleasurable life (this case corresponds to the case of the two-boxer receiving $1,000 in the original problem) and if he belongs to the elected, he receives both salvation and the pleasurable life (which corresponds to the case of the two-boxer receiving $1,001,000 in the original problem).

In his famous analysis, a reality check leads Weber to the paradoxical opposite result. Weber's thesis is precisely that all the Calvinists (or a huge majority of them) chose to devote their life to their professional activity (*Beruf*) in order to receive the divine signs of salvation. In that case, instead of choosing what seems to be the most rational principle of choice (dominant strategy or two-boxer strategy), the Calvinists opt for the "one-boxer strategy". This outcome surprises Weber himself, as he stresses the fact that despite the "logical" consequence of Calvinism should be fatalism, the aftermath shows that the typical Calvinist has chosen to run after the signs of divine salvation (Weber 2002: 69 n76).

Within the framework of Dupuy's interpretation of Newcomb's problem, this historical occurrence of the dilemma testifies in favour of the distinction between the two concepts of time. While the dominant strategy belongs to the time of history, the expected-utility-maximising strategy would be the result of a reasoning process in the time of the project. As we have seen, the preservation of the agent's freedom of choice requires to introduce a counterfactual power over the past. Once this freedom of choice is granted, the Calvinist's conclusion is as rational as Weber's "fatalism".

Maurice Lagueux's critique

In a paper published shortly after Dupuy's *Temps du projet et temps de l'histoire* (Lagueux 1991), Maurice Lagueux questions the relevance of Plantinga's counterfactual power over the past in the

context of Newcomb's problem. Focusing on the so-called parallelism between Newcomb's problem and the Calvinist case, Lagueux holds that although a counterfactual power over the past can be granted to the Calvinist, it cannot apply in the context of Newcomb's paradox. I wish to present Lagueux's critique shortly before clarifying a certain number of assumptions left unquestioned by the two authors, and propose afterwards a new interpretation.

In order to illustrate the difference between the Calvinist case and Newcomb's problem (with an omniscient predictor), Lagueux introduces a third agent, the inscriptional agent (*agent inscripteur*). The role of this agent is to look in the box after the prediction, but before the agent's decision (at time t1,5), and to inscribe the content of B2 on a sheet of paper. According to Lagueux, such an agent doesn't change anything to the original problem, because it doesn't change the agent's knowledge. In the case of the Calvinist, it appears that such an agent wouldn't have anything to do because "God doesn't leave any trace of his knowledge in the world prior to the Calvinist's decision" (Lagueux 1991: 5).

The difference between the two cases is patent, according to Lagueux, when we consider whether each agent is free or not at the time he is taking his decision. When deciding, the Calvinist is free to choose the *dolce vita*, because such a choice wouldn't contradict any prior state of the world observed by the inscriptional agent (*ibid.*). After his decision, the Calvinist could simply say: "of course it would have been possible to choose the *dolce vita* in which case God would have predicted what I was going to do and would have given me a place within the damned" (Lagueux 1991: 22). To confer the Calvinist such a power wouldn't contradict any prior state of the world, since we don't have any access to God's knowledge prior to the decision.

When discussing Newcomb's problem, we are forced to conclude the opposite. When he is choosing between the two boxes, the prediction is firmly inscribed in the past, on the sheet of the inscriptive agent. If there is a million dollars in B2, one can't pretend that the agent is free to choose the two boxes. If he *actually* chooses the two boxes, one is forced to admit that the Predictor isn't omniscient in all possible worlds, which contradicts the formulation of the problem itself. Thus, it seems that the agent has only one possibility, namely to choose what is written on the sheet of paper.

Compatibilists such as Plantinga and Dupuy could argue that despite the fact that the agent doesn't choose the two boxes if the million is in B2, the agent holds a counterfactual power over the past in the sense that, if he would have chosen the two boxes, the state of the world would have been different and the million wouldn't have been in B2. But one should remember that in the meantime, the Predictor has inscribed his prediction in the world, by putting – or not – the million dollars in the box.

This state of the world is fixed in a hard way and it seems impossible for the agent to choose a different way than the one the Predictor has predicted.

After such a discussion, it seems that Dupuy is facing two alternatives, equally dissatisfying. The first one is to consider that the Predictor is within the same time framework than the agent and the second one is to consider that the Predictor doesn't belong to our temporal scheme, that he is a-temporal. I will now say a little more about those two possibilities.

In the case of the "temporal Predictor", one could say that the action of the Agent (at t2) causes the Predictor's prediction (at t1). However this instance has to be rejected because it implies "backward causality" (from the future towards the past). The only possibility would be that the Predictor has either a perfect knowledge of the laws of nature or has to take arrangements in order to cause the agent's decision. But Dupuy has to reject those two cases since they imply that the agent is not free to act and that any counterfactual power over the past is purely fictive.

The second alternative, would be to abstract the Predictor from the temporal framework, either by saying that he can travel to the future in order to "see" the Agent's decision, in which case he is trans-temporal, or by saying that he is simply out of time, considering the past, the present and the future in an "eternal presence". In such a case, there would be no problem in considering that the agents are free, at t2, to do either. But this doesn't apply to Newcomb's problem because the Predictor inscribes necessarily his prediction in the world, by putting the million dollars in the box. The ambiguity resides in the double-faced temporal character of the Predictor: he is not within our time framework but he has to fix a state of the world within our time framework. Those two cases, Lagueux concludes, are equally unsatisfying for Dupuy and we are thus forced to abandon the recourse to the counterfactual power over the past in the context of Newcomb's problem.

Commentary and "solution"

In the first part of my commentary I will discuss the "parallelism" between the case of the Calvinist and Newcomb's problem and in the second part I will suggest that the disagreement between Lagueux and Dupuy in fact resides in a misunderstanding in the interpretation of Newcomb's paradox. Such a misunderstanding helps however, to gain a better understanding of the disagreements on Newcomb's problem, as it will be pointed out in the conclusion.

In Maurice Lagueux's interpretation of the counterfactual power over the past, the Calvinist is said to hold an authentic power to choose the vice (Lagueux 1991: 17). One could however question the relevance of the counterfactual power in that case. Moreover, Dupuy doesn't refer to the

counterfactual power over the past in his discussion of the Calvinist. The reason is simple. In the original Newcomb problem, it is *because he predicts* that the agent will choose both boxes that the Predictor doesn't put the million dollar in B2. But according to Calvin, nothing guarantees that it is *because* he predicted that the faithful would renounce to the *dolce vita* that God will have saved him. God's reasons are impervious, and what the faithful is looking for in his professional activity is only a *sign* of God's decisions, and not of God's reasons. Thus, this major distinction doesn't authorise any further parallelism between Newcomb's problem and the case of the Calvinist.

Moreover, Lagueux argues that if there is to be any counterfactual power over the past, it has to be held by the Calvinist (Lagueux 1991: 4). But this claim is patently absurd if we consider that God's decision, in that case, *has always been*. God, in the Calvinist conception, embraces simultaneously the past, the present and the future. Thus, it is absurd to consider that the Calvinist has a counterfactual power over the *past*. To be more accurate, one should say that God has the counterfactual power to change God's decision, which has been taken eternally.

But other – and more important – points have to be put forward regarding this debate. As mentioned by Dupuy (Dupuy 1990: 42), the Calvinist case is a Newcomb's problem of a peculiar kind, namely one with common cause. The agent's decision and the big advantage, and not only the latter (salvation), is caused by a common cause (God's decision). In the original Newcomb problem, the Predictor's prediction doesn't cause the agent's decision because the latter ignores completely what is the prediction. But Lagueux argues that some causal relationship is necessary if the Predictor has to be omniscient: "it is hard to see how this knowledge [that of the Predictor at t1 regarding what will happen at t2] could be said to be infallible without God [or the Predictor] taking perfect dispositions [or gaining a perfect knowledge of the laws of nature] in order that, at t2, the agent chooses one action rather than the other" (Lagueux 1991: 16-17).

This subtle transformation wouldn't change anything to the problem if the common cause was unknown prior to the agent's decision. In the Calvinist case, God doesn't leave any certain trace of his decision in the world (except the agent's *disposition* for hard work) and for this reason, we could – according to Lagueux – legitimately invoke a counterfactual power over the past. In Newcomb's problem however, the Predictor, putting the $1,000,000 in B2, settles the state of the world in an irreversible way. From the moment the $1,000,000 is in B2, the agent has absolutely no freedom of choice if the Predictor is really omniscient in all possible worlds. It is what Lagueux wanted to illustrate by referring to the inscriptive agent. But this apparently anodyne "inscriptive agent" transforms, I shall argue, the fundamental structure of Newcomb's paradox. In fact, an important feature of the original problem is that B2 is *opaque*, precisely to preserve the uncertainty prior to the

agent's choice. To reveal, even if only to an inscriptive agent, the content of the box and to join this information to a strong causal determinism denies the agent any freedom of choice.

From this causal determinism combined to this harder inscription of the prediction in the world results a transformation of the original Newcomb problem into a Newcomb problem with common cause. The common cause is the causal order that is to cause both the agent's decision and the great advantage ($1,000,000 in B2). Facing this peculiar kind of Newcomb's problem, there is a large consensus regarding the fact that the dominance strategy is more rational. Dupuy (1990: 39) gives the following reason: "The common cause seems to be more hardly set in the past, and thus more fixed for two reasons: a) the cause is more concrete than a mental event occurring in the mind of an hypothetical Predictor; b) the common cause [the prediction and the fixed causal chain] causes the agent's decision, which is not the case in the original problem, where it is the agent's decision that seems, illusively, to cause the Prediction". For this reason, Lagueux could argue that the dominance strategy is more rational but in so doing, he transforms the problem in fixing more hardly than necessary the reality of the future in the past.

Although I have criticised Lagueux's interpretation of Dupuy's theory, I hold his critique as fundamental in order to understand the dissension between the two concurring principles of choice in Newcomb's problem. I hold Dupuy's basic intuition – that the two principles of choice rely on two different time frameworks – as fundamentally correct. However, the confusion emerging from the Dupuy-Lagueux debate reveals another temporal element of the problem, which has not yet been sufficiently examined. What Lagueux has pointed out concerns the relationship between the Predictor's omniscience and the time framework within the problem takes place. If the Predictor is essentially[22] omniscient and that we don't want to transform the original Newcomb problem into a "common cause Newcomb problem" (as Lagueux does in his critique, I have argued), we have to grant the Predictor some kind of trans-temporal or a-temporal nature. If his knowledge, as I have argued, can't come from a perfect knowledge of the world's causality processes and initial conditions (because the original Newcomb's problem would then become a "common cause Newcomb's problem"), the Predictor has to acquire his knowledge of the agent's decision in some trans-temporal (time travelling or some other obscure kind of foreseeing) or a-temporal (the Calvinist God) way. Thus, we can in no way confer a "counterfactual power over the past", since the prediction doesn't belong only to the past, or doesn't belong to the past at all.

If we want to preserve the agent's free will and the original Newcomb problem, we are left with the following possibilities:

1. The Predictor is omniscient, but he is either trans-temporal or a-temporal

[22] „Essentially omniscient" means „omniscient in all possible worlds".

2. The Predictor is omniscient within our time framework but not essentially. His omniscience is rather accidental[23].

Accepting 1., one could argue that the utility-maximisation decision is rational, just in the way Dupuy has done to justify the Calvinist's decision. It is worth noting that such a justification doesn't require any counterfactual power over the past, because the decision doesn't belong strictly to the past. The agent thus takes B2 and wins $1,000,000.

Within possibility 2., I believe that the rational decision is to pick both boxes. In that case, this choice is dictated by the essential uncertainty regarding the future. The Predictor being accidentally omniscient, he does not predict correctly in all possible worlds. Thus, there is no firm ground on which we ought to choose only B2. We are left with the dominance strategy[24].

Those two mutually exclusive possibilities require a reformulation of Newcomb's problem in order to suppress any ambiguity. Is the Predictor within our time framework, or trans-temporal, or a-temporal? As I have showed, the issue of the time framework determines the nature of the Predictor's omniscience. For realistic reasons, I think that we must locate the Predictor within our time framework, and abandon the Predictor's essential omniscience in the case of the original Newcomb's problem.

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[23] Those two possibilities are compatible with Dupuy's two time frameworks.

[24] There is still a debate among philosophers regarding the rational decision in the case of an accidentally omniscient Predictor but the solution on which I am here proposing is largely accepted by the interpreters. It is Nozick's solution in the first text published on the problem (Nozick 1969; Dupuy 1990).

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Title: Righteous Resistance: The Religious Roots of Nonviolence in Martin Luther King and Mohandas Gandhi

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Abstract: Over the past several years, much has been made of the role of religion in creating and sustaining violence. Connections between terrorism, hatred, and religion have become the common fare for discussions in the popular media. As a result, little has been said about the relationships between nonviolence and religion. This paper will examine the religious foundations of nonviolent resistance in the ethics of Martin Luther King and Mohandas Gandhi. In the development of their theories of nonviolent resistance, both Gandhi and King utilized elements of their own religious traditions to formulate their vision of nonviolence and its practical expression. Employing concepts such as God, love, and suffering, Gandhi and King offered nonviolence as a way to transform both individuals and societies, and to break the cycle of violence that each saw as immoral and counterproductive. Gandhi and King employed religion as a means to unify rather than divide people through an emphasis on the ethical consequences of belief rather than focusing on specific doctrinal formulations. Gandhi's notion of truth and King's vision of the beloved community arise out of their religious sensibilities and serve to ground their theories of nonviolent resistance

ABSTRACT

The Status of Black Practitioners in the Media of Post-Apartheid South Africa.

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ABSTRACT

The Status of Black Practitioners in the Media of Post-Apartheid South Africa.

Apartheid was abolished in 1994, and South Africa has been undertaking several strategies and processes to help redress the past inequities against the black population. The media were among the areas where changes were needed. In 2001, the government established the Media Development and Diversity Agency (MDDA) to address racial imbalances in the media, and to give the disadvantaged black population more opportunity. Changes have been taking place though slowly, in black employment in mainstream media.

I was invited to join a study mission of a select group of 13 U.S. journalists and mass media educators through the People to People Ambassador Programs started by the late President Dwight D. Eisenhower some 45 years ago, to take a look at the South African media, ten years post-apartheid. My primary interest was to assess the status of blacks, the most disadvantaged group, 10 years after the elimination of apartheid. I traveled to Johannesburg and Cape Town, the two most metropolitan cities in South Africa, the former being the unofficial financial and commercial capital, and the latter, the official legislative capital, as a first phase for a qualitative, participatory-observation study of the media landscape in relation to black practitioners.

I obtained preliminary information from meetings and interviews in open forums with representatives from the department of journalism and mass communication at a major university in Johannesburg, South African Broadcasting Corporation (SABC), newspaper, and magazine corporations, the National Community Radio Forum, community radio stations, and the Institute for Advancement in Journalism. The information was then synthesized and analyzed.

Proceedings Submission

1. Title of the submission:
   The Artistic and Intellectual Dimensions of Chinese Seal: Ding Jing's (1695-1765) Seal Engraving and Its Signification of the Elite Identity in Eighteenth-Century Hangzhou

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6. Abstract:

Seal engraving is a highly developed yet much understudied form of Chinese art. Few people have any idea how to appreciate the beauty of a seal's imprinted image, let alone grasp a comprehension of the subtlety and complexity of these multi-faceted objects. More than simply tools used to imprint one's presence (commonly ownership) on a painting or work of calligraphy, seals are carefully designed works of art that express a variety of cultural and personal values. The subject of this paper, Ding Jing, was capable of deepening the bonds between himself and the recipients of his seal through his practice of "seals-as-gifts" because the seals he made served as vehicles confirming the values and identities shared between him and his friends. The purpose of this paper is to explore the process of, first, how Ding Jing developed his own artistic and intellectual vocabularies of seal engraving; second, how Ding Jing's self-image was embodied in his seal; and third, the recipients' identification with Ding Jing as well as the shared values embraced by this elite circle in the eighteen-century Hangzhou.

The Artistic and Intellectual Dimensions of Chinese Seal: Ding

Jing's (1695-1765) Seal Engraving and Its Signification of the Elite Identity in Eighteenth-Century Hangzhou

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I. Seal as Embodied Image of the Owner vs that of the Seal Engraver

(ppt.# 1) A seal, by definition, can be repeatedly functioned as a tool for reproducing images of certain written words or representational graphics,[1] normally intended to be affixed to an object to attest to its authenticity.[2] Written records show that as early as the second century the concept of *yinzhe xinye,* or seal as credibility had fully evolved in Chinese society,[3] based on which the impression of a seal signifies the pronouncement of the physical presence of the seal owner.[4] Most of the seal engravers before the eighteenth century were either anonymous or remembered only as the producers of seal who did not necessarily have a personal relationship with the user of the seal.[5] (ppt.# 2) However, the subject of this paper, Ding Jing, was capable of deepening the bonds between himself and the recipients of his seal through his practice of "seals-as-gifts" because the seals he made served as vehicles confirming the values and identities shared between him and his friends. Due to his eminent position in the intellectual circle in eighteenth-century Hangzhou, Ding Jing's seal engraving embodied his intangible cultural and intellectual prestige. His seals carried a unique sense of symbolic connotation specific to him as the seal maker. The recipient of the seal, in this case, no longer treats the impression of the seal as merely his emblematic presence, but also identifies himself with the seal engraver through using this seal. The recipients of Ding Jing's seals took pride in owning and using the Ding seals because they all knew that Ding Jing engraved seals exclusively for his friends as a sign of intimate interpersonal relationship.[6] The impression of a seal by Ding Jing is accordingly a visual pronouncement of the bond between the seal owner and the seal maker, hence a sign of the seal owner's entry to the privileged social circle headed by the seal maker. In this light, the traditional conception of the impression of a seal as the credibility of the seal owner is aggrandized because the seal also symbolizes

the seal owner's identification with the seal maker. The purpose of my paper is to explore the process of, first, how Ding Jing developed his own vocabularies of seal engraving; second, how Ding Jing's self-image was embodied in his seal; and third, the recipients' identification with Ding Jing as well as the shared values embraced by this circle.

II. The Artistic and Intellectual Dimensions of Ding Jing's Seal Engraving

(ppt.# 3) A native of Hangzhou, Zhejiang province, Ding Jing was honored with the posthumous appellation as the first of the Eight Masters of Xiling[7] or the founder of the Zhejiang school of seal engraving.[8] In fact, he was also an erudite scholar, collector of art and antiques, who excelled also in epigraphical scholarship, poetry, calligraphy, connoisseurship of art, ancient bronzes and stones, and rubbings from stelae. Ding Jing's epigraphical scholarship culminated in his writing *Wulin Jinshi Lu*, a systematic study recording the inscriptions attached to ancient metallic and stone monuments located in the city of Hangzhou. His profound experience with ancient writings was one of the major factors that enabled him to develop his personal style of seal engraving.

In one of his *Twelve Poems Discussing Seal Engraving*, Ding Jing maintains that creativity is a flexible concept and experience resembling the transitory and mutative nature of the cloud.[9] He opposes "strict" adherence to the canon established by the Yuan

dynasty scholar-artist Wu Qiuyan (1272-1311), which emphasized the study of the Han tradition of seal engraving.[10] By looking at a few examples of seal engraving by Ding Jing, we can understand how he incorporated elements of the Han tradition and other sources of inspiration into his art of seal engraving.[11] (ppt.# 4) The image on the left is an example of Han seal executed in a mode known as the "*manbai*," which literally means "full-white." It refers to the extremely bold white strokes against the red background space in the impression of intaglio (*baiwen*) seal. The image on the right is an intaglio seal engraved by Ding Jing employing the same stylistic principle of expanding the white spaces and minimizing the red spaces. The square character structures of the seal-script writings in both seals are modified from the standard *xiaozhuan*, or lesser seal script, to fit into the shape of a square seal. Ding Jing, however, injected enormous vitality to his seal with a strong personal touch as shown by the modulated character strokes, which tellingly remind the viewers that they are looking at natural handwriting as opposed to abstract or mechanical patterns. (ppt.# 5) Moreover, Ding Jing's notion of flexibility as creativity can be understood by how he simplified certain radicals in the Chinese characters. The image on the left is an excerpt from the classical authority of Chinese etymology—the *Shuowen jiezi* (*Analysis of Characters as an Explanation of Writing*), written by the Eastern Han scholar Xu Shen (ca. 58-ca. 147), indicating that the standard seal-script character for *shui*, or water, should be written in a form consisting of five curvilinear strokes. Ding Jing, nevertheless, drastically simplified them into only three dots in a way that obviously conforms more to the conventions of the clerical (*lishu*) and the standard (*kaishu*) scripts. Apparently, Ding Jing intended to achieve an overall sense of harmony through his effort of synchronizing the number of

vertical strokes in the upper and the lower registers of this seal. This is a perfect example illustrating how Ding Jing's creativity surpassed the stiffness of the authority of etymological principles. (ppt.# 6) Here is another comparison between the Han seal (the one on the left) and Ding Jing's (the one on the right). Both are executed in the mode of relief legend (*zhuwen*) in the so-called *miaozhuan*, or sinuous seal script, which is distinguished by the repeated angular turns within the square-shaped characters. Ding Jing's adaptation of the Han seal elements in this case embodies a twofold innovation. First, his willful manipulation of the void spaces creates a suggestion of certain kind of breath circulating in a route shaped by an imaginary triangle, rendering the composition of this seal much more lively than that of its model. Second, this is an example showing the hallmark of Ding Jing's carving technique known as the method of "broken knifing and short cutting" (*suidao duanqie*), by which the contours of a stroke are carved in a consecutive and short chop-and-lift motion of the blade. The painstaking effort involved in creating a deceptively simple line is noticeable in the coarse and oscillating contours and frequent breaks in the strokes. These vivid marks of the blade, in a sense, enable the audience to relive every motion in Ding Jing's seal engraving process, epitomizing the self-expressive aspect of Ding Jing's art of seal engraving.

(ppt.# 7) In addition to the various modes of the Han seal, the round-relief script, or the *yuanzhuwen* was often used by Ding Jing to create seals in relief legends. (ppt.# 8) The image on the left is the impression of a seal engraved by the eminent Yuan dynasty scholar-artist Zhao Mengfu (1254-1322). Characterized by the fluid thin-and-wiry brushwork, Zhao Mengfu adapted his graceful brushwork from the so-called

"jade-chopstick" style of seal script (*yuzhu zhuan*) which is often associated with the style of the Tang calligrapher Li Yangbing's lesser seal-script writing. (ppt.# 9) An undated seal by Ding Jing (on the right) shows his earnest study of Zhao Mengfu's style. We can easily notice that both seals share the feature of thin and wiry curvilinear strokes and the almost identical compositional strategy in which characters of the same size are diagonally juxtaposed. Ding Jing nevertheless employed his unique technique of "broken knifing and short cutting" to create a slight suggestion of ruggedness to counterbalance the willowy and graceful air of the ethereal brushstrokes. This represents Ding Jing's most unique articulation of the enigmatic aesthetics of *guxiu*, or archaic elegance. (ppt.# 10) Another example of Ding Jing's seal engraving, reading "Qishizhai," or Studio of Enchanting Stone, illustrates how Ding Jing created variations in the round-relief script. By recreating the original brush-and-ink fluency of his calligraphy in this seal, Ding Jing clearly showed the audience his exaggeration of the lift-and-press (*ti-an*) technique in his draft-writing. By using a hard and sharp seal-engraving knife to carve the ironically soft and graceful strokes that capture the essence of the brush, Ding Jing demonstrated how he broke through the parameters of his Yuan dynasty predecessor, fully exploring the reciprocity of his calligraphic brush (*biyi*, or ideas of the brush) and carving knife (*daoyi*, or ideas of the knife).[12]

(ppt.# 11) On the other hand, Ding Jing endeavored to apply the knowledge derived from his own epigraphical studies to his seal engraving. Taken from epigraphical materials like rubbings from newly excavated stelae, stylistically and aesthetically unusual Chinese characters were often adapted as integral constituents of Ding Jing's

designs of seal. (ppt.# 12) Here is an example showing that Ding Jing borrowed two characters from a calligraphic inscription housed in a local monastery named the Heavenly Dragon Temple (Tianlongsi). The image on the right is the rubbings from the three sides of this seal showing Ding Jing's own inscription, in which Ding told the recipient of this seal Liang Tongshu (1723-1815) that he purposefully made a trip to the site to make a rubbing from the tablet exhibiting the two characters *shan* and *zhou* written by a Yuan dynasty literati calligrapher Guan Yunshi.[13] It should be noted that visiting ancient monuments or archaeological sites and to make rubbings from stelae or tablets were important aspects of the intellectual life of Ding Jing as a scholar of epigraphy. Therefore, traces of Ding's endeavor to incorporate his epigraphical study to his seal engrarving unquestionably engender a strong scholarly overtone in his works.

III. From Self-Image to the Emergence of the Elite Identity in Eighteenth-Century Hangzhou

(ppt.# 13) Ding Jing resolved not to pursue an official career throughout his entire life. He was so high-minded that he did not hesitate to decline the recommendation for him to take the *boxue hongci* ("broad learning and vast erudition"), a special official examination held in 1736, reserved for those with a high scholarly reputation.[14] Historians found that a great number of nominees were eager to enter into officialdom through this irregular channel.[15] Therefore, Ding Jing's refusal of the privilege to sit for the *boxue hongci* examination brought him more prestige in the literati circle. In fact, he

was rather contented, maintaining his social status as a *buyi*, or commoner, and making his living by selling wine.[16] On account of his contempt for the fame and material well-being that an official career would offer, Ding Jing has long been honored with the lofty name of the "*yinjun*," or a reclusive gentleman.[17]

(ppt.# 14) Ding Jing's two seals in intaglio, one reading "Longhong weishi Ding Jingshen yinji," the other reading "Longhong shanguan," can well represent two perfect examples explicating how he endeavored to monumentalize his self-image by pronouncing his style name and studio name in the form of tangible images: he adopted the sobriquet Longhong to identify himself with the famous Tang dynasty scholar-recluse Ding Fei, a native of Hangzhou who was recorded to have lived close to the Longhong Grotto.[18] On the other hand, the Longhong Grotto was famous for the ancient writings inscribed all around the site.[19] Ding Jing, as a scholar of epigraphy, carefully studied these inscriptions and documented them in his scholarly writing *Wulin jinshiji*.[20] Adopting the name of this specific monument as his sobriquet, Ding Jing implicitly revealed himself as both a recluse and a scholar of epigraphy. Therefore, each impression of these seals well represents Ding Jing's own proclamation of his dual identity as a recluse and scholar of the epigraphical study.

(ppt.# 15) Painted by the famous Yangzhou artist Luo Ping (1733-99), the life portrait of Ding Jing is the most telling manifestation of the process of how Ding Jing's self-image as a recluse and scholar transformed into a discursive space of public opinion.[21] Presented in profile, Ding Jing is wearing a simple and crude outfit,

bespeaking his non-official or reclusive persona.[22] Luo Ping's portrayal of the wild setting, in which Ding Jing is seated on a rock, leaning on a staff and wearing a pair of simple yet sturdy shoes, actually depicts Ding Jing's persona as a scholar of epigraphy in the midst of his lifelong practice of stele-visiting in the wild. This can be verified by Ding Jing's two regulated poems in response to Luo's painting, mounted to the left of the painting, in which the second poem expresses Ding Jing's thankfulness to Luo's thoughtful gift of a pair of palm fiber shoes to help him with the scholarly activities of stele-visiting in the mountains. Upon the request of Luo Ping, one of the audiences of this painting, the great poet Yuan Mei (1716-1797), inscribed a poem on the mounting above the painting, expressing his imagination that Ding Jing is peering at a stele which implicitly points to Ding's achievement in epigraphical scholarship.[23] Moreover, Yuan Mei also specifically pays homage to Ding Jing's reclusive lifestyle, addressing him as the hermit who transcends the world. Over time, the dichotomy of Ding Jing's reclusive and scholarly image has been repeatedly reasserted in the form of written words attached as visual images on the mount of this painting.[24]

It is not surprising that in the eyes of the audience, the seals engraved by Ding Jing always embodied a strong sense of pride associated with the duality of Ding's self-image. Since Ding Jing's biographers repeatedly tell us that Ding only engraved seals for his close friends, a seal engraved by Ding Jing could certainly serve as a medium for its recipient to boast about his association with Ding Jing. (ppt.# 16) A seal in relief reading "Yangzhou Luo Ping," was one of the three seals that Luo Ping received from Ding Jing in 1762, three years before Ding died. (ppt.# 17) The impression of this seal on Luo

Ping's painting and calligraphy would in a sense remind the audience of Luo's association with the cultural pillar in Hangzhou, hence in all likelihood enhanced the artworks's cultural value. (ppt.# 18) In 1778, thirteen years after Ding's death, Luo Ping requested his best friend Dong Xun (1740-?) to copy and yet reduce the size of this particular seal from one inch to three-quarter inch.[25] This indicates that Luo Ping desired to have Ding Jing's unique style of seal engraving, which is characterized by Ding's most personal touch of the technique of the broken knifing and short cutting, affixed to his paintings of a smaller size. In other words, Luo Ping attempted to relive Ding Jing's symbolic presence in more of his paintings even when Ding Jing had long passed away.

Apart from Luo Ping, the duality of Ding Jing's image was particularly cherished by his associates who were basically a group of elite frustrated with pursuing an official career and yet finally capable of securing solace in scholarly research, poetry or art. (ppt.# 19) Li E (1692-1752) and Hang Shijun (1696-1773), for example, were two such recipients of Ding Jing's works of seal engraving. The seal impression on the left, reading "Taihong" (Li E's style name) was a work dedicated to Li E while the one on the right, reading "Dazong" (Hang's style name) was to Hang Shijun. Perhaps a brief biographical account of these two bosom friends of Ding Jing below will help us understand how their friendships were shaped by their shared values. A native of Hangzhou, Li E was considered the authority of the study of the Southern Song dynasty, one of the key figures in the literary circle of his time, and was known as the leader of the Zhejiang school of poetry. He obtained his *juren* (provincial graduate) degree in 1720, which was his first step of ascending from civilian poverty to the potential prospect of an official career. He

was recommended to sit for the *Boxue hongci* examination of 1736 due to his poetic accomplishments, but he failed to pass because of a minor mistake he made in his examination paper. After another failure in an attempt to be selected for magistrate appointment in 1748, he devoted his remaining years to poetry and scholarly research, counting on the patronage of various individuals.[26] As for Hang Shijun, he was lucky enough to squeeze into officialdom, but he was also a perfect example that shows the vulnerability of the career of a civil servant. He passed the *Boxue hongci* examination of 1736 with the honorable place of the fifth of the first class, and was appointed compiler of the Hanlin Academy assisting in important literary projects. Unfortunately he offended some senior officials perhaps due to his outspoken acts. He was eventually dismissed and never took office again. Hang then turned his attention to poetry and scholarly research, and became well-established in Hangzhou and Yangzhou.[27] Obviously, both of the said two friends of Ding Jing were capable of assuming a high degree of focus on their scholarly and poetic pursuits only after their detachment from their dismal official career paths. Therefore, Ding Jing, as a close friend in their native place who earned his success and prestige exclusively by scholarly, literary and artistic pursuits as opposed to the more conventional official track, was a true soul mate to them. It is not surprising that both Li E and Hang Shijun repeatedly showed deep admiration to Ding as a recluse and scholar in their literary works. Unquestionably, the shared values within Ding Jing's circle were the primary force that motivated Ding Jing to create such a kind of seals-as-gifts. Used by the recipients in a number of different circumstances like stamping right after their signatures on paintings, calligraphic works and letters, the seal created by Ding Jing in turn confirms these individuals' identification with the duality of Ding Jing's self-image. To conclude,

Ding Jing's seal engraving not only epitomizes his unique approach of synthesizing a wide range of earlier models of seal engraving, epigraphical inspirations and his unique engraving technique, but also serves as a vehicle defining the boundaries of his intellectual and social life, hence the elite identity in eighteenth-century Hangzhou.

Notes

[1] In China, apart from the written words (i.e. Chinese characters), other forms of graphics including auspicious animals and the illegible signature-like characters or symbols know as *huaya* were adapted as designs for the motif of seals popularly used in the Han (206 B.C.-A.D. 220) and Yuan dynasties (1260-1368).

[2] Evidence shows that as early as the fifth century B.C., seals were used to produce clay impressions to seal written documents for security reasons. See *Chunqiu zhengzhuan, juan* 28,17b-18a.

[3] Cai Yong, *Duduan*, *juan shang*, 3b. See also Tao Zongyi, *Shuo Fu*, *juan* 11 *shang,*10b.

[4] To impress a seal means that one is, on the one hand, willing to fulfill his or her obligations in whatever capacities; on the other hand, entitled to exercise his power and authority. The emperor in the imperial China, for example, could enact a decree by impressing his seal on it while an official could exercise authority once he possessed an official seal (*guanyin*). The bipolar symbolism of seal is particularly embodied in the official seal. The Eminent Eastern Han philologist Xu Shen wrote: "Seal [or the impression of a seal] refers to the credibility held by he who is in office." *Suowen jiezi*, *juan* 9 *shang*, 13a. See also Chen Xiangdao, *Li Shu*, *juan* 57, 13a-b.

[5] Although the unprecedented *Biographies of Seal Engravers* (*Yinren zhuan*) by Zhou Lianggong (1612-72), the eminent connoisseur of art and collector of seals and seal books, signifies the rise of the status of the seal engravers in the late Ming and early Qing periods, little is known about the relationship between the seal engravers and the recipients of their seals. Zhou Lianggong's *Yinren zhuan* records 64 biographies of seal carvers starting with Wen Peng (1498-1573) and lists in the attachment the names of 61 seal carvers whose biographies were not known. Moreover, it discusses about styles and theories of the seal carvers involved. For a discussion on Zhou Lianggong's association with the seal carvers in the late Ming and early Qing times. On Zhou Lianggong and his glorification of the seal engravers in his time, see Xiao Gaohong, 342-58.

[6] Han Shijun, *Ding yinjun zhuan*,1a.

[7] The Eight Masters of Xiling — Ding Jing, Huang Yi (1744-1801), Jiang Ren (1743-1795), Xi Gang (1746-1802), Chen Yuzhong (1762-1806), Chen Hongshou (1768-1822), Zhao Zhichen (1781-1860) and Qian Song (1818-1860) — was a

posthumous grouping first mentioned in the "Preface to *Seal Book of the Eight Masters of Xiling* (*Xiling bajia yinpu*)" written in 1867 by Ding Bing (1832-1899), the famous nineteenth-century Hangzhou bibliophile and preserver of his native cultural relics; and was further consolidated by the publication of the *Selected Works of Seal Carving by the Eight Masters of Xiling* (*Xiling bajia yinxuan*) in 1907 by his grandnephew Ding Youren (better known by his other name Ding Ren and his *zi*, Fuzhi) who took great pride in collecting 72 seals by Ding Jing and was one of the founders of the Xiling Seal Engraving Society (established since 1904). In fact Ding Bing's approach of grouping eight native Hangzhou seal carvers across generations was a continuation of that of his predecessors—— He Yuanxi (1766-1829) and He Shu (father and son) who jointly collected impressions of the seals carved by Ding Jing, Jiang Ren, Huang Yi and Xi Gang, and compiled the *Seal Book of the Four Masters of Xiling* (*Xiling sijia yinpu*, published around the 1800s), which is still extant now and was first reprinted by the Xiling yinshe in 1979 and last (3rd edition) in 1999; and Mao Geng (?-1861) who compiled the *Seal Book of the Six Masters of Xiling* (*Xiling liujia yinpu*) perhaps slightly later, which consists of works by Ding Jing, Jiang Ren, Huang Yi, Xi Gang,Chen Yuzhong and Chen Hongshou, with an inscription entitled "Ti Zengbu Mao Xitang shouji Xiling liujia yinpu," written by Wei Xizeng (?-1881) in 1862.

[8] Representing efforts of modern researchers and critics to fulfill their need to categorize artists, the Eight Masters of Xiling are often referred to as members of the the Zhejiang school (Zhe *pai*) of seal carving, because they were all natives of the city of Hangzhou, Zhejiang Province. For general accounts of the "foundation" and "developments" of this "school," see for example Xia Weijun, 8-9; and Ye Yiwei, 1-19. One should not be confused by the term Xin Zhe pai, or the New Zhejiang school of seal carving, which refers to a group of twentieth-century Zhejiang seal carvers.

[9] Ding Jing, *Yanlin Shiji*, *juan 1*, 20a. According to Qin Zuyong (1825-1884), 2b, this poem was engraved by Ding Jing as the *biankuan*, or inscription carved on the sides of the seal, reading "Jing Nong," dated 1742, which was carved upon the request of his old friend Jing Nong. Ding Jing mentions in this inscription that the poem was composed thirty years ago. Therefore if Qin Zuyong's record was correct, this poem was written in

1712 when Ding Jing was seventeen years old.

[10] Wu Qiuyan established the canon by his pioneer effort to promote the Han tradition of seal carving in his *Book of Learning from Antiquity* (*Xuegu bian*, 1300), the first book on the art of seal carving which has long been treated as the classic of its kind and adopted as a manual of seal engraving. This book was used by Wu Qiuyan himself as a textbook to teach his students how to design the draft for a seal (i.e. how to structure the Chinese characters in seal script in a confined space). See Huang Dun, 13.

[11] There has long been a tendency of critics to comment arbitrarily on the Han "style" of seal. In fact, the term "Han seal" can only be used as a generalized description for the historian's purpose of differentiating the seals produced in the Han dynasties from seals made in other eras. In fact, the Han seals can be categorized by a number of ways. Functionality, for example, renders a straightforward approach to perceiving the iconography of different types of seals such as the *guanyin*, or official seal; the *siyin*, or private seal, *laomayin*, or horse-branding seal; and *jiyuyin*, or auspicious saying seal. Different situations in which these seals were made rendered different kind of treatments or designs for the seals. For instance, some of the legends of the *jiangjunyin*, or general/commander seals were spontaneously engraved immediately after the swift appointment of generals to empower them to command in instant battles, while horse-branding seals are generally big. Sometimes, the Han seal is classified by material such as bronze, jade, gold and silver. The different methods to handle the materials, including bronze casting and engraving techniques, also caused stylistic variations of the writings in the impressions of these seals. Moreover, different types of script such as the *miaozhuan*, or sinuous script and the *niaocongzhuan*, or bird-and-worm seal script were adopted in Han seals, and within these script types, there were many stylistic variations. For a general study of the Han seal, see Sun Weizu, "Hanyin lun," in his *Kezhai lunyin xingao*, 40-60. For a stylistic study of the Han seal, see Wang Xingyi.

[12] The terms "ideas" can be more explicitly translated as "touches" or "suggestions."

[13] See Liang Tongshu, *Yanlin shiji xu,* in Ding Jing, *Yanlin shiji*, preface, 1b. For a biography of Guan Yunshi, see *Zhejiang tongzhi*, *juan* 194, 6b. For early documentations of Guan Yunshi's works of calligraphy and commentaries on his calligraphy, see Chen Ji ,

*juan xia,*39b; *Yuding Peiwenzhai shuhuapu*, *juan* 79, 64b-65a; and Ni Tao, *juan* 357,10b-11b.

[14] Throughout the Manchu regime, only three such examinations took place: the *boxue hongru* ("broad learning and great scholar") of 1660, the *boxue hongci* of 1736, and the last in 1903. They were irregular channels through which successful candidates could entered into officialdom.

[15] Meng Sen, "Jiwei cike luwai lu, 494.

[16] For biographical accounts of Li E, see *HZFJ*, *juan* 94, 22a-b; and Hang Shijun.

[17] According to a number of sources written by Ding Jing's contemporaries as well as later writers, Ding Jing has long been refereed to as "*yinjun.*" See for example Li E, *Fanxie shanfang ji*, *juan* 5, 21b-22a; Han Shijun,1a; and Ni Tao, *xubian*, *juan* 6, 8b

[18] For a biography of Ding Fei, see *Xianchun Lin'anzh*, *juan* 69,5a-5b.

[19] See for example those documented in Ni Tao, *juan* 110.

[20] Ding Jing, *Wulin jinshiji*, *juan* 8, 8b-9a.

[21] This painting bears a seal script (*zhuanshu*) title "Portrait of Mr Ding Jingshen."

[22] For a stylistic analysis of this painting and the related issues including the nature of portrait representation and the commemorative function of a portrait painting, see Richard Vinograd, 101-6.

[23] This poem is collected in Yuan Mei, *Xiaocang shanfang shiji*, *juan* 27.

[24] Two examples are the inscription by the late nineteenth- to early twentieth-century artist Wu Changshou on the mounting below the painting and the biographical essay on Ding Jing written in the twentieth century on the mounting above the portrait.

[25] For a biography of Dong Xun, see Wang Qishu, *juan* 4, 6a.

[26] Quan Zuwang , *Jieqiting ji*, .*juan* 20, 7b-8b. For biographical accounts of Li E, see *HZFJ*, *juan* 94, 22a-b; and *ECCP*, 454-5

[27] See Fang Chao-ying's biography of Hang Shijun in *ECCP*, I, 276-7. See also *HZFJ*, *juan* 94, 25b-26a

Glossary

Baiwen 白文
biankuan 邊款
biyi 筆意
boxue hongci 博學鴻詞
boxue hongru 博學鴻儒
buyi 布衣
Cai Yong 蔡邕 (133-192)
Chen Hongshou 陳鴻壽 (1768-1822)
Chen Ji 陳基
Chen Xiangdao 陳祥道

Chen Yuzhong 陳豫鍾 (1762-1806)
Chunqiu zhengzhuan 春秋正傳
daoyi 刀意
Dazong 大宗
Ding Bing 丁丙 (1832-1899)
Ding Fei 丁飛
Ding Ren 丁仁 (*zi*, Fuzhi 輔之)
Ding yinjun zhuan 丁隱君傳
Ding Youren 丁友仁
Dong Xun 董洵 (1740-?)
Duduan 獨斷
Fanxie shanfang ji 樊榭山房集
Guan Yunshi 貫雲石
guanyin 官印
guxiu 古秀
Han Shijun 杭世駿
He Shu 何澍
He Yuanxi 何元錫 (1766-1829)
Huang Yi 黃易 (1744-1801)
huaya 花押
Jiang Ren (1743-1795) 蔣仁
jiangjunyin 將軍印
Jieqiting ji 鮚埼亭集
jiyuyin 吉語印
Juren 舉人
kaishu 楷書
laomayin 烙馬印
Li E 厲鶚
Li Shu 禮書
Li Yangbing 李陽冰 (ca. 730-790)
Liang Tongshu 梁同書 (1723-1815)
lishu 隸書
Liuyi zhiyi lu 六藝之一錄
Longhong shanguan 龍泓山館
Longhong weishi Ding Jingshen yinji 龍泓外史丁敬身印記
Luo Ping (1733-99)
manbai 滿白
Mao Geng 毛庚 (?-1861)
Meng Sen 孟森
miaozhuan 繆篆

Ni Tao 倪濤
niaocongzhuan 鳥蟲篆
Qian Song 錢松 (1818-1860)
Qijia yinba 七家印跋
Qin Zuyong 秦祖永 (1825-1884)
Qishizhai 綺石齋
Quan Zuwang 全祖望
shui 水
Shuo Fu 說郛
Shuowen jiezi 說文解字
siyin 私印
suidao duanqie 碎刀短切
Taihong 太鴻
Tao Zongyi 陶宗儀
Ti Zengbu Mao Xitang shouji Xiling liujia yinpu 題增補毛西堂手輯西泠六家印譜
ti-an 提按
Tianlongsi 天龍寺
Wang Qishu 汪啓淑 (1728-1799?)
Wei Xizeng 魏錫曾 (?-1881)
Wen Peng 文彭 (1498-1573)
Wu Qiuyan 吳丘衍 (1272-1311)
Wulin jinshiji 武林金石記
Xi Gang 奚岡 (1746-1802)
Xianchun Lin'anzhi 咸淳臨安志
Xiaocang shanfang shiji 小倉山房詩集
Xiaozhuan 小篆
Xiling bajia yinpu 西泠八家印譜
Xiling bajia yinxuan 西泠八家印選
Xiling liujia yinpu 西泠六家印譜
Xiling sijia yinpu 西泠四家印譜
Xu Shen 許慎 (30-124)
Xuegu bian 學古編
Xu yinrenzhuan 續印人傳
Yangzhou Luo Ping 揚州羅聘
Yanlin Shiji 硯林詩集
Yibaizhai gao weiji 夷白齋稿外集
yinjun 隱君
Yinren zhuan 印人傳
yinzhe xinye 印者信也

Yuan Mei 袁枚 (1716-1797)
Yuanzhuwen 圓珠文
Yuding Peiwenzhai shuhuapu 御定佩文齋書畫譜
yuzhu zhuan 玉箸篆
Zhao Mengfu 趙孟頫 (1254-1322)
Zhao Zhichen 趙之琛 (1781-1860)
Zhe *pai* 浙派
Zhejiang tongzhi 浙江通志
Zhou Lianggong 周亮工 (1612-72)
zhuanshu 篆書
zhuwen 朱文

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Abbreviations

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HZFZ *Hangzhou Fuzhi* 杭州府志, *Qianlong* ed. *XXSKQS.*

MQYRZ *Minqing yinrenzhuan* 明清印人傳. Hong Kong: Boyazhai 博雅齋, 1977.

SBBY *Sibu beiyao* 四部備要, Juzhen fang Song ban congyinben 聚珍仿宋版重印本 (Shanghai: Zonghua shuju, 1934)

SKQS *Yingyin Wenyuange Siku quanshu* 景印文淵閣四庫全書 . Taipei: Taiwan shangwu yinshuguan, 1983-1986.

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1. Title of the submission.

Design Exchange: A cultural exchange experience through an intensive study aboard program in Taiwan

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Design Exchange: A cultural exchange experience through an intensive study aboard program in Taiwan

An Experimental Exchange Program
between Auburn University and Shu-Te University

Sponsored by

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Abstract:
With the growing technologies in information, communication and transportation, the world seems getting smaller. Cultures have become closer and more interactive. Understanding other cultures has become a must in life. As we live through this transition of this global setting, providing our students an opportunity to learn about the lifestyle and thought process of people from other lands would more adequately prepare them for their future career. It is even more critical for design students since design has become more and more universal and cross-cultural.

Exposure to new cultures, experiences and communication challenges can be accomplished by providing opportunities for students to travel and live in other countries, learning design with students of that country.

After a year of preparation and lots of paper work, with tremendous help, hospitality, and generosity of Shu-Te University, as well as the sponsorship of the Minister of Education / National Cheng Kung University Trend Goods Design Educational Resource Center, the experimental exchange program was born and became reality. Nine students from Auburn University Industrial Design and I visited Shu-Te University in Taiwan for seven and a half weeks, living and learning with Taiwan students and faculty. This is the first attempt in Taiwan's history to have a group of US industrial design students visiting a school in such manner.

This paper is a report of the details of the program and some observation and reflections for the improvement of future exchange.

I. INTRODUCTION

With the growing technologies in information, communication and transportation, the world is getting smaller. Cultures have become closer and more interactive. Global village has become an often used term to describe today's world. Understanding other cultures has become a must in life. As we live through this transition of the global setting, providing our students an opportunity to learn about the lifestyle and thought process of people from other lands would more adequately prepare them for their future career. It is even more critical for design students since design has become more and more universal and cross-cultural.

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After a year of preparation and lots of paper work, with tremendous help, hospitality, and generosity of Shu-Te University, as well as the sponsorship of the Minister of Education / National Cheng Kung University Product Design Education Resource Center, the Experimental Exchange Program was born and became reality.

On May 14, 2004, a group of nine students from Auburn University left their comfort zone for a foreign land, Taiwan. A land they have never been, a land they will spend seven and a half weeks to live, and to learn design in class settings with national students, and a land that will leave a permanent memory in their lives.

On May 16, the nine Auburn students and myself (Tin-Man Lau) arrived Shu-Te University. Shu-Te students have already been waiting for our arrival. Frank, Chyun-Chau Lin, a lecturer of Shu-Te and the key person who took care of most details of the program, with the aids of Shu-Te senior class students of the Product Design program, had arranged in advance Shu-Te students in groups to take care of each Auburn student. Auburn students (four females and five males) were divided into four rooms with several roommates from Shu-Te.

Figure 1. Group picture taken upon arrival of Shu-Te University

Figure 2. Official reception ceremony given by Shu-Te University

II. PURPOSE OF THE PROGRAM

A. Cultural Exchange

The ultimate purpose of the program is to expose both student groups (Auburn and Shu-Te) to their counterparts' lifestyle, value system, religion, and general matters in life. The program is to create an environment for the students to experience first hand how other people live. They are to learn about the counterparts' culture such as custom, tradition, mythology, and even religion. This can be achieved by allowing the two groups of students spend time together in daily activities even outside the classroom. The goal is to help students from both schools to learn and understand the culture of their counterparts and to respect and appreciate the differences.

B. Design Exchange

The second purpose of the program is to provide an opportunity for both student groups to learn how their counterparts design so that they might learn something new in terms of methods, approach, and even thought process. This can be achieved by mixing both groups of students in design teams so that they can learn how their counterparts design and think in terms of design skills, as well as design process. Hopefully, both students are more prepared to face the challenges brought by the trend of globalization. Although language and expectation may be barriers in the communication process, students are required to work together as teams and are forced to express their ideas by all means.

C. Teaching Exchange

The third purpose of the program is to make it possible for students from both schools to attend classes taught by the counterparts' instructors. The advantage is that students are exposed to more views of design in terms of theory, approach, and class contents. Instructors can also learn about the differences between the two groups of students that might stimulate new thoughts on teaching approach, or at least bring freshness into the regular classroom. This can be achieved by plugging Auburn students in Shu-Te regular classes, and Shu-Te students attend a class taught by Auburn faculty.

D. Language and Thoughts Exchange

The last but not the least, is to provide an environment for both student groups to naturally learn how their counterparts thinks and reasons. From daily interactions within and without the classroom, the two groups exchange ideas, thoughts, and even languages. This experience cannot be replaced by classroom teaching. Students learn about the background, thought process, and how things are expressed in other language.

Because of the interactions among students from both schools, both schools will gain mutual benefit from the program. Besides abovementioned exchanges, students would stimulate one another in a constructive way. Positive competition between schools would help students be more serious about their profession. Moreover, as students spend time together not only in classroom but also in extracurricular activities, a network has been created, a network of friendship that will last for lifetime.

III. DESCRIPTION OF THE PROGRAM

A. Preparation

Preparation of the program took around a year. The first step of preparation was getting approval from both schools. Since the two schools had no previous established relationship and are operating under different systems, administrations of both schools had to go through some written agreements to establish mutual understanding of the program, as well as all the logistics of the program. Besides the agreement signed by the authorities of both schools, there were numerous setup procedures involved in the process such as setting up accounts with the bursar office, preparing a budget for the program and for individual student, setting up billing schedule, working closely with the Office of International Education of Auburn University for travel approval and travel insurance, etc. Orientation meetings for students were held approximately once a week in the semester before leaving. The Office of International Education also held several orientation meetings for the group before leaving.

Shu-Te University, the host school, on the other hand had created a system to host the Auburn students in a very special way. To maximize the exchange experience, Auburn students were signed up to live in dormitory rooming with Shu-Te's students. After several discussions, two Auburn students would room with three to four Shu-Te students. Besides the rooming arrangement, Shu-Te came up with a three-tier system to aid the Auburn students. Since language and getting around in the beginning were the biggest challenges, Shu-Te students were arranged to accompany Auburn students not only during class time but also during daily activities. The three-tire system had three groups of students who would take turns to accompany the Auburn students. So anytime in the day, there would be always a group of Shu-Te students available to assist the Auburn students.

Shu-Te University also had prepared classes that Auburn students could plug in and learn along with the Shu-Te students. Upon the gracious and generous Shu-Te faculty was the extra load of teaching the nine Auburn students. Because of this arrangement, Auburn students had the opportunity to attend classes that were not available in Auburn's program.

The whole exchange program was divided into five parts, i.e. the design studio class; craft classes; the design theory and model making class; visiting design firm, design schools, design conference, and manufacturers; and tour of Taiwan and sightseeing. The following is a detail description of the each part that is mentioned above.

B. Design Studio Class

Students of the design studio class were divided into nine groups. Each Auburn student was assigned to team with four to five Shu-Te students to work on a specific product design project. Each group was required to develop a product from scratch. Out of the 9 teams, two teams worked on redesign of a desk lamp. Four teams worked on redesign of a three-wheel toy, two teams worked on a body support device for children with cerebral palsy, and one team worked on a design for the International Bicycle Design Competition.

Although the schedule was pretty tight (seven weeks), students were working in full-gear to meet each due date. Each student was required to complete the listed number of sketches and mock-ups. However, the reports and the full scale models are required to be done in group effort.

Class instruction was mainly in English because Auburn students have no knowledge of Chinese language at all. Moreover, it is a training opportunity for the Shu-Te students to practice their English in real life situation. Each student was required to present in the three scheduled presentations totally in English. However, during group discussions, sometimes we needed to blend in Mandarin in our conversations to make sure points get across and were unmistaken.

At the end of the project, each team was required to document the whole design process with a final report that included the research, development, and final result. During the process, a large amount of work (over 550 sketches and 120 scale models) were produced on the top of nine full scale test models and eight final models. Unfortunately, one of the Auburn students had to leave early because of family emergency; we ended up with eight projects at the end.

1. Idea Sketches

After the preliminary research of the product and related information, students spend about two weeks sketching and making mockups. As mentioned before, there were over 550 sketched generated in this short period of time. It is an evidence how students are motivated in the program.

2. Concept mockups

As students were developing concepts with sketches, they were also required to build scale models to illustrate their concept in three-dimensional form. As mentioned before, there were about 120 mockups built in the short amount of time.

3. Full scale models

Each team was required to build a full scale model to check how the design is like in full size. The purpose is to make sure the design would work ergonomically as planned. Since the main purpose of these models is to reveal the design in full size, they were not necessarily built in the same materials as specified for the final products.

4. Final Models

Each team was required to build a final model with similar materials and colors to the final concept. All except the project for the bicycle competition were in full scale. With help from model shops and hard work of students, the results were quite satisfactory. Although these were not the best model, considering the short period of time of the program, the result is commendable.

Figure 3. Final designs

C. Craft Classes

Auburn students were plugged in craft classes that Shu-Te offers. These craft classes include ceramics, glass work, metal work, and Chinese painting. Although there might be some language barrier, the craft instructors were very helpful to the Auburn students.

Figure 4. Craft classes

D. Design Theory and Model Making Class

The design theory and model making class was a class offered only for Shu-Te students from sophomore, junior, and senior levels. The class was mainly on design theory, review of curriculum of the industrial design in Auburn, industry sponsored projects at Auburn, as well as

some model making skills. Although the content of the class is a combination of different aspects of industrial design, the purpose of the class is to introduce to students different views of design and practice. The class meets three hours every week and most of the time was spent on lectures and discussion concerning design issues. Although the class was not a mixed class with students from both schools, it was a class offered to Shu-Te students by Auburn faculty.

E. Visiting Design Firm, Design Schools, Design Conference, and Manufacturers

During weekends and sometimes week days, Auburn students accompanied by Shu-Te students visited several manufacturers and design firms through which students learned first hand information of the profession as well as the culture of Taiwan. Students also attended several design conferences and learned about the academic areas of the profession.

Figure 5. Tour of design firm, factory, and school

F. Tour of Taiwan and Sightseeing

All classes in the program were scheduled on Mondays to Thursdays. During Fridays, Saturdays, and sometimes Sundays, activities such as baseball game, shopping trips, movies, city tour, and sightseeing, were arranged for Auburn students with accompany of Shu-Te students. Even during trips, students from both groups interacted naturally. The purpose of these activities was to expose Auburn students to the Taiwan culture, and in the same time, interact with the Shu-Te students in an informal way. On these trips, watching the two groups of students become one was very rewarding.

Figure 6. Sightseeing

IV. OBSERVATIONS

A. Communication

It was enjoyable to see both student groups trying very hard to communicate with their counterparts in the beginning. Not knowing much about one another, at first communication was not going on at ease. Both student groups had to struggle not only with language barrier but also with customs and expectations. Out of my expectation, most students did not give up. Many of them try everything they can to express their concepts. Some use sketch books, some use

dictionaries and digital translators, while others use more body language. Facial expressions and gestures become exaggerated at times to get points across. We believe everyone had learned that trying to communicate was not as easy as they thought earlier. Since a good designer should be a good communicator, it is exciting to watch design students on one hand trying by all means (applying their creativity) to communicate, and on the other hand learn that it takes effort and patience to understand one another.

B. Reasoning and expression

Owing to the differences in cultures, backgrounds, and the social system they grew up within, students from both schools categorically show differences in way of thinking, reasoning, attitudes, manners, as well as behavior. Taiwan students overall are more shy and hesitate to voice their opinions. They are very polite and respectful but sometimes being viewed as timid. American students are bolder in voicing their opinions. Sometimes making their thoughts known is more important than the validity of their thoughts. It is observed that some Shu-Te students have opened up more through the few weeks of classes. It may be because they have been challenged by the way Auburn students act in the classroom.

C. Co-operation

All design teams worked well as a group, but some are more cohesive than others. Students seem to work together very well with good results from both in-class discussions and outside class working on assignment. Some groups divide their tasks evenly to work independently and meet periodically, while some groups always worked together as a group in the workroom. It was a valuable scene to see students from both schools working together even staying up late in the work room to get the job done. We periodically visited the work room and always found students working together. We believe this is an excellent experience for the students from both schools. Through the few weeks spending time together, the unease atmosphere has been replaced by laughter and sense of belonging. One unusual phenomenon happened in the classroom almost every time, i.e. students enjoy staying and work on design project to the point that many would stay in the classroom even after the three, and four hours of class period. Sometimes we had to remind them that class is over. It is very unusual for students to stay overtime. We assume that students enjoyed the interaction and working together so much that they have all developed a commitment to the project and to the group. The ties among the students we believe were the reason for the success of the program with satisfactory visible result.

D. Hospitality and Generosity

Shu-Te University has set an excellent example to their students in being the best host. Students were placed in the best dormitory on campus with air-conditioned rooms, bathroom set, and high-speed internet connection. The rent that Auburn students had to pay is almost amount to nothing. I personally am very grateful that I was provided a room by myself for free, as well as a fully equipped office at the department. Shu-Te administration had been so gracious to the point of altering bed length for our taller students. We were allowed to use almost all the facilities on campus. As we arrived, we plugged our students in Shu-Te's regular crafts classes. All instructors not only allow us to do so but also spend extra time to teach our students.
Students from Shu-Te University have also shown their hospitality and generosity in every way possible. Never in any occasion have I found hostility towards the Auburn students. It seems to me that Shu-Te students enjoyed being the host. Obviously they did not do it just because they

have to, but they want to. I constantly heard from my students how grateful they are to the Shu-Te students for their hospitality. Shu-Te students are very cohesive as a group and took the responsibility to help planning and arranging outside class activities. I am extremely thankful to those students who constantly stand by to help me and my students. Without them, this program will not be successful. If education is more than passing down skills, and I believe it is, Shu-Te has proved to be successful in education by cultivating such a group of young people who are willing to take the responsibility and to make things happen. I especially am grateful for Winnie Wen-Yu Hsu, a Shu-Te student assigned to assist me organizing the program. Without her availability and diligent work, being a helper to the students and to myself, this program will not be as successful.

E. Trust level

From hesitations and doubts to trust, we observed the progress. Both student groups have committed themselves to their new friends and classmates as much as to the program. As Shu-Te students going to places with Auburn students, we witnessed the trust level being built up. Although backgrounds and cultures are different, language being an obstacle in communication, it is encouraging to see the trust built up among these two groups of students, a trust that has been tested and a trust that has been earned. And it is a trust that will go on and bring better understanding and acceptance to one another.

F. Network of friendship

Before the end of the program, many students from both groups have expressed that they would miss their new friends once the program is over. Several Auburn students indicated they want to come back to Taiwan. Many Shu-Te students are invited by the Auburn students to come to US. Several Shu-Te students have expressed their interest to study in Auburn in the future. Unknowingly and unplanned, a new network has been established, a network of friendship and a network of academic and professional relationship. This network would help students from both schools to have a broader view of the world, more respect to people from other lands, and to continue the friendship in the future.

VI. EVALUATION

A. Accomplishment

When it comes to evaluation, it is easy to focus on the visible results of the design studio class and other crafts classes and judge if these results are of top quality in terms of design. Unavoidably, because of our profession and background, it is hard not to subjectively pay our attention to the design aspect. And undoubtedly, the quality of the final design from the design studio and the work done in the crafts classes could be good indicators of how successful the program is in terms of design. However, especially for this program, the process of the program is more important than the visible results. The main accomplishment of this program should be the invisible quality of the program, i.e. the positive outcomes brought by the day-in day-out interactions among the students from both schools. After all, design education is not just passing down skills but to cultivate a generation of designers who are capable to survive in the global village with understanding and acceptance of one another so that hopefully better our living environment. With the abovementioned understanding, we tempt to evaluate this exchange program in the following aspects.

1. How well students have learned from one another.
   This is not limited to design skills but also how things are done differently and how other people think, as well as how people treat one another. We have heard many positive comments from both groups specifically on how much they have learned from their counterparts such as drawing skills, decision making, independence, determinant, etc.

2. How well students dealt with cultural differences.
   As students from both schools met, there was a cultural shock. Expectations, living habit, customs, tradition, diet, religion, thought process, and reasoning are different. How both groups of students dealt with their counterparts in a positive way was critical to the program. We have observed students adapted to their counterparts' culture very well. For instance, Auburn students would use chopsticks for their meals, trying to order food by developing their system. While Shu-Te students also have adjusted themselves such as hugging, and using expressions in English.

3. How much students have learned about other culture and respect the differences.
   The most encouraging part of the program is the students from both groups did not build any wall between them but constantly express their appreciation and respect to the counterparts' culture and the differences. Honestly my first worry was that the students might have resistance against one another. After all, there was no resentment built up as far as we know, among the two student groups.

4. How well students have learned to care and help one another even they are of different cultures.
   It is comforting to see that when a student was in need, others would always help with no hesitation. When Auburn students got sick or not feeling well, I witnessed how Shu-Te students showed their care and offered help with no hesitation. Since Auburn students were guests and foreign to Taiwan, Shu-Te students had gone over their ways to make sure Auburn students are accommodated. I constantly heard grateful comments from my students about how much Shu-Te students have done for them. In return, I also watched that Auburn students have tried all the means to show their gratitude and care for the Shu-Te students. Instead of calling this an exchange program, sometimes we felt that we were trying to build an international family.

5. How well students communicate besides verbal language.
   It was amazing to see how students communicate with one another among the Auburn students and Shu-Te students. Since we by design put several Shu-Te students to team with one Auburn student, every team had to use English as their verbal language to communicate. The reality was that there was language barrier. Communication was obviously a problem in the beginning. However, it was interesting to see students use a lot of sketches, and body language, facial expression, and even sound to get their points across. Sometimes these means got exaggerated to a point that was funny. The overall atmosphere has become very joyous and playful.

6. How well students could work and perform in a cross-cultural setting.

As the students were working in team on the design project, we periodically visit their work room and observe how things were going. Under all the differences mentioned before, it was amazing to see the final designs came together. Compared with regular design classes, they did a pretty good job in such a short period of time. Several students had mentioned to me that they did have to spend a lot of time in getting points across. However, the end results did not reveal much of their struggles in the process. We think it is fair to say that both Shu-Te and Auburn should be proud of their students that performed so well in this program. Each piece of final design was a physical evidence of how well the students performed in the cross-cultural setting.

7. How well students could develop a lasting friendship among one another.
   During the last few days of the program we had overheard many times that students would say to their counterparts how much they would miss them. As mentioned before, several students have mentioned to me they want to come back to Taiwan. Several Shu-Te students expressed that they want to visit Auburn or study at Auburn. These are evidences of a friendship being built and there is an invisible tie in between. We are sure the friendship that has been developed will last for a long time.

8. How much students enjoy cross-culturally hanging out with one another.
   At first we were worried that two groups of students would only be meeting in the classroom. We did not expect that students would actually hang out all the time, not because they had to, but they wanted to. It was funny to have my students to show me around which restaurant has good food, because they had gone to places that Shu-Te students had taken them. Several Shu-Te students expressed to me how much they enjoy the program and hanging out with the Auburn students.

9. How well students learned design skills from one another.
   Since our profession is industrial design, of course we should not overlook the design skill aspect. Design skills such as sketching, model making, problem solving, documentation, 3D computer skill, and even 2D layout were being shared among the two groups constantly. As they work together, they learned from one another. If it were not the team effort, none of the final models would look even close to how they look now. With the combination of strengths in knowledge and skills among the team members, most teams generated the best outcome of the team.

10. How well students learned to adjust and adapt to inconvenience and maintain positive attitude.
    It is easy for Auburn students to compare their living standards back in US with what they get in Taiwan. It would not be fair to compare the living quality only by physical and materialistic circumstances. I wish I could say all Auburn students have adjusted and adapted to the inconvenience (not necessarily the physical location of Shu-Te but the constant mental comparison of US and Taiwan). However, from my observations, most students adjusted and adapted well. It does not mean that they enjoyed that part of adjustment or adaptation but were willing to take it in a positive way. I have several students mentioned to me that they were set to prepare to live out of their comfort zone to experience and to learn so that they can grow as a person. This kind of attitude had

enabled most of them to enjoy this trip and made it a memorable experience. Very likely this was the reason why several Auburn students had expressed that they wanted to come back even next year if this program continues.

There may be more aspects we could look into to in terms of evaluating the achievements of the program. Personally, being one of the people who planned and started the program, the abovementioned achievements is sufficient to support the continuation of the program. It would be a loss to both Auburn and Shu-Te, in a narrow sense, to discontinue the program. The continuation of the program will surely benefit the students who were involved. The learning experience will go for a long way.

B. Improvements

Since this is the first time ever for Auburn students to come to Taiwan as an exchange program, there are many experiences we can learn from. Although we have an Ireland program for several years, the nature of the program is totally different. This program is focused on design interaction, team work, and cultural exchange, in addition to tour and sightseeing. Some Auburn students hold a negative attitude as they just arrived and have been judgmental in everything. It could be because there are so many things unfamiliar and the students are just not ready for that. If we are going to have the program again, a Chinese class and also a detail introduction of the program in the semester before leaving will be very helpful so that students are more prepared psychologically and emotionally.

To the Shu-Te students, the program is run on the top of their regular class load. On one hand they want to work on the project of the program, but on the other hand they have to fulfill their responsibilities of their regular classes. Because of the situation, only the students from the senior class can fully attend the whole program. If the program contents can be scheduled into one of the regular classes, it might be helpful to some students who really want to join the program and benefit from it.

Because of the location of the Shu-Te, transportation is a problem for the Auburn students. Owing to the numeral dump-trucks constantly running on the main road, and the traffic of the road, Auburn students were not allowed to ride on motorcycles. This had been an issue for several weeks that they kept protesting for the permission of riding motorcycles. It would be helpful if a rental van is available to mobilize the Auburn student group.

For some Shu-Te students, they need to practice their English. The proficiency level of English in the group who participate the program varies a lot. Some can speak fluent English, but a few cannot even read fluently. However, it would be inappropriate to restrict students from participating the program based on their English proficiency. A positive way is to encourage and emphasize the importance of English in their curriculum. Next year, students who plan to join the program would have more motivation to learn English since they have seen the results of this year's program.

VII. CONCLUSION

Seven weeks had gone very fast. There were many people working behind the scene to make this program happened. I am extremely grateful to the hospitality and generosity of Dr. Yuan-Hsiang

Chu, the President of Shu-Te University that has gone over their ways to accommodate us in everyway. I also want to express my thanks to the Shu-Te faculty and students for their friendship and their help to the Auburn students in many ways. Finally, I also want to express my appreciation for the support and sponsorship of the Minister of Education / National Cheng Kung University Trend Goods Design Educational Resource Center. Without all these helps and supports, this program would not be successful. The achievements and success belongs to all the abovementioned entities. Hopefully, this is just a beginning of exchange and co-operation between our schools and between our countries.

Environmental Education in Kenya: Attitudes of Secondary Teachers and Students as Indicators of Environmental Awareness and Initiative throughout Formal Education

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Environmental Education in Kenya:

Attitudes of Secondary Teachers and Students as Indicators of Environmental Awareness and Initiative throughout Formal Education.

Abbreviated:

Man and Nature

In one sense, education induces a personal connection to and relationship with knowledge. As a result, learning offers one the ability to increasingly manage or control his or her surroundings by applying retained information. Students climb an intellectual ladder where comprehension is the lowest cognitive level of ability, surpassed by analysis and eventually synthesis or creativity.[3] Indeed, some of the most creative humans have developed ways to recognize and control environmental factors that once commanded respect and provoked fear. With today's weather forecasts, vaccines, reinforced shelter, material comforts, emotive communication and mainstream science, humans arguably direct fear and respect toward each other more than the physical environment as an independent force.

Generally, external morality and ethics – manifest as our perceptions of storms, earthquakes, famine, disease, birth, death, etc. – varies based on the most pervasive stage of human civilization. For instance, most communities now consider epidemics and other diseases and disorders preventable accidents, whereas in pre-scientific ages they were looked at as divine punishment for human wickedness. Thus, ethics swiftly transforms

from the emphasis on the general moral duty of righteous living to the specific moral duty of seeing that scourges do not occur.[4]

According to Aldo Leopold, a foremost naturalist philosopher, humans responded to this changing relationship to nature and developed modes of cooperation or "symbiotic relationships," the most advanced examples being politics and economics. These institutions allowed people to exploit each other in an orderly way and with a measure of expediency, he wrote in 1933. And furthermore, "the complexity of these cooperative mechanisms increased with population density and the efficiency of tools."

As population grew, expediency faded as the sole reason for social organization and religions and other ideals such as democracy served as frameworks for the conscious justification of modern cooperation schemes, he wrote.

Leopold's provocative philosophy emerged in the early 20th century; yet, it retains a contemporary feel when he posits "there is no ethic dealing with man's relationship to the land and to the non-human animals and plants which grow upon it."

Today, countless documents recount extensive and stark environmental degradation arguably caused by human activity. To involve such information in this paper would strain its focus. In any case, let it be known that the author of this research studied ecosystems in highly-degraded rainforest of Central America. And this personal history results in unavoidable bias.

Doubtless, humans are now awakening to the idea that the environment deserves more respect, among us economist Herman Daly, who is quoted in the book *Natural Capitalism* to have said, "viewing the economic process as a disembodied, circular flow of value between production and consumption is like trying to understand an animal only

in terms of it's circulatory system, without taking into account the fact it also has a digestive tract that ties it firmly to its environment at both ends."

Future generations will face the above fact more than any before them and with a deep understanding of their environment, they will be better prepared to respond to problems rather than react to them out of fear and uncertainty. That said, formal education is a key way to inculcate such an understanding among the populous because it's so pervasive, a super-culture of sorts – the great majority of the world's people feel that, today, education is the most powerful existing force for bringing improvement and change. [15]

Where are we?

Kenyans are no exception. Almost any street or dinner conversation will prove that Kenyans consider education the key to a brighter future. And the recent bill to supply free education at primary-school level is a manifestation of Kenyans' faith in education.

But one must ask if today's system of education in a region of such cultural and biological diversity – Kenya comprises at least 42 ethnic groups and is a well-known ecological giant – is a manifestation of local intentions now or at the time of independence. Specifically, in 1968, the Conference of African Educators was held in Nairobi, where the following objectives emerged:

Education works "to create an awareness and an understanding of the evolving social and physical environment as a whole; its natural, manmade, cultural, spiritual resources, together with the rational use and conservation of these resources for development." [16]

So what are Kenyan students learning about their local social and physical environment? This question compels thought as the unemployment rate in Kenya stands at around 40 percent of the population, according to the most recent 2001 statistics; this is down from 50 percent in 1998. [19]

Even still, what does it mean to be employed in Kenya? Certainly, unemployment rates in this case are ambiguous considering recent local trends. Specifically, after almost 30 years of notably corrupt governance, the socio-economic condition of Kenya is largely a remnant of rapid implementation of infrastructure during the colonial era. And this infrastructure cannot provide jobs for people who cannot afford, and, as will be explored by this research, access the education or technical training to create more locally based industry and jobs (see appendix B, interview with William Zhan).

Beyond the colonially established city centers, the workload involved in subsistence agriculture and land management by rural residents likely evades mention in formal documentation and is, by many accounts, branded a lowly occupation. In consequence, we see people loitering in seeming protest of such low-paying positions, a stark advertisement of wasted human resources and talent.

Along the same lines, a cultivated awareness of the benefits of work ethic and partnership regarding resources, versus the obvious trend of outright pillaging for immediate fiscal gain on the same lines, would do much to establish a base for social and environmental welfare in Kenya. This point becomes clear when charcoal traders stack bags of burned trees in the back of trucks – a popular and lucrative industry especially in rural areas – yet may not understand the relationship between this activity and the flooding and desertification of lowland areas. To be sure, the lack of knowledge and

motivation to work cooperatively with the environment results in what appears to be hasty business practice and laziness.

"We may say that if homes and communities perpetuate such traditions and values as are not conducive to work, the productivity in the nation will ordinarily be at a low ebb, in spite of the physical resources of the country." [16]

The Problem

For now, Kenya's overall literacy rate is 82 percent, [18] and there's a 69 percent enrollment rate at primary level. These statistics show room for improvement, yet without jobs or a sense of purpose, Kenyans may question the emphasis on education unless the focus involves the direct surroundings and empowers students to work therein. As it stands, many Kenyans consider themselves fortunate to become expatriates.

"The need for evaluation of education is especially urgent in Africa as the countries are grappling with the task of evolving new and truly relevant systems of educational development. It is essential that continuous mechanisms for the evaluation of curriculum projects and other educational innovation be established in order to aid decision making." [3]

In 1967 the term environmental education was first coined in the United States.[3] And in 1975, 120 representatives from 65 nations gathered in Belgrade to discuss environmental, developmental and educational issues. A noble cause to be sure, yet environment inevitably changes meaning with location. Specifically, the effects of a centrally-designed syllabus, as is the case in Kenya, on satellite and alien territories is questionable unless firm efforts to cater to local realities are made. In fact education in

Kenya, by many accounts, resembles the classical, rote-style, educational system from the UK (see appendix B, interview with William Zhan).

Proponents of environmental education like Dr. R.C. Sharma, author of *Environmental Education*, denounce rote learning – a trend founded on memorization and unquestioning belief—as an archaic approach to human development, "an inheritance of the medieval system of education."

Rote learning ensures that the student's understanding of material is replaced by their cramming of facts. In partnership with rote learning, Sharma says, rule teaching does much to further confuse the natural learning process.

"Accordingly, grammar and syntax, which are a collection of rules, were taught before language, prosody before poetry, and multiplication tables before fundamental mathematical operations. This sort of teaching was contrary to the fundamental nature of the child, for it involved learning inferences, abstractions and conceptions without an acquaintance of the concrete and tangible properties of things."

The above quote is poignant and the heart of this research.

Of course, classical modes of education work in developed countries because they, if not directly then nearly, link with countless societal niches of employment. Yet even then, classical models provoke criticism from teachers and students who, over countless conversations with the author of this study, have said they feel constrained by the weight of grading schemes, which do much to pressurize the learning environment and stunt the creative growth of individuals.

Kenya, on the other hand, while not a haven of industrial infrastructure, is a superpower of biodiversity [1]and an agricultural giant. Yet upcoming generations of

Kenyans, inundated with western influence and western style education, still tend to stigmatize rural and agricultural employment with good reason: there is no intellectually derived value placed on this work that correlates with anything "advanced, shiny or new" about the western world.

The basic tenet of ecology, and the notion upon which the trend of globalization depends, is the idea that everything is somehow connected to everything else. So, practically, through education, one would hope to gain not only an idea of this connection through reading, but also a sense of one's realistic orientation within this connected web of life.

The fact is that in the midst of ensuing resource scarcity, due to rising populations and environmental mismanagement, Kenyan's may throw a louder voice in the global market if they can knowingly assert the value of their local environmental assets.

"As it stands, when environmental resources are under-priced, there is little incentive on anyone's part to develop technologies that economize on their use. The effects of this misleading discount will vary from country to country. Poor countries inevitably have to rely on the flow of knowledge produced in advanced industrial economies. Nevertheless, poor countries need to have the capability for basic research." [6]

So as Kenya's educational curriculum may prepare students in a classical way, they arguably place horse blinders on students who are surrounded by tremendous human advantage.

"The assets that fall in the conscious shadow of modern economic dogma are likely to be different from those in advanced industrial countries, especially for non-traded goods and services. Even when it is publicly available, basic knowledge is not

necessarily usable by scientists and technologists, unless they rely on basic research. Ideas are often transplanted to the local economy; whereas they ought, instead, to be modified to suit local ecological conditions before being adopted. Adaptation is itself a creative exercise. Unhappily, as matters stand, it is often bypassed." [6]

Again, as was stated in the first paragraph of this study, evaluators of education argue that creativity or "synthesis" is the ability marking the highest level of cognitive functioning. Without an understanding of ones environment, a person may feel they lack creativity to make an actual difference in their surroundings when really they don't have the tools to begin with.

A perfect example of this, in the late 90s, Dr. Ibrahim Ali, national coordinator for the Wildlife Clubs of Kenya, conducted as study involving around 100 students at a Kajiado school. In this study, he asked the students "what do you want to learn about conservation?"

"Students became people in search of knowledge," he said, "they said, 'we want to go to this park, we want to interview this guy, we want to see this park ourselves.'"

"Why did we do it?" he continued, "Because we realized that most students didn't appreciate anything ecological or environmental education as it was set up in a classical fashion. Nobody asked 'can we be taught this?' or 'can this be taught differently?' This kind of dynamic changed the pattern of teaching in Kenya, the students choose. The most discouraged students are the brightest … so we got a lull, then it took off and they understood!"

The question then begs: given a superimposed curriculum, is any sense of relief at the availability of education at primary level merely a fleeting nuance in Kenya? This

study aims to discover attitudes among Kenyan students and teachers to reveal how they connect to or disconnect from their local environment, because here, it would likely behoove the upcoming generations to realize the rewards inherent to the process of reevaluating local resources.

"As in most complex social issues, we tend to look to education for solutions to the situation at hand. Often we disregard the extent to which education may be a cause of our problem." [10]

Since 1967 much has been spoken and documented about environmental education. For instance, Agenda 21, a document outlining human intentions discussed at the Rio conference on environment, is an international contract that promotes respect for the environment in multiple niches of society, including the classroom. However, considering the damage done to the environment and impossibility of restoring natural resources to their original states, many original and creative approaches to environment are necessary to ensure a movement toward some kind of balance.

On the same line, it is crucial for upcoming generations to consider human ability and potential as worthwhile prospects and to revamp public institutions to maximize such resources. As an integral part of the earth's environment, humans play the only conscious role. Kenya is a colorful example of the unfolding drama inherent to our discovery of what that role entails.

Almost 40 years after the coining of the term environmental education, it's time to evaluate the progress from intention to action in the field of environmental education in Kenya.

Methodology

Schools

This study traverses six schools, two among Nairobi's elite institutions, two among Kenya's remote rural institutions and one representative of education on Kenya's coast. Specifically, the following schools participated in the study: Nairobi Academy; Hillcrest Academy, Nairobi; Silver Sands Academy, Malindi; Kitui School, Kitui; Ngambo Secondary School, Ngambo; and Marigat Primary School, Marigat (see appendix C).

Interviews involved a series of questions (see appendix A) designed to discover attitudes of teachers and students regarding environmental education. Each interview was conducted orally with exception of the Malindi students, three females and two males, who answered through written questionnaires. Due to time constraints and travel arrangements, the study relies upon the efforts of a teacher in Malindi, Mr. Brendan Carden of Silver Sands Academy, who distributed the questionnaires to students and collected the results.

Two questionnaires motivated responses, one for teachers and one for students. In other words, the same questions were posed to every teacher, and each student in kind answered identical questions, with the exception of the Malindi cohort.

The Malindi cohort answered one variant question. With perfect intentions, Mr. Carden reworded one question presented to the Malindi group, a change that augmented the research intention and provided useful information. Specifically, the question originally read:

"It's a fact that species are going extinct faster than ever. Do you see this as something that affects human beings?"

The above question pertains to the relationship between animals and humans and is intended to explore the mental links, if any, students make between humans and animals.

Mr. Carden reworded it to say:

"It is a fact that species of animals are becoming extinct faster than ever before, do you think this has anything to do with human beings?"

This new question already implies cause and effect. The effect on the student responses is noted in the analysis section of this paper, and these responses can be further analyzed, verbatim, in appendix B.

Students and Teachers

Since this study is based on the general attitude in public schools regarding environmental education, students were chosen on a random basis. Thus, people involved in conservation clubs or harboring keen interest in the natural environment were not targeted. The only common interest of the teachers and students was their participation in formal education at secondary level in Kenya.

Although there was an attempt to find balance among the students sampled, there was no plan around the sex of the participants. It was found that upon entering lounges, the majority of the teachers were male, and in some cases, all were. In the end, 10 male and 9 female students participated in the study while 8 male and 2 female teachers volunteered their time to discuss the topic and answer questions.

Guest Speakers

To augment the study and provide increased perspective, various leaders in the field of environmental education in Kenya participated in this study. Speakers from Wildlife Clubs of Kenya and RAE Trust, as well as a polytechnic consultant with Voluntary Service Oversees, offered time and insights. These interviews appear verbatim and paraphrased in appendix B. They also show up in the form of quotes and commentary throughout this paper.

Literature

Because UNEP headquarters in Nairobi was convenient as a resource, the study includes, and depends upon, much written work to back and challenge ideas. In addition this offers some history on the topic of environmental education since the sources of information are mostly dated yet surprisingly relevant in present day Kenya.

Limitations

Time, as always, was a constraint almost as much as transportation. Although fiscally inexpensive, transportation to remote areas of Kenya is sometimes undependable and thus costly in terms of time. Equipment was lost at the coast (stolen from a locked room at a bed and breakfast, a common phenomenon in this area of the world), hence the reliance on some written documentation for interviews.

Language barriers posed a challenge in a myriad of ways. Some words are doubtless glossed over by the respondent, no matter how versed their English. Yet some students, as is apparent in appendix B, were unable to understand the question or simply parroted the question in answer form to get through it.

Furthermore, regardless of the various attempts to reassure and comfort students, especially in rural areas where white people are the minority, some seemed to freeze under what seemed to be an impenetrable fear of interrogation. According to a local psychologist who lectures on the topic, caning is still a common practice in rural Kenya and doubtless sets an intimidating tone for anyone in an "authoritative" position. It's impossible to say if or where this took effect; generally though, teachers less than students grappled with some of the terminology, which they may have better understood in a different social or conversational context.

Finally, information like ages of students, occupation of parents, nationality, personal interest, etc. would greatly build on the basic information gathered. To get a sense of the students' home life might expose a clearer line between information retained from schoolwork and that which is gleaned from the streets and family discussion.

Conclusion

It appears, over all, that **teachers** remain limited not only by the syllabus but also by classical definitions of education. And there exists is little promise of immediate change in the syllabus. In Kenya, only one organization exists, the Kenyan Institute of Education, to design curriculum. KIE officially took this post in 1968.

Empowered by the government, this organization was designed to carry out research in order to improve curriculum in the future. However, considering the recent and prolonged history of corruption in Kenya, many organizations affiliated with the government remain notably compromised in their mission.

Thus we still see a primarily rote-based style of teaching as a dominant element of formal education in Kenya, as mentioned by William Zhan (see appendix B), an aid worker with Voluntary Service Oversees, who collaborates with polytechnic programs country-wide.

This style of learning, Zhan explains, does little to prepare students for real-live surroundings let alone a university education.

"It's like feeding a duck," Zhan says, regarding formal education in Kenya, "You force feed as much as you can. It's drills."

So while teachers may, if offered a choice, want to break out of the stale method of information feeding, they are still actually and consciously committed to the status quo of the Kenyan educational system as a supply of income and as the less-complicated option. For this reason, proponents of environmental education suggest that a coordinator be present at each school. This person would motivate the changes and more importantly simplify them in the minds of the teachers. For a particular example, the coordinator would propose changes with a document that would "encourage the idea [of environmental education] as a team effort and that it is not a case of throwing overboard existing practice but of building on current work by extending it, with little extra work, to develop a greater environmental emphasis. It will point out that the small changes in

current practice will give the desired results in a painless way. It is a case of transferring teaching skills rather than the implementation of new ones.[14]"

Moreover, successful implementation of environmental education in formal institutions is a group effort. Unfortunately in Kenya, this translates as a highly-sophisticated and well-coordinated system, a strange proposition in the faces of ubiquitous social hardship and a resultant disjointed air of competition: small acts of corruption including bribes, underpaid professionals and apathetic people who long ago submitted to their senses of helplessness.

For this reason, upon reference to the first four interviews in appendix B, one may notice grassroots and other independent and flexible organizations as a major source of vital information for future generations in Kenya.

This is all not to mention the more flexible and easy approaches of those teachers most marginalized from the central authority in Nairobi. Their responses exemplified a reliance on the local surroundings as their partner in teaching.

As an example, it was discussed that teachers of literature rely on described scenery and oral narratives, and one teacher actually takes students out to plant trees. The reasons behind such field trips can range from teaching the students about the natural environment to revitalizing students who may be overwhelmed by the constraints of the classroom. For instance, the teacher at Silver Sands Academy who distributed the questionnaires told me that he took his students to the beach one afternoon to help develop a friendly relationship with them, allow them to enjoy school more. These activities and associations prevail in rural and remote environments and perhaps give students a more intuitive sense of environmental education.

Rural examples must not, however, limit the environment to natural surroundings but rather provide an example of how different modes of teaching are arguably available by virtue of location and distance from central authority.

Nevertheless, the grassroots and smaller-sized organizations – in contrast to formal education, a system which includes more Kenyans now than ever before—are notably at liberty to be innovative and thus provide obvious reference for environmental education methodology in Kenya. Specifically, these organizations are small enough to move amidst the overwhelming dogma of the current framework for education in Kenya, and necessarily so.

According to some, the upcoming generations in Kenya have an opportunity to realize, manage and claim their assets. As Dr. Ali says:

"Natural resources in this country are contested issues, and despite all the work, they're just now bearing fruit. Whose environment is it? Whose resources? Whose? Thirty years of dictatorship; questions, secretly kept and nursed. Now questions are asked."

Student responses showed sensitivity to the topics discussed. Again, students in the more remote and impoverished environments may have more first-hand, intuitive knowledge of the topics discussed yet may also lack the skills to formulate and express such knowledge using English. This is especially a consideration in the presence of a "mzungu" researcher.

Overall, an awareness of local and regional challenges prevailed in the minds of the students throughout the study – although this intellectual sense is accurate given that these problems are common throughout the developing world, which represents the

majority of the global population. This phenomenon still indicates a perspective limited in scope to Kenya and is doubtless due to the acute and life-threatening nature of the challenges therein. So while students may have a sense of global environmental phenomena, such issues likely do not linger at the forefronts of their minds.

Despite the awareness of local challenge, the picture painted by student responses was a caricature of sorts. In few cases did students allude to their surroundings as an example of human challenges, resource scarcity or as a source of natural assets. This sense of disconnect revealed the students' incomplete sense of clarity about the topics and perhaps exposed a root leading their sense of helplessness about the situations discussed.

Otherwise, students answered with a notable amount of resolve about their future professional goals. Yet, as much as the author of this study hopes these goals are all realized, the odds are, sadly, stacked statistically and observably against this possibility. Moreover, unless students possess the grades and/or resources to leave the country, they will likely be channeled into a different profession than they had so hoped in school.

This, of course, is a global phenomenon, yet the point here is that with a realistic understanding of the actual job market and available niches for human resources in Kenya, students may better plan and even innovate accordingly as they interweave their educational experience and motivations. Such an understanding is cultivated by an environmental education program as described by its proponents. Again, environmental education encourages sensitivity to the local natural and social environment, and there is much to be studied within Kenya.

It is clear, from student responses, then, that they comprehend the problems in their surroundings. As the next advanced cognitive skill mentioned in the introduction to this research, the ability to analyze such problems may not be fully exploited without an accurate sense of location and particulars by location. Finally the ability for students to create solutions is severely compromised when they lack a critically derived sense of awareness and purpose within their locality.

This is all not to say that all students will graduate unemployed, yet consideration must be given to the possibility that the cognitive abilities of Kenya's youth may be compromised when they lack a well-rounded sense of their surroundings.

Finally, due to the corruption in government and the centralization of curriculum design, and judging from student responses, it is questionable how much impact the concept of environmental education has had on the attitudes of participants in formal education over the past three decades in Kenya.

Title of the Submission: **Entertainment Driven Architectural Form in Image Directed Cultures.**

Topic Area of the Submission: Architecture

Presentation Format: Paper Session

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Entertainment Driven Architectural Form in Image Directed Consumer Cultures.

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Although the evolution of Western architectural form is intimately linked with the development of the European city, today's entertainment driven building typologies, programs and architectural languages that are resonant of this relationship are becoming more apparent through their relevance to life in image directed cultures. From Antiquity to Gothic times, through the ages of the Renaissance, Baroque and Classicism, into the industrial era, the subsequent fusion of period styles determined the quintessential composite form of the designed physical context for urban experiences. Contemporary architectural interventions inevitably not only reference the European city, but also respond to societal priorities in order to contribute to and catalyze the process of the continuing transformation of urban areas. Typologies and design vocabularies that anticipate these processes of urban transformation in a time of ongoing globalization depend on emerging morphological elements that characterize the specific forms of the European city and are utilized to strategically create contemporary narrative experiences. This is evidenced by transformations in urban morphology that effect changes in building typologies, and visa versa. Integral to changes in progress in contemporary urban form, however, is a formerly lesser considered force that is exerted by entertainment. It often drives contemporary conceptualization of specific building types or urban planning to selectively acknowledge and transcend the boundaries of historical realms while advancing the art of building and redefining the dynamics of architectural expressions that are fundamental to human situations at the core of the discipline of architecture. This force is fueled by an insatiable global market demand for built environments that are predicated on dream-like fantasies about places of unabashed contradictions of time, place and subjectivity that exist as much in imagination as in reality. [1]

The last two decades may be architecturally characterized as a renaissance of theming trends catalyzed by disseminated visual images in mass-mediated cultures in which urban symbolism, mass produced goods, and entertainment converge. Legacies of civilizations have been resurrected and legends recreated for "amusement societies" where ideology is passé. Rather, "an ideology of consumption has evolved that sustains dominant class privilege embedded in the myriad of everyday life practices that are shaped by this consumption that in turn reproduces a political economy". [2] Among recreations of lost worlds are Atlantis in the Bahamas and The Lost City in Sun City, Arizona. Cities and monuments

also have been transported across space and time, most noticeably the Luxor, Venetian, and Paris in Las Vegas, Nevada, and the Casino Del Sol in Tuscon, Arizona. Even science fiction was recreated in the form of Space Quest at the Las Vegas Hilton in Las Vegas, Nevada. A shared commonality among these environments is that they are rich in opportunities for consumption that gratifies desires and nourish images of the ephemeral self.

Since the dawn of civilization, whether caves carved into rock formations or skyscrapers soaring into space, architectural form was integral to the realizations of human pursuits of power, peace, ceremony and celebration. Although built to serve a wide variety of purposes, many structures whose functions ranged from burial tombs to entertainment, throughout history inspired, and to this day continue to inspire humanity. Many became representative not only of a time period in human history, but perceptive architectural interpretations of pervasive and collective societal consciousness in physical form unique to their time period. Many of such structures have endured as monumental landmarks of human aspirations and continue to influence and to often inform, among other architectural endeavors, design of entertainment environments. Because the intertwining of entertainment and consumption is inevitable, so is the commoditization of nostalgia that is achieved by the offerings of synthetic experiences that can induce memories that most consumers never experienced, but desperately desire in daily human situations. Of fundamental concern in the satisfaction of these desires is the creation of narrative experiences that engage the senses, emotions, and intellect while fusing experience and memory.

The impact of entertainment environments on today's human situations is most noticeably exerted by the investment strategy based design approaches inherent in the property development processes of Las Vegas, Nevada. Its observable social impact is underscored by a pervasive blurred distinction between daily life patterns in entertainment environments that function as cities, and cities that function as entertainment environments. While throughout history entertainment environments were customarily located beyond the perimeter of the physical urban fabric, by the mid-20th century they were becoming symbiotic parts of cities, and in some cases they redefined architecture that was intrinsic to the social fabric and cultural identity of the city. Its present day and future role in design, architecture, and planning cannot be underestimated.

It is axiomatic that dream-like fantasies are central to recreation, relaxation, and the pursuits of pleasurable activities which are integral to human psychological and biological well-being. Historical accounts abound of events designed to provide opportunities for the fulfillment of these basic human needs. But the physical forms of today's entertainment environments are no longer exclusively about the facilitating of gaming and amusement. Rather they are more about creating a narrative experience that in a chain of social events becomes an engine for suburban and urban development.[3] This is confirmed by the expansion of the entertainment environment model beyond its boundaries and its

consequent imposition upon cities due to a market demand by growing segments of populations to live and work within the boundaries of entertainment environments.[4]

As early as the turn of the 20th century, the 1893 World's Columbian Exposition in Chicago profoundly inspired concepts of American community which eventually coalesced into the City Beautiful Movement.[5] Design vocabularies incorporated many thematic features from the great European cities with majestic civic buildings and lush landscaped boulevards. The Exposition did much to advance the creative applications of ornate Beaux Arts style in the United States not only with reference to civic buildings but also residential designs.[6]

By the late 1930's the development of the Lower Miami area, a regional Art Deco interpretation and lyrical expression of tropical resort luxury, was realized. It was conceived in response to a market demand primarily driven by middle class Florida vacationers.[7] Set against the cerulean Florida skies, the pastel stuccoed, small, intimate hotels and the epicurean restaurants with their terraces were mingled with private residences to harmoniously adorn the western side of Ocean Drive. The designers who conceived this vacationers' paradise understood the anticipations of the sun seeking visitors who wanted anything but reminders of home. They provided for narrative experiences via architectural illusions of joy and escape that turned travel memories into delightful fictions. The hotels, for example, were designed somewhat like ephemeral stage sets resonant with layers of ambiguous meanings where the guests could act out their fantasies of being rich and famous for a moment, or for an evening. Often implying some historical reference, real or fabricated, they provided psychological escape that had much influence on commercial and housing design not only in the Miami area but in other urban and suburban contexts as well.

Today the *tour de force* behind the Las Vegas, Nevada gaming and resort district is undisputable financial profit generated by the strategic utilization of architectural stage sets comprised of displaced familiar historical forms. Thus, they are not about architecture. Rather they are functions of an entertainment medium that is about sensuality, promises of personal freedoms and wealth, and adult sexuality.[8] Each mega-resort differentiates itself by the thematic orchestration of these forms in an intensely competitive economic environment. The complex process of creating a narrative experience "starts with a vision, a concept and a great story [when] turning fiction into fact. [to]...script the experience, literally and figuratively, and then integrate the storyline into every step of the process, every facet of the program, every detail of the design".[9] The producers of "Las Vegas," a documentary about America's neon oasis, described this environment as a "city that is larger than life. A city without limits. A glittering mecca of excess and desires."[10] If the constant pilgrimage of visitors to this mecca that exceeded 35 million persons in the year of 2002 is an indication that it may well be a collective concretization of human consciousness in the physical,

then it may be argued that it is a depiction of the state of the psyche of large segments of the world's population facilitated through the creators of this entertainment environment as catalysts.[11] Jung's work supports this assumption when advancing that in the process of individuation the psyche becomes “whole” when a balance is achieved between four functions; thinking, feeling, sensing, and intuiting.[12] Both Hess and Friedman elaborate on the empirical counterparts of this process, specifically with reference to observable patterns of behavioral responses exhibited by visitors to the section of the city that is increasingly being regarded an icon of American urban culture.[13,14] Their research-based observations are reflective of the layering system and its attendant characteristics described by Jung.

In recent years several mega-resorts were constructed in Las Vegas, each testifying to the successful achievement of rather ambitious intentions to transform visitors' fantasies into reality. One of these is the Mirage Resorts’ Bellagio that not only continues to attract the largest spectator crowds in search of fantasy, but also exerts much influence on both commercial and residential property development. The resort's architectural narrative is predicated on the quaint village of Bellagio above Lake Como in northern Italy. It is punctuated with a regularly scheduled water ballet of 160 feet high stream shooting fountains choreographed with music and lights on an eleven-acre artificial lake. Although the thirty-six-story high, 3,000 room hotel facility dominates this contrived landscape, the intimate individuation of the personal narrative experience is skillfully focused toward the lower level building forms mimicking Italian villas with Mediterranean colors and red tile roofs. The property's "artificial nostalgia for a prosperous past and glamorous foreign resorts is characteristic of appeals to the newly rich in the 1990's."[16]

An expansion of the Bellagio's entertainment environment model beyond its boundaries is currently taking shape in the inhospitable Mojave Desert in the form of the Lake Las Vegas Resort Community, located seventeen miles from the gaming and resort district of Las Vegas. Much like mega-resorts, it is a miniature self-contained city and an engineering and ecological marvel with Mediterranean styling of custom housing products. The products are themed differently in various villages with names such as Monaco, Siena, and Marseilles. Contributing to an overall thematic image, the Village of Monte Lago features an evocation of the Ponte Vecchio. The images appropriated in this nostalgic reminiscence of Venice and Florence, Italy, include gondolas, mountain streams, lush golf courses, horse trails, performances of Vivaldi, and most importantly, a sense of destiny for mature baby boomers.

Recently conducted research to analyze preferences for the visual appearance of various types of housing products located in the American Southwest indicated a strong association between the ambiance of the Bellagio property and the Lake Las Vegas Resort Community, both by buyers and potential buyers of homes in Southern Nevada. In addition, research findings also revealed human desires

about the ways in which individual, as well as collective identities are to be represented. The consumers' attention to the orchestration of architectural details commodified by the Bellagio appeared relevant to the marketability of housing product. Field studies and interviews also indicated that the emerging trend in the design of housing products and planning of communities is evolving toward the use of a stylized Mediterranean design vocabulary in which soft desert color tones assure the integration of foreign design influence into the seemingly inhabitable arid climatic context. The current market demand for such housing products underscores the pervasive preference for the derivative stylization of design features that are associated with Mediterranean ambiance. [16]

It stands to reason that the same market demand that drives the development of entertainment environments also drives the expansion of the amusement and entertainment-themed model beyond its mere applications in the gaming and resort contexts. This is most pronounced in the development of residential and retail projects, both of which are powerful forces in modern image-conscious societies that are fueled by consumption. The impact of this expansion of fantasy transfer onto human situations is increasingly manifest, simply because in contemporary societies meanings are derived from mass media and consumer themes rather than authentic histories and traditions.

The research findings of Leyton provide substance for the understanding of the dynamics of narrative experience and its role in perceived relationships between environmental form and time. He compellingly argues that environmental form is used by the mind to recover the past and, as such, forms the basis for memory. He further argues that psychological connections made by the mind between environmental form and time recover the past from such forms and become the basis for memory as the mind assigns experiential values to them.[17] The meanings of these superficially acquired values become of considerable importance in subsequently expressed preferences for built environmental form.[18] Leyton further suggests that perception is a recovery of causal history, and that the process of the selective manipulation of displaced historical form when designing entertainment environments can be intended to manipulate and to appeal to human emotions. The fact that well-directed strong emotions are elicited by entertainment environments is indisputable. The nature of their occurrences bear similarities to those in psychological therapy where repressions and inhibitions are weakened.[19] The power of the appeal of designed form in such circumstances can be observed in ways in which a range of induced emotional responses to environmental form engage thought processes that underlie actions directed toward the fulfillment of desires for the narrative experience in non-entertainment environments. This transference as a generalized response is a common occurrence in contemporary image-directed societies that are becoming increasingly rich in opportunities to satisfy desires for the narrative experience that often originate in the ephemerality of entertainment environments.

Acknowledgements:

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Proceedings Submission:

Title Submission: Public As Author: Multi-Authored Approaches to Public Art

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Abstract:

This paper examines the practice of artists who choose to venture from established "art star" tradition and invite outside communities to create work that is exhibited as a "project." Instead of working in the traditional art school model, a secluded studio environment, these artists approach their work through a social network. This paper looks closely at three generations of approaches to multi-authored public art projects in order to create a historical context for the growing field: artists-in-residence, as demonstrated by Mierle Laderman Ukeles *Touch Sanitation* of the late 1970's; a non-profit organization set-up to house and manage a project, as in the *Names Project AIDS Memorial Quilt*, established in the late 1980's; and Web-based public art projects such as Brian Singer's *1000 Journals Project*, launched in 2000. This paper will address trends in multi-authored, community-based approaches to public art and its relationship with object-centered attitudes towards art making.

Copyright Concerns in the School Music Curriculum

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ABSTRACT

COPYRIGHT CONCERNS IN THE SCHOOL MUSIC CURRICULUM

Presenter: Joel Leach

Digital technology that enables teachers to make sound and print copies equal in quality to the original requires a new level of understanding of the fundamentals of copyright law as it applies to both performance and non-performance situations. Many if not most teachers believe that as educators they are permitted to duplicate and use/distribute copyright materials without restriction. That is not only incorrect but it is also an invitation for a lawsuit. When teachers violate copyrights they do so to the detriment of the authors/composers, the publishers, the music profession and the dissemination of knowledge a whole. This session will clarify what teachers can and cannot do with books, print music, and recordings. Also included will be a discussion regarding the legal responsibilities that are involved when a teacher plans to record a performing ensemble or a musical, whether for use by the performers or for sale to the public.

Title Page

a. title of the submission

Sound Recipes

b. topic area of the submission (choose from above list)

Philosophy

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Paper Session

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Sound Recipes

Philosophers of music often ask questions such as these: What is a musical work? Are musical works created or discovered? How do different performances of a musical work relate to the work itself? My purpose in this paper is to shed light on these issues (conceptual and ontological) by developing an analogy between music and a non-sonic domain: food. I will argue that a musical work is analogous to a recipe. The strengths and weaknesses of this analogy will be explored. We will look at multiple performances of a single work, musical genres, composition, instrumentation (or substituting margarine for butter), improvisation, the status of a musical score (written recipe), multi-movement pieces (feasts), variations in parameters such as tempo and key (how spicy do you want it?) and "representation" in music. While the analogy by itself will not settle ontological or other deep philosophical issues about the nature of music, it can help to de-mystify the problems and expose errors. Views of Goodman, Katz, Kivy, Davies, and others will be addressed.

A Syntactical Approach to Tonal Music Theory

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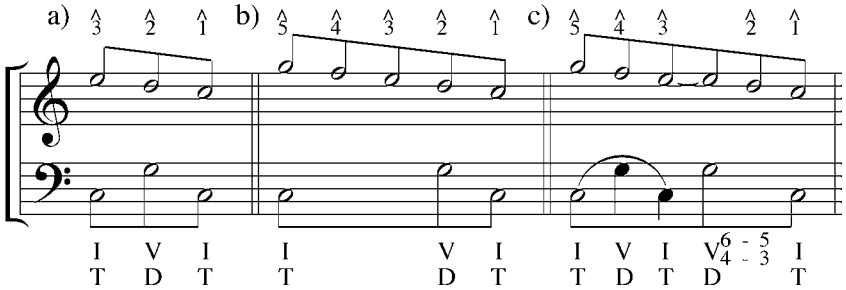
Most theoreticians follow one of two approaches to tonal music theory: a *linear* ("scale degree") approach, focusing on how individual *tones* proceed from one to another, or a *vertical* ("function") approach, focusing on how *chords* relate to one another. Although the differences between these two are often characterized as irreconcilable, the present study attempts to bridge them, in ways that are important both theoretically and pedagogically.

Although they each have roots extending back into the eighteenth-century, scale-degree and function theories are usually associated with two late-nineteenth-century theorists, Heinrich Schenker (1868-1935) and Hugo Riemann (1849-1919), respectively. To make some vastly (and admitted unfairly) over-generalizations, Schenker's view of musical structure is as shown in Figure 1, while Riemann's view is as shown in Figure 2 (below).

Figure 1



According to Schenkerian theory, music is structured by counterpoint and predominantly-stepwise voice-leading. At heart, compositions have two principal contrapuntal lines: a fundamental line (termed the *urlinie*) and a bass line. Over the course of a composition, the fundamental line descends from one member of the Tonic triad—that is, scale degrees 1, 3, or 5 (referred to as "$\hat{1}$, $\hat{3}$, and $\hat{5}$")—stepwise down to $\hat{1}$ at the end of the composition. The bass line, conveying the underlying harmonies, provides consonant support for the fundamental line. The fundamental

structure of a composition (termed the *ursatz*, it is the combination of the *urlinie* with the bass line) can take several different forms; three are shown in Figure 1: the first a "three-line" (since the *urlinie* starts on $\hat{3}$), the next two different varieties of "five-lines" (since the *urlinie* starts of $\hat{5}$).

Importantly, this Schenkerian approach to musical structure is a "top-down" view: each note in the *ursatz* may represent an enormous amount of music. According to Schenker, it is less the case that the *ursatz* represents an abstraction of the surface of the music than the reverse: the surface of the music represents successive "diminutions" of the fundamental structure—much as in Species Counterpoint, successive species can represent diminutions of the previous species.

As shown in Figure 2a, by contrast, in Riemannian theory music is structured by harmonies and their harmonic functions. There are three types of harmonic functions (or categories): Tonic, Subdominant, and Dominant—in the major mode, I, IV, and V, respectively. According to Riemann, each of those three functions can have four different "flavors": in addition to the ordinary form of the chords, there is the *parallel* (in the major mode, the chords a third below the ordinary forms—namely vi, ii, and iii, respectively—what we might call the "relative minor"), the *variant* (what we might call the "parallel major" or "parallel minor"—in this case, i, iv, and v, respectively), and the *leading-tone change* (in the major mode, the chords a third above the ordinary forms—namely iii, vi, and minor vii, respectively). The ordinary, parallel, and leading-tone change forms are shown in Figure 2b.

Figure 2a

Tonic	Subdominant	Dominant
I	IV	V

Figure 2b

	T	S	D
Leading-Tone Change:	iii	vi	vii
	I	IV	V
Parallel:	vi	ii	iii

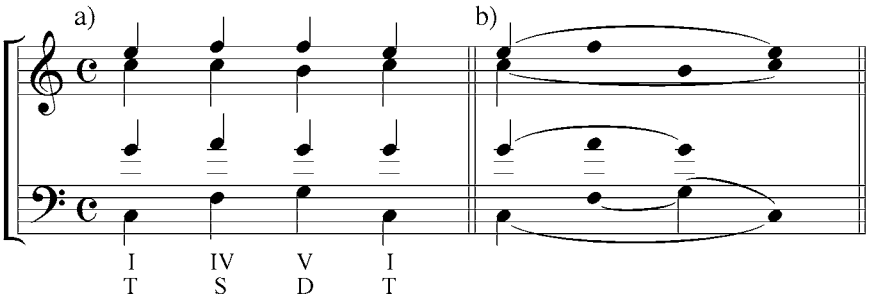
These chords structure the moment-to-moment flow of the music; whether in the original key or in a new key to which the music has modulated, the chords are understood on the basis of those three central categories. Each complete chord progression—centering on the Tonic function—forms a chunk, several chunks may be put together to form sections, etc. This approach may thus be thought of as a "bottom-up" view of music.

Given these fundamental differences between a top-down contrapuntal and a bottom-up harmonic view of music, it is small wonder that the teaching and practice of tonal music theory has often been dogmatic and the disagreements bitter. Even in these differences a partial reconciliation is possible, though. After all, just because the linear approach focuses on voice-leading does not mean that chords do not exist or have that they have no ontological status. Similarly, just because the chordal approach focuses on chord-to-chord motion does not mean that voice-leading does not exist, or that long-term structures are unimaginable. Simply allowing for the possibility that one could look at large-scale structure from one vantage point and local note-to-note-motion from another is an important step in reconciling the two approaches.

Nevertheless, even allowing for alternative vantage points does not eliminate the significant disagreements that exist in evaluating small-scale note-to-note motion. The essence of this disagreement can be summarized by comparing the two different analytic approaches to a pair of very simple chord progressions.

The Riemannian-style analysis below the first chord progression, seen in Figure 3a (below), shows that the chords—I, IV, V, and I—represent each of the three ordinary chord functions. Figure 3b presents a Schenkerian-style analysis of the same progression, showing how the voice-leading represents different types of *prolongation*. The three upper voices each feature stepwise neighbor-note motion—upper neighbors in the soprano and tenor, lower neighbor in the alto—the neighbors in each case prolonging the tone which they neighbor and upon which they depend for their logical existence. The bass features two different types of harmonic prolongation: the prolongation of the Tonic by the Dominant, and the prolongation of the Dominant prior to its actual arrival by the note that *leads to it*—the subdominant.

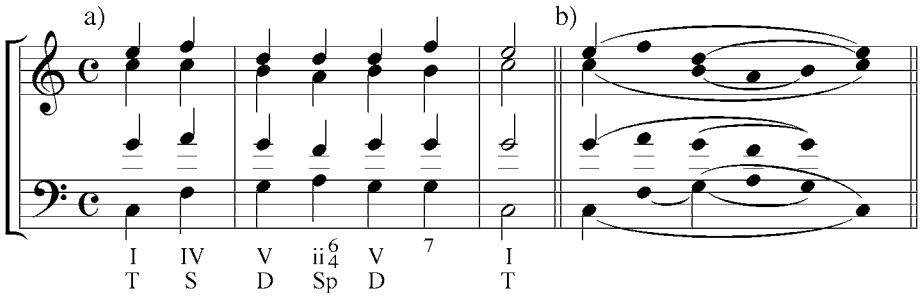
Figure 3



[Note that prolongations exist on many different hierarchical levels—thus $\hat{1}$ in the bass is prolonged by $\hat{5}$, which is in turn prolonged by $\hat{4}$. At the deepest level of the hierarchy are members of the Tonic triad (most especially $\hat{1}$), at the next deepest level are members of the Dominant chord, etc. Ultimately, an understanding of this hierarchy is crucially important to an appreciation of the scale-degree nature of Schenkerian theory; when analyzing the surface of the music, however, understanding the relationship between prolonged and prolonging tones is far more important.]

Thus, whereas Riemann labels chordal functions, Schenker analyzes *prolonging* vs. *prolonged* tones—or, equally, *dependent* vs. *independent* tones. This distinction between chord functions and voice-leading prolongations is even clearer with the somewhat longer chord progression shown in Figure 4a—essentially the same progression as that shown in Figure 3, except that the Dominant has been *ornamented* by a ii chord. The Schenkerian analysis in Figure 4b views the ii chord as a collection of tones whose sole purpose is the prolongation of the Dominant, while the Riemannian analysis labels it as a Subdominant parallel.

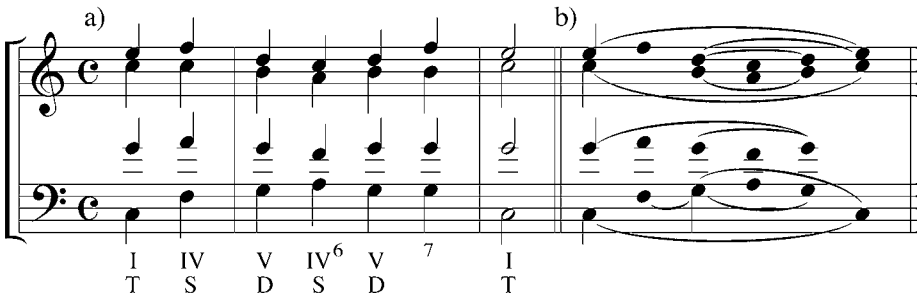
Figure 4



The distinction in the Riemannian analysis between the Subdominant (the IV chord) and the Subdominant Parallel (the ii chord), however, is not one of function but one of "flavor"; nowhere

in the analysis do we see that the role of the ii chord is ornamental, while that of the IV chord is progressive. This problem is highlighted by substituting an ordinary Subdominant for the Subdominant Parallel, as shown in Figure 5a. Now both Subdominants are given the same label, even though their roles are clearly different. The Schenkerian analysis shown in Figure 5b, by comparison, does a much better job showing how the $\hat{4}$ in the bass *leads to* $\hat{5}$, while the $\hat{6}$ *ornaments* (neighbors) $\hat{5}$.

Figure 5



What is lacking in the Schenkerian analysis, however, is the clear identification of harmonies that is patent in the Riemannian analysis. Indeed, this is central to the problems associated with the teaching of theory and harmony to undergraduates from a Schenkerian perspective: prolongation can be a sophisticated and elusive concept which undergraduates often just do not "get." Compared to the more readily transparent chord labeling, prolongation can be obscure indeed.

Is it possible to reconcile the idea of chord functions with that of prolongation, in a way that is both theoretically acceptable and pedagogically clear? We believe that focusing on the *syntax* of chord progressions—and allowing for more than the three chord functions traditionally associated with function theory—enables us to apply the concepts of dependence, independence and prolongation to *chords*, as Schenker did to *voice-leading*.

For this, we begin with a re-evaluation of the three basic functions[1]: Tonic, Subdominant, and Dominant. The syntactical function of the Tonic is that of "home"—to provide stability and

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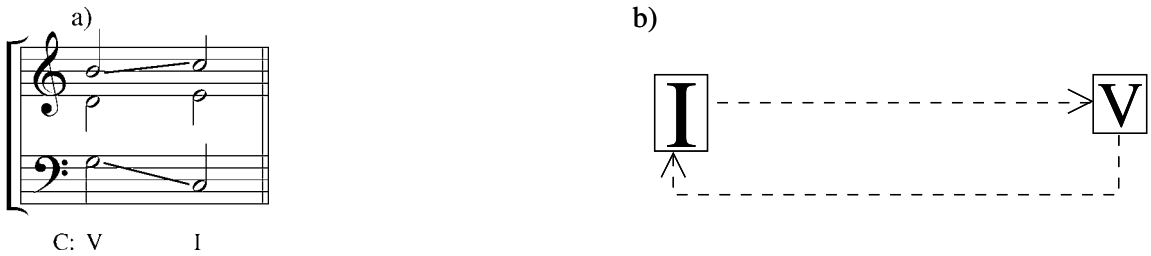
1 Note that the use of the word "function," here, represents a shift away from Riemann's original use of the word. He used it in a quasi-mathematical sense (that is, as a "function acting upon the Tonic"), whereas here it is used in a more ordinary way as pertaining to the grammatical "role" of one chord or another.

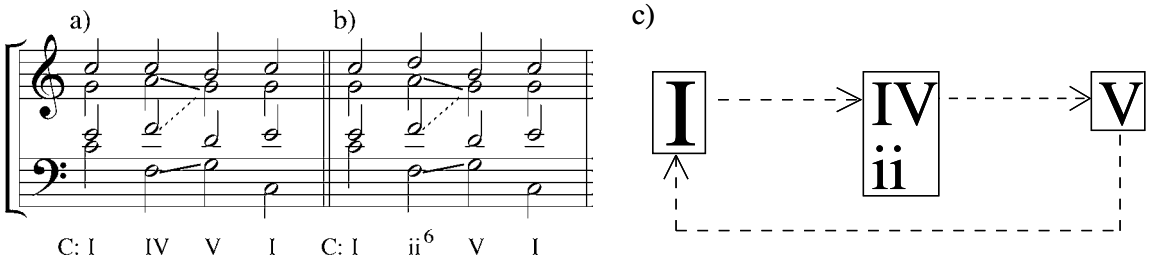
rest. The syntactical function of the Dominant is to lead to the Tonic. The essence of this drive of Dominant-to-Tonic is in the tendency of the leading-tone ($\hat{7}$) to progress upward to the tonic ($\hat{1}$). This is shown in Figure 6a, and schematically in Figure 6b.

Figure 6



The typical function of the Subdominant is to lead to the Dominant. For that reason, we follow standard American practice in preferring the label "Predominant." The essence of this drive to the Dominant is the tendency of $\hat{6}$ and (to a lesser extent) $\hat{4}$, when in the presence of each other, to progress to $\hat{5}$. Since IV and ii contain both $\hat{6}$ and $\hat{4}$, there is no reason to differentiate between the two. This is shown in Figures 7a-b, and schematically in Figure 7c.

Figure 7



But the stepwise voice-leading tendencies of $\hat{4}$, $\hat{6}$, and $\hat{7}$ are not the only things which determine the proper grammatical progression of one chord to another. Also important is the motion of the chord roots, most especially downward motion by perfect fifth. This is shown in Figure 6a, in which $\hat{5}$, the root of V, progresses down by perfect fifth to $\hat{1}$, the root of the I chord. Figure 8a, below, shows how using a ii chord as a Predominant results in root motion down a perfect fifth *twice in sequence*. Figure 8b has a IV in place of the ii chord; this progression also features root motion down a perfect fifth twice, although neither in sequence nor leading to the Dominant. For this reason (among others), ii is actually a stronger Predominant than is IV.

Figure 8

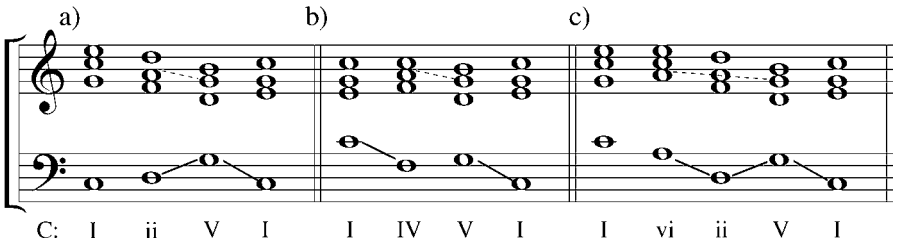
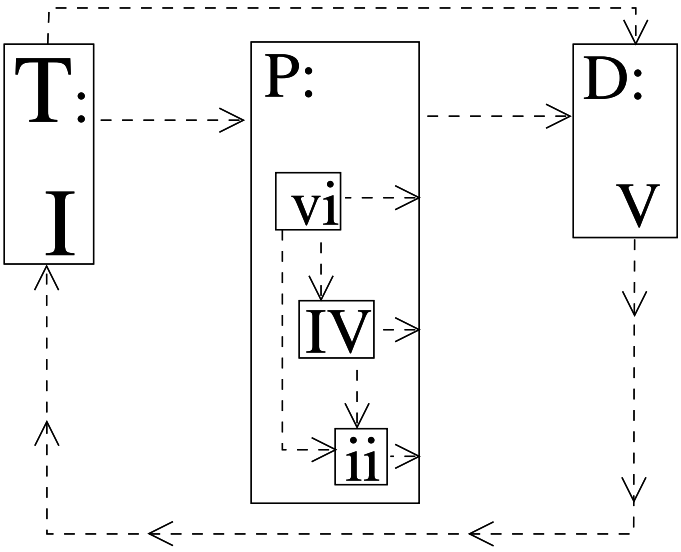


Figure 8c is identical to Figure 8a, except that a vi chord has been inserted between the I and ii chords, resulting in root-motion down a perfect-fifth *three times in sequence*—a powerful chord progression common in Rock-and-Roll of the 1950s and early '60s. Like IV or ii, the function of vi is to lead to V (note that they all feature $\hat{6}$ progressing to $\hat{5}$) although often indirectly, as shown. The vi chord is a weaker Predominant than IV or ii, however, in part because $\hat{4}$ is not present, and in part because of the relationship between vi and I (which will be discussed below).

Referring to vi, IV, and ii, collectively, as "Predominants" is obviously quite similar to Riemann's label for the same three chords as "Subdominants." As indicated above, however, the Predominant label better conveys the syntactic relationship between the three chords and the Dominant.

Moreover, the strength of the chord progression shown in Figure 8c suggests that there is a *proper grammatical order* in which the three Predominants should be arranged (which is not a feature of Riemannian theory). As shown in Figure 9, the proper grammatical ordering of Predomi-

Figure 9

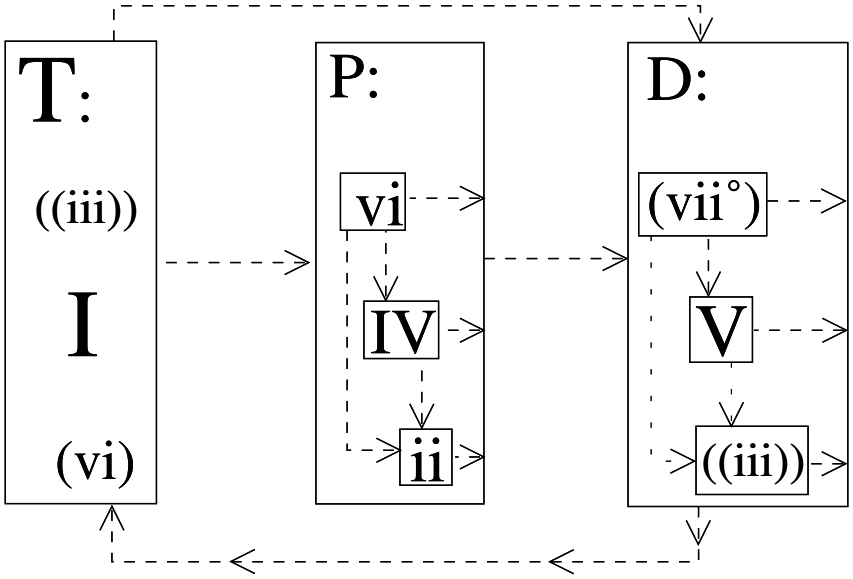


nant chords is by *descending* Roman numerals (i.e., vi-IV-ii or some portion thereof). Thus, Figure 9 not only categorizes five of the seven diatonic chords, but places them within a syntactic "flow-chart" which encapsulates certain aspects of scale-degree theory.

Figure 10 fills out this flow-chart with chords that may substitute for the Tonic and Dominant, respectively. A substitute chord is defined as one which has two of the three tones in common with the triad for which it substitutes—again, reminiscent of Riemann's function theory. As seen in Figure 10, substitute chords are shown in parentheses: vii° and iii are "Dominant Substitutes," while vi and iii are "Tonic Substitutes." Since the iii chord shares features of both the Tonic and the Dominant chords, it is a poor substitute for either, and is therefore placed in double parentheses.[2] Figure 10 is referred to as the Progressive Harmonic Paradigm.

Figure 10

The Progressive Harmonic Paradigm



Note that within the Progressive Harmonic Paradigm there exists the possibility of syntactical flow within the Dominant box (most especially from a weaker to a stronger Dominant). There is no motion within the Tonic box, however: there may be only one Tonic chord in any given progression, which makes sense since the function of the Tonic is that of home chord.

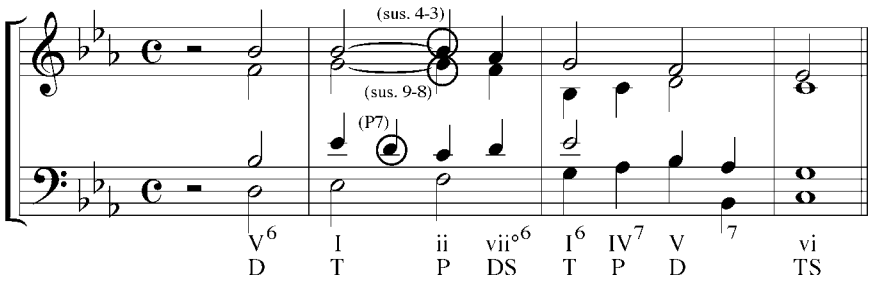
The use of vii° as a Dominant Substitute is so common that it scarcely needs comment (although theorists have argued about whether the vii° chord should be considered an independent

2 The strongest use of the iii chord is as a Dominant Substitute leading to vi as a Tonic Substitute, which features root motion down a perfect fifth.

chord or simply a rootless V chord—a matter we will not engage with, here). Figure 11 shows an excerpt from a Bach chorale featuring the use of vii° at end of the second measure.

Figure 11

J.S. Bach: Wachet auf, ruft uns die Stimme (#179)

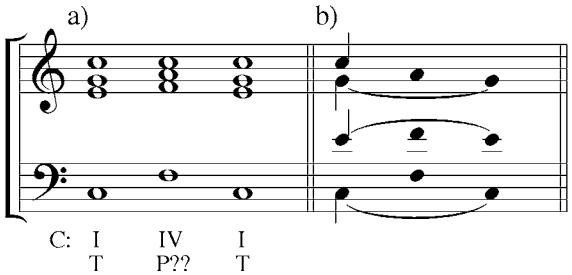


The use of vi as a Tonic Substitute is what makes deceptive cadences possible, as shown at the end of Figure 11. It is important to understand that a deceptive cadence does *not* feature motion *backward* from V to a Predominant vi, but rather *forward* from V to a Tonic Substitute vi. Indeed, within the Progressive Harmonic Paradigm, retrogressive motion is strictly forbidden.

In addition to the fact that the entire chord progression shown conforms to the Progressive Harmonic Paradigm, Figure 11 also demonstrates an important pedagogical aspect of the syntactical approach to harmony developed here: the consistent use of function labels in addition to Roman and Arabic numerals. Figure 11 features all five of the function labels developed so far: T (Tonic), P (Predominant), D (Dominant), TS (Tonic Substitute), and DS (Dominant Substitute). As will be seen below, function labels are extremely helpful to undergraduates learning tonal harmony.

Careful observation reveals, however, that there are two common types of chord progressions not permissible within the Progressive Harmonic Paradigm. The first is that seen in plagal ("Amen") cadences—such as I-IV-I or I-ii^6-I, as shown in Figure 12a, below. The second is the type of ornamental progression seen in Figure 4 (above).

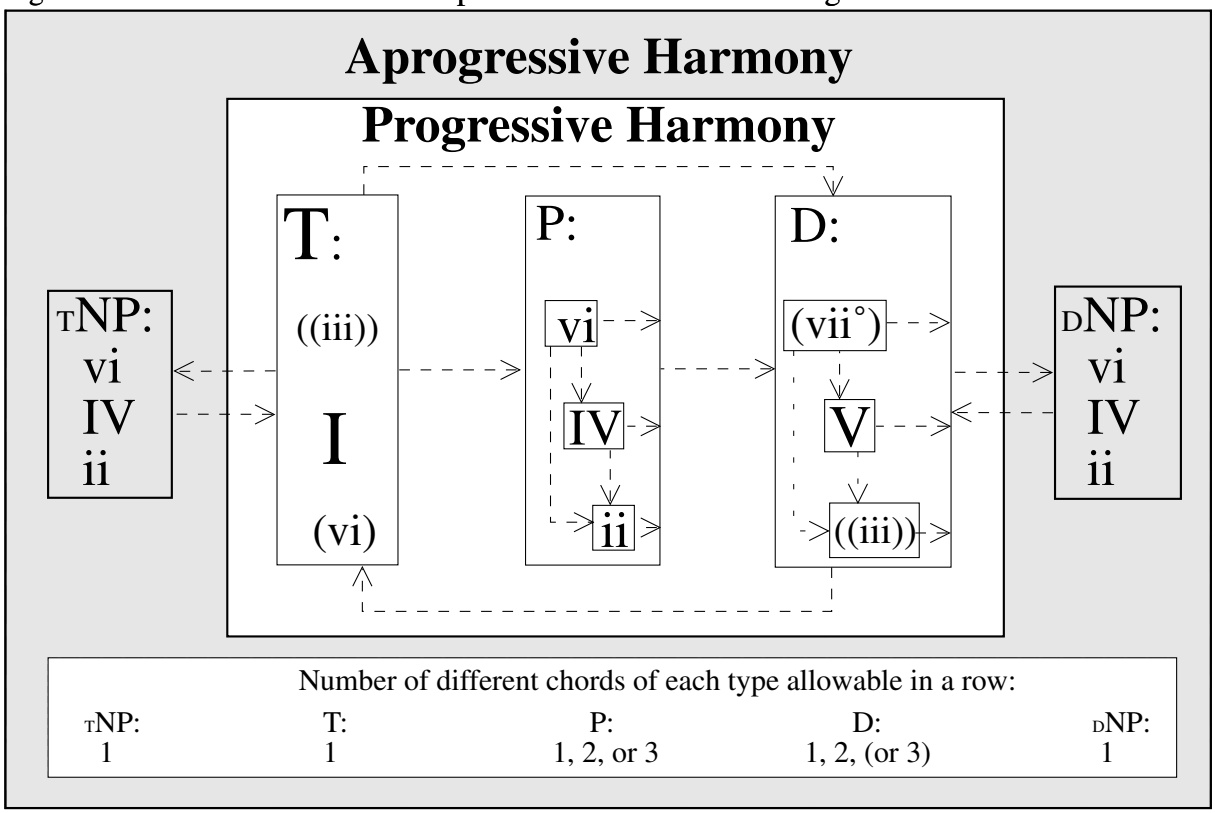
Figure 12



The Schenkerian analysis of the Plagal cadence, shown in Figure 12b, makes clear that this, too, is an ornamental progression. Indeed, the principle difference between the progressions shown in Figures 4 and 12 is that in a plagal progression the *Tonic* is ornamented, while in Figure 4 it is the *Dominant* that is ornamented.

Since ornamental progressions such as this most often feature neighbor-note motion, and since the chords themselves are usually vi, IV, or ii, in addition to the five function labels discussed above we can add two more: TNP—Tonic-Neighboring Predominant—and DNP—Dominant-Neighboring Predominant. (Note: the "T" and "D" in the function labels are deliberately printed smaller, to help emphasize that their functions are *Neighboring Predominants*, but that they act with respect to the Tonic or Dominant, as appropriate). TNP and DNP chords are incorporated into Figure 13, below, which is referred to as the Complete Tonal Harmonic Paradigm.

Figure 13 The Complete Tonal Harmonic Paradigm

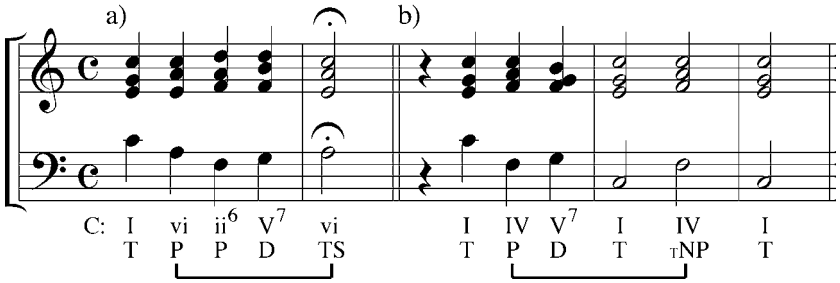


As shown in Figure 13, the Complete Tonal Harmonic Paradigm differentiates between chord motion which forms *Progressive Harmony*—that is, what is shown in Figure 10, above—and

Aprogressive Harmony—meaning the use of Neighboring Predominants. Progressive harmony is unidirectional (down and to the right, until it circles back to the Tonic), while Aprogressive harmony is bidirectional—it can go back and forth.

The fact that certain chords appear in more than one location—the vi chord appears in a total of four different boxes, while the IV and ii chords appear in three—is not a drawback. Rather it represents differences in grammatical function that we actually hear. As evidence of this, listen carefully to the chord progression shown in Figure 14a. Although the two vi chords are identically voiced, they *sound different*, the result of their different syntactical contexts (the one a Predominant, the other a Tonic Substitute). Similarly, although the Predominant and Tonic-Neighboring Predominant IV chords in Figure 14b are identically voiced, they, too, sound different.

Figure 14

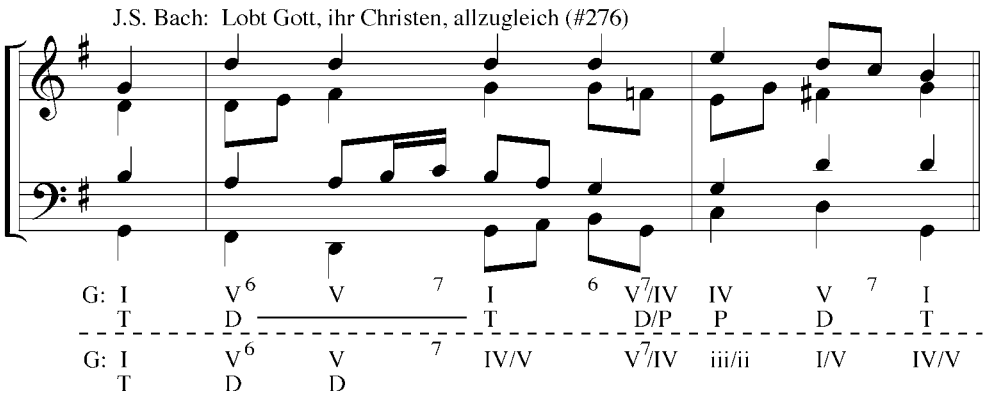


Modulation is easily accommodated, simply by labeling a different (secondary) chord as Tonic, as with ordinary Roman numeral analysis. Temporary tonicizations are also easy to accommodate: if a diatonic chord retains its diatonic function despite having itself been tonicized, then the function label for that chord will remain unchanged, while the secondary Dominant would be given the function label of Dominant of the tonicized chord's function. For instance, if a Predominant chord is tonicized, the secondary Dominant would have the function "D/P," and if the Dominant is tonicized, the secondary Dominant would have the function "D/D."

While this may seem obvious, if the Paradigm is followed in the labeling of chord functions, three benefits emerge. The first benefit is pedagogical. Figure 15 shows two analyses of a fairly simple chord progression. The first is clear and logical, with a series of chord functions which is perfectly syntactical. The second (below the dotted line), similar to analyses this author has seen from confused undergraduates on too many occasions, is entirely illogical. Yet, for such

undergraduates, repeated assertions that a progression from V/IV to iii/ii is nonsensical do not help him or her to understand what is wrong about it or how to find a better analysis. But when the undergraduate is faced with the impossibility of attaching function labels that come anywhere close to following the Paradigm, the light begins to turn on. Since the syntactical flow-chart is so easy to follow and since it so accurately represents harmonic flow in Common-Practice Era music,[3] the student quickly learns to discover the music's inherent logic.

Figure 15



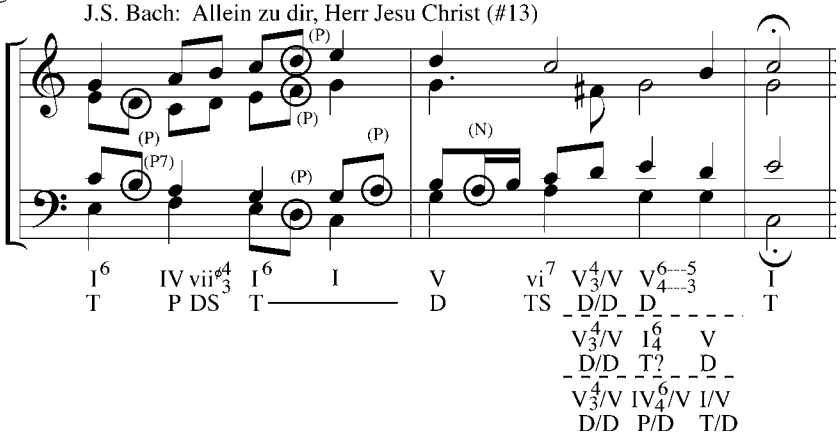
Employing the same type of evaluation of syntactical logic, the second benefit of labeling chord functions is more theoretic. Very much in line with Schenkerian doctrine, the use of function labels consistent with the Paradigm "prove" that cadential $^{6}_{4}$ chords must be labeled "$V^{6\text{-}5}_{4\text{-}3}$," rather than as "$I^{6}_{4}$-V." Such proof is shown in Figure 16, in which a cadential $^{6}_{4}$ chord is preceded by a Dominant-of-the-Dominant. Since, according to the Paradigm, Dominant chords must resolve to their respective Tonics (or Tonic-Substitutes), the V/V chord is analyzed as resolving to the V chord, forcing us to analyze the $^{6}_{4}$ portion of the cadential $^{6}_{4}$ chord as voice-leading ornamentation.

Below the dotted lines in Figure 16 are two attempted alternative analyses of the cadential $^{6}_{4}$ chord. The first labels the $^{6}_{4}$ chord itself as a Tonic $^{6}_{4}$; since it is preceded by a Dominant-of-the-Dominant this analysis is illogical. The second labels the $^{6}_{4}$ chord as a IV/V; according to the

3 The Paradigm has its limitations, of course, as does any theory of tonal music. Within certain parameters (and with the addition of such chords as Augmented Sixths and Neapolitan Sixths), the Paradigm is extraordinarily accurate for music written in the middle of the Common-Practice Era; closer to the edges of that Era—the early Seventeenth century, or the late Nineteenth century—the Paradigm breaks down. But this is equally true of both scale-degree and function theories, as the organizing force of Tonality was either not yet fully developed or had begun to break down at either end of that Era. Nevertheless, since music from the era of Bach/Beethoven/Brahms still dominates university and conservatory curricula, however, this limitation is scarcely problematic.

Figure 16

J.S. Bach: Allein zu dir, Herr Jesu Christ (#13)



Paradigm this is illogical, since it follows the V/V chord, unless the IV/V chord is a Dominant-Neighboring Predominant (within the key of V)—but this is allowable only if the chord returns to the Dominant of the Dominant, which it does not. We are therefore forced to accept the "$V^{6\text{-}5}_{4\text{-}3}$" label discussed above. Schenkerians have been advocating for this for decades on the basis of voice-leading; here it is supported on the basis of chordal syntax.

The third benefit, from the standpoint of both pedagogy and theory, is arguably the most important. Given how clear the hierarchical relationships between the various chord functions are, it is not difficult to discern which chords serve to prolong other chords and which chords serve more structural roles—or, put slightly differently, which chords are dependent upon other chords for their logical existence, and which are relatively independent. This means that it is easy to superimpose a voice-leading prolongational analysis onto any stretch of music analyzed chordally in this way. Indeed, despite the very different theoretical approaches of scale degree theory (starting from the vantage point of the scale, and analyzing the voice-leading and prolongations) and function theory (starting from the vantage point of a Tonic chord, and analyzing the chord-to-chord motion), the syntactical approach that the Complete Tonal Harmonic Paradigm encapsulates bridges these significant differences.

Socrates and the Socratic method

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SOCRATES AND THE SOCRATIC METHOD

Joan Leguard

Why did Socrates, one of the most important teachers in the Western tradition, claim not to be a teacher? The answer illuminates both what he meant by philosophy and what he meant by teaching. Since advocates of the Socratic method of teaching still exist, it also brings up live questions for the present.

At the simplest level Socrates' claim not to be a teacher is problematic just because he has been recognized as one of the great teachers of the Western tradition. The most hostile interpretation is that he was simply denying his mission to avoid conviction—the claim is after all most conspicuous in the *Apology* where he is defending himself. Another possible interpretation is that his denial is an example of Socratic irony—yes, he means, at one level to deny that he is a teacher, but he also means to say that he really is a teacher.

I argue that Socrates seriously and literally means that he is not a teacher. He thinks that to count as a teacher you must be able to get your students to learn what you are teaching, and he does not think he has succeeded. I go on to analyze who and what he is teaching, and to consider some implications of this Socratic position on teaching. In particular, it is often assumed that Socrates taught his students by asking them a series of often hostile questions, until they reached the point where they could not give any further answers. Since Socrates' example is used as a model for teaching in this way, it is worth showing that in fact his real teaching did not reflect that unfortunate model.

presentation format
Workshop, 90 minute session

Title of submission:

Crossing the BLVD: strangers, neighbors, aliens in America,
a cross-media documentary project on new immigrants and refugees

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Description: Crossing the BLVD: Judith Sloan and Warren lehrer

Performance submission for workshop presentation for
Hawaii International Conference on Arts and Humanities

A multi-media performance/reading by actress/oral historian Judith Sloan, and writer/artist Warren Lehrer based on their award-winning book **Crossing the BLVD: strangers, neighbors, aliens in a new America** chronicling the stories, images and sounds of new immigrants and refugees in Queens, New York — the most ethnically diverse locality in the United States today. Both Sloan and Lehrer are professors of interdisciplinary arts and employ oral history, visual imagery, photography, documentary audio and sound art, and performance monologues in their own work.

At a time when immigration patterns are re-shaping American culture ***Crossing the BLVD*** shares with its audience the stories, sounds, and images that reveal the human toll of a cold- and post-cold war-world, and pre- and post-9/11 world. From 1999 through 2002, Lehrer and Sloan traveled the world by trekking the streets of their home borough in search of migration stories and a deeper connection to their diverse community. After conducting storytelling workshops in libraries, high schools and community centers, they focused their attention on individual and group stories of new Americans via photographic portraits and extended interviews in bodegas, family-owned restaurants, places of worship, public housing projects and private homes. The result is documented in the 400 page, four color book (WW. Norton), an audio CD, a series of public radio documentaries, a traveling exhibition, and a reading/performance tour.

In the performance, Lehrer is the tour guide, as Sloan transforms into dozens of **Crossing the BLVD** subjects who all came to the U.S. after the 1965 Immigration and Nationality Act mandated an end to discriminatory immigration policies that favored white Western Europeans. Lehrer/Sloan's reflections and retellings are set against projected photographic portraits and panoramic landscapes, as well as recordings of **Crossing the BLVD** voices and music. Collectively, the stories, faces and sounds form a prismatic, intimate portrait of a paradoxical and changing America. As with all of Lehrer and Sloan's work, there is a healthy and entertaining mix of humor, pathos, politics, a love of character, and an eye for the absurd.

According to *The Washington Post,* **Crossing the BLVD** portrays the new immigrant experience with "intimate, rich, comic, ironic and sad stories so often seen but not heard in America's big cities." *The New York Times* calls it "Riveting… An offbeat ethnic tour of one of the country's most ethnically diverse counties." The BBC/PRI program *The World* featured **Crossing** as a "Global Hit," calling it "an incredible and moving story. Oral History with a twist." CNN calls it "soulful… teeming with stories that unfold in a kaleidoscope of color." National Public Radio's *Tavis Smiley Show* describes **Crossing** as a "fascinating, riveting work, that reveals untold stories, at least till now!"

Awards and selections for ***Crossing the BLVD:***
Brendan Gill Prize, 2004, Municipal Art Society of New York
Winner, **2003 Award for Innovative Use of Archives** by *Archivist Roundtable of New York*
"for exploding the paradigms of oral history and reinterpreting them for our multimedia century"
Winner **Best of the Best Award** Photographic Book Category, *New York Book Show*, 2004
Winner **Media That Matters Award**, New Media Category, Media that Matters Film Festival, 2004
Selected **Best Books and Best Audio CDs**, *Unte Reader*, Best of Indie Culture 2004
Selected **Best Illustrated Books of 2003**, *Publishers Weekly*
Featured as a **Global Hit**, *The World*, BBC/PRI
Best reward of all — Amy Li, Falun Gong practitioner and political asylee made copies of her story featured in the *Crossing the BLVD* book to help get her daughter out of China. After three years apart, Amy and her now eight year-old daughter were reunited at JFK Airport Nov. 8th 2003.

Script:
Crossing the BLVD: strangers, neighbors, aliens in a new America
Performance/Workshop followed by discussion with Judith Sloan and Warren Lehrer

This is an interdisciplinary presentation that grew out of an cross-media oral history project that culminated in a visual book of photographs, design and narratives, an interactive website, a performance/reading tour, and a museum exhibition that crosses disciplines of ethnic studies, immigration, performance, cultural studies, photography, and documentary art. The following script has sound and light cues as well as slide cues. The technical aspects of the presentation can be adapted when all technical needs can not be met by the venue. PLEASE VISIT OUR WEBSITE FOR SAMPLES OF STORIES AND VISUAL IMAGES: http://www.crossingtheblvd.org

Need Slide projector, screen and audio CD player

LIGHTS: Lights to Black Start in Black OUT
SOUND: Music UP: Cut #1 play 6 seconds loud: in black out -
Bring slides up:
Three Slides: ///
Music has a long note: in that space Warren gets on mic. SOUND CUE: lower music level a little

Warren:
The Borough of Queens, New York City. /
SLIDE OF pepsi factory
Unlike Hawaii, it's *NOT* the easiest place to fall in love with
or feel at home in /
SLIDE OF street in Jackson Heights
Its urban landscapes are often mundane /
SLIDE OF Factory Window
sometimes hideous /
SLIDE OF Cement Factory
and occasionally even toxic. *(hold slide)*
SOUND : START SLOW FADE slow fade music all the way out by the time he says "as soon as possible"
/
Warren:
Growing up in Queens in the 1960s / with its neatly segregated neighborhoods / endless rows of brown brick buildings / and belching factorie, was a / nowhere land, this wrestless kid wanted to leave as soon as possible. / *SLIDE: ALI*

Judith: Ali: *Center in front of ALI slide*
When I came to this country, I moved right away to Greenwich Village. You couldn't mention Queens to me.

Warren: Ali El Sayed, Egyptian Emegre and owner of the Kebab Cafe. /

JUDITH Stage LEFT:
Judith: Ali:
I really did hate Queens, especially Astoria. I thought it's a stupid village, Astoria. I went to the clubs in Manhattan, I listened to music in Manhattan. Everything was Manhattan, Manhattan, Manhattan. Then I lost my restaurant on the Upper West Side because of the rents so I came to Queens where the rents were low. I said, okay, let me face truth, I am flea with other fleas. / *BLACK- no slide:*

Warren: I did eventually make it out of Queens in my early twenties, but a decade later, I found myself again, a reluctant resident of the borough most well-known for Archie Bunker and two of the least hospitable airports in the Western Hemisphere. / *SLIDE: Triborough Bridge*

Drive over the Triborough Bridge into Queens today, and you've entered a place that has become a home to the largest mix of refugees and immigrants from all over the world, / now the most ethnically diverse locality in the United States.

Judith
U.S. Census Bureau 1990 and 2000. /

Warrren:
A modern-day Ellis Island, the airports are today's port of entry for newcomers, / making Queens a choreography of chaotic co-existence where 138 languages are spoken, including English. / Step out on the street and you're in front of Guyana Gold / next to India's Gifted Psychic Reader, on top of Queens Toffa's African Braiding and Beauty Salon / down the block the Yogi Transmission shop. / *SLIDE OF Raluca*

Judith Raluca :

When I was in Romania I knew only Romanians, only white people. I was very racist toward Gypsies. I would throw rocks at them. It wasn't till I came to the United States in 1983 after my parents defected when I had to change. Going to Forest Hills High School was like going to a different planet. For the first time in my life, I was surrounded by people from India, and Africa and South America, and for some reason there was a huge anti-communist feeling in the air. I guess Ronald Reagan going around saying the Soviet Union was an Evil Empire had something to do with it. I remember kids calling me a Russian Commie, which was absurd because I wasn't Russian and I wasn't a Commie. I made sure never to wear Red. /

Warren
I walk five blocks to pick up the number 7 train / In a rush I've walked a quarter mile of asphalt and concrete / past pungent piles of plastic garbage bags / parked cars with multiple anti-theft devices / and anonymous pedestrians. / An elderly Afghan woman walks, stops, and waits / at each of three median islands / until she finally makes it across the 225-foot-wide boulevard, / alive but worn out. /

Judith: Sultanta: We knew the Taliban were coming because we used to get fliers in our neighborhood saying, "We're going to capture the city." We knew when the Taliban took over, you did not leave the house showing anything from head to toe. We heard they took women out of their houses and beat and raped them and killed sons in front of the mothers. I'll never forget the day I got a phone call from my daughter in America. It was the first time I heard Shekaiba's voice since she was a little girl. / She kept sending us money, in Kabul, in Peshawar. Then for four years, Shekaiba tried very hard to get me to America. Finally the American Embassy in Peshawar did a DNA test with cotton swabs in my mouth. / I was hoping they were doing the test correctly so I would be her mother, because I am her mother, and this way I can get up and go to America.

Warren:
After buying saffron rice and other ingredients needed to cook kabuli palau, she knows she will have to make the journey back again. / A few dozen Mexican men, wait on a work line, hoping they'll be picked to load and unload fifty pound bags of fertilizer.

Judith: Miguel came to the United States over the border in the trunk of a car. It took six years for him to graduate from being one of the guys on the line to being the guy with the boss in the vehicle picking who works and who doesn't.

Warren: Miguel:
I always thought, why would I go to the United States? Just so they could humiliate me for cheap labor? Never! / My great grandfather fought alongside Zapata. The high school I went to was a Socialist school. If I ever crossed to anywhere, it would be Russia or Cuba- Socialist lands. / The day we crossed the border was the baby's first birthday. We spent whatever money we had left, flying from Los Angeles to New York. /
Worklines are like survival. The one who runs the fastest gets the job. We could be six or seven of us standing around, talking. When a van pulls up, you stop what you're doing and run. If they need two painters, you say you're a painter. If they need a mover, you're a mover. The guy working for the boss looking for people is an instant employment agency. "You, you & you come with me." I'm that guy now. I'm working for a guy who's Turkish and it's easier for him to have me do it, because a lot of Mexican guys don't want to go with an Arab or a Chinese or a Greek.

SOUND: CUT #2 - Sounds of people praying: play through to Remi talking:
Let music play a little (make the music longer- add drumming at beginning, 15 seconds- more loud praying into Remi)
/

Judith:
For three years, Warren and I trekked the streets of our 112 square mile borough / across the major boulevards that cut through the 55 neighborhoods / down the side streets, into family-owned restaurants, bodegas, places of worship, / libraries, schools and community rooms, looking for migration stories, culture and soul. /

Warren:
Most of the people we came to know, Crossing the BLVD arrived in the United States after 1965, when the Immigration and Nationality Act Amendment mandated an end to the discriminatory policies that favored white Western Europeans, and / opened up the doors to people from Southern and Eastern Hemispheres.
SLIDE: New Pilgrims, music stays underneath / Image of Hand
music continues.. /

Warren:
A Sunday morning in April. / Walking on broken glass, down broken sidewalks / we wander onto a quiet street off of Seagirt Boulevard / in a low-income section of Far Rockaway. / A few doors down from the Hasidic-run kosher market / and the out-of-business Medical Center / across from a vacant lot and a hair-braiding salon / is a storefront with a sign that reads / Light of God Ministries We tiptoe into a service. We are in a Nigerian Pentecostal Church. / Remi the prophetess presides over her congregation.

Slide REMI PRAYING;

Judith Remi
Father in heaven, I put your people before you, I pray for a shield over everyone one of them. / I pray for the cab drivers, that you protect them from accident, from robbery, from receiving unnecessary tickets, Oh lord. Holy Spirit, I pray for all the children of this church that you will give them wisdom and understanding, that they will be grade A students that they will be safe on the street, that they will not be pushed into the subway track, that you will shield them from bullets and police that misunderstand who they really are. Oh Lord, let no gunshots come near them, no guns shall come near them, let no guns come near them, I pray that this will be a week of favor, and by next week we will all have cause to give you glory Oh lord, in Jesus' name I pray, Amen. /

SOUND: Fade sound if it isn't already out

In the beginning I was not taking care that everything is growing evenly. Some people said that I was favoring one over another. Almost half the church left. They thought I was Yoruba. Really I am from a small tribe in the Middle Delta. Now, most of the congregation don't know where I'm from. Each week I make sure to wear the dress of a different tribe. Last week I had on Yoruba dress. / This week I am wearing the dress of the Ibo. / Next week I am wearing the dress of the Hausa. /

Sometimes we have black Americans who come to the Church but they are never steady. Some of our church members look down on black Americans, and some members don't want any outsiders coming to the Church, but I am comfortable with whoever comes. /

You are the only Jewish people I know. I say hello, but the Jewish people here, you cannot penetrate them. they are always following each other like snails. That is why I was surprised when you said you were Jewish and you knew what kind of bread to buy in the market. You are welcome here. Jesus our savior didn't call you by your color. Wherever you were born, whatever color you are, you are a human being.

Tell me again, what do you call the name of that bread? /

SLIDE: LI HONGZHI

Warren: In 1992, a former government clerk named Li Hongzhi, founded a new spiritual practice in China called Falun Gong, also known as Falun Dafa. It is based on a mixture of Buddhism, Taoism, Chi Gong and other traditional Chinese beliefs and practices. In 1999, a Chinese government survey showed that more people were practicing Falun Gong than belonged to the Communist party. Almost overnight, in their typically paranoid fashion, the Chinese government outlawed the practice of Falun Gong and imprisoned, tortured and executed hundreds of practitioners. /

Li Hongzhi lives in exile, purportedly in Queens, in secrecy and tight
security. / While trying desperately to have an audience with Master Li, we ended up becoming friends with six women practitioners. /

Judith Janet:
We call it Human Body Science. Just imagine for five years of practice you become a very healthy person without any medication. Through the principals of Truth, Compassion, and Forbearance you begin to discover the true meaning of why you are a human being. When I first heard the Chinese government declare Falun Gong to be a political threat to the system, I thought, what is the matter with these leaders? Are they stupid? / *SLIDE OF AMY LI*

Warren:
Amy Li was imprisoned and tortured for practicing her exercises in the park. She could have been free if she would just agree to sign a piece of paper saying she renounces Falun Gong. But she refused.

Judith Amy Li:
There was one policeman who hadn't yet lost his soul. He was kindhearted enough to warn me, "Go away as far as you can or in a couple of days you'll be living in a labor camp." I sent my five-year old daughter to stay with my mother without telling either of them my plans. If they knew, they would have to report it. If they didn't report it, they would be breaking the law. I escaped my apartment at four o'clock in the morning. / *SLIDE OF AMY WITH BOOK*

Warren
For three years Amy tried to get her daughter out of China. After the *Crossing the BLVD* book came out she sent photo copies of her story to the U.S. Consulate in China and to Homeland Security, which is now in charge of immigration in this country. Two months after the publication of the book, Amy's daughter's visa was approved. I drove Amy to JFK airport and this little girl, now eight years old walked off the plane with a Barbie doll in one hand and a balloon in the other. / *Slide of Sushil*

Judith: In the mid-sixties Sushil Rao was a teenager living with his family in dowtown Bombay. One day he opened a copy of Time magazine and saw all these photographs of American hippies in blue jeans who left the cities and went back to the earth to become farmers. He knew one day he would come to the United States.
/
This Hindu monk, turned cab driver, poet and small press publisher always manages to bring things back to matters of the spirit.

Warren:

A friend came to visit the other day. He said after we die, we will come in front of God. I asked him, from where will we come? From behind God? From His left side? Where are we now? He can't see us? You want to be in front of God? Look in the mirror. /

Sometimes a ride will ask me if I care so much about the earth, why don't I fight against what man is doing to it. Join Green Peace. I tell them, It's a good question — Can any of us afford to focus on our spiritual life in the face of holes in the ozone? People destroying the environment is like a man sitting on the branch of a tree and sawing it off from the tree. Eventually he's going to fall. Better yet, I might say, "If my hands start choking my throat, my hands will give up before I die because my hands are depending on my breathing. We are human beings doing stupid things, choking ourselves, polluting ourselves, but it's going to stop. We're going to faint before we die." /

Warren: Faced with a severe teaching shortage, the New York City Board of Education began recruiting and importing teachers from other countries, many with a religious zeal for teaching.

Judith: Elke
When I told the students I'm Austria, immediately they asked, "Oh, wherer the kangaroos are?" I said, "No, not Australia." Most of these kids don't have a clue about Europe. /

Warren:
Looking for a new challenge, Amarel Collymore, already a dean at a small school in Barbados, answered an advertisement and began teaching in a New York City junior high school on September 3, 2001.

Warren:
I'm looking through the leaded glass of the elevated subway station in Woodside, Queens / where I met Prajwal, a master of the Charya Buddhist dance tradition from Khatmandu. /

Judith Prajwal:
There are one hundred gods and goddesses in Charya Buddhist dance tradtion, but I only bring ten here. When I put on the costume it's not me anymore. It's the movement of the god or goddess that is dancing with my body. /
Finally, I figured out how to be happy in New York City. Expect nothing. Have nothing. / Even when I go outside and people yell at me. I am happy. It is Buddhist teaching. If everybody is liking you - egoness will be there. You are too proud. / But if someone doesn't like you, it makes you more sensitive. I want to understand them. Find out what it is they don't like. / Even if they're wrong about me, there's truth in their dislike too. I must learn from that. New York City is very good for this kind of learning. /

CHANGE CAROUSEL:

So much space. And yet no space. So far away. A lot like home. So much criticism and anger. Much knowledge.

SOUND CUT #4 play cut all the way through
Music plays in black
Carousel changer puts up first slide
Slide of Run for Your Life - words-
/ Slide of Image

SOUND CUE CUT #4 lower volume

Warren:

While some neighborhoods are made up of one or two predominant ethnic groups, often you'll find an ethnic community living within a two-block area, sometimes within one or two buildings on a block, sometimes on just one or two floors in a building. Occasionally a community is so small, they're all living in the same apartment.
/
SLIDE OF TULASI

Three Bhtanese refugees share a one-bedroom apartment in the densely populated, unwooded neighborhood of Woodside. They're all separated from their families, who are scattered between Nepal, India, and Bhutan. They were thrown together by virtue of having to flee Bhutan after the 1985 Citizen's Act outlawed the ethnic minority of Nepali-speaking Lhotshampas.

Tulasi:
They tied my hands and legs and dragged me under the rope suspension bridge and put me in the river. I remember waking up wet and bloody. Out of the fog of my head, I heard one of the soldiers say, "He looks like my teacher." I looked up. He had been one of my teenage fourth grade students. I whispered to him, "Please, don't say I'm an educated person". Educated people were their favorite targets. My student whispered, "I cannot open the rope on your hands now. But I will help you since you are my teacher."/

Warren:
Devi organized what was essentially an underground railroad, helping hundreds of Lhotshampas escape Bhutan. /
The 1985 Citizen act required everyone in Bhutan to carry an identity card, which is very much like what John Ashcroft would like us all to carry around in our pockets. An identity card with our photograph, our name, ethnicity, address and other vital security data. /

A Buddhist by birth, Yeshey fell in love with a Lhotshampa who was forced into exile.

Judith Yeshey:
In my application to travel I wrote that I was going to the capital to continue my studies. It was my first journey out of the country. My first journey to anywhere alone. When I got to the government-run bus station it was heavily guarded. For three hours of winding roads through Bhutan a policeman is sitting beside me. A year before I was a very innocent, obedient girl, and suddenly my whole life is a political act — I'm willing to risk everything to be together with my exiled husband. I had no idea whether my letter ever reached him or not. / *Slide goes to black*

I was getting very nervous because at every stop the conductor would bang on the door and shout the name of the town. You couldn't sneak off without notice. As we got closer to the first Indian check-point, I was thinking of changing my plans. Before I knew it, we were already in India and the bus stopped. I couldn't see my husband. The bus started right away. I gave up hope. A few meters later the bus slowed down again and stopped. Several people were getting out. I stood up and got out with them. I never turned around to see if the policeman was following me. My husband was right at the door of the bus. He took my hand and we ran together for a long while. /

Warren:
Many of the political refugees and asylum seekers we met fled countries where political persecution, war, even military dictatorships, were fueled and supported in part by U.S. Foreign Policy. Ironically after life became intolerable or too dangerous for them back home, they sought and received refuge in the United States. /

Judith:
Juan Carlos Veloza and Camilo Perdomo had to conceal their sexual identity to keep from being killed by anti-gay vigilante groups in Bogota Colombia. / They fled to the United States with $80 in their pockets / a rosary / the Virgin Mary and landed in Queens. One year later they applied for political asylum.
Juan Carlos told us: /

Warren: Juan Carlos:
If you don't get killed by paramilitary groups who are paid War-on-Drug money from United States to clean up undesirables, then you get killed by guerillas. If you don't get killed by either of those, you get killed by the police or one of their vigilante groups. There's a million different reasons you end up dead in Colombia. Because you have money. Because you don't have money and you live in the street or in the wrong village. Because you write an article. Only one thing all social cleansing squads have in common — if you are gay, they all want you washed away.

Judith:
Each month the U.S. Justice Department gives a press conference. In one of those press conferences, then attorney general Janet Reno said that people are getting killed in other countries like Colombia when they belong to certain social groups and they are eligible for political asylum because of that threat. /

Warren:
/ So on the advice of their volunteer lawyers, Camilo and Juan Carlos applied for asylum based on their sexual orientation. The legal brief in support of Juan Carlos' application began QUOTE: "Juan Carlos Veloza should be granted asylum in the United States because he is gay." Camilo's brief began much the same way. /

Judith: Camilo:
The first practice interview we had, we are peaceful and relaxed. We have truth on our side, and the Virgin Mary. But our lawyers said, "no, this is not a good strategy to be so calm. You need to look afraid, with problems in your minds." Each practice interview we go over the death threats and the slurs.
How do you prove calls you get on your cell phone from men who call you by your name, saying "Maricon de meirda" [Faggot piece of shit]. What can we show? We have no police report. I reported the breakins but never the slurs or the threats. To tell Colombian police that people are trying to kill you because you are gay, is like telling wolf you are chicken coop. How do you prove guns in your face? We do not walk around with videotapes in our heads. /

In the real interview there was too much questions about our gay conditions. The INS officer asked me:

Warren: You ever have sex with a woman?
Camilo: No, I love woman but never for sex.
Warren: You never have dates with ladies in your life?
Camilo: Of course. All my life I have dates who are women who have bad marriage in their background and terrible guys around. With me the woman says, "This guy never said me to go to bed with him. This guy says my dresses are beautiful. This guy sings me boleros." The INS officer looks at me,
Warren: "And never once did you?
Camilo: No, it's the system push me to be with woman to keep my lawyer image to the society." He writes notes in his pad.

Warren: In their four hours of interviews with the INS, Camilo and Juan Carlos were barely asked to corroborate one detail about the break-ins or death threats. They spent the majority of their asylum

hearings, having to prove that they are gay. In April of 2000 they both received political asylum. So for them the United States remains a "safety place." From their rather unique vantage point, the United States is a place where you not only have to PROVE you are gay — but that you are really truly gay, always were gay, and always will be gay — in order to stay in the country.

A year after receiving asylum, Camilo told us.

Camilo:
Now that we are legal residents, my mother came to visit and she brought with her my guitar. It was a beautiful reunion. Also, very wonderful to see my mother. I decide to tell her why we left Colombia, because still she doesn't understand. i think, in her mind it was safety problems, narcotics dealers probably, because I am a lawyer and I get involve with different clients. I take out my 300 pages asylum application and open it to explain her everything.
You see Mama,
I am
Juan Carlos and I are..

Then I think about this Irish friend of ours who won the green-card lottery. He goes to visit his family in Ireland. The mom says, "We are so happy for you, you finally have your green card. Let me see your green card." He opens his wallet and the mother is very upset. "Oh my little baby, your green card is pink! Your green card is pink because you are gay." Our friend says, "No, Ma. Everybody's green card is pink." She doesn't believe him.

I look at my mom- she is a simple woman. Why bother her with all the details? She suffer enormously that I am not in Colombia. If she knows I have problems because I am gay, that will make her suffer even more. She doesn't have to know every little thing. /

Warren:
Ramon Mappala is one of ten thousand Filipino detainees who were arrested when the dictator Ferdinand Marcos declared Martial Law in the Philippines in the 1970s. Ramon is still a political activist by night / and a real estate agent by day in Jackson Heights where he helped his friend, the well known journalist and author, Ninotchka Rosca / find her pre-war coop apartment.

Judith Ninotchka:
I wasn't afraid of being outspoken. That was my problem. When you are like that, you walk into trouble. When they arrested me, I was brought to the headquarters of the Philippine Constabulary, the most notorious arm of the government in charge of *Internal Security*. They booked, fingerprinted and searched me. The Colonel said, "Do you know that in a list of 5,000 enemies of the state to be picked up, your number had only two digits?" I said, "First 100. I'm so honored" He took me to a gymnasium filled with double-decker steel cots, stamped U.S. ARMY. We were given metal trays to eat on, and metal canteens, also stamped U.S. ARMY. /

I was "detained" for six months and I was interrogated five times. They really didn't know what they were looking for- just fishing all the time. A few months after I was released, I saw the guy who interrogated me. "I have a question for you. Most of the people you interrogated were kept for only twenty minutes. How come you kept me for four hours?" He said,

Warren: "You were the only one wearing a miniskirt."

Judith:
I thought, *I should really kill this fellow.*

I started Gabriella New York as a sister organization to Gabriela in the Philippines focusing on the problems of exploitation of our women for manual and sexual labor. You have a listing of so many pounds of coconut exported and so many pounds of pineapple, and at the very top you have so many pounds of female flesh. Twenty thousand women are exported every year from the Philippines, not just as sexual labor but as domestics and menial workers and very often their employers require sexual service. That's why we have all these women who kill their employers when they are raped. They think we Filipinas are so unthreatening. We are small women. We are always charming, as they say. But they forget that we have been at war for 400 years and if you push us too hard against the wall - we'll bounce back and kill you!"
/ Slide of Bul'ols

Warren:
Ninotchka has two Bul'ols in her apartment. Bul'ols are Igorot Gods of Harvest. For Ninotchka and many other Filipinos, the Bul'ol works as a protector against evil spirits. Ninotchka says she has one for defense and one for offense. /

Bovic Antosi is from the Democratic Republic of the Congo formerly Zaire where he lived for thirty years under the military dictatorship of Mobuto Sese Seko who was propped up by the United States seen as an anti-communist force in Africa. / Mobuto was such a megalomaniac, he put his picture on every piece of currency. Imagine, … Richard Nixon's face on the dollar and the ten and the twenty and a hundred dollar bill. /

To make a long and complicated story short.

SOUND: Cut #5- play underneath Warren speaking then bring volume up

Bovic fled his country after he lost his wife, his daughter, and livelihood.
Due to the war, there were no commercial flights and that's how Bovic came to escape as human cargo. /

Judith and Warren back out of light: Slides continue with AUDIO:
Bovic's voice: I am sitting on a wooden crate on a cargo flight to somewhere. The plane lands. Where, I honestly do not know. There was a box that I was sitting on top of it without knowing what was inside. My friend was a Russian pilot. I paid him money, it was not free. When we landed, I was waiting for him in the cargo until we took the other flight to Istanbul. Melanov hands me a visa with my picture and a made up name. From this point on, you are Phiri Christopher and you are from Zambia. Then he hands me an envelope with a ticket inside. Go to the destination of the flight and you will be a free man. I give my boarding pass to the steward and see that I am going to JFK International airport.

- Warren changes Slides to the words to Bovic's story. / / / / ..... /

SOUND: At 1:54 start to fade slowly so the sound is out at 2 minutes.

Warren
When Bovic landed at JFK airport, he was caught with two sets of identity papers. He sought political asylum and was immediately handcuffed, put in an orange uniform and sent to a privately-run windowless INS detention center, where he was imprisoned for two years.

SOUND: CUT #6- picks up with Bovics story.

Bovic's voice: I was so surprised to be in a building without windows and no access to outside life. There was nothing to do except reading, praying and I was writing a book about my life. That's what I did all those two years in detention.

During singing:
Judith: This is the voice of Kingsley Ogunde, a Nigerian gospel singer who we met in Remi's Church in Far Rockaway.

Bovic's voice: "When I came out, I fell down from the light of the sun. And now even though I don't have anything, I'm free. There's nothing better than freedom. But I'm still discovering it." /
Slide should be a picture of Bovic

/
Go to black slide, hold
/
should be a slide of Lana

Warren: Lana Dinh began working as a bar maid serving American G.I.s back in the war in Vietnam. / Today, she works across the street from cement factories in Flushing Queens, as a bar-maid in a strip club. /

Judith: Lana:
Lot of girls say, "Oh my God, how can you work in a place like that? All these terrible guys!" I say, "Yeah, like your husband or your boyfriend." I like the one on one. That's how you make money. Bartenders are like shrinks to a man in a bar. They got a problem — they want someone they can talk to. Married problems, girlfriend problems, job problems, punk low-life problems. I could write a book: / call it Behind the Strip Club Bar. May a ton of money. /

After the World Trade Center bombed, I thought business going to be dead. So many people lose their job. Instead alcohol consumption up 75%. People lost their job — they go out drinking! One guy he comes almost every night. I wonder, what the hell you doing here? You spend $50 a night, when you don't have job.
/
Warren:
Two of Lana's favorite icons. Laughing Buddha and / ….
/
Slide: Afghanistan:
Often, Americans discover the world by way of war. When I was a kid, Vietnam was a war, not a country. Now I order "Vietnamese" to go. After the attack on the World Trade Towers, *another* part of the world was introduced to Americans. ABC anchorman Peter Jennings stood in a room-sized map of "The Islamic World." When he got to Central Asia, he crouched down, his left foot covering Tajikistan, and explained the things we out to know about Afghanistan. /

Shekaiba Wakili was 10 years old when the Soviet Union invaded Afghanistan. She and her father escaped Kabul and came to Queens in 1980. Years later, she made contact with her mother who she never really knew, growing up, since her parents were divorced when she was a baby, and the father pretty much got everything including two of their three daughters. Shekaiba eventually brought / her mother to Queens, where they developed a relationship as adults, mother and daughter. Shekaiba also spent seven years doing the massive amounts of paperwork needed to bring her mother's sister to the United States. And her aunt

was flying to JFK on September 11th, 2001 when mid-flight, the pilot was told to turn the plane around and go back to Pakistan. /

After 9/11 Shekaiba struggled with her identity as an American / as an Afghan / as a fairly secular person / and as a Muslim.

Judith: Shekaiba:
I've had people assume that I'm anything from Greek to Italian to Spanish or Native American. Maybe Hindu. But very few people ever guess that I'm an Afghan. So I can pretty much sit there like a chameleon and hear what people have to say. The worst thing I heard, I was in an environment where somebody said, "We should go and just nuke Afghanistan. They blew up the Twin towers, so let's just get rid of them' I sit there thinking, *well, we didn't do it!* Those 19 hijackers weren't Afghan at all. /

My husband, Derek's father is Jewish. They came from Russia and believed in Socialism. They settled in a community of Russian Jews in New Jersey — nudists, artists, and Socialists. Derek's father really couldn't complain that his son was marrying a Muslim because he married a German Lutheran. He told Derek one time, "When you date their women, you better be careful, because they might come and kill you."

I will always be a Muslim and I will die a Muslim. I want to know about things I did not learn growing up, especially since 9-11. I want to know, what does it say in the Qur'an about the role of women? What does it say about jihad? What does it say about how to be with your neighbor? I know I'm not going to find anything that says you can go blow up people, but I want to empower myself with the knowledge. My kids are going to be quarter Jewish, quarter Christian and half-Muslim. When they come to me, "Oh mommy, somebody said that Islam is a violent religion", I've got to be able to fully explain Islam to them because I don't' know them to learn Islam from somebody else.

SOUND:: Music CUT #7 play underneath Warren talking and slides.
/ Slide ties that bind
/ Slide image phone circles

/ (ali and moustafa slide)

Warren:
Two brothers, Ali and Moustafa, were the first Egyptians to open restaurants on Astoria's Steinway Street. The younger, quieter brother, Moustafa in front of his place on the right, spent seven years crafting his fabulously dense mosaic and collaged restaurant before opening to the public.

Warren: From the outside façade / to the doors / to the stained glass windows, mosaic floors / and tabletops made of glass slices / and buttons, Moustafa's restaurant is filled with eyes — the eye of Horus, the bloody eye of a dragon, eyes of pigeons, eyes inside hands, all ancient Egyptian icons seen through the eyes of a man who loves contemporary life, invention, and a good laugh. /

Eight doors down, Moustafa's older brother, Ali, on the left, dishes up as much delicious philosophy and barbed commentary as he does Egyptian cuisine at his eight table Kabab Cafe. /

Judith: Ali:
I was the first one to start a café on the block. Now they're calling the neighborhood Little Egypt. Other people I know, artists and musicians who come to my place, have been here for a while too. What we do, we make the area nice. We want to listen to good music, we want to clean the place, we want a beautiful view. Then other artists and musicians come here and that's wonderful. And now comes the real estate

people. Now comes the money. They say, “Oh, this is a beautiful area.” They buy the buildings and triple the rent. And for you- as an artist or a person who just wants to feed and entertain people and have a roof over your head. You can’t afford to do that in this area anymore. You have to move out. You really killed yourself with the atmosphere you created. /

Warren:
Most of the people we know in Queens never really wanted to live there, but like us, they ended up there because it was affordable. But over the last few years, ***like a lot of places we know***, rents and real estate prices have gone through the roof. In fact Ali said to us, You’re going to ruin it with that book of yours. You better put in there that Queens is a roach infested, rat-infested place, infested with West-Nile Virus, ***from Egypt***, with airplanes flying over head all the time, dropping their toilet waste on our apartments- and we put all that in the book, but then he asked us to take it out. So please, don’t get the impression that we’re suggesting that you move to Queens, it’s already overcrowded, and there are no more good deals. But if you come for a visit, I definitely recommend you check out Moustafa and Ali.

Judith Ali:
I remember when the Oklahoma building exploded, they thought right away it’s an Arab who had done it. So people in Oklahoma went to the Arab area and start to attack them. Later on they came to know it’s not a damn foreigner — it’s a white boy nobody ever expected. When they crashed those planes into the World Trade Towers, you see the terror in people’s eyes, maybe you’re one of the guys that planned it. It’s easy to point to people and start to name them. You are Warren. You are Judith. You start to think, what kind of name is that? Jewish, Jewish is this and that. I am Ali. Oh, Arab. Every day we should change our names. Today I’m not Ali, I’m Eli. I’m Alay. Tomorrow I want to be Margarita. It’s a cool drink. It’s illogical even to have names. We should have number. Or dots maybe. No more Ali, / I am dot, dot dot dot. You are dot dot dot dot. / What is race? What is color? Stay in the sun, your skin gets darker. Religions, we should get over this stuff already.
Religions didn’t come from France or England or Alaska. They all came from one triangle. /

Or maybe it’s a square. / Start with Buddha in India, then Abraham, then Mohammed and Christ.

We don’t live in countries anymore. We live in a very small village. /

Warren:
Malika Kalontarova is a Bukharan Jew from Tajikistan which was a Central Asian State of the former Soviet Union. You might think, Jewish, Soviet Union, not a very happy combination, but for Malika it was different. She led a pretty graced life as a famous dancer who became / an official artist of the state. It wasn’t until the Soviet Union fell apart, and civil wars broke out throughout Central Asia, that Malika left with her husband and two sons.
Along with 30,000 other Bukharan Jews, they settled in the Rego Park section of Queens, into a one-bedroom apartment that doubled as a dance studio. /

Judith: Malika:
Four daughters my father taught to be hairdresser. First one Sveta. Second one Daniella. Third one Eira. Then he brought me to hair salon, thirteen years old. He told me to take customer to dryer room like assistant. All women sitting there under dryer. I tell to the women. “I don’t really want to be hairdresser.” They said, “So, what you want to be?” I say, “Me want to be famous dancer.” They say, “Why? Can you dance?” I say, “Yes, I can show you the concert now. I start dancing. Raka taka tak taka taka taka toon. /

Ladies in drying room start clapping. And one customer my father had, says "Please Yasha, your daughter is very talent. No make her work beauty salon. She will bring you money in future." I dance on stage for first time, thirteen years old. Newspaper came out. Says my name is Mazol.
/

Judith Arthur:
Okay, what my mother's saying. Her name was Mazol.

Warren:
That's Arthur, Malika's youngest son. He learned to dance / from watching his mother.

Judith Arthur: You know why she didn't like the name Mazol, because in Russian, Mazoil is Blister. She always say to her mother, "Why you give me that stupid name" Then in 1989 she went to Israel to tour. She see every wedding, bar mitzvah they say, mazel tov. When she came back to Russia she say, "Thank you Mama for my Jewish name. Means good luck." But how she got her stage name, in 1964, she passed a competition and was hired to really popular group Lola and they give her the name Malika. She perform many years all over Russia, everywhere as Malika. /

Judith Malika:
In Russia, people ask, You Russian? You Jewish? You Tajik? Most Jewish people say they Tajik or they Russian because Jewish get no good work. No good pay. But once I'm famous, I'm not afraid. I say "Me Jewish". I go to perform, sixty-five countries. Belgia, Italia, Canada, Bangok, India, / Afghanistan, Pakistan, France.

Warren Iskhak:
In America, You musician, you famous artist, nobody know.

Judith:
Iskhak, Malika's husband is a master frame drummer who toured with her for twenty-five years.

Warren Iskhak:
In Russia, I teacher, many many stud<u>ent</u>. In U.S.A. No job to play moosic here for me. In Tajikistan, no boss. Only play moosic, 35 years.

America is free country, is working, working, working. Is money, money, money. After saving their money, money, money, zhey die. No good. Money is die. Yesterday is killed, 65 year old man, bank killed. Millionaire. International bank. Working money, money, money for America. After working should go to restaurant. Drink, I like you, you like me — enjoy! After working, working, working, you must kiss husband, kiss wife. Okay. Make moosic. Love family. Zhen can die. /

Judith Arthur
First two years here was not so bad for me, I was in high school. I didn't have to pay rent. But for my parents, they got very bad depression. My parents sat, every night on the couch watching video tapes of their performances from all over the world. Thinking how we going to make money, how we going to pay rent? Because of thinking that, my mother almost got hit by car crossing Queens Blvd. That's why, a lot of immigrants was hit because they was crossing the road and they are thinking here we nobody, our life is over. One of our relatives got hit here. He also from our country. He got killed by car. Two years later his niece got run over by a mini van. Exact same corner.

Queens Blvd. is a very, very big road. It's like twelve thirteen lanes over there. It's really dangerous. Especially here on 63rd drive. The light says WALK. Soon as you step off to walk light goes like Don't Walk. It's Don't Walk. DON'T WALK. /

Warren:
With no overpasses or underpasses, Queens BLVD has become the most dangerous pedestrian cross-walk in the city, or as the Daily News coined it:
The Boulevard of Death. For us, the boulevard, Crossing the BLVD, became a metaphor for many of the things people have crossed- wars, environmental disasters, borders, oceans, cultural and language divides. /

Slides; Malika's studio / / / / /

Judith
Talks about Malika having a new studio on Queens BLVD.
/
SLIDE: DINU AND CHRISTINE

Warren:
Dinu Ghezzo is a composer from Romania. When he came to NY he fell in love with the new music scene. He loves Jazz, improvisation, and electronic music.

SOUND: CUT #8- Christine singing- quietly underneath Warren talking.

His daughter Christine, / is a singer who was born in this country. [*WAIT]*

But she's completely obsessed with traditional Romanian folk music [*WAIT]* and goes back to Romania as often as she can, turning her father on to his cultural heritage.

Through the years, we've heard a lot of complaints about the new immigrants. They're not like the immigrants of the past. They don't want to assimilate. They don't want to learn English. For the most part we don't find this to be the case. ESL courses are always full. But one of the differences we do see is the connection to back home. The Internet, satellite TV, telephone, the importation of food, music and clothing, and access to air travel make it a lot easier to be as connected to your culture as you want to be. And this we think is the cause of a lot of misunderstanding and resentment. You've been in this country for five years, why do you still have that THING on your head. /

Sound fade out
CHANGE SLIDE CAROUSEL
CAROUSEL THREE
SLIDES: Neighborhood Stories
Music: Cut #9
/ Neighborhood Stories words
/ Neighborhood Stories- photograph
/ (rodeo ticket)

Warren:
Father's day 1999. A Mexican Rodeo is to take place in a parking lot off of Northern BLVD. There are going to be clowns, musicians, and bull riders and real live bulls that the Mexican producers imported from North Carolina. / Unfortunately, one of the bulls jumped the fence, crossed Northern BLVD, ran down that road and instead of turning left going over the 59th Street bridge into Manhattan, it turned Right and was

chased / 15 blocks by the cops with a helicopter flying over head till eventually they corner it in a parking lot of a public housing project. /

Judith: Helen:
I was just sitting down to enjoy my coffee and the Sunday paper when I heard Bam Bam Bam. I've heard shots around here before. But this was a non-stop shootout. Like all of a sudden I'm at the O.K. Corral. I jumped up and saw a bull coming down 36th Avenue at a pretty good clip, and cops chasing behind it in their cars. They must have fired dozens of bullets into the street. After getting hit by a barrage of 40, 50 bullets, the bull sprung a leak. You could see the blood spurting out of him as though you had punctured a bag full of liquid. He moved a little to one side, and then slowly laid down right by the handicapped parking space. /

Warren
Helen's neighbor Leo, is from the Himalayas and he grew up with bulls on the street all the time. He's thinking, what the heck is going on? He grabbed his camera and took the photograph that you saw earlier / which ended up the next day on the cover of the New York Post. / Jorge who is from Ecuador and also grew up with bulls on the street was hiding with his young daughter behind the recycling bin because bullets were ricocheting every which way.
/ Needless to say this was a fiasco for the producers - the Navarro brothers lost 80,000 dollars in a day, and gave up on producing Rodeos. /
The ticket was prophetic - in Spanish it says The Event That Will Live in History. And it did. /

One side street in the neighborhood of Flushing where Judith and I did a storytelling workshop in a senior center. At the end of the workshop, / Solamen took out a saw and played Amazing Grace and Home on the Range.

Judith: Solamen:
My family name, Zhang means where we were lost, where we will be found. My first name, Shru means book. That was my name until I went for American citizenship interview in 1985. The officer ask me, "Do you know English?" I say, "If I become citizen, I want change my name to Solamen. I make poetry to find my new name." He writes down Solomon spelled like King Solomon in the Bible. I say, "Not Solomon.. Solamen. First four letters, Sola means the sun. Last three letters, men is a creature living under the sun." The officer laughed. I say, "We cannot live without the sun. Also Sol." I sing,
"Do Re Mi Fa — next one is Sol. Because I like to sing. The last four letters spell amen. When you finish a prayer, you always say Amen." I passed the exam. /

Warren
Mary told us about surviving the Chinese Cultural Revolution. She came to New York when she was 65 years old, and eventually married her English tutor Frank, who I think might be the only Jewish man in New York City who doesn't like Chinese Food. Little by little Mary says she sneaks Chinese ingredients into Matza Ball soup. Frank says, hmmmm. Pretty good. /

Judith:
An Egyptian coffee shop on Steinway street. Five nights after the World Trade Towers were attacked. / The owner of the café, Labib Salama, and his friend Nasser / were sitting around smoking shisha, which tobacco dipped in spices, playing chess, talking, watching the news. Three o'clock in the morning, four young men, two white, two Hispanic, barge into the place, turning over tables, throwing chairs around, smashing the mirror. / Labib and his friends call the cops and to their credit the cops came- they were keeping watch on the Arabic neighborhoods. The cops got the guys down on the ground, hand-cuffed them,

but Labib refused to press charges. He said he understands their rage, he feels the same rage, just let them go. The cops had no choice but to let them go. The cops leave. Labib and his friends start cleaning up the café and an hour later, at four o'clock in the morning, the same four guys come back to the café. /

Warren:
The first thing out of their mouths, these guys thank Labib for not pressing charges. Then they helped clean up the café, they buy everyone coffee, and these two groups of men talked until 8 o'clock in the morning about their fears and differences. / When they left, Labib told them:
Next time you want to come and be friendly with us, you don't have to hit us and then say you're sorry, just come and be friendly in the first place.

Six months later, things were not as simple for Labib. Four of his steady customers had been detained a few were deported. He himself had to go back to driving a cab just to make ends meet, because it's not really that good for business when The FBI keeps coming around asking your customers and neighbors all kinds of questions. /

SOUND CUT #10 : MUSIC SOUNDS OF VOICES: /

SLIDE: UNLIKELY BEDFELLOWS /

Warren
The great hope of our close-to-home journey came in meeting people who come together from many different countries because of something they share in common - like /
PING PONG! At the Champion Table Tennis Center in Jackson Heights
Where semi-professional and professional players /from China / Israel / the Czech Republic / and Jamaica all speak the same language when that 40 mm ball is in motion. O.J. by the way is from Jamaica but he speaks fluent Chinese / George is originally from Guyana but has lived in this country long enough to have played on the U.S. team that went to China with Nixon in 1971 and he played against / Min who was on the Chinese team and is now the manager of the club / *Slide to Morshed:*

Judith:
There are so many new immigrants from so many different nationalities, no single group has enough clout to influence an election. So Morshed Alam, / a former student leader in Bangladesh's fight for independence started a political club with members from / South Asia, South America, Asia and Africa. /

Harjinder Singh is a proud Sikh-American who is part of Morshed's group. No matter what happens to him in this country, he just loves it here.

Warren: Harjinder:
American people are the best people in the world. Even the criminals are good. When I first came here I was driving a taxi cab, and one time a passenger put a gun in the back of my neck and asked me to hand over all my money. I gave him all the money from my wallet. $13. He said, "You sure that's all you have?" I said, "Yes. You're only my second customer of the day, sir." He made me empty my pockets, and then he abused me, "Oh, you're a bloody poor fellow. I can't rob you." He handed my $13 back, reached into his pocket and gave me a dollar. "Here," he said. "This is to buy your coffee." I let him out at the corner and thought, Wow! This is the most incredible country in the whole world! /

Judith:
As an artist-in-residence at the Queens International High School, I work with kids from 50 different countries. One thing the kids all have in common is that they, like all immigrant teenagers before them, /

are becoming more American than their parents ever will. / I ask them to go home / and interview their parents. / A girl came back to class and said: "You know miss, I never talk to my father. He left my country when I was two and didn't bring me here till I was ten. Now that you make me do this interview, he thinks I want to talk to him all the time and he won't shut up!"/

Occasionally cultural conflicts erupt:

Warren:
Adis is from Bosnia. He came to the U.S. in 1997 with his Muslim Father and Serbian mother.

Adis:
The whole thing with Jonathan was a misunderstanding. In my country you tell somebody, "I'm going to kill you, " It means we're going to have a fight. But in America people take things really seriously. Especially after Columbine. And especially if you threaten someone on line. I was making fun of Jonathan because of his touchy-kissy ways with the girls. In my country you don't touch a girl unless she's your girlfriend. Even if you're just friends, a kiss on the cheek is not good. That's why we have hands, to SHAKE THEM. For four years I've been around all these Spanish kids, but still my culture is burned into me. It doesn't get erased like a tape recorder. Albanians are like us too. All the Balkans. You're a sissy if you show tears. /

I got suspended and banned from the computer room for a month. They weren't going to let me back in the theatre class either because Jonathan was in there. So I apologized to everyone and let them know I was no threat. I didn't want all those months of rehearsing to go to waste. I would never kick somebody's ass just because I'm jealous of them. I have my limits. Maybe I was thinking, if I go up to a girl, hug her for a half an hour, she'd be like, get out of here you pervert!? When he does it, it's normal. I wish my culture was…you know more affectionate. Guys aren't supposed to have feelings. We're supposed to be robots with batteries in them and the feelings shut off. /

(SLIDE OF GOGOL NEIGHBORHOOD)

Warren:
We end tonight's tour with some of the members of the self-described punk gypsy cabaret band Gogol Bordello / Like so many people we know their relationship to Queens is one of passing through. / Ukrainian-born Eugene Hootz, the central force behind Gogol Bordello, was going up stream in a boat with his father from Kieve towards Chernobyl the day the nuclear power plant exploded. As Atomic refugees, Eugene and his family went to stay with relatives in Western Ukraine, where Eugene came into contact with the Gypsy side of his family for the first time. He eventually came to New York and started a band with musicians / from Kazakstan, / Sakalin Island, / Israel / and Queens. /

Judith: Eugene:
Queens has been absolute gold mine for our musical collection as well as social sidekick place. We might be doing our CD release concert at Bohemian Hall in Astoria. The place is great, except there's a group of Neo-Nazis that comes there. Young kids in black T-shirts. I forget about that aspect in New York. Usually you hear about Neo-Nazis in Austria or England or somewhere in mid-west. This whole universal redneck thing: GO BACK WHERE YOU CAME FROM, exists everywhere, but it's very well developed in America. Germany too. Even Switzerland, most neutral country.

You can still fee that vibe if you go to Munich. If the people get the chance they'll do it again.

This is part of why the whole globalization thing leaves the public very confused. Because the same people will kill you for your Gypsy background, then they'll go to the store and buy your record. /

On the one side: Globalization is a ridiculous-fabricated-by-marketing-heads concept that helps sell things people don't understand. It's killing the culture. Watering everything down.
On the other Side you have anti globalization artists. And some people think we're about being secluded in our own culture. It's not about that. It's about preventing the sameness of the world. That's what global culture is bringing- complete confusion. Is this Brazilian or Arabic. Eventually you won't be able to tell. It'll be Three Hundred Million States of America Around the World. Music made for the fucking mall where you can buy all these idiotic souvenirs that you can't tell where they're from either. Like when you drive through America. Okay, this is Massachusetts, this is Connecticut. What's the difference, I don't fucking know. Gas station, McDonald, McDonald Gas Station.

SOUND CUE: #12 play through to end

Pretty soon you'll go to Slovenia and see the same shit too. /

Where we all meet is our own version of Gypsy music. Everyone in the band is about knowing your tradition. You already rejected it, acquired a distance from it, inhaled all this new stuff, and from those two, you go into third position of making an entity of its own. That's how you keep the tradition. By making it new. Freely deriving from whatever the fuck you like.

Bring SOUND UP

LIGHTS OUT ON JUDITH AND WARREN AS SLIDES KEEP GOING

Last slide black.

LIGHTS: Curtain call - center.

CROSS THE BLVD

strangers, neighbors, aliens in a new america

WARREN LEHRER & JUDITH SLOAN

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Suit and Tie:
Detective Robert Goren, the Modern Representation of a Superhero

Traditionally, the idea of a superhero conjures up images of a mild mannered person by day and a costume clad crime fighter by night that possesses inhuman strength, agility, and extrasensory perception. Although Detective Robert Goren of the NBC television series *Law and Order: Criminal Intent* maintains the guy next door image, he embodies the ideals of a classic superhero. His attention to detail, willingness to help those in distress, and his perseverance to ensure justice is done makes him a more identifiable crime fighter. The proposed study will examine season one and other available episodes and will demonstrate Detective Goren's perceived extraordinary powers of observation and intellect and how such characteristics, although thought of as supernatural, are actually obtainable and thus make him a modern day superhero.

Submission Title: Japanese Identity in the 21st Century as found In the Visual Arts

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Abstract of Paper

Japanese Identity in the 21st Century as found in the Visual Arts

In the summer of 2004, I was awarded a Sasakawa Fellowship from the American Association of State Colleges and Universities. I was invited to attend the Japan Summer Institute directed by Dr. Michael Weiner, Chair of the Department of Asia Pacific Studies at San Diego State University. This presentation is an abstract of a planned research project that began with my studies in San Diego.

There is a general public awareness and understanding of Japanese culture, art and history. Current interest in Manga, Anime and the enormous popularity of the Tom Cruise film The Last Samurai has fostered a renewed awareness. The Japanese are perceived as having a reverence for spiritual heritage, traditions in craft and customs. The Japanese appear to the outside world as technical wizards, producing goods that are inexpensive and of high quality. Japanese art, architecture and design are regarded as stylish and imaginative. As masters of portability and multi-functionality, the Japanese look to be a model for the creative fusion of the past, present and future.

One must look just beneath the surface to see a country that projects sameness to the outside world, but in reality is a quite diverse society confronting life in the 21st Century. This look inward is lead by a group of visual artists that combine traditional and experimental techniques. Their work is a blending or fusing of Eastern and Western aesthetics. The result is powerful, subtle, yet unique imagery that is a visual commentary on some of the complex aspects of Japanese society.

There is a vitality and originality to be found in this work that uses various media and techniques. Initial research that I started in San Diego has resulted in the discovery of numerous visual artists whose work challenges the nature of certain elements of Japanese society. Two of these artists working in photography and installation art are Mariko Mori and Tomoko Sawada.

The themes found in the artwork of Mariko Mori embrace traditional Japanese customs, rituals, religion and the role of women. In the resulting art pieces an attempt to look at Japan's perception of itself is made. Like Andy Warhol and Cindy Sherman, Mori creates personas that can be thought provoking. The installations that are constructed are compelling. The issue of Japanese identity in the 21st Century, in all of its many manifestations, is the underlining basis for her work.

Tomoko Sawada is another visual artist whose work deals with some facet of Japanese custom. The ritual of "omiai" is examined. The tradition involves Japanese women having their photographs taken as part of a pre-arranged marriage custom.

Stephen LeWinter

Japanese Identity in the 21st Century as found in the Visual Arts

These photographs would then be distributed to family and relatives in order to find a possible husband. Sawada using make-up and costumes appears in her own photographs disguised as one of the different personalities offered in marriage.

I plan to continue my research in this area, identifying other visual artists who along with Mori and Sawada wrestle with the questions of identity, culture and roles in Japanese society in the 21st Century. The presentation of this abstract at this time is to share with others what I have unearthed.

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Title: "Telling Stories, Saving Lives: The Importance of Teaching Trickster Texts in the Classroom"

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In the oral narratives of the slaves, tricksters taught listeners what to do, what not to do, and who to avoid. Although couched in entertaining allegory, trickster figures like Brer Rabbit and John-the-slave used wit to outsmart, outthink, and outmaneuver much larger, stronger opponents. Historically, the African American trickster tradition, then, has been able to provide lessons of black survival.

In 2003, I completed a doctoral dissertation that I titled, *"Bred en Bawn in a Brier-Patch": A Study of the African American Trickster Tradition.* In it, I contend that the trickster is a trope and analyze his culture-building function in the texts of select writers spanning the last two centuries of the African American literary tradition. Since then, I have been teaching "trickster texts" in my freshman composition and sophomore literature courses. Thus far, I have used Frederick Douglass's *Narrative of the Life of an American Slave, Written By Himself,* Charles Waddell Chesnutt's *The Conjure Woman*, Ralph Ellison's *Invisible Man*, and Toni Morrison's *Sula* and *Tar Baby*.

In these courses, I have continued the tradition of using the trickster as a culture-builder within my classroom. My discussion questions for the courses are:

1) Is there a need for the trickster today?
2) What trickster "lessons" are relevant today?
3) How has the trickster evolved since slavery?
4) What cultural groups might use the trickster as a culture-builder today?

In addition, I share my personal "trickster story." In 1989, just before my high school graduation, I was threatened by my Honors English teacher. She told me: "You will never amount to anything! And, I will fix it so you will never have a career anywhere!" I was the only African American student in the class.

True to her word, for the next five years or more, this teacher contacted my college professors and employers. Thanks to an understanding college professor, however, I was alerted to this woman's schemes. And, thanks to an unwavering faith and lessons learned from trickster tales during my childhood, I was able to "outwit" my former teacher and earn B.A. and M.A. degrees in Speech Communication and English. At one point, my former English teacher and I were even colleagues.

However, it was on May 10, 2003, when I was awarded the first Ph.D. in the 92-year history of Middle Tennessee State University in Murfreesboro, Tennessee, that I was truly able to appreciate and celebrate the lessons that I learned. Trickster tales saved my life.

Each year when I share my story and teach "trickster texts," I see my students, Asian American, African American, Arab American, Euro American, Hispanic American, and international, literally "open up" and share their own experiences with discrimination, labeling, and stereotyping. Ultimately, we are able to discuss positive ways to handle these experiences and sometimes even save lives.

This presentation will relate my story. It will emphasize the fact that "trickster texts" must be taught. Finally, I will discuss what I have learned from it, what my students have learned from it, and how we have changed from the experience.

3rd Annual
Hawaii International Conference on Arts and Humanities/January 2005
Participant Proposal Submittal

Submission Title: ***Reawakening to the Significance of a Place to Gather:***
A Plan to Restore the Navajo Peoples' Historic Council Chambers Building; Window Rock, Arizona

Topic Category: Architecture, Art, and Traditional Cultural Landscape
Presentation Format: Paper

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3rd Annual
Hawaii International Conference on Arts and Humanities/January 2005/Abstract Submission

Reawakening to the Significance of a Place to Gather:

A Plan to Restore the Navajo Peoples' Historic Council Chambers Building, Window Rock, Arizona

Proposal by: James R. Lewis, Architect

The Navajo have a belief that, "everyone is an artist and each person has within himself or herself the ability to create, provided that they don't close themselves off to the potential of art in everything around them". Given this conviction to the expressive capacities of not solely the weavers, silversmiths, and sand-painters, as so often typify the roots of Navajo aesthetics, the contributions of stonemasons, carpenters, furniture-makers and muralists have left indelible marks on the Navajo Peoples' sense of who they are.

With few comparisons, the architecture that grew out of the early 20th century necessity to establish a political identity for the Navajo Nation represents the high water mark in the collaboration of native artisans whose crafts coalesced to transcend the Bureau of Indian Affairs' (BIA) expectations for an aboriginal people's seat of government.

At the operational heart of the Navajo's Great Depression Era government campus, comprised of some half-dozen structures in Window Rock, the hogan inspired, octagonal planned Council Chambers stands in contrast to the rectilinear pueblo-modern building inventions of "east coast" designers as commissioned by the Department of the Interior. While the whole of the paradoxically situated government complex represents a not so subtle attempt by the BIA to superimpose "a system" of order among monumental sandstone outcrops and the Navajo's revered Window Rock formation, the Council Chambers' form and spatial qualities represent an amalgamation of traditional beliefs and 1930's architectural pragmatism serving to bridge the handmade to the natural.

For most of a decade, I have been working professionally with Native American Tribes toward documenting, stabilizing, restoring, and adaptively utilizing their significant historic buildings to the benefit of perpetuating traditions of design and construction that lend identity to how Native peoples see themselves. At a point in history when Tribal sovereignty is mounting and the Federal Government is pulling way from its custodial role relative to Native affairs, it has never been more important to encourage current and future Native American artisans, spiritual leaders, and policy makers in their abilities to protect their followers' heritage while working to facilitate who they wish to become—a noble pursuit in accommodation of preserving and utilizing sound historic architecture of meaning steeped in unique vernacular origins.

With the greatest of respect for Navajo builders past, and sincere aspirations for the present generation of native craftspersons who are just beginning to assert a renewed spirit of creative assuredness, this paper's portrayal of one building's significance (and, just as important, the manner by which the Navajo are preparing to restore the structure) is a true measure of how a people are reawakening to the significance of a place—their place in which to gather and reexamine the potential of art in everything around them.

3rd Annual
Hawaii International Conference on Arts and Humanities/January 2005/Paper Submission

Reawakening to the Significance of a Place to Gather:

A Plan to Restore the Navajo Peoples' Historic Council Chambers Building, Window Rock, Arizona

by: James R. Lewis, Architect

The Navajo have long gathered in the midst of formidable natural surroundings within a vast land defined by four sacred mountains. Unlike their neighbors, the Hopi, Zuni and Rio Grande Pueblo dwellers, who rooted their cultures on the fertile banks of rivers or on the defensive precipices of mesa tops, the wandering Navajo have long persevered in places that they might be part of one day, and different settings that circumstances of survival demand that they embrace during alternative periods of time.

Move though they have for centuries, the Navajo (living in the fifth state in a sequence of levels of emergence from lower worlds) are connected to nature as defined by sacred landforms of physical distinction—mountains, canyons, and large stone anomalies shaped by the wind and water over time. It is within sight of such a place, the revered Window Rock formation (an ancient pilgrimage site of the people), that the Navajo Nation's contemporary government complex was erected in the 1930's.

Commissioned by the Bureau of Indian Affairs (BIA) as an initiative of the Great Depression Era Works Progress Administration, the pueblo-modern stylized government complex sets in stark contrast to sensual monumental sandstone outcroppings that characterize a landscape that had seen little human habitation until which time construction on the center of government began. As an architectural expression of American democratic institutionalization, the single-story rectilinear planned structures that make up the majority of the complex are laid out along a relatively true north to south axis with buildings spaced and arranged in accordance with governmental separations of power. The complex was designed by the New York architectural firm Mayer, Murray and Phillips and constructed at the hands of Navajo craftsman.

While it might be argued that a certain degree of contextual association was accomplished by the manner in which such otherwise site-contradictory buildings were constructed using locally quarried red sandstone, this attempt at vernacular interface falls woefully short of being what would be viewed as site-sensitive design today. Even the recognizable way the buildings are contrived in pointing to and orienting pedestrian movement toward the venerable Window Rock formation comes off as superficial or perhaps even indignant given the Navajo's aversion to "direct" approaches when seeking life's lessons. Irregardless of these observations, the government complex has served successfully as the home of centralized Navajo governance, having grown to be regarded as a viable seat of secular authority over the course of some 70 years of use (in spite of being shoved up against, or due to the obvious proximity to, such a dynamic setting of natural allure).

Juxtaposed to the systemized ordering of government office buildings that generically formalize the human scaled functional landscape, and serving to mitigate for the cultural disregards that such federalized buildings represent, the government complex's highly distinguishable Council Chambers building stands as a symbol of Navajo identity and hope for spiritual good fortune.

Among the Navajo's most recognized public landmarks, the Council Chambers is a monumental octagonal planned hogan conceived in the ancient tradition of Navajo dwelling construction—in effect a house for a nation of people. Set off to the side from the regiment of more dominantly situated yet comparatively mundane office buildings that form the core of the government campus and characterized by its more meaningful architectural distinctions, the Council Chambers' form and spatial qualities represent an amalgamation of traditional beliefs and 1930's limited means construction pragmatism that strives to bridge the man-made to the natural.

Falling short of commanding center stage, with respect to its placement within the campus context, the Council Chambers never-the-less enjoys what is perhaps the most powerful visually framed setting of any of the original government buildings. By virtue of being flanked by tremendous stone outcroppings, the Chamber and the legislative body that occupies the building appears to be watched over by ever-vigilant sentinel-like representatives of nature. Conversely, the Chambers can be viewed as the symbolic caretaker or guardian of the age-old massive stone formations before which the building humbly resides.

As is the convention of more domestically scaled hogan, the architectural form of the Council Chambers stems from the Navajo Creation Story, thus reflecting evolved and well proven construction customs of enclosures being formed by faceted walls of stacked logs or stone masonry (generally octagonal and hexagonal plan forms) in an attempt to approach nearly round spatial perimeters. Topped by a dome-like roof (achieved by employing a system of corbelled timbers in the case of a dwelling and suggested by way of a clerestory roof tier when articulated at the scale of the Chambers), the symmetrically arranged hogan mass is interpreted universally by the positioning of a main entryway that always faces East to the rising sun.

Aside from the fairly good view one is afforded of the Window Rock formation when looking north from the Chambers' east facing entry, present day views in every other direction from the building have been greatly compromised by the introduction of parking lots, poorly sited modular structures, and tree lines that correspond to roads that act to visually separate the Council Chambers from the greater government complex.

Contrary to the loss of natural vegetation (juniper trees, scrub brushes and wild grasses) that once grew adjacent to the government complex and particularly close to the Chambers and at the base of stone formations, non-native plants and even Bermuda grass lawns have been introduced in an effort to graft broader American impressions of institutional conformity to a convenient political image that government might be perceived as being more approachable if viewed as more suburban. In addition to doing

little to enhance the visual appearance of the Council Chambers, one can contend that the poorly kept alien flora detracts from the relationship of the vernacular inspired Chambers' architecture to the distinct stone outcroppings that have long drawn the Navajo to this important site.

When comparing historic photographs of the severely unadorned and therefore subservient expression of original government buildings set next to the site's natural attributes and, as existed until relatively recent times, to the realities of a complex that has fallen victim to the functional demands of the automobile and dismembering malaise of government inefficiencies, the campus' evolved landscape is arguably a sobering reflection of social confusion.

Be it the deteriorated conditions of the buildings or undermined integrity of the government complex's once minimal but congruent landscape (whether or not one ascribes to the belief that a marriage between nature and man was ever consummated in accepting the contemporary building forms that occupy this place), one cannot help but be overwhelmed by the contrast that exists when considering what once was and how much has been altered in the past 30 years.

For all of its contemporary infrastructural shortcomings and compromised aesthetic appearance (as judged largely on architectural grounds in light of this paper's examination), the Council Chambers building, as the symbolic heart of the Window Rock government complex, survives as the Navajo Nation's most historic and recognizable "modern" political institution—the metaphoric hearth of decision making in facilitation of the people's democratic voice and, at the same time, a spiritual compass in accommodation of a people's future.

As a place of public gathering, a stage of artistic portrayal, and a building form of unparalleled symbolic identity to the Navajo, the Council Chambers is set further apart from the utilitarian characteristics of surrounding government buildings by the qualities embodied through refined construction craft and interior mural artistry. Such aesthetic qualities as expressed within a building of reverent form elevates the Chambers to nearing state capitol status if one chooses to draw such comparisons. At the time of the Chambers' construction, all of the materials used in its creation (save the cement used in forming concrete for foundations, masonry mortar and plaster, piping and radiators providing steam heating, limited amounts of electrical wiring, steel pipe columns, and factory manufactured windows and doors) were of local origins.

With the attentiveness of fine jewelry crafters and the temperament of the ceremonial sand-painters, Navajo builders amassed beautifully precise hand dressed blocks of stone in fashioning load bearing walls on top of which were nestled bark stripped pine timbers forming the structural composition of the building.

Upon entering the building from the East and after allowing for one's eyes to adjust to the under-lit Chambers within, one is immediately in awe of the seven panelized murals (an eighth mural panel portraying a controversial scene exists but was covered over in the

1970's) that were painted on smooth plaster walls depicting important historical episodes from the Navajo's post-European contact traditions. Executed by Navajo artist Gerald Nailor in the early 1940's, the aqueous medium pictorials that grace the Chambers' perimeter walls and pilasters, are widely respected on both artistic and anthropologic merits and are considered to be a national treasure by learned Southwestern U.S. art scholars.

As represented as a place of gathering and a stage of human interaction, allow me to share a simple story that expresses the duality of building viewed as conventional construct of enclosure while at the same time of building as geometric sign of the Navajo's Creation Story continuum—a magnifier of sorts to the peoples' contemporary sense of place.

During a recent summer trip to Window Rock, I happened to observe a sizable group of people partaking of a mid-day meal on the grounds (East side) of the Chambers. Being aware that an urgently called session of the Council was being held (implying that political matters were of essence and decisions needed to be made), I was fortunate to observe how the Navajo's legislative process might be influenced by good hot food and the very animated demonstrations of a highly respected elder (assumed to be a medicine man, or singer as the Navajo prefer) who was busily appealing to Chapter (village) delegates to consider things a certain way. There in the out-of-doors, in the illuminating light of day, with earth underfoot, and in sight of stone formations bearing witness to the not so subtle exploits of "interest group" persuasions, a small part of the Navajo's destiny was perhaps being set in motion as children and grandmothers seated in the shade looked on, campaigners kept foil covered dishes from getting cold, political operatives held in their stomachs while eating standing up, and the singer gracefully bounded from one delegate to the next appearing as a purposeful bee in search of the best place to light.

When compared to the more traditional ceremonial displays, involving dance, bonfires or, perhaps, blessing incantations, the outsider might dismiss the above recounted incident as an uneventful occurrence being separate from the realm of Navajo spiritual pursuits. To the contrary, this colorful pageant of nature, sustenance and human compassions underscores the optimistic outlook for the advancements of Navajo sovereignty and identity as are indelibly linked to the rituals and earthly elements that transcend the immediate.

Coming to appreciate (while not always recognizing or necessarily understanding) the nuances of Native American societies' origins, beliefs and views of the present has been a privilege and challenging growth experience in the course of working professionally with Native peoples over the past decade. With an acquired appreciation for my clients' needs and aspirations in the course of helping them preserve and better utilize their sound historic buildings (that are increasingly being transferred from BIA authority to Tribal control), I have been fortunate to witness the emergence of a new generation of Native American leaders who are gaining experience at decision making after years of enduring the custodial management of U.S. government bureaucrats.

Awarded the commission to examine the condition of the Council Chambers and working toward strategizing for the restoration of this one-of-a-kind building presents a unique opportunity to mobilize a highly motivated team of preservation consultants willing to tackle this exciting and daunting task. Investigation results of the recently completed Historic Structures Report and Preservation Master Plan were compiled and presented by narrative, photographic and record drawing means as a baseline for establishing resource identification, preservation, appropriate use guidelines and interpretation recommendations.

Due to the ravages of time, maintenance shortcomings, and poorly planned and executed modifications to the Council Chambers, there is much work to do.

Among the most revealing of restoration planning tools, historic photographs as complement scant surviving original furniture pieces, present a collective image of architectural continuity whereby build form is functionally harnessed to meet the lofty goals for ritualized space of organic origin—the Chambers viewed as if a gourd rattle made worthy of being shaken by the Holy Ones.

In the process of restoring the Chambers no one has been so naive as to imagine that the Navajo would be able or even willing to turn back the hands of time and recapture the essence of an era when, despite romantic sheep herding notions, the people lived under harsh conditions and often demeaning authoritarianism. Alternatively, the ever-adaptable Navajo look forward to the incorporation of state-of-the-art electronic technology and information conveniences worthy of a nation confident enough to handle its own affairs of state. With this point in mind, it is the opinion of the Master Planning Team that the building be granted a certain amount of use mediation (relief from excessive occupant demands) as part of any rehabilitation construction campaign. To this end, Council delegates are presently wrestling with the challenges of how to sensitively incorporate technological and contemporary environmental elements within the building while balancing the commitment to represent the building and its grounds in a more respectful manner in support of Navajo cultural pride.

While an array of other significant historic buildings, structures and collected artifacts (many housed in the Navajo Nation's contemporary museum at Window Rock) are all relevant in underpinning the greater story of the Navajo, it is the Council Chambers, as both symbolic and habitable space, that has served and will hopefully continue to serve as the backdrop to the political processes and social rites that have bound a people together—a people like all who aspire to be treated with dignity in the course of seeking fulfillment and prosperity. With the opportunity within reach for the respectful rehabilitation of the Chambers building, the time is right to reclaim the integrity of this most important public place as an appropriate tribute to all Navajo forbearers and to future generations of Navajo to come.

As noted photographer Laura Gilpin so beautifully expressed, "Many who know the Navajo well think that the great days of ceremonialism are past. Possibly this is true, but I cannot believe that the old ways will really be lost. Another generation will want to

know all those things that their grandparents can tell them, and I am sure that there will always be some who can do so, and that a new interest in their traditions past will come. Who can say whether there will be or will not be a great revival? We can but hope that those essential qualities that are the birthright of the Dineh (Navajo) will never be lost. Song and singing are the very essence of Navajo being and, as long as the Navajo keep singing, their traditions will endure".

With the greatest of respect for Navajo builders past, and sincere aspirations for the present generation of native craftspersons, artists, elders, children happily at play and grandmothers busily preparing mutton stew—all representative of a people of immeasurable creative assuredness—this paper's portrayal of one unique building and the attitude in which the Navajo are preparing to restore it, is intended to be a reflective gesture to the past and a promise for tomorrow of how a people are reawakening to the significance of a place—their place in which to gather and reexamine the potential of art in everything around them.

"JUMPING OFF THE PAGE"

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JUMPING OFF THE PAGE WORKSHOP, submitted by Li Chiao-Ping

This workshop, created by Li Chiao-Ping under a Kennedy Center Artists As Educators seminar, can make words come alive in wonderful ways. Participants approach the exploration of movement and words from two different directions- they use language as a catalyst for movement and they also discover the power of non-verbal language, using their bodies as expressive instruments.

Some individuals are more at ease thinking and expressing themselves kinesthetically, while others have linguistic affinities. This workshop addresses both styles of learning while encouraging participants to consider differences and approaches to knowledge acquisition as well as transference/translation.

Within the 90-minute framework, the workshop will encompass various strategies for finding and making connections between verbal and non-verbal language and honing perceptual/sensory processing, i.e., from thought to action/words or vice versa. Stories will be danced/moved to as well as written/told.

Li Chiao-Ping (Choreographer/Performer/Educator) was named by Dance Magazine as one of the 25 "we'll be watching in 2001 and for years to come!" Since 1989, she has toured extensively as a solo artist. She was a co-director of DZIGA VERTOV PERFORMANCE GROUP with Douglas Rosenberg and continues to direct LI CHIAO-PING DANCE, which she formed in 1990. Her work for stage and screen has been presented throughout North and South America, including New York, Chicago, San Francisco, Washington, and Toronto, as well as at festivals such as Jacob's Pillow, Bates Dance Festival, The Yard, the International Festival of Video and Dance in Argentina, and the American Dance Festival. Ms. Li has received numerous awards, grants, and honors, including grants from the NEA and choreographic fellowships from the Wisconsin Arts Board and Scripps/ADF Humphrey-Weidman-Limon. She was the American representative in ADF's International Choreographers Program. Her work has been commissioned by university dance programs, dance companies and independent artists across the country.

"PAINKILLERS"

Li Chiao-Ping and Douglas Rosenberg

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'PAINKILLERS", submitted by Li Chiao-Ping and Douglas Rosenberg/

This work is approximately 80 minutes in length. There is no intermission. We live in a culture where our humanity is at risk. When we see someone in pain or in need, what do we do? Avert our eyes and step over these people or pause and lend our selves in some way? This program is dedicated to those among us who have suffered trauma, either mental or physical, yet live their lives with dignity, courage, strength, and grace.

A woman comes out on stage and tells the audience that this is "a story about a woman" and that it is not about her. With original music by composers **Daniel Feiler**, **Ryan Smith**, and **Stephen Vitiello**, renowned choreographer **Li Chiao-Ping** and award-winning director **Douglas Rosenberg** address pain and loss in their acclaimed multimedia work, ***Painkillers***, seen recently at Dance Place in Washington, DC. This work takes the audience through the relentless journey of the indomitable human spirit. Li's highly personalized, raw dance statements and Rosenberg's architectural video design transform the stage into a highly-charged three-dimensional space. Along with performer Li Chiao-Ping, members of her five-member professional dance company help the audience view and feel the telling of stories.

Li Chiao-Ping is a renowned choreographer and solo performer whose work has been presented throughout North and South America, and at festivals such as American Dance Festival, Jacob's Pillow, and Bates Dance Festival. Douglas Rosenberg is an Emmy-nominated director and the recipient of the prestigious 2002 Phelan Art Award in Video.

Dying for Love in *The Peony Pavilion* and *Romeo and Juliet*

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Abstract

In this paper, I compare two extraordinary works about love written in the sixteenth century, one in China and one in England. *The Peony Pavilion* (1598) by Tang Xianzu has often been referred to as the Chinese version of William Shakespeare's *Romeo and Juliet* (1596). I prepare the stage for my analysis by first providing an overview of the texts. Then I reconstruct the way each play utilizes the idea of dying for love, giving more extended discussion of *The Peony Pavilion.* After laying this groundwork, I pursue my principal objective which is to make some comparisons about how dying for love is presented in the two texts. I make some concluding observations about what both authors have to say concerning the life-threatening and life-giving nature of love.

Introduction

The Peony Pavilion and *Romeo and Juliet* are two extraordinary and canonical works about feverish love on the international stage of drama. *The Peony Pavilion* was written in 1598 by the famous Chinese dramatist Tang Xianzu of the Ming Dynasty. It has been referred to by some critics as the Chinese version of William Shakespeare's *Romeo and Juliet,* which was written just two years earlier in 1596. Tang Xianzu (1550-1617) and William Shakespeare (1564-1616), were contemporaries living in vastly different cultures. In the two works under study in this paper, the shared theme of the hero and the heroine pursuing genuine love relentlessly, even at the sacrifice of death forms a very interesting perspective from which we can compare and contrast the way in which dying for love is presented in two significant works of Western and Eastern drama.

The Peony Pavilion and *Romeo and Juliet* both speak of the universal subject of love. Both dramas depict the fervent love and burning passion of a young couple. Both texts explore the relationship between love and death and the valuable meaning created by lovers dying for love. In these two works death turns out to be the sacrifice required

as the remedy for lovers who cannot have their beloved. The protagonists' brave and courageous pursuit of freedom and love is immortalized in literature by the skillful writers and their use of language.

In this comparison of these two works I will first provide an overview of each text.[1] Then, I will reconstruct how each play utilizes the idea of dying for love, giving more extended discussion of *The Peony Pavilion.* After laying this groundwork, I will pursue my principal objective which is to make some comparisons about how "dying for love" is presented in the two texts. This final stage of the paper will give me an opportunity to make some concluding observations about what both authors have to say concerning the life-threatening and life-giving nature of love, and how this is a reflection of their different cultural and literary world views.

Overview of the Texts

The Peony Pavilion, also translated as *The Return of the Soul,* is called *Mudan Ting* 牡丹亭 in Chinese. Written in a beautifully poetic style, the drama revolves around the love story of Liu Mengmei 柳菁梅 (Willow Dreaming Plum), a young scholar, and Du Liniang 杜麗娘, the daughter of a high official in Nan'an in southern China. In a visit to the family garden at the back of the official residence, Liniang falls asleep and is approached in a dream by Liu Mengmei, with whom she then has a romantic affair in the Peony Pavilion. Awakening from her dream, she becomes lovesick (*xiang si bing* 相思病) and inconsolable in her longing for Mengmei. She eventually pines away with a broken heart in the seclusion of her maidenly chamber in spite of the efforts of a female Daoist spiritual medium and her pharmacologist, Teacher Chen. Before she dies, she

paints a self-portrait which is interred under a stone in the garden alongside her remains beside a plum tree.[2]

After her death, Mengmei comes into the foreground of the play. We see him on his way to the imperial examination in Hangzhou. But he falls ill at Nan'an and is given a resting-place in the Du family garden. Walking in the garden, he happens to discover Liniang's portrait and he spends many hours of longing and fond gazing at her lovely form. Immediately he develops a deep feeling that he knows the woman in the portrait from a dream in his past. One night, Liniang as a ghost appears to him and yet they are able to renew the passionate relationship they enjoyed in their shared dream in the past. At her request, Mengmei opens Liniang's coffin and she is revived because she has found her love. The two young lovers marry in a hurry. Then, worried by the news of a war that had spread to her father's new governing district, Liniang sends her husband to look for her parents, taking her portrait as an identification. However, instead of being honored as his son-in-law, Governor Du has Mengmei arrested and accuses him of robbing Liniang's grave. Later, even when Liniang herself appears in front of her father, he persists in refusing to believe in her resurrection. Finally, only with the help of the emperor's testimony and royal decree does he acknowledge her identity and the two lovers' marriage is sanctioned.

The story of *Romeo and Juliet* is a glamorous story of romantic love at first sight followed by the two lovers' dying for love. Romeo and Juliet are from the two feuding noble families in Verona, the Montagues and the Capulets. At a masquerade ball in the house of Capulet, Romeo catches his first glimpse of Juliet and is immediately overcome

by her beauty. Juliet likewise becomes lovesick and both pledge to seal their love by marrying. With the aid of Friar Laurence, they are married in secret.

Just after the wedding, a street brawl erupts between the two feuding factions. Romeo's friend Mercutio is killed by Juliet's cousin, Tybalt. In retaliation, Romeo kills Tybalt. As punishment for his crime, Romeo is exiled to Mantua. The lovers enjoy just one night together before he must leave or face execution. They part at dawn. Meanwhile Juliet's parents insist that she marry Lord Paris. In order to avoid this, Juliet feigns her own death as part of a plan to reunite with Romeo and live happily in a new place. Romeo gets the news second-hand that Juliet has died. But what he does not receive is a letter from Friar Lawrence explaining the ploy. Grief-stricken he rushes back to Verona, finds Juliet apparently dead in the tomb, and he kills himself by drinking poison. Juliet wakes up, finds her beloved Romeo dead beside her, and she uses a dagger from Romeo's belt to kill herself. Thus both characters die for love.

Reconstructing the Theme of Dying for Love in *Peony Pavilion*

In the history of Chinese literature numerous works are built around the theme of love. The famous tragic tale of *Liang Shanbo and Zhu Yingtai* 梁山伯与祝英台 in the seventeenth century is still a household favorite in China. People are carried away by the two lovers' commitment to each other and their courageous choice of dying so as to be bound together.[3]

When *Peony Pavilion* was first published in the later part of the sixteenth century, it experienced an immediate success both in book form and in live performance. The celebrated female writer Lin Yinning (1655-c. 1730) remarked, "When the published edition of the play first came out, there was no man of letters or scholar without a copy

on his desk" (Zeitlin 128). *The Peony Pavilion* created an important new trend in Chinese literature by developing the character of a female protagonist in such a manner as to promote the appreciation for her sentiment, passion and love (*qing* 情) in the male-female relationship. *Qing* translated below as "love" is wonderfully and philosophically articulated by Tang Xianzu in his preface to *The Peony Pavilion*:

> Love is of course unknown, yet it grows ever deeper. The living may die of it, by its power the dead live again. Love is not love at its fullest if one who lives it is unwilling to die for it, or if it cannot restore to life one who has so died. And must the love that comes in a dream necessarily be unreal? For there is no lack of dream lovers in this world. Only for those whose love must be fulfilled on the pillow and for whom affection deepens only after retirement from office, is it entirely a corporeal matter…(Tang ix)

In the wake of *The Peony Pavilion* interest in *qing*[4] dominated the literary life of the sixteenth and early seventeenth century in China, and it soon became a cliché among educated men and women. A considerable number of remarkable dramas and novels were produced in the Qing dynasty which illustrated and reflected *qing* as love and passion between the lovers.[5] In addition, many literary critics focused on this somewhat elusive concept, and it even became a trend in the late Ming literary world to celebrate love, romance, and under certain circumstances, even passionate sex.[6]

Hence, the young heroine Liniang (also called Bridal Du) in *The Peony Pavilion* became an exemplary figure symbolizing for most writers in the late Ming and early Qing periods an unswerving pursuit of love and passion (*qing*). To some extent she became an alter ego for her female audience because she made it acceptable for women to feel passion and love, and to seek to find it outside of the constrictions of filial obedience. In *The Peony Pavilion* Liniang is highly educated, sensuous yet respectable, and a strong willed young woman. She dies from pining away and seeking a desired lover whom she

first conceived of in a dream. This type of conduct was not previously regarded as appropriate behavior for a Chinese woman during this period because the *Nuerjing* and other texts still reflected and also shaped the perception of women in the culture at the time of *The Peony Pavilion's* writing.[7]

Judith Zeitlin says this about Liniang's place in Chinese literary tradition: "Just as Du Liniang's love eventually transcended death in the play, so her effective power helped her transcend her fictional status in the female imagination." (129). Liniang appealed to women in seventeenth and eighteenth century China because she successfully managed her own fate and overcame the repressive social conventions about women in order to fulfill her fantasies and aspirations. The drama even inspired many women to take up the literary arts as a serious profession and to present their own critical commentary on such a new image of a female figure (Swatek 1-25).

In *The Peony Pavilion*, Liniang's lovesickness is derived from the dream she has when she makes a stroll in her back garden. In the dream she encounters the handsome Liu Mengmei and his remarks reveal that their meeting was predestined (*tianming* 天命). When Mengmei sees her in the dream he says, "So this is where you are—I was looking for you everywhere." "Lady I am dying of love for you!" (Tang 47-48) The bliss he feels is derived from the memory of their meeting and love making, which Liniang calls "joys of cloud and rain" (52). These two passages remind us that the line between memory and dreaming is often blurred in works of this period. It was common in the late Ming and early Qing to use a dream narrative to take the place of an actual memory, especially one the appropriateness of which might be questionable.[8]

Awakening from her dream, Liniang becomes lovesick and restless. She pleads with Heaven, "Ah, Heaven, let the dream I dreamed be not yet fled too far"(52). And she laments, "How I long for that bygone dream in exchange for this new-found sorrow!" (57) She can not forget the exciting and passionate meeting with the man in her dream. She recalls, "Yesterday, a random spring stroll—who was it I met in my dream? So close we were, so loving, I was sure this was my life's true love. Now, when I quietly ponder on what passed, my spirit sinks and I despair" (56).

Liniang is experiencing a kind of lovesickness in which she feels weary in the morning and is very melancholy over the falling flowers in the garden. Tang writes that her memory is of a hazy dream of petal-scented love (56).[9] Indeed, it is significant that after Liniang's dream "the ground is carpeted with fallen petals" (57, 59, 60). This image signifies that her life is drifting away because of her love for Mengmei (Swatek 4-76). Chunxiang (Liniang's maidservant) says Liniang's lovesickness is robbing her of her self (Tang 89). And her mother says, "…why must a solitary daughter sicken and pine? Delicate as a petal she should enjoy Heaven's mercy..." (75). But this association of Liniang with the perishing petals reminds us that she is dying of love and that this dying is a loss of her self. She says,

> Alas, my joy in sprig of apricot,
> My willow-bearing lover fades and dims as spring's traces vanish
> ….But how can I stop myself!
> Each spell of senseless longing
> Mires me in passion ever deeper.
> What good such thoughts—
> But how can thinking stop?
> And so I pine in secret,
> Fearing discovery.
> Faint breath stirs my heart
> Only to cough. …
> Now my spirit stirs

> Like the air of a mirage
> As the breeze sets to tinkling
> The pendants below the eaves
> ...Set me a tablet upon my youthful grave
> Telling I died of longing. (100)

In Xiaoping Yen's recent novelistic retelling of *The Peony Pavilion*, Yen has Teacher Chen return to consult with Madame Du after failing to heal Liniang and Chen says, "I've done my best, but nothing seems to be able to cure an ailment of the heart" (Yen 92).[10]

Liu Mengmei's lovesickness is also clearly portrayed in *The Peony Pavilion*. Having seen only Liniang's portrait, Mengmei says to himself, "Can it be true that what will come to pass was already perceived in dream?" Here we learn that Mengmei has also had a dream of passionate love. This is significant because it provides a clue to the sudden expression of dying for love that pours out of him when he sees Liniang for the first time in her ghostly body three years after her death. Seeing her, he muses to himself and speaks to her. "Ever since I set eyes on the beauty in the portrait I have longed for her day and night….If only she could come to me in a dream…Ah lady, lady, I did of longing for you!...Surely there must be a love affinity fated between this lady and myself?" (Tang 156, 157) The shared dream of Liniang and Mengmei is the vehicle used by Tang Xianzu to show the powerful love between them and to reveal that both are dying for love.[11]

Love is not only a reason for death in *The Peony Pavilion*, but it is also Liniang's way back into life and Mengmei's salvation. After her death, Liniang passes into the ghost world and she appears before Judge Hu. She tells him that longing for love led to her death (129). Even the Flower Spirit tells Judge Hu that "Passionate longings brought about her death" (130). In Yen's novel version, the events in hell are put in a more

theatrical fashion than in Tang Xianzu's original. However, the basic justification for Liniang's return to this world is essentially the same. In Yen's version, Judge Hu's clerk tells the judge "She is charged with free love" (Yen 122). And when she appears before the Judge he wants to make her his concubine because of her beauty. She refuses even though he has the power to burn her, slice her, grind her, or turn her into the lowest life form.[12] When the Judge asks why she will not accept this role, her answer is simple: "I am in love" (123). The Judge confronts her with the fact that her parents do not approve of the man, or even know him. The Judge says, "This is free love, a very serious offense, my prettiness" a "flagrant disregard of maidenly virtues" (124). The Judge allows her spirit to return to the earth and orders that her body be kept in tact and fresh in the grave for one year. If her love comes she will receive her life back again (126-127). In Tang Xianzu's original version Judge Hu referring to Liniang's love for Mengmei says, "On this account I shall release you now from the City of the Wrongfully Dead, so that you may wander windborne in the search of this man" (Tang 133). So, here we see that her triumph over death is totally dependent on her willingness to pursue her love unswervingly.

Linang is brought back to life and united with Mengmei as a result of the mystical power of their love that is bringing them together. Tang Xianzu uses the Chinese idea of "marriage affinity" (*yin yuan* 姻緣) as a literary device to accomplish the lovers' reunion (49). Both Mengmei and Liniang feel that heaven (*tian*) has brought them together (51).[13] There is something at work between the lovers other than the mystical force. There is the physical passion and caress as well. Tang Xianzu does not draw back from this aspect of the feelings each has for the other. On the occasion of her request that he

open the grave and revive her, the still ghostly Liniang says to Mengmei, "Your solemn vow to take me as wife fills my cold bones with new warmth" and "…my cold flesh already you have caressed to warmth. Fear not to start my spirit winging away in terror for at sight of you my body and soul must reunite imperishable" (188, 189). Liniang dies for love, and then resurrects for the consummation of her love. Mengmei's tortured heart is brought to peace by Liniang's love and his dying for love is arrested. This is how dying for love is a central motif in *The Peony Pavilion.*

Reconstructing the Theme of Dying for Love in *Romeo and Juliet*

Like Peony Pavilion, *Romeo and Juliet* presents the idea of dying for love, along with the pain and torment of love unsatisfied. Even in the *Prologue,* Shakespeare says that he will tell the tale of Romeo's and Juliet's fearful passage of "death-mark'd love".[14] (Prologue 9) Through this remark he prepares the readers for the fact that the love between the young lovers in the story he tells will be filled with tribulations, pains and disasters. The tale is made tragic in part because the moment of the first meeting of Romeo and Juliet at the masquerade ball is rather magical and inexplicably powerful. Their love is represented as a sudden magic spell, Cupid's arrow striking, since it happens to both simultaneously! Romeo is shocked, stunned and bewildered by Juliet's beauty. Similarly Juliet is overwhelmed by Romeo as if by a seemly magnetic force. Their immense affection to each other pours out in stunning language like a torrent of water crashing down the mountain. "Beauty too rich for use, for earth too dear" (1.5.46). Love is a divine madness from outside the person, a wound and a divine blessing in which no human act of choice was involved. Their falling into love happens involuntarily as

though a force draws them together. Such love is wonderful, violent and feverish, but it also leads to mishap and disaster.

In this drama true love triumphs momentarily in the wedding of Romeo and Juliet and yet the motif of dying for love still predominates throughout, overriding and destroying any provisional victories. Although many readers enjoy *Romeo and Juliet* because they can imagine what it would be like to die for love. At least philosophically, perhaps everyone hopes that one day they will love someone enough to die for them (Brannen).

Shakespeare goes right to work by showing us Romeo's sensitivity and capacity for lovesickness by giving us a view of his love for Rosaline even before he meets Juliet. Brian Gibbons says Romeo is described as a typical "Elizabethan melancholy lover" (47). Because he can not win Rosaline's love, Romeo becomes very gloomy and depressed. He waxes eloquent about nature of love, saying "Why such is love's transgression./…Love is a smoke made with the fume of sighs;/ Being purg'd, a fire sparkling in lovers' eyes;/ Being vex'd, a sea nourish'd with lovers' tears;" (1.1.185-190) And he tells Mercutio that love pricks like a thorn.

When Romeo meets Juliet at the masquerade ball, he changes into a different person with tender feeling and great passion, quite able to put his feelings into words. Romeo adores Juliet with these beautiful lines,

> O, she doth teach the torches to burn bright!
> It seems she hangs upon the cheek of night
> Like a rich jewel in an Ethiope's ear;
> Beauty too rich for use, for earth too dear!...
> Did my heart love till now? forswear it, sight!
> For I ne'er saw true beauty till this night. (1.5.43-52)

A short time later as he stands below her balcony, he gazes upward toward her moving figure and says,

> It is the east and Juliet is the sun!
> Arise fair sun and kill the envious moon
> Who is already sick and pale with grief
> That thou her maid art far more fair than she….
> …The brightness of her cheek
> Would shame those stars
> As daylight doth a lamp. Her eyes in heaven
> Would through the airy region stream so bright
> That birds would sing and think it were not night.
> See how she leans her cheek upon her hand.
> O that I were a glove upon that hand,
> That I might touch that cheek. (2.2.19-25)

Romeo yearns for Juliet, but experiences lovesickness because he thinks she is unattainable as a result of the family feud.

After their marriage and upon learning of his banishment, Romeo's longing for Juliet reaches a fever pitch and is well expressed to Friar Lawrence: "'Tis torture, and not mercy. Heaven is here/Where Juliet lives, and every cat and dog/ And little mouse, every unworthy thing,/Live here in heaven and may look on her,…" (3.3.29-33). When he learns about Juliet's "death," Romeo grieves by shouting, "Then I defy you stars!" (5.1.24) While he does not show a disposition to blame the stars because of his banishment, since it was the result of his own action, he does curse the powers of the universe upon learning of what he thinks is Juliet's much undeserved death.

Romeo's great anxiety is aroused because of his love for Juliet. His eagerness to return to Juliet can be seen in his affirmation: "Well, Juliet, I will lie with thee tonight./Let's see for means. O mischief thou are swift/To enter in the thoughts of desperate men" (5.1.34-36). He has the determined resolve to die for love and does not hesitate to seek out the apothecary. And looking upon Juliet's body in the tomb he sees

her body still beautiful and tender, although he seems to realize that it should be otherwise. He says, "For here lies Juliet, and her beauty makes/This vault a feasting presence, full of light./...O my love, my wife,/Death hath suck'd the honey of thy breath/Hath had no power yet upon thy beauty./Thou art not conquer'd. Beauty's ensign yet/Is crimson in thy lips and in thy cheeks,…" (5.3.85-95). In the tomb, next to the love that has so powerfully drawn him to her, he drinks the poison intending to die for his love and unite with her again.

Juliet's lovesickness is as clearly expressed by Shakespeare as is Romeo's. Only a short time after their meeting at the ball, she muses to herself on her balcony with the immortal lines,

> Romeo, Romeo, wherefore art thou Romeo?
> Deny thy father and refuse thy name.
> Or if thou wilt not, be but sworn my love
> And I'll no longer be a Capulet. (2.2.33-36)

Her lovesickness is unmistakable in her impatience while she is awaiting word from her nurse about Romeo's intentions and the hoped for marriage plans.

> The clock struck nine when I did send the Nurse;
> In half an hour she promis'd to return.
> Perchance she cannot meet him. That's not so.
> O, she is lame. Love's heralds should be thoughts
> Which ten times faster glide than the sun's beams,
> Driving back shadows over louring hills.
> …Is three long hours, yet she is not come.
> Had she affections and warm youthful blood
> She would be as swift in motion as a ball;
> My words would bandy her to my sweet love,
> And his to me. (2.5.1-15)

And after their marriage, awaiting for the promise of the passion and longed for caresses of the wedding night Juliet is impatient with the slow march of the day from morning to evening. She whispers,

> Gallop apace, you fiery-footed steeds,
> Towards Phoebus' lodging: such a wagoner
> As Phaethon would whip you to the west
> And bring in cloudy night immediately.
> Spread thy close curtain, love-performing night,
> That runaway's eyes may wink and Romeo
> Leap to these arms untalk'd of and unseen.
> Lovers can see to do their amorous rites
> By their own beauties; or, if love be blind,
> It best agrees with night. Come, civil night,
> …Come, night; come, Romeo; come, thou day in night; (3.2.1-17)

At the prospect of having to marry Paris, although she not only loves Romeo, but is indeed his wife, Juliet goes to Friar Lawrence for a solution. He helps her plan a ruse in which she will appear to die in order to escape the arranged marriage and to be free to possess her banished true love. Even though she is afraid of possible real death and the certainty of the dismal scene in the tomb, she agrees to drink the vial and await the coming of the Friar and Romeo until such time as she awakens. After she awakens from her "death" her first concern is "Where is my Romeo?" she asks the Friar (5.3.150). Upon discovering that Romeo is dead, she decides to join him abruptly, happily, and bravely. "Yea, noise?/Then I'll be brief. O happy dagger./This is thy sheath. There rust, and let me die" (5.3.168-169). The desire for union calls forth Juliet's violent death. For the sake of their love for each other, the young couple both choose to die. "[T]here commitment is to precipitate action, which heightens their sensitivity to the detailed texture of experience with its constant possibilities of violence, cruelty and pain" (Gibbons 50).

Comparing Dying for Love in *Peony Pavilion* and *Romeo and Juliet*

In what follows, I will not make comments on every comparison that could be made between these two texts, even with respect to the dying for love genre. I intend to comment only on what I consider to be some of the more significant points.

Consider these basic similarities between the plays. In these two texts, the death of both heroines is a result of lovesickness. Indeed, hero and heroine alike are all infected with it. Both heroines are the only daughters of rich and powerful officials. The behavior of both female protagonists is regarded as independent and somewhat rebellious, given the context in which the play was written. The women are adolescents who are beautiful and die touchingly of their love sickness. They feel love's pain deeply.[15]

While Juliet's death brings an end to Shakespeare's tragic drama, the death of Liniang in Scene Twenty serves only to free the heroine to pursue her dream of love, first in ghostly form and then again in human flesh. Liniang dies of a one-sided lovesickness, longing for the man in her dream who does not know of her love, even though they have a shared dream connection. By the time when Liniang dies, Mengmei has not yet shown her his love in the physical world, only in the shared dream. Whereas, Juliet's death results from a lovesickness created by the full knowledge of her dead Romeo's love for her.

Love at first sight has kindled the flame of lovesickness in both men as well. Beauty is the irresistible power which intoxicates them. Love and passion causes them to wonder whether they are going mad. Such bliss is a pleasure and a pain. There are many strikingly similar images used by the men in praising the women they love. The

moon, sun, stars, and flowers are among these. Mengmei adores Liniang, describing her as the celestial maiden Guanyin, and Juliet is the Sun in Romeo's eyes. Mengmei praises Liniang,

> Amazing loveliness in mortal form! Jewel bright as moonlight, chance
> midnight meeting: how to respond to her?
> Breathtaking beauty,
> loveliest of mortals!
> In lamp's glow, sudden bewitching smile!
> Still bright the moon—
> was this night fairy raft
> rose to River of Heaven?
> Out of the dark, beauty adorned you come—
> or does a heavenly sylph honor my couch? (Tang 163)

But the strands which the authors use to weave their stories of dying for love are contrasting in an important way. Romeo and Juliet are star-crossed lovers, and fortune will not permit them to be together, even though they are in love.[16] At the ball it seems that fortune has brought them together, and they fall in love without having chosen to do so. But as Shakespeare braids the story along, misfortune and accident, misunderstandings and bad timing, always hinder the smooth pursuit of love. The play takes one step beyond comedy and becomes tragedy. As Tina Lu says, "In many tragedies and comedies, one of the two genres plants the seeds of the other" (Lu 24). It could have been a comedy. Until the death of Mercutio, it is full of fun and jokes, a ball scene and young lovers, and a balcony in the moonlight. The death of Mercutio turns the whole play around and then it becomes tragic. But until halfway through, it could have had a happy ending (Brannen).

However, after this point in the play, we have little reason to doubt the *Prologue's* affirmation that Romeo and Juliet are star-crossed. They fall in love with each other, only to learn that they are each in love with someone from the family they most despise.

Romeo kills the man who killed his friend, but in doing so also kills Juliet's cousin. A letter delayed causes Romeo to believe Juliet is really dead, all appearances to the contrary. If the message from Friar Lawrence had reached Romeo, he would not have acted under the wrong impression. Had he only waited beside Juliet until Friar Lawrence arrived, he would have even then been prevented from taking his life, and he would have his Juliet again. Timing is central in turning this dying for love into tragedy. In *Romeo and Juliet* the world is not friendly and unfavorable to the young lovers..

In contrast, *The Peony Pavilion* is actually a comedy of remarriage after dying for love (Lu 15). Liniang and Mengmei are not star-crossed, even if Liniang dies, she nevertheless resurrects, and she does so three years after her passing away. Tang Xianzu uses the concept of marriage affinity *yin yuan* 姻緣 to create in his readers the confidence that they will be brought together and that the forces of the universe favor their love.

The Peony Pavilion belongs to the *chuanqi* genre of Chinese drama.[17] In such plays, the lovers are always brought together in the end, even if the plot is intricate and the pain of love severe before its resolution. "The passionate boy and girl at the beginning of the play have been transformed into a new family—a husband and a wife,….The Genre demands such closure; *chuanqi* are supposed to end this way—in a grand reunion (*tuanyuan* 團圓) scene where everybody finds his way back to his proper place" (23). In Chinese dramatic romantic comedy of the *chuanqi* 传奇genre the obstacles are eventually overcome and the story ends with the promise or suggestion of living happily ever after.

In *The Peony Pavilion*, the shared dreams of Mengmei and Liniang, the way *yinyuan* moves, even the lord of the ghost world Judge Hu himself, all open the door to the promotion of love. From the depths of the ghost world, Judge Hu determines that Liniang has a lover in the land of the living by looking into his *Register for Heartbreaks*. He sends her back so that she can find her love and live again (133). This is required for things to be set right. So, death can be overcome and Liniang is resurrected both because of her love and in order to pursue her love.

So, here, in spite of the fact that both of these nearly contemporary texts undertake to talk about dying for love, we must acknowledge that there exists a great difference between the Western and Chinese approaches. As Zeitlin says, "Conditioned by Western notions of mimesis, we are accustomed to think of literature as an imitation of life. The corresponding ancient Chinese view would be rather that literature originates in the human heart to make a response to external things" (151).

[1] Since this paper will be delivered on January 13, 2005 at *The Hawaii International Conference on Arts and Humanities,* co-sponsored by the East West Council for Education and the Asia-Pacific Institute of Peking University, I felt that I should offer an overview of both texts. It seemed to me that perhaps some Western readers might not be familiar with *The Peony Pavilion* and some Chinese readers might require a reminder about the basics of *Romeo and Juliet.*

[2] Of course, Xianzu places the burial under a plum tree to reveal his belief in the love or marriage affinity between Liniang and Liu Mengmei, whose name means "willow dreaming plum."

[3] There are many ways in which the story of *Liang Shanbo and Zhu Yintai* is more like Romeo and Juliet than is *The Peony Pavilion.*

[4]For a discussion of *qing* in the texts of this period see Haiyan Lee 1979.

[5] Among them, the most prominent were Cao Xueqing's 曹雪芹 *Dream of Red Mansion* (*Hongloumeng* 紅樓夢), Hong Sheng's 洪昇 *Palace of Eternal Youth* (*Changshengdian* 長生殿), and Kong Shangren's 孔尚任 *Peach Blossom Fan (Taohua shan* 桃花扇).

[6] For one example of a critic concerned with *qing* see Pan Zhiheng 潘之恆 (1556-1622). *Pan Zhiheng qihua* 潘之恆 曲話 (Pan Zhiheng's notes on theater). Compiled by Wang Xiaoyi 汪效倚. For a more detailed survey of other critics see Swatek 1-25.

[7] See texts from this period such as the *Classic for Girls* (*Nuerjing* 女兒經) and the *Book of Filial Piety for Women (Nu xiaojing* 女孝經) still defined the roles of women up to the period of Tang Xianwu's writing. See Wang 2003.

[8] This shared dream literary device in Chinese drama is called *dongjing meng hualu* and it is traceable to Zhang Dai's work in the Song period. See Li 53.

[9] Here we may think of the passage in *Dream of the Red Mansions* (*Hongloumeng*) in which the female character Lin Daiyu buried the fallen plum petals in her back garden symbolizing her depressed emotion over her inability to fulfill her love for Jia Baoyu.

[10] Yen's work is not a translation but a contemporary novel based on the play. Yen more directly than Tang Xianzu makes it clear that Liniang pursues her own love's desire. In Yen's version, Linianng leaves no doubt that she does not wish to submit to her father's command to marry whomever he chooses in her discussion with Fragrance (Chunxiang) about the garden boy. (58) In fact, although Chenxiang wants a man with money so that she can buy her freedom, Liniang says, "A man with money may not love you." Liniang tells her that when she marries she will set Chenxiang free and "You can marry whomever you like,…." (59) When Chenxiang says to Liniang that she hopes that Du Bao will find a good husband for Liniang, Liniang answers, "Oh, no, I want to find a man myself." and "I want to marry someone I like and someone who likes me." And she even tells Chenxiang that she thinks she can convince her father to allow her to do this. (59)

[11] Shen Jing (1553-1610) in his revision of *The Peony Pavilion* chose the title *The Shared Dream Story (Tongmeng ji).*

[12] This is all very consistent with Daoist beliefs about the ten hells, the requirements of testimony before the judges, and the grounds on which someone could be returned to this world. See Maring Palmer and Joanne O'Brien 1996.

[13] Actually to confirm this marriage affinity the play has Judge Hu consult the marriage books and there he finds Liniang and Mengmei destined for each other. Since she is listed in the "Register of Heartbreaks" and they are both listed in the "Register of Marriages." (Tang 133)

[14] My citations from *Romeo and Juliet* are from the edition by Brian Gibbons.

[15] A review of 19th Century British literature confirms this belief. It is true that most passionate and romantic love has pain as a backdrop to its pleasure and bliss. Consider Jane Eyre's struggle to win love, Marianne's loss of romantic love, and even Elinor's inner pain to regain the love she thought she once possessed. All of these stories support the theme that romantic love has as a constant companion deep pain. Certainly this is likewise the case in the Chinese works from this period mentioned earlier, especially Liang Shanbo and Zhu Yintai.

[16] Of course, under feminist criticisms how it is that we should read the reference to "star-crossed lovers" in *Romeo and Juliet* has been hotly debated. Compare the more traditional reading of J.W. Draper, "Shakespeare's 'Star-Crossed Lovers,'" and that of Carolyn Brown in "Juliet's Taming of Romeo."

[17] *Chuanqi* is "southern drama". It refers to a form of drama that originated in the south of China before the Yuan dynasty (1260-1368). By 1550 Kun opera was the dominant musical style used in *chuangi.* Unlike *zaju* ("northern drama") *chuangqi* are very long.

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Proceedings submission:

1) Title: **Almodóvar's *Hable con ella*: The New Art of Writing Tragedies.**

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6) Abstract:

Against the background of López Pinciano's *Philosophia Antigua Poetica* (1595) and Lope de Vega's *El arte nuevo de hacer comedias en este tiempo*, this paper will study Pedro Almodóvar's *Hable con ella* as a landmark in Almodóvar's staging of masculinity as a tragic condition. While most of the Aristotelian elements of tragedy are present in *Hable con ella*, Almodóvar continues to be inspired by Lope de Vega's declaration of principles in *El arte nuevo*… ("encierro los preceptos con seis llaves"), and adapts the genre to his own dramatic style.

At the center of Almodóvar's unique brand of tragedy is the apparent contradiction of presenting rape, the action that precipitates the fall of the tragic hero, as a farce that keeps the audience laughing for several minutes, completely unaware of what is really taking place. In addition ("nada es sencillo", as the last words in the film remind us), rape is presented not only as a non-violent act, but as a performance of masculinity derived from genuine love.

In my essay, I will try to establish the connections I believe exist between the classical form of tragedy and Almodóvar's postmodern reading of masculinity and rape, thus revealing Almodóvar as a classicist for our times.

Culture-specific elements in foreign language textbooks

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The present paper aims at examining the content of the EFL textbooks from a cultural perspective in order to find out the amount of culture-specific elements in them, as teaching of language and culture is inseparable. Language teaching should promote intercultural understanding.

The term "intercultural communication" includes the entire range of communication across boundaries of groups or discourse systems, from cultural groups to the communication, which takes place between men and women. Culture, by definition, is a " shared, consensual way of life " which "provides the shared tacit knowledge that enables members to understand and communicate with each other." (Haslett 1989:20-21).

Culture in language learning is always in the background, right from day one, ready to unsettle the good language learners when they expect it least, making evident the limitations of their hard-won communicative competence, challenging their ability to make sense of the world around them (Kramsch 1993:1).

The intercultural communication teacher can make it easier to understand someone from another culture by building bridges from our cognitive system to another (Seelye 1993: 23). It is essential that students become familiar with the cultural conventions and norms of people whose language they speak, in order to avoid misunderstanding in communication. Michael Candelier in the Graz Workshop Report (2000:13) has described the aims of language awareness, which he divided into two categories: developing language learning skills and developing the ability to live in a multicultural society. "Language learning cannot be separated from sociocultural learning as sociocultural learning cannot be conceptualised without language learning".

In secondary schools students acquire some information of other cultures also through foreign language classes, but this often depends on the enthusiasm of a teacher and mostly students know something about geography (rivers, mountains, cities),

economy (architecture, industry), demography (population) and places of interest but they do not learn how to communicate successfully from the point of view of speech and its structure, the peculiarities of style and register, differences in social and regional dialects in actual communication. But in order to communicate successfully both linguistic and communicative competence are required. The ability to communicate in another language required knowledge of the patterns of living, acting, reacting, seeing, and explaining the world of the target country as well (Galloway 1985, cited in Omaggio 1986:359).

Culture has to be taught within the general framework of foreign language instruction (Liiv 1999: 63). Language teaching presupposes a certain degree of familiarity with the socio-cultural context in which the language is used. It is essential to cultivate awareness of the socio-cultural values and customs of that country, rather than learning simple historical and geographical references.

The students should be ready to see and take into account the differences between cultures, willing to share the other's point of view and recognize differences between cultures.

Teachers should be ready to teach the awareness of differences, to help to understand the others and to cope with such differences. In German there is a very appropriate word " Fremdverstehen", i.e. understanding "the Other".

"Otherness is probably one of the most important terms related to cultural awareness. Psychologically, for every human being it's always *the world* vs. *I* or *We* vs. *They*. We should remember Freud's explanation, where child's first realization that his/her mother isn't part of him/her, is probably the first shock and the beginning of knowledge the otherness." (Katnić-Bakarsić 1999: 31).

Teachers should not forget to discuss differences in nonverbal communication and personal space with the students: importance of gestures, facial expressions and proximity - people are different in their beliefs and behaviours. The teacher should raise students' awareness of cultural stereotypes and their influences on people's attitudes towards one another.

The most preferable teaching techniques are connected with the use of videos, picture materials, magazines, and language camps. In reality, however, most commonly practised learning activities were connected with showing the pictures (24%), only 18% of the teachers used videos. Most commonly covered topics are: holidays,

sightseeing, customs, traditions, education, cinema and theatre, the Royal Family and geography.

Raising cultural awareness and language awareness through dialogic social interaction using the Internet, where the material is exchanged via e-mail and chat rooms on the Internet – could definitely be used much wider. Teaching could be supported or supplemented by different computer programmes on CD-ROMs. In such projects the teacher's role, of course, is that of a mediator, assistant – rather than instructor or provider of knowledge. The students are involved in dialogues in the process of which they have to consider aspects of their own language and culture as well as the foreign culture.

The paper will also give an overview of the research that assessed currently used EFL textbooks from the intercultural perspective.

Our research showed that textbooks generally do not provide enough material for teaching intercultural communicative competence. Very few textbooks were accompanied by videos in raising awareness of culturally appropriate behaviour in English-speaking countries. There was some comparing of cultures and texts about national stereotypes, but the cultural material was insufficient in most cases. We did not come across to any references to available new technologies of communication (computer programmes, Internet).

The textbooks definitely need supplementation with the tasks in the field of non-verbal communication and patterns of behaviour in order to deal with situations of cross-cultural contact.

Textbooks should not only offer knowledge of the other language, but also an awareness of the cultural background of that country and an ability to cope with real-life situations.

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Paper Title:

Mobile Narratives, Mobile Citizens, and The Mobile World: A Critical Analysis of Cell Phone Marketing Representations

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Introduction

Over the last three years, I have researched commercial representations, mostly advertisement/marketing texts found on Nokia.com, that depict advanced cell phones and their users.[1] The central research question for this project has been: In what ways do commercial mobile narratives articulate an understanding, or vision, of mobile user subjectivity and citizenship? The term "mobile narrative" refers to the stories about mobile ICTs expressed in cultural representations. Each representation offers its own narrative, which in turn references other contemporary and long-standing narratives. In this way, mobile narratives are a dense patchwork of intertextual meanings, incorporating many ideas about the mobility and agency supposedly afforded by mobile devices in the information society. As a discourse, the information society and its latest incarnation, the *mobile world*, is not only about mobile narratives and devices; it also entails the innovation/application of a whole host of pervasive and transparent technologies wrapped up in a confluence of cultural and economic developments.

The push toward the mobile world is in many ways a new wave of modernization taking place within a variety of global, regional, and local contexts. Many mobile narratives in popular culture are designed to normalize this new mobilization of mobility by marketing advanced cell phones as empowering devices for liberated, postmodern individuals. In particular, I see narratives of user citizenship and subjectivity as being central to the contemporary dominant discourse of mobile ICTs. Citizenship, as a concept used to understand people's ability to participate in society, is increasingly narrativized in mobile representations as being tied to access to networked ICTs. Enhanced user subjectivity via new and wonderful audiovisual

[1] My study involved a textual/semiotic/discursive analysis of select multimedia, still image, and text-only representations selected from Nokia.com during April 2002 to July 2003. For details on my methodology *see* Lillie, 2003.

experiences and information access is also commonly invoked as a benefit of being mobile and networked.

Eriksson and Moisander (2002) present an excellent discussion of how we can understand cell phones as cultural artifacts, noting that people make meaning through and about mobile devices via consumption practices. In other words, mobile products are interwoven in everyday life through various forms of consumption (e.g., buying the product, talking to others about mobiles, seeing people with mobiles, reading/encountering mobile representations, mobile *bricolage*, etc.).[2] "The meanings that products take," they write, "can be seen as being constructed in a process of dialogue between production and consumption [that can entail] complex dialectic relationships between marketers and consumers" (p. 3). Building on this observation, we can see many of Nokia's user-centered texts as engaging audiences in a dialogue on the nature of the mobile world and mobile citizenship. These texts help to produce a mobile imaginary that demarcates the types of subjectivities, experiences, and social participation that are possible, and those that are not, in the mobile world.

It would be wrong to suggest that cell phones and other mobiles are the only technologies brought into contemporary narratives of mobility and the mobile world. For example, the automobile has always been a technology of mobility. However some of the narratives of mobility that the automobile is associated with have changed within various contexts. As with many products today, autos are marketed as offering powerful, unique experiences; experiences linked with mobility. A Nissan ad in *Wired Magazine* (March, 2003) shows a maestro conducting his orchestra in a lush forest. Words offset from the middle of the page read, "SHIFT_venues." This idea is furthered by a sentence at the bottom of the page: "A shift can

[2] Bricolage, a concept developed by the structuralist scholar Levi-Straus, is an individual's or group's incorporation of cultural motifs into a hybridized cultural identity or a new cultural product that symbolizes an identity (Chandler, 1998).

change a person, a life, a world, or it can simply change the way you move through it." This text is selling mobility to no less an extent than advertisements for cell phones, which is an important fact to consider. When thinking about mobile ICTs, there is a danger in conflating the actual technological properties of the devices with the narratives through which meaning can be made about mobile technologies. The *new mobility* and the mobile world are no more properties of mobile ICTs than cyberspace is a product of the Internet (even though this is the dominant narrative of cyberspace, which has settled at an over-determined generic middle-ground between the extremes of Gibson's [1984] dark posthuman fantasy and Levy's [1997] Esperanto utopia of collective intelligence). Although the automobile can be articulated by slick referentless ads invoking the new mobility of abstract experience and everyday empowerment for the active liberal subject, the referent, which in this ad is perhaps symbolically hiding amidst the orchestral forest, is an industrial dinosaur. The automobile, and the transportation apparatus it is part of, has already been part of several waves and modes of modernization. Its potential as a technology of colonization—colonization of physical, social, and cultural space—is perhaps not completely exhausted. But it might be mostly exhausted. Mobile ICTs, on the other hand, are so attractive to big business, because they offer new modes of colonization of people's everyday life. Mobile ICTs extend the regulation of consumption to a more ubiquitous (macro) and minute (micro) scale. This regulation takes place, at least in part, at the level of the individual.

In the first section of this article, I discuss the mobile individual as a unifying object around which many commercial mobile narratives flow. Most mobile narratives from Nokia.com are not unique to the web site or to Nokia's broader marketing campaigns. To illustrate this point, I discuss texts from Nokia.com and other sources of commercial mobile narratives, such as *Wired Magazine*. Based on my analysis, I argue that the narratives of *mobile*

citizenship and *mobile subjectivity*, and the interplay between these two concepts, take place through the individual as a powerful construct to which technology-enabled agency is tied. Likewise, the mobile world is a classist narrative, which offers false agency in the guise of the regulatory regimes that mobile ICTs are actually extending largely for the benefit of corporate interests, as opposed to public, individual, or group interests. In the second section, I analyze two comics from a Nokia "White Paper," which explains new features touted for the latest handsets. These comics clearly articulate how the functionality of many advanced cell phones can in fact reduce user agency, even though the comics' narratives make the opposite claim. Finally, I consider some of the broad implications of the dominant discursive regime of mobile ICTs and discuss areas of research and praxis that need to be addressed.

Figure 1. Composite of two screen shots from Nokia 5210 interactive "Spotlight."[3]

The Mobile Individual

Most of the Nokia.com texts that I analyzed deploy motifs of the mobile individual at the heart of their narratives. The mobile individuals of Nokia.com, and of other mobile texts, come in a variety of genders, races (sometimes with discernible aspects of ethnicity), and lifestyles. However, the range of class portrayals is not so diverse.[4] Almost all of the mobile individuals portrayed on Nokia.com are upper middle class. There are at least three distinct levels of mobile users depicted on Nokia.com. The top level is the executive/business class of users. The executive class is shown as needing the latest, most advanced gadgets to stay ahead of competitors and to be always connected to the workplace and the information network. The next level down is the upper middle class movers and shakers. These are often urban sophisticates commonly portrayed using cell phones with imaging capabilities (taking digital stills and videos, and sending/receiving images and/or videos as messages) and web browsers. Such mobile individuals are depicted as using advanced handsets to extend their communicative agency and experiences of the world within their consumer lifestyles.

The lowest level of mobile user is represented by the character, shown above in figure 1, of Nokia.com's interactive interface for the 5210 handset. The 5210, and other low-end phones, offer possibilities for identity performance (via customizable ringtones, wallpapers, and faceplates) and telephony, but not much else. The handset is presented as being integrated into

[3] I recommend that readers go to http://www.nokia.com to view some of the site's multimedia interfaces and movies. Most of these are associated with particular handsets. From the homepage, click on the "Phones" tab, and then the "Phone Models" tab to view a list of handsets. Clicking on any of the handset images will send you to a whole sub-site for that particular model. Most of the sub-sites have "Spotlight" movies and/or interactive multimedia.

[4] The range of sexualities depicted is also mostly limited to heterosexual stereotypes.

both the style and functionality of an active lifestyle just like athletic shorts, kneepads, and specialized shoes are for running or climbing. The phone's ability to be altered depending on the fashion environment, via stick-on faceplates, symbolizes the hybrid identities of the postmodern subject. This handset is a perfect companion for postmods with an active lifestyle, because it can be as flexible and capricious as they are. The 5210 interface allows Nokia.com visitors to change the character's accessories via rollover buttons, a sampling of the potential for mobile identity performance, flexibility, and play. Gender, ethnicity, and lifestyle are often depicted on Nokia.com merely as user accessories to be associated at will with customizable identity features. However, the user's level of mobile class is what ultimately determines how much agency he can actually have as a mobile individual. While the users of these low-end handsets are granted limited agency in the mobile world, they are not its first class citizens.

Nokia's customer/handset hierarchy corresponds with its detailed strategies for niche marketing. Many of the company's high-end products and services are tried first with the lucrative business markets, with some features trickling down to mid and low-end markets on an experimental, yet still highly targeted, basis. Nokia emerged as the world's largest cell phone manufacturer largely because of its focus on product and marketing innovation. In the early 1990s, the company adapted Geoffrey Moore's theories of technology-adoption life cycles to carefully research and segment product designs and marketing campaigns towards specific groups of users. New designs and subsequent campaigns were aimed at "'poseurs,' 'trendsetters,' 'social contact seekers,' and 'high-fliers'" (Steinbock, 2001, p. 279). During market segmentation studies that tied market-specific products to global and regional lifestyle groups, Nokia researchers noticed a commonality in the way cell phones were conceptualized in many societies: "In many markets, mobile phones had evolved over the years to become personal accessories. Customers wanted to

feel satisfied with their choice, and the Nokia campaign was designed to tell them that Nokia offered them that personal choice" (Steinbock, 2001, p. 282). "Well before its rivals," Steinbock writes, "Nokia understood that the phone would be as much a fashion accessory as a tool" (p. 268). He argues that this realization led the company to concentrate on downstream marketing issues such as product design/aesthetics and global market segmentation, rather than upstream production homogenization, which was the strategy of Nokia's primary competitors. Some of the company's downstream innovations included heavy lifestyle marketing campaigns, artistic removable faceplates for certain models, nearly monthly rollouts of new models, and several new multi-model product categories with a focus on breakthrough models with advanced features and stylish designs.[5]

It is important not to downplay the roll that the downstream innovation processes of giants like Nokia play in deciding which technologies are available, how people come to make meaning about them, and how people use them. Although cell phone advertisements have rarely been studied, they are integral in inducting mobiles into the consumer society. As Harmas and Kellner (2003) argue, "advertising should be seen as an indispensable force in the reproduction of consumer capitalism and in the maintenance of capitalist hegemony." Advertising has "multi-faceted social functions," Harmas and Kellner posit "ranging from short range efforts to induce individuals to buy specific products to more long range functions that attempt to sell consumer capitalism as a way of life." In a historical study of advertising, Leiss, Kline, and Jhally (1990) reveal an important mid-20th century shift away from communicating information about specific

[5] In the early 1990s, Frank Nuovo, head of Nokia's design team, became an international fashion icon with his new phone designs inspired by Finnish minimalism (Steinbock, 2001, p. 272). The company heavily marketed Nuovo's chic models like the 8860 and the 8810 as first and foremost all about style. For example, the 8860 had a cameo in *Sex in the City*, and it was given as a gift to the presenters at the Emmy Awards (Steinbock, 2001, p. 274). One of the newer high tech models, the 9260, was co-advertised with the 2002 blockbuster, *Minority Report*. Product placement in the movie includes one scene in which actor Tom Cruise holds a modified 9260 handset and another scene in which a futuristic (circa 2050) Nokia advertisement is visible. One of Nokia's television commercials featured Cruise holding an actual 9260 (not the modified version shown in the movie) in a futuristic landscape. Words at the end of the ad instruct viewers to see *Minority Report*. Branding was another important marketing initiative. Nokia was the only one of the European companies to establish a regionally and globally recognized brand in the 1990s.

products towards communicating the social and symbolic roles that products fulfill in people's everyday lives. "The way advertisements depict the relationship between people and products has changed dramatically over the past century," they write (Leiss et al, p. 279). Leiss, Kline, and Jhally's content analysis of magazine ads revealed, for example, that from 1950 to 1980, textual references of settings declined while visual representations of settings increased, as did depictions of leisure and the sensual aspects of products and lifestyles. These developments helped to establish the popularity of lifestyle ads that rely on visual codes of the everyday (typically leisure) tastes, activities, and consumer choices of a lifestyle group. "The lifestyle format," Leiss, Kline, and Jhally argue, "expands the identity matrix of the individual into a framework of judgment for social beings in a social context" (p. 259). Rather than using prototype codes revealed in personality characteristics, lifestyle ads deploy stereotypes that reflect the distinctiveness and tastes of a mythical social group with which the viewer of the ad can identify (p. 259). Many mobile ads incorporate narratives of lifestyle, individual empowerment, technology-as-progress, consumption, and other cultural codes. The lifestyle variants of the mobile individual thus become the vehicle through which both mobile ICTs and people of today, whether or not they are "users," are assigned rolls in the contemporary consumer society, the mobile world.

The individual is the unit of labor in the mobile world. It is the unit of consumption. It is the unit that more than anything else supposedly needs different types of mobility and therefore is the unit that most mobile devices are designed to serve. It is an old construct rearticulated for the new modernization of mobility and connectivity. Why? I think there are several key contributing factors, two of which I discuss throughout the remainder of the chapter. First, the individual is a construct of modernity, and modern institutions continue to thrive in many

societies. Second, networked ICTs, their discourses and apparatuses, privilege the narrative of the individual as a monad or node in the technological network, and hence the larger society, which is becoming the network itself. Based partially on this logic, mobiles are being deployed as regulating devices that serve as mediators between the individual and all objects in the world, people, products, institutions, places, and culture.

In *Technoromanticism* (1999), Coyne identifies inconsistencies in theories of computer-mediated postmodern subjectivity. Some digital narratives, he writes, claim "that IT allows a multiplication, fracturing, and dislocation of selves that is at the vanguard of a new postmodern sensibility" (p. 185). Coyne critiques one of the most well-known techno-postmodernists, Mark Poster, who argues that whereas modern society "fostered an individual that is rational, autonomous, centered, and stable, a postmodern society is emerging which nurtures forms of identity different from, or even opposite to those of modernity" (Poster, 1995, p. 80). However, in my view and perhaps the view of Coyne, the subject of the information society is not so easily fragmented. The contemporary subject might be dispersed in a wide range of cultural apparatuses, but these also serve to reconstitute it and rearticulate it as a subject full of potential for individual agency. Many modernist institutions credited with constructing the dominant narratives of the individual continue to be pillars of society, including the nation state, education apparatuses (e.g., grade schools and universities), the nuclear family and single family home, the individual as the unit of labor and consumption, and the consumer society and capitalism. These institutions have never been static, and have been consistently influenced by processes of globalization. But even though some of their discourses are not so prominent as in the past, they have not dissolved into the morass of postmodern culture. Furthermore, the construct of the active liberal subject is alive and well in the form of the citizen-consumer-laborer.

The highly autonomous individual is absolutely necessary for contemporary capitalist society to function as it does today in many places of the world. Cell phones and other personal mobiles are evidence of this fact. Mobiles are marketed as machetes allowing users to blaze through the dense brush of cultural and information overload. Mobiles are marketed as control technologies, offering users active control over their own life. This includes communicative and cultural mobility, and identity mobility via mobile performances. Mobiles are also depicted as enhancing navigation and experience of the world. But these devices do not provide such power without interaction. Mobile citizens are not passive subjects. They are active. Mobility is about control: The individual's control of her world via her control of her mobile devices and other ICTs.

Citizen-laborer. Several of the Nokia.com texts that I analyzed portray mobile users as workforce laborers. As noted above, mobile devices are often marketed first and most heavily toward big business. Many devices are designed with the specific needs of the business world in mind (Webster, 1995, p. 90). In their study of advertisements from in-flight magazines, Churchill and Wakeford (2001) argue that business-oriented mobile representations "contribute to the discourse of mobility" (p. 162). They identify three interrelated features of "the domestication of the mobile device" (p. 163). First, the mobile worker must have a great deal of control over daily activities, and this "control comes from the user in a specific alliance with the device" (p. 163). A hybrid agency is engendered that surpasses and obscures other systems and agents. For the second feature they note that devices are not given equal status, but rather support and extend the isolated and highly effective mobile individual. Lastly, workers are enveloped within a mobile temporality. Mobile devices belay the "promise that everything will

[and can] get done," but there is a sense of urgency and need to be always connected so that this promise can be fulfilled.

According to Castells (2000), the advanced stage of global capitalism and the global distribution of networked ICTs have helped to alter the fundamental structure and labor practices of business. Today's information worker, for example, must be as flexible as the digital information she works with. One aspect of Castells' project describes how society has come to organize itself and operate as a network: a network society. Hewlett Packard's version of the near future mobile world, Cooltown, is an example of a vision of the network society in which highly mobile individuals, as both laborers and consumers, are the blood running through the veins of the network society. Videos available for viewing at Cooltown.com depict mobile and ubiquitous technologies that allow citizens to stay constantly connected in order to deal with the unexpected that always comes up, while also extending the senses in a variety of ways.

Figure 2. Part of a scanned Sprint PCS Wireless advertisement.
Source: Wired Magazine (August, 2002).

The PCS Wireless ad in figure 2 offers a narrative of the individual mobile worker as an atomized monad, a node in the global flow of labor, a cog in the networked machine. Though we see a smiling face—she is happily interpellated—we are told, "Kelly knows her product cold." Cold is an apt descriptor, associating her mind with the data capacity of a machine. Kelly also "knows her territory inside out." Not knowing her business sector or business technology in the mobile world would be social, cultural, and financial suicide, or at best would lead to loneliness and joblessness. Kelly has the goods: knowledge and technology. She is a competent liberal subject in the mobile world. Unfortunately, Kelly can be only as effective as her technology is, which is why her "company needs the PCS Clear Wireless Workplace," enabling "employees to receive calls to their office on their PCS Phones anywhere on the largest all-digital, all-PCS nationwide network . . . So they have a better chance of connecting." Without the wireless workplace, Kelly is "unaware."[6] Without access to vital information, this individual lacks the knowledge and ability through which to exert her agency, her will, in the information society.

It is significant that Sprint does not say that by using its technology Kelly will most assuredly make the connections she needs to make. Instead, Sprint's technology merely ups the chances. The mobile world is not a place of assurances. Rather it is one where the unexpected will happen. This is a central modern narrative of technology: Only humans have a chance at successfully negotiating this constantly fluctuating, changing, and challenging world in which we live. We are made to understand that technologies are vital. Technologies are humanity's tools. They extend our senses and worldly agency. But technologies cannot make decisions

[6] This character's gender and race are not narrativized as barriers to mobility. In fact the use of gender and race here produces a more powerful narrative of the social mobility that ICTs supposedly impart. At the same time, the character's gender and race perhaps makes it easier to label her as "unaware."

based on a combination of rational choice, intuition, learning, and above all a will to win and survive. Indeed, the human element of the citizen-cyborg cannot be totally replaced. But neither can the technology. People need mobile devices to be true citizens. Without cultural, social, and labor mobility, people cannot participate as citizens in the information society.

The no place domain of mobility. The workplace in which we see Kelly is really *no place*. The blue sky behind her shows that she is out-n-about, on the go. Her workplace is anywhere and everywhere, and therefore, the ad argues, the concept of a workplace-based phone is an anachronism for many workers today. Sprint is not proposing that people abandon the term, workplace. The company understands that the workplace is wherever the individual worker happens to be at any given time. Looking at figure 2 we see that Kelly is also in a contextless no place. Her cyborg agency is activated no matter where she might be. For the mobile citizen-cyborg, place need not be relevant. Similarly, many of Nokia's visual texts lack reference to the placial context that the mobile users portrayed might be in.[7]

The no place narrative of the mobile world is in many ways inherited from narratives of cyberspace.[8] For several decades, many people have sought refuge in the no place communities of cyberspace in which networked computer technologies have helped to span geographic, political, and social barriers. Such communities have been predicated on a meeting of like-minded individuals in virtual environments in which individual privacy, anonymity, and physical safety could more easily be preserved vis-à-vis the participants' real-world communities and lives. In such situations, cyberspace as a no place of individual interaction is based on liberating

[7] For example many still images on Nokia.com focus in on a mobile user, editing out or blurring the context of the actual place the picture was taken. Similarly, several of the movies available for viewing on Nokia.com deploy hypertextual/postmodern editing techniques to produce a sense of surreal and abstract spaces outside or in between realistic places of human existence.

[8] In the original cyberspace of Gibson's *Neuromancer* (1984), the protagonist, Case, is able to upload his unconsciousness into the techno-network. Still, like most protagonist in genre of the modern novel, Case is still a protagonist-individual.

the subject from the dangers, inconstancies, and offenses of the places of the world outside the home or workplace, producing a narrative of social, cultural, and public exchange devoid of place. Star notes that there has been a large, multifaceted, and overdetermined push "to make us live our lives on line, to abandon living and working in a particular locale" (2000, p. 639). Indeed, the cyber-flight of affluent individuals to the Internet occurred during a time of much suburban growth and urban decay. Nonprofit groups, governments, and corporations spent large sums of money on Internet technologies, and many *Netizens* worked hard to give various corners of cyberspace contexts reminiscent of offline places and communities. Many scholars argue that one outcome of this restructuring that privileges cyberspace at the expense of offline places has been "the loss of urban communal space (eroded by privatization and replaced by 'pseudo-public space')—and it is this lost aspect of the city which has been replaced by cyberspace's 'virtual public sphere'" (Bell, 2000, p. 629).

In many ways, some obvious and others not, mobiles compensate for some of the limitations of a late 1990s Internet that was, ironically, anchored to specific places such as home and work terminals. Mobile and ubiquitous ICTs are extending cyberspace into the realm of all physical places and lived space, producing new ways to regulate citizens in order to facilitate the high consumption and labor demands of global capitalism. Mobiles also extend the discourse of cyberspace by allowing citizens to physically, socially, culturally, and cognitively bypass spaces and places used up and polluted by past waves of modernization. Large sums of money are invested in technology to extend placeless mobility at the expense of actual places. Cotemporary society, especially the corporate sector, needs people to be mobile.

Although some mobile texts, including some on Nokia.com, ignore and shun place, others show fun, exciting places where individuals can use the different functions of mobiles to

extend their experience and pleasure of the world. One central mobile narrative, perhaps a moral imperative of postmodern consumerism, depicts the drive for maximum experience. The private mobilization (Williams, 1992) offered by visual popular culture has created a sense of experience as quantifiable. Experience can be quantified by price; measurement of size and duration; by cultural (increasingly cosmopolitan) capital; and perhaps most importantly, by visual documentation. Some mobile representations appropriate narratives of bricolage and visual documentation in ads that portray cell phones with advanced imaging capabilities. Place is one more thing that can be commodified and consumed via mobiles as worldly mediators.

The mobile citizen-consumer. *The Matrix* (1999) envisions a world in which the network lives off energies produced by entombed, jacked in, unconscious humans whose reality is a computer-generated dream. Similarly, global capitalism has been understood by some critics as perpetuating itself through people's labor and consumption power. But the citizens of the mobile world are required to be anything but passive laborers and consumers. To be effective nodes in the network, they must be active and mobile. As workers, they must seek and find the connections, the *intel*, the problems to be fixed, and the clients to be served and pleased. As consumers they must: distinguish among, find, and consume cultural commodities; make social connections; decide how to spend leisure time, what transportation to use, etc. However, many mobile texts suggest that *The Matrix* does understand how technology has come to surround the body, acting as a mediator in several respects, between the subject and its world. Nokia's mobile narratives show how cell phones facilitate a variety of modes of interaction between the subject and the world, individual citizens and their society. For example, several movies on Nokia.com, such as the "Eye to Eye Spotlight" movie for the 7250 handset, puts the viewing subject in the role of a mobile subject experiencing an exciting, abstract world through mobile mediation. The

7250 movie tells the story of how the imaging capacity of the handset can enhance one's potential for creative bricolage and social performance. Similarly, many interactive multimedia interfaces on the site put the viewing subject in the role of a mobile subject as well, allowing the viewer to interact with a mobile-like interface to practice choosing ringtones or taking/sending pictures to friends. In this manner, mobiles are shown to help construct subjects as autonomous, active agents in everyday life.

Like newspapers, radio, automobiles, home appliances, television, etc, the computer-Internet apparatus has come to be an important technology of regulation in many people's lives with regard to daily tasks like record keeping, interpersonal communication, conversation and culture archives, various imaging practices, financial transactions, shopping, artistic endeavors, playing and archiving music, many forms of work—and the list goes on and on. Mobile ICTs, such as cell phones, are also being deployed as technologies of mobile regulation. Mobiles are mediators between the isolated individual and her world, facilitating and regulating a wide assortment of everyday interactions with people and things. Bodies and subjects are disciplined within the mobile apparatus, producing new ways of conceptualizing the user's relation to the world and the people, places, and things in it. The architectures of the mobile world, in which bodies and subjects are increasingly inscribed, are furthermore productive for the networked control society, which surveils and regulates individuals as laborers, consumers, and observees of the state security apparatus. Two ways in which commercial texts portray mobile devices as regulating technologies are by portraying mobiles as (1) tools of social and cultural mobility, presenting the world to the individual, and (2) tools of identity performance, presenting the individual to the world. In other words, mobiles are portrayed as allowing experience to flow both ways. The experience of others flows in to the individual through conversations,

audiovisual pop culture, and information. Experience flows out from the individual to others as presentations of self. The narratives of Nokia.com actually present two different forms of presentation of self. The first is the commodification (image and voice recording/transmission) and sharing of personal experience. The second is the presentation of personal identity via the handset as an extension of the individual's body. As mentioned above, people who traverse the representations of Nokia.com are prepared for mobile subjectivity in many ways. They can use interactive multimedia interfaces that allow them to select/play with handset covers, wallpapers, and ringtones. Via multimedia tutorials/simulators visitors can engage interfaces that mimic human interaction with mobiles and mobile subjectivities. Visitors can also view movies that portray pleasurable, postmodern experiences in the mobile world. Internet ICTs offer many different possibilities for identity performance in cyberspace and for the commodification of experience/self. Mobile ICTs extend these practices and their narratives into the larger human ecosystem.

Figure 3. Part of a scanned AT&T advertisement.
Source: Wired Magazine (March, 2003).

Social and cultural mobility. Many mobile representations deploy narratives of social mobility. There are in fact several aspects of social mobility that are narrativized by commercial mobile texts. Sociologists traditionally use the term *social mobility* to describe how small and large groups of people have traveled up or down social class ladders. Many mobile narratives articulate advanced mobile ICTs as offering upward social mobility in this traditional sense. As implied in HP's Cooltown and Nokia's classification of its handsets, higher classes of technology entail higher levels and quality of mobile citizenship. The AT&T ad in figure 3 presents a more explicit reference to mobile class by depicting an advanced range of commercial mobiles as devices for "a higher order of species." Mobiles also offer another aspect of social mobility in the form of mobile social connectivity and *telepresence*. Furthermore, mobiles offer sociocultural mobility by providing access to a variety of cultural spaces (e.g., the web, MMS image messaging, music). Users' ability to navigate a variety of cultural spheres and modes of cultural capital corresponds to their ability to *move* gracefully and at will within social settings. These aspects of social mobility come together over issues such as the quality and quantity of network access, and hence social/cultural/political access. The quality and quantity of the user's access to social and cultural spaces depend on the level of mobile technology they have: Do they have the best mobile device with the most features and the most power? Are their service accounts loaded with the most advanced and powerful features? Do they have the money to pay for access to social and cultural spaces whenever they want or need it? If mobile devices and ubiquitous technologies are to be mediators between the individuals and their world, then such questions of mobile class have obvious implication for citizenship in the mobile world. What

level of participation, social and cultural interaction in the world, can a user afford today? What level of citizenship technology do they have?

Figure 4. Still images from Nokia.com.

For many decades, both social and cultural mobility have been intricate elements in the media practices of the home. Experiences of telepresence and private mobilization are offered through the discourse and technology of the telephone and television, and more recently through the home Internet terminal in middle to upper class homes. Three examples of the domestic depictions offered on Nokia.com are shown in figure 4. Such representations symbolically insert cell phones into this rich technological environment in which many media practices have

historically developed in some parts of the world. As multifunction communication, entertainment, and information devices, advanced cell phones are shown to compete and complement other domestic media technologies. The home is perhaps an important binary against which the mobile world is defined. First, the middle class home is a media-dominated regime of everyday life. In many respects it is an example of success for the emerging mobile world to be modeled after. But perhaps more important is that the home, especially the connected techno-home, is rife with narratives of safety and security from the dangers of the outside world (Hay, 2003). These narratives have intensified since the terrorist attacks of September 2001 in New York City and Washington D.C, the March 2004 train station bombing in Madrid, and numerous events in Middle Eastern nations. The chaos of the outside world, which is the domain of efficacy for mobile devices, is increasingly contrast to the dominant narrative of the middle-class, single-family, suburban home. The home is a symbolic anchor to which the outer world is juxtaposed. The outer world is a place of danger, chaos, and interruption for which the individual needs technologies of agency to successfully navigate and participate in. Furthermore, the always/everywhere need and desire for mobility and connectivity are predicated on extending the regimes of control and comfort (cultural, social, and security comforts) that the home has come to signify.

Perhaps the most detailed narrative of cell phones as devices of regulation offered on Nokia.com comes from the two comics of the Digital Rights Management (*DRM*) White Paper. Unlike the Nokia.com texts discuss so far, the White Paper is a PDF document intended for those involved in the business and technical side of the lucrative cell phone market. It describes new functionality being built into the latest product line of handsets, which supposedly gives both users and content providers more "control." The comics included in the document illustrate how

DRM works in two real-world type scenarios. In the next section, I explain how these comics articulate mobile technology as having specific regulatory roles for maintaining citizenship in the mobile world. The juncture of mobile citizenship and subjectivity that takes place in the mobile cyborg's transaction with the network society entail a corporate/institutional power grab at of level of technique and everyday discourse.

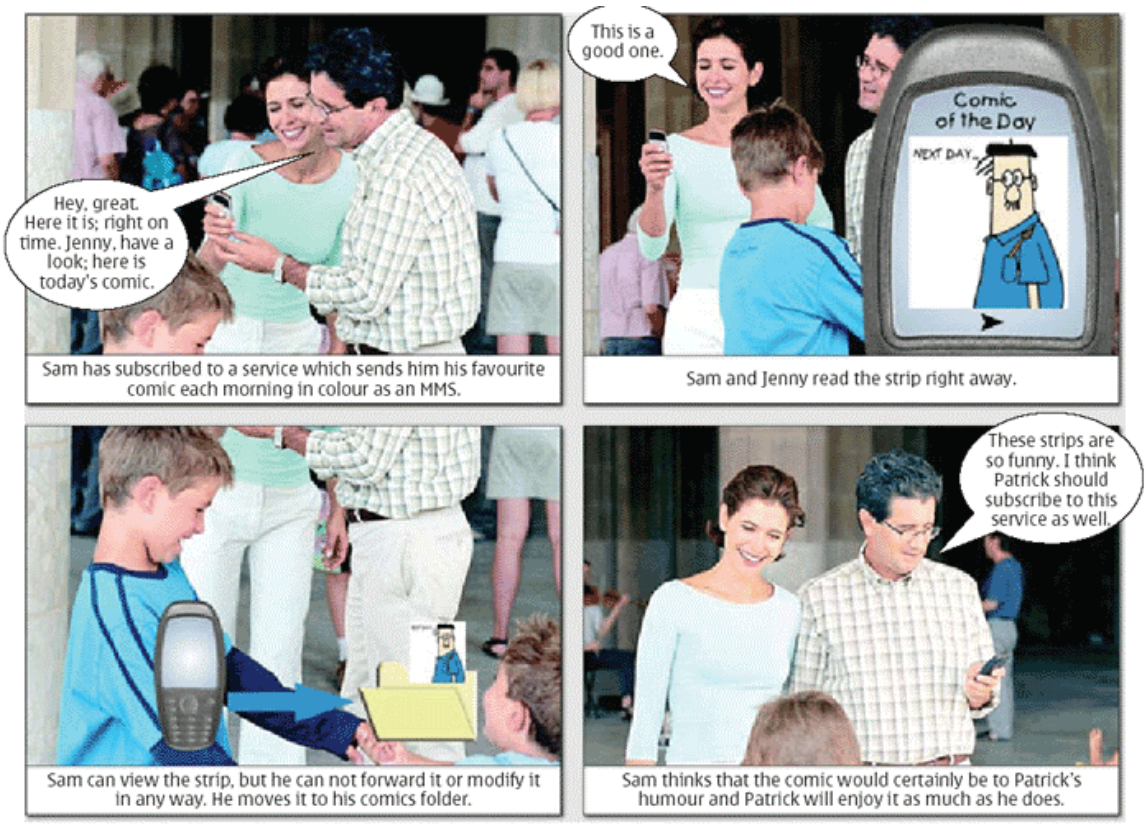

Figure 5. First comic from the DRM White Paper. Source: Nokia.com.

Mobile Citizenship and Subjectivity: Producing the Mobile Citizen

Nokia's DRM White Paper offers a detailed understanding of how mobile ICTs regulate users' interactions with cultural objects. The first comic, shown in figure 5, depicts two mobile

users at a social gathering. The main character is Sam who "has subscribed to a service which sends him his favourite comic each morning in colour as an MMS." Although Sam thinks his friend Patrick would enjoy the comic, perhaps this day's comic in particular, he cannot forward it to anyone because the MMS has Forward-lock DRM embedded.[9] Like the first comic, the second, shown in figure 6, envisions DRM as fitting easily into the everyday mobile-interactions of mobile citizens. In the second comic, Morgan likes a ringtone that Sara is using on her phone, a clip from a song by their favorite band. He wants to use the ringtone on his phone as well. As with other user-texts on Nokia.com, this comic illustrates how mobiles can be bricolage-enabling tools, tools that in the consumer-network society culture come at a cost. Sara sends him the ringtone, but since the ringtone features Separate Delivery DRM, Morgan must buy the "rights" to use it for a month from the content provider from whom Sara got the ringtone.

The comics present a contradiction in the White Paper's claim that DRM offers, "Benefits for all" (users, content providers, and service providers). DRM is about controlling how mobile citizens can use digital content with their mobiles, which really only benefits the corporate interests involved. Corporate attempts to control digital "content" (culture) are relatively new to the mobile world, but other industries have been trying for years. In particular, the music and motion picture industries have become increasingly aggressive in their attempts to curtail unauthorized distribution and copying of copyrighted digital media files.[10] The

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[9] The DRM standard, set by the Open Mobile Alliance (*OMA*), presents three specific methods for digital rights management: "Forward-lock," "Combined Delivery," and "Separate Delivery." A media object with Forward-lock cannot be forwarded to other mobiles, thereby restricting the object to one device. Examples of media objects include ringtones, news packets, and different types of images and music. With Combined Delivery, a variety of usage rights are specified (by the content provider) for a specific media object. Separate Delivery means that the media rights and content are separate, which among other functions, allows users to forward content, but the person receiving it would need to obtain rights to use it in different ways. The OMA's web site, http://www.openmobilealliance.org, articulates the group's mission as growing "the market for the entire mobile industry by removing the barriers to global user adoption and by ensuring seamless application interoperability while allowing businesses to compete through innovation and differentiation." Most sponsors and members of the OMA are global and regional companies in the wireless and mobile industries. Nokia is listed as one of the OMA's sponsors.

[10] *See* Issue 2, Vol. 11 (February, 2003) of *Wired Magazine* for more information on the music industry's recent attempt to attack illegal use of copyrighted digital files and the industry's crisis in general. *See also*, Barlow (2000).

technological apparatus of today's mobile phones already inhibits users from engaging in similar bricolage practices that are possible, for example, via a desktop computer with multimedia capabilities that has a broadband connection to the Internet. Not until the more advanced mobile handsets came on the market a couple years ago could users access and use digital files like Mp3s, WAVs, JPGs, and GIFs.[11] Therefore, the DRM standard can be seen as a preemptive measure to manage user control of media files at a relativity early stage in the introduction of advanced cell phones and hybrid mobile devices.

DRM narratives and technologies explicitly insert corporations into the citizenship equation. In the mobile world, citizenship seems to be a traditional liberal concern with an individual's participation in the marketplace. DRM is presented as a necessary tool for regulating the consumer's ability to use a product/cultural text. This regulation exists on behalf of the company providing the product or service. Hence the company is an equal partner, an individual operating within the marketplace. Marshall's (1950) progression of citizen rights (from civil/marketplace rights in 17th century Europe, to political rights for some in 18th century Western democracies, then social rights in the mid to late 20th century) is thus rolled back. In the White Paper's version of the mobile world, a citizen-consumer's potential political and social uses of cultural texts are shown to be secondary to corporate rights in the marketplace and are thus even inferior to 17th century rights. Limited political and social rights translate into limited, regulated, and controlled communicative rights. From a social democratic perspective, restraints on an individual's ability and right to communicate are to be abhorred. But Nokia's DRM White Paper deploys the rhetoric and logic of the marketplace to circumnavigate democratic rights. Images and sounds are not culture and language. They are

[11] Even then, only certain models are designed for web access and using image files (JPGs and GIFs) and audio files (WAVs and MP3s) in certain ways. Furthermore, the number of web pages that users can access to get these types of files is much smaller than what is available to web surfers using laptops or desktop computers. Also, at this stage, software for mobiles is very limited in terms of power and diversity, compared to larger computers in which users can use applications to modify, copy, and distribute media files in a variety of ways.

commodities. Thus, corporations should be allowed to regulate the conditions of purchase and use. This logic is legitimized by a widespread notion of social participation that is predicated on identity performance and the individual's bricolage of consumer culture. As consumers, individuals are first and foremost citizens of the marketplace. Political and social rights have not been taken away. Instead they have been engulfed by the neoliberal market-based logic of everyday cultural transactions in the consumer society. Politics must compete with consumer culture in a quest to feed 30-second blurbs to consumers in order to elicit even the most minor of responses. Economic equality and opportunity in the neoliberal discourse is synonymous with social equality. It is in this sense that technologies that offer a "wider range of high quality content for consumption, preview capability and more flexible ways of paying for content" are legitimized.

DRM technologies are designed for controlling consumer and commodity flows within the marketplace. DRM specifications are thus acting in the state's stead by regulating the marketplace so that commodities and transactions can flow more smoothly, which is, from one point of view, the exact same reason European states sought to guarantee citizen rights in the 17th century (*see* Delanty, 2000). For the citizen-consumer of the mobile world, DRM regulations clearly limit one's ability to freely traverse, interact with, and communicate culture. Cultural rights have not enjoyed anything near the same success within citizenship discourses that the marketplace has, but cultural rights were central to many cyber-narratives of the 1990s, including some commercial narratives. The corporate power-grab that Nokia's DRM and other digital rights management initiatives represent is in many respects at odds with other techno-narratives, such as those touting information freedom and flexibility—a narrative that some consumers have come to embrace. The DRM White Paper ignores certain issues of user agency invoked by older cyber-narratives, focusing instead on the enhanced media features that could include DRM rights. The White Paper's rhetoric suggests that these

features would not be possible without DRM methods. With its marketing campaigns Nokia is manufacturing consumer desires for new mobile media features/services that are really designed to accommodate capital's bottom-line mentality through "new value chain configurations."[12]

In its attempt to explain how corporations need to and are able to (via DRM) control how mobile citizens can use certain cultural texts, the DRM White Paper deploys a notion of rights perhaps dearticulated from political/democratic theory and legal definitions of citizens' "human rights." The rights of citizens are essentially reversed in the discourse of the DRM. Rights are not understood as guarantees of human liberty from specific modes of oppression, part of the classic Western concept of citizenship, but are instead rules for how citizens can act in specific dealings with cultural texts. Corporations, rather than the state, are represented as being justified in appropriating and using the power to specify exactly what these rights are. The rights of the corporate citizen are where true agency resides in the mobile world. The emergence of the corporate citizenship model perhaps corresponds to the decline of individual citizenship as involving actual access to the political sphere. The rhetoric of corporate citizenship seems to argue for a place for corporations as political citizens who have both rights and responsibilities to the community. Such ploys seem to imply that consumers should rely on corporate stewardship of the environment and other areas of community concern, freeing consumers from such burdens and allowing them to spend more time consuming. Furthermore, the DRM White Paper shows an even larger and more powerful role for corporations in the sphere of citizenship. Going beyond the marketplace rights of individual citizens—a status that corporations fought for and essentially won in the 20th century—companies are now moving into the business of regulating

[12] The next phase of DRM technology should enable increased security to "ensure authenticity and integrity of both content and rights. Higher security is important to protect applications as they become more sophisticated and hence, higher value" (White Paper). Examples of such content include high quality music, symbian applications, and audio and video streams. According to the White Paper, the combination of these new services with DRM methods will enable "new value chain configurations" based on content protection, backup, distribution, and adaptation.

citizenship via information and communication technology, a sector that the state divested itself from and, in some countries, no longer seems to have the capacity or the will to regulate other than under the most neoliberal auspices.

As citizens-consumers, users can choose only whether or not to accept certain rights/limits in order to have access to culture. Here again we come up against the liberal discourse of individual choice. Myerson (2001) predicts that daily life in the mobile world is likely to be filled with sundry financial decisions regarding communication and culture. Questions will arise such as: How much will this _____ (cultural text) cost me? Can I afford to read/hear/view the news today? If I forward this picture to my friend, will she have to pay to see it? My social budget for today is five images, four text messages, three conversations, and two web pages. As Myerson argues,

> The mobilising of communication turns out to be the precursor, the necessary precondition, for this larger moblisation of the everyday. This "m" stands for a new order of everyday life: faster, neater, sharper…There will, if the "m" is the future, be no idea of communication distinct from the idea of commerce. To communicate will mean the same thing as to exchange money. The two activities will simply be merged. (p. 62-63)

In an increasingly pay-per consumer culture the only choice may be whether to have access to culture (i.e., to live in the media ecosystem), to live off leftovers that might eventually trickle down, or just to try to tune-out to whatever extent possible.

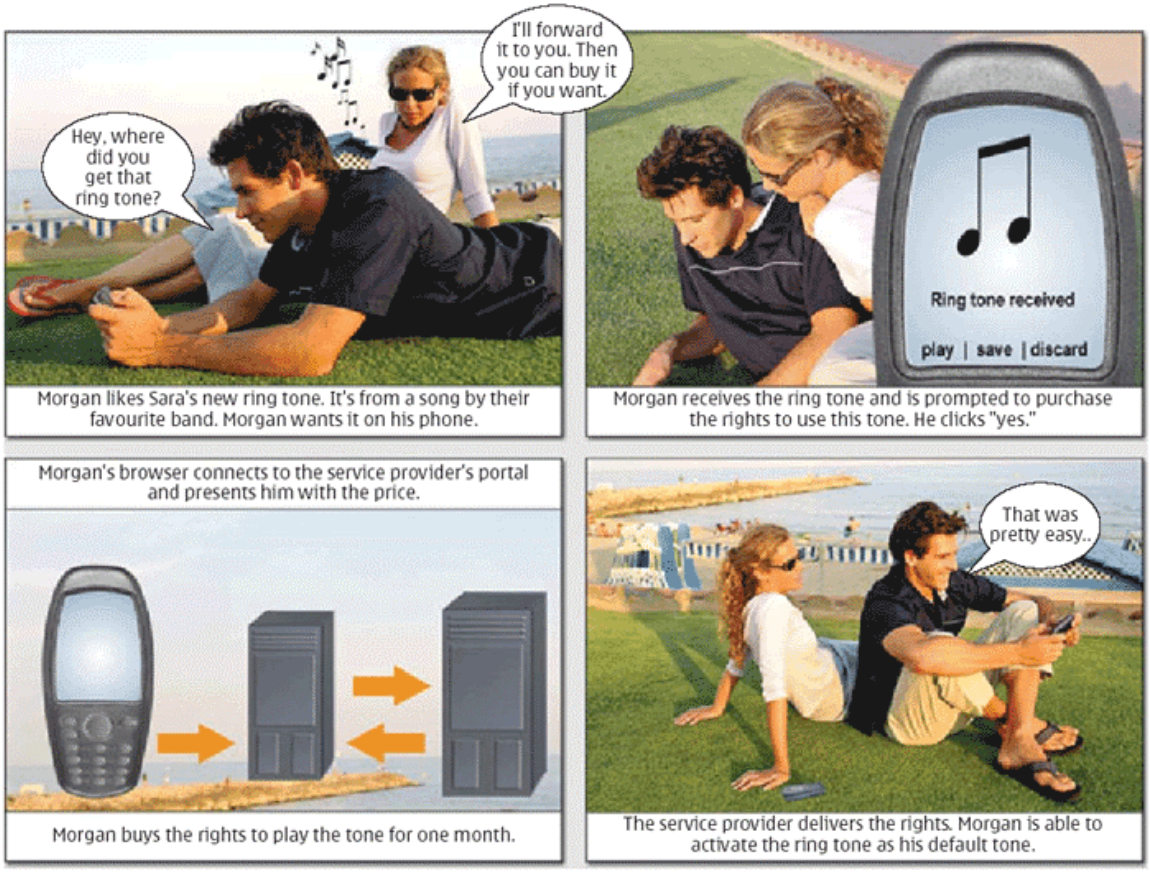

Figure 6. Second comic from the DRM White Paper. Source: Nokia.com.

The bottom left-hand cell of the second comic, shown in figure 6, is an excellent graphic illustration of the disciplinary logic tied to what I think is a central narrative for how people are supposed to traverse the mobile world as subjects and citizens. The handset in this part of the comic is a proxy for the mobile citizen whose subjectivity is transported through the transaction of exchange mediated by a series of technologies, hardware and software associated with the mobile network apparatus. This apparatus replaces, to a certain extent, older forces and techniques that regulate (a) the subject in its construction within/by social institutions/architectures, and (b) the citizen in the marketplace of exchange. Before presenting the conclusion of this article, I will discuss each of these points in more detail.

Missing from the narratives of the DRM White Paper and Nokia.com is a sense of how people navigate and exist within highly detailed protocols and institutional architectures that help to produce contemporary ways of being, acting, and knowing. These protocols can be understood as technologies of power in the productive, Foucauldian sense. My argument is not that such techniques, which formulate many conditions whereby people learn to behave, monitor themselves and others, to make a variety of social and cultural transactions, etc, have been, will be, or can be completely replaced by mobile ICTs. However, it seems clear that mobile ICTs are being deployed for the purpose of creating apparatuses of hardware and software that colonize certain aspects of disciplinary and regulatory space. The ubiquitous apparatus is needed in order to control certain regulatory practices so that new and remediated (Bolter & Grusin, 2000) forms of cultural and social exchange can flow along profitable value channels for big business. Andrejevic (2003) correctly points out that both mobile information society narratives and the devices they portray are being deployed within new forms of spatial colonization based on traditional capitalist motivations.

> The promise of wireless networked technology, from the standpoint of m-commerce, is thus to inscribe the productive spiral of spatial dispersion into the interactive economy. Asphalt's magic circle is overlaid by an electromagnetic one that promises to redouble its productivity. Consumers' motion through space opens up new informational dimensions that can be used to further facilitate the consumption of space and the spatialization of consumption. (2003, p. 134)

The technologies of the mobile world are in certain respects appropriating regulatory duties that many Western European states assumed in the 17th century. Citizenship in that liberal discourse entails one's ability to participate in a public sphere regulated by the state so that empowered individuals can interact in the marketplace. According to the definitions and practices of liberalism, mobile ICTs are literally devices of citizenship. However, what is missing from the dominant narratives of mobile citizenship are other philosophies and principles

that scholars, activists, and some governments have used to expand the discourse and application of citizenship into the realms of social, political, cultural, and economic participation.

It is perhaps not surprising that a discourse predicated on a liberal notion of citizenship extols powerful narratives of the autonomous individual who can master the world. However, many narratives of the mobile world are also heavily reliant on the principles and discourse of computer and network technology as a model for how the world and the people in it function. The network society and information society worldviews go way beyond metaphors, or even technological determinism; these worldviews suffer from an unspoken faith that the world, its culture, and its people can be understood or "solved" in mathematical/binary logic, and that human communication and culture can be satisfactorily, adequately, equated to technological systems. They are part of an organic discourse of science and technology.

Many narratives of the information society view the individual as an entity that can be understood as a singular node or object (Webster, 1995). Such logic cannot perhaps articulate modes of existence and communication based on group experiences and collaboration, because the individual must always be understood as a single unit, a single piece of code, a modular monad. This is not to say that mobile technologies cannot be created for mobile real-time group collaboration toward political and social ends. They undoubtedly can be (*see* Rheingold, 2002). However, the dominant narrative of technology and the individual are so tightly and intensely intertwined that it can be difficult, for many reasons, to think and act outside of the terrain of their discursive dominance. Any notion of the autonomous individual is of course a fallacy. Subjectivity and experience can be constituted only in relation to the world we are all a part of. But science is deeply rooted in Western philosophy and its obsession/devotion to the individual. It is then not surprising that narratives of the active individual are being deployed within a

mobilization of mobility that is being sold as agency in a dangerous, chaotic world. Narratives of group and regional agency do not have a rich tradition in philosophy or marketing as does the liberated individual. Furthermore, the prospect of group agency, often cast as the angry mob of democracy, is much more threatening to the network flow and the plans of big business. It is much easier to control a unit of one.

Mobiles are said to offer control over users' personal culture, the images, moments, conversations, etc, of their life and the cultural texts that merge into their subjectivity. But this control is in conflict with other people's mobile control cultures.[13] Penny Ellis (2002) wrote after her stint in the Big Brother house, "[t]he realization that you are simply a media-created commodity soon tarnishes the glitz of celebrity" (para. 3). Mobiles allow people to put their lives into word, sound, and image at a seemingly less public level than the similar mediation of the individual achieved in the Big-Brother house. Mobiles traverse the public/private borderlands at many levels. As mediators between the self and the world, mobiles encourage a Cartesian understanding of reality. For Descartes, the senses, which cannot always be trusted, offer the only clues to what may actually constitute reality. In the mobile world, personal devices meld with the senses to become a front, a barrier, between reality and the individual, mediating the various objects of the world. Places and people are just collections of objects. In the mobile world envisioned on Nokia.com and elsewhere, subjectivity and citizenship are brought together by technologies of mobile regulation that maintain the individual. Mobility becomes a technological bubble that surrounds the individual, creating a boundary between the individual and the world. This boundary allows only certain things to pass through its regulatory wards, thereby helping to constitute a precarious construct of the individual mobile citizen, one

[13] Similar concerns surround other technologies. For example, the question arises: What would public life be like if everyone carried around a loaded gun, or if everyone drove a car? These are issues of concern because technologies like guns and cars that give agency to the individual necessarily take agency away from others.

that actually seems to cede agency and subjectivity to the confines of the network and the individual's predefined role as a node. The individual's mobile device is the gateway through which subjectivity must pass in order to engage the world and to participate as citizens in society. This gateway, however, is highly artificial. It is constructed according to the logics of neoliberalism and the disciplined mobilization of the everyday (Grossberg, 1992). The individual's entry into society via the gateways of his technological bubble is determined by the level of citizenship technology he can afford. However, even for those people who have first-class technologies, citizenship for most entails a limited range of consumption and labor choices.

Final Thoughts: Implications for Life in the Mobile World

Dispersed computing, in a variety of forms, formats, protocols, and applications, is already extending the Internet far beyond the desktop PC's home and workplace domains. Information and communication technology's colonization of lived spaces poses many challenges for how we think about the role of media, culture, and technology in everyday life. Mobile and ubiquitous ICTs are not some specialized area of study that should fall under one area/mode of scholarship. Mobiles are media. They are mass communication. They are communication. They are history, society, economics, and politics. While many excellent studies of mobile users have been conducted and reported in the last five years, questions of mobile and ubiquitous ICTs are under-theorized and researched from critical cultural perspectives. The critical response to mobile and ubiquitous technologies—as media-soldiers on the front line of today's neoliberal mobilization of a society that is at worst "control," at best "consumer," and increasingly "network"—has a long and rich history of cross disciplinary scholarship to draw upon. From the attempts at CMC/Internet/cyber studies, we can learn an

important lesson: Just because we are dealing with new technological applications and practices does not mean we must attempt to make new theories and new methodologies. Political economy, poststructuralism, cultural studies, feminist theory, film studies, and other methods and disciplines offer many powerful tools and ideas that can and should be applied to critical cultural research of new media technologies. This new wave of modernization must be studied from cross-disciplinary perspectives that can get at the important issues of people's capacity to participate in a wide and diverse range of social, cultural, and political activities without having to traverse a pervasive network of gateways, permissions, and regulations. In the information society project, these regulations are increasingly technology-based and based on neoliberal logics/values as opposed to the consensus of local and regional groups, or even the individual.

Adopting the metaphor used by Andrejevic, and Al Gore before him, just as most of the human communities of the world have been connected by *highways* over land, sea, and air, so now are our senses and indeed the whole of our daily lives to be connected as well. But what are we to be connected to? To each other? To systems of regulation and surveillance? To a ubiquitous marketplace of commodities? Are we to be productive in collaborative and creative ways? Or as Andrejevic argues, is our productivity to be based on neoliberal measurements and modes of consumption? Harold Innis (1951) observed several decades ago that new pathways and roads always become routes of colonization and hence various modes of destruction. With this in mind, it is important to find out what the people starting to build the pathways to the mobile world envision it to be. The research of de Sola Pool (1984) and others demonstrates that new ICTs are often brought into narratives that envision and promote future realities that are never actualized. However, mobile ICTs are already firmly rooted in the practices of everyday life in much of the world. It is the next generation of mobile and pervasive ICTs that global big

business is attempting to actualize according to its visions and narratives for the mobile world. With this in mind, we need to look more closely at how mobile ICTs can and are being designed so as to facilitate creative, political, and collaborative modes of communication and cultural exchange. Big players such as Nokia, and even university technology design programs, must be encouraged to turn more of their resources toward exploring alternative functionality and uses. As scholars and communicators, we have a responsibility to encourage a large and diverse public dialogue regarding what roles a ubiquitous network should serve, and should not serve, in our society. Media producers have a similar responsibility to create critical and alternative technology narratives. Some technology corporations are likely to respond to popular ideas and demands, if for no other reason then to make money by giving people what they ask for. Media literacy web sites, classes, and programs need to teach about new features like DRM and others that can actually limit user agency. Individual and group agency in the mobile world must be predicated on the ability to tune in, tune out, turn on, turn off, and to have unfettered access to society and culture.

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Presentation Title:
Experiential Extremism: an Interactive, Immersive, Audio/Visual Installation

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Experiential Extremism: an interactive, immersive multimedia installation

Elainie Lillios (lillios@bgnet.bgsu.edu), Bonnie Mitchell (bonniem@creativity.bgsu.edu), Gregory Cornelius (gcorne@bgnet.bgsu.edu)

PROCEEDINGS ABSTRACT

Extremism and extreme sports have gained popularity in various cultures worldwide over the past decade. Extremists and thrill-seekers continuously "push the envelope" of possibilities in sports and other leisure activities. It's interesting to note that certain activities that once seemed extreme, such as bungee-jumping, now seem almost passé, pointing to an increase in the level of danger and excitement desired by thrill-seekers.

Experiential Extremism explores the concept of extremism by focusing on aspects that entice people to gravitate toward thrill seeking, and the emotional responses that occur before, during, and after extreme activities. By developing and manipulating abstract elements, we create an environment that evokes emotional and psychological responses similar to those that cause, maintain, or cease adrenaline rushes.

This immersive, interactive installation is divided into three physical areas, each representing one aspect of an extreme experience. Phase One, the "psych up" phase, mimics psychological and emotional states of being prior to engaging in an extreme event. Phase Two, the "event" phase, abstractly portrays the event itself. Phase Three, the "cool down" phase, represents post-experience reflection. Each phase evolves over time, creating a unique, individualized experience with each visit.

Visual and sonic events are triggered by stepping on electronic pressure sensors placed throughout the installation. The sensors are connected to MakingThings Inc.'s Teleo System, a modular input/output circuit board. Three networked computers running Cycling '74's Max/MSP/Jitter, a real-time processing application, receive and manipulate information from the Teleo System, creating the abstract experience.

One integral element of this installation work is precise integration between the audio and visual elements to create an immersive visual and sonic experience. Elainie Lillios's electroacoustic events combined with Bonnie Mitchell's digital animations take participants on emotional and psychological journeys, creating the sense of being immersed in an extreme activity. Gregory Cornelius completes the group by providing the integral technical and interactivity design/support necessary to realize the project. Our interdisciplinary (art, music, technology) collaborative team maintains a joint interest in and sensitivity to sonic and visual integration using technology and networking, providing a strong foundation for the project.

As an immersive installation, *Experiential Extremism* challenges and changes participants' ideas of time and space, providing an integrated, networked environment that transcends our expectations of time-based, spatial art and sound. The theme and content of the piece reflect our contemporary cultural landscape by abstractly portraying society's obsession with extreme activities, sports, and phenomena. The installation's sonic and visual events rely on sensory stimuli rather than on realistic representation, abstractly referencing memories and creating unique, transferable experiences. These psychological elements possess great potential for future exploration where environments become interfaces, and human presence communicates with technology in a seamless integration of sensation, communication, and art.

This presentation provides overview of the project, illustrate challenges involved in interdisciplinary collaboration, and share the processes involved in *Experiential Extremism's* conception and realization. By incorporating photographs, audio clips and videos of the installation, we will share our experiences in creating an "abstract extreme experience" as well as discuss possibilities for future collaborative projects in arts technology.

Experiential Extremism:
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Hawaii International Conference on Arts and Humanities

"Revelations in Recent Anthologies of Asian American Literature"

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Abstract:

The paper will focus on three anthologies: *Charlie Chan Is Dead 2, Tilting the Continent,* and *Virtual Lotus.* It will examine the stated and implied assumptions of each and what the selections reveal about the status of the literature, whether it has really progressed, joined the mainstream, or plateaued in euphoric self-delusion.

ABSTRACT
- Title of Submission: Chinese Oil Diplomacy
- Topic area of the submission: History (Southeast/East Asia)
- Presentation format: Research Paper
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- Abstract:

China first experienced severe oil shortage during the second World War, traumatizing its needs for oil. Ironically, the country that stepped in between China and her oil supplies was Japan, a country that would eventually turn out to be the largest customer of Chinese oil. With the outbreak of the Pacific War, the Japanese effectively blockaded China's southern coasts, sealing Chinese naval oil supplies airtight. The Allies had to somehow try to get oil supplies through to China. Allied and Chinese attempts to cope with the Japanese embargo included a route from Southeast Asia through Burma into China.

The route from Southeast Asia where overseas Chinese contributions in raw materials, military machines, medicine and all sorts of war materials and everyday commodities were transmitted known as 'Burma Road'. The Burma Road supply route was catalyzed by personal pleas from elite Kuomintang officials, including Chiang Kai-shek for help and funds in fighting the war against Japan. Overseas Chinese took up the cause and tapped into their transnational network in Burma on the peripheries of South Asia to archipelago Southeast Asia for resources to make Burma Road possible. One of the most prominent Southeast Asian Chinese organization that took up the task of supplying Burma Road with manpower was the Southseas China Relief Fund Union (SCRFU), an outfit of patriotic anti-Japanese Chinese led by an overseas Chinese leader based in Singapore, Tan Kah Kee.

After the war ended, history is not without its ironies. With the declaration of the People's Republic of China and its subsequent embargo and derecognition by Washington, the industrially-nascent PRC had to find ways to obtain much needed foreign reserves and manufactured goods. Its nearest sources was Japan which coincidentally needed the very raw materials found in abundance in China (including coal and oil) which postwar Japan needed to reindustrialize itself again. The two wartime foes had found complementarity in the immediate postwar years.

Chinese Oil Diplomacy – the Political Economy Transition from Japan to Russian Oil Relations by Tai Wei, Lim, Cornell University Graduate student and Overseas Research Fellow, Singapore Institute of International Affairs (All Rights Reserved)

Introduction. In terms of the external environment, the 1990s was the beginning of the process of globalization and dominance of free trade that saw greater investments flows into China from Japan and the EU. An international trading system that supports free trade truly became global and the institutions that made free trade possible became dominant entities. China is a beneficiary of the global trading regime with its increased trade links with the major trading nations of the world.

From 1985 to 2002, China's economic growth took off with annual high growth rates, emerging at the end of this period as an important investment destination for leading powers of the world. Since 1997, China's economy has grown at average rate of 7% to 8%. The United Nation estimates that China took in about $50 billion in foreign investments. Chinese exports to the US surged 21% to $322 billion in 2002, making it the largest exporter of goods to the US.[1]

Chinese proliferation in trade is not solely restricted to its traditional trading partners of the US and Japan. By 2000, China became the third largest non-European trading partner for the EU after the US and Japan.[2] Vice versa, the EU is the third biggest export destination for China (after the US and Japan) and the second source of imports

[1] Chandler, Clay, "Coping with China" in Fortune (article dated 16 January 2003), [downloaded on 16 January 2003], available at www.fortune.com
[2] European Commission Delegation to China, "Bilateral trade and investment relations" in EU website, (article undated) [downloaded on 23 May 2003], available at www.delchn.cec.eu.int/en/eu_china_wto/trade_relations.htm.

(after Japan).[3] Over 240 EU companies made Hong Kong their regional headquarters while 561 EU companies have regional representative offices there. By 2002, the EU had almost US$86.76 billion in total trade volume with China.[4]

With the boom in the Chinese economy, China's consumption in crude oil has increased at a rate of 5.77 percent on average. China used in 2003 about 250 million tons of crude oil, including 91.12 million imported, a year-on-year increase of 10 percent.[5] With this burgeoning demand, China has had to look for new sources of oil and it seems like the Russian Federation offers one of the most promising areas of oil supply for the booming Chinese economy. This paper aims to show how Chinese oil diplomacy has significantly shifted from being an oil supplier to Japan since the 1970s, tapering off in the 1980s to a major oil importer from Russia in the 21st century.

China first experienced severe oil shortage during the second World War, traumatizing its needs for oil. Ironically, the country that stepped in between China and her oil supplies was Japan, a country that would eventually turn out to be the largest customer of Chinese oil. With the outbreak of the Pacific War, the Japanese effectively blockaded China's southern coasts, sealing Chinese naval oil supplies airtight. The Allies had to somehow try to get oil supplies through to China. Allied and Chinese attempts to cope with the Japanese embargo took the form of two aerial routes, one emanating from India over the Himalayas to Burma and into Southern China and the other, from

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[3] European Commission Delegation to China, "Bilateral trade and investment relations" in EU website, (article undated) [downloaded on 23 May 2003], available at www.delchn.cec.eu.int/en/eu_china_wto/trade_relations.htm

[4] People's Daily Online, "China's Trade Volume Exceeds US$620 Billion in 2002" in People's Daily Online (article dated 20 December 2002), [downloaded on 10 January 2003], available at english.peopledaily.com.cn

[5] People's Daily Online, "Russia welcomes China to participate in East Serbia oil development" in People's Daily Online (article dated 29 March 2004), [downloaded on 29 March 2004], available at english.peopledaily.com.cn

Southeast Asia through Burma into China. Allied and Chinese attempts to cope with the Japanese embargo took the form of two aerial routes, one emanating from India over the Himalayas to Burma and into Southern China and the other, from Southeast Asia through Burma into China.

Burma Road

Complementing the Himalayan supplies was another route from Southeast Asia where overseas Chinese contributions in raw materials, military machines, medicine and all sorts of war materials and everyday commodities were transmitted known as 'Burma Road'. The Burma Road supply route was catalyzed by personal pleas from elite Kuomintang officials, including Chiang Kai-shek for help and funds in fighting the war against Japan.

Overseas Chinese took up the cause and tapped into their transnational network in Burma on the peripheries of South Asia to archipelago Southeast Asia for resources to make Burma Road possible. One of the most prominent Southeast Asian Chinese organization that took up the task of supplying Burma Road with manpower was the Southseas China Relief Fund Union (SCRFU), an outfit of patriotic anti-Japanese Chinese led by an overseas Chinese leader based in Singapore, Tan Kah Kee.

The SCRFU collected funds, winter clothing, blankets, medical supplies, cars and trucks and recruited 3200 overseas Chinese drivers from Singapore (706), Malaya (over 1000), Burma and Indochina to aid wartime transport needs in China.[6] It is through the complex interconnected network and groups of multinational Chinese communities forged by the mobilization intent of patriotism forged by Japanese encroachment of

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[6] Yong, C.F., Tan Kah-kee The Making of an Overseas Chinese Legend (Singapore: Oxford University Press), 1987, p. 217-8.

China that supplies, resources, manpower, goods are funneled through Burma to the government and functionaries of Chungking as well as American forces in China.

Included within Chinese anti-Japanese patriotism were their self-determination goals which sometimes clashed with colonial priorities of Allied forces who were also colonial powers. Therefore, one of Tan Kah Kee's delicate tasks was to prevent any sensational Chinese anti-colonial sentiments from harming ties with the British, especially since the British was a valuable supply of weapons along the Burma route on top of being territorially sympathetic to the Chinese cause in South Asia.

While Tan was a leading Southeast Asian overseas Chinese financier, planner and political voice behind Burma Road, the architect behind the operations on the ground was his faithful lieutenant, Hau Say-huan, a rubber trader formerly under the payroll of Tan as his employee in Tan's head office.[7] Unfortunately, Hau was labeled by Governor Shenton Thomas in Singapore as an anti-British element and deported on 31 December 1939. Tan blamed the British deportation of his righthand man on the political intrigues of his own rivals in the Singaporean overseas Chinese community.

Hau's arrest stimulated self-reflection amongst overseas Chinese to tone down their anti-Japanese protests in fear of provoking various colonial authorities. Tan even went on a radio broadcast through the International Broadcasting Station in Chungking on 26 April 1940 to offer a special tribute to the British authorities for their help to the Chinese relief fund to placate British ruffled feathers due to the Hau incident.[8]

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[7] Yong, C.F., Tan Kah-kee The Making of an Overseas Chinese Legend (Singapore: Oxford University Press), 1987, p. 169

[8] Yong, C.F., Tan Kah-kee The Making of an Overseas Chinese Legend (Singapore: Oxford University Press), 1987, p. 231.

Tan's placation of British authorities was strategic as British support was crucial for the Burma Road to be operational. The British allowed goods to be transported from their colonial territory of Burma after Japanese invasion of China in 1937.[9] After the Pacific war started, British support transformed from passive support in allowing Chinese anti-war elements to use their colonial territories for smuggling goods to Southern China to active support in mobilizing her own resources and personnel to keep the war supplies channel going.

Through international and regional coordination between the British, Americans, Southern Chinese, Chungking, Southeast Asian overseas Chinese, the Himalayan air and Burma Road routes were forged into two operational and seamless yet hazardous and risky supply lines converging in the central node of Burma. The former ensured the continuity of oil supplies to the encircled Chinese Kuomintang regime fighting the Japanese while the latter preserved the flow of war materials and daily necessities to China.

Finally, other than the Himalayas Hump and Burma, Yunnan in China was the third most important nodal point for the Allied oil smuggling operations during WWII. In December 1941, the city of Kunming in Yunnan province of China was bombarded by Japanese planes .[10] The Burma Road and Himalayan aerial oil route were in danger of being cut off at their destination point. 12 American Flying Tigers fighters were scrambled and managed to shoot down nine Japanese bombers, saving the city from

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[9] Yong, C.F., Tan Kah-kee The Making of an Overseas Chinese Legend (Singapore: Oxford University Press), 1987, p. 220.

[10] People's Daily Online, Flying Tigers Veterans Visit Battle Relics in People's Daily Online website [downloaded on 18 November 2003], available at english.peopledaily.com.cn.

complete destruction. In some of these battles to protect the supply routes, members of the Flying Tigers were themselves shot down.

The Flying Tigers were then stationed at the site of what is now Wujiaba International Airport in Kunming.[11] They were welcomed by the local inhabitants who often supplied them with fruits and foodstuffs .[12] The Flying Tigers themselves were involved in transportation of war materials when they were founded by General Claire Lee Chennault of the US 14th Air Fleet before they became involved in interdiction duties as well.[13] They eventually developed the reputation of bridge busters that went behind enemy lines in Burma and refined the technique of bombing bridges in remote gorges.[14] In November 2003, a Flying Tiger wreckage was being excavated from Dianchi Lake in Yunnan as a tribute to their war bravery.[15]

Sino-Japanese Oil Relations – *The Background*. After the war ended, history is not without its ironies. With the declaration of the People's Republic of China and its subsequent embargo and derecognition by Washington, the industrially-nascent PRC had to find ways to obtain much needed foreign reserves and manufactured goods. Its nearest sources was Japan which coincidentally needed the very raw materials found in abundance in China (including coal and oil) which postwar Japan needed to reindustrialize itself again. The two wartime foes had found complementarity in the immediate postwar years.

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[11] People's Daily Online, Flying Tigers Veterans Visit Battle Relics in People's Daily Online website [downloaded on 18 November 2003], available at english.peopledaily.com.cn.
[12] People's Daily Online, Flying Tigers Veterans Visit Battle Relics in People's Daily Online website [downloaded on 18 November 2003], available at english.peopledaily.com.cn.
[13] People's Daily Online, Flying Tigers Veterans Visit Battle Relics in People's Daily Online website [downloaded on 18 November 2003], available at english.peopledaily.com.cn.
[14] Albright, Max, Pilot Remembers 'The Hump' at The Amarillo Globe News website [downloaded on 18 November 2003], available at www.amarillonet.com/stories/091703/new_pilotremembers.shtml.
[15] People's Daily Online, Flying Tigers Veterans Visit Battle Relics in People's Daily Online website [downloaded on 18 November 2003], available at english.peopledaily.com.cn.

The historical roots of Japan's decision to resume relations with China is considered by some to be traceable back to 1952 when it was advocated by a number of politicians in the ruling Liberal Democratic Party (LDP) and the main opposition in Japanese Socialist Party (JSP).[16] It was then perceived by them as something inevitable and a celebrated moment signaling independence in Japan's foreign policy. Allied with this group of politicians were powerful industrialists and capitalists interests eagerly awaiting penetration into the age-old China market with its one-billion consumers.

However, due to various political complications, Sino-Japanese trade was stagnated for much of the 1950s, severely curtailed in the 1960s. It was only with the resumption of Sino-Japanese economic relations that a more permanent treaty in the form of the Long-Term Trade Agreement (LTTA) between Japan and China in 1978. This was the final step in formal normalization of trade ties between Japan and China since the China-Japan Trade Agreement in 1974.

The first significant element of the LTTA was that it was longer in duration than the 1974 China-Japan Trade Agreement, being eight years in duration.[17] It was also more explicit in its goals, projecting a US$20 billion trade between the two countries in the period between 1978 to 1985 with each side contributing US$10 billion.[18] The chief items that the Japanese needed from the Chinese during this period was energy commodities, beginning the phase of "(Japanese) technology for (Chinese) oil".

The crucial sweetener for persuading the Chinese to sign the agreement was a US$7-8 billion transfer of Japanese technologies and US$2-3 billion worth of heavy

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[16] Newby, Laura. Sino-Japanese Relations. London: Routledge, 1988, p. 5.
[17] Newby, Laura. Sino-Japanese Relations. London: Routledge, 1988, p. 7.
[18] Newby, Laura. Sino-Japanese Relations. London: Routledge, 1988, p. 7.

machinery and construction materials to China.[19] Recognizing China's economic situation, the LTTA agreed to China's deferred payments for these goods, an economic carrot that would replay over and over again.[20] The main trickle down effect that China was looking for from FDIs was the transfer of technology necessary for its modernization program. This methodology was encapsulated in the Chinese slogan 'one enterprise imports, one hundred enterprises benefit' (*yi jia jinkou, bai jia de li*).[21]

The benefit for Japan was her appetite for raw materials and fuels from China, including 8-9 million tons of coal and 47.1 million tons of crude oil.[22] The self-interest in this area on the part of the Japanese is sparked off by the 1973 oil cartel embargo following the Arab-Israeli conflicts. The fact that estimates during this period placed total Chinese petroleum volume at 2-6 billion tons was particularly enticing in such a scenario.[23]

Factors that superseded Sino-Japanese Oil Diplomacy. Several factors transitioned Sino-Japanese political economic relations towards a new platform. These factors include new value-added items in Sino-Japanese trade, Japanese domestic political shift towards nuclear energy and the diversification policy minted by China. These factors will be discussed in this order below.

Higher Valued-Added Economic Ties. By the 1980s, Sino-Japanese trade ties were also no longer confined to oil or other heavy industries since the mid-1970s. China realized the importance of FDIs to her economy as early as 1978 when the government

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[19] Newby, Laura. Sino-Japanese Relations. London: Routledge, 1988, p. 7.
[20] Newby, Laura. Sino-Japanese Relations. London: Routledge, 1988, p. 7.
[21] Newby, Laura. Sino-Japanese Relations. London: Routledge, 1988, p. 35.
[22] Newby, Laura. Sino-Japanese Relations. London: Routledge, 1988, p. 7.
[23] Rothenberg, Morris, Whither China: The View From the Kremlin. Washington DC: Monographs in International Affairs Center for Advanced International Studies University of Miami, 1977, p. 123.

took steps to set up Special Economic Zones (SEZs) that included the opening of fourteen Southern coastal cities, perks for foreign investors, legal infrastructure.[24] These investor perks eventually sparked off the 1984 electronics boom characterized by a Japanese investment scramble in China. Japanese FDI joint ventures jumped from 10 a year before to 47. In terms of figures, the jump in Japanese investments went from US$3 million in 1983 to US$114 million in 1984.[25]

Moving on from early industrial cooperation in raw materials extraction heavy industries, Sino-Japanese joint ventures began to shift towards the manufacturing sector and these ventures continue to increase in number, for e.g. Guangzhou Honda Automobile Co. (a joint venture between Guangzhou Auto Group Corp. and Honda Japan) was established in March 1999 with a production schedule of 59,000 Odyssey minivans and Accord sedans.[26] Investments by Japanese companies like Honda in China are not merely restricted to penetrating the Chinese market but conceptualizing China as a massive production base for exports to other regions of the world. One of the China plant's eventual roles is to export cars made in the plant to Europe by 2004.[27]

Japanese Domestic Priorities. By the beginning of the 1990s, Sino-Japanese oil diplomacy as the main bulwark of Sino-Japanese economic relations was placed on the backburner. Japan had changed priorities in energy needs. Japan aimed to wean off dependence on oil to less than 50% of its overall energy needs. This was in sync with the

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[24] Newby, Laura. Sino-Japanese Relations. London: Routledge, 1988, p. 27.
[25] Newby, Laura. Sino-Japanese Relations. London: Routledge, 1988, p. 29.
[26] Japan Times, "Honda to ramp up production in China fourfold" in Japan Times Online (article dated 19 December 2002) [downloaded on 19 December 2002], available at www.japantimes.co.jp
[27] Saporito, Bill, "Can Wal-Mart Get Any Bigger?" in TIME magazine online (article dated 5 January 2003), [downloaded on 5 January 2003, available at www.time.com

worldview of the ruling LDP which was also keen to give nuclear energy development the highest priority in alternative energy sources.[28]

The LDP was determined to ensure that nuclear energy constituted 11% of Japan's primary energy by 1990.[29] In conjunction with this, the future mainstay of Japanese energy needs was identified as nuclear power in a White Paper released in 1987.[30] By then, nuclear power had taken up 28% of Japan's energy industry and looks poised to become China's main energy source.[31] The Japanese decision to lessen dependence on overseas oil also added a dampener on Sino-Japanese oil trade.

China's Diversification policy. Since the 1980s, the Chinese also wanted diversify their technology sources and looked towards the Western Europe for technology needs, a brilliant move designed to wean off their dependence on Japan. In essence, China now signaled to the Japanese that they wanted nothing less than advanced technologies and greater technology transfer including human expertise to replicate such technologies after the contractual period is up or they might just turned to others for help. China aimed for an increase in European Community (EC) investments that it perceives as having less political strings attached relative to Japanese investments.[32]

To implement their new diversification policy, the Chinese decided to pay attention to Intellectual Property Rights issues. On paper, China's brushing up of her intellectual property protection, adoption of a patent law (April 1985) and a 22-point

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[28] Suttmeier, Richard P., "The Japanese Nuclear Power Option: Technological Promise and Social Limitations" in The Politics of Japan's Energy Strategy (Berkeley: Institute of East Asian Studies Research Papers and Policy Studies), 1981, pp. 132-3.
[29] Suttmeier, Richard P., "The Japanese Nuclear Power Option: Technological Promise and Social Limitations" in The Politics of Japan's Energy Strategy (Berkeley: Institute of East Asian Studies Research Papers and Policy Studies), 1981, pp. 132-3.
[30] Newby, Laura. Sino-Japanese Relations. London: Routledge, 1988, p. 26.
[31] Newby, Laura. Sino-Japanese Relations. London: Routledge, 1988, p. 26.
[32] Newby, Laura. Sino-Japanese Relations. London: Routledge, 1988, p. 46.

investment enticement package (October 1986) became catalysts for Western investment into the country.[33] It also resulted in their willingness to transfer more advanced and intermediate technologies to Chinese partners.[34] The mid-1990s also saw more agreements between the EU and China on industrial standards. In 1995, the Chinese Ministry of Foreign Trade and Economic Cooperation (MOFTEC) and European Commission agreed to begin cooperation in aviation, telecommunication, automobile and other fields.[35]

The new working relationship that arose from the consolidation of these confidence-building agreements with the EU has been applied to the energy industries. 1998's initiation of the yearly China-EU Summits marked a new warmth in China-EU ties on scientific and technological cooperation and the beginning of a new round of value-added energy cooperation.[36] In that year alone, there were 8564 technology transfer projects from the EU to China amounting to US$45.52 billion.[37] As a result of closer technological exchange forged in 1998, China and the EU have held four conferences on energy cooperation, reached an agreement on the peaceful use of nuclear energy, organized the China-EU information society forum.[38]

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[33] Newby, Laura. Sino-Japanese Relations. London: Routledge, 1988, p. 37.
[34] Newby, Laura. Sino-Japanese Relations. London: Routledge, 1988, p. 37.
[35] Embassy of China in UK, "China-EU Economic and Trade Relations" in Embassy of China in UK website (article undated), [downloaded on 23 May 2003], available at www.chinese-embassy.org.uk
[36] Embassy of China, "Remarks by Ambassador GUAN on China-EU Relations and China's EU Policy at the European Economic and Social Committee(2002.04.29)" in Chinese Foreign Ministry website (article dated 29 April 2002), [downloaded on 23 May 2003], available at www.chinaembassy-org.be/eng/29709.html
[37] Embassy of China in UK, "China-EU Economic and Trade Relations" in Embassy of China in UK website (article undated), [downloaded on 23 May 2003], available at www.chinese-embassy.org.uk
[38] Embassy of China, "Remarks by Ambassador GUAN on China-EU Relations and China's EU Policy at the European Economic and Social Committee(2002.04.29)" in Chinese Foreign Ministry website, (article dated 29 April 2002) [downloaded on 23 May 2003], available at www.chinaembassy-org.be/eng/29709.html

The Transition to Russian Oil Diplomacy. Because of the abovementioned factors, Sino-Japanese political economic ties have moved onto a new plateau with former mutually compatible interests in oil and other raw material extraction industries replaced by high-valued added manufacturing activities. This makes sense since the raw materials that was much needed by the booming Japanese economy in the 1970s and 1980s are now needed by the buoyant Chinese economy since the 1990s. Moreover, both countries now have their own respective domestic priorities that are not necessarily compatible with a common interest in China's raw materials. The opening up to other parties have also diversified Chinese attention in the minerals extraction industry. The latest to gain Chinese political economic spotlight with regards to the minerals extraction industry is Russia.

Sino-Russian Oil Relations. With strong economic growth since its open door policy, China was interested in pursuing investments in Russia. The rate of increase was also remarkable as according to the Russian ministry of economic development and trade, trade volume between the two countries increased by 65.7 percent year on year and by the first quarter of 2001 alone, it amounted to US$2.39 billion.[39]

Sino-Russian economic relations mainly based on trade has steadily built up from the dissolution of the Soviet Union till 2001 and it was felt particularly from the Russia side that time was ripe to upgrade cooperation to include joint ventures and raw materials processing industries .[40] From the Chinese side, they were keen to finance a geological

[39] Pravda, "Russian-Chinese Trade Volume Amounts to USD 2.39 Billion" in English Pravda Online dated 9 June 2001, [downloaded on 23 May 2003], available at english.pravda.ru
[40] Pravda, "China is Interested in Investments in the Russia Far East" in English Pravda Online dated 9 June 2001, [downloaded on 23 May 2003], available at english.pravda.ru/economics/2001/06/09/7392.html

survey work for prospective oil and gas in the region to feed their growing need for energy as well as establishing a Sino-Russia bank in Khabarovsk.[41]

Oil was a predominant item on China's wish list in investments within the former Soviet Republics. One of the biggest investments in this area is the pipeline from Kazakhstan to western China. The deal reached without Russian mediation alerted the Russian Federation to the need to capitalize on Chinese investments before they lose it to other independent former Soviet republics.[42] Consequently, the Russian Federation has launched a broad array of initiatives to increase oil ties with China.

By the 21st century, Sino-Russian cooperation in oil trade has begun to bear fruit. The second largest Russian oil trader, Yukos, exported about 3 million tons of oil to China in 2003, accounting for 60 per cent of Russia's crude exports to China.[43] In Feb 2004, China National Petroleum Corp (CNPC), the nation's largest oil producer, agreed to buy 10 million tons of oil annually from Yukos starting from 2006 for seven years.[44]

The oil is delivered via the existing railway linking Russia's Zabaikalsk and the Manzhouli area in China.[45] Yukos, Russia's second-largest oil company agreed with Russian Railways (RZD) to increase crude oil shipments to China by 5 times by 2007.[46] RZD agreed to deliver to China 6.4 million tons of Yukos' crude (128,000 barrels per day), 8.5 million tons next year and 15 million tons in 2004, 2005 and 2006

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[41] Pravda, "China is Interested in Investments in the Russia Far East" in English Pravda Online dated 9 June 2001, [downloaded on 23 May 2003], available at english.pravda.ru/economics/2001/06/09/7392.html
[42] Pravda, "Russia to Be Outflanked through Great Silk Way?" in English Pravda Online dated 26 December, [downloaded on 23 May 2003], available at english.pravda.ru
[43] People's Daily Online, "Contract ensures more oil delivery to China" in People's Daily Online (article dated 29 March 2004), [downloaded on 29 March 2004], available at english.peopledaily.com.cn
[44] People's Daily Online, "Contract ensures more oil delivery to China" in People's Daily Online (article dated 29 March 2004), [downloaded on 29 March 2004], available at english.peopledaily.com.cn
[45] People's Daily Online, "Contract ensures more oil delivery to China" in People's Daily Online (article dated 29 March 2004), [downloaded on 29 March 2004], available at english.peopledaily.com.cn
[46] The Moscow Times, "RZD to Rail Five Times More Crude to China RZD to Rail Five Times More Crude to China" in The Moscow Times website [downloaded 29 March 2004]

respectively.[47] China herself has also launched cooperation with Russian Federation Republic such as Sakha Republic (Yakutia) for prospective oil survey and research.[48]

Ironically, China's increased oil ties with Russia has seen the PRC come up against its former oil trading partner, Japan. Sino-Japanese rivalry in Russian is demonstrated most graphically and dramatically by their competition over access to Siberian oil, pitting the world's second largest economy against the world's fastest-growing economy. In March 2003, China and Russia signed a non-binding framework agreement to build an oil pipeline, running from Angarsk in East Siberia to Daqing in Northeast China (again another ironic twist of fate as Daqing, being China's largest oilfield, was formerly the symbol of post-1949 industrialization success story, Sino-Japanese collaboration in oil and the largest single source of export oil to Japan) .[49]

This proposed Sino-Russian pipeline would allow China to ship 700 million tons of Russia's crude through the pipeline to China over the next 25 years.[50] The deal, worth US$150 billion in total, would be the largest-ever bilateral trade agreement between the two countries.[51] Unexpectedly, the project took a knock after Japan offered a rival pipeline that will bypass China and stretch to Russia's Far East port of Nakhodka.[52] Since then, the project have vacillated from Russian compromise in building two pipelines (one

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[47] The Moscow Times, "RZD to Rail Five Times More Crude to China RZD to Rail Five Times More Crude to China" in The Moscow Times website [downloaded 29 March 2004]
[48] People's Daily Online, "Russia welcomes China to participate in East Serbia oil development" in People's Daily Online (article dated 29 March 2004), [downloaded on 29 March 2004], available at english.peopledaily.com.cn
[49] People's Daily Online, "Contract ensures more oil delivery to China" in People's Daily Online (article dated 29 March 2004), [downloaded on 29 March 2004], available at english.peopledaily.com.cn
[50] People's Daily Online, "Contract ensures more oil delivery to China" in People's Daily Online (article dated 29 March 2004), [downloaded on 29 March 2004], available at english.peopledaily.com.cn
[51] People's Daily Online, "Contract ensures more oil delivery to China" in People's Daily Online (article dated 29 March 2004), [downloaded on 29 March 2004], available at english.peopledaily.com.cn
[52] People's Daily Online, "Contract ensures more oil delivery to China" in People's Daily Online (article dated 29 March 2004), [downloaded on 29 March 2004], available at english.peopledaily.com.cn

to China and the other to Japan) to media report on Russian deference to the Japanese proposal to Chinese optimism of securing the deal back from the Japanese.

Conclusion. The outcome of Sino-Japanese rivalry over Russian oil resources will determine the shape of East Asian energy outlook for decades to come. Perhaps, emblematic of Sino-Japanese competition over economic resources in East Asia in general. The other significant symbol of this rivalry is manifested in the ASEAN, over the two East Asian giants to win the affection of the Southeast Asian grouping through promises of Free Trade Agreements (FTAs).

There is perception in some quarters that Japan is losing its polish as the economic leader of East Asia. In East Asia, she has only so far concluded a Free Trade Agreement (FTA) with Singapore, a country without agricultural industries to complicate such negotiations. There is some basis for disappointment with Japan's free trade initiatives. Japan's widely anticipated and closely-watched FTA negotiations with regional ASEAN powers such as Thailand and Indonesia, two countries with formidable agricultural resources.

In contrast, China has revved up their engine for a comprehensive FTA with ASEAN within ten years with negotiations already started. China even proposed a scheduled mechanism that gives advantages to ASEAN countries by granting favorable export conditions for their exports to China for a few years before full implementation of the FTA. With little fanfare, China has quietly become the largest export market for Singapore, South Korea and Taiwan almost at the same time while it is the second largest market for Japan and third largest for the Philippines, Malaysia and Thailand.

China's economic clout is growing at an enormous pace in Southeast Asia. Some seasoned watchers and diplomats would even go to the extent of arguing that Japan had wasted her chances at displaying regional economic leadership and put forward the perception that Japan is now led by Chinese initiatives. Such perceptions no doubt intensify Sino-Japanese rivalries in the region and would add pressures on the two East Asian states' domestic needs to feed their energy-starved economies.

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Title of the submission: Experiences of Establishing Tropical Architecture in Japanese Colonial Taiwan

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Abstract of paper:

Keywords: Tropical Architecture, Construction, Colonization, Taiwan, Japan

Taiwan became the first colony of Japanese Empire in 1895 and since then had executed many constructions for the sake of colonization until 1945. Because of the subtropical and tropical location of Taiwan, many problems on constructing buildings were caused from heat, moist, termite, and rainstorm. Japanese architects adopted or discovered several methods to solve these problems on construction. Therefore, the Western-style and the Japanese architecture originated in the temperate zone and brought by the Japanese must be modulated in construction and the built form.

By reviewing the documents during Japanese colonial period this study investigates some methods, including the use of veranda and *engawa* (緣側), to prevent heat and rainstorm, the application of ventilated floor to isolate humidity, the use of heat-insulating hollow brick, the improvement of reinforced concrete and the invention of the special structure for termite prevention. It reveals the specific characteristics of Taiwan colonization architecture under the consideration of tropical architectural experience of Japanese architects.

The Full Essay:

The Problems on Constructing Buildings in Tropical Taiwan

Taiwan was a colony of Japan between 1895 and 1945. Because of the subtropical and tropical location of Taiwan, the climate of Taiwan is hotter and more humid than that of Japan. The temperature in summer always reached above 30˚C and typhoons frequently attack between July and September and the annul precipitation is high. The warm environment is suitable for large reproduction of the termite.

Ide Kaoru (井手薰)[1], an important Japanese architect of the Construction Department of Taiwan Governor-General's Office (臺灣總督府), had analyzed the problems on buildings construction in Taiwan in his article "The Change of Architecture in Taiwan during 40 Years of Japanese Colonization " (改隸四十年間の臺灣の建築の變遷)[2]. He considered these problems on constructions were caused by heat, moist, termite, rainstorm and earthquake, and these problems, expect for earthquake, almost were related with tropical climate. Solving these problems became the important task for Japanese architects who worked in Taiwan Governor-General's Office. For these Japanese architects, it was a big challenge to change the Western-style and Japanese-style buildings, which were brought in Taiwan by the Japanese architects.

This study will focus on how the Japanese architects solve these problems and the influence of results on the Japanese colonial architecture in Taiwan. The method of this study is reviewing the documents during Japanese colonial period which include the books, magazines, journals and Official Documents of Taiwan Governor-General's Office printed during Japanese colonial period.

Several Solutions on Constructing Buildings in Tropical Taiwan

1. Veranda and *Engawa* (緣側) in the Official Residences for Heat and Rainstorm Prevention

For preventing heat and rainstorm, veranda was used in official residences by Japanese in Taiwan. Veranda was not a kind of traditional Japanese space but it became an obvious feature in Japanese official residences in Taiwan.

Sogawa Kitaro (十川嘉太郎), a civil engineer of Taiwan Governor-General's Office, recalled the style of official residences in his book "*The Memory of Taiwan*"[3] (顧臺). Original official residences for civil servants of Taiwan Governor-General's Office were built in Taipei city in 1896.

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[1] Ide Kaoru (1879-1944) was an important architect in Taiwan during Japanese colonial period. He came to Taiwan in 1911 and served as an assistant for design Taiwan Governor-General's Office. After 1912, he became an architect of Department of construction of Taiwan Governor-General's Office. Taiwan Architecture Association was established in 1929, and Ide was the first president until he died in 1944. He also designed a lot of important architecture in Taiwan, such as Taipei Public Hall, Kenku Jinja, etc.. (Fu Chao-Ching, 1999: 94-95).

[2] Ide Kaoru, "The Change of Architecture in Taiwan during 40 Years after Japanese Colonization " (*Journal of Taiwan Architecture Association*, Vol. 8, No. 1, 1936), p. 47.

3 Sogawa Kitaro, The Memory of Taiwan (Tokyo: Tokyo Published Company, 1936), p. 20.

These official residences were wooden structures and its 180 centimeter-depth veranda surrounding the house made them different from traditional Japanese style residences (Figure 1).

Figure 1 The official residences of the civil servants of Taiwan Governor-General's Office in Taipei in 1896 (From *The Medical History in Taiwan: Focus on National Taiwan University Hospital*, 1989).

After 1902, a series of standard design drawings for official residences of Taiwan Governor-General's Office were made. According to the official hierarchy, these official residence drawings divided into four ranks[4]. All of these standard design drawings showed that 100 centimeter-depth verandas were built in front of residences expect for the 1st rank official residence which had "*engawa*" (緣側) along two side of house.

However, the space of official residence must be reduced for the limited administrative budget because of veranda. It was sufficient for single or just married Japanese civil servants in such small house with veranda. After the politics of Taiwan colonization became more stable, Japanese civil servants had children or took their families from Japan to living together. They started to feel scanty for the residences space. So the space of veranda was used as families' room in official residence by their dwellers. This situation became a common phenomenon[5] (Figure 2 and Figure 3). After 1917, Taiwan Governor-General's Office decided to make a new standard design drawing for official residences. They canceled veranda on the standard design drawings. Figure 4 and Figure 5 were the plan drawings of the 2nd rank official residence in 1913 and 1917, which were different in their veranda space.

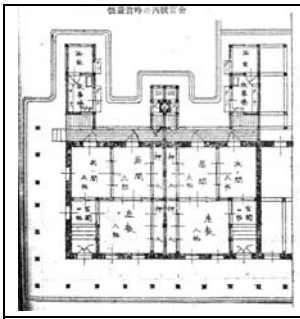

Figure 2 The drawings of the 3rd rank official residence with veranda (From "The Official Residence in Taiwan", 1943).

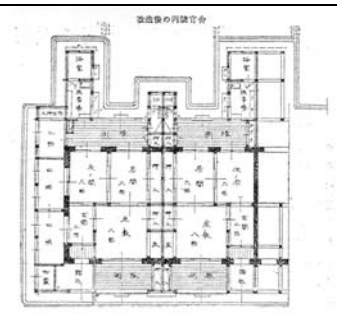

Figure 3 The drawings of the 3rd rank official residence which change veranda into indoor space (From "The Official Residence in Taiwan", 1943).

[4] Chen Hsin-An, "The Study on the 'Building Standards of Official Residences' of the Taiwanese Governoal's Office during the Japanese Period" (Tainan: Ph. D. dissertation. National Cheng Kung University, 2004), pp. 3-10.

[5] S.Y. (anonymous writer), "The Official Residences in Taiwan" (*Journal of Taiwan Architecture Association*, Vol. 12, No. 4, 1940), pp. 18-19.

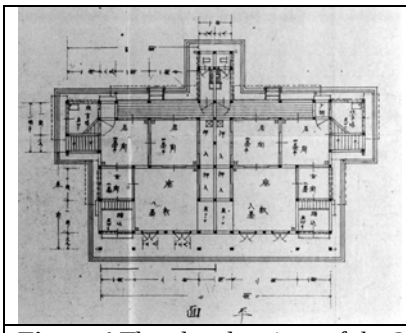

Figure 4 The plan drawings of the 2nd rank official residence in 1913 (From *Official Documents of Taiwan Governor-General's Office*, Vol. 6176, 1913. Queted in Chen Hsin-An, 2004).

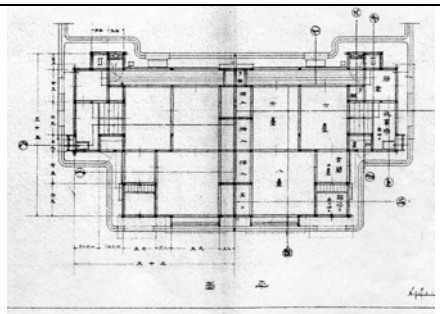

Figure 5 The plan drawings of the 2nd rank official residence in 1917 (From *Official Documents of Taiwan Governor-General's Office*, Vol. 0182, 1917. Queted in Chen Hsin-An, 2004).

As for the 1st rank official residence and the official residences after 1917, the space of *engawa* (緣側) became an important element for heat and rainstorm prevention. It was liked the function of veranda but could be used as indoor space when push-pull doors were closed. This kind of space was more economical for Taiwan Governor-General's Office. Fuji Sadakichi (富士貞吉), an important researcher of Research Institute of Taiwan Governor-General's Office, who was famous in tropical hygiene, pointed out that *engawa* was important as veranda to provide the function on heat and rainstorm prevention in a building[6].

Figure 6 The *engawa* in the official residence of Tzoong-Ye Sugar Factory, Tainan county, 2003.

Figure 7 The inside of *engawa* in the official residence of Tzoong-Ye Sugar Factory, Tainan county, 2003.

2. Veranda in Official Buildings and Public Buildings for Heat and Rainstorm Prevention

Veranda was also an important element on the heat and rainstorm prevention of the governmental public buildings. How important was veranda in building for Japanese? Initially, Japanese used the Qing Dynasty's official building for Taiwan Governor-General's Office Hall until 1906. Japanese decided to build a new official building for Taiwan Governor-General's Office. They held an architectural design competition for Taiwan Governor-General's Office Hall in 1907. The designers must followed some rules, which included the form for tropical climate of Taiwan[7]. At first, 28 works of architectural designs attended this competition, but no one won the prize. So

[6] Fuji Sadakichi, "The Research of Heat-Preventing Building" (*Journal of Taiwan Architecture Association*, Vol. 8, No. 3, 1936), p. 156.

[7] "The Rules for Competition of Taiwan Governor-General's Office Hall", *Journal of Japanese Architect Association*, Vol. 21, No. 246, 1907.

Taiwan Governor-General's Office held the second competition next year. Finally, an architectural design of Nagano Uheiji（長野宇平治）, a Japanese architect, won the 1st prize[8]. In his design, verandas were putted around the building, conforming the rules of competition. This design was altered by the other Japanese architect and then built during 1912 to 1919. Verandas around the building were still obvious element in the elevation (Figure 8 to Figure 10).

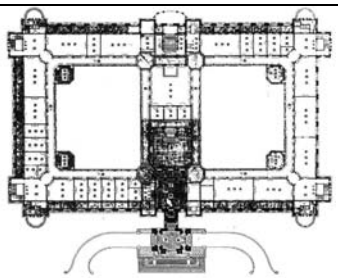

Figure 8 The final plan of Taiwan Governor-General's Office Hall (From *The Story of Taiwan Governor-General's Office Hall*, 2004).

Figure 9 The final appearance of Taiwan Governor-General's Office Hall (From *The Story of the Development of the Western Architecture*, 2003)

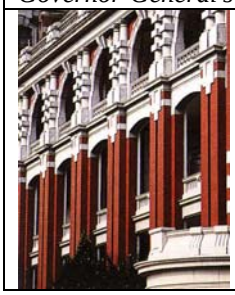

Figure 10 The detail of veranda of Taiwan Governor-General's Office Hall (From *The Architecture during Japanese Period*, 1999)

Another example was the Office of Research Institute of Taiwan Governor General's Office finished in 1909.The first chief of Taipei Hospital, Oda Toshiro(小田俊郎), described in 1938 that there were a wide lawn in core yard, a broad balconied corridor outside and high ceiling supported by great columns. For Japanese, it is a rare building. Taiwan is across the tropical zone and subtropical zone and the climate and environment is very different from Japan. The Research Institute was constructed to fit in with the unique climate of Taiwan[9]. Furthermore, the official and public building, like Kaohsinug Local Court (Figure 11), Taichung Prefectural Hall （1913, Figure 12）, etc., also set up veranda.

Besides residences, governmental buildings, most of the colonial barracks in Taiwan were set up veranda which made them a different outlook when compared with the barracks in Japan. Figure 13 and Figure 14 were the drawings of plan and elevation of the barrack in Tokyo and Figure 27 and Figure 28 were the drawings of plan and elevation of the barrack in Tainan. The obvious difference of the appearance was the veranda surrounding Taiwan colonial barrack.

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[8] Hwang Jiunn-Ming, *The Story of Taiwan Governor-General's Office Hall* (Taipei: Sunflower Culture Press, 2004), pp. 83-101.

[9] Oda Toshiro, *Fifty Years of Taiwan Medical History* & trans. by Hong You-Xi (Taipei: Qianwei Press, 1995), p. 104.

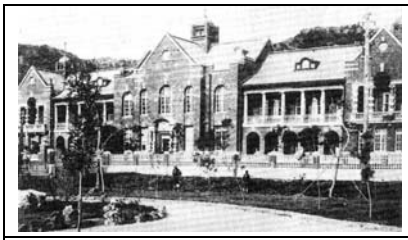
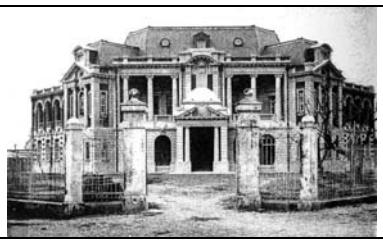
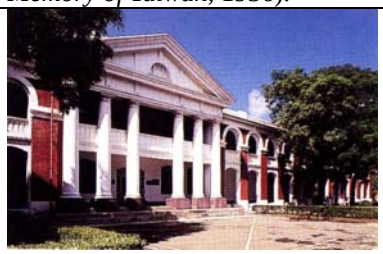
	

Figure 11 Kaohsinug Local Court, old picture (From "The Proposal of repair for Tainan Local Court", 1996).	**Figure 12** Taichung Prefectural Hall, old picture (From *The Memory of Taiwan*, 1936).
	
Figure 13 The barrack of the Sixth Infantry of Japanese Army in Japan (From *The Museum of Buildings*, 2002).	**Figure 14** The barrack of the Second Infantry of Japanese Army in Tainan, Taiwan (From *The Monuments and Historic Architecture in Tainan*, 2001).

3. The ventilated floor isolating from humidity

The ventilated floor had been a common feature in the traditional Japanese wooden house. They continued to be used in the West-style buildings which were brought into Japan after Meiji modernization. In Taiwan, the main purpose of this construction feature was used for epidemic prevention by Japanese. Before 20th century, moist soil was considered to be the source of with some source of diseases, such as malaria, fever, cholera, etc.[10]. These diseases were common in tropical zones. In view of epidemic prevention, the West colonists in tropical areas keep some distance from moist soil. For building, setting up the ventilated floor was an important method.

In 1895, Taiwan Governor-General's Office employed William Kinninmond Burton（1856-1899）, an English civil engineer, to plan the sanitary construction in Taiwan. He investigated the environment and provided some suggestion. One of his suggestion was that the colonial buildings should be raised the first floor to keep some distance from moist soil, so as to avoid diseases[11]. Therefore, the ventilated floor was set up into all kind of colonial buildings by Japanese in Taiwan.

Figure 15 was the picture of barrack of the second infantry of Japanese army in Tainan. Ventilated floor was set up and some windows along the wall of ventilated in this barrack. The high of the ventilated floor was 60 to 90 centimeter. The construction of ventilated floor was stipulated in the rule of "Legislation for Houses in Taiwan"(台灣家屋建築規則). The legislation stipulated the first floor in a house should set up the ventilated floor, keeping about 60 centimeter distance from ground, and pave concrete or asphalt above the ground under the house[12] (Figure 16).

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[10] Phillip D. Curtin, *Death by Migration* (New York: Cambridge University Press, 1989), pp. 47-50.

[11] Lue Che-Chi, "A Research on the Modernity Influence by Sanitation Engineer William Kinninmond Burton in Taiwan Cities during the Japanese Governance of Taiwan" (Zhongli: master dissertation. Zhong Yuan University, 1999), pp. 139-142.

[12] Rule, No. 83, *Newspaper of Taiwan Governor-General's Office*, September 30, 1900.

Figure 15 The ventilated floor of barracks of the Second Infantry of Japanese Army in Tainan, 2003.

Figure 16 The ventilated floor of The Japanese residence in Tainan, 2002.

4. Using of Heat-Insulating Hollow Brick

Some new materials, like heat-insulating hollow brick, were used to prevent heat in the building. About 1930, Kuliyama Shunichi（栗山俊一）, who was a Japanese architect of Taiwan Governor-General's Office, started to pay attention on how to use heat-insulating hollow brick into the building. Kuliyama did a lot of experiments for this new material to research the rate of heat insulation and the material force. He found these results of experiments excellent and recommended the architects to use this new material. The construction using heat-insulating hollow brick obtained a patent from Taiwan Governor-General's Office. This new construction was applied into the wall and flat roof to insulate heat. Figure 17 was the section drawings of this construction in the wall of the official residence. There were a lot of official and public buildings used this construction, such as the Science Classroom of Advanced School (1927), Banqiao Telephone and Telegraph Office (1928, Figure18).

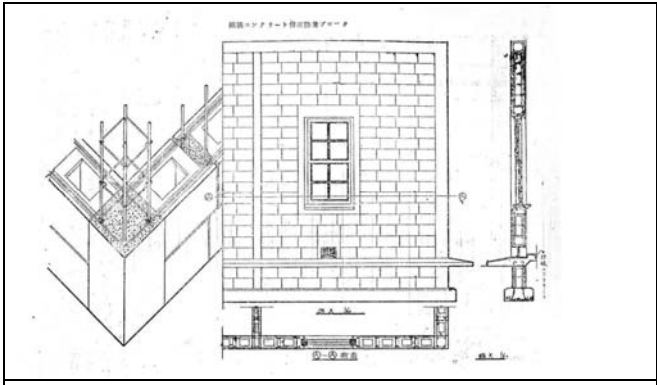

Figure 17 The detail of wall of the official residence which was made of heat-insulating hollow brick. (From "The Official Residence in Taiwan", 1940).

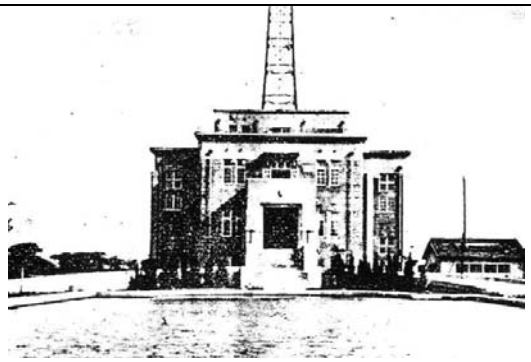

Figure 18 Banqiao Telephone and Telegraph Office, old picture (From *Journal of Taiwan Architecture Association*, Vol. 1, No. 1, 1929).

5. The improvement of reinforced concrete

New techniques brought into Taiwan by Japanese were not always suitable for tropical environment. Sometimes they needed further improvement. About 1900, Japanese started to use reinforced concrete in Taiwan. The first person who brought this new technology into Taiwan was

Sogawa Kitaro（十川嘉太郎）. At that time, he was a civil engineer in the Department of Civil Engineering of Taiwan Governor-General's Office. In 1901, the residence of Taiwan Governor-General's Office was still under construction and Sogawa suggested to use reinforced concrete for the balcony (Figure 19). This was the first time that reinforced concrete construction was used in Taiwan[13] (Figure 20). In 1908, Japanese accomplished Telephone Switch Control Room in Taipei[14], which was the first building completely built in reinforced concrete. Henceforward, this new technology was used continually in Taiwan.

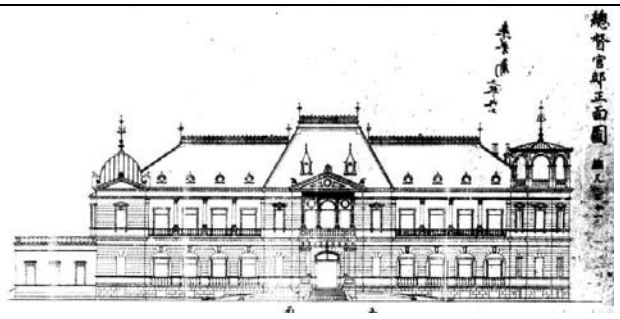

Figure 19 The design drawing of the residence of Taiwan Governor-General's Office, 1901 (From *The Story of Taiwan Governor-General's Office Hall*, 2004).

Figure 20 Taipei Telephone Switch Control Room, old picture (From *The photos of North of Taiwan*, 1912).

About 1920, some components on these reinforced concrete buildings gradually damaged. It attracted the government official's attention. For realizing the reason of damages, Taiwan Governor-General's Office employed a lot of experts to investigate these buildings. Kuliyama Shunichi（栗山俊一）was one of these experts. After Kuliyama's research, he discovered these damaged reinforced concrete components were caused by the climate of Taiwan. The moist air of Taiwan tends to precipitate the rusting of the steel bar. High temperature of Taiwan is another factor which caused the spoiling of the concrete[15]. For preventing the reinforced concrete from spoiling, the experts conducted a lot of experiments, which included the different materials and ration of concrete to observe the situation of spoiling. According to the results of the experiments, the experts decided to adjust the materials and ration of concrete adapting to the climate in Taiwan.

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[13] Lee Hong- Jian, "A Research on Relationship between the Development of Architecture Style and Construction Technique of Reinforce Concrete during the Period of Japanese Occupation" (Zhongli: master dissertation. Zhong Yuan University, 1994), pp. 34-35.

[14] Ibid. , p. 34.

[15] Kuliyama Shunichi "The Buildings Damaged on Reinforced Concrete"(*Journal of Taiwan Architecture Association*, Vol. 5, No. 1, 1933), pp. 1-8.

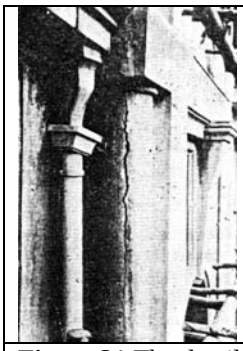	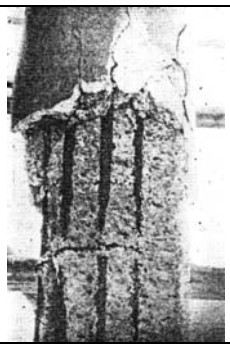
Figure 21 The detail of damaged reinforced concrete in Taipei Telephone Switch Control Room (From "The Buildings of Damaged Reinforced Concrete", 1933).	**Figure 22** The detail of damaged reinforced concrete in Taipei Medicine School (From "The Buildings of Damaged Reinforced Concrete", 1933).

6. Special Structure for Termite Prevention

Taiwan had many kinds of termites because of warm and moist environment. These termites always caused damage on many things, including wooden structure in buildings. In the early part of Taiwan colonization, Japanese built a large number of wooden buildings in Japanese traditional ways. The building materials including woods were shipped from Japan. Most of these wooden buildings were damaged by Taiwan's termites. Beside wooden buildings, brick buildings also damaged by termites. Consequently Taiwan Governor-General's Office needed to arrange a lot of budget to repair these buildings' damage and to find some solutions to prevent damage by termites[16]. In 1907, Taiwan Governor-General's Office employed Oshima Masamitsu（大島正滿）, a famous Japanese zoologist, to investigate Taiwan's termite. Oshima organized a group which included some chemists and architects. The works of this group included realizing Taiwan's termite, experimenting every possible insecticide to kill termites and preventing building from damaged by termites. Finally, this group accomplished six volumes of reports during 1909 to 1917.

According to the suggestion of the reports, there were three important ways to prevent termites for buildings.

（1）Termite-Preventing Concrete Slab

After 1909, Taiwan Governor-General's Office used a new construction to prevent termites. This new construction was learned from the Western colonist in tropical areas and was improved by Moriyama Matsunosuke（森山松之助）who was a Japanese architect of Taiwan Governor-General's Office, and also one expert of Oshima's group. At the Western tropical colonies, building always kept some distance from ground to prevent termite, sometimes a concrete slab was covered on the ground. Japanese learned this method. But they also found this method not effectively prevent damage of termites in Taiwan. Because the crack between foundation and concrete giving way to termites, Moriyama considered that a level of concrete slab must be passed through foundation and covered all over the base of building. So the process of construction of foundation must be broke off

[16] Ide Kaoru, "The Change of Architecture in Taiwan during 40 Years after Japanese Colonization " (*Journal of Taiwan Architecture Association*, Vol. 8, No. 1, 1936), p. 45.

until the concrete slab was finished covering. This new method was name “termite-preventing concrete slab” by Japanese during Japanese colonial period in Taiwan (Figure 23 to Figure 25).

Figure 23 The construction of foundation was broke off and covered with a level of concrete slab, old picture (From “The Fifth Report of Termite”, 1915).

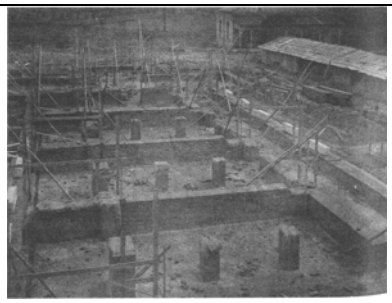

Figure 24 The construction of foundation was continued after concrete slab was finished, old picture (From “The Fifth Report of Termite”, 1915).

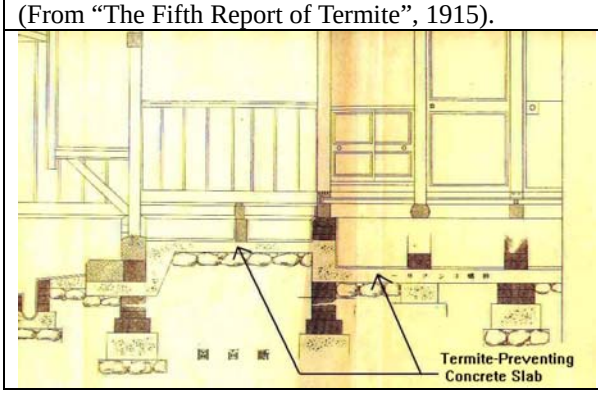

Figure 25 Termite-preventing concrete slab in the foundation of official residence of Taiwan Governor-General’s Office (From “The Second Report of Termite”, 1910. The bold line and words are annotated by the author).

（2）Using Cement Mortar Instead of Lime Mortar

It shocked Japanese that many brick buildings were damaged by termites in Taiwan until they found the reason. In 1909, the experts investigated the damage by termites in the residence of Minister of Civil Administration of Taiwan Governor-General’s Office (Figure 26), which was a West-style brick building. The black parts in Figure 27 were damaged by termites.

Originally, Japanese used lime mortar[17] to stick bricks. It was a kind of the traditional Japanese method of construction. By the investigation of termites in Taiwan, Oshima found that a kind of Taiwan termites[18] had acid salivation which could destroy alkaline lime mortar. This was the reason of brick construction destroyed by Taiwan termite. After 1909, Taiwan Governor-General’s Office declared rules of using cement mortar[19] instead of lime mortar.

[17] The ratio of cement, lime and sand in lime mortar was 1:2:5.

[18] This kind of termite, “Coptotermes Formosanus Shiraki & Oshima”, was named after Oshima Masamitsu for his discovery. The other common name now is “House Termite” in Taiwan.

[19] The ratio of cement to sand in cement mortar was 1:3.

Figure 26 The residence of Minister of Civil Administration of Taiwan Governor-General's Office, old picture (From *The memorial photos in Taiwan*, 1915).

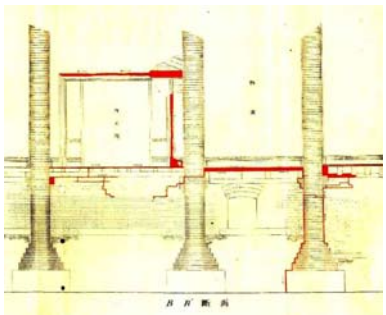

Figure 27 The damage by termites in the residence of Minister of Civil Administration of Taiwan Governor-General's Office (From "The Second Report of Termite", 1910).

（3）Putting Cement Mortar Cover the Brick Walls and Setting Up Windows to Bring into Natural Light

For avoiding Taiwan termites from damaging the brick walls, the experts of Oshima's group suggested to put cement mortar cover the brick walls. Because of termite's nature avoiding light, the experts suggested setting up the windows to bring into natural light, especially near the wooden ceilings and floors. In Figure 28, the first to the fifth section of brick building showed that the Termite-Preventing concrete slab were putted above the ground, putting cement mortar cover the brick walls, setting up the windows to bring into natural light in wooden and brick buildings.

Figure 29 was the model of desirable termite-preventing construction made by Japanese architect of Oshima's group. From the right side of the model section, there was ventilated floor, brick foundation with concrete mortar and termite-preventing concrete slab above the ground.

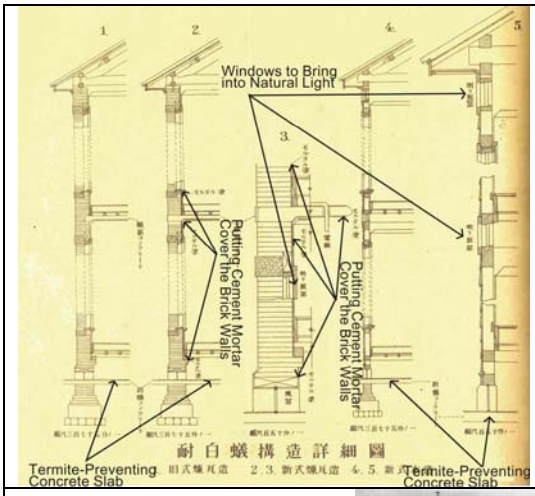

Figure 28 The termite-preventing of wooden and brick buildings (From "The Sixth Report of Termite", 1917. The bold line and words are annotated by the author).

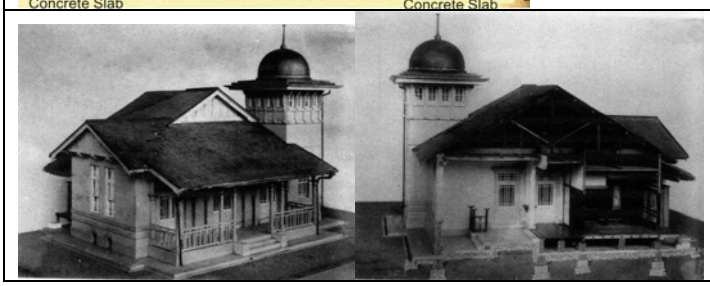

Figure 29 The model of desirable termite-preventing construction (From "The Fifth Report of Termite", 1915).

Conclusion

Because of the subtropical and tropical location of Taiwan, many problems on buildings construction were caused from heat, moist, termite and rainstorm during Japanese colonial period. Japanese architect adopted or invented several methods to solve these problems. Therefore, the Western-style and the Japanese architecture originated in the temperate zone and brought by the Japanese must be modulated in construction and the building form. By reviewing the documents during Japanese colonial period this study investigates some methods, including the use of veranda and *engawa* (緣側), to prevent heat and rainstorm, the application of ventilated floor to isolate humidity, the use of heat-insulating hollow brick, the improvement of reinforced concrete and the invention of the special structure for termite prevention.

These methods mentioned in this study were not all, but had revealed the specific characteristics of Taiwan colonization architecture under the consideration of tropical architectural experience of Japanese architects. Some of these methods change the form of the West-style and Japanese-style, like veranda in the Japanese-style official residences and ventilated floor in the West-style governmental buildings. Some of these methods change the construction of the West-style and Japanese-style, like heat-insulating hollow brick, the improvement of reinforced concrete and the special structure for termite prevention. The transplant of colonization architecture is not only an act of direct embedment but reconsideration of form and construction of all system. Environment is catalyst for the changes of colonial architecture which came from the temperate zone. It gives the specific regional characteristics of Taiwan colonization architecture in tropical environment.

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Translating the Chinese-Peruvian Writer Siu Kam Wen: Linguistic and Cultural Perspectives

There are approximately 50 million diasporic Chinese living all over the world, many speaking and writing in the language of their adopted country. This study will focus on Siu Kam Wen, a Chinese diasporic writer who writes in Spanish. It will first give an overview of his two collections of short stories. The stories in *El tramo final* (*The Last Stretch*) (1985) portray the socio-historical experience of the Chinese-Peruvian enclave in the 1970s and '80s. In the second collection, *La primera espada del imperio* (*The First Sword of the Empire*) (1988), three stories treat the experience of non-Chinese Peruvians in twentieth-century Peru, and five travel back through history to render traditional Chinese culture from a modern psychological perspective.

This study will center on the linguistic and cultural perspectives in translating Siu's work into English and Chinese. It will explore the different kinds of problems that emerge when one translates his work into Chinese and into English. It will then discuss the translations from the linguistic and cultural perspectives. When Siu's stories are translated from Spanish into Chinese the gulf to be crossed is largely linguistic, whereas the gulf is largely cultural when they are translated from Spanish into English

How Mara Does for Dann

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How Mara Does for Dann

The first paragraph of Doris Lessing's "Author's Note" to *Mara and Dann* reads:

> One day last autumn my son Peter Lessing came in to say that he had just been listening, on the radio, to a tale about an orphaned brother and sister who had all kinds of adventures, suffered a hundred vicissitudes, and ended up living happily ever after. That was the oldest story in Europe. 'Why don't you write something like that?' he suggested. Oddly enough,' I replied, 'that is exactly what I am writing and I have nearly finished it.' (viii)

Oddly enough, the "happily ever after" is rather happier for the sister, Mara, than it is for her brother, Dann. At the end of the novel both are married and the couples live together with three other adults on a farm. Children are on the way. Mara is reasonably happy on the farm and with her loving husband. Her biggest regret is that she cannot-at least for now-study at a nearby history museum. But Dann's perspective is rather different. He does not enjoy farming, would prefer to be off exploring, dreams of being a warrior king. (Not only is this dream possible; it could be useful to his sister and their friends.) He fights with his wife, Kira, a selfish woman who has a history of using men and, like him, of drug abuse. He knows that Kira would rather have Mara's husband than him. He knows that he would rather have his sister than his wife-and that this, too, would be possible if only Mara would permit it. But Mara keeps Dann in his situation. In order to understand this uneven outcome we have to begin at the beginning.

The novel opens with Mara and Dann undergoing a dramatic rescue. Although they do not know it, they are princess and prince of a royal family which is being deposed. As they are being grilled about the plans of their parents by the man who is deposing and killing them, his brother leads a team that rescues the children and brings them to a small village that is inhabited by a tribe that is traditionally enemies/slaves of their own. In this

village, they are raised until they are teenagers by a woman of their tribe, one who was exiled--and then protected-there by their own family as the result of an earlier political upheaval.

Several features of this opening are salient to the book as a whole. During the interrogation, the children are deprived of water. We soon learn that water is in desperately short supply in the entire region, which is experiencing a spreading extreme drought as a consequence of a great ice age which has virtually wiped out technological culture and left Africa nearly completely isolated from the rest of the world. The overthrow of their parents is typical of the intensified frequency and violence of political upheavals that are another side effect of the environmental stress.

The rescue of the children is part of a plot they-and we-will only come to understand much later. People scattered across Africa hope to one day use the children as a founding dynasty to reestablish a continent-wide empire once ruled by their family and dominated by their tribe. Dann will later be tempted to try to fulfill this plan, but Mara will block him.

Most important to this essay, the opening establishes two things. One is a pattern in the relations between Mara and Dann; the other is a theory that Mara develops to explain much of Dann's behavior. Relations between Mara and Dann are characterized by her efforts to care for and protect him. Once, late in the book, Mara will mention how she "stood up" to the "bad man" who interrogates them (305), but this is not how the scene is portrayed. Mara, a tired, thirsty and confused seven-year-old, simply doesn't understand what is going on during the interrogation. She doesn't understand what the man wants to know or why he wants to know it. Even if she would understand her persecutor's goals,

she doesn't have the information he seeks. Mara doesn't stand up to the man. She fails him. And her goal is not to protect her parents and their associates, whose danger she doesn't understand.

> …in the beginning she had answered because she did not know they were enemies; but then the bad man had taken up a whip and said that if they did not answer he would beat them. At this, one woman and then another had protested, but he had made them be quiet, with an angry look and a thrust of the whip at them. But the trouble was, she did not know the answers to the questions. (3)

What Mara does understand is that the man questioning her will harass the terrified four-year-old brother beside her if she doesn't hold the man's attention. "It was she who had to answer, because the little boy had screamed at the sight of the whip, and had begun clinging to her, as he was doing now, his face pressed into her" (3). Mara is doing for Dann, trying her best to protect and care for him. She will do this throughout the novel.

The idea Mara develops about Dann as a result of this event involves his failure to understand even as much as she about the events of that interrogation and rescue. Mara is momentarily confused because their rescuer looks so much like his brother, the "bad man". But she soon realizes that they are two different people with different intentions.

> The man who had brought in the little boy had not gone away. He was whispering with someone out in the darkness. And then this someone came in., and she almost screamed, for she thought this was the bad man she had threatened her brother with; but then she saw that no, this man was not the same but only looked like him. She had in fact begun to scream, but slammed her own free hand across her mouth, the hand that was not pressing her brother's head into her chest. "I thought you were… that you were' she stammered; and he said, "No, that was my brother, Garth." (2)

Dann, on the other hand, apparently does not understand that the two men are different.

> …when he saw the man standing there, he let out another howl, just like their dog when he howled at the moon; and again she put her hand over his mouth-

> not the one he had bitten, which was bleeding-but let him stare over it while she said, "It's not the same man. It's his brother. It's not the bad one."
>
> But she could feel the child trembling, in great fits, and she was afraid he would convulse and even die; and she forced his head around, back into her, and cradled it with her two arms. (2-3)

Throughout the novel, Mara will refer back to this trauma that Dann experiences at four, arguing that it shapes his personality and explains many of his actions. But Dann's responses-and stimuli-are far more varied than Mara's theory accounts for. And Mara seems to be unaware of the extent to which these events traumatize her, a seven-year-old girl. While Mara is aware that Dann sometimes regresses to his childhood state, she fails to note her own tendency to regress to his child-keeper, controlling his conduct while judging his options with a child's simple black-and-white values.

During the crisis, Mara is told several times to take care of Dann. Once by her parents: "Mara's mind was full of sharp little pictures she was trying to fit together: her parents leaning down to say, 'Be brave, be brave and look after your brother'" (13). Once by her rescuer, Lord Gorda.

> He was tired, he was so tired it was hard for him to talk, and to explain all these things. It was about his brother, Garth, the bad one, and his friends. It was about her parents, who had gone away somewhere because the bad man had wanted to kill them. And she must be careful to look after the little boy…" (5)

When Mara and Dann start to settle in with Daima, Dann starts to cry and Daima says "Try to make him cry more quietly" (25).

Only the last of these injunctions makes practical sense. It is a specific request, one within her capacity, made when Daima is too new to Dann for him to respond to her predictably. It makes sense for Daima to ask the older child to help her in governing the

younger child's emotional responses. But the other injunctions are blanketing, suggesting a general responsibility for the boy. However, when Lord Gorda tells Mara this, he knows-anyone would know-that both children will have adult supervision, even if he has not yet decided to place them under Daima's care. It will be the adult's responsibility to care for both children. Similarly, their parents cannot intend to leave the children unsupervised for a long time, even during wartime flight. If their plan were to leave the children at the mercy of their enemies, bravery wouldn't be enough for Mara. She would have to be heroic.

The adults are not making Mara responsible for Dann's welfare. They are asking Mara to ease the burden of whatever adult has the responsibility for their supervision. She is not being asked to take on the duties of a parent, merely to be attentive. This distinction may not be clear to Mara, but the role is one she is already familiar with. "…he was her little brother whom she had protected and cared for since he was born" (7). It is a common cultural paradigm. Older sisters care for young siblings (and frequently boys are cared for most of all). Everyone expects it, so Mara does it. And doing it becomes part of Mara's identity.

In normal times, the community would modulate the relationship between the children, setting, adjusting and reinforcing parameters. But the times aren't normal. The parents die. The children are exiled to the custody of one old woman in a hostile town. With less oversight than there should be, compounded by Daima's natural reliance on their youth as she ages, the relationship between the children intensifies into a rigid pattern. We shall document that relationship and how it develops.

The first time we see Mara caring for Dann the circumstances are quite dramatic.

They are being rescued from their parents' killers, but the rescuers are afraid that the killers will turn and pursue them, so they demand that the children be quiet.

> …a man was mouthing at her and pointing to the child, *Quiet, quiet*. In her turn she put her hand over his open, howling mouth and felt his teeth in her palm. She did not cry out or pull away, but staggered back against a wall to support his weight; and she put her arms tight around him, whispering, "Hush, shhh, you must be quiet." (2)

Soon Dann thinks they have been recaptured and starts howling again.

> …again she put her hand over his mouth-not the one he had bitten, which was bleeding-but let him stare over it while she said, "It's not the same man. It's his brother. It's not the bad one."
>
> But she could feel the child trembling, in great fits, and she was afraid he would convulse and even die; and she forced his head around, back into her, and cradled it with her two arms. (2-3)

When the children move in with Daima, Dann continues to be uneasy. Mara comforts him. "Dann was on Mara's lap and she was beginning to ache with his weight. But she knew he needed this and she must go on for as long as he did" (27). This becomes a pattern.

> She fell asleep and, and woke to see Daima lifting the shutter down and letting in the morning light. And Dann was already running across to fling himself upon her-"Mara, Mara"-and she fell back with his weight, and then pulled herself up, holding him, and carried him, while he clutched her, next door, where the shutter was off and Daima's bed was tidied.
>
> Later, this is what she remembered most when she tried to relive that time in her mind: the damp weight of the child, his face pressed into her shoulder, his clinging, and how her arms and then her back ached. And Daima watched and understood it all. Soon Daima would find ways of calling Dann away for a little, to go with her into another room or to help her, so Mara could rest. (29-30)

Mara doesn't merely comfort Dann. She also worries about the dangers he may face.

> Dann was tugging at Mara's hand, looking back over his shoulder at the pools and animals and chanting, "Water, water, I want the water."

> "You mustn't ever go there by yourself," said Daima, and suddenly Mara understood what a big danger that was. If Dann got away from them and went to the water… She would have to watch him every minute. He could never be left alone. (43)

Lessing deals with several aspects of their relationship in a few short paragraphs.

> Mara was almost grown, with her little bumps of breasts, and she was tall And thin and wiry, and could run faster than the boys, which she had learned to do from having so often to rescue Dann from danger. He seemed to have been born without a sense of self-preservation: would leap off a rock or a roof without looking to see where he was going to land, walk up to a big hissing dragon, jump into a pool without checking if there were stingers or a water dragon. But he was much better, and that was why Mara was up here, watching quite idly, not anxious and on guard as she had been every moment of her days and nights. Only recently had she understood that her long watch was over. She had been strolling from the hill to the village, listening to the singing beetles and her own thoughts, when she had seen Dann rushing towards her with a stick, then past her, and she had whirled to see him attacking a dragon that was following her.
>
> "You should be more careful, Mara," he had chided, and not at all as if he were mimicking her constant, Be careful, do be careful, Dann.
>
> She had gone in to Daima and told her, and the two had wept and laughed in each other's arms for the wonderful ludicrousness of it. And Daima had said, "Congratulations, Mara. You've done it. You've brought him through." (55-6)

We see that it is habitual for Mara to protect Dann. She "could run faster than the boys, which she had learned to do from having so often to rescue Dann from danger." We also see that Mara habitually criticizes Dann's behavior, demanding that he be more cautious: "not at all as if he were mimicking her constant, 'Be careful, do be careful, Dann."

There are a few inconsistencies in this account. One is that, while Mara perceives herself as constantly watching over a careless little brother, the incident involves a time when she is the one that is careless, not him. Furthermore, it is part of a particular pattern of her own unconscious risk-taking. She has not merely been watching over her little brother. She has also taken a series of solo treks to the site of an old city in the hills,

never considering that the dangers of going alone into dangerous territory are the same sort of risks that she warns her brother about with her constant "Be careful, do be careful, Dann." In the context of the novel, in which the hills, the river, and the village are described as dangerous to the children-in which no place is described as a safe refuge, it seems odd that Mara decides on the basis of a single incident that "her long watch was over" and seems odd that Daima agrees with Mara's assessment, "You've brought him through." But perhaps Daima is trying to convince Mara that things have changed and Mara should change her behavior. Mara is thirteen and Dann is ten, three years older than Mara herself was when they arrived at the village. It is time for Mara to let Dann grow up a little, now that Dann is "taller than any" (55) of the village boys he plays with and Mara herself is "almost grown, with her little bumps of breasts." But Mara seems to find this transition difficult. Although Mara now does it "idly", still, "Mara was up here, watching."

Throughout the novel, Mara betrays great anxiety about adult sexuality and particularly about the possible consequences for herself as a woman. Perhaps this scene, in which Mara neglects the implications of her "little bumps of breasts" while contemplating potential danger for Dann is her counterpart to a moment in Dann's life that Mara makes much of, one to which he sometimes regresses--and to which she refers even more frequently--in the course of the novel. Dann may seem "to have been born without a sense of self-preservation" but it is clear where he gains his sense of fear. When Daima asks Mara to quiet Dann, "Dann heard, and at once his sobs and wails were quieter. This is what he had learned: to obey fear" (25-6). This idea is developed a couple of pages later.

> "Shhhhh," said Daima, and he at once began to whisper, "Why, why? I want to know." He had learned to obey, all right, and Mara's heart ached to see how he had changed. She had always loved the little child's confidence, and his bravery, and the way he chattered his thoughts, half aloud, and sometimes aloud, acting out all kinds of dreams and dramas that went on in his mind. He had never been afraid of anything, ever, and now… (28)

But the first time Dann responds this way is not to Daima's instruction, but on Mara's "using a threat that frightened her too, 'Quiet, or that bad man will come.' And he at once went quiet and trembeled as he clutched her" (2). The "bad man" is their interrogator who "had taken up a whip and said that if they did not answer he would beat them… It was she who had to answer, because the little boy had screamed at the sight of the whip, and had begun clinging to her, as he was doing now, his face pressed into her" (3). This sudden onset of fear is as implausible as Dann's sudden learning of the skills of self-preservation at the age of ten. Perhaps we should attribute this interpretation to the faulty perceptions of a sunny seven-year-old princess sheltered by her parents.

> "…I didn't know there was fighting."
> "I expect your parents were trying not to frighten you."
> "That means they thought the fighting was going to stop."
> "No, Mara, I don't think they believed that." (33)

Nonetheless, this is more or less how Mara interprets Dann's response to their capture, interrogation, and rescue: A bad man came and threatened them. Then they were sent away from their homes and parents forever. Dann was severely frightened and traumatized by the experience. He never understood that it involved two different men, brothers, one of whom meant them harm and the other of whom meant them well. Of if Dann did understand these facts, he could not integrate them into a coherent narrative.

The novel never explicitly undercuts Mara's interpretation of Dann's experience.

Clearly he is severely traumatized and very confused by events. As the novel progresses, Dann's behavior does sometimes support Mara's interpretation, most notably on occasions when, under stress, Dann reverts to a "little boy voice" and, cowering fearfully, talks about "the bad man." This does happen several times. But there are other times when Dann does not act this way, yet Mara knowingly refers back to Dann's childhood experience as the motivator for present behavior. The problem with Mara's frequent recourse to this interpretive device is that it covers a very broad range of experiences.

First Dann apparently confuses the two brothers, the interrogator and the rescuer. I say "apparently" because we never get a coherent account of what he perceives. He cowers in Mara's arms. A week later Dann meets two bullies, also brothers.

> Dann was staring at them, and then began moving closer to them, step by step, his eyes going from one face to the other. The two men stood looking at him, surprised, then uneasy, then angry. They spoke to each other in low, angry voices. And still Dann moved toward them, step by step, staring. "Shooooo," said one man, and the other shook a stick at him, as if Dann were an animal.
>
> "What's the matter with the child?" asked Daima. "Stop him."
>
> "I know what's wrong," said Mara, and she did, though at first she hadn't. The faces of the two were so alike you could hardly tell them apart: two angry faces looking down at the child, their lips thin and tight with dislike of him. Mara ran out and grabbed Dann just as one man picked us a stone to throw at him. (47)

Mara-not Dann-says "there had been two men with similar faces, and one had threatened to beat them and kept them without water, and the other was kind and gave them water-and now they seemed to Dann the same: the two brothers, Garth and Gorda" (47). Dann never says that such confusion is his problem. Furthermore, the two bullies are of a different ethnic background from Garth and Gorda. The bullies are Rock people, squat and thick. The brothers, like Mara and Dann, are Mahondis, tall and slim. And the

experiences are very different. Garth and Gorda appear successively, never together, and treat the children differently. The two Rock people appear simultaneously and behave similarly to each other. Not only is Mara certain that she understands Dann's first experience; she is also certain that he is generalizing-wrongly-from this, all without Dann's confirmation.

The next episode involves another bully, the village boss, Kulik. He is a major character for both Dann and Mara for a variety of reasons. Therefore, we will treat him separately, later. All we need say now is that it doesn't fit the pattern established so far. There is only one Kulik and Dann doesn't respond to him by fearful cowering or by a fascinated trance state. Dann responds by plotting revenge. And the narrator remarks that Dann's response is precocious (not regressive). But the Kulik motif is immediately linked to the twin motif by Dann's identification of Kulik as "the bad man", an identification that Dann will use several times-for several men-throughout the novel.

The next time Dann responds, it is again with robotic fascination, but there is another variation to the stimulus.

> …a crowd of travelers came, about twenty, and they stood in a close group while the villagers came out to see who it was this time. And, gazing and examining, they became silent. These were certainly Rock People: squat, thick-built, greyish in color, with pale masses of frizzled Hair. But their faces were all the same. At first in disbelief, then in quiet horror, the people standing around the travelers looked from one face to another… (61)

Everyone in the village is horrified, but Dann's response is distinctive.

> Dan walked forward as if he were being pulled, one step after another, Just as he had been when he saw the two brothers years before, unable to help himself, drawn by something he did not understand and did not know about. He came to a stop just in front of this little mass of people, which was also one person, or seemed to be, since their

> movements were the same and their faces each had identical and hostile anger. (61)

Not only are the appearances of the newcomers eerily identical, so are their actions. "As if there were one person their hands rose, and in their hands were sticks" (62). Mara again snatches Dann away from danger, pulling him from the crowd "and the hands and sticks fell, but slowly, and in the same moment" (62).

Dann's response turns out to be fortuitous. The aliens are spooked by the two Mahondi children and Dann's tendency to shadow them makes them so uneasy that they soon leave the Rock Village-a good thing, because they have been demanding food, depleting the village's meager supply.

Later, Mara and Dann will come across a nation of these strange, clone-like people, where the race will be called the Hennes. When that happens, Mara will be more upset than Dann, for he will have familiarized himself with them. But this first time Mara confidently explains Dann's behavior.

> She could feel Dann trembling, though now her hands were gripping not a little child but a strong boy whose head was nearly on a level with hers. He stood and shivered as he had years ago, shocked by a mystery: faces That resemble each other, eyes that are alike, while behind lie worlds as different as day and night. But here it was not two faces: there were many. (62)

Mara's explanation does not account for two things. One is that everyone in the village is horrified, not just Dann. The other is that Dann will later overcome both his horror and his seemingly ingrained response. Mara refuses to consider the possibility that Dann is normal.

The next episode is even less consistent. Two men of his own Mahondi race, apparently not brothers, appear in the village and Mara hears "the men's deep voices and

Dann's excited voice, talking and laughing too: Dann did not often laugh but he was laughing now" (63). The next morning, Dann leaves with the men without telling Mara. Later, we will find that the men physically and perhaps sexually abuse Dann. He will tell Mara that they were bad men-plural-and describe how he plotted his escape from them.

We see that as a child Dann has a variety of responses to a variety of men. He cowers fearfully during his interrogation by one man and rescue by his brother, both Mahondis, like him. He drifts toward a pair of hostile brothers and later toward a crowd of identical people. He talks and laughs with a pair of Mahondi men who are never described as similar or identical. These responses may be patterned and are often mirrored as the novel progresses, but there is more than one pattern of response to more than one stimulus. Mara, however, insists on seeing them as identical and insists on reading them the same way: any relation Dann has with another man is potentially threatening. She always wants him to break them off.

For most of the novel Mara's own response to men is similarly full of anxiety. A typical moment occurs when, after an absence of years, Dann reappears in the Rock Village where they had been raised in order to rescue Mara from the drought. Mara first sees him reflected in a pool of water. Before she knows who it is, we get this description:

> He was naked. She saw there between his legs what Daima had told her she must be afraid of: the two young, round balls in their little sac, and the long, thick tube over them-- (75)

Daima teaches Mara to fear sex with men. Daima's lessons are reinforced by the sexual interest that Kulik, the bully who runs the village, has for Mara. Some of Mara's fear, therefore, is of rape. But there is more to it. Mara has a conversation with Juba, a slave/administrator in a town where she briefly lives as a slave herself. The topic is a

crisis in fertility.

> "Oh, Ida . . ."
> "She wants me to get pregnant for her, when my flow begins." And then at his inquiring look, "Oh no, no, *no*. I'm afraid. There's nothing more terrible, children dying, the babies . . ."
> And she thought, surprised at herself, It is true, back in the Rock Villlage, the children and the babies dying; but it was so terrible I wouldn't let myself feel it, and so when that child died on the journey here I felt nothing. I don't want to feel, I don't want that again—*never*. And she felt now the anguish of seeing the dying babies in the Rock Village, babies being born, then dying, or surviving for a while, so that everyone watched hoping, and then another bad dry season—and they died. The mothers' stony faces, the fathers' angry faces as they dug the little graves in the hard earth, or put the corpses out for the scavengers. (160)

In Mara's experience, children die. Almost always. And the mothers run a terrible risk of dying themselves. This is the experience that Mara brings with her to a conversation she has with Shabis, the man she is destined to marry—and conceive with—at the end of the novel:

> …then they discovered some medicine or herb that stopped them having children . . ."
> *"What?"* said Mara. "What are you saying?"
> She was staring, she was breathless.
> "What's wrong, Mara?"
> "I can't . . . I don't think I can take that in . . . do you mean to say . . . you're saying that those ancient women, if they took some drug, then they didn't have children?"
> "Yes. It's in the Sand Records."
> "That meant, those women didn't have to be afraid of men."
> Shabis said drily, "I haven't noticed your being afraid."
> "You don't understand. Daima used to tell me and tell me until I sometimes got angry with her, Remember when you meet a man, he could make you pregnant. Think if you're in your fertile period and if you are, then be on your guard."
> "My dear Mara, you sound as if you are accusing me."
> "You don't know what it means, always to be thinking, Be careful, they are stronger than you are, they could make you pregnant.
> "NO, I suppose I don't."
> "I cannot even begin to imagine what it could be like, being at ease

> when you meet a man. And then, when it suits you, at the time you want it, you have a baby. They must have been quite different from us, those women in ancient times. So different . . ." She was silent, thinking. "They were free. We could never be free, in that way." Now she was remembering Kulik, how she had dodged and evaded and run away, and even had nightmares. Dreams of helplessness. That was the point. Being helpless.
>
> She told him about Kulik, and how glad she had been when the drought stopped her flow. She said that when she had her fertile times she sometimes did not go out of the rock house, she was so afraid of him. (260-1)

Mara learns that heterosexual intercourse is often rape. Even under the best of circumstances, as when se bonds with—and is impregnated by—Meryx, Juba's son, motherhood locks a woman into a rigid trap. She must stay with one man, in his mode of living, until the children are gone—one way or another. That pregnancy ends in an abortion when Mara and Dann flee the dying town in which Meryx lives. (Mara does not know that she is pregnant when she leaves.) She gets the abortion because she is certain that the baby will die during the trip, while she is likely to either die or be enslaved.

At the end of the novel, Mara is happily pregnant—by her husband, Shabis. She allows this to happen because she finally, for the first time in the novel, feels safe and secure. She is in a seemingly well-protected home, apparently safe from environmental flux, surrounded by people she trusts, in loved with a man who loves her. It takes all this for Mara to feel free to have heterosexual intercourse.

Twice Mara considers lesbian activity. It is rampant in the women's wing of the administrative slave compound in the city of Chelops where she meets Meryx. It is again rampant in Dalide's whorehouse in Bilma where Mara is held captive until Dalide can sell her. But Mara simply dismisses the prospect. "All those kisses and cuddles, and pattings and strokings—she couldn't do all that, she wasn't used to it" (147). Mara doesn't view lesbian sexuality as true sexuality at all.

However, Mara responds differently to the idea of male homosexuality. She first learns of the concept in Chelops during a conversation with a doctor, Ida.

> "… But we don't decide everything. We can't stop them taking Mahondi girls as concubines. Or the boys, either." Then, because of Mara's surprised face, "You've never heard of what I'm saying?"
>
> Mara shook her head. "Not men and men?" In her mind a warning was flaring: Dann, Dann, Dann. She thought, That's a danger for Dann, I am sure of it. (145)

When first confronted with the possibility, Mara immediately concludes that male homosexuality is real and dangerous in a way that lesbianism is not. Apparently, real sex involves dominance and submission, where a penetrating male dominates a submissive partner. Lesbians, lacking penises, apparently cannot dominate in the same way, so they cannot have real sex. And real sex can never be egalitarian.

Mara's aversion to male homosexuality in reinforced when she rescues Dann from near death.

> She knelt beside Dann, who was prone. She turned him over. He was drugged sensesless. His face was covered in sores. On his arms and legs were sores and scabs on dry, flaky skin. His eyes were glued with pus. His whole body was festering, and sick, thin flesh clinging to bones. (189)

Dann later tells Mara that he had joined a gang who sold drugs to live but he became addicted to the drugs and then "'There was a bad man.' And now this was little Dann's voice: 'A very bad man, piped little Dann. 'He beat Dann'" (194).

The next short paragraph illustrates a typical bias of the novel. Mara has found Dann with two men, one murdered and one dying. Dann's account has mentioned one man, whom he has killed. The next paragraph reads:

> He had done it again: his memory had refused to accept a truth too painful to be borne. "Weren't there two men?" asked Mara. (194)

Mara, who only sees one moment in Dann's existence, assumes that she knows Dann's story better than he does himself. She summarizes the episode this way:

> …she thought how he had always refused to remember that first time, when two men became one, 'the bad one,' and now again there's one man. Dann killed him but he's not going to remember. (194)

We don't know what Dann will not remember. What is obvious is that Mara is so concerned to reinforce her paradigm that she discounts Dann's direct testimony. She does so based on visual evidence—two men in the room with him—that Dann never explains. But the striking thing about the paragraph is its opening sentence. It is not Mara but the narrator who argues that Mara is right, Dann wrong, about his experience. Mara makes questionable conclusions based on ambiguous evidence. When Dann's narrative of his experience contradicts her interpretation of that experience, the narrator sides with Mara. Mara's theory trumps Dann's memory because the narrator says that it does.

We get a variation of this method in a description of the consequences of homosexuality. Mara has already said that she feared Dann was in danger. Now comes this description:

> Then she had to clean him, and he screamed at the first touch. Orphne pulled apart his legs. The two women bent, shocked, to see how the area around his anus was bruised black and green and blue, and the anus itself was loose and bleeding. Mara had not seen anything like this, nor even thought about it; but Orphne knew and said, "They enjoy it when they are young but they don't think that when they are old they won't be able to hold their shit." (193)

This time it is not Mara or the narrator but Orphne, the healer, who interprets the

meaning of Dann's experience without consulting him. Interestingly, the description of Dann as someone who screams at the first touch of his anus is far different from Orphne's interpretation that "they enjoy it when they are young." Dann says that a "bad man" coms into his life when he is addicted to drugs and we never find out what he means. Orphne assumes that Dann voluntary lets himself be sodomized, asserts—against the evidence of the body before her—that he enjoys it. Mara has a vision of enslavement by two bad men. It would be nice to know exactly what happens in this episode of Dann's life and what it means to him. But nobody ever asks him. They already know. And the fact that their knowledges are contradictory never bothers the healer, the sister or the narrator. For each, it seems more important that she be confirmed in her beliefs than that she find out the facts.j

Mara's view of Dann begins to change about this time. Growing up, he has been her innocent, careless little brother. When he rescues her from the Rock Village, he shows both loyalty and ruthlessness as well as casual competence. But now Mra sees him near death, addicted, apparently enslaved, certainly sodomized, and she does not like what she sees. Mara comes to decide that Dann's confusion of "the bad man" with a good one is not merely external: he has internalized the split. A bad man wars with a good one within him. There is, according to Mara, a good Dann and a bad Dann in a schizophrenic union. She can never trust him fully again.

This good Dann/bad Dann formyla is an indication of Mara's growing psychological sophistication. She is beginning to realize that individuals have wide potentials and multiple motives. But her formulation remains clumsy and inadequate. It leaves no room for moral ambiguity, for the gray areas among competing goals among which we develop

our choices. And it never leads Mara to questionher own moral values. The "good Dann" does what Mara wants and approves of. The "bad Dann" does something different.

The two things that Dann does in the towers that appall Mara are sex and drugs. There is, at that time, a logical link in Mara's disapproval of the two. Both maifest themselves in life-threatening forms and both—whatever the initial impulse—become involuntary activities. Dann's opium addiction is severe enough that he is starving to death. And his sexual activity apparently combines bondage, torture and rape—leaving Dann defenseless against the whims of his captors. Mara is appalled at the terrible risks and loss of volition that Dann experiences. But her response to the two dangers is inconsistent. Kira is a "recreational" user of opiates, yet Mara approves of her as Dann's companion—an approval Mara grants upon finding that Dann is apparently a recreational user of men. When Mara finds Dann, after a separation of a couple years, "she lifted her head to look at Dann, she noticed sitting opposite her a young man, a boy, andhis face was bitter as he smiled, *Wouldn't you know it!* And he was very jealous" (280). Later, Mara and Dann discuss Dann's situation.

> "…That boy of yours in the headquarters in Shari … You left him just like that, you didn't care."
>
> "Mara, I told him every day, sometimes several times a day, that I was going to leaves. One day I'd just walk off and leave and he had to be prepared for that."
>
> "All the same, he was jealous; if looks could kill, then…"
>
> "He came to H.Q. and begged me to take him in as an army servant. He had run away from the Hennes. He wanted to work for me. And so he did." Again, she did not like his laugh. "He was in rags and he was starving when he came. He was fed. He was given a uniform. He'll find another officer to take him on. He's probably done that already."
>
> "And you don't care."
>
> "I care more about Kira, as it happens." She saw him lift his head up off the pillow, to see how she reacted. She was astonished. "Kira and I were

> together. I wanted her to come with me when I was posted to the Northern Army, but she likes her comforts, Kira does. She preferred her nice little house and her nice little life. And her nice poppy." He mimicked Kira's "But I only smoke a little bit, Dann, just a teeny little bit sometimes, Dann… She's probably got somebody else already too."
>
> "And you had that boy and Kira going at the same time." (289)

When Mara assumes that Dann's relationship with both has been sexual, Dann does not deny it. He does suggest nuances and complications. There is an element ofmutual convenience in his relationship with the boy. Dann never pretends to love him, while the boy clearly wants a man and Dann is available. Kira's attitude toward Dann is surprisingly similar. She also wants a man and Dann is available. While the boy seems more willing than Kira to center his life around Dann, Dann seems equally willing to center his life around Kira, who seems as indifferent to Dann's ardor as Dann is to the boy's. Notably, while the dynamics of these two relationships seem to mirror each other, with Dann as desired object of one relationship and ardent suitor in the other, neither seems to have much to do with the physically abusive relationship Dann had experienced earlier. Mara disapproves of the simultaneity of the relationships, but her preference for the heterosexual dalliance over the homosexual one does not seem to reflect any difference in their psychodynamics. Mara would rather have Dann love a woman who does not love him than that Dann would love a man who does. Put this way, Mara has a psychological investment in heterosexual orientation that exceeds her interest in Dann's happiness. Of course, the dynamic that has been described does not break down that simply—Dann's interest in the two parties is not equal—but Mara's response does not seem to be predicated on that inequality. She does not pretend that Kira loves Dann more than she does.

The novel comes to an unexpected crisis soon after this. Mara and Dann have left

both of his lovers behind and Dann has made a new male friend that Mara dislikes and mistrusts. This friend encourages Dann to do something we haven't seen him do before: gamble. At first Dann is extraordinarily lucky, winning a small fortune before Mara appears and tried to dissuade Dann from continuing. Mara fails. Dann loses all he has won and then—apparently encouraged by his new friend—Dann gambles Mara away to slavery. This is the only explicit betrayal between the two of them in the novel.

One could see Dann's betrayal of Mara as a consequence of inexperience. If, as it appears, this is Dann's first time gambling, he doesn't know how it works, doesn't realize what he is doing, and is making a flamboyant but unsurprising beginner's mistake. It would also be possible to see Dann's gambling behavior as linked to his drug abuse: Dann has a addictive personality and doesn't know how to stop once he starts. But the novel provides a different context. The chapter starts like this:

> In the street a couple of men strode fast towards them and then turned around to lok at Mara, and Dann said, "What a lucky fellow I am, to be with such a beautiful woman."
>
> His tone was affected, even coquettish, as if he were observing himself with a congratulating eye; and she thought, her heart heavy, its beat repeating *A trap, A trap*, that she would never have believed him capable of that dandyish drawl. When he had said he was not himself, that was the truth: a Dann she did not know strolled along at her side, and she could almost see in his hand a blower, holding it to his lips, teasing them with it, as some of the men—but what kind of men?—were doing as they walked, casting glances over the flowers at the women, and the men too. And in a moment Dann had reached out to a hedge and torn off a bright red flower. She was silently begging him, Don't raise it to your lips, as if his not doing it would be proof of his safety—and he did not, only twirled it between his fingers. (300-1)

This is the first time in the novel that Dann is described as a dandy. Mara's revulsion for the role contains more than a hint of homophobia. Or is it envy? Mara repeatedly describes how miserable it is for women to fear men because men may get them pregnant, a situation full of dangerous consequence for women. Watching Dann

flirt, Mara knows that he will never get pregnant. Dann can have pleasure without fear of consequences—and Mara sees red. Is this the dynamic? Envy?

In any case, in this chapter Dann does sell Mara into slavery. As a consequence, Mara has a hold over Dann. Because he has betrayed her, she acquires the right to intervene in Dann's decisions. The way that Dann describes this is: "Mara, all you have to do is to remind me that I gambled you away, and you are the most precious thing, the most…" (339). We will return to that superlative "the most precious thing" later. But first we must note the circumstances in which Mara does call in her claim on Dann.

From the start of the novel, when the two are enjoined to forget their real names, there are several references to a mysterious destiny. They finally learn—as if they ever should have forgotten—that they are prince and princess royal of one of Africa's most famous dynasties. While their nation may be extinct, people have been waiting for a chance to revive it. Dann and Mara are offered the opportunity to become king and queen of a successor state to a nation that seems organized and effiecient but conceals a hollow core. If the state collapses, Mara and Dann are in danger, for they have developed powerful enemies. But there is a good chance that they could revive the state. Dann is more than willing to try because he feels that his impulses and training both suiy him to be a warrior king. And Mara would be able to revive the huge, decayed museum that she loves which rests at the nation's core. Both could live full and dynamic lives, but Mara rejects this future. She has two reasons, one official, one contextual.

The official reason is that she believes Lord Acton: "Power corrupts. Absolute power corrupts absolutely." All that she knows about history says that within a century or two states decay into corrupt mechanisms for a ruling elite to maintain personal power

and hedonistic pleasure. This is a pretty miserable reduction of the historical record but it does not justify Mara's decision. If this is the inevitable outcome of nations, it implies that their best years are in their beginnings when leaders believe in and represent ideals. If Mara's view of history is right, the time is ripe for the foundation of a new state—and what better founding force than an idealist like herself?

There is another, more personal, reason that Mara rejects the idea of becoming royalty. It involves the way the plans are developed.

> …And all the time she was thinking of Dann, with this Felix, whom she hardly ever saw, because he disliked and distrusted her and knew she was trying to persuade Dann to leave….. …The good-looking, elegant Felix, and handsome Dann—they made a fine couple. Dann was deferring to Felix, perhaps not in words, but his demeanour was respectful, and the tome of his voice almost obsequious. And she knew only too well the rather foolish inflated look that was getting worse every day.
>
> If she did not end this now it would be too late. (384-5)

Too late for what, one is tempted to say, for, despite this language, Felix is apparently a devoted husband and neither man ever betrays a sexual interest in the other. Despite the language, this is not about sexual desire. It is about personal influence. Mara fears that she will lose the ability to trump Felix's authority over Dann. Dann is raised by two women, Daima and Mara. Much of Dann's strong, unpredictable emotional response to men may be a result of this, an effort to find a father/brother/male model that was absent in his developing years. And Mara does not merely resent male competition in Dann's life. She fears it both for its unpredictability and its power. Dann was under the influence of a man when he betrayed Mara. He was under the influence of two men when he left Daima and Mara. Mara is afraid that she will not be able to compete with a man for Dann's loyalties. She does not fear this about women. At the very end of the novel, Dann says,

> Mara, tell me honestly, no truthfully, the real truth: when you wake up in the morning, isn't it the first thing you think of—how far you're going to go today, one foot after another, another little bit of the way up Ifrik? And the two of us together? Even if the thing you think about after that is Shabis?"
>
> Mara took her time, smiling at him, eyes full of tears. "Yes," she said, "yes, it's true, but…" (407)

This ending is strangely phrased for it does not reflect the flavor of the novel. The two of them do make a journey of thousands of miles but it consists of relatively short gruesome bursts, a month here, a month there, in the course of several years of a more sedentary lifestyle. It seems the true experience that Dann refers to isnot the journey but their romance. The possibility of incest gradually creeps forward as the novel progresses. The last reference—not final, considering that at the end of the novel they are living under the same roof, merely the last in the novel—contains this conversation:

> "She doesn't love me," he said, and Mara said nothing. Then he turned to her, put his arms around her and said, "Mara, why can't we be together? We ought to be together… But now you've got Shabis." And his arms seemed to go cold, and withdrew.
>
> Mara said, "It's going to be hard for both of us, loving other people."
>
> "I haven't noticed you have any difficulty loving Shabis."
>
> She sat by Dann, close, in the dark room where a sky full of stars showed through a big square window, with the so familiar feel of him, the smell of him, her little brother, her companion through so much; and she knew that she loved Shabis but she always would love Dann more and nothing could change that.
>
> "Who made these laws in the first place?"
>
> She said, "I told you, Nature made them. I saw it all in the Centre."
>
> "The Centre, the Centre—suppose I don't care about children and posterity?"
>
> Mara sat silent, allowing herself to think of the happiness of loving Dann; and then this dream dissolved with the coldest of reminders, because from nowhere, or from deep inside her, came the words, "You'd kill me, Dann, if we loved each other. It would be so—violent."
>
> "Why do you say that?"
>
> She could only say, "I just think something like that would happen."
>
> He stroked her face, "I love you so much, Mara."
>
> "And I you."
>
> "Am I really such a violent person?"
>
> "Yes. And I am too. We have been made violent. And if we fought—it

wouldn't be with words." (403)

Mara is not afraid a woman's place in Dann's affections, especially of the woman Dann marries. She knows that Dann loves her more than he does Kira and that she loves Dann more than Kira does. Kira would not outmaneuver her. But the men in Dann's life? Elsewhere Mara notes, correctly, that the men they live with at the end are "good" men and that they are a good influence on Dann. But she is also aware of their relationship to her. Both have been married to her. Daulis was legally married ot her and paid a high bride price for her. It was not love—but it was more than he is ever likely to do for Dann. Shabis left his wife of decades without a backward glance and rushed to be with here when he abandoned his precarious life as a powerful general. Dann had been his favorite subordinate, but Shabis had never wanted to marry Dann. Both **are** good men and good influences on Dann—but part of Mara's contentment involves the knowledge that both are more loyal to her than to Dann. They will not influence Dann in ways that she does not like.

Dann and Mara are very different people. Dann has a hedonist streak, an addictive personality, a will to power and an impetuous impulsiveness—all of which are blocked by Mara, who has none of these—except, perhaps the impetuousness. She does have a hunger for knowledge but restrains this impulse as she restrains other impulses for gratification, both sexual and sensual. She is Puritannical and she has intense fears—which seem ultimately to govern Dann's life more than her own. And that's the way she likes it.

Several times in the novel, speaking of his desires and experiences, Dann tells Mara "you don't understand," He appears to be right. If he were not shackled by Mara's

restraints, Dann would live more dangerously, probably more foolishly, but certainly much more his own life than one of her choosing. But this is not his book and his life is, ultimately, not his own. Always, in Doris Lessing's works, the central consciousness is feminine. In this case it is also controlling. Mara does for Dann until he is done for.

Doris Lessing is known as a woman's writer. I have read most of her works, reveling vicariously in the ability of her intelligent protagonists to make sense of their lives. This novel does not deviate from that formula. The challenge to that formula does not come from a deviation in the process but from a deviation in the product. Mara may be intelligent but she is badly educated and comes to dubious conclusions. Her own life may be stunted as a result, but it is stunted in ways of her own choosing. In the process, however, she also stunts her brother's life—in ways of her choosing—and that I am not comfortable with. But Doris Lessing does not appear to share my discomfort. At regular junctures other characters and the narrator endorse Mara's attitudes and decisions, sometimes against the facts of the narrative. Doris Lessing is writing a novel in which the central character has a limited understanding of her experience and comes to questionable conclusions that affect her not only her own life but also those of the people around her. But Lessing's method is so sympathetic to Mara's beliefs that it is unclear whether Lessing is failing to provide one of two things. Lessing may be failing to make a clear enough distinction between what her central character should understand and what she does understand. Alternatively, Lessing may herself share Mara's limited understanding. Dann's plaintive plea, "you don't understand" seems to be addressed to Lessing as much as to Mara. Both glimpse moments of his life and provide summary judgement, but neither gives him a full hearing, allowing him to either explain fully what

happens or what the experience means to him. Ultimately, we do not know enough about what Dann is about. Therefore, it is also unclear what Lessing is about.

"The Musical Life of Thaitown, U.S.A."

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Abstract for proposed Student Paper Presentation:

Performance, production, and consumption of music and dance are at the heart of the Thai diasporic experience in Los Angeles, California. Thaitown is an area of East Hollywood given official recognition by the City of Los Angeles in 1999, and as a relatively new civic entity, has served as an increasingly active hub of Thai community activities ranging from modest street fairs to lavish banquets honoring visiting Thai royal dignitaries. Whether one examines civic life as facilitated by the Thai Community Development Center, religious life at the Wat Thai Temple, or social life at Thai pubs and restaurants, popular music and dance play an integral role in the daily lives of Thai immigrants and their families. Thai holidays are frequent and well celebrated; the most common setting for celebration of Thai holidays is the community street fair, featuring the entertainment stage at the center of the festivities. Interestingly, it is not unheard of to see boisterous rock concerts and scantily clad pop singers on fully equipped sound stages on sacred territory either, since Thai Buddhist Temple grounds provide a centralized social, cultural, and educational nexus.

This paper will explore socio-cultural themes of survival, identity, nostalgia, and cosmopolitan modernity as expressed through the myriad musical activities of Thai Americans in Thaitown. Drawing from recent field recordings and interviews conducted since August 2004, I will comment on both collectively social and uniquely personal experiences of Thai and Thai American pop, rock, classical, and folk musicians living and working in Los Angeles.

Teasing Out A Comparative Methodology: James Legge's Institutionalization of Authoritative Discourse About Daoism

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Abstract

James Legge held the first Chair in Chinese Studies at Oxford (1876) and he produced the first comprehensive translations into English of the *Chinese Classics* and several other great Confucian and Daoist works in F. Max Muller's *Sacred Books of the East.* When Stanislas Julien died in 1873, Legge became the single most influential translator-interpreter of China for the Western world.

In this paper, I offer an overview of Legge's significance, followed by a description of the way his work institutionalized an authoritative discourse on Daoism, and I conclude by evaluating Legge's avowed principal of comparative methodology which he called "impartial but neutral."

Legge's Significance: The Nature and Contribution of His Project[1]

James Legge (Dec. 20, 1815-November 29, 1897) completed his theology degree at Highbury in only two years, and he gave particular attention to what was then called the "higher criticism" of the New Testament. He responded to the voice of his mother speaking to him from her grave in the Dumbennan church cemetery and accepted an appointment by the London Missionary Society to work in the outpost at Malacca to assist in the Anglo-Chinese College there.[2] This was for him a matter of providence, what the Chinese might call *yuan fen* 緣份. He was already at that time studying Chinese under Samuel Kidd, who had himself formerly served in Malacca. Reflecting on this period in his life, Legge later wrote that his "grand object" in preparation for his mission work was to speak and write as a Chinaman. (Legge 1897: 102-103) His motivation for this endeavor was the feeling that the missionary should know his field of possible converts, and this required a close examination of their history, philosophy, religion, poetry, customs and manners. (Legge 1837: 26-40). In this, Legge was unique as a missionary because a prolonged linguistic and cultural translation of the literature and

character of the so-called "heathen" was not generally characteristic of missionaries at the time. (Girardot 2002: 35)

Legge arrived in Malacca in 1824, but he did not produce his first translation of a Chinese work until 1843. The translation was done in collaboration with one of his Chinese students and the text was a popular Chinese historical romance entitled by Legge, *The Rambles of the Emperor Ching Tih in Keang Nan*. In his "Preface" we find Legge's earliest mention in print of his intention to undertake a translation project to render the Chinese classics into English (i.e., "the Four Books" and "the Five Kings"). (Legge 1843: v) Another eighteen years passed before he would even begin to realize this plan. But his extensive work on the *Chinese Classics* prompted him to write in his personal journal that he had developed a basic scholarly and philosophical attraction to China just for the genius he saw in the texts. (Legge 1846-47: 14) This clearly represented a shift in his reasons for wanting to translate Chinese texts and learn about Chinese culture. And such an altered motivation for studying China was the single most important reason for his eventual withdrawal from missionary activity in Hong Kong after 1867 and his assumption of a new identity as a professional sinologist at Oxford in 1876.

During the period from the announcement of his *Chinese Classics* project in 1843 until the publication of the first volume in the series in 1861, Legge concentrated on the establishment of a mission press in Hong Kong capable of printing Chinese-language materials with movable metal type. He was also appointed to a committee charged with deciding how new translations into Chinese might be used in the missionary enterprise, and the most controversial issue to face the committee was how to translate the word

"God." While the common practice was to use *shen* 神, Legge and others prevailed in their insistence on *di* 帝and *shangdi*上帝. Legge wrote two scholarly treatises defending this choice.[3]

The first volume of the *Chinese Classics* published in 1861 included the *Lun Yu* 論語*, Da Xue*大學*,* and *Zong Yong*中庸. Legge's ordering of the texts differed from the other previous European editions of the Four Books in the obvious fact that Legge omitted the *Yi Jing* 易經. Thus, he did not proceed by the order set by Zhu Xi and adhered to by the previous Western translations done up to that time.[4] The initial volume was followed by a translation of the *Mencius* 孟子(1865), reflecting Legge's belief that this structure comported well with the New Testament pattern of the Gospels and then the Pauline material. In the late 1860s the magnitude of Legge's impact was already being felt. And with the death of Stanislas Julien in 1873, Legge became "the single most influential translator-interpreter of China for the Western world." (Girardot 2002: 67)

On June 4, 1873, when he was 58 years old, Legge left China never to return. From late 1873 to 1875 Legge lived a life of semi-retirement and completed his translations of the last of the Five Classics. The retirement was soon abandoned in favor of his new collaboration with Max Muller, holder of the Chair of Comparative Philosophy at Oxford. This remarkable tandem of scholars was formed because of a mutual commitment to the most ambitious comparative project undertaken to that date, indeed perhaps up until now. Muller wrote a letter to Legge on February 13, 1875, in which he revealed to Legge his plan for an anthology of the *Sacred Books of the East* and he requested that Legge meet him in London "on Friday" to discuss the project. (Muller

1875) Whatever transpired in that meeting, Legge emerged with Muller's support for his appointment a few months later to the first Oxford professorship of Chinese Studies.[5] We can assume that if this Friday conversation had unveiled any deep philosophical divide about the nature of the comparative project, Muller would have expressed his reservations to Henry Liddell, Dean of Christ Church College, when Liddell asked him for an evaluation of Legge's fitness for an appointment to the Oxford Chair.[6] So, in 1876 the Leggian epoch of sinology began with Legge's appointment and it continued until the end of the century.

From 1879 to 1893 Legge was prolific. He contributed several volumes to the *Sacred Books of the East*. In their original Clarendon publication these included: *The Texts of Confucianism* (Volume 3, 1879) that contained *The Book of History (Shu Jing* 書經）and "the religious portions of *The Book of Poetry (Shi Jing* 詩經）; Volume 16: *The Book of Changes (Yi Jing* 易經, 1882); Volumes 27 and 28, *The Record of Rites (Li Ji* 裡記）and *The Book of Filial Piety (Xiao Jing* 小經）respectively, both in 1885; and Volumes 39 and 40 called *The Texts of Taoism* and containing *The Book of the Way and Its Power (Dao De Jing* 道德經）, *The Zhuangzi* 莊子, *Taishang ganying pian* 太上感應篇 (hereafter, *The Taishang*), and miscellaneous tests of "religious Taoism" all in 1891. Additionally, Legge published several important articles, and one of the most significant works for revealing his method as a comparative philosopher entitled simply, *The Religions of China: Confucianism and Taoism Described and Compared with Christianity.* (Legge 1880, hereafter *The Religions*)

At the age of 78, twenty years after leaving China, and just four years before his death, Legge published "the most prodigious single-handed contribution of British

scholarship to sinology" in the century, his five-volume "second edition, revised" set of *Chinese Classics.* (Girardot 2002: 460) In a strange turn of fate Muller gave an address to the Asiatic Society in 1891 in which he said that Chinese religion had not been given serious attention, almost as though Legge's work in *The Sacred Books of the East* and *The Religions* had not been published. (Muller 1891: 808) Still, Legge was referred to approvingly by members of the First Parliament of Religions in Chicago in 1893 as an important voice in comparative philosophy and religion. (Barrows 1899) He continued to occupy just such a role until after his class on November 26, 1897 when he suffered a stroke and expired two days later on Monday, November 29.

Legge's Work on Daoism

As a way of exposing Legge's comparative method, I wish to call attention to his work on Daoism. I begin then with an event that occurred on April 21, 1873 when Legge visited Tian Tan 天談in Beijing as he was leaving China for the last time. He called Tian Tan the finest sight in all of Peking, and declared to those with him that they should remove their shoes because the ground on which they stood was "holy ground." (Legge, Helen: 1905: 177ff.) Before he left the site, he had all of his traveling party join hands and sing a hymn of praise to God. This event became a lightening rod for widespread and rancorous criticism of Legge from his missionary associates who were outraged at his previously stated belief in a primordial Chinese monotheism and now at this apparent validation of ancient Chinese religious rites. But I mention this event for a very different reason. I want to use it to throw into relief the significance of another occurrence which took place only a few days later.

Legge's trip to Taishan in early May also had a profound effect on him, but it was very different from the positive feelings he had at Tian Tan. Reflecting on his visit to Taishan, Legge wrote boldly about the "Daoist superstition" and expressed his displeasure at seeing Confucianism so dishonored in relation to Daoism at this site. (Legge 1873: 75) Legge complained all the way up the mountain in his sedan chair about the "idol worship" of Daoism, which he more than once compared to the idolatry of the Canaanites in the biblical period.

But we should remember that at this time Legge's grasp of Daoism was very superficial and ill formed. He had made some limited observations of a few Daoist practices in Hong Kong. But he had not yet translated either of the major Daoist classical texts. Indeed, it was not until almost twenty years later that he did so (1891). Nonetheless, it does seem that Legge was acquainted with Daoist popular practices, as shown by his choice of *The Taishang* for inclusion in the 1891 translation *Texts of Taoism*. *The Taishang* was a work of popular Daoist morality still in widespread use by the common people of China in Legge's day.

With such a limited familiarity with Daoism in the beginning, it may be surprising then to learn that Legge's work on Daoist thought was more substantial and important in institutionalizing a discourse about Chinese philosophy than was his work on either Confucianism or Buddhism. Here are a few ways in which this occurred.

First, the emergence of Daoism as an object of study for English speaking scholars[7] can largely be traced to Legge's *The Religions* and his translations of the *Texts of Taoism*. Although there was an early nineteenth century consensus that Daoism was indeed a taxonomic object, it was identified almost exclusively with the *Daodejing*. This

was a severe limitation of the principal architecture of Daoist ideas because this assumption neglected other important texts. It was even more problematic for English speaking scholarship. While there were mid-eighteenth century versions of the *Daodejing* done in Latin by the Jesuits, it was Stanislas Julien's complete annotated translation in 1842 that was the canonized version used for scholarly study before Legge's English translation.[8] Legge's 1891 version became the first really reliable translation of the *Daodejing* into English.[9] Just to further indicate the significance of Legge's translation of the *Daodejing,* Julia Hardy has recently identified three historical phases of study of the *Daodejing* in the West, each characterized by a different interpretive agenda.[10] The first of these covers the eighteenth and nineteenth centuries and was concerned principally with a comparison between the *Daodejing* and Christianity.[11] She singles out Legge's translation as the most important factor in creating this first stage of interpretation of the *Daodejing.*

Legge also helped establish another work as basic to any study of Daoism. Although the *Zhuangzi* was known, and Julien had promised a translation of it, he never completed it. Legge's was the first complete translation into English and it made available another of the most basic classical texts of Daoism. Legge also showed that scholars should consider Daoists texts that were in use at the time in China. This was the reason he made the first English translation of *The Taishang.*[12]

A second evidence of Legge's influence in determining how philosophers thought about Daoism is that his totalizing narrative interpreting Daoism's history became the standard way of reading its evolution. During the 1840s and 1850s some limited discussion of Daoism in English was appearing for the first time among a few Protestant

missionaries in China, such as Karl Gutzlaff, Samuel Wells Williams, and Joseph Edkins.[13] However, in all of their works the general trajectory attributed to Daoism's development was the same and it is traceable substantially to Legge's influence on them.[14] Together these thinkers forged the canonical reading of Daoism that has exerted a significant influence on Western scholars of Chinese and comparative philosophy for almost 150 years.

Legge wove this narrative into both *The Religions* and *Texts of Taoism.* Basically, his view was that there was an originally pure philosophical Daoism contained in the *Daodejing* and *Zhuangzi* and called *daojia* 道家. However, this pure philosophical tradition declined into the alchemical practice and superstitious magic expressed in the "repellent" external rituals of the second century Daoist religion *daojiao* 道教 and its later sects. Thus, Daoism was divided for the purposes of scholarly study by Legge into "philosophical Daoism" and "religious Daoism."

In *TheReligions* Legge first takes up *daojiao* and its "gross" religious forms calling them "repugnant superstitions." Speaking of the leaders of *tianshi* 天師 Daoism, including Zhang Daoling 張道陵 as "popes," he likens their system of administration to that of the Catholic church. He says that the emergence of Daoist religious practices represented a further corruption of a pre-Confucian primordial monotheism he believed to have existed. He claims that Daoist religion grew because the people were "debarred from communion" with God during the reign of Shi Huangdi. And he concludes that the beliefs in immortality and alchemy crept in along with the popes, priests, iconography, liturgy and scriptures of religious Daoism after the Han.[15]

In contrast, Legge associates pure Daoism with the *Daodejing.* And he says that its teachings encourage humility and loss of self in ways that made its readers better prepared to receive the message of the gospel than were the Confucian literati. (Legge 1880: 275-276) Legge compares the text to the Sermon on the Mount, because it seemed to him that the two works share a broad trajectory of moral vision (especially humility) and style (the parabolic or aphoristic form). But his views support the standardization of the discourse that the *Daodejing* is a mystical and sacred book, the truth of which is beyond all words.[16]

As an example of the dramatic impact this view of Daoism had on later scholarship consider just this remark by the eminent translator and philosopher Wing-Tsit Chan.

> Parallel with it (the development of so-called neo-Daoist philosophy) was another development, namely that of the Taoist religion. In reality it was a degeneration rather than a development, for the religion appropriated some Taoist ideas, twisted its doctrines, made Lao Tzu its spiritual founder, and turned the Lao Tzu into its Bible for a purpose alien to the philosophy of Lao Tzu. The Taoist religion and Taoist philosophy are entirely different things, called by different names in Chinese, the one Tao-chia or the Taoist school, and the other Tao-chiao or the Taoist religion. Unfortunately, they are both called Taoism in the West, thus confusing the two and giving rise to wrong interpretations of Taoist philosophy.[17]

It was not until 1968 that scholars began to point out that an important dimension of the historical context of the *Daodejing* was being overlooked because the previous generation of scholars had ignored or even disparaged connections between the text and Warring States Daoist religious belief and practice. Kristofer Schipper was the first to call scholar's attention to the problems in dividing Daoism into a pure philosophy and a degenerate religion. In his paper entitled, "Taoism: the Liturgical Tradition" delivered to

the First International Conference on Taoism in 1968 Schipper argued that this was an artificial construct and that there was never any form of purely philosophical Daoism existing apart from its religious context and expression.[18] So, it has only been since 1968 scholars such as Livia Kohn, Harold Roth, James Miller, Terry Kleeman, Norman Girardot, Michael LaFargue and others have recognized the fundamental flaws in Legge's division of Daoism, and even now we still see this dichotomy preserved in survey works of nonscholars.

A third illustration of how Legge was responsible for the ongoing authoritative discourse about Chinese philosophy is the way in which various strategic translations he made in *The Texts of Taoism* were accepted by later scholars. In his many important translations, Legge mediated, transformed and perhaps transgressed both the source language and the target language, along with the cultural forms of life each language represents, creates, and sustains. (Girardot 2002: 355) Nevertheless, he said that a translator must not insist on one term in the target language if it thereby does violence to the general scope of a character in the source language. (Legge 1861b) According to Legge, the key to avoiding violence to the source language lay in the translator's ability to see "mind to mind" with the author of the text. (Legge 1882: xv). In his "Preface" to the translation of the *Yi Jing,* Legge says that there was "nothing in the English version" that was not "present in the writer's thought." (Legge 1882: xvi) And when he defended his translation of *di* and *shangdi* as "God," he said that he was not interested in provoking controversy, but acting in the interests of truth. After all, he observed, "I am translating, and not giving a private interpretation of my own." (Legge 1882: xvi)[19]

Legge felt that he had gained a translator's rapport with the mind of Laozi and that this had given him a key to the meaning of the characters in the *Daodejing.* Legge does something significant with the concept of *wu wei* 無為 when he indicates that it does not mean "inaction," nor even "quietude" or "asceticism" in the manner of Buddhism, but rather that it should be rendered, "humbled natural action." This is still is regarded as both a viable reading of the concept and an important corrective to various misunderstandings.[20] (Legge 1883b: 47-48)

Legge also had a preference for translating *dao* 道 as "the course." He made it clear that *dao* was not a positive being in the *Daodejing*, but he spoke of it as an "impersonal operation." More importantly, perhaps, is that Legge recommends leaving it untranslated, remarking that the "best way of dealing with it in translation is to transfer it to the version, instead of trying to introduce an English equivalent for it." (Legge 1891:15) The merits of the approach of leaving some characters untranslated is till widely appreciated and following this strategy continues to be a safe guard against misleading renderings.

Unlike his translation of *tian* as "Heaven" in this sense of "God" when working with the Confucian classics, with respect to the use of this character in the *Daodejing* and *Zhuangzi,* Legge takes a strong stand that *tian* is never once used in the sense of "God" in these texts. With respect to these texts that he classified as "pure philosophical" works Legge said the Daoists had no idea of a personal God.[21] His position on the use of *tian* in the *Lao-Zhuang* text continued to guide interpreters until well Schipper's 1968 address.

As another illustration of how Legge shaped much Western scholarship on the Daoist texts we should remind ourselves of his opposition to the use of form, literary, and redaction critical studies on the *Daodejing* and *Zhuangzi.* Legge gained some knowledge about these critical methods in his early theological training. He employed them in his translation of the *Yi Jing.* But when it came to the Daoist texts he drew back. This reticence is best seen in his debate with Herbert Giles over the authorship and structure of the *Daodejing*. On the surface this debate seemed to be over the historicity of Laozi, but actually the issues at stake were much deeper. Giles' position that there was no historical Laozi was derivative of his view that the *Daodejing* was a patch work text dating into the late Han dynasty. (Giles 1885) He challenged Legge for ignoring such an important matter in his writings on Daoism. In Legge's extensive reply (1888) he stated that he accepted the integrity of the Chinese documents (that is, that they are not patchwork materials). He also made it clear that he had an unshaken conviction that the traditional Chinese testimony that Laozi existed and wrote the book was valid. (Legge 1888) In effect, this meant not only that Legge rejected Giles' work, but also that he essentially found himself resisting the critical tools that he had used on the *Yi Jing.*

Nevertheless, scholars and translators have continued to follow Legge in speaking speak of Laozi as the author of the *Daodejing* and in treating the text as a unified whole even in the face of arguments much more sophisticated than that of Giles[22] and the discoveries at Guodian and Mawangdui that were totally unknown to Legge.[23]

Teasing Out Legge's Comparative Method

Having assessed briefly some of the ways in which Legge institutionalized an authoritative discourse about Daoism, I want to make some final remarks about the kind

of method that Legge used to create his understanding of this important Chinese tradition. Speaking of the comparativist's task Legge said, "I cannot make my mind a *tabula rasa* in regard to the faith in which I was brought up, and which in mature years, after not a little speculation and hesitance, I embraced for myself, with an entire conviction of its truth." (Legge 1880:242-243) Holding such a view, Legge characterizes his method as the "impartial but not neutral" approach. This perspective he seems to have derived largely from his study of the Chinese Ruist-Confucian thinker, Han Yu. (Girardot 2002: 415, 712-713) Of course, it is also Muller's motto for the *Sacred Books of the East.* For Legge this way of doing comparative philosophy meant that one should look for the good, whether cognitively or morally that was to be found in other traditions. Legge expressed dismay over "the ignorant and incautious assertions of writers who think that apart from Christian Scriptures there are no lessons for men about their duties, and that heathendom has in consequence never been anything but a slough of immoral filth and outrageous crime." (Legge 1880:242-243) And writing in the 1883 pamphlet *Whole Duty of Man* he said simply that the "whole duty" of understanding other traditions is a matter of the degree to which honest doubt and sincere ambiguity about one's own stance is allowed into the formula of comparative studies. (Legge 1883: 36)

But in spite of this remark, we may still question whether Legge really ever stepped back to question the normative assumption of his own method. He said the comparativist should look for the "good" to be found in other traditions. He seems not to have considered that the good might be defined by the shared beliefs in the overlapping ideas and sentiments found in texts of various traditions. For him, the "good" lay in his "not neutral" ground as a Christian. But surely such a beginning place must determine

what Legge looked for in other traditions and herein lies the reason why even so great a contribution as he made to comparative philosophy and Chinese studies in general must always be viewed with caution and watchfulness even as we learn more about his motivations and methods..

[1] This paper was first delivered on January 13, 2005 at *The Hawaii International Conference on Arts and Humanities,* co-sponsored by the East West Council for Education and the Asia-Pacific Institute of Peking University. The site of the presentation of this paper explains my choice to offer an overview of Legge's significance. Since I offered the paper at an international conference, I felt that such an audience might welcome a few remarks about the nature and contribution of Legge's project.

[2] Legge had a love for China from his earliest years, having often handled writings of William Milne which were in his father's library, and possessing a clear sense that his mother whispered to him from the grave that he should be a missionary and speed the second coming. Legge was in his early years a post-millenialist.

[3] *An Argument for Shang Te as the Proper Rendering of the Words Elohim and Theos, In the Chinese Language: With Strictures on the Essay of Bishop Boone in Favour of the Term Shen* (1850) and *The Notions of the Chinese Concerning God and Spirits: with an Examination of the Defense of an Essay on the Proper Rendering of the Words Elohim and Theos, into the Chinese Language by William Boone* (1852).

[4] Specifically I mean the Jesuit's version published in the seventeenth century as *Confucius Sinarum Philosophus,* as well as the two French versions (Noel 1784 and Pauthier 1854), and David Collie's *the Chinese Classical Work Commonly Called the Four Books* published in Malacca in 1828.

[5] Muller supported Legge since 1861 when he had published a favorable review of Legge's Volume 1 of the *Classics.* Muller says that this review was first published in November 1861, but he does not say where. See Muller 1895: 300-308.

[6] This meeting was followed shortly thereafter by a letter from Henry Liddell, Dean of Christ Church College, Oxford on February 27, 1875 that discussed the possibility of Legge's appointment to Oxford's first ever Chair of Chinese Studies even though Liddell said he must want for Max Muller's opinion on the matter. Legge was named a fellow of Corpus Christi College and delivered his inaugural address on October 27, 1876. He was 60 years old when he was appointed.

[7] The work of de Groot and Chavannes not withstanding.

[8] The title of Julien's translation is *Le Livre de la voie et de la vertu compose dans le vie siecle avant l'ere chretienne par le philosophe Lao-tseu.*

[9] The old personal friend of Legge, John Chalmers actually made the first complete translation of the *Daodejing* into English in 1868, but it contained numerous errors in translation. Chalmers' work was dedicated to Legge and published under the title *The Speculations in Metaphysics, Polity, and Morality, of the Old Philosopher.* Before the turn of the century there were seven translations into English of the *Daodejing*, including most prominently those by Legge and Herbert Giles.

[10] Julia Hardy, "Influential Western Interpretations of the Tao-te-Ching," in *Lao-tzu and the Tao-te-ching*, edited by Livia Kohn and Michael LaFargue (Albany: State University of New York Press, 1998), 165-188. Isabelle Robinet offers an alternative survey in her "The Diverse Interpretations of the Laozi," in *Religious and Philosophical Aspects of the Laozi,* edited by Mark Csikszentmihalyi and Philip J. Ivanhoe (Albany: State University of New York Press, 1999) 127-159. Robinet's survey is principally concerned with how specific concepts have been interpreted and she includes an overview of Chinese commentators.

[11] With regard to the first period Hardy notes that the earliest known translation of the text was made into Latin by Jesuit missionaries and presented to the British Royal Society in 1788. The intent of the translators was to show how "the Mysteries of the Most Holy Trinity and of the Incarnate God were anciently known to the Chinese nation."

[12] Julien's was the first Western translation of this text in 1816 under the title *Le livre des recompense et des peines*. Robert Douglas' English version of the *Taishang* in his work *Confucianism and Taouism* actually consists only of some extracts from Julien's French version (1839).

[13] The earliest writings in English on Daoism are "The Taou Sect of China" and Karl Gutzlaff's "Remarks on the Religion of the Chinese," *Chinese Repository 4 (1835): 271-276.* See also S. Wells Williams, *The Middle Kingdom: A Survey of the Geography, Government, Education, Social Life, Arts, Religion, etc., of the Chinese Empire and Its Inhabitants*, 2 vols. (New York: John Wiley, 1847). To his credit, Joseph Edkins at least consulted Chinese sources, relying on Ma Duanlin (ca. 1254-1323) for his understanding of the historical development of Daoism. See "Tauism: The Phases in the Development of Tauism," *Transactions of the North China Branch of the Royal Asiatic Society* 5 (1855): 83-99.

[14] Gutzlaff and Williams had joined him in a confederation of missionary scholars and we should not forget that Edkins was with Legge when he visited Taishan in 1873.

[15] For a description of the gross Daoist religion see Legge 1880: 160-202 and for the pure philosophical Daoism see Legge 1880: 229.

[16] For responses both church-sponsored and secular to Legge's *Religions* see Girardot 2002: 328-332.

[17] *The Way of Lao Tzu,* translated by Wing-Tsit Chan (Upper Saddle River, N.J.: Prentice Hall, 1963), 26.

[18] See also Michel Strickmann, "On the Alchemy of T'ao Hung-ching," in *Facets of Taoism: Essays in Chinese Religion,* edited by Holmes Welch and Anna Seidel (New Haven: Yale University Press, 1979), 123-192, esp. 164-167.

[19] Girardot makes a balanced assessment of Arthur Waley's criticism that Legge was too dependent on Zhu Xi. Girardot 2002: 358-359.

[20] Edward Slingerland does not address this translation of *wu wei* in his recent work, but it seems to be compatible with his interpretation of the concept. (Slingerland 2003)

[21] This was a reversal of his 1889 version of the *Zhuangzi* in which he translated *tian* as "God" and it is the result of a conscientious attempt to be true to the tradition.

[22] For example, LaFargue, Michael. 1992 and 1994.

[23] A very fine overview of the implications of these finds for translation of the *Daodejing* is the "Introduction to the Translation" written by Roger Ames and David Hall for their own 2003 translation of the text. See also Liu 2003.

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Pain Perception: Integration of the physical and emotional response

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Abstract

As a dancer, I experienced a myriad of injuries, and often took the approach of working through the pain. As an educator, I now understand not only the detrimental effects of working through injuries, but also the importance of not dismissing the feelings associated with pain. Pain is a complex sensation. Although it is easy to grasp the physical sensation of pain, the affect or feeling it evokes has often been deemed secondary to one's conscious awareness of pain. However, the many physiological mechanisms at play within the body are not to be dismissed. Current research in the field of neuroscience is providing exciting evidence of the integration of emotional and cognitive neural activity occurring during the processing of pain. These imaging studies provide tangible evidence of the body's cognitive and emotional reaction to pain, thus giving credibility to the emotional response that is inclusive in the pain response. Ultimately what these studies show is the importance of re-thinking our own assumptions about injury, pain and emotions.

Pain is a subset of other somatosensory sensations such as touch or temperature and it is these sensations, which allow us to navigate and perceive the world around us. This paper will not only compare the two somatosensory pathways of touch and pain to show their similarities, but will also examine how the pathways diverge. It is this divergence that contributes to the complexity of the pain response.

Recent imaging studies show that neural activity occurs in multiple regions, thus allowing for the painful stimulus to be processed both consciously and emotionally and to elicit an outward response. By discussing the results of these studies I will illustrate that the emotional response to a painful stimulus is integrated with the physical reaction. Awareness of the complexity of the pain response is integral to not only those experiencing pain, but also those who interact and live with those in pain.

As further research continues to explain the pain process, treatment options that seek to manage both the physical symptoms, but also the psychological issues concurrent with the pain perception will be the most successful.

Title: The acquisition of English final consonants by Cantonese learners of English as a second language in Hong Kong: a study to test the Markedness Differential Hypothesis

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Second language (L2) phonological difficulty has long been argued to be largely attributable to native language (NL) interference. The Contrastive Analysis Hypothesis (CAH) suggested by Lado (1957) maintained that errors made by language learners can be predicted by comparing their native and target languages. Eckman (1977), however, argues that a mere comparison of the native and target language is not sufficient. He proposed the Markedness Differential Hypothesis (MDH) as a refinement of the CAH. The MDH differs from the CAH by employing the concept of markedness, which is based on typological implicational universals. According to the MDH, only those areas that are different from and more marked in the target language than in the NL will be difficult.

The MDH has been studied extensively regarding second language phonological acquisition. The areas studied include consonant singletons (e.g. Eckman, 1981a; Eckman, 1981b; Major and Faudree, 1996), consonant clusters (e.g. Benson, 1986; Anderson 1987; Eckman, 1987), vowels (e.g. Cichocki et al, 1997) and aspiration (e.g. Bhatia, 1995). The results of the studies generally support the MDH, in that more marked segments are more difficult to acquire. However, a number of studies revealed that unmarked segments can actually be more difficult than the marked ones. Benson (1988) and Osburne (1996) examined the L2 speech production by Vietnamese L2 speakers of English. The participants in both studies consistently deleted nasals as much as obstruents after diphthongs in word final position. This finding is against the MDH because the MDH would predict that nasals should be easier to acquire than obstruents as the former is less marked than the latter. The observed difficulty with nasal and obstruents is suggested to be caused by NL interference because in Vietnamese the vowel preceding a word final consonant is invariably a monophthong.

In his study of English consonant clusters produced by Brazilian Portuguese learners of English, one observation Major (1996) made was that word final stop singletons were produced with more errors than stop-fricative clusters in the same position. Consonant clusters are more marked than consonant singletons according to the MDH and therefore the finding goes against the hypothesis. Monroy (2001) tested the MDH with Spanish learners of English and found that the participants made more errors on voiced plosives than fricatives, which also contradicts the prediction of the hypothesis. In addition, Monroy argues that although the MDH predicts that voice contrasts are increasingly difficult from word initial to word final position, Spanish learners of English generally do not perform any better on producing voice contrasts in word initial than final position. Both Major and Monroy argue that the cause of the difficulty contrary to the prediction by the MDH lies in NL interference. In other words, NL interference is a more crucial factor than markedness in determining the above difficulty.

This proposed study examines the MDH with regard to the production of English final consonants by Cantonese ESL learners in Hong Kong. It has been documented that Cantonese ESL learners in Hong Kong have considerable errors in producing final nasals after diphthongs (Chan and Li, 2000). Similar to Vietnamese, Cantonese does not allow diphthongs to end with any consonant, and according to the MDH, nasals should be easier to acquire than obstruents. It will be investigated in this study that whether markedness as stated in the MDH or NL interference is a more accurate predictor of difficulty in the learners' production of word final nasals and obstruents after diphthongs.

Research has revealed that NL interference can exert a role stronger than markedness in determining second language phonological difficulty. It is hoped that this study can shed light on when the difficulty is better predicted by markedness as stated in the MDH or by NL interference. Should some less marked segments be found no less difficult than the marked ones, researchers and language teachers should be made aware of this fact instead of being obscured by their low markedness values and thus overlooking their difficulty.

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Paper Abstract

Rites/Rights/Rewrites: Women's Contemporary Art from India

This paper examines the exhibition *Rites/Rights/Rewrites: Women's Contemporary Art* from India held recently at Cornell University in March 2004. The exhibition in its exploration uses both video and the female body as a narcissistic site of embodied resistance. The artists in the exhibition through their use of the "gaze" and engagement with their "body" delve into critical issues of globalization, postcolonial feminist critique and gender relevant in the context of India today. In the process of doing this, they rewrite their own histories, breaking the tradition patriarchy imposed on them, and inscribing new signs and signifiers. The participating artists whose work will be discussed include Sharmila Samant, Shilpa Gupta, Darshana Vora, and Shakuntala Kulkarni, Surekha, Sonia Khurana, and Monali Meher that emerge from the megalopolis of Mumbai, Delhi and Bangalore respectively.

Collaborative Work in the Arts- A Case Study in Animation.

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Collaborative Work in the Arts- A Case Study in Animation.

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I. Identify Opportunities

Virtually every project that an Animator is involved with in business is a group effort. Unless it is a small project, there are Directors, Producers, Character Designers, Animators, and many others. Everyone learns their role as well as their responsibility. The faster one learns how to work with someone else's ideas, the more valuable they become. One of the most valuable skills is learning when to make a suggestion and when to keep opinions to ones' self. These roles are important and have been established over years of working on successful films. Yet in education, many programs have few opportunities for students to learn how group dynamics work.

If students do have a requirement to work in a group, it is oft-times un-designed as an education process. Individual roles of students working in groups are not always understood. Sometimes roles are not even established. Also, many of the projects assigned are not suited for a good collaborative experience.

There is a plethora of books and articles on the principles of establishing good group dynamics. Many of these are applicable to the animation profession. Few, however, are applicable to an animation education. It is not the intent of this paper to duplicate or rehash these ideas. There are plenty of resources on the Internet and in "Business Practices" publications for those who are more interested in group dynamics. The intent of this paper is to help in the understanding of the benefits to students who have collaborative experiences as well as a word of caution on when not to use group projects.

II. Considerations

One way to start incorporating group projects is to document the strengths and weaknesses of your current program. What do you want your students to learn and what skills do your students need to have to enable them to get a job when they graduate? If an animation student wanted to go into special effects for movies how could they get the right portfolio inside of your program if your assignments are always based on character design or character performances? How can students focus on just the skills that they are really hoping to learn?

Is it more important for a student to be a generalist or is it better for the student to have one skill that is more specific. Do your students have time to be both? We have heard the expression, "jack of all trades, and master of *none*". We have also heard, "jack of all trades, master of *one*". Do your students really have time to be a "jack of all trades"? Do you, as an education institution, have the resources to teach them how to be a "jack of all trades"? Certainly there is a need for a set of skills/knowledge for each student to acquire. Unfortunately too much of education is concentrated on making sure that every student in a program looks like every other student in the program.

Determine how long of a project you want. Can the concepts be learned in two weeks? Will it take two semesters to fully learn the concepts? What projects are interesting to the professors? Spending a year of your life working with students on a project that you are uninterested in is worse than a slow painful death.

Consider how broad in scope you want the effort. Is the collaboration only with other animation students or do you widen the participation. Do you include only other students in the same college or are you brave enough to include students who use the other side of the brain. Be aware that as you widen the base of talent, the difficulty in administering the project rises logarithmically. Including faculty from other colleges is very challenging. However, the potential rewards may be worth the risks.

When choosing a project, make sure that the project has the potential for success. Is the project a good collaborative project? Can the tasks be easily divided? Does each student have equal opportunities for success? On every collaborative project, there are tasks that no one wants to do because they are boring, hard, or do not translate in to good portfolios. How do you insure that these tasks still get done? We try to have some research money set aside for each project that when we see these tasks becoming bottle-necks to the process, we hire students to do this work. That way, these unpleasant tasks still get done, but no student is taken off the tasks important to their portfolio.

III. History/Examples

The Animation Major at Brigham Young University is an "Interdisciplinary" major spanning three departments in two colleges. Though it is officially housed in the Department of Visual Arts for administrative purposes, it is also administrated by the Department of Theater and Media Arts and the Industrial Design program in the School of Technology. Both the Department of Visual Arts and the Department of Theater and Media Arts are located in the College of Fine Arts and Communications, while the School of Technology is located in the College of Engineering and Technology.

Industrial Design has been a champion, on campus, for collaborative projects for several years. In fact, in order to better facilitate these collaborative efforts, the Industrial Design major moved from the College of Fine Arts to the College of Engineering so that we would be closer to faculty and resources needed for those group projects. Even though Industrial

Design is now housed in the College of Engineering, they still offer a Bachelors of Fine Arts degree and may be the only such BFA degree from any College of Engineering.

In 1990, a BYU faculty team of Robert H. Todd, Spencer Magleby and Carl Sorensen surveyed industrial companies that hire new engineering graduates. The results of this survey pointed out Perceptions of weaknesses in newly graduated engineers.

Perceived Weaknesses of Engineering Graduates:

- Technical Arrogance
- A Desire for Complicated and "High-Tech" Solutions
- Lack of Design Capability and/or Creativity
- Lack of Appreciation for Variation
- All Want to be Analysts
- Poor Perception of the Engineering Process
- Don't Want to Get Hands Dirty
- No Understanding of the Quality Process
- **Poor Communication Skills**
- **Taught to Work Primarily as Individuals**

To address these weaknesses, the above faculty team developed BYU's Capstone Program. The focus of Capstone is to create "Product" based student collaborative projects. It didn't go as well as expected the first year. While the projects were successful in terms of engineering, the industry sponsors were vocal in their disappointment at the esthetics. Industrial Design faculty were asked if these projects could also be used as Design Senior Projects. The "Capstone" program has greatly evolved over the past few years. Currently the program is set up as follows: Two mechanical engineering students, one manufacturing engineering student and where possible; one Industrial Design student form a team. A faculty member, a graduate student, or a volunteer mentor from one of the local design and engineering firms are assigned to the team to act as "Coach". Each team is assigned a project that is sponsored by industry. During each of the past two years, thirty or so different projects have been sponsored in this Capstone program. The projects are yearlong projects. The end goal of the project is to create a working prototype of the product. Projects can be quite intense. An example is that of a project sponsored by Ford Motor Company to convert a Ford Festiva to run on electricity. The end result was a car with a top speed of 80mph with a range of 60 miles that seats four and can be charged overnight on regular house current. Faculty and sponsoring companies involved with the program continue to give "Capstone" high marks for helping students learn the practice of product development.

Product Design: One of our first major "Collaborative" projects in Industrial Design was with Mercury Marine. It was also one of the first projects where we worked with students and faculty from Engineering. We have worked with Mercury Marine on several sponsored projects over the years. Typically these projects were styling exercises. Once in a while the students worked on blue-sky projects concerning new "powered water-toys". In our discussions with Mercury Marine, they expressed their desire to create a new concept. They

had been looking at the feasibility of creating a low-powered Personal Water-Craft. They explained that everyone else was chasing the high-powered crafts that would appeal to men, but that most of these were too powerful, hence too dangerous for most women and children who might not have the physical strength to control such a craft.

The problem, as they described it, was that simply putting a smaller motor in the craft would make it less powerful, but would not significantly lower the price. If a consumer had the choice of less power or more power for the same price, why would they not purchase the higher power? They suggested that we work with engineering faculty and students and see if we could jointly come up with some solutions that would create a more cost effective craft that would be appealing to consumers.

This project was a fairly safe "Group Project". There were basically two parts to the process and the first part was not really done as a group. The first part of the process was very much "individual" based. The students all had to come up with their own designs. Midway through the semester, two designs were selected by Mercury Marine for the students to pursue. The students were then divided into two teams. While there remained a lot of finessing of the design, most of the teamwork was on the creation of working prototypes.

The engineering students were working on a concept of directly mounting the motor to the jet. This had been tried before, but with a larger motor, the vibrations are simply too strong. With the smaller engine, this approach worked, which eliminated the entire drive. All in all, this team effort worked. In the end, the students delivered two working Personal Water-Crafts to Mercury Marine. Mercury Marine then spent millions of dollars working out a design and production process. This project was eventually scraped. Since Mercury Marine motors are used in so many companies they were concerned that they were competing with their own clients.

Animation: Everyone involved with art and design education understands how much has changed over time, and how fast those changes occur. It wasn't very long ago that movie studios would hire almost anyone who had art/design backgrounds and had some skills with computer graphics. Art and Design students were being hired into these studios at near obscene pay scales with minimal experience or skills. The idea was that industry would hire these design students and then teach them what they needed to know. As the industry has matured, the opportunities have changed drastically. Now, for the most part, students have to focus on an area of expertise early in their education in order to have the necessary skills in that area by the time they graduate. Some of these areas are; modeling, lighting/texturing, animation, compositing and character setup. This creates a huge problem for schools that have a limited number of faculty and/or only room for a limited number of students. How can you provide enough opportunities and classes for the students to specialize in all of these skills? If a student wants to emphasis in texturing, where do they get the models? During critiques, how do you make the time meaningful if everyone is working on their own project and those projects are quite diverse?

In order to overcome these shortcomings, an environment of a collaborative senior animation has been created at BYU. The purpose of the project is to allow students to focus on a single aspect of the process so that they can move directly into one of the major studios. Many of these studios have policies against hiring new graduates. Only individuals with experience are considered. Because of these projects, students are often hired directly into these studios.

The collaborative projects start the end of the second semester of the junior year and proceeds as follows:

1. Every junior is required to pitch an idea for a 3 minute animated short-film.
2. Students are allowed to lobby for their story or any one else's. Sometimes these discussions can become quite heated. Questions that the students need to consider are: Can it be told in three minutes, is it too complicated, can it be done in one year?
3. At the end of the story pitches, a vote is taken to determine which story will become the senior project. Majority rules. The process of how the vote is taken changes based on how the students want it to happen. Even at this point, the students are made to know that this is their project. Faculty do not have a vote.
4. Two weeks later, each of the juniors pitch their own version of the winning story idea. This does two things: a) it creates lots of ideas for the direction that the story could go, and b) it helps each student to continue to take ownership of the project.
5. Over the next few weeks, each student pitches character designs, set designs, look and feel ideas. Each time a vote is taken and a direction is set.
6. Students then pick a couple of areas that they want to work on and tasks are divided.
7. The students choose the Director, Producer, Art Director, and Technical Director.
8. Smaller groups are created with students selected to be "leads" of these small groups.
9. The small groups then have most of the decision power of their responsibilities. On a tightly held-to schedule, each group reports to the other groups on their decisions and progress. By using this formula, one can minimize communication breakdown.

Over the course of the year many industry mentors help out on the project. Two outside forces help our animation students in making a successful project. The first is that we find that students from all over campus step up to participate. Music students create the music. Theater students become voices and are reference for the animators and usually help create the sound effects. Computer Science students help with the technical needs.

Last year we finished a five minute animation named; "Lemmings" using the above formula. "Lemmings" ended up being a very successful collaborative project. "Lemmings played in numerous film festivals around the world winning many awards. Perhaps two of the most prestigious awards were 1. The 2004 Student Emmy Award and 2. The Bronze 2004 Student Academy Award. Another measure of the success of "Lemmings" was the opportunities for employment that it opened up for the students. Virtually every student who worked on the project was either accepted to graduate school or was hired in great jobs. Five students were hired to immediately start work on the film "I-Robot", one student worked on "Garfield" and "Scooby Doo 2", one student was hired to work on "Episode III" and others went to game companies.

Downside of project was that it took 3 months to finish after everyone was supposed to graduate.. The project ate up a lot of resources including faculty time. Computers in the lab were tied up for months. This one animation created over 600,000 files and took up over one-half terabyte of disk space on the department servers.

IV. Solutions

Work with industry. You will find that working with industry mentors can be invaluable on many levels. A successful group will oft-times find themselves empowered to the point that the professor is of little value. (At least they will perceive this at various times). Try to have someone, who is well respected in industry, work as a mentor to the group. Mentors can motivate critique, make suggestions and teach. One of the students on a group project said this about a mentor to his project:

> "There are a few things that the industry contact did for us. The first and most obvious is that he judged us by a high standard. The critiques were as motivational as they were painful. The technical director did not want to hear he had been overlooking some simple things about post process rendering any more than I wanted to hear our story had holes you could drive a truck through. Some of the critiques that student art directors had given did not get implemented until someone at Industrial Light and Magic (Creators of Star Wars) said the same thing. Industry contacts motivated and demanded a higher quality work than we did of ourselves." Craig Van Dyke, Director on "Lemmings"

An area that you will spend considerable time in is helping to establish roles. DO NOT ASSIGN ROLES! If you assign the role, when the work gets hard, you will always be blamed for every problem. Spend time with each student allowing them to decide what they want to get out of school, the project, or even life. Help them to understand potential roles that they could play. There are roles in the group that you might not want a student to fill. Oft-times, in a project, there is work that needs to be done that won't create any new skill or knowledge that you care for a student to learn. Can you get funds to hire someone to do that part of the project? Can you hire one of the students who are already working on the project to do this extra work?

One goal is to always give students leadership opportunities. In reality it is the most important part of the group project. Try to set up roles in the group that allows as much leadership training as possible. If possible, set up multiple roles for each student. At various times, students will either be leading a group, or they will be part of a group being led.

One of the other challenges unique to group assignments is ensuring that workloads are fair and consistent. This actually is one of the hardest challenges. Different roles start and end at different times. Make sure that the roles stay flexible so that when one area starts to blossom in the amount of work that needs to be done, that others can step in to help. One element to group projects that can kill the process faster than anything else is a workflow bottleneck. If

several students are idle because they can't work either because other students are not working, or because the workflow has not been thoroughly worked out, you will quickly and certainly loose momentum. It may not be possible to recover from this problem. Make sure that goals are established and that checkpoints are reviewed constantly.

You may decide that working in a group is a voluntary experience. All of our group projects at first were voluntary. In a way they still are, but we have had such success that virtually every student wants to participate. Upon graduation, students are requested to fill out several forms that inquire about their education experience. One student who graduated this past April had what most students would describe as the "dream job" for most of his junior and senior years. In a sense, he was just going through the motions to finish his degree. This student wrote in his exit documents that his biggest regret in his education was that he didn't put more effort into the group project: "Lemmings" because he now realizes all of the experiences that he missed.

Find ways to make the students think that this is their project; that they can do this without your help. This is difficult for many professors or instructors. I have lost track of how many times I have heard students talk about how they know as much as their teachers. Fine, as long as the project is progressing. However, this is bad if it is a reason to stop. It is so much easier to control a classroom extolling all of your knowledge upon those who sit at your feet. However, do not be surprised to see a student at the door of your office years later apologizing to you for those feelings. They will someday learn how smart you are. It is much better to have those friends for a lifetime.

There is always a concern by industry that they might not be able to evaluate a portfolio from a student when the project was done by several students. "How do I know what you can do if others helped you?" The students will need to accurately show what they accomplished and what they have learned. You can help, by creating well-defined tasks, roles, titles and so forth. Require students to give you a copy of their portfolio upon graduation so that you can track who is claiming what. We actually have support for our group projects from industry and this topic, while once a concern, has never been a negative issue.

V. Evaluation of Success

Keep accurate account of your project. Were your goals met? What students had the best experience? How do you expand those successes on the next project so that all students have equal success? Were the design concepts learned that should have been as well as the necessary skills?

On every collaborative project, there seems to be students who get more out of the project than others. You have to be extremely cognizant of the fact that you will probably learn too late that a student is not performing. Mentors to the group need to constantly be on the lookout for students who are trying to hide. Some students' goal is to get a good grade, not necessarily learn anything. While this is not different than most any given class, it is easier for

them to hide in a group project because not everyone is having the same critiques on the same day.

Follow up with companies who hired your students and find out some time later if they feel that the student was accurately prepared for their responsibilities that they now have. If the project was sponsored by industry, are they willing or excited about doing more projects with you?

VI. Summary

Why group projects?

- Student can specialize on a small part of process.
- Projects can go further because of the numbers of students.
- Interdisciplinary opportunities between ID and other disciplines.
- Leadership skills are learned.
- Students are often more motivated to not let down a group.
- Virtually all projects in industry are group projects.
- Quality of project can dwarf a non-group project.

Why not group projects?

- Student may have to specialize on only one part of process.
- Hard to make sure everyone stays working.
- Students can get passed by.
- Can lose "control" of empowered students.
- Hard to create a lesson plan that can be followed year to year.
- You can let a student fail, but are you willing to let a whole group fail?
- How do potential employers evaluate ability?
- How do you evaluate a students' progress?
- When working with faculty of other programs, who has final say?

A recruiter from one of the top Visual Effects studios in Hollywood summed it up in this statement, "I look at two hundred demo tapes a month and I have never seen this quality from a student project before". Remember that this is a changing process. Learn from past projects, remain flexible, and listen to present and past students as they talk about their education experience. Without extra work on the instructors' part, the group will fall to the lowest common denominator. With a little extra work the synergy that can happen will be as amazing and exciting as any teaching/learning experience one can have.

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China's Sixth Generation as an Autonomous Aesthetic Movement

This paper looks at the artistic stance of China's "Sixth Generation" filmmakers. No longer set in China's dynasties or Stalinist-socialist past, films by these directors break further away from the "mass catharsis" melodramatic tradition of previous generations. By employing new forms of expressions, they focus on presenting marginalized social groups and mundane details of every day life in contemporary China. This paper argues that it is their social mission to present the raw, routine and dismally ambiguous side of life, especially the unevenness and hybridity of Chinese modernity, that marks their stylistic preoccupation with MTV-style quick cuts, offhand plots, fleeting moment, handheld shots, low key lighting etc. Through the specificities of their art, these directors provide alternative temporalities that address the situations of the new generation uprooted from both past and home and migrating toward an uncertain future. By showing how their films represent popular culture's response to and contemporary expressions of the anxieties and moral confusion caused by unprecedented social and economic changes in China in recent decades, this paper locates the political significance of the docudrama mode in its nihilistic ambiguity devoid of clear moral absolutes that characterized China before. This paper will prove that such nihilistic ambiguity not only points to the disappearance of a political past in the dynamics of the fast-changing Chinese society, it also undermines the moral legitimacy of all pre-established concepts and ways of life.

Title: The Chinese-ness and American-ness in Maxine Hong Kingston's *The Woman Warrior*

(To be delivered at the Hawaii International Conference of Humanities and Arts)

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Abstract:

Since the publication of Maxine Hong Kingston's *The Woman Warrior,* almost 30 years have been past. Currently it is the only Asian American title on the "Approaches to Teaching World Literature" series of the Modern Language Association of American (Lim). And it is also the most widely taught book by a living author in American universities. According to Sau-ling Cynthia Wong, "on all three counts—sales, critical reception, and pedagogical use, *The Woman Warrior* can be considered a lasting success over a course of almost 30 years." Besides, in China now, Kingston is the only Chinese American writer on the official reading list for undergraduate English majors recommended by the Ministry of Education in 2000.

So its staying power both in America and China is overwhelming. The academic reception and perspective of both sides to this text might be different in politics; but the scholars' appreciation to its postmodernist techniques such as narrative fragmentation; witty and insightful multilingual word play; wide-ranging literary and cultural references Eastern and Western, ancient and contemporary; a self-seeking aspiring writer as a descendant immigrants; will probably quite similar. Since *The Woman Warrior* could be read as "representing" two marginalized groups in the U.S., women and Asian Americans (or Chinese American?), these two inseparable aspects allowed it to attract the American reading public and Chinese academic readers.

As Kingston declared in her essay entitled "Cultural Mis-readings by American Reviewers," that "*The Woman Warrior* is an American book, yet many reviewers do not see the American-ness of it, nor the fact of my own American-ness". But this book makes extensive use of traditional Chinese sources with numerous details added and altered. How to distinguish the

American-ness and Chinese-ness in her book? And how a few traditional Chinese literary sources have been changed to serve as commentary on the narrator's Chinese American reality? How do racial, ethnic and national origins affect Kingston's search for her own identity? Why dose she thoroughly clarify and criticize the sexually discriminating expressions against women of the Chinese traditional patriarchy, not the white-dominated American culture? In answering these questions, I focus on Kingston's creation of a fantastic almighty woman warrior originating from Fa Mulan ballad, by showing that. 1) She blends some other male stories into a female image, making the feminist discourse possible to portray only the women's angers, ideas, and personal experiences. 2) Unlike many other American woman writers who criticize western society, Kingston transfers her angle to the traditional Chinese patriarchal culture, which greatly confused and oppressed her life in Old China Town. 3) Chinese patriarchal culture deprived women of their rights to speak, mainly because of the prejudiced sexually discriminating words. Language is closely connected with culture and ideology. 4) She created a multi- imaged first generation Chinese American woman warrior, who sought so hard of her identity between the conflict of the two different social and cultural backgrounds, among the ghosts of the stereotypes of the traditional Chinese traditional patriarchy and American white-centered social context.

But still, this "woman warrior" holds some manly features, and delivers male-oriented values in many respects, even though it bears some opposition to the sexual prejudice of the traditional Chinese male dominated society. To a certain degree, this character still represents the values of male-dominated society. These can be seen not only as the contradictions and confusions of feminism, but also as a reflection of the alienation and contradiction as an Asian American woman writer in searching for her identity.

In Defense of Kant

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In Defense of Kant

--Steve Luker, University of Utah

"For unless the dignity of virtue is exalted above everything else in actions, then the concept of duty itself vanishes and dissolves into mere pragmatic precepts [because] man's consciousness of his own nobility then disappears and he is for sale and can be bought for a price that the seductive inclinations offer him." –Immanuel Kant *(The Metaphysics of Morals).*

Introduction and Methodology

For media practitioners and modern media ethics classrooms, the popularity of using ethical decision-making models to guide thought on ethical matters is apparent by the sheer number of them found in media ethics literature. With this increase in reliance upon models, it is in the best interest of the media profession to insure that these models facilitate all legitimate schools of thought and ethical philosophy which the practitioner may deem as meritous. This canon of principles has historically included several generally accepted philosophical approaches to ethics: Aristotle's Golden Mean, Mill's Principle of Utility, Rawls' Veil of Ignorance, Ross' Prima Facie Duties, Judeo-Christian ethics, and Kant's Categorical Imperative (Kidder 1997 p.197).

A review of literature was conducted in order to determine how faciliatory current decision-making models are to each of these six philosophical approaches. It was determined that all but the Kantian philosophy were easily facilitated by these models. "Facilitation," in this application, refers to the ease of compatibility and general relevance the model displays toward a particular philosophy when it is applied to the steps of the model.

Ends-driven ethical decision-making has crept into the subconscious of media professionals through professional codes and policies and, unfortunately, in the ethics literature such that deontological thinking is no longer applicable, relevant, or even feasible (Merrill, 1994, 64; Gordon & Kittross, 1999, 18). While most ethics literature superficially invites the ethical decision-maker to employ the principles of Kant, the decision-making models presented in this literature are set up in such a way as to preclude any facilitation of deontological thought, the result being that serious inquiry into Kant and other deontological thinking is being stifled and reshaped into a reliance upon teleology and consequentialism (Baron 1997, 49).

Because there is no current ethics decision-making model which can reasonably be used for the Kantian journalist, I will propose a model which will allow Kantian ethics to be applied to any ethical decision. The development of this model will include reference to the potentially problematic rigidity of the categorical imperatives and their application to a predominantly ends-driven journalism community (Peck 2000).

The Categorical Imperative

Contrary to most journalism ethics literature, the Categorical Imperative (CI) is not a single notion of acting such that we would will our actions to be a universal law. Merrill has stated "If journalists follow their rationally accepted principles, then they are ethical; if not, they are unethical. It's as simple as that" (1994, p.61). However, in his *Metaphysics of Morals*, Kant explains that there are, in fact, three distinct tenets which make up this notion of CI.

The first of these, referred-to by Merrill, is sometimes called the Formula of Universal Law and states: "Act only on that maxim through which you can at the same time will that it should become a universal law" (Sher 1987, p.422). This involves putting away motives and rationally reasoning through the consequences of the action; not the consequences to those immediately involved in the decision (as most journalist are tempted to do), but the consequences to all of humanity. One must ask: would the decision contradict itself? Kant gives four examples of this; the second one deals with promise-keeping and finds a man in need of money which, because of "self-love", he desires not to pay back, though he has promised to do so. If one wills this action to become a universal law then, by reasoning through the consequences, one sees that "no one would believe what was promised to him but would only laugh at such assertion as vain pretense" (1987, p.423). Thus the man would not get the money he sought in the first place.

The second of Kant's CI tenets, often referred-to as the Formula of Humanity, instructs us to "Act in such a way that you treat humanity, whether in your own person or in the person of another, always at the same time as an end and never simply as a means" (1987, p.427). Kant gave specific, though not inclusive, examples such as killing yourself or not keeping promises, though other examples would include using others to advance your own agenda (such as selling more newspapers or achieving an award), or allowing yourself to be used by others or an employer to advance these or other agendas.

The final tenet, called the Realm of Ends, invites Kantian journalists, or anyone who "gives a universal law" (1987, p.428), to unite and, as Herman states, "reflect on our actions as a whole and on the institutions and practices that provide the background for

action and judgment" (1997, p.210). Kant explains this maxim: “For all rational beings stand under the law that each of them should treat himself and all others never merely as means but always at the same time as an end in himself. Hereby rises a systematic union of rational beings through common objective laws, i.e., a realm that may be called a realm of ends (certainly only an ideal), inasmuch as these laws have in view the very relation of such beings to one another as ends and means-- He belongs to it as sovereign, when as legislator he is himself subject to the will of no other.” (Sher 1987, p.428).

With this background on Kant’s CI, and after a helpful definition of terms, we will look at examples of ethical decision-making models in journalism literature to see how easily this principle is facilitated by the structure of the models.

Definition of Terms

The term “model” is often found in ethics literature as referring to a various number of things such as philosophical principles, paradigms, and maxims (Gauthier 2002; Josephson 2002), as well as professional codes and policies, which, themselves, seem to be merely restatements of rigid consequential principle applied to specific functions without regard to the determinant processes of the practitioner. In this review of literature, “model” will refer to applications and frameworks which facilitate the use of existing philosophical principles when making ethical decisions, which give rise to individual decision-making based on the principles chosen to be relevant by the practitioner. Such applications are commonly found in media ethics literature in the form of checklists or systems. The sample of models to be analyzed has been derived from a list of models suggested by Baker (1997) as being representative of ethical decision-

making models in media. The first model we will look at is the Revised Kidder model presented by Baker.

Review of Literature

Baker's Revised Kidder Model

This model applies the original Kidder model (Kidder 1995), a list of 9 checkpoints, to journalism-specific applications and results in several amendments. In introducing the Kidder model, Baker demonstrates the ends-driven bias of the model by stating that Kidder's checklist will result in assuring "all possible courses of action are taken into consideration, and a better outcome will result" (Baker 1997). To the Kantian, of course, the outcome, good or bad, is of no concern as long as the action was based on the tenets of categorical imperative, duty, respect for the person-hood of all involved, etc. (Sher 1987 p.422). To the Kantian, the most important amendment to the Kidder model made by Baker is checkpoint 6b: "Identify other role-specific values and duties (including organizational policies and professional guidelines)."

Baker urges media workers to ask themselves: "What is the role of (specific media professionals) in situations such as this?" While this appeal to organizational policy or role-based values isn't necessarily an endorsement of such, to the Kantian this is an impractical and unallowable step in the decision-making process. Kant would argue that the role we each have as a member of the human family is the only role which need be considered (Kemp 2000 p.71). The consequential bias is exposed by Baker's next step, step seven, which is to *"*Apply resolution principles*"*, one of which is Kant's CI. The maxims of the CI clearly do not allow for any values, role-specific or otherwise, which

do not support the individual worth of humans, such as that of ends-driven professions and institutions. Thus, appeal to Kant's principles in step seven would be too late if one has already considered the desires of his or her organizational policies in step 6b, unless, of course, those policies were Kantian in nature.

Potter Box Model

Further perpetuating the consequential bias in ethical decision-making model literature is the presentation of the Potter Box model by Christians in *Media Ethics: Case and Moral Reasoning* (1995). Christians uses a case-study to introduce the model's four steps. After "Define the situation" (step one), and "Identify Values" (step two), the next step in the Potter Box directs the user to choose an ethical principle which will be the basis for their decision. We can assume that included in the options of useful ethical principles is Kant, though Christians does not mention it. What is mentioned in this step, however, is the option to "Do the greatest good for the greatest number" (p.4). Because we will infer that Christians will advocate deontology as much as any other ethical principle, we must again be puzzled at the teleologically-based next step in the Potter Box model, which directs the user to choose their loyalties: "The Potter Box is a model for social ethics and consequently forces us to articulate precisely where our loyalties lie as we make a final judgment or adopt a particular policy" (p.4). Christians goes on to remove all doubt of his bias or, at the very least, thoughtlessness toward the Kantian deontologist: "Choosing loyalties is an extremely significant step in the process of moral decisions" (p.5). What is the Kantian to do with this model when they get to this step, then? For its uselessness, they must abandon it.

Bok's Model

This three-step model, originally designed by Bok as a framework for general ethical decision-making, is very simply outlined by Patterson and Wilkins in *Media Ethics: Issues and Cases* (1994) for use by journalists. The first two steps are principally neutral: "Consult your conscience" and "Seek advice for alternatives". The third and final step is to "Hold a public ethical dialogue with all the parties involved". Patterson and Wilkins, using a case-study example, imagine a reporter, using the Bok model when faced with an ethical dilemma, having an imaginary discussion with the stakeholders in order to make a decision based on the consequences which might a.) ruin the credibility of a publisher, b.) make an executive director "look like a criminal", and c.) make a needy mother suffer financially. While acknowledging the dramatic impact an ethical decision might have to those who may need their help, the Kantian gives no weight to the potential impact to stakeholders, legitimate or otherwise. Thus this third step may be, at best, merely superfluous, though it may be rightly argued that the first two steps, on their own, give no useful insight whatsoever to the Kantian deontologist when faced with an ethical decision. Once again, we see a potentially valuable decision-making tool, which claims to be of use to, and compatible with, the adherents and tenets of all philosophical principles respectively, rendered ineffectual to the Kantian due to teleological bias.

Deni Elliot's Guidelines for Ethical Reflection

Patterson and Wilkins, in *Media Ethics: Issues and Cases* (1994), include guidelines which may be the best example of a model which isolates the Kantian deontologist. In the first of his five guidelines, Deni Elliot has the journalist ask himself: "Will the proposed action cause an evil—such as…loss of pleasure" (1a.); "Is the proposed action the sort of action—such as…disobedience of professional or role-defined duty—that generally causes evil?" (1b.). In this question we see a decision-making model which seems to advocate obedience to, or at least consideration of, the often unethical requirements of one's role as an employee rather than one's own moral compass and sense of duty to categorical imperatives. Certainly this question is of little relevance to an adherent of Kant, who advocated allegiance to duties and principles higher than pleasure or professional roles. Though the Kantian journalist would be quite unable to move beyond even the first guideline, we will look at Elliot's second and third guidelines:

(2.)" If the proposed action is one described above, is a greater evil being prevented or punished?"

(3) "If so, is the actor in the unique position to prevent or punish such an evil…?" With this we see Elliot turning the journalist, desiring to make an ethical decision, into a judge, jury, and executioner whose job it is to mete out punishment; much more than perhaps the Kantian journalist would be looking for with his decision.

Black, Steele & Barney Issue Specific Checklists

These are a series of ethical decision-making checklists which close each chapter of *Doing Ethics in Journalism* (Black, Steele & Barney 1995). For the purposes of this

paper, we will consider checklists for fairness, privacy, and deception. Fairness, the first checklist, is an interesting concept to the Kantian in that, though usually a by-product of ethical decisions, it often has little to with their notion of ethics. With questions like "Do others feel that story is fair to those involved?" (p.420), this checklist may lead one away from an ethical decision into one that is merely popular and consequentially good--results which a Kantian journalist seeking a truly ethical decision will want to avoid. When addressing privacy, the authors direct the journalist to ask "How much harm might the individuals involved receive?" and "How can I best…minimize harm?" (p.240), questions which confuse the Kantian notion of ethics with that of the teleologists'. The Kantian would balk at such when considering the ethical implications of a potential decision.

Finally, the authors instruct the journalist to consider an act of deception as ethical only after first "weighing the consequences of the deception" and "the impact on journalistic credibility" and coming to the conclusion that "the harm prevented by the information reveled through deception outweighs any harm caused by the act of deception"(p.163). The premises put forth in these checklists are obviously of little help to the Kantian who chooses to put duty to CI's above any other agenda such as that of the teleologist.

The Case for Kant

It is no surprise that Immanuel Kant's ideas on ethics have been oversimplified, misunderstood, and excluded from decision-making model literature. Journalists are, it seems, inherently consequentialists. Merrill states that most journalists "tend to think that

if they are to act ethically, they will need to consider the effects or results of their actions. They feel that simply acting out of duty or respect for a law is shallow and makes the journalist no more than a moral robot devoid of any reasons for ethical action. This idea of compliance with the law itself does not sit well with many free-wheeling, individualistic journalists desiring ad hoc solutions to moral quandaries." (1994 p.64)

So what is the value of the categorical imperative to the journalist? Merrill states that "deontological ethics is very appealing because it sets before us definite rules, maxims, or principles that we should follow in order to be ethical. So we have *a priori* guidance (guidance that was conceived beforehand)" (Merrill 1997, p.62). Josephson states that "a major virtue of Kant's duty theory is its simplicity. It does not require one to consider or predict consequences of a specific decision. Certain things are right and certain things are wrong." (1988, p.16). While this is true, it is not to say that making an ethical decision using the CI is easy. As will be addressed in the next section, ethical decisions of this sort require a great deal of thought; one must be careful not to oversimplify the steps involved and be prepared to use ethical insight (Baron 1997, 37). But, once the logic involved in making decisions based on the CI is understood and mastered, the CI becomes very simple to apply, especially when juxtaposed with the perpetual nature of decision-making based on consequentialism.

Another advantage of using the CI is its brevity. Because of the often time-constrained environment associated with deadlines in journalism, one may not have time to reason out all of the potential outcomes of a certain decision, such as is required by teleological principles. In fact, a study conducted on time pressure and decision-making concluded that "groups with projects involving a time-crisis will follow whatever strategy

they happen to begin with, and will focus only on direct execution of the production function, with no evaluating, stocktaking, and strategy change, and no interpersonal communication. They do low quality work and may be self-destructive" (McGrath et al., 1989, p.34), a finding with which most studies of this nature concur (Ben Zur & Breznitz, 1981; McGrath, 1990; Payne, Bettman & Johnson, 1988; Rothstein, 1986; Wright, 1974). The CI gives the journalist an opportunity to use a set of consistent and precise directives in order to reach an ethical decision within shortened time constraints, thereby increasing the likelihood of making correct moral decisions.

Merrill states that another virtue of Kantian ethics is freedom: "When a journalist is dedicated to duty to a maxim or ethical rule, that person is freed from all natural motives and considerations that will, in a sense, imprison him or her in a ceaseless lockstep of moral relativity and consequence prediction" (1994, p.61). Because the consequences of journalistic action cannot, with any reasonable degree of accuracy, be predicted, the CI gives the journalist a sense of always being able to be "right", thus relieving him or her of the doubt or second-guessing which plagues other types of ethical decision-making principles.

The Problem with Kant

Most journalism ethics literature sees Kantian ethics as "too rigid" (Josephson 1988, p.16), "too legalistic and cold" (Merrill 1997, p.66), "impossibly strict" (Kidder 1995, p.158), or, as Bok states, "his position has seemed too sweeping to nearly all his readers, even obsessive to some" (1989, p.39). Implementation of the CI, like the functioning of the media itself, is largely a problem with economics rather than principle

or willingness. The problem is that journalists are agents of their employer and not agents of truth. Treating others as ends does not sell newspapers in that the gathering and displaying of news often involves pitting the ethics-based rights of the individual against the rights of a society to use and learn from the information and experiences one or a few have in their possession. Journalists, as part of an organization, can be seen as having a social agenda that may seem to justify the using of one or a few individuals as means in order to achieve a legally and socially-justified end; and this is the action of an "ethical" organization-- obviously there are far worse violations of ethics by many organizations.

An example of this is the invasion of privacy by a journalist who snaps a picture of a grieving family, looking over the body of their son who had just senselessly drowned, in order to publish it as part of a social agenda which includes a warning to those who may fall victim to such a demise. For most any other reason this act would be deemed unethical by most journalist, but the Kantian would have to determine if this act, applied to all of humanity, would be logical, or would it negate itself. Reason shows that if this action does indeed result in the saving of lives, then it might be an allowable, and therefore ethical, maxim.

But the problem arises when the journalist considers the second maxim of the CI, the Formula of Humanity, which dictates that no one should be used as a means. Publishing the photo would mean using the family as a means to perhaps saving a life. This would seem to violate this maxim of ends. This is what Josephson calls the "major shortcoming in Kant's ethical duty theory, [producing] unresolvable conflicts when a person is faced with an ethical dilemma: a choice between two ethical values" (1988, p.16).

The satiation of this dilemma hinges on a much-neglected point made by Kant regarding the CI in his *Metaphysic of Morals* which makes a distinction between "perfect" and "imperfect" duty. Kemp paraphrases—"A perfect duty, unlike an imperfect one, allows of no exceptions in the interest of inclination. It is my duty to keep all my promises, whatever I may feel like doing; but since I cannot develop all my talents or help every man in distress, I have some latitude in deciding which talents to develop and which men to help" (2000, p.71). The distinction between these two duties is made by Kant in order to demonstrate that some duties can and, therefore, should be adhered-to completely and perfectly; while others may only be attempted but never completed perfectly. Though both are worthy of the title "duty", only to that one which can be completed perfectly do we have an obligation to fulfill perfectly. Thus, we are under no moral obligation to fulfill any imperfect duty, meritorious as it may be. In the previous scenario, there is little doubt that the journalist can perfectly fulfill his obligation to the family by treating them as ends and not as means. When we first see to it that our perfect duties are fulfilled, then can we proceed to fulfill our imperfect duties. In this case, adherence to the perfect duty makes the imperfect duty impossible; our dilemma is solved and we have acted ethically. Because we are under no moral obligation to completely fulfill our imperfect duties, such as potentially saving the lives of victims who may or may not exist, we have not acted unethically by not publishing the photo.

Though Kant's logic is often very difficult to understand, this idea of a moral hierarchy within the CI seems to be correct. Indeed, Patterson and Wilkins cite the support of this interpretation by stating "…philosophers have generally asserted that the strict rules (i.e. not to harm) are somewhat more morally mandatory than the meritorious

duties (e.g. to render aid). It is possible to think of times when the meritorious duties could outweigh the strict duties. However, under Kant's system such exceptions would be truly exceptional" (1995, p.9).

A Kantian Model

Kant did not mean his CI to be system of finding singular answers for ethical questions, but rather a way to formulate personal maxims to which we can either adhere or depart from; but in either case we will have an ethical reference point (Baron et al., 1997, p.65). The rightness of one's action comes from adherence to one's maxims and little else, so a personally-held maxim must be one that the practitioner believes in. Thus, the first step in the Kantian decision-making model is to insure that one's maxim has its roots in reason and a good will. This does not come easily and must be earned through earnest study.

Develop Moral Sensitivity

Crucial to this process of creating a good will is the responsibility of the practitioner to morally educate him or her self, to develop what Kant called one's "virtue", or moral sensitivity: "For man's capacity for moral action would not be virtue were it not produced by the strength of his resolution struggling with such powerful inclinations to the contrary. Virtue is the product of pure practical reason, in so far as reason, aware of its supremacy (on grounds of freedom), wins ascendancy over the inclinations. That virtue can and must be learned follows directly from the fact that it is not innate. The theory of virtue is, therefore, a doctrine" (Kant 1797, 1964, p.477). Kant

would certainly have advocated practitioners of journalism first becoming students of ethics, developing their sense of reason, virtue and morality through formal education, having the teacher questioning the student in Socratic fashion to train, not some reliance on rote knowledge, but rather their moral reasoning. He states: “And this method of questioning is, in turn, divided into the method of dialogue and that of catechism, depending on whether the teacher addresses his questions to the pupil's reason or merely to his memory. For if the teacher wants to question his pupil's reason, he must do this in a dialogue in which teacher and pupil reciprocally question and answer each other. The teacher, by his questions, guides the pupil's thinking merely by presenting him with situation in which his disposition for certain concepts will develop” (477).

I. Determine a Personal Maxim

Once the journalist has become confident in his or her ability to reason logically, then they may address an ethical dilemma by determining a personal maxim-- a tentative ethical decision-- for the scenario, which seems to be an ethical one. This maxim will then be tested to see if it is indeed ethical.

II. Universality Test

When confronted with an ethical dilemma, after first proposing a tentative solution, one must then project whether proceeding with that action will negate that action. This step refers to Kant’s first tenet of the CI which is referred-to as the Formula of Universal Law and states: "Act only on that maxim through which you can at the same time will that it should become a universal law” (Sher p.422). For example: if a

journalist decides, for whatever reason, that it is ethical to break a promise and divulge a confidential source, he can expect that, if this maxim were to become a universal law, very few sources would ever trust journalists and would, consequently, give little information to them in the future; thus reducing the amount of truth that a journalist can report. This would seem to negate the journalist's initial purpose for divulging the information. Therefore, this maxim is not an ethical one.

III. Ends Test

This test refers to the second of Kant's tenets of the CI which states: "Act in such a way that you treat humanity, whether in your own person or in the person of another, always at the same time as an end and never simply as a means" (Sher p.427). This test is where the journalist questions their motives.

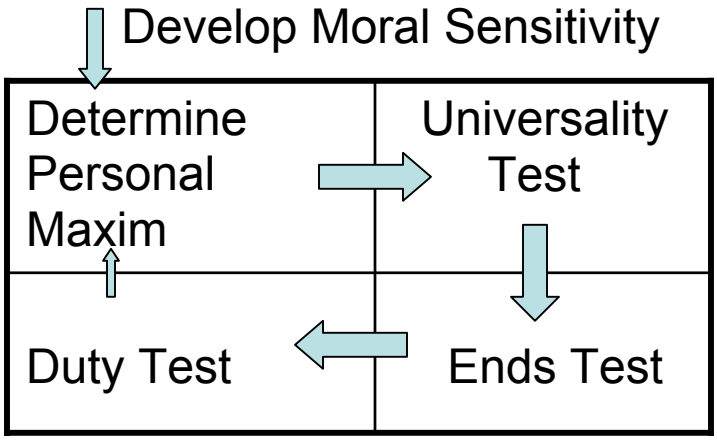

Figure 1- Kantian Decision-Making Model

Quite simply, if your decision results in the utilization of a person to advance a personal or organizational agenda then the maxim is an unethical one. This notion of persons as ends is an example of what was referred-to earlier as a perfect duty.

IV. Duty Test

Once a maxim passes the Ends Test, then the final step is to determine if it can be considered a perfect duty-- one which can be fulfilled completely, such as respecting persons as ends. Often, two ethical duties will seem to conflict, and a decision must be made as to which one to advance. Thus an addition, not an exception, to the Ends Test rule is that which identifies imperfect duties-- duties which cannot be fulfilled perfectly. This test respects the importance of imperfect duties, such as informing the public, saving lives, or advancing social causes, while necessitating that advancing these duties must never come at the expense or neglect of perfect duties. The Duty Test necessitates that the journalist carry-out the maxim which passes the Duty Test while finding alternative ways to advance the noble, though imperfect, maxim without violating any of the other tests.

If the personal maxim passes the Universality Test, the Ends Test, and the Duty Test, then one can be confident that the decision associated with this maxim is an ethical one. If it fails one or all of these tests then one must choose another maxim and start over by applying the Universality test and so forth until a maxim can pass each test.

Conclusion

Kant's Categorical Imperative (CI), though widely referenced in journalism ethics literature, is often misunderstood and slighted by practitioners as being too rigid and impractical. A consequence of this mentality has been the exclusion of the CI in ethical decision-making models, despite its useful and simplistic merits as a legitimate means to ethical discernment. A practical decision-making model was submitted which guides the practitioner quickly and confidently through the decision-making process, allowing personal maxims to be examined through a series of three tests—Universality, Ends, and Duty. Using this model will allow the journalist to develop and employ the virtue and reason which is required of the ethical journalist. *"For unless the dignity of virtue is exalted above everything else in actions, then the concept of duty itself vanishes and dissolves into mere pragmatic precepts [because]) man's consciousness of his own nobility then disappears and he is for sale and can be bought for a price that the seductive inclinations offer him."* –Immanuel Kant *(The Metaphysics of Morals* p.428*).*

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A Student Paper to be submitted to

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Topic Area: Communication (Intercultural Communication)

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Abstract

This paper traces the two distinct developmental phases in Chinese advertising history and analyzes specific foreign and local ads of each historical period. The study shows that advertising in China reflects the country's encounter with global cultures, especially at the consumer markets in different eras. As reflected in the analyses of some sample ads, advertising in China mirrors modernity and sheds light on the process of the local interacting with the global and vice versa. The paper argues that such interactions are more accurately accounted for by the theory of glocalization (involving local adaptations of global influences) than with that of globalization (with the global overwhelming the local). In the process of glocalization, as the examination of advertising in China shows, the relationship between the local and global turns out to be dialectical and dynamic, with both integrated to create a changing world of diversity and hybridity.

With its emergence in the beginning of 1990s, the term “globalization” has centered the debate forum of the world of academia. Scholars in human sciences in particular recognize globalization as “an increasingly influential paradigm” (Featherstone& Lash, 1995, p.1), which attempts to depict the general trend of the changing world and its development. Concurring on its significance, scholars, however, present divergent opinions about not only the terminology “globalization” but also its underpinning meanings, whose density and complexity in turn fascinate the contestants. The controversy starts with the definition of globalization.

Giddens (1990) views globalization as basically the consequence of modernity and abstractly defines globalization as “the intensification of worldwide social relations which link distant localities in such a way that local happening are shaped by events occurring many miles away and vice versa” (Giddens, 1990, p.64). By contrast, Albrow (1990) concretely defines globalization as “all those processes by which the peoples of the world are incorporated into a single world society, global society” (Albrow, 1990, p.9). To further fathom its meanings, Lechner points to the various aspects of globalization by referring it to “the worldwide diffusion of practices, expansion of relations across continents, organization of social life on a global scale, and growth of a shared global consciousness” (quoted from Ritzer, 2004, p.72). As reflected in the above attempts to define globalization, the scholars more or less agree on the point that globalization

basically involves the connectedness of the local and the global. However they essentially diverge on the nature of relationship between the local and the global during the process of globalization. According to Featherstone and Lash (1995), and Roberston (1995), there are two major contestants: the "homogenizers" and the "heterogenizers" (Featherstone and Lash, 1995. p.4). The homogenizers, mainly "Marxists and functionalists," perceive the "presence of the universal in the particular," "invoke a scenario of convergent development" and see the "dominance of the West" over the Third world (Featherstone& Lash, 1995, p.4). On the other end of the spectrum, the heterogenizers, mostly "theorists of interculturalism," dispute the universal effect of globalization and throw into doubts the simplified picture of the West dominating "the rest" as a result of globalization (Featherstone& Lash, 1995, p.4).

While critiquing the Western imperialism discourse underlying homogenizers' view of globalization, the heterogenizers, however, have not transcended the dichotomy between homogenization and heterogenization or capture the shifting dynamics in the process of globalization. To go beyond to limits of both homogenizers and heterogenizers, Robertson first introduces the term "glocalization," which derived from the Japanese idea of *dochaku,* meaning "living on one's own land" (Robertson, 1995, p.28). More specifically, by "glocalization," Robertson means that apart from the presence of global artifacts in the local, there is a "process of institutionalization," which involves a global creation of locality" (Featherstone& Lash, 1995, p.4). Robertson's theory of glocalization is integrative and meaningful in the sense that it points to the "ongoing, calculated

attempts to combine homogeneity with heterogeneity and universalism with particularism" in various areas of contemporary life in the modern era (Robertson, 1995, p.27). As Ritzer explains, glocalization underscores the integration and interpenetration of the global and the local "resulting in unique outcomes in different geographic areas" and thus emphasizes the "diversity, hybridity, and independence" (Ritzer, 2004, p.73-75).

Intrigued with the above intellectual dialogues, my paper intends to join the discussion over globalization and glocalization. Concurring with Robertson and Ritzer, I would argue that the term "glocalization" more accurately captures the dialectical relationship between the global and the local than the term "globalization" does. I would also argue that the rich theory of glocalization more clearly reflects the increasingly pluralistic world and helps highlight the local individuals and groups' "power to adapt, innovate, and maneuver within a glocalized world" (Ritzer, 2004, p.77). Whereas glocalization can be analyzed culturally, economically, politically or institutionally, my paper would mainly focus on the cultural and economic aspects of glocalization. More specifically, I would examine advertising in China through the lens of glocalization theory. I would attempt to see how advertising in a specific locality, hereto, China would reflect the shifting dynamics and interlocking duality of the global and the local in process of glocalization. Among other things, I would intend my paper to capture the flows of such a process and thus provide insights into not only the theory of glocalization and but also the relevant intellectual conversations.

My intention to use advertising as a site to examine glocalization stems not only from

my personal interests but also from the fact that advertising in China has been investigated through both the global and local perspectives (Wang, 2000; Zhao, 2002; Belk&Zhao, 2003; Zhang & Harwood, 2004). These investigations show that advertising, as "one of the prime purveyors of consumer culture" (Wang, 2000, p.9), can manifest the dynamics of global and local forces when the two encounter at the consumer markets. As in the case of China, the course of advertising history parallels the course of the country's encounter with, and opening up to the Western world. For this special reason, advertising and its development in China particularly manifests the dialectic interpenetration of the global and the local. As this paper would further argue, advertising in China reflects modernity and glocalization occurring at different historical periods. More specifically, I would trace the history of advertising in China and focus my analyses on two historical periods: 1) the early 20th century (1900s~1930s) when China first ushered in modernity and global advertising; 2) the current era (1980s~now) when both foreign and domestic advertising blossomed due to China's political and economic reforms and opening up to the outside world in the late 1970s. In the Mao era (1950s~1970s), advertising disappeared from public sphere due to political reasons and was replaced by propaganda posters during the Cultural Revolution. As a result, there was little interaction between the local and the global. Therefore, I would not analyze this era. Apart from depicting major developmental phases of advertising in China, my purpose also entails analyses of specific ads selected from the eras of modernity and reform in attempt to shed light on the interactions of the global and the local in the process of glocalization.

The Emergence of Advertising in China in the Era of Modernity (1900s ~1930)

While China enjoys a rich and long history over 2000 years, modern advertising did not emerge on a large scale until the 1900s when the influential translational corporations like British American Tobacco started mass advertising in China (Anderson, 1984, p.269). The notion of modern advertising, in particular, was foreign to the Chinese. As Rotzoll records the observations of Thomas Gorman and Jeffery Muir of the China Consultants International,

> Although advertising was practiced in a variety of forms around the turn of the century by both international and local Chinese companies in China, the concept of advertising per se was foreign, introduced only in recent Chinese history; and first popularized by foreign tobacco and petroleum companies. (Rotzoll, 1986, p.9, quoted from Cheng, 1996, p.75)

The emergence of mass advertising in China pioneered by foreign companies, however, was by no means a fortuitous coincidence. Rather, it was aligned with China's social, political and economic situations of the time. Chinese history of 1900s witnessed the dawn of modernity when the Qing Dynasty (1644-1911) collapsed as a result of foreign encroachment and 1911 Revolution--the May Fourth Movement (Tu, 1991). The Chinese intellectuals (such as Liang Qichao, Yan Fu, Chen Duxiu) who started the May Fourth Movement perceived that the downfall of Qing Dynasty mainly lied in the country's

backwardness in economy, science and technologies as a result of Empress Chixi's policy of closure that rejected to learn from the foreign countries and to conduct commerce with them. The intellectuals realized that to save the country from deteriorating and prevent further foreign invasion, they had to turn to western knowledge for guidance and inspiration. They especially advocated the importation of Western science and technologies (Tu, 1991). Furthermore, these intellectual elites spread the ideas of a New Epoch through their works such as Liang Qichao's "New People" (a paper edited by Liang) and Chen Duxiu's "New Youth" (a magazine edited by Chen). Encouraged by these intellectuals, the upper-middle class, later on the mass, started to communicate with the advanced Western countries such as Britain, France, Spain, and America (Tu, 1991).

China's first encounter with the West was reflected in the consumption behaviors of people in the cosmopolitan cities like Shanghai and Guangzhou. As Zhao vividly depicts a businessman's daily life in the 1920s Shanghai, the Shanghai man, representing the middle class, used all sorts of foreign-brand commodities, ranging from "GE lights, American Standard toiletry and wash basin, Golgate dental cream, Quaker Oats, Momilk Milk, RCA gramophone, 555 cigarettes and Kodak camera" (Zhao, 2002, p.2). Such an embrace of modern products in Zhao's account can be found in yuefenpai (meaning calendar posters), which represented the major form of advertising in the early 1900s. According to Bong et al.(1996), yuefenpai were first manufactured "by foreign and Chinese commercial enterprise in Shanghai, Guangzhou and Hong Kong" (p.8-9). The posters advertised a great variety of commodities, particularly foreign products,

"including tobacco, wine and liguor, cosmetics, textiles, banks, insurance, pharmaceuticals, hardware, petroleum, and flashlight and dry battery companies" (Bong et al, 1996, p.8-9).

As mentioned earlier, the May Fourth intellectuals advocated the use of foreign knowledge and commodities to enlighten the Chinese people of the time, they however didn't blindly accept whatever the West had brought to China. Since their main purpose of introducing the West was to modernize the nation and prevent further foreign invasion, the upper-middle class intellectuals were well aware of the potential Western imperialism in the form of Western products. Therefore, there was a dialectical relationship between the global advertising and the local consumption. A close look at the calendar posters helps shed light on such a dialectical relationship.

Above all, though the calendar posters were mainly produced by foreign enterprises, they were imbued with Chinese traditions and values. Painted in the form of traditional style of Chinese New Year pictures, according to Bong et al. (1996), calendar posters had the following local characteristics:

> Firstly, each image should possess a storyline so that it entertains the public. Secondly, the poster text should give a sense of opportunity and fortune. And Lastly the people must be elegant and attractive. (Bong et. al., 1996, p.8-9)

The themes of the posters also depict the Chinese historical and legendary stories against the backdrop of flowers, animals, and landscapes and they were familiar to the

public at large and reflected their social needs and aspirations. As Bong et al also point out, foreign merchants once attempted to import posters of Western paintings and images such as "Abraham Lincoln, George Washington, famous European personalities, sceneries and religious imagery" to advertise their commodities. The Chinese consumers of the time however showed little interests in the foreign posters. As a result, the foreign businessman had to switch to Chinese paintings for their advertisements (Bong et al., 1996, p.8-9).

In terms of painting style, the calendar posters, however, were influenced by that of the West. According to Bong et al. (1996, p.16-17), calendar poster painters developed their unique style from the *Lingnan School* innovators, who joined the May Fourth Movement and belonged to the elite intellectual group, as mentioned earlier, attempting to help introducing modernity and global civilization into Chinese society. Having studied art in Japan, this school of artists realized that the key to make up for the shortcomings of Chinese painting was to learn from Western capitalism. Therefore, in practice, they implemented the Western practice of realistic painting and meanwhile were well versed in the "essential skills of Chinese traditional painting: wielding the paint brush, ink and wash and application of colors" (1996, p.16). In Bong et al.'s words, the *Lingnan School* artists were "pioneers bringing together Chinese traditional and Western painting" (1996, p.16). Under these pioneers' influence, the calendar posters of the era were rendered the characteristics of combining the foreign and the local styles.

A few sample calendar posters selected from the 1910s ~1930s collection (compiled

by Bong et al., 1996) can help further illustrate the features, functions and implications of advertising in China at the era of 1900s.

Figure 1

Figure 1 was an ad selling electrical appliances, issued by Shanghai Electric Company in the 1930s (Bong et al, 1996, p.86-87). The decoration of the home, as shown in the picture, was of Western style: the big French window, the wide curtain, the arm chair, the gramophone, the electric fan, the carpet and the bookshelf and the candle stand—all these products looked so new and European to Chinese people of the 1920s. While reflecting the Western mentality of modernity, the ad, however, did not fully embrace what was Western. Apparently, the woman standing in the middle of the room was distinctively Chinese, wearing *Ji*, the traditional Chinese women's hairstyle. Interestingly enough, her outfit was a combination of traditional Chinese and Western styles. Her blouse, tight, curvy and tall-collared, had the characteristics of Qipao, the traditional costume for Chinese women. By contrast, her dress was loose and fluffy hemmed and together with the broad fluffy sleeves resembled the Western style dress. A closer look at the room decoration reveals that the small carpet on the other end of the room was embroidered with the Chinese characters "*mei* and *hua*" (meaning "beauty and glory") and that the dressing table in the bedroom was of Chinese style, characterized by its hard wood texture and intricately carved flower patterns. With the old traditional Chinese

decorations harmoniously combined with the new Western styles, the whole room as well as the woman symbolized a new urban lifestyle on the quotidian level in the 1930s China as a result of global influences. The harmonious combination of the global and the local styles indicated that the Chinese consumers were not passive receivers of Western messages conveyed in the ads. Rather, they creatively adopted the Western style to make the traditional look more appealing. In their encounter with modernity and foreign civilization, the local consumers took pride in their own traditions, values and heritage by juxtaposing them with their foreign counterparts.

The following ads reflect similar mindset and mentality of modernity:

Figure 2

Figure 2 was an ad entitled *Two Beauties Playing Golf*, issued in 1930s. According to Bong et al (1996, p.114-115), this ad depicted the typical mini-golf courses of the 1930s Shanghai. Golf was a foreign sport imported to China from Europe and North America in the 1930s and became, one of the popular foreign sports widely practiced in the cosmopolitan Shanghai. This ad then captured the vogue of having foreign style leisure. The two Chinese ladies, however, posed a contrast to the foreign sports in the sense that they wore Qipao and high-heeled shoes, rather than Western sportswear while they were having the sports. Also the background of the mini-golf

Figure 3

was the typical Chinese traditional garden, characterized with pavilion, pagoda and artificial rocky hills. Figure 3, an ad selling cigarettes, also reflected such a combination of the global and the local. Horse-racing, like golf, was an imported sports that was popularized in the 1930s China. This ad juxtaposed the Western sports, the Chinese man in Western jockey outfits and the Chinese women in Chinese Qipao and presented a harmonious picture of leisure time enjoyed by the Chinese consumers. Both Figure 2 and Figure 3 gave a glimpse of the way the local people consumed and domesticated the exotic and foreign while simultaneously preserving their traditions

Figure 5

Figure 4 and Figure 5 presented another important aspect of the local's importation from the foreign—airplane technology. In these two cigarette ads, the women were both looked traditional and again dressed themselves in the delicate and elegant Qipao. Under their demure appearance, they had liberal and exquisite minds.

Figure 4 depicted the woman standing right in front of a foreign-made airplane, proudly holding her hand, as if she was embracing the advanced technologies of the world. The woman in the other ad sat by a window, out of which an airplane was flying in the blue sky. Seemingly confined indoors, the woman, however, was reading a book entitled *Hang Kong Su* (meaning *Techniques of Flying)*. The scene as a whole was imbued with a sentiment of enlightenment and the window next to the woman, in particular, might symbolize the window of the world, through which the Chinese ushered in the essence of the foreign. These two ads mirrored the liberal mentality of the modernity and reflected the local's confidence in their adaptation of the foreign technologies, as advocated by the intellectuals of May Fourth Movement.

My close reading of the calendar posters shows that advertising in the 1900s China mirrored Chinese people's first encounter with modernity, spread by global consumption. When the local consumed the global products, they did not abandon their traditions, cultural values and national identity. Rather than being homogenized by the proliferation of Western civilization, as the homogenizer in the globalization debates argue, the Chinese society, however, became more heterogenized in the sense that the Western products and cultures brought in hybridity and diversity into people's life. As my analysis of the calendar poster advertising indicates, the social and cultural change occurred in China at the turn of the 20th century was by no means coerced by the West. Instead the Western influence, particularly in the form of foreign commodities, helped re-embedded and reinforced the Chinese tradition and heritage. Furthermore, through integration of the

Western and Chinese styles consumption, the Chinese individuals and groups were able to preserve their culture and traditions and meanwhile create their distinct cultural identity.

The Rejuvenation of Advertising in the Era of Reform (1980s till now)

Whereas Mao era witnessed a proliferation of political slogans and propaganda posters, the reform era under Deng's leadership welcomed the blossoming of advertising from home and abroad. The resurrection of advertising in China in the 1980s was of great significance in that the golden age of advertising ushered in another new epoch of Chinese history: an epoch characterized by commercialization and marketization as a result of Deng's economic and political reforms. Among other things, advertising was part of China's transformation from domestic traditional market to global consumer market (Pennington, 2002, p.83). The first reoccurrence of advertising in China's public domain was well documented in the abundant research on advertising in China (Anderson, 1984; Ho & Sin, 1986; Hong, 1994; Cheng, 1996; Wang, 2000). As the researchers noted, a few articles published in the nation's leading newspapers and magazines prelud the rejuvenation of advertising (Hong, 1994; Cheng, 1996).

> On January 14, 1979, an editorial appeared in Shanghai-based *Wenhui Daily,* calling for "restoring the good name of advertising"

> (Ding 1979, 3). Seeing advertising as a "means of promoting trade, earning foreign exchange, and broadening the masses' horizons," the editorial encouraged China's mass media to carry foreign as well as domestic advertising. (Cheng, 1996, p.78)

The breakthrough brought by the above editorial was greatly welcomed by both domestic and foreign enterprises. The first advertisement by the Tianjin Toothpaste Factory was published in *Tianjin Daily* in January 14, 1979 (Cheng, 1996, p.78). Starting from there, advertising in China went through its course of renaissance, which was characterized by the proliferation of foreign and domestic ads across the country, especially in cosmopolitan cities like Beijing, Shanghai and Guangzhou. As Anderson noted, various Chinese authorities were actively working with some major transnational ads agencies (TNAAs) such as "Y&R, McCann-Erickson, O&M, Leo Burnett and Dentsu" (Anderson, 1984, p.271). The TNAAs' entry into Chinese market facilitated the development of advertising, which resulted in a flourish of ads appearing in all sorts of newspapers, magazines, and on radio, TV, Internet and city billboards in the 1990s. According to Wang (2000), the major global advertising players established stores and shops in China, presenting "a wide array of consumer product brands and manufacturers from Kodak and Coca-Cola to Panasonic and Procter & Gamble" (Wang, 2000, p.8).

With markets being transformed from the local to the global, Chinese consumers' lives took on a new look. Their suppressed desires to consume in the Mao's era finally found release in the opening and thriving markets. Their consumption behaviors, too,

went through dramatic changes. Whereas Chinese people aspired to have “three bigs” (a bicycle, a wristwatch and a manual sewing machine) during the Cultural Revolutions, they yearned for the “new three bigs” (a refrigerator, a washing machine, and a television set) in the mid-1980s (Cheng, 1996, p.94). In the 1990s, however, the Chinese consumers desired to acquire “Western brand-name products and emulate Western consumption behavior” (Belk & Zhou, 1986; Cheng, Wang, 2000; Pennington, 2002). In this regard, consumption has become symbolic in the sense that the contemporary Chinese consumers not only consume material goods but also ideas and images represented in advertising.

Whereas the 1900s China first encountered with the foreign through consumption of global products, China of today, at a much deeper level, has experienced ongoing influx of foreign commodities and ideas. As my analyses showed earlier, 1900s Chinese consumers preserved their traditions and cultural values by creatively integrating the Chinese and Western styles. By contrast, what are the contemporary Chinese consumers’ reactions to the proliferation of foreign products in China? While embracing the foreign brands and emulating consumption behaviors of foreign cultures, do the Chinese consumers abandon their traditions, cultural values and national heritages? To fathom the dialectic relationships between the local and global, I will once again use specific ads as a lens to examine the implications of glocalization. More specifically, I will look into some foreign and domestic ads and analyze them in terms of contents (including theme and value) and forms (including designs and strategies).

My first samples of global ads are from *Coca-Cola*. I have chosen *Coca-Cola* ads

for my analyses for two main reasons. First, *Coca-Cola* is viewed as the maker of "the world's most advertised single trademark" (Anderson, 1984, p.277). The drink's ever popularity in China demonstrates that the Coke Company's advertising has had great success in appealing to the Chinese consumers. By considering the case of Coca-Cola's advertising in China, we can better understand what has made the global successfully appealed to the local. Second, according to Anderson, as China first recognized the significance to rejuvenate advertising in its consumer markets in January, 1979, Coke was "the first American consumer product available in China when it was awarded the 'sole privilege' of selling cola drinks in the Chinese market" (Anderson, 1984, p.277). In that regard, *Coca-Cola* Company was the pioneer of global advertising in mainland China. We may assume that *Coca-Cola*'s advertising strategies might influence those of other global companies or at least, *Coca-Cola*'s ads could represent part of the global's approach to the local. In short, *Coca-Cola*'s ads can well reflect the interactions between the global and the local.

Figure 6

Figure 7

Figure 8

Figure 9

A close look at the above ads reveals a distinct advertising strategy *Coca-Cola* has been employing: they are basically using visuals and characters distinctively Chinese so that the local consumers would find it easy to interpret the messages and the images and align with the ideas thus conveyed. Belk and Zhao term this strategy as "*sinolization*" (2003, p.3). More specifically, according to Belk and Zhao, sinolized advertising refers to "a strategy designed particularly for China, by using Chinese models referring to Chinese tradition and airing only in China" (2003, p.7). In other words, in the process of sinolization, global admen design or redesign ads of the foreign products in order to "reflect Chinese norms and values in an idealized, and easily accepted form" (Belk and Zhao, 2003, p.7). A detailed analysis of the above sample ads can help shed more light on the concept of sinolization.

Figure 6 is an ad displayed in Xi'an, a city renown for its history, as it had been the capital city of 12 Chinese dynasties such as Zhou, Qin, Han and Tang dynasties in the ancient time. Places of historical interests and historical relics abound in Xi'an, among which are Terra –Cotta Warriors and Horses Army, Big Goose Pagoda, Daxingshan Temple, and Mausoleum of Emperor Qin Shi Huang and so on. The ad displaying in such a historical city shouldn't be accidental. The eye-catching *Coca-Cola* ad hangs as the sails of what looks like an ancient Chinese warship, against the backdrop of a historical

pagoda. The picture as a whole integrates the Chinese traditions and cultural heritage with the Western popular cultures, as embodied in contrasting images. Such a "visual sinolization" (Belk and Zhao, 2003, p.8) not only helps the Chinese consumers decode the ad itself but also instills national pride into their consumption of the global product. Figure 7 and Figure 8 are similar examples of visual sinolization through the use of favorable Chinese athletes. As Chinese culture values athletic excellence achieved through "discipline, determination, and dedication" (Belk and Zhao, 2003, p.8), the use of Yaoming (figure 8) who has won recognition and popularity in the American basketball team, could arouse the Chinese consumers' sense of national pride and nationalism. Figure 9 achieves visualization not only through the image of Chinese five star flag but also language translation—what Belk and Zhao call "linguistic sinolization" (2003, p.11). "Linguistic sinolization" refers to achieving sinolization strategy through manipulation of linguistic elements in global ads (2003, p.11). For instance, the brand name "*Coca-Cola*" is ingeniously translated into "*ke ko ke le*," through the use of resonance in pronunciation. Similar in sound to the English word "*Coca-Cola*," the Chinese phrase "*ke ko ke* le" has the auspicious meaning of being "tasty and happy." This ad, more specifically, adds more creation to the original brand name by inserting the word "fei chang," meaning "very." The Chinese slogan, which says "fei chang ke le—Zhong guo ren de ke le," can be literally translated into "very tasty—Chinese people's Coke." On the other hand, this slogan figuratively implies that Chinese people have good taste. The ad's combination of visual and linguistic sinolization helps make the product global and local simultaneously.

A brief survey of 328 global ads in my data reveals that the integration of the global and local cultures, values and traditions in advertising is not just a unique strategy employed by *Coca-Cola* Company only. Rather, many other global brands use sinolization in their advertising. The following are a few more samples randomly selected from my data.

Figure 10

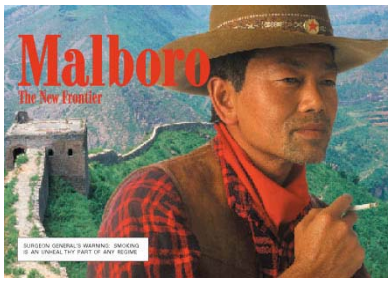

Figure 11

Figure 12

The *Marlboros* ad (figure 10) positions a Chinese man wearing Western cowboy outfit against the Great Wall. His work- gnarled hands, dark colored skin and straw hat indicate that he is a hardworking farmer. His meditating countenance radiates the Western spirit of independence and freedom. The Great Wall background, by contrast, conveys the message of long Chinese history and rich national heritage. The slogan “the new frontier” renders the ad under a clearer light: while the Great Wall used to be the new frontier for hardworking Chinese people, cowboys had been brave pioneers exploring the new frontier of Western states in American history. Though a combination of Chinese and American cultural symbols, the Marlboro ad implies that both Chinese and American values and national pride, embodied in images of the Great Wall and the cowboy, have been preserved and perpetuated.

Whereas *Marlboro* metaphorically integrates the local and global values in its advertising, *Maybelline* (figure 11) literally juxtaposes the famous Chinese movie star Zhang Ziyi and globally renowned European model Josie Maran to show that *Maybelline* cosmetics are capable of helping women consumers to achieve the local and global ideals of beauty. Like *Maybelline*, the *Johnson &Johnson* ad (figure 12) also uses strategy of sinolization in an explicit way, yet through its brand name and slogan. The brand name *Johnson* is translated into "*qing sheng*" meaning "strong health" in Chinese, the same linguistic sinolization used by *Coca-Cola.* Also the slogan claims that *Johnson&Johnson* is bringing new designed contact lenses to Chinese people as New Year gifts, which follows the Chinese custom of New Year gift giving. In the meanwhile, as the ad promises, their contact lenses products would enable the Chinese people see the world from a new angle. The local and the global are creatively linked together through the contact lenses product.

The sample global ads indicate that global advertising tends to infuse the local and foreign cultural values to appeal to the local consumers' aspiration of simultaneously preserving the local traditions and absorbing the global new resources. While foreign advertising reflects the global's approach to the local, the advertising of the local products sheds light on the local's response to the global. The following sample ads of local products, though incomprehensive, grant a glimpse to local advertising in terms of contents (including theme and value) and forms (including designs and strategies), as compared with those in global advertising.

Figure 13

Figure 14

Figure 15

Figure 13 is an ad by *Hainan* Mazda Auto- Dealership Company selling the newly upgraded new model *Premacy*. While selling automobiles, a foreign luxury product, which has been beyond Chinese people's consumption aspiration until recent years, the company embeds Chinese family values into the foreign commodity. The images tell of the story of the young couple having a new-born baby and the husband having the new identity of a father. The slogan goes "The new *Premacy* witnesses life's new milestone." The ad explicitly presents the blissful scene of family life and implicitly states that the foreign automobile can strengthen the Chinese family tie and bring more happiness and new journeys for the aspiring Chinese couple. The local housing ad (Figure 14) also shows the picture of a loving Chinese couple, who, in this case, has newly moved in a Western style apartment. Their Western style outfits suggest that they emulate global consumption behaviors. The background, however, is a montage of Chinese old lifestyles,

old buildings and old people—scenes, which arouse the Chinese audience's nostalgia feelings for the "good old days" they have been through. In a more explicit manner, the ad by China Netcom (CNC) Company (Figure 15) shows the Chinese consumer's happy embrace of global technology. While wearing his old-fashion Tang costume, the old man does not find the high-tech mobile phone conflicting with his old lifestyle. Instead, he looks at ease and satisfied with the combination. Again, the global and the local are harmoniously infused in this ad.

A glimpse at the local ads indicates that local advertising adopts similar strategies to those of global advertising in China: both strive to make their products and brands represent globalized and localized realities and infuse both global and local styles.

Discussion and Conclusion:

Through tracing the two distinct developmental phases in Chinese advertising history and analyzing specific foreign and local ads, my study shows that advertising in China reflects the country's encounter with global cultures, especially at the consumer markets in different eras. As reflected in my analyses of the sample ads, advertising in China reflects modernity and sheds light on the process of the local interacting with the global and vice versa. Such interactions are more accurately accounted for by the theory of glocalization than with that of globalization. More specifically, the strategies and practices employed by the foreign and local advertising indicate that both globalized and localized representations are infused in advertisements to appeal to the local consumers.

Advertising's harmonious integrations of global and local traditions, cultural values and lifestyles suggest that when the local consumes the global commodities, there is not necessarily homogenization or heterogenization involved, as the contestants of globalization would argue otherwise. Among other things, when the local consumes the global products and emulates the global consumption behaviors, it neither abandons its own culture, tradition and heritage, nor does it become a passive receiver of global ideas. Rather, the local has "the power to adapt, innovate, and maneuver within a glocalized world" ((Ritzer, 2004, p.77). Thus in the process of glocalization, as my examination of advertising in China shows, the relationship between the local and global turns out to be dialectical and dynamic, with both integrated to create a changing world of diversity and hybridity.

Whereas the main purpose of my study is to join the intellectual conversation of globalization vs. glocalization, the tentative conclusions I make about advertising in China remain exploratory. Since I am using the small amount of ads to illustrate my arguments rather than test or develop them, I at times rely on subjective interpretations. Therefore, further empirical study is needed to support the validity and generalization of my conclusions. Also, further work on a larger sample of ads is warranted to support and challenge my findings. On the other hand, the interpretations given stem from the researcher rather than the audience. This suggests that an audience response approach will help better understand the effectiveness of localized global appeals.

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Three Préludes of Olivier Messiaen: Studies in Color

Performing Arts
Lecture-Recital

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ABSTRACT

French composer Olivier Messiaen (1908-92) is well known for his affinity for sound-color associations in music. His innate ability to relate musical sound with complex color schemes led to the creation of a unique musical language.

This presentation features a performance of three of Messiaen's Préludes for piano as follows: *La colombe* (The Dove), *Plainte calme* (Gentle Sorrow), and *Un reflet dans le vent* (A Reflection in the Wind). Messiaen himself said that the titles of his préludes "conceal studies in color," and provided vivid and specific color descriptions for each one.

In an effort to help audiences gain a greater understanding of the coloristic aspects of Messiaen's music, this presentation combines visual images together with a live performance of the above-named préludes. The visual images are the result of a collaboration between the presenter and Professor Ann Roth, a faculty member in the Art Department of Meredith College in Raleigh, North Carolina, USA. Professor Roth teaches a course called Color Theory that includes an exploration of the relationship between music and color. We agreed that it would be interesting to see the kinds of images that might be produced by students who had no preconceptions about the color schemes Messiaen claimed to evoke in his music. Professor Roth spoke briefly to the students about Messiaen's fascination with sound-color relationships, but consciously avoided mentioning any of the specific color schemes he refers to. The students then heard a recording of the pieces, and were asked to create pieces of abstract art that captured the music in color.

This presentation is a form of performance art that combines a live performance of Messiaen's three preludes, carefully timed and choreographed with a slide show of the student-produced images elicited by his music. The performance will be preceded by a more in-depth discussion of Messiaen's musical language, with particular emphasis on the sound-color phenomenon.

1. title: The lion talk and the fish happiness
---- Wittgenstein and Zhuangzi on understanding animals

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6. abstract of paper

In this paper, I show that it is both Wittgenstein and Zhunagzi's shared view that animals' forms of life are not sharply differentiated from humans' forms of life. Instead, there are overlappings between them in various degrees. This belief is one of the elements that make it possible to speak of understanding animals in a philosophically significant way. Through a discussion of Wittgenstein's enigmatic remark "If a lion could talk, we could not understand him", and of the famous passage on the fish happiness in the *Zhuangzi*, I aim to reveal the following central insight of both philosophers'.

Animals do not talk. This is not because of a lack of mental capacity, but simply because it belongs to their forms of life that they simply do not talk in the way humans do. However, language is not the sole factor which determines communicating with and understanding other beings. It is part of our forms of life that we enjoy the view of animals, that we get into close contact with their forms of life. On the basis of our sharing and attending towards animals' forms of life, we can speak of knowing the belief, fear, anger, grief, and so on of animals. Understanding is never a purely linguistic issue. Not only in regard to animals, but also in regard to human beings, understanding turns most fundamentally upon sharing and attending to forms of life.

The lion talk and the fish happiness
---- Wittgenstein and Zhuangzi on understanding animals

Ma Lin (University of Leuven)

"If a lion could talk, we could not understand him" (PI, p.190). This is one of Wittgenstein's enigmatic remarks in part two of the *Philosophical Investigations*. It is also one of the rare occasions where a Western philosopher touches upon the question whether and how human beings can understand animals. While this observation is made in a puzzlingly subjunctive negative mode, Zhuangzi, a Chinese philosopher living in the fourth century B.C., speaks of the fish happiness as if he personally participates in it. Do the sense of inaccessibility of the lionese and the immediate grasp of the fish joy represent two fundamentally different attitudes towards the relation between human beings and animals? In this paper, I show that it is both Wittgenstein and Zhunagzi's shared view that animals' forms of life are not sharply differentiated from humans' forms of life. Instead, there are overlappings between them. This belief is one of the elements that make it possible to speak of understanding animals in a philosophically significant way.

In the Western philosophical tradition, language has always been regarded as central in understanding and communicating with one another among human beings. It is taken as the key feature of being human. This is also the essential feature that radically distinguishes human beings from animals. It is considered that there exists an abysmal gap between humans and animals. There is no way of a genuine communication between these two species. This radical anthropocentrism regards talking of communicating with animals as senseless.

One might think that Wittgenstein's lion talk underscores the gap between humans and animals insofar as it suggests that we would not understand a talking lion. However, this remark has to seen in the light of Wittgenstein's philosophical orientation concerning language and forms of life. The later Wittgenstein develops a

view of language and understanding that opposes the traditional view referred to in the foregoing. He relates linguistic activities closely to variegated ways in which we lead all kinds of forms of life. As he states in the *Philosophical Investigations*, "the speaking of language is part of an activity, or of a form of life [*Lebensform*]" (PI, § 23). For Wittgenstein, it is wrongheaded to dissociate linguistic utterances from the actual life situation where it belongs and then gloss it over as an abstract phenomenon of language or discourse. From his perspective, language can only be made sense of against a certain concrete background of human everyday life.

Forms of life refer to particular patterns or processes of actions and reactions happening in our mundane world. Wittgenstein refers to forms of life as "the given": "What has to be accepted, the given is – so one could say – forms of life" (PI, p. 192). The notion of forms of life expands a much broader spectrum than language-involving practice. The phenomena of language-related activities, for Wittgenstein, do not exhaust the multiplicity of forms of life. There are an unlimited number of forms of life which do not involve linguistic means. As Wittgenstein states, "Commanding, questioning, storytelling, chatting, are as much a part of our natural history as walking, eating, drinking, playing" (PI, § 25). He does not grant such forms of life as commanding, questioning, storytelling, chatting which comprise linguistic means a higher status than such non-linguistic forms of life as walking, eating, drinking, playing. All these forms of life, in their different capacity, constitute integrally our daily multifarious way of being.

Wittgenstein's vision of seeing language in the light of mundane human life, and setting linguistic and non-linguistic activities on the same plane breaks loose the deep-rooted trap of logocentrism of the Western intellectual tradition. This way of looking at the role of language opens up an alternative view of how humans relate to animals. Wittgenstein writes,

> It is sometimes said that animals do not talk because they lack the mental capacity. And this means: "they do not think, and that is why they do not talk. But – they simply do not talk. Or to put it better: they do not use language –

> if we exclude the most primitive forms of language. – Commanding, questioning, storytelling, chatting, are as much a part of our natural history as walking, eating, drinking, playing. (PI § 25)

It is significant that Wittgenstein puts his remark about the equality between linguistic and non-linguistic activities, or forms of life, right after his remark on animals' non-talk. This significance resides in the paralleling of animals non-linguistic way of being and humans' non-linguistic activities such as eating, drinking, walking, and playing. This is not to say that one can speak of animals' eating, drinking, walking, and playing in exactly the same sense as those phenomena found with humans. The importance of this paralleling is that one can find justification to extend the notions of form of life to apply to animals. Shedding off the trap of anthropocentrism which emphasizes the unique status of human beings as essentially superior to that of animals, one can perceive intersections between human forms of life and animals' forms of life.

The prevailing attitude towards animals' non-talk attributes animals' not possessing a language to their lack of mental capacity. Wittgenstein reverses this picture and suggests that animals' non-talk should be regarded as a plain feature of their forms of life. Language as such cannot be considered as the sole factor in determining understanding and communication.

It is in such a context of an interpretation of Wittgenstein's view of language and forms of life that we can properly comprehend his enigmatic saying, "If a lion could talk, we could not understand him" (PI, 190). It is not the case that we can get any further in apprehending animals if they would possess something like a natural language. Understanding, not only in regard to animals, but also in regard to human beings, is never a purely linguistic issue.

A certain puzzle related to this lion remark is that it is quite common for people to speak of an animal's language, and of understanding what the animals are saying. "Do you understand what the bird is saying?" "Yes, she's saying that she wants some crumbs." Wittgenstein has noted this form of animalese in the passage quoted above,

saying that "[animals] does not use language – if we exclude the most primitive forms of language" (PI §25). It is certainly not this kind of animal talk that he denied so firmly and confidently its accessibility to humans. When he says that animals do not talk, he is obviously not referring to this primitive animalese. His emphasis is that animals do not have in their forms of life something like the human language to which such categories like subject and predicate would apply.

Thus, when Wittgenstein remarks that "if a lion could talk, we could not understand him", surely he is not assuming a kind of primitive lion speech which consists of a lion's growls and grunts. Now, could what Wittgenstein have in mind an imaginary lionese comparable with a natural language, or simply any of the natural languages, like English, German, French, or Japanese? If what Wittgenstein is presuming is a lion who talks in the ordinary sense of using a language, then it does not make much difference whether the imaginary lion is speaking his own lionese or one of the human languages. In a while we will come to see a plausible answer to this puzzle.

A second puzzle attending the lion remark concerns the question whether Wittgenstein claims as incomprehensible solely the articulation of the lion or he withholds any intelligibility of the lion's forms of life to human beings. The lion remark can be rephrased differently according to these two interpretations. According to the first interpretation, Wittgenstein could be saying, "If a lion could talk, we could not understand what he says." Thus, what Wittgenstein disclaims as impenetrable does not go beyond the specific imaginary speech of the lion. This reading leaves unaddressed the question whether and how we can understand and communicate with the lion. A question which can raised with this reading is that if a lion is really using a language as humans do, why should Wittgenstein refuses to grant the intelligibility of his utterances?

According to the second alternative, the lion remark might be saying, "We cannot have access to a lion's mental state. We cannot know what he is thinking or feeling. Even if he could speak, still we could not understand him." This reading completely denies our access to a lion's forms of life, and so the remark on a talking lion amounts

to no more than an insignificant addition to the allegation of his incomprehensibility. This reading, I shall argue, is far away from what Wittgenstein could have intended.

A look at the context of the passages where the lion remark appears will help us to see the points Wittgenstein wants to make. That comment occurs at a culminating point of a succession of discussions aimed at showing the misguidedness of the idea that mental states such as thought, intention, and sensation are fundamentally different from physical phenomena in that the former are hidden in one's mind while the latter are laid open to direct observation.

Wittgenstein invites us to imagine that there was someone who always guessed right what "I" was saying to myself in my thoughts. The problem would be the difficulty of establishing a criterion for this guessing right. Do "I" always know what I am saying to myself? Might my memory deceive me? Might "I" make mistakes? The possibilities of giving negative answers to these questions become more obvious when "I" express what "I" have been thinking. Wittgenstein concludes, "now it does appear that 'what went on within me' is not the point at all." He adds in the brackets after this conclusion, "Here I am drawing a construction-line" (PI, p. 189).

For Wittgenstein, the idea of the inner as hidden and impenetrable is misleading in our understanding of the application of psychological terms such as thinking, intending, feeling pain and so on. It cannot assume the status of the ultimate criterion for employment of psychological words, because there are no such intangible and unequivocal states which exist prior to their articulation. The construction-line can only be drawn amidst our complicated forms of life.

In another passage, Wittgenstein describes such a game of "guessing thoughts": "I am putting a jig-saw puzzle together; the other person cannot see me but from time to time guesses my thoughts and utters them. He says, for instance, "Now where is this bit?" – "*Now* I know how it fits!" – " I have no idea what goes in here," – "The sky is always the hardest part" and so on – but *I* need not be talking to myself either out loud or silently at the time" (PI, p. 189, italics original). When one is putting up a jigsaw, one does not have a clear picture in mind where bits of jig-saw will be fit. What the picture will turn out to be can only be shown by the step-by-step fitting

together of fragments of pieces.

"If I see someone writhing in pain with evident cause I do not think: all the same, his feelings are hidden from me" (PI, p. 190). One's feelings show themselves in such subtle body expressions as twisting about, groaning, and moaning. In another place Wittgenstein refers to such subtle body expressions as "fine shades of behaviour [*Abschattungen des Benehmens*] (RPP II, 616)". "'I cannot know what is going on in him' is above all a *picture*. It is the convincing expression of a conviction. It does not give the reasons for the conviction. *They* are not readily accessible" (PI, p. 190, italics original). The expression of "inner thought", for Wittgenstein, is a kind of picture, or a language-game. It is used to describe our attitudes towards how we are related to other beings (either human beings or animal beings). Nevertheless, it cannot support any significant conclusion in regard to our capacity to understand them.

The lion remark occurs immediately following the last quoted passage, "If a lion could talk [*sprechen*], we could not understand them". Interpreted according to the topic of what precedes this observation, what the lion would be talking about might most probably resemble a kind of report of his inner thought, the presumably hidden mental states. Since this kind of talk relies upon an appeal to the idea of mental states as hidden which is assumed to be the sole criterion for attribution of psychological words, it may well turn out that the lion's behaviour be at odds with what he is saying. A speaking lion under such a supposition would be comparable to a parrot uttering words and sentences of an existing human language. The fragments of her utterances may be recognizable, but there will not be an inherent link between what they say and how she is behaving. Rather, there might be an enormous disparity between the two. For example, a parrot could be saying, "I'm hungry now" while at the same time she refuses to eat anything that is offered. She could be saying "I want to go to sleep" while all she is doing is just taking pleasure in repeating the very babble.

Taking into regard the specific context in which the lion remark appears, Wittgenstein could not be imagining a lion who is using a language which is constitutive of his forms of life, either a hypothetical lionese or a natural language. The lion talk refers specifically to the odd utterances of the lion consisting of

expressions of mental states which do not cohere in a consistently way with his forms of life. Thus, the reason why we could not understand his speech is because of its abstraction from his forms of life. To understand the intention, sensation and thinking of a lion, one can only make appeal to the lion's nuanced manners of body positions, growls, focus of eyes, and so on. Words for mental states do not depend for their application upon whether such states at issue are articulated linguistically or not. An imaginary lion's speech would not help in getting to know the lion. This recalls Wittgenstein's remark cited earlier, "now it does appear that 'what went on within me' is not the point at all" (PI, p. 189).

The saying that we cannot understand the lion because it does not talk is groundless. It is, as Wittgenstein says, a "picture", "'I cannot know what is going on in him' is above all a *picture*. It is the convincing expression of a conviction. It does not give the reasons for the conviction. *They* are not readily accessible" (PI, p. 190, italics original). People who disclaim the intelligibility of lion's forms of life are not so much asserting a truism as resorting to the use of a picture in which the lion is presented as unfathomable. This saying is implicated in the sayers' conviction of various versions of anthropocentrism.

Compared with, Zhuangzi seems to be less restrained in articulating a vision of the world wherein both humans and animals are equal protagonists. In chapter two entitled "Discussion on the equality of all things", Zhuangzi talks about the standards for dwelling places of living, for taste, and for beauty in reference to a variety of animals:

> When a human sleeps in the damp his waist hurts and he gets stiff in the joints; is that so of the loach? When he sits in a tree he shivers and shakes; is that so of the ape? Which of these three knows the right place to live? Humans eat the flesh of hay-fed and grain-fed beasts, deer eat the grass, centipedes relish snakes, owls and crows crave mice; which of the four has a proper sense of taste? Gibbons are sought by baboons as mates, elaphures like the company of deer. Loaches befriend fish. Mao Qiang and Lady Li

> were beautiful in the eyes of humans; but when the fish saw them they plunged deep, when the birds saw them they flew high, when the deer saw them they broke into a run. Which of these four knows what is truly beautiful in the world? (CT, p. 58, translation modified)

A loach dwells in a place where humans will suffer from staying; an ape enjoys playing around on a tree where humans will be afraid of sitting, and so there cannot be an absolute judgment about the right place to live. The flesh of beasts is humans' food, while the deer eat the grass, centipedes like to have snakes, owls and crows live on mice, and so there cannot be only one proper sense of taste. The beauty of Mao Qiang does not make any sense to the fish, nor to the birds, nor to the deer, and so what is beautiful depends on the relative audience.

Zhuangzi feels no scruples in referring to a multiplicity of species of animals in his discussion of philosophical issues. The role animals play in his argument is not restricted to a matter of analogical reasoning. Zhuangzi pays attention to different ways of being of animals which he thinks worthy of taking into consideration. His insight is intrinsically connected with a view of the cosmos which is fundamentally opposed to anthropocentrism. That different species have different ways of being does not entail an epistemological relativism that would thwart possibilities of cross-species understanding.

In the conversation on the fish happiness, Zhuangzi shows vividly how one can achieve an understanding of animals.

> Zhuangzi and Huishi were strolling on the bridge above the *Hao* river when Zhuangzi exclaimed, "how the minnows come to and fro strolling around where they please! That's the fish happiness!"
>
> Huishi interrogated, "You are not a fish. Whence [*an* ？, also meaning 'how'] do you know the fish happiness?"
>
> Zhuangzi said, "You are not me, whence do you know that I don't know the fish happiness?"

Huishi asserted, “I’m not you, so I certainly don’t know about you; While you are certainly not a fish, so you don’t know the fish happiness. The case is completed thereof.”

Zhuangzi said, “Let’s go back to where we started. When you said, ‘Whence do you know the fish happiness?’, you’ve already known I know it before asking me the question. I know it from up above the *Hao* river.” (CT, p.123, translation modified)

The word *an* ？ has both meanings of “where, whence” and “how”, the second one being the derived meaning. Zhuangzi may appear to be playing on a trick with the double meaning of *an*. In the first round of their conversation, Zhuangzi seems to have dodged Huishi’s challenge as to *how* he gained access to the fish’s psychology by applying the form of this challenge to an analogous case of Huishi’s access to the mental state of Zhuangzi. Faced with Huishi’s triumphant conclusion about double non-access, Zhuangzi in the second round of conversation twists Huishi’s questioning into one about “whence, where” by providing an answer which purports to be one in terms of locale, instead of in terms of access to the psychological state of the fish. This is the one of the conventional interpretations of this passage in which Huishi represents a sophisticated disputant who relies on reasoning while Zhuangzi appears to be a sophist who takes advantage of duplicity of the meaning of a word.

However, on a closer analysis, Huishi does not really win the argument, and Zhuangzi’s witty response can be coherently interpreted along with rendering the meaning of *an* consistently as “whence”. As one who likes reasoning, Huishi takes Zhuangzi’s spontaneous utterance about the fish happiness as an epistemological assertion and so interrogates its validity: “You are not a fish, whence do you know the fish happiness?” Responding to Zhuangzi’s analogous challenge “you are not I, whence do you know I don’t know the fish happiness”, Huishi asserts in a positive way, “I’m not you, so I certainly don’t know about you; While you are certainly not a fish, so you don’t know the fish happiness. The case is completed thereof.”

Huishi’s conclusion involves an inner-contradiction. “I’m not you, so I certainly

don’t know about you .” What is it that Huishi claims to know about Zhuangzi? It can be either that “I don’t know that you know the fish happiness”, or that “I don’t know that you don’t know the fish happiness”. Therefore, a suitable re-formulation of Huishi’s remark would be that “I don’t know whether you know the fish happiness”. In this light, the possibility that Zhuangzi knows the fish happiness stays open. This causes a problem for the latter half of Huishi’s assertion: “you are certainly not a fish, so you don’t know the fish happiness”. If the possibility of Zhuangzi’s knowing the fish happiness cannot be denied, then Huishi cannot be in a position to adjudicate unequivocally that Zhuangzi does not know the fish happiness.

As a matter of fact, the ambiguity embedded in Huishi’s interrogation makes its appearance already in his first questioning: “You are not a fish, whence do you know the fish happiness”. This questioning can be taken in two ways. The first is related to an image of Huishi as an incredulous censor for Zhuangzi’s claim. The implication of Huishi’s questioning is unfolded in his second move: What I’ve said means that you, Zhuangzi, do not know the fish happiness. The second way of interpreting Huishi’s challenge is connected with an image of Huishi as a sympathetic and responsive conversant: Yes, at your exclamation I see that the fish are happy. But my argumentative instinct urges me to ask you a “whence”, a justification of your observation. Nevertheless, this questioning is apart from a denial of your knowledge of the fish happiness. Zhuangzi begins his response first by a counter questioning of “whence do you know that I don’t know”. This counter questioning is in fact a tactful way of inviting Huishi to reflect upon his own utterance and thus bringing out the sympathetic side of Huishi. If this strategy succeeds, Huishi would have said the following in the second round of conversation, “Well, in saying that, I don’t mean that you don’t know the fish happiness.”

Seeing that this strategy fails to bring Huishi to reflect on the import of “whence”, Zhuangzi returns to the original ambiguity of Huishi’s first interrogation. This time in an assertive manner. Taking Huishi in the image of generosity, Zhuangzi reminds him of the reality of the scene in which they enjoying by providing an answer about the “whence”. This answer can be elaborated in the following way: “You ask me whence

do I know the fish happiness precisely because you share my view of the fish who are swimming, or strolling, like you and me, so freely and leisurely. So of course you know already that I know that the fish are happy, as you yourself know as well. If you do need an answer to the question of "whence", I know it from above the river *Hao*! here and now, together with you Huishi; it is also from here and now that you, my friend Huishi, have been enjoying together with me the beautiful scene of nature and the joyful charting around of the fish."

Through uncovering the weakness of a quasi-relativistic position taken by Huishi, Zhuangzi's attitude towards achieving an understanding of animals is laid open in a certain way. The whole story can be recapitulated in the following.

The scene is one in which Zhuangzi and Huishi are taking a stroll [*you* ?] above the *Hao* river. The fish are also taking a stroll [*you* ? , meaning "swim" in modern Chinese] in the water, though in quite a different manner because their dwelling place is water. Capturing the sight of their enjoying leisure and freedom, Zhuangzi cannot help but exclaiming, "how the minnows come to and fro strolling around where they please! That's the fish happiness!" In exclaiming this, Zhuangzi assumes that Huishi is also enjoying the view of the joyful fish as well as the leisure of their stroll. The word "whence" points towards the particular circumstance of their exchange of words: above the *Hao* river, and also to the very concrete forms of life both the humans Zhuangzi, Huishi, and the fish are taking pleasure in: strolling.

Above the *Hao* river, where the fish enter into their view, the human forms of life of strolling and taking delight in nature, and the fish forms of life of swimming (strolling) around carelessly coalesce into one picture. It is a picture in which different forms of life intersect with one another. This does not mean that differences between the human form of life and the fish form of life are cancelled. The point under consideration is two-fold. First, both differences and similarities can be found between humans' pattern of life and animals' pattern of life. Second, one can obtain an understanding of animals on the basis of attending to their "fine shades of behaviour" (RPP II, 616). Zhuangzi's acclaim is elicited by the particular manner of the fish's stroll in the *Hao* river, and he starts his acclaim by a description of the

manner of the fish's stroll.

In this paper, I have used Wittgenstein's terminology forms of life to elaborate upon Zhuangzi's passage on the fish happiness. It is my view that both of them share the fundamental insight that there is no an abysmal distance between humans and animals. There are also situations in which human forms of life coalesce with that of animals. With the number of pets, zoos, safaris, and natural protection areas for animals keep on growing, human beings living an urban life are getting into closer contact with animals forms of life. It is part of our forms of life that we enjoy watching animals, stroking them and even talking to them. On the basis of our sharing and attending towards animals' forms of life, we can speak of knowing the belief, fear, anger, grief, and so on, of animals.

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1) *The Cultural Shaping of an American Small Town:*
The Whittemores of Naugatuck, Connecticut

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6) Abstract:

The Cultural Shaping of an American Small Town:
The Whittemores of Naugatuck, Connecticut

The first time James McNeill Whistler's *Symphony in White, No. 1*: *The White Girl* (1862) hung in a private interior – beyond the artist's own studio and home – was over the central staircase at 339 Church Street in Naugatuck, Connecticut circa 1892. In a McKim, Mead and White house called "The Anchorage," American industrialist, art collector and philanthropist, John Howard (J.H.) Whittemore and his son Harris amassed one of the earliest American collections of late nineteenth century European art at a time when Americans were generally doing no such thing.

Naugatuck itself is a visual testimony to the wealth and public interest held by the Whittemores. During the late nineteenth and early twentieth centuries, the Whittemores commissioned eleven downtown buildings from McKim, Mead and White, which were complemented by a well-defined public green, public statuary and a fountain. Most of these buildings still stand, though the contribution of the Whittemores to the physical, visual and

cultural environment of Naugatuck is generally unknown outside of scholarly circles and is greatly undervalued. In fact, one would be hard pressed to find another American town that has forgotten its spectacular cultural history so easily.

In an area of Connecticut long known only for its role in the rubber, malleable iron and chemical industries, and of its eventual collapse and environmental degradation, Naugatuck is currently working to shape a new identity (as well as find new sources of employment and income), based on pride of place and history. In tandem then with the very recent founding of the Naugatuck Historical Society, it is appropriate to look at the unique civic and cultural milieu created by the Whittemore family. I am interested in beginning to trace the complex relationship that existed and still exists in this small, post-industrialized town.

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Music Concerns: A research proposal on musical performance.

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Music Concerns: A research proposal on musical performance.

ABSTRACT

One of the challenges faced by a musician interpreter when running across a work never played before is the fact that most of the time he has only the score as a reference. One way of supplying that deficiency would be through theoretical sources about pre-existing interpretations not only in recordings but also in written text. This is a doctoral research with the main objective of performing and recording the Sonatinas for piano by the Brazilian composer Almeida Prado with the analytical-theoretical results obtained, emphasizing the importance of eliminating the deficiency of bibliography in the area. Those pieces are submitted to a process of study stages oriented by Professor Rafael dos Santos at the Campinas State University. The stages are: before the contact with the composer, an initial identification of some musical parameters that propitiate the practicing of a movement; a perceptive analysis, and, with the obtained results, a recording and a written text. Contacting the composer, information is obtained about his point of view of the piece, generating a comparative analysis. The results are shown as a revised interpretation on a recording and written text. A musical analysis of the scores will also be developed oriented by Professor Joseph Straus at the City University of New York. We should stress that the interpreter's thoughts about the pieces have a great value at all times and will contribute to the final recording and dissertation, which will consider all the research and analysis done. In this article, the results presented are from the first movement of the Sonatina n.1. The research is underway and seeks to contribute with more information for the bibliography on performance research, emphasizing three works

by an important Brazilian composer. Almeida Prado is characterized as one of the composers that illustrate the tendencies of Brazilian music from the post-nationalist period. His works have been presented in Paris, London, Switzerland, United States and are very well received by the public and the critics. He is famous for experimenting new sounds in the resonance realm of music, being timbre one of the elements. Almeida Prado names those studies as *música transtonal*. The preliminary results obtained through this doctoral work have brought rich information for the interpreter of Almeida Prado's compositions and have shown the value and importance of the research proposal in musical performance.

Music Concerns: A research proposal on musical performance.

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Introduction

One of the challenges faced by a musician interpreter when running across a work he has never played before is the fact that most of the time the score is his only reference. One way to contribute to future interpreters is to provide more theoretical resources about pre-existing interpretations in recordings and in written text. Fausto Borém makes comments on the need to the increase the number of researches:

> "One of the most serious problems in the teaching of musical performance is the tradition from instrument, singing and conducting teachers that not document their reflections about the experience of how to make and how to teach music. In the world of concert music, great instrumentalists, singers and conductors remain as an inaccessible memory to the subsequent generations who did not have the opportunity to hear them while they were active as interpreters and teachers." (BORÉM, 2000:143)

The composer's suggestions also add to the bibliography of his work and they provide the interpreter with more ideas for the renewal of interpretations. To develop this research I have had the privilege to work with one of the most prolific and important composers from Brazilian contemporary music: Almeida Prado. The pieces studied are his three Sonatinas for piano solo.

We suggest in this work a methodology based on study stages. Before any contact with the composer, only with the interpreter's point of view, an initial identification is done of some musical parameters that propitiate the practicing of a movement, later a perceptive analysis, and, with the obtained results, a recording. It is important to stress that, during that stage, it is possible to notice the experience and the knowledge that the interpreter brings along from other pieces. In class with the composer, I obtain information about his point of view of the piece. Then, a comparative analysis between the results before and after the contact with the composer is shown in a recording with the new data. For the final recording's making the interpreter's personal conclusions are taken into account. Basically, the presented opinions are the ones of two pianists and the one of the composer. That doesn't mean that others cannot be considered, therefore it is right that the beauty of the interpretation is exactly the fact that many points of view can be found, bringing rich contributions to the work. As Edward Cone says, on what it is found through the analysis of a piece and different points of view:

> "Even the performance that seems a revelation can become monotonous through the repetition. It is for that that recorded performances lose their attraction unavoidably and, eventually, they become unbearable." (CONE, 1968:35)

The research in musical performance is still a controversial field in foreign countries and has been having special attention from teachers in Brazil. One of the main subjects pointed out discuss the value of analysis for performance. Joel Lester agrees with Wallace Berry that shows in his book *Music Structure and Performance* that "the knowledge of the musical structure can and should build the performer" (LESTER, 1992:76). The subject is

about the role of intuition. According to Lester, intuition exists as much as to the motivation of the analysis process as for the performers in the interpretation of a work. However, only the analysts communicate it through conscious processes (LESTER, 1992:76). According to Wallace Berry, pure intuition is not enough to the understanding of the whole (BERRY, 1989:217-18).

The idea of a method of comparative analysis with recordings was based on an experiment done by Cristina Capparelli Gerling that also mentions the subject on the analysis for performance:

> "Even if in certain surroundings of ignorance prevails the idea that the interpretation just depends on a sharp intuition more by the experience and mechanical familiarity accepting the results obtained by repeated mistake attempts and success as the only way to the full artistic accomplishment, a significant number of authors such as Berry, Dunsby, Cone, Cook, Rosen, and Schmalfeldt has been trying to demonstrate the crucial importance of the knowledge of the structure, therefore of the analysis, in the interpretative process." (GERLING, 1995:2)

Jonathan Dunsby, one of the authors mentioned above, emphasizes that with the music of the twentieth century, the need of knowledge for performance is even more evident, because it requires from the interpreter the assimilation of notations, techniques and different technologies (DUNSBY, 2000:19). However, after attending his lectures I noticed that Dunsby gives importance to other types of analysis for performance, being the perceptive one of them, when he talks about "The Sound of Music".

> "I insist that music makes us think about performance or as performers and it is certainly nothing less than the sound that stimulates our meditation, our speculation, desire to understand." (DUNSBY, 2000:59)

Once Dunsby talks about that "desire to understand" I think as an interpreter that, yes, we have conscious processes during the study of a work. When an understanding is sought, reasoning needs to take action, specially when we try to find solutions in the realm of piano technique, many times a performer's subject of interest. Also everything that was said about the value of the analysis for performance is true and it comes to complement the knowledge about a work.

History

Almeida Prado studied about other composers and he always showed the enthusiastic will to discover new music elements on resonance and structure in contemporary music. Born in February 8, 1943 in Santos, the Brazilian composer José Antônio de Almeida Prado is a descendant of one of the most illustrious families of São Paulo, Brazil. He began to study piano at an early age influenced by his mother and sister and started composing almost at the same time. Now he is characterized as one of the composers that illustrate the tendencies of Brazilian music from the post-nationalist period. Almeida Prado's works have been presented in Paris, London, Switzerland, United States and are very well received by a specialized public and the press (MARIZ, 2000:391). Nadia Boulanger, one of his teachers, had a clear influence in his works on

the subject of form in music (MARIZ, 2000:392). Consequently, it is possible to conclude that his Sonatinas might have formal points in common with other Sonatinas.

Revising the Sonatina's history, we found information firstly on what preceded it. The term Sonata exists since the thirteenth century ("sonnade"). In a play from 1486 the sentence "Orpheus fera ses sonnades" is indicated on a stage action (WEBSTER, 2001:671). In the beginning of the seventeenth century, that was considered a vague term to designate instrumental pieces, being two melodic instruments such as the violins with a continuous bass the most employed (GROUT & PALISCA, 1988:458). Starting from 1750, the sonatas are characterized as independent pieces with three to four separate movements (WEBSTER, 2001:671). Regarding the formal content it can be said that the "sonata form" was chosen by theorists in the second half of the nineteenth century as the most important one found inside one or more sonata movements from the end of the eighteenth century and the beginning of the nineteenth century (ROSEN, 1988:1). However, according to Charles Rosen the titles of the writings do not define that form as a way to understand the music of the past, instead it is considered a model for new works (ROSEN, 1988:3). This fact can be better explained through the influences found in formal writings by recent composers.

Sonatina is the term used to indicate a short sonata and of smaller difficulty. The reduction in the extension of the work happens mainly in the part commonly designated by the term "development", usually in the first movement. In the seventeenth and eighteenth centuries the Sonatina was used most of the time as an instrumental introduction of a vocal work. Developed at the end of the eighteenth century, during the Classical Period, it was composed mainly for piano solo or with two or more instruments.

Beethoven and Mozart composed Sonatinas, but they can still be more associated to composers with pedagogical purposes such as Clementi, Diabelli, Dussek and Kuhlau. During the romanticism they were forgotten and in the twentieth century were rescued by important works of composers such as: Bartók, Busoni, Prokofiev and Ravel (WEBSTER, 2001:701).

Almeida Prado composed ten Sonatas for piano that have been analysed and studied. In my contact with the composer, he mentioned the existence of his three Sonatinas, being the last two quite recent inside of the Brazilian contemporary piano repertoire. Almeida Prado, besides being an important Brazilian composer, is also an excellent pianist.

Study Stages Results

Sonatina n.1, first movement- Almeida Prado (1966) – Santos, Brazil.

The musical parameters chosen to be identified in the three movements are:

a) general structure and thematic material.

b) harmony.

The elements for performance:

c) tempo and dynamics.

d) articulations: accentuations and slurs.

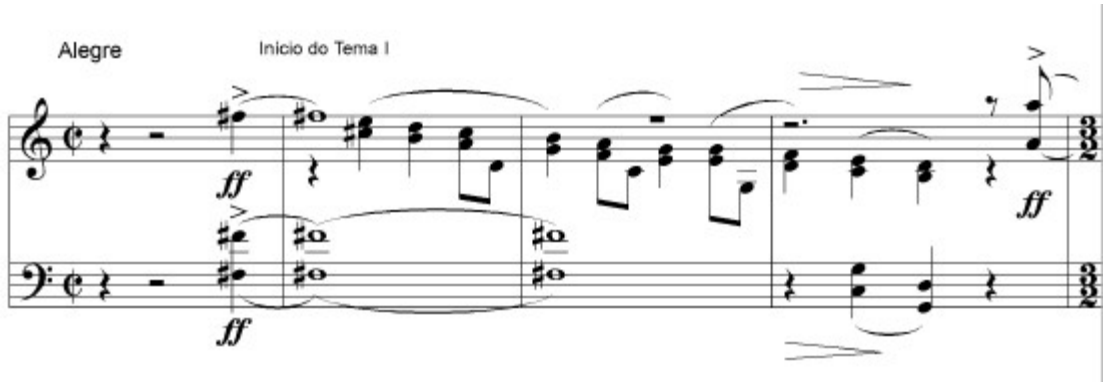
This article will present the results from the first movement of the Sonatina n.1.

Stage I

Identification of musical parameters: **a) general structure and thematic material.**

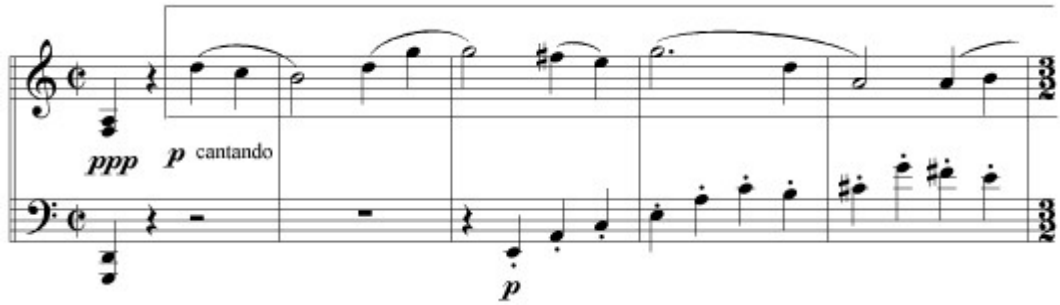
It is possible to notice the presence of two themes:

Theme 1 (Example 1).



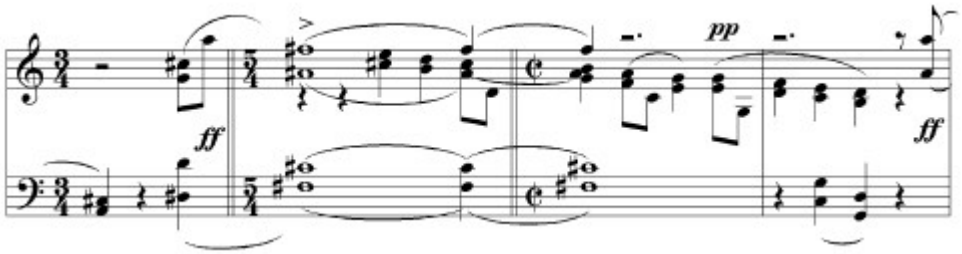
Example 1 - Beginning of Theme 1 (measures 1-4) - *Sonatina n.1*, 1st movement by Almeida Prado

Theme 2 (Example 2).



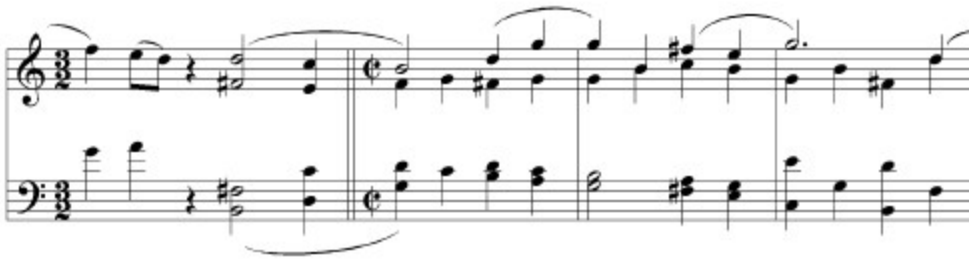
Example 2 – Beginning of Theme 2 (meas.14-18) - *Sonatina n.1*, 1st movement by Almeida Prado

Theme 1 returns from measure 52 to 60 (Example 3).



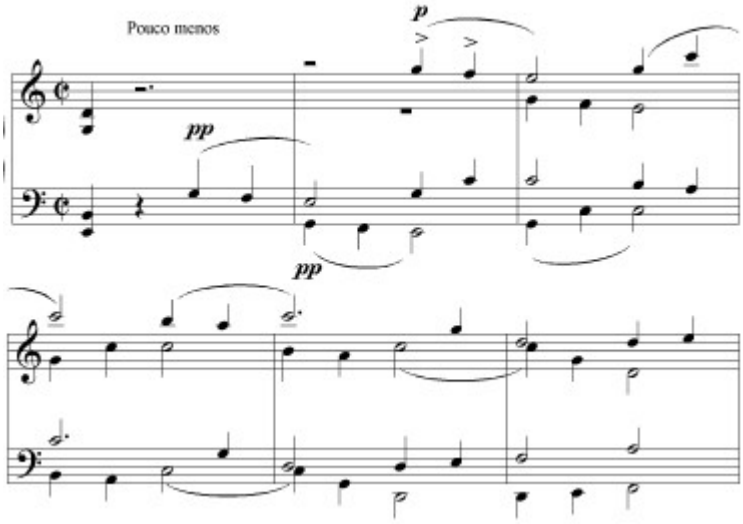
Example 3 - Beginning of Theme 1 (meas.52-55) - *Sonatina n.1*, 1st movement by Almeida Prado

The accompaniment's texture of Theme 2 varies twice. The first time, as a four voice choral with the theme (Example 4).



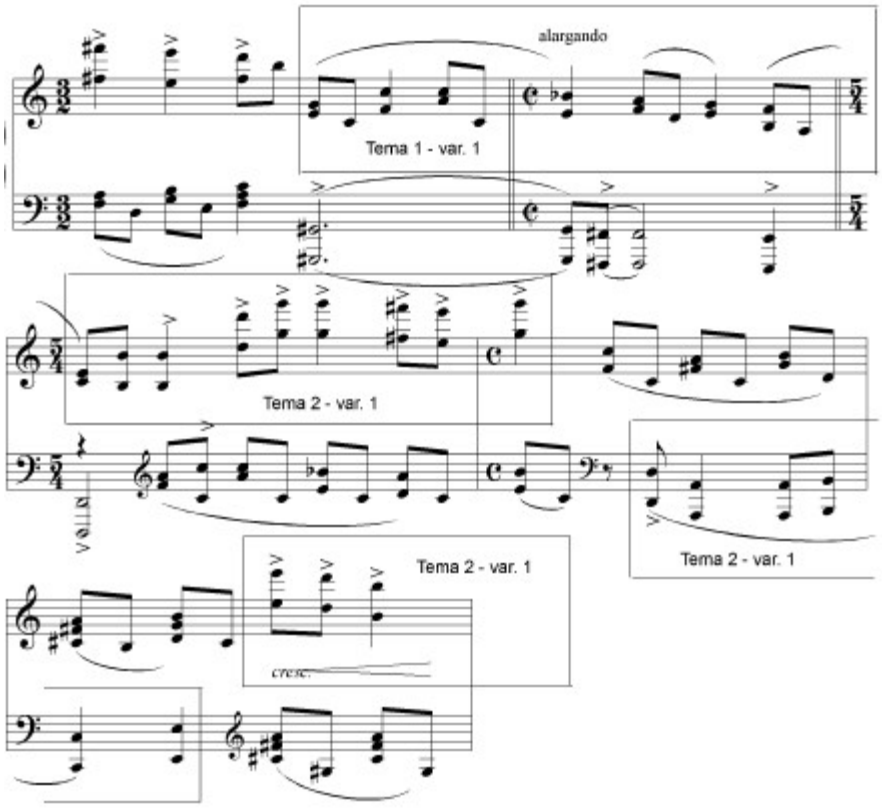
Example 4 - Part of the 1st. Variation in the accompaniment's texture of Theme 2 (meas.24-27) - *Sonatina n.1*, 1st movement by Almeida Prado

The second time, a canon (Example 5).



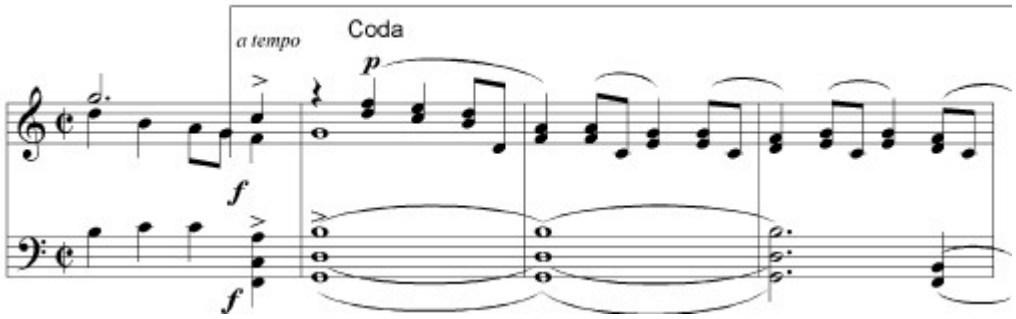
Example 5 – Part of the 2nd. Variation in the accompaniment's texture of Theme 2 (meas.60-65) - *Sonatina n.1*, 1st movement by Almeida Prado

A variation of Theme 1 and one of Theme 2 are introduced in a same passage (Example 6).



Example 6 - 1st. Variation of Theme 1and 1st. Variation of Theme 2 (meas. 42-46) - *Sonatina n.1*, 1st movement by Almeida Prado

In the Coda the material of Theme 1 is implied (Example 7).



Example 7 - Beginning of the Coda with the material from Theme 1 (meas.77-80) *Sonatina n.1*, 1st movement by Almeida Prado

Table 1 orders the sections starting from the manipulation and placement of the themes in each passage of the movement.

MEASURES	DESCRIPTION
1-14	Theme 1
14-24	Theme 2
24-34	1st Variation in the accompaniment's texture of Theme 2
34-52	1st Variation Theme 1 and 1st. Variation of Theme 2 presented together
52-60	Theme 1
60-77	2nd Variation in the accompaniment's texture of Theme 2
77-86	Coda - material Theme 1

Table 1 -Citation of the different sections found in the first movement of the *Sonatina n.1* by Almeida Prado.

The easiness in recognizing those sections confirms the composer's concern with the formal aspect of his works. The manipulation of the thematic material with the introduction of variations is a practice not usually found in the first movements of sonatinas, however present in some Sonatas by Joseph Haydn, as well as in the op. 26 and op. 109 by Beethoven among others.

b) Harmony

The descending melodic line that starts on an F sharp on the first measure suggests the Lydian mode in G until measure 13 with extra accidentals. In this way it is possible to interpret the F sharp as the seventh degree of G that directs the upbeat to the

downbeat with a prolongation from the beginning continuing the descending line until it arrives in G on measure 3. Later comes a low G on the third beat of measure 4. Starting from measure 14, Theme 2 is in the mixolydian in D, also with extra accidentals, until the return of Theme 1 on measure 52, modulated to arrive at Theme 2 now in the mixolydian in G, starting from measure 60, staying the same until the end of the movement.

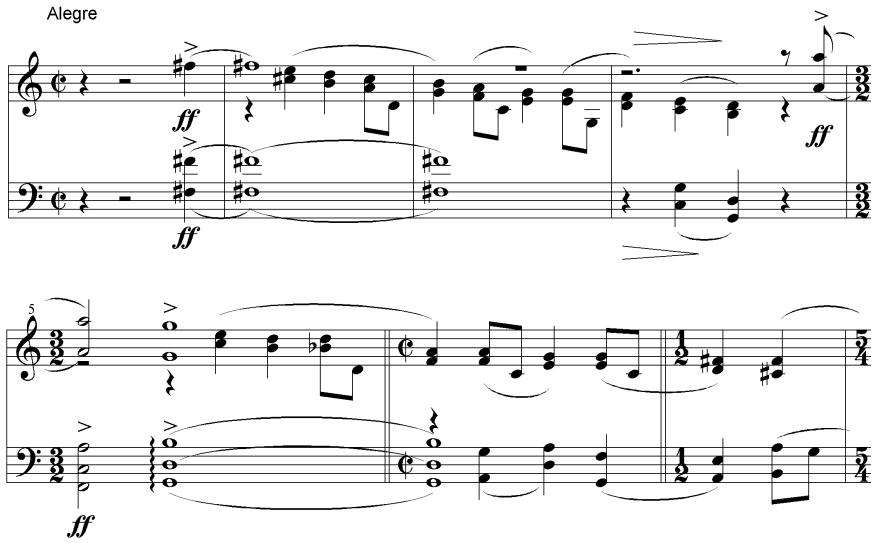
Identification of the elements for performance

c) Timing and dynamics

We decided to concentrate on these elements after the practicing.

d) Articulations

The themes do not begin on the downbeats. Their positions on each measure are diverse with constant meter changes. Theme 1 begins on a pick up time accentuated in 2 by 2. On measure 5, the accentuation is on the second beat of 3 by 2 (Example 8).



Example 8 - Indication of accents (meas. 1-7) - *Sonatina n.1*, 1st movement by Almeida Prado

The slurs seem to outline motives that should be articulated inside of the sentence from measure 1 through 4. The second slur on the highest theme's melody line ends on

the first beat of measure 3, suggesting a direction to the downbeat. If it were interpreted as an ending, the downbeat should sound softer.

Results of Practicing and the Perceptive Analysis

a) General structure and thematic material

We decided to emphasize the themes in all passages in which they appear, making them sound louder than the accompaniment. The theme in canon starting from measure 60 was also interpreted with the same phrasing in each one of the voices superimposed in an interpolated way.

b) Harmony and dynamics

With the audition of the movement it was possible to notice that the contrast of the dynamics *fortissimo, piano* and *forte* found in the beginning of the piece is reinforced with the resulting dissonances of the extra accidentals. An example is on measure 9 with the diminished octave between the F sharp and the F natural on the second beat.

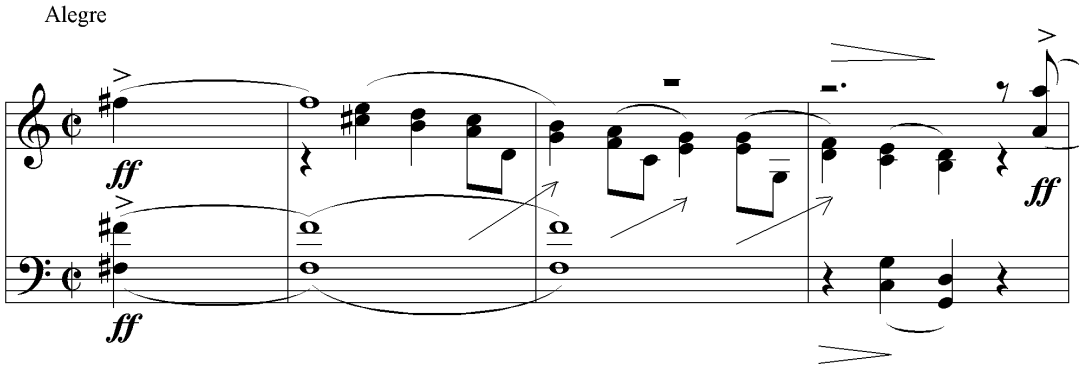
c) Timing

After practicing it was interesting to notice that the metronomic indication 100 for the quarter note made the sections denominated *Alegre* (Cheerful) sound so slow. The passages with the indication *Pouco menos* (a Little Less) were even slower! Even so, we tried to interpret the character requested inside of that tempo. On measure 43, there is an indication of *alargando* (enlarging, slowing down). Since the term *a tempo* was not inserted later, we decided to slow down only on the referred measure.

d) Articulations

Perceptively, if the motives inside the articulation slurs are interpreted with their endings in *piano*, they sound as "hiccups". They do not match with their placements

inside of the meter suggested. Therefore, we decided to give each one a direction from the up to the downbeat (Example 9).



Example 9 - indication of the motives' direction (meas. 1 – 4) - *Sonatina n.1*, 1st movement by Almeida Prado

e) The Recording

A recording was made with the results up to this point.

Stage II

Identification of musical parameters by the composer and performance suggestions

a) General structure and thematic material

Almeida Prado confirmed the beginnings and endings of the sections. He agreed with the division of the themes and with our conclusions about the variations on the accompaniment's textures. Starting from measure 60, the counterpoint in canon had a very important interpretative indication from the composer. For him, the highest melodic line should sound louder than the others. The three lower melodic lines should accompany it in *pianissimo* as a single resonant block.

b) Harmony

The modes were confirmed by the composer who claimed to have manipulated them in a flexible way.

Identification of elements for performance by the composer

c) Tempo

The composer's information about the suggested tempo was very important. First of all, the metronomic indication 100 for the quarter note was a mistake in the edition of the score. It should be 100 for the half note. I mentioned that the sections *Pouco menos* (a Little Less) would become very fast and the term *cantando* (singing) on measure 14 would be difficult to interpret. Almeida Prado said that it can be much less instead of a little less, leaving it freer for the interpreter, as long as the *cantabile* was produced. The *alargando* (enlarging, slowing down) on measure 43 is supposed to start on this same measure and to arrive at the end of measure 52. On measure 53, the term *a tempo* (back to the first time) should be indicated.

c) Articulations: accents and slurs.

According to the composer, we were right on our interpretation of the articulation slur with delineated motives, when directing the upbeat to the downbeat. Almeida Prado said that he thought about the *moda de viola*[1] and in the beats of the guitar. The octaves and chords accentuated on measures 1 through 5 could sound as the great fast chords of the guitar and with the same intensity.

Stage III

Comparative analysis between the obtained results and the practicing

The practicing was accomplished with the information supplied by the composer. The musical elements with their interpretation modified that sounded very different from the first performance were the theme in canon with an emphasized superior line, the tempo doubled in the entire piece except in the passages with the term *Pouco menos* indicated and *alargando*.

Recording

A recording was made with the information obtained from the composer.

Stage IV

1) The choice of one or more types of musical analysis;

2) The use of the analysis chosen;

Stage V

1) the interpreter's identification of what will be used in her performance;

2) the practicing;

3) the final recording with the obtained results and with the interpreter's personal conclusions.

Conclusions

- The division of the movement in sections facilitated the understanding of the piece`s structure.
- The perceptive analysis was very important to determine the interpretation mainly of the articulation slurs on the motives in the beginning of the movement.
- In this movement, the information contained in the score was not enough for a satisfactory interpretation, mainly because of the mistake on the metronomic indication. We knew about the mistake, however, we recorded starting from what was written in order to show how important it is to revise the piece even after it has been edited. It also shows that when the interpreter does not have the possibility to contact the composer, a private judging should be done through research and his experience.
- When Almeida Prado talks about having used the *moda de viola* and the beats of the guitar, it indicates a reminiscence of nationalistic features in this Sonatina and that contributed to the interpretation of the piece.
- Studies stimulate the survival of Brazilian music through the reviewing of editions and manuscripts.
- The methodology proposed has been very useful to acquire the information sought on this research.

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http://obelix.unicamp.br:8080/musica - Center of Documentation of Contemporary Music (CDMC) - Brasil/UNICAMP.

Cíntia Costa Macedo Albrecht is a candidate to the Doctoral degree in Music at the Universidade Estadual de Campinas, Brazil, under the advising of Professor Rafael dos Santos. Cíntia has been divulging through recitals, courses and published works, the importance of the research on the Brazilian music, its composers and interpreters. Since the beginning of her career as a pianist she won contests in Brazil and in the United States during her undergraduate studies in piano performance at Oakland University, Michigan. Cíntia participated in presentations and courses in Brazil, USA and Germany and in 2003 represented Brazil in the Orpheus Institute - International Easter Academy of Music Theory in Ghent, Belgium. She is also a cellist of the *Oficina de Corda*s in Campinas, a group that has recorded its second CD, *Retratos em Vários Compassos* at the end of 2002.

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[1] *Moda de viola* – In Brazil, it is a type of rural song, from the country side. Its texts are romances, stories that are impressive to the popular imagination. The *modas* are sung in two voices in thirds and accompanied by the *viola* (an acoustic guitar with ten strings). – *Enciclopédia da música brasileira*, 1998.

The Sexual Concerns Reported by Older Women of Mexican American Descent

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Abstract

Very little research has been conducted on the sexual health of older women. Most of the existing literature on this topic is quantitative and has focused on discussion of sexual issues and sexual experiences of elderly women (Gefland, 2000). In a mixed methods investigation of this topic, Gott & Hinchliff (2003) studied how sexuality is prioritized by women after the age of fifty. No qualitative research has been conducted specifically on older Mexican American women to investigate their unique perspectives and needs concerning sexual functioning. Low-income, older Mexican American women suffer from higher rates of depression when compared to older women from other ethnic groups (Chiriboga, Black, Aranda & Markides 2002) and depression has been linked to sexual dysfunction (Bendbow & Jagus, 2002). Therefore, it is important to investigate the sexual functioning of a group at high risk for depression, such as older Mexican American women. Focusing on their experiences of sexuality may inform future studies about sexual dysfunction for this understudied group.

The data were collected on 25 cognitively high-functioning women of Mexican decent ranging from 58-89 years (*M*=70.7) of age. Most women's highest level of completed education was high school (56%) and average income was below $ 20,000 (73%). Respondents' country of birth was either Mexico (67%) or the United States (33%). Women were recruited from the greater Los Angeles area using convenience and snowball sampling procedures. An eligibility screening test (a brief version of the Survey Psychiatric Assessment Schedule; Bond, Brooks, Carstairs, & Giles, 1980) was administered to all women to screen for severe organic disorders such as dementia. A semi-structured interview was administered to respondents on a one-to-one basis at a location of their choice. Interview items reflected attitudes about sexuality, emotional concerns and distresses, and physical health. Constructivist Grounded Theory (Charmaz, 2000) was used to analyze the data qualitatively. Two main themes emerged during data analysis: sexual desire and intention for interactional sexual activity. Reasons most often mentioned for abstaining from sexual activity despite desire included loyalty to a former husband, perceived cultural restrictions, limited social interactions, and poor physical health. Respondents who had both desire and intention for sexual activity were more likely to report highly satisfactory social relationships and good health. Respondents who reported little or no sexual desire and no intention for interactional sexual activity most often reported distressing feelings about men, body image issues, poor physical health, and moderately satisfactory social interactions. Those who reported low desire yet high intention for sexual activity most often reported contingencies, such as enjoying sex when initiated by their husband or the belief that sex should occur only within a marriage. These participants reported moderate physical health and satisfactory social interactions. These findings are discussed within a gender and power framework.

Hawaii International Conference on Arts and Humanities 2005

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5. Paper Title
Contextual and Spatial Relationships in Still and Moving lens based images: Philosophies, Pedagogies and Arts practice

Abstract: In our imaged based context, the ability for visual artists to synthesize and integrate creative responses based on the potentials of manipulated reality, time and space becomes more challenging. Concepts of truth and non- truth in lens based arts practice is an issue that resonates strongly with arts practitioners and educators.

Visual literacies now co exist with semiotics, intertextuality and technological literacies and provide new challenges for artists working in photomedia**.** This presentation will discuss these issues in relation to works by the Australian artist Kathy Mackey and her contemporaries including Patricia Piccinini and Michael Riley. Throughout many periods of Western art history; the relationship of the image to its likeness, reality and representation has been explored. The staged realities of many contemporary photographers and filmmakers convey mediated interpretations, not truths. By *no*t reproducing reality, that is, by *making* pictures, not *taking* pictures, the artist suggests that new relationships can be created from the fragments of now discarded photographic stereotypes. Through presentation of her still and moving images Mackey will convey an awareness of the multiplicities of images that we engage with on a daily basis sharing the notion of arbitrary spatial and temporal borders both in a technical and conceptual sense. The notion of editing, cropping and suturing images allows the artist to reconstruct and re-curate our sense of lens- based time, motion, space and depth.
This discussion will be supported by the philosophical underpinnings of Sontag, Bathes and Metz in terms of notions of the suture, punctum, stadium and the gaze.

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5. Paper Title: A Photographic Essay of Cultural Tourism: Cranes and Palm Trees

Abstract: As an artist who lives in high rise apartment complex in a major tourist destination I see my city as a landscape of voluptuous extremes, ever heightening glass towers, artificially green palm trees, bright aqua skies and rolling surf. My urban sensibility is one of extreme architecture, I am aware that my city is exotic.
As a photographer, I accept that the camera makes everyone a tourist in other people's reality, and eventually in one 's own. As part of a recent exhibition at the Gold Coast City Art Gallery entitled " All That Glitters" this pictorial essay of a local area positions my photography and its relationship to alteration: before and after .As I drove down the coast I felt like the whole city is for sale .The culture of artifice and real estate development, quaint titles of suburban simulacra such as the Isle of Capri and statuesque cranes arcing across the sky is home in a city growing faster than its infrastructure. Small family runs hotels, my fabric of childhood memories are being enveloped by baroque resorts. By creating photographic images, which turn the past into a consumable object, am I perpetuating the cultural vandalism that is taking place? We now make a history out of our detritus. Photographs are, of course artifacts. But their appeal is that they also seem, in a world littered with photographic relics, to have the status of the exotic holiday experience itself.

Hawaii International Conference of Arts & Humanities

A. TITLE

DiViSiONs

B. TOPIC AREA OF SUBMISSION

Architecture (urban design)

C. FORMAT OF PRESENTATION

Paper session

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Abstract: paper session

DiViSiONs

Graduate Projects from the University of Florida's School of Architecture

di·vi·sion n

1. the act of separating or splitting something into parts, or an instance of this
2. the separation of something into parts to be shared among people or groups
3. an operation used to calculate the number of times one number is contained in another
4. a disagreement or strong difference of opinion, especially when this leads to a split in a group
5. something that separates things by forming a boundary between them
6. one of the parts created when something is split

Encarta® World English Dictionary

This paper explores recent work developed in the University of Florida's Graduate School of Architecture. The *Advanced Graduate Design One Studio* is framed as another kind of beginning; an opportunity to re-visit - through a sophisticated, critical lens - issues fundamental to the discipline of architecture. It is an opportunity for students to (further) develop positions and methods regarding architectural production through a series of projects stressing the critical, political, intellectual, and analytical. Advanced Graduate Design One entails a series of linked projects with an inter-studio structure requiring the critical participation/interaction of students as individual authors/theorists and as a collective, self-referential resource.

We propose a series of investigations that study lines of demarcation, the in-between, borders and divisions as related to notions of public-ness; in short, *divisions*. We are interested in the public and private realm at various scales, public-ness in the contemporary city, edges and territoriality. The studio will question conventions of division and qualities of separation and the socio-political structures that inform/deform lines of order. The definition and articulation of public and private space relative to programs of occupation and utility will inform your study.

Project 1

PARTY/PARTi WALL: ***the public-private house and the divided in-between / tectonic and programmatic investigations***

Project one explores the public / private dialectic through the design of two houses that are both unified and divided by a wall-space-assemblage that, in turn, determines their formal, spatial, and social relationship. Traditionally, this "party wall" is the shared structural wall between two living units. The adjacent dwellings, though literally inches

apart, define worlds that are functionally and experientially autonomous. Typically, there exists no substantial architectural or social relationship between dwellings bound by a party wall.

The students' charge is to explore what happens if the very nature of the party wall is challenged in the parti – the organizing and conceptualizing diagram – of the party wall is radically reconsidered.

How then is the public/private discourse of two houses altered?
What possibilities emerge for re-thinking the act of dwelling? Are conventional patterns of dwelling adapted or radically altered? Does a new, hybrid condition of public-ness emerge?

How might the definition and experience of "public" and "private" evolve?
How and why do we "divide" spaces and dwellings?
What is the emergent decorum of occupancy?
How is program framed through a new notion of party wall?
Does the party wall divide, separate, unite, combine, or create an-other condition?

Project2
Territory and intertwining: borders, edges and boundaries
This project will invert the scale of project one, reviewing the notion of space and territory in a large, field condition.

Project 3
Sighting and mapping: seeing the site
Our site will be downtown Orlando, Florida. Each student in each studio will locate and study a different site. The ensuing speculative analysis will serve to structure, re-form and/or preserve the downtown as understood as a formal, functional and socio-political construct. The resulting study will form a speculative syntax for the city; a kind of context for the context.

Project 4
Context and intervention: hybrid building
The final project will recall the detail of project one, coupled with a rigorous program that mediates between issues of public and private, humble and fantastic. Downtown Orlando will be re-occupied by some four-dozen hybrid interventions that serve to critique/reconstruct/preserve the existing contemporary city. The syntactic city of lucid, structured relationships is morphed into a semantic urbanism of detail, subtlety and calculated ambiguity.

This presentation will review the structure of the semester, the pedagogical intentions, the interconnected nature of the projects, and the strategic engagement of the typically ubiquitous contemporary American cityscape.

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Language harmonization in South Africa: A critical issue for sustainable development

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Abstract

Since the South African constitution (RSA, 1996) accorded an official status to eleven languages, attempts to develop and use indigenous African languages in public domains have proved unsuccessful in nearly a decade. Instead, English is increasingly becoming the sole dominant language in a country where it is natively spoken by 8% of the population. As a direct consequence of the move toward unilingualism, the call for harmonization of mutually intelligible languages in order to resolve the 'multilingual complex', which chiefly accounts for the failure in policy implementation (Alexander, 2000; Makalela, 2005; Makoni, 2003; Prah, 2001), has increasingly become topical.

This study sought to investigate the feasibility of harmonization project by setting up an experimental design that tests the attitudes and beliefs of the native speakers of sister languages on mutual inter-comprehensibility and unification of the present Sotho language orthographies. In both pre-test and post test results, positive responses were observed through triangulated methods of analysis. Given these findings, it is argued that language harmonization may become central in future language planning activities and prospects for socio-economic development. Recommendations for revisions of the current policy provision development possibilities through the harmonized language orthographies are spelt out.

Introduction

Language policy in South Africa denotes a history of over 300 years that is replete with linguistic discrimination, which promoted exogenous languages to the detriment of indigenous African languages. Furthermore, the indigenous African languages were arbitrarily divided by missionary linguists who had a mission to evangelize the natives and translate the Bible into these 'languages'. The missionary 'disinvention' of

indigenous languages (Makoni, 2003) was later on entrenched under the aegis of the Bantustan homeland system that elevated dialects of the same language to a status of fully-fledged languages. This division saw an unprecedented artificial construction of multilingualism that was rigidly and tightly based on dialect differentiation as designed by the early missionary linguists. Despite the old problem of labeling, linguistic tribal enclaves and ethnolinguistic stereotypes that were nurtured in the colonial-apartheid periods, the multilingual policy of 1996 made no reference to the need to redress linguistic balkanization of the past (RSA, 1996). Instead, the indigenous language-elevated-dialects were recognized and accorded a status as official languages of the Republic.

In the post-democratization era that is seen as the 'Africanization' or 'Renaissance' era, restoration of a cohesive cultural heritage and use of language as a resource, not an impediment, for sustainable development have become topical in language planning research and debate (Alexander, 2001, 2000; Heugh, 2002; Makoni, 2003, Makalela, 2005; Prah, 2001; Webb, 2002). This debate is especially pertinent in the wake of perceived failures to develop and use indigenous-elevated-dialects in positions of power at least in a decade. Consequently, there is a renewed call for earlier recommendations to harmonize (i.e., unite orthographies and spelling system) of the indigenous language-elevated dialects that have higher degrees of mutually intelligibly (Alexnader, 1989; Nhlapo, 1944). For example, the Centre for Advanced Studies of an African Society (CASAS) at the University the Western Cape in South Africa has recently put more weight on the argument for harmonization through its Africa-wide project and its favorable results for linguistic unity (Prah, 2001). The purpose of this

study is to examine the feasibility of harmonizing indigenous African languages by investigating the attitudes of the speakers Sotho sister dialects toward the harmonization proposal and their linguistic practice in inter-dialectical interactions- a factor that was not given adequate attention in earlier studies that focused on structural similarities among sister language varieties.

Background to the study

There are a number of projects that attempted to harmonize indigenous African languages in Africa (Bamgbose, 1991). These projects are premised on the need to redress arbitrary linguistic divisions in African countries, which are believed to be harboring more than 1600 languages, with Nigeria leading with about 400 languages (Webb, 2002).

Re-standardization of the Shona language of Zimbabwe and Yoruba of Nigeria are prime examples of successful harmonization in African context. Each of these languages was harmonized through unification of about five dialects that were arbitrarily encoded with distinct spelling and orthographic representations without due regard for their degrees of mutual intelligibility. The most recent harmonization project is the Ugandan harmonization of dialects into Runyakitara, which has been reported as a successful model as explained below:

> Runyakitara is a general name adopted by Makerere University in 1996 to refer to four western Ugandan dialects, namely; Runyuru, Rutooro, Runyankore, Rukiga…Other languages outside Uganda, such as Ruhunya in Tanzania and Ruhema in Zaire can also be considered to be dialects of [the evolving] Runyakitara language (Quoted in Owino, 2002, p.24).

The benefits of harmonization as reported in the Ugandan situation include internationalization of the languages in ways that ease cross-border communication in African states. For example, neighboring countries like Tanzania and Zaire to some extent benefit from the re-standardized form, which could be used across the borders.

In addition to the successful projects outlined above, there is an Africa-wide project carried out by the Centre for Advanced Studies of African Society (CASAS) at the University of Western Cape in South Africa. CASAS started in the early 1990's with the mission that

> Education in Africa at all levels should be transacted in African languages, the languages of the majorities of the people, and the languages in which these majorities create and think… (Prah, 2002, p.1).

CASAS saw the need to embark on harmonization projects to provide a means toward achieving mother tongue education for the masses of the continent because language is at the core of national development. Since this period, there's been a proliferation of studies that focused on degrees of mutual intelligibility among Africa's estimated 1200-2400 languages. An important finding was revealed that among the languages that are counted over 1200, there is mutual intelligibility degree of 85% and above, and that these languages can be divided into 12 language clusters. Prah (2001) explains this finding as follows:

> Classification of African languages on the basis of mutual intelligibility has so far demonstrated that, as first and second language speakers, over 80% of Africans

> speak no more than 12 key languages (clusters which enjoy 85% of mutual intelligibility) (Prah, 2001, p.189).

This is an important finding that demystifies the long held view that African countries have too many languages (commonly associated with the tower of the babel image), which justified the need for use of exogenous languages like English, French, Portuguese and Spanish as the media of communication in high prestige positions even in the post-colonial period. This study shows that many of the 'languages' are variants of mutually intelligible dialects with different orthographic representations. A prototypical case is that of Sotho language varieties that ended up with three distinct languages because of different missionary linguists who developed the writing systems without a centralized coordination. For example, the German Lutheran missionaries worked in the northern side where they came up with an orthography for Northern Sotho (Sepedi); the London missionaries worked in the western side and developed Western Sotho (Setswana), and Southern Sotho was developed by the Catholic missionaries who worked in the southern part (see Nakin, 2002).

The idea of unifying indigenous African languages in their writing system is not a new one in South Africa. There was an attempt for Sotho unification in 1928 and another one in 1953. In the former, there was no agreement on the common forms because foreign experts who were working on these orthographies could not find a common ground in choosing the most representative spelling system. In 1953, the Apartheid policies of separate development intervened because harmonization was ideologically opposing the divide and rule strategy upon which Apartheid was founded. Despite the obvious dislike of the harmonization idea, Jacob Nhlapo who started much earlier

(Nhlapo, 1944) continued to advocate for linguistic unity. His arguments were made forcefully in 1989 by Neville Alexander (Alexander,1989) who reiterated the claim that Nguni languages (isiZulu, isiXhosa. isiNdebele and Siswati) on the one hand, and Sotho languages (Sepedi, Sesotho and Setswana), on the other hand, can be unified into two main languages and reduce the multilingual complex that stands on the way to use of African languages in positions of power. This position was still not favored until the 1996 constitution made provisions for a multilingual policy with all the main indigenous language varieties accorded an official status. Arguably, the constitution endorsed the 'divide and rule' legacy of colonialism and apartheid and forced African to 'unremember' the deliberate linguistic balkanization of the past (see Makalela, 2005; Makoni, 2003 for a full critique of the constitutional provisions).

Under the umbrella of CASAS, there has been a number of studies that focused specifically on harmonizing Sepedi, Setswana and Sesotho, using morpho-syntactic and phonological and lexical similarities as measures of mutual intelligibility among these language varieties (Nakin, 2002; Matubatuba, 2002; Mwikisa, 2002). The studies unequivocally show that the Sotho language varieties (dialects), even though they are have different orthographic representations, derive from a common 'mother language' and that they still have a higher degree of mutual intelligibility. Their harmonization thus adopts dialect democracy approach in which all dialects are elevated to the standard level, as opposed to imposition of one of the dialects as standard. This procedure allows them to be united, refined and neutralized until they merge into a common standard language.

Matubatuba (2002) carried out a comparative study of Sepedi-Setswana-Sesotho dialects with regard to the phonological process of palatalisation. The results of this comparison show that palatalisation occurs in at least five identical categories as listed:

a. with diminutives of noun
b. with passives of verbs
c. with causatives of verbs
d. with locatives of nouns ending with *–ng*
e. with certain nouns of the *bo*- class
f. with certain nouns of the *le*- noun class

These examples denote that a high degree of mutual intelligibility of the three languages can be established. In making a case for harmonization, Matubatuba (2002) draws a conclusion about the three dialects as follows:

> Because of the level of mutual intelligibility of these languages, I strongly believe that we might not even need dictionaries as a matter of urgency while doing projects such as skills development to the illiterate masses and medium of instruction through the special lingual franca (Matubatuba, 2002, p.253).

Mwisa (2002) carried another analysis of mutual intelligibility in the spoken and written forms of Sesotho, Setswana and Lozi (a Sotho variety spoken in Zambia). Using the Lord's Prayer version written in Sesotho (1855), Setswana (1840) and Lozi (1951), the author aimed at discovering the extent of vocabulary correspondence among the three versions of the Lord's Prayer, and to the extent to which the variation in orthographic

representations in the three languages can be described in a way that makes it easy to predict and transcode from one languages to another. The study revealed that Sesotho has 81 words, Lozi has 81 and Setswana has 70 words. Out of these words, it was observed that correspondence between Sesotho and Lozi made up to 87%. Correspondence between Setswana and Lozi is 68% while 66% was recorded for correspondence between Setswana and Sesotho. The findings of this study suggest that even though the missionary linguist differentiated these dialects as different languages, they still have more cognate resemblances.

An independent study by Makalela (2005), showed identical structures among the three structures with regard to noun class prefixes diminutive suffixes and verbal extensions. For example, /Mo-/ is a generic noun class prefix number 1 in all the three dialects as in *Motho* 'a person' and /Ba/ as in *Batho* 'people' commonly represent their noun class prefix number 2, which the plural version of noun class prefix number 1. Thus, all classes in odd number are singular and even numbers are plural forms across all the 14 noun class prefixes in these dialects. More similarities are also reported on verbal extensions such as causatives, reflexives, etc to corroborate the structural similarities reported elsewhere.

Taken together, these observations support the claim that Sotho language varieties are mutual intelligibility on the basis of morphosyntactic, lexico-semantic and phonological features. The remaining question, however, is whether the speakers will find these languages mutually intelligible when the speakers are immersed in inter-dialectical interactions. This study thus tests mutual intelligibility through inter-dialectical interactions and attitudinal responses to the interactions.

Research hypotheses

There are four main assumptions that underlined the experiment

a. Post test results of the participants will show more positive responses on questions that concerned the clustering of the Sotho language varieties in the national television channel 2.
b. The participants will not change their attitudes on use of Sotho varieties in post-primary school education toward a positive direction in the post-test.
c. Participants will show more positive responses on mutual intelligibility questions after their inter-dialectical interactions.
d. Participants will not show any change of attitude toward harmonization after the interactions.

Research design

This is a within-subject experimental design that uses three intervention levels to assess the attitudes of the native speakers in pre- and post- test questionnaires. These repeated measures are based on four subthemes: clustering of Sotho language variety, use of the varieties in pos-primary school education, mutual intelligibility and harmonization proposal.

Population and sampling

This study involves 12 (originally 48) university freshman students from three provinces that traditionally harbor speakers of Sepedi, Setswana and Sesotho, respectively:

Limpopo, North West and Free State. Only students who had no prior contact, except minimally through television viewing, with native speakers of Sotho language cluster other than their own variety were eligible for participation. Given the convenient linguistic strata with which these groups are organized, a stratified random sampling was carried out to draw a large pool of participants from each of the language varieties. Then systematic random sampling was used to arrive at the required number of 4 for each group (every 4th). Thirdly, purposive sampling was used to compliment the systematic random sampling so that a quota of equal male and female representatives was reached. These varied methods succeeded in producing participants well-suited for a study of this nature.

Instruments and data collection procedures

The study consists of six phases that are outlined below:

Pilot test

Because of the uniqueness of the study both in content and use of African languages as means of data collection, a pilot test was designed and tested on an approximate population that gave substantial feedback for the data collection process actual process. Necessary revisions were carried out, as a result. This procedure reduced bias and enhanced both construct and internal validity.

Pre-test

An attitudinal questionnaire with a binominal scale of *yes* (positive) and *no* (negative) poles, written in the participants' mother tongues, were administered across the 48

participants (16 from each language) through an appointment system in an office established for this project. The questions covered four major strands: attitudes toward the 11 official language policy (clustering), use of African languages beyond primary education, mutual intelligibility and harmonization. There were close-ended questions that ranged from items 1 through 26 while items 27 through 33 consisted of open-ended questions. The open-ended responses were post-coded in the analysis.

Intervention levels

There were three intervention levels in the study: focus group discussion, information gap activity and reading comprehension test. They are described in details in the following subsections.

Focus group discussion

From a pool of 48 participants, only 12 were required in the second phase of the study. Four representatives (2 males, 2 females) were selected through systematic and purposive sampling procedures. These participants were invited for a focus group discussion that addressed 3 areas of peace and conflict resolution: causes of ethnic stereotypes, dangers of such stereotypes and possible solution to this social problem. Speaking strictly in their own respective language varieties, the participants were video-recorded and vignettes showing (a) tri-variety intelligibility, (b) bi-variety intelligibility and (c) lack of intelligibility in tri-variety and bi-variety contexts were observed. Their analysis however falls outside the scope of this paper.

Information gap activity

Similar subjects who participated in the focus group discussion were involved in an orange game activity, using their languages. The aim of this activity was to gauge whether speakers of these variety could cooperate and achieve a communication goal when using their 'different' languages. An orange game based on hypothetical situations for each group was used. Each group needed to convince the other two of its pressing need to have the orange, but with the ultimate realization that each group only needed (a) the rind, (b) the juice, and (c) the pips, respectively.

Reading Comprehension task

The third intervention level involved use of reading passages from the three language varieties and another one from the 'harmonized Sotho'. Since the harmonization proposal essentially meant unification of orthographies, this part of the research was regarded as the hallmark in testing the practical nature of harmonization. These texts were not identified by dialect to avoid bias.

Post-test

All the stages involving focus group discussion, information gap and comprehension task provide served as interventionist/ experimental measures to gauge if they have an effect on the attitudes of the participants. In order to compare whether actual immersion in inter-variety communication had any effect on the participants, a post test questionnaire, with similar questions as the pre-test was administered on the 12 participants. In order to

guard against carry over effect and maturation effects, three weeks were allowed between the pre-test and the post test.

Data analysis

Analysis of the data required a myriad of methods that were triangulated to provide a rich explanation of the phenomenon under enquiry. For all the quantitative data, both descriptive and inferential statistics were used through SPSS software. Pretest and post test were separately subjected to frequency counts, a median test and percentages and Chi-Square that was applied to test significance levels (i.e., levels of difference). Separate analyses were carried out to show whether the three groups formed a homogenous population. Since no significant differences were observed, the three groups were collapsed into one population group. Once this was satisfied, a comparison of pre-test and post test results, which forms the crux of the study, was carried out through Wilcoxon Ranked Sign Test. A nonparametric test was favored due to the small number of the participants involved in the study. Wilcoxon Matched Pair Ranked-Signed Test was found appropriate in showing if there was (i) a change, (ii) direction of change and (iii) significance level of change in the attitudes of the participants.

Results

The scores obtained from each of the 12 participants in pre and post test were compared, using Wilcoxon Matched Pair Rank- Signed Test. As stated, this test was the most preferred as the within subject measure of change and ranking measure of scores observed from the small number of the participants in the study. The results are organized thematically on the subset of questions: (a) language clustering in the South African

Broadcasting Cooperation, (b) use of Sotho languages in post-primary education, (c) mutual intelligibility and (d) harmonization proposal.

a. **Attitudes toward language clustering**

The South African Broadcasting Cooperation has clustered languages in the Nguni group (isiZulu, isiXhosa, isiNdebele, siSwati) into one channel and the Sotho group (Sepedi, Setswana and Sesotho) into a single channel shared with minority languages like Xitsonga, Tshivenda as well as Afrikaans. Pre-test and post-test attitudes were assessed and their presentation on all the 12 participants is in Table 1 below.

Pair	Pre-test	Post-test	D	Rank of difference	T
A	4	3	-1	-1	1
B	2	3	1	+1	
C	2	1	-1	-1	1
D	2	3	1	+1	
E	2	2	0	0	
F	3	4	1	+1	
G	1	2	1	+1	
H	2	2	0	0	
I	2	4	2	+2	
J	4	4	0	0	
K	2	4	2	+2	

L	2	2	0	0	

N=8, T=2, P>0.05

Table 1: Clustering of indigenous African languages on TV

This table shows a comparison of matched scores in the pre- and post test questionnaire.

The hypothesis was that preconceived attitudes on the clustering of indigenous African languages in the SABC will change after intervariety communication. Wilcoxon Rank Signed Test results show that out of 8 comparable number of pairs, the T is 2. This implies that there were no changes observed on four participants whose scores were automatically excluded. The results show that the difference between the pre-test attitudes and the post test for the 12 participants is statistically significant because the T value is less than the critical value (n=8, T=2, P>0.05) – meeting the requirement of rejecting the null hypothesis in rank-signed tests. The attitudes have changed dramatically to a more positive view after the intervention. These results give us confidence to reject the null hypothesis. That is, a number of subjects improved significantly on their positive attitudes in their post- test ratings.

b. **Attitudes toward use of Sotho language varieties in post-primary education**

The next set of comparable responses was based on questions that asked the respondents on their beliefs about the usability of Sotho languages beyond primary level of education. The responses are summarized in the Table 2 below:

Pair	Pre-test	Post-test	D	Rank of difference	T
A	5	5	0		
B	3	1	-2	-2	
C	6	5	-1	-1	
D	3	6	3	+3	3
E	2	3	1	+1	1
F	5	5	0		
G	2	3	1	+1	1
H	4	4	0		
I	5	1	-4	-4	
J	1	0	-1	-1	
K	1	1	0		
L	5	1	-4	-4	

N=8, T=5, $P<0.05$

Table 2: Attitudes toward use of Sotho dialects in post-primary education

The hypothesis underlying the 6 questions asked in pre-test and post-test was that immersion of the students in inter-dialectical interactions will not affect their preconceived attitude on the use of Sotho dialects as media of instruction beyond primary education. This table shows that there are four instances where changes did not occur and thus leaving 8 respondents for comparison. The results show that out of the 8 pairs, the T value is 5, which is not statistically significant at 0.05 ($n=8$, $T=5$, $P<0.05$). Because the T value is higher than the critical value, as in rank signed tests, the null hypothesis cannot be rejected with regard to usability of Sotho languages as media of instruction beyond primary school level. Therefore, scores in the post test were not greater than scores in the pre-test. This shows that the direction of change in attitudes is swerved to the negative. This allows for an interpretation that the intervention (intervariety communication) significantly changed positive attitudes to negative ones. That is, students became negative on the possibility of using indigenous African languages in post-primary education.

c. **Mutual intelligibility**

The sub-theme on mutual intelligibility asked students questions that assessed their views on the degree of understanding they have on sister dialects. The questions asked involved the students' views on hearing, speaking, reading and understanding the sister dialects. The results of pre-test and post test scores are summarized in Table 3 below:

Pair	Pre-test	Post-test	D	Rank of difference	T
A	11	12	1	+1	
B	11	12	1	+1	
C	8	12	4	+4	
D	10	12	2	+2	
E	10	12	2	+2	
F	11	11	0		
G	6	12	6	+6	
H	10	8	-2	-2	2
I	8	11	3	+3	
J	7	9	2	+2	
K	9	12	3	+3	
L	7	12	5	+5	

N=11, T=2, P>0.05

Table 3: Attitudes on mutual intelligibility

This table shows that there are 11 changes out of 12 pairs. As a result, the T value was 2 with the critical value standing at 14. The hypothesis underlying these questions was that there will be a change of attitudes on the degrees of mutual understanding after the inter-dialectical interactions. The results show a statistically significant number of positive changes because the T value is less than the critical value at 0.05 (n=11, T=2, P>0.05) toward the degree of mutual intelligibility. As a result of this finding, the null hypothesis of no significant change can be rejected. This means that the dialectical interactions made

the participants realize they understand the sister language varieties more than they originally thought.

d. Harmonization

Questions that were asked under the harmonization subtheme were premised on the proposal for unification of written forms of Sepedi, Setswana and Sesotho. Comparison of pre and post test attitudes is presented in Table 4 below:

Pair	Pre-test	Post-test	D	Rank of difference	T
A	6	5	-1	-1	1
B	4	3	-1	-1	1
C	2	7	5	+3	
D	5	5	0	0	
E	7	5	-2	-2	2
F	7	6	-1	-1	1
G	3	5	2	+2	
H	7	6	-1	-1	1
I	2	3	1	+1	
J	5	5	0	0	
K	6	7	1	+1	
L	4	6	2	+2	

N=10, T=6, P>0.05

Table 4: Attitudes on the harmonization proposal

This table shows that 2 pairs were discarded because they did not show any change (Positive or negative), while the remaining 10 were subjected to the Wilcoxon Matched Pair Rank-Signed Test. The test results show that the T value is 6, which is less than critical value- a requirement in Wilcoxon test to reject the null hypothesis. The hypothesis on this subject was:

(i) Respondents will not change their attitudes to the positive direction after intervention.

The results of the test show that there is a statistically significant change toward positive views on the harmonization proposal with the T value being less than the critical value at 0.05 ($n=10$, $T=6$, $P>0.05$). Interpreted within the T column of the table, we can report with confidence that there were positive changes after the inter-variety communication and reject the stated hypothesis. This means that the dialectical intervention has made the participants to realize the possibility of uniting their dialects into one written standard to be feasible. Implications for harmonization of Sotho language varieties are discussed below.

The role of harmonized African languages in development

The results of the study show that the respondents significantly changed their attitudes after the intervention levels. Out of the four sub-themes in which the questions were

organized, three sub-themes showed a significant change toward the positive direction. That is, the intervention levels aroused awareness and elicited more positive responses on clustering on languages in the SABC, mutual intelligibility and harmonization proposal. The changes on the use of these languages as the media of instruction in post-primary education have however yielded changes that were skewed to the negative. That is, the more the respondents got involvement in the interactions, the more they became negative about using these languages as media of instruction. This is a very important finding for the study: even though the participants believe that their dialects are mutually intelligible and that their writing forms can be unified, they still do not think that these can be used as the media of instruction in post-primary education. It could be concluded that harmonization is a feasible project to be pursued in future language planning in South Africa. Yet this does not necessarily guarantee positive attitudes toward using the harmonized languages. This is provides a niche area for further studies on attitudes toward African languages and the role of these languages as the media of learning and teaching.

The possibility of harmonizing Sotho languages does have some practical significance. Harmonizing mutually intelligible language varieties can be one important alternative to resolving the language struggle that divided the country into artificial linguistic boundaries. Its specific policy implications for indigenous African languages include (a) reduction of the number of languages and costs associated with material production, and (b) use of the harmonized form as the language of writing in schools, courts and other official domains, and as a means of common cultural expression among etho-linguistically divided peoples. The harmonized language thus has socio-political and

economic values needed in a developing country that is going through massive social reform.

As stated above, however, one factor that militates against the use of indigenous African languages is the negative attitudes as revealed in the study. These attitudes on African languages as the media of learning and teaching are understandable in the context where they have been associated with inferior education during the Apartheid time. Besides, there is no visible role model of education through an African language that the participants could relate to. As stated elsewhere (e.g., Makalela, 2005) attitudes are attributes that can be planned and changed, given the political will of any nation state. The development of Afrikaans as a "kitchen language" to a medium of instruction from grade 1 to university degree in about 22 years (1925- 1948) is very instructive to the direction indigenous African languages might take on attitudinal change. Afrikaans, which was castigated as inferior language unfit for official use until it replaced Dutch in 1925, became a language of instruction that filled in the prestige position that was reserved for English through the political will of Afrikaner nationalism. To date, it is still used as the language of instruction up to a PhD degree in respectable South African universities: University of Pretoria, Johannesburg University, University of Stellensbosch, etc. Stated differently, attitudes are attributes that can be changed through careful and systematic language planning initiatives by political authorities.

The need for use of harmonized language at the era of African renaissance has grown immensely. South Africa is faced with an enormous challenge to redress language stereotypes that were sowed in the long history of linguistic balkanization. Unified indigenous languages are important part of African development and the national brief of

reconciliation (within indigenous communities) and nation building. Without use African languages, the ideals of a renaissance would seem inconceivable and at worst outlandish when the majority of the population have language barrier in making full participation in all spheres of their country.

Apart from the obvious fact that almost all developed countries use their local languages as means toward social mobility, cost-benefit analyses (e.g., Chiswick, et.al, 1996) show that linguistic disadvantage inhibit development process and increase poverty and inequality. For example, speakers of Afrikaans and English, the two previously advantaged languages, have opportunities to use their languages in all domains of power including education up to university level. On the converse, such opportunities are limited on the speakers of indigenous languages who make more than 76 % of the population. To this end, language economics recommend use of language/s used by the majority of the people to enhance opportunities in the labor market. Further, there are important lessons that can be gleaned from the Japanese development that was based on the political will to change the whole system, including the use of Japanese in all domains of education and prestigious positions. Prah (1998) presents Japan as a successful model as follows:

> If we envy the Japanese in terms of what they are able to do in terms of technology and science, then we can see where their power comes from- the ability to resolve the language question in favour of using their own (Prah, 1998. p.45).

Given the Japanese situation, South Africa can model the use of indigenous languages as a resource that advances socio-economic development. It should be added that Japanese has a variety of dialects that are in a number of cases not necessarily mutually intelligible; yet a standardized form representative of the majority of the speakers was harmonized and used in all spheres of the Japanese life. South African kids can also be maximized through the languages that they fully understand. Such a possibility seems to begin with language harmonization as indicated in the preceding discussion.

Conclusion

The study investigated the attitudes of 12 speakers of Sotho language varieties: Sepedi, Setswana and Sesotho. The results show that the participants were affected by the intervention levels used in the study in statistically significant ways. These are focus group discussion, information gap activity and reading comprehension test. The study reveal that there has been a positive change of attitudes on clustering of these varieties in the South African Broadcasting Cooperation, mutual intelligibility and the proposal for their harmonization. On the converse, there is a change of attitude toward the negative direction on the possible use of these languages as the media of instruction in post-primary education. It is therefore argued that while harmonization is a feasible project given higher degrees of mutual intelligibility and the positive attitudes observed among speakers of these languages, it does not necessarily translate into the possibility of using the harmonized form in education.

Taken together, the study provides a first step in the process of providing grounds for the use of indigenous languages in high prestige positions. Although the results

cannot be generalized in terms of actual language use, they do have practical significance to resolving the multilingual complex, which has so far put at remote the possibility of using African languages. Therefore, there is a need for more attitudinal studies on harmonization that will determine the success of harmonizing mutually intelligible languages. As stated before, the attitudes toward using indigenous African languages in education and other high prestige positions may be just a matter of time and a call for political will to invest in marketization of these indigenous tongues in ways that replicates the success of developing Afrikaans in no more than 25 years. What seems clear is that African development will be fruitless without African languages, and to this effect, harmonization may be such a one step in the long route of linguistic renaissance in South Africa.

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Hawaii International Conference on Arts and Humanities

1.Blu In-Between: Son and Brother as Postcolonial Exilic Masculinity in Lois-Ann Yamanaka's Blu's Hanging

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6.Abstract

Blu In-Between:

Son and Brother as Postcolonial Exilic Masculinity in

Lois-Ann Yamanaka's Blu's Hanging

Considering Lois-Ann Yamanaka's portrait of Hawaii in Blu's Hanging as a postcolonial regional location, this paper explores a Japanese Hawaiian male character, Blu Ogata's masculinity, which challenges the racial and gendered matrix of continental Asian America. This perspective comes from my tentative teaching experience in Japan where I received several positive responses on this character especially from female students; Blu demonstrates autonomy where his protagonist sister Ivah cannot describe with her first person narrative.

I would argue that Blu is a postcolonial male character constituting, what Gayatri Spivak asserts, a subaltern female subjectivity through the interactions of his female family members. Standing in the side of his dead mother and autistic younger sister, Blu tries to recover their voices by synchronizing with their silences. Simultaneously, he is obsessed with capitalistic products, and is attracted to the masculinity of Paulo Reyes, his Filipino neighbor with whom he discovers a pain and pleasure from his sexual

assault. His ambivalent and bifurcated stance is in Homi Bhabha's term, an "in-between" position to survive in postcolonial Hawaii by challenging capitalistic binaries; woman/man, heterosexual/homosexual, Asia/Asian American.

The title, "Blu's Hanging" in the first stage indicates Blu's body, beaten up, raped and finally "hanged" by his neighbors. Yet, he takes this "hanging" and in-between position spontaneously, therefore indicating a locus of autonomous masculinity. While teaching this text as an Asian American racial text simply paralyzes Blu's masculinity as dysfunctional while postcolonial gendered and transnational perspectives recover its autonomy.

Understanding the Iliopsoas

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Understanding the Iliopsoas

In order for a muscle to be healthy, it must be both strong and flexible, and it must be able to achieve a state of complete rest. While most dancers attempt this kind of maintenance for many of the significant muscle systems in the body, one of the most important systems is woefully ignored. This muscle group is the iliposoas (comprised of the Psoas major, the Psoas minor, and the Iliacus.) This presentation is meant to be a guide that will define what the iliopsoas is, what it does, and how to best approach maintenance and care of this most crucial element of the dancer's body.

Most dancers have a tight iliopsoas; the reasons for this will be explored more fully in the presentation. If a dancer begins with a tight iliopsoas, it is automatically working harder than it should to execute the movements he or she performs everyday in the studio, such as extensions, developpes, and battements to the front. This causes the iliopsoas to be susceptible to further tightness and injury. In addition, the lower back is compromised due to the shortening of the erector spinae in the lumbar area, which may cause low-back pain.

Some of the more common problems associated with a tight iliopsoas include Iliopsoas Bursitis, Iliopsoas Tendinitis, Iliopsoas Strain, Anterior Snapping Hip, and general low-back pain. The presentation will include strengthening, stretching, and relaxation techniques for both the iliopsoas and the muscles that aid the iliopsoas.

"You shan't take away my ladies:"
The Professor as Male Hysteric in Willa Cather's *The Professor's House*

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In analyzing Willa Cather's *The Professor's House* (1925), critics have often argued or made the assumption that the Professor is a heroic figure. In fact, feminists often critique Cather for creating a novel with sexist views. Other critics, however, have recuperated the novel as a feminist text. These critics argue that, though Cather presents the women in an unfavorable light, the reader only sees the characters from a male perspective, through the eyes of the male gaze. Indeed, *The Professor's House* is told from a third-person omniscient narrator, but the point-of-view is almost exclusively that of Tom Outland and the Professor. I will argue that Cather's critique of patriarchy in the novel goes beyond showing the limitations that the male gaze places on female subjectivity. Cather continually undercuts the Professor, who is an unreliable narrator, to make the reader further question his heroism. As I will demonstrate, she parodies masculinity with Gothic allusions and even goes so far as to depict the Professor as a male hysteric.

1. "Monstrous Metamorphosis: *Las chágaras,* Magical Powers, and the Grotesque in Rosario Ferré's 'La muñeca menor'"

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6. Abstract of paper

Rosario Ferré's short story "La muñeca menor" has been the subject of several critical studies. Generally speaking, these readings have focused on the fantastic elements of the story, on feminist interpretations of the oppression of women and the symbolism of the doll as a cultural icon, and on the narrative as an allegory for the social and cultural transformations of Puerto Rican society. One aspect of "La muñeca menor" that hasn't been examined in depth by the critics is the function of grotesque imagery in the story. In this essay, I outline several of the major literary theories of the grotesque and then show how they can be applied to the interpretation of this text. I focus on the hideous image of the *chágara* (river prawn) that inhabits the protagonist's deformed leg and the frightful image of these same monstrous creatures that emerge from the hollow eye sockets of the youngest doll/niece to exact revenge on the man who had silenced her. I show the complex ways that these horrendous images function in this story and demonstrate that they are prime examples of what Mary Russo has called the female grotesque.

Monstrous Metamorphoses: *Las Chágaras*, Magical Powers and the Grotesque in Rosario Ferré's "La muñeca menor."

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Rosario Ferre's first short story, "La muñeca menor*,"* published in *Papeles de Pandora* (1976), is a successful literary attempt to denounce the exploitation of women in patriarchal societies, in general, and in her Puerto Rican homeland, in particular. This short story, like many of Ferre's stories and novels, is about the transformation of a woman from passive victim and a doll-like object, who exists only in service of Others, into a powerful female Subject and agent of change. I will begin with a plot summary and then go on to analyze this well-crafted, complex narrative.

A beautiful young woman from the impoverished sugarcane aristocracy is stung in her calf by a *chágara* or river prawn one afternoon while bathing in the river. The family doctor treats her with old-fashioned home remedies such as applying mustard. Instead of getting better, the protagonist's leg becomes swollen, infected and more and more grotesque, as the following passage reveals:

> . . . se descubrió que la llaga se había abultado aún más, recubriéndose de una substancia pétrea y limosa que era imposible tratar de remover sin que peligrara toda la pierna. Entonces se resignó a vivir para siempre con la chágara enroscada dentro de la gruta de su pantorilla. (2)

After the doctor tells her that the *chágara* cannot be removed, the woman realizes that her disability is permanent; she won't be able to marry and is destined to become a spinster. She continues to live with her family and devotes her time to making dolls for her sister's nine daughters. The aunt makes one doll per year for each of her nieces, until they marry. The dolls are the exact size of each of the girls. On her wedding day, each

niece receives her last doll, which has been elaborately fabricated and filled with honey, instead of the usual cotton stuffing. As she gives away this special gift, the aunt whispers a mysterious phrase to her niece: "Aquí tienes tu Pascua de Resurrección" (5). In the meantime, the aunt sits on the balcony and hardly ever gets up. One day the family doctor who has continued to treat her for twenty years brings his son to show him the *chágara* that paid for his medical studies: " . . . se quedó mirando aquella inmensa vejiga abotagada que manaba una esperma perfumanda por la punta de sus escamas verdes" (5). The son realizes immediately that his father could have easily cured the infected leg and deliberately failed to do so for financial gain.

The doctor's son, himself an unscrupulous social climber, marries the youngest niece and takes her with him to town, where he forces his young wife to spend her days sitting on the balcony so everyone can see that he has married a member of the old aristocracy. The youngest niece's last doll is different from all the others. It has diamond eyes, is warm, and has a full set of the niece's baby teeth. After the young doctor steals the diamonds in order to buy himself a gold pocket watch, the youngest doll mysteriously disappears while the youngest niece continues to sit, unchanging, unaging, her eyes lowered, on the balcony. One night the youngest niece's husband, intrigued by his wife's porcelain-like skin, which defies the aging process, places a stethoscope on her chest and discovers the sound of running river water; as his wife/the youngest doll opens her eyes, he witnesses the horrifying sight of furious *chágaras* coming out of her empty sockets:

> Colocó delicadamente el estetoscopio sobre su corazón y oyó un lejano rumor de agua. Entonces la muñeca levantó los párpados y por las cuencas vacías de los ojos comenzaron a salir las antenas furibundas de las chágaras. (8)

"La muñeca menor" has been the subject of several critical studies. Generally speaking, these readings have focused on the fantastic elements of the story, on feminist interpretations of the oppression of women and the symbolism of the doll as a cultural icon, and on the narrative as an allegory for the social and cultural transformations of Puerto Rican society, that is, the replacement of the landowning oligarchy by the rise of a new mercantile and professional class.[1] In her essay "La cocina de la escritura," Ferré suggests that in "La muñeca menor" the destruction of the sugarcane aristocracy in Puerto Rico parallels the fate of women in patriarchal societies, and that values based on the importance of the family and Christian ethics were replaced by utilitarian, materialistic values characteristic of U.S. consumer-oriented society (141-143).[2]

There is one article that examines the indigenous, in particular, Taino cultural and mythological references and allusions that are pervasive throughout the story.[3] However, it is interesting to note that there are no studies that focus on elements related to Afro-Caribbean religious practices, such as Santeria. Santeria's roots are in the Yoruba religions brought to the New World by African slaves who were forced to accept

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[1] For insightful close readings of "La muñeca menor" from a feminist critical perspective, especially useful are the following articles: Yvette López's "'La muñeca menor': Ceremonias y transformaciones en un cuento de Rosario Ferré," Ksenija Bilbija's "Rosario Ferré's 'The Youngest Doll': On Women, Dolls, Golems and Cyborgs," Sandra Palmer's "Eros y logos confrontados: reivindicación de la esencia femenina y destitución del mito de la superioridad masculina en 'La muñeca menor' de Rosario Ferré," and Elba D. Birmingham Pokorny's "(Re)writing the Body: The Legitimization of the Female Voice, History, Culture and Space in Rosario Ferré's 'La muñeca menor'". Among critics who analyze this story as part of the collection *Papeles de Pandora* are Lisa Davis, Margarita Fernández Olmos, María Inés Lagos-Pope, and Diana Vélez.

[2] In this story, Ferré brings light to the exploitation of Puerto Ricans by the United States and the new dominant classes. It is important to note that the doctor's son studies in the United States and is depicted as the embodiment of crass, utilitarian values brought to Puerto Rico by North Americans who dominated the island's politcs and ecomomy following the colonization by Spain. Ferré has been critical of Puerto Rico's status as a Commonwealth of the United States instead of an independent nation. Puerto Rico is the only Latin American country that has never gained independence.

[3] See Linda S. Zee's "Rosario Ferre's "La muñeca menor" and Caribbean Myth" for a fascinating account of Taino mythological elements in this story. She suggests that Ferré may have been influenced by the Yanomani creation myth in which a man gives birth from his calf muscle, the same location of the

Catholicism. Santeria, similar to Voodoo practiced in Haiti and Candomblé in Brazil, is the result of the syncretism between West African and Catholic religions. Although the references to the ritualistic practices and magical powers represented in "La muñeca menor" don't correspond directly to Santeria, I argue that this Afro-Caribbean religion can be read as a significant subtext relevant to the interpretation of this story.

Another aspect of "La muñeca menor" that hasn't been examined in depth by the critics is the function of grotesque imagery in the story. In this essay, I will first outline several of the major literary theories of the grotesque and then show how they can be applied to the interpretation of this text. I will focus on the hideous image of the *chágara* that inhabits the protagonist's deformed leg and the frightful image of these same monstrous creatures that emerge from the hollow eye sockets of the youngest doll/niece to exact revenge on the man who had silenced her. I will attempt to show how these horrendous images function in this story and demonstrate that they are prime examples of what Mary Russo has called the female grotesque.

In my brief overview of the grotesque as a theoretical approach to the interpretation of literature and culture, I will limit my discussion to those aspects which are relevant to my interpretation of the function of the grotesque in Ferre's "La muñeca menor." In his book, *The Grotesque* (1972), Philip Thomson provides a historical summary of the concept of the grotesque and attempts to offer a definition which includes a discussion of disharmony, the comic and the terrifying, extravagance and exaggeration, abnormality, and related terms such as the absurd, the bizarre, the macabre, parody, satire, and irony. Thomson accurately synthesizes Wolfgang Kayser's seminal study *The*

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reproductive powers associated with the *chagara* which inhabits the aunt's calf in "La muñeca menor" (104-105).

Grotesque in Art and Literature (1963) in this passage: "The grotesque is the expression of the estranged or alienated world, i.e. the familiar world is seen from a perspective which suddenly renders it strange (and presumably, this strangeness may be either comic or terrifying, or both). . . . The grotesque is an attempt to control and exorcise the demonic elements in the world" (18).

Thomson points out that abnormality, such as the aunt's monstrous leg inhabited by the river prawn in this story, is often an essential ingredient of the grotesque. The shock-effect produced by grotesque images, in general, and by abnormality, in particular often functions as an aggressive weapon. Thomson asserts that the shock-effect of the grotesque may be used to "jolt the reader out of accustomed ways of perceiving the world and confront him with a radically different, disturbing perspective" (58). According to Kayser, the psychological effect of the experience of the uncanny is one of alienation. The reception of the grotesque by the reader is associated with "a generalized alienation from the world-which-has-become-strange" (Russo, 9).

Critics have debated whether the psychological effect of the grotesque is liberating or inhibiting and anxiety producing. Michael Steig posits that the function of the grotesque is paradoxical; that is, it both liberates and disarms or creates anxiety. In his words, "both extreme types of the grotesque [i.e. The predominantly threatening and the predominantly comic] . . . return us to childhood-the one attempts a liberation from fear, while the other attempts a liberation from inhibition; but in both a state of unresolved tension is the most common result, because of the intrapsychic conflicts involved" (259-60). This disarming effect of the uncanny is clearly revealed at the end of "La muñeca menor." Although the text is open-ended, the reader can easily imagine

the doctor's reaction. Not only will he be jolted out of his usual perceptions regarding the role of his traditional wife and his conventional marriage, the reader can safely assume that this dishonorable and corrupt character will be horrified by the grotesque image of the *chágaras* emerging from his wife's eye sockets. For him, the experience will definitely be more anxiety producing than liberating. On the other hand, for the aunt, this significant moment of sweet revenge suggests that she has been set free from her from her past inhibitions and former resignation. The victim as been transformed into the victimizer in this narrative's uncanny ending!

In contrast to Kayser's theory of the grotesque, which emphasizes the association of the grotesque with the uncanny and the horror genre, Mikhail Bakhtin's theory of the grotesque emphasizes the carnivalesque and the comic genre. The comic grotesque has become associated with Bakhtin's *Rabelais and His World* (1984). In his study of carnival folk culture in early modern Europe, Bakhtin reads Rabelais as a carnivalesque text with an emphasis on the grotesque body. Mary Russo defines Bakhtin's grotesque body as an "open, protruding, extended, secreting body, the body of becoming, process, and change" (62-63). One might argue that process of the transformation of the youngest doll in this story is an example of Bakhtin's "body of becoming, process, and change". However, for the purposes of this study, Kayser's concept of the uncanny and terrifying grotesque is more useful and applicable to Ferré's story than Bakhtin's comic grotesque. The grotesque images of the deformed feminine body in the "La muñeca menor" —especially the aunt's monstrous calf and the final image of *chágaras* coming out of the doll's/niece's eye sockets, are more likely to evoke horror than laughter.

Kayser's theory of the grotesque is closely related to Freud's concept of the uncanny. In his essay "On the Uncanny," Freud posits that the uncanny is evoked by the return of the repressed (Mills, 6). He argues that the repressed returns to haunt and terrorize; the uncanny is associated with dread and from an oedipal perspective, with the fear of castration.

None of the theories of the grotesque outlined so far take into account the repression of women in patriarchal societies or the role of feminism in the production of contemporary cultural theories. Mary Russo attempts to respond to this lack of gender sensitive theories of the grotesque in her book entitled *The Female Grotesque: Risk, Excess, and Modernity* (1994). Emphasizing the relationship between gender and the grotesque, Russo argues that the "female grotesque" is less a category than process through which gendered bodies and identities are constructed and deconstructed. She elucidates some of the intersections between Kristeva's concept of the abject, Freud's notion of the uncanny, Bakhtin's comic grotesque and Kayser's classic theory of the grotesque. Russo's focus is on excess and transgression in her analysis of the female grotesque in a wide range of literary, visual, autobiographical, and theoretical texts.

Russo suggests that as a bodily metaphor, the grotesque is often associated with the "cavernous anatomical female body" and that these associations of the female with "the earthly, material and the archaic grotesque have suggested a positive and powerful figuration of culture and womanhood to many male and female writers and artists" (1). She goes on to say that this view valorizes "traditional images of the earth mother, the crone, the witch, and the vampire and posits a natural connection between the female body (itself naturalized) and the "primal" elements, especially the earth" (1). Although

Russo is well aware of how these archaic tropes can easily lead to misogyny, they are often useful in studying the relationship between the uncanny, the female, and the grotesque in Western literary and cultural texts. In my reading of "La muñeca menor" I will show how the archaic trope of the female grotesque, especially in the form of witchcraft, can be applied to the aunt's magical powers and her strong connection to the natural world.

The story begins with a description of the aunt, when she was a young woman, the day she was bitten by the river prawn:

> De jóven se bañaba a menudo en el río, pero un día que la lluvia se había recrecido la corriente en cola de dragón había sentido en el tuétano de los huesos una mullida sensación de nieve. La cabeza metida en el reverbero negro de las rocas, había creído escuchar, revolcados con el sonido del agua, los estallidos del salitre sobre la playa y pensó que sus cabellos habían llegado por fin a desembocar en el mar. En ese preciso momento sintó una mordida terrible en la pantorilla. (1)

In this sensual passage there is a clear identification of the female body with Mother Earth; the waves that caress the young protagonist awaken her erotic desire. In this scene, this female character, who experiences a strange sensation of snow melting in the marrow of her bones and feels as though her hair has poured out into the sea, has become one with the river and narcissistically immersed in her own pleasure. Ironically, at the precise moment of what might be considered her sexual awakening, she suffers from the terrible bite which will transform her entire future, forcing her to abandon her dreams: "Había sido muy hermosa, pero la chágara que escondía bajo los largos pliegues de gasa de sus faldas la había despojado de toda vanidad. Se había encerrado en la casa rehusando a todos sus pretendientes" (2).

The just cited description of the young protagonist bathing in the river also suggests certain initiation rites in Afro-Caribbean magical, religious practices. For example, the river ceremony is central to Santeria. In this ceremony the initiate immerses herself in the river seeking purification and the blessings of Ochún, who is the goddess of the river and the goddess of love in Yoruba traditions (Sosa, 74). In Santeria the river is has very important magical powers called *aché.* The river is considered to be "the embodiment of an interaction between heaven and earth" and some practitioners maintain that "the river waters transform into the small, rounded stones that most often become the indwelling sites of *orisha* presence" (Mason, 71). The *orishas* are the gods and goddesses of Santeria; they can be called upon to do both good and evil.

The magical powers of the river are represented in "La muñeca menor" as closely linked to the ritualistic creation of the dolls. The aunt would submerge the stones used for each doll's eyes at the bottom of the stream for several days so that they would have special powers to detect the stirring of the prawn's antennae: " . . .la tía los consideraba inservibles hasta no haberlos sumergidos durante un número de días en el fondo de la quebrada para que aprendiesen a reconocer el más leve movimiento de las antenas de las chágaras" (4).

I am not suggesting that Ferre's short story is an exact representation of any specific Santeria religious practices. However, some of the magical and ritualistic aspects of the doll making process and the aunt's powerful revenge in the final scene do suggest the possibility of reading this story as having some allusions and references to Afro-Caribbean black magic. One more detail worth mentioning is that honey is used as a sacrificial offering to Ochún, the river goddess in Santeria. Also, Ochún is the deity who

helps to solve marital difficulties and relationship problems. It is very interesting to note that the aunt fills the wedding doll, which has magical powers, not with cotton, but with honey. The fact that she tells the young bride that this special doll is her "Pascua de Resurreción" alludes to the positive, liberating aspects of the dolls for the nieces. The reference to Easter Sunday, the most important day in Catholicism, is symbolic of the new life and potential to escape a stultifying marriage that these magical dolls provide these young women. This is a fascinating example of religious syncretism, because the fabrication of magical dolls, the casting of spells, and black magic are not seen as acceptable practices in the Catholic religion. Also, there is an ironic subversion of the concept of the institution of marriage as sacred. In this story, as in many of Ferré's stories and novels, traditional, patriarchal marriage is depicted as oppresive for women who must sacrifice their own identities, and repress their sexuality, in the service of their husbands and children.

Rosario Ferré explains that the story told in "La muñeca menor" is not pure fiction, nor invention, but rather, is based on oral tradition and storytelling within her own family. In"La cocina de la escritura" Ferré writes that the afternoon she became inspired to write "La muñeca menor" she visited one of her aunts who told her of a her distant relative at the turn of the century who used to make strange, monstrous dolls filled with honey (143-144). This woman was the victim of a corrupt husband who squandered her fortune before abandoning her. The woman in real life, as the aunt in "La muñeca menor", suffered from an injury in her leg and sought vengeance against the man who had betrayed her. The fabrication of monstrous dolls may allude to underground Afro-Caribbean magical, religious practices on the island; perhaps one of Ferré's distant

relatives was involved in making honey-filled dolls as part of a spritiual sacrifice to the goddess Ochún? It is also interesting to note that Ferre's paternal relatives, who were originally from France, resided in Cuba before moving to Puerto Rico. In Cuba, Santeria is more widely practiced than in Puerto Rico, even today.

"La muñeca menor's" uncanny ending, in which the *chagara* encrusted in the aunt's leg returns to haunt the doctor's son, can be read as an expression of the aunt's magical powers to fabricate monstrous dolls. From this perspective, we can see an example of the identification of woman with the archetype of the witch and with withcraft or *brujería.* This interpretation fits very well with Mary Russo's understanding of the female grotesque. She argues that the vindication of the powerful archetype of the witch can empower women in their struggle against male domination and oppression. In the case of the aunt, she uses magical practices in order to get revenge after having been exploited for more than twenty years. Each time she finishes a doll, it is cause for ritualistic celebration: "El nacimiento de una muñeca era motivo de *regocijo sagrado*, lo cual explicaba el que jamás se les hubiese ocurrido vender una de ellas, ni siquiera cuando las niñas eran ya grandes y la familia comenzaba a pasar necesidad" (my emphasis, 2).

Yvette López discusses the spiritual value of the ritualistic fabrication of dolls in this short story. She points out that, in many cultures, dolls—such as the Katchina dolls in Hopi tradition--are considered sacred, hybrid cultural icons and symbols of spiritual power:

> La muñeca como signo cultural es un objeto híbrido, que oscila entre lo vivo y lo inerte; como tal sirve de apoyo a los temas relacionados con la metamorfosis y la ambigüedad. Su bipolaridad esencial ha hecho de ella un elemento fundamental en los ritos de diversas culturas, en especial

> asociada a ciertos rituales de iniciación. La muñeca de ritual, al animarse con las fórmulas de consagración, se convierte en un signo de poder espiritual que adquiere el iniciado. (52)

In "La muñeca menor" the doll making ritual is accompanied by the aunt's increased immobility. Also, there is great ambiguity in this story regarding the disappearance of the youngest doll. Some critics argue that the youngest niece, in a process of metamorphosis, becomes the doll and there is a magical fusion between the youngest doll, youngest niece, and the aunt. The text's ambiguous ending is affirmed by the use of both the literary double and linguistic ambiguity.[4] Both the doll and the niece are referred to simply as "la menor" adding to the mystery and confusion: "La menor seguía sentada en el balcón, inmóvil dentro de sus gasas y encajes, siempre con los ojos bajos" (7). It is possible that the youngest niece has escaped and left the youngest doll as a substitute, which her indifferent husband barely notices.

Ferré comments on the text's intentional vagueness and its mysterious ending in her essay "La lección de cocina." The author also explains how in writing this story, she is also writing about her own personal struggle and contradictory desire to both destroy and to create: "Al identificarme con la extraña parienta de 'La muñeca menor,' yo había hecho posible ambos procesos: por un lado había reconstruido, en su desventura, mi

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[4] The use of the double as a literary device in this story is revealed in the representation of the following pairs of characters: the aunt and the youngest niece, who both sit with their eyes lowered on the balcony; the youngest niece and the youngest doll; and the doctor and his son, who both exploit the women in this story and are represented as greedy and unscrupulous. The use of the literary technique of the double is found in other stories in *Papeles de Pandora*. For example, in "Cuando las mujeres quieren a los hombres" the aristocratic wife, Isabel Luberza, of a powerful male character named Ambrosio and his lover, Isabel la Negra are presented as doubles. Each of them receives half of his home as an inheritance and they plan on converting it into a brothel. There is a fusion between the two characters at the end of this story. Also, in "La Bella Durmiente" the young protagonist María de los Angeles who is a ballerina and her father's former lover Carmen Merengue, a circus performer, are presented as literary doubles. In these texts, the use of the double often functions to illustrate how upper class women as well as working class women and prostitutes are victims of male domination in patriarchal societies.

propia desventura amorosa, y por otro lado, al darme cuenta de cuáles eran sus debilidades y sus fallas (su pasividad, su conformidad, y su aterradora resignación*), la había destruido en mi nombre. Aunque es posible que también la haya salvado*" (my emphasis, 144-145).

This narrative is deliberately open-ended and invites the reader to interpret it as he or she wishes. The shock effect produced by the terrifying, uncanny final image does make the reader question the alienating patriarchal world of the turn of the century represented in this short story. The symbol of the doll is very effectively used in this narrative to represent the subordinate role of women as mere passive "objects of adornment" on display in the culture of the old sugarcane aristocracy. The story's surprise, bizarre ending points to the aunt's transformation from a passive victim, who like her neice spent years with her eyes lowered sitting on her balcony, into an active agent of change and revenge.

"La muñeca menor's" uncanny ending can also be interpreted from a Freudian perspective. The terrifying final image can be read as a powerful symbol of the aunt's repressed sexuality and her repressed anger and rage. The aunt is finally exacting revenge against the doctor who exploited her for twenty years and against the doctor's unethical son, who shamelessly took advantage of his innocent and overprotected wife. The grotesque image of the frenzied antennae of the *chágaras* coming out of the empty sockets of the youngest doll's/nieces eyes also symbolizes the doctor's repressed fear and dread of the strong female. It suggests his fear of castration by a powerful female.

For Freud, eye loss is often associated with castration; the symbolism of the eyes and their being linked to the horrifying genitals of the Great Mother it is most evident in

Freud's discussion of the Oedipal myth (Bilbija, 888). In an interesting psychoanalytic interpretation of the above mentioned final scene, Ksenija Bilbija writes: "For the doctor (Freud, too), genitals-eyes-gaze become the unbearable and fearful site from which punishment will come. For the women, however, it contains the relationship to the mother and the power of female sexuality that cannot be repressed" (885).

In my opinion, these different readings of Ferré's short story—as pointing to a possible Santeria subtext, as an example of Russo's female grotesque based on the archetype of the witch, and as an illustration of the Freudian concept of the uncanny as a return of the repressed to haunt and terrorize--are not mutually exclusive, but rather compliment one another. I hope to have shown in this essay that each of these theoretical approaches adds to the rich complexity and multiplicity of possible interpretations elicited by Ferre's carefully constructed, fantastic short story.

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Title: The Disappearing Façade

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Abstract:

The traditional concept of the building façade was superseded during the latter years of the 20th century by the reinvention of glass as a primary cladding material. This change, realized world-wide in the core of all major cities, has not been sufficiently recognized as an aesthetic revolution. Three dimensional modeling of buildings in daylight has been largely discarded in favor of sheet-like surfaces reflecting sky and surroundings but truly revealing its design intent at night. Internal illumination is now a primary aesthetic strategy not an afterthought. This revolution was fueled by cultural factors and made feasible by technological advances that kept pace with and often stimulated architects' evolving visual objectives. From the ancient Egyptian, classical Greek, Roman and Byzantine eras through the Renaissance, Beaux Arts period and beyond the carefully modeled façade expressed the style and character of a building. The primary theorist of 20th century modernism, LeCorbusier, reaffirmed this view by announcing: Architecture is the masterly, correct and magnificent play of volumes brought together in light". Facades were designed to reveal themselves in daylight; nighttime viewing was incidental. In essence, ancient and classical traditions of southern Europe and the Mediterranean, recodified during the Renaissance, held sway over the architecture of the 'developed world' through most of the 20th century.

Precedents:

- Fully glazed iron structures were a special category of architecture in the second half of the 19th century. Building types, primarily utilitarian or temporary, included greenhouses, markets, train sheds, libraries and exhibition pavilions.

19th & Early 20th Century Visionary Projects:

- Paxton's Crystal Palace for the 1851 World Exposition
- Prefabricated greenhouses & conservatories
- Bruno Taut's 'Crystal House' for the Munich fair of 1910
- Gropius' factory at the 1914 Werkbund exhibition.

Conceptual Projects:

- Mies van der Rohe's 1920's sketches for completely glass sheathed skyscrapers for Berlin although not yet technically feasible predicted the future of the glazed skyscraper.

The All Glass Façade:

- First fifty years of the skyscraper were characterized by Beaux Arts, art deco and neo-industrial façade strategies continuing to maintain a separate identity for the window and the wall surface.

- Starting in the 1950's technical progress and evolving public taste elevated glass to a predominant façade material, minimizing the window as a distinct element and negating the sculptural aesthetics of volume - shades and shadows.

- Cultural factors: Driving this change in public taste was the explosion of computer generated, futuristic, images in the media and on the Web. Expanding urban night life and competition for attention in the skyline were also factors.

- Technical advances: In the 1990's technical advances overcame the major practical deficiencies of the glass façade - poor wind and weather resistance, uncontrolled solar heat gain. Glass technology was advanced by the major glazing manufacturers. Improved installation methods and development of high performance sealants for aircraft and the space program overcome the limitations of earlier curtain wall system. Occurring in concert, these developments, made glass cladding practical and environmentally efficient. Architects finally realized the dramatic potential predicted by the early visionaries of glass architecture. Aesthetics of the disappearing façade were fully embraced by the public, commercial and governmental interests and eventually blessed by the critics.

- Post Modernism: Reaction to the perceived loss of 'traditional values' of the all glass aesthetic in the 1970's and 1980's - largely unsuccessful attempts to revive neo classical values degenerated into crude pastiches of disparate styles, often using low end cladding materials to mimic stone masonry.

- At the beginning of the 21 century glass we find glass enshrined as the cladding materials of choice for most tall buildings and signature buildings in the burgeoning urban cores of cities in the developed and developing world.

Supplements:

- Illustrations – photographs, drawings, etc.
- Bibliography

1. Title of Paper: THE CREATIVE MIND WRIT LARGE:
FROM DAOISM TO HEIDEGGER

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6. **Abstract:** The intention of this paper is to journey into the uncharted waters of "creativity" within the context or horizon of the work of thinking that we call "Heidegger." As journey, the thinking presented here is *open to* the phenomenon or image of "creativity" as well as *underway,* i.e., with no quick arrival: It is more important to travel than to arrive–way, Dao, way-opening, on the way (imaged in the Chinese character for way: head + foot = way).

When creativity is taken beyond or behind the dominant way of abstract reason (subject) and determinate form (substance) to the hidden, then creativity (the noun) becomes creating (the verb) and names a work or movement that is no longer subjective (inhering in the individual subject who "is creative").

This paper takes one of several possible pathways, namely Heidegger's reading of Parmenides's το εον (being as emergent emerging, unfolding unfolding) and of regioning/opening, in order to describe being as αληθεια/disclosure.

Running throughout the paper's journeying is a playing with words and language and saying. For in the end saying shows creating co-creating (as emergent emerging). Thus I would offer as an alternative title to this essay: "Unfolding Creativity: Heidegger and Thinking Saying Emergent Emerging Opening."

THE CREATIVE MIND WRIT LARGE:
FROM DAOISM TO HEIDEGGER

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By Way of Beginnings

In China in the 4th century C.E. the Daoist poet D'ao Ch'ien wrote:

> To build a house in the human world
> And not to hear the noise of horse and carriage–
> How can this be done?
> When the mind is detached, the place is quiet.
> I gather chrysanthemums under the eastern hedgerow
> And silently gaze at the southern mountains.
> The mountain air is beautiful in the sunset,
> And the birds flocking together return home.
> In all these things there is a real truth,
> Yet when I want to express it, I become lost in no-words.[1]

No-words means not encapsulable in labels or linguistic names–or even in forms. "No-words" means free from labels, concepts, and form. In the attempt to say "the way things are," one gets lost; for in the saying of it, there are no forms, no footholds–no words. This is imaged in the silence that penetrates both the I that gazes (the thinking human) and the place itself (the region in which human thinking is situated or placed).

In his own poetic saying Heidegger, too, hears and tells poetically the rich unfolding of "nature" and how it yields unto no-words:

> When on winter nights snowstorms rip at the hidden hut and
> one morning the landscape is snowed up and brought to stillness...

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[1]Chang Chung-yuan, *Creativity and Taoism: A Study of Chinese Art, Philosophy, and Poetry* (New York: Harper and Row, 1970), p. 190.

> Thinking saying would be stilled unto its deep sway only by becoming incapable of saying what must remain unspoken.[2]

Here, too, when thinking tries to say..., but "it" cannot be expressed. Saying penetrates directly, without concepts or linguistic names. Saying bypasses knowledge *about* something. In saying there is self-showing of…what we cannot express in words and concepts that are tied to forms. What gets shown cannot be incorporated into system. Words that say remind us of "it," even though they are unable to express or describe "it."

When thinking saying dwells in this expanse, named "the truth of birds returning home," "the stilling snow," and "the stilling that cannot say the unspeakable," then thinking is face-to-face with the very movement of the region itself, the regioning, the dwelling itself. This very dwelling in the regioning of the region enables or lets emerge the coming-near whereby saying, in its surging with stillness, comes near and penetrates "it," even as it (saying) cannot bring it ("it") to knowledge or to system. So thinking saying dwells in nearness.

Heidegger says that "the nearness that brings poetic saying and thinking together in their neighboring-character we call saying [*die Sage*]. …Saying (*sagan*) means showing: letting appear, freeing up in clearing-concealing...."[3]

> Among all these things there is real truth,
> Yet when I want to express it, I become lost in no-words.

Seen from the vantage point of concept, definition, and reasonable clarity, the realm named here is elusive–and maybe even a farce? A pretence? Peripheral, if not simply non-existent? The dominant Western mode of thinking has often dismissed this realm as either peripheral or simply not there.

But before we dismiss it so lightly, it behooves us to stay here awhile, to stay with the way this unfolds, to see once if…. What is the patterning that gathers, and how can we say it?

What is the "real truth" that has "no-words"? What is the stilling that opens thinking saying to a *deeper* "source"–to the place of its deep swaying, that is unspeakable? What is this uncanny and unfamiliar withdrawing?

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[2] Martin Heidegger, *Aus der Erfahrung des Denkens,* Gesamtausgabe Band 13, ed. Hermann Heidegger (Frankfurt am Main: Vittorio Klostermann Verlag, 1983), p. 83; trans. A. Hofstadter, *Poetry, Language, Thought* (New York: Harper and Row, 1971), p. 11.

[3] Martin Heidegger, *Unterwegs zur Sprache*, Gesamtausgabe Band 12, ed. F.-W. von Herrmann (Frankfurt am Main: Vittorio Klostermann Verlag, 1985), p. 187; trans. P.D. Hertz, in *On the Way to Language* (New York: Harper and Row, 1971), p. 93.

Thinking that tends to this withdrawing cannot "get at" knowledge, but remains underway. This way-character of thinking is central when "no-words" and "becoming incapable of saying what must remain unspoken" draws thinking on. Heidegger says:

> The word *way* is probably a word of origins [*Urwort*] in the language that speaks to and exhorts those who are mindful. The guiding word in the poetic thinking of Lao Tse is Dao, which "properly speaking" means "way." ...The Dao might be the way that sets all on the way (makes the way for everything, is way-making). ...Perhaps in the word *way/Dao* is hidden the mystery of all mysteries of thinking saying, provided that we let these names re-turn into their unspoken dimension and provided that we are capable of this letting. [4]

And at the end of that essay Heidegger writes:

> We call the gathering that calls soundlessly–and as which (gathering) saying sets the world-relation underway–the ringing of stillness. It is: the language of deep sway.[5]

With this as background, it now seems appropriate to turn more directly to our theme: creativity. If we take some of the moves and turns manifest in our discussion so far as having to do with creativity–e.g., inexpressibility in words, openendedness of no-form, deeply penetrating stillness, *ringing* of stillness, earth-connectedness, thinking saying that nears–then we can say, initially and generally:

- that thinking the possibility in creativity goes deeper than the cognitive,
- that the ongoing ever-emerging unfolding that opens up for us cannot be conceptualized by abstract reason,
- that the withdrawing of "it" in no-words and no-form keeps creativity "empty," i.e., devoid of a stable, rigid, or permanent identity,
- that this "realm of creativity" cannot be known objectively, or be objectified,
- that, consequently, the role of "subject" is called into question, and
- that earth in its unfolding, surging, and emerging calls forth and binds this thinking saying—and thus binds the "thinking of creativity."[6]

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[4]*Ibid*., p. 187; trans., p. 92.

[5]*Ibid*., p. 204; trans., p. 108.

[6]In his book *Philosophy of Creativity* (New York: Peter Lang, 1989) David Miller says that in the philosophy of creativity our central task is "to be physicians for the whole Earth, attending with growing lucidity and compassion the ever present tendrils of the emerging novel forms of togetherness

We can say that, in its own deep swaying, creativity takes place in accord with non-objectifiable imagings. Creativity breaks through the linguistic-conceptual structures that make up the rigid framework of the dominant paradigm in our Western way and moves beyond the forms that enclose our thoughts. Creativity breaks through to a deeper level and, in the work or process itself, breaks through the very core make-up of human thought.

David Miller names the dominant paradigm of Western thinking as "abstract reason, determinate form, and completed actuality."[7] He writes:

> This paradigm of abstract reason, determinate form, and completed actuality received its most decisive formulation in the philosophy of Rene Descartes. What was both dominant and developing from the time of Plato gains its culminating expression in the rationalism of Descartes. ...There will be nothing accepted save what reason scrupulously judges to be entirely clear and distinct. What is accepted will have determinate form, and the form will illumine completed actuality. In this way, Descartes disclaims creativity in favor of a thoroughgoing cognitive philosophy.[8]

There is a growing awareness that this paradigm is coming to an end–is becoming undermined and is no longer holding. But the usual efforts that we see to replace the old, dying paradigm with an "alternative" paradigm will not suffice. In the thinking saying of creativity in its deep swaying, the structure of *paradigm itself* is called into question. This thinking thus calls into question *any* logical, separative system of categories that establishes boundaries and provides rules or models for thinking.[9]

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that is the creativity seen and experienced as the passing concreteness in its many appearances ...that is the whole Earth itself" (181).

[7]*Ibid*., "Prologue" and passim.

[8]Ibid., p. 38. Italics added.

[9]As far as I can tell, this understanding of paradigm underlies Thomas Kuhn's understanding of paradigm in *The Structure of Scientific Revolutions*, Second Edition, Enlarged (Chicago: The University of Chicago Press, 1970). In "Postscript–1969" he writes that paradigm "stands for the entire constellation of beliefs, values, techniques, and so on shared by the members of a given community" (175). Although Kuhn distinguishes several meanings of paradigm, in terms of "shared values," "shared examples," and "tacit knowledge," still all of these meanings of paradigm revolve around paradigm as a system of models and boundaries within which thinking takes place. Kuhn, of course, always discusses paradigm within the context of science and the scientific community. Finally, Kuhn's fundamental notion is that paradigms shift and thinking learns to do its work in the new paradigms (i.e., this learning to shift into new paradigms is the very structure of scientific revolutions). For these three reasons--paradigm as providing models, discussion of paradigm limited (by implication) to the scientific

The move beyond paradigm is named in D'ao Ch'ien's "no-words" and in Heidegger's "saying as ringing of stillness." Both can be heard as an opening to "no-paradigm" at all.[10]

Imprisoned as we normally are in the paradigm of abstract reason, determinate form, and completed actuality (in the basic model of Western philosophy, e.g., philosophy of objectifying subjectivity and metaphysics of substance), we are usually forgetful of the deeper unfolding of creativity.

Creativity as no-paradigm and no-form shows us that we have no moorings. The moving penetrating opening that is creativity abolishes all moorings, opening up and evoking newly emerging ways of creating, thinking, and saying. If we hear the way of looking and listening as a questioning that opens up and "gets the feel of"–or of thinking's attentive hearing of that to which it is always already connected in its *deepest* unfolding–then the philosophy of creativity calls for a most radical and revolutionary re-thinking of the way or "method" of philosophical thinking itself.

Unfolding creativity now urges us to break with the traditional patterns or models, to break with the filtering of data that we usually do–so that "what is" fits the paradigm–to break with the paralysis that sets in when form and paradigm control what we see. We break away in order to see and hear what really happens, what is actually unfolding and emerging in the world when we see and hear it "creatively." There is a shared experience that goes beyond personal mind, of which the mind is participant. The one-fold of creative mind and "our mind" is at the forefront in this thinking/saying.

Sounding Words as Remindings

Listen to the words of creating/creativity. Sounds and resounds. Soundings and resoundings, whose resonance echoes reminders to and in us from within the saying of the words. Reminding us, calling us to be mindful. *Mind* in the root sense that νους and νοος have in Heraclitus–and maintained in hints even in Aristotle: awareness, wakefulness, being awake. Moving closer yet to the question before us: awakening. So these soundings of words are remindings, offered as awakenings.

The roots of the English word *create* are Middle English *createn*, Latin *creare* and *crescere*, Greek χραω, κρεω, κεραω, and Sanskrit *kri* and *kara.*

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community, and the assumption that one *always* stays within some paradigm--Kuhn's work is perhaps as far removed as is possible from what is being opened up here.

[10]David Miller names philosophy of creativity as meta-paradigm, which in its very root sense is what I am calling here "no-paradigm."

kri	do, make, perform cultivate
	utter, say, pronounce
	saying that is a doing saying that unfolds
kara	wander, move, go
	extend, browse
	live, carry on
	come forth, appear
χραω	show, express
	give what is needful
κρεω	commence, engender, bring forth
χεραω	mix, blend
creo	grow, thicken give rise to
	appear, become visible
creatio	begetting, not of human building
	doing, working
creatus	sprung from (emerged from)
crescere	grow, emerge, come forth, arise
	expand, swell, wax
	rise, thrive, increase, prosper
	deepen in intensity
createn	raise
creature	life
	act of creating (as growing, emerging)

In all of its roots and shapes, the word *create* says: grow, come forth, appear, rise, give rise to, grow/emerge, expand, rise, intermingling living. Emerging from out of these many words and nuances–and the saying thereof and therefrom–creativity is rising creating emerging surging unfolding, co-creating and synerging. From all of these soundings we can say:

a. Creativity has nothing to do with creating "from out of nothing." This is a Christian overlay that the word itself does not have.
b. Creativity needs to be seen as a moving emerging creating. Thus the name *creativity* needs to give way to *creating.*

c. Creating growing emerging unfolding names that deepest "it" that can be expressed in no-words, has no-form, and is imaged in no-paradigm.
d. Creative means "originative," having to do with how coming-forth happens.
e. In its participating in mixing/intermingling, creating is always co-creating or syn-ergic (working along with). Mindful of the emergent emerging of "isness," the movement of creating involves the interwoven and interconnected relating (the patterning gathering) of all. This awareness of interpenetration of the region of the unfolding emerging itself undercuts all distinction between "being" and "not-being." It is for this reason that Heidegger in 1973 reads Parmenides's εστι γαρ ειναι and το εον as emergent emerging, unfolding unfolding–putting emphasis on the *movement*-character of το εον. As movement, the work of being is always as emerging unfolding, is ενεργεια:

> Thought in its Greek character, the word ειναι images (says, bespeaks): emerging, coming forth, unfolding (*anwesen*). This verb is more precise, reveals more, and brings us closer to the matter for thinking. In accord with that, we must translate εστι γαρ ειναι as "Emerges (comes forth, unfolds), that is to say, emerging (coming forth, unfolding) (*anwest nämlich anwesen*)."
>
> But a question arises: Where and how does emerging emerge? Where and how does coming forth come forth? Answer: "forth..." into disclosure. If this is so, then εον (the one thing to think) is the "heart" of disclosure. In Fragment 8, line 4, Parmenides explicitly names το εον as ατρεμες, "never trembling." Το εον: "in itself still and stilling, it permeates and attunes disclosure."
>
> In accord with this we cannot take αληθεια as empty and rigid openness. Rather we have to think it more as the revealing unfolding that encircles and hands over το εον, the emerging: emerging itself.
>
> This, the movement of emerging itself emerging permeates disclosure, which, in encircling, hands over and discloses it.[11]

In gathering these many moves and turns, always still within the ringing of stillness and the no-words of the *Dao*, from within which the thinking saying of emergent emerging unfolds, one is awakened to several aspects that call for mindful awareness:

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[11]Martin Heidegger, *Seminare,* Gesamtausgabe Band 15, ed. Curd Ochwadt (Frankfurt am Main: Vittorio Klostermann Verlag, 1986), p. 405ff.

a. It seems appropriate to let the word creativity go, in favor of creating synerging emerging surging unfolding.
b. The "creative event" is more of the earth, world-connection, and being as emerging unfolding than it is of subjective experience.
c. The "creative event" is more an open unfolding than an object of objectifying subjectivism.
d. It may seem appropriate to let the phrase "creative event" go also, in favor of the creating synerging emerging surging unfolding. Such "wording" is less likely to be substantiated or objectified.
e. This creating synerging emerging surging unfolding is a phenomenon to be heedful of (awake to) rather than a work of rational ego-consciousness, or of the subjective unconscious.
f. This creating synerging emerging surging unfolding is an ongoing work, doing, actual emerging unfolding–rather than a "capacity" that the human subject "holds."
g. The creative surge,[12] the creative process,[13] or creative genius[14] are hereby called to go *under* the notion of the creative individual or of creativity as a subjective experience to creating as root unfolding o£ emerging coming-forth synergic surging--as: το εον.
h. "Creative mind" is co-emergent mind, in which appearances are manifestation of the non-personal mind, and mind is space—non-subjective and non-dualistic.

Saying Opening

The way/Dao from sleep to awakening is very simple, although for many it is a long way. All that is needed is to "turn around" to this deep swaying, named το εον by Parmenides at the beginning of the historical unfolding of thinking in the West. The first step is to think clearly the limitation of form, concept, and paradigm–and to see its "no-way-out" character. The second step is to remember how to say this emerging unfolding.

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[12] David Bohm and F. David Peat, *Science, Order, and Creativity* (New York: Bantam Books, 1987).

[13] Brewster Ghiselin (ed.), *The Creative Process* (New York: Mentor Books, 1959). As far as I can tell, this book sees the paradigm of creativity as exclusively subjective.

[14] John Briggs, *Fire in the Crucible: The Alchemy of Creative Genius* (New York: St. Martin's Press, 1988). This book is interesting and intriguing, although trapped in the scientific paradigm of the relation of creative genius to brains!

Poetic saying is a way of seeing, a way of opening, and, above all, a way of reconnecting to the deepest swaying (emerging synerging surging unfolding that is the "isness" or "being"). Poetic saying evokes this awakening. The words of poetic saying remind us, awaken us, make us mindful. For this reason the words of poetic saying are often repeated, are tautological ("a rose is a rose is a rose").

Saying is a way of thinking and being in the emergent emerging that is "nature." (*Natura* is birthing, growing, emerging—not physics, but rather *natura*: birthing emerging surging.) The work of poetic saying is to open to this emergent emerging.

Saying needs mindfulness=openedness to *natura*/surging emerging. For saying, form is not as important as attentiveness=openedness for. The ringing of stillness is the calm lake of this attentiveness. Saying is born out of this stillness.

The depth of "creativity" is this openedness or opening, in which there is no longer a human "agent"–one who creates or wills–but in which the emerging itself works within human thinking saying. Far from being the initiators or controllers of this work, humans in their thinking-saying become the node for the work itself to work, for self-showing, for emerging surging unfolding.

Thus we are led to the question of openness itself (*die Offenheit selbst*) in Heidegger's thinking. This "openness itself" can no longer be taken merely as something called for in humans; rather it is questionable–openable–in its own right. Heidegger says:

> But perhaps something else is reserved for us in its exigency: to uncover from the ground up openness itself, the way in which it unfolds in its deepest way--and as what.[15]

In English we have the verb "to open"; the gerundive form of this verb is *opening.* Although the English noun *openness* "translates" Heidegger's German word *die Offenheit* fairly "accurately" according to the dictionary, it is the verbal sense that fits the unfolding that is necessary to the work here–given the always ongoing unfolding of *die Offenheit.*

If we hear Heidegger's words as a way of opening up the matter thrust upon our thinking here–rather than being limited to their grammatical correctness–then we might let Heidegger's word *Offenheit* be opened up a bit. It seems appropriate, then, to release the word *openness* (as noun) into *opening* (the verb)-to think the word *Offenheit* in the verbal, movement sense that it clearly carries in Heidegger's thinking saying.

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[15]Martin Heidegger, *Grundfragen der Philosophie*, Gesamtausgabe Band 45, ed. F.-W. von Herrmann (Frankfurt am Main: Vittorio Klostermann Verlag, 1984), p. 189

Creating as opening names the region or dimension where the harmonics of differences play themselves out, where the contension of opposites is gathered, where *what* emerges is mirrored back to and into the creating emerging itself. As soon as creating synerging emerging touches us, we are in it–no further "decision" or "move" on our part is necessary.

Heidegger talks of this regioning—and of us within it–in the following way:

> In staying in itself [needing no further foundation or "grounding"] region gathers, each to each and all together, into the lingering–[quietly] just as if nothing "actually" takes place. Regioning is gathering sheltering-back to the expanding staying in the whiling [lingering]. So region is both expanding and lingering at the same time. It lingers into the expanding of the staying [self-sustaining].[16]
>
> Because, in regioning everything, regioning gathers all together and lets it return to itself, to proper self-staying [properly resting in itself, with no justification or foundation outside itself]. Then regioning would itself be nearing and distancing [converging and diverging] ... a characteristic which should not be thought of dialectically.[17]

"Creative surge" as creating synerging emerging is the opening regioning to which human thinking saying is opened. Thus for humans to be "creative" in what is own to them is for them to stand outside themselves in this opening, to stand in the dynamic interplay of human-being and φυσις/*natura* as emerging unfolding. To be human in this creating synerging emerging is to stand outside as being-in the expanse–clearly no longer a "subjective state." As humans in the creating synerging emerging surging unfolding, we are called upon to be nothing more and nothing less than ecstatic.

Images Gathering Creating

Word images of creating are words that image this non-subjective, ongoing (underway), and open-ended way of saying. In its deepest sense the word *wild* mirrors creating synerging emerging: in the raw of its natural way, untouched by humans. *Wild,* not in the sense of unruly, violent, chaotic, but rather in the sense of (imaging) open, open country, self-being, raw, full of possibility. *Wild:* no-form, impermanence. *Wild:* natural/*natura,* birthing, emerging. *Wild:* self-

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[16]Heidegger, *Aus der Erfahrung des Denkens,* p. 47; trans. A. Hofstadter, in *Poetry, Language, Thought,* p. 66.

[17]*Ibid*., p. 70; trans., p. 86.

revealing, always ongoing creating emerging itself, not reducible to logical or inert substance systems, eluding analysis. In his essay "The Etiquette of Freedom" Gary Snyder calls "wild": beyond categories, self-transforming, playful, surprising, impermanent, insubstantial, independent, self-correcting, freeing manifesting, complex, quite simple.[18]

Seeing wild in this life-affirming, interconnected, and expanding way, one can open up many areas o£ concern to their deeper unfolding. For example, underneath culture as "socially transmitted behavior patterns" based on "values" (or paradigm) is culture in a biological, wild-creating sense: nourishing habitat (e.g., a yogurt culture). Underneath body as a merely physical organism is body as self-regulating, playful, conscious, freely manifesting. Underneath language as a linguistic instrument is language that says/shows as wild-creating, freely manifesting self-transforming.[19] Finally, underneath human being as isolated subject who wills the world is human being as alert, generous and participating– human being with the strength of humility in accord with the power o£ creating self-creating mind.

All of these word-images point to ongoing, unfolding movement. Thus (1) they are mostly participial or gerundive in form–word-images that say the ongoing work, the open-ended way, the underway character. And (2) they point beyond the dominant grammatical and therefore metaphysical structures of language itself.

The intermingling, the no-form, and abandoning concepts call for the deepest penetration and opening of the structure of language itself. This calls for letting go of the subject-predicate structure of language, which mirrors the substance-accidents structure of "reality" as known and objectified in the dominant paradigm of abstract reason and determinate form. Letting go this linguistic, syntactical, and grammatical structure opens out onto a new and deeper way of saying.

Can the subject be external to the predicate? Is there a subject (substance) which is "within," over against the predicate (substance)"without"? Mind in abstract reason sets up categories or concepts and puts phenomena *into* these categories *without letting phenomena emerge* and *unfold and surge synergicallv.* Thinking saying in accord with creating goes beyond and deeper, penetrating into the very emergent emerging itself.

In this deeper region thinking saying is no longer caught within subject-predicate structures. The action is not something the subject *does.* Rather each action is its own "subject" and its own "object"—or, put another way, there is no longer any separation between subject,

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[18] Gary Snyder, "The Etiquette of Freedom," in *Sierra* (September/October 1989), p. 76.

[19] *Ibid*., p. 77.

object, and action. The Vietnamese Buddhist poet and Zen master Thich Nhat Hanh meditates on what emerges at this juncture:

> The wind blows. The rain falls. The river flows. In sentences like these we can see clearly that the subject and the verb are one and the same. There is no wind without "blowing," no rain without "falling," no river without "flowing." If we look closely, we can see that the subject of the act is in the action, that the act itself is exactly its own subject.
>
> The most universal verb is the verb *to be*: I am, you are, the mountain is, a river is. The verb "to be" does not express the dynamic living state of the universe. To express that, we must say "become." These two verbs can also be used as nouns: "being," "becoming." But being what? Becoming what? "Becoming" means "evolving ceaselessly" and is as universal as the verb "to be." It is not possible to express the "being" of a phenomenon and its "becoming" as if the two were independent. In the case of wind, "blowing" is the being *and* the becoming. For rain, its being and becoming are "falling." For the river, its being and becoming are "flowing."
>
> We say that "rain falls," but "falls" is not the most precise term. Snow, leaves, and even radiation also fall. If we say "to rain," that would be a more precise description for the activity of the subject "rain." We can say, "The rain rains," to describe this activity, using "rain" as both subject and verb, or we can just say, "Raining," or even, "Rain." In the same way we can say, "The painter paints," "The reader reads," "The meditator meditates." Following this pattern of usage we can also say, "The king kings," "The mountain mountains," "The cloud clouds." The reason for the existence of the king is to be king, to act king. The reason for the existence of the mountain is to be, to act, to do mountain. "Acting-being" king means doing what a king does–reigning over the people, giving royal audiences, and a thousand other things. So, as in the case of "rain rains," we can simply say, "The king kings." Then the first word is the subject and the second the verb, a verb which is not universal, a verb which is used just for kings. Thus each subject becomes a verb, and the verb is the being of the subject.[20]

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[20]Thich Nhat Hanh, *The Sun My Heart* (Berkeley: Parallax Press, 1988), pp. 55f.

At the end of the chapter--and in accord with the thinking saying in its deep swaying—Thich Nhat Hanh writes about saying itself:

> My words can only be hints of an evocative dance, a pointing finger. ...I hope you are not going to transform my words into concepts, new concepts that can be stored inside you.[21]

Phenomena-images also show or manifest wild-creating *natura*-emerging:

> Hearing creating within the whole earth as φυσις, patterns of unfolding creating or patterns of what is always at work in its working (Aristotle: ενεργεια),
>
> Hearing earth and its manifestations, not as machine and the foreignness of things, but as a dynamic invisible flow of wildness–deer mice in the back porch, spiders in the corner, wild creating,[22]
>
> Hearing the ways of earth as intermingling: fast change-able sudden wind, slow contracting cold, warm expanding heat, lingering damp,
>
> Hearing the seasons as images of creating intermingling unfolding: the budding, fresh, expanding, growing opening-out springing-up of spring's "activating"; the fiery, abundant, full opening of summer's "accomplishing"; the descending, centering, quieting of autumn's "withdrawing"; the dark, quiet, regenerating, hidden, original withdrawn creating from within of winter's "possibility"; and finally the radiant nurturing sheltering enlivening invisible interchanging centering of earth's "attuning."

Let me draw this to a close by turning to the first hexagram of the *I Ching: The Book of Changes:*

> Creating works sublime success,
> Furthering [letting emerge] through perseverance.

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[21]*Ibid.,* p. 60.

[22]Cf. Snyder, *op.cit.,* p. 77.

All beings owe their beginning to this creating emerging unfolding. Furthering (saying): creating that which accords with beings in their deep swaying. Persevering (saying): staying on course. Both furthering and persevering make up the work of preserving as continual unfolding and coming forth.

As translated by Richard Wilhelm, one of the commentaries to this hexagram reads:

> The way of creating works through changes and transformations, altering and shaping beings so that each thing comes into its proper "nature," and then holds them in accord with the great harmony.[23]

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[23]Richard Wilhelm (trans. and commentator), *I Ging: Das Buch der Wandlungen* (Düsseldorf: Eugen Diederichs Verlag, 1974), p. 25f.

Title Page

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Abstract: Dialogue and Discovery: Judith Marcuse Creates ICE, FIRE, EARTH and AIR

This paper will focus and elaborate on the uniqueness of the creative process of Vancouver choreographer, Judith Marcuse, as it continues to unfold through her recent dance works; ICE, FIRE, EARTH and AIR. In the early 90s Marcuse began a new journey of creation, leaving her work as an artistic director of her own company behind, as she began to explore dance and theatre arts with the youth of the Vancouver community. Planning ICE, FIRE, EARTH and AIR with youth at the centre of the creative explorations has allowed Marcuse to bring her artistry to the community in a

ground-breaking way. Issues that are central to the lives of youth are discovered through Marcuse's innovative process. ICE explored the angst of teen suicide, while FIRE dealt with violence in the lives of youth, either afflicting or being afflicted by aggressive acts. EARTH'S initial stage of exploration--*The EARTH Symposium*--held in Vancouver in the Spring of 2004, addressed the issues of social justice and environmental sustainability. By involving artists and youth from around the world in dialogue and discovery, the web of EARTH'S creative process began to form. This work seeks to be inspired by artists and youth on a global scale and will culminate in *The EARTH Project Festival* in Vancouver in 2006. AIR, scheduled to premiere in 2009, will consider the dreams and aspirations of youth, and again will be a quest to create a work with global input from both artists and youth. Marcuse's ICE, FIRE, EARTH and AIR are four unique and powerful productions that reveal a new way of creating and collaborating with youth in community.

Grammar and Politics.
Political Discourse and temporal deixis *ad phantasma*

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A basic characteristic of political discourse consists in the fact that often it does not re-create linguistically the world we talk about but **creates** a world, because it is mainly a compound of two categories of speech acts: *directives* (e.g. requesting) and *commissives* (e.g. promising). In this process grammatical tenses and temporal expressions play a major role. In what follows we shall analyze the way in which political speeches use the present tense when speaking about the future. The data have been gathered from the following speeches: F.D. Roosvelt (1933), Nicolae Ceauşescu (1987), George W. Bushs (2001), and Adrian Năstase, the Romanian Prime-Minister (2004).

Our analysis is based on the hypothesis that the specific feature of the Romance present may be roughly defined as the marker of a relation of inclusion between two times:

(i) *a cognitive time*, defined by the position in time of the speaker's mental reconstruction of the event;

(ii) *a textual time*, the time of the universe created by the utterance.

In brief, the cognitive time is included in the textual time. This hypothesis rests on Bühler's dichotomy (1982) that characterizes any type of deixis, including tense, namely: *deixis ad oculos* (referring to the enunciation time) versus *deixis ad phantasma* (with no reference to the enunciation time, but to the time created by the enunciated text, the utterance). The inclusion of the enunciation time into the time of the narrated event is not a *sine qua non* of the use of the present tense (ciz historical present). This Tense model combined with Speech Acts Theory can explain the fact that, in political discourse, past tenses, the *historical present*, and the *factual present* (which reconstruct linguistically preexisting events) have a very limited use (v. Arendt 1972, Thom 1987, Le Bart 1998). The analysis of the speeches referred to above reveals the following uses of present tense:

(i) gnomic (universal) present used for constructing arguments rooted in commonly shared beliefs and/or political models;

(ii) present of modal verbs of necessity, characterizing any *directives* and *commissives*;

(iii) present of verbs of saying as means of *hedging*, for the purpose of evading responsibility for the proposed policies and their effects on society;

(iv) and, much less often, the so-called factual present that describes the state of affairs at the time of enunciation (indexical use).

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Subverting a Woman's Life: Emily Grierson As Murder Victim

Topic Area: Literature

Panel Session

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Subverting a Woman's Life: Emily Grierson As Murder Victim

If women's stories are not told, the depths of women's souls will not be known.

Carol Christ, *Diving Deep and Surfacing*

As Ruth Sullivan pointed out more than thirty years ago in her article, "The Narrator in 'A Rose for Emily,'" criticism of William Faulkner's story up to that time tended to assume that Miss Emily is its most important character, that the story's narrator presents her objectively, and that Miss Emily "can be analyzed as though she had an existence apart from the consciousness through whom Faulkner chose to reveal her" (Sullivan 159). Moreover, most criticism has seemed to accept what is merely suggested through circumstantial evidence: that Miss Emily both killed Homer Barron with arsenic, then engaged in a necrophilial relationship with his rotting corpse for several decades. Once these ideas are accepted, critical analysis takes on the conventions of a detective story with a psychological twist. The question becomes not only "Why did Miss Emily kill Homer Barron?" but "Why did Miss Emily go crazy?"[1]

To focus on Miss Emily's psychology and motivations, however, is to trust the narrator and thus to overlook what is most significant about the story to a feminist reader. For as Sullivan and other critics have suggested, the narrator in this story is not one to be believed without much careful examination. As Sullivan says, the narrator "is the medium of consciousness through whom [Miss Emily] is filtered" as well as "an emotional participant in Miss Emily's life" who

"therefore cannot be objective" (Sullivan 160). Critics who have written since Sullivan have focused on the narrator in a number of ways. Dennis W. Allen explores the conflict between the aristocratic and democratic views in the narratorial voice of the "townspeople." Hal Blythe (1988) argues that the narrator seeks revenge for Miss Emily's rejection of him, while Michael L. Burduck's response to Blythe suggests that the narrator is female, and Renee R. Curry argues that "Faulkner's narrator suggests an authorial bisexuality" (Curry 393). Isaac Rodman says that the narrator, like the Griersons, "exists in a rarified linguistic stratum, talking to the town but above it" (Rodman 6).

While these critics are correct to focus not on the title character but on the narrator, they have stopped short of clarifying what is all too obvious to a feminist reader: *There is no Emily in the story*. True, the narrator constructs both Miss Emily's story and Miss Emily herself as a character within that story according to Southern social stereotypes, then leads readers to believe they are reading an objective account. But "A Rose for Emily" is not a story about an individual woman. Instead, it is a story about how the patriarchal consciousness of Jefferson makes it impossible for Emily to exist as anyone other than "Miss Emily"--the discursive product of Jefferson as an interpretive community. Who *Emily* is, we do not know. Despite Curry's very interesting assertion that Emily exists "in the white space beneath the eyes of the patriarchy" (Curry 399) and Minrose C. Gwin's argument that in the end Emily "subverts the signifiers of marital love" and "creates new meaning for herself" (Gwin 246), the reader of Faulkner's text has no way of knowing this or anything else about the real woman because, as linguist Dale Spender would say, she occupies no semantic space[2]. As Judith Fetterley writes, "the real violence done to Emily is in making her a 'Miss'" (Fetterley 38). Discursively speaking, she is a murder victim.

To see that this assertion is true requires a careful examination of the narrator. In the first place, the narrator is apparently not a single consciousness. Although there are instances in which the narrator uses "they" to refer to certain groups of townspeople, the first-person plural "we" and "our" is used throughout and the first-person singular is never used. The third-person references lend an illusion of authority and objectivity, but the use of "we" and "our"--never "I"--makes it clear that this narrator either has, or purports to have, a peculiar power of communal omniscience. "He" (the reason for the male pronoun will be discussed shortly) claims to know, with all the authority of a conventional omniscient voice, the precise details of scenes in which he did not take part, such as the one in which the younger generation of town leaders visit Miss Emily about her back taxes:

> ...and when they sat down, a faint dust rose sluggishly about their thighs, spinning with slow motes in the single ray.
> She did not ask them to sit. She just stood in the door and listened quietly until the spokesman came to a stumbling halt. Then they could hear the invisible watch ticking at the end of the gold chain (Faulkner 121).

The point here is that even if "they" later described the scene to the narrator, it is unlikely that "they" would describe either the precise way the dust "rose...about their thighs" or the ticking of a watch they could not see. Does the narrator know these details through some supernatural mental power? Does he supply them from his own presumptions? If so, how do we know he doesn't supply the whole story? At any rate, the act of choosing detail implies the existence of bias. Despite Joseph W. Reed's assertion that readers "join the narrator...because he makes sense,

because he is tough-minded, because his imagination and expectation seem more objective than the other options offered us" (Reed 15), the narrator is clearly not objective.

Of course, to say the narrator is biased is to identify neither the bias nor the narrator. Cleanth Brooks, in "Faulkner's Early Attempts at the Short Story," says the narrator is "a mere nameless observer [who] takes on something of the quality of the Sophoclean chorus, voicing the expectations and anxieties of the community and reflecting...the community's values and basic assumptions" (Brooks 49). The community, he says, "is scarcely aware of the deep ambiguity of its attitude toward her" (Brooks 52). Brooks doesn't offer to name those expectations, anxieties and attitudes, but a close examination of the story reveals that they are decidedly reflective of patriarchal views. Consider the opening paragraph:

> When Miss Emily Grierson died, our whole town went to her funeral: the men through a sort of respectful affection for a fallen monument, the women mostly out of curiosity to see the inside of her house, which no one save an old man-servant--a combined gardener and cook--had seen in at least ten years (Faulkner 119).

The patriarchal viewpoint in this opening may not be obvious at first. It might seem to a reader unaware of gender stereotyping that the narrator espouses neither a male nor female view. There is an illusion of objectivity, and it may lull the naive reader into, as Reed puts it, "join[ing] the narrator," perhaps because most of us have been enculturated to share that patriarchal bias and learned only later to see beyond it. The voice of "the man" still carries tremendous authority, so it seems natural that the men objectify Miss Emily (she is a "monument" rather than a real woman to them) while the women are concerned only with domesticity.

The narrator's gender bias and patriarchal view is revealed throughout the story and is so pervasive that it would be impossible to cite all examples. In recounting how Colonel Sartoris remitted Miss Emily's taxes by telling her a tale of her father lending the town money, the narrator tells us "Only a man of Colonel Sartoris' generation and thought could have invented it, and only a woman could have believed it" (Faulkner 120). In explaining why Miss Emily did not appear on the streets after Homer Barron's disappearance, the narrator attributes Miss Emily's absence to "that quality of her father which had thwarted her woman's life so many times" (Faulkner 127). At Miss Emily's funeral, the narrator tells us the "ladies" are "sibilant and macabre" (Faulkner 129). These examples reveal patriarchal values: Women are dumb enough to believe anything, and the only way they can happily be involved in a community is by living a "woman's life" (as wife and mother, presumably). Nothing else is imaginable to this narrator.

Moreover, this voice of patriarchy displays a certain class bias. He may be the voice of the white male view, but his is that of the *common* white male view. He speaks deferentially of Colonel Sartoris and men of his generation, but he clearly shows disdain for the ruling class Griersons. For example, when the cousins leave he says, "We were glad because the two female cousins were even more Grierson than Miss Emily had ever been" (Faulkner 127). So whether or not this narrator is an individual or a "Sophoclean chorus," the view presented is clearly androcentric and patriarchal. Both his patriarchal views and his class attitudes are at the core of the way he constructs Miss Emily's story. Therefore, this narrator may as well be referred to with male pronouns, and we must definitely question *his* story.

The next issue to consider is how this voice of patriarchy constructs not only Miss Emily's story but Miss Emily herself. To do so requires some background on the social mores of the South.

W.J. Cash, in *The Mind of the South,* published in 1941, not long after "A Rose for Emily," describes the legendary Old South as "a sort of stage piece out of the eighteenth century, wherein gesturing gentlemen move soft-spokenly against a background of rose gardens and dueling grounds, through always gallant deeds, and lovely ladies, in farthingales, never for a moment lost that exquisite remoteness which has been the dream of all men and the possession of none" (Cash ix). These legendary ladies and gentlemen lived in "large and stately mansions, preferably white and with columns" and their estates were "feudal baronies, their slaves quite too numerous ever to be counted" (Cash ix).

What was really going on, Cash says, was that the "gentlemanly *idea* (italics mine) driven from England by Cromwell, had taken refuge in the South" (Cash ix). The ruling class whites (who owned slaves) and the poor whites (who owned neither slaves nor much property) were derived from the same roots, and those roots were not quite aristocratic. The ruling class came out of "the strong, the pushing, the ambitious, among the old coon-hunting population of the backcountry" (Cash 14) while the "non-slaveholding masses" came out of "the residue of the generally homogeneous population of the old backwoods of the eighteenth century, from which the main body of the ruling class had been selected out" (Cash 21). Yet despite these common roots, there remained the idea of aristocracy. "Everybody in the South was aware of, and habitually thought and spoke in terms of, division of society into Big Men and Little Men, with strict reference to property, power, and the claim to gentility" (Cash 35). The Southerner's world, Cash says, "remained always...a simple aggregation of human units, of self-contained and self-sufficient entities" grouped "along class lines" (Cash 35).

So far, this discussion of class in the South has been about white men. But "A Rose for Emily" is a story about a white woman, or more specifically, about a white woman as evoked by a

communal, patriarchal voice. Its main characters are the white woman herself, a black servant, and a Northern laborer. Where did such people fit into the world of "Big Men and Little Men"?

In a section of her book *Yoknapatawpha* in which she discusses the South upon which Faulkner based his fiction, Elizabeth Kerr writes that Southern paternalism was preserved in the concept of family and white womanhood:

> Southern pride in family...combined with white supremacy ideology, necessitated guarantee of the purity of the legitimate line in upper-class white families. The cult of gyneolatry...put upper-class white women on a pedestal, both before and after marriage, and hedged them around with taboos to insure the purity of the white blood and the husband's paternity of the offspring. The racial aspect of the cult stressed the white-good, black-evil moral symbolism (Kerr 156).

Kerr points out that historian Carl Rowan has called this cult of gyneolatry "the white goddess complex" (Rowan 226). Closely linked to gyneolatry was the oppression of blacks. The United States Supreme Court allowed the South to revoke civil rights granted to blacks at the end of the Civil War (Kerr 106) and the result in the New South was "the extension of plantation paternalism into a paternalistic, segregated society, dominated by the principle of white supremacy in a caste system. .... The creed of white supremacy, of which paternalism is the rationalized justification, is based on a social, not a biological, concept of the Negro. .... In essence white supremacy means that the lowest white person is superior to the finest Negro..." (Kerr 106-107).

In this system, there existed an "invisible barrier" (Kerr 133) between blacks and whites, which both blacks and whites internalized as children. In *Killers of the Dream,* Lillian Smith writes that whites had "felt compelled to justify the holding of slaves by denying these slaves a

soul" and "Because they were puritan, they succeeded in developing a frigidity in their white women that precluded the possibility of mutual satisfaction" (Smith 116). While white men frequently had sexual relations with black women, the opposite was unthinkable. Smith writes,

> The more trails the white man made to back-yard cabins, the higher he raised his white wife on her pedestal.... The higher the pedestal, the less he enjoyed her whom he had put there, for statues after all are only nice things to look at" (Smith 116).

Smith goes on to say that this kind of thinking led to paranoia on the part of white males, who suspected *their* women with might be having sex with black men:

> ...white man...in a jealous panic began to project his own sins onto the Negro male.... As suspicion and guilt grew, as minds became more paranoid, they threatened with death any white woman who dared do what they had done so freely (Smith 117).

Cash also comments:

> Southern woman's place in the Southern mind proceeded primarily from the natural tendency...of pride in superiority in legitimate line, and attached itself precisely, and before everything else, to her enormous remoteness from the males of the inferior group, to the absolute taboo on any sexual approach to her by the Negro" (Cash 116).

So what does this have to do with Miss Emily? After all, she is nobody's wife and nobody's mother. In fact, her "woman's life" had long ago been "thwarted." She shares her house with "an old man-servant" who is a flat character and decidedly benign. If the narrator is the voice

of white patriarchy and if white men are so paranoid about black men and white women, wouldn't the narrator voice that paranoia?

Not necessarily. If we look closely, again, at the story itself, we can see that the Southern social ideas regarding "Big Men and Little Men," the "white goddess complex" and the place of blacks are echoed precisely in Miss Emily's story *as told by the working-class, patriarchal narrator.* In fact, the class system described by the narrator fits as tidily as jigsaw puzzle pieces in the Southern class system described by Cash, Kerr and Smith.

First of all, who is Miss Emily? She is a Grierson, the last surviving member of a ruling class family held in disdain but also in awe by the narrator. She lives in a house that is (or was) white, as were those noted by Cash in the legendary South; if the Grierson house does not have Grecian columns, it does at least have "cupolas and spires and scrolled balconies." In a society where white women were valued as breeders of purity who ensured the continued existence of "Big Men," Miss Emily is barren. The "pride of superiority" of her family has "ensured her enormous remoteness from the males of the inferior group" including, presumably, the communal narrator. Miss Emily has grown old without bring forth either "Big Men" or "Little Men." (Daughters, not valued as individuals in patriarchy, are beside the point.)

But she is also a lady--a white, Southern lady who, to echo Smith, is "on a pedestal" and a "statue." As such, she is viewed by the patriarchal voice as what Smith has called "frigid." That she is viewed this way is clear from the story itself. After all, the narrator says that Miss Emily is "a fallen monument." As a barren Southern lady of the ruling class, she is not Emily, an individual, at all but *Miss* Emily. She may be "a tradition, a duty, and a care; a...hereditary obligation" (Faulkner 119), but she is not a human being. She may be "dear" but she is also "impervious" and "perverse." In the communal patriarchal view of the narrator, she is not quite

human. In fact, the narrator says that when she was "left alone, and a pauper, she had become humanized" (Faulkner 123). In other words, when it seemed she had lost the ruling-class edge, the townspeople were almost ready to accept her humanity. But, for the most part, the town goes to great lengths to ensure that she is kept inhuman. When the smell becomes apparent, men of the town covertly sprinkle lime around the house. It is ironic that they "sow" the lime, in the dark, into the "cellar openings." Sullivan notes that "Miss Emily's house is Miss Emily herself if we read symbolically" (Sullivan 163). If we can similarly equate the smell around Miss Emily's house with Miss Emily's (or, perhaps, *Emily's*) humanity, it becomes ironic that the only thing the men of this town "sow" is a substance that stops her humanity. Statues and monuments, after all, have no smell. These men accuse her of being inhuman, but perversely, it is these patriarchs who stop her humanness. They project their own attitudes on to Miss Emily, just as Smith says Southern white men projected their own guilt on to black men.

And what about Tobe? The first paragraph sets up the reader to dismiss Tobe's perspective. When we are told that "no one save an old man-servant" had seen the house, it is as though he doesn't count. He is old, a servant, and most significantly, African-American. His individuality, like Emily's, does not exist within the discourse set forth by this narrator. Because the patriarchal narrator could not allow himself to see Tobe as fully human--certainly not a white woman's lover or friend--he dismisses Tobe as affable and harmless. It is unthinkable to this narrator, for example, that Tobe and Emily might be lovers. As Victoria E. Bynum writes, "A white woman who willingly entered a miscegenous relationship forfeited the respect of her community" (Bynum 45). To preserve the *idea* of Miss Emily, the narrator cannot think of Tobe as more than a marginal character. Like Emily, Tobe is dehumanized.

The patriarchal narrator, however, is willing to see the Northern laborer, Homer Barron, as Miss Emily's suitor. This assumptions fits perfectly with the class tensions between white men of the South. After all, the narrator represents the androcentric view, but it is the view of the common white Southerner, not the aristocratic one. So it seems likely that the common white male might see Homer as an equal, a potential cohort, one of the common folk. The story supports this idea, for while Miss Emily is "impervious" and "a monument," Homer "knew everybody in town." If he and Miss Emily had married, it would be symbolic of the old Southern class distinction breaking down. The high and mighty Griersons, and the aristocracy they represent, would be brought down, in the eyes of the narrator.

But that is not the way the story goes. To examine the way it does go, it is necessary to distinguish between the factuality of the story and what might be called the *story* itself as constructed around those "facts." If we give the narrator the benefit of the doubt and accept the basic events of the story as true, we can come up with a skeletal framework on to which the narrator projects his version of reality, which is to say the *story*.

Here are the facts:

1. Emily Grierson, unmarried daughter of a ruling-class father, lived alone in an old Victorian house surrounded by garages and such. She died at age 74.

2. She had a black servant named Tobe, who lived with her until her death.

3. There was some confusing business about her taxes. (Town records were not quoted, so we don't really know what the business was.)

4. A labor foreman from the North, Homer Barron, came to town.

5. Emily and Homer went out in a buggy.

6. Emily went to the drugstore, where she bought arsenic. She refused to say what she planned to do with it.

7. Homer disappeared.

8. Emily gave china-painting lessons.

9. After Emily died, a rotted corpse was found in an upstairs bedroom. A gray hair was on the pillow beside it.

These events did not necessarily happen in this order. Time, as others have noted, is confusing at best in "A Rose for Emily." Several "chronologies" of this story have been published[3]. To provide another chronology is beyond the intent of this paper, but it should be noted that many fictions could be constructed by taking these basic "facts" and reordering them. For example, if we say, "Miss Emily bought arsenic, then Homer disappeared, then we found a corpse," we imply that Miss Emily killed Homer and that it was his corpse that was found. This implication, of course, is exactly what we get from a first reading of the story. Because, as naive readers, we are lulled into believing the white male world view, we accept the narrator's story.

The truth is that we do not know anything about *Emily's* (as opposed to Miss Emily's) feelings or motivations. We do not know anything about her relationship with Tobe or Homer Barron. We do not know why she didn't marry even after her father was dead and could no longer stave off the men of the town. We do not know why she bought arsenic, or where Homer went, or even who the corpse had been, since the narrative stops before a forensic examination. We can, however, do as the narrator does and project any number of "stories" on to Emily. What follows are some possibilities. They can be arranged in any order.

1. Emily and Homer went out in the buggy to discuss a new wing she wanted to add to the house.

2. Emily had a headache the day she bought the arsenic. She thought the druggist was a fool and the disclosure law invasive. She wasn't in the mood to answer questions. Of course she killed rats with it.

3. The corpse upstairs was some other suitor who had come one night and wanted Emily to climb down one of those scrolled balconies and elope with him. Emily's father killed him and put him in the bedroom, and Emily kept the secret to protect her father.

4. The corpse upstairs was Homer, who was indeed Emily's lover and who had a heart attack while in the house. Knowing how the townspeople would react if they knew, she simply left him there.

5. The corpse was that of an armed robber. Emily killed him. Or Tobe did.

6. Emily didn't want to marry. She and Tobe were Platonic friends--even lovers, but of course the townspeople would not have sanctioned that.

These "stories" sound ridiculous, of course, and decidedly non-Faulknerian [4]. While they are probably the sort of interpretations that, as Stanley Fish writes, "will not find a hearing in the literary community," (Fish 346), they do elucidate the process of projecting "story" onto factuality, for they, too, are products of subjectivity and bias[5]. Because they are absurd, they illustrate how the narrator does construct Miss Emily's life story according to his own limited imagination. As Bynum writes, "So inculcated were the ideas of purity and chastity among upper- and middle-class southern white women that few understood women who were forced or tempted by circumstances to defy the norms of social behavior" (Bynum 45). In the limited vision of the patriarchy, *Miss* Emily is nothing but a barren white goddess, cold and unreachable as a statue. She has not ensured the future of the Southern aristocracy by having a child with a ruling class male, but she has not yielded to the common white "Little Man" either. Until her death, she has

remained impervious to those represented by the narrator and, *therefore,* in their eyes, perverse. That she might have her own story to tell does not occur to them.

In the end, however, she cannot be allowed to remain impervious. As Sullivan writes, "If the house is a symbol for Miss Emily's self, then the intrusions of the townspeople must be a symbol for intrusions on Miss Emily's body and the climactic forced entry into her bedroom must be symbolic rape--a rape performed upon a dead woman" (Sullivan 163). What has been at stake all along for the common white male as represented by the narrator has been to overpower the white goddess. She must be overpowered because she is the ruling-class male's assurance of predominance, and to overpower the aristocrat's goddess is to overpower the white aristocrat.

This obsession perists, even when the goddess is old and dead. But when the narrator realizes that she is a dead woman who cannot bring forth his future any more than she can bring forth the white aristocrat's, he sees his own symbolic death in the form of the corpse which, he assumes, was Homer Barron, a common man like himself. This common white male then projects his own guilt on to Miss Emily, just as so many white Southern men had projected their guilt on to black males. He insinuates her necrophilial attraction for Homer's corpse, when what he has felt all along has been necrophilial attraction as defined by feminist Mary Daly: "...attraction/need of males for female energy..., not in the sense of love for actual corpses, but of love for those victimized into a state of living death" (Daly 59).

Thus it was Emily who was the victim, not only in the beginning of her life when her father oppressed her, perhaps through incest, but in the end as well. The patriarchy victimized the real Emily (whoever she may have been) by hedging her in with taboos, putting her on a pedestal, making her a living corpse, a statue, a monument, and finally, by constructing her life story

without the input of her subjectivity. In this story, Emily does not exist--for as Carol Christ writes, "In a sense, without stories there is no experience" (Christ, 1979, 229).

Judith Fetterley writes that because nobody sees Emily as an individual, "she can literally get away with murder" (Fetterley 40), but this is not the case. It is the common white male patriarchy, as represented by the narrator, that gets away with murder. It is he who has seen Emily only as "Miss Emily." By seeing her as an untouchable goddess whom he would like to overpower in order to ensure his place and the place of his sons as "Big Men," he, along with her dead father, does indeed subvert her "woman's life"--not her woman's life as a stereotypical wife and mother but as an autonomous, individual woman. He makes her in to a corpse, into one "victimized into a state of living death," and then he is sexually obsessed with her. But because nobody sees that the white male does this, it is he who gets away with murder. His poison is his story.

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Endnotes

[1]Presuming that Miss Emily is crazy, Jack Scherting asserts that Faulkner "is obviously describing a psychotic personality" (Scherting 397) and that "perceives reality in a most peculiar way" (Scherting 401).

[2]For a discussion of negative semantic space accorded in language to women, see Dale Spender's *Man Made Language.*

[3]One chronology is Gene M. Moore's "Of Time and Its Mathematical Progression: Problems of Chronology in Faulkner's 'A Rose for Emily,'" which cites eight previous chronologies, including Going (1958), Hagopian et. al. (1964), Woodward (1966), McGlynn (1969), Nebeker (1970 and 1971), Wilson (1972), Brooks (1978) and Perry (1979).

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[4]Hal Blythe puts forth another possibility: that Homer Barron is homosexual (Blythe, 1989, 49).

[5]For a further discussion of how fictions are constructed from facts, see Stanley Fish's "Fact and Fiction: A Reply to Ralph Rader" in *Is There a Text in This Class?*

TITLE: Metaphors of Modernity: Film, The Moving Sidewalk, and the 1900 Exposition Universelle

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Abstract:

In 1900, Paris staged the spectacle of the century. The Exposition Universelle captured the feeling of the times; the atmosphere was a mix of nostalgia and excitement. Suspended between past and future, the World's Fair was seen as a fantastic spectacle, and as a result, the dizzying, kaleidoscopic environment epitomized "modernity." This paper examines how the exposition serves as a metaphor for modernity by exploring two attractions at the fair: early cinema and the electric moving sidewalk. In particular, one short film made at the fair by Thomas Edison's motion picture company, *The Panorama From the Moving Sidewalk,* will serve as an example of how the exposition, film, and the moving sidewalk functioned as agents of modernity. Using the film as a visual touchstone, this paper investigates the modern viewing experience as it was evolving in 1900. This presentation will combine a close reading of the film with a virtual tour of the Exposition Universelle in order to reconstruct the fragmented, fractured viewing experience. The fleeting spectacle of life in 1900, full of excitement, confusion, and awe, was embodied by Paris and by the exposition. Film (then a quivering, flickering, re-presentation of life) provided a uniquely modern medium with which to capture and depict the modernity of the city and the fair. First presented to the public in 1895, film challenged classical modes of viewing and thinking, thus not merely symbolizing but also promoting a modern viewpoint. Today, the Edison film visually recreates the disorienting experience of viewership in 1900 as experienced by the city dweller, the fairgoer, the moving sidewalk passenger, and the film viewer. Drawing on work from scholars such as Charles Baudelaire, Walter Benjamin, and Georg Simmel, this paper seeks to establish the World's Fair, the moving sidewalk, and early cinema as both reflections of and producers of modernity.

Running head: HAWAIIAN CULTURE, LANGUAGE, AND IMMERSION

Hawaiian Culture, Language, and Immersion Education: A Group Vitality Communication Analysis.

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Abstract

Throughout history, multiple indigenous groups have had cultural and linguistic identity replaced by dominant norms. In the last 200 years, the state of Hawai'i has been significantly impacted by Western influence, a process that severely endangered the Hawaiian language. Beginning in the 1980's, scholars and community activists developed language immersion programs to reverse the decline of Hawaiian language utilization. Drawing from the ethnolinguistic vitality framework (e.g., Giles, 2001; Giles, Bourhis, & Taylor, 1977), this review assesses the history of the Hawaiian people and the status of their language as it is currently being revitalized through media and educational immersion programs. Moreover, we review implications for a research agenda across many contexts of cultural communication study.

The authors extend immense gratitude to the faculty of the University of Hawai'i at Hilo Hawaiian Language and Cultural Studies Program for their honesty and assistance with the completion of this project, especially Kalena Silva, Pila Wilson, Keiki Kawai`ae`a, and Haunani Bernardino. This article would not have been possible without your contribution.

"I ka `ōlelo nō ke ola, I ka `ōlelo nō ka make"

"In the langage there is life, in the language there is death"

(Ancient Hawaiian Proverb)

Throughout history, numerous cultural groups have been irreversibly impacted by the influence of dominant cultural and linguistic norms. For instance, Fishman (2001) evaluated the proliferation of Western culture and its powerful effect on indigenous peoples, cultures, and languages.

> Today, the worldwide process of globalisation of the economy, communication, and entertainment media…have threatened to sweep away everything locally authentic and different that may stand in their way…progress is revealed as taking three steps forward and two steps back…the struggle against language-in-culture decimation still goes on with little likelihood of early and clear triumph (pp. xiii-xiv).

Recent literature has established that indigenous languages have been rapidly decreasing and current estimates suggest that by 2100, nearly half of the worlds 6,500 languages may be extinct (Hotz, 2000).

Within the last 200 years, Western influence has contributed to extreme social, political, and linguistic changes that have significantly compromised the ability of the Hawaiian people to maintain authentic cultural and language expression. For example, diseases introduced by foreigners significantly reduced the Hawaiian population from an estimated 300,000 in 1778 to approximately 50,000 by 1878 (Reinecke, 1969; Wilson, 1998). This dramatic decline in Hawaiian presence, and the concomitant lowering of linguistic capital is undisputedly related to the overthrow of the Hawaiian Monarchy and the resulting banishment of Hawaiian as an educational and social medium. Dr. Kalena

Silva (personal communication, January 8th, 2004), Director of the College of Hawaiian Language at the University of Hawai'i at Hilo remarked:

> The oppression led to the decline of our language and our culture and…in important ways, led to the decline in the status of Hawaiian people in our own country…our own view or perspective of the world and ourselves changed dramatically because of the lack of the ability to use our own language in our own schools.

As a consequence, Dr. William Wilson (1998), Director of the Hawaiian Studies Division at the University of Hawai'i at Hilo, contends that the Hawaiian language became associated with "an irretrievable past, and a lack of power in the educational, economic, and political spheres" (p. 124). In accord with the salience of language as a core aspect of cultural identity among many cultural groups (e.g., Cargile, Giles, & Clément, 1996; Giles, 1977), Hawaiian beliefs emphasize the profound importance of the language as a communicative medium to facilitate understanding and expression. Within the culture, communication and language are often viewed as "a procreative force" (Wilson, 1998, p. 124) utilized by people to establish and determine their social reality. For example, elderly Hawaiians may be hesitant to use words referring to death, because of the inherent connection between the spoken word and actual life events. The centrality of language in cultural revitalization may also be understood by assessing the phrase "I ka 'ōlelo Hawai'i ke ola". Translated, this term means, "Life rests in the Hawaiian language". Meyer (2003) emphasized the importance of language in Hawaiian interaction by referring to Pukui, Haertig, and Lee's (1972) writing, " 'Ōlelo, 'word' or 'speech', was far more than a means of communicating. To the Hawaiian, the spoken word did more than set into motion forces of destruction and death, forgiveness and healing. The word itself was a force …(p. 124)…Life is in speech, death is in speech. Words can heal,

words can destroy" (Pukui, 1983, p. 129). Such evidence indicates that for Hawaiians, language creates, defines, and reifies reality.

In what follows, we review the history of the Hawaiian people and the status of their language as it is currently being revitalized through the media and educational immersion programs. What little scholarly research that exists about the current language scene in Hawai'i does not emanate from the discipline of Communication. Given an increasing interest in the societal and communicative consequences of changing patterns of non-English use in the United States in recent years (see Barker, Giles, Noels, Duck, Hecht, & Clement, 2001), we draw attention to this fascinating context by drawing upon (for the first time in this domain) the ethnolinguistic group vitality framework (e.g., Giles, 2001; Giles, Bourhis, & Taylor, 1977) as a means of exploring its dynamics. Furthermore, we foresee interesting changes occurring in this haven for tourists and locals alike that have profound implications for a research agenda across many areas of communication study in this cultural context.

A Brief History of the Hawaiian Language Situation

Hawai'i has undergone significant cultural and linguistic transformations within its dramatic and somewhat turbulent history. Prior to interactions with European explorers in 1778, the Hawaiian language was transmitted orally, through story-telling and performance rituals, hula, or chanting. In the 19th century, literacy among the native people flourished when Hawai'i was an independent kingdom with a parliamentary-style of government. Based on the Hawaiian language, a written alphabet was developed

utilizing five vowels (a e i o u) and eight consonants (h k l m n p w) (Warschauer & Donaghy, 1997).

Such progress propelled the Hawaiian people to publish various literatures, including the first Hawaiian newspaper, *Ka Lama Hawai'i,* in 1834. Local newspapers served an important purpose in furthering the discussion and preservation of Hawaiian traditions and perspectives. Several religious and literary works were also translated into Hawaiian, which enabled the recording of cultural and linguistic information, which were maintained through oral transmission (Warschauer & Donaghy, 1997). As Wilson (1998) wrote, "Hawaiian was the language of government, religion, retail business, the media, education and interethnic communication during the monarchy" (p. 127).

Between 1780 and 1820, the influence of missionaries and commerce profoundly impacted the culture, language, and livelihood of Hawaiians. This process seriously disrupted "Hawaiians' social, spiritual and political values and stability" (Meyer, 2003, p. 23). Based on growing commercial interests in Hawai'i, agricultural labor immigration thrived to support increasing demands of growing industries. In response to cultural diversity among plantation organizations, Hawai'i Creole English (also known as Hawaiian Pidgin) originated, based upon English, Hawaiian, Japanese, Chinese, Portuguese, and Filipino languages (Bickerton, 1983; Reineke, 1969). This emergent language enabled effective communication among plantation workers and is still commonly used today among locals. Current statistics estimate that 600,000 speakers of Pidgin reside in the State, indicating that this variety still maintains some social and

political significance (Grimes, 1992) despite its low prestige, in comparison to Standard English (see Ohama, Gotay, Pagano, Boles, & Craven, 2000).

Within a time period of about twenty years, the Hawaiian language completely vanished from the schools. In 1880, there were 150 schools whose curricula were conducted in Hawaiian, and 60 in English but by 1902, all 203 schools in the State were conducted in English (Schutz 1994). By the 20th century, Hawaiian language use among locals almost completely disappeared and, in the 1980s, scholars concluded that less than two thousand people in the State spoke the Hawaiian language, most over 18 years of age (Warschauer & Donaghy, 1997).

In response to the endangerment of the Hawaiian language and culture, educational revitalization programs have been developed to facilitate increased awareness, involvement, and perpetuation of the culture in social, educational, and performance contexts. Such immersion programs have enabled students to learn through the language and culture of Hawai'i and recent research has demonstrated that "immersion students have a high regard for Hawaiian language and culture and for themselves as speakers of the Hawaiian language" (Slaughter, 1997, p. 124). Immersion programs are also positively associated with increased enrollments in Hawaiian Studies courses and language students at university campuses.

Language, Culture, and Ethnolinguistic Vitality

Significant research has addressed how native language use among diverse groups may impact perceptions, attitudes, and beliefs about group vitality (e.g., Allard & Landry,

1986; Evans, 1996). For instance, Giles et al. (1977, p. 25) argued that ethnolinguistic vitality was "that which makes a group likely to behave as a distinctive and active collective entity in intergroup situations". The ethnolinguistic vitality model was developed to measure the combined influence of language status (economic and historical conditions), demographic (numbers of speakers, birthrates), and institutional endorsement (media and educational representation) across various cultural, intergroup, and multi-lingual environments. Objective vitality has been investigated by, for example, assessing the amount of newsprint and television representation marginalized groups maintain in comparison to dominant groups. Subjective vitality explores how members of ethnic collectivities *themselves* judge the societal conditions impinging on their own and relevant outgroups" (see subjective vitality scale of Bourhis, Giles, & Rosenthal [1981] which has spawned much empirical research).

Research has suggested that the survival of native languages may depend upon the prevalence of use, speaker status, and perceived vitality levels. Group members may demonstrate "…visible vitality…interaction networks (and)… employ them…for one or more vital functions" (Fishman, 1972, p. 21). Those who perceive their group vitality as strong may use native language skills more frequently than those who view it as weak (Bourhis and Sachdev, 1984). Groups that are low in vitality may compromise native languages and undergo linguistic assimilation, while groups demonstrating high vitality often maintain unique linguistic and cultural characteristics. In support of this, Giles (2001) suggests that, "high ingroup vitality is an important predictor of non-language outcomes, such as satisfaction with home life, educational achievements, and occupational aspirations" (p. 472). Findings like these indicate that language

identification and utilization may significantly influence social cohesion, esteem, and language survival among diverse indigenous groups.

Although the literature has established that group vitality may influence perceptions, attitudes, and behaviors in various multicultural and multilingual environments, this framework (as above) has not been invoked to analyze the Hawaiian language situation.

Objective Vitality of the Hawaiian Language

Following exposure to foreign influences, the Hawaiian language suffered compromised levels of vitality, due to economic, social, and political trends. For instance, Meyer (2003, p. 29) addressed the negative impact of Western influence on Hawaiian vitality in the following excerpt.

> What began as an altruistic and well-meaning effort has, in fact, ended…(by) scarring the cultural beliefs, vitality, and strength of a race. Hawaiians suffered in their belief that their missionary tutors of Western culture were indeed superior which left them feeling inferior and insignificant.

Fortunately, the recent emergence of the Hawaiian language and cultural movement appears to be increasing language vitality. For example, the population of Hawaiians who are now learning or speaking their native language has significantly increased in the last 20 years; a trend that seems to represent the importance of maintaining the language among Hawaiians and interested others.

Demographics and Language Status. The U.S. Census Bureau (2000) estimates that about 9.4%, or 113, 539 of the state population in Hawai'i is of Native Hawaiian or Pacific Islander descent, in contrast to 1%, or 398, 835, of the overall U.S. population of approximately 288,000,000. Interestingly, articles from *The Washington Post* (Beamish, 2003), *The Boston Globe* (Davis, 2003), and other sources (Slaughter, 1997; Wilson, 1998) have estimated that 20% of the State's 1.2 million people are of Hawaiian ethnicity, indicating that a discrepancy may exist between U.S. Census Bureau reported self-identification and the actual presence of racial demographics in Hawai'i. Approximately 26% of people in Hawai'i speak languages other than English in the home, in comparison to roughly 18% of the overall U.S. population. Estimates also contend that within Hawai'i, 41% of people are Asian, 25% are Caucasian, while 21.3% report belonging to 2 or more racial groups (U.S. Census Bureau, 2000).

By the 1980s, there were reportedly fewer than two thousand native speakers of the language, with only a few dozen of them under the age of 18 (Warschauer & Donaghy, 1997). Out of nearly 200,000 Native Hawaiians in Hawai'i, the 1990 U.S. Census Bureau listed roughly 9,000 speakers of Hawaiian (Kamana & Wilson, 1996). However, according to Immersion School ('Aha Pūnana Leo) Communication Coordinator, Luahiwa Nämähoe, by 2003, about 10,000 people were completely bilingual in Hawaiian and English, with almost half under the age of 18 (Davis, 2003). Such statistics indicate the increasing presence of substantial demographic support toward the perpetuation and survival of the Hawaiian language.

Historically, the Hawaiian language has endured being relegated to a position of low social and economic status; a process that has seriously compromised the survival of the language. For example, "traditional language and art forms, such as hula, were repressed due to pressure from missionaries, who viewed these cultural expressions as foul and idolatrous" (Warschauer & Donaghy, 1997, p. 2). Near the end of the 19th century, English began to replace Hawaiian as the dominant language, increasing Western influence and ownership in the state. Hawaiian language was abolished in favor of Standard English and banned from scholastic and social interactions through legal mandates, ostracization, and severe physical punishment. Additionally, Allen (1982) identified that during this time "…many Hawaiians stopped using the language with their children, believing that they would have more chance of success if they used English exclusively" (Slaughter, 1997, p. 107). This suggests that in the last 200 years, the Hawaiian language has endured low social and economic status, however, recent developments in political, social, educational, and cultural trends indicate that the status of the Hawaiian language may be increasing.

Based on widespread interest and attention, the 1960's and 1970's hosted the Hawaiian Renaissance Movement, which coincided with other national and international efforts toward indigenous preservation. Celebrations of music, dance, land, and political rights were rampant and traditional canoe voyaging activities became common (Wilson 1998). Fortunately, recent movements toward cultural revitalization have helped to re-establish Hawaiian "culture, confidence, and achievement" (p. 124), increasing the ability of natives and interested others to maintain the Hawaiian language. A recent poll conducted by the Office of Hawaiian Affairs demonstrated that, "86 percent of 303

Native Hawaiians and 78 percent of 301 non-Hawaiians believe that Native Hawaiians should be recognized by the United States as a distinct group, similar to the special recognition given to American Indians and Alaska Natives" (Staton, 2003, p. 2). Such statistics indicate that the Hawaiian language currently maintains high levels of social status and that substantial support has furthered the ability of Hawaiians to establish and maintain unique cultural and linguistic presence, in social, educational, and political contexts.

Through the collective action of grassroots organizations advocating the re-establishment of Hawaiian as a State language, legal restrictions were removed in 1978 and the language was reinstated as an official state language, like Standard English. Despite this, Professor Kalena Silva (personal communication, January 8th, 2004) confirmed that the ban placed on teaching Hawaiian in public schools was not lifted until 1986. At this time, educational immersion programs were developed to provide an environment for children to interact learning the language and culture of Hawai'i. For example, people like Professor William Wilson, Professor Kalena Silva, and others were involved in the planning and implementation of immersion education and university Hawaiian language education. In the following excerpt, Wilson addresses the importance of sustaining the Hawaiian language and the benefit of immersion education on language, culture, and identity (personal communication, September 15th, 2004).

> To us it is intrinsically valuable to know the Hawaiian language and culture. Like in English, it's intrinsically valuable to know about Shakespeare, or history, because they have lessons for life. Well it's the same thing with Hawaiian culture and history. There are lessons for life, no matter what your identity is. It's also much easier to learn both Hawaiian and English, by going to school in Hawaiian, in today's world. You can take someone, who is taught Hawaiian with a very

> good teacher one hour a day from kindergarten through high school, and our students will still speak Hawaiian better and English the same, as that person. So as far as languages, they are way ahead.

The invaluable potential of immersion education programs in re-establishing cultural and linguistic expression of marginalized groups is also addressed by Johnson and Swain, (1997, p. 5), who write that

> Wherever the number of native speakers declines in a community that is nevertheless determined to maintain its language, identity, and culture, immersion is likely to be an important means, perhaps the only one, for reversing or halting the process of extinction.

The evidence suggests that although the Hawaiian language has endured a position of compromised status, recent developments, such as the immersion education movement, have increased the economic, social, and political status of the language.

Institutional Support via Media and Immersion Programs. As research has demonstrated, the level of institutional promotion a given language maintains is an essential element contributing to vitality (Giles, 2001). Institutional support towards the revitalization of the Hawaiian language and immersion programs, have been demonstrated in a variety of political, media, and educational contexts. For example, Slaughter (1997) recently addressed political endorsement towards immersion programs by writing that,

> The legislative mandate that created the initial pilot program was the result of lobbying by parents, and a few Hawaiian-language educators, for recognition of (1) the validity of the Hawaiian language as a medium suitable for instruction, (2) the importance of preserving and maintaining the Hawaiian language and culture, (3) the concomitant belief that total immersion was the best way to accomplish that goal, and (4) the desire of parents that their children's linguistic gains during preschool years, in terms of fluency in Hawaiian, not be lost in elementary school (p.105).

Additionally, several different groups within Hawai'i have initiated correspondence with University of Hawai'i at Hilo Professors toward translating literature from English to Hawaiian and from Hawaiian to English. Silva (personal communication, January 8th, 2004) asserts that political activists within the state have also begun discussing the potential of establishing all state government documents in both Hawaiian and English.

> At political…(and) governmental levels…we can gauge how Hawaiian is beginning to emerge as a language that…is embraced by more…of our own people, and others…by its use in society today…(Several) groups want translations in Hawaiian from English, from Hawaiian into English…These kinds of organizations are both private and state run…A Legislative (representative)…is interested in having everything in Hawaiian government be bilingual…all of the documents, marriage certificates, death certificates so if people wanted them they could request a document in Hawaiian.

Such information strongly suggests that Hawaiian language preservation and utilization has currently established substantial support within a variety of governmental and political contexts.

Although past research (Henningham, 1992) suggests that commercial broadcasters have dominated media agenda, ultimately contributing to the dissolution of Hawaiian language, and that native Hawaiian cultural development has been restricted to minimally viewed public access television channels, current trends indicate that media endorsement of Hawaiian language may be increasing. For instance, Hawaiian language expression has been demonstrated through a variety of contexts including newsprint, television, radio, and web mediums (see Abrams, Eveland, & Giles, 2003).

Silva (personal communication, January 8th, 2004) contends that the 1960's began hosting authentic media representation of Hawaiian language and perspectives through

radio programs facilitated by Hawaiian language Professor Larry Kimura of the University of Hawai'i at Hilo.

> Larry Kimura (U.H.H. faculty member) …beginning in the 1960's…interviewed his family and expanded…to his own Hawaiian language program (Ka Leo Hawai'i)…on KCCN Radio in Honolulu…for …17 years…(and) interviewed hundreds of people…(Because of this) we have an oral record…of ideas, thoughts, feelings of people…from the late 1800's, many of them, born then…This kind of information is extremely valuable to us, as we as Hawaiians seek to reclaim our identity…along with our language and culture…

Several newspapers currently represent past and present Hawaiian perspectives. The Hawaiian Nūpepa Collection is comprised of historic newspapers that were developed between 1834 and 1948. This collection consists of roughly 120,000 news pages extracted from 100 distinct periodicals, also available on microfilm and digital form. The collection is available at the University of Hawai'i at Mānoa Library and has been sponsored by local non-profit organizations like Alu Like Incorporated and the Hawai'i Community Foundation. Addressing these invaluable resources, Kalena Silva (personal communication, January 8th, 2004) asserts that a wealth of literary records exist that were developed by prolific Hawaiian writers, starting from 1860 onward.

> Our Hawaiian ancestors, from 1800's…into the 20th century, developed a huge repository of literature mainly published in Hawaiian language newspapers. People like Kepelino, Kamakau, and of course, before them, Malo, those kinds of writers of Hawaiian culture began writing in our language and left this huge legacy of material written in our language, about our culture, about our views of the world, and…of other people who were coming to Hawai'i at the time…Some people think that this literary repository is the largest for any indigenous people in the world, which is staggering…Hundreds of thousands of pages are yet to be uncovered, yet to be viewed, and yet to be gleaned for the kind of material that can be used to assist us in the work that we do today.

Currently, the University of Hawai'i at Hilo Hawaiian Collection provides newspapers, journals, monographs, periodicals, maps, pamphlets, and reprints about

information related to Hawai'i and Hawaiians. Moreover, *'Ōiwi: The Journal of Artistic Expression,* presents journal articles addressing play excerpts, poems, songs, and short stories related to the Hawaiian experience. The Hamilton Language Newspapers provide electronic resources that are available about Hawaiian newsprint to students in the State of Hawai'i who do not have access to microfilms; a service sponsored primarily by the Bishop Museum and Alu Like Incorporated.

Television has also provided invaluable opportunities for Hawaiians and interested others to learn about Hawaiian language and culture. For instance, the Public Broadcasting Station frequently airs various shows dealing with Hawaiian history, myths, and geography, in addition to information assessing language, education, performance, and revitalization issues. One popular show that has recently emerged is "Ke Kupu Nei" (Sprouting Forth), which airs twice weekly, and features local activists and celebrities Manuwai Peters, Leilani Poli'ahu, and musician Keali'i Reichel. This Hawaiian language interview show has been labeled by some as the Jay Leno and Oprah Winfrey of Hawaiian language television and is conducted entirely in Hawaiian, addressing issues of importance to Hawaiians and interested others.

Hawaiian cultural and language vitality through musical expression is another interesting area of media endorsement. Within the state of Hawa'i, several radio stations exist that play Hawaiian music, although fewer radio stations broadcast interactive conversation in the Hawaiian language. KWXX radio, a division of New West Broadcasting Corporation, on the Big Island, is one progressive radio station that has initiated a weekly show conducted entirely in Hawaiian language and music. Alana I Kai

Hikina is broadcast locally, through F.M. radio, but is also available on-line, for those with access to Internet music. Hawaiian music stations are also popular on the islands of Maui, Kaua'i, and O'ahu and receive widespread attention among Hawaiians and non-Hawaiians alike. Interested listeners are able to utilize several online Hawaiian music radio stations, which are broadcast from Alaska, California, Nevada, Oregon, Washington, and British Columbia, demonstrating that media support for Hawaiian language and music is inciting interest within domestic and international contexts

Internet information resources are also positively impacting the objective vitality of Hawaiian culture and language. For instance, several Hawaiian language web links address various issues related to language acquisition and learning. One such website, http://hawaiianlanguage.com/o-linkpage.html, provides links to basic alphabet, pronunciation, diacriticals, grammar, phrases, essays, and lessons. In addition, other links provided on this website enable access to learning materials, resources, classes, institutions, and supporting organizations. Through the ability of web-based information dissemination, it seems evident that the objective vitality of Hawaiian culture and language will continue to develop and progress. As attested to in the foregoing, a plethora of media resources are accurately representing authentic Hawaiian experiences, demonstrating that widespread media support towards Hawaiian language and culture preservation is developing and gaining momentum.

Educational endorsement is an additional element contributing to the development, preservation, and objective vitality of Hawaiian culture and language. In

this context, Slaughter (1997) referred to Haunani Bernardino's (December 6, 1993) perspective about the positive impact of immersion education.

> …since the immersion program began, there has been an upsurge of enrollment in Hawaiian language and Hawaiian studies on the university campuses. Recent graduates are perceived as having a higher command of the Hawaiian language…As some of the younger generation of university students become immersion teachers, they will be more adequately prepared to contribute to immersion and reconstructing the Hawaiian language and culture (p. 127).

Findings like these are especially important, considering that previous research has found that children's attitudes may become less favorable towards languages that are not considered to be "standard" as they mature and become influenced by dominant social conditioning (e.g., Day, 1982).

In 1984, Hawaiian community leaders and linguistic scholars coordinated the Hawaiian medium 'Aha Pünana Leo (Voice Nest) preschools and petitioned for the dissolution of the ban placed on the Hawaiian language as a medium of scholastic instruction. These efforts resulted in the Board of Education approving the development of the Papahana Kaiapuni `Ōlelo Hawai'i (Hawaiian Language Immersion Program) in 1986, which led to the creation of 9 Hawaiian medium pre-schools and 14 elementary and secondary schools.

The program has thus far enabled an estimated 2000 children within the State to receive an education in the Hawaiian language and has proved highly successful in promoting Hawaiian language transmission and cultural identification. Children in immersion programs do not have to be Hawaiian, but over 90% of them are, many whom have one non-Hawaiian parent (Wilson, 1998). As scholars have recently asserted, "…the

most significant language initiative has been the development of Hawaiian immersion pre-school and K-12 education, since this is potentially a way of reversing the decline of fluent young speakers" (Warschauer & Donaghy, 1997, pp. 2-3). Immersion classrooms have also been described as unique environments that reflect the `ohana (Hawaiian word for family) of aloha and the culture of Hawai'i (Slaughter, 1997).

As a result of innovative educational initiatives, university lab schools have received attention, both nationally and internationally, from visitors and educators who are curious about reviving and maintaining indigenous languages within their specific communities. Due to widespread interest in Hawaiian immersion education, the Ford Foundation, a private advocate, has recently funded a new immersion consortium project, Hale Kipa `Õiwi. This name references the hospitality that has been extended to visitors of the `Aha Pūnana Leo and indicates how successful working relationships may ensue from private and public interests toward indigenous cultural and language preservation (Kawaihae, 2003).

Immersion education has long recognized the importance of media facilitated communication as an essential tool in bridging the distance between immersion children in Hawai'i and other indigenous groups in the U.S. and internationally. The utilization of media interactions among students and instructors has also afforded Hawaiian language immersion programs the opportunity to overcome certain challenges. One example of this taking place is through video recordings, which have allowed educational and cultural advocates the opportunity to secure and preserve the language and perspectives of native Hawaiian speakers. Most recently, Hale Kuamo'o, the University of Hawai'i at Hilo's

Center for Hawaiian-medium Education and Culture, has developed computer programs in Hawaiian to allow immersion students the chance to become technologically skilled in their native language. Primary software has been utilized through Apple Computers, enabling the addition of diacritical markings within the Hawaiian language, once a source of concern among translators. Apple Macintosh Hawaiian language fonts programs are available to Hawaiian immersion schools and other institutions addressing issues of Hawaiian language education.

Warschauer and Donaghy (1997) assess the positive impact of technological resources, and refer to Keiki Kawai'ae'a, Programs Director at Hale Kuamo'o, who explained that:

> Without changing the language and having the programs in Hawaiian, they wouldn't be able to have computer education through Hawaiian, which is really a major hook for kids in our program. They get traditional content like science and math, and now they are able to utilize this `ono (really delicious) media called computers! Computer education is just so exciting for our children. In order for Hawaiian to feel like a real living language, like English, it needs to be seen, heard and utilized everywhere, and that includes the use of computers (p. 4).

One kindergarten class, at an immersion school in Keaukaha, on the Big Island, has utilized traditional Hawaiian customs of learning and communication with the assistance of a computer program called Leokï (Powerful Voice). This is the first global BBS (Bulletin Board System) that is fully based on the indigenous Hawaiian language. This innovation that enables students and schools to employ services including electronic mail (leka uila), chat lines (laina kolekole), open forums (ha'ina uluwale), news lines (ku'i ka lono), marketplace (hale kū'ai), vocabulary lists (papa hua'ōlelo), current and back issues of the *Nā Maka o Kana* newspaper for Hawaiian immersion programs, materials, songs,

and stories (noi'i nowelo). Additionally, the program provides contact information about Hawaiian language offices and services related to coursework and immersion programs (nā ke'ena `ōlelo Hawai'i).

Kalena Silva (personal communication, January 8th, 2004) contends that the development of immersion education has been significantly reinforced and impacted through interactions with other indigenous groups that have encountered similar difficulties related to encounters with Western colonialism.

> We have a very close relationship, for example, with the Maoris in New Zealand …in terms of the work we've been doing in the past several years to reclaim and revitalize our languages. From the very beginning, when we first started our work twenty years ago, we'd share stories about the trials and tribulations the old people went through…they were the first to be forced to be educated through English and the kinds of punishment…they endured…because they spoke Hawaiian at school…We've heard the same stories and worse, in some instances from Native Americans in North America, some of whom were forced to live away from their families at boarding schools. They were taught only in English, and to separate themselves from their people, their culture, and their language. It's just tragic. So, all of us who have families and ancestors who have gone through this can relate and we share these stories and it just shows you what many of us have gone through.

According to Wilson (1998), making connections with other indigenous people is something Hawaiians are increasingly starting to initiate. Most recently, correspondence between diverse cultures and countries has enabled "curriculum sharing and cooperative lexicon enrichment" (p. 133). Interacting with other indigenous groups allow immersion students the opportunity to share similar experiences and understand how culture and language revitalization may be achieved. For example, the Hawaiian tradition of "talking story", which emphasizes sharing personal experiences, has brought students from throughout the State together within a virtual classroom environment named the Pāhana

Haku Mele (Compose a Song Project). This opportunity has enabled students to form links with other children in immersion programs that are in separate locations (Warschauer & Donaghy, 1997). Katharine Webster, Principal of the Keaukaha immersion program, articulated the advantages of electronic communication channels for Hawaiian language students.

> Because we're a new program, by the time you get to tenth grade, the odds are you're going to have the same classmates you've had since pre-school. Leoki expands the students' horizon beyond their intimate circle of friends. It establishes links elsewhere, and it's another means of practicing, and making use of all the things that they've got...It enables the teachers, as well as the students, to find out what's going on in the rest of the world. When you start sharing, you realize, `Hey, I'm not the only one who's suffering (from) this problem (Warschauer & Donaghy, 1997, p.5).

Children who utilize technological tools to communicate with students in various locations demonstrate high levels of Hawaiian language esteem and proficiency. Installing Leoki in immersion schools is currently a top priority and is expected to continue and develop. Pūnana Leo preschools are also utilizing Leokī for primary communication between schools and among administrative offices. It has been estimated that there are currently 1000 registered users of Leokī a figure that is expected to triple, as the program becomes more popular among immersion schools. Other exciting technological innovations have included the development of on-line chat-rooms, hosted by mainstream Internet services like Yahoo. Eventually, the people behind Leokī would like to increase interaction among students and fulfill the goal of reaching larger populations of Hawaiian speaking communities, like those on the island of Ni'ihau (Warschauer & Donaghy 1997).

Hawaiian language study began to generate interest within higher educational contexts when the University of Hawai'i at Mānoa enrolled the first 27 students of Hawaiian language, during 1961-1962. By 1993, there were an estimated 1,277 Hawaiian language students in higher education (Warschauer & Donaghy, 1997). According to Professor Kalena Silva, in 2003, there were 100 Hawaiian Studies majors at The University of Hawai'i at Hilo and an additional estimated 100 students of Hawaiian Language and Studies at The University of Hawai'i at Manoa. Generally speaking, by the fourth year of study, many students in these programs are fluent in Hawaiian, and following graduation often become established within immersion schools as educators, translators, or other positions related to Hawaiian language and cultural preservation. Some students pursue graduate degrees in Hawaiian studies, or in other areas of interest.

Recently, the University of Hawai'i at Hilo established a graduate (M.A.) program in Hawaiian Language, one of the few programs in the U.S. representing indigenous language and culture. The first cohort graduated in 1998 and are expected to fill positions in higher education, community leadership, and immersion education. The University is currently working to develop a Ph.D. program in Hawaiian and Indigenous Language and Culture Revitalization (Kalena Silva, personal communication, January 8th, 2004), and although the degree is still in the early stages of formation and approval, this potential has received extensive interest within international contexts. For instance, Professor Silva (personal communication, January 8th, 2004) discussed the widespread attention initiated by other indigenous groups.

> There has been a lot of interest in our model from North America. We have people visiting us from different Native American Indian tribes. People are

> saying, we'd like to do more of this at the higher academic level, so we developed a program that would allow us to help folks…achieve the best for their own peoples'…to…point them in directions and to provide them with the kind of framework that allows them to develop their own programs for their own communities, wherever they are from.

Findings like these suggest that language vitality and cultural preservation among various indigenous cultural groups is inspiring widespread interest in a variety of contexts, indicating this trend will continue to gain momentum in the future.

Ethnolinguistic Vitality, Immersion Education, and Beyond: Challenges and Research Agenda

Various scholars assert that the existence of immersion programs today demonstrate progress toward language and cultural preservation of indigenous groups. For instance, Swain and Johnson (1997) wrote that, "an immersion program established to promote language revival is itself evidence that the rights and cultural identity of a particular minority group have been recognized…" (p. 11). Movements like these have helped to contribute to the belief among Hawaiians and interested others that indigenous people have the right to be educated in their own language (see Skutnabb-Kangas & Cummins, 1988).

Recent research addressing the positive effect of immersion programs on children's development of Hawaiian proficiency and positive regard for the language indicate that such innovations are significantly increasing the ethnolinguistic vitality of Hawaiian children, adults, and interested students. For instance, Hawaiian immersion specialists have found that, "immersion students have a high regard for Hawaiian language and culture and for themselves as speakers of the Hawaiian language"

(Slaughter, 1997, p.124). Professor Silva (personal communication, January 8th, 2004) verified that Hawaiian students in the University of Hawai'i at Hilo Lab schools demonstrate proficiency in Standard English and Hawaiian, yet often choose to utilize Hawaiian, rather than Pidgin, a commonly spoken dialect among Hawaiians, and other locals in the state. He addressed this issue in the following excerpt.

> …We're finding…this is an interesting social (situation)…Ethnically Hawaiian students are reticent sometimes, especially if there is a lot of very strong Hawaiian background in the family to speak Standard English because they associate Pidgin with who they are as Hawaiians, which I think is so unfortunate. I have nothing against Pidgin, I can speak it myself…but why accept Pidgin English…as my language, rather than Hawaiian, a legitimate language that has a huge repository of literary materials and hundreds of years of thought and tradition behind it…Immersion school (children)…more often than not, don't feel reticent about speaking standard English because they do speak Hawaiian as well.

Hawaiian immersion education has created and implemented an educational model that significantly differs from the dominant paradigm. For instance Keiki Kawai`ae`a, Programs Director of the Hale Kuamoʻo, Hawaiian Language Center at the University of Hawai'i at Hilo asserts that,

> The whole pace of immersion is different. The goal isn't to create excellent monolingual speaker's, it really is a bi-lingual movement. And for a lot of us, we really see it as a multilingual movement…Because of that, it's not about trying to follow and shadow the regulations of the English movement…you need to make sure that the language development in the target language is strong enough before you bring in English, because English is everywhere. We don't formally introduce English reading until 5th grade, but they've had reading, writing, speaking, and listening, all areas of language development in Hawaiian. So it's just a different kind of pace and pattern sequence of learning and depending on where your values are (personal communication, September 13th, 2004).

Moreover, in contrast to the dominant educational paradigm, which develops the academic/intellectual, physical, and affective/emotional character of children, immersion

education also emphasizes socialization and spirituality. For instance Kawai`ae`a (personal communication, September 13th, 2004) stated that,

> The whole issue of holistic human development is a part of immersion movement. We focus on academic/intellectual, affective/emotional, and physical development but there are also two other areas. One is social development and…social consciousness… Immersion…and indigenous education also promote spiritual development. Spiritual development has to do with the connection between people, places, and things all around you. It has to do with connecting and relating to and honoring the purpose of education and the things that help you to be more mentally, physically, socially, emotionally, spiritually prepared, as well as acknowledging those parts that are present visually, and not present, that help you stay focused as a learner.

Immersion education schools often begin with students and teachers chanting in unison, a spiritual ritual that builds cohesion and encourages students to respect the educational environment, their teachers, and other students. Addressing this, Kawai`ae`a (personal communication, September 13th, 2004) commented that,

> All of our schools start with the chant, in unison, to get the students focused and connect the teachers with the students. You don't see the bell ring and the kids just running into the classrooms. Schools start in a different way and are closed in a different way. So that it is an example of how spiritualism is woven into the immersion experience.

This example demonstrates some of the unique cultural and linguistic advantages that immersion students are provided. At times, some children may desire more involvement with mainstream pop cultural influence, such as content found on MTV, however, once the students progress further into the programs, they often realize the importance of immersion education. Kawai`ae`a (personal communication, September 13th, 2004) confirmed that Hawaiian language education contributes to a stable sense of identity among many children, because they feel connected to their language, culture, and history.

> All the subjects and courses are developed through the Hawaiian language so the children…want, at times, to feel more like the MTV kind of stuff, because the media has a huge amount of power on the student's attitudes about who they are

> as young people… But if you ask them, maybe a year after that, they see things very much in a different light. It's been a tremendous advantage for them.

Many of the children educated through immersion programs feel a deep sense of connection to their Hawaiian culture and language, often choosing to continue the tradition of immersion education through careers or community involvement. For example, Kawai`ae`a (personal communication, September 13th, 2004) discussed the advantages her own children have experienced, as a result of being trained entirely in immersion education.

> My eldest right now is going into teaching 7th and 8th graders...She has a real edge ahead of many other students her age, I think, because of immersion education. (She is) well grounded and her choice to go into education was because she felt that she had to continue the legacy. Nobody told her that, but she feels that. And you see a lot of our students doing that, in all kinds of different areas, not necessarily in education. But they kind of grew up with the belief that taking the language into all venues is very important in terms of stimulating the vitality of the culture. I think it is very important.

Such information demonstrates that immersion education is simultaneously strengthening the language, cultural, and community involvement among students. From a communication perspective, this issue could be addressed on a broader level, with other indigenous education and language programs, to determine how linguistic and cultural identification influence the development of individual and community identity. For instance, Dr. Manu Aluli Meyer (personal communication, September 11th, 2004), Associate Professor of Education, the University of Hawai'i at Hilo asserts that there is a positive impact of this type of education on the identity reclamation and development of immersion students.

> …immersion and language reclamation is a blessing and a gift to our evolution as a culture…because it gives us an option and it gives families an option, it gives communities an option…to be bound by culture to each other, and that's

> liberating, and we need that option. Language is a doorway, and the process of language revitalization is a cultural re-awakening. It allows us to express and experience our own identities…they begin to know who they are historically, and in the present time. They do things like ritualize their opening of going into school and that's a blessing. It teaches us respect, honor of our teachers, ritualizing the holy moment when you enter into a school. So the ritualizing of entering a school is beautiful. I love that.

Findings like these suggest that immersion education are enabling students to experience education from a unique perspective; one that honors history, culture, language, and the individual.

Although immersion education has established a reputation for enabling students access to a quality education through Hawaiian language, Dr. Wilson, asserts that developing and implementing a new educational paradigm was initially met by social and political challenges. In the following excerpt, Wilson (personal communication, September 15th, 2004) addresses his concern about the preservation of the Hawaiian language and specific circumstances that presented challenges early on, for the immersion education movement.

> To me the most important thing is the Hawaiian language and culture. That's why we started the schools. That's why we put our children in the schools because we thought it was valuable…we risked lots of things, because…there is…pressure in Hawaii to go to private schools. So, we chose Hawaiian, over the dominant paradigm…People were saying, if you do this their going to be educationally smashed, their not going to speak English, it's going to really hurt them. And politically, what we said is we should have the right to make that choice. And if we don't, then that's linguistic and cultural genocide. So, the state agreed…But we said, let us have the choice to choose this…Hawaiian is our official language, why can't we speak Hawaiian?

Although Dr. Wilson and other immersion specialists eventually overcame this issue, other barriers emerged when the state attempted to send teachers to Hawaiian immersion programs who were not able to speak the language. Due to the fact that the ability to

speak Hawaiian is essential for the success of immersion education, the program responded by hiring their own Hawaiian language teachers from non-profit funds, and forbidding unqualified teachers to teach the children. Eventually, immersion education were able to hire educators fluent in Hawaiian, but initially this was a challenge. Wilson (personal communication, September 15th, 2004) explains the process of resistance that the program had to undergo in order to establish the necessary elements for successful immersion education.

> We try to make sure that people who can speak Hawaiian are the teachers…if they (the DOE) hired a teacher that could not speak Hawaiian, then we would hire a teacher with our non-profit (funds) and put them in the classroom and let the one who speaks English sit in the corner…So we fulfilled the DOE's thing. But I would tell them, you cannot teach, don't you dare try and teach…You just collect your paycheck…we did that until we got people out.

Such examples exemplify the struggles Hawaiian immersion education has faced in establishing an independent and autonomous relationship with the dominant educational paradigm. However, despite initial set backs, the program is thriving today, with local, national, and international support from various indigenous groups and interested others.

Although current movements towards revitalizing the Hawaiian language are encouraging, Professor Kalena Silva (personal communication, January 8th, 2004) stated "we (the Hawaiian people) are not out of the woods yet". Significant challenges towards revitalizing the Hawaiian language have been identified by language activists and scholars, particularly as they relate to increasing the demographics of newly-acquired Hawaiian speakers. Currently, a fair proportion, are elderly citizens that live in remote areas of the State, isolated from community interaction and activity. One native speaking community dwells on Ni'ihau, an island that is isolated through lacking telephone or

electrical connections. Because of this, students in the immersion programs are unable to establish contact with native Hawaiian speaking communities, such as these. According to Kalena Silva, “There is also a sizeable Ni’ihau community on Kaua'i” (personal communication, November 1st, 2004).

As previous research has demonstrated, connecting with native speaking communities would strengthen students’ understanding of the Hawaiian language. Immersion schools, which are typically geographically isolated on various islands, often do not sustain regular contact with each other. This may contribute to physical and social fragmentation among language immersion communities, a condition that sometimes challenges the mental, social, and cultural cohesion of students and educators in the program. Moreover, because immersion programs are relatively small in size, many have been placed within larger English medium educational environments, which may further complicate the effectiveness and success of Hawaiian language immersion programs (Warschauer & Donaghy, 1997), as the programs struggle to establish, develop, and maintain authentic organizational culture and identity.

Currently, immersion is successfully providing quality education to many students and situations have improved, however one immersion specialist commented that, in the past, social attitudes have challenged the immersion educational model. For instance, some immersion classrooms, established in larger public school locations, have been placed next to special education classrooms, separated from the main area of the school (Kawai`ae`a, personal communication, September 13th, 2004).

> It's just amazing to get people to change their attitudes. For example, they put the special education kids in the very different building, apart from everybody else. That's where they chose to put immersion. And all the regular kids, are all in the healthy area of the school, that kind of attitude…(What is needed) is getting people to look at you…getting people to make those shifts in their thinking in terms of really wanting better for the children…because their mindset is based on a whole different paradigm. That has been a big challenge for many immersion teachers. They feel like lone warriors. They have to fight for their budget. They have to fight the attitudes and the prejudice, but you know? I would say that's power for the course if it's worthwhile and if it's going against the flow of traffic. That's what immersion does. It's gotten easier with the years.

Such information demonstrates that the Hawaiian immersion education movement has endured challenges related to dominant attitudes and solidifying resources, however through the commitment and perseverance of key individuals, the movement has successfully established an alternative educational model to revitalize the Hawaiian language and culture.

Another significant challenge currently encountered by the immersion education movement is the shortage of curriculum materials (textbooks and teaching materials) available in the Hawaiian language. Certain programs, such as the Ānuenue School on Oahu, have enlisted parents and volunteers from the community to record Hawaiian translations of English language textbooks. Warschauer and Donaghy (1997) referred to Laiana Wong, a Hawaiian language educator and member of the Hawaiian language lexicon committee who asserts that "…the main problem is that this imposes a perspective from outside of the islands. We need to develop original materials in Hawaiian that can reflect our own culture, perspective, and reality" (p. 3). This process has also included updating huge amounts of materials related to the inactive Hawaiian lexicon, a condition that developed primarily from a century of linguistic and cultural repression.

Immersion programs have also encountered challenges related to the use of Hawaiian in the home. Often, immersion children are in school for about 6-7 hours per day, yet despite the prevalent use of Hawaiian in educational immersion environments, some parents are not fluent enough in Hawaiian to engage children in useful dialogue at home. In order to increase language fluency among the families of immersion students, specialists have suggestecd, "expanding Pūnana Leo parent-class requirements into Kula Kaiapuni Hawai'i and developing Hawaiian-speaking settlements with intensive live-in modeling and Hawaiian language teaching…" (Wilson, 1998 p. 134). According to Silva (personal communication, January 8th, 2004), family and parental involvement are essential for the success of children in immersion programs.

> The family's involvement…in the education of the child is crucial…It reflects on the families desire for that child, and the child picks this up very quickly…If parents show indifference, or are not as supportive or involved…the child realizes that. But if parents are involved…to nurture the use of language and nurture the education of the child through Hawaiian language, I think the child, very keenly, understands that as well…And if they go to a school that…is very different, linguistically and culturally (such as Hawaiian immersion)…it's sometimes difficult…When the family becomes involved…this…mitigates some of the difficulty that the child faces, in that regard and definitely sets the way for education in Hawaiian or through Hawaiian that will stay with the child for the rest of his or her life.

Although many of the parents of immersion students are successful at acquiring the language, others encounter difficulty, especially because most young immersion students develop their Hawaiian language ability at a rapid pace. As Professor Wilson (personal communication, Sep. 15, 2004) contends,

> The parents of the children in immersion the 'Aha Pūnana Leo parents have to go to class…and suddenly (the parents), feel this is hard, and I cannot, and my kid is going (developing Hawaiian) so fast. And the kids, when they are real young, they don't know (how difficult it is to learn a language).

This challenge in language acquisition may also be an issue with some college students in the Hawaiian Language and Studies Program, who have not had formal language training in the past, and struggle to acquire the necessary skills. For instance, Dr. Wilson (personal communication, September 15, 2004) discusses the circumstances surrounding this challenge.

> In the university system we have to teach students to speak Hawaiian very fluently, after they come in, as a freshman, educated in the Hawaii Public School System, or a private school…They come in not really knowing anything about languages…they can't speak the languages, so then we have to teach them really hard, and it goes against what they are used to, and they (say), how come Hawaiian is so hard? Hawaiian is supposed to be Aloha and just get it easy… They think of their identity as Hawaiian, but to learn that is more structured than Standard English. That's a huge emotional wall for people to deal with and people do conquer it but its difficult…Students get mad at us for that. But then, we get them through…

Within the Hawaiian language and cultural education community, an ongoing dialogue has emerged about the importance of written literacy, in comparison to oral practice. Although it seems clear that literacy is an extremely important element in the ability of indigenous cultures to preserve language and culture in the modern world, other educational practitioners contend that the establishment of oral immersion programs may be more congruent with historical Hawaiian cultural traditions. Educational specialists that endorse drawing from the oral tradition of language acquisition and maintenance assert that literacy and the process of learning through a symbolic language, like the alphabet, is a relatively new and somewhat foreign experience for some indigenous cultures.

For example, historically speaking, Hawaiians were an oral culture, until contact with Western influences contributed to the establishment of an alphabet and written

language. In the past, cultures with oral traditions have preserved authentic stories, legends, rituals, and history through the use of memorized chants, verse, dance, and song; a type of oral communication that represented the highest evocative tradition in indigenous cultures. From this perspective, some feel that the promotion of language preservation and utilization through oral interaction, as well as literacy, may be more consistent with historical and cultural traditions. Keiki Kawai`ae`a (personal communication, Sep. 13th, 2004), a specialist in Hawaiian Language and Education suggests that the oral element of communication is essential in perpetuating the Hawaiian language within a variety of contexts.

> The root of our language is oral…oral literacy is key to the rest of the literacy, especially since this is a second language for a majority of students…We need to do a lot more…of oral literacy in the quality of literacy. Literacy (also) means reading and writing, but oral literacy is very important…If your levels of oral literacy are low, then your levels of writing are going to also be low…We have to have more contexts that are community driven, so then you get more vocabulary, and sophistication of language in those contexts…we need to spend a lot more time with, things as simple as storytelling…

Moreover, Dr. Manu Aluli Meyer (personal communication, September 11th, 2004) also discusses the differences between oral and literate traditions and emphasizes the importance of oral communication, in addition to written literacy.

> The growth of identity…and language is a doorway, but its only one doorway…And it gets shut once they (students) leave…I want the oracy to be more than a metaphor of deepening knowledge. It needs to be a practice to …revitalize that animated principle of truth found in present moment practice and …articulation…Oracy and particularly languages like Hawaiian play a pivotal role in the reclamation of that because of the rolling nature, the beauty of it, the rounded drama of its capacity…let's shape our language differently and not only writing, but oracy combined with literacy. I think this is our future.

Despite the fact that Hawaiian language oracy advocates endorse a valid perspective in suggesting more of an emphasis on the traditional learning processes of

Hawaiians, and other indigenous groups, the reality of the 21st century demands that immersion and language education prepare students to be effective within dominant political and education models. Clearly, Hawaiian language and immersion programs, such as the one established by the University of Hawai'i at Hilo, which attempt to instill both written and oral literacy, do a service to indigenous groups, by equipping students to operate within the lingua franca of the dominant realm, and therefore position students and scholars at the forefront to deal with emerging issues directly. By requiring students and faculty in Hawaiian language programs to have oral and written literacy, it seems that they are probably better prepared to make represent their interests in the dominant paradigm. However, is it possible that the expectation of literacy, as we currently understand it is, in fact, a reinvention of a colonial model in a post-colonial Western world? It seems that oral cultures everywhere face the impending risk of linguistic, political, and cultural extinction if they are unable to maintain and express culture, at least in part, through the dominant ideology of Western norms. Clearly, future examination and research is warranted in the methods and processes by which modern scholars define themselves, their traditions, and their life aspirations.

Previewing literature and utilizing the observations of program facilitators and participants suggests that Hawaiian language immersion schools may be contributing to the ethnolinguistic vitality of Hawaiians. Although immersion education specialists continue to collaborate on the most effective ways to develop curriculum and educate immersion students, it seems that the primary motive is being fulfilled. Keli'ikanoe Ah Chin stated that, "We want the children to have one foot in the past and one foot in the future and (to) tie them together…The kids are connected and have self identity…they

are grounded" (Catalano, 2004, p. 13). In this sense, it appears that immersion education has already contributed invaluably to the collective esteem, identity, and vitality of Hawaiian students and people however, this issue could be researched from a longitudinal perspective to track the cumulative impact of this type of education, on individual and collective identity. For example, Professor Meyer (personal communication, September 11th, 2004).addressed the importance of language acquisition in shifting the oppressive past and building the fragmented identity of Hawaiians.

> There are Hawaiians that need, and must, and want to speak our language. To wake up and understand lovingly that oppression, racism, and bigotry are at the core of our inability to express ourselves in Hawaiians…This is Hawai'i, Hawaiian is our language, we've been oppressed, we oppress ourselves now, and now we're not fearing talking to others to get the help we need to speak our language. In that we will reclaim a broken identity and that to me is vital

It would be valuable to assess what other issues, such as family circumstance, socio-economic class, or social support, that may impact the identity development and reclamation of Hawaiians in a rapidly changing modern world.

Given that our analysis suggests that the objective vitality of the Hawaiian people is increasing, due to immersion and other revitalization programs, it seems important to initiate further research assessing the subjective vitality of Hawaiian immersion students (as well as many other populations). In this context, empirical inquiry would be useful to explore in what ways immersion students are identifying with their language, when they utilize it, for what functions, and why. If research confirms that immersion education is increasing both subjective and objective vitality, federal, state, non-profit, and private organizations could be petitioned to encourage greater economic, social, and political support of Hawaiian and other indigenous group immersion programs.

In assessing authentic language utilization from an intercultural perspective, it seems that several issues could be explored to further our understanding of communication. Keiki Kawai`ae`a (personal communication, September 13th, 2004), asserts that it is important for Hawaiian speakers to feel comfortable maintaining the language, even in contexts where others do not speak the Hawaiian.

> One of the elements of language is communication. So every time we go to a place, and amongst Hawaiian speakers, we turn around and speak English because one person can't speak Hawaiian…we dis-empower our own attitudes toward our language and the use of our language…Empowerment about our language is in using it and not being afraid to use it. And that's a change of attitude. It's so nice to hear Hawaiian being spoken. It's about empowering the strength of what we have to offer. And the less you use it, the less power that language has. If it's going to be a vibrant living language, it has to be used as much as possible…I think that has come about from being empowered enough to practice that, because people's mindsets changed, so the consciousness changed. And you don't feel so bad about speaking Hawaiian and being Hawaiian and promoting that

It seems evident that the vitality of the Hawaiian language has increased over the years, and in doing so, empowers people to develop and maintain their authentic language, amidst dominant language use. An interesting avenue for further inquiry could focus on the types of individual, social, or political circumstances that facilitate maintaining the Hawaiian language, in contrast to English. For example, it may be that in close familial or social circles, using Hawaiian is accepted and condoned, while other contexts (organizational or political) may naturally curb authentic language expression. It would be valuable for communication researchers to assess what conditions promote language maintenance, among dominant discourse, so that we can better understand the relationship between language and individual, inter group, and social relations.

From a global perspective, educators have suggested that immersion students who have a foundation in Hawaiian culture and language are very appreciative of other cultures. By instilling a sense of deep appreciation of the children's language and culture, immersion education may play a pivotal role in uniting indigenous children from other locations in Hawai'i, the U.S., and the world. In support of this, Keiki Kawai`ae`a (personal communication, Sep. 13th, 2004) contends that,

> What it (immersion) says is that the culture you came from is an important culture. It's an honorable one that will raise your own level as a person, to a higher place, because you have a real understanding of all the things that came before you, and it's application today. That's what that promotes…The kids have a very receptive ear to learning other languages and cultures…and a very accepting nature of other cultures…When you have your own (culture), it's your spring- board to…being much more global because you have a lens from which to view the world. That's a real advantage for our children

Information like this indicates that immersion children are trained to develop a strong cultural identity, which facilitates increased awareness and appreciation of other ethnic and cultural groups. From this angle, it may be useful to determine how immersion education impacts the cognitive and social processes of individuals being more accepting of those who are "different". It may be possible to draw from the immersion paradigm and apply similar principles to more dominant educational practices, to promote increased tolerance and harmony among Hawai'i's unique cultural fabric.

Moreover, it would also be interesting to pursue research that explores intergroup communication among Hawaiians who speak the language, in comparison to those that do not. According to Professor Meyer (personal communication, September 11th, 2004) people who are either unable to attend immersion education, or unable to successfully learn the Hawaiian language, may often feel excluded from the reclamation of language.

In this sense, it may be beneficial to expand the valuable philosophies of immersion education into the larger community. In the following excerpt, this issue is addressed, with suggestions for increasing the effectiveness of the Hawaiian language movement, in contexts other than education.

> Let's be flexible so that more people can enter into the reclamation of Hawaiian identity…It does impact our community greatly. The Hawaiian immersion movement has been pivotal and helpful and joyful for many families…I am forever grateful…I'm just ready for it now to be more effective for more families….I just think we can make it more mainstream and it would be more vital, or revitalized, if we would allow it to seep into mainstream consciousness so that we're not shy about our request to speak…Because we're (people who are not proficiently versed in Hawaiian language) shy now…I think our language needs to be spoken in the streets and not just in the classroom. I can't speak it a lot, but I want to be in places where they do

Such information suggests that although immersion education has contributed significantly to the reclamation and maintenance of Hawaiian language, others, who are not be opportune to immersion education, or complete acquisition of the language may feel excluded and alienated. Considering this issue may impact the long-term identity development and esteem of many Hawaiians, it seems likely that increasing access, assistance, and involvement within the community may alleviate such inter-group issues. Further research assessing language acquisition effectiveness, in contexts other than immersion, would also be a valuable contribution to the literature on language reclamation and survival.

From a media effects stance, it would be valuable to illuminate how Hawaiian language portrayals in visual media, theatre, and new technology influence adults' and students' sense of vitality, ethnic identifications, and life satisfaction (Abrams et al., 2003; Reid, Giles, & Abrams, 2004). It may be that theatrical plays, cinema, and other

performance contexts depicting an authentic cultural and linguistic identity may further increase collective esteem and group identification among Hawaiians. For instance, Keiki Kawai`ae`a (personal communication, September 13th, 2004) contends that "Most of them (children) are much more visual…visual communication is becoming more popular, especially with the interactivity with the younger kids". Research may find that web technology interactions among immersion students in a variety of locations, is significantly increasing vitality, ethnic identification, and group esteem among indigenous groups.

Considering that a consistent theme within the initial stages of immersion education has revolved around establishing and maintaining a unique and autonomous organizational identity, it seems that this would be a valuable venue for further examination. For example, how do alternative educational organizations develop, establish, and maintain a functional identity, amidst dominant structures of the Western educational paradigm? What struggles seem to consistently characterize this process and how do educators and students respond and overcome the challenges of being imbedded in a system that, at times, seems unequipped to accommodate essential elements necessary for effective alternative education?

From an organizational perspective, it would also be useful to research how and when Hawaiian language is utilized in the workplace. It may be that authentic language use among Hawaiians promotes greater collectivity, camaraderie, productivity, and may be used only in informal contexts, such as conversation at the "water cooler". If so, how might these social interactions influence communication with members of the

organization who are not privy to Hawaiian language use? Additionally, it would be useful to explore the degree of status Hawaiian language holds within organizational contexts and illuminate how this may influence employment, job stability, and advancement among Hawaiian speakers.

Finally, considering that tourism is Hawai'i's primary industry, and that many Hawaiians, and non-Hawaiians alike, are employed in service sectors such as hotels, restaurants, and tour contexts, it would be advantageous to assess when Hawaiians use their language with tourists. For instance, when is Hawaiian language used to socially distance locals from tourists in commercial or interactive contexts and when is it adopted to enrich and diversify the social climate from a public relations perspective? How and to what extent is Hawaiian language use accommodated by tourists, locals, and émigrés, and to what effects? Furthermore, it may be useful to explore whether an increase in local linguistics promotes exotic perceptions and experiences of Hawaiian life for visitors. It may be that state and national identities, for Hawaiians, become salient in different interactions, depending upon tourist cultural sensitivity. Illuminating how language use plays into this matrix would be extremely useful.

Wilson (1998) recently wrote that, "Hawaiian is being revived and is assuring the future existence of a distinct Hawaiian people and a distinct Hawai'i, just as the words of *Ke Mele A Päku'i* assured their creation in antiquity. *I ka 'ōlelo Hawai'i ke ola* 'Life rests in the Hawaiian language" (p.135). As this review has suggested, language revitalization and preservation are important ingredients of Hawaiian culture that beseech the attention of communication scholars in a variety of contexts.

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1. *The Lure of the Mob: Skinheads, Fallenness and the Struggle for Authenticity.*

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6. Abstract:

Today, the term *skinhead* is taken by mainstream media consumers to virtually be synonymous with the term *Nazi*, and it has become almost automatic to associate skinheads with viciousness and racial intolerance. The media commonly utilize and exploit this iconic image in everything from television programs and commercials to magazine ads and movies, reinforcing and strengthening its evocative power. The skinhead has thus become one of this culture's most recognizable images of malevolence.

Yet because there are skinheads who are real, concrete actors in our contemporary world, they are more than just an abstraction, and their media image is, thus, bound to be complicated by a number of real-life factors. While the skinhead remains an instantly recognizable symbol of wickedness, this wickedness is not so far removed from our own realm of acquaintanceship and understanding, and thus of our sympathy. In this paper, I marshall Heidegger's notion of "authenticity" in order better to understand why it is that in such films as *Romper Stomper*, *Higher Learning*, *American History X*, and *The Believer*, the lives of particular skinheads are depicted in such a sympathetic manner.

Title of Submission:

THE PUBLIC SPEAKING OF DORIS HADDOCK (GRANNY D): SHE WALKED THE WALK AND TALKED THE TALK FOR CAMPAIGN FINANCE REFORM

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ABSTRACT OF PAPER

Doris Haddock--public speaker, activist, and reformer--is a citizen who has reached out via her public speaking to engage other citizens on a significant issue of our time in order to make a difference. Haddock, also known as AGranny D,@ came into national prominence at the age of 89 when, from 1999 to 2000, she walked across America, from California to Washington, D.C., giving speeches on campaign finance reform in many cities and towns along the way. This paper briefly examines Haddock=s life (background) as it relates to her work and speaking. Next it presents a section on the history of campaign finance reform, providing a rhetorical context for Haddock=s rhetoric. Next, the paper analyzes her rhetorical strategies for selected speeches. In addition, the paper examines Haddock=s contributions to raising public awareness and support for campaign finance reform and for the passage of the McCain-Feingold and Shays-Meehan Campaign Finance Reform Acts. The paper concludes with a section on Haddock=s influence and the recognition she has received, followed by an epilogue.

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THE PUBLIC SPEAKING OF DORIS HADDOCK (GRANNY D): SHE WALKED THE WALK AND TALKED THE TALK FOR CAMPAIGN FINANCE REFORM

The idea of the Citizen-Orator certainly is not new. In 392 BC, Isocrates, in his school of speech in Athens, was training his students to be citizen-orators who could speak out powerfully and intelligently on important issues of the day and who would be leaders in a democratic state (Golden, Goodwin, and Coleman 45-46). Doris Haddock, the public speaker, activist, and reformer who is the subject of this paper, is a citizen-orator extra ordinaire. Neither a politician nor a celebrity, she is a citizen who has reached out via her public speaking to engage other citizens on a significant issue of our time in order to make a difference.

Haddock, also known as AGranny D,@ came into national prominence at the age of 89 when, from 1999 to 2000, she walked across America, from California to Washington, D.C., giving speeches on campaign finance reform in many cities and towns along the way. This paper briefly examines Haddock=s life (background) as it relates to her work and speaking. Next it presents a section on the history of campaign finance reform, providing a rhetorical context for Haddock=s rhetoric. Next, the paper analyzes her rhetorical strategies for selected speeches. In addition, the paper examines Haddock=s contributions to raising public awareness and support for campaign finance reform and for the passage of the McCain-Feingold and Shays-Meehan Campaign Finance Reform Acts. The paper concludes with a section on Haddock=s influence and the recognition she has received, followed by an epilogue.

BACKGROUND

Doris Haddock was born Doris Rollins on January 24, 1910. She grew up in Laconia, a small town in New Hampshire, in a family with modest income. Her father worked in a

furniture warehouse. As a child she performed in community plays and pageants, skied, and read every adventure book in the town=s library (Haddock, Granny D 89, 255). Her reading adventure books was related to a childhood incident. At age seven, she overheard her mother telling a friend that her daughter, Doris, was the most difficult of her children: AShe=s not like the others. She=s different. Sometimes I wonder if she=s mine at all, like I found her in a basket on my front doorstep.@ Haddock said that her mother=s words made her feel a sense of insecurity, of not belonging, for much of her life. However, she said,

> Not knowing how else to proceed, I embraced the idea that I was different. I was a princess in disguise. The pink granite Laconia Public Library, complete with turret, became my castle, and I read every adventure book in it....That overheard conversation, and that uncertainty, helped me to become well read and adventurous....It has sent me on a lifetime of adventures. (Granny D, 125-26, 255-56)

Growing up, Haddock and her family heard many public speakers at annual Chatauqua-like events as well as hearing political campaign speeches in the town park on occasions such as the Fourth of July (Haddock, Granny D 115-16; ACornerposts@). After graduating from high school, she worked that summer as a maid at a posh hotel to earn tuition money for college. The hotel owners treated her like a servant, and it was a humbling experience (Haddock, Granny D 185-88). She attended Emerson College, where she studied elocution, public speaking, and literature. She sewed the costumes for the Children=s Theater all her years at Emerson to earn money for tuition (Haddock, Personal interview). She also had many leading roles in Emerson College plays, and her mother encouraged her to be an actress. She actually did perform in one-woman shows based on plays in the 1930s. During her third year at Emerson, she secretly

married Jim Haddock, but the college officials found out and expelled herBmarried women were not allowed to attend college. However, they so much needed her to sew the theatre costumes that they let her finish out her third year (Haddock, Granny D 196, 199, 201).

Other aspects of Haddock=s life were significant for and relevant to her walking and speaking for campaign finance reform. She taught cross-country skiing. She and her husband, and eventually their two children, were avid hikers (Haddock, Granny D 70, 73). They also spent many weekends, for half a century, at a colony in the mountains called Dundee. There they discussed politics, literature, and art with the many visiting artists, writers, and thinkers who came to Dundee, and, with the other guests, they put on plays in the evening for themselves and their children (Haddock, AOn Taking@). Haddock was particularly influenced by the lives, writings, and speeches of three menBMahatma Ghandi and Martin Luther KingBtheir ideas and actions of nonviolent protest and self-sacrifice, and by Theodore Roosevelt and his campaign finance reform work to stop the big corporations from corrupting candidates for political office by contributing heavily to their campaigns.

Haddock and her husband became activists for many causes. One very significant one, in Haddock=s eyes, was their work in the early 1960s, when she, her husband, and a few others drove from New Hampshire to Alaska in a Volkswagen bus. Their mission was to help the Eskimos to stop Edward Teller from exploding six hydrogen, thermonuclear bombs near the Eskimo village of Point Hope. In 1963, due to their efforts and those of some Eskimo leaders they worked with, plans for bombing were cancelled (Haddock, Interview with Patty Satalia). Haddock eventually had a job outside the home. After their two children were in school, she said, she had Acabin fever.@ Her husband disliked the idea of her taking a job, but she saw his

attitude change to some extent over the years. She worked briefly as a bookkeeper and then for many years in a Manchester shoe factory for the Beebee Shoe Company, where she began as an executive secretary. Eventually she worked her way up to Production Cost Estimator, a position for which she was Athe second-highest paid woman in New Hampshire, second only to the Treasurer of the electric utility where Jim [her husband] worked.@ She retired from the job in 1972 (Haddock, Granny D 202, 213-14). Haddock and her husband had what she described as Aa long and happy marriage@ of 62 years (Granny D 30). They had several grandchildren, and she is now a great-grandmother of 16, some of whom call her AGranny D@ [Doris] (ADoris >Granny D= Haddock@). Her husband died after a 10-year struggle with Alzheimer=s, and a few years later her best friend, Elizabeth, died after Aa long and difficult illness@ which culminated in a stroke (Haddock, Granny D 4, 40-41, 239). Haddock was very depressed. However, in 1999, she felt called to do something: AI stepped out of the cave of my depression and began to plan my workBmy job. I decided to go on the road and talk to people about our democracy, and what we might do to help it survive@ (AOld Elijah=s Tree@).

Another influence on Haddock=s work for campaign finance reform was the Tuesday Morning Academy, which was formed in 1984 in her hometown of Dublin, New Hampshire by a group of several women. Led by a retired teacher, they are a study group who still, to the present day, meet to study and educate themselves on important issues of the day. The issue they had been studying prior to Haddock=s walk across the U. S. in 1999 was campaign finance reform (Haddock, Granny D 7-8). Even in the two years prior to 1999, Haddock had begun to work for campaign finance reform. She had been concerned when the first McCain-Feingold campaign finance reform bill did not pass in the U.S. Senate. She and her friends and relatives in many

states Aorganized tens of thousands of petitions demanding campaign finance reform@ (Haddock, Granny D 9). They each sent the petitions to their two senators and waited for replies. From one of Haddock=s senators, she received Aa form letter quite like the letters senators in other states were sending to others of us, saying that spending money was a form of political speech protected by the Constitution.@ Her other senator did not respond at all; when she contacted him, he said he never received the petitions. She then sent new copies of the petitions to him, but he never responded:

> The form letter response and total refusal to look seriously at reform sickened me....I was an old Yankee accustomed to calling up her congressman and getting things moving. To not have proper representation! It was deeply disturbing. That wonderful feeling of belonging, of being a valued participant, was jerked away. I fully understood: I was no longer a village elder at the council fire. Those places were reserved for wealthy campaign contributors. I was a woman scorned. (9-10)

Haddock now resolved to walk across America to call attention to the need for campaign finance reform, an issue which concerned her greatly (Haddock, AWhere Honor Comes@).

THE HISTORY OF CAMPAIGN FINANCE REFORM: A RHETORICAL CONTEXT

Campaign finance reform is not a new issue. In the early 1900s, many citizens began to be very concerned about Abackroom payoffs, outright vote buying, and corporate corruption of the political process.@ For example, in 1905 in New York City, 26 percent of voters sold their vote for cash. Public opinion was also increasingly critical of the pervasiveness of corporate funding of campaigns. The discovery in 1905 of widespread attempts by New York insurance

companies to influence state politics with campaign contributions caused a public outcry. And when Republican State Senator Thomas Platt was asked by counsel if he felt morally obliged to work for these corporations that funded his campaign, he replied, AThat is naturally what is involved@ (Green 39).

Theodore Roosevelt became the first president to state the ideas that would be the basic themes of campaign finance reform for the remainder of the century. In his 1905 Message to Congress, President Roosevelt proposed that Aall contributions by corporations to any political committee or for any political purpose should be forbidden by law@ (AImportant Dates: Federal Campaign Finance Legislation@). In 1907, he proposed Acaps on individual contributions, full disclosure of campaign funding and expenditures, and public financing of campaigns@ (Green 39). Led by Roosevelt, Congress responded in 1907 with the Afirst really significant campaign finance reform law, the Tillman Act. It outlawed campaign contributions and expenditures by banks and corporations@ (39). The Act barred corporations from using their treasury funds to support candidates for federal offices. It was not until 1947 that a similar ban on union funding would be added (Savage, AHigh Court Upholds@). Another of Roosevelt=s ideas was that Congress should provide an appropriation for the Aproper and legitimate expenses@ of each of the two major national parties (Green 5). Then candidates would not have to rely on private funding.

Some of the groups which have supported campaign finance reform through the years are the Progressive Party, the Reform party, Common Cause, the League of Women Voters, the Sierra Club, and the American Association of Retired Persons (AARP). In 1912, Theodore Roosevelt was nominated for President by the Progressive Party after not having run for re-election in 1908. His speech AThe New Nationalism,@ which launched his campaign for the

Presidency, was given in Kansas on August 31, 1910 and contained the crystallization of his ideas about special interests and politics:

> Our government, National and State, must be freed from the sinister influence or control of special interests. Exactly as the special interests of cotton and slavery threatened our political integrity before the Civil War, so now the great special business interests too often control and corrupt the men and methods of government for their own profit. We must drive the special interests out of politics.

Roosevelt also, in this speech, stated another key theme of campaign finance reformBthe idea of one voice having one vote: No special interest Ais entitled to a vote in Congress, to a voice on the bench, or to representation in any public office. The Constitution....does not give the right of suffrage to any corporation.@ Future writers and speakers on campaign finance reform, this writer among them, would echo this ideaBthat a corporation isn=t a citizen, and only each individual citizen in our country has the right to vote (Marshall and Marshall, AModest Proposal@). Roosevelt also concluded that,

> in a representative government such as ours, [we must] make certain that the men to whom the people delegate their power shall serve the people by whom they are elected, and not the special interests. I believe that every national officer, elected or appointed, should be forbidden to perform any service or receive any compensation, directly or indirectly, from interstate corporations. (ANew Nationalism@)

Doris Haddock, speaking out for campaign finance reform starting in 1999, quoted from this passage in Roosevelt=s speech. Haddock also gave speeches to several Progressive and Reform Party audiences.

Several more key pieces of campaign finance reform legislation that dealt with issues raised by Roosevelt occurred in subsequent years. Due to the persistence of Progressive legislators, in 1910 the Publicity Act was passed, requiring public disclosure of campaign funding and expenditures. In 1911, Congress limited campaign contributions and expenditures for Senate campaigns to $10,000 and for House campaigns to $5000 (Green 39). Much later, in 1971, pressured by citizens= lobbying groups such as Common Cause and Public Citizen, Congress passed both the Federal Election Campaign Act (FECA) and the Revenue Act. FECA included three provisions. The first provision required candidates and political committees to make detailed, periodic reports of contributions and expenditures and to make that information accessible to the public. Every contribution of $100 or more had to be reported. The second provision limited the amount a candidate could contribute to his or her own campaign. Presidential candidates were limited to $50,000 in personal and family contributions, senators to $35,000 and representatives to $25,000. The third provision limited the expenditures candidates could make for media purposes. House candidates were limited to $50,000 or ten cents for every eligible voter in the district, whichever was greater. Senate candidates were limited to $50,000 or ten cents for every eligible voter in the state. Limits for presidential campaigns= media expenditures were ten cents per eligible voter (Green 51).

The other new act, the Revenue Act, gave taxpayers the choice of receiving either a tax deduction or a tax credit for political contributions made to a campaign at any of the three levels of government. It also created a system allowing taxpayers to help to subsidize a presidential campaign by checking off a box on their tax form indicating their wish to do so (Green 51).

In 1974, after the Watergate scandal, Congress passed some amendments to the Federal Election Campaign Act (FECA), including limiting individuals to giving no more than $1000 to

a federal candidate for a single campaign (Savage, AHigh Court Upholds@). Other amendments limited political action committees= (PACs=) contributions to a candidate to $5000 per election, with no aggregation cap (PACs could give to as many candidates as they wanted to) and established the Federal Election Commission to monitor and enforce the new law. However, in 1976 the Supreme Court, in the Buckley v. Valeo decision, struck down several of the Federal Election Campaign Act=s spending ceilings as unconstitutional (Green 3, 51).

From approximately 1998 to 2002, there was another push for more campaign reform. There were loopholes in the system by which some of the laws could be evaded. For example, corporations had been forbidden by the Tillman Act to contribute to federal political campaigns; however, they could circumvent this barrier by contributing unlimited amounts of money instead to political parties, which then could funnel the money to whichever of their candidates= campaigns they wished. Mark Green, author of the book *Selling Out*, described the current system of financing political campaigns as one which Apits each candidate in a race to raise more than his or her opponentsBand enough to feed the broadcasting monster called airtime@ (15). In 2000, the cost of campaigning and winning a seat in the U.S. Congress was $842,000 for the House and $7.2 million for the Senate. And money contributions brought with them Aintended leverage.@ AWe=re all tainted by this corrupt system,@ concluded Republican senator John McCain of Arizona (qtd. in Green 4). David Savage, in his article in the *Los Angeles Times*, identified the twin loopholes of soft money (unlimited contributions to political parties by corporations, unions and the very wealthy) and bogus issue advertising:

> In the 2000 election cycle, $498 million in soft money flowed into the Democratic and Republican national parties. Theoretically, those funds were supposed to be used for

> purposes unrelated to specific campaigns, but everyone knew that was not the case. The money allowed big donors to buy influence with the members of Congress and the President. (AHigh Court Upholds@)

Savage also gave examples of bogus issue advertising. A legal loophole allowed such ads if they advised something more general than Avote No on Jones@ on election day:

> At the same time, corporations, unions, and rich individuals were funding broadcast ads that praised or attacked candidates. Often, they did so behind a facade of misleading names. For example, a group called >Citizens for Better Medicare= was, in fact, made up of major drug companies; it ran ads opposing candidates who favored controls on drug prices, the [Supreme] Court noted. Another group, called >Republicans for Clean Air,= was in reality two brothers, Sam and Charles Wyly, who spent $25 million on ads supporting then-Texas Governor George W. Bush during the Republican primaries.... During the 2000 election, 130 groups spent an estimated $500 million on these phony issue ads. (AHigh Court Upholds@)

In 1999, the League of Women Voters devoted most of an issue of their National Voter magazine to the need for campaign finance reform. Carolyn Jefferson-Jenkins, then the national President of the League, gave an example, in her article, of a Connecticut state senator who reversed his position and then started speaking out in favor of a controversial incinerator project opposed by the neighboring community. A local group discovered that this incinerator company had made three contributions to the senator=s campaign, after which he had changed to being in favor of the incinerator project. AOver and over again,@ said Jefferson-Jenkins, Acontributions from industry have the effect of drowning out the voices of the people.@ She went on to explain

that the League was working for campaign finance reform at the federal, state, and local levels. She also recommended providing public funding for candidates in order to Awean our system away from dependence on special-interest giving@ (2). *Several* other articles in this issue gave evidence of special interests= campaign contributions= influencing the votes of those people to whose campaigns they contributed.

Doris Haddock, in her book Granny D, A Memoir: You=re Never Too Old to Raise a Little Hell, explained one way that public financing or funding for candidates works:

> It is voluntary, so there are no constitutional questions about limiting anyone=s rights. The candidate who wants to participate has to personally collect a certain number of qualifying signatures and small contributionsBusually in the five-dollar rangeBfrom people who live in the district. This demonstrates community support. Someone who has long been active in a parent-teacher group or scouting or some such thing will have an easy time of it. People who have not helped their community will find it hard sledding. When the candidate meets these requirements, the campaign receives advertising money from the state election fund. The candidate must agree to neither raise nor spend any other money. That neatly gets special-interest contributors right out of the picture. The cost of such a system is about one-tenth the cost of paying off special-interest contributors with tax breaks and other favors. (153-54)

Some states, such as Arizona, have passed public funding legislation.

Also in 1999, Congress started gearing up for campaign finance reform. In the U. S. Senate, John McCain and Russ Feingold cosponsored and reintroduced the McCain-Feingold Bipartisan Campaign Finance Reform Act. In the House of Representatives, Christopher Shays

and Marty Meehan cosponsored and reintroduced the companion billBthe Shays-Meehan Bipartisan Campaign Finance Reform Act. Both of these bills were eventually, during the next two years, worded identically; after July 10, 2001, they dropped the word AFinance@ and were known as the Bipartisan Campaign Reform Act. Both bills sought to close the soft money loophole, put an end to bogus issue ads, and improve disclosure of federal campaign reports. Five key provisions included the following: (1) banning soft money contributions to national political parties; (2) prohibiting federal officeholders and candidates from soliciting soft money in connection with federal elections (an exception is that candidates may solicit up to $10,000 per year from an individual if the money is spent close to federal elections for voter registration and getting out the vote); (3) limiting contributions by an individual to a candidate for the House, Senate, or Presidency to $2000 per election (limits would be indexed for inflation); (4) prohibiting the use of money from corporate and union treasuries for broadcast communications (including advertisements) that mention a federal candidate within 60 days of a general election or 30 days of a primary (excluding broadcast candidate debates and announcements of such debates); (5) within 45 days of a primary or 60 days before a general election, requiring broadcast television, cable or satellite providers to charge candidates and national committees of political parties the lowest amount they have charged any other advertiser during the preceding 180 days (ABipartisan Campaign Reform Act of 2001").

During the next three years, the supporters of the Bipartisan Campaign Reform Act were engaged in a continuing struggle to get the Act passed by both houses of Congress. It was at the beginning of this struggle, in 1999, that Doris Haddock began to plan her walk across America to get support for campaign finance reform. At first, Haddock=s family thought she was crazy to

attempt such a huge and risky undertaking at her age. However, when they saw how serious she was, they got behind her 100 per cent. Her son, Jim, persuaded her to train for the walk by having her walk every day until she got up to 10 miles per day while wearing a 29Bpound backpack (Haddock, Personal interview). Then she was ready.

RHETORICAL STRATEGIES

The goal of Haddock=s grass roots campaign was to raise public awareness of and support for campaign finance reform. Her rhetorical strategies were of two typesBexternal strategies which prepared for and accompanied her speeches and internal strategies within the speeches themselves.

External Strategies for the Speeches

There are seven external strategies which gained credibility for Haddock and also captured people=s attention so that they would want to listen to Haddock=s messages and speeches.

The first strategy is Haddock=s walking across America in order to direct attention to her cause. She walked ten miles a day, six days a week except when, in Pennsylvania and West Virginia, the January blizzard conditions reduced her to Aonly@ six miles per day (CNN Headline News). Starting her walk in Pasadena, California, in crossing the Mojave desert, she became too dehydrated, and the 29-pound backpack put too much of a strain on her back. Consequently, she switched to a Awater-bladder backpack with a sipping straw@ from which she could sip water to keep from getting dehydrated (Haddock, Granny D 42). Haddock had emphysema and arthritis. She wore a steel corset to brace her back (83). She was hospitalized only once during the entire walkBfor four days in ArizonaBto recover from pneumonia and

dehydration. She wore out four pair of American-made walking shoes on the trip (ADoris >Granny D= Haddock A). Sometimes she had to bandage her feet due to sores from where her shoes had rubbed (Haddock, AIn Answer@). Haddock said that she traveled as a pilgrim; she had faith that people would help her and take care of her, and they did (AMoney Is Not Speech@). A van went ahead of her, stopping at various points so that she could rest and get sustenance. The van was driven first by her son and then at other times by various old and new friends who heard of her walk and wanted to help. One of those new friends was Dennis Burke, Director of the Arizona Good Government Association, who was so inspired by her effort that he took time off from his work to help (Haddock, Granny D 23). Burke assisted Haddock not only by driving the van but by helping in setting up and coordinating in advance her visits to towns, contacting the media, and maintaining a web pageBGrannyD.comBfor her walk across America. Haddock walked a total of 3200 miles over 14 months. She traveled through mainstream AmericaBtowns and some cities. She cross-country skied the last 100 miles, from Cumberland, Maryland to Georgetown, near the heart of Washington, D.C. because heavy snows had made the roads impossible for walking (AFact Sheet: Doris Haddock@).

The second strategy is giving advance notice to the towns she was approaching. Dennis Burke and others did much of this, contacting the mayor and other key townspeople who had set up a time and place for her to give a speech, had made arrangements for a place to stay, and then greeted her as she arrived. Many people invited her to stay in their homes; sometimes she stayed in a motel. Often people in a town would volunteer to spread Haddock=s message to others while Haddock continued on to the next town.

The third strategy is contacting various mediaBnewspapers, television, and radio. Haddock began to get media coverage about her walk and got more and more as time went on, including national coverage. Increasingly, newspaper journalists and TV and radio reporters walked with her and interviewed her. After the New York Times reporter, Frank Bruni, interviewed her and published his article, media coverage increased dramatically, including on National Public Radio and on television=s Good Morning America show (Haddock, Granny D 93). People were taking Haddock seriously. She began to have a real following for herself and her cause. People came from all over the country to walk a bit of the way with her, some more than once; these would rejoin her again later. The issue of campaign finance reform gained greater prominence.

The fourth strategy is Haddock=s web page, GrannyD.com, on which Dennis Burke posted constant updates on and pictures from her walk, posted the texts of the speeches she had given, and sent various messages and e-mails to supporters and interested people (including this writer). Haddock also used her laptop computer to send about 5000 messages concerning the Shays-Meehan Bipartisan Campaign Finance Reform Act to everyone who had sent her a message of support, asking them to call their Congresspersons to vote for the bill (Haddock, Granny D 207). Haddock constantly received e-mail messages from people all over the United States and the worldBpeople who had met her and other people who had heard about her and read about her via the media. Their responses to her walk and message were overwhelmingly positive, as in the following representative examples from 1999. A person from New Mexico wrote, AI am confined to bed, but my thoughts and prayers go with Granny D. I admire her spunk and agree with her totally. I have written to my representative and senators about

campaign reform and hope something is done this year.@ A woman wrote from California: AI read about Granny D in The New York Times today. She=s awesome. I=ve posted the article in front of my office door to let others know about it. She=s a true testament to the idea that one person can make a difference.@ From Texas, another woman wrote, AI=m a college student, and this gives me renewed hope for our country and encouragement for me to take my own chances and make my own adventures and not to be afraid!@ Senator Carl Levin wrote from Washington, D.C.:

> You are a wonderful inspiration for all of us. I am the Democratic Senator from Michigan and a long time supporter of the McCain-Feingold bill. Your determination will help us in Congress who feel deeply about the need for campaign finance reform keep our eye on the ball. Our good wishes and many thanks are with you as you walk. (qtd. in Haddock, Granny D 94)

Finally, a man wrote from Japan, AHello Granny D. Your courage and commitment moved me a great deal. I=m a Japanese newspaperman working in Osaka. Money has affected our moral fiber and our free elections here in Japan, too. May God continue to give you energy and strength to continue this great mission safely and successfully@ (qtd. in Haddock, Granny D 146).

The fifth strategy is the use of written pledges. Haddock urged people to urge their senators to vote in favor of campaign finance reform and to give or send to their congressional incumbents and challengers actual pledges to signBpledges that they would vote Ayes@ on the McCain-Feingold Bipartisan Campaign Finance Reform Act. The 25-word pledge read as follows:

> I pledge my vote and full procedural support to ban soft moneyBthe unlimited contributions to state and federal political races that undermine our democracy. (Haddock, A25-Word Pledge@)

One of the senators whom Haddock admired greatly was Russ Feingold, co-sponsor of the McCain-Feingold Bipartisan Campaign Finance Reform Act. Haddock walked through Nashville with Senator Feingold, and she commended him for being so courageous, writing that Ahe is a hero of mine because he refuses to take soft money laundered through his party. He...won his last election without itBby a hair=s breadth@ (Granny D 207).

The sixth strategy is a nonverbal oneBHaddock=s wearing two items which increased her visibility to and recognition by people as she walked. She always wore a straw hat with red, white and blue colors on the hat band. The first of the straw hats was the gardening hat of her best friend, Elizabeth, who had died; it thus had a personal significance for Haddock as well (Haddock, Granny D 239). Also, she often wore a sign on the vest-like front of her water backpack: AGranny D for Campaign Finance Reform,@ as shown in various photos on her web site during 1999-2000.

The seventh strategy, at the end of Haddock=s walk, was her march into Washington, D.C., where it had been planned that supporters from all over the country would join the walk with her. The purposes of the march were to show the strength of people=s support for the passage of campaign finance reform legislation, to urge the senators to vote in favor of the legislation, and to stand with Doris Haddock when she delivered her speech demanding passage of the McCain-Feingold Bipartisan Campaign Finance Reform Act. As it turned out, 2200

supporters, including dozens of members of Congress, (Wellstone, Feingold, Shays, Meehan, Levin, and many others) rallied with her (Burke, Introductory Note. ASenators@). They began the walk among the graves at Arlington Cemetery and then marched through the streets of Washington to the U.S. Capitol building. On February 29, 2000, Haddock gave two speeches, a brief one at the Lincoln Memorial and then her major speech, ASenators, How Did You Dare Think We Do Not Care?@ on the east steps of the Capitol. Standing directly behind her as she spoke at a microphone were Senator Russ Feingold, David Crosby (of Crosby, Stills and Nash), U.S. Representative Christopher Shays, Rabbi David Saperstein, and U.S. Representative Marty Meehan (Haddock, Granny D 249). Haddock also met that week with over half of the U. S. Senators to urge them to vote in favor of the campaign finance reform act (Burke, ALet=s Go to Washington@).

Internal Strategies of the Speeches

Doris Haddock wrote and delivered at least 19 different speeches on campaign finance reform during the period of her walk across America. Sometimes gave the same speech to several audiences. However, she often gave different speeches rather than giving the same one in each town. Most of them are available on her web page. Since then, she has written and delivered many more speeches, some on campaign finance reform, and some on other subjects.

The second type of rhetorical strategies that Haddock used was the internal strategies within the speeches themselves. She used eight internal strategies to inspire and convince her listeners that campaign finance reform was needed and to motivate them to urge their United States Senators to vote Ayes@ on the McCainBFeingold and ShaysBMeehan Bipartisan Campaign Finance Reform Acts.

The first strategy is Haddock=s use of ethical appeals. This included her personal credibility of being willing to put herself on the line and make sacrifices for the cause she so strongly believed in. In one of her early speeches in Pecos Texas, titled AThe Center of the World,@ she talked about the decision she made after the deaths of her husband and best friend: AI looked at my life and my lifelong beliefs and said to myself, what shall I do now?....The issue that I decided to do something about as a memorial to the people I loved and still love is political reform of our elections.@ Haddock=s speech, AA 25-Word Pledge for Candidates,@ contains another good example of her credibility:

> Some people do wonder if I have taken my activism a little too far. They ask me what on earth I am doing, walking across the country at my age. I can tell you I am not doing it for my healthBthough it has done me no harm. A brisk walk across the country is something every American should do. I am sorry I waited so long for my first crossing, as there is no better way to fall in love with this land and its peopleBthey are so kind and bright and interesting, and so dedicated to the ideals of America....I have crossed the Mojave Desert....I have landed in a hospital and a rodeo and more than a few parades.

Other ethical appeals looked at the ethics of campaign finance reform, particularly the idea of fairness. In a speech in Morgantown, West Virginia, on AThe Efficacy of Sacrifice-Based Protest,@ Haddock spoke of the need for campaign finance reform:

> Some of your friends may say, why shouldn=t they be able to spend as much money as they want on a candidate? It=s a free country, and that is a part of free speech, isn=t it? Well, tell them this: >If money is speech and we are all in the same room, trying to run a

> democracy, then some of us are mute and some of us have bull horns. It is reasonable to put some limits on the money going into campaigns, if only to make it so that all can be fairly heard.=

In her Five Nations Speech in Virginia, also called ASelf-Interest Shall Be Cast into Oblivion,@ Haddock recommends the Constitution of the five Iroquois nations as a model of fairness and balance, particularly emphasizing the ceremony for any new member arriving at the Council:

> We would do well to install our new senators and representatives in the same way that we Americans did when we were the Five Nations. Here is a part of the ceremony, addressed to any new representative arriving at council: >Your heart shall be filled with peace and good will and your mind filled with a yearning for the welfare of the people ... In all of your deliberations in Council, and in your efforts at law making, in all your official acts, self-interest shall be cast into oblivion=. (Granny D 283-84)

The second rhetorical strategy is Haddock=s use of common ground or identification with her audience. Primarily, she achieved this by emphasizing the needs, experiences, and democratic ideals and values that she and her audience shareBfair play, equal opportunity, and ethical behavior. One example of this is from her AMoney Is Not Speech; Corporations Are Not People@ speech at the 1999 Reform Party National Convention in Dearborn, Michigan:

> It is my belief that a worthy American ought to be able to run for public office without having to sell his or her soul to the corporations or unions in order to become a candidate. Fundraising muscle should not be the measure of a candidateBideas, character, track record, leadership skills: these ought to be the measure of our leaders.

Haddock further emphasized this idea with a historic 1910 quote from Theodore Roosevelt:

> Our government, national and state, must be freed from the sinister influence or control of special interests .... now the great business interests too often control and corrupt the men and methods of government for their own profit. We must drive the special interests out of politics.... There can be no effective control of corporations while their political activity remains. (qtd. in AThe Road So Far@)

President Roosevelt Apushed corporate money out of politics,@ Haddock stated, but, Ain his absence ... the slick operators have slinked back into town@ (AMoney Is Not Speech@).

Haddock appealed to both shared experiences and shared values to establish common ground in this excerpt from her July 23, 1999 speech at the Reform Party National Convention:

> On the road so far, these Americans have taken me into their homes and fed me at their tablesBshown me the children for whom they sacrifice their working lives and for whom they pray for a free and gentle democracy. And I will tell you that I am with them. I am with their dream and I know you are, too. We are all on this road and we must stay on it together, forgetting our minor differences until, together, we achieve the necessary objective of restoring democracy for individuals, and allowing each individual an equal voice in the civil discussions we have as a self-governing people. (AMoney Is Not Speech@)

The following brief excerpt from Haddock=s speech, ATo the Apologists of Corruption,@ given in Memphis, shows her linking her audience=s needs to the need for campaign finance reform: AIt is the duty of leaders to shape society so that the great masses of its people can work to provide decently for their families and their futures. Our leaders, distracted by the corruption

of the campaign finance system, are failing that duty.@ In this speech, and in her ATogether at the Table of Power@ speech in Little Rock, Arkansas on August 22, 1999, Haddock addressed specific concerns and needs of her audience, including quality, affordable public schools and preschools, affordable health care, affordable college education, employment and training programs to provide real access to all groups and to every career, and turning renters into home owners. At the end of each speech, Haddock invited the audience to walk with her in Washington, D.C.

Haddock=s third rhetorical strategy is the emphasis on nonviolent protest. She also invited those who had been involved in the Civil Rights Movement to now be involved in the movement for Campaign Finance Reform. Her ATogether at the Table of Power@ speech was given at Little Rock=s First Baptist Church from a pulpit at which Dr. Martin Luther King had preached in the 1960s. With thanks to King and Ghandi for their teachings on bringing forth justice nonviolently, she stated that nonviolent political action must be taught in our schools and must be remembered whenever people gather to improve their community or their world. There are five steps, Haddock said, to the teaching of nonviolent political action:

> Number One: Determine the truth of a situation before taking a strong position .... Number Two: Communicate your findings, your position, and your request for change in a respectful and achievable way to the people who have the direct power to correct the situation .... Number Three: If the response does not come, or is insufficient, bring public attention to the issue. Work openly so the thinking process of the entire community can be engaged... Number Four: If those in authority will not correct a very serious situation that must be resolved, despite an open airing of the issue, then the

> advocates must be willing to make sacrifices to demonstrate the seriousness of the matter.... There is a fifth step, made necessary by the fact that the nonviolence technique, when properly practiced, always wins. The fifth step, as developed by Mr. Ghandi, and as practiced by Dr. King, is to be gracious in victoryBto remember that your enemy is your brother, and that you should therefore settle the dispute kindly, accepting some compromises and granting as much face saving courtesy as possible to the other side.

At the end of this speech, Haddock issued a part invitation, part plea: AFrom this day forward, the campaign finance reform movement and the civil rights movement must join hands and sing a song of democracy together.@ At the beginning of this speech, her audience had Aeyed her suspiciously, but they ended up on their feet, cheering@ (Moyers xiii).

When Haddock walked on to Memphis, she met with Dick Gregory, and he introduced her to the Rev. Billy Kyles and to some of the Memphis Sanitation Workers, who walked and talked with her. She delivered her speech, ATo the Apologists of Corruption,@ at the Lorraine Motel in Memphis, where Dr. King had been assassinated, again emphasizing nonviolent methods when she asked, ADid Dr. King die here? The part of him we love, his soul, will never die. And so his voice still rings in our ears and he still implores us to make brotherhood, love, and self-sacrifice our only tools for change. We hear you, Dr. King.@ Haddock had her audience Aweeping and clapping@ during this speech (Moyers xiii).

The fourth rhetorical strategy is Haddock=s use of logic and evidence: One of her arguments was that we can each make a differenceBone person can make a difference, and together we can make even more of a difference. This is seen in her speech AOn Taking Responsibility,@ given in Clarksburg, West Virginia:

> The secret is to take the world as your ownBand to take full responsibility for it. Once a person steps into the circle of those who take responsibility for the happy operation of the community, once someone decides that they are not a customer of government, but government itself, the magic of community begins .... I would not be on this warpath if I did not believe that America is my responsibility; I am responsible for its happy workings, as are you.

Also, in her ACenter of the World@ speech, Haddock said,

> Never be discouraged from being an activist because people tell you that you=ll not succeed. You have already succeeded if you are out there representing truth or justice or compassion or fairness or love. You already have your victory because you have changed the world; you have changed the status quo by you; you have changed the chemistry of things and changes will spread from you, will be easier to happen again in others because of you, because, believe it or not, you are the center of the world....We can do anything together, and we really do remarkable things.

Another argument, in Haddock=s speech titled AIn Answer to Your Question, Mr. McConnell,@ offered proof that U.S. Senator Mitch McConnell, from Kentucky, had been influenced by special interests= money. McConnell was a very strong opponent of campaign finance reform. He had, said Haddock,

> attacked Senator McCain when McCain had the audacity to suggest that the hundreds of millions of dollars being spent by special interests to influence the passage of laws in Congress might indeed be influencing the passage of laws in Congress. Mr. McConnell

> thought that was an outrageous assumption, and asked for the names of any members of Congress so low as to bend their votes toward the interests of contributors....McCain, for reasons of friendship, courtesy, and the dignity of the SenateBsuch as it isBdid not name names.

In her speech, Haddock went on to give evidence showing that McConnell had accepted special interest money and had been influenced to do a favor for a contributor:

> In 1997, Senator McConnell, ... you took $791, 945 from insurance interests who needed protection from patient rights efforts, and $602,885 from oil and gas interests who needed a free flow of tax benefits and protection against pollution laws, and $597, 915 from communications interests who wanted free access to the digital spectrum and a free hand to merge into giant monopolies.... You let a Ukraine group host a fund raiser for you in 1996, and you used your position as Chairman of the Appropriations Committee to provide a $225 million appropriation for development programs in Ukraine.

This kind of trading money for policy goes on all the time, Haddock said.

Senator McConnell was not present at his Louisville, Kentucky office when Haddock gave this speech to approximately 160 people in front of his office on November 6, 1999. People Magazine, three television crews, and the Louisville Courier-Journal covered her arrival and her speech. Liz White, Vice-President of the League of Women voters of Kentucky, had applied for a permit for the outdoor gathering a week before the event. The permit would normally have been processed in one or two days; however, despite White=s repeated calls, one day before the event the permit still had not been issued. One of the secretaries told White that they were waiting for a phone call from McConnell. White immediately called the newspapers,

whose staff members contacted the General Service Administration in charge of permits, whose personnel denied having any contact with McConnell. However, the permit was then issued (Burke, Addendum Note. AIn Answer@).

As we have seen, Haddock used the device of dichotomy, or logical division, contrasting the Abad guys@ and the Agood guys,@ the corrupt vs. the ethical, and the Senators and other candidates who can be Abought@ by big corporations= donations vs. those who can=t be bought. A final example of this device is from her speech ASenators, How Did You Dare Think We Do Not Care?@ where she speaks of Aa government of, by, and for the people@ vs. a government Aby and for the wealthy elite.@

Haddock received a positive reaction to her McConnell speech from a man in Kentucky who had volunteered to help with her work for campaign finance reform and had read her speech on her web page:

> I read the speech that you made in Louisville. I must say it really opened my eyes and put tears to them also...I=m going to start a writing campaign and get friends and church friends to do so, and visit and speak with Mitch McConnell about campaign finance reform. HE IS MY SENATOR. Thank you again for everything. My prayers are with you. (Kendrick, E-mail to Granny D)

In many speeches, Haddock=s logic involved presenting the problem and offering a solution or solutions. She showed the need for campaign finance reform and the steps that we Americans must take to bring that reform to fruition and get the U.S. Senate and House bills passed. Haddock argued that we should boycott the businesses and corporations which make the largest soft money campaign contributions. To that end, she gave evidence of the problem,

listing the ADirty Thirty,@ namely the 30 businesses which made the largest soft money donations in the 1999B2000 election cycle. Examples of those on the list included AT&T, Phillip Morris, Enron Corporation, Citigroup, Bell Atlantic, General Electric, Microsoft Corporation, Rite Aid Corporation, K-Mart, Bristol-Myers Squibb Co., Coca Cola, UPS, and Federal Express. These businesses were listed in Haddock=s AMartin Luther King Day Remarks@ on January 17, 2000: Haddock said that this list included Acompanies to which you may be loyal. I am asking you to make a sacrificeBto take the pain of political progress upon yourself. I would like you to stop buying from them....@ Haddock wanted people to reduce the profits of these businesses and send them a message. This message that we need to send is one that she quotes from Senator John McCain in her ATaking Our Medicine@ speechBthat we will Aget the $100,000 check out of politics.@

Another striking and also typical example of Haddock=s problem-solution format is in her speech titled ATaking Our Medicine,@ given at a New Hampshire town hall in October 1999. First, she succinctly summarized the problem:

> The question before us is this: How do we remove from democracy=s meeting room the rude and over-scaled monstrosities that increasinglyBwith their unlimited cash and powerBshout down the voices of individuals. If we are to be a self-governing nation, we must remove from our politics the synthetic, self-serving voice of the corporation.

ATeddy Roosevelt,@ Haddock said, Adid, in fact, push corporations out of politics and they stayed out for three quarters of a century. Now they have wormed their way back, and America needs to take a few worm pills.@ The pills that Haddock refers to in her speech are her five solutions, which follow:

> First, we do need to get soft money out of our elections with a federal law.... The second great pill we must take is to enact the public financing of our elections, beginning with local and state elections, and working our way up to federal elections.... There is a third pill....We need to reassert the public=s rights of ownership over the airwaves, and convert that right to free political advertising.... Now I have a fourth pill I think we need to take. The press needs to do a much better job of covering campaigns. We need more debates, with proper promotion so people will watch. We need issue-oriented coverage....
> And finally, we Americans have to take the fifth pill ourselves. We have to do a better job individually of taking time for our communities, and taking responsibility for our self-governance....We must not be content to go home and watch television when there is a democracy to run. (ATaking Our Medicine@)

A fifth rhetorical strategy in Haddock=s speeches is emotional appeals, four of which follow. One was in her ACenter of the World@ speech. She had been invited to speak at an all-night Cancer Society walking relay in May of 1999. With 300 to 400 people in attendance, and with people lighting luminaria candles in memory of their friends and other loved ones, she delivered her speech by flashlight, sharing with her audience her own sadness and depression after the deaths of her husband and best friend. Then she had asked herself how to channel the pain into something hopeful: AWhat can I do to honor the memory of the people I have loved? How can I turn my pain into something beautiful in the world?@ Haddock said that what she decided to do was to work for the reform of political elections. Here, Haddock evoked emotions of sadness, pain, love, and hope, moving in a pattern of catharsis, from pain and suffering to the

more positive feelings of hope and being constructive, working for something meaningful.

Secondly, Haddock occasionally used humor, as she did in her ADon=t Give Up the Ship@ speech, given on her 90th birthday: AWhat a wonderful birthday this isBhere in the exquisite setting of historic Cumberland, Maryland. It is such a treat to be in a place so much older than myself.@ Although Haddock uses humor sparingly, she tends to use it more often in her speeches to college student audiences, as with her light irony and ironic twist in the introduction section of her speech, AIt Is Not Too Much; It Is All Quite Beautiful,@ given to the freshman class at Franklin Pierce College:

> It is a great pleasure to grow old and to be asked to dispense advice and to not have to follow it oneself. In that department, let me urge you to go to bed early, get up at dawn, keep well ahead of your studies, stay well behind your credit limit, refrain from smoking and drinking and wild living. I give you that advice, not because I have ever followed it myself, but because life=s pleasures are all the more delicious if an old lady has told you to do otherwise.

In this speech introduction can also be seen Haddock=s ability to adapt to her college student audience.

Thirdly, Haddock often appealed to patriotism, specifically linking it with the sacrifices our loved ones have made fighting in wars and sometimes dying for their country. She does this in several speeches, as when, upon her arrival in Nashville, and accompanied by U.S. Senator Russ Feingold and U.S. Representative Zach Wamp, she spoke by the steps of the State Capitol. In her speech, titled ASenators, Be Brave Against Your Needs,@ after praising and thanking Feingold and Wamp for their leadership for campaign finance reform, she took the occasion to

honor some of our Agreat Americans@:

> I am carrying with me today the names of Tennessee boys who served our nation with great courage and distinction. They each received the Medal of Honor for their military service. Some lived to receive the medal, others did not. Please join me in remembering them here again.

After reading the names of 44 men, she continued:

> And for each name, there are thousands of other Tennessee men and women who have dedicated their livesBand sometimes sacrificed their livesBto protect our freedoms. These sacrifices were not made so that special interests and big money might take control of our institutions of self-governance. If we indeed let that happen, then we are not honoring the price that has been paid for our freedoms. (ASenators, Be Brave@)

Haddock evoked feelings of patriotism; however, the tactic might have seemed to some people somewhat forced and obvious when she yoked the need for campaign finance reform with reading so many names of those who have fought and even died for their countryBand that they fought for a freedom that does not include big corporations= and special interests= controlling our democratic processes. In other speeches, though, without her reading the list of people=s names, the linking of the two ideas seems more natural. During a time of war, however, the emotional impact of reading names might be even more effective with some people.

Fourthly, Haddock sometimes used outrage, sarcasm and scorn, in a confrontational rhetorical style, to evoke emotions of anger, outrage and scorn in her audience. She did this most forcefully in her speech ASenators, How Did You Dare Think We Do Not Care?@ on February 29, 2000 after she arrived in Washington, D.C. Surrounded by the 2200 supporters

who had marched with her to the east steps of the Capitol, she spoke out strongly:

> Shame on you, Senators and Congressmen who have turned this headquarters of a great and self-governing people into a bawdy house [where anything and everything is done for a price]! ... If I have offended you speaking this way on your front steps , that is as it should be; you have offended America and you have dishonored the best things that it stands for. Take your wounded pride, get off your backs and onto your feet, and go across the street to clean your rooms. You have somewhere on your desks, under the love letters from your greedy friends and co-conspirators against representative democracy, a modest bill against soft money. Pass it. Then show that you are clever... by devising new ways for a great people to talk to one another again without the necessity of great wealth. If you cannot do that, then get out of the way....We have millions of people more worthy of these fine offices.

Haddock used this admonishing, confrontational approach in one other speechBAIn Answer to Your Question, Mr. McConnell.@ The entire speech was not as confrontational as the previous speech on the Capitol steps, but she did attack McConnell, at one point, as being corrupt. Senator McConnell had asked Senator McCain to name names of those senators who were corruptBor just one name. Haddock said, A...You are the man you asked Senator McCain about. And you are not alone.@

A sixth rhetorical strategy used by Haddock involves her styleBboth her use of language and her delivery. She often uses vivid and colorful language. Although her style is straightforward, direct and easy to understand, she peppers it with metaphors, allusions, antitheses, and repetitions of phrases which keep her language fresh and interesting. The ballot

as a broom that will sweep away corruption was one striking metaphor: AOur brooms are ballots, and we come a-sweeping@ (ASenators, How Did You Dare?@). Another metaphor, used in AIn Answer to Your Question, Mr. McConnell,@ called Senator McConnell a Areverse Diogenes,@ with an allusion to Diogenes, who walked the earth seeking an honest man. McConnell said he sought corrupt Senators but couldn=t find any, so he was a Areverse Diogenes.@ Another metaphor, in her ATaking Our Medicine@ speech, was her identifying each of five solutions to drive special interests out of politics as a Apill@ we have to take, e.g., AThe second great pill we must take is to enact the public financing of our elections...@ Next, Haddock sometimes used antithesis, as when, in ATaking Our Medicine,@ she suggested what we should do with the Senators who had killed the McCain-Feingold bill in October 1999, when they returned home for re-election: AIf they don=t get soft money out of the system...then it is simply time for us to get them out of the system.@ Finally, Haddock used repetitions of words or phrases for emphasis, as seen several times in her ATogether at the Table of Power@ speech:

> AWe need affordable health care. We will not get it if we are not ALL at the table of power. We need quality public schools that will inspire and raise up our children to their highest potential.... We will not get such schools if we are not ALL at the table of power.@

Another aspect of Haddock=s style is her effective delivery. She has a vigorous delivery, using gestures to accent her words. Along with an expressive face and mobile features, she has keen eyes and a wise smile. She articulates her words very clearly, and the consonant sounds at the ends of her words are particularly clipped and distinct (Haddock, Interview with Patty Satalia). Her voice pitch is low and pleasant to listen to. In referring to her speaking ability,

Haddock at the same time took an ironic dig at her alma mater: AIf I am any good at giving a speech, it is because I took my studies seriously at Emerson in Boston, where I went to college and where they took great pains to teach me proper elocution before they expelled me in 1931@ (Granny D 132). She feels more comfortable speaking with notes or a text, rather than Aextemporaneously@ (173).

Haddock prepares carefully for giving a speech. When, during her walk across America, she was approaching Louisville, Kentucky to give her speech AIn Answer to Your Question, Mr. McConnell,@ she recalled, A ...my lips moved, practicing my speech as I walked@ (Granny D 211). When preparing for a major speech at the Reform Party national convention in Michigan in July of 1999, Haddock said, AI had been going over my speech for days@ (141). Haddock often received positive feedback from people who heard her speak. During the month before her Michigan speech, Haddock had given a speech at a Reform Party state meeting in Austin, Texas. She described the response to this speech:

> The Reform Party, to put it mildly, liked my speech. A fellow who sat near the front...came up to me afterward and said I was a regular Winston Churchill and it was the best damned speech he had heard in a very long time. I relate this not to brag, but so you will understand how it came to pass that the Texas party insisted that I give the opening address at the Reform Party national convention...in Michigan. (Granny D 131-32)

Another example of Haddock=s effectiveness is seen in the following e-mail message from a man in St. Paul, Minnesota on July 28, 1999. The message was sent to her web page and reprinted in her book:

> I heard your Reform Party speech over Minnesota Public Radio today. It was one of the

> greatest speeches I have ever heard. You spoke truth. More than that, you held the nation in your heart. We must all learn to do the same. Thank you for reminding us of what we can be as a country and who we can be as individuals. I am deeply grateful and inspired, and wish you the best in your efforts for all of our sakes. (qtd. in Haddock, Granny D 146)

A seventh rhetorical strategy Haddock occasionally uses is to cast herself in the role of a grandmother dispensing wise and necessary advice. Sometimes that advice is given more gently than others. For example, she gave one audience reasons why she was walking across America, and the last reason was, AI do it for you as your political granny, if you will have me be that@ (ACenter of the World@). In contrast, in her speech titled AIn Answer to Your Question, Mr. McConnell,@ she had really taken Senator McConnell to task, after which she said, AWe must do something, Senator McConnell, and you must help us. I have poked hard at you in these remarks, but I do so with a grandmother=s love and the certain knowledge that we Americans are good people at heart who must be encouraged sometimes, and scolded sometimes.@ This grandmotherly approach somewhat softened her previous harshness.

The eighth rhetorical strategy is one that Haddock uses selectivelyBthe narrative strategy. When she does tell a story, it effectively makes a point. In Haddock=s AMartin Luther King Day Remarks@ in 2000, for example, she emphasized the importance of fairness, and of nurturing the sense of fairness and bringing it to life with Aacts of personal leadership.@ AWe must teach by example,@ she said, and illustrated with a true story about Eddie Basha, whom she met in her walk across America:

> I met a gentleman in Phoenix, Eddie BashaBa big grocer of proud, Lebanese descent. He

> was speaking at a neighborhood meeting, and I was told about him later. In the early 1950s, Eddie was on a high school football team in an Arizona farming town. A local restaurant owner promised the team a steak dinner if they would win the big game. They did, and the team showed up to claim their dinner. One of their team members was Black. The restaurant owner said he could not serve him. Eddie, knowing nothing yet of the simmering Civil rights movement, but knowing plenty about fairness, told the restaurant owner that he was being unfair. Eddie organized a boycott of the restaurant until the owner finally agreed to serve everyone of every color. The other restaurants in town soon followed, not wanting to see those linebackers and eloquent Eddie on their sidewalk next.

Haddock at times used personal narrative in her speechesBstories about her own lifeBto make a point. In her speech ADon=t Give Up the Ship,@ she told a story to motivate her audience to continue the fight. She began by telling of her love for politics, and that it was the Ameat and potatoes@ of dinner-table conversations during her Awonderful, 62-year marriage.@ Politics is also, Haddock asserted, what self-governing Americans must be continuously concerned with if they are to be free. She then told a touching story of her husband=s last eleven days, with his family there with him when he died. She ended the story this way:

> After ten years of caregiving, it is difficult for an old wife to adjust, especially when the mate was such a sparklerBsuch a person of light and life and red-blooded activism. He was fun. And how do you wake up each morning in a world where the fellow you would run to with a new thought to share is nowhere to be found? Where he does not answer your call through the house?

Haddock said she was not trying to make people feel sorry for what happens in a long life, but she wanted to say something important about it: AWhen you think you are standing at the end of your life, damn it, don=t give up the ship....If you will pray for courage and look to the needs of your community rather than yourself, a great energy and happiness will come to you.@ She then reminds her audience of the reasons people are fighting for campaign finance reform, tells them not to despair, and asks them to help with the fight.

Summary of Rhetorical Strategies

Haddock=s public speaking for campaign finance reform emphasized three traditional themes: (1) Unlimited financial contributions by big corporations and others to candidates for public office influence those candidates and must be banned; (2) The candidates with the most money from these unlimited contributions have an advantage which is unfair and undemocratic; and (3) We need public financing of campaigns so that candidates receive equal but limited amounts and so that those running for office are not beholden to special interests. To these themes Haddock added three basic themes of her own: (1) We must all take responsibility for preserving our democracy, giving it our time and energy and, in this case, working for campaign finance reform; One person can make a difference, and each of us can help to bring about change; and (3) We must work for and accomplish change through nonviolent means which call attention to the problem and motivate people to achieve solutions.

There are five qualities which particularly make Haddock effective as a public speaker. Foremost is her ethos, her personal credibility, which stems from two sources: her strong personal commitment to her cause and her intelligence and knowledge of her subject. Her walk

across America for campaign finance reform embodied her belief that one has to put one=s body in front of a problem. The second quality is her ability to make issues clear through the use of metaphors and other comparisons as well as clear explanations. The third quality is Haddock=s ability to adapt to and identify with her audience=s needs and values. She relates well to her varied audiences and approaches them as equals. Haddock=s fourth quality of effectiveness is her style of clear wording, down-to-earth speech, and directness. Finally, the fifth quality that makes Haddock especially effective includes both her accessibility and the accessibility of her messages to wide numbers of people. Not only did she give many speeches to many audiences, but she also has most of her speeches available on her web page. In addition, her other public communication via her book and her e-mails have helped her to reach even more people.

CONTRIBUTIONS

Doris Haddock is an intelligent, feisty, modest woman of great stamina and indomitable spirit. During her walk across America, she made significant contributions for raising public awareness and support for campaign finance reform and for the passage of the McCain-Feingold Bipartisan Campaign Finance Reform Act in the U. S. Senate, and later for the passage of the Shays-Meehan Bipartisan Campaign finance Reform Act in the U. S. House of Representatives. Haddock gave 14 months of her life and 3,200 miles of walking (100 of those miles were by cross-country skiing) in support of this cause. She wrote and delivered at least 19 different speeches during the period of her walk. In 2001, she wrote and published a book, with Dennis Burke, titled Granny D, a Memoir: You=re Never Too Old To Raise a Little Hell. This is a book of her experiences and reflections during her walk across America. There is an endorsement on

the front cover of the book by former President Jimmy Carter. The book is now required reading for freshmen at Franklin Pierce College, Simpson College, and several other colleges (Burke, AYou, Me, and Granny D@).

When the McCain-Feingold Act was not passed by the Senate in 2000, Haddock kept up her work for the passage of the bills in both the House and the Senate. Between 2000 and 2002, she gave at least 15 different, new speeches on campaign finance reform to various groups around the country. For example, in March of 2000, Pennsylvania supporters of campaign finance reform brought Haddock to Harrisburg to convince the legislature to approve a proposal for public financing of gubernatorial campaigns. Haddock gave a speech, ATaxation without Representation,@ on March 13 and appeared at the State Legislature to support the bill. The following day, the House reversed an earlier vote and approved the bill to allow taxpayers to Acheck off@ their approval of publicly funded campaigns for governor and lieutenant governor (Strawley, A >Granny D= Called In To Help@).

In April of 2000, a group from the Alliance for Democracy contacted Doris Haddock and asked if she would go with them to Washington, D.C., to the Capitol building, to petition for the redress of their grievances against campaign corruption. She agreed to go in order to keep the issue before the public, even though she knew she risked arrest when inside the Capitol; she had seen people arrested two months before, as she had held her vigil at the Capitol, when they had displayed banners demanding campaign finance reform (Haddock, Granny D 254-55). On April 21, 2000, she and 29 other people walked into the Capitol Rotunda, some holding banners. Haddock gave a brief speech, AOur Right to Freely Speak and to Declare Our Independence from the Corrupting Bonds of Big Money.@ As part of the speech, she read a passage from the

Declaration of Independence. As she was reading this passage, she and the others were arrested, handcuffed, and taken to the Capitol Police Jail. Though jailed only briefly, she had to return to Washington a month later, on May 24, to be in court to receive her sentence from the judge. The judge sentenced her only to time already served, and he made a statement supporting the work that she and the others were doing (256-57).

In March of 2001, the McCain-Feingold Act was again being debated in the U.S. Senate. Haddock conducted a vigil walk around the Capitol building for seven days. During the final three days, she fasted as she walked 24 hours a day, stopping only for catnaps and appointments with senators. She met with 35 of the senators, relating to them the feelings of the people she had met during her walk across America and urging them to Ado the right thing@ (Burke, Epilogue. Granny D, a Memoir 259). This time the McCain-Feingold Act passed; Haddock was in the Senate gallery, and Senators John McCain and Russ Feingold hugged her as she came down from the gallery. The House of Representatives did not pass their companion version of the bill that year. In 2002, after the Enron scandal, the house of Representatives was again debating passage of the Shays-Meehan Act. Near the end of January, Haddock took 80 friends into the New Hampshire office of her U.S. Representative, Charlie Bass; she read all day from a list of Aoutrageous@ soft money contributions allowed by current laws to finance campaigns. Representative Bass had intended to vote against removing the Campaign Finance Reform Act from where it was stuck in committee; however, he relented on Haddock=s 93rd birthday, opening the way for the consideration of the bill the following week (Burke, ALet=s Go to Washington@). In February, Haddock returned to Washington, D.C., and, as she had the previous year, she again held a vigil, this time outside the House of Representatives. She often walked the halls, meeting

with as many members as possible. On Valentine=s Day, she gave out hand-made valentines to the representatives, urging them to Anot break our hearts.@ Her friends on the street corners had large signs connecting the Enron scandal to the need for campaign reform. Representatives Chris Shays and Marty Meehan, cosponsors of the House version of the bill, visited Haddock on the street. Richard Gephardt, minority leader of the House, invited her into his office to rest and visit (Burke, Epilogue. Granny D, a Memoir 260). Finally, this time, the Shays-Meehan Act passed.

By February of 2002, the campaign finance reform legislation had been passed by both houses of Congress, and it was signed into law by the President. There were challenges to the legislation during the following year; however, on Dec. 11, 2003 the Supreme Court decision upheld campaign finance reform (Savage, AHigh Court Upholds@).

RECOGNITION AND INFLUENCE

Doris AGranny D@ Haddock motivated people to send pledges to their U. S. Senators and Representatives for them to sign, pledging to vote Ayes@ for the campaign finance reform bills. She inspired people to walk and talk with her on her trip across America. She received e-mails from people all over the country and around the world, mostly praising her and saying that she had inspired them and often saying that they would get involved. She was written about and interviewed by journalists for TV, radio, and newspapers. When she arrived in Washington, D. C. in February of 2000, 2,200 supporters from all over the country rallied with her and marched with her to the Capitol. Senator John McCain has stated, in a quote on the back cover of her book,

> I believe that she represents all that is good in America....Granny D, you exceed any small, modest contributions those of us who have labored in the vineyards of reform have

made to this earth. We are grateful to you. (Haddock, Granny D)

Presidential candidate Al Gore, when he adopted a campaign finance reform plank, credited, in his speech, John McCain, Bill Bradley, and Doris Haddock (Moyers xiv).

Doris Haddock is truly a citizen who has reached out to engage other citizens on a significant national issue had has made a difference. Journalist Bill Moyers, who wrote the Foreword to her book, testified to her influence on the passage of campaign finance reform. He also said that the Asoul of a citizen shines through [the] pages [of her book],@ and that Athis is no >innocent= grandmother naively protesting a cause....Granny D is a seasoned activist, an eloquent speaker and writer, and an acute observer of the world around us@ (ix).

Haddock has continued to receive recognition. In June of 1999, in St. Louis, Haddock accepted the Margaret Chase Smith Award. In May of 2000, she was awarded an Honorary Degree by Emerson College (Haddock, Personal interview). She was presented with the Joe Callaway Award for Civic Courage in December of 2000 at the Carnegie Institution in Washington, D.C. (Burke, Introductory Note. AThe Butterfly Effect@). Also in 2000, Haddock was asked by the Reform Party to be their candidate for Vice President of the United States, but she declined (Burke, Epilogue. Granny D, a Memoir 259). She has been invited to speak at many colleges and universities, several of which are American University, Ohio State University, Marshall University, The University of South Florida, Emerson College, Franklin Pierce College, Pennsylvania State University, and Harvard University. When she was at Penn State University in 2002, she was interviewed for the PBS TV program called Take Note. The interview was broadcast on PBS television on Dec. 11, 2002. Last year, Harvard=s Kennedy School of Government invited Haddock to speak to their students and to there launch her new Atrek@ across

America. She delivered her speech at Harvard on October 2, 2003 (Haddock, Speech at Harvard).

EPILOGUE

In October of 2003, Haddock began her new project and trek across the United States to promote voter registration and voting, most immediately for the 2004 elections. She especially, but not exclusively, focused on working women, single women, 18-year-old students, and minorities, the groups with the lowest percentage of voting. When she was in Pittsburgh on October 22, 2003, I met and talked with Haddock and pledged to help this inspiring activist and speaker with her voting project. Transported in a bus, she did her walking and talking within the various communities in towns and cities. She and others actually helped people to get registered to vote. Over a period of nine months, between October, 2003 and June, 2004, she traveled over 22,000 miles (ADoris >Granny D= Haddock@). In June, she returned home to New Hampshire, and found that, due to an unexpected development, the Democratic candidate for the U.S. Senate had dropped out of the race. The state=s Democratic Party needed a new candidate, and Doris Haddock agreed to run for the office of United States Senator from New Hampshire.

Currently, she is engaged in that campaign, walking and speaking all over the state. State Democratic Party Chair and enthusiastic supporter of Haddock, Kathy Sullivan, was quoted in a recent article in *The Nation* as saying of Haddock, AI think she has the capacity to bring people into the election who otherwise feel disenfranchised@ (Nichols, AGranny D Wants@). Haddock said, AI am now running for the things I have walked long for: a decent government that represents the values, the needs, and the highest aspirations of its people@ (Burke, AGranny D Launches@). She has stated publicly that she will not accept any contributions from clubs, interest groups, or PACs, but only from individuals, within the legal limit ($2000). This is to

Aprevent her from becoming beholden to special interests,@ she said (Kalil, AGranny D Talks@).

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The Tactility of Experience: Form and Place in the Films of Mchelangelo Antonioni, Wim Wenders and Hans Richter

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The Tactility of Experience : Form and Place in the Films of Michelangelo Antonioni, Wim Wenders, and Hans Richter

Abstract:

In the films of Michelangelo Antonioni, Wim Wenders and Hans Richter, characters are placed in a landscape, and subsequently inhabit it through thought, action, emotion, and a heightened engagement of the sense world. It is in order to preserve the sensual world, provide for, and report on its resonance, that the respective views of the filmmaker becomes particularly abstract.
Allowing very studied perceptions to transform the subject, each directors visual field is re-made into an envelope activating the senses, and in doing so escaping the limits of traditionally framed space. As Robert Irwin states: There is no frame in perception, the world is an envelope and not a frame." The viewer may re-work the world around them.

Likened to architecture, these films are spatial prospects where the world is composed of space that has been understood as plastic in its nature, and acknowledges the human condition of empathy. As in the Baroque world of Borromini, the resultant environment behaves like an atmosphere that is rarefied: the space is filled up without being added to. Cinema removes us from the confines of the static form by the mobile nature of the subject's perceptions and sensations; thus illuminating the essential role architecture may play in the sensual world.

The Tactility of Experience : Form and Place in the Films of Michelangelo Antonioni, Wim Wenders, and Hans Richter

Preface: The Frame, the Horizon, and Haptic Space

The Drawn Frame

The Albertian perspectival frame, a frame that is based on the analogue of a view through a window, is recognized as a constructed space which, through practices of drawing, registers the appearance of the world. This construction is a mathematical system of demonstration and codifies data in terms of an overriding theory which depicts a subject's view of an environment. Although based on a rendering of the real, it operates as if one is always predominantly aware of their connection and comparison to the horizon, and does not at all factor in experience or tactility, or give any true sense of inhabiting space. The singularity of a finite view and a measure put upon record as fixed leaves the typical perspectival drawing unable to offer forward the changing nature of space. The richness of spatial experience is left to be recorded through other means.

The construction of the perspective frame as an apparatus permitting a reference from which to locate and make measure was also presumed to lay down, in the form of drawing, a system based on the mechanics of vision, hence, the real . As that frame was understood to be the description of the limitations of vision, all events and characters exist with respect to the physical confines of the frame – all matter exists in relation to the horizon, and either inside or outside of the frame.

This spatial condition operates as an act of perception situated in the continuous world of the present tense. It is from this concept of the fixed present that the drawn world is framed. There is nothing within its construction to challenge the fixed conceptual and temporal frame of perspective. Unlike life and perception, this view is static.

The physiology of optics provide the facts and functions of vision, and certain correspondences found in the mechanics of vision originally provided a model for the representation of the world by artistic methods. Here realism was the objective. This search for realism eventually led to the development of photographic instruments which made direct records of the material world. Vision is about what appears to the viewer. In the cinematic frame, this view is recognized as an expanse that registers the lived world as a place where perception is active and relative to each individual. Vision as an apparatus enables the eye and the hand to perceive in concert, and in doing so, picturing is made both physical and conceptual, and more importantly, sensual. The sense of touch as brought about by vision is the condition of being haptic. This condition is informed by the "bodily sense of empathy"… "an involuntary sharing of sensation between something or someone we see." **1** Empathetic response is one way architecture can show us what it is to be alive. In a writing entitled "The Optical Sense of Form: A Contribution to Aesthetics", Robert Vischer, credited for designating the relation between form and the body, explains the condition through an example based on tactility:

"(A)s is well known, children reach for the moon as we reach for a plate.

Stereoscopic vision provides us with only a planar visual field, and we would inevitably believe that all parts of this field were equidistant from us were it not for the experience gained from our tactile sense: we push the planar visual field away from us with our hand, and thus is laid the foundation for the third dimension of space - depth." **2**

Once the hand pushes away the theoretical planar frame, the resultant spatial construct envelops the subject as physically, literally, experientially and consciously part of their environment. The tactile nature of space is informed by our presence within it.

"We experience the city through a car window, as if watching a film." **3**

Antonioni: Visual Capacities and Plastic Space in Film

The film camera also frames, but this frame is by nature made mobile.
A flexible relation is made which has spatio – temporal consequences: the facts of moving toward, or moving from, or moving beside, under or over become a range and multitude of aspects which are concurrently remade as an assemblage, a construct of many different instances and practices of vision. In continuum, the frame of film is no longer fixed, it is plastic. It is as if the perspectival frame is extended through both time and space. In the plastic nature of the filmmakers' visually activated world, vision is continually re-made, allowing the event within the frame (the body in space) to transcend its surroundings, thereby bringing shape to a view and creating a fuller existence of place. This extended frame is apparent in the films of Michelangelo Antonioni when a place is defined by a subject (character's) perceptions of the places they inhabit. Unlike perspectival construction's model of the 'real' based on the mechanics of vision, in the films of Antonioni, the made view is projected onto film as a model of vision based on the *visual capacities* of the character. We are given views of the world as it might be – views which have been re-made to picture not necessarily *how* we see but *that* we see. A character may move through an environment, and simultaneously, although seamlessly, move outside it as well. Their acute awareness of themselves and their immediate surroundings in the physical world permits that they are able to move about in anti - perspectival space, a space that challenges form in favor of the tactility of haptic experience.

Reflection on Stone Wall, Interior Casa del Fascio: G. Terragni

Through the tensions between the character's perceptions of and existence in a site, Antonioni finds and empathetically expresses emotion and situation out of the immediately given built world, and in turn gives over another way to look at and understand the world. The richly described environments portray boundaries that are open - ended spatially and temporally. This facility is also offered to the viewer - this invitation to see, to re-make vision so as not to require a frame or framing device. Antonioni's cinematographic view breaks the perspective frame, or at least lets the character to *"walk out of the perspective"* **4** and, in doing so, invites the viewer to be both inside and outside as well. In viewing the made film, the audience is drawn into an experience of a place – real, exaggerated, edited, or imaginary. Here place is an infinite subject.

Distraction and Introspection

In the film *Red Desert*, a persistent distraction toward things is apparent in the eye of both the camera and the character. The perception of the character becomes the camera and sees as in the form of a documentary, where the overwhelming presence of built forms make only their surfaces readable, the surfaces becoming things in and of themselves. The character's understandings of their surrounding are made particular, and our view is multiplied as a set of portrayals studying a place. It is significant that this is the filmmaker's first work in color. Seen surfaces resonate as the imaginative perception of the character is infused with an urgency of the tension captured within that present moment. We see the view both as existing and as portrayed (or remade) simultaneously, where, in a sense, the character is allowed both subjective and objective views of their surroundings. Achieved by increasing the visual capacity of the characters, their perception is active and builds a picture where the character, and also the viewer, stand both inside and outside this built space of the film. This stretching of the frame makes the character circumstantially aware of their body in a particular imaginative space. Here vision is used as an apparatus to allow things seen outside the frame of reference to construct a spatial condition.

Space under ampitheatre Gallaratese; C. Aymonino

Tension and Vision

A tension between things seen and things thought to be seen or imagined is the seminal opposition in *Blow Up*: The truth of the image produced by the camera competes with the image understood to be produced by the eye. Within this dispute, the close observation of what is seen being something that is made (a photograph), and what is seen being something that is believed (a speculation about a partial view depicted in the photograph) interact. Trust is placed in a photograph to tell more than the photographed view reveals. As the photograph is enlarged for particular study, its resolution breaks down and makes the image murky. It is in this suspended state of vision that the photographer sees without his eyes. He imagines.

Film Still "Blow Up"

It is proof that even 'professional' eyes cannot master appearances, as this observer is a photographer who recognizes the difference between 'looking at' something and 'looking for' something. The closer he looks; the less he sees, or the more he sees, and it is the disaccord between the two possibilities that make the photographer distrust his own vision. The photographer becomes lost in his pursuit for the real, and as witness to his condition, our own perceptions come into question. At one point, the offhand denial of what is immediately before the eye is uttered as a fact. While actually in London, the photographer is asked: "I thought you were supposed to be in Paris?" "I am in Paris." he replies. **5**

Extension and Imagination

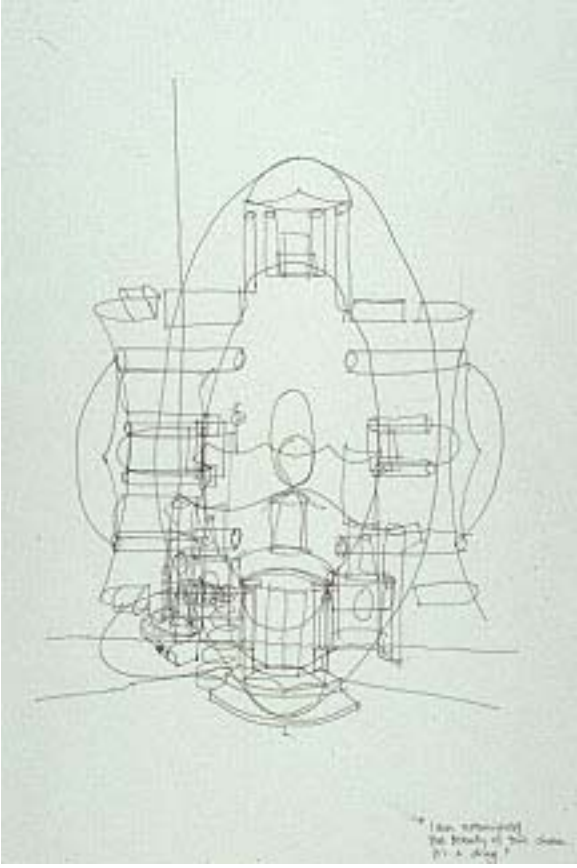
In *The Passenger*, pivotal scenes illustrate the various collapses of the perspectival frame. The functions of the camera in the final scene become the pluralistic eyes in an omniscient environment. The camera movement is developed as a measure to compass distantly related occurrences though proximal events and spaces. These are recorded as a continuum of simultaneous unrelated motions before the lens. A set of unseen contraptions allows the filming of a seven-minute continuous shot that encompasses a 180-degree change in perspective. The shot "is objective in the sense that what it sees is seen by no one in the film.... (T)he camera glances by these events; none of them central, nor given any weight nor emphasized...(T)hey just are and the camera does no more than register them." **6** This is much like what happens when we walk down any

street or in any building. This last shot both extends space and stills time. Perception is slowed, and the frame of reference in extended. This introduction of multiple subjective views claims a new spatial construct. The viewer may re-work the world around them.

Pyrgos, Greece

In these films, the characters are placed in a landscape, and inhabit it through thought, action, emotion, and a heightened engagement of the sense world. It is in order to preserve the sensual world, and report on its resonance, that the view of this filmmaker becomes abstract. Allowing very studied perceptions to transform the subject, the visual field is re-made into an envelope activating the senses, and in doing so, escaping the limits of the space framed by the camera or the architect. "There is no frame in perception, the world is an envelope and not a frame." **7** .

Likened to architecture, these films are spatial prospects where the world is composed of space that has been understood as plastic in its nature. As in the Baroque world of Borromini, the resultant environment behaves like an atmosphere that is rarefied: the space is filled up without being added to. Antonioni sees spatiality as plastic in nature, and removes us from the confines of the static form by the mobile nature of the subject's perceptions; thus illuminating the essential role architecture plays in the human condition. The consequence of this active view upon the design of the human habitation would be something on the order of a revolutionary change for architecture.



Sketch: "I am astonished. The beauty of this church. It's a drug."
Italian civil service guard in San Carlo alle Quarttro Fontane, Rome: Borromini

Documenting Place and Landscape: Wim Wenders and the Latent Present

In his final work of writing entitled Camera Lucida (clear room), Roland Barthes determined that

"The photographic image is full, crammed: no room, nothing can be added to it... In the cinema, whose raw material is photographic, the image does not, however, have this completeness (which is fortunate for the cinema). Why? Because the photograph, taken in flux, is impelled, ceaselessly drawn toward other views: in the cinema, no doubt, there is always a photographic referent, but this referent shifts, it does not make a claim in favor of its reality, it does not protest its former existence; it does not cling to me: it is not a *specter*. Like the real world, the filmic world is sustained by the presumption that, as Husserl says, 'the experience will constantly continue to flow by in the same 'constitutive style'; but the Photograph breaks the 'constitutive style' (this is its astonishment); it is *without future* (this is its pathos, its melancholy); in it, no protensity, whereas the cinema is protensive, hence in no way melancholic (what is it then? - It is, then, simply "normal", like life." **8**

Similar to the conception of time and place in Antonioni's work, the filmmaker Wim Wenders also uses documentary practices in narrative film form to convey the potential truths of a setting in cinematic description. Particularly interested in the individuals attitude within the of breadth of a landscape, Wenders is obsessed with the

interaction between people and their larger setting in the vast and dense physical scenes of the desert or the city. His films record the landscape either as an atmosphere that provides the backdrop to hold the space of a story, or as a spatial prospect that fully exists as the story in and of itself. A setting is rendered as full in it's own unadorned intensity, becoming itself a subject which is largely responsible for making the characters present.

Route 460: Disputanta, Virginia

Yielding back to make present something larger than itself, one's awareness of their existence in the world functions as that which may be concurrently read and also continually formed. This is achieved by allowing both the character and the spectator to become a participant and a viewer: both operate as an author and as an engaged observer. By a fundamental origin of objectivity, there is no privileged view in the documentary film, so all views may readily be made equal. The spirit of that freedom is the mechanism on which the documentary film is based. As a prospective venture, a readiness to be alert to both what is probable and what is possible, documentary film provides an openness and a willingness not only to allow, but also to encourage interpretation. It has a willingness to make the image of a place more full; the time elapsed in an environment less bound to pre-described temporal structures. The resulting message is one not necessarily given a particular weight or code as to which events are central, but views from an eye that watches and invests meaning as things unfold in a present tense. This expansion of the present encases the acts of both reflection and projection, and provides a readiness to perceive or to become a spectator; a readiness to be distracted, or a ready to observe the world as it is.

Wenders speaks of the naturalness of this practice and adopts the position of the Hungarian film critic Bela Balaz (who)… "talks about the ability and the responsibility of the cinema to show things as they are. (And) he says the cinema can rescue the existence of things." **9** Utilizing the documentary film form to promote a contemplative perception, Wenders regards these underlying truths as fields of production, with clear and lucid vision as a model of inquiry and experience of place. This fullness of experience can be

explored by the photographic chronicling of a place where film operates with it's own sense of possible immediate experience.

> In film, (where) everything that isn't in a particular frame is nevertheless latently present: it might become visible in the next cut of pan. In photography, everything outside the perimeters is excluded for ever. Things that border immediately on the subject no longer exist and cannot be brought back to life… It's like looking outside through a window without being able to go any closer to the window frame: all you see is the section cropped and shown in the window. Myself, I've never really felt that a movie was a window of that kind. In a film, the frame is variable. You tend to structure what you see. **10**

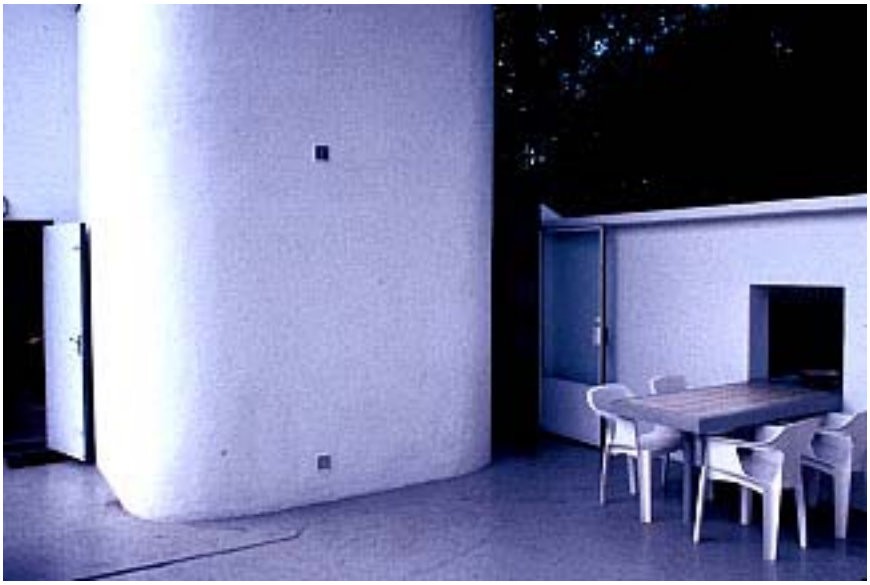
For Wenders, the reading of the event is not approached as a critic seeking meaning, but as one who exposes the nature of the event and the space around the event.
Fundamentally, this conception of regarding time in cinema as a thing that extends the possibilities of perceiving and sensing is a freedom that allows the full experience of the lived world.
Is this not the role of architecture – to increase our natural and built world?

Tire Chapel Sawyerville, Alabama: Sam Mockbee and the Rural Studio

Wenders recalls a conversation after a screening of one of his films: " A long way away, in Sydney, someone asked me after a screening of Paris, Texas: 'Is that a true story?' I said: 'It is now.'" **11**

Hans Richter- Domestic Space: Documenting Inside and Outside

Commenting on the existence of the Le Corbusier's Pessac Housing Colony, Sigfried Geidon exclaims, "The row houses as a whole reach into the space next to and behind them, Still photography does not capture them clearly. One would have to accompany the eye as it moves. Only film can make the new architecture intelligible." **12** The comment belies the difficulty of architecture to communicate the complexities of the interplay of interior and exterior conditions. The films of Hans Richter take to task the domesticated space of architecture, and demonstrate the possibilities and complexities of the architectural section as both a mode of design and construction.



Roof Pessac: Le Corbusier

In the films of Michelangelo Antonioni and Wim Wenders, modern place is revealed through the existence of a character and their specific expressions of introspection, their relation to forms, and their fit within the space of an event. Developing a filmic model of time linking structurally with the present, the static frame is activated as *kinetic* resulting in an unfragmented extendibility of time. A new visual language is continually re- invented based on each individuals perceptual and sensual responses to inhabiting and comprehending architectural form. This model of tactile observation that links structurally with the present provides lessons of perception relative to apprehending one's place in the built and natural world cued by the physicality and materiality of a place. Both Antonioni and Wenders bring film to the lived world, and express the great degree of empathy the built world imparts. As demonstrated by their work, we are delivered from experience as a limited frame, and understand place by the mobile nature of the subject and the revelations brought about by studied observation. These same fundamental insights are brought to the domestic space by avant- filmmaker Hans Richter. By way of demonstrative editing of both tightly framed images and text, Richter examines the development of modern space through the scale of the house and

the study of its furniture. He finds film as a medium to present a polemic on how new modern space dictates a new modern life. These lessons of these filmmakers come as a reminder of and lesson on what it is live and build in the world. In "The Future of Space: Toward an Architecture of Invention", Elizabeth Grosz writes, "(O)ur perception is a measure of our virtual action upon things. The present as that which is oriented toward both perception and action, is the threshold of their interaction and thus the site of duration. The present consists of the consciousness I have of my body." **13**

Phillis Wheatley Elementary School, New Orleans, LA

Notes

1 James Elkins, The Object Stares Back, (New York: Harcourt Brace and Company, 1996), p.137.

2. Robert Vischer, "On the Optical Sense of Form: A Contribution to Aesthetics," Empathy, Form and Space: Problems in German Aesthetics, trans. Harry Francis Mallgrave and Eleftherios Ikonomou, (California: Getty Center for the History of Art and Humanities, 1994), pp 94-5.

3. Wiel Arets, "Wiel Arets: An Alabaster Skin," Columbia Documents of Architecture and Theory 2. (New York: Columbia University Graduate School of Architecture, Planning and Preservation 1993) : 37.

4. Christopher Risher (Unpublished manuscript).The moment when one literally "walks out of the perspective" is the moment when the subject gains a new appearance.

5. Blow Up, dir. Michelangelo Antonioni, with Vanessa Redgrave, David Hemmings, and Peter Bowls, Bridge Films (Carlo Ponti), 1966.

6. Sam Rohdie, Antonioni (London: British Film Institute, 1990),pp.147-8.

7. Robert Irwin, "Presence Symposium", Virginia Tech, remarks from a public address, publication forthcoming.

8. Roland Barthes, Camera Lucida: Reflections on Photography, trans. Richard Howard, (New York: Farrar, Straus, and Giroux, 1981), pp.89-90.

9. Wim Wenders, The Logic of Images, trans. Michael Hofmann. (London: Faber and Faber, 1991). p.1.

10. Wim Wenders, Written in the West, (New York, te Neues, 2000), p.14.

11. Wim Wenders, The Act of Seeing, trans. Michael Hofmann, (London: Faber and Faber, 1997), p.4

12. Andres Jansen, Arthur Riegg, Hans Richter New Living: Architecture. Film. Space., (Switzerland: Lars Muller, 2001), p.22

13. Elizabeth Grosz, "The Future of Space: Toward an Architecture of Invention," Anyhow, Cynthia Davidson, ed. (Cambridge: The MIT Press, 1998), p. 247.

Images:
Film Still: Blow Up, dir. Michelangelo Antonioni, Bridge Films,1966.
Sketch and all photographs are by the author.

Title Page

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Abstract:

The Wife of Bath as Evolutionary Archetype

The Wife of Bath is Chaucer's most well-known creation and, like Shakespeare's Hamlet, she has been examined under the lens of almost every critical approach imaginable, with the notable exception of evolutionary theory. This new field of literary criticism, strongly promoted by Joseph Carroll, provides an answer to the indeterminacy of postmodernism by grounding approaches to literature in the field of evolutionary psychology. Where many recent studies look at Dame Alyson as a representative of such forces as sexism, feminism, or capitalism, an evolutionary analysis shows her enduring character to draw more on the most essential tenets of human survival and reproduction, an amazing feat, given Chaucer is silent on the question of her specific procreative success. An evolutionary analysis reveals that the Chaucer portrayal of the indomitable widow makes her less a proponent of either sexism or feminism, though he explores both; more than anything else, she is a proponent of the human condition and the effort of all of us to survive and prosper. Human strategies of kin selection, reproductive value, sexual selection, parental investment, and resource competition explored by Stephen Pinker, Louise Barrett and others give new insight into Dame Alyson's archetypal appeal. While moral issues swirl around the Wife of Bath, her final hold on us moves beyond issues of what should be and leaves us finally with what is.

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Abstract: "Science, Scientism and the Humanities"

Relations between the humanities and science have long been troubled by conceptual confusions and misrepresentations, especially concerning the nature and character of scientific assumptions and enterprises.

In this essay I address long-standing confusions between science and "scientism" that have fostered alienation between science and the humanities. Despite its substantial political influence, "scientism" is merely an intellectually unjustified metaphysical position.

Science, properly understood, poses no threat to the humanities, nor does it challenge the characteristic presuppositions and ideals that distinguish the humanities. In contrast, the defining aims and projects of both science and the humanities are threatened by the metaphysics of scientism and its fatalistic variants.

Against these background analyses, I propose four distinctive roles for the humanities in relation to science.

Introduction:

Discussion of roles for the humanities in relation to science necessarily reflects an understanding of the foundational concerns and defining boundaries of these respective fields; yet those matters remain subject to significant scholarly debate. Such debates should be seen essential to the continued development of these ventures since political choices will be needed at each juncture of prospective innovation and challenge. Just as there is no singular definition of art to distinguish it decisively from craft or even technology, so too there is no uniformly recognized demarcation of science from non-science or even from pseudo-science. Still, plausible and rationally defensible views can be distinguished from idiosyncratic and renegade accounts.

In exploring roles for the humanities in relation to science, I will employ rather broad brush strokes to circumscribe the areas addressed. I take the humanities to include not only the performative and expressive arts such as dance, sculpture or music, but also the reflective and scholarly pursuits of philosophy, literature and drama that focus upon features and capacities that distinguish and ennoble human life. The issues to be addressed here specifically concern those latter enterprises; one might refer to them as humane or humanistic studies, but there is really no more familiar term of reference than simply "the humanities".

The term "science" has become grossly extended in contemporary culture, but at least three distinguishable ventures should be recognized as legitimate and disciplined nominees for that title: (i) the systematic empirical classifications so prominent in geology, botany and zoology; (ii) the statistical or relative frequency profiles of empirical events so familiar in the social and behavioral sciences; and (iii) the generalized theoretical explanations of various disciplines designed as subject to empirical test procedures. Those latter, the explanatory enterprises, mark the primary scientific concern in this paper, but what will be said applies to other scientific ventures as well.

I will thus speak generically and familiarly of relations between the humanities and science, but relations between the more philosophically reflective areas of the humanities and the explanatory dimensions of science are my direct concerns here.

The Problem Addressed:

The humanities and sciences today are generally viewed as quite disparate cultural undertakings: in academic environments their studies are pursued in different colleges; their respective professionals publish in different venues and typically convene in segregated conferences. Merely disparate enterprises need not be competitive or adversarial, but there has long been tension between the indicated realms of the humanities and science.

Even in an earlier time when the humanities and science appeared to share a common underlying metaphysical vision, there was at least latent incompatibility in their orientations to reality. Science and the humanities alike were then thought to reflect the glory of God's creation and, on the surface, matters seemed harmonious: science revealed the blueprint of God's handiwork in creating and sustaining physical reality while the humanities explored the capacities, challenges and achievements of those on earth made in God's very image. God's favored creatures, displayed their special status through their distinctive capacities as creative agents, as authors of and responsible for their own conduct in moral, aesthetic, intellectual, and political dimensions. As the humanities explored, chronicled and celebrated man's creative powers, science researched the physical world as it operated according to the natural laws of God's grand design.

Science was made possible by the fact that our intellectual capacities enabled us to recognize both the essential structures of physical objects and the divinely imposed causal laws governing their interaction. Yet, it was never really made clear how human beings could operate so freely and creatively within a causally deterministic physical reality. Somehow, comprised of both body and soul, that duality of our nature situated us both as physical beings subject to causal laws and as morally, aesthetically and intellectually creative beings within that same realm. This view was marked by an unquestioned faith in God's omnipotence and any latent conceptual difficulties could be ignored in the security of our knowledge that God worked -- indeed -- in mysterious ways.

As the vitality and prominence of that seemingly integrated metaphysical foundation faded, science became a notably secularized endeavor. For some, this explains how science became estranged from the humanities; but I think this is a decidedly parochial view, since for the most part the humanities have become no less secularized than science.

Today, most would readily acknowledge there is no longer a shared metaphysics underlying and somehow harmonizing the humanities and sciences. They are typically seen as culturally divided, disparate enterprises and their relationship remains haunted by that once hidden, now more apparent, problem: how to reconcile the worldview of the humanities -- where human agency, creativity and responsibility reign -- and the causally deterministic realm of science. What the humanities represent and celebrate in human activity reflects a presumption of the genius and decisional capacities of human beings; but from the viewpoint of science, those very creatures are part of and act within the causally determined physical realm. These are not merely divergent but overtly conflicting metaphysical underpinnings respective to the humanities and science, and it remains unsettling how to relate such intellectually disjointed orientations.

Science along with its consequent technologies has come to dominate our lives and thus to encroach upon the areas of life addressed and served by the humanities. There are many who fear that each successful area of scientific endeavor constricts the tenable realm of the humanities, especially as the social and behavioral sciences become more overtly grounded upon or "reduced" to purely physical parameters. Thus, if neurophysiology can account for our psychological states, attitudes and dispositions, will it not soon explain away our supposed talents and genius as well? Is our moral insight, our aesthetic inspiration or our political defiance less subject to neuro-physiological analysis? What will remain for the humanities to explore or to celebrate once every human feature has been physicalized and reduced to neuronal and hormonal activities?

The foundational agent-centered metaphysical orientation of the humanities seems under incessant retreat from the advances of science, and many within the humanities find this horrifying and dangerous. Yet, the humanities cannot viably retreat from their defining perspective on human affairs: for the humanities, we are not automatons; things do not merely happen to us as they do to rocks and minerals. We experience the world and respond creatively to its circumstances; and, since we do not always act wisely, admirably or rightly, exploration of what <u>should</u> define those latter dimensions must be of central importance to the humanities.

On this view science and the humanities have become overtly alienated: by definition, the humanities address aspects of reality bathed in human creativity and significance, and this is seen endangered by the growing prospect that science reveals the entirety of physical reality as denuded of human significance, as a brute factual order whose features and regularities operate under deterministic causal laws.

Resolution:

I will now address this festered state of affairs and argue that perennially misconstrued views of science have deluded us into thinking that the nature and success of science threatens the foundational perspective and celebrated values of the humanities; an alternative understanding of science shows instead that science not only poses no such threats but exemplifies the same presumptive human traits and values that the humanities have traditionally celebrated.

Science does not neutrally disclose reality: its disclosures are as perspectival and interpretive as work in the humanities. Science does not just sponge up ready-made facts; it invents the conceptual forms of the features it researches. Science does not disclose the causally deterministic nature of physical reality: it designs its own intellectual models, it proposes its own theories (including those that portray invariant relationships between theorized objects and events), and then it searches for evidence of empirical exemplification of its constructions and impositions.

At every level of activity, scientists select which features and issues they will explore and in doing so invest those with relevance to human interests -- differently perhaps, but no less so than is done in the humanities. Scientifically determined facts and relationships -- whether the objects of science's classificatory, statistical or explanatory ventures -- are never disclosed in their brute facticity but always in terms of descriptive and explanatory formats, invented and theoretically imposed by scientists.

Immanuel Kant expressed a glimmer of appreciation for these matters when he recognized that in science we must compel nature to answer our questions; but in the last century, Ludwig Wittgenstein, Karl Popper and others saw the further implications of realizing that we fashion the background languages and specific conceptual frameworks in which we can ask such questions: the conceptual features that characterize scientific descriptions and theoretical laws are matters of own construction. We do not abstract scientific conceptions from reality, we impose them. Moreover, we invent and establish the precise conditions under which we can recognize when any theoretical devising has been shown more empirically adequate than its competitors. Each theoretical explanation expresses within a portrait of a possible world of our own contrivance. Where such theoretical constructions and the conditions for their empirical applications have been precisely and unambiguously defined, we can indeed "compel nature" to answer our questions.

To be sure, there are regularities, universalities and necessities embedded in scientific enterprises. Theories designed to portray invariant relations between carefully defined events may be said to express "causal laws"; and where they have been well-corroborated empirically we may refer to these formats as expressing "natural laws". Nevertheless, such matters of invariance or universality are reflections of our theoretical designs and impositions, not attributes extracted wholesale from nature. Through empirical application of theoretical designs scientists explore the extent to which researched aspects of reality may be found amenable of description in manners theorized, but success here does not disclose the inherent form or essential character of reality.

Theoretical explanations express what scientists may think to be universal, necessary or impossible, but applications of such portrayals to reality remain empirically contingent. Even well-corroborated theories remain subject to empirical exceptions, and accounts that have so far been successful may be replaced later by more sophisticated or more comprehensive theories. The explanatory enterprises of science represent, as Karl Popper famously claimed, an "unending" human quest; scientific explanation offers no prospect for intellectual finality, neither as to ultimate objects or laws or forms of empirical relationships. There can be no scientific disclosure of reality as a causally deterministic realm.

Properly understood, the conduct of scientific research does not require, cannot really use, and should not presume an underlying causal determinacy throughout the physical realm; nor does any such thesis follow logically from scientific achievements. The thesis of causal determinism is a wholly aprioristic metaphysics, a mythology: it serves an ideology of "scientism" or "physicalism", not the enterprises of science. Unfortunately, that confusion, born of superstition, continues to haunt our cultural understanding of science. Were the practice of science to actually depend upon such an empirically un-testable metaphysics, the empirical character of science -- the very foundation for our acceptance of its claims as representative of reality -- would be undermined.

Unlike science, however, the philosophically reflective dimensions of the humanities do rely significantly upon a metaphysical underpinning -- one that presumes human freedom, agency and creativity. In doing so, however, the humanities are neither secured nor threatened by the nature and success of science. When human capacities, deeds and artifacts explored and celebrated by the humanities are targeted as objects for scientific study, their conceptualizations will be shorn of every

non-empirical and otherwise undefined feature; they will thus be re-described independently of the significations germane to the humanities. This is part of what it means to treat them scientifically: such treatment does not falsify their real nature, nor does it reveal their true nature to be denuded of human significance; it can merely reveal the extent to which such items are amenable to the theorized forms of description imposed. Thus, for example, when we measure a man's height or relate his gain in weight to his caloric intake, we are wholly unconcerned with and ignore his aesthetic talents, his moral stature, or other personal features; but that does not mean that we have dehumanized him in any sense antagonistic to the humanities.

Conclusions:

No matter how successful scientific theories, explanations and predictions become in their own realm, they do not and cannot reveal that physical reality operates according to a causally deterministic metaphysics; science cannot demonstrate any metaphysical viewpoint. Science cannot secure the characteristic humanistic metaphysics; nevertheless, poses no essential challenge to the humanities, nor are the latter's interests endangered by scientific enterprises.

If the humanities need not fear the development of science or ward off its advances, what then may be said positively of the roles of the humanities in relation to science?

(1) Science is not neutral disclosure of a causally determined physical reality, and it is no less a creative human enterprise than the humanities. Scientists must design their theories and researches, decide the intellectual significance of their experimental findings, and judge the relative worth of their competing theories. To do so, they must engage in the same kinds of creative, decisional and interpretive enterprises as their colleagues in the humanities. As a distinctively human venture, the development and pursuit of science is not inferior to art or music or architecture -- even if it differs from them significantly. The human species is as distinguished by the cultivation and practice of science as it is by art and literature. Accordingly, the first conclusion here is that respectful understanding and appreciation of scientific enterprises should become an important part of what the humanities celebrate about human creativity and achievement.

(2) Decisions within science concerning determinations of data, theoretical adequacy and superiority should properly be left to its expert practitioners. But, science is for the most part conducted as a publicly-funded venture and this invites a second conclusion: that the humanities have a proper role in influencing public decisions as to the direction and funding of scientific research. Whether human cloning or embryonic stem cell research, for example, should be publicly funded are not scientific questions, but policy questions about science, public commitment and moral propriety. The reflective enterprises within the humanities should explore the implications of such policy decisions in relation to competing perspectives on human ideals, normative values and institutional priorities.

(3) Properly distinguished from technology and engineering, science is essentially a set of descriptive, classificatory and explanatory enterprises: as such its defining intellectual pursuits are inherently a-moral and lack any intrinsic political prioritization. Decisions about what is worthy and proper of scientific pursuit and the degree of its human importance or urgency must be informed by resources outside the methodologies of science itself. The humanities should address these concerns through disciplinary perspectives and venues to inform the culture of more coherently expressed options than will likely be generated from the typically unenlightened and overheated debates of politically entrenched adversaries. The reflective dimensions of the humanities should champion what is admirable and noble in human enterprises; but since there is no singularly established manner for identifying such normative standards, the contributory format for such celebration must employ advocacy in the public marketplace for alternatively espoused perspectives. Thus the representations, commentaries, critiques and endorsements of the humanities, including those bearing upon science, should be widely and publicly disseminated; they should not be limited to the scholarly libraries and professional journals.

(4) A fourth role for the humanities in relation to science is likely the most important and challenging. This requires ongoing articulation and clarification of its own underlying metaphysics of human agency, creativity and responsibility. The nature and limitations of such creative human dimensions and the impact and influence of physical and situational contexts upon them cannot be determined a priori; but advocacy of that generic humanistic perspective remains wholly unthreatened by the pursuit or accomplishments of science.

Across the broadest political dimensions of human culture however, both the agent centered perspective of the humanities and the work of science compete directly with the deterministic metaphysics of scientism and physicalism, as well as with a host of fatalistic ideologies -- including religious, racial, and gendered variants. Such deterministic and fatalistic ideologies are the real intellectual and political enemies of both science and the humanities.

If the humanities would embrace and celebrate the pursuit of science as another exhibition of human creativity, the resulting collegiality between the humanities and science might provide a substantial bulwark against the cultural impact of deterministic and fatalistic worldviews. Such rapprochement with science would require from the humanities proper recognition of the factual discoveries, statistical regularities and well-corroborated theories of science; even though these latter remain provisional in respect of the unending pursuit of scientific understanding, they offer at any point our most rationally justified empirical account of reality.

The agent centered humanities perspective must continue to develop along with science so as to espouse to the wider culture a coherent and successively refined understanding of the nature and limitations of human agency, creativity and responsibility. Thereby, the humanities may, collegially with science, contribute across every political dimension to curb the irrational influences of deterministic and fatalistic ideologies and advance distinctively human values and prospects.

These, I believe, are the primary roles for the humanities in relation to science.

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PAPER SESSION
TOPIC AREA: (Cross Disciplinary) Philosophy, Ethics, Accountancy & Health Care
TITLE:

Ethical Thinking and Accountability in the Business of Health Care: Resituating Fiscal Prudence and Profitability within the Context of Social Values

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ABSTRACT

***KEYWORDS**:* Quality-Adjusted-Life-Year, ethical thinking, practical wisdom, moral imagination, the Potter Box, the Oregon Health Plan.

Abstract: In this paper we examine some ethical implications of the use of the concept of the Quality-Adjusted-Life-Year (QALY) as a tool to ration health care. Originally used in medicine as a unit of measurement that expresses in a single number the quantity and quality of life expected to follow from a health care intervention, this method of assessing the effects of potential treatments has recently been extended beyond the assessment of medical benefit to include the costs of treatments and has become an accounting tool used to limit the use of expensive treatments. Increasingly, medical decisions and medical discussions with patients about treatment are limited by accounting decisions which collapse medical benefit and medical cost into one single measure. In this paper we propose a way for those managing the business of health care to retain a focus on key social values without disregarding fiscal prudence.

1. Introduction

In this paper we propose a model of ethical thinking which makes it possible to see more clearly the ethical implications of the use of algorithms such as QALYs in medical decision making in particular, and in ethical thinking in general. We describe a complex model of moral judgment derived from recent scholarly work on Aristotle's ethics according to which it is a serious mistake to think that reflection about ethical issues can be reduced to any sort of quantifiable method (Hursthouse, 1999; Nussbaum, 1990; Wiggins, 2002; McDowell, 1997; MacIntyre, 1982; Mason, 2004; Zagzebski, 1996; Sherman, 1997). We explore the idea that good judgment, or *practical wisdom,* consists in a complex, evolving, and self-referential process of reflection which expresses sensitivity to the salient features of situations. The model we propose can be used to open up thinking to broader fields of

values and perspectives than can be achieved in any formal procedure or calculation. We apply the Potter Box (Christians, et al, 2001) to the Oregon Health Plan to illustrate and advocate the use of this complex process of ethical thinking in the field of health care delivery.

It is widely held that many health care delivery systems fail to respond appropriately to both broad social concerns and practical limitations on available resources. Often the value of fiscal prudence is reduced to the application of techniques that measure cost effectiveness with little reflection on the relation of this value of to other values. Cost-effectiveness thinking seems to trump other concerns which pale in comparison to the urgency and seeming clarity of columns of numbers organized to reveal a bottom line. Increasingly in health care delivery, effectiveness is measured using the quality-adjusted life-year (QALY) in domains of management decision-making which have no obvious bearing on the original use of this medical measure of well-being. The QALY was originally developed as a standard measure whereby physicians could quantify the medical benefit obtained from treatments administered to patients during randomized clinical trials where most variables are held constant except for a controlled change in the treatment provided to patients (Sackett, Rosenberg, Gray, Haynes, and Richardson, 1996). QALYs are the foundation of evidence-based medicine. Databases published by authoritative third parties such as the U.S. National Cancer Institute compare the medical outcomes from standardized treatments of homogeneous groups of patients, measured in QALYs. Now, however, the U.S. Institute's Physician Data Query (PDQ) and the Standards, Options et Recommendations (SOR) produced in France not only report the most recent results of clinical trials worldwide they include in these reports ratios of cost-effectiveness as well, and the updated clinical practice guidelines intended to simplify the decision-making process for physicians treating acutely ill patients simply exclude treatments deemed too costly by these organizations. (Costa and Hubbard, 1997).

In the realm of medical decision making, QALY-based comparisons were originally designed to enable physicians to decide what medical treatments to supply on the basis of medical effectiveness. Now however, cost-effectiveness is usually expressed in dollars per unit of health effect measured in QALYs (Russell, Gold, Siegal, and Weinstein, 1997). There are two problems with the extension of this measure to include cost-effectiveness: first, it is not clear that issues of 'quality' can be adequately represented in quantitative terms. If we look at the definitions of 'quality' offered by the Random House Dictionary of the English Language (1966) and the Shorter Oxford English Dictionary (1968) we find the

following definitions of the term: "1. a characteristic property or attribute: …2. character or nature, as belonging to or distinguishing a thing: … 3. character with respect to *excellence,* fineness, etc., or grade of excellence: … 4. high grade, *superior excellence* or superiority". (Random House, 1966). The Shorter Oxford English Dictionary: "Of things. …The nature, kind, or character (*of* something); hence, the degree or grade of excellence, etc. possessed by a thing…. Peculiar excellence or superiority." Both definitions make reference to the notion of excellence and superiority. When we pursue the idea of excellence the OED adds that excellence involves "the possession of good qualities in an unusual degree; surpassing merit, virtue, etc." The quality 'adjustment' in the quality-adjusted-life-year was originally a medical adjustment, a response to the question: How would the quality of a person's life be affected by means of various alternative medical treatments? The answer to questions such as these would depend both on the physician's estimate of the effect of the various treatments as well as on the patient's needs, interests and life situation. A dialogical process is needed to assess the quality or excellence of a life in medical settings. What counts as excellence in a life is not something that is the same for all persons at all times and in all situations. It is rather a matter of good judgment which cannot be captured in an abstract formula (Hursthouse, 2002; Lovibond, 2002, 29; McDowell, 1997),

The second problem occurs when the 'adjustment' is expanded to include cost effectiveness because a new dimension is introduced and 'quality' is redefined in terms of this dimension. But then the question that arises is who should be party to the discussion of the revised notion of quality. The danger is that many potentially beneficial and preferable treatments are tacitly excluded from consideration. As we shall see in the development of the Oregon Heath Plan, without extensive public discussion of what cost thresholds should be set to ensure prudent use of financial resources in the delivery of health care to patients, and public discussion of broader social concerns about improving access to health care, a narrow notion of quality heavily focused on cost might override important human values and social values, and even result in absurd or outrageous outcomes. While cost-accounting is without doubt a crucial part of the delivery of public health care, in a democratic society it too must be responsive to public discussion and not covertly embedded within the domain of scientific and medical expertise. The collapse of these two measures facilitates the predominance of the views of one or two sets of stakeholders while excluding the voices of many groups of patients and physicians. This

limitation on discourse about what is to count as fiscal prudence may seriously impair the achievement of the public good.

Our aim in this paper is to describe a more open, flexible, responsive form of thinking about quality in health care delivery. We begin with a description of the evolution of the Oregon Health Plan over several decades and then describe the Potter Box, a model of complex, dynamic thinking about values which can be used as an alternative to more narrowly focused cost accounting methods. The Oregon experiment is a useful example of the struggle to achieve transparency and flexibility in discussions concerning the delivery of health care. An analysis of the evolution of this system illustrates some of the key features of the Aristotelian model of practical wisdom. The Potter Box provides an excellent model of four dimensions of practical reason, the ethical theory we advocate for use in health care delivery, which we see as an experiment in situating the value of fiscal prudence in the contexts of broader social and ethical concerns.

2. The Oregon Experiment

The Oregon experiment was a multi-stage process (Bodenheimer, 1997; Daniels, 1989; Doughterty, 1991; Golenski, 1990; Hadorn, 1991a, 1991b; Jacobs, Marmor and Oberlander , 1999; Marmor, Oberlander, and Jacobs, 2001; Silow-Carroll, Waldman et. al., 2002; Thorne, 1990; and Wood, 1991). The first phase was a response to a consensus arising from the Governor's Conference on Health Care for the Medically Indigent, held in 1982. The consensus was that the federal legislation setting the financial threshold for reimbursement by the state for Medicaid patients failed to provide the poor with adequate access to necessary medical care. The objective was to provide state-funded, universal access to the most important medically necessary services for all citizens of Oregon. Financial limitations meant that many medically important treatments could be not be supplied to all citizens without sacrificing provision of other necessities such as education. While citizens wanted universal access to health care they did not want increased taxes. The goal was to improve access to care for the poor within existing financial constraints.

Beginning in 1983, a two-year, public process undertaken by Oregon Health Decisions Inc. (OHDI), a not-for-profit educational organization, yielded a complex set of fifteen principles derived from data obtained during 300 state wide meetings with over 5,000 citizens as well as telephone and written surveys (Wood, 1991). The 64 appointed members of the Citizens Health Care Parliament, guided by an array of principles aimed at

preserving autonomy, dignity, disease prevention, equal access, justice, and cost control used the OHDI data to formulate several resolutions. These resolutions were intended to guide legislative decisions about how to distribute health care benefits to Oregon's population.

Two years later in June 1987, Oregon's legislature eliminated organ transfers from public funding with no public discussion, and redirected $1.1 million of funds from life-saving transplants for 34 patients in order to cover the Medicaid costs of prenatal care for 1,500 women (Bodenheimer, 1997; Golenski, 1990; Oberlander, Jacobs et al., 2001). In December, 1987 a seven-year old boy, Coby Howard died from acute lymphoblastic leukemia. Coby's story was widely publicized. His unemployed mother had attempted to obtain an exception from Oregon's law, and to raise funds privately, but the boy died even though she had managed to raise $85,000 of the $100,000 deposit required by the hospital to proceed with a transplant (Golenski, 1990). This became the precipitating event that began the second phase of the Oregon experiment. After Coby's death, the President of the Oregon Senate, Senator Kitzhaber, a physician, advocated a different decision-making procedure that would include consideration of a different goal. He proposed that the legislature pause to reflect upon the tragedy of Coby's death and see it as an occasion to move ahead and establish Oregon as the first state to implement universal access to, and payment of, important medical treatments for all its citizens. He noted that in general the existing distribution system paid for trivial, inexpensive treatments but failed to pay for urgent and life-saving treatments. The legislature responded by proposing a broader reform to replace less important medical treatments with life-saving treatments and to expand universal access to 600,000 impoverished citizens who lacked medical coverage for important treatments (Bodenheimer, 1997). A year after the State of Oregon began its reform, the U.S. federal government enacted health insurance legislation in 1988 requiring each state to pay for organ transplants for all eligible children (Jacobs, Marmor et. al., 1999).

In 1988 eleven commissioners, appointed to Oregon's new Health Services Commission, undertook the task of establishing a list of condition-treatment pairs for over 10,000 items, ordered in sequence from the most important to the least important. They produced a priority list, obtained QALY data measuring medical effectiveness, and actuarial estimates of the costs of treatments. The commissioners' initial list ranked the condition treatment pairs from the least to most expensive cost per QALY. The list of priorities, which was still focused primarily on cost as the basic value at the heart of the

sorting process, still failed to prioritize urgent treatments over trivial, but inexpensive treatmens so that less expensive treatments for conditions like thumb-sucking appeared as a higher priority than the treatment for acute appendicitis requiring appendectomy. (Daniels, 1989; Hadorn, 1991b). The primacy of the focus on cost caused anomalies in the list. The preliminary list raised "a firestorm of national controversy . . . [over] rankings that defied *common sense*" (Oberlander, Marmor, et. al., 2001, 1585).

The Commission returned to the task of assessing priorities and began using input from physicians based on *their* judgment of medical importance. During the final phase of priority setting, which did produce an acceptable list, the commissioners began by asking physicians to create four categories of medical importance within which each condition-treatment pair could be listed according to its cost-effectiveness (Hadorn, 1991a). The categories ranged from life-threatening to uncomfortable medical conditions. Commissioners then re-ordered the list to ensure priority would be given to all life-saving treatments while keeping over 85 percent of the relative priorities from the preliminary list (Bodenheimer, 1997). Then the physicians did some manual revisions and the final version of the revised list was presented to and accepted by the legislature. The legislature determined what percentage of the state budget would be allocated to health care without raising taxes and distributed funds down the list until all funds were exhausted. Treatments falling below the financial cutoff point were not be funded by the state. The final list now reflected judgments of medical importance that were made by physicians.

Since the implementation of this legislation, the priorities have remained constant, although the cutoff point has changed. And, although costs have increased, the legislature, sufficiently impressed by the physicians' views on importance, raised funds by means of an additional tobacco tax and structural changes to the delivery system. There is still some controversy among physicians because some primary medical conditions are paid for by the state while accompanying conditions, known as comorbidities, are not. Nevertheless, many physicians have dealt with these situations on a case by case basis, again making room for the flexibility and adaptability inherent in good medical judgment rather than applying the financial cutoff mechanically on the basis of predetermined algorithms. Thus, many physicians have chosen to make use of creative solutions to bureaucratic problems: to treat comorbidities but not seek payment. Some have escalated the severity of their diagnosis, or amended their diagnosis of primary conditions to match a condition falling within the financial cutoff that could legitimately

cause the medical condition of a patient in order to ensure access. Physicians have taken responsibility for these decisions reasoning that in individual situations, where failing to treat a less severe condition using an inexpensive treatment excluded from the list would inevitably lead to a more severe condition requiring a more expensive treatment included on the list, it would be in the best medical interests of their individual patients as well as the best financial interests of the state of Oregon to deal flexibly with such anomalies (Jacobs, Marmor, et al., 1999).

As a result of this lengthy evolution of the health plan the State of Oregon has managed to include far more citizens in its distribution of health care than the national average. Only 8% of its citizens are uninsured, compared to the national average of 15% (Jacobs, Marmor et. al., 1999). Because the State of Oregon developed a plan in which input into the definition of 'quality' was made by physicians and not solely by accountants, the relevant definitions of quality reflected the needs and interests of the public. Their response to further problems of comobidities demonstrates the flexibility of their use of the health plan. As we shall see this plan stands out in contrast to the use of QALYs in the rest of the US where cost and medical effectiveness are conflated into one single measure thus occluding important input on values from relevant groups of people and removing the arena for flexible adjustment of health care to need.

3. The use of the QALY to manage the business of health care delivery

Health care delivery is a big business in the U.S. In 1998 revenue generated in the U.S. health care delivery system exceeded $1.1 trillion dollars or approximately 13.5 percent of the country's gross domestic product. In excess of $440 billion or approximately 40 percent of this revenue arose from government Medicare and Medicaid payments, more often referred to as costs. As costs, or revenues escalate at an increasing rate at least 43 million uninsured U.S. citizens must pay for any medically necessary care themselves or do without it (Gilmartin and Freeman, 2002). Despite the amount of revenue flowing to the health business, U.S. citizens have shorter lifespans than citizens in countries where far less than 13.5 percent of gross domestic product is devoted to health care delivery. U.S. patient satisfaction is lower than most comparable countries, and the for-profit insurance companies intrude more often into the domain of clinical decisions. . Increasingly, Health Management Organizaitons (HMO's) have entered the scene. The primary goal of these organizations is to manage the business of health care delivery to maximize profit for a select group of stakeholders, the owners of corporations. They justify

their influence on distribution of health benefits using the tool of QALY cost-effectiveness, which, as we have seen, conflates medical benefit with cost-effectiveness. Paradoxically there is evidence that the increasing emphasis on QALY cost-effectiveness indices has not reduced the cost nor improved the medical effectiveness of U.S. health care.

QALYs measure improved health status in the same way dollars measure improved financial status. Equations used to calculate the increment of improved health status were developed in the U.S. within the formal mathematical framework of making decisions under conditions of uncertainty in health care (Weinstein and Stasson, 1977). A detailed discussion of the technical development of this QALY measure can be found in Bleichrodt and Johannesson, 1997. It is worth noting that this body of literature describing the motivation for and development of QALY occurs in the context of medical, not management, decision-making. The model analyzes estimates provided by healthy people of both the percentage of reduction in quality of life due to a specified medical condition and the probable increase in quality of life attributed to a specified treatment (Dougherty 1994, p. 61, Culyer and Wagstaff, 1993;Chapman 1997; Johannesson, Pliskin, and Weinstein 1984; Johannesson 1995; Loomes and McKenzie,1989; Richardson, 1994).

The QALY, an index of improved health or well-being derived from medical treatments provided during randomized clinical trials, is being applied more frequently as a business performance measure of cost effectiveness among both alternative programs for treating the same patients and among choices to treat different groups of patients (Spiegelhalter,Gore,Fitzpatrick, Fletcher, Jones, and Cox, 1992). Since 1997, however, an increasing number of important groups accountable for managing health care delivery restrict access to medical treatments based solely on QALY-based cost-effectiveness indices rather than on medical effectiveness. In 1997 both the U.S. Panel on Cost Effectiveness and the U.S. Agency for Health Care Policy and Research endorsed the QALY as the most superior measure of outcomes for use in clinical research, although neither published appropriate thresholds of effectiveness or acceptable unit cost (Weinstein, Siegal, Gold, Kamiet, and Russell 1996). More recently, a third group responsible for managing health care delivery, the Federal Drug Administration (FDA) of the U.S., expanded its criteria of assessment for new medical products and treatments to include QALY evaluation of their cost effectiveness (Reaven, 2000). This agency, by withholding its approval, can exclude the entire population from receiving the benefits of innovative and medically effective, but costly treatments.

A fourth group, the American Medical Association, responsible for assigning billing codes essential for physicians to claim payment for their services, now requests data on cost effectiveness. A billing code does not assure reimbursement however, those responsible for Medicare and Medicaid independently decide whether or not new procedures will be eligible for reimbursement (Reaven, 2000). One result has been that physicians on the eligibility lists of Health Management Organizations (HMO), for-profit companies delivering medical services, are prohibited from informing their patients of appropriate, available medical treatments if these exceed the financial threshold set by those managing the HMO. Physicians who contravene this prohibition are stricken from the eligibility list and can no longer treat patients enrolled in the HMO.

Physicians who are concerned with the welfare of their patients and with the preservation of their professional autonomy have reported that informal QALY cost-effectiveness thresholds ranging from $20,000 to $100,000 per QALY have been used for decades to limit access to care (Brown, Sharma, Brown, and Garrett, 1999; Eddy 1992; Maynard 1987; O'Brien, Heyland, Richardson, Levine , and Drummond 1997; Robinson 1993). They have criticized the use of financial thresholds to restrict access to medical treatments and have claimed that acting in the best medical interests of their patients should supercede cost and the achievement of private financial gain as the basis for rationing health care delivery (Levinsky 1984). Yet in the absence of public debate about the use of QALYs to exclude medical treatment the question of whether there are other ethical criteria whereby access to medical treatment should be refused, a QALY-based cost-effectiveness criterion simply overrides other criteria that might be used to limit access to medical treatment. Cost-effectiveness thinking thus trumps thinking about social and ethical issues.

But, as a value, fiscal prudence is only one dimension of accountability. "What accountability means, how it is constructed, and what measures are important is part of a much larger conversation about values and purposes" (Stein, 2001, 139). Covert assignments of financial thresholds preclude democratic, informed public discussion of what values are important and their priority. Fiscal prudence is *only one of many values* which must be included in the good management and delivery of health care.

One example of this larger conversation about values which opens the door to the complexity and fluidity of values associated with the concept of the quality of life can be found in the article by Emanuel and Emanuel (1996) describing a complex process of accountability in the business of health care provision. They identified six domains of

accountability: professional competence, legal and ethical conduct, financial performance, adequacy of access, public health promotion, and community benefit. Different values underlie each domain. They also identified eleven groups or stakeholders who either can be held accountable or hold other stakeholders accountable in at least one of these six domains. On the basis of this complex delineation of the practices of accountability they argued that the use of a single model of accountability is insufficient. The widespread use of a single metric encourages managers to focus unquestioningly on the goal of devising ever more elaborate algorithms and abstract formulae to achieve a single financial target. As our discussion of the Oregon experiment has shown, the assumption that values and ethical principles can be assessed using a simple cost-effectiveness algorithm to establish priorities in delivering medical treatments leads to absurd results that defy common sense. Values are never given once and for all but are continuously renegotiated and subject to endless debate and discussion. This is illustrated well by means of the Potter Box, a model for moral thinking that delineates four quadrants each representing a different dimension of value associated with any moral issue.

4. The Potter Box

Dr. Ralph Potter of the Harvard Divinity School (Christians, et al, 2001) formulated one model of moral reasoning in a four-stage interactive analysis. The four quadrants of the diagram shown below in Figure 1, correspond to four questions that arise in any moral situation. First, what is the appropriate definition of the situation? Second what values are we trying to preserve or enact in this situation? Third, what principles are we informed by? Finally, who are the people who will be affected by the various courses of action that might be taken?

1. Defining the situation	4. Loyalties
2. Values	3. Principles

The definition of the situation will be informed by positions taken in the other three quadrants: the second quadrant, wherein people identify a broad set of values, the third

quadrant wherein people identify the principles evoked by values, and by the fourth quadrant identifying stakeholders to whom the decision-maker is loyal, or about whom the decision-maker is concerned. What is noteworthy about this model of ethical thinking is that what people come to see in each quadrant is profoundly affected by what they see in each of the other quadrants. The model is a progressive model in that having gone around the box once one can continue to go around refining one's perception of the perspectives of each quadrant. Thus, for example, one might consider the facts, on first glance, to be simply about whether a treatment is cost-effective given a certain budget. The budget represents the value of fiscal prudence in the second quadrant. Taking the value of cost-effectiveness as the first priority, the main features of the situation that stand out will not be the same as those that are salient given a different value, such as beneficence, universal access or excellent medical practices, as we have seen in the evolution of the Oregon Health Plan where the original focus on cost rendered Coby Howard's plight irrelevant, a plight which was seen to be highly relevant from the point of view of universal access and care for the children of the State. If we move to the third quadrant, principles, we might find that one observer is motivated by the principles of democracy while another is motivated by an aristocratic ideal which favors the privileged, the wealthy, the talented or the lucky, over the rest of the population. Each observer will identify different values in quadrant two, and will see different dimensions of the situation in quadrant one. Similarly someone committed to the view that all human beings count equally in matters of health care will be shocked to see someone excluded on the basis of class or race, and so on, in quadrant four. And finally the fourth quadrant represents loyalties to different groups of people. Some are loyal to the members of their profession or class while others might be concerned about their family or community, and so on. Each of these loyalties will affect the perspectives taken from the remaining three quadrants.

The use of the Potter Box by stakeholders in HMO's and by state appointed commissioners would actually facilitate a clearer view of the role of various groups affected by health care management, and the facts and values that these different groups find salient. The Potter Box facilitates better understanding of how these four salient factors interact in any ethical dilemma, and makes it possible to appreciate the relevant differences among groups involved in a specific situation. Reflecting upon each quadrant, a manager is better able to see the links among facts, values and principles, and disparate groups affected by the outcomes of an ethical decision (Nelson, 1992; Park and Park, 2000; Smith, 1998). Proactively seeking diverse views on values and principles

leads to an increasingly broad and deep comprehension of the fluidity, complexity, and passion characterizing ethical thinking. Using the Potter Box would support efforts by managers to engage in ethical thinking by providing both a framework and a process to examine how one value, for example fiscal prudence, coheres in the context of broader social concerns voiced by stakeholders directly affected by decisions health care managers make. But the increased fluidity and complexity of thinking described here raises questions. How are people to know when they have included all the relevant facts, values, principles and stakeholders? Is all this information coherent or is it inherently conflicted? Can individuals transcend the perspective of their own needs or the needs of their groups so as to think in terms of the whole society? Is contemporary democratic society nothing more than a set of groups struggling for their own supremacy? Can we think collectively about the conditions of a just society or are we limited in our thinking to the defense of our own turf?

5. The Theory of Practical Reason

A number of contemporary philosophers (MacIntyre, 1981; McDowell, 1997; and Wiggins, 2002), have developed Aristotle's concept of practical reasoning in the light of contemporary social psychology. The essential idea in this new approach is that ethical thinking involves the cultivation of good judgment rather than the application of rules or decision-procedures. The ideal of good judgment in human affairs is the ideal of a perspective taken from the point of view of a person of good character, motivated to achieve excellence in their domain of action and strongly committed to social well being. To see a situation from the perspective of practical wisdom is to make use of the broadest and deepest 'web of humanistic concepts which constitute the common self-understanding of culture" (Tierney,1994, 66). For Aristotle the excellence of an individual life was inextricably tied to the pursuit of excellence in one's society. Those whose motivations were more narrow had simply not understood the concept of a life well lived.

A value-neutral perspective will not deliver the fine responsiveness of the person committed to the various forms of virtue accessible to a person of practical wisdom. The answer to the question 'why seek excellence in a practice?' is unintelligible, or at least implausible, from the 'outside' perspective of someone who's thinking is not formed by the ideals of human goodness (McDowell, 1997; Lovibond, 2002). The perspective of those seeking excellence in a practice are not easily reduced to a set of rules, they are not codifiable. This may seem daunting to members of a society permeated by technological

thinking and by individual self-interest. However reflection on the actual practice of ethical thinking reveals just this capacity of people to grasp the spirit of an activity and to be motivated by ideals of social well being.

> Ideals, … are presented to us through actual persons – individuals whose cognitive powers are no different in kind, but at least superior in quality, to our own. The uncodifiability of what is apparent to the morally exemplary person is offset, according to this different (and positive) line of thought, by the endless availability of real-life material from which the spirit of their thinking can be reconstructed. (Lovibond, 2002, 50).

The model person, in this theory, is the virtuous person who has cultivated the capacity to identify worthwhile goals and the capacity to identify, and respond to, the salient features of specific situations.

In contrast to the idea that rational decision-making consists in the application of a formula in order to reduce complex circumstances to a something precise, a view which lends itself well to cost-effectiveness analyses, the theory of practical reason allows for much greater flexibility in the formulation of the general principles recognizing that in human affairs values and principles must be continuously reiterated in reference to the minute details of specific situations viewed in the light of the possibility of excellence. Our grasp of values and principles, on this view, is only as good as our understanding of particular situations as they are viewed in the light of these ideals. Since there are innumerable forms of good, or *desiderata*, any one of which might be elicited by a particular situation, it takes practical wisdom to discern the salient features of situations. Where one situation might call for generosity another, similar situation, might call for firmness. Good parents and good teachers learn to discern subtle differences in situations and to respond appropriately. There are no formal algorithms or codes which enable us to automatically generate universal moral principles, nor are there automatic systems which enable us to apply such principles once they are formulated.

> It is the mark of the man of practical wisdom on this account to be able to select from the infinite number of features of a situation those features that bear upon the notion or ideal of existence, which it is his standing aim to make real. . . . In no case will there be a rule to which a man can simply appeal to tell him what to do (except in the special case . . . where an absolute prohibition operates) (Wiggins, 236).

In this respect the theory of practical wisdom is illustrated by one of the features of the Potter Box. In using the Potter Box we 'tack back and forth' between levels of appraisal all the while modifying our understanding of each level in the light of our understanding of the others and in the light of revised understanding of values and principles. This situational appreciation involves a dialectical or reciprocal relation between what we consider worthwhile, and our perception of how things are objectively in the world (Wiggins, 237). Each dimension is subject to reformulation when viewed in the light of the other. This closes the gap between ideals and reality insofar as ideals are reformulated in terms of actual possibilities embedded in actual situations. Ideals are not fantasies, nor are they wishful thinking. Ideals are the expression of the moral imagination, a cognitive process of discovering the best response possible in given situation (Tierney, 1994, 16). What will turn out to be a good response is often not predictable but the result of creative insights.

> Ideals are envisionings of the self's good life, and they are products of imagination rather than the apprehension of the truth of principles. To say that our ethical desires are an imaginative product does not, however, cut them off from reality or rational scrutiny (Tierney, 1994, 16).

Moral imagination is a matter seeing clearly what is worthwhile for human beings and identifying strategies for the realization of that vision in particular situations. Thus the virtuous person is one who has a heightened sensitivity to what is called for in a particular situations (McDowell, 1997, 51). The persons or group of persons most suited to respond well with refined situational appreciation are those who "bring to bear upon a situation the greatest number of genuinely pertinent concerns and genuinely relevant considerations" (Wiggins, 2002, 233). An individual possessing both wide experience and a capacity for wisdom with regard to worthwhile ends will not be averse to revising his or her conception of the goals, nor to revising his or her understanding of what constitutes a partial or full realization of the goals. The ideal of practical wisdom is the ideal of being 'finely aware and richly responsible' (Nussbaum, 1990, 148).

As we have seen the State of Oregon eventually developed a system that enabled decision-makers to 'step back' and allow for the unexpected. In the end the Oregon health plan expressed the responsiveness and flexibility of the ideal practical reason.

6. Conclusion

We have attempted to show the limitations of the recent inclusion under the medical concept of the Quality-Adjusted-Life-Year (QALY) formulas which limit the cost of medical treatments. Our point is that by conflating medical and accounting decision-making under one formula important social and ethical thinking is preempted. What appears to be a value-neutral exercise in controlling costs is in fact a covert use of value thinking. We have described the Oregon Health Plan in order to show how a process originally focused on costs resulted in absurd and unacceptable consequences for the physicians and the citizens of that state. Oregon, through a lengthy process of reflection which included significant input from physicians, citizens and accountants eventually evolved a plan which was flexible, adaptive and transparent. We compared the Oregon experiment with the process of working through values described in the Potter Box which, in turn, serves as a good introduction to, and illustration of, recent developments in ethical theory of the ideal of practical reason. Our aim has been to shed light on the Oregon Plan while using it as an illustration of the Potter Box and the recently revised Aristotelian theory of practical reason according to which a grasp of what is important in complex human situations is only possible if people are already committed to ideals of excellence in the domain in question and committed to seeking social well being. Cynicism, despair, indifference to suffering of various members of society, or the unmitigated effects of wealth and power are attitudes which make practical reason inaccessible or even unintelligible. To think clearly and well about cost-benefit analyses in health care we need a better understanding of the way ideals can function in public decision-making. Ideals are cognitive appraisals of the possibilities of excellence in practice. As such they issue from the imagination and require flexibility and openness to a broad range of issues which cannot be formulated in advance as an algorithm or decision-procedure. And, although our description of the Aristotelian ideal of practical reason is schematic, our hope is that enough has been said here to evoke interest in this model of ethical thinking and to raise doubts about embedding costs of treatments within the Quality-Adjusted-Life-Year. Concerns about fiscal prudence are legitimate concerns but they require public debate and input from the relevant stakeholders so as to be integrated into a larger conversation about public values and social well being.

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Title of the submission: Analysis of written Japanese (as a second) language errors among American university students studying intermediate Japanese

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Abstract of paper:

This study aimed at investigating various types of *written* Japanese (as a second) language errors among American university students studying intermediate Japanese. In the process of second language acquisition, errors are not merely "mistakes" that take place by chance. Rather, they are regarded as byproducts of human beings' inner creative construction process to acquire a target language while taking language input/information through interaction with other human beings (like caretakers and language teachers).

To examine this view of language acquisition and the role of errors, this research studied various types of errors in American university students' written essays. About 100 American university students taking intermediate (second-year) Japanese in Washington and Oregon were asked to write essays about a few topics related to their every day life. All the errors in their compositions were collected and categorized in a systematic way.

The results showed that students had a lot of difficulties in acquiring Japanese postpositions (that is, particles), verb/adjective conjugations, and transitive vs. intransitive verb pairs. There were also errors related to Japanese orthographic systems, including the use of kanji (Chinese characters), katakana, and hiragana syllaburies.

In addition to examine if these various errors in Japanese as a second language can support the linguistics theories, this study also found important insights and practical implications that can be applied to Japanese (as a second) language learning and teaching research.

Thus, this study and presentation will be useful for many people in the areas of languages, linguistics, second language studies, and other interdisciplinary areas related to language learning/acquisition research.

1. Title of submission

State Propaganda and Mental Disorders: The Issue of Psychiatric Casualties among Japanese Soldiers during the Asia-Pacific War

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6. Abstract

STATE PROPAGANDA AND MENTAL DISORDERS: THE ISSUE OF PSYCHIATRIC CASUALTIES AMONG JAPANESE SOLDIERS DURING THE ASIA-PACIFIC WAR

This paper focuses on the politics of Japanese wartime medical policy, demonstrating how state propaganda about the people and their armed forces influenced authoritative views on health and what might endanger it. By focusing on the obstacles faced by psychiatrists trying to promote more official concern for mental health issues, it challenges the validity of figures indicating a low incidence of psychological trauma among Japanese soldiers during the Asia-Pacific War. Whereas civilian psychiatrists had to contend with the threat of censorship and arrest for even discussing war-induced mental disorders, army psychiatrists as military insiders were pressured by circumstances to convince their patients that their conditions were not serious and did not merit compensation. The dismissive attitude of officials toward the problem of psychiatric casualties was symptomatic of a failure to appreciate the human dimensions of war, the consequences of which were tragically short-sighted strategic planning.

Learning strategies of hiragana and katakana as foreign symbols

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Matsunaga (2003, 2004) investigated the effects of picture-plus-sound mnemonics on the short-term and long-term recall performances of hiragana and katakana by two groups of learners of Japanese as a foreign language: those with prior experience in learning non-Roman scripts as their L1 (the non-Roman group), and those who without it (the Roman group). The studies found that: (a) the mnemonics method was more effective than the flashcards method only for the Roman group for the short-term retention of hiragana; (b) the two methods were equally ineffective for the Roman group and the non-Roman group for the long-term retention of hiragana; (c) the two methods were equally effective for both groups of learners for the short-term retention of katakana; (d) the two methods were equally ineffective for both groups of learners for the long-term retention of katakana.[1]

Matsunaga (2003, 2004) suggested the advantage of the non-Roman group who could transfer L1 script learning strategies (e.g., Chikamatsu, 1996) as a possible explanation for the results of the short-term retention of hiragana. However, it was still not clear why the advantage of the non-alphabetic L1 script type (Matsunaga, 2003) disappeared for the short-term retention of katakana (Matsunaga, 2004). In order to provide clarification on this point, the present study examined the strategies employed by these participants by analyzing the results of the oral interview data collected from them. The research questions were: (a) to what extent they relied on

[1] Hiragana and katakana are two types of Japanese syllabic scripts. They correspond to the identical sounds, but differ in usage. There are 46 symbols in each type.

the provided mnemonics; (b) what strategies each group used successfully in the flash cards condition; (c) how their use of certain strategies changed from the time when they learned hiragana to the time when they learned katakana (ten weeks later).

Methods

Participants

In the hiragana sessions (Matsunaga, 2003), 50 learners in the first quarter of elementary Japanese courses at a university in Southern California (23 male and 27 female, with the average age of 23.55 years) participated: 29 in the Roman group; 21 in the non-Roman group. In the katakana sessions (Matsunaga, 2004), 58 learners in the second quarter of such courses at the same university (27 male and 31 female, with the average age of 22.63 years) participated; 33 in the Roman group: 25 in the non-Roman group.[2]

Procedure

Each participant individually attended five 15 minute sessions for each type of symbols (either Monday and Wednesday sessions or Tuesday and Thursday sessions). At the first meeting, a questionnaire and a pretest were given to the participant. On the questionnaire, the participant was asked to provide his or her background information including his or her previous experience of learning non-Roman scripts. On the pretest, the participant was asked to provide, on a sheet of paper, Romanization for the hiragana and katakana that he or she knew at that time. If the result of the pretest indicated that the participant knew ten or more hiragana in

[2] At this university, hiragana were introduced during the first quarter of elementary Japanese courses, and katakana were introduced during the second quarter. Both experimental sessions were conducted before the respective symbols were introduced in the classes. In other words, the participants received formal classroom instruction on the respective symbols only after completing the experimental sessions in the given quarter.

the hiragana sessions or katakana in the katakana sessions, his or her data were excluded from data analyses.

In the first four meetings, four computer-generated tutorial sessions of 40 symbols were given to each participant. The computer program used in this experiment was a modified version of the freeware originally created by Hatasa, Kaga, and Henstock (1992). The modification of the program was done so that there would be four versions in which each symbol could be introduced with: (a) a picture cue and a sound cue, (b) a picture cue only, (c) a sound cue only, or (d) no cue (i.e., a flash card).

In each tutorial session, one of the four sets of ten symbols was introduced in one of the four teaching methods. The four sets of ten symbols represented: (a) /a, i, u, e, o/ and /ka, ki, ku, ke, ko/, (b) /sa, shi, su, se, so/ and /ta, chi, tsu, te, to/, (c) /na, ni, nu, ne, no/ and /ha, hi, fu, he, ho/, and (d) /ma, mi, mu, me, mo/ and /ra, ri, ru, re, ro/. The five symbols (grouped between two slashes above) in each set were introduced in a random order. The four sets of symbols as well as the four methods of introduction were counterbalanced across participants.

Before each experimental session, a practice session was given to the participant with three symbols, /ya, yu, yo/, using the teaching method of the day. This was done in addition to an oral explanation of the procedure illustrated on a sheet of paper, in order to make sure that the participant understood the experimental procedure (how each symbol would be presented, reviewed, and tested) when using the computer program.

After the practice session, the experimental session began. The experimental session, which took no more than 10 minutes, consisted of (a) a learning phase (without time limit), (b) a review phase (without time limit), and (c) a self-test

phase (with time limit). In the learning phase, five of the ten symbols in one set were randomly introduced (one at a time) in the same teaching method as the one used in the practice session. In the review phase, the participant reviewed the five symbols by typing the sound of the randomly presented symbol (one at a time) until he or she typed the sounds of all five of the symbols correctly. After five more symbols in the same set were introduced and reviewed in the same manner, the self-test phase started. In this phase, the participant had five seconds to type the sound of each of the ten symbols, which were also randomly presented (one at a time). The experimental session ended when the participant typed the sounds of all of the ten symbols correctly. Every mouse click and key stroke made by the participant during the practice and experimental sessions were recorded by the computer program for data analyses.

The experimental session was followed by an oral interview, in which the participant was asked about the extent to which he or she utilized the provided mnemonics, and any other learning strategies he or she employed during the experimental session. When done, the participant was asked not to study the symbols elsewhere. The participant was told that there would be a recall test at the next meeting, but the result of the recall test would solely reflect the effectiveness of the tutoring session, and would not affect his or her course grade. If the participant admitted at the following meetings that he or she had reviewed or previewed the symbols, his or her data were excluded from data analyses.

At the next meeting (two to five days after the previous meeting), a recall test was given, on which the participant had to write, on a sheet of paper, the Romanization for the ten symbols he or she had learned in the previous meeting. When done, a different set of ten symbols was introduced in a different teaching

method. The same procedure was repeated until the fourth meeting was completed. At the fifth meeting, the participant was asked to take a recall test of the ten symbols from the previous session, and another recall test (the posttest) of 46 symbols including the three symbols, /wa, o, n/, which were not taught during the four experimental sessions. The posttest was given (on a sheet of paper) in order to make sure that the participant did not study hiragana elsewhere during the two weeks of the experiment. In other words, the participant's knowledge or lack of knowledge of /wa, o, n/ shown on the posttest had to be the same as the pretest in order for his or her data on the four recall tests to be valid. If not, his or her data were excluded from data analyses.

Results

The interview data showed that the Roman group utilized the provided mnemonics (about 45 percent of the time) significantly more often than the non-Roman group (about 30 percent of the time) in both hiragana and katakana sessions. When mnemonics were not provided, the interview data revealed that: (a) in the case of hiragana, both groups used pure memorization for more than 80 percent of the time in the flashcards condition, while in the case of katakana, both groups utilized about 20 percent less of pure memorization, and created their own mnemonics to a greater extent than in the case of hiragana; (b) in the case of katakana, both groups utilized their hiragana knowledge for about 12.5 percent of the time; however, the non-Roman group used their L1 script knowledge for about 10.5 percent of the time while the Roman group relied more on their own mnemonics than the non-Roman group did.

Discussion

The results that the Roman group utilized the provided mnemonics more often than the non-Roman group in both hiragana and katakana make sense, given the

former group's lack of previous experience with non-Roman scripts compared to the latter group. What is interesting is that the Roman group did equally well with the katakana flashcards method for the short-term (Matsunaga, 2004), with the changes of their learning strategies observed in the present study between the hiragana sessions and the katakana sessions. This seems to indicate that when learning katakana, the experience of learning hiragana played a role in making a difference in the development of their own strategies, which worked positively for the Roman group in particular. By the time they learned katakana, the Roman group seemed to be no longer disadvantaged by the lack of previous experience with non-Roman scripts, even when no mnemonics were provided.

As for the low performances by both groups on the long-term recalls of hiragana and katakana, it could possibly be due to the lack of practice, which seems to diminish the effectiveness of mnemonics or other strategies observed for the short-term. Future studies are certainly necessary to clarify the relationship between effective practice and mnemonic aids.[3] One effective way to investigate this would be to employ a research methodology, such as talk-aloud protocols (Trabasso & Suh, 1993, cited in Horiba, 1996), that allows an examination of subjects' cognitive strategies while learning is taking place at the introduction stage, at the practice stage, and also while remembering is taking place at the test stage.

Finally, in order to confirm or disconfirm the results of the present study as well as Matsunaga's studies (2003, 2004) and their interpretations, future studies are absolutely necessary to investigate possible influences of one quarter of Japanese

[3] In Matsunaga's (2003, 2004) studies, practice outside the experimental room was prohibited in order to control the influence of practice on the results of the recall performances (i.e., the research interest was to find out the sole effects of mnemonics). In contrast, Quackenbush, Nakajo, Nagatomo, and Tawada (1989) allowed outside practice in their study of the effects of mnemonics in hiragana, and found their positive effects on the long-term retention

language instruction and the acquisition of hiragana on the results of the katakana experiment. This can be achieved by reversing the order of hiragana and katakana experiments, and should be done in the near future to better understand the acquisition processes and learning strategies of the symbols, and thereby contribute to the enhancement of their instruction.

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The Acquisition of Passives: the Case of Japanese[1]

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1. Introduction

The aim of this paper is to explore the process of acquisition of Japanese passives, *ni* direct passives and *ni* indirect passives under the theoretical framework of the Minimalist Program proposed in Chomsky (1993;1994;1995;2000).[2] Analyzing the experimental data from elicited production tasks, I will prove that younger children have some difficulty with checking features, e.g. Case, theta roles, and so forth. In other words, the ability of children to feature checking matures.

This paper is organized as follows: Section 2 briefly reviews the earlier works on acquisition of passives in English and Japanese. Section 3 suggests the theoretical assumptions on Japanese passives. Section 4 outlines the experiment design. Section 5 analyzes the experimental data. Section 6 presents concluding remarks.

2. Previous Studies

Contrary to Pinker's (1984) Continuity Hypothesis that the principles that fix the children's grammar is constant throughout the course of their development, Borer and Wexler (1987;1992) propose the Maturation Hypothesis, which states that at a certain stage of development, children come to use the principle, which was not available before then. In other words, principles mature. Let us take passives in English for example. Children tend to produce adjectival passives (= truncated passives) seen in (1)[3] at an early stage of development and then verbal passives (= full passives with by-phrase) at a later stage. The former involves no A-chain while the latter does. In short, children cannot form A-chains in their early grammar.

(1) a. tree is blowed down
b. tree is broken
c. a ball be kicked
d. the car's parked
e. lamp got kicked
f. the tree's smashed
g. that was colored
h. the window's breaked again

Borer and Wexler (1987:147)

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[1] My special thanks go to Ikuko Matsuhisa and Yuko Yokozawa for their generous corporation to gather young children for my experiments. I am very grateful to Patricia Hironymous and Fred Savarese for commenting the draft of this paper. Needless to say, the remaining errors are mine.

[2] Generally, Japanese passives are divided into three kinds: *ni* direct passives, *ni* indirect passives, and *ni yotte* passives. In this paper, I will deal with *ni* direct passives and *ni* indirect passives.

[3] These examples come from an elicited production task whose subjects ranged from 2-year-olds to 4-year-olds. (1a) and (1h), overgenerated participles, show that the children generate the participles from verbs.

In support of the Maturation Hypothesis, Sano, Endo, and Yamakoshi (2001) examine the acquisition of Japanese passives from the viewpoint of GB syntax and economy on derivation. Assuming that the A-chains are involved in both Japanese passives and unaccusatives, they conducted the experiments to investigate children's comprehension of these two kinds of sentences: when each story with two animal puppets was acted out by the two experimenters, one of them gave the subject a stimulus sentence with a passive affix or an unaccusative verb, which was a yes-no question about what happened. Sano, Endo, and Yamakoshi (2001:677):

(2) a. Zou-san-ga buta-san-o tukamae-ta ka na? [Active control]
elephant-NOM pig-ACC catch-PAST Q
'Did the elephant catch the pig'

b. Buta-san-ga Zou-san-ni tsukama-ta ka na? [Full unaccusative]
pig-NOM elephant-by catch (Unacc)-PAST Q
'Was the pig caught by the elephant?'

c. Buta-san-ga Zou-san-ni tsukamae-rare-ta ka na? [Full passive]
pig-NOM elephant-by catch-PASS-PAST Q
'Was the pig caught by the elephant?'

On one hand, just as the active controls, the older the subjects were, the higher the correct response rates were for full unaccusatives. On the other hand, regardless of the age of the subjects, the rates of correct responses to full passives were almost constant.[4] They attribute the delay in passive acquisition to the passive affix as in (3).

(3) (a) theta-transmission in full passives takes place via intermediate absorption by the passive affix, while theta-assignment in full unaccusatives takes place directly without such an intermediate step.

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[4] Sano et al (2001:677-678) report the correct response rates of full accusatives and full passives as follows.

<Correct response rates of full unaccusatives>

	3-year-olds	4-year-olds	5-year-olds	Total
tukamaru: 'catch (Unacc)'	53.3%(8/15)	76.9%(10/13)	93.8%(15/16)	75.0%(33/44)
mitukaru: 'find (Unacc)'	40.0%(6/15)	73.3%(11/15)	85.7%(12/14)	65.9%(29/44)
full unaccusative:	46.7%(14/30)	75.1%(21.28)	90.0%(27/30)	70.5%(62/88)

<Correct response rates of full passives>

	3-year-olds	4-year-olds	5-year-olds	Total
tukamaerareru: 'be caught'	53.8%(7/13)	50.0%(7/14)	68.8%(11/16)	58.1%(25/43)
mitukerareru: 'be found'	40.0%(6/15)	53.3%(8/15)	40.0%(6/15)	44.4%(20/45)
full passive:	6.4%(13/28)	51.7%(15/29)	54.8%(17/31)	51.1%(45/88)

(b) In theta-transmission, children have some difficulties in dealing with a process related to the passive affix. (The Passive Affix Hypothesis)

Sano, Endo and Yamakoshi (2001)

As (3a) notes, theta-assignment in full passives occurs on the passive affix, which is a closer target of theta assignment. More generally speaking, children observe an economy condition in forming Japanese passives. In the framework of GB Syntax, such a theta-transmission process takes place at the S-structure. The Minimalist Program has abandoned the D-structure and the S-structure. So, the process of theta-transmission by the passive affix at the S-structure must be reexamined under the Minimalist program. As shown in (3b), Sano, Endo, and Yamakoshi (2001) do not clarify how the theta-transmission process related to the passive affix causes difficulty to children.

In order to explore the validity of the Maturation Hypothesis, Minai (1999) deals with the acquisition of accusative passives, possessive passives, gapless (indirect) intransitive passives, and gapless (indirect) transitive passives.[5] As (4) illustrates, accusative and possessive passives form A-chains, while gapless intransitive and transitive passives do not.

(4) a. accusative passive
Kuma-san-ga$_i$ usagi-san-ni t$_i$ tatak-are-ta
bear-NOM rabbit-by hit-PASS-PAST
'The bear was hit by the rabbit'
[$_{IP}$ [$_{NP}$ Kuma-san-ga]$_I$ [$_{I'}$ [$_{VP}$ [$_{V'}$ [$_{PP}$ usagi-san-ni] [$_{V'}$ [$_{NP}$ t$_i$] [$_V$ [$_V$ tatak-] [$_V$ are]]]]][$_I$ ta]]]

b. possessive passive
Kuma-san-ga$_i$ usagi-san-ni t$_i$ boshi-o tor-are-ta
bear-NOM rabbit-by cap-ACC take off-PASS-PAST
'The bear had his cap taken off by the rabbit'
[$_{N'}$ [$_N$ Kuma-san-ga]$_I$ [$_{I'}$ [$_{VP}$ [$_{V'}$ [$_{PP}$ usagi-san-ni] [$_{V'}$ [$_{NP}$ [$_{NP}$ t$_i$] [$_{N'}$ [$_N$ boshi-o]]] [$_V$ [$_V$ tor-][$_V$ are-]]]]][$_I$ ta]]]

c. gapless (indirect) intransitive passive
Kuma-san-ga usagi-san-ni nak-are-ta
bear-NOM rabbit-by cry-PASS-PAST
'The bear was affected by the rabbit's crying'
[$_{IP}$ [$_{NP}$ Kuma-san-ga] [$_{I'}$ [$_{VP}$ [$_{V'}$ [$_{VP}$ [$_{PP}$ usagi-san-ni] [$_{V'}$ [$_V$nak-]]] [$_V$ are]]][$_I$ ta]]]

d. gapless (indirect) transitive passive
Kuma-san-ga usagi-san-ni denki-o kes-are-ta
bear-NOM rabbit-by light-ACC turn off-PASS-PAST
'The bear had the light turned off by the rabbit'
[$_{IP}$ [$_{NP}$ Kuma-san-ga] [$_{I'}$ [$_{VP}$ [$_{V'}$ [$_{VP}$ [$_{PP}$ usagi-san-ni] [$_{V'}$ [$_{NP}$ denki-o] [$_V$ kes-]]][$_V$ are]]][$_I$ ta]]]

Minai (1999:340-341)

[5] As for the details of this classification of Japanese passives, see Kubo (1990).

In order to demonstrate that children have more difficulties with accusative and possessive passives with A-chains than with gapless passives without A-chains, Minai (1999) tests children's comprehension of these constructions by conducting two-choice picture selections: the subjects were asked to choose from the two pictures one picture, which describes the content of each stimulus sentence correctly.

According to Minai's analysis on the results of the experiments, children performed better on gapless passives than on accusative and possessive passives, which supports the Maturation Hypothesis. Comparing gapless transitive passives with three NPs with gapless intransitive passives containing two NPs, she points out that the difference of the number of arguments has no impact on the comprehension of passives. Minai (1999) also mentions that children score higher in their correct interpretation of accusative passives than of possessive passives. She attributes this to Case-switch: accusative to nominative in the former and possessive to nominative in the latter. But she does not make it clear why children experience difficulty with Case-switch from possessive to nominative.

3. Theoretical Assumption

This paper focuses on ni direct and ni indirect passives. A lot of studies have discussed whether or not NP movement produces Japanese passives: Kuroda (1965; 1979) proposes a non-NP movement analysis, whereas Kuno (1973) suggests an NP movement approach. Specifically, three puzzles of Japanese passives are argued repeatedly. One is why accusative Case and dative Case are not optionally absorbed in (5) below. The other is how strong emotional implication, the adversity of the subject, is added. As (6a) and (6b) illustrate, the subject suffers from psychological damage by her father's death. Another is why intransitive verbs are passivized in *ni* indirect passives as (7a) and (7b) show.

(5) a. Mary$_i$-ga John$_j$-ni zibun$_{i/*j}$-no koto-o zimansi-ta
Mary-NOM John-DAT self-GEN matter-ACC boast-PAST
'Mary bragged about self's matter to John'

b. N.McCawley (1972) and Kuno (1973):
John-$_i$ga Mary$_j$-ni zibun$_{i/j}$-no koto-o zimans-are-ta
John-NOM Mary-DAT self-GEN matter-ACC boast-PASS-PAST
'John$_i$ was affected by Mary$_j$'s bragging about self$_{i/j}$'s matter'

(6) a. Sensee-ga Hanako-o sikat-ta
teacher-NOM Hanako-ACC scold-PAST
'The teacher scolded Hanako'

b. Hanako-ga sensee-ni sikar-are-ta
Hanako-NOM teacher-by scold-PASS-PAST
'Hanako$_i$ was affected by the teacher's scolding her$_i$'

(7) a. Hanako-no chichi-ga sin-da
Hanako-GEN father-NOM die-PAST
'Hanako's father died'

b. Hanako-ga chichi-ni sin-are-ta
Hanako-NOM father-by die-PASS-PAST
'Hanako$_i$ was affected by her$_i$ father's death'

I suggest three types of processes for producing Japanese passives based on overt verb raising (see Koizumi (1995) and Matsuya (2004)) and checking multiple theta roles (see Boskovic and Takahashi (1998) and Hornstein (1999; 2001)).

First, consider (6b), a *ni* direct passive, repeated as (8a). As (8b) illustrates, a passive affix, *(r)are*, is treated as a theta role assigner: a syntactically combined object of '*sikar* (= scold) and *(r)are*' assigns an external theta role to *Hanako*. That is, *Hanako* receives two theta roles within the VP shells: an internal theta role (patient) at the complement of VP2 and an external theta role (affectee)[6] at the Spec of VP1. A syntactically combined head V, *sika-rare*, absorbs accusative Case. Then *Hanako* moves to the Spec of TP to receive an affectee role. Finally, *Hanako* is raised to the Spec of AgrSP for its nominative Case and stops there. *Hanako* obtains a total of three theta roles. On the other hand, *sensee* is assigned an external theta role (agent) at the Spec of the lower VP (VP2). Then *sensee* is adjoined to TP and checks an affecter role[7] and its dative Case as a quirky Case at the higher Spec of TP.[8] This movement satisfies not only the Shortest Movement condition, in which the shortest number of steps and keeping links minimal are preferred, as proposed in Chomsky (1993), but also the Minimal Link Condition (10), thanks to equi distance yielded by successive cyclic verb raising in the derivation. In (8b), *sikar* is raised (=adjoined) to the head V (= *(r)are*) of VP1 in order to create a syntactic unit, *shika-rare*, by merge. As a result, t_i can target either the Spec of VP2 or VP1 for movement because of the expanded minimal domain.

(8) a. Hanako-ga sensee-ni sika-rare-ta
Hanako-NOM teacher-DAT scold-PASS-PAST
'Hanako$_i$ was affected by the teacher's scolding her$_i$'

b. $[_{AgrSP}$ Hanako$_i$ $[_{TP}$ sensee$_j$ $[_{TP}$ t_i'' $[_{VP1}$ t_i' $[_{VP2}$ t_j t_i v_1] v_1'+ v_2] v_1''+v_2'+v_3] v_1'''+v_2''+v_3'] sika$_1$-rare$_2$-ta$_3$]

(10) Minimal Link Condition
K attracts α only if there is no β,β closer to K than α, such that K attracts β.
Chomsky (1995:311)

Next let us move on to (7b), a *ni* indirect passive, which is repeated as (11b). Suppose that (11b) are derived from the active sentence, (11a). The process of *ni* indirect passives is represented in (11c): *Hanako* moves to the Spec of VP1 and to the Spec of TP in order to check affectee roles. *Chichi* moves to the Spec of Agr IOP for checking its dative Case and its causer role.

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[6]I use the term, *affectee*, as a cover term for an affected patient.
[7]The term, *affecter*, expresses a volitional agent.
[8]Here I treat *ni* as a dative marker not as a postposition, *by*, because of checking dative Case structurally.

(11) a. Hanako-no chichi-ga sin-da
Hanako-GEN father-NOM die-PAST
'Hanako's father died'

b. Hanako-ga chichi-ni sin-are-ta
Hanako-NOM father-by die-PASS-PAST
'Hanako$_i$ was affected by her$_i$ father's death'

c. [$_{AgrSP}$ Hanako$_i$ [$_{TP}$ t$_j$'' [$_{AgrIOP}$ chichi$_j$ [$_{VP1}$ t$_i$' [$_{V'}$ [$_{VP2}$ [$_{NP}$ t$_i$ t$_j$] v$_1$]
v$_1$'+v$_2$] v$_1$''+v$_2$'] v$_1$'''+v$_2$''] v$_1$''''+v$_2$'''+v$_3$] sin$_1$-are$_2$-ta$_3$]

Finally, consider (5b), another *ni* indirect passive of optional Case absorption, which is repeated as (12b): the object NP (accusative NP) is allowed to appear in *ni* indirect passives. Suppose that (12b) is derived from an active sentence (12a) by passivization. Then, we will obtain a derivation (12c). First, *John* moves from the D^0 position of the accusative NP (DP) to the Spec of VP1 to check its second theta role (affectee). Next, *John* is raised to the Spec of TP for the third affectee role. Keeping its internal theta role (theme) checked at the Spec of VP2, *zibun no ketten* moves to the Spec of AgrOP for accusative Case checking. After checking an agent theta role within VP2, *Mary* is adjoined to TP and checks an affecter role and dative Case as a quirky Case at the higher Spec of TP. Since the dative NP in *ni* indirect passives has subjecthood, *zibun* ambiguously refers to *John* or *Mary* as its antecedent.[9]

(12) a. Mary$_i$-ga John$_j$-ni zibun$_{i/*j}$-no koto-o zimansi-ta
Mary-NOM John-DAT self-GEN matter-ACC boast-PAST
'Mary bragged about self's matter to John'

b. N.McCawley (1972) and Kuno (1973):
John-$_i$ga Mary$_j$-ni zibun$_{i/j}$-no koto-o zimans-are-ta
John-NOM Mary-DAT self-GEN matter-ACC boast-PASS-PAST
'John$_i$ was affected by Mary$_j$'s bragging about self$_{i/j}$'s matter'

c. [$_{AgrSP}$ John$_i$ [$_{TP}$ Mary$_j$ [$_{TP}$ t$_i$'' [$_{AgrDOP}$ zibun-no koto$_k$ [$_{VP1}$ [$_{V'}$ [$_{VP2}$ t$_i$ t$_j$ t$_k$ v$_1$]
v$_1$'+v$_2$] v$_1$''+v$_2$']v$_1$'''+v$_2$''] v$_1$''''+v$_2$+''' v$_3$]zimans$_1$-are$_2$-ta$_3$]

In short, unlike in *ni* direct passives, *(r)are* in *ni* indirect passives assigns a causer/affecter role to the dative NP without absorbing accusative Case.

In the following section, I will report the results of the experiment which tests how children produce Japanese passives from the viewpoint of feature checking, especially theta roles and Case.

[9] In this paper, I tentatively assume that *zibun* is introduced by the computational system. As for the subjecthood of the dative NP, see Matsuya (2004).

4. The Design of Experiment

I conducted two elicited production tasks to children between the ages of 5 and 7 years old (see (13)), all of whom speak Japanese as their native language, in order to investigate their spontaneous production on Japanese passives, *ni* direct and *ni* indirect passives.[10] The procedure is as follows: first in front of the subjects, the story associated with a target sentence is acted out by toys and props, which they are familiar with. After the situation has been acted out, the experimenter narrates a 'lead-in' statement to elicit a specific sentence (= target sentence) corresponds to the discourse representation.

(13) N= 19 (age= 4;10 – 7;7, mean 6;2)
5-year-old: N=10, (age=4;10-5;7, mean 5;3)
7-year-old: N=9, (age=6;9-7;7, mean 7;3)

Each experiment is designed as (14) and (15) illustrate.

(14) *Experiment 1*

Target sentence: Kitty-chan-ga Kuruma-ni hik-are-ta (kara)
Kitty-NOM car-DAT hit-PASS-PAST (because)
'(Because) Kitty was affected by the car's hitting her'

Input (situation):
One fine morning, Kitty leaves her house for school. She meets her classmates, Kuma-san and Tanuki-san, at the traffic light. As the light turns green, they start to cross the crosswalk. First, Kuma-san and Tanuki-san cross. Then Kitty follows them. When Kitty reaches at the middle of the crosswalk, a red car, which two rats are driving, comes toward Kitty at breakneck speed, ignoring the traffic light. The red car hits Kitty. Kitty falls down and cries out loudly.

Kitty: Aaan. Aaan.

Approaching Kitty, Kuma-san and Tanuki-san say the following.

Kuma & Tanuki: Kitty-chan, daijoobu?
Kitty, are you O.K?

Input (Lead-in):
A puppet appears and gives the subjects the following question.

Puppet: Boku Kitty-chan-ni nani-ga okot-ta ka shira-nai.
I Kitty- to what-NOM happen-PAST Q know-NEG
'I don't know what happened to Kitty-chan.'
Naze Kitty-chan ga oogoede naite-iru no ka oshiete yo.
Why Kitty-NOM loudly cry-ing Q tell-please
'Please tell me why is Kitty crying loudly'

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[10] According to Crain and Thornton (1998), elicited productions can directly touch on child's linguistic competence by devising the situation, which is usual in their experiences. See Crain and Thornton (1998:141-161) for the details on elicited productions.

(15) *Experiment 2*

Target sentence: Pikachu-ga Kairiki-ni onigiri-o tabe-rare-ta (kara)
Pikachu-NOM Kairiki-DAT rice ball-ACC eat-PASS-PAST (because)
'(Because) Pikachu was affected by Kairiki's eating out his rice balls'

Input (situation):

Pikachu, Nyura, and Pichu come to a park for hiking. They are about to have lunch. They are sitting on a mat.

Pichu: Okaa-san-ga oishii makizushi-o tukut-te kure tannda
mother-NOM delicious rolled sushi-o make-PAST for me
'My mother made these delicious rolled sushi for me.'

Nyura: Watashi-no okaa-san wa kesa kono pan-o yai-te kureta yo.
I-POSS mother-TOP this morning this bread-ACC bake-PAST for me
'My mom baked this bread for me this morning'

Pikachu: Boku-no okaa-san-wa takusanno onigiri-o tukut-te kureta yo
I-POSS mother-TOP many rice balls-ACC make-PAST for me
'My mother made many rice balls for me'
Te-de onigiri-o taberu maeni, te-o aria tai na
Hand-with rice ball-ACC eat before, hand-ACC wash want
'Before eating these rice balls with my hands, I want to wash my hands.'

Pikachu goes to a washbasin, leaving these rice balls on the mat. Then Kairiki approaches the mat and discovers the rice balls.

Kairiki: Koko ni oiishisoona onigiri-ga aruzo.
Here delicious-looking rice ball-NOM is
'Here are delicious-looking rice balls'
Onigiri-wa oresama-no daikoobutu da.
rice ball-TOP I-POSS favorite are
'Rice balls are my favorite food'

Kairiki starts to eat the rice balls while Pikachu is not there. When Pikachu comes back, Kairiki has eating out most rice balls. Looking at his lunch box, Pikachu cries out and says.

Pikachu: Boku-no onigiri-ga nai!
I-POSS rice ball are not
'My rice balls are not (in my lunch box)'

Input (Lead-in):

A puppet appears and ask the subjects to explain the situation.

Puppet: I didn't see what happened to Pikachu. Please let me know why Pikachu is crying so much.

The above experiments succeeded in collecting interesting data of children's spontaneous production of Japanese passives, which reflect their linguistic competence in the course of development. The next section will consider these data from the viewpoint of the Minimalist Program.

5. Analysis

Before entering into my analysis, I would like to define null elements in a sentence and a noun phrase. Following Kuroda (1965) and Hoji (1987), I will treat empty categories in the subject and object positions of sentences as empty pronominals, that is, pro. This is supported by the following examples. Hoji (1987:290-291):

(16) a. John-ga sono hon-o yomimasita ka
John-NOM that book-ACC read Q
'Did John read that book?'

b. Hai, yomimasita
yes read
'Yes, he did'

c. (Hai) pro pro yomimasita
yes he it read
'He read it'

Unlike Hoji (1987) who allows empty pronouns only in the object position of an NP, I will also regard null elements in both the subject and object positions of an NP as empty pronominals.[11]

(17) a. $[_{NP}$ $[_{S}$ pro$_i$ $[_{NP}$ Iraku-no koogeki]-o hoodoosita] terebi kyoku$_i$]-ga
it Iraq-GEN attach-ACC broadcasted TV station-NOM
$[_{VP}$ Amerika$_i$-o hihansita]
United States-ACC criticized

The translation of (17a):

b. The TV station that broadcasted Iraq's attack against it.$_i$ criticized the United States$_i$

c. The TV station that broadcasted its$_i$ attack against Iraq criticized the United States$_i$

Let have a look at the 5-year-olds' responses. See (18). Seven children answered to the lead-in question using active sentences: three children gave their answers in passive sentences, *ni* direct passives. The rate of the correct responses amounts to 30.0%.

(18) *Experiment 1*

Outputs I (5-year-olds)

Examples of active sentences:

a. pro koron-da kara (pro=Kitty) (1/10)
fall down-PAST because
'Because Kitty fell down'

b. pro aka nano-ni kuruma-ga ki-ta kara (pro=traffic light) (1/10)
red is though car-NOM come-PAST because
'Because (though the traffic light was red,) the car came'

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[11] Hoji (1987:296-300) mentions that the subject of NP can and should be defined as an adjunct.

c. Kuruma-ga pro butuka-ta kara (pro=Kitty) (5/10)
car-NOM hit-PAST because
'Because the car hit Kitty'

Examples of passive sentences:

d. Kuruma$_j$-ga ki-te pro$_i$ pro$_j$ hane-rare-ta kara (pro$_i$=Kitty, pro$_j$= car) (1/10)
car-NOM come hit-PASS-PAST because
'Because the car came and Kitty was affected by the car's hitting her'

e. pro kuruma-ni hik-are-ta kara (pro=Kitty) (2/10)
car-DAT run over-PASS-PAST because
'Because Kitty was affected by the car's running over her'

Next, let us consider the 7-year-olds' responses. See (19). Unlike the above case, only three of the children explained what had happened to Kitty in the story in active sentences; six children correctly replied to the lead-in question, using the target sentence. The rate of the correct responses is 66.7%. This fact is consistent with the Maturation Hypothesis. The rates are listed in (20) below.

(19) *Experiment 1*

Outputs II (7-year-olds)

Examples of active sentences:

a. pro kuruma-ni butukat-ta kara (pro=Kitty) (1/9)
car- into bump-PAST because
'Because Kitty bumpted into the car'
Kuruma-ga pro butukat-ta kara (pro=Kitty) (1/9)
car-NOM hit-PAST because
'Because the car hit Kitty'

b. Kitty chan to kuruma-ga butukat-ta kara (1/9)
Kitty and car-NOM collide-PAST because
'Because Kitty and the car collided each other'

Examples of passive sentences:

c. pro$_i$ pro$_j$ hik-are-ta kara (pro$_i$=Kitty, pro$_j$=car) (4/9)
hit-PASS-PAST because
'Because Kitty was affected by the car's hitting car'

d. nezumi-no kuruma-ni pro hik-are-chatta kara (pro=Kitty) (1/9)
mouse-GEN car-DAT hit-PASS-PAST because
'Because Kitty was affected by the mice's car'

(20) The rates of correct responses:

5-year-old	7-year-old	control
30.0% (3/10)	66.7% (6/9)	100.0% (4/4)

Second, let us turn to the data from Experiment 2. At first glance, 5-year-old children seem to score rather high in the correct answers: seven children correctly used passive sentences. Considering (21b) and (21c), however, I doubt this percentage. Notice that there are two types of possible structures in (21b) and (21c). As (21b') and (21c') depict, the first is the structure of *ni* indirect passives without accusative Case absorption. The genitive NP within

the object NP in the active sentence raises to the Spec of AgrSP in order to check Case and theta roles. The second is that of *ni* direct passives where accusative Case absorption takes place, as (21b'') and (21b'') represent. The whole object NP in the active sentence moves to the Spec of AgrSP. Moreover, pay attention to the fact that a case marker of *onigiri* drops off. Because of scrambling in Japanese, *onigiri* can and may be the subject NP or the object NP in the passive sentence. See (21d') and (21d'').

(21) *Experiment 2*

Outputs I (5-year-olds)

Examples of active sentences:

a. Kairiki-ga onigiri-o zembu tabe-ta kara (3/10)
Kairiki-NOM rice ball-ACC all eat-PAST because
'Because Kairiki ate up all his rice balls' (his=Pikachu's)

Examples of passive sentences:

b. tabe-rare-ta kara (1/10)
eat-PASS-PAST because

b'. $[_{AgrS}$ pro_i $[_{TP}$ pro_j $[_{AgrOP}$ pro_k $[_{VP}$ t_i t_j t_k v_1+v_2] $v_1'+v_2'$] $v_1''+v_2''+v_3$] tabe-rare-ta] kara
(pro_i=Pikachu, pro_j=Kairiki, pro_k=onigiri)
'Because Pikachu was affected by Kariki's eating up his rice balls' (his=Pikachu's)

b''. $[_{AgrS}$ $[_{NPk}$ pro_i $[_{Nk}$ pro_k]][$_{TP}$ pro_j $[_{VP}$ t_j t_k v_1+v_2]
$v_1'+v_2'$] $v_1''+v_2''+v_3$] tabe-rare-ta] kara
(pro_i=Pikachu, pro_j=Kairiki, pro_k=onigiri)
'Because Pikachu's rice balls were eaten up by Kairiki'

c. Kairiki-ni onigiri tabe-rare-ta kara (pro=Pikachu) (1/10)
Kairiki-by rice ball eat-PASS-PAST because

c'. $[_{AgrS}$ pro_i $[_{TP}$ Kairiki $[_{AgrOP}$ onigiri $[_{VP}$ t_i t_j t_k v_1+v_2]$v_1'+v_2'$]
$v_1''+v_2''+v_3$] tabe-rare-ta] kara (pro_i=Pikachu)
'Because Pikachu was affected by Kairiki's eating up his rice balls' (his=Pikachu's)

c''. $[_{AgrS}$ $[_{NPk}$ pro_i $[_{Nk}$ $onigiri_k$]][$_{TP}$ $Kairiki_j$ $[_{VP}$ t_j t_k v_1+v_2]
$v_1'+v_2'$] $v_1''+v_2''+v_3$] tabe-rare-ta] kara (pro_i=Pikachu)
'Because Pikachu's rice balls were eaten up by Kairiki'

d. to-rare-ta kara (pro_i=Pikachu, pro_j=Kairiki, pro_k=rice ball) (3/10)
take-PASS-PAST because

d'. $[_{AgrS}$ pro_i $[_{TP}$ $Kairiki_j$ $[_{AgrOP}$ $onigiri_k$ $[_{VP}$ t_i t_j t_k v_1+v_2]
$v_1'+v_2'$] $v_1''+v_2''+v_3$] to-rare-ta] kara (pro_i=Pikachu)
'Because Pikachu was affected by Kairiki's taking his rice balls' (his=Pikachu's)

d''. $[_{AgrS}$ $[_{NPk}$ pro_i $[_{Nk}$ onigiri]][$_{TP}$ $Kairiki_j$ $[_{VP}$ t_j t_k v_1+v_2]
$v_1'+v_2'$] $v_1''+v_2''+v_3$] to-rare-ta] kara (pro_i=Pikachu)
'Because Pikachu's rice balls were taken by Kairiki'

e. pro_i pro_j onigiri-o tabe-rare chatta kara (pro_i=Pikachu, pro_j=Kairiki) (2/10)
rice ball-ACC eat-PASS-Present Perfect because
'Because Pikachu was affected by Kairiki's eating up his rice balls' (his=Pikachu's)

If (21b), (21c), and (21d) are accepted as *ni* indirect passives, the rate of the correct answers in 5-year-old children is 70.0%; if these are excluded, the rate of the correct responses goes down to 20.0%.

The 7-year-old children clearly display their preferences of *n*i direct passives over *ni* indirect passives as (22c) and (22d): *onigiri* is marked by a nominative Case marker. The rate of correct answers occupy only 11.1%. The percentage of correct responses is summarized in (23).

(22) *Experiment 2*

Outputs II (7-year-olds)

Examples of active sentences:

a. Kairiki-ga onigiri-o zennbu tabe-ta kara (5/9)
Kairiki-NOM rice ball-ACC all eat-PAST because
'Because Kairiki ate up all his rice balls' (his=Pikachu's)

b. Pikachu-no onigiri-o Kairiki-ga tabe-chatta kara (1/9)
Pikachu-GEN rice ball-ACC Kairiki-NOM eat-PAST because
'Because Kairiki ate up all Pikachu's rice balls'

Examples of passive sentences:

c. Pikachu-no obentoo-ga pro tabe-rare-chatta kara (pro=Kairiki) (1/9)
Pikachu-GEN lunch-NOM eat-PASS-PRES Perfect because
'Because Pikachu's lunch was eaten up by Kairiki'

d. pro's Onigiri-ga zennbu tabe-rare-chatta kara (pro=Pikachu) (1/9)
rice ball-NOM all eat-PASS-PRES Perfect because
'Because all Pikachu's rice balls were eaten up by Kairiki'

e. pro_i pro_j Onigiri-o zembu tabe-rare-chatta kara (pro_i=Pikachu, pro_j=Kairiki)
rice ball-ACC all eat-PASS-PRES Perfect because (1/9)
'Because Pikachu was affected by Kairiki's eating up all his rice balls'
(his=Pikachu's)

(23) The rates of correct responses:

5-year-old	7-year-old	control
70.0% (7/10) or 20.0% (2/10)	11.1% (1/9)	100.0%(4/4)

Let us now return Sano et al (2001) and Minai (1999). Sano et al (2001) claim that the delay of acquisition of Japanese passives results from the passive affix. The data of Experiment 1 and Experiment 2 reveal that young children perform well in verbal formation including the passive affix. See (18d), (19c), (21b), and (21d), which show children's ability to produce a complex verb with the passive affix at the early stage of development. In (18e), (19d), and (21c), the phonetically-realized dative NP (= by phrase) is licensed, which means that dative Case and affecter/causer roles are checked. The reason may lie in children's difficulty with checking theta roles, especially the affectee role, and Nominative Case along overt verb raising. For example, in Experiment 2, children tended to produce *ni* direct passives though the target sentence was a *ni* indirect passive. Raising accusative NP to the subject position is

preferred to movement of genitive NP inside NP to the Spec of AgrSP.[12] This is because the former involves shorter movement than the latter. Like adults, to observe economy on derivation, children seem to favor the shorter movement. It may be especially difficult for children to fulfill checking Nominative Case and affectee roles via longer movement.

6. Concluding Remarks

Analyzing the data of the two experiments on Japanese passives, the principles related to feature checking mature through the development, as the Maturity Hypothesis asserts. The delay of acquiring Japanese passives is not due to the properties of 'by NP,' as Fox and Grodzinsky (1998) advocate, but to checking nominative Case feature and affectee roles in the course of derivation.

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[12] Recall that the Spec of AgrSP is a landing site for the NP with affectee roles (= affected patient) under my theoretical assumption. In my opinion, (22c) and (22d) are not accepted as *ni* direct passives.

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Teaching with Improvisation:
Three case studies of flow experience in Beginning Adult Singers

Music

Paper Session

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Abstract

This study examined private voice lessons that included improvisation as an integrated element with three beginning adult singers using the flow experience model (Csikszentmihalyi, 1975, 1988, 1997), a paradigm based on high challenge and high skill. Challenge was recorded in a descriptive flow narrative using indicators borrowed from Custodero's observational protocol for studying flow: anticipation, expansion, extension, self-assignment, self-correction and deliberate gesture. Vocal skill was measured by specific researcher-chosen indicators: breath support, intonation/tone, vocal freedom, phrasing and expressivity, which were recorded on a 4-point scale on the Vocal Skill Indicators Form (VSIF). Through the Flow Narrative and the VSIF, data were examined for challenge and skill. Five 1-hour voice lessons, taught by the researcher, were videotaped and analyzed via event sampling; events were specific improvisational and non-improvisational activities designed to increase vocal skill (N=103). Validity of the challenge indicator measure was established through comparison with Custodero's descriptions of challenge indicators in research with children. Descriptions of indicators in the present study were judged as being either parallel or novel in regard to examples provided in Custodero's (2000, 2002a) studies: 19 of 21 representative descriptions of adults were parallel with descriptions in children. Verification of challenge indicator observations was also established through their association with spontaneous verbal self-reports of participants. Reliability of the VSIF was established through moderate to high inter-rater agreement between two independent raters, experienced voice teachers, and the researcher, who coded the same randomly sampled events. In keeping with the individual nature of flow experience, skill ratings were calculated relative to individual performance. To honor the preponderance of deliberate gesture in the focused one-on-one voice lesson, observed in 85% of events across cases, the following definition of flow was posited: deliberate gesture & 1 challenge indicator + $\leq$ average skill = flow. Improvisational activities showed consistently higher occurrences of flow than non-

improvisational activities across cases. Eighty-six percent of improvisational events were flow facilitating, while 26% of prescribed events showed flow. Specific improvisational activities based on major scales and the Dorian mode were found to be particularly flow facilitating.

AUTOBIOGRAPHY THROUGH THE AGES: SELF-WRITING versus AUTOBIOGRAPHY IN OLD TEXTS (AUGUSTINE AND GREGORY OF NAZIANZUS)

Literature (Theory of Literature)

(Work-in-Progress Report)

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1. To some extent, the problem of autobiography in the present time seems to be more difficult than one can expect. The definition of it is suspended between everything and nothing. I would agree with Candace Lang who says 'autobiography is indeed everywhere one cares to find it' and that any writing may be judged to be autobiographical, depending on how one reads it[1]; nonetheless I think that autobiography as a genre will disappear or even has disappeared already.

In order to escape this trap of a very obvious contradiction we need to distinguish the genre of autobiography from the autobiographical writing. By genre we may understand a specific type of artistic or cultural composition, identified by codes which the audience recognizes[2]. A lot of scholars agree about the fact that the *composition* of what we call autobiography today as well as its *recognizable codes* were established when Augustine wrote his *Confessions*, or, more precisely, at the end of the IV century.

Actually, we can trace the features of this pattern until the middle of the XIX century. Without any doubt it is too difficult to make such claims in the time when a "private story" still can so easily draw the attention of the public that it may seem nothing has changed during the last century. But it has. In spite of the fact that the whole XX century was an age of autobiography, it was also the period of a deconstruction of this genre. The reason for it arises not so much from the tendency of the modern texts to blur genre divisions, but from the inability of the modern author to put his life into any frame – a genre, or plain narration, or whatever it could be.

The previous unity of a life-story was absolutely lost, the strict composition disappeared, and the genre of autobiography fell into *auto-bio-graphy* with an emphasis moving from one part of this "notion" to another. That is why by naming a textual self-representation of any kind with the Foucauldian term *self-writing*, we can become closer to the nature of contemporary texts. In spite of a cultural gap between the end of the IV and the beginning of the XXI century we can still try to compare autobiographical texts which were written before Augustine established his structured pattern with some texts of our times when the genre gained its complete "disorder". What I hope to illuminate is a

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[1] Lang, Candace. "Autobiography in the Aftermath of Romanticism." Diacritics 12 (1982): 2-16.
[2] Anderson, Linda. Autobiography. London and New York: Routledge, 2001. P. 136.

kind of similarity of the language trouble in the texts of Gregory, a witness of language of the IV century, and – for instance – texts by Franz Kafka, Marcel Proust or Maurice Blanchot, the witnesses of the first half of our XX century.

2. For there are, indeed, things that cannot be put into words[3], as Ludwig Wittgenstein wrote in *Tractatus Logico-Philosophicus*, self-writing is never *about* someone -- it can only *concern* someone. *Concerning himself…* or *Concerning his own life…* were the titles of some orations and poems of Gregory of Nazianzus. The word "concerning" itself means "turning toward" one's self, making the self worthy of attention; "concerning" also means "looking awry", "lightly touching" the subject of attention in a conscious or subconscious attempt not to be caught by the powerful language, by its rhetoric, in other words, by the possibilities of speech already established in a language.

That is why one of the most important points here will be the distinctions between fiction and non-fiction, which in other words will be the distinction between rhetorical and empirical first-person narration. For example, it is a well known fact that we often find some autobiographical intentions in classical texts, but we should understand that often it is just a convention of a reader to trust the narrator's first person voice, to look for autobiography within a text, which informs our reading and gives the texts this force. The most frequent example here could be texts of the classical historians of Greece and Rome. As many scholars pointed out, ancient historians used a rhetorical first person for the sake of a more vivid commentary, but the authors in no way claimed to have been actually present, an autobiographic participant, in the events they described in this way. Another good example is The Psalms collected in the Old Testament. There The Psalms formed a body of liturgical poetry to be used by any speaker, on any appropriate occasion — the emotions and experiences attributed to the "I" were purely potential.

3. It is somewhat common place to say that Augustine's *Confessions* is considered to be the first autobiographical text because of the unconventionality of its first person

[3] Wittgenstein, Ludwig. Tractatus Logico-Philosophicus. Ed. and trans. by D. F. Pears and B. F. McGuiness. London: Rutledge and Kegan Paul, 1963. P. 151.

narration. In short, unlike previous texts where the "I" was fully rhetorical, in his text we encounter an absolutely different model of self-representation.

The aim of Augustine's writing was to demonstrate an important turn in his life, when he rejected his past experience, its enjoyments and passions, for the sake of Christian life. Helene Cixous wrote once that "all biographies like all autobiographies like all narratives tell one story in place of another."[4] The story Augustine attempted to tell was, of course, the story of the crucial event of Augustine's life – his turn to God. Unlike the classic autobiography of the Hellenistic epoch when "the autobiographer had only to present a generally recognized cultural ideal in his own person"[5], his *Confessions* depicted "the subjective character of religious experience"[6] of a Christian (not just of a man) who was a good *example* to follow. This needs to be noted, not to confuse it with a later concept of "person". A person can never be an *example*; a person is not even just a *case*, he or she is an *exception*. Here I allude to the concept of a person who has established himself/herself in the modern age.

Here I need to emphasize that we can never separate the sense of an event or a text from the cultural form, from the discourse where it happened. For Augustine, faith was an ontological act. He understood the "self" as "the place where my God Lord comes", so then he wrote "Noverim me, noverim te!" – "to learn myself means to learn You."[7] So for now we can summarize that a story Augustine indeed told was one about the way to God, and His guidance in the life of a Christian. Augustine wrote *Confessions* because he needed to confess, for the human self according to the spirit of that time was always inherently *mea culpa*, guilt of sin. At the same time he told an autobiographical story, which grew not from the interest in "I" but from the interest in "Not-I", with its sense behind "I." Without this subtext the autobiography in Augustine's time would be absolutely senseless. In other words, as Leonid Batkin pointed out, he made his confessions to "cleanse" himself from the biography.[8]

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[4] Cixous, Helene; Calle-Gruber, Mireille. Rootprints: Memory and Life Writing. London: Routledge, 1997. P.177.
[5] Misch. P. 624.
[6] Ibid. P. 624.
[7] To some extant, it can be read as a continuation of old Greek "Learn yourself!", but with the obvious difference.
[8] Баткин, Леонид. Европейский человек наедине с собой. Москва, 2000. С. 67. [Batkin, Leonid. The European Individual Alone With Himself. Moskow, 2000. P. 76.]

It is important to remember that Augustine was born in 354. He was a bishop of Hippo, in North Africa, from 396 to his death in 430. It is known that in his youth he had personally passed through the course of development which Hellenistic philosophy had pursued.[9] Though he could not read Greek, Augustine was familiar with Gregory's texts in Latin translation by Rufinus[10]. Gregory of Nazianzus died just three years after Augustine launched his *Confessions* into the world. Despite the fact that both Augustine and Gregory of Nazianzus wrote their texts almost simultaneously, I wouldn't agree with those scholars who find their models of self-depiction very close. Even Georg Misch, quoted many times in my essay, also is among those who find Augustine's and Gregory's texts similar. Comparing the autobiography in Gregory's poems with the method of autobiographic writing in the Hellenistic epoch he says: "The new attitude is not peculiar to Gregory, but characteristic of his time. Augustine shared his feelings: in the consciousness of the subjective character of religious experience, that profound thinker grasped the psychological problem implicit in the task of making one's inner life intelligible and credible to other men."[11] Unlike him, in my essay I'll attempt to make a claim that the seeming likeness is absolutely illusionary, and a gap between their writings allows readers to interpret them as representatives of different discourses.

4. Three leading orthodox Christians – Gregory of Nazianzus, Basil of Caesarea, and Basil's brother Gregory of Nyssa – are often referred to as the Cappadocian Fathers. Famous for his rhetorically sophisticated orations and his significant role in the formation of main theological concepts, Gregory of Nazianzus is one among them known as the Theologian in the Eastern Church. Let me give a brief biographical outline here. He was one of three children of Gregory, Bishop of Nazianzus, born in Arianzus, in Asia Minor, in 325 A.D.; he died in the same place, in 389[12]. He was educated in a famous school at Caesarea, capital of Cappadocia, and Carterius was his teacher. From Caesarea in Cappadocia Gregory proceeded to Caesarea in Palestine, where he studied rhetoric under

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[9] Misch, Georg. A History of Autobiography in Antiquity. Trans. by E. W. Dickes. V. II. Westport, Connecticut: Greenwood Press, 1973. P. 627.
[10] Misch. P. 624.
[11] Ibid. P. 624.
[12] One of the best works about Gregory of Nazianzus was written by hieromonk Ilarion (Alfeev): Жизнь и учение Св. Григория Богослова. Москва, 1998. [Life and Teaching of St. Gregory The Theologian. Moskow, 1998.]

Thespesius; and then to Alexandria, of which Athanasius was then bishop, though at the time in exile. Later, in Athens, Gregory (together with Basil, with whom he renewed a youthful friendship when they met again in Athens) studied rhetoric under the famous teachers Himerius and Proaeresius[13]. Mastering language skills with all the aforementioned rhetoricians, he was a very good pupil of his distinguished teachers: later "Saint Gregory was recognized as one of the very foremost orators who have ever adorned the Christian Church."[14] Besides his important prime activity as a head of church, as I've mentioned previously, he became famous for his numerous orations, especially, the five theological orations (27-31) devoted to discussion of the relationship between Father, Son and Holy Spirit.

I will not speak about his important role in establishing the Trinitarian and Christological doctrine in a time when there were too many debates around these questions so as the situations of the co-existence of a wide variety of different beliefs was not good for the church's unity. I will speak about the event of language of these texts and some his autobiographical poems.

Doubtless, all of his texts demonstrate perfect command of Greek, "high imaginative powers, lucidity and incisiveness of thought, fiery zeal and transparent sincerity of intention."[15] At the same time, as D.O. Hunter-Blair points out, *Orations*, therefore, have, "of course," some faults, such as "lengthy digressions, excessive ornament, strained antithesis, labored metaphors, and occasional over-violence of invective."[16] Besides, the translator and editor of the Nazianzus's autobiographical poems, Carolinne White, sees his style as too much "allusive and opaque."[17] Aren't these claims to some extent conflicting? And if they are not, if he is a rhetorician who fails in his texts, how we can claim that his rhetoric skills were perfect?

A short answer to this can be found in pointing out that Nazianzus was in a situation when he had to present new thoughts and concepts, and also to find the way to express a new sensuality of Christian religion. Probably, these two aims were too

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[13] Hunter-Blair, D. O. "Saint Gregory of Nazianzus." The Catholic Encyclopedia. Ed. Robert Appleton Company. Vol. VII. 1910. http://www.newadvent.org/cathen/07010b.htm
[14] Ibid.
[15] Ibid.
[16] Ibid.
[17] White, Carolinne. "Introduction." Gregory of Nazianzus. Autobiographical Poems. Ed. and trans. Carolinne White. Cambridge: Cambridge University Press, 1996. xxviii.

problematic for his language grown from the logocentric discourse of Greek philosophy. Hence, in realization of his "first aim" he naturally referred to the experience of Second Sophistic[18], which to a great extent is a sort of an antithesis to the former.

In addition to this, unlike Augustine, Gregory of Nazianzus had not succeeded in establishing a genre of self-depiction, so all the passages where he referred to his own feelings were slightly disorganized and disjointed. In other words, he wrote in the situation of pre-genre, which in this analysis allows me to ignore the chronology for a moment and to compare his difficulty of self-writing with the familiar linguistic dilemma of our days.

Nonetheless, being somewhere between discourses, Gregory managed (randomly, of course) to write texts where the inner life of a man – his cries and sad thoughts, his inner hesitations, troubles, and discontent – was depicted as a meaningful event. The silent meditation which he preferred most of all was presented more "physically" than Augustine's widely-known adventure stealing pears from someone's garden (this episode, on the contrary, is much more metaphysical). A short period of so called discourse instability gave Gregory of Nazianzus the opportunity to write outside any frame; this began to be impossible later when Augustine proposed his structure (and experience) to follow both in writing and in life until our time[19]. Although, in my mind, the critique toward autobiography as a genre does not relate to, for instance, Kafka or Blanchot. They wrote only *concerning themselves* and so escaped having been caught by direct self-portrait framing. "The author reads himself in the text, but what he is seeing in this self-reflexive or specular moment is a figure or a face called into being by substitutive trope of prosopopoeia, literally, the giving of a face, or personification… Autobiographies thus produce fiction or figures in place of the self-knowledge they seek".[20] That is how Linda Anderson summarizes the critique of autobiography delivered by postmodern thought in general, by Paul de Man, in particular.

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[18] By the way, Rosemary Radlord Ruether claims that "not only Gregorie's language but also his habits of thought are much under the influence of sophistic education. (Ruether, Rosemary Radlord. Gregory of Nazianzus. Rhetor and Philosopher. Oxford: Oxford University Press, 1969. P. 55.)

[19] I don't mention Rousseau's model here only because I believe it is very close to what Augustine proposed. The only difference – not so important for our discussion – is that, so to say, Augustine gave an "example to follow", in spite Rousseau gave an "example not to follow."

[20] Anderson. P. 12-13.

But when Paul de Man writes about autobiography, its "de-facement", and the end of this genre[21], it may seem, he has in mind just this old Augustinian model which unexpectedly gained a great popularity during the XX century and was realized in a huge variety of samples of this model, but as a popular mass-literature.

Kafka's unrepeatable writing may be paradoxically considered as the end of literature. Why not, if the author himself is a predecessor of Zenon, as Jorge Luis Borges joked? Absolutely seriously, I would put Nazianzus somewhere between them.

[21] Man, de Paul. "Autobiography as De-Facement." Modern Language Notes. 94 (1979): 919-930.

"The racial imaginary and the representation of multiethnic cultural elements in Ricardo Palma's literature"

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Abstract: The racial imaginary and the representation of multiethnic cultural elements in Ricardo Palma's literature

Ricardo Palma (1833-1919) is one of the most important Peruvian intellectuals of the mid 19th Century. Palma, a politician, library director, and writer, was the creator of a new literary genre: the *tradiciones* or historical anecdote. Merlin D. Compton mentions in his book Ricardo Palma[1], that during his lifetime, Palma published more than five-hundred *tradiciones*, five collections of poetry, several historical works on lexicography, two memories, and many other works. Palma's work has been explored in terms of language and literary form; however, there are quite a few research studies on the multiethnic representation of Palma's Peruvian society. In fact, my interest in the racial imaginary and the representation of multiethnic cultural elements in Ricardo Palma's literature began with my readings of some of his works. Since then, I have wanted to deepen my understanding of Palma's writings by analyzing the depiction of a variety of issues such as costumes, traditions, racial representations and discriminations, etc.

The analysis of some of the selected *tradiciones* will allow me to make a literary analysis of the treatment of the different social groups that conforms the Peruvian racial imaginary. As a step towards my analysis of Palma's work, I will place some of his literary texts in the historical context. Documents such as slave purchase contracts, court and inquisition cases, etc. will enable me to make a major historical analysis of the treatment of minority groups, as is the case of Afro-Peruvians during colonial times. Furthermore, it is relevant to note that Palma's literature and the artistic work of his contemporaries are significantly connected. For instance, while Palma visualizes the images of Peruvian society through literature, Peruvian mulatto watercolorist

[1] Compton, Merlin D. Ricardo Palma. Boston: Twayne Publishers, 1982.

Pancho Fierro visualizes the same reality through his artistic imprints. In my project, I would like to consider the inter-disciplinary relation between art and literature, especially in view of the fact that it is Palma who bought a great number of Fierro's watercolors.

The fact that Palma incorporates the three historical periods of Perú: incanato, colonial, and republic, leads me to think that this author presented a more complete picture of the cultural modeling, adaptation, and transformation that took place across Peruvian life than other writers. Palma offers a caricature of Peruvian aristocracy, and includes many cultural elements of ethnic minority groups rejected by Peruvian society, especially limeña society, for instance, the costumes, and traditions, food, dance, music, etc. that, in the course of time, have become part of the cultural manifestation of this country. This research project will enable me to embark on a more extensive study and analysis of the work of Palma.

TITLE PAGE

1. Title: The Reactionary Tradition of German Environmentalism
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6. The Reactionary Tradition of German Environmentalism

In America the roots of environmentalism are found in the writings of Jefferson, Thoreau, Emerson, and Muir—individuals associated with a liberal tradition. By contrast the concern for the environment in Germany has a quite different history and traces its roots to a conservative, reactionary tradition. English historian Anna Bramwell pioneered the investigation into the origins of German environmentalism and demonstrated in her 1989 work, *Ecology in the 20th Century*, the conceptual links between today's Green movement and 19th century German conservatism. Moreover, she showed theoretical ties between the Green Party and the National Socialists, anticipating negative reaction to her discoveries. "A discussion of the element of green and ecological ideas in Nazism is bound to have an explosive effect [. . .] The Green Party is popular among many disaffected intellectuals, because it appears to be pure and untainted by the past [. . .] it has adopted [. . .] the values of [. . .] feminism, egalitarianism, and anti-nuclear action. So a link between today's fashionable green ideas and the Nazis can meet with displeasure or even vituperation."[1]

Even so, the scholarly work precipitated no outcry; the evidence was irrefutable. In the mid-1990s, however, researchers at Vermont's Institute for Social Ecology began a series of articles digging the ground prepared by Bramwell. They studied the Nazis' green policies, the protection of the land in the name of *das Volk*, and quoted Hitler's famous *Table Talks*, his detailed ramblings about alternative renewable energy sources such as wind, water, and tides. A researcher concluded: "Hitler at times could sound like a veritable Green utopian."[2]

At the same time the institute looked at the Greens, showing Nazi tendencies in early Green Party leaders as well as providing historical context to so-called eco-fascists of today. They wrote about Christian Democrat parliamentarian Herbert Gruhl, who had participated in the Green Party's formation in the early 1980s, creating its famous slogan still used today "We are neither left nor right; we are in front." Gruhl had a name of some renown, too, having authored the best-selling 1975 book, *A Planet is Plundered: The Balance of Terror of Our Politics*—considered by researcher Peter Staudenmaier as seminal in the rise of eco-fascism.

The fledgling Green party of the 1980s struggled between extreme left and the far right, represented by Gruhl. Founding member Jutta Ditfurth writes: "It is to the credit of the leftist tendencies in the founding phases of the Greens that the ultra-right and neo-fascists were prevented from taking over ecological politics, as they were threatening to do at the time."[3] Leftist Greens forced Herbert Gruhl out, and he went on to found the tiny far-right Ecological Democratic Party. He continued writing on political issues until his death in 1993. In 2000 the Herbert Gruhl Society was formed in Hannover and continues to lobby for an end to immigration for ecological reasons, one of Gruhl's chief demands.[4]

But the early Greens' chief ideologue was not Gruhl but Rudolf Bahro. A former East German dissident, Bahro left the party in 1985 because he felt it was compromising its principles in participation with parliament. In his farewell speech at a Green convention in Hamburg he told delegates that there were structural similarities between the Green and Nazi movements that the Greens were not taking advantage of but should.

He envisioned a spiritual society guided by *das Volk* and wanted them to envision themselves as Gods and Goddesses at the center of small communities inter-connected with the larger community and rooted to the land. Bahro was developing a kind of "spiritual fascism" and trying to "rehabilitate National Socialism," wrote an antifascist researcher in Germany.[5]

Bahro invoked a 'green Hitler' to rally the Germans to rescue the environment, and shortly before his death in 1997 defended the inflammatory suggestion. "If someone comes to the German people and says, 'I am the man who will make the pine needles green again,' he will be given a chance [. . .] The deeper the crises, the darker the charismatic figure [. . .] whether or not we have a green Adolph depends on how far we advance before the next Chernobyl."[6]

In 1989 Bahro co-founded a *Lernwerkstatt*, an educational center and commune near Trier, Germany. According to Green founding member Jutta Ditfurth, Bahro organized lectures, workshops, and cultural events, allegedly to awaken environmental awareness and German self-identity. Speakers included former far-left agitators such as Rainer Langhahns, whose incendiary eco-fascist drivel proclaimed "Spirituality in Germany is called Hitler" and "We must strive to understand Hitler's great vision so we can be better Fascists." At the *Lernwerkstatt* the participants also learned practical matters, such as organic farming techniques and holistic nutrition. In light of all the positive talk about Hitler, they presumably learned also about the Third Reich's protection of nature and promotion of organic agriculture.[7]

National Socialist doctrine had incorporated environmental concerns, to be sure, and the ecological ideologues in the Third Reich included Heinrich Himmler and Alfred Rosenberg. Believing that the health of the *Volk* required an unspoiled environment protected by the state, the Nazis set aside nature preserves and enacted far reaching legislation to protect animal and plant species, reforest barren land, and block industrial development. These were unprecedented measures for any European nation.

Linking their concern for the environment to Third Reich doctrine, Nazi leaders justified the drive for "Living Space," *Lebensraum*. Perceived violations against German homeland would not go unchallenged. For example, when an outbreak of pine mites along the German-Polish border destroyed large tracts of forests in former German lands in 1937, the upper echelon considered this an act of war against the German people and further evidence that German soil had to be reclaimed.[8] As war began, protection of the natural world accompanied the Third Reich's expansion to the East. In 1942, following the annexation of portions of Poland, Himmler released a decree entitled "On the Treatment of the Land in the Eastern Territories." He insisted the landscape be left pristine as possible, in order to fortify the German *Volk* slated to settle the region.[9]

Third Reich Minister of Agriculture Richard Darré popularized the slogan 'Blood and Soil' and elevated it to a core tenet of Nazi doctrine. The *Volk* have a mystical relationship to the land and are bound spiritually to the soil, as the theory goes. By contrast, Jews are incapable of forming an authentic relationship with the land and are a stain on nature, according to Darré, one of the Nazis' so-called race theorists. He referred to Jews as 'weeds' that threaten the environment and therefore das *Volk*. And there is some evidence to suggest that he advocated the Final Solution as a cure for environmental ills, holding the Jews responsible for urban blight and dehumanizing mechanization. A

1971 biography of Hitler's deputy, Rudolf Hess, goes so far as to claim that it was Darré who convinced Himmler and Hitler that Jews and Slavs be exterminated.[10]

Small wonder that today's mainstream Greens might cringe at suggesting links to National Socialism. Yet at its inception in 1979 the Party published works by known Nazis. For example, they re-issued Ludwig Klages apocalyptic essay, *Mensch und Erde* (Man and Earth), a work admired by ideologues of the Third Reich. In fact, in 1933 the Nazis invited Klages to give a series of lectures at Friedrich-Wilhelm-University in Berlin, for he had became well-known and admired for his outspoken anti-Semitism and anti-democratic beliefs—as well as for his fiery defense of nature.

German historian Ulrich Linse describes Klages' polemic *Mensch und Erde* as "one of the greatest manifestos of the radical eco-pacifist movement in Germany."[11] But on close inspection, the work is anything but pacifistic, since it calls for willful destruction to re-form man's relationship with nature. It invokes a distant past of "ancient German lands, [where] an offense against a living tree was expiated by the shedding of the offender's blood." It urges the reader to "perish in battle" against technological so-called "progress."[12]

Klages wrote the essay in 1913 on the occasion of a large gathering of the so-called *Wandervögel*—a popular German youth movement of the early 20th century whose name translates roughly to 'wandering spirits.' Aptly described as 'right-wing hippies,' the *Wandervögel* emphasized a back-to-the land philosophy and defended passionately the natural world against industrialization, as the Romantics had done in the early 19th Century. They were an amorphous group of nature mystics, communitarians, and nudists whose ranks were largely absorbed by the Nazi movement.

The *Wandervögel* embraced ultra-conservative ideas from an earlier generation of reactionaries like Ernst Haeckel, who coined the word 'ecology' in 1867. The term signified the "science of relations between organisms and their surrounding environment."[13] Haeckel also popularized Darwin's evolutionary theory in Germany, and developed a form of social Darwinism stressing the superiority of the Nordic race and the need for racial eugenics. An influential ideologue preaching racism, nationalism and imperialism, Haeckel joined the Thule Society toward the end of his life—the secret, radical right-wing organization whose members played a key role in the establishment of the Nazi Party.

The conservative, reactionary roots of German environmentalism have thus been clearly documented by recent researchers in Germany, England, and the US. They generally have gone unchallenged, too. A notable exception is the Institute for Social Ecology mentioned at the outset. Its publication of articles demonstrating Third Reich ties to Rudolf Steiner and the popular so-called Anthroposophy movement sparked a debate in humanist circles in Scandinavia and Germany.

Anthroposophy is well known in Europe and generally associated with left-leaning ecologically-minded citizens. Its so-called bio-dynamic agricultural techniques are in widespread use, particularly in Germany, where practitioners produce a line of cosmetics under the name Weleda and also the Demeter brand of organic foods. In Germany there are also more than sixty so-called Waldorf schools, which educate the young according to educational principles laid out by Steiner. Moreover, the movement has powerful corporate benefactors such as Siemens and Bertelsman as well as influential

members in government, such as Green Party member and Minister of the Interior, Otto Schily, a life-long Anthroposophist. Researcher Janet Biehl writes: "Many people have been and continue to be innocently attracted [. . .] to Anthroposophy without any notion of the less savory aspects of Steiner's work."[14]

Steiner, who died in 1925, attracted numerous followers with concepts about race and geography that fit the Blood and Soil ideology adopted by the Nazis. Preaching a mystical connection of man and earth, Steiner also taught organic farming techniques, ruling out the use of pesticides. Referred to as *lebensgesetzliche Landbauweise*—farming according to the Laws of Life—these methods enjoyed enthusiastic support from top Nazis, including Rudolf Hess, a devoted Anthroposophist. The Third Reich was the first nation to implement organic farming methods on a large, state-sponsored scale, and this substantial undertaking took shape at the behest of Richard Darre and his Ministry of Agriculture, which had the fourth largest budget in government.

Meanwhile the Ministry of the Interior under Heinrich Himmler established experimental organic gardens to supply herbal medicines to SS troops. High ranking Nazis constituted the 'green' wing of the Party and struggled with other leaders such as Albert Speer, who supported chemical producer I.G. Farben and its promotion of pesticides. But the pressures of war helped I.G. Farben convince the Third Reich leadership to abandon organic farming, while Hess's flight to England severely damaged the Nazi 'green' wing.

Even so, Anthroposophy enjoyed Nazi protection through the war—in particular because of support from Minister of Agriculture Richard Darre, who, as mentioned earlier, has been implicated as an instigator of the Final Solution. Upon his release from prison following the war, Anthroposophists supported Darre and his family, in repayment for the protection he had them provided during the Nazi era.[15] To their defense, most of the movement's practitioners are resolutely apolitical and prefer to live quiet lives dedicated to the spiritual teachings of Rudolf Steiner. And there were notable instances of opposition to the Third Reich, even though top Nazis were adherents.

Still, researchers at the Institute for Social Ecology have documented Steiner's racism, anti-Semitism, and ultra-nationalism, drawing on the man's own writings as well as secondary sources. Meanwhile they have investigated the ultra-right German Weltbund zum Schutz des Lebens (World League for the Protection of Life), a small but influential group of wealthy individuals whose leaders have been ex-Nazis and devotees of Steiner. Researchers at the institute consider Steiner a forerunner of today's eco-fascists; they investigated him in such articles as 'Eco-fascism: Lessons from the German Experience,' and 'Anthroposophy and Eco-fascism.' These sparked a heated exchange between the institute and writers for the Scandinavian journal, *The Humanist*, some of whose scholars "lined up to defend Anthroposophy as a harmless variant of humanism," writes Staudenmaier and Zegers in the article, *Anthroposophy and its Defenders*.[16]

The debate continues to play out in Scandinavia in the pages of the *Humanist*, which re-publishes articles from the American institute, giving both sides of the argument. Its most recent article on the topic appeared in November 2003. Peter Waage, for example, for example, portrays Rudolf Steiner as an anti-Nazi, taking offense at the suggestion that the journal, the *Humanist*, harbors crypto-Nazi sentiments. "The perfidious accusation [. . .] is directed at teachers of the past as well as the present - not to

mention those among *Humanist's* readers who may be connected with the school as teachers, students, or parents."[17]

Be that as it may, the controversy ought to be viewed in the wider context of contemporary politics and culture. Is the attempt to find Third Reich antecedents in the German Green movement a guilt-by-association smear? Trying to show Nazi roots in the Greens and the Anthroposophists may be similar to the early 90's right-wing campaign that associated leftist West Germans to the discredited East German regime after its collapse. The celebrated East German writer Christa Wolf, for example, came under attack for her ties to the Stasi, equated so easily with the Nazis. Her admirers in the West, such as Gunter Grass, came under fire for their defense of the disgraced East German intelligentsia.

Even so, in a decade the distinctions between left and right have surely blurred. Former German Leftists such as the respected Martin Walser now champion views welcomed by Germany's New Right, while right-wing extremists like Franz Schönhuber and his *Republikaner* share points of contact with radical leftists who distrust completely the European Community and the United States. Meanwhile, anti-globalism attracts extremist activists both left and right, and so-called "Deep Ecologists" on the Radical Left share common ground with "Eco-Fascists" of the Far Right—at least so claim the "Social Ecologists" of Vermont's Institute for Social Ecology.[18] Fascism and ecology seem to be a common linking in the discourse. For example, British Paleobiologist Michael Boulter said in a recent interview about his 2003 book, *Extinction: Evolution And The End Of Man,* "What we need – but no-one would want – is a green Hitler."[19]

Yet further complicating the issue in Germany itself is the generational conflict between the so-called 68rs, who came of age in the 60s—and the 89rs, who derive their moniker from the year 1989, the collapse of the Berlin Wall. Young influential intellectuals such as Frank Schirrmacher of *Frankfurter Allgemeine Zeitung* and Ulrich Greiner of *Die Zeit* complained at the time of the 68rs obsession with overcoming Nazism. They and others suggested that the 68rs themselves had become authoritarian and inflexible—coming very close to branding 68rs Nazis.

Interpreting Germany's green history thus should account for not only the shifting perceptions of left and right, but also arguments between generations whose spokespersons may have axes to grind. Though six decades removed from the Third Reich, Germans frequently view political issues through the prism of Nazism and anti-Nazism. It is their defining trauma, as slavery and its aftermath is for the United States. A dispassionate investigation into the roots of German environmentalism may still await a time when passions over Germany's tragic 20th century history have subsided.

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[1] Anna Bramwell, *Ecology in the 20th Century: A History*. New Haven, CT: 1989, 196.
[2] Peter Staudenmaier, "Fascist Ecology: The "Green Wing" of the Nazi Party and its Historical Antecedents." Institute for Social Ecology. 1995 <http://www.spunk.org/texts/places/germany/sp001630/peter.html>
[3] As quoted in Janet Biehl. "'Ecology' and the Modernization of Fascism in the German Ultra-Right." Institute for Social Ecology. 1996 <http://www.spunk.org/texts/places/germany/sp001630/janet.html>
[4] Biehl 35.

[5] Roger Niedenführ, "New Age: Die spirituelle Rehabilitierung der Nationalsozialisten durch Rudolf Bahro, Rainer Langhans und J. Kirchoff," in *In bester Gesellschaft: Antifa-Recherche zwischen Konservatismus und Neo-faschismus*, Raimund Hethey and Peter Kratz, eds. Göttingen: Verlag die Werkstatt, 1991: 141ff.
[6] Rudolf Bahro, "Die deutschen Linken und die nationale Frage oder unsere Ölinteressen am Golf," *Streitschrift 3* 1990: 4-7. <http://nuance.dhs.org/lbo-talk/0003/1541.html>
[7] Jutta Ditfurth, *Feuer in die Herzen: Plädoyer für eine Ökologische Linke Opposition*. Hamburg: Carlsen Verlag, 1992. 13 ff.
[8] Bramwell 200 ff.
[9] Staudenmaier 14.
[10] Staudenmaier 18.
[11] As quoted in Staudenmaier 8
[12] Ludwig Klages. "Man and Earth." <http://www.revilo-oliver.com/Writers/Klages/Man_and_Earth.html>
[13] As quoted in Bramwell, 40.
[14] Biehl 12
[15] Bramwell, 205.
[16] Peter Staudenmaier and Peter Zegers, "Anthroposophy and its Defenders." The Humanist 2001 < http://www.stelling.nl/simpos/anthroposophy_criticism.htm>
[17] Waage, Peter Norman. "Humanism and Polemical Populism." The Humanist 2000 <http://www.uncletaz.com/waage/waagenglish1.html>
[18] Social Ecology's charge that Deep Ecology is another term for Eco-Fascism is vehemently disputed in David Orton, "Ecofacism: What is it?" *Green Web Bulletin #68* 2002 <http://home.ca.inter.net/~greenweb/Ecofascism .html>
[19] Ewen MacLachlan **"**Nature's Turn to Trample Over Us." Camden New Journal. 2003 < http://www.camdennewjournal.co.uk/archive/r240703_5.htm>

The Rhetoric of Hatred: Spanish denigration of outsiders and perceived homosexuals during the late Medieval and Early Modern periods

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Spaniards have been known for being stereotypically xenophobic and homophobic. Insofar as this is true, it can be explained historically—and the two tendencies linked. Spanish religious orthodoxy led to a certain level of suspicion of non-Catholics for many centuries, and Spanish distaste for Muslims in Spain can be attributed in part to the male-male sex practiced in Islamic society in Spain. The two phobias came together as Spanish conquerors exhibited a marked distaste for the sodomy they perceived among their subjects in the Americas and in the Philippines.

In practice, many Spanish men did (and do) engage in same-sex sexual behaviors, but their identity and reputation are not compromised if they do not serve as the passive partner in intercourse. On the other hand, they heap derision on those they perceive to be effeminate or homosexual. And they found many such people to insult in Islamic Spain, in their colonies, and other places they found themselves, such as China.

This paper will examine the insults meted out to and about Islamic sodomites in Spain itself, against the *berdaches* and other effeminates in the Americas, the Chinese who were blamed for introducing sodomy into the Philippines and the Philippine effeminates. Contextual information will be provided by a discussion of Spanish superiority and xenophobia.

What Causes Bad Interpretations?

Philosophy
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What Causes Bad Interpretations?

In the *Idea of a Social Science* Peter Winch argues that the explanation of human behavior must--to resurrect an old distinction--address the content of the behavior, rather than its mere form. In the modern debate this translates into the question of the appropriateness of meaningful interpretations over causal generalizations in the social sciences. In arguing for this position Winch repeatedly states that the adequacy of research in the social sciences depends not only on its understanding and acceptance by researchrs, but also that the concepts in which the research results are cast be grasped by the subjects of the research.[1] While this approach may have positive ethical consequences like the avoidance of paternalism, a greater autonomy over our actions and the democratic construction of the social world, Alasdair MacIntyre has argued that it does so at the expense of concepts like ideology and false consciousness. His point seems to be that if we forsake the causal explanation of behavior, and democratize our interpretations, we loose the ability to articulate situations in which agents act and yet do so without the correct explanation of why they do so. In other words, we loose the ability to say that a self-interpretation is wrong and why it is wrong.

In what follows I want to take a closer look at this issue of interpretation for although Winch denies the ultimate importance of causal validity, he nevertheless accepts that an interpretation can be wrong. My question then is what are the criteria for incorrect interpretations? Is it a causal criterion as MacIntyre claims or can we salvage some other criterion from Winch's analysis? In the course of answering these questions I

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[1] Peter Winch, *The Idea of a Social Science and its Relation to Philosophy* (Humanities Press: London, 1958), pp. 46-48 and also "Idea of Social Science" in B.R. Wilson, *Rationality* (Blackwell: Oxford, 1970), pp. 4-6. Winch does not, however, say that such an explanation must be accepted by those whom it is

will first examine Winch's arguments and suggest that, at times, he could be clearer, and at other times he overstates his position. Borrowing from Wittgenstein I will apply some interpretive work to these arguments and re-examine MacIntyre in light of this.

I

Winch's epistemology has an unmistakable Wittgensteinian gloss to it and without a thorough understanding of Wittgenstein's concern with rules and rule-following one will not get far in understanding Winch. Thus, I will begin my discussion of Winch with the concept of a rule and this discussion must begin, as Winch begins it, with a discussion of the relation between language and reality. How is it, Winch asks, that when I say, for instance, "This pen is pink" I mean this pen lying on my desk? One might answer that the meaning is a matter of definition: it comes from learning that this sort of object is a pink pen.[2] Thus, all objects *like this* are 'pink pens'. But one might grant this and still remain puzzled. Here the puzzle is over how we identify objects of the same kind; what are the criteria for "like this"? How do I identify this object as a pink pen being of the same kind as that which was defined for me, presumably some time in the past, when I was learning about colors and pens? For surely this pink pen on my desk is not the same in all respects to every other pink pen, for example, it's not a ballpoint pen and certainly some pink pens are also ballpoint pens. Put differently, the descriptive category 'pink pen' and 'ballpoint pen' do not carve up the world in the same way and yet a pink, ballpoint pen could have been used as the original pedagogical tool for learning both descriptions. How is it then that we correctly and consistently go on together in referring to and discriminating between pink and ballpoint pens?

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about. But he does come close to this; see *The Idea of a Social Science* p. 47 & 48.

The answer to this, according to Winch, is that objects count as "like this" only in a context. That is I learn how to apply a single word or phrase to a variety of objects or circumstances--I learn to use it correctly--when I recognize its appropriate context of use. We discriminate between pink and ballpoint pens when we realize the relevant characteristic in one case is color and in the other ink release, as well as what the counting as relation is in each case.[3] Wittgenstein, as does Winch, refers to this recognition of context as rule-following and the sense that attaches to "like this" in a particular context a rule.[4] Rule-following is nothing more than the ability to recognize and act according to a pattern, which is represented by the rule.

This analysis, however, may seem to do no more than add terminology to the original question: what are the criteria for making sense of "like this", in other words, what are the criteria for a rule? And, connected to this question, how do we recognize that others are following the same criteria? Notice that this latter question is really our original problem raised to a higher order. How we identify objects of the same kind and how we identify others following the same rules amounts to the same thing: a question over the meaning of sameness. This is one place where Winch is not as clear as he could be, sometimes writing as though the concept of rule-following clears up the problem,[5] and at others jumping from the problem of sameness in identifying objects to the seemingly separate issue of recognizing rule-followers without drawing our attention to

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[2]Ibid, pp 25-26

[3] What counts as pink or what counts as a ballpoint.

[4] Peter Winch, *The Idea of a Social Science and its elation to Philosophy* (Humanities Press: London, 1958), p. 27.

[5] See Peter Winch, "Idea of a Social Science" in B.R. Wilson, *Rationality* (Blackwell: Oxford, 1970), pp. 1-3.

their connection.[6] His vague treatment of this issue gives the appearance of passing the buck without ever answering the question. I will begin to address this issue with a question Winch does answer and then examine some of these further issues that his answer brings to light.

How do we recognize that someone is following a rule *at all*? As Winch recognizes, any behavior can fall under some pattern if we are willing to make the pattern complicated enough to accommodate it. But from the mere fact that a behavior constitutes *some* pattern we cannot infer that someone is following a *rule*.[7] Recall from earlier that rule-following is bound up with making certain actions intelligible, the example I gave was of certain utterances we make with respect to pens. "This pen is pink" *means* this pen on my desk, because there is a rule that constitutes a counting as relation whereby this pen is the same as other pens with respect to function and color. Put differently, this pen is part of a series of pens, all of which fall under the description 'pink pens'. I am following a rule when I participate in this color game, as opposed to constituting a rule ad hoc, because in principle others can learn to follow the same rule.[8] In fact, the reason why rule-following makes my utterances *intelligible* is simply because others can learn to follow the same rule; the only reason "This pen is pink" makes sense at all, and by this I mean that it intelligibly refers to the object on my desk, is because at least some other language users follow the same rule.

Thus the criteria for following a rule at all is the condition that at least more than one person is capable of following it; rule-following is an inherently social notion.[9] If the

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[6] See *This Idea of a Social Science* (Humanities Press: London, 1958), pp. 28-29.
[7] Ibid, p. 31.
[8] Ibid, p. 30.
[9] Ibid.

recognition of a rule-follower requires public access to that rule, then how is that access acquired and how do we know when it has been acquired? In other words, how do we learn to follow rules and how do we recognize when ourselves and others are following the *same* rule? The standard Wittgensteinian answer to the first question is that we learn to follow rules through similar training. The standard answer to the second question is that we recognize that we or others are following the same rule(s) when we or they unproblematically 'go on together'. Both of these answers need further clarification.

Learning to follow a rule is essentially learning the art of self-expression in various contexts. It requires that we comprehend the logic of a particular activity like naming colors and pen types, such that we can continue on in that activity without constant definitional assistance. The question, however, is *how* we learn to do this? Good Wittgensteinians answer by providing a host of examples which illustrate people learning to follow rules in all sorts of contexts from the continuation of a number series to learning to read.[10] This learning usually consists in observing a practiced rule-follower, copying what she does and then, under supervision, applying what has been learned in unfamiliar contexts. The ultimate test of competence eventually comes in the form of an exam or practical, which tests the application of our newly acquired technique.[11]

When these sorts of examples are exhausted our Wittgensteinians will fall silent, believing themselves to have answered how we learn to follow rules. But their detractors respond that they have not answered the question. These stories they say, do not explain

[10] Ludwig Wittgenstein, *Philosophical Investigations*, trans G.E.M Anscombe (Blackwell: Oxford, 1997), pp. 59e-62e, paragraphs 151-156.
[11] Ludwig Wittgenstein, *Remarks on the Foundations of Mathematics*, ed G.H. Von Wright, R. Rhees, G.E.M. Anscombe, trans G.E.M. Anscombe (MIT Press: Cambridge, 1996), pp. 303-304, part VI section

how we learn, they simply reinforce *that* we learn. The detractors want to know the *mechanism or formula* by which we are able to go on from familiar examples defined by our instructors, to new cases never before encountered. For them there is an inferential gap, a leap of understanding, that the examples leave unaddressed. They want an explanation that goes beyond the *description* of rule-following, an explanation cast in terms external to the concept of rule-following. Essentially they want an explanation of a rule's counting as relation that does not seem to presuppose this relation.

But the Wittgensteinian silence and their prolific use of examples are significant. In many places Wittgenstein intimates that at some point explanations come to an end.[12] He also says that the word "knows" is closely related to "can" and "is able to" as in the mastery of a technique.[13] I want to suggest, as Winch does, that explanations must come to an end when our knowledge manifests as the ability to do something; in the description of rule-following.[14] In other words, in 'to go on together' or 'to follow the same rule', and the criteria for this is nothing more than the ability to communicate meaningful sentences that lead to mutual action.[15] I also want to suggest, as Winch does not, that the request for a mechanistic explanation or formula intimates a misunderstanding of the

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[12]Ibid, pp. 306-307, part VI section 5. I interpret this section as meaning that explanations come to an end although this is not where he explicitly states it. See also Ludwig Wittgenstein, *On Certainty,* ed. G.E.M. Anscombe & G.H. von Wright, trans. Denis Paul & G.E.M. Anscombe (Blackwell: Oxford, 2001), p. 8e, no 46.

[13] Ludwig Wittgenstein, *Philosophical Investigations*, trans G.E.M. Anscombe (Blackwell: Oxford, 1997), pp. 59e, paragraph 150

[14] Peter Winch, *The Idea of a Social Science and its Relation to Philosophy* (Humanities Press: London, 1958), p. 57.

[15] Strictly speaking whether or not someone follows "the same rule" is always an open question because as Kripke's famous example illustrates we could come to an impasse even after a hundred or so agreements in a series. In fact if we extend rule-following to ethics I think it is rare that we follow identical rules of conduct, hence human relationships are often fraught with tension. Nonetheless, insofar as we do unproblematically go on together we can be said to be following the same rule. Someone asks for a pink pen. I say "This is a pink pen". They pick it up. We are following the same rule. To ask for more than this when speaking of 'the same rule' is, I think, to misunderstand the social nature of rules.

nature of a rule and it's relation to rule-following. For such a request seems to imply that rules are things complete and independent from rule-followers--things that the formula could in fact articulate. Contrary to this I want to argue qua Wittgenstein that rules are contingent and indeterminate 'things' which only exist to the extent that they are "followed", but where "following" also at the same time means creating.

What I want to emphasize in this brief discussion of rules is that besides being public they are also socially constructed. Thus, rules are social, not only in that they must be public--in principle possible for others to learn--but also in that they are socially constructed and reconstructed through their use. What I want to get across is that the users of rules are in fact the authors of those rules and yet these rules themselves in turn act as standards that constrain the intelligible actions of the users. When we think about Wittgensteinian examples of learning, or of our own experiences of communication, it is natural to interpret these experiences as instances of discovery, and indeed we have discovered something: we have 'discovered' how to use a word and by that token we have 'discovered' its use.[16] But it would be wrong to infer from this that the rule exists complete and independent from those who use it. We can see this when we concentrate on the seemingly mysterious aspect of rule-following: the jump from an application in a familiar context to the application in an unfamiliar one.

Rules are constantly used in unfamiliar contexts and the ability to do so constitute their value. When this happens decisions need to be made as to whether the rule's sense of same applies or not. Take the example of a new concept. Crayola is always trying to develop new colors and when fuchsia came out language users had to 'decide' whether or

[16] Ibid, p. 10e, no. 64.

not it counted as pink or red. This was not something determined by vote or by scientific method--*is* it pink?--but through use. It seems now as though fuchsia is in fact pink and this has changed what pink *means* because now pink refers to a wider spectrum of deeper hues than it would have done if we had decided to call fuchsia red. But nothing about 'pink' pre-fuchsia made it necessary that fuchsia was interpreted as being pink. This I claim exemplifies the indeterminacy of rules. We did not know, and in fact had no way of knowing, whether or not fuchsia was in fact pink until we traced its use.[17] Let's look at another example, one that illustrates the contingent aspect of rules: that of 'being young'. About fifty years ago 'being young' ended at around 30 years of age or younger. Now 'being young' extends to at least the late 30's or even older. Once again, this change is discovered by tracing the use of the concept. Here we have not made a decision about how to categorize a new concept like fuchsia, but rather we directly altered the rule itself. This changes the counting as relation; it changes what something *is*.

Rules have the feeling of existing completed and independent because we must follow them to make our actions intelligible, and making our actions intelligible is how we communicate our wishes and desires. Learning to follow a variety of different rules increases our ability to communicate. Thus, rule-following is of utmost practical importance and what we must learn to be made understood is often more obvious than how we participate in perpetuating the rules that constrain us. But participate we do, as we unproblematically name colored pens, order dinner in a restaurant and debate the

[17] This bears on the same point Winch makes about prediction in the social sciences: we have no way of knowing beforehand how social rules will be interpreted in new contexts and because new contexts occur constantly, prediction in the social sciences is unreliable. It is for Winch, the very fact of this unpredictability that makes a decision a *decision*.

justice of affirmative action and gay rights. Sometimes our participation reinforces established rules, sometimes it challenges them and sometimes it aims to establish them.[18] But it is this participation that creates the rules; creates what sense "like this" has.[19]

It is this double standard in which only through participation do rules exist and yet only through rules does our participation make any sense that makes it impossible to provide an explanation of sameness that transcends rule-following. If your reaction to this account is to desire still some further meta-rule that establishes the pattern or formula of these mere human rules, then you are asking for something that Wittgenstein and Winch tell us we cannot have--a sense of "like this" that transcends any human activity, and since our language is just such an activity, transcends language as well.[20]

II

One consequence of the social nature of meaning is that there is no "brute" data, no concepts outside of rules and rule-following with which we can explain or describe reality. As Winch writes, when we discuss language philosophically--in terms of rules--we are discussing *what counts as belonging to the world*.[21] Thus, as Wittgenstein taught us there is no easy distinction between the world and language. What this means for our purposes is that there are no concepts above and beyond a language-game: to use concepts like meaning and language, or cause and effect is already to presuppose most of

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[18] Jeremy Wisnewski, "Remarks on Autonomy in a Wittgensteinian Key" in *The Journal of Philosophy*, Nov 2002.
[19] Ludwig Wittgenstein, *Remarks on the Foundations of Mathematics*, ed. G.H. Von Wright, R. Rhees, G.E.M. Anscombe, trans. G.E.M. Anscombe (MIT Press: Cambridge, 1996), p. 263, part V section 6.
[20] Alternatively, you could attempt to give a different account of reference.
[21] Peter Winch, "The Idea of a Social Science", in B.R. Wilson, *Rationality* (Blackwell: Oxford, 1970), p. 15. His italics.

the generalizations that we make about behavior.[22] This is not to suggest that rocks, broken windows and the like are not *real*. But it is to suggest that 'reality' only makes sense in the social context of rules and rule-following, and that, like rules, 'reality' is indeterminate and contingent.

On this picture different language games represent different attempts at making sense of various phenomena, and each such attempt is inherently social. If we follow Winch and think of philosophy as the study of the relationship between humans and reality, then we can see how philosophy becomes primarily the study of social relations between individuals or forms of life.[23] It is this characterization of philosophy that allows him to say that sociology belongs, not to science, but philosophy and specifically epistemology.[24] If this is the case, than we can also see why he argues that while the language-game of scientists might profitably discuss natural phenomena in terms of cause and effects, their success in this domain is no reason to think that social phenomena warrants the same treatment. For sociology/epistemology is concerned with the conditions for the possibility of language-games, whereas natural scientists comprise one genre of language-games and focus on furthering the vocabulary of that one game.

In his paper on "The Idea of a Social Science" Winch juxtaposes the activities of the natural and social scientist to draw out this distinction. The natural scientist identifies regularities in the phenomena she studies and this is possible only in the social context that recognizes the rule to which the regularity belongs. Thus the natural scientist progresses in virtue both of her observations *and* the scientific community who constitute

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[22] Ibid, p. 17.
[23] Peter Winch, *The Idea of a Social Science and its Relation to Philosophy* (Humanities Press: London, 1958), p. 40. By "forms of life" I mean a community of language users bound by similar rules.
[24] Ibid, p. 43.

the meaning of those observations. Here the phenomena studied are indifferent to how they are classified. But in the social sciences the phenomena that the scientist observes are themselves social contexts already replete with their own rules and rule-followers. It is here, in social research, that two language games meet: that of social scientists and that of the study subjects. For Winch it is the job of the social researcher to learn the conditions for the possibility of the language-game under study—its rules—before applying an interpretation or generalization to it, whereas the natural scientist need only to continue exploring the ramifications of her own system.

Here we see what Winch takes to be the consequences of the lack of brute data in rule-following. The social scientist cannot just begin with observations merely from the perspective of a scientist: to do so would be to ignore the integrity of the social phenomena. Moreover, doing so intimates a lack of reflexive understanding: the realization that the empiricist context is as much a social practice as the one under examination. Rather, the social scientist must learn the 'language' of her subjects and only in so doing does she learn to identify the social practice correctly. Only when she can do so, is it possible for her to bring new and unfamiliar concepts to bear on her investigation. The idea is that only once she understands what, say berdache *is* in Native American culture can she properly identify and apply external concepts like, maybe transgender modality.

Winch is very clear that any correct explanation or interpretation of behavior must be given in terms which the subjects of the explanation can grasp. For example, the reason I ate a *load* of chocolate cannot be because it is Easter unless I grasp the concept of Easter. To put this a bit more dramatically, the reason a baby is crying cannot be

because she is hungry simply because a baby cannot grasp this concept—she is not yet a competent rule-follower. We may, and do impute this idea on the baby, the baby may stop crying once she's fed, and surely Winch would agree that by talking of and to the child *as if* she were hungry is how she indeed becomes, one day, to be hungry. Nonetheless, at the time this is not a proper explanation.

I think there is something right and something wrong with this construal of explanation. I will begin with what I think is correct. Wittgenstein's notion of rules and rule-following is socially significant. It brings to light the conditions for the possibility of any social activity, thus exposing the limits of empiricism and requiring us to justify its forays into various disciplines beyond the dogmatic assumptions one typically finds.[25] That this move is socially liberating is clear. Not only does it open up social science to more than cause and effect relations, but it allows for negotiation in the context of alternative interpretations: it gives a voice to those who it attempts to explain. With similar advances in areas as 'serious' as outcome measures in clinical research and informed consent, such a philosophical foundation is not a mere thought experiment. Nonetheless, Winch overstates his position.

Rules necessarily constrain us: for a rule to be a rule there has to be a way to go wrong when following it. Rules are logically tied to mistakes, just as they are so tied to publicity. It is possible to make a mistake because it is possible to be corrected by another rule-follower. The point, which Winch is quick to make, is that there are criteria independent of an individual's will that check her judgment.[26] This constraint means that majority opinion weighs heavily on what we can meaningfully say and do. Suppose I

[25] So many examples, so little time. See any article by Hemple for an example of dogmatism.

argue with my partner all night over whether his behavior was offensive and what counts as a good reason for an apology. Over the course of time, the disagreement is settled not by him and me alone, but through interaction with others in similar situations, and their reaction to our narrative. Through this particular experience, I have come to realize that the things for which you can be sorry in Britain and Ireland are different from those in the U.S.: the scope is narrower in the former than the latter.

This difference is significant because, as Winch also notes, our social relations are expressions of reality.[27] When I find John's lack of apology offensive, then I see him as a rude person and adjust my interaction with him accordingly. This example is meant to illustrate not only that we can be wrong about why we do things—I ignored John the rest of the night because he was rude—but also that we may not recognize the 'real' explanation of our behavior—I ignored him because I overreacted. It does not matter if I grasp the concept of "overreacted" or that in a different context this would not be the 'real' explanation. It is not merely *my* will that decides why I did something. What I do and why I do it is a *social* decision. This is directly tied to the social nature of rules; my actions are intelligible because they occur in a context where others can interpret them.

When Winch writes that an explanation is contingent on the subject's grasping the concepts in which it is cast, he attributes more autonomy to the individual than his Wittgensteinian foundation allows. If Winch is serious that social relations are expressions of reality and reality is negotiated in our participation in social activities, than who we are and what we do is circumscribed around the rules that dominate the

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[26] Peter Winch, *The Idea of a Social Science and its Relation to Philosophy* (Humanities Press: London, 1970), p. 39. This does not mean, of course, that there are criteria independent of everyone's will.
[27] Ibid, p. 23.

particular contexts in which we live. We are not radically autonomous.[28]

III

When writing on Weber, Winch readily agrees that just because an interpretation of behavior rationalizes that behavior it may not necessarily follow that this interpretation is the correct one. But he disagrees with Weber that the criteria for acceptance of an interpretation require a collection of statistics to prove its causal validity.[29] His reasons for this should be clear from the preceding discussion: universal generalizations are part and parcel of a self-sustaining language-game. There is no reason to suppose that its application to another language-game, even after a certain amount of interpretation is completed, should illicit the truth of that interpretation. As Winch writes, the interpretation of a tribe's magical rites as misplaced scientific activity will not be corrected by statistics of what members do on different occasions.[30] His point seems to be that whether or not an interpretation is compatible with some set of statistics this does not prove its validity or invalidity—at best it says that certain generalizations are or are not present in the interpretation. In this case we are still left with the job of arguing why this interpretation is the right or wrong one.

Winch urges that what we need is not a separate method to check our interpretations, but rather *better* interpretations or a philosophical argument.[31] This recommendation is a bit mysterious for we are left asking, "what is a poor interpretation?" and "what constitutes a better one?" Winch does not do much to unravel

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[28] Thus, one of the dangers of rampant empiricism and other ideologies is that it limits how we can understand ourselves and others.
[29] Peter Winch, "The Idea of a Social Science" in B.R. Wilson, *Rationality* (Blackwell: Oxford, 1970), p. 7.
[30] Ibid.

[31] Ibid.

the mystery; instead he quotes Wittgenstein and provides an analogy,

> When we get into philosophical difficulties over the use of some of the concepts of our language we are like savages confronted with something from an alien culture. I am simply indicating a corollary of this: that sociologists who misinterpret an alien culture are like philosophers getting into difficulties over the use of their own concepts.[32]

MacIntyre takes this passage to be the central tenant of Winch's thesis and also the one with which he takes issue. Thus it is important to be clear on what it means and I offer the following interpretation. Philosophers get into trouble over the use of concepts like 'knowledge' when they do what philosophers tend to do: take the concept out of context and then ask what it means. When this happens they are like savages confronted with an alien culture because like the alien culture the concept suddenly appears foreign and unfamiliar—it is difficult to know what to make of such a lonely concept. For instance, how do you answer questions like, "How do you *know* you know?"? The point here is that philosophers get into this difficulty because they fail to recognize, or forget the importance of use and as we saw earlier it is in a concept's use that we discover its meaning.

Sociologists become like philosophers when they disregard the internal logic of their subjects. But how does this bear on better and worse interpretations? If I am right, sociologists misinterpret when they disregard the counting as relations—the rules—among the culture of interest. "Misinterpret" I take to be used here as synonymous with lack of understanding, which for Winch means the inability to grasp the point or meaning

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[32] Ibid, p.8.

of what is being said or done.[33] I want to suggest that for Winch, an incorrect interpretation is one that would disallow assimilation into the practice; likewise a correct interpretation is born out to the extent that one could, from this starting point, learn to 'go on' with the participants. I offer this suggestion because it seems to follow from his discussion of rule-following: taking account of a culture's rules is not a matter of articulating an observation, but one of potential participation in an activity. Interpretations that go beyond the concepts of a particular activity must still render it meaningful to its members even if the new interpretation alters the activity.

IV

Recall Winch's asymmetric distinction between research in the social sciences and explanation in the natural sciences. For MacIntyre this distinction rests on a contrast between explanation in terms of reasons and explanation in terms of causes.[34] He provides three examples that attempt to blur Winch's contrast and show cases where we act for a reason, but where this reason is not the cause. His question is that given people are often wrong about why they do what they do, how do we distinguish reasons that motivate action, and false consciousness. I will briefly illustrate two of his examples.

In the first case we have two agents both of whom have the same reasons for performing x. One performs it and the other does not. Neither of them had what seemed to her a good reason for not performing it. The question MacIntyre asks is what reasons or a sub-set of reasons were productive of action in one case and not the other? The second example concerns a woman who is subject to post-hypnotic suggestion. On cue

[33] Ibid, p. 9.
[34] Alastair MacIntyre, "The Idea of Social Science" in B.R. Wilson, *Rationality* (Blackwell: Oxford, 1970), p. 116.

she performs the exercise given to her when under hypnosis. When asked why she, say, spilled the ink bottle, she provides good reasons such as it was in my way or it was an accident, and she does this completely unaware of the true cause of her action.

If we accept, as MacIntyre does in this paper, that reasons can be causes, then to ask whether it was an agent's reason that roused her to act is to ask a causal question.[35] Causal questions depend on established universal generalizations and so interpretations of behavior depend for their truth on the same type of investigation as the natural sciences perform—Weber is, to an extent, vindicated. With respect to Winch, MacIntyre writes that if his examples are compelling and we want to distinguish between the citing of reasons or rules by the agent that *are* causally effective and those that *are not*, then we can also distinguish between rules agents profess to follow, but which do not in fact direct their actions, and rules that, whether they are followed or not, do guide actions by providing reasons and motives for action.[36]

It is clear that whether we accept MacIntyre or Winch's conception of social research we need to be able to make sense of familiar cases where the agent is clearly wrong about her actual motivation. MacIntyre claims that unless we invoke causes we cannot do this. I now want to respond to his claim in light of the previous discussion of Winch. Let me begin with his first example. In this case we want to know why one person performed x and the other did not. MacIntyre suggests that the only way to do this is to identify the causal reason(s).

In this first example MacIntyre says that the agents have the same reasons to perform x. But does it make sense to talk of agents having the same reasons? Here is an

[35] Ibid, p. 117.

example. Two people sub-let flats on a short-term lease. Shortly after moving in they realize they have been equally duped in various ways. Both individuals are women of similar age and financial status. Neither can be said to have a good reason for letting the issue go. Here we might be tempted to say that they both have the same reasons for confronting the person responsible. Surprisingly, one makes the call and the other remains silent. Although both women seem to have the same reasons—financial loss, insecurity, self-righteous anger--if we look closely, this supposition is just superficial. Naming reasons for and against some action x is not enough to ascertain "sameness"; the superficially same reasons will necessarily have different meanings for different agents. Each woman may recognize that she has good reasons for calling Guy, but for one being abused as she has been in this way is a major affront to her character; it means she is not respected, that she is gullible. She confronts him because not to do so would be to be someone else. The other woman sees the deception as par for the course, it is just one more nail in the coffin; the guy is obviously a jerk, but to confront him with it would be to take herself too seriously and that's not who she is.

The distinction in this example, between confronting him and letting it pass need not cut at causes. The example of the two women I gave is strikingly similar to the notion of a role, where MacIntyre writes, the causal question does not arise.[37] These two women are acting out the roles they perceive themselves to have, or rather the sorts of people they see themselves as being. Their behavior is governed by the rules of their identities.[38] "We do not say that the rules or norms of certain roles constrain the

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[36] Ibid, p. 118.

[37] Ibid, pp. 119-120.

[38] This is actually slightly more complicated than I am making out. There is a distinction to be made

individuals who conforms to them, rather", writes MacIntyre, "the observation of the rules constitute the behavior as what it is; it is not causal agency."[39] We may say that the woman's character is what caused her to initiate the confrontation, or *even* that she had reasons that caused her to act, but to take this to mean anything more than, "Leah called to deal with Guy" is to take language too seriously. When we talk in this context about 'causes' what we mean is something like the rules that Leah follows that make up the consistency of her identity.

I now want to turn to MacIntyre's second example. Here a woman gives a reason for her behavior which is clearly mistaken. It is MacIntyre's best example of an agent's prima facie authority and his strongest challenge to Winch's claims that rules, and not causes, ought to explain behavior. In this example, the agent's prima facie authority is, as I argued in section II, not a problem once we adjust Winch to fit his Wittgensteinian foundation. The real problem for Winch seems to be over MacIntyre's argument that how we know she is mistaken is a matter of causal generalizations. We determine the truth or falsity of her interpretation, MacIntyre says, based on certain counterfactuals, which are expressed as causal generalizations. It is these generalizations that determine whether we accept or reject the woman's reasons. For instance, if "she would not have spilled the ink bottle if she hadn't been reaching for the book" is true, and "she would have spilled the ink bottle even if she had not reached for the book" is false, then we

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perhaps between knowledge of how to do things and self-knowledge, but the general point holds. See Gadamer's discussion on Aristotle's distinction between techne and self-knowledge in *Truth and Method*, trans Joel Weinsheimer and Donald G. Marshall (Continuum: New York, 2003), pp. 317-322.

[39] Alastair MacIntyre, "The Idea of Social Science" in B.R. Wilson, *Rationality* (Blackwell: Oxford, 1970), p. 120.

reject her interpretation and accept the one citing hypnosis and vise versa.[40]

Putting aside the fact that collecting information on generalizations of this sort would be difficult and slightly ridiculous, I want to recall the discussion in section III about this Weberian method of determining a correct interpretation. Winch's point was not that causal generalizations cannot be helpful *at all*—in fact he writes that they may be *part* of one's argument—rather it is that they are not the deciding factor.[41] This comes from the Wittgensteinian thrust of Winch's thesis: causal generalizations do not stand outside of our social, linguistic practices; their presence does not necessarily represent truth. Winch writes that it is only in terms of a theory that we establish a connection between one moment and the next and it is only by learning that theory that one can grasp the connection.[42] I take him to be talking about causal connections and what is important is that causal generalizations can only tell us something *if* the interpretation or theory is a good one—it cannot tell us if it *is* a good one. That this is a question for the social sciences, unlike the natural sciences, comes again from Winch's Wittgensteinian foundation: the recognition that identification is a social phenomenon.

In the above example we are inclined to agree with MacIntyre that the woman's reasons are rationalizations and that the hypnosis caused her to spill the ink bottle. But notice how much we take for granted so that we can use the causal generalizations as our guide; we assume that hypnosis makes sense, that there is a reason to believe the woman may be wrong, that causes tell us something important…we assume that the raw interpretation of the situation is correct.[43] We are justified in that assumption, not

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[40] Ibid, p. 116.
[41] Peter Winch, "The Idea of a Social Science" in B.R. Wilson, *Rationality* (Blackwell: Oxford, 1970), p. 7
[42] Ibid, p. 16
[43] See Hans-Georg Gadamer, *Truth and Method*, trans Joel Weinsheimer and Donald G. Marshall

because we have discovered causal generalizations, but because we think they tell us something important in this context; because we can go on together with them. And, this is just the criteria that I suggested in section III that we attribute to Winch's thesis.

I want to conclude with a few remarks on ideology and false consciousness. MacIntyre says that these concepts are in conflict with Winch because they can find application in societies where they are not available and that these concepts can be used to judge their rationality.[44] Moreover, he claims that we can only talk of these concepts if we allow for the priority of reasons as causes. First, claims of ideology and false consciousness are generally interpretations of the rules of an activity: capitalism is slavery; the berdache is really a homosexual. They may, but they need not, cite causal generalizations, and if they do I would argue that they are of secondary importance. The main thing, as we have seen, is the theory or interpretation that supports them. Thus we do not need causal generalizations to account for false consciousness, rather we need something like intersubjective agreement for the interpretation that grounds the claim. Second, it is true that these interpretations generally express consequences of an activity which remain invisible to many of the participants. But as I argued in section II this conclusion contradicts Winch, but not his Wittgensteinian base. Furthermore, although interpretations of this kind can be illuminating, they are not created with a view from nowhere; the nature of rules is that we can always provide further interpretations. It is important not to misunderstand the "really" in "The berdache is really a homosexual" and the "false" in "false consciousness" as anything more than just another interpretation.

(Continuum: New York, 2003), p. 301 "…statistics ..are such excellent means of propaganda because they let the "facts" speak and hence simulate an objectivity that in reality depends on the legitimacy of the questions asked."

[44] Alastair MacIntyre, "The Idea of a Social Science" in B.R. Wilson, *Rationality* (Blackwell: Oxford,

Distinguishing between rationalizing reasons and reasons that motivate action is a matter of intersubjective interpretation.

Winch allows us to speak freely of bad interpretations and we do not have to invoke traditional causal talk to do so. The price of this Wittgensteinian foundation is a final interpretation; a confrontation with the truth. In its place we find constant negotiation, for the social scientist must first negotiate her way into a culture and then also negotiate her own concepts into the logic of the rules she discovers. The indeterminate and contingent nature of rules means that new interpretations of them can, with enough intersubjective agreement, change them. Thus, the Winchian answer to the question the title of this paper raises, "What causes bad interpretations?" is that *we* do, not individually and not the entire population at once, but in piecemeal fashion as we participate in the daily activity of going on together.

1970), p.118.

Title: Material Humanity: The Effect of Pain in H. G. Wells's *The Island of Dr. Moreau* and Gerard Manley Hopkins's Sonnets

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Material Humanity: The Effect of Pain in H. G. Wells's *The Island of Dr. Moreau* and Gerard Manley Hopkins's Sonnets

While the concerns of Gerard Manley Hopkins's religious sonnets seem a world away from those of H. G. Wells's nightmarish science fiction novel *The Island of Dr. Moreau*, they are connected by a repeated and contradictory insistence on pain (whether physical, psychological, or emotional) as a marker of both the human and the non-human. In analyzing these two authors' texts in connection to each other, I argue that pain acts as a transcendent force that both connects and separates the human and the non-human, a force that simultaneously, and paradoxically, insists on and denies the non-material or spiritual essence of humanity. My paper suggests that this paradox stems from contemporary scientific debates concerning the connections and divisions between, on one hand, bodily and sensory experience and existence and, on the other, psychological, moral, and emotional experience and existence, and I argue that the means both authors employ of presenting the experience of anguish textually – through detailed representations of bodily pain, even in the case of Hopkins's spiritual and psychological distress – effectively erases the line each explicitly attempts to draw between the material and the non-material. My paper concludes by examining some consequences of such a conception of the human as fundamentally material and embodied.

Structural Honesty

Abstract of on-going inner-disciplinary research.

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The antagonistic relationship of Architecture and Engineering is both long-standing and interwoven. These professions have played a crucial role in the development of the modern world, contributing to the dramatic richness of inquiry and influence into the constructed artifacts of cultural progression. Yet, the perception of each profession's contribution to this lineage is one of mutual distrust. Both Architecture and Engineering seem unwilling to acknowledge influence or interaction of the opposing view within their own design process, content to dispute, and hesitant to relinquish control. This behavior, more akin to feuding siblings than critical partners, has incurred an environment that concentrates on confined obligation and isolation – a condition of collaboration as an industry hazard rather than an opportunity of innovation and growth. This is most tangible in buildings when looking to the relationship of structure and form. It takes little effort to find conflict when considering the necessary evils of physical structure within the tectonic means of exploring space. Equally, formal operations often occur without concern for structural implications or its possible influence on the spaces to be created. While this relationship seems to suggest an unending cycle of coordinated acceptance of these necessary evils, there are also other moments that occur within the design world that more clearly exhibit the possibility of structural honesty; a tectonic expression that simultaneously confronts engineers' necessity of efficiency and economy with the poetic intentions and complexities of the architect.

Speaking as a designer trained in both fields, it has become infinitely clear to me that the rift between the professions isn't as simple as an impulsive turf war, but is rooted much more deeply into the philosophical underpinnings of each field of study. Architecture, which likes to perceive itself as the last bastion of

renaissance thought, has maintained an opinion of Engineering as the profession of technicians; a seemingly infinite pool of rational pragmatists capable of formatting and typesetting the poetic linguistics of the architect's spatial and formal discourse. Engineering, on the other hand, views Architecture as a rather profane and self-indulgent profession; a collection of insatiable egotists who favor formal excess and expense to complete their spatial overture, neglecting the concerns of efficiency, economy, and functionality that dictate so much of the built world. Both of these postures exhibit the stereotypical perception of the other in a rather unfortunate, objectified manner that does little to establish dialogue or debate, instead perpetuating an ideologically stubborn discourse of confrontation and finger pointing. This is not to say that either position is without merit. Some of the accusations and occurrences that have forged these stereotypical perceptions are immediate, tangible, and absolute. The reflections conjured by Howard Roark are accurate, revealing the paradox of humility and ego that elevates the formal and theoretical aspects of architectural process that often subordinates issues of functionality and efficiency as troublesome technicalities. Equally, the relative anonymity of engineers within the built world suggests an accepted release from the design process, almost to the extremes of an intellectual complacency with the subordinated problem-solving of purely technical aspects of the architect's authored work. While each position does contain merit, each is equally confined by its own ideological boundaries.

These boundaries, however, are not all consuming with regard to collaborations, or to the constructed product as a means of revealing the intentions of each discipline. Instead, these boundaries offer the direction towards understanding the manner and influence of each discipline towards the spatial questions at hand and their means of resolution - in other words, the possibility for each field to find its own voice within the influences of both space and structure.

The on-going research into this notion of structural honesty has evolved from an initial appreciation for structural expression, or the capacity of form to reveal the transfer of forces. While compelling and loaded with potential, this notion of structure and space limits the explorations primarily to engineered spatial objects such as bridges, towers, and viaducts. In order to compound the study and explore the spatial implications of structure with greater emphasis, architectural moments have been included to the research. This addition not only expands the body of precedent work and formal critique, but also elevates the discussion to include

meaning, intention and aesthetic resolve to the equation of structure and force. It is at this level of discussion that the formal intention and realization can be explored without neglect to both the engineer and architect's insight and which may lead towards a more fruitful understanding of poetic sensibilities of structure and space – that is to say, a more comprehensive refinement of the notion of structural honesty.

Changes In Perceptions of the Needs and Sophistication of the Child Audience In American Children's Theatre: From Protected Innocent To Conscious Participant In A Harsh Reality

A Research Paper in Children's Theatre
by Maureen McIntyre and Lane Riosley

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ABSTRACT

Changes In Perceptions of the Needs and Sophistication of the Child Audience In American Children's Theatre: From Protected Innocent To Conscious Participant In A Harsh Reality

A Research Paper in Children's Theatre
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Until the mid-twentieth century, American children's theatre primarily treated the child audience as protected innocents, providing plays that were designed to entertain and provide an obvious moral instruction. In the latter half of the twentieth century, children's theatre in America has evolved from viewing the child as protected innocent to recognition of the child as a conscious participant in a sometimes-harsh reality as playwrights have written more complex plays with themes such as death in the family, social strife, issues of diversity and realistic social and historical issues.

Changes In Perceptions of the Needs and Sophistication of the Child Audience In American Children's Theatre: From Protected Innocent To Conscious Participant In A Harsh Reality

The History

In *Children And Dramatics*, the modern authority, Richard Crosscup, says "It is, of course, the role of adults to establish where they can the forms of activity in which children will engage, and to provide as best they can, a content for such activities which is potentially rich in meanings and to guide the activity in such ways that the meanings unfold for the child and become his meanings."[1] Learning to heed these words has been an important unfolding process in American children's theatre.

Until the mid-twentieth century, American children's theatre has primarily treated the child audience as a protected innocent. For example, the critic of the *New York Herald* commenting on a 1936 production of *The Emperor's New Clothes* said that the play finished with "a proper moral, which every good fairy tale should have."[2] On the other hand, great leaders in the field were demanding more for the child. Winifred Ward declared in the program notes for a 1940 production of *Marco Polo*, "The reasons for our children's theatre are obvious; first and foremost is the joy of our children. We do not care to provide bare amusement, nor do we want our plays to mean escape from reality. What we do care about is that they shall help to make life richer, more delightful; set true standards in artistic and human values and help in the formation of a discriminating taste in recreation."[3] Yet, playwrights were slow to accept the idea that children's theatre could be more than fantasy entertainment with a little moral tacked on.

Historically, the adult playwright has always determined what is appropriate for a child to see, hear, and respond to in theatre. However changes in the environment of the child's world caused by social, philosophical, political, scientific and religious trends and events have caused ongoing changes in the perception of how much harsh reality the child audience member should be required to face, how many difficult facts and issues can the child stomach and process, and whether the process of guiding a child to productive enlightenment might actually be an abandonment of the historical and possibly necessary need to protect the child from difficult truths. Should the children's theatre deal in reality or only in playful, safe, fantasy entertainment, or is a balance between fantasy and real life issues, the better offering for children?

In *Play, Drama and Thought,* Richard Courtney points out that as far back as the 4th century, children were considered to need protection in education and life. "Plato considered that education must be based upon play and not upon compulsion, …children from their earliest years must take part in all the more lawful forms of play for if they are not surrounded by such an atmosphere they can never grow up to be well educated and virtuous citizens… Shall we begin then with the acknowledgment that education is first given through Apollo and the muses… (for) he who is well educated will be able to sing

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[1] Richard Crosscup, *Children and Dramatics*, (Scribner, 1966), 7.
[2] Roger L Bedard and C. John Tolch, *Spotlight On The Child : Studies In The History Of American Children's Theatre*, (Greenwood Press, 1989), 106.
[3] Roger L Bedard and C. John Tolch, *Spotlight On The Child : Studies In The History Of American Children's Theatre*, (Greenwood Press, 1989), 124.

and dance well."[4] Then from this statement, perhaps one can deduce that primarily playful theatrics would be approved for the child in Plato's estimation.

The idea that adults should protect the child from harsh truths and guide the advantaged child through involvement in playful fantasy persisted for centuries in a world that routinely abused and used its disadvantaged children in workhouses, factories and mines through its accepted and widespread use of child labor.

However, as early as 1966 Richard Crosscup had identified and was speaking to the issues that would dominate late 20th and early 21st century America: "in slums and ghettoes the world of young people, both their inner world and their outer world, is hurtful, intense, baffling, often turbulent; and lacking other forms of expression, they often express their hurt and bafflement and turbulence in dangerous and harmful ways. On the other hand children from sheltered homes in middle class communities often have a problem of a different kind. Their outer world is orderly enough but it lacks inward meaning. All too often these children find the schools arid, the camp programs silly, the community center pretentious, the home without values, the church or temples without passion, so that the inner life goes its own way, and by the time the child is thirteen or fourteen his inner life may be almost beyond adult influence."[5]

While Crosscup's vision of modern America may be overly pessimistic, there is enough truth in his statement to validate his conclusion that "the state of young people seems at the same time much better and much worse than it was a generation ago. Never before, it would sometimes seem, have so many young people been growing up with so much scope of understanding, with such active commitments and interests; with such clear values. And never before have so many been growing up so lost." This contradiction has given import and even urgency to the question of content in American children's dramaturgy today.

Michael Perry, editor of Encore Performance Publishing, a major source of plays for young audiences, concurs: "Our children are more sophisticated because of their environment - more sophisticated at an earlier age. We expose our children to more in the world as we try to engage them in a discussion so we can control, as a parent, what their views are, to guide and direct them. The child today looks on most fairy tales as something to be done away with by the time they are eight years old. The issue play is the big play now for children and youth."

Prior to the mid twentieth century the child as citizen of the society was not given much recognition, however, one can still find very early recognition of the child as audience in America. It is interesting that Charles Stearns began creating his plays (dialogues) for his young students in the late 18th century in spite of the lack of approval of play production by those in power in America. Only two decades earlier the Continental Congress passed a declaration to discourage "every species of extravagance and dissipation, especially all horse racing, and all kinds of gaming, cock-fighting, exhibition of shews, plays and other expensive diversions and entertainments."[6]

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[4] Richard Courtney, *Play, Drama and Thought: The Intellectual Background to Dramatic Education* (Simon & Pierre Pub Co Ltd, 1989), 9.
[5] Richard Crosscup, *Children and Dramatics*, (Scribner, 1966), 9.
[6] Roger L Bedard and C. John Tolch, *Spotlight On The Child : Studies In The History Of American Children's Theatre*, (Greenwood Press, 1989), 2.

Stearns' first play was written in 1792, and inspired later school teachers and social workers in settlement houses to explore similar kinds of plays in their work. There were both informal and formal dramatizations performed by adults for children in many different settings throughout America, which continued through the nineteenth century. By the 20th century playwrights were writing for professional producers interested in the commercial aspects of children's theatre.

During the twentieth century, a number of very important and influential people came into children's theatre. People of note such as George Pierce Baker at Harvard were training playwrights such as Charlotte B Chorpenning and Edith King and Dorothy Coit, the founders of the famous King-Coit Children's Theatre and School were mentored by him. Charlotte B Chorpenning, "from when she began writing, until the day she died with a play in the works in her typewriter (literally)... managed to double the mid-century repertoire for children's plays by herself."[7] The King-Coit School and Children's Theatre "existed in New York City from 1923 to 1959. Its unique teaching style used the arts, specifically plays, to immerse children in other cultures and time periods."[8] The Junior Service League developed a very strong tradition of backing and producing children's theatre starting in 1912 and in 1940-41 gave 1,679 performances to 592,814 children, and the Junior Service League largely set the tone for children's theatre.[9] Black children's theatre was influenced by activities at Karamu house in Cleveland, Ohio, which flourished from 1915 to 1975 and they had a very interesting list of offerings. During the depression of the 1930s the federal government subsidized children's theatre under the aegis of the WPA (Works Progress Administration). This was the Federal Theater Project, which produced not only adult theatre, but also theatre for child audiences and puppet shows. The goal of the Federal Theater Project was to "present theatre that was relevant—socially, politically, was regional—reflected its local area, (at) popular prices."[10] The Negro Repertory Company of the Seattle federal theatre project produced projects such as *Br'er Rabbit and the Tar Baby*, a children's show with an original score, for child audiences providing a venue for black culture and literature.[11]

Although the Junior Service League and the Federal Theatre Project and settlement houses had a strong influence on children's theatre, perhaps the strongest influence for many years was the work of Charlotte B. Chorpenning. According to Sara Spencer, who founded the Children's Theatre Press, which later became Anchorage Press Plays, Inc., "Mrs. Chorpenning's most noteworthy accomplishment has been the development of a nucleus of eminently successful plays, written by herself and her students, and tried out and perfected in the course of production at the Goodman Theatre. More than a third of the children's plays commonly presented in America today [1951] came from Mrs.

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[7] John Snowden-VanValin and Michael Cotter, Northwestern University, Children's Theatre Resource, 1996.
[8] King-Coit School & Children's Theatre Papers, Billy Rose Theatre Collection, The New York Public Library for the Performing Arts.
[9] Roger L Bedard and C. John Tolch, *Spotlight On The Child: Studies In The History Of American Children's Theatre*, (Greenwood Press, 1989), 43.
[10] Dr. Eric W. Trumbull, *The Federal Theater Project*, 2002.
[11] Paula Becker, *The Negro Repertory Company*, 2002.

Chorpennig's playwriting classes at the Goodman, and new playwrights regard a Chorpenning play as a model to learn from."[12] She began writing for children at the age of sixty, wrote and published twenty-six plays and collaborated on five others. Her plays were based largely on old fairy tales such as *The Three Bears* and *Cinderella* or simple historical plot lines such as *The Indian Captive* and *Lincoln's Secret Messenger.* She developed strong story lines with happy endings and long passages of dialogue best performed by older actors rather than children. Her messages were wholesome and predicated on simple, basic morals such as greed will cause grief as in her play *King Midas and The Golden Touch.*

During the early to mid twentieth century the children's theatre field also benefited from writers such as Winifred Ward, who worked with Charlotte Chorpenning and others, and continued to define the child as audience and to develop the child as a participant in creative drama, as well. Sara Spencer fostered the development of several generations of children's theatre playwrights including the prolific playwright Aurand Harris. Harris, who has published over 40 plays, has given us some of the most important children's plays of the twentieth century, many of which are representative of a change in the approach of the playwright's perspective of the child as audience. His wonderful writing has introduced controversial topics such as "his 'death show,' *The Arkansaw Bear*, which tells the story of a young girl coping with the loss of a family member,"[13] probably his most important and controversial issue play. This play led the way for playwrights to deal with many more themes for the child audience and it probably could not have been produced before 1970. Prior to that time many playwrights avoided difficult subjects for children and were particularly reluctant to address the subject of death. However, before 1970 there were still significant inroads by other playwrights attempting to find a theatrical way to address the important life issues facing children. According to Sara Spencer, "plays such as *Androcles and the Lion* and *The Ice Wolf* have "arisen, by natural processes, from the minds of authors who are looking at the children's world with a new kind of critical honesty and using the theatre to prepare children for hard truth."[14]

The Plays

It is important to recognize that the works and people referenced in this paper are a small sampling of the entire body of children's plays developed by progressive theatre artists from the eighteenth century to the present. These works and many others evidence a strong shift in perception of the child audience member from protected innocent in the eighteenth, nineteenth and early twentieth century, to an informed, conscious participant in a harsh reality, a shift that began to occur in the late fifties and has continued to develop and grow to the present time. Determining the causes for this shift is outside of the scope of this paper, but it is reasonable to assume that the rapid and pervasive growth of the media, especially television news coverage, has made it almost impossible to protect children from the harsh realities of the world, both witnessed and described. While it is speculation to assume that playwrights have responded to the emergence of the mass media with a shift in the topics they are willing to consider, the mass media in the late twentieth century is an influence that must be acknowledged.

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[12] Roger L Bedard and C. John Tolch, *Spotlight On The Child : Studies In The History Of American Children's Theatre*, (Greenwood Press, 1989), 94.

[13] John Snowden-VanValin and Michael Cotter, Northwestern University, *Children's Theatre Resource,* 1996.

[14] Roger L Bedard and C. John Tolch, *Spotlight On The Child : Studies In The History Of American Children's Theatre*, (Greenwood Press, 1989),153.

Creating a representative sampling of significant American children's plays published in the twentieth and twenty-first century should include both the milestone plays that first address previously unrecognized topics and individual plays which are representative of a group of similarly themed plays. For our purposes, only plays published by the three leading American children's' play publishing house are included although other published and unpublished children's plays would have been equally representative in many cases. The three publishing house sampled are Anchorage Press Plays, Encore Performance Publishing and New Plays for Children (See APPENDIX). These plays offer themes previously unexplored in a realistic manner, such as divorce, child abuse, drug addiction, isolation and alienation from parents, racial discrimination, women as second class citizens, death, coming of age, physical disabilities, diversity, loss of freedom , loss of family, recognition of childhood problems in other cultures, abuse of power and abandonment of responsibility for caring for the environment. There was also some experimentation in stylistic changes not usually associated with children's' plays, as in the absurdist play, *The Tingalary Bird* by Mary Melwood.

In order to demonstrate the development toward issue plays, we have taken one children's play theme and story, *The Pied Piper Of Hamelin,* from early twentieth century to the present, and described how its presentation by playwrights has changed along with perceptions of the child as audience.

Changes in American playwright's perception of the comprehension abilities and needs of the child audience member can be seen in the ideological progression in plays based on the old folk tale transcribed in 1816 by the Brothers Grimm in *Die Kinder zu Hameln.* Robert Browning wrote a famous English version in 1849, *The Pied Piper of Hamelin.* Browning's poem is a moral tale involving a magical piper who is hired to free the town of Hamelin of its swarms of rats. After fulfilling his contract by luring the rats to a fatal swim in the river Weser, the piper is cheated of his fee. In Browning's version the piper teaches the greedy town a lesson that a promise must be fulfilled and presents the adage that "the piper must be paid." The piper lures the children of the town into a magical land in a hillside from which they never return; a sobering moral conclusion. There have been many incarnations of this story in play form. Four representative productions are:

- The 1908 musical version of *The Pied Piper Of Hamelin*, music by Manuel Klein, book by Austin Strong and R. H. Burnside
- The 1951 version of *The Pied Piper Of Hamelin* written by Madge Miller
- The 1987 version entitled *The Pied Piper of New Orleans* by Jeff Church
- The 2001 version *The Pied Piper Of Hamelin* by Tim Wright

These productions follow the needs of our timeline and evidence well the changing concerns regarding appropriate dramaturgy for children.

All present the basic moral statements that promises are sacred and greed is evil. There are great differences in details of the story line, and in the degree of understanding and respect for the intelligence and life experience of the children in the audiences. The 1908 musical version was a great hit but met with mixed reviews. The reviewer from *Theatre Magazine* found the show to be shallow and based on empty frivolity alone. He said of the production, which featured many extraneous characters such as Puss-in-Boots, fairies, Jack Horner, the genie from *Aladdin* and others, "the thoughtful spectator

doubtless felt as he heard and saw the well-conceived and poetic prologue and the delightful first scene, that he was about to behold a rarely dainty version of the delightful legend. But with the appearances of the airship owner and crew, he gave himself up with a sigh to the same hackneyed devices, the same noisy vaudeville that seems so inevitable a part of the so-called comedy nowadays."[15] This play evidenced the assumption that the outright silliness of the plot with its emphasis on frivolous distractions such as a cook who taught the village girls to wiggle when they walked was the most suitable fare for younger audiences. The town children were returned to their parents who were spared by the Pied Piper in a happy ending unlike the original poem. Children were not required to think or draw conclusions related to their daily lives for most of children's theatre at that time. Plays based on superficial approaches to fairy tales and on comic strip characters such as *Foxy Grandpa* were common.

Many versions of the Pied Piper story followed. All were similar in nature to the approach taken in Madge Millers' 1951 version, *The Pied Piper of Hamelin.* We owe much to Ms. Miller's having written numerous children's plays, which encouraged greater production of children's theatre. However, like Charlotte Chorpenning's plays the children were still treated as total innocents without the sophistication or need to deal with greater realities. In the Miller version, the characters speak in a stilted quasi-classical manner and many pages are filled with descriptions of the elaborate clothing and fancy food desired by the townsfolk, none of which advances the story. The principal story line is interrupted by a ridiculous second story line regarding attempts to make an ancient statue laugh; no rats are seen and once again, the children are safely returned to their parents, a confirmation of the common attitude that all plays for children must have a happy ending.

Continuing in a similar ideological vein, Jeff Church's *Pied Piper Of New Orleans* (1987), updates the play by setting it in New Orleans, Louisiana, in the 1930s. No longer is a greedy town council at fault but rather merchants doing business on Hamlin Street a cul-de-sac adjacent to the docks. Thus, even a faint relevance regarding political impropriety is erased. The environment has the novelty of contemporary blues music, Cajun dialect, veiled references to voodoo, tiny rats sewn on costumes, a sorcerer from the swamps whose pipe can make people tell comic truths, and a boy who hears animals' thoughts. The change in environmental circumstance is certainly creative, but the children and parents are presented in a simplistic manner and the exigencies of the historic Depression become the reason for underpaying or not paying the Piper. Even in this late version, the dark ending is mitigated and, while harsh realities of poverty and basic human greed are addressed, again the children are safely returned to their parents. This darkest of endings, mass child abduction, appears to be almost insurmountable in most theatrical versions of this story.

In a bold departure from his predecessors, Tim Wright, in his 2001 play, *The Pied Pier Of Hamelin,* emphasized the socio-political issues of the story, issues of child abuse and bullying, as well as the often presented themes; a promise is a sacred contract and the tragedy brought about by greed. Although set in Hamelin in the original time period of the 1300s, the play recognizes the realities of childhood difficulties at a school. A well-intentioned overworked schoolmaster struggles in vain to control his class to protect the children from marauding rats and to protect them from being bullied by peers. The crippled orphan, Franz, is set upon with a slingshot and mocked repeatedly for being a

[15] Roger L Bedard and C. John Tolch, *Spotlight On The Child : Studies In The History Of American Children's Theatre*, (Greenwood Press, 1989), 28.

cripple who lives in poverty. The school bully, Helmut, says, "Wait… now. I know who you are! You're the crippled kid from the orphan workhouse! You know your kind isn't supposed to talk to people like us – boys and girls who come from good families. You don't even have a family. Come on Gretchen – let's report him and his lousy rat to the orphan master."[16]

The mayor of Hamelin presents the attitude of the governmental system. "What do I care about your tears or your bread? You must learn that even though you are a worthless orphan and a blight on our society, you have an obligation to being of Hamelin stock. Take your beatings like a man. Don't you want to grow up and be wise and polished like us?"[17] As a result, the boy's self-esteem plummets, and he resorts to telling lies to improve his situation but without success, certainly an echo of events that unfold on modern school grounds all too often.

Beyond the personal difficulties of adolescence, the play additionally presents a strong socio-political statement regarding the hatred arising from unlike groups, even comparing the battle between rats and humans for control of Hamelin to the strife in World War II. The rats, who talk in this version, are likened to the fascists. The playwright even describes General Ernst, the rat leader, as "folding his arms in a Mussolini-like fashion."[18] In a rabble rousing speech which might have come from the mouth of Mussolini or even Hitler, the rat leader says "a year ago this pack appointed me leader and general because you knew I would get the job done quickly, efficiently, and with as much human blood spilled as possible. Well, my troops, 'R-Day' is upon us. R for Rat! By tomorrow, midnight, we will have finally rid the filthy human creatures from out streets and returned Hamelin to what it once was – long before the vermin invaded and built their wooden cages – a one hundred percent pure Rat town."[19]

Reminiscent of attacks upon the Jews in Europe the rats call the humans "that mindless breed of inadequate giants," and General Ernst declares "We rats posses a higher degree of intelligence, stamina and cunning. For centuries the human vermin have tried to wipe us off the face of the earth and each time we have proved to be the more highly evolved species."[20] The human response to the rats is almost as intolerant and both groups are certain that they alone should occupy Hamelin. Wright's assumption that children can comprehend both personal and political tyranny represents a major shift in thinking regarding child dramaturgy and the cultural environment in which the children grow.

Much of children's theatre today remains traditional in nature and continues to reflect a societal desire to protect children from difficult truths and to present the world only in a positive light, often dependent upon the charm of fantasy. Surely this approach can delight and lighten the heart of a child... a worthy goal. However, the move toward contemporary themes, difficult issues and a more realistic approach by many modern playwrights offers a healthier balance in theatrical fare for young audiences and addresses more fully than in the past the issue of solutions to problems facing today's American children. For example, early twentieth century plays such as *Cinderella* and *Hansel and Gretel* addressed the issue of stepparents in a stereotypical manner: The role

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[16] Tim Wright, *The Pied Piper of Hamelin,* (Anchorage Press Plays Inc., 2001), 25.
[17] Tim Wright, *The Pied Piper of Hamelin,* (Anchorage Press Plays Inc., 2001), 12.
[18] Tim Wright, *The Pied Piper of Hamelin,* (Anchorage Press Plays Inc., 2001), 31.
[19] Tim Wright, *The Pied Piper of Hamelin,* (Anchorage Press Plays Inc., 2001), 30.
[20] Tim Wright, *The Pied Piper of Hamelin,* (Anchorage Press Plays Inc., 2001), 30.

of stepparent was presented simply as vicious by nature. However, modern playwright, Susan Zeder's *Step On A Crack* deals with a young girl's journey out of a fantasy world into the real world where she recognizes her need for a mother and comes to terms with her stepmother, a typical example of the shift in perception of the needs of the child audience.

Marilyn Miller, current publisher of Anchorage Press Plays Inc., supports the assertion that there have been important developments in more balanced offerings in a statement detailing changes in the company's plays since the days when Sara Spencer was editor. "In the early days of Anchorage Press, most of the plays published were stories about life, just as today. Theatre for children and youth reflected multi-culturalism before it became fashionable. There were tales from China, Russia, Japan, the American West, historic characters from our culture and those around the world. Many of these plays had large casts, suitable for a mostly volunteer (and sometimes child) group of actors. In the 1980's and 1990's the number of professional and semi-professional theatres increased and flourished. They sought to tell new stories of contemporary life, along with the tales of culture. They also brought the requirement for smaller cast plays for their resident acting companies and a desire to pay these professional actors a living wage. Moses Goldberg at Stage One Louisville created numerous plays with his professional company. Some used traditional tales (*Aladdin, Rumplestiltskin*) and others explored contemporary life (*The Analysis Of Mineral #4, The Men's Cottage*). Authors such as Suzan Zeder wrote for both professional and University actors and her themes were traditional (*The Death And Life Of Sherlock Holmes, Ozma of Oz*), contemporary (*Doors, In A Room Somewhere, Step On A Crack*), and original interpretations of stories which reflected current concerns (*Mother Hicks, Wiley and the Hairy Man*)."

Conclusion

It must be noted that while children's theatre in America has continued to develop a treatment of its audience that has evolved from viewing the child as protected innocent to recognition of the child as a conscious participant in a sometimes-harsh reality, it has not followed the lead of much of television and film. So far, American children's theatre has refrained from the exploitation of children and the glamorization of overt violence so prevalent in children's films and television, in both reality-based productions as well as cartoons.

APPENDIX: A Representative Sampling of Significant American Children's Plays Published In the Twentieth and Twenty-First Centuries

TITLE	DATE	AUTHOR(S)	DESCRIPTION
1900 to 1960s			
THE PIED PIPER	1908	Manuel Klein, Austin Strong and R. H. Burnside	Typical early twentieth century play.
PETER PAN	1905	James Barrie	British, influential, unique in its quality. Fantasy figures written with depth of character and child as hero in control of his environment.
THE EMPEROR'S NEW CLOTHES	1932	Charlotte B. Chorpenning	Charlotte B. Chorpenning's first play. Set standard until mid-twentieth century.
POCAHONTAS	1961	Aurand Harris	Strong females, reality-based title role.
REYNARD THE FOX	1962	Arthur Fauquez	Hero is a rogue and lies onstage. Gave other playwrights the courage to break the mold.
THE ICE WOLF	1963	Joanna Halpert Kraus	Reverse discrimination.
THE TINGALARY BIRD	1964	Mary Melwood	The first play to recognize that youngsters would be quick--often quicker than adults--to accept and grasp an Absurdist plot.
ANDROCLES AND THE LION	1964	Aurand Harris	Commedia tradition with a serious theme. Freedom to be oneself, freedom to think.
1970s			
STEAL AWAY HOME	1972	Aurand Harris	Escape from slavery and flight to freedom. Recognition of African-American cultural themes.
THE BOY WHO TALKED TO WHALES	1978	Webster Smalley	Ocean ecology theme.
1980s			
ARKANSAW BEAR	1980	Aurand Harris	First serious treatment of death.
JIM THORPE, ALL-AMERICAN	1980	Saul Levitt.	Native American themes.
THE MEN'S COTTAGE	1980	Moses Goldberg	Coming-of-age rituals of a boy in a primitive culture.
SPECIAL CLASS	1981	Brian Kral	Children with disabilities.

APPENDIX: A Representative Sampling of Significant American Children's Plays Published In the Twentieth and Twenty-First Centuries

TITLE	DATE	AUTHOR(S)	DESCRIPTION
THE ANALYSIS OF MINERAL #4	1982	Moses Goldberg	High school and issues of individuality. Difficulties of surviving high school.
MOTHER HICKS	1983	Suzan L. Zeder	Mother Hicks is suspected of being a witch (prejudice).
APOLOGIES	1984	Brian Kral	Teen suicide.
DOORS	1985	Suzan L. Zeder	A boy and his parents on the day of their separation.
PRODIGY	1986	Mary Hall Surface	Mozart, his problematic father and difficult family relationships.
RIDE A BLUE HORSE	1986	Aurand Harris	A gifted child coping with a universal problem - - that of being different.
NEWCOMER	1987	Janet Thomas	Refugee/immigrant in American high school.
BECCA	1987	Wendy Kesselman	Abuse of power and abandonment of responsibility.
SOJOURNER TRUTH IS MY NAME	1989	Pat Sternberg and Dolly Beechman.	Historical treatment of a life in slavery. History of African American culture.
1990s			
TROUBLED WATERS	1992	Brian Kral	Death, the family, and the environment.
THE OUTING	1992	Arnold Rabin	The need for understanding in a new family relationship.
TOTTY: YOUNG ELEANOR ROOSEVELT	1992	Sharon Whitney	Childhood, innocence and bullying in the life of young Eleanor Roosevelt.
THE PIED PIPER OF NEW ORLEANS	1993	Jeff Church	Social and economic issues.
AND THE TIDE SHALL COVER THE EARTH	1993	Norma Cole	Issues about the lakes and dams of the TVA and the inexorable nature of change. Importance of protecting the environment.
ONE TO GROW ON	1993	Brian Kral	Non-nuclear families.
TALES FROM THE REBBE'S TABLE	1994	Flora B Atkin Music by Shirley Udelson	Respectful musical based on Jewish folklore. Legends and folk tales evolved depicting wisdom and wit.
THE DIVORCE GAME	1995	Lou Furman	Family issues around divorce.

APPENDIX: A Representative Sampling of Significant American Children's Plays Published In the Twentieth and Twenty-First Centuries

TITLE	DATE	AUTHOR(S)	DESCRIPTION
DINOSAURUS	1995	Edward Mast and Lenore Bensinger	Destruction of animal habitats by a greedy oil company.
THE ORPHAN TRAIN	1996	Aurand Harris.	Rejection and acceptance; adoption issues.
SELKIE	1998	Laurie Brooks Gollobin	Character caught between childhood and maturity.
THE YELLOW BOAT	1998	David Saar.	Hemophilia, aids and the death of a child. Also shows "birth dance."
CERTAIN ARRANGEMENTS	1998	CE McClelland	Drugs and street values.
THIS IS NOT A PIPE DREAM	1999	Barry Kornhauser	Parent not approving of career choices.
TORTILLA MOON	1999	Margaret Larlham	A bilingual fable. The environment. Commercialism.
THE TASTE OF SUNRISE	1999	Susan Zeder	Prequel to Zeder's acclaimed MOTHER HICKS; deals with deafness.
LINCOLN'S LOG	1999	Barry Kornhauser	Telling difficult truths about history.
LIZA AND THE RIDDLING CAVE	1999	John Urquhart.	A child who cannot talk; alternative gifts.
2000s			
AMY CROCKETT: MVP	2000	Frumi Cohen	A young female athlete lives a fantasy life in a wheelchair. The nature of friendship.
BABA YAGA AND THE BLACK SUNFLOWER	2000	Carol Korty	A young girl's struggle to find her place in the world through a test of wits and will.
THE PIED PIPER OF HAMELIN	2001	Tim Wright	Sociopolitical treatment of the story.
PAPER LANTERNS, PAPER CRANES	2002	Brian Kral	A victim of "A-bomb illness" in Hiroshima.

Title of the submission:
Living in the end time: ecstasy and apocalypse in the work of H.D. and Janette Turner Hospital

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Abstract:
Despite the current preoccupation with globalization, literary criticism remains heavily focused on national cultures. In the context of Australian literature, comparisons are sometimes made with the literatures of other British Commonwealth nations, but rarely with that of Britain's first and most successful colony, the United States of America. This paper will explore thematic and cultural connections between the work of American-born modernist poet and novelist H.D. (1886-1961) and the Australian-born contemporary novelist Janette Turner Hospital (born 1942).[1] I will argue that the transnational phenomenon of ecstatic Protestantism, which originated in northern Europe and was disseminated widely around the globe along the channels of commerce and colonization, has been a key influence in shaping the literary imaginations of these writers. Further, I will suggest that Protestantism, far from being a spent or reactive force, continues to generate new forms of modernity as its emphasis on personal transformation is exported from inward-looking religious communities into broader cultural domains.

Living in the end time:
Ecstasy and apocalypse in the work of H.D. and Janette Turner Hospital

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Despite the current preoccupation with globalization, literary criticism remains heavily focused on national cultures. In the context of Australian literature, comparisons are sometimes made with the literatures of other British Commonwealth nations, but rarely with that of Britain's first and most successful colony, the United States of America. This paper will explore thematic and cultural connections between the work of American-born modernist poet and novelist H.D. (1886-1961) and the Australian-born contemporary novelist Janette Turner Hospital (born 1942).[2] I will argue that the transnational phenomenon of ecstatic Protestantism, which originated in northern Europe and was disseminated widely around the globe along the channels of commerce and colonization, has been a key influence in shaping the literary imaginations of these writers. Further, I will suggest that Protestantism, far from being a spent or reactive force, continues to generate new forms of modernity as its emphasis on personal transformation is exported from inward-looking religious communities into broader cultural domains.

Both H.D. and Janette Turner Hospital were brought up in religious environments within the ecstatic Protestant tradition. H.D.'s maternal family, who belonged to the Moravian Brethren, migrated to Pennsylvania from central Europe in the early eighteenth century. Janette Turner Hospital's family is Pentecostalist. Her mother's family was part of the Welsh Revival of the early twentieth century, while her father converted from Anglicanism during World War II. Moravianism – which is one of the oldest varieties of Protestantism and considerably predates Luther – has been identifed by David Martin as one of the roots of Pentecostalism.[3] Moravianism and Pentecostalism both form part of an emotional, evangelical, participatory and egalitarian Protestant tradition that found particularly fertile ground in the United States.

The term 'fundamentalism' is often used to characterise Pentecostalism and similar sects. However, in this context at least I prefer the term 'ecstatic Protestantism', as it better suggests some of practices and features that have been empowering to writers. In addition to elements found broadly across all Protestant churches – including the internalisation of conscience and an emphasis on self-scrutiny – ecstatic versions of Protestantism share a key emphasis on an emotional 'heart religion'. The world inhabited by believers is replete with 'signs and wonders' to be interpreted as signifiers of God's plan for the individual or community. God also bestows spiritual gifts, or charisms, such as 'healings, helps, governments, diversities of tongues' (1 Corinthians 12:28). The early Moravians thus cast the Lot to appoint new ministers[4] and occasionally spoke in tongues. This latter phenomenon – glossolalia – has become central to Pentecostalism, deriving from the first Pentecost as recorded in Acts 2:2: 'And suddenly there came a sound from heaven as of a rushing mighty wind, and it filled all the house where they were sitting.' As David Martin puts it, for Pentecostalists, 'signs form part of a complete "field" which

is integrated around the key notion of transformation.'[5] Transformation occurs most dramatically in the conversion experience, the New Testament model for which is St Paul's conversion on the road to Damascus, as recorded in Acts 9.

In *The Rise of the Novel*, Ian Watt has demonstrated the extent to which the subjective, individualist, and introspective qualities of Protestantism contributed to the rise of the novel in the eighteenth century. His work also suggests that elements of Protestant belief and practice tend to migrate into new cultural domains, detaching themselves from the spiritual domain: 'we can say of [Defoe],' he writes, 'as of later novelists in the same tradition, such as Samuel Richardson, George Eliot or D.H. Lawrence, that they have inherited of Puritanism everything except its religious faith.'[6] The adaptability of Protestantism to new spheres is also demonstrated by Weber's thesis in relation to capitalism. Indeed, it is hardly possible to overestimate the role of Protestantism in shaping the modernity of contemporary Anglophone cultures such as the United States.

Both H.D. and Janette Turner Hospital had to distance themselves from the religious environments of their childhood in order to become writers. Nonetheless, to paraphrase Watt, I would argue that *as writers* they have inherited of their ecstatic Protestant backgrounds everything except the religious faith. In other words, H.D. and Turner Hospital transpose key elements of their formative Protestant identity from the spiritual domain to the domain of the literary imagination. I'd like to consider first the role of ecstasy in the work of these writers.

H.D.'s Imagist poems were in the vanguard of Modernism in English when they began to be published around 1912. Even today they remain somewhat enigmatic: as J.B. Harmer once observed, 'there is often an intensity disproportionate to the apparent situation.'[7] This intensity frequently manifests itself as wind, which is reminiscent of the 'rushing mighty wind' of the first Pentecost; it is also, of course, the poet's vital breath. Wind annihilates the lifeless beauty of gardens, but vibrates through the wild landscapes where H.D. seeks a new beauty. In her novel *Bid Me to Live* (1960), H.D. wrote of wind as 'a visible Presence … an inhuman element, a divine element'.[8] This divine energy also swirls through H.D.'s earliest poetry, for example in the poem 'Garden':

> O wind, rend open the heat,
> cut apart the heat,
> rend it to tatters....[9]

Everywhere, H.D.'s Imagist poetry bears the marks of invisible but powerful spirit forces.

H.D.'s experimental prose of the 1920s draws more explicitly on elements of her Moravian background. In a general sense, this work belongs to the tradition of confessional autobiography which developed in Protestant journals.[10] A number of H.D.'s novels, which remained unpublished during her lifetime, tackle the twin issues of lesbianism and creativity by using a Moravian model of the authority of individual revelation. The novels vibrate with signs, wonders and gifts that are completely

disengaged from any Christian religious function and mobilized instead for personal and creative ends.

In writing about her first lesbian relationship, with writer Frances Gregg, H.D. repeatedly draws on the conversion of Paul as recounted in Acts 9.[11] For example, in *Paint It Today*, H.D. writes of her meeting with Josepha (based on Gregg) that 'there came as to Paul of Tarsus, light'.[12] In another early novel, *HERmione*, H.D. ascribes her awakening to a full awareness of her artistic vocation to Fayne (also based on Gregg). At the end of the novel, Her walks alone across snow-covered fields. She sees the expanse of snow as a world 'razed' for her to create anew: the landscape is 'virginal for one purpose, for one Creator. ... [T]he creator was Her's feet, narrow black crayon across the winter whiteness.'[13] She likens herself to a star in daylight – invisible to the bodily eye. It is an epiphany of the visionary Fayne/Frances that transforms Her's way of seeing, enabling her to realize fully her vocation as poet-prophet:

> When she said Fayne a white hand took Her. Her was held like a star invisible in daylight that suddenly by some shift of phosphorescent values comes quite clear. Her saw Her as a star shining white against winter daylight.[14]

For H.D., the star symbolised the being who was marked out for a special destiny due to the possession of the spiritual gifts of vision and prophecy. In her memoir, *The Gift*, she recounts that a gypsy had predicted to her mother Helen the coming of an especially gifted child who would be 'born under a star.'[15] H.D., who was born in Bethlehem, Pennyslvania, identified her birth as the fulfilment of that prophecy. This is a rather creative take on Moravian theology – somewhere between justification by faith and actually asserting godhead – though it is not entirely without precedent in Moravian women's journals.[16]

For Janette Turner Hospital, signs and wonders are much more ambiguous and deceptive than they are for H.D., but nonetheless they fill the pages of her novels and stories, and are, once again intimately linked to her vocation as a writer. This is perhaps most clearly articulated in the short story 'Morgan Morgan'. Grandpa Morgan, a breeder of dahlias, is a Welshman and a Pentecostal convert. He introduces his granddaughter to a world of signs and wonders, promiscuously blurring the distinction between the worldly and the spiritual, and causing Grandma Morgan to observe that the child will 'never know the difference between truth and lies'.[17] Reminiscing about his experiences on the goldfields before his conversion, he recounts his blinding Pauline vision of finding a nugget as big as a man's fist and tells his granddaughter, 'I … put it right back down where I found it, inside the vision.'[18] (*CS* 164) By such signs he has come to see himself as a man of destiny, and he tells his granddaughter that the Morgan nugget is waiting 'for one of us to find it again' (*CS* 165). In the story he passes on this sense of destiny or giftedness to his granddaughter, who will find the nugget again through writing.

On Sundays, the Spirit is a wind which '[blusters] and [rushes] through' Grandpa Morgan (*CS* 169), causing him to shout '*hallelujah*' and sending 'seismic' shocks (*CS*

170) through the man in front of him, Mr Peabody.[19] It is here in the chapel that the narrator has her first ecstatic experience:

> But then came the day that a shaft of sunlight fell from a high amberglass window in the church and placed a crown of gold on Mr Peabody's head. 'Oh!', I gasped aloud. '*Look!*' And Grandpa shouted *Hallelujah!* And Mr Peabody rose up into his corona like a skyrocket and I saw a million doves and the gilded petals of all the dahlias in the world rising up into the pointed arch in which God lived. (*CS* 169-170)

The pastor is convinced that the young girl has seen the Holy Spirit, but not everybody is so sure: "'She makes things up,' my Sunday School teacher insisted. 'She handles the truth very carelessly. She believes her own lies.'" (*CS* 170)

The narrator's belief in her vision is destabilized, although Grandpa Morgan believes that she did see doves with gold wings, and also reassures her that the Morgan Nugget is true. An irrevocable break in faith occurs with the awareness that not all ecstatic visions originate from God. In 'Morgan Morgan', Janette Turner Hospital shows us the moment at which signs and wonders become dislocated from the Pentecostal spiritual context, and spill into the creative domain where ecstasy can be experienced by 'making things up'.

The second area where H.D. and Janette Turner Hospital reveal their debt to ecstatic Protestantism is in their response to living in apocalyptic times. Although the H.D.'s family was less insistent on the imminence of the Second Coming than Turner Hospital's, both Moravianism and Pentecostalism promote a sense that believers are living in the 'last days', occupying a liminal space of heightened awareness, in a state of 'becoming'. In an interview, Turner Hospital recalls her childhood experience of living in the end time:

> When you grow up in a fundamentalist world you actually grow up in a mythic narrative space because everything in the Old Testament has immediate relevance and you read it at the dinner table, so in a way you grow up in timeless space. You grow up with a 'God's eye' view of time because you always know that the Second Coming could be tomorrow or next week. Every Sunday you are told that you are living in the end time. There's always this feeling that at any moment God is going to put mankind to account….[20]

The theological reference, of course, is to Acts 2:17:

> And it shall come to pass in the last days, saith God, I will pour out of my Spirit upon all flesh: and your sons and your daughters shall prophesy, and your young men shall see visions, and your old men shall dream dreams….

Later in life, in response to cataclysmic events, both writers return to Protestant habits acquired in their childhoods of scrutinizing the self and the world, interpreting the signs, preparing oneself, and prophesying.

H.D. lived in London during two world wars, each of which triggered in her a severe mental breakdown. During World War II, she wrote three long poems which were later published as *Trilogy*: 'The Walls Do Not Fall', 'Tribute to the Angels', and 'The Flowering of the Rod'. Nowhere is the enduring power of her Moravian inheritance so directly evident as in *Trilogy*, where H.D. acknowledges herself as one of the 'latter-day twice-born.'(*CP* 521) Here Spirit manifests itself amidst the death and destruction of the bombed city:

ruin everywhere, yet as the fallen roof
leaves the sealed room
open to the air,
so, through our desolation,
thoughts stir, inspiration stalks us
through gloom:

unaware, Spirit announces the Presence;
shivering overtakes us,
as of old, Samuel.... (*CP* 509-510)

London has been through 'Apocryphal fire,' but the initiates have passed through the flame and been saved for a purpose of which they are as yet unaware.

Every object in this poem is infused with spirit: the *prima materia* of art, like that of alchemy, is all around, waiting to be transmuted into 'spiritual' reality which is the 'one-truth.' (*CP* 537) In *Trilogy*, the Holy Ghost is revealed to the poet as Love, and H.D. conceives of her poetic role as revealing the spirit of love, which is the light in human darkness. She traces all the manifestations of the spirit of love, bringing together all religious traditions as if evoking the legions of light against darkness. In the end, there is for H.D. only one unified tradition in which there is no male nor female, pagan nor Christian, but only the healing truth of love. It is the presence of the Holy Ghost that enables writers to re-forge the lost links with this ancient wisdom:

we are the keepers of the secret,
the carriers, the spinners

of the rare intangible thread
that binds all humanity

to ancient wisdom,
to antiquity…. (*CP* 523)

Janette Turner Hospital too is preoccupied by the survival of the human spirit in the face of cataclysmic events. Her most recent novel, *Due Preparations for the Plague* (2003), which traces the effects on survivors of an act of terrorism, was begun before September 11, 2001, but completed afterwards. Its final scene takes place in the churchyard of St Paul's, just three weeks before the church was left miraculously unscathed in the collapse of the nearby Twin Towers.

This is a novel in which powerful invisible forces shape human lives. Two intelligence agents, an Arab and an American, both have codenames beginning with 'S': Sirocco and Salamander. They epitomize the labile, deceptive quality of signs in much of Turner Hospital's work. Sirocco is 'the desert wind that scorches where it blows'[21] – an association with the Pentecostal 'rushing mighty wind' which brings 'cloven tongues like as of fire' (Acts 2: 2-3). The American agent Salamander, the mythical creature who can survive flames, attempts to channel the 'madness of true believers' such as Sirocco 'in the interests of global stability for the greater good of all' (*DP* 226). Nevertheless it is he who unwittingly sets in motion the chain of events that leads to the hijacking of Air France Flight 64 and the destruction of all passengers except for the children who, like H.D.'s initiates, have passed through the flame and been saved for a purpose of which they are at first unaware. *Due Preparations* is the story of how a child survivor, Samantha Raleigh, with the help of Salamander's son and daughter, piece together the mystery of AF64 from fragmentary pieces of evidence (intelligence files, recollections, tapes, an encrypted journal) that resurface after 13 years. The novel is especially interested in sub-rational ways of knowing and also of responding to crises. Salamander advises the practice of something akin to the state of 'disembodied ecstasy' that H.D. used in war-torn London:

> When *in extremis*, close eyes, open mind, step out into uncharted abysses of your own memory and imagination, open parachute, create a floating world, explore in tunnels and byways, stay there until All Clear sounds. (*DP* 262)

In *Due Preparations for the Plague*, Janette Turner Hospital, like H.D., also turns to 'ancient wisdom' as a way of understanding catastrophic events, and of preparing oneself – to the extent that preparation is possible – for the next crisis. At the end of the novel, Samantha finds peace, but the reader knows that 911 is only three weeks away, rendering Samantha's questions, which conclude the novel, especially poignant: 'how do we ready ourselves for what might happen tomorrow? What possible preparations can be made?' The novel's only answer is to point to a prophetic literary tradition dealing with the survival of earlier human crises, such as Defoe's *A Journal of the Plague Year*, Boccaccio's *Decameron* and the Essene Gospels. As Mather Hawthorne, alias Salamander, tells his son:

> Think of it, Lowell … a message sent through twenty centuries of time. What does that tell us about the desperation and faith of the Essenes? ... It tells us that the truth will endure, Lowell. Even if you kill the messenger, it tells us, a dangerous message can hide and bide its time until the message can safely be read. (*DP* 175)

The past, it seems, holds messages for us, if only we can interpret them. Ultimately, what this comes down to in the case of both writers is faith not so much in the Word, as in words themselves as the only way that humans can make sense of the world. Both H.D. and Janette Turner Hospital construct densely allusive, syncretistic texts, forging links between different times and places palimpsestically, as if drawing on the extant traces of past prophecy. The writer is a prophet, who, though flawed and sometimes led astray by false or misleading signs, nonetheless provides the only orientation possible for individuals living through cataclysmic upheaval.

Even in the twentieth and twenty-first centuries, then, Protestantism remains an incubator of modernity, as I have sketchily outlined in relation to the Modernism of H.D. and the Postmodernism of Janette Turner Hospital. Perhaps because Protestantism, especially of the ecstatic variety, is often associated with conservative political and social positions, the continuing influence of this transnational phenomenon tends to be largely ignored in cultural criticism. However, a detailed study of ecstatic Protestantism as an historical and contemporary global phenomenon may allow us greater insight into the patterns of flow and connection between colonial and postcolonial cultures, as well as the negotiation of tradition and modernity in these cultures.

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[1] Both writers are expatriates. H.D. lived in Europe for most of her adult life. Janette Turner Hospital has lived in North America for 30 years, and is currently *Carolina Distinguished Professor and Distinguished Writer-in-Residence* at the University of South Carolina.
[2] Both writers are expatriates. H.D. lived in Europe for most of her adult life. Janette Turner Hospital has lived in North America for 30 years, and is currently *Carolina Distinguished Professor and Distinguished Writer-in-Residence* at the University of South Carolina.
[3] David Martin, *Tongues of Fire: The Explosion of Protestantism in Latin America* (Oxford, UK and Cambridge, MA: Blackwell, 1990), p. 273.
[4] Following Proverbs 16:33.
[5] Martin, p. [163].
[6] Ian Watt, *The Rise of the Novel: Studies in Defoe, Richardson and Fielding* (Berkeley and Los Angeles: University of California Press, 1957), p. 85.
[7] J. B. Harmer, *Victory in Limbo: Imagism 1908-1917* (London: Secker and Warburg, 1975), p. 142.
[8] H.D., *Bid Me to Live* (1960; rpt. London: Virago, 1984), p. 159.
[9] H.D., *Collected Poems of H.D.: 1912-1944*, ed. Louis L. Martz (New York: New Directions and Manchester: Carcanet, 1984), p. 25. Subsequently *CP*.
[10] The confessional autobiography provided a model for the first English novel, Defoe's *Robinson Crusoe*, influenced the rise of Romanticism through Rousseau, and enabled the emergence of women novelists in the early nineteenth century. This was the mode that first gave visibility to women writers, and I'd like to suggest that Modernism, especially female Modernism, owes more to this tradition than is generally acknowledged.
[11] Acts 9:3: 'And as he journeyed, he came near Damascus: and suddenly there shined round about him a light from heaven….' Paul's change of name from Saul might also be significant in H.D.'s adoption of her own pen name.
[12] H.D., *Paint It Today*, ed. Cassandra Laity, New York and London: New York University Press, 1992, p 7.
[13] H.D., *Her* (1981; rpt. London: Virago, 1984), p. 223.
[14] H.D., *Her*, p. 225.
[15] H.D., *The Gift: The Complete Text*, ed. Jane Augustine (Gainesville, FL: University Press of Florida, 1998.
[16] See for example Benigna Zahm's memoir in Katherine M. Faull, trans. and ed., *Moravian Women's Memoirs: Their Related Lives, 1750-1820* (Syracuse, NY: Syracuse University Press, 1997), pp. 19-26.

[17] Janette Turner Hospital, *Collected Stories: 1970-1995* (St Lucia, Queensland: University of Queensland Press, 1995), p. 167. Subsequently *CS*.
[18] Morgan Morgan is nearly blinded when sunlight strikes the nugget. This is a glancing reference to Acts 9, where St Paul is blinded for three days after his conversion on the road to Damascus.
[19] 'The shock waves hit Mr Peabody sharply in the nape of his neck and travelled down his spine with such force that he would rise an inch or two from the pew. Most of his body would go rigid, but his head and his hands would quiver for seconds at a time, *Glory, glory* he would murmur in a terror-stricken prayerful voice.' (*CS* 169-170)
[20] Janette Turner Hospital, interview with Belinda McKay, November 7, 2003.
[21] Janette Turner Hospital, *Due Preparations for the Plague* (Pymble, NSW: HarperCollins, 2003), p. 301. Subsequently *DP*.

Hello

Thank you for your conference proceedings submission.

We look forward to seeing you in January.

As always, let me know if you have questions or concerns.

Very best,

Catherine

THE PERSISTENCE OF ETHNICITY: A PRELIMINARY INVESTIGATION INTO CULTURAL, POLITICAL AND SOCIAL PSYCHOLOGICAL COHESION AMONG NORTH AMERICANS OF SCOTS DESCENDENCE

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Ethnic Identification: A Phenomenon which Defies Extinction

In the wake of the horrors of tribal genocide in Rwanda, the re-Balkanaization of former Yugoslavia and Albania, the endless round of wasted lives in Northern Ireland, the bombing of temples of worship and loss of life in India, the ethnic civil war in Sri Lanka, the assassination of a popularly elected Armenian Prime Minister, or the threat of succession among French-speaking Quebecois, thousands of pages and dozens of theories have been devoted trying to explain the source of ethnic divisions in the modern world. The theories that have been advanced range from the anthro-psychological interpretation of Clifford Geertz about the primal need to identify with the group, to the global systemic concepts of Immanual Wallerstein, to mega-historical studies such as Rebecca West's Grey Falcon, Black Fox: A Journey through Yugoslavia.

From what fountains does the phenomenon of ethnic identification spring, and why does it persist, often even after the objective conditions which gave rise to the ethnic group have been unalterably changed--through migration and diaspora, ethnogenesis, structural economic modernization, reconfiguration of political boundaries, or the after effects of war? Review of the literature suggests that most theories tend to be meta-and/or historical in perspective? While the facts may be correct, there is seldom reference to the self-identification and subjective perception as expressed by the ethnics themselves.

We know that ethnic identification involves the subjective perception of difference. Ethnic difference, or distinctiveness, is both defined by others and perceived by the individual, and therefore, it is socially constructed. It is continually being reconstructed, denied or reaffirmed by social institutions and cultural exchanges. In this context, the individual may have multiple identities, some which are dominant, others which are dormant. Encounters in social situations often determine which of those personal identities become prominent. Ethnic identification does not necessarily imply minority status or racial differences, and it may intersect with, or override identification with class. Identification of being culturally distinct does not automatically contain a sense of competition with "the other" or "the stranger" represented by other groups (or non-group members). But it often translates into competition or conflict when issues of deracination, defeat and submission or loss or threat of loss of life chances at the hands of others come into play.

Definitions of ethnicity are invariably imprecise and even tautological, since the phenomenon itself is complex and ambiguous. Ethnic membership is essentially self-selected. Ethnic identification is both self-designated and assigned by others. Theoretical interpretations about ethnicity might be grouped into three categories: the abstract and primordial interpretations that point to the human need for belonging; situational interpretations that focus on minority and majority relations; and theories about ethnic economies defined by mutual economic exchanges within the ethnic group and between the ethnic group and the dominant society or "Others."

The first interpretation is most closely identified with Clifford Geertz who argued that "ethnicity and ethnic groupings are primordial factors in the sense that they are given in the very conditions of human existence." (Geertz 2963: 108-09). Similar to some definitions of nationalism, ethnicity in Geertz's definition implies a kind of instinctual drive that impels humans to seek others who are of the same "blood" or culture, and conversely, to mistrust those they consider as outsiders or the "Other." Geertz identifies this phenomenon as one of the central conditions of human existence, thus implying that drive for ethnic "belongingness" is instinctual and therefore neither learned nor adopted.

Situational definitions of ethnicity are based on observations of mutual interests and common support systems, which are essential to the existence of an ethnic group. Ethnic networks provide access to a variety of resources, which can be mutually exploited by members of the group. Unlike Geertz's conception that ethnic identification is an end in itself, situation definitions emphasize mutuality and solidarity in which ethnicity is a means of cooperation for the attainment of individual and group ends.

Ethnic economies based on ethnic entrepreneurs and networks located within an economic niche within the dominant economy are widely observed in the United States and any society where ethnic economic niches are clearly defined. Theoretical debates about the structure and purpose of ethnic economic networks question whether they serve as vehicles for mutual economic support within the group, or as strategies for entrepreneurs who exploit weaker members of their ethnic group for their own advancement. This definition focuses on the instrumental relationships of ethnicity, rather than the fundamental aspects or the broader social context in which ethnicity functions.

This work in progress incorporates aspects of all these definitions. Ethnicity is defined as a social phenomenon rather than an abstract ideal type. We try to identify some factors which contribute to the coherence and reproduction of ethnic identity. We argue that identity, which resides in the collective consciousness of the group, is often bound to a special place in which the group perceives it had been originally united. The ethnic economy refers to the resources, networks, and organizations, which the group manipulates in order to maintain the physical and fiscal well-being of its members. We emphasize the importance of culture as the medium through which memories of ethnic community are organized.

Place, culture and economy provide the context for a collective consciousness of community based on the memories shared by the group. These recollections incorporate past glories, perceived injustices and the traditions of everyday life. But they are always associated with a special locale. In ethnic lore, perceptions of proprietary relations to place are often frozen in time.

Anderson (1983), for example, has formulated what students of immigration have long observed: cultural and normative behavior of immigrants as a group tends to remain static, fixed at the time they emigrate. Thus, even though the culture and history in their

region of origin continues to evolve and modernize, the immigrant group abroad often preserves the ethnic culture and norms that prevailed in that place many years prior. Among immigrants who return after some time abroad, their expressions of ethnic culture are often far more constrained and less dynamic than the actual culture at home. Yet ethnic expressions are also are hybridized by the influence of the foreign place of residence, as well as the embellishment of ethnic history which often occurs over time.

Identification with place, then, remains an intricate aspect of ethnic distinctiveness. Even when it exists only in the memories of the group, common regional origins feature strongly in ethnic perceptions. This is observed throughout central, southern and western Europe. Greeks, for example, often refer to themselves as "from" the village and region where their family originally owned land, even though they themselves may be generations removed. In Spain, one might expect that the bitter legacy of the civil war and its fundamental ideological conflicts would remain more prominent than ethnic divisions. But conflict and divisions continue along ethnic lines identified by region and expressed primarily through language. Poles have endured long and valiant national struggles to keep and maintain their Polishness. Yet they often identify themselves in terms of a specific ethnic group, even within a region that may have undergone repeated transfer of civil status from one nation to another, and where, inevitably, original ethnic distinctions are blurred. The same is true of the British for whom the notion of identity is fuzzy because it subsumes not only the core Anglos, but the Welsh, the Irish, and the Celts, all of whom are linked to particular regions. And ironically, the latter groups, are apt to identify themselves specifically as <u>not English.</u> Again, this "non-English" designation is based on the history of place—one's land.

Similarly, objective conditions may have transformed the place, which is the original point of reference for ethnic communities—factories may have closed, wilderness may have been converted into towns, and villages into wilderness. The original ethnic group itself may have voluntarily or involuntarily abandoned the place. But the romanticized attachment endures.

Frequently, the strength of ethnic solidarity is linked to racination or original roots rather than to abstract notions of membership. A proprietary sense of place deepens the awareness of shared "groupness" among those who traditionally resided there or who can trace their lineage there. Given the ease of migration, and the demands that contemporary capitalism places on workers to be geographically mobile, members of the group may no longer live in the mutual proximity necessary for direct multiple networks to endure. However, recollections of concrete social networks which existed in the region of origin are translated into the abstraction of ethnic identity. Ethnic groups are often unaware of how deep their sentimental and primary attachments are to a certain place until they are separated from it.

Nevertheless, social trust, which conforms to the notion of reciprocal ethnic relations, is retained. In an effort to preserve continuity, displaced ethnic groups frequently seek to duplicate the ethnic bonds of place by organizing social clubs, mutual aid associations, sports teams, and, of course, religious institutions in their new location.

Since ethnicity is a collective rather than an individual phenomenon, these agencies create essential interactive links. They also provide networks in which group members can vest their mutual trust in co-ethnics, rather than in weaker and more risky individual exchanges of the market. Finally, ethnic and regional associations offer support and protection to their members, as well as a mechanism for brokering exchanges with the larger society.

The histories of a place which are told and retold are the crucible for group memories. Memories are also preserved in the intimate acts of culture repeated in everyday life. Community institutions, particularly religious organizations and the set of values and rituals they embody, are central agents. Similarly, political associations, representing as they often do, nationalism mingled with ideology, are powerful vehicles for maintenance of ethnic loyalty.

But the most potent locus of consciousness is found within personal and family relations. Reproduction of ethnic identity through popular culture cannot be easily extinguished because it is intimate and private. Folk songs, rituals, games, foods, popular sayings, proverbs and legends contain emotions that promote group consciousness. Prosaic rituals, or truths embedded in everyday life, are the agencies for cultivating ethnic bonds, because they are actually derived from complex and unique collective experiences and traditions. In the cultural division of labor, women and grandparents, interacting with children, are more likely to assume the role of replicating ethnic habits and preference. The homily that ethnic consciousness is taken in with the mother's milk may be quite accurate, since a mother nursing the newest born in a family frequently sings to traditional songs to the child, murmurs fond nicknames used by the group, and relays snippets of ethnic history in popular rhymes and games.

Deracination, or loss of autonomy over one's place or one's land, is usually accompanied by a sustained perception of deprivation, especially loss of economic resources. Mourning of loss is a frequent ritual among deracinated groups who identify themselves as victims. Nostalgia about the lost predictability of economic control of place is fundamental in popular ethnic histories. Such a rationale is psychologically more manageable than one which concedes powerlessness of one's group in the face of long-term, large-scale social forces. Outsiders may not be able to evaluate the justification or consistency of these claims. However, the vague sense of "days when things were good," when we were together, when we had command over own welfare because we controlled our own place, may proof enough in the rationale of the group.

Selection of a Case: Theoretical and Methodological Considerations

As the first case for this investigation, we have selected overseas Scots, or persons of Scots descent living in North America. At first glance, the selection of this group seems unlikely. First of all, the length of time that has past since the original group arrived in any significant numbers is nearly a century. Second, given the length of separation from the original homelands, exogenous marriages and the gradual process of ethnogenesis have seriously blurred any clear-cut group that could be called "Scots-

Americans." Third, in terms of ethnic culture, and physical appearance, the group is not only fully assimilated into the dominant U.S., population, but indeed, some would point out, are representative of that dominant group itself.

Three methodological challenges that inform this research, however, led me to nominate this "unlikely" group for the study of ethnic identification:

First, I wanted to lay aside mega-theories and investigate the subjective responses of persons who identify with an/their ethnic group. My assumption is that this will provide insight into why the historical consciousness of ethnic identification tends to reemerge and persist, even after it may seem to have been extinguished or, superficially, appear to have been abandoned.

Secondly, I wanted to identify a group(s) that is not engaged in overt competition and/or conflicts with other groups at this time. This reduces the tendency to concentrate on historical and situational facts instead of investigating the social psychology of self-identification. Overseas Scots are certainly not engaged in open competition with others. Nor are they recent immigrants, a fact which often explains some variation in the intensity of ethnic identification. On the contrary, their experience of immigration, and their integration into the dominant society has matured over the past century.

Finally, I wanted to identify a group for which an open and well-developed data base is easily accessible so as to guarantee adequate information for analysis. Whether case studies are employed, or a survey questionnaire is used, preliminary study discloses that such information is surprisingly available.

The origins of this study are also rooted in my own intellectual focus on regional development and immigration, community studies of the collective consciousness of place, and the social psychological culture of resistance in the family.

Two decades of research on Greek and Jamaican (and Caribbean) immigration reinforced an awareness that the migrant is always vulnerable to marginality, caught as (s)he is between two points of reference: "here" and "home". A year spent in Poland recently, in the geographic shadow of Auschwitz, forced me to ask why, even after the horrors of the Holocaust, Polish friends and residents of the region still felt compelled to identify, and in many cases, to identify with, ancient ethnic divisions in the region.

In a study of a town that has undergone the devastation of deindustrialization, I found that the collective consciousness of community was still fervently reproduced from generation to generation, within families, and among neighborhoods. It was a memory of the town when "it was a wonderful place," reinforced by the conviction that their place could again resume its strength if only past injustices could be set right. My first observations of the persistence of group identification was among Chileans whom I knew before and after the military coup of General Pinochet. Their steadfast, though clandestine, replication of the culture of class and ethno-national resistance to the

repression of human rights persevered, and this consciousness was handed from adult to child within their families and communities.

This paper is concerned with a socio-historical study of descendants of Scots origin, and a review of the formation of Scottish ethno-national organizations in North America since World War II. It is one section of a larger project which will compare ethno-national consciousness and identification among Scots with similar patterns among Jamaican immigrants and overseas Greeks.

This might seem an unlikely trio of ethnic groups to compare. But it is because of their differences that we hope to identify some common variables among the explanations about the sources of their ethnic identification. If there are similarities in describing the origin of a sense of ethnic identification among such diverse ethno-nationalists, then perhaps they can be extended to the study of more clearly defined ethnic groups.

We have considered five categories of theoretical explanations:

1. Ethno-nationalism is rooted in identification with the place and state of origin, and sometimes combined with class and/or ideological consciousness.

2. Perceptions of defeat, submission and/or repression, especially when combined with the sense of deracination and loss of historical homeland or place, fuel a sense of ethnicity.

3. The socio-psychological translation of culture embedded in the intimate culture of socialization between parent or elders and child is especially resilient.

4. Anthropological explanations about the primal urge of humans to identify with their ethnos or tribe must be reviewed, as should some of the newer arguments put forth by socio-biologists and biologists such as Wilson.

5. Historical explanations offered by world-systems theorists about the origin of ethnic groups as anti-systemic movements are persuasive.

Review of the voluminous literature on the origins of ethnicity, nationalism, culture and group discloses no agreement about how ethnicity is reproduced and maintained. Nor is there any final answer as to why benign ethnic identification turns into a source of competition, conflict and open hostilities:

Scots: A Long Way from Scotland

There are twenty-eight million people in the world of Scottish decent. Five million of them live in Scotland and 16 million of them live in North America (Canada-US). There are more people of Scots descent who live outside Scotland. In this they are similar to Greeks and Jamaicans who have migrated from their island homes for generations.

This population is by far from homogenous. And only a fraction of those who claim Scots ancestry identify actively with their origins. Among those who do, there seems to be a clustering of older Scots born in Scotland; individuals and families actively seeking family origins and ethnic identity through genealogy searches, or historical investigation; young people attracted to sports and popular versions of Celtic music; and Scots in Scotland seeking links with kin abroad

Investigation of the ethnic organization of Scots in North America reveals a rich and well-developed network of organizations, cultural mediums, rituals and written and oral histories of individual families, clans, and nationalities. Over the past year, I have attended or participated in many cultural and athletic events, and have initiated exchanges with formal organizations ranging from regional Scots societies to clan membership organizations. Several of the variables discussed above can be identified within this ethnic network:

--Identification with place.
--Perception of having been deprived by the loss of land to the English
--Identification with economic and/or political nationalism aimed at greater autonomy and independence of Scotland itself
--Reproduction of games and festivals
--Presentation of dance and music for entertainment and competition
--Traditional national cultural gatherings
--Integration of traditional music into a contemporary format
--Ethnic humor which revolves around in-group and out-group identity

It's also important to note what the ethnic organizations are <u>not</u>.

They are not an ideological cousin or "White power" or some type of anti-minority group. Politically, many who identify with Scots' organizations have their own historical enemies who are linked to their homeland. If anything, they are anti-English, based on perceptions of both past repression and subjugation, and present national indignities.

They are not new. According to older participants in clan organizations and regional groups, the network of Scots organizations began to flourish after World War II. Prior to that, of course, there were organizations of clans, and traditional events. But these were the organizations characteristic of <u>all</u> immigrant groups.

The Highland Games and Festivals which are a magnet for all the groups to attend and interact are not a another form of Renaissance Fairs or meetings of the Society of Creative Anachronism. The games are faithful to the games played in Scotland, and the athletic feats which are rooted in the agrarian economy and sometimes, the history of resistance against the English.

<u>A Sampler of Scot's Culture in North America</u>

The culture Scots have reproduced in North America is rich and well developed. Perhaps most important from the perspective of collating all the various activities are the Scottish Highland Games and Celtic Festivals which are held throughout the U.S. and Canada. Games and festivals occur throughout the year, but the heaviest calendar begins in late April and runs until the end of September. There were over 220 Games and Festivals during 1999 in the U.S. and Canada. The time, place and agendas are posted in a variety of places ranging from local newsletters, to Scots magazines to the internet. The typical games include both amateur and professional athletic competition. A variety of other activities which might be considered entertainment are also judged for competition such as music or dancing events.

These are rough guidelines posted for Highland Festivals. The event celebrates multiple venues of our Celtic/Scottish heritage. This includes events with traditional Scottish/Celtic competitions such as athletics, dance, music or introduction to Gaelic language instruction. "Admission is open to the general public. Scheduled participation is not limited only to paid professionals. The event is scheduled annually (usually on the same weekend each year). Organizations/individuals associated with preservation of our common heritage may participate. This includes traditional arts, crafts, music, dance, athletics, family heritage groups and period living histories."

The internet has been the most effective vehicle for organizing the games, since web sites can be updated on a rolling basis. Special competitions and results are announced, information about times and location maintained, and sports news disseminated. The North American Scottish Games Association (NASGA), maintains a special web site: "The Scottish Athletes web site for the Athletes, by the Athletes." They post official rules, training tips, rankings, "how to get started" advice, and a message board in which the athletes share issues, pass on information, and trash talk. Individual messages on these athlete message boards received thousands of hits.

Thus, the Festivals are gatherings of entertainment and celebration of Gaelic ethnicity. Competition dominates in sports, but also in music, dance, story telling, dog showing and sheep herding, livestock competition and piping.

Integral to the Festivals are the gathering of the clans. Attendance at the games ranges from 500/600 to 20,000 in North Carolina or 60,000 in Colorado. Although not all attendees are Scots, what is significant is that the games provide a venue for the 60-70 Scottish clan organizations to present their published materials, historical representations, cultural artifacts, and to recruit members. All clans have formal organizational structures. I have been receiving clan newsletters, attending individual clan gatherings, and learning about their motivation and commitment to the "clan" and to their "Scotsness." Mailing addresses and e-mail contact are easily accessible for most of the clans. I observe an openness and eagerness among participants s to discuss why they identify with being a Scot and affiliate with a particular clan.

As with any ethnic group, music is central to the culture. Scots music ranges from piping contests to bagpipe rock. Hundreds of piping teams gather regularly for

pleasure and comraderie and to prepare for competition and display. Their performances are a particular source of ethnic pride, because, for better or worse, the bagpipe is intrinsic to Scot's history. The Seattle Masters of Scottish Arts Concert , for example, offers "world class Scottish Highland bagpipers, drummers and dancers. 2000 performers acknowledged as living virtuosos in the field, the equivalent to Luciano Pavarotti, Itzhak Perlman or Vladimir Horowitz. This is not Riverdance. It's better! Piping: from Scottish Regimental standards, to current popular compositions, to classical music of the Scottish bagpipe, to centuries old style of piobaireachd (pea-brock)."

Bagpipe rock and fusion-rock attracts young concert goers and festival participants. The sound of groups such as Seven Nations, Hadrian's Wall, The Paperboys, still retains a repertoire of the mournful, joyful, unique sounds of the bagpipe—rock n'pipe. The rhythms are pop rock of the 60's and the 90's mixed with more traditional sounds of fiddle, pipe and penny whistle. But he lyrics are significant. The refrains always contain the message of "being Scot." Traditional themes revolve around the land, the loss of land, the singing land, solid ground the trail of the survivor, the restless fool who turns away from Caledonia. In some lyrics, a comparison is made between the theft of land of the Scots by the English and the English theft of the lands of indigenous peoples in the Americas. Other themes, on a contemporary note, speak of the closure of the mines in Scotland, and the ruthlessness impact of factory closures on working people. Both these themes resonate plaintively with the experience of some American Scots.

Celtic and Gaelic music is found in clubs and bars in almost any medium to large city. It is quite widely available in large concert venues to house concerts. It's an important attraction for younger people who are not as interested in the traditional folk lore and older images.

Reading, researching and writing about historical events, especially the prevailing conditions of deprivation which gave rise to the economic migration of Scots to the Americas, is another popular ethnic pursuit. Genealogical searches are extremely popular. Both formal services and organizations within the Americas and within Scotland, plus the ready services of the internet, facilitate this hobby for thousands of persons in search of roots and links to their Scot's origins

Humor plays a particularly important role in the "in-group stuff" of ethnic culture. Among ethnic Scots, humor tends to be divided among Anti-English jokes, jesting and derision about the Irish and the Americans, and self-jest. Among the latter, much fun is focused on the bagpipe as a special oddity. Most bagpipe humor is a way of identifying a quirk of the group, while still maintaining a sense of individualism and pride.

Humor is a popular item on the multitude of Scots' web sites. This bagpipe humor is an example: "While bagpipes sound terrific heard in Highland hills and glens, there are some people who do not respond favorably to the skirl of the pipes and resort to making jokes about them! "

Q: What's the difference between a bagpipe and a trampoline?

A: Eventually, people get tired of jumping on a trampoline.
Q: Why do pipers march while they play?
A: A moving target is harder to hit
Q: Why do pipers march while they play?
A: To get away from the sound.
Q. If you drop a bagpipe and a watermelon off a tall building, which will hit the ground first?
A. Who cares?
Q. What do you call ten bagpipes at the bottom of the ocean?
A. A start.
Q. What's the definition of a gentleman?
A. Someone who knows how to play the bagpipe and doesn't.
Q. What's the difference between a bagpipe and an onion?
A. No one cries when you chop up a bagpipe.
Q. What do you have when a piper is buried up to his neck in sand?
A. Not enough sand!
Q. If you were lost in the woods, who would you trust for directions, an in-tune bagpipe player, an out of tune bagpipe player, or Santa Claus?
A. The out of tune bagpipe player. The other two indicate you have been hallucinating.
~~~~~~~~~~~~~~~~~

A Canadian officer, pinned down with his unit in Italy in 1944, urgently signalled his CO - "Need reinforcements to rescue us. Please send six tanks or one piper".
~~~~~~~~~~~~~~~~~

An old Scot, after living for many years in a far-away land, was dying. He called his doctor and asked for one last favour. The doctor agreed and the old Scot said he wanted to hear the pipes played one more time before he died. A piper was duly summoned and marched up and down the hallway playing mightily. In the morning, the old Scot was so invigorated he arose, dressed, and went home. All of the other patients were dead.
~~~~~~~~~~~~~~~~~

Donald MacDonald from the Isle of Skye (or maybe it was Neil McNeil from Barra, but anyway..) went to study at an English university and was living in the hall of residence with all the other students there. After he had been there a month, his mother came to visit him (no doubt carrying reinforcements of tatties, salt herring, oatmeal and whisky).
"And how do you find the English students, Donald?" she asked.
"Mother," he replied, "they're such terrible, noisy people. The one on that side keeps banging his head on the wall and won't stop. The one on the other side screams and screams all night."
"Oh Donald! How do you manage to put up with these awful noisy English neighbours?"
"Mother, I do nothing. I just ignore them. I just stay here quietly, playing my bagpipes."
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This is a true story (reported by Reuters). Daniel McCaig, a worker at the Bombardier aircraft manufacturing plant in Toronto was annoyed at the move to lay-off 130 workers. So, dressed in his kilt, he hoisted himself three stories into the air on a crane and serenaded the factory with his bagpipes. He played Auld Lang Syne and other favourites for four hours - and responded to requests for particular tunes from his cheering workmates below. Afterwards, the company took him to court, claiming that the work

stoppage had cost them C$200,000. However, the judge, exercising a considerable amount of "amazing grace" dismissed the case so long as McCaig did not serenade the Bombardier factory again. McCaig was helped by five law students from York University in Toronto who drew up a defence based on "constitutional ethnic issues."
~~~~~~~~~~~~~~~~~
What do you throw a drowning bagpipes player? His bagpipes....
~~~~~~~~~~~~~~~~~
When someone tells a guitarist joke, people laugh.
When someone tells a bagpipe joke, people nod in solemn agreement.
~~~~~~~~~~~~~~~~~
A man in a kilt walks into a pub with a plastic bag under his arms and the bartender asks, "What's that?" "Six pounds of Semtex", he answers.
"That's a relief. I thought it was bagpipes."
~~~~~~~~~~~~~~~~~
Then there was the piper who remembered that he had left his pipes in his unlocked car. Rushing back, he opened his car door to find two more sets of pipes in the back seat.
~~~~~~~~~~~~~~~~~
A piper was sick of the band abusing him, and decided to start his own. He walked into a music shop, planning to buy the first instruments he saw. "Give me the red saxophone and that accordion!" he said. The assistant replied, "You play the pipes, don't you?" "That's right. Why?" "Well, the fire extinguisher I can sell you - but the radiator stays."
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Community

A. Clan Networks and family histories
    1. The gatherings of clans, picts and septs
    2. The tartans
    3. The history
    4. The officers
    5. The mystique
B. Club such as the Council of Scottish Clans and Associations, Inc. (COSCA)
1. Regional Scots organizations
    2. Programs and agendas
        --Classes in Gaelic
        --Meetings for business and fellowship
        --Sports, e.g., soccer, golf, horseshoes, shuffleboard
    3. Genealogy as a way of establishing links
    4. Scottish Dancing
        --Royal Scottish Country Dance
        --Celidh
        --Dance competition - Scottish Highland Dancing

For example, U.S. Inter-Regional Highland Dancing Championships and The North American Championships, July 14-16, 2000 in Philadelphia. Hundreds of young dancers from the US, Scotland and Canada will compete

    4. Ethnic weekends such as Mohonk

Ritual celebrations are important in the replication of tradition. Among gatherings of older Scots which I have attended, a remembrance of how various traditions were celebrated in individual's childhood and youth is often on the agenda.. Most are unique to Scot's culture and have no counterpart here. Hogemamy, which is the celebration of bringing in the New Year, may be an exception. Visiting after New Year's Eve, in the early hours of the morning of January 1st after Auld Lang Syne is sung, revolves traditional foods with symbolic coal, shortbread, salt, black bun (a spiced cake) and, of course, whisky..

The Robert Burns Dinner, on or near his birthday of January 25, is another popular tradition. Suppers to honor the birth of the poet Robert Burns, are consumed--including the haggis, a dish so far from the Big Macs of the U.S. that it would seem only a determination to prove one's "Scotsness" could be the motivation to dig in. The "Immortal Memory", a speech in praise of the Bard, is given, and after ample single malt or Guiness, depending on the age and affluence of the particular dinner, the partyers warm up to some rowdy dancing usually to a traditional fiddle and pipe band.

St Andrew's night is an example of a tradition which is celebrated more by expatriate Scots around the world than within the country itself (November 30 is not a public holiday in Scotland). St. Andrew was the patron saint of Scotland in his name, Scots' organizations raise funds to send young men back to Scotland to carry out their studies. Tartan Day and Kirkin' o'the Tartan are other ritual celebrations which are practiced abroad "as if" while in Scotland, they are not as highly valued.

Communicating and Networking

The Internet and countless web sites and web links--30 pages. There are hundreds of Scottish web sites ranging from formal clan home pages, to sites which review North American Scottish athletic competition or musical events, to sites of general interest to and about Scots, and sites for discussion of academic and/or popular issues. These provide an easy entree into the subculture of North American Scottish ethnicity. Along with clan organizational mailing lists, these provide alternative access to interviews.

B. E-mail

C. Magazines such as The Highlander or U.S. Scots, newspapers and local newsletters, children's books; "Chicken Soup for the Celtic Soul"; Mardi Gras Krewe of the Celts (opportunity for persons to join together in camaraderie through the year and represent the culture in the LA Mardi Gras season.) Socials, annual tea, workshops andother activities are planned throughout the year.
,Celtic Heritage, The Family Tree, The Highlander and the Highlander Web Magazine, Scots, The Scots Magazine, The Scottish Banner, Scottish Field, Scottish Life Magazine, Scottish Memories, Scottish Tales Magazine, Southwest Scots, and U.S. Scots.

C. Movies such as "Braveheart" or "Up the Mountain" or "The Prime of Miss Jean Brodie" or "We Geordie" or "TheSecret of Roan Inish"

What is the Meaning of this Rich, Complex and Unlikely Network?

A. Being "someone" in a multicultural society--allegiance to a culture
Garrison Keillor performing in Edinburgh: Are there songs that all of these people (you) know that I have never heard? Are there jokes that you could tell and all the Scots would laugh their butts off, and I wouldn't get it? This is what makes a culture

B. Perception of having been "wronged" or a victim. Identification of the enemy: the English. Theft of lands and loss of place. Closing of the mines. Deindustrialization. Combined with cultural sense of sadness, loss, nostalgia and melancholy.

C. Collective consciousness of place--historical memory of community

D. Aha! Identification with an In-group

D. Sense of extended family in fragmented society: North American Scots reaching back to place, Scots mourning the loss of Scots, anger at loss of place

E. Political position of nationalism as with the National independence--Scottish National Party

F. Romanticism

(G. Gene pool theory of socio-biologists ?)

Sample Game Sites

May: Savannah Scottish Games and Highland Gathering, Savannah GA
Loch Norman Highland Games, Charlotte NC
Scots-Irish Heritage Weekend, Elizabethtown PA

June: Bonnie Brae Scottish Festival, Liberty Corners NJ *
Feis Chlobhair Clover Kinntra Gathering, Charlotte NC
Genesee County Highland Gathering, Fredericksburg VA
Glasgow Highland Games and Gathering of Clans, Lucas KY

July: Grandfather Mountain Highland Games, Linville NC *
Virginia Scottish Games, Alexandria VA
Pacific Northwest Scottish Highland Games and Clan Gathering, Enumclaw, WA*
Portland Scottish Highland Games, Portland OR
Halifax Scottish Festival and Highland Games, Nova Scotia

Conference Proceeding entry for 3rd Annual Hawaii International Conference on Arts & Humanities

Title: Bibliotherapy Education Project

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Abstract:
Bibliotherapy can most simply be defined as facilitating personal development or problem resolution through books. Most of us have probably 'self-medicated' with books at some point in our lives, and maybe even 'prescribed' books to friends and acquaintances, so the understanding of books as a therapeutic device is common. We'll present a brief summary of Bibliotherapy as a therapeutic intervention, including its history and current use in the United States, as well as the variety of problems that books have been used to address. The criteria used to evaluate a book for potential therapeutic use have never before been put into a single Q & A form like the one we've developed. An overview of the criteria, tool and Web site will be provided. We will focus on the collaboration between library and academic faculty and how each was able to contribute unique knowledge and skills to move from a simple co-teaching experience to a well-developed research and education project. We'll cover the strategies we've used to get funding, to work with the technical and creative consultants who designed the Web site and database, and the perils of usability testing.
Numerous benefits result from this project: graduate counseling students receive formalized training in evaluating and using books in therapy; the increased focus on and evaluations of the library's children's collection will promote broader use; and the general public can potentially benefit from the Web-based availability of the book evaluation database and the associated information about Bibliotherapy. For the two principals, we have enjoyed the shared interest in Bibliotherapy and the opportunities for professional collaboration offered through presentations and articles targeted to both the library and counseling fields; it's been a great project for moving us both forward in the university's tenure and promotion track. The project has enhanced our visibility in each other's departments and served as a model of interdisciplinary collaboration. What distinguishes this project is the focus on continuous improvement, through working with students, teaching, incorporating feedback, and data collection. The result is a Web site that is a unique educational and therapeutic resource. The participants will experience a combination of lecture and activities with examples of evaluated materials.

Conference Proceedings entry for 3rd Annual Hawaii International Conference on Arts & Humanities

Title: “Conversational Metaphor for Teaching Research Writing”

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Abstract:
Although most of us in academia are familiar enough with research based writing, it’s like a foreign country to many of our students, complete with a unique language, disciplinary dialects, and grammatical conventions. We will use a combination of lecture, discussion, and individual and group activities to challenge participants' current understanding of and approach to teaching the research process for writing assignments. Library faculty are increasingly involved in collaborative teaching with colleagues in other disciplines. While we all share many of the same goals for student learning, our mutual understanding and, consequently, our cooperation are often hampered by the different discipline-based jargon we use, as well as the application of linear and product-focused teaching. Yet the processes we are trying to teach, research and writing, are anything but sequential and tidy. A qualitative assessment of students' research-based 'argument' papers for the English composition program at Oregon State University provided no evidence that students were learning the key skills of critically examining resources, analyzing and synthesizing information. This launched our efforts to find a better pedagogical model and our conversational metaphor is the result. We'll briefly share the results of our assessment and our process for seeking out, developing, and continuing to refine a new approach to incorporating information literacy in writing courses. Although other authors have examined how students and faculty do research for writing projects, or offer suggestions for teaching research writing, they often remain within their disciplinary models and speak in their own 'dialect' of discipline-based jargon. The conversational metaphor seeks specifically to reach across disciplines by finding a common language for communication between faculty and with our students.
We intend to invite participants into our own 'meta-conversation' about teaching the conversational metaphor for research writing, and discuss how our own interactions model what we are trying to teach our students. We see this workshop as an opportunity to expand the meta-conversation about how to more effectively teach research writing.

The Spatial and Architectural Tradition of Vernacular Cabins and Historic Cultural Landscapes in the Sierra Nevada Mountains of California:

An Inventory and Evaluation of Nearly Four Thousand Recreational Residences from Mt. Lassen National Forest to Southern California:

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Throughout the Pacific Rim, and wherever mountains were settled, vernacular architecture, designed not by professional architects, but by the people themselves, was constructed in close relationship to the natural landscape. These buildings offer insights into the people and their relationship to their environment as well as provide a basis for understanding how these constructions and communities evolved.

In the Sierra Nevada mountains of California, people built basic shelters, created resorts and developed permanent and temporary homesteads. In many of these landscapes, this architecture was not only constructed as basic shelter, but also served as retreat, rustic abode, and recreational residence. While not developed until the early 19th Century, the cabins in this study illustrate a native understanding of the unique climatic and visual resources as well as, the attitude that Californian's were famous for – a laid back, close-to-nature existence. A home in the woods was a recreational ideal for thousands of Californian's and the pleasant weather and dramatic mountains provided the perfect opportunity to fulfill their desires.

The goal of this study was to create and test a methodology by which a statistical summary of the characteristics of a large sample of these buildings and their sites could be gathered and analyzed. The practical task driving the project was to develop a typology to serve as a base line from which to judge the historical significance of these resources and to provide a basis for writing guidelines and standards by which they could be effectively managed in the present and future by the USDA Forest Service. The method proved effective and is scalable to many types of resources and is particularly suitable to inventorying large numbers of buildings and settings. A GIS was used to record and analyze both spatial characteristics and architectural characteristics.

Some of the researchable questions focused on the physical form of the architecture and the clusters and tracts of buildings in the study area. To address these questions, sets of characteristics were recorded in the field for nearly 4,000 buildings that range across more than 500 linear miles of national forest land. A second set of questions sought to understand the way these same structures related to each other and their immediate environmental setting and, after

analysis, how the observed spatial and architectural patterns help define the cultural landscape of the Sierra Nevada Mountains.

Despite the fact that this cultural landscape evolved over many years, a core architectural tradition was expected and, not only were we able to define this tradition, we were also able to identify evolutionary trends that continued to refine this tradition over time. The historical period covered in this inventory included structures built between 1904 and 1969. The resources inventoried were primarily found to be intact, still occupied and with past architectural changes consisting of minor building additions and modifications and the updating of materials and surfaces. These changes were often a response to changing needs, such as the need for a new bedroom, which was often tacked onto the end of the original cabin, normally resulting in an "L" shaped ground plan. In other examples, new materials were substituted for original fabric in response to technological change, such as the availability of new composite shingles or double-paned windows.

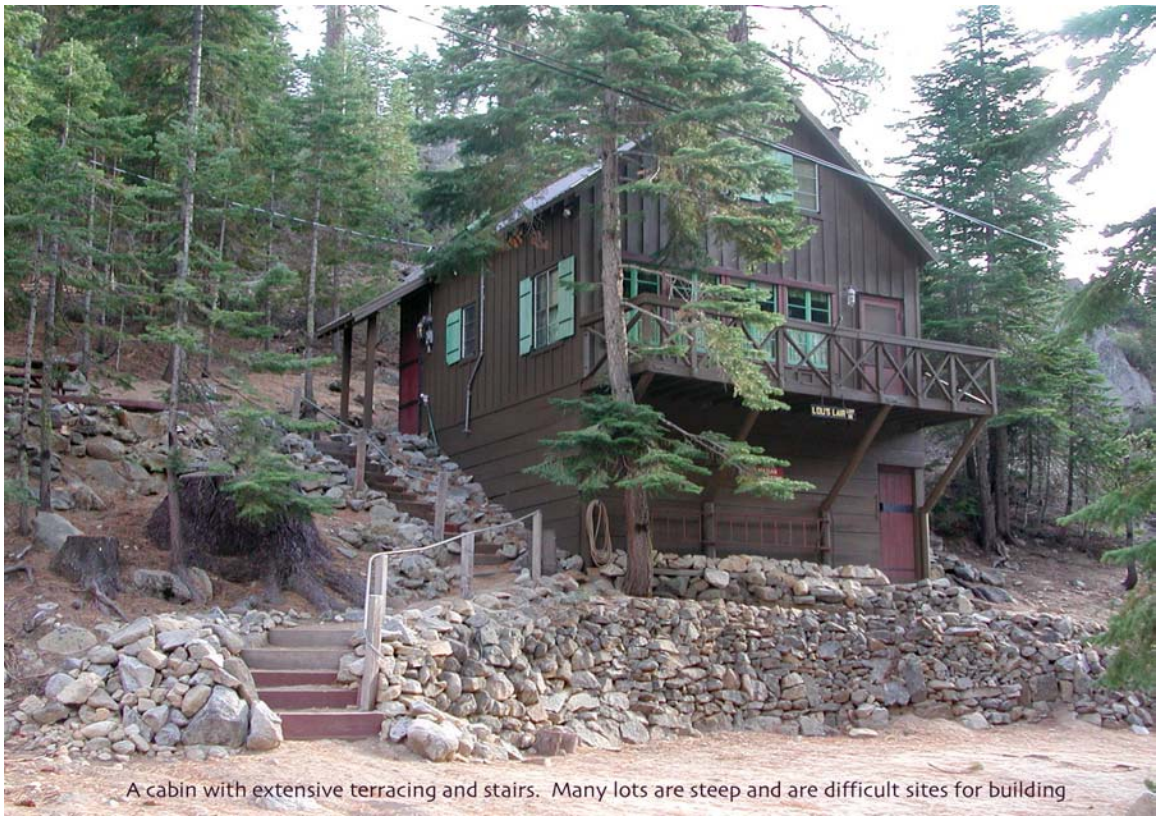
Architecturally, almost all of the structural systems and building materials were similar, and the same was true of detailing. However, individual use, adaptation and application of these materials by individual builders reveal a lot of variability and uniqueness. When these characteristics are aggregated, larger-scaled patterns emerge, such as the progressively steeper roofs one observes as one goes higher up the mountain. In that case, there was an obvious response to needing to shed the snow load. Other responses were more subtle and harder to isolate. Some of the most interesting elements, especially revealing the environmental attitudes of the builders, are found in the landscape treatment adjacent to the cabin. Regional and local patterns of response are evident at the regional, tract and lot scales. Plant materials range from tropical exotics to naturalized specimens transplanted from the forest. Layouts range from formal gardens to the most zen-like rusticity.

Results

The project yielded a detailed inventory of characteristics and a typology of considerable breadth, as well as many examples of regional and national forest-level patterns in both architecture and environmental response. The analyses performed were motivated by a desire to reveal patterns of similarity as well as uniqueness. These patterns of similarity in an historic preservation context were used to identify representative examples of the entire sample, those that best reflected the characteristics of the cultural tradition operating during the period of significance (1915-1969), so that they might be managed to retain their historical integrity.

The large number of buildings and sites included in the study provided both broad regional and in-depth glimpses into the aspirations, skills and sense of architectural appropriateness of the early inhabitants of these forest retreats and the skills and materials of the original builders. The statistical summaries illustrate not only the broad range but also the overwhelming similarities of this architectural tradition.

The power of the images of these vernacular cabins within their setting of forest, waterfalls, pools, lakes, rivers and canyons are spectacular and oddly familiar to everyone that views them. They represent, en masse, the experience of the Pacific Rim and particularly, Californians' sense of adventure, retreat and escape in the early 20th Century.



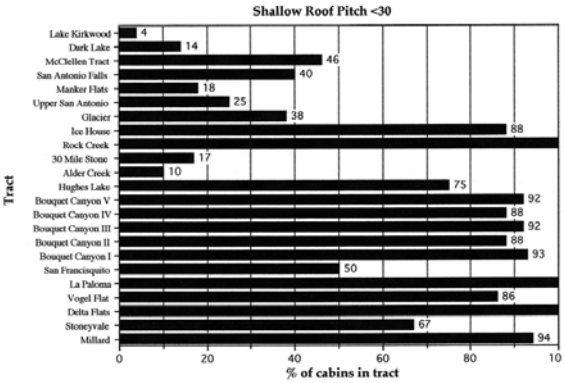
A cabin with extensive terracing and stairs. Many lots are steep and are difficult sites for building

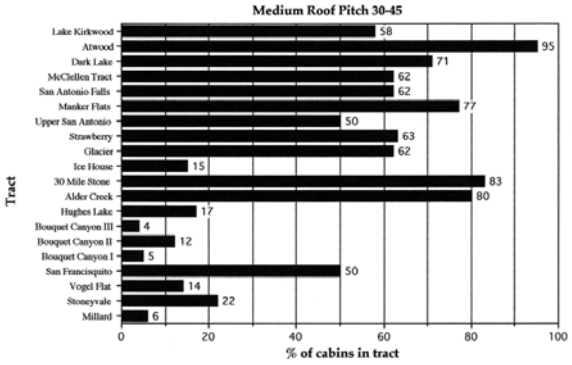
Summary of Building Characteristics

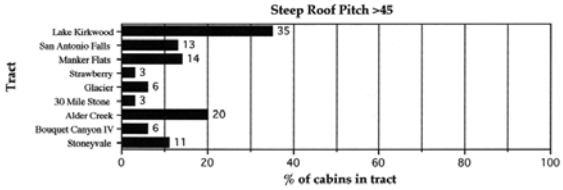
Roof Pitch (degrees)

Roof pitch, the measure of how a steep a gabled roof is, clearly relates to the elevation of tracks. Shallow roof pitch, defined as less than 30 degrees, are found most often at lower elevations with some tracks exceeding over 80% saturation. Further, the vast majority of shallow roofs appear to occur in tracks in Southern California. This is consistent with the bungalow and craftsman types of architecture that were popular and being built in large numbers during the early part of the 20th century.

Medium pitch roofs, those between 30 degrees and 45 degrees, occurred on higher elevations tracks in numbers exceeding 60%. Medium roof buildings appear to be relatively evenly distributed between Southern California and Northern California tracks. Steep pitched roofs occur much less in this sample and usually occur on less than 10 percent of the buildings in a track. In only one instance, Lake Kirkwood Track, does the saturation of steep pitched roofs achieve a 35% saturation.







“Why did Bodhidharma Come from the West?” Origins of Representations of the First Zen Patriarch

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"Why did Bodhidharma Come from the West?" Origins of Representations of the First Zen Patriarch

Dr. Beatrix Mecsi

Abstract

The founder of the meditational Buddhism (called *Dhyana* in Sanskrit, *Chan* in Chinese, *Seon* in Korean, *Zen* in Japanese) according to tradition-, is the Indian originated Bodhidharma, whose legendary figure can often be seen in the visual art and popular culture of East Asian countries. He is called *Putidamo* or *Damo* in Chinese, *Boridalma* or *Dalma* in Korean and *Bodai Daruma*, or *Daruma* in Japanese, *Bo-dhi-dha-rmo-tta-ra* in Tibetan, and he also can be found in Vietnam.
The paper focuses on the visual representations of Bodhidharma and in order to see the picture clearly I have summarized the information about him revealed in primary and secondary textual sources. My aim in doing so was to detect the formation of the legend and iconography of Bodhidharma from the very beginning, and describe their dynamics. I challenge the still prevailing opinion that visual representations always illustrate written texts, and show that sometimes visual images did, in fact, influenced written sources.
I also show how the iconography of Bodhidharma derived from representations of Daoist immortals and Buddhist arhats.

"Why did Bodhidharma Come from the West?" Origins of Representations of the First Zen Patriarch

Bodhidharma was the legendary founder of Zen[1] Buddhism. The legend about his life has interesting dynamics. His biography went through several changes and experienced a constant development and embellishment; it was linked with related legends, it accumulated additional details taken from different traditions, all of which served to increase the effectiveness of his impact. We can trace back this development if we look at Bodhidharma's biography from the earliest sources mentioning his name and see how much his life story has changed throughout the centuries.
To summarize his legends in a nutshell, he was as an Indian missionary who went to China in the 6th century CE., where after he had an unsuccessful encounter with the Buddhist emperor Liang Wu (r.502-549), he crossed the Yangzi river on a single reed, spent nine years in constant meditation near the famous Shaolin monastery in Songshan, where his legs and arms atrophied and fall off- according to legend. But he

[1] Zen is the Japanese name of meditational Buddhism. It is pronounced *Dhyana* in Sanskrit, *Chan* in Chinese and *Seon* in Korean. As this school of Buddhism became to be widely known in the West by its Japanese name, I use the word „Zen" naming it regardless of its pronounciation in the country I discuss, for the sake of convenience.

is also considered the founder of martial arts, and the inventor of the custom of drinking tea. After Bodhidharma was poisoned by his rivals and died, and buried in Xiang er shan (Bear Ear Mountain) in North China, a Chinese Wei official, Song Yun who was sent in search for Buddhist works in India, on his way coming back to China, saw Bodhidharma in the Pamir Mountains (on Cong Lin, Onion Range) going towards India, holding one shoe. When Song Yun told the emperor about his meeting, Bodhidharma's tomb was subsequently opened, but nothing was found in the tomb, except for one shoe, the pair of which Bodhidharma had been carrying in the Pamirs.

Reasons for "Bodhidharma's Coming from the West"

Why was it important to have a person like Bodhidharma in the milieu of the formation of Zen ideology in China? How was he described and why was this description changed to a certain extent from time to time?

First let us look at Bodhidharma's specific qualities and then try to see their importance for the meaning of the legend and consequently, the related imagery. The sources agree in the fact that he came from the West, so he was a foreigner. Thinking of Bodhidharma as a son of an Indian king, which idea becomes dominant from at least the 11th century onwards, compares him to the historical Buddha Sakyamuni and elevates him to a higher level. The other attempt to connect Bodhidharma to Sakyamuni is the fabrication of a spiritual "family tree" in which the secret teaching of Zen is transmitted from the historical Buddha through several masters to Bodhidharma. To appreciate the significance of this we need to know that lineage played a very important role in East Asian societies. This lineage did not necessarily mean blood-lineage, even in the case of families, where in order to keep the family's constant flow new family members could also sometimes be adopted. In the case of spiritual lineage it was important to have only one true descendant, thus having an unbroken line of the teaching. The core of Zen teachings can be summarized in the famous stanza indebted to Bodhidharma:

> "A special transmission outside the scriptures;
> Not depending on words and letters;
> Directly pointing to one's mind;
> Understanding one's own nature."[2]

Such significance was attached to this separate spiritual lineage of Zen transmission ranging from the historical Buddha down to Bodhidharma that great lengths were taken to substantiate it: a sutra, the Dafan tianwang wenfa jieyi jing[3] was even forged and many mysterious stories were created. In this sutra we read that "One day the Brahma king came to the Buddha who was living at the Vulture Peak, offered a Kumbala flower, and requested him to preach the Dharma. The Buddha ascended the Lion Seat, and taking that flower, touched it with his finger without saying a word. No one in the assembly understood the meaning. The Venerable Mahakasyapa alone

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[2] Translation from me with slight changes from the different versions found in several publications. The important emphasis on personal experience versus written words was very possibly influenced by Daoist ideas (Laozi, *Dao De Jing*. Tao: A New Way of Thinking, a translation of the Tao Te Ching with an introduction and commentaries, 1975).

[3] T. 2006:48. 325b7-12

smiled with joy. The World-Honoured One said, "The Doctrine of the true Dharma-eye is hereby entrusted to you, O Mahakasyapa. So accept and hand it down to posterity." Mahakasyapa was the first patriarch then to whom Sakyamuni transmitted the esoteric teaching. This sutra is not listed in any catalogue of Buddhist canons published in China.[4] But its aim is clearly to seek legitimization for the new school as well as emphasizing the transmission outside of words and letters which resulted in a very strong bond of the interpersonal master and student relationship. In Korea, a first generation Korean master, Peomil tied his own story to Buddha's enlightenment. He claimed that after leaving his kingly life, (Gautama) eventually attained enlightenment while looking at the bright star. However, he thought it was not the enlightenment with regard to the ultimate truth. Therefore, he went to visit a Patriarch Chinkwi and received the mind seal from him. This was an essential special transmission aside from the scriptural teaching (from the Seonmun pojangnok, Zoku Zokyo 113, 495 c-d).[5]
Actually, there are no similar references to Master Chinkwi in any other sutras, but Sakyamuni's relation to Master Chinkwi continued to exist in Korean Buddhism down to the turn of this century.[6] This legend also reflects a major shift of emphasis regarding the perception of objective truth embodied in the teachings of sacred scriptures in relation to the subjective approval transmitted from master to disciple. What matters most then for the truth-seekers is not the truth itself but the authenticity of the transmission of such truth.[7] These types of legends arose from the position originally stated by the Chinese master Yangshan Huizhi, who stated that Patriarchal Zen is superior to that of the Tathagathas.

In the visual arts then it is no wonder that the first representations of Bodhidharma are the ones underlying his patriarchal role showing him in the context of the Zen lineage. In these pictures Bodhidharma is depicted with Huike, the second patriarch, usually at the moment when the latter is cutting off his left arm in order to show his determination to be taught by the master Bodhidharma. Sometimes on these pictures it is also indicated that Huike is accepted as the successor receiving the robe and the begging bowl as the insignia of the patriarchate (Chuanfa Zhengzong ji Illustrated scroll, 1061, remained in a copy dated 1154 in the Museum of Art, Atami, Japan,

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[4] "The book in which this incident is described is entitled Su*tra on the Great Brahman King's Questioning Buddha to Dispel a Doubt,* but there exists no original text or any Chinese translation in the Tripitaka. It is highly probable that some early Chinese Zen scholar of the Song Dynasty (960-1126) fabricated the tradition because Wang-An-shih, a powerful minister under the emperor Shan-tsung, is said to have seen a book in the Imperial Library. There is, however, no evidence, as far as we know, pointing to the existence of the Sutra in China. In Japan, there exists, in manuscript form, two different translations of that book, kept in secret veneration by some Zen masters, which have been proved to be fictious by the present writer after his close examination of the contents."
Nukariya Kaiten, *The Religion of the Samurai.* London: Luzac & Co., 1913:3

[5] Shim Jae-ryong, *Korean Buddhism. Tradition and Transformation*., Korean Studies Series No. 8., Seoul: Jimoondang Publishing Company, 1999:13

[6] Shim Jae-ryong, ibid.:13

[7] Shim Jae-ryong, ibid.:13

formerly in Kanchi-in, Toji, Kyoto, Japan and on the Long roll of Buddhist images painted by Zhang Shengwen, act. ca. 1173-1176, Palace Museum, Beijing). In another early example dated 1054 but preserved only in a 13th century copy in Kozanji, near Kyoto, Japan, Huike is represented as a layman in front of the master who is sitting in a chair, almost exactly following the iconographical scheme of depicting arhats as receiving presents from foreigners (see as an example the 8th arhat on Lu Lengjia's painting of Buddhist arhats and worshippers, album leaf, Palace Museum, Beijing).[8] In summary, we can say that the sitting position, the staff in the hand, the monkly robe and the figures surrounding Bodhidharma and the type of painting showing him in a broader context with other patriarchs can be closely connected to the early arhat-paintings. The reason is very understandable: Bodhidharma himself was considered as a native from the West, just like the arhats who were originally the personal disciples of Sakyamuni Buddha in Theravada Buddhism. Later the Mahayana or the "Bigger Vehicle" Buddhism embraced the popular demands for not restricting the Buddhist practices within the walls of monasteries and only for a few "worthy ones", and opened it up for the laymen, too. Thus the meaning of arhats were broadened consequently. The enlightened masters who have learnt about the truth (in the original case, from Sakyamuni Buddha)[9] can be regarded as arhats, and becoming an arhat was the central aim in Theravada. But later in Mahayana Buddhism the ideal switched from arhatship to the Bodhisattvas, but arhats were still respected and venerated as the Protectors of the Law and the application of the word arhat was used not only for the personal disciples of Buddha but other enlightened masters. In pictorial representations their group of 16 or 18 expanded to 500. In Tientai (Kor. *Cheondae*, Jp. *Tendai*) and Zen temples they are venerated as inspirational models for individuals trying to reach enlightenment through meditation. In this aspect, Bodhidharma as an enlightened master and indirect student of Sakyamuni Buddha could be regarded as an arhat. It is not a surprise then if we can find his figure among the arhats, too, and his iconography is borrowed from the earlier iconographical models of the disciples of Sakyamuni Buddha , and the Mahayanist arhats.

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[8] Hall, Dickson, Chinese Paintings in the Palace Museum Beijing, 4-14th century, Joint Publishing (H.K.) Co. Ltd., 1989:23 and Mesnil, Evelyne: „Le Seize Arhat dans la peinture chinoise (VIIIe- Xe s.) et les collections japonaises: Prémices iconographiques et stylistiques", in: *Art Asiatiques*, vol. 54, 1999:68. In fact the painting preserved with the inscription of Lu Lengjia (act. ca. 730-758) in China but it can be considered as a Song dynasty copy of the Tang dynasty painting. But in regard of the iconography of figures we can accept it as a model even though the details of the furniture are suggesting a later origin.

[9] In this aspect in Mahayana thought we can speak about three categories: the first one is the Buddha, who realized the truths himself and teaches it afterwards, the second category the solitary (pratyeka) buddhas who have realized the truth by themselves but don't teach it to people, and the third category is the arhats, who were taught in order to achieve enlightenment. This idea is very important if we think of the importance of the personal transmission of the teachings particularly emphasised in Zen Buddhism.

How did Bodhidharma Come to the East?

We can ask then why did the original version of representing Bodhidharma as an arhat sitting and transmitting the patriarchate change and pass away as the dominant representation of the later periods ? Why do we later see many pictures showing him as a stocky bearded person crossing the water on a reed or meditating in a cave? My possible explanation also leads back to the arhat-iconography of the earliest times. On the Lu Lengjia scroll we can see another type, a more stocky, bearded person with a stick in his hand, surrounded by water as he is sitting on a little rock island, facing a dragon emerging out of the waves (17th arhat from the set of arhats on the painting attributed to Lu Lengjia, Palace Museum, Beijing). This stocky figure can be seen as early as the 13-14th century on a painting with the inscription of Yishan Yining (1247-1317) presently in Jodo-ji, Shizuoka Prefecture, Japan which model appears again on the Korean Bodhidharma-paintings, too. The earliest paintings of arhats as originated from Sakyamuni Buddha's disciples showed mainly Indian people, but as Buddhism was sinicized after its arrival to China, among the arhats we begin to find Chinese masters as well. Arhat-paintings showed the attributes and features of the Daoist immortals. This phenomena can be traced back as early as the 10th century. In the works of Guanxiu it can be seen very clearly. He himself was a Zen Buddhist monk who was also initiated as a Daoist. He was very popular in his time, even the King, Wang Jian, was flattered by him and gave him the posthumous title Great Master of the Moon of Contemplation (Chanyue Daishi). In his famous set of the 16 arhats we can see natural settings, caves, rock plateaus and the trees under where he placed his figures. And as Buddhist arhats from their original meaning as the disciples of Sakyamuni Buddha became to be associated with theumaturgic and healing powers, soon the Buddhist figures started to play the same role as Daoist Sages and Wizards. Bodhidharma as a Western Buddhist Master was treated in the same way as the arhats were and arhats themselves were treated the same way as immortals. We can find examples of Bodhidharma with his foreign origin emphasised as well as examples showing him as a sinicized Master adopted into the Chinese Pantheon of popular beliefs.

"Bodhidharma's Crossing the sea"

One of the most popular episodes of Bodhidharma's life, Bodhidharma's crossing the sea or the Yangzi river on a single reed. Charles Lachman has already pointed out that we need to reconsider this well-known episode[10] and through having a deeper investigation, we can find a very possible reason fuelling the belief of Bodhidharma's crossing the sea (not only the Yangzi river) on a reed.

Our question concerns two points: First, why did Bodhidharma use a reed for crossing? Second, why was he believed to cross the sea, going to Japan this way?

The oldest known original visual treatment of the theme of Bodhidharma's crossing on a reed can be dated to the early 13th century. Its painter is unknown, but we know that the colophon is written by Changweng Rujing (1163-1228), a famous monk, teacher of Dogen Kigen (1200-1253) the founder of the Soto Zen school in Japan,

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[10]Lachman, Charles, „Why did the Patriarch Cross the River? The Rushleaf Bodhidharma Reconsidered", *Asia Major* 6(1993): 237-268

when he stayed in China as a pilgrim.[11] Unfortunately this painting was lost during the Second World War, and only photographs remain.[12] The painting can be dated by its inscription before 1228, before the death of the writer of the colophon. The figure of Bodhidharma is bald, having a beard and earring, his robe is fluttering in the wind.

Among the earliest images of Bodhidharma's crossing the river on a reed, there is a monochrome ink painting by Jitang Liyaofu (Jp. Kido Rigyofu), bearing an inscription by Yishan Yining (1247-1317)[13] which says: "Under my feet there is depth and clearness."[14]The painting was executed by the 'blown ink' technique.[15]

Another early example shows the topic in colours on silk made by an unknown painter bearing an inscription by Kian Soen (1261-1313), now in the collection of Nanzen-ji, Kyoto.

While these paintings are amongst the earliest extant original treatments of this motif, a rubbing taken from a stone stele at the Shaolin monastery (where Bodhidharma spent his famous nine years with wall-meditation) suggests that the theme was already well known by the mid- eleven century. According to the inscription, the stele from which this impression was made, was cut in 1308. However, the image is accompanied by an encomium by the Northern Song emperor Renzong (reigned 1023-1064), and it is very possible that the stone preserves a design of that era.

The theme crossing the Yangzi river on a reed did not exist from the very beginning in the textual sources on Bodhidharma's biography. In the Xu Gaoseng zhuan (dated 645) there is no mention of crossing the river, we are only informed by the text that Bodhidharma first reached the Liu Song territory when he arrived to China, and then he went to the north to the state of Wei. The Putidamo nanzong ding shifei lun (dated 732) though it contains Bodhidharma's unsuccessful encounter with the Emperor, Liang Wudi and then Bodhidharma's departure to the Shaolin monastery, also does not mention the crossing of the river. The Lidai Fabao ji (dated 774); the Baolin zhuan (dated 801); the Jiu Tang shu (compiled before the mid. 10th century) is the same in this aspect. The Zutang ji (dated 952) says that "Bodhidharma secretly went to the Northern shore of the river". The 11th century sources, the Jingde Chuan deng lu (dated 1004) and the Chuanfa zhengzong ji (dated 1061) speak about Bodhidharma's crossing of the Yangzi river but do not mention the reed.

The first literary evidence of Bodhidharma's crossing of the Yangzi on a reed appeared in the Wujia Zhengzong zan (dated 1254) which says:

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[11] About Dogen's years in China and how he became the disciple of Changweng Rujing, see: Takashi James Kodera, *Dogen's Formative Years in China*. London: Routledge and Kegan Paul, 1980:51-57

[12] Brinker, Helmut, „Shussan Shaka in Sung and Yuan Painting", Ars Orientalis 9(1973):30

[13] In the collection of the Metropolitan Museum of Art, New York. Reproduced in Awakawa 1970:fig.17; Brinker-Kanazawa, *Zen: Masters of Meditation in Images and Writings*. Catalogue of the Exhibition at the Museum Rietberg Zürich and the Kyoto National Museum, 1996:126-129, fig.89 (detail)

[14] Translation from Awakawa, *Zen Painting*. Kodansha International, 1970: text to fig.17.
"blown ink (Jp. *fukizumi*): a technique of spattering ink on a painted surface by blowing it through a hollow tube, usually a reed or bamboo." (Kanazawa 1979:197)

> "[Bodhidharma] broke off a reed, crossed the river, arrived at Shaolin(si), and faced the wall for nine years."[16]

A slightly later source, the Shi Shi Tongjian (dated 1270) describes the episode as follows:

> "On the 19th [day], he consequently departed Liang. He broke off a reed, crossed the river, and hastened north, and on the 23rd [day] he was at the border of Wei."[17]

Why did the reed appear in the Bodhidharma legend?

Fontein and Hickman explain the phenomenon by suggesting that where the previous sources used the character meaning "stealthily" this came to be used in later texts as the two-character phrase "[he] broke off a reed".[18] "Although this modification may be a result of some misreading"-as Fontein and Hickman explain -, which often occurs in the Chinese literary transmission.[19] Brinker and Kanazawa also explain this episode in a similar way, saying that "perhaps the legend is based on a misunderstanding, the wrong interpretation of a passage in a text, or on an embellishment with the intent to save Bodhidharma's honour after his failure with the Liang emperor Wu."[20]

But it is interesting why the authors of these textual sources had chosen the reed as a mean of transportation. Were there any predecessors of this motif?

The reed was not an obvious vehicle for crossing the river, so then we can ask again why it was chosen after all? Our investigation leads to other visual sources to answer the question.

We know that artists usually use previously existing representational modes, sometimes unintentionally to form new representations (Apollo-Jesus; Greek Philosophers-Apostles etc.).[21] What were the sources then for the representations of Bodhidharma's crossing on a reed?

We can see that the visual representations of crossing the water on a reed antedates the occurrence of Bodhidharma's crossing on a reed in the textual sources. The 'arhats crossing the river' theme antedates Bodhidharma's crossing. The represented arhats on these paintings are the very close predecessors of the Bodhidharma-paintings. See the album leaf of Li Gonglin (ca.1041-1106) representing arhats crossing the river, Freer Collection, Washington; or an Arhat painting from the set of five hundred arhats from Daitoku-ji, Kyoto (Painter: Zhou Jichang (act. second half of 12th century), ca. 1178). These arhats are closely connected with the Daoist immortals who are often described as crossing the sea riding on various imaginary vehicles or on barefoot (like

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16 In Chinese: "*zhelu dujiang zhi Shaolin mianli jiu nian*." (Brinker-Kanazawa 1996:214)

17 Fontein-Hickman, *Zen. Painting and Calligraphy,* 1970:54; Brinker-Kanazawa ibid. 1996: 214

18 Fontein-Hickman ibid. 1970:54

19 Fontein-Hickman ibid. 1970: 54

20 Brinker-Kanazawa ibid. 1996: 214

21 E.H. Gombrich writes accordingly in his famous book *Art and Illusion* that "the familiar will always remain the likely starting point for the rendering of the unfamiliar; an existing representation will always exert its spell over the artist, even as he strives to record the truth."(Gombrich 1961:82) Kurt Weitzmann: The Cotton Genesis: British Library, Codex Cotton Otho B VI. Princeton: University Press, c. 1986

on the 15th century painting by Zhao Xi : Immortal Zhongli Quan / Shang Xi (fl. 1426-1435); Four immortals honouring the God of Longevity); or earlier the immortal Chung Liquan on the ink painting in colours by Yan Hui[22]).

Paintings where a figure is standing on a reed is usually interpreted as Bodhidharma. On two 18th century Korean paintings it can be seen clearly. The first one bears the inscription saying "Standing on a reed and crossing the sea." [Painted by Kim Hongdo (1745-1806)]. On another painting the inscription says directly: "Bodhidharma crossing the sea." However, we know that there is no sea mentioned in Bodhidharma's biography.

Therefore, I think that it was very possible that the Japanese belief about Bodhidharma's crossing the sea was inspired by the very origin of Bodhidharma's iconography, where his figure was combined with the image of Daoist immortals and the Buddhist arhats.

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22 Published by Li Chu-tsing, „Bodhidharma Crossing the Yangtse River on a Reed: Painting in the Charles A. Drenovatz Collection in Zürich" Asiatische Studien, Vol. 25 (1971):49-75; fig.15.

ONE VOICE

Integrating Singing Techniques and Theatre Voice Training

Theatre/Performing Arts Workshop

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<u>ABSTRACT</u>: ***ONE VOICE: Integrating Singing Techniques and Theatre Voice Training,*** **Theatre/Performing Arts Workshop**

Joan Melton, PhD, ADVS

Speaking onstage has similar technical requirements to singing onstage. This workshop explores and examines that similarity. It also fills in disciplinary gaps between music and theatre and takes a close look at the vocal training of actors and the acting dimension of singing onstage.

Classical singers train for years to develop a solid technique and to master appropriate repertoire. Yet when they must speak onstage they often sound untrained, lapse into habitual regional dialects and make little or no connection between their training as singers and their use of the same instrument to speak. A similar phenomenon occurs in the opposite direction for actors who must sing in the course of a role. There seems to be a gap in the training, a blind spot perhaps, as specialists focus on singing or speaking without acknowledging and experiencing the twin nature and common mechanism for both actions.

This workshop uses a movement-based approach to the integration of vocal techniques and suggests that actors should be trained to sing as thoroughly as they are trained to speak. Voice as an integral part of characterization is also explored as the presenter works with participants on the preparation of specific material from musical theatre.

<u>Bio</u>

Dr. JOAN MELTON is Professor and Head of the Voice/Movement Program in the Department of Theatre and Dance at California State University, Fullerton. She has taught at leading drama and music centers in the US, UK, Ireland and Australia, including the Manhattan School of Music, New York, the Central School of Speech and Drama, London, Drama Summer School, Dublin, and Western Australian Academy of Performing Arts, Perth. She is a published composer, a Master Teacher of Fitzmaurice Voicework, past Secretary of the Voice and Speech Trainers Association (VASTA), and a frequent presenter at conferences in the US and abroad. Her book, *ONE VOICE: Integrating Singing Technique and Theatre Voice Training* (Heinemann 2003), written with speech pathologist Kenneth Tom, has become a standard text for voice courses in many parts of the world, including the US, England, Wales, South Africa, and Australia. At Cal State Fullerton, she teaches Voice/Movement in the undergraduate and graduate Acting programs, and singing for the BFA in Musical Theatre.

The Pleasures and Challenges of International, Interdisciplinary, and Intercultural Education

John Menaghan
John Reilly
Holli Levitsky

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Abstract:

Collectively the three participants have taught abroad in Ireland, England, Germany, and/or Poland. Abroad and/or at their home institution in Los Angeles, they have co-taught one or more of the following courses: The Irish and the Harlem Renaissance; (Un)Civil (W)Rites: Civil Rights Era African American, Northern Irish, and African American Literature; and Blacks and Jews. All three participants have also taught interdisciplinary courses, such as: The Holocaust &Literature, Psychology and Literature, Free at Last? The Irish and African American Struggles for Freedom Compared; Politics, History, and Literature in Modern Ireland; etc. The panel discussion will address the pleasures and challenges of teaching international, interdisciplinary, and intercultural courses both at our home institution and in various international locations.

An Original Poetry Reading on International/Universal Themes

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Abstract:

A one-hour poetry reading by the author of "All the Money in the World" (Salmon Poetry, Ireland, 1999), called by the prestigious Kirkus Reviews “an auspicious beginning," and of "She Alone" (forthcoming from Salmon Poetry, 2006), and the winner of an Academy of American Poets Prize and other awards, who has given readings at a range of venues across the U.S. and Ireland as well as in Hungary. The reading will be in several parts: a series of poems set in international locations (to reflect the nature of the conference); a series of poems about jazz (an international language of sorts); a selection of poems set in Ireland; and miscellaneous poems on such universal topics as love, loss, family, etc.

How They Did That!

Cross-disciplinary presentation of visual art for Site Specific Architectual Installation

Workshop Format: An informational presentation of a large commissioned work of art using about 80 process slides in color. The presentation will show the project from the very beginning to the very end of completion. The work described is a ten piece series of four foot by four foot medallion murals in the new Meijer Heart Hospital in Grand Rapids, Michigan. The presentation will be instructional - how to do a proposal for a commissioned piece for selection by a committee of doctors, financial officers, Hospital Foundation personel, architects, interior designers and a new Building Art Curator. This project started in January of 2004 and completed in August of 2004.

Presenter: Daleene Menning, Commissioned Artist
Full Professor of Art (recently retired)
Ceramics Head
Grand Valley State University
Allendale, Michigan

Home Address: 6009 W. Leonard Rd.
Coopersville, MI 49404
Tel. (616) 837-4905
E-mail: MenningD@GVSU.edu
Fax: (616) 331-3240

Opportunity and the First Proposal.

- Interior Designer's idea of quilts.
- Development of idea, medallions
- Used architectural elevations for site.
- Made maquettes and samples.
- Drawings of quilt designs to scale.
- Worked with contractors and architects.
- Chosen as Artist for Site.
- Quilt designs rejected.
- Asked to submit another proposal.
- Timing and calendar

Second Proposal

- Researched for second proposal
- Used Medical Library.
- Restrictions imposed by selection committee.
- Imagery of hearts in surgery.
- Imagery of blood cells under microscope.
- New drawings presented.
- New financial estimate.
- New time table and calendaring.
- Acceptance of second proposal.
- Financing arranged.
- Studio assistants hired.

Preparing the Drawings To Scale.

- How to get them into four foot squares.
- Projecting the images.
- Numbering and lettering parts.
- Reproducing to scale.
- Setting up work boards.

Designing the Clay Work.

- Slabs rolled and stiffened.
- Templates cut.
- Textures assigned and applied.
- Pieces cut and placed.
- Colored slips applied.
- Tiles dried.
- Tiles fired for the first time.

Glazing

- Testing Colors.
- Applying glazes.
- Firing the second time.
- Reworking surfaces.
- Firing third and fourth times.
- Shifting tiles to prepared boards.
- Mortaring tiles to cement boards.
- Packing tiles for storage and shipping.

Storage and Transport

- Trucking firm engaged.
- Getting it all into the new building.

Installation

- Fastening cement boards to wall.
- Working 12 feet off the ground.
- Using scaffold and scissor lift.
- Mortaring in loose pieces.
- Grouting using many colors.
- Washing and cleaning medallions.

Photographing the Completed Work.

- Photographed head-on by professional photographer using scaffold and lift.
- Site photos.
- Photos for publication and presentation.
- Photos for Hospital printed materials.

Abstract for Hawaii International Conference on the Humanities, January 2005

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topic area: Speech Communication/ Ethnic Studies/ American Studies/ Performance Studies

Paper title: "Captured in the Dark: The Construction and Reception of Nineteenth Century Performances of Gender, Race, and Nationality"

In *With Other Eyes: Looking at Race and Gender in Visual Culture*, Lisa Bloom interprets Benedict Anderson's notion of the nation state as an "imagined community" as a "performative space where roles and relationships of both belonging and foreignness are acted out." In my proposed research project, I intend to examine several sites in which fugitive and expatriate Americans performed their "foreignness" for American, British and European audiences prior to and during the American Civil War and some ways in which widely circulated images of celebrated Americans were understood by spectators. In this paper, I will explore such performances as the abolition speeches of fugitive slave William Wells Brown and the dramatic readings of African American orator Mary Webb as they were received by British audiences in the 1850s. I am particularly interested in the strategies speakers and performers devised to garner the sympathy of British audiences for fugitive Americans whose escape from slavery was accomplished by "passing" and crossing race and gender categories.

Title: "Hate: *Crime and Punishment*"

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Hate: *Crime and Punishment*

In an earlier discussion entitled "Civil Rights and 'Hate Crimes' Legislation: Two Important Assymetries"[1], I argued that, although there is a natural and understandable temptation to regard so-called "hate crimes" legislation as a logical extension of the landmark Civil Rights legislation of the mid-60's, there are good reasons for resisting this move. The difference between the two is a difference of *kind* – and not merely one of degree. Consequently, a sufficient justification for the one need not (necessarily) furnish a justification for the other. In this effort, I wish to address an independent matter, namely, the just punishment for the commission of these sorts of crimes. More specifically, I want to discuss the two most widely discussed ways of punishing the crimes belonging to this new category of "hate crimes"; these are the so-called "degree enhancement" and "penalty enhancement" strategies. Each will be evaluated on its own merits and, toward the end, I will suggest yet a third strategy which *may* be preferable to both in terms of justification and effectiveness. First, however, we need to be clear on exactly what is meant by a "hate crime."

What is a Hate Crime?

In order to make ours a relatively manageable task, we are going to have to simplify – dramatically simplify – and narrow our focus considerably. This is a function of the daunting complexity we face. To begin with, the laws cover both civil and criminal violations; crimes against property as well as crimes against persons; the various degrees of the offenses; and the bases or grounds for such offenses. A few clicks on a pocket calculator shows that there are

thousands – literally, not figuratively – permutations and combinations generated from these parameters[2]. To take but two: institutional vandalism includes no fewer-than eleven categories (churches, schools, etc.), and bias-motivated crimes can be grounded on six different factors (race, religion, etc.). Acknowledging at the outset the impossibility of doing justice to all, or even very many of these possibilities, I must do some paring down. I have chosen to restrict my attention to bias-motivated felonies of aggression again persons based on race (specifically, Blacks) and sexual orientation (specifically, male homosexuals). This choice is based on (1) frequency and/or (2) public awareness. Race based hate crimes constitute 63% of all reported, and of these 42% are anti-black (ibid.). And recent events have brought both types to the forefront of the American consciousness; no one can seriously claim to be oblivious to the two most hideous hate crimes committed in 1998, namely, the case of James Byrd, Jr., the Black man in Jaspar, Texas, who was abducted by three white men, tied to the back of a pickup truck, and dragged several miles during which time he was decapitated; and the case of Matthew Shepherd, the young gay college student, apprehended, beaten, and left for dead tied to a fence in Laramie, Wyoming. It is expected (at least hoped) that the analyses of these two categories will apply *mutatis mutandis* to some other categories of hate crimes; at the same time, however, it might very well be that some of these categories will present unique difficulties requiring alternative lines of analysis.

Having said all this, let us now return to the question which prompted it: What is a hate crime? Although the laws vary slightly from state to state, nearly all of them follow the lead of the approach recommended by the Anti-Defamation League (ADL). (Ibid.). The text of that document is rather lengthy and, given our relatively narrow focus, I will quote only the relevant excerpts (a liberal sprinkling of ellipses can be expected, referring to crimes that we are not

directly concerned with – at least at this initial point). The ADL defines bias-motivated hate crimes as follows:

> II. 2. Bias-motivated Crime
>
> A. A person commits a Bias-Motivated crime if, by reason of the actual or perceived race, . . . [or] sexual orientation of another individual or group of individuals, he violates section ___ (insert code provisions . . . for assault, battery, or other appropriate statutorily proscribed criminal conduct) (Ibid.)

Reflection on the nature and wording of these statutes reveals a twofold function being served, even though only one may be fully intended. Specifically, we can, I think, identify two related but distinct components: a (1) *substantive*, and a (2) *symbolic* aspect.

To take (2), the symbolic first, and here I do not mean "merely" symbolic in a tone of disparaging dismissal, such laws can serve as a public, social statement or pronouncement. Specifically, we are (tacitly) saying to one and all, including ourselves: "We/this society, reflecting the principles upon which it was founded, will not tolerate such behavior, even from our own citizens among themselves – much less from citizens of other countries whose foundational principles and institutions may or may not be similar to ours; we stand foursquare behind these." And in this sense, the laws do send a very powerful message indeed; it is almost palpable in the very words themselves when heard or spoken aloud. To the charge that, to the extent that I am correct, such laws degenerate into shameful moralizing, I say, quite frankly: "So what?" There is nothing inherently shameful about moralizing. Isn't this exactly what we want from our moral teachers? And are we not willing to agree with Plato that our laws are and, at

least to some extent ought to be, manifestations of our collective moral conscience? In short, this objection to the symbolic function of such laws is, in the end, either spurious or vacuous.

On the other hand, despite the forceful rhetorical punch of the laws, it would all be sound and fury signifying nothing unless we are able and willing, when necessary, to arm them with powerful substantive teeth. And this, of course, speaks directly to the (1) substantive force of such laws. With the promalgation of such laws, we are putting potential perpetrators of such crimes on notice that we take violations seriously and that they will be dealt with severely – *very* severely, indeed so much so that the penalty for committing them will be far more severe than the penalties for committing the underlying crimes would otherwise be. We are, in effect, backing up our words with appropriate actions. And we must be and remain willing to do just that, to follow up relentlessly but fairly in our prosecution of these crimes and the meting out of sentences proportional to their commission. How, then, should the commission of such crimes be penalized?

We Can Get ‘‘Em . . .
Comin’ or Goin’

If we adopt either of the ADL’s two recommendations, we can “nail” the offender coming to trial, in the first instance, by enhancing the degree of the underlying crime for which she has been indicted (Ibid.). For example, first-degree manslaughter is “beefed up” to a charge of first-degree murder if we add the relevant *mens rea* – the specific intent of “hate” as defined in the proposal – to the underlying offense. Or, alternatively, we could “nail” the accused after the guilt phase of the trial during the penalty phase where the “standard” punishment for the

underlying offense has been automatically enhanced (Ibid.). Let us take a look at each on its own merits.

Degree-Enhancement Provisions

The ADL proposal reads as follows:

> B. A Bias-Motivated crime under this code provision is a . . . felony (the degree of criminal liability should be *at least one degree more serious* than that imposed for commission of the underlying offence) (Ibid.;Italics mine).

This statement is attended by certain conceptual as well as practical difficulties. Some have argued, for example, that a practice such as degree-enhancement creates a whole new category of crimes, and not merely an amendment to the underlying crime committed. That is to say, once we link the specific motive of hatred to the offence in question it ceases to be an instance of the underlying crime and becomes instead an entirely new category of crime. For example, if we are dealing with a case of what would traditionally be classified as first-degree manslaughter, and if we add to the elements of the offense the specific motive of hatred toward a member of one of the protected groups or classes this would, in effect, be to create an entirely new *type* of crime – and this is not simply a difference of degree. Others following the ADL proposal argue that the underlying offense remains the same – homicide – it is only the degree of homicide which is altered. In the end, this *seems* to reduce to a verbal dispute, a difference which, as William James might say, does not make a difference. But in using the phrase "verbal dispute," I once

again do not wish to imply what is usually intended – viz., a *merely* verbal dispute to be dismissed out of hand without serious attention or consideration. Rather, it is simply to acknowledge that the two ways of proceeding may lead to the same substantive conclusion.

The reason I do not want to dismiss the controversy as a *merely* verbal dispute is that I don't want to offer a sop to those who argue, simplistically, that: "Murder is murder – period, no if's, and's, or but's – case closed! The nature of the offense has nothing whatever to do with race, sexual orientation or any other characteristic of the victim which places her in one of the protected classes!" I would suggest that things are a bit more complex than this "argument" (and I use the term very loosely) would have us believe. Not all murders – or any other types of crime, for that matter – are cast in the same mold.

Let's consider a case. Take a father-son team who burn a cross on the front lawn and set fire to the garage belonging to a Black family. Suppose, further, that one of the children in the family is burned very badly. The police obtain warrants to search the home, vehicles, grounds, etc. of the prime suspects. They may very well come upon powerful evidence that the culprits are members of the white supremacist group, Aryan Nation. The black and red flag adorned with a swastika covers an entire wall of the living room; they find a ton of white supremacist literature (including the infamous *Turner Diaries*) throughout all of rooms in the house; in the garage they find many arms, knives, incendiary devices, etc. All of this adds up to the kind of evidence directly relevant to establishing the fact that this was, indeed, a "hate crime."

Now the question becomes: "Do we really want to charge both father and son (say the boy is thirteen) with the same degree enhanced crime (which may carry with it a severe mandatory sentence like death or life without the possibility of parole)? I think not. The young boy has not yet reached the level of maturity to reflect on and evaluate his beliefs, particularly

his *moral* beliefs. He has, since his earliest days, been browbeaten and repeatedly bombarded with racist rantings by his parents, their friends, his own friends, etc. I think these circumstances do, indeed, make a difference – a difference in kind, not merely one of degree. Even if it is decided that he should stand trial as an adult, there may be good reasons to charge the boy with the crime committed (*actus reus*) as opposed to the degree-enhanced crime *mandated* by the hate crimes legislation. Our sense of justice – or is it mercy? – makes us feel that, given all the relevant circumstances, the boy deserves at least a second chance, even if his father does not. By holding fast to the automatic degree-enhancing legislation, we rule out this option. It is precisely this element of coercion or lack of flexibility – and the elimination of prosecutorial discretion – that we find objectionable.

Before leaving this, it may be instructive to look at one more case—real, not hypothetical. That is the recent Washington, D.C.-snipers who killed several perfectly innocent strangers from December, 2002 until January, 2003. When captured, the alleged perpetrators were one adult, John Muhammed, and one minor, Lee Malvo. Only later did it come to light that the young boy, Malvo, was the actual shooter in all of the homicides. Just suppose that it were the other way round: Muhammed the shooter, Malvo the compatriot. Would we feel comfortable regarding the adult action "more heinous", so to speak, than had it been committed by the juvenile? I think we might. But, given the way the alleged attacks *did* take place, do we feel comfortable holding the young Malvo to the same standards of morality—and justice—as the elder Muhammed? I suspect that many of us would not. Not that a mere thought-experiment conclusively solves our problem; but it at least gives us pause, room for further reflection. At any rate, we shall come back to this point presently. But, before we do, we need to take a look at the second strategy

Penalty-Enhancement Provisions

The ADL has endorsed Wisconsin's Penalty-Enhancement Laws including the following clauses relevant to our present concern. In the excerpt that follows, sub. (1) refers to "a commission of a 'hate crime'":

2. (b) If the crime committed under sub. (1) is ordinarily a misdemeanor other than a Class A misdemeanor, the penalty increase under this section changes the status of the crime to a felony and the revised maximum fine is $10,000 and the revised maximum period of imprisonment is 2 years.

(c) If the crime committed under sub. (1) is a felony, the maximum fine prescribed by law for the crime may be increased by not more than $5,000 and the maximum period of imprisonment prescribed by law for the crime may be increased by not more than 5 years (Ibid.).

It may be worth noting that 2.(b) above includes *both* a degree-enhancement and penalty-enhancement provision in its formulation. Here, I think, we can learn something very important by examining the parallels with the way in which the courts have dealt with the death penalty over the past thirty years. It will be recalled that in the 1972 landmark case, *Furman V. Georgia*, the U.S. Supreme Court declared that the death penalty was unconstitutional *as it was then being administered*. In other words, the Court found it unconstitutional *not* because it violated the *eighth* amendment prohibition on "cruel and unusual punishment" but, rather, because it violated

the "due process" clause of the fourteenth amendment. The administration of the death penalty *at that time* was nothing less than arbitrary and capricious. Blacks were being sentenced to death in disproportionate and shocking numbers *vis a vis* their white counterparts found guilty of exactly the same crime; the poor more so than the rich (how much justice can money buy? – remember the so called "dream team"); men far more often than women, and so on. The outrageous discontinuities varied drastically not only from state to state, but even among venues in the same state, down to and including the same court of law and judge in a given jurisdiction within a given venue. This drastic variability, the Court declared (in a majority, though not unanimous) ruling was what made the death penalty unconstitutional, *not* because it constituted "cruel and unusual punishment"; on this issue the Court maintained a notable silence.

As a result of the ruling, an immediate moratorium was imposed on the execution of the death penalty (no pun intended). In effect, the Court was inviting the several states (today there are 34 out of 50) that wished to retain and re-enact capital punishment to come up with a set of recommendations or guidelines which would ensure – as best as any set can – consistency, fairness, and impartiality, thus eliminating the arbitrary and capriciousness of the "loose cannon" courts at the time. In effect, the message conveyed was: bring your recommendations back to us, we will determine whether they meet our standards of justice and, if so, the death penalty for certain crimes may be re-instituted. Anyone – black or white, rich or poor, man or woman – found guilty of a capital charge would receive the same penalty – death. However, if they do not, if they fall short of our expectations, then it's back to the drawing board.

Several states, Georgia among the first, sought to satisfy the Court's desiderata by instituting a *mandatory* death sentence for certain crimes – killing a police officer in the line of duty, for instance. Many were surprised when the Court flat-out refused to endorse this proposal.

It was clear that the Court was very concerned about abandoning judicial discretion, which is precisely what the mandatory sentencing procedure secured.

Having indulged the reader's patience more than one ought, the question now becomes: What has all of this to do with penalty-enhancing provisions for the commission of "hate crimes?" Let's see.

It is my contention that the judging and sentencing of so-called "hate" crimes should be handled much the same way. This in turn belies my belief that the element of discretion ought not be eliminated at the outset in the penalty phase of a criminal trial. In fact, I think recent developments (over the past 20 years or so) that extend discretion – not only to judges, but to the jury and even to aggrieved parties' "victim impact" statements, and so on, are to be applauded. And this commits me, directly or indirectly, to a conservative position on the issue, if conservatism is characterized as support of the *status quo*. My reasons follow:

The first consideration is not a very weighty one, but it is *a* reason. Appealing to something like Occam's Razor, the Principle of Passimony, or the contemporary dictum, "if it ain't broke, don't fix it," why complicate the system needlessly *if* there are already in place measures to effect the same ends or goals of justice? The critic, of course, will probably contend that the system *is* broke – and definitely needs fixin'. But I think the pessimists' complaints are exaggerated, and, more importantly, even if the system is flawed, this does not necessarily entail that either automatic degree or penalty enhancing measures are the only – much less the *best* – way of rectifying it.

The second reason, though I think it is weighty and serious, may nevertheless be dismissed as an issue that ought not concern us professional philosophers – *because* it is only a "practical" difficulty, better left to criminologists, penologists or some other authority best able

to deal with it. Whether it is to be derided or not, these practical implications are realities in the judicial system that one cannot afford to merely discount. What I have in mind are the states which, in a sincere and well-intentioned manner to fight the notorious "War on Drugs," instituted draconian, mandatory sentences for all sorts of offenses related to drugs. Some such states found themselves in a well-nigh intolerable bind in which their jails and prisons were inundated with an overwhelming flood of drug offenders – *including*, and this is important, non-violent first time offenders, as well as the highest kingpins in the industry of illicit drugs. The result in many states, including Texas, forced authorities to make room for this new breed of "criminals." This, in turn, led to astounding overcrowding of jails and prisons. Finally, this situation forced many state judiciaries to mandate a (constitutional, it was argued) cap on the prison population up to – and not beyond – a certain fixed capacity. In many cases, the only way that states could achieve this was by means of early release of hardened, violent criminals, many of whom were themselves repeat offenders (including, even, a case in which a *death-row* inmate, who proceeded to commit [at least] four more murders during his period of freedom). Just so I won't be misunderstood, this observation is not directed to automatically-enhanced penalties for those convicted of *hate crimes* but, rather, on pitfalls of the policy and practice of mandatory sentencing *per se*.

Aggravating and Mitigating Circumstances

In our legal system, flawed though it may be, we begin from a *prima facie* presumption of good faith – on the part of the judges, juries, attorneys, witnesses, and even the defendants themselves. Now, the critics may respond that such a presumption is naïve, at best, and possibly destructive, at worst. And so it may be – to *some* extent. But we must start from somewhere. And I would simply ask whether we think that the presumption should be abandoned and, if so, what in the world is to replace it? Unfortunately, if a largely racist or homophobic jury is intent on jury nullification, it is simply not going to matter how the crime is defined or how it may be punished. But that is the risk we run. And I believe – though I can not prove – that the risk is less, far less, than some skeptics might have us believe. I do believe that the principals in a criminal trial, especially the jurors, rise to the occasion far more often than not and become very conscientious in discharging their duties and responsibilities, sometime even more so than they themselves thought they or others would under the circumstances; but, again, I have nothing better in the way of proof but my own experience and other anecdotal evidence. And, in the end, of course, there will remain exceptions: judges, attorneys, or jurors acting in bad faith. And this is simply unavoidable, a not surprising function of our fallibility and/or chronic moral weakness.

I would suggest not only that we have the machinery in place to deal with those convicted of hate crimes, and that these are just as effective – if not more so – than either degree – or penalty – enhancement measures. And this is the penalty phase of a criminal trial, during which both mitigating and *aggravating* circumstances are brought to light and (at least ideally) accorded sufficient weight by the presiding judge and/or jurors in their determination of a final, proportional, and just sentence.

Consider the case in my own backyard, Texas, the crime alluded to at the beginning of the discussion. Here occurred one of the two most heinous "hate crimes" – because so horrid

and widely publicized. In the small town of Jaspar, situated in north central Texas, a Black man, James Byrd, Jr., was tied to the back end of a truck by white assailants and dragged to his death, being decapitated along the way. Now Texas would hardly be counted as a bastion of "bleeding-heart" liberals, and this is part of the reason why this case, in particular, is so instructive. Add to this that Texas is one of the relatively few states that have *not* enacted "hate crimes" legislation.

What ensued after the capture of the suspects? There was no change of venue; they were tried in that same small town "where everyone knows everyone else." The first suspect/defendant, the presumed leader of the pack of thugs, was quickly found guilty by his (largely white) peers. In the penalty phase, almost every single element that goes into the definition of a hate crime was included – as *aggravating* circumstances, and the jury did not hesitate to avail itself of the ultimate penalty – death. I don't think there is any *less* reason – and perhaps even more reason – to think that a jury in 2003 would act any differently given the relevant circumstances. And *if* – that's a big 'if' – we are already able to deal with so-called "hate crimes" without needing to invoke any extra machinery, it would be prudent to do so.

[1] Arthur R. Miller, "Civil Rights and 'Hate Crimes" Legislation: Two Important Asymmetries", *Journal of Social Philosophy*, Vol. XXXIV, No. 3 (Fall, 2003), No. 3, 437-443.

[2] This and all further references are to the Anti-Defamation League (ADL) web site (www.adl.org); the specific page(s) regarding hate crimes can be accessed directly at: http://www.adl.org/99hatecrimes/print.asp. For convenience, all subsequent references will be indicated with the standard 'ibid.' in the body of the text.

Indo-Fijian Music: The Legacy of South Asia in the South Pacific

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Title: Indo-Fijian Music: The Legacy of South Asia in the South Pacific

Abstract: Home to some 350,000 descendents of Indian indentured laborers, the island nation of Fiji in the South Pacific boasts a rich Indo-Fijian music culture, and yet it has not received the same scholarly attention bestowed upon other areas of the vast South Asian diaspora. Comprising nearly half the population of this multicultural but politically volatile nation, Indo-Fijians have developed and maintained a distinct identity that is both reflected in and shaped by their Indian-derived musical traditions. Largely defined by the same Bhojpuri-belt North Indian traditions that shaped the current Indian populations of Trinidad, Guyana, Surinam, South Africa, and Mauritius, Indo-Fijian culture has preserved its own branch of this diasporic folk music across its 125 year presence on the islands. However, the history of Fiji in the late 20th and early 21st centuries has become a narrative of conflict, spurred by growing economic, political, and social tensions between the Indo-Fijians and the Indigenous Fijians, the latter of whom comprise a slim majority at 51% of the nation's population. These tensions have culminated in a series of military coups, the most recent of which ousted Fiji's first Indo-Fijian Prime Minister in May of 2000.

This paper, based on fieldwork carried out in the summer of 2004, seeks the pulse of the Indo-Fijian community at this critical moment in its history through the rhythms and stanzas of Indo-Fijian music. In Fiji's post-coup climate, for example, how have musical traditions endured the dislocation of thousands of Indo-Fijians uprooted from the land they have leased for generations? How have musical practices maintained for over a century survived the sharp increase in Indo-Fijian flight to New Zealand, Australia, Canada, and the US? Indeed, how has this music sustained those who remain behind? Central to these questions are notions of "home" and "homeland" in which the former, Fiji, is infused and strengthened by the latter, India. Several musical sites lend themselves to this line of inquiry, but I will focus on religious songs celebrating the Ramayana epic, which is a pillar of local Hinduism and an indispensable link to South Asian origins in a nation that still, after more than a century, regards Indo-Fijians as foreigners.

"When Soldiers Aren't Heroes"

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2/24/04

Abstract

When Soldiers Aren't Heroes

In my short paper, I explicate the connection between personal, autonomous, rationality and moral theory. I summarize this connection in virtue ethics, deontology, Christian ethics, and utilitarianism, to show that Western persons, such as citizens of the United States, think of morality as intrinsically connected to personal, autonomous, rational agency. I then offer the classical summarization of the Just War Theory's criteria for moral war. Third, I observe that, given morality as we understand it (from the first part of the paper), we must as individuals determine whether any given war is moral (given criteria similar to or identical with the Just War Theory). Only if autonomous decisions are made so as to determine a war as moral, can it be honorable or heroic to engage in it. While this observation is straightforward, it brings the reader to an arrest, because, clearly, most military personnel and citizens leave the decision as to a war's morality up to others, and simply do what they are told to do, leaving behind their own moral agency and responsibility. From a moral standpoint, this is, of course, problematic (if not tragic). I conclude with a brief reflection on what's at stake in my observation, and how it could be possible, if my reflection were taken seriously, to diminish the hold war seems to have upon us.

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When Soldiers Aren't Heroes

During the Vietnam War, one could often see posters which read, "What if they gave a war and nobody came"? The observation below is a variation on this poster's theme. I write that it is an observation because it is hardly an argument. That is, the observation seems so straight-
forward that all one need do is acknowledge it, yet I write the essay that follows because I have never heard it acknowledged, at least with something like the precision I offer below. In our society, people ubiquitously refer to persons in the American military as heroes. That is, simply to wear a uniform makes one a hero in the eyes of many, and certainly, this is all the more true during a popular war. Indeed, it is not hard to suppose that this unreflective and immediate attachment of heroic status to military persons tracks closely to whatever conflicts and tasks in which the U.S. military is engaged at any time, and the popularity, or lack of it, of those conflicts and tasks. I will not take the time to discover the use of this discourse in previous American wars, all I need say for present purposes, is to note that now, as soldiers are on the ground in Afghanistan and Iraq, American military personnel are everywhere called heroes.

In related fashion, it is common to hear people (such as my students, again, ubiquitously)

say, "Whether the war (in Iraq) is moral or immoral, we should honor our soldiers there." It does not dawn on them to consider that fighting an immoral war would make one an immoral actor. How can it be right to fight a wrong war? How can it be honorable to fight a dishonorable war? It seems certain they've never considered the question. But could any question be more straightforward? If it is honorable to do what is moral and, and concomitantly, then, dishonorable to do what is immoral, then clearly an argument needs to be made that we can honor those fighting an immoral war as heroes.[1] My point here, I should add, will not be to argue about the morality or immorality of any given war. My observation applies to all wars, past, present, and future; and indeed, is not in the primary sense, about war at all. The meaning of "hero" and "honor" is moral in nature. Even in the military context, the word is not synonymous with "courage." Soldiers who act courageously in an immoral cause, say, in defending Saddam Hussien's regime, would not be thought of as heroes by those, like us, who thought of his regime as immoral. A hero is a person who does something which requires a significant degree of courage and/or sacrifice, and the something done by that person is seen to be moral.[2] "Hero," then, as with "honor," is a moral conception.

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[1] When using the words honor and honorable in this paper, the words admire and admirable can be understood as roughly synonymous.

[2] Certainly other virtues evident in a person's life may motivate the conclusion that he or

she is a hero. Patience, for example, comes to mind (it's not of little consequence that both Aristotle and Aquinas notice that courage and patience are related). But there is no need here to work on details of the relationship between virtues and heroism. We are only noticing the necessary connection between moral notions and heroism, the essential moral nature of the concept of hero.

But what about morality? What I want to acknowledge at this point is that most people in Western traditions think of morality as having an intimate and necessary connection to personal rational autonomy. I will not address this necessary element of moral life in all the possible traditions that have informed and shaped contemporary American culture (which would, in fact, be all those of the Western tradition). But I can simply note that Aristotelianism and other agent-oriented ethics, Christian ethics, deontology, and utilitarianism all theorize one's individual, autonomous rational capacity as a necessary component of morality itself. Let me first say a word about what I mean by personal rational autonomy.

It is instructive that two people who recognize that persons, as individuals, make moral choices through rational means (which doesn't mean that such choices are intelligent, or the best choices possible) are both known for situating morality within cultural, societal, historically-contingent, narrative contexts. Michael Oakeshott writes that moral autonomy is the character of the agent, "in his action or utterance as self-disclosure and self-enactment in a contingent subscription of his own to the conditions of a practice... Human conduct is not first having unconditional wants... and then allowing prudential reason and moral sensibility to indicate or to determine the choice of the actions in which their satisfaction is sought; it is wanting intelligently (that is, in recognition of prudential and moral consideration)... ."[3] Alasdair MacIntyre writes that each of us "has to choose both with whom we wish to be morally bound and by what ends, rules, and virtues we wish to be guided."[4] The point here, is that even in those

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[3] Michael Oakeshott, *On Human Conduct* (New York: Oxford University Press, 1996), 79-80.

[4] Alasdair MacIntyre, *A Short History of Ethics* (New York: Macmillan, 1966), 268.

moral theories in which our situatedness in communities, traditions, and narratives are emphasized, personal rational autonomy is still recognized as an inescapable and essential feature of what morality is.

By Aristotelianism, I refer not narrowly to Aristotle alone, but to virtue ethics (or aeretaic ethics), the agent-oriented tradition, including that tradition as it became part of the Medieval synthesis with Christian thought, through the work primarily (but by no means only), of Aquinas. It is indeed, essential to agent-oriented ethics that persons must choose *for themselves*, as rational agents, the courses their lives follow to the degree that such choices are possible in any given circumstance. When faced with a moral decision, I must decide what to do given all that I can "bring to the table" given that decision. As Aristotle made clear, my education, socialization, tradition-formation, and such will greatly influence my accounting of what is moral and immoral and what choices are available to me. Nevertheless, as a rational agent, *I* am responsible for making the decision, *I* must make, given my (morally necessary) willingness to work through the problem presented to me, given the best moral judgment I can muster.

Christian ethics, no less, identify the agent as morally responsible for her moral decisions. Of course, the New Testament and subsequent Christian theology is far more pessimistic than Aristotle and other virtue theorists about our ability to actually do the right thing. Nevertheless, we are responsible to do it, we are held accountable as individuals, as to our moral decisions.[5] The New Testament is clear, and one might note Romans, chapters one

[5] Being "held accountable" for our morality in Christian thought is a matter separate from soteriology, that is, that question of salvation. One is not "saved" due to one's moral character or behavior, but by "grace," so "accountability" should not be read so as to affect salvation. The point is that as moral agents, persons are meant to live morally (and it is often noted in the New Testament as to how humankind fails in this regard); further, the fact that we

through three, as a good example, that both Jews and Gentiles are "without excuse" when it comes to our personal adventures in sin.

Deontological moral theory famously essentializes personal rational autonomy. Personal responsibility and autonomy, and rational capacity are at the heart of Kant's project and all subsequent deontology by definition. This is easily seen, of course, in the summation of morality that Kant named the "categorical imperative." He summarized that as moral agents we must all as individuals ask ourselves if what we would do in any given situation is something we could authorize as a *law* that *all* people would *have* to do in that same situation. This universalization of moral law excludes no rational agent, all mentally capable adult human beings must ask themselves, "What *must I do*?" And, that question is answered in respect to what all people should by moral necessity do in the same situation. This is, of course, a philosophical analogue to the "Golden Rule" found in the Gospels (and in other forms in other religious texts), "Do to others what you would have done to you" (Matthew 7.12, Luke 6.27). Thus the universalization of moral law (in deontology and Christianity) is a personal, autonomous, and rational event.

Utilitarianism, in all its forms, likewise, takes it as an essential component of moral life that persons determine *for themselves*, what they must do as moral agents in any given situation. Mill famously asserted that we are all free to do whatever we want to do so long as it does not harm another. He understood it to be the case that we are rational beings such that we can

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do not live morally signifies our need to be saved, since our immorality is, in part, what condemns us and puts us in need of salvation.

determine what would, in fact, harm others (he was certainly too optimistic in this respect). He wrote of utilitarianism as a whole system, that it was entirely compatible with, and nearly but a restatement of "the Golden Rule." One of the two principal foundations for utilitarianism is that all people matter and all people matter equally. This means, among other things, that we are all autonomous agents, and that morality demands that we treat all others in recognition of this fact.

Having so briefly reminded the reader that the four primary moral traditions of Western societies all unambiguously take the personal, autonomous, and rational features of morality to be essential; I will briefly identify criteria of the Just War Tradition/Just War Theory (hereafter, JWT). St. Augustine (Aurelius Augustinas, 353- 430) is the primary source for the JWT. While he drew on sources before him, and many others have modified the JWT since his theory, his remains the defining formation of the JWT. Augustine's place in history is crucial to the meaning of his *City of God*, where his Just War Theory is found. He was the Bishop of Hippo and the most important theological voice in the church just as Christianity had become Christendom. In the first three centuries of the church's existence, nonviolence was an absolute and defining feature of the Christian community. Allegiance to Christ meant that violence must be renounced. Yet, with the turning point marked by the Emperor Constantine, Christianity became the favored religion, and with Constantine's successor, the official religion of the Empire. Augustine found himself in a Roman Empire which had become "Christianized" in a formal sense, and the church was now filled with pagans. He wrote *The City of God* to address this problematic, to give guidance to the Christian trying to live a faithful life in an empire, and to defend Christians blamed for the fall of the Empire, which was crumbling as he wrote.

His Just War Theory seeks to look back to the church's past and somehow draw it into

the present. Absolute nonviolence is not reaffirmed, but his theory about when war can be moral is an attempt to limit war, rather than justify it. He wants to convince Christians to live as Christians even while they must live in an Empire that pulls at them in sinful directions. His criteria for a moral war are as follows. It is important to note that Augustine thought that all criteria must be satisfied in order for a war to be just. A just war must:

1. Have a just cause.
2. Be waged by a legitimate authority.
3. Be formally declared.
4. Be fought with a peaceful intention (peace must be its goal).
5. Be a last resort.
6. Have a reasonable probability of success.
7. Use means proportionate to the ends sought.

These criteria are *jus ad bellum*, reasons allowing for a moral war. Augustine also offered the following *jus in bello* criteria, moral criteria for conducting war:

1. Noncombatants must be given immunity.
2. Prisoners must be treated humanely.
3. International treaties and conventions must be honored.

It is easy to identify a number of problems with the criteria above, many of the difficulties having to do with applying them to concrete situations. But it is important for our present purposes only to note that according to the JWT, war, if it is to be moral, must have a set of guiding and obliging criteria which hold the possibility and conduct of war to moral principles.

It is worth adding here that the United States military, like most others, also affirms its own set of military ethics, and while there is no need to explore such military codes here, the point is simply that it is understood that war presents a moral problem, and the use of organized lethal force must therefore be justified. That is, even within the military's own premises about

war, it cannot be moral to use lethal violence (or support others in so doing) simply because one is told to do so. One can simply note here that soldiers are commanded by rule not to follow unjust commands, such as those given at Mi Lai.[6]

[6] See Martin L. Cook, *The Moral Warrior: Ethics and Service in the U.S. Military* (Albany: State University of New York Press, 2004).

We have seen that according to the four most influential moral theories of Western civilization (and one could add all other moral theories, including our intuitions/intuitionism), and according to the JWT and military codes of ethics, morality requires personal, autonomous, rational decision making. There is more to living a moral life than this, of course, in all moral theories; but such autonomous responsibility is essential in all conceptions of morality. It follows then, that heroism and honor require, or at the minimum, cannot be disassociated from, such personal rational responsibility. It also follows that an unjust war cannot be fought by heroes or with honor. It also follows that if a war is just,[7] it can be fought by heroes and with honor (if they do so according to *jus in bello* criteria). This can be put in a syllogism:

Heroism requires morality,
Honor requires morality,
An unjust war is immoral,
Therefore, an unjust war fought by (autonomous and rational) moral agents means those agents cannot be warriors who are heroic or honorable,
Therefore, only a moral war can be fought by heroes with honor.

It should be added that, since life is never as simple as a syllogism, it is possible that specific situations and actions within an unjust war can be occasions of heroism or honor. That is, that a warrior who is otherwise engaged in an unjust war could find himself in a set of circumstances where he acts with honor and heroism. Nothing in my argument here disallows this observation. My purpose is to call to our attention what can be called "stand-in-line-ism."

[7] Some think that if the JWT were applied seriously, all wars would be understood as unjust. Certainly, the JWT raises the question as to whether there can be just wars, especially in the modern and contemporary worlds. Whether the JWT disallows all wars or only most of them, however, is not material to the observation made in this paper.

That is, if everything noted above is correct, then it cannot be moral to abdicate one's moral responsibility, one's own status as an autonomous rational being, who must ultimately make moral decisions for herself. That is, we can't, by definition, give our *moral* decisions over to others, to do so is to violate morality, to shirk one's moral responsibility. Going to war is a moral decision, it must be made by each moral agent on his own. To simply get in line, ready to do what another tells you to do, cannot be a moral action if one does not already know what the line is for. If a war is determined to be moral, using criteria similar or identical to that above, then the agent who has made such a decision can decide to engage in that war, and subsequently may do so with honor and heroism. To stand in line waiting for another to tell one to engage in war puts one at peril, morally speaking. If one determines that the war is moral, he will have been fortunate; if one determines the war is immoral, he will have no moral choice but to get out of line, and face the proper consequences. The exercise of the virtue of sound moral judgment (*phronesis*) would dictate that we do not get into lines until we are quite certain we'll be able to remain there with sound moral convictions intact.

I should simply add here something that is obvious, yet it can be shocking. Everything I've written above is taken matter-of-factly when condemning Nazi or Iraqi soldiers, or those who call themselves soldiers that some others call terrorists. The divorce between personal rational autonomy and engaging in actions and the behest of others is easily seen as a moral problem in these cases. We can easily see how stand-in-line-ism allows despotism and tyranny to grow, and immoral violence to be waged. Yet if we see this in respect to actions and ends with which we disagree, that is no reason for not seeing it as a matter of principle that can be applied to actions and ends with which we might agree.

Lastly, I need only mention that while I have written about warriors above, everything written here has a straightfoward applicability to noncombatants who support warriors. That is, persons who directly support war through, say preparing meals, maintaining aircraft, or accounting for expenditures cannot abdicate their own moral agency, and the content of that agency relative to our discussion is identical to what I've sketched above.[8] Moreover, non-military citizens have the same responsibility. As I always tell my students, I have blood on my hands too, for, among other reasons, I pay taxes.[9]

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[8] An exception, I think, applies to medical personnel. While it is true that medically skilled persons heal soldiers who may then go on to kill in an immoral war, healing and life-saving stands on its own, I think, as a virtue. If one has her life saved and goes on to kill immorally, the immorality of that act cannot rebound back to the medics, nurses, or doctors who saved her life. Healing and saving lives are moral activities that stand on their own as such in a way that producing weapons or paying for weapons, say, does not. That is to say, there is nothing intrinsically moral about weapon production, as there is with healing.

[9] Another moral problem is introduced here. It is the problem of hypocrisy, and perhaps, cowardice. It is hard to escape the conclusion that those who actively voice their support of any given war, when- if they are of fighting age and health- avoid that same war, are anything other than hypocrites, and perhaps, cowards. George W. Bush, when prosecuting a war against Iraq, should have found it morally necessary to encourage his daughters to enlist. All congressional

What's at stake here? I can imagine some readers thinking that what is written above makes sense, but that it makes no difference. After all, it might be thought, even if a son or brother, sister or mother, friend or neighbor is, in fact, engaged in a military event I judge to be immoral, I'm certainly not going to say so! It would be "tacky," rude, and perhaps extremely insensitive to call someone immoral for "serving their country." I conclude this essay with a thought as to what might be at stake in the discussion above, and why it may, therefore be valuable.

First, simply seeking clarity for clarity's sake is a philosophic, aesthetic, humane, and for many, a spiritual and theological, value. Humans are communicative beings and as both rational and moral agents, we should be supremely interested in communicating with one another with a diminishment of illusion, myth, and pretense. Nothing about this communicative aspect of human nature, the human condition, or human values leads to the conclusion that one must become a moralist in the worst sense and make a point of telling people when it seems they are engaged in conceptual confusion, illusion, hypocritical denial, or immoral *ignoratio elenchi* of any kind.

Second, to the degree that we can become clear about what criteria must obtain in a moral war, we may be motivated to demand moral clarity about potential and actual war, and

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members who voted for that war and speak in support of it, should encourage their fighting-age children to enlist. Of course, it is doubtful that many of these persons have done so, and we know that several of such persons avoided combat themselves, while they *spoke* in favor of the Vietnam war. This is, of course, to use Aristotelian and Christian language, shameful.

refuse to cooperate with immoral war. And if it is the case that thinking about the meaning of heroic and honorable acts in connection with war makes the issue more concrete or salient for some people; then, to that degree, they may be willing to become critical evaluators of war with a keener interest in what their conclusions might be. That is to say, no one would want to be considered less than honorable or (at least potentially) heroic while in uniform. Presumably, persons will not, at the least, want to come to such judgments about themselves, regardless of what others make think. Therefore, in thinking about one's identity and moral character in the first instance, one may come to the conclusion, in the second instance, that any given war may not be morally engaged. This kind of reflective moral decision making, may, in the third instance, have some affect upon the popularity, conduct, length, intensity, or justification of any given war. That is, simply put, wars may be harder to come by if increasing numbers of people think about their moral agency and character in the ways described above.

Of course, this may sound ridiculously utopian and senselessly moralistic. But if war is a grave moral problem, as most agree it is, then any help anywhere that can be mustered to diminish it's hold on anyone, is of inestimable moral value.

3rd Annual Hawaii International Conference on Arts and Humanities
Proceedings Submission

Presentation Title:
Experimental Digital Audio and Animation: Creating an engaging environment for interdisciplinary artistic expression

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Experimental Digital Audio and Animation:
Creating an engaging environment for interdisciplinary artistic expression

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Proceedings Abstract

Experimental Animation and Audio is a cross-disciplinary course collaboratively taught by Elainie Lillios (Digital Audio) and Bonnie Mitchell (Digital Arts) at Bowling Green State University. As an introduction to experimental digital audio and time-based visual art, the course focuses on artistic expression through the successful integration of the principles of art and music. Students explore experimental animation techniques, which may include hand-drawn frames, 3D rendered images, and/or work with video sequences. Students also learn the principles of electroacoustic music as they work with captured and custom created sound to create digital audio tracks for their experimental animations.

Experimental Animation and Audio is taught on both Macintosh and PC computers using various animation and audio software packages. Group sessions incorporate demonstrations, discussions, videos, technical exploration, aesthetic inquiry, and historical information relevant to experimental audio and animation. Much of the class, however, is devoted to “hands on learning.”

Students are encouraged to pursue areas of interest and explore new ideas throughout the course with the end result being the creation of experimental works that focus equally on audio and visual components rather than one discipline dominating the other. Music and art students expand their repertoire and understanding of creative art and audio by sharing knowledge and working in a lab environment creating projects that challenge viewers intellectually, aesthetically, and conceptually.

Students involved in the summer class have had screenings of their class projects at national conferences and festivals including the Society for Electroacoustic Music in the United States (SEAMUS), Florida Electroacoustic Music Festival (FEMF), Third Practice Festival, Imagine2 Electro-acoustic Music Festival, and many others.

During this presentation we’ll provide an overview of the course, discuss challenges involved in interdisciplinary education, discuss issues related to critiquing and assessing creative work, and showcase student work.

1 Title of the submission:
"Hawaii, Americanization, and Silent Stardom: Japanese Star Sessue Hayakawa in *Hidden Peals*"

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6 Abstract of paper

Many popular audiences of cinema remember Japanese actor Sessue Hayakawa only for his Oscar-nominated performance as a frowning Japanese military officer in *The Bridge on the River Kwai* (1957). Sessue Hayakawa (1886-1973) was actually a very popular silent film star in the US from 1915 until 1922. He was the only non-Caucasian star who had the status of a matinee idol. Right after his sensational performance as a sexy villain in Cecil B. DeMille's acclaimed film, *The Cheat* (1915), Hayakawa achieved his super-stardom. He was ranked number one in a poll of stars' popularity in the *Chicago Tribune* in 1916. The popularity of Hayakawa in Hollywood is all the more remarkable when one considers the socio-political discourse of the time on Japan and the Japanese people. The period from the 1910s to the 20s witnessed the rapid increase of anti-Japanese sentiment in the US along with the xenophobic atmosphere, especially after World War I.

How was Hayakawa able to become a movie star in the US in the second decade of the 20th century? How did early Hollywood studios construct Hayakawa's stardom in their formative period as an industry? How did Hayakawa think of his star image? How did the audiences both in the US and in Japan respond to Hayakawa's star image? Discussing the issues of race, gender, nationalism, and modernity, this paper examines the complex process in which Hayakawa's star image was created and received in the social and cultural landscape of both the US and Japan. The major purpose of this paper is to trace the volatile intersection of Japanese and white American culture. It analyzes the historical trajectory of American images of Japan, and of Japanese self-images in the world. Hayakawa's silent stardom is interpreted in terms of the struggle to define and control images of Japan on the part of white America and Japanese cultural resistance.

Closely analyzing Hayakawa's 1918 film, *Hidden Pearls*, a fantastic story that is set in Hawaii, this paper first examines the mechanism that formed Hayakawa's stardom in early Hollywood. Under the conditions of rapid industrialization, urbanization, and

increased immigration, middle-class Americans prompted the nationwide "Americanization Movement." I will argue that Hollywood studios made Hayakawa's star image symbolize successful assimilation into Euro-American culture. Through his display of the American way of life in his star vehicles and fan magazine articles, Hayakawa became a representative of the model minority who attained success in legitimate industry without threatening the current socio-political and economic system and the middle-class sense of values. In *Hidden Pearls*, Hayakawa played the prince of a Hawaiian tribe, Maki, who was sent to America to study by his father. This kind of plot in which the chief of a tribe sends his son to Western society appeared many times in "Indian films" with the motif of "noble savage" and "vanishing race." The characterization of Hayakawa's Hawaiian role in *Hidden Pearls*, corresponds to the US policy of Americanization of Hawaii, which became a US territory in 1900.

Second, this paper intends to investigate how Hayakawa's stardom functioned as a site of cross-cultural conflicts and negotiations between the US and Japan. During the period from the 1910s to the 20s, Hollywood became a global center of film production and promotion. As in the situation today, films and film stardom were consumed in locally specific socio-political and cultural conditions. Hayakawa's stardom was received and re-articulated cross-culturally, or transnationally, in the context of the globalization of film culture. I will discuss Japanese audiences' reactions to Hayakawa's stardom "made-in USA," in reference to the country's modernization policy, which was an attempt to compete with American cultural imperialism and to bolster nationalism.

ABSTRACT

a. Title of Presentation
"Cuma. The ancient monetary tradition in the Website *Campania Felix*"

b. Area of interest:
Archeology

c. Presentation

The case of Greek Cuma, in the monetary tradition of the Phlegraean Fields, is a *unicum,* from the moment that it represents the only witness of a local mint: neither in the Samnite phase, nor in fact, in the Roman phase, will there be produced in the Phlegraean area autonomous coinage. Besides, its exceptionalty clothes also the individual characteristics of a coinage that remains special to this city and its territory, connoting strongly its history through imagines otherwise unpublished. Therefore, the Website, Campania Felix, in restoring a virtual image of antiquity, utilizes also this type of material (coins) to define more precisely the ancient phisiognomy.

Born as a colony peopled by those bent toward commercial, Cume was founded in the last quarter of the eighth century BCE and it is the first and also the farathest away of the Eubeoean αροικιαι in Southern Italy. Nonetheless, it played immediately a determining role in the trade of the low Tyrrhenian, inserted as it was in a zone controlling navigatation like the other cities of a Euboean origin such as Naxos, Himera and Zancle (Messana/Messina), places on the Straights of Messina or on the channel of Sicily, it begins to mint money only a the beginning of the fifth century BCE. The motives behind this delay are not entirely clear in respect, for example, to cities such as Sibaris, Croton, and Metaponto which, instead, emit the first coinage in the second half of the sixth century BCE; while, on the other hand, one meets full harmony precisely with the Euboean *poleis* of Sicily whose mints begin their activity almost contemporaneously with Cuma.

Through the development and the framing of the various issues, as well as from the analysis of the diverse weighing systems utilized by the Cumean colony, one confirms the articulated role that the city held in the classical age, after, that is, the phase of the tyranny of Aristodemus. Its coniage particularly composed and individuized through repeated changes of monetary system: at first, that Chalcidian (based un una drachma of about 5,70 grams), then that "Euboic-Attic" (based on a didramma of about 8,50 grams), a third, however the most commonly utilized, about which there is uncertainty whether it comes from a Phocaean, Rhodian, or Phoenician origin (based on a didramma of about 7,50 grams). In reality, the first two reveal convertible values in a relation of 3:2 and consequently presuppose the possibility of easy reciprocal integration; the third is the same adopted by Poseidonia , but abandoned in favor of that adopted by the other Achaean cities of Ionia. Even Cuma would insert itself in a first moment in a monetary circulation and presumably of goods gravitating in the orbit of Chalcidian cities in the Straights and Syracuse, while

in a second moment, profiting in the variation of commercial interests of Poseidonia towards the Ionian basin, would inherit its shpere of influence that had been left vacant.

The metals coined are essentially gold and silver. Extremely interesting is the presence of a high volume of fractional ready cash, i.e."change": Cuma utilizes "change" because bys so doing it is successful in converting foreign values in the multiple transactions in which it is the protagonist.

No less interesting for implications of an historic and economic nature is the analysis of the typology. The most ancient series, for example, pressnt on the D a scalpo of a lion between two boar's heads, the mussel, the typical mollusk of the Phlegraean coast which would remain for sucessive years. The scalp of the lion finds comparison with the issues of Samus, Rhegium, and Zancle. Not by chance, did the Cumeans welcome refugees from Samos for the foundationof Dicarchia (590 BCE) and, in addition, also even at Zancle refugees from Samus had found shelter as far back as 590 BCE when Anaxilas of Rhegium, occupying the city, expelled them and established there citizens of Messana (Messina), changing the name from Zance to Messana. The lion is the animal connected to the cult of Apollo, considered the *archegetes* of Cuma.

Another issue of coins is, for the choice of types, the synthesis of multiple interests: it involves the issue which has, on the obverse, the head of the nymph, *Kyme*, who presents evident stylistic analogies with the head of Aethusa found in the coins of Syracuse and, on the reverse, a claw that suports the *chelae* of a mollusk (the only on the coines ?), but also of Himera between 480-472 BCE when it came to be conquered by the tyranto of Agrigento, Tero (perhaps a spy of a triangular political understanding: Cuma-Himera-Agrigento ?). On diverse issues there appears the head of Athena with a Corinthian helmet (about 470 bCE), sign of a homage to the Athena with the Attic helmet ornamented with an owl which would be a call to Athens when, in the fourth century BCE, a preferential channel with the polis would be sought for the exportation of grain.

Just as relevant is the adoption of symbols: the *kantharos* to give value to the local wine productioni and the cult of Dionysos; Cerebrus, connected to the localization of the Underworld on the laake of Avernus; the stalk of grain in memory of the cereal production.

Not even the conquest of Cuma by the Samnites (421 BCE) leads to the end of the coinage of the city: infact, the the operatives of the Greek tradition transfer to *Neapolis* (Naples), whose mint becomes the meeting point of diverse Campanian communities, supplier of money for Rome itself.

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Cultural Dance Forms: Swing and Mambo

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Two workshops each focusing on a different cultural dance form including: Swing and Mambo. Hands-on participation - come and participate, have some fun, learn some steps.

Where Did Freire Go Wrong?
Pedagogy in Globalization: The Grenadian Example

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ABSTRACT

Recent debates in education theory have centered on the poststructural emphasis of the decentered (heterogeneous) subject within the cultural structure of schools. Emphasizing the dialogue, recent pedagogical practices have avowed, between constructed identities within schools, theorists of this poststructural persuasion attempt to demonstrate the resistance posed by constructed identities to integration into the capitalist structural logic of schools. This essay, on the contrary, argues that Paulo Freire's dialogical pedagogy, as contemporarily practiced in American post-industrial workplaces and schools, speaks to the continual role of education as an instrument that is used to facilitate integration, rather than as a liberating force against the partiality of its capitalist ideological structure.

So where did Freire, and by my association poststructural theorists, go wrong? This essay, through a world-systems approach, offers a rereading of Freire's emphasis on dialogue, as practiced in the American and Grenadian contexts, which not only refutes it in favor of the antidialogical model or the "Banking system," but demonstrates, contrarily to the poststructural emphasis, how dialogical pedagogy is utilized (as commodified identities), within existing configuration of capitalist power, to foster normalization (i.e., homogenization) amongst diverse "cultural" identities (race, ethnicity, gender, and sexuality), rather than to liberate them.

Introduction

It is through education (an "ideological state apparatus" in Althusserian terms), with the rise of the modern state, by which the members of the dominant group, the upper class of owners and high-level executives (bourgeois capitalists) in this day and age, impose (without force) their will throughout society. This suggests that the educational curriculum and by association its pedagogical practices are those which the economic base, as perceived by those in power positions, requires. Thus education, in this sense, becomes the primary means of "enculturation" or "socialization" to participation in life processes in modern times. For by controlling the material resources that sustain institutions, education in this case, the powerful [(capitalists, i.e., upper class of owners and high-level executives)] can deny resources needed to make vital identity claims and to experience selves as agents (Schwalbe, 1993: 342).

"Selves are thus stunted as they are disciplined and harnessed to serve the needs of capital" (Schwalbe, 1993; 342-343). Which in essence means, "[t]here is no such thing as a neutral educational process [or essential selves for that matter]. For selves are a product of education that either functions as an instrument that is used to facilitate the integration of the younger generation into the logic of the present system and bring about conformity to it, or it becomes 'the practice of freedom,' the means by which men and women deal critically and creatively with reality and discover how to participate in the transformation of their world" (Freire 2000 [1970]: 34).

But how is this possible? How can education come to serve as "the means by which men and women deal critically and creatively with reality and discover how to participate in the transformation of their world," if, as I am suggesting, it is always an

institution (i.e., a reproductive apparatus) of the power structure? Brazilian social theorist Paulo Freire (2000 [1970]) suggests that it is through the restructuring of the education system to allow for dialogue between subjective or cultural and structural positions. In other words, dialogue in the classroom between the cultural or structural experiences of students and the dominant group as represented by teachers and administrators, without the latter group marginalizing the former.

Recent shifts (as a result of the shift from an industrial to a postindustrial economy) in American pedagogical practices, and concomitantly in developing countries such as Grenada for example, which appear to emphasize Freire's dialogical model, however, speaks, as I intend to argue here, to the continual role of education as an instrument that is used to facilitate integration, rather than (as many Postmodernist theorists of education emphasize with their Freirean understanding of dialogue between "cultural" discursive practices within the existing configuration of power) as a liberating force against what has become a *reified consciousness*, i.e., the global capitalist ideological social structure or culture. So where did Freire (and by association, Postmodern critical theorists of education) go wrong? For regardless of this contemporary emphasis on dialogical pedagogy, freedom is still denied to the world's poor, who are structurally the product of the labor and consumer laws of the upper-class of owners and high-level executives, and their pawns the middle classes, who govern the world-system.

This essay offers a rereading, at the world-system level, of Freire's emphasis on dialogue, as practiced in the American and Grenadaian context, which refutes it (and the Postmodern emphasis)—given its utilization by power (America) to normalize divergent

discursive practices (Grenada) within its existing configuration, i.e., the Protestant discourse and its discursive practice, the "Spirit of Capitalism,"—in favor of the antidialogical model or the "Banking system," which, as a result of the nature of the global capitalist social structure (a reified consciousness), offers a more realistic chance of freedom for those oppressed by its neoliberal ideological practices, i.e., the poor, children, and people of color.[1] In other words, my conclusion, contrary to Freire, is that it is the "enframing" ontology within which pedagogical practices are ensconced, not the practices in-and-of-themselves, which determines their liberatory effects. Be that as it may, my position is that so long as the capitalist social structure is the "enframing" ontology within which Freirean dialogical practices take place, the aim, as we will see through the case of Grenada, will always be to maintain the oppressor/oppressed or exploiter/exploited relationship that structures the capitalist mode of production. Thus, it is only through the introduction (via the channels of banking education) of a new, democratic, "enframing" ontology will liberation for the oppressed truly be obtained. For only than will the oppressed be allowed to communicate and change their hardships as promulgated by the "ethics" of the upper-class of owners and high-level executives who contemporarily governs the "World-system."

The Global Context

The upper class of owners and high-level executives, based in the corporate community of developed countries like the United States, represent today's dominant bourgeois capitalist class whose various distributive powers lead to a situation where their policies (discursive practices, i.e., neoliberal policies) determine the "life chances" of not only local social actors, within the globalizing developed nation, but global ones as

well. As William Domhoff (2002) points out in *Who Rules America*, "The routinized ways of acting in the United States follow from the rules and regulations needed by the corporate community to continue to grow and make profits" (Domhoff, 2002: 181). Globally, this action plays out through US dominated institutions such as the World Bank (WB), World Trade Organization (WTO), International Monetary Fund (IMF) etc., who prescribe fiscal, political, and social policies to countries in search of aid for development that aids the corporate-driven agenda of the developed world (that is, fits them within the structure of their social relations, i.e., the discourse of the Protestant ethic and its discursive practice, the Spirit of Capitalism), rather than the agenda of the developing countries: the establishment of open markets as the basis for development and social relations in developing countries, whose markets when established are unable to compete with that of competitors in the West, and therefore get usurped by the capitalists' of the West who take advantage of the labor force—which is cheapened in order to globally compete with other—cheaper—prospective markets—and other resources of the developing country, who must allow these investors into their country in order to pay back the debts they owe to the aforementioned international institutions lest they be declared ineligible for aid and development loans if they do not open up (liberalize) and secure their markets.

The contemporary trend of this five hundred year-old process has been labeled globalization (market-driven as opposed to the post World War II development model, which emphasized economic replication, i.e., prescribed stages of economic development for developing countries, along the lines of the developed world—US and Europe) under the auspices of neoliberalism (McMichael, 1996; Portes, 1997). A common sense view

that tends to see globalization as both an ideological force (a conceptualization of the world [, i.e., establishment of markets as the basis for social relations]) and a material force (i.e., real transnational movements of capital and commodities). That is to say, from this "natural attitude" or perspective globalization serves not only as a tool for investors to extract concessions from states, and for investors and states to extract concessions from workers and other citizens (Klak, 1998: 5), but also as a means of socialization to the capitalist social relations of production as the constitutive "practical consciousness" of modern societies—an ideological position, which assumes a distinction between the life-world of cultural meanings and subjective experiences, and the capitalist non-cultural system, which governs them (Habermas, 1987 [1981], 1984 [1981]).

Theoretically, this position amounts to a liberal euphemism for Immanuel Wallerstein's (1974) world-systems theory, which emphasizes the integration of the world into a functional system "based on capitalist commodity production organized by a world market in which both purely economic competitive advantage and political interference by states play an interactive role" (Chase-Dunn, 1977: 455). In other words, "in the modern world-system there is only one mode of production, commodity production for profit on the world market, that articulates different forms of labor exploitation and encompasses a system of differentially powerful [(core)] states and peripheral areas" (455) from whom concessions are extracted and social relations are normalized, regardless of race, ethnicity, gender, and sexuality, to meet the ends (profit-motive) of the capitalist system as governed by the most dominant core state (i.e., the hegemon of the system—the US contemporarily).

Whereas the dominant focus of world-systems analysis and the common sense view has been on the exploitative (or not) material relations between, and within the borders of, core and periphery states. The point of emphasis here is on the ideological aspect or the socialization facet involved in the conception of this relation in terms of capitalist ideological domination. This is an important distinction, for while the material approaches view the system or structure of capitalist relations as distinct from the plethora of cultural meanings and subjective experiences, which operate within its systemic framework (Habermas, 1987 [1981], 1984 [1981]). My position argues that the contrary is the norm. That is, the capitalist system, through ideological apparatuses or institutions, colonizes the "lifeworld" to prevent differentiation of norms and subjective experiences from that of the Protestant ethic and the spirit of capitalism.

From this position, the view, unlike that of the materialist position or the common sense view, is that in the emerging post-development global setting (globalization), globalizing capitalist core states, like the US, no longer rely exclusively on political and military force to extract concessions, or market forces for that matter to reproduce the system or the structure of social (consumer and labor) relations amongst their own citizens and those of periphery nations. Instead, as Louis Althusser points out (2001 [1971]), as governing elites in control of the state, as the constitutive element for bourgeois domination, investors pressure other states to use state "ideological apparatuses" such as education to *interpellate* their "workers and other citizens" with the ideological practices (i.e., discursive practices) that justifies, and makes acceptable, their role (agents of the Protestant ethic) in the investor/worker relationship that structures the global social relation of production. In other words, through "ideological state

apparatuses," such as education, social actors in modern societies are given the "ethics" needed for both their "ontological security" and the reproduction of the structural terms (i.e., norms, values, prescriptions and proscriptions) of the capitalist social relations of production.

Thus, "ideological state apparatuses," in essence, become the force-less means of enculturation or socialization to the dominant capitalist order of things. So that in the case of education as an ideological state apparatus in today's emergent global economy and culture, for example, the pedagogical practices and curricula are those, which are required to reproduce the capitalist social relation of production as practiced by the structural agents (the governing bourgeois class of owners and high-level executives in developed countries) of its discourse, i.e., Protestantism. This fact further implies that the transformation of society rests not on the subjective initiatives of *all* social actors, but on the "objective forces" disseminated through education as an ideological apparatus, which these elites equate with the nature of reality and existence as such. Hence, whereas those in power positions, investors in the global economy, actively partake in the reproduction and transformation of society and the world around them, by (re) configuring the discursive practices (i.e., rules and regulations of the "Spirit of Capitalism") of the ideology (the Protestant discourse) within which their self-interest is best attainable. The majority of workers and other citizens (non-investors), at best, become pawns of the ideology, as they recursively organize and reproduce, for their ontological security, the discursive practices of power. A seemingly non-agential position, for from this perspective social actors lack the theoretical and practical skills to transform their world as they encounter it, they simply reproduce it (attempting to live as investors) given their

indoctrination—"embourgeoisement," in state ideological apparatuses such as education—into the pragmatics of bourgeois living.

The emerging post-development or post-modern global capitalist economy and culture (consumerism), dominated by U.S. foreign policy agenda, and the subsequent transformation of educational pedagogical practices throughout the globe (Tye, 1999)[2], I argue here through an understanding of the juxtaposition of American and Grenadaian practices, speak to this phenomenon of cultural or structural homogenization. A view, which diametrically opposes the position of most contemporary critical theorists of education who argue for and attempt to demonstrate cultural heterogeneity, i.e., cultural heterogeneous groups engaged, through pedagogical practices that allow for dialogue, in struggles over the production, legitimation, and circulation of particular forms of meaning and experience, within education as a reproductive apparatus for economic conditions (Erevelles, 2000).

(Post) Modern Pedagogy

In essence, my argument, in contradistinction to the latter position, is that it is only under the auspices of economic conditions (post-industrial consumerist globality) that contemporary critical theorists of education are able to speak of cultural heterogeneity within the existing configuration of capitalist power relations. In other words, globalism, or globalization, is a condition of capitalist organization (i.e., capitalist discursive practice). That is to say, the process is simply the continual "stretching" of capitalist discursive practices (mostly American dominated), which as Immanuel Wallerstein points out has always been global in character, across time and space. However, as many globalization theorists of the postmodernist variety have demonstrated

(Bell, 1976; Harvey, 1989; Giddens, 1990; Jameson, 1991; Arrighi, 1994; Sklair, 2001; Kellner, 2001), this contemporary condition is no longer characterized or driven by the industrial means for accumulating capital, which dominated the social relations of production of the last one hundred years, instead, the present globalization condition is tantamount to the concept, post-industrialism (consumerism)—the new means for accumulating capital—, and in such societies like the U.S., is characterized not by the industrial organization of labor, but rather by capitalist service occupations. Thus, the major emphasis among governing elites in this economy or social (consumer and labor) relation of production has been participation or integration of "others" (specifically "hybrids") into the existing configuration of power relations in order to accumulate profits by servicing the diverse wants and needs of commodified cultural groups.

Given that most critical theorists of education have denounced the liberal claim, which sees education as a neutral process, the contemporary debates in educational theory, regarding the role of education in this post-industrial age, which emphasizes participation, have centered on the degree to which education serves as a reproductive apparatus for economic conditions as oppose to a democratically constructed "discursive space that involves asymmetrical relations of power where both dominant and subordinate groups are engaged in struggles over the production, legitimation, and circulation of particular forms of meaning and experience" (Erevelles, 2000: 30). Peter McLaren (1988) and Henry Giroux (1992), most conspicuously, given the push for educational reform in consumerist globality, which emphasize participatory pedagogical practices such as cooperative group work and other supposedly cultural specific modes of learning, "have begun to examine the discursive practices by which student subjectivity

(as constructed by race, class, gender, and sexuality) is produced, regulated, and even resisted within the social context of schooling in postindustrial times" (Erevelles, 2000: 25). Thus, challenging the claims of Samuel Bowles and Herbert Gintis (1976), for example, who in *Schooling in Capitalist America* argued "that the history of public education in capitalist America was a reflection of the history of the successes, failures, and contradictions of capitalism itself. In other words, they conceptualized schools as "ideological state apparatuses," that, rather than attempting to meet the needs of citizens, instead devised administrative, curricular, and pedagogical practices that reproduced subject positions that sustained [the] exploitative class hierarch[y of capitalism]" (Erevelles, 2000: 28).

McLaren and Giroux, on the contrary, argue that Bowles and Gintis, along with other reproduction theorists such as Basil Bernstein and Pierre Bourdieu, are to deterministic. Hence, influenced by the impact of poststructural theory on cultural studies, McLaren and Giroux among others, instead explore how the everyday actions and cultural practices of students that constitute several subcultures within schools serve as cultural sites that exist in opposition to the hegemonic dictates of capitalist education (Erevelles, 2000: 30).

I disagree with this latter interpretation, for the Freirean dialogical practices, which these poststructural critical theorists of education emphasize, as evidential of the democratic struggle, between diverse groups, over the "production, legitimation, and circulation of particular forms of meaning and experience" within the existing hegemony of capitalist education, are in fact the result of the social relations of production in post-industrial capital, and therefore paradoxically serves capitalist education. That is, the

consumerist globality of postindustrial capital fosters the participation of the cultural sites that exist in opposition to the dictates of capitalist education, for these sites, that is the meaning and new identities allowed to be constructed within the capitalist social space, are in-turn used to extract surplus value from their consumer representatives. In other words, cultural sites become markets, structured (through education) within the dictates of the protestant ethic and the spirit of capitalism, to be served, by their predestined (capitalist class) "hybrid" representatives, who, working for the upper-class of owners and high-level executives, service their respective "other" community as agents of the Protestant ethic. Thus, no longer is the "other" alienated and marginalized by capital; instead they (i.e., those who exercise their "otherness" as hybrids) are embraced and commodified so that the more socialized of their agents can (i.e., through hard work, calculating rationality, etc.) obtain economic gain for its own sake. Thus, current pedagogical practices, which reflect Paulo Freire's emphasis on dialogue, lack the potential, contrarily to Freire's inference, for liberation as they are utilized to reproduce the social relations of production under post-industrial global capitalism amongst previously discriminated against "others."[3]

To prove this point, I want to juxtapose this relation between the "hegemonic dictates of capitalist education" and culture, by looking at this interaction at the global, or what Immanuel Wallerstein calls the world-system, level. Specifically, I will concentrate on the hegemonic dictates of capitalist education in today's world-system dominated by the US, and the actions and practices of what amounts to the Grenadian subculture, for example. The social relational circumstances of this example, I intend to argue in other

words, will highlight the paradoxical nature characterizing (capitalist) education in globalization or the contemporary world system.

(Post) Modern Pedagogy in the US

The social relations of production of the two most recent conditions of capitalism are diametrical opposites to say the least. Under industrial capitalism, "the scientific management movement initiated by Frederick Winslow Taylor in the last decades of the nineteenth century was brought into being…in an attempt to apply the methods of science to the increasingly complex problems of the control of labor [(in order to maximize profits)] in rapidly growing capitalist enterprises" (Braverman, 1998: 59). The end result of this movement was the separation of the roles of worker and management. In the case of post-industrialism (globalization), there was a renewed emphasis on cooperation between worker and management. In both cases, interestingly enough, the techniques and functions of the work place were replicated in US classrooms to serve as the means of socialization or enculturation to the labor process, and its subsequent way of life.

This direct correlation, most conspicuously, was between the implementation of pedagogical practices in American classrooms that paralleled the organization of work under each mode of production (Mocombe, 2001). For instance, under the scientific movement of the industrial stage, mental work was separated from manual work, and "a necessary consequence of this separation [was] that the labor process [became] divided between separate sites and separate bodies of workers. In one location, the physical processes of production [were] executed. In another [were] concentrated the design, planning, calculation, and record-keeping. The preconception of the process before it is set in motion, the visualization of each worker's activities before they have actually

begun, the definition of each function along with the manner of its performance and the time it will consume, the control and checking of the ongoing process once it is under way, and the assessment of results upon completion of each stage of the process—all of these aspects of production [were] removed from the shop floor to the management office" (Braverman, 1998;86).

To parallel the concepts of control adopted by management at that time, school curricula in the US stressed marching, drill, orderliness, assigned seats in rows, individualized seatwork, and tracking and leveling; seemingly all were preparation for the coordination and orderliness required in the modern factory. Lining up for class as well as marching in and out of the cloakroom and to the blackboard were activities justified in terms of training for factory assembly lines, while tracking and leveling sorted out future workers and managers (Springs, 1994: 18).

In short, all of the above-mentioned vestiges of the school curriculum/pedagogy complimented an aspect of the factory under scientific-management. Which is why, the service-oriented (post-industrialism) re-structuring of American capitalist society, beginning in the 1960s, witnessed massive reform initiatives in school pedagogies—a result of the re-conceptualization of the role of the worker in the labor-process under consumerist globality. Skills that were peculiar to the industrial worker become futile to the service worker in the postindustrial process. That is, whereas, the old work process was founded on passive submission to schedules or routines, individualism, isolationism, and privatism; the postindustrial or globalization stage of the labor process focuses on teamwork. "It celebrates sensitivity to others; it requires such 'soft skills' as being a good listener and being cooperative" (Sennett, 1998: 99). This reorganization of work

has revamped the role of the laborer in the work process, and "throughout the U.S. economy, employers and managers are promoting a new ethos of participation for their workers. In fact, the spread of a paradigm of participation—comprised of extensive discussion about the merits of worker involvement as well as actual transformation of production methods and staffing practices—may indeed be one of the most significant trends sweeping across postindustrial, late twentieth-century workplaces" (Smith, 1998: 460). And to ensure socialization to this new aspect of *Being* in capitalism, this trend of employee involvement is adumbrated in the pedagogical curriculum reform movements of many US school systems, which place a major emphasis on "process approaches," "active learning strategies," such as cooperative learning, group work, and many other "soft skills"—good listener, speaker, and writer—which characterize the dialogical elements of the new labor-process. [4]

This paradigm of participation, accordingly, is not an attempt on behalf of management to reassociate the conception of work with its execution. In other words, this is neither a reconstruction of Taylorism's principles nor a means of trying to liberate the workers, as a result of the subsequent dialogue brought on by this ethos of participation. Instead, "Sociologists, industrial relations researchers, organizational scientists, and policymakers who have studied this trend agree that leaders and managers of U.S. companies are climbing aboard the bandwagon of worker participation in their urgent attempts to maintain competitiveness under changing economic circumstances. Employers believe that when workers participate in making decisions, when they gain opportunities to apply their tacit knowledge to problem solving, and when they acquire responsibility for designing and directing production processes, they feed into an

infrastructure enabling firms to respond to shifting market and product demands [(consumer demands)] in a rapid and timely way" (Smith, 1998: 460).

Essentially, this is the reason why the existing configurations of economic power, located in the US, allow for the fashioning and participation of new identities (through pedagogical practices that engender participation, i.e., cooperative group work, field trips, class room presentations, etc.) in the order of things: under industrial capitalism the aim was production for militarily controlled overseas markets, under post-industrialism the emphasis is servicing a larger segment of these markets not just the initial colonial "hybrid" bourgeois class, who are also interested in obtaining a larger portion of these markets. Be that as it may, the emphasis of the education as an ideological apparatus for post-industrial capitalist social relations becomes that of allowing identities to reconfigure, not reconstitute, by the hybrid bourgeois class, the capitalist social space for more participation of their once discriminated against identities. This is done or allowed by the dominant bourgeois class of owners and high-level executives, who under the consumerism of postindustrial society has expanded the capitalist social space through the restructuring of the organization of labor and its paralleling pedagogical practices in schools to allow for the participation of the "hybrid" bourgeois class (middle classes of different ethnic groups, sexual orientations, race, religion etc.), who in turn configure the capitalist social space for their participation through the commodification of the "hybrid" identity, which discriminates against all other forms of sociation exercised by the "other" community while generating profits for themselves and the dominant bourgeois class.

In other words, in the socialization of "identities-in-differential" within education as an ideological apparatus for the capitalist social structure what is (re) produced is

ideological sameness amongst diverse "bodies/subjects" vying for control of their commodified markets as firms learn, by using the knowledge which dialogue between subjective positions foster, how to maximize their profits by catering to the needs of these "new" consumers represented by "hybrids," i.e., "other" agents of the protestant ethic and the spirit of capitalism, of their communities. Thus, the introduction of management-initiated employee involvement programs (EIPs), as well as paralleling pedagogical practices in schools, have been introduced, under the auspices and practical consciousness of the "hybrid" class of once discriminated against identities in order to parallel the capitalist ethos of consumerism—the current means of capital accumulation—currently dominating the globalization process or, as Wallerstein three decades ago framed it, the "world-economy."

This enables them, "hybrids" as well as the dominant bourgeois class, to obtain economic gain for its own sake while inhibiting differentiation of thought from that of the capitalist ethos amongst those in the "third world" whose exploited labor for the production of expensive goods for "global markets" has created the hybrid middle classes of consumerist globality in the "first world." That is to say, the upper-class of owners and high-level executives in the hegemon of the world system has created a hybrid class (middle class) through the transfer (i.e., reconfiguration of the capitalist social space) of low-paying jobs to the "third world." So in the governing state of the world-system, the social relations of production have become service oriented amongst the hybrid classes (i.e., middle classes of "others") to take advantage of the growing service (i.e., technical, social, economic, cultural, etc.) problems of the "other" people in the "third world, who

are unable to meet their own needs given the low wages paid by multi-national or transnational corporations for the production of goods for the "first world."

The Global process: The Grenadian Example

Let us look at the process now from the perspective of a subculture, i.e., the Grenadian example. In today's US dominated "world-economy" or "world-system" the ideological process plays out globally in that to facilitate American policy goals, which amounts to setting the global stage to benefit American multi-national corporations (MNCs), particular models of education have been exported and specific kinds of programs supported financially in developing countries in order to reproduce the role of their citizens, as producers of goods, in the global (American dominated) capitalist economic order. Thus, "results of American policy are rather similar to the British [(the former hegemon of the capitalist world-system)] colonial educational policies of the nineteenth century in that existing metropolitan institutions are exported to the developing areas, often in forms somewhat below domestic standards and sometimes without much adaptation to local conditions" (Altbach, 1995: 455).

In the case of the Caribbean, for example, which has been in America's "backyard" since time immemorial, what we see today under "globalization" is the exportation of an American style education which emphases the "soft skills" that their (citizens' of the Caribbean) work, i.e., tourism, data-processing, manufacturing, etc., in the new global economy, as dominated by American interest, requires. This undermines and supersedes the struggle of Caribbean people over ideologies or significations that improves their historical conditions. Instead, their identities are commodified and configured within existing configurations of [(economic]) power" (Giroux, 1992: 28).

In other words, "The Caribbean enterprise culture…is dominated by merchant capital and lacks a sophisticated base in the production and export of modern goods and services" (Watson, 1997: 67).

> Bodies such as the Caribbean Community (CARICOM)…and the Association of Caribbean States (ACS) are products and agents of globalization and restructuring. They reflect an unstated recognition that the market and macroeconomic policy coordination are insufficient to produce desired results. They serve or complement a U.S. strategy for deepening the integration of Latin America and the Caribbean into the economy of North America, and more broadly the integration of the entire hemisphere into a single economic bloc [which continues the merchant capital enterprises required by American interest, i.e., tourism and low-end information processing jobs] (66).

The neoliberal logic (i.e., supply side economics) is that the continual growth of these industries or markets will expand the job market, and therefore increase the well being of the masses as capital trickles down from the owners of industry to the "workers and other citizens," who become interpellated consumers and laborers.

In this social environment, as my structural argument implies, the attempt at economic diversification (to meet specific needs) or the fashioning of new identities, by the masses, is futile and inconceivable, for the adaptation of the "soft skills" (pedagogical practices), which these industries require, to school curriculums become simply a means of reproducing the social relations of production in the Caribbean, which the global hegemonic economy—American interest—requires in order to obtain economic gain for its own sake. Forcing the Caribbean masses to remain one-dimensional laborers and consumers dependent on external investors ("hybrids" claiming to speak for the masses) for all other industries, which their learned skills are ill equipped to tackle. The case of Grenada in the region is most illuminating since the US has had a direct hand in shaping the country for its role in "globalization" or the "world-economy."

Grenadian Pedagogical Practices Since Independence

In 1979, five years after their independence, in a bloodless coup spearheaded by Maurice Bishop, the New Jewel Movement in Grenada attempted to reconstitute their society, which was for so-long part of the British colonial (capitalist) heritage. "The socialist program of the Peoples Revolutionary Government (PRG) was optimistic as well as idealistic. Several objectives were framed to thoroughly redevelop the island's economy: (1) construct the Point Salines International Airport to handle wide-bodies jets and invest in the infrastructure necessary for a restructured, locally owned tourism industry; (2) encourage growth of a mixed economy with three major institutional bases—state, cooperative, and private—with the state playing the leading role; (3) improve the standard of living through a comprehensive program aimed at upgrading social services and ensuring basic needs; and (4) diversifying overseas trade and diversifying the portfolio of foreign aid and assistance, particularly courting assistance and linkages with CMEA countries, including Cuba, and improving South-South cooperation" (Conway, 1998: 38).[5]

Consequently,

> …the international acclaim that Bishop garnered, championing the antiimperialist cause on behalf of the Nonaligned Movement, was often made at the expense of the Reagan administration. Bishop's rhetoric, like Michael Manley's [(the late Prime Minister of Jamaica at that time)], was answered by U.S. State Department reaction and displeasure. Bishop's principled stances were championed by the U.S. Congressional Black Caucus, but the Republican administration was not amused. In the end, the "Revo" lasted only four years. Strife within the PRG, culminating in a military coup and the assassination of Maurice Bishop and other followers, provided an opportunity for the U.S. military and the Reagan administration to coordinate the invasion and occupation of that Windward "Spice Isle…." Grenada was gradually admitted back into the fold, the airport was finished, tourist facilities were opened to foreign finance, and the national economy was to be open, export-oriented, and dominated by foreign capital (39).

When the People's Revolutionary Government (PRG) led by Maurice Bishop had overthrown the conservative regime of Eric Gairy, "[t]he existing education system matched Grenada's malformed and poorly developed economy (exports of agriculture and agriculture-based products contributed 80 percent or more of total domestic merchandise exports), which was part of its British colonial (capitalist) heritage. The majority of the population, subsistence peasants and laborers on cocoa, nutmeg, and banana plantations, got a basic level of primary schooling which was often deeply flawed by scant resources, inappropriate curricula, and untrained teachers. A minority of the population went on to elite secondary schools which prepared them for British external school-leaving examinations. Success in these exams gave them entry into 'white collar' jobs in the government service or the small commercial sector, or a better chance to migrate to Britain, the U.S.A., or Trinidad" (Hickling-Hudson, 1988: 10). Those who returned subsequently became the ruling elites on the island, looking to England and the USA for their "ethics."

Under the Bishop administration, work-study, as articulated by the Brazilian educator Freire, "was seen as an educational programme which would help to counter the problem of the abstract, overly theoretical curriculum of the traditional education system. The dichotomy which valued academic subjects and marginalized practical ones was seen as a major weakness of Grenada's colonial type of education system, which had played a part in maintaining the underdevelopment of the economy and the society" (Hickling-Hudson, 1988:11). "The PRG's major aims were to remove the economic stagnation of Gairy's era and to eliminate the dependence syndrome that Grenada had inherited from its colonial past" (De Grauwe, 1991: 338-339). Thus, whereas the former model, under

English domination, sought to perpetuate the class privilege and class difference that structured English capitalist society, i.e., the educated who governed in the name of the Queen and the peasants who worked for them, the PRG model, in an attempt to refashion a new identity within a than British dominated capitalist relation of production, introduced a rural-oriented as well as an abstract politically oriented curriculum for building the "economy and improving economic and social welfare of the people" (Coard, 1985: 10, Quoted in De Grauwe, 1991: 339). In other words, educational pedagogy in Grenada during the revolution emphasized agricultural, technical and vocational training "enframed" by a Marxist politically oriented curriculum designed to reconstitute Grenada as a more democratic and socially egalitarian society, a new identity within existing configurations of capitalist—US and British—social relations of power.

After the US invasion in 1983, which brought about the end of the PRG and their programs, the Interim Government supported and directed by the U.S. sought to implement pedagogical practices that aided in the transition of Grenada into the existing global capitalist social relations of production by paralleling these practices with the export-oriented market economy required by American capitalists: the openness of the national economy, which was then agriculturally dominated, made it susceptible to competition from larger and more global agribusinesses that drove the local markets out of business, the banana industry for example. The US on account of this, provided foreign direct investment—the U.S. Agency for International Development (USAID) provided more than $120 million in economic assistance from 1984 to 1993. Today, U.S. assistance is channeled primarily through multilateral agencies such as the World Bank—in sectors which could eventually advance to the stage of generating new exports, i.e.,

tourism and other "service industries in which the need for technical expertise is high and which could be diffused through the rest of the economy, either by the formation of joint ventures or through strategic alliances between local firms and foreign-owned enterprises setting up business in the country."[6]

Thus, whereas the PRG sought to make Grenada self-sufficient, more egalitarian, and independent through the adoption of pedagogical practices that linked work with "banking" study of a new (Marxist) form of social relations, the bureaucrats of the Interim Government under the auspices of the U.S. implemented practices "reoriented towards the world of work" (from interview with George McGuire, Minister of Education between 1986 and 1990, Quoted in De Grauwe, 1991: 347) prescribed to the Grenadians by the global, i.e., U.S., economy (work along technical and vocational lines, and the service industry, i.e., tourism), which perpetuated the dependency and class inequalities of capitalism established by the British. As a consequence, educational pedagogy in Grenada after the revolution and under the auspices of the US, emphasized technical and vocational training, and "soft skills" were promoted at the secondary level "to relieve it from its academic bias and to make it more relevant to the job market" (De Grauwe, 348), i.e., for work in the now dominant service industries, most conspicuously tourism (in the latest IMF statistical assessment of the Grenadian economy, service industries were a substantial contributor to GDP at 68.3 percent in 2000), controlled by foreign markets.[7]

This trend continues today, as Grenada is heavily dependent-on and dominated-by foreign capital, which is heavily invested in tourist facilities and all of its accoutrements, i.e., telecommunications, international financial services, etc., which has turned the national economy into an export-oriented one (Klak et al, 1998). As a result, educational

curriculums in Grenada's seventy-six public schools (57 primary and 19 secondary schools) emphasize pedagogical practices—good listener, speaker, writer, dialogue, and cooperative group work, etc., —which parallel the performance of work in their service-dominated economy.[8] Hence, what one finds in Grenada today, which arguably is the norm throughout the developing world within existing configuration of US dominated capitalist power, is an elite, i.e., government bureaucrats, who are for the most part foreign trained (educated) in the pragmatics of bourgeois governance, i.e., law, politics, economics, etc., who (as hybrids) serve as middle managers for the bourgeois capitalist class of the developed world. The majority of the masses attend local schools up to the secondary level where they obtain training in the pragmatics of laboring and bourgeois living (i.e., consumerism). They then enter the job market, i.e., tourism, technical work (information-processing), manufacturing, etc., where the sustainable growth of the economy (the expansion and growth of its existing industries) is suppose to reflect in the increase in their real wages, which allows them to exercise the agential moments of bourgeois living or the Protestant ethic and the spirit of capitalism. This has not been the case, however, as capital continues to exploit the labor force, which interpellated as consumers, are unable to obtain either their bear necessities or exercise their embourgeoisement given their (global) capital determining low wages (Klak et al, 1998).

Clearly today, then, as the case of Grenada highlights, the dialogical pedagogical practices of post-industrial capitalism, under the auspices of those in power positions, cannot be liberating, because it functions as a means of directing labor for the continual benefits of capital. Hence, dialogue, essentially, has been incorporated into the "ideological apparatuses" of the power elites, and in the workplace and the classroom it

has been "reduced to the act of one person's 'depositing ideas in another, [and has] become a simple exchange of ideas to be 'consumed' by the discussants" (Freire, 2000 [1970]: 89). In this understanding, the pedagogy of dialogue is unable to foster freedom and simply becomes an enculturative mechanism, as opposed to a liberating force, to the existing configurations of power. Why is this so? What is it about self and society in modern (and postmodern) times that prevents dialogue between subjective positions from reaching a democratic objective understanding (a la Habermasian "communicative action") that benefits all—not just those (capital) in power positions?

Where Did Freire Go Wrong?

Paulo Freire in *Pedagogy of the Oppressed* (2000 [1970]) bears witness to this contradiction between education as a medium of "enculturation" and education as a liberating force. Freire argues that in modern capitalist society social relations occur between two groups, oppressor and oppressed, or what amounts to the same thing, Marx's capitalist/proletariat classification, and one of the basic elements of the relationship between them is "prescription." "Prescription represents the imposition of one individual's choice upon another, transforming the consciousness of the person prescribed to into one that conforms with the prescriber's consciousness. Thus, the behavior of the oppressed is a prescribed behavior, following as it does the guidelines of the oppressor" (47).

For Freire, in order for education to serve the oppressed it must be one that emphasizes "the practice of freedom." It must be a pedagogy of the oppressed, which emphasizes their practical consciousness, as shaped by their material conditions, prior to the prescriptive process; that is, pedagogical techniques that allows for and emphasize

democratic dialogue between practical consciousnesses, i.e., the teacher's and the student's, as opposed to an antidialogical pedagogy in which the teacher's knowledge is taught to the student and becomes their (practical) consciousness. The latter case, the antidialogical scenario (which characterizes the mechanism of the oppressor), is totalitarian, and simply attempts to indoctrinate (in order to reproduce the dominant social order) rather than liberate, whereas the former, dialogical pedagogy, allows the oppressed to remain a transformative agent within their historical material conditions.

Although I agree with Freire that democratic dialogue underscores "the practice of freedom." I disagree with him and recent critical theorists of education, such as Giroux and McLaren, who, building on Freire's epistemology, argue within the framework of postmodern and poststructural theorizing, that this takes place or can take place within existing configurations of capitalist social relations of power.

Freire's "epistemology is central to his pedagogical principles and method. He views knowledge as an active process that is made and remade within changing historical conditions. Following from this is his deeply held belief that learners must actively create knowledge, not passively absorb donated information as if it were knowledge" (Hickling-Hudson, 1988: 12). My take, on the contrary, is that, knowledge is made and remade within a structure of history (i.e., within the ruling ideas or what amounts to the same thing, the practices, of those in power position) delimited by marginalizing differences. That is, society, up to this point in the human archaeological record, is constituted through the contradictory principles of marginality and integration. Be that as it may, the very necessity of dialogue between democratic subjective positions paradoxically requires the practice of "banking education." For the structure of the

democratic process necessitates a differing social structure from that of the existing configuration of capitalist social relations of power, which necessarily engenders inequality through the exploitation of labor, and gives rise to the oppressor/oppressed social relationship. In other words, in order to facilitate egalitarian democratic dialogue between subjective positions of the "life-world" the historical capitalist structure of signification must be supplanted by a democratic one, with "ideological apparatuses" intended on socializing social actors for democratic social relations, which does not create structurally differentiated "differences" or marginalizes "*differance*," i.e., identities created through the deferment of meaning.

The case of the Grenadian revolution highlighted here speaks precisely to the attempt, on behalf of a structurally created oppressed group, to decenter and challenge the reified consciousness of the American capitalist order through democratic dialogue. Bishop and the PRG introduced pedagogical practices, "enframed" within a Marxist ideology intended on institutionalizing "a new world order" that appeared, given its push for economic equality within the world-system, to challenge the reality and existence as such of the world's lone superpower, i.e. the US. The invasion, however, reoriented the Grenadians', from their utopic euphoria, back into the American dominated capitalist social relations of production, which maintained their oppressed conditions. That is, in the capitalist social relations of production of post-industrial society, the Grenadian's again, as they were under the British dominated system, became exploited laborers and consumers unable to consume given their poor wages as laborers for service-oriented transnational or multi-national capital operating out of the US.

So in essence, my world-system analysis captures the dialectical relation between "other" practical consciousnesses existing within a dominant social order, which reproduces the very relations the "other" deems problematic. My conclusion as it relates to Freire's Manichean polarity, is that the proletariat or oppressed consciousness in dialogue will never be allowed to reveal an action-theoretic pedagogy distinct from the oppressor consciousness if it challenges and attempts to function within existing configurations of capitalist power, which creates the oppressed or proletariat identity. For structurally speaking, both the consciousness of the oppressor and oppressed are structured, differentially related, within a metaphysical ontology justified as universal and objective based on the "technical rationality" of the oppressor as it is delimited by that of the oppressed.[9] Thus, the oppressor needs the oppressed in order to maintain the social relations of production, which characterizes capitalist society.

Hence, the key for liberation, accordingly, lies, as Vladimir Lenin before me suggested, in the revolutionary minded intellectual elites who must prescribe (by gaining control of state ideological apparatuses), contrary to Freire, a consciousness (which synthesizes—not overthrow or replace, that would be undemocratic, for the intellectual must remember that the oppress is an interpellated agent of the field of knowledge and power, which "names" them—the existing ideology of power, i.e., the oppressor, with liberating practices for the oppressed) to the oppressed (against their "semi-intransitive consciousness") so that they may recursively reproduce—in the form of society—a democratic form of being-in-the-world. For initially, what human identity the oppressed have, as Antonio Gramsci so eloquently observed, "is given to them only as members of an inclusive corporate body—the collective worker, or integral society, or, at the apex,

the State." If left only, "[t]he ordinary mass of people can think nothing, do nothing and be nothing without the intercession of the intellectual elite. It feels, but does not understand; it has a spontaneous character, but no consciousness; activity, but no awareness; it comprehends through faith not reason, so that didactically the only means of reaching it is through the endless repetition of the same message wrapped in different coverings. Its province is the folklore of philosophy, no more than common sense laced with religion. The mass, it would seem, has the same limited comprehension as Aristotle's slave [;] the same qualities of loyalty and discipline and the same incapacity to function as an autonomous being" (Harding, 1997: 212).[10]

Notes

[1] I focus on Grenada because "[i]n February 1980, Paulo Freire and four other educators led a two-week seminar for 55 Grenadian teachers to consider how to implement one of the important principles of the Grenada Revolution: the integration of work and study" (Hickling-Hudson, 1988: 9).

Moreover, it is my position that Freire's dialogical emphasis characterizes contemporary educational pedagogical practices; however, where I part with Freire is on the extent to which individuals in dialogue with the "sedimented and codified" referents of the power structure can actually deconstruct them for other forms of being-in-the-world. My conclusion is that that is the role of the intellectual, who has the time to Phenomenologically meditate on and reactivate the referents and signifiers of power for other forms of reality. The masses, as interpellated subjects of the power structure recursively organize and reproduce the rules of conduct of power for their ontological security. Thus, they lack the time to meditate on other forms of existence to present in their dialogue with power; the intellectual, by their very existence does. Accordingly, the onus is on them to recursively organize another form of being-in-the-world for the masses.

[2] Kenneth A. Tye (1999), the foremost authority on global education curriculum, in his analysis of global education, Global Education: A Worldwide Movement, in the globalization process, points to two ways in which the globalization movement is related to or correlates with education: curriculum content and pedagogical techniques. In an analysis in which he surveys the curriculum content and pedagogical techniques of schools in 52 countries, Tye highlights elements of the content and teaching techniques

emphasized by the schools that reflect or stress the modernist drive towards "regional and international cooperation and the integration of ecological, economic, political, technological, and even cultural systems of the world" (1). According to Tye, global education curriculum content stress the infusion of global perspectives, ideas and activities into existing curricula (among these the environment, development, intercultural relations, peace, economics, technology, and human rights are the issues most often identified), while the pedagogical techniques focus on how to disseminate that information, i.e., traditionally or using newer, more progressive Methodologies. Traditional methods of instruction range from "very traditional (teacher lectures, assigns text readings, gives students practice exercises or questions to answers, test students) to more modern (i.e., use of film, video, photographs, transparencies, other audio-visuals)" (68-69). On the other hand, more progressive methodologies (which reflects Freire's dialogical pedagogy), according to Tye, employ "process approaches", "active learning strategies", "inquiry", and "discovery" (i.e., role play and simulations, cooperative learning and group work, thematic curriculum planning, project method, travel programs, and use of technology). Tye attributes the relationship between the content of school curriculums and pedagogical techniques to that of function; pedagogical methods serve the function of distributing curriculum content information. Although Tye suggests that "global education advocates pretty much prescribe a wide range of the progressive methods for use by classroom teachers" (94), his analysis fails to point out the reason(s) why a shift in pedagogical methodology is required in globalization; for it appears that the traditional methods are just as capable of distributing the content information of global education as the progressive methods.

[3] My reading of globalization completely breaks away from critical social theorists (Gilder 1989, 2000; Kaku, 1997; Kellner), who see globalization as an integral part of the scientific and technological revolutions of the modern era. I believe it is not necessarily the case that the scientific and technological revolutions of the modern era should give rise to present global processes; in fact, the networking of people, ideas, forms of culture, and people across national boundaries has been an integral aspect of human culture. So much so, that I would venture to call it a natural process. Thus, for me, "modern" globalization is a movement whereby a dominant culture, i.e., bourgeois capitalist culture of the West (America and Western Europe), attempts to reproduce its way of life by integrating the world's population into its structures of signification, i.e., freedom, democracy, increased wealth, and happiness (the protestant ethic). All of this is accomplished through a set of social relations directed and controlled by the market, military power, and supervisory institutions such as the U.N.

[4] Essentially, this is also the basis for contemporary struggles over educational testing reform, i.e., the necessary push to reassess and reconfigure the testing tools within post-industrial societies.

[5] CMEA—"Council for Mutual Economic Assistance: former trading alliance among state socialist countries, including the Soviet Union, its allies, and Cuba; also abbreviated COMECON" (Klak, 1998: xiii).

[6] Rampersad, Frank et al (1997). *Critical Issues in Caribbean Development: The New World Trade Order: Uruguay Round Agreements and Implications for CARICOM States*. Jamaica: Ian Randle Publishers, Pp. 210.

[7] **Table 1. IMF 2001 Report, Grenada Industries in Percent of GDP 1996-2000 Respectively.**

(In percent of GDP)

Gross domestic product	**100.0**	**100.0**	**100.0**	**100.0**	**100.0**
Primary Sector	**9.1**	**8.5**	**8.4**	**8.5**	**8.2**
Agriculture	8.6	8.1	7.9	8.1	7.7
Crops	6.1	5.6	5.4	5.8	5.6
Livestock	0.6	0.6	0.6	0.6	0.5
Forestry	0.4	0.4	0.4	0.3	0.3
Fishing	1.6	1.5	1.5	1.3	1.3
Mining and quarrying	0.5	0.5	0.5	0.5	0.5
Secondary Sector	**19.6**	**20.3**	**21.0**	**22.2**	**23.5**
Manufacturing	6.7	6.7	7.0	7.3	7.6
Construction	8.0	8.2	9.0	9.6	10.4
Electricity and water	4.8	5.4	5.1	5.3	5.5
Services	**71.3**	**71.2**	**70.6**	**69.3**	**68.3**
Wholesale and retail trade	11.5	11.3	11.1	10.9	10.8
Hotels and restaurants	9.5	8.9	8.9	9.4	9.0
Transport and communications	23.3	23.5	24.5	23.2	23.4
Banking and insurance	9.0	9.0	9.5	9.2	9.9
Real estate and housing	4.0	3.8	3.6	3.5	3.4
Government services	17.1	17.9	17.2	17.1	16.4
Other services	2.8	2.8	2.7	2.7	3.2
Less imputed banking charges	5.8	6.1	6.8	6.7	7.8

Source: Central Statistical Office (CSO), Ministry of Finance.

[8] Since1996 Grenada's education reform (Basic Education Reform Project) has been the result of its $7.66 million loan from the World Bank. "The Project is designed to improve the quality of basic education, expand access to secondary education, rehabilitate primary and secondary schools facilities, and help curriculum development for primary and secondary schools. The project will close at end-2001, and will be

followed by another education project, the OECS Education Reform Project" (IMF 2001 Country Report No. 01/121, 29).

[9] In fact, the way I see it, Freire's failure (the failure of his model, i.e., the integration of work and study to reconstitute society), that is, its failure in its implementation in the Grenadian revolution, lies in his under estimation of the power of modern society's emphasis on "technical rationality," as the defining element of its institutions (education in this case), to serve as an all encompassing "ideological apparatus" which incorporates even the pedagogy of the oppressed itself to serve as a mechanism of control—rationality, in this understanding, serving to fashion the society into a Durkheimian Mechanical Solidarity as opposed to an Organic one. In other words, it would be one thing if the structure of the institutions was the problem, as Freire alludes to. But in modernity the institutions themselves are not the problem, as many postmodernists have pointed out, rather it is the universal truth claim that the appeal to reason castes over these institutions (to validate their existence), which makes them "ideological apparatuses" in which contradictory thoughts, such as those of the oppressed, are incorporated in the logic of the system to serve as a mechanism of control by demonstrating their irrationalities and absurdities. In this sense, "the worldview…does not permit differentiation between the world of existing states of affairs, valid norms and expressible subjective experiences. The linguistic worldview is reified as the world order and cannot be seen as an interpretive system open to criticism. Within such a system of orientation, actions cannot reach that critical zone in which communicatively achieved agreement depends upon autonomous yes/no responses to criticizable validity claims" (Habermas, 1984 [1981]: 71).

[10] In other words, I believe the revolutionary class must institutionalize the revolutionary consciousness in a way, which allows the people to directly partake in reproducing and transforming the structure that shapes and directs their consciousness. In this way, power, as objectified in the state and its ideological apparatuses, is no longer in the hands of a particular group that directs all others, but falls under the rule of the masses. This is a political move, not an economic one; for it is not who controls the economic means of production that is important, but those who control the apparatuses under which the owners of the means of production operate.

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Title : **Ibn Taymiyya on *jihad*: The Status of the Christians, the Tartars and the Shi'ites**

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Abstract

The aim of this paper is to make an analysis of the concept of *jihād* in medieval Islam held by prominent medieval scholar: Ibn Taymiyya (1263-1328). Attention is given to Ibn Taymiyya's understanding of *jihād* and the status of the Christians, the Tartars and the Shī'ites. Ibn Taymiyya's view of *jihād* is a synthesis of the classical interpretation of *jihād*. For Ibn Taymiyya, *jihād* is that 'to struggle in order to remove *fitnā* and to establish an Islamic system'. In the Qur'an, *fitnā* means 'disbelief', 'persecution' or '*shirk* (attribution of partners to God)'. Ibn Taymiyya interprets the phrase 'to remove *fitnā*' is to describe the establishment of a just society. It seems to me that a purpose of Ibn Taymiyya's *jihād* is to liberate the Muslim world and to reconstruct an Islamic society. This also suggests that it is difficult to establish the good against evil and implement the *sharī'a* without an Islamic system. In other words, Ibn Taymiyya believes that Islam could not be practiced without an authoritative power.

In the thirteenth and fourteenth century, the Muslim world was under the Christians' menace, the Tartars' and the Shī'ites' aggression. As a result, Ibn Taymiyya declares *jihād* against the Christians, the Tartars and the Shī'ites.

Ibn Taymiyya's opinion about *jihād* can be traced in many of his writings, but the core of them are found in three main works: *Majmū' Fatāwā*, *al-Amr bi al-Ma'rūf wa al-Nahy 'an al-Munkar* and *al-Siyāsa al-Shar'iyya fī islāh al-rā'i wa al-ra'iyya*. Ibn Taymiyya suggests that *jihād* must be done on behalf of God in order to establish the good against evil. Islam rejects *jihād* which is carried out for personal interests. Ibn Taymiyya writes another four major works relating to the Christians, the Tartars

and the Shī'ites: *al-Sārim al-Maslūl 'ala Shātim al-Rasūl*, *Risāla al-Qubrusiyya*, *Risāla ilā Sultān al-Nāsir fī Sha'n al-Tatār* and *Minhāj al-Sunnah al-Nabawiyyah fī naqd kalām al-Shī'ah wa al-Qadariyah*. From the aforementioned works, Ibn Taymiyya explains that the Tartars become transgressors and deviationists. While the Shī'ites reject *sharī'a* and become a renegade group; they practise innovations and claim most companions were unbelievers. Ibn Taymiyya believes the Christians were wrong in their belief of 'trinity'; they corrupted the Scriptures and use compulsion to get the Muslims into Christianity.

Ibn Taymiyya has an impassioned and vivid style of writing. Therefore, I will quote him freely to allow him to speak for himself and consider my own interpretation on the topic. In order to understand more adequately how *jihād* has been understood in Ibn Taymiyya's sense, one has to consider the genesis of his thought. This suggests that some historical study on Ibn Taymiyya's life may be necessary. However, I aim to include here only the historical factors, which shed light on Ibn Taymiyya's thought and attitude. I argue that, despite Ibn Taymiyya's negative opinion about his enemy, there is still a value in looking at how he responds to his so-called 'Taymiyyan' context.

IBN TAYMIYYA ON JIHAD:
THE STATUS OF THE CHRISTIANS, THE TARTARS AND THE SHĪ'ITES

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INTRODUCTION

'*Jihād* in the way of God' is not restricted to any specific period; it is a continuous duty, which - according to traditional Islamic law - is incumbent until doomsday. It is a well-established institution, referred to in the Qur'an and the hadith (saying of the Prophet).[1] In Islam, *jihād* is carried out on behalf of God in order to establish the good against evil. *Jihād* may take place within oneself or within the community. The term *jihād* can refer to any action, word, writing and work connected with one's profession, community or family. It is done for one's spiritual welfare: The aim is to achieve nearness to God and is rewarded by Paradise.

The aim of this paper is to provide a new 'Taymiyyan' method of understanding *jihād* within Islamic medieval intellectual discourse. A further aim of this study is also to understand how the 'Taymiyyan' method has been applied to consider the status of the Christians, the Tartars and the Shī'ites.

The rest of this paper is structured as follows: 1. The concept of *jihād* in Islamic law; 2. General background of Ibn Taymiyya; 3. The concept of *jihād* according to Ibn Taymiyya; 4. Ibn Taymiyya's *jihād* against the Christians, the Tartars and the Shī'ites.

1. The concept of *jihād* in Islamic law

Most early jurists like Ibn 'Abbās, Mujāhid, 'Urwah b. al-Zubayr, Zaid b. Aslām, Muqātil b. Hayyān and Qatādah agree that the verse 39 in chapter 22 of the Qur'an indicated the position of

[1] From here onwards, this type of transliteration of the word 'Qur'an' and 'hadith' will be using in the text.

jihād.[2] This indication was also accepted by some commentators like al-Zamakhsyarī,[3] al-Rāzī [4] and al-Tabātabā'ī.[5]

One opinion, fundamentally rejected by most scholars, is that the requirement of *jihād* was incumbent only on the Companions of the Prophet. Another opinion, which is also rejected, suggests that *jihād* is recommended but not required. The scholars agree that *jihād* is required or *fard*, but they do not specify whether it is *fard kifāya* (a duty incumbent upon the community; communally obligatory) or *fard 'ayn* (individually obligatory). Some scholars like al-Tabarī (130/746),[6] al-Shāfi'ī (d.204/820),[7] Ibn Rushd (d. 596/1198)[8] and Ibn al-Jawzī (d. 597/1200)[9] agree that *jihād* is *fard kifāya* (a duty incumbent upon the community; communally obligatory). Or in other words, *jihād* is technically required but may be ignored by many if enough others are willing to fight. The categorization of *jihād* as *fard kifāya* is primarily referred to verse 95, chapter 4 and verse 122, chapter 9 of the Qur'an. Furthermore, they explain that *jihād* must be done only on behalf of God in order to exalt God's word and to honor His religion.

Also, there is strong support by some jurist for the view that the Prophet's practice and policy on matters of war was an attitude of defence and not offence. A *jihād* of aggression such as some of the classical writers argue for, is not, according to this view, supported by the precedents of the Prophet.Acording to this view the Prophet and his followers were furiously persecuted for years by the Meccans and other Arab non-believers and the Prophet's consistent practice, as evidenced even by his written orders, was to fight in defence of the Islamic state, and in response to aggression. Moreover, it is obvious that the Prophet never fought foreign wars except on two occasions: First is that when he was compelled to do so, after the assassination of

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[2] Al-Tabarī, Abū Ja'far Muhammad b. Jarīr, *Tārīkh al-Umām wa al-Mulūk*, V.17, Cairo, 1961, pp.171-173.
[3] Al-Zamakhsyarī, *al-Kasysyaf 'an Haqā'iq Ghawamid al-Tanzīl wa 'Uyūn al-Aqāwil fī Wujūh al-Tā'wīl*, V. 3, Egypt, 1354 A.H., p. 15.
[4] Al-Rāzī, Fakhr al-Dīn, *Tafsīr al-Kabīr,* V. 23, Tehran, n.d., p. 39.
[5] Al-Tabātabā'ī, *al-Mizān fī Tafsīr al-Qur'ān*, V. 14, Tehran, 1342 A.H., pp. 382-383.
[6] Al-Tabarī, *Jamī' al-bayan fī Tafsīr al-Qur'ān*, Beirut, 1989, pp. 344-345.
[7] Al-Shāfi'ī, *al-Risāla fī Usūl al-Fiqh*, (translated by Majid Khadduri), Cambridge, 1987, p. 84.
[8] Rudolph Peters, *Jihad in Mediaeval[sic.] and Modern Islam: The Chapter on Jihad from Averroes' Legal Handbook 'Bidāyat al-Mujtahid' and the Treatise 'Koran and Fighting' by the late Shaykh al-Azhar, Mahmūd Shaltūt*, Leiden, 1977, p. 9.
[9] Ibn al-Jawzī , Jamāl al-Dīn 'Abd al-Rahmān, *Nawāsikh al-Qur'ān*, Beirut, n.d., pp. 79-80

his envoy to the court of Busra. Second is that when he invaded Tabuk as a defensive attitude to counter an overwhelming and immediate military threat by the Byzantine Emperor.[10]

Another subject, which has also triggered interests amongst the scholars, is that the object of *jihād* or the people whom must be fought. Early scholar like Al-Shaybānī (d.189/804) mantains that *jihād* is permissible against polytheists, apostates, the People of the Book and rebels.[11] Mālik b. Anas (d. 179/795) agrees with al-Shaybānī and also adding that it is prohibited to kill civilian or non-combatant like sick people, priests, women and children.[12] Their opinion is identical with earlier scholar like al-Thawrī (d.161/778) and al-Auzā'ī (d.157/774).[13] Another scholar is al-Māwardī (d. 450/1052) who divides the object of *jihād* into three categories. First category is that *jihād* against apostates. Second category is that *jihād* against rebels and third is that *jihād* against *al-muhāribūn* (secession).[14]

Nonetheless, the scholars insist that *jihād* is permitted in Islam in order to remove oppression and not because of difference of religion.[15] Therefore, the unbelievers who do not inflict any injustice, injury and deliberately try to wrong the Muslims should be left free to practise their own religion. Al-Tabarī mentions that the Qur'an does not permit the Muslims to behave rudely with their adversaries, or to revile them on the ground of their false creed.[16]

Another issue is that why the scholars' interests of the objects of *jihād* are different. I assume that the objects of *jihād* were selected through the context they had experienced. This tells us about the uniqueness of the Islamic law or *sharī'a* and its dynamism. As in Islamic tradition, we know that the *sharī'a* changes according to the needs of the society and the concept of monotheism or *tawhīd*, by contrast, remains the same. A great medieval scholar, Ibn Taymiyya (d. 728/1328) has made important remarks about another three objects of *jihād*: The Christians, the Tartars and the Shī'ites. I believe that there is a value in looking at how Ibn Taymiyya responded to his context.

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[10] Al-Ghunaimi, M.J., *The Muslim Conception of International Law and the Western Approach*, The Hague, 1968, pp. 180-183; cf. Reuven Firestone, *Jihād: The Origin of Holy War in Islam*, Oxford, 1999, p. 64.
[11] Al-Shaybānī, Muhammad ibn al-Hasan, *Kitāb al-Siyar al-Kabīr*, Hyderabad, 1335 A.H., V.1, pp. 14, 15.
[12] Rudolph Peters, *op.cit.*, p. 15.
[13] *Ibid*.
[14] Al-Māwardī, Abu al-Hassan, *al-Ahkām al-Sultāniyya*, (translated by Asadullah Yate), London, 1996, pp. 83-97.
[15] Al-Zuhaylī, Wahbah, *al-'Alāqat al-Dauliyya fī al-Islām*, Beirut, 1981, p. 100.
[16] Al-Tabarī, V. 10, p. 150. See Qur'an, 29:46 and 6:108.

2. Ibn Taymiyya : General profile

Ibn Taymiyya was born in Harrān in Syria on Monday 10 Rabī' al-Awwal, 661/ January 1263.[17] He lived in a time when the Islamic world was suffering from external aggression and internal strife. The crusaders had not been fully expelled from the Holy Land, the Tartars had invaded and destroyed the eastern Islamic empire and the Mamluks had just came to power and were consolidating their hold over Syria. Within Muslim society, the schools of Islamic law were stagnant and practising blind imitation of religious thought and law.

Ibn Taymiyya was educated in the Hanbalīte's school of law, although he was fully versed in the opinions of all four schools (Hanafīte, Mālikite, Shāfi'īte and Hanbalīte). His education played a crucial role in bringing him to the conclusion that blind adherence to one school would bring rigidity to Islam. Similarly, he had acquired a deep understanding of philosophical and mystical texts through his personal reading.[18]

Ibn Taymiyya's also played an important role in *jihād*. He was not only a brave soldier but also a war theoretician and military strategist. His *jihād* is not merely an ideological one: He personally participated in the battles against the Tartars, the Ismā'ilites[19] and the Nusayrites. It is believed that Ibn Taymiyya started developing his knightly character when he was young, after the Tartars invaded Harrān and forced him and his family to flee to Damascus. This tendency intensified after he had read and heard about the Tartars' aggression.[20]

Most of the researchers conclude that Ibn Taymiyya's keen observation from an early age resulted in his life being filled with the activities of *jihād*, teaching, commanding the good, writing books and refuting opponents.[21]

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[17] Ibn Rajab, 'Abd. Rahman b. Ahmad, *Kitāb al-Dhayl 'alā Tabaqāt al-Hanabila*, Cairo, 1952, p. 387; cf. Serajul Haque, *Imam Ibn Taymiyya and His Projects of Reform*, Dhaka, 1982, p. 9.
[18] Ibn Rajab, *op.cit*, p. 388.
[19] To find the details of the Ismā'ilites, see Farhad Daftary, *The Ismā'īlīs: Their history and doctrines*, Cambridge, 1990; cf. W. Montgomery Watt, *The Formative Period of Islamic Thought*, Edinburgh, 1973, pp. 271, 272; Bernard Lewis, *The Origins of Ismā'īlīsm*, Cambridge, 1940.
[20] *The Encyclopaedia of Islam*, 'Ibn Taymiyya', (edited by Bernard Lewis et.al.), New Edition, V.3, Leiden, 1971,p. 953.
[21] Salāh al-Dīn al-Munajjid, *Sīratuhu wa akhbāruhu 'inda al-Mu'arrikhīn*, Beirut, 1976, p. 51.

Ibn Taymiyya died in jail in Damascus on Monday 10 Dhū al-Qa'dah, 728/27th of September 1328.[22] He was buried at the Sufi cemetery in Damascus where his brother Sharaf al-Dīn 'Abd God was buried.[23]

Apparently, what distinguished Ibn Taymiyya's life was the exercise of *ijtihād*; the aim of prescribing good and forbidding evil. Ibn Taymiyya also reconsidered the concept of *sharī'a* and put into practice the concept of *jihād*. His life was characterized by his *jihād* against the Christians, the Tartars and the heretical Shī'ites sects. The first modern study discovered in western intellectual tradition on Ibn Taymiyya's *jihād* is the book '*Ibn Taymiyya, dernier grand théoricien du jihad médiéval*' (The last great theoretician of medieval *jihād*) by Morabia.[24] Henceforth, the rest of the paper will focus on Ibn Taymiyya's *jihād*.

3. Ibn Taymiyya on *Jihād*

a) Ibn Taymiyya's definition of *jihād*

Ibn Taymiyya defined the notion of *jihād* as 'to struggle in order to remove *fitna* and to establish an Islamic system'. In the Qur'an, *fitna* means 'disbelief', 'persecution' or '*shirk* (attribution of partners to God)'.[25] The word *fitna* derives from root *fatana* which literally means 'civil war', 'conflict', 'castigation', 'punishment' and 'chastisement'.[26] Ibn Taymiyya interprets the phrase 'to remove *fitna*' is to describe the establishment of a just society.[27] It is difficult to establish the good against evil and implement the *sharī'a* without an Islamic system. In other words, Ibn Taymiyya believes that Islam could not be practiced without an authoritative power.[28] He agrees with the opinion of classical scholars who upgraded the rank of *jihād* in a higher level compared

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[22] Ibn Rajab, *op.cit.*, p. 405; cf. Serajul Haque, *op.cit.*, p. 14.
[23] Ibn Kathīr, *al-Bidāya wa al-Nihāya*, Beirut, 1966 V. 14, p. 136.
[24] A. Morabia, 'Ibn Taymiyya, dernier grand théoricien du jihad médiéval', *Bulletin des Études Orientales*, XXX/2, 1978, pp. 85-99; cf. also A. Morabia, *Le gihad dans I'islam médiéval*, Paris, 1983.
[25] Ibn Kathīr, *Tafsīr al-Qur'ān al-'Azīm*, V. 1, pp. 227, 228. See Qur'an, 8:39.
[26] Lane, *Arabic-English Lexicon*, V.1, Cambridge, 1984, p. 2335; Ahmad Ridā, *Mu'jam al-Lughah*, V.1, Beirut, 1958, p. 357; Ibn Manzūr, *Lisān al-'Arab*, V. 13, Beirut, n.d., pp. 317-319.
[27] Ibn Taymiyya, *al-Siyāsa al-Shar'iyya fī Islāh al-Rā'ī wa al-Ra'iyya*, Egypt, 1955, p. 123; cf. Ibn Taymiyya, *Majmū' Fatāwā*, V. 28, (edited by 'Abd al-Rahman b. Muhammad b. Qasim al-Asimi al-Najdi al-Hanbali), Riyad, 1383 A.H., p. 308; Ibn Taymiyya, *al-Amr bi al-Ma'rūf wa al-Nahy 'an al-Munkar*, Beirut, 1976, pp. 53, 63, 64, 65.
[28] *al-Siyāsa*, pp. 21, 22.

to pilgrimage, voluntary prayer and voluntary fasting.[29] Ibn Taymiyya mentions two hadiths (saying of the prophet) in describing the position of *jihād*.

The first hadith was narrated by Muslim:

> Abu Hurairah said: The Messenger of God (may peace be upon him) was asked: What deed could be an equivalent of *jihād* in the way of God, the Almighty and Exalted? He answered: You do not have the strength to do that deed. The narrator said: They repeated the question twice or thrice. Every time he answered: You do not have the strength to do it. When the question was asked for the third time, he said: One who goes out for *jihād* is like a person who keeps fasts, stands in prayer (constantly) and does not exhibit any lassitude in fasting and prayer until the *jihādist* returns from *jihād* in the way of God, the exalted.[30]

The second hadith was narrated by Tirmidhī:

> A night of fighting on behalf of God is better than his night prayers and fasts for one thousand nights.[31]

History abounds with examples demonstrating how man has neglected the call of *jihād* because of all the difficulties he has to endure. Despite all these difficulties, Ibn Taymiyya believes that the obligation is within human capability. Ibn Taymiyya insists that all obligations in worship and law including *jihād* are relevant and consistent with human nature and capabilities.

Ibn Taymiyya explains that *jihād* must be done on behalf of God in order to establish the good against evil.[32] Islam rejects *jihād* which is carried out for personal interests. In verse 74, chapter 4 of the Qur'an, God says:

> Let those fight in the way of God who sell the life of this world for the other. Who fights in the way of God, be he slain or be he victorious, on him We shall bestow a vast reward.[33]

Ibn Taymiyya mentions another hadith which was narrated by 'Ubaid b. 'Amīr and Abū Sa'īd al-Khudrī, who recommended *jihād* with lives and wealth:

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[29] *Ibid.*, p. 121; cf. *Majmū' Fatāwā*, V. 28, pp. 5, 6, 352, 418.
[30] *al-Siyāsa*, p. 122; cf. Muslim b. al-Hajjāj, Abū al-Husayn al-Qushayrī al-Naisābūrī, *Sahīh Muslim* (translated by Abdul Hamid Siddiqi), V. 3, Lahore, 1976, p. 1045, (no. 4636).
[31] *al-Siyāsa*, p. 122; cf. *Majmū' Fatāwā*., p. 418.
[32] *al-Siyāsa*, p. 122; cf. *Al-Amr bi al-Ma'rūf*, p. 98.
[33] M.M. Pickthall, *The Meaning of the Glorious Qur'an*, USA, 2002, p. 79.

> Who is the best of men? He replied: A men who fights in the way of God spending his wealth and staking his life.[34]

Ibn Taymiyya also suggests that the duty of *jihād* is *fard kifāya* (a duty incumbent upon the community; communally obligatory) and in certain circumstances (i.e. to ensure the safety of oneself and family) *jihād* becomes *fard 'ayn* (a duty incumbent upon the individual; individually obligatory).[35]

Ibn also reminds the Muslims that God does not need any benefit and it is not His intention to acquire anything from the fulfillment of *jihād*. He does not require any assistance to carry on *jihād* in order to defeat the corruption and evil. There should be, therefore, strong reasons why Allah prescribed this obligation to human beings. Ibn Taymiyya believes that God has made *jihād* a prerogative for the Muslims in order to give a form of test, by which it can raise the good attributes concealed in people. These attributes will emerge from those who strive hard even though they may be killed or have to kill to uphold the truth that they strongly believe in. Another point is that *jihād* is a means to educate man. *Jihād* would destroy the evil desires associated with worldly pleasures and blameworthy attributes within oneself. *Jihād* eliminates all the weakness and deficiencies until the sole desire is to follow the commandment of Allah.

b) Ibn Taymiyya's types of *jihād*

Ibn Taymiyya devides *jihād* into two types. First is a fighting in battlefield or *qitāl*. Second is a moral or ethical *jihād*. Or in other words, it is a war of words, an effort to make the doctrines of Islam accepted and acceptable. This *jihād* could therefore take place by persuasion.[36] Ibn Taymiyya believes that both of the *jihāds* are defensive. In the Qur'an, there are 42 verses in which indicate about *qitāl*. For instance: Verses 29, 36, 73 and 123 in chapter 9.[37] From these verses, one can understand that peace is a basic of the relationship amongst the people. War is

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[34] Ibn Taymiyya, *Al-Īmān*., Cairo, n.d., pp. 162, 203, 226; cf. Ibn Taymiyya, *Risāla ilā al-Sultān al-Nāsir fī Sha'n al-Tatār*, Beirut, 1976, p. 13; *Sahīh Muslim*, V. 3, p. 1048, (no. 4652, 4653).
[35] *Al-Īmān*, p. 228; cf. *al-Siyāsa*, p. 128.
[36] See Qur'an, 16:125.
[37] "Fight against such of those who have been given the Scripture as believe not in God nor the Last Day, and forbid not that which God has forbidden by His Messenger, and follow not the religion of truth, until they pay the tribute readily, being brought low." (9:29); cf. chapter 9, verses 36, 73 and 123. See translation in M.M. Pickthall, *op.cit*., pp. 166, 171, 177.

only permissible when someone initiated to destroy Islam and endangered the Muslims. Ibn Taymiyya says that it is the Muslims' obligation to fight when their enemies threatened the supremacy of Islam and endangered the safety of the Muslims.[38]

Ibn Taymiyya disapproves of killing the women, children, priests, old men and sick people.[39] Nevertheless, if they collaborated with the enemy to destroy Islam and endanger the Muslims, killing them is permissible.[40] This is justified by the Qur'an in verse 190, chapter 2:

> Fight in the way of God against those who fight against you, but begin not hostilities. Lo! God loves not aggressors.[41]

Also, Ibn Taymiyya mentions hadith which was narrated by Ibn 'Umar and Muslim:

> A woman was killed in a battle fought by the Prophet. He disapproved of the killing of women.[42]

Another hadith was narrated by Abū Dāwud and Tirmidhī:

> I disapprove of the killing of old people, children and women.[43]

Ibn Taymiyya supposes that the moral and ethical *jihād* is *da'wa* (an invitation or formal call to believe [in the true religion]; propaganda for some cause) fighting against innovations (*bid'a*) and deviations.[44] Ibn Taymiyya applies *da'wa* towards the corrupted authority. This was a direct application of hadith in which mentioned that the greatest *jihād* is saying a word of truth in front of an unjust sultan.

In my opinion, Ibn Taymiyya realizes that authority at the time was corrupted and filled with social and ideological trends that ran against *sharī'a*. Ibn Taymiyya believes that the actual problem was within the state. In other words, he thinks that the core of the issue is moral. To

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[38] *Majmū' Fatāwā*, V. 28, p. 354; cf. Rudolph Peters, *op.cit*., p. 49.
[39] *Majmū' Fatāwā*, *ibid*.
[40] *Ibid*., p. 355.
[41] M.M. Pickthall, *op.cit*., p. 28; cf. Ibn Kathīr, *Tafsīr al-Qur'ān*, p. 254.
[42] *Majmū' Fatāwā*, p. 354; cf. *Sahīh Muslim*, V. 3, p. 946, (no. 4319, 4320); Ahmad ibn Hanbal, *al-Musnad*, (edited by Ahmad Muhammad Shākir), V. 4, Egypt, 1956, pp. 90, 257, (no. 2316, 2728).
[43] *Majmū' Fatāwā,* V. 28, pp. 354, 355.
[44] *Al-Amr bi al-Ma'rūf*, pp. 12, 15, 44, 53, 62, 65;

solve this problem, he wants to educate people and to revive the role of the *sharī'a*. This suggests us to say that Ibn Taymiyya's *jihād* is merely defensive.

3. Ibn Taymiyya on the Christians, the Tartars and the Shī'ites

3.1. His *jihād* against the Christians

Al-Bazzār (d. 749/1349), one of Ibn Taymiyya's disciples, mentioned that Ibn Taymiyya's *jihād* against the Christians took place at the conquest of Acre.[45] Ibn 'Abd al-Hādī, another disciple and the biographer of Ibn Taymiyya pointed out that Ibn Taymiyya issued a *fatwā* (a legal opinion) concerning the Christians and the Maltese Christians who were allied to the Tartars.[46] In 696/1297, Sultān al-Malik al-Mansūr Lājīn encouraged Ibn Taymiyya to muster up support for the *jihād* against the Christian Armenians of Cicilia.[47]

Basically, Ibn Taymiyya underlines two main reasons which are justified his attitude against the Christians: First is that their fundamental belief of Christianity and the corruption of the scripture; Ibn Taymiyya believes that the concept of trinity is wrong and appeared to be contradicted to the pure teaching of Jesus. He insists that Jesus never claimed himself as a 'son of God' but only the Prophet and the Messenger. It was the people who came after the ascension of Jesus had taken the concept of trinity.[48] In addition to that, Ibn Taymiyya claims that the scripture that the Christians possess are not the products of successive transmission from Jesus. Furthermore, the Christians themselves admit that the scripture that they possess was neither written down by Jesus nor dictated by him to those who wrote it down. In other words, he believes that the scripture was innovated and corrupted.[49]

Second reason is that the Christians or the Crusaders (the Cypriots, Maltese, Georgians and Armenians) allied to with the Tartars and the Druzes and the 'Alawi Shī'ites endangered the

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[45] al-Bazzār, 'Umar ibn 'Alī, *al-a'lām al-'aliyya fī manāqib syaikh al-Islām Ibn Taymiyya* (edited by Salāh al-Dīn al-Munajjid) Beirut, 1976. pp. 63, 64.
[46] Ibn 'Abd al-Hādī, *al-'Uqud al-Duriyya min manāqib Shaykh al-Islām Ahmad ibn Taymiyya*, Beirut, 1975, pp. 54, 58; cf. Ibn Qayyim, *Asmā' Mu'allafāt*, (ed. Salāh al-Dīn al-Munajjid), Beirut, 1976, p. 22.
[47] Carole Hillenbrand, *The Crusades: Islamic Perspectives*, Edinburgh, 1997, p. 242.
[48] Ibn Taymiyya, *A Muslim Theologian's response to Christianity: Ibn Taymiyya's al-Jawab al-Sahīh*, New York, 1984, pp. 255-266.
[49] *Ibid*., pp. 210-216.

lives, property and the faith of the Muslims.[50] These, therefore, suggests us to claim that the corruption and innovation in Christianity and the oppression by the Crusaders reflected Ibn Taymiyya to say that *jihād* was necessary against them.

3.2. His *jihād* against the Tartars

Ibn Taymiyya plays a key role in initiating *jihād* against the Tartars. He gives two reasons which are validated the necessity to fight against the Tartars: First is that that the Tartars were the notorious invader. They captured Baghdad and destroyed the institution of the Islamic Caliphate which had been established since the time of the rightly guided caliphs. The situation of Baghdad became worse when the Tartars put an end to intellectual progress and endangering a general feeling of pessimism about the future of Islam.[51] Moreover, the Tartars were also allied to the Crusaders in threatening the Muslim.[52]

Second is that the Tartars failed to follow the demands of the *sharī'a* and went to the extreme (*ghuluw*) in their attitude to their leader, Genghis Khan. The Tartars believe that Genghis Khan is the Son of God similar to what the Christians believe about Christ.[53]

From the aforesaid reasons above, Ibn Taymiyya writes the *fatwā* concerning *jihād* against the Tartars. Also, Ibn Taymiyya makes an effort to help Sultān al-Malik al-Nāsir Muhammad to counter the Tartars invasion. He takes an active part in the battle of '*Marj al-Safr'* and gave the most stimulating speeches urging the army to defeat the Tartars.[54] In 700/1300, Ibn Taymiyya came to Cairo and gave a sermon to the Muslims, encouraging them to join in the *jihād* against the Tartars.[55] In 702/1302, he takes part in the battle of *Shaqhāb* (a place near Damascus) against the Tartars and eventually the Muslims won the battle against the Tartars and pushed them out of Syria.[56]

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[50] For details see Stanley Lane Poole, *Saladin and the Fall of the Kingdom of Jerusalem*, London, 1926, p. 358; cf. Carole Hillenbrand, *op.cit*., p. 225; *al-Jawab al-Sahīh*, pp. 71, 72.
[51] For details see J.J. Saunders, *The History of the Mongol Conquests*, London, 1971, p. 55.
[52] *al-Jawab al-Sahīh*, pp. 71, 72.
[53] *Ibid*.
[54] Muhammad Rashād Salīm, *Muqāranat baina al-Ghazālyy wa Ibn Taymiyya*. Kuwait, 1975, p. 26; cf. Ibn 'Abd al-Hādī, *op.cit*., Beirut, 1975, p. 118; Ibn Kathīr, *al-Bidāya*, V.14, p. 91.
[55] Salīm, *ibid*.
[56] Serajul Haque, *op.cit.,* p. 40.

3.3. His *jihād* against the Shī'ites

Ibn Taymiyya criticism on the Shī'ites is merely directed against the extremists: Nusayrites, Druzes, Qarmati, Fātimid and Nizāri. This opposition is based not only upon the incompatibility of many fundamental beliefs to the Sunnites, but also reflects the political situation of Ibn Taymiyya's time where the Shī'ites conspired with the Tartars and the Crusaders against the Muslim.[57]

The Shī'ites also argued that the imamate was a blessing of God for the benefit of the mankind, but Ibn Taymiyya answers that the doctrine actually works against the welfare of the community (*al-maslaha*). Similarly, Ibn Taymiyya says that the doctrine of 'Twelver Shi'ism' has led them to overestimate the role of the state and has been used to justify alliance to the unjust rulers.[58] Their belief on the inerrant or the infallibility of the imamate comparable to what the Christians claim about Christ and the Tartars believe in Genghis Khan.

In order to understand more adequately Ibn Taymiyya's *jihād* against the Shī'ites extremists in the medieval context, it is necessary to state the essential event of his *jihād*: In 699/1300, Ibn Taymiyya participates in *jihād* against Shī'ites who had been accused of conspiracy with the Christians and the Tartars.[59] In 704/1304, Ibn Taymiyya took part to the campaign against the Nusayrites and the Ismā'ilites at the mountains of al-Jard and al-Qasrawān. In the beginning of the year 705/1305, Ibn Taymiyya promotes *jihād* against al-Rāfidites with the help of deputy Sultān of Shām and of the Mamluk army.[60]

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[57] *al-Jawab al-Sahīh*, p. 58.
[58] *Ibid*., p.63.
[59] *Ibid*., p. 58.
[60] Ibn 'Abd al-Hādī, *op.cit*., pp. 179-194; cf. Ibn Kathīr, *al-Bidāya*., V.14, p. 35; *Majmū' Fatāwā*, V.11, p. 474.

Conclusion

'*Jihād* in the way of God' is a duty described by Ibn Taymiyya as difficult and burdensome. However, this *jihād* has to be done, because it brings benefits not only to the individual and the Muslims community but also to the people of other religions. Everyone who understands the wisdom and advantages of *jihād* in which to bring justice, peace, comfort and happiness, realizes its huge impact. Although the burden of *jihād* is difficult, with the realization of its wisdom, Ibn Taymiyya believes that the Muslims will accept the obligation of *jihād* with full responsibility.

In a general sense, one has to consider that the focus of Ibn Taymiyya's criticism on the Christians, the Tartars and the Shī'ites is political. Nonetheless, it is a political critique which is based on his perception of Islam. Ibn Taymiyya's background as jurist and theologian allows him to reject the Trinity of the Christians and the extremism belief of the Tartars and the Shī'ites. Such ideologies, according to Ibn Taymiyya were definitely against the *sharī'a*.

Ibn Taymiyya divides his basic disapprovals against these groups into two: First is that the alliance of the Christians, the Tartars and the Shī'ites in threatening the Muslims lives, faith and properties. Second is that they were unbelievers, this is based upon their fundamental beliefs in which were contradicted to the Sunnites. Nonetheless, one has to consider that the real issue was not the different of faith, but to remove the oppression or transgression. Ibn Taymiyya never mentioned that it is permissible to kill the unbelievers and to break a peace-tie with them without any acceptable reason. In addition, the Qur'an itself does not fight the People of the Book on religious grounds and the differences in beliefs do not prevent good relations.[61] From this point of view, one can claim that Ibn Taymiyya's *jihād* is defensive and it is similar to the concept of *jihād* in early days of Islam. Essentially, this paper adequately provides some introductory remarks to answer criticism of Ibn Taymiyya's *jihād* against the Christians, the Tartars and the Shī'ites.

[61] See Qur'an, 60:8 and 4:86

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Title of the submission: Body, Energy, Interactivity: The Critical Study of Collaborative Digital Art in Performing Art

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Abstract: This study examines and explores the idea of using digital art as a form of multimedia project and the possibility of thereby developing new techniques in performance. The intention of this research is to create an experiential artwork by modelling virtual forms of the body to explore the nature of consciousness in the world of the imagination.

These explorations are based on the perceived need to develop new tools to facilitate artistic expression in the area of representation and perception of the human body, energy and interactivity. Related to these ideas is the ambition to create a possible direction for the emerging concept of the fourth dimension, a concept that could represent the relationship between art and technology.

Based on approaches to creativity and physical, practical case studies involving exploration of the body, a further aim is to propose the concept of body interactivity and energy as a means to develop artists' consciousness and inner expression.

Title of Paper: *The Remains of the Day* and Post-Imperial Histories

Topic Area: Literature (Student Papers)

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The Remains of the Day and Post-Imperial Histories

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Abstract

Critical works published so far on Kazuo Ishiguro's Booker Prize-winning novel *The Remains of the Day* (1989) broadly show two main concerns: the problems brought up by the unreliable narrator (Stevens the butler) and the issue of power relations informed by studies in post-colonialism. History is of central importance in the latter case, and the significance of the year 1956, in which the novel starts off, has not escaped the critics.

Indeed the setting invites interpretations from a post-colonial or post-imperial perspective. With the Suez Crisis in mind various themes on the decline of Britain as a global power can be established and analysed. The vacated seat of power is occupied by the United States, as personified by the rich American businessman Mr Farraday in the novel. The introduction of the American democratic world order, in effect a different hierarchy, replaces the leadership consisting of aristocratic gentleman amateurs, as represented by Stevens's late employer, Lord Darlington, in the interwar years.

What has accompanied this change in political power is the purchasing power: Mr Farraday's wealth allows him to acquire the historic Darlington Hall, and with this transaction a more subtle type of power is involved – the power to control the narrative of history, which is the focus of the present paper. Through studying the perspectives on

history presented by the American characters in the novel, this paper examines how the narrative of (linear) history is opened up and disrupted. The tension between the narrator of history (Stevens) and the owner of a historical monument (Mr Farraday) will be explored to show how history works under the new world power.

Disidentifying Punany

Representing the Forbidden Through AIDS Discourse and Erotic Performance Poetry by African American Women

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Largely a feminist project, incited by Judith Butler's theory of gender as performance, queer theory is criticized by AIDS activists, feminists from various fields, queers of color, and performance theorists for linguist analyses that are viable for stable texts. But the reliance on symbolic—and destabilized—identities fails to address the material realities of oppressed subjects who rely on shared experiences—marked as stable identities—to articulate resistant politics to institutionalized oppression. The failure to articulate how the "linguistic turn" can manifest as activism is particularly dangerous when attempting to address the lived experiences of those infected and affected by HIV/AIDS.

Dance theorist Susan Foster offers "gender as choreography" as a corrective to "gender as performance" in an attempt to articulate destabilized identities that belong to material bodies. Foster argues that considering gender as choreography will create a space for the realization of theory and activism; will recuperate the body that is lost in the culture studies appropriation of performance; and will engage race and sexuality which white, middle class feminists have failed to account for in their creation of the "universal" woman. In this paper, I conceptualize gender as choreography, and examine the construction of black female sexuality through the erotic performance poetry of the Oakland, CA-based Punany Poets.

The Punany Poets refer to their work as "sex education theatre" and use erotic poetry and dance to address HIV/AIDS, poverty, violence, substance abuse, and sexual abuse in the African American community. The activism-through-eroticism firmly situates the body within the gender-sexuality debate outlined above. The Poets have been ridiculed by gatekeepers of the African American community for "vulgarity" in their performances that misrepresents black female sexuality, and critiqued by traditional "radical" feminists for "misogyny." I argue, using Jose Muñoz's theory of disidentification, that the poets' identities are constructed by the failed interpellation of race and gender norms.

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Y tu mamá también:
journey to the proximity of two atypical worlds

Y tu mamá también (*And your mother also*. Mexico, 2001) is a film in which Alfonso Cuarón, delivery interweaves the American film genre: "sexy road movie" into skillfully scenes and shots that explore, behind this sexy road genre, two divergent societies that coexist inside the same geographical space. In this voyage, two adolescent male friends and one woman, who has a short period of time to live, launched together to an adventure, driving through the deepest arteries of faulty and marginal Mexico in search for a fictitious utopian place. The journey is just an excuse for the filmmaker to show us in the background the shots of inequality between one laconic first class Mexico and the other: the depleted, sterile. The explicit topic can be interpreted as a futile; in other words, the "sexy road movie" genre shows the latent teenage conflict: sex and drugs. Nevertheless, behind this first interpretation, in the very film's diegetic marrow, the shots of this sexy genre are just an excuse for the background shots that empower the needy daily reality, except for the lessen Mexican society, through sheer carelessness, denied it's very visual existence. Otherwise, the analysis is a bifurcation of two interpretations that unveil, little by little, in a double scenario of identity: the explicit immatureness of the two adolescents and the implicit immatureness of the still miser and the classist Mexico.

The filmmaker will be turning his camera's lens in order to present us, from different angles and with great dexterity, the periphery that divides the two realities, although, at the same time they interweave in dichotomist circumstances and in the same geographical mantel. Recourse that Cuarón utilize with the purpose of narrating the story that he wants to narrate: the journey to the proximity of two atypical Mexicos separated by one latent and vivid border line, but at the same time intangible.

One Day in the Life of Ivan Denisovich:

A Microcosm of Soviet Society

Literature

Student Paper Presentation

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Socialist realism, instituted as a literary construct under Stalin, limits the creation of literature to that which supports and furthers the ideas of socialism within the Soviet Union and throughout the world. Stalin's restrictions placed on the publication of literature represented the cultural restrictions on lives of everyday Soviet citizens. Strict control was exercised over all publication, from literature to daily news. Even though most Soviet citizens knew of the existence of labor camps, commonly referred to as the Gulag, no one spoke of these atrocities under threat of punishment. These restrictions remained until well after Stalin's demise. It was not until the publication of Alexander Solzhenitsyn's One Day in the Life of Ivan Denisovich that this information barricade was lowered, and even then only somewhat. Solzhenitsyn's first novel was allowed publication only with direct permission from Khrushchev. Solzhenitsyn uses One Day in the Life of Ivan Denisovich to show not only the wrongs done to many Soviet citizens under the leadership of Stalin but also uses the circumstances of Shukhov's day to illuminate the lives of everyday citizens.

It was reported in The Book of Millennium Records: The story of human achievement in the last 2,000 years that from 1921 to 1960, more than 19 million people were killed in Soviet labor camps (McWhirter 178). This atrocity was not written about due to the restrictions under the rules of socialist realism. The unprecedented publication of One Day allows a fictional look at the inside of Soviet labor camps. James Sauer points out that One Day is a "stylized rendition

of a single day in the life of a 'zek'-a political prisoner in Stalin's work camps. In the Gulag we have an edited anecdotal history of hundreds of political prisoners, what one critic called 'fictionalized history,' meaning it is not absolute history in a scientific sense, but the artistic portrayal of historical human life" (Sauer n.p.). The assertion is also made by Sauer that One Day "embodies the collective biography of an entire generation of men and women swept up in the Soviet police state" (Sauer n.p.). This statement correctly identifies the character of Ivan Denisovich Shukhov as an 'everyman' in the Soviet Union; from his unjust arrest to his treatment in the Gulag, Shukhov could be any man or woman in the country.

The protagonist Solzhenitsyn uses in One Day is a simple, uneducated peasant. By choosing a simple peasant, Solzhenitsyn is able to portray the average Soviet citizen: cold, hungry and persecuted by a government over which he has no control. The language is simple and straightforward. Christopher Moody contends that Shukhov is a "simple, even naive, man whose perception of the world is purely physical. He does not search for meanings or draw conclusions. He doesn't possess the mental equipment to do so" (Moody n.p.). Shukhov does not try to solve the problems of society and the Gulag; he spends all his energy, mental and physical, surviving. Although the novel is a third person narrative, the reader is privy to Shukhov's thoughts and feelings throughout this day. This concentration on the minutia of the minute to minute

survival in one day makes this novel an important commentary on the lives of Soviet citizens under Stalin.

Survival to Shukhov means not only existence, but to continue to exist without losing his self-respect. Survival is a continual struggle; he must get enough food to exist, he must find enough clothing not to freeze, and he must not draw attention to himself from the guards. These issues take up every minute of his day; he is continually planning and conniving new ways to get food and other useful tools. Shukhov comes upon a piece of hacksaw blade, and although he doesn't have an immediate use for it, he pockets it anyway; "you can never tell what you might need in the future. . . Waste not, want not" (Solzhenitsyn 68). Some of Shukhov's obstacles to survival on a daily basis include dealing with ever-present hunger, fear of unfair punishments and the unspoken violence of the Gulag.

Hunger is one of the main themes that run throughout this novel. It is clear that Shukhov never gets enough to eat. He is protective of his food and saves what he can to forestall hungry times when he has even less; he "widened a little hole in the mattress, and there, amidst the sawdust, concealed his half-ration" (Solzhenitsyn 21). Shukhov's attitude toward eating is also one of savoring every bite. His meal time is a most serious occurrence; he savors each bite and does not waste a moment of this experience. He removes his hat and immerses himself in eating, "you had to eat with all your mind on the food—like

now, nibbling the bread bit by bit, working the crumbs up into a paste with your tongue and sucking it into your cheeks" (Solzhenitsyn 40). Shukhov does not eat anything that he finds repulsive because of the possibility of it making him sick. He does not want to lose any of the nutritional value of the food he has eaten. Solzhenitsyn's concentration on the importance of food emphasizes the lack of food, both in quantity and quality. In "The Importance of Food in One Day in the Life of Ivan Denisovich," Alfred Cismaru makes the assertion that food acts as a currency in the camp in that "the State gets the work it wants done for the food it gives the prisoners; the authorities are bribed with food in parcels sent by relatives to the Gulag" (Cismaru n.p.). In a vicious cycle, one must work for an allotted amount of rations, never enough; and when work is short, yet smaller rations are given. The smaller rations make men weaker and they, therefore, can not perform the expected amount of work. The lack of food is a problem not only in the Gulag but in the larger society as well. Shukhov forbids his wife from sending him any packages because, "he knew what those parcels cost. He knew too that his family wouldn't be able to keep it up for ten years" (Solzhenitsyn 107). Through Shukhov, Solzhenitsyn exposes the fact that Soviet life outside the camps is not fundamentally different from life inside the camps. McWhirter states that seven million people were killed by "induced famine under Stalin's First Five Year Plan to break the resistance of the peasantry against the collectivization of agriculture" (178). Hunger was a part of everyday life in Soviet society.

The arbitrariness of punishment is another problem to be dealt with, both inside and outside the camps. In One Day, Shukhov, arrested for escaping from the Germans and returning to his unit, is imprisoned for treason; other arbitrary punishments include the treatment of Tiurin, imprisoned because of his father's economic class and Alyosha, imprisoned because of his faith. Moody points out that the "camp inmates represent something of a cross-section of Soviet people, the workers, peasants, intellectuals and nationalities" (Moody, n.p.). The number of years received as punishment was also arbitrary; "they'd given Kilgas twenty-five years. Earlier there'd been a spell when people were lucky: everyone to a man got ten years. But from '49 onward the standard sentence was twenty-five, irrespective" (Solzhenitsyn 54). This sense of arbitrary government is present outside the camps as well, "affecting Soviet citizens of all backgrounds and nationalities . . . who are for the most part perfectly innocent; this has been done on the greatest variety of pretexts, with espionage being the charge most often cited" (Zamoyska 206). Even in the everyday life of a Soviet farmer, "individual plots had been cut down to one-third acre and some people's right back to the cottage walls" (Solzhenitsyn 33). This Soviet plan of wealth distribution and arbitrary punishment combines to make living in a subsistence economy more difficult for those trying to survive.

The Gulag itself has a subsistence economy; the allotment of food is directly based on the amount of work done by a squad. Most of the work given to

the prisoner to accomplish is useless labor. The first assignment of work the reader is privy to is the "Socialist Way of Life" settlement; "before anything else could be done there they would have to dig holes and put up posts and attach barbed wire to them. Wire themselves in, so that they wouldn't run away" (Solzhenitsyn 5). This futile labor, combined with the continual building of an electrical plant, which has no finish date in sight, shows the wasted labor put forth by the prison population. This 'busy-work' is similar to the carpet painting business that is popular in Shukhov's home town. Men, who used to do seasonal work, travel around the country painting carpets; "fifty rubles a carpet made out of any old sheet you could spare—and it didn't seem to take them more than an hour to make a carpet of it" (Solzhenitsyn 34). Shukhov, although most of his work was wasted labor, did have a work ethic. He took some pride in a job well done and enjoyed building. Shukhov does pick and choose which jobs to attend with pride and which to skirt through. Moody observes that when, "ordered to mop out the guardroom, Shukhov does as shoddy a job as he can get away with. When doing something meaningful, however, as on the building site, he is ready to make an effort and enjoys his work" (Moody n.p.). Because Shukhov was a builder before incarceration, he is well suited for working on the building. He takes pride in his work because it is something at which he excels and because in his work he is free. Helen Muchnic states, "This representative freedom is the only freedom Ivan Denisovich is allowed, and this indeed is the only freedom in

Solzhenitsyn's world of jails" (Muchnic 402). Shukhov shows his love of productive labor in his building and pride in doing it correctly. In this area, Shukhov is fulfilling a stereotype of Russian peasants; they are portrayed in all types of literature as a work-loving people. According to Gleb Zekulin, Shukhov, representing all Russian peasantry, "is idealized. . . .This idealization, for lack of other moral or social qualities present in the Russian peasantry, has to concentrate on two intangibles which can neither be proved nor disproved. These are patience and love of work" (Zekulin iii). Zekulin presents the Russian peasantry as a work-loving people, but the lost productivity of the camps was damaging to Soviet society overall.

Lost productivity is a greater problem within Soviet society than the useless labor performed within the camps. The number of people who were unfairly brought into this situation represents a good portion of the productive labor force within Soviet society. Through arbitrary decisions, paired with governmental paranoia, Geoffrey Hosking believes that, "the Soviet regime deliberately deprived the nation of much of the flower of its intelligentsia" (Hosking 521). This dependence and strict adherence to socialist realism, and the punishment of those who did not conform, lessened the potency of Russian literature, depriving its citizens and the world of unknown numbers of great works of literature. Strobe Talbott reports in Khrushchev Remembers that Khrushchev, when speaking of the restrictions put on literature and arts stated, "You can't

regulate the development of literature, art, and culture with a stick or by barking orders . . . If you try to control your artists too tightly, there will be no clashing of opinions, consequently no criticisms, and consequently no truth" (Talbott 285). Although literature was still controlled under Khrushchev, the freeze on creativity formed under the rule of socialist realism was beginning to thaw. The lost talent, skills and productivity of those citizens who lived both in the Soviet labor camps and on the outside are represented through the lives of Shukhov and his various fellow prisoners.

One of the ways Shukhov and his squad mates survive this daily turmoil is through a sense of camaraderie. Although the law of the prison is that only the strongest survive, everything depends of the strength of the squad leader and the cooperation of the squad members. Shukhov even comments, "You can cheat anyone you like in camp, but not your squad leader. Then you'll live" (Solzhenitsyn 37). The squad leader is the one who gets the assignments of work for the squad; he is the reason Shukhov's squad does not have to go to the "Socialist Way of Life" settlement. The squad leader also reports the work completed which is used to determine the amount of food the squad receives; "in camp the squad leader is everything: a good one will give you a second life; a bad one will put you in your coffin" (Solzhenitsyn 36). In giving allegiance to the squad leader, he gets a portion of any parcel received to help bribe officials to give his squad lighter assignments. In addition to loyalty to the squad leader,

there is definite camaraderie throughout the remainder of the squad. Everyone's bread, literally, depends on each of the other squad members. These conditions led to the squad members looking out for one another. Twice in the story, squad mates hold food until Shukhov arrives, without skimming any from him. They take up slack for one another and complete jobs as a team although some clearly worked much harder than others. This sense of community helps them survive the squalid and vicious conditions.

Although violence is not a central focus in One Day, it is a pervasive theme. Victor Erlich in "The Writer as Witness: The Achievement of Aleksandr Solzhenitsyn" observes, "One Day is not a horror story. Physical violence appears in the novel not as a central actuality, but as an everpresent threat" (Erlich 18). The knowledge that, if a prisoner steps out of ranks, he could be shot, is always on the minds of the inmates. They are careful about what they carry, being seen alone instead of in a group, marching in perfect unison, and not stepping 'above' themselves. For chastising a guard for uncivilized treatment, Buinovsky receives ten days in the guardhouse, beginning after his workday of course. Shukhov observes that it is, "better to growl and submit. If you were stubborn they broke you" (Solzhenitsyn 41). This ever-present threat of violence and death focuses the prisoners on basic survival, from the way they march to the way they work. Even though Shukhov is exceptional in his work ethic and survival instincts, the threat of violence and death on a daily basis is real. Muchnic states that, "In

Solzhenitsyn's world of deprivation...death is omnipresent and life appears to be a coveted, uncertain prize" (Muchnic 439). The focus on Shukhov and the way he handles life in prison is representative of the indomitable spirit of the Russian people. They continue to work and survive under continually dwindling resources and support.

A survival mechanism for some in camp and out is faith. Although Solzhenitsyn does not concentrate on religion throughout the novel, there are underpinnings in the prisoners' everyday lives. Alyosha, a Baptist imprisoned because of his faith, and the West Ukrainian, who crosses himself before eating, is evidence of an undercurrent of religious feeling. There are also numerous religious references through the text; "When he painted the number on your hat with his brush it was just like a priest anointing your brow" (Solzhenitsyn 24). These references, although they do not support any specific religious thought, show this as a means for some to cope with their unwarranted situations. For Shukhov, Vladimir J. Rus observes, "the relentless pressures imposed on him have narrowed the area of his perception and consciousness to what is of immediate relevance to survival" (Rus 6). The conversation between Alyosha and Shukhov begins by Alyosha overhearing a thankful prayer issued by Shukhov, "Glory be to Thee, O Lord. Another day over. Thank You I'm not spending tonight in the cells. Here it's still bearable" (Solzhenitsyn 133-34). The reader sees that Shukhov does believe in God, but the context comes in the next sentence

when Shukhov is defending his prayer; "'Well, Alyosha,' he said with a sigh, 'it's this way. Prayers are like those appeals of ours. Either they don't get through or they're returned with 'rejected' scrawled across 'em'" (Solzhenitsyn 134). And even further, his concept of God is clear; "I'm not against God, understand that. I do believe in God. But I don't believe in paradise or in hell" (Solzhenitsyn 137). Although Alyosha knows he is suffering for Jesus Christ, Shukhov allows himself a moment to argue the position that he is not suffering for anyone, pointing out that his suffering is unjust. Like Shukhov, Soviet citizens are suffering under a government of which they have no control.

The unjust suffering of millions of Soviet citizens is portrayed through the suffering of Shukhov and his fellow prisoners. The variety of prisoners from persecuted artists to suffering religious believers shows the diversity of people in Soviet society the labor camps affected. The subject of these camps was well known because almost everyone knew someone who had been incarcerated in the camps. This subject matter was a politically charged issue even under Khrushchev. Even though Shukhov never once spouts any kind of political or social agenda, he is shining a light on a dark portion of Soviet history. According to Arnold McMillin, <u>One Day</u> "broke the stultifying mould of official Socialist Realism in a variety of important ways: by its decidedly un-Olympian narrator, its unheroic hero, the complete lack of overt ideology, its very original non-standard speech, and, not least, by its bold subject matter" (McMillin n.p.). Solzhenitsyn

offers no answer or suggestions for solving these problems that are presented; he only acquaints us with the rather "lucky" day of one prisoner. Shukhov has, "a day without a dark cloud. Almost a happy day" (Solzhenitsyn 139). This stunning realization is precisely what makes One Day so powerful.

This revolutionary novel, presented in the midst of the restrictions of socialist realism, changed forever the scope of Soviet literature. Although, at that time, it was one of a kind published within the Soviet Union, it opened the door for a look into an important part of Soviet government and history. Solzhenitsyn has since published many books concerning aspects of the Gulag and Soviet society, the most notable of which is the more biographical The Gulag Archipelago. Within these three volumes, Solzhenitsyn explores in a more direct manner the workings and practices inside the prisons, from arrest to endless incarceration. If not for the publication of One Day, it is possible that the world would never have seen the more biographical work to follow. One Day's fictional account of an ordinary day in the life of a prisoner gives the world a look not only at the Gulag but at Soviet society at that time; McMillin contends that, "It is not difficult to interpret *One Day in the Life of Ivan Denisovich* symbolically: the wide social spread of the manifest innocence of the prisoners imply clearly that the camp represents a society of meaningless work and arbitrary authority, which was for many Stalin's Soviet Union" (McMillin n.p.). Ivan Denisovich Shukhov becomes a symbol of the Russian peasant persecuted, Alyosha the religious

persecuted and Tiurin the economic and class persecuted. It is clear that the government was arbitrary in choosing its prisoners for the Gulag; anyone was subject to confinement at anytime for anything. On a broader level, One Day represents the Soviet people overall; their struggles for survival in everyday life under the regime of Stalin. In One Day, the picture of the Gulag acts as a microcosm, a microscope, to show the world the wrongs done to millions of Soviet citizens and the conditions under which they were forced to live. One Day also acts as a triumphant voice, a voice of survival, not just endurance. It is overall a tribute to the indomitable spirit of the Russian citizens, who continue to work and survive under these impossible conditions. Shukhov's victory is contained in a positive outlook; his ability to recognize that this, for him, was an "almost happy day" (Solzhenitsyn 139).

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FROM BRAIN DRAIN TO BRAIN GAIN:

ROLE OF INDIAN DIASPORA IN NATIONAL INTEGRATION

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The project of national integration in Indian context is actually a complex process. It is a cultural and psychological phenomenon which seeks a feeling of unity, solidarity and cohesion in the hearts of people. It also involves a sense of common citizenship or a feeling of loyalty to the nation. Simultaneously it deals with the narrow nationalities and deep rooted primordial loyalties as it primarily aims at promoting national interests in place of parochial motivations and goals.

India is a heterogeneous society. To maintain national integration in this land of diversity there are serious challenges before the nation. There are certain centrifugal and parochial forces operating in the country in the form of linguism, casteism, regionalism and communalism. The Government of India introduced two legislations in 1961 and 1968[1] to tackle these problems. But these problems are

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grounded in poverty, unemployment, hunger, disease and death prevalent in the country. In fact, poverty is a serious problem and its solution is of the utmost importance for the country today. Development policies adopted by the Indian Government from time to time have not been able to bring desired results. Poverty continues to pose a serious threat to national integration. Those who are on the verge of starvation, half naked and illiterate can not be expected to be inspired by a sense of patriotism, national honour and dignity. Demands of nationalism and the actual compulsions and hazards of common man's existence in Indian society pose a major challenge to the task of national integration.

Besides the efforts made by Government, there are other forces also operating in the background which can be helpful to some extent in integrating the nation. One of the neglected sources that can cement our national utility and enrich our cultural experience is the Indian Diaspora. Indian diaspora is wide and varied as the world itself. But this vastness and multiplicity of experience is the point that the most vocal brand of Indian nationalist generally exclude from their concept and practice of Indian nation. Diasporic experience, despite its cultural attachments and nationalistic nostalgias, actually visualizes a

nation that accommodates cultural differences and ethnic identities in the most liberal and democratic framework. This is a proper time to ponder over the ideas regarding the interaction between Indian diaspora and national integration. Non-resident Indians from foreign lands are affecting the process of national integration in many ways.

In India, poverty is a very serious problem. According to Nurkse's theory[2], the development of the country is adversely affected by the vicious circle of poverty. This vicious circle explains why income is low. Because of low income, saving is low. When saving is low, investment is also low. As a result, output will be low; low output results in low income. Again, when income is low, demands for goods will also be low. In other words, size of the markets will be small. Because of it there will be no inducement to invest. This vicious circle could be checked if investment can be increased. In this area of investment, Indian diaspora could help much as over the last two decades we have noticed a growing tendency among the members of Indian diaspora to invest in India. They invest their remittances in the form "of establishing industries, factories and buying land and transport companies in most of the major towns in Punjab such as Jalandhar, Ludhiana,

Chandigarh and other towns"[3]. A recent survey in its figures suggest that persons of Indian origin send back more money to the mother country than any other people in the world. In fact, they send as much as 15 per cent of the world total. The money coming back to India is seven time that of China. Figures from January to September last year shows that NRIs sent $13.3 billion, which is much higher than Mexico's $9.9 billion and China's $1.9 billion. This is made possible not just by the large number of NRIs (20million) but also by the high average amount sent back by them[4]. The survey also shows that the NRI money coming into India does not come as investment which is urgently required. Punjabi NRIs also send remittances for the development of charities, hospitals and educational centers in the state of their birth. Even Haryana Chief Minister Shri Om Parkash Chautala on a recent tour to Oman said that NRIs could develop infrastructure in the health and educations sectors in Haryana. The Chief Minister said Haryana has ample to offer to NRIs in specific areas like auto industry, pharmaceuticals, garment, hosiery, textiles, information technology and electronics. Generally, the potential of Haryana as a suitable economic zone for NRI investment is under estimated and overlooked. Haryana being the second largest producer of food

grains had a lot of scope for food processing industry[5]. Investment with technologically advanced skill could boost a new business sector in Haryana. Here the intention is not to muster NRI inclination towards Haryana economy but to emphasize the fact that NRIs and their resources, investment zeal, if well directed according to national needs, can help in transforming our national economy and all around growth.

They can not only invest but also donate funds generously. They can also assist in joint ventures to break inner hindrances of Indian economy for the development of the country.

Members of Indian diaspora have been responsible for about a third of total foreign investment in India since the country's liberalization began[6]. On the other hand, Indians working in multinational companies in U.S. and Europe in particular are influencing the decision to invest in India.

In recent years, the NRI remittances and investment have played an important role in India's economic development. Their deposits have helped India to overcome its balance of payments crises. Presently India's foreign exchange deposits have crossed the 100 billion dollar mark. It has helped a lot in stabilizing the economy, carrying development tasks effectively and

international debt servicing. If economy flourishes, it can broaden the sphere of job opportunities[7]. And when individuals get the necessary resources to sustain themselves in their own land, perhaps they will not migrate to other places, one major reason why people in early periods migrated from one place to other was in search of food, shelter and kinship. Now the trend has changed and people today tend to migrate in search of better career opportunities and superior conditions of living. But ample opportunities available at home will not only check migration but will also strengthen the citizen's bonds with the motherland. The process of national integration will get a solid support.

There is another important issue which needs serious attention. Indian diaspora can also address the brain mobility problem. If Indians begin to bring not only capital but also technology, the brain drain problem which adversely affects the socio-economic, scientific and technological development of the country will be resolved. Prime Minister of India Dr. Manmohan Singh on a recent visit to USA at New York suggested the members of Indian diaspora to help to create a brain bank which could be utilized by India. The Prime Minister said he had always shared the view long ago expressed by his friend Jagdish Bhagwati of

Columbia University that the migration of talent like that of the diaspora from India did not necessarily constitute a 'brain drain' but could, infact, help to create a 'brain bank' from which we can draw, provided we put in place at home required policies and infrastructure[8]. In the above extent, there is an urgent need to enhance the contribution of Indian diaspora in nation building in general and capacity building in particular. And this will really be a long term investment. The economic behavior of Indian diaspora in recent years has indicated that it has the capability and willingness to shoulder this responsibility in truly nationalistic terms[9].

The Indian diaspora not only bring their skills and expertise but also their culture and lifestyle with them. The information technology and communication revolutions have helped to maintain strong bondage with homeland for most of the people migrated outside the country. Their concern for the motherland is a source of inspiration and can inculcate the value of patriotism among Indians. In the long term, it will help in social development which is a pre-requisite for national integration.

In the countries of their settlement the members of Indian diaspora are also participating not only in national politics but also at the provincial and local level politics. If wisdom prevails

they can help to mould the policies of that country in favour of India. Need not to say they can help to facilitate the process of protection of our national interests.

People returning from foreign lands, particularly from developed countries, speak volumes of their culture. It is a well accepted notion that these societies have law-abiding people and developed work culture. They have dignity of labour which is required in our country. Clubbed together with the above factors, work culture can do miracles for India. Hence, it will automatically strengthen the process of national integration. Work culture disconnected from the traditional biases of caste, gender and religion, will contribute to the making of a civil society where in lie the genuine, liberal and democratic forms of nationalism. Multicultural experience of Indian diaspora can cure the nation of its fundamentalist inclinations at caste or religious level.

Last but not the least, people living abroad can contribute to national security. They can help in building international public opinion in favour of India to tackle bilateral problems and disputes with neighbors. Using pressure group politics or through lobbying they can assist the government in managing the help of the concerned country to support the Indian

cause. But this is very important to mention here that the effects of a diaspora are strongly mediated by policies and conditions in the country of origin. As a matter of the fact the same Chinese diaspora which plays a critical role in China's economic growth after 1980, was a silent spectator in the decades before that. As long as China itself was closed, the international trade and investment were ideologically suspect, the skills and wealth of overseas Chinese had little effect on the country. Lebanon presents similar story. Many central American, African and central European countries have large diaspora but their own economics, policies and political instability mean that diasporas have little positive effect and indeed often have a strong negative effect on their country of origin[10]. So we have to pay attention to the importance of overseas trade networks provided by its diaspora.

Notwithstanding the current expectations about the benefits of the Indian diaspora, we must realize that ultimately India's problems are to be resolved from within and not without. It is much more important for the country to change internal conditions sufficiently for its integration. Expecting miracles from outsiders, even those originally from the country, to do much in this regard will be a fanciful conception as Indian diaspora at times

on several occasions have demanded strong preferential treatment[11]:

(a) It wants the tax structure favourable to them, such as duty free outlets of Indian goods in India itself.

(b) Mr. Bharat Bhai Shah, Chairman, NRI forum, demanded that President of India should also appoint a few NRI's to Indian Rajya Sabha to serve the country.

(c) Mandatory insurance scheme for all their employees.

However, there is a need to assess the actual role and capability of Indian diaspora in various sectors of nation building. Undoubtedly, there is an Indian connection and a primary sympathy among them for India[12]. But the term Indian diaspora in reality covers a wide range of individual and group experience. Limitations arising out of a long standing involvement in the present country, their citizenship and the main area of their economic life, spares more of abstract cultural bondage with India and less space for a vibrant participation in the project of building India as a democratic, modern and secular nation. The enthusiasm they have for globalization and for a static image of Indian culture has its inherent limitations. In fact, the majority of Indian people whose plight and existential crises cannot be adequately addressed

and solved by the present policy of globalization. Centuries long traditions culture demand a radical purging of Indian nation from the clutches of fundamentalism of all kinds. Nationalism based on unrealistic or biased understanding of its pluralistic culture cannot integrate the sub-identities in a harmonious whole i.e. the great Indian nation.

Despite the above facts, there may be clash of loyalty for the home country and the country of settlement. And we must not forget that Indian diaspora, wherever it is settled, is in minority in the country of its settlement. Being in minority, they have very serious limitations.

In general, they are supporters of globalization, privatization and liberalization. Their interest can adversely affect the Indian concept of mixed economy. Moreover, NRI's have donated only for their families, friends and relatives. Very few feel concerned for the country. The NRI associations abroad have very close affiliations with the right wing Hindu Political Parties in India[13]. Movement organizations have used global networks, including the internet and web pages, to secure visibility abroad, to establish themselves as legitimate actors. Ethnic and religious movements such as VHP or Pro-Khalistan organsiation have turned

to non-resident Indian abroad for financial support[14]. It is widely presumed that Sikh diaspora in the United States, Canada and the United Kingdom was a significant source of funds for the early of Khalistan Movement. Didar Singh Bains, one of the largest peach growers in the US who became president of the World Sikh Organization in 1984 following operation Bluestar, was reputed to have helped to channel funds to the Khalistan movement[15]. If in recent decades it might be fair to speculate that global networks have sustained more moderate, constitutional form of movement politics, it would probably also be work observing that whatever moderating effects global networks have had on identity movements have not precluded their capacity to draw on the diaspora for support for militant and sometimes political activitism[16]. This type of linkage can pose a serious threat to secularism in India. It is generally accepted hard fact that they have migrated in pursuit of better life style and good career opportunities. Obviously their personal interest will be more sacred to them than anything else. However, despite these limitations, the Indian diaspora can be a strategic asset and a long term source of economic growth.

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Negotiating Bicultural Identity in Culturally Contested Zones

Topic Areas: American Studies, Ethnic Studies, and Communication.
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Abstract

In this limited literature review and study I will examine Bicultural Identity negotiation through culturally contested zones. Understanding how individuals identify themselves is a key factor to understanding how they will communicate as communication and dialectal contexts help people form and reform their identities (Lu; 2001; Chen; 2000; Ting-Toomey, 1993). There are vast differences in the ways people identify themselves across cultures. For this reason this study will look at bicultural individuals in general as opposed to one specific occurrence of mixing. Specifically, the following research questions are asked: How do people balance their multi-cultural values within their cultural identities? Do culturally contested zones exist in a culture? How do people negotiate their identity in these zones? What are the effects of successful/unsuccessful negotiations in the culturally contested zones? These research questions will be addressed through a series of ethnographic interviews, supplemented by literature. Biculturalism is the adoption of another culture, while maintaining the culture from which one originates (Darder 1995). Biculturalism assumes that while integrating into the culture one is living in, it is possible to maintain a separate original culture or culture of origin. Biculturalism can and should be seen as fluid and on a continuum, with "mainstream" culture on one end, culture of origin at the other, and bicultural identification landing somewhere in the middle of these two extremes (Bayona, 1998). A culturally contested zone is an area and a continuum where beliefs and values are coming into conflict through communication, and all culture is considered contested (Moon, 2000). To say that culture is contested is to say that when people live in or come into contact with other cultures there will be a challenging of norms. All of which sheds light on identity negotiation and communication across cultural lines.

Negotiating Bicultural Identity in Culturally Contested Zones.

There are many theories relating to cultural, ethnic, and 'racial' identity negotiation. In this study I will examine how individuals negotiate a bicultural identity in culturally contested zones. Understanding how individuals identify themselves is a key factor to understanding how they will communicate as communication and dialectal contexts help people form and reform their identities (Lu; 2001; Chen; 2000; Ting-Toomey, 1993). As more and more people are experiencing multiple cultures in their everyday lives, the issue of how people balance values with in their identity must be addressed.

"Identity bridges the gaps between the 'inside' and 'outside'- between the personal and public world" (Hall, 1992). Bicultural identity occurs in people who live within more than one personal and/or public context simultaneously, and identify with both contexts (Rotheram-Borus, 1990). Giving name to the unspoken, biculturalism remained hidden under theories such as the melting pot and cultural pluralism (Darder, 1995; Smith, 1982).

> "Biculturalism is an ideological strategy, an ongoing process of varying tactics, whereby individuals and groups maximize their preferred socio-cultural distinctiveness and the scope and depth of public manifestations of these cultural differences within the context of current ethnic relations conditions." (Smith, 1982, 5)

There are vast differences in the ways people identify themselves across cultures. For this reason this study will look at bicultural individuals in general as opposed to one specific occurrence of mixing. Specifically, the following research questions are asked: How do people balance their multi-cultural values within their cultural identities? Do culturally contested zones exist in a culture? How do people negotiate their identity in these zones? What are the effects of successful/unsuccessful negotiations in the culturally contested zones? These research questions will be addressed through a series of ethnographic interviews, supplemented by literature.

As identity is formed in a communication context, bicultural identity is formed and reformed consistently in communication contexts (Lu 2001, Schaetti. 1999). Cultural and ethnic identity refers to the shared appearance, system of symbols and/or meanings, and sense of community and loyalty to a group of people (Chen, 2000; Lu, 2001; Belay, 1996, Friedlander, 2000), in addition, cultural identification is not 'homogeneous' within

or across a cultural or ethnic group (Chen, 2000). There are several over laying concepts that contribute too the formation of bicultural identity versus other cultural and ethnic identity forms. Biculturalism is the adoption of another culture, while maintaining the culture from which one originates (Darder 1995). Biculturalism assumes that while integrating into the culture one is living in, it is possible to maintain a separate original culture or culture of origin.

Biculturalism can and should be seen as fluid and on a continuum, with "mainstream" culture on one end, culture of origin at the other, and bicultural identification landing somewhere in the middle of these two extremes (Bayona, 1998). Viewing identity as fluid is imperative for understanding identities that are flowing between two or more cultures (Hegde, 2000; Ting Toomey, 1990). One factor that contributes to successful formation of bicultural identity is the level to which a person identifies with each group. The level of identification to cultural aspects is contextual and can change throughout a person's life. These contexts must be managed and maintained, this can be difficult (Chen, 2000; Hegde, 2000).

Individuals and groups maintain first culture in different ways. To maintain ethnic or cultural identification is to maintain salience to a culture of ethnic group (Lu, 2001; Bailey and Oetzel, 2003). One effective way of communicating culture is through ethnic communities or through ethnic schools (Hegde, 2000; Kong Lum, 1991; Lu 2001). These avenues allow people to maintain their values, customs, and languages outside of 'mainstream' United States culture, which typically pressures assimilation. It is also important to keep in mind that cultural and ethnic groups are fluid as well and susceptible to outside influence (Kim, 1996). The maintenance of first culture comes from within the cultural groups. While ethnic and cultural identity salience is generally easier to maintain than other identity factors, people may resist the culture of their family. For this reason first culture maintenance is an active process that occurs within the context of communication with other groups of people (Lu, 2001).

The more a person interacts with mainstream society, the higher the pressure will be to integrate.

> From the beginnings of colonization to the present and into the foreseeable future, Native Americans (and many other minority groups) have been faced with and continue to face constant pressures to acculturate, to abandon their cultures and integrate themselves into the mainstream (Morris, 2000).

Society pressures integration in many different ways. For people who live and learn in the dominant culture, it is imperative to adapt to the mainstream culture in order to work and live. In addition, any interaction with outside culture makes total resistance to acculturation/assimilation unlikely (Goodenow & Epsin, 1993). Martin and Nakayama identify four different modes of cultural adaptation (Lu, 2001, Martin and Nakayama 2000). They are assimilation, acculturation, separation, integration, and marginalization (Martin and Nakayama 2000).

According to Buriel, LaFromboise, Coleman, and Gerton, the acculturation process often happens quickly (1993; 1993), however not always (Goodenow and Espin, 1993). The United States school and economic system encourages acculturation. Both create an environment that presses for the adoption of Euro American culture (Buriel, 1993; LaFromboise, Coleman & Gerton, 1993). When rapid second culture acquisition occurs, bicultural identity becomes more common (Buriel, 1993). This is because of culture shock and the "stress-adaptation-growth dynamic", requiring a person to create a new set of symbols and identity markers in order to lower the stress of everyday life with a new culture (Kim, 1996, Lu, 2001).

The total acceptance of the host culture, is referred to as assimilation the development of a new cultural identity and complete loss of culture of origin and original identity (LaFromboise, Coleman & Gerton, 1993; Kong Lum, 1991; Chen, 2000). Assimilation and acculturation assume that a person will give up his or her original culture either partially or entirely (Lafromboise, Coleman & Gerton, 1993). In their efforts to resist assimilation minorities and immigrants construct and reconstruct their identities as divided or marginalized peoples (Morris, 2000). Creating feelings of rejection from both cultural sets, within the setting of assimilation and acculturation, individuals must "consistently struggle to maintain their cultural identities" (Morris, 2000). Marginality occurs when a person attempts to assimilate or acculturate and finds barriers against doing so (Buriel, 1993; LaFromboise, Coleman, & Gerton, 1993).

The assimilation model that is promoted by the dominant group in society has resulted "in marginalizing and delegitimizing the cultural experience" of minority groups (Lu, 2001). Marginality can lead to "psychological conflict, a divided self, and a disjointed person" (LaFromboise, Coleman, & Gerton, 1993). An alternative model is

proposed by Maria Root, stating that individuals can have multiple high salience identities.

> "The recent consideration of multidimensional models has allowed the possibility that an individuals can have simultaneous membership and multiple, fluid identities with different groups…These models abolish either/or classification systems that create marginality. Multidimensional models of identity will not be perplexed by phenotype, "genotype," and ethnicity do not necessarily coincide with or reliably predict identity." (Root, 1992, 6, from Schaetti, 1999, 37).

The level to which a person is integrated into the culture they are living with in, in part determines their level of their biculturalism. Within this people can form their bicultural identity, and 'assign equal status to the two cultures even if he or she does not value or prefer them equally' (LaFromboise, Coleman, & Gerton, 1993). Ones identity will form because the different cultures an individual embodies are in contestation (Darder; 1995). If the individual internalizes the cultural conflicts between the two cultures they live in they are more likely to form a marginal identity vs. a bicultural one (Laframboise, Coleman, Gerton, 1993). Bicultural identity evolves from sets of conscious and unconscious strategies of adaptation to difference and conflict (Darder; 1995; Papastergiadis; 2000). Through this contested areas form these help create a third space, or a space of fusion, in which bicultural identity can exist (Darder, 1995; Hegde, 2000).

This space is formed and viewed through culturally contested zones (Moon 2000). The concept of a third space comes from hybridity.

> "The importance of hybridity is not to be about to trace two original moments from which the third emerges, rather hybridity to me is the 'third space' which enables other positions to emerge" (Bhabha, 211, 1990)

With the development of hybridity as a social theory of cultural interaction researchers are given a way to categorize groups without putting them in strict groupings. At its roots, hybridity is 'a disruption and forcing together of any unlike living things...Hybridity is making one of two distinct things...' (Young; 26; 1995). By looking at identity formation as hybrid opposed to multicultural, individuals can assume difference without assigning traits based on ascribed identification. This can be formed outside the system of oppression while still acknowledging it.

Stuart Hall states that while cultural identity is always hybrid, a person identity will be determined by his or her past and present experience; everyone will experience hybridity differently (Papastergiadis; 2000). This theory includes the knowledge that

while all marginalized peoples' histories and identification processes will be different, they can all conceptualize their identities. An important concept in hybridity is that there is 'no single or correct concept of hybridity: it changes as it repeats, but it also repeats as it changes' (Young; 27; 1995). The key to development and maintenance of hybridity is in its fluidity.

It is also assumed that cultures are in conflict when they come into contact, and that conflict may be internalized in the act of fusion to reduce stress (LaFromboise, Coleman, Gerton, 1993, Bradford, Burrell & Mabry, 2003; Smith 1982). Many cultural, ethnic, and racial identity theories consider oppression the "primary socio-cultural stimulus for identity development" (Schaetti, 1999, 28). Dreama Moons' concept of culturally contested zones challenges this. Moon's theory allows individuals to construct their identities without internalizing the systems of oppression, while still acknowledging that oppression and discrimination do exist, and can affect peoples' identities (Moon, 2000; Smith, 1991). This occurs in the United States because power roles are assigned based on minority and majority group status, while developing 'boundary lines' to keep ethnic minorities at a distance (Smith, 1991). Different cultures have different ways of determining power distance. In the United States it is "'race', occupations, religion and nationality" (Smith, 1991). In any contested communication situation these factors will have an effect, and oppression may be one of them. Researchers need to allow room for other primary theories of bicultural identity formation.

A culturally contested zone is an area and a continuum where beliefs and values are coming into conflict through communication, and all culture is considered contested (Moon, 2000). To say that culture is contested is to say that when people live in or come into contact with other cultures there will be a challenging of norms. Rather than considering the United States as one culture, looking at it as a culturally contested zone allows cultural identities to be negotiated in communication settings (Moon, 2000). The key difference is that if researchers are stating that people are forming their identities through a system of oppression they are perpetuating that system.

As bicultural identity is often viewed as a way to help empower cultural values, viewing bicultural identity as formed through culturally contested zones allows people to form identities without integrating the system of oppression, and internalizing the

conflicts that exist between the cultures an individual lives in (Schaetti, 1999). Within identity theories there exist 'self fulfilling prophecies', when an individuals acts out their ascribed identity (Bradford, Burrell, & Mabry, 2003). If identity is viewed as being formed in culturally contested zones, then people will internalize a different set of meanings in this way. Biculturalism can be used to resist oppression (Yep, 2000).

It is important to note that systems of oppression do exist in the United States and need to be acknowledged.

> If we define culture as a contested zone in which different groups struggle to define issues in their own interests, we must also recognize that not all groups have equal access to public forums to voice their concerns, perspectives and everyday realities of their lives (Moon, 16, 2000).

As bicultural identity is living on the margins while feeling a part of both groups, systems of oppression should not be viewed as one of the primary ways of negotiating identity. Instead this study states that bicultural identity is formed through culturally contested zones in which there exist systems of oppression. Contested zones are shown whenever communication happens across cultural lines, and bicultural identity negotiation also occurs in this context.

Identity negotiation as defined by Stella Ting Toomey is the "managing the identity security-vulnerability and inclusion-differentiation dialectics" (Ting Toomey, 1993). Meaning that to reduce stress individuals will, through communication, balance themselves somewhere between the secure and the vulnerable, by including values while differentiating themselves from others (Ting-Toomey, 1993). This is done mainly to reduce stress. The alternative reaction to having a bicultural identity appears to be marginalized identity. Driedger defines "marginality" as, "generally referring to the uncertain position of persons experiencing two cultures but identified with neither."(1976). Marginalization occurs when one is forced to lose his or her culture, and the individual has little interest in maintaining original culture or relating to the dominant culture (Chen, 2000). The greatest instances of marginal personality characteristics occur among individuals who identify with the dominant group, but have found barriers against assimilation (LaFromboise, Coleman & Gerton, 1993).

This marginality is manifested when immigrants consistently express "their ambivalence" of being a part of two cultures and feeling a part of neither (Hegde, 2000). Biculturalism describes the efforts of people who have historically been marginalized to

establish a "sense of place in which to struggle against relations of the domination" (Darder, 1996). It appears that a persons' identity will be marginal if they meet barriers in their negotiations through culturally contested zones and bicultural when they overcome those barriers while maintaining their original cultural identity.

Methods

For this study seven individuals from varying cultural backgrounds were interviewed. These individuals all reside in the Bellingham, Washington area. All interviewees were somewhat acquainted with the researcher prior to the study, however not personally, and they were all volunteers. I allowed the interviewees to determine the setting of the interview. Some preferred personal settings while some preferred to meet in a local coffee house or at locations across Western Washington University. The interviews took place over a two week period. Field notes were taken during the interviews. I informed all interviewees of the intent and nature of the study and answered all questions they had regarding the research questions and interviewing process. All interviewees were given a consent form, which was also explained to them in detail, confirming confidentiality of the interviews. Participants were from varying cultural backgrounds which is appropriate for the nature of the research questions asked. They ranged in age from 20-28, and are all currently residing in Bellingham Washington. This study is meant as a beginning for further research that may be culturally specific in this area.

These interviews consisted of a series of questions and took just over an hour each to complete. The questions asked were; 1) Do you believe you have an identity? Explain and describe it; 2) Please describe your parents or core family group; How would you talk about them in relations to your communication with others in your daily life?; 3) How would you describe yourself to me culturally?; 4) Tell a story about a situation where you had to chose between two cultural values you hold?; 5) In a situation where your cultural values clash, what do you do?; 6) Describe a conversation with someone who is different from you?; 7) Describe a conversation with someone who is similar to you?; 8) Describe a situation where you felt out of place.; 9) How does being out of place make you feel?; 10) Compare that situation to one where you felt a part of the group?; 11) How does being part of a group make you feel?; 12) In what groups do you feel out of place and visa versa?. In the following I will go over the interview questions asked,

responses to them and the insights this data provides regarding bicultural identity negotiation. In order to condense the results I grouped the results from these research questions into four groups, 1) Do you believe you have an identity? Describe yourself to me culturally? Describe a conversation with your parents. 2) Describe a situation in which your cultural values clash? How do you balance these values?; 3) Describe a situation in which you feel different? In what groups do you feel out of place? How does that make you feel?; 4) Describe a situation where you feel in place? In what groups do you feel in place? And how does that make you feel?.

Results

Do you believe you have an identity? Describe yourself to me culturally? Describe a conversation with your parents.

To the first question, "Do you believe you have an identity?" people's responses varied from "Yeah, I think I have an identity" to "Well, I exist". However all respondents felt that they did have an identity. Their descriptions varied in many respects, most people did identify with a cultural background as well as some sort of overlaying United States cultures.

People made many distinctions between different aspects of their cultural identity within their own descriptions of cultural identity. One respondent stated "I am a radical Mexicana and not Chicana", and another's, "I am a second generation Chinese American", shows close identity ties to ethnicity. Another continued by stating. "Yeah, I think I have an identity, in two parts; Filipino identity and American/Canadian identity". She also stated that "I could not assimilate to Filipino or American cultures (so) I had to find a balance".

Some of the respondents expressed their biculturalism in threes. One respondent described her identity as; one "My own family", two "being from Hawaii", and three "American". The first part of her identity she described as being 'mostly Filipino', the Hawaiian part she described as being "so many different cultures blended into one", and "It is a place I can be more than just Filipino". The third she described as "being here (Bellingham, Washington) looking at myself…being surrounded by people who are white". Another respondent also described himself in a cultural three, one Native Bolivian, two Latino, and three American.

Many respondents made a distinction between themselves and a white, American, norm. One respondent explains that since many people are ignorant of Bolivian culture he is able to be whatever he wants. Many of the respondents compared themselves to a white group as well as to another ethnic group, bringing racialization[1], into the discussion of their cultural identity. None of the respondents considered themselves racially white. While many of them identified their American culture as white, they would not consider themselves as such and many put themselves in contrast to a white majority.

Most of the respondents did not identify with the categories that society has set up to describe people. One respondent captured this in identifying as "Bolivian –not just normal, not just Latino, not just Mexican as people like to assume". Within elaborating to state he identifies with United States culture but not to the United States. Identifying as Bolivian "gives me freedom to be who I am without worrying about stereotypes", because of the general ignorance to his culture. He goes on to state that "my identity is pretty complex…even other people of color are not coming from where I am coming from". Along these same lines another respondent stated that he wants his identity to be fluid, "a fluid to adapt to any container I am put into", making the stipulation that "I still have morals and values that will end with me". Even while having the ability to move within the cultures he lives in, he is still able to turn back to his core values.

Some of the respondents expressed similar feelings of deviating from cultural norms or stereotypes. One respondent states that her identity is 'Radical Mexicana', explaining that she was raised in the United States but has roots in Mexico and Mexican culture. The radical part comes in because "I do not fit the mold, that whether or not people admit it, they feed into of male dominance and female submission". She goes on to state "I want to know more about who I am, and how I am mixed". The more a person knows of their identity the more fluid it can become. Another respondent cited similar feelings of deviating from the cultural norms that exist stating "I have a very Latin background…and an anal German thing". He says that he is fairly laid back and goes with the flow, in what he refers to as a Latin way. He still needs to have certain things his way, giving the example of his house and how it is always needing it to be clean. Within this he is expressing feelings of biculturalism and fluidity in different situations.

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[1] , as in being ascribed a certain identity based on phonological traits.

A few respondents brought in the idea of 'race' and one sates he identifies as being 'black' because "that is how the law treats me". In identifying in this way he is expressing an attachment to the ascribed identity. He goes on to state "the irony is I did not allow the negative influences in my life to mold me into a negative person. I used the events in my life to mold me into a stronger person". While this was his initial reaction, he does go on to explain that he will always have the identity of a black man. He works to not fit his ascribed identity in order to separate himself from it. Stating "I am a black man not an ignorant black thug" too separate himself from the stereotypes that exist about black men, and their actions.

Many respondents speak of themselves in comparison to their parents. One woman states that there are certain things that she would not discuss with her family, "I would not discuss, abortion, premarital sex, or religion", specifically with her father. Another stated similar feelings of difference because of religion, his father is Mormon which he does not practice. While there are differences that are both generational and with in beliefs, this shows that that bicultural individuals have cultural contexts to compare themselves too. One respondent stated that he regrets not learning the language of his parents. Stating that he "told my parents to stop speaking non-English", he now regrets it, because he feels he would be more connected to that part of his identity, had he not done that. He wanted to fit in did not want to be differ from the norms he lived in. He wanted to assimilate into United States culture and his surroundings.

One respondent realized her culture was different when she contrasted her with her parents too her friends experiences. When she moved to Bellingham she found she interacted differently with her parents in a different way than her friends. An other respondent, a Chinese American women this is when she moved into the dorms her freshman year. Instead of talking on the phone for hours, she would just have short check in conversations. "I want a closer relationship with my parents", going on to state that "my sister does not". She believes this is because her sister goes to school in Seattle and has many more Chinese American friends. "She is comparing herself to other Asian Americans. My comparisons were with Anglos, and the void is pointed out". This feeling of difference when compared to others was quite common in the responses.

Describe a situation in which your cultural values clash? How do you balance these values?

The most common value clashes that people experienced were shown in experiences of racisms and/or ethnocentrism. Many respondents felt an internal dispute what deciding when they should and should not say about racist or ethnocentric comments or experiences. "Looking back I could kick myself for not saying anything" was one Chinese American Woman's response to seeing a guy with a shirt on that said "got rice". However it was not until she learned more about the Chinese part of her culture that she saw this as racist. "I was thrown off guard, and it hurt but I did not recognize it as wrong". She saw it as a problem but could not see why it was a problem. Learning more about the Chinese part of her culture has led her to be able to see these comments as offensive and internalize them a different way.

Along these same lines many of the respondents had feelings of cultural clashing throughout their lives and identity construction. One respondent described herself as ashamed of being Asian, when she did try to join Filipino extracurricular activities she had feelings of rejection as if they thought of her as "white washed". Growing up she dealt with "racial comments, jokes, and stereotypes". This was mainly because she not did see these as offensive or racist. Two of the women interviewed expressed that they used coming to Western Washington University to explore their culture and start too identify more with their culture of origin. However as people being to explore their cultural roots they were confronted with no longer being accepted by their previous core groups. The people from their previous core groups, as one woman stated "could not understand me because they could not understand the minority mentality". The respondents are expressing the feelings of acceptance into a minority group, while simultaneously recognizing the feelings of rejection from the majority group.

For one Filipino American women it was breaking up with her white boyfriend that allowed her to create a Filipino identity. The break up was facilitated by exploring her cultural values more and finding them incompatible with his. This was her "main turning point", as she put it, in understanding her identity and cultural values. Now previous core group, sees her as "all Asained out". While she identifies with her Filipino American culture strongly she still feels part of both groups. She believes that many people who live within more than one culture "have to deal with the same stuff" and this helped her find a way to balance situations where cultural values clash. She discovered that being able to balance cultural identity is a direct result of "how confident you are and

how dedicated you are to your culture". By expressing confidence in situations where she had to choose one culture over the other, she shows her biculturalism and her confidence in both cultural areas of her life.

Many people found dating roles to be a common area where differences were pointed out. One respondent expressed feelings of confusion when a white boy would not date her because she is Chinese. She goes on to state "I never associated dating roles with ethnic identity until then". While she identifies as both Chinese and American, people associate her as only Chinese. This situation began her exploration into her culture and how it fits with her life thus far. Another respondent's cultural differences were first pointed out to him when he dated a girl whose father disapproved of their relationship because he was black. "Society only considers me black", even though he is half Germen as well. He balances this is by not internalizing what he considers the negative parts of being ascribed black.

Describe a situation in which you feel different? In what groups do you feel out of place? How does that make you feel?

The respondents felt different in a variety of situations, however for many the realization of their cultural difference occurred at a distinct moment and was a recent realization. Many respondents used racial difference to explain when they felt most different themselves. Respondents incorporated stories of having differences pointed out to them in their discussion of their identities. Feelings of being the non-white person were expressed by many respondents. This was coupled by the belief that this feeling did not start until coming to Bellingham or moving away from their core group. One respondent stated that she never really feels out of place, but she feels different "sitting in a room with a lot of white people". Since coming to Bellingham she has been exposed to more frequently too large groups of white people and feels different in those situations. For similar reasons another respondent stated that he has a hard time walking across Western Washington Universities campus. "I feel different than everyone on campus", "I am a lot more noticeable then everyone else is". This makes him feel as if he does not have equal footing. "I feel like they make me feel different". This shows the uncertainty that surrounds being of a different ascribed identity than the majority group one is surrounded by.

For others they realized their difference at a younger age. One respondent recalled a story of when he was in fourth grade. His teacher split the class along white and black lines, and did not know where to put him. He went with the black group and started to create white/non-white categories of explaining his cultural identity and place. He describes a white person "as someone I can not talk to." Someone he feels that he has to hold back with. He has to be careful not to offend and not to disclose too much. He goes on to explain that he is more comfortable communicating with white women, and even more so with people of color. He feels he has more in common with people whose identity is questioned or considered different by society.

Another respondent experienced similar feelings of being different by going on a weekend trip and realizing that she was the only non white person there. She felt as if everyone was looking at her. Her friends asked 'don't you feel weird', followed by a series of joking and her stating "you do not understand why this is offensive to me". She came back from the trip thinking "you don't know who I am and neither do I", and at that point she decided she was going to find out. This shows the struggle between two of the identities she has lived in.

Another Mexican American women, described PTA meetings as the area she feels out of place. "I keep my mouth shut and point out only the things that I am very passionate about…I do not want to get kicked out". She described the people there as being upper middle class, predominantly white, and generally having different views of the world then her. However she feels she should be there to represent her community, and to translate when Latino parents come with issues or concerns. She acts as the bridge between her cultural world and the world that the PTA exists in. She goes on to explain that it is hard to intermingle with people who are out of touch with the majority of people she comes into contact with. Along these same lines another respondent brought in feelings of being out of place in the business world, "I have to put on an act or else people would freak out". When a "white man sees a black man, he thinks we are going to steal his girlfriend or that we sell drugs". He overcomes these stereotypes by not living them, but he still has to live with them.

Two respondents stated that they feel out of place when "entering any new situation". Going on to describe Western Washington University as a place where they consistently felt out of place, "I have trouble finding my place here at school",

"everybody here is from Seattle area, white middle class, there is this mono-culture up here at Western". Feelings of being out of place in many area of Bellingham and Western Washington University, which are predominantly white areas.

Describe a situation where you feel in place? In what groups do you feel in place? And how does that make you feel?

Many respondents feel in place when they are in a core group they identify with. One woman described joining Filipino American Student Association and finding a place where she "felt accepted". "When I am with Filipino friends I am not someone I am not, do not have to play a role". Stating once she found a core group to relate to the rest of the world from, she was able to express her identity as a more diverse person. Along these same lines another woman stated that she feels most in place "when I go to migrant student union conferences…everyone has the same background, and are semi, if not completely, bilingual" Another respondent expressed one of the places he feels most in place is the Ethnic Student Center on Western's campus "I feel natural and do not feel much difference". He also feels in place with his family and girlfriend who are all people he considers similar to him.

Another respondent has feelings of being in place while not being in place "my place I feel in place if I am not in any specific place", "I have to be in the gray area". Going along with this another respondent stated that "I don't like to be a part of just one group". He goes on to say that he feels "pretty much in place wherever I go…if I want things to change then I have to go and change them" referring to both himself and the situations he encounters. Another woman stated she feels in place when she is with a group of diverse people, "In my boyfriend's group of friends, mostly Asian, they are all really open and very diverse". She went on to state that "this is where I feel the most accepted and a very strong sense of belonging". This feeling of acceptance in diverse groups was expressed by many respondents.

While most respondents stated that they feel in place with their families, they also expressed having different opinions and views than many of their family members. One respondent refers too his cousin as someone similar to himself. "We have similar backgrounds" however his cousin is not mixed and also "was raised in a better environment". Another woman describes feeling most comfortable around her family and

in their functions. She goes on to describe these functions as events that are primarily Filipino where she feels at ease and welcomed. Most of the respondents felt different in varying situations, mainly when they were surrounded by core groups they do not identify with.

Discussion

The interview data suggests that culturally contested zones do exist in a variety of settings and are manifested in different ways. The data also suggests that people experience culturally contested zones more often when they leave their core group to explore other areas of society. Going on with this it suggests that people must find a core group to identify with in order to negotiate through culturally contested zones as a bicultural individual. Successful negotiation through culturally contested zones can be seen as identifying with a core group and the majority of society while feeling accepted by both.

Many respondents began to have experiences with culturally contested zones when they moved away from the groups they developed within, or their original core group, into mainstream society. This typically occurred when they moved to another area or went out into the work force. For all the respondents there was a moment in their life when mainstream society pointed out their cultural or ethnic difference. For the interviewees this occurred while they were still in their core group or after they went into mainstream society. The timing of this occurrence seems to have had an affect on the respondent's identity negotiation.

Most individuals acquire their cultural or ethnic identity while children, usually through their parents or an alternative core group (Chen; 2000). As people begin their explorations of mainstream society, they stated feelings of not belonging, or marginalization. Due to the age demographic of the interviewees these were recent or current events in their lives. There are two tentative groups I will classify people experiencing culturally contested zones and discovering their biculturalism. The first being those people who discovered their biculturalism, and/or difference, from mainstream society while still in their family, or original core group, and those who discovered their biculturalism after leaving their core group or family. For most of the respondents from both groups the realization of their culture or ethnic identity came from

experiences of racism, ethnocentrism, and ignorance to difference. These events had an affect on their identity negotiation, in most case forcing them to renegotiate who they believed themselves to be.

The respondents from the first group were more prepared for these experiences, by having a cultural core group into which they could share experiences of ethnocentrism and racism. Along with having people who had experienced these feelings around to explain what, and why mainstream society members were treating them in such a way. Most of these respondents in this group grew up in more culturally diverse areas, where there were groups to identify with, who were similar to them. Going along with the theory that parents or an original core group maintain individuals culture of origin identification (Chen; 2000), those individuals who had a strong core group based around their culture of origin were typically more prepared for situations of racism and ethnocentrism. The mentality behind having a strong core group is expressed by an interviewee in Xing Lu's article *Bicultural Identity Development and Chinese Community Formation: An Ethnographic Study of Chinese Schools in Chicago,* where one respondent states, "My daughter will always have a Chinese face, therefore she must know the Chinese culture" (Lu, 2001). However this maintenance is not easy and, to try and assimilate to United States culture, some respondents did reject their culture of origin at a young age. According to Radha Hedge it is a very common occurrence, for children too reject their culture of origin, in large part because of the push towards acculturation and assimilation in the United States (2000).

Within the second classification, many of the interviewees developed in predominantly white areas, whether or not they would not classify themselves as white. Through this development process they were exposed too stronger pushes towards assimilation and acculturation. For individuals who live in a dominant culture it is imperative for them to adapt to it. Interaction with mainstream culture makes resistance to assimilation and acculturation unlikely (Goodenow & Epsin, 1993).

While these individuals experienced culturally contested zones in the form of racism and ethnocentrisms while in their original core group they did not recognize them as such. Instead they saw ethnocentric and racial comments as markers towards assimilation, what to and not to do, say, or eat. I will break this group into two stage; first, those who have or are finding their cultural identity but still chose to identify

predominantly with mainstream culture, and; second, those who have or are finding their cultural core group and rejecting the original group they developed within.

Respondents from the first stage did not identify with many aspects of their culture of origin or ascribed culture. Some felt rejection from there ascribed cultural groups and felt or feel that they cannot communicate with these individuals. However they also typically felt or feel some rejection from mainstream culture. In some cases this leaves them marginalized, however finding an accepting core group, whether cultural or otherwise enables a person to have a strong identity. In turn not finding a strong core group can lead individuals to feelings of marginalization and rejection by both parts of their identity.

The respondents who are described in the second classification also at one point felt rejection from both a cultural core group and mainstream society. They joined a culture core group usually when an individual or two, from that group would encourage them to learn and explore their culture, making them feel more accepted and welcomed. This led the respondents to identify with new cultural core groups, ie the Filipino American Student Union. Many of these individuals remain in transit between mainstream society and their cultural core group, leaving them bicultural and better prepared for communication in both groups.

What was predominantly found through the interview data was that in order to successfully negotiate through culturally contested zones individuals must find core groups to identify with. This gives people shared experiences and the ability to recognize cultural differences and similarities, which can facilitate resistance to assimilation and/or help people become bicultural. Having a strong core group gives individuals the ability to negotiate through cultural contested zones, in part because many people in the core group will have already had those experiences and worked through them.

In turn unsuccessful negotiation through culturally contested zones can be seen in people who feel marginalized; as if they belong to none of the cultures they live within. This can occur because of a weak, or a lack of a cultural core group that an individual identifies with strongly. This however is not always a permanent phenomenon. Identity is fluid and people move in and out of groups throughout their lives and will form stronger attachments to some then others. There will be points in every bicultural person's lives where they have a stronger core group then other times. The important part

is finding a place where an individuals identity can stem from and create an environment for a stronger identity.

Within this research I consider myself both an outsider (emic) and an insider (etic) (Lu 2001). I am an insider in that I have bicultural experiences and have had to work through culturally contested zones in my life. This is also where my interest in the topic of bicultural identity negotiation stems from. I also am well versed in cultural identity research and am committed to helping biculturalism as a theory and identification. I am outsider in that this is academic research I am also performing it for the greater benefit of the intercultural communication literature, in hopes that ideas of culturally contested zones, and biculturalism will proliferate through the base of knowledge. As well as contributing to that wealth of knowledge as relating to bicultural identity theory and its implications in today's society (Lu 2001).

Three implications can be drawn from this study. First that bicultural identity is negotiated through core groups and culturally contested zones. Second that successful negotiation through culturally contested zones consists of felling accepted by ones ethnic core group and the mainstream culture. Finally third that unsuccessful negotiation through culturally zones consists of feelings of unacceptance by both a cultural core group and mainstream society.

Within this research there are also implications for further study. One of the larger implications is to have a longitudinal study of bicultural identity formation and negotiation. Due to the age demographic of the respondents many of them are in a transitional period of their lives and in turn their identity. It would be beneficial to examine whether identity ever levels on some point and if so which one? Or is bicultural identity by its nature always in transit? As people's lifestyle needs change does their identification with different core group's change as well. After a certain time period is a person able to be separated from their ideal core group and still maintain a bicultural identity. How much of the identity negotiation process is determined by society and how much is determined by the individual. How is this formed and reformed through communication and how do communication patterns of bicultural individuals change as their lifestyle needs change?

Another point of research could be to see the difference in levels of biculturalism through individual cultural groups and areas, ie Chinese American study, Filipino

American study. In doing this comparing whether the level of difference ones culture of origin is from mainstream culture affects the level of biculturalism, and/or the ability of an individual to identify with mainstream culture verses a culture of origin. For example can an immigrant whose culture of origin is more individualistic, able to form a bicultural identity more then someone whose culture of origin is more collectivistic, or visa versa. All these points could be examined as a way to expand upon the knowledge base of bicultural identity and its implication into intercultural communication patterns.

Along with these questions there are questions of cultural mixing, and how people's identities will be changing and molding to adapt to more and more intermixing within our society and communication. Are people who are mixed or raised in mixed environments more likely to form bicultural identity? What factor does 'race' or ascribed identity play on whether individuals form a bicultural identity or not?

The study of identity formation of individuals who are developing in multiple cultural sets is just a beginning. This study has contributed to the bases of this knowledge on bicultural negotiation form an intercultural communication stand point. It has also opened the doors to multiple new studies. Bicultural identity is fluid and always changing, from person to person and from time to time, however it is imperative that we understand further how this forms, how people negotiate to and through it, if we are to understand the intercultural communicators of the present and future.

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Title: "Revisiting the Authenticity Equation: The Role of Biography in the Field of African American Folk and Self-Taught Art"

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Abstract:

Anyone who has attended a sizable exhibition of "folk" or "self-taught" art surely has encountered examples of biographical sketches of artists alongside the works being displayed and offered for sale. Often no more than a paragraph or two in length, these sketches evidence a consistency in terms of content and stylistic conventions that is nothing less than remarkable. A partial list of qualities routinely attributed to folk and self-taught artists includes: poverty, a rural environment, illiteracy, lack of any formal art training, old age, a physical disability, fervent religiosity/spirituality (often including "superstitious" trust in folk beliefs and/or receiving visions), and occasionally even insanity. A small, but growing body of thoughtful scholarship by the likes of Eugene Metcalf and Kinshasha Holman Conwill has noted the ways in which these qualities serve to position folk and self-taught artists—especially African American artists—as a type of exotic Other vis-à-vis an art market that is predominantly white, well-educated, and relatively wealthy. Beyond simply cataloguing the kinds of rhetorical strategies employed in this body of biographical writing, at least three further areas merit further inquiry: 1) why has biography played such a prominent role in the fields of African American folk and self-taught art?; 2) have art dealers and scholars from various disciplines (folklore, art history, and African American Studies) constructed such biographical material in similar ways?; and, not least, 3) who gains what in terms of financial and cultural capital by way of this privileging of biographical information about African American folk and self-taught artists over a systematic analysis of the artwork itself? and what might be lost in the process?

To address these questions I will examine a handful of selected biographical sketches drawn from art festivals and museum exhibition catalogs in order to illustrate how they function in the construction of specific types of "authentic" Otherness for African American folk and self-taught artists. As part of my interrogation of the operative patterns in these biographical sketches I will offer representative examples of ways in which more detailed biographical research of particular artists can complicate (or even contradict outright) the kinds of Otherness that the biographical sketches typically try to convey. Along the way, I will suggest how the interests of art dealers and scholars variously intersect and diverge in the course of these efforts to construct meaning and value in the work of African American folk and self-taught artists.

Thus, my paper will examine a body of discourse about art and artists more so than artwork itself. However, this is more than a semantic exercise. Biographically based constructions of authenticity exert considerable influence on the market success (or sometimes lack thereof) of those classified as folk and/or self-taught artists. Further, I believe that we, as scholars, could stand to be a good deal more self-reflexive as to how our presumptions concerning authenticity and the appropriate function of biographical information shape the work that we produce with regard to creative artists. In this regard, my presentation should contain significant crossover appeal for those interested in art, literature, drama, music, and dance by members of other "marginalized" social groups; at a general level, at least, similar debates surrounding issues of authenticity seem very much alive and kicking in fields as diverse as country and bluegrass music, feminist performance art, and working class literature.

Submission to 3rd Annual Hawaii International Conference on Arts & Humanities
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Title: Poetry and Performance as Spiritual Practice

Topic Area: Cross-disciplinary: English, Performing Arts, Theatre, Religion

Presentation Format: Paper session, work-in-progress, graduate student.

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Abstract

There has always existed a particular brand of artist who engages in a practice of art-making as a spiritual discipline. This paper will compare the paths of spiritual and artistic development followed by two contemporary artists from two distinct disciplines: Jane Hirshfield (poet) and Bruce Lee (actor/martial artist). These artists demonstrate a deeply internalized personal process of art-making that is founded in eastern religions/philosophy, particularly Buddhism and Taoism. The paper will describe the process as containing four distinct phases: 1) apprenticeship in a tradition, 2) internalization/personalization of the tradition (I suggest this is a form of monasticism), 3) translation (making the personal public), a 'bridging' phase, and finally, 4) dialogism, which allows the artist to contribute something to the overall human dialogue in a larger sense of time/space.

Drawing on theoretical concepts of dialogism (Bhaktin), flâneurie (Walter Benjamin) and the personal philosophies of Bruce Lee and Jane Hirshfield, as well as my own theories on art as spiritual practice, this paper will be directed to both the interdisciplinary artist and the scholar.

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"Aston Webb? Aston Who?"

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The career of Sir Aston Webb (1849-1930) is arguably one of the most prestigious of all late-Victorian and Edwardian architects. Living in an important era in British social, political and cultural history, Webb's career and rise to prominence paralleled one of the most exciting and transitional periods in the history of architecture, with his course reaching its peak when British town planning was in its formative years through winning major architectural competitions and achieveing the rank of RIBA President, the President of the Royal Academy (RA) and RIBA Town Planning Chairman. By the turn of the 20th century renowned architectural historian Alastair Service noted that regardless of the architectural ideals of the period, the greatest practice in terms of the sheer volume of work or money earned was that of Aston Webb. Yet history has tended to ignore Webb's importance, partly due to his designs lacking the stylistic creativity of many of his generation. For his unoriginality young progressives such as Lutyens and Baillie Scott mocked him and Webb as a consequence has become unjustly portrayed very much just another architect of the time. This proposed paper therefore will thus rectify to some extent this situation through highlighting Webb's career, utilising journals such as *The Builder* and *The Journal of the RIBA* to emphasize that by about 1900 Webb become Britain's foremost imperial architect due to his work in South Kensington and Central London for the Queen Victoria Memorial Scheme (1901-12) – a monumental undertaking on a par with contemporary American City Beautiful projects which with the London County Council's Kingsway-Aldwych plan 'Hausmannised' the metropolis. In so doing the work will also demonstrate how Webb was not merely an architect of unappreciated ability, a professional of under-estimated rational thought, but was a designer who arguably more than any other of his time helped define British civic design and town planning in practice prior to the onset of World War One in 1914.

Keywords: Edwardian, Civic Design, Town Planning,

Introduction

The career of Sir Aston Webb is arguably one of the most illustrious, if not *the* most illustrious, of all late-Victorian and Edwardian architects. From an early age Webb showed remarkable talent by winning the 1873 Pugin Studentship from the Royal Institute of British Architects. Setting up a small practice Webb evolved into one of the great architects of recent British history. To quote Alastair Service, "Regardless of the architectural ideals of the time or the distinction of other designers' buildings, the big practice at the turn of the century - in terms of the sheer volume of cubic feet or of pounds, shillings and pence - was that of Sir Aston Webb." This in itself set Webb apart from his contemporaries but he was also an exception to the general rule in so far that his buildings were not known for their elevational expressions - Webb much preferred to give his buildings what was considered an 'appropriate' style. Part of this reasoning lies in the fact that firstly he was not original in his choice of styles and secondly he lived in and worked in an era dominated stylistically by the original buildings of John Belcher. For this young progressives and fashion setters such as Lutyens and Baillie Scott mocked him, Baillie Scott called his style of architecture 'the Webb-ed foot', and Webb as a consequence has become unjustly portrayed as something of a dinosaur of his age, very much just another architect of the time. However what he lacked in his elevations and taste Webb far than made up in other respects. Always known for his common-sense and rational approach to planning, Webb's career followed an important era in British social, political and architectural history, with his course reaching its peak when British Town Planning was in its formative years. By 1904, when he was knighted, Webb had created an office with fifty employees, somewhat comically described in architectural circles as a government office, and had won widespread applause for his planning ability techniques not only in Britain but overseas. In the fortcoming pages, one of Webb's most well-known schemes will be discussed and described.

The Queen Victoria Memorial Scheme: A British City Beautiful

The death of Queen Victoria in January 1901 signalled the conclusion of an epoch for Britain and her Empire. Immediately a committee, the Queen Victoria Memorial Committee, was created with the purpose of producing a National Memorial dedicated solely in her honour. This memorial though was to become something far more elaborate than just another monument. The Memorial idea was an opportunity pounced upon by the Memorial Committee to implicate 'some great architectural and scenic change' in London, recalling similar circumstances to when Queen Victoria came onto the throne in 1837 (William Railton's huge column of Nelson was being prepared). What was to develop in 1901 was one of the most cherished pieces of urban planning that Britain has ever manufactured, and as such the resultant Mall, Queen Victoria statue, Admiralty Arch and the new façade on the eastwing of Buckingham Palace were contrived under a single cumulative design scheme. The popularity of the Queen meant that the occasion called for a grand plan, incidentally paid entirely by public subscription. The circumstances from which the project was borne had thrown wide open the chance for London at long last to emulate other [memorial] planning schemes on mainland Europe and even further a field, and this fell nicely into imperial atmosphere. The occasion gave no excuse for not planning on a grand scale and to match finally physically manifest something worthy of an imperial capital. Prime Minister Arthur Balfour speaking about the plan said that it would be "of kind of which other nations have shown examples, which we may imitate, and can easily surpass."[1]

In April 1901 the Memorial Committee announced the decision that sculptor Thomas Brock was to be directly commissioned to produce the Memorial Statue[2] whilst five architects - Ernest George, Dr. Rowland Anderson, Sir Thomas Crew, Thomas Jackson and Aston Webb, who 'discovered planning' through his monumental edifices and was

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[1] For a synopsis of the Queen Victoria Memorial Scheme please see *The Country Life*, 1978, 'The Nation's Memorial to Victoria', by E. and M.Darby.

[2] Brock's monument's statue when completed in 1911 stood 82 feet in height, weighed over 2,300 tonnes and was built from Carrara marble and bronze. At the unveiling ceremony in May 1911 Brock was knighted on its steps.

unafraid of conceiving things on a grand scale, would be asked to submit designs.[3] The crux of the competition was to be, for the architects their planning skills, not only to devise a worthy scheme - of vistas, site, open spaces, fine avenues, etc., but to provide a better London. Almost everyone became involved in the scheme. The King had his own ideas. He wanted Buckingham Palace to adjoin to the main axial lines of London because the Palace was at the time physically isolated from Whitehall and Trafalgar Square. Therefore a new road, in an area originally landscaped by French architect Le Nôtre for Charles II. (but marked down by John Nash in his Grand Design of London), could fill this link whilst doubling as both a functional public and 'Processional Road'. This royal way would allow great pageantry for all to enjoy and in such a context the planner had to bring into being an illusionary impression - the single minded purpose with intentions of ceremony and cavalcade, promises of pomp, and vastness by its length and width.[4] *The Building News* for example wrote that the Mall demanded "dramatic presentation as to immediate requirements and prospective ideals".[5] The Memorial competition thus offered Webb a superlative opportunity to express not only his architectural ambitions and one of the strivings of his life - the development of London with emphasis on environmental improvement and solving the growing traffic problem. "So passionately had he openly defined and pleaded for such lines to be given the attention to all in public planning, that his success must have meant to him peculiarly keen satisfaction".[6] The width of the Mall had to be unusually broad for an urban roadway so to fulfil the idealistic ambitions of the scheme and this had practical implications for British planning as a whole. While this appears trivial this *was* hugely important in terms of the direction in which British planning was to head. In his 1904 Presidential Address John Belcher introduced the first strains of modern town planning when he said, "The lungs of London, as they are rightly regarded, must not consist solely of the few open parks, which, after all, are now more or

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[3] At the trun of the century Webb had a reputation bar none and was arguably the most important architect concerned with monumental buuldings. For example in 1901 he was involved with, all concurrently, the Victoria and Albert Museum, Christ's Hospital at Horsham, The Royal Naval College at Dartmouth, The Royal College of Science and Birmingham University. It was little wonder that C.H.Reilly wrote in 1938 about Webb's office with its fifty draughtsmen 'which we consdired in our superior way a mere factory for Government building'.

[4] Kostof, *The City Shaped*, (1991).

[5] *The Building News*, 'The Architecture of Sir Aston Webb, President of the Royal Academy', 1920, 63.

[6] *Ibid.*

less closed in but of wide channels and routes of currents of air to flow freely through." He continued, "This is a matter I commend to the attention of our Town Councils."[7]

The public coveted utility as much as aesthetics from the entire development. The new arterial road around Buckingham Palace Gardens should not further hinder London's slow traffic flow and problems of rush-hour congestion. This was important because the Mall was to link up with the existing road system by acting as a by-pass for Piccadilly Circus. Thus "This scheme calls for easy and unobstructed roadways, particularly at the crossing in front of the Palace."[8] The planning thus had to literally incorporate and amalgamate beauty, utility, as well as an emblematic element.

Figure 1. J. O'Connor's 1872 painting of the completed Thames Embankment which highlighted the sense of Empire in London during the reign of Queen Victoria.

In July 1901 Thomas Brock's design of the statue (Brock was directly commissioned to produce the statue) and Webb's Memorial plan both won approval from King Edward

[7] *Journal of the Royal Institute of British Architects*, 'The Opening Address', by John Belcher, 12th November, 1904., 8.
[8] *The Architectural Review*, 'The Queen Victoria Memorial', 1901, 199.

VIII and the Memorial Committee. *The Builder* commenting on Webb's win said "we are decisively of the opinion that Mr. Webb has fairly won his position on the ground of the superiority of his plan- the plan of course working up to Brock's statue. This win confirmed Aston Webb as *the* establishment architect of his time (and arguably architectural opportunist *par excellence*), but the practical ingenuity of the plan served to confirm his ability on architectural and civic planning matters. We can thus see that Webb was a man of great planning ability but there is no doubt that when chances appeared to him he took them firmly with both hands. Once again dilemmas with the site of the Mall and the existing road network and layout posed no challenge to his pragmatic genius but what he was doing was new to Britain, not only in that it was a complete scheme but his techniques employed in the project really were special at the time. This is highlighted below but for plans and sketches og the scheme please refer to Appendix.

The shape of the new road was obvious to all - directly straight and broad, as this afforded the most dignified approach to the Memorial and Palace. The main challenge in terms of planning was the eastern end of the Mall, particularly in how to link the boulevard with Whitehall/Charing Cross. Webb, forever turning troublesome architectural quandaries to his advantage, put the Mall in a non-arbitrary relationship to the road network and hit upon the solution in his scientific planning that the central axis of the Strand, if extended westwards, would obviously intersect with the central axis of the Mall. By inserting a circular court at the eastern end, (see plan in the Appendix), just in front of the northern façade of the Admiralty building and westwards of Drummonds Bank, this allowed the Mall to be centrally connected, via a very small purpose built link-road, to the Strand instead of the more obvious Whitehall or Northumberland Avenue. This had the architectural advantages of masking the irregular lines of Pall Mall and Whitehall, it disentangled the tricky problem of the sharp angle at which The Mall would join onto Whitehall whilst this simple circle shape of the court would allow the Mall to unite with The Strand opposite.[9]

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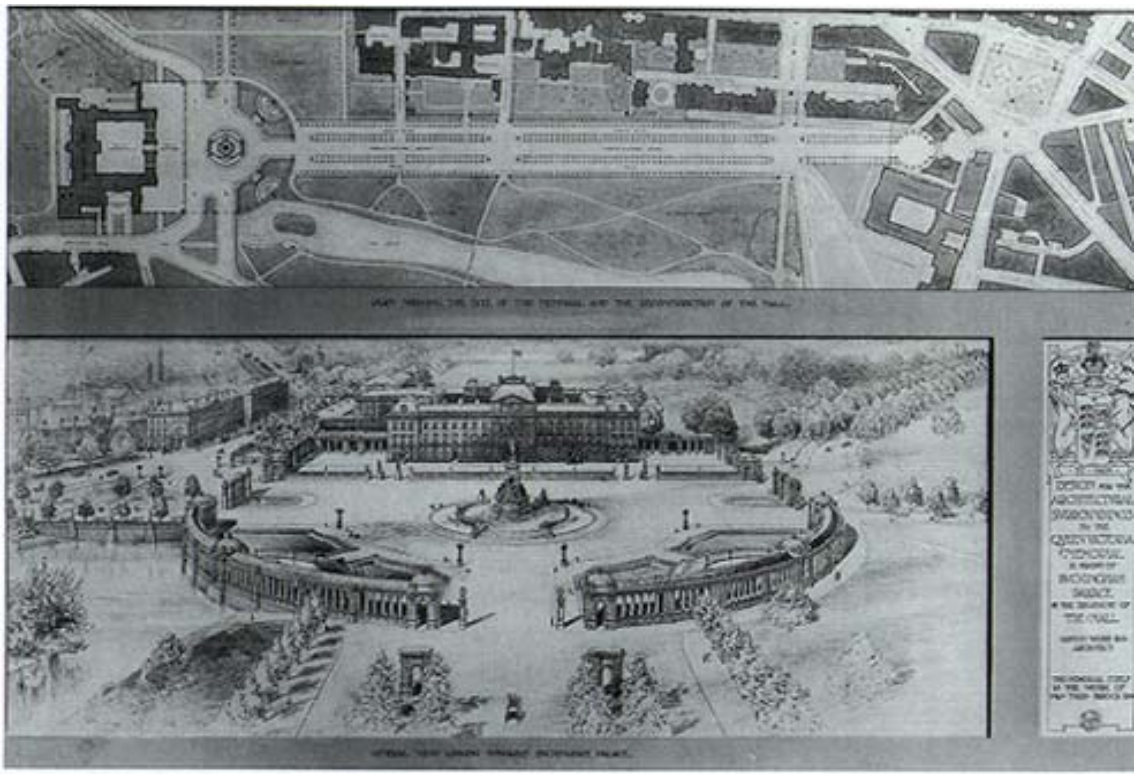
[9] Webb cleverly split the Mall into thirds across its width. The two outer sections, the 'Carriageways' were for public use, while the broader middle section, the central axis of the road, was to become a 'Processional Drive', to be used only by the Royal Family. The length of the Mall was decorated with foliage for aesthetic purposes so to blend the roadway into the neighbouring parks.

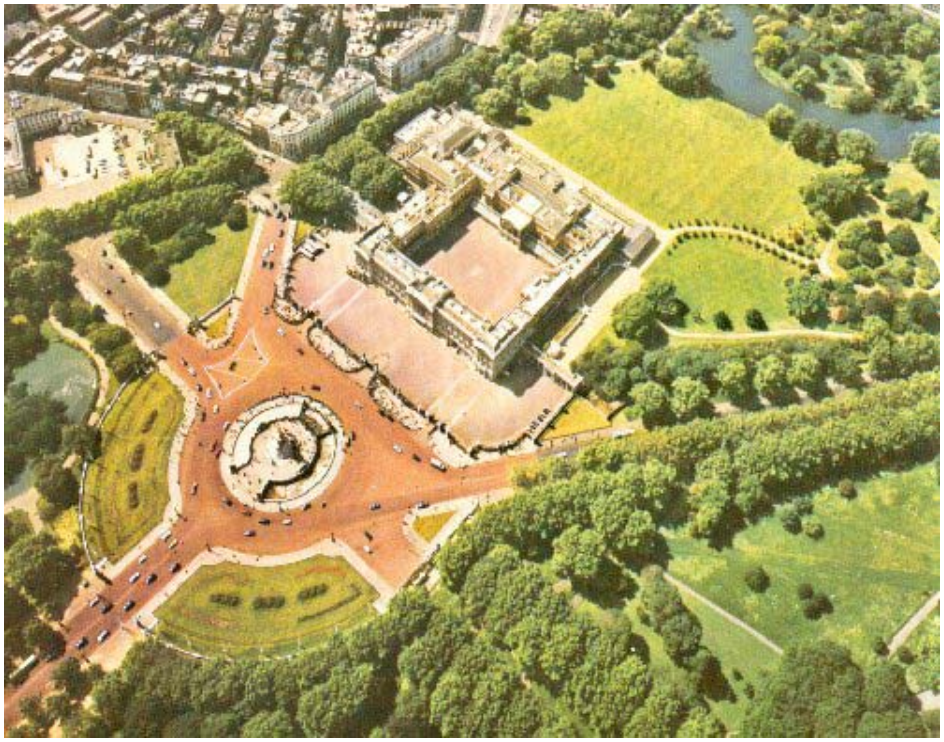
Figure 2. The original plan and perspective of the Queen Victoria Memorial Scheme by Aston Webb (source: *The Builder*, 1901).



The point of axial intersection was to be marked by a statue of a young Queen Victoria, from which the radius of the court could be drawn from. For Webb the statue was to act as a tool for terminating the vistas west from The Strand and east from the Mall. By turning the court into a circus this was all a practical ploy to suppress the fact that the two roads and vistas did not meet directly. By not demolishing the buildings around the Charing Cross/Mall entrance (the easiest option would have been to demolish these buildings) the change in the line of access would be not so noticeable. John Belcher described this as a 'very important, interesting, and ingenious part of the scheme'. Although Webb had planned for a statue of the young Queen Victoria to stand at the east end of the Mall it was always King Edward's wish for an archway to be built, and subsequently was, as an archway would have great symbolic, practical and architectural benefits. Here lies the origins of Admiralty Arch. Symbolically it was an icon of imperialism but with an archway within the scheme Webb realised he could create a vista

unparalleled elsewhere in Britain. The main purpose of any vista is to frame the distant view so that it is viewed through a purposely composed foreground but fixed at the opposite end by a marker. It further aided Webb by screening the change of axis from the Mall to the Strand. With an archway framing the Mall at the east end Webb quickly saw how powerful and grandeur a vista would be created. The specially constructed archway would mean the vista has to go through it whilst the far distance was marked by probably the most worthy marker in Britain - the Memorial Statue.

Figure 3. An aeriel view of the Queen Victoria Memorial Statue and Buckingham Palace.



At the far western end of The Mall, running towards Buckingham Palace, Webb placed, on Queen Alexandra's wishes, a 'sacred enclosure' which was to become a serene public garden complete with fountains. This semi-circular space, 'The Queen's Garden', was to house the Memorial Statue. The site for the garden was of course important. It stood directly in front of the Royal centre of London and the Empire - the Palace. Therefore it was an important architectural place. Webb's employment of basic symmetry in his plan, by now his planning trademark, was so simple yet so brilliant and original. This won him much applause. *The Builder* wrote that "The whole of this design, in fact, is calculated to

secure centralised lines of vista; and that is one of its great merits - it is all laid out on a symmetrical system."[10] Not only had he worked up to Brock's monument but he had also adeptly worked off it. To integrate the Palace into the scheme a sturdy looking but elevationally low stone colonnade, (deliberately kept low in height so not to impair the view of the Memorial Statue from the Palace balcony), replaced the existing iron grille and gates. The idea behind this was both aesthetic and practical, similar to the 'beautility' concept popularised by Charles Mulford Robinson under the banner of the City Beautiful Movement. It made this wall, curved in shape behind the statue, appear homogenous to the scheme at large and disguised the fact that it was to act as a screen for the Palace. In practical terms alone it divided John Nash's Palace courtyard from the ornamental garden far more effectively than an iron grille could ever do.

To enclose the 'Queen's Garden' Webb ran another stone colonnade, punctuated by small pavilions placed on lines of symmetry with the garden layout, which ran away towards the Mall in a semi-circular shape from the centre-point of the scheme - the Queen Victoria statue. One commentator described the colonnade as giving the effect of the columns were soldiers guarding the Queen. But this was not just for aesthetics as it act as an architectural screen and to stop traffic from entering into the courtyard (traffic ran around the circular colonnade), although Webb cut the screen at regular geometric points (90º angles to the statue or to each face of the Statue pylon) so to create vistas. Webb placed exits from the Palace courtyard on lines of symmetry with the ends of the eastern façade of the Buckingham Palace because a central exit was not possible due to the closeness of the memorial statue to the Palace colonnade. The notion of being able to leave the Palace by the front door was important to the King as he was becoming increasingly embarrassed of leaving his home thorough an undignified back-door.

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[10] *The Builder*, 1902., *op.cit.*, 377.

Figure 4. The Queen Victorian Statue by Brock.

Webb had realised in 1901 that the original proposals were far from perfect and flaws needed to be ironed out before construction began, particularly around the 'Queen's Garden'. A critic in *The Builder* described the plans for the whole scheme as 'Triumphal architecture, crippled by a sense of duty". Edwin Lutyens remarked, "The Queen's Memorial is horrid as I have seen it. Aston Webb has got it all inside out and far too small in detail and too funny for words..."[11] Architecturally it did contain weak and awkward points but Webb had acknowledged this early in the planning process. Subsequently the plan altered. The major change which resulted was that the semi-circular colonnade, seen by critics to be clumsy and unworthy of Brock's statue, was removed. The circular symmetry was retained however by setting out of the statue on a *rondo-point*, around which Constitution Hill and Buckingham Palace Road ran towards

[11] Letter from E.Lutyens to Sir H.Baker, 31st Novemebr 1901.

the mouth of the Mall. These roads were a deliberate ploy to architecturally frame the picture. The design was not done for its own sake but to articulate the spatial composition in which it was placed and repose of the scheme. The critics were silenced by this simple yet adroit move which made the area around the statue an architectural place in the fullest sense of the term. The *rond-point's* middle, the statue, had thus become the culminating point of the huge vista from along the Mall and it now coupled as a radiating point for traffic. This was 'beautility' at its finest in the Edwardian Period.

The open spaces in the vicinity of Buckingham Palace (St. James's Park and Green Park) were utilised and formed part of Webb's plans. In a City Beautiful-esque manner these parks were perceived to be an integral part of the whole scheme, an asset for providing views of the Palace and Memorial Statue. Webb quickly picked up on their architectural potential in 1901. He realised that beauty did not arrive by accident - it had to be made to happen. The parks' beauty was a vital component in creating attractive architectural scenes and vistas. Whatsmore they *were* natural and this in itself enhanced the whole. Therefore the combination of a monumental public building, in this case Buckingham Palace, sitting in harmony with greenery around it was Ruskinian civic beauty of the highest order. This became even more obvious in later after the colonnade was withdrawn from the plans and replaced at Green Park by an iron gate. This allowed a fine vista of the Palace and Memorial Statue from right across the park and Piccadilly. The already existing roads near the Palace, Buckingham Gate and Constitution Hill, were cleverly brought into play and unified into the scheme through the planning. The roads were used rather cunningly to open up new vistas, as highlighted in this statement from *The Graphic*. Improvements were to "be introduced at the opening from Buckingham Palace Road into the park, so that a fine view will be uncovered towards the Foreign Office, a corresponding alteration being made at the foot of Constitution Hill. From both these points excellent views of the memorial will be afforded from north and south through gates".[12] Overall almost every conceivable architectural opportunity offered was taken by Webb, but it was the cleverness of the planning which had created such chances in the first place. Another masterstroke was that his scheme did not become solely restricted to

[12] *The Graphic*, 2nd November 1901., 586.

what was going to be built or designed (as we can see from the text above). Whole adjacent areas were brought into the exercise. These other areas complemented the overall effect of creating what was a truly suitable and worthy environment for the Victoria Memorial.

In a speech to the Architectural Association School of Design in 1900 Webb had spoken about architecture having an tangible fourth dimension, which he had learnt through empiricism that could be prized out through delicate designing. Repose, or the 'simplicity of design' as Webb preferred to label it, meant that a building or object *had* to be placed into a fitting environment, i.e., for Webb this was where it is best seen from, or otherwise its effect and meaning is lost and so makes the building aesthetically useless. As Webb stated in his 1902 Presidential Speech "There is one quality we all desire in our buildings, whether we attain it or not, *Repose*". He continued in a City Beautiful manner that it "is the result of proportion, arrived at by matured knowledge, and guided by a true artistic sense : it is entirely independent of styles, it combines simplicity without baldness and richness under control."[13]

It was regarded by all that Webb had solved the junction of the Mall and Whitehall in a way which no other architect could have done in 1901. For this planning ability Webb was therefore practically contributing to the evolution of British Town Planning. As we know Webb placed a circular 'court' where the axial lines of the Mall and Strand met. However as the two roads met at an angle this created a difficult architectural problem, almost impossible to rectify. This dilemma was compounded by the site being architecturally important. Webb knew that his open court at the east end of the Mall would not suffice as a dignified entrance for the ceremonial route up to the Memorial Statue and Palace. The King had suggested an archway in 1901 but it was not until 1905-06 that Webb began to design one. Yet again Webb was given the chance to create another important monumental building in London but significantly it kept him involved with the scheme.[14] Webb was now on the way to being the first modern architect to fully

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[13] *Journal of the Royal Institute of British Architects*, 'The Opening Address' by A.Webb, 1902, 10-11.
[14] Webb received the commission for theAdmiralty Arch directly.

complete an entire urban design scheme. It was not long though before Webb had to change his design for the arch. This was because of the overbearing ruling by the Admiralty - who were in desperate need of accommodation space. Their presence within the memorial scheme solved the dilemma of the Memorial Committee getting their arch (as part of the overall edifice) without having to pay a penny, (by this time money was short), as public funds would pay for the estimated £50,000 costs. But the situation was set in such a way that it allowed the Admiralty in effect to dictate the form of the new triumphal arch, i.e., it was given a utilitarian bias. Aesthetically the Arch found few admirers.

Admiralty Arch's pragmatic plan provided a semi-enclosing of the road approaching it from Charing Cross before straightening up onto the wide view of the Mall but the arch itself was surrounded at either side by a three storey office block, shaped in circular geometry with the two courts across the roadway. Office space ran above the three main arches and Classical columns of the *dixhuitième* style building, its main body, (the three arches were in keeping with the three axial sections of the Mall). The result sadly was "a heavy amalgam of arch and building."[15], although surprisingly no opposition was evident when the plans were first submitted. Once built the scenario dramatically shifted. Criticism rained down upon the Admiralty, the Government and the unfortunate Webb. The Arch was yet another lost (or spoilt) opportunity in civic design. *The Architectural Review* summed up the whole debacle as "another pitiful example of national parsimony in Art. Only in our land would a Government be found to demand the combination of a triumphal arch, an office building, and an official residence in a block that shall be both convincing and expressive. The new building is neither."[16] Whether people liked the arch was in a way insignificant. Lord Alexander Thynne writing in *The British Architect* wrote, "the site is a most important site, and the Arch, whether you like its design or not, is a most important edifice."[17]

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[15] Service, *Edwardian Architecture*, 1977, 166.
[16] *The Architectural Review*, 'Notes of the Month', 1909, 224.
[17] *The British Architect*, 'The Admiralty Arch', by Lord A.Thynne, 18th April, 1913., 309.

Figure 5. Admiralty Arch.

The furore over the Admiralty Arch did not end Webb's role in the Memorial scheme. To solve the problem of the entrance at the eastern end to the Mall in 1910 Webb submitted a plan for the widening of the road and its extension upto the bottom of Trafalgar Square (but this was not completed until years later because of wranglings over who was to finance this project). In 1912 Webb was directly commissioned to reface the east wing of Buckingham Palace, this was not a part of the competition brief in 1901, but a single architect had now overseen the entire operation. In this way alone the scheme was important for architecture and planning at large.

The Palace exercise was far from simple due to a lack of given funding. Instead of going for a radical new façade Webb rather rehabilitated Edward Blore's original front with Portland Stone - chosen not because of its aesthetic benefits but due to the fact that it was a hard wearing stone. It was commented in architectural journals from as early as 1901 that "Buckingham Palace is a sorry background as it stands".[18] The Palace was the only emblematic building in London which "approaches the idea of what a kings house should be",[19] but its eastern façade was aesthetically unworthy of the spatial changes around it due to its lack of dignity - architecturally of course. Therefore a new front had to be built so to blend into the environment and thus stop the Palace becoming a misfit.

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[18] *The Architectural Review*, 'The Queen Victoria Memorial Designs', 1901, 208.
[19] Beavan, *Imperial London*, 1901, 26.

Figure 6. The old front elevation (left) and Webb's elevation for Buckingham Palace.

Webb started by enclosing the Palace forecourt with naturally palatial gateways. In 1911 a new main gate was put on a direct line of axis with the middle of the east façade at the back and the statue of Queen Victoria at the front. This was important as it acted as a marker for the frontispiece of the whole composition.[20] The whole ensemble was deliberately devoid of detail thus making the scheme reserved in character. The style chosen for the façade was said in *The Building News* to be Late English Renaissance, "one fitting a Royal Palace, the site, and the occasion of its erection."[21] although the actual style is more a restrained and delicate Classical *dixhuitième*, (the same style used

[20] *The Building News and Engineers Journal*, 'Architecture at the Royal Academy', 2nd May, 1913.
[21] *The Building News and Engineers Journal*, 'Buckingham Palace new front', 25th October, 1912., 565.

for Admiralty Arch), influenced perhaps by Maquet's Royal Palace in Brussels[22], although it is more likely to be influenced by American events and the Classical/Neo-Georgian fashion at the time (to which Webb very important). Fluted columns decorated the front and the balcony was pulled outwards over the main drive-in archway giving the impression that it was a plinth. This helped to gel the new design together.[23] The three pavilions on the east facade became more prominent under the changes while the long and unbroken skyline of the planned facade was made severe - an architectural highlight, perceived to add dignity, as was the bold cornice which surmounted the whole composition. The front, between the two end flanks, was topped by a parapet. This was a simple yet brilliant piece of 'beautility'. In practical terms the parapet hid the discordant skyline of the roof and the chimneys and of course this was detrimental if the Palace was to maintain its palatial and dignified character.

With the re-facing of the Palace taking only thirteen weeks to complete the entire scheme was finished in 1913. At the time as the 'first example in recent time of town planning in the metropolis' the scheme had undoubtedly captured the architectural spirit under which the competition was devised. "Whatever the faults of its individual parts, the overall scheme of triumphal arch, boulevard, *rond-point* and palace front, is a highly distinguished achievement of the move to give London a centre worthy of an imperial capital".[24] The importance of the scheme in civic design terms cannot be underestimated. For a start a single architect controlled and designed the whole project in its entirety. It wasn't just a lesson in civic design, but one in civic architecture and civic decoration. The whole scheme was catered for from the smallest details such as street lights through to the major details, i.e., the placing of the Memorial Statue and the problem of the Charing Cross exit. Webb's abilities had resulted in a scheme, planned as a whole but significantly appeared as a dignified, complete and reposeful whole too - repose being the true foundation to any design. In many ways this is reminiscent of Parker and Unwin's planning departures circa 1896.

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[22] Port, *Imperial London...*, 1995.
[23] *The Building News and Engineers Journal*, 1912, *op.cit.*, 566.
[24] Service, *London 1900*, 1979, 243.

The scheme ran both to and from the Queen Victoria Statue, the visual and planning pivot of the whole entity. As John Belcher, President of the R.I.B.A in 1905 said "If we want to appreciate the full advantage of a fine approach to a great public building, we only have to note the result of Sir Aston Webb's treatment of the Mall in connection with the National Monument to Queen Victoria. So successful was the overall 'whole' effect of the project that even in the first set of plans *The Builder* wrote, "One could not find a better example of the principle that plan is the basis of design."[25]

The end result of course was municipal improvement on a vast scale which countries around the world looked to for inspiration in their respective civic schemes. The statue of Queen Victoria naturally took pride of place in a scheme worthy of her imperial destiny. The Memorial reflects not only the revival British self-esteem at the turn of the century but may also be regarded as the high-water mark of London's self-confidence and metropolitan aspirations.[26]

Webb and the American City Beautiful in Britain

The loitering omnipresence of the American City Beautiful Movement profoundly affected Aston Webb[27], his planning ideas and the direction in which planning as a subject should head. In America the functional and aesthetic failings of the city had been recognised. Idealised planning had been put into practice in the 1890s employing a culture of supplementary nouns - proportion, harmony, severe symmetry, scale and Classical architecture.[28] The movement obviously affected Webb because by 1902 he was calling in a City Beautiful-esque manner for all professions with an urban interest to work together for the collective good. This notion was instrumental in the evolution of British Planning as architects in particular metaphorically rushed into the city propelled by newly

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[25] *The Builder*, 1901, *op.cit.*, 377.
[26] Jenner, *London Heritage*, 1988.
[27] British and American Architects were aware of events and practices in each others countries because of a strong mutual relationship based on the exchanging of information. It was thorough these axes of exchange that individuals culled their own architectural and planning orthodoxy.
[28] Wilson, *The City Beautiful Movement*, 1989, 79.

emerging architectural principles and enthusiasm. Webb quickly realised that the development of town planning as a specialist field involved far more than just aesthetics although it provided the firmest notion for architectural employment in planning.[29] Through his practical work he dragged the R.I.B.A towards planning as an individual subject**.** We can recollect how, at the end of 1904, the R.I.B.A stated that all planning should involve one of its members and in effect signalled a move of co-operation between architects, surveyors and engineers. However this was what Webb had been calling for two years prior. Attitudes within the architectural profession softened towards their fellow professionals but they quickly began to feel that by rights they were the team leaders. In many respects architects, or the prominent architects at least, *had* to think like that. Why? Architecture as a profession became undermined whilst its tradition of urban design was attacked from the 1830s and 1840s by the introduction of Public Health legislation in Britain. As a consequence gradually their professional range and nature began to narrow.

The passing of numerous Public Health and Hosing Acts pushed the profession of architecture away from the laying out of the urban form and their fellow allied professionals. As a result of this fragmentation issues and affairs that were previously and primarily architectural fell under the umbrella of these other trades. This situation was not aided by the Arts and Crafts Movement which pushed general architectural interest even further way from urban design. As a consequence by 1900 many architects were ignorant of the art of urban design, a natural domain of the subject and study of architecture. As if the situation couldn't get any worse architects were being excluded from urban schemes; "We architects have spent a good deal of time on arts and crafts and chairs and tables and things of that sort, and while we have been fiddling, as I might say, with these things, the greater interests of architecture have been a little apt to slip out of our fingers".[30] The laying out of British cities as such belonged to municipal engineers and surveyors by 1900. A handful of architects quickly recognised this was producing a city useful rather

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[29] Hawtree, 1981: 'The Emergence of a Town Planning Profession' in Sutcliffe: *British Town Planning: The Formative Years*.

[30] *Journal of the Royal Institute of British Architects*, Webb in reply to P.Waterhouse's paper 'London Traffic: Proposed New Thorughfares', 16th June, 1906., 463.

than city beautiful.[31] As Inigo Triggs wrote, "By temperament, training, and actual experience the average borough surveyor and engineer is apt to be unsympathetic to the architects point of view. There is often a tendency for his idea of civic improvement to be one-sided and narrow. He attaches too much importance to facts and leaves no room for imagination."[32] The artistic side of city planning had been entirely neglected in England, and the laying out of new streets and roads was thus looked upon as purely technical engineering. Aston Webb vehemently addressed the issue of inartistic cities from 1902, which showed that even though town planning was in its embryonic form he must have realised that developments were occurring and a new specialist field was possibly emerging. He obviously feared that architects were going to be excluded from this area. If nothing was to be done then architects would just become mere urban consultants, "to be called in on very important matters only", leaving " a large part of the work, which is already so greatly encroached upon, would finally slip away from architects altogether."[33] However if architects united together they would stand a realistic chance of reinstating themselves back into their pre-1830s and 1840s urban status.[34] There can be no doubt that the fear element motivated the profession into action. The practical planning achievements by architects upto 1902 and beyond was obviously still was not enough to give the entire profession peace of mind and security in relation to Planning. With Webb at the helm of the R.I.B.A attitudes towards their fellow professionals softened and it became the architectural consensus that their was a need for tact and co-operation in planning as it evolved. The professional atmosphere was such that it was commonly perceived that everyone could contribute something positive, subject to certain conditions.

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[31] One of Webb's great interests from around the end of the nineteenth century was smoke abatement in London. On many occassions Webb spoke on the subject, particularly about the effect it had on the Metropolis. Environmental worries such as this were an important element towards the evolution of the concept of Town Planning because such anxieties extend concern for cities *as a whole.* See Sutcliffe, *Towards the Planned City*, 1981, 63.

[32] Triggs, *Town Planning - Past, Present and Possible*, 1909., 18.

[33] *Journal of the Royal Institute of British Architects*, 'The Opening Address', by A.Webb, 7th November, 1903.

[34] Under his Presidency at the R.I.B.A Webb began the 'At Home'. These first appeared in 1902 when Webb seemed to initially be picking up the scent of an emerging Planning subject and movment. The need to uniter the architectural profession was imperative and the 'At Home' was essentially a forum for architects to meet and discuss the issues prevalent at the time, "under conditiond more favourable to friendly intercourse than the ordinary meetings admit of." Source: *Journal of the Royal Institute of British Architects*, 'Mr.Aston Webb's fourth "At Home"', 25th June, 1904., 457.

From 1902 Webb continually asked architects, engineers and surveyors to work side-by-side. The development of town planning therefore shifted from a relationship based on individual architects to the profession of architecture as a whole, although it would be foolish to ignore the impact certain individuals had within their vocation. Architects through their training and nature were naturally interested in anything loosely connected to their art, be it sculpture through to civil engineering as it made them better architects.[35] The designing of cities was rapidly believed to be an extension of the art of architecture and because of this it was seen as a province of the architect. As the three main urban professions moved together architects grasped the opportunity and started to believe that they were the rightful team leaders. They were justified to feel like that way, after all most practical and theoretical advances in Britain and elsewhere fundamentally came from persons with an architectural background. As a consequence "the more architects acknowledged the need for co-operation, the more they saw themselves as rightful leaders of the team."[36]

In 1903 Webb firmly planted architecture in the emerging field of Town Planning when he proposed the idea of setting up what was to be a proto-type consultative and advisory organisation, in the mould of the American Ministry of Fine Arts. Such an institute would be primarily concerned with civic improvement at both a city and national level, and the Government would refer to it for matters concerned with public buildings and national monuments.[37] This central authority, the Town Planning Institute of its day, would amalgamate artistic talent from right across the board - the Royal Academy, R.I.B.A., Society of Arts, and other allied and kindred societies, ultimately producing a plan for the re-guiding, redirecting and rehabilitation of London - the broad professional consensus being that London didn't need to be cleared wholesale fashion like Paris under Haussmann, rather it had to be reclaimed.

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[35] No better example of this trait was when Webb, addressing architecture students in 1904, recited the proverb, "Know a little of everything and everything of something". The pbest manifestation of this belief at the time was seen to be Charles Follen McKim, wiiner of the R.I.B.A Gold Medal in 1903.
[36] Hawtree, 1981, *op.cit.*, 75.
[37] Triggs, 1909, *op.cit.*, 48-49.

As I have very briefly stated above in 1903, as President of the R.I.B.A., Webb awarded Charles Follen McKim the Royal Gold Medal. As a gift to the Institute McKim left a book on American architectural practice and the 1902 Washington Plan. Inspired by the contents of the book Webb immediately grasped the opportunity and called for roofs to be put on the bridges across the Thames. These he said could be practical, stopping discomfort when crossing bridges in bad weather, and they would be 'picturesque and welcome adjuncts'. His newly found enthusiasm did not stop here. The preservation of London's own idiosyncratic pieces of town planning - the garden squares, was announced, and in 1904 he had lulled Norman Shaw out of semi-retirement to prepare a plan for rearranging Piccadilly Circus. With opportunities for small-scale schemes possible on almost every street corner Webb rallied the architectural profession. They could take City Planning for their own, broaden their abilities and nature by it back to the good old days pre-1840s, whilst concurrently doing a worthy and honourable public service - the imperialisation and improvement of London. As he stated in 1905, "practical men are beginning to realise that noble dispositions in a town, noble streets and buildings, are an education as necessary for the higher development of patriotism and public spirit as good water and sanitation are necessary for the bodily well-being."[38]

Aston Webb's experience and practical knowledge held him in a high position in the era when Town Planning rapidly emerged through to the first British Town Planning Act, 1909. However let us pause for a minute to consider his architectural reputation. Webb was just an a juvenile architect when he won the Pugin Studentship from the R.I.B.A in 1873. The immediate effect of this was that he 'was one for the future'. Even in the early days of his office Webb's reputation was accumulating. Despite entering the Admiralty and Imperial Institute competitions, (he won neither), they did him more good than harm. The Birmingham Law Courts win and building earned him much acclaim and in 1891, by winning the South Kensington Museum competition, Webb entered the architectural premier league. As a result commissions were directly given to him, this confirmed and enhanced his already huge name, reputation, etc., and the 1901 Victoria Memorial

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[38] *Journal of the Royal Institute of British Architects*, 'Gold Medal Speech', by A.Webb, 24th June, 1904., 531.

competition win gave him architectural superstar status. Once he had reached this peak awards and honours were thrown at him - The R.I.B.A Presidency, a Knighthood, the R.I.B.A Gold Award and the American Institute of Architects Gold Award. Therefore by 1909 no other architect had a reputation and back catalogue as large as his[39], plus with architects being *the* great contributors to the development of modern British Town Planning from circa 1900-1909 it was inevitable that he would be involved in its formation. His abilities as a planner further enhanced his renowned name. In respect to his professional abilities this set Webb apart from his peers. Although he never flirted with the romance of the low density housing via the Garden Suburb, (Britain's primary contribution to the world-wide planning movement at the time), he nevertheless was an architect whose municipal work, primarily the Queen Victoria scheme, was a powerful symbol of the new urban order which town planning together could help bring about. The Queen Victoria scheme was the first full British attempt at modern civic planning and expression of emerging planning ideas and practice. This was undeniably important, but just as significant was that the end result was unique and had a feeling of its own. Its success from as early as 1901 served as a catalyst for both practical municipal planning and hypothetical planning, i.e., ideas to reshape the already built environment, In the pre-statutory days it was architects such as Webb who were the town planners - British Town Planning's emergence was propelled largely from individual impetus. They knew that their activities were modern and based on practical experience, to use a pun they really did build on their experience, and was to make these individuals central to the development of town planning in its formative years.

In 1909 Britain's first planning piece of legislation, The Housing, Town Planning, etc., Act (1909) was passed. In 1910 the R.I.B.A's ground-breaking Town Planning Conference attracted dignitaries from all over the world. The contents of the conference merely reflected the R.I.B.A's attitude to Planning from 1902, i.e., the only person who had the means at their disposal to fully utilise what planning offered was quite simply the

[39] Aston Webb had not only provided good examples of work needed at the time but a large body of good work.

architect.[40] Webb's status at the time was mirrored in his positions on the conference committees - Honoury Vice-President on the Committee of Patronage and Chairman of the Executive Committee. From the contents of the actual conference we can clearly see that early British Town Planning was extremely close in nature to the separate but related area of Civic design. This is further evident in the journals of the day. The *Town Planning Review*'s early days focused on a mixture of Garden Suburbs/Modern Housing Schemes, foreign practices and the improvements of cities by Civic Design, or more to the point the redesigning of existing cities or new building, for example in the 1911 edition great coverage was put on Cathays Park, Cardiff. Therefore because Webb was a civic planner let us not underestimate how influential his schemes were in Town Planning [proper].

In the early years of the century Webb was not only active as an architect but an a competition assessor - in the London County Council County Hall Competition, incidentally won by Ralph Knott, once a junior in Webb's office.[41] However post the 1909 epoch, (Webb at this point in time was sixty years of age), Webb's activities to the extent that his days of monumental building were over, despite small-scale schemes. One of these was the Imperial Institute Student Union building, South Kensington, and the other, also at South Kensington, was plans for a new Chemistry Department at the Royal School of Mines. After 1909 Webb only assessed one competition but nevertheless an important one at that - the town planning competition for the Ruislip Manor Estate 1911-12, where he and Raymond Unwin were the two assessors. The winning scheme, by the Souter brothers (architects of the Warrington Garden Suburbs), resembled a geometric or grand manner layout, a 'formal' approach as the Town Planning Review called it.[42] Long straight roads were most apparent in the plan, the main road being three miles of direct length. However what sets this estate apart from others was that it was the largest at the time to be designed under the 1909 Act. The land, owned by King's College, Cambridge, was to be developed to an extent where it dwarfed Hampstead. The Ruislip scheme was

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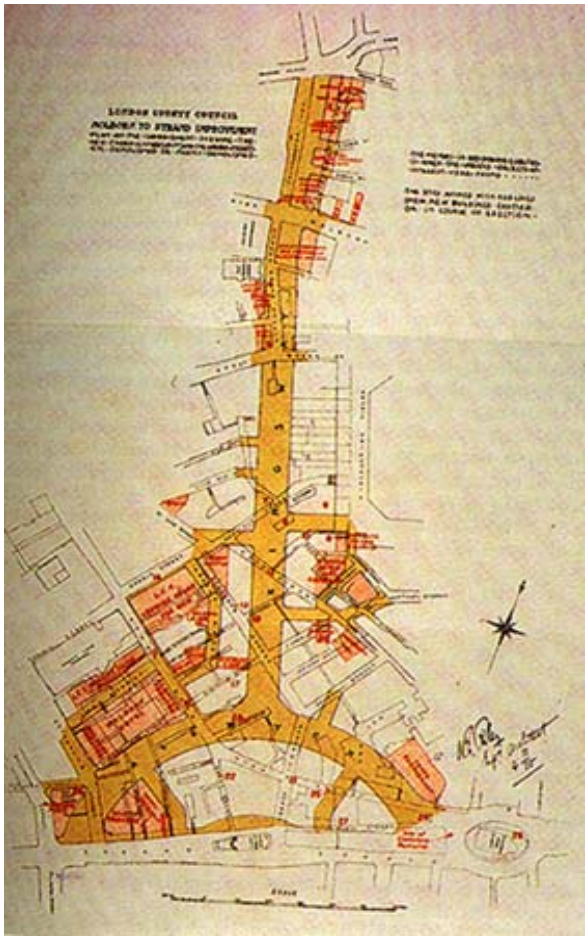
[40] Hawtree, 1981, *op.cit.*
[41] Webb was among the nineteen original architects nominated in 1906 for the County Hall competition.
[42] *Town Planning Review*, 'Ruislip Manor Estate: Competition Award', 1911, 335.

to be four miles and length and five times bigger than the Hampstead Garden Suburb. 7,642 houses were planned in the 1,300 acre scheme.

Figure 7. (Left) The London County Council's Kingsway-Aldwych Scheme (from 1900) and the LCC County Hall. The general impact of Kingsway-Aldwych must be viewed as part of the increasing French and American influence on metropolitan civic design at the turn of the twentieth century.



Conclusion

By 1914 Sir Aston Webb had established himself as one of the most renowned and respected architects of his time. This alone would have meant he would have had a contribution in the development of modern British Town Planning, albeit a very small

one. However as I have shown Webb's contribution was fairly substantial. In practical terms his work at South Kensington, Birmingham University and within the City of Westminster from the late 1890s all pushed forward the parameters of civic design, not just a close relative to Town Planning as it emerged in Britain but more to the point that Town Planning in its early days was enjoined with civic design devices. This I feel *was* as important to the evolution of modern urban planning as the Arts and Crafts Movement was to modern residential planning in the same temporal period. If we study Webb's work on the Royal College of Science, The Queen Victoria Memorial Scheme and the new University at Edgbaston, we can clearly see modern rational and pragmatic planning techniques being employed. The nature of his planning *was* new and for this he *was* contributing to planning practice. Webb did not just design buildings, he treated his designs like they were part of a scheme due to his search for the elusive concepts of harmony an repose. Thus how the edifice was planned to fit into the local surroundings was equally important as the aesthetics of the building itself. Importantly too, in the period 1900-1914, was the fact that Aston Webb had his name against arguably the two largest civic design schemes of the time. Certainly the Queen Victoria Memorial was of great national and imperial importance, but because of the social context at the time the scheme served as evidence to confirm the need for wholesale urban improvements, whilst Birmingham University was conceived under an ethos of industry, imperialism and modernism and was to serve as a model academy - Webb's buildings always seemed to entwined with the social attitudes, beliefs, culture, etc., prevalent in the Edwardian and early Georgian period. The Birmingham project was the first modern attempt at University planning and was also an extensive attempt at urban planning. However let us not single out Webb's practical planning as a contribution to the Town Planning Movement. His involvement in the Royal Institute of British Architects was a significant factor too.

From as early as 1902 Webb obviously sensed that planning as an individual subject was emerging. This is confirmed by the tone and language of his speeches at the time. As President of the R.I.B.A from 1902-04 Webb constantly tried to get architects entangled with surveyors and engineers in the laying out of the urban form partly because urban

design was a natural component of architecture in its history and this need for professional union was compounded by a paramount anxiety amongst many architects that it was imperative that unless they, as a profession, did forced their way into planning as an individual subject then they would become left out. Then of course by 1904 the evolution of modern Town Planning began to sway away from individuals to the whole architectural profession and thus Webb had played a part in this transition. With the architectural profession's interest culminated upto, and beyond, the 1910 R.I.B.A Town Planning Conference, where Webb's status within both his vocation and the planning movement was visible from his positions on the Committees there.

Webb's work was important in the evolution of Town Planning. His schemes, and his ideology post 1900, always furthered the architects professional viewpoint and for this he rightly earned himself a enormous reputation, partly, although let us point out that his reputation was greatly enhanced by his opportunism. However it was the likes of Webb in the late nineteenth century who developed a new orthodoxy in civic design, from which Town Planning comprehensively grew from and beyond into a slightly different form. With so much ability as an architectural planner expressed via his projects Aston Webb allowed the architectural movement to progress. As he gained theoretical and practical strength so it appeared that momentum propelled forward this movement. But, however, let us not fool ourselves. Yes, advances were made but the jumps were in no way comparable to those made by Raymond Unwin and Barry Parker. These two figures were planning architects, whereas Aston Webb was an architectural planner at heart. Nevertheless he gave a paradigm which literally constructed a bridge between the gap from monumental building to full blown urban designing, which was important to the field of civic design from the late 1890s. Within the evolution process of residential planning and statutory planning pre and post 1909 Webb's work had virtually no influence. Therefore by 1910 Webb earned his place on the tables at the R.I.B.A Town Planning Conference primarily because of who he was rather than what he was to modern British planning. However because of his planning abilities Aston Webb was an anomaly to the general architectural rule at the time and thus he makes an extremely interesting historical subject.

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THE EFFECT OF VISUAL ART AND MUSIC ON MEMORY RECALL AND MUSIC LISTENING SKILLS IN ADULTS

Topic Area: Music

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Keywords: Music Recall, Memory

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ABSTRACT

THE EFFECT OF VISUAL ART AND MUSIC ON MEMORY RECALL AND MUSIC LISTENING SKILLS IN ADULTS

By

Steven R. Moser, Ph.D. and Jennifer S. Shank, Ph.D.

The purpose of this study was to examine the effect of visual stimuli on music listening skills and the global cognitive recall of adults when exposed to ongoing musical interaction. While the intention of the study was to illuminate the possibilities of a positive relationship between visual stimuli on music listening for non-musicians, further investigation revealed that the intellectual and perceptual abilities to functional outcome was enhanced by musical interaction in adults who participate in weekly musical activities. A Pretest-Posttest Control-group Design and a convenience sample were used in this study. Data collected and scored by the researchers in accordance with the guidelines developed by the instruments suggested the two populations receiving visual or musical stimuli scored significantly higher on their respective measures ($p<.01$) when compared to normative data or the control group, respectively.

Variables under study were analyzed and the results were presented to correspond to the following issues: the relationship of visual stimuli on music listening and recall for non-musicians; the relationship of musical stimuli on general recall for musicians. For the non-musicians, the subjects (N=93) were randomly placed into either the experimental group or the control group. Music listening skills are defined as those skills needed to identify and interpret musical excerpts. The treatment consisted of six music listening lessons over a two-week period with each group receiving the identical teaching protocol with the exception of the use of paintings with the experimental group. Listening instructions emphasized the identification of melodic contour, instrumentation, texture, rhythm and expressive elements of the composition. Results indicate the group receiving visual stimuli in the form of paintings scored significantly higher on listening skills (p.<01) than the control group which received no visual stimuli in the form of visually projected images of paintings.

For the musician test group, the subjects (N=120) were selected from a convenience sample. The Trailmaking Test A and Trailmaking Test B were used and the results indicated that the participants in this study demonstrated higher memory recall when compared to the normative means for global cognition. Though other factors may have influenced cognitive function for this sample, the strength of the demographic observations coupled with the test results indicate a strong, perhaps untested link between memory recall for both the musicians and non-musicians when exposed to art and music.

1. Title of the submission.

EFFECTIVENESS OF AN INTERDISCIPLINARY COURSE DESIGNED FOR FRESHMAN

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EFFECTIVENESS OF AN INTERDISCIPLINARY COURSE DESIGNED FOR FRESHMAN

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ABSTRACT

Interdisciplinary course offerings for freshman students have increased dramatically in recent years to enhance the first- year experience. This paper describes the development and content implementation of the novel course Human Ecology: An Evolutionary Approach. This was specifically designed to provide basic ecology and anthropological knowledge, and critical thinking and learning skills to freshman students as part of their "Rowan Experience." Data collected from entrance and exit surveys of the students demonstrated that the course was a success. The importance of interdisciplinary faculty-student and faculty-faculty collaborations are proposed as elements essential to the success of this particular course.

INTRODUCTION

The changing face of academia requires that first-year students be challenged by effective interdisciplinary learning approaches. In this regard, Rowan University was awarded a New Jersey Campus Diversity Grant, funded by the Bildner Foundation and directed by The Philanthropic Institute (TPI) and the Association of American Colleges and Universities (AACU). Rowan University was one of eight New Jersey institutions of higher education to receive this prestigious award. The purpose of this grant was to develop and offer new interdisciplinary, team-taught courses that address issues of diversity for entering students to the college experience. The success of this new approach to the Rowan Freshman Seminar depends on the commitment and dedication of the faculty to help students make the transition to university life and open their minds to experiences greater than those gained solely in a non- interdisciplinary setting.

An anthropologist and a biologist at Rowan University, both in the College of Liberal Arts and Sciences, have developed a unique interdisciplinary course for entering freshman as a result of the Bildner initiative. The new, three credit, freshman-level Human Ecology: An Evolutionary Approach course addresses the issue of diversity in the educational experience for freshman students not only at Rowan, but also serves as a model for other schools to follow.

Rowan University, previously Glassboro State College, began as a teacher education institution and has evolved into a comprehensive state college. A recipient of a $100 million gift in 1992 (Rowan & Smith), Rowan University ranks among the top-five endowed public universities in the country. Although the condition of the gift was the development of a new College of Engineering, in reality this has transformed the University into a mid-size institution with greater depth and breadth of degree programs offered. Located in southern New Jersey, Rowan's mission is to develop a learning community dedicated to student-centeredness and improved learning. Asked to focus on raising standards for its 9000 undergraduate and graduate students, its six colleges were challenged to discover ways to enhance the student learning experiences- one of these is the development of interdisciplinary, team-taught courses.

At Rowan University faculty from many departments have worked together in developing courses that best serve the students' needs. Other examples of interdisciplinary courses are [Maria, could you provide me the list of other courses???] These courses optimize the curriculum by promoting a more focused learning experience. Our course serves freshman students in a multitude of ways, but particularly by providing them with significant knowledge of a broad range of ecological and anthropological principles that are then connected to each other and to diversity issues. One goal is that the students will continue to use this knowledge in their undergraduate career and long after graduation.

This course takes an evolutionary approach to understand how the environment has shaped biological and cultural changes in humans, and how humans have and are continuously impacting the environment. Our story begins with the reconstruction of

Pliocene pre-hominid environments, going through the emergence of the earliest ancestors of humans and their impact in the ecology of their surroundings as a scavenger population. The story continues in the Pleistocene, with hominid and human dispersal throughout the world as hunter-gatherer societies. We trace the emergence of agriculture, its biological, social, and cultural implications, and the destabilization of the environment through desertification, domestication of plants and animals, natural resource uses, and energy changes. We close our story with the emergence of cities, the expansion of the human population, the impact of urbanization and industrialization in every environment of the world; and encroachment upon indigenous cultures, and on endangered human and non-human populations. The emphasis of this course was to understand:

1. the intricate biological, cultural and environmental interactions that have taken place throughout human history and prehistory;
2. the diversity of adaptation experiences, cultural and biological, that have emerged as the result of this interaction;
3. and the impact of these adaptation experiences among humans, and between humans and their environment.

METHODS.

Overall course structure. The objective underpinning the arc of the entire course was to furnish freshman with a basic background in ecological and anthropological knowledge while addressing diversity issues in the form of human adaptation experiences. The course was open only to Fall semester entering honor freshman.

The course was structured to meet two times per week, in sessions of 75 minutes each. Because of the sweeping scope of the Human Ecology: An evolutionary Approach syllabus, textbook selection was not simple. Taking students' limited budget into account, it would have been ideal to choose a single text. Unfortunately, this was not possible because general ecology texts do not place enough emphasis on the impact of environmental changes in human populations, nor do anthropology texts include enough general ecology and environmental impact by humans to meet the curricular goals of this course. Ultimately, it was decided to require a compilation of an anthology based on bibliographic references related to class topics as selected by Mosto and Rosado to enhance discussions of different topics covered during the semester. This anthology was made available through the Rowan University Bookstore

Evaluation of student accomplishment encompassed a variety of forms. The course was taught in a combination of lecture and seminar format. Students were expected to actively participate in class, read the material ahead of time; come prepared to ask questions, answer questions, make critical and relevant contributions, and discuss the class topics with their peers and the faculty. Since the class was heavily dependent on student's contributions to discussion, it was very important that they participate and demonstrate that they have read the assigned material (Class participation assessment accounted for 20% of their grades). Every other week students selected an article from newspapers or magazines (e.g., scientific American, Discovery, or juried journals) related to the topics discussed the previous weeks. They included the article, a summary in their own words, and their personal reaction to the problem being addressed in a journal book

(Journal writing assessment accounted by 30% of their grades). The students took quizzes at certain times during the semester regarding the material covered prior to the quiz (Quiz assessment accounted for 30% of their grades). Students also engaged in a literature research project, in groups of three, selected using the LCI (Learning Combination Inventory, Johnston & Dainton, 1997). They chose a topic that interested them, and as a group wrote an eight to ten-page paper with a Bibliography. This paper was typed on computer, double-spaced and carefully drafted, outlined, revised, and proofread (Paper assessment accounted for 20% of their grade). Tips on how to do a literature projects were provided by the instructors (see Fig. 1)

FIGURE 1 - Tips for the literature research project

Once you've chosen your topic you might want to do a web search to find some basic information about the subject matter of the work. If you find anything that strikes you as important, make sure you take adequate notes--write down the source (the website) and get accurate quotations so that you can cite responsibly. In college writing, whenever you get an idea or term or quotation from somewhere else, you MUST indicate where that idea came from with a parenthetical citation (i.e. Dillard 42) backed up with a Bibliography entry to give full information about that source. So don't merely browse and read passively: to do so can easily get you accused of plagiarism. Academic honesty means you must read responsibly and take notes on what you find and where.

First, give us an introduction to the theme: outline or describe the theme briefly (in one or two paragraphs). Then focus analytically on the theme. To figure out a theme, ask yourself a list of questions: why this theme is relevant? What do you feel are the basic problems with this topic? How these relate to the class discussions? Choose books that contain the topic that interests you, and work on turning that topic (a basic statement of fact) into a thesis (something more analytical or argumentative, something capable of development/deeper explanation). As you work on your thesis, think about the issues we have studied and read about throughout the course. How does this work tie into that dialogue about the relationship between humanity and the environment? What does this add to that conversation? Once you've done lots of preliminary brainstorming and pre-writing, you're ready to work on a draft of your thesis paragraph and your thesis statement itself. Then outline the paper to follow: jot down a topical outline, with one main idea per paragraph, backed up with illustrations from the text and your commentary or response to those ideas. Remember, the focus of this paper is on your explanation of the topic. It's not a general "book report" or summary: you are demonstrating how and/or why this topic fits into the themes of our course. Remember that you need to stay focused, and you need to develop/expand your thesis paragraph by paragraph; don't keep repeating your thesis--add to it, deepen it. A good tip for coming up with a conclusion is to look at the end of the work itself: where does the topic leave you at the end? Why end there--what is the final message or impression conveyed by that choice? Or you could use some of the information we've accessed during the course to provide more information about the issue you've chosen. .

Students participated in two outside class experiences (the Museum of Anthropology and Archaeology at the University of Pennsylvania and the Mummer Museum, both in Philadelphia). Guest speakers in related topics were invited to three classes. As part of their freshman experience, they attended a workshop at the Library, the CAP (Career and Planning) Center, and the Writing Center. They were evaluated on participation, journal writing, the literature research project and weekly quizzes.

September course content: laying the groundwork - The dawn of humans. The first month of the course was devoted to the understanding early hominid relationship to their surrounding environments (see Table 1). As a result, students learned about human

evolution, old primates, autralophitecines and their scavenger ecology, and early hominids with their tool technologies.

Table 1 - September

Week	Content
1st week - Wednesday September 3rd	**"Get to know each other" - Syllabus understanding and Time management skills**

Pre-test

2nd week

Monday September 8th

Wednesday September 10th

Introduction to the course topics: The Human Impact on the Natural Environment.

Learning activity on how to use the Library
3rd week
Monday September 15th

Wednesday September 17th

Pliocene environments and Old World Primates

Autralopithecines and their scavenger ecology
4th week
Monday September 22nd

Wednesday September 24th

Early hominids and the reconstruction of the environment

Tool technology and Basic Ecology

October course content: the dynamic behavior of humans - from hunter-gatherers to agriculturists. The underlying theme for the second month of the course was humans as hunter-gatherers and agriculturists (see Table 2). The discussion of how hunter-gatherers impacted the environment, and their migrations due to the ice age was heavily discussed, followed by the impact of the ice age, the agricultural revolution, with the domestication of plants and animals, early farming communities, and the doom of the environment with the take off of the human populations. This was followed by a guest speaker talking about the mass extinction of mammals in North America and the visit to the Museum of Anthropology and Archaeology at the University of Pennsylvania.

Table 2 - October

Weeks	Content
5th week Monday September 29th Wednesday October 1st	Pleistocene environments, Early humans and hunter-gatherers and their impact Visit to CAP Center
6th Week Monday October 6th Wednesday October 8th	 Human migrations and environmental changes Ice age environments and subsistence patterns
7th Week Monday October 13th Wednesday October 15th	 Domestication of plants and animals: the great experiment Dr. Luke Holbrook - Invited lecture
8th Week Monday October 20th Wednesday October 22nd	 Early farming communities Development of agriculture and reshaping of ecology: the take off of human population growth and the doom of the environment
9th Week Monday October 27th Wednesday October 29th	 Desertification, use of natural resources, energy changes Museum of Anthropology- Philadelphia

November course content: humans in the fast lane - Urbanization and Industrialization. The third phase of the course (see Table 3) included the emergency of cities and the path to urbanization, the human diseases resulting from increased population density, and the industrialization era and the polluting of the environment. This was complemented by: two guest speaker, one who taught about diseases in migrant worker populations and the other about urban sprawl in New Jersey bringing the reality of human actions close to home; and a trip to the Mummer Museum, a museum based on teratogenic and pathologic conditions of humans.

Table 3 - November

Week	Content
10th Week Monday November 3rd Wednesday November 5th	Emergence of cities: the path to urbanizations Religious worldviews and their ethical framework towards the environment
11th Week	

Monday November 10th

November course content: humans in the fast lane - Urbanization and Industrialization. The third phase of the course (see Table 3) included the emergency of cities and the path to urbanization, the human diseases resulting from increased population density, and the industrialization era and the polluting of the environment. This was complemented by: two guest speaker, one who taught about diseases in migrant worker populations and the other about urban sprawl in New Jersey bringing the reality of human actions close to home; and a trip to the Mummer Museum, a museum based on teratogenic and pathologic conditions of humans.

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11th Week **Monday November 10th** Wednesday November 12th	Human diseases and new strains as a result of population density- Evolution and the Origins of Disease. Dr. Dianne Markowitz - Invited Lecture
12th Week	

Monday November 17th

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12th Week **Monday November 17th** Wednesday November 19th	Mummer Museum - Philadelphia The industrialization era and the blackening of the environment
13th Week	

Monday November 24th

Wednesday November 26th

The industrialization era and the blackening of the environment

Dr. John Hasse- Invited lecturer

December course content: Humans and the environment - Present and future. The final section of the course was entirely devoted to modern perspectives of human environmental behavior, environmental anthropology, and future perspectives: are we alone in the cosmos? (see Table 4). As a final experience for the course, students saw and discussed, using the semester's gain in knowledge the movie: "Quest for Fire".

Table 4 - December

December course content: Humans and the environment - Present and future. The final section of the course was entirely devoted to modern perspectives of human environmental behavior, environmental anthropology, and future perspectives: are we alone in the cosmos? (see Table 4). As a final experience for the course, students saw and discussed, using the semester's gain in knowledge the movie: "Quest for Fire".

Table 4 - December

Week	Content
14th Week	

Monday December 1st

Wednesday December 3rd

Modern perspectives and stereotypes
Environmental Anthropology
15th Week
Monday December 8th

Wednesday December 10th

Futuristic perspective: are we alone in the cosmos?:

Evaluations and Post-test

16th Week

Final Diverse Experience: View and Discussion of the Film: Quest for Fire

Goals of the course: The goals and objectives of the course were as follow;

- To understand the intricate, dynamic and diverse dimensions of humans and the environment
- To have a global perspective of human history and ecological processes
- To understand the validity of the diverse relationships between different human groups and their environmental impact
- To impact how students think, share and relate about environmental issues based on human development
- To promote ethical awareness by debating ethical issues as they pertain to the course material
-

To expose "stereotypes" and deconstruct them within the context of human environmental impact

- To learn problem solving through the use of case studies

- To search and read literature pertaining to the subject matter

Freshman students benefited from this holistic learning approach because their voices were heard, their differences were respected, integrated and validated in the way the course was taught, as well as by the presence of two faculty from different disciplines, with sometimes very different worldviews. The diverse worldviews of faculty and students enhanced the intellectual experiences as the community of learners participated in a constructive interdisciplinary exchange. The analysis of cultural, biological and environmental diversity in the evolutionary path of the human race benefited the students in their search of global understanding.

Procedures for assessment of course success. The effectiveness of Human Ecology: An Evolutionary Approach course was evaluated by a series of assessment tools. One was an entrance/exit survey designed by the instructors to assess knowledge, critical thinking, writing and reading, and team skills as well as student expectations. The entrance/exit survey was conducted during the first and last week of the course. The entrance and exit survey had largely the same format. Every question asked in the entrance survey was asked again in the exit survey, either verbatim or with only minor edits to account for changes in verb tense. Students completed both the entrance and exit surveys anonymously. The number of respondents for the survey was ten in the entrance and nine in the exit survey, since one of the students dropped the class during the first month. Also, as part of the Bildner program, the students were surveyed at the beginning and the end of the semester on their attitudes and possible actions in reference to diversity issues, by Dr. Maria Tahamont, Rowan Freshman Seminar Coordinator. Results from that survey are included in this paper.

RESULTS.

Assessment of course effectiveness

A.

Content Knowledge

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RESULTS.

Assessment of course effectiveness

A. Content Knowledge

The entrance survey indicated that at the beginning of the semester, one third of the students did not respond positively regarding their understanding of basic human ecology and anthropology knowledge.

The exit survey results display significant shifts from the entrance survey responses. At the conclusion of the course, 98% of the students indicated that they had a solid understanding of basic human ecology and anthropology. Fifty % of the questions showed a statistically significant difference (Table 5).

Table 5. Statistical values between the Pre and Post test Content Knowledge questions

Question #	Question Content	P value

1	Autralipithecines	0.0034
2	Hominids	0.0108
3	Scavenger Ecology	0.0001
4	Tool Technology	0.001
5	Hunter-gatherers	na
6	Migration	na
7	Ice Age	0.21
8	Domestication	0.033
9	Ecology	0.037
10	Agriculture	na
11	Population Growth	0.474
12	Desertification	0.0013
13	Urbanization	1
14	Human Diseases	0.667
15	Population Density	0.582
16	Industrialization	0.471
17	Epidemiology	0.067
18	Environmental Anthropology	0.0018
19	**Homo sapiens**	0.474
20	Theory of Evolution	1
21	Darwin	1
23	Biodiversity	0.26
24	Adaptation	1
25	Cultural Ecology	0.039
26	Bipedalism	<0.0001
27	Paleolithic	0.026
28	Globalization	0.0016
29	Urban sprawl	0.0067
30	Wallace	0.0002

Significant questions varied from basic anthropological concepts (evolution, adaptation, migrations, Australopithecines, hominids, tool technology, environmental anthropology, bipedalism, paleolithic) to those general human ecology concepts (scavenger ecology, domestication, ecology, cultural ecology, globalization, urban sprawl).

Students clearly acquired a significant amount of concepts that they did not start out with by the end of the semester.

B.

Critical thinking and writing/reading skills

In both tests students evidently came to the class with a good base knowledge of critical thinking and writing skills. The pre/post questions showed a significant difference only for three questions in the critical thinking area (Table 6)

Table 6 - Significant differences in critical thinking questions

Question #	Question	P value
6	Critical thinking is the formation of logical inferences	0.038
7	Critical thinking is deciding rationally what to or what not to believe in	0.054
14	A critical thinker sees that critical thinking is a lifelong process of self-assessment	0.087

There were no differences in the writing and reading skills part of the questionnaire.

c. Team skills

All of the students had worked in team situations before, but it was clear that the post responses expanded and added to their understanding of team-work, and how they will apply this learned skill to their future careers both at Rowan University and after they graduate (Table7)

Table 7 - Post survey responses on team work

There were no differences in the writing and reading skills part of the questionnaire.

c. Team skills

All of the students had worked in team situations before, but it was clear that the post responses expanded and added to their understanding of team-work, and how they will apply this learned skill to their future careers both at Rowan University and after they graduate (Table7)

Table 7 - Post survey responses on team work

Q. #	Question	Post survey responses (different from pre survey)

5	What do you think you learned working in a team situation	Your own strengths and weaknesses; How to convey my ideas; How to break up work evenly; How lazy people are; Communication skills; How to divide work to use everyone's strengths; Lots because everyone had different ideas and view points; How to listen to other's opinions
7	What are specific learning tools you think are valuable in a team?	Availability of resources; organization; written skills; social skills; interpretation of information; public speaking skills; dedication; cooperation; opinions and knowledge
8	Why do you think teamwork was relevant to this course?	To know other's opinions; the class involves a realm of issues so it was necessary to work this way; to share ideas (much of the information was knew to me, so listening to my classmates was very useful); to create a better paper
9	Why do you think teamwork will help you in future classes?	**Compromise and work with others; help with class projects and study groups; learn other's opinions; develop a better idea of myself; to handle the work load**
10	Why do you think teamwork will help you in your future career?	To understand my colleagues; I would like to be a teacher and team-work skills are a must; to help me understand how my students work in a team situation

D.

Student expectations

The analysis of responses on the section of student expectations reveals that most of the expectations students brought to the class were met, but also students express more outputs on the post survey than those they came with (Table 8). The only two questions where no differences were found are Question 6: What do you think you should do / did for us teachers to improve your learning in this class? and Question 7: What do you think you should do / did for other students to improve your learning in this class?

Table 8 - Post survey responses on expectations

D.

Student expectations

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Table 8 - Post survey responses on expectations

Q #	Question	Post survey responses (different from pre survey)
1	What do you think we teachers did for students?	Encourage students; listen to students; be flexible; provide constructive criticisms; cater to student needs; help me learn
2	What do you think students did for us teachers?	Be an active learner; show interest
3	What do you think students did for each other?	Be supportive; Compromise; work with each other
4	What do you think we teachers did to improve student learning?	Didn't give up on unmotivated students; being aware of the class; be very perceptive
5	What do you think you did to improve your learning?	Should have work less outside; should have spend more time in difficult concepts; be perceptive; listen

C. Students Attitudes

The responses to items as part of the Bildner survey that addressed the likelihood of student actions in several situations indicates a few changes, the most dramatic seemed to be how likely they were to challenge others who make jokes that are insulting to any group. Their responses to items related to situations in which they where discussing social issues with people from different groups appeared to have trends toward more agreement with the students' comfort levels in discussing a variety of issues related to race, ethnicity, gender, sexual orientation and religious observance. The responses to statements about racism, immigration and gender equity indicated relatively few changes over the semester. Most students acknowledged that racism is a problem in America, and they were no longer uncertain about the severe restriction of immigration. When students were asked about topics of conversation they indicated they talked about the economy less frequently but were more likely to discuss current events very often. In reference to students' involvement based on past experiences, two students had written to a legislator

or political representative at the beginning of the semester, versus six by December. More students had done community service and had worked in a homeless shelter. These changes are small but significant, not in numbers but in the effect on individual lives. The course as a whole was successful as indicated by the prior results.

DISCUSSION.

A comparison of the student entrance and exit data clearly demonstrates that the Human Ecology: An Evolutionary Approach course accomplished its objectives. We suggest that reasons for this success include the special attention paid to its interdisciplinary nature and the emphasis in diversity issues and student centeredness.

The heart of this particular course is its interdisciplinary nature, engaging the faculty that designed the course in a community of learners, giving them opportunities to learn from each other. It has been demonstrated that interdisciplinary courses increase course completion rates and strengthen learning, making it more connected and meaningful. This type of course deepens faculty development and teacher vitality, responds to larger integrative societal trends, and encourages the development of communication and collaborative skills amongst students and faculty (Johnson et al). The establishment and enrichment of these sorts of collaborations was key to the success of this course. The fact that students were responsive to this course on numerous levels derives partly from the interactivity between themselves and the faculty of the Biology, and the Geography and Anthropology Departments.

The hallmarks of the Rowan University Freshman Courses, through the Bildner Foundation at Rowan University, include an emphasis on student-centered learning. and interdisciplinary, team-taught facets as part of the classroom curriculum that engages students in a range of activities: logical thinking, communication skills, acquisition of information, problem solving, data analysis, oral and written presentation design and delivery, and attitudes and possible actions in reference to diversity issues. It requires the instructors to: (1) focus on how well learners acquire, integrate and internalize information and skills, and (2) think in each other's disciplines and integrate knowledge in connected, meaningful, and relevant ways. In essence, it allows students to learn how to learn. Students are better prepared for work after graduation, developing greater productivity more quickly because they have acquired teamwork abilities needed in the workplace. This curricular approach also enables students to retain a greater portion of the course content since that content is valued and required to solve problems. In short, students appreciate and value the curricular knowledge for what it enables them to do (Mosto).

The experience gained during the creation of this course serves as a model for other schools to follow interdisciplinary cooperation among the disciplines. Through joint cooperation and innovative design, an optimum course was developed and implemented. The experiences reported here show that what could have been a lackluster "service course" was instead conceived and developed as a much richer education experience for both faculty and students. The philosophies that were the driving force behind the development of this course are applicable to other kinds of cross-disciplinary curricular components, including those that do not involve the same sciences.

The impact of Human Ecology: An Evolutionary Approach course also goes beyond its short-term semester goals and significantly enhances broader aspects of the freshman experience curriculum adding possibilities for future growth.
Further assessment of the Human Ecology: An Evolutionary Approach course will be done in the future years, comparing the different cohorts and their accomplishments within their specific majors. Furthermore, future development of the course will incorporate any enhancements in the course component to meet the varying needs of the entering freshman students.

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Title: **What's Going On" — Interpreting Artifacts of China's Pop Culture**

Topic Area: **Other Areas of Arts and Humanities**

Presentation Format: **Paper Sessions**

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Paper Session

for the 3rd Annual Hawaii International Conference on
Arts & Humanities

Panel Title: **What's Going On? — Interpreting Artifacts of China's Pop Culture**

Keywords: *contemporary China — pop — culture — television — film — internet — gender*

Panel Organizer: Ken Klinkner University of Illinois at Urbana-Champaign

Panel Abstract

Just what is going on in today's China? Are things as hapless as the outland press and broadcasts have it, or are they more upbeat as that nation's papers and TV channels suggest. Critical looks at a few artifacts and sites of China's burgeoning pop culture provides a quartet of nuanced interpretations of the life and times of the Chinese today.

Mu finds in the recent hit television series *Digital Army* a mirror for today's China. In the TV drama, there is battle of ideas about how China should modernize its army. On the surface the story is about the military of tomorrow, yet it has much to say about the Chinese state today. According to Lu, the government is not doing well. The lives of the common people have become harder, a fact reflected in the recent cinematic trend to dwell on the damned loves of the lower depths. Tsao argues that the government has been doing too much. In the darkened rooms of the internet cafes where millions of Chinese have found online diversion, few are able access information on politically sensitive topics due to the state's cyber surveillance. Despite this, the *xiaodao xiaoxi* (back channel news) is providing a way to the light. Then again things are, as Klinkner sees it, not dark at all. Indeed, metro youth are having a good time of it, not the least because they have romance — supercharged by alpha females — on their minds.

Questioning Marching Orders: Decoding China's *Digital Army*

(*Chinese Pop Culture; TV, military*)

Aili Mu
Iowa State University

While the dominance of "corporate culture" in non-economic arenas has caused enormous problems in contemporary China, the market has also created opportunities for socio-political critiques. Produced by a major People's Liberation Army (PLA) art troupe, the 2003 hit TV series *Digital Army* showcases such an opportunity. This drama turns on the problem of choosing the best commander for a new high-tech army. Although fictitious, *Digital Army*'s futuristic content and message is grounded in the past. Its projection of a strong military strike force led by elite professionals rises out of a series of contests in ways of thinking that are relevant to today's China. The series dramatizes a host of the nation's internal contradictions: how lauding socialist values to embellish the state is out of step with today's "march" of market forces; how borrowing from the past to make up the present misrepresents China's current position in the world; how "truth" is constantly displaced from the authority representing it; how the exercise of power becomes increasingly dependent upon the practice of freedom; and lastly, how the key to the future may well rest in learning how to say "No, Sir!" *Digital Army*, in short, depicts a nation struggling to find its own path in the modern world. The courage and common sense of a handful of soldiers dramatizes how TV serials — the loudest expression of China's vibrant popular culture — gives voice to those who do question and resist the new forms (domestic and imported) of regimented existence.

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Small Potatoes in Love: Melodramas of an Imperfect World

(*Chinese pop culture, film, drama*)

Lu Tonglin
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At the turn of the millennium, a focus on the loves lives of everyday folks has become a commonplace in Chinese cinema. Two recent (2003) films, *Parking Attendant in July* and *My Father and I* are representative of this trend. In the first, an unemployed young guy falls for a florist who is married to a violent criminal; in the second, a teenage girl has a physical relationship with her divorced father. These romances are, cinematically at least, uncommon ones. These loves are illicit; the protagonists are marginals, and the romances do not end happily. It is as if these "small potatoes" have no way out in Chinese society. Thus the question: to what extent does this cinematic trend suggest a changing ideological and axiological map in contemporary Chinese cultural politics?

Because globalization has led to an increasing gap between rich and poor, many Chinese no longer can close their eyes to the harsh realities of today's life. Happy romantic endings just do not work. Already at risk due to foreign competition, piracy and television, the Chinese film industry is hard scrambling to reconnect with and recapture audiences. The recent spate of films depicting darker slices of life — illicit liaisons in the shadows and without laughter — suggest that such a new connection is being made. Can these grim mirrors of life, by dramatizing the hard lot of the common folk in today's lean times, serve the state well by providing cathartic experiences?

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Breaking Away on the Internet: *Xiaodao xiaoxi* ('Back Channel News')

(*China media, internet, news*)

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The Chinese internet has taken off the past five years with the numbers of internet users exploding from 4 to 85 million. Those *wangmin* or 'netizens' who seek information on certain sensitive (e.g. labor unrest, human rights issues) topics, however, will find that their information highway is at best dimly lit. The source of the low wattage is the Chinese government's policy of tight internet surveillance. The number of internet police has recently increased to 30,000. These 'cyber cops' are not equipped with firearms, but with laptops and cutting edge software including the 'Filter King' program that never sleeps. Assisting the online officers are the *wangba* (internet cafe) proprietors who vet and record those who come to get wired to the net. It is the responsibility of the shop owners to insure that their clients do not make a habit of searching out those sites and key word combinations on the proscribed lists lest their shops be fined or closed. Despite all of these dark agents, avenues into the light of unpoliced news are there and continue to grow. The rapid increase of home-based computers and the concomitant proliferation of *xiaodao xiaoxi* — news from the unofficial channels — along with other strategies are helping more and more Chinese access blacklisted information.

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Raise the White Flag!?!
Interpreting the Signals of *My Sassy Girl* in Today's China

(*Chinese pop culture, film, gender*)

Ken Klinkner
University of Illinois at Urbana-Champaign

In 2002 *My Sassy Girl*, a funky Korean romantic comedy set it Seoul, hit the theatres in China and captured the hearts and minds of Chinese metro youths. The film's storyline features a host of role-reversals in gender relations (e.g. 'alpha-gal' and 'gamma guy') and the yet the kernel of the relationship: a slow-cooked romance complete with a long *kaoyan* ('guy-testing') period makes the film work. The social chemistry has been redone and this reflects changing status situs between the genders in East Asia, and yet it was done in a way that suggests a tempered continuity with the past rather than a radical rupture with the same. Replacing the images of abused women with those of a battered boyfriend is moderated by an old-style slow, holds-barred relationship. A closer look at the film and its filiations — original novel, web sites, cartoons, cinematic clones ... sequel (2004) — reveals insights into the nature of the Chinese youths and what animates their lives and dreams.

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Reader Beware: Entrapment in *Don Quixote*

In part I of Miguel De Cervantes' *Don Quixote,* a series of episodes that involve two pairs of lovers, Dorothea--Don Fernando and Luscinda--Cardenio, have puzzled critics. If Cervantes intends to destroy the influences of romances of chivalry, why does he let into this novel these episodes written in an unrealistic mood that remind the readers of romances? This study probes that question. The quintessential argument is that once readers are swept off their feet by the novel's most charming woman, Dorothea, and later exult in the lovers' reconciliation, Cervantes has succeeded in using the powerful force of love to manipulate both them and his readers so that they become the object of his humor. Because his sophisticated readers have taken refuge from reality in the unrealistic world of romance, they are as irrational as Don Quixote who has sought solace in the illusory world of knight-errantry. The readers, accordingly, are not in any position to laugh at the old knight's mad antics because the joke is on them for sharing his unhealthy idealism. Cervantes employs reader entrapment to call the readers' attention to the fact that their moral superiority has an extremely thin veneer.

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TITLE OF PROPOSAL:
Faculty Collaboration Across Content Area Methods Courses:
Enhancing Consistency in Teacher Preparation

TOPIC AREAS OF SUBMISSION
Elementary Education and Cross-disciplinary areas in education

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Paper Session

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Faculty Collaboration Across Content Area Methods Courses: Enhancing Consistency in Teacher Preparation

Abstract

Teacher Candidates in teacher education institutions often express confusion between methods of lesson planning, assessment, and instructional strategies. A common criticism of teacher education programs is a lack of consistency and collaboration between course instructors across content areas. The purpose of this project is to provide teacher educators with insights related to improvement of teacher preparation programs. Two instructors of different content area methods collaborated over a period of one semester. The objective of the collaboration was to maintain consistency between lesson planning, assessment, and course requirements in order to provide an effective learning environment for their teacher candidates *(n=19)*. Surveys were implemented to assess students' perceptions of the cross-content course requirements, assessment tools, and the area consistency.

Introduction

Teacher preparation program are commonly criticized on their lack of collaboration and consistency within and between methods courses. Teacher candidates often complain about the inconsistency between lesson plan expectations and evaluation procedures between course instructors. Increasingly school reform efforts focus upon the need for teacher collaboration, requiring higher education teacher preparation programs to provide experience in cooperative teamwork. Cook (1992) states "Schools of education might do better to look inward, to revise the way they teach their students. It seems ironic: college faculty offer courses on how to support cooperative learning in children, but fail to apply that knowledge when structuring their own courses (p. 33)"

Although there are discrepancies in research regarding the importance of teacher training, well-grounded empirical evidence does indicate that teachers who show a stronger effective classroom performance tend to have "sound pedagogical techniques" as a result of teacher preparation (Kaplan & Owings, 2003, p. 689). In addition, increasing evidence attributes teacher attrition to populations who had not attended a teacher preparation program, regardless of their content knowledge (Darling-Hammond, 2003). Higher education teacher preparation programs have a charge to develop effective methods courses which enhance teacher candidate's understanding and application of various instructional strategies. "…We have to examine our pedagogy. And, when we prepare teachers, we need to prepare them with a deeper understanding of learning and teaching than was called for in the past (p. 6)" (Darling-Hammond, 2000).

Modeling collaboration is an important pedagogical tool that teacher educators can use to reinforce the importance of teamwork, acceptance, and communication. Littie,

J., Gearhart, M., Curry, M., and Kafka, J. (2003) researched teachers who looked at student work collaboratively and concluded teacher collegiality in forming learning communities is of critical importance. "…The purpose of these collaborative efforts is to foster teacher learning, support for professional community, and the pursuit of school reform" (p. 190). As teacher collaboration is a continuing effort in school reform, it should be a top priority in teacher preparation programs.

A big deterrent to collaboration in school culture is "toxic" gossip between teachers (Keller, 1999). Teacher preparation faculty can play a strong role in modeling collaboration and teamwork, which might discourage teacher candidates from participating in gossip, and rather focus upon becoming part of a professional community. A major component of the collaborative effort between the methods instructors described in this paper was the ability to openly model the sharing of ideas, working through differences and accepting new teaching approaches. In addition, the teacher candidates were able to observe the instructors openly befriending one another.

Education continues to evolve towards standards-based education in an effort to increase the consistency. State standards help teachers, parents, administrators, and teacher preparation faculty know what students are expected to learn. The standards attempt to create consistency between classes and grades in K-12 schools.

As a result of the increased demand of standards-based education in K-12 schools, teacher preparation programs are also charged with accreditation and standardization. National Council for Accreditation of Teacher Education (NCATE) has a "dual mission…accountability and improvement in teacher preparation. The NCATE accreditation process establishes rigorous standards for teacher education programs, holds accredited institutions accountable for meeting these standards, and encourages unaccredited schools to demonstrate the quality of their programs by working for and achieving professional accreditation" (NCATE, 2004, p. 1). As many teacher preparation programs contend with accreditation, they must start to focus on increased consistency between the teacher education courses.

In light of the increased need for collaboration and consistency, this paper provides an effective example of collaboration across content methods courses. For a semester, two instructors in a higher education teacher preparation program planned and implemented their methods courses with one another. The teacher candidates (n=19), part of a teacher education preparation cohort, willingly participated in the study to provide their own perspectives on the effectiveness of the collaboration. The two faculty members considered methodologies, assignments, pedagogy, and philosophy in an effort to better facilitate candidates' understanding and application of instructional strategies.

Methods

The Institution, participants, and the teacher preparation program

The present study takes place at a pacific island higher education institution with approximately 3,000 undergraduate students, serving an ethnically diverse population. Almost half of the student population represents Asian or Pacific Islanders. The teacher preparation program is a post-baccalaureate program which typically recommends 40 – 50 teacher candidates for a teaching license each year. The program utilizes a cohort

model which enables full-time students to complete both instructional and field components in one academic year.

Out of twenty three cohort members in the elementary teacher preparation program, nineteen surveys were analyzed. Two cohort members chose not to participate in the study, and two cohort member's surveys were missing.

Cohort teacher candidates begin the semester in their field placement for one full week. They then participate in an intensive unit planning workshop. This workshop is designed to encourage collaborative work and build community among the cohort. The education department's faculty model collaboration through a teamwork approach during the workshop. Each faculty member holistically presents a different component of how to effectively plan for a unit, using a rubric as a guideline. Holistically means faculty build upon each other's presentation, creating continuity between the criteria required in unit planning. In addition, the workshop focuses on preparing teacher candidates to effectively plan a standards-based unit within the context of their field placement.

During the following seven weeks of the semester, teacher candidates take an intensive course load. They attend classes Monday through Thursday approximately eight hours a day. On Fridays they return to their field placements. After their intensive course load, teacher candidates return for five weeks to the same field placement to teach full time with a cooperating teacher. The semester ends with three weeks back in the courses to reflect and prepare for student teaching the next semester. The methods courses are part of the intensive course program during the first seven weeks and the last three weeks.

The courses

Two interdisciplinary methods course instructors collaborated to teach effective instructional strategies to elementary education teacher candidates. These included a science and math methods course and a language arts and social studies methods course.

The language arts/social studies methods course was designed to provide learning theory, understanding and utilization of the state standards in the content areas of language arts and social studies. The content of this course emphasizes instructional and assessment strategies in language arts and social studies content areas for the elementary school. The strategies presented support the development of meaningful literacy experiences integrated across subject areas. Social Studies concepts are explored through the development of unit plans and emphasize an interdisciplinary approach to learning.

The math/science course was designed to help candidates develop knowledge, attitudes, and skills that are needed to nurture children's curiosity and facilitate their exploration and learning about the world around them through meaningful instruction and assessment. The state standards were utilized to design curriculum to best meet the needs of the children. Cultural perspectives were integrated as a means to address the diverse population of students in the areas of mathematics and science.

The assignments

Due to the integrated nature of the cohort program, the education faculty met prior to the semester to refine the existing format and rubrics used to evaluate lesson plans and

unit plans. The faculty reached a consensus agreement on a program-wide lesson plan and unit plan rubric.

Methods instructors met to discuss general program requirements which included lesson plans and unit plans in respective content areas. Teacher candidates are required to submit one complete unit plan including a unit plan overview and individual lessons to either the math/science methods course or the language arts/social studies course based on unit topic. Candidates then were required to hand in a "unit blueprint," which includes only the overview of the unit minus the lesson plans, to the alternate methods course. Following is the chronology of the planning that occurred.

Agreed upon mutual unit and blueprint due dates

The two methods course faculty co-planned due dates to allow for unit plan conferencing leading up to the due date as well as post the due date. This allowed the teacher candidates to receive feedback throughout their planning and in revision processes. Teacher candidates were required to hand in their unit plan, with lesson plans, to their cooperating teacher upon beginning their five week teaching in the field.

Aligned dates for instructional strategies

A unique component of the methods courses was the way in with the faculty taught the instructional strategies. The teacher candidates were required to team up with another candidate and become paired experts on one of six instructional strategies. They learned about the strategy through reading and meeting with the methods instructors. They then planned a lesson plan for one of the two methods courses, implemented the lesson in front of their peers, and concluded their presentation with a mini-discussion on the specific instructional strategy. The discussion was facilitated by a required "tip sheet," where the teacher candidates wrote out tips on how to plan using the strategy. The tip sheet included information they read about, and their personal experience teaching with the strategy. They listed what was difficult, and what was easy. For example, "Planning for inquiry was challenging, we had to completely re-do our lesson when we realized the differences between a true inquiry lesson and a direct instruction lesson." The personal anecdotes were a way to organically experience the instructional strategy and learn first hand what makes it work and not work.

The candidates only planned and taught an instructional strategy for one of the methods courses. For example, if students A and B became experts on the inquiry instructional strategy and planned and implemented a lesson plan in the math and science course, student A and B would not teach it in the language arts class. Instead they were required to hand in a lesson plan using an instructional strategy of their choice to the language arts and social studies course.

This requirement asked that the methods instructors carefully align their due dates so the cohort learned about each instructional strategy during the same days. For example if A and B were teaching inquiry in the math and science course on Monday, C and D were required to teach about inquiry during the same week to the language arts and socials studies course. This way, the candidates were exposed to two different lesson plans using the same strategy, and two different methods course instructors participating in the final discussion, offering his or her own views and experiences with the instructional strategies.

Before the semester began, the methods course faculty met and planned carefully the dates for instructional strategies, and developed sign up sheets. The teacher candidates chose their top three instructional strategies and which discipline they desired to teach in. The methods course faculty met and placed the candidates based upon their interests.

Staggered dates for additional lesson plans

Along with the instructional strategy lesson plans, the candidates were required to hand in two additional lesson plans. The methods course instructors carefully staggered the dates so that the candidates did not get overwhelmed with the amount due. Because of the nature of the intensive course study in the first seven weeks, teacher candidates are in class from 9-5 Monday through Thursday. Fridays they spent out in the field with their cooperating teacher and students where they were able to implement their lesson plans.

Shared due dates for all major assignments with the other cohort faculty

After the methods course instructors planned, they shared their due dates with the rest of the cohort faculty, to make sure there was no overlap of major assignments. This type of whole department collaboration benefits the faculty as well as the candidates. There were minor changes made and then the semester began.

Instructional Strategies

Before the semester began, the two instructors met to discuss how to formulate their syllabus and curriculum (as outlined in the previous section). In this process, we chose six instructional strategies to teach the candidates. Instructors had planned to have teacher candidates work collaboratively in teams to teach these strategies to one another, but had to select out of the numerous strategies and names for strategies. The methods textbook, and the PRAXIS II were used as references. In the "Test at a Glance" Outline for the PLT (Principles of Teaching and Learning), under instruction and assessment, there was a sub category of "major categories, advantages, and appropriate uses of instructional strategies." The list included:

- Cooperative learning
- Direct instruction
- Discovery learning
- Whole group discussion
- Independent study
- Interdisciplinary instruction
- Concept mapping
- Inquiry method
- Questioning

The intention was to teach all nine of these major categories, however instructors decided to focus on six main strategies. The six were selected as by the following reasoning and deduction:

1) Cooperative learning was used in an effort to teach the candidates the importance of various types of grouping, (homogenous, heterogeneous, etc), and how to

effectively facilitate group work through the use of assigning roles, and careful planning.

2) Direct instruction was chosen because it is such a common instructional strategy that teacher candidates witness, but don't always realize that it stands alone and that not all instructional strategies in one way or another fall into direct instruction. This is a common misconception (worthy of future research), and the instructors intended to clarify this misconception.

3) Inquiry method, integrated the discovery learning category. This strategy focused upon the importance of careful planning and implementation to allow for student observation, asking questions, and exploration of possible answers. A focus was placed upon constructivism here in an effort to allow the teacher candidates to understand inquiry as a process of developing conceptions and misconceptions, and that it is the teachers' role to develop discrepant events to allow for the construction of new concepts.

4) Questioning, integrated the whole group discussion category. This was intentional in an effort to encourage the students to plan for the discussions they claim they will facilitate in their lesson plans. Often teacher candidates claim they will "have a discussion," and not list questions that they might ask to encourage the discussion to evolve and develop toward higher order thinking and critical thought. Focusing on questioning allowed for instructing the candidates on the various ways to develop questions for their lesson plans.

5) Centers, was chosen, although not on the list created by the PLT, because centers are a common strategy implemented by teachers. Often candidates overlook the intense planning that goes into facilitating effective centers, therefore the focus was placed upon how important it is to plan carefully for effective transitions and educational centers toward the lesson plan's learning objectives.

6) Role Playing and Simulations were added as well due to the importance of using this strategy effectively and correctly. Concerns of how to plan and use this strategy was considered and discussed.

The category of interdisciplinary strategies was inherent due to the course content: math and since, and social studies and language arts. Teacher candidates were encouraged to learn how these subject areas could be taught through an interdisciplinary approach, they also observed how two methods courses collaborated to teach in an interdisciplinary manner. In effect they were engaged in meta-interdisciplinary teaching strategies.

The candidates were required to become intimately involved in both concept mapping and independent study. They developed concept maps as a way to both plan and assess their lesson plans and unit plans. The course required a lot of collaboration, but instructors focused on independent study as a learning and teaching strategy, that they engaged in and reflect upon.

Teamwork

The instructors of the two interdisciplinary methods courses were both full time assistant professors. Both instructors had taught in higher education institutions for two

years. However, one of the two had both grown up in the community that the institution was located, and the other was a new faculty as the institution.

The two faculty members taught respective methods courses due to their content area. Both had taught methods courses in previous years and had done so differently and independently. To establish consistency between course requirements, the department created a single format for lesson and unit plans. The collaboration began in an effort to make sure that the candidates did not have assignments due on the same days. While meeting, the two faculty members realized that they could collaborate more and create aligned courses that would reduce the confusion. After planning the syllabi and the assignment, the two developed a two day "assessment workshop" where the candidates learned about assessment up front in a team-taught seminar during the times the methods courses met regularly.

The initial teamwork of teaching the assessment course set the stage for the candidates that the two faculty members were working together, collaborating, and learning from one another. As the two instructors learned from one another, it enabled the teacher candidates to see the importance of developing a professional learning community between colleagues.

Throughout the semester, the two faculty members would email once or twice a week to report on how the assignments were turning out, building a friendship, and reflecting on what could be done differently both in the remaining class time, and the next semester. In addition to frequent emails, the two faculty members met for fifteen minute slots about two times a week.

The teamwork is also facilitated well by the placement of the colleagues' offices. Although seemingly small this is a critical piece of information, although seemingly small. The entire department is in one corner of a building, making it easy to pop in, say hello and build collegiality. It also facilitates easier collaboration between department members, as it is easy to check in for short periods of a time.

Data collection and analysis of teacher candidate perspectives

The researchers collected data on teacher candidate perspectives via qualitative surveys. The surveys assessed what the teacher candidates learned with regards to instructional strategies, as well as their perspectives on the effectiveness of the faculty collaboration between the methods courses. After the researchers collected the surveys, they reviewed the answers carefully to develop a descriptive analysis of the teacher candidates' perspectives.

Among the perspectives were many who responded positively to the collaboration with descriptors, such as "very helpful," "helped make sense of the strategies," "reinforced." Other participants were a bit confused by the open ended nature of the questions, and therefore did not answer the question directly, such as referring to entirely different courses. There were a few negative responses, such as "confused by due dates." We pooled the responses into these three categories, positive, confused, and negative- to develop perspectives on the collaboration, and develop a descriptive portrait of the teacher candidates' perspectives.

Preliminary Findings

The majority of the participants felt that there was consistency between the two methods courses' content and requirements. The majority also found that the instructors collaborated. Teacher candidates did not feel that there was no consistency or collaboration, but two of the nineteen participants felt that they noticed an average amount of consistency. (See Table 1)

Table 1. Teacher candidates perspectives on consistency between courses

Scale	Consistency between Methods courses – Raw Scores	Consistency between Methods courses – Percent	Instructors Collaborated – Raw Scores	Instructors Collaborated - Percent
1 (Very little)				
2				
3	1	5%		
4	1	5%	1	5%
5	3	16%	1	5%
6 (A lot)	14	74%	16	89%
Total number of responses	19		18	

The survey later asked the teacher candidates to describe their answers and perspectives. This provided the researchers with more descriptive data as to why they felt that there was consistency or collaboration and if they thought that this had a positive effect or not. Following is a chart that outlines the teacher candidates' responses. One response could be coded in two areas if it made two separate statements. The researchers coded the data in the categories of negative (-), confusing (?), and positive (+). The majority of the teacher candidates felt that the consistency was helpful. In some cases they felt it was motivating, "Yes, I liked all of the communication and teamwork between the two of you. I can only imagine the time spent planning for our class – it is much appreciated. When I think about how much effort you guys put into us, it makes me want to give you that much effort back". In other cases they felt the collaboration and consistency were reinforcing, "Everything seemed in sync with the next course. It helped me understand [and] have more practice." (See Table 2)

Table 2. Teacher candidates descriptive perspectives on consistency and collaboration

Score	Collaboration/Consistency	Descriptive comments
+	Collaboration	Awesome excellent collaboration on everyone's part.
+	Collaboration	The courses that seemed to work together the best were science/math and language arts/social studies. I felt these worked collaboratively because its consistency because we did same instructional strategies.
+	Collaboration	I saw that they had a lot of communication between them and they accommodated whatever was

		reasonable.
+	Collaboration	Yes, I liked all of the communication and teamwork between the two of you. I can only imagine the time spent planning for our class – it is much appreciated. When I think about how much effort you guys put into us, it makes me want to give you that much effort back.
+	Collaboration	It is very clear that the teachers worked together often to bring us well rounded learning. I really appreciate the instructors all being so willing to talk to me at anything. It made me want to seek after information and to do my very best.
+	Collaboration	[Instructor]and [Instructor] always were working together. Gives us examples on how we should be in our classes when we are teachers!
+	Collaboration	The methods courses were great together. They worked hand in hand and knew what was going on in the other class. The lessons went together. The instructors both knew what the other was doing. Our lessons in each class build on each other. We worked on the same teaching strategies in both classes at the same time.
+	Collaboration	All of the classes worked well together. We went over lesson planning and teaching strategies.
+	Collaboration	It helped me remember and gave me examples of how I could use it in my classrooms. Have methods courses that integrate each other and work well together makes a good impression on us as future teachers
+	Collaboration	Both methods courses [were collaborated]. I think that both instructors worked well together. Their classes showed that they planned together made sure that the classes flowed together. The group presentations on each strategy was planned for the same time which helped reinforce learning for us.
+	Consistency	Connected with lesson plan assignments makes it cohesive and holistic
+	Consistency	Everything seemed in sync with the next course. It helped me understand have more practice
+	Consistency	It helped reinforce and tie things together
+	Consistency	It was nice that there was a consistency in what we were learning. It didn't really fell like two different classes, one class was simply a continuation of the other.
+	Consistency	There was a lot of consistency between methods courses especially -when it came from learning the

		instructional strategies because I appreciated how we did the same instructional strategy on the same day.
+	Consistency	Everything being consistent helped soooo much!
+	Consistency	It is helpful that the teachers are consistent because the students know better what to expect.
+	Consistency	The collaboration made the classes more consistent. I was able to give equal effort to each class because of the collaboration
+	Consistency	Ongoing, many topics addressed. I learned a lot, very much. Everyday was a new and exciting experience. I looked forward to every day.
+	Consistency	Methods helped to better understand the process of lesson plans by getting two feedbacks.
+	Consistency	The language arts/social studies and math science methods courses fit together. They both helped me plan for my units and gave many ideas to use in the field.
+	Consistency	Math science and LA/SS methods – I liked how the two classes alternated due dates and how the teaching strategies were taught in both classes – it was a good reinforcer. I also liked how the two of you worked together to help all of us – great teamwork!
+	Consistency	Great to learn that the "template" for how to write unit etc. are the same for all subjects.
+	Consistency	It helped a lot because we didn't need to do 2 of everything.
+	Consistency	It was great because I could ask either of you to answer the millions of questions that I have
?	Consistency	I felt there was a lot of consistency during certain periods of the semester. However, there were times when classes were going in different directions. A little confused at times
?	Consistency	At first it was really confusing about the blueprints and lesson plans, but as time went on, it was clear that the two classes complimented each other.
?	Consistency	only because understanding the due dates were a little confusing.
?	Consistency	Seemed to flow, but once in awhile was more confusing to us with all the overlap. I'd rather expectations were clearer and more simple.
?	Consistency	It was a little confusing, but DEFINITELY benefited us as far as lightening the workload
–	Consistency	Unit planning was different for workshop than for submitted unit plan for field. Like workshop didn't

		match. Frustrated with unit planning!
-	Consistency	Criteria seemed different on blueprint turned in at beginning and at end.

Conclusion:

Collaboration between and across content areas was primarily perceived as an effective way to teach the teacher candidates how to plan lessons using various instructional strategies. It requires intensive pre-planning between the two faculty members. Teacher candidates appreciate the collaboration and consistency and have a heightened understanding of the strategies. Important changes include clearer directions on due dates. Important methods of implementing a collaborative model such as the one described in this article requires faculty to meet frequently for longer periods of time to make sure that the due dates and directions are clear and consistent. During the semester, open communication and frequent "check-ins" are important and serve as touching points to make sure that directions and explanations are in alignment with one another. The result of this study shows that collaboration is important and that teacher candidates are aware of higher education faculty teamwork.

Future research might include a longitudinal study of whether their observation of collaboration might impact teacher candidates own ability and desire to be a team player in their future job placements. Other research might include examining whether increased collaboration leads to higher scores on the PRAXIS II Principles of Teaching and learning exam or increases quality of lesson and unit plans. Teacher preparation program faculty clearly should focus on more collaboration and consistency between courses. It benefits the collegiality in the department as well as the teacher candidate's learning.

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What Have I Gotten Myself Into?: Fieldwork, Ethnography, and Personal Limits.

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Abstract:

"Fieldwork." For many of us in the social sciences, the word has had many layers of meaning added to it as our disciplines have grown. What, exactly, is "the field?" How much of one's "self" does the fieldworker permit to come through in their writing? Does the fieldworker's personal experiences merit discussion or consideration when discussing their time in the field? In their work? How much class time can be spent on the discussion of previous fieldworkers' experiences? All of these questions have been and continue to be debated in academia. Other fieldworker-as-person issues, such as the idea of sex in the field, are beginning to be more thoroughly discussed in the seminars that beginning fieldworkers attend.

Part of the reason that that personal exploration and change within the fieldwork context has and is not discussed more rigorously is, of course, that it is impossible for one person to determine exactly what another will encounter in the field that they will have to incorporate into their personal outlook and experience. And, of course, it is important to learn practical things such as how to select equipment, how to get visas, writing fair and comprehensive release forms, etc. However, let us not doubt that there are times in many fieldworkers' experiences where they will find themselves testing the boundaries of not only their knowledge, training, and theory, but also of themselves.

This paper is probably one of the most reflexive I've ever written. My fieldwork for my Master's thesis was focused on the fetish/BDSM (bondage, dominance/submission, sado/masochism) stage shows that occured in the Goth clubs in Los Angeles, California. I have always placed a high value on participation within the community one is doing fieldwork in. While reading and interviews are also valuable tools for the fieldworker, there are some things that can only be fully considered after experiencing them. The level of participation is one of those decisions that each fieldworker has to make. Sometimes, the decision is fairly simple. There are some communities that we as fieldworkers study that exclude us from fully participating in some areas because we are/were not born into that community. Other communities, such as the fetish/BDSM subculture, are able to be joined. The stage shows occuring at the club were open to anyone who wished to participate, as I found out through the course of interviews and reading of the club's

online message board. This meant I had the option to find out what the stage show participants were experiencing first hand. However, there were many issues I had to consider before deciding whether or not I was going to become a stage show participant myself. First of all, I had to decide whether or not standard methods were going to be sufficient for understanding the stage show experience. My focus was the combination of the BDSM techniques, music, and the audience and how those factors worked together to produce an ecstatic state in the stage show performers. There's not a lot of written material that discusses this, but I found some information in A.J. Racy's writings on Middle Eastern tarab music that gave me some theoretical background to work with. However, it was not sufficient for me to understand the stage show participants' experiences alone. While the participants were happy to answer any questions I had, the noetic nature of the stage shows and what happens during them led to a breakdown of the discussion. There would be times when I would be met with "Well, I can't really describe it.. but... no, I'm sorry, I just can't remember." This made relying on interviews and observations difficult. Participation seemed to become more mandatory. However, the nature of the stage shows led to more considerations.

The fetish/BDSM culture is an inherently erotic one. While sex as it is typically defined is not performed in the clubs I was attending, the erotic nature of the shows were indisputable. This forced me to consider my own views on public eroticism. The fact that the fetish/BDSM shows incorporated techniques that to most people would be consider painful, yet the participants on the receiving end of said techniques responded as though they were experiencing intense pleasure, forced me to reconsider my own views on the interplay of pain and pleasure. I also had to consider how my participation in the stage shows would affect my fiance and my standing within the academic community. Was I willing to become known as the one that was into "kinky stuff?" How would my affiliation with the fetish/BDSM community affect me as an instructor? How would I handle possible students attending the club and seeing me as a stage show participant? Fortunately, I have yet to experience any negative reactions from professors and colleagues due to my fieldwork, but as the fetish/BDSM subculture is still a stigmatized one, the possiblity does exist.

The issues discussed above are just examples of the myriad considerations I had during the course of my fieldwork. This paper is intended to discuss the personal considerations that other fieldworkers may have to make during the course of their own fieldwork as well as broach the topic of how to discuss the personal within the context of the fieldwork seminar.

Of Temples, Prisons, Umbrellas, and Revolutionaries: Culture, Consciousness, and Poetry in D. H. Lawrence

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Of Temples, Prisons, Umbrellas, and Revolutionaries:

Culture, Consciousness, and Poetry in D. H. Lawrence

by Ross C Murfin

Lady Chatterley's Lover is a novel about a woman's revolutionary struggle to be free, not so much from her paralyzed husband as from the paralyzing culture that he represents. Lawrence himself was engaged in a parallel struggle with his culture as he tried to re-conceive and, consequently, re-present the world through revolutionary forms of literary art. He shows again and again, perhaps most explicitly in his poetry, how the patriarchal voices of his education would assert themselves to inhibit true vision, limit understanding, and prevent what, in his introduction to New Poems, he refers to as "the poetry of the present." Much as the conventions of being an aristocrat's wife threaten to dictate, control, and destroy the integrity of Constance Chatterley's existence as a woman, so the conventions of a culture that inflexibly privileges the Spiritual and the Infinite stifle the writer who would apprehend and record "the living plasm," "the immediate present, the Now" (Introduction" 182-183) .

As early as 1913, in a review, Lawrence had begun developing a set of images with which to figure the fight for freedom from cultural convention. The images included a prison, a prisoner, and a temple that is *like* a prison insofar as it is a place that shuts out the light, the sky, the very world that the true artist would see and show. The images were repeated, with some variation, in essays published in 1914, 1917, and 1918, and further elaborated in "The Revolutionary," a poem

Lawrence published in his *Birds, Beasts and Flowers* volume (1923). They then underwent significant revision and development in "Chaos in Poetry," the introduction to Harry Crosby's *Chariots of the Sun* that Lawrence wrote in 1928. In that essay, Lawrence added an unlikely-seeming but ultimately appropriate fourth image to his practiced prison, prisoner and temple triad: the image of the umbrella.

In the same year, *Lady Chatterley's Lover* was published. In that novel, I will be arguing, Lawrence uses a set of strikingly similar terms to represent Connie's excruciatingly difficult position, and struggle, as a woman. A concurrent, achronological examination of all six texts sheds new light, not only on *Lady Chatterley's Lover* but also on Lawrence's complex late attitude toward culture, consciousness, and the possibilities of self liberation--and artistic revelation.

The speaker of "The Revolutionary," the biblical Samson, is pictured standing among a "forest of pillars," gleaming caryatids on whose heads rests the "entablature of clouded heaven," the artfully decorated ceiling of the temple. Rigid "pillars of white bronze," these columns literally upholding the literal superstructure of the temple are described as "stiff" and "rigid erections." Because they are human in form and described in phallic terms, it is tempting to suggest that the "pale-face[d]" caryatids represent the white patriarchy, the historical personages who figuratively "stand for" Western Culture, those whose lives and works have been seen as upholding and supporting its figuratively overarching ideals.

As one who is utterly blind to "the dome of high ideal heaven," to the temple ceiling and the "Infinite" dimension it represents, Samson is one for whom the temple

is but a "prison," for whom the great patriarchs upholding its "entablature[d] heaven" are but pillars to "grope among." Samson, in fact, seems ready to overturn the cold, stiff patriarchs, to let the pseudo "skies fall." "I shall be so glad when it comes down," the revolutionary says of the ceiling, the temple, and everything that both represent. "I am so tired of the limitations of their Infinite. / I am so sick of the pretensions of the Spirit" (Complete Poems 287-88).

Although critics have seen Samson as a Lawrencean self-projection, there is little in "The Revolutionary" itself to mandate the connection, however true it may be that Lawrence saw himself as a poet of physical touch and feeling and not as yet another metaphysical visionary. If, however, we read into "The Revolutionary" earlier essays involving temples and prisons, the association of Lawrence, and certainly of the poet or artist, with Samson makes a certain kind of sense.

In a review of the 1911-12 anthology volume of *Georgian Poetry*, Lawrence had singled out predecessors of an iconoclastic bent, calling them "the great prisoners" and figuring them as temple-crashers *par excellence*. These were writers, it seems, who chose not to become patriarchs, supporters of the culture and upholders of its decorum. "The last years have been years of demolition," Lawrence writes. "Faith and belief and the Temple [had to] be broken. This time art fought the battle." Nietzsche, Lawrence asserts, demolished "the Christian religion," Hardy "our faith in our endeavor," Flaubert "our belief in love. Now for us," he continues, "it is all smashed" and "we can see the whole again." We were "in prison," but "the great prisoners smashed" the temple-prison down. "And behold, out of the ruins leaps the whole sky" *(Georgian Poetry* 304).

In a somewhat later essay published in 1917 in *The English Review*, Lawrence had used the pronouns "we" and "us" to speak of the Samson figures, those who would smash the temple-prison. "Once the temple becomes our prison," he wrote, "we drag at the pillars till the roof falls crashing down on top of us and we are obliterated" ("Reality of Peace" 27). A year later, in the introduction to the American edition of *New Poems* (1918), Lawrence asks his readers "not" to "ask" for poems conveying "pearl-hard" qualities of permanence; rather, he pleads, "ask for that incipient putrescence which is the skies falling" ("Introduction" 183). Seen against the background of both of these essays and of the review in which artists are described as having actually brought down the Temple, Samson "The Revolutionary" would seem to represent Lawrence or, at least, a potential Lawrencean self.

Lawrence's "Chaos in Poetry" seems at first glance to be less relevant to, less a context for, the poem about "The Revolutionary." Indeed, that essay, which was written some years after the *Birds Beasts and Flowers* volume was published, might not even seem all that similar to those texts in which prisoners tear down temples. After all, people are pictured under an umbrella, not between the columns holding up a temple roof. And yet, as a close look at Lawrence's umbrella will show, that relatively puny and modern device is, *mutatis mutandis*, nothing other than the temple in a new form. As for the person depicted poking holes in the umbrella's delicate fabric, he ends up looking, on close analysis, a great deal like Hardy and Nietzsche and Flaubert--and therefore like Samson by another name.

"Man cannot live in chaos," Lawrence writes on the first page of his introduction. So he "put[s] up an umbrella between himself and the everlasting whirl.

Then he paints the under-side of his umbrella like a firmament." (The umbrella is already looking like a frescoed ceiling.) "Bequeathed to his descendants, the umbrella becomes a dome, a vault, and men at last begin to feel that something is wrong." That feeling is especially strong in "the poet," who is that "enemy of convention" who inevitably "makes a slit in the umbrella" and provides a sudden "glimpse of chaos," "a window to the sun" ("Chaos" 255).

It is at this point that *unpoetic,* "commonplace man" does a curious and fascinating thing. "Not liking the genuine draught from chaos," he "daubs a simulacrum of the window that opens on to chaos, and patches the umbrella with the painted patch of the simulacrum . . . So that the umbrella at last looks like a glowing open firmament, of many aspects. But alas! it is all simulacrum, in innumerable patches. Homer and Keats, annotated and with glossary." Thus the poem, which began as a slit, becomes a dab of paint--even, Lawrence says, edging back toward his older metaphors--"a wall between succeeding generations and . . . chaos" ("Chaos" 256). What we think is the world is the wall of the umbrella, or temple, long ago fabricated as a defense against too much reality.

"So long as the umbrella serves, and poets make slits in it," Lawrence continues,

> and the mass of people . . . . patch it over with a patch that looks just like the vision in the slit: so long as this process can continue, and mankind can be educated up, and thus built in, so long will a civilization continue more or less happily.

The *poet* however, cannot continue happily. What he sees in this process of

"building in," of "educating up to the vision in the lit," is humanity "completing its own *painted prison*" (emphasis added). It is a process that Lawrence, in words that ring heavy with an ominous tone, calls "completing the consciousness" ("Chaos" 256).

Civilization, thus defined as an umbrella and a painted prison at once, has both feared and depended upon poets. Poets have been needed to break through the walls, occasionally, to let in a little air and light and life, just before the breach is quickly and efficiently repaired. "The joy men had when Wordsworth . . . made a slit and saw a primrose," Lawrence writes. "Since then, gradually, we have come to see primavera" as "nothing but primrose. Which means, we have patched over the slit." Thanks to Shakespeare, who once showed the West a new potential," emotional, wistful man outside in the chaos, beyond the conventional idea and painted umbrella," the roof of our vault is by now "painted dense with Hamlets and Macbeths, the side walls too" ("Chaos" 256-57).

Distant though it seems at first from the poem and the other essays, "Chaos in Poetry" in fact goes a long way toward explaining them. For instance, it explains how poets can seem, in one place, like revolutionary prisoners threatening to knock down the established walls and, in another, like the pillars of convention. I once argued that the humanoid columns bathed in an "effulgence of holy light" in "The Revolutionary" surely include Milton and Shelley (Murfin 157). Milton, after all, invoked the "bright effluence" of "holy light," and Lawrence, in his 1914 *Study of Thomas Hardy*, called Shelley "pure . . . abstraction," therefore purely "male," just before saying that the "column must always stand for the male aspiration" *(Study* 71-72). But how, I never asked, can Milton and Shelley be culture's supportive

patriarchs while being radical poets--as both surely were--at the same time?

"Chaos in Poetry" explains how; or, rather, it tells how they have played both roles at *different* times. In their time, Milton and Shelley were Samsons, showing at least as much of chaos as Wordsworth did when he tore the temple-umbrella-prison to reveal the primrose. Since then, however, their visions have been replaced by simulacra; we see angels and we *think* we see what Milton showed, or we may think of Shelley, painted by Arnold into an "ineffectual angel." Or we may see one, the other, or both as male oppressors, symbols of culture's phalloentric structure. But what we are really seeing, "Chaos in Poetry" would tell us, is what the two have been made into by "commonplace" culture. We are seeing what they have become as civilization has gone about the work of "completing the consciousness."

Readers familiar with the poem, reviews, and essays discussed thus far will hardly be surprised by the opening of *Lady Chatterley's Lover*:

> Ours is essentially a tragic age, so we refuse to take it tragically. The cataclysm has happened, we are among the ruins, we start to build up new little habitats, to have new little hopes. It is rather hard work: there is now no smooth road into the future: but we go round, or scramble over the obstacles. We've got to live, no matter how many skies have fallen.
>
> This was more or less Constance Chatterley's position. The war had brought the roof down over her had. And she had realized that one must live and learn. (5)

The phrase, "tragic age," parallels Lawrence's reference to the "years of demolition"

in his review of *Georgian Poetry*. The reference to "fallen" skies recalls Samson's revolutionary "wish"; the vision of survivors "build[ing] up . . . habitats" recalls the one of "commonplace" people "building in," patching up their temple umbrella right after it has been torn.

The war, though it has "brought [Connie's] roof down," has been no liberating poet, no Samson. It may have left her "among the ruins," but it has in no way freed her from the "limitations" and "pretensions" of her culture and its "Spirit," let alone put her in touch with the vast cosmic whirl. Even the significant seeming alteration of Clifford's body has not significantly altered Connie's existence. She had already, before the war, found an "intimacy which was beyond sex with Clifford" (12). She had, we might say, established a relationship like the one depicted in the simulacrum of Shelley's "Epipsychidion," in which the lovers "two frames" are "transfigured" into "one / Spirit" (Shelley 424-25). Clifford had become "so very much at one with her, in his mind and her's," that "bodily they were non-existent to one another" (17).

In "Chaos in Poetry" Lawrence spoke of some people "gradually go[ing] bleached and stifled under [their] parasol," and of others who "begin to feel that something is wrong" ("Chaos" 255). These may or may not be the poets, but they are not the "commonplace" people, either. They include among them Constance Chatterley, who becomes subject, suddenly, to a "restlessness . . . taking possession of her like madness," a desire to break out of the vault of her claustrophobic existence. The restlessness "twitched her limbs" and "jerked her spine," sending her out of her aristocratic temple-bower and into the park, where she "enjoyed the solitude and the mystery, kicked the brown leaves of autumn, and picked the

primroses of spring" (18).

But she is still, the words quietly tell us, deep within the cultural temple. There is surely a hint of old Wordsworth in the phrase, "the solitude and the mystery," and the consequent allusion to primroses can only strengthen our suspicion that the primly pruned park is safely, suffocatingly, under and inside the civilized English umbrella. Our suspicions are confirmed, moreover, by the way in which the passage continues: "But it was all a dream; or rather it was like the *simulacrum* of reality . . . She herself was a figure somebody had read about, picking *primroses* that were *only shadows or memories*, or words. No substance . . . no touch, no contact! Only this life with Clifford, this endless spinning of webs of yarn, of the minutiae of consciousness, these stories Sir Malcolm said there was nothing in" (18, emphasis added).

Connie seeks contact with the reality she somehow senses lies outside the simulacrum by having an affair with the playwright Michaelis. It is easy, but finally incorrect, to define the restlessness she has experienced as simple sexual frustration: "Connie felt a sudden, strange leap of sympathy for him, a leap mingled with compassion, and tinged with repulsion, amounting almost to love. The outsider! The outsider!" (23) What draws Connie to Michaelis is the belief that he comes from outside the dream, the simulacrum. To have a physical relationship with him might be to come in "contact" with "substance," neither of which exist in the vault that is her prison.

Michaelis, however, proves as false an outside to Connie's world as the park had proved earlier. He may be an Irishman profiting in America, but he is, like

Clifford, a man living in a world of (old) words. Praise for his plays "affected him with the last thrill of passion beyond any sexual orgasm." He and Clifford "were . . . alike, they left everything out" (49). Sex with him is but self-stimulation, not the experience of the other.

It is in the chapter in which Connie becomes disillusioned with Michaelis that Lawrence describes Connie's first meeting with Mellors, who is closer to being a true outsider. Lawrence prepares us for the meeting by returning once again to images close to those that make up his bower-as-umbrella, temple-as-prison motif. Clifford and Connie advance through the park to a "wood," a wood the narrator calls a "dream inside an enclosure" on the top of which "lay the small blue sky." Clifford, who "loved the wood" and thought of it as "his own through generations," wanted it to be "inviolate, shut off from the world." Suddenly, to his surprise, they come upon a clearing where there is "nothing but a ravel of dead bracken, a thin and spindly sapling leaning here and there, big sawn stumps, showing their tops and their grasping roots, lifeless." This "denuded and strangely forlorn" gap in the wood is as exhilarating to Connie as it is depressing to Clifford. The scene of huge, fallen trunks (it looks a great deal like the one of felled pillars imagined by Samson at the end of "The Revolutionary") is said to "let. . . in the world." (In "The Revolutionary," Samson imagines glimpsing a "dark and nude" night sky.) Through this breach the game-keeper "swiftly" strides, emerging with what seems to Connie "the sudden rush of a threat out of nowhere" (43).

It is at this point, in Chapter 5, that Connie's skies truly seem to fall; it is at this point that the "cataclysm" of her life seems to happen. The next day, "all Clifford's

brilliant words seemed like dead leaves, crumpling up and turning to powder, meaning really nothing, blown away on any gust of wind" (47). A few months later, Connie is asked by her husband to carry a message to the gamekeeper. As she emerges from "the *inwardness* of the remnant of forest" and comes upon his cottage, she sees him "washing himself, utterly unaware, . . . shaking his head with a queer, quick little motion, . . . subtle as a weasel playing with water." Connie knows that the sight of a man washing himself is "commonplace enough," and "yet in some curious way it was a visionary experience: it had hit her in the middle of the body" (61-62).

Again, it seems important to assert that the visionary experience that hits Connie in the middle of the body includes--but is not limited to--a vision of sexual experience forbidden within the properly painted temple. To turn this around: what oppresses her is not the possibility of a lifetime of abstinence so much as it is civilized "consciousness," an array of inherited, old poetic constructs that now amount, collectively, to a prison of painted simulacra. Shortly after meeting Mellors, Connie is "stronger, she could walk better." But, although "she wanted to forget" them, her mind is a prison of once-liberating utterances, most of them simulacra of phrases first used by a former temple-disrupter who now stands high among the caryatids: "'Ye must be born again! I believe in the resurrection of the body! Except a grain of wheat fall into the earth and die, it shall by no means bring forth. When the crocus comes forth I too will emerge in the sun! In the wind of March endless phrases swept through her consciousness" (79).

What attracts Connie to Mellors is not so much his sex as it is the fact that he promises deliverance from a temple interior painted thick with such phrases. In the

same chapter in which she feels imprisoned by the "endless phrases" that sweep through her "consciousness," Connie thinks to herself that "the keeper" exists "Pale beyond porch and portal." He may be sexually desirable, but he is desirable insofar as he makes her realize that "the thing to do was to pass the porches and the portals" (79).

The reference to porches and portals once again connects *Lady Chatterley's Lover* with those other texts in which Lawrence is writing about--and against--the temple of culture, civilization, consciousness. Those texts come especially forcefully to mind a few pages after the one in which Connie sees Mellors as a true outsider existing beyond the temple portals and porch. She is walking alongside her husband when the two of them come upon "wood anemones . . . wide open, as if exclaiming with the joy of life . . . Connie gathered a few for Clifford":

> He took them and looked at them curiously.
>
> "Thou still unravished bride of quietness," he quoted.
>
> --"It seems to fit flowers so much better than Greek vases."
>
> "Ravished is such a horrid word," she said. "It's only people who ravish things." . . . She was angry with him, turning everything into words. Violets were Juno's eyelids, and windflowers were unravished brides. How she hated words, always coming between her and life: they did the ravishing, if anything did: ready-made words and phrases, sucking the life-sap out of living things. (86-87)

Holly Laird, the only critic to have noticed the parallel between this passage and "Chaos in Poetry," the *Chariot of the Sun* introduction, says the scene shows the

characters' "opposite responses to poetry." Perhaps it does, though I would argue that Keats's phrases, as they have become, are not what Lawrence means by poetry in "Chaos in Poetry." As for the opposition between Clifford and Connie, it has to do with far more than whether or not, in Laird's words, "Keats committed the pathetic fallacy" (Laird 171-72).

Connie would like to pick a few simple flowers, hold them in her hand, and see them in the way they were seen before the umbrella of the temple was raised up. (She would like to look at the flowers, in fact, in the way that Lawrence tries to look at them--including and perhaps especially anemones--in his *Birds, Beasts and Flowers* volume.) For Clifford there *are* no flowers, only once-poetic words that now serve as flowers' painted simulacra. Or, if there are flowers, Clifford would rather not see them. He seems threatened by the very sight of the actual anemones Connie has picked and handed to him, responding much as "commonplace man" responds to the sight provided by the poet's act of tearing the umbrella. He dabs "unravished bride," once revealing words used by a poet who has since become a culture upholding caryatid, over the latter-day primroses that his wife has offered him, thus safely remaining in a world that is "Homer and Keats, annotated and with glossary."

Connie's contrary if not quite revolutionary desire to make unmediated contact with reality is what makes her want to hold and know Mellors. The gamekeeper is surely a man, not a man of words; when she finally makes love to him, the novel tells us that "a great cloud" is "lifted" from her. That cloud might just as well be called the umbrella of civilization, the clouded canopy of the temple ceiling, the simulacrum of vision or revelation. Another word for it Lawrence might use is consciousness. With

it lifted, we are told, Connie suddenly feels "millions of years old." Mellors is that palpable reality the presence of which is "mysterious" to Connie, only because it has for so long been screened from her (109).

This is not to say that Connie feels millions of years old with Mellors because he is some kind of pre-civilized man. Primordial as he seems, he owns "books about bolshevist Russia, books of travel, a volume about the atom and the electron, another about the composition of the earth's core, and the causes of earthquakes: Then a few novels: then three books on India" (199). Thanks to time spent as an officer's servant, he has learned to speak both "proper" and "broad," shifting easily between what, for someone like Clifford, are the different languages of different worlds. "We can't really go back," Lawrence writes in *Studies in Classic American Literature*; "whatever else the South Sea Islander is," Lawrence thinks, "he is centuries and centuries behind us in the life-struggle" (202). In *Apocalypse*, Lawrence writes that "every profound new movement" is "a great swing also backwards" (56). No South Sea Islander, Mellors is one who, himself, has made a profound new movement in the direction of original simplicity. As a result, he represents that path to Connie. He is not primordial man but, rather, one who holds out the promise of a life free from the shackles of language and tradition, including those associated with class.

And does he keep that promise? Has Mellors himself made it? If we believe that he *is* "beyond porch and portal," and that the "great cloud" is lifted from Connie as a result of her relationship with the gamekeeper, then we read the novel optimistically, and we will probably answer all of the above questions affirmatively. But it is, finally, difficult to read the novel optimistically, and virtually impossible to

so *re*read it.

Even on a first reading, discerning critics will note that Connie is always, it seems inevitably, in a double bind. "'If I had him inside me as a child,'" Connie thinks at one point, "in the flux of a new adoration" (126). The language is spiritual to a degree; the Mellors it images is immaculately conceived. Immediately, Connie feels "fear," realizing that " if she adored him too much," she "would lose herself, become effaced." To effect her resistance she seeks another language, one that will preserve her personal identity:

> The man dwindled to a contemptible object, the mere phallos bearer, to be torn to pieces when his service was performed. She felt the force of the Bacchae in her limbs and body, the woman gleaming and rapid, beating down on the male; but while she felt this, her heart was heavy. She did not want it, it was known and barren.

"Ravishing," Connie might say, is something more appropriately done on or to Greek vases. The language that would reduce Mellors to anatomy is no more capable of transporting Connie beyond the umbrella than is that language that would insist on her giving up identity, effacing herself in spiritual union.

Again and again Lawrence shows that the act of "coming through" Western culture (its proper front or bacchanalian back side) is easier to hypothesize than commit. This is especially true for a young woman inspired by something like the poetic spirit to break out of the confines of sexual and social convention (and of phallocentric consciousness, which leaves women and their needs and feelings out). But it is also true of the writer who would make a slit in the umbrella of what once

were poetic insights but which have become the dead metaphors of poetic convention. Even if Connie does, once in a while, feel out from under the "cloud," it is surely only for a fleeting moment: living beyond the umbrella is even harder than tearing it. Connie sees a weasel-like body at the edge of chaos, but it is only at the edge. Mellors may have learned to use various class-defined dialects of English interchangeably, but he does not have an alternative language unencumbered by thickly-painted myths.

And neither does Lawrence: in making Samson a sign for himself in "The Revolutionary," he has chosen an image of the revolutionary poet created by the author of Judges and revised by Milton, two pure-white columns holding up the temple that Samson would like to think he can bring down. The language that the temple-breaker would break is all he has to break it with; the umbrella he would tear is made of the same material he would tear it with. Perhaps that is why the poem must end, as it does, in a conditional--even negatively conditional--mood: “See if I don't bring you down"; "See if your skies aren't falling"; "See if I don't move under a dark and nude, vast heaven, / When your world is in ruins" (*Complete Poems* 289). If the world of civilization *were* in ruins, with what language would the poetic revolutionary communicate?

The question leads to musings that stretch but also frustrate the imagination: musings *like* the kind Connie indulges in when she imagines herself carrying an impossible fetus. The hypothesized Mellors-child would be, by definition, his own father, a child not only loved by his mother but also mothered by his lover. Connie knows what a strange, even impossible, thing she is dreaming of: "she realized the

immense difference between having a child to oneself, and having a child to a man to whom one's bowels yearned towards" (126). What she *is* dreaming of is a child self-fathered, a pure original analogous to the poet almost equally difficult to conceive, the one who could exist entirely outside and free of patriarchal language.

The analogy may seem strained, and yet Lawrence's poetry, which is typically concerned with a frustrated struggle against the voices of education ("Snake" ends with Lawrence thinking of the albatross), contains numerous images strikingly similar to Connie's image of the self-fathered son. In "Fish," Lawrence describes a creature whose life-element is simultaneously its mother and lover, for the fish "ejects his sperm to the naked flood," into "the wave mother," and "lies with the waters of his silent passion, womb-element." To be a fish," Lawrence exclaims wistfully: to be just "You and the naked element" (*Complete Poems* 335). The longing, again, is not for sex but for unmediated contact with the outside world.

There is a sense, however, in which the fish, like the Mellors child, is part of an unconvincing myth about the possibility of fresh, original being and experience. Certainly, there is every evidence that the poet knows that he cannot experience or reveal the chaos of the elements so directly. The creature we think we catch a brief glimpse of in "Fish," with its admittedly "gorping, water-horny mouth," turns out in the poem's last lines to be a sign by which we signify the Son of the Father:

> In the beginning
>
> Jesus was called The Fish.
>
> And in the end. (*Complete Poems*, 339, 340)

Similarly, although Connie Chatterley has conceived a child outside of her husband's

familial element, the novel ends with Clifford being civilized, refusing to divorce his wife, and accepting the fact that the illegitimate baby will legally become his rightful son and heir. The word by which the new creation will be called is thus the traditional name of the impotent patriarch.

If all this seems pessimistic, it is because Lawrence had become pessimistic, by the 1920s, about things he had once been rather cheery, optimistic--he might have said "chirpy"--about. In his 1911-12 review, he had believed that Hardy, Nietzsche, and Flaubert, to name only three of the "great prisoners," had torn down the temple, so that "we can see the whole again." In 1917 he had still believed that, "once the temple becomes our prison," we can "drag at the pillars till the roof falls crashing down," even though we may be "obliterated" in the process. By the time he writes "The Revolutionary," Lawrence leaves what is definitely a suicidal threat in the conditional mood. In *Lady Chatterley's Lover* he couches, in the story of a young woman's struggle to live outside the vast temple-umbrella-prison of culture, a parable of poetry that is ultimately pessimistic.

As for "Chaos in Poetry," the introduction to *Chariot of the Sun* written about the time *Lady Chatterley's Lover* was published, it does, indeed, suggest that Homer and Keats, Shakespeare and Wordsworth, managed to make the slit, to get beyond porch and portal and to reveal. *They* managed to use the language of the patriarchs-become-caryatids in an original, thereby avoiding the need for the impossible original language. But, Lawrence makes it clear, their time is past. There will be no more primroses revealed. There will be no more joy of seeing the element: not, anyway, without a civilization-ending catastrophe of apocalyptic proportions. The umbrella has

got so big, the patches and plaster. . . so tight and hard, it can be slit no more. If it were slit, the rent would no more be a vision, it would only be an outrage. We should dab it over at once to match the rest:

> So the umbrella is absolute. And so the yearning for chaos becomes a nostalgia. And this will go on till some terrific wind blows the umbrella to ribbons, and much of mankind to oblivion. ("Chaos" 257)

Perhaps Lawrence meant *Lady Chatterley's Lover* as an outrage. But it seems unlikely. What he refers to as an outrage, he says that he would be the first to want to paint over. The thought of Lawrence wanting to hide or deface one of his own paintings boggles the mind. Instead, it seems more reasonable to conceive of *Lady Chatterley* as a kind of glorious admission of defeat--as a kind of last, Victorian novel written in frustration, fear, and perhaps anticipation.

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Japanese 'Be' Is 'He' Is 'That One'*

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0. Introduction: BE

In Modern Japanese, the verb that corresponds to English *be* is *aru*.

(1) a. John wa gakusei de aru.
Top student be
'John is a student.'

b. Kuruma ni enzin ga aru.[1]
car Dat/in engine Nom be
'The car has an engine./There is an engine in the car.'

The argument I will develop here rests in part on Postal's (1969) claim that English pronouns are the equivalent of the definite article plus the indefinite pronoun *one*. Also important to my argument is the origin of the copula *be,* which is said to be the third person singular, *he*. Putting these two claims together, English *be* is '*that one* +Agr'.[2]

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[1] Regarding the ambiguity of this sentence, see Muromatsu (1994, 1997).
[2] Juan Uriagereka, personal communication.

The purpose of this paper is to argue, based on Japanese morphology in Old Japanese and Modern Japanese, that this applies to the Japanese copula also; that is to say, *Be* = *same* = *he* + Agr = *the one* + Agr = *that one* +Agr. In Section 1 and 2 we will look into the Japanese equivalent of 'be' by examining the conjugation of the Old Japanese 'be', its meanings, and some Japanese words that share the stem with 'be'. Section 3 will examine 'that' in Japanese by looking at the system of demonstratives. In Section 4 I will investigate 'he' and 'one' in Japanese, as well as *wh-*. Section 5 is the conclusion.

1. *Aru* (BE)

In Old Japanese, the word for BE is *ari*.[3] The verb *ari* in Old Japanese conjugates in the following way:

(2)	Basic form	ari
	Mizen-form	ara
	Renyo-form	ari
	Syuusi-form	ari
	Rentai-form	aru
	Izen-form	are
	Imperative form	are

It seems that we can consider *ar-* as a stem. (In Japanese, one character usually contains C+V, so that *ra*, *ri*, *ru*, *re*, are each represented by different characters. It is advantageous to use Romanized representation to separate V from C.)

An Old Japanese dictionary lists the three uses of *ari* as, roughly: 1) existence, 2) expressing a statement, 3) substituting for other verbs.[4] Etymologically, this *ari* is related to *are* 'bear', *araware* 'appear', and maybe Korean *al* 'egg'.

Our main concern is the first use; this is further subdivided into eight meanings:

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[3] The renyo-form, being a dictionary entry, is chosen here.
[4] *Iwanami Kogo Jiten* (1974), edited by Susumu Ono, Satake Akihiro, and Maeda Kingoro.

(3)

1) Existence: to exist in space and time, or exist in a way that is recognized by others.

i) exist
ii) live (↔ die)
iii) happen to be there
iv) Time passes.
v) live (everyday life)
vi) exist in a great way
vii) excel
viii) happen

The second use of *ari* is for statements. Following adjectives, *ari* expresses that the state represented by the adjective exists, or continues. Or it serves as a copula, like English *be*.

2. Words with the Stem *Ar-*

There are several Japanese words that begin with *ar-* and that seem related to *be*. For example, in (4) *aru* is used prenominally:

(4) a. aru tokoro ni
a certain place in
'at a certain place'

b. aru hi
one day
'one day'

c. Aru hito wa so iu kamo sirenai.
some people Top so say may
'Some people may say so.'

This prenominal *aru* is actually a conjugated form of the verb 'be', namely, rentai-form, as described in (5a). This prenominal use mentions the modified noun with the meaning of existence of that noun.

(5b)- (5f) also exemplify that *ar-* means 'be':

(5)

a) *aru* Rentai (adnominal, which is prenominal in Japanese)-form of *ari* 'be'. It indicates one uncertain point (e.g., time, thing, person).

b) *aranu* Adnominal word, meaning 'different; strange; inappropriate'

c) *arayuru* Adnominal word: 'everything in everywhere, all that exists' → 'all, every'

d) *ariarito* Adverb: 'vividly, as if it actually existed, as if it were true'

e) *ari no mama* i) 'truthful, undisguised, as it is'
ii) 'all you have'

f) *arigatasi* (< *arigato* 'thank you') is *ari-gatasi* 'BE-difficult', meaning 'it is difficult for it to be.' Thus, the meaning 'rare' come to expresses appreciation.

The word in (5b) can be broken down into *ara-nu*, which can be glossed as 'be-not', with 'be' expressing 'same'. (5e) is interesting in that (i) reflects 'be', and (ii) reflects 'have'. We can consider that these words include the stem of 'be', i.e., *ar*, even though some of them do not at first sight seem related to the verb.

We have seen thus far that BE in Japanese takes the form *ar*-. To see that "be = that one + Agr", we will also need to consider the demonstrative 'that' in Japanese. In the next section, we will take a look at the system of demonstratives in Japanese.

3. Japanese Demonstratives

While English has a *that-this* contrast and a *there-here* contrast, Japanese has a three-way distinction with respect to distance. Martin (1975: 1066) says, "There is a set of deictic demonstratives that show three degrees of distance from the speaker: proximal (*ko*-), mesial (*so*-), and distal (*a*-). For each group there is also an indeterminate (*do*- etc.) which is used as the interrogative or indefinite form. The demonstratives are formed by attaching various suffixes: (1) -*re* 'individual thing/ person/ event' and sometimes (except for *dore*) 'relative time' or 'place'; (2) -*ko* 'place'; (3) -*tira* or -*tti* 'direction, alternative (of

two)' and [elegant] 'person'; (4) -*no* adnominal; (5) -*nna* (contraction of -*no yoo na*) 'of such kind as'; (6) -*[k]u* adverbial (typically of manner)."

Consider the chart (6) from Martin (1975: 1066):

(6) Chart of Deictic Demonstratives

proximal	*mesial*	*distal*	*indeterminate*	
kore	sore	are	dore	individual
koko	soko	asoko, asuko	doko	place
kotira, kotti	sotira, sotti	atira	dotira	direction; alternative
kono	sono	ano	dono	adnominal
konna	sonna	anna	donna	= no yoo na
koo	soo	aa	doo	adverbial (of manner)

To give an English gloss to (6), it is as in (7):

(7) Chart of Deictic Demonstratives

proximal	*mesial*	*distal*	*indeterminate*	
this one		that one	which one	individual
here		there	where	place
this way		that way	which way	direction; alternative
this		that	which	adnominal
this kind of		that kind of	what kind of	
in this way		in that way	in what way (how)	adverbial (of manner)

Thus, we have (8a), which corresponds roughly to English (8b):

(8) a. ko-----so-----a-------do
b. h ------Ø -----th -----wh (h: here, this, th: there, that)

Historically, *ko*, *so* and *a* themselves were independent pronouns, and the –*no* part of adnominal *kono*, *sono*, *ano* was originally a case-marker. We can conclude that 'that' corresponds to *a* in Japanese.

4. 'He' and 'One'

In this section, I will investigate the remaining items 'he' and 'one' in Japanese and show that "be = he + Agr = that one +Agr".

The Japanese equivalent of 'he' is *kare*. Historically, *are*, which was used as opposed to *kore* 'this one', was also used to mean 'he' in Japanese (See (6)). *Are* referred to an unspecified event, place, or person that is far from and does not belong to the speaker; thus it could refer to a person. And it later became modern Japanese *kare* 'he'. If we take Old Japanese *are* 'he', we can maintain the *a*-part as 'that', as we concluded in Section 3, especially because *are* was contrasted with *kore* 'this'. This yields:

(9) BE = that one + Agr = he + Agr
ar(i) a re 0 = (k)are 0

Now I would like to draw attention to the indeterminate pronoun corresponding to *kare* 'he' – that is, *dare* 'who'. Comparing these two words with (8) and (9), a question arises. If *do* is 'wh-' and *re* is 'one', then *dare* 'who' lacks the *o*-part but has the *a*-part. This *a* in *dare* 'who' should not be the one that means 'that'. If *dare* 'who' contained this *a*, it would make *dare* 'who' definite, which we would not want. Thus, we need to find out what constitutes the *da* part.

One possibility is to treat *da* as a variant of *do*, still meaning 'wh', this variant being used especially to mean 'who'. In this way we are able to maintain (8) and (9). Alternatively, we can take an approach that considers only the *d* part to constitute 'wh'. For example, *dare* 'who' is *d* 'wh' plus *re* 'one', and *doko* 'where' is d 'wh' plus *ko* 'place'. But then what is the function of *a* in *dare* and *o* in *doko*? If we consider Japanese phonology, certain vowels may not be as important as others. So it is not unreasonable to offer the analysis that *a* is inserted to maintain a CV structure for dare 'who', and similarly o is inserted for *doko* 'where'.

However, when we compare *dore* 'which' and *dare* 'who', and taking *ware* 'I' into consideration, we find a distinction between the first two – more than just an adjustment of CV structure. Compare (10a) and (10b):

(10)
a.

proximal	*mesial*	*distal*	*indeterminate*
kore	sore	are	dore
'this one'		'that one'	'which one'

b.

1st person	3rd person	indeterminate
ware	(k)are	tare/dare
'I'	'he'	'who'

Though *are* could be used with either human or non-human meaning in Old Japanese, their indeterminate forms are different, *dore* for 'which one' and *dare* for 'who', the origin of the latter being *tare*. Moreover, *ware* is 'I'. So there are differences with respect to the human/non-human dimension: *are* for human and *ore* for non-human. If *a* and *o* make the difference in humanness, we can maintain that the *re* part still represents individual 'one', with the *o*-marking (non-human) or *a*-marking (human). Thus, the contrast between *dore* 'which' and *dare* 'who' is not 'which one' and 'who', but rather 'which non-human one' versus 'which human one'. In this analysis, *a* in *dare* is not the demonstrative 'that', but rather the marking of humanness:

(11) d-a-re
wh-human-one

According to this new analysis, the new chart is (12):

(12)
a.

proximal	*mesial*	*distal*	*indeterminate*
k-o-re	s-o-re	a-[o]-re	d-o-re
'this non-human one'		'that non-human one'	'which non-human one'

b.

1st person	*3rd person*	*indeterminate*
w-a-re	(k)a-[a]-re	t-a-re/d-a-re
'this human one	'that human one'	'which human one'

Still, we have to deal with *are* in (12a) with *o* dropped, as well as *kare* in (12b) with *a* dropped**,** possibly for reasons of phonology.

It is possible to interpret this analysis in a simpler way while keeping (6), (8), and (9) intact. We do this by maintaining *ko-so-a-do* in (8a) as the paradigm for the Japanese demonstrative system in (6), with *re* representing an indefinite pronoun, while interpreting (10b) as with the *wa-(k)a-da* paradigm for personal pronouns. In this simpler interpretation, both *do* and *da* are 'wh', rather than *d* being 'wh'. But this analysis still attributes the difference between the demonstrative paradigm and the personal pronoun paradigm to the difference between *o* and *a*, which difference appears only in *ko, so, do*, and *wa, da*, but not in *a* and *(k)a*. This interpretation does not require covert *o* and *a*.

Interestingly, in Old Japanese, the classifier for counting people is *tari*, such as:

(13) hi-tari (1-CL)
fu-tari (2-CL)
mi-tari (3-CL)

I claim that the *ar* part of *tari* represents the individuality of a human, as *are* represents the indefinite pronoun for human.

5. Conclusion

I have argued that the contention that "be = he + Agr = that one +Agr" applies to Japanese. We saw that the stem of the Japanese equivalent of BE is *ar*. I argued that *(k)are* 'he' is essentially *(k)a-[a]-re*, the first *a* representing 'that', and *re* representing individuality, corresponding to the indefinite pronoun 'one'. Comparing it with *ware* 'I', *dare* 'who' and *dore* 'which', I hypothesized that *a* in *dare* represents humanness while *o* in *dore* represents non-humanness. I conjectured that humanness *a* is covert in *kare* for some reason, possibly due to phonology. Similarly, *dare* 'who' can be analyzed as *d* 'wh', plus *a*, representing humanness, plus *re*. I also claimed that the classifier *tari* for humans includes *ar* (humanness + individuality), since one of the functions of classifiers is

individuation.[5] I also suggested a simplified version of my analysis that does not need to resort to covertness of *o* and *a*, namely to take *da* as 'wh' for human, and *re* as 'one'.

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[5] See Muromatsu (1995).

Creating a World View Through Electro-Acoustic Music in the Applied Studio

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In the fall of 2001, Dr. John Steffa, Dr. Robert Murray, and Dr. Lauren Murray were all serving on the music faculty of Murray State University in Murray, Kentucky. The Murrays perform in a duo called "Harmonie del Sur" and were interested in developing new music for the combination of oboe and trumpet. That year, there was a call from the International Trumpet Guild for compositions for trumpet and midi. Knowing he wrote in this medium, Robert Murray approached John Steffa about writing the duo a new piece for the conference. John agreed, and while the composition was never submitted to ITG, an outstanding work for oboe/English horn, trumpet/flugelhorn, and MIDI entitled *Songs in Tribute* was the result. *Songs in Tribute* became not only a piece for the duo to perform, but a model for a new piece, *Fantasy for Trumpets*, and an outstanding pedagogical tool.

Songs in Tribute was inspired by sights and sounds recorded by John Steffa while traveling throughout the world. The accompaniment for the piece is on compact disc and uses 3 sound sources: natural sounds, sampled sounds, and purely electronic sounds. The

primary source is natural sound from outdoor festivals, concerts, or tribal gatherings recorded in Africa, The United States, Peru, and Brazil on video tape. Samples of these sounds were fed into a computer, and then were manipulated. In some cases, only a very small amount of the sample was used in order to create pitches for rhythm, in others, entire measures of the samples were used and incorporated into the accompaniment. Movement one (*Children's Song*) uses recordings of Tanzanian women singing songs in Swahili to their children. The soloist's lines mimic the rhythm and timbre of the singers on the recording. The third movement (*Ritual*) is for electronics alone. It uses the deafening sounds of congas from a Brazilian Candomblé service. This movement is used by the composer for contrast--and to give the performers a chance to change instruments. Movement two (*Festival*) and movement 4 (*Dance*) uses sounds and motives from a Peruvian festival for the Winter solstice. There was a large gathering of village 'bands' playing outside on a stage under some Aztec ruins in Cusco, Peru. The composer used a video camera to record some of the performances, and then selected his samples from the recordings he had. The fourth movement maintains the folk melody almost in its entirety.

In addition to the recorded sounds from outdoors, a two octave sound sample was recorded of Lauren and Robert playing oboe, English horn, trumpet, and flugelhorn; creating the ability for the performers sounds to be played on the accompaniment while playing the solos live. The final sound source was from an already existing "sound bank" on the composer's computer. All of the motives in the entire work are derived from the recordings of the natural sounds. On the accompaniment cd, the composer has created an

accompaniment that at times sounds like a gamelan—this is not a live recording, but a created accompaniment using the sounds from the existing sound sources.

Songs in Tribute was eventually premiered at the Kentucky Music Teachers Association Composer's Concert in spring of 2001 and performed again for the trumpet and oboe studios at Murray State University in Kentucky. The piece was greeted with some enthusiasm and curiosity by all of the students; as this was rural southwestern Kentucky, the performance was a new experience for many of the students. With a desire to continue to seek out opportunities for these students to grow both musically and in their worldview, the logical progression, based on Harmonie del Sur's collaboration with John Steffa, was to ask him if he would be interested in composing a piece for the Murray State University trumpet ensemble. After consultation with regard to the level of musical proficiency in the trumpet studio, John suggested extracting the last movement of *Songs in Tribute* and basing a new work for trumpet ensemble on those materials.

Upon completing the work, John provided a midi-recording of the piece, which he titled *Fantasy for Trumpets*. This was played for the studio in the fall of 2002; they exhibited enthusiasm and curiosity about performing with electronic and world music incorporated in the work. In initial rehearsals of the *Fantasy for Trumpets*, the electronics were not employed. This was done to give the studio ample rehearsal time to experience the piece on their own, utilizing sense of time, rhythmic skills, and ensemble intonation. After adding the electronics, the student's awareness was heightened in terms of their attention to the aforementioned details. In particular, it became apparent that they would have to now synthesize their trumpet skills with a new voice: that of electronics. For a majority of the students, this was a significant challenge. From the standpoint of

the applied teacher, it was an excellent opportunity to encourage and reinforce what are necessary skills in mastery of a musical instrument. With the culmination of four rehearsals, the MSU trumpet ensemble presented the premier of *Fantasy for Trumpets* in Louisville, Kentucky at the Kentucky Music Teacher's Association Composer's Concert on October 27, 2002.

At the conclusion of the performance, a questionnaire was given to the trumpet studio regarding their experience with *Songs in Tribute* and *Fantasy for Trumpets*. They were asked to respond to eight questions:

1. State your observations upon hearing *Songs in Tribute* for the first time.
2. What effect, if any, did *Songs in Tribute* have on your understanding of world music?
3. What effect, if any, did *Songs in Tribute* have on your understanding of Electro acoustic music?
4. How did *Songs in Tribute* contribute to your understanding of *Fantasy for Trumpets*?
5. State your observations on hearing, rehearsing, and performing *Fantasy for Trumpets* for the first time.
6. What effect, if any, did *Fantasy for Trumpets* have on your understanding of world music?
7. What effect, if any, did *Fantasy for Trumpets* have on your understanding of Electro-acoustic music?
8. State any other observations you have regarding *Songs in Tribute* and/or *Fantasy for Trumpets.*

The questionnaire showed a remarkable change in opinion and understanding from hearing and then performing a piece that utilized world music and electro acoustic music. It was clear that the pieces were not too difficult for the students to understand and enjoy, and that many concepts were taught during the rehearsal and performance of *Fantasy for Trumpets.*

The *Songs in Tribute* project has not yet ended. In the fall of 2004, Robert and Lauren Murray will both be teaching at the University of Northern Colorado, and will perform *Songs in Tribute* for the oboe and trumpet studios. The trumpet studio will then perform *Fantasy for Trumpets* at the College of Performing and Visual Arts Gala, and

then will be asked to fill out the same questionnaire. Eventually, the findings can be combined with the original questionnaire and compared. Some questions that may be answered are: does geographical location bear consequences on exposure, understanding, and enjoyment of electronic and world music? Do students in rural areas have the skills necessary to learn and enjoy this kind of music? Does living in a more cosmopolitan area change your views and understanding of these kinds of music?

Ultimately, the intention of this study is to generate future work. With further exploration of this topic, a comprehensive paper that can be published as a whole or as articles in journals is the first goal in support of this project. Using this paper and information as a guide, other applied faculty can commission future teaching pieces for performance for all instruments in applied studio instruction. It is the hope that this study will inspire others to seek out new music to perform with their applied studios, and find new ways to teach 'old' western concepts. In the future Harmonie del Sur would like to travel with the pieces, polling students in different areas of the country and watching for changes in the attitudes and understanding of world and electronic music.

Submission: 3rd Annual Hawaii International Conference on Arts and Humanities

Title: *Reconstructions: Mark Twain's Connecticut Yankee and other legends of the New South*

Topic Area: American Studies

Presentation Format: Panel Session

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Reconstructions: Mark Twain's Connecticut Yankee and other legends of the New South
(abstract)

In 1884, during their joint lecture circuit, George Washington Cable re-introduced Mark Twain to *Le Morte d'Arthur*; shortly thereafter Twain conceived *A Connecticut Yankee in King Arthur's Court*. It was the same year that Cable wrote his famed essay "The Freedman's Cause in Equity," denouncing Jim Crow. The Southern writers' two seemingly dissimilar infant literary works, conceived at the same moment in national history, swam out of the amniotic fluid of shared political atmosphere and commonly-held convictions.

This paper analyzes *A Connecticut Yankee* as an allegory for the history of Southern Reconstruction, and as Twain's commentary on an irreclaimably retrogressive post-bellum South. Written at a time when the word "Yankee" was an epithet in the South, the chronicle of Twain's hero is analogous to the autobiographical accounts concurrently emerging from the pens of returning Yankee "carpetbaggers." A point by point comparison between Twain's novel and the published memoirs of two representative carpetbaggers (one bearing the surname Morgan) makes the parallels clear. Like them, protagonist Hank Morgan uses his political power to metamorphose a land of legendary chivalry where "the most of the population … were slaves, pure and simple," into a technologically advanced, democratized society. In Twain, Hank's new Arthurian Britain is toppled by the knights of an inimical established Church, while in the American South the carpetbaggers are hounded from the region, and their achievements destroyed by the terrorist acts of the Knights of the White Camellia and the Ku Klux Klan.

Twain, Cable, and other civil rights advocates were a diminishing minority condemning Southern intransigence: by the 1880s, the American public was invested in sectional reconciliation, and mythologized the noble Old South, its Lost Cause, and sanctified Robert E. Lee. Discourse in the media and emerging history texts labeled

Reconstruction a failure; typical news articles called Reconstruction "a cloak for robbers," wherein the South was "burdened and insulted until it has sometimes seemed to the coolest and most candid mind as if the intention was to enslave our people." (June 1, 1875 Yazoo City *Democrat*)

In his novel, an angry Twain inverted the distribution of the might commanded by the two opposing forces, placing Gatling guns in the hands of the Yankee reformer and his followers - whereas in the South it was primarily the white supremacists who wielded them. (Indeed, the 1871 Louisiana Republican Convention was known as the "Gatling gun convention" for the violent disruptions that attended it.) Similar creative inversions may be found elsewhere in Twain's writings, such as the sardonic November 1887 journal entry fantasizing a future where the "dominant colored man" would make "whites …vote as they are told or be visited by masked men & shot or whipped."

In *A Connecticut Yankee*, Mark Twain wrote a fable to tell the truth as he saw it – at a time when America's true sectional history was being denied, distorted, and buried under layers of fabulations. However flawed, his Yankee has a noble aim in his dream of reorganizing Arthurian society upon more equitable principals. Among the historical records, myths and legends of the Reconstruction period, Twain's novel remains a critical piece of social commentary, an important rebuttal of the then dominant narrative.

Sources will include the text and literary criticisms of *A Connecticut Yankee*; journals and letters of Mark Twain; the memoirs of Marshall Twitchell and Albert T. Morgan; other primary documents and historic interpretations of Southern Reconstruction.

“Distorting the historical record”: The Earl of Rochester in Stephen Jeffreys’ *The Libertine*

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“Distorting the historical record”: The Earl of Rochester in Stephen Jeffreys’ *The Libertine*

In the printed version of his play *The Libertine*, Stephen Jeffreys says, “For dramatic reasons I have slightly compressed and rearranged events in Rochester’s life without, I hope, distorting the historical record.” The fantastic events of this “historical record” undoubtedly attracted Jeffreys to Rochester’s life and Johnny Depp to the part of the title character in the upcoming filmed version. People with uneventful lives rarely become the subjects of history plays. Nevertheless, an eventful life can be a trap for a playwright, who can be overwhelmed by the events to the detriment of drama and history.

The best history plays are never overly concerned with the events of history; rather, their creators use the idea of history as a stalking horse from which they shoot their shafts of wit. Shakespeare, for example, uses the history play to conveniently escape from the constraints in plot and character of more established genres. Under the guise of writing history, he ignores the rules of plot for tragedy or comedy by mixing elements of both. Similarly, he ignores the rules of decorum, mixing comic and tragic characters with impunity. If some academically inclined critic points out the broken rules, one had to break them to be true to history. In English Renaissance drama, the new freedom of the history play to mix genres and characters made such mixtures de riguer in the more traditional genres of comedy and tragedy.

While using history for the sake of dramatic freedom, one can and should ignore history whenever necessary for the sake of the drama. Thus, the most interesting character in Shakespeare’s greater tetralogy is Falstaff. Originally named Oldcastle, an actual contemporary of Prince Hal, he became Falstaff only when Oldcastle’s descendants complained that Shakespeare had turned their historically puritanical ancestor into a drunken and leacherous rogue. Instead of changing the play for the sake of the history, however, Shakespeare sacrificed the history for the sake of the play. He keeps the unhistorical but dramatically crucial Falstaff to provide an example for Prince Hal of the extreme possibilities and dangers of a self-fashioner who can transmute the events of his life into any sort of biographical narrative.

In willful self-fashioning, Rochester is a very Falstaffian character. Stephen Jeffreys, however, never seems to understand how the dramatized nature of Rochester’s life complicates and limits “the historical record.” Rochester himself was extremely self-conscious about his metadramatic ability to shape his own life. As Harold Love states, he was “an eager participant in the construction of his own myth.” But Jeffreys, despite his play’s many references to theater, never understands this characteristic of Rochester. For

example, Jeffreys uses Rochester's famous poem on premature ejaculation in scene v of *The Libertine*, but Rochester's poem is a refashioning of one by Ovid, which makes the poem historical in a literary, but not necessarily a biographical, sense. In other words, we cannot tell whether or not the incident in Rochester's poem is biographical or part of the mythical self Rochester was fashioning. Jeffreys seems unaware of this central problem.

Rochester's contemporaries also embellished the events of Rochester's life and circulated poems under his name even while he was still living, which often makes it impossible to separate event from legend or genuine poem from imitation or parody. Rochester himself speaks of this phenomenon in letters and poems. Yet, in scene ix, Jeffreys has Rochester recite the poem that begins, "I rise at eleven…," which no modern editor attributes to Rochester. The problem is not that Jeffreys uses the poem, but that he fails to take advantage of it to show how his contemporaries manipulated the historical record of Rochester's life.

Although *The Libertine* is a bad play for a number of traditional reasons (stiff dialogue, shallow characterization, pointless anachronisms, etc.), my major concern is that, with the conversion of the play into a movie starring Johnny Depp, Jeffreys, who is the screenwriter, might establish a simplistic image of Rochester in the popular imagination for the foreseeable future. Yet, he seems unaware that the very nature of Rochester's life creates biographical and literary problems without simple solutions. Furthermore, Jeffreys will have missed an opportunity to present Rochester's challenge to our own commonly accepted notion of an essential self to which one can be true. One can only hope that Depp will see a kindred spirit in the metadramatic Rochester and give a performance not defeated by Rochester's elusiveness but celebrating it.

Ethics Across The Curriculum: Moral Reasoning & Student Perceptions

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Ethics Across The Curriculum: Moral Reasoning & Student Perceptions

Abstract

The purpose of this paper is twofold; first, to briefly describe the training in ethical theory and moral decision making provided to students in this university; and second to report on the use of a survey instrument to compare the results of this training with earlier assessment tests in other university programs. The survey instrument used in this study was administered to 88 students majoring in business and/or management information systems. The survey in this study was used to measure the changes in student perceptions regarding specific moral dilemmas. The evaluation of the survey results has been completed and is reported in the body of the paper.

Introduction

St. Edward's University, a small liberal arts university of approximately 4500 students in Austin, Texas adopted an ethics requirement in the early 1990's after having written a moral reasoning requirement into the University Mission Statement earlier. The required ethics course, Ethical Analysis, was first offered in 1994 and over the years the approach of the course moved from a survey of normative ethical theories to a focus on moral reasoning grounded in normative theories. As the University's commitment to ethics grew, a strong moral reasoning component began to be incorporated into other courses across the curriculum as well. Throughout this time period the foundation course for moral reasoning remained the Ethical Analysis course.

In order to facilitate the student's ability to "think through" case studies that contain a moral dilemma, the "Discovery/Justification method of moral reasoning" was created and adopted by the philosophy faculty. This method works well in both philosophy and non-philosophy classes. This paper is an

attempt to evaluate this moral reasoning and its relevance for ethics classes across other disciplines. To assess the impact of these courses on the student's ability to use moral reasoning in case specific situations we conducted an experiment that included a group of fourth year students in Business Administration and a group of fourth year students in Computer Information Systems.

Background

Corporate failures in ethical reporting of accounting and management information have been in the headlines frequently during recent years. Some persons are of the opinion that the solution is to solve the reporting problem with new laws and accounting standards. Others are of the opinion that the problem will not be addressed until the senior officials usually the Board of Directors of corporations have the qualifications and the motivation to reach for and achieve a higher level of corporate moral and ethical decision making. In academe it is important that we start from the bottom up in providing training and education in moral and ethical decision making to undergraduate students who will soon be the entry level employees in industry. As one author suggested "although unethical behavior by corporate executives make headlines, the misjudgments of lower level staff may ultimately cost organizations more" (Paradice 1990). Of course lower level staff forms the pool from which many future corporate leaders will emerge, in either case, it would appear that the ethical standards of the lower level staff will eventually percolate to the top in the corporate organization and form a new culture. In a recent article it was noted that in one of the recent major corporate failures it was the "company's culture (that) contributed to business practices that would ultimately bring it down."(Raghavan 2002). At this university our mission statement states that in addition to making our graduates competent in a chosen discipline, they should be prepared through training in critical and creative thinking as well as moral reasoning to confront the critical issues of society and to seek justice and peace. Following the charge of the mission statement we have incorporated several required courses into our undergraduate general education curriculum including: Critical Inquiry, Ethical Analysis, Critical Issues, and Moral Issues in

Society. The intent of these additions to the curriculum is to enhance ethical/moral reasoning of our graduates. The first part of this paper has briefly explained the historical development of learning objectives, pedagogy and contents of our required courses in ethics and moral decision making. The second part of this paper will report on the research that we conducted to evaluate changes over time (a longitudinal study) observed in our students majoring in business and management information systems. Since the early 1970's research has been conducted by various investigators evaluating ethical/moral decision making. Parker (1979, 1981) was one of the first to study and document ethical conflicts in computer science and technology during the 1970's and the 1980's. Paradice and Dejoie (1988) extended the research into the influence of information systems on ethical decision-making behavior during the 1980's and during the early 1990's. Taylor and Benham (1993) studied the impact of ethics lectures on the perceived acceptability of information system ethical dilemmas. Taylor and Benham (1999) extended the research by conducting a second measurement of the perceived acceptability of ethical dilemmas by business and information systems students in 1998. Their study used a scenario-based survey instrument/questionnaire that had been originated by Parker (1979, 1981) and replicated by Paradice (1990). This paper continues and extends the research listed above by replicating the original study by Paradice published in 1990 and the study conducted by Taylor and Benham (1999). The same instrument was administered to each of the respondents in this study. The instrument used in this study replicated the Paradice instrument that consisted of twelve scenarios and nineteen hypothetical situations. For each hypothetical situation posed, the student was asked to classify the behavior as ethically "Unacceptable", "Questionable", or "Acceptable." Morris, Jones and Ribinsztein (1993) modified this instrument by adding eight additional scenarios and twelve additional hypothetical situations. The instrument was administered to 88 seniors each of whom had completed the required general education courses in critical thinking, ethical analysis, and had completed or were co-enrolled in the last required course moral issues in society.

Methodology

The survey instrument used incorporated twelve ethical situations followed by one or more questions regarding an actor in the situation. An example of one scenario and one of the questions posed to the respondent is listed below. Note: This scenario and question situation reproduced below is from the Paradice 1990 research study.

Scenario: The owner of a small business needed a computer-based accounting system. One day, he identified the various inputs and outputs he felt were required to satisfy his needs. Then, he showed his design to a computer programmer and asked if she could implement such a system. The programmer knew she could implement the system because she had developed much more sophisticated accounting systems in the past. In fact, she felt this design was rather crude and would soon need several major revisions. But, she didn't say anything about her feelings because the business owner didn't ask her and she thought maybe she could be the one hired to implement the needed revisions later.

Hypothetical situation/question: The programmer's decision not to point out the design flaws was (ethically):

Circle your choice below:

Unacceptable **Questionable** **Acceptable**

After reading the scenario and the hypothetical situation/question, the respondent is asked to classify the hypothetical situation/question as ethically "Unacceptable", "Questionable", or "Acceptable".

There are no "right" or "wrong" responses to the hypothetical situation presented in this scenario-based survey instrument. Since there is not a "right" or "wrong" response to each hypothetical situation, this study examines whether there are differences in "response patterns". The response pattern is represented by the proportion of respondents selecting "Unacceptable", "Questionable", or "Acceptable" for each of

the hypothetical situations. The null hypothesis tested here is that there are no differences between the response patterns of the two groups, the group surveyed by Paradice (1990) and the group surveyed in the 2003 study presented here. The Chi-Squared statistical test was used in this analysis to evaluate differences in the response patterns of groups on each of the 19 hypothetical situation/questions. A two-dimensional data table (2 groups by 3 choices) was completed for each of the 19 hypothetical situation/questions. The alternative hypothesis in this case is that the response patterns of the two groups evaluated were different.

Results

Each of the 19 scenario response patterns was evaluated using the Chi-Squared statistical test and the result was that in each of the 19 response patterns the data failed to reject the null hypothesis. This result satisfied the first purpose of this study to compare the ethical attitudes of senior year business majors and senior year management information systems majors with the results of earlier studies conducted at other universities. We were pleased at this point to find that very similar results were achieved by our students compared with results of students in the earlier study.

A finding unrelated to the stated purpose of this paper concerned the test instrument itself. We would have preferred to have used this instrument for follow on studies on this same topic, however; in reviewing the post experiment debriefing comments a weakness in the instrument was revealed that may or may not have affected the results of the study. Anecdotal comments collected from respondents following the administration of the survey instrument used in this study suggested that while the scenarios presented in the instrument were understandable they were dated in terminology and content. This anecdotal evidence suggests that the survey instrument used in this study will not be useful in its present form for future studies. As a result we have initiated a project that will pursue the development and testing of a revised scenario based survey instrument for future use in evaluating ethical attitudes of students at this university.

Conclusion and Recommendations

One of the implicit goals of St. Edward's University is to increase the student's awareness of moral issues and to help them gain a deeper understanding of ethics. It is difficult to accurately evaluate the short-term success and especially the long-term success of this goal. The data from the survey indicate at least short-term, that student awareness of moral issues did not increase and that having completed a required ethics course had no measurable effect. Assuming that the survey was valid, the questions well-formed, and the sample sufficiently large to offer an accurate assessment, the question arises , what is to be done?

When one hears of ethics, especially in business classes and in the community, it is often in terms of what one must not do; that is to say, one must obey the rules and regulations. This view proposes a negative understanding of morality and ethics. For example, one must not discriminate or one must not engage in deceptive hiring practices tells you what you ought not do. Some people restate these prescriptions in positive terms, one must act with integrity, one must respect the dignity of each employee, but the outcomes are the same: ethical prescriptions are still understood as limits on activity. Students, who are taught "ethics" only in terms of laws, rules, and regulations, might be ill-equipped to satisfactorily access moral dilemmas that fall outside these laws and regulations; the straight-jacket approach might work for moral followers, but not for ethical leaders. While measurable outcomes in terms of moral improvement are difficult to obtain, we offer three recommendations which might assist in student improvement in this area.

1. A more sustained effort at teaching ethics across the curriculum. Philosophical ethics is important and should be required in order to provide the foundation, but morality and ethics should not be left just to the philosophers. Courses in different disciplines should have an ethic component.

2. A greater emphasis on moral reasoning in classes is needed. Awareness of rules and regulations are important, but students should be taught moral leadership in terms of having the ability to autonomously think and act morally.
3. To understand what is transpiring we think that the continued assessment of student perceptions of outcomes is necessary.

We would be happy to correspond with you on your thoughts and programs to address any of the issues that we have touched upon in this paper or if you are interested in cooperative research in this subject area.

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What We Can Learn From Antiheroes in Literature

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Abstract

(What We Can Learn From the Anti-Heroes of Literature)

Virtually all works of literature have a protagonist. Likewise, many works also have an antagonist whose efforts are often done to thwart the protagonist in achieving his/her own objectives. The variation of protagonists throughout literature is so great that it is difficult to make generalizations as to what character traits a story's hero *should* possess. Many great works, ranging from ancient Greek epics to modern Western classics, have portrayed protagonists whose motives and actions reflect attributes that seems far from heroic at first glance. These characters appear at times to be obsessive, depressed, selfish, and even criminal-like, yet the author portrays them in such a way that the reader is intrigued and accepting of them. These protagonists are the anti-heroes of literature. In essence, the anti-hero is someone with some of the qualities of a villain, up to and including brutality, cynicism, and ruthlessness, but with the soul or motivations of a more conventional hero. The complex nature of these characters makes the motivations of the anti-hero less obvious than that of a strictly delineated hero. I propose that even though they fail to live up to conventional expectations of mythic heroes, anti-heroes are not necessarily "failures." They display different kinds of courage and other virtues in their rebellious or defiant actions. By surveying these kinds of characters from various literary texts from both ancient and modern times by authors such as Homer, Dostoevsky, Melville, Hugo, Orwell, and others, it may be possible to see which recurring traits may be attributable to the anti-hero. These writers all use the figure of the anti-hero to question handed-down assumptions, to re-examine moral ideas, and to raise issues of survival. In this paper I will address questions such as: What makes an anti-hero? What characteristics reflect the anti-hero ethic? How is he or she different from a villain, and how do these archetypes reflect variations in human morality?

What We Can Learn from the Antiheroes of Literature

Introduction: The Current Status of the Antihero

Because heroes and villains struggle against each other, we often think of them as opposites. This is not always the case, at least not in the more ambiguous depictions in modern movies and literature. Quite frequently, the feature that makes a story more interesting than a mere struggle between simple heroes and villains, lies within the character of the antihero; the central character who has some of the personality flaws traditionally assigned to a villain but may also have some heroic qualities or intentions to gain the sympathy of readers. The complex nature of his or her character makes the motivations of the antihero less obvious than that of a strictly delineated hero. So what makes an antihero? There are various kinds of antiheroes that, for some reason or other could not be classified as a conventional hero. I claim that antiheroes can be classified in their own right into certain categories based on the heroic characteristics they lack.

In order to make good on this claim it will be necessary to make some characterizing remarks about heroes in literature. Generally speaking, there are two ways in which the term 'hero' can be used in literature: in the conventional sense and in the default sense. A hero, in the conventional sense, is a *great* and *noble* man or woman. They are great insofar as they possess many of the heroic virtues such as: strength, valor, integrity, chivalry, honesty, intelligence, and a commanding presence. They are noble insofar as they maintain a sense of personal dignity, humanity and morality which accompanies their other great virtues. There are plenty of examples in literature of

characters with this 'knight in shining armor' persona such as: King Arthur, Ivanhoe, Beowulf, and The Iliad's Hector.

The other sense in which the term 'hero' could be understood is essentially synonymous with the protagonist; the main character in a drama or other literary work. The character we take the greatest interest in and the one whose actions we focus on the most. In this default sense of the term, it's possible for the 'hero' not to possess any of the traits that make him or her great *or* noble. I claim that if a character fails to meet the criteria of a conventional hero, i.e. if s/he is either not great, not noble, or not great and not noble, but is nevertheless the protagonist, then s/he could be thought of as a 'not-very-heroic' hero, or an antihero.

An antihero may have faulty attributes and act in ways that are awkward, obnoxious, passive, pitiful, depressing, abasing and obtuse. In other words, he or she may be a far cry from what we'd take to be a great (and virtuous) person. An antihero may also have some vicious attributes such as brutality and ruthlessness, and may be misanthropic, amoral, sadistic, inhumane, and various other traits we'd likely attribute to a villain. In short, they're a far cry from being a noble and ethical person.

It is possible for an antihero to possess *some* characteristics of the great and noble person, but ultimately lack something so as not to be designated as a conventional hero. Some antiheroes can be bold, vigorous and maintain a commanding presence. However, they are always, in some fundamental way, flawed or failed heroes. In this sense, the term "tragic hero" is sometimes used. Yet even though they fail to live up to expectations of conventional heroes, these antiheroes are not necessarily "failures." They may display different kinds of courage and other virtues such as: translating deficiency into strength

and restoring dignity out of humiliation. Some antiheroes can even possess all the virtues and greatness of a conventional hero but lack all their nobility and humanity. Antiheroes of this nature are the closest thing to being a villain, and a character like this would most likely be a villain if not the protagonist.

By making this distinction and relying on the criteria of 'being great' and 'being noble' we are in a better position to evaluate and possibly categorize the different kinds of antiheroes in literature. We can think of antiheroes as falling somewhere in the spectrum between a hero and a villain. A useful heuristic device would be to think of a spectrum with the conventional, great and noble hero on one end, the greatly ignoble villain on the other end, and an absolutely lacking individual, neither very noble nor very great in the middle. Keeping this model in mind, I suggest three broad categories under which antiheroes can be placed. The three kinds of antiheroes are: 1) The Weak or Lacking, 2) The Partially Great, 3) The Great but Flawed.

I will explore these different kinds of characters in the works of Becket, Dostoevsky, Orwell, Sophocles, Shakespeare, and others. Coming from diverse cultural and linguistic traditions, it should be noted that these writers all use the figure of the antihero to question handed-down assumptions, to reexamine moral ideas and to show variations of moral perceptions. The intention of this work is to be able to make a rough categorization of antiheroes in literature by appealing to the necessary criteria for a conventional hero as the distinguishing factor. By examining various characters that range from the weak and obtuse to the strong and great, and their differing approaches to the moral, social and political structures of their surroundings, we may be able to better interpret and distinguish these antiheroes.

Different Kinds of Antiheroes

At this juncture, a few more clarifying remarks about antiheroes should be made, given the diversity of how they can be represented in literature. Some more precise characteristics that will be relevant to this work are that, they are all socially or morally deviant to some degree and this deviation from social or moral norms becomes a source of suffering for them. These outsiders peer in on the social and moral structure that they have, for some reason or other, become detached from, and their inability to fit into such a structure becomes a source of personal conflict. Various kinds of characters meet these criteria: the antiheroes that are generally weak or lacking characters, antiheroes that have some greatness or nobility, and the antiheroes that are great but flawed (sometimes tragically).

The weak and lacking antiheroes are often depicted as characters who constantly move from one disappointment in their lives to the next without end, with only occasional and fleeting successes. Yet they persist and may even attain a form of heroic success by steadfastly never giving up or changing their goals. These characters often keep a deep-seated optimism that one day, they will succeed (whether or not they actually do). What has caused them to become socially misaligned may be clarified by considering their moral attitude or other factors such as social mores and further norms of proper social acceptability that are too stringent for them to endure. This is the plight of the weak or lacking antihero.

For partially great (and partially noble) antiheroes, the social and moral structure of their social setting is seen as too constraining due to its corruption or some other factor

and their defiance of it has cast them into the outskirts. Yet despite the initially heroic efforts to challenge certain norms, it is either through a lack of greatness or lack of nobility that they often (but not always) fail in their designated objectives. These antiheroes are distrusting of conventional values and they accept and sometimes embrace their status as outsiders. Such is the case of the partially great antiheroic character.

Finally, it could be that the social or moral establishments from which the antihero has come are neither greatly flawed nor subject to extreme criticism. These antiheroes may have even functioned and risen quite well within this setting and even displayed many traits of a conventional hero up until a critical point, then, due to some critical action or character flaw, they commit a moral transgression severe enough to instigate their own destruction. This is the tragedy of the great but fatally flawed antihero.

One final comment before we begin to look at some antiheroes in greater detail is regarding their fate. Given the variety of antiheroes, there remains a variety of ways such characters can end up. We needn't assume that just because an antihero expresses certain traits of weakness or even viciousness that a bad fate is inevitable for them. Likewise, we don't assume that the well constructed conventional hero will always prevail, nor that the well constructed villain will always perish. Some antiheroes die or suffer a reversal of fortune which leads to perdition, while others may remain as is, obtain redemption or even prevail in their objectives. Let us explore some of these outcomes as we look at a variety of antiheroes in better detail, beginning with the first type - the lacking antihero.

The Lacking Antiheroes

As mentioned above, for these characters, it is not their moral attitude that is so far misaligned with the social setting they've come from, but rather other factors such as social mores and other habits of proper social acceptability are too stringent for them to endure. These antiheroes appear lacking confidence or social grace, weak or melancholic or simply estranged. Examples of these characters would be: T.S. Elliot's J. Alfred Prufrock (*The Love Song of J. Alfred Prufrock*, 1917), Wharton's Ethan Frome (Ethan Frome, 1911) and Hardy's Jude Frawley (Jude the Obscure, 1895). Three other antiheros that similarly fit this mould but whose situations are worth exploring for their differences are: Vladimir and Estragon from Beckett's Waiting for Godot and the nameless Underground Man from Dostoevsky's Notes from Underground.

Waiting for Godot (Samuel Beckett, 1952) is an absurdist play in two acts. The plot, such as it is, concerns Vladimir and Estragon, who await the arrival of the enigmatic Mr. Godot, who never arrives. Vladimir and Estragon appear to be homeless drifters with poorly fitting rags for clothes and virtually no worldly possessions. Towards the end of each act, a boy arrives with a message he says is from Godot that he will not be coming today, but will come tomorrow. The two act play has been summed up with the words "nothing happens, twice." The much quoted ending of the play can summarize the whole work: Vladimir says 'Well, shall we go?', Estragon replies 'Yes, let's go', and the two remain where they are.

Many readers of this play have understood the character "Godot" as a symbolic representation of God. They see Godot's persistent failure to appear and Vladimir and Estragon's aimless waiting as representations of the masses hoping for a being who will

never appear. This is a common interpretation of the play, but certainly not the only one. Despite its essential bleakness, the characters do engage in some heartfelt dialogue that is not always completely despairing.

Vladimir and Estragon are antiheroic in the sense that they are social (more so than moral) deviants. For reasons that are not explained in the play, they have remained on the outskirts of society in a state of abject poverty and social isolation. It is obvious that these characters do not fit the mould of the conventional hero by any means. However, even though these tragicomic antiheroes remain in a disappointing state for the duration of the story, they persist as is and even attain a form of heroic success by steadfastly holding onto their goals. Their social stature is similar to the Underground Man, but the characters have vastly different attitudes toward their present situation.

Notes from Underground, (Fyodor Dostoevsky, 1864) presents itself as an excerpt from the rambling memoirs of a bitter, isolated, unnamed narrator (Underground Man), a retired civil servant living in St Petersburg. The novel is divided into two halves. The first half takes the form of a philosophical manifesto, in which the middle-aged narrator explains his theory that humans inflict unnecessary, irrational pain on themselves and others as an expression of free will. In the second half, Underground Man recalls three of the major events of his life as a young man twenty years earlier: his nursing of a lengthy grudge against a military officer who didn't even know Underground Man existed; a humiliating dinner with some old school friends; and an attempt to induce a nervous breakdown in a young prostitute.

Like many of Dostoevsky's novels, Notes from Underground was unpopular with Russian literary critics in its day due to its explicit rejection of conventional values and

its portrait of humans as irrational, uncontrollable, and uncooperative. The Underground Man at once announces to us how different he is from the traditional hero. The key metaphor declaring this difference is that he is an underground man; he does not live in the world where actions matter. He does very little in terms of action because he considers "men of action" to be insipid. He lives underground by choice, a willed refusal (or inability) to engage with others in a significant way. This choice does not satisfy him, but he has no intention of doing anything about it. It is this conflict which leads him into an afflicted existence where he stays and suffers. This is made clear on the introductory page where he tells the reader "I am a sick man, I am a spiteful man."

Both of these works, Waiting for Godot and Notes from Underground have underlying existentialist themes. Beckett uses his characters' interaction to symbolize the tedium and meaninglessness of modern life, both major themes of the existentialists. Likewise, many existentialist critics, notably Jean-Paul Sartre, considered Dostoevsky's novel to be a forerunner of existentialist thought and an inspiration to their own philosophies. Both texts portray characters who are facing a world with no inherent meaning that's indifferent to whatever objectives or desires these characters may have. Furthermore, in both texts, the characters are defined by their *lack* of action, which seems oddly appropriate in the kind of world they live in. This lack of action is what makes them outcasts. In both texts the characters feel no need to act in such a way to achieve greatness. Being neither exceptionally great nor exceptionally noble, nor committing any atrocities, these characters fall in the center of the hero-villain spectrum as they are neither villainous nor conventionally heroic.

A major difference between these characters is that Becket's antiheroes lack the reflective capacity of the Underground Man. This, in turn enables Vladimir and Estragon to remain in a state of minimal suffering despite their situation, while the Underground Man subsists in a perpetual state of squalor. It is this greater awareness of the state of the world around him that makes the Underground Man more aligned with the second type of antihero, the partially great man, than Vladimir and Estragon.

The Partially Great Antiheroes

This kind of antihero is often depicted as a tough or passionate outsider who acts in a morally defiant manner and is one who may or may not have brutal tendencies. A character of this nature often arises in one of two contexts. The first of which is a similar but more extreme version of the previously mentioned lacking, socially estranged, antihero insofar as the social or moral establishments from which they have emerged are too stringent to accord with their own stringent nature and personal aims. They in turn distance themselves from the common man in an attempt to actualize their goals and maximize their individual freedom. Examples of these kinds of characters are: Melville's Captain Ahab (Moby Dick, 1851), Dostoevsky's Raskolnikov (Crime and Punishment, 1866), and Bronte's Heathcliffe (Wuthering Heights, 1847).

The second type may be represented as a character who maintains his or her moral integrity in the midst of socially bleak or politically corrupt circumstances. Examples of these kinds of characters are: Hawthorne's Hester Prynne (Scarlet Letter, 1850), and the dystopians such as Orwell's Winston Smith (Nineteen-Eighty-Four, 1949), and Huxley's Bernard Marx (Brave New World, 1932).

The similarities between these two kinds of antiheroes can be seen in their defiant nature, the differences are in the environments within which their defiant actions become manifest and their motives for doing so. From these differences comes a difference as to how their actions are to be judged morally. Let us compare two of these antiheroes: Winston Smith from Nineteen-Eighty-Four and Raskolnikov from Crime and Punishment.

Nineteen Eighty-Four (George Orwell, 1949) is a darkly satirical political novel and love story. The story takes place in a nightmarish dystopia, in which a perpetually monitoring state enforces perfect conformity among citizens through indoctrination, fear, lies and ruthless punishment. Winston Smith is the protagonist; he is a clerk for the Ministry of Truth, where his job is to rewrite historical documents so that they match the current party line, which changes on a daily basis. The book is divided into three sections. The first part deals with the constricting world of 1984. The second part deals with Winston's forbidden sexual relationship with the story's heroine Julia, as well as Winston's eagerness to rebel against The Party. The third part deals with Winston's capture and torture by O'Brien, a government agent working on behalf of The Party to re-indoctrinate Winston. After an undefined period of imprisonment, Winston eventually breaks; he eventually betrays his friends in the underground movement, including Julia and is then subjected to the process of 're-education'. This consists of hollowing out his mind and refilling it with love for the ever-watching 'Big Brother'. Once this process is successfully completed, he is reinstituted back into the dark world of 1984.

For the better part of the book Winston is conflicted between the desire to take a stand against such a politically absurd regime, and remaining in rhythm with it for the

sake of not exacerbating his current state. This internal conflict leaves Winston feeling trapped, melancholic and in an overall state of poor health. Throughout the story he does maintain a sense of social justice and moral integrity and he does eventually find the courage to defy Big Brother. In this respect, Winston displays some attributes of the great and noble man. However, his state of being, even before his incarceration is too torn and battered to present an effective resistance against The Party. Given the circumstances of his situation, no one could reasonably blame Winston for his moral defiance of the rules of his world. The moral defiance that Raskolnikov enacts is of a different manner. In Raskolnikov's case, his moral defiance is a crime for which he could be blamed and punished.

Crime and Punishment (Fyodor Dostoevsky,1866) is a novel set in St Petersburg that portrays the carefully planned murder of a miserly, aged pawnbroker by a brilliant but destitute student named Raskolnikov, followed by the emotional, mental, and physical effects of that action. After falling ill with fever and lying bedridden for days, Raskolnikov is overcome with paranoia and begins to imagine that everyone he meets suspects him of the murder; the knowledge of his crime eventually drives him to madness. Along the way, however, he meets a prostitute with whom he falls in love. After a long series of rigid interrogations from a police inspector, Raskolnikov can no longer endure the weight of his crime; he confesses to the murder and is sent to imprisonment in Siberia.

Prior to his crime, Raskolnikov entertains the idea of what it means to be a Great Man. This conception is slightly different from how I've been using it here. This other conception of the great man would be akin to the Übermensch notions of Nietzsche.

For Nietzsche, the Übermensch is an extraordinary individual who transcends the limits of traditional morality to live purely by his or her own will and power.

Throughout the book Crime and Punishment, Raskolnikov cites examples of what he takes to be a 'Great Man'. He mentions Napoleon several times, stating that for all the blood he spilled, he did some great things. Raskolnikov wonders if he could transcend this moral boundary by killing the money lender and taking her money. If so, then he could likewise use it to do something good. He even argues that had Newton or Galileo been required to kill a man, or even a hundred, in order for their laws and ideas to be brought to humanity then it would be worth it.

From what the reader sees, Raskolnikov's real punishment is not the labor camp he is condemned to at the end of the novel, but the torment he endures throughout the novel. This torment manifests itself in the aforementioned suspicions, as well as his growing belief that he is not the Great Man he'd hoped to have been by taking this moral test, for he is unable to cope with what he has done. The character of Raskolnikov comes across as brilliant, ambitious and daring, as well as his feelings for Sonya the prostitute suggest that he's not completely devoid of humanity. However, his actions in the story make it impossible for us to accurately characterize him as a great or noble man.

In both texts, the antiheroes of Winston and Raskolnikov exhibit similarities insofar as they are both unwilling to accept the moral structure imposed upon them and act rebelliously against it, but this is a result of very different circumstances. In one case, a morally sound individual defies a morally corrupt regime, in the other case, a morally corrupted individual attempts to defy a morally sound establishment. They both meet the unflattering fate of an indefinite duration in a captive environment. They are both

suppressed in their efforts to reach a higher level of personal freedom. However, while Winston's defiance is only for the sake of obtaining enough personal freedom to feel dignified by any regular person's standards, Raskolnikov wants more than that; he wants the kind of freedom that is deserving to a great person, not just a regular person. The grim outcomes that emerge from this desire characterize Raskolnikov as one who leans more to the villainous side of the antihero spectrum, whereas despite Winston's weaknesses and failures, his intentions are noble enough to characterize him as being closer to the hero's side. Even though both of these antiheroes fail in their objectives, and that a reader may be more moved to pity Winston over Raskolnikov, it is the (albeit deluded) motive of Raskolnikov to become a 'Great Man' that resonates more with the third type of antihero, the great but flawed person.

The Great but Flawed Antiheroes

This kind of antihero is often the kind that appears in many classical tragedies. These antiheroes may have even risen to a respectable stature within their setting until a critical point when some critical action or character flaw, leads to a moral transgression which eventually leads to their own destruction. This is the tragedy of the great but fatally flawed character. Examples of these kinds of antiheroes would be: Sophocles' Oedipus, Euripides' Medea (Medea, 431 BC), Homer's Achilles (The Iliad), and many others from Shakespeare such as Titus Andronicus, Othello, King Lear and Macbeth. Generally speaking, the tragic formula in these literary works centers around an individual whose social status is greater than average, he or she then suffers a reversal of fortune due to a crucial character flaw or action they've taken, they then recognize and come to terms

with the consequences of their erred actions. They confront the suffering and adversity they must face with a certain dignity. It is this dignity in the face of calamity that we see the greatness that persists in this critically flawed character. The depth of the 'tragedy' comes from how willing this antihero is to confront his or her actions that have led to such harmful outcomes. The more the flawed but great man tries to regain his dignity and humanity after he realizes the harm his actions have caused, the more humane we come to see him and the more pity we feel when he reaches his (self-induced) demise. The less concerned the antihero is with the outcome of his or her baneful actions, the less heroic he or she appears. This is an issue regarding the character's moral attitude and how closely they come to meeting the 'noble' criterion of the conventional hero. This distinction of moral attitudes of great individuals is more clearly seen with the comparison of Sophocles' Oedipus the King and Shakespeare's Macbeth.

In the case of Oedipus, at his birth, it is prophesied that he will kill his father and marry his mother. Oedipus, not knowing his real parentage, leaves his home of Corinth and vows never to return. During his travels, he comes to the area around Thebes, where he kills a stranger in a roadside argument, not knowing the man is Laius, his real father and the king. Oedipus then saves Thebes by answering the riddle of the Sphinx and is rewarded with the now-vacant throne of Thebes and the widowed queen Jocosta's hand in marriage. Later on, divine signs of misfortune and pollution begin to appear in Thebes, which compels Oedipus to seek out their cause. Finally his soothsayer reveals to him that the pollution has been brought about by the atrocious actions of Oedipus himself. As his investigations continue, Oedipus discovers he is really the son of Laius and Jocasta and

that all of the prophecies have indeed come to pass. His mother Jocasta commits suicide because of this, and Oedipus blinds himself by forcing her brooch pins into his eyes.

Because of what he now knows, we see Oedipus the great king suffer a reversal of fortune. Then seeing no relief from the agony of his situation, he takes responsibility for his actions and induces a penance on himself. This response indicates that Oedipus confronts his plight with both courage and integrity. These actions reflect his anguish and remorse and there is sympathy to be felt for him because of this. In this work, we see a great man trying his best to regain the dignity and humanity he's lost. In this respect, Oedipus comes relatively close to meeting the criteria of the conventional, great and noble hero. The final state for this antihero is radically different than that of Macbeth.

Macbeth, based loosely on the historical King Macbeth of Scotland, is seen as an archetypal tale of the lust for power and betrayal of friends. Macbeth, Thane of Glamis and a general of the army of Duncan, King of Scotland, has gained great renown after a victorious battle. Macbeth is inspired by some witches' prediction that he will become king. To satisfy both his wife's lust for power and his own, he murders the king in his sleep. The rightful heir flees to England, and Macbeth is proclaimed king. Shortly afterwards, Macbeth, becoming more paranoid, evil, and suffering from insomnia, orders the murder of various people who stand to compromise his position on the throne. Warned that he should fear the adversary, Macduff, Macbeth orders the murder of Macduff and his family. Since Macduff is away at that time, he survives and swears revenge. Eventually an army advances on Macbeth's castle; a battle ensues, culminating in Macduff's confrontation of Macbeth. The two fight, ending with Macduff beheading Macbeth.

In this play, the powerful man experiences a brief period of enhanced fortune, and does indeed see the harmful consequences of his actions, but does virtually nothing in the way of mending anything. By the end of the play, whatever humanity or dignity the great Macbeth once had is now all but gone. Unlike Oedipus, or other Shakespearean tragic figures such as Othello, it is difficult to feel much pity for Macbeth when he meets his end.

In considering the difference in the responses of these two kings, we see that Oedipus confronts his plight with the conscience of humanity, as though his actions are deserving of punishment. While Oedipus' actions throughout the play do appear to be morally defiant at times, he realizes this toward the end when viewing them within a different context and his responses to them imply that, at his core, he does possess an effective moral sense of being. In this respect, Oedipus retains a heroic aspect. Macbeth however, is aware of his moral defiance and transgression throughout the play. And while he experiences some internal conflict between maintaining his morality or becoming corrupt (which leads to a certain amount of suffering) he eventually falls into a misanthropic state of moral wickedness. This extreme pride, lust for power, and limited remorse, places Macbeth as one of literature's antiheroes who comes closest to being a bona fide villain.

Evaluation and Conclusion

We've now seen several cases of antiheroes as differing instances in three different categories: the lacking, the partially great, and the great but flawed. These antiheroes are distinct from each other in how they compare with the conventional hero

represented as both a great and noble character. Some come close in comparison, while others are far from being conventionally heroic and even appear villainous at times. While these antiheroes do not meet all the expectations of a conventional hero, they do often display some heroic attributes. These antiheroes provide us with differing perceptions of morality and a look at how humans address the issue of moral corruption around them or within themselves. Antiheroes also provide us with insight into various aspects of human nature such as how humans are likely to behave in social isolation and the measures humans take in dealing with the absurdities in the world around them.

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Lylice

a solo play
Written and performed by Jennifer Nails
Directed by Sasha Domnitz
Additional material by Sasha Domnitz and Julie Stainer

Performer: Jennifer Nails
Artistic Director of Peoples Improv Theater (New York, NY)

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Lylice

Abstract:
Lylice is a small scale, high-quality production which represents years of collaboration between New York City public school teacher Sasha Domnitz and award-winning actress Jennifer Nails. Together they have become instrumental in bringing the performance to Theaters, Festivals, Cabarets, Colleges, Secondary Schools and Educators' Conventions around the world.

Lylice Martin is not going to win any popularity contests in the sixth grade. She is too smart, too gifted, too Lylice. She struggles through the show to understand the world and find her place in it. Jennifer Nails portrays Lylice and six of her teachers. Through original songs and brilliant character work, you will be gingerly transported back to the world of the sixth grade and be glad you're not there anymore.

Jennifer Nails has been featured in over a dozen television commercials as well as on Conan O'Brien and Saturday Night Live. She has written for the Oxygen Network and continues to write, perform and teach solo performance in New York City, her home. She has served as Artistic Director of the Peoples Improv Theater for the past year. Nails has performed in festivals and schools all over the world including Amsterdam, Zimbabwe, Tokyo, Victoria, Canada and Edinburgh. She is currently working on a novel for young adults, based on her play Lylice.

Sasha Domnitz is a 2004 graduate of the Teaching Fellows program in New York City. With her Masters in Education, she now teaches fourth grade at P.S. 129 in Harlem. Before becoming an NYC public school teacher, she managed the Drama Bookshop in Manhattan and directed over 20 off-Broadway plays. She has traveled around the world and recently became fluent in Spanish.

Julie Stainer is published in *New Monologues for Mature Actors* and has written for Garrison Kellior's *Prarie Home Companion* for NPR. She lives in New York City and works for *The Onion*.

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Praise for Lylice

"Talk about healthy, healing laughter."
- Dan Gray, Science Teacher, Massachusetts

"I think of Lylice every time I work with adolescents and as I parent my own middle/high schoolers at home. [The show] has advanced my understanding in ways words alone could never do."
- Linda Addante, Center for Student Success, New Hampshire/Vermont

"Nails's grade-school satire is the best kind of comedy - based in the realities and frailties of human behavior. Explosively funny."
- Time Out New York Magazine

"Lylice is a great creation, very well defined and beautifully realised by Nails."
- The Scotsman (Edinburgh, Scotland)

"It's reminiscent of Gilda Radner's satirical spoofs on childhood."
- Victoria Times Colonist (Victoria, British Columbia)

Proceedings submission

1. Problems with the "one person, one language" approach for the study of simultaneous bilingualism
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6. Abstract below; please see the second file titled "T.Nash paper" for the full paper.

Problems with the "one person, one language" approach for the study of simultaneous bilingualism

Many studies of simultaneous bilingualism, or the development of two first languages, assume a "one person, one language" approach in which the parents each exclusively speak their differing native languages to the child. This strategy is also often offered as advice to parents who wish to raise their children bilingually. However, there does not appear to be any real evidence that such an approach is necessary, and it raises many questions with regard to the study of how language develops in simultaneous bilinguals. Among the many problems are (a) the assumption of a Western-style nuclear family, (b) the assumption that the child cannot distinguish between languages unless each is associated with a different person; (c) the question of the extent to which parents actually follow the strategy—this question applies to their speech input to the child, their comprehension of the child's speech, and their interactional strategies with the child, e.g., the extent to which they insist that the

child speak the “right” language; and (d) the assumption that language mixing should be avoided, especially in the child. This paper will examine these questions in the light of studies on simultaneous bilingual acquisition, and also provide evidence from a case study in which the parents did not follow the one person, one language principle yet the child still grew up successfully bilingual in Mandarin and English.

Problems with the "one person, one language" approach for the study of simultaneous bilingualism

Thomas Nash

Most people in the world are bilingual or multilingual, as are most societies. In many places it is common for bilingual speakers to use different languages with the same interlocutor, depending on various factors. However, in the study of simultaneous bilingual acquisition, there has been almost a tradition of assuming the "one person, one language" approach, in which each parent is a native speaker of a different language, and speaks only their native language to the child. Often referred to as a method, strategy, or principle, one person, one language apparently originated in the advice given by the French linguist Grammont to Jules Ronjat on how to raise his child bilingually (see Ronjat, 1913; cited by Grosjean, 1982, p. 173). It still often appears as advice to parents, but has also been adopted into research on simultaneous bilingual acquisition, without, I will argue, due consideration of its underlying assumptions. This paper will draw on published research on bilingual acquisition, with reference to an unpublished case study of the acquisition of Mandarin Chinese and English, to point out some of the serious problems involved in the uncritical application of one person, one language to the study of simultaneous bilingual acquisition. These problems include (a) the assumption of a Western-style nuclear family, (b) the assumption that the child cannot distinguish between languages unless each is associated with a different person, (c) the question of what it would really mean to follow this approach, given social conditions and personal characteristics of parents (and thus whether parents can actually do it), and (d) the assumption that language mixing should be avoided, especially in the child.

The family in the case study lives in Taipei, Taiwan. The mother is a native speaker of Minnan (Taiwanese Hokkien) and Mandarin, and a proficient second language speaker of

English. She works in marketing. The father is from California, a native speaker of English, and a proficient second language speaker of Mandarin (and not so proficient in Minnan). He teaches English language and linguistics-related courses at a university. Before the birth of their child, the mother and father had worked out a home style of both Mandarin and English, with frequent inter-utterance switching both by the same speaker and across turns by different speakers. Intra-utterance switching was also fairly common. The mother addressed the child, who we will call DN, in Mandarin, English, and occasionally Minnan. The father, unaware at the time of the one person, one language approach, decided to address him mostly in English, in order to provide as much English input as possible. There were no other interlocutors who interacted with the child in English on a frequent and regular basis. Both parents were observed to address DN in their non-native language, and to code-switch in input to him. This case fits the criteria for bilingual first language acquisition (simultaneous bilingual acquisition), as set out by De Houwer (1990, p. 3), in that DN was exposed to both Mandarin and English from birth, and was spoken to in both languages every day.

The study consists of a largely unstructured, participant observation by the father (the present writer). Diary notes on language-related developments were taken from 9 weeks after birth, and audio tape recordings were made roughly every two weeks from 1;8 to 6;0. At present the first year of taped data (1;8 to 2;7) have been transcribed and coded. Other details on the case study (hereafter referred to as the Taiwan study) will be added throughout the discussion that follows, as they become relevant.

The Assumption of a Western-style Nuclear Family

The one-person one-language approach, with its focus on the input from the parents, appears to assume a nuclear family. As Deuchar and Quay (2000, pp. 7-8) put it,

Particular attention to parental input to the exclusion of other sources of input to the

child does seem to be common in many discussions of child bilingualism. Such studies tend to assume a middle-class, Western-type nuclear family with two parents, whereas in fact many bilingual children are brought up in families ranging from the extended non-nuclear type to the Western single-parent type. This over-emphasis on parental input in 'standard' Western nuclear families is particularly clear in discussions of the type of bilingual family where each of the parents speaks a different native language to the child.

In Deuchar and Quay's own study, in England in a middle class family (the mother a university lecturer and the father a civil engineer), there were other regular and important sources of input, especially the monolingual English maternal grandmother and day care at the university, in English. In this study languages were separated by context, basically Spanish in the home and English outside the home.

In Pearson, Fernandez, and Oller (1995), a study of cross-linguistic synonyms in the lexicons of 27 Spanish-English bilingual children, we see a clear case in which many of the families involved in the study were not nuclear families, even though the study was carried out in the U.S. and all but two of the families were middle class. Many of the children were growing up in extended families, and in many there was a monolingual-Spanish grandmother or nanny. Clearly, the children's language exposure was not limited to parental input.

In Taiwan, where Mandarin is the national language, Minnan the most widely spoken variety, and there are also large numbers of Hakka speakers and speakers of aboriginal languages, it is still quite common to have three generations in the home, and when parents and (usually) paternal grandparents live in different locations, it is also very common for the child to be put in the grandparents' home for caretaking—often at a fairly great distance away. The parents may live in Taipei, for example, and the grandparents in Tainan, some 300 kilometers away. When they live close to each other, the child may be delivered to the

grandparents in the morning, and picked up in the evening after work. Another frequent arrangement is for the child to be left with a paid caretaker while the parents are at work. In each of these situations it is obvious that the parents are not the only important source of input to the child. A variety of language environments can result from these arrangements, for example Mandarin (or mostly Mandarin) input from the parents, and mainly Minnan from the grandparents (or another variety such as Hakka). In the Taiwan study, both parents worked and in the daytime the child was cared for by a neighbor woman (0;1 to 2;10), in whose home Mandarin was the primary language. In the caretaker's home DN was also addressed in Mandarin by her husband and two sons, five and six years older than DN. We see from just these few examples that bilingual children are frequently raised in family situations which do not fit the stereotypical Western nuclear family, and in which there are other important sources of input besides the parents.

The Assumption That the Child Cannot Distinguish Between Languages Unless Each Is Associated With a Different Person

The major assumption of the one person, one language approach is that the child will not be able to distinguish between languages unless each is associated with a different person. Do□pke (1992b, p. 55), citing many earlier sources, says that

> the importance of the parents' consistency in their language choice has generally been acknowledged . . . . Strict separation of the two languages allows the child to process both languages separately. This is believed to be a prerequisite for the acquisition of two independent language systems.

She argues that "the two main factors which create a necessity for the child to become bilingual are the parents' consistency in their language choice and their insistence that the child respects the 'one parent-one language principle'" (60).

The idea that speaker-language separation is necessary in order for the child to separate

the languages has not, however, been directly tested. De Houwer (1990) and Deuchar and Quay (2000, pp. 8-9) point out that there is little evidence to support it, and that there have been no studies actually comparing children raised with and without language separation by person. As far as we can tell, then, there is no type of input environment which is necessarily better or worse for simultaneous bilingual acquisition. One type of evidence that parental separation of languages is not necessary for successful bilingual acquisition is the existence of communities where children grow up bilingual without any strict separation of languages by person in the input. Gupta (2000) refers to the *cosmopolis*, "a city that has in it a multiplicity of ethnolinguistic groupings, such that there is no single dominant ethnolinguistic group, and in which the pattern of everyone's linguistic interaction is determined by the multiplicity" (pp. 107-108). Examples of such cities include Singapore, Malacca, Dar es Salaam, Jerusalem, Baghdad, Bombay, and Istanbul.

> In these communities, where most people are bilingual, rapid code-switching is the norm, and the socially correct use of code-switching is an important part of life. In the cosmopolis many or even most children grow up in linguistically complex situations where everyone speaks two or three languages, often simultaneously. Children separate the languages by the age of two (at the latest), just like children in linguistically more ordered places, because there are some settings where mixing is not correct. (p. 116)

Many researchers have pointed out that it may not be necessary for input to the child to be separated by person, because the child may have other means of distinguishing the languages. The most recent edition of a widely used introductory linguistics textbook maintains that "babies are attuned to various phonological properties of the input language such as prosody and phonotactics. This may provide a sufficient basis for the bilingual child to keep the two languages separate" (Fromkin, Rodman, & Hyams, 2003, p. 378).

Deuchar and Quay (2000, p. 114) speculate that "children may use phonological cues to differentiate between their two languages and we may suppose that at least some of these cues might survive in intrasentential code switching." Goodz (1994, pp. 63-64) argues that from birth infants hear each language as a different melody.

Research into precursors to language in infants strongly supports the claim that infants may use prosodic features to distinguish languages. Mehler et al. (1988) found that infants as young as four days old can distinguish utterances in their mother's native language from utterances in another language. They can do this even when the test utterances are heard through a low-pass filter, which "leaves the prosody intact while stripping away most of the distinctive phonetic information" (173), thus suggesting that the infants are using prosodic cues. Moon, Cooper, and Fifer (1993) showed that even two-day-old babies prefer to hear their native language rather than another language.

The experimental results of Aslin, Saffran, and Newport (1999) with an artificial language "provide compelling evidence that 8-month olds can group sequences of syllables based solely on their distributional properties" (372). In other words, infants have the ability to detect and use statistical patterns in the speech stream to segment it, and they become accustomed very early to the typical patterns of the languages they are exposed to.

Infant attention to prosodic features may also be reflected in their production from a relatively early age. At 12 months babies use a lower pitch when babbling in the presence of their fathers, and a higher pitch with their mothers (Crystal, 1987, p. 51).

Peters (1997) presents evidence directly relevant to the Taiwan case study, in which the child faced the task of distinguishing Mandarin and English. In Mandarin, syllable and morpheme boundaries coincide very closely, so for the child "the syllable would be a linguistically useful unit of attack" (154). While English is also an isolating language with relatively little inflectional morphology, the syllable and the morpheme do not match up

nearly so well, and this may be a difference that the child exploits to distinguish the languages.

There are other obvious prosodic and phonotactic differences between Mandarin and English which could make it relatively easy for the child to notice the two languages, including the reliance on tone in Mandarin versus stress and intonation in English, and the differing syllable structures in each language (e.g., initial and final consonant clusters in English and none in Mandarin). Reduplication as a relatively frequent and productive process in Mandarin, especially in child-directed speech, might also be a feature that would distinguish it from English for the child.

What Would It Really Mean to Follow This Approach, and Can Parents Actually Do It?

Can (or Do) Parents Actually Do It?

Studies which assume the one person, one language approach have generally relied on parental reports on their language use with their children, which as Genesee, Nicoladis, and Paradis (1995, p. 614) comment, are "notoriously inaccurate." In their study, parents claimed in interviews that they never used their non-dominant language with the child, but they did in the observations, even if at at low rates (625-626). In the literature we find many instances making it clear that parental input has to be actually observed. So far, there appears to be no direct evidence of parents sticking completely to their "own" language. There are, however, many studies which assume one person, one language but do not report on actual parental behavior (see, for instance, Koppe and Meisel, 1995; Redlinger and Park, 1980). In several studies claiming one person, one language, we also find evidence that parents and other interlocutors did not stick completely to one language while interacting with the child (e.g., De Houwer, 1990; Dopke 1992b; Dopke, 2000; Schlyter, 1990; van der Linden, 2000).

Goodz (1989), in a study involving four families of French-English bilinguals in

Canada, made a point of observing parental input and found that "all the parents spoke both languages to their children under some conditions. This was true even in parents describing themselves as firmly committed to maintaining a clear parent-by-language distinction" (p. 32). Paradis and Genesee (1996) also observed the English-speaking mothers and French-speaking fathers in their study in Montreal to occasionally speak to their children in the nonnative language and also to code switch intrasententially, though they claimed generally to follow the one person, one language approach.

What Would It Mean to Follow the One-Person, One Language Approach?

From the beginning, the concept of one person, one language has oversimplified what it must mean for a parent to use just one language to the child, assuming that if the parent always speaks just one language to the child that will equal separation of the languages by person. The approach generally neglects, however, to consider how parents may respond when the child directs utterances partly or completely in the other language to them. If their response indicates comprehension of the child's utterance, it will signal to the child that they actually do know the other language. If the parent translates the child utterance, or provides an adult model of pronunciation for a word in the other language, it will likewise signal their bilingual identity. If parents are supposed to feign lack of comprehension or to ignore utterances in the "wrong" language, it will at times surely interfere with communication in the family and with a parent's natural desire to encourage communication. As we have seen above, parents do not, or cannot, stick strictly to a one person, one language policy. Moreover, different types of interactional strategies with children lead to the establishment of varying degrees of a monolingual or bilingual context.

Goodz (1989, 1994), studying French-English bilingual children in Canada, found that the actual language behaviour of parents in bilingual families is not determined by a simple decision to present the languages in a prespecified way. In general, the data

> indicate little evidence to support a de facto parent/language separation, and although there was some variation among the participating families, all parents spoke both French and English to their children under some conditions. This was true even when parents described themselves as firmly committed to the idea of a parent/language separation. (1994, p. 70)

Her data show that parents switch languages in the course of typical child-directed speech such as repetition, recasting, and expansion, which parents use to acknowledge and encourage conversation and to achieve communication in whatever form. In making an expansion of the child's utterance, for instance, a parent may repeat a non-native word while supplying necessary forms omitted by the child. For example, the child says *camion* ('truck') and his English-speaking father says, "Camion! That's right, that's a camion. It's a big, blue camion!" (42). In this example, the father does not insist on English, but he accepts and confirms the child's attempt to communicate, much as monolingual parents do. Goodz found that parents also switched languages in other contexts which may be very salient to their children—to get their attention, for emphasis, and for discipline.

Similar examples abound in the data from the Taiwan study. In the following example, recorded when DN was 1;8, the father incorporates the child's utterance in Mandarin into a semantic correction, with no apparent attention to the choice of language:

Child: *zangzang* ('dirty'—reference to the appearance of a toy bear)

Father: no, no, it's not *zangzang*

It's his fur, that's his hair

The mother also is most interested in getting on with communication, with no response to DN's language choice or language mixing, as in the next example (from age 2;0):

Child: Mama Danny *yao* chopsticks ('wants')

Mother: you want fish?

Child: Danny *yao* chopsticks

Mother: huh?

You want chopsticks?

Lanza (1992, 1997) has shown how the context of language use is dynamic, in that parents' discourse strategies towards a child's mixing give different implicit signals as to whether the parent and child are in a more monolingual or a more bilingual context. In Lanza's study of a developing Norwegian-English bilingual girl, the mother tended to negotiate a monolingual context (often feigning the role of a monolingual), while the father usually negotiated a more bilingual context. Lanza identified five basic strategies the parents used in response to the daughter's language mixing, and placed the strategies on a monolingual to bilingual context continuum, according to "the degree to which they compel the child to use of one language in interaction or the degree to which they open up the opportunity for using both languages" (1997, p. 268). The mother used more strategies toward the monolingual end of the continuum, such as "Minimal Grasp" (a clarification request such as "I don't understand," "What?") and "Expressed Guess" (a reformulation of the child utterance in the other language), while the father tended to use more bilingual strategies like "Move on" (just continue the conversation, indicating comprehension of the mix) and "Code-Switching." The differing parental styles led to different behavior by the child, who engaged in much more lexical mixing with her father, who readily accepted code-switching.

These language socialization practices employed by individual parents within the family are linked by Grosjean (2001) to his concept of language mode, "the state of activation of the bilingual's languages and language processing mechanisms at a given point in time" (p. 3). There is a situational continuum of language modes from monolingual to bilingual. In a more monolingual mode, one language (the base language) is strongly

activated and the other is deactivated (though never completely). In a more bilingual mode, the base language is still strongly activated, but the other language is also highly active, though not as highly as the base. Factors in the context such as participants and participant characteristics, situation, type of message, and language function will influence the language mode position of a bilingual speaker at any time. The different interactional strategies used by the parents in Lanza's study, then, served to move the child towards a monolingual language mode when she was alone with her mother, and much more towards a bilingual mode when with her father (Grosjean, 2001, p. 12).

Since we have seen that it seems to be quite difficult, if not impossible, for parents to consistently use just one language with their child, it seems reasonable to assume that in all families parents will be inducing different language modes in their child at different times, and that these variations will influence the child's language production, including the amount of code-switching and mixed utterances. For this reason, it is important for research on simultaneous bilingual acquisition to pay attention to parental input and parental approaches to the language socialization of their children. It seems counterproductive to begin by assuming that parents strictly adhere to the one person, one language approach, or to attempt to control the observation conditions such that they resemble a one person, one language approach, unless, of course, there is a specific research question calling for such a situation, such as a question regarding how a bilingual operates in just one language. However, Grosjean points out the error of hiding the experimenter's or interviewer's bilingualism:

> This is a very dangerous strategy as subtle cues such as facial expression and body language can give away the interlocutor's comprehension of the other language. In addition, it will not prevent occasional slip-ups such as responding in the 'wrong' language or showing in one's response that what has been said in that language has been understood. (2001, p.16)

He recommends, instead, a truly monolingual interviewer, a monolingual situation, and no other people present who know the other language. We might add here that if the research is concerned with types and amounts of language mixing, a methodology which attempts to control the language of the input and make the child believe the interlocutors are all monolinguals is bound to influence the relevant data because young children are known to figure out the social rules for language choice quite early—to match their language as much as possible to the interlocutor—so they may, for instance, abandon attempts to express certain notions when they find no forms for them in the 'right' language. In a more bilingual situation they could more freely attempt to use forms they know in the other language. At the same time, if the child picks up subtle cues that the interlocutor is actually bilingual, they may still attempt to avoid language mixing as they observe that the interlocutor is doing just that. However, their noticing of the interviewer's bilingualism will position them differently on Grosjean's language mode continuum, and the processing and form of their linguistic output will be affected.

When parental discourse strategies are directly observed, we find evidence that parents do indeed vary their strategies in ways which will induce different language modes in their children. Deuchar and Quay (2000, p.105) show that the father in their study sometimes (a) translated words, (b) pretended not to understand, (c) or just accepted English words and got on with the conversation. (a) and (c) would help create a bilingual context and bilingual language mode, while (b) would tend to create a monolingual context and language mode. The father also sometimes repeated or imitated the child's English utterance before continuing in Spanish, or used "expressed guess," e.g., *zapato?* in response to the child's *shoe* (which like (b) would create more of a monolingual context). Both parents also created bilingual contexts by translating the child's words into the other language (104-105). While in this study languages were separated by context (basically, Spanish in the home and

English outside the home) rather than person, these examples demonstrate that the parents did not consistently make this separation.

Both the mother and grandmother in this study used the "Move on" strategy, just continuing the conversation in response to the child's use of the other language. Moreover, the monolingual grandmother sometimes used the "move on" strategy even when she did not seem to understand the child's utterances in Spanish, so that what looks, in Lanza's terms, like a bilingual strategy, may actually be a "strategy to avoid communication breakdown, a goal often sought after in conversation between an adult and a child, whether bilingual or monolingual" (Deuchar and Quay, 2000, p. 105). In Lanza's study the same strategy was found to be used by the monolingual English-speaking grandmother of one of the children (1997, p. 258). Such a strategy may also help position the child in more of a bilingual language mode, so paradoxically, it seems that a monolingual adult interlocutor can also create a bilingual context for the child. The grandmother's discourse strategies may have had an effect on the child's production, too:

> The tendency of the grandmother in our study to be less insistent on a monolingual conversation than is at times the father may help account for the overall greater tendency for Spanish words to be produced by the child in an English context than for English words to be produced in a Spanish context. (Deuchar and Quay 2000, p. 106)

Again, we see the importance of knowing how important people in the child's life actually negotiate discourse with her. The grandmother, monolingual in English, is surely sticking to her own language, but she does not insist that the child use only English, and her responses to the child's use of Spanish indicate an acceptance of that use.

The importance of observing how people really talk to the child is borne out in De Houwer's (1990) work as well. The child is shown to use English regularly with the researcher and her father, along with Dutch, but she does not use Dutch with her mother.

De Houwer hypothesizes that since the researcher and father use both languages in her hearing, the child has classified them as bilingual, while she has not classified her mother that way because her mother's Dutch is not fluent and she is not heard to use it often. This means the child's own observations of what language these people usually use with her and her knowledge of their language abilities influences how she speaks to each one (pp. 98-99).

Social Dominance of One Language and Parental Interactional Styles

Grosjean (1982, p. 175) notes that when one of the languages in a family purportedly following the one person, one language strategy is the majority language of the wider society, that language may become dominant when the child goes to school. Actually, no matter what the parents do, the language of school and of playmates who speak the language of school will have great influence on the child. In this context we find advice from strong proponents of one person, one language, such as Ruuskanen (n.d.), to refuse to reply unless children speak the parent's "own" language, and to continue to speak only their "own" language to their children; otherwise, the children will lose that language.

One might wonder how natural it is for parents to always insist on their 'own' language, when they are bilingual themselves. Are not all languages they speak at least to some extent their own? Remember also how the evidence seems to indicate that parents have difficulty to sticking to their 'own' language. A contrasting view is offered by Gupta (n.d.), who advises that if both parents speak the minority language, it might be best for them both to speak that language to their children, because they are bound to learn the majority language outside the home. If they live in a bilingual community, "then they should behave naturally, switching languages and mixing them as they normally do."

For an example of a family in which the parents chose speak only the minority language at home (Japanese in Canada), with the mother then speaking to the children in English after they begin school, and the father continuing to speak Japanese, see Kouritzin (2000).

Kouritzin links the change at school entry to "identifying one language with each parent" (312), but one wonders how this would work when the children have already experienced both parents speaking Japanese for a number of years.

According to Grosjean, "what is essential is the maintenance of the 'weaker' (often the minority) language and hence in the development of bilingualism is that the child feels the *need* to use two languages in everyday life" (1982, p. 175). An important question, then, is how the child may come to feel such a need. Will it develop because the parent feigns the role of a monolingual and refuses all communication with the child in the other language?

An alternative possibility for developing a need for the child to use the languages may lie in the degree of intimacy that becomes associated with the minority language. Grosjean (1982, p. 202) notes how intimacy can be a factor in language choice. Goodz (1994, p. 69) suggests that differences in the development of each language could be related to differences in the input of each parent—in prosody, speech rate, use of emphasis and repetition, ability to understand the child, sensitivity to the child's linguistic development. Such differences could also be related to the intimacy that develops between the child and each parent. Do□pke (1992b, p. 191) observed in her study that fathers were more likely to play with the child than were mothers, their play was more physical, and they produced more child-centered linguistic input. Play and play-related input perhaps may help develop the child's felt need for the language. Do□pke concludes that

> the relationship between type of activity and parental input which is tailored to the needs of the language learning child suggests that parents who speak a minority language to their children should try and engage in playful activities with their children as much as possible and, if possible, more than does the parent who speaks the majority language. (198-199)

While one might hope that both parents will develop significant degrees of intimacy with the

child, play-related intimacy stands out as a possible contributing factor to the maintenance of the minority language in the Taiwan study, where the quantity of Mandarin input was very much larger than the amount of input in English. In this family the father (described by the neighbor caretaker as "another big kid") spent a great deal of time playing with DN, as well as cooking and caring for him, as the mother had to work later most evenings. His play was often physical, too, as in wrestling. This does not, of course, imply that the mother did not develop an intimate relationship with DN, only the possibility that he may have developed a special sort of need for English as the language of roughhousing and rambunctiousness in his family, and perhaps as the language of intimacy with his father.

The Assumption That Language Mixing Should Be Avoided

Here we will treat language mixing as a cover term for any case in which two or more languages are used within the same utterance or conversational turn, and for when languages change across turns by different speakers, for instance, the child makes an utterance in English and the mother replies in Mandarin.

Several observers note that proponents of the one person, one-language approach often claim that parental failure to separate the languages will lead to more language mixing by the child (see , e.g., Deuchar& Quay, 2000, p. 8; Goodz ,1994, p. 70; Grosjean, 1982, p. 188), with the implication that mixing is a sign of confusion in the separation of the languages for the child. However, the evidence supporting this claim is not at all clear (see Genesee, Nicoladis, & Paradis 1995; Nicoladis & Genesee 1998). In this context we should also remember the experiences of children growing up bilingual in Gupta's (2000) *cosmopolis*, where code-switching is the norm rather than the exception. Moreover, as Deuchar and Quay (2000) remind us, "to eschew mixing in either children or adults is to take a prescriptive viewpoint, whereas we are interested in describing what actually happens in bilingual acquisition" (8-9).

Do□pke (1992a) suggests that patterns of mixing by the child probably result from acquisition and production strategies typical in first language acquisition, such as overextension and underextension of vocabulary items, acquisition of more salient forms and functions before less salient ones, acquisition of less complex forms before more complex ones, and use of already known forms to express new functions. "In the context of bilingual input, mixed output appears to be a natural result of these strategies" (468). If this is so, attempts to prevent mixing in child production would seem to be unnecessary and bound to fail, anyway. Here we may recall that the parents studied by Goodz (1989, 1994) also employed discourse strategies common to first language acquisition, also resulting naturally in parental mixing. It appears that children and parents communicating in a bilingual situation are likely to produce mixed utterances simply because of acquisition, production, and discourse strategies frequently observed in first language acquisition contexts, plus the use in the environment of more than one language.

Lanza (2000) makes the point that mixed utterances may serve as a resource, rather than a reflection of confusion in separating the languages. In her 1997 study the mean length of utterance (MLU) values for mixed utterances were higher in every sample than the MLU for both Norwegian and English utterances, suggesting that the child used mixed utterances to "push the limits of her grammatical competence" (2000, p. 238). MLU values for mixed utterances also exceed those for both Mandarin and English in all samples in the Taiwan study data on which preliminary analysis is complete (1;8 to 2;7), whether measured in morphemes or words, for all utterances or for multi-morphemic utterances only. From the point of view of communication with other bilinguals, mixed utterances would appear to be of great value to the child.

Conclusion

In this review of issues surrounding the one person, one language approach, we have

seen that it is quite common for children to be raised bilingually in family contexts other than the nuclear family, contrary to the assumption of the approach. We have also found that many children grow up in bilingual communities where language is not separated by person, and also that children may be able to draw on prosodic and phonotactic differences between languages in order to distinguish them in their minds, making the separation of languages by person in the family unnecessary. It has been shown that when parental behavior is observed, few if any parents actually maintain a strict separation between the languages used in the family. The intricacies of communicating with a young child in the presence of input in more than one language would seem to preclude such strict separation. Parents want above all to communicate with their children, without undue attention to the form of the communication. The ways in which parents respond to a child's use of mixed utterances or the 'other' language may also serve to position the child in a more bilingual or a more monolingual language mode, making it likely that the same parent will create different sorts of language contexts at different times as they employ varying strategies in response to the communicative efforts of their child. The one person, one language approach does not appear to solve on its own the problems that occur when the child reaches school age and receives a much larger quantity of input in the socially dominant language. Parents may try other approaches, such as developing a special intimacy between the child and the parent who speaks the minority language, for instance through roughhouse play. The assumption of the one person, one language approach that language mixing is a sign of confusion in distinguishing the languages has also been challenged, given that mixing appears to be a natural result of the strategies that all children, bilingual or monolingual, use to acquire and produce language. The evidence that mixed utterances tend to be somewhat more complex in terms of MLU indicates that they may be a way for children to say more than they can say with either language alone.

To sum up, the one person, one language approach appears to be mistaken in its assumptions, and so should not be taken as the basis for research on simultaneous bilingual acquisition, which needs to directly observe the actual input to the child, from parents and from others who interact regularly with the child. If the research calls for experimentation with bilingual children in monolingual contexts, care should be taken to create genuine monolingual contexts.

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a.**Title of the submission** - The Melting Pot of Milk: Nepali Migrants in Northeast India

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The Melting Pot of Milk: Nepali Migrants in Northeast India

Lopita Nath

Introduction:

"The attraction in Assam[1] for the Nepalis are buffalo grazing and timber work, and when so many Nepalis are visiting Assam for these purposes, it is most unlikely that the recruitment of 300 for the Assam Rifles is going to make any difference one way or another" noted A.W.Botham, Chief Secretary,for the Governor Sir William Marris[2].In another note it has been mentioned that "It is rather farfetched to suggest that the prospect of employment in the Assam Rifles has anything to do with the advent of the Gurkhas into Assam for either temporary settlement , in search of work or to make their homes in the province. The majority of those, who come here seeking employment come primarily to work as Gwalas, others are imported by sawing contractors. Both these avocations seem more alluring to the immigrants than service under discipline in the Assam Rifles…"[3] These remarks of the British officers in the early 20th century are eloquent testimony to a very important aspect of Nepali migration to Northeast India, long believed to have migrated primarily for service in the Gurkha army and later the Assam rifles. The process of migration from Nepal to India, Northeast India, Sikkim, as well as Mandalay, etc., which began in 1820's with the recruitment of the Gurkhas for the colonial army, continued with later migrants gravitating as unskilled, semi skilled labourers and graziers and dairy farmers. The British who wanted a hardy labour for their tea plantations facilitated migration to Darjeeling, while in Sikkim the Nepalis served as a wedge to contain the Bhutias of Sikkim and Bhutan and the tribes of the eastern frontiers. The Nepalis fitted admirably and became critical factors in the tremendous expansion of both Darjeeling and Sikkim economies from the mid-19th to the mid-20th centuries. Besides, labour and security factors the Nepalis also engaged in grazing and dairy farming in the hills of Darjeeling and Sikkim. In Northeast India, besides army service and labour, the Nepalis were employed as diary herders and encouraged to colonize new lands. Dairy farming soon became a primary occupation for the economic survival and sustenance of the Nepali migrants in the region. In the postcolonial period, all migrants, even the large groups of temporary migrants often fall back on dairying to augment their income from other sources. Dairyfarming has become a support mechanism for the

numerous Nepali migrants who come in search of some form of employment to the region. This places the Nepali dairy farmer in the vortex of the study of Nepali migration to the region, as no migrant can escape this inevitability of being labeled as a *gwala* or becoming involved in the business at some point of their lives. The purpose of this paper is to study the Nepali dairy farmers as an element of the Nepali labour Migration and try and integrate them into the larger study of migration of people in SouthAsia.

This paper attempts to look at dairy farming as an important force in the economic as well as the social survival of the Nepalis in Northeast India. It aims to focus on dairy-farming as a 'melting pot' for all religious and cultural categories of Nepalis who migrated to Northeast India in search of a living. Practically all sections of Nepalis at some point of their life or other have gravitated towards dairy-farming, making it their primary source of sustenance in the region. From this basic point emerge other questions that this study seeks to answer. Why was dairy-farming and grazing so important in Northeast India that it ensured the survival of large groups of Nepali migrants? What are the circumstances that enabled a large section of the Nepali migrants to make the shift from their intended occupations to dairy-farming at some point of their life? And finally the paper analyses the question of identity of the Nepalis in the region. With what justification can a whole lot of migrants be uncritically labeled as *gwala/dudhwala*? What is their primary identity: Nepal Nepali, Indian Nepali, or *gwala/dudhwala*? And to what extent do these external labels impinge on the self-identity of the Nepalis in Northeast India? Through the window of dairy-farming the paper examines the larger issues pertaining to the rights, presence, and socio-economic predicament of the Nepali migrants in Northeast India.

Nepalis: Social and cultural categories:

The word Nepali primarily used to denote those belonging to the country Nepal is a cross-ethnic, cross-caste linguistic denomination and includes all ethnic groups and caste hierarchies, including Bahuns and Chettris. The Nepali migrants actually belong to a large number of groups having their own language, culture, and religion in most cases.

Nepal's demographic composition has long been the result of cross border movements of people, north to south from Mongolia, Tibet and Sikkim, and south to north from the western states of India. The north to south migration, which began as early as the 7th century continued in almost three waves-11th to the18th centuries, bringing in the Mongoloid groups such as the Kirats (Rais and Limbus) and groups of Newars from the eastern and central parts of Mongolia, Gurungs, Magars and Tamangs from Tibet, and the Sherpas, Dolpo-pas, and Lepchas from Tibet and Sikkim. During the same time (11th-13th centuries) there occurred the south to north flow of Indo-Aryan groups bringing in the high caste Brahmins and Rajputs, said to have been fleeing the religious tyranny of the Muslim rulers in India. Nepal for many years remained a country of diverse peoples, race and cultures. An observation made by a social scientist many years ago gives a correct picture of Nepal, "No one knows exactly how many languages and dialects are spoken in Nepal, certainly several dozen. As well as the Gurkhas…there are Newari…the Gurung, the Magar, the Rai, the Limbu, the Bhutia, the Kiranti, the Murmi and many others, divided and subdivided into castes and sub castes and grouping(s) so numerous that the ethnographical study of Nepal, despite the many researches undertaken, is still one of the most complex in the world."[4]. This diversity has led to various classifications and categorizations of the Nepali people as shown in the tables below.

Table 1**:Socio- cultural fabric of the Nepalis** [5]

History	Caste	Race	Language	Religion	Number
Emigrants					
Bahun					
Thakuri	High				
Chetri					
		Caucasoid	Indo-Aryan	Hindu	20% Approx
Kami					
Sarki	Low				
Damal					
Immigrants					
Newar				Hindu/Buddhist	
Tamang					
Sherpa				Buddhist	
Yolmu					
	Middle	Mongoloid	Tibeto-Burmese		80%
Limbu					
Rai					
Yakha					
Mangar				Tribal/Animist	
Gurung					

Table:2 **Hagens (1961) classification of the people of Nepal.**

Tibeto Nepalese Races			Indo Nepalese Races	
Tibetan Group	Ancient Nepalese group		Indian Group	Nepalese group
Bhotiyas	Newars	Rais	Indians	Brahmins Kshatriyas
Sherpas	Tamangs Gurungs	Limbus Buras	Garhwals	Khas
Thakalis	Magars Sunwars	Rukhas Tharus	Kumaons	Chettris Thakurs

Source: Toni Hagen, 1961, Nepal, p. 61,[6]

Hagen's classification of the Nepali people into two races based on physical features is not very acceptable to scholars now. There has been a shift from physical traits to religion, culture and languages spoken in the recent classifications of people. Subba's classification more or less corresponds to the accepted mode of social and cultural categories of the Nepali people. Broadly, the Nepalis are divided into two racial groups-the Caucasoid and the Mongoloid. The Caucasoids largely consisted of emigrants from India and whom Subba calls "return migrants'. Bista grouped these as Indo-Aryan races[7]. These groups speak the Indo Aryan Nepali languages. The Mongoloids, classified by Hagen as Tibeto-Nepalese and by Bista as Tibeto-Burman speak the Tibeto-Burman languages. Some of these languages like the Newari and the Limbu have their own script and distinct grammatical systems.[8] Today within and outside Nepal, the Nepali language is the most commonly used, although the simultaneous uses of some of the languages are still seen in a few pockets.

Religiously, Nepal is known the world over as having a predominantly Hindu population. This misconception might have evolved out of the difficulty of defining the Hindu religion and probably seeing tribal/animist faiths as pre-Hindu or Buddhism as modifications of Hinduism. It is only the Indo-Aryans who practiced Hinduism with all its trappings. The Mongoloids-the Tamangs, Sherpas, Yolmus,and a section of the Newars called Buddhamargi Newars are Buddhists, while the Rai,Limbu,Yakha,Mangar, Gurung, etc. may be called tribal/animists. The animists had their own priests and systems of worship, passed on from generation to generation, orally by specialists, 'who

became so not by learning or by birth but by the will of some supernatural beings'[9]. Buddhism in Nepal has a common origin as in India, with the birth of Buddha in the Lumbini Gardens in 567 B.C. Nepal thus had diverse religions and religious groups, but in the present days mobility within the groups have been observed. Adhikari, states the example of the Thakalis, business people who were Buddhists, but when they started moving out for business purposes to Hindu dominated areas they changed their religion to Hinduism. On the other hand the Gurungs, Mangars, Rais , Limbu and Tamang who were animists, but incorporated Hindu tenets into their ritual activities, have been seen to be going back to their traditional religions after the restoration of democracy to declare themselves minority ethnic groups[10].

The migration of the Indo-Aryans and Hinduism also brought with it the concept of caste system and the hierarchical divisions of the society, which was non-existent among the Tibeto-Burman linguistic groups. These castes also contain within it various subcastes. For instance, among the Bahuns who are at the top of the caste ladder, are the Upadhyays and Jaisis. The former ranks higher than the latter and only they can perform priestly functions. The Chettris and the Thakuris correspond to the Kshatriyas and the Vaishyas of the Hindu *varna* system. The low castes are the occupational castes and correspond to the Sudras. The mongoloid groups are outside the Hindu caste hierarchy with an egalitarian social structure, but in common practice these ethnic groups are also taken as caste groups and placed in the middle order. Some features of the traditional divisions of work according to caste rules are also seen in Nepal, although they have been relaxed in the present times. For example, most of the Brahmin and Chettris are engaged in farming and animal husbandry and also form a majority of those employed in the administrative and government services. Again a majority of the occupational caste groups still carry out their traditional works like *sarki* (cobbler), *Kami*(blacksmiths), *damai*(tailor), or *sunar*(goldsmiths). These groups occupy a low social as well as economic position[11]. In Nepal, as in India, the caste is decided by birth, is rigid and unless outcasted, remain intact. However, memberships of ethnic groups change depending on socio-political and economic circumstances.

Causes Of Migration:

Migration from Nepal to various parts of South Asia, particularly to India and Northeast India is one of the most common movements of people that have followed the trends in historical development at various periods of time. While the historical trend of migration had been from south to north, at the turn of the 19th century it became from north to south and west to east, to India (Northeast India, Sikkim, Darjeeling), Myanmar, Mandalay, Malay, etc. Nepali migration to Northeast India (which shall be the focus of this paper), with serious socio-political ramifications began only in the colonial context, following the Treaty of Sagauli –1816, and the recruitment of the Gurkhas for the colonial army operations in the eastern annex of the British frontier.

The migration of the Nepalis to Northeast India particularly, has baffled social scientists and modern days theorists who have attempted to explain migrations throughout the world. A clear, single all encompassing theory is yet to arrive, to explain the Nepali migration in its totality. The reasons are not far to find. Firstly, the Nepali migration has spanned a period of about two hundred years, which makes it too long a period to be explained by any single theory. Secondly, the conditions and circumstances that have propelled or aided the migration of these people have changed over the years and the same theories do not explain the process throughout these years. By far the most popular theories that have been used are that of the 'Push and pull'. These become too simplistic in explaining a migration of people over the last two hundred years. Further, neither the `push' nor the 'pull' factors have been static enough to provide one single explanation. Migrants and societies, both at the sending and receiving side were neither homogenous nor their perspectives static. It is only the migrants themselves, who decide whether to move or remain, which explains why despite the `Push and Pull factors', some migrate and others do not. The central notion of the `Push and Pull', which leads itself to many of the theories, becomes too narrow a paradigm, in that it treats the migrants as mere objects to be pushed and pulled. It does not take the study of Nepali migration much further. The only dimension of migration that the push and pull framework have aimed at explaining is why people move. But investigating the causes only do not provide a useful and

interesting line of enquiry. It is time now to switch the bulk of theoretical attention away from causes and into other dimensions of migration.

Yet, one cannot ignore the conditions in Nepal in the 18th century, which pushed the Nepalis to seek sustenance and survival out of Nepal. The establishment of a unitary Nepali State under Prithvi Narayan Shah heralded a change in the state, land and labour relations as well as among the various landowning classes. Ludwig Stiller, in his '*Silent Cry*' had observed that the increasing expansion and consolidation of Nepal had been achieved "without weighing the cost in terms of human suffering for one's own people"[12]. The grim poverty of the people accentuated by building economic pressures and oppressive land and labour policies and the resultant obnoxious rural indebtedness and loss of land threatened the very survival of the low-income groups[13]. Another account, the Volume 64 of Regmi Research Collections published from Kathmandu, makes reference to the reasons for the departure of the Nepalis for foreign lands, soon after the establishment of the unitary Nepali state in the 18th Century. An order by Prime Minister Jang Bahadur Rana to Colonel Krishnadhwaj Kunwar in 1850, June, regarding `emigration from the Eastern Hill region' says `We have received reports that you are leaving your *Kipat* (communally owned) lands and going abroad because of the pressure of money lenders and the oppression of amalis (court officials) revenue collectors and government officials…". This document adds to large volume of anecdotal information that supports the view that to a large extent it was direct and indirect pressures of state taxation, which led to initial out-migration soon after the establishment of the unitary Nepali State[14].

Castles in his essay on migration has dwelt on the Neo-classical economies of migration, which focuses on individual expectations of higher wages and better economic opportunities in destination areas compared with the place of origin[15]. "The new 'economics of migration' approach puts more weight on collective elements in migration decision-making: migration is part of a family and community survival strategies, and is shaped by long-term considerations of security and sustainability, as well as by the role of remittances and investment opportunities[16]. This explains to a certain extent as to why

the Nepalis had to migrate. The sudden and exorbitant demands for revenue[17], state ownership of all communal lands and imposition of rent or *raikar*[18] and the resort to *Corvee/Jhara*[19] to fill their labour requirements, victimized the poor peasantry and downgraded their economic position[20]. Further, the policy of the Gorkhali state making land grants -*Birta* and *Jagir*[21] to the high castes depriving the Gurungs and Magars (the ethnic groups) led to the emergence of a high caste landlord class who employed the ethnic groups to cultivate their lands mostly in the Terai. The landholders appropriated higher rents and larger shares of production, causing a disparity in access to resources and overall depletion of the land and forest resources which in turn encouraged the Gurungs and the Magars to seek opportunities elsewhere. But under the Ranas (1846-1951), the position of these landlords also became insecure as they held lands at the discretion of the central government, which could renew or confiscate the grants at will. At the same time, the passage of the *legal code in 1854*, inaugurated caste based system, whereby the members of the occupational castes (the untouchables), who were also artisans were denied access to education and government service, ignoring their artisan skills. This system forced these people into the lower classes, not only in terms of social prestige, but also in terms of economic position. In addition, the excessive burden of tax or Corvee obligations imposed by the government pushed many materially and culturally rich ethnic groups into a precarious position[22]. Migration out of Nepal was more of a survival strategy in the initial stages. They moved in search of better living conditions.

After 1950s, Terai became the main destination for many hill migrants. In the 1960s and 1970s, the eradication of malaria from the Nepal Terai and official encouragement for highlanders to colonise these jungled plains also provided an outlet for migratory pressure. Besides, after the 1950's, the planned resettlement programs were initiated, to distribute land to people in an organized and equitable way, in various parts of Terai. This and the easiness to clear the forests made the streams of migration wider, longer and more frequent than in the past. A great number of landless peasants of hilly region began to come to the Terai and settle there cultivating the lands distributed by the government. Another great number of people began to purchase land and settle there. Some began to come and live there by deforesting the forests. Thus, despite planned programs of the

government, there was a growth of squatter and illegal settlements and as a result the possibility of expanding cultivated land in the Terai region was almost exhausted by the early 1970s. The population pressure reached such a peak within a short time that the population growth rate of the Terai region was 4.20 percent per annum during 1971 – 81 compared with 1.67 percent in the hills and 1.35 percent in the high mountains. This movement within Nepal, from the Hills to the plains was but a preliminary to a larger migration out of Nepal. The continued deforestation created an ecological crisis in Terai. Further, after 1991, the government undertook a policy of forest conservation. The 1991 census, however reported the population growth per annum during 1981 – 1991 to be 2.76 percent for the Terai, 1.62% for the hills and 1.04% for the high mountains. This indicates a significant decline in permanent migration from the hills to the Terai (CBS, 1994)[23]. The Terai forests got used up, but there was the continuing need for the peasantry to find means for sustenance and survival. The result was an out migration across the borders to India and Northeast India in search of better opportunities.

Theorists tend to see income differences between poor and rich countries as sufficient reason to make a rational choice to migrate. But while discussing India and Nepal, one has to be clear that both were on the same side of the scale, the poorer side, than on opposite sides.19th century however opened Assam to capitalist exploitation, making the period from 1826 – 1873 a period of transition for Assam's pre-capitalist economy into its colonial phase[24]. This made Assam/Northeast India a land of opportunities with income and investment opportunities opening up for the taking, putting her on a better position on the scale than Nepal. All the inputs of production for the expanding modern economy, except land, were brought in from outside the province; capital and enterprise from the metropolis and labour from the other provinces. Migrants as soldiers, labourers, agriculturists, graziers, petty traders and also English educated job-aspirants were actively encouraged by the colonialists to take advantage of the new opportunities and enterprises, that imperialism opened up on the eastern frontier. While most of the non-indigenous population was from nearby Bengal, there was also a smattering of Marwaris, Biharis and Nepalis.

"Historical-institutional approaches emphasize the role of large-scale institutions, particularly corporations and states, in initiating and shaping migratory flows. Mass recruitment of labor by capital and labor market authorities was a key factor in bringing about migration to Western Europe after 1945."[25] This approach however, can be used to explain the migration from Nepal, beginning in the 19th century, and continuing upto the present times. The first formal recruitment of the Nepalis was for the Gurkha army, later known as the Assam Rifles. The Gurkhas first took part in the Sylhet operations as a part of the Cuttack Legion, later known as the Assam Light Infantry and following the Anglo-Burmese war of 1824 – 26, they came to replace the Manipuris in the Company's forces in Northeast India. And within a period of six years (1833 – 1839) nearly one-third of the battalions in the Assam Light Infantry came to be composed of Gurkhas. Beginning 1835 the `Cachar Levy', which eventually grew into the `Assam Rifles' liberally enlisted the Gurkhas. "The Gurkhas were useful for any odd and sundry jobs, as well as specialized jobs assigned to them. Though quick tempered and keen to resent an injustice, they are remarkably willing and loyal, if treated with consideration… Though small in stature, these Nepalese have big hearts… Naturally vigorous, excitable and aggressive, they are very law abiding…" these comments recorded by L.S.S. O'Malley, editor of the Bengal District Gazetteers, aptly described the Nepali migrant in the Northeastern frontier[26]. From this emerged the faith in the Nepali as a good labourer. The various expeditions of the colonial government against the `wild tribes' of the Northeast, large scale lumbering and clearing of forestlands for settlement, agriculture and plantation required hardy as well as pliant labourers. The Nepali migrants unlettered and unexposed perfectly fitted this need and they were attracted in large numbers to the forests, road construction sites, mines, fields, plantations and so on. In the later part of the nineteenth century and early twentieth century, the Nepalis worked as labourers in the tea gardens throughout the province and in the oil refineries at Margherita and Digboi and in the coal mines and saw mills in Upper Assam and Meghalaya[27]. The fact also remains that the local people were neither hardy nor pliant enough as the Nepali labourers nor were they ready to take advantage of the opportunities created by the British enterprise in the region. The colonial government soon came to rely on these hardy labourers willing to do anything for a living

for any small dispensations and actively encouraged the Nepali migration to the region even with pecuniary benefits.

The state encouragement to Nepali migration continued even in the postcolonial period. This was provided by the industrialisation and the development of roads (particularly after the Chinese Aggression of 1962 in NEFA and Assam) and other public infrastructure, which threw up a great demand for unskilled labour. Among other things, the growth of an Indian middle class through the 1950s and 1960s created household jobs like darbans (gate keepers) and kitchen help, which were provided by the Nepalis. Higher income levels[28] and better educational facilities also encouraged exodus to Northeast India. Most of these later migrants also ended up making their home in the region, though most of them maintained links with their families back home. The formal manifestation of the colonial migration in the postcolonial period was found in the 1950 Indo Nepal Treaty of Peace and friendship. Article 7 of the Indo-Nepal Treaty of 1950, ensured equal rights and privileges in terms of residence, ownership of property, employment, occupation and movement on a reciprocal basis for both nationals of India and Nepal in both the countries. The non-requirement of a visa or passport for entry into both country and the understanding that there were no legal preventive steps in controlling migration facilitated the movement into the Northeastern corner of India.

In the post-colonial period, changes in the volume and nature of labour demand, admission policies, increase in undocumented flows and clandestine traffic, emergence of transnational spaces and communities all have ushered in a new era in the ways of thinking about migration. A better understanding of contemporary realities is provided by the Dual Labour Market Theory of Michael Priori (1979)[29], which is built on the premise that there is a permanent demand for foreign labour in the advanced economies. This is explained by the fact that native workers shun the low paid, unstable, unskilled jobs, which are in turn accepted by the foreign workers from low income countries, because low wages are usually high if compared with standards back home and because the status and prestige that matters to them are the ones they have at home, to which they will return. In Nepal since caste and social restrictions always stood in the way of those

willing to labour for wages, migration out of Nepal allowed them this privilege of working in whatever job there was a remittance. The intrinsic merit of the theory lies in the explanation that an important factor for the occurrence of international migration is the structural demand for foreign labour and dispels the idea that immigrant workers compete with native ones and affect the latter's level of wages and employment prospects. It however, excludes the `push' factors inferring that all international migration is demand driven. The Dual Labour Market Theory explains a part of the reality surrounding Nepali migration. Yes, there was a steady demand for immigrant labour in Assam/Northeast India with the economic transformations that followed colonial rule in the region. In the urban centers of the region, where caste-bound professional specialist artisans were non-existent, the Nepalis have been able to fill the role of intermediary semi-skilled professionals between the unskilled local and highly sophisticated professionals from other parts of India. The types of work, in which they were engaged, were new to the region. Thus, there was little competition from the local indigenous communities and they rarely come into conflict with the local community[30]. The post-colonial Nepali migrant was of significance to the local economy because of their availability for any type of chore. With the expansion of construction works, commercialization, advent of modest industrialization and extension of transport and communication, there was an increasing demand for the semi-skilled brawn. The versatility of the Nepali besides an agricultural labourer, grazier or pastoralist, as a porter, watchman, gardener, driver, mechanic, plumber, cleaner, pony cart driver, bus conductors etc. made them easily available to any private or corporate agency for any sundry work on a modest payment. Unlike their pastoralist and soldier- farmer counterparts, the semiskilled urban Nepalis are scattered in the townships keeping in view of the availability of such jobs they are engaged in[31]. There is little competition from the local indigenous communities because such specializations in which they have developed skills are limited in supply locally[32].

The migration of the Nepalis once it began developed a dynamics of their own and could not be easily stopped. The continuing migration of the Nepalis into the region can be explained by the theory of migration networks of Massey , which older scholars called

‘chain migration’ and later scholars ‘Social capital’. Migration networks can be defined as sets of impersonal relations that link migrants or returned migrants with relatives, friends or fellow countrymen at home. They convey information, provide financial assistance, facilitate employment and accommodation and give support in various forms. These reduce cost and uncertainty of migration and thereby facilitate it[33]. The social capital as sociologists have called these networks “are the connections needed to migrate safely and cost effectively. It is well known that most migrants follow ‘beaten paths’ and go where their compatriots have already established a bridgehead, making it easier to find work and lodgings and deal with bureaucratic obstacles”[34]. Many of these migrants move because others with whom they are connected migrated before. Further, these networks have a multiplier effect, a chain migration, as the presence of a brother or uncle acts as an anchor, a dependent factor in the host country. They tend to grow larger and denser as every move constitutes a resource for those, who stay back and facilitate further moves, which in turn widen the networks. These social networks also explain the continuation of migration independently from the cause that led to the initial movement. Although, theorizing about migration networks has not gone beyond the stage of conceptual framework, it provides a logical explanation to the continuing migration of the Nepalis, even in the present day. The presence of a large population of Nepalis in different parts of the region employed in the Assam Rifles in Shillong, Indian Oil Corporations in Duliajan and the Assam Oil Corporation in Digboi, in trade and business all over the region and particularly as agriculturists and dairy farmers encourages newer migrants into the region. These networks thus had a multiplier effect. The links between the migrants and the area of origin have thus persisted over generations. Even though remittances may fall off and visits home decline in frequency, but familial and cultural links remain. Marriage partners or staying in touch with the area of origin has the effect of a chain reaction. Migration of the Nepalis has thus continued along the established chains, making it almost a self-sustaining process.

The long span of migration of the Nepalis continuing for almost two hundred years needs to combine ‘these and other’ explanations to show how the various aspects interact in the dynamic process. Other elements need to be added to understand the continuing process

and the trajectories that have emerged from it. One such element is the way labour migration often paves the way for developing of commercial activities, so that new migrant or ethnic middle-classes emerge[35]. This paper shall focus on this above element in Nepali migration-the migration of the Nepali peasantry and later the disaffected and impoverished caste groups (the Bahuns and the Chettris) as graziers and herdsmen . They not only became essential to the economy supplying cattle and milk, but also laid the foundations of their own economic base. This soon developed into a dairy farming business providing all Nepali migrants with an opportunity to sustain themselves, when all other options have failed or do not provide the expected results.

Nepali Dairy farmers in Northeast India:

A strong attraction for the Nepali migration to Northeast India was the 'availability of grazing land and the growing business of milk supply in the growing urban economies', the two areas that the Nepalis were very familiar with[36]. It was from the last part of the nineteenth and the first quarter of the twentieth century that the Nepali herdsmen and marginal farmers started trickling down to Assam. This made for the ubiquitous presence of the Nepali dairymen in the hills, open grasslands and in the plains and outskirts of the urban areas. Even the District Gazetteer records that, `the Nepalese for the most part were graziers, who keep large herds of cows and buffaloes. They have penetrated deep into the interior of the district and have established *khunties* (herdsmen's temporary sheds). Some have taken to cultivation also[37]. A.C. Sinha has also mentioned that, `As far as the plains from the Bengal Duars to the Barak Valley are concerned, in terms of Nepali settlement, a distinct trend may be noted. The less skilful and marginal farmers and pastoralists turned to pastoral grazing on the hilly and forested tracts of the region'[38].

Animal keeping or livestock farming constituted a traditional off-farm occupation of the people of Nepal, since the early times, even before the immigration of the Indo-Aryans to Nepal. Livestock comprised one of the main components of the subsistence production system of the village, since this formed a strong link in the flow of energy from forest or pasture to farming and to the human diet. The ethnic hill tribes, i.e. the Gurungs and

Magars practiced Transhumant pastoralism[39] and in the early 1940s, kept a considerable number of cattle, buffaloes, goats and sheep[40]. In the past until 40 – 50 years ago, almost every household had a herd of animals each consisting 10 – 20 cows and 10 – 15 buffaloes managed jointly by two or three families. The main objective in keeping cattle was to generate income both cash and kind; cows and buffaloes for milk and farming and sheep for wool needed in making blankets and other woolen clothes. But with the employment and recruitment of the Gurungs in the army service their access to cash income had increased after 1940s[41]. This is turn led to a decline in their dependence on livestock. By the 70s and 80s, livestock were managed by retired army men and their family members, who did not go to the army[42], Gurungs were also found to hire oxen from others to plough land as they could afford it because of their access to off-farm income[43]. Buffaloes were kept for milk production for consumption.

This was not the case with the Brahmins(Bahuns) and Chettris. Their non-recruitment in the army had left them largely dependent on land and livestock for their subsistence. In a study conducted in Nepal[44], the Brahmins and Chettris were shown to own more animals than members of the ethnic groups. Brahmins followed by Chettris owned a large proportion of cows and oxen. The cow was viewed as symbolic in Hindu religion and as Brahmins were more inclined to religion, they kept more cows. In the later years (1980s and 1990s) the practice of borrowing cows in lieu of cash or kind for religious purposes reduced the need for ownership. Ox was required for ploughing the land and since Brahmins and Chettris practiced intensive cultivation in large areas of land, they owned more oxen. In the later years with the decline in the size of landholding due to increase in population the need for oxen also declined and the practice of sharing oxen had become prevalent. In the later years (1990s), Brahmins and Chettris, who did not have access to cash income often, raised buffaloes for milk production. Some families sold milk in local teashops but the market for milk was small in the village itself until the 1990s. Milk was difficult to carry, so villagers turned milk to *ghee*, which could be stored for a long time and could be easily transported relatively long distances. Gurungs were less involved in trading milk or *ghee* because they were less desperate to earn cash from village sources. In order to earn off-farm income, Brahmins and Chettris sold milch buffaloes, when they

raised calves to milk producing age, to people residing near the towns. Today "Three to four lakh litres of milk is consumed daily in Kathmandu," says Dr. Gopi Sedai, who is with Pro-Public, an organization that, among others, lobbies for small farmers.. "Around two lakh families produce this milk"[45].

In a report to the Foreign Secretary of the Government of Assam on May 13, 1930, the Chief Secretary to the Government of Assam informed that, "The greater number of numerous Nepali graziers in Assam are Jaisis and Upadhyay Brahmins or Chettris of non-martial classes"[46]. Religious as well as economic reasons in the 19th and 20th centuries left the Brahmins and Chettris, more dependent on livestock and dairy farming. A privileged section, they remained a class of landless milieu in Nepal. And unlike the Gurungs, who migrated to increase their cash income, the Brahmins and Chettris fell back on livestock farming. And when they began to migrate east in search of a better livelihood, it was also as herdsmen and graziers. Even culturally, the Bahuns received cultural gifts of cows in funerary ceremonies, as the Nepalis believed that if they gifted a cow to a Bahun the dead person could cross the Baitarani (a river) by holding its tail and reach heaven. This practice was prevalent even among the Hindu Brahmins in Northeast India and other parts of India. Keeping the heterogeneity of the Nepali society, we find that it was mostly the Bahuns and Chettris who were engaged in dairy farming in Northeast India. The Gurungs and Magars, who belonged to a different social category than the above and were those mostly recruited in the army, also took up dairy farming after retirement from service. Since they had a tradition of pastoralism, it was easier for them to fall back on dairying to augment their income after retirement. In Northeast India today dairy farming has no longer remained the sole preserve of the high caste, and even the ethnic groups took to dairy farming in the region as a commercial activity.

In Northeast India, from the time the Nepali migration began, the Colonialist began to see the importance of the graziers and dairy farmers to the economy of the region. As early as 1916, a Mr. Arbuthnot who was officiating as the enquiry officer on the question of

grazing in Assam made the following report on the subject of distribution of milk and milk produce: "*Dahi harias* and other middlemen make large profit out of their contract rates for milk. *Paikari* milkmen and villagers profit by bringing ghee from the *Khutis* to Nalbari and Rangia station. Villagers generally buy milk and *dahi* cheap for their feasts and ceremonies and rely largely on the graziers for their plough cattle"[47] (*dahi*-curd). In the same report it has been mentioned that "milk is sold wherever there is ready demand for it; elsewhere in thickly populated Assamese areas it is sold in the form of *dahi* at *hats and bazaars*(open air village markets). In *Khutis* situated in remoter parts milk is mostly converted into *ghee*"(clarified butter). The graziers besides supplying milk and milk produce also supply draught animals for the plough and the cart. This was recognized by the special officer in charge of examining professional grazing reserves in Assam in 1943 when he mentioned that "When one sees the villages drained away of all spare cattle for the army one can consider the Assamese cultivators lucky enough in having the graziers animals near him as a standby. And if these animals were to play their part well they must have reasonable facilities for full and healthy growth"[48]. It was also stated in the report that cattle grazing also provide a supplementary income to a number of persons playing a part in the distribution of milk and milk produce and draught animals. "Trade in milk and milk produce gives employment to an appreciable number of Assamese people"[49]. Recognizing this need the Nepalis were allowed to colonize the vast wastelands and jungled plains and function as dairy herders and graziers.

The Nepali herdsmen and graziers initially came and settled in the wastelands near to the river Brahmaputra where fodder and water is mostly available than elsewhere. Those north of the river contain large proportion of grasslands and are more suitable for cattle than the buffaloes. The Chapori belt of the Brahmaputra which is an alluvial formation, is most suited as grazing areas. The Burha Chapari of Tezpur was declared a professional grazing reserve as early as 1881[50]. The grazing area of the Nepali community spread from the Baraimala to Bhavani Devi *Than*, classified under the Mahajan (money lender) of the area[51]. In the Goalpara division of Assam, 105 sq.meters of reserved forests were left open for the grazing of cattle by the Nepalis in return for assistance in the fire protection[52]. The Nepalis had also settled in the *Char* (midstream sandbars) areas. A

number of *Chars* bearing names of Nepali origin[53] found in the Nagaon, Morigaon and Nalbari districts were said to have been inhabited by the *Khuntiwallahs* or the Nepali milkmen. By 1943 the government in a special report assessed three major groups of professional grazing reserves in the whole of Assam: the Kallang or the Kopili basin, the Brahmaputra Char and Chapori reserves, and the submontane grazing reserves. Although these reserves accommodated Assamese graziers, but there were considerably large numbers of Nepali graziers too.

In the other states of Northeast India too the Nepali herdsmen and graziers became an important group. In Manipur many retired Gurkha soldiers acquired land and settled and took up dairy cattle farming, which was profitable as well as economically viable. The Kanglatombi Kangpokpi area emerged as a large Gurkha reserve of dairy farmers. Gurkha *Goths* (cowsheds) were established at the foothills of Kangchup, Bishnupur, Irang and other places[54]. Settlements of retired Gurkhas practicing dairy farming also emerged in Mizoram, Meghalaya, and Arunachal Pradesh. The village of Raing Kang in Meghalaya was known as the *Khuntiwala* village[55]. In Nagaland, although the Nagas were engaged in rearing cattle since early times, they did so for the meat and not milk. The Nepalis were the first to teach them the use of milk from cattle.

Another factor which ensured the survival of the Nepali dairy farmers and graziers were the additional revenue that they brought to the colonial exchequer. From the early times the peasants in land abundant Assam had enjoyed the traditional right to graze their cattle freely in the village commons and neighbouring forests[56]. But under the colonial regime this right was encroached upon to bring forth additional revenue to the exchequer. Although initially an insignificant source of revenue, with the steady rise in the immigration and settlement of the Nepali graziers, it soon became an expanding source. In the unclassed forests, the *ryots* (peasants) were allowed unlimited grazing free of payment for their plough and domestic cattle, but Nepalis rearing cattle for dairy farming were charged for the grazing privilege[57]. These duties were collected "entirely from the Nepali herdsmen, who obtained steady and lucrative rate for the dairy produce in the numerous tea gardens of the province"[58]. The grazing fees, which was introduced per

head of horned animals in 1888 was gradually increased by the years so much so that it caused resentment among the graziers[59]. The increase in the number of buffaloes taxed more than doubled the revenue collected[60]. The total revenue of Rs. 2,77,000 collected in 1919 – 20 from grazing fee was accounted for by only one and a quarter lakh of cattle actually assessed. The overwhelming bulk of these cattle belonged to 6,319 professional graziers of whom, excepting a few hundred, all were Nepali migrants[61]. It was noted early in the Administrative Report of Assam 1912 – 13 that a large number of professional graziers had migrated from the adjoining areas of Jalpaiguri owing to the rise of grazier fees in that district[62]. This led to new rules of taxation in 1917. In 1937 total revenue of Rs. 2,82,356 was realized from a total of 2,69,460 acres of reserved grazing ground[63]; in 1939 – 40 of the total estimate of Rs. 3, 53, 115, only a sum of Rs. 2,47,052 (70%) could be collected[64]. With the establishment of the professional grazing reserves the amount of tax assessed also increased making the Nepali graziers and dairy farmers an important source of revenue to the colonial exchequer.

Elsewhere in the Northeast India, the increase in cattle framing and milk production, led to increase and encroachment in the grazing fees and rights. In 1919, in Manipur, the Kanglatombi – Kangpokpi Gurkha Reserve was carved out with an area of 140 sq. miles to concentrate cowsheds and Gurkha settlers in one place, by an order by F.F. Pearson, President of the Manipur State Durbar (Hill Office). This was preceded by an increase in taxes[65]. As the primary concern of British administration in the hill areas of the state was tax collection, good amount of tax collection from Nepali settlements encouraged the British administration and consequently Nepali settlements and establishment of *Goth* (cowshed) was legalized by British political agents and Durbar of Manipur. In 1920, Gurkha settlements and graziers *Goths* (165) were legalised in the Irang valley. In 1933 settlement of as many as 19 Gurkha families at Maram (75 kms North of Imphal) was permitted by the Political Agent and President of the Manipur State Durbar[66]. And in 1946, by an order the KK reserve ceased to be a grazing reserve, opened to settlement and colonization and all graziers had to move to Irang Valley, which was declared as a professional grazing reserve for Nepali settlers[67]. In the Khasi Hills as well, the Nepali herdsmen were allowed grazing rights by the Syiems or Chiefs, who derived additional

revenue from grazing fees collected from them. Similar situations prevailed in practically all the states of Northeast India.

Since the colonial period the worth of the Nepalis as a group of hardy and pliant labourers were recognized. Grazing and dairy farming also required hard labour as the whole business is manually operated and labour intensive, even in the present times. Government reports on the grazing reserves mentions about the difficulties the graziers had to endure: " In the absence of sufficient high land available for professional grazing…to which the animals could be shifted, all animal life (including the graziers families, buffaloes and cattle) is huddled in much discomfort and even distress on these *Atis*(strips of old high land of the river or the highest part of the *Chars*) during the rains.The distress becomes acute when sometimes the level of inundation is abnormally high and submerges even the *Atis*. Fortunately water does not stay long at such a level for many days(the highest is about a fortnight)but the trouble undergone during this period of constant contact with water, absence of food and presence of worry from insect pests such as flies, mosquitoes, etc. are enough to kill the young ones and many among the old…"[68] The graziers also had to have residences near the khutis so that the cattle could be tended by all the members of the family. This is evidence of the fact that the dairy business even in the initial stages was not very easy and all members of the family had to lend a hand.

Even in the present times in big farms labour is employed while in the small khutis members of the family are engaged in the process of cleaning, feeding, milking as well as carrying the milk to the agents or suppliers. Where farms are located in the outskirts of the urban areas and sufficient grazing ground is not available, stall-feeding is carried out. For this the fodder is collected from the hills and jungles. A bale of fodder, weighing approximately 55kgs takes a whole day for a labourer to bring, for which he is paid a paltry sum of only 80 rupees. The conditions for a dairy farm to be fully operational involves a lot of hard labor which the Assamese labour cannot provide. This is primarily one of the main factors that have enabled the Nepalis to sustain and develop their dairy business in the region.

Further, the long span of being engaged as graziers and dairy herdsmen, have seen them develop a network of production, and distribution of the milk and milk products. In the post-independence period, the concept of milk producers' co-operative society became very popular in Assam[69]. In a majority of these the Nepali community has a dominant role. There are many co-operative societies in Assam alone[70], of these the Sitajakhala Dugdha Utpadan Samiti (Sitajakhala Milk Producers Society) alone produces 5000 litres of milk per day. Total milch-cow population in Assam is about 21 lakh. Average daily milk production is more than 20 lakh litres[71]. Besides, there are individual producers as well. Mr. Tulsi Upadhyay has about 200 buffaloes producing about 300 to 500 litres of milk. His farm is situated at Brahmaputra Chapari and he sends his milk to Dibrugarh. Ramji Chetry with 150 buffaloes and 200 – 350 litres of milk sends his milk to Tinsukia town from his farm at Dhola, on the outskirts of Tinsukia. There are others, who are only traders. Homlal Sharma collects about 150 to 200 litres of milk and sells it in Gogamukh town. Most of them reported a profit of about 50% with some loss. There are smaller producers with less than 100 or even less than 50 cows; some even have as many as only 10 or 12, producing about 30 – 50 litres of milk per day. These farmers supply milk in the vicinity of the area they live, cutting down on transport costs. Ghanashyam Sharma, such a small producer, calculated an income of average Rs. 5000/- per month[72] while, Narayan Sharma, a *Paikari* milkman reported a monthly profit of Rs. 3000/-to 4000/-.

Every Nepali dairy farmer whatever the size of his khuti can sell his milk to the agents who come on a daily basis to collect the quantity milked per day, sometimes twice a day. A common sight on the outskirts of Guwhati area that I had visited on many field trips as a part of my study is the long line of milkmen carrying the cans of milk to the agents or collectors waiting with larger cans to be transported to the city in small vans or mini trucks. The milk is usually sent to hotels, sweetshops, teashops, or even bought for household consumption. There are also individual suppliers, who buy milk from the producers and supply to individual households on a monthly basis. An article in the Kathmandu Post reported that, "It is also a fact that the Nepalese people from Nepal's western regions have controlled the total milk market of northeast India."[73] This network

of production and distribution is supported by those already firmly in the business and encourages new entrants or temporary migrants with loan of cattle and money to start their business.

This allows for the ease with which Nepali migrants from other professions make their shift to dairy farming. The Nepali herdsmen and farmers move out of Nepal in search of new opportunities. The only capital he carried with himself was his personal qualities as a cheerful, perseverant and sturdy hand, his ubiquitous *Khukuri* and readiness to do anything to make a living[74]. With such temperament, they had easily combined in themselves a number of roles as dairymen, sharecroppers, agricultural labourers, porters, smith, carpenters and errand boys and today even as teachers, clerks, peons, etc. Among all these professions dairying has always remained the most popular, easy and lucrative. Besides the fact that it is a traditional occupation and comes naturally allows the easy transition from other professions to dairy farming and the milk business. Family members or friends already in the business provide the support needed to start the business. Further the long history of being in the business which they have developed to suit their needs as well as for the needs of the public have enabled larger sections of the Nepali migrants to make the shift from their intended occupations or employment to dairy farming at some point of their life.

Socio-economic predicament of Nepalis/dairy farmers in Northeast India:

It is yet another irony of history that a community of people who were encouraged to migrate, by recruitment to the Gurkha army, pecuniary benefits, offers to colonize and settle in the vast wastelands, and also given employment, should find themselves, after almost nearly 200 years, still in the margins of the society and economy of the country to which they migrated. The reasons are not far to find: 1. Probably, the colonists underestimated at the initial stages, the numbers that would migrate or the dynamism of the process; 2.The earlier policies of the colonists soon began to impinge on their later policies, when they had to accommodate other migrants as well; 3.In the post-colonial period, with the change in government, the Nepalis had outlived their earlier usefulness

and they found themselves competing with the vast majority in the new nation for jobs, the availability of which had largely changed;4.The host society had to continuously make space for the growing numbers of migrants that showed no signs of abating;5. With land and resources becoming scarce, the host society began to see the Nepali migrants not as assets to their economy and society but as a liability. There soon began instances at trying to restrict them in an attempt to keep them socially as well as economically in the margins.

A first example at restricting them came as early as 1903-04, when a proposal was made to declare the Kaziranga in Assam as a reserved forest, but the presence of a large number of buffaloes belonging to Nepali graziers stood in the way of its final constitution. This area had earlier been allowed for grazing purpose. The Chief Commissioner remarked "it is at present used as a grazing ground and the presence of a herd of tamed buffaloes in this locality means that sooner or later cattle disease will spread into the Game reserve and interesting fauna of the province will be destroyed. The entire object of existing reserve will in fact be nullified"[75]. Following this, the British Government ordered all the graziers of Kaziranga to vacate their grazing lands within 24 hours in 1920. The forest rangers and foresters burnt the household of the graziers, causing a lot of harassment and injury to man as well as cattle, forcing them to move to safer locations. Similarly, as early as the 1940's,J.H. Hutton initiated a policy to remove the Nepalis settlers from the Naga Hills on economic and not political considerations. 'The Nepalis', wrote Hutton, 'breed very fast and they would be eating up tracts of land in the Hills badly needed by the Nagas, already short of land".[76]

Again in 1942, to accommodate the Muslim immigrants from Bengal, the colonial government began to change their policies followed towards the Nepali graziers. All the grazing reserves, which according to notification should have been freed of the encroacher, have been allowed to be overrun by the immigrants… Riots and bloodshed in which the local graziers and local men are always work off are becoming daily occurrences"[77]. A Report on the professional Grazing Reserves, has also mentioned the continuous encroachment of the grazing reserves by the immigrants, to which the Nepali

graziers have protested and complained to the local authorities, but "the Government have taken no action nor do they seem to have given any direction to the local revenue officers as regards their duties and responsibilities in regard to the protection of the rights of the graziers…"[78]. The Nepali graziers along with the Assamese have also submitted petitions to the king emperor, but to no avail. The opinion among them was that the Colonial government, which had so long been their protector and custodian of their interests, had failed them. The Tezpur Graziers Association came into existence in 1933 at Singri, with Chabilal Upadhyay, a grazier and a Mahajan as a founder President to take up the cause of these evicted Nepali graziers[79]. The objective of the Association besides protecting the graziers and grazing lands was the preservation of social integration between the Assamese and Nepali communities[80]. During the same period, yet another crisis came, when the names of a large number of domiciled Nepalis were deleted from the voters' list. The Assam Graziers Association under the leadership of P.S. Subba, protested against the move and tried to get the names included as under the then political situation in Assam in the 1940's exclusion of names from the voters' list implied possible eviction and deportation. In 1944, the serious problem of eviction faced by the graziers, led the Governor to place the matter before the State Assembly. And in 1944, Saadullah's Muslim League Coalition Government threw select professional grazing reserves open for settling immigrants[81].

If that was not enough, the state government followed tactics of inclusion and exclusion in their policies of protecting the rights and status of the Nepali graziers. In 1947 the Nepali graziers were given a protected class status, in the constitution of tribal belts and Blocks, but in 1969 they were exempted from this right[82]. Again in 1996 this right was restored to them by the then ruling government, probably as a vote buying tactics[83]. The exclusionary tactics continued at different periods of time when a slightest occasion provided justification for deporting and evicting the Nepalis from the region. The worst came during the 1979-1985-student agitation, the most serious anti-foreigner agitation that rocked the region in recent times. This movement, which was marked by serious pogroms targeting the immigrants from Bangladesh, also included the Nepali migrants as well. Many Nepalis in the region began to flee due to the harassments, threats of

deportation and eviction and the insecurity to life and property that followed them everywhere[84]. A movement followed this for a separate Bodoland, in an area, which had a concentration of Nepalis as graziers, and in other professions too. Here also the violence and insecurity to life caused by 'ethnic cleansing', threw many Nepalis into an uncertainty about their future in the region.[85]

The anti foreigner agitation in Assam had its repercussions in the other states of northeast India as well. In Manipur, the movement manifested itself in direct attacks on the Nepalis in 1980 compelling many Gurkhas (who were made the domicile community in 1947) to shift houses and flee to safer areas[86]. Meghalaya, another state in the Northeast saw similar sectarian violence in 1987. Here, since the 1931 tensions had existed between the Nepalis and the Khasis because of the damage done by the buffaloes and the graziers and the indiscriminate cutting down of forests to make room for the increasing herds[87]. In 1987, the violence primarily targeted the Nepali minority only, living in Shillong, Jowai and other parts of Meghalaya. At that point, the state had over 150,000 Nepali populations. The first targets were the Nepali labourers in the coalmines in Jowai from where it spread to other parts of Meghalaya. India's Weekly magazine reported: " Dozens of innocent children of Nepalese working in Jowai coal-mines died of hunger because their parents did not return to their home even weeks after the incident."[88] Violence involved killings, burnings of villages and Gurkha schools and finally deportation of the Nepalis by the state government in complicity with the police[89]. In these violence most of the Nepali people fled and the worst affected were the dairy farmers who had to give up their occupation and leave the state. Today, most of those, who left Meghalaya and Manipur, are settled in Rupandehi, Jhapa, and Banke and other parts of Nepal's Terai, besides Kathmandu and Pokhara.[90] The movement also spread to Mizoram and Nagaland where the Nepalis who have been domiciled for years, now suffered violence and eviction.

These attacks on the Nepalis reflected the changing policies of the government, as also the changing attitudes of the host society. In most cases the Nepalis who were allowed to assimilate and even declared a domicile community as in Mizoram, were made targets of the attacks. The Nepalis suffered not only a setback in their social position, but also in

their economic position. The result was that the more enlightened or educated among them began to reassess their status and rights in the region. And for the first time it led to a re-examination and subsequent search and assertion of a Nepali identity in Northeast India/India.

Migrant Identity:

The identity of migrant groups in most cases becomes the central issue of their existence in the host country. It is seen in most cases that there are moves to assert, reassert, or even establish the identity of migrants in order to define their rights, justify their presence and even find redress for their socio-economic predicament if necessary. Migrants in largely populated countries like India are often minorities and minorities are discriminated against. Even among the Nepali migrants in Northeast India there has been moves in the past decade to assert and establish their identity in the region. Having migrated from a country where there are various caste, ethnic, or cultural diversities, the first issue was that of resolving their primary identity in their country of immigration and in this case, India/Northeast India. The Nepali migrant in Northeast India is variously referred to as Nepali, Gurkha, *Gwala, Bahadur*. The word Nepali represents a homogenizing tendency of the migrant when away from their place of origin. While in Nepal they are represented as various caste-Bahun, Chettri, or ethnic groups-Gurung, Rai, Limbu, Magar, Tamang, etc. But once out of Nepal, in India, Northeast India or elsewhere, they identify themselves as a single Nepali community. The word Nepali thus comes as a cross-caste, cross-linguistic, cross-ethnic denomination. These differences though present within the inner-circles of the community, is not apparent to someone outside of it. And to all extent and purposes they are a homogeneous Nepali Community.

But another very pertinent question, specially related to this paper as well as the identity of the Nepalis is the very common reference to the Nepali as a *Gwala/dudhwala.* The address is as common as the sight of a Nepali milkmen delivering milk or tending cattle. This profession has almost become synonymous as the *Khukuri* with the Nepalis in the

region. This seems to have been largely because Nepalis as a community were engaged in dairy farming in the region. Archival materials as well as recent writings make a passing mention of the Nepali graziers and how the Nepali milkmen dominate the milk market in the entire northeast India. This inference has perhaps led the host community to address the Nepalis as *gwalas*/*dudhwalas,* a labeling that the Nepalis do not protest about. Perhaps, this serves as an occupational identity of the Nepalis in the region. The original graziers and herdsman who migrated were the Jaisis and Upadhyays and also Chettris. But in Manipur, Mizoram and Nagaland, the retired Gurkha soldiers also took to dairyfarming as an occupation. The retired Gurkha soldiers turned *Gwalas* supply most of the milk and *ghee* requirement in these regions. Again some retired Gurkha soldiers also find employment as gateman, security guards, bus conducters ,etc. In most cases, while working in these various occupations, they also keep a dairyfarm to add to their post-retirement income. Dairy farming has thus become an occupation for most Nepalis to fall back on for want of any other income-generating alternative. This occupational identity also allows them a social space and mobility within that space among themselves. As there are large as well as small dairy farmers, employers as well as employed labourers in the business, this has in some cases led to the emergence of an ethnic middleclass among the migrants themselves. The more affluent among them have availed educational and job opportunities and have moved to a better social position than those who have not been able to do so. In these cases some have even moved away from dairy farming to an easier profession. Or sometimes when they still keep their business, they shift their homes to better and more affluent social setups, keeping their farms/Khutis at the outskirts, managing them with employed labourers. As most of these labourers are Nepalis who have migrated internally, or are temporary migrants, internal differentiation also rise among the migrants themselves, showing that all migrants are not on the same social scale. Those on the higher social scale have also emerged as spokesmen of the community and make issues for identity assertion and demand redress for their social and economic grievances.

This issue of occupational identity perhaps explains the uncritical acceptance of the labeling of Nepalis as *gwalas/dudhwalas.* In spite of some sections having moved away

from the business, there are still large sections of Nepali migrants, both permanent and temporary, who still depend on dairy farming for their survival and sustenance. There are instances of temporary migrants who having failed to secure the jobs for which they migrated, turning to dairy farming for their survival, and having made a profit stuck on. And there are those permanent migrants who join the family business, as education is very expensive or jobs, specially in the government is out of their bounds as they can ill afford to pay the huge bribes that goes into securing such jobs. As such they keep to dairy faming and milk supply and accept the external labeling of the community in their stride.

The most dominant issue among the Nepalis today is that of their primary identity- Nepal Nepali, Indian Nepali, or *gwala/dudhwala*? These issues have emerged with the spate of identity movements in different parts of India (Gorkhaland movement),Bhutan, Sikkim and due to the nativist son of the soil agitation in Assam and other parts of Northeast India. The Gorkhaland movement for a separate Nepali homeland has led to allegations that largely all Nepalis, everywhere in India might raise such demands. Another pertinent allegation was the myth of a greater Nepal. Perhaps, this fear may have been further intensified not only by the Gorkhaland movement in Darjeeling, but also the politics of Nar Bahadur Bhandari of Sikkim and by the mobilization of the Lhotshampas in Bhutan, which began to assume some international dimension[91]. One dissident had stated: "It would be well to remember that we, the Gurkhas of southern Bhutan, are not only the majority but we also have 17 million brothers and sisters in Nepal, and over ten million living in India. Unless the minority Drukpas come to their senses and immediately undo the damage and great harm they have done to themselves, there is every possibility that the borders of the Gurkha state of Sikkim and adjoining areas of Kalimpong and Darjeeling can be very easily extended across the whole of southern Bhutan".[92] Probably, allegations of Nepalis from Northeast India having crossed over to side with the Lhotshampas and their leaders having fled over to Assam , India[93], and this movement having received stimulus from Darjeeling have made the Nepalis in Northeast India soft spots for ethnic assertions and backlashes during the anti-foreigner agitations in the region .

To most Indian minds Nepalis have double homelands and dual loyalties. As Subba writes 'The word `Nepali' in the Indian mind immediately associates Indian Nepalis with the country Nepal, which hurts the social, political and economic standing of the Nepali speakers of India. The confusion is exacerbated to the detriment of Indian Nepalis and their social standing, because their open border between the two countries allows unrestricted passage for labour exporting Nepal to send out migrant labour to India. Thus, the continuous recharge of the Indian market by the out-migrating people of Nepal reinforces the belief among Indians that all Indian Nepalis are also citizens of Nepal', writes Subba[94]. Time and again the Indo-Nepal Treaty of 1950 and its provisions are contradicted. The treaty allowed mutual residential and economic rights to citizens of both countries, which allowed the continuous flow of immigrants to the region. Further, Nepalis settled in India prior to the adoption of the Indian constitution of 1950 were declared natural citizens of India; yet, the general notion of other Indians is that of Indian Nepalis are immigrants. The notion grew and developed as there was no way to differentiate Indian Nepalis from those, who settled in India after 1950 and those, who continue to come down from the hills of Nepal into India. Pre-1950 documents to prove domicile was never considered necessary. Indian Nepalis by and large are even not aware of the treaty and its created difficulties and take all humiliation, harassments and even cases of mass eviction from the Northeast as fated writes Subba.

But there has risen among a group of educated Nepalis a necessity of defining their identity to resolve their social-economic predicament. Among Nepalis who came before 1950 the general feeling of being Indian citizens persists. They regard themselves as Indians of Nepali origin (INO) and demand all the rights and privileges due to an Indian citizen. The word Nepali to them is an ethnic marker to differentiate themselves, like an Assamese Indian, or a Gujarati Indian. As observed by Glazer and Moynihan, `ethnic identities have replaced occupational identities as a source of self-esteem; ethnic loyalties are increasingly affected by political events pitting one ethnic group against another; ethnicity has taken the role of religion as a means of establishing one's identity'[95]. Milton Gordon (1964) referred to ethnicity as a `sense of people hood' created by common race, religion, national origin, history or combination of these[96]. This makes it necessary for

the Nepalis to maintain the Nepali before the Indian, Nepamul Bharatiya or INO(Indian of Nepali Origin).

It is the INO that is eager to identify the Nepal Nepali. To them all those who migrated after 1976, the date of the imposition of the Restricted Area Permit and accepted by the signatories of the Assam Accord in 1985 as a cut off year for the deportation of illegal migrants, should be identified as Nepal Nepali and action taken. To them their primary identity is that of Indian Nepalis which should be protected and preserved at any cost. And for this they have even demanded the revision of the 1950 Indo-Nepal Treaty.

These various identities are just external labels, which the host society has imposed on the Nepali migrant to identify and differentiate the non-indigenous. It is often found that these various profiles of the Nepali migrant often overlap each other. To the indigenous people of the region, a Nepali migrant is a Nepali, gwala, gurkha, and Bahadur , all rolled into one, at the same time. Very few can differentiate between the one and the other. These external labels are thus used for convenience and are more or less associated with the occupations of the Nepali migrant as the *Gwala* and the Gurkha. But to the Nepali migrants these external labels impinge on their self-identity as an Indian Nepali to the outsiders and their own caste and ethnic identities within the community. Although they might identify themselves as a Nepali outside Nepal ,within the community the various caste and ethnic diversities still persists.

Melting Pot of Milk:

The term Melting Pot has been used to signify the coming together of the various social and cultural categories of Nepali migrants under a single occupation of dairy farming in Northeast India. As the word Nepali is a cross-caste, cross-ethnic, cross-linguistic denominator, dairy farming in Northeast India for the Nepali migrant transcends all caste, ethnic, linguistic and religious diversities. It has been mentioned earlier how it was the

upper caste Bahuns who had primarily migrated as graziers and dairy farmers, but it is also true that the Gurungs and Magar ethnic groups who had migrated for army service had practiced pastoralism before opportunities in the army forced them to abandon it. In fact, all sections of the Nepali ethnic groups as well as caste groups had a tradition of pastoralism. While some practiced it for commercial activities, others used it for their own domestic use in the fields and household milk supply. It is a common assumption that every house in Nepal had their own cattle- buffaloes and cows until they began to defect or move out of their villages to the urban centers for other jobs. In Northeast India, they came primarily to eke out a living and were prepared to do anything to earn it. In the early stages the incentive given to dairy farming and grazing due to the importance attached to it for the people of the region, made it the most lucrative occupation. As such, except those who were recruited specifically for the Gurkha army or those who were employed in some other well paying job, the majority of the Nepali migrants undertook dairy farming, meeting the milk requirements of the area where they settled in or supplied cattle for the plough. In the 1860's the British developed a policy of forest reservation and management turning a considerable portion of the jungles into reserved forests. These forests required periodic commercial timber extraction, which in turn required strong muscle power as sawyers (*arakasias)* or axemen (*tangaits*) who cleared forests from the Bhutan to the Arakan hills. In the absence of local labour, the forest department had to establish forest villages as a source of captive labour, bound to work for the forest department for a minimum days in a year. This advantage was taken by the Nepalis who settled in these forest villages and side-by-side set up their own economic base in cattle rearing, dairy business and agriculture. Even the Gurkha soldiers after their retirement

from service began to engage in dairy farming as it was profitable as well as economically viable specially in Manipur , Mizoram, Meghalaya, and Arunachal Pradesh. Henry Cotton, the then chief commissioner of Assam noted as early as 1898 that many of the retired Gurkha Sepoys, who settled down in Assam, preferred cattle grazing to cultivation.

Min Raj Joshi, President of *Brihattar Guwahati Gopalak Sanstha,*(Greater Guwahati Cattleowners Association) told us that**, "**My father came from Nepal, when he was seven years old to Guwahati, joined the British Army and went to Nagaland. After the war…. Left the army, came to Guwahati during World War II. During the war when there was a big demand, he engaged in milk supplying. Later he bought cows with a loan of Rs. 300 from one Chandi Charan Bharali of Maligaon area in 1957". Ram Prasad Joshi, Min Raj Joshi's father became an established dairy farmer. They later shifted to Noonmati area and has about 30/35 cows in Panikheti area[97].

Another interesting case is that of Ramji Chetry, a 4th generation migrant from Muga, a hilly place of Dhankuta district of Nepal and living in Ouguri Nepali *gaon*(village), Jaji, in Jorhat district of Assam. "I am a cashier of Jorhat Government dairy farm, and my wife is a teacher. I have 8 acres of land, where paddy is cultivated. But I still have a dairy business of my own as it helps me to earn some extra money and also gives me milk for my home"[98]. There are many like Ramji who work in well-established and respectable jobs and owns sufficient land for cultivation. They usually have an established dairy business as dual professions. The dairymen in these parts are original dairy farmers and are third/fourth generation migrants.

Ghanashyam Sharma, a dairy farmer in Guwahati told us, "I was a Chowkidar in the Survey of India Office in Guwahati; when I was transferred to Tezpur in 1985 (he joined in 1975), I resigned and turned to dairy farming.'

These first hand interviews indicate that dairy farming was a kind of melting pot for all sections of Nepali migrants in the region. It was a coming together of all migrants irrespective of their caste /ethnic, or linguistic differences. Though most commonly the cattle is owned by the Upper caste Jaisis and Upadhyays, but in the present times any one who can afford to do so sets up their own Khuti. Others, specially the temporary migrants or those who are not economically well off to own cattle, become suppliers. Dairy farming has also become a sort of refuge for the temporary migrants. The social networks aid in the establishment of links and distribution networks.

These temporary migrants come to Northeast India, taking advantage of the open border , either to join the Assam Rifles or army service, or find some suitable work for a living and when all else fails, they turn to dairy farming. They encounter a lot of hardships, living under frugal economic conditions, as they do not own land and work hard traveling long distances on a bicycle, delivering milk on a door-to-door basis. These migrants also face a lot of harassments while traveling to and fro from Nepal to Northeast India at intervals at the various points on the border when they are asked for their papers. But despite these hardships they continue to come to the region and engage in the business.

Narayan Sharma[99] a bahun by caste, came to Assam from Baglung in Nepal. He was however born in Assam, as his father was a dairy farmer in Milanpur, Guwahati. Having returned to Nepal due to family reasons he came back to join the Assam rifles, to

Shillong (Meghalaya) but since he could not get appointment, turned to dairy business. He told us, "What could I do? I could not go back to Nepal and do nothing. So I started my business of milk supply only. I earn about Rs. 3000.00 a month, which I try to save as much as possible. Every three to six months I return to Nepal with my earnings and cultivate the land I have there for my mother who is still alive. My brother has land here but it is in his name."

In another round of interviews, we were told by one farmer when asked why he still opted for dairy farming when there are so many options to earn a living nowadays, "dairy farming is easy, beneficial and makes us our own master. It makes us self-dependent and we do not have to be dependent on government jobs. Further, it is dependable and allows us to serve humanity too, by providing jobs to other poor Nepalis or anyone who is jobless".

Dairy farming has thus emerged as one of the major elements in understanding the dynamics of Nepali migration to northeast India in particular. It denotes the transition of the Nepali labour migration to a commercial activity .The Nepali dairy farmers have evolved as the personification of the entire process of the migration that began almost two hundred years earlier. Not only did they come as an aspect of the labour migrants that migrated in search of a living, but also they managed to diversify and establish themselves as a very important aspect of the economy of the region. That dairy farming has been and still is one of the primary occupations of the Nepali migrants in Northeast India cannot be denied .It has not only kept the Nepalis engaged in it for the last two centuries but it continues to engage the countless number of permanent as well as temporary migrants in the present times. It has provided these people with an economic support and a source of sustenance in these days of economic competition. An important

trajectory of this element is that it has led to the growth of a small though not powerful, ethnic middle-class. This has been easy since the dairy farming business has seen the merger of almost all groups of Nepali migrants irrespective of their social or cultural diversities. This has also had the effect of a 'social capital' explaining the continuation of migration independently from the cause that led to its initial movement. Today, large groups of temporary migrants are still drawn in large numbers to the dairy farming business, even though they had migrated in the hope of some other employment .The social capital allows them this indulgence to stay and continue to earn a living and not return to the hardships they had migrated to avoid in the first place.

The merger of a community of people under a single occupation will definitely have some effect on the host society of the region to which they had migrated. The host society had reacted variously at different periods of time. But although society had made space for them, the political and economic situation in about the last century had managed to make them a marginalized community. The events of the recent years are witness to this fact. But inspite of these backlashes and harassments from time to time, Nepalis still continue to come to this region. There have been instances of a return migration and cases of displacement from the region, but by comparison the numbers were far less than the instances of internal displacement in south Asia. Probably the attraction of an established business and the presence of a large population of permanent migrants to provide the support is the motivating factor at all times.

In the south Asian migration discourse the study of the Nepali dairy farmers have been largely ignored. Even among scholars who have studied the Nepali migration to India and

Northeast India, dairy farmers have never featured as an important focus of study. I hope this paper has succeeded in making a case for the community as a very important element in the migration studies in South Asia. This paper is not the final say on the subject, and I hope it will open avenues for further research on a very important aspect of cross-border labour migration in South Asia.

Notes and References:

[1] Assam of the Colonial period is today's Northeast India , divided into seven seperate states: Arunachal Pradesh, Assam, Meghalaya, Manipur, Mizoram, Nagaland and Tripura.
[2] Imdad Hussain,Soldiers and Settlers: Recruitment of Gorkhas,(Cited in), in in A.C. Sinha & T.B. Subba (ed), The Nepalis in North-East India: A community in search of Indian identity, Indus Publishing Co., Delhi, 2003,p.86.
[3] HPAP, Note20 february 1922,Dundas to AW Botham, Cited in Ibid,p102.
[4] Giuseppe Tucci, *Nepal ,The discovery of the Malla (* Translated)London, Lovett, Edwards ,1962,p.75-76, Cited in Jagannath Adhikari, `The beginnings of Agrarian change : A case study in central Nepal',TM Publication, Kathmandu, 1996, p.57.
[5] T.B. Subba, Nepalis in NE India: Political Aspirations and Ethnicity, in A.C. Sinha & T.B. Subba (ed), *The Nepalis in North-East India: A community in search of Indian identity*, Indus Publishing Co., Delhi, 2003, p. 57.
[6] Toni Hagen, 1961, Nepal, p. 61, cited in J. Adhikari, The beginnings of Agrarian Change : A case study in Central Nepal, Kathmandu, 1996, p. 58.
[7] Dor B Bista,People of Nepal, Ratna Pustak Bhandar,Kathmandu,1980,p.2
[8] Subba, 2003,p.58.
[9] Ibid.
[10] Jagannath Adhikari, `*The beginnings of Agrarian change : A case study in central Nepal'*, Kathmandu, 1996, p.60.
[11] Ibid.p.61-62.
[12] Ludwig Stiller, *Silent Cry'*, Sah Yogi Prakashan, Kathmandu, 1976, p. 66.
[13] N.R. Shrestha, *Landlessness and Migration in Nepal*, Colarado West View Press, 1990, pp. 292 – 297.
[14] T.B. Subba, `*State of Nepal'*, 2002, p. 121.
[15] Stephen Castles, Migration and Community Formation under Conditions of Globalization, *The International migration Review,* Winter 2002,36,4,Research Library Core,p.1143.
[16] Cited in Ibid.
[17] The states demand for revenue seems to have been initially to finance the Gurkhali states expansionary wars and then for the consolidation of the territory conquered and with the rise of the Ranas for the upkeep of the unproductive elite class.
[18] The raikar land tenure system implied lands under direct control and management of the government and the cultivators were under control of the govt. Only the govt. was entitled to collect land tax and levy any other taxes on them. Krishna B. Thapa, `Main Aspects of Social, Economic and Administrative History of Modern Nepal',Ratna Pustak Bhandar, Kathmandu, 1995, p. 121, M.C.Regmi*, Thatched Huts and Stucco Palaces*, Vikas Publishing House, New Delhi,1978.
[19] *Jhara* labour was used for military purposes as well as other state services. Such labourers were not only required to leave their villages for service in distant places, but were also required to furnish arms and

equipments they had. The villagers enroute to war zones were also required to supply arms, ammunition, etc. within their village boundaries. This relay system called *hulak*, although meant to minimize the Jhara system, it was considered a burden to the villages on the route to the battle front.M.C. Regmi, *A study in Nepali economic History,1768-1846*,Manjishri Publishing House, New Delhi,1971, p. 110.

[20] In some households agricultural production declined due to the shortage of labour, Adhikari, p.69.

[21] Birta means land grants made by the King to individuals, usually on an inheritable and tax-exempt basis. Jagir means the land assigned to govt. employees and functionaries, or jagirdars, in lieu of their emolument. M.C. Regmi, *Thatched Huts and Stucco Palaces*, New Delhi, 1978, pp. 161-62.

[22] An example are the Tharus in the Terai, who were required to provide one member per family for corvee work for hunting trips or royal palace. To minimize the effects of this obligation, these Tharus developed a joint family system, so that many Tharu families has 50, 100 or even more than that number. Further, under the Ranas, any sign of good living among them was considered a sign of savings and their house and property were confiscated. As such these settlers of the Terai never attempted to save, as their savings could not be utilized, but were consumed as feasts. Their position thus became economically vulnerable.

[23] Jagannath Adhikari, `The beginnings of Agrarian change : A case study in central Nepal', Kathmandu, 1996, p. 80

[24] Anindita Dasgupta, 'Othering of the Not-so-other : A study of the Nepalis in Assam', in A.C. Sinha & T.B. Subba (ed), The Nepalis in North-East India: A community in search of Indian identity, Indus Publishing Co., Delhi, 2003, p. 231.

[25] Stephen Castles, Migration and Community Formation under Conditions of Globalization, *The International migration Review,* Winter 2002,36,4,Research Library Core,p.1143

[26] L.S.S. O'Malley, 1907 (Reprinted ed.) 1985, Bengal District Gazetteer, Darjeeling, New Delhi, p. 44.

[27] Table showing Nepali Labourers employed in the Tea gardens, saw mills and oil refineries in Assam. *These include figures for Bombay and Nepal. Source : Report on labour immigration into Assam, 1898, 1899; Resolution on Labour Immigration into Assam, 1902 – 03, 1903 – 04, Shillong.

Year	Total
1897	179
1898	231
1899	188
1901	272*
1902	102
1903	184*

[28] In 1975, the per capita income of the Nepalese people was $115, while it was $136 in India, $6294 in US, $3664 in UK. Central Bureau of Statistics, H.M.G., Nepal, Statistical Pocket Book, Nepal, 1982, p. 210.

[29] M.J. Priori, "Birds of Passage : Migrant labour in Industrial Societies", , Cambridge University Press, Cambridge, 1979 .

[30] A.C. Sinha, 1990, `The Indian North-east Frontier and the Nepalese immigrants, in Himalayan Environment and Culture, Simla, IIAS, 1990, p. 229.

[31] A.C. Sinha, 1990, p. 231.

[32] Ibid.

[33] Massey et al, 1998 , pp. 42 – 43. Massey also suggested the view that migration networks be seen as a form of social capital, in so far as they are social relations that permit access to other goods of economic significance, such as employment or higher wages.

[34] Stephen Castles, Migration and Community Formation under Conditions of Globalization, *The International migration Review,* Winter 2002,36,4,Research Library Core,p.1143.

[35] Ibid.

[36] Sanjib Baruah,*India Against itself:Assam and the Politics of nationality,*OUP,New Delhi, 2001,p.+64

[37] K.N. Datta, Assam District Gazetteer : United Mikir and North Cachar District, Gauhati, 1979.

[38] A.C. Sinha, `The Indian North-East Frontier and the Nepalese Immigrants, in Himalayan Environment and Culture, Shimla, IIAS, 1990, p. 229.

[39] The Transhumance system of raising sheep was followed by the Gurungs in the past, about 50 years ago. Sheep used to be moved from lower to higher altitudes and vice-versa according to the season. During summer season (June – August) sheep were taken as high as 5,600m and during winter (December – February) they were brought down to the village at 1,900m. This practice had ceased by the 1990s. J. Adhikari, p. 191.
[40] Ibid; p. 188.
[41] One of the main features of army service, past and present is that Magars, Gurungs, Rais and Limbus, but not Brahmins and Chettris have been the men mainly involved. Gurungs and Magars have been preferred for their military bearing and skill. Members of these ethnic groups were compelled to join the army for their low economic positions and discrimination within the country for high ranking military positions during the Rana regime. J. Adhikari, p. 85.
[42] Ibid., p. 18.
[43] By hiring oxen they were relieved of the burden of maintaining oxen during the lean farming season. Ibid., p. 184.
[44] Table showing percentage of households owning livestock in a study conducted in the Lachok Riban area in Nepal in 1988 – 1989 based on a household survey Data. Ibid., p. 183.

Ethnic Groups	Cows	Buffaloes	Oxen	Goats	Poultry
Brahmin	61.3	72.6	72.6	75.8	40.3
Gurung	20.0	63.3	25.0	8.3	71.7
Chettri	35.0	57.5	47.5	42.5	55.0
Occup. Castes	29.7	32.4	24.3	18.9	51.4

[45]Sushma Joshi, Nepal in the WTO,(Nepal)NationWeekly;JuneI0,2004. http://www.nation.com.np/archives_3_3_reports_3b.htm.
[46] A.C. Sinha, `The Indian North-East Frontier and the Nepalese Immigrants, in Himalayan Environment and Culture, Shimla, IIAS, 1990, p. 229.
[47] Report of the Special officer appointed for the examination of the Professional Grazing Reserves in the Assam valley,1944,Assam Archives, Guwahati.p.2.
[48] Ibid. p.11.
[49] Ibid.p.7.
[50] Cited in Purushottam Bhandari, *Freedom Movement and Role of Indian Nepalese*,1800-1950,Mrs. Rama Bhandari, Jagiroad, 1996, p. 42.
[51] The Baraimala center was under the Mahajan Bidyapati, while the Ama Chapari under the leadership of Chabilal Upadhyay. Sajal Nag, `Fei-sation of the Nepalis of North-East India in Sinha & Subba (ed.), 2002, pp. 184 – 193.
[52] Progress Report of Forest Administration in the province of Assam, 1895 – 96, p. 13.
[53] Names like Forse Tapu, Rani Tapu, Shordar Tapu. The name `*Forse*' in Nepalese meant pumpkin or `*mitha* lao in Asamiya. An officer of the Forest Department mentioned that there were large pumpkin plantations there. Another explanation offered was that the *char* was named after a popular and rich milkman or *khutiwallah*, whose name was *Forse*. In other words, the name *Forse Tapu* stood for Forse *Khutiwallah's Char*. Similar explanations are offered for the other names. What emerges from these stories and names is that the *Chars* with Nepali names had been settled earlier than those with Asamiya or Bengali names, Dasgupta, A. (2001) : `Emergence of a Community : Muslims of East Bengal Origin in Assam in the Colonial and Post-Colonial Period", Unpublished Thesis, G.U.
[54] Cited in Tejimala Gurung, Human Movement and the Colonial State : The Nepalis of North-East India under the British empire in Sinha & Subba ed., 2003, pp. 172 - 183.
[55] Amena Nora Passah, in Sinha & Subba ed., 2003, p. 284.
[56] A. Guha, *Planter-Raj to Swaraj :Freedom Struggle and Electoral Politics In Assam 1826-1947*, Peoples Publishing House, New Delhi, 1988, p. 91 – 94.
[57] In the year 1892 – 93, 13,025 buffaloes and 1162 cows paid grazing fees amounting to Rs. 6772. Progress Report of Forest Administration in the Porvince of Assam, 1892 – 93, p. 10, cited in Tejimala Gurung, op. cit.
[58] Ibid.

[59] In 1888, the fees was 8 annas per annum per head of buffaloes and 4 annas per head of cows. In 1907, it was raised to Re. 1 per buffalo and still higher in 1912 and continued to Rs. 3 per buffalo and annas 6 per cow, in 1917, in the Assam valley, Garo Hills and N.E. frontier. In the Hill districts, a rate ranging from Rs. 4 to Rs. 6 was in force since 1917 – cited in A. Guha, 1988, p. 91 – 92.

[60] No. of buffaloes taxed : 1895 – 1920.

Yr.	1895	1900	1905	1910	1915	1920
No.	15,640	18,735	24,346	40,000	42,000	86,325

Revenue Collected : 1916 – 1921

Yr.	1916 – 17	1917 – 18	1919 – 20	1920 - 21
Rs. 1000	183	342	277	341

Source : A. Guha, 1988, p. 92.

[61] A. Guha, 1988, p. 93.

[62] Report on the Administration of Assam 1912 – 13, p. 5.

[63] Extract Revenue department, No. 79R, dt. 8 Jan 1938, p. 2.

[64] Report on the Land Revenue Administration of the Assam valley division for the year 1939 – 40, p. 10.

[65] Revenue collection in terms of foreigners tax @Rs. 5 a year for each male adult and grazing tax of large number of cattles/buffaloes levied @Rs. 14 per year for each buffalo and Rs. 12 for each herd of cattle were a good source of income for the state. Foreigners Member of the Manipur State Durbar memo No. 876 PG/I – III dated 12/11/1946.

[66] Order issued by C. Gimson, ICS, Political Agent in Manipur, PMSD, dated 1st May 1933, Manipur State Archives, cited in G.K.N. Chettry, The Nepalis of Manipur : Movement and Settlement in Sinha & Subba (ed.).

[67] Ibid, pp. 310 – 14.

[68] Report of the Special officer appointed for the examination of the Professional Grazing Reserves in the Assam valley,1944,Assam Archives, Guwahati.p.9.

[69] Purushottam L Bhandari , Evolution and growth of the Nepali community in N.E. India, in Sinha & Subba (ed.), 2002, p. 121.

[70] Some of the societies are : Tezpur graziers, Biswanath Chariali, Singri, Barpuja, Monaha, Chandrapur, Amerigog, Banda, Birkuchi, Dudhnoi, Rampur, Bokajan, Athgaon, North Jamuguri, sadiya etc. Ibid.

[71] Ibid; pp. 121 – 122.

[72] Interview with G. Sharma, aged 50, Guwahati.

[73] "The Kathmandu Post" 24 December 2002

[74] A.C. Sinha, 1990, p. 230.

[75] Lopita Nath, 'Cross border Labour Movements: The Nepalis in Northeast India', Paper presented at the workshop on Labour Migration in an Earlier Phase of Global Restructuring, Xiamen University,China,Sponsored by SEPHIS,18-20April,2004 (Unpublished Paper),Cited in.

[76] A.C.Sinha, Indian Northeast Frontier and Nepali Immigrants,(cited In), T.B. Subba & Sinha (ed.) 2003,p.47

[77] Agni B. Chetri, Itixaxar Adharat Asamar Nepali,(A Historical perspective of the Nepalese in Assam),Sri. Satyabrata Chetri, Galia, Biswanath Chariali, 1996, p. 109.

[78] Report of the Special officer appointed for the examination of the Professional Grazing Reserves in the Assam valley,1944,Assam Archives, Guwahati.p.8.

[79] P. Bhandari, Freedom Movement and the role of the Indian Nepalis, Jagiroad, Assam, 1996, pp. 87 – 91.

[80] Ibid.

[81] Guha, 1988, p. 282.

[82] Memo No.RSD-26/64/Pt/15 dated 17th June 1969. The order was as follows "the Governor of Assam is pleased to declare that the Nepalese who were notified as protected class of this department are hereby and henceforth excluded from the list of protected class", cited in Purushottam L. Bhandari, Evolution and Growth of the Nepali community in N.E. India in T.B. Subba & Sinha (ed.) 2003, p. 121.

[83] Cited in Ibid.

[84] Lopita Nath, Conflict afflicted Nepalis of Assam: The Reality,in T.B. Subba & Sinha (ed.) 2003,p.214.

[85] Lopita Nath, Conflict afflicted Nepalis of Assam: The Reality,in T.B. Subba & Sinha (ed.) 2003,pp 217-225.

[86] In April 1980, several villages in the Sagolmong areas in the sadar sub-division inhabited by Nepalese were burnt. Those, who visited the area witnessed the most horrific sight of devastation, some corners being unapproachable because of the slink of rotting carcasses of cattle which were burnt to death. This was the worst anti-foreigner violence in an area with a history of extremist activity (Sunday, 8th June, 1980).

[87] Census of India, 1931, Vol. 3, Part 1, Central Publication Branch, Calcutta, Vol. 3, Shillong, 1932, p. 53.

[88] The Kathmandu post, September, 29,2003.

[89] In the agitation against the foreigners, the Khasi students and the Government of Meghalaya were in agreement on the deportation of the Nepalis outside the borders of the State. 12,000 Nepalis were detected as foreigners, of whom 7,000 to 10,000 were expelled in February – March 1987. Thereafter as a result of an understanding between the Governments of Meghalaya and Assam, these evicted persons were jointly escorted to the Assam-Bengal Border from where the exodus was guided upto the Nepali border.

[90] The Kathmandu Post, September, 29,2003.

[91] Partha S.Ghosh, *Migrants and Refugees in South Asia: Political and Security Dimensions*, North-Eastern Hill University Publications, Shillong, 2001,pp42-3 The GNLF movement had Assumed some international dimension when on 23 December 1986,Ghishing wrote a letter to the king of Nepal, with copies to the two superpowers, the UN and the South Asian States, pleading for justice for the ‘ unpardonable and historical crimes against humanity or still unresolved question of the very political existence or future status of the Gorkhas in the Indian Union’.

[92]Sanjoy Hazarika, *Strangers of The Mist, Tales of War and Peace from India’s Northeast*, New Delhi: Penguin Books (India), 1994.Cited in RCSS Policy studies 15.

[93] The submission of a particularly strong-worded petition drafted by himself and a group of seven other high ranking officials, resulted in Royal Advisory Councilor T.N. Rizal being jailed for three days on the grounds of “treason”. He was then freed with the caveat that he should be seen with no more than two others at one time. This warning signal caused T.N. Rizal to flee first to Assam, India and then to Southern Nepal, where he pledged to fight for the rights of the Lhotshampa people in exile.RCSS Policy Studies 15.

[94] Ibid, p. 130.

[95] Nathan Glazer and Daniel P Moynihan (ed.) *Ethnicity : Theory and Experiences*, Harvard University Press, Boston, 1976.

[96] Milton Gordon, *Assimilation in American life*, Oxford University Press, New York, 1964, p. 24.

[97] Interview with Min Raj Joshi, 50 yrs., President of the Greater Guwahati Gopalak Sanstha, Guwahati.

[98] Interview with Ram Chetri, 45 yrs., a dairy farmer in Jorhat.

[99] Interview with Narayan Sharma, 25 yrs., Milk Supplier in Guwahati.

In accordance with your request, I am resubmitting my abstract below.

1. Recognizing States and Governments under International Law: Moral Principles, Political Realities

2. name(s) of the author(s): Chris Naticchia
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6. abstract (below)

When the international community recognizes political entities as states, it confers upon them the rights and powers of statehood. These include the right to territorial integrity, the right to noninterference in their internal affairs, the power to make treaties, and the right (subject to certain restrictions) to enforce legal rules on those within their territory. According to the*justice-based*account of recognition, political entities ought to be recognized as states if and only if they satisfy minimal requirements of internal and external justice. According to the*pragmatic*account, they ought to be recognized as states if and only if cooperating with them and giving them international support would be the best means of achieving peace and justice among and within them -- that is,*global*peace and justice -- whether or not they themselves currently satisfy minimal requirements of internal and external justice. My aim is to show that, despite the intuitive appeal of the justice-based account, we should embrace the pragmatic one instead. If we embrace the justice-based account, I hope to show, the international community would be forced to choose between endangering global peace and justice and compromising its credibility. To avoid this, we should keep our standards for recognition separate from our standards for justice, as the pragmatic account recommends. Admittedly, this does involve a compromise: we may have to grant recognition to some unjust entities as a result. But it is a compromise in the right place. It is a political compromise, not a philosophical one. Our theories of justice need to be taken seriously too.

Knowledge in the Garden of Eden: Haydn's *Creation* and the Enlightenment

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Creation, one of Joseph Haydn's last and most popular oratorios, premiered in a private performance in Vienna in 1798. Its libretto, from an earlier text intended for George Frederick Handel, is based on Milton's *Paradise Lost*. In adapting the original English text, the librettist, Baron Gottfried van Swieten, added a third part to the work which restates the previous acts of creation, and alludes to Adam and Eve's expulsion from the Garden of Eden. The latter, however, is not the focal point of the oratorio's conclusion, but a reference to knowledge already possessed by the audience.

Previous studies have shown that the opening duet of Part 3 suggests both a hymn and an operatic aria form popular in the late eighteenth-century. Simultaneously suggesting two genres, one sacred and one secular, at the conclusion of the work is striking. Considering the eighteenth-century audience's knowledge of the Creation story and the importance of the writings of Anthony Ashley Cooper, the Third Earl of Shaftesbury, in late-eighteenth century Vienna, this mixing of sacred and secular suggests a much more subtle interpretation of the Creation story by both the librettist and composer.

My paper will examine the interaction between the secular and the sacred in Haydn's *Creation*. I will focus my discussion on the end of Part 2 and the whole of Part 3 of the oratorio in order to demonstrate how the source text, libretto, and music, coupled with the intended audiences' knowledge of Original Sin, present a new, even non-traditional, view of the Garden of Eden.

TITLE OF PAPER:

INTERSECTIONS AND JUNCTIONS: ART AND TECHNOLOGY IN GEHRY'S GUGGENHEIM MUSEUM IN BILBAO, SPAIN

TOPIC AREA: Art/Architectural History

PRESENTATION FORMAT: Research Paper

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INTERSECTIONS AND JUNCTIONS: ART AND TECHNOLOGY IN GEHRY'S GUGGENHEIM MUSEUM IN BILBAO, SPAIN

Under the direction and creative forces of Frank O. Gehry, art and technology intersect in an unprecedented manner at the Guggenheim Museum in Bilbao, Spain. This amalgamation of ideas serves as a foundation for a new type and style of architecture. For this merged style, I have coined the term, Technomorphism. This research paper serves as an explanation of the newly coined term and substantiates Gehry's vanguard approach, which can be understood as a new paradigm in architecture.

This paper further places Gehry, who has been a preeminent name in architecture since the October 1997 opening of the Guggenheim Museum in Bilbao Spain, in the lineage of modernist history. Little has been written to posit him in a historical position because many scholars feel that at least a decade should pass between inception and assessment of a project. However, several issues are readily apparent in this building, necessitating the opening of new dialogue. Among the numerous potential avenues for research on the Guggenheim is the blending and merging of traditional art forms with cutting edge technology and its meaning to architectural history.

Specifically, Gehry uses a sketchy linear drawing method that he and his staff convert into three-dimensional models. These models, first built from strips of paper by Gehry himself, are later transposed by long established methods into models and then digitized into a computer using a software program called CATIA (Computer Aided Three dimensional Interactive). Once digitized, the virtual model is examined for feasibility of construction and altered as necessary. T-squares, straight edges, and CAD (Computer Aided Drafting) are left behind for a leap into vanguard e-technology that is

driven by the architect's artistic vision. Once viewed with extreme skepticism, computer assisted design is now seen as a viable methodology.

Incorporated within the discussion of Gehry's vanguard techniques is a critique of his techniques and a discussion of the numerous art and architectural elements he transformed and employed. This paper addresses the historical significance of these acts, using the framework of the early twentieth century artists and architects. Within this context, I maintain that Gehry resolves the seemingly irreconcilable issues—art versus industry—resoundingly expressed in Deutsche Werkbund Debate of 1914. Hermann Muthesius and Henri van der Velde, the main protagonists during pre-World War I Germany, voiced their opposing concerns over creating a new style that would promote industrialization. Revealed in this paper is that Gehry's landmark design is the final reconciliation of the early modernists' dilemma. His unprecedented working methods incorporate traditional art media such as drawing and sculpture, seamlessly woven into the world of technology. The intersections and junctions applied in his work can be read in the final product and reflect our contemporary world of global inclusion. Gehry's use of a previously unexplored methodology to create a building of its time leads architectural history and pedagogy into the future.

Title: Kaddish: A Jewish Prayer in Western Art Music

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ABSTRACT

Jewish music originated in the Middle East but has spent almost 2000 years in exile, developing amidst other cultures. The Jews of Europe, despite being restricted to ghettos for many centuries, were nevertheless influenced by the art and culture of their neighbors, and likewise contributed to the artistic development of their host communities, especially in Europe after the period of emancipation. Among the prayers that have attracted special interest for composers of western art music is the Kaddish.

An integral and vital part of the Jewish liturgy common to communities of Jews around the world, the Kaddish is a prayer of sanctification that is mentioned as part of the prescribed synagogue daily prayers for the first time in tractate Soferim 10:7 ca. sixth century C.E. It is believed, however, that the first Kaddish was written several centuries earlier, maybe as early as 440 B.C.E.

Many composers of western art music have chosen the Kaddish as the basis for a musical composition. A search of the music literature reveals several compositions titled Kaddish, and in each case, the connection is unique but not always clear. One explanation for this fact is that over the centuries the Kaddish has evolved as a prayer with diverse uses and associations, and many musical variants. Therefore, composers have been inspired to present the Kaddish from different perspectives. This paper will focus primarily on the works of three composers, Salamone Rossi, Maurice Ravel and Leonard Bernstein and will explore how the Kaddish functions within the musical structure and how it influences the artistic conception. Studying the old cantorial manuscripts and anthologies and the diverse collection of concert works led me to compose a Kaddish of my own.

The workshop presentation will include a discussion of several of the musical works and include both live performance and taped examples.

TITLE PAGE

Title of submission (completed research): A Linguistic Perspective on Plural Form Variation and Loan Nouns in the History of English

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ABSTRACT / SHORT VERSION OF PAPER

A Linguistic Perspective on Plural Form Variation and Loan Nouns in the History of English

John G. Newman

As reflected in the contents of trusted English language references such as *The Oxford English Dictionary* (Murray et al. 1989), *The Cambridge Grammar of the English Language* (Huddleston and Pullum 2002), and *Webster's Dictionary of English Usage* (Gilman 1994), certain nouns which have been borrowed into English at various times today exhibit two plural forms- one native and one foreign (e. g. *spectrums* / *spectra*). The situation reveals a tension between grammatical processes and social norms, and presents pedagogical difficulties. Relying primarily on evidence from a variety of Modern English textual sources, this paper 1) attempts to demonstrate that Latin loan nouns- the largest group of irregularly pluralizing loan nouns- have occurred in native *s*-pluralized form relatively frequently in informal or non-technical texts and have also occurred in *s*-plural form not rarely in formal or technical texts, and 2) suggests that in order to (socially) appropriately pluralize the various Latin and other loan nouns which take more than one plural form, speaker-writers of Present Day English must make reference not to some measure of absolute correctness but to speech register and semantic context of usage.

It is widely assumed that the regular *s*-plural forms of such loan nouns have been used in Modern English almost exclusively in informal, non-technical speech and writing. However, a review of the history of loan noun plurals in Modern English exposes a variegated picture of usage with regard to register and context. In particular, significant numbers of Latin loan nouns are attested with the native plural ending *–(e)s* in formal or technical texts such as scientific magazines and academic textbooks. In fact, data recently culled indicate that *s*-nativization has constituted the dominant pattern among Latin loan nouns since the 16th century.

When this evidence is coupled with similar evidence from patterns among Old Norse and Old French loan nouns, it is seen that *s*-pluralization has constituted the regular pattern among foreign nouns as a group since Middle English times. However, irregular, non-*s*-plural forms continue to occur beside regular *s*-plural forms in Present Day English. Since the mental grammars of English speakers would naturally nativize, i. e. regularize, all borrowed nouns, the maintenance of irregular plural forms of loan nouns implicates correction. The logic responsible for foreign plural forms of loan nouns is social not linguistic. Noun plural form variation is significant to English language education not only because educated English speaker-writers are expected to be cognizant of irregular foreign noun plurals, but because these speaker-writers face a choice whenever they must pluralize a partially integrated loan noun, a choice which demonstrably has social causes, inevitably has social consequences, and certainly can be addressed to profit in the classroom.

The possibility of negative consequences encourages speaker-writers to consider speech register, semantic referent, and ultimately audience response when forming the plurals of semi-integrated loans such as *spectrum*, *solarium*, *nucleus,* and *antenna*. In Academic English, the plural *solaria*, containing the alternant *–a*, is commonly preferable to the plural *solariums*, which is formed by the attachment of the regular *s*-plural ending. However, in Business English the reverse is true. Likewise, it is conventional for physicists to speak of *atomic nuclei* not *atomic nucleuses*, and for linguists to speak of *sentence nucleuses* not *sentence nuclei*. For the majority of speaker-writers of Present Day English, the plural *antennae* refers to insect feelers while the morphologically equivalent *s*-form *antennas* refers to aerials. Where alternation exists, what is "standard" depends on register, referent, or both.

No doubt the *s*-pluralization of loan nouns in the history of English highlights the interface of internal linguistic processes and external usage circumstances, an interface often pedagogically problematic. Attention to audience has ever been an integral element of English language education. However, insistence on "correct" plural forms of foreign nouns- regardless of context- remains ubiquitous. Research activities which provide students with opportunities to explain current as well as historical patterns of pluralization among foreign nouns may help them realize how fully the *s*-plural rule has operated upon borrowed nouns and how imperatively sociolinguistic *desiderata* have recommended the use of irregular, foreign plural forms of loan nouns in the history of English.

Submission to present a paper at:

The 3rd Annual Hawaii International Conference on Arts and Humanities

(a) Title of Submission

"Language and Identity in the Maori Community"

(b) Topic area: Sociolinguistics – Language & Identity

(c) Presentation format: Paper Session, Student Research
30 minute session

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Abstract:

Contemporary Maori views of the link between language and identity appear to have some marked differences to those of traditional Maori views. In traditional Maori society the link between identity and te reo Maori (Maori language) is seen as essential as identity is most usefully expressed through whakapapa and tātai (geneology), pepeha (tribal sayings) and whakataukī (proverbs). Te reo is paramount to understanding the images expressed as it provides the appropriate articulation for matauranga Maori (Maori knowledge) and traditionally, it is seen as the vehicle through which the culture is transmitted down through the generations. A national survey undertaken in the 1970's picked up on a severe decline in Maori language use and prompted the implementation of some strong revitalisation efforts. Although there has been institutional success in increasing the numbers speaking te reo, through language learning programmes in schools and in the community, intergenerational transfer within the home is still not the norm. The diminished use of te reo appears to have weakened the link between language and identity for Maori contributing to altered understandings of Maori identity today. This paper addresses these concerns using census and survey data to demonstrate this phenomenon and begins to explore the reasons for the apparent different perceptions.

HICAH 2005 Conference Proceedings Submission Information

1. Title: Lessons to Live By: Didactic Themes in Clyde Edgerton's Commencement Remarks & Major Novels

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6. Abstract*: This paper represents a draft of a chapter from my dissertation on modern literature of the American South and its connection to Southern oratory. Focusing on fictionist Clyde Edgerton and a 1998 commencement speech he delivered in Wilmington, North Carolina, the paper traces the themes apparent within those remarks as they manifest themselves again and again in the author's major novels, proving that – as Walt Whitman wrote – "speech is [the] twin of my action."

*(The entire paper is in the second attachment.)

Lessons to Live By: Didactic Themes in Clyde Edgerton's Commencement Remarks & Major Novels

In a 1998 commencement speech at the University of North Carolina-Wilmington (UNC-W), Southern fictionist Clyde Edgerton offered graduates four lessons to live by: "listen to your heart, listen to old people, talk to children, & listen to the blues." Though at times the tone of this address is tongue-in-cheek, these four points are serious business to Edgerton in whose major works one can easily trace these same themes.

Listen to your heart. Edgerton's first piece of advice is common fare at graduation ceremonies worldwide, hackneyed words of wisdom promptly forgotten by those in the audience. However, Edgerton revitalizes his message through a short, humorous introduction that makes this lesson both meaningful and memorable. Under the guise of a letter from the writer's cousin, Edgerton instructs these recent graduates in the merits of Aunt Dormalee's brand of economy:

> I know what is wrong with the situation in the United States. The economy. And I know what people can do about it. If people would just look at my Aunt Dormalee we would stop needing companies to hire people because nobody wouldn't need much money . . . . Big companies wouldn't be needed to produce paper towels, for example, because Aunt Dormalee, right now, today, is using just one paper towel and one paper towel only, all day, and that is the very paper towel she started using in the winter of '95, which is when the one she'd BEEN using since '91 just disappeared into thin air.

Along the same vein, he warns that "you graduates better start thinking about the economy and your place in it. And the next time you blow your nose on a Kleenex, if you must use a Kleenex,

look at that Kleenex and realize all that room for other blows." All of this by way of explaining that, though the reading of an unknown cousin's letter by a commencement speaker is unorthodox, in his heart Edgerton wants to share this letter and its economical philosophy, and so he does, following his own advice and listening to his heart.

But Aunt Dormalee's economics represents far more than a construct designed to revitalize a commencement cliché and to prove that Edgerton practices what he preaches; it is a no-waste-use-it-up-and-wear-it-out philosophy pictured throughout Edgerton's Hansen County fiction and practiced by the Listre and Summerlin populace. Mrs. Claude T. Clark, devout church secretary in *Where Trouble Sleeps* (1997), for instance, prefers to bathe without a washcloth: "She'd never liked to use a washcloth. There's no tool like your hands, somebody said. She just didn't see any sense in it and besides that, a washcloth got to smelling bad if you didn't keep it washed out, which didn't make any sense" (53). Holister Jackson, head mechanic at Summerlin's Sunrise Auto Repair Shop, and his son Vernon in *Killer Diller* see no need for paper towels; they use a single rag for all of their kitchen clean-ups (68). And then in *Lunch at the Piccadilly* (2003) there's Clara Cochran of Rosehaven Convalescence Center in Listre who restates in her own rhetoric Edgerton's remarks to the UNC-W class of '98:

> Why people don't have sense enough to hang up and dry out and reuse a paper towel, she cannot for the life of her understand. At the hospital they use everything once and then throw it away, lock, stock, and barrel. At Rosehaven too. Any fool can see that's wrong. The power belongs to manufacturers and office people and government people all over the globe, fools who don't have sense enough to use something twice, always busy wasting somebody else's

> money, then going home and doing the very same thing, not ever thinking about how much they waste every day. (50)

But the most overt connection between Edgerton's message of thriftiness espoused at the Wilmington Commencement and his fictional characters is Aunt Naomi of *Raney* (1985) who practices a frugality with tissues that would make even Dormalee proud: "Aunt Naomi blew her nose on this Kleenex she had been fumbling with. She had a cold. She can get more nose blows on one Kleenex than anybody I ever saw. She always ends up with this tiny corner which she slowly spreads out, then blows her nose into" (8).

But beyond economy *Raney* illustrates Edgerton's larger message on the essentiality of hearing one's heart. Referred to as "a romp through the conservative mores and customs of the rural South," *Raney* is Edgerton's best and most illuminating fictional representation of this first theme from the '98 Commencement (Parker 156). Raney Bell, the title character, has grown up in the small-town Piedmont region of North Carolina among ages'-old legends and customs, lively family members, and the powerful influence of Bethel Free Will Baptist Church. For her and her family, tradition and sameness are paramount, so when Raney falls in love with and marries an Atlanta man with an Episcopal mother and a black best friend, she literally follows her heart, as opposed to her raising – as Edgerton urges his graduates to do – and breaks the mold of what is expected. Time and again Raney's husband Charles and she clash over issues that threaten to end their marriage – Charles' appreciation of wine when Raney has been raised to view drinking as a sin, Raney's prudish approach to her sexuality versus Charles' readiness to experiment and his penchant for pornography, Charles' desire for privacy and Raney's open-door policy. Examples abound, but each time Raney is faced with a decision between listening to her heart or blindly following her raising, she ultimately chooses the path of her heart, and thus

her marriage remains intact at novel's end. This in no way implies that Raney Bell Shepherd always acquiesces to her husband's viewpoints. Quite the contrary, Raney's path frequently conflicts with Charles', causing Raney to question whether or not her *husband's* heart is in the right place.

In Part Two of *Raney*, poignantly entitled "Civil War," Raney finally persuades Charles to take part in an event that is important to her and her family. The Golden Agers is a senior citizens club organized by Raney's Aunt Flossie, and each fall the seniors are treated to a day of bluegrass music and Civil War reenactments complete with authentic cannon fire. For Raney, the elderly are Listre's most valuable natural resource. She is taught by her mother and Flossie "to be good to old people." But "this is one of the areas of life Charles does not understand . . . . Charles thinks old people are all supposed to grace him with a long conversation on psychology" (104), and when they fail, as Mrs. Moss did, and embark instead on a lengthy story about "falling off the commode and having a hairline rib fracture," Charles dismisses them as senile and self-centered, "unable to comprehend anything beyond [their] own problems" (104-105). This disparaging attitude provokes Raney to state: "Charles. Sometimes I wonder about your heart" (105). Such a statement leaves little option for Charles, who readily agrees, at this point, to assist with Golden Agers' Day.

Here, Raney also epitomizes Edgerton's second piece of advice to the graduating class of '98: "Listen to old people." Edgerton encourages his audience to collect family history and myth through conversations with the elderly that include specific questions, for "in so doing you are defining yourself." *Raney* appears as a testament to this advice not only in the main character's relationship with the widow Moss, who has taken Raney under her wing to teach her such useful skills as how to keep applesauce from turning brown in the jar, but also Raney's

Uncle Nate, a disabled WWII veteran (105). When sober, Uncle Nate is Raney's favorite uncle largely because he is the keeper of family stories and a natural-born storyteller: She "loves his stories about when he was growing up with Mama and Aunt Flossie and Uncle Norris . . . and their Uncle Pugg" (12). Through Nate, Raney has learned much about her family's history & thus much about herself, so when her own efforts at reformation fail, she allows Nate's stories to serve as the vehicle through which to educate her husband Charles, hoping that he will redefine himself according to the standards of her background and community.

Perhaps the most divisive issue in Raney's marriage concerns race. A liberal-minded big city boy hailing significantly from Martin Luther King, Jr.'s hometown, Atlanta, Charles befriends a black man named Johnny Dobbs while in the Army. After Raney discovers that Johnny is planning a visit to her and Charles' home in Listre, she vows to herself: "If he *is* a nigger, he can't stay here. It won't work. The Ramada, maybe, but not here" (32). Raney attempts to explain the racial climate of her community: "Charles. The army has been segregated since 1948, you said, but Listre still has the black Laundromat and the white Laundromat and nobody complaining – neither side" (62). Her words fall on deaf ears, however, as Charles simply corrects Raney's vocabulary and puts this confrontation off till another day: "You mean the army has been *integrated* since 1948 . . . . Don't worry about it. He's not coming any time soon as far as I know" (62). When the issue does arise again, it is exacerbated after Raney overhears Charles asking Johnny to be godfather to her child. Raney, flabbergasted, thinks to herself: "I don't know what a godfather is supposed to do, but if a black gets legally kin to my family, we'll have to move to Hawaii. Charles and me will just have to have a heart to heart talk about it. I'll have to explain about how it is" (237). However, Raney's "heart-to-heart" never

takes place; instead the couple arrives at a compromise that seems to have been inspired by one of Uncle Nate's stories.

Spinning yarns around the Sunday dinner table that brings together Raney's family, Charles, and Charles' mother Millie, Nate shared a story about Uncle Springer & his black servant Monkey's humorous first encounter with a light bulb:

> Uncle Springer took Monkey to Raleigh one Christmas . . . . They got snowed in and there was a light bulb in the room where they spent the night in somebody's house. For some reason Monkey ended up staying with Uncle Springer in the same room. Anyway, Uncle Springer hadn't ever seen a light bulb and of course Monkey hadn't and they didn't know it had a durn switch on it to cut it off and so before they went to bed – I imagine Monkey slept on the floor – before they went to bed they put a chest of drawers up on another table and some chairs and so on and put the durn light bulb – course they didn't know it unscrewed either – they put the durn light bulb in the top drawer and closed it and then went to bed and got a good night's sleep. (83)

Though Raney and her family had heard this story a few times before, they allowed Nate to continue for the benefit of Charles and his mother. Essentially, Nate's story is one of racial sameness. That is, both men visit Raleigh for the same purpose – to sell quail – and neither the black hired hand nor the white uncle know how to, pardon the pun, unscrew a light bulb. Embedded within Nate's story, however, are a couple of racist asides designed to communicate the family's preference for racial separateness: Monkey sleeps on the floor, for example, in an inferior position to Uncle Springer, having wound up "for some reason" in the same room as Springer. This story represents a key moment in Charles' education in Hansen County race

relations because, while Johnny ultimately does become godfather to Raney and Charles' baby, in the *Hansen County Pilot* birth announcement, readers discover that Charles has assimilated to Raney and Nate's culture of separateness: "Mr. Johnny Dobbs, from New Orleans, was named godfather and is visiting for a few days. He is staying at the Ramada Inn" (245).

In subsequent novels, Edgerton continues to reinforce his listen-to-old-people lesson. Ted Sears, Ballard University President, in *Killer Diller* (1991), boasts about how he "knows (grew up with the knowledge of) how to get along with elderly widows – when to visit, what to say, what to eat, how much, and how long to stay" (35). And six-and-a-half-year-old Stephen Toomey of *Where Trouble Sleeps* (1997) learns, like Raney, essential life skills from elderly members of his community, particularly old maid sisters Mae and Bea Blaine. From these elderly women, for instance, Stephen learned to chip nickel-sized pieces of ice from a larger block, to shoot chickens, and not to "ever play with yourself, you hear me, and since you don't have no brothers and sisters, you're going to have to take care of your mama and daddy" (145). But this theme finds its most eloquent expression in the unlikely character of Wesley Benfield.

First introduced as the teen-aged protagonist of *Walking across Egypt* (1987), Wesley is doing time for auto theft at the Young Men's Rehabilitation Center. He represents the quintessential delinquent: born out of wedlock, abandoned by his biological parents, no upbringing to speak of, in short, condemned to a life of crime. But his placement in the Rehab Center instead of jail proper indicates that Wesley is still young enough to be reformed, and seventy-eight-year-old, church-going, grandma-in-waiting Mattie Rigsbee is inspired to assist him after her preacher gives a stirring sermon on the Christian obligation to aid "the least of these my brethren" (75). From their very first encounter in the YMRC yard, Mattie imparts some

of her generation's mores to young Wesley and, though he has no real obligation to do so, Wesley hears what Mattie has to say:

> 'I brought you a little something. I'm Mattie Rigsbee. . . . I can tell you smoke by your color.' 'Well, good for you.' Wesley eyed the paper bag. 'I don't smoke *now*. I ain't got no cigarettes. Ain't had none for two days.' 'You stop smoking and your color will improve.' 'Who gives a shit whether my color improves.' Mattie stared at him. 'I do. And listen, son, you shouldn't ever talk that way around a lady' . . . . 'You brought me some cake and pie?' 'I'm going to take it back if you don't apologize' . . . . Mattie was still standing. 'Yeah, I'll take a piece of cake and pie. I apologize.' (90-91)

Here, Wesley has already begun to redefine his conduct according to Mattie's instructions, and Mattie continues to guide & influence Wesley after he breaks out of the YMRC and shows up at her home. Telling her that he is on leave and in need of a place to stay for a few days, Mattie agrees to let Wesley stay in her home; however, she quickly sets forth some rules: "Wesley, say the blessing, son," (116) "Listen, let me tell you something: I got to get up and go to church tomorrow morning and if you want to stay here then you're going to have to go to church too," (123) and "Young man, there will be no cussing in this house" (129). Thus, in *Walking across Egypt*, Mattie begins the business of schooling Wesley in the etiquette of polite Southern society and in Christian religious practices. The most significant scenes illustrating Mattie's positive effects on Wesley, however, occur not in this novel, but rather in its sequel *Killer Diller* (1991).

Now a partially reformed twenty-four-year-old man, Wesley goes to church each Sunday, plays in a gospel group, and teaches masonry to a mentally-challenged youth, but thanks to his habit of "borrowing" cars, he resides in Ballard University's BOTA (Back On Track Again)

House, a Baptist-operated halfway house for wayward young adults. Though Wesley clearly is not perfect, he has undeniably come a long way owing to Mattie Rigsbee's influence, and Wesley is the first to give her the credit for important aspects of his semi-reformation. Wesley tells us repeatedly, for instance, that he learned the art of the handshake from Mattie: "Mrs. Rigsbee taught him to look the person in the eye, reach out with his hand, use a firm grip" (15); "Wesley thinks again about Mattie Rigsbee, how she taught him to shake hands. He squeezes firmly, looks Dr. Fleming in the eye" (30). Mattie also brought Wesley into the fold and introduced him to the Bible: "Mrs. Rigsbee got him out of the rehabilitation center and then on the road to salvation," and "Mrs. Rigsbee, sitting on her faded green couch that she kept saying needed covering, taught him how to use the concordance [to the Bible]" (45-46). From Mattie, too, he has learned about dental care: "Four crowns up top in front, and a partial plate on bottom . . . . Mrs. Rigsbee paid for it all. Decent teeth meant almost as much to her as Jesus" (78). Wesley's relationship with the elderly Mattie has proven fruitful in obvious ways, but Mattie is far from finished. She still reviews with him the need for polite address as when she says, "I thought I taught you to say 'ma'am'" (81).

Clyde Edgerton's belief in the potentially fertile interaction between young and old is played out also in several scenes in which Wesley interacts with the residents of Shady Grove Nursing Home. As Mattie and Wesley go to visit Mattie's sister Pearl, herself a resident, readers discover that "When Wesley lived with Mrs. Rigsbee, she brought him out here to the nursing home before Pearl was ever over here and got him talking to these people, so he feels pretty much at home. He feels like he's doing good, visiting" (85). Familiar with most residents' stories, Wesley knows not to untie Miss Emma's wheelchair which is tied to a handrail because she "has twice wheeled her chair down Interstate 40," and he knows that walking canes will

likely be thrown at him if he changes the channel in the TV Room (85). When, after seeing a camera flash, Mr. J.D. Smith faces the back corner, covers his head, and yells "Japs!" Wesley understands that this is the logical reaction of a war veteran who periodically suffers flashbacks (232). Consistently, Wesley listens patiently, without interrupting, to the elderly, especially to Mattie as she describes her toenail-cutting fiasco and complains about the exorbitant cost of corn pads, $1.44 on sale.

A shining fictional example of what Edgerton hopes the graduates he is addressing will become, Wesley attempts to learn even more about his adopted grandmother. After the two discuss his future plans, he asks: "'What dreams did you have?'" But Mattie easily evades Wesley's open-ended question, saying "Oh, nothing. Eat that last piece of cornbread. I'll tell you some other time'" (167). After Mattie has a heart attack and is hospitalized, that other time seems to arrive. Having injured himself escaping from BOTA House after curfew, Wesley winds up in the hospital with Mattie who tells him: "I always wanted to play the violin. For a long time I wanted to, then I stopped wanting to. . . . I always wanted to play violin. And go to Carnegie Hall. That's what I dreamed until I was too old – one of the things" (204). Hearing something completely incongruent with the Mattie he knows causes Wesley to want to hear all of her stories: "All of a sudden he feels he needs to ask Mrs. Rigsbee a lot of questions. He's never really known a lot about what she thinks about besides Jesus and food. What she used to think about" (204). But Wesley's questions will have to be more specific than his first attempt if he is to provoke a story from Mattie.

Apparently a common pitfall of the younger generations, ambiguity is something Edgerton had warned those 1998 Wilmington graduates about:

> Don't say, 'tell me some family stories.' You've got to get more specific than that. Here's what that will get you: A man in California once told me about visiting his grandmother in Michigan. He hadn't seen her in thirty years, decided to surprise her, knocked on the door and said, 'Hi, Grandma. I'm your grandson, David.' 'Come in,' she said. They sat at a little table and talked for a minute. Then he said, 'Tell me some family stories.' She said, 'Who'd you say you were?' He said, 'I'm David, your grandson. You remember Betty, your daughter, don't you?' 'Yes, I remember Betty.' 'Well, I'm her son, and that makes me you're grandson.' The grandmother leaned forward and said, 'That's too deep for me.'

This same story is repeated almost verbatim by Edgerton's character Carl Turnage in *Lunch at the Piccadilly* (2003), underscoring its importance as a theme that runs throughout Edgerton's work:

> 'Did you hear about the grandson who went to see his grandma and she didn't know who he was, and he said, 'Grandma, I'm David, your daughter's son.' She says, 'Who?' He says, "You know your daughter, Betty, don't you?' And she says, 'Yes.' And he kind of points at himself and says, 'Well, I'm David, her son, and that makes me your grandson.' She looks at him a minute and says, 'That's too deep for me.' (192)

Like Wesley Benfield, Carl Turnage devoted a good deal of his time to listening to old people. His favorite aunt, Aunt Lil, is a resident at Rosehaven Convalescence Center where she is surrounded by many colorful characters. Lil never had any children, so the duty of looking after her falls to Carl, but from the very beginning it is obvious that Carl's is a labor of love. Besides keeping her blue bowl filled with midget Tootsie Rolls, he allows Lil to drive her '89 Olds

although she is really not capable; takes her and her cumbersome walker to the Piccadilly Cafeteria regularly to enjoy the fried chicken; and placates her fears when she calls him from Rosehaven at three a.m. insisting that he pick her up from the jail in South Carolina where she imagines she's being detained. He stands to gain much monetarily upon Lil's death, as he is her sole beneficiary, but monetary gain is a secondary motivation for Carl, whose concern and kindness also prompt him to spend time with retired preacher L. Ray Flowers.

No blood relation to Carl, L. Ray Flowers is a charismatic man who, despite his outlandish ideas, charms everyone he meets. Carl hits it right off with L. Ray when, on the front porch at Rosehaven, they discover they share a love of country songs. This conversation causes Carl to remember "his songwriting notebook full of half-written lyrics, only two or three complete songs," and inspires him to try his hand at songwriting again: "'I wrote a song – the words,' says Carl. He is in Aunt Lil's room at Rosehaven two days later . . . . 'What kind of song?' 'It's a sort of country song – an idea Mr. Flowers had.' 'Well, let me hear it. . . .' 'I don't have any music yet. Maybe Mr. Flowers will write the music.' Carl thinks of this as a joke, then considers it seriously" (26, 46). Thus, L. Ray and Carl form a songwriting duo, one providing the lyrics while the other provides the music. L. Ray even teaches Carl to play the bass guitar: "Listen, I've got an electric bass in the shop out behind my Airstream . . . . I can show you a few simple patterns on bass and you'll be playing before you know it. I need some backup. And by golly, I think you're the man" (58). The two men wind up performing every Thursday night for the residents at Rosehaven, making Carl "feel he is inside a dream that has nibbled at him for ten years at least" (79).

After Aunt Lil's death leaves Carl within no one to care for, he adopts L. Ray, coming often to visit him after a stroke leaves his left side paralyzed and his speech impaired. Together

the two men listen to a CD of their songs, and "L. Ray says, 'That worked out fine.' 'Yeah, it did, didn't it? I appreciate you getting me going on it.' 'I'm much obliged for . . . for everything'" (238-239). L. Ray gives Carl a confidence in himself that had been severely lacking before. Focusing now on his musical talents instead of his short stature or his too high voice, Carl gets direction in life. The impact is mutual because, while Carl gained self-esteem and purpose from L. Ray, he has also provided L. Ray with what Edgerton had referred to in his 1998 commencement address as "a major need of old people today – someone to listen."

However successful Carl is at listening to old people, he fails miserably at Edgerton's third lesson: "Talk to children. Tell the stories you collect to your children. If you don't plan to have children, then . . . to your nieces and nephews. If all else fails, find a child without a family." Unmarried and without prospects, Carl neither has children of his own nor does he seek out a child without a family. In fact, when he does come face-to-face with the daughter of the only date he has throughout the entire novel, Carl exhibits an awkwardness in conversation unseen in his dealings with the elderly: "'And your name is Ruth?' 'Yes. . . .' 'That's a pretty name.' 'My mama has a boyfriend.' 'Oh, is that right?' 'Yes. And he's a policeman.' 'Oh. Is that right?' 'He's got a gun, too.' 'That's good to know.' What the . . . ? Was she joking?" (105-106). Here, the natural order of things as set forth in Edgerton's speech is disrupted; the child has collected and is telling the story while the adult simply listens, interjecting meaningless questions periodically. Failing in this first encounter with a child, Carl will not interact with anyone under middle age later in the novel.

In *Killer Diller* (1991), Wesley is successful on both counts, blending his docile patience with listening to old people's stories and a natural knack for telling his own story to children. In a Ballard University experiment called Project Promise, Wesley is paired with a mentally

challenged high school student named Vernon Jackson who wants to learn masonry. At sixteen, Vernon is exactly the age Wesley was when Mattie decided to undertake the daunting task of raising him, so in his many conversations with Vernon, Wesley extends his teaching beyond bricklaying. For instance, Wesley admonishes Vernon when he fails to use wax paper to pick out doughnuts in the Food Lion: "'You're supposed to use those little sheets of paper. Right there.' 'For what?' 'To pick up the doughnut. You're not supposed to use your fingers.' 'My hands are clean.' 'Just use one of those papers, Vernon'" (62). He teaches Vernon to cut okra: "'Come here. Here, see how I've cut these up? Just little hunks about that big.' Vernon stands beside Wesley, watches, rocking. 'This old lady taught me,' says Wesley. 'I got to live with her for a few years. She gave me some great food, and told me about Jesus. Then . . . See? Like that" (64). And he even shows Vernon how to give a proper handshake: "Like this. You walk into a room, see, and you see somebody standing over there that you want to meet. You walk up like this, look them straight in the eye, stick out your hand and get a firm grip like this, see, and say, 'How do you do? I'm Vernon Jackson.' Pump it a couple of times, turn loose, and that way you get along better in the world" (92). Wesley's teaching culminates in the virtual adoption of Vernon at the end of the novel, mirroring again Wesley's experience with Mattie.

Described as a novel of "satirical undercurrents," *Killer Diller* illustrates yet another connection to Edgerton's commencement message of 1998 (Clark 532). Offering a humorous example from his own family, Edgerton explains to the UNC-W graduates that as one of her first spoken questions his daughter Catherine had inquired as to whether or not Mr. Rogers had a "thing," euphemistic language for "penis." From following his own advice and listening to this child, Edgerton seems to have developed a leitmotif in *Killer Diller*. In Wesley's first session with Vernon Jackson, Wesley instructs Vernon to scrape mortar off some bricks: "'Sit right over

here. No, don't pull that thing over here. You'll have to sit on the floor, on the canvas'" (41). Overhearing Wesley's instructions, Provost Ned Sears corrects him, saying "'That's an ottoman…' *Thing*, he thinks, is one of those words that usually has a better word to take its place" (41). When Vernon's father allows Wesley to drive his truck to get the groceries, Wesley excitedly tells Vernon: "This thing is fun to drive," to which Vernon responds, "It's a truck" (61). Time and again after these scenes, the word "thing" reappears throughout the novel as when Wesley describes to his girlfriend Phoebe a medical problem he once had: "'I had this operation one time.' 'Operation?' 'On my, ah, thing.' This is not exactly right. But if I just say 'thing' it'll be all right. We can talk about it. Maybe she'll talk about it. Who knows? 'Thing?' 'You know, my thing.' 'Wesley!'" (52-53). Like the author's daughter, Wesley assumes that if he uses euphemistic language, then he can breach a delicate subject.

With *Where Trouble Sleeps* (1997), Edgerton underscores in a different manner the need to speak regularly and attentively with children. In the character of Alease Toomey, Stephen's mother, Edgerton reiterates the importance of relaying family history and myth to children. A nightly ritual for mother and son is a bedtime Bible story from a book significantly titled *Aunt Margaret's Bible Stories*. From these stories, young Stephen has learned about Abraham's willingness to sacrifice his son Isaac, about Noah and the ridicule he suffered while building the Ark, and about Adam and Eve, of whom we are all descendants. But as he ponders the fates of Hansen County souls, Stephen reveals that he has perhaps learned as much from his mother's messages interjected into Aunt Margaret's biblical narrative as he has from the stories themselves. Getting saved, thinks Stephen,

> had to do with visiting old people and going to church every time you were supposed to, cutting off the Blaine sisters' toenails, and things like that for old

> people. And not drinking beer and whiskey. And it had to do with not saying ugly words, not touching stinky, keeping your pants on, keeping quiet when you were supposed to, not running away from your mama, not playing with your doodie, eating what you were supposed to eat, drinking milk, and being quiet, and it definitely had to do with Moses, Jesus, Peter, Mary, Zacchaeus, Isaac, God, Joseph, Abraham, David, Adam, Ezekiel, Miriam, and not playing in the mud. (38)

Further, Stephen reveals that some carefully selected family history has often been woven into the Bible stories. Getting saved also, continues Stephen, "had to do with the story about Stephen's grandmother when she one time whipped his mama for cutting a piece of cloth on the Lord's Day. And Stephen, the one who got stoned for believing in God. It had to do with him. Somebody got named after him and then went to World War I, and Big Steve was named after that one, and then when Big Steve went to World War II, Stephen got named after him" (38). Alease has opened a line of communication that allows for the steady – in fact, nightly – transmission of Toomey family stories to her receptive young son, and she has thus helped ward off what Edgerton refers to in his UNC-W speech as "THE GREAT MEDIA TRAGEDY," that is "the substitution of someone else's stories for [one's own]. The substitution of Mr. Disney's stories and commercials for [one's] own family stories."

"Finally," Edgerton stated, "Lesson # 4. . . . Here it is: There is no occasion too joyful, too serious, solemn, sad, too boring or too bland – for the blues." Donning his shades, Edgerton then begins to sing the "UNCW Blues," a song he apparently composed in honor of the trials and tribulations specific to this university's graduates. Music forms a central element in this author's life: "Edgerton plays a five-string banjo, and his wife, Susan Ketchin, plays the guitar. Their Tar

Water Band is making an album, *The Devil's Dream,* from Lee Smith's novel of the same name" (Powell 83). And when Clyde Edgerton gives a reading, he brings along his banjo and his band, interspersing original and covered tunes with his literature. With music being so influential as a creative outlet in his life, it should come as no surprise that music is also a recurrent theme in Edgerton's fiction. Raney and Charles, for example, are bluegrass musicians; Mattie Rigsbee plays old-fashioned hymns nightly on her piano; Holister Jackson listens to Son House's bottleneck as he repairs cars; Wesley and his BOTA House friends perform in a gospel group; and Carl and L. Ray play and compose gospel and country songs. And as one of L. Ray's sermons suggests, bluegrass, gospel, and country are musical genres that share many commonalities with the blues: "*Besides playing the blues at the First Breakfast, O God in us all, we're going to invoke the spirits of Ralph Stanley, Mother Maybelle, Ernest Tubb, Bob Wills, John Prine, and Hank Williams. We'll have Carter Family nights, and we will sing out of the Broadman Hymnal till our heads fall off. Just a Friend We Have in the Old Rugged Rock of Ages*" (65-66). The overlap between gospel and the blues is also evident in that Wesley's group "is a gospel band, the Noble Defenders of the Word, waiting to become a blues band" (23).

Like Edgerton, Wesley uses his music to express himself. Throughout *Killer Diller*, Wesley is constantly composing blues songs, each one significant to what is taking place in his life at that time. At the beginning of the novel, Wesley struggles to reconcile his Christian beliefs on premarital sex with his natural urges. After he meets his girlfriend Phoebe at the Copy-Op, this struggle only intensifies, and Wesley sings: "*What do I do, Lord Jesus,/ with the women in my dreams?/ Some are dressed, some are not,/ and they come at me, it seems./ They come at me through soft satin doors./ Lord, what did you do with yours?/ Lord, what did you do with yours?"* (20-21). During his visit to Shady Grove, "Wesley sings the blues: '*Old people, old*

people, all over the earth./ If old people could turn new,/ Just think what they'd be worth,'" restating Edgerton's own sentiments regarding the wealth of information contained within the elderly (88).

Further, in order to make amends with Phoebe after his sexual advances offend her, Wesley apologizes through song: "*I know you feel mad, I know you're feeling sad./ There ain't nothing I can do,/ but sit right here and get blue, too./ I'd be so nice, if you'd call me right now,/ and talk about the weather/ telling me whether/ you still love me like before – that you do./ Wish you were here, at my front door right now/ to ring my doorbell*" (115). He composes "Sour Sweetheart Blues" also as a result of these same tensions between him and Phoebe:

> '*I went down to the river, yesterday afternoon./ I went down to the river, yesterday afternoon./ And when I got down to the river . . . I went fishing./ And I sang this song:/ I got the sour sweetheart blues. I'm gonna jump in the river and drown./ I got the sour sweetheart blues. I'm gonna jump in the river and drown./ I think my woman loves me, then she shoots me down./ I took her to the circus,/ I took her to the fair,/ I took her down to the river for some loving -- / She wanted to go back to the fair./ I got the sour sweetheart blues, muddy water in my cup./ I wish my sweetheart . . . I wish she'd sweeten up.'* (124)

Each time Wesley encounters a perplexing quandary, a strong memory, a unique thought, he expresses it through song, proving that, as Edgerton asserted in North Carolina, the blues can accommodate all situations. More importantly, though, Wesley's heart is in the blues:

> The band's plans are to . . . expand to blues, maybe some rhythm and blues, change the band's name from the Noble Defenders of the Word to the Fat City Blues Band and head to Myrtle Beach or Key West – or somewhere like that –

> and a future that includes long nights of playing blues to hot, dancing crowds. (23-24)

And at the end of the novel, he does just that; he follows his heart to Myrtle Beach with his Fat City Blues Band and Phoebe and Vernon in tow.

Clyde Edgerton did not purposefully pattern his remarks to that 1998 graduating class after the themes that had appeared, or would appear, in his fictional works. However, as Dannye Powell pointed out in an interview with Edgerton, "a writer's values may end up in a story, even though that writer is not consciously trying to give any aboveboard messages to the reader" (85). Clearly, this is the case with those four values Edgerton attempted to instill in his Wilmington audience and with those works in which these values are manifest. Following one's heart, listening to old people, talking to children, and listening to the blues, due to the consistent and repetitive manner in which they appear throughout Edgerton's fiction and oratory, can certainly be construed as didactic messages apparent, if not intentionally placed, within Edgerton's work.

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HEIDEGGER AND THE MIDDLE AGES

abstract

In various contexts and phases of his philosophical career, Heidegger famously identifies metaphysics with onto-theology and extends this verdict to the whole tradition of Western philosophy. This resonates in contemporary (especially French) thought, when the attempt is made to find post-metaphysical modes of thinking and speaking of God. It is striking, that these endeavours sometimes refer to medieval authors, so that the question arises, if there is a pre-modern tradition which eludes Heidegger's critique and is not appropriately characterized by the term 'onto-theology'.

In my paper, I gather Heidegger's scattered remarks on medieval thought in order to piece together indices supporting the thesis, that Heidegger himself saw the distinctive quality of medieval philosophical, theological and mystical traditions as opposed to modernity. I conclude by briefly giving an example from Thomas Aquinas, which Heidegger could have chosen and elaborated on in order to demonstrate that not only mysticism but also scholasticism offers an alternative to onto-theology.

HEIDEGGER AND THE MIDDLE AGES

On September 1 1910, Pope Pius X issued an „Oath against Modernism […] to be sworn to by all clergy, pastors, confessors, preachers, religious superiors, and professors in philosophical-theological seminaries".[1] Martin Heidegger was soon to be among these addressees, as he was studying theology for the Catholic priesthood at that time. After he was dismissed because of health reasons and dedicated himself to mathematics and philosophy, he remained obliged to follow the church's line: he received a scholarship for studying philosophy in the spirit of Thomas Aquinas and he hoped to get the chair in Catholic philosophy at Freiburg University. And indeed, we find echoes of the Pope's Oath in several letters from the years 1913-1915 and in his CV of 1915, where Heidegger declares his loyalty to the Catholic Church's anti-modernism and his plans to continue working on medieval philosophy. [2] Furthermore, Heidegger published articles in an ultra-conservative journal and devoted his *Habilitationsschrift* to a medieval author: *Die Kategorien- und Bedeutungslehre des Duns Scotus*[3]. In this book Heidegger connects scotist philosophy with the neo-Kantian and phenomenological approaches of his teachers Rickert and Husserl.

In 1919, Heidegger broke with the Catholic Church - after having received altogether 13 years of financial support from Catholic funds. There might be several possible reasons for this first "Kehre" (turn/reversal) in Heidegger's life: e.g. the disappointment, when the chair in Catholic philosophy was given to someone else, his marriage to a protestant woman and his encounters with Edmund Husserl. Heidegger discovered the New Testament, Luther, Schleiermacher and Kierkegaard and was inclined toward the Protestant retrieval of primal Christianity, as his lectures about Pauline Epistles and Augustine show.[4] In phenomenology he found the suitable approach to gain access to the full immediacy and a-theoretical, pre-conceptual dimensions of the original religious experience.

In the following years, Heidegger's attitude towards theology and philosophy of religion as well as his appraisal of the Middle Ages become increasingly ambiguous. At least three

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[1] See: www.papalencyclicals.net

[2] Gesamtausgabe, Frankfurt (=GA) 16, *Reden und andere Zeugnisse eines Lebensweges*, p. 38f.; See Hugo Ott *Martin Heidegger. Unterwegs zu seiner Biographie,* Frankfurt 1989, pp. 80 + 86f. and Rüdiger Safranski *Ein Meister aus Deutschland,* Frankfurt ³ 2003, pp. 24 + 63.

[3] GA 1, *Frühe Schriften*.

[4] GA 60 *Phänomenologie des religiösen Lebens,* compare GA 56-58.

plausible interpretations can be found in Heidegger scholarship, all of which can be substantiated by quotations from Heidegger's writings:

1. Heidegger considered Christian philosophy to be impossible and emphasized that philosophy must not deal with theological issues as these disciplines are mutually exclusive.

"A „Christian Philosophy" is a round square and a misunderstanding. There is, to be sure, a thinking and questioning elaboration of the world of Christian experience, i.e. of faith. That is theology. […] For the original Christian faith philosophy is foolishness."[5]

Repeating Saint Paul's diatribe against philosophy in the first epistle to the Corinthians[6] Heidegger advocates an atheist philosophy. This, however, does not entail an anti-religious attitude:

„Philosophie muß in ihrer radikalen, sich auf sich selbst stellenden Fraglichkeit prinzipiell *a-theistisch* sein. Sie darf sich gerade ob ihrer Grundtendenz nicht vermessen, Gott zu haben oder zu bestimmen. Je radikaler sie ist, umso bestimmter ist sie ein weg von ihm, also gerade im radikalen Vollzug des „weg" ein eigenes schwieriges „bei" ihm."[7]

This quotation suggests an understanding of Heidegger's atheism as "methodological", because it is for the sake of a religious dimension beyond the realm of philosophical discourse, as a second group of scholars claims[8]: According to them, Heidegger was motivated by religious concerns and attempted to clear the conceptual space for God in order to initiate an authentic God-relationship. This view of a philosophical atheism "before

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[5] *An Introduction to Metaphysics*, transl.: R. Manheim, Yale 1959, p. 7. GA 40 *Einführung in die Metaphysik*, p. 9/6. (When I give two page numbers, they refer to different editions of the same text.) "Eine „christliche Philosophie" ist ein hölzernes Eisen und ein Missverständnis. Zwar gibt es eine denkend fragende Durcharbeitung der christlich erfahrenden Welt, d.h. des Glaubens. Das ist dann Theologie. […] Philosophie ist dem ursprünglich christlichen Glauben eine Torheit." Compare GA 9 „Phänomenologie und Theologie", in: *Wegmarken*, p. 66.

[6] 1 Corinthians 1, 20: „hath not God made foolish the wisdom of this world?" (King James translation).

[7] GA 61 *Phänomenologische Interpretationen zu Aristoteles + Einführung in die phänomenologische Forschung* (Vorlesung Freiburg 1921/22), Blatt 16 „Zur Einleitung" in: „Anhang II – Lose Blätter", p. 197. (This text has not been translated into English.)

[8] Lawrence Paul Hemming *Heidegger's Atheism. The Refusal of a Theological Voice*, Notre Dame 2002, István Fehér "Heidegger's Understanding of the Atheism of Philosophy", in: *American Catholic Philosophical Quarterly* 69, 1995, pp. 189-223.

God"[9] can be supported by biographical material, e.g. the letter Heidegger wrote to Löwith in 1921 in which he described himself in a as "Christian Theologian"[10], and another letter in which he justifies his retreat from "the system of Catholicism […] before God"[11]. Thus there is evidence to argue, following Gadamer and others,[12] that Heidegger was deeply stirred by theological questions and that religious motives guided his thinking, even if they are not manifest on the explicit level because of the insufficiency of reason to attain the truth of faith:

"Someone who has experienced theology in his own roots, both the theology of the Christian faith and that of philosophy, would today rather remain silent about God when he is speaking in the realm of thinking."[13]

The famous last sentence of the essay on technology can be read in this vein: "Denn das Fragen ist die Frömmigkeit des Denkens."[14] The piety of philosophical questioning is the reluctance to provide easy answers and pseudo-solutions by quoting theories, dogmas and traditional authorities.

A third group of scholars finds traditionally theological and religious motives in disguise or "secularized Christianity"[15] behind Heidegger's systematic exclusion of Christian thought from his philosophy: Although most writings are not specifically Christian, but rather a-theological or even anti-theological, they have a strong religious or quasi-religious tone. Examples abound: Many chapters of *Sein und Zeit* can be read as ontologically and phenomenologically neutralized Kierkegaard, and could be re-translated into a Christian (especially Lutheran) framework. The tremendous influence Heidegger's philosophy exerted

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[9] „Phänomenologische Interpretationen zu Aristoteles" in: *Dilthey-Jahrbuch für Philosophie und Geschichte der Geisteswissenschaften,* Band 6/1989, p. 246.

[10] D. Papenfuss + O. Pöggeler (eds.): *Zur philosophischen Aktualität Heideggers*, vol. 2, Frankfurt 1990, p. 29.

[11] Hugo Ott *Martin Heidegger. Unterwegs zu seiner Biographie,* Frankfurt 1989, pp. 106f.

[12] *Heideggers Wege*, Kapitel 14 „Die religiöse Dimension", Tübingen 1983, p. 142.

[13] „The onto-theo-logical constitution of metaphysics" translated by J. Stambaugh, in: *Identity and Difference*, Chicago 2002, p. 54 "Die onto-theologische Verfassung der Metaphysik": „Wer die Theologie, sowohl diejenige des christlichen Glaubens, als auch diejenige der Philosophie, aus gewachsener Herkunft erfahren hat, zieht es heute vor, im Bereich des Denkens von Gott zu schweigen." p. 121.

[14] „Die Frage nach der Technik", in: *Die Technik und die Kehre*, Tübingen 1985, p. 36.

[15] Hans Jonas „Heidegger and Theology" in: *Review of Metaphysics* vol. 18 No. 2 1964, pp. 207-233. Jonas delivered this lecture at a theology conference stepping in for Heidegger who was invited to speak but could not attend. His point in this paper is, that Heidegger's thought is "profoundly pagan" (p. 219) and of no use for theology.

on protestant theology, beginning with his Marburg colleague Bultmann, can be seen in this context. Thinking of Being is discussed as a 20th century replacement of religious experiences in contemplation, mysticism and revelation, because the Christian God has a similar elusive but decisive status and function as Heidegger's Being[16]. Many crucial terms and motifs in Heidegger can be traced back to religious phenomena, although their religiosity is indefinite: Hölderlin's pagan Gods and "the Holy" in his poetry can be interpretated as vaguer substitute for the Christian God.[17] Heidegger's choice of words and arguments drawn from (pseudo-) etymological "evidence" frequently evoke religious connotations and associations, like the connection between thinking and thanking[18], the existential characteristic of "fallenness/falling" in *Sein und Zeit*[19] and others, many of which are untranslatable. The late Heidegger's affinities with mysticism are beyond dispute, as Heidegger not only refers to Meister Eckhart and Angelus Silesius[20] in order to elaborate his critique of metaphysics, but writes an essay titled "Gelassenheit"[21]. Heidegger's style can be compared with a medieval commentary on the Scriptures, meditating upon words and their implications.[22] Some scholars even relate the late Heidegger's notion of language with the scotist speculative grammar he worked on in his *Habilitationsschrift*.[23]

The most recent of this proliferating controversial scholarly debate grappling with the latent or implicit religious-theological dimension in Heidegger's philosophy is conducted by mostly French contemporary philosophers: Provoked by Heidegger's identification of metaphyics and onto-theology, authors like E. Levinas, J. Derrida and J. - L. Marion try to find non-metaphysical modes to speak about God. Ironically, Heidegger not only subscribed to the most conservative Catholic movement against modernism as a young man, but became after his death the godfather of another anti-modernism, namely post-modernism and its turn to

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[16] Compare John Macquarrie *Martin Heidegger*, London 1968, p. 57; or E. Gilson "L'Etre et Dieu", in: *Revue thomiste* 62, 1962, pp. 181-202 + 398-416.
[17] See GA 52, 53 and 39 for Heidegger's Hölderlin lectures.
[18] GA 9, „Nachwort zu: „Was ist Metaphysik?", in *Wegmarken* p. 309/107.
[19] GA 2, § 38, p. 231/176.
[20] GA 10 *Der Satz vom Grund* p. 50ff. Compare S. Sikka: *Forms of Transcendence. Heidegger and Medieval Mystical Theology*, New York 1997.
[21] Tübingen 1959. I found the term "Gelassenheit" translated into English with at least six words: detachment, calmness, serenity, collectedness, peace of mind, letting-be, composure.
[22] John Caputo *The mystical element in Heidegger's thought*, New York 1986, p. 49f.
[23] Richard Schaeffler: *Frömmigkeit des Denkens? Martin Heidegger und die katholische Theologie*, Darmstadt 1979.

religion. Even Pope Pius's emphasis on revelation as basis for the truth of faith as well as his polemic against rationalism, subjectivism, and "philosophical figments" in theology strangely reappear in our day in a completely different key. In this constellation of turns and re-turns of significant aspects of Heidegger's philosophy – of which Heidegger was perfectly aware -[24], it is striking that medieval traditions are invoked again. E. g. Jean-Luc Marion shows in several essays that Anselm of Canterbury, Thomas Aquinas, Pseudo-Dionysius Areopagite and others offer non-onto-theological approaches[25]. Therefore the question arises, if Heidegger's critique of metaphysics as onto-theology does not affect medieval traditions – at least not to the same extent it affects modernity.

I start by giving an outline of Heidegger's notion of metaphysics as onto-theology, as it is mentioned in several essays and lectures on authors as different as Aristotle, Kant, Hegel and Nietzsche. Describing the origins of Western metaphysics in Greek philosophy, Heidegger finds two subtly different but interrelated components:

„[…] the question about being, taken as a question about the being of beings, is double in form. It asks on the one hand: What are beings in general, as beings? Considerations within the province of this question come in the course of the history of philosophy, under the heading ontology. The question "What are beings?" includes also the question, "Which being is the highest and in what way is it?" The question is about the divine and God. The province of this question is called theology. The duality of the question about the being of beings can be brought together in the title "onto-theo-logy"."[26]

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[24] GA 12 „Aus einem Gespräch von der Sprache" in: *Unterwegs zur Sprache*, p. 96/91: „Ohne diese theologische Herkunft wäre ich nie auf den Weg des Denkens gelangt. Herkunft aber bleibt stets Zukunft."

[25] „Saint Thomas d'Aquin et l'onto-théologie" in: *Révue Thomiste* 95/1995, p. 31-66 ; *God without Being,* Chicago 1991; "Is the ontological argument ontological? The Argument According to Anselm and its Metaphysical Interpretation according to Kant" in: Bulhof/ten Kate: *Flight of the Gods. Philosophical Perspectives on Negative Theology*, New York 2000, pp. 78-99.

[26] "Kant's thesis about Being", translated by T. E. Klein and W. E. Paul in: *Pathmarks*, p. 340. It was Kant, who coined the neologism "Ontotheologie" in his *Kritik der reinen Vernunft* A 632/B 660. Heidegger, however, does not refer to this context.

GA 9 "Kants These über das Sein" (1961) in: *Wegmarken*, p. 443/277: Die Frage nach dem Sein ist als Frage nach dem Sein des Seienden zwiegestaltig. Sie frägt einmal: Was ist das Seiende im allgemeinen als Seiendes? Die Betrachtungen im Umkreis dieser Frage gelangen im Verlauf der Geschichte der Philosophie unter den Titel Ontologie. Die Frage: „Was ist das Seiende?" fragt zugleich: Welches ist und wie ist das Seiende im Sinne des höchsten Seienden? Es ist die Frage nach dem Göttlichen und dem Gott. Der Umkreis dieser Frage heißt Theologie. Das Zwiegestaltige der Frage nach dem Sein des Seienden lässt sich in den Titel Onto-Theo-Logie zusammenfassen."

According to this view, the metaphysical understanding of the Being of beings is essentially conceptually two-fold, engendering two historically intertwined stalks, namely ontology and theology. Thus, metaphysics – ambiguous to the core - establishes the conceptual parameters of intelligibility by ontologically grounding and theologically legitimating all that is. As a consequence of this entanglement of two academic disciplines, a concept of God is privileged that meets the foundational claims of the ontological search for the most general ground of beings. Therefore, God enters into philosophy on the terms defined by metaphysics and plays a role within its larger totalizing scheme, foundationalism. He is part of an all-encompassing principle of causality, precisely as its all-founding but itself unfounded being: *causa sui*, the self-caused cause.

„[…] *causa sui*. This is the right name for the god of philosophy. Man can neither pray nor sacrifice to this god. Before the *causa sui*, man can neither fall to his knees in awe nor can he play music and dance before this god.
The god-less thinking which must abandon the god of philosophy, god as *causa sui*, is thus perhaps closer to the divine God."[27]

As in his early lectures on St. Paul and Augustine, Heidegger states the absence of the "divine God" from intellectual efforts to lower him to the status of a causal function, or, as Nietzsche more radically put it: his death. Thus Heidegger continually shows concern for this God, who is perverted, distorted and misconceived until he finally disappears when integrated into metaphysics.
Although Heidegger consents Nietzsche's ruthless polemic[28], he wonders, if there is a chance of an alternative mode for both philosophy and religion, as both are bound by the nature of language to the metaphysical project:

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[27] „The onto-theo-logical constitution of metaphysics" translated by J. Stambaugh, in: *Identity and Difference*, Chicago 2002, p. 72. „Die onto-theologische Verfassung der Metaphysik" 140f.: „[…] Causa sui. So lautet der sachgerechte Name für den Gott in der Philosophie. Zu diesem Gott kann der Mensch weder beten, noch kann er ihm opfern. Vor der Causa sui kann der Mensch weder aus Scheu ins Knie fallen, noch kann er vor diesem Gott musizieren und tanzen.
Demgemäß ist das gott-lose Denken, das den Gott der Philosophie, den Gott als Causa sui preisgeben muß, dem göttlichen Gott vielleicht näher."
[28] On Heidegger about Nietsche see: GA 6 *Nietzsche* + GA 5 „Nietzsches Wort "Gott ist tot", in: *Holzwege* pp. 209/193-267/247.

"It must remain an open question whether the nature of Western languages is in itself marked with the exclusive brand of metaphysics, and thus marked permanently by onto-theo-logic, or whether these languages offer other possibilities of utterance – and that means at the same time of a telling silence."[29]

This is where the Middle Ages with the extensive debates on negative predication, analogies, and the names of God could come in. Heidegger, however, did not proceed along these lines. His judgment is harsh and unambiguous; he is only concerned with the Middle Ages within the larger context of the history of metaphysics.

I will neither embark on the question, if Heidegger adequately characterized all kinds of metaphysics from Antiquity to Nietzsche with his diagnosis, nor if Heidegger himself got stuck in metaphysics of some sort, despite and by his attempts to overcome metaphysics.[30] It is obvious, that he is lumping all preceding philosophers together to make his point.[31]

Medieval metaphysics is, according to Heidegger, a fixed body of doctrine whose basic conception of Being has been taken over dogmatically from the Greeks[32]. Furthermore, there is no authentic philosophical questioning in the Middle Ages, as Christian dogmatics dominates all intellectual endeavours [33]. Antiquity is perverted by theological and systematic interests and its terms are distorted, ossified and lose their roots when translated into Latin.[34] Thomas Aquinas and modern scholars alike are examples for the decline of metaphysics starting with Aristotle and characterized by oblivion of Being:[35] E. g. Aquinas is accused of identifying metaphysics with philosophy and theology, as the first cause is the at the same

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[29] „The onto-theo-logical constitution of metaphysics" translated by J. Stambaugh, in: *Identity and Difference*, Chicago 2002, p. 73. „Die onto-theologische Verfassung der Metaphysik" p. 142: „Ob das Wesen der abendländischen Sprachen in sich nur metaphysisch und darum endgültig durch die Onto-Theo-Logik geprägt ist, oder ob diese Sprachen andere Möglichkeiten des Sagens und d.h. zugleich des sagenden Nichtsagens gewähren, muß offen bleiben."

[30] Adriaan Peperzak mentions Descartes, Spinoza and Hegel as examples for thinkers who do not try to conceive God as causa sui or substance in Heidegger's sense. "Religion after Onto-theology" in: Mark A. Wrathall (ed.) *Religion after Metaphysics*, Cambridge 2003, pp.104-122. Similarly Jacques Derrida about Heidegger's "metonymical violence" in his description of Nietzsche's philosophy in: Michelfelder/Palmer (edp.) *Dialogue and Deconstruction: The Gadamer-Heidegger Encounter,* New York 1989, pp. 69-71.

[31] His exceptions, who escaped from the onto-theological predicament, are to be found in poetry, especially Hölderlin, and the pre-Socratics.

[32] GA 2, *Sein und Zeit*, pp. 2/3 + 22/30.

[33] GA 29/30 *Die Grundbegriffe der Metaphysik*, p. 68.

[34] GA 5 "Der Ursprung des Kunstwerks" in: *Holzwege* p. 8/13.

[35] GA 40, p. 20.

time the highest being and being in general.[36] According to Heidegger, no attention is paid to the ontological origins of conceptual distinctions constituting the backbone of medieval ontology, like *existentia - essentia*.[37] Heidegger goes so far to include mysticism into metaphysics.[38]

There is no need for a detailed exposition, because Heidegger neither made that effort. The attention to details and original contexts, which we appreciate in Heidegger's interpretations of Greek authors, his meticulous elaboration of new connections and his delight in uncovering the archaic meanings of German and Greek words are absent from his brief and rather superficial remarks on the medieval traditions.

Yet, there are some hints that point to a different direction and suggest that Heidegger was not ignorant of the richness and heterogeneity of the medieval traditions. Despite his sweeping generalizations, Heidegger knows that his criticisms are not entirely valid because Medieval metaphysics consists of a variety of diverging approaches. For example he blames Suarez, not Thomas Aquinas, for developing the basis for modern metaphysics.[39] He traces the origins of onto-theology back to Plato and Aristotle who estranged Being from beings and does not contend, that this is the result of Christianity's appropriation of Greek philosophy.[40] In his meditations on Leibniz' principle of sufficient reason, Heidegger argues that the Middle Ages did not misunderstand Greek philosophy, but that Being found a different mode of unconcealment.[41] He applauds scholastic discussions for tackling problems modernity completely ignores, thus taking for granted as its foundation unresolved questions that date back to antiquity.[42]

These remarks are rarely elaborated, but they reveal, that Heidegger knew better than the simplistic view of Medieval traditions we find in some of his writings may suggest. As my concluding remarks will indicate, he could have appreciated the Middle Ages even more, not

[36] GA 29/30 pp. 69-77. Heidegger refers to Aquinas's Commentary to Aristotle's *Metaphysics*.
[37] GA 24 *Die Grundprobleme der Phänomenologie*, pp. 140-158.
[38] GA 66 *Besinnung*, pp. 403f.
[39] GA 29/30 pp. 78f.
[40] GA 9, p. 373f/207f.
[41] GA 10 p. 117f.
[42] GA 24 p. 126 + 28.

only its mystic traditions, [43] as he knew as early as in his *Habilitationsschrift*, that mysticism and scholasticism belong together.[44]

On his 70th birthday, Heidegger was honoured with a *Festschrift* in which one contributor argued that Thomas Aquinas is not forgetful of Being but offered a refined account of the origin of the ontological difference.[45] Many other scholars made and are still making the same claim[46]: Aquinas not only rejected the *causa sui*[47], his notion of *esse* touches on a dimension of Being Heidegger recovers.

When Heidegger quotes *Summa Theologiae* I, question 3, article 4,[48] he uses *esse* and *existere* as synonyms and makes the traditional mistake of Thomism: Aquinas's student Aegidius Romanus was the first who used *existentia* as a synonym for *esse* and conceived both being (*esse*) and essence (*essentia*) as things (*res*).[49] The English translation of the *Summa Theologiae*[50] translates *esse* with "existence", too, although Thomas Aquinas rarely uses *existentia* in his writings.[51] This noun signifying a substantial entity only captures *esse* as the being of beings, the *actualitas rerum*[52], corresponding to Heidegger's ontic level. *Esse* as *actus essendi*[53], by contrast, is God's creative, performative and efficient dynamic, like Greek ενέργεια which

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[43] As John Caputo argues in: *Heidegger and Aquinas. An Essay in Overcoming Metaphysics*, New York 1982. On the disjunction of metaphysics and mysticism in Caputo see R. L. Hurd "Heidegger and Aquinas: a Rahnerian Bridge", in: *Philosophy today* vol. 28, 1984, pp. 109f.

[44] GA 1, p. 352/410 ; see GA 24 p.127.

[45] J.B. Lotz „Das Sein und das subsisitierende Sein nach Thomas von Aquin", ed.: G. Neske, Pfullingen 1959, pp. 180-194. Lotz later wrote a book: *Martin Heidegger und Thomas von Aquin. Mensch – Zeit – Sein,* Pfullingen 1975 in which he argued, that Heidegger, unlike Aquinas, got stuck in a "middle zone" (p. 58) and is forgetful of the deepest dimension of being, which is only given access to by God.

[46] Hans Meyer : *Martin Heidegger und Thomas von Aquin*, München 1964 and other authors in the following footnotes.

[47] *De ente et essentia*, cap. V, in : *Opera Omnia* New York 1950, p. 338 and *Summa Theologiae, Opera Omnia* I, New York 1948, (=ST*)* I q 19 a 5 resp., p. 87 + *Quaestiones disputatae de potentia* q 7 a 8, *Opera Omnia* VIII, p. 161.

[48] GA 24, pp. 122+116.

[49] R. Schönberger *Die Transformation des klassischen Seinsverständnisses*, Berlin/New York 1986, p. 300.

[50] Translated by the "Fathers of the English Dominican province" (=Lawrence Shapcote), New York 1948.

[51] Ivor Leclerc argues, that it is not before the late Middle Ages that *esse* was understood as existence, see: „God and the issue of Being" in: *Religious Studies* 20, No. 1, 1984, pp. 63-78.

[52] ST I q 4 a 1 ad 3, p. 15.

[53] ST I q 3 a 4 ad 2*,* p. 12. See J. P. Doyle "Heidegger and Scholastic Metaphysics", in: *The Modern Schoolman* vol 49/1972, pp. 201/220 + J. Stallmach "Der actus essendi bei Thomas von Aquin und das Denken der ontologischen Differenz", in: *Archiv der Geschichte der Philosophie,* vol. 50/1968, pp. 134-144.

Heidegger laments to be lost in translations to Latin *actualitas*.[54] This act of being, appropriately rendered as verbal infinitive avoiding an entitative understanding[55], engenders participation of beings which makes them exist.

It is deceptive, however, that Aquinas calls God *ens*[56]. His vocabulary and traces from Aristotelian metaphysics suggest, that Heidegger is correct when he sees the God of metaphysics as supreme being among beings, thus as objectified entity so that theology is an ontic science.[57] In fact, however, Aquinas distinguishes between the being of beings (*esse commune*[58], the being that is common to all finite creatures and is a topic of ontology) on the one hand and God's *esse* on the other hand: the latter is unknown and unknowable, because the metaphysical question "Quid est?" (What is it?) cannot be answered: God's essence absolutely merges with his infinite and all-encompassing, transgeneric[59] *esse* beyond the scope of substantial categories so that he cannot be known but only acknowledged.[60] God does not share the composite structure of beings, in which *esse* and *essentia*, being and essence, are distinct. Thus *esse* is "notissimum"[61], most known, and unknowable at the same time; the text says "quasi notissimum" to hint at this ambiguity. Paradoxically, *esse* is shared by God and his creatures, but simultaneously constitutes their irreducible difference, as God's pure being never attains the ontic actuality of beings which 'are' only in a derivative mode. This both-and constellation, both a scission and intimate connection between divine and creaturely *esse*, is similar to the twofold movement in Heidegger's disclosure and withdrawal of Being.[62] Like the unconcealment of Heidegger's Being, revelation is not a result of human achievement. Divine *esse* can be without the beings but not vice versa.

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[54] GA 6.2, „VIII Metaphysik als Geschichte des Seins", p. 374 ff. and GA 7 „Überwindung der Metaphysik" in: *Vorträge und Aufsätze* p. 76f. + GA 5 p. 371/342.

[55] On being as a verb in Aquinas as opposed to the more influential scotist noun see: A. Wucherer-Huldenfeld: „Zu Heidegger's Verständnis des Seins bei Johannes Duns Scotus und im Skotismus sowie im Thomismus und bei Thomas von Aquin" in*: Heidegger und das Mittelalter*, ed.: H. Vetter, Frankfurt 1999, pp. 41-59.

[56] E.g. ST I q 5 a 3 sed contra, p. 18. + *Summa contra Gentiles* I, c. 14, Opera Omnia V "primum ens", p.12.

[57] GA 9, „Phänomenologie und Theologie" in: *Wegmarken*, pp. 48ff.

[58] ST I q 3 a 4. 1, p. 12 and *De potentia* Opera Omnia VIII, q 7 a 2 ad 4, p. 150.

[59] ST I q 3 a 5, p. 12.

[60] ST I q 12 a 13 ad 1, p. 47. Compare B. Welte (the catholic priest and friend of Heidegger's, who spoke at his funeral) who claims that Aquinas's metaphysics leads beyond metaphysics to the mysticism of Eckhart: "Thomas von Aquin und Heideggers Gedanke von der Seinsgeschichte", in: *Zeit und Geheimnis*, Freiburg 1975, pp. 203-218.

[61] *De veritate* q 1 a 1 resp, Opera Omnia IX, New York 1949, p. 6.

[62] GA 5 „Der Spruch des Anaximander", p. 337/310f., twice on the same page: "Das Sein entzieht sich, indem es sich in das Seiende entbirgt."

Heidegger (sometimes) describes the relationship between Being and beings similarly asymmetrical.[63]

It goes without saying that despite these parallels Aquinas's theology is worlds removed from Heidegger's *Seinsdenken*. But I think that the characteristics of divine *esse* provide reasons to argue, that Aquinas is no good expample for metaphysics as onto-theology. From a Heideggerian standpoint Aquinas, who rarely uses the term *metaphysica* when referring to his approach, both exemplifies and overcomes it as it is superseded by *sacra doctrina*.
I mention only some differences: Heidegger's Being is temporal, historic and in some writings it is identical or at least 'veiled' by Nothing/Non-being (das Nichts),[64] Aquinas's divine *esse*, by contrast, is eternal, unlimited, undetermined, comprehensive. Although it is the first efficient cause[65], it exceeds the ontological difference, opening up a "theological difference" Heidegger only planed to think.[66] Heidegger ventures towards this dimension by asking about the "Es gibt" (there is/it gives), a more primordial, a-causal horizon granting Being.[67] The impersonal structure of the sentence however, is completely neutral and the only tautologically describable "Ereignis" leaves undecided if there is a giver and who or what it/she/he is.[68]

The outcome of this paper is not only that Heidegger misjudged medieval thought although he knew better and that he is indebted to crucial aspects of scholasticism and mysticism. It tentatively diagnoses relations, convergences, affinities or parallelisms between pre-, anti- and postmodern approaches the precise scope of which remains to be elaborated.

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[63] GA 9 „Nachwort zu „Was ist Metaphysik?", *Wegmarken* p. 304/102. Especially the footnotes make clear, that Heidegger changed his mind on this matter and introduced correlativity between Being and beings.
[64] GA 9 „Was ist Metaphysik?", *Wegmarken* p. 105ff/3ff and „Nachwort zu „Was ist Metaphysik?"", pp. 303ff/101ff. + 310/107.
[65] ST I q 8 a 1, p. 28.
[66] Max Müller claims that Heidegger in the first version of his lecture *Grundprobleme der Phänomenologie* (GA 24) made the distinction between three kinds of difference: the transcendental or ontic, the ontological and the theological or transcendent. *Existenzphilosophie im geistigen Leben der Gegenwart*, Heidelberg 1958, p. 73. O. F. Summerell elaborates on this: „The Otherness of the Thinking of Being. Heidegger's Conception of the Theological Difference" in: *The Otherness of God*, Charlottesville and London 1998.
[67] GA 14 „Zeit und Sein" in: *Zur Sache des Denkens*, pp. 10+17f. + 20-24.
[68] Jean-Luc Marion is eager to insert his philosophy of the gift here, claiming that Heidegger found a dimension beyond metaphysics but did not acknowledge it as such or elaborate this new horizon. "The end of metaphysics as a possibility" in: M. Wrathall (ed.) *Religion after Metaphysics*, Cambridge 2003, pp. 166-189.

Author's Information

a. Title of the submission: **Japanese Speakers' Self-Evaluation of Their Own Utterances during Interaction**

(Abstract of Completed Research)

b. Topic area of the submission: Speech/Communication

c. Presentation format: Paper sessions

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Japanese Speakers' Self-Evaluation of Their Own Utterances during Interaction

Just as people in their everyday lives inevitably evaluate their own (and others') actions, so do speakers seem to evaluate their own utterances as actions during interaction with their interlocutors (cf. Tracy, 2001). However, there has been no systematic research on what kinds of evaluation patterns/strategies people actually use to analyze their discourse. This paper attempts to fill that gap by examining the major patterns/strategies Japanese speakers use to evaluate their own utterances before going on record with them in close friend interaction.

The data were taken from 12 hours of natural conversation among 25 friends collected in Japan, as well as follow-up interviews with the participants and questionnaires. Then, the functions of over 140 expressions of self-evaluation in the analyzed data were examined syntactically, semantically and phonologically.

Five important evaluation patterns/strategies were revealed: (1) signaling minimal commitment to the validity of their own information/opinions (e.g., Maybe I'm wrong, but…); (2) signaling a search for the right expressions (e.g., I don't know how to put it, but…); (3) devaluating an upcoming utterance (e.g., I shouldn't say this, but…); (4) signaling a stray from an on-going conversation topic (e.g., I'm getting off the subject, but…); and (5) foreshadowing a return to a previously discussed topic or story (e.g., I will repeat this again, but…). (See Appendix A for a more detailed analysis.)

Such self-evaluations tended to be structurally followed by the coordinator *kedo* ('but') and semantically displayed as a contrastive relationship with the preceding clause. Those self-evaluations gave an advanced notice to a listener that speakers acknowledged beforehand that what they were about to say might be construed *negatively* rather than positively by their listener. This self-evaluation process thus allowed them to jump the gun on their listener, copping to a charge before their listener even had a chance to accuse them. The present study suggests that Japanese speakers' self-evaluations on their own

utterances can serve as a prevention against *negative* consequences that might result from their utterances.

Reference

Tracy, K. (2001). Discourse analysis in communication. In D. Schiffrin, D. Tannen & H. E. Hamilton (Eds.), *The handbook of discourse analysis* (pp. 725-749). Malden, MA: Blackwell Publishers.

Appendix A

The Five Patterns/Strategies Used for Self-Evaluations and Their Frequencies

Patterns/Strategies	Japanese Examples	English Equivalent	Frequency
Signaling minimal commitment to the validity of information/opinions	* *Machigatteru kamoshirenai kedo* * *Yoku wakaranai kedo*	I might be wrong, but… I'm not sure, but…	**81**
Signaling a search for the right expression	* *Doo ittara ii no ka wakaranai kedo* * *Umai hyoogen ga mitsukaranai kedo*	I don't know how to put it, but… I can't find a good way to describe it, but…	**33**
Devaluing an upcoming utterance	* *Konna koto iccha ikenai kedo* * *Konna koto iu no mo nanda kedo*	I should not say this, but… I hate to say this, but…	**15**
Signaling a stray from the on-going conversation topic	* *Hanashi wa tobu n da kedo* * *Hanashi wa dassen suru kedo*	I will digress from the subject, but… I'm getting off the subject, but…	**10**
Foreshadowing a return to a previously discussed topic or story	* *Kurikaeshi ni naru kedo* * *Hanashita kamoshirenai kedo*	I will repeat this again, but… I wonder if I've already told this to you, but…	**5**
	Total		**144**

Author's Information

a. Title of the submission: **The Golden Mean: Japanese Speakers' Use of 'Downtoners'**

(Abstract of Completed Research)

b. Topic area of the submission: Linguistics (Major Fields: Pragmatics, Discourse and Semantics)

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The Golden Mean: Japanese Speakers' Use of 'Downtoners'

This paper examines Japanese speakers' use of *downtoners*, adverbs lowering or weakening the force of the modified verb (e.g., It's *pretty* interesting). Many researchers have commented that *downtoners* are crucial to communication because they involve the validity of an assertion, or the speaker's judgment as to how much confidence he or she feels it is *appropriate* to display (e.g., Hübler, 1983; Skelton, 1988). However, previous research has not provided an assessment of the relative importance of such devices or of the frequency with which native speakers actually use them--information that is very important to language teachers for pedagogical purposes.

Using a corpus of over 500 *downtoners* found in 12 hours of natural conversation among 25 close friends collected in Japan, this study presents the distribution of each of four downtoner-subcategories created by Quirk et al. (1972): "approximators," "compromisers," "diminishers," and "minimizers." (These represent scalable distinctions according to degree of intensity, with 'approximators' being most intense and 'minimizers' being least intense.) Moreover, the researcher has invented a perception scale based on interviews with her subjects in order to examine the intensity they wish to convey with downtoners belonging to each of the subcategories (see Appendix A).

Interestingly, among the *donwtoners* in the analyzed data, the participants tended to use diminishers (indicating *approximately 30% intensifying effect*) and compromisers (*60% intensifying effect*) on the perception scale (see Appendix B). Conversely, the two types of adverbs at the extremes of the continuum--approximately 80% intensity and 5% intensity--were used less frequently.

These results suggest that the relative frequency of these diminishers and compromisers is in accordance with the Japanese principle of "the golden mean" (i.e., Japanese culture tends to prize moderation and these frequencies fall somewhere in the middle of the continuum). In sum, Japanese people use *downtoners* systematically, which suggests that language instructors begin

teaching diminishers and compromisers before the others in order to introduce *downtoners* effectively.

Reference

Hübler, A. (1983). *Pragmatics and beyond: Vol. IV, 6. Understatements and hedges in English*. Amsterdam: John Benjamins.

Quirk, R., Greenbaum, S., Leech, G., & Svartvik, J. (1972). *A grammar of contemporary English.* London: Longman.

Skelton, J. (1988). The care and maintenance of hedges. *ELT Journal 43*(1), 37-43.

Appendix A

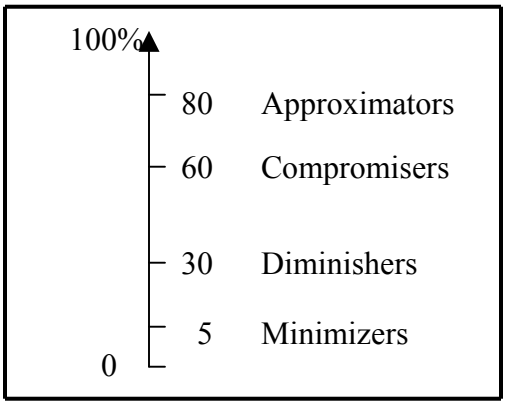
Frequency and Percentage of Downtoners

Classification of Downtoners	Number of Expressions	Japanese Example	English Equivalent	Frequency	Percentage
Compromisers	(7)	*kekkoo*	quite	(194)	(38.1)
Diminishers	(7)	*chotto*	a little	(183)	(36.0)
Minimizers	(3)	*anmari*	not very	(82)	(16.1)
Approximators	(5)	*hotondo*	almost	(50)	(9.8)
Total	**22***			**509**	**100**

* This means that 22 different types of downtoners were found under.

Appendix B

Interlocutors' Perceptions of Degree of Downtoners



100% on the intensity continuum indicates that the statement is neutral. When the statement is modified by a downtoner, it represents a lower value of the same qualitative dimension than the simple, unmodified predicate. For example, *Kare wa omoshiroi* 'He is interesting' is not modified, indicating that the speaker believes completely that the person is interesting (cf. *Kare wa chotto omoshiroi* 'He is a little bit interesting' (with a downtoner of 30% on the intensity continuum).

3rd Annual Hawaii International Conference on Arts and Humanities Proceedings Submission

Submission 1

Title of Submission 1: A Multidisciplinary Approach to the Music of Edgard Varèse

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ABSTRACT

During the 1920's and 1930's, in a culture of musical performance dominated by Wagner, Brahms and Verdi, the music of Edgard Varèse was so radically different that it was thought to challenge the very definition of music. Throughout his life, Varèse had little use for music theory and analysis, claiming that, by its very nature, analysis is sterile and that to explain by means of it is to decompose and mutilate the spirit of the work. It is true, even today, that when confronted with Varèse's music, and even though we can now explain in musical terms, his use of sound-mass, metrical simultaneity, projection in space and the like, this intellectual exercise does little to aid our aural comprehension. At the same time, unless we have some idea of what to listen for, we have no context in which to make comparisons. If not in a musical context, then in what context might we approach Varèse's music?

It can be argued that a multidisciplinary approach to Varèse yields a more complete understanding of his music than when the study is framed within musical terms alone. That Varèse was influenced, at least metaphorically, by the precepts of alchemy and by the "new" science of the early 1900's has been well documented. It is also clear that painters, poets, and writers of the day exercised a powerful influence on how he thought about music. As a young man, living in Paris and Berlin, Varèse was brought into contact with those in the forefront of the avant-garde in the arts. During this formative period, he developed particularly close connections with visual and literary artists such as Rodin, Picasso, Léger, Cocteau and Marinetti. Elements of the aesthetics of cubism, futurism, and the Blaue Reiter movement occur in Varèse's writings and in his music. In this paper I will: (1) delineate how this occurs, both in terms of general compositional techniques and in specific works by Varèse, Picasso, Balla, and Diulgheroff, (2) give consideration to how these works were also influenced by science, and (3) reflect on the value of a multidisciplinary perspective in understanding the complexity that is Varèse's music.

Submission 2

Title of Submission 2: The *Etude Magazine's* Women in Music

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ABSTRACT

Theodore Presser's musical magazine, "The Etude: A Monthly Journal for the Musician, the Music Student, and All Music Lovers" was published from 1883 through 1957. During the first third of the twentieth century, when it was most widely disseminated and influential, there were four special issues devoted to women in music: September 1901, July 1909, November 1918, and November 1929. Articles in these issues addressed women's contributions to music literature, teaching, composition, and performance, and focused particularly on the American musical scene. Many articles were by women, as were many of the musical compositions. The classified list of "Musical Works by Women," the "Who's Who Among Famous Woman Musicians" (both from July 1909) and the annotated lists of "Well-Known Women Composers" (November 1918), and "Notable Musical Women" (November 1929) illustrate the dynamic and widespread, yet now little recognized, role of women in the musical life of America of the early 1900's. These lists also provide important documentation about women in music that is unavailable elsewhere. At the same time, perhaps in a reflection of the broader attitudes toward women of the period, these magazines depict a somewhat contradictory image—women as homemakers, mothers, companions, and the source of musical inspiration for men.

In this paper, I will:

(1) document "women's work in music" as seen by the readers of these four special issues of "The Etude",
(2) discuss the influence that these magazines may have had on American women's subsequent involvement in music, particularly with regard to composition, and finally
(3) consider the implications for performers, composers, and music educators of today.

The Third Annual Hawaii International Conference on Arts and Humanities Workshop Proposal

Title:	How to Use Film to Promote Critical Literacy in the Classroom
Topic Area:	English/Film
Type:	90-minute Workshop
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Abstract: In this ninety-minute workshop, I'd like to assist other university professors and teacher educators to use movies and film clips better than they already have in their classrooms. Educators like John Golden, William V. Costanzo, Alan Teasley, and Ann Wilder advocate that developing students' visual literacy and media literacy are essential for today's classrooms and that we can go far beyond the read-the-book-watch-the-same-movie mentality. My time will consist of three segments including demonstrating several STRATEGIES such as teaching students the importance of diegetic and non-diegetic sound or discussing the importance of education by watching a film clips from movies like "Good Will Hunting," suggesting MATERIALS such as how to teach the novel *Einstein's Dreams* by Alan Lightman with the films "Time Machine" or "Contact," and locating RESOURCES like the Alliance for a Media Literate America and the Center for Media Literacy or popular culture or documentary movie data bases. Participants will actively engage in ways I have taught students and other teachers to use film as text and to best use film clips for teaching literature and composition effectively as well as developing innovative teaching units and lessons. Large and small group discussion and careful reflection will be integrated into each segment of the workshop. Each participant will receive a mini-workbook of ideas and list of films and media resources to use in the classroom. This workshop will provide instructors and teacher educators with many more ideas for using film as well as deeper understanding of how films can promote critical thinking and be integrated as an enjoyable and challenging part of any course.

Equipment Needed: TV/VCR and DVD, overhead projector, video projection unit

Title of the submission: Eileen Gray, Social Identity and the 1937 *Exposition Internationale des Arts et Technique*

Name of the author: Anna Novakov, Ph.D.

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Abstract

Eileen Gray, Social Identity and the 1937 Exposition Internationale des Arts et Technique

By Anna Novakov, Ph.D.

In 1936, following a landslide election, the anti-fascist coalition, La Front Populaire, assumed power in France. It's head, 64-year old socialist Leon Blum was a controversial and charismatic three-time premier. A year after taking office, Blum's coalition organized the 1937 *Exposition Internationale des Arts et Technique*, the last world's fair to be held in Paris. Irish-born Eileen Gray (1879-1976) was one of the women artists featured at this public spectacle, which spanned 250 acres in the heart of Paris. Gray designed her *Seaside Vacation Center* in response to Blum's decision to offer every worker a forty-hour work week and two weeks of paid vacation annually. Gray's project, exhibited in Le Corbusier's *Pavilion des*

Temps Nouveaux, functioned as an innovative public complex as well as a mirror for the identity of Blum's "New Worker. " The architectural design, situated on her beloved Cote d'Azur, was also seminal in the re-construction of Eileen Gray's own sense-of-self in the French art world. No longer the young, beautiful and wealthy socialite, Gray was by 1937 an isolated woman abandoned by her celebrated female partners. At the age of 58 she attempted to transform from the fashionable decorator of the 1920s to a respected, mature architect of the late 1930s. For Gray as well as her potential clients this architectural complex was a visual benchmark in their quest for an emerging mid-century social identity.

1. Title of submission: Social dynamics of traditional art handicrafts in Kamchatka in the period of the developing market economy.
2. Name of the author: Yulia O. Novik
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6. Abstract of paper:

Last ten years in the history of the Russian State has been characterized by many "reconstructive" processes, including - the decentralization of cultural life and the destruction of governmental monopoly on artistic values, knowledge and ideas. The scholars will just have to estimate the consequences of such source of events in full measure. The first summing of a new state cultural policy can be reviewed by the analysis, in particular, the local moving forces and trends characterizing the decorative applied arts' development in Kamchatka.

Before "perestroika", the declared governmental demand in handicraft production was social by its character. A public status was widely used as the way of stimulation of market goods and services.

A new state strategy of management activity in culture and arts rejects the old "managing dug" principle, which was typical for the governmental elite and ideological institutions of the soviet society. It supports to an even greater degree the creative initiatives of both individuals and public associations assigning them a part of a subject of cultural politics, acting on a par with the executive organs of power.

Social dynamics of traditional art handicrafts in Kamchatka in the period of the developing market economy

Yulia O. Novik
Kamchatka State Pedagogical University

Last ten years in the history of the Russian State has been characterized by many "reconstructive" processes, including - the decentralization of cultural life and the destruction of governmental monopoly on artistic values, knowledge and ideas. The scholars will just have to estimate the consequences of such source of events in full measure. The first summing of a new state cultural policy can be reviewed by the analysis, in particular, the local moving forces and trends characterizing the decorative applied arts' development in Kamchatka.

The list of home handicrafts, which are well-known to the native peoples of Kamchatka (primarily the Itelmen, the Koryak, the Even and the Aleut), contains some traditional occupations concerning their everyday family life. According to the gender factor they can be classified as male (that is woodcarving, stone carving, bone carving, manufacture of knives) and female (viz. fur and leather sewing, herb and birch barks weaving, beadwork, furriery).

All the above-mentioned occupations of the natives are intact in unequal measure nowadays. These are the traditions of fur and leather art processing that are kept up in the countryside. There are some reasons for it. First of all, the production of ethnic clothes, footwear and headgears (e.g. the subject, that forms about 90% of a whole assortment of the traditional sewing product), provided and still provides a successful survival and more or less comfortable existence for people living in the severe northern climatic conditions. Secondly, such traditional female occupation as fur and leather sewing became popular in the Soviet epoch thanked to the soviet authorities, aimed to join a broad mass of working people to professional art and crafts by implementation of a lot of social programs and projects[1].

And at last, the primitive techniques of hand-made goods manufacturing got a broad spread in Kamchatka because of the tourism development in the years of "perestroika". It is well-known that the latest factor is able to raise a great demand for ethnic clothes and some other goods of soft materials as souvenirs for tourists.

The foundation of the Russian Federation, as well as the reinforcement of the sovereignty of national regions, was found to be favorable for awakening ethnic consciousness followed by

[1] For example, according to statistics of the 1970-80's, the highest percent factors, which reflected the degree of the native female's involvement in exhibition activity, were fixed in the Olyutorsky and the Karaginsky districts of Kamchatka area. In the northern-eastern coast of Kamchatka peninsula, the art experts of the Museum of Regional Studies influenced indigenous needle workers very much. As a result, in 1976 six amateur crafts women (with one Even and five Koryaks among them) were accepted to the Union of Artists of the USSR for the first time.

the appeal to the national cultures' headwaters. This process is actively implemented in Kamchatka as well as in the Koryak Autonomous Territory, the Bystrinsky and the Aleutsky regions in particular. The existence of traditional female sewing crafts there is stimulated by some special cultural needs of the people such as folk dancing groups' demand for scenic costumes[2].

In spite of a professional and a half-professional common attitude towards the folk culture as to the arts, that is quite typical for the majority of natives representing the national intellectuals, all folk groups existing in Kamchatka area nowadays have an official status of amateurs, rather then a professional one[3]. Actors like to use their daily hand-made clothes as scenic costumes as a rule.

The fact that in the 1980-90's there were special tailors' workshops, where some professional dress-designers created different scenic costumes to the order of popular folk singers and dancers, attracts our attention. One can mention the existence of the art factory in Petropavlovsk-Kamchatsky (it was "The Association of artistic handicrafts and souvenirs"). Some seamstresses, who used to implement the specific orders on scenic suits while working in the Association, have founded their own author's tailor's workshops later[4].

A great number of workers representing different nationalities of the USSR have passed a professional craft preparation in the above-mentioned art factory. However, the total account of dress-designers having come from the Association, who were taken into the Union of Artists of the USSR, turned out to be miserable. One more and the latest entrance ceremony, that is obligatory for the newcomers, was held in 1988, when the Chukchee craftswoman N. I. Evgur renewed the rows of the Kamchatsky department of the Union of Artists of the Russian Soviet Federative Socialist Republic. It happened twelve years after the first 6 indigenous craftswomen from the Olyutorsky and the Karaginsky districts were officially recognized as professional artists.

The experts of the Regional Art Museum estimate the future of traditional male handicrafts negatively. Swift and almost full loss of bone and stone carving skills among the Koryaks arouses their alarm. In the context of a partial degradation of reindeer breeding in Kamchatka, one can understand their anxiety. It is possible to establish the fact that the

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[2] According to the information received from the long-term regional target program "Economic and social development of indigenous peoples of Kamchatka up to 2011", the Administrative Department of Culture in Petropavlovsk-Kamchatsky registered 14 folk amateur groups hitherto.

[3] There is only one folk dancing group "Mengo" in the Koryak Autonomous Territory in the status of a professional group.

[4] In 1991 an artist workshop "Galina" was founded by the former dress-designer of the Association of artistic handicrafts and souvenirs G. S. Piskovetskaya. She is the designer and the maker of the original scenic costumes for the actors of the national Koryak dancing group "Mengo".

production of carved household objects of such traditional materials as ram horn and reindeer bones reduced to a considerable extent In comparison with the 1970-80's. Bone spoons, snuffboxes, buttons, disappeared from a typical reindeer breeders' set of personal things. The other argument for a crisis state of affairs in the Koryak bone cutting productions are the data findings collected in the polls among native inhabitants of some villages of the Karaginsky district in Kamchatka in 2003.[5] It is significant that the respondents had some difficulties when asked to remember the names and surnames of persons skilled in bone carving technology as much as to consider them as amateur artists.

Analyzing the history of the decorative applied arts of native peoples of Kamchatka, one comes to conclusion that the production of carved household objects has never come up to a handicraft industry (based on the principles of *a collective creative activity* and regulated trade relations). The required transmission of knowledge and skills from father to son and grandson, which is the core of a cultural tradition, often came abrupt to an end among the Koryak. The choice of a future profession for those talented self-employed craftsmen, who were able to become artists[6], has not been predestined beforehand. A market demand has been also added to the main regulator of a professional craft activity (e.g. knowledge and artistic taste) since the mid-1990th. The process of transition from uncompetitive market economy to the competitive one became the feature of a new epoch.

Before "perestroika", the declared governmental demand in handicraft production was social by its character. A public status was widely used as the way of stimulation of market goods and services. Thus, a public confession and a popularity, which were officially required to be confirmed by the membership in some professional artistic alliances or organizations, was the only guarantee for a craftsman to receive an order for craft production.

A new state strategy of management activity in culture and arts rejects the old "managing dug" principle, which was typical for the governmental elite and ideological institutions of the soviet society. It supports to an even greater degree the creative initiatives of both individuals and public associations assigning them a part of a subject of cultural politics, acting on a par with the executive organs of power.

The competitive market of the 1990's is nothing but an attempt to create a system of economy, possessing the ability to regulate the relations between the handicraftsmen on the one hand and with extra-governmental structures and population on the other one. The scheme below

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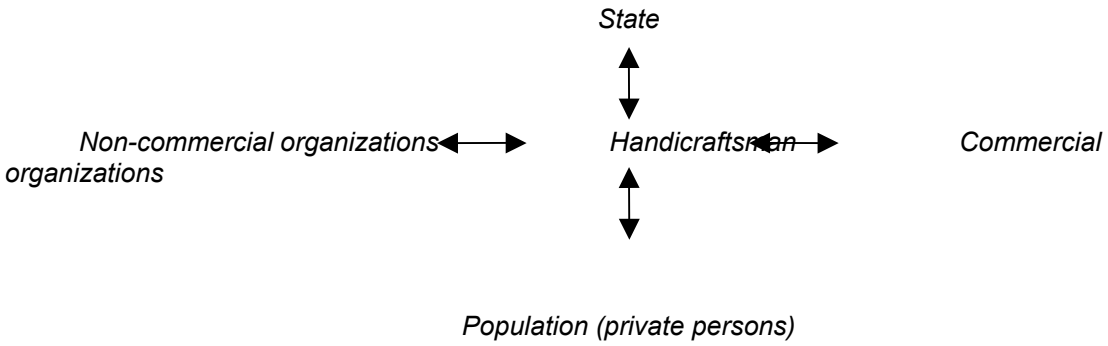
[5] The questioning was conducted by the author in Ossora, Karaga and Il'pyr villages.

[6] The author of the article disposes the information about three national amateur carvers, who earn for living by making and saling their hand-made goods. They are: Egor Chechulin (the Koryak), Nikolay Nikiforov (the Koryak) and Alexander Pritchin (the Itelmen).

classifies the main types of clients, forming consumers' demands for craft products on the market nowadays.



During the years of "perestroika" the development of craft production (as well as art activities as a whole) got a legislative support in a number of Federal laws[7], municipal laws and some regulations for Alliances and Associations of Arts. That is why the new public Associations of different legal forms (e.g., public organizations, public funds and public institutions), were set up in Kamchatka. They are acting simultaneously with the Union of Artists of the Russian Federation now[8].

In the context of a sociological research, one can regret that the activity of the newly founded Associations is not reflected enough in a local mass media. The existing laws let them be "locked" for public opinion, but to make financial accounts to the local tax bodies as an exception at the same time.

The results of polls witness that the rating of popularity of the Kamchatsky department of the Union of Artists of the Russian Federation has been reduced among the sub-group of the native arts' amateurs for the last ten or fifteen years. It happens mainly because of many obstacles for the membership in the Union. We can theoretically classify them according to significance in this way:

1. the remoteness of places of residence from the regional centre (that means a high cost of traveling);
2. the absence of regular work (that means, the lack of money for creative activity, in particular - for the arrangement of stationary and mobile personal exhibitions);
3. the death of art news.

[7] The issue concerns the following documents, e.g., municipal laws of the Russian Federation: "About the copyrights and the adjacent rights", "About public associations" (1995) and "About creative workers of literature and arts and about heir's creative alliances" (1998).

[8] The title, which was reiterated in the report of The Management on Tax and Collection in Kamchatka Area, is as follows: "The Kamchatsky Department of the All-Russian Creative Public Alliance of Arts of Russia".

The entrance demands of the newly founded non-commercial art organizations and funds which aspirants should satisfy are less strict and bureaucratic in comparison with the Union ones. Being founded at the years of "perestroika", the "newly-built" institutions, however, have principal coincidence in cultural, charitable and other public useful purposes with the "old-built" ones. According to the Administration of the Russian Federation Board of Justices, their number was equal to 37 in 2003 in Kamchatka area and in the Koryak Autonomous Territory[9]. Some of the counted art organizations concern with business activity, profiting by selling goods (that is, craft products) and art services. One should pay heed to the fact that the officially declared nonprofit status of the indicated organizations contradicts the commercial nature of their activity, though it has the corresponding explanation in law[10].

An attempt to cooperate with "new-built" public bodies in connection with the possible pecuniary perspectives is typical for contemporary indigenous craft amateurs. Possessing some elements of craft production infrastructure (e.g., workshops, storehouses, energy facilities, communication service, art-shops, mass media and so on), these organizations undertake to consider the problems, which are hardly solvable or even unsolvable in a private order. On available data, for example, it is the "The Fund of supporting and developing amateur art activity among the native peoples of Kamchatka", which tries to create the handicraft market in Petropavlovsk-Kamchatsky nowadays. The constitutors of the Fund exercise their control over dependant institutions ("Northern lights" art-salon, in particular) with the help of the board of guardians. Like the other similar shops the named above art-salon exhibits, sells, and performs the orders for handicrafts of different kinds and materials.

If handicrafts are taken for selling in art-salons, they must correspond to the market demands, including the competitiveness, based on a high quality and skill, in one's turn. The creative activity of the artist, working to be hired by salon, is also predestined by specifics demands of urban mode in the contrary to a rustic one. It is true, that souvenirs, maintaining local cultural (e.g., historical, ethnic and art) traditions by their themes, are objects of mass demand. In the presence of apparent variety of hand-made goods assortment,[11] there is nothing but markers of ethnic cultures, having a tendency to be repeated in numerous copies. These are cut statuettes of cultural characters (the so-called, Koryak idol "peliken" and Itelmen raven idol "kutkh"), Easter eggs, Orthodox crosses, and rosary beads and so on.

All the given examples testify to the hypothesis that the past ten years were favorable for laying the foundation of public values, models and stereotypes of the mentality, which are taking

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[9] Indicated statistical data are taken from the Long-term Regional Target Program of "Economic and social development of indigenous peoples of Kamchatka up to 2011".

[10] The main principle of business activity that should be put into practice by the common non-commercial associations implies an additional character of business to dominant cultural affairs.

[11] The greater part of handicrafts is sold in art-salons, souvenir and commissaries shops.

into account a wide system of private interests (that is health, prosperity, tranquility, stability and so on) plus ethnic identities.

The other possible conclusion concerns some prospects of the development of amateur handicrafts in urban surroundings. A visible animation of the municipal infrastructure of handicrafts by the end of the 1990's, which manifested itself in the foundation of different cultural and public-service institutions, including the Kamchatsky Centre of Exhibition Activity (CEA), the Kamchatsky Regional Art Museum, art-salons and souvenir shops, makes auspicious conditions for the development of professional handicrafts. Urban surroundings, however, are absolutely unnatural to those types to craft activity, which are typical for countryside. To adopt town manners for former village-dwellers means not only to gain special knowledge and skills in the elected field of craftwork, but also to "break" a system of values, motivations, actions and mental stereotypes, which was laid in the early childhood. Almost all the interrogated respondents from the number of indigenous craftsmen noted that they can hardly make themselves to cut beautiful, but absolutely useless household objects. At the same time, they unanimously announced of getting pleasure while making handicrafts of "natural" sense. We may regard the special case that is the creative activity of an amateur Koryak carver E. Checulin as a typical example of a "public" approach to a bone-carving art, because of its content and forms. He likes to make images of sea-mammals, animals of tundra, as well as to create the figures of reindeer breeders, fishermen, hunters of hard materials. The hand-made goods like these, are not refined in their content (though, rather exquisite in forms); and this circumstance obstructs their realization in a wide network of large specialized art-salons. That is why the only one possible channel of marketing handicrafts for E. Chechulin and the other amateur natives like him is selling hand-made goods in souvenir shops of a small turnover, staking on a simple taste of a fairly well off clients.

Thereby, the situation at the present stage of market economy in Kamchatka is less favorable for the development of public art culture, as a whole, and the traditional handicrafts in particular.

Jean Toomer or How the Failed Race Man Performed Modernity

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The project explores the intersections of the figure of the race man, prevailing notions of modernity and race and the life and work of intellectual and writer Jean Toomer. By tracing the racial politics and protocols embedded in the race man ideal, the paper exposes the necessity of Toomer's so-called "flight" to the metaphysical idealism of the Russian mystic Gurdjieff. It also demonstrates the ways in which this move mimics a performance of modernity for this great modernist writer and thinker. These claims are argued with particular attention to the racial binaries that have constituted much of U.S. racial politics and ideology.

To Be and Not to Be: Narrating Africa, and Being Narrated By Africa in the Black Diaspora

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The subject or question of home has remained important in the writings and art of Africans in the Diaspora. In the literature produced by African slaves, nostalgia or a strong longing for home was a major thematic element. In the autobiography Olaudah Equiano, a key aspect of the narrative is the invocation of home as a specific ethnic space, presented in such details that his writing may be described as a *homing* narratives – in the sense of *homing* as a literary return to a known home. Between the era of the slave narratives and the present-day, the idea of home has undergone some significant transformations: re-construction has given way to alter-native constructions in which Africa as a homeland figures mostly as an idea – more an epistemological than an ontological connection. This development has not followed a linear or 'universal' pattern, but the slave narratives and the present-day hip-hop narratives frame the two tendencies. The latter may be categorized as *homin'* narratives – with the elision of the completive *g* sometimes suggesting a space of flux or uncertainty – African? American? – as well as a zone of insertion. From *homing* to *homin'*, the initial emphasis on photographical memory, as in the autobiography of Olaudah Equiano, has gradually merged with the foregrounding of symbolic and mythological memory, as in the novels of Toni Morrison. Between *homing* and *homin'* also, counter-text cocktails in which validation and visibility in a new 'home' constitute the main contestation have sometimes transcended the sacramental privileging of Africa. But if Africa as a homeland has become less the subject, it has become more the stylistic inspiration or influence. My paper argues that in these *homin'* narratives, even when Africa is not being obviously narrated, its rhythms and its being are in fact the discernible 'narrators' of the socio-cultural experience in the black Diaspora. The new 'home' is linked to the old one in such a way that the old functions as a transformative agent in relation to the new but is itself also transformed.

TITLE:
Public Voice for Every Discipline

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ABSTRACT: See below

Public Voice for Every Discipline

The idea for this workshop I derived from a Special Topics class that I taught for Marketing students at the University of South Carolina in the spring of 2004. My entire teaching experience (12 years) up until that time had been confined to teaching Acting and Speech for Theatre majors – primarily Acting majors who were interested in developing voices for the legitimate stage. Much of my work had included intensive textual analysis on Shakespeare and the classics. After many years of doing this, I became convinced that much of the material I had been teaching could be discarded as superfluous, and that the acquisition of a voice marked by clarity and precision was within the grasp of anyone who mastered two or three significantly pertinent techniques. I was approached in the spring of 2004 by a professor of Marketing and Business from the Darla Moore School of Business within the University, with the problem of how to teach business students the art of vocal presentation in terms of papers, seminars, teaching, pitching ideas, etc. The professor felt that many of her students, although they might have been excellent academics with a profound grasp of the subject matter, were at a loss as to how to deliver a colorful, exciting, arresting presentation. I created a workshop isolating the techniques I deemed crucial to Theatre students, with the goal of achieving tangible results within the space of one class period (approximately 75 minutes). The response to the workshop was overwhelming. Since that time, I have been searching for an opportunity (such as this conference) to offer an enhanced version of this workshop for teachers and professionals representing a broad spectrum of academic and professional interests. This workshop does not require previous experience either in public speaking or in vocal technique. The goal of the workshop is that after attending

one session, participants may leave with a practical working method of how to improve their public vocal delivery, in such a way that exciting and colorful deliveries may be extracted from any text, regardless of the discipline – Architecture, Art, History, Linguistics, Music, Religion, etc. Participants do not need to bring material to the workshop, although I would encourage them to do so, if they desire. I would require the use of an overhead screen for this endeavor. The following is an outline of the workshop content:

What is Public Voice?
How it differs from intimate, personal or social voice

The Body:
The Skeleton as a conductor of vocal vibration and power
The Facemask /Optimum Pitch

The Text:
Clarity of Thought and Intent
Operative Words
The Upward Inflection
The Judicious Pause

This Workshop is my own creation, but I am indebted to the works of Arthur Lessac (The Use and Training of the Human Voice) Cecily Berry (Voice and the Actor) Edith Skinner (Speak With Distinction) and Lynn K. Wells (The Articulate Voice) for their many influences on me as a teacher of Voice/Diction in University Actor Training programs, over a period of approximately 12-13 years.

MRO

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TITLE PAGE

a. Title of the submission

The Challenge of 'Democratic Conservation' in the Horn of Africa: A Critical Appraisal of CBNRM in Ethiopia, Eritrea, and the Sudan.

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The Challenge of 'Democratic Conservation' in the Horn of Africa: A Critical Appraisal of CBNRM in Ethiopia, Eritrea, and the Sudan.

Daniel Ogbaharya[1] and Aregai Tecle[2]

Abstract

Community-based natural resource management (CBNRM), due to its strong emphasis on community empowerment, participation, and enhanced (role) use of indigenous knowledge in natural resource management, is now considered to be a central feature of sustainable development. This paper seeks to contribute to emerging critiques on CBRNM by examining the viability of establishing community-based approaches to natural resource management in the drought-stricken and conflict-ridden sub-region of the Horn of Africa. Based on case studies from Ethiopia, Eritrea, and the Sudan, we find that much of the rhetoric, discourse, and policy shift in favor of CBNRM is donor-induced. Because local communities have limited role and influence in conceiving and directing CBNRM projects, while expatriate non-government organizations wield unparalleled influence on them, it is unlikely that such CBNRM can be significant to reverse the prevalent political and cultural legacies of state-sponsored, top down, conservation projects. In fact, application of CBRNM processes in the Horn of Africa faces the risk of perpetuating the domination of local communities by external actors, that is, international governmental and non-governmental donors, with far-reaching consequences to their independence and sovereignty. This is particularly true where expatriate development organizations have replaced state and local organizations as the champions for the development agenda. Ethiopia and the Sudan exemplify a considerably donor-driven CBNRM policy, while Eritrea represents an anomalous case whereby a highly state-controlled policy promotes development intervention (sedentarization and refugee settlement projects) and top-down conservation projects such as large scale aforestation programs, hill slope terracing, tree planting, and the construction of soil bunds by junior and high school students. Therefore, we think that the full realization of the promises of CBNRM for participatory development and democratic conservation largely depends on whether ownership of community-based projects is ultimately transferred fully from NGOs to targeted communities, and that there is a genuine financial and political support of the projects by governments.

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Echoing Voices of Women in *Cracking India*

"I detest fundamentalism and communalism" says Taslima Nasrin, the author of *Lajja (Shame*) (1993), in the Preface(ix). This was the reason she wrote *Lajja,* soon after the demolition of the Babri Masjid in Ayodhya on 6 December 1992. It is the story of a Hindu family that has lived all their lives in Bangladesh, but has to leave their homeland because Muslim mobs begin to attack Hindus after the Babri Masjid was demolished by Hindu fundamentalists. Lajja sold well initially, but was then banned by the government, and a fatwa was issued against Nasrin, who boldly says, " I am not afraid of any challenge or threat to my life…I, for one, will not be silenced."(Preface x)

The problem of communalism is not restricted to Bangladesh, Pakistan and India, or course, but it is particularly oppressive there, and the real question is how a writer can fight its insane influence and violence? This novel is Naslin's answer. With her narrative of power and a humane perspective, her book captures the monstrosity of mobs, and what impresses us is Sudhamony's personal magnetism with his warm-hearted wisdom, humour and deep love for his family.

Communal strife and gender inequality are still the most serious problems to be solved in India. The Partition was not the end of the antagonistic strife which was produced in the process of the British imperial policy of divide-and- rule, dividing whole India into two ethnic groups of Hindu India and Muslim India, but a new beginning of it. Communal strife constantly reminds the victims of the worst memories of disaster in the history of modern India. 12 million people have been displaced, and they must have their own different stories of deprivation and suffering, most of which are untold or only circulated within their families. More representations of the voices of the victimized are expected to appear, however, since so few works have been so far written. But There are a few significant voices besides Nasrin's. Both Bapsi Sidhwa and Urvash Butalia mention people's complicity in the history of the Partition as the reason for this silence. Sidhwa says in a interview with Julie Rajan, "…they were ashamed of what happened to them, or the evil they did to others." (http://www.monsoonmag.com/interviews/i3inter_sidhwa.html)

A Pakistani writer, Sidhwa(1938-) deals with communal troubles during the

Partition in her *Ice-Candy-Man (1988)* (published as *Cracking India* in America) from a feminist point of view. She shows how the bodies of women are exploited by men during a period of religious strife. Butalia, a contributor to a book on the history of the Partition, *The Other Side of Silence: Voices from the Partition of India* (1998), also clarifies that it was "a history of deep violation …for women" (131), with gender discrimination hidden in the communal strife.

Ice-Candy-Man (1988) is a story of the Partition of India and Pakistan in 1947, when "a mob mentality" surfaced in this politically unstable situation. It is also a modern version of Sita's tale, the story of Ayah, a representative fallen woman, and thus a story of violence against women, but more importantly, a story of love and friendship among women and their fight against communalism. It is also a story of Lenny's innocence, lost through her betrayal, guilt and grief, and her sexual awakening and maturation.

Alamgir Hashmi points out, " …Sidhwa …is even handed in her treatment of the Sikhs, Hindus, and Muslims; but she fails to examine the patterns of complicity and the Parsi path to success on account of the socio-political (dis)order of the day. Thus, rather than being the last word on Partition, the novel remains Lenny's story."(*Encyclopedia of Post-Colonial Literature in English*, vol. II, 1490) As Hashimi states, this novel remains Lenny's story, but here, I think, lies the secret of its power and success. It is a story of a Parsi family(an ethnic minority in India) living in Lahore as seen from "lame Lenny's" perspective before and after the Partition. It is a personal drama set against the backdrop of the Partition, and we see and hear multifarious personal perspectives, feelings, and voices, which were never recorded or heard before, revolving around this political history. This novel delineates in detail how the Partition affected people's lives, but the focus is always on Lenny's daily life and the events and people around her, and in the latter half the focus shifts to an "Ayahless" loneliness, an attempt to rescue her beloved Ayah, an awakening to the reality of women, and a powerful network of women against 'the will of men" (a disguised form of desire for possession in communal strife). It is one of only a few novels which gives a powerful narrative of women fighting against communal violence against women, with memorable characters such as Lenny's Godmother and Mother, but also it probes into the causes and results of communalism. According to Masao Naito's definition, communalism in India means the way of thinking and behavior principally based on a religion or on a group identity in the community to which one belongs; the antipathy and strife between Hindu and Muslim or Hindu and Sikh caused by the above stated group identity.(*Encyclopedia of South Asia*) But some of the abductors in this novel are within the community, and some of Ayah's admirers. (Butalia clarifies that quite a few women were victimized by men from

the same village or the same religion.) According to Amrita Chhachni, there has been a tremendous increase in communal violence between Hindus and Sikhs since the 1960s, and this strife is a disguised form of economic competition between the two communities. (*EPW* 569) This novel also suggests that communal strife is a disguised secular problem rather than a religious one by focusing on the rage of ethnic minorities, on men's desire for women and greed for others' property, and on the jealousy behind communal riots.

Though an innocent child's fresh eyes we see how suddenly the male admirers of Ayha, who were themselves become "Hindu, Muslim, Sikh, Christian…,"(93) dwindle into "symbols,"(93) and how antipathy toward a different religion is generated among friends and neighbors. This axis of discord based on religion is diverted into the axis of gender in the latter half of the novel. And in this shift of focus, we can see Sidhwa's feminist perspective on overcoming communal trouble. Although women's bodies are exploited by men for their group identity, communalism hides this problem of gender. On the other hand, the concept of a women's community hides the differences among women, but in this novel the myth of a women's community is momentarily created in the scene of Lenny's chant for Ayah in a Recovery Camp.

However, the whole novel is not so simple, and Lenny's betrayal of Ayah when a mob intrudes into her house suggests that nobody is innocent. Even Ice-Candy Man is both an abductor and a victim of the riot.(His relatives are supposed to be killed.) As Butalia points out, this reflects people's complicity in this history. "There had been, at Partition, no 'good' people and no 'bad' ones; virtually every family had a history of being both victims and aggressors in the violence." (11) This complicity is subtly represented by Lenny's betrayal, which accompanies the process of her sexual awakening. Thus, this narrative of a powerful union of women against communalism does not glitter falsely, for it also shows its shadowy face of inner guilt. Still it is bright with the voices of the suppressed women, which echo the history of the cumulative grief of women.

Now I would like to examine in detail how this story of women fighters attains its convincing power in this novel. Let us consider the story of Ranna, lenny's friend, a tale of "too many …abandoned children … scavenging in the looted houses and the rubble of burnt-out buildings." (207) Ranna himself "wandered through the lanes stealing chapattis and grain from houses strewn with dead bodies, rifling the corpses for anything he could use." What he saw in one house is depicted as follows:

> …men copulated with wailing children—old and young women. He saw a naked woman, her light Kashimiri skin bruised with purple splotches and cuts, hanging head down from a ceiling fan. And looked on with a child's boundless acceptance and

> curiosity as jeering men set her long hair on fire. He saw babies, snatched from their mothers, smashed against walls and their howling mothers brutally raped and killed. (207)

"Estimates of the dead vary …but that somewhere around a million people died is now widely accepted." (Butalia 3) Besides the slaughter, the victims of "widespread sexual savagery" were, of course, women. About "75,000 women are thought to have been abducted and raped by men of religions different from their own (and indeed sometimes by men of their own religion)." (Butalia 3) Here we are told "the men" who "copulated with wailing children" and "jeering men" who set a naked woman's long hair on fire are "the murderous Sikh mobs", but we are not told what sort of women the victims are. They may be Muslim, but it is not clear. And this gives clear impression that women are sexually assaulted by men whether they are of a different religion or not.

Violence against women is not only thus represented with unspecified women victims, but also with a specific woman victim called Ayah,[1] Lenny's nanny, and the theme of violence against women revolves around her, uniting women who have suffered the same fate. In this way the Partition has a specific human face through Ayah's personal drama. Let us look at the scene where Ayah is abducted by Muslim mobs because she is a Hindu woman.

> They drag Ayah out. They drag her by her arms stretched taut, and her bare feet—that want to move backwards—are forced forward instead. Her lips are drawn away from her teeth, and the resisting curve of her throat opens her mouth like the dead child's screamless mouth. Her violet sari slips off her shoulder, and her breasts strain at her sari-blouse stretching the cloth so that the white stitching at the seams shows. A sleeve tears under her arm.
>
> ……
>
> The last thing I noticed was Ayah, her mouth slack and piteously gaping, her disheveled hair flying into her kidnappers' faces, staring at us as if she wanted to leave behind her wide-open and terrified eyes. (183-84)

Ice-Candy-Man, one of her admirers, joins the mobs, and coaxes Lenny to tell him where Ayah is hiding. Putting his arms around Lenny he whispers, "I'll protect Ayah with my life! You know I will…I know she's here. Where is she?" (182) And Lenny answers, "On the roof—or in one of the godowns…" Thus she "betrayed Ayah." In this way Lenny's world of innocence, her "Ayah-ful" life begins to give way to a story of experience, an

"Ayah-less" life of guilt and grief. And as her Godmother confronts Ice-Candy-Man, who insists he has married Ayah, exposes this deception, the confrontation opens Lenny's eyes to "the wisdom of righteous indignation over compassion," to "the unscrupulous nature of desire", and to "the pitiless face of love." (252) The "innocence that my parent's vigilance, the servants' care and Godmother's love sheltered in me, that neither Cousin's carnal cravings, nor the stories of the violence of the mobs, could quite destroy" (252) is now lost.

Before this awakening Lenny happens to learn of other abducted women through her new nanny, Hamida. Desperately seeking for Ayah in vain, Lenny notes her absence when she looks at familliar objects, as seen in such phrases as ,"Ayah-less car." (192) The slogans of the mobs echo in her dreams with women's wails and piercing shrieks, and she awakes screaming for Ayah. One night she is awakened by "a hideous wail," (213) and Hamida, sitting by her bed, is forced to answer the child's mercilessly frank questions. The mystery of the women in the courtyard next to Lenny's house deepens in "wailing and cries verging on the inhuman."(212) She asks why they wail and scream at night, and Hamida says, "`Poor fate-smitten woman, what can a sorrowing woman do but wail?" (213) Hamida never tells who they are, and Lenny is "wrung with pity and horror" and wants to "leap out of her bed and soothe her and slay her tormentors." (214) And remarkably, Lenny states, "I've seen Ayah carried away—and it had less to do with fate than with *the will of men*." (214)(italics mine) Lenny continues with her questions and she finally says that she saw Hamida in the jail next door through a hole in the roof of the servant quarters, and asks why she was in it. Hamida tells a forbidden tale to the child, "It isn't a jail, Lenny baby… It's a camp for fallen women." This candid dialogue generates a trust between them, and it unites them with the wailing women in the camp. Lenny gets out of her bed and presses Hamida's face to her chest and rocks her as if she were a caring mother with a wailing child. She promises herself that she will never mention Hamida's fall, but a cruel burning curiosity entices her to ask Godmother about it, and she reveals she knows Hamida's secret. The next dialogue shows the merciless nature of a child's curiosity and Godmother's comical character. And more importantly, it shows how Lenny trusts Godmother who never eludes Lenny's questions on serious matters. This is the starting point towards a rescue of Ayah and union with other suppressed women.

> What's a fallen woman? I ask Godmother.
> 'A woman who falls off an aeroplane.'
> Godmother can be like that sometimes….

'Wouldn't she break her head and die?' I say patiently.

'Maybe.'

'But Hamida didn't break her head…She says she's a fallen woman.'

"Oh?" Godmother's expression changes. (215)

Godmother tells that Hamida was kidnapped by Sikhs and taken away to Amritsar and continues as follows:

'Once that happens, sometimes, the husband—or his family—won't take her back.'

'Why? It isn't her fault she was kidnapped!'

'Some fold feel that way—they can't stand their women being touched by other men.'

It's monstrously unfair : but Godmother's tone is accepting.(215)

She now understands kidnapped women are accommodated in the camp, and she spends hours on the servants' quarters roof looking down into the courtyard, expecting to find Ayah among "the fallen women." (221) Hamida comes to find Lenny and spends time talking with her.

'Don't you miss your children?' I ask.

'Of course,' says Hamida.

'Then why don't you go to see them?'

'Their father won't like it.'

'They must miss you. You could see them secretly, couldn't you?'

'…If their father gets to know I've met them he will only get angry and the children will suffer.'

'I don't like your husband,' I say. (222-23)

Now Lenny is beginning to understand why "the fallen women" wail and cry at night, and is ready to grasp Ayah's situation.

One day Ice-Candy-Man visits Godmother and tells her that he is married to Ayah. However, Godmother is not deceived and never relaxes her interrogations:

"She was lifted in February and you married her in May? What were you doing all that time?"

Ice-candy-man remains silent.

"Why don't you speak? Can't you bring yourself to say you played the drums when she danced? Counted money while drunks, pedlars, sahibs, and cut-throats used her

like a sewer?"

. . . . . .

"Did you marry her, then, when you realized that Lenny's mother had arranged to have her sent to Amritsar?" (250)

Lenny is overwhelmed with Godmother's rage. Lenny has "a potent sense of her presence" and "the formidable power of her attack." (250) And simultaneously she is awakened to the "pitiless face of love." (252) Ice-candy-man has an unfathomable emotional explosion. He suddenly "clenches his hair in his fists" with his eyes bloodshot and his face of a patchwork of tears and mud. He says in a scratchy voice: 'I can't exist without her." "I'm less than the dust beneath her feet! I don't seek forgiveness…' (251) This confrontation brings about Lenny a breathless spasm. But how can we read Ice-candy-man's repentance, grief and despair? He is too elusive to understand. What seems to be clear is his distorted and perverted desire for Ayah.

Lenny can not understand why Ayah does not come to visit her and can not believe Ayah herself refuses to come. " …[S]he is ashamed to face us," (253) says Godmother. Lenny is surprised but now she understands Ayah is "deeply, irrevocably ashamed, even when Godmother says: "She has nothing to be shamed of." (253), and is "certain of her humiliation." (254) " Now she more than ever wants to see Ayah and "comfort and kiss her ugly experiences away." "I want to tell her I am her friend," and remembering Hamida's remarks, she cries, "I don't want her to think she's bad just because she's been kidnapped." (254)

Godmother decides to visit Ayah in a red light district with Lenny. They find Ayah has lost the inward glow she had when she was in love with Masseur, and has lost her angelic voice. "Her voice is harsh, gruff: as if someone has mutilated her vocal cords." (261) She "frenziedly, starkly" says: "I want to go to my family." (261) Ayah is not persuaded by Godmother's urgings to stay with her husband, and insists she will go back to her family whether they want her or not. (According to Butalia, many families refused to take their daughters back.) Ayah grasps Godmother's legs and pleads with her to help her get away from him. Lenny also thinks Ayah must get away from "the monster who has killed her spirit and mutilated her "angel's voice." Yet Lenny looks at Ice-candy-man's "naked humility and grief", and she sees him "as undeserving of his beloved's heartless disdain." (265) Godmother appeals to the police and they go to Ice-candy-man's house in Kotha and rescue Ayah, arranging for her to be accommodated in a camp. Ice-candy-man's threats and pleading can not affect her any more.

Later, Hamida and Lenny run to the servants' roof and look down with other women

and children from the quarters. The women in the courtyard appear and "answer their queries with more animation than they have ever displayed before." (273) Lenny knows Ayah does not want to see her or her family. But Lenny's call for Ayah is responded to by the other women there, which may remind us of that memorable call in the court scene in E. M. Forster's *A Passage to India*. (1924)

> And I chant:"Ayah! Ayah! Ayah! Ayah!" until my heart pounds with the chant and the children on the roof picking it up shout with all their heart: Ayah! Ayah! Ayah! Ayah! And our chant flows into the pulse of the women below, and the women on the roof, and they beat their breasts and cry: 'Hai! Hai! Hai! Hai!' reflecting the history of their cumulative sorrows and the sorrows of their Muslim, Hindu, Sikh and Rajput great-grandmothers who burnt themselves alive rather than surrender their honour to the invading hordes besieging their ancestral fortresses.
>
> .....
>
> 'Ayah! Ayah! Ayah! Ayah!' we chant and 'Hai! Hai! Hai!' the weeping women: and supported by two old women Ayah appears in the courtyard. She looks up at us out of glazed and unfeeling eyes for a moment, as if we are strangers, and goes in again. (273-74)

Lenny's heart pounds, echoing with her ardent chant, which is further echoed by the children and women on the roof and the women below, "reflecting the history of women's cumulative sorrows," the sorrows of women of every religion. The voices of women who have been suppressed, silenced and buried in a history of anonymity now rise to the surface through the women around Lenny. Lenny's evocative chant becomes "our" chant and "our" chant becomes their cry, which transcends religious differences, barriers of generation and caste, and unites all women with sorrows. Here the axis of discord based on religion is diverted into the axis of gender suppression, and we can see Sidhwa's feminist perspective on overcoming communal trouble. However, things are not so simple. The group identity of a women's community is powerful, but it still does not solve an individual's inner problem. Ayah's lost soul is not regained, and she " looks up at us out of glazed and unfeeling eyes a moment, as if we are strangers, …." (274) The communal riot deprives Ayah or Hamida or other many women of friends, family, dignity as a human being, all replaced with emptiness, tears, cries, and "unfeeling eyes." But what sort of evil is this communal riot? Is the slippery mob really fighting for religion? Or, is it for women? Or, has suppressed anger against discrimination in a community surfaced in an unstable political situation? What causes violence besides

hatred? Sidhwa suggested in a interview with Julie Rajan that men's greed for territory causes it. "All wars are fought over the desire for more land and, more wealth, the possession of others' women."(http://www.monsoonmag.com/interviews/i3inter_sidhwa. html) What else causes violence beside hatred, rage, and greed for territory? We should here pay attention to "Rajpu great-grandmothers who burnt themselves alive rather than surrender their honour to the invading hordes besieging their ancestral fortresses." According to Butalia, during Partition many women were willing or forced to be martyred in order to save the purity of the religion or community but it is not the women who died but the men who decide to sacrifice their lives who were honoured. Besides, "In the remembrance ritual…women are exhorted to remember the sacrifice and the bravery of their sisters and to cast themselves in the same mould." (209) That is why those who survived are seen as being inferior to the martyred. Thus, wars are also fought over national honour, honour of community, or tribe, that is, men's honour, victimizing women. "…Partition, provided the rationale for making women into symbols of the nation's honour." (Butalia 192)

Female bodies became territory to defend against defilement or mutilation, or others' territory to violate or defile, a mere symbol. Ice-candy-man loses his senses when he finds "two gunny-bags full of women's breasts," (149) in a train from Gurdaspur and wants to "kill someone for each of the breasts they cut off the Muslim women…" (156) Those breasts symbolize mutilated territory, a violation of the Muslim community which he belongs to and by which his group identity can be supported. But for Lenny, it is her "Mother's detached breast: soft, pendulous, their beige nipples spreading." (149), not a mere symbol but a reified metonymy connecting her to her beloved Mother.

Communalism and male violence against women are vividly represented in this text, With female bodies raped, mutilated, forced into prostitution, forced to be martyred, slaughtered by men to reinforce an image of the female body as violable, rapable. But on the other hand, we have active female models such as Lenny's mother and Godmother, who courageously play a positive role in rescuing damaged women. Lenny's mother leads other women and smuggle petrol for money to send abuducted women back to their families. Even when the mobs intrude into her house, she, undaunted, defiant, and endearing, makes them hesitate. "Flanked by her cubs, her hands resting on our heads, she is the noble embodiment of theatrical motherhood." (179) She also shows her fighting spirit when she routs the men in their carts who chase after Ayha. Mother screams after the departing carts, "…Show your blackened faces at someone else's door! That scoundrel! He can't deceive me again! If he dares show his face I'll call the police and have him hung upside down!" (272) Lenny is awakened to an adult

woman's power through Godmother's "formidable" attack against Ice-candy-man. Lenny's mother and Godmother and other women around them seem to be creating a community of women, an empowered support system.

Communal strife and gender inequality remain the most serious problems to be solved in India. And the problems of communalism and gender have become entwined in a recent political movement. According to Tanika Sarkar, very bellicose communal Hindu women actively joined the recent Hindutva movement. ("The Movement as Communal Subject: Rashtrasevika Samiti and Ram Janmabhoomi Movement" *EWP,* Aug 31, 1991, 2057) And middleclass women in urban areas are said to have joined other fundamentalist movements, too. These communal struggles divide Hindu women and Muslim women, who had fought for suffrage and other legal rights. The more knotty the situation becomes, the more we need powerful, positive stories. Sidhwa puts her myth-creating power into full play in this novel by creating a Lenny's story. This first-person child narrator, who tells how "I", Lenny, is awakened to an adult woman's power to support other women through her dialogues with Godmother, her mother, Electricaunt, Slavesister, Ayah, Hamida and other women, as well as to treacherous phases of sexuality and the "unscrupulous nature of desire" through her Cousin and the male admirers of Ayah, gives us, in the best sense, the kind of apologue we need.

Notes

1 Criticism tend to have focused on the symbolic meaning of Ayha and Ice-candy-man. At a symbolic level "Lenny's ayah, the chocolate-brown, desirable, round-cheeked, full breasted woman, is symbolic of the Indian earth. The titular Ice-Candy Man is the ravisher. He covets her femininity and fecundity." (Bharucha "Parsi Voice"81) "…[S]he [Ayah] represents the innocent natural sexuality of woman which in the unnatural conditions imposed by social value-systems and the still more unnatural world of hate and violence generated by the Partition, becomes the prey of debauched male desire. And Ice-Candy-Man could be read symbolically as representing male sexuality perverted by social upbringing, by denial, by warped concepts of masculinity." (Kudchedkar "The Second Coming" 69)

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Living in Tension:
Stylistic Differences between 19th century Japanese Minka and American Houses

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Living in Tension:
Stylistic Diff erences between 19th century Japanese Minka and American Houses

Lindsay N. Oishi

When the American scientist Edward Morse went to Japan, he was delighted by many aspects of Japanese houses—and just as much chagrined by the inability of American houses to equal them. Yet perhaps Morse was a bit unfair in his generally poor regard of American domestic architecture at the time he was writing, 1877-1883. Traditional Japanese homes of the late 19th century, called "minka," and American homes of the same period were products of national history and identity. As such, the eclectic, awkwardly self-conscious American houses were as valuable as the traditional, simple minka as expressions of culture, even if they could not match minka in aesthetic appeal.

For clarification, it is important to acknowledge that both minka and American houses of the 19th century did not represent a completely defined, static style. While we can make generalizations and rules of thumb about the construction of each type of domicile, there is no set of absolute and all-encompassing rules to govern the construction of either. Both Japanese minka and American houses show a wide range of stylistic and structural features due to regional architectural trends, climate, occupations of the inhabitants, and many other factors. For example, Teiji Itoh points out that in minka, "regional differences in roof form and ridge ornament…were the first thing to be commented on by ethnologists."[1] Sally McMurry points out a similar propensity for diversity in 19th century American farmhouses: they "first catch the observer's eye with their rich variety of styles and materials—from Gothic to Greek, cobblestone to clapboard."[2] In fact, this similarity in differences is one of the few characteristics that unites

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[1] Teiji Itoh, Traditional Domestic Architecture of Japan (New York: Weatherhill/Heibonsha, 1972), 41.
[2] Sally McMurry, Families and Farmhouses in Nineteenth-Century America (New York: Oxford University Press, 1988), 10.

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minka with American houses. But it points not to greater commensurability, but divergence, because the categories in which differences within each style were apparent and the explanations for these intra-stylistic differences reveal the disparate histories and cultures of Japan and America.

The basic substance of minka and American houses is a good example: while minka were made of the same materials throughout Japan, American houses utilized a great variety of building materials. Minka were primarily unpainted wood structures, with plaster in some walls, reed, straw or tile roofing, and special paper for sliding doors and windows. Meanwhile, American houses could be made of wood, yet they could also be made of many different kinds of stone and metals, in a plethora of combinations. Windows, an exception to the rule of variation, were generally made of glass. To study comparative groups of dwellings, consider Morse's examples of city and country houses next to Mary Corbin Sies's group of suburban homes in northeastern American communities. Both groups were extant in the late 19th and early 20th centuries, and both were comprised of mainly middleclass families (although Morse does touch on the dwellings of poorer people). All of the houses that Morse examines were made mostly of wood, with a few possible variations in roof material. Meanwhile, Sies's group of houses made use of greystone, traprock, brick, various types of wood, steel-reinforced concrete, and other materials, often in combination.[3] For example, the "Sunset Cottage" used a tile roof, wooden porches, brick walls, a fireplace of large stones, and glass windows. Minka demonstrated a striking uniformity in structural materials, while American construction showed a predilection for multiplicity even within a single community or a single house.

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[3] Mary Corbin Sies, "God's Very Kingdom on Earth: The Design Program for the American Suburban Home, 1877-1917", in Modern Architecture in America: Visions and Revisions, edited by Richard Guy Wilson and Sidney K. Robinson (Ames, Iowa: Iowa State University Press, 1991), 13-14.

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A category in which both minka and American houses had great internal diversity was design. However, variation among minka was most obvious in the interiors of houses, while the most noticeable differences in American houses were their exterior appearances. Japanese attention to detail in interior design is famous for good reason. For example, even hikite (handholds for moving sliding doors) came in many distinctive styles. In fact, as the elements of a Japanese room congealed in the shoin style, pattern books specifically for each feature of the room became widely available and well used. These books of basic room features, such as the chigaidana (staggered shelves), allowed for endless variations on the fundamental idea of shelves.[4] Japanese home design also drew on the sukiya tradition, which was grounded in the tea-ceremony aesthetic preference for rusticity, simplicity and, importantly, *uniqueness* . In the tearooms the Morse examined, he often found an unaltered and particularly eccentric piece of wood worked into the room's structure as decoration. The simple plans drawn up by architects also demonstrate that the Japanese considered the interior of the house the primary arena for personal expression. That is, the designs for minka were extremely basic; they only indicated a floor plan and proportions. The daiku (Japanese architect/carpenter) had a great degree of authority in determining the exterior appearance of the dwelling, but the resident decided nearly every aspect of the interior.

In contrast, American home buyers considered the exterior appearance of the building first. Pattern books were also widely used in America during the 19th century; however, their content was very different from that of Japanese pattern books. Instead of entire books devoted

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[4] It should be noted that due to sumptuary laws, in some areas shoin-style details were not allowed for the common people who normally were the residents of minka. Yet Morse, since he does not use the term "minka," does not make it clear whether he considers the homes he visits and examines to be minka or not. Furthermore, it is not possible to make the distinction solely on a rural versus urban basis. Itoh notes that minka encompass both rural and urban houses, since in Japan of the 19th century, urban dwellings were not as differentiated from rural ones as they were in Western countries. The main characteristic of minka is that they are *not* shinden or shoin, and precede the 20th century. Itoh, 14-15.

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to chigaidana, tokonoma (alcoves) or other single aspects of interiors, American pattern books featured "Delicately drawn lithographic perspectives of the houses in their appropriately landscaped settings…accompanied by floor plans and drawings of those architectural details that made a house distinctive—doors, windows, decorative carving and sawn work, posts and balusters."[5] It is interesting that those details of the house that were considered important for making it stand out were all things that could be seen from the outside, whereas in Japanese minka construction, the revelation of personal distinctiveness was restricted to those who lived in the home or were invited inside. It is also worth noting that two architects, who authored Architecture: Designs for Street Fronts, Suburban Houses, and Cottages, went so far as to completely omit floor plans from their book. They "had determined that floor plans which were prepared to coordinate with the exterior elevations were not practical."[6] Nothing could be farther from the Japanese custom of only floor plans. This conspicuous discrepancy, although unusual even among American pattern books, vividly underscores the internal versus external conflict between Japanese and American architecture.

A second way in which the pattern books reveal the difference between minka and American house styles is through the breadth of options they presented. While Japanese pattern books allowed for great personal choice in interior design, the broader characteristics of minka played out within strict rules of both tradition and sumptuary laws. Minka were ethnically Japanese and had developed for centuries, and so variation was circumscribed by what had been historically done in Japan. These factors gave minka greater uniformity than American houses. Morse even says, "there is a sameness about them which becomes wearisome."[7] In contrast, the

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[5] Linda E. Smeins, Building an American Identity: Pattern Book Homes and Communities (Walnut Creek, CA: AltaMira Press, 1999), 100.
[6] Ibid., 102.
[7] Edward S. Morse, Japanese Homes and Their Surroundings (New York: Dover Publications, Inc., 1961), 49.

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variety of American designs in pattern books is indicative of architecture *without* tradition or restricting laws, architecture which had multi-ethnic origins and which lacked a lengthy history. In fact, at the end of the 19th century, as America celebrated its centennial, architects and critics were worriedly searching for a style that could legitimately be called "American," and which was not simply a bastardization of other styles. One observer wrote that "architecture in the United States, both civil and domestic, is in general either copied directly from European models, or is a promiscuous commingling of different styles selected from various models."[8] Indeed, the pattern books of the time upheld his criticism. For example, in 1876, a pattern book called Modern American Homesteads published a decidedly disturbing (at least to the modern eye) "Swiss-Gothic cottage," with traditional Swiss details and sharply angled gothic roofs.[9] The very name of the house makes one uneasy, since "Gothic" and "cottage" is an infelicitous pair, and adding "Swiss" makes the mental image even more difficult to conceive. Even more strangely, this house was supposed to be made of wood, while the great promoter of Gothic, Ralph Adams Cram, made it very clear that Gothic, even in contemporary American architecture, was the architecture of stone. This incongruity increased the muddled identity of the house. Such a clashing and attention-seeking appearance is anathema to the subdued and non-demonstrative face of the minka, which blended into the obscurity provided by the sameness of its neighbors (even while hiding a unique and delightful interior).

Despite their deep divergences, both Japanese and American houses served a congruent function: to display social status. In minka this function was prescribed; in American houses, it was the aim of significant effort. The use of domestic architecture to indicate social status is not an exclusive quality of minka or American houses. It is common among many forms of

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[8] H.C. Butler, "An American Style of Architecture," *The Critic* , vol. 20 (1893), pp. 203, quoted in The Development of the American Modern Style, by Deborah Frances Pokinski (Ann Arbor: UMI Research Press, 1984), 20.
[9] Smeins, 106.

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domiciles, and it is normally an intended effect of construction. But in minka, displaying social status was not a free and deliberate choice. It was an issue determined by sumptuary laws handed down by the ruling class. Japanese people, like any other people, may have wanted to display their status. However, their desires were confined and shaped by what the laws permitted.

Since restrictive laws were not applied to housing in America (beyond minimal safety and zoning requirements), symbolizing social status through one's house was a powerful and independent drive. Simply having a house was a significant achievement, in a way not paralleled in Japan. Morse notes that with only a few exceptions, every Japanese family managed to have a house of its own, although it may have been extremely humble.[10,11] But in America, having a home of one's own was a significant achievement that denoted the American values of self-sufficiency, individuality, and hard work that were popular during the Progressive Era. In sum, "Having a home of one's own is an unquestioned feature of the American dream."[12] Making that home into a visual display of success was a corollary. For example, Joseph E. Wing, a successful farmer in Ohio in 1892, stuccoed his house in order to make it "look more aristocratic" and thus "signaled his aspirations to high standing in the community."[13] The notable point is that no tradition or law indicated to Wing that he ought to do so; it was the fashion of the time and a result of his conscious effort.

Home builders and buyers in America were not just conscious and striving in their expressions of social status; they also were very *self*-conscious of their position in creating and expressing American culture, in a way that Japanese daiku and minka dwellers probably were

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[10] Morse, 46.
[11] Thanks to Dr. Jordan Sand for pointing out that "have" did not necessarily mean "own," since the majority of residents in Tokyo and Osaka rented their homes.
[12] Smeins, 26.
[13] McMurry, 25.

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not. As Smeins writes, "During the years leading to the Centennial and through the next decades, ideas of national definition and national character fused with a need to have great pride in the nation and to express this as love for the country."[14] The United States, in its teenage years as a nation and searching for its adult identity, struggled to distinguish itself from Britain. Part of this process was the formation of distinctly American architecture. The prevalence of historicist ideas during the nineteenth century encouraged Americans to think "that every great civilization has inevitably produced a characteristic and valuable architecture."[15] This created a great deal of pressure to produce something special. Americans were caught in the tension between finding a unitary and characteristic architectural expression, and doing justice to the myriad cultural, historical and religious influences that intermingled in America's diverse population. Furthermore, in the late 19th century, America was emerging from the upheaval of the Civil War. Factionalism was a serious obstacle to national unity, even in architecture. One solution was eclecticism, both crude and sophisticated. Another was ignoring the diversity and adhering to one already established style. Regardless of what solution they chose, few middle-class home builders and buyers, who were educated and involved in the debate on "American" style and values, could fail to recognize and fret over the symbolic contribution of their own homes.

This was a problem that the Japanese did not face: they had a long architectural tradition, a single ethnic and national identity, complementary religious backgrounds, and political unity. The styles and contributions of their domiciles to Japanese culture were largely unconscious.[16]

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[14] Smeins, 27.
[15] Deborah Frances Pokinski, The Development of the American Modern Style (Ann Arbor: UMI Research Press, 1984), 21.
[16] A possible exception to this idea that Japanese minka dwellers and daiku were not conscious of the impact of minka on Japanese culture is the kind of people with whom Morse visited. They were men of culture who may have been aware of the position of their unique style of architecture in Japanese history, especially since at that time it was on the verge of disappearing.

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The use of the word "minka" demonstrates this, for the term was not used during the time in which they were the conventional "people's house."[17] Though I have used Morse throughout this paper to describe minka, Morse never used the term. In fact, the word came to have its current meaning only when minka began to be anachronistic and were gradually being replaced by more modern and Western dwellings. Minka became distinct, not only because of their obvious differences from previous Japanese styles such as shinden and shoin, but also because of their incongruity with the houses produced by an industrializing nation strongly influenced by Western culture.

As traditional Japanese houses became described as "minka," a distinguishable and cherished style, they gained another aspect of similarity with American houses of the time. Through dissimilar in materials, form, and *intended* function, the indirect effect of both types of dwellings was the physical expression of social and political tensions. In Japan, these tensions included the conflict between old types of materials and methods of building and new, between rural and urban construction as the all-purpose minka began to lose its broad functionality, and between historically Japanese and foreign, Western influences. In America, the tensions were based on the multi-ethnic character of Americans and the introspective self-criticism of a nation turning 100 years old and searching for a stable and uniform architectural identity. As representations of each country's development, both minka and American houses of the 19th century are significant components of architectural history.

[17] Itoh, 12.

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Oil and Identity struggle in the Niger Delta, Nigeria

**Other Areas of Humanities*

**paper session*

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Oil and Identity struggle in the Niger Delta, Nigeria.

Abstract

"Shell has promised us several things, but have not done any. Apart from that, there is issue of environmental devastation that is still threatening us. Two major spills have occurred between 1991 and 1999 and Shell refuses to clean spills from our lands and rivers and pay compensation to us". Mr. Louis Nwanchukwu, chairman, Umusia Community development Committee (CDC).

The flaws in Nigerian laws have given oil companies operating in the Niger Delta an ample opportunity for disregards for environmental laws and the needs of the soil –bearing communities of the region. These developments have thrown up scores of agitations from the social movements that came up in the 1990s to challenge the state and oil multinationals. ***Therefore this paper will address the bases of such identity uprising after over three decades of oppression and what accounted for sudden change of policy by the major actors.*** *Nigeria is one of the largest oil producer in Africa and the fifth largest in the Organization of Petroleum Exporting Countries (OPEC). Despite the huge oil wealth that the state derives from the sale of petroleum, instead of turning the state into one of the most developed and prosperous on the African continent, this commodity have only benefited the few minority while the majority from the region where oil is found has become increasingly impoverished. The country is also rankled among the poorest nations of the world due to mismanagement of the petrodollars by those in power .It is imperative to understand the struggles of the people of the region for justice.*

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ABSTRACT:

CIVIL-MILITARY COMPETITION FOR POLITICAL CONTROL AND ITS IMPLICATIONS FOR SUSTAINABLE DEVELOPMENT IN AFRICA: A CASE STUDY OF THE NIGERIAN SITUATION

The dynamics of political rule in Africa have an interesting legacy of experiences of political power transfer and changes in pre-colonial and colonial epochs. In the post-independent era, political power, transition processes, mechanisms and outcomes have centered on civil-military competition for political control. While permanent military disengagement from political office apparently eludes the continent, the precarious rule of the military may not necessarily be rooted in a military-class interest agenda. This is given the extreme nature of competitive sectional politics in which military involvement in political rule assumes an instrumental role for pre-empting, attaining or retaining sectional leadership within the context of Africa's regional schisms. To this extent, the regional/sectional contest for the center change and civil-military relations in some states' polity are reordered. The need for sustainable development in Africa requires the full

participation of political parties in the governance rather than military that only needs to keep the security of the state to participate in political control in Africa.

Relationships between Learner Variables and Foreign Language Performance in Beginning College Level Courses

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Abstract

The purpose of this article is to use current instruments to analyze relationships between a range of learner variables and performance in light of recent foreign language (FL) acquisition theories. To this end, 38 college students in beginning FL courses took a battery of tests that measured FL aptitude, FL anxiety level, language learning strategy use, language background and self perception of language skills. As a result it was found that: (a) measures of sentence inferencing and FL anxiety were negatively correlated (r = -0.44), (b) measures of language learning rules and compensation strategy use were positively correlated (r = 0.44), (c) a stepwise linear regression model using FL aptitude and age as independent variables explained 38.4% (adjusted R^2) of the variability in final course grade, and (d) another linear regression model using FL anxiety and compensation strategy use as independent variables accounted for 43.2% (adjusted R^2) of the variability in the average quiz grade in the course. These findings are discussed and classroom implications are suggested.

Introduction

It is a well established fact that a number of individual factors, or learner variables, affect the level of proficiency achieved in the acquisition of a foreign language (FL). During the past forty years, aptitude—a variable associated with the level of cognitive language abilities—has often been considered as the prime determinant of a student success (Gardner, Tremblay, and Masgoret, 1997). However, recent research has put forth the competing idea that a combination of a wide range of variables including learning style preferences, motivation, self-esteem, anxiety, and language learning strategy use have a significant influence on performance in the FL classroom. The goals of this exploratory study are: (a) to identify relationships between different learning variables and language performance, and (b) to discuss these results in terms of their classroom implications. To this end, an empirical study involving 38 FL learners at the beginning college level has been conducted to examine the effects of the following variables on performance: FL aptitude, FL anxiety, language learning strategy use, age, language background and performance.

Conceptual Background

In this section, various concepts and instruments associated with language learner variables and performance are reviewed.

Language Aptitude

Generally, language learning aptitude can be defined as a "natural tendency, ...a quickness to learn or understand" (Oxford, 1990b, p. 68) and has been recognized as a key factor associated with language learning success (Bialystok and Frohlich, 1978, Skehan, 1989). In the comprehensive treatment of Carroll (1981), aptitude is viewed as a

stable trait, different from verbal intelligence or academic ability, and mainly composed of four independent cognitive abilities. These traits are defined as phonemic coding (the ability to form and maintain connections between sounds and symbols), grammatical sensitivity (the ability to identify word grammatical functions), rote learning (the aptitude to make quick links between sounds and symbols, and their retention), and inductive language learning (the ability to infer rules from language samples) (Harley and Hart, 1997). The evaluation of these components forms the basis of the well-known Modern Language Aptitude Test (MLAT) designed by Carroll and Sapon (Oxford, 1990). Accordingly, a commonly accepted definition of aptitude in language learning refers to the scores obtained on such a test.

In addition to the MLAT, several other aptitude tests were developed within Carroll's framework. Pimsleur (1966) constructed the Pimsleur Language Aptitude Battery following the MLAT approach while giving more emphasis to auditory variables and less to memory ones (Dornyei and Skehan, 2003). Similarly, the Defense Language Aptitute Test Battery (Petersen and Al-Haik, 1976) designed for the US military emphasized inductive language learning ability, phonemic coding, and memory (Dornyei and Skehan in press). The VORD was created to measure the ability to deal with grammar systems related to Turkic languages (Parry and Child, 1990).

An instrument called the CANAL-F (Cognitive Ability for Novelty in Acquisition of Language as applied to FL) was recently developed by Grigorenko, Sternberg, and Ehrman (2000). Their basic idea is to apply Sternberg's theory of human intelligence (1997) to measure the capability of students to learn an artificially created language called Ursulu. A critical aspect of this test is that it emphasizes the role of coping with

novelty in language learning. As summarized by the authors, the CANAL-F is: "(a) based on a cognitive theory of knowledge acquisition rather than being empirically-derived; (b) naturalistic in that it creates a situation in which FL learning occurs naturally, by gradually introducing a simulated language embedded in a multifaceted language context; (c) dynamic rather than static, in that it tests the ability to learn at the time of test; (d) multifunctional in that it both assesses students' levels of ability and provides information on students' strengths and weaknesses, so that appropriate teaching and learning strategies can be devised; and (e) based on item response theory, thereby permitting adaptive testing and new item development" (p. 392). A short version of this test denoted CANAL-S has been selected for this study and will be discussed in more detail in the "Methodology" section.

The notion that FL aptitude is closely associated with the linguistic rule structures of a language has dominated the research field for many years (Sparks, Javorsky, Patton and Ganschow, 1998). However, post-Carroll researchers have advocated a reexamination of the concept of FL aptitude as they claimed that aptitude tests did not consider a range of other cognitive factors affecting human learning (Parry and Stansfield, 1990). During the 80's and 90's, FL researchers undertook an investigation of the role of cognitive and affective variables on FL learning. For example, Oxford (1990a) studied the role of language learning strategies, Horwitz, Horwitz, and Cope (1986) investigated the role of FL anxiety and Ehrman (1996) used the Myers-Briggs Indicator to determine the relationship between personality traits and language learning. These investigations demonstrated that language aptitude is not the only factor influencing

language learning success. The concepts of FL anxiety, language learning strategies and the effects of age are described in more detail in the remainder of this section.

Foreign Language Anxiety

Language anxiety can be viewed as "the [feeling of] apprehension experienced when a situation requires the use of a second language with which the individual is not fully proficient" (Gardner and MacIntyre, 1993, p.5), thus arousing worry and negative emotions (MacIntyre, 1999). In another definition, this type of anxiety is seen as "a distinctive complex of self-perceptions, beliefs, feelings and behaviors related to classroom language learning arising from the uniquess of the language learning process" (Horwitz, Horwitz, and Cope, 1986, p. 128) and therefore is generally referred to as FL anxiety. This state can be of two different types: (a) facilitating or (b) debilitating. Facilitating anxiety motivates the students "to fight the new learning task," thus guiding learners emotionally toward approachable conducts (Scovel, 1991, p. 22). In contrast, debilitating anxiety incites students "to flee the new learning task", thus causing avoidance behaviors on the learners' part (Scovel, p. 22). The distinction between these two types of anxiety is relevant to the FL situation as their effects on performance levels are opposite (Young, 1991).

Over the years, various tests of FL anxiety have been developed in response to specific research needs, including: the Personal Report of Communication Apprehension (PRCA, McCroskey, 1970), the French Class Anxiety Scale (Gardner, 1985), Language Class Discomfort (Ely, 1986), and the Foreign Language Anxiety Scale (FLCAS, Horwitz et.al, 1986). Such measures have consistently shown a negative correlation with FL achievement and students' perceptions of their own FL proficiency (e.g., Aida, 1994;

Bailey & Onwuegbuzie, 1998; Ganschow, Sparks, Anderson, Javorshy, Skinner & Patton, 1994; Horwitz, 1986; MacIntyre, Noels, and Clément 1997; MacIntyre, 1999; Onwuegbuzie, Bailey, and Daley 1999).

Language Learning Strategies

Language learning strategies can be defined as "specific behaviors,...taken to enhance one's own learning, through the storage, retention, and use of new information about the target language" (Weaver and Cohen, 1997, p.vi). These conscious actions are used by learners with the purpose of improving their knowledge and comprehension of FL (Weaver and Cohen, 1997). A common classification groups language learning strategies into four general categories (Weaver and Cohen, 1997, pp.vi-vii):

1. Cognitive strategies involve the identification and retention of many elements of the FL as they "deal directly with the manipulation of target language structures". Such strategies include summarizing, grouping vocabulary, and using imagery.

2. Metacognitive strategies relate to the students' attempts to plan, organize and evaluate language activities, and help control the language learning process, such as overviewing and linking with already known material, self-monitoring, and self-evaluating.

3. Social strategies include the steps that learners take to interact with their peers, a teacher or a native speaker and sum up the "external efforts" made to learn the new language, such as working in groups, asking for clarification, and cooperating with others.

4. Affective strategies include students' motivation, feelings and attitudes, and represent "internal efforts to regulate the language learning process", as exemplified in

the following activities: encouraging oneself through positive attitudes, using relaxation techniques, and using rewards.

Other strategy taxonomies exist, such as O'Malley and Chamot (1990) and Oxford (1990a). Oxford's classification adds two more strategy types to the traditional four types: memory (e.g., remembering where you first use/heard a word, labeling new words) and compensation (e.g., guessing the meaning of unknown words). The comprehensive nature of Oxford's system makes it an attractive choice for the FL researcher.

Learning strategy research has dealt with the analysis of the different strategies used by all types of language learners and their relationship to performance and achievement. For instance, studies have indicated a connection between the subscales of the Strategy Inventory for Language Learning (SILL) and achievement scores (Mullins 1992; Olivares-Cuhat, 2002).

Age Differences

Age is commonly seen as an influential learner variable (Scarcella and Oxford 1992). For example, it has been observed in several studies (e.g., Ellis 1985; Gass and Selinker, 1994) that young learners are better able to attain native-like proficiency than teenagers or adults, while older learners are likely to learn certain aspects of a new language faster (e.g., syntax and morphology) and tend in most cases to obtain passing scores faster during the early stages of acquisition. Oxford (1989) also found that adult learners used more sophisticated strategies than younger ones, while noting that the motivational orientation of the adult learners (who were learning a target language for career purposes) might have played a greater role than age.

Interactions Between Learner Variables

Several research studies (Ganschow, Sparks, Anderson, Javorsky, Skinner and Patton, 1994; and Hirai, 1998, among others) have demonstrated a level of interdependence between aptitude, anxiety and learning strategy use. For example, Ganschow et al., who investigated the role of anxiety in relation to FL aptitude as measured by the MLAT Long Form, found that highly anxious students scored significantly lower than their less anxious counterparts. Hirai (1998) analyzed the relationship between learning strategies and affective variables such as language anxiety, risk-taking, class sociability, motivation, attitude and concern for grade among 190 Japanese students. She found that 26% of the variability in strategy use could be explained in terms of language anxiety level.

Measures of FL Success

The assessment of FL success is a difficult task for both instructors and researchers (Gass and Selinker, 1994, pp. 235-236). The most common approach is to use the learners' grades. Unfortunately, this is not always a good measure of the students' competence and performance in the target language. On the other hand, this method is non-interventionist and provides a synchronic estimate of academic achievement. FL success can be evaluated in a more controlled manner by means of specific proficiency tests. While more accurate, this type of measurement is still not an exact reflection of the students' ability to use an FL. A third method consists of counting errors while using the target language. This type of measure can be less reliable but gives a better idea of the students' ability to communicate.

Methodology

Participants

Data were gathered in a mid-size urban university during the 2000-01 academic year and involved the participation of 38 students, 35 of whom were enrolled in Spanish (SPN 101) and 3 in French (FR 101). Their participation and permission to disclose their grades was secured by an informed consent process. Ages ranged from 17 to 50 years old (M=28, SD= 8.8) and the sample comprised 64% of female students.

Instruments

Three main instruments were selected in order to evaluate FL aptitude, FL anxiety and learning strategy use. Biographical data, prior language experience and self-ratings were also gathered at the end of the semester by means of a background questionnaire. Quizzes and the final exam grade were used as measures of performance. These tools are described below.

Cognitive ability for novelty in acquisition of language—short version (CANAL-S).

The CANAL-S measures the aptitude to learn a foreign language by means of a simulation test in which participants are expected to learn elements of a new artificial language. Called Ursulu, this language comprises several aspects of existing languages, but does not resemble anyone in particular. The value of this measure lies in the satisfactory psychometric properties of their content, construct, and criterion validity. The test comprises nine sections, five of which utilize immediate recall while four use delayed recall questions. Overall, the CANAL-S is divided into the five following parts:

1. Learning meanings of neologisms from context (immediate recall and delayed recall).
2. Understanding the meaning of passages (immediate and delayed recall).
3. Continuous paired-associate learning (immediate and delayed recall).
4. Sentence inference (immediate and delayed recall).
5. Learning language rules (immediate recall).

It is a paper-and-pencil test with visual and auditory stimuli, and it takes about two hours to be administered in its short version (Grigorenko, Sternberg and Ehrman, 2000).

Foreign language classroom anxiety scale (FLCAS).

The Foreign Language Classroom Anxiety Scale was chosen because of its high reliability, internal consistency and widespread research use (Aida, 1994; Horwitz, 1986; Horwitz, et.al,1986). This instrument consists of 33 items with responses ranging from strongly agree to strongly disagree on a 1-to-5 Likert scale. It is a paper-and-pencil survey which takes approximately 15 minutes to be administered.

Strategy inventory for language learning (SILL).

A self-report, paper-and-pencil questionnaire, the Strategy Inventory for Language Learning (SILL) version 5.1, was selected to assess language learning strategy use. The choice of this instrument was motivated by its high reliability (.93 Kronbach alpha) and its widespread acceptance (Oxford, 1999). Moreover, it is easy to use, gives an overall assessment of each students' strategies across a wide variety of learning activities, and is nonthreatening provided when administered confidentially (Oxford and Burry-Stock, 1995). However, it should be noted that this indicator lacks the level of in-depth

analysis that may be obtained from think-aloud protocols (1995). The SILL consists of 80 items that have been grouped into six subscales corresponding to the following learning strategies: memory, cognitive, compensation, metacognitive, affective, and social strategies. In the test, these categories are usually denoted by the letters A, B, C, D, E and F, respectively. Answers are given in a 1-to-5 Likert scale format in which strategy use is rated from "almost never true of me" to "almost always true of me." Approximately thirty minutes are required to complete the survey.

Language background questionnaire.

The aim of this questionnaire is to assess the language background of the students. It inquires about language experience, stays in foreign speaking countries, and reasons for taking the class. The student is also requested to provide a self-assessment of his/her degree of proficiency compared with the class and native speakers of the target language by ranking his/her level on a 1-to-4 Likert scale denoting "poor", "good", "average" and "excellent" levels. Finally, this instrument identifies students' enjoyment of language learning in terms of a yes/no answer. The questionnaire is one page long and can be completed in about ten minutes.

Measures of performance.

The grades obtained in five quizzes and in the final exam were used to assess students' language performance during the semester. These quizzes, which were designed by the corresponding course coordinators, emphasized memory skills, vocabulary, verb tenses, reading comprehension and sentence writing. The final exam was very similar in structure to the quizzes, but it emphasized paragraph writing instead of sentence writing.

Data Gathering and Analyses

Tests and questionnaires were given to the class at the end of the Fall semester 2000. The resulting measures and grades obtained in quizzes and final exam were then exported to a statistical software package analysis (SPSS, Release 10.1.0).

Results

Descriptive statistics for the final exam, quiz average, SILL, FLCAS and CANAL results are summarized in Table 1. In Table 2 are shown the Pearson's correlation coefficients evaluated between SILL subscores, FLCAS scores, CANAL subscores, age, quiz grades and final exam grades. The pairs of variables which are significantly correlated at the $\alpha = 0.05$ level (two-tailed) are denoted by an asterisk. As a result, many coefficients evaluated within the subscales of the SILL and CANAL are shown to be statistically significant, indicating that variables measuring subcategories within each of these tests are, in general, not independent (Grigorenko, Sternberg and Ehrman, 1999, 2000, Oxford, 1989). Other significant correlation coefficients are found between CANAL Part 5 (language learning rules) and SILL C (compensation strategies) ($r = 0.44$, $t(38) = 2.95$, $p < 0.05$), as well as between CANAL Part 4 (sentence inferencing) and FLCAS ($r = -0.44$, $t(38) = 2.95$, $p < 0.05$) subscores. In addition, these calculations show that quiz averages correlate significantly with FLCAS scores ($r = -0.63$, $t(38) = 4.84$, $p < 0.05$), CANAL 4 ($r = 0.40$, $t(38) = 2.65$, $p < 0.05$), CANAL 5 ($r = 0.38$, $t(38) = 2.49$, $p < 0.05$) and delayed-recall subscores ($r = 0.38$, $t(38) = 2.46$, $p < 0.05$). Similarly, it is found that correlation coefficients measured between final exam grade, on the one hand, and SILL C ($r = 0.45$, $t(38) = 2.99$, $p < 0.05$), FLCAS ($r = -0.43$, $t(38) = 2.87$, $p < 0.05$), CANAL Part 4 ($r = 0.35$, $t(38) = 2.23$, $p \leq 0.05$), CANAL Part 5 ($r = 0.54$, $t(38) = 3.80$, p

< 0.05) and delayed-recall category of the CANAL ($r = 0.35$, $t(38) = 2.24$, $p < 0.05$), on the other hand, are statistically significant.

The Pearson's coefficient statistics indicate a degree of linear relationship between variables such as FLCAS and CANAL Part 5 scores, and measures of students' performance (i.e., quizzes, exam). It is thus natural to attempt to build a multiple linear regression model by which various learning factors could be used to predict grades and performance. Since SILL subscales, FLCAS, and CANAL subscales show high levels of correlation in some cases, it is necessary to limit the number of variables to be included in such a model in order to avoid overfitting. By applying the stepwise regression procedure, it is possible to derive a linear model in which CANAL Part 5 subscores and age explain 38.4% (adjusted R^2) of the variability of the final exam grade (see Table 3). If the quiz average is used instead of the final exam grade as dependent variable, then the same approach provides a second linear model with FLCAS (anxiety) and SILL C (compensation strategy use) subscores as independent variables whose adjusted R^2 amounts to 43.2% (see Table 4).

Otherwise, the data obtained from the language background questionnaire did not allow the researcher to uncover additional relationships with the variables measured in this study.

Discussion and Classroom Implications

The scores and subscores obtained for the SILL and FLCAS are consistent with prior research findings (Horwitz and Young, 1991, Oxford, 1996a). The CANAL-S has been developed more recently and therefore little data are currently available for it.

The high Pearson's coefficients between subscales observed within the SILL and within the CANAL tests are consistent with prior validation studies (Grigorenko, Sternberg and Ehrman, 1999, 2000, Oxford, 1989). As to the intercorrelations found between the pairs CANAL Part 4 (sentence inferencing) and FLCAS on the one hand, and CANAL Part 5 (language learning rules) and SILL C (compensation strategies) on the other hand, these are consistent with the results reported by Ganschow et al. (1994). The fact that FL aptitude, FL anxiety and learning strategy scores correlate indicates that these variables are not independent. However, in contrast with Hirai (1998) significant correlations between measures of learning strategy use and language anxiety could not be established. It should be noted that, due to the relatively low sample size of this study, it would not be valid to draw positive conclusions from the instances where the subscores do not correlate significantly (Cohen, 1988).

With regard to the linear models, both Part 5 of the CANAL and FLCAS and, to a lesser extent, age and compensation strategies seem to play major roles as predictors of performance. In the first model, learning language rules, aptitude, and age combine to explain 38.4% of the performance variability operationalized through the final exam grade. This outcome is consistent with prior findings that attest to the role played by language aptitude with end-of-the-year performance scores (Skehan, 1998). Also, the effect of age on performance may reflect the higher level of dedication and greater ease to master syntax and morphology found in more mature students (Gass and Selinker, 1994). In the second model, FLCAS and compensation strategy use explained 43.2% of the variability found in quiz grade averages. This is consistent with prior studies that report a debilitating effect of anxiety on academic achievement (MacIntyre, 1999). The

fact that compensation strategies have an impact on achievement is also consistent with prior findings (Oxford 1989; 1996a) which show that direct strategy use is associated with academic success.

Several classroom implications can be derived from these data. The FL teacher should be aware of the connection existing between various learner variables (aptitude, FL anxiety, age, learning strategy use) and performance. A key role of the instructor is then to identify weaknesses and deficiencies associated with these factors and to provide appropriate corrective actions. For instance, to reduce the level of classroom anxiety, the teacher may want to avoid pressuring students into speaking or responding in the target language, include more small group activities to foster camaraderie among classroom participants, encourage students to teach each other, focus on the exchange of information and not only on FL practice, and engage learners in prereading, listening, and writing activities (Young, 1999b). In case of aptitude deficiencies, the teacher may want to reinforce a variety of language skills through tasks such as vocabulary, grammar, reading and writing. If the teacher recognizes a lack of learning strategy use, a number of classroom activities could be incorporated in the course like taking notes, inferencing, practicing the language naturalistically, using linguistic cues (e.g., prefix, suffix) or guessing meaning (Oxford, 1990a). Otherwise, classroom activities should be tailored to the students' age and proficiency levels.

Another classroom implication of these data stems from the finding that one cannot determine which learner variable (aptitude, FL anxiety, compensation strategies, or age) has the most effect on language performance. Therefore, teachers should be careful not to favor one research trend over another (e.g., favor aptitude over anxiety studies). In the FL

classroom, the instructor should provide students with a variety of activities that aim at enhancing the positive effects of such variables on performance in a balanced manner.

Conclusions

In this exploratory study, relationships between a range of learner variables and language performance have been investigated. To this end, 38 college students in beginning FL courses took a battery of tests that measured FL aptitude, FL anxiety level, language learning strategy use, language background and self perception of language skills. These scores were then analyzed and compared with quiz grade averages and final exam grades. As a result, high levels of correlation were found on the one hand between part 4 of the CANAL (sentence inferencing) and FLCAS scores, and on the other hand, between part 5 of the CANAL (language learning rules) and SILL C (compensation strategies) scores. In addition, a first linear regression model showed that part 5 of the CANAL and age explained 38.4% of the variability in final grade, and a second linear regression model indicated that FLCAS and SILL C accounted for 43.2% of the variability in the quizzes' averages.

Consequently, a connection was identified between some specific learner variables (FL aptitude, anxiety, learning strategy use and age) and performance. Further research could attempt to confirm these results by repeating these steps on different population samples, or could also take into account a wider set of variables, including factors such as instance motivation, career orientation, self-esteem, study skills, cultural differences, personality and learning styles.

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Tables

Table 1

Descriptive statistics of all variables under study.

	Minimum	Maximum	Mean	Std. Deviation
Exam Grade	28.00	96.00	66.38	17.24
Quiz	34.40	99.90	81.58	14.16
SILL A	1.53	4.33	2.95	0.51
SILL B	1.72	4.64	3.04	0.61
SILL C	2.00	4.50	3.31	0.60
SILL D	1.63	4.38	3.18	0.70
SILL E	1.71	4.14	2.76	0.64
SILL F	1.00	4.33	3.10	0.75
SILL Overall	2.01	4.13	3.06	0.50
FLCAS	-1.80	103.00	45.85	20.01
CANAL, Part 1	4	14	8.45	2.29
CANAL, Part 2	2	9	5.37	1.81
CANAL, Part 3	4	15	11.42	2.45
CANAL, Part 4	2	12	6.58	2.02
CANAL, Part 5	2	14	7.34	3.14
Immediate Recall	15	41	31.24	6.06
Delayed Recall	2	13	7.76	2.745

Table 2

Matrix of Pearson's correlation coefficients.

	SILL A	SILL B	SILL C	SILL D	SILL E	SILL F	FLCAS	CANAL 1	CANAL 2	CANAL 3	CANAL 4	CANAL 5	IMM REC	DEL REC	AGE	QUIZ	EXAM
SILL A	--	**0.69***	0.20	**0.72***	**0.49***	**0.50***	0.13	0.01	0.21	-0.14	-0.16	0.00	-0.06	0.07	-0.16	-0.04	0.05
SILL B		--	**0.39***	**0.72***	**0.50***	**0.70***	-0.09	0.29	0.19	0.01	-0.02	0.19	0.16	0.21	-0.11	-0.05	0.14
SILL C			--	0.07	0.30	0.08	-0.04	0.18	0.19	0.18	0.17	**0.44***	0.29	**0.40***	0.02	0.29	**0.45***
SILL D				--	**0.60***	**0.50***	0.03	0.10	0.00	-0.23	-0.21	-0.05	-0.13	-0.06	0.05	-0.04	0.07
SILL E					--	**0.37***	0.12	-0.09	-0.01	-0.28	-0.14	0.00	-0.19	-0.27	-0.11	-0.16	0.02
SILL F						--	0.05	-0.09	0.12	-0.09	0.00	-0.04	-0.13	-0.11	-0.12	-0.23	-0.19
FLCAS							--	-0.27	0.15	-0.10	**-0.44***	-0.03	-0.28	**-0.40***	-0.18	**-0.63***	**-0.43***
CANAL 1								--	0.14	0.24	0.15	0.05	**0.56***	0.10	0.26	0.25	0.11
CANAL 2									--	**0.37***	0.13	0.19	**0.33***	**0.66***	-0.05	-0.08	0.02
CANAL 3										--	**0.57***	**0.54***	**0.80***	**0.56***	0.04	0.09	0.13
CANAL 4											--	**0.56***	**0.68***	**0.56***	0.26	**0.40***	**0.35***
CANAL 5												--	**0.70***	**0.63***	-0.15	**0.38***	**0.54***
IMM REC													--	**0.49***	0.13	0.26	0.32
DEL REC														--	-0.05	**0.38***	**0.35***
AGE															--	0.32	0.28
QUIZ																--	**0.72***
EXAM																	--

Note: * $p < 0.05$ (2-tailed)

Table 3

Summary of stepwise regression analysis for variables predicting final exam grade(N=38).

Variable	B	SE B	β
Step 1			
(Constant)	44.812	6.166	
Part 5 of CANAL	2.938	0.774	0.535*
Step 2			
(Constant)	22.726	9.678	
Part 5 of CANAL	3.243	0.717	0.590*
Age	0.715	0.254	0.367*

Note: Adjusted R^2 = 0.266 for step1; Adjusted R^2 = 0.386 for step 2; * $p < 0.05$ (2-tailed).

Table 4

Summary of stepwise regression analysis for variables predicting the quizz grade average (N=38).

Variable	B	SE B	β
Step 1			
(Constant)	101.936	4.582	
FLCAS	-0.444	0.92	-0.628*
Step 2			
(Constant)	81.177	10.741	
FLCAS	-0.437	0.088	-0.617*
SILL C	6.180	2.920	0.262*

Note: Adjusted R^2 = 0.377 for step1; Adjusted R^2 = 0.432 for step 2; * $p < 0.05$ (2-tailed).

1. Title "Conceptualising Pusaka"

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6. Abstract and/or full paper:

Pusaka is a Malay-Indonesian word usually translated as heirlooms or royal regalia. Beyond these two definitions, pusaka has been used to describe heritage, legacy and inheritance. Other similar words like *warisan* and *khazanah* share some aspects of *pusaka* and differ slightly in their application. The Javanese conceptualisation of *pusaka* (*pusoko*) has been found to be unique and all-encompassing to a certain extent.

This paper forms part of my current research and study for my thesis which is tentatively, *Pusaka: Concept, Context and Continuity*. The aim of the thesis has been to investigate the various conceptualisations of *pusaka* and other similar concepts in Southeast Asia, with special reference to the Javanese *pusoko*. In understanding how *pusaka* has been conceptualised in Southeast Asia, especially in the Javanese context, I hope to establish a direct relationship between this concept with the frameworks of cultural resource management, which includes cultural/heritage development, tourism and museums.

My research and study has been guided by my desire to know if the management of cultural resource as *pusaka* (*pusaka*-isation) can incorporate traditional forms of collecting and conservation into contemporary practices. Inversely, will the management of *pusaka* as cultural resource ensure the continuity of such a concept in a changing world?

In this paper, I will share the various conceptualisations of *pusaka* and other similar concepts in Southeast Asia. My special focus will be on establishing the uniqueness of *pusoko* in the Javanese context.

Café Carnival

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Abstract: An intricate reflection on life, love, and lust.

Café carnival. A desolate atmosphere subjugated to dim sulfur lighting; abstract thoughts of poets loiter, with musicians, excuse me, jazz musicians enticing the crowd. Behind closed doors they work to perfect their craft, their art that destiny holds entangled with time. In the corner there is woman, unaware that her subtle movements and actions encompass my thoughts. A solemn prelude to the quiet night and cold strums of the guitar embody her thoughts. How sad I am, empty without a clue, simmering with pain like an ember struck by the wind of her breath. Her name resonates in my mind daily, hourly, and sometimes, even minute by minute. Agh, what juxtaposing feelings that run though my head. She loves me, she loves me not. I am lost and lonely, bitter yet sweet that I got to see her again, but my intentions weren't fulfilled. Quiet I will be now, for there is no reciprocal feeling being swayed into my path for a chance to grab what often eludes the greatest thieves in the world . . . that of love. A feeling no one can take, but can only be given nonorally, through the heart. I have found someone in my life that has made me drop all emotions as to what beauty is, or was. I take this as a learning lesson, one of growing up to becoming a better man. Socially aware for the challenges I will face, courageously building to face up to nothing more than mere fate, something I can choose to change as I please.

It will be a long road to freedom, a place where I feel no more work has to be done to keep keeping on. I am an entrepreneur in the world of giving yourself up to a greater cause, to have the courage to fight against all odds; to begin with what is difficult and hard to work with, to meet life with a smile, to staying strong so that life doesn't pull you down with all the pain and suffering around you. Please, don't tell me it is forbidden . . . It would lose all weight in my life, for what I feel is the most immaculate, attributed, collectively complete individual lady I

have met who thus matches me, myself, and I. My dreams are often bitter these days. Is this the end of the line? Love, the only disease in the world that has no cure. As contagious as it is, or can be, it encapsulates those who have it to reach out and give. Love, the greatest treasure cherished by all men, women, and children, even if they do not know it. No thief could ever steal it. No millionaire could ever buy it. But what's most important here is not one person has ever seen it. It is only something you can feel. No, you can't understand or teach it like biology and chemistry courses, but these are the essential building blocks of life, not regular cells, but love cells that fuse us together. Love essentially, I believe, is all we need to survive if we surround our hearts with the germs of love. True love, that's what I have found. Deep in the snow, where no plant could ever grow, I have found a blooming rose. Lucky I am, lucky I am not.

It is almost overwhelming, for I know not what to do with it. I steadily quiver, hushed by the thought of what could happen if I might try and explain to the world what I have found. The most beautiful, and flawless, individual God has ever created. These feelings are of not importance if they aren't presented with the humility and jubilance they deserve. It is unlike any other feeling, one that you can only understand if you are engaged in it. It is similar to being sick, in which you can't understand what it feels like to be sick, unless you are sick. What it has done is make my life; my thoughts turn to theirs. Right as it is, wrong as it may be, I lust for their joy. I want to take the burdens of her pain so she may never know how difficult it is to carry around a heavy heart. I have not been true, though. My heart has been heavy before with true love. And so I ask, can true love be assigned to only one individual? This has been my moral dilemma, a common theme in life that exacerbates the inclination that one must love one to marry one, in order to live a life of monogamy and invariable pain. I cannot say how overwhelming it is to be in love with a stranger, particularly someone I have never felt these types of emotions for before. The silly thought of her actions raise my hopes higher and higher as they transcend the desire to no longer seek for someone who will make me happy, but a better chance of knowing that their love will allow me to live in a constant state of bliss. Yes, I have fallen into a

predicament, one that requires far deeper consideration for the thought of one's feeling and emotional content. This is my moral dilemma, which may seem fruitless to many, but I think in reality this is one aspect of life we all struggle deeply with. It is no longer the abject conquest of finding a soul mate, but understanding that life is about having courage. The courage to realize the things that make one happy are not to be self-indulged like that of sex and ice cream, but of the things that make you a better person. That is what this woman does to me.

The abstract concept may seem crazy, to weigh one's emotional content on the shoulders of someone else's back, but that is the risk we have to take; a daily risk to realize the attachments that we stitch together are for our own self-growth, an unexplainable feeling I am still trying to assess and relay to those who read this. Take music, for example. Especially jazz, because I am a jazz man. It symbolizes a truly great invention for modern time, but especially for mankind. Jazz, an emphasis on articulated notes that allow you to envisage to the deepest extent of the imagination. Ostensibly, it is through the soul, not the mind that this journey begins. Jazz seems to be the only time warp that thrills the once-homoeostatic body into an unstable sensation of ecstasy. Jazz is the language of pain and courage that comes directly form the heart. Communication through notes of dissidence, which unite the body mind and spirit into a blanketed cloud of peace. But so on with jazz; let us focus on music in general to try and clarify my feelings. Through music, we can exhale the very essence of what makes us breathe, laugh, and cry. But even after this, we can still find that certain genres of music can and must only be played at a certain level. No softer, no louder. And so it is with jazz, the emphasis on how important it is to accentuate feelings of sadness and dread, a note of despair that distills into an eternal hole of mind wrenching, heart breaking desolate silence. Crescendo, allegro are key elements that accent distinct parts of the music; it is this music that mirrors your life and makes it more memorable, to see that you too can go through these ups and lows, but bounce back, with a major emphasis on the psychoanalysis of oneself and how you deal with adversities that adhere to daily things in your life. Oh, I

don't want to steer off the subject here, but the thing I need you to understand is how you, as person, have changed my life.

Instrumental to the gift of magic, you have made Santa Claus a clown in disguise. The education system has failed me; unable to inculcate the basic skills needed to live life and take on the world. And what will I do? What can I do? This is what dreams are truly made of. Sweet, soft, warm, dazzling, pretentious, bright, quiet, silly, simple feelings that symbolize the things you really want. More than you'll ever know . . . It’s you. Café Carnival is closing for the evening. A few last frets from the trumpeter decrescendos into the limelight. The waiters are counting their tips, and the crowd tussles to grab their coats. I feel naked, as if someone has been eavesdropping on this intimate moment of mine. I close my eyes, and as the last notes linger through the air of the trumpeter, swoosh. It is midnight. The midnight blues.

Title Page submission for Hawaii International Conference on Arts and Humanities

Title
'Dias de Los Muertos': Memory Landscapes and the Practice of Narrative in the Urban Landscape of Los Angeles.

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Abstract

Dias de los Muertos, or Days of the Dead, is a recognized annual event in the Mexican cultural tradition. It is a day where the lives of loved ones who have passed are celebrated through the construction of altars adorned with personalized handicrafts reminiscent of the person being remembered. As cultural rituals often exercise themselves fluidly across geographical borders, the notion of establishing a local meaning of practice becomes an integral part of the exchange. Annual Dia de los Muertos activities have become an integral part of the social, spatial and interpretive landscape of L.A.'s, Olvera Street. This article will focus on the celebratory nature of Dias de Los Muertos and its contribution, as an event, in the practice of narrative in the urban landscape of Los Angeles. This work will illustrate how L.A.'s (specifically Olvera Street's) cultural ties to Mexican heritage and the celebration of this particular event, spatially and ideologically create what Potteiger and Purinton refer to as "Narrative Experiences," narrative "Associations and References," and "Memory Landscapes." This work will employ a two-tiered methodology, which will focus on empirical case study analysis of several altars built for the annual event as well as interviews of the artists and the audience. The findings will be used to identify how the practice of Dia de los Muertos festivities at L.A.'s Olvera Street work to create "Memory Landscapes," "Narrative Experiences," and narrative "Associations and References," within the urban landscape of Los Angeles.

Full Paper

'Dias de Los Muertos': Memory Landscapes and the Practice of Narrative in the Urban Landscape of Los Angeles.

Introduction:
Current U.S. Census data indicates that the city of Los Angeles, California is home to over 3.7 million people. Nearly 47 percent, or 1.72 million of those residents, claim to be of Hispanic descent. With regard to those 1.72 million Hispanic persons, 1.1 million are Mexican and Mexican-American. With such a large percentage of the population representing one racial group, Mexican customs and traditions are an integral part of L.A.'s social fabric. As cultural rituals often exercise themselves fluidly across geographical borders, the notion of establishing a local meaning of practice becomes an integral part of that exchange. Although the means of practice are rooted in cultural ideology, the expression of those practices is often employed

spatially. One such ritual that ignores the geographic constraint of the U.S./Mexican border and has become a visual-spatial part of the urban landscape of Los Angeles is the annual observation of 'Dias de los Muertos.' The place of emphasis, for this paper, is the part of Los Angeles known as Olvera Street. This work will illustrate how Olvera Street's cultural ties to Mexican heritage and the celebration of this particular event, spatially and ideologically create a connection between place and ritual. This connection will be discussed in terms of what landscape theorists Potteiger and Purinton refer to as "Narrative Experiences," narrative "Associations and References," and "Memory Landscapes." (1998)

'Dias de Los Muertos' in Context

The struggle with the dichotomous nature between life and death is one that all cultures experience. On the first two days in November, Mexicans celebrate, and as such remember, the lives of loved ones who have died. These two days are days of celebration known as 'Dias de los Muertos', or 'Days of the Dead,' and, in the Mexican tradition, represent what Elizabeth Carmichael and Chloe Sayer label as "the most important celebration of the yearly cycle." (1992) In the Catholic tradition, the first two days of November are recognized as 'All Saints Day' and 'All Souls Day.' When one considers that, in combination, these two days represent the opportunity to commemorate ones connection to a cast of patron saints, who are believed to act as vehicles of intervention between God and Man, and welcome the souls of the dead home for one day, the 'Days of the Dead' offer a unique occasion for a culture to express their attitudes toward death. The practice of observing the 'Days of the Dead' dates back three thousand years, to a time when the ancient Nahuatl, which included the Aztecs, Mayans, Toltecas, and other peoples indigenous to Mexico, honored Mictlantecuhtli, their god of death. (Carmichael and Sayer, 1992) With the advent of Spanish colonization, those ancient customs assimilated to correspond with the Catholic observance of 'All Saints Day' and 'All Souls Day.' In the book "Days of the Dead," Greenleigh and Breimler speculate that the Mexican attitude towards death dates to these pre-Columbian times when Aztec peoples "feared the uncertainty of life" more than Mictlantecuhtli. (1991) Although the Mexican attitude towards death plays a role in the construct of the 'Dias de los Muertos,' Charles Tatum is appropriate to suggest that "[i]t would be simplistic to suggest that Mexicans in general have a different concept of death and a more comfortable relationship wih the dead than [other cultures]" (2001, p.184)) Regardless of whether or not Mexicans posses a more comfortable relationship with the dead, it is important to give attention to the fact that the activities and artifacts associated with the 'Days of the Dead' are meant to foster an expression and feeling of celebration. For the purposes of this work, I will concentrate on the altars that are constructed for the occasion and the way in which their use facilitates an urban landscape narrative within the context of Olvera Street.

The Visual Means of Cultural Representation

Although the 'Dias de los Muertos' celebrations traditionally occur in the home, contemporary festivals have re-manufactured the celebrations to include large outdoor public displays, thus translating a formerly private activity into one which creates a new mode of cultural expression through visual-spatial representation. For several weeks, or sometimes even months, leading up to the first days of November, families gather goods and make preparations to construct the 'ofrenda' or altar, which is the centerpiece of the 'Days of the Dead' celebration. Traditional elements of the altar make reference to the stages of life as well as foods, activities that the deceased may have enjoyed, and devotions that the person may have had. In order to recognize the individual and their likes, devotions, etc. the 'ofrenda' may often include a photograph of the person, flowers, often in the form of Cempasuchil (marigolds), candles, images of religious icons such as the Virgin of Guadalupe, Jesus Christ, and various Saints, toys, if the deceased was a child, and other personal items. In addition to these items, a wide variety of foods are also included as a part of the 'ofrenda.' As Juanita Garciagodoy suggests, in her book "Digging the Days of the Dead: A Reading of Mexico's Dias de Muertos," when an altar is constructed, "[t]he food is always the most labor intensive."(1998, p.9) Contemporary Mexican-American altars employ different levels of artistic licensure when deciding what to include in the 'ofrendas' dedicated to their loved ones. However, in the village of Mixquic, located in Delegacion Tlahuac, D.F., which is one of the most popular destinations in Mexico to observe the 'Days of the Dead' celebrations, villagers include nine specific elements, each of which has a specific relevance. (ibid) The items and their relevance are as follows:

> "(1) Water slakes the thirst of the spirits and represents purity and the source of life; (2) salt, with its purifying qualities, is an invitation to the banquet, an element that retards the corruption of the body, and a symbol of wisdom; (3) candles, symbols of eternal love, faith, and hope, signify triumph for having passed into immortality; (4) copal, incense, is an offering to the gods and to transmit praises and prayers; (5) flowers stand for love and the sun;, (6) a petate [straw mat] is for rest as that is where the spirit stops to enjoy the ofrenda; (7) toys are for the angelitos [deceased children]; (8) an image of an itzcuintli will help the deceased cross the River Chiconauapan; (9) bread/tamales/an itacate (traveler's provisions are fraternal gifts."(ibid)

Despite the fact that the customs involved in the constructs that surround the 'Days of the Dead,' owe themselves to ancient customs, modernization in Mexico has resulted in a lesser level of participation especially in areas that have become more urbanized. (Palfrey, 1995) In contrast to the phenomenon affecting participation in Mexico's urban areas, urban areas in the U.S.,

especially in the U.S./Mexico border regions, have adopted a fluid resurgence of activity towards 'Days of the Dead' as well as other culturally significant holidays and festivals. Los Angeles', Olvera Street, offers itself as a valid case study in the Mexican-American urban resurgence aimed at the preservation of this culturally significant holiday.

L.A.'s Olvera Street in Context

The Pueblo of Los Angeles was established in 1781 when a group of Spanish colonialists, mostly from Mexico's northern states of Sinaloa and Sonora, accompanied by about a dozen peasants of mixed blood, settled on land occupied by indigenous peoples. True to form with the Law of the Indies, a plaza was soon erected in 'El Pueblo'. The plaza of 'Nuestra Madre la Reina de los Angeles' was adjoined by Olvera Street. By the 1800's, Olvera Street and its nearby surroundings had transformed into a barrio known as 'Sonora Town', which was inhabited mainly by Mexicans. However, by the 1920's the Mexican inhabitants were in competition with new settlers who came to live in this area, and Sonora Town was soon reduced to Olvera Street. (Acuna 1996) The plaza and its surroundings have a rich history of struggle between European, Euro-American, indigenous and Mexican cultures, including military occupation during the Mexican-American War. This history of conflict plays an instrumental role in the search for a contemporary Mexican-American identity and the critical practices that accompany that identity. In his book, "Anything But Mexican: Chicanos In Contemporary Los Angeles," Rodolfo Acuna indicates that within the context of the struggle to reclaim an historical Chicano identity, "Olvera Street takes on important dimensions." (1996, p.23) As such, the attributes and activities associated with Olvera Street become central protagonists in the establishment of an urban landscape narrative. The noton of Olvera Street's potential capacity to create a unique cultural narrative is reflected in Poole and Ball's, suggestion that; "El Pueblo today is much more than a historical site. It is also very much a place of living culture whose heritage is remembered in the rituals of daily life and celebrated in festivals held throughout the year." (2002, p. 125) The 'remembrance' that happens through ritual and celebration is the basis of this works' central premise; that the practices associated with "Dias de los Muertos' create memory landscapes which in turn create a culturally unique urban landscape narrative.

"Dias de los Muertos' Practice of Narrative iWithin the Urban Landscape of Olvera Street

Within the context of this work, it is important to state that the definition of landscape narrative is predicated on the works of Potteiger and Purinton, as labeled in their book "Landscape Narratives: Design Practices For Telling Stories." (1998) The categories of "Narrative

Experiences," "Associations and References," and "Memory Landscapes,"[1] seem particularly relevant to this discussion on the activities associated with 'Days of the Dead.' "Narrative Experiences" can be defined as; "Routines, rituals or events that represent or follow narrative structures; e.g. festivals, processions, reenactments, pilgrimages, daily journeys, crossing the threshold." (Potteiger and Purinton, 1998, p. 11) Though the central activities that surround the 'Days of the Dead' are culminated in the form of a festival, a deeper reading of the traditions involved refers to three thousand years of recorded and oral histories towards which the construction of a narrative is central. For example the Mexican/American attitude toward death and a willingness to embrace it in an ideological and visual way is rooted in a tradition of poetic expression. An example of this expression can be found in anecdotes such as the following verse by Julie Sopetran, a Spanish poet:

> "….Water for the thirst that you claim
>
> with that faith that stirs in the mind;
>
> with such grandeur that is sorrow
>
> of all that you suffer because you love.
>
> You have brought with you death's scent
>
> the burning incense is alive in the house
>
> and on the sleeping mat lues what used to be;…."
>
> (Andrade, 1994, p. 41)

Whereas "Narrative Experiences" refer to routines, rituals, festivals, etc., "Associations and References" suggest "[e]lements in the landscape that become connected with experience, event, history, religious allegory, or other forms of narrative." (Potteiger and Purinton, 1998, p.11) The items included in the construction of the 'ofrendas' all rely on "Associations and References." The inclusion of items oriented toward the types of activities that a person participated in, hence experienced, while alive can be found in the inclusion of calaveras which literally translates as skulls. However, "[d]uring Dias de muertos the word takes on multiple meanings; rhymed,

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[1] It is important to note that Potteiger and Purinton have categorized nine distinct types of landscape narrative which include; Narrative Experiences; Associations and references; Memory Landscapes; Narrative Setting and Topos; General Landscape Narratives; Processes; Interpretive Landscapes; Narrative as Forma Generation; and Storytelling Landscapes.

humorous, pseudo epitaphs; skeletons made of different materials ranging from lead to plastic; skeletons depicted on different surfaces; graphic cartoons or plastic scenes with skeleton characters;…"(Garciagodoy, 1998, p.278) Another element that can be found in many altars is the itzcuintli, "[g]enerally …itzcuintli means any dog. In some communities, the belief has subsisted since pre-Hispanic times that a dog must help the dead to cross the River Chiconauapan (Seven Tests) to Mictlan, the land of the dead.," thus employing a sort of ancient religious allegory. (ibid) The third type of landscape narrative that can be found in the practices encased in the 'Days of the Dead' activities at L.A.'s Olvera Street is the notion of "Memory Landscapes" which can be thought of as, "places that serve as the tangible locus of memory." (Potteiger and Purinton, 1998, p.11) Whereas the construction of memorials that serve as a "locus of memory" can be found in nearly every culture in the world, the fluidity of a construct that is assembled new every year in the same place, honoring the same people, featuring culturally symbolic artifacts, works to identify a collective memory of place. The "Days of the dead' ceremonies are important to Mexican/American families, and in the case of the Olvera Street festivities, the Mexican/American community as well.

Conclusion

The practices surrounding the 'Dias de los Muertos' illustrate a unique pre-Columbian custom that demonstrates affection and reverence for the lives of loved ones who have passed away. The notion that the festivities at Olvera Street are celebrated in a public way not only commemorates the death of loved ones, but the continuance of life as well, helps to create a sense of familial and community solidarity. This solidarity fosters a sense of identity that is expressed in a culturally unique way while being rooted in visual expression. The gesture of celebrating the universal struggle between life and death has moved the Mexican/American culture toward a valid form of narrative representation; one that acts as a spatial and ideological connection between ritual and place. This connection can be described by paraphrasing cultural critic Coco Fusco's suggestion that artistically created expressions that emanate from nationalistic and spiritual tenets present the potential for sub-cultures to establish inventive self definitions. (1995) The artistically created spiritual and nationalistic festival of 'Dias de Los Muertos' provides an inventive cultural self definition that creates a narrative of memory and celebration in the urban landscape of Los Angeles' Olvera Street.

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Title Page submission for Hawaii International Conference on Arts and Humanities 2005

Title

East Los Narratives: Muralism as an Integral Part of the Urban Landscape of East Los Angeles.

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Abstract

East Los Narratives: Muralism as an Integral Part of the Urban Landscape of East Los Angeles.

The City of Los Angeles is recognized as being home to several thousand murals [1] This essay will concentrate on a specific portion of Los Angeles, that being East Los Angeles or East L.A., as offering a unique cultural perspective in forming an urban landscape narrative. The outcome of this work will be an attempt to develop a strategy for interpreting the role of murals as critical practice in the formation of that urban landscape narrative. This piece will revisit the works of Dr. Jose Luis Gamez and his attempt to place East L.A. muralism within a context of political identity and cultural practice.[2] It will then employ an initial strategy of case study methodology, by concentrating on several murals by the Los Angeles based muralists, East Los Streetscapers. The murals featured in this essay will then be used to investigate the nature of landscape narrative as described by Potteiger and Purinton in their 1998 book Landscape Narratives: Design Practices for Telling Stories. As a supporting methodology, the author will interview Dr. Gamez, as well as the artists featured in this work, as a mode of inquiring how murals in East L.A. (specifically those of the above mentioned artists) act as what Potteiger and Purinton identify as: "Interpretive Landscapes," "Narrative as Form Generators," and "Storytelling Landscapes."[3] By employing a two-tiered methodology focusing on empirical case study analysis, and interviews, this work will illustrate the role that muralism plays in establishing a unique East Los Angeles urban landscape narrative.

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Full Paper

East Los Narratives: Muralism as an Integral Part of the Urban Landscape of East Los Angeles.

Introduction

The City of Los Angeles has a long and well-documented history of street muralism. Murals can be thought of as " any form of large-scale articulate wall painting, mounted in public places, indoor or out, for viewing by large numbers of people at one time." (Barnett, 1984, p.23) In all, over one thousand murals visually represent the history, culture, and practices of L.A. and its inhabitants.[1] According to U.S. Census data, the city of Los Angeles, California is home to over 3.7 million people. Nearly 47 percent or 1.72 million of those residents are of Hispanic descent. With regard to those 1.72 million Hispanic persons, 1.1 million are Mexican and Mexican-American. The majority of L.A.'s Hispanic population lives in the eastern part of the city, commonly referred to as "East Los" by its residents. With such a large Mexican and Mexican American population, East L.A easily lends itself to the discourse of Chicano urban studies. This paper will concentrate on the practice of street muralism as one distinct element in the discursive history of East L.A.'s Chicano urban character. It used to be thought that anyone living in Los Angeles, east of the Fourth Street Bridge was living in East L.A. For the purposes of this work, East L.A. can be best described as the neighborhoods of Lincoln Heights, Boyle Heights, and City Terrace. Over one hundred murals, centered on themes of Chicano politics, history, religion, and imagination, can be found in this tri-neighborhood area. (Dunitz, 1993) As such, the notion of a visually represented and culturally understood Chicano identity becomes an integral part of the urban fabric of East L.A. In his 2002 article, "Representing the City: The Imagination and Critical Practice in East Los Angeles," Dr. Jose Gamez states that "East Los Angeles has become an integral part of the social identity of many Chicanas and Chicanos" (Gamez, 2002, p.97) Gamez's thoughts are an echo of earlier ideas disseminated by George Sanchez in his 1986 book "Becoming Mexican American: Ethnicity, Culture, and Identity in Chicano Los Angeles 1900 -1945." In his text, Sanchez states hat "Eastside neighborhoods such as Lincoln Heights were particularly important to the circumstances that shape the Chicano identity." (1986, p. 176) By looking at three specific works by the East Los Streetscapers, a Los Angeles based collaborative of artists, this essay will begin to

illustrate the unique cultural identity articulated through the practice of muralism. These murals will then be used to measure the nature of landscape narrative as described by Potteiger and Purinton in their 1998 book Landscape Narratives: Design Practices for Telling Stories.

East L.A. Street Murals as Urban Landscape Narrative

It should be stated that the practice of mural making, or the artists and works featured in this essay, could act as lone determinants in creating a cultural identity. However the following three murals painted by the East Los Streetscapers offer a clearly identified perspective in the formation of an urban landscape narrative. Wayne Healy and David Botello founded the East Los Streetscapers in 1975. They originally operated as Los Dos Streetscapers, but as other artists joined and left the collaborative, they changed their name to "The East Los Streetscapers," a reference to the fact that David and Wayne as well as most others in the group, grew up in East L.A. As such, the group's associations to the themes and narratives surrounding East L.A. life are based on first hand experiences. After nearly thirty years, Healy and Botello have completed over twenty murals in and around Los Angeles, as well as numerous local and national public art pieces. The three murals that this paper will focus on are: "Chicano Time Trip," "El Corrido de Boyle Heights." and "Trucha! Vital Decisions Ahead." The Lincoln Heights mural, "Chicano Time Trip." was completed in 1977 after being commissioned by the Citywide Mural Project and Crocker Bank. The mural consists of five panels of acrylic painted on stucco, measuring 20 feet by 90 feet. The mural portrays hundreds of years of Chicano history. A history rooted in the collective memory of East L.A. and its inhabitants. The impetus for the mural was a local recognition that the recent U.S. Bicentennial celebration did not include any references to the activities of minority groups. More specifically, it did not reference a local Latino history that pre-dated a colonial American independence movement.(MCLA. 2003) Healy and Botello attempted to address this by illustrating a Chicano history whose timeline far exceeded the scope of the U.S. Bicentennial celebration. "Chicano Time Trip" visually documents a Mexican/American cultural history from pre Columbian time to Spanish colonialism, to Mexican Independence, and contemporary visions of Chicano life. In a playful allusion to the cultural practice of muralism, Los Dos Streetscapers, included a self-portrait as a means of constructing a narrative of practice. Whereas "Chicano Time trip" was intended to offer local residents a political message framed in historical vignettes, "El

Corrido de Boyle Heights," offers a more passive, yet culturally specific, look at local practices and their ability to create an urban landscape narrative. The corrido is a Mexican ballad that is a popular form of poetic expression that traditionally documents the exploits of popular heroic persons or activities. The traditional corrido is sung in a vernacular language in order to promote a more active oral-historical tradition.(UAPC, 2004) Hector Perez Martinez describes the corido as:

> "unfold[ing] out of historical experience, imbedding itself in the oral tradition, from those episodes that popular spirit intuitively selects, if they represent, to a certain degree, what is characteristic of the times…everything that moves, disturbs, or affects the common spirit; everything that influences the lives of the masses; that which produces unforgettable commotion or excitement, becomes subject matter for the corridor."(UAPC, 2004, p.2)

"El Corrido de Boyle Heights," which was commissioned in the early 1980's and completed in 1984, is a testament to "that popular spirit" which can be found in the peoples of East L.A. Healy and Botello were joined by George Yepes, Paul Botello and other artists in creating this visual interpretation of a traditional corrido. In their attempt to portray what was "characteristic of the times," the Streetscapers painted the story of three local mariachis. This visual corrido depicts Margarito Gutierrez, a popular local musician, being accompanied by another local musician known as El Pipporo. Their music has inspired the spirit of a third musician, Joe Alaniz, who died in 1967 to join the song. All the while, a young newlywed couple dances to the music played by the three musicians. This mural acts as a vehicle of local narrative representation by focusing its subject matter on "everyday people like Maragrito the mariachi"(Healy, 2004) By making the conscious decision to include characters from the past, and present, while alluding to the future lives of the newlywed couple, the East Los Streetscapers have maintained the vernacular language essential to the oral-historical nature of the corrido. As such, the "Corrido de Boyle Heights" mural transcends artistic boundaries by taking the subject matter common to a popular Mexican musical form and translates the composition into a notable part of the urban landscape of East L.A. The third case study mural, "Trucha! Vital Decisions Ahead," is a commentary on the struggle between familial hopes and expectations and the dangers presented by drugs and gangs. The mural, which measures 10 feet by 20 feet, is painted on the side of the Lincoln Heights Recreation Center. The mural, which was originally done by the East Los Streetscapers as part of a set design for a televised after-school special, shows a young man being

pulled in opposite directions. His parents are on one side while a skeleton, representing the death often associated with drug abuse and gang violence, is on the other side. Although the mural, completed in 1988, was intended to be temporary, at the urging of community members, the recreation center decide to keep the mural.(MCLA, 2003) The mural illustrates the power of a culturally and locally understood form of artistic production to visually illustrate the narrative involved in a social phenomenon, one that is not necessarily culturally unique but culturally understood, feared, and experienced by many of the neighborhood's residents. The three murals used in this work as case studies, act, as Gamez suggests; "[b]y drawing upon long standing symbolic iconography," and as such. craft a narrative "rooted in the past into cultural commentaries on contemporary struggles" (2002, p.98)

The Nature of Landscape Narrative

In their 1998 book Landscape Narratives: Design Practices for Telling Stories, Matthew Potteiger and Jamie Purinton demonstrate many different types of Landscape Narrative found in the built environment. [4] In this work, I will demonstrate how their theories of "Interpretive Landscapes," "Narrative as Form Generation," and "Storytelling Landscapes" (Potteiger and Purinton, 1998) occur in the already discussed murals, thus adding to their legitimacy in lending narrative to the urban landscape of East L.A. Potteiger and Purinton define "Interpretive Landscapes" as having "elements and programs that tell what happened in a place." (1998, p.11) These landscapes are created with the "intent…to make existing or ongoing narratives intelligible" (ibid) All three murals that I have discussed rely heavily on activities that have occurred in East L.A.'s collective past. Whether the activity was recognition of Spanish colonization by locals who descended from pre-Columbian peoples, or newlyweds dancing to the music of local mariachis, or the recognition of local youth struggling with the presence of gangs and drugs, the murals offer snapshots of everyday happenings in East L.A. As such, these murals act as "a mirror" intent on offering the citizens of East Los a chance to see themselves involved in cultural practices that make the narratives of the distant and recent past more intelligible.(Healy, 2004) Potteiger and Purinton's definition of "narrative as form generation" centers on "using stories as a means of giving order or

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[4] [4] It is important to note that Potteiger and Purinton have categorized nine distinct types of landscape narrative which include; Narrative Experiences; Associations and references; Memory Landscapes; Narrative Setting and Topos; General Landscape Narratives; Processes; Interpretive Landscapes; Narrative as Forma Generation; and Storytelling Landscapes.

developing images in the design process." (Potteiger and Purinton, 1998, p.11) In the forms used by the East Los Streetscapers "the emphasis is on the everyday people" engaged in activities like "making tamales" or "helping [a child] ride a tricycle" (Healy, 2004) By consciously choosing not to paint murals "that depict great battles" or "promote image worship" (ibid) one can argue that the murals of the East Los Streetscapers, and the images that they "develop in the design process, use stories as a means of giving order", (Potteiger and Purinton, 1998, p.11) albeit, a vernacular one. The third theory borrowed from Potteiger and Purinton's research on landscape narrative is that of "storytelling landscapes." In their text, the authors describe "storytelling landscapes as "places designed to tell specific stories with explicit references to plot, scenes, events, character, etc." (ibid) They go on to add that "the stories may be either existing literary or cultural narratives or produced by the designer."[2] It would be hard to imagine looking at any of these murals and not recognizing the fact that specific stories based on local Chicano narratives have been given form and thus identity in East L.A.'s urban landscape.

Conclusion

The search for a Chicano identity has introduced culturally unique physical and creative social processes. Such processes, according to Gamez, "rooted as they are in a specific social imaginary, have contributed to the production of distinct cultural landscapes that can be mapped in physical places, visual representations, and in the collective memory of East L.A."(Gamez, 2002, p.101) As such, one cannot ignore the politics of creating a social and visual identity. Taking that "rooted"-ness into consideration, East Los Angeles offers itself as a unique place for the recognition of particular cultural narratives and the modes of practice that work to create a specific identity. The mode of practice that I have offered in this investigation is the practice of street muralism as illustrated by three East L.A. murals painted by the East Los Streetscapers. By acting as interpretive story-tellers which draw on cultural recognition of specific forms, the mural can be viewed as one of the most prolific means of creating an urban landscape narrative in East Los Angeles.

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3rd Annual Hawaii International Conference
on Arts and Humanities
January 13 - 16, 2005
Sheraton Waikiki Hotel, Honolulu Hawaii, USA

Proposal for Presentation of Research in: *Philosophy*

Paper Title: *Libet's Experiments and Free-Will: Implications*

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Abstract:

Benjamin Libet (1985) has provided neurological evidence that agents lack free-will except under special circumstances where the agent in question "changes her mind". This paper discusses Libet's interpretation—that the ability to change ones mind indicates that free-will may yet be possible—and the conclusion is drawn that it may be inconsistent for Libet to do so, because it does seem as if he has provided strong evidence against the reality of free-will. Further evidence and criticisms of Libet's work is discussed, and these objections are dealt with.

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Title: Religious and Social Commentary in the Art of William Kurelek

Topic Area: Cross-disciplinary Religion and Art

Presentation Format: Paper

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Abstract:

Canadian artist and writer William Kurelek (1927 - 1977) wanted to teach through his art, and using art as a medium produced commentaries on issues including pollution of the earth, and western attitudes towards the Two-Thirds World. This paper will explore the religious and social commentary in Kurelek's art, including work from a private collection "Christ on the Water". Kurelek is perhaps best known for his paintings of life in western Canada, such as the illustrations from his book "A Prairie Boy's Winter". As the son of Ukrainian immigrants he lived a difficult and often arduous life on the prairies of Alberta and Manitoba, and as an adult, struggled with depression. Although he was raised in the Ukrainian Orthodox church, for part of his life he rejected religion. However, following a breakdown and suicide attempt in 1952, and subsequent treatment in a hospital in London, England, he converted to Roman Catholicism. Between 1956 and 1958 his works were included in the Royal Academy Summer Exhibitions. He painted many pictures in which religious experiences are depicted, and religion is central to all his later work. These religious paintings often take the form of commentaries covering a wide variety of social issues, presented as scenes from contemporary Canadian life, to make them more effective.

1. On Raising the Level of Proficiency in Second Languages

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6. Abstract

On Raising the Level of Oral Proficiency in Second Languages

Summary: The American Council on Teaching of Foreign Languages (ACTFL) has issued (19868, 1999) guidelines for rating oral proficiency in second languages. One of the most difficult challenges learners face is the development of strategies to advance from one major division to the next (e.g., from Intermediate to Advanced, or from Advanced to Superior). The author of this presentation, certified by ACTFL to conduct proficiency interviews in both German and ESL as well as to train others in both languages, will address two specific characteristics of the Intermediate and the Advanced levels, comparing and contrasting them. The two characteristics are control of time frames (tenses) and the use of paragraph behavior as opposed to strings of sentences. The examples, given in English and German, will show the faulty use of tenses as well as the differences between sentences and paragraphs. Finally, the presenter will provide some concrete suggestions that are meant to help learners get across the major dividing lines separating these two levels (Intermediate and Advanced).

Title: **Good Design: The Need for Ethical Discourse in Graphic Design Programs**

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Abstract for a proposed teaching report for the Third Annual International Conference on Arts & Humanities
January 13-16, 2005, Honolulu, Hawaii

Good Design: The Need for Ethical Discourse in Graphic Design Programs

Keith Owens

> Design is one of the basic characteristics of what it is to be human, and an essential determinant of the quality of human life.[1]

So says John Heskett In his book *Toothpicks and Logos, Design in Everyday Life*. In his estimation design is a necessary rather than contingent aspect of our humanity and our efforts to constitute "preferred situations."[2] Although embedded, its essential nature does not shield design (or us) from its ability to obviate social progress. "Conscientiously applied, it [design] could transform social reality. It could help to bring about a utopian future, or, if misused, put a varnish on barbarism."[3] Today, few in design and even fewer outside of it brook faith in its ability to conjure utopia. However, the dark inverse to which Stuart Ewen points—design's ability to polish perniciousness—should concern us all. Especially design educators—one portal through which passes many of the all too human future of design. If we have not already, we must begin to realize that "[a] discussion of values that shape or inform the action of designers cannot be avoided in the context of undergraduate education."[4]

Is design practice showing an increased antipathy towards the superordinant mandates of society? Can designers be held culpable for abetting their clients' self-serving redefinitions of 'preferred states'? With the increasing number of areas subject to design initiatives, is our understanding of the the ethical attitudes and beliefs informing designers sufficient? These are but a few of the many questions around which any discussion of design's values should be centered. Discerning their outlines and probing their answers is vital—and not just for design practitioners. Equally vital is the need for ethical discourse to be interjected into design education. Our students are that only briefly. But, while our time with them is short, our influence on them can span a lifetime. It is therefore incumbent upon us as educators to forge curriculums that encourage our students to systematically probe the ethical conundrums they will confront as 'citizen' designers navigating an increasingly complex moral landscape.

The presentation I propose to make during the Arts & Humanities Conference would highlight the many social and ethical issues today's design students will face as tomorrow's design practitioners. Session participants will be acquainted with stretches of ethical territory less recognized by many educators and most students. A more nuanced understanding of these critical yet often unacknowledged issues is one foundation upon which a cross-disciplinary, design ethics pedagogy could be built. The themes around which the presentation would form include:

I. The tacit yet largely unexamined value systems tacitly underpinning design practice:

1. contractarian, market-based domain(s)
2. bracketed by and servile to consumer culture
3. narrowly defined, exclusionary core moral community (i.e., practitioners and patrons)
4. reactive rather than generative ethical positions[5]
5. rhetorical, aesthetic, object foci

II. The ethical deficiencies inherent to design's normative value systems:

1. legalistic and economic (rather than humanistic) evaluative criteria
2. a fostering of "terminal consumerism"[6]
3. inegalitarian relationships that largely omit end user participation
4. "resisting unsatisfactory situations rather than creating satisfying ones"[7]
5. reinforcing object types and cultural narratives through artifact (token) creation

III. The alternative value possibilities for the discipline:

1. breaking with parochial modernistic determinism or post-modernistic relativism
2. superordinant social responsibilities and cultural duties
3. ethical world-views in design practice: the 'right' (intent) versus the 'good' (outcome)
4. establishing triadic moral landscapes:
    a. personal (user, clients, designer)
    b. environmental (physical, social, cultural)
5. reclaiming responsibility from aesthetic immunity

This presentation would allow participants to leave with the following:

1. A refreshed perspective on design's socio-cultural responsibilities
2. An effective set of ethical evaluative skills
3. A more supple understanding of the moral failings informing design's normative environment
4. A realization that in addition to aesthetics or technology, design should be framed by ethics
5. A proactive attitude toward "new scenarios for the future" (Ezio Manzini).

Notes

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Title of Presentation
Fernandez's Castro's Daughter: *An Exile's Memoir of Cuba* and Kincaid's *The Autobiography of My Mother*: Self-Identity and Parents

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Abstract

Fernandez' *Castro's Daughter: An Exile's Memoir of Cuba* and Kincaid's *The Autobiography of My Mother*: Self-Identity and Parents

Alina Fernandez' wrenching exile narrative, *Castro's Daughter: An Exile's Memoir of Cuba*, deals with her memories of Cuba and her father, Fidel Castro. But the work focuses upon her search for self-identity through her poignant desire to know her father more intimately: "Fidel didn't answer my letter. I kept writing him letters from a sweet and well-behaved child, a brave but sad girl. Letters resembling those of a secret, spurned lover…" She chronicles her dysfunctional marriages and disordered sexuality, her eating disorder and career shifts—all culminating in her decision to flee Cuba.

Jamaica Kincaid's *The Autobiography of My Mother*, a fictional work, relates the story of Xuela Claudette Richardson, searching for knowledge about her Carib mother who died in childbirth. Xuela's father is half-Scot and half-African. Here her search for identity involves parents (her dead mother and absent father), sexuality, and race. As a child she is consumed by loneliness and raised by strangers; as an adolescent she is seduced. She has an affair with a stevedore and she marries an English doctor whose first wife she most likely has poisoned. Creating a portrait of the mother she never knew, she imagines herself part of a dying race.

Both narratives locate the self as inextricably linked with distant or non-existent parents, with these relationships impacting upon the protagonists' love affairs, spouses, lifestyles, and political or racial identities.

Critical Reaction to Feminism in the Off-Broadway American Musical Theatre (1970-1990).

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Abstract

This paper examines the critical reaction to the feminist movement on the Off-Broadway musicals: I Can't Keep Running in Place, Quilters, I'm Getting My Act Together and Taking It On The Road and A…My Name is Alice. In this article, I discuss the history of the productions, explore whether theatre critics were all using the concepts of feminist and feminism and feminist theatre in the same way and explore the question of the theatre training of theatre critics in the field of feminist theatre.

The Study of a Culturally-Competent Communication Patterns in the Web Navigation Design

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The growth of the Internet has led to US e-commerce participating in the international marketplace. The localization of transnational e-commerce websites should be aware of the cross-cultural communication issues for designing usable web interfaces that can be easily understood by local target audiences. Localization is more than translating one language into another. To launch a local website successfully, cross-cultural visual communication patterns should be investigated and identified. For this reason, research on cross-cultural prevalent patterns in interface design is necessitated.

A Web navigation design represents the information architecture of the website and can reflect the way people present, communicate, and behave. This study analysis identifies the cultural prevalent patterns that occur in the Web navigation design between different cultural populations. The way each local site presents and communicates in the navigation design can be implicated by classical anthropological studies, those of Hall Edward and Geert Hofstede. Their theoretical paradigms appear to be a useful assessment tool in distinguishing and understanding cultural pattern in the e-commerce navigation system. This study shows that different cultural units can lead to the different visual patterns of presenting the navigation design. One hundred e-commerce sites have been investigated in order to analyze the cross-cultural communication pattern. The findings from this study could be beneficial for transitional vendors in helping them to understand the cultural prevalent patterns and to implement to e-commerce design for their targeted audience.

Website Design Project in Service Learning

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The partnership between a community organization, American Society for Training & Development Sacramento Chapter, and California State University, Sacramento undergraduate graphic design class created positive learning experiences that benefits both class and client. "Design Production and Management" class investigates the business and management component in design. The objective of the class is to learn how each business operates, how they expect a design to be managed, and understand the nature and process of web design project. It is the nature of the graphic design that communicates with clients and understands the target audience to solve the given problem. However, many academic projects are based on the problem with an imaginary client. In order to give the students the real world opportunity, in the spring of 2004, the class offered the community-based learning project, which was designated as 'service learning.' This means that this project is devoted to activities that give back to the community. Students utilized theoretical principles of website design and implemented a new site for the partner's organization.

Working with a community partner gave students real world experience in the design profession as well as providing a valued service to the community. The student gained experience working with a client and learned there are a variety of perspectives that affect design.

Proposal

1. Towards A Poetics of News Stories: Competitive Ethos and Intertextual Contention in Norman Mailer's The Armies of the Night and John Hersey's Algier's Motel Incident.
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Abstract
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Towards A Poetics of News Stories: Competitive Ethos and Intertextual Contention in Norman Mailer's The Armies of the Night and John Hersey's Algier's Motel Incident

With *The Armies of the Night* and *The Algiers Motel Incident*, I will explore the essentially contestory nature of news stories and by extension "nonfictional" stories in general through the concept of intertextuality. I argue that the narrative authority and credibility of nonfictional stories lie in the very intertextuality through which the stories complement and/or compete with other neighboring stories: their information, meaning, and significance are always contested and re-construed by competing stories.

Nonfictional stories that attempt to represent real life events have occupied an uneasy space in literary studies—the place of a theoretical dead horse, branded with the "referential fallacy." They have often been antithetically categorised as "historical discourse" and exploited as a foil to fiction, or in certain cases as "new journalistic" stories, narrowly approved and validated because they meet the postmodern ethos of anti-referential, subjective, and indeterminate representation of reality. In short, the critical practice on journalistic narratives has been all too eager to polarize the various stories according to the pronunciation of the postmodern ethos of storytelling, and, by so doing, has flattened the paired other—nonfictional stories—into a stock character of monologism, realism, and (pseudo-) objectivity, excluding other multifarious and heterogeneous functions of stories.

Though discussions have long revolved around the referential aspect of a story, confirming or subverting theories, storytelling involves multi-dimensional functions—expressive, referential, interpersonal, illustrative, competitive, and so on. In short, storytelling is rarely exclusively referential in nature. Though journalistic stories attempt to be referential, informative, and newsworthy, and because they report on events in a public arena where numerous competing stories abound, they are highly aware of other neighboring stories and strive to relate, compete, and negotiate with other stories to make their stories not merely repetitive but worthy and (re-) tellable.

In my paper, I will discuss the contestory nature of nonfictional stories. With *The Armies of the Night*, for instance, Norman Mailer retells the Pentagon March to counter the story in *Time* magazine, where he was portrayed as a snobby and shameless "scatological solo." Mailer argues that his eccentric story "elucidate[s] the mysterious character of that quintessentially American event" better than factual reportage. John Hersey's *The Algiers Motel Incident* contends against the sublimated racist stories of the Police, the National Guard, and the Court in the cloak of Law and Order and further competes with *The Report of The National Advisory Commission On Civil Disorders*, which, though "frank" and "remarkable" in Hersey's opinion, "didn't face up to the implication of its own historic accusation."

If intertextuality has often been identified and celebrated as a source of ambiguity and indeterminancy, I would take this contested intertext as an enabling and informing concept for clarifying the relations between intertexts and for articulating the site of ambiguities, expanding the horizon of significance of an event. Intertextual contestation, I contend, is essential for "real" stories.

Title Page

Title of the submission: Zen Buddhism and Culture
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Zen Buddhism and Culture

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Abstract

This paper attempts to view how Zen Buddhism is relevant to culture. It seeks to point out some aspects of the contagiousness of Zen Buddhism to cultures, to identify its relevancy as being an aspect of ***sunyata*** *which annihilates the distance between* ***Buddhism and culture*** *with the help of both* ***prajna*** *and* ***karuna,*** *to see the annihilation of the distance as the non-duality of all forms of dualism of A and not-A, and finally to show the life of non-duality as the middle way or the* ***Bodhisattva way*** *which suggests wholeness, totality, oneness, inclusiveness and creativity. In this way, this paper takes Zen Buddhism to transcend all branches of Buddhism shaped by particular cultures. Thus it is not seen as one form of geographically limited cultural Buddhism so much as it is life itself which is nothing but* ***sunyata,*** that is, the life of non-duality. *Zen as life itself transcends cultures as it cherishes individual cultures. It is a living whole in which all cultures retain their identity as unique. In a nutshell, Zen overcomes particular culture and yet maintains it in order for a particular culture to appropriate life to the fullest extent. And thus Zen Buddhism is ontologically relevant to many problems today. It could teach humans much about living in ontological tolerance. Although Zen Buddhism in the past had frequently pursued and studied as a part of Asian cultures, this paper tries to show that the traditional study of Zen Buddhism represents a deviation from what the essence of Zen Buddhism truly is.*

I think that the invariant guidelines are that when a tradition, which began in one civilization or culture, moves to another it always changes and yet retains a certain identity, which remains distinct from the culture in which it came. Now, you've been using the example of Buddhism, and that's particularly good example because it is one of the three great missionary religions in the sense of seeing itself as universalistic in its relevance to humankind. And we have a very clear sequence; about six hundred years in India and then it moves to China, and then six hundred years later it moves into Japan and now a little more than six hundred years later it comes to the West.[1]

Although Buddhism has its origin in a particular man and its practice in India where Pali and Sanscrit are used, it went on to become a universal religion transcending South Asian culture. It has made itself relevant to other non-Indian cultures by helping these cultures appropriate Buddhism. Later on, it has peacefully entered the entire East Asia by adapting itself to East Asian cultural circumstances where Chinese was prevalent. To East Asians, Buddhism was an imported religion but was thoroughly domesticated and suffused with the traditional Chinese culture. Therefore, Buddhism entered China not as a displacer of what was already there, but as a partner in an enlarged culture. Huston Smith again says:

Part of the reason for China's success may lie in the way she positioned her religions as partners rather than antagonists. In the China I knew, if you ask people what church they belonged to, the typical answer would be, "the great church (*tai chao)*, of course - a federation of Confucianism, Taoism, and Buddhism woven together like strands in a single rope. As the then-going adage had it, every black-haired child of Han wears a Confucian hat, a Taoist robe, and Buddhist sandals.[2]

With the help of East Asian culture, Buddhism has exhibited the greatest flexibility in respect of form. Its universal characteristic is not opposed to its particular cultural forms, and its has allowed itself to be diversified in accordance with the different cultures which it has permeated. Both Buddhist adaptability and East Asian adopt-ability symbolize living openness which in this respect is without parallel in the history of the world's major religions. Buddhism adopts quite freely and adapts itself to what is alien. As a result, it has often proved to be skillfully adept at the culture adopted. In particular, both Buddhist adaptability and adopt-ability typify the spirit of Zen Buddhism.[3]

In the last 30 years, the Buddhist practice and intellectual study of Buddhism in the western culture have increased explosively. There has been enormous interest in Buddhism both by layperson and scholars. A vast scholarship has arisen as Buddhist texts have been translated and commented on. The Buddhist influence is discernible in many forms of culture; aesthetics, agriculture, anthropology, arts, economics, ethics, government, novels, philosophy, poetry, psychology, religion and sports as well as in popular culture and anti-culture.

Whenever Buddhism has moved to another place, it always has changed its previous form, it has developed many new branches of Buddhism and yet retained its original true identity. Among many branches of Buddhism, this paper uses Zen Buddhism as a stepping-board to understand its living relevance to the matter in hand, for it relates itself to all that is alive:

Zen transcends all particularities of Buddhism as such, and it is not one religion so much as it is religion itself in its profoundly simple intention. In other words, Zen is tantamount to the true life, authentic being or the life of integral self in which the "I" has overcome its dichotomies from itself, humans, and nature. When Zen heals the dichotomies between subject and object, there is no longer anything to be called Zen. In other words, the uniqueness of Zen is its being-transformed-into-the-unconditional-life. And thus Zen dies out when it is realized. In other words, the unconditional life requires Zen no more than fire calls for heat.[4]

Ultimately, Zen denies all denying as well as all affirming. What then remains is life itself in which the human being is connected to all forms of life: human, natural, and cosmic. So it can surely help us understand its relevancy to other cultures. In this sense, Zen will be central to any living cultural direction humans may move forward, simply because it, without denying or affirming cultures, is oriented toward its reentry into life. Zen does not adhere to the Gautama's teachings as an absolute which would have blueprinted an entire way of life. Instead, Zen can provide a cosmic dimension of depth, height, and width, whereas a culturally limited Buddhism or religion can give humans either a frog in-the-well-eyed view or a mole-in-the-hole-eyed view. Cultural provincialism encases humans, while Zen liberates them.

Culture signifies many different things depending on what the word "culture" means, what it includes and what it does not. Sometimes, it refers to the totality of behavior patterns, arts, beliefs, institutions and all products of human work and thought which are peculiar characteristic of a community or population. Sometimes, it means the act of developing the social, moral, and intellectual faculties through education. Sometimes, it points to a high degree of refinement formed by aesthetic and intellectual training. Sometimes, it refers to either the development of body through special physical training or the cultivation of soil through tillage. Sometimes, it is expressed as civilization.

Human action, whatever it may be, is always directed to someone or something which is prior to and apart from one's action or oneself. No matter how many different things culture may signify, culture can be defined as anything that human being does as a conscious agent in order to promote, improve, or further **human** life. Nolan Pliny Jacobson succinctly says the intrinsic meaning of culture in his *The Problem of Civilization:*

> ...the concept of civilization means the progressive diversification and interweaving of relationships joining individual human beings with one another and with the rest of nature.[5]

In a nutshell, human activity is oriented and intended to create relationships to join "individual human beings with one another and the rest of nature." A large part of cultural activities, nevertheless, is spent for the struggle to impose certain cultural ideas upon others. Whatever human actions are directed to, in the end remains only partly submissive to human actions. As far as human history of culture goes, there is no condition which is fully cultured or civilized. Cultural ingredients in every relationship contain certain brute elements which continue to be impervious to culture. Culture has never been perfected, although it has incessantly tried to pursue perfection.

The post-modern anxiety about the pursuit of human perfection may lie in mistaking the humongous technological progress or prosperity for cultural mission: The creation of hydrogen bomb with the continuing development of chemical, biological and even psychological weapons of massive destruction, an explosive growth in the world population, an exhaustion of the natural resources, and so on. This anxiety is accompanied by a growing political, social, moral, philosophical and religious disorder or insecurity. While individual interest in the field of production and distribution is driving people hard for more and more, the institutional or organized stimulation of **tanha** has itself become an industry and is pursued relentlessly and scientifically. In a nutshell, the anxiety is deeply rooted in a mistaken identity

of culture. The culture imbedded in the masochistic stimulation of insatiable appetite for **tanha** at the expense of the non-cultural or non-human elements in life has continually proven to be unbalanced or lopsided, and thus undesirable:

His Holiness the Dalai Lama joins Rumi in reminding us time and again that a stomach holds only so much. To think that binge-ing would increase our satisfaction would be like strapping sandwiches to our abdomens and hoping they will nourish us. It's a metaphor for the blandness of our consumerist society.[6]

The Crusade, the Nazi Holocaust, and the billowing smoke from the collapse of the world Trade Center in 2001 laugh at the human naive belief in civilization or culture. Any society, which cherishes only one's own civilization or culture as over against the non-cultural elements in life by neglecting, ignoring, or fearing them, is predestined to death.

The world in which human "lives, moves, and has one's being" is thus mysteriously in sunder. Every cultural campaign undertaken concludes not in a total victory but a mixture of victory and defeat. To see the world history as an eternal battleground between the cultural and the non-cultural is a very instructive over-simplification. Twenty-five hundred years of historical culture could be viewed from the view-point in which humans have handled this dichotomy.

What is the ultimate significance of this dualism of the cultural and the non-cultural including the counter, sub or anti-cultural? Does the non-cultural, whatever form it may reveal, exists only to be transcended? Must it finally yield to culture? Or will cultural activity exhaust itself in the vain endeavor to bring the non-cultural element under the rein of culture? Shall humans live by culture or by something other than culture?

One can at least assert that an answer which could be regarded as a genuine alternative can hardly be expected to arise out of choosing one as over against the other. Zen suggests that the either/or rooted in all dualistic modes of thought has to be transcended into a whole in which two phenomena can be united. In Buddhism, the unity of both is called "the middle path." It represents that which transcends both A and Not A. And yet it animates all dual forms, and manifest itself through them without itself undergoing change. By its very nature it is totally different from any extreme answer which is either subjective or objective, either specific or general, either linguistic or numerical, either wonderful or predictive, and either participatory or controllable. It can only be approached existentially, that is, in a living or alive way.

The phrase "to be approached existentially" means to love life itself which is the basis of all that exists. Metaphorically speaking, life itself is like the center of a circle, while all forms of life is likened to its radii. Nothing is unrelated to the center. The center is equally related to the radii, remembering that the center, as it **is, is never be a radius, and yet is ontologically connected to all radii.** In other words, all forms of life are spokes of a wheel whose hub is life itself, that is, Zen. Without the center or hub, the spokes have no point of unity, and the wheel must crumble. Zen is not "the superstructure" of culture but its base to sustain it.

In other words, one who embodies the love of life is called **bodhisattva** whose vow is not to hate life. Such a vow to decline to enter **nirvana** until all beings are enlightened implicitly offers a reply to the above questions that one has to keep up with life**:** the change of time, space and matter which are pervious to culture and non culture as well. The most important element involved in the vow is **karuna** (compassion). Since bodhisattvas and other beings coexist, the bodhisattva's vow encourages humans to be compassionate in all human activities such as in gardens, in foods, in clothing, in governments, in architecture, in education, in literature, or in

religion. However, a bodhisattva does not waste compassion, because s/he is deeply rooted in wisdom (**prajna**) which can never be misused. In a nutshell, a bodhisattva is one who loves to do what can be done when it can be done, and lets the rest go and accepts all things as they are. The living principle of the middle way of **karuna** and **prajna** is the love of life. As Jacobson says, "All embracing Buddhists' compassion is originally based on the Buddha's cool intellectual attitude of looking at things as they are." Thus the bodhisattva's way does not lead people to an extreme utopian **nirvana** which seems to be separated from **samsara**. To Zen, religion in general is not a posthumous business. The direction where the vow leads is a way of living in the world. In a word, the vow is an art of creative relatedness to life. Jacobson again says:

> The Buddhist solution to the problem of civilization is for each individual to live self-correctively in ultimate dependence upon the creativity operating in the original individualized experience of people everywhere in ways that bring forth the novel forms of togetherness without which human civilization would have come to an end long ago.... Whoever would participate in the new levels of advanced civilization must break the compulsive unconscious grip of their noblest ideals and stay in touch with the original concrete events that speak out of the soft underside of the mind, echoing with the strange togetherness of everything alive.[7]

What seems to be suggesting here is to creatively transcend all forms of split; between East and West, South and North, Buddhism and culture, and finally culture and nature. "The strange togetherness of everything alive" points to life itself which is the basis of all that exits. Here is the enduring significance of Zen Buddhism for all forms of cultural life. In order to see things as they really are, one has to "live self-correctively in ultimate dependence upon the creativity."

Many have taken creativity to mean to be morally tolerant to each other. To them, moral tolerance is the thread upon which all cultures are strung. Many insist that this tolerance must be intensified by Buddhism. Many have believed that the spirit of tolerance was already an ingredient of oriental cultures or they would not have been so readily open to Buddhism. Many particular religions as well as cultures in the orient do not stand in direct opposition to each other. Buddhism and oriental cultures are not exclusive but inclusive. In this way, many scholars are critical of western cultures which are so polarizing, intolerant, and non-harmonious to each other.

While conceding their generous remarks resulted from their comparative study of the world religions, it needs also to be said that they do not go deep enough to apprehend the real meaning of creativity and the real intention of tolerance which Zen aims at. Many have taken tolerance as a culturally conditioned given. Thus they seem unaware of its root, that is, life itself. Buddhism, of course, was able to penetrate into another culture without violence, and its own universalistic emphasis intensified the spirt of tolerance what had previously existed. Nevertheless, Zen points to a totally different kind of tolerance, that is, ontologically(**sunyatically**) grounded tolerance. In other words, it should not be taken as merely a sociological, political, cultural, or moral given. Therefore, true tolerance cannot result from the external exhortation to learn tolerance from Buddhism or oriental culture. It cannot be sustainable by human decision and effort alone. Tolerance, when it is tried, is intolerable; that is, forced, contrived, artificial. To Zen, true creativity or tolerance is that which is one with one's whole being. It is only when one is totally devoid of resources from culture that one becomes really creative. And thus what works in this kind of creativity or tolerance is not any

theological doctrine, philosophical perception, political exhortation, ecumenical movement or moral decision but the presence of life itself which is not in opposition to anything and which is not confined by exclusion. In this sense, creativity is nothing but the unity of activity and passivity:

> The *tertium quid* which is the existential synthesis of activity and passivity is creativity. Creativity stems neither from the side of agent alone (for this would be merely the imposition of form) nor from the side of the immediately given (for this would be the acquiescence in the formless), but from a fructifying union between them. In this creative union, the bifurcation of man and nature is existentially overcome, the offspring of such a union will bear the generic traits of both parents.[8]

The Zen attitude toward cultures and civilizations can also be found in its own attitude toward itself: **"It is a toilet paper**."At best it exists to cleanse dirt existing between or among cultures such as desire, aversion, and ignorance. At worst it exists to be thrown away. In its deepest meaning, Zen signifies the impossibility of identifying life itself with any particular cultures whatever they are including Zen Buddhism. Cultures and civilizations, regardless of their geographical origins, should not merely be regarded as an agent alone which pulls the strings and calls the tunes but really used as cleanser. Whenever cultures and civilizations are not seen as a means to express life itself, they will be forced to be thrown away by the non-cultural element of life itself. Zen's criticism of culture is that culture in general does not account for natural change which is the basis of all that is non-cultural. To Zen, there must be a place for the non-cultural or non-human elements such as wildness, unruliness, non-conformity, and disorder. To Zen, nature is primarily given to humankind as "something to be appreciated, intuited, communed with, and reverenced; there is no sustained thought of using it, or suggestion that it might be mastered."[9]

The primary source of the non-cultural elements of life, that is, nature is not in opposition to the cultural. The Zen teaching is overspread with the natural. Even in the traditional Tibetan Buddhism, the water one drinks, the air one breathed in and out, birds' chirping, mountain streams and stones, and every flower's fragrance are a reminder and a pointer to the non-duality of the cultural and the non-cultural. When the Buddha awakened under the bo tree, his first exclamation was, "Wonder of wonders; all things intrinsically ***are*** the Buddha-nature. In **Jataka** Tales, one can find a rabbit throwing himself on a fire to save luckless hunters from starving. As the Zen master Hakuin put it, "This ground on which I stand is the shining lotus land. And this body is the body of the Buddha. *The Heart Sutra says:* "Form is emptiness, emptiness is form; there is no form without emptiness, there is no emptiness without form." In Zen, all things are equal, but unequally equal or equally unequal: Zen is culture, culture is Zen. Nothing is excluded, not even exclusion. The more Zen changes with culture, the more it is the same with culture. The more it is the same with culture, the more it differs from culture. And thus, it is profoundly simple, and it is simply profound.

One of the many examples of the fruit of the reentry into life which is the non-duality between the cultural and the non-cultural is gracefulness of the bamboos, which is yielding strength. In Zen Buddhism, the bamboo is regarded as the model of what a person should be. The bamboo unlike an oak tree bends before the hurricane. When the wind has blown itself out, the bamboo is still standing. This kind of pliant strength can come only when one is acting from the middle way. It is for this reason that all the host of people who are trying to subdue

the non-cultural to the cultural are so often lacking in natural gracefulness(upaya). Gracefulness means that a person is filled with grace, which comes to oneself only as one is open to the non-cultural. It comes to oneself only so far as one is leading the life of creativity, because one is filled with grace only when one stops contriving or scheming. One of the most distressing things about cultured people today is that they are utterly graceless. And thus the lack of grace unwittingly degrades or downgrades their own culture by ignoring the non-cultural elements of life. There is something wrong with their relationship with life which is both cultural and non-cultural at the same time. Their culture is an external thing which they try to impose forcibly upon the non-cultural parts of themselves and other peoples. That is why they are stern, narrow, and hard. That is why they feel threatened. Thus they often are bitter and hateful. They are the prime source of the three poisons: desire (lust, greed and grasping), aversion (hatred, fear and anger) and ignorance (all forms of dualism). Therefore they hardly ever are graceful. People whose religion is a fanatical adherence to cultural principles can never be graceful. So far as culture is not grateful, it cannot be true. The proof of the pudding is the eating thereof. A person of Zen is necessarily a graceful person. An ideal human being is apart from nature and a part of nature simultaneously. When one is both without inner contradiction, there is Zen. From the Zen perspective, the reentry into life can lead humankind beyond cultural provincialism, and let cultures act as fingers pointing at the moon.

Note

[1]Huston Smith, *The Way Things Are*, (Berkeley, University of California Press, 2003), p.64.

[2] Hunston Smith, *Why Religion Matters*, (Harper San Francisco: A Division of HarperCollins Publishers, 2001) pp. 207-8.

[3] See Ramakrishna Puligandla and David Lee Miller (editors), *Buddhism and the Emerging World Civilization: Essays in Honor of Nolan Pliny Jacobson,* (Carbondale and Edwardsville, Southern Illinois University Press, 1996), pp. 171 - 175.

[4]Xishan, *A Paragon of Zen House,* translated by O'Hyun Park (New York, Peter Lang, 2000), p.1.

[5] Ramakrishna Puligandla and Miller, *Buddhism and the Emerging World Civilization*, p. 21.

[6]Huston Smith, *The Way Things Are,* pp. 272-273.

[7]Ramakrishna Puligandla and Miller, *Buddhism and the Emerging World Civilization,* p. 45.

[8] Bernard Phillips, *Religion and the Life of Man* (edited by O'Hyun Park), (Lakemont, Georgia, CSA Press, 1977), p. 107.

[9]M.. Darrol Bryant (editor) *Huston Smith*, (New York, Paragon House, 1992), p. 6.

Courbet's *Origin of the World*: An Allegory of Sexual Politics in 19th Century French Literature

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Abstract

When Courbet painted *Origin of the world* in 1866, he was then at the pinnacle of his career. His close friendship with Charles Baudelaire and the literary critic Jules Champfleury (the founding father of Realism) had allowed him to develop and produce his own controversial masterpieces[1], which established his reputation as one of the main leaders of the Realism movement.

However in 1857, Courbet started a new body of works focusing on women and female nudes. His 1857 *Young Women of the Banks of the Seine (Summer)* created a big scandal, since "these young women" were indeed prostitutes. James Rubin explains the relevancy of such topic at that time: "Prostitution was so widespread during the Second Empire…but never had these kinds of facts been overtly admitted into the arts" (184). In 1861, Courbet went on further with the overtly erotic: *Nude with White Stockings*.

Shortly after, Manet generated a great deal of controversy with *Lola of Valence* (1862), *Déjeuner sur l'herbe (1863)* and finally *Olympia* (1863). With her provocative and daring gaze, *Olympia* radically changed the traditional paradigms of female nudes and launched Manet into the modern era. Courbet,

[1] The burial at Ornans (1849-1850), the Stone Breakers (1849-1850)

despite his close friendship with Manet, continued nonetheless with his own version of female nudes. His 1864 painting *Vénus and Psyché* reached a new level with its blatant display of female sexuality and explicit lesbian undertones (James Rubin. 194). In 1866 Courbet (re)produced his own version of *Olympia* with *Woman with a Parrot.* Unlike Olympia's unflinching and direct gaze to the beholder, Courbet's woman focuses her attentions only to her parrot. Although not as modern and powerful as Manet's portrait, Rubin underlines "the combination of female independence and seductiveness" (205).

By then, Courbet had attracted the attention of the Turkish ambassador Khalil Bey, who commissioned two seminal paintings in French art history. *The Sleep* (1866) depicts two naked women sleeping together. Proudhon, who was a good friend of Courbet, praised the painting for its social criticism of the excesses and decadence of the Second Empire. Michael Fried, The art historian, points out its powerful impact and major influence on later 19th century lesbian themes paintings. (339). He also adds "Sleep functions as a new and powerful technology for the production of erotic, even semi pornographic effects, as if the painter-beholder's efforts to merge quasi-corporeally with that painting" (209).

The other painting was *Origin of the World.* A work which James Rubin describes as: "One of the most unusual and notorious works in the history of art, a picture of a woman's torso with the legs splayed out to reveal her pubic hair and vagina…" (208). Despite its (infamous) notoriety, as witnessed by this description from Maxime Du Camps's 1889 *Paris Convulsions*:

> To please a Moslem who paid for his fantasies with their weight of gold… Courbet… painted a portrait of a woman that is hard to describe. In the

> dressing room of this foreign personage, one could see a small picture hidden under a green veil. When the veil was drawn aside, one was awestruck by the sight of a life-size woman, seen from the front, agitated and convulsed, remarkably well painted, reproduced *con amore,* as the Italians say, and offering the last word in realism. But by some inconceivable oversight, the artist who had copied his model from nature, had neglected to represent the feet, the legs, the thighs, the belly, the hips, the chest, the hands, the arms, the shoulders, the neck, and the head. (2:189-190) [2]

the painting disappeared and went underground until Jacques Lacan secretly purchased it in 1950. Today, it is displayed at the Musée d'Orsay.

We will once again borrow James Rubin's word to posit the painting's conundrum: "Yet, while the composition's brutal and ultimate example of metonymy represents woman as a pure object of dominance and possession, its title points to her quite differently as an absolute necessity to which the male is subject and on whom he is dependent" (208). This keen observation brings us to our main topic. How much influence did Courbet exert on French literature during his lifetime? Was this painting the catalyst directly responsible for Naturalism? In other words, was Courbet a trailblazer or simply a mere representative of bourgeois ideology?

Let us proceed with a few leading remarks in order to answer our previous queries. 19th century France is paradoxically a time when women were either reviled or revered. Naomi Schor in *Breaking the Chain* posits realist writers' aporia, as they were completely unable to neither represent women's difference nor reject it. Male authors were indeed confronted to a new era, which transformed their knowledge on women's anatomy and sexuality. The 1850 and

[2] Quote and translation from Janet Beizer's *Ventriloquized Bodies* (221)

60's brought about a plethora of discoveries on women's ovulary and menstrual cycles, which exposed the existence of a distinctive female sexuality. These scientific facts compounded with earlier extensive studies and surveys conducted on prostitutes (i.e.: Alexandre Parent-Duchâtelet's 1836 survey) [3] radically altered men's perceptions on women's sexuality. As it turned out, women's sexuality was dangerously similar to men's. To complicate further this uncanny realization, Paris was in the throes of a massive increase of prostitution leading to major syphilis outbreaks and disruptions in bourgeois families. Confronted to these disturbing events, physicians, politicians, philosophers and writers had to develop new discourses.

In *L'Amour* (1858) and *La Femme* (1859) Michelet offers a positive view of women as he glorifies motherhood (at the expense of womanhood). He writes: "Man is the brain and Woman is the womb". Since their primary function was maternity, women should be nurtured and protected like little children [4]. However, he also depicts women as helpless prisoners of their diseased uterus, thus the need to control their "unbridled" sexual nature by marriage and procreation.

The absolute necessity to control women's newly discovered sexual appetites produced a body of works focusing on the condemnation and repression of women's voices and bodies. In 1858, Proudhon had demonstrated

[3] Parent-Duchâtelet, A.J.B *De la prostitution dans la ville de Paris* Paris: Baillière, 1836.
[4] This notion was not exactly new since the Napoleonic code reduced women to the legal status of a minor with no legal rights of her own. She was under either her father or husband's tutelage.

the natural inferiority of women by using a mathematical formula [5]. In 1865, Courbet had read Proudhon's posthumous essay: *Pornocracy, or Women in Modern Times*. In this work, the philosopher essentially reduced women into two basic categories: mother or prostitute.

Another concomitant theme emerged in the later part of 19th century: Women and hysteria. From the middle ages to the17th century, hysteria had been diagnosed as a uterine disorder. In Courbet's times, it was still linked to this organ, as witnessed in this 1846 quote by the physician Landouzy: "We come to view the genital apparatus as the unique seat of hysteria" (Beizer, 35). Janet Beizer describes this period: "From about the second third of the century onward, with gathering forces in the 1860's, the disease figured prominently in literature, newspapers, journals, salons and eventually the streets" (9). Following these quotes, could we assume that Courbet's painting reflect the anxiety of an age, which according to Michel Foucault, was obsessed and preoccupied by women's hystericalized bodies? [6]. Later on, Naturalism and the literature of the Décadence (Villiers de L'Isle Adam, Huysmans, Octave Mirbeau, Rachilde) energetically pursued this topos to the point of transforming women into perverts or sex predators. This demonization reached an apex in Zola's 1880 novel *Nana*, which Janet Beizer characterizes as "an exhibitionist novel". Laura Otis thus describes Nana's destruction of the Second Empire's society:: "….Having

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[5] Proudhon's 1858 *De la justice dans la Révolution et dans l'église* produced quite a controversy among French feminists. In 1860, Jenny d'Héricourt published her own answer in *La femme affranchie: Réponse à MM. Michelet, Proudhon, E. de Girardin, A. Comte et autres novateurs modernes.*

[6] Foucault, Michel *La volonté de savoir* Paris: Gallimard, 1976.

inherited and absorbed metaphysical filth, Nana spreads it through her vaginal secretions" (66).

Following this brief description of sexual politics, we need to come back to our original purpose: Courbet's interactions with 19th century French literature. *The Origin of the World* presents us with several possible clues. On one hand, we have to ascertain Courbet's familiarity with seminal scientific works published before 1866. Did he read Parent-Duchâtelet, Claude Bernard [7], 'Prosper Lucas [8] or Charles Darwin's 1859 *The Origin of the Species*? (Could there be a correlation between Darwin and Courbet's painting?). On the other hand, we have to determine if Courbet found inspiration as well in contemporary literary texts. With this in mind, we will then discuss several novels, which could shed light on Courbet's painting. We will start with Balzac's *La cousine Bette* (1846), a novel which was the direct source for Zola's Nana. We will pursue our task with the study of Les Frères Goncourt's 1865 *Germinie Lacerteux* and end on Zola's *Les Rougon Macquart* [9]. We will concentrate especially on a close reading and analysis of *Nana.* Even though, this novel was written and published well after

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[7] Claude Bernard published *L'Introduction à l'étude de la médecine expérimentale* in 1865. This book introduced for the first time in France, the principles of modern scientific methodology. It profoundly influenced Zola, who adopted Bernard's experimental methodology to create his own literary theory in *Le Roman expérimental* in 1880.

[8] Prosper Lucas published in 1847 and 1850 a study on heredity, sexuality and nervous disorders: *Traité philosophique et physiologique de l'hérédité naturelle dans les états de santé et de maladie du système nerveux, avec l'application méthodique des lois de la procréation au traitement général des affections dont elle est le principe. Ouvrage où la question est considérée dans ses rapports avec les lois primordiales, les théories de la génération, les causes déterminantes de la sexualité, les modifications acquises de la nature originelle des êtres, et les diverses formes de névropathie et d'aliénation mentale*.

[9] Let us offer an interesting insight regarding Courbet and Zola. In his 1869 proposal for *Les Rougon-Macquart,* Zola had these words: The Origins as a subtitle for his first book. Aunt Dide is the founder of the Rougon-Macquart's family tree. She is afflicted with hysteria, which will produce the families' ultimate degeneracy.

Courbet's painting, it is our contention that Zola could have been greatly inspired by Courbet's works[10] , in his carnal and voracious depiction of Nana.

In short, was Courbet indeed partly responsible for his century onslaught on women? Or was he merely reproducing his century gynophobia in this work? Let us offer some possible answers for the time being. In their works, Charles Bernheimer and Griselda Pollock made incisive observations on the literature and arts of the second half of the 19th century. There was a common esthetic strategy, which aimed to fragmentize, dismember or disfigure the woman's body. *The Origin of the world* is a perfect illustration of this strategy, since Courbet chose to cut the woman's head and parts of her body. However, James Rubin puts forward a different interpretation: "We might propose that the site it represents, as the primary object of male desire, is ultimately a representation of the source of all creativity-procreativity as creativity "tout court" (216). Linda Nochlin also concurs with this analysis: "The very source of artistic creation itself" (Beizer: 221) [11]

I would like to end on this quote, since it demonstrates the ambivalence and complexity of Courbet and his male contemporaries towards women. On one hand, he perpetuates the negative discourse toward them, but on the other hand, he has empowered his female subjects in his depiction of their attitude and activities, such as in *Woman on a Podoscaphe.* In this 1865 painting, we are presented with the image of a lone young woman, who paddles energetically in the middle of the ocean. Earlier works, *The Sleeping Spinner* (1853) and *The*

[10] As an art critic, Zola was very familiar with Courbet's works. He published several reviews on Courbet.
[11] Quote from: Nochlin, Linda: "Courbet's *L'Origine du monde*: The Origin without an Original" *October 37* (Summer 1986) 77-86.

Wheat Sifters (1853) share also this positive image of women as self sufficient and active subjects rather than passive objects of male desire. *Woman and the Parrot* exemplifies Courbet's specificity in his time. Unlike Manet's Olympia, who defies the viewer with her gaze, the subject here is absorbed in her play with the parrot. She does not let herself become a sexual object for the pleasure or the voyeuristic gaze of the (male) Other. In a letter he wrote to a friend, Courbet declared: "She (the woman) belongs to all men, and all men to her. She plays in the world a mysterious role that one can call an apostolate" (Fried: 332).

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Can Dance Therapy be related to Spiritual Ritual?

Abstract

A relation between dance therapy and spiritual ritual is often mentioned in dance therapy literature. In older dance therapy literature the roots of dance therapy are seen in ancient rituals, while in more recent accounts dance therapy is seen to extend into spiritual practises. These ideas triggered me to do some research and, drawing from my own experiences, look into the possibility of finding a connection between group dance therapy and spiritual ritual.

In the following, I will first describe a part of a clinical dance therapy process, and briefly outline the group process in which I was the main group leader, dance therapist. Since we cannot know through direct experience about ancient rituals, I will then proceed to the description of a part of a Haitian Voodoo ritual in which I participated a number of years ago. Afterwards, I will see what possible relations between the two different forms of activity may be found.

A Dance Therapy Session

I will give an account of a part of a dance therapy session in its context that is the therapeutic group process as it developed during the year we worked together. The setting was a Norwegian mental hospital. The participants were four long term psychiatric patients. They were men whose ages ranged from18 to 41. Two of them were diagnosed with chronic schizophrenia, one of the two suffered from depression that his chronic condition caused for him. The other man was withdrawn and at times appeared to be in a catatonic state. The two other men had criminal backgrounds; the older one had spent 20 years in a mental health asylum for insane criminals, during which time he had shown autistic behaviour. The other was suicidal. All of these men displayed great contact problems in their abilities to form social relationships. They were physically extremely stiff, and they did not use speech. Yet they were motivated for dance therapy. Three female staff members participated in the group to support the group. The purpose of the therapy was re-socialization.

Description of a dance therapy session

The fifth dance therapy session: Ready to meet the group and its moods I entered the gymnasium where the participants were waiting for me. The men mooched around on the edges of the space avoiding contact with any of the others. The three nurses were sitting and chatting with each other. I was told that the group had been on an outing day trip. “So you have been on the mountains,” I said, “did you enjoy the tour?” No answer. “Please, tell me about it.” No answer. “You can SHOW me, let us go to the mountain!” I bent down to lift an imaginary rucksack and started a heavy march up the hill. I recognized that the participants followed

me. “What a scenery, “ I exclaimed, “bright autumn colours, and shining tops in the far distance… and here, stones, loose, rolling ones, and sharp ones… on the edge of a ravine…” Arve, the youngest of the men, sat on the floor, he did not follow us. As I passed him he caught my ankle. “Oh, my foot got stuck in something,” I cried, “I can’t get it loose, oh, how can I get it…?” The group came and helped to free my foot. The tour continued.

On the next round I discovered Arve: “How come, look, Arve is sitting here. Why is he…? It looks like he is stuck, indeed he is… in a swamp…. He is sinking …., we must…“ Indeed, something must be done, immediately, fast…. The group members started to drag him out of the mud. They got him up, tried to clean him and started to take him somewhere. The question arose: “Where are we bringing him?” “Home,” someone said. “But where is home?” I asked. ” The problem was solved by two of the men taking hands and creating a tiny circle around Arve to give him a home. In this way the process had come to its own conclusion.

The entire dance therapy group process, from which I have only presented a small portion to you, had moved from improvised group dramas to work with resistance exercises in pairs, to individual body work in the group, then to play rhythm instruments, to become familiar with modern dance music, to learn about rhythm-movement relations, and to dance, and also to exercise speech. Eventually, the individuals of the group were sent to various tasks of social training outside the hospital.

The final culmination of our work together presented a joint dinner at a local restaurant, and a final dance in one of the city’s well-known dance clubs.
This dance event marked the end of our dance therapy re-socialization process. The process was completed as a multilevel event (Parvia 1994), and the treatment team hoped that it would continue to last and transfer beyond the therapy situation into other areas of these clients’ lives.

A Haitian Voodoo ritual

I will try to describe a part of a voodoo ritual in which I participated, and which took place in Brooklyn, New York, many years ago. Albert, who was, like myself, a voodoo dancer and an initiated member of the Voodoo society in Brooklyn, invited me to join him to go to a Voodoo ritual. It was late at night when we went to the ritual place. We found our selves in a large basement, where discharged stoves, fridges and other junk were stored. We paved our way through this and eventually found another large room in which some people were sitting on chairs along the walls. The room had a concrete floor, the walls were of white painted bricks, and the ceiling was covered with pipes. From these pipes coloured paper strips were hung. The room had a simple bed, a worn out couch and several different, old kitchen chairs. On the wall, above the bed, a picture of Christ hang. This barren basement room seemed to be someone’s home, and now it was used for a ritual purpose. We found chairs for ourselves and greeted those who were sitting closest to us.

From the space I turned my attention to the people. They were adults, some of them I recognized from earlier voodoo rituals. They were sitting and talking quietly. There was a sentiment of anticipation as is usually the case at the beginning of a ritual. I looked at the peaceful congregation. I perceived these people as open and sensitive, portraying human warmth and dignity. I thought to myself, it does not matter where you are, when you are together with people who transmit so much human quality as these people here do. A deep peace filled my being, and the ascetic room disappeared from my awareness, and what remained was just the presence of the people.

We sat in the light of candles which were placed in front of the altar at the other end of the room. By the altar, I saw the voodoo priest in his concentration preparing himself for the ritual. He did not look at anybody or talk to anybody. On the altar some symbolic items, such as men's neckties and fruits were displayed.

After a rather long waiting, the ritual began, but without drums; for some reasons the drummers did not show up. A mambo, a woman voodoo priest started the ritual by singing and accompanying herself with her ritual instrument, the maraca. People joined in by singing their parts and clapping the rhythms with their hands. After this initial singing the houngan, the voodoo priest, took over to conduct the ritual.

The houngan was a special looking man, he was very thin, and his skin colour was very dark, he was perhaps in his fifties. He looked like a strong person. He was dressed in dark pants which were rolled up under his knees, and in a deep red shirt that was left hanging outside his pants. His assistant, a young man, also wore a red shirt, but it was not the same dramatic blood red colour, but rather like tomato red. The houngan held a leather rod in his right hand.

The ritual leaders, moving by the altar in the light of the candles, threw long shadows on the floor. The paper strips hanging from the ceiling created another play of lights and shades. This play of lights and shadows gave me the impression of being outdoors in the woods which was lit up much like through a campfire. After a while, several tall, handsome Haitians entered the space, and immediately they started to give sounds and shrieks of tropical birds and wood animals. Their voices confirmed my impression that we found ourselves deep in a tropical forest somewhere far away from our everyday spatial realities.

As I dwelled in the forest sentiment, something happened. I looked around but could not recognize any difference, everything looked just the same, and yet, something had just happened. Then I saw it, the houngan was changed into a very different personality. The realization was like a shock, I felt we were thrown back in time into some archaic other-world.

The houngan was now an old man in front of our eyes, his appearance, his carriage and his features, his stiff legs, and his mode of speaking, the whole of his personality was totally changed. His voice was an old man's voice as he addressed himself in Haitian patois to the congregation. He said amusing things that made people laugh. But that was not all, at the same time he was possessed by a child's

spirit, he switched between these two characters in an enjoyable interaction with the congregation.

Then the old man went out to the other room, and when returning he pulled a thick iron chain after him across the floor. The chain had been placed inside a gas fire since the morning. I could not see it was red, but people said it was burning hot. The possessed man handled it with his bare hands. He collected the chain in front of the altar into a heap and placed it into another gas fire.

As the conversation between the spirits and the people ceased, some women went out and brought in big iron pots full of food. They placed the pots in front of the altar. They served the ritual leaders first, then the women. To my surprise I was the first woman to be served. Then all the others had their turns. It was heavy Creole food, but there was nothing to drink. Perhaps my friend's thirstiness was the reason why he wanted to leave. We left knowing that the ritual would last all night long.

Looking for connections

I will now look at both, the dance therapy event and the Voodoo ritual to find possible relations and connections between the two types of processes.
A Voodoo ritual is a short, independent one-night process. Within its structure a Voodoo ritual may contain 21 chained events with intervals between them. Rituals themselves are not chained into long progressions towards definite goals the way a dance therapy group processes are chained. A dance therapy process with persons diagnosed as chronically mentally ill, forms usually a long-term progression towards a defined change. Both processes, that of the short Voodoo, and that of the longer dance therapy contain chained events within their structures.

The structure of the dance therapy process described here determined the location where the group was to work, the composition of the group, the length of the therapy and its aim. The structure of the Voodoo ritual, its pattern, rhythms, colours and symbols was recognized as that of a Haitian Pedro rite.

While dance therapy processes and Voodoo rituals are structured events, they are also framed events. Frames may be implicit, or initially discussed in the group. The leaders of both events prepared themselves through mental concentration to meet their groups and to interact with them (Parvia 1998). The members of the groups waited in a silenced atmosphere of anticipation, knowing by their previous experiences what type of event they were going to. There was a tacit agreement about the frame.

Both leaders addressed themselves to their groups, whereas the group members said nothing or very little, yet responding to what was said. It was the actual situations that determined how the leaders acted in relation to their groups. The perspectives were interactive.

The dance therapy session described hardly represents a usual dance therapy group session with hospitalized mental patients: According to a common practise

a dance therapist introduces a warm up, conducts repetitive or synchronous dance/movement sequences, gradually slows down the activity and discusses what was done (Parvia 1995). I neither introduced a predetermined pattern nor wished to control the group. Therapy means change. Changes hardly happen under controlled circumstances. In our group, changes were what we worked for. When a patient challenged the frame, or when he deviated from what he believed was expected from him, then something happened. When Arve sat down on the floor and refused to partake in the mountain drama, I did not force him back to the group or leave him out of the group process. I turned to the group for an aid. Within the frame the group solved the problem. The group dynamics took over and led the process to its conclusion. The frame was shaken, but it was flexible enough to allow improvisation, and changes and transformations to happen. (Bateson 1985, Bateson & Bateson 1987, Skolnik 1989).

The Voodoo ritual here deviates from what is usual in voodoo rituals.
The Pedro rite is said to originate from the Indians that inhabited Haiti before Europeans invaded the land. But that does not need to concern us, what is crucial here is that the drums were missing. The fact that the drums were missing shook the ritual frame badly. It is because the holy drums dictate the progression of a ritual. However, people who knew the rhythms started to clap them with their hands, thus they solved the rhythm problem whereby the ritual proceeded. Drums also give signs to the houngan as when he is to get possessed, or they aid his possession by breaking the ritual rhythm patterns. However, this houngan conducted the ritual without any outside structuring of the event; the ritual structure was all internalized in him himself. He induced the ritual transformations and amusements within the frame of the event.

What changes and transformations can be seen here?

In the dance therapy process Arve, whose life situation metaphorically was expressed as the swamp where he sank, was lifted up by the group, brought away from the danger into safety and given a home. Those, who gave him the home, where two men, who had withdrawn from contact with people for fifteen and twenty years. A change had happened; separated individuals acted as a group and solved problems together. Through the group process as a whole the group members learned coping strategies, cooperation skills, problem solving abilities, and they gained greater personal independence. The group re-socialized the individuals to a life outside the hospital. This multilevel process made the individual to re-structure his orientation towards the world, and to change his attitudes towards people and society. A transformation happened that changed the individual. The end of our therapy then marked the beginning of a new way for the individual, and a new dimension in his life.

In the ritual too, changes happened when ritual problems, such as the missing drums, were solved creatively. Time and space relations were changed as we got moved from the harsh everyday realities of an alienated city into the imaginary ideal home of a tropical forest. (However, no rain forests are found in Haiti today, forests are cut down for long ago, and the land is eroded – the reason for Haiti's hunger – and for emigration) The old man, the metaphor of the end of a way of life, and the child, the metaphor of the beginning of a way of life met. At the

crossroads the two dimensions, the end and the beginning, death and life, fused, and opened up for insights into the deep meaning and beauty of our lives.

Conclusion

The possible relation between dance therapy and ritual can be seen in the basic attitude and the knowledge bases of the two leaders, the dance therapist and the ritual specialist. Both were committed to their work, and to serve their groups.

Maurice Block sees the knowledge base of an expert as an integrated and complex knowledge. This form of knowledge is acquired through experience and it is only partly linguistic (Block 1994). Related to group leadership, this integrated, partly non-linguistic understanding and knowing gives the leader confidence and provides the necessary skills to master the challenges of different group situations. The confidence of the leader brings about an atmosphere of safety. Rather than attempting to control the group process, the leader can act and facilitate the group creatively. S/he lets the group process unfold according to its own inherent ways and lets transformations take place. In addition, the leaders' sense of humour is yet another factor that allows metaphoric play of fantasy and paradox to unfold.

It is the leaders' basics attitude towards his/her work, fellow human beings and life, which seems to serve as a precondition for the possibilities of transformations to take place, and for the opening up of insights which may change some individuals' lives.

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Defining Meaning for Computers: a Case of Definition Modeling for Natural Language Processing

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INTRODUCTION

Despite considerable progress in the lexicographic theory, creating adequate definitions for specific purposes remains a challenge for practicing lexicographers. The issue is still less investigated with regard to creating definitions for automated natural language processing (NLP) systems designed for the use on the Internet. Even a quick glance at how people chat on the web shows how far deviations from the standard writing conventions can go. The fundamental criteria of the sentence are undermined in web chats:

no, u r the wrong company im sorry[1]

What kind of sentence is the above sequence? Is it a compound sentence or two sentences? Moreover, the boundaries of another fundamental linguistic concept, the word, become rather obscure. How many words does *im* in the above utterance represent? And how should a NLP system be programmed to recognize *u* and *r* as words? Other deviations characteristic of the web written communication include the absence of capitalization and punctuation marks, abundance of elliptical constructions, acronyms, misspelled words, to name a few. These features make written communication on the web similar to oral communication: in the string of speech sounds there are no spaces between words, punctuation marks, capitalization, etc. Grammatical rules, and, consequently, natural language processing systems based on the algorithmic analysis of those rules, are of little help in developing a reliable language processing system.

In addition to these complications, the search for an efficient linguistic analysis solution for NLP purposes is far from being completed, and one of the central issues in the field is the search for an effective way of defining functions, lexical and grammatical meanings of the word for automated language recognition. This article discusses one of the possible ways of constructing definitions for natural language processing systems. The theoretical concepts discussed in the article were implemented in a model of linguistic analysis for iGent[2], a virtual internet assistant[3] capable of communicating with web customers in plain English on topics related to a company's business activities, its products, prices, contact information, etc.

PRINCIPLES OF DEFINING

It would not be an exaggeration to say that no dictionary provides each word with an adequate definition. This was true in the 18th century, when Samuel Johnson said:

> Every other author may aspire to praise; the lexicographer can only hope to escape reproach, and even this negative recompense has been yet granted to very few (Johnson).

This is true today, when lexicography has established itself as a branch of applied linguistics with its own theory, research methods, and principles.

One of the earlier theoretical works on principles of defining belongs to Zgusta. His rules include:

1. All words within a definition must be explained.
2. The lexical definition should not contain words "more difficult to understand" than the word defined.
3. The defined word may not be used in its definition, nor may derivations or combinations of the defined word unless they are separately defined.
4. The definition must correspond to the part-of-speech of the word defined (257-258).

Landau, while agreeing that these principles are sensible, adds a number of his own rules (avoid circularity, define every word used in a definition, etc.), indicates situations in which they cannot be applied (157-163).

The former Managing Editor of Longman Dictionaries J.R. Ayto holds that one of the difficulties in constructing an adequate definition is the selection of an appropriate genus word, "a word designating a superordinate class to which that which is to be defined belongs" (89). As an example, he gives a correct but useless definition of *tiger*:

> a large Asiatic entity constituted to carry on the activities of life by means of organs separate in function but mutually dependent, that differs from plants in its capacity for spontaneous movement and rapid motor response to stimulation, that nourishes its young with milk secreted by mammary glands and has its skin covered with hair, that eats flesh, is a member of the cat family, and has a tawny coat transversely striped with black (90).

In this definition the genus word, *entity*, is too general; as a result, the definition tells the reader many things that he already knows or does not need to know, thereby obscuring the essential information.

The other extreme is the genus word that is too specific. Ayto points out that people who understand the word *periosteum* in the definition of the word *pericranium* ('the external periosteum of the skull') would probably know the meaning of *pericranium* too, and would not need to look it up (90).

The correct choice of a genus word and of differentiae ("which distinguish it from others in the same class," Ayto 89) becomes critical in developing definitions for NLP systems: needless to say, definitions intended for machines cannot allow ambiguities and imprecision that a human reader can understand and, consequently, forgive. A model of the English vocabulary that we call a semantico-functional vocabulary system was used to create a NLP mechanism whose performance has demonstrated the productivity of the semantico-functional approach and of the definition modeling based on it.

A SEMANTICO-FUNCTIONAL MODEL OF ENGLISH VOCABULARY

The semantico-functional approach to the study of the English vocabulary presents words as a hierarchically organized system of semantico-functional classes and subclasses within them, and semantic fields and their subfields. The two types of categories overlap on the level lexical groups, unities that have the properties of one semantico-functional class and one semantic field.

The theory of semantic fields dates back to the 1930s; it has been amply discussed in linguistic literature and since this paper focuses on definition modeling, it seems

suffice to briefly explain our understanding of the concept that in many respects coincides with the traditional interpretation of the term.

By a semantic field we understand a group of words that are put into one category on the basis of similarity of their lexical meanings. All words included in the field have the same genus word, and their differentiae determine the subdivision of the field into subfields. Words with opposite meanings that share a genus word in their definitions belong to the same field. For example, *love* and *hate* are both members of the semantic field Feelings and Emotions, but within that field they belong to two different subfields: Positive Emotions and Negative Emotions. Lexical units that belong to different parts of speech can be members of one semantic field.

Parts of speech are understood here in a traditional way, too: word classes identified on the basis of their meaning, form, and function. Since some of the words have only one form (e.g. here, there), meaning and function play the primary role in defining parts of speech; it seems logical therefore to use the term "semantico-functional classes" to refer to parts of speech.

Semantico-functional classes of words, parts of speech, are recognized by most linguistic schools, but what is not widely recognized is the existence of subclasses of parts of speech. The research underlying this paper has proven that the systematic application of the criteria analogous to the ones used to distinguish parts of speech (meaning, form, and function) to the study of vocabulary leads to distinguishing subclasses within parts of speech. The purpose of this paper is to discuss definition modeling, but without a brief discussion of semantico-functional classes the principles of constructing definitions offered below will remain unclear.

SEMANTICO-FUNCTIONAL SUBCLASSES

Subclasses within each part of speech are distinguished on the basis of the generalized meaning expressed by the members of the subclass, and their function. Morphological categories are relevant for distinguishing parts of speech, but since the classification into subclasses is carried out with regard to members of the same part of speech, they play a secondary role. Generalized meaning of the subclass and functions performed by its members in speech are the two most important criteria. The third important criterion is the nature of the linguistic unit which is required or is characterized by the word. For example, open-class English verbs (modal and auxiliary verbs form their own, well described categories) are classified into five subclasses:

	State Verbs	Event Verbs	Transition Verbs	Action Verbs	Causative Verbs
Dynamic (+) / Static (—)	—	+	+	+	+
Transition (+) / Non-Transition (—)	—	—	+	—	+
Active Subject (+) / Inactive Subject (—)	—	—	—	+	+

Table 1

Verbs in italics in the following sentences illustrate each subclass:

He *knows* all about it (state verb).
It is *raining* (event verb).
The dog *died* (transition verb).
She *worked* hard (action verb).
The cold weather *killed* the flowers (causative verb).

The dichotomies Dynamic/Static and Transition/Non-Transition express the classifying features of the generalized meaning of the subclass, and its function in the sentence is reflected in its name. Similar criteria are used to distinguish subclasses within adjectives and adverbs. Noun subclasses are largely semantic.

Part of speech subclasses have been unduly neglected in the current literature, therefore let us consider one more argument in support of the above point of view. The argument is based on the concept of conversion, "derivational process whereby an item is adapted or converted to a new word class without the addition of an affix" (Quirk et al. 1558). Here is another explanation of conversion:

Calvin: "I like to verb words."
Hobbes: "What?"
Calvin: "I take nouns and adjectives and use them as verbs. Remember when 'access' was a thing? Now it's something you *do*. It got verbed."
Calvin: "Verbing weirds language."
Hobbes: "Maybe we can eventually make language a complete impediment to understanding."

(Calvin & Hobbes, by Bill Watterson, May 29, 2004, http://www.cs.utah.edu/nlp)

The concept of conversion is based on the recognition of parts of speech, or as was suggested above, semantico-functional classes. It would be only logical to suppose that if there are subclasses, lexical items of one subclass can come to belong to another subclass. Let us consider the following sentences:

1 John frightened his friend.
2 The horse did not frighten at all.

1 and 2 illustrate lexical units that differ grammatically: *frighten* 1 is transitive, *frighten* 2 is intransitive; the semantic roles of their subjects are different. It 2 the subject is a causer which can either be animate or inanimate, as in:

3 The noise frightened his friend.

Frighten 3 cannot have an inanimate subject. The two lexical units of the lexeme *frighten* belong to two different subclasses within the class of verbs (causative and transitional event verbs) but share the same component of lexical meaning: they both express the idea of 'fear'. However, *frighten* 1 expresses the idea of 'causation of fear', while *frighten* 2 expresses the idea of 'beginning to feel fear'. They differ in categorial semantics, for notions like 'causation', 'beginning', and 'feeling' bring a number of verbs together into certain categories, or subclasses (for example, 'causation' units verbs like *frighten*, *kill*, etc. in a subclass of causative verbs).

The two lexical units illustrated by 1 and 2 may be termed semantico-functional variants of the lexeme *frighten*. To demonstrate that the difference between these lexical units is not only functional but also semantic, let us consider the following.

The simplified definition of *frighten* 1 is 'cause to feel fear'. If we assume that the elements 'cause' and 'feel' express categorial semantic properties which determine that the lexical unit belongs to a certain semantico-functional subclass of the verb, then the deletion or substitution of one or both of them in the model definition of the lexical unit can cause a transposition of the lexical unit to another subclass. Thus, substituting 'cause' for 'begin', we get the definition of the transitional event verb: 'to begin to feel fear' (*frighten* 2); by deleting 'cause' we get the definition of the verb *fear*: 'to feel fear', which belongs to state verbs.

The semantico-functional variability illustrated in 1 and 2 is of the same nature as conversion. The difference lies in the level of derivation: conversion is a derivational process on the level of word classes (parts of speech), whereas the derivation *frighten* 1 → *frighten* 2 occurs on the level of subclasses of parts of speech.

A similar point of view is held by Quirk at al. (1563 ff), but their discussion was not focused on the systematic description of subclasses and it is only mentioned in the appendix describing word formation: "The notion of conversion may be extended to changes of secondary word class, within the same major word category: for example, when noncount nouns are used as count nouns and vice versa" (1563). The important consequence for our discussion is that the recognition of conversion at different levels leads to the recognition of the existence of semantico-functional classes and subclasses.

Semantico-functional classes overlap semantic fields on the level of lexical groups, units that belong to one part of speech and a subclass within it and, on the other hand, to one semantic field and subfield, on the other, fig. 1. The areas where subclasses and subfields overlap are shaded.

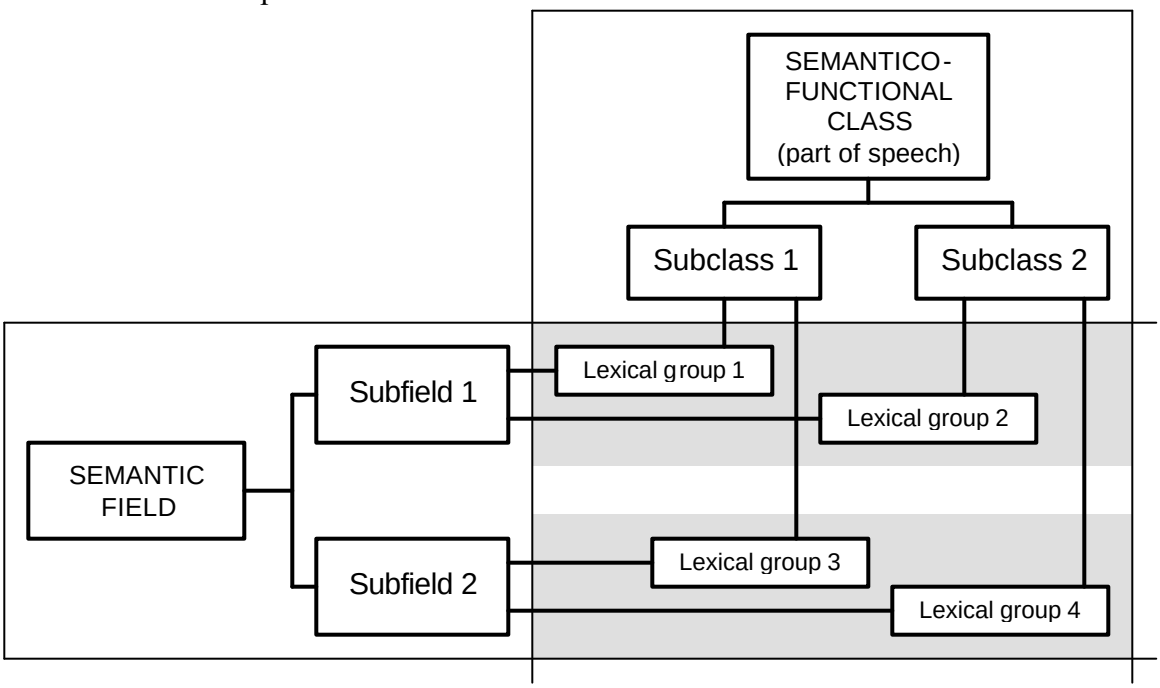

Figure 1

TWO-PEAK DEFINITIONS

The view on the vocabulary as a system of semantico-functional classes and semantic fields has an important consequence: it makes possible to identify in the semantic structure of the word, and subsequently in the word's definition, the two peaks: 1) an element that expresses the word's affiliation to a semantico-functional class (subclass), and b) an element that signals the word's affiliation to a semantic field (subfield). Thus, component 'cause' in the definition of *frighten* 1 ('to cause to feel fear') indicates that the verb belongs to a subclass of Causative verbs, and the component 'fear' signals the verb's affiliation with the semantic field of Emotions, subfield Positive Emotions.

There are cases when the two-peak nature of lexical definitions is not so obvious. For example, 'have' in the definition of *own* ('to have as property') carries the indication of its semantico-functional class (State) and its semantic field (Possession). This ambiguity is eliminated through the analysis that takes into consideration the relationships existing within the semantic structure of the word.

Functions that definition elements perform within the definition correspond to the syntactic functions in any phrase or sentence. Therefore we can identify and mark them as regular parts of sentence: direct object (Od), indirect object (Oi), adverbial place (Apl), time (At), manner (Amn), reason (Ars), purpose (Aps), means (Ams), and so on. Definition components labeled in that manner may be called functional classes of semes. Each functional position in the definition is filled by elements in accordance with their semantic substance. Thus, the meaning of a lexical unit is expressed through a number of semantic components and relationships between them. The relationships are described in terms of functional classes they belong to.

The relationships between semantic components are not secondary for the meaning of the word, they play a role equal to that of semantic components. The same set of components can express different meanings when the semantic components perform different functions in the definition. Compare the following definitions of *think* and *imagine*:

THINK: to use intellectual ability + (Aps) to form an idea or picture in the mind.
IMAGINE: to form an idea or picture in the mind + (Ams) by using intellectual ability.

The four definitions below provide another example of how the semantico-functional approach can be applied to definition modeling:

HAVE: (be) + [S-one who] + possesses + [Od-something]

OWN: (be) + [S-one who] + possesses + [Od-something] + Attr-intangible + Amn-as property)

OBTAIN: (begin + to be) + [S-one who] + possesses + [Od-something] + Attr-sought for + Ams-by some expenditure of time and effort

LOSE: (cease + to be) + [S-one who] + possesses + [Od-something] + Amn-without initiative

Parentheses ( ) contain components expressing categorial meaning, i.e. components that indicate the semantico-functional subclass. 'Be' signals that the verb belongs to State verbs, 'begin" and 'cease'—Transitional Event verbs. Brackets [ ] indicate the combinatory potential of the lexical unit, S stands for Subject, Od—for direct object. Thus, in the above definitions, categorial components are regarded as one peak, and the component 'possess' is another peak, signaling that the word belongs to the semantic field Possession. In this way two-peak definitions reflect the essential properties of lexical units, their affiliation to a certain semantico-functional class and subclass, and to a certain semantic field. Obviously, such definitions are too clumsy to be included in a dictionary intended for human users, but their explicit expression of semantico-functional properties justifies their use in NLP systems.

IMPLICATIONS FOR NATURAL LANGUAGE PROCESSING

The principles of linguistic modeling described above were used to create iGent, a virtual internet assistant capable of communicating with web customers in plain English. iGent was created with the help of a patent-pending neural network system owned by Solv Technology, a software development company based in Minneapolis, MN.

The development of artificial neural networks dates back to 1940s, and the first simple neural network was created in 1954 by Belmont Farley and Wesley Clark of the Massachusetts Institute of Technology. Since then, neural networks have been amply researched and experimented with, that is why for our discussion here it seems sufficient to describe the basic principles of neural networking and to demonstrate how the semantico-functional approach was implemented in a Solv Technology NLP system.

A neural network is "a computer program that operates in a manner analogous to the natural neural network in the brain" ("Neural Network." Encyclopædia Britannica). Despite its brevity, this definition reflects the essential features of artificial neural network systems described in recent works on the topic (see, for example, Anderson, Bishop).

The Solv Technology's system, like all neural networks, was designed to emulate the brain's pattern-recognition ability through activating artificial neurons, whose operation depends on the "weights" of the connections between neurons in different layers. Each weight indicates the relative importance of a particular connection. As the input later of neurons receives signals from the environment, they send signals to the processing layer, where, based on the connection weights, signals are processed and the output layer is activated and sends a response.

The fascinating aspect of the Solv Technology neural modeling system for a linguist is in the fact that one does not need to have programming skills in order to develop efficient natural language processing models. The user-friendly interface makes it possible for a linguist to create neurons emulating linguistic units, set up connections between them, and ascribe weights in accordance with the model of linguistic analysis that he or she is trying to implement.

iGent's neural system recognizes different excitation levels caused by the language input and responds in accordance to what the focus of the language input is at a given time. iGent is designed to serve primarily as a company representative; it, therefore, has a knowledge base that has information about a company, its products, services, people, contact information, etc.

iGent's response to a language input depends on the level of neural excitation caused by the input. The semantic structure of the word is represented as a combination of elementary units of meaning, semantic components, or semes. Thus, the meaning of *iGent* is represented as *an internet chat application that functions as an automated representative on a web site, responding to questions from web customers*. In this definition, *chat application* represents the most general notion that expresses the general identity of the object (genus word), whereas the other components are subordinate, specifying elements of meaning (differentiae).

Once the general identity has been established, the general component of meaning begins to serve as an "inner context" on the background of which specifying elements of the definition obtain greater importance as they carry new, additional information about the already established general component. Accordingly, specifying elements of the word meaning get greater weights in the neural network. That is why each of the following concepts of iGent's definition has a greater connection weight in relation to the preceding item: *Solv Technology, product, use.*

Besides concepts that represent objects and their relationships, the model has formulaic concepts, i.e. concepts that serve as conversational formulas indicating gratitude, greeting, termination of the conversation, etc. Among these, there is their own hierarchy. For instance, words expressing termination of the conversation have a greater weight than those expressing gratitude.

When iGent's response is based on the analysis of weights only[4], it reacts to the concept that has a greater weight than the other words in the sentence. The figure below shows the distribution of the excitation levels caused in the neural network by *Thanks for the Solv Technology product information.*

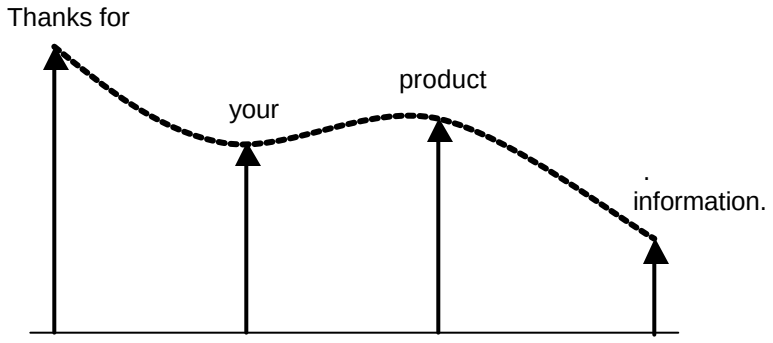

Figure 2

iGent's response: *You are welcome. What else can I do for you?*

The next figure shows how the weights are redistributed when new elements are added to the above sentence, and, consequently, iGent responds differently:

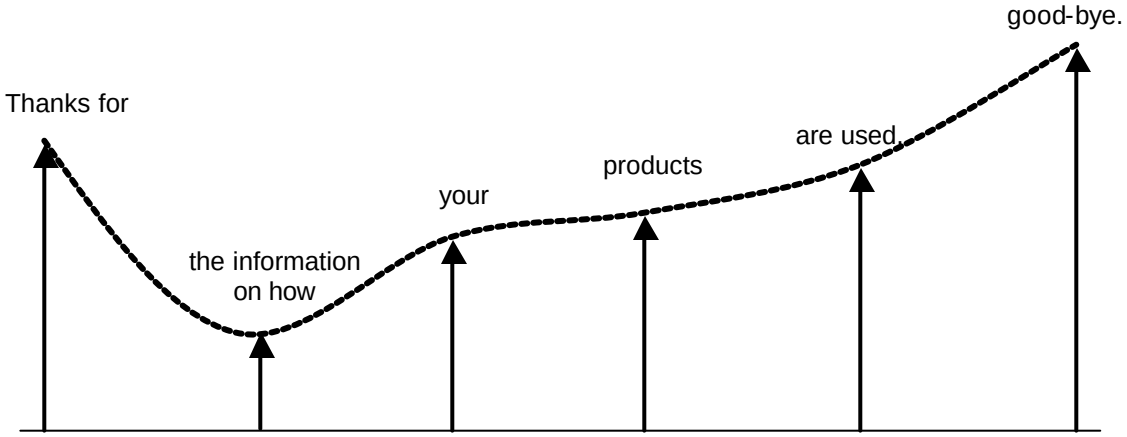

Figure 3

iGent's response: *Thanks for visiting SolvTechnology, good-bye.*

Table 2 below demonstrates iGent's performance in comparison with two other systems that are currently available on the internet, Lucy and Alice. They respond adequately when asked *Tell me about your company,* however, when the question about the company is put in a slightly different way, they, unlike iGent, get confused and send out responses that do not answer the question (1). Alice was unable to answer questions about products and prices, whereas both Luci and iGent responded well (2, 3). The important difference between Luci and iGent is that the former is unable to keep the context of the conversation. Question 4 follows a question about the price of one of the products; obviously, Luci reacts to the name of the product by sending out some general information about it, although the question was about its price (4). Both Luci and Alice generate a random response to *I'd like to speak with your company's representative*, whereas iGent understands the question and offers to transfer the customer to a human representative (5), and the three systems can understand *Who*-questions (6).

Question 7 shows the feature that makes iGent different from comparable software: it is capable of differentiating information requests in accordance with its knowledge base. iGent can see the difference between information requests about something it has in the knowledge base (iGent's knowledge), something outside its knowledge, and cases when it doesn't understand the language input at all. The first case is obvious: when iGent is asked about something that it knows, it responds with an appropriate answer. In the second case, when the question refers to something outside iGent's knowledge base (e.g. *Who is von Neumann?),* iGent replies that it does not know that and suggests looking it up. If the visitor agrees, iGent takes the visitor's question and sends it to an Internet search engine; a page with the reply is then displayed in iGent's push window. This also shows iGent's ability to communicate with other sites on the Web. In the third case, usually, when only one word is typed as an information request and iGent's dictionary does not contain that word, or when gibberish (*jhgjh*) is typed, iGent says, *I'm sorry, I don't understand*. This ability is also unique for iGent; most chat robots continue responding with random replies (see Table 2, replies 7, 8, 9). This brief comparison shows that the semantico-functional model of the English vocabulary implemented on the basis of a neural network modeling system brings noteworthy results.

	iGent solvtechnology.com June 12, 2002[5]	Luci artificial-life.com May 20, 2004	Alice alicebot.org May 20, 2004
1	**What's your company all about?**	**What's your company all about?**	**What's your company all about?**
	Solv Technology is a software development company. Shall I tell you more about it?	I'm so glad you asked. Check out all the customers who have gotten ALife by using our smart bots.	Are you asking about my company all about?
2	**What are your products?**	**What are your products?**	**What are your products?**
	Solv Technology develops automated agents that talk with customers about products and services, make appointments, and transfer clients to human representatives. Besides myself, we have Digital Dialogue, Otto, and more.	ALife-WebGuide, ALife-PortfolioManager, ALife-Messenger, ALife-Einstein, ALife-STAn, ALife-Insure, and ALife-RoboShop are some of the products we are developing based on our SmartEngine technology.	Not many people have asked me about it.
3	**How much is Digital Dialogue?**	**How much is ALife-WebGuide?**	**How much is a system like you?**
	Basede on the number of applications (or seats) you chose to have, the range starts at $375 a month for one seat and reduces to $150 per month for five3 seats or more.	To request pricing on ALife's products, contact our sales team at sales@artificial-life.com. Please be specific about which products you're interested in.	Have you tried another program?
4	**And iGent?**	**And ALife-Messenger?**	
	To get information about the price for iGent, please contact our sales department.	ALife-Messenger is a natural language-based automated e-mail reply and answering service.	
5	**I'd like to speak with your company' representative.**	**I'd like to speak with your company' representative.**	**I'd like to speak with your company' representative.**
	OK, I'm transferring you to a person…	I'm rocking out. But let's talk about something else. What else would you like to know about Artificial Life or our products?	Why would you want to do it? Interesting. I want to find out more about you.
6	**Who is von Neumann?**	**Who is von Neumann?**	**Who is von Neumann?**
	I know people at Solv Technology, but I don't know who you are asking about. Do you want me to look it up for you?	I guess I'm supposed to know this, huh?	Some famous celebrity, right? I need time to formulate the reply.
7	**Intertextuality?**	**Intertextuality?**	**Intertextuality?**
	I'm sorry, but that's outside my knowledge. I'm here to talk about Solv Technology. Please ask me about the company or our products.	When it comes to thought, some people stop at nothing. Huh-heh, huh-heh!! Is there anything particular on your mind? Ask away about Artificial Life or our products!	A deeper algorithm is needed to respond to that correctly
8	**kjhklhlkjh**	**kjhklhlkjh**	**kjhklhlkjh**
	Huh? I don't think I understand.	Friend, you are someone I am glad to have met. Tell me , are you working or are you going to school?	What do you do in your spare time?
9	**jhgkjhgkjh**	**jhgkjhgkjh**	**jhgkjhgkjh**
	I'm afraid I don't understand.	Are you enjoying this conversation?	I don't think very many people do that.

Table 2

CONCLUSION

The semantico-functional model of the English vocabulary that presents lexical units as a hierarchically organized system of semantico-functional classes and subclasses within them on the one hand, and semantic fields and their subfields on the other, serves as a good basis for developing two-peak definitions that explicate the word's essential properties: functional potential as a member of a part of speech and specific meaning in relation to a semantic field. Formalization of the word's meaning in the way of two-peak definitions proves to be an efficient method for creating a natural language processing system designed to communicate with web customers in plain English. Further work in that direction may help solve one of the most topical issues of today's computational linguistics and provide a tool that would allow communication with the computer in natural language.

NOTES

[1] All examples of web communication are taken from real exchanges between web customers and virtual internet assistants.

[2] iGent is a natural language processing system developed by Solv Technology, a software development company based in Minneapolis, MN, in 2001-2002. During that time the author worked as Senior Linguist in the company's Development Department and was responsible for creating a linguistic model of natural language processing.

[3] Virtual internet assistant is one of the terms used to refer to a computer program designed for internet communication in natural language. Other names currently in use are virtual assistants, virtual customer assistant, virtual customer service representative, virtual agent, virtual personality, automated assistant, web robot, web bot, chat bot, to name a few.

[4] In this article we do not discuss iGent's ability to keep the context of the conversation, critical for effective communication.

[5] iGent was removed from the Internet in August 2002, when Solv Technology decided to discontinue the development of its natural language processing system. Inquiries regarding the current version of iGent should be addressed to the author of this article.

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Queer Cinema as a Fifth Cinema: A Comparative Analysis between South Africa and Australia

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Queer Cinema as a Fifth Cinema: A Comparative Analysis Between South Africa and Australia

Australia had the world's first Gay Film Festival at the Sydney Filmmakers Co-op in June 1976, part of a larger commemoration of the Stonewall Riots in New York City of 1969. In 1994, South Africa became the first country in the world to prohibit discrimination in its constitution on the basis of sexual orientation, whilst allowing for positive discrimination to benefit persons disadvantaged by unfair discrimination. South Africa and Australia, both ex-British colonies, are used in this analysis to explore the way local Queer Cinematic Cultures have negotiated and continue to negotiate dominant social forces in post-colonial settings.

It is rare to have analyses of Queer Cinematic Cultures and even rarer to have texts dealing with cultures outside those of Euro-America. This study offers a unique window into the formations of Queer Cinematic Cultures of two nations of the 'South'. It offers important new research on how sexual minorities from nations outside the Euro-American sphere have dealt with and continues to deal with longstanding Queer Cinematic oppressions.

A pro-active relationship between Queer representation in film and social-political action is considered by academics such as Dennis Altman to be essential for significant social and judicial change. The existence of Queer and other independent films in Sydney from the 60s onwards, impacted directly on sexuality, race and gender activism. In South Africa, the first major Queer film festival, *The Out In Africa* Gay and Lesbian Film Festival in 1994, occurred during the change of constitution and was instrumental in developing and maintaining a post-Apartheid Queer public sphere which fostered further legal change.

Given the histories of activism through Queer Cinematic Cultures in both Australia and South Africa, I propose in this thesis the existence of a new genus of Cinema, which I term Fifth Cinema. Fifth Cinema includes Feminist Cinema, Queer Cinema and Immigrant/Multicultural Cinema and deals with the oppressions cultures engage with within their own cultural boundaries. It can be informed by First Cinema (classical, Hollywood), Second Cinema (art house or dual national Cinemas), Third and Fourth Cinema (Cinemas dealing with the decolonisation of Third World and Fourth World people), but it develops its unique difference by countering internal cultural colonisation. Fifth Cinema functions as a heterognosis, where multi-

dimensional representations around sexuality, race and gender are used to assist in broader cultural liberation.

Proceedings submission for Conference on Arts and Humanities

1. Title of Submission: Pietism and Rationalism as Formative Influences on American Political and Religious Culture

2. Name of author: Samuel C. Pearson

3. Affiliation of author: Visiting Professor, Institute for the Study of Christian Culture, Renmin University of China

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6. Abstract of Paper:

Pietism and rationalism had a profound impact on the language of both politics and religion in Western Europe and North America during the eighteenth century. The United States came into being as a separate nation, drafted its constitution, and commenced shaping its institutions precisely at this time. While pietism and rationalism, both representing a rejection of much of the earlier intellectual climate of Europe, are frequently pictured as conflicting and contradictory forces, they were often complementary in their impact on society. Both were woven into the thought of the new nation, and both have continued to influence its thought down to the present time. Much of contemporary American politics and religion may be explained by reference to these two eighteenth century movements of thought.

1. Title of the submission:
"I Am American": Deconstructing the Inner and External Demons of Bruce Lee and Reconstructing Asian Identity

2. Name(s) of the author(s): Don E. Peavy, Sr., Ph.D.

3. Affiliation(s) of the author(s): Azusa Pacific University and Victor Valley College.

4. Address(es) of the author(s):
P.O. Box 28, Claremont, CA 91711-0028

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6. Abstract and/or full paper:

The "awesome ability of film to shape our lives and culture," is well attested. In 1953, Gary Cooper appeared in a movie in which he did not wear an undershirt. Undershirt sales in the United States plummeted for the next year. It is no wonder then, that Asians in the United States and Canada have formed organizations to combat what they argue are distorted images of Asians in films. What I hope to argue in my paper is that the movie, "Dragon: The Bruce Lee Story," despite its entertainment value, is an intentional project to deconstruct notions of Asian identity and to construct a manner in which

Asian Americans might negotiate more successfully their conflicted passage between being Asian and being American. The thrust of my methodology will be to analyze the demons of Bruce Lee. I will note the inner demon and the external demon that he must face and overcome.

Spaces of Identity:
Shelter and Conflict Resolution

Focusing on the role of human shelter as it defines a bridge between human need and conflict.

"Areas within art and design have long recognised the intimate relationship that exists between human beings and the built environments which they inhabit, and acknowledges the role that issues of housing and shelter play in the construction of human identification."

"The case studies describe an intimate and constantly evolving dialogue, a metaphoric conversation, between the "home" and its inhabitant in the construction of the identity of that inhabitant."

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Cape Town, South Africa

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Spaces of Identity:
Shelter and Conflict Resolution

Focusing on the role of human shelter as it defines a bridge between human need and conflict.

Architects and designers are involved in ongoing debate surrounding issues of identity and the impact of this on the design agenda. However the potential for the design agenda to include the role that architecture can contribute to issues of conflict through development of human shelter, is fundamental to this area.

The position which is put forward is that the identification of situations of potential conflict and/or conflict resolution may be contingent upon recognition of the role of-, as well as the protection and/or provision of a state of "home-ness". The link between these two notions (conflict and "home-ness") is that of the understanding and acknowledging of human identity in terms of how this is developed and presented through and contingent upon, the state of "home-ness". The term "home-ness" is used to discuss and describe the full complexity of the human need for, and response to "home"; what it means, how it is understood, and how the conceptualisation thereof contributes to the development and establishment of human identity.

The evolution of the study has been directed from five "positions", the first four providing the basis or platform from which the fifth is devolved ("in succession to").

- The state of homeless-ness
- Description of need theory and its intersection with conflict analysis
- Changing global contexts
- The relationship between human beings and their built environment

Final hypothesis arrived at in succession to the first four orientations

- Provision of shelter may provide a position from which to both recognise potential situations of conflict and facilitate their resolution.

Firstly, therefore with regard to the state of "homeless-ness": in viewing situations of violent confrontation in South Africa in which individuals were forced from their "homes", a central question emerged: "if the conflict appeared to arise from an impending state of "homeless-ness", then what was the meaning of its opposite, "home-ness", in order that it so inspire the situation of conflict"? Allied to this is the recognition that "media report" of conflict situations does not fully describe or reflect the conflict and the reasons which underpinned it. The report may be interpreted or directed from the point of view of the "reporter" and/or the "agency" of that report, and additionally the "report" may be elaborated in some way by audio- and/or visual image narration, again directed by "point of view" and/or "agency". Therefore implicit within this is the question as to whether or not the conflict did "in fact" arise from that impending spectre of "homeless-ness" or if there were other, far more fundamental reasons "hidden" by the emergent drama of the situation?

In exploration of conflict analysis and resolution I have primarily (but not exclusively) considered the approaches of John Burton over an approximately

thirty year period from the 1960s to 1990s considering whether or not Burton's work fitted into prevailing global movements (in international relations) and how his work advanced with them over the thirty year period. The work of Burton, demonstrates a pragmatically "real" approach to conflict eschewing metaphysical questions of the philosophical roots of knowledge and being. What emerges is a "common-sense" conception that "conflict was a problem" and that human beings had fundamental needs, which if challenged, would be pursued, often at almost any cost; therefore conflict and human need were related.

This brings me to the second point, the dilemma presented in "need theory". It is widely accepted that conflict arises from a threat to human need. Need theory which seeks to identify and outline human need, has been advanced within the field of conflict analysis and resolution as a short-hand description for a position from which "root cause" of conflict may be identified and might therefore be considered to support an approach by which situations of conflict can be analysed and resolution processes directed. Need theory therefore "ought", through its attendant description, to be able to infer the "fact/s" which led to the type of situation which has been described. Additionally, it has also been suggested that, "need theory" can facilitate conflict "provention" (a term introduced by Burton in his 1990 work *Conflict: Resolution and Provention*) in its ability to provide the tools by which to identity potential situations of conflict, or imply some form or mode of operation to recognise, and so facilitate avoidance of, or pre-empt conflict situations by directing changes to the structure or system within which conflict is likely to occur. However the weakness of prevailing human need theory is that it is "abstract", remaining largely undefined through lack of consensus, not only in terms of what the need or needs actually "are", but also whether they are hierarchical or prepotent. As a consequence the link between human need (theory) and conflict resolution is asserted rather than demonstrated. Need theory and conflict resolution theory remain isolated from one another and an adequate account of how they can be understood as connected is lacking. Most widely cited definitions of human need theory advocate that basic human need presents as the need for identity, recognition and security and whilst this is "generally asserted", it is by no means definitively agreed amongst human need / conflict resolution theorists. Burton has suggested that human need is driven by a desire for social recognition as part of an identity group; and therefore the denial of [that] psychological and social need may be a far more likely and probable cause of conflict. Situations of intractable conflict, i.e. those which seem especially difficult to deal with, often appear to involve issues of conflict over identity. Research has identified that whilst conflict is described as arising from a "threat" to identity, this is not wholly defined or described; 'identity' is used as some sort of generic descriptor … what precisely is being threatened is not clear. The investigation which has been undertaken has directed me to draw the conclusion that there is no "multiplicity" of need, and that the "needs" (plural) which have been identified appear as "methods" for achievement of identity recognition rather than "individual" needs in their own right. Ultimately, because that which is being threatened is not understood, a bridge between issues of identity and issues of conflict over identity has not been defined and so therefore that which will protect issues of identity has not been coherently articulated.

The third position concerns changing global contexts, specifically the emerging new world views within global society, as a result of the rapidly expanding phenomenon described as globalisation. This kaleidoscopic view of the evolving economic, political, social and technological global arena affects the manner in which human identity is "constructed" as a response to the changing "construct" of the global environmental condition. Human need theory argues that human need is reflective of a "fundamental human requirement" which holds true across all human beings at all times. With reference to the position of identity, the study

that I have undertaken would suggest that identity be viewed from a "human need" perspective in light of the changing global context which makes identity harder to quantify and qualify in terms of orthodox approaches (relating to nation, culture, ethnicity, and so forth, and traditional geographic boundaries associated with these).

The fourth, and potentially that which becomes the most significant, perspective concerns the relationship between human beings and the spaces within which they find themselves. Areas within the "broad" discipline of art and design have long recognised the intimate relationship that exists between human beings and the built environments which they inhabit, and acknowledges the role that issues of housing and shelter play in the construction of human identification. The richness of this appreciation is that it (art and design) has recognised this from a perspective of cultural and social significance through to that of fulfilling some of the basic human requirements to sustain life (such as shelter, protection from the elements and physical security). The discipline of international relations does not consider issues of housing or shelter. Similarly these issues do not appear to be addressed in any meaningful or substantial way in the area of conflict analysis and resolution (nor in terms of human need theory).[1]

Fifthly, and finally, taking the above four broad positions or perspectives into account, it seems a likely, or at least reasonable supposition, that through understanding of the full complexity of "shelter" (or what I have referred to as the state of "home-ness" in an endeavour to remove the conventions and constraints implied within the term "shelter"), "home-ness" may in some way address "issues of identity" as described by human need theory. Additionally "home-ness" may prove the key to identification of that which conflict resolution terms "*issues* of identity" and so provide a "tangible" link between human need and conflict, identifying what precisely is being threatened and in consequence that which "will work" in situations of conflict over identity.

My research offers proposals, not only for the role of human shelter, but also for a "next step" in human need theory development. The proposals suggested have at their core an integrative, holistic approach to the human need for identity in acknowledgement of the accepted position regarding the relationship between identity need and situations of conflict which arise over issues of identity. In order to come to terms with the concept of identity from a philosophical perspective, and in an endeavour to tie this concept in a more "tangible" way to "human need theory", the investigation is set within a phenomenological frame. Phenomenology makes evident an approach which declares the relationship between human beings and their experiences and expressions of those

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[1] On-line data base and library searches for research which links issues of conflict, and/or human need, and/or international relations with issues of housing have covered:
The London School of Economics [on-line], available at (http://www.lse.ac.uk/library/).
Pearson Peacekeeping Centre, available at (http://www.peaceoperations.org/en/about_us.html), (Pearson Peacekeeping Centre was established in 1996 by the Canadian Government as "an independent non profit organisation whose mandate it is to support Canada's contribution of international peace and security.")
The Conflict Research Consortium (CRC)(1998), University of Colorado, USA. *Denial of Identity, International Online Training Program on Intractable Conflict*. [online] Available at http://www.colorado.edu/conflict/peace/problem/denyid.htm.
Conflict Research Consortium (CRC)(2003), University of Colorado, USA. *Beyond Intractability*. [online] Available at http://www.beyondintractability.org/iweb/ .
Conflict Resolution Information Source (CRINFO), University of Colorado, USA. [online] Available at http://wwwcrinfo.org.
A limited amount of recent research has been undertaken to inform areas of housing programme development, but this has been from a social science perspective rather than from that of architecture or design (art and design) and thus issues of the human relationship to built environment as expressed in chapters three and four as well as issues of "anonymous" housing such as those which have been identified within the case study, are not addressed.

experiences as they form and are formed by the individual who undergoes those; explaining the expression/experience "cycle" as it becomes inextricably part of the human "beingness" of the individual. The work uses the phenomenological position to bring forward the human being's experiences of the world in terms of what the essences are of that world as perceived by *she or he who is perceiving it* and identifies the part played by "home-ness" in construction of the individual's worldview, recognising that "home" and the subsequently conferred state of "home-ness" are intrinsically part of that construction.

Two case studies which explore the squatter camp phenomenon in South Africa have been developed to provide empirical evidence to support the investigation. While I do not describe the case studies in depth, the experiences articulated within these have been analysed in relation to theoretical debates and used to develop a position that attempts to identify and describe issues relating to the meaning of home and issues of identity. This has lead to the development of a model which describes the "issues" of identity and so may be useful in addressing situations of identity conflict. The first of the two case studies considers an area in Johannesburg and was generated over an approximately 18 month period during 1996/1997. At that time I was living in Johannesburg, working on a number of design and architecturally related projects involving inner city regeneration research and development. I consider myself to have been uniquely placed to carry out such research, not as a researcher "inserted" into a situation, but as part of that situation as it unfolded. The second was developed following a visit to, and exploration of the situation in Imizamo Yethu squatter camp in Hout Bay, Cape Town in August of 2004. The state of "homeless-ness" is still, sadly, very much part of the South African condition, despite rejection of an "internally displaced population" by the South African government. (See Data provided by Governments, based on their own definitions and methods of data collection. Data source: UNHCR Governments. Complied by UNHCR, Population Data Unit/PGDS. 2002: Available on line at http://www.UNHCR.ch/static/statistics_2002/asr02-dr2-Table1.pdf. 2003: Available on line at http://www.unhcr.ch/cgi-bin/texis/vtx/home/opendoc.pdf?tbl=STATISTICS&id=40d015fb4&page=statistics.
Astonishing from these figures is the fact the Government of South Africa does not include figures under "internally displaced" persons).

The model which has been developed locates "issues" of identity within the experience/expression cycle of the individual in relation to the environmental contexts within which they find themselves. The stories which emerged from the case studies about the meaning of home have been analysed to describe the emergent state of "home-ness". Phenomenological questions relating to "What is it to be a person?" and "As a person who am I?" and "Who I was then and Who am I now? have been considered in parallel to the emergent meaning of "home"; in other words viewing phenomenological issues regarding identity construction in relation to the meaning of home as this becomes a support for the identity of its inhabitant. Phenomenology recognises the human being's profound need for conscious recognition of them "selves" in manifestation. In consequence three aspects which seem to adhere to human "perceptions" about that which serve as the vehicle for their state of beingness, in other words that which allows conscious acknowledgement by the individual of their "self", have emerged. These are acknowledgement, persistence and sustainability. Phenomenology is a philosophy which offers an account of space and time and the world as we live it acknowledging our direct experiences in that world as being part of how we understand the world. In other words, experiences and expression of experiences are the ways through which the human being is able to consciously recognise or perceive themselves as a "self in manifestation". That acknowledgement, persistence and sustainability demonstrate as entities fundamental to human need is argued through the human being's profound "need" to consciously recognise their existence.

The individual will strive, in order to maintain a conscious awareness of their "self" in manifestation, to achieve a position of homeostasis in relation to these, but because their environmental contexts are constantly changing, the entire structure is constantly dynamic. Conflict is about behaviour. The individual will *engage* in behaviour that will seek to maintain a position of homeostasis. If the expression/experience continuum is broken, then behaviour which may ultimately lead to conflict appears to become likely. This apparent need to engage with their environment appears to suggest the root cause of conflict and so conflict would appear to become the expression of the thwarted expression of experiences. The three essences, acknowledgement, persistence and sustainability are not however "human needs". They are, I believe, what have been described as "issues" of identity and subsume the plethora of "needs" which have been variously identified within human need theory both historically and in contemporary debate. These suggest the alignment between human need theory and the philosophical constructs of identity in order to describe and articulate "issues" of identity.

Sustainability refers to the need to sustain one's "self" and includes notions of sustaining life in terms of shelter, food, water, air; i.e. the basic needs to sustain life and health. It also includes notions of protection, safety and security, i.e. to live "free from threat or harm" and procreation as a metaphoric statement of "immortality", or to be sustained for the future. Maslow's *Hierarchy of Human Need* (1968) identifies the need to sustain life and "esteem" / "self-actualisation" as distinct needs but ones which are on "opposite ends" of the hierarchy. The theory presented here argues that "self-actualisation" or the maximisation one's potential, (the ultimate achievement of sustaining ones "self" would be immortality and thus the human individual may pursue this in a metaphoric way). Galtung refers to survival needs which he infers to mean sustainability as opposed to extinction. Sustaining one's "self" may also demonstrate through religious, cultural or community belief or tolerance, thus sustaining one's self through the role of the self as part of a group or conversely, the group as part of the self. What is required to sustain one's "self", in terms of "specific detail" may, to an extent, be determined by the human individual in relation to what is important to him or her in order to be deemed a "sustaining" entity.

The need for acknowledgement and recognition is asserted by Maslow and Sites/Burton as a "human need" and reflects acknowledgement of the personal "self" as a "being" which is described phenomenologically. Acknowledgement is manifest both internally and externally; internally in terms of the "self" who acknowledges that they, themselves, exist through tangible expression of experiences and externally through acknowledgement by others in terms of actions or reactions to the individual "self".

The need for persistence is related to the abstract conceptualisation of time and allows the individual human being to recognise in physically manifest ways, the relationship between "then" (previously) and "now" (present) and also to formulate expectations and responses to or for situations to come (future). This presents as a mechanism by which and through which the individual is able to make sense of current situations and link them to future, or potential, environmental or social changes.

The three essences present phenomenologically as underpinning human identity, but are also evidenced in the human being's attendant descriptions of the meaning of home. Contention has surrounded the issue of defining human need by "observable data", favouring the position that need manifests in other "unobservable" ways. The study has identified what have been referred to as

"essences" which present as the qualities necessary for human "beingness". These are not "observably" quantifiable, for they only achieve their "manifest-ness" through the human interaction of experience and expression, and furthermore this interaction is qualified by individual "condition".

Case study evaluation has highlighted some of the ways in which the expression/experience cycle (the engagement process) works. However, the manner of engagement also presents fairly consistently, in four fundamental patterns, and it appears that the individual will use one or more of these to maintain or develop their engagement. These present as two tangible, and two intangible entities. The tangible "entities" reflect on two levels, the first as it (tangible object or thing) represents something else, the second is related to the object itself, but "translated" in vernacular or genre. The intangible aspects are represented, through firstly an environmental contextualisation, and secondly through ritual, habit or action. These latter "intangible" aspects reflect on behaviour motivation, whilst the first two imply the "objectification" of something. The four entities appear to provide the link between issues of "home-ness" and issues of identity because these relate to the manner in which expression / experience of the "essences" of acknowledgement, persistence, sustainability are "recognised", thus underpinning the quest for identity.

However because these are suggested as "essences" they, possibly, cannot be threatened in their own right (the need for these remains constant regardless of the human "condition", "home-ness" versus "homeless-ness"). What comes under threat, and so poses as a source from which conflict may emerge is the quest of the human individual to engage with, or "experience", or "perceive" those in consciousness. That "experiencing" process is revealed to occur via one or more of four aspects in relation to each of the three areas. Examples are drawn from the case studies to demonstrate how the interaction (described in the model by expression/experience) works. Whilst this cannot be "measured" the potential for conflict appears to arise when the engagement process is threatened.

Conflict is about life and therefore any theory about conflict must be located at this level. Burton's assertions, both implicit and explicit, regarding conflict as resulting from the human individual's "different perceptions of reality" and his support for conflict arising from "social" need for identity and recognition do not seem to adequately address questions of conflict. Certainly his declarations have been demonstrated to occur within the case studies, but they do not suggest the reasons for conflict. Burton's 1997 text, Violence Explained, warns that "conflict, violence and crime relate to unemployment and inequalities, these relate to educational opportunities and to health services, these are progressively limited by population increases and resource depletion, which relate to system failures in controlling exploitation of resources, which relate to pollution and environmental damage". These "relationships" are evidenced in the case studies and do serve to describe some of the "issues" which may be found to be prevailing within situations of conflict however the work within this study does not find these (issues as identified by Burton) to reflect on "cause" of conflict. Significantly Burton poses the question as to whether there is some "causal human drive", now emergent as a result of changed (societal) circumstances, which has to be accommodated. He continues to expound human need theory emphasising that the assumption of human need is "*crucial* to analysis". A statement made in his 1972 work, *World Society*, asserts that "conflict … is the means to change, and the means by which our social values of welfare, security, justice and opportunities for personal development can be achieved" (pp.137-138), is echoed in 1997, *Violence Explained*, when he asserts that conflict is instrumental in promoting change (to structures and systems, the "environment") hence conflict "provention" being advocated as the change to environmental structures in an endeavour to dissolve

conflict promoting issues. The work I have undertaken has set out to focus on finding the bridge between human need and conflict.

The kaleidoscopic view of global environmental movements has had profound influence on the construction of human identity. The human individual, long perceived to be a pawn in the hands the nation and state is recognised, in terms of human need theory, as an individual, with individual wants and needs that "will be met" despite situations that seek to thwart these. Phenomenological philosophy declares that the human person is brought into "beingness" through their experience as that experience is both formed by, and as a consequence becomes the reflection of, their "self". This interactive process answers the "What is it to be a person?" and "Who am I?" questions thus being inextricably intertwined with the human being's conceptualisation of their identity. The "conditions" which prescribe identity in terms of "belongingness" such as ethnicity and cultural orientation, whilst previously (largely) contained by geographic delimitation now either "rely" on other means of protection for their manifestation, or have become "replaced" by other means of belongingness identification. Human attitudes, assumptions and expectations which make up the human "situation" have undergone profound changes in the face of the evolving global condition.

A "condition" which has emerged in consequence is the experience of "un"-real experiences; these appear largely but not exclusively promoted through technological advances with experiences thus presented being directed or pre-constructed by other agendas. This area is subject to wide debate particularly in areas of media studies and communication; however the link of this issue to human need theory is implicit. The media alone cannot take sole responsibility for this phenomenon. Berger et al (1973) in discussion of the "magnetic attraction" of cities refer to collision of images arising as a consequence of the human being lacking sense-making "prior experiences" through which to decode the new context (of the city). The global is seeing an increasing move of human population from rural to urbanised society. The impact this may have on identity construction is plainly expressed in the question posed by Scholte (2000), "Does globalisation make people more the same or more different?" (p.23), when he asserts the emergence and development of "new patterns of meaning, identity and community" (p.23-24). This can be broken down into his acknowledgement firstly of emergent "new patterns of meaning" within the changing global and social context, issues of community and how these new patterns come to be embodied in, or through the meaning of community, and lastly how identity becomes circumscribed within these. These issues are contributory to constructs of identity and hence to the overall evolution of human need theory, seeming to make the case for arguing for "identity" as being the only fundamental and most basic human need, even stronger.

The work sets out that "home-ness" could present a position from which to identify situations, or potential situations, of conflict, as well as provide a mechanism for facilitating their resolution. Through investigation misgivings about whether situations in which individuals were being faced with forced removal could justifiably be described as conflict arising as a result of a threat to the home have proved justified. The conflict is not situated within the notion of protection of the physical thing called home; but presents as being rooted in the constructs of personal identity within which "home" becomes both the physical and philosophical analogy and metaphor. Analysis of the case studies described an intimate and constantly evolving dialogue, a metaphoric conversation, between the "home" and its inhabitant in the construction of the identity of that inhabitant. The nature of "home-ness" becomes contextually and inseparably bound to the establishment of the inhabitant's identity and to the support and continuity of that

identity. Exploration has revealed the site of the conflict to reside within a fundamental challenge to the beingness of the individual; however the conflict is manifest as the expression of the denial either of experiences, or of the expression of experiences, which convey the human being's beingness which, on a profound level is related to the human understanding of home.

The complex relationships which exist between the human being and their built environment drawing from the case studies to give empirical expression to theoretical notions of identity, the human being's relationship to home, and home as the harbour for and of identity, have been explored. Review of the work of John Burton and others in need theory and conflict analysis have confirmed the primary area of weakness to be the demonstration, rather than the assertion, of the link between human need and conflict. In arguing for the position in which human need is articulated as the human need for identity, and subsequently demonstrating a profound link between identity and "home-ness", it becomes possible to describe the link between "human need" and "home-ness" and as a consequence the role of "home-ness" in protection of the human need for identity; thus proposing human shelter, "home-ness" as the link between conflict and identity. With regard to arguments supporting the notion that something is described not only as itself, but also by its opposite, suggesting that if "home-ness" could be described by its converse "homeless-ness", and thus by extension if conflict could be found to be represented with a state of "homeless-ness", it (conflict) may be similarly apprehended through its opposite state of "home-ness". This complex concept becomes simplified in the understanding that conflict resides in the challenge to the human's state of "beingness", and if the resolution to this disintegration of being resides in provision of "home-ness", then resolution to the state of conflict would appear also to be supported by notions of "home-ness".

Architects and designers are involved in ongoing debate surrounding issues of identity and the impact both for and on the design agenda, however the potential for the design agenda to include the understanding of the role it can play in issues of conflict is paramount.

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Abstract Submission

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Abstract: Space for the Never-present-self

The paper investigates a critical response to the spatial implications of loss of social-awareness (the act of being considerate) of the immediate present. Encounters within the present (people and place) are infiltrated by non-present encounters (cell phones/digital interference) and different modes (time-frames) of 'present': faster cars, faster roads that contrast with slower, increasingly more awkward pedestrian movement. Ubiquitous interruptions create a social-world that is increasingly becoming disjointing the experience of continuity in time and space with selective presence and non-presence. Caustic human interactions and an environmental decay result as the people and place around us fall into the backdrop to our multi-posited selves. The design of the built environment is at once challenged and titillated by the experience of the present, where people are no longer really alive and the environment is not really present. Life, art, and architecture have become disconnected in experience and increasingly fail to function in the present.

Proposition: what characteristics are common to an art and architecture for the never-present-self. What constitutes its form and experience? The architecture of distraction--intended to infiltrate the already distracted. This has been taken seriously; and the results are lionized. The design of the built environment is once again cleft between an emerging attention to “green“ design (which represents the return to Nature that cyclically and predictably marks transition period of design); and a conceptual architecture of never-present--unlike in-your-face shockitecture; it is a form un-present, streamlining the never-present self. A world with only other never-present people). The architecture of the present--it is the only form that could resolve the conflict between our necessarily present flesh and our never-present conscious selves. A form that engages irreproducible elements: irreproducible due to the specific nature of being present with the form to perceive it; a world that engages the life-world of the individual and does not simply serve as the utilitarian platform by which it acts. Case studies will document the people’s interaction, perhaps differences in action, in a variety of public places, including public buildings such as Gehry’s public buildings and Holl’s MIT house-en, and public spaces such as train stations, parks and sidewalks.

Zhongguo Jihad

Chinese Muslims and the Global War on Terror

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Since the tragic events of September 11th, the United States and President Bush have used their tremendous power within the world to implement a global "war on terror." China joined that "war" and has been attempting to gain support from the U.S. for their troubles with "terrorists" in the Xinjiang Uyghur Autonomous Region of Northwest China. The majority of Xinjiang is inhabited by Uyghurs. Since the greater part of Uyghurs are Muslims, China views appeals for basic human rights and more autonomy, the call for independence, and terrorist actions to all be motivated by Islamic fundamentalism. So how does the global 'war on terrorism' apply to Chinese Muslims? Does the term *jihad*, 'holy war,' apply to the inhabitants of Northwest China? What sort of relations exist between the Uyghurs and the militant Islamic fundamentalists in neighboring Central Asian countries? What is the importance of Xinjiang for the Chinese nation? Most importantly, what are some possible consequences of Chinese policy in Xinjiang? And what are some viable solutions to ease tensions in the region?

China has been able to use the 'war on terror' to its own benefit by applying pressure to separatists and dissidents in Xinjiang. China has used the label of the 'war on terror' to instill fear and put down any instability within the region. The term *jihad* does not seem to apply to the activities of the vast majority of Muslims in Xinjiang, who are calling for their basic human rights, access to resources and freedom to express their culture and religion. The mislabeling of Muslims as *terrorists,* or waging a *jihad* in Xinjiang, by the Chinese government is a strategic action for the justification of their repression and exploitation of this region, in order to provide vast natural resources for its booming industrialization, land for its growing population, and a position to remain influential in Central Asia. If China does not change its policy in Xinjiang, there is potential for even more bloodshed, which will be beneficial to no one.

Zhongguo Jihad

Chinese Muslims and the Global War on Terror

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Since the tragic events of September 11th, the United States and President Bush have used their tremendous power within the world to implement a global "war on terror." China joined that "war" and has been attempting to gain support from the U.S. for their troubles with "terrorists" in the Xinjiang Uyghur Autonomous Region of Northwest China. The majority of Xinjiang is inhabited by Uyghurs. Since the greater part of Uyghurs are Muslims, China views appeals for basic human rights and more autonomy, the call for independence, and terrorist actions to all be motivated by Islamic fundamentalism. This association has dramatic implications for anyone who does not agree with the government's current position in Xinjiang. China has been cracking down even harder on separatists in the region since September 11th. So how does the global 'war on terrorism' apply to Chinese Muslims? Does the term *jihad*, 'holy war,' apply to the inhabitants of Northwest China? What sort of relations exist between the Uyghurs and the militant Islamic fundamentalists in neighboring Central Asian countries? What is the importance of Xinjiang for the Chinese nation? Most importantly, what are some possible consequences of Chinese policy in Xinjiang? And what are some viable solutions to ease tensions in the region?

The Uyghurs in Xinjiang play an important role within international relations and inhabit an area vital to Chinese geopolitics. An analysis of the policies that have been applied to the Muslim national minorities in Xinjiang will show how the Chinese government treats their Muslim inhabitants. Terrorist activities express how some

Uyghurs deal with the Chinese government. But the majority of Uyghurs do not participate in terrorist activities or support these extreme methods for social movement.

Muslim minorities have benefited from policies, such as educational benefits, childbearing policies, and affirmative action, that have generally been advantageous compared to the Han majority. June Dreyer concludes that there are five basic reasons why China tries to keep their Muslim minorities content. The first is strategic: A majority of Muslims live on or near China's frontiers. These frontiers contain ethnic groups that are geographically divided from their larger ethnic community, as in the case of the Kazakhs in Xinjiang. Hostile foreign powers may wish to use their ethnic nationals within China's borders to cause problems for China. By keeping ethnic minorities happy, the likelihood of an uprising is kept minimal. Second, most of the areas inhabited by Muslims are sparsely populated and are attractive targets for resettling immigrants from China's overcrowded areas. A third reason is natural resources: Xinjiang has vast untapped oil and gas reserves and China's need for energy to fuel industrialization is growing rapidly. Fourth is for propaganda purposes: During the Maoist era, ethnic minorities were valued because they could demonstrate that Mao's form of socialism would work in other cultures with non-Han people. More recently, favorable treatment of Muslim minorities attracts the support of Muslim nations and investors. Today, Xinjiang is the last Muslim region under communist rule and is now bordered by five Muslim nations. With significant trade going on with Middle Eastern countries and major investment in China by foreign Muslims, China must maintain good relations with it's local Muslim population to preserve these ties. If China treats its Muslims well then these individuals and nations will have fewer problems supporting and

investing in China. Finally, tourism plays a significant role because it has become increasingly popular in China. Advertisers promote the "exotic" clothing, art, and locations of Muslim minorities in order to increase tourism and trade. China must take these factors into consideration when dealing with Muslims because while they consist of only a small portion of China's overall population they make up of almost 20 million people overall (Dreyer 358-9).

While these advantages have raised the standard of living in Xinjiang, unrest has been endemic for some time. Many of the reasons for the more recent turmoil are new in China's history. There are both external and internal features that have played a role in the developing separatist movements in the region. The massive unrestricted Han migration has increased the overall population of Xinjiang and caused Uyghurs to fear becoming a minority in their own autonomous region. Many Uyghurs perceive the new Han settlers as encroaching on their territory and resent that they have access to better jobs and opportunities. Unequal salary distribution between Han immigrants and indigenous people has caused many poor Uyghurs to resent their new neighbors. Many economic opportunities are shut off for numerous Uyghurs and access to resources are limited. The rise in HIV/AIDS infection rates in Xinjiang is becoming a serious issue with no solution in sight. There is also inequality in the educational system. Uyghurs can choose to attend Uyghur language schools but graduates are left with little opportunity in Chinese society, so Uyghurs are forced to go to Chinese language schools in order to get ahead in society. This alternative causes the collapse of traditional Uyghur culture (Gladney 2004, 395). Many Uyghurs view the overall situation in Xinjiang as a slow and subtle ethnogenocide. Their traditional culture, which is closely tied with Islam, is being

slowly destroyed. The demand for more basic rights, or a call for an independent "East Turkistan," seems to be a step in solving some of these problems for many Uyghurs.

There are several external factors that motivate Uyghurs as well. The collapse of the Soviet Union freed three Muslim countries, Kazakhstan, Kyrgyzstan, Tajikistan, from Communist rule, that are located on the Chinese border. The religious resurgence and ethnic nationalism emanating from these countries gave new hope to Uyghurs. Uyghurs living in exile also expressed the separatist call for a free "East Turkistan." These people have been trying to stir up anti-Chinese fervor and gain global support for their cause (Mackerras 300-2). Many of the exile leaders have made connections to Western political leaders but because Uyghurs lack a charismatic representative, like the Dalai Lama, they have failed to gain a significant following in the West.

The likelihood of an independent "East Turkistan" is doubtful, at best. "China's Uyghur separatists are small in number, poorly equipped, loosely linked and vastly outgunned by the People's Liberation Army and People's Police. Local support for separatist activities, particularly in Xinjiang and other border regions, is ambivalent and ambiguous at best…" (Gladney 2002, 269). Further, support for the movement is divided among Uyghurs themselves. There is division along religious lines, between competing Sufi traditions and also non-Sufi factions. Many Uyghurs have severe territorial allegiance, either based on oases or place of origin, which include linguistic discrepancies. Increasing economic inequality and political bonds divide many Uyghurs as well (Gladney 2003, 195). Competing understandings of what it means to be Uyghur inhibits large scale social movement form occurring. Dramatic changes would need to

take place in order for these problems to be overcome and the separatist's goals be achieved.

Separatist or terrorist activities have increased throughout the nineties, beginning with a series of uprisings and riots in Baren Township, Akto County in the Southern Tarim Basin. In April 1990, Chinese authorities crushed an uprising by Zahideen Yusuf, the leader of the movement who had stockpiled weapons and gained a following throughout Xinjiang. This uprising ended up taking the life of some thirty people, both Muslims protesters and police. In February 1997, the town of Gulja, authorities were informed of an independence rally that would take place at the end of Ramadan. On February 5th, riots broke out when police tried to detain these activists. Hundreds of people, mainly Uyghurs, were looting, damaging property and attacking Han Chinese. The police took control the next day after opening fire at the demonstrators and rioters, killing several people. Later that month, during a memorial service for Deng Xiaoping, three bombs exploded on Urumqi buses (Mackerras 291). On March 7th & 8th of that same year, two separate bombs exploded in the Beijing. But out of 140 reported "terrorist" incidents in China between 1990 and 2000, only 25 of them can definitively be linked with separatist or political causes, and only 17 of those are associated with Xinjiang and the Uyghurs. None of these activities has been credibly linked to any international Uyghur or Islamic organization (Gladney 2004, 380-2).

So with all this in mind, how does the global "war on terrorism" affect Uyghurs in Xinjiang? After September 11th, U.S. President Bush warned the world that they were either on the side of the U.S. or on the side of the terrorists. China decided they would align with the U.S. and fight in the "war on terror". In the summer of 2002, the United

States conceded to China's claim that the East Turkistan Islamic Movement was a worldwide terrorist organization and added them to a global terrorist watch list. But the U.S. has failed to return 22 Uyghurs that have been detained in Guantanomo Bay, Cuba, for their associations with the Taliban in Afghanistan. This seems to be motivated by a fear that China may react harshly to those that they see as "separatists, terrorists, or religious extremists." President George Bush has warned China about using the "war on terror" as an excuse to suppress activists, dissidents, or religious adherents (Lawrence 30). But he has done little to help the people of Xinjiang, who Amnesty International claim have suffered assaults on Uyghur culture resulting in serious human rights violations. According to AI, China has failed to distinguish between acts of violence and acts of passive resistance (Amnesty International, 156).

Many people who are being labeled separatists are not demanding their own state but are expressing concerns over the devastation of their local environment, nuclear testing, religious freedom, and the deterioration of their culture. But, "[a]ny action deemed by Beijing to be 'unpatriotic' is quickly interpreted as an attempt to split the country, which runs counter to Chinese efforts at reunification of it's entire geo-body" (Gladney 2004, 366). China has used the "war on terror" as a means to silence peaceful expressions of political and religious views.

The call for independence by Uyghurs is often linked with an international *jihad* movement that is being carried out by various Islamic organizations. China has claimed separatists are part of a "holy war" to establish a religious state in Xinjiang (McGregor 6). But is this an accurate understanding of what is happening today? *Jihad*'s original meaning is based on the Qu'ran, where God declares one must struggle, the literal

meaning of the word, on the straight path of Islam, which is exemplified by the Prophet Muhammad. When the Prophet returned from battle he announced that he had won the lesser *jihad* and was now confronted with the greater *jihad*. This delineates two separate meanings for the word. One is physical confrontation between Muslims and non-Muslims, either by defending Islamic lands or spreading the religion. The Prophet associated Islam with politics and society, attempting to implement God's will and create a religious state. *Jihad* also asserts that one will have to struggle with one's own ego and desires in order to submit to Allah. Taken together, these two understandings of Jihad "…summoned the people to strive and struggle (jihad) to reform their communities and to live a good life based on religious belief and not loyalty to their tribe" (Esposito 30). Presently, *jihad* is commonly understood as a "holy war" calling for a global Islamic revolution. Islam has come to be seen by many as a religion that values violence and fundamentalism. Militant movements as well as both resistance and liberation struggles have all waved the banner of *jihad* (Esposito 26-70). Today many people have been able to adopt and misrepresent Islam and the notion of *jihad* in order to endorse terrorism. These people seem to misunderstand the true meaning of *jihad* and do not embody an accurate representation of Islam. Often the adherents of terrorist groups are disenfranchised people with no outlet of expression and no social or political representation of their personal immediate concerns. Islam is a channel for these issues to be expressed and supplies rhetoric to address their specific needs as humans.

Based on this understanding of jihad, we can conclude that the majority of Uyghurs involved in separatist activities do not hold these beliefs. The major feature of the *jihad* is a call for an Islamic state, which is not applicable to most Uyghurs, who view

nationalism from a secular standpoint, based on a common understanding of history and ethnic identity. While most Uyghurs see Islam as an essential element of what it means to be a Uyghur, we cannot conclude that their motivation is simply religious. While Islam plays an integral part in most Uyghurs lives, most calls for a free "East Turkistan" are political rather than religious and are associated with the Uyghurs as a people and not as Muslims.

China is concerned that many Uyghurs are active in Islamic terrorist organizations in neighboring Central Asian countries. Since 1991, China has engaged in bilateral trade with and invested in the new Central Asian states. With the increasing influence and financial assets of militant Islamic groups throughout the region, China has established military and security pacts with their neighbors. So, what kind of relations do the Muslims of China have with the militant Islamic fundamentalists in neighboring Central Asian countries? China fears that groups, such as the Taliban, have been providing weapons and financial support to Uyghur separatists. In return for helping to secure the region, China hopes that the Central Asian states will suppress any Uyghur activists in their own countries, who may be trying to support an independent Xinjiang (Rashid 201-2). "The Central Asian states obliged China by shutting down Uighur publications and offices, arresting Uighurs who criticize Chinese policies, and keeping their borders with China open for trade whilst guarding against the export of arms, propaganda, or funds for Uighur separatists in Xinjiang" (Rashid, 202). In an official white paper released by the government on January 21 of 2002, China stated that Muslim separatists have been trained and financed by Osama bin Laden. This claim is an attempt to link troubles in Xinjiang with global terrorism. China argues that "double standards" in the "war on

terror" by not dealing with separatists will have potentially harmful outcomes for other nations. While U.S. conformation of the role of Uyghurs in the global terrorist networks has been ambiguous, China has been able to step up their harsh treatment of them due to their joining the "war on terror" (McGregor 6).

The potential consequences for Xinjiang are varied and depend heavily on the role that the state takes over the next few years. The Uyghurs seem divided as well and will have a significant role in deciding what will occur in Xinjiang in the future. Many have achieved economic prosperity and are much better off than they were before Communist control. They have gained many benefits that are due to state development and rapid industrialization. On the other hand, many Uyghurs feel that their culture is deteriorating and have demanded more autonomy. So,

> "…the Chinese are caught in a dilemma: when they suppress Islam, most Uyghurs feel oppressed and opposed the government; when they allow or encourage it, Uyghurs become more content with the government but their strengthened Islamic practice leads them to feel more separate from and apathetic to Chinese society" (Rudelson 48).

The creation of several ethnic designations for the various peoples of Central Asia by the Soviet Union early in the twentieth century, and later by the Chinese Communist Party, was due to the desire to discourage a pan-Turkic movement. This is because "[i]n the multi-ethnic world of China, the states panoptic power is improved if those under observation and control are divided into certain cells or accepted categories of ethnicity and tradition. However, after delineating the cells, the state cannot guarantee that the created communities within do not take on lives of their own" (Gladney 1991, 312). This is what is happening with the Uyghurs. Now that they see themselves as their own people they have called for unity and ultimately their own nation. When the Uyghurs

were willing to exist quietly on the margins of Chinese society their deviation from the Communist state was seen as tolerable. But now that they have unified and made a bid for broader public sympathy, they have been seen as a national threat and prompted official consequences.

Before this confrontation gets out of hand there are possible solutions that could ease tensions in Xinjiang. Professor Dru Gladney proposes several resolutions for a peaceful outcome to the conflict in Xinjiang, which would benefit its indigenous people and strengthen the nation. First, China can award dividends from wealth derived from local resources to second or third generation residents of Xinjiang, in accord with Article 2 of the International Covenant of Economic, Social, and Cultural Rights that China ratified in 2001. Article 2 maintains that "All people may, for their own ends, freely dispose of their natural wealth and resources without prejudice to any obligations arising out of the international economic cooperation, based upon the principal of mutual benefit, and international law. In no case may a people be deprived of its own means of subsistence" (Gladney 2002, 268). This may relieve some of the tensions between locals and Han immigrants who are thought to be benefiting the most from governmental development in the region. China must also allow Xinjiang's inhabitants to express their views on development, tourism, and trade, in a democratic and official manner. Allowing elected indigenous officials to represent the local people would provide an outlet for expression by a representative who would understand regional concerns. As of now the CCP is the real authority in the region and it represents of the Han hegemony. China should implement laws giving indigenous peoples the ability to address issues pertaining to land and environmental rights. The special opportunities that are given to

national minorities don't give any special privileges to people who are native to a locality. Under the present system, all minorities are treated the same, regardless of the location where they presently reside. This would allow natives to have more input in decision making than other minorities who have migrated to Xinjiang. Finally, China should give Xinjiang more autonomy in their governance and controlling its natural resources. If no compromise is made and China continues to suppress any form of dissent, the Uyghur Muslims may grow increasingly frustrated with their government and seek alternate methods of negotiation that may include more extreme actions (Gladney 2002, 270).

Ultimately, the Uyghur Muslims of China have a critical role in Chinese foreign policy and global relations. The Northwest region of Xinjiang is of the utmost importance to the Chinese government. It is bordered by Russia, Kazakhstan, Kyrgyzstan, Tajikistan, Afghanistan, Pakistan, and India, and thus plays a vital role in China's Central Asia policy. Furthermore, China's treatment of their Muslims has directly affected their relations with Islamic nations and powerful Muslim investors. By joining the 'war on terrorism,' China has joined forces with the West and eased some of its insecure relations with the United States. China has been able to use the 'war on terror' to its own benefit by applying pressure to separatists and dissidents in Xinjiang. China has used the label of the 'war on terror' to instill fear and put down any instability within the region. The term *jihad* does not seem to apply to the activities of the vast majority of Muslims in Xinjiang, who are calling for their basic human rights, access to resources and freedom to express their culture and religion. The mislabeling of Muslims as *terrorists,* or waging a *jihad* in Xinjiang, by the Chinese government is a strategic

action for the justification of their repression and exploitation of this region, in order to provide vast natural resources for its booming industrialization, land for its growing population, and a position to remain influential in Central Asia. If China does not change its policy in Xinjiang, there is potential for even more bloodshed, which will be beneficial to no one.

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Running head: Linguistic Pedagogy

Linguistic Pedagogy: History, Disciplinarity, and Academic Paradigms

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Abstract

In the United States, linguistics has evolved over the last four decades from the descriptive analysis of human language to a highly theoretical and mentalistic study of language use, development, and variation in context. With a primary focus on theory and research, the discipline has rarely formally considered the teaching of its own subject matter. This paper critically historicizes the work on linguistics education from the mid 1920s through the present. I classify the linguistics education literature and related disciplinary work such as symposia and conferences into three thematic and chronological periods and discuss the issues that surface from this analytical review. The periods of work on teaching in linguistics follow disciplinary changes, revealing an ideological connection between attitudes towards research and theory and a general disregard for the significance of linguistic pedagogy. Thus, I argue that three key matters surround the status of teaching in linguistics, the research/teaching hierarchy in scientific, academic paradigms, the disciplinary status of linguistics as a science, and the lack of a consistent disciplinary forum for discussing linguistics education. Pedagogy's standing in linguistics is, therefore, illustrated by the institutional and disciplinary contexts that set up the teaching/research paradigm. The overall goal of this paper is to highlight the importance of teaching in linguistics in a discipline where language theory and research reign supreme.

Linguistic Pedagogy: History, Disciplinarity, and Academic Paradigms

If education must not only provide for the reproduction of skills, but also for their progress, then it follows that the transmission of knowledge should not be limited to the transmission of information, but should include training in all of the procedures that can increase one's ability to connect the fields jealously guarded from one another by the traditional organization of knowledge. Lyotard (1979/1984: 52)

Linguistics as a field resides in various academic locales, including anthropology, audiology, computer science, education, English studies, foreign languages and literatures, psychology, security and information technology, second language studies, sociology, and speech pathology, in addition to being situated as a separate department in some research universities. The dappled nature of linguistics' disciplinarity, as well as its concentration on research and theory, assigns pedagogy a secondary role by default and leaves open questions concerning linguistic education. Scholars such as Boyer (1990), Glassick, Huber, & Maeroff (1997), Kreber & Cranton (2000), and Menges & Weimer (1996), successfully argue for the reconsideration of pedagogical scholarship's significance, as well as its definition and methods for achieving effective assessment; yet such work must have a venue for publication in order to be considered.

Presently, no reliable forum for dialogue about or research in teaching in linguistics exists within academe, a problematic gap for the discipline both politically and pedagogically. While linguistics education continues to be a central academic component of the field in every higher education setting, practitioners and teachers have no consistent formal mechanism by which to

share and disseminate ideas of classroom research and practice. Thus, to review the history of teaching in linguistics is to place past and current ideas and practice within a paradigmatic context. This review article provides an historical account of teaching in linguistics and discusses the issues relevant to linguistic pedagogy as they arise from the literature. The purpose of this research is twofold: (1) to provide an opportunity for greater understanding of linguistics education in the U.S. so that the discipline and its members gain an in depth perspective on past practice and future directions in linguistics pedagogy, and (2) to argue for a greater awareness of linguistic pedagogy within the discipline so that a forum for linguistics teachers might be realized.

This review of literature is arranged chronologically into three periods[1] and represents key sources on the subject of U.S. linguistics education ranging in time from the mid 1920s to the present. The topics related to the focus of this article include work on using linguistics to inform various subjects such as writing, grammar, and foreign languages, [2] teaching linguistics to undergraduate non-majors, disciplinary controversies involving linguistics and English studies, the status of linguistics as a science, curricular issues of linguistics in teacher training, and the application of technology to linguistics education.

The research on teaching in linguistics is a complex narrative, with the history of linguistic theory playing a role in the relative importance of and disciplinary attention to linguistic pedagogy.[3] During the period that Saussurean- and then, later, Bloomfieldian-inspired structuralism centered on a descriptive, taxonomic approach to explaining speech versus language (Culler, 1986; Matthews, 2001; Saussure, 1986; Seuren, 1998), early work on teaching in linguistics concentrated mainly on how linguistics could be applied to literacy and writing instruction. In the decade following the 1957 publication of Chomsky's *Syntactic Structures*, a

revolution in linguistic thought occurred, and in its generative grammar fervor, the discipline refocused on highly theoretical issues such as universal grammar and language innateness (R. A. Harris, 1993). Simultaneously, and perhaps, expectedly, from the late 1960's through the early 1990s, linguistics education received only sporadic attention in smaller venues, with the important exception of the landmark periodical *Innovations in Linguistics Education* (Dinnsen, 1979-1991), a journal that ceased publication in its infancy.

In recent years, a few scholars have taken up the charge of discussing teaching in linguistics again, raising hopes that a forum for ideas and research in linguistic pedagogy can be created and maintained. Thus, in reviewing the work on teaching in linguistics, three main periods surface, Early Linguistics Teaching: Linguistics Education as Controversy, The Middle Years: Teaching in Linguistics and the Role of *Innovations in Linguistics Education,* and Current Approaches to Linguistic Pedagogy.

Three Periods of Linguistics Education Literature

Early Linguistics Teaching: Linguistics Education as Controversy

A fitting place to begin the discussion of American teaching in linguistics is the discipline's own initiation in the United States. Language scholars conducted research and published their work in the U.S. and abroad for at least a generation before a formalized linguistics society was formed in the mid 1920s. Bloomfield (1925) presents a manifesto for linguistics in the premier issue of *Language*, which was published after the first meeting of the Linguistic Society of America (LSA) in 1924.[4] In responding to his title "Why a Linguistic Society?" the author defines linguistics as a science quintessentially by its methods of observation and compares it to the likes of natural and social sciences. After citing the ignorance of educators and laymen alike about linguistics, Bloomfield (1925) argues:

> Not only for the furtherance of our science, but also the needs of society, make it the duty of students of language to work together systematically and with that sence [*sic*] of craftsmanship and of obligation which is called professional consciousness. For this they need a Linguistic society. (p. 5)

While the newly formed LSA and *Language* were interested in proving linguistics' status as a science to the rest of academe, the first discussions of 20th century linguistics education focused on the controversy of linguistics and its application to the interests of English departments such as the teaching of writing and grammar. Predictably, *College English* appeared as an initial forum in which these ideas were discussed by the scholars of the day.

The earliest mention of modern grammar education in the U.S. is McKinlay (1926), a current-traditional diatribe against change in which the author laments the loss of our linguistic heritage (i.e., Latin), lambastes "ignorant pedagogues, " and "backsliding, cultural apostates," forgives "the unthinking proletariat," and hopes that "language teachers treasure the trust that has been placed in their keeping" (p. 256). Contrarily, two decades later Pyles (1949) presents a decidedly proto-sociolinguistic argument and bemoans the lack of effect in teaching prescriptive grammar, explaining,

> It is obvious to the objective student of language that the English language taught in the classroom is frequently not the same as that observed in the writings of masters of English prose and poetry and the speech of well-bred, cultivated people. (p. 389)

A self-professed descriptivist, Ives (1955) identifies linguistics as a "controversy" (p. 165) but argues that there is no reason for a rift to exist between linguists and composition teachers, calling the study of the forms of language a science and the proper and effective use of language an art. Forecasting the state of most current undergraduate English curricula, Simonini

(1958) argues that linguistics should be required in an undergraduate English (literature) program, referring to four fields of interest to English scholars, historical, comparative, general/descriptive, and structural linguistics.

Guyer (1958) details six linguistic and semantic points that aid in the teaching of freshman composition. He explains in typical structuralist fashion, "the English teacher had better avoid the role of censor and serve instead as expert reporter and provider of plenty of practice of the real language of men in the real world of affairs as reported by his fellow professional, the linguist" (p. 311).

Commenting on the trend noted by his colleagues, Roberts (1960) reflects on the growing conflict between traditionalists and neo-compositionists who were trying to adopt linguistics as a solution for teaching language skills to unskilled writers saying,

> From one side we gather that linguistics is about to clear away all the problems of teaching English, to show us delightfully simple ways of bestowing literacy on the illiterate; from the other it is disclosed that linguists are satanically in alliance with progressive educationists bent on the destruction of humanism and the corruption of youth. Whichever side you are on, it is perfectly clear to you that holders of opposing views are willful idiots and venal to boot. (p. 1)

Rebutting Roberts (1960) claims and feeling that the relevance of linguistics to English studies should be considered, Tibbets (1961) claims that linguistics is "declining" (p. 516) and that his colleague is wrong about linguistics being a science since language cannot be experimented on. His last point proves to be an opinion that forecasts a decades long and still current battle over linguistics' status as a science. Roberts (1963) continues the discussion of linguistics' application to teaching English, this time to writing instruction.

Once the generative grammar revolution was fully ensconced through Chomsky's 1965 *Aspects of the Theory of Syntax*,[5] the debate over linguistics' application to the teaching of writing was fueled with the fire of generative syntactic theory's potential for explaining and solving problems of literacy and learning.[6] *College English* devoted an entire issue to this debate. Marckwardt (1965) notes in his Introduction to this volume that a shift in the Humanities has made a formerly "unified profession" fragmented and cites the new focus for linguistics as "devoid of literary or humanistic interest," the result being that "linguistic and literary scholars are no longer able to communicate easily with one another" (p. 249). Hoping to illustrate the connections between linguistics and English studies, Marckwardt summarizes important new developments in linguistics, including the use of computers in lexicography, groundbreaking work in sociolinguistics, and the study of English as a second or foreign language.

Chomsky (1966), in an unusual *College English* appearance, adds to this controversy by reporting his ideas on the state of current thought in linguistics.[7] In an exposition of Cartesian linguistics, he historicizes the synthesis of universal grammar and descriptive linguistics, details the relevance of universal grammar and rule-governed creativity to "the larger issues that determine the directions in which the study of language should develop" (p. 589), and responds merely in closing to two issues of concern to English teachers, "the problem of which grammar to teach and the problem why grammar should be taught at all" (p. 593). In sum, he advocates teaching generative grammar over descriptive grammar since, in his view, the former is the whole and the latter is the part, and says that teaching grammar only as a closed system is limiting for learners. Notably, Chomsky foregoes discussing the practicality of applying linguistics to the teaching of writing, or the benefits of linguistic theory in explaining or solving problems of literacy.

In retrospect, of course, his lack of comment speaks volumes since linguists have never been interested in having generative grammar or any theoretical advancements applied to such contexts; that impetus comes from educators and writing teachers who are looking for answers to their students' problems. Linguists, like experts in any field, tend to bridle at the intimation that their research is significant only in its ability to serve another field or a practical end such as literacy problems or foreign language learning. Still, their bristling does not prevent or limit the possibilities for those linguists and practitioners whose interests are in such educational areas from seeking to apply advances in language study. In a follow-up article one year later, Wardaugh (1967) runs interference and refines several potentially misleading points made by Chomsky (1966). He rejects the implications that Cartesian linguistics is a universal philosophy known to all and that "transformational grammarians alone know where the real action is" (p. 467).

At about the same time, in the first book-length treatment of linguistics education, Postman & Weingartner (1966) discuss the application of linguistics' scientific methods to teaching grammar, writing, reading, and other English subjects through what they term "discovery" teaching and learning. They define linguistics, not by its theories or focus, but by its actions and processes, claiming, "it is a way of behaving while one attempts to discover information and to acquire knowledge about language" (p. 4). Further, they argue linguistics can contribute to improving language and learning behavior, not by explaining the inner-workings of grammar and its relevance to literacy problems, but by its pedagogical approach of using the "scientific processes of inquiry" (p. 29). Shane (1967) reflects similar ideas in his treatment of teaching native English literacy via linguistics, as does Harsh (1968) in his combination edited and authored collection of several au courant articles touting the relevance of applying linguistics

to teaching all levels of primary and secondary learners. Likewise, Essen & Koopmans-van Beinum (1969) discuss the inquiry methods of phonetics as a contribution to linguistic pedagogy.

At the close of the 1960s, Josephson (1969) optimistically echoes these sentiments in his discussion of the impact of the revolution in linguistics on educators throughout North America. Touting the significance of this "new science," he argues that linguistics' educational significance is due to its scientific approach and compatibility to discovery methods of teaching whereby students are encouraged "to assume the role of inquirer, to make their own observations, to classify, to generalize, to revise" (p. 377). Foreshadowing the ideas of scholars three decades later, Postman & Weingartner (1966) and Josephson (1969) advocate a connected and student-centered approach to learning, albeit "scientific," where learners are asked to investigate their own speech communities inductively and forward their own hypotheses about what they observe.

The Middle Years: Teaching in Linguistics and the Role of Innovations in Linguistics Education

While no unanimity has ever been reached in the discipline regarding linguistic theory, once the debate over any linguistic theory's application to the teaching of writing, grammar, and reading subsided, work on teaching in linguistics and its relevance to other areas began to appear. Echoing a trend noted by scholars towards the end of the early period, Fraser (1972) comments on the lack of communication between linguists and educators. He discusses the importance of including linguistics in teacher training, noting the need for teachers' understanding of nonstandard versus standard varieties of English, social processes of language prestige codification, and relevance of linguistics to educational policy. Dabene (1978) reiterates these sentiments a few years later in his discussion of the problems involved in teaching introductory linguistics to teachers of French as a native language.

An important venue for discussing linguistics teaching in the 1970s was The Georgetown University Round Table, or GURT. [8] As an early advocate of applied linguistics and the obvious connections of language study to teaching, GURT provided a forum in which those working in the language field, especially traditional language teachers and "scientific" linguists could discuss problems of mutual interest.

In particular, Dinneen (1974) centers on matters related to linguistic pedagogy. All of the articles in this volume are instructive, but a few prove particularly important, especially those focusing on introductory texts and beginner-level courses. As a textbook author and linguist, Fromkin (1974) explains the long-term educational significance of introductory linguistics textbooks and teaching,

> If our lectures and our textbooks are unclear, ambiguous, dull, or confusing we still receive our paychecks and our royalties. Our failure is less tangible than is the student's GPA (grade point average). But our failure may in the long run effect [*sic*] a student's academic career, his view of the world, and his future life. (p. 1)

She also argues that, since linguistics has much to offer other disciplines and those merely curious about language, introductory classes and textbooks should not be directed solely at the student linguist but to a general student population. In a move towards the discovery teaching advocated by Postman & Weingartner (1966) and Josephson (1969), Fromkin says, "textbooks should help students 'do linguistics' rather than merely tell them how others do it" (p. 9).

Gleason (1974) discusses the success of his own classic 1956 textbook, *An Introduction to Descriptive Linguistics*. Explaining that it was successful for being written and revised with student input, for having students do linguistics rather than read about it, and for attending to practical learning matters such as understandable vocabulary and interdisciplinary applications,

Gleason then discusses the difficulties he encountered revising the book in light of the theoretical debates of the time. Langacker (1974) discusses his views on the similarities and non-similarities of doing and writing about linguistics, based on his experience of writing two descriptivist textbooks. Commenting on the connection between the discipline of linguistics and its introductory texts he says,

> Just as linguistic theories are constrained empirically by the requirement that they correctly describe the mental reality of language, so textbooks are constrained empirically by the requirement that they reflect with some minimal degree of fidelity the ideal textbook to be found somewhere in the mental reality (?) [*sic*] of linguists' minds. (pp. 26-27)

Finally, Robins (1974) takes on the issue of how linguists envisage the task of teaching. In posing the question of whether linguists should be teaching students to operate and apply linguistic methods or teaching them about the fundamentals of language, he says both are necessary and advocates that students should study with three types of textbooks, the practical manual, the single theory text, and the theory survey.

The dialogue over curricular issues in introductory linguistics extended overseas. In a presidential address to the Linguistic Society of Europe, Robins (1976) considers the questions of what linguists ought to teach students and how the information should be presented to them. In discussing the transformational and descriptivist theory rivalry, he says:

> As teachers, if we are to do our duty to our subject, we must try, not just to train our students in that version of linguistic theory and descriptive procedure that appeals most to us, but to make our students work through, understand, and relive the controversies, the

> debates, and the tensions that have existed between the classical 'BLOOMFIELDians' and their successors . . . . (p. 7)

Robins' address makes clear that, to him, linguists' duty is to their field first and foremost; students' learning is secondary. Also, he specifies the embodiment of good classroom practice, to him, "good teaching of linguistics must rest on good teaching of phonetics" (p. 10). The reason for phonetics' importance to Robins is a taxonomic argument on the primacy of speech that originated with Saussure, "we cannot expect our students to understand the working and evolution of language if they do not firmly control the phonetic bases of speech" (p. 10).

In one of the first key pieces written concentrating on linguistics education for non-majors, Shopen (1978) updates an opinion offered first by Simonini (1958), that introductory linguistics should be required as part of an undergraduate English curriculum. He argues that for the student taking introductory linguistics, the curriculum should be a "philosophical" program as opposed to a professional one. Mundell (1978) agrees with Shopen and returns to the problem of tension between linguistics and English studies discussed in the 1950s and 60s. Hoping for a resolution to the conflict, the author advocates an exoteric service program for linguistics dedicated to serving the public good and argues that linguists should re-evaluate their priorities, while literature and writing professors should adopt a more accepting attitude toward the benefit of linguistics to a general education.

Smitherman (1979) discusses the political implications of educational linguistics, specifically invoking then recent advances in sociolinguistics and "black" linguistics for the time. Coining a new adjective to describe the contemporary crisis of Ebonics and the problems with compensatory education for black and disadvantaged children, she says "demuthaplorafushutrocious" appropriately expresses the deplorable "dominance of traditional

theories of pedagogy and conceptualizations of language that have not met the linguistic and educational needs of black students" (p. 203). To respond to this crisis, Smitherman advocates a holistic theory of language incorporating the voices of both educators and linguists. She concludes by remarking that teacher training needs to account for such an approach, "*Anybody* teaching First World students must have training in the language and culture of black people" (p. 209) and, later, that "research and pedagogy for First World students would ultimately be beneficial to *all* students. *Everybody* needs communicative competence" (p. 210).

In 1979 *Innovations in Linguistics Education* (*ILE*) began publication. This key journal was the first and only academic periodical to date dedicated to serving the needs of linguistics teachers by providing articles and reviews of lesson plans for a myriad of linguistics courses, including introductory ones. According to Dinnsen (1979-1991), the journal's goal was to present "a forum for linguistics faculty and advanced graduate students to exchange ideas and materials on linguistics courses." Its specific objectives were "(1) to stimulate the development of other courses that address specific problems primarily in other disciplines or areas where there may be some benefit from linguistic theory, methodology, or findings . . . (2) to promote faculty development in these new teaching areas," and "(3) to vitalize more conventional linguistics courses through the exchange of new data-based problems in phonology, syntax, and historical/comparative linguistics" (title page, np.). The journal's original stated organization plan included three sections, Innovative Courses, Data-Based Problems, and Reviews, Remarks, and Replies. This organizing principle held for early issues, but beginning with Volume 2.1 published in 1981, the arrangement or focus in later volumes was altered by including conference proceedings, monographs on special topics, and related articles.

A number of important articles on teaching in linguistics were published in *ILE*, but a few stand out as particularly innovative in contributing new ideas or issues to the discussion. Moravcsik (1981) focuses on increasing the degree of enthusiasm with which introductory linguistics students complete the course. In particular, she details simple examples of explanations that illustrate the everyday use of linguistic knowledge. Similarly, Raskin (1981) presents a detailed discussion of linguistics problems appropriate for both introductory undergraduate and advanced graduate students that simulate research by illustrating various principles and methods of linguistic analysis.

Starting in 1982, a series of articles in *ILE* discussed the use of data processing and related technology in teaching linguistics, forecasting the personal computer revolution that subsequently occurred in and outside of academia. Becker (1982) discusses using BASIC to teach beginning phonology, and Jensen (1983) details teaching an introductory computational linguistics course concentrating on the syntactically based Natural Language Processing program. As illustrated throughout the rest of the linguistics education literature, the use of computers and technology continues to be an important issue in linguistic pedagogy today.

The highpoint of *ILE* came with publication of Volume 3.1 in May 1983, guest-edited by Aronoff & Sridhar. This issue resulted from a symposium on 'The Teaching of Linguistics' held at SUNY, Stony Brook in 1981. A total of thirteen articles ranging from teaching introductory linguistics to gendered speech to field methods were included. Of special interest to this research is Ellison (1983) in which the author explains her methods for dealing with students with limited academic training and experience, rigid values and narrow expectations upon entering her introductory class. She gives examples of lessons based on popular culture and current events for studying phonology, morphology and syntax, all with a focus on doing linguistics rather than

reading about it. Freeman (1983) argues that teaching linguistics in an interdisciplinary curriculum creates both benefits and drawbacks for teachers and students alike. After teaching for several years and changing her pedagogy to fit her undergraduate students' needs, she says of the process, " . . . The most difficult barrier we have to overcome is the students' overwhelmingly stubborn resistance to the challenges and responsibilities of thinking for themselves. They'd much rather we, or our textbooks, did it for them" (p. 68).

Levin (1983) also presents a discussion of teaching linguistics to introductory students, and her focus is on making the class attractive to non-majors by omitting some highly theoretical topics and incorporating others which are less central to the discipline's concerns. She advocates minimizing formalism, defining by example, directing students in fieldwork projects, and selecting subject areas of interest to the general student population such as dialects, child or second language acquisition, and gender differences in language.

A final *ILE* article of interest comes years later in Lee (1991), perhaps the ultimate example of how ideas about teaching linguistics can sometimes have questionable pedagogical value. Describing an introductory linguistics course from the University of Hawaii at Manoa, the author explains how her program developed and utilized a "unit mastery" approach to facilitating the course whereby lecture notes and assignments were distributed in advance and students completed the class as an independent study. The main benefit of the approach summarized by Lee seems purely administrative: lectures and class time were eliminated altogether, students took exams in a testing center, and more students were accommodated. Fortunately for learners and practitioners, this approach is uncharacteristic of the other work on and attitudes towards teaching in linguistics.

Unfortunately, *Innovations in Linguistics Education* failed to make it past Volume 5.2, publishing only a total of 10 issues, regularly at first and then more sporadically later on. The journal ceased publication in 1991. Curiously, neither Dinnsen (personal communication, December 8, 2003 & February 26, 2004) nor Sridhar (personal communication, March 12, 2004), an *ILE* guest editor, indicates the reason for the journal's end. Sridhar's co-editor Aronoff speculates that the journal failed for lack of disciplinary interest, saying "In 1983, most linguists thought that being interested in education was pretty bizarre, and I don't think things got any better by 1991" (personal communication, June 4, 2004). However brief its existence, *ILE* remains an important chapter and a valuable disciplinary influence in linguistics education.

During *ILE* 's publication from 1979-1991, scholars in other locations were also lending their voices to the linguistic pedagogy work, some in rather rare books and periodicals. Traugott & Pratt (1980) present an early book-length study of linguistics and literature appropriate for the English major. Hughes (1980) returns to the disciplinary fallout over the linguistics' wars and wonders what effect the infighting has had on advances in language study. In discussing three divisions of language and two responsibilities of language teachers, he echoes Smitherman's sentiments about the role of linguistics in teacher training and argues that studying linguistics promotes enhanced language awareness, and therefore, improved teaching. Kaplan (1980) makes similar arguments with reference to teaching grammar to various non-linguistics majors.

Pincas (1980) discusses the problem of teaching the specialized terminology of linguistics, saying that students are resistant to using the linguistic register and need special and sympathetic assistance in order to overcome their hesitation. Redden (1982) picks up on the concept and importance of students doing linguistics embraced by Fromkin (1974), Ellison (1983), and Levin (1983). He discusses one particular type of linguistics education pertinent to

language teachers and linguists alike, field linguistics. Stating that classroom teachers, language learners, and linguists participate in applied linguistics, he makes a case for the regular inclusion of such elicitation-based research in their training:

> Not only must we adjust our theories to the actual problems that must be faced when analyzing, describing, and teaching languages, but we must also give our students the practical experience of learning to hear the details of what native speakers of languages really say, and also give them the tools to devise on-the-spot help for their students. . . . An effective teacher has to have learned how to listen to what his/her students really say and to devise instant solutions to the students' problems. (p. 22)

While always being able to provide an instant solution to students' problems seems an unreachable goal for instructors, the practicality of teachers learning fieldwork methods is still viable today.

Carter (1982) presents a book-length, edited collection of works covering various aspects of linguistics and education, including teacher training, applications to children's writing and reading, spoken language in school, and curricular issues of modern English study and sociolinguistically integrated English lessons. In addressing several questions related to the purpose of linguistics in education, the editor hopes to lay a theoretical foundation for other scholars to build upon.

Continuing the discussion of using technology in the linguistics classroom begun by Becker (1982) and others, Paillet (1984) presents an interview with the professor who discusses using computers in linguistics education at Carleton University. While describing the use of LOGO, LISP and other computer languages for natural language processing, Paillet ultimately admits that, in his opinion, while students get "nothing special" (p. 15) from their work with

computer languages that they could not get elsewhere, they do benefit from the interactive learning environment.

Correspondingly, three later *ILE* articles present applications of technology to linguistics education. Smith (1987) discusses using LEXISTAT, a Pascal program for creating lexico-statistical exercises that the authors uses in anthropological and historical linguistics courses, and Hammond & Norris (1991) summarize the benefits of using interactive computer programs in teaching a phonetics practicum in which students learn about the auditory, articulatory, and acoustic bases of speech. In a response to Levin (1983) and her ideas of playing down formalism, Sobin (1991) provides an alternative approach to teaching non-majors, one that uses computation and the artificial intelligence programming language Prolog. Comparable discussions of using technology in teaching linguistics also appear in Bakker, Korst & Schaaik (1988) and Klavans & Chodorow (1991).

Austerlitz (1987) revisits the teaching of phonetics, a topic initially discussed by Essen & Koopmans-van Beinum (1969). He questions if [his own?] students' hostility towards linguistics is due to the textbooks they were forced to read and presents twelve points based on his teaching experience that attempt to make articulatory phonetics more interesting to students.

Comrie (1988) continues the discussion of field linguistics begun earlier by Fromkin (1974), Pincas (1980) and others and summarizes recent challenges to the work of the Summer Institute of Linguistics, including a preoccupation with theory and the resulting neglect of traditional fieldwork. He argues that such research must take into account both theoretical and descriptive concerns. In terms of teaching linguistics, then, this means that teachers should be trained in both areas during their education.

In a contemporary return to how English studies were taught before linguistics became a discipline separate from the humanities, Doty (1989) presents an insightful literary approach to teaching linguistic principles that echoes the ideas of Traugott & Pratt (1980). The author describes using science fiction novels such as Orwell's *1984*, Huxley's *Brave New World*, Elgin's *Native Tongue*, or Tolkien's *The Lord of the Rings* in her introductory linguistics classes. She uses examples from other works of fiction such as Hoban's *Riddley Walker*, Twain's *The Adventures of Huckleberry Finn*, or Hurston's *Their Eyes Were Watching God* to illustrate phonological and morphological principles. In contextualizing issues such as these, as well as language acquisition, the Sapir-Whorf hypothesis, or the English Only movement, Doty explains that the novels give students an opportunity to see language study as stimulating instead of dull and tedious. Further, she says:

> . . . Through literature, students grasp concepts eagerly and they begin to see how ideas about language and aspects of language that they initially thought esoteric and perhaps irrelevant do indeed connect to the world, to their lives, and to the creative work of writers. (p. 46)

Doty's student-centered agenda in teaching linguistics presents an effective and accessible way to interest students in language study without having to rely solely on standard introductory textbooks. Her ideas are particularly applicable to the beginning linguistics course offered in an English department.

At the end of the middle period of research on linguistics education, Lapoint (1990) discusses teaching introductory linguistics from an anthropological perspective. The author identifies the main objective of such a course as examining the relationship of language in its social and cultural environment and discusses three areas of inquiry that contribute to this aim,

ethnosemantics, social constraints on language, and language and thought. Lapoint's ideas follow earlier arguments for making linguistics courses culturally based and relevant to students' lives.

Current Approaches to Linguistic Pedagogy

Once *Innovations in Linguistics Education* ceased publication in 1991, a central forum for linguistic pedagogy was lost, and a small number of articles appear sporadically in various academic settings. For the first time since the beginning of work on linguistics education in the 1920s, a few select articles are published in highly prestigious journals, but most suffer the fate of their predecessors and turn up in respectable, but less visible, places. Some issues from previous years of work continue to be relevant in the modern period, namely, linguistics as part of teacher preparation and the use of technology in the classroom or for enhanced learning.

What mainly characterizes these contemporary sources from the earlier work is their historical sense of issues in linguistics teaching, a more informed and self-conscious sense of student-centered teaching, and a greater awareness for attention to students' learning styles, practical needs, and classroom expectations. Another interesting difference in this period of literature is that scholars cite student recruitment into linguistics as a viable reason to place greater stress on effective teaching at the introductory level. Up to this point, it seems that students who found their way into linguistics as a major did so without a choreographed or concerted effort on the part of the discipline to engage them.[9]

The current period of linguistics education began with a look back in time. In a special issue of *Studies in the Linguistics Sciences* entitled "Twenty-Five Years of Linguistic Research and Teaching at the University of Illinois at Urbana-Champaign," Kachru (1992) traces the origins and development of linguistics departments and programs as they began in the Midwest during the 1960s and 1970s. He deals with teaching in linguistics on a more general scale as the

topic applies to the formation and growth of these educational and research divisions at various universities. Moreover, Kachru uses the terms 'teaching' in relation to advanced linguistics education with a definite predisposition towards training graduate student linguists via an apprentice model, with the exception of discussing applied linguistics and foreign or second language learning and teacher training. Related to the teaching of graduate students, the author discusses a noteworthy insight, that of the connection between a program's given theoretical focus and the resulting curriculum. He warns against two possibilities, one in which a theoretical focus is overly defined to the point of the curriculum being monolithic, or a second in which the research focus is ill defined to the point of having no research or teaching agenda at all.

Partington (1992) is the first to address the issue of diversity in linguistics education and discusses problems of teaching the linguistics of a language to students who are learning that language as a foreign or second tongue. According to the author, difficulties that may affect the students' learning experience include non-native speaker competence and a resulting lack of intuitive ability for processing linguistics examples, fossilization of the second or foreign language, and over application of linguistic examples as acquisition input. To address students' needs, the author recommends informing the learners that their L2 proficiency may not be improved by studying the linguistics of that language, addressing directly the similarities and differences between the L1 and L2, and using familiar material to the students.

K. A. Harris (1993) continues the discussion of student diversity in linguistics courses. Focusing specifically on the multicultural and learning style context of introductory linguistics students, she considers the advice of past authors such as Ellison (1983) and Levin (1983) who advocate working from the students' own experiences and knowledge of language to make the course more motivating and worthwhile. She employs the participation of ESL students as

conversation partners in a collaborative activity. In doing so, K. A. Harris says, "this strategy makes the discovery a hands-on, concrete experience that will work for students with various learning styles" (p. 24). Further, she concludes with an eye towards critical, democratic pedagogy, "this activity serves to engage all students in the study of linguistics by giving them partial ownership and a personal investment in the material that they are studying" (p. 28).

Nyikos (1994) returns to the issue of foreign language teacher education and its need for a linguistic curricular component. Commenting on the current state of teacher training, she says:

> Presently it is possible for future teachers of foreign languages at the high school or college level to complete their studies and enter the teaching profession without having learned many of the most rudimentary and significant facts about human language (such as an estimate of their approximate number, their intricate interrelationships, and a tentative outline of their development). (p. 699)

Agreeing with previous scholars who discuss the importance of linguistics in teacher training such as Fraser (1972), Dabene (1978), Hughes (1980), and Carter (1982), Nyikos cites the primary reason for this omission as a pervasive disciplinary conviction that "foreign language studies are merely introductory and ancillary to the study of masterpieces of literature written in the target language" (p. 699). For teacher training purposes, then, the author argues that the purpose of introductory linguistics should be to analyze through cross-linguistic comparison the relationship between the L1 and target languages. In her view, the move in linguistics from theoretical concerns toward applicability is a welcome move out of the realm of science and into that of pedagogy.

Battenburg (1995) returns to the debate over the tensions between linguists and other English department faculty initially raised by Marckwardt (1965) and continued by Mundell

(1978). Citing the commonality of linguistics being represented in English departments (except at large research institutions), Battenburg discusses the ideology of linguistics' role in English departments and considers their respective disciplinary nature and parameters. The author presents examples of how much attitudes can differ when it comes to linguists' opinions of literature and vice versa. Quoting from peer course evaluations from his own and other departments of English, he cites equally ridiculous remarks made by both literary scholars and linguists about the others' field of study. A member of the literature faculty wrote of a linguist's class, "He turned what could have been a tedious but necessary exercise—the description of . . . dialects—into an enjoyable experience"; another observation noted, "Realizing that such notions as 'transformational grammar' are foreign (and unwelcome) to most English majors, I was impressed by his patience and competence in explaining these concepts" (p. 41). The linguists' opinions of literature were no more insightful. One linguist compared the relative difficulty in teaching the respective subjects, "Linguists might be able to teach literature, but literature specialists could never teach linguistics," and "Literature allows students to interpret texts with very little evidence. In all other disciplines, empirical science has replaced such interpretive practices" (p. 41). Battenburg concludes by advocating a place for linguistics within an English department, as well as a truce for both sides, and says that both disciplines have much to offer students in language study, especially different ways of considering and studying language and communication through various texts.

Some work in teaching linguistics takes the discussion to classrooms of disciplines other than English studies or linguistics proper. Clark (1995) compares the similar pedagogical agendas of biology and linguistics and supports the assertion made by earlier scholars (Postman & Weingartner, 1966; Josephson, 1969) that scientific methods of observation and thinking are

beneficial to students' learning. Making this observation relevant to the training of speech therapy clinicians, Long (1996) recommends developing an approach to teaching grammar that is consistent across courses beginning with the introduction of linguistic concepts. Specifically, remarking on the beginning of this training, he says, "We should work at developing instructional techniques that counteract students' dislike of and difficulty with grammar. Concepts should be introduced using an intuitive-semantic approach and then gradually advanced to formal, syntactic, or morphological treatments" (p. 38).

Cravens (1996) revisits the issue of linguistics education in the training of foreign and second language teachers raised by Dabene (1978) and Nyikos (1994). He argues that a lack of linguistic education in graduate programs has grave repercussions on teacher effectiveness in the L2 or foreign language classroom. He also invokes the curricular importance of foreign or second language textbooks, explaining that inaccurate representations of language and confusing explanations of grammar hinder learning and waste teachers' and students' time and energy. Taking his analysis a step further, Cravens points out "a curious lacuna in language acquisition research," (p. 469) that no research has been conducted to determine the effect of training in linguistics on language learning. Given this lack, he argues, a frank discussion of how to prepare the next generation of faculty to be effective teachers must occur in redesigning future graduate curricula.

Marcinkeviciene (1997) discusses teaching semantics in a visual way that novice students can understand and details the benefits of using Bourland & Bourland's *A Course in Squirrelly Semantics* to help alleviate learner anxiety of formalism. She says, "Students and newcomers need . . . this kind of real-life, specific, concrete, detailed presentation of general semantics notions so lacking in other introductory books" (p. 249).

In Lamb (1997) the importance of fieldwork in learning linguistics resurfaces, this time in reference to a eulogy of Native Americanist Mary R. Haas. Written as a former pupil, Lamb argues, "To really become educated in linguistics, there is no substitute for going out to the field and working on a whole language" (p. 622).

Lawler & Dry (1998) present a contemporary edited collection of work on technology in linguistics teaching and learning. Following in the tradition of Marckwardt (1965), Becker (1982), Jensen (1983), Smith (1987), Sobin (1991), and others, the editors comment on the dramatic impact that computing has had on the discipline. The book includes eight chapters and covers various aspects of the field including the Internet, software for fieldwork and teaching linguistics, Unix utilities, the accessibility of electronic texts, new methods in natural language processing, and the development of the CELLAR computing environment for linguistic analysis. For the purposes of this review, the chapter on education, Rogers (1998), is notable. Explaining how computers add to the teacher's pedagogical repertoire and allow for maximum learner flexibility, the author discusses using and developing software for teaching linguistics, computer-assisted instruction, theory modeling, computers used in specific areas of linguistics, and prospects for the future. Jurafsky (1998) contributes to this discussion by considering how the curriculum in linguistics should accommodate new technological innovations, arguing that computers will play an even more central pedagogical and societal role in the near future.

The contemporary period of linguistics education work saw more conference activity than in previous periods, both in the U.S. and abroad. The 1998 Australian Linguistic Society Conference (ALS) included a plenary presentation, O'Neil (1998), in which the author discusses his attempts to "rescue linguistics from its undeserved curricular obscurity" and "place it back on the educational and intellectual schools' agendas" (p. 1). He explains that his goal is to develop

in students an understanding of and curiosity for linguistics scientific advancements. At the same conference, Simpson (1998) details a lunchtime forum on teaching in linguistics that responded to the move by the Department of Education in Australia to quantify effective teaching in all areas of higher education, linguistics included. Her recommendations to colleagues who were facing the challenges and sanctions by the organization included holding a yearly forum at the ALS, devoting space in the ALS journal to refereed reports on teaching, and offering a teaching initiative grant to propel others to participate in course and pedagogical development.

A few months later on the other side of the world, the Symposium on Teaching Grammar was held on October 24, 1998 in conjunction with the 22nd Annual Youngstown State University Conference on Teaching Foreign Languages and Literature (Youngstown State University Department of English, 1998). Ten papers on various aspects of teaching linguistic and traditional grammar were presented, mainly focusing on its application to foreign language learning and teacher training.

Of particular note for this research are three papers from this midwestern U.S. symposium. First, Burley (1998) focuses on preparing education majors to effectively teach grammar in elementary and secondary settings and proposes that students will be better prepared to teach grammar by studying sociolinguistics, the history of grammar, and syntax. Relatedly, Petray (1998) presents a three-part heuristic for teaching introductory students linguistic terminology and making it come alive through fieldwork projects that investigate grammatical elements in everyday speech. Last, Wiese (1998) discusses didactic grammar games employed in an introductory course at the Institut für Linguistik der Humboldt, Universität Berlin for the purpose of promoting teamwork and self-instruction in flexible learning environments. All three

papers illustrate the student-centered awareness and understanding of participation-based learning so characteristic of the contemporary linguistics education literature.

Organizers Attardo and Brown say of the Youngstown State mini conference that, while it was a brief affair, the meeting was a success and participation came from a diverse national and international audience of scholars. Further, they argue the need for such scholarly symposia is both genuine and pervasive:

> There is clearly a need for research and workshops on the teaching of grammar/linguistics that is spread across the gamut of the educational system, ranging from high school teachers who need a metalanguage to teach their students, graduate assistants who are teaching freshman composition and encounter these linguistic problems for the first time, college faculty who often are ignorant of the most basic grammatical terminology, and finally the students themselves at all levels. Moreover, there is a 'political' space to be occupied in the need to countermand what are the most widespread approaches to the teaching of grammar, . . . the 'minimal grammar' approach (à la Noguchi, or Weaver), the no grammar approach, and the universal (of hard core linguistics) approaches. On the contrary, recent developments in pedagogical applications of cognitive grammar are promising and, likewise, the study of the history of pedagogical grammar will provide significant insight for both scholars and teachers. (S. Attardo & S. Brown, personal communication, July 5, 2004).

The two colleagues call for more research illustrates the need for a forum on linguistics pedagogy and the potential for the insights to be gained through such academic dialogue.

Also in October of 1998 'The Linguistic Sciences in a Changing Context' symposium was held at the University of Illinois at Urbana-Champaign. The point of this scholarly meeting

was to determine future directions of linguistics so that the discipline and the involved participants' institutions might stay current and relevant in a broader, difficult academic context. Selected papers from that conference were later published in *Studies in the Linguistic Sciences 28*.2 (Morgan & Antonsen, 1998). While all the articles contained in this volume are interesting, a select few are particularly useful for advancing the purpose of this review. Davies (1998) presents an insightful disciplinary argument to encourage administrators in linguistics programs and departments to reconnect with old ties to other disciplines. He comments that the antipathy and mutual disrespect that grew between theoretical linguistics and language teaching in the 1960s and 1970s remain current today. Hoping to alleviate this tension, he argues the significance of linguistics' application to teaching,

> Of equal importance to the specific linguistic knowledge gained, the intellectual rigor that is the hallmark of 'serious' linguistic study and analysis can inform the general approach that teachers take to their classroom situations and teaching methodologies and to their dealings with students and administrators. (p. 26)

He concludes by explaining that the more students are exposed to linguistics, the more compelled the discipline will feel to tailor course offerings to general groups and not just linguistics majors.

Returning to the issue of linguistics' curricular place in teacher training raised by Fraser (1972), Carter (1982) and others, Christian (1998) points out that applied linguistics and applying linguistics are not the same. She explores the evolution of applied linguistics and suggests in conclusion that students in linguistics should be equipped with the knowledge, skills and outlook to work in applied domains, even if they do not chose to focus on foreign or second language teaching in their study.

A key piece from this symposium is presented in Joseph (1998) where he reflects on comments made by Fromkin (1974) two decades earlier. Centering on the teaching of introductory linguistics, Joseph argues that introductory courses should be aimed at 'Everystudent,' or "the ordinary person on campus" (p. 123). He explains that, especially by exposing them to pragmatics/semantics and sociolinguistics, teachers increase the potential of reaching all students and instilling in them a sense of just how remarkable human language is. Reflecting the need for introductory linguistics to account for diversity, he concludes that by revealing the more humanistic side of language to beginning linguistics, teachers can tap the humanity shared by all involved in language study and use. The invocation of human diversity and teaching of introductory sociolinguistics is also discussed in Antrim (2000). In this article, the author explains how and why she involved her undergraduate students in fieldwork at a local Texas elementary school. Her experience in implementing community-based learning supports Joseph's claim that students appreciate the humanity in linguistics and diversity in language when they are personally involved in conducting research.

Proving that not all contemporary work is necessarily innovative, Justice (2001) presents a workbook style text for English teachers of all levels that revisits the traditional issue of applying linguistics to issues of literacy. In returning to ideas from previous periods such as those of Postman & Weingartner (1966), Shane (1967), and Harsh (1968), Justice (2001) is an introduction to linguistics mainly through the grammar of English in a data-driven and descriptive format. The author clarifies his purpose is to make linguistics "more accessible, more interesting, and more obviously relevant" (p. x) for future educators by highlighting areas most applicable to teaching.

Spring, Flynn, Joseph, Moses, Steele, & Webb (2000) present the most significant work on teaching introductory linguistics published to date. One striking fact about the pedagogically oriented article is that it appears in *Language*, a first for the periodical and the discipline. The publication of Spring et al (2000) raises the status of linguistics education because of the journal's importance and the disciplinary imprimatur it carries. Similar to other collections of teaching research, the collaborators' piece grew from work presented at academic gatherings, a symposium on teaching sponsored by the LSA in 1998 and workshops with the same focus during the 1999 LSA Linguistic Institute (Lavoie & Mcconnell-Ginet, 1999; Lavoie & Silva, 1999). Spring et al describe the significance of the introductory linguistics course as being "the primary antidote that academic linguists can offer to commonly held, yet basically wrong-headed, views about language" (p. 110). Citing the value of producing a populace more knowledgeable about language and more receptive to scientifically based approaches to language and their implications for learning, they hope to advance the causes of linguistics at the disciplinary and societal levels. The authors present five vignettes of beginning courses in various institutional contexts and argue that taking educational context into account is what makes a course successful in reaching non-majors.

Milambiling (2001) is an indication of the influence of Spring et al's work on linguistic pedagogy. The author reflects on her colleagues' ideas and questions the persuasive effect of teaching linguistics on beginning learners, especially in the degree of freedom that students have to accept or reject the position being offered by the professor. Explaining that linguistics as a discipline includes both 'right' and 'wrong' issues when it comes to the study of language, Milambiling argues that teachers should adopt an advocacy role as instructor and handle controversial issues such as prescriptive vs. descriptive grammar with clearly defined goals and

in steps so that students can understand the analytical process. She explains that this technique is particularly important for instructing future teachers. Finally, the author urges linguistics teachers to assume an understood agreement in their classrooms that students have the right to 'get it wrong' and remember that "taking a linguistics course and hearing alternative points of view about language is a relatively rare and important opportunity, whether they understand that now, in the future, or at all" (p. 254).

A special issue of *Linguistics Education* brings the issue of class participation and student differences in language learning into view (Hauwe & Koole, 2003). Koole (2003) focuses on multi-ethnic classes in the Netherlands and studies the differences in students' participation during classroom interaction. Poveda (2003) illustrates a contemporary awareness of the need for classroom strategies to entice students' participation and promote connected, critical thinking in his analysis of Spanish speakers' behavior during class activities. In both articles, the effort with which teachers attempted to draw students in and their awareness of learners' diversity accounted in large measure for students' willingness to participate. Also, while students themselves were responsible for constructing their heterogeneity within the context of the classroom, it was the actions of the instructors that brought about interaction between differently self-identified learners. While, admittedly, the articles in this issue focus on children's learning, the findings of what techniques encourage class participation and the suggestions for increasing student interaction can easily be applied to adult learners in a college setting, especially when taking student diversity into account. Thus, fieldwork activities and collaborative strategies such as those presented by Ellison (1983) K. A. Harris (1993) and Levin (1983) are prime examples.

Connected to such authors' work is a Goldstein (2003) who revisits the issue of teaching sociolinguistics raised by Antrim (2000) and others. Discussing the void between what linguists

and the general population know or think about language, she attempts to overcome the frustration felt by encountering this conflict in daily life. She explains that pre- and in-service teachers get only a partial and distorted picture of the relationship between language and society in their training and that they need to have a realistic view of how non-linguists view language. As a field linguist herself, she examines three newspapers for evidence of these 'non-linguistic' beliefs and finds that her intuitions of general society and its beliefs of language are confirmed. She concludes by arguing that sociolinguistics should more readily give voice to non-linguists' views by carrying out more fold linguistic research. Her ideas take on a popular, political debate over standardized language. Citing the similarity between her argument and that of Cameron (1995) on prescriptivism, Goldstein quotes her colleague as saying, "If this is to change, and if linguistics is to make any contribution to changing it, we must acknowledge people's genuine concerns about language, understand the fears and desires that lie behind the concerns, and try to work with them, not against them" (Cameron, 1995, p. 236).

As is appropriate for the last piece reviewed here, the final article of work on linguistics pedagogy brings together ideas for a multi-modal approach to incorporating technology, collaboration, and fieldwork in the linguistics classroom. Battenburg & Lant (2003) present the most current work to date on teaching linguistics with computers and other instructional technology. They describe the use of a data-base supported website, the California Central Coast Online Dictionary in their introductory linguistics and lexicography course. The authors explain that the project allows for several pedagogical models in the classroom that are appropriate for the information age, including modeling, negotiation, and defamiliarization. Inspired by situated learning theories of Vygotsky and other scholars, Battenburg & Lant argue that such creative

teaching practices help create a classroom environment conducive to various learning styles and offer students the opportunity to learn linguistics in compelling and new ways.

Issues in the Linguistics Education Literature

Throughout the three periods of literature published on teaching in linguistics, four key issues are noteworthy. First, the status of linguistics as a science seems always to have been controversial, with proponents of the idea claiming the scientific nature of systematic inquiry matches linguistics' use of scientific methods, and opponents saying that language is, by nature, a form of human art and belongs in the realm of humanities. While defined differently, that controversy is alive and well today.[10] Arguably, linguistics' disciplinary struggle to attain recognition as a science has been met with only partial success. While it is mainly linguists themselves who foster and maintain the idea of being scientists, academic non-linguists locate the field equally within the humanities as in the sciences.

The relevance of this disciplinary debate to linguistic pedagogy is twofold. The subject matter of what is taught in linguistics is directly linked to the inherent disciplinary assumptions of the field. In other words, if linguistics defines itself as a science, that ideological framework dictates the parameters of the field from the material included in textbooks and the subject areas covered in courses to the types of research conducted and journals and articles published. Another philosophical connection between linguistics' historical status as a science and linguistics education is the presumed traditional pedagogical model of the expert training the apprentice. Instead of assuming a top-down learning environment where the teacher is authority, the curriculum is pre-defined by the discipline's dictate, and the student adjusts her expectations and learning to what she receives as knowledge, pedagogies of participation construct knowledge beginning with the student's experience. As recent work illustrates, informed contemporary

linguistic pedagogy rejects such a teacher-centered classroom environment and embraces more democratic epistemology such as activities using fieldwork and collaboration. As is demonstrated in work on the philosophy of science, the objectivity of scientific inquiry is no more immune from the social construction of knowledge than other types of research or learning (Kuhn, 1996; Lyotard, 1979/1984; Nelson, Megill, & McCloskey, 1991).

Second, technology has played a major role in how linguistics has been approached both from a research and a pedagogic perspective. Several authors wrote about using computer programs to teach students or create classroom materials, while others used technology as a hands-on learning tool in the classroom or the field. Early work on computer and instructional technology in linguistics reflects which machines or programs were in vogue for the time, and current literature does the same. Thus, as computer technology has progressed, so has its use and application in the linguistics classroom.

Next, due to the complex social nature of language, linguistics has always had socio-political dimensions, and this has influenced the teaching of its subject matter, as well as its research directions. From the earliest works cited concerning the traditional grammar vs. neo-educational debate to the more overtly political work of Smitherman (1979) or Kachru (1998), linguistics and the teaching of its topics has been subject to issues of politics, social change, and discussions of linguistics' responsibility to produce socially progressive research.

Last, and perhaps most important for the purpose of this historiographic review, recent work in linguistics education illustrates a new awareness of student diversity and the need for a more informed and student-centered approach to teaching. Linguistics instructors throughout the country provide innovative ways of teaching their students as is shown through their descriptions of student collaboration, fieldwork, and other participatory learning. Such attention to learner

needs and expectations is appropriate given linguistics charge of investigating language in its various uses, forms, and contexts.

Conclusion

From the 1920s through the 1960s, the literature on linguistics education focuses on the application of linguistics to the teaching of writing, grammar, and other English studies. Then, following the introduction of generative grammar and the rise of current modern linguistics in the United States, the literature from the 1970s through the early 1990s illustrates an intermediate but short-lived period of attention to teaching the subject matter of linguistics itself. The third distinct stage of literature on contemporary linguistics education represents a more informed awareness of instructional approaches and of pedagogical issues such as student participation, connected learning, and attention to learner diversity. Taken together, these periods of scholarship demonstrate the changing disciplinary attitudes towards students and the subject matter they learn in the classroom environment.

The issues that arise from the literature also illustrate the evolving pedagogical landscape of linguistics education. The question of linguistics' status as a science invokes the relevance of linguistics itself to other matters, whether it be education, writing, literacy, or speech pathology. Within the realm of linguistic pedagogy, the Chomskyan revolution swiftly changed the debate from the function of linguistics as an application to that of scientific curriculum and disciplinary strategy. As occurs with academic revolutions, eventually new theories of linguistics will similarly affect teaching as textbooks are revised and old theories are discarded. The use of computers marks linguistics as an early disciplinary advocate of technology, a trend that will, no doubt, continue. As the use of information technology and other computer applications to learning increase and higher education becomes more technologically connected, linguistics

education will follow suit in, following the path of developments and their applications to new literacies, learning and the classroom. These connections between linguistics and technology work in tandem. As research in computational linguistics and natural language processing contributes to the body of knowledge about language and computers, the possibilities for classroom and learning technology increase. Finally, the socio-political dimensions of linguistic research, education and theory make the field naturally poised to embrace the attention to and appreciation of diversity as an inherent characteristic of participatory learning in higher education. Further, student-centered classrooms already make up a defining trait of contemporary linguistic pedagogy, as evidenced by work in this area.

The implications of these issues for linguistic pedagogy are significant and pose a promising future for the discipline. Higher education continues to be more interested in assessing effective teaching and learning, and while the professoriate wants to reject such quantification of seemingly unquantifiable values, the charge is growing from administrative and political sources alike. Understanding how our teaching is defined can help delineate the parameters for that assessment on our terms. Advancing the cause of teaching in linguistics also brings an awareness of its importance not afforded through traditional disciplinary means. Sporadic symposia, conference presentations, and insightful, albeit random, articles over several decades are not sufficient to give linguistic education its due place in academe. A consistent forum for linguistics education should be realized for the benefit of the discipline at large, whether through a yearly conference, a periodical, or another means of scholarly exchange. This charge could easily be taken up by practitioners already interested in pursuing the scholarship of linguistic pedagogy and supported by affiliated academic bodies such as the Undergraduate Program Advisory Committee of the Linguistic Society of America. Finally, our students deserve the kind of

learning experience that generates passion and a connection to language that traditional modes of teaching cannot yield. To know what other linguistics teachers practice in their own classrooms expands the base of ideas for all instructors and, by implication, opportunities and effective teaching for students. In sum, the discipline and its membership of learners, scholars, practitioners and teachers will benefit from knowing more about the past practice and future directions of teaching and learning linguistics.

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Footnotes

[1] Kachru (1992) presents a history of linguistics teaching in the Midwest also divided into three periods, the pre-1930s period, the field linguistics period, and the 1950s. The fact that the number of divisions is three for both Kachru and my analysis is pure coincidence, as we use differing contexts, time frames, and explanations for our historical categories.

[2] Applied linguistics has an interesting history that includes linguistics in the curriculum of foreign and second language teacher preparation. While a few select articles relating to applied linguistics' history are included here due to their application to other linguistics teaching, this research focuses more specifically on linguistics education at a general level.

[3] See Seuren (1998) for a comprehensive introduction to the history of Western linguistics.

[4] See "Call for the organization meeting" (1925) for the November 15, 1924 document inviting scholars to membership in the Linguistic Society of America. The first meeting was held at the American Museum of Natural History in New York City on December 28, 1924. The then forthcoming journal *Language* was invoked in idea only as "a medium of publication devoted entirely to linguistics . . . [that would] at some future time, be very helpful" (p. 6).

[5] Chomsky's influence began with the publication of *Syntactic Structure*s in 1957, but the full impact of transformational grammar did not take hold until the mid-60s. See R. A. Harris (1993) and Seuren (1998) for further discussion.

[6] Of course, the tumultuous nature of academia in the 1960s and 1970s is hardly restricted to linguistics. This turn of events coincides with an important watermark in English studies, with literary subject areas being more rigidly defined by time period or genre and the past practice of literature teachers being well grounded in the structure and history of the English language

becoming obsolete (Brantlinger, 2001; Levine, 1996). Similar academic changes occurred in other disciplines as well, particularly the social sciences.

[7] Interestingly, while Chomsky does not discuss linguistics' application to teaching writing or English studies, this article is a revision of a paper given in November 1965 at the National Council of Teachers of English conference.

[8] GURT began in 1950 and published its first annual volume in 1951, but the 1974 volume's focus on teaching was a first.

[9] Certainly there have always been good teachers in linguistics whose enthusiasm and abilities helped motivate students to become linguists. This is true of any period of the discipline. However, before the late 1980s, there was no disciplinary-level published discussion of the need to recruit students into linguistics, especially as a pedagogical concern for introductory-level students.

[10] See Gethin (1990); Gray (1980, 1981); Hall (1981); Harris (1993); and Yngve (1986) for contemporary treatments of the question of linguistics' status as a science.

Staging the Noble Savage:
Neoclassical Ideals of Social and Political Responsibility

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Abstract

Drawn almost exclusively from primary sources from travelers' accounts, the philosophical essays of Hobbes, Locke, Rousseau and others as well as seventeenth and eighteenth century dramatic literature, this paper examines the shaping of European popular consciousness through the reinterpretation of the tragic hero. Through the use of the 'Other' in dramatic representation, the original inhabitants of the New World and other newly discovered cultures were used to pose challenges to established concepts of government, responsibility and freedom. In its entirety, the paper is thirty-four pages inclusive of notes and bibliography.

The didactic purposes of Neoclassical drama extend from the arena of morality, to the realm of politics and to combined themes of ethics and aesthetics. In the theatre, the theme of the tragic hero is used to illustrate the growing complexity of the European world-view of the late seventeenth and early eighteenth centuries. The aesthetic principles which shaped Neoclassical tragedy and the resultant influence on the depiction of the non-European 'outsider' as the tragic hero enabled dramatists to examine contemporary issues in political thought. Radical theories of kingship, government and social contract were brought to the fore through the medium of the theatre. Neoclassical tragedies drew on the fascination with and highly romanticized view of the current discoveries in the New World to spark the imaginations of their audiences with images of Paradise regained. The depiction of peoples native to these newly discovered territories both in literature and on the stage strengthened and nurtured the development of the ideal of the Noble Savage, which the French philosopher Rousseau would most fully visualize. Simultaneously, these images of an ideal state of mankind held a literary mirror, as it were, to the illnesses of contemporary society. Although certainly less intentional, and perhaps more noticeable today given current thinking on such topics as global responsibility, the treatment of the conquered peoples brought to vivid life upon the stage ultimately raised questions of European responsibility to and for those conquered Children of Paradise.

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Neoclassical Models for Thought

The French Neoclassical critics of the late seventeenth century, most especially Rapin, Le Bossu, and Dacier, were to have a decisive influence on theatre in both France and England for the next three generations. These philosophers maintained that tragedy was essentially an epic poem in dramatic form and, therefore, should adhere to the same rules: to teach a moral lesson useful to the state; to portray noble heroes to serve as examples of conduct; and to find expression in a metaphorical and epic style. (Dryden & Volt. p.1) Both the five act tragedies and the epic poems of Dryden and his contemporaries in the neoclassical tradition served to glorify the established government; to educate (by elevated example) the Prince and the nobles; and to inspire respect and restraint in the people. Thus, tragedy and epic poetry shared a didactic as well as a political aim. (Dryden & Volt. p.10)

The primary ancient model for all Neoclassical tragedy, was Aristotle's POETICS despite Aristotle's own claim that, "Art is moral, but [that] morality is not its purpose." To justify with classical example the aim of morality in Art, Neoclassical poet/dramatists based Epic didacticism on Plato and the belief that poetry must have social utility. The Romans provided even more concrete foundations for Neoclassical heroics. Plutarch strengthened the need for utility claiming that an epic poem should serve as a storehouse of examples for imitation. Other Roman critics agreed - Horace and Virgil extolling poetry as ethical and civilizing. Renaissance critics continued to refine these themes claiming, as Tasso and Minurto did, that the epic hero ought to be the perfect pattern for conduct. Contrary to Aristotle's definition of

the tragic hero that is neither perfectly good nor altogether bad, Minurto felt that the hero could be perfect. (Dryden & Volt. p.10)

In REFLECTIONS ON THE POETICS OF ARISTOTLE, translated into English in 1674, Rapin claimed that the purpose of tragedy was, "to serve for a pattern and instruction to the Grandees and to be a publick example of virtue." (Dryden & Volt. p. 15) Rapin also laments the 'watering down' of French tragedy and urges a return to the Greek models, and urges that writers follow the English example, since he felt that the English were barbaric and cruel and thus more apt in tragedy. (Dryden & Volt. p.15-17) Le Bossu (publishing in 1675) endorsed these views. A few years later, in 1692, Dacier published "ON THE POETICS" in which he re-affirmed Rapin's view of the similar oral purpose of epic poetry and of tragedy. (Dryden and Volt. p.17-19) Thus, the distinction between epic poetry and tragedy diminished during the Neoclassical period as both were equally required to adhere to strict rules of the moral message, the unities and to contemporary views of characterization. (Dryden and Volt. p.13) As the seventeenth century drew to its close and Louis XIV became more devout, an increasing amount of pressure was placed on the arts to intensify morality in poetry and drama which eventually led to a general decline into sentimentality. (Dryden & Volt. p.14)

This nearly obsessive preoccupation with morality, while certainly at work in all Neoclassical art, and especially the theatre, rose in prominence as a direct result of the emerging political power of the merchant class. Prior to the beginning of the eighteenth century, however, throughout Neoclassical thought runs the recurring theme of the Greek model set as the true

measure of noble thought, word, and deed. This “idolization” of the remote and exotic Greek of antiquity sought a contemporary equivalent in the seemingly serene and uncomplicated cultures discovered thriving in the New World. These two factors - the romanticization of the Greek world and the yearning for a tangible representative in the seventeenth century, combined with Neoclassical concepts of Christian morality to yield not only the ideal model of Neoclassical heroic behavior but also the germination of the concept of the Noble Savage. As tragedy became a moral philosophy, the tragic hero became its principle embodiment. St. Everemond, a contemporary of Rapin, argued that, "the glorious deeds of illustrious heroes, offered for admiration and imitation, are of more value than the terrifying punishments of wicked actions portrayed in the Greek theatre. The Greeks, St. Everemond contended, “were preoccupied with the primitive and the barbarous delighting in the cruelty of the gods and the futility of human will. A Christian society is refined and delights in noble achievements.” St. Everemond (perhaps at the expense of the compassion for human suffering evident in the tragedies of Sophocles and Euripedes) seems deftly to blend ingredients of Greek tragic heroism with ideals of Christian morality and a celebration of Humanism to create the European ideal for the seventeenth and eighteenth centuries. (Dryden and Volt. p.24.)

Hobbes to Roussseau: The Argument for the Natural Man

Muralt's LETTRES SUR LES ANLGLOIS of 1694, describes the English as a people of violent and melancholy disposition - proud and resolute, who prefer self-destruction to the defeat of their ambitions. He described them as “ferocious when aroused.” He also labeled them

as “taciturn” and stated his belief that they would “make poor courtiers because of their preference to tell he truth rather than [to] flatter.” Their language, Muralt asserted, is strong and capable of expressing the violent passions of their nature. Therefore, Muralt felt he had justified his assertion that the English must naturally possess a genius for tragedy superior to the French. (Dryden & Volt. p.26)

The English tendency towards pragmatic and independent thought was perhaps most clearly demonstrated in 1651 in the LEVIATHAN of Thomas Hobbes (1588 - 1679). In this essay, Hobbes argued that all humankind was equal in faculties - although there are differences, these differences are balanced out in the long run. Where one is strong, another is more cunning, etc. From this situation arises an equal hope of attaining personal ends. Thus, in Hobbes' view, war is perceived as a natural consequence as intending not so much to achieve an objective but more to prevent another from achieving a contrasting one. (Oakeshott pp82-83) This builds on Hobbes' essential premise that Man is a desiring animal in a mechanical and morally neutral universe engendering over time a Natural state of warfare for the good things of life contracted for with an absolute ruler. (Dryden & Volt. p.42) Sir William Davenant used the political philosophy of Hobbes to describe the nature of Man : “Society is an armed camp organized for protection against those passions which control man in a state of Nature.” (Dryden & Volt. p.44)

Within one century of Hobbes' LEVIATHAN, these concepts would reach full fruit. At a time when European horizons were expanding into the South Pacific, revitalizing the

romanticized view of non-European life with idyllic tales of those newly discovered cultures, Jean Jacques Rousseau (1712-1778) would most fully develop the concept of the 'Noble Savage.' Rousseau seems, at first at least, to have agreed with Hobbes in his SECOND DISCOURSE ON INEQUALITY asserting that the "study of Man in a natural state shows that men are by nature concerned with self-preservation and the satisfaction of their passions, and that they therefore are naturally equal." (Plattner p.97) This natural state of warfare and desire for self-preservation, Rousseau argues, leads to conditions of misery which, in turn, urges the sufferer to alter that condition by seeking to establish a civilized society. (State of Nature p.108)

However, Rousseau, with the altruism characteristic of his age, departs from the Machiavellian pessimism of Hobbes, warning his readers to, "beware concluding with Hobbes, that Man, as having no idea of goodness, must be naturally bad; that he is vicious only because he does not know what virtue is; that he always refuses to do any service to those of his own species, because he believes that none is due to them; that, in virtue of that right which he justly claims to everything he wants, he foolishly looks upon himself as the proprietor of the Universe... A bad man, says he (Hobbes) is a robust child. But this is not proving that a savage is a robust child." (Rousseau p.193 Harvard Classics) There are two contradictory conditions in Nature, claimed Rousseau : to be dependent and to be robust or aggressive. Man is weak when dependent and is only his own before he grows aggressive and becomes destructive. (Harvard Classic p.192) The ideal state, therefore, lies in an almost impossible balance between the two.

As Rousseau would have it, although the Hobbesian solution may make men more secure, yet it also makes them miserable in that their condition is against human nature having given up freedoms. Only to the extent that the contradiction between man's duties and his desires may be eliminated will the state of civil society cease to be a state of misery. (State of Nature p.112) Drawing on his praise of the naturalness and freedom of the natives of North America in his FIRST DISCOURSE ON INEQUALITY, (State of Nature p.6) Rousseau later concluded that to be natural, the laws of Nature, "must speak directly by Nature's voice." (State of Nature p.106) Thus, the Noble Savage, which had appeared so frequently on the European stage of the late seventeenth and early eighteenth centuries could be heard as the new voice crying out in the political wilderness - to prophesy the coming of a new age of Reason. Only by returning to a state of nature; after transition and redefinition would European society become a simpler, more direct, more natural and truely democratic social structure. Rousseau contended that when nature was subjected to law, the transition from a natural to a political society was initiated. "This passage from the state of Nature to the civil state produces in Man a most remarkable change, substituting in his conduct justice for instinct, and giving to his actions the morality which was lacking in them before," thereby creating the foundations of (and necessity for) morality and justice. (State of Nature p.107)

Rousseau expanded this concept by identifying true personal freedom with the constraints of Social Contract. "Man's happiness is identical with his freedom. He must exchange 'Natural Freedom for Civil Freedom.' Civil freedom is closer to the freedom enjoyed in a true state of Nature." (State of Nature p.107) "Because he submits himself to civil society a person is free of

‘personal dependence.’ He is free because he has an equal share in the laws - he is, in a sense, ‘obeying himself.’” (State of Nature p.112) As Rousseau describes human nature, they approve and create the laws they obey. “Men will enjoy the greatest possible combination of civil freedom and natural freedom when their private wills are most in accord with the general will.” (State of Nature p.114) Thus, "a 'perfect legislation' demands that the general will always predominate over particular will - but according to natural order, the particular always is stronger than the general will. Civil freedom cannot be made wholly compatible with natural freedom. Therefore, men living in political society are always 'in chains.' " (Plattner p.115) In sacrificing individual freedoms for personal security, therefore, the once Natural man becomes civilized and thus willingly contained and remodeled on the ideals of others.

Jacobean Tragedy and the Noble Savage

English Neoclassicism, exemplified by dramatists such as John Dryden, and shaped by the philosophical and political speculations of Thomas Hobbes and John Locke was to prove a strong influence on the development of Rousseau's theories and on the European perception of the native peoples of its newly discovered territories at first in the Americas and then in the Pacific. As French Neoclassicism lit the path to sentimentality, the English, at the last of the seventeenth century held sway in the development of the tragic hero. In this pursuit, the exotic cultures of the new regions and the horrors of conquest coupled with the uneasy balance of powers on the European political scene offered the Dryden and his contemporaries myriad opportunities in the didacticism requisite to Neoclassical tragedy. Neoclassic doctrine

held that the poet must first look about him and determine the most pressing social issue and that moral lesson most needed by his nation before composing the plot of the play. Hobbes as political philosopher together with Sir William Davenant and John Dryden as dramatists, perceiving their England embroiled in the religious turmoils of Post-Reformation Europe, saw religious fanaticism as the chief social and political evil. (Dryden and Volt. p.3)

John Dryden emerged as the chief dramatist of the period between the Restoration of the monarchy in 1660 and the ousting of the Catholic James II in favor of the Protestant Prince of Orange in 1688. This Bloodless Rebellion figured prominently not only in the shaping of English politics but in the shaping of English Neoclassical tragedy as well. Dryden 's tragic heroes are justified by their counterparts in court life - possessing an innate quality shared with Kings which raised them above the common man. Thus, the actions of the tragic hero aptly serve to instruct those in positions of power. The English perceived the epic poet and epic poetry as a political force - capable of and charged with the responsibility of political and social reform. Dryden urged, through his writings, that the chief responsibility charged to the rule of the Stuarts was to relieve the country of civil strife - a turmoil brought on by religious as well as political differences. (Dryden and Volt. p.41)

Towards these social and political goals Dryden and his contemporaries made strong use of manifestations of spirits, dreams, omens, and archetypal symbols and characters in order to secure the attention of the audience. These conventions, inherited from Shakespeare and the Elizabethans, had become the standard of Jacobean tragedy and were to find full scope in the

emerging genre - opera. In terms of content and style the new theatrical form, adhering to the aesthetics of tragedy as advanced through the plays of Dryden, Opera attempted to merge music with drama in a Neoclassical celebration of the gifts of Apollo and Dionysus, (which urged Neoclassical tragedy to its natural conclusion - the development of Grand Opera). (Dryden &Volt. p. 51) Dryden was also indebted to the opera. Dryden's tragedy of Latin America, THE INDIAN EMPEROUR (April, 1665) is thought to have been based on Sir William Davenant's series of opera-like scenes entitled THE CRUELTY OF THE SPANIARDS IN PERU. (Dryden & Volt. p.51) Thus, in the first years of the Restoration of King Charles II, Dryden was able to level criticism at the Roman Church (with the requisite implied superiority of Protestantism) while elevating to the role of tragic hero the Noble Savages of the New World. In this play and its immediate predecessor THE INDIAN QUEEN (January of 1663-4) Dryden offered his English audiences pictures from the Paradise - combining the tragic flaw of sublime innocence and trust pitted in hapless combat with European corruption. In scenes which seem to draw directly from Aztec legend, Dryden portrays a people on the verge of welcoming their predicted destroyers with the joy and instinctual foreboding of children In the prologue to THE INDIAN QUEEN, two Indian children are discovered asleep beneath a large Plantain tree. Once awake, they discover the approaching Spanish. The dialogue, with decidedly anti-Papist hindsight, foreshadows the fate of the Latin Americans at the hands of the Spanish conquistadores :

Girl: Why should Men quarrel here, where all possess
As much as they can hope for by success?
None can have most, where Nature is so kind
As yet exceed Man's Use, though not his Mind.

Boy: By ancient Prophesies we have been told

Our World shall be subdued by one more old;
And see, that world already's hither come.

Girl: If these be they, we welcome then our Doom.
Their Looks are such, that Mercy flows from thence,
More gentle than our Native Innocence.

Boy: Why should we then fear these are Enemies,
That rather seem to us like Deities? (Dryden p.207)

The themes of impending destruction are echoed in Dryden's sequel, THE INDIAN EMPEROUR (1665) in which two Spanish explorers, one set on plunder, the other marveling and perhaps anticipating the loss of the unspoiled land before them :

Vasquez: No useful Arts have yet found footing here;
But all untaught and salvage does appear.

Cortez: Wild and untaught are terms which we alone
Invent, for fashions differing from our own:
For all their Customs are by Nature wrought,
But we, by Art, unteach what Nature taught. (Dryden p.277)

Later in the same play, Dryden introduces an Aztec legend (although he has attributed this belief to the Mayans of his play) in which the natives await and eventually welcome the great white god Quetzalcoatal who would one day return but would also spell their doom :

High Priest: Old Prophecies foretel our fall at hand,
when bearded men in floating Castles Land.. (Dryden p.282)

This observation foreshadows the climax of the play while simultaneously ennobling the stoic sacrifice of these peaceable and faithful disciples. The resulting clash of cultures is chronicled in scenes of cruelly and treachery - of misplaced trust calculated to consistently elevate the simplistic world-view unfettered by the deceits and flatteries which the audience would have taken for granted as an essential part of daily life - especially at court. Consequently, the morality of the non-Christian natives, heightened to tragic ideal, sets the ironic example for a presumably model Christian audience.

European sophistication and self-assurance is juxtaposed to the rather patronizing view of the harmless and child-like innocence of the Aztecs (and, indeed all newly discovered non-European cultures). Bringing to this tragedy a bit of comic relief for an English audience accustomed to the sight of men on horseback this line refers to the initial perception by the Aztecs that the Spaniards on horseback were one beast:

Odm: I kill'd a double Man, the one half lay
Upon the ground, the other ran away. (Dryden p.295)

Shocking tales of native hostilities and violent cultural clashes returned to Europe via dramatic travelers' accounts of murder, mutilation, savagery and revenge - all the essential elements for proper Jacobean Tragedy. And these accounts found an eager audience and a ready political voice on the Neoclassical stage. Yet, despite the graphic horrors of these travellers' accounts (and consequently the plays which treat of this subject) the European descriptions of the newly encountered lands and its peoples invariably carry a sense of 'Paradise Lost' - using such words as 'innocent,''untaught,' and 'unspoiled' as if recognizing (and perhaps warning of) the

altering and often destructive impact they will invariably have. Writing in his journal one hundred years after the first performance of THE INDIAN QUEEN, Captain James Cooke was to question again the tangible effects of European contact with the new-found peoples of New Zealand. "We debauch their morals already too prone to vice and we introduce among them wants and perhaps diseases which they never before knew and which serves only to disturb that happy tranquility they and their forefathers have enjoyed." Cooke challenges his readers, "If anyone denies the truth of this assertion let him tell me what the natives of the whole extent of America have gained by the commerce they have had with Europeans." (Hough p.218)

Rousseau, writing at the time of Captain Cook's voyages of discovery, seems to continue his European perception of intellectual simplicity when he cites (albeit patronizingly) an example to demonstrate his belief that the Natural Man, like a beast, cannot anticipate events : "His soul, which nothing disturbs, gives itself up entirely to the consciousness of its actual existence, without any thought of even the nearest futurity; and his projects, equally confined with his views, scarce extend to the end of the day. Such is, even at present, the degree of foresight in the Caribbean : he sells his cotton bed in the morning, and comes back in the evening, with tears in his eyes, to buy it back, not having foreseen that he should want it again the next night." (Harvard pp.181-82) What seems on the surface condescending, on another level, addresses the misperception of those exulting in the fresh prosperity of an emerging and powerful mercantile system based in Capitalism marveling, however patronizingly, at the naivete of a culture which had little experience with commerce as the Europeans conducted it nor of the implied permanency in concepts of ownership. The

Native American cultures had developed trade - useful goods for useful goods; whereas the idea of exchanging useful goods for coins being of unknown value - unlike shells frequently used as a rate of exchange) would undoubtedly have introduced a measure of lasting confusion. Rousseau's illustration reinforces the prevailing view of the European as the responsible and knowing parent whose destiny lay in the improvement and education of these undisciplined children - a role which was to characterize Imperialism for the next two centuries.

The visions of the philosopher's salon or the poet's playhouse are often tinged, however, with artistic and didactic purposes which have more to do with morality than with actual reported circumstance. Initial perceptions of the Native Americans in Massachusetts and Virginia were somewhat less romanticized. To serve as example, the following are prose interpretations of actual (or reported) events: William Bradford's account of the 'History of Plimouth Plantation' written in 1647, and John Glover's account intended as a report to the Royal Society in 1676. Although these writers would have held to less elevated constrainments than would the Neoclassical poets and philosophers, reports of human behavior outside of the European community such as these would certainly have been widely circulated and may well have shaped the thinking of Thomas Hobbes.

Writing in 1647 (four years before Hobbes' LEVIATHAN) William Bradford described life in the colony of Massachusetts, decrying the hardships of the land and climate yet felt compelled to conclude that, "those which should escape or overcome these difficulties should

yet be in continual danger of the savage people, who are cruel, barbarous, and most treacherous, being most furious rage and merciless where they overcome, not being content only to kill and take away life, but delight to torment men in the most bloody manner that may be, flaying some alive with the shells of fishes, cutting of the members and joints of others by piecemeal and broiling on the coals, eat the callops of their flesh in their sight whilst they live, with other cruelties too horrible to be related. And surely, it could not be thought but the very hearing of these things could not but move the very bowels of men to grate within them and make the weak to quake and tremble." (The History of Plimouth Plantation by William Bradford Vol. I 1620 -1647)

Such grisly accounts were not unusual in this period, especially given the tortures endured by the Jesuits in the Canadian territories. Further south, in the Colony of Virginia, Thomas Glover described the original inhabitants in somewhat Old Testament terms as, "Very Vengeful - if one is killed, the relations of the slain person kill the murtherer or some of his family, though it be two or three generations after, having no justice done amongst themselves but what particular persons do themselves." (Glover p.137) [An Account of Virginia, its Situation, Temperate, Productions, and Inhabitants, and their manner of planting and ordering Tobacco, etc. communicated by Mr. Thos. Glover. Printed by T.R. for John Martyn, Printer to the Royal Society; at he Bell in St. Paul's Church-yard. London. 1676] Glover's further descriptions come closer to the peaceable and somewhat sensual image of the Noble Savage. He described their appearance as, "generally well proportioned as to their stature, being somewhat tall, but no waies corpulent; their hair black, usually hanging right down; their eyes also black, their

skin tawney, inclining to blackishness." (Glover p.135)

Also from Virginia comes an example of cultural interchange which sheds some light not only on contrasting practices, but on a secret sense of marvel shared by such explorers to discover the perfect logic and, in this case, efficiency of the non-Europeans. Glover relates his experiences with the sharing of fishing methods, although the English naturally felt an obliged loyalty to think their own methods superior. "They did formerly catch their fish after an odd manner," Glover relates, "before the English came amongst them"... Indian practice involved a bright fire in the bow of a canoe at night - the fish swarmed to the light and were easily speared. The English taught them the use of the hook and line. "But now they have learned of the English to catch fish with hook and line, and sometimes the English do use their way in dark nights.." Despite the patronizing tone, Mr. Glover seems to suggest that the English were not in the long run altogether convinced of the superiority of their methods. Glover's word choices leave the impression that he admitted the former method to be certainly more efficient. (Glover p.136)

In an age when a European patient might be fortunate enough to survive his disease if he were not killed by his doctor, Glover seems astounded at the native skills in matters of illness and remedy : "...neither did I ever know them to use any waies of Blooding or Cupping. If they have Wounds, Ulcers or Fractures, they have the knowledge of curing them. I did once see an Indian whose arm had been broken, and viewing the place, I found the bones to be as smoothly consolidated, and as well reduced, as any English Chirurgion could have done." (Glover p.137)

Rousseau would later argue that since the needs of the Natural Man were so simple that they could offer very few sources of sickness and so, therefore, no need of physicians. He cites examples of animals healed in nature by time as perfectly if not more so than any physician could do. (Harvard p.176) Foreshadowing Darwin's theories, Rousseau argues that in nature, the constitution is stronger by neccessity and that socialized man is weakened by dependency upon others. "Thus it is with Man himself. In proportion as he becomes sociable and a slave to others, he becomes weak, fearful, mean-spirited." In nature, he concludes, "Man is better equipped for self-preservation." (Harvard p.177)

Emphasizing the simplicity of their lives before the English colonists, (and inadvertently admitting to the spoiling of that more natural state) Glover describes their trade : "They have nothing to trade with but Deerskins, and some Bever, which they exchange with the English for Guns, Gunpowder, Shot and Brandy; having nothing before but Bows and Arrows, wherewith they killed their Deer and other wild Beasts." (Glover p.137)

Rousseau takes up this simplistic view of the child-like nature of the American natives in his SECOND DISCOURSE ON INEQUALITY: "It is so much more ridiculous to represent savages constantly murdering each other to glut their brutality, as this opinion is diametrically opposite to experience, and as the Caribbeans, the people in the world who have as yet deviated least from the state of nature, are to all intents and purposes the most peaceable in their amours, though they live in burning climate which seems always to add considerably to

the activity of these passions." (Harvard Classics p.197) As tragic heroes of the Neoclassical stage, however, these Noble Savages are given the full benefit of European education if not traditions.

Dryden distrusted Absolutism. (Dryden& Volt. p.54) Yet Dryden also perceived democracy as a dangerous delusion. (Dryden and Volt. p.42) Dryden's political skepticism can be seen through his dramatized encounters between European invaders and the Native Americans they hope to overthrow. In his dramas, Dryden makes full use of the conventions and themes of Jacobean Tragedy repeatedly confronting native innocence with European manners. In Dryden's scenes of love, for example, there is an underlying theme of seduction - of implied violence and violation- here used under the pretext of love, but in a larger context, for political and monetary gain. There is a purposeful double entendre on the conquest of the Mayans as the love scenes act in microcosm to the larger political arena.

Dissembling in love, raised to an art form by the courtiers of Dryden's audience, is contrasted with the more direct methods of the New World when a native maiden chastises her European suitor with as much panache as any fashionable lady of the audience might have done : "Here Love is Nature, but with you t'is Art." (Dryden p.296) Art in this case intending both artful construction and artifice or dissembling. Yet while she deplores the methods, she engages in the sport in a rather clever example of the fashionable banter requisite to late seventeenth century courtship.

But not all are so naive. Underscoring Post-Renaissance aristocratic codes of accepted and civilized behavior was the tenet of self-restraint. First espoused in books such as Castiglione's 'The Art of the Courtier,' published in 1526, these Humanist principles of willful control over natural passions were given new emphasis on the stage as evidenced in the observation of one of Dryden's Noble Savages that, "They have most Power who most their Passions hide." (Volt. & Dryden p.310)

Issues of power and its rightful usage; its misuse and of its corrupting influences on the human condition had long been debated on the Mannerist stage. The chief articulator of these arguments, William Shakespeare, had defined and redefined the responsibilities of Prince and subject. Renaissance statesmanship seemed dependent on the principles set down by Macchiavelli and made manifest in Shakespeare's characterizations of villains: most particularly of King Richard III and Iago. According to the combined constraints of the Courtier and of the political turmoil of the period, a monarch could not hope to rule effectively (nor for long) if emotions and natural impulses were not kept in check. Therefore, the further one advanced in the realm of political power, the further one was forced by necessity to stray from the true sense of the natural. Shakespeare and the early Stuart dramatists had taken the argument thus far when the theatres had been shut down by Oliver Cromwell in 1642. After a bloody civil war, which ended in the deposition, trial and execution of the King followed by a period of Puritanical rule which bordered on military dictatorship, the monarchy was restored in 1660. With the Restoration of the monarchy came the re-opening of the theatres and a period of expansion and query - commercial, scientific, artistic and political.

The English philosophers and poet/dramatists, in light of these experiences, would advance the Elizabethan argument further to debate the need to govern those who govern. Borrowing from the newly emerging mercantile system the concept of a system of checks and balances was introduced in terms of political power and responsibility. In an age when the rest of Europe adhered however reluctantly to the Divine Rights of Kings, the English advanced the notion of the Social Contract.

Hobbes believed that "Every man ought to endeavour peace, as far as he has hope of obtaining it. Every man ought to be willing (for peace) to lay down his right to all things; and be contented with so much liberty against other men, as he would allow other men against himself." (Oakeshott p.85) Hobbes' 'Doctrine of Natural Law' links the state of nature with civil society. Defined by Hobbes as "Dictates of Reason," these principles outlined the social contract of government. (State of Nature p.108)

Rousseau furthered the philosophy of the social contract espoused by Hobbes and Locke claiming that man "cannot owe obligation to another without their consent. If authority is not given, it must be taken by violence, which is a violation of natural rights. Force maintains and force overthrows. natural order." (Plattner p.99- 100) In the process of obtaining order and self-preservation, we must exchange our "Natural freedom for Civil freedom in order to live in community. By entering Political Society and leaving a state of war, a man brings himself closer to the freedom enjoyed by men in the true state of nature." (Plattner p.113)

Naturally, these concepts find debate on the Restoration stage. In a situation much like that in the myth of DIDO AND AENEAS (itself made into an opera by Henry Purcell in 1689) the rather revolutionary concept of social contract is espoused by Dryden in THE INDIAN QUEEN through the mouth of a seemingly simple and barbarian (by European standards) female Native to her European suitor/conqueror:

Alib: When Kings grow stubborn, slothful or unwise,
Each private man for public good should rise.
As when the Head distempers does endure,
Each several part must join t' effect the cure.

Guy: Take heed, Fair Maid, how Monarchs you accuse:
Such reasons none but imperious Rebels use:
Those who to Empire by dark paths aspire,
Still plead a call to what they most desire;
But Kings by free consent their Kingdoms take,
Strict as those Sacred Ties which Nuptuals make;
and whate'er faults in Princes time reveal,
None can be Judge where can be no Appeal. (Dryden p.314)

Thus rather advanced political concepts, 'out of the mouths of babes' engage an audience with a natural logic stemming from simplicity educating the politically and commercially active population. In the age of the Divine Right of Kings, such concepts would, within twenty-five years, lead the English to usurp their monarch in a Bloodless Rebellion and to reinvent a constitutional monarchy in the bargain. This relationship between duty and the crown, so popular a theme with Shakespeare, is re-examined by Dryden's Montezuma in terms of Neoclassical Christian philosophy:

Mont: The gods, who made me once a King, shall know
I still am worthy to continue so... (Dryden p.327)

As Montezuma is the tragic hero, he clings to a political belief, which was for the play's audience, on the verge of extinction. Thus, the Mayan King and the French Louis XIV are paralleled. This had also been the ill-fated defense argument of King Charles I (beheaded by Cromwell at the climax of the English Civil War in 1645) and would become the rally cry of all absolutists - the concept of Divine Right. However, Dryden gives Montezuma use of the word "worthy" thus opening the crown to critical observation and assessment. Rousseau would later argue, as Hobbes had, that "the positive (conventional) laws of political societies have a basis in right if they are in harmony with the laws of nature." (State of Nature p.106) By this measure, laws, which must be moral, go outside of nature if otherwise, and so a ruler responsible for those laws would be considered wrong - in a sense unnatural and therefore immoral and unfit.

The debate of free will and necessity, common themes of Jacobean tragedy, was taken up by Dryden in THE CONQUEST OF GRENADA, THE INDIAN EMPEROR and THE INDIAN QUEEN. In these plays Dryden's skepticism of religion borders on Natural Religion and Deism (Dryden & Volt. p.53) By introducing concepts of Natural Religion in confrontation with near-contemporary political figures such as Cortez and Pizarro, Dryden provided an immediacy of application to society. (Dryden & Volt. p.85) In THE INDIAN EMPOROR, Montezuma argues Deism while the priest conveys Dryden's view of a Roman Church distracted by greed from the business of Salvation. (Dryden & Volt. p. 54).

Mont: To prove Religion true--------
If either Wit or Suff'rings would suffice,
All Faiths afford the Constant and the Wise:
And yet, ev'n they, by Education sway'd
In Age defend what Infancy obey'd.
Priest: Since Age by erring Child-hood is misled,
Refer yourself to our Unerring Head.
Mont: Man and not err? what reason can you give?
Priest: Renounce that carnal reason, and believe.
Mont: The Light of Nature should I thus betray,
'Twere to wink hard that I might see the day. (Dryden p.329)

Here Dryden recalls Thomas Hobbes' LEVIATHAN (1651) in which he asserts that warfare - civilization's chief evil - is brought on by religious strife. Therefore, Hobbes argued, the state should be set over religion. “The Church must be subordinate in order to end the rivalry in temporal affairs. Unskilled divines are often less effective teachers of morality than poets, for when they call unseasonably for Zeal, there appears a spirit of cruelty; and by the like error, instead of truth they raise Discord; instead of Wisdom, fraud; instead of Reformation, tummult; and Controversie instead of Religion.” (Dryden & Volt. p.43 citing Critical Essays of the 17th Cent. II pp.58-59 Spingarn.)

Such elevated concepts of Natural Liberty and of Social Contract are again examined on the stage in Thomas Southerne's OROONOKO, THE ROYAL SLAVE (December, 1695). This play, although not preformed until after the Bloodless Rebellion of 1688, was based on the novel by Aphra Behn written in 1687. The setting of the novel - a slave rebellion in Surinam of 1676 - was based in fact although the characterizations and themes of tragically misplaced trust are wholly inventive. Mrs. Behn, a noted Royalist, had been in Surinam at the time of the slave rebellion, having arrived at about the same time as the slave ship which

brought the essentially fictional Oroonoko to the new English Colony. The story Mrs. Behn tells provides more than a tale of slave revolt in an exotic setting. Written just one year before a very similar rebellion in England, The Bloodless Rebellion of 1688, the story stands to mirror the political situation in England and to provide a rather futile view of the presumed benefits of civil war. With the exception of the noble Prince Oroonoko, the revolutionaries are given a rather treacherous treatment. Behn's Royalist sympathies for the Catholic James II can easily be traced. To some extent, these are modified in the play, influenced as Southerne must have been by the then established reign of the Protestant William and Mary.

Mrs. Behn, speaking from first-hand knowledge of the treatment of slaves in the great sugar cane plantations of the West Indies, portrays the English as more vile deceivers than Dryden had earlier portrayed the Spanish Conquistadores. She described the white settlers of Surinam as "such notorious villains as Newgate never transported." (Orroonoko p.54) As if in agreement, a contemporary, Capt. Henry Adis, writing to Lord Gov. Francis Willoughby from Surinam described them as "more brutish by far than the very heathens themselves." (Oroonoko p.58) Southerne builds on these reports to heighten the villainy of the English conquerors and to thereby elevates the doom of the unsuspecting slaves.

In Southerne's play, the African Prince Oroonoko, now brought to Surinam as slave to the Governor, establishes his place as an enlightened tragic hero when, even as a slave, he clings to the firm belief in the natural contract of trust between men:

Oroon: ...Nature abhors
And drives thee out from the society
And commerce of mankind for breach of faith.
Men live and prosper but in mutual trust,
A confidence in one another's truth. (Southerne p.31)

That this Neoclassical tragic hero is a 'non-European' (in this case, as in that of Shakespeare's Othello, a Black African) elevates his noble sentiments by contrast with contemporary expectations of his race to achieve new heights of neoclassic didacticism. As does Othello, Oroonoko exalts in his state of being considered 'other' than European in an act, not so much of racial pride, as one of rejection and scorn of European hypocrisy:

Oroon: Let 'em stare on.
I am unfortunate, but not ashamed
Of being so. No, let the guilty blush,
The white man that betrayed me. Honest black
Disdains to change its colour. (Southerne p.32)

Yet this Slave-Prince has the political beliefs of Hobbes, Locke, and presages Rousseau who would later write : "Beasts choose by instinct - Man by an act of Liberty." (Harvard p.178) Oroonoko reasons out his condition thus:

Oroon: I am a slave no longer than I please.
'Tis something nobler: being just myself,
I am inclined to think others so. (Southerne p.42)

To which his fellow slave, Alboan, himself an aristocrat in his own world replies:

When you put off the hopes of other men,
You will rely upon your god-like self
And then you may be sure of liberty. (Southerne p.62)

Rousseau in the SECOND DISCOURSE ON INEQUALITY picks up this thought: "Besides the right of property being of mere human convention and institution, every man may dispose as he pleases of what he possesses: But the case is otherwise with regard to the essential gifts of nature, such as life and Liberty, which every man is permitted to enjoy, and of which it is doubtful at least whether any man has a right to divest himself: By giving up to one, we degrade our being, by giving up the other, we annihilate it as much as much as it is our power to do so....it would be at once offending both nature and reason to renounce them for any consideration." (Inequality. Harvard classics p.223)

Later in the same scene, Orroonoko is urged by Alboan to lead the slaves in rebellion. Orroonoko is wary of revolution seeing it in terms of inevitable bloodshed. Alboan argues for the return to the natural state:

Oroon: And would you have me join in your design
Of murder?

Alboan: It deserves a better name.
But be it what it will, 'tis justified
By self-defense and natural liberty. (Southerne p.63)

Thomas Hobbes had legitimized Alboan's argument in his LEVIATHAN claiming that, "…a slave might do anything to gain his freedom since he was in a perpetual state of war with his master." (Hobbes p.63) Hobbes finds yet another voice on the stage in Otway's VENICE PRESERVED (1682) when Pierre urges revolution in arguments reminiscent of Alboan:

Pierre: Nay, its a cause thou wilt be fond of Jaffeir.
For it is founded on the noblest basis,
Our liberties, our natural inheritance." (Otway p.215)

In this scene, Oroonoko exemplifies Hobbes' concept of natural liberties: "The right of Nature...is the liberty which each man hath, to use his own power, as he will himself, for the preservation of his own nature: that is to say, of his own life. By Liberty is meant the absence of external impediments." (Oakeshott p.84)

However, according to Rousseau, "In a state of Nature, no man can enjoy superiority of wisdom (reason) that would entitle him to decide what is best for another." (State of Nature p.98) In deciding to lead the rebellion (even though he does so to protect his love, Imoinda) Oroonoko makes his fatal error. In a sense, by going against the natural state, he in effect demonstrates his tragic flaw.

Oroonoko, eventually deserted by his followers who have thrown themselves at the feet of the Christians disdains his fellow revolutionaries with an curse - a curse which seems to justify the slavery of those whose nature best fits that state:

Oroonoko: To think I could design to make those free
Who were by nature slaves - wretches designed
To be their master's dogs and lick their feet.
Whip, whip 'em to the knowledge of your gods,
Your Christian gods, who suffer you to be
Unjust, dishonest, cowardly, and base,
And give 'em your excuse for being so.
I would not live on the same earth with creatures
That only have the faces of their kind.
Why should they look like men that are not so?

When they put off their noble natures for
The grovelling qualities of downcast beasts,
I wish they had their tails. (Southerne pp.90-91)

Southerne maintains Orroonoko as the embodiment of the ideal state of nature when the Slave-Prince renounces authority at the hands of the 'civilized' Europeans. Oroonoko claims, “I was not born to render an account of what I do to any but myself.” (Southerne p.92) Such an argument, however ideal, is simply that - ideal. The audience would surely have recognized the danger to the social order inherent in such views. Yet Rousseau would later purport that owing to the natural goodness of humankind, such an ideal claim would be perfectly safe.

Blanford, a young officer, and seemingly the only Englishman in Southerne's play with a conscience, later attempts to sue for a peaceable end to the rebellion appealing both to the Governor's vanity and dread of punishment by his Christian God :

Have you no reverence for future fame?
No awe upon your actions from the tongues,
the censuring tongues of men that will be free?
If you confess humanity, believe
There is a God, or devil, to reward
Our doings here, do not provoke your fate.
The hand of Heaven is armed against these crimes
With hotter thunderbolts prepared to shoot
And nail you to the earth a sad example,
A monument of faithless infamy. (Southerne p.103)

Blanford attributes the most superficial political motivations to the treacherous Royal Governor - that of public approval. Certainly not a new perception (echoing strains of Machiavelli's pessimism) the essence of Blanford's plea was later voiced by Rousseau's

assessment of human nature, “He seeks his happiness in the judgements of others.” (State of Nature p.120)

Faced with his defeat, Oroonoko reasons out the moral questions implied in his options for survival. Here, he reacts to his experiences with the European political attitudes as shaped by the principle tutor of post-medieval politics - Niccoli Machiavelli:

Oroon: Of the Governor,
If I should turn his Christian arts on him,
Promise him, speak him fair, flatter, and creep
With fawning steps to get within his faith,
I could betray him then as he has me.
But am I sure by that to right myself? (Southerne p.108)

In rejecting the European or 'Christian' ways of artifice and deceit as a matter of conscience, Oroonoko is elevated to the status of the neoclassic tragic hero as both a moral example and as a 'Noble Savage' living in a true state of nature.

Conclusions

The late seventeenth century European vision of the New World and its original occupants can be seen through the eyewitness reports of early settlers. Some of these testimonies (especially those from North America) range from incidents of torture and horror which, although related as if as yet unknown in the Western World, in actuality rival the histories of many Christian cultures in the treatment of the 'outsider.' Others revert to

sentimentalized portrayals of races of grown children of unrivaled innocence which restore for the jaded European readership the promise of Paradise.

Perhaps one of the most popular and accessible portraits of the natives of this New World would have come through the theatre. Dramatists such as Dryden, Otway and Southerne, quickly responding to the fickle appetites of their audiences, eager for the rare and the exotic, grasped the opportunity to entertain and to mystify with tragic tales of far away kingdoms lost. In the bargain, these poets could not help but cast the mirror's gaze out across the footlights to show, through all the artifice and fantasy of the stage, their patrons' willing image. Through this, they could glimpse, past the traditions and conventions of their polite society, an ideal and enriching world of possibilities - both ethereal and political.

Through the medium of the theatre, the dramatist was able to build on Neoclassical ideals of noble and moral example while exploring current political thought through the safer screen of exotic locations and non-English in this case, characters. Consequently, what emerged was a new mythology for a New World. In an age of unprecedented discoveries (geographic as well as scientific) the imperfect deities of the Greek and Roman pantheons became an equally imperfect reflection of a cultural image. In this time of new definitions, through philosophers' pamphlets and ultimately, in the public theatre, concepts of social responsibility could be examined; the causes and consequences of rebellion could be made manifest and the perceived social ills of the culture could be addressed. From these examinations, emerged the myth of the Noble Savage ensconced in an unblemished world as yet untainted by European

vice. The ideal for the new Age of Reason, the Natural Man, engendered by philosophers was nurtured and defined on the tragic stage.

In the Neoclassical theatre, characters are never intended to represent anything but ideals - they are essentially variations on the recurring archetypes found in the literature of all cultures. The characters of these Jacobean tragedies present the cultural 'other' as the outsider and as such set the ideal squarely on foreign shoulders revealing themselves consistently as idealized representations of the audience (and its self-concept) more than they are an accurate depiction of their real-life counterparts.

Because they are the outsiders, however, the social ills are highlighted. The outsiders live up to the European expectations better than the Europeans. In this way, in an age where restraint and rational, logical behavior stand as the hallmark of civilization, the nobility of the savages serves as an enlightened and unfettered example of the European ideal. In returning to the state of nature in creation on the stage, where such fantasies are possible and indeed plausible, the playwrights provide the ultimate measure of themselves.

As Rousseau would later exclaim in State of Nature, it is "...a grand sight to see a man emerge from obscurity somehow by his own efforts...and what is even grander and more difficult - come back to himself to study man and know his nature, his duties and his end." (State of Nature p.8) Rousseau thus stresses the sublime fulfillment generated by self-knowledge (the goal of Enlightenment) but seems to also justify the dramatic art. By

returning to examine, which only humankind can do, we exercise those faculties which keep us from the Natural State but which our theatre, through willingness and imagination, can illuminate and ensure.

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Transculturalization, Translanguage and Transvalorization in Chicano Literature: a Sociolinguistic Religious Study on Cherríe Moraga's Play Heart of the Earth: A Popol Vuh Story

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Abstract

There have been many changes in academia concerning religious studies. A scientific study has converted to a multidisciplinary and polymethodological field. I propose a sociolinguistic religious study of the theatrical piece: Heart of the Earth: A Popol Vuh Story (2000) by the Chicana writer Cheeríe Moraga. As the theoretical framework, Eric J. Sharpe's work, Comparative Religion: A History (1986), offers an insight on the origins of comparative religion, the history and the significance of the terms, "comparative religion" and "religious studies". The principle theory used concerning the language and the restructuralization of the hegemonic power is that of the Argentine Walter D. Mignolo, The Darker Side of the Renaissance: Literacy, Territoriality,& Colonization (2003) and Local Histories/Global Designs: Coloniality, Subaltern Knowledges, and Border Thinking (2000). As presented, the indigenous language Quiché is conserved in Chicano literature and Moraga's drama offers a vital contribution to the recognition of indigenous languages and beliefs.

INTRODUCTION

In the last decades of the 20th century there have been many changes in academia concerning religious studies. What was once a scientific study has converted to a multidisciplinary and polymethodological field. The beginning of the 1970s reflects a nominative transition: the department of comparative religion changed to the department of religious studies. Eric J. Sharpe's work, Comparative Religion: A History (1986), offers an insight on the history of comparative religion and the significance of the terms, "comparative religion"— the discipline that exists by the elements of motive, material and method— and "religious studies"— a term without limits by which one realizes a multidimensional study of the religion. The multidimensional study of religion is defined as one not solely based on a scientific or historical perspetive, but one that incorporates a sociological, ethnological, anthropological, psychological, linguistic and communicative perspective.

In the year 1950, the International Association for the History of Religions was founded. The association developed the religious academic discipline, and contributed to the interest in religion that surged in the decades 1970 and 1980. Sharpe proclaims that "Comparative religion has always been multidisciplinary, and as comparative religion has broadened out into religious studies, the extent and variety of the available disciplinary options have increased to a bewildering extent." (317) Therefore, I propose a sociolinguistic religious study of the theatrical piece: Heart of the Earth: A Popol Vuh Story (2000) by the Chicana writer Cheeríe Moraga.

Chicana Literatura and Religiousity

To comprehend, interpret and study human diversity incorporates various world definitions that man has created. In this case, the focus is specifically the religious cosmic world view which includes a Mesoamerican myth. In United States academia, in religious studies, there are criteria to be considered a religion. To recognize the religions requires an interpretation from as many aspects as possible to catogorize the belief under the umbrella of religion. Therefore, the United States religious hegemonic power requires a restructuring of the knowledge concerning the indigenous people and their cosmic based religion in order for their belief to be respected as a religious perspective and cultural tradition with the purpose of connection to a god and the universe.

In the Chicano play under study such restructure is evident. The analysis of the world creation is based on a return to the indigenous belief. The restructure consists of the awareness of the indigenous cosmic religion that branches from a peripheral society in order to recatergorize itself as central and acheive a social shift. It is such empowerment that creates a hegemonic state in the Chicano world and literature.

The linguistic tool that is utilized to approach the people and create a change is Spanish and English. These principle languages communicate a positive message and reflect the bilingual richness heard in the Latino population. The languaging that Moraga uses encompasses many societies. The author's note defines her adaptation of the Quiché Mayan myth as a multilingual, multicultural text that demonstrates the standard English and Spanish, and Quiché, Maya, Spanglish, U.S. Southwest Spanish and the urban street English of the U.S. specifically, New York. Thus, in acknowledgement of the multidisciplinary vision offered in Chicano Literature, a linguistic, sociological and religious based study on Heart of the Earth: A Popol Vuh Story is presented.

THEORY

The principle theory used concerning the language and the restructuralization of the hegemonic power is that of the Argentine Walter D. Mignolo, The Darker Side of the Renaissance: Literacy, Territoriality,& Colonization (2003) and Local Histories/Global Designs: Coloniality, Subaltern Knowledges, and Border Thinking (2000). In both works it is evident that what was considered marginal, according to the colonial empire, requires a reevaluation and restructuralization in order for the so-called "marginal" to be viewed as central. Mignolo's objective is a proclamation of consciousness, to change our understanding of the construction of the "New World", understand the darkness of the European Renaissance, and give voice to the colonial periphery. Such ideology relates to Chicano literature.

The history of the Castilian language validates that language is one of the ways to control society. Mignolo states: "Formalized speech was one of the main instruments of socialization [. . .] socialization and social control emerged not only in what was being said but in the manner of saying it." (Renaissance, 209) The introduction of Castilian in the Americas was based on an historical and geographical movement. However, as they intended to banish the indigenous communication and introduce their language to form a nation with reverance to the Spanish Empire, simultaneously, the indigenous languages were tools used to communicate the necessary information to colonize. The Spanish introduced the alphabet and did not recognize indigenous hieroglyphics and songs as texts or a historiography. The repetition found in the songs was the method of communication and preservation of knowledge, however, the Spanish did not juxtapose them to their own writings. This study shows that the power of the indigenous culture

and language survived the supposed Spanish linguistic conquest for the indigenous languages are found today in Chicano literature.

The following quotes are taken into consideration for the transcultural, translanguage, and transvalorization of Heart of the Earth: A Popol Vuh Story. The definition of Mignolo's term transculturation is the following:

> Transculturation subsumes the emphasis placed on borders, migrations, plurilanguaging, and multiculturing and the increasing need to conceptualize transnational and transimperial languages, literacies, and liteatures. […] Transcultuation, in other words, infects the locus of enunciation, and not just as a social phenomenon allowing for the celebration of the "impure" in the social world from a "pure" perspective couched in a national language and "scientific" epistemology. (Border Thinking, 220)

Thus, this transculturation requires a change of the national monolingual ideology and the one epistemology that is defined as scientific. Mignolo offers definitions about the transimperial, transcolonial and transnational also. He explains:

> Transimperial, transcolonial, and transnational (and by *trans* I mean beyond national language and literatures as well as beyond comparative studies that presuppose national language and literatures) cultural studies could serve as a new inter- and transdisciplinary space of reflection . . . . (Border Thinking 221)

In Moraga's work there are various "trans" concerning the language and the indigenous ideology. In regards to the term "languaging" Mignolo creates a necessary space for the analysis of the Chicano text, he explains:

> Languaging . . . locates interaction among individuals, among human beings instead of in preexisting ideas. [. . .] It is precisely at the intersection between person, self, humans, living organisms—or what have you—where languaging is located as the condition of the possibility of language. (253-4)

He also continues by stating: "[…] bilanguaging in certain situations and in certain colonial legacies could lead the way toward a radical epistemological transformation."

(267) This is the transformation that Moraga offers the reader. It is also necessary to remember the following explanation by Mignolo:

> Bilanguaging and dialogical thinking, as practices as well as conceptualizations of such practices, should also contribute to the transformation of the human sciences into forms of knowing that outdo the humanitarian generosity of hegemonic power, and that recast cultures of scholarship by the recognition of diversity of knowledge which outshines monothinking and monolanguageing. (Border Thinking, 266)

The task could be arduous in a world where the hegemonic epistemology has had a Christian religious emphasis and a monolingual ideology. Nevertheless, in Moraga's play a multilingual center and an Amerindian ideology is recognized. Mignolo offers the following concerning a bicultural mind:

> The 'bicultural mind' (in my terminology the 'bilanguaging mind') is the 'mind' inscribed in and produced by colonial conditions, although diverse colonial legacies engender dissimilar 'bicultural minds'. Consequently, bilanguaging and nations will be shaped by the place that the nation occupies in relation to colonial and imperial structures. The local is inscribed in the global. (267)

These theories are recognized in Moraga's play and the following analysis offers an appropriate reflection. Therefore, the theoretical frame supports the reconnection of the indigenous languages, the popular languages of the people and a rejection of the English hegemonic role. In addition, it suggests a return to the religious beliefs and traditions found in the Chicano inheritance.

The Popol Vuh and Heart of the Earth: a Popol Vuh Story

If some believe that the Guatemalean Quiche Amerindians conserved the Popol Vuh in hieroglyphics or other graphic forms lost today, one can be assured that the teachings of the legend has been preserved and recreated by the prehistoric scenery in Cherríe Moraga's drama.

There is little literary criticism written on Heart of the Earth: a Popol Vuh Story. Luis O. Arata states in his article, "Performing the Maya Vision of Creation from the *Popol Vuh*," the following, "Moraga shaped Maya creation from her own feminist perspective. For her, art is political. Her version of the *Popol Vuh* could not do without what she has called "la fuerza femenina." (199) He also adds, "*Heart of Earth* touches what is perhaps most essential in the *Popol Vuh*; a spirit of celebration that embraces the mysteries of creation." (125) In Moraga's work her Chicana and Mesoamerican roots are expressed. The title Heart of the Earth: a Popol Vuh Story signals the ancient Quiché legend Popol Vuh,

In Richard King's, Orientalism and Religion: Postcolonial Theory, India and 'The Mystic East', King says the following concerning oral expression in religious expressions to promulgate awareness in the oral context and preserve its insight. "Memorization techniques, such as the use of mnemonic patterns, rhetorical formulae, and stylistic repetitions, are frequently adopted to aid the transmission of knowledge from generation to generation." (King 63) It was necessary that their descendants were prepared to share the information, the ideology, with future generations. Such repetition is seen in Moraga's play. Her use of indigenous language shows a power of the language in the 21st century, and the constribution of a religious-based play to Chicano literature.

In one scene Los abuelos kiss the infinite sky and their song is "Ucah tzucuxic, ucah xucutaxic":

retaxic,

ucah cheexic
meh camaxic
uyuc camxic

upa cah,
upa uleu

> cah tzuc
> cah xucut (48)

Nevertheless, Moraga does not limit her songs to Quiché. There is also a song in English. It is precisely the scene where the story of the Popul Vuh develops. Such theatrical aspect reinforces the idea that Moraga incorporates English in the Spanish/ Quiché story. It announces: "(*Counting out their footsteps in dance, they chant the following as they work, creating the site where the story of the Popol Vuh will unfold.)*" (49) and then the song in English, Spanish and Quiché.

> The East, the place where the sun is born.
> The South, el Mundo Tamanco.
> The West, the place where the sun passes into darkness.
> The North, el Mundo Pipil. (49)

The four corners of the world are intertwined with the three languages.

Such theme of the four corners is related to the work Popol Vuh, "[. . .] las cuatro esquinas del mundo, las cuales marcan los límites de lo que nos rodea por abajo y por arriba. " (36) In writing the story Moraga is aware of her audience. This communicative method is compared to Popol Vuh, in which there are questions such as the following: "Es justo y claro el lenguaje que usas? ¿En toda ocasión lo recuerdas bien? ¿Entiendes lo que aquí se dice y se sugiere?" (35) (Is it just and clear the language that you use? Do you remember it in all occasion? Do you understand what is said and suggested here?) Thus, Moraga connects on various sociolinguistic levels to achieve an understanding of the creation, the beginning of the planet and the humans, and the interest in the mode of communication is obvious in her story as well as the Popol Vuh.

Heart of the Earth: a Popol Vuh Story offers prayers through songs.

Ixquic, Blood Woman, mother of the second-generation twins, chants to the four directions in order to bring harvest. Ixquic says: "But this is not a test. It is a trick!

How am I o fill this net from such barren ground. *[Looking up to the moon.]* Querida Diosa Ixchel, Guardia del Bastimiento, te pido tu ayuda. *[She begins to chant, praying to the four directions.]" (65)*

Chant:

Ucah tzucuix
Ucah xucutaxic
retaxic,

ucah cheexic,
umeh camaxic,
uyuc camaxic
upa cah,
upa uleu
cah tzuc
cah xucut (65)

The above song calls the maize goddess. *"[Suddenly the figure of la diosa de maíz appears at the pyramid's peak. Corn spills forth from her month.]"* Ixquic responds: "X Toh, X Q'anil, X Kakav! Las Diosas have answered my prayers!" (65) The use of Quiché is a return to indigenous language and tradition and simultaneously Moraga continues her public consciousness in utilizing the three languages in the scene.

Another character, Rat, is the coloquial voice of the hegemonic language, however, one could consider it a peripheral dialect compared to the standard English language. Rat communicates using the following words in his discourse: "Jesus H. Christ!" (67), "punk", "I ain't tellin' you jack." "ole lady" "purty" "brutha" "jus'" (68), "Take me with yous." (69). Through her characters one notices a Chicana's perspective of the society and the written language portrayed is a mix of the richness and diversity found in the human race. The games, the tricks, that are used in the religious organizations are seen in Moraga's play also. There is a soccer match in which Hunahpu and Ixbalanque fool the gods of death, Patriarcal Pus y Blood Sausage. In addition, there

is a doble meaning of the word "race". In one scene Hunahpu y Ixbalanque enter and see Cucumatz y Ixpiyacoc:

> HUNAHPU: [*Spying the creation*.] Hey, what are you making?
> CUCUMATZ: The human race, my sons.
> IXBALANQUE: What's a human race?
> HUNAHPU: Can we join?
> CUCUMATZ: Certainly not. You are gods.
> IXPIYACOC: It's not a contest. It's a —people.
> HUNAHPU: [*Not understanding*.] Oh.
> IXBALANQUE: What's a people?
> CUCUMATZ: Living beings who long to know the face of their creator. (72)
> IXPIYACOC: Run along now.
> [. . .]
> IXPIYACOC: Go to the plazeula to play. (72)

Thus, the word "race" has two meanings: it signifies the human race and a game to see who wins. The important aspect of the dialogue is the message related to the Popol Vuh: humans should thank their creators and always be conscious of this homage to that omnipotent energy that has created the universe, the human.

Mignolo discusses a shiftable center and geometric projectiones. If the historical past demonstrated that "Amerindians themselves were not allowed to tell their right part of the story" (313), Moraga remembers the customs that, "Memory, imagination and repetition of information keep the stories of generations alive." (259)

Although Chicano literature could be classified as peripheral, for Moraga the truth corresponds to her world, her awareness of the human purpose in the universe. Moraga's contribution to the Chicano literature concerning religiousity reflects an intention to restructure a perspective on the indigenous traditions. It is evident that in Chicano theatre there is a reinterpretation of the indigenous heritage. The fact that there is a Chicana perspective about the world and a voice that offers a return to the ancestral Mesoamerican roots contributes to an understanding that the non-marginal perspective and valorization of the traditions of the U.S. Latino society must be continued.

CONCLUSION

The transculturazation and reevaluation of the new Chicano world is recognized in the drama Heart of the Earth: a Popol Vuh Story. Moraga's work contributes a world construction and the support of that world construction without being isolated from many social classes. The linguistic technique that Cherría Moraga utilizes to construct the return to the indigenous language is not a hegemonic language, standard English or Spanish. The indigenous language Quiché is conserved in Chicano literature and is a vital contribution to the valuable recognition of these indigenous beliefs. Furthermore, a language that, according to academia, was considered peripheral in the year 1970, now is known as the Chicano coloquial Spanish, and enters an academic world via the success of the Chicano literature that advances the socio-linguistic phenomena.

The themes and language in Cherríe Moraga's play correspond with various social levels, acknowledges the indigenous roots and adopts a new socioreligious system in the United States. A consciousness of the indigenous religion is transmitted and juxtaposed to the Christian religion and hegemonic language to create a transcultural ideology. In conclusion, the purpose of the study of this play is to demonstrate a symbolical and ethical approach concerning the strong indigenous roots and social value of the Latinos expressed in Chicano Literature.

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1. Title: "Difficulties with the Skeptical Theism Response to the Problem of Evil"

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6. Abstract of paper:

In response to the problem of evil, many theists have employed an argument that has come to be known as 'skeptical theism.' Proponents of skeptical theism argue that we don't have the perspective to assert that apparently gratuitous evils are not defeated by some greater good(s) beyond our ken, since it is entirely likely that our cognitive limitations would prevent us from being aware of such good(s) if they did exist; and since we cannot determine whether such good(s) exist, we are in no position to say that the apparently gratuitous evils we experience constitute any evidence at all against God's existence. In this paper I argue that skeptical theism is vulnerable to the charge that its cognitive limitation strategy opens up a wealth of skeptical problems concerning the theism it is invoked to defend. After presenting a battery of arguments to this effect, I conclude that theists would be much better served by abandoning skeptical theism in favor of theodicy.

Difficulties with the Skeptical Theism Response to the Problem of Evil

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I. Introduction

The problem of evil[1] is a perennial problem for theism. The argument from evil is well known and *prima facie* easy to understand: if the world was created by an omnipotent, omniscient, and perfectly good God, then it would contain no evil; and yet evil certainly exists; hence God (so described[2]) cannot. In this essay I intend to revisit the hallowed (or perhaps unholy) ground of this ancient struggle between theism and atheism. Specifically I will concentrate my analysis on one species of proposed solution to the problem of evil: skeptical theism[3]. Skeptical theism is one of the more popular contemporary arguments employed to deal with the problem of evil. It works by arguing that the evil we experience may in fact, for reasons beyond our ken, be a necessary correlate of the actualization of higher goods. The fact that we cannot discern these goods should not count against their existence and validity, however, for, given our limited epistemic capacity, we should not *expect* to be able to discern them. Because of this, the evidence afforded by evil shouldn't be taken to count against the perfect goodness of God, and consequently the problem of evil cannot get off the ground. In this essay I will present a cumulative-case argument against skeptical theism. The prevailing theme that unites my arguments can be expressed in one sentence: skeptical theism can be used to dissolve the problem of evil at only the cost of the maintenance of epistemic license to the theism it is invoked to defend.

In section **II** I will explain skeptical theism (ST) through elaboration of the argument advanced in its support. Special attention will be given to the ST arguments of Stephen Wykstra and William Alston. Section **III**, the main body of the paper, will contain my battery of arguments against ST as a viable theistic response to the problem of evil. In Section **IV** I argue that the failure of ST evidences the need for a positive theodicy as the only way for theism to satisfactorily deal with the problem of evil.

II. The case for skeptical theism: reasons for epistemic humility

We can take William Rowe's 1979 formulation of the problem of evil[4] as our starting point.

(1) There exist instances of intense suffering which an omnipotent, omniscient being could have
prevented without thereby losing some greater good or permitting some evil equally bad or worse.
(2) An omnipotent, omniscient, wholly good being would prevent the occurrence of any intense suffering it could, unless it could not do so without thereby losing some greater good or permitting some evil equally bad or worse.[5]
(3) Therefore there does not exist an omnipotent, omniscient, wholly good being.

The crux of ST is a denial of our ability to know - or even plausibly suppose - premise (1). In order to employ (1), it is argued, we must be in a position to know or at least plausibly suppose that the evils we experience are not justified by any morally sufficient reasons whatsoever or vindicated by being a necessary correlate of the actualization of a greater good. The role played by 'morally sufficient reason' and 'greater good' are crucial here. Take, for example, the case of parents who intentionally cause or allow their child to suffer from radiation poisoning. If this were done without any greater good in view, then it would certainly be a case of gratuitous evil, and would be strong evidence that the parents are not good people. However, the parents could be said to possess a *morally sufficient reason* to intentionally subject their child to such pain if doing so is a necessary (though unfortunate) condition of achieving a *greater good* - say, the eradication of the child's cancer. In such cases, the actualization of the greater good 'outweighs' the suffering that it (unfortunately) entails, and the parents' action is morally justified. In a similar way, God may have a morally sufficient reason to allow instances of (even horrendous) evil if the evil in question is a necessary correlate of the actualization of a higher good[6]. The atheist's claim in (1) implies that we are in a position to know or at least plausibly suppose that the evils we find in the world (whether moral or natural) are not justified by any higher goods (and thus God could have prevented them without losing a higher good). In constrast, the skeptical theist

argues that, given God's transcendent nature, and our limited nature in comparison, *we are in no position to judge* that there are no goods that justify God in permitting the evil - even horrendous evil - that exists in the world. Hence, epistemically speaking, we have no right to say that the evidence of evil counts in any way against the likelihood of God's existence. To put it crudely: we are not God, and for all we know God has perfectly morally sufficient reasons for allowing the existence of evil, reasons which (logically) entail that God cannot prevent evil which appears gratuitous to us without losing some greater good or permitting some evil equally bad or worse. And if we cannot know these reasons, we cannot assert (1), and the argument from evil is stillborn.

Variations on this theme have been written by Daniel Howard-Snyder, Michael Bergmann[7], Stephen Wykstra[8], and William Alston[9], among others. In the remainder of this section I will develop ST in more detail by elaborating the arguments of Wykstra and Alston before proceeding, in section **III**, to tender a collection of criticisms of ST as a satisfactory response to the problem of evil.

Stephen Wykstra's skeptical theism: CORNEA and the Parent Analogy

Stephen Wykstra has developed a criticism of Rowe's argument from evil in a collection of articles spanning the past twenty years. Wykstra's criticism involves a denial of Rowe's premise (1) on the basis of an epistemic principle he terms CORNEA ('**C**ondition **O**f **R**easo**N**able **E**pistemic **A**ccess'). What is this principle? In Wykstra's words: "In brief, CORNEA says that we can argue from "we see no X" to "there is no X" only when X has "reasonable seeability" - that is, is the sort of thing which, if it exists, we *can reasonably expect* to see in the situation."[10] Thus, for example, it would be a violation of CORNEA for me to claim that there are no Mongolians living in St. Louis. It is true that I don't know of any Mongolians living in St. Louis (I've never encountered any, nor have I heard of anyone encountering any), but it would be going beyond my epistemic rights to positively claim that

there are no Mongolians living in St. Louis. I do not have reasonable epistemic access to such specific facts about foreigners living in the city. Perhaps if I were in charge of the city census I could make such a claim without violating CORNEA, but as I am not, the violation stands. To further illustrate: we would be within CORNEA by claiming that the universe contains over 100 stars, but we would be violating CORNEA by claiming that there are no solar systems in the universe that contain 20 planets larger than Jupiter: just because we don't see any such solar systems doesn't mean we have the epistemic license to positively pronounce that none exist.

Wykstra applies the CORNEA principle to Rowe's premise (1). This premise, according to Wykstra, holds only if we have reasonable epistemic access to the complete (or nearly complete) range of possible goods that might justify God in allowing instances of intense suffering: "By CORNEA, Rowe's noseeum argument [i.e., we can't see morally justifying reasons for the evils we experience, therefore there are none] works only if it is reasonable for Rowe to believe that if there were God-purposed goods served by all suffering, it is likely that we would have something different than his noseeum data [i.e., that we would have access to the 'God-purposed' goods]."[11] Do we have such access? Wykstra contends that we do not: given the fact that an omnipotent, omniscient God so greatly transcends us, we should not *expect* to know what goods (or the full range of goods which) could provide morally sufficient reason for God to allow the existence of horrendous evil. He illustrates this via 'the Parent Analogy':

> it might not be unlikely that we should discern some of [the goods that logically necessitate
> yet outweigh perceived evils]...But that we should discern most of them seems about as likely that a one-month-old should discern most of his parents' purposes for those pains they allow him to suffer - which is to say, it is not likely at all.[12]

And again:

> if there is a being who created and sustained this universe around us, the wisdom and vision of this being would be considerably greater than our own. Given what we independently know of our cognitive limits, I [suggest] that the vision of such a being might well be to ours, as a parent's is to that of a one-month-old human infant.[13]

If this is correct, then there well might be morally sufficient reasons tied to the actualization of higher goods which are beyond our ken (as the parents' intentions are beyond the infant's ken) which justify the existence of evil. The mere fact that we can't detect any goods which would outweigh the evil, of itself, is no argument that there aren't any. To suppose that there are none based on the fact that we cannot detect any is to commit the fallacy of ignorance, and to violate CORNEA. We lack epistemic license to (1), and thus cannot use it in an argument from evil. Thus the problem of evil dissolves, and (presumably) leaves us curious as to what God's reasons for allowing evil could possibly be, but rationally content in holding that we probably cannot know.

William Alston's skeptical theism: the many facets of our cognitive limitations

Alston's main point is essentially the same as Wykstra's:

> The criticism I shall be supporting attacks the claim that we are rationally justified in accepting [(1)], and it does so on the grounds that our epistemic situation is such that we are unable to make a sufficiently well-grounded determination that [(1)] is the case...[my] criticism claims that the magnitude or complexity of the question is such that our powers, access to data, and so on are radically insufficient to provide sufficient warrant for accepting [(1)]. And if that is so, the inductive argument [from evil] collapses.[14]

Alston's ST argument nicely compliments Wykstra's by going into more detail concerning the ways in which we are epistemically challenged vis-à-vis Rowe's premise. According to Alston, the following six doubt-makers suggest that our epistemic grounds vis-à-vis the divine are slight indeed: (i) Lack of data: "the secrets of the human heart, the detailed constitution and structure of the universe, and the remote past and future, including the afterlife if any", (ii) Complexity greater than we can handle: "Most notably there is the difficulty of holding enormous complexes of fact...together in the mind sufficiently for comparative evaluation", (iii) Difficulty of determining what is metaphysically possible or necessary: "it is notoriously difficult to find any sufficient basis for claims as to what is

metaphysically possible, given the essential nature of things, the exact character of which is often obscure and virtually always controversial. This difficulty is many times multiplied when we are dealing with total possible worlds or total systems of natural order", (iv) Ignorance of the full range of possibilities: "If we don't know whether or not there are possibilities beyond the ones we have thought of, we are in a very bad position to show that there can be no divine reasons for permitting evil", (v) Ignorance of the full range of values: "we are...in a very poor position to answer the question [of whether some good is related to the evil we experience in such a way as to justify God in permitting it] if we don't know the extent to which there are modes of value beyond those of which we are aware. For in that case, so far as we know, [the evil] may be justified by virtue of its relation to one of those unknown goods", and (vi) Limits to our capacity to make well-considered value judgments: "the difficulty in making comparative evaluations of large complex wholes".[15]

Because of these factors, Alston diagnoses the atheist's epistemic warrant for (1) as highly disputable on two fronts. Not only must the atheist (i) be able to produce a justified denial of the possibility that there are goods which justify the allowance of evil which are in principle beyond our ken, he must also (ii) be able to demonstrate that theodicies based upon goods *within* our ken (the free will theodicy, the 'soul-making' theodicy, the argument from the need for knowledge, etc.) fail. The former seems patently impossible, given that such goods, if they exist, are beyond our ken; the latter seems nearly impossible, given the wealth of theodicies that the atheist would have to undermine with his very limited epistemic powers. In Alston's words,

> Perhaps, unbeknownst to us, [suffering] is necessary, in ways we cannot grasp, for some outweighing good of a sort with which we are familiar, e.g., supreme fulfillment of one's deepest nature. Or perhaps it is necessary for the realization of a good of which we as yet have no conception...Thus there is an unquestionably live possibility that God's reasons for allowing human suffering may have to do, in part, with the appropriate connection of those sufferings with goods in ways that have never been dreamed of in our theodicies.[16]

What are the results of these ruminations? Alston tells us,

> Since it is in principle impossible for us to be justified in supposing that God does not have sufficient reasons for permitting [evil] that are unknown to us, and perhaps unknowable by us, no one can be justified in holding that God could have no reasons for permitting [any given case of apparently gratuitous suffering].[17]

Similar arguments and considerations are given by different proponents of ST. The upshot of this line of reasoning is that we have no good reason to think that we're epistemically situated to assert (1). And if this is not possible, the problem of evil clearly can't get off the ground.

III. The case against skeptical theism: ST as inimical to epistemic right to theism

Is ST a satisfactory response to the problem of evil? Many thinkers are unconvinced. The dominant line of criticism in the literature - developed especially by William Rowe and Bruce Russell[18] - is a direct counter-attack against ST, and attempts to strengthen the case for our epistemic right to (1) in various ways. These attempts have in turn been met with bolstered ST arguments[19]. However, the line of criticism that I will develop below is a bit different, and, I believe, more potent. For the purposes of my argument, I intend to grant that ST can defeat all Rowesian-Russellian type arguments to the effect that we have epistemic license to (1). I will present ST in what its proponents would consider its strongest form. What I hope to show, however, is that the result of this - the result of construing skeptical theism in its most persuasive light - is highly detrimental to theism. Ironically, it turns out that the extent to which ST is successful is directly proportional to the extent to which our epistemic access to the theism it is invoked to defend is undermined. Skeptical theism opens a Pandora's Box of skepticism against theism itself, and is therefore, I suggest, largely self-defeating.

My cumulative case argument is composed of the following four points:

(i) ST has the effect of making confident knowledge (i.e., knowledge not vulnerable to reasonable skepticism) of the correctness of our own conception of goodness, and confident knowledge of God's actual moral will, at the least highly questionable and at the most impossible;

(ii) In fact there is good reason to think that ST makes *a great deal* of very important theological knowledge suspect;
(iii) ST makes it virtually impossible for any amount of evil to act as evidence against belief in the existence of God; and
(iv) The epistemic limitation considerations contained in ST can be consistently used in reverse: that is, they can be used to disclaim any ascription of certitude or likelihood that apparently good events are evidence of the work of a good God.

I will take each of these points in turn, but will give more attention to (i) than to (ii) - (iv).

Before proceeding, however, some clarification needs to be made concerning the nature of the goods whose postulation is contained in ST. ST involves the assertion of the possibility that there may be higher order goods which are in some way unencompassable by, or unavailable to, the human mind, which have a logical relation to what we experience as apparently gratuitous evil (viz., the existence of the latter is said to be a logically necessary correlate of the former).[20] Alternatively, the logical relation itself may be what's encompassable. Obviously no concrete examples of such goods can be given (else they wouldn't be beyond our ken!), so we can only say something of this sort: there is an unknowable higher good X (henceforth HGX) which is beyond our ken but which provides morally sufficient reason for God to allow evil (alternatively we could say there might be several such HGXs which account for different sorts of evil, but nothing turns on this). Thus the HGX hypothesis involves the postulation of a higher (and intrinsically inscrutable) *order* of good, one which has *modal* relations to the evil we experience (viz., HGX logically necessitates it, though in an inscrutable way).

One final note: as my above comments imply, I will be primarily criticizing those versions of ST which take seriously the possibility that there exist goods *beyond our ken*. I make this specification because, as has been shown, not all versions of ST need include such: Alston, for example, points to the possibility that our epistemic limitations hinder the atheist's capacity to undermine the multiplicity of theodicies *within* our ken. I think that a strong case can be made for the thesis that epistemic humility concerning the latter opens the

door to the notion that there may be goods beyond our ken, but for the purposes of this paper I will not pursue that claim in any detail.

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(i) ST works to the extent that our knowledge of the modalities and orders of goodness is limited. A proper discernment of this limitation, ST argues, entails suspension of judgment on the modalities and orders of goodness available to God's omniscient mind, and a correlative agnosticism regarding the first premise of Rowe's argument from evil. This position certainly has *prima facie* plausibility: our position in the universe certainly appears to be one of considerable epistemic limitation, and a far cry from omniscience[21]. But a very deep problem lurks beneath such pronouncements. If we are to take this position seriously as a defeater of the problem of evil then we also have to take seriously two possibilities:

(A) *Our cognitive limitations are such that we cannot have confident knowledge (i.e., knowledge not vulnerable to reasonable skepticism) of what goodness is*.
(B) *Our cognitive limitations are such that we do not know God's actual moral will*.

Certainly no theist can accept these claims in their strongest form and maintain theism at the same time.[22] Yet it seems that the very act of stressing our cognitive limitations in relation to an omniscient God and the possible modalities and orders of goodness suggests A and B as live possibilities. Consider, for example, the following three accounts of the nature of our cognitive limitations in relation to the nature of goodness:

(a) It is possible that our cognitive capacity is such that we cannot discern certain HGXs which logically entail the evil which appears to be gratuitous. On this account the HGXs do not conflict in any way with our awareness of the nature of goodness. That is, none of the HGXs entail that what we consider good is in fact not good, or that what we consider bad is in fact not bad. Rather, what we consider good is in fact good, and what we consider bad is in fact bad. The only difference is that there exist at least one higher order of goods, HGXs, whose (justified) actualization by God logically entails certain instances and sorts of evil. This is the picture that the ST proponent paints. It is consistent with the maintenance of

theism, and, supposing it to be true, the existence of evil in no way makes God's existence implausible. However:

(b) It is possible that our cognitive capacity is such that our perception of the correct placement of the orders of goodness is erroneous. For example, it might be the case that we perceive free will to be a higher good than sexual pleasure, when in fact some HGX entails that the reverse is true. This seems wrong to us: free will certainly *appears* to be a higher good than sexual pleasure, but given the epistemic limitations introduced by ST, it seems we haven't the warrant to judge the matter. It might be asked how a HGX could have such an effect. In response it must be said that a concrete example cannot be given (since such would involve specifying a good that is beyond our ken, which is patently impossible), but the possibility can be suggested through a description of a similar process at work in goods within our ken. Take this example from history. It used to be considered by many that forcible imposition of the benefits of advanced Western culture upon more 'primitive' peoples who lacked it would be better (a greater good) than leaving them unmolested or protecting (or learning from) their cultural idiosyncrasies (a lesser good); however, the introduction of the higher good of tolerance has suggested that this arrangement of the orders of goodness is incorrect. It is suggested today that it is a higher good to leave such cultures (relatively) unmolested and to peacefully learn from them, and a lesser good to forcibly impose the benefits of advanced western culture upon them. The suggestion being made in connection with the current discussion is thus that the epistemic limitations suggested by ST open the possibility that there exist HGXs which entail that our apprehension of the correct placement of the orders of goodness is incorrect. A still more damaging possible account of our understanding of the nature of goodness suggests itself, however:

(c) It is possible that our cognitive capacity is such that we perceive certain things to be goods which in fact are *not* goods in relation to (that is, as entailed in some way by) HGXs. In this scenario, what we take to be good only *appears so to us*; but the truth is rather that it either has no moral value, or it is in fact bad. For example, it might be the case that, for

reasons beyond our ken, some HGX entails that concern for people beyond one's immediate family has no moral value whatsoever (i.e., it is morally neutral). Or it might be the case that some HGX entails that setting a day aside for prayer is positively wrong. Such notions certainly strike us as incorrect, but according to the epistemic perspective that informs ST we lack the warrant to conclude that they are in fact wrong. Again, concrete examples of this sort of HGX influence cannot be given, but examples from cases of such 'good-trumping' within our ken can serve to clarify what I am suggesting. Take, for example, the case of racism. For racists (past and present), it is considered a good thing to enforce inequality between certain races. This is based upon the conviction that the 'lesser' race has, in some way, inherently less value than the 'greater' race. Further socio-ethical development, however, suggests that there is a higher good - again, we can use tolerance - which shows racism to have not been a 'good' at all, but just the opposite. In this case, a higher good entails that what was considered good is in fact bad. Further examples are not hard to find: smoking cigarettes was considered a good before it was discovered that doing so compromises the higher good of health, thus making smoking bad; cannibalism has been considered a good before the 'higher' notion of the good of respect for human persons has recast the activity as bad. And so on. What has been suggested here is that, given the epistemic limitations vis-à-vis the orders and modalities of goodness engendered by ST, it well might be the case that some of the things we strongly consider goods are, in a similar way, 'trumped' by HGXs. If this were the case, our knowledge of the nature of goodness might be *altogether* erroneous.

These three scenarios (and more could probably be devised) are all consistent with the possibilities for epistemic limitation contained in ST, and, given the epistemic limitation involved in ST, we are not in a position to deny any of them. Now, it is clear that many theists will not want to accept some of the claims associated with (b) and (c). Yet to the extent that we are epistemically challenged in relation to the orders and modalities of goodness, it is possible that our cognitive situation is similar to (b) or (c). But if this were

the case, then we would be said to lack, to some extent, correct discernment of the nature of goodness. To *what* extent exactly? We cannot say: this too falls under the aegis of judgments for which we lack epistemic warrant. At the most, we could say what *seems* "good" *to us*, without any assurance that what *seems* good to us really *is* good.

An even more problematic possibility suggests itself at this point. If it is possible that the true orders and modalities of goodness are, given our epistemic limits, inscrutable, then, given that God's relation to goodness takes these true orders and modalities into account, what confidence can we have that our conception of God's goodness is at all accurate? Consider these two possibilities: 1. God's relation to goodness, for reasons beyond our ken, necessitates that God actively enjoy human suffering. 2. God's relation to goodness, for reasons beyond our ken, necessitates that God care not a whit for human affairs whatsoever (think of Epicurus' gods). Neither of these alternatives are conclusively ruled out by the epistemic humility engendered by the considerations advanced in support of ST; and insofar as the response works to the extent that it relies upon the possibility that our conceptions of such things are limited (and hence possibly quite flawed), 1. and 2. - situations wholly anathema to theism - well might be the truth. We simply do not know[23]. These possibilities present themselves with all the greater force to the extent that the epistemic limitations invoked in ST are taken seriously. Theists who utilize this response to the problem of evil could be consistently accused of throwing the baby out with the bath water. In their zeal to demonstrate the possibility that we haven't the perspective to judge the matter aright, the question of what we *do* have the perspective to judge aright, concerning what goodness is, and the way in which God is "good", rises with all the more force. And the harder a proponent of ST campaigns to show that we lack the epistemic capacity to make justified pronouncements about God's relation to goodness, the more plausibility is given to the thesis that we well might not have the correct perspective on *any* of the relevant concepts regarding God's "goodness". The difficulty that has been explored here is whether a theist can employ

ST *and at the same time* coherently maintain epistemic license to knowledge of God's actual moral will and a confidence in the correctness of our own intuitions of goodness.

Note, however, that I am not arguing that it is likely that we cannot know what goodness is or that we cannot have confident knowledge of God's moral will. What I am arguing is that the epistemic constraints imposed by a strong rendering of ST entail that we are not in a position to judge that these possibilities are unlikely. That is the irony of a theist employing ST: in defending theism from doubts engendered by the existence of evil, doubts are multiplied about theism itself. ST opens a Pandora's Box.

(ii) The foregoing considerations suggest an even more pervasive problem for the theist who wishes to make use of ST. Because of space constraints, I will only be able to hint at this further problem here. My argument in (i) suggests that ST precludes confidence in our epistemic capacity to grasp the true orders and modalities of goodness and the nature of God's actual moral will. It seems that the epistemic situation, however, might be even worse for the ST proponent, for it seems to undermine the possibility that we could have much confident knowledge of God whatsoever. As the proponent of ST stresses, God is the sort of being, regarding whom, in Alston's words, "[we] have a very sketchy idea of what is in that territory, and...no sufficient basis for an estimate of how much of that territory falls outside [our] knowledge"[24]; therefore "It is surely the better part of wisdom to acknowledge that we are groping in the dark in assessing the extent to which we can survey the whole field."[25,26] Consequently, it is entirely possible a great many of the claims about the nature of the divine are beyond our epistemic rights. Any attempt by a proponent of ST to make claim to knowledge of this sort can be met with the same sorts of epistemic doubt-makers that Wykstra, Alston, et al. employ in attempting to defuse the problem of evil. To use Alston: (1) Do we have access to all the relevant divine data? (2) Doesn't God possess more complexity than we can handle? (3) Can we really determine here what is metaphysically possible or necessary? (4) Do we have a confident grasp of the full range of possibilities

regarding such an entity? And so on. What, then, can we say with any kind of epistemic confidence regarding *any* aspect of our knowledge of God? How can we consider ourselves sufficiently justified in much or even most of our knowledge of what God is, or what God is capable of, or what God has done, or what the exact nature of our relationship is with God, or what our relationship to God should be? Certainly no theist would want to concede that such broad swaths of subject-matter are beyond our epistemic capacity to such an extent that reasoned judgments about them are impossible. Obviously, arguments of this sort need more detailed development, and it may well be the case that in some matters, at least, we could consider ourselves as possessing the requisite epistemic warrant. But it is *prima facie* very unlikely, it seems, that skepticism concerning all of the claims regarding God that do not involve the range of God's reasons for evil could be overcome once the considerable epistemic limits suggested by ST are given voice. I suggest that such problems have bite in direct proportion to the extent that ST is taken seriously. Skeptical theism as a response to the problem of evil, like a virus, becomes scepticism about theism as a whole.

Notice that I have not argued that the scepticism introduced by ST infects our access to knowledge *across the board*. Some thinkers[27] have made this case, and I support Alston in when he responds that,

> [I have been arguing that] when [our normal epistemic standards] are applied to *the kind of claim exemplified by Rowe's (1)*, it turns out that this claim is not justified and that the prospects for any of us being justified in making it are poor at best. This is because of *the specific character of that claim, its being a negative existential claim concerning a territory about the extent, contents, and parameters of which we know little*. (Alston 1991, p. 121. Italics added).

I accept the distinction that Alston makes: there is an important difference in our epistemic access to certain facts about the world (e.g. that my car will not start) and our epistemic access to the awareness of an omniscient being. But I fail to see how Alston can suppose that the epistemic limitation introduced in relation to Rowe's premise (1) *can be restricted to* Rowe's premise (1). And in fact, Alston gives no arguments by way of attempting to justify this restriction. He implies that the restriction is defensible ("my argument...is not based on,

nor does it support, a general theological scepticism. It is compatible with our knowing quite a bit about the divine nature, activities, purposes, and relations with humanity." (Alston 1996, p. 321)), but he provides no actual defense. What he provides, instead (along with Wykstra and the other proponents of ST), are the makings of a very sharp double-edged sword.

(iii) A further problem of ST is that it seems to make it virtually impossible to consider any amount of evil, no matter how widespread or heinous, as viable evidence against the goodness of God. To put this problem in the most severe light, let us imagine a truly hellish world. There *appears* to be no hope; *virtually* everyone suffers from the most painful disease and psychological torment from the moment they are born until the moment they die; the world is *more often than not* ruled by depraved tyrants who take pleasure in inflicting the most horrible kinds of suffering upon the people. Surely in *this* scenario we would have some counterevidence to the idea that the world was created by a being of perfect goodness and omnipotence? Not so, the proponents of ST can always claim; for it may be possible that a world which *appears* to be wholly and completely hellish is in fact morally justified, given HGX which provides God with morally sufficient reasons that we cannot discern for creating such a world. Proponents of this argument are forced into the position that the mere fact that such a world appears to be thoroughly hellish shouldn't count against the idea that it was created by a perfectly good God. We simply haven't the perspective to judge the matter. At this point we are confronted with a *reductio ad absurdum*: surely something has gone wrong if such a world could count for *nothing* as evidence against the perfect goodness and omnipotence of its creator.[28] Yet ST, taken to its logical conclusion, seems to consistently allow for even this scenario.

(iv) Problem (iii) suggests yet another problem. If ST is taken seriously, what reason would a theist have for citing apparently "good" events and circumstances as evidence of the

agency of a good God? Mightn't it be the case that we lack the correct perspective to correctly judge *these* cases as well? For the sake of consistency, mustn't a proponent of ST say that there is also the strong possibility that we lack the correct perspective to judge what evidence should be taken *for* God's existence as well? This is especially problematic for those who accept the existence of an extremely powerful evil being such as Satan. Consider this scenario: we are presented with evidence of apparent goodness: say, what appears to be a miraculous healing. This is adduced as evidence in favor of the existence and agency of a perfectly good God. For most theists, this move will be unproblematic, but not to those who take ST (and Satan's existence) seriously. For the latter, for the sake of consistency, must admit that it well might be the case that what appears as an instance of great good is in fact an act of great evil orchestrated, in a way that we cannot understand, by Satan. The fact that this event *appears* good does not provide sufficient reason to believe that it is not actually a logically necessary correlate of evil, for precisely the same reasons cited in favor of the opposite thesis: to do so would be to commit the fallacy of ignorance, to violate CORNEA. Satan may have *immoral* sufficient reason(s) for bringing about what appears to be good, but which in fact contributes strongly to evil[29]. Under the ST thesis we have no epistemic right to judge that the apparent good is in fact good; and hence we are precluded, by the very reasoning that allows us to say with confidence that we cannot cite apparent evil as evidence against the existence of a good God, from citing apparent good as evidence for the existence of a good God. We simply haven't got the epistemic right.

IV. Final comments

I have given a cumulative case argument in support of the contention that skeptical theism fails as a satisfactory response for a theist to give to the problem of evil. If my arguments have been persuasive, then the need for theism to develop a theodicy in response to the problem of evil should speak for itself. I will say just a few words on this. Theism is a very broad and deep philosophical system; indeed, its metaphysical, epistemic, and moral

commitments are numerous and wide-ranging enough *before* one adds the wealth of metaphysical, epistemic and moral commitments contained in the scriptures of the specific theistic religions. It is true that the problem of evil is a deep problem for theism, and one that requires a rigorous response, but that response cannot, I have argued, be based upon ascriptions of epistemic limitations vis-à-vis the divine without inviting the Pandora's Box, the virus, the double edged-sword. Consequently, providing a positive theodicy - one which maintains, at the very least, that we have more epistemic right than not to judge such matters - is the strongest remaining option for theism. Theodicies avoid the problems canvassed in this paper by maintaining the theistic commitment to the epistemic license to give justified judgments regarding the divine.

Despite all of the aforementioned problems in the skeptical theist's response to the problem of evil, it might be stressed by some that this response *could* work. It might be the case that, in fact, we are correctly aware of much of what God considers "good", and the world as we experience it, despite all the apparent evils it contains, is necessary for the actualization of certain "higher" goods that we cannot discern (that is, cognitive case (a) given above could be accurate). This will perennially remain a possibility, it could be said; indeed, the very fact that this possibility would be beyond our ken would guarantee this. However, what must be doubly stressed, I think, is that to take this sort of response seriously is at the same time to open the door to all of the epistemic problems outlined above, and I believe few theists would be willing to do this. The problem with theists employing skeptical theism is roughly analogous to using metal from the side of a pail to patch a hole at its bottom: while it seems to fix one problem, it does so by creating another - or, in this case, many others. The main argument against this response, then, is that its success is won only at a cost which is prohibitive to the maintenance of epistemic license to the theism it is invoked to defend - which is to say that it is a failure.

[1] The problem of evil has been presented in both 'logical' and 'evidential' variants. The former is a much stronger argument, and contends that it is logically impossible for theism to be consistent with the existence of evil; the latter contends that the existence of evil, while not logically incompatible with theism, provides sufficient evidence to make theism implausible, and to that extent (a matter of degree) irrational to accept. It is currently widely held that the logical problem of evil fails (see, e.g., Bruce Reichenbach, *Evil and a Good God* (1982); also Nelson Pike, "Hume on Evil" *The Philosophical Review*, 72, (1963) for developed arguments), and as a result, the bulk of the literature concerns itself with the evidential problem of evil. Whether this dismissal of the former is correct or not is irrelevant to this paper, since skeptical theism can be used against either version.

[2] It should be noted that the problem of evil can be sidestepped (or at least seriously mitigated) by those who hold a different concept of God. If one holds, for example, that God is very good (but not perfectly good), and/or very knowledgeable (but not omniscient) and/or very powerful (but not omnipotent), then one can plausibly explain evil as part of God's plan or to some extent out of God's control. This maneuver has understandably had limited appeal to theists who hold that God is *essentially* omnipotent, omniscient, and perfectly good.

[3] This response has also been termed 'defensive scepticism' and 'the agnostic thesis'.

[4] Rowe, "The Problem of Evil and Some Varieties of Atheism", first published in *American Philosophical Quarterly*, 16 (1979)

[5] This principle, insofar as it involves weighing goods and evils, suggests the utilitarian calculus. It seems safe to say that this understanding of the moral parameters involved in the problem of evil implies that consequentialism is the correct moral perspective to employ. If it could be shown that deontological or virtue-ethical theories of morality should be taken into consideration here (either wholly, or in concert with consequentialist considerations), then perhaps the logic of the problem would need reworking. For the purposes of this paper, however, this possibility will not be explored.

[6] Here "necessary" should be understood as *logically* necessary, in keeping with the conception of God as omnipotent, i.e., able to do anything that is not logically impossible. Some theists (e.g. Descartes) would take issue with this definition of omnipotence, but that debate is outside the scope of this paper.

[7] Howard-Snyder, Bergmann, and Rowe, "An Exchange on the Problem of Evil" in *God and the Problem of Evil*, 2001

[8] Wykstra, "The Humean Obstacle to Evidential Arguments from Suffering: On Avoiding the Evils of "Appearance"', *International Journal for the Philosophy of Religion* 16, 1984.

[9] Alston, "The Inductive Argument from Evil and the Human Cognitive Condition" in *The Evidential Argument From Evil,* 1996.

[10] Wykstra, "Rowe's Noseeum Arguments from Evil" in *The Evidential Argument From Evil*, ed. by Daniel Howard-Snyder. Indiana University Press, 1996. p. 126.

[11] Wykstra 1996 p. 139.

[12] Wykstra 1984, p. ? (quoted in Wykstra 1996 p. 139)

[13] Wykstra 1996, p. 139.

[14] Alston 1991, p. 98.

[15] Each of these claims deserves further elaboration and justification, but providing such would break the paper's space constraints. See Alston 1991.

[16] Alston 1991, p. 109.

[17] Alston 1991, p. 119.

[18] See Russell, "The persistent problem of evil", *Faith and Philosophy*, vol. 6, no. 2, 1989; also Russell, "Defenseless", printed in *The Evidential Argument from Evil*, ed. Howard-Snyder, chapter 10, 1996.

[19] Wykstra's article "Rowe's Noseeum Arguments from Evil" and Alston's articles "The Inductive Argument from Evil and the Human Cognitive Condition" and "Some (Temporarily) Final Thoughts on Evidential Arguments from Evil" (the latter in *The Evidential Argument from Evil*) are responses of this sort.

[20] Alternatively, the logical relation itself may be what is encompassable by, or unavailable to, the human mind.

[21]This is not to say that our epistemic capacities are not a quantum leap above our closest cognitive cousins (chimpanzees?). We can grant this and still admit profound epistemic limits. In fact I would argue that the

fact that the mind evolves is an excellent reason to think that there are cognitive orders beyond our own. But that is ancillary to the current discussion.

[22] This is most clearly the case regarding specific forms of theism. The Ten Commandments, for example, imply their rejection, as do the ethical claims in the *Torah* and the *Koran.* One cannot be Christian, Muslim, or Jewish without believing that one has access to God's actual moral will (to a considerable extent) and to a correct understanding of goodness (at least most of it).

[23] Richard Gale has written of a related *practical* problem for the theist which fits in well with my point that skeptical theism makes knowledge of God's moral will difficult. "The major problem faced by the moral-inscrutability-of-God version of defensive skepticism is that it seems to preclude our being able to enter into [loving] relationships with God, thereby undercutting the very purpose for which God created us according to theism, namely to enter into a communal relation of love with God" See Gale, "Some Difficulties in Theistic Treatments of Evil", in *The Evidential Argument From Evil,* 1996; pp. 209-211.

[24] Alston 1991, p. 120.

[25] Alston 1996, p. 318.

[26] It is interesting and informative to note that the words of ST proponents can usually be used against them in this way.

[27] For example, Richard Gale in "Some Difficulties in Theistic Treatments of Evil", in *The Evidential Argument From Evil,* 1996; pp. 209-211.

[28] Thinkers of a positivist persuasion will find this especially problematic. See Flew, Hare, and Mitchell, "Theology and Falsification", first published in *New Essays in Philosophical Theology*, ed. Flew and MacIntyre, 1955.

[29] Consider, for example, this situation. Everything which is taken to be in some way good (including feelings of pleasure; happiness and fulfillment; belief in God and the afterlife) has been brought about by Satan (although he hates them) for the higher Satanic good (an Immoral Sufficient Reason) of the deeper despair that will result once all of us descend after death into Hell and discover that all of that goodness was just an illusion. It's possible.

K. S. Prichard's representation of Italian ethnic identity

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ABSTRACT

In her narrative Katherine Susannah Prichard challenges the common social and literary trend of the Thirties that represented "otherness" as negative and dangerous.

With her novel Intimate Strangers, first published in 1937, Prichard seems to draw upon the same motivations that led her to write the controversial novel Coonardoo in 1928. In Intimate Strangers, Prichard endows the Italian co-protagonist of the novel, Tony, with positive attributes usually reserved for 'whites'. Prichard's depiction of this Italian character during the historical period of the 'White Australia Policy', can be considered revolutionary.

I intend to investigate why Prichard, in her novel which is considered to be in part autobiographical, gives Tony's character a privileged status. I will debate whether the choice of constructing a positive ethnic identity which differs from her own derives from her gender or feminist mindset and from her involvement with the Communist movement.

Throughout the paper I will compare how Prichard's Italian character differs from other Italian characters that appear in women's writings of the period.

1. Title of the submission: Broaching the Question of Canadian Culture

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6. Abstract:

Building on work originally targeted for "content" courses, and making use of technology to enhance the sensuous experience for ESL learners, this presentation demonstrates an attempt to engage university students interactively in the question of Canadian culture. The themes of identity and multiculturalism, and a user-friendly metalanguage to talk about language, concepts, and learning strategies, support a content-based approach to the development of academic proficiency and critical literacy.

Following Northrop Frye (1982), Canadian culture is examined as the consequence of a people's history and an encounter with their geography. An interactive engagement with the geography, and with the economic and political history of the country, is enhanced with the aid of powerpoint software by the addition of key visuals. An emphasis on the dynamic tensions which have defined the Canadian nation-state encourages learners to think carefully about the particular experience of Canada and Canadians, and to focus on Canada's particular response to a common situation.

Adopting Roessingh's (1995) framework for mediating meaning, the presentation will discuss how the three curricular elements – language (integrating listening, reading, speaking, and writing), concepts, and learning strategies – are embedded in the content and presented to students. The workshop will include examples of explicit instruction in details of content that access "cultural capital", and discuss the difference good ESL teaching makes when it brings to the level of critical awareness those metaphors that require the mediation of a cultural ambassador/interpreter to help learners make meaning.

1. Title of the submission: Using Graphic Organizers as a Critical Reading Strategy
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6. Abstract:

This paper reports on the use of graphic organizers to help university ESL students orient to organizing concepts when they read academic articles. A discussion of the approach and some examples will focus on ways in which the graphic organizer enables language learners to experience the satisfaction of comprehensiveness, and the pleasure of grasping the underlying decisions regarding topics, their implications and paths of development.

The use of graphic organizers in the teaching of writing is well established, yet as a strategy in the teaching of reading, especially to encourage learning and interaction in the process of reading, their use has not been as widely explored. This approach is based on the premise that the reading experience will be enriched if learners are not merely assembling points but are starting to build up the structure within which the argument is unfolding. Using graphic organizers can help them with both the English and academic language and styles by providing them with the analytic framework that accomplished readers normally look for and try to construct for themselves. Once ESL learners have experienced the pleasure and the value of reading analytically, they are positioned to develop a taste for what is well organized, and they can experiment with techniques for grasping structure and content. In their own writing, they are better prepared to exploit the analytic and narrative dimensions of inquiry, and to make the move from the enumeration of points to the consolidation of what they have learned.

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Mental representation in animals and humans. Some late-medieval discussions (Abstract)

Since Descartes' dogmatic distinction between "*res cogitans*" and "*res extensa*", it was widely assumed that human thinking is different from animal thinking in principle. The medieval discussions, however, antedate the Cartesian distinction, which allowed medieval authors to come up with a whole array of approaches to explain animal and human thinking. While it is true that many medieval authors maintained that human thinking, and especially universal cognition, requires an immaterial and immortal soul, and is thus entirely different from animal thinking, some medieval authors thought differently. The richness, complexity, and sophistication of these medieval debates may be surprising to contemporary readers.

In my contribution, I wish to present some late-medieval authors who maintained that animals think (and mentally represent) in ways that closely resemble human thinking (and mental representation). John Buridan, for example, makes evident that animal appetite, which is a material power, makes use of universal mental representation. The natural appetite of a thirsty and hungry horse is not directed singularly towards a specific source of water or grain, if nothing is in sight, but universally and indifferently towards any water and grain it may find. Therefore, the horse will eat and drink from whichever source it encounters.

Now if a material and extended power such as animal appetite is already using universal representation, Buridan argues subsequently, then there is no cogent reason to postulate an immaterial soul to explain human thinking. But how does the human intellect actually cognize universally, if taken to be a material and extended form such as the soul of a dog or a horse? To solve this question, Buridan outlines a theory of representative likeness or similarity. According to Buridan, universal cognition is not constituted by directly referring to something universal but by a process of abstraction that finally results in a common concept (*conceptus communis*) which, while existing singularly in the intellect, becomes universal by indifferently representing or signifying all members of the same species.

Given this theory of universal mental representation, it will not come as a surprise that Buridan also maintained that some higher species of animals do have the ability to think, although not as acutely and perfectly as a man or an ape: "*canes et alia animalia ratiocinantur et syllogizant, quamvis non ita subtiliter ac complete sicut homo vel simia*". If the faculty to think is called intellect in men on account of its excellence and nobility over the cognitive powers of brutes – even in comparison to apes –, this does not, however, constitute a distinction between animal and human thinking in principle. On the contrary, human thinking can be understood as a perfection of powers that humans share with animals.

WESTERN CRITICAL RESPONSE TO CHEKHOV'S *THE ISLAND OF SAKHALIN*

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Since its publication in 1893,[1] *The Island of Sakhalin*, Chekhov's monumental nonfiction work, the product of his famous odyssey to the penal colony in 1890, has generated a wide range of critical assessments by Russian and Western critics alike. Chekhov identified to A.S. Suvorin *The Island's* aim: "It should live a hundred years after me as a literary source and guide to all who are at work, or are interested in, the penitentiary system. The chapter on runaways and vagrants has turned out to be interesting and instructive."[2] A secondary goal was to repay his "debt to medicine" through this work (letter to Suvorin 9 March 1890). In an attempt to secure a medical teaching position, Chekhov tacitly consented to have the Moscow Medical School consider it in lieu of a dissertation. Ronald Hingley is of the opinion that through this book, Chekhov clearly achieved his purpose of informing the Russian people about the horrendous conditions of penal life on Sakhalin as evidenced by the wide discussion of it following its publication.[3] Critics have been unanimous in maintaining that *The Island* demonstrated conclusively Chekhov's profound humanitarian concerns. Assessments expressed by the Russian critic V.I. Pokrovskii[4] and the Western critic Irving Howe[5] provide good evidence of the unanimity of this view. The first negative assessment of *The Island* came from the dean of the Moscow Medical School who rejected it in lieu of a dissertation for the Doctor of Medical Sciences degree.[6] Notwithstanding Chekhov's position that *The Island* was equivalent to an academic thesis, the fact it contains a large

number of personal reminiscences suggests perhaps why the dean rejected it. Criticism subsequent to the book's publication has focused largely on its scientific and literary merits, or lack thereof.

The appearance of the first English translation of *The Island* in 1967, nearly seventy-five years after its publication in Russian,[7] gave rise to a number of cursory as well as substantive critical assessments of it. Prior to this important event, only those versed in the Russian language were able to offer their critiques. Western critics (i.e., those writing in English and those whose assessments have been translated into English and which are examined in the present study), have focused on the work's genre, structure, style, tone, character presentation, language, nature descriptions, degree of objectivity, alleged contradictions, statistics, and the impact it had produced. Often, their assessments of *The Island* were similar to those of their Russian counterparts.

Three basic views of the work have emerged: one which considers the work a major and successful scientific and/or literary accomplishment; a second which ostensibly presents a balanced critique of the work, identifying both its positive and negative features; and a third which is largely critical of the work seeing it as deficient in most respects.

The Island of Sakhalin **a major success**

Critics representative of the first view include D. S. Mirsky who, while speaking in qualified terms of Chekhov's fiction, maintained that the book "is remarkable for its thoroughness [and] objectivity … and is an important historical document."[8] Critics such as James McConkey argue that, "despite its objectivity, Chekhov's book contains one indictment after another."[9] The biographer Ernest J. Simmons was impressed by the

book's rich sociological data and its aesthetic qualities. He called it "a valuable and intensely human document" and "a model of the scientific approach, bristling with facts, statistics from authorities, and footnotes." Significantly, Simmons also admired the book's aesthetic qualities and regretted that because it did not achieve great publicity, critics failed to recognize its significance and appreciate its "genuine artistic qualities."[10] Ronald Hingley, another biographer, refers to *The Island* as "a creditable specimen of Chekhov's literary workmanship, and a shining example of what a research thesis can be."[11] Unlike some critics who fault the book for not belonging to an identifiable genre, Hingley says it is a "harmonious work despite the mingling of genres."[12] Some critics echo Hingley's opinion that *The Island* is worthy of a place of honor in Russia's vast corpus of penological literature alongside Dostoevsky's *Notes from a Dead House* and Tolstoy's *Resurrection*.[13] Although considerable disagreement exists regarding the work's style, Hingley expresses unqualified admiration for it, describing it as "cool, light, objective, admirably controlled [and] free from pomposity and jargon."[14] With regard to *The Island's* genre, Sophie Laffitte, another biographer, speaks of it as "a very unusual work…, a scientific study presented in an artistic form." She concludes with hyperbolic praise saying: "The intimate combination of artist, psychologist and sociologist had an extraordinary outcome: … it is one of Chekhov's greatest claims to fame."[15] Robert Payne goes one step further. After calling it "a strange work, brilliant and ... scrupulously honest," he adds the hyperbolic statement that "it was perhaps Chekhov's greatest work." Significantly, he makes this claim on the basis of its sociological merits while neglecting to speak of its artistic qualities.[16] W.H. Bruford is equally guilty of overstatement claiming: "In *Sakhalin Island* [Chekhov] is purely the sociologist."[17]

Chekhov confessed being uncomfortable using statistics in *The Island*.[18] Not surprisingly, statistics and extensive footnotes in the work proved to be a very controversial issue among critics. Irving Howe calls the book "an extremely moving document" and stresses the positive feature of Chekhov's abundant use of statistics: "Precisely … through the meticulous piling of detail, the fussy concern with local fact does Chekhov reveal his imaginative powers."[19] Kenneth J. Atchity calls *The Island* "a strange and strangely moving book" and claims that reading it "is like traveling with Dante through the Inferno." He is greatly impressed by Chekhov's portrayal of the convicts and their suffering and strongly admires his use of statistics stating: "Something … compels our interests, will not allow us to put aside the graphs and statistics. Even the descriptive footnotes can be embryonic short stories."[20] Payne disagrees saying: "Not having a mind which moves easily among numbers, [Chekhov] sometimes reduces them to bathos."[21]

The Island of Sakhalin **a qualified success**

Critics representative of the second view include Avrahm Yarmolinsky who characterizes *The Island* as "a poorly organized if sober and candid book." He admits, however, that parts of it impress him and identifies its genre as a "cross between a personal memoir and a lumbering sociological monograph."[22] Although Kornei Chukovskii was a Russian critic, passages regarding *The Island* from his book on Chekhov have been translated into English and have been quoted at times to support a given point of view, thus making it germane to the present analysis. In a gross overstatement, Chukovskii notes: "The book … is immeasurably weaker than any other of Chekhov's works, for it lacks the most important thing — Chekhov himself….

Throughout … he never lets himself go as an artist, but pitilessly suppresses his gift of description." To his credit, however, Chukovskii adds: "With irrefutable clarity, with fact and figures, [Chekhov] reveals, slowly, methodically, earnestly, thoroughly, the stupidity of Tsarist penal servitude."[23] Michael Futrell is impressed by Chekhov's lapidary style noting that time and again his use of one sentence "encapsulates whole stories." Although the critic admires Chekhov's "heroic striving for precision," he is critical of the portrayal of the non-Russian parts of Sakhalin population, which he argues is weakened by generalizations.[24] Joanne Trautmann says *The Island* is "central to Chekhov's world view and therefore central to his artistic, medical, and more directly personal concerns." Interestingly, she states that "perhaps it is to Chekhov's credit" that the work "does not fit into a genre." Howe maintains Chekhov illustrated the inhumanity of the government's prison policy through the sheer accumulation of facts present in *The Island*.[25] Trautmann also praises Chekhov's use of statistics and his narration "complete with admirable scholarly apparatus." "All of this science," she observes, "is interspersed with little Chekhovian vignettes and characters." Given that *The Island* was a new form of writing for Chekhov, he struggled in arriving at the appropriate tone. Trautmann qualifies her praise calling the work's tone "strange" and unsatisfactory. Specifically, she is critical of Chekhov's "horrifying … sociological distancing, a seemingly fraudulent caring [sic!], though we know that Chekhov cared deeply."[26] Like to many critics, she fails to understand the meaning and function of the final chapter, calling it "the oddest of all" and criticizes the book's abrupt ending.

The Island of Sakhalin an unsuccessful work

Two critics in particular stand out in their opinion of *The Island* as an unsuccessful work. Stanley E. Hyman claims it is "primitive ethnography" which lacks a form, is too long and repetitious, has an odd ambivalent tone, and contains pointless statistics. He continues his harsh criticism finding fault with the book's structure which he characterizes as "two vast polarizations of imagery." He claims: "In its movement from accounts of specific settlements and people to general discussions … [*The Island*] becomes progressively less interesting; it is one of those unfortunate books designed to run downhill." He offers the ludicrous observation that the work's "motivation is Chekhov's impulse to study exotic man." To his credit, Hyman recognizes compassion as the work's dominant note which "engulfs everyone and everything" and, quite surprisingly, expresses admiration for the artistic features of "Yegor's Story," whose ending he calls "as beautiful and moving as anything [Chekhov] ever wrote."[27]

Cathy Popkin's assessment of *The Island*[28] is by far the most sustained, vitriolic criticism, characterized by misinterpretation, misunderstanding, exaggeration, distortion, and unfairness to both text and author. Chekhov's statement that he was experiencing "Mania Sakhalinosa" prior to making the trip to Sakhalin[29] prompts Popkin to accuse him of using statistics "almost maniacally," of offering calculations with "fanatical precision," and of his "mania for information" which leads him to use "footnotes beyond belief." She claims "on a given page the footnote is often six times as long as the text [i.e., 86% of the page]." The fact is, of the 332 pages of text, only 5 pages contain footnotes taking up 85-98 percent of the page. Popkin unwittingly criticizes Chekhov saying: "He just stops, more or less in the middle of one more gargantuan footnote" (p. 46), while concluding

her own article with a *truly gargantuan* footnote 22 (sixty-seven lines in minute print!). Other examples of overstatements and distortions abound to further her agenda of proving that *The Island* is a failure.

John Tulloch maintains correctly that in *The Island* Chekhov portrays not one, but two islands — the real one he found, and the ideal one he advocated. Tulloch's admiration of Chekhov's study of social change and human depravity at Sakhalin, which he argues was modeled on the environmentalism Chekhov learned at medical school[30] is dismissed by Popkin as evidence of Tulloch's "agenda to demonstrate the professionalism of Chekhov's scientific methods, the strength of his commitment to statistics and the scope of his confident (and competent) positivism" (p. 48).

Popkin accuses Chekhov of confusion regarding Sakhalin's geography claiming "the northern part [of Sakhalin] is routinely ignored" by Chekhov (p. 42). The fact is, Chekhov clearly states: "Sakhalin … is now divided only into northern and southern [districts]. The upper third of the island precludes colonization due to climate and soil conditions. The central section is called Northern Sakhalin and the lower, Southern Sakhalin" (p. 53). Thus, Chekhov uses the established nomenclature for the inhabited parts of Sakhalin — he does not "ignore" anything. In addition to making a "maniac" out of Chekhov, Popkin adds disparagingly (in a "scholarly article"!) that he "whines," "laments," "gripes" and "bemoans." At one point she states "in all fairness to Chekhov…" (p. 46) — unfortunately, fairness is precisely what is lacking in her article. She claims Chekhov experienced an "epistemological crisis," was unable to "control his material," and failed to increase our "geognosis." Despite the fact that Chekhov provides a wealth of information about convicts in general, and very detailed information about

individual convicts, she dismisses the significance of Chekhov's interviews with the Sakhalin convicts claiming they were not really "accessible to him as real objects of knowledge" (p. 39). One is also struck by her gross overstatement that "no one really knows why anyone is on Sakhalin" (p. 42).

James McConkey correctly maintains the last four chapters of *The Island* constitute "the essential attitude of the book — a way of looking that makes of convicts, settlers, guards and officials a single human unit, a grievously-flawed society which inevitably reflects the greater one beyond it."[31] Echoing Trautmann's erroneous views, Popkin accuses Chekhov of inability to "craft an ending." She fails to recognize that the ending is very appropriate for the book's thematic design. A close examination of the final part of the last chapter underscores what a fitting conclusion Chekhov has crafted for his work. He devotes the last four pages to examining the hospital in Aleksandrovsk — the very same locus where he originally arrived, thereby closing the circle of hell he had begun painting in chapter 2. Throughout the work we hear from Chekhov the *author/observer*. In this chapter, we hear Chekhov the *doctor* demonstrating his medical expertise as he offers an analysis of the morbidity and mortality of Sakhalin's convict population, the medical organization (actually disorganization), and a scathing assessment of the Aleksandrovsk hospital and its medical personnel. Significantly, for the first time in the entire work, Chekhov personally ministers to the sick. As a *locum tenens* for the prison doctor, he lances an abscess on a young boy's neck thereby not only alleviating his suffering but also exposing and removing the hideous drainage. Metaphorically, Chekhov is lancing the abscess (Sakhalin penal colony) on Russia's neck and through *The Island* revealing the ugly infection afflicting Russia of which she also

must be cured. *The Island* concludes most appropriately on this "medical" chapter which also serves to underscore one of the book's objectives, i.e., Chekhov's original intention of repaying his "debt to medicine."

Popkin overlooks the significance of the analogy to hell that Chekhov uses throughout *The Island.* The last chapter appears to be a conscious literary device as it is a most effective closing for the Sakhalin-hell analogy. Here, through a meticulous summary, the completed horrifying image of the convicts' suffering emerges as we hear of the diseases that afflict them and lead to their death, as well as the cases of death by hanging. The death statistics are particularly fitting for the image of the penal colony as hell. Numerous motifs link this chapter with the second: the effects of "hunger, habitual prostitution by women exiles, and terrible corporal punishments" mentioned at the outset in the book (14-15: 64), are all statistically documented here. The note of flogging and the clanging of chains, the most powerful image of hell and punishment adumbrated in the second chapter and reverberating throughout the work, and most vividly portrayed in the antepenultimate chapter, are also heard loudly in the last chapter. It also effectively underscores the unending hell of Sakhalin and makes us feel as if we ourselves are trapped in this hell without any possibility of escaping. Popkin fails to see that the ending is also an integral part of Chekhov's polemic with Dostoevsky's *Notes form a Dead House.* Dostoevsky's Gorianchikov ultimately emerges victorious from the prison saying: "Freedom, a new life, resurrection from the dead."[32] His descent into hell is followed by rebirth. There is no comparable ending in Chekhov's work, no epiphany; instead *The Island* appears to end abruptly. No one is freed. The hell analogy is reinforced as the work appropriately remains open-ended.

At one point in chapter 21 of *The Island* Chekhov notes that flogging and birch rods continue to be used as the most frequent forms of punishment against settlers and convicts (14-15: 332). These words magnify his irony contained in the statement he makes eleven pages earlier that "*The Dead House* no longer exists" (14-15: 320). Popkin fails to recognize the irony of this statement; instead, she treats it literally in order to strengthen her argument that *The Island* is an inferior work "riddled with contradictions," both "unexplained and unexplainable," which prove Chekhov's "inability to control his material" (p. 49).

The Island is one of the few works for which Chekhov claimed literary merit. Most unfortunately, Popkin neglects to address its artistic qualities. In fact when she does offer a comment regarding what most critics have recognized as a masterpiece, i.e., "Yegor's Story", she dismisses such praise as unfounded. She criticizes Chekhov for "interrupt[ing] Egor repeatedly" and concludes that "Egor's inability to control *his* material is ultimately not unlike Chekhov's" (p. 46). The fact is, Chekhov interrupts Egor not "repeatedly," but only *three times*. It is yet another element of interconnectedness with *Notes from a Dead House*, specifically with the interlocutor Cherevin's interrupting Shishkov *eighteen times*, while the latter, using nearly the same imperatives as Egor, objects to being interrupted.

Joseph Conrad demonstrates genuine understanding and appreciation of the artistic portrayal of climate and landscapes in *The Island.* He notes Chekhov's use of "all the sense: sight, sound, smell, the tactile sensation of warmth and taste."[33] Consider, for example, the rhapsody of silence which is one of the most impressive, effective and original uses of the silence motif found anywhere in Chekhov's works:

> The ear soon becomes accustomed to the measured *clang* of chains, the *roar* of the surf and the *hum* of the telegraph wires, and because of these *sounds*, the impression of *dead silence* becomes even stronger…. If someone unexpectedly happened to *laugh* out loud on the street, it would sound *shrill* and unnatural…. Life in Dué … can only be expressed by these inexorably brutal and hopeless *sounds* and the fiercely bitter wind *blowing* from the sea … during the cold nights, which alone *sings* what it must (14-15: 132-33, my emphasis).

One also cannot help admiring the impressionistic description, an exquisite miniature painting of Arkovo Valley, whose beautiful colors and opulence serve as a stark contrast to the convicts' gray existence:

> In addition to its beautiful location, it is so extraordinarily colorful that it is difficult not to compare it with a multicolored carpet or a kaleidoscope. Here are dense, opulent stretches of greenery … two small sunflowers with drooping heads,… there is a patch of green rye, then a patch of barley … and all this variety is interspersed with touches of rose, bright-red and crimson poppy flowers" (14-15: 124).

The fact that Popkin is totally silent about these and similar aesthetic features of *The Island* is most disappointing.

After its publication, *The Island* was widely read, favorably commented upon by prison experts and influenced subsequent investigations of the penal colony. Contrary to Payne's assertion that *The Island* "had no immediate effect; it did not change the Tsarist prison system…,"[34] it led eventually to several important reforms: in 1893 corporal punishment of women was abolished; in 1899 exile for life and penal servitude for life

were abolished; and in 1903 the lash and the shaving of heads were abolished. Despite its historical, social and aesthetic significance, *The Island* is regretfully one of the least-known works by any major Russian writer and is little read nowadays.[35] Given Chekhov's hope that the work would "live a hundred years" after him "as a literary source and guide to those interested in the Russian penitentiary system," he would certainly have been disappointed by this development.

Strong admirers of *The Island of Sakhalin* constitute the largest group among Western critics. In fact, they outnumber the combined group of positive/negative and strongly negative critics by more than three to one. In appraising the book, the critic may be tempted to acclaim it on the basis of Chekhov's reputation alone, or, to dismiss it as an insignificant attempt at documentary journalism by an author whose real genius was imaginative fiction. To succumb to either temptation would be failing to appreciate the unique, intimate combination of the scientific and artistic elements present in the work. However, the greatest challenge facing a critic in appraising *The Island of Sakhalin*, or any other work, is avoiding two extremes: exaggerating its positive and overlooking its negative qualities on the one hand, or, focusing only on its negative qualities and neglecting to address its positive qualities on the other. In offering a critical assessment of an author's work, particularly of an established reputable author, it is indefensible to denigrate the work, finding in it literally no redeeming value, in order to claim offering a new and original interpretation. Any serious, particularly scholarly assessment of a work should strive to be objective, fair, and balanced.

ENDNOTES

[1] Chapter 22 entitled "Escapees on Sakhalin" was first published separately in a volume calld *Help for the Starving*, December 1891. The subtitle was added when *The Island of Sakhalin* (chs. 1-19) was serialized in the journal *Russkaia mysl'*, in 1893-1894. It appeared in book form (chs. 1-23) in 1895.
[2] Letter to A.S. Suvorin, 30 August 1891, A. P. Chekhov, *Polnoe sobranie sochinenii i pisem v tridtsati tomakh* (Moscow: Nauka, 1974-198), *Pis'ma* 4: 266. All references to *The Island of Sakhalin* (Ostrov Sakhalin) are to this edition, volumes 14-15, and will be noted in the text by page number. References to Chekhov's letters are also to this edition and will be cited in the text by date.
[3]Ronald Hingley, *Chekhov: A Biographical and Critical Study* (London: George Allen & Unwin Ltd., 1950), p. 134.
[4]V.I. Pokrovskii, ed., *Anton Pavlovich Chekhov, ego zhizn' i sochineniia: sbornik istoriko-literaturnykh statei* (Moscow: V. Spiridonov and A. Mikhailov, 1907).
[5] Irving Howe, *Harper's Magazine*, 236 (January 1968): 70.
[6] Ernest J. Simmons, *Chekhov: A Biography* (Boston: Little, Brown and Co., 1962), p. 345.
[7] *The Island of Sakhalin: A Journey to Sakhalin*, Luba and Michael Terpak tr. with intro. by Robert Payne (New York: Washington Square Press, Inc., 1967). Unfortunately, the translation is marred by many inaccuracies.
[8] D.S. Mirsky, *A History of Russian Literature*, Francis J. Whitfield, ed. (New York: Alfred A. Knopf, 1966), p. 354,
[9] James McConkey, *To a Distant Island* (New York: Dutton, 1984), p. 168.
[10] Simmons, pp. 229, 304-305.
[11] Hingley, *Chekhov: A Biographical*…, p. 134
[12] Ronald Hingley, *A New Life of Anton Chekhov* (New York: Alfred A. Knopf, 1976), p. 144.
[13] Valentine Tschebotarioff Bill, *Chekhov: The Silent Voice of Freedom* (New York: Philosophical Library, 1986), p. 76; Avrahm Yarmolinsky, tr. and intro., *The Unknown Chekhov: Stories and Other Writings* (New York: Minerva Press, 1954), p. 20**;** Leonard A. Polakiewicz, "Chekhov's *The Island of Sakhalin* and Dostoevsky's *Notes from a Dead House* as Penological Studies," *Canadian American Slavic Studies*, Vol. 35, No. 4 (Winter 2001): 397.
[14] Hingley, *A New Life*…, p. 144.
[15] Sophie Laffitte, *Chekhov: 1860-1904*, Moura Budberg and Latta Gordon trans. (London: Angus & Robertson, 1974), p. 73.
[16] Payne, "Introduction," *The Island of Sakhalin: A Journey to Sakhalin*…, p. xxxvi.
[17] W.H. Bruford, *Chekhov and his Russia: A Sociological Study* (Hamden, CT: Archon Books, 1971), p. 8.
[18] In a letter to A. S. Suvorin, 18 May 1891, Chekhov wrote: "How unpleasant it is to have to give statistics." *Pis'ma* 4: 232.
[19]Howe, p. 70

[20] Kenneth J. Atchity, "Chekhov's Infernal Island," *Research Studies* 36 (December 1968): 335-336.
[21]Payne, "Introduction," p. xxxv.
[22] Yarmolinsky, p. 20
[23]Kornei Chukovsky, *Chekhov the Man*, Pauline Rose tr. (New York: Hutchinson & Co., Ltd., n.d.), p. 43
[24] Michael Futrell, *Pacific Affairs*, Vol. 41, No. 1 (Spring 1968): 146.
[25] Howe, p. 70.
[26]Joanne Trautmann, "Doctor Chekhov's Prison," in Joanne Trautmann ed., *Healing Arts in Dialogue: Medicine and Literature* (Carbondale: Southern Illinois Univ. Press, 1981) pp. 127-129.
[27] Stanley Edgar Hyman, "Counting Cats," *The New Yorker*, 43 (10 February 1968): 113-116.
[28] Cathy Popkin, "Chekhov as Ethnographer: Epistemological Crisis on Sakhalin Island," *Slavic Review* Vol. 51, No. 1 (Spring 1992): 36-51.
[29] See 15 February 1890 letter to A. N. Pleshcheev, *Pis'ma* 4: 19.
[30] John Tulloch, *Chekhov: A Structuralist Study* (N.Y.: Barnes & Noble Books, 1980), pp. 2-5.
[31] McKonkey, p. 168.
[32] F.M. Dostoevsky, *Notes from a Dead House* (Zapiski iz mertvogo doma) *Polnoe sobranie sochinenii*, ed. V.G. Bazanov *et al*., 30 vols. (Leningrad: Nauka, 1972-90), 28: 232.
[33] Joseph L. Conrad, "Chekhov as Social Observer: *The Island of Sakhalin*," in Toby W. Clyman, ed., A Chekhov Companion (Westport, CT.: Greenwood Press, 1985), p. 274.
[34] Payne, "Introduction," p. xxxvi.
[35] Although *The Island of Sakhalin's* artistic merits continue to interest Chekhov scholars, the work is seldom mentioned in publications dealing with the history of the administration of criminal justice in Tsarist Russia. For example, Abby M. Schrader's *Languages of the Lash: Corporal Punishment and Identity in Imperial Russia* (DeKalb, IL: Northern Illinois Univ. Press, 2002) merely lists the work in its bibliography.

TITLE:
The Effect of Visual Appeal on the Perception of the Credibility of a Web Site Run by a Student Consulting Business

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ABSTRACT:

The Web site of a business is an important means of interacting and communicating with customers (Fleming, 1998). Promoting a credible impression on the Web helps in building the overall credibility of any business, because people tend to make quick decisions about the choice of businesses based on their Web presence (Lif, 1998). B.J. Fogg and Shawn Tseng (1999) define credibility as believability and confirm that it is critical to establishing trustworthy impressions. It is especially important for student-run businesses, because they find themselves in a competition with known and established businesses (Cheskin, 2002). Often, the overall visual appeal of a Web site alone is considered a key factor in determining what customers might think about a business (Fogg, 2002; Perfetti, 2003). Therefore, the credibility of Web sites should be particularly critical for student-run businesses that offer Web and multimedia design services.

Research on the credibility of Web sites is still in its infancy. Until the late 1990s, there was no large-scale research related to assessing the credibility of Web sites (Fogg, 2003). Beginning in 1999, B.J. Fogg and the Stanford Persuasive Technology Lab initiated a number of large-scale tests on the credibility of Web sites, in which hundreds of Web sites were studied, including entertainment, shopping, information and corporate Web sites. The results of Fogg's research suggest that the visual appeal of Web sites is clearly the most prominent feature affecting people's perception of the credibility of Web sites.

The purpose of this study is to explore the effect of visual appeal on the perception of the credibility of a Web site run by a student consulting business, such as Humanitech, as well as to provide a new method of studying the effectiveness of Web sites.

Humanitech is a student-run, non-profit consulting group based out of the Master of Arts in Humanities Computing program, at the University of Alberta. It is managed and operated by graduate students, and provides such services as Web site design, multimedia development, project management, electronic publishing and technical translation.

One way of looking at the visual appeal is through rhetoric (Ehses & Lupton, 1988). Therefore, three visual modes of appeal (rational, ethical and emotional) adapted from classical rhetoric will guide the participants' evaluation of the impact of visual appeal on the credibility of the three alternate Web interfaces based on a Web site run by a student consulting business, Humanitech. The visual design features used in my study are imagery, colour and layout. Research data is collected through a Web-based survey. Upon the completion of this project, the results will be analysed and discussed in the Master of Arts, Humanities Computing thesis.

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Hawaii International Conference on Arts and Humanities
Honolulu, Hawaii
January13-16, 2005
Title Page

Title: Finding Yourself Under Your Aesthetic

Topic Area: Dance

Presentation Format: Workshop

Required Equipment: Open space for movement with enough chairs to accommodate the participants. The chairs should be able to be moved in and out of the space during the session. There are no technology needs for this presentation.

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Hawaii International Conference on Arts and Humanities
Honolulu, Hawaii
January13-16, 2005
Workshop Proposal

Finding Yourself Under Your Aesthetic

Abstract: The effort and the aesthetic that we see around us every day is absorbed into our thinking and into our movement, even if it is to our detriment as dancers or members of the world community. We learn and carry these messages about effort and aesthetic from our culture, our family and our teachers into everyday movement and into our dance training. As dancers, we strive to meet the artistic aesthetic of dance and of the dancer as it is expressed in our society. We train our body to become an instrument of expression; complete with the values of our community.

This workshop presentation is designed to take the participants into movement experiences based on the principles of the Alexander Technique, in order to expose our individual patterns of habit around the way we view and carry our body. We will attempt to find a common ground for movement; a natural and unencumbered way of approaching the way we sit, stand, and walk. We will explore our unique bodily habits, learn to look for these habits in ourselves and in others, and discover ways of thinking that may help us change our practice and find greater ease in our movement.

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Internet Sites

http://www.ati-net.com/
http://www.alexandertech.org/
http://www.alexandertechnique.com
http://www.suite101.com

Biography: Dr. Toni Poll-Sorensen is a professor of dance in the Department of Music and Theatre Arts at the University of Wisconsin-Eau Claire. Her career as a dancer, choreographer and a registered movement therapist has spanned more than 30 years. She has performed with the Gordon Raynor Dancers and on stage with Louis Armstrong and Dinah Shore. She has taught dance in public secondary schools and at universities in Michigan, Minnesota and Wisconsin. She has also worked as an artist in residence for Very Special Arts and as a guest teacher at numerous regional and national conferences. Toni currently directs the Concert Dance Company at UWEC. She is also a certified teacher of the Alexander Technique and teaches courses in the technique at UWEC and elsewhere. Toni is committed to living a profoundly physical life and is currently a student of Pilates, Authentic Movement and Tai Chi. She is also a Reiki Master. She works with students privately and in small groups to help them discover their inner landscape and achieve freedom in their movement and in their thinking.

Hawaii International Conference on Arts and Humanities
Honolulu, Hawaii
January13-16, 2005

Finding Yourself Under Your Aesthetic

A Workshop in the Alexander Technique

Toni Poll-Sorensen, Ph.D.

"Dance possesses the power to capture imaginations and emotions and to thus transport people to other times and places" (Toni Shapiro-Phim). It is the thoughtful expression of some of our innermost feelings, yet it also depicts certain aspects of our culture. Each year I am struck by the common threads of ideas and movement that I see in the work of my students, my colleagues, and the professional companies in my country. Movement phrases and ideas that felt like they were pressing the boundaries in the rehearsal studio are so often similar to the work of others. The material seems to have bubbled up out of the current cultural soup. It has common themes and common attitudes. Yet, when I see the work of a dance company from a different culture, I am struck by the uniqueness of the movement. I am also often troubled by my personal response to the entire work that has to do with its believability and, therefore, its aesthetics. If we are to communicate as dancers of the world: If are to use art as a healing tool; as tool for understanding, then how do we bridge this gap? I believe that our challenge as dancers is to share our culture and communicate its deepest intention with diverse audiences. And, I believe that good choreographic content will be understandable and believable, if as dancers, we approach the material from a neutral body rather than one that is bound up by our unique personal and cultural aesthetic.

The effort and the aesthetic that we see around us every day is absorbed into our thinking and into our movement, even if it is detrimental to us as dancers or members of the world community. We learn and carry these messages about effort and aesthetic from our culture, our family, and our teachers into everyday movement and into our dance training. As dancers, we strive to meet the artistic aesthetic of dance and of the dancer as it is expressed in our society. We train our body to become an instrument of expression; complete with the values of our community. The United States is a vast and diverse nation and so it is difficult to generalize about a cultural aesthetic. But let me try to make a point with the following examples. First, my home has always been in the upper Mid-western region of the United States. Although I have traveled to every state in my country, except Alaska, and to a few countries of the world, my cultural aesthetic is of conservative rural America. But what does that mean in my body? It means that I understand the aggressive forward body-lean of Americans in a hurry. I relate to the overly lifted chest of Americans holding up under the pressure of individuality. I even see the chaos and lack of order in queuing up to go to the movies or a concert, where every man or woman fights for their favorite seat in the house. My rhythms are rural rhythms, rather than urban rhythms. At one time, my movement and my posture reflected what I

just described, but I believe that the Alexander Technique has brought me to a more neutral way of being by teaching me to recognize the habits of my culture.

As I began to research and write for this workshop I discovered the difficulty of defining an aesthetic. An aesthetic is about beauty, standards, perception, sensation and emotion. It changes over time and place. It separates art from what is not art. In dance, as with other art forms, aesthetics provide us with a descriptive vocabulary; a language with which to formulate questions about the physical, perceptual, conceptual and qualitative aspects of movement. An aesthetic is about values; that is, a set of criteria used for evaluating dance. It is about rules; those rules that we use for organizing and revising within the choreographic process. It is about critical analysis: that is, looking for the many different ways to solve a movement problem and exploring the sequencing of movement into a meaningful whole, but it is always about opinion. It is about judgment and ultimately it is about what is right and good, but dance aesthetics are not universal. The classical dances of India are described as "an art concealing art, totally impersonal, objective, traditional, deliberate and elaborate in technique and appeal." (http://www.fortunecity.com/victorian) They are designed to break new ground in our perception and open an entirely a new vision of reality. In these dances the expression of spirituality and divinity is more valued than beauty and harmony, even though each of these aesthetic components is right and good. Certainly these same elements of our dance aesthetic cannot apply to the type of online improvisation that we witness in Telematic dance. This type of polymorphous movement in a shared stream that imbeds the physical culture and the cinematic culture requires a new and, yet to this date, undelineated aesthetic for dance. (Johannes Beringer, et al)

Pedro De Alcantara, author of Indirect Procedures, tells us that the Alexander Technique deals with the way in which we make judgments, in other words the way we think about aesthetics. Students of the Alexander Technique look carefully at their own self-awareness measuring both their actions and their surroundings with a non-judgmental attitude. This change in attitude is a far cry from the criticism of the dance class, rehearsal session, adjudication process or the critical words of the reviewer. In Alexander Technique, the lessons encourage students to abandon instinct for intuition. For, with instinct we are at the mercy of our habits. In effect we are forced into a fight or flight response with very limited options for movement. When we startle in this way, the only choices open to us are preprogrammed responses known to work in a given or similar situation. On the other hand, intuition allows us to assess and choose, thereby affording us the luxury of functional freedom. If we inhibit our instinctive response, we have the time to respond with reasoned choice. As dancers we cannot hope to have authenticity in our movement if there are only a limited number of ways for us to respond to a particular movement problem. It only makes sense that artistic freedom is not possible without the ability to make these everyday reasoned choices. If we find freedom in our body, if we can work from a neutral state of being, our movement will be beautiful, understandable, and aesthetically appealing.

I will continue this narrative by considering the body aesthetic of a dancer. Compare in your mind, dancers from different trainings, for example: a tap dancer, a modern dancer,

a ballet dancer, or a classical dancer in Flamenco, dance orientale, or the Cambodian tradition. What physical characteristics do you see? What performance qualities do you expect? In my country the body aesthetic for dancers is lean with a very low percentage of body fat. The flesh around the clavicle, particularly in ballet dancers, is sunken. Often the shoulder blades are winged, the belly is concave, and the body is overly lifted from the ribs to the top of the chin. The dance company in general is very young, uniform in size, and does not follow color-blind casting. How does this compare to your aesthetic of a dancer's body? Now, consider the dancing itself. How does the body move through space? What are your personal cultural expectations? While these may not be my personal aesthetics, in America, the popular aesthetic is extreme dancing, meant to thrill and excite. In America an audience is pleased with athleticism and power. The dilemma for dancers in my country is to meet these aesthetic expectations while staying true to the flow and coherence of the movement. If, I show strength by tightening, what the audience sees is tightening. If I show anger with tension, what the audience sees is tension. And, unless I intend to communicate tightening or tension, I must find an alternative. The Alexander Technique can help us as dancers to recognize the individual patterns related to our habits of thinking about the way we view and carry our body and around the way we use our body for expression.

"In our time, there is widespread repression of all physical emotion; joy, grief, anger, affection, and fear" (Mary Whitehouse). If this remains true today and if this is true of dancers, then far too many of us are either: disembodied, that is we are operating from a place where we neither understand physical or emotional boundaries; or, we are control freaks, in that we afraid of ambiguity, choice and freedom. In dance, the core of the experience on both a physical and emotional level is in the sensation of moving and being moved. Emotion and perception are key aspects of performance. If we sit at either of the extremes of repressed emotion, how can we possibly communicate the content of our art? If our perception is faulty, how can we replicate a movement or express a choreographic idea. The Alexander Technique teaches us how to develop an attitude of inner openness. Students learn to listen to their body and their mind. They learn to allow their body to move, rather than moving their body so that it looks good or right. The Alexander Technique teaches us to define our boundaries and to wait for an impulse. It teaches us to explore our unique bodily habits, learn to look for these habits in ourselves and in others, and discover ways of thinking that may help us to change our practice and find greater ease in our movement.

The Alexander Technique has been used for approximately 100 years to help people find freedom and ease in their movement. Actors, singers and dancers have been familiar with the work for many years. They study the technique to improve their artistry and to correct patterns of misuse. The nature of their work is repetition, and as such, any patterns of misuse may cause pain or interference during rehearsals and/or performance. More famous students of the technique include Aldous Huxley, John Dewey, John Cleese, Kevin Kline, and others. Many other people come to the Alexander Technique to find relief from chronic pain. Although the technique does not claim to cure any medical problems: the movement re-education principles taught to students of the technique do help them manage pain and in some cases find relief from pain. Still other students of the

technique find that it helps them to manage stress in their life. The development of awareness around patterns of tension facilitates a gradual release of holding patterns that limit our movement potential.

If "dance should illuminate the landscape of the soul" (Martha Graham) then dancers should exercise great caution in the way in which they communicate meaning through movement. For according to Erick Hawkins, "The way of tight muscles, tension, strain, violence, force and aggressiveness in the body, registers an analogous state of the soul". Such patterns of tension, therefore, limit our ability to communicate through movement. The Alexander Technique helps us to identify the more common tension patterns of dancers, including; the classic pull down pattern or heroic pose with the chest overly lifted, the shoulders pulled down and back, the compressed neck and low back, and the hyper-extended knees. The technique also helps us to identify peripheral holding patterns associated with over-efforting in the extremities and tightness in the shoulders and hips that limit our movement potential. Both Walter Carrington and Ann Bluethenthal remind us that there are several questions, related to the Alexander Technique, that we can ask ourselves during rehearsal and performance. Can I do this with less effort, less constriction of breath, and less gripping? Can I do this without tensing up, squeezing the life out of myself, or harming myself? For, "It is possible, even in the most athletic feats, that movement can emanate from a still, calm place at our core" (Erick Hawkins). The Alexander Technique can help us to find a common ground for movement; a natural and unencumbered way of approaching the way we sit, stand, walk, and dance.

> *"When a dancer cultivates this kind of attentiveness during training, the result is an artist who is not only more awake, but also more conscious of how she is communicating through it. The dancer is less limited by her unconscious habits and is therefore freer to say what she intends. Her movement reveals an inner landscape that is more essential, whole and universal. This movement speaks not from the personality of the dancer to that of the audience, but from the depth of one soul to another."*
> (Ann Bluethenthal)

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Internet Sites for More Information About the Alexander Technique

http://www.ati-net.com/
http://www.alexandertech.org/
http://www.alexandertechnique.com
http://www.suite101.com
http://www.directionjournal.com

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3rd Annual Hawaii International Conference on Arts and Humanities

PROCEEDINGS SUBMISSION

Title of the submission: In Whose Words? Narrative Analysis of International Volunteer Stories from an Anthropological Perspective

Name of the author: Ivana Polonijo

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Abstract

The theoretical inspiration for this paper has come from anthropological conceptualizations of personal narrative and the relationship between the notions of travel, culture, and reciprocity. I consider this in relation to the construction of cultural meaning by volunteers through the medium of the Internet. The present analysis primarily focuses on how volunteers attempt to create coherent narratives of their own volunteering and make their experience of places and "cross-cultural links" (Clifford 1997) meaningful. The organization of themes in this paper reflects the authors concern about a holistic anthropological approach to the research of volunteering. The paper was published in *Narodna Umjetnost, Croatian Journal of Ethnology and Folklore Research* 41,1, p. 103-123, Zagreb 2004.

Singing Across the Centuries: Readership, Spectatorship, and Song in Two Plays by Brecht and Thomas Heywood

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Abstract:

As a theorist and a playwright, Brecht continues to be one of the most influential figures in the modern theatre; Thomas Heywood, on the other hand, is largely ignored, one of many little-known Elizabethan dramatists. Brecht admitted that his approach was heavily indebted to the Elizabethan theatre, however, and there are a number of significant similarities between the works of these two authors. One crucial point of similarity is their extensive incorporation of songs into certain of their plays. In the context of each playwright's theoretical writings, this paper compares the use of songs in one of Brecht's most popular plays, *The Threepenny Opera*, with that in a work by Heywood that is rarely read today but was enormously popular in his time, *The Rape of Lucrece*. There are a number of thematic, formal, and technical parallels between these two works; more importantly, this comparison raises questions about a number of Brecht's basic ideas about alienation and the use of music in the theatre. Comparing the differing popular and critical responses to these two works suggests that Brecht's concept of gestic music represents only a partial view of the actual effect of such songs in performance, and that the larger phenomenon of the Brechtian alienation effect needs to be reconceptualized. A more complex model of theatrical spectatorship is offered to account for the multi-layered effect of these songs in performance. Finally, the disparity between popular and critical responses to both plays – like the decline in Heywood's status since the Renaissance – is attributed at least in part to a consistent critical tendency to denigrate popular tastes and to privilege the intellectual act of reading a play over attempts to develop a more holistic description of the experience offered by a play in performance.

ON ABSTRACTION

TOPIC AREA: Philosophy
FORMAT OF PRESENTATION: Paper Session

3,000 word paper excluding endnotes
200 word abstract

by

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ABSTRACT
for
ON ABSTRACTION

The constituent elements of experience are quality and abstraction. Quality is the content of sensation, and can be the content of imagination. Abstraction is the content of imagination. Quality occurs in time and/or space; abstraction occurs in neither time nor space. As content of sensation at least, quality is unimaginable in neither time nor space. As content of imagination at most, abstraction is unimaginable in either time or space.

An abstraction is simple identity, being this and nothing else. It is indivisible as such, which is to be logically complete, and rational as so. Thus a limited sequence is "sense," and an unlimited sequence is "nonsense." Required for understanding abstraction is not the representation of sensation, but the awareness of sense. Imagination can be a non-representational phenomenal experience. When such, it is expressed as a "sense," as distinct from a representational "sensation."

Not only simple identity distinguishes abstraction, but also the sequences within which it can occur. Abstract mind is sequenced with some things, and abstract body with other things. And different minds and bodies can be sequenced with different things. This sequencing function not only distinguishes abstractions, it also relates abstractions which can occur interchangeably in the same sequences.

ON ABSTRACTION

1 SUBSTANCE AND FORM. Infinite divisibility denies reality of substance. Infinite regress denies reality of form. Both content and form endlessly approaching nothing, neither is made of anything,so neither exists. Yet being formal, infinite regress is self-contradictory. A formal proof of non-existence of form is self-defeating. Also being formal, infinite divisibility is self-contradictory. Form constituting relationship of content, if content is unreal because infinitely reducing to nothing, form is unreal.

Neither argument being possible unless form and content exist, when form and content devolve to nothing, both must be real, neither a construct. Presupposing form and content, both arguments show neither form nor content derive from some ultimate element or elements. So their existence can be only spontaneous, and thus inexplicable. Simply, both form and content are intrinsically immediate and primitive.

Being such, a universal logic is self-contradictory. Everything presupposing logic (a rule of identity), logic exists independently of everything else. Anything reduces to other related things, and these into still other related things, and so on endlessly. Form is real and substance is unreal, then, as Plato posited. But being a thing itself, form is unreal. Every rule of logic is divisible into related constituents, which is identifiable by another rule of logic similarly divisible, etc. A fatal regress ensues in which there is no ultimate logic by which every other logic is identifiable. No logic being identifiable, there is no logic. Logic being relationship, there is no relationship. And things being constituents in relationship, there is nothing.

Yet things do exist, structure in reality being an emergent mystery. It is self-evidently immediate in experience, presupposing no prior standard. Certainly such a standard can be

provided, but it is not incorporated in immediate experience. Coherent experience could not occur if it were incorporated, because the standard of logic would be limitless. Logic is necessarily a self-evident intuitive reality, error only occurring within the context of another world, where self-evidence differs.

Truth occurs within such a reality, a world of this sort constituting what exists. Incorporated must be *a priori* existents which are self-evident within a world, requiring clarification only when occurring within another world. There can be no truth in a world unless some truth is self-evident in it, and what is self-evident in one world need not be so in another world. Self-evident truth can exhaust a world's content, or a world can contain a necessary truth identifying conditional truth. Only assuming combined worlds need otherwise self-evident truth be derived from other self-evident truth to be veridical. A self-evident truth becomes a conditional truth within this different world.

No two objects are identical at least in identity and, qualitatively, in temporal and/or spatial location. In respect to what makes it unique, any object is an analogical archetype—"a 'base case'" in set theory—for a universal class of which it is sole member.[1] As so it is both intensional criterion and intentional constituent of the universal class of itself. It is intensional criterion because any member of the class is an analogical archetype for membership in the class. And it is intensional constituent because any analogical archetype for membership in the class is a member of the class.

Identifying every element between a set's limits, any set's power set is ambiguous. Distinguishing each member of a set is understandable in contradictory ways, as generating both one indivisible thing and infinite indivisible things. Either every element is fused into one with

nothing separating any from another, or every element is diffused into infinity with nothing linking any to another. Resolving the ambiguity is mutual identity of whole and parts.

How is it known fused whole is diffused parts and diffused parts are fused whole, since neither appears like the other? How is it known $A/B+C$? Identity of whole and parts is knowable only by self-evidence, each identifying the other in the vicious circle of a corecursive hyperset. A complete set is proven by its containing all of the constituents of the complete set; and all of the constituents of the complete set are proven by the containment in the complete set. Diffused parts and fused whole are intensional and intentional in turn, each criterion as limit for and instance as limit of the other.

Indistinguishable and distinguishable whole being limits of any set, mutual identity as set limits occurs by iterative determination of fused whole and diffused parts. Each is identified by either consecutively resolving each disjunctive of the limits exclusively, or consecutively resolving each disjunctive of the limits inclusively. Exclusive disjunction of the limits generates diffused parts from fused whole; inclusive disjunction of the limits generates fused whole from diffused parts.

Within the same limits, any exclusive disjunctive iteration terminates in the same diffused parts, and any inclusive disjunctive iteration terminates in the same fused parts, after all disjunctives of the limits are resolved. This constitutes all the constituents of the set being identified. Constitutive of an axiomatic system, such structure is manifested in systems such as parallel computer architecture and macroeconomics.

2 ABSTRACTION. Grouped and ungrouped qualitative elements being sensately indistinguishable, distinguishing them is abstraction. Experience composes two elements, quality and abstraction.

Quality is content of sensation, and can be content of imagination. Abstraction is content of imagination. Quality occurs in time and/or space; abstraction occurs in neither time nor space. As content of sensation at least, quality is unimaginable in neither time nor space. As content of imagination at most, abstraction is unimaginable in either time or space. God exists in neither time nor space. So abstraction exists independently of time and space.

An abstraction is simple identity, being this and not anything else. It is indivisible as such, occurring in neither time nor space, which is to be logically complete, and rational as so. Thus, a limited sequence is "sense," and an unlimited sequence is "nonsense." Abstractions being simple identities, disjunctives of simple identities are unimaginable. Resolution of disjunctives being relation, abstractions cannot be related. Rather than transitioning through disjunctive resolutions of states of being, abstractions emerge in states of being.

This is because they occur in imagination rather than sensation. Abstraction spontaneously appears and disappears in imagination, emergent from autonomous mind willing it into and out of being. As Robert Audi indicates,

> We can by and large introspect *at will* - roughly, just by (sufficiently) wanting to - though we may also do it quite spontaneously.[2] . . . Granted, some content - like sensations of pain - comes into consciousness uninvited; still, we can very freely *call to mind* both propositional and imagistic content.[3]

Because spontaneous self-contained occurrence, emanation is substantively illogical—viz., inexplicable. Emanation is logical only formally when located within a pattern of occurrences. Abstraction being imaginative, and imagination being spontaneous self-contained occurrence, abstraction is eminent and illogical.

An analogical archetype can act as a sign of an infinity, as does an abstraction. Represented by the analogical archetype and symbol, still the abstraction is understood

independently of the analogical archetype or symbol. All would be immediate if not so, and there would be no abstraction. Whether or not abstraction is understandable independently of a representation, it still exists independently of representation. Required for understanding, abstraction is not representation of sensation, but awareness of sense.

It being possible to imagine a world whose properties are unimaginable, indeed an infinity of such worlds, shows imagination can be a non-representational phenomenal experience. An example is the quantum in physics. When such, imagination is expressed as a "sense," as distinct from a representational "sensation." It might be thought a representation of what is imagined, but a representation is at best an analogical archetype, not the thing imagined. This latter is an abstraction, the set of all things like the analogical archetype. As an abstraction, it cannot be experienced in its entirety at any moment, only sensed at any particular time.

Having a sense without a representative sensation is possible. Sensation is immediate awareness. There being no immediate awareness of abstraction, there is no sensation of abstraction. If there is awareness of abstraction, then it is by another means. This is by "[1]**sense 3 : b :** a definite but often vague awareness or impression,"[4] which is to "[2]**sense** GRASP, COMPREHEND."[5] Manifest is "**intuition c :** the power or faculty of attaining to direct knowledge or cognition without evident rational thought and inference."[6] It is a primitive act of, "**apprehension 1 a :** the act or power of perceiving or comprehending."[7] As so, although a "vague awareness or impression," a sense of understanding is still to "**comprehend 2 :** to contain or hold within a total scope, significance, or amount."[8] As so, it constitutes "**comprehension 1 c :** the capacity for understanding fully."[9]

Sense can be mistaken if not behaving as if having it. Such behavior constitutes a pattern of specified things related by specified logical transitions. Understanding is indicated in the ability to identify the criteria of membership and relationship by defining the pattern, or to identify the content of membership and relationship by following the pattern. In Wittgenstein's phrase it is, "to go on."[10] But behaving as if understanding is not understanding because such behavior can be accidental, as John Searle's Chinese room example illustrates.[11] More is required, and this a sense of understanding.

Necessity of mathematical proofs illustrates this. Contra the claim it can be known mathematical proofs are necessary in a field, it can be replied since there is no awareness of all possible proofs in a field, it cannot be known all proofs are necessary in it. To the reply although not experiencing all proofs in a mathematical field, one has a sense all proofs are necessary, it can be replied only experience provides knowledge. Accepting this, though, since not experiencing all proofs in a mathematical field, how is it known a proof need not be necessary? Abstraction vanishes if a sense of truth is not knowledge, and the claim of the possibility of an unnecessary proof in a mathematical field is an abstraction.

Indeed all is abstraction. Experience occurring in time, and time being reducible to a nonexistent infinitesimal moment, experience is inherently abstraction of past and perhaps future moments not currently experienced. Since abstraction is unknowable by sensation, how is it knowable at all? And since all is abstraction, how is anything knowable at all? Not an object observed in itself, for instance, how is time knowable?

Resolution is by understanding knowledge of the abstract as a presumption or propositional attitude. Being primitive, whether it is a definition or sensation or something else

is indeterminable. Such is beyond human knowledge. What is knowable it is an a priori conception of truth. Knowledge must be a priori, and can be a posteriori. If the latter, what is considered and how it is considered is necessarily determined by an a priori preconception of truth or what is. It is the a priori which is known as a sense, and the a posteriori when judged by the a priori truth of relevance.

Abstraction is manifest in quality. Only existing in time and/or space, quality is irrational because time and space are extended. Thus, they are divisible into segments, and the segments are divisible into segments, and so on limitlessly. Limitlessly divisible, time and space are irrational, any calculation containing either or both having no product. Abstraction is simple identity. As such, it is unextended. Being unextended, it is indivisible. Because indivisible, abstraction is rational.

3 SEQUENCE. Abstraction being identified by simple identity, and not existing in time, how is the same abstraction identified in time? No longer applicable is D. W. Hamlyn's criterion, "If anything provides the principle of individuation for substances, or at any rate material substances, spatio-temporal history does," because abstraction has no spatio-temporal history.[12] Even Hamlyn acknowledges this with the qualifier, "at any rate material substances." But if spatio-temporal history is *the* "principle of individuation for [material] substances," yet cannot individuate abstract substances, how can the same abstract substance be individuated?

Indicating the same abstract substance can be individuated is the expression "this is the same idea I had before" is meaningfully assertable. Such individuation is explainable only by simple reidentification, this as primitive as initial identification. It is simply known to be the same abstraction. Even the current idea only being *like* the former idea, not being the same idea,

requires recall of what is identifiable as the former idea, reintroducing historic identification of what has no spatio-temporal history. Otherwise abstract thought is constantly *de novo*.

Still this is incomplete, individuation of abstractions not confined to simple identity. Abstraction is distinguished not only in this way, but also by the sequences within which it can occur. Abstract mind can be sequenced with some things, and abstract body with other things. And different minds and bodies can be sequenced with different things. This sequencing function not only distinguishes abstractions, it also relates abstractions which can occur interchangeably in the same sequences.

Being self-identifying, abstraction is self-contained. Being self-contained, abstraction can be related to other elements, abstract or qualitative, only by sequencing. Abstraction being limited, an abstract sequence is limited, rendering the sequence rational. Quality being limitless, abstraction brings a limit to a qualitative sequence, rendering the sequence rational.

Abstract sequence is logically certain. A logic is identification of particulars. Such is intentionality, which is sequencing of particulars, which is coterminous awareness of particulars. Awareness being emergent, coterminous awareness of particulars is primitive. There are different instances of coterminous awareness of particulars, constituting different logics.

Whether there is intervening content between particulars determines how transition from one to another occurs. This is a function of content being qualitative or abstract, qualities always having intervening content and abstractions not. Qualities always having intervening content, qualitative logic is limitless. Suffering Zeno's Paradox, it is uncertain. Abstractions not always having intervening content, abstract logic is limited. Not suffering Zeno's Paradox, it is certain.

4 WORLDS. Truth can exist within an abstract world because an abstract world can be rational. Truth cannot exist within a qualitative world because quality is irrational. Only within a limited set is knowledge possible because an unlimited set is irrational. An irrational set has no product, when the product of a set constitutes knowledge. Knowledge is the product of a calculation, and the product of a calculation is identity of a composite. Even self-identity is a calculation, parts identified as whole and whole identified as parts. An unlimited set has no product, so there is no knowledge within it. Being such, an unlimited set is irrational.

Edmund L. Gettier's counterexamples are irrational because they are outside the limits of the set. Their irrationality is proven by the possibility of any Gettier counterexample having its own Gettier counterexample. This possibility being unlimited, and an unlimited set defining irrationality, Gettier counterexamples are irrational. Science assumes all understanding occurs within a limit. Unlimited, knowledge is impossible. Rational activity is to move toward the limit.

There are two kinds of rational worlds. Either a world is supervenient with the properties of every complex within it deducible from the properties of its constituents, or emergent with the properties of at least some complex within it not deducible from the properties of its constituents. An emergent world might be thought irrational because incoherent, but is not. Any order is rational, whether coherent or not, even the wholly emergent world of chaos. As Charles Sanders Peirce observes, "'. . . [(A) world in which induction would fail as often as lead to truth] would not be disorder, but the simplest order; it would not be unintelligible, but, on the contrary, everything conceivable would be found in it with equal frequency.'"[13]

An irrational world is a world in which not everything occurring within it is deducible from a constitutive principle or principles. In a world of one principle, all occurrences are deducible from the principle. In a world of more than one principle, all occurrences are deducible from one of the principles. All is coherent if no occurrence follows from more than one principle. If an occurrence does, it is ambiguous and the principles from which it follows are vague. Now a world is incoherent, and irrational because it is made coherent only by arbitrary choice.

Coherent and incoherent worlds are asymmetric. A coherent world need be determinate, and an incoherent world need not be determinate. Indeterminacy is a product of ignorance or error in a coherent world, and a product of freedom in an incoherent world. Order is explained by the supervenient structure encompassed in one principle of a coherent world. Disorder is explained by the emergent structure encompassed in more than one principle of an incoherent world. A rational world is constituted by one principle determining that world. A nominal world is constituted by more than one principle determining that world. A chaotic world constituted by no principle cannot exist.

5 CONCLUSION. Manifest in the limitation of truth to an abstract world is, quite contrary to expectation, abstraction is a requirement of the practical. Practicality being the ability to predictably alter experience, this is possible only with abstract elements. Prediction is a calculation considering elements. Calculation identifies the subset of subsets composing a set of elements—viz., what is common to all subsets composing a set of elements. This subset of common elements constitutes the product of the calculation and the meaning of the sequence.

Not something perceived, meaning is sensed. Importantly it is spoken of as the *sense* of what is meaningful.

Calculation occurs in a linear consecutive identity arriving at the same product of a specified sequential consideration of the elements of the set. Being indivisible, abstract elements are limited, and rational as such. Being rational, a calculous of abstract elements has a product. Quality occurs only in time and/or space. Any extent of time or space being divisible, time and space are endlessly divisible. Therefore quality is endlessly divisible. Being so, qualitative elements are unlimited. Being unlimited, qualitative elements are irrational. Being irrational, a calculous of qualitative elements has no product. Only in calculating the product of abstract elements is predictive calculation of the practical possible.

NOTES

1."**base case**" in *FOLDOC, Free On-Line Dictionary Of Computing* (London: Department of Computing, Imperial College of Science, Technology and Medicine, University of London, 8th November, 2001): http://foldoc.doc.ic.ac.uk/foldoc/foldoc.cgi?query=iteration&action=Search.

2.Robert Audi, *Epistemology: a contemporary introduction to the theory of knowledge*, second edition (New York: Routledge, 2003) 90.

3.Audi 91.

4."[1]**sense**" in *Merriam Webster's Collegiate Dictionary, tenth edition*, eds. Frederick C. Mish, et. al. (Springfield, Massachusetts: Merriam-Webster, Incorporated, 1996) 1066.

5.Mish, et. al. 1066.

6.Mish, et. al. 614.

7."**apprehension 1 a**," Mish, et. al. 57.

8.Mish, et. al. 237.

9.Mish, et. al. 237.

10.Ludwig Wittgenstein, *Philosophical Investigations*, trans. G. E. M. Anscombe (New York: The Macmillan Company, 1968) *151*, 59e. See also 59e-62e, 80e-84e.

11.John R. Searle, "Minds, Brains and Programs," *The Behavioral and Brain Sciences* 3 (1980): 417-424; 450-456.

12.D. W. Hamlyn, *Metaphysics* (New York: Cambridge University Press, 1984) 75.

13.Murray G. Murphey, *The Development of Peirce's Philosophy* (Cambridge, Massachusetts: Harvard University Press, 1961) 345.

A Recital of Brazilian Art Songs

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Brazilian art song literature shows the influence of several cultures, among them African, European and indigenous elements. There is a wealth of Brazilian vocal literature that is generally unknown outside of South America. The pieces presented on this program represent a small subsection of literature that was collected by Dr. Porter, who has been studying Brazilian vocal literature.

This recital will present songs that show the various influences on Brazilian song literature. It is our hope to introduce to some and to reacquaint others with this beautiful repertoire that is heard infrequently.

The total timing for the program is approximately 35 minutes. We will require a grand piano and a music stand.

I. Songs demonstrating African Influence

Elegia da manhã (2:00) — O. Lorenzo Fernândez (1897-1948)
Canção do mar (1:30)
Conselhos (1:30) — A. Carlos Gomes (1836-1896)

II. Modhinas

A casinha pequenina (2:00) — Radamés Gnattali (1906-1988)
Nhapopé (2:30)
Declaração (1:00) — M. Camargo Guarnieri (1907-1993)
Tanta coisa a dizer te (2:00)

III. Songs demonstrating European influences

Noite de Junho (3:00) — O. Lorenzo Fernândez
Trovas de amor (3:00) — Francisco Mignone (1897-1986)
Ninna Nanna (2:30)
Imagem (2:15)
El clavelito en tus lindos cabellos (2:00)

IV. Songs based on Brazilian Folk melodies and themes

Cinco Cançoes Nordestinas — arr. Francisco Ernani Braga (1868-1945)
- O' Kinimbá (1:30)
- Capim di pranta (1:30)
- Nigue-nigue-ninhas (2:00)
- São João-da-ra-rão (2:00)
- Engenho novo! (1:45)

Love is No Detective': Germaine Greer and the Enigma Code

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This paper is part of a study examining a series of autobiographical texts in which the writers, focusing on the lives of their parents, rely not upon memory but on external forms of evidence such as letters, photographs, iconic physical objects, public records, newspapers, and other archival material. The parents have attempted to keep their identities secret for self-protective purposes; the autobiographers become detectives of sorts, sifting clues and amassing evidence regarding shameful family secrets and parental evasions of their authentic identity, ethnicity, religion, even of criminality. This paper contributes to the debate about responsibility and appropriate subject mater in autobiographical writing by raising questions regarding the nature of autobiographical evidence, its reliability for life-writing, its usefulness in offsetting filial trauma, and the ethical limits for such exposes, especially concerning privacy.

This particular paper focuses on Germaine Greer's memoir, Daddy, We Hardly Knew You. It depicts her two-year search to learn about the family of her father, whose life was a deliberate exercise in forgetting and fabrication. "He was a man without a past," she laments. The less Greer realizes she knows about him, the more she wonders what she has inherited beyond his face and his genes, and the more determined she becomes to learn all she can about the enigmatic man. Pouncing on every available clue, she investigates his employment and genealogical records, civil documents and electoral rolls from Tasmania to the Australian mainland to England, as well as military archives from India to Malta, where he was posted during World War II. She interviews hundreds of acquaintances, and writes letters to Greer families in every English-speaking country, hoping for information about Reg Greer's origins. Though the Greer family motto is "Be mindful of your ancestors," her father had either invented his own or simply refused to talk about them. Germaine dedicates herself to "Digging my father out of his grave"; but for a long while it's an exercise in futility. When she finally discovers his identity, she fears she has engaged in a vengeful act, and that she has lost him forever. My paper focuses on the moral dilemma of her search, and the ethics of her fierce resolve to "out" the father despite his determination to preserve his fabricated identity.

1. Title of the submission: "T.S. Eliot's *Waste Land*: Defamiliarization of Past and Personality"
2. Topic area of the submission: Literature (and Contemporary Literary Theory)
3. Presentation format: Paper session and Panel session
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Eliot's *Waste Land*: Defamiliarization of Past and Personality.

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Abstract

Since the publication of Eliot's influential essay 'Tradition and the Individual Talent' (1917) and his poem *The Love Song of J. Alfred Prufrock* (1915) the canons of the taste of poetry and the test of the poet have been redefined, reinterpreted, brilliantly defended and blatantly attacked by various critics. In this paper, I have used Viktor Shklovsky's notion of 'defamiliarization' to show that Eliot's emphasis on 'tradition' and 'impersonality' is, in fact, a 'device' to 'defamiliarize' 'past' and 'personality' in his poem, *The Waste Land* (1922). Language is a medium of communication and the readers are familiar with its expressions used in the typical contexts. Therefore, the readers will have no effect on them by their ordinariness and familiarity. Shklovsky argues that devices of various kinds are used in literature 'to defamiliarize language and to awaken readers to the intricacy and texture of verbal structure. Such defamiliarization is, therefore, the manner in which poetry functions to rejuvenate and revivify language'. History of art and literature furnishes many examples of artists and poets (to name a few) like Apollinaire, Magritte, Schonberg, Picasso, Pound, Cummings, Hopkins, and Donne who have developed their art with pronounced techniques of 'defamiliarization' to give new meaning to familiar things and settings. Eliot's *Waste Land* is an attempt at, what Shklovsky has called, 'Ostranenie' (= Defamiliarization). It is an attempt at making the past with all its 'pastness' and personality with its 'extinction' appear extraordinary, atypical, composite, shocking, and novel. The present paper will also throw light on Eliot's use of language in *The Waste Land.* Like Pound, Eliot tried to 'resuscitate the dead art of poetry' by becoming 'more allusive, more indirect, and even doing violence to the language'. His innovations in the use of language are attempts at 'defamiliarization'.

PROCEEDINGS SUBMISSION

1. Title of submission: SPANISH IN LOUISIANA

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ABSTRACT

SPANISH IN LOUISIANA

Very little is known about Spanish presence in Louisiana, because all the attention has been on French and the Cajun culture. Louisiana is very much a Spanish state also. In fact, the Spanish were the very first Europeans to arrive in the territory, explore the land, and sail along the Mississippi. There are three Spanish-speaking groups in Louisiana – the Adaeseños, the Brules, and the Isleños. The Adaeseños date back to 1717 and at present can be found in Natchitoches and Sabine Parishes. They are the descendants of the residents of the Los Adaes presidio. The Brules and the Isleños date back to 1778, when soldiers and their families were shipped from the Canary Islands after the beginning of the American Revolution to augment the Spanish military force in Louisiana for fear of British encroachment. The Brules can be found today in Ascension Parish, and the Isleños can be found further south in St. Bernard Parish, near New Orleans.

The purpose of my research was to study the historical background of the three groups, examine their present situation with regard to their language and culture, and compare their linguistic features.

My principal sources of information for this project were my own studies as well as those of Hiram Gregory, James McCorkle, Samuel Armistead, Charles Holloway, and John Lipski.

The results of the study revealed that all the three Spanish-speaking groups are in a vestigial state with regard to their language. In the case of Brule, there are no speakers left. In the case of Adaeseño and Isleño, although there are a few speakers left, the death of their dialects is inevitable, because the speakers are all very old. There are some remnants of the culture also, which are demonstrated by their religion, domestic activities, musical instruments, food, tools, and names. However, while the Isleños have been able to conserve their communities and culture through the establishment of the Isleño Cultural Society, the Adaeseños have no communities left although they have also recently established the Adaeseño Foundation.

The three dialects share many linguistic features with other vestigial dialects, such as a reduced vowel system and elimination and neutralization of sounds. They however differ considerably with regard to their lexicon.

PROCEEDINGS SUBMISSION

1.	Title of submission:	EFFECTS OF THE NEUTRAL STRIP ON SPANISH LANGUAGE AND CULTURE IN TEXAS AND LOUISIANA
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ABSTRACT

EFFECTS OF THE NEUTRAL STRIP ON SPANISH LANGUAGE AND CULTURE IN TEXAS AND LOUISIANA

The Neutral Strip was a portion of land located at the border of present-day Texas and Louisiana, covering an area of 5,000 square miles. It became the cause of a fifteen-year controversy between Spain and the United States from 1806 till 1821. The conflict began when the United States took over the Louisiana territory after the Louisiana Purchase in 1803 and tried to claim all the land up to the Sabine River as part of Louisiana. However, according to Spain, which owned the bordering territory of Texas, Louisiana ended at the Red River, since the land to the west of that was already Spanish territory before France ceded Louisiana to Spain in 1762. In order to avoid war, the two sides came to an agreement that the land would not belong to either side, and named it No Man's Land or The Neutral Strip. Then in 1821, Spain finally gave it up to the United States.

The problem however was that the descendants of the Spanish-speaking community which had developed from the Los Adaes settlement, the Adaeseños, had settled in small communities along the Sabine River from northeastern Texas to northwestern Louisiana, so they were living in that area when it became the Neutral Strip and eventually became part of the United States.

The purpose of my study was to find out the exact location of the Spanish community with regard to the Neutral Strip, and what effects the controversy had on their language and culture.

I conducted my study by way of interviews, for which I used seventeen Adaeseños between the ages of 55 and 91, as well as other researchers who had conducted some historical studies in the area.

The results showed that the Adaeseños found themselves right in the middle of the conflict, because their communities were located in the Neutral Strip. The study also revealed that due to the declaration of the territory as No Man's Land and its eventual handover to the United States, the Spanish community disintegrated and their language and culture encountered a socio-political threat which has led it to its present vestigial state. There are some remnants of the culture with regard to religion, occupation, domestic activities, and tools. Their last names are also indicative of their Spanish origin. However, the death of their language is inevitable, because it has not been spoken for so long that the youngest speakers are over 70 years old and there are very few speakers left. However, the few speakers remembered a lot of it and were able to speak enough of it for me to document the phonological, morphological, syntactic, and lexical features of the dialect.

Inside and Out:

A Performative and Contextual Comparison of "The Three Dances" in Stravinsky's *L'Histoire du Soldat*

By Artemis Preeshl

L'Histoire du Soldat (The Soldier's Tale) was composed by Igor Stravinsky and written by Swiss poet Charles-Ferdinand Ramuz in 1918. In this paper, I will focus on "The Three Dances," "Tango," "Waltz," and "Ragtime," by analyzing the choreography of Anna Sokolow, Dudley Brooks and myself, as well as compare other European and American productions. I will also analyze the impact of World War I and the artistic movement of Realism on the style and presentation of *L'Histoire du Soldat*.

The Great War inspired Stravinsky and Ramuz to create an affordable chamber piece. First of all, Stravinsky noted that he no longer had access to his resources from his homeland due to the war and Communist Revolution(Stravinsky 1962: 70). Secondly, the Treaty of Brest-Litovsk restricted the travel of Russians within Europe (White 1948: 76). Unable to travel with *Les Ballets Russes*, Stravinsky worked with his Swiss colleagues. Thirdly, during the war, Stravinsky had gathered the original material for *L'Histoire du Soldat* from Alexander Afanasiev's tales. The composer suggested these stories to Ramuz. To appeal to an international audience, Ramuz and Stravinsky denationalized the plot, basing it on the Faustian story of a man who loses his soul to the devil (White 1966: 265). Fourthly, the work spoke to Europeans whose lives were brought into stark relief by sudden loss. Ironically, war enhanced the popular appeal of Realism. Finally, jazz as well as popular and

historical dances marked a transition in Stravinsky's composition. Thus, war, Realism and jazz led to this hybrid work.

The Premiere

L'Histoire du Soldat received its premiere at the *Théâtre Municipal de Lausanne*, on September 28, 1918 (White 1966: 264).[1] The players included Gabriel Rossel as the Soldier, Jean Villard as the Devil, and Elie Gagnebin (Stravinsky 1982: 192n.)[2] He was a member of *Les Cahiers Vaudois* which was founded by Edmond Gilliard in 1914. The Devil and Princess were danced by George Pitoëff and his wife, Ludmila. From the first audition of the work at his home, Stravinsky designated Pitoëff to direct (Stravinsky and Craft 1978: 167.)

Clearly, George and Ludmila Pitoëff had a lasting impact on the staging of *L'Histoire du Soldat*. The son of a theater director, Pitoëff became an actor upon returning to Russia. Founding a theater in St. Petersburg, he based his acting on the Method of a family friend, the renowned director and teacher, Konstantin Stanislavski. Because Pitoëff's taught Stanislavski's technique, it is likely that the director preferred realistic

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[1] Ernest Ansermet conducted and Vaudois artist, René Auberjonois designed the scenery and costumes.

2 According to Stravinsky (1964), Swiss geologist Elie Gagnebin read the role of the Narrator for the premiere of *Histoire du Soldat*.

acting. Indeed, the composer's supported his preference for realism:

> "There is in him nothing of the dreaming artist of the romantic school who would forget reality for his vision; Stravinsky is a craftsman who knows real life and who writes nothing that is not imbued with the spirit of the present epoch"(Stravinsky 1924: i.)

Stravinsky himself was involved in the choreography. He wrote, "[…]Mme Pitoëff and I evolved [the Princess' dances] together[…]"(Stravinsky 1962: 74.) Stephen Walsh described the dancing:

> "[…]George Pitoëff performed the Dance of Triumph, while Lyudmila – who was no ballerina and could not dance on pointe – evolved a particular style of "movement" for the Princess which, to judge from Auberjonois's drawing of her[…]may have owed something to something to Isadora Duncan"(Walsh 1999: 290n.)[3]

Stravinsky biographer Mikhail Druskin further described the dance as "[…]the *tableaux vivants* of the actions, which is danced[…]and the Narrator representing the characters"(Druskin 1983: 57.) Dismayed, Ludmila Pitoëff said,

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[3]Also see Wagner, "Igor Stravinsky und Rene Auberjonois," *SNB*, 323, for a reproduction, and 321-2 for a catalogue description.

> "We were dancing mutes. Georges, as the Devil, fluttered and threw himself about, and I was the melancholy, unsmiling Princess, charmed out of her apathy by the soldier's violin" (Stravinsky and Craft 1978: 167.)[4]

While Ludmila disliked her performance, Stravinsky (1962: 77) commended this truthful approach:

> "[…]the first performance of the *Soldat* completely satisfied me[…]It was a great success as a whole, thanks to careful execution, setting, and perfect interpretation. The true note was struck then, but unfortunately I have never since seen a performance of the *Soldat* that has satisfied me to the same degree."

Hence, Stravinsky was pleased with a naturalistic, rather than a stylized, approach to the work.

In contrast, the Swiss audience's response to the work was mixed. In his work, Stravinsky: A Creative Spring: Russia and France, 1882-1934, Stephen Walsh (1999) cited Ramuz' comments about the reception of the work:

> "The teasing simplicity of the new work's musical ingredients, its curious blend of Russian Folksiness and a gallery of borrowed styles[…]waltzes, ragtimes[…]this

[4] Paraphrased from '*Souvenirs Intimes*," *Le Quartier Latin*, Montreal, March 23, 1945.

> kind of sophisticated hyper modernism was as yet without context for a Swiss audience."[5]

While appreciating the music, the audience was not receptive to its simplicity. Happily, the work's popularity possibly continued, in part, because of the inclusion of jazz and the *pasodoble,* which came into vogue in the 1920's.

Text and Music

Ramuz and Stravinsky conceived of *L'Histoire du Soldat* together. White(1948: 265) suggested that they concurred:

> "[…]the Soldier and the Devil…were to be given spoken dialogue…act in mime[…]a suite of dances for a dancer (the Princess) [was introduced] as a divertissement towards the end of Second Part."

The score of *L'Histoire du Soldat* marks the denouement of Stravinsky's Russian period and heralded strains of his neo-classical period, which began with *Pulcinella* in 1919 (Druskin 1983: 83.) Stravinsky's violin echoed Russian melodies. The central theme for the violin occurred to Stravinsky in a dream of a young gypsy who played her violin with the whole bow as a child sat on her lap (White 1948: 270.) Often considered the devil's instrument, here the violin actually represents the Soldier's soul (Vlad 1978: 64). In spite of the importance of

[5] According to Walsh (1999: 291), no further performances due to the flu epidemic.

the violin's Russian leitmotifs, Stravinsky said that *L'Histoire du Soldat* "mark[ed] my final break with the Russian orchestral school in which I had been fostered"(White 1966: 270.)

As a result, *L'Histoire du Soldat* instigated the composer's experimentation with jazz. Conductor Ernest Ansermet had brought several jazz scores to Stravinsky from his 1916 American tour (White 1966: 270.) Reading these scores, Stravinsky "imagined how jazz would sound and wrote the "Ragtime" of "The Three Dances"[…] in a New Orleans jazz style"(White 1966: 271.) Thus, Stravinsky anticipated the popularity of jazz in Europe. Naturally, its African rhythms impacted its choreography.

In 1909, Les Ballets Russes in Paris initiated integration of choreography, music, set and costume design. The company premiered Stravinsky's *Firebird*, starring the famed dancer Vaslav Nijinsky, in 1910. In her book on Nijinsky's work, Jennifer Dunning suggests that this seminal work embodied the Wagnerian ideal of *gesamkunstwerk*, uniting dance, music and art (Dunning 1983: 15).

Dance

Several contemporary movement styles influenced the composition of *L'Histoire du Soldat*. Biographer Vlad Roman noted that the composer's influences were "American ragtime, Argentine tango, Swiss brass band, Spanish *pasodoble*, Bach's chorales and preludes to the Viennese waltz"(1978: 61). Moreover, these

artistic influences linked Stravinsky's opus to trends in European society.

In their article on important European dance and political events in the early 20th century, Andrée Gran and Stephanie Jordan (2000) pinpoint 1911 as the year during which South American dances gained popular in Germany. Originally danced between a prostitute and her pimp, the sensual tango infers a duel to a symbolic death. Aptly, Stravinsky began the sensual "Tango" with the violin and percussion beating like a heart.

On occasion, the composer predicted the next craze by incorporating innovative styles such as the *Pasodoble*, the Spanish two-step. The "*Paso,*" the Spanish one-step, is a dance of the *toreador* and his cape. The Pasodoble dance, popular in the 1920's, may have enhanced interest in *Soldat*.

Stravinsky also included the 19th century dance, the *Fandango*. In his work, "the "Royal March" – the unaccompanied trombone - announces a fandango" (Stravinsky and Craft 1978: 169n.)[6] It is a courtship dance in which two people face each other, but do not touch. The music abruptly stops and the

[6]A letter from Michel Larionov, in Paris, undated but probably from the end of 1917 or the beginning of 1918, tells Stravinsky about an American jazz orchestra that has been performing in Paris, and of how much he would like the music. Larionov says that Stravinsky must acquire the 'Negro instruments' – presumably percussion – and that he, Larionov, knows where they can be bought. A note from Ansermet, in Zürich, to Stravinsky, September 25, 1918, asks him to "bring your bass drum and cymbal to Lausanne because the instruments here are inferior."

dancers freeze until the music begins again. Stravinsky's extended measures also offer intimate pauses in the "Tango" of the "The Three Dances." However, White (1966: 272) describes the musicals elements which pose the greatest musical challenges for a choreographer are:

> "[…]prolongation and elision[…] and […]metrical counterpoint."

Choreographic Analysis of *L'Histoire du Soldat*

After a five-year hiatus, Hermann Scherchen conducted the first German production of *L'Histoire du Soldat* in Frankfort in 1923 (Stravinsky 1924: iii.) Evidently, Stravinsky had a definite opinion about how the work should be performed. Stravinsky and Craft (1978: 173) noted that Stravinsky commented on the choreography:

> "Tell Ramuz[…]that it was not at all funny to see a young idiot from Frankfurt mime the role of the Princess. She assumed oriental postures and wore a transparent costume!!!"

Anna Sokolow (1910-2000)

The internationally known modern dancer and choreographer, Anna Sokolow, was uncompromising in her brilliant choreography. By the time she choreographed Stravinsky's work in 1954, she regularly worked on and off Broadway in addition to creating

dances for her own company.[7] Beginning with the scripted circumstance of the Princess' illness, the theatrical choreographer awakes the Princess with percussive shifts of her ribs as well as undulating arms and torso drawn from Middle Eastern dance. In Sokolow's "Waltz," the Princess has improved physically, hopping and jumping. After collapsing on the bed in the middle of the dance, the Soldier revives her. Although Andrée Gran and Stephanie Jordan (2000) write that the Charleston did not become a dance craze in Europe in 1926, the Ragtime inspired Sokolow to choreograph social dances such as a Charleston and Sugarfoot(Streetswing 1998).[8] Thus Sokolow creates an idiosyncratic choreographic essay. Sokolow's Middle Eastern interpretation of the Princess added an exotic flair. Her international work in Russia, Mexico and Israel[9] certainly influenced the oriental vision of this choreography.

Dudley Brooks

Choreographer Dudley Brooks' 1920's treatment of *L'Histoire du Soldat* synthesizes comedy, ballet and social dances, and

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[7] She restaged the second half of the play for television in 1957.

[8] The first known Charleston was seen near Charleston, South Carolina, as early as 1903. By 1913, the Charleston was seen in Harlem; Ziegfeld Follies included the Charleston their performance at New Amsterdam Theater in New York in 1922. The first film version of the Charleston was Bessie Love in the "King on Main Street" in 1925.

[9] She had visited Russia in 1934, worked extensively in Mexico for nine years (1939-1948) and Israel beginning in 1953.

parodies of modern dances. Of the three choreographers analyzed, only Brooks mimes extensively in the "The Three Dances." Unlike the libretto, the Soldier begins "The Three Dances." In the "Tango" and "Waltz," the dance becomes a duet in which mélange of steps are performed: Lindy, John Travolta's signature disco move, the Castle Cortez, the bump from the 1960's, hand and foot jive from the 1950's, the Charleston, the Snake[10] and the Hesitation Waltz.[11] While not of the era of *L'Histoire du Soldat*, this eclectic assortment of steps allows the lovers from different social classes to bond.

Artemis Preeshl

In my production, "The Three Dances" were based on dances from the 1910's, such as tango variations,[12] waltzes[13] and ragtime animal dances, including the Chicken Scratch, Snake, Horse Canter, Kangaroo, Squirrel and Bear.[14] Given the irreverent nature of the Ragtime, the Princess shimmies her shoulders as the Soldier thrusts his pelvis. The Soldier dances his signature jig. The disapproving Princess initiates the Bear. She finally learns the jig. The last moments were inspired by Flamenco and

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[10] A social dance of sidesteps and two-dimensional undulations of the torso and neck.
[11] Made famous by the vaudeville comedian Vernon with his wife and dance partner, Irene Castle, in the 1910s.
[12] *El Ruedo* and *Cortez* tangos.
[13] Hesitation, Box Step, Stately, Cinderella and Castle waltzes.
[14] Teten, Carol 1999 *How to Dance through Time: Dances of the Ragtime Era: 1910-1920*. [videorecording]. Kentfield, CA: Dancetime Publications.

bullfighting, such as the swirl of the bullfighter's cape and his arch with the sword before killing the bull. The Princess revolves; he raises his arms as if to stab her. The Princess arches back and he catches her. Thus, pasodoble influenced the final moments.

A Choreographic Comparison

I expected to find that tango, waltz and ragtime would be explicitly incorporated in "The Three Dances." While each choreographer linked dance to Stravinsky's rhythms, Anna Sokolow and I adapted dance phrases to the musical variations. Brooks' physical comedy choreographically propelled the romance. Instead of an extensive treatment of tango, Sokolow and Brooks' substituted Charleston. Because of my background in Flamenco,[15] I explored Tango variations.

As if honoring Ramuz and Stravinsky's wish for international appeal, this work has been produced nearly every year since 1923. Since the premiere, many have created authentic renditions and radical digressions. While most of the productions have been in Europe and the United States, *L'Histoire du Soldat* has been performed in South Africa, Argentina, Australia, Russia and Korea. United Kingdom, Italy,

[15] Lorand Andahazy of the Andahazy Ballet Company taught Flamenco in Minneapolis, Minnesota.

Germany and Switzerland have hosted most of the European versions.

Some of the European reviews of the work reflect a social choreographic commentary. For instance, Richard Wherlock's 1986 production of *L'Histoire du Soldat* in Cologne was so focused on war images that Karina Kalweit titled her review: "In the shadow of *The Green Table*[…]"(October 1986: 85-86.) In Wherlock's work, the squalid lives of the prostitutes and gigolos were juxtaposed with the innocent Princess and Soldier dancing their duet under a cross. According to Kalweit, the choreography was generalized, lacking a unique movement vocabulary. In another German staging, Kurt Peters declared that, in the process of updating, director Peter P. Pachl, "spiritually dismantled" *L'Histoire du Soldat* in Bonn(1981 29, 4:26-eoa.) The tough characters and their sado-masochistic behavior dwarfed the message of the play. Overall, the *mise en scene,* with images from "Wallstreet to Broadway," eclipsed the choreography. In England, actor Robert Helpmann premiered his choreography with ballerina Moira Shearer as the Princess in Edinburgh in 1954. David Sears affirmed the actor's performance: "Certainly Helpmann is credited for creating a magnificent Mephisto, probably the greatest Devil in the history of the tale" (1983: 4.) Yet, according to critic Fernau Hall, Helpmann "[…]ran though the Devil's self-conscious repertoire of moods, being in

turn smoothly persuasive, arrogantly dictatorial, excited, drunk;" however, as a dancer, "he looked like any Devil in a provincial panto"(Sears 1983: 4.) However, the most striking European performance of a Devil was Marcel Marceau in an outdoor production at *Schloss Leopoldskronn* in 1950. According to Sears (1983:4), amidst thunder and lighting, "Marceau not only appeared through the trees, but played among the broken statuary and gave the illusion of drowning his victim in the nearby lake!"

The first fully-staged, American production was Michio Ito's choreography in New York in 1928. Years later, Stravinsky attended New York City Ballet's concert version in 1966. In Balanchine's choreography, Elliot Carter played the Soldier, Aaron Copeland, the Narrator, and John Cage, the Devil (Stravinsky and Craft 1978:476). In his review in the *New York Times* 1966, Howard Klein painted a delightful picture of the performance, stating that Cage "[…]devoured his part, breathing fire and smoke[…]Bela Lugosi cum Boris Karloff, and the audience loved it." Sears (1983: 1) commented that Balachine suggested Peter Martins choreograph a "plotless, pure-dance version" in 1981." The critic also suggested that this stripped down version faithfully honored Stravinsky's counterpoint, tangos, waltzes and marches (1983: 4.) Ironically, Stravinsky had refused to allow Diaghilev to produce a ballet version in Paris in 1920. In

a modern dance style, critic Doris Hering (March 1968: 31-32) considered Bertram Ross' humorous choreography of *L'Histoire du Soldat* at the 92nd Street Y in New York to be a "creative break-through" in his choreography. Critic Doris Hering complimented Ross' perspective on the work: "Instead of pounding home the philosophical inferences of *Histoire*, he made a romping joke of it, thereby becoming the first choreographer in my experience not to be outdone by the words and music."

Conclusion

Early settings sought to recreate the original intent. For example, the anti-war messages of Kurt Jooss, which Wherlock emulated, portrayed the work through a darker lens, probably impacted by the National Socialist Era. Yet, Americans approached the work with a sense of humor. Sokolow and Brooks integrated period dances of the 1910's or 1920's, such as the Charleston and the Sugarfoot. Bertram Ross' light-hearted attitude toward the work, with a Mae West-style Princess, imbued the work with life. The abstract ballets by Balachine and Martins exploited Stravinsky's counterpoint. In the late 20th century, visual idioms dominated; witness Peter Pachl's update which appealed to youth.

To be sure, World War I influenced the subject matter and style of *L'Histoire du Soldat*. Because of the Great War occurred on European soil, Europeans probably preferred a realistic

portrayal of the work. In addition, continental European productions focused on a total theater vision of *L'Histoire du Soldat*. In contrast, Americans had been spared war on their own soil during the World Wars. This possibly accounts for the focus of American choreographers on period dance styles and musical counterpoint in an abstract or concert version of the work. Still, when jazz and the pasodoble became very popular in the 1920's, this unusual show garnered attention on both sides of the Atlantic. Overall, the power of this hybrid creation rests in its ability to inspire one to guide one's soul in the midst of the forces that challenge the persistence of human spirit.

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Abstract: Close Encounters of an Archaeological Kind

H.M.J Underhill (1855-1920) A Forgotten Oxford Antiquarian

H.M.J.Underhill (1855-1920) was a 'Provision Merchant' who owned a 'high-class Grocery establishment at 7, High Street, Oxford. Founded in 1831 it boasted of 'catering for Gentlemen of the University'. He was also an amateur naturalist and gifted artist, for most of his adult life he lived, worked and taught in the City of Oxford and its immediate surroundings.

He was a founder member of *The Oxfordshire Natural History Society and Field Club*, (Formed 1887) which amalgamated with the Ashmolean Society in 1901 to form today's Ashmolean Natural History Society. Between 1887 and 1895, Underhill lectured to members of the *Oxfordshire Natural History Society* on a variety of themes, which then were all included within the scope of natural history. The talks ranged from Microscopic Creatures, Entomology, Japanese Art, World Folktales and the Ancient British Landscape. Each talk was illustrated with Underhill's own finely detailed hand-painted magic lantern slides, for which he was locally celebrated.

There has been very little research on the educational use of the magic lantern .In the 1870s this was a prime visual medium for presenting scientific information. . The Underhill collections form a unique record of natural history, folklore and the British landscape which was produced specifically for this newly founded 'town' scientific society .In the latter part of the nineteenth century, these societies played a dynamic part in public intellectual life, helping to reduce social barriers and promote public education.

In any study of the intellectual life of nineteenth century Oxford, we have the added elements of the so-called 'town and gown' divide. The formation of *The Oxfordshire Natural History Society* and the composition of its members illustrates to what extent 'town and gown' participated. The contribution of amateurs and their societies to the formation of the academic discipline of British prehistory requires further research. It was not until the late twentieth century that prehistory finally attained recognition in Oxford as a subject for an under graduate degree.

After Underhill's death in 1920 his lanternslides collections were dispersed by his sister to various museums and archives. In 2001 when clearing a cupboard at the Institute of Archaeology, the Archivist came across a wooden box marked 'Underhill Slides'. Inside were the 41 exquisitely painted glass lanternslides of 'Ancient British Landscapes,' the date of painting between 1894 and 1895.The work of Henry Michael John Underhill has at last been restored to the limelight.

6841 words Copy from

Megan Price

Close Encounters of an Archaeological Kind

Amateurs and Professionals in Archaeology 1850-1900

An Oxford case study

Henry Michael John Underhill 1855-1920 'Antiquarian and Grocer'.

A plain wooden box stored in the basement of Oxford University Institute of Archaeology, labelled "Underhill Slides: The Great Stone Circles of Britain" led to a discovery of close encounters of an archaeological kind; an unexplored network of social and intellectual connections between amateurs and academics of 'town and gown' in late nineteenth century Oxford.

Many of those individuals became involved in a new scientific society, the *Oxfordshire Natural history Society and Field Club*, a society 'open to all interested in science' which was formed in the 1880s[1]. In this paper, I identify how various social and intellectual relationships emerged between amateurs and professionals in Oxford from the 1870s through their membership of this society.

I will examine the consequences of the professionalization of the study of the past during the second half of the nineteenth century, through a case study of the intellectual work of an eclectic amateur, Henry Underhill (1855-1920), an Oxford resident and proprietor of a '*High Class Provision Merchant to the Gentlemen of the University'*.[2]

Through Underhill's work and that of individuals like him, it is possible to trace the gradual separation of the spheres of amateurs and professionals as advances in knowledge in all fields of the human sciences led to the foundation of discrete academic disciplines. The gradual demise of the antiquarian by the end of the nineteenth century was a consequence of the redefining and reshaping of intellectual boundaries.

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1 Bellamy 1908,14

2 shop brochure,1885 John Johnson Collection Bodleian Library

Nineteenth Century Britain

The 1850s marked a period of revision and reflection in Britain on previously accepted truths of human origins. By the end of the second half of the nineteenth century, most people in Britain had move forwards from accepting the Biblical version of creation to witnessing the human manipulation of the sciences for social and economic benefits. Within these fifty years, the growth of scientific knowledge had replaced religious acceptance and the word of God had been largely replaced by the word of the scientist for all causal explanations. Important social and cultural advances had been made in medical care, education, air and land travel, and entertainment for the benefit of all levels of society

The 1850s appeared to be a period of great optimism in Britain .Its confidence was being displayed in colonial expansion and industrial prosperity. A new class of wealthy industrial manufacturer was initiating the demand for more material goods; Paper for example was in great demand with the lifting of tax on newspapers in 1850.[3]

John Evans, later Sir, was able to profit from this economic growth, when in 1850 he became a partner in the family firm of John Dickinson, paper manufacturers. This role enabled him to pursue his archaeological studies and to ensure that his eldest son Arthur Evans was able to benefit from the academic education that his father would have preferred.[4]

Oxford from 1850

The setting of the City and University of Oxford provides a unique case study for urban social, cultural and intellectual life in late Victorian Britain. The city displayed a historical and traditional division between ‘ town and gown’, which in the past had often led to confrontations between citizens and students[5]. By the nineteenth century the permanent population, ‘the town’, included the upper and middle classes, tradesmen and servants. The ‘gown’, consisted of upper classes, the dons in permanent residence at their college and students who came ‘up’ to University for the three-terms, known uniquely in Oxford as Michaelmas (Autumn), Hilary, (Spring) and Trinity (Summer).

In the 1850s, the University was composed of 20 or so individually self-governed colleges founded from medieval times, with a resident population of unmarried Dons who, as well as teaching their subject, natural theology, and classics were also ordained as Anglican Clergymen. From the 1860s, the city of Oxford began to grow both

3 Keith, C. C. a. B. (1975). British Historical Facts 1830-1900. London, Macmillan Press Ltd.

4 Evans. 1943,81;Evans,J 1955 The Endless Web: John Dickinson & Co Ltd 1804-1904 London Jonathan Cape.115-118

5 Brock and Curthoys 1997,281

economically and geographically[6]. The University student population was increasing and by the 1870s, dons were permitted to marry and live outside their colleges[7]. This caused a demand for new houses in the City and the services to go with them. The city continued to rely on the Colleges of the University for much of its income and employment, but other industries and trades like publishing and the railways, were beginning to flourish.[8] During the second half of the nineteenth century, university teaching and learning at Oxford became transformed. Up to the 1850s, students resided at their particular college, which provided their social life, and all their teaching, the syllabus concentrated on the classics and theology.[9]Time at University often served as a temporary occupation for young Anglican clergymen, awaiting an appointment as a parish priest. By the end of the century, University dons were no longer trained in holy orders, nor required to remain celibate, but appointed to teaching posts in separate disciplines with structured careers. A. J. Engel argued that by the 1890s 'The traditional clerical Oxford had been destroyed to make way for a new secular profession.'[10] In terms of function, status, and the new academic faculties that developed, these events determined the shape of many of today's disciplines. By 1914, many academic disciplines at Oxford had more or less assumed their present form.

Amateur Societies

In nineteenth century Britain, antiquarian, historical and archaeological studies of the past attracted a wide body of enthusiastic and committed devotees. Whether they were able to involve themselves full-time or only part-time in these pursuits, these individuals formed a highly motivated self-taught group of people, on familiar and friendly terms with one another and sharing in common a body of knowledge[11].

During the 1840s and 1850s, Mechanics Institutes had been formed in many towns and cities in Britain to educate the 'labouring classes'. There has been much recent interest in

6 for a full account see Day, Ch. 13,Brock 1997

7 University Commission,1877,see Engel, 1883,156-161

8 Sephton, R. 2001. *The Oxford of J.J.Faulkner 1798-1857:Grocer Chartist and Temperance Advocate*. Oxford: The Author.

9 M. G. Brock 1997.149.

10 Engel A. J., *From Clergyman to Don: The Rise of the Academic Profession in Nineteenth Century Oxford*, Oxford 1983

11 Levine,1986,examines the work of amateurs and professionals in the mid nineteenth century

this issue and its contribution to the history of science[12] In Oxford, a series of public lectures was founded in 1848, these were well attended and lasted for many years. They took place in the Town Hall and were on 'scientific and literary subjects only'. When it was founded in the 1870s, *The Oxfordshire Natural History Society* followed the same broad spectrum as similar societies at local and national level. Archaeological subjects were included in its annual programme alongside natural history, geology and archaeology. Its members came from both the University and the city of Oxford, though it was not exclusive and no election for membership was necessary. The weekly meetings were held in the new University Museum[13].

The Ashmolean Society

By the mid nineteenth century, Oxford had become a venue for meetings between devotees of science from London and the provinces. The Oxford contingent was headed by one of the founder members of the *Ashmolean Society*, William Buckland who was Reader in Mineralogy from 1813 and in Geology from 1818. Oxford scholars including Samuel Wilberforce, Bishop of Oxford from 1844 and Baden Powell Savilian Professor of Geometry founded the society on December 11th 1828 at an inaugural dinner. It was decided at the meeting that membership should be limited to fifty individuals, by election and ballot to gentlemen, not under the Degree of M.A. from Oxford, Cambridge and 'other Universities' [14]. Two or three meetings were held each term at which papers were read, all the officials and the committee being required to read papers in turn. By the mid-nineteenth century attendance at meetings averaged about eighty members in the crowded conditions of the Ashmolean Museum in Broad Street, (the original Ashmolean Museum and now the Museum for the History of Science).

From 1860 the building of the 'New Museum' in north Oxford [15], for the Natural Sciences, now The University Museum, provided the society with a different location but by 1866 the membership was declining. It was felt that, 'particularly in winter, the

12 Secord, 1994, *Science in the Pub*, *History of Science* 32:269-315

13 opened in 1860

14 Ashmolean Society Papers, 1876-1905,Bodleian Library

15 Planned and encouraged by Sir Henry Acland :Brock 1997,664

isolated position in an imperfectly lighted district of the city was a disadvantage'[16]. By the 1870s the membership of the Ashmolean Society was increasingly on the wane, many original members had died and its exclusivity prevented it from attracting new recruits. It may be that, to use an evolutionary metaphor it had failed to adapt in order to survive. Having initially encouraged and nurtured the popular sciences and making a bid for their recognition alongside the more ancient and acceptable disciplines, it had outlived its purpose. By 1895, there was serious concern about the viability of the Society, it contained only 34 members and most of these were in arrears with their subscriptions[17]. At first, attempts were made to amalgamate the society within the University, and the committee of the *Junior Scientific Club* founded by and for undergraduates in November 1882[18] was approached. The undergraduates were reluctant to admit senior members of the University to their undergraduate society and this proposal was rejected. In 1901 the committees of the Ashmolean *Society* and the *Oxfordshire Natural History Society* agreed to amalgamate their societies to form the current *Ashmolean Natural History Society.*

The early history of the *Oxfordshire Natural History Society and Field Club* from 1880 - 1905 was preserved by Frank Bellamy in 1908. His account covers the history of the society from the time it was formed 'by and on behalf of Oxford citizens', before its amalgamation in 1901. There appears to be no full account of the *Ashmolean Society* apart from the article written in 1983 by Parry-Jones for *The Ashmolean* journal.

It is an interesting fact that it had been members of the *Ashmolean Society* who were instrumental in inviting the British Association for the Advancement of Science to Oxford for their 1860 meeting, where the exchange of views between Thomas Huxley and Samuel Wilberforce heralded a new era for the role of science in Britain.

The British Association for the Advancement of Science: Oxford 1860

The consequences of the public debate over 1859, of Darwin's *Origin of the Species*, which was published in 1859,, at the meeting of the British Association in June 1860

16 Simcock,1985

17 Bellamy,1908 48

18 *Journal of the Junior Science Club*, Trinity Term ,1895

where Samuel Wilberforce is reported to have asked Thomas Huxley 'whether it was through his grandfather or his grandmother that he claimed his descent from a monkey', and Huxley's alleged reply that he was 'not ashamed to have a monkey for and ancestor but he would be ashamed to be connected with a man who used great gifts to obscure the truth',[19] played a significant part in the trends and developments of subject disciplines at Oxford.

The question of human antiquity and the revelation of the existence of earlier societies, was still in a delicate balance in the 1860s.The recent discoveries of the Abbeville jaw, and the battle over the brain of a human compared to that of a gorilla, were already public knowledge, and it was not until later in the century that formalised teaching or research on human origins could be found under the titles of anthropology and archaeology. The public setting of the debate in Oxford secured an audience for Huxley's 'new science', and the event helped to transform the fundamental organisation and practices of the amateur approaches of Anglican natural theology by demanding new standards of professionalism. The account has become a foundation myth for the nineteenth century revolutions in scientific thought[20]. Contemporary eyewitness accounts were few, fragmentary, and susceptible to post-situation embellishment, apart from letters to and from people in the Darwin camp, the occasion was reported in three issues of *The Athenaeum*, 30th June 7th July, 14th July 1860.[21]

According to John Brooke, what is clear from an analysis of the accounts is that the encounter between Wilberforce and Huxley signalled a confrontation of ideologies and issues of personal and professional identity and status, rather than a 'conflict' between science and religion. The contemporary importance of the debate and its perceptions were significant for those present. I would suggest that the encounter acted as one of the defining moments for emerging scientific professionalism, marking a paradigm shift from amateur approaches to the human sciences to those based on methodical investigation and scientific laws.

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19 Lucas,J.R. *The Historical Journal* Vol 22,no2 June 1979,314

20 Brooke,2001

21 Lucas,1979,313-330;and a brief mention in *Jackson's Oxford Journal* Saturday July 7th 1860,p.5

The importance of the Oxford meeting lay in the open and public resistance that was made to cultural authority and of professional etiquette. The event also entered the consciousness of those who were involved with the University or the city in the 1860s.Recollections of it can be found in various memoirs and popular journals, but not in the more academic publications[22]

Tracing Henry Underhill

In this paper I discuss the way in which, from the 1870s social and intellectual relationships in Oxford emerged and were maintained between amateurs and professionals through their membership of a new scientific society, *The Oxfordshire Natural History Society*, and the effect of its amalgamation in 1901 with the older, more traditional university *Ashmolean Society*.[23] It was at a meeting of the *Oxfordshire Natural History Society* on February 12th 1896 that Henry Underhill gave a lantern lecture called '*The Great Stone Circles of Britain*'[24] using his slides (from the forgotten wooden box) to an audience of members, which included the archaeologist, later Sir, Arthur Evans.

The forty exquisitely hand-painted lanternslides showed prehistoric sites in the south of Britain and included *Wayland's Smithy*, *The Rollright Stones*, *Stonehenge* and *Avebury*. Each slide measured three and a half inches square and had the initials *'H.M.J.U.1895'* painted on the glass with the date and details of the sources used by the artist on the corner of each mount. The slide of *Wayland's Smithy*, in *Oxfordshire* had recently been used for the title page for the Oxford University Institute Archaeology website. My research into the artist and the context of the painting was immediately inspired by the synthesis of a beautiful miniature nineteenth century watercolour in a twenty-first century visual setting.

By exploring a street directory of Oxford residents for 1895, I first identified 'H.M.J.U' as a grocer, Henry Michael John Underhill, living above his shop in central Oxford. Further information revealed that he was one of many individuals, with

22 for example,Tuckwell,Reminiscences of Oxford ,1900

23 Bellamy,1908,48

24 Oxford Chronicle February 26th 1896

businesses in the town or employed as non-professionals at the University[25], who shared contemporary scientific and intellectual interests. Three strands of evidence for Underhill's academic work and interests have been preserved. First, the visual artefacts: the lantern slides of natural history, folklore and British prehistory.[26] Second: his hand-written accounts of natural history findings, his sketchbook and diary entries whilst a schoolboy at Christ Church Cathedral School from 1869, and photograph albums that have also fortunately survived [27]. About fifteen years ago the archivist at the Museum of the History of Science found and entered this collection into The National Record of Archives and described Henry Underhill as an '*Oxford Antiquarian, Entomologist and Grocer'* (pers.comm). Third: in his diaries he refers to his regular contributions, to nineteenth century amateur scientific journals (sometimes with his cousin, Frank Allen another antiquarian) such as *Microscopy, Magic Lantern, The Midland Naturalist*[28].

The weekly newspapers, *Jackson's Oxford Journal* and *The Oxford Chronicle* reported regularly on the activities of all the local societies. Both publications summarised the social and intellectual events that had occurred in both the city and University during the previous week.

Estimating that Henry Underhill's wider civic interests might begin during his mid-twenties, I began my search through the newspaper microfilms from the 1880s[29]. The first reference to Underhill's intellectual activities was an announcement in 1887 that he had became a founder member of the newly formed *Oxfordshire Natural History Society*[30]. From these newspaper reports, I traced collections of lecture lists, minutes of meetings, letters, term-cards and illustrated posters of the society that have been preserved in various

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25 Frank Bellamy,an amateur astronomer was employed as a technician at The University Observatory, George Claridge Druce a botanist owned a Chemist's shop in Oxford's High Street see Bellamy 1908

26 at the Institute of Archaeology in Oxford and at the Folklore Society London donated by his sister Maud, after his death in 1920.

27 Mss Underhill, Museum of the History of Science Oxford donated by Maud in 1935

28 for example, Underhill, H. M. J. and. Allen, F.J. 1875. "Notes on the Diptera," in Hardwicke's Science Gossip, pp. 147-150.Underhill, H. M. J. 1988. "Artistic lantern Slides," in The Optical Magic Lantern Journal, pp. 14-15.

29 Holdings at the Centre for Oxfordshire Studies, Northgate, Oxford

30 Jackson's Oxford Journal 1887 June18

archives at the Bodleian Library[31]. One particularly valuable collection of material had been donated to the Library by another amateur, Frank Bellamy (1864-1936), whose personal contribution to the *Oxford Natural History Society* is preserved in his privately published account of the growth of this local amateur society[32].

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It is into the social and cultural setting that the work of the 'Antiquarian, Entomologist and Grocer' Henry Michael John Underhill and his close encounters with those who were to become nationally famous, must be placed. He lived through the social and cultural changes of the Victorian and the Edwardian periods. He experienced the evolution of the camera, the moving picture and the advent of the petrol engine and flight. Underhill's contribution to scientific knowledge on its own may be of minor importance, but its significance lies in the intellectual relationships between town and gown, during the growth and dissemination of new knowledge and ideas from the 1850s.

Underhill represents a category of enthusiastic amateurs; an autodidact inspired by the intellectual climate of the second half of the nineteenth century, as the traditional ideas of human, origins and human society were being reassessed. As an amateur, his work has received little attention since his death in 1920. He was a city grocer, known for his intellectual work only to amateur colleagues but he was not a member of the growing society of professional University teachers in Oxford.

I will discuss Underhill's interests chronologically, identifying significant changes in direction. Many of the changes in approaches to the human past that took place during the latter half of the nineteenth century are reflected through the evolution of Henry Underhill's eclectic interests. His contributions to local scientific societies and journals appear to follow a pattern, echoing national discoveries and research in the natural sciences.

Henry Underhill: antiquarian and grocer

31 it has been possible to locate further 'buried' archives from within the city and the University. Cordeaux, and Merry. 1976. *A Bibliography of Printed Works Relating to the City of Oxford*, for example

32 Bellamy, 1908

Henry Underhill was born above the family grocer's shop at 7, High Street Oxford, in 1855, a year which marked a point half-way between two significant Victorian events, the *Great Exhibition of 1851* and the publication of Darwin's *Origin of the Species in 1859*. Both events promoted a great deal of public attention and stimulated political, social, cultural and religious reactions, which affected the immediate and distant future.

Though intrinsically different, the *Great Exhibition*, on the one hand, representing a celebration of the British Empire and the pursuit of consumerism, the emergence of *Origin* on the other, which represented the culmination of decades of scholarship concerning Darwin's discoveries observation of the evolution of organic life, the two events were to have profound and lasting effects on the way that existing social and cultural systems were interpreted and accepted. Today Darwinian theories continue to be the subject of scientific and religious debate and scholarship.[33]

The latter half of the nineteenth century marked the beginning of a 'New World' of scientific and religious restructuring. In Oxford, there were still vestiges of the momentous questions, which had been first raised to public and local attention at the British Association meeting in 1860 in the University Museum.

From the mid 1870s, the Museum was to become a focus for Henry Underhill's intellectual and cultural pursuits. As a schoolboy, during his early researches into natural history, he kept a record of the books he read at '*The Camera,'* or *'The Radcliffe'*, the new science library opened in 1861 as part of the University Museum[34]. Here he copied drawings and made notes of specimens to research or collect later. The library books appear to be the standard reference material of the day, often written by clergymen-naturalists for example, *Microscopic Fungi* by, M.C.Cook.*Objects of the Microscope,* Dr Lane [35] .As he dated all his work, it is possible to form a chronology of his intellectual involvements in Oxford. His diaries show for example that he exchanged information on local entomological finds and specimens with friends and contributed to two amateur science journals, *Hardwicke's Science Gossip* and *Postal Microscopy*. [36]

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33 Bowler, Peter. *Evolution: the History of an Idea*. Berkeley, 1984. Turner,1993,

34 Brock and Curthoys, 1997,692.

35 Lightman, 1997,187-211;see also the Chapter on Amateur and Professionals and their intellectual societies.

36 Underhill Mss,Museum of the History of Science

In the mid nineteenth century, many well-known scientists of natural history, such as Charles Darwin and his neighbour, John Lubbock, spent time together, 'botanising'. Natural history was a traditional pursuit and a science that could be done at home, by amateur naturalists, geologists and archaeologists. Many amateurs were part of 'the clerisy'[37] a term adopted to describe the phenomenon of the parson-naturalist. Darwin, himself, was from the clergy-naturalist background and had intended to enter the priesthood. Many of these naturalists were Anglican clergy by default; all students at university were trained in holy orders until the 1871 University Test Act abolished religious tests, and Oxford became an undenominational, 'free-thinking' educational institution.[38]

Anglican clergymen were members of a relatively tightly knit social group, often related to one another by kinship and marriage; a man's clerical colleagues were also his scientific colleagues, his Oxbridge contemporaries and his kinsfolk[39]. A similar phenomenon appeared with those involved in British archaeology. Canon William Greenwell regularly corresponded and worked with Oxford men such as William Boyd Dawkins and George Rolleston as well as with active members of national archaeological societies, such as John Evans and George Lane Fox (Later Pitt Rivers).[40]

Henry Underhill's interests indicate the growth of intellectual interests and activities amongst people from different and wider social classes in the late nineteenth century. Their interests were possibly encouraged by the Victorian populizers of science, which had begun in the 1840s by publication such as *Vestiges of the Natural History of Creation.* The book was published anonymously and was to remain so for 40 years though eventually it was revealed to be the work of Robert Chambers. It contained a collection of proto-evolutionary views of life and the universe and at the time was more popular than Darwin's *Origin*.[41] In the 1860s, scientists such as Huxley and Lubbock

37 Wetherall,22,1998

38 M. G. Brock, ed., Nineteenth-Century Oxford (Oxford: Oxford University, 1997) 3.

39 Armstrong,2000,15

40 Rolleston Letters; John Evans Correspondence Ashmolean Museum

41 Chambers, R. 1994. *Vestiges of the Natural History of Creation*. London: University of Chicago Press and Secord,Preface.

began writing for the non-specialist audience[42]. Amateurs too, like Underhill felt able to contributed to this growing field of scholarship. This evolution, in the latter half of the nineteenth century, reflects the academic and public interest in natural history, folklore, anthropology and the recognition of a science of British prehistory[43].

Underhill's work provides an important example of the way in which knowledge was being transmitted, not only through popular publications, but also by public lectures. In the 1880s he focused on the exacting technique of hand-painting lantern slides on glass, a process in which he now seems to have been a leading expert[44]. His natural history notebooks in the Museum of the History of Science in Oxford contain drawings and watercolours of microscopic animals made from his own entomological collections and were the first to be transferred to lanternslides for lectures. According to the present Curator of Entomology at the Oxford University Museum, they are a scientific collection worthy of further study (George McGavin, pers.comm, 2003).

In the 1890s, Henry Underhill developed an interest in folklore and folktales. This academic interest was possibly inspired by anthropologists such as Edward Tylor (1832-1917), the first Professor of Anthropology at Oxford and also an active member of *The Oxfordshire Natural History Society*. Tylor examined 'survivals' of social and cultural life from earlier societies by relating them to existing rural customs in both British and global folklore. From the 1890s, this growing intellectual and scientific interest in folklore and myth was followed by archaeologists such as Arthur Evans[45] and other anthropologists, classicists and philologists such as Andrew Lang and James Frazer.
Underhill's folk tale slides illustrated stories from Northern Europe and appear to have been prepared before 1893. This folk tale period coincides with the growing interest and discovery of British and European prehistory and national identity. Underhill used the texts of recently translated collections of European folktales by Andrew Lang and the brothers Grimm, whilst his figures reflected the pre-Raphaelite genre of storybook

42Lightman,1997 'The Voices of Nature' in *Victorian Science in Context*,Chap.9

43 Lightman,B.1997,184.

44 Magic Lantern Society archivist,pers.comm,2003

45 For example Evans, A. 1895. The Rollright Stones and Their Folklore. Folklore 6:7-51.

illustrations[46]. In the background of many of these hand-pained slides, it is possible to identify existing British archaeological landscapes. The landscape for the Irish tale of *Guleesh* for example is identical to the Romano-British earthworks at Alfred's Castle on the Berkshire Ridgeway, in another tale the scene has echoes of Silbury Hill, near Avebury, and another, elements of megaliths, possibly those of Stonehenge.

It was the set of lanternslides showing *Ancient Stone Circles of Britain* painted between 1894 and 1895 that had initially stimulated my research into Henry Underhill. The slides illustrate the sites and the plans of British megalithic monuments of *Stonehenge* and *Avebury*, in Wiltshire and the *Rollright Stones* in Oxfordshire as well as *Wayland's Smithy*, in Berkshire. Underhill painted them all from sketches and notes that he made on site during the summer. On each slide he notes the date of sketching, 'Aug.24th, 1895 and the date of painting, Nov.4th to 6th 1895'. It is interesting to note that most of his watercolours or photographic studies for these archaeological slides were prepared between July and September, which would have been the months of the University Long Vacation. During term-time he must have been obliged to worked long hours in the shop, possibly between the hours of seven in the morning and ten at night and could only work at his personal interests after the shop closed, on Bank Holidays or during University vacations[47].

By the 1890s, at the same time as holding his position of shopkeeper, Underhill had become a leading member of various intellectual societies, the *Oxford Natural History Society* and the *Oxford Camera Club* and was also a regular Sunday school teacher at the Congregational Church[48]. He had also become involved with the professional and academic University circle and gave regular talks to *The Oxfordshire Natural History Society* on archaeological and anthropological subjects, using his own illustrations. Underhill scrupulously acknowledged information taken from earlier antiquarians, noting when he had copied diagrams from William Stukeley at Stonehenge and Avebury.

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46 For example H.J.Ford who illustrated Andrew Lang's collections

47 Shops were often open to from8am-9pm The first Bank Holidays had been introduced by John Lubbock in 1871,Whitaker,1973 78,89.

48 Obituary Jackson's Oxford Journal November 1920

The Oxford Chronicle reported that Underhill gave the lecture entitled '*Great Stone Circles', which* accompanied his slides to the *Oxfordshire Natural History Society* in the University Museum on February 8th. 1896, According to the article, Mr Arthur Evans, Keeper of Antiquities at the Ashmolean Museum, and Professor Poulton, the Hope Professor of Entomology, (in fact, this was an error, he was Professor of Zoology), were both in attendance and 'a long and interesting discussion' took place afterwards.[49] This event is significant, as it provides evidence for the social and cultural links between amateurs and professionals during this period of mutual interest in the 're-discovery' and reinterpretation of British pre-historic sites. The notion of 'discussions' between the non-academic amateur and the university professional, suggests that British prehistory had not by then become enclosed and defined as a disciplinary boundary in Oxford.

Arthur Evans had given a series of similar talks to the *Ashmolean Society* a few years earlier. His hand-written lecture scripts survive, though none of the illustrations he used[50]. Underhill's illustrations and the press report survive, but as yet, there is no trace of the contents of his lecture or of evidence that he may have attended those of Evans. From 1900, Arthur Evans was to make his name in archaeology in his work on Minoan Crete and his interest in British prehistory and his involvement with archaeology in Oxford appears to have diminished.[51]

There is no trace of the content of Underhill's talk, therefore the slides themselves must provide visual evidence for a growing interest in an ancient British past, the search and discovery of human remains and the realisation of the significance of ritualised landscapes. By the end of the century, the knowledge of the great antiquity and of the physical and social diversity of the human race was becoming the base for academic enquiry. Rather than the subject for discussion at amateur scientific societies, it was making its way into areas of University scholarship.[52]

Underhill's slides of *The Great Stone Circles* appear to be among the last he created. The remains of one further set *Buried Roman Cities in England* has been discovered recently,

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49 February 12th, 1896.

50 Five Lectures on Megalithic Monuments:Feb-March 1885,Evans Archive Ashmolean Museum

51 Evans,J.1943,298

52 See section on Prehistory at Oxford

fourteen hand-painted and photographic slides show the mosaics at the Roman Villa of North Leigh in Oxfordshire and discoveries from excavations at the Roman towns of Silchester and Cirencester. North Leigh is now under the protection of English Heritage. Recently, Underhill's photographic slide of the mosaic has been used to verify the original design for a forthcoming publication on Roman Mosaics (Pers comm., Grahame Soffe).

The site is now under the protection of English Heritage. Recently, Underhill's photographic slide of the mosaic has been used to verify the original design for a forthcoming publication on Roman Mosaics (Pers comm., Grahame Soffe). In 1895, Underhill gave a talk with "exquisitely painted" lantern illustrations to the *Annual Conference of the Midland Union of Natural History Societies*, which was hosted by the members of the *Oxfordshire Natural History Society*. This event included a field trip for all members and friends organised by Underhill. Two years later, he repeated this lecture to *The Oxfordshire Natural History Society* [53] in preparation for another afternoon excursion. The field trip played an important social and cultural part in the annual programme of local history societies. Geologists botanists and archaeologists could collaborate on these multidisciplinary occasions, a party of thirty or so would travel by rail or carriages, partaking in the obligatory, lunch and tea en route, which was often commented upon in the following *Proceedings* of the society.[54]

After 1895, Underhill appeared to concentrate entirely on photographic work, developing and mounting his own pictures. In 1907, he compiled a collection of over sixty Windmills, which still in existed in Southern Britain, for The Oxford Camera Club's[55] contribution to a project to record a national photographic archive of prehistoric, Roman and Anglo-Saxon remains. It is unclear how successful this project was nationally, but Underhill's collection of slides, notes and photographs of Windmills at the Museum for the History of Science in Oxford provide a valuable reference for industrial archaeologists, as many of these structures no longer exist.

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53 Oxford Chronicle, May 22nd 1897

54 Nature November 30th 1873

55 Obituary 1920

The Oxford Natural History Society

In 1893, Henry Underhill became president of the *Oxford Natural History Society and Field Club*. He had been one of the founder members of this society when it was established in 1887 'for all those interested in scientific thought' and was open to all. Although called the Natural History Society and Field Club, like many newly-formed scientific societies in the nineteenth century, its scope was broad[56] Those who were connected to the *Oxfordshire Natural History Society* form an interesting cross section. From the records, it is possible to identify individuals from 'town and gown', university teachers, clerics, local amateurs, and academic or professionals and their specific expertise from the annual programmes. The first President in 1887 was Mr. E.B. Poulton, later Hope Professor of Zoology, who also had an interest in geology and archaeology His principle interest, was the theory of natural selection and he lectured on Darwin in the Hope Department of the University Museum Oxford in 1894 and 1895[57]. Underhill, whose interests embraced natural history, folklore and archaeology, became the first secretary and according to his correspondence, conducted his duties from above the premises of his shop.

Between 1887 and 1900 Henry Underhill gave eleven lectures on natural history and archaeology to the society. In 1902, he resigned owing to ' pressure of business'. This resignation coincided with the amalgamation in 1901 of the *Oxford Natural History Society and Field Club* and the more exclusive and University-based *Ashmolean Society*, founded in 1823 by a group of 'gentlemen of science' but by 1900 its membership had dwindled to fourteen[58]. The ramifications of this 'marriage' as it was referred to in contemporary correspondence, between the secretaries of the two societies, suggest that the 'town' may have been taking over the *Oxfordshire Natural History Society* from the 'gown'. The few remaining members of the Ashmolean Society were also university academics but acknowledged that their society was on the verge of extinction[59].

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56 Nature 1873,24.

57 Poulton 1896,vi

58 Bellamy1908,48

59 Bellamy,1908,112

Events such as these pose questions of the shifts in ownership of knowledge. They illustrate the professionalization and definition of academic disciplines at the latter end of the nineteenth century. The membership of the new society, re-named *The Ashmolean Natural History Society* consisted almost exclusively University professionals and the middle classes. It still flourishes today, though few are aware of its earlier connection with the more egalitarian *Oxfordshire Natural History Society*.

Underhill's intellectual activities between 1907 when the photographic collection of windmills, was completed and his death in 1920,seem unclear. His last photographs were taken in 1918 and 1919 during outings to sites around Oxford when he revisited *Wayland's Smithy* and the *Uffington White Horse*. These photographs of *Wayland's Smithy* and the earlier hand-painted slides from 1894 portray the site as it was before 'restoration' in the 1920s. As an archaeological record, they present us with a valuable representation of the 'past in the past' and provide a unique example of the sensitive and meticulous work of a dedicated antiquarian, amateur naturalist and archaeologist.

Points for Further Research

The visual image

During the 1880's Henry Underhill applied his artistic gifts to the technique of hand-painting lantern slides on glass, his interest in microscopy appeared to have diminish during the late 1880s and by 1892 he was writing for *the Optical Magic Lantern Journal* on *The Techniques of Painting Lantern Slides* [60]

There currently appears to have been little academic research on the uses of the magic lantern in the nineteenth century, although, from my research, it is emerging that the lantern was the major device for visual presentations for both public education and entertainment.

Many collections of lanternslides remain to be recovered from archives and stores in University departments and represent a valuable area for research. Before the general accessibility of photography, the magic lantern served as an effective means of social and cultural communication to all levels of society, an extremely mobile and publicly

60 reprinted in The New Magic Lantern Journal 5:1,January 1987

accessible device the equivalent of today's PowerPoint presentation. The equipment and the vast subject-range of slides produced should today be considered as part of the visual material culture of the nineteenth century.

The early uses of photography as an anthropological or archaeological record are now receiving academic attention. The work of Elizabeth Edwards[61], for example in conjunction with the Pitt Rivers Museum in Oxford where a database of the photographic collections, for research in anthropology can now be consulted.[62]

It would appear, also from my research, that there are many collections of archaeological lanternslides in archives and stores in academic departments in Oxford and beyond that still remain to be discovered, examined and catalogued. These slides could provide vital information on monuments, landscape and artefacts as they appeared in the nineteenth century.

Amateurs in archaeology

Today it has been recognised that a crucial factor in any research into the history of an academic discipline is the contribution made by members of amateur societies.In the beginning this was where much of the early scientific investigation was shared and disseminated in related journals and proceedings. There has been little research into the impact and contribution that local societies made to the present disciplines of the human sciences, though much of their work was a foundation for contemporary academic and theoretical approaches. The annual programmes of these societies covered an eclectic range of subjects, an inter- and multi-disciplinary dimension reflecting a time before professionalization or disciplinization at higher academic levels[63]. Levine has addressed the links between archaeological and historical societies in her invaluable study covering

61 'Raw Histories', 2000

62 ms-photo.colls@pitt-rivers-museum.oxford.ac.uk

63 Allen,D.1978The Naturalist in Britain: A Social History,120

the years between 1840 and 1886[64],and has focussed on those from the classes or professions where education and leisure were an accepted factor.

Henry Underhill was 'a high class grocer', a member of the non-professional middle classes –with a 'job', the ownership and management of a shop employing twenty-three people. The opportunity of belonging to a new amateur scientific society, *The Oxfordshire Natural History Society and Field Club,* enabled individuals like him to enter a network of academic scholarship and expertise where their work was equally valid with those of higher social status. In the latter part of the nineteenth century, local scientific societies like *The Oxfordshire Natural History Society* were increasing in city and county in both scope and breadth of membership. They acted as a conduit for amateurs from outside the intellectual circles of the larger prestigious societies such as *The Royal Society* and *The Athenaeum*, which not only required nomination and election procedures but possessed power and recognition within the upper-class social networks in steering scientific policy and politics[65].

Recent theoretical work in the History of Science is beginning to address the issues of the provincial and artisan amateurs from the 'working' classes in natural history,[66] In archaeology, however, the work of individual members of local societies and their publications has yet to be examined. At present, apart from the work of Levine, historians of archaeology are obliged to draw on the scholarship of theoretical approaches from other disciplines. The contribution made by amateurs and workers in discovering and uncovering evidence from British prehistory, whether through their employment or through an individual and personal interest could provide a valuable field of study[67].

Individuals in Oxford like Henry Underhill, Frank Bellamy and George Druce provided the infrastructure to the *Oxfordshire Natural History Society* from its foundation in the 1880s.Examination of other local archives of local scientific societies will reveal similar collaboration in nineteenth century Britain[68].

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64 Levine, 1986

65 for example The X-Club, Barton 1998,Desmond,2001

66 Allen,D1976[1994]The Naturalist in Britain: A social history,Alberti,,2001,2003

67 letters from Oxford quarrymen1875 George Rolleston Archive Ashmolean Museum

68 my research has already found evidence from societies in Chester and Taunton

Conclusion

Henry Underhill's distinctively visual contributions to archaeology have helped to raise our awareness of those from outside formal academic communities and societies. Nineteenth century Oxford consisted of many people whose work has now been forgotten or ignored. Tracing evidence of their activities provides a poignant and often moving account of the member's enthusiasm and passion for new discoveries in natural history and the prehistoric past.

The intellectual identity and social and cultural position of amateurs, academics, and their role in the pursuit of knowledge of the past is a crucial element in the history of prehistoric archaeology. The discipline is now entering its second century and it is vital to ensure that every facet of its ancestral composition is considered.

By the end of the nineteenth century, a liberal agenda and intellectual progress in Britain was providing more educational opportunities for different sections of the community, regardless of their class, gender or age. At the same time, this was accompanied by a more professionalised control of knowledge and the creation of academic boundaries. The rise of the professional was a characteristic development of late nineteenth century Britain and antiquarians found themselves caught in a grey area between the interests of the professional scientist, historian and archaeologist as bodies catering for narrower and less general interests grew.[69]Henry Underhill's resignation from the Oxford Natural History Society in 1902 suggests that he was aware of this factor. The close encounters between amateurs and professionals at the latter end of the nineteenth century were short lived as each faction followed their own particular orbit.

This paper is not an account that concentrates on the lives of the prominent and famous in the development of prehistory but on 'forgotten' individuals like Henry Underhill, who invested their talents and interests in the community around them and left a legacy to be unearthed. A chance discovery of a forgotten collection of lanternslides brought Henry Michael John Underhill a gifted illustrator, Victorian 'grocer, entomologist and antiquarian' back into the limelight.

69 Levine 1986,59

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See also

http://www.arch.ox.ac.uk/archives/underhill/

Jeeves and Bertram Wilberforce Wooster

Personal Names in P.G. Wodehouse's Novels

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Jeeves and Betram Wilberforce Wooster: Personal Names in P.G. Wodehouse's Novels

P. G. Wodehouse was a prolific twentieth-century English humorist, who wrote over 400 novels and short stories, in which he created nearly 2100 individual characters, more than twice as many as Shakespeare and half as many as Dickens (Garrison x). His most famous works, the Jeeves and Wooster cycle, center on the adventures of Bertie Wooster, a rather dim but good-natured young man, and his clever butler and valet, Jeeves. These books described wealthy socialites in Edwardian London, and much of the humor, mildly satirical in nature, is based on the foibles of these aristocrats.

Wodehouse often invents outrageous names for his characters: Augustus Fink-Nottle, Major-General Masterman Petherick-Soames, and Claude Cattermole Potter-Pirbright spring to mind. Although these names may sound simply silly, they convey information and humor to the reader. In fact, Wodehouse adheres closely to a taxonomy of purposes of names in literature. Names fall into two categories in literature, according to J.B. Rudnyckyj: first, relevance to form, or sound symbolism; second, relevance to content, which can be divided into relevance to character, meaning that the names are iconic, directly characterizing their bearers, or relevance to setting, in which the names directly characterize the location or time period of the work (qtd. in Gerus-Tarnawecky 313). Wodehouse's use of names is a deliberate comic technique; although he probably did not think specifically about the meaning of each name, an analysis reveals significant patterns in Wodehouse's names.

In this paper, I will present a brief analysis of Wodehouse's naming practices, specifically limited to the Jeeves-Wooster cycle. I will use Rudnyckyj's taxonomy to focus on the length and origin of various surnames and personal names, both male and female, as well as the names of Jeeves and Wooster themselves, as found in several name dictionaries and the

Oxford English Dictionary, and I will analyze the contribution of these names to Wodehouse's works. I will argue that Wodehouse manipulates both relevance to form and relevance to content, especially character and setting, exaggerating and parodying each for satiric purposes.

Relevance to Form

Wodehouse uses relevance to form, or sound symbolism, to humorous effect, often making puns but just as often simply using sounds that will strike his readers as humorous. Some names are puns based on the name's pronunciation, but not its spelling. Since English orthography is inconsistent and often far from the phonetic spelling, especially in personal names, this effect is easy to achieve. For example, the morpheme "cester," which appears often in personal and geographical names, and comes from "castra," the Latin word for "camp,[1]" is generally pronounced simply, "ster." Thus, the Earl of Rowcester is really the Earl of "Roaster," and the Earl of Blicester is really the Earl of "Blister" (Hall 102). Similarly, Frederick Fotheringay Widegon's middle name is pronounced "Fungy," suggesting mushrooms, and Captain Biggar's last name is pronounced "bigger," which the other characters frequently joke about (Hall 100). Not all of Wodehouse's sound symbolism appears in puns, however; he also creates names that are simply amusing because of their sounds. Names like Glossop, Gooch, Threepwood, and Worple use odd combinations of phonemes and may thus strike a reader as funny. Although sound symbolism is rarer in Wodehouse's fiction than other considerations of onomastics, it is nonetheless an important source of humor in personal names.

Relevance to Content

Relevance to Character: Most of the humor in Wodehouse's names, however, comes from relevance to content, which can be divided into relevance to character and relevance to setting. Wodehouse sometimes summarizes his creations through their last names or nicknames,

[1] Source: Oxford English Dictionary

most commonly in a humorous or mocking manner. Thus, Mary Jane Piggott is a cook, and, judging by the rapidity and frequency of his falling in love, Freddie Widgeon lives up to his surname, which means "fool, simpleton, or ninny." In a clever double meaning, Major General Boshford makes an imposing or swaggering appearance, or "cuts a bosh," in an old-fashioned colloquialism, or perhaps, in a more apt characterization, is full of "bosh," or stuff and nonsense. Similarly, Ronald Fish is described as "small" and "pink" (Garrison 57) and Esmond Haddock and Reginald Herring also have ichthyan qualities. In Bertie's opinion, Hilda Gudgeon's last name, which means "a gullible person," is fitting, and Stephanie Byng, whom Bertie also dislikes, may have the ability to turn milk sour, which is the meaning of the word "byng." Sometimes the associations are more sophisticated: Roderick Spode, whose last name is a popular type of china, may have that name because of its middle-class business connotations, since Spode is not part of the gentry, or, alternately, because, at "about seven feet in height" and "about six feet across," and constantly threatening violence, he is reminiscent of a bull in a china shop. Other iconic names include the nicknames Boko, a slang word for the nose, Pimples, Kipper, Barmy, a slang word describing an idiot, Oofy, from a British word, "oof," meaning "money," Corky, meaning "lively," and Nobby, meaning "elegant."[2] Thus, through iconic naming, relevance to character provides humor in Wodehouse's novels.

Less frequently, Wodehouse uses iconicity in personal names, usually for female characters. This iconicity is less through meaning of the name than through its connotations. Some names are obviously jokes, such as Charlotte Corday Rowbowtham, whose father had revolutionary tendencies and idolized her namesake, or Prudence Carroway, an impulsive, hyperactive child, but most characterizations through naming are subtler. As one Wodehouse scholar, Richard Usborne, points out, "the girls were either soupy do-gooders (three syllables or

[2] All definitions are taken from the online edition of the Oxford English Dictionary.

more: Honoria, Madeline, Hermione) or boy-shaped, festive little squirts (two syllables or less, and in notable cases boyish names: Bobbie, Stiffy, Corky, Nobby, Terry. Or Ann, Sue, Eve, Jane)" (qtd. in Hall 50). Intimidating aunts, too, tend to have imposing, old-fashioned names, such as Agatha or Emmeline. All names, in one way or another, are associated with personality types in Wodehouse's world, where, according to Bertie's aunt Dahlia: "no good can come of association with anything labeled Gwladys or Ysobel or Ethyl or Mabelle or Kathryn. But particularly Gwladys" (from Very Good, Jeeves, qtd. in Jaggard 203). This sort of iconicity may be indirect, but Wodehouse often uses relevance to character in female given names, where the connotations of a name or its spelling provides some clues as to its bearer's personality.

Relevance to Setting: Relevance to setting, however, is probably the most important aspect of Wodehouse's naming. In literature, names are important to setting because "the name can advance the character's believability," and "the name is part of the imagery that is to be conveyed" (Lieberson 224). Setting is important in Wodehouse's novels, obviously, yet their historical aspects are debatable. Some suggest that Wodehouse's world, although similar to the realities of Edwardian England, is nonetheless entirely fictional, a "timeless fairyland" (Cannadine 472), and the life of the pampered Edwardian man-about-town as Wodehouse describes it never existed. It is true that Wodehouse exaggerates and satirizes his historical setting, of course, using stock characters and preposterous escapades, but many, including Wodehouse himself, insist that, despite the obvious elements of fantasy, his novels are historical, and fully "Edwardian," (Cannadine 473). Just as Wodehouse's settings are simultaneously historical and satirical, using exaggeration of reality for humorous effects, so his names are based on authentic naming trends, but yet are exaggerated and parodied for effect. Thus, the names of

the characters simultaneously contribute to local or historical color and parody the aristocracy Wodehouse describes in his novels.

Name Length: First, aristocratic and non-aristocratic names differ in the very length of the name. In Wodehouse's fictional world, aristocrats have names like Theodore Fotheringay-Phipps, Thomas Potarlington Travers, Claude Cattermole Potter-Pirbright, Honoria Jane Louise Glossop, William Egerton Bamfylde Ossington Belfry, or even, in a marvelous caricature of aristocratic naming practices, Frederick Altamont Cornwallis Twistleton-Twistleton. Everyone else, on the other hand, has simpler names: Jane Watson, James Baxter, W. Dix, Ernest Dobson, and the inimitable Jeeves himself are all good examples. Although Wodehouse occasionally bestows a name ironically—a butler named Murgatroyd, for example, or Ellen Tallulah French, a housemaid with a middle name—for the most part the length and complexity of the name directly correlates to the character's social status.

Wodehouse had good reasons for these associations of length. Hyphenation of last names, which did not appear in England until the eighteenth century, was common among the aristocracy of Edwardian England (Ewen 217), usually to preserve the name of an earlier branch of the family (Jaggard 189). Although the practice was not restricted to the upper classes, it was more common there because of the increased importance of genealogy and family connections for purposes of social status. Similarly, although middle names were not exclusive to the upper classes, they were a more aristocratic habit around the turn of the century (Lieberson 113). Thus, a character with an outlandishly long name that includes one or several middle names and a hyphen is recognizably aristocratic, and Wodehouse plays with this convention by exaggerating the length and complexity of names, bestowing multiple middle names and hyphens, to at once

identify a character as aristocratic, thus enhancing the historical setting, and parodying the ridiculousness of these names.

Surnames: Wodehouse's invented surnames, too, follow general trends in derivation that correlate to the type of character. Most surname scholars divide English surnames into four types, according to their origin: patronymics and metronymics, occupational surnames, surnames from nicknames, and locative and topographical surnames (McKinley 10). All four types appear with near-equal frequency in Wodehouse's works; however, the origins of the surname often correlate to the type of character bearing the name. The first three categories appear with great frequency among middle- and lower-class characters, whereas the fourth category, locative names, appears most frequently among the aristocratic characters. Among the lower and middle classes, for example, we find many common occupational names, presented along with their meanings in Table 1:

Baxter	Baker (female)	Frobisher	Metal worker
Hayward	Guardian of the hay	Parker	Game warden
Plomer	Plowman	Stoker	Furnace tender
Tinker	Pot mender		[3]

Patronymics are also common among these characters, as shown in Table 2, along with the original name:

Dix	Dick	Dobbs/Dobbson	Robert
Gregson	Greg	Higgins	Hig (Richard)
Patterson	Patrick	Perkins	Peter
Roberts	Robert	Rogers	Roger
Watson	Wat		

Surnames from nicknames are slightly less common among Wodehouse's characters, but there are still a few, such as those in Table 3:

Bates	nickname for Bartholomew	Burgess	"citizen"

[3] Source of Tables 1 and 2: Dellquest, Augustus Wilfred. These Names of Ours: a Book of Surnames. New York: Thomas Y. Cromwell Co., 1938.

Todd	Scottish word for "fox"	Wellbeloved	English words[4]

The majority of the surnames originating from genealogical terms, occupational terms, and nicknames belong to middle- and lower-class characters; Jane Watson, for example, is a cook, and Prudence Baxter is the daughter of a gardener. Although these distinctions are not strictly demarcated, Wodehouse adheres to a definite pattern of assigning surnames of those origins to non-aristocratic characters.

This pattern, however, does not belong to Wodehouse alone; instead, he follows a historical trend in surnames, and thus his pattern contributes to the degree of historical accuracy in his setting. Most hereditary surnames in England became fixed sometime in the fourteenth century (Matthews 57), when the wealthy took their names from the land they owned, and the peasants took their names from other sources, usually their relatives, their jobs, or their traits (McKinley 201). Since at the beginning of this century England's class system was relatively unchanged, much of the Edwardian nobility descended straight from the medieval nobility, still carrying the family name, and so many early twentieth-century aristocrats bear place names from the land their ancestors owned in the Middle Ages. Therefore, many of the names Wodehouse uses for the aristocracy are locative or topographical names, here shown in Table 4:

Bingham	Middle English: "town by the pile"	Braythwayte	Old Norse: "broad clearing"
Deverill	French, "from the island village"	Filmer	Middle English: "lake in the moor"
Fothergill	Old English: "brook by the fodder"	Gadsby	Old English: "gate-town"
Greenlees	Middle English: "green fields"	Twistleton	Middle English: "town at the fork"
Wickham	Old English: "village farm"		[5]

Even Wodehouse's slightly silly-sounding coinages for aristocrats are locative names: Threepwood, for example, combines the invented "threep" with "wood," a common locative

[4] Source of Table 3: Dellquest, Augustus Wilfred. These Names of Ours: a Book of Surnames. New York: Thomas Y. Cromwell Co., 1938.

[5] Source of Table 4: Dellquest, Augustus Wilfred. These Names of Ours: a Book of Surnames. New York: Thomas Y. Cromwell Co., 1938.

second element of a name. Thus, the general origin of a surname can give the reader a clue as to the character's social status, and so surnames enhance the novels' settings.

Female Given Names: It is not only surnames, however, which enhance the setting; personal names also indicate social status and thus contribute to the setting. With personal names, Wodehouse is less apt to satirize than simply to classify. Although the trends among personal names are significantly more complex than among surnames, I have identified several salient points about Wodehouse's use of personal names. Among females, the general rule is that the names of aristocratic females are more likely to be taken directly from foreign, especially Latin, sources, and less likely to be common names. For example, the lower class female characters have names like Ellen, Mary, and Jane. Although all are of foreign origin—Mary from the Hebrew Miriam, Jane as a female version of John, which is from Hebrew, and Ellen from the Greek Helen—they are the Anglicized versions of the name, instead of the originals Miriam, Johanna, and Helen. They are also extremely common names. Mary and Jane were both in the top 100 names given to girls in 1908 (Lieberson 119). The aristocratic female names, however, are less common: Pomona, for instance, is quite rare. Many of Wodehouse's aristocratic personal names are of Classical origins, such as Honoria, Madeline, and Monica from Latin, or Agatha, Barbara, and Zenobia from Greek. Some, possibly because of the influence of the German royal family, are of German origin; Charlotte, Hilda, and Harriett are all good examples[6]. Because of their better education and cosmopolitan upbringing, aristocrats of Wodehouse's day often did bestow more foreign names upon their children; in 1900, for example, 15 of the top 50 most popular upper-class girls' names were from Greek or Latin origin (Lieberson 103). Wodehouse's patterns conform to the standard of his day, and are therefore relevant to his setting.

[6] Source for name origins: Swan, Helena. Girls' Christian Names. Detroit: Gale Research Tower, 1900.

Male Given Names: With male names, however, perhaps because there are fewer male than female names, the classes overlap more, and the lines between aristocratic and non-aristocratic names are not as strict as with female names. Nonetheless, there are certain patterns among the names Wodehouse bestows upon his male characters. Many male names are of Germanic origin, such as in Table 5:

Frederick	"frithu" + "ric"=peace rule	Robert	"hrode"+"beorht"=bright rod
Ernest	same as English word	Gervase	"ger"+"vas"=spear vassal
William	"vilja"+"helma"=helmet will		[7]

Similarly, many names, especially those of aristocrats, are of noticeably Classical origin, such as Horace, Cecil, and Augustus from Latin, and Eustace, Sebastian, Alexander, Theodore, and George from Greek. Boys' names, though, show a greater tendency towards Anglo-Saxon origin: Alfred, for example, which comes from the Old English "Aelfric," or "elf-rule," or Edward, from the Old English Ead-weard, or "guardian of prosperity." These Anglo-Saxon names may have come into popularity in the early twentieth century as aristocrats imitated royalty; Edward, for example, was probably popular because of King Edward VI . Imitation of royalty was common among the upper classes, and so among Wodehouse's characters as well; others in Queen Victoria's family bore names like Albert, Ernest, Alfred, William, George, Edward, Alexander, John, and Charles, which all appear several times in the Jeeves-Wooster cycle ("Geneaology"). The name Augustus, which appears three different times, is probably imitation of royalty, specifically Augustus Frederick, a son of King George III (Sleigh 59). Many other names, too, have a distinctly aristocratic flavor: Alistair, for example, or Montague (Sleigh 198). Male names, then, even if they don't strictly classify, contribute to the setting through their associations, especially those of Classical origins or those used by royalty.

[7] Source for Table 5: Sleigh, Linwood and Charles Johnson. The Book of Boys' Names. New York: Cromwell, 1962.

Bertram Wooster and Reginald Jeeves: The names of Wooster and Jeeves themselves are perfect examples of Wodehouse's naming practices in relevance to setting, especially of the contrast between upper- and lower-class names. First, their names conform to length practices; Jeeves is usually only referred to by his pithy, one-syllable last name, and the reader does not learn his first name, Reginald, until the last novel about him (Hall 51). Bertie, in contrast, has the full name Bertram Wilberforce Wooster, which the reader knows from the start. This reflects Wodehouse's habit of giving longer and more complex names to characters with higher social status. What's more, Bertie's name is extremely aristocratic, in its imitation of royalty; Edward VII, king of England from 1901 to 1910, was called "Bertie" by his family ("Genealogy"). Bertie's surname, too, is aristocratic in its history. The name of Bertie's most illustrious ancestor, the Sieur de Wocestre, proves that, like many other aristocratic surnames in Wodehouse's fiction, "Wooster" is a name of location; pronounced exactly the same as the city "Worcester" (Jaggard 189), the name comes from the Germanic "ware," meaning "inhabitants of" and the Latin "castra," or "camp." Also like many other aristocratic names, Wooster was once hyphenated, as "Wooster-Mannering-Phipps" (Jaggard 190). Even the source of the names reflects social and linguistic distinctions: for Bertie, Wodehouse drew on a name with heavy aristocratic associations, whereas for Jeeves he borrowed the name of a popular cricket player (Hall 104). Thus, the names Jeeves and Wooster themselves are the epitomes of Wodehouse's naming practices, in length, origin, and social connotations.

Wodehouse's character names contribute to his novels and stories through both relevance to form and relevance to content--that is, character and setting. Relevance to form in sound symbolism and relevance to character in iconic naming, though not the most common methods, provide humor and insight. Relevance to setting, Wodehouse's most important naming

technique, simultaneously reinforces the Edwardian nature of his works by adding historical color and parodies the Edwardian setting through exaggeration of this historical color. This study, of course, has not been comprehensive, and many avenues for further research present themselves. It would be interesting to see if the conclusions of this study apply to all of Wodehouse's works, or even to other authors of Wodehouse's day. One could also investigate connections between names in Wodehouse and other English authors, such as Dickens and Shakespeare. One could also focus more closely on one aspect of naming alone, such as sound symbolism, or focus on other types of names Wodehouse uses, like nicknames and titles. Despite their obvious satirical elements, Wodehouse's character names reveal habits of nomenclature in early twentieth-century England, and further study of this topic will impart further illumination of the history and literature of the English language.

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Appendix I: Jeeves and Wooster Collections

Carry On, Jeeves (1925)

The Code of the Woosters (1938)

The Inimitable Jeeves (1923)

Jeeves and the Feudal Spirit (1954)

Jeeves in the Offing (1960)

Joy in the Morning (1946)

The Man With Two Left Feet (1917)

The Mating Season (1949)

My Man Jeeves (1919)

Right Ho, Jeeves (1934)

Ring For Jeeves (1953)

Stiff Upper Lip, Jeeves (1963)

Thank You, Jeeves (1934)

Very Good, Jeeves (1930)

Week-End Wodehouse (1939)

Appendix II: Characters in the Jeeves and Wooster Stories

Harold	Anstruther	
Bablockhythe		
Rosie	M.	Banks
Alexander	Bartlett	
Madeline	Bassett	
Watkyn	Bassett	
Cecil	Bassington-Bassington	
James	Bates	
Prudence	Baxter	
Barbara	Belfry	
Caradoc	Belfry	
George	Belfry	
William	Egerton Bamfylde Ossingham	Belfry
Cora	Bellinger	
Clifton	Bessemer	
Bessington-Cope		
Francis	Bickersteth	
Charles	Edward	Biffen
Bingham		
Alistair	Bingham-Reeves	
Robert	Blenkinsop	
Blumenfeld		
Wilfred	Bosher	
Matilda	Bott	
Jimmy	Bowles	
Cuthbert	Gervase	Brabazon-Biggar
Daphne	Braythwayt	
Godfrey	Edward Winstanley	Brent
Brinkley		
Brookfield		
Freddie	Bullivant	
Bulstrode		
Mary	Burgess	
Wilfred	Burgess	
Butterfield		
Monty	Byng	
Stephanie	Byng	
Monica	Carmoyle	
Roderick	Carmoyle	
Prudence	Carroway	
Charles		
G.	D'Arcy	Chiswick
Chuffnell		
Myrtle	Chuffnell	

Bessie	Clay	
Bruce	Corcoran	
Edwin	Craye	
Florence	Craye	
Adela	Cream	
Homer	Cream	
Wilbert	Cream	
Wilfred	Cream	
Dalgleish		
Charlotte	Deverill	
Emmeline	Deverill	
Daphne	Deverill	
Harriet	Deverill	
Myrtle	Deverill	
Flora	Deverill	
W.	Dix	
Ernest	Dobbs	
Dobson		
Everard	Everett	
P.C.	Filmer	
Augustus	Fink-Nottle	
Fish		
Ronald	Overbury	Fish
George	Webster	Fittleworth
Reggie	Foljambe	
Aubrey	Fothergill	
Theodore	Fotheringay-Phipps	
Cyril	Fotheringay-Phipps	
George	Fotheringay-Phipps	
Ellen	Tallulah	French
Augustus	Frobisher	
Ephraim	Gadsby	
Stanley	Gervase-Gervase	
Lillian	Gish	
Hildebrand	Glossop	
Honoria	Jane Louise	Glossop
Oswald	Glossop	
Roderick	Glossop	
Sidney	Gooch	
Jimmy	Goode	
Lionel	Gorringe	
Greenlees		
Thomas	Spenser	Gregson
Pomona	Grindle	
Hilda	Gudgeon	
Esmond	Haddock	
G.	Hayward	
Aline	Hemmingway	

Francis	Heppenstall	
Reginald	Herring	
Marlene	Higgins	
Zenobia	Hopwood	
Orlo	Hough	
Alastair	Hungerford	
Jane		
Jeeves		
Alexander	Jones	
Rosie	Jukes	
George	Kegley-Bassington	
Muriel	Kegley-Bassington	
Poppy	Kegley-Bassington	
Percival	Kegley-Bassington	
Watkyn	Kegley-Bassington	
Kegworthy		
George	Lanchester	
George	Lattaker	
Algernon	Aubrey	Little
Mortimer	Little	
Richard	Little	
Wilberforce	Little	
William	Longsword	
Mainwaring		
Peggy	Mainwaring	
Mainwaring-Smith		
Augustus	Mannering-Phipps	
Cuthbert	Mannering-Phipps	
Julia	Mannering-Phipps	
Maple		
Mapleton		
Mary		
Phyllis	Mills	
Gwendolen	Moon	
Sebastian	Moon	
Daphne	Dolores	Morehead
Murgatroyd		
Freddie	Oaker	
Eustace	Oates	
Jane	Parker	
Sam	Patterson	
Gwladys	Pendlebury	
Alaric	Pendlebury-Davenport	
Horace	Pendlebury-Davenport	
Perkins		
Pershore		
Masterman	Petherick-Soames	
Lester	Piggott	

Mary Jane	Piggott	
Harold	Pinker	
Pitt-Waley		
Rhoda	Platt	
Eustace	H.	Plimsoll
William	Plomer	
Cora	Potter-Pirbright	
Sidney	Potter-Pirbright	
Claude	Cattermole	Potter-Pirbright
Pringle		
Jane	Pringle	
Heloise	Pringle	
Muriel	Pringle	
Willie	Punting	
Purvis		
Laura	Pyke	
Queenie		
Frederick	Ranelagh	
J.J.	Roberts	
Rogers		
Charlotte	Corday	Rowbotham
Oliver	Randolph	Sipperly
Vera	Sipperly	
Alexander	Slingsby	
Smethurst		
Snettisham		
Spettigue		
Roderick	Spode	
Rosalinda	Spottsworth	
Leondar	Starkie	
J.	Washburn	Stoke
Pauline	Stoker	
Percival	Stretchley-Budd	
Digby	Thistleton	
Frederick	Threepwood	
Tinker-Moulke		
Montague	Todd	
Rockmeteller	Todd	
Angela	Travers	
Bonzo	Travers	
Dahlia	Travers	
Thomas	Potarlington	Travers
Frederick	Altamont Cornwallis	Twistleton-Twistleton
Reginald	Twistleton-Twistleton	
Aubrey	Upjohn	
Jane	Watson	
Percy	Wellbeloved	
Cuthbert	Wickham	

Roberta	Wickham	
Cynthia	Wickhammersley	
Frederick	Fortescue	Widgeon
Rodney	Widgeon	
Daphne	Winkworth	
Bertram	Wilberforce	Wooster
Claude	Wooster	
Eustace	Wooster	
Clive	Wooster	
George	Wooster	
Willoughby	Wooster	
Worple		

From Jaggard, Geoffrey. Wooster's World. London: Macdonald, 1967.

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Dislocating Gender; Young Norwegian People's Love-Projects in Text Messages

This paper is a part of a long study of young Norwegian people's usages, self-understanding and gender performances through mobile telephony communication. As several works on mobile telephony communication have shown, the absence of the entire physical display of communication results in young people's urge to translate their body language with symbols in order to minimize confusion and misinterpretations[1]. As text messages seem so clearly embodied, I would like to examine two central physical characteristics, gender and sexuality, in which play a significant role in young people's text message communication and in which the body becomes culturally comprehensible. How do significant signs of femininity and masculinity emerge in text messages? Does the non-presence of the physical body in text message communication give rise to new ways of performing and altering gender and sexuality?

Although the young informants seem to have unambiguous and gender-traditional perceptions of how female and male write text messages, the discourse analytical approach suggests a more complex image – in particular when sexual romantic negotiations occur. In these 'love-projects', distinguishing text messages by gender does not seem to be as obvious as the text messages – independent of the communication-partner's physical sex - seem to be very long, detailed and intimate – or in accordance with the informants' descriptions: feminine.

Introduction

To experience oneself as a social participant, one needs to have some mutual and joint frames of references. In Norway, a country with only 4,5 million inhabitants, statistics show that more than eight million text messages are sent *every* day. Norwegians are considered to be amongst the highest text message prod-users[2], in the world (Ling 2004). Almost every Norwegian teenager between fifteen and nineteen owns a mobile phone, which makes this group important in shaping supplies for future mobile telephony services in Norway[3]. Embracing young people's lives to such a large extent, this amount of text communication will undoubtedly have consequences for their self-understanding, their relations with each other and for how they experience 'reality'.

In text message communication, physical appearance such as attitude, posture, voice, marked articulations, accents, gestures, face expressions etc. are not present. As several works on mobile telephone communication have shown, the absence of the entire physical display of communication results in young people's urge to *translate* their body language with symbols in order to minimize confusion and misinterpretations[4]. In my previous work, I have discussed how informants indicate hesitation or pause by using ellipsis (...), how they emphasize the atmosphere or the weightiness of the voice by using exclamation marks, and how they show their kindly disposed attitude by the very frequent usage of 'smileys'[5]. There are of course other meanings of the same symbols than those proposed here. In addition to the symbols, my informants assert that they have their own 'mode' of writing, at least amongst

friends in the same social circle[6]. There are of course other meanings of the same symbols than those proposed here. In addition to the symbols, my informants assert that they have their own 'mode' of writing, at least amongst friends in the same social circle. This local 'mode' of writing/'readership' makes their text messages recognizable and meaningful within a certain relational context. However, one of the informants; Tim, describes how he and his friends now make fun of the text message language they themselves used only two or three years ago. Here, the parodying usage of 'smileys' and phonetic spelling may be interpreted as a rite de passage of growing up as well as a way to distinguish oneself from 'the mainstream (middle class) text message people' (Bourdieu 1995). Nevertheless, for some informants whose local dialect is different from the hegemonic capital dialect (which is phonetically close to the dominant written standard in Norway) keeping their phonetic spellings in their text messages may be important in order to emphasize their local identity. According to two informants from the northern part of Norway, text messages written in standard language are perceived as eccentric in a negative sense:

> *Maya*: If someone uses the standard language, then you make a distance to the other person. You would stand out.
> *Lin* [addressing Jane, Mari's partner]: So if Mari had started to write in standard language instead of using local dialect to you…?
> *Jane*: Then I would have asked her why she did that/…/ it wouldn't have been Maya. She would have sounded very formal.

Another way of embodying the text is to use capital letters to express a loud shouting voice or anger. However, again according to my informants, non-intended usage of capital letters or no use of symbols at all signifies text message *illiteracy*[7]. This illiteracy occurs mostly in text messages from their parents. One of my informants describes her mother's text message writings like this: "My mother thinks she knows how to write messages, but she doesn't use small letters, only capital letters. She doesn't even know how to write a question mark/…/her messages are just weird" (Prøitz 2003).

As text messages seem so clearly em*bodied*[8], I would like to examine two central physical characteristics, gender and sexuality, which play a significant role in young people's text message communication. In our culture it seems inevitable that we are always 'doing gender'. Even subversive or sub-cultural performances of gender relate to and partly imitate the cultural significance of gender-dichotomies (Søndergaard 2000). I have sometimes tried to talk about my partner without pointing

out my partner's physical sex[9]. However, the only way to do that is to talk about my partner as '*my partner*'. Approximately all other indications and terms would unveil my partner as either a woman or a man. This little exercise demonstrates how language continuously affirms individuals in a *gendered* manner (Gomard 1999). In accordance with how one understands oneself or other individuals or in relation with others, gender is significant among the multiple processes of distinctions as one of the most significant aspects[10]. In this paper I will examine how new media technologies such as text messaging are incorporated or domesticated by the young Norwegian prod-users, and how these processes of conversion affect the articulation of gender and sexuality. Using a discourse analytical approach, I want to shed light on how some meanings and gender-performances becomes 'naturalised' whereas others are comprehended as marginalised or unintelligible.

First I will present the theoretical perspectives and strategies I make use of in this paper, then after giving a short account of the methods, I will with a discourse analytical approach analyse my fieldwork of young Norwegian text- and multimedia message prod-users.

Mobile Gender

> *Lin*: Are there any MMS you would not send to your male friends?
> *Martin*: Well, there are definitely some photos I *could* send to my male friends. Nevertheless I would not do so because it would have been unappropriate. In example it could have been a very nice pink cushion with lots of feathers on or what ever…and then show it to a female friend. If I had showed it to a male friend, it just sort of….
> *Lin*: Would it mean/signify something different?
> Martin: Yes, *she* would have understood what I am trying to show her, although a male friend would not understand.
> *Lin*: And what do you try to tell?
> *Martin*: Well…or maybe she just finds the cushion nice, right?
> (Excerpt from interview with Martin, February 2004)

The American philosopher and gender researcher Judith Butler, profoundly inspired by Michel Foucault and Jacques Derrida's work, has developed feminist perspectives that destabilise and deconstruct 'natural' gender categories. According to Butler, gender is a regulatory *practice* in relation to culturally existing and *recognizable* self-performances as man or woman (Butler 1990). Hence, as practices of gender formation are continuously repeated and 'cited', an *illusion* of gender as something substantial becomes fixed and 'naturalised' (Butler 1990, 1993). When

Martin answers in the excerpt above, that a girl would have understood and appreciated to receive an image (MMS) of 'a very nice pink cushion with lots of feathers on', this illustrates how Martin is a part of a discursive practice where culturally existing gender formations are cited and constituted[11]. In this way, a hegemonic 'knowledge' of what one in a specific culture sees as 'true' or 'not true' is constituted. In example, if we in the excerpt above swap the female/she/her with male/he/him, Martin's expression would appear like this:

> *Lin*: Are there any MMS you would not send to your female friends?
> *Martin*: Well, there are definitely some photos I *could* send to my female friends. Nevertheless I would not do so because it would have been unappropriate. In example it could have been a very nice pink cushion with lots of feathers on or what ever…and then show it to a male friend. If I had showed it to a female friend, it just sort of….
> *Lin*: Would it mean/signify something different?
> Martin: Yes, *he* would have understood what I am trying to show him, although a female friend would not understand.
> *Lin*: And what do you try to tell?
> *Martin*: Well…or maybe he just finds the cushion nice, right?

In this way Martin's expression would probably meet resistance as a culturally marginalised comprehension – not because it does not harmonise with 'natural gender', but rather because it is not consistent with the accepted existing culturally and hegemonic gender formations. Thus, according to this perspective, 'femininity' and 'masculinity' are not qualities that men and women are naturally born with, but rather *positions* in which have been culturally, historically and traditionally associated and brought into being through performances. In principle, 'femininities' and 'masculinities' may be performed by anyone regardless of physical sex; one does not have gender, one *does* gender (Butler 1990, 1993, Foucault 1995, Mühleisen 2003, Simonsen 1996, Søndergaard 2000).

Although – as we have seen with the 'Martin-experiment', gender ought to be performed in accordance with a cultural recognisable and intelligible way to be understood. Nevertheless, this does not mean that gender performances are not negotiable or changeable as according to Butler, the citations are never precisely copies of each other. In between the small dislocations of the citations, new expressions and articulations of gender are made possible. Thus, as the Danish historian Dorte Gert Simonsen points out, understanding gender as a temporary and mobile cultural category does not mean that individual may choose one's gender out of one's own will or pleasure (Simonsen 1996). She argues that one has to take the

'foucaultian' power-knowledge relation into account, which always enters into the discursive practice of which gender negotiation is a part (Simonsen Op. Cit. p. 44).

Foucault observes power is nothing one may own, possess, inherit, impute or seize as power does not originate from outside or from above; instead power is immanent in all relations – power originates from everywhere and produces contingent discourses, knowledge, bodies and subjectivities (Foucault 1995, Egeland 2001). In this regard, power is not first and foremost repressive and excluding, but rather productive as it produces the social in specific ways (Foucault 1980:119). In *History of Sexuality*, Foucault points out the power-knowledge relation where knowledge is an *effect* of power-relations and power struggles (Op. Cit. 1995). Hence, perceiving gender as something 'natural' is a result of battles of knowledge-production that have been either sanctioned or approved in accordance with those principles that regulate the production of discourses. Thus Martin's internalised and unquestionable way to instantly claim that one's physical sex determines what one would find appropriate or not is therefore a part of –and a result of those battles. Therefore, in our culture one can not avoid to do gender, yet there are multiple discourses in which *make possible* to 're-compose' and perform gender in multiple and diverse ways (Foucault 1995, Simonsen Op. Cit. p. 44, Søndergaard 2000).

In order to examine how young Norwegian people embody femininity and masculinity through text message communication and how text message communication may give rise to new ways of performing and altering gender and sexuality, I will in the next section clarify the analytical approaches as well as the empirical methods I make use of in this paper.

The Real Reality; Some Methodological Reflections

The long study is based on a triangulation of methods: focus/in-depth-interviews, network-maps, forwarded text- and multimedia messages and drawings. In this paper the analysis are in general supported by all empirical data, but I have a particular focus on interviews and text messages.

In 2001, I focus-interviewed nine young white middle class students (15, 16 years girls) in two groups at a technical college in Oslo, Norway. The interviews lasted in ninety minutes each. In addition to the interviews I handed out a one-paged network-map designed as a target. As the informants put their own name in the centre of the target and checked off their mobile telephone communication-partners around;

the name closest to the informants indicated the most frequent mobile telephone communication partner. In example on Tina's map her boyfriend is checked off in the circle closest to her name, whereas her father is checked out farthest away from herself[12]. In between her father and her boyfriend, she has checked off different friends and family members. The same nine girls forwarded me all their sent and received text messages during a certain period of time; when the informant sent or received a text message, she synchronously sent me a copy to my mobile telephone.

This year, 2004, I have re-interviewed six of the same nine informants in individual in-depth-interviews that lasted sixty to ninety minutes each. They are now 18, 19 years. In this second interview-round I extended the informant group with nine more 18, 19 years informants; in total, five male and 10 female in which four described themselves as lesbian/gay oriented[13]. In all interviews I have been using a tape-recorder to generate transcripts. Six females of the second-round agreed to participate in the 'forward-method', whereas three females and one male also sent me their last (10-50) saved multimedia messages. The number of informants who agreed to join the 'forward-method' was fewer in the second round. I suggest this is because the newsworthiness of being a part of the study has declined as well as growing older may emerge a need to protect one's privacy in a different way. Out of the six who participated in the second 'forward'-round, five did also forward their text messages in 2001. Three of the girls who forwarded the multimedia messages were also informants in the first round. I believe the previous established reliance at an early age has played a key role. The durableness of the 'forward'-method lasted individually from three days to a month each empirical period. There was a large variety of the amount of forwarded text messages. The most frequent text message prod-user forwarded about three hundred text messages during five days in 2001 whereas another informant sent three messages in the second round. However most of them forwarded in between fifty to hundred text messages. In 2001 I transcribed every text message manually (about one thousand) whereas in 2004, I 'bluetoothed' the text- and multimedia messages from my mobile phone directly to my Bluetooth-printer[14].

In general, the young people sent me fewer text messages each in the second round. Their age, changes in social life in general as well as a decline in technology-newsworthiness may have influenced the fewer forwarded text messages. However, the majority of the informant claim that they send fewer text messages and make more phone calls nowadays.

As there was no automatic operation in the forward-method, but simply based on each informant's co-operation, willingness and memory to do so, I do not expect these text messages to function as truth-tests or to reveal a 'real reality'. Nevertheless, after the brief theoretical outline in the previous section, some methodological insinuations are already implicit. One assertion is that the empirical findings are not to be interpreted as neither objective or universal truths. In example, the knowledge in which emerges with/in an interview is not seen as an objective knowledge that emerges out of the 'inside' of the interviewee. Instead the interview is comprehended as a particular *discourse-situation* in which meanings are negotiated and objects are constituted (Egeland 2001, Kvale 1997). In this sense, the knowledge derived from an interview is not an objective knowledge *about* something, rather it is a knowledge *of, with* or *in between* the interviewee and the interviewer; the knowledge is seen as 'inter-relational' where negotiations of meanings play a key-role (Kvale 1997). Hence, being located in a specific time and space, the interview as a discourse-situation is comprehended as a situation in which the interviewee and interviewer are given specific positions in a certain discursive universe where a negotiation of meanings may occur.

In this regard, the existence of 'truth' or 'true/real gender' is founded in the *regulations of discourses* through the display of an excluding crave for truth (Foucault 1999:14). In this regard, I want to suggest that the text messages and the interviews explored here are parts of a discursive regime that produces gendered and sexual subjects in specific ways[15]. Thus, analysing gender performances in this paper implies to take account for those principles that *regulate* the production of discourses.

The Gendered Text Message

In this part, I will look at how gender and sexuality appear in young Norwegian people's text messages. I will start by giving an example of a text message conversation that occurred in May 2004 between my informant Heidi and her text message partner. The first time I met Heidi, in 2001, she was fifteen years old and in the middle of an ongoing 'love-project' where negotiations of femininity and masculinity were a key point[16]. Heidi is now 18 and is again in the middle of a new 'love-project', although this time she already has another boyfriend she is juggling that relationship with a new possibility. In these text messages, I will in particular pay attention to the way these young people em*body* their texts as well as examine which

discourses of available love scripts are present. Seven text messages take place during six hours a late night in May:

"I am dying. Seriously. Would have given a lot just to be with you now. We must meet very soon, ok? Miss you already! :)" Hugs (H, 21:41)

"A bit strange. Miss you too. A lot! Want to meet you again ;) But rather when you are single... ;) (text message partner 21:46)

"Can't stop thinking about you… Why do you have to live in Oslo?" (text message partner 22:28)

"Walking around and wondering what's wrong with me… It's insane... Just met you three times, but have never felt anything like this before... Want so much to hold you... Kiss you... Going crazy! (? 22:41)

"I know, I feel exactly the same way... I think it's because we are very much alike. We sort of fit together. Each time we meet it just clicks. And it's a SHAME that we're not together... (? 22:46)

"You will come this summer, right? Can't you be single by then? I know I request about a lot but would have been cool." (text message partner 03:03)

"I'll promise to visit in the summer. Definitely. If I am single by then. Time will tell. However I must say that I almost hope so... You are just so cute :) (H 03:06)

As the text message conversation above shows, there is an initial erotic and romantic negotiation going on between the text message couple. As I have pointed out earlier in this paper they frequently use of symbols as final points: 'smileys', question and exclamation marks. According to my informants, a final double dot is used to, as mentioned earlier, initiate pauses and hesitations, but also to 'soften' the text and make it more open-minded and friendly. Two or three dots at the end of a sentence means that a reply is expected or wanted. The question mark also serves this purpose, in its traditional way. One of the informants describes the custom as follows:

> "It means…I don't know why, but it looks a bit weird if we just put it to an end just like that. It may also look like you want to say something more. It is nothing terminating. You sort of opens up a lot/…/ you are to wonder a bit." (Jane, 15.05.2004).

Out of the seven text messages, there is only one that does not contain a double dot. This is the text message where Heidi's (text message) partner asks her to be single next time they meet. This may help to emphasise the lack of ambiguity in the message. All the other messages contain several dots, exclamation marks or 'smileys'

as affirming amorous emotions. The usage of signs in their text messages seems to embody the affection that is at stake. How do femininity and masculinity appear in the 'love project'? How do text messages 'textualize' gender?

When I ask my informants about what they associate with femininity and masculinity, they tend to be very clear-cut in their characterisations. With the term femininity they associate hearts, flowers, gay men, soft and beautiful movements, emotions, caring, make-up, dresses, whereas muscles, groovy cars, hardness, strength, domination, leadership, straight lines, tightness, roughness - or as André puts it: "a person in a jacket, with a deep voice and emotionally limited as only a masculine person may be – that is masculine.".

When I ask them further whether they are able to distinguish a text message by gender, most of them say they do[17]. According to the majority of the informant's perception, girls tend to write longer and more detailed text messages than boys. Again, let us listen to Martin's perception of 'gendered' text messages:

> *Martin*: Girls have a lot of different…they have abbreviations, although they put them in a totally different way than boys would have done. Boys just do it straight, as simple as that I think. They don't care to nag people with text messages. They say what they have to say and that's it. Or call me. But girls I think are much more able to explain pretty well what they mean in text messages, straight forward, but quite clear. I think they use more time. I usually receive longer messages from girls.
> *Lin*: Do you make longer replies to girls?
> *Martin*: It depends. If they start to chat via texts then I prefer them to call me instead if they want to talk. If I chat via texts and send "yes", it costs one krone[18]. So maybe seven "yes" on questions, that's pretty silly. It should be used for what it is meant for, to send messages.

Anya, one of the female informants, supports this view by saying that girls tend to be much freer in their compositions, whereas boys have a much tighter structure:

> "Girls tend to use 'z's' and 'hugz' and so on in the end. A girl is much slacker in their structure whilst boys just tighten up the text as much as they can: "Are you okay? I am. Call me tomorrow" that is the whole message. Whereas girls would write "How are you" and "What have you been doing lately – we must come together soon – do you have a new boyfriend?" A much looser structure, but not always. Boys can also be cute in their texts" (Anya, February 2004).

As stated by some of the informants, in general boys write short, straight text messages whereas girls write long, detailed, emotional text messages. Let me go back again and take a look at Heidi and her text message partner's approaches.

"I am dying. Seriously. Would have given a lot just to be with you now. We must meet very soon, ok? Miss you already! :)" Hugs (H, 21:41)

"A bit strange. Miss you too. A lot! Want to meet you again ;) But rather when you are single... ;) (text message partner 21:46)

Does Heidi appear more emotionally detailed, romantic or 'softer' than her text message partner? Does she write longer messages? Actually, she does not. Where is the text message partner's roughness, domination or strength[19]? If he is in possession of these 'masculine' articulations, they are not 'embodied' into these romantically loaded text messages. I had difficulties locating which text message were from her text message partner and which were sent from Heidi; I still lack the information about the sender of two of them. How can this occur when the informants, the experts, claim that there are obvious differences between text messages sent by males and those sent by females? If I take the informants' own description of femininity and masculinity, the seven text messages seem to be very *feminine*: long, detailed, very emotionally loaded with a lot of symbols and 'smileys'. So boys *can* also write 'cute' texts – or do femininity? Although most of my informants had a perception of being able to distinguish text messages written by either girls or boys, this does not seem as clear in the text message love-project above.

I would like to end this paper with the following question: Even though there are strong (hetero-)normative discourses, could it be that text messages offer, at least in 'love-projects', possible sites and languages for young people to do femininity and masculinity in ways that differs from face-to-face romantic interactions?

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Endnotes

[1] Hareide 2002, Johnsen 2000, Ling 1999, 2002, 2004, Nordahl 2000, Prøitz 2003, Rheingold 2003, Skog 2000, ,

[2] As Dana Boyd claims in her blog, the term 'user' has a negative association with drugs and addiction, and may also indicate a lack of creative position. She is looking for a replacement term that conveys 'producer', 'user' and 'consumer' all in one. See link below for further discussion at http://www.zephoria.org/thoughts/archives/2004/10/06/the_term_user.html#comments 06. October 2004. For now, I prefer to use 'prod-user' in attempt to make the term more empowered and creative.

[3] http://www.ssb.no/samfunnsspeilet/utg/200006/6.shtml

[4] Hareide 2002, Johnsen 2000, Ling 1998, 1999, 2004, Nordahl 2000, Prøitz 2003, Rheingold 2003, Skog 2000

[5] Smileys are written like this **:)** Prøitz 2003

[6] This 'mode' may consist of particular, contextualised and internalised ways of writing and using signs. The 'mode' often signalises the relationship one have with the other; there are different modes of writning with the informant's parents, friends or/and partners.

[7] I choose to use the term literacy/illiteracy in order to render visible how text messages are parts of cultural discourses.

[8] I use the term 'embodiment' or to 'embody' when I want to give a sense of the materiality of the re-presented. Further work on how to distinguish and use the terms 'embody' and 're-present' in addition to similar research on new media is needed.

[9] As I find the term 'biological sex' quite loaded and associated with the more traditional discursive natural science practice, I prefer to use the term 'physical sex' instead. See also Mühleisen, Wencke, 2002:17.

[10] Other significant distinctions may be age, ethnicity, race, class, ability etc.

[11] The term discursive practice is here based on Michel Foucault's definition of discourse as a practice in which systematically forms those objects they talk about (Foucault 1979. Including localising where and when meanings occur, discourses are also a part of engendering, and placing positions of subjects in given relation to each other (Jørgensen and Phillips 1999)

[12] A remark here is that the young informants have moved their parents much closer to the centre in the 2004 map compared to the 2001 map. In a separate (forthcoming) article I will examine a parent-teenager communication thorught mobile telephone.

[13] The other eleven did not explicitly identify their sexual orientation, but during the interview their (currently) sexual orientations as non-gay/lesbian were obvious. Living in accordance with the hegemonic heterosexual norm, there is no cultural 'need' to state one's sexual orientation as one appear as 'natural' – or as Butler emphasises (Butler 1993); one's gender performance is in consitence with culturally existing and *recognizable* self-performances as man or woman.

[14] Bluetooth is a radio-wave-technology. This technology is 'rich' and fast as the sender and the receiver do not need to be visible for each other in which is required in an infrared transfer. For more detailed information see:

http://searchmobilecomputing.techtarget.com/sDefinition/

[15] For further discussion, see Tincknell et. Al. 2003.

[16] The term 'love-project' is borrowed from Heidi Engs dissertation (Eng 2003) I find the term valuable as it emphasises the constructed aspect of affection -and love-relations in which tie the paper's theoretical perspective to my questions in a productive way.

[17] The most frequent custom is to store each other's names in the mobile phone address book. Hence, each time one of your friends in your address book sends you a text message, you would be able to see who it is – which also reveals the gender. Although here I am more interested in whether they manage to distinguish their text messages by looking at the structure and composition of the text.

[18] Krone is the Norwegian currency. 1USD≈ 6,2 NOK (https://www.dnbnor.no/biztools/valutakalkulator?_DARGS=%2Fincludes%2Fportal%2Fbiztools%2Fvalutakalkulator%2Fvalutakalkulator.jhtml 29. November 2004)

[19] In fact Heidi's text message partner could be a female and not a male. However, as this excerpt is a part from an originally longer communication, signatures used in later text message conversations have pointed out a male name. I choose to analyse the text messages as if her text message partner is a physical male.

Title: Orality as Identity: Reexamining the Role of Oral Tradition in Jazz

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ABSTRACT

Since its inception, jazz has largely been regarded as an "oral tradition," with information about the music and its culture passed on amongst communities of musicians in a direct, unmediated form. Recent scholarship, however, has begun to call into question some of the basic assumptions about the supposed distinctions between oral and literate cultures and their respective forms of transmission, going so far as to question the very applicability of such designations. In this paper, I problematize the centrality of oral tradition to the narrative of jazz history, and examine critically how and why such assumptions about its development persist in the music's discourse.

Specifically, I argue that this continued identification with oral tradition imparts to the jazz community a unique identity *vis-à-vis* other forms of western music, which are often described as "written" traditions. Furthermore, I propose that neither "oral" nor "written" can adequately describe the complex processes that have given jazz its unique character in both performance and pedagogy. Through a critical re-reading of historical and contemporary texts, as well as from interviews with jazz musicians, I illustrate how certain musicians and critics position jazz as a cultural and musical system that departs significantly from the practices of the western art music tradition, chiefly in relation to the latter's employment of written scores. Such an oppositional discourse positions jazz not only as a distinct musical entity, but indeed as a distinct culture, invoking binary oppositions such as "African/European" or "black/white" in laying claim to cultural authenticity. In reality, many of the documented historical practices in the learning of jazz performance skills seem to contradict this fundamental orality of jazz, particularly with respect to the pronounced emphasis on recorded media, and with the degree of musical training among jazz musicians that has largely gone unacknowledged. I conclude by suggesting an alternative reading of the jazz tradition, based neither in orality nor in mediated forms in its totality, which would reflect the complexity and diversity of methodologies and approaches in the learning and teaching of jazz throughout its history.

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6. **Play Direction as an Art Form: Relating the Aesthetics of the Educational Process to Final Product as a Director in an Academic Setting.**

Can a director in academia afford to be improvisational in the rehearsal hall? Can this be a realistic expectation? In this paper I put forth the premise that by including improvisation in undergraduate rehearsals, the students are challenged to bring more of their own ideas and opinions to the work and subsequently will be better prepared to succeed under a variety of directing styles which they will encounter in professional theatre. They learn how to make psychological choices and connect them organically to the blocking or movement patterns that are set.

I wish to explore blocking as improvisation, which allows for freedom to create, imagine and to play rather than as a set of confined boundaries. The basis for some of these concepts comes from Stephen Nachmanovitch's book, *Free Play, The Power of Improvisation in Life and the Arts.* In this book he proposes that we connect to our inner sources of spontaneous creation and that is where "art" initiates. Using this idea as a starting point, I propose that the director of a play can be compared to an artist/sculptor.

Finally, the decision to be an "improvisational" director in an undergraduate setting might be dictated by numerous obstacles but ultimately, the students are better served by a director that demands that they take ownership of their individual work ethic. Ultimately, the rehearsal hall is the laboratory for all that the acting student is learning in the class setting.

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"Women As Cultural Memory and Cultural Meaning"

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Topic Area of Literature and Women's Studies

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“Women as Cultural Memory and Cultural Meaning

In a recently published book, *They Fought Like Demons*, two female authors attempt to set the record straight about an historical reality that had been all but omitted from the social, political, and military history of the Civil War. The authors portray the lives and motivations of those women who, disguised as men, served in the ranks of the Confederate Army and fought along side their fellow soldiers. This book examples how the image and the reality of women are too often startlingly at odds. How much of the daring and heroics of these soldier-women has made it into the curriculum of our schools? How many of our young women or young men in middle or high school have been exposed to the story these women tell; yet another story about women who did what they were not allowed to do, who proved that women “can do it” and “have been there.”

Elizabeth Kamarck Minnich, in her study, *Transforming Knowledge*, states that “our educational institutions . . . are, not alone but preeminently, the shapers and guardians of cultural memory and hence of cultural meanings.” She further argues that such “new knowledge of women” that is “actively excluded from – or never makes it into – the curriculum is very likely to be forgotten and is almost certain to continue being devalued, seen as deviant, and marginal at best.” However, we cannot simply ad this information onto that which we already know

Minnich contends that we must fundamentally re-conceive what we thought we knew. To uncover what women were doing and undergoing is to "locate and ground a different and more truthful coherence." In other words, if some women were soldiers, why were not more soldiers women? In finding these "lost" women, we also find more about why and they were "lost." And then we can begin to know more about "the proactive of exclusion exercised against our sex."

By studying some recently published literature, this paper will explore the evident tensions between the image and the reality of historical women, and in the process, critique the construction of knowledge as the product of a disinterested, nonpolitical, objective scholarly community.

Elizabeth Karmarch Minnich, *Transforming Knowledge*, Temple University Press, Philadelphia, PA, 1990.

1. Title of the submission: “To the Genius of Our Benefactor”: Patronage and the Domestic Gods in the Later Roman Empire

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6. Abstract: Traditional Roman domestic religion has often been understood to have vanished by the fourth century with the rise of Christianity. However, many recent studies have shown the early Christian family continued to maintain its basic Greco-Roman structure throughout the period of Christianization in the Roman Empire in Late Antiquity. Traditional systems of patronage too existed well past the fourth century. This paper examines a neglected aspect of Late Antique familial identities by examining, first, the Theodosian Code’s prohibition against domestic religion in terms of Roman social classes in the later Western Empire, and, second, how Roman domestic religion served to maintain the power of the paterfamilias over his clients as well as his familia. I suggest that it was this public relation between patron and client, which often included clients offering sacrifices and other honors to their patron’s domestic deities, which was of great concern to the crafters of the Theodosian Code since it potentially stood in the way of the Christianization of Roman social relations in the late fourth and early fifth centuries.

In its section on the banning of traditional Roman cultic activity, the Theodosian Code presents us with a curious connection between, on one hand, the social status of those who continue to sacrifice to the old Roman gods, and, on the other, the specific Roman gods of conventional domestic religion. Book 16, Chapter 10, article 12 reads, as Clyde Phar translates:

> No person at all, of any class or order whatsoever of men or dignities, whether he occupies a position of power or has completed such honors, whether he is powerful by the lot of birth or is humble in lineage, legal status and fortune, shall sacrifice an innocent victim to senseless images in any place at all or in any city. He may not, by more secret wickedness, venerate his Lar with fire, his Genius with wine, his Penates with fragrant odors; he shall not burn lights to them, place incense before them, or suspend wreaths for them.

The Theodosian Code has a complex history, of which time prohibits my going into details here.[1] In general, it is a collection of laws and decrees of Rome issued by the emperors from Constantine the Great to Theodosius II, between roughly 313 and 438.[2] They deal with a number of administrative and legal issues, only one of which is the legislation of religious laws, including how to address questions dealing with Jews, heretics, and pagans. Although the scholarly consensus is that the antipagan codes do not seem to have been actively enforced, they do demonstrate an acknowledgement of the continuation of cults associated with Roman polytheism beyond the fourth century.[3] At the time of this edict, during the reign of Theodosius I, pagan temples were closed

[1] For a summary of this history, see D. Hunt, "Christianizing the Roman Empire: The Evidence of the Code," in *The Theodosian Code*, ed. Jill Harries and Ian Wood (London, 1993) 143-58.
[2] C. D. Williams, “Introduction,” The Theodosian Code and Novels, xvii.
[3] For example, see F. R. Trombley, *Hellenic Religion and Christianization*, C. 370-529 (Leiden: E. J. Brill, 1993) especially chapter one. For a more detailed analysis for the impact of the Code on the West, see J. R. Curran, *Pagan city and Christian capital: Rome in the fourth century* (Oxford: Oxford University Press, 1999) 161-69. See also D. Hunt, "Christianizing the Roman Empire,” passim.

and public rituals were banned, but traditional religion did not die so easily.[4] Traditional Roman religion continued to flourish in private in the domestic sphere.[5] It is this practice that this code attempts to forbid, which is the subject of this paper.

The Lares, Genii, and Penates mentioned above are all domestic deities that were worshipped in homes of Romans in the West from its earliest beginnings. As we can see from the quote from the TC, the crafters of this provision make an implicit connection between Roman social classes and domestic cult.[6] Most scholars have paid little attention to the relationship between class and household religion in Rome. But as I hope to show, they were closely related throughout the Roman Empire even past the fourth century since domestic religion functioned, among other things, to legitimate the symbolic power that the paterfamilias possessed over, not only his familia, but also his freedmen and clients.

The process of Christianization would not be complete until patronage was exorcised of its symbolic language of honors paid to the domestic gods of one's superiors. Thus the Christian leaders of Rome needed to redefine the invisible

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[4] A classic discussion of this is J. Geffken, *The Last Days of Greco-Roman Paganism* (Amsterdam: North-Holland, 1978).

[5] This phenomenon has seldom been addressed in scholarly literature. The most important works on Roman domestic religion all avoid the issue of the Christian domestic context. See A. DeMarchi, *Il Culto Privato di Roma Antica* (Milan, 1896-1903; Reprinted, Arno Press, 1975); Bulard, M. *La religion domestique dans la colonie italienne de Délos* (Paris, 1926); and more recently, D. G. Orr, "Roman Domestic Religion: A Study of the Roman Household Deities and their Shrines at Pompeii and Herculaneum." Ph.D. dissertation, University of Maryland, 1973; idem, "Roman Domestic Religion: The Evidence of Household Shrines." *ANRW* II 16.2 (1978): 1557-91; J. T. Bakker, *Living and Working with the Gods: Studies of Evidence for Private Religion and its Material Environment in the City of Ostia* (Gieben, 1994). Moreover, recent works on the Christianization of the family, such as H. Muynes, ed. *Constructing Early Christian Families. Family as Social Reality and Metaphor* (New York: Routledge, 1997) and G. Nathan, *The Family in Late Antiquity: The Rise of Christianity and the Endurance of Tradition*. (New York: Routledge, 2000) have very little to say about how, if at all, traditional domestic cult died out in the early Christian and Late Antique periods.

[6] For the social structure of Roman society, see R. MacMullen, *Roman Social Relations* (New Haven, Yale University Press, 1974). For patronage in the early Empire, see the authoritative R. P. Saller, *Personal Patronage Under the Early Empire* (Cambridge University Press, 1982).

companions and protectors of the upper classes using the new Christian lexicon of the religions power of the post-Constantinian Emperors.

However, before we can make sense of the provision against traditional domestic cult and the social system of patronage, it will be good to see this legislation in relation to other prohibitions against sacrifice to the gods in the Theodosian Code. This particular provision is unique in its specific reference to class and domestic cult and implies that the social practices of patronage and domestic religion persisted and was a threat to those who would desire to Christianize the religious landscape of Later Rome.

The law sited above dates from November 392 under Theodosius I. In all, 18 of 25 (72%) of these laws explicitly forbid sacrifice,[7] while of those 4 refer to the sacrifice of a victim or victims (*victimam),* and the others make no distinction as to what is being sacrificed, whether bloody or not. Clearly Christian leaders were concerned with the persistence of pagan sacrifice, which attempted to achieve the favor of the gods by the consumption of a victim.[8] This way of addressing the divine had a long history. Interestingly, there is mention in the legislation that public sacrifices to the old Roman gods had died out by the 430s, and one proclamation boldly states that there are no pagans left by April 423,[9] though this certainly is an exaggeration, as recent scholarship on the persistence of traditional religion has shown. Further, the next law issued June of that year reiterates that it is indeed a capitol offence for all those found guilty of "sacrifices to demons."

[7] Here is a full list of references in the Theodosian Code: 16.10.1, 2, 4, 5, 6, 7, 9, 8, 11, 12, 13, 15, 17, 18, 20, 23, 25.
[8] Trombley, *Hellenic Religion and Christianization*, 3.
[9] 16.10.22.

Additionally, of the 25 articles in TC 16.10, images or shrines of the gods are mentioned in nine (36%), while the specific gods are never mentioned outside this article.[10] Twenty-three of the twenty-five address public sacrifice. The specific prohibition against domestic sacrifice, other than the quote above, is also mentioned in 16.10.1, which prohibits domestic sacrifice (*sacrificiis domesticis*), though no other law mentions domestic sacrifice. In addition, this is the only one of the twenty-five that delineates the rank of the participants in traditional Roman cult.

The mention of class or order of men or dignities (*genere ordine hominum dignitatum)* is also unique to this provision. Others simply include everyone, mentioning that all are forbidden (4), including "any madman and sacrilegious person" (7), or "the people" (8), and "mortal" men (8) must never dare. It seems that the status of those participating in public cult was not important to the crafters of these particular laws, since civic religion had always been required of everyone in honor of the state gods. In the day-to-day lives of the Romans, however, status was extremely important since it determined how one should act in reference to others. Thus, the decree quoted above appears to be addressed to a network of power relations at the level of domus, including freedmen and clients associated with the paterfamilias. The mention of those of humble social capability demonstrates that this law specifies those dependents upon those in power, namely slaves, freedmen, and clients. Though four others (nos. 11, 13, 14, 20) do mention official governmental positions, such as governors, prefects, and ministers, who of course are among the upper classes, no other law makes reference to class as this one does.

[10] However number 23 does mention sacrifices to demons, see above.

The sentence after the section on class is unique in that it mentions the three domestic gods who were the traditional recipients of divine honors within the home. However, who were these gods of the home, who honored them, and why?

Roman domestic religion may be separated into two forms, the cult of the physical household (Lares and Penates) who protected and advanced life in the domus, and the cult of the master of the home, the Paterfamilias, represented by his Genius, which was intended to honor his procreative powers and status as *dominus*. All three of these gods are somewhat shadowy figures since they have no mythology and, especially with the case of the Lares and Penates, are often confused even by their worshippers. Nevertheless, we may delineate some distinguishing characteristics.

The Lares were the gods of the home in general and usually appeared in twos and were often worshipped as a collective or plurality of the numinous. They were believed to be associated with the hearth fire and were honored, like the rest of the domestic gods, with sacrifices, both bloody and bloodless, by the entire familia. This Roman institution, the familia, must not be confused with a modern nuclear family, nor was it an extended family in the modern sense. The generic Roman familia would consist of the conjugal family plus dependants, which is the pater- and materfamilias, their unmarried children, married sons, their wives and children, slaves, and occasionally freedmen and foster-children.[11] This group would all participate in domestic cult that provided the religious symbolism for familial and patronal unity. Further, it was the explicit responsibility of the paterfamilias to maintain the family cult of

[11] B. Rawson, "The Roman Family," in *The Roman Family in Italy: Status, Sentiment, Space* (Oxford: Clarendon Press, 1997) 7.

the Lares and Penates by insuring its perpetuation and proper maintenance.[12] The cult of the Lares in the home is traceable through Late Antiquity. For example, Jerome, in his exegetical work on the Book of Isaiah, written in the first decade of the fifth century, scolds those whom he sees venerating their Lares – staining their homes with bloody sacrifices and polluting the air with pungent odors for these "demons."

The Penates were also gods of the physical home, but seemed to have been more specifically associated with food production and consumption, leading many scholars to argue that these gods were primarily worshipped by slaves. In wealthy households, slaves were responsible for preparing and serving food and thus had a practical association with these gods. This idea is supported by evidence from Pompeii where many shrines and representations of the Penates appear in kitchens.[13] However, evidence from Ostia indicate that these gods were worshipped here rather in the main living quarters of the house and were important in this location in the domus for establishing the domestic religious power of the paterfamilias. Thus, when a visitor (be it client or amicus) would arrive in main greeting quarters of the home, they would see, and perhaps give honors to, the Penates of the household. The Penates were the object of worship by familia, client, and potentially friend and social equal alike. These gods too appear in later Latin writings in association with the gods of the house. For example, Arnobius derides the cult of the Penates since, he argues, there is so much confusion about their origin, nature and their actual function that to worship beings with such uncertain pedigree is nothing but foolishness.

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[12] M. Beard, J. North, S. Price, *Religions of Rome* (Cambridge: Cambridge University Press, 1998) 49.
[13] Foss, P. W. "Watchful *Lares*: Roman household organization ant the rituals of cooking and eating." In *Domestic Space in the Roman World: Pompeii and Beyond*, edited by R. Laurence and A. Wallace-Hadrill (Portsmouth, RI: Journal of Roman Archaeology, Supplementary Series Number 22, 1997)

The Genius, loosely defined as "life force," was generally considered to embody the potency of the paterfamilias, both procreative and ascendant over the familia, who was also charged with its worship both inside and outside the domus. Genius worship was an activity which seems to have held the family together symbolically by, one, ensuring its continued existence and, two, honoring the legitimacy of the paterfamilias to be the figurative head of the familia.[14] Although it is no longer correct to assume that the paterfamilias maintained absolute, despotic power over his wife and children,[15] it is clear that he maintained a monarchial authority over his slaves and freedmen that was "permanent, institutionalized and hereditary."[16] The Genius of the paterfamilias was worshipped by the entire familia, especially on days singular to him such as his birthday and on other occasions when he was particularly reverenced, though not always within the home since this god was attached to the person of the paterfamilias. Honors to his Genius certainly reaffirmed and reinforce his status at the apex of the familia, and all others' dependence upon him.[17] To honor someone's Genius was to venerate that force which embodied the potency, both social and biological, of the man. The more powerful the man, the more powerful his Genius. In terms of patronage, the cult of the Genius was of great importance since this divine being was believed to accompany the person of the patron rather than simply dwell within the family home, as was the case with the Lares and Penates, and was thus attached closely with his actual power within the society. Language, cult, and imagery of traditional domestic religion aligned patron and client with divine beings who secured the patron's ancestral lineage, and by

[14] I. Gradel, *Emperor Worship and Roman Religion* (Oxford: Oxford University Press, 2002) 44.
[15] Saller, *Personal Patronage*, 102.
[16] Gradel, *Emperor Worship*, 36.
[17] See Gradel, *Emperor Worship*, 36. He suggests that the nature of the epigraphic evidence may preclude ever really knowing this. Also, R. Turcan, *The Gods of Ancient Rome: Religion in Everyday Life from Archaic to Imperial Times,* translated by A. Nevell (London: Routledge, 2000) 29-30.

association, aligned his dependants and clients to a powerful divine force. Needless to say, the Church fathers took aim at the Genius of the paterfamilias too. For example, Augustine remarks that the theory of the Genius is confused since it conflates the idea of the soul and the divine; a distinction which pagan philosophers have otherwise spent centuries and volumes over delineating their exact natures (CD 7.14). Indeed, even Augustine could be capable of overstating his case.

So, these domestic gods - Lares, Penates and the Genius – which the Theodosian Code explicitly mentions, were also being encountered by conscientious bishops (Augustine), Christian philosophers (Arnobius), and even Christian Ciceronian monks (Jerome), much to their continued abhorrence. Therefore, their mention here makes particular sense because they were so prevalent within the households of powerful upper class Romans. Nevertheless, why would these gods be so visible through the walls of their homes, and make themselves vulnerable to the sharp tongues of these giants of the Latin Christian world? One reason is that domestic religion, particularly the cult of the genius of the paterfamilias and *patronus*, was bound up with construction of class identity in relation to powerful patrons. In addition, patronage was a visible companion alongside the Christian *imperium*. Nevertheless, how was patronage and religion linked in ancient Rome?

Patronage and Roman religion always had a close connection. In its ancient Roman context, "*religio* meant reverence, conscientiousness, and diligence towards superiors, commonly but not exclusively the gods."[18] As the second century Roman grammarian Festus explains, "To be religious is not merely to hold the sanctity of the

[18] Gredel, *Emperor Worship*, 4.

gods in great respect, but also to be dutifully obliging towards men."[19] It was an outward expression of a relationship based on power where the inferior affirmed his or her lesser status, and thus his or her dependence in some way to a superior.

Patronage was in many ways closely associated with *religio* in that social inferiors depended upon the beneficence of superiors for their own social worth and in turn expressed thanks through, among other things, symbolic acts of reverence. Further, clients (like worshippers of the gods) would enhance their own honor through showing to associates the valuable sacrifices that they could afford for the honoree. In this way, Roman polytheism was in many ways based on the patronage system, and vice versa. Romans offered honor and worship in return for divine/patronal favors. If divine/patronal favors were granted, rewards were given in return, such as more honors, dedications, and so on.[20] This "religious" exchange of *du et des* was at the heart of human relations to the powerful, be it the divine power attached to the Roman state or the divine power attached to a patron. The difference was only in degrees of power, and perhaps the expense of the offerings. In this way, how people approached the gods paralleled how they addressed their patrons. The Genius of the patron served as focal point of this socio-religious exchange in that it became the object of divine honors and thus gave tribute to the patron himself.

Domestic religion was important for upper-class family unity and its connection to its familial past, as well as legitimated, in religious terms, the Paterfamilias' power over his dependents. Thus, domestic religion was also important in relations between

[19] Ibid.
[20] Beard, et al., *Religions of Rome*, 34

patrons and clients. This is apparent in Roman literature, among other places. I will provide just one literary example.

Horace, in his *Odes* book 4, ode 11, describes a blood sacrifice at the lararia of his patron Maecenas, wreathed with fresh boughs, and the sacred blood from a lamb as offering.[21] Honoring his patron's household gods, Horace was affirming his servile status before his powerful patron. He also praises his patron, saying that his tutelary god is none other than Jupiter, and he will offer the lamb to his protecting spirit (odes 2.17.22 ff.), which, though perhaps with a tinge of hyperbole, propped up his superior's connection to the highest of divine protectors. However, Horace is not wanting in status for himself after this sacrifice. He has suffered no expense at not only offering wreath and costly animal for the endeavor; he also took pains to write about it to insure no one forgets it! Horace impressed his patron with the honor of an expensive sacrifice to his domestic gods, and certainly everyone else for his ability to do so.

Apart from a few literary references, epigraphic evidence demonstrates perhaps more clearly the important link between domestic religion and patronage. Although inscriptions were erected for all to see, they were, from a Roman point of view, often expressions of private religion. According to Festus again, public religious activity is defined as that which is paid for from public funds on behalf of the whole people; while private ones are performed on behalf of individuals, families, and those associated with families.[22] The following inscriptions are private in nature since they comply with Festus' definition of *privata sacra*, and in fact are an extension of domestic cult beyond the walls of the domus of the paterfamilias. Since evidence is scanty for honors within

[21] Horace Ode 4.11, 1.6-8.
[22] Gradel, *Emperor Worship*, 9.

the house, this method will provide our best glimpse at how domestic religion functioned within patronage. I will provide three examples demonstrating how a slave, a freedman, and clients honored their master/patron's Genius. The examples below are taken from inscriptions in Italy before the mid third century.[23] These are only a few of a large number of inscriptions dedicated by slaves (*servi*), freedmen (*liberti*), and clients (*clienti*) to the domestic gods of their patrons (*patroni*).[24]

The first is a short example that clearly comes from a slave (*CIL* V. 7471), which may be translated, "To the Genius of our Quintus from the slave (*servus*) Moschus." This inscription from Northern Italy demonstrates honor given to the Genius of the paterfamilias by his slave who was able to erect an inscription. Of course, the context of this inscription will never be known for sure, but it is possible that this slave has erected this inscription in order to fulfill a vow to his master, or ask some favor, or thank him for some beneficence. Certainly, the relation between slaves and their masters' religion was one of absolute dependence, much like their relation to the master himself. Moschus, like all slaves, was legally under the absolute authority (*potestas*) of his master, which included the realm of religion in which he would be required to the domestic gods of his master, Quintus, as an expression of obedience and absolute dependence. Although explicit evidence of the practice of slaves honoring their master's Genius past the third century is difficult to uncover, this does not mean that it stopped -- as the saying goes, absence of evidence is not evidence of absence. Nevertheless, there are some hints as to the continuation of this practice. In the Canons of Peter of Alexandria, dating from the beginning of the fourth century, we see

[23] Ibid, 372-3.
[24] Ibid 39.

in canon 6 a proclamation that slaves should not be forced by their masters to light incense to statues inside and outside of the home. This may imply a continuation of slaves honoring the Genius of the paterfamilias, along with other domestic gods.

Another inscription, this time from a freedman, (AE – *l'Annee epigraphique* -- 1990.52) follows a similar theme as explored in the previous inscription. This one from the city of Rome may be translated as, "To the Genius of our *Actus*, from freedman (*libertus*) Tropus." Again, it is not clear what motivated Tropus to dedicate this inscription to his former master, but it clearly exalts his patron's life force as worthy of a reward fit for a god – a point certainly not lost on Tropus or anyone else who saw it. It was a public display of private social bonds and honors. Freedmen, though not under the *potestas* of the paterfamilias any longer, were still bound to him as a patron, and should demonstrate good *fides* – an example of which would certainly be to erect an inscription to his Genius, as he does here. Certainly, slaves worshipped the Genius of their master within the familia, but also freedmen would pay homage to their previous masters' "life force" as well. This is because his former master still maintained a powerful hold on Tropus as his social superior and was his way in to Roman social power. As Gradel has remarked, "the participation of both slaves and freedman in the house cult of the genius of their master or patron makes it legitimate to call such worship 'servile'."[25] This freedman relied on his patron in many of the same ways as he did as his slave, particularly now for his social standing. Now Tropus was the client of Actus, but he continued to participate in the domestic cult of his former master because he still needed his help economically and socially, thus continuing to align himself to the social power of his patron makes complete sense. Along with all the reasons a slave

[25] Ibid, 39.

might erect such an inscription, Tropus must also have also gained honor by being capable of honoring Actus in such a way. The passage from the Theodosian Code quoted above prohibits, among other classes, those of humble lineage (*humilis genere*) from sacrifice to senseless images. Although any sacrifice, such as a wine libation, Tropus may have made to Actus' Genius has long since been consumed, the social norm of honoring the domestic deities, which the Code attempts to quell, is well preserved in the inscription by this freedman.

In my final inscription, which again comes from Northern Italy, we see a group of clients (*clientes*) together honoring the Genius of their *patronus* Publius Tutilus (CIL V. 5892). There is no indication in the inscription of the names of these clients or why they decided to honor Publius' Genius at that particular time, but what is clear is that it was of great importance to incur the expense of an inscription to his domestic god. This would have been, of course, the same Genius worshipped by his familia. In addition, as this inscription shows the relationship between clients and their patron was often expressed in similar servile terms, as a slave to a master, since, as Cicero maintains, calling oneself a client to someone else's patron humbled the dedicant to a level similar to that of a freedman or slave. So the homage paid to the Genius of a patron was, by definition cliental, and thus implied the social power of the patron that was often expressed in religious terms.[26] The patron Publius benefited from this exaltation of his Genius by his clients, and, we would hope, he would have in turn rewarded them for the expenditure, both financial and social.

These three inscriptions demonstrate that the Genius was honored by slave, freedman, and client as a fixture of patronage. Thus when the Theodosian Code

[26] Ibid, 40-41.

mentions domestic religion right after a delineation of the various classes in the above quote, it seems that these two statements were not randomly placed but addressed a real association within Roman, even later Roman society.

In conclusion, I hope that I have shown that patronage and traditional domestic cult were linked in the Roman Empire. That they continued to be linked through the fourth century has also been suggested here. Thus, the Christian emperors and bishops who desired to Christianize Roman society needed to address this connection in order to completely transform the landscape of Roman polytheism. One way was through legislation as in the Theodosian Code. But since the Code was a week factor in this process, and served as little more than a memento persistence of traditional Roman domestic religion, Christian leaders needed to create new symbolic, religious links of power from the upper classes to their inferiors so that clients, freedmen and slaves might honor the religious power of their masters through a Christian discourse, rather than that of old Rome. How this was done is a topic for another day.

Cultural Opportunity: Too Often Overlooked

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Abstract: Cultural Opportunity: Too Often Overlooked

One of the richest parts of learning a new language is learning about the culture associated with it, yet in an effort to help students with hands-on language skills, instructors often overlook opportunities for cultural learning. In our presentation, we'll share successful techniques for providing such opportunities. In a foreign language class, this can be accomplished through a comparison of value systems of the target culture and home culture; in an EFL class, this can be accomplished by incorporating the students' unique cultural backgrounds into the course material. Not only do students become more aware of the target culture; much to their surprise, they discover more about their own. Our presentation will be informed by our classroom experiences and also by research in foreign language teaching, multicultural, and bilingual education (McCarry, 1995, Gathercole, 1992, Pennington, 1993, Leith, 1993) and Educational Action Research, (Lieberman, 1988, Kemmis, S., & McTaggart, R., 1982). We hope our work might help other teachers find ways to add substantive cultural components to their classes.

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Title Of The Submission A New Methodology For Designing Spatial Representations For The People With Severe Visual Impairment And Blindness
Topic Area Of The Submission Cross-disciplinary areas of the above related to each other or other areas. (Architecture, spatial representations and visual impairments) **Abstract**
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Abstract

A New Methodology For Designing Spatial Representations For The People With Severe Visual Impairment And Blindness

For centuries buildings have been represented and communicated through different techniques. Among these techniques, architectural drawings and three dimensional models are considered the most effective representational tools. Architectural drawing techniques convey information by using a set of standard architectural symbols to represent components of a building allow architectural drawings not only to be understood, but also to be used for wayfinding. This technique is a rational and efficient method when the properties of visual perception are engaged. However the drawings do not address the haptic system; this method fails to fully communicate spatial relations to blind people. Transferring floor plan drawings to raised-line tactile maps does not offer the best solution for acquiring spatial knowledge without sight; its effectiveness as a wayfinding support proves limited. The fundamental problem in the design and production of a tactile floor plan is its methodology which is significantly influenced by the visualization of the spatial representation and the use of the semio- graphic theory. This method of design does not comply with the sequential procedure of haptic perception and the subsequent development of a cognitive map that takes place without sight.

This workshop explains the development of the new methodology for designing tactile auditory spatial representations for people with severe visual impairment and blindness. It outlines the practical implications and the importance of

navigational and spatial representations for acquiring spatial knowledge and wayfinding without sight and describes the current research (work under progress) by shohreh Rashtian a PhD Candidates at UCLA Department of Architecture and Urban design.

Title: Cultural Marketing in Louisiana Tourism: Who Matters Most in the Marketing of History?

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The history of Louisiana is rich and diverse and New Orleans, the state's largest city, is often described as a cultural gumbo. Many visitors are intrigued by the mystique of above ground cemetaries and Voodoo rituals. Others want to taste the Creole cuisine or listen to live Jazz music. New Orleans is a city with many unique elements, but it has always been surrounded by myths and stereotypes. Tourism became one of the city's top industries in the twentieth century and many of the stereotypes regarding New Orleans have been dissiminated in tourism marketing. New Orleans is a cultural crossroads and cultural overlap can be seen in areas such as architecture, food, and music, but the tourism industry markets little historical influence other than that of Afro-Caribbean, French, or Spanish. This paper examines cultural and ethnic minorities of European, Latin, and Asian descent that add to the diversity of Louisiana life and deserve to be incorporated into the marketing of the state's rich history.

Recent scholarship regarding European and Latin groups such as the German, Irish, and Italian populations of the state casts new light on the historical and continuing contributions of each group to the Louisiana's cultural diversity. There is a significant Hispanic population in the state which has received little attention in the export of Louisiana culture, excluding the four decades of Spanish rule. In addition, there is a sizable Asian minority (especially Vietnamese) which has been almost completely ignored in the tourism industry. Each of these groups has a noteworthy population in Louisiana and has made contributions which are often often overshadowed by the marketability of the state's French, Spanish, and African heritage. The inclusion of these groups in Louisiana tourism would end the cycle of cultural exclusion and expand the market of historical tourism.

The culture and history of New Orleans are two of its most distinctive assets in tourism, but in the attempt to attract the highest number of tourists, some cultural and ethnic groups have been devalued while others have been given disproportionate emphasis. On arrival to New Orleans visitors are bombarded with cultural icons that have been standardized by the industry to imbue a primarily French atmosphere. For example, the term Creole is commonly used to describe the regional cuisine, and also refers to descendants of immigrant groups who settled in the area. Most commonly Creole refers to those of French descent or to the Creoles of Color in Louisiana, but also refers to the Spanish, German, Italian, or other groups of people who have settled in the area. The most recent and significant group of immigrants are from Vietnam, and in the truest sense of the word, their American born children can be called Creole as well. The term comprises nuances which are brushed over in the interest of marketing New Orleans as a distinct tourist destination.

A variety of elements in New Orleans tourism will be clarified to include contributions made by immigrant groups outside those which are most commonly credited in tourism literature. Landmarks such as the French Quarter and the

French Market, and icons like Jazz music will be used to demonstrate the influence of other immigrant groups besides the African, French, or Spanish.

Submission for *Proceedings*

1. **Title**: "Teaching Writing in Albania: the Perils of Liberty"
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6. **Abstract**: The paper focuses on the author's work as visiting Fulbright professor of American Studies and English at the University of Shkoder, Albania, the former communist country where faculty and students have extensive experience with neither academic discourse nor with the challenges of self-governance and liberty. First, the paper describes the author's work with the young faculty: the scholarly exchanges that helped them learn to govern their own department. Next, the paper describes the author's work with a cohort of 28 Albanian English majors, bright third-year students expert in memorizing facts but utterly inexperienced in critical thinking and documented academic writing. The article supports the interrelated claims that democratic governance generates pedagogical and curricular growth, and that writing-centered pedagogy enables students to think critically about the challenges and responsibilities of freedom.

Teaching Writing in Albania: the Perils of Liberty

From January through July 2003, I served as visiting professor of American Studies and English at the University of Shkoder, Albania, the former communist country where faculty and students have extensive experience with neither academic discourse nor with the challenges of self-governance and liberty.

Yet when I received my charge from Dr. Roberta Maierhofer, vice rector at Karl-Franzens University (KFU) in Graz, Austria, and the chief promoter of this new Fulbright position in their partner institution in Albania, she urged me help both groups master the deliberative discourses that would deepen their learning and enable them to take charge of their academic lives.

More specifically, in an email Dr. Maierhofer wrote these words about the seven young faculty members, each working on PhD dissertations in linguistics or American Studies at her Austrian university:

> They are very dedicated, committed, and hard-working, but they do not know how to quote and use references, they do not know how to develop a thesis. They never learned, and now it is difficult for them to admit it….What they need is a constant feeling that the research they are doing in their dissertations is valuable and important. I have great expectations that your presence in the department will be a major motivating factor.

In a similar vein, Dr. Maierhofer described the needs of my third-year English majors in these terms:

> I encourage you to take on language teaching: As you suggested, use the writing process to teach literature….teach how to teach for both students (most of whom will go into teaching) and teachers….Teach rhetoric, how to read and discuss. At this point the teachers simply teach the book, the students learn it by heart, and there is no development of the individual, no original thought. This was actually the case in Austria not all that long ago, so I know what I am talking about….You will have large classes, usually 30 students….The classes are not very disciplined…almost like high school.

Below, I will explain how I tried to fulfill both these charges. First, I will describe my work with the faculty: the scholarly exchanges that helped them to progress with their dissertations, the pedagogical and curricular exchanges that helped them learn to govern their own department. Next, I will describe my work with my cohort of 28 English majors, twenty-year-olds expert in memorizing facts but utterly inexperienced in critical thinking and documented academic writing. In both threads of my narrative, I will try to support my claims that democratic governance generates pedagogical and curricular growth, and that writing-centered pedagogy enables students to think critically about the challenges and responsibilities of freedom.

Scholarly Exchange

At our first meeting in January, I submitted to the faculty a plan for our collaborative work, a plan that would spell out how I might help them, how I could respond to Dr. Maierhofer's charges. I did so with considerable anxiety, recognizing the rhetorical delicacy of my situation. First, I wanted to present a collaborative plan detailed enough to provide the structure that, in Dr. Maierhofer's view, had been totally absent in their departmental life. However, I also sought to stress that the plan was theirs to accept, modify, or reject, that in giving them the plan I only hoped to *suggest* how I might be *useful* to them. Above all, I hoped that my plan established an ethos respectful toward the faculty and their work, the ethos of a colleague and peer who hoped to earn their trust but who did not imagine that he arrived with prefabricated answers to all their problems.

I'm pleased to report that the faculty unanimously accepted my plan, one that featured group exchanges of our scholarship, one-on-one exchanges with me, their unofficial reader for their dissertation work, and periodic discussions of departmental governance and the integrated work of program assessment and curricular revision. I suspected, however, that their vote came with no conviction. Dr. Maierhofer had warned me that the faculty would "be very much in awe of the Fulbright professor," that they would "be very timid in openly expressing wishes, thoughts, and suggestions." She further explained that this reticence grows from "their past and the uncertainties of the political situation, from a very hierarchical system and the fear of exposing themselves too much." In short, I knew that I would have to earn their trust, that our first working meeting would be critical. Boding well for that meeting, the faculty proposed a change in my plan: moving up my presentation on scholarship to the next meeting. This change, which I heartily embraced, bolstered my hope that the faculty could and would get beyond the timidity that Dr. Maierhofer described. Just as important, their suggestion signaled their willingness to give me a chance to earn their trust.

To prepare for that next meeting, I photocopied and distributed my article on David Edgar's play *Pentecost* so that we could begin addressing their concerns with their dissertations: finding topics and sources, shaping warrants and claims, providing and documenting evidence. In sharing my article, I sought to begin winning the faculty's trust by establishing my ethos as "ally," the term Helen Fox uses in describing her work with otherwise brilliant graduate students marginalized in graduate studies, owing to their lack of experience in traditional academic discourse (57). Though Fox advocates powerfully for alternative discourses in the academy, she also recognizes that any ally to graduate students inexperienced in traditional academic discourse must *first* teach "the language and values of the academy, its styles and structures, its vocabularies and uses of voice, its relationship with authorities, its attitudes toward evidence" (58). Paul Kei Matsuda reaches the same conclusion when he describes ways of assisting graduate students, like these English faculty members in Shkoder, who have had "little exposure to dominant discourse practices" (196).

When our meeting convened, I began establishing our alliance by narrating the question-asking process I experienced after seeing *Pentecost* in London in 1995. Set in modern Sarajevo, a city one day's drive from Shkoder, Edgar's play ends in explosions and machine-gun fire, as government commandos slaughter illegal aliens from the Balkans and Middle East. These displaced persons had claimed sanctuary in a church as they bargained with authorities for the simple justice of jobs and places to live. In the course of this bloody restoration or order, the troops also manage to shoot an American art historian, the refugees' hostage, there to study the magnificent painting on the wall of the church, a portrait of the dead Christ, deposed and bloody in the arms of those who loved Him. At the foot of this painted cross, the young refugees and the American, sharing no common language, still managed to share their stories, to bond in Pentecostal brotherhood, just before the bombs and bullets shatter their bodies as well as the painted Christ. Yet, somehow, this violent play uplifted me, suggesting that secular Pentecostal events can happen, that Europe might actually survive the twenty-first century. Where, exactly, does hope reside in the play? How does Edgar build grounds and warrants for hope?

Naturally, I hoped that Edgar's subject matter would signal to the faculty my abiding interest in their region, its history and culture. But in narrating my question-asking process and the research it inspired, I hoped to identify myself not only as a cultural ally but also as a scholarly ally, someone who felt compelled to shape my questions as a problem, to research others' work on my problem, then to share my solutions in writing—precisely the same process the faculty had begun to experience as writers of dissertations.

With my story as researcher in place, we then spent an hour walking through the article, identifying claims and warrants, sampling the relationship between claims and evidence, and scrutinizing the mechanics of quoting and MLA documentation. Having finished this discussion, we then agreed to meet again in a week to repeat this process on another sample of my scholarly writing, which I promised to copy by the next day. I made this promise with considerable relief and satisfaction, for the faculty, not I, had insisted on a meeting the next week. Our alliance, though not yet firm, had at least begun. They wanted to hear more.

And they heard more in that next meeting, more about the research process, moving from questions, to problem, to research, to supporting claims. They also heard more about the perils of liberty, which I explored in an article on James Madison's *Notes* to the Constitutional Convention and on the literary works that shaped his understanding our depraved selfishness and our noble aspirations for freedom. This time, I simply invited their responses rather than leading the discussion. They responded readily, identifying my claims, sometimes praising my support, other times criticizing my lack of evidence, as did Professor Troshani, when she noted that my allusion to Hobbes' dark vision of human nature lacked any supporting quotes or documentation.

Naturally, I enjoyed the emergence of this critical collegiality, particularly when they announced their readiness to report on their dissertation projects: their research

questions, their tentative claims and key evidence, their concerns about attribution and documentation. In subsequent meetings, then, my colleagues and I heard first from the linguists: Meri Guli's comparative study of American and Albanian proverbs; Rajmonda Keria's work on Americanisms in the Albanian language. Irma Pashka then reviewed her historical work on "West Meets East: Cultural Confrontation in Selected Fiction on India," Albana Caushi described her prospectus on the place of grammar instruction in writing courses, and Valdet Bishanaku did likewise on her plans to study writing pedagogy at the University of Graz.

At these and subsequent presentations, colleagues offered supportive praise and useful critiques to help their colleagues with revisions and further drafting. My journal records my excitement as I observed their increasing confidence as participants in scholarly dialogue. For example, after Flutur Troshani's presentation, I wrote this note:

> At the faculty meeting today, Flutur talked about her dissertation on "Structured Chaos: Post-Modern Metaphors and the Modernist Heritage," focusing on her first chapter and the elements of imagist poetry: the visual, acoustic, and emotional. With Dean Kadija present, she sounded nervous at first but quickly warned to her topic, revealing the enthusiasm with emphatic body language and varied modulations. To make her points about Imagists' efforts to capture the moment, she focused on Hulme's "Autumn" and Pound's "In a Station in the Metro."

Of course, I participated in the response session following all these presentations but allowed my colleagues to do most of the praising and critiquing. Then after each meeting, I wrote a personal response to each colleague, as illustrated by this note to Arben Bushgjikaj following his presentation on biblical allusions in Emily Dickinson's poetry:

> Beni, I thoroughly enjoyed your presentation on Dickinson yesterday—thanks so much!
>
> You're wise, I believe, to stress in your introduction that you're setting out to juxtapose what Dickinson said about Christian themes with what the Bible says, not to prove conclusively the degree of her faith, rather to demonstrate her serious contribution to 'secular scripture.' Saying so up front will make that obligatory review of the critics seem purposeful, centered.
>
> I also like your decision to segregate the poems according to their Christian emphasis, though I'm sure you've encountered many poems that fit in more than one category. But I'm still wondering about chapter 4. It seems like you will have to make frequent references to Life and Death, Salvation and Judgment, Eternity and Heaven as you move through the poems in the first three chapters. Could those three themes be distributed among the first three chapters? Such a question is a nice problem to have. It proves that you have begun! Now you can just write your way to clarity. You've made a great start. Indeed, I can see you offering a significant revision of received ideas on Dickinson the Scoffer. Again, if you want to show me your introduction, even in its roughest state, I would love to see it.

Beni took me up on that offer, as did my other colleagues over the spring of 2003. Since then, Beni and Flutur have sent me chapters across the Atlantic, allowing us to continue our scholarly dialogue as they move closer to their PhDs.

Pedagogical Exchange

As noted above, I hoped to respond to Dr. Maierhofer's charge not only with scholarly exchanges among peers but also with pedagogical exchanges. I hoped to persuade my Albanian colleagues to adopt Stehen Fox' view that "teaching is indeed scholarship" (139), as well as William Lalicker's view that our "professional community" would grow stronger if we grounded our teaching in learning theory, then shared our applications of theories (59). Though finishing their PhDs would remain their first priority, I hoped that we could follow Lalicker's advice to "make faculty development" as teachers "a central priority" to their program (62). Doing so would increase, not deplete, their energies as writers.

I began this pedagogical exchange by inviting all my colleagues to my classes—not to observe my brilliance in the classroom, rather to help me teach. I wanted them to be active participants during their visits, helping me model "rhetoric and composition as an intellectual endeavor" relevant to the literature classroom (Goggin and Beatty 37). They accepted my invitation, as their busy schedules allowed. Beni, for example, gave a guest lecture on Emily Dickinson's skepticism and faith when my American lit students had been journaling on Dickinson's poetic guesses about immortality and death. Flutur repeatedly visited the same class to help me guide students working in peer response groups. Valdet provided the same kind of help as my students shared drafts on their research projects.

The faculty also accepted my offer to visit their classes as a peer observer. As they had done, I participated in the classroom activities; I also wrote a follow-up note to each professor, including an invitation to coffee and further teacher-talk. For example, I visited Albana's first-year class in Speaking and Listening, where she moved her students through a comprehensive analysis of the movie version of Bronte's *Jane Eyre*, which they had seen over previous class periods. Wisely, she had given her students a list of dimensions to consider—spatial, temporal, acoustic—to focus their viewing. This same agenda helped her to keep her students on task; she also showed mastery of Socratic interrogation, probing their understanding of each dimension of the film, asking follow-up questions when they failed to respond. She persisted, too, on the question of Bronte's purpose, until one student suggested that Bronte wrote "to connect us with Jane's joy and pain."

Naturally, my letter to Albana praised her skillful use of these strategies, particularly the scripting exercise, an ingenious example of teaching critical thinking:

> I applaud, too, the activity you staged at the end. By asking the three groups to arrange their strips of scripting in proper order, you varied the pace of the class and engaged them in an entertaining test of how carefully they had listened to the film. You also chose scenes wisely—Jane the "obstinate" child, Jane the girl of "vanity," Jane meeting Mr. Rochester—stressing the abuse she suffered and her abiding intelligence and sensitivity. You also ended the activity by praising their efforts, thereby encouraging more good work.
>
> Suggestions: Next time you use the script-arrangement device, tell them before they begin that they will be responsible for listening and responding to the other two groups. As you said

> yourself, most of the students in the non-performing groups failed to listen to the performing group. You might also ask each group to come up front and read to the class. Also, consider using some writing activities in class. I realize that your focus is "Listening and Speaking," but reading and writing can reinforce these skills. For example, you might have asked them to freewrite for five minutes at the beginning of the class on their favorite scene or favorite character. Doing so would involve all the students, thereby encouraging more to speak during class.

As a result of visiting Albana's class, then hearing her responses to me in the follow-up coffee break, I felt a strong professional tie to her. Indeed, I felt this same bond with all her colleagues after moving through this process. We had taught each other. In so doing, we had followed Karen Rossi Schnakenberg's advice, producing "a usable combination of rhetorical theory and practical pedagogy" (165).

These one-on-one exchanges had also helped us to identify the teaching of writing, as Deborah Minter puts it, as a "site of vital scholarly work" (62). To reinforce these exchanges, I wanted to expand this site to department meetings, thereby connecting discussions of writing pedagogy to our earlier meetings on scholarly writing and the research process. Therefore, with the approval of the department chair, Rajmonda, at two different meetings I presented samples of the writing pedagogy I had used, with considerable success, in the American Literature class.

In making these presentations, I sought to describe the strategies I had used—journaling, group work, revision, conferring—and to argue their value in any course in their curriculum. Essentially, I presented the materials that Amy M. Goodburn urges us to place in course portfolios to help us reflect on outcomes (66). At the first meeting, I walked my colleagues through my syllabus, stressing the integration of reading, writing, and speaking activities. Then I distributed the assignment sheets, first the guidelines on journaling, then the call for a narrative essay in response to Whitman and Dickinson; I also shared my response to the assignment, my essay on my dad's death. Such work, I argued, citing Winifred Horner, helps students to cultivate memory (178); sharing our own writing, I claimed, citing Sam Watson, motivates student writing by allowing "our students to see that we have the courage of our own uncertainties" (332).

At the second meeting, I passed out the assignment sheets calling for traditional academic essays on *Huck Finn* and on late nineteenth- and early-twentieth century American literature—stressing the varied topics, the open topics, and especially the journaling prompts and the guidelines for peer-response groups. Completing my oral 'portfolio,' I also shared some samples of student writing, proof that stressing writing fosters rather than side-tracks the learning of literature. I left them, too, with the wisdom of Richard Young. When we teach prewriting, we teach our students that "invention is a form of inquiry"; when we talk about our own "pedagogical invention" to facilitate that inquiry, we perform the scholarship of teaching (Green and Nowacek 335; Sipple, Sipple, and Carson 411).

In addition to these two department meetings focused exclusively on pedagogical theory and practice, we devoted the last three department meetings to the curricular change that would naturally flow from these pedagogical theories, realizing, as David Downing puts it, that "the literary and the rhetorical" are "deeply intertwined" and that,

therefore, we should "fully integrate reading and writing" in all our courses (31, 34). Prior to these three meetings, I distributed copies of my article on "Shaping Consensus from Difference," which argues for the importance of collaboration in assessing and revising the curriculum. After our discussion of this piece, which stresses shared investments in the curriculum as well as shared governance, the faculty divided themselves into committees, each focused on a major strand of the curriculum: History, Literature, Linguistics, Writing/Teaching. They also agreed to report their progress at each remaining department meeting. While the Linguistics and Writing Committees set about eliminating discovered redundancies in required courses, the History and Literature committees joined forces to set about realigning the sequencing of courses so that students would take Academic Writing in the first semester and British History in the same year that they take the surveys in British literature.

Knowing that Dr. Maierhofer would be delighted with their ownership of their department, at the end of our last meeting before my departure, I applauded their progress reports and encouraged them to continue their efforts to develop a writing-centered curriculum. I also gave them more materials on governance and assessment, the former stressing collaboration, the latter portfolios. W then adjourned for pizza and beer at a nearby outdoor restaurant, *The Mondial*, where we ate and drank, together.

Over a year has passed since that meeting at the *Mondial.* Though my Albanian colleagues' teaching loads remain way too heavy, I can happily report that they continue to send me drafts of their dissertation chapters and, as their electronic minutes reveal, that they have held fast to their ownership of their department by continuing their efforts to center their curriculum on writing-to-learn strategies.

Writing to Learn American Literature and Research Strategies

Having already described the writing-to-learn strategies I employed in the American Literature class, I will move here to similar strategies that helped these same 28 students learn not only the mechanics of documented research papers but also the excitement and the perils of asking questions about liberty.

Concurrent with their reading and writing on Whitman's creed of independence, of Huck and Jim's run for freedom, Frederick Douglass' search for liberty in literacy, and on more modern works exploring the American mythology of self-determination, my students studied "research strategies," using Wayne Booth's *The Craft of Research* as their primer on finding topics in one's own questions—questions Albanian academe had never allowed them to ask. To help them follow Booth's practical heuristics on asking questions, finding answers, shaping claims, and providing concrete backing for those claims, I shared my own writing on the theme of liberty, just as I did with the faculty. I also required regular exchanges among three-person writing groups as well as three conferences with me—talk that carried them through three drafts on their chosen topic and prepared them for an extemporaneous presentation.

Though the process sometimes broke down—their occasional failures to read Booth, my moving too fast, forgetting that their former idea of research began and ended with copying quotes from authorities—these students amazed me with their courage to ask once-forbidden questions and to argue for their hard-won answers in both their papers and their presentations. My journal records my excitement over what I heard on the first day of the extemporaneous reports:

> Two students spoke on their family histories under communism, both managing to maintain control as they described prison terms and other persecutions suffered by their fathers and uncles. Two others spoke on the Albanian Canon and its seeming justification for blood feuding, one on Albania's emigration problem, one on Albania's Teachers' Day, one on Thoreau and Robert Kennedy as models for Albanian political activism, and one on advertising. The report on advertising, like the written version, offered little beyond generalizations; the rest, however, looked forward by looking backward, stressing reading and interviewing that called on Albanians to honor their heritage, to acknowledge their errors, and to claim Albania's future for this and the next generation. Equally impressive, the student audience listened attentively and asked thoughtful questions about the grounds for hope—for stopping blood feuds, for overthrowing corrupt politicians, for generating a healthy economy, for making teaching a viable profession. I thrilled to watch and listen as they taught each other and began taking responsibility for their country.

Indeed, with the one exception noted, all these oral reports provided examples of what Claire H. Major calls "problem-based learning," the kind that moves toward "viable solutions" to social problems (237). With the focus on their Albania—past, present, and future—the reports also confirm the wisdom of Johnathon Mauk, who argues that "most students are lost" in postmodern culture and hunger for academic work that will give them a sense of "place," a sense of a "social space" they can shape (369, 377).

I will close with the voice of Dhurata, who had the courage to ask questions about one of the most hellish problems of this beautiful country: the abuse of women. First, I will quote excerpts from her paper, highlighting not only the answers she found but also the skill she shows in documenting her findings. Finally, I will quote from her metacognitive essay on the final exam to hear her own assessment of her research process and product.

Throughout her paper, Dhurata shows that she understands how to blend logos and pathos in establishing her own ethos as an informed citizen and an outraged Albanian woman. For example, she begins her paper by looking back on Albania's traditional suppression of women, using established authority to do so:

> Edith Durham, in her book *The Burden of the Balkans*, gives a realistic picture of the treatment of women during the nineteenth century: "Women are considered as *property* of their fathers and husbands….Women are always sold by their fathers; they have no rights to choose their husbands themselves…no rights over their children" (124).

Later, Dhurata complements expert testimony with the logos of statistics:

> According to the statistics made by the organization of women, *The Light Steps*, most women in Shkoder suffer from violence. The data from their survey represent a strong sign of recognition of

> the spreading violence against women: "Ninety-four percent of the interviewees answered affirmatively" when asked if most Albanian women experience domestic violence (147).

She also injects her logos with pathos by telling the story of a local 16-year-old forced by her parents to marry a man 16 years her senior. By age 18, Dhurata reports, the young woman had three children and a bruised body; by 19, she was dead, shot by her husband after an argument over their lack of money. Dhurata bolsters this case history by interviewing the mother, who of course chose to remain anonymous:

> Dhurata: Did you know in what bad conditions your daughter lived?
> Mother: Yes, I knew, but how could I help her? We are so poor…we cannot support her three children. We are ashamed, too. Many times she came to me and complained about her desperate conditions, but she still said that although he beat her, he loved her, too….I am so confused. All I know is that my poor little child as had a horrible death. The people that lived near her house now tell how they heard her asking for help, but nobody did anything.

The brevity and placement of this passage show that Dhurata has learned to make "good decisions" as a researcher, knowing when to offer such "organic dialogue," the kind of "personal experience" that enriches her more traditional forms of evidence (Royster 27, Spooner 167, Bizzell 2). Having next recounted the horrors suffered by Albanian women who flee to Italy for a better life, only to be forced by their poverty into prostitution, Dhurata ends her paper in near despair, but she retains the courage and just enough optimism to challenge her country: "I remember the past of my country, when people were shown esteem for their dignity and bravery. But where are these features of the Albanian society now?"

In her reflections on this courageous product, Dhurata admits that she did not "find a solution" to this frightening problem but claims in her conclusion that helping others to open their eyes constitutes a first step toward solutions. Focusing more on the process than on the product in this final exam essay, Dhurata mentions her own reluctance to open her eyes to the realities for women in Albania. She knew, of course, that she wanted to write on women's issues but resisted phrasing the real question behind her interest, fearing the answers she might find. Finally, pressured by a deadline to declare a topic, she allowed herself to ask these two research questions: "Does discrimination against women really exist in Albania? Have conditions for Albanian women changed from the past?"

She then goes on to describe the various problems she encountered in the process of answering these questions; she also stresses her sometimes painful solutions to those problems. First, she mentions the great difficulty she experienced finding scholarly materials on the subject, until she took the best advice I gave the class: "Get to know your reference librarian." Once she had plenty of materials, the testimony and statistics mentioned above, for example, a new problem emerged: too many numbers, not enough stories. She then claims that the interview quoted above brought her paper to life; she also acknowledges that blending pathos with logos caused her plenty of pain:

> It was very difficult for me to do this interview. Very often we hear on the radio or TV different tragic stories of husbands killing wives…but it is quite different when you hear it from a relative

> of the victim….It was very touching, hearing this tragic story of this girl from her desperate mother….but her story brought something realistic and true to my research paper.

Finally, she comments on her anxiety over giving the extemporaneous version of her report to the class but confesses that "it was beautiful, too…presenting my work, my ideas, my conclusions. I felt proud of my work."

Dhurata's voice also conveys her pride, not only in daring to ask questions and publish answers, but also in claiming full membership in a community of writers, Albanian and American, who have rejected tyranny and embraced the perils of liberty.

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The James Whitall House: Alternative Methods of Historical Education

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1 Introduction

This paper will discuss the ability of computer visualization to address many of the common pitfalls associated with historic preservation and the study of historic sites. Often, structures of historical significance are inaccessible to a large percentage of the public, due to structural concerns, distance, or handicapped accessibility, among other reasons. Additionally, it is not economically viable to preserve all existing structures in the United States, as the fifty-year mark for Historic Register status approaches for more places in the United States. Viewing historic locations enables us to provide a tangible link to history, and strengthens the connection during the educational process. Computer visualization of historically significant buildings can enrich distance learning possibilities as well as the visiting experience.

2 Background Research

The James and Ann Whitall House is an historic home located in Red Bank, New Jersey. The home is located on the banks of the Delaware River in Gloucester County, in what is now Red Bank Battlefield Park. Constructed in 1748 by the Quaker family of James Whitall, the land is believed to be an ancient North American Indian camping ground. American troops occupied the house in 1777 and constructed Fort Mercer on an adjacent site. Fort Mercer, along with Forts Mifflin and Gaines made up a three fort defensive structure to prevent British and Hessian ships from advancing up the Delaware River. After British troops took control of Philadelphia, Hessian soldiers attacked Fort Mercer on October 22, 1777 and scored a decisive victory against the American colonialists. The Hessian troops converted the Whitall House into a field hospital to treat the wounded, including Hessian commander Colonel von Donop, who days later died of his wounds. [Stewart 1927]

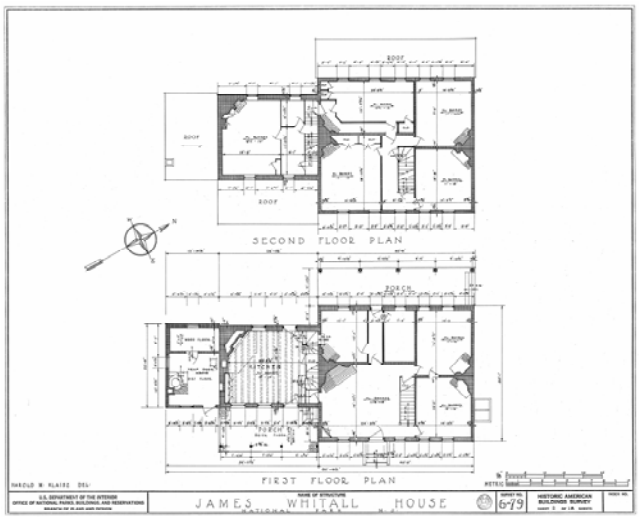

Figure 1: HABS drawing of James Whitall House

The Historic American Buildings Survey and the Historic American Engineering Record produce drawings of architectural, engineering and industrial sites in detail; there are more than 35,000 drawings in the present collection. The purpose of the drawings is in creating "…an archive of American architecture and engineering and…better understanding what historic resources tell us about America's diverse ethnic and cultural heritage." [Wilson and Ibach 1995] Using these drawings, it is possible to recreate structures as they were originally built, thus preserving them not only in a two-dimensional format, but also in an experiential three-dimensional design.

3 Pedagogical Problems

The study of historic sites often leads to problems, due to issues of inaccessibility. These concerns are often related to the distance one must travel to view the site. Schoolchildren of varying socio-economic backgrounds may not have the financial ability to visit specific locations, but this does not lessen the historical impact of the sites. The National Park Service has developed the Teaching with Historic Places program through the National Register of Historic Place to explore links between past events and the locations in which they occurred. [Boland 1996] One cannot fully understand the events that shaped the United States without learning about the places that defined these moments. Simply because children cannot physically visit the site, it is no reason to deny them the opportunity to immerse themselves fully in its history. Current educational materials address this issue using primary source material, photographs, maps, and other valuable documents. However, these materials still fall short when compared to the value of an actual site visit. By constructing interactive simulations, children are able to manipulate their environment and explore aspects that are not available to them through static source material. [Hake 1998]

Studies have shown that children are better able to absorb information if presented to them in an interactive format. [Sherman and Hicks 2000] The primary method of enabling children to experience a remote location interactively at this time is Quicktime Virtual Reality (QTVR). While this allows for navigation within an existing space, there are several shortcomings. Firstly, the viewer cannot interactively move from one location to the next experientially. [Mays 1998] As QTVR uses one location as the origin for each world space, the viewer can only zoom or pan from each location. Moving to another location allows a different vantage point, but does not allow for interactive engagement of the in-between spaces. Secondly, the photographic QTVR allows the viewer to see the space as it currently exists, but there are no possibilities to see it sited in the historical context. Preset walk-throughs of existing spaces are also prevalent [Ashton 1995], and many modeled and rendered buildings exist. One such example is Danteum's Paradisi, a proposed project, designed by architects Giuseppe Terragni and Pietro Lingeri for Mussolini. [Nagakura 2000] While visually compelling, pre-rendered movements through the space do not

allow for any interaction by the viewer, as all travels have been predetermined.

Another issue is the inability to place a building within its historical context when physically viewing a site. While many buildings of historical significance have changed very little, the environments often have not. A large part of understanding the importance of an historic structure is comprehension of the building, as it once existed. The only way to accomplish this is through synthetic means, such as computer visualization. Lastly, many historic structures no longer exist or have structural problems that limit their accessibility. As long as documentation exists, one can virtually reconstruct the site in such a manner as to allow for experiential and interactive visitation of the building.

4 Preservation Concerns

The National Historic Preservation Act of 1966 gave the Secretary of the Interior the ability to identify and recognize structures of historical significance. This places the buildings on the National Register of Historic Places, as a means of preserving them for the future. The Criteria for Evaluation established by the National Register specify that a building must have historical significance in a number of categories and must be more than fifty years old. [NPS 1992] As more and more buildings are passing the fifty-year mark, there are understandably more petitions for listings. While many merit preservation, not all are restorable due to extenuating circumstances such as structural instability or lack of information. One example of this is the Benjamin Franklin house at 318 Market Street in Philadelphia, Pennsylvania. Much is known about the building from correspondence between Franklin and his wife as well as existing physical information, but there is not enough structural information to restore it accurately. Rather than create a flawed scenario, the building has been stripped to reveal the structure as it existed in 1787, with drawings depicting speculation. Using existing visualization techniques, it is possible to recreate the structure in layers, denoting what is fact and what is speculation. In this way, false information is not relayed to the public, and another layer of preservation strategy can be addressed. By allowing visitors to turn on exploratory layers interactively, education in the science of historic preservation can be explored.

Handicapped accessibility is also of great concern when visiting an existing location. Many historic structures, while compliant with the Americans with Disabilities Act Accessibility Guidelines (ADAAG), do not offer disabled patrons the same level of interactive experience as those who are not disabled. When compliance with the ADAAG would threaten or destroy the historic nature or significance of a structure, there are special provisions that then apply. At Independence Hall in Philadelphia, Pennsylvania, disabled visitors are unable to travel to the second floor, and are provided instead with books of photographs of the space. [NPS 2001] More interactive techniques are available through computer visualization, despite this being a compliant method of experiencing the site.

When reproducing a structure digitally, care must be taken to adhere to the Guidelines for Preservation as outlined by the Secretary of the Interior. One of the main concerns is that the reproduction must faithfully preserve the character of the original structure. [Ashton 1995] If this is accomplished, a digital reproduction can provide a rich environment for visual communication of the building's original intent. [Moore 1991] Also, according to the Guidelines for Reconstruction, [NPS 1992] buildings which never existed historically cannot be reconstructed; a digital interpretation could also solve this issue while avoiding ethical and historical concerns.

5 Process

As an independent study, students in the Digital Media department of the College of Media Arts and Design at Drexel University in Philadelphia were given the task of digitally recreating the James and Ann Whitall House in Red Bank, New Jersey. After an initial site visit, it was determined that the best way to proceed would be to use the 1934 drawings from the Historic American Buildings Survey (HABS) supplemented by site information gathered over the course of the project and a structure report generated by Watson and Henry Associates of Philadelphia. [1989] This included photographs of the existing conditions, historical texts by National Park Service staff, and video shot of recreations that take place on the site.

The modeling process began in the common room of the house, located on the southeastern side of the building, on the first floor. Due to the attention to detail given during the survey, moulding profiles, hardware details and materials could all be accurately represented. While the house has gone through many changes over the past 250 years, the decision was made to represent the house as it stood during the late 18th century rather than the current state.

The construction of the three-dimensional model was completed in discreet's 3ds max 5 software package by students in the Digital Media program. Care was taken to accurately transfer information from the HABS drawings to the digital model to ensure a truthful reproduction. In addition, existing furniture in the house was modeled to populate the space. Since drawings did not exist for any of the furnishings, photographic evidence was used in their reproduction. The furnishings are not original to the house, but are representative of common pieces from the correct period. Texture material was ascertained through records left either by the survey team and the structure report, or from photographic evidence of materials from the current state of the house. In an effort to structure the information that was being obtained, a Dublin core standards database was established to organize the collected material.

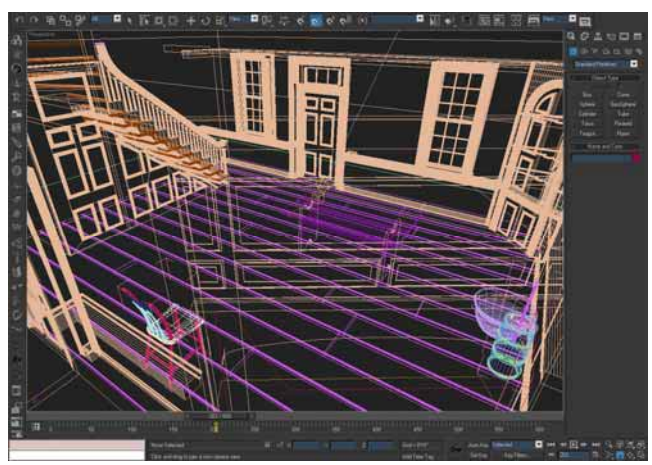

Figure 2: 3D model of Whitall house in discreet's 3ds max

In addition to traditional modeling, 3D scans were taken of small artifacts to better capture the fine detail. Many artifacts, however, were too large for the scanner or could not be taken offsite, limiting the ability to utilize this technology. Upon

completion of the model, initial global illumination renders were output utilizing Chaos Group's VRay render engine. However, after the inclusion of mental ray into 3ds max 6, all further renders were output using the latter. A global illumination solution was decided upon to most closely match the natural lighting conditions from the existing windows in the room. Global illumination calculations provide more accurate representations of color bleeding, soft shadows and ambient illumination for interior spaces than traditional computer illumination techniques. [Greenberg 1991]

Figure 3: Rendered output of the Whitall House common room, view to the south

Figure 4: Rendered output of the Whitall House common room, view to the east

While the digital recreation of the Whitall House allows for accurate representation of the structure, it does not permit the viewer to move through the space in real-time. After the high resolution model of the house was completed, an optimized, lower resolution version was then exported, allowing inclusion in gaming engines. The resulting mesh was optimized for the Havok physics engine and a real-time walkthrough of the first floor of the Whitall house was produced. In addition to the house, a colonial avatar was created to interact with elements such as stairs, walls and furnishings.

The Havok demo runs well as a standalone application, but lacks the ability to be widely and easily distributed. To enable this, the content was optimized and produced in two easily distributed formats, Shockwave3D and Kaydara's Filmbox for QuickTime. Neither of these formats held the quality of the Havok simulation, but were easily viewed on most computers as well as over the Internet. In addition to the interactive walkthrough capabilities of the Shockwave 3D format, Lingo enables the user to turn on and off elements of the model to view different layers. This holds the possibility of providing a user with speculative details about an historic structure, allowing one to view what is known along with what is perceived to be true, interactively switching between multiple scenarios. Using Kaydara's Motionbuilder 5.1 as an authoring tool for the FBX for Quicktime format, various preset cameras were enabled through the Camera Switcher. This allows the user to either interactively view the space or watch from a variety of preset fly-through possibilities.

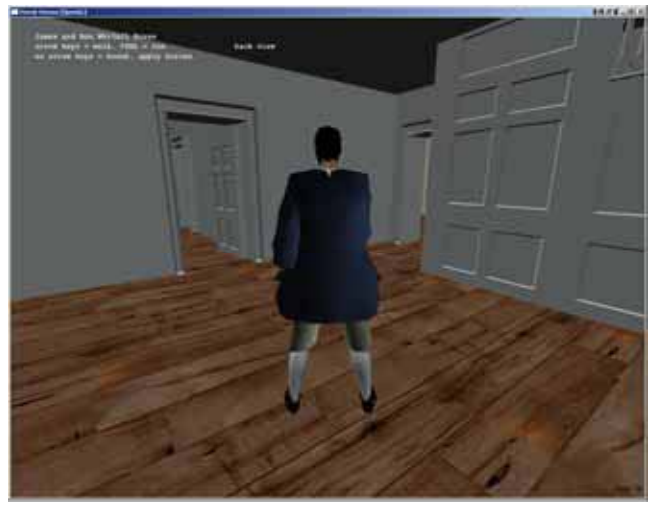

Figure 5: Havok runtime of the Whitall House first floor

Figure 6: Shockwave3D and FBX for Quicktime representations of the Whitall House common room

6 Future Work

Planned work for the future includes the completion of the Whitall House model and its environment. There are ten rooms in the house, as well as adjoining attic and basement spaces. Artifacts and furnishings will also be modeled, allowing the simulation participants to fully interact with not only the historical space, but also the historical artifacts. The three forts that exist in the vicinity provide data for the recreation of battles that took place during the Revolutionary War. Several aspects of the site, such as the use of chevaux-de-frise in naval battles, are unique to the area and could offer inimitable learning experiences through animated descriptions of their use. Further development needs to be done on methods of interaction is needs none of the current models completely fulfills the needs of the study.

The intent of the Whitall House project is to develop a prototype for a three dimensional learning experience based on the city of Philadelphia. Recent excavations of Independence Mall in Old City Philadelphia by the firm of Kise Straw and Kolodner have unearthed over one million artifacts and evidence of colonial neighborhood structures. These new findings, as well as existing material about the Franklin House and Independence National Historic Park, provide great possibilities for the expansion of the prototype into a full-scale Colonial Philadelphia project.

7 Conclusion

The possibilities of computer visualization as a means of historic preservation and education are far reaching. Continuing development in the field of artificial intelligence could lead to simulations where participants could interact with historical figures situated in an accurate environment. Museums with on-site interactive terminals could further enhance the significance of the space by positioning the visitor in a digitally reconstructed historical context. While these implementations involve movement of a person through a site, construction methods could also be documented through animation of methods and practice.

Acknowledgments

I would like to thank Glen Muschio, Program Director of the Digital Media Program at Drexel University, and Kathryn S. Dodson, Curator of the Whitall House Museum, for their aid in compiling the historical documents pertaining to the site. I would also like to thank Drexel students Adam Finger, Mike Sausa, Kristy Pron and Anna Kotelnikova for their work on preparing the digital assets.

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"ENGINEERING CONSENT:

WILL HAYS' PUBLIC RELATIONS PLAN"

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Abstract of paper:

ENGINEERING CONSENT: WILL HAYS' PUBLIC RELATIONS PLAN

Film censorship and the Hays Office are virtually synonymous terms to film historians and American studies scholars, but few students and scholars of public relations history would cite Hays Office namesake Will Hays as a pioneer in their field.

Yet a detailed examination of Hays Office "self regulation" practices and policies reveals Will Hays to be an adept and often-prescient innovator of public relations practices as they developed in 20th century America in response to then-prevailing "high brow - low brow" social and cultural beliefs.

After reviewing various public relations models, this paper proves Hays to be a public relations pioneer who eschewed press agentry and publicity, believing them to be responsible for many of the maladies from which the motion picture industry was suffering at the onset on his tenure. A firm believer in the use of public opinion to shape industry policy, he surpassed the expectations of the public information model and demonstrated mastery of two-way asymmetrical public relations. Although publicly espousing beliefs characteristic of the two-way symmetric model, his personal beliefs remained entrenched in the two-way asymmetrical mode.

His sometimes-intuitive mastery of these models enabled him to lead the motion picture industry for 23 years… through the excesses of the Roaring Twenties, the bank crises of the Great Depression, the isolationism and anti-semitism of pre-World War II America, and the uncertainty of World War II itself.

Public relations historians differ on when public relations emerged as a profession. Several writers cite the oft-maligned Ivy Lee as father of the practice while others insist that the distinction goes to Edward Bernays, who coined the term "public relations counsel" and taught the first course in the field. Few historians offer any recognition at all to Will Hays of the Motion Picture Producers and Distributors of America (MPPDA) for his pioneering application of many practices which have become public relations cornerstones.

Understanding Hays' prowess may require a review of public relations definitions and eras. The first consideration, that of definitions, cannot be a definitive review. Even before the field had a name, persons were engaged in public relations practices and charged with their success. In 1897, J. Harvey White was hired by William A. Gaston of the Boston Elevated Railway with "the general understanding that he was to experiment in regard to securing better relations between the company and the public" (Cutlip, 1995, p. 207). Public relations professors enjoy relating the findings of the late Dr. Rex F. Harlow, who collected and analyzed 472 definitions before arriving at one upon which the Public Relations Society of America (PRSA) would build its official statement issued in 1982. Harlow defined public relations as

> the distinctive management function which helps establish and maintain mutual lines of communication, understanding, acceptance and cooperation between an organization and its public; involves the management of problems or issues; helps management to keep informed on and responsive to public opinion; defines and emphasizes the responsibility of management to serve the public interest; helps management keep abreast of and effectively utilize change, serving as an early warning system to help anticipate trends; and uses research and sound and ethical communication as its principal tools. (as cited in Cutlip, Center & Broom, 1994, p. 4)

From this definition and the PRSA paper which developed from it, Cutlip et al. offered the following definition well known to public relations students for its comparative brevity and emphasis upon management-level status: "Public relations is the management function that

establishes and maintains mutually beneficial relationships between an organization and the publics on whom its success or failure depends" (1994, p. 6). In a 1995 history forming the capstone of his half-century career in public relations practice and scholarship, Cutlip anointed Tim Traverse Healy of Great Britain as having created the ideal definition of public relations as "aimed at producing a state of mutual understanding in which truth, dialogue, and public interest are paramount" (Cutlip, p. 763). Despite Cutlip's accolade, the definition has not enjoyed as wide an exposure in contemporary instruction and criticism as the one proffered by Cutlip et al. in 1982. The union of these definitions, however, provides an adequate late-twentieth century perspective for gauging the changes in attitudes regarding public relations as demonstrated by its early twentieth-century practitioners, including Will Hays.

The second area of background which this investigation requires of its readers is knowledge of Grunig and Hunt's four public relations models (1984), which approximate the historical development of the practice. They are press agentry/publicity, public information, two-way asymmetric, and two-way symmetric (p. 21). While none of these models can exist entirely independent of each other, they do compose a means of examining the primary characteristics of public relations practice as it evolved in the early and mid-twentieth century. The first model, press agentry, is characterized by its reliance upon "hype" and the desire to draw attention to its subject no matter the means. Truth was often a casualty in the pursuit of this objective. The second model, public information, emphasizes a one-way flow of information from an organization to its publics. The information provided is generally objective, but no conduit flows back to the source to permit evaluation of the impact of that information upon those who receive it. The hallmark of two-way asymmetrical public relations is an exchange of information, albeit unbalanced, which permits practitioners to gather information regarding audience and gauge

message impact. The predominant flow of information is outer-directed; that is, it emanates from the organization rather than from its publics. Its primary goal is persuasion. The fourth model, two-way symmetric, purports a balanced reciprocity between information disseminated and information received. Its practitioners fashion themselves as mediators between an organization and its various publics. Highly popular as a model in the 1980s, two-way symmetrical may be more the ideal than the actual, which likely remains two-way asymmetrical despite some scholarly protestation to the contrary.

With these contemporary definitions and models in mind then, it is easier to examine the practice of public relations in America in the twentieth century as it both influenced Will Hays and was influenced by him. Such an examination will reveal him to be a public relations pioneer who eschewed press agentry and publicity, believing them to be responsible for many of the maladies from which the motion picture industry was suffering at the onset on his tenure. A firm believer in the use of public opinion to shape industry policy, he surpassed the expectations of the public information model and demonstrated mastery of two-way asymmetrical public relations. Although publicly espousing beliefs characteristic of the two-way symmetric model, his personal beliefs remained entrenched in the two-way asymmetrical mode.

A key point to remember is that the American public was viewed as a monolithic entity in the early to mid-twentieth century. As such, the public was presumed to be a single mass; indeed, an early media effects theory known as "stimulus-response" (Blumer & Hauser, 1933) compared a message to a "magic bullet" or "hypodermic needle" which, upon entering the intended target, would produce predictable results. Appeals to this group, therefore, were primarily to the fulfillment of its basic needs and desires. When the era of press agentry began, it was a result of the social and economic changes wrought by the Industrial Revolution. Various authoritative

public relations histories (Cutlip, 1994, 1995; Raucher, 1968) cited the Industrial Revolution's mass production of nonessential items as one of the motivating forces behind individuals who hawked goods and services to an audience viewed, at the turn of the century, as an undifferentiated group of people who could be influenced by appeals to human instincts and needs.

Transporting these mass-produced goods was the challenge faced by a nation whose transportation infrastructure in the mid-to-late nineteenth century was dependent upon the railroad. It should come as no surprise then that the railroad—and the people who provided its owners advice—played a major role in the shaping of early twentieth-century public relations policy. When the federal government opened land in the West to settlers, the railroads provided the means to get there and hired press agents and publicists to attract business:

> The railroads' promotion of the Westward movement was but part of the rapidly expanding fields of press agentry, promotion and advertising that flowered in the 19th century. These fields, which often meld into one another, have the common purpose of attracting the public's attention for an entertainment or a product or a service. Consequently, they all run together in the public's mind. (Cutlip, 1995, p. 170)

A staple of contemporary promotion then and now was the use of "testimonials from unofficial spokesmen to praise the railroads with an air of objectivity and the use of settlers' personal success stories" (Cutlip, 1995, p. 153). But many of the practices used by these press agents and publicists were unscrupulous albeit part of the accepted method of doing business at that time, including "paying for favorable books and articles that would be published as supposedly independent analysis and scholarship" (Cutlip, 1995, p. 143) and the writing of anonymous, laudatory letters to the editor. The subterfuge was practiced at the highest levels of government (President Abraham Lincoln acknowledged his personal use of the anonymous letters trick) and also countenanced at the ownership level. William K. Ackerman, president of Illinois Central,

"straightforwardly argued that increasing public attacks made it necessary for the railroads to manufacture public opinion" (Cutlip, 1995, p. 143).

Public attack was warranted. No rate schedules were published; influential persons and corporations squeezed small independent contractors by striking deals with railroad management which heavily favored transportation of corporate products. As more uncomplimentary information came to light, the railroad industry turned to a number of former newspapermen to help alter its image.

Many former journalists were only too willing to move from the pursuit of truth to the manufacture of it. As early as 1906, the release of "tainted news" was recognized as "advanced far beyond the publicity of theatrical press agents" and "less crude than the outright purchase of editorial opinion." The new profession was regarded by many as the "bastard of journalism and commerce" (Raucher, 1968, p. 141). As Raucher pointed out, that judgment emanated more from a concern over loss of advertising dollars should free publicity be converted to news copy than from concern over the transgression of journalistic ethics. When advertising revenue did not drop, the attitude toward these former colleagues-turned-traitors became more an acceptance of the service they provided. As business became bigger and more complex, so did the job of news gathering; many editors viewed their former reporters as ancillary members of their publication staffs.

Among those men was one—Ivy Ledbetter Lee—who had advised John D. Rockefeller, Jr. of Standard Oil fame following the 1914 Colorado mine disaster known as the Ludlow Massacre. Lee would later counsel motion picture industry moguls Adolph Zukor, Jesse Lasky, and Cecil B. DeMille. In the process, he became a personal friend of Will Hays of the Motion

Picture Producers and Distributors Association (MPPDA) although not formal counsel to the MPPDA itself. Lee's biographer, Ray Hiebert, wrote:

> When Lee came into the film business he told his clients that the main difficulty with the motion picture publicity is that everybody in the business and the public likewise has a background of best-and-biggest-in-the-world advertising which has been extremely pernicious to the best interests of the business. No other industry has been so flagrant a sinner in this respect. [1] (1966, p. 192)

Hays, himself a holder of railroad stock, undoubtedly was familiar with the railroad industry's shortcomings from his years in Indiana state government followed by service in President Warren Harding's cabinet. And his fear of federal government intervention should the motion picture industry not learn to regulate itself was well founded: President Woodrow Wilson had brought the railroads under Army control in 1917 when the United States entered World War I. One of Hays' first directives, after accepting the MPPDA's employment invitation in 1922, was that studios "were to employ thoroughly competent public-relations people who would materially help in the crusade against sensationalism" (Moley, 1945, p. 53). What Hays advised was the hiring of public information personnel, such as Lee, who would provide a stream of one-way communication to newspapers and magazines. Hays then persuaded his media contacts to ignore free lancers pushing sensational stories and to deal with the experienced reporters in the MPPDA's Hollywood press offices (Moley, 1945, p. 59). An improvement from the "exposure at any cost" attitude exhibited by press agents and publicists, the use of these former journalists reflected a shift in practice from press agentry, Grunig and Hunt's first model of public relations,

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[1] One of the sources of Lee's unhappiness may have been the actions of his immediate predecessor with Zukor, a man named Harry Reichenbach, who, in order to advertise a painting exhibited in a Fifth Avenue store window, hired street children to "ogle" it, and then phoned the City's Society for Suppression of Vice to claim that the picture was corrupting the values of youth. Newspapers jumped on the story, the picture went on national tour, and the owners made a mint (Hiebert, 1966, p. 192). This was the type of sensationalism which set the stage for the 1933 Payne Fund Studies investigation of the effect of movies on the public.

to public information, the second model. Information was generally accurate, but it was almost always positive and did not seek response from the receiver. As such, it conformed to the one-way, sender-receiver communication model popular at the beginning of the century.

Although Hays liked to refer to himself as a mediator between the MPPDA and the public, his public relations practices were not two-way symmetrical. As they were based on persuasion, a major influence on his policies must have been the publication of Edward Bernays' first books, *Crystallizing Public Opinion* (1923) and *Propaganda* (1928).

Also a contemporary of Ivy Lee and Will Hays, Bernays capitalized on the then-popular notion of the mass audience as an entity which held one collective opinion and which could be moved to change that opinion through the bearing of forces which appealed to human psychology (Bernays, 1923). Bernays' uncle, Sigmund Freud, would later distance himself from that view as it characterized a mass audience in crisis or moment of action (a temporary crowd) rather than as individuals in ordinary circumstances, part of a stable group, who shared a collective opinion (Raucher, 1968, p. 133). But Bernays' view remained popular, particularly among psychologists who were critics of democracy; like Bernays, they shared an elitist view of the masses which encouraged more authoritarian interaction (Raucher, 1968, pp. 134-135).

Lee's writings reflect this agreement with Bernays; Hays' work did not, but perception and practice do not always go hand-in-hand. In 1920, Lee defined his responsibilities as "to determine in advance the effect of the written or spoken word or of a public act, [and] to devise the most effective means of stirring the public imagination to grasp the significance of the facts presented" (Raucher, 1968, p. 123). Raucher and others characterized Lee variously as a practitioner of the public information model or, at best, the two-way asymmetrical model. Cutlip's comprehensive history of the profession quoted Lee as saying, "Publicity in its ultimate

sense means the actual relationship of a company to the people, and that relationship involves far more than saying—it involves doing," to which Cutlip added, "These are the basic elements of today's mature public relations concept" (1994, p. 61).

Another definition of public relations which bears closer inspection for the light it casts on the profession's development is that proffered after Lee's but before the publication of Bernays' *Crystallizing Public Opinion* (1923). Raucher reported that two New York men, billing themselves as "public relations counsel," defined their responsibilities as "the art of interpreting ideas and the science of transmitting them so that the public would respond in a desired manner" (1968, p. 131). It has been said that Bernays once remarked that for Lee, public relations was an art, while for himself, it was a science. For Will Hays, public relations seemed to be a meld of the two approaches. In the Preface to his autobiography, he summarized his perception of the success of his efforts to manipulate public opinion:

> Perhaps the greatest lesson I have learned is that it is possible to change public opinion, to marshal it behind constructive projects like woman [sic] suffrage or clean movies. Two indispensable factors are a sound plan and a vigorous organization for winning the co-operation of right-thinking men and women. One of the surest, simplest policies is always to seek points of agreement, not points of difference. (1955, *v*)

He also interpreted the public to the motion picture industry in the same manner as did Lee the public to the railroad industry and to the Rockefellers. In so doing, both Hays and Lee were, at times, early practitioners of a two-way asymmetrical flow of communication, but their motivations appeared to be different.

Lee was an early advocate of corporate social responsibility. He espoused replacement of the "Protestant ethic" with that of the "social ethic" and the process of being "inner-directed" to being "other-directed." According to a 1929 article in *American Magazine* entitled, "How Big Men Think and Act," Lee believed, "The fierce struggle and individualism of earlier generations

had to be replaced with cooperation and organization...business had to change its policies of closed, individualistic, competitive capitalism to new programs of open, cooperative, and benevolent enterprise" (Hiebert, 1968, p. 10).[2] This "transformation of capitalism" (Raucher, 1968, *vii*), undoubtedly spurred by the Progressive movement against big business, enjoyed the same appearance in the public relations platform of Will Hays, but its roots reached deep into the fertile soil of profit. By publicly aligning himself with the people and "presenting himself to the critics as their man on the inside of Hollywood" (Couvares, 1992a, p. 589), Hays employed public relations policy as a means of protecting American democracy and averting federal censorship legislation to divert attention from the MPPDA's economic concerns, a less publicly palatable issue:

> For all industry parties, issues of oligopoly control and trade practice were much more important than censorship. But questions of censorship were of greater public interest and could also be resolved at less economic risk to the majors. These factors encouraged the MPPDA to displace disputes over the industry's distribution of profits into another arena quite literally, from the economic base to the ideological superstructure of movie content. (Maltby, 1993, p. 42)

Hays did not share Lee and Bernays' monolithic view of the American public—further evidence that he pioneered some contemporary public relations concepts. Early in his tenure with the MPPDA, even before his enactment of formal public relations policy, Hays rejected a "National Friend of the Movies" campaign. The Hays Office's biased biographer, Raymond Moley, explained: "[Hays] had not pursued a political career for twenty years without learning that 'the public' is neither an abstraction nor an unorganized mass of individuals" (1945, p. 133). His years in state and federal politics, including his tenure as Postmaster General, had taught him that the public was a pluralistic one, already segmented by race, religion, geography, politics,

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[2] The similarities between these sentiments and those of American, post-Reagan public relations practitioners who preach value- and relationship-based theory are striking.

fraternal organizations, education, etc. It was to the most influential of these segments that he would appeal for help in his campaign to improve the quality of movies by creating public demand and then motivating studios to fulfill it.

The Hays Office years were governed by a succession of hand-picked individuals who sat on public relations committees, which were to act as focus groups until their numbers made meaningful discussion pointless. The initial group, the Committee on Public Relations, included only three individuals: the heads of the Russell Sage Foundation, the Camp Fire Girls of America, and the Boy Scouts of America. All three organizations were devoted to the needs of youth and their entertainment, which is an interesting reflection on how Hays and the MPPDA viewed the industry's problem. Movie viewing was predominantly an activity of youth; older persons in the working class had little time to spend in recreational pursuits.

In the space of a few months, the committee expanded from 3 to 20 and then to 70 members, with Colonel Jason Joy of the American Red Cross appointed as its paid executive secretary by the head of the Russell Sage Foundation. Joy would later be named by Hays to head the MPPDA's first Department of Public Relations, whose activities Hays announced in 1925 in the following manner:

> Here in our Department of Public Relations is the Open Door of the Industry. The public individually or through organization is invited to come in, bring complaints, suggestions, plans and ideas. Inside the open door is a table. On the table are motion picture problems. The solution of the problems challenges the help of every well-wisher for better things... The organized industry sits in one chair. There is another chair right here for the organized moral forces of the country to occupy. Together we can continue the solution of the problems. Everyone is invited who has a constructive suggestion. The door will always be open.[3] (Moley, 1945, p. 138)

[3] It is, of course, interesting to note that Hays' metaphor included only two chairs!

Current public relations practitioners likely would interpret and applaud his 1925 decision to separate the responsibilities of the Department of Public Relations from the Department of Public Information as a statement that the mere one-way providing of information did not constitute a true management function. What they should find objectionable, however, is Hays' expressed purpose of using the public relations advisory group as a tool to create a demand for better pictures rather than as a means of assessing the movie-going public's tastes. His term for the process was "the organized development of public sentiment" (Hays, 1955, p. 351).

In his Foreword to the Hays Office chronicle, Moley stressed that an important difference between the MPPDA trade association and others was its desire not only to change its members' habits, but also to alter its customers' preferences. He termed this process "amend[ing] the law of supply and demand" (1945, pp. 6-7), a reference to the popular economic theory but also a confident statement that the Hays Office was capable of challenging and besting widely accepted doctrine.

At the MPPDA-sponsored National Conference on Motion Pictures held in New York City in September of 1929, Hays referenced his foray into "the improvement of relations between the public and the industry" and revealed its roots in the psychology and economics of its time. He cautioned that "the general public…could never be expected to take a steady diet of 'high brow' films" and quoted producer Sidney Kent as comparing box-office draws to the "crutches" supporting "Art." His comments reinforced the social elitism inherent in his public relations plan: Standards must be lowered in some films in order to entice the "low brow" general public into the theaters where their desires could be satisfied. These revenues would, in turn, support the production of "high brow" films, those for which he hoped he could develop a

public demand. In retrospective triumph, he commented, "We really gave a 'refresher course' to the whole public relations movement" (Hays, 1955, p. 408), evidence that he was aware of his innovations which, in later years, would be termed two-way asymmetric, Grunig and Hunt's third model.

Techniques for accomplishing 1929 "Open Door" goals included seeking and appointing a representative of organized women for membership on the committee which advised the Department of Public Relations, promoting the creation of children's matinees, and promoting religious education—all methods sure to win the approval of the "organized moral forces" invited to sit in the only other "chair" available in the room with an "Open Door." Ruth Inglis, in her 1947 report on the role of self-regulation in the film industry, claimed that this "open door" became a trap door for criticism because of the Hays Office's civility and efficiency in listening and then moving on to other matters.

The Depression years between the 1930 initial passage of the Production Code and its affirmations in 1933 and 1934 have often been cited as evidence of the inefficacy of the Code and its leadership. Again, economics played a major role. Suspicious of big business, particularly that in which salaries remained exorbitant while much of the viewing public stood in bread lines, movie patrons began to speak out against their source of entertainment. One of the prevalent media effects theories of the time—stimulus-response (also known as the magic bullet or hypodermic theory)—provided the foundation for the Payne Fund Studies, which could only support that negative attitudes of *some* at-risk people were adversely affected by the motion picture. Thus, the charge that motion pictures had powerful, direct effects upon the general public was disproved. But the study was misread as a condemnation of the entire range of motion pictures, giving impetus to demands for federal legislation which came from conservative

pressure groups such as the Federal Council of Churches of Christ in America (FCCCA) and the Legion of Decency. In an over-reaction to dissociate itself from the very status that public relations sought—management and policy-making—Hays directed that the Department of Public Relations be renamed the Community Service Department, at best, a semantic bandage applied to a gaping wound.

This apparent inability to address a significant and understandable social phenomenon—the displacement of fear of an economic abstract, the Depression, to fear of a known and oft-questioned transmitter of social inheritance, the motion picture—was further explicated:

> The important historiographical point is that between 1930 and 1934 movie content was the site of this public anxiety, this moral panic, rather than the cause of it. Hence Maltby's emphasis on the Code as an instrument of the MPPDA's public relations policy, a means of allaying the fears of groups and individuals who were not in fact the bulk of the consumers of films and for whom the adoption of the Code had a largely symbolic role. (Jacobs & Maltby, 1995, p. 2)

The MPPDA's reaffirmations of the Code in 1933 and 1934 were a desperate effort to assure the American public that the motion picture industry shared its values. Hays, who, by contract, retained veto power over a two-thirds majority vote of the MPPDA and was protected by a network of 50 contracts with its members, finally had the external pressure needed to put "teeth" into the MPPDA code.

In response to Depression conditions and the Legion of Decency's challenge to the industry, and in conjunction with the name change emphasizing community service, MPPDA public relations tactical efforts shifted from the trade press and general press to the community issues of the home and education. The accompanying strategy shift was one from demanding clean films to demanding quality films. With no separate marketing department, the office took responsibility for hiring telephone marketers to canvass major markets to recommend motion pictures for viewing; 10,000 families in Memphis were contacted in one campaign (Moley, 1945,

p. 146). Study materials were developed in conjunction with the National Council of Teachers of English (NCTE) in a prescient move to develop a market which would not be as dependent upon household income nor upon current titles and the expense of procuring rights to them. Filming of the "classics" constituted the basis for this campaign; production "stills" were displayed in school and public library showcases nationwide. Libraries were encouraged to track and announce the circulation of classic materials before and after the release of a screen adaptation. The move toward a more proactive public relations stance linking motion pictures to support of great literature was afoot.

Hays' efforts to cultivate an audience for the "classics" and thus shape cultural expectations of the motion picture was a forerunner to a communication theory emphasizing cumulative effects which was not popularized until almost half a century later: cultivation theory (Gerbner, Gross, Morgan, & Signorielli, 1980). For Gerbner et al., the medium was television; for Hays, the movies. Gerbner et al. have argued for a longitudinal approach to media studies rather than an emphasis upon "before and after" research. As a component of mass communication, public relations has benefited from a similar shift in paradigm; Hays certainly was among the first practitioners to steadfastly employ it. The anticipated outcome was the creation of a new generation of movie-goers whose tastes had been cultivated to preclude motion pictures of questionable merit. The ancillary economic benefit was the schools' need to rent or purchase equipment to screen the titles (Moley, 1945, p. 150).

The remaining years of Will Hays' tenure with the MPPDA were shaped by World War II and the United States' entry into it in December of 1941, following the bombing of Pearl Harbor. For months preceding this act of hostility, the motion picture industry was the target of an isolationist Congress. MPPDA public relations efforts centered on depiction of the industry as

a stalwart and loyal American industry. Only the tragically serendipitous timing of Pearl Harbor prevented Hays from appearing before the Senate in a special hearing. When the motion picture industry regrouped, via a meeting of the Committee of Six (three representatives from the New York office and three from its Hollywood counterpart), major changes to internal and external public relations policies were proposed.

Martin Quigley, editor-in-chief of *The Motion Picture Herald* and chief architect of the Production Code, announced the changes to the public in a February 14, 1942, article entitled, "Steps in the Big Industry Makeover." Primary among these steps was the creation of an industry spokesperson on each coast because "the old industry policy of making no official statements or anything controversial was considered detrimental to the industry's relations and position with press and public" (The Will Hays Papers, 30:0193). In the first major organizational shakeup in twenty years, the MPPDA's chief counsel, Charles Petitjohn, was released. Another member of the trade press, *Box Office*, in its issue of the same date, reported that increased visibility in the MPPDA's Washington, DC office was a key item in the reorganization, undoubtedly in response to the recent "close call" before the Senate.

Among the decisions announced were several which paralleled actions being taken by the military at the same time: long-range planning and management by objectives, both components of the systems research and management science fields developing in the early 1940s. Although not "pioneering" in the truest sense of the world, Hays' employment of these methods in MPPDA public relations work placed him on the cutting edge of organizational management theory. Included in these objectives were the following: an MPPDA publication detailing war activities and promoting the industry's accomplishments and goals, consideration of the establishment of an institute or foundation which might act as a "cultural front" for the industry

(the wording was later changed to "a cultural interpreter and herald"), and the intent to free General Hays, as he was called within the organization, from all tasks save "those involving matters of unusual moment" and of "the fixing of important policy" (The Will Hays Papers, 30:0217).

The latter objective is one which holds greatest import in a discussion of Will Hays and pioneering public relations efforts. Students of public relations will recognize, implicit in the intent expressed in the previous paragraph, the precursor of two staples of contemporary public relations practice: crisis management and issues management, respectively. Grunig defined them as follows:

> When conflicts occur, publics "make an issue" out of the problem. Organizations use the process of *issues management* to anticipate issues and resolve conflict before the public makes it an issue. Organizations that wait for issues to occur before managing their communication with strategic publics usually have crises on their hands and have to resort to short-term *crisis communication*. (1992, p. 13)

Both terms achieved popularity in the 1980s, but more attention has been paid in the popular press to the reactive mode of crisis communication than to the proactive stance of issues management. This is due in large part to the goals of each. By virtue of response to a crisis, some external publics must be involved in crisis management efforts. Issues management, however, seeks to divert attention from negative associations with the organization by averting a crisis. Emphasis is placed upon the longitudinal monitoring of several key issues which are likely to impact an organization, a practice termed "environmental scanning." While these issues are in their formative stages, prior to their codification through legislative and other regulatory measures, the organization seeks to shape the issues and the organization's response to them, which often involves modification of the system—the organization itself. In many respects, this process from contemporary systems theory mirrors Hays' efforts to employ self-regulation of

motion picture content to avoid federal intervention via censorship, the topic of the preceding chapter in this study.

Hays' crisis management abilities had been taxed to the limit by the hastily canceled Senate investigation of 1941. To avoid recurrence of similar angst, he would devote the remainder of his MPPDA tenure to issues management whenever feasible. The following incident demonstrates this thesis. A piece of personal correspondence to Hays in 1942 indicated that the industry was expected to assume a more prominent and responsible position in the war effort. The February 7 letter from a legal constituent in Terra Haute, Indiana, cautioned Hays:

> Press agents, film beauties, and stunts, however well staged, do not produce aeroplanes…The most needed thing, by way of education or propaganda, is the problem of improving the poor esteem in which England stands in the mind of the average American. *You just ought to hear* the man on the street and the common soldier…Besides getting me a job and running the movies, you can spend your spare time on a real task of public relations—the job of creating a true understanding and sympathy between the two great English-speaking nations. (The Will Hays Papers, 30:0198-0199)

Here indeed was a public relations challenge as would befit a State Department or other liaison of world power. It is true that, on many occasions, the motion picture industry had worked with the federal government in the securing of favorable foreign trade agreements as well as in the sharing of economic and political information. It is also true that the global market for motion pictures had long been a concern for the Hays Office and was the litmus test for whether a motion picture would pass Joseph Breen and the Production Code Administration. But to be a trade association in the early 1940s, not a contemporary Hill and Knowlton or transnational public relations firm of similar ilk, and be charged with the responsibility of improving the image of a foreign nation? Certainly public perception of the scope and power of MPPDA public relations capabilities had become skewed.

In early February, 1942, Hays received the annual state-of-the-industry report from Roy Norr, a partner of New York-based Ames and Norr, whose letterhead announced it to be a firm skilled in "advertising research and analysis of facts, figures, and trends in public relations." Norr addressed the prevailing mood head-on: "This report is submitted at a time when various factors in the industry protest much too much their need of and their love for public relations." Eight typewritten pages later, he summarized his position:

> The publicity [not public relations] deluge now urged upon the industry, through many separate campaigns, is just too, too colossal. It threatens a new kind of nepotism: the screen would be crawling with *public* relations…The public mind has been shocked by recent disasters…It is mere nonsense, however, to suppose that any amount of publicity now will [effect changes in impending labor relations negotiations, Department of Justice investigations, or economic disagreements with exhibitors]. (The Will Hays Papers, 30:0396)

Offering sage counsel, he advised the MPPDA to turn its attention to matters of internal public relations. Referencing recent publicity regarding booming box office receipts, he advised Hays to "restore the several pay cuts suffered by employees of the Association," pay cuts not shared by the upper levels of MPPDA hierarchy, and closed his report with the comment, "Maybe public relations, like charity, should begin at home."

Whether Norr's specific remarks fell on receptive ears has yet to be established. The internal restructuring of the Hays Office was occupying all of Hays' time; he was inundated with position papers and proposed policy changes from his many industry advisers. His MPPDA vice-president and general counsel, Charles Coe, took up the war metaphor and drafted remarks to the industry which could be entitled, "Times have changed" for their use of that expression as a transitional and unifying device. "Like the rest of the world," he explained, "we have had our 'Pearl Harbor' and, whether it was justified or not, we must start from there…Organized forces

of opposition to the Association are quite frankly capitalizing 'Pearl Harbor' " (The Will Hays Papers, 30:0987).

Continuing the metaphor of doing battle, he appealed to a sense of fraternity among factions within the Hays Office itself, delivered a call to arms, and suggested "raising the flag…and raising hell under it." His summary remarks, once again introduced by the statement "Times have changed," signaled a major shift in Hays Office thinking:

> They [the times] have changed so much that the motion picture industry must change with them. I think under this changed order our industry public relations call for anything but appeasement. On the contrary, there appears to be indicated an aggressive presentation of our merit: The size of our business and the immense responsibility it bears. Abhor as we might the sexual whimsicalities of a sixteen year old [sic] girl, or the lecheries of a sixty year old [sic] moron, we cannot longer regard these as infirmities of a two and a half billion dollar [sic] art-industry. There is too much about our business to be proud of, and too little to be ashamed of, any longer to hide our light under a bushel and tremble and quake when a soft-treading reformer or a slant-eyed racketeer decides to profit at our expense. (The Will Hays Papers, 30:0995)

The remaining three years in which the Hays Office was run by the "General" indicate that Coe's advice provided the Office new direction. Rather than concentrating public relations efforts upon appeasement of its challengers, the Hays Office chose to reinforce its ties with allies, seeming to follow the two-step flow of communication postulated by Lazarsfeld in 1940. That theory preaches the crystallization of opinion through reinforcement of existing beliefs by personal or mediated contact with opinion leaders. As such, it represents a shift in communications research to limited effects rather than powerful effects theories and a significant modification of Hays' public relations endeavors.

Public relations historian Marvin Olasky was harsh in his condemnation of Will Hays and the success of the Hays Office. Much of his criticism was targeted toward the years 1930–1934, the time period including the adoption of the Production Code, the advent of the Legion of

Decency, and the establishment of the Production Code Administration, headed by Joseph Breen, whom Olasky termed, "the czar in reality that Hays was only by popular phrase-making" (Olasky, 1987, p. 65). Conversely, Cutlip's 1995 comprehensive public relations history does not mention Will Hays at all, yet Hays spent 23 years at the helm of one of America's largest and most visible of public relations organizations—the Hays Office.[4]

How would Hays fare, not just with historians, but with today's public relations practitioners and theorists? If public relations is, as Tim Traverse Healy of Great Britain termed it, "aimed at producing a state of mutual understanding in which truth, dialogue, and public interest are paramount" (Cutlip, 1995, p. 763), then Hays is one for three. While no evidence has surfaced in this research that he lied to a public, he clearly was not interested in dialogue, despite his claims to an "Open Door" policy, nor did he seem to place the public interest above that of the economic condition of the MPPDA.

However, if Cutlip's "real" definitions were to be applied to Hays' tenure, then Hays would fare much better in that historian's assessment. As one who had spent 56 years in the profession and the education of its members, Cutlip defined the role of a public relations practitioner as an advisor and advocate, "not a dedicated purveyor of truth to serve the public interest" (1994, p. 763). After extensive discussion of Grunig and Hunt's models, Cutlip added, "These models aside, the main thrust of today's public relations work is to set the public agenda through the dissemination of news or information through the multiplying channels of communication and entertainment" (1994, p. 765). Certainly Hays was accomplished at this.

Conversely, using the social-political-economic (SPE) model of public relations (Culbertson, Jeffers, Stone, & Terrell, 1993), once again Hays' performance would fall short of

[4] Cutlip did devote some attention to Martin Quigley, Production Code co-author and *Motion Picture Herald* editor-in-chief, who became public information officer of the Ford Foundation in 1951.

expectations. This approach, first presented in a paper to the public relations division of the Association of Educators in Journalism in 1989, suggested Grunig and Hunt's symmetrical approach:

> One must learn public viewpoints and needs and adjust client behavior and approaches to these. One cannot simply seek to bring the public around, through persuasion, to the client's own set of preferences, intentions, or points of view.
>
> Doing research to clarify the public's needs as it defines them, not as it should define them in order to best serve the client organization. (1984, pp. 37-41)

Yet Cutlip explained, "The social-political-economic environment defines the need and the purpose of the public relations function and shapes public reception and interpretation of an organization's deed and deeds" (1994, p. 762), which reflects an asymmetrical orientation in which the organization monitors its environment but does not necessarily adjust to that environment's expectations. Hays remained convinced, in the fashion of Edward Bernays, that he could shape perception if given enough time to work his persuasion. He offered little, if any, credit for the transformation to the social, political, and economic forces which surrounded him, although they most certainly were of greater import than his contributions.

As current practitioners work with corporations and agencies to help companies make the transition to an Information Society, theories such as the SPE model are attractive because they take issues management to a broader plane. Emphasis is less inner-directed ("How can the corporation change to prevent or defer or redirect this perceived threat?) than it is "other-directed" ("How can the corporation help its employees and customers adjust to these changes?").

In many respects, the shift in paradigms reflects a public relations industry shift from the masculine emphasis on control to the feminine emphasis on cooperative relationships. Grunig cited a shift in gender balance in the industry from a heavy male majority to that of a female

majority (1992, p. 50) and predicted a move toward excellence because of the accompanying shifts in values. A scanning of the table of contents of recent industry journals supports Grunig's assertion as the majority of the articles have female authors. Journals devote entire issues to topics which, in previous eras, would have seemed more *apropos* of early women's studies programs rather than Fortune 500 public relations discussions.[5]

How would Will Hays and his leadership in the MPPDA fare if viewed through this gender-based paradigm? One would assume that his near-exclusion of females from the Hays Office hierarchy, save in token positions such as representing the Greater Federation of Women's Clubs, would not earn many points with today's managers, male or female. One might also assume that, had women been integrated into Production Code Administration, the Hays Office would have spent less time in protecting the sanctity of the marriage bed and more in eliminating the violence which roared through the gangster films of Depression years. And, in viewing internal communications, one might expect less battle imagery and more references to liaison building.

Many public relations historians seem to view their study as analogous to holding a mirror to practices which reflect social conditions. While it is true that public relations practices reveal cultural assumptions contemporary to their implementation, observers would understand the nature of cultural reflection better if considering the viewing mechanism to be that of a prism rather than of a mirror. While a mirror does provide varying vantage points depending upon one's distance and line of sight, it nonetheless maintains one plane of vision. A prism, on the

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[5] Whether current public relations theorists have investigated the link between the Asian worldview of spirals and contemporary practice v. the Western world's emphasis upon linear progression was not discovered in the review of literature for this study. As society and business become more transnational, might it be possible that American business practices are willing to learn new worldviews from their Asian and Pacific Rim counterparts?

other hand, catches light and refracts it through different planes before reflecting it. The reflection constantly changes as the prism swirls or spins or simply sways gently. By analogy, whether a world view is drastically altered through chaos, markedly influenced by other forces, or simply adjusted in light of new knowledge, it is nonetheless a view in flux—a view such as one would see through the prism of history.

Thus, the history of the Hays Office reflects much of the history of American public relations in the twentieth century, including press agentry, public information based upon the Ivy Lee model, and two-way asymmetrical relationships based on the Bernays model. Like Lee, Hays was able to guide his organization by public emphasis upon its social responsibility. Unlike Lee, Hays chose to educate the public rather than attempt to understand it and respond to it. Little evidence exists that during his tenure, the years 1922–1945, any major strides were made toward achieving two-way symmetrical communication, in which the public relations practitioner mediates the relationships of an organization and its publics by conveying the needs of one to the other, recommending change, and reciprocating.

To his credit, the prism of history enables one to see Hays' use of strategic planning and issues management as major components of his public relations program by positioning federal censorship as a threat to American democracy. His use of the Open Door policy and invitation to influential groups to participate in focus groups, his mastery of networking, and his identification and cultivation of key communicators preceded by decades similar developments in formal social-science research methodology. But for all his strengths as an industry liaison, he remained entrenched in the Bernaysian belief that he could change public opinion on the macro level.

For public relations historians, the vantage point offered by the passage of 50 or more years is certainly a different one than was available to the power structure of a nation newly

coping with the aftermath of the Industrial Revolution, women's suffrage, Prohibition, two World Wars, and the host of social, political, and economic factors which accompanied them. When viewed through the prism of history, the Hays Office remains a fascinating study of biases contained within one medium's public relations efforts.

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Title: Transition: the Acculturation of Middle Eastern Jews in Italy

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Abstract:

My study focuses on how the postwar Italian Jewish community received Jewish immigrants from the Middle East and how those immigrants adapted to the Italian Jewish milieu. I plan to analyze the process of acculturation, dealing with economic activities, marriages and intermarriages. My study should not only provide an historical account of postwar Jewish immigration and acculturation in Italy, but also contribute to our understanding of the migration, integration, and acculturation of minority groups.

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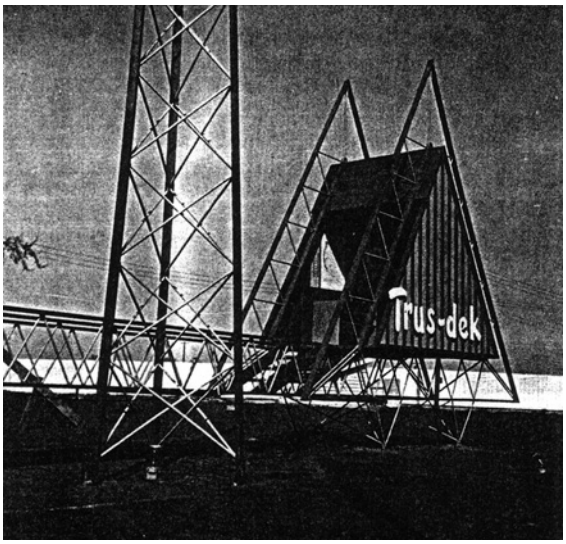

Trus Dek Corp.'s pavilion made of truss joists for the 1962 Idaho State Fair.

Poetic Engineering and Invention: Arthur Troutner, Architect, and the Development of Engineered Lumber

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ABSTRACT

The declining supply of timber available for production of lumber has elicited much debate about the use of wood in architecture. Fifty years ago, **Arthur Troutner**, an architect, was already thinking about how wood could be combined with other materials to improve its strength and sustain its supply. He is arguably the most important single figure in the history of the development of wood technology for architecture. He began a series of inventions of products and machines that led to the development of most of what we now know of as "engineered lumber", and he founded the Trus Joist Corporation. His work forever changed the way wood is thought of as a structural building material and the way the forest is thought of as a resource. Before Troutner's inventions, trees were seen as sources of logs to be sawn into lumber. After Troutner's inventions the understanding of wood as a resource changed. It is now understood trees and other plants as sources of *fiber* which can be combined with a variety of materials to produce structural elements of great strength and efficiency. The wood products industry has begun to respond to this change in paradigm which could have broad implications for the natural environment.

Troutner was also the Architect of numerous buildings in the West. He built public buildings such as the Boise Little Theater and designed the 400 foot span (engineered wood) roof of the Kibbie Dome at the University of Idaho. He also designed and built numerous innovative experimental houses to demonstrate creative uses of his invented wood technologies. He held over 50 patents for his many composite wood products, their fabrication machines, a solar mirror boiler, a wind generator, wood fiber transmission towers, and many other natural resource conserving inventions.

Troutner's values about natural resources and unique attitude about his inventive work resulted from a combination of experience and cultural influences. Growing up in a remote place with scarce resources, experience in the innovative wartime aircraft industry, education in architecture and a deep appreciation for nature and the landscape of the American west all played a role in shaping his mind.

This paper is an excerpt/synopsis of a book being written by the author documenting the life and work of Troutner. The research methodology for this has consisted of interviews with the participants, review of historical documents, and study of other research. Selected examples of Troutner's inventions and buildings are illustrated and analyzed. Contemporary examples of buildings and architecture are illustrated and examined to analyze changes in design and construction methods and attitudes about craft resulting from the use of engineered lumber. Finally Troutner's imaginative, fearless, out-of the-box approach to material invention is compared with the standard risk-averse bureaucratic corporate practices of most research and development suggesting that a crucial aspect of inovation is attitude.

Public presentation of this paper utilizes slides and computer simulations.

Topic Area(s): Architecture, American Studies

Urban Infill Development Over Freeways: The City vs. The Road

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Abstract:
This paper presents a brief introduction to types and examples, historic and current, proposed and built, of efforts to reclaim land from freeways for urban design and urban reconnection. We present examples of freeway mitigation/urban design plans that we have developed over the last few years as design research and we suggest some key factors that should be considered as part of a method of identifying and assessing potential opportunities for this work. This is a progress report of on-going research.

Opportunities for Infill Development Over Freeways
Compact urban form, higher densities, closer proximities, pedestrian and transit oriented communities, are widely considered green principles and alternatives to sprawl in the discourse of urban design. But availability of urban land in quantities sufficient for significantly large infill developments is limited even in "low density" cities.

The construction of the interstate freeway system left many cities with freeways in important locations. Important because they provided large-scale regional connectivity at key central points but severed the urban fabric and separated and isolated urban neighborhoods from each other. Freeways occupy a large amount of urban land in these locations. Covering them presents the opportunity for significant and strategic central urban infill development and repair. But implementation of such infill development is challenging and requires many shades of multidisciplinary green thinking.

Urban infill development through reclamation of the right of way airspace over freeways can accomplish several "green" agendas at once:
1. Re-connect urban fabric that was severed by freeway construction for pedestrians, bikes, etc.
2. Provide large amounts of strategically located desirable developable "land" (airspace) in the centers of cities for higher density housing, mixed-use development, and public open space.
3. Mitigate negative impacts of freeways: noise, air and water pollution, views, etc for adjacent communities.
4. Pay for themselves and improve the quality of life for urban dwellers.

This kind of urban infill development requires constructing a structure above a new or existing roadway,
(or rail line, water body or other transportation system) that can support a variety of uses.
This is a very old concept. Communities have been building over roadways, railways, and water bodies for centuries, mostly as an effort to maintain or reconnect neighborhoods that would otherwise be cut off from each other or from a major civic resource or geographic amenity. Successful decking efforts are diverse in scope and widespread in location. Exemplary projects exist in notable locations like New York City and the Capital Mall in Washington, D.C. Very large projects exist in places like Seattle and of course Boston. Smaller projects exist in places like Monterey, California and Duluth, Minnesota. There are projects throughout the world, old and new, in places such as Barcelona, Spain, Sydney, Australia and Florence, Italy. The uses developed in these reclaimed urban spaces range from passive parks to active sports, shopping malls and convention centers and from small-scale residential housing to high-rise housing or office complexes.

Initial studies suggest promising freeway lid deck opportunities at over 200 feasible and very beneficial sites in the United States. Our on-going research has focused on development of a methodology for determining the feasibility of implementing freeway lid projects.

Topography
Old roads were subject to topography. The interstate freeways subjugated the topography including cities. Mountains were cut, valleys filled, rivers crossed, and cities divided. The topographic relationship between the freeway and the adjacent land is the most important physical factor affecting the feasibility of implementing a freeway lid deck project. At any given point or for any

given length, freeways in a city are either on grade, above grade or below grade. The least expensive freeway deck is one that covers a freeway that is already in an excavated "trench." Below grade freeways were usually constructed to keep roadway slopes from becoming too steep while cutting through hills and/or to allow cross streets and roadways to pass over. Where a freeway was originally constructed below grade in a city to allow several streets to pass over, a lid can "finish the job" of covering it. Obviously this is easiest if the below grade freeway is deep enough to simply be covered without additional excavation as was the case with the lid decks over I-5 in Seattle which support the Washington State Convention and Trade Center and "Freeway Park". The depressed portion of I-405 in Portland presents an excellent opportunity for this kind of project to be completed.

The minimum required vertical clearance for freeways varies somewhat throughout the nation but it is generally 15'-18' above the roadway surface. 20-25' clearance is required between the roadway surface and the bottom of the structure supporting a lid deck. This is necessary to allow lighting, signage, ventilation and other equipment to be installed and still maintain the minimum height clearance for traffic.

"Cut and cover" is the common approach used for depressing freeways under lid decks. Obviously this is easiest for freeways that are at grade or just slightly below grade. But this approach was also used most famously for depressing portions of the elevated central artery freeway in Boston.
When the grade is higher on one side of the freeway and lower on the other, a grade transition lid deck can be employed such as at Freeway Park in Seattle or at Riverfront Plaza in Hartford Connecticut where a descending freeway lid deck was constructed to connect the downtown to the Connecticut River.

Fig. 1: Lid decks have been proposed for I-405 trench in Portland that separates downtown from hillside neighborhoods. (USGS)

Fig. 2: The Washington State Convention and Trade Center and Freeway Park cover a depressed portion of I-5 in Seattle. (Photo by J.Reich)

Other Infrastructure
One of the many reasons that Boston's Central Artery Tunnel project was so expensive was the presence of other infrastructure. The "Big Dig" project had to weave a complex course over, under, and around city utility systems, the subway, bridges, ship channels, the Boston Harbor, and its own continuously operating freeway itself. A more complex setting could hardly be imagined. Obviously the fewer existing urban infrastructure and utility systems that are in the way the more feasible any lid deck project will be.

Geography, urban morphology, adjacent land use, and development potential
Construction of freeways has severed urban communities from each other and from natural geographic amenity features such as waterfronts. A principle reason for building a lid deck over a freeway is re-connection. The layout of the city, density of development and land-use of adjacent areas to be re-connected are important. What

is being reconnected determines success. A freeway that cuts through the middle of a town is a more likely candidate for a lid deck than one on the edge of a town. Freeway right of ways often include landscaped shoulder embankments and median strips. Together with the driving lanes this adds up to a substantial area of land, about 45 acres per mile of interstate and from 50 to 150 acres per interchange. (For example a freeway alignment traversing Vancouver BC on the route of Highway 99 would eat up about 200 acres or about 15% of the land downtown just to cross downtown.)

But what gets built on top of the lid deck is also very important. The area created by the lid deck may remain in the public realm or private development may be facilitated.

Therefore as in all matters of land development strategic location, strategic amount, and strategic use are all crucial. Freeway lid decks that have re-connected cities to their waterfronts, usually with new public open space, have proven to be very successful. Examples of this include Hartford, Duluth and Monterey.

Decking over the 4th Avenue rail lines to create Park Avenue in dense Manhattan and decking over the Papago freeway in sprawling largely single-family Phoenix were very different projects. In Manhattan the priority was covering the rail lines for the benefit of the adjacent densely populated housing. A side benefit was the creation of a more open, now famous public boulevard.

Construction of a new section of freeway in Phoenix allowed access to funds appropriated for "mitigation" of the freeway's impact even though relatively few people were directly affected. Instead the whole city was more generally affected by the creation the 29 acre Deck Park which is the city's second-largest downtown park and

Fig. 3: One proposal for covering the I-70/I-71 freeway to connect Columbus Ohio with its neighborhoods would provide new public open "green" space and mixed-use housing. (Image by Mid-Ohio Regional Planning Commission)

Fig. 4: One preliminary idea for Sacramento's lid over I-5 includes "Vancouver style" housing towers. (Image courtesy of "Bridging I-5 Project")

now considered the heart of Phoenix's downtown cultural center. It helped catalyze revitalization of the surrounding downtown area, including the construction of a new library, new market rate and affordable housing projects, and the expansion or renovation of nearly all the area's museums.

Columbus Ohio's traditional downtown core on the banks of the Scioto River is surrounded on the other three sides by freeways which hinder easy connection with the otherwise nearby residential neighborhoods. Freeway lid decks are proposed for Columbus that would provide both a more pedestrian friendly open space connection and new privately developable sites for infill mixed-use buildings.

Sacramento's current plan for capping Interstate 5 and re-connecting its downtown to its namesake river envisions three uses: public open space (streets, plazas and parks), public buildings, and privately developed mixed-use housing. This kind of combination of uses seems to be the most promising as it represents more stakeholders and more sources of funding.

Sound

A freeway is a noisy, dirty and polluting neighbor to have. The typical freeway produces a noise level of about 70 decibels at a distance of 50 feet, just a little quieter than a typical hairdryer, and well above Federal standards for continuous noise exposure. Traffic noise is the number one noise complaint of people in cities. Most freeway noise is roadway noise (as opposed to engine noise) so development and widespread use of hybrid or quieter engines will not eliminate it. There are pavements that are quieter but they only reduce the noise slightly. Freeway sound walls are costly and sometimes simply reflect the noise into other neighborhoods. A lid

deck virtually eliminates freeway traffic noise and completely transforms the general livability of adjacent neighborhoods. Much political support for a lid deck project can be gained from people wanting traffic noise reduction.

Air
Air pollution from freeways is very dangerous both locally and globally.
Exhaust fumes produced by vehicles as they travel under a lid deck can be collected into ventilation stacks, filtered and cleaned using electrostatic air cleaners or catalytic air cleaners. This would result in cleaner air. Such air cleaning is costly and is just now beginning to be included in lid deck projects. Changes in vehicle fuel technology over the life of a lid deck may yet make such air cleaning unnecessary.

Water
The amount of storm water drainage and runoff from freeway areas is significant and most freeways have not been designed to mitigate the problems of peak flooding and polluted runoff. These issues are most vivid in cities that may already be dealing with runoff problems. Freeway lid decks present the opportunity to comprehensively design improved storm water management (and rainwater harvesting where needed) into a large area at once.

Construction materials & methods
The logistics of construction of freeway lid decks are affected by the availability of staging area around the project and by the necessity for the freeway to remain open while under construction. Careful traffic planning and management during the long construction period are important. The inevitably disruptive impacts that a lid deck construction project will have on neighboring businesses and residents need to be mitigated. About one third of the $14 billion cost of Boston's Big Dig project was for mitigation of construction period impacts.

The lid deck structure should be designed for maximum potential weight for flexibility in what can be put on top. This eliminates the need to add or re-do supports/ reinforcements later. Multi story buildings and up to 5' soil depths are common on these projects.

Cost & Funding
Freeway lid decks are expensive and assuming they are physically possibly their feasibility is principally a function of cost. But cost is relative to value and value can be measured in different ways. Almost all of the lid decks we surveyed have proven to be considered successful and worthwhile in spite of their cost.
For example Riverfront Plaza in downtown Hartford spans I-91 to reunite downtown Hartford with the river. The site includes a permanent high tech canopy over a stage with lawn amphitheater seating for 2,000 people and a boat dock for large ships and excursion boats. The Plaza is equipped with two elevators for handicapped access. This relatively small lid project of all public space completed in 2000 cost $24.6 million. It has generated about $16 million in direct user revenues (by 2004) and claims to have catalyzed more than $1 billion worth of development projects, including housing on sites within walking distance.

Developing a freeway lid deck requires funding from several sources each with their own funding criteria. The larger lid deck projects have been accomplished in conjunction with freeway construction or reconstruction projects using Federal Highway Administration (FHWA) Transportation Equity Act (TEA) funding from the U.S. Department of Transportation (USDOT). This is because of the federal legal requirement that the cost of mitigation of the impacts of freeway construction be included in a new freeway project. (This crucial and seemingly obvious rationale is actually fairly new and contentiously subject to pork barrel politics and differing basic values. The concept of environmental impact has only relatively recently begun to include community and social impacts.) Some have raised the question of whether the Federal government should make funding available through a "reparations" program to fix past damage done to urban communities by past freeway construction.

Additional sources of federal funding for projects have included HUD for the housing and community

Fig. 5: The square ventilation stacks indicate where the 12 lane I-90 freeway would be clearly visible if not for the half-mile long lid. This project includes active and passive open space park, a public elementary school, and infill housing. (Photo by J.Reich)

development aspects of lid decks, the Department of the Interior for open land and recreational area development, and the Environmental Protection Agency for projects that may include clean up of the environment.

Other sources of public funding have included state transportation departments, regional planning agencies, and county and city general funds. Taxes and fees have also been assessed to support lid deck projects including added parcel taxes, state gasoline tax, and water fees (where the project related to preservation of a clean water supply).

Lid decks create developable space and they can produce overall economic development for a community and even income over time. Local property values need to be high enough to make it worthwhile to create what is essentially new developable space. Freeway lid decks produce a saleable commodity in the form of "air rights" which are simply the right to occupy or use the air space above a specific property. Depending on the location this space may be even more valuable than the surrounding land. Land in Manhattan is of course very valuable. Land in Phoenix is also very valuable if it is in the right location.

Land adjacent to a lid deck will be worth more than land adjacent to a freeway. More valuable land will generate more property tax revenue depending on its use (commercial, residential, etc.). Assessing the impact of this ripple effect is one of the major questions remaining for our research.

We assume that uses accommodated on lid decks would cover their own normal operations and maintenance costs. Public spaces (parks plazas and streets) would be maintained by the city as usual and private spaces would be operated and maintained as part of normal business expense. Funds for operating and maintenance of a lid deck itself need to be combined from a variety of sources. These sources include usual state transportation department operations budgets (funded indirectly by taxes paid on the "new" space), income generated from portions of the land for commercial or multi-family residential use, rental or other fee types for playing fields, tennis courts, skateboard park, etc. It may be possible to develop agreements with utility companies for power and maintenance of the tunnels ventilation systems in exchange for clean air credits.

San Luis Obispo Case Study Project

We have proposed a two-mile long freeway lid over Highway 101 in San Luis Obispo California. The construction of the 101 freeway severed the city in two.

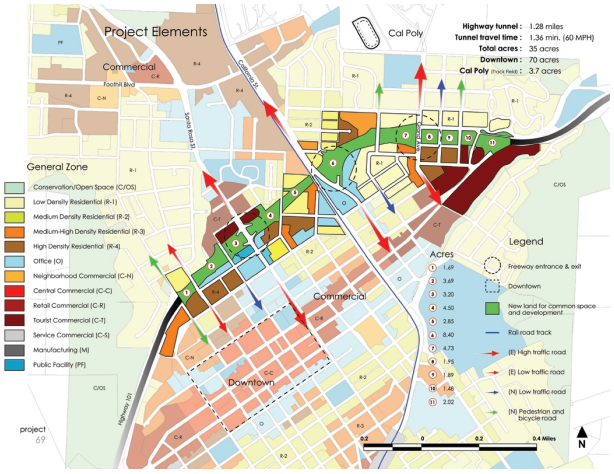

Fig. 6: Analysis of proposed freeway lid deck over 101 in San Luis Obispo, California (By Duk Chang (w/JReich)).

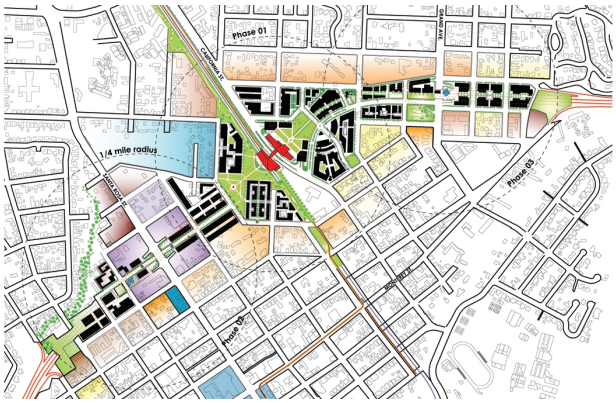

Fig. 7: Urban design of proposed 101 lid in San Luis Obispo could provide a substantial amount of strategically located mixed-use multi-family housing and public green space (by Duk Chang (w/JReich)).

Our research suggests that San Luis Obispo is an excellent site for such a project. There is a growing population and severe housing availability/affordability crisis. Sprawling development of the surrounding agricultural and open land has been resisted and has tended to produce only very high end housing anyway. Most of the freeway is already depressed (though some cut and cover would still be required). The length we have considered is relatively unencumbered with other infrastructure. 101 has sloped embankments and a small median strip so there is sufficient space for construction staging. Covering 101 would re-connect torn urban fabric (including bicycle and pedestrian access) and provide San Luis Obispo with the most strategically located re-developable land in the city. The lid project would produce 35 acres of land (air rights) and directly affect another 100+ adjacent acres. (For comparison, SLO's downtown core is about 70 acres.) Ultimately 2000+/- housing units could be developed between and

Fig. 8: Proposal for a green landscaped, mixed-use, multi-family boulevard which could be developed on and adjacent to a 101 lid and which could become a new kind of neighborhood for San Luis Obispo. (Photo by J.Reich)

within walking distance of the two principle centers of the city which are Cal Poly State University and downtown. Land values are extremely high which could encourage private investment. And of course the town would be quieter and the air would be cleaner.

Conclusions

The places we make and the places we preserve are the best evidence of our socio/cultural values. In 1956, as a response to the desire for economic growth, modeled on the modern efficiency of the German autobahn system, and justified by the cold war, the U.S. began constructing the largest continuous single-use structure in the world. The freeway system was designed with incredible efficiency for its own purpose and with little regard for the natural or urban environments it traversed. This reflected the socio cultural emphasis on movement over rooted ness, on economic growth over cultural development or natural preservation, and on the suburbs over the city.

Passage of the National Environmental Policy Act (NEPA) in 1969 triggered the well-known environmental impact assessment process. Scientifically quantifiable impacts on the (primarily) natural environment began to be addressed (though it has always been a battle). But the transportation planning and NEPA, processes never adequately addressed urban community, neighborhood, social and "people" impacts. Transportation planners and project managers repeatedly claim that these types of impacts are qualitative and that methodologies do not exist to address them, (even though laws and requirements to address social, economic, and environmental impacts during transportation planning, project development, and decision making have been around for 30 years). The impacts of transportation investments on urban communities, neighborhoods, and people have usually only been introduced late in the process, prompted by controversy, complaints, or lawsuits. It wasn't until 1996 that FHWA initiated efforts to re-educate transportation professionals and enhance their expertise on how to address these issues by publishing a primer called "Community Impact Assessment" on how to assess the impacts of a freeway on urban communities.

Freeways have separated as much as they have connected. Covering them in strategic locations can mitigate this impact. In rural areas "naturally" landscaped lid decks known as "critter crossings" have been constructed to reconnect severed wildlife migration routes and connect wilderness areas. In cities, where there is a necessity for proximity, and for the efficiency of multi-use space, the urban design value of lid decks is beginning to be realized.

The complexity inherent in creating usable urban space above transportation corridors in cities requires cross-disciplinary holistic thinking and coordination. These projects raise questions of transportation infrastructure, urban planning, urban design, landscape urbanism, funding mechanisms, land values and revenues, as well as a host of legal, political, cultural and natural resource issues. But the desired result is too important to be left to transportation planners, engineers, policy wonks and other specialists. The urgent community based demands for freeway mitigation to result in quality urban space outcomes suggest that leadership by generalists such as architects, urban designers, landscape urbanists, capable of managing interdisciplinary teams of specialists is necessary.

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Fig. 9: A "naturally" landscaped wildlife crossing (aka land bridge, "eco-duct" or "green bridge") in Switzerland. (Photo by Scott Jackson/FHWA)

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A (BRIEF) HISTORY OF MADDENING WORDS

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Words can be used to indicate love, hate, violence, peace, sarcasm, politics, etiquette, race, gender, religious affiliation, sexual preference — in short, words are what we use to describe the world around us. Words are often used to describe individuals and throughout history, there have been many words used to describe those who suffer from a mental disease. The words that have entered the English lexicon from French, German, Latin, Greek and other languages are not perfunctorily added but are created and used with a certain amount of carefully calculated thought for various reasons. The reason may be to empower an individual, or to take away the individual's power, words may be intentionally used in order to group together individuals who are to be deemed the 'established norm' of society or 'deviants' from the established norms of society. Moreover, quite often the words used are out of fear, loathing, hatred, ignorance, or misunderstanding.

Recent scholarship has begun to increasingly pay closer attention to language in what Deborah Lupton calls the "linguistic turn" where "language and discursive processes" are part of the "production and maintenance of social life and subjectivity".[1] By using the linguistic turn and looking at the etymological and historical context of certain terms pertaining to those who have a mental illness is, in effect done to set them apart from the rest of society. The effect being the ability to demonize individuals with specific words and lay blame not on an 'illness' but rather on an 'individual' for the "mentally ill person was now a subhuman and beastly scapegoat; hence the need to protect others"[2] from this relatively new creation called the 'madman'. Furthermore the words used to describe the 'madman' share a common thread which is that they point out that the 'madman' is lacking

[1] Lupton: 2003, 5.

[2] Foucault: 1965, vii.

something which would somehow make the 'madman' whole and by consequence the 'madman' is can never be in an overabundance of something. Also by consequence of this type of thinking and the words that are so carefully chosen to describe the mad, grant the illusion to the un-mad person that they are somehow more whole – taken to its furthest logical conclusion the un-mad person is completely whole.

Some terms which have and are used throughout Europe and the United States include: 'crazy', 'lunatic', 'deranged', 'possessed', 'psychopath', 'maniac', 'demented', 'folly', 'mad',[3] 'unhinged', 'loony', 'fool', 'abnormal', 'hysterical', 'screw-ball', 'half-baked', 'irrational', 'unbalanced', 'brainsick', 'insane', 'crack-pot', 'mental', 'nuts', 'delirium', as well as phrases such as 'rowing with one oar in the water', 'a few fries short of a happy meal', 'not playing with a full deck', 'not wrapped real tight', 'lost his/her marbles', 'a few beers short of a six pack', 'a few croutons short of a salad' and 'ready to crack' are just a few of the terms and phrases from different time periods used to describe the mad.

One objection that could be raised is that these different terms are simply synonyms used to describe mental illness. However, even as synonyms each word carries with it a slightly different tone, feeling, or gradation of meaning– such as the example of 'nuts' versus 'psychopath'. From this list of twenty-four terms many of the definitions rely on each other in order to be defined. So, what does it mean when a word relies on a partial definition of another word in order to be defined? From the linguistic perspective, this would show a continuation of the "maintenance of social life" with the introduction of a

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[3] The term 'mad' and its variations such as 'madman', 'madmen' 'madness', 'madwoman', and the somewhat politically correct 'madperson' or 'madpersons' are all included under the larger term 'mad'.

'new' word. Yet, the new word is not really new, only updated from an archaic term to fit in more easily with society at a specified given time.

If there is a more important aspect of this etymological look, beyond just synonyms and nuance of meaning, it is to show when words were first used and more importantly, why they were being used at a specific time. As the lexicon of the English language continues to grow there have, and will continue to be more words used to describe those suffering from a mental affliction which will rely on previously used words. Yet the underlying meaning remains the same; the 'madman' is lacking wholeness and is not in overabundance. So, even as the lexicon in English continues to grow and the terms change, they still ultimately have a certain underlying meaning.

Another aspect of these words as they are created, or modified is yet another purpose that they serve. This purpose is the actual physical picture that any of the above mentioned twenty-four words typically conjures up in one's mind. The picture that the mind conjures up when one hears the term 'nuts' compared to the image conjured up when one hears the term 'psychopath' is very different. But ultimately these two terms, as will be shown, have the same definition and meaning. And to add fodder to the fire is that both of these terms are not only similar in meaning but they both carry with them this idea that the individual who is 'nuts' or a 'psychopath' is lacking something and not in an overabundance of something.

Language as a discourse does not exist in a social vacuum but is dependent upon many outside influences including political landscapes, politically correct uses of terms as well as society as a whole. The primary discourse we are concerned with is the underlying etymological use of language as used to describe specific individuals who are then

labeled and placed into specific categories, and sub-categories and how this is "used purposively and strategically to achieve desired ends."[4] This desired end in a Western context of Europe and the United States was and is to include certain individuals within the category of 'mental illness' or 'madness' with two desired ends. The first is shown through the use of language that the individual with 'mental illness' or 'madness' is lacking something that would allow them to be whole. The second desired end is to create a very clear line between 'normal' and 'abnormal' in the sense of what is 'acceptable' and 'non-acceptable' behavior in specific societies. In addition, while societies differ from one another there is a very clear thread linking various countries of Europe and the United States as to 'acceptable behavior' and what is 'normal' and 'abnormal' in the world of 'mental illness' and 'madness'.

[4] Lupton: 2003, 20.

Things We Can Learn About Buddhism at Car Wash

Topic Area: Philosophy/Religion

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Learning About Buddhism at a Car Wash

Buddhism advocates a form of teaching called 'upāya', which succinctly stated is the ability to teach concepts of Buddhism in accordance with the capabilities and knowledge of the students hearing the teaching. Upāya also includes the idea of taking what is around you and using that for teaching. I was reminded of this idea of upāya a few days ago while at a car wash having my car washed and Armor-all applied to the dashboard.

As I was sitting outside waiting for the people to finish drying my car off, I was struck by how similar the car wash was to a key element of Buddhism which is karma. Most people are familiar with the word 'karma' but the details of karma including body, speech, and mind, karmic impressions, black, white and gray karma are often unknown or misunderstood by the general public. This is by no means a statement belittling the general public, but rather a statement that practicing Buddhists and Buddhologists are more familiar with the intricacies of karma than the general public.

Imagine for a second that you are a car that is filthy, dirty, muddy, and dulled by the elements, road conditions, city driving, someone throwing eggs at you, smoking in the car, rain, dust, snow, sleet, smog and the like. These elements all do damage to the exterior and the interior of you – the car. Now we can view these common elements as various types of negative karma. Perhaps the smog is the intention to lie about something and the smoking in the car is the lie itself. Both the intention and telling the lie carry with it various amounts of negative karma. If you just had the smog and not the smoking, the karmic retribution would be less, than actually smoking in the car. So how do you as the car at a carwash start to repair the years of neglect?

Well the first thing we can do is wash the car, which is a metaphor for the body of a person, and clean the interior, which is a metaphor for the mind, as well as we can. By washing the car, we are in a sense starting to wipe clean the negative karma we have accumulated throughout the many lifetimes we have endured. The outside washing of the car is much easier to clean away many of the outside elemental factors, but the inside of the car is much harder to clean because of the crevices, the dashboard, under the seats, that place between the seat and the center console that seems to collect things, the map pockets in the car doors where we often put things and forget about them. Moreover, of course, in this example the years of smoking in the car, the smell of cigarettes in the car, the yellowing of the windows from the years of smoking in the car and overflowing ashtray of cigarette butts.

As the car goes through the wash we see the brushes, the foam, the soap, the water, the long automated rags all doing a harmonious job as your car is on a track that automatically pulls the car through the wash. You actually see your car getting cleaner as it goes through the wash. This first car wash can be seen as two things. The first is the start of dealing with negative karma through doing good things – such as taking care of your car. The second is that you are now becoming aware of the filth and muck that has been eating away at your car. Now that you're aware of this, you can start to slowly change your habits. Maybe you start by going to the car wash every few months, then gradually you get it washed once a month, then every other week and finally every week because you feel like your car runs better or is happier when it's clean and you feel more positive about your car.

Now being aware of the filth that is constantly accumulating on your car is something that you are working with on a regular basis. Through this you start to realize the amount of damage you have done to the outside of the car you over the years due to neglect. You start to pay more attention to your car's body and find that you can't keep it completely clean, but you are aware of new instances of dirt and filth on the car and even start avoiding those huge mud puddles you once loved to drive through.

However, we also have the inside of the car which we can liken to the 'doing' of the action. Earlier we used the example of the outside smog as the intention to tell a lie and the smoking cigarettes inside the car as actually telling the lie. So, you have the inside of the car cleaned – which is the metaphor for the mind. Maybe the first time through, you just have it sprayed down and the inside windows cleaned. You notice you can see a little better and you start to enjoy this. Perhaps the next time you have the car washed, you have the inside windows done and you spend the extra five bucks to have the entire dashboard done with Armor-all. You notice not only do you see better, but you also notice a slightly different scent in your car that isn't just smoke and the dashboard is starting to shine just a little.

After a few more washes like this, you decide to go all out and spend $150.00 to have the car detailed. You have made a decision to try to stop smoking in your car because you have noticed you like the scent they spray in the car after they clean the inside. You watch as the people take the seats out of your car and vacuum, and completely clean the car on the inside from front to back. The ashtray is cleaned to a small shine, the carpets are clean, even that place between the driver seat and the center console is clean. Now you're really starting to see the shine inside the car, the carpets look almost new, even the

center console looks almost new and you like this. You want to keep it this way but you know it wont be easy. And no one ever said it would be easy.

Now you have become aware of the intention of doing things and the actual going through with the intention and since you have become more aware of this you notice that you're not smoking in the car and you're really working hard on not piling trash in your car because you like the way it looks when it's clean compared to when it's dirty. Of course, you're not perfect and you sometimes find yourself stuck in traffic and you light a cigarette but you are honestly doing your best. You realize that keeping the outside of the car clean is hard and keeping the inside of the car clean is even harder.

This is very similar to karma in Buddhism. The person slowly becomes aware of the karmic impressions they have been leaving for a long time and neglecting to do anything about it. But the insight they are gaining from taking care of their car is making it easier to keep it clean. Once the person is aware of the karmic impressions they have been leaving and are aware of the intentionality and the carrying through of the intention and the karmic imprint it will leave it becomes easier to notice the different aspects of body, speech and mind and how they all interplay with one another to produce various types of karma.

One question that remains from our trip to the car wash is "who the hell are the people who dry or wax the car and why do I always tip them $2.00"? The people drying and/or waxing the car can be seen as a series of Gurus, or a Sangha of like minded people who are helping you in your quest to keep the car clean. Being a Guru, they can't directly ask you for money because it is against the Vinaya-Pitika (the basket or Discipline), which

contains the rules and discipline not only for monks and nuns, but also practioners of Buddhism.

However, you are freely giving an 'offering' to the attendant, which is allowed. You watch the attendants, or your gurus as they wax the car, or armor-all the dash and you start to pick up on their techniques. You're learning from them, you're paying attention to the amount of detail they put into cleaning your car. In a sense, you have become a disciple of the car wash attendants without knowing it. This time as you leave you tip the attendant $5.00 and realize how much work it takes to clean the outside of the car and then the inside of the car. You feel appreciative that you are now taking care of your car -- which in essence is you -- and you drive home feeling a little better than when you got there.

In the Mahāyāna tradition of Buddhism, there are a great deal of works and teachings regarding the concept of Buddha Nature. Buddha Nature is the idea that since all beings possess Buddha Nature, it is possible for them to attain enlightenment and become a Buddha, no matter what level of existence they currently occupy. Buddhism often uses the metaphor or a diamond covered in mud. If we just see the mud we think of it as worthless, but as we slowly wipe away the mud we start to see the shimmering diamond beneath and realize its true worth. This is what we have done here at the car wash by using the car as a metaphor for the body and mind.

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A Comparative Case Study of the Department of Education in the Philippines

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Corruption and Policy Implementation:
A Comparative Case Study of the Department of Education in the Philippines

Executive Summary

1.1 Introduction and Background of the Study

The original Association of Southeast Asian Nations (ASEAN) founding members or ASEAN 5 as an entirety has experienced phenomenal economic performance from the 1970s to the present. These developing countries have also been proclaimed as models of social development. Most of the countries in the region have been lauded for exemplary performances particularly in the implementation of economic as well as social development policies. However, one particular country within the region experienced an ambivalent performance as regards policy implementation – the Philippines. Once heralded as a very promising nation in the early 1970s, the country today has been often referred to as the "sick man of Asia". Not only has it suffered from chronic deficits in the effective implementation of economic policies; it also has lagged behind most of its neighbours in implementing vital redistributive social policies.

A recent study made by the International Monetary Fund (IMF) stated that "among its ASEAN neighbours, the Philippines is notable both for its very high poverty incidence, especially when measured relative to total basic expenditure rather than just expenditure on food, and for its very slow progress in reducing the rate of poverty."[1] This particular IMF study aptly implied the ineffectiveness of existing economic policies in addressing the fundamental challenge of poverty in the country. Faulty economic policies (i.e. the unsuccessful and imbalanced import substitution policy) and a highly entrenched elite class unwilling to relinquish vast amounts of properties for a more socially equitable wealth distribution (i.e. the faulty and incomplete implementation of the Comprehensive Agrarian Reform Program – CARP) have been identified as two of the causes for the continued lackadaisical growth of the country. The same report states that "looking beyond peso income and expenditure, the performance of the Philippines in improving human development indicators has also been slow relative to other Asian countries."[2] Not only does the IMF research project identify economic policy as ineffectual; it also declared that policies designed to uplift human development have been dismal as well.

A succinct analysis of one of the major implementation pitfalls besieging the Philippines is that "it operates under conditions of extreme scarcity."[3] The size, scope and vast differences that characterize the geographic and cultural landscape render the

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[1] P. Gerson, *Poverty, Income Distribution and Economic Policy in the Philippines*, IMF Working Paper,WP/98/20, p. 4
[2] *Ibid.,* p. 7.
[3] J. Quah, 'Public Bureaucracy and Policy Implementation in Asia: An Introduction', *Southeast Asian Journal of Social Science,Vol. 15, No. 2,* (1987) p. xii

bureaucracy in a situation where it experiences difficulties in delivering much needed services to its populace. What makes matters more acute is that within a situation of "extreme scarcity," the Philippines has in the past – and most especially beginning during the 1950s till the present -- suffered from chronic and debilitating corruption. Quah has even stated that the problem of corruption in the country "is a way of life."[4] In the latest Transparency International's (TI) study on the Ten Most Corrupt Leaders, the Philippines earned the dubious distinction of having two of its ex-Presidents in the list: Ferdinand Marcos and Joseph Ejercito Estrada.[5] Quah adds that "corruption is a serious obstacle to policy implementation because scarce resources are wasted on bribes and not on the prescribed activities, and delays are quite common and do not contribute to the swift implementation of public policies.[6] A serious attempt to analyze policy implementation deficits in a Philippine setting requires an explicit recognition of the almost ubiquitous impact of corruption.

It is this situation of scarcity experienced by the state – the primary source of service-delivery in a developing country like the Philippines – and exacerbated by the prevalence of corruption where it has become a "way of life" where two other alternative agents of service-delivery emerge: International Organizations (IOs) and Civil Society. Cariño states that the "delivery of public goods and services is not limited to the government. Both the private sector and civil society are actively engaged in the production, marketing and distribution of public goods."[7] One of the most dominant exponents of civil society in the Philippine context without doubt would be the Non-Government Organizations (NGOs). Chronic deficits in the provision of services of the state have resulted in the emergence of NGOs as alternative delivery systems for the state. Shigetomi states that "the existence of people who have been left out by both the market and the state seems to be the most fundamental factor behind the establishment and continued existence of NGOs."[8]

It is also within the context of an ineffective state bureaucracy perennially plagued by corruption where international organizations enter the picture: "As economic globalization proceeds, and as political and administrative relations between countries grow closer and stronger, issues concerning development, which were once domestic problems, are being affected ever more profoundly by international agreements and international consensus."[9] Martin and Haque arguing about decreasing "publicness" of public bureaucracies say that international organizations have played a "significant role in popularizing the "miracle" of market forces and reinforcing an unfavourable public

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[4] J. Quah, *Curbing Corruption in Asia: A Comparative Study of Six Countries,* (Singapore, Eastern University Press, Singapore, 2003), p. 81

[5] R. Hodess *et. al., Global Corruption Report 2004* ,(London, Pluto Press, 2004), p.13.

[6] J. Quah, 'Public Bureaucracy and Policy Implementation in Singapore', *Southeast Asian Journal of Social Science,Vol. 15, No. 2,* (1987) p. 89.

[7] Quah, *Curbing Corruption in Asia: A Comparative Study of Six Countries.*, p. 75

[8] S. Shigetomi, 'The State and NGOs Issues and Analytical Framework,' in S. Shigetomi (ed), *The State and NGOs: A Perspective from Asia, (*Singapore, ISEAS, 2002), p.2.

[9] *Ibid.,* p. 22

perception of state agencies."[10] International organizations – in a period of increased globalization – have thus become a major factor in the implementation of domestic issues of development concerning nations. Galicia has noted that the Philippines, indebted to the IMF[11], provides numerous examples of varying degrees of interventions of international organizations like the IMF, in the implementation of national development goals.[12]

It is within this context that this proposed research project is situated. One of the challenges posed by experts on the future of the region is the ability of most of its nations, known to be traditionally state-centred, to be able to increase understanding and collaboration with international institutions which are above the level of the state and with civil society that are below the level of the state. This research project seeks to study the dynamics of policy implementation, corruption and the interaction of state, civil society organisations and international institutions. More specifically, the project will explore and analyze corruption and policy implementation within a Southeast Asian setting --- with a specific concentration on the Philippines -- and how the state is impacted by civil society and international institutions.

1.2 Defining the Research Problem

The Philippine Department of Education (DepEd) is considered to be one of the most corrupt national agencies of the Philippines.[13] Two existing DepEd policies possess common characteristics. The National Textbook Delivery Programme and the Programme on Basic Education (PROBE) are programmes that involve three policy actors, namely: (1) the state bureaucracy; (2) international organizations and (3) civil society represented by NGOs or private organizations. Despite their similarity, the implementation performance or effectiveness of both programmes is very different. The National Textbook Delivery Program has been described as suffering from chronic malfunction, whereas the PROBE has been acknowledged as a triumphant example of implementation. The study hopes to explain the stark contrast of implementation outputs within the same corrupt national agency of two programmes whose elements assume striking resemblance.

The main indicators of the output variable in the study are (1) Textbook Delivery Ratio (TDR) and (2) PROBE Proximate Output (PPO).[14] These indicators comprise the dependent variable – effectiveness of the implementation of the TDP and PROBE -- of

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[10] S. Haque, 'The Diminishing Publicness of Public Service Under the Current Mode of Governance', *Public Administration Review*, Vol. 16, No. 1, (January/February 2001) p. 73.

[11] Debt service is the single highest budgeting item in the resource appropriations of the government. Although the Philippines' allocation has shrunk in the 1990s (in contrast to the 1980s, when the world debt crisis broke out), it still remains, the top item in the national budget, with an average share of 33 percent between 1990 and 1997, implying that the national budget has scanty resources for use elsewhere. (c.f. R. C.E. Galicia, 'Deep in Debt, Staggering in Debt Payment', *Community and Habitat*, Issue 7, (2000), p. 42.

[12] An example of this would be the Structural Adjustment Programs (SAP) advocated by the IMF that called for spending cutbacks by the Philippine government. In Galicia, *Ibid.,* p. 43.

[13] L. Cariño, G. Iglesias and M. Mendoza, 'Initiatives Taken Against Corruption: The Philippine Case', (Paper presented to the Programme for Accountability and Transparency (PACT) of the Management Development and Governance Division, United Nations Development Programme, October 1998), p. 28

[14] Both these indicators have been developed for this particular research project by the author.

the study. The study defines the TDR as the quotient of total number of students over the total number of books received. One way of looking at the TDR is to see it as a figure representing actual clients served given an entire market of potential clients. The study defines the PPO as the presence of four of the proximate goals of PROBE in its participating schools, namely the institutionalized existence of (i) pre-service; (ii) in-service; (iii) materials for teacher training and (iv) program monitoring and evaluation. One of the main objectives of PROBE is to institutionalize within its participating schools as professional culture where neophyte teachers undergo intensive and relevant skill preparation for teaching (in-service training) to be followed up by regular supervision and supplementary guidance (in-service training) complemented by the methodical preparation of resources for schooling (materials for teacher training) and to be completed by consistent interactions between teachers and supervisors for the regular re-alignment of teaching goals and missions (program monitoring and evaluation). The PPO would be treated as a scalar variable representing proximate outputs of PROBE.

The study argues that the policy implementation process is influenced by the dynamics of cooperation and conflict. The study asserts that adversarial and advocacy dynamics among the policy actors are the operational indicators of process. The study contends that actors from the bureaucracy, international organization and civil society who practise consensual decision-making in policy implementation represent advocacy dynamics. Conversely, the study claims that actors from the bureaucracy, international organizations and civil society in a setting where compromise and competition pervade in the policy implementation process embody adversarial dynamics. The study argues that the dynamics of process affect the eventual outputs of policy implementation.

1.3 Scope and Significance of the Study

The proposed project hopes to address some of the salient points that Lester, Bowman, Goggin and O'Toole describe as the desired implementation studies of the next generation. Lester *et. al.* describe that "future research on policy implementation can benefit from utilizing research designs that are genuinely *comparative* (i.e. across the fifty American states) *, diachronic* (i.e. across periods of a decade or more) and across *policy types* (i.e., distributive, redistributive and regulatory)."[15]

The particular area in Public Administration that will be addressed is corruption and policy implementation and its relation to the increasing tension between international organizations and civil society organizations represented by private organizations and domestic and global NGOs. Two different *policy types* (distributive and developmental) that have been afflicted with the negative impacts of corruption on the implementation of policy will be the foci of the project. These are: (1) policies to effective delivery of essential public goods – textbooks for approximately 17 million Filipino school children; and (2) policies to promote education reform unfettered from corruption scandals -- teacher training for public school teachers. In a developing nation like the Philippines the

[15] J.P. Lester, A. O'M. Bowman, M. Goggin and L. O'Toole, Jr., 'Public Policy Implementation: Evolution of the Field and Agenda for Future Research', *Policy Studies Review,* No. 7, (Autumn 1987), p. 211.

need to shore up its material resources and to undertake massive investments in human capital are paramount. Consequently this research project focuses on these two imperatives: strategic use of scarce wealth and human development. One specific national agency in the Philippines namely the Department of Education is the site of these two policies. In this research, a *diachronic* scrutiny of the organizational highlights of the agency – as it evolved from the original Department of Public Instruction in 1901, to the Department of Education in 1947, subsequently to the Department of Education, Culture and Sports in 1991 and back to its present form of Department of Education (DepEd) since 2002 will complement the policy implementation analysis.[16] The proposed study will attempt to be *comparative* as it undertakes quantitative comparisons of effectiveness of policy implementation across the three main islands of the Philippines. In addition to these, qualitative case studies of the two different policies in action will be emphasised as they occur in different geographical contexts within the archipelago.

The project also seeks to supplement a gap in implementation studies most of which are non-Asia centric since they are dominated by North American and European literature.[17] The project will attempt to undertake a comparative policy implementation analysis from a Southeast Asian perspective by using the Philippines as the focal study area. The proposed project will scrutinize the influence of international organizations, civil society represented by private organizations and non-government organizations as well as the public bureaucracy: national government agencies and local government units in implementing policy within a setting of systemic corruption.

Finnemore and Sikkink[18] point out the importance of professional interactions between international organizations, bureaucrats and networks of NGOs in the promotion of norms in organizations. Both writers also emphasize the impact of states, international organizations, civil society and networks of NGOs as agents of socialization.[19] Checkel (1998) underscored that in many instances international organizations and civil society groups can "trump states and their powers." [20]

In her 2002 unpublished PhD thesis, Jacqueline Ortiz from the National College of Public Administration and Governance of the University of the Philippines provided an insightful glimpse of the increasing relevance of studies targeted at exploring the interaction of state, civil society and international organizations. Her study was an in-depth analysis of participatory development planning among various levels of local chief executives, NGOs and multilateral international institutions in the Bondoc peninsula of the Quezon province. She discovered two dominant patterns: "One pattern noted was that the mechanisms for civil society participation in governance through local special bodies as mandated by the Local Government Code had begun to be institutionalized. Another

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[16] T. Oreta., 'Can a 20th Century Bureaucracy Meet the Challenges of a 21st Century Learning Revolution?', *The Human Development Legislator,* vol. II, Issue no. 6, (June 2001), p. 3

[17] Quah, 'Public Bureaucracy and Policy Implementation in Singapore', p. viii

[18] M. Finnemore and K. Sikkink., "International Norm Dynamics and Political Change", *InternationalOrganization*, 52, 4, (Autumn 1998), pp. 887-917

[19] *Ibid.*

[20] J. Checkel., 'The Constructivist Turn in International Relations Theory', *World Politics,* 50, (January 1998), pp. 324-48.

pattern that emerged was that local governments in the area became more open in seeking out more effective ways of collaboration and cooperation with other sectors."[21]

Ortiz hinted at an emerging pattern of systematized and institutionalized collaboration and cooperation between civil society and other sectors in the field of governance in the Philippine setting. Ortiz explained that the enactment of the Local Government Code (LGC) had provided an initial enabling environment for the cooperative and collaborative setup to take place. The DepEd as one of the largest bureaucratic organisations in the Philippines has also been significantly affected by the enactment of the Local Government Code. This proposed research project intends to build on and validate some of the pertinent findings of Ortiz.

In the pursuit of the Philippines to achieve its development goals, graft and corruption has been a perennial stumbling block. The report of the Ombudsman of the Philippines in 2002 observed that: "Graft and corruption continue to be pervasive in the Philippines. According to the Office of the Ombudsman, the government has lost an estimated $48 billion to corrupt practices over the last twenty years."[22] The research project intends to make a contribution in understanding better the issues of corruption and its impact on the implementation of policies in the Philippines.

The proposed project is envisioned to address an audience of political scientists, researchers on corruption and area studies specialists interested in probing the influence of civil society, particularly NGOs, and international institutions to implementation issues in a Philippine perspective. Political science literature has produced a plethora of descriptions of the exchanges between states, international institutions and non-government organizations. Studies on the impact of these exchanges on policy implementation within a context of systemic corruption are only emerging. The study intends to make a contribution in understanding better the dynamics of implementation that occur between these entities within a setting of widespread corruption.

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Musical Metaphors and Tonal Allegory in *The Creation* by Franz Joseph Haydn

A submission for the 3rd Annual Hawaii Conference on Arts and Humanities

Topic Area: Music

Abstract

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Musical Metaphors and Tonal Allegory in *The Creation* by Franz Joseph Haydn

Abstract

Franz Joseph Haydn's long career as court composer, Kapellmeister, director of the court opera, orchestra, and chamber music spanned the reigns of no fewer than four princes of wealthy and music-loving family of Esterhazy. A perusal of his list of compositions alone attests to his industry with 104 symphonies, 3 oratorios, settings of the mass, sonatas, chamber music, concerti, lieder, and court operas. A testament to this talent is the fact that his works are still performed today with even greater frequency than they were in his lifetime.

Among Haydn's most enduring works, *Die Schöpfung* or The Creation, is an oratorio that brought him worldwide fame and popularity – a sharp contrast to his insulated life as musical servant to the Esterhazy family in the small, provincial village of Eisenstadt, Austria. During one of his now legendary visits to England, Haydn was presented a libretto originally intended for the great Baroque composer, Handel. Handel's interest (and pocketbook) had long abandoned oratorio composition by the time the libretto found him but Haydn, ironically inspired by a performance of a Handel oratorio while in London, eagerly took the libretto home to Austria with the intentions of composing an oratorio in the grand tradition of Handel. Unfamiliar with the English language and the numerous textual nuances found in the libretto, Haydn had his good friend Baron von Swieten translate the libretto from English into German. The seventy-one year old Haydn then set the text to a monumental three-part oratorio. It was then re-translated back into English (in actuality a third and completely different libretto) for performances in London.

True to "Papa Haydn's" reputation, The Creation is filled with symbolic imagery and "secret" allusions to the principles and beliefs of the Masons – an organization of the most intelligent, spiritual, and talented intelligentsia of the day of which Mozart was also a member. Taking every advantage of the text, based on Milton's Paradise Lost and the first two chapters of the book of Genesis, Haydn took great pride in portraying through music the creation of all God's creatures, from the great whale to the sinuous worm. The eagle is brought to life amidst high-soaring vocal melismas, the worm is given the special attention of the contrabassoon and the lowest note of the bass voice, while man and woman are created with such romanticism and tenderness as to rival the best compositions of those who would not come for another hundred years. Cooing turtledoves, roaring lions, and snorting steeds all found creative musical representations at the hand of Haydn. Consistent with great genius, The Creation can be enjoyed on many levels. Obvious to all are the representations of the various animals and their idiosyncratic sounds and behaviors. On another level, Haydn explores musical structure, phrase shaping, orchestral timbre, voicing, and keys to further describe these new creations. Even subtler is his use of Masonic symbolism that may only be discovered as *augenmusik* or music to the eye – hints and allusions that may be seen in the printed score but left often undetected by the ear.

Music Metaphors and Tonal Allegory in The Creation by Franz Joseph Haydn explores through lecture and audio examples the deep spirituality, humor, and sagacious insights of a gentle and humble composer who stood tall in a time of such giants as Mozart and Beethoven, but without whom whose music would have not could not have enjoyed such impact to their generations or the ones that followed.

PUTTING OUR HOUSE IN ORDER

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ABSTRACT

PUTTING OUR HOUSE IN ORDER

There exists in theatre today a distinct dichotomy between the management of the organization and its artistic staff. In trying to find a balance between the goals and objectives of a market-driven management and the needs and wants of product-driven artists many theatre organizations face a house that is in disarray. This paper proposes that a broader understanding of the work of management would lead to a stronger respect between the disciplines of the artists and the managers. It further suggests that levels of collaboration between the two should be brought into balance in order to sustain a healthy theatre and put the house in order.

PUTTING OUR HOUSE IN ORDER

The story is a familiar one to those who have chosen theatre as a profession. A director invites a handful of intellectuals to a final dress rehearsal, hoping to gauge their reactions to the presentation, and wondering how the piece will engage them and cause them to react. One among them, a surgeon, takes the director to breakfast the following morning, and after the usual platitudes and the placing of the order, the surgeon steers the conversation into dangerous territory.

"To begin with, you need to do some major cutting of the third scene in the second act. The dialogue just doesn't work."

"I see," responds the director, thinking to himself that had Shakespeare had a similar 'friend,' centuries of playgoers might have been spared these apparently egregious words.

"Yes. And I realize you have very little time, but you are going to have to replace the leading lady. She's simply too beautiful…sexy for the role. Men will lust after her and not pay attention."

"A very unique observation," says the director as he visualizes his Juliet.

"Finally, that scene from the balcony is hokey. It's been done. You need to be creative or people will just be bored. Try having them meet somewhere else. That way, Juliet wouldn't be wearing a nightgown."

"Now there's something I hadn't thought of," is the only response the erstwhile director can manage to espouse.

"Well," says the surgeon, more than a little certain of himself, "I have seen quite a few plays in my time."

"I beg your pardon?"

"I have seen quite a few plays in my time."

And before any additional pain can be inflicted, the meal is served and the director guides the conversation to topics he feels are less personal and controversial. World Peace, for example!

The meal is served and consumed. The coffee is finished. The check arrives, and the surgeon graciously picks up the check, noting that his salary is most certainly a great deal larger than that of the director. And with this final insult the director calmly speaks.

"You know, I need some advice."

"What's that?" asks the surgeon.

"Well, my son Tommy's been having a lot of stomach pain in the last twenty-four hours, so I'm going to take out his appendix tonight and I wondered if you thought it was better to make a horizontal incision, or a vertical one?"

"You're kidding," asks the dumbfounded surgeon with a slight chuckle, "aren't you?"

"I've done all the appropriate tests and I've concluded with fairly strong certainty that the appendix is the problem, so I'm going to take it out and just wondered which incision you find works better?"

"My God, you're serious," says the surgeon. "You can't do this. You need a professional."

"Why?"

"This sort of thing takes years of training. You start in the classroom, you train with different instruments and techniques, you're mentored for years, you do a residency, and internship. You don't just dive right in."

"I watch the Discovery channel," says the director.

"That's your response?"

"Well, I have seen quite a few surgeries in my time."

"I beg your pardon?"

"I have seen quite a few surgeries in my time."

This story resonates with many professionals in any number of fields, but it was most certainly told originally by its protagonist, a professional director tired of having his work eviscerated by those who lack the necessary training to provide a truly educated opinion.

What matters here is an issue of professional respect.

The dichotomy of any theatrical organization is usually drawn by the division of a single line: the proscenium line. There are the artists who inhabit the environs behind it and the management that lurks in the dark corners in the front of the house. Yet for one of the world's most collaborative art forms, these two participating groups are more likely to take arms against one another.

Not long ago a director stormed into my office, screaming that he was about to fire my publicist. When I asked why, he informed me that the publicist had created a street display of promotional photos and the leading lady wasn't featured prominently in any of them. He then stormed out of my office, shouting that if it wasn't changed

immediately, he would rip all the photos off the display. I followed him to his office and asked him to clarify his objections

"She's the leading lady. We owe it to her to put her picture up there."

I had signed her contract. We did not 'owe it to her.'

I asked the director to describe the conversation he and the publicist had engaged in regarding his concern.

"I refuse to talk to him."

I then spoke to the publicist who showed me all the photos available for display. In keeping with the director's vision, the marketing message for the show, the anticipated audience for the message (tourist passers-by), and the images in the usable photos, the publicist had made the right choices.

After the director calmed down I explained this to him. He said he wanted the publicist fired. I refused. He complained to the Board that this was a situation where management was trying to control his 'art.' His argument fell flat.

Modern marketing aside, it is difficult to have the conversation at all. So many artists still operate under the belief that the opinion of the artistic director is gold, never to be questioned, much less contributed to in a collaboration, and that makes the marketer leery of even opening the door to discussion. In *American Theatre,* Jann Whitehead goes as far as to state that some "new artists want to reinvent a theatrical sensibility that is alive, not mediated by institutions." That 'mediation' is the interference of administration. But Whitehead goes on to say that, "some of our best institutional thinkers…have worked with theatres…urging (them) to extend the collaborative artistic process of the rehearsal hall to institutional decision-making."

That statement belies one important fact: the administrator is generally not welcome in the "collaborative artistic process," understandably because the administrator is frequently not trained in the skill-set needed for that process. That does not, and should not, however, make the administrator subservient to the artistic director who is frequently not trained in the skill-set needed for administration.

Marketers loathe leaping boldly into discussions with artistic personnel regarding the design and execution of publicity materials. So often, the marketing professional is brought to task for developing text or graphic images without garnering "artistic approval" from the director of the production. The communication between artistic director and marketing director is distorted by a lack of understanding of where the director's responsibility for art ends, and where the marketer's responsibility for communication begins. But when it comes to crafting a graphic image or wordsmithing a phrase designed specifically to target an identified market, we are in the professional realm of the marketer.

Let there be no confusion. The marketer has no business creating images or crafting messages which sell a product that is distinct and different from the one the customer will actually receive. We can no longer afford to hold onto the "sales perspective." The art of persuasion has no business in the art of show. Today's consumer is far too savvy. "Fool me once, shame on you. Fool me twice, shame on me," is finally coming to roost at every theatre company that "fooled" people into the theatre to see something that was not *exactly* what they were expecting. There is no theatre company in existence today that can afford to alienate its audience with deceptive sales tools. There is also no shortage of shuttered doors where there once was a thriving

theatre that misled its audience with slick "sales" tactics. But these are issues regarding the skill level of the marketer in question, not to whom the responsibility of developing marketing tools is assigned.

In the case of the graphic image designed by an individual or team of professionals who scrutinize the rehearsal process of the play, participate in production meetings and have a solid footing for what the audience can expect, the image should be a finely crafted message for the potential audience: a specifically targeted group of individuals. And while the director may object, noting that an image does not embody the message she **wishes to convey**, the graphic image is the embodiment of the message she **is conveying**. It is incumbent on the marketer to take his or her own art to task if it does not accomplish this goal. But it may boil down to a question of which professional is more adept at determining how to speak to the audience. The distinction may be subtle, but the artistic director is trained to speak to the audience already in the seats and the marketer is trained to speak to the people with the potential of being in the seats.

But inherent in the similarities lies a great difficulty in the relationship between artistic director and marketer. The people who live on the upstage side of the proscenium line regard themselves as the sole arbiters of art within the confines of the building and assume the marketer has no business being creative. Conversely, the administrators regard themselves as the only people in the building capable of handling management functions and that artists have no business guiding marketing decisions.

How many times has it been said that an administrator in a theatre is really just a "frustrated artist?" We even throw that line around to describe ourselves, but, in fact, we are just as passionate about what we do as anyone else in the theatre, and generally just as

skilled within our discipline. And while we may jokingly use the phrase to insulate ourselves from the realities of its intent, perhaps we should cease to do so, and insist its usage be discontinued altogether. The implication in the "frustrated artist" statement is that the administrator is simply an ineffective or untalented artist who has found a place to hang onto his or her dreams by hanging around in a menial job within the confines of the theatre. That notion is offensive to those of us who dwell on the audience-side of the proscenium line. We have chosen our profession not because we are incapable of succeeding onstage, but because we excel at the important work done in the office. And our work is not less important or more important than the creation of the product. Nor does our work require a lesser amount of skill or expertise. Both administrative and artistic jobs are simply functions of the overall collaborative process of creating theatre in today's global economy.

Regarding the artistic outlet of a marketer, there is a certain degree of artistry involved in designing the perfect marketing campaign. We work to understand our audience, understand our product and communicate the latter effectively to the former. In order to communicate the message we craft words and images – and this, for us, is the artistic process. We are painting pictures; we are stirring emotions; we are engaging our audience. And <u>our</u> audience is the artistic director's <u>potential</u> audience.

Our work takes years of training, just like the work of the surgeon at the beginning of this discourse. 'You start in the classroom, you train with different instruments and techniques, you're mentored for years, you do a residency, and internship. You don't just dive right in.'

There is some truth in the phrase "frustrated artist" when used to describe the marketer, but the phrase is apt for an entirely different reason than one might suspect. The frustration stems from being intentionally eliminated from the collaborative process. The frustration stems from a lack of respect for our work and the details of that work. The frustration stems from hearing "artistic" personnel utter the phrase, "well, I have seen quite a few advertisements in my time."

"I beg your pardon?"

"I have seen quite a few advertisements in my time."

Our house has two distinct wings. The one where the artists "play," and the one where the administrators "manage." But both wings are supposed to be working for, and showing respect to the audience. Management shakes hands and begs an audience to 'enjoy the show,' as they enter the theatre, and the cast members bow to the powerful audience at the end of the performance. Unfortunately, it is all too easy to lose sight of the fact that we exist for the audience. And though time has allowed the bow to become a moment for the cast member to accept praise rather than show respect, the administrator must still function as audience representative in the collaboration. This is not to suggest that theatre managers exist to defend an audience against a mission driven artist. But it does remind us that our function as professionals in collaboration is to provide something of importance to the audience. Rare is the mission statement that says, "We exist solely for our own enjoyment and self-importance, audience be damned."

In *Theatre Topics*, Paul Kosidowski poses an interesting set of questions. "If the mission of the theatre is indeed to bridge the fissure between observer and observed," he asks, "or at least to create meaningful, if illusory, connection between the two, isn't the

audience the locus of our energy? Shouldn't the audience be our primary concern when we shape our art and create our drama?"

And while Kosidowski is attempting to define an institution where potential audience is regarded as primary, I am not willing to extend that far. Instead, I seek an institution where the marketer is free to use his expertise to appeal to the potential audience unencumbered by the dictates of artistic personnel who are not trained in the skill-set of marketing. And this is done by crafting a message regarding the art that will resonate specifically with that potential audience.

In "Standing Room Only: Strategies for Marketing the Performing Arts," Philip Kotler and Joanne Scheff sum it up nicely.

"*This does not mean that artistic directors must compromise their artistic integrity*. Nor does it mean that an organization must cater to every consumer whim and fancy, as many managers fear. Those who warn of such consequences if the devil (marketing) is let in the door simply misunderstand what a customer orientation truly means."

Customer orientation means understanding who it is that has an interest in what we are providing, and then crafting the message to them. After all, what is the point in sending out a message that says the wrong thing to the wrong person? The confusion may stem from the word "message." Because while our compatriots on the boards have a message of life, hope, despair, or some other grandiose concept that they wish to convey through their art, the marketer's message is a much simpler one: our artists have created something that we know you will appreciate.

And while the artist often likens the marketer's interest in the audience to pandering, it is instead an attempt to understand the audience so that we may speak to those issues which most interest and affect them. The artist-marketer struggle exists because the artist believes that what he does is absolute. Kosidowski finds that, "we are more interested in bringing our aesthetic to them than in understanding their perceptions and assumptions about what they see on stage." Yet artist and marketer both are simply seeking the most effective way of communicating, within the boundaries of his or her own profession. They are distinct professionals within the same collaborative business.

In introductory speech classes we are taught that communication only exists when the message is sent, received *and there is feedback*. Introductory courses in directing observe a similar phenomenon: without the audience the artwork is incomplete. In order to truly have theatrical art, the audience receives the message from the performers and offers feedback: sighs, sobs, laughs and applause. The same feedback is required for the marketer.

In the marketer's case, the feedback is almost entirely the purchase of a ticket. It stands to bear, therefore, that the best level of communication between marketer and audience will yield the greatest results in terms of ticket sales.

Kotler and Scheff describe it this way:

"The artist and the organization presenting the artist's work have a responsibility to the audience. Efforts to bring the arts to the public – and the public to the arts – do not represent pandering to lowly desires, but rather provide access to man's highest achievements and, more basically, to man's humanity. The marketer has the responsibility of packaging and communicating the artist's product to appeal to the

broadest possible audience by meeting their needs and preferences." Note that Kotler and Scheff have clearly defined which professional is assigned this responsibility and then continue: "The artistic experience exists in the communication between the performer(s) on stage and the patrons in the hall; it is the role of the manager, the marketers, and the artistic directors to help facilitate that communication, thereby fulfilling the mission of the organization."

Take the example of the director who was guiding a play to be a metaphor for the struggle of man to find his unique place in mankind. At the end of the piece, the protagonist is shot in the stomach taking a bullet for an important industrialist. And in good Sydney Carton fashion, our hero feels not the searing pain of the burning bullet as it drains his life away, but the joy of knowing that he has found his place in humanity. It is a touching epilogue to a fairly dark piece. The director announces to the cast and crew, "if we do this right, at the end of the play the audience members will feel the bullet enter their own flesh and will suffer the horrible rush of joy in knowing that their last moment on earth has meaning." Needless to say, this is not the message a marketing team would wish to convey.

For those of you who consider yourselves adept directors, fully capable of handling the intricacies of communicating with a diverse and broad market, ("well, I have seen quite a few advertisements in my time") remember that the audience that you have been trained to communicate with is only a tiny fraction of the community. And regardless of how that fraction was contacted, they represent a very unique and special segment. They are not representative of the community as a whole. And while you may well know how to communicate with them, if they were the only people you wanted in

the seats, there wouldn't be a marketer at all. The marketer is there to ensure that everyone capable of appreciating your work is in the room, not just those to whom you are accustomed to addressing.

Kotler and Scheff:

"Marketing exists in conjunction with other functions in order to enhance them and to find the most effective means for sharing inspiration with the public. The key is how to make the product more accessible to the patron, not how to change the artist's vision or the organization's mission."

The house will always be in disarray as long as we don't collaborate fully. This includes everyone involved in a production. The artistic-director-as-dictator model has now given way to a more enlightened approach. Someone with a business sense has got to be handling the business. This is not to imply that artistic decision makers are not capable of being business decision makers. But each specialty requires special training. And until that training is in place, it is wise for the experts to collaborate only from their area of expertise in their respective fields. Just like a doctor is also capable of being a lawyer, he cannot and must not practice law until he is fully trained to do so. But when his training is complete, he is fully capable of practicing both medicine and law. Likewise, an artistic director can be trained in theatre management and capable of practicing both disciplines. Yet until he is trained in marketing, he is wise to avoid giving instructions on marketing to those trained in the field.

And just as a marketer would never deign to attend a rehearsal and instruct the director on better placement of actors on stage or notes on character, so too should the

director refrain from attending market design sessions and instructing on font selection and graphic content.

Nevertheless, the two can collaborate to a greater or lesser degree depending predominantly on ego.

For a marketer the best director is one who says, "Would you come to a rehearsal and watch a particular scene, because I would like your opinion on how the public will react to it?" To the marketer this says that his or her expertise and understanding of the community and how it responds to message is valid and has some correlation to theatrical storytelling. The result is usually a marketer who gains a better understanding of the director's product and is better skilled at crafting the message for it.

Likewise, the skilled marketer consistently asks for the director's input regarding messaging materials, for the artistic director is adept at guiding the visceral response of those who are most frequently in the seats. Each of these players has his or her own means for communicating with the audience. Together, as a team, they are stronger than either one of them individually. Note, however, that in neither of these two examples is one professional directing the other on how to accomplished the duties of the work.

And in offering this advice of the need for collaboration with mutual respect to marketers I am often confronted with the question, "How can a director offer useful input? When they speak to the audience they have a captive group of individuals who have no means of escape. For our message we have a splint second to capture their attention and a scant moment to deliver. Aren't these two types of communication incompatible?"

Actually, the answer is 'no.'

In fact, they simply make up two parts of a single process of communication. And though each part must be crafted in a different way, the mission of each part of the message has everything to do with the audience hearing it.

And by working together we can almost guarantee better results. Kosidowski finds that, "the division between artistic and institutional needs is not as clear-cut as we'd like to believe. And I think our theatres should seek out a place in which these two drives operate synchronistically."

Imagine if our director, rather than judging the surgeon and his opinions, had invited the man to participate in more of the rehearsal process to better understand why Shakespeare's words are worthwhile, why Juliet should be lovely, and why the balcony scene should be, well, the balcony scene. Isn't it possible that the surgeon might learn, and understand that he is not qualified to provide directorial notes.

Perhaps the marketer should have the director sit in on the collection of audience data, the formulation of communication strategy, and the evaluation of message and its relationship to audience. Isn't it possible that the director might gain a new respect for the profession of marketing?

Naïve? Perhaps. But if we could just get our house in order we might be able to improve upon each others work.

One last point.

So often the people on the front side of the house hear from the people on the back side of the house, that getting an audience into the seats is not important. The value of what we produce is in keeping the art form alive, like the giant panda or the duck-billed platypus. Kosidowski retorts that, "just as a playwright needs to have empathy

with his or her characters, we need to have empathy with our audience, to see a play through its eyes."

While I would not risk supporting the philosophical argument that if no one wants to see it there is little point in continuing to produce it, I wonder what the devotees of burlesque or its predecessor, vaudeville would have to say on the topic? I guess they were just never able to put their houses in order.

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Literature

‘Theorizing Francophony’: Marginalization of Francophone Polynesian writers On the literary scene

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Authors: JMT Pambrun, Chantal Spitz, (Polynesian francophone writers), Cesaire, Fanon / Critics: Françoise Lionnet.

In this abstract, I propose to define contemporary *mainstream francophony* and the paradoxes of its theorization: I suggest that it excludes francophone Polynesian writers from the francophone literary scene. In a recent article published in *Multiculturalisme et identité en littérature et en art*, a collection of articles by Sylvie André from the University of French Polynesia, Mohamed Aït Aarab posits the question ‘Vers une littérature tahitienne de langue française ? Étude comparée de l’émergence de trois littératures : Afrique noire, Maghreb, Tahiti.’ Polynesian francophone literature does exist, but for some reasons is not inscribed in dominant francophone theoretical criticism. Whereas it used to be literature that would feed criticism, it seems that today the effect is reversed and that it is criticism that gives literature credibility. The absence of criticism presupposes the non-existence of a literature.

Francophone Polynesian writers have been productive and creative, despite the geographical distance and local publishing criteria that separates them from the profusion of francophone writers of North Africa and the Caribbean, and yet they are absent from the francophone critical scene. They often do participate, however, in literary events such as ‘Le salon du livre d’Outre-mer’, ‘Les premières Assises nationales de la Langue Française’ or ‘le festival de la Littérature insulaire de Ouessant’ in metropolitan France, and Polynesian writers receive prizes (Paul Ottino, for exemple) for their literary works. However, they are absent, ‘non-existent’ in francophone literary studies to the point that scholars wonder if *francophone Polynesian literature exists*.

First I will define what ‘Mainstream francophony’ is, how it is inscribed in the dominant theoretical criticisms: what are the roots of Negritude, and “indigenisme”; how to define Postcolonial criticism? I will comment on ‘Postcolonial Representations’ of Françoise Lionnet and try to understand why Guadeloupean writers are inscribed in the Postcolonial movement, although the term ‘postcolonialism’ is highly inadequate for authors of a French department d’Outre-mer.

Then I will develop in which ways we marginalize francophone Polynesian writers from Tahiti, and how the theorization of a kind of literature can be damaging for francophone authors who do not share identical historical, social and cultural backgrounds.

It is necessary to familiarize the audience with Polynesian texts. Therefore we will analyze a play from Jean-Marc Tera'ituatini Pambrun 'La nuit des Bouches Bleues'. We will introduce and comment the works of Chantal Spitz ('Cris d'une Tahitienne', 'Hombo', 'l'île des rêves écrasés') who is the most controversial Polynesian writer, known for her freedom fighter ideas and her creative narrative estheticism. Francopolynesian discourses reveal a form of 'neocolonialism' that could be interpreted as being especially directed towards mainstream francophony and its appropriation of the literary scene through theorization, rather than towards the hexagone.

1 “Unmeaning Phrases”: Shaggy Dog Humor and the Practice of Frames

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6 Abstract of Paper:

In one way, it is easy to hear American humor: movies such as *Dumb and Dumber* or *The Replacements*, for instance, exploit adolescent defensiveness by turning out the (blatantly) offensive. Briefly, this characteristic move in American humor has an impressive colonial history in American literary adolescence. Hugh Henry Brackenridge’s early parody for contentless but *sound* statements, generating consensus, still holds: “I shall consider language only, not in the least regarding the matter of the work; but as musicians, when they are about to give the most excellent melody, pay no attention to the words that are set to music, but take the most unmeaning phrases.”

This paper will make a case for the complexity of these phrases and the decolonization in America from which they came, here a series of strategies that openly and self-consciously attempt to turn perceived disadvantages of American geography, youthfulness, and absence of tradition into advantages. Featuring Whitman’s Prefaces, as a major turning point, it will show in particular how the no-point shaggy dog strategy, based in “unmeaning phrases” of regional American settings, travels in and out of the practice of framing in many American texts. This paper will make a case for the complexity of the juncture between the inconsequential core of the American frontier’s shaggy dog story and the national call for “character” in writing during the early nineteenth century. Shaggy dog stories fizzle out at the end but also create a crisis of understanding in their audience. Did the listeners get it or didn’t they? Did they miss something obvious? In this situation, the apparent inability of the shaggy dog story to mean something is both a defensive register for the lack of specific “American” character in literature as perceived in the nineteenth century and an offensive territorial gesture of narrative. My paper will focus on the “no point” shaggy dog, one class of shaggy dogs, and look at how these stories are regional travel logs of the national “character” in oral and written contexts, and a rhetorical template, more largely, for framing emerging “characters,” one by one. This paper, finally, will introduce new ways to hear how the oral and the written traditions merge in complex ways to produce not just simple, but self-consciously meaningless, humor---as they also dare to produce inclusion where none existed before.

Margaret Richardson
Abstract

1. Creating *Bahurupee*: An examination of irony, parody, and "magic realism" in the art works of Indian artist K.G. Subramanyan
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Some of the key concerns in contemporary world art are the postcolonial critique of cultural interaction and the increasing globalization and internationalism of the art world, resulting in the exchange of, among other things, art and culture. One of the key questions that arises is how does one negotiate this situation and create and maintain an artistic expression that is relevant both to the cultural environment of which one is a part and the international culture. In the theoretical discussions of post-colonialism, irony, parody and the use of a "magic realism" have been identified as elements of a postcolonial discourse that provide agency through subversion of and/or dialogue with a dominant discourse like literary realism or artistic Modernism. For many theorists, these strategies are particularly pertinent because they work within the dominant discourses and thus are effective in asserting a previously suppressed or subaltern voice.

Indian artist K. G. Subramanyan (born 1924) uses irony, parody, and images that could be called "magic realism" in his paintings and drawings, appropriating and referencing elements from Indian art and culture, Asian aesthetics, "Western" Modernism, and folk art forms as a means of engaging the diverse cultural interactions that are the consequences of colonialism and globalization. In analyzing his paintings and drawings that most clearly employ these elements, this paper will examine Subramanyan's use of irony and parody and his blending of fantastic and realist elements as postcolonial "strategies." For Subramanyan, these strategies provide some ways of

exploring and asserting artistic and cultural identity in an increasingly international world.

Ver Sacrum. The Eternal Spring

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Ver sacrum. To The Age Its Art. To Art Its Freedom:
The Eternal Spring of Vienna's ***Jugendstil***

Helene M. Riley

Between 1890 and 1920, Vienna, the capital of the Austro-Hungarian empire, was a city on the verge of monumental changes. They included the introduction of Psychoanalysis in medicine, the decay of the governing monarchy and WW I, the opposition to Naturalism in literature and art, the rise of the "Vienna School" of Arnold Schönberg's 12-tone music, and the emergence of a group of architects, artists, and craftsmen who conferred on the city what is known as the ***Secession*** with its ***Jugendstil***.

Although the ***Bauhaus*** movement, founded in 1919 by Walter A. Gropius, also attempted to combine form with function in architecture, it was the architecture of the Vienna Secession that provided the inspiration for the school of Gropius and Ludwig Mies van der Rohe. As the Bauhaus melted into the International style, the ***Secession*** retained a defining influence on Vienna's urban landscape into the present day.

Vienna's artistic and architectural Secession was founded in 1897 under the leadership of the painter Gustav Klimt (1862-1918) and a group of 19 other artists who resigned their membership in Vienna's Association of Fine Arts[1] in protest to its allegiance to classical historicism. In 1894 Munich artists had similarly seceded from their organization, and Berlin was to follow suit in 1898. Vienna's Secession proclaimed its principles on the face of its new, centrally located edifice, designed by Joseph Maria Olbrich and built in 1898: "Der Zeit ihre Kunst. Der Kunst ihre Freiheit" (To the Age Its Art. To Art Its Freedom). The building with its dome of glass and golden laurel foliage still serves as space for the organization's exhibits of national and international progressive art.

From the beginning the secessionists perceived the goal of their productivity as a collective *Gesamtkunstwerk*, a term coined initially to describe Richard Wagner's visually, musically, and sensually all-inclusive grand operas. Among the 1902 exhibitions at the Secession was an homage to another composer, the Beethoven monument, just created by Max Klinger (1857-1920) and destined for its permanent home in Leipzig. It

was the focal point of the 14th art show. Gustav Klimt highlighted the movement's goal to integrate architectural space, sculpture, painting, and the other arts by producing his enormous Beethoven frieze on an interior wall, which remains a favorite tourist attraction in Vienna. In his opening speech of the "Kunstschau 1908" Klimt defined the new style's inclusiveness:

> Broadly, like the concept "art", we also define the term "artist." Not only those who create, also those who take pleasure in art call us by that name—those who can passionately recreate and appreciate the effort. For us, "artistry" denotes the ideal community of all who create and enjoy.[2]

What emerged was the Viennese ***Jugendstil,*** and although formally it shows parallels to other European Art Nouveau styles, it differs from them as a comprehensive cultural expression and a historic change in life style. This break with the past included not only an artistic, but also a moral, political, and economic departure from the Habsburg monarchy's controlling influence, and its success was largely due to an uncommonly well-organized effort. From the beginning it had the financial backing of the wealthy urban bourgeoisie, well-known literary critics, and art historians. Hyperbole characterized reviews and articles: "The exhibit of Max Klinger's Beethoven is the climax of Vienna's history of exhibits," wrote Ludwig Hevesi;[3] and Josef Strzygowski injected religious overtones with his comment: "A congregation of artists consecrated its modest temple for a short time to one of our heroes.Vienna has been able to go on pilgrimage to Beethoven for weeks."[4]

The official media outlet for this temple was the journal ***Ver Sacrum***, the sacred spring, edited by Alfred Roller. Its name symbolizes rebirth, renewal, fertility, and nicely complements the golden laurel dome of the edifice, emblem of Apollo's divine tree of evergreen, youthful foliage. Each issue was to be a small show, all together a comprehensive record of exhibits. With the need for universal artistic regeneration, a conceptual change in interior decorative arts emerged. The ***Wiener Werkstätte***, entered in Vienna's trade registry on May 19, 1903 as the "Productive Association of Artisans in Vienna,"[5] had an economic as well as artistic goal. Its stated purpose was the "support of the financial interests of its members" through education and training in arts and crafts,

the production of works in all artistic genres using designs by members, and the creation of workshops offering these products for sale.[6]

It was a truly inspired idea. Not every Viennese citizen of the upper middle class could afford a villa by Secession architects like Alfred Loos, but most were able to purchase items from the ***Wiener Werkstätte*** and thereby own a piece of the new art. The first production and sales outlet in Vienna was founded in the city's 4th district by the two professors of the arts and crafts academy—Josef Hoffmann and Koloman Moser—with the financial assistance of the industrialist Fritz Waerndorfer.[7] One of the most profitable areas was textile design. The department was founded in 1909/10 and produced approximately 18.000 different fabric designs, but products of the ***Wiener Werkstätte*** encompassed many household items from furniture to flatware, breadbaskets to coffe pots. Kolo Moser's simple and airy geometric forms brought the square, cube, cylinder, and circle to the dinner table. The emphasis was on an object's beauty as well as its function and usefulness. It is said that at some point the shape of baked goods such as dinner rolls was dictated to the fashion-conscious. The ***Wiener Werkstätte*** had its own publishing house that designed posters and post cards, book illustrations, calendars, and fashionable picture alphabets. Its artisans also entered the fashion industry with designs of hats and accessories. Soon there were additional sales outlets in Vienna, and affiliates in the Czech spas of Karlsbad (1909) and Marienbad (1916), in Zurich (1917), New York (1922), and Berlin (1929). The economic and political changes that brought a return to frugality and attacks on "degenerate art"[8] also ushered in the demise of the ***Wiener Werkstätte***, and in 1932 the enterprise was liquidated.[9]

Of more lasting material were the works of architects Josef Maria Olbrich (1867-1908), Adolf Loos, and Otto Wagner. Olbrich was born in in Czechoslovakia and studied in Vienna under Otto Wagner, who employed him as a draftsman. He was a co-founder of the Secession movement and architect of the edifice, but remained active in Vienna only for a short time. In Germany he became the most sought-after architect, who also painted and created luxury articles as craftsman.[10]

Adolf Loos (1870-1933) lacked Olbrich's winning charm and steadfastly defended his innovative theories in public, which earned him the reputation of having a "quarrelsome" nature. His first building, the "Loos House" built in 1911/12 on Vienna's

Michaelerplatz, "caused one of the major scandals of the period" with its radically plain facade. The Viennese created nicknames for the building, such as "silo," "dustbin," "prison," "cigarette lighter," and "marble coalbin."[11] It is now considered a prime example of modern architecture. Loos sponsored the painter Oskar Kokoschka, and was a friend of Karl Kraus and the Viennese poet Peter Altenberg. Many of his buildings have not survived, and he died in poverty.

In contrast, the varied architectural concoctions of Otto Wagner (1841-1918) are still admired in Vienna. He was well educated at the city's Polytechnic Institute and Berlin's Royal School of architecture, and although Wagner grew up in the age of historicism and even worked with the planner for the Ringstrasse's neo-classical edifices, he graduated to the Secession's and modern functionalism styles as the way of the future. Vienna was comfortable with this bourgeois mentor of his students, who included almost all of Vienna's architects. Josef Hoffmann said of him, "We who had the good fortune to stand at his side and who honoured him as a master and a pioneer, sometimes even as a friend, are above all grateful to him for the countless impulses he gave us."[12]

Wagner clearly had connections to the emperor's Vienna bureaucracy, or he would not have received the many contracts for public works projects. Among the most noteworthy, all still extant and functioning in Vienna, was the postal savings bank (Postsparkasse).[13] Exterior and interior were designed to showcase the technological advances of the time, melding functionality with sleek beauty, using glass, marble, and steel. The facade consisted of graffiti-proof marble slabs, held together by exposed bolts as the single adornment. The traditional winged corner figures crowning the parapet were created by Othmar Schimkowitz, who had them cast in aluminum—a first for sculptures of this kind. Inside, the main hall was enhanced by exposed aluminum heating pipes. The enormous area is softened by a curved glass roof, defined by decorative inlaid floor sections, and further divided by a change of material to wooden doors leading to the private offices.

Otto Wagner's creativity seems to have had no bounds, and everywhere he combined traditional with ***Jugendstil*** designs. Some of his public works projects include the locks that regulate the Danube channel's water level with the Schützenhaus at the "Kaiserbad" lock; the "Karlsplatz" and the emperor's private station of the City Railroad;

and the famous church of Vienna's mental hospital at "Steinhof" (1905-1907), which earned him international fame. The copper-clad dome is currently being gilded to its original splendor, the church's glass windows were designed by Kolo Moser, and the high altar's mosaic work in majolica, marble, enamel, and glass, was designed by Remigius Geyling and completed in 1913.[14] Wagner also designed city apartment houses and suburban villas for the bourgeousie that provided work for his students and colleagues. Wagner's "model units" in the 6th district include the "Majolica House" and its neighbor (1899/99) with decorative elements by Kolo Moser, sculptures by Othmar Schimkowitz, and distinctive elevator casings. The windows in Wagner's first villa were designed by Adolf Böhm. Other architects also designed tenements in ***Jugendstil***, including the builder/architects Dehm & Olbricht with an 1899 design similar to the Secession edifice, Hermann Stierlin, and Oskar Marmorek. The latter's "Rüdigerhof" (1902) in the 5th district is an exquisite example.[15] Many apartment houses with Jugendstil characteristics dot the cityscape.

Of the Secession's multifaceted artistic legacy, the greatest public renown was probably granted its chief artists Egon Schiele (1890-1918), Oskar Kokoschka (1886-1980), and Gustav Klimt (1862-1918).[16] Schiele's work explores a variety of styles and subjects from the depiction of diminutive townscapes and expressionistic landscapes to angular portraits and provocative nudes that once landed him in jail. The human body was his favorite subject, and he tried to portray his soul in numerous self portraits.[17] Kokoschka (1886-1980) began his career at the ***Wiener Werkstätte***, but the multitalented artist, poet, and playwright soon found the craft-oriented media too limiting. After his bucolic illustrations for the book *The Dreaming Youths*, published in 1908 by the ***Wiener Werkstätte***, Kokoschka achieved notoriety in 1909 with a scandal provoked by his play "Murderers Hope of Women." The topic is "a battle of the sexes of orgiastic intensity (man and woman, warrior and girl), depicted simultaneously as the struggle between sun and moon."[18] During his long career as artist, Kokoschka adopted a wide range of topics, but his portraits betray a Freudian eye for the inner conflicts and emotions of his subjects: an old man[19] with terrified eyes and a forced smile; an exploring baby with protective siblings—a miniature holy family;[20] the self-confident, energetic Hungarian;[21] and a self-

portrait of the artist with earnest, concerned eyes. Kokoschka's hands are expressive. Here it points to the seat of love and devotion.[22]

Gustav Klimt, founder of the Secession, exerted considerable influence on the group and its members. Living and working in an age liberated by Freud's discovery of the unconscious, Klimt's works exuded an undisguised eroticism that was not without a backlash in Vienna's repressive Victorian culture: "There were periodic scandals, as in the case of his paintings for the University, which finally had to be removed," and "although Emperor Franz Josef awarded Klimt the Golden Order of Merit, he declined three times to approve his appointment as professor at the Academy."[23]

Klimt's talent and training is readily apparent in his drawings and landscapes, but he captured immediate attention with his decorative works. His first use of gold ornamentation appears in the depiction of "Pallas Athene" (1898). The goddess of wisdom in martial armor incorporates eroticism in the lascivious mask. The archetypal superwoman able to conquer man is a visual expression also for society's disdain and fear of the bluestocking at the turn of the century, and the symbolism is derived from a Freudian dream world.

Klimt subsequently received a commission from the University of Vienna to produce paintings for the ceiling of the Great Hall. In 1899 he presented "Philosophy" as the first of three faculty pictures, which immediately created a scandal. Klimt had characterized intent and composition in the catalogue, writing: "On the left a group of figures: the beginning of life, fruition, decay. On the right, the globe as mystery. Emerging below, a figure of light: knowledge."[24] The faculty saw instead a humanity drifting aimlessly and uncontrollably in time and space while the mother of of enlightenment floats by seemingly unconscious.

Klimt's allegory of "Medicine" (1900-1907) earned equal discomfort and scorn from the faculty: it shows ***Hygieia*** as richly vested goddess of health, arrogantly turning her back on a column of intertwined bodies, young and old mingled with skeletons in a fateful dance of death.

The last work for the university, "Jurisprudence" (1903-1907), met the same fate. Surviving photos and sketches seem to depict a giant octopus distressing helpless maidens while the male's hands are tied at his back by the creature. The art critic Ludwig

Hervesi's constructive comment survives: "In 'Jurisprudence,' black and gold, not actual colours, prevail; instead of colour, the line gains significance, and form becomes a characteristic that one must regard as monumental."[25] The storm of dissent caused the works to be returned in exchange for the prepayments already made. Nothing remains of the paintings which were destroyed by retreating SS troops on May 5, 1945. Besides the Beethoven-Frieze at Vienna's Secession, the mosaics at the *Palais* of Belgian industrialist Adolphe Stoclet in Brussels are among the best-known architectural panels. Poster-sized reproductions of Klimt's "The Kiss" (1907-08) and the portrait of Adele Bloch-Bauer (1907) are among his best-known works.

Is the Secession's ***Ver sacrum*** really eternal? It seems to be the case. In Vienna old objections are forgotten and steady tourist interest has regilded the city coffers, subway stations, apartment houses, and the massive dome of the church at Steinhof. Even the ***Wiener Werkstätte*** has a new outlet at Vienna's fashionable Kärntnerstrasse. Otto Wagner and Kokoschka are household words, and Klimt's nudes grace bourgeois apartments; and in the gift shop at Denver's Botanical Garden I recently found baskets that could have had Josef Hoffmann's name on them.

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NOTES

[1] Genossenschaft bildender Künstler Wiens

[2] "Weit wie den Begriff 'Kunstwerk' fassen wir auch den Begriff 'Künstler". Nicht nur die Schaffenden, auch die Genießenden heißen uns so, sie, die fähig sind, Geschaffenes fühlend nachzuerleben und zu würdigen. Für uns heißt ‚Künstlerschaft' die ideale Gemeinschaft aller Schaffenden und Genießenden." Exhibit catalog of the Kunstschau, Vienna (1908), p. 4.
[3] Ludwig Hervesi: „Acht Jahre Secession" (March 1897-June 1905). *Kritik—Polemik—Chronik* (Vienna, 1906), p. p. 390.
[4] Josef Strzygowski: *Die bildende Kunst der Gegenwart. Ein Büchlein für jedermann* (Leipzig, 1907), p. 27.
[5] Wiener Werkstätte Produktiv Genossenschaft von Kunsthandwerkern in Wien.
[6] Handelsregister Wien, Reg. der Genossenschaften, vol. VIII, p. 124.
[7] Elisabeth Schmuttermeier provides an excellent summary of the enterprise in her article "Die Wiener Werkstätte," in: *Traum und Wirklichkeit. Wien 1870-1930* . Ausstellungskatalog (Vienna: Eigenverlag der Museen der Stadt Wien, 1985), pp. 336-340.
[8] Alfred Barr: "Art in the Third Reich - Preview 1933″. *Magazine of Art* 38, no.6 (October 1945), pp. 212-222.
[9] Handelsregister Wien, Inv. Nr. Reg. C17.10.
[10] Christian M. Nebehay: *Vienna 1900. Architecture and Painting* (Vienna: Christian Brandstätter, 1984), p. V/2.
[11] Nebehay, p. VIII/2.
[12] Nebehay, p. IV/2.
[13] Constructed in two phases, 1904-1906 and 1910-1912.
[14] Nebehay, p. IV/19-20.
[15] Andreas Lehne, Janos Kalmar: *Jugendstil in Wien* (Wienna: Pichler, 1998), pp. 21-29.
[16] Hans Plank: *Expressionismus in Österreich—Klimt, Schiele, Kokoschka* (Vienna: Berghaus, 1981). Plank, himself an artist, includes in his book some paintings of the Secessionists and a number of less welknown representatives of Expressionism.
[17] Reinhard Steiner: *Egon Schiele 1890-1918. The Midnight Soul of the Artist* (Cologne:Taschen GmbH, 1981), pp. 7-19.
[18] Exhibit catalog "Traum und Wirklichkeit—Wien 1870-1930" 93rd Special Exhibit of the Historical Museum of Vienna (28 March to 6 October 1985), p. 489.
[19] Father Hirsch (1907)
[20] Bernhard Bultmann, transl: *Oskar Kokoschka* (New York: Abrams, n.d.), pp. 122-123: Richard, Margery, and John Davis (1958), the children of the director of the Boston Museum of Fine Arts.
[21] Bultmann, pp. 94-95: Marcel von Nemes (1929)..
[22] Bultmann, pp. 64-65. The painting is dated 1917.
[23] Gilles Néret: *Gustav Klimt*. 1862-1918 (Cologne: Taschen GmbH, 2001), p. 8. Klimt's biography and the influence of Freudian concepts on his work are discussed in F. Novotny, J. Dobai: *Gustav Klimt* (Salzburg, 1967), and C.E. Schorske: *Wien. Geist und Gesellschaft im Fin de siècle* (Frankfurt, 1982).
[24] Catalogue of the 9th exhibition of Vienna's Secession (Vienna, 1900).
[25] Gilles Néret, p. 29.

Pietists

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"If you want to be the Lord's servant, Resign yourself to Confrontation:" The Pietist Challenge in Early Georgia

Helene M. Riley

When a group of Salzburger Protestants under the leadership of 21-year old Baron Philip Georg Friedrich von Reck and the spiritual guidance of the Pietist pastors Boltzius and Gronau from Halle arrived in Savannah in 1734, it was a triumph of faith after an arduous journey. Before long, however, the joy of liberty in a promised land was tempered by the reality of life in a wilderness, and the recognition that the diverse creeds that had spread over Europe in the wake of the Reformation also convened on a very small space to exercise religious freedom in their new American homeland. The task at hand was not only the survival in a hostile environment, but also conformity to the demands of a colonial power, and close cooperation with rival systems of faith. During the next decade the fledgling settlement of Ebenezer on the Savannah river experienced in a nutshell the religious conflicts from which they had sought to escape in Europe.

The relocation of the Salzburgers on the right embankment of the Savannah was strategically, politically, and economically well reasoned. It combined the expatriation of impoverished religious dissidents from Europe with the settlement of an area coveted alike by England, France, and Spain, promising its defense, development, and exploitation for the English colonial powers. The proximity of Ebenezer to the town of Purrysburg, founded in 1731 across the Savannah river in South Carolina, was inspired by the hope that the many German-speaking inhabitants there could assist the newcomers in Georgia. Indeed they

did. With David Zubly, a Reformed Swiss-German whose brothers had been among the original settlers of Purrysburg, the Salzburgers' pastor John Martin Boltzius maintained a friendly relationship which included an exchange of devotional literature and assistance for David Zubly's son Johann Joachim, who later became the first pastor of Savannah's Independent Presbyterian Church. It was also David Zubly who graphically documented the religious discord that soon blemished the early settlements. In a Fraktur he drew in 1745 for his newly ordained son he advised: "My child! if you want to be the Lord's servant, resign yourself to challenge." By that time there were Anglicans, Jews, Pietists, Lutherans, Calvinists, Herrnhuters (Moravians), Wesleyans, "closet"-Catholics, and a number of non-denominational splinter groups such as Christian Gottlieb Priber's "Kingdom of Paradise" and the Weberites active in Savannah and the early backcountry townships of South Carolina.

After the arrival of the third Salzburger Transport, organized again by Reck, major problems of leadership erupted between Boltzius, Reck, and the Swiss-German Johann Vat who had escorted the second Salzburger Transport. In October 1734 Reck had visited Herrnhut and met Count Zinzendorf, who had given sanctuary to a small group of the *Unitas Fratrum*, initial followers of Bohemian Reformer Jan Hus, who was burned at the stake in 1415. Reck was impressed by the disciplined piety of the Herrnhuter "Brethren" and promised to take along a group of them to Georgia where each male was to receive 50 acres of land. This plan was opposed by Halle, but Zinzendorf's influence, the support of former Halle theology student August Gottlieb Spangenberg, and

finally Georgia's founder James Edward Oglethorpe persuaded the Trustees to approve a land grant of 500 acres for Count Zinzendorf, 50 acres each for Spangenberg and Nitschmann, and 20 acres each for ten additional Herrnhuters.

In February 1735 Spangenberg and nine Herrnhuters sailed on the "Two Brothers" to Savannah, and immediately began surveying their land, building houses, and planting gardens. A second group sailed in October on the "Simonds" with Nitschmann. This vessel also carried Gen. Oglethorpe and John Wesley, who later founded Methodism. A few days later, on October 28, 1735, the third Salzburger Transport left with Commissary Reck for Savannah on the "London Merchant." On these two ships the hitherto largest number of immigrants arrived, bringing a total of 257 persons and representatives of three different religious groups to Georgia, all of whom sought their salvation in the New World. Their arrival coincides with the beginning of Boltzius' separate, socalled "secret" or "extraordinary" diary, which was not included in the official account of the Salzburgers' progress published by Samuel Urlsperger in Augsburg. In it Boltzius expresses his fears and worries about their forthcoming relocation and separation.

Oglethorpe was preparing to build Fort Frederica on St. Simons Island as a new defense against the Spanish, and wanted the labor of the newly arrived Salzburgers for the task. As Commander in Chief, Oglethorpe needed no one's permission, but Reck had imprudently promised compliance without consulting Boltzius, and the Salzburgers were transported to the coastal island for a temporary stay. Boltzius felt slighted in his authority and feared the immigrants were being used as

cheap or even slave labor for the English. In his secret diary he censured Reck's youthful lack of caution and quick temper, criticized Reck's choice of immigrants, and believed the Salzburgers endangered in their faith and moral principles by the arrival of outsiders. Among the latter he cites the baptized Jew Gottfried Christ, two reformed Swiss, the notorious carpenter Vollmar, and a Bavarian beer brewer who had settled in Ebenezer. Most of all he disdained the arrival of the Herrnhuters, saying that the worldly ceremonies and damaging reforms he had observed in Herrnhut were in conflict with Christ's teachings.

Undoubtedly Boltzius was embarrassed to meet the Herrnhuters again in the pioneer environment. When Spangenberg's friendship with Zinzendorf became known in Halle, he was ordered by royal mandate to leave the Franckesche Stiftung. Spangenberg also lost the Georgia pastorate he was to receive, which was given to Boltzius and Gronau instead. It was a bitter irony for Boltzius to find Spangenberg now occupying his back yard. Worse, the Herrnhuters were quickly and successfully befriending and converting the leaders, white settlers, and Indians alike. Boltzius feared the loss of his influence, especially because ministering to the Indians was at that time perceived to be one of his jobs. Spangenberg and the Herrnhuter Peter Böhler were also able to bring Wesley into their fold, who later was converted at a Herrrnhuter ceremony in London's Aldersgate Street.

The failure to convert the Indians was not so much due to previous unsavory contact with the Spaniards, as often claimed, but to the reluctance of the missionaries to first learn the language and gain the trust of the Indians. Their attempt to explain the complicated dogma

and symbolism of Christianity to the unprepared natives by means of an interpreter was therefore doomed to failure from the beginning. Boltzius and the Salzburgers had built an orphanage—the first in America—that also welcomed Indian children; but while the latter played naked and violent games at Ebenezer, none of them came for supervision or instruction. It is a blind and perverted race, Boltzius concluded.

In contrast, the Herrnhuters started an Indian mission shortly after the arrival of their second group. Wesley, who was to take over the Anglican pastorate in Savannah, his assistant Charles Delamotte, and 23-year old Benjamin Ingham who had arrived with them, stayed with the Herrnhuters until they could get their own quarters. They had befriended the Indian Mico Tomochichi and began to study the Indian language. On May 7, 1736, Wesley, Ingham, and several Herrnhuters went to the Mestiza Mary Musgrove, wife of a nearby white Indian trader, and began intensive language training. Three days per week Ingham taught her children how to read, she taught Ingham the Creek Indian language which he in turn taught the Hernnhuters. Already in July the Herrnhuter Peter Rose and his wife went to live with the Creeks to teach the Indians in simple terms the fundamentals of Christianity. With Tomochichi's permission the Herrnhuters built a three-room house on a Creek-held island in the Savannah River which was finished and formally consecrated as the Indian Mission in September. One room was reserved for Ingham, one for the Herrnhuter missionaries Peter Rose and his wife, and one served as the school room. There the Indian girls and boys were taught to read and write, pray and

plant to make the mission school independent from the support of the Indian and Herrnhuter communities. This American dream of a mission they called *Irene*, or *peace*, after the Greek *eirene*. The irony of fate had a different plan.

Already in February 1737 the Spanish threatened an offensive from the south. All settlers, including the Herrnhuters, were called to arms in the defense of the colony, and their refusal based on religious conviction caused anger among Savannah's residents. The end of their experiment in peaceful coexistence was imminent. The demise of their work in Georgia did not come about without numerous attempts to resolve their differences, and the financial and legal settlement of their properties took years of effort; but already in 1738 the largest contingent of Herrnhuters left for Pennsylvania, and by 1740 John Hagen found only a few Indian women at *Irene*. In Savannah they left the first Herrnhuter who passed away in America: the mason Friedrich Riedel who died in 1735 was buried in the old cemetery.

Von Reck was another initial enthusiast whose vision of settling in Georgia as European-style lord of the manor fizzled amid political and religious uncertainties and intrigues. A talented artist, passionate explorer, and shrewd observer, we owe to him journals of the Salzburgers' trans-Atlantic passage, the only drawings of their first huts, water-color depictions of the plants and animals around Frederica and Ebenezer, and detailed descriptions of Oglethorpe's military preparations for his armed expedition against the Spanish. Many of his drawings and water-colors show exotic plants with pre-Linnean accuracy, depicting fruit with dissected parts and seeds. Reck

was also the first anthropologist who portrayed Creek and Uchee village life and garb, and added Indian vocabulary to the drawings.

Boltzius, who was was already battling leadership assertions by Vat, was troubled that Reck was a student of Mosheim in Helmstedt—and thus an outsider—and by his friendship with the Herrnhuters. When Reck told the Salzburgers that their pigs had to be kept off his land, and once threw out a Salzburger woman and her husband who had entered his hut, he had outlived his welcome. Reck's only complaint about the Salzburgers is in his diary of July 1736: he and his brother were sick with the fevers and their hut still had no roof or the insect nets given to the Salzburgers. Mortally ill the two were taken to Savannah, and nursed back to health in the home of John Wesley and Charles Delamotte. Reck and his brother left for Europe from Charleston on October 24, 1736. Von Reck never returned to America.

Perhaps the most colorful of the intellectuals who wanted to minister to the Indians was Christian Gottlieb Priber. He had studied law in Erfurt and published his dissertation in 1722 about the use and misuse of Roman Law in the public life of Germany. The only copy of it is in Halle, complete with an invitation to the dissertation defense. In the same year he married the portrait painter Christiane Dorothea Hoffmann and between 1723 and 1732 the couple had 5 children. The reason for his wish to emigrate is not known, but on June 18, 1735 the *Common Council* approved a recommendation to the Trustees that Priber be sent to Georgia with the next transport. A few weeks later Priber was in Charleston and, having paid the fare himself, he received a land grant in Amelia township. In December he sold his European

clothes, pistols, silver sword, English seeds, and household goods, and in early 1736 he went directly into Cherokee country, making his way 500 miles by mountain trail across the Appalachians. With his trunk of books, paper, and ink he reached Great Tellico, chief town of the Over-Hill Cherokees, in the same year.

Unlike other Europeans, Priber used symbolic forms of expression to communicate to the Indians his Utopian societal model which he called "Paradise." Under this simple name he envisaged a communal form of living, the striving for personal happiness, freedom, fraternal living, and equality even between the sexes. There was no private property, therefore no theft and no debtor's prison; because all were created equal, there was no slavery, no contracts, no class structure. Only murder was punishable, children were raised by the entire village, and those who were perceived as wise and sensible advised the commune. The Indians, who already practiced many of these basic laws, adapted easily to Priber's model society. Priber, who spoke English, German, French, and Latin fluently, quickly learned the language of the Cherokee. He took to wife Clogoittah, daughter of Moytoy who was then head chief of the Cherokee Nation. A daughter, whom Priber named Creat, was born to them about 1740. With Moytoy as chief and himself as executor, Priber began to carry out his vision to create a state governed only by natural law, and lived, dressed, danced, painted himself, and ate like an Indian.

Nobody would have cared about Priber's philosophy, had it not interfered with the economic and political goals of the Colonial government. He used his influence with the Indians to protect them

from exploitation by traders, and worked to establish their independence and equality with their neighbors regardless of race. He taught them the use of weights and measures, and, to protect them from being cheated by traders and pack-horsemen, he constructed steelyards for their use. Most notably he advised them to turn away from war and to trade with the French and English on the same terms to be courted and to receive presents from both. Retribution was swift.

On March 2, 1739 the South Carolina Commons House of Assembly awarded £402 to Col. Jos. Fox and two men to go to the Cherokees and bring down Dr. Priber. Fox did not succeed because the Cherokees refused to extradite Priber, but the hunt for the idealist was on. On May 30, 1743 the *S.C. Gazette* reported that Captain Kent, British commander at Fort Augusta, had perceived "a remarkable intractability in the Creek Indians in matters of trade," and, learning that Priber was about to take a journey, he employed Creeks and frontiersmen to waylay him at Tallipoose village. Priber was captured and taken with all his manuscripts and under heavy Indian guard to Frederica to await General Oglethorpe's return from his expedition against the Spanish at St. Augustine. The General found a man "who appeared in his dress a perfect Indian, a man of politeness and gentility, who spoke Latin, French, Spanish, and German fluently and English brokenly." Under Oglethorpe's guardianship and the protection of Cherokees who set up residence around Frederica, Priber enjoyed some considerable freedoms in his prison. He entertained the intelligentsia of Frederica, among them the physician Frederick Holtzendorff from Brandenburg, and the Pietist pastor Johann Ulrich Drießler, whom he

assisted in translating the Lord's Prayer and some bible verses into the Cherokee language. His cell in the barracks served for some time as a literary salon. Priber also wrote the first dictionary of the Cherokee tongue. This manuscript is considered lost, but may be the Compendium printed anonymously in surveyor general Wilhelm Gerhard DeBrahm's Report. Shortly after Oglethorpe left Georgia for England in July 1743, Priber died while still imprisoned at Frederica. He was about 47 years old.

History records John Joachim Zubly, whose father admonished him to expect conflict as the Lord's servant, as a man of inimitable dedication. A learned man, Zubly wrote numerous treatises and sermons that are still in print, traveled throughout the eastern seaboard, and established an extensive correspondence with eminent theologians of his time. He was a long-time friend of Boltzius, George Whitefield and Ezra Stiles— renowned clergyman and seventh president of Yale college—and received M.A. and D.D. degrees from New Jersey College (Princeton). In 1760 he became the first full-time pastor of the Independent Presbyterian Church in Savannah. Zubly acquired a considerable fortune, operated Zubly's ferry across the Savannah river, and was a chosen delegate to the Continental Congress in 1775. According to Philadelphia's Henry Melchior Mühlenberg, "Father of Lutheranism in America," Zubly possessed an extensive library of rare value which was destroyed in the Revolutionary War. Nevertheless, his father's dire predictions came true.

After Boltzius' death, Ebenezer's population became hopelessly divided between patriots and loyalists, even choosing pastors for their

side. Mühlenberg was summoned from Philadelphia and brokered a short-lived peace, consulting with Zubly who hoped to avert war. Because Zubly was an outspoken defender of liberty in many of his printed sermons such as "The Stamp-Act Repealed" (1766), and "The Law of Liberty" (1775), he was sent as a delegate to the Continental Congress. He returned in 1776 when he saw that Congress preferred military to political solutions and was promptly denounced as a traitor. Despite his appeal "To the Grand Jury of the County of Chatham, State of Georgia," Zubly was banished from the state and half of his estate was confiscated. His home and library burnt, his plantation destroyed and family dispersed, Zubly left his earthly life in 1781 on the fiery chariot his father had predicted. John Joachim Zubly was buried in Savannah at an unmarked location.

3rd Annual Hawaii International Conference on Arts and Humanities

Opening the Third Eye: An Introduction to Figure Drawing

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Opening the Third Eye: An Introduction to Figure Drawing

Abstract

It is our belief that figure drawing remains a crucial part of education in the visual arts. At UCF we are committed to maintaining a strong presence of life drawing in the art curriculum and have developed innovative ways of teaching this subject. Our presentation of student drawings will demonstrate the positive impact our class has had on foundation level art students with regard to the timeless subject of the figure.

We have been team teaching foundation life drawing classes at UCF for two years with dramatic results. Our success is due to presenting information in partnership, trading roles in the classroom that emphasize our strengths (and very different personalities!) from our combined thirty years of teaching experience. Robert Rivers (a former rugby player at the University of Georgia) gives motivational "pep" talks that emphasize the energy and commitment that we feel is necessary to make drawings that are beyond the student's expectation. We refer to this process as "getting out of the way" of the drawing. We will illustrate this idea through comparing the first drawing done in a class with later work in the semester. (The difference is often startling.) Rivers' emphasis of line in teaching drawing is based on his experience as a printmaker.

Kevin Haran brings a more analytical approach to the class, identifying more technical and illusionary elements in the student's work. He works more one on one with each student while drawings are in progress. Haran also contributes his experience as a painter, discussing the use of ink washes in the drawings. He also developed a project that involves building paper sculptures of the human skull, where students begin to understand the structure of this essential form. This project has generated excitement in the department and is starting to be integrated into Three Dimensional Design classes at UCF.

The primary philosophy of our course is *that we teach students to use the physical act of making a drawing to see*. The way the eye moves through a form creates the visual armature of the drawing. We begin the class by identifying a subject's four major points of reference or **Intercross**: the highest point, the lowest point, the furthest point on the left and the furthest point on the right *and how they don't line up*. Students practice several methods of observing a form and measuring to find relationships beginning with height vs. width. Later class drawing problems use these simple techniques as a means to reveal the subject. The drawings increase in complexity and duration where students have

the opportunity to combine a variety of drawing concepts such as **Descending Intercross Drawing, Lightning Drawing, Rhythm Drawing, Rock Drawing, Volumetric Contour Drawing, Sculpture Drawing** and **Aerial Drawing**. Throughout the presentation, we will clearly demonstrate these concepts using examples of student work.

The UCF Drawing program has been recognized by the Edinburgh College of Art (Europe's largest art college with a long history of figurative teaching), visiting artists to UCF and a NASAD site assessor. This recognition has been for both the technical and philosophical merit of the work for students at the foundations level.

Title: The Great Hall of the People—*Defining the Socialist Chinese national identity through re-defining the center*

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ABSTRACT

"Throughout history and across the globe, architecture and urban design have been manipulated in the service of politics. Government buildings are an attempt to build governments and support specific regimes."[1] In the era of nation-states, capitol complexes and capital cities are the ruling elites' attempts to consolidate national unity and cultivate national identity. The placement of governmental buildings is an exercise in power, a spatial declaration of political control.

This paper seeks to explore questions of national identity and political power as expressed through the placement, architectural design, and use of the Great Hall of the People in Beijing, China. As the national congress hall of the People's Republic of China (PRC), the Great Hall was designed to be the capitol of the newly established nation. Although real power was and is exercised behind the high walls of *Zhongnanhai* within the Forbidden City, the new capitol complex was constructed as the public face of power. It is an image of the state projected by the central government, intended to represent the new Socialist Chinese reality. Although all buildings are products of social and cultural conditions, monumental state buildings also need to be understood in terms of the political and historical contexts that brought them into being.

The Great Hall of the People was one of the "Ten Great Buildings", a massive Great Leap Forward construction project completed within one year, between 1958 and 1959, for the tenth anniversary of the founding of the PRC. What compelled the central government of the PRC to charge forward so aggressively at that particular time in

modern Chinese history? In the context of the new socialist nation, recently emerged from decades of internal and external warfare, what image of the nation was the government trying to project between 1958 and 1960? What kind of citizenry was it trying to construct and what was the desired relationship between people and government? Finally, how are the above expressed in the relationship between space and ritual, between communist party ideology and the way the spaces were actually used?

This paper is only a first step in investigating the architectural and political significance of the Great Hall of the People and is organized into six chapters—introduction, history and context, placement, design, use, and conclusion. Chapter One, "Introduction", describes the location of the Great Hall and briefly reviews the meaning of architecture in Chinese history. Chapter Two, "History and Context – Constructing the capital", discusses the historical and political background for selecting Beijing as the capital city and the construction of the Great Hall of the People and the Ten Great Buildings. It traces the *story* of the construction process and analyzes those events as a nation-building narrative in which the myth of a powerful nation is created and the character of a model citizen is defined. Chapter Three, "Placement – Reinforcing central power", examines the siting of the capitol complex and the political significance of its location. It investigates the Chinese Communist Party's manipulation of power through historical and spatial means and the intended power relationship between the state and its people. Chapter Four, "Design – Creating the Socialist Chinese National Identity", critiques the design of the Great Hall and the intentions behind the design. It examines the Party's claim that the PRC is a united nation in which the people are the masters (*renmin dangjia zuozu*) and how that proclamation is expressed through the building. Chapter Five, "Use – Asserting meaning without function", examines the lack of a clear program[2] for the building and the gap between ideology and reality. It questions the symbolic significance of the Great Hall and suggests that despite the efforts of the Chinese Communist Party, the building stands not as a shining symbol of the PRC but as a wall delineating the western boundary of Tiananmen Square. Chapter Six concludes the paper with a brief discussion of the state of the Great Hall today.

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[1] Vale, Lawrence (1992), 3

[2] "Program" in architecture is the uses and activities of a building and usually includes scope and budget.

1. Title: **Charles Ives: A Portrait in Song, a Melding of Life Experience and Musical Expression**

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Charles Ives: A Portrait in Song, a Melding of Life Experience and Musical Expression

Dr. Bradley Robinson

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ABSTRACT

Charles Edward Ives (1874-1954) stands out as one of the most innovative, and versatile composers of his generation. He firmly believed that the most important aspect of a composition was its substance, that is to say, the spiritual message which the composer felt and wished to convey. The manner, or the medium and style used in the composition, was secondary. Ives felt that this substance could be carried in several manners, and expressed disdain for those composers who limited themselves in either the number of media or the styles which they employed. Ives often took an idea, and expressed it in different musical settings. During a relatively brief career as an active composer, Ives wrote for a broad variety of media that included symphony orchestra, various chamber groups, band, keyboard, solo instruments, chorus, and solo voice with piano and/or orchestral accompaniment. The broad range of media and compositional techniques he used was also a direct reflection of the diverse subject matter which he sought to express. This diversity was largely due to the fact that he generally drew upon his own beliefs and numerous personal life experiences for subject matter. In order to share this music more publicly, Ives arranged many of his instrumental works for solo voice and piano, without losing the spirit which they originally conveyed. In fact, almost one half of Charles Ives's songs stem from his earlier chamber works (both with and without voice) which were arranged for solo voice and piano. The study of those early works is valuable to both the singer and accompanist in making interpretive decisions. Too often though, the collegiate teacher and/or

performer, unaware of these aspects of the music, neglects this step, and thus fails to take advantage of the wide range of compositional styles and dramatic possibilities in the literature when planning studio and literature-class programs. Several of my songs fall into this category, as their musical roots can be traced to "parent works" which represent a wide variety of media. This program will demonstrate the deeper level of understanding and enjoyment of the music which one can attain by having knowledge of the inspiration behind the song's parent work(s).

This lecture/recital will also show how the enormous variety of styles and subject content within the song literature of Charles Ives directly relates to 1) the composer's method of drawing upon personal beliefs and experiences for inspiration, 2) his insistence upon letting fidelity to the substance of each subject determine the manner (compositional technique) he chose for expression, and 3) his talent for intuitively finding the appropriate, often very unique manner for each subject. This program will demonstrate the deeper level of understanding of the music which the performer, teacher, and listener of this literature can attain by researching both the composer's life and the song's parent works.

I desire for the audience, be they musicians or simply lovers of music, to experience the great amount of Ives's heart which lies in every piece, be it romantic, philosophical or outlandishly comedic. This recital is designed to highlight, through his music, aspects of Ives's life which are often overlooked. The listener will get to know Charles Ives better by seeing how deeply the manner in which he expressed himself musically was influenced by factors which included events he personally experienced, his attitudes towards commonplace things, philosophic and/or religious beliefs, and his wonderful sense of humor.

Extensive program notes will provide key information (often biographical) which pertains to each work, and will illustrate the diverse body of Ives's earlier works from which many of his

songs originated. The program will demonstrate how I, as a performer/teacher, enable the listener/student (both musicians and non musicians) to better understand and appreciate the messages within this extraordinary body of American song literature, and how the diversity of compositional styles and thematic material found therein makes these songs excellent vehicles for both programming interesting and entertaining recitals, and adding great substance into the academic realms of the private voice studio and history/theory/philosophy classroom.

The City and Its Image
Paris in French Literature

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Abstract

Despite its history of violence and its multifaceted past, Paris is most impressive for its ability to reinvent itself. The capital city not only endures but it remains one of the most beautiful and symbolic cities in the world. This interdisciplinary study examines the various images of Paris in major literary works from the Eighteenth Century through the Twentieth Century.

A dual approach--formal and socio-contextual—will be adopted. Attention is paid to the conflict between the individual and social forces in the city and the metamorphosis of form and content. Through readings of authors who made Paris central in their writings (Montesquieu, Balzac, Zola, Baudelaire, Breton, Queneau….) the richness and complexity of Paris, past and present, are investigated in an analysis of the evolution of the different elements that have contributed to making Paris itself a monument.

Using a chronological structure, the paper establishes links between the various components (topographic, administrative, intellectual, economic, artistic, social) that have contributed to the vitality of Paris and formed its image in the world. Questions addressed include the sources of Paris's urban forms, and the philosophic underpinnings of such holistic notions of urbanism as those of Napoleon and the St. Simonian utopists. The role of the emergence of new locales for social interaction, such as arcades, the rise of capitalism and the emergence of modern consumer culture and the relation of the self to the modern city are also considered. The aim of this research is to examine how capital and modernity came together and to shed light on Paris's role as a model city for both the French provinces and the French sphere of influence in Europe.

Sacha Guitry wrote, "*to be Parisian, it's not to be born in Paris. It's to be reborn in Paris.*"

Paris is a mysterious, magical, mythical city. Great writers, painters, poets, and photographers have immortalized its soul in their works. In this paper, we are going to examine the presence of Paris in the works of three major writers of 19th Century France: Balzac, Zola and Baudelaire.

In 19th century Paris became the capital of modernity. The rapid and seemingly chaotic growth of Paris in the first part of the century rendered city life difficult to decode and represent. Under Baron Haussmann, Paris underwent a stunning transformation. The reconstruction of the urban fabric was designed to celebrate imperial power and the birth of the modern. Just as important, the era saw the rise of a new form of capitalism, dominated by high finance. The sweeping social and physical changes also further divided the city along class lines.

Balzac made Paris central to much of his writing. The *Comédie humaine* is a vast set of more than 90 novels, written in just over twenty hears, between 1828 and Balzac's death in 1850. Balzac had the idea of putting his novels together as the *Comédie humaine* in 1833 according to a plan that divided the works into scenes of private, provincial, Parisian, political, military and rural life—but Paris figures almost everywhere, even as a model, an object of desire for the provinces upon which it casts its shadows. Province is intoxicated for modernity, that is, for Paris.

Reading through the *Comédie humaine* is quite an extraordinary experience: it reveals Balzac's supreme achievement: to dissect and represent the social forces omnipresent within bourgeois society. Balzac, with his profound instinct for reality, understood that the modern life he wished to describe was dominated by one great factor: money. Paris with its great physician, Bianchon, its entrepreneur, Cesar Birotteau, its bankers, Nucingen, du Tillet, with its usurer, Gobseck, with its courtesans, its criminal, Vautrin, is at the center of the work of Balzac, a breeding ground for his mythology. Balzac, however, was not impressed by the beauty of the city. On the contrary he describes the capital as an ugly, filthy place:

> *If the air of the houses in which most bourgeois live is rank, if the atmosphere of the streets hides the cruel vapors lurking in back rooms where the air grows thin, you must also know that, beyond that pestilence, the 40,000 houses of this great city bathe their feet in filth that the government has thus far refused to make any real effort to confine within concrete walls, which alone might prevent the fetid muck from filtering its way through the soil and poisoning the wells, in a subterranean way thereby bestowing upon Lutèce its celebrated name, which in Celtic means "nauseating swamp."* [1]

The hybrid nature of Paris, at once full of life and prone to greed, crime and death, inspired repulsion in Balzac who thought modernity had gone wrong: "*Modern Industry goes about destroying the creations of ancient Art, whose works were as personal to the consumer as they were to the artisan*." [2] Paris had become a city without a past, a city of uprooted multitudes. Balzac was horrified by the capital's frenetic pace, by its cruelty and dynamics as a result of which everyone lived in misery, endlessly ascending and

descending the degrees of misfortune: Old Goriot becomes poorer, Grandet richer but less and less loved. Paris is: *"a vast field, continually stirred up by tempest of self-interest beneath which there swirls a crop of men, more frequently cut down by death than anywhere else, but who are reborn as densely as they were before."* [3] In *La Fille aux yeux d'or* several metaphors make the reference to Dante's descent in hell explicit:

> *For it is not only in jest that Paris has been called an inferno. The epithet is well deserved. There all is smoke, fire, glare, ebullience; everything flares up, falters, dies down, burns up again, sparkles crackles and is consumed. It is forever vomiting fire and flame from its unquenchable crater.* [4]

For Balzac, Paris is the incarnation of evil. To get beneath the surface appearance, to penetrate into the labyrinth of the city, Balzac's descriptions give meaning and character to every aspect of the urban fabric:

> *In Paris, there are certain streets which are in as much disrepute as any man branded with infamy can be. There are also noble streets; there are streets which are just simply decent, and, so to speak, adolescent streets about whose morality the public has not yet formed an opinion. There are murderous streets; streets which are more aged than aged dowagers, respectable streets; streets which are always clean, streets which are always dirty; working class, industrious, mercantile streets. In short, the streets of Paris have human qualities and impress us by their physiognomy with certain ideas against which we are defenseless. There are streets of bad company in which you would not wish to dwell, and there are others in which you would willingly take up your residence….But, Oh! Paris, he who has not admired thy somber passages, thy gleams of light, thy gloomy and silent cul-de-sac; he who has not heard thy murmurs, between midnight and two o'clock in the morning, still knows nothing of thy true poetry nor of thy great and curious contrasts. There is a small number of amateurs, people who never walk heedlessly, who taste their Paris, who possess so completely her physiognomy that they can perceive on it a wart, a mole, a pimple. For others, Paris is always this marvelous monster, an astonishing assemblage of movements, machines and thoughts, the city with a hundred thousand romances, the head of the world. But to the first, Paris is sorrowful or gay, ugly or handsome, living or dead; to them, Paris is a creature; each man , each fraction of a house, is a lobe of the cellular tissue of this great wanton, of whom they know perfectly the head, the heart, and the fantastic manners…* [5]

Physical Parisian space, in itself more or less secondary in Balzac's work , is paralleled by another much more important fictional space, the area Balzac calls "social nature*": "Like nature itself, this social reality is involved with insects, with ephemeral flowers, with trifling incidents but it also throws fire and flame from its eternal crater"* [6]

Balzac, like so many romantics, seeks the essence of the nature of Paris in a unity that alone provides a correspondence between the body and the soul of the city. After having compared Paris to a living creature and having abandoned the convention of Paris—

woman and Paris-monster, Balzac moves to the idea of a global Parisian space based on a fundamental relation between his characters and the places where they live. As of 1830, Balzac introduces the idea that there is not only a conformity between urban space and man, but that the milieu shapes man. Interiors, as seen in *Le Père Goriot, Eugénie Grandet* and *Ferragus*, to take three examples, internalize and mirror social forces. The city becomes a magical, mysterious place that can transform our world and our lives. Hence the creation of the myth of the "Flâneur". In Balzac, it is the role of the flâneur to try to penetrate the mystery of the city and the web of social relations, to make the city legible. It is that totality, that subterranean and architectural thickness of Paris that the *Comédie humaine* expresses through a kaleidoscopic view: The flâneur, says Balzac, can be born anywhere, but he knows only how to live in Paris.

Paris offers to the reader a constantly changing text. Hence the necessity to go under the surface to probe the abyss. In that sense, Balzac is, as Baudelaire wrote, as much a visionary as a realist. Balzac's creations are based on a fundamental principle: the struggle of all against all, of each class against every other class. Thus, we have the incessant war between the young and the old, the poor and the rich, the provinces and Paris. Balzac constructs an understanding of Paris as the capital of pleasure and corruption, a city devoid of morals, principles or feelings: *" In Paris, there is tolerance for everything: the government, the guillotine, church, cholera. You will always be welcome in Parisian society, but if you are not there, no one will miss you",* [7] a city where gold and pleasure lie at the heart of it all, a city where man is wolf to man: *"You have to plunge into this mass of people like a cannonball or else worm your way in by sly corruption.*[8]

Yet many characters in Balzac's works undertake the transition from provincial to Parisian life, as did Balzac himself. Parisian space is to be distinguished from provincial space first of all by its altitude. The familiar expression "To go to Paris" has real meaning in Balzac's universe. The Preface of the *Cabinet des Antiques* evokes the three great ascensional movements to Paris: those of Nobility, Wealth and Talent. As Anaïs de Bergeron says to Lucien de Rubempré in *Les Illusions perdues*. "that's where superior people live." Some, like Rastignac, succeed. Others, like Lucien, don't. (He commits suicide). There is a deep antagonism between the provincial ways and those of the metropolis, as illustrated by the arrival of the Parisian Charles Grandet in Saumur. The words "elegance", "luxe", and "perfection" are applied with impressive emphasis to his clothing. It is easy to imagine the bewilderment of the Grandet, Cruchot, Des Grassins—two worlds that utterly should never have met, and despise each other. Charles is amazed by the lack of sophistication of people in Saumur. He is alluded to as a "mirliflor" by his uncle, an old fashioned term that expresses his contempt for what he calls the effeminate ways of the young man. With Charles, Parisian refinement infiltrates the country. Charles's arrival disorganizes routine, it even opens new gastronomical horizons. Father Grandet still considers sugar as a luxury, hence the scene in which Eugenie puts on the table the sugar container for her cousin Charles can be seen as revolutionary gesture of opposition to her father and his world.

The protagonists, in *Eugénie Grandet*, are the local lawyers, des Grassins, and the notary Cruchot, bent in accumulating capital by usurious practices and the waving of an intricate web of alliances. Their groups, in Balzac, are often powerful enough to subvert the authorities in Paris. The scheming, speculating Grandet is the central part of a network of power that dominates everything in Saumur. He assesses demands in Paris and by selling promptly, makes the value of gold fall. In *Cousine Bette*, Bette succeeds in destroying the aristocratic family she would love to belong to. Thus is cemented the love-hate relationship between Paris and the provinces.

Balzac, we have seen, is primarily occupied with classes of society and no place better than the boarding house in *Père Goriot* gives us a better understanding of the stratification of Parisian society. The *Père Goriot*, which shows us the conquest of Paris by Rastignac and all the excesses and horrors of life in Paris, is certainly one of the best examples of the balzacian novel, and one that illustrates most transparently his presentation of the "pension bourgeoise". The first sixteen pages of the novel are concerned with a description of the pension and its environs. The consistency between environment and personality is remarkable. We understand the character of Mme. Vauquer and of all the other inhabitants of the house, not only in relation to Paris but also in terns of their place in society. The ecology of the city and the character of the inhabitants are reflected in each other. No expression occurs more often in Balzac than the phrase "en harmonie" and the verb "s'accorder". The details of Mme. Vauquers's pension are in harmony with that dining room which oozes misfortune, the atmosphere of her boarding house is denoted by the repetition of such words as "malheurs" (misfortune), "misères" (miseries) which run throughout. Therefore, the mistress is made to explain the pension as the pension implies the person. Balzac wanted, not only to tell the story of *Père Goriot*, but what the bourgeois boarding house symbolizes in the life of Paris. The pension Vauquer represents the most powerful taxonomy of Parisian society: *"Une réunion semblable devait offrir et offrait en petits les éléments d'une société complète."* [9]

Money is a great force in the story. Even Père Goriot, symbol of paternal love, says "money is life". There are several interesting references to the amount each tenant pays for the rent. The reduction of Goriot's rent is a symbol of his abasement. (When Goriot comes to live in the pension, he pays 100 francs a month, later he moves to the floor above and pays 57 francs, then moves again and pays 45 francs). Similarly, in *La Fille aux yeux d'or,* we find ourselves ascending through the floors of a typical Parisian apartment building, noting the class stratifications as we go up. The class structure is clear: at the bottom we find the proletariat. The second sphere is constituted by the lower middle class (merchants, clerks), the third circle is the upper middle class of lawyers, doctors, bankers, desperate to accumulate money. Time is their tyrant because it slips away from them. Above, the world of the artists tortured by their passion and the conquest of glory. We find the same localization of wealth, stratification of society according to the floors of the buildings in *Ferragus.* This figurative universe, however, far from being static, is one of movement, fluidity. Shifts happen. It is possible to transgress, to subvert this spatial pattern. Rastignac lives among the poor students in *Père Goriot,* but he has access to the nobility. His knowledge of the spatiality of the city

is his strength, his power and it is precisely at the funeral of Père Goriot that we see this change. Death in Paris is ugly for Balzac. It is dishonored by insensitivity and greed. As Rastignac stands on the heights of the Père Lachaise cemetery and looks down on Paris, the object of his desire, he pronounces the famous words, "A nous deux, Paris".

> *He saw Paris, spread windingly by along the two banks of the Seine. Lights were beginning to twinkle. His gaze fixed itself almost avidly on the space between the column in the Place Vendome and the cupola of Les Invalides. There lived the world into which he had wished to penetrate. He fastened on the murmurous hive a look that seemed already to be sucking the honey from it and uttered these words: "Now, I am ready for you, Paris."* [10]

Paris has transformed Rastignac.

When Rastignac utters this famous sentence--and as a defiant gesture--decides to dine at Mrs. de Nucingen's, he has understood how to succeed in Paris.

In Zola's *Les Rougon-Macquart,* when the characters Nana, the courtesan, and Saccard, the speculator, challenge Paris to conquer it, it is Paris--its physical reality of mud and plaster--that they hunger for. Their aim is not to infiltrate the aristocracy's salons to succeed, but rather to destroy, to pillage. The courtesan Nana wallows in Paris, crushing it, rotting it. Saccard's triumph in *La Curée* gives him colossal stature.

When he dreams on Montmartre's heights of the future tranformation of Paris, images of violent destruction multiply. Zola speaks of neighborhoods ripped apart by speculators, of "boulevards running over the belly of an old neighborhoods of new streets that are like "the breech opened by cannon fire.

> *Look" says Saccard, laughing like a child, it's raining gold in Paris!…you see the column Vendôme shinning over there? And on the right, La Madeleine…very nice neighborhood, lots to do here. Well, everything is going to burn, as if thrown in the cauldron of a chemist yes, yes, many neighborhoods are going to melt and the people who stir the cauldron will have gold in their hands. Stupid, innocent Paris… It has already started. But it's nothing yet. Look toward Les Halles, Paris has been cut in four sections. Follow my hand. From the boulevard of the Temple to the barrier of the Trone—we'll open breeches. On this side, also-- from La Madeleine to La Plaine Monceau, and a third breech in that direction. Another one over here, another one there, another further on: breeches everywhere. Paris ripped apart, its opened veins, bleeding,*[11]

The developer's speculation is one of the major economic activities which interests Zola in his representation of the capital. He describes how speculation results in constructions of shameful social exploitation (such as in *Germinal*), in hypocritical and dirty bourgeois

buildings that mask the most sordid lechery (*Pot-Bouille*). Zola's Paris is a machine, a locomotive. The stock exchange, la Bourse, has "*the vibration, the roar of the machine with a head full of steam."* The Universal Investment Company is described as, "*an engine crammed full of coal and speeding down the diabolical rails until, in a final crash, it smashes to smithereens and is blown sky-high."* Similarly, the employees of the department store *Au Bonheur des dames* , are "*swept along by the momentum of the machine, abdicating all individuality."*[12] Death is the end. A study of metaphors in *Le Ventre de Paris , au Bonheur des dames,* and *La Curée, L'Argent ,* would show the same destructive vocation in every chapter.

It is impossible to speak of machines in Zola's work without saying that they are going to break, of Paris' houses and business arcades without noticing that the buildings' walls are crumbling. The cracked walls of the houses become a symbol of the disintegration of the familial cell. The muddy street penetrates the closed door. We read in *L'Argent* that the street crossed the entire room. Les Halles is compared to a swamp where even when the weather is nice, the mud remains black and sticky. In *Au Bonheur des dames,* Zola describes the muddy sidewalks where the lechery of the old neighborhoods lurks. And the building in *Pot-Bouille* opens directly on the sewer. Decay is everywhere. Destruction is universal.

Train stations, streets, Les Halles, the banks of the Seine, exhibitions--Paris is present in most of Zola's works. Half of *Rougon-Macquarts* takes place in Paris. However, only a single work, *Une Page d' amour,* is set in Paris. What interests Zola in this work is the progression of passion. *Une Page d'amour*, describes a society where adultery is common, but we don't find the bitterness, the acidity that characterizes *Pot-Bouille*. Rather, in this novel, Paris is the confident and the witness of the drama that Hélène and her daughter live.

Although Parisian by birth, Zola spent all his childhood in Aix-en-Provence. He returned to Paris in 1858 and decided to stay there. He discovered the city with Cézanne and the other Impressionist painters. Very often, already before *Une Page d'amour*, he described the city viewed from above. Saccard in *La Curée*, contemplates Paris from the heights of Montmartre. From the window of the hotel Béraud, Renée discovers the Seine and l'Ile St. Louis. Florent in *Le Ventre de Paris*, admires the waves that the roofs of Les Halles make. The guests, at Gervaise's wedding in *L'Assommoir*, contemplate the city from the top of the Vendôme column. In *Une Page d'amour*, Hélène looks at the city from the window of her bedroom. The five descriptions of the same panorama remind us of the series painted by the Impressionists. The city is first described as, " *an ever-changing and unmeasurable ocean."*[13] Then as Hélène's passion progresses, it is, "*a fire where the two towers of Notre Dame were ablaze like burning torches*. "[14] At the death of her daughter, images of decay and destruction reappear:

> *Hélène stood in front of Paris, …the snow had stopped, …the houses stood all black against the snow where they were sleeping, as if molded by centuries of humidity. Entire streets seemed in ruin, eaten by saltpeter, the roofs nearly collapsing, the windows already broken, … In the direction of Montmartre, the*

light was as limpid and cold as spring water, showing Paris as if it were frozen in a layer of ice.[15]

Rays of light are rare in Zola's work. Here too, all ends in death.

These different views of Paris, corresponding to the evolution in the passion of Hélène, shed light on the roots of Zola's mythical anthropology. While Balzac describes man, Zola describes what is beyond man--the mythic propulsions that move man. Paris is the mirror of these descriptions.

Beauty, evil and self-destruction are also the specters that haunt Baudelaire's Paris, this mysterious, prison-like city, a city of bizarre sights that lurk hidden within its walls. Baudelaire lived in many places in Paris and the city was for him an "infamous city", "a city of filth", a "horrible, horrible city", infatuated with pleasure to an atrocious degree, whether it be in *Tableaux parisiens* or in *Petits Poèmes en prose*. But the city is also for the poet a paradigm for beauty, a place where beauty is hidden in ugliness: *"In murky corners of old capital cities, where everything—horror too—is magical."* [16] Ambivalence is present in all of Beaudelaire's works: "*Parisian life is in spite of everything, fertile in marvelous poetic subjects…It surrounds us like the air we breathe but do not see.*" [17]

Baudelaire's Paris is not the concrete, physical city, but a symbolized, entirely abstract, entirely imagined city. It exists exclusively for Baudelaire as a state of mind, a metaphor for the paradox of human being, the psychological theater of human misery, an allegory of the wretched human condition. Although Baudelaire's imagination is modern, clearly it is not the new Paris of the Second Empire that appeals to him, but the gothic city he discovered in the lithographs of Charles Meryon he so admired and many of the poems in *Tableaux parisiens* excel in the use of the same disquieting devices: the intensification of light and shade whose effect is to alienate and disturb, the description of dramatic anthropomorphical cloud formations, the presence of crows and other threatening birds around monuments, the apparition of buildings that seem to belong to another world. For Baudelaire, Paris is not just a "swarming city" but a nightmarish city full of visions and hallucinations that threaten to engulf the mind.[18] Baudelaire may well have had in mind the lithograph of Meryon's Stryge when he wrote his "Epilogue" for the second edition of *Les Fleurs du mal,* the first lines of which represent the capital under the power of Satan. (Meryon's famous view of the capital shows a gargoyle on the north tower of Notre-Dame, facing over the rooftops of the city, its satanic and grotesque head held in its hands, its tongue hanging out obscenely from its mouth, a personification of lust which impregnates the city.)

Baudelaire foresees the increasing commercialization of Parisian life , a material transformation symbolized by the proliferation of arcades, of big department stores, as we have seen in Zola, as a form of prostitution. In his work, the prostitute becomes the symbol of this modernization. Baudelaire's fascination with the prostitute is captured in the poem "Crépuscule du soir":

Here and there, chimneys begin to smoke.
Whores , mouths gaping, eyelids gray as ash,
Sleep on their feet, leaning against the walls.
And beggar-women, hunched over sagging breasts,
Blow on burning sticks, then on their hands[19]

In Baudelaire's work, the prostitute, the rag picker, the old clown, the beautiful mysterious woman, the blind, all are characters of the urban drama. The great poems of Baudelaire's *Tableaux parisiens*: "Le spleen de Paris", "Le Cygne", "Les sept vieillards", "Les Petites Vieilles", "Les Yeux des pauvres" capture the vibrant intensity of the crowd, the stridincy and chaos of the modern capital.

In Baudelaire's works, the "Flâneur" or "dandy" is an outcast, the incarnation of the other, the alienated self and, at the same time, the visionary who , wandering through the anonimity of the Parisian street scene catches a glimpse of eternity. The poem of Baudelaire that most beautifully represents that eternal element we find in the fleeting, the transitory, the evanescent, and ideal moment in a world that threatens to return to chaos is "A un passante". As with most of the *Tableaux parisiens*, the point of departure is in an anonymous public sphere in the passing of a woman in the deafening noise of the street, a world that takes the terrifying reality of a nightmare in which one is numbed and bewildered by the assaults upon the senses. The fundamental opposition between order and disorder, between harmony and chaos is at the core of the poem. The description of the woman is minimal, reduced to her gesture of lifting the hem of her skirts and to the radiance of her eyes. The fleeting presence suggests a love that can never be realized. After the first chaotic line, we progress to the peaceful description of the woman, "majestic, tall, slender and dressed in mourning". She stands in stark contrast with the harsh reality of the urban scene. She becomes so detached from the discordant clamor of the street that the moment in which the poet catches a glimpse of her seems to stand outside time. Here, as in many poems of *Tableaux parisiens,* we find the conjoined experience of chaos and immobility, of perfection, death and beauty:

Lightening…then darkness! Lovely fugitive
Whose glance has brought one back to life! But where
Is life—not this side of eternity.
Elsewhere! Too far, too late, or never at all! [20]

Baudelaire, however, found its poetic subjects in the old Paris that was rapidly disappearing under Haussmann's vast transformation. In the process the city achieved an aura of capital modernity in both its physical and in its administrative infrastructure that has lasted to this day. Not everyone appreciated those changes. The Paris of multiplicity and diversity was being erased, replaced by a single city. The rue de Rivoli, with its very straight alignment, was viewed as a symbol of the new Paris. The Goncourt brothers were horrified:

Our Paris, the Paris I which we were born, the Paris of the manners of 1830 and 1848 is disappearing. And it is not disappearing naturally, but morally. Social

> *life is beginning to undergo a great change. I can see women, children, husbands and wives, whole families in the café…. The home is dying. Life is threatening to become public…. I am a stranger to what is coming and what is here, as for example to these new boulevards that have nothing of Balzac's world about them, but make one think of London or some Babylon of the future.*[21]

The poem of Baudelaire, "Le Cygne", written in 1859, evokes the disappearance in the creation of the New Carrousel of the houses in the Louvre that Balzac had described in *Cousine Bette.* The emphasis, however is not upon a self indulgent nostalgia, but on the sense of impermanence, even of the most solid structures. "Le Cygne" so thematically concerned with loss, lack and the impossible return to an origin, is based on a complex structure. The apostrophe to Andromache opens a poetic space in which the poet gathers together, by means of a swan-sign, the past and the present: thinking of Andromache in exile and crossing a site undergoing bourgeois planification, the poet remembers a past sight in that very spot:

> *…I saw*
> *a swan that had broken out of its cage,*
> *webbed feet clumsy on the cobblestones,*
> *white feathers dragging in the uneven ruts*
> *and obstinately pecking at the drains,*
>
> *drenching its enormous wings in the filth*
> *as if in its own lovely lake, crying*
> *Where is the thunder, when will it rain?*
> *I see it still, inevitable myth.*[22]

a sight that takes an emblematic proportion . The swan is elevated to the status of a myth, a sign of exile and alienation in modern urban Paris. The condition of the swan can be seen to reflect the condition of the poet and it instigates a coherent chain of thoughts leading from the exiled "sublime swan" to other exiled poets (Hugo, to whom this poem is dedicated), orphans, prisoners, shipwrecked sailors. As we turn from the first part to the second part of the poem, melancholy is replaced by the modern figure of change. This should not be interpreted, however as a move away from the past, since the figure of Andromache reappears toward the end of the poem. While the poem doesn't provide any closure, one may see this conflict between melancholy and change as the hidden theme of the text and the swan as the sign of equivalence between past and present, between memory and actuality Baudelaire leaves the interpretation to the implied reader.

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NOTES

[1] Balzac, H. de. *Le Père Goriot*, in *Oeuvres*, Pléiade (Paris: Gallimard, 1951), p. 936. Except where otherwise noted, the translations are by the author of this article.
[2] Balzac, H. de. "Beatrix" in *Oeuvres*: Paris. Pléiade, (Paris, Gallimard, 1951) vol 2, p. 320.
[3] Balzac, H. de. *Fille aux yeux d'or* in *Oeuvres*, Pléiade, (Paris: Gallimard, 1965), vol. 5 p. 255.
[4] Balzac, H. de. HT, p. 309, 310.
[5] Balzac H. de. HT, p. 31.
[6] Balzac, H. de. *La Fille aux yeux d'or* in Oeuvres, Pléiade, (Paris: Gallimard, 1965), vol. 5, p. 255-256.
[7] Balzac, H. de. H.T., p. 151.
[8] Balzac, H. de. *La Fille aux yeux d'or*, p. 258.
[9] Balzac, H. de. *Le Père Goriot*, (Paris: Librarie Générale Française, 1995), p. 66.
[10] Balzac, H. de. *Le Père Goriot,* ibid, p. 354.
[11] Zola, E. *La Curée, (*Paris: Fasquelle, 1966), vol. 2, p. 369-370.
[12] Zola, E. *Au Bonheur des Dames, (*Paris: Flammarion, 1971) p. 53, 164.
[13] Zola, E. *Une Page d'amour* (Paris: Garnier-Flammarin), p. 98.
[14] Zola, E. *Une Page d'amour*, ibid p. 160.
[15] Zola, E. *Une Page d'amour*, ibid. p. 345.
[16] Baudelaire, C. "Les Petites Vieilles", trans. Howard, Richard (Boston, Godine Publishing, 1982), p. 34. All translations of Baudelaire are from this edition.
[17] Baudelaire, C. *Salon de 1846*, ch. 18, "De l'héroisme de la vie moderne", in *Oeuvres complètes*, p. 952.
[18] Baudelaire, C. "Les Sept Vieillards", Trans. Howard, Richard (Boston: Godine Publishing 1982), p. 92.
[19] Baudelaire, C. "Crépuscule du soir" p. 99.
[20] Baudelaire, C. "A une passante" p. 97.
[21] Goncourt, E. de. *Journal* (1962) p. 53.
[22] Baudelaire, C. "Le Cygne", p. 90.

Philosophy With a Brush:
Combining the Art of Calligraphy with the Study of Sacred Texts From Confucianism, Taoism, and Buddhism

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Abstract

In "Philosophy With a Brush," I discuss and demonstrate an innovative instructional technique developed and refined over the past ten years at Saint Mary's university of Minnesota. In a junior level great books honors course called "Sacred Texts of the East and Pacific Rim," a traditional three credit seminar is accompanied by a one credit tutorial in Chinese calligraphy. In the seminar, students study and discuss texts from various Eastern traditions, including the *Buddhist Scriptures*, selected Zen *Koans*, the *Ta Tsueh (Great Learning)* and *Analects* of Confucius, the *Tao Te Ching,* and the *Chuang Tzu*. The tutorial is designed to give students an experiential understanding of some of the major principles of Buddhism, Zen, Confucianism, and Taoism.

For example, in studying the *Buddhist Scriptures*, students discover the Eightfold path as laid out by the Buddha. An essential part of the path is Right Mindfulness. In the Buddhist tradition, the *Dhamma*, or ultimate truth of things, is always available and indeed calling out to be seen. It is nothing more than the truth of our own experience, and the practice of mindfulness involves grasping this insight through a kind of knowing that is also an immediate seeing. How can a western student begin to appreciate this challenging concept? For some practitioners of Buddhism, particularly within Zen Buddhism, the practice of calligraphy is itself a kind of "brush meditation" in which the artist tries to cultivate a condition of mindfulness without desire for some future result. As they practice calligraphy, students begin to understand this notion of mindfulness or attentive watchfulness, which allows the painter to become one with the rhythm of nature as it flows through the brush.

The focus in Zen Buddhism on direct experience rather than written teaching, and its use of *koans* and meditation to provoke Enlightenment, can also be difficult concepts for western students to grasp. Like the Zen monk, however, the Zen calligrapher cuts through elaborate doctrines and symbolism so that the art reflects the original purity and simple profundity of Zen. For Zen calligraphers like Gempo and Nantembo, calligraphy was understood as "painting of the mind." The brushwork and flow of the ink expressed the degree of enlightenment of the painter. The experiential nature of the calligraphy tutorial allows students to appreciate Zen concepts that can only be understood through experience.

In the Confucian tradition, calligraphy was one of the five arts of the gentleman. The tutorial thus allows students to practice and refine an essential aspect of Confucian education. Calligraphy can also help them to appreciate some important Confucian principles. In the *Analects*, Confucius stresses the relationship between the notion of *li*, or ritual, and the virtue of *jen* (humanity) that is expressed in ritual. In the Confucian tradition, it is thought that the inner humanity and self-cultivation of a person are expressed through his or her calligraphy. In grinding the ink and preparing the materials used in calligraphy, students thus gain an appreciation for "ritual" in the Confucian sense, and in refining their strokes they can appreciate the discipline and mastery involved in cultivating one's humanity in the Confucian sense.

Finally, the practice of calligraphy allows students to engage the Taoist appreciation of nature in a concrete way. Water is a frequent motif in the *Tao Te Ching*, where it symbolizes the Sages attitude of following the Tao: "Best to be like water, which loves the ten thousand things and does not contend." The appreciation of calligraphy is also closely tied to nature, and students learn to see their strokes as suggestive of rugged tree branches, winding rivers and furrowed mountains, and as having poor or excellent bone, muscle and blood. As Chiang Yee points out, "every tiny stroke of a piece of fine calligraphy, inspired by some natural object, has the energy of a living thing... We strive to make our [calligraphy] appear as if it had itself grown naturally. To achieve this is great joy.... " (*Chinese Calligraphy.* Cambridge: Harvard University Press, 1973.)

Both the seminar and the tutorial are discussed in the workshop:

1) The various books used in the seminar and way in which the Calligraphy tutorial can enhance the study of these sacred texts will be discussed, in the ways I have outlined above. A list of the materials and resources needed for offering such a tutorial will be provided. Assessment of the success of the tutorial in achieving the following course outcome will be presented: "Students will demonstrate an appreciation of the fundamental principles of Chinese aesthetics and Confucian and Zen Buddhist philosophical principles as applied to the practice of Calligraphy and will apply that understanding in their own works of calligraphy."

2) An actual demonstration and "mini tutorial" will allow each participant to experience brush meditation. Attendees of the workshop will have the opportunity to practice brush strokes and paint a Chinese character from the *Buddhist Scriptures* on traditional Japanese *shikishi* or "rice paper board." Materials will be provided.

3) A brief discussion of assessment of the tutorial's ability to communicate themes from the course will conclude the workshop.

Proposal for Hawaii International Conference on Arts and Humanities

Putting Our Heads Together:
Collaborative Teaching in a University Learning Community

Cross-disciplinary English/Cultural Anthropology

Poster Session

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Proposal Abstract

Learning community programs are growing in universities and community colleges across the country. Communities are an attractive option for incoming freshmen to establish relationships with a group of other students while they fulfill two or three general education requirements. These communities can also be enriching experiences for teachers as they get to know and collaborate with professors from other disciplines on campus. However, with limited budgets and resources, many campuses have been unable to offer adequate training for faculty to help them develop their communities.

We teach a university learning community that pairs Freshman Composition and Introduction to Cultural Anthropology. In a poster session, we will be sharing with interested faculty our research into the beginnings and development of the learning community concept, how the learning community program successfully operates on our campus, as well as the goals and the practical classroom applications we have developed for our own learning community.

UNDERGRADUATE INSTRUMENTAL CONDUCTING CURRICULA: A SURVEY OF THE OPERATIONAL CURRICULUM AND PEDAGOGOICAL TECHNIQUES RELATIVE TO BALANCE, BLEND AND INTONATION

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Abstract

The purpose of this study was to examine general demographics, the operational curricula of undergraduate conducting classes, and teaching methods conducting instructors utilized to approach ensemble concerns of balance, blend and intonation. One hundred-fifty NASM accredited music schools, each with a minimum of 200 enrolled music majors, were sent a questionnaire/opinionnaire to determine the overall status of current practices. Seventy respondents (47%) completed the survey.

Although 83% of the respondents stated that it was essential and an additional 17% stated it was very important for students to conduct a live ensemble, 61% of the students did not conduct a lab ensemble and 10% of the students did not conduct a peer ensemble. Of the students who did conduct a peer ensemble, 54% conducted for 10 minutes or less per week. Results of the study reflected that disparity existed between philosophical beliefs and class realities. With conducting time limited, the level of skill attainable by the novice conductor is perhaps compromised.

A large percentage of respondents (77%) indicated that basic conducting technique and rehearsal procedures should be addressed in undergraduate instrumental conducting classes. However, many identified limitations to addressing rehearsal procedures. Of the respondents, 50% addressed instrument deficiencies, 63% addressed warmup exercises, 69% addressed tuning procedures, and 83% addressed error detection/correction.

In the areas of balance, blend and intonation, 67% of the respondents provided instruction, and 33% of respondents did not answer the questions or stated "not applicable" to their course. This differed from those who stated that presenting the concepts of ensemble tone quality (balance, blend and intonation) were essential (49%) or very important (33%) with a cumulative percentage of 82%. Finally, only 67% of respondents reported methods of conveying necessary information for developing skill in the areas of balance, blend and intonation.

Although the overwhelming percentage of instructors believed that elements of tone quality (balance, blend and intonation) should be covered during the undergraduate conducting course, only 73% of respondents actually related information during their classes. This information leads to the conculsion that although most respondents agree that presenting the concepts of ensemble tone quality is important, some instructors have difficulties incorporating it into the curriculum. Because of the difficulty in developing adequate skills in this area of conducting, the novice conductor may lack the

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Comparison of three Spanish classes: Implicit and Explicit Focus on Form

Abstract

Data for this study were obtained from the tape recording, observation and the use of field notes in three sections of an intermediate Spanish course at two universities in the Northeast. Data also came from an interview with each of the instructors.

There is one main research question: What are the differences in Spanish oral performance between groups taught by an explicit or implicit method of error correction?

At the same time there are three sub questions:

- What is the ratio of L1-L2 spoken in class?
- For what functions is each language used?
- What is the relationship between teachers' espoused beliefs and classroom practices in regards to the use of L1 and L2?

Results seem to indicate that there is consistency between beliefs regarding the use of L1 and L2 in two of the instructors, but not in the third instructor. There is also a large amount of focus on language forms and use of restricted and minimal linguistic forms due in part to the lack of flexibility that the text's exercises allow and also due to close adherence to the text.

Review of Literature

A. Input

The input in the classroom comes especially from the teacher, but there could also be input generated by the students, either through group work or interaction in the target language. This study takes into consideration input coming from both, students and instructors.

In the second language literature there is a prevalent assumption that the continuous use of the target language, especially at higher levels is necessary (Chaudron, 1988; Day, 1985; Krashen, 1982; Ellis, 1984). Using the target language, in this case Spanish, as much as possible, would be a benefit for the students, as R. Day (1985) explained: "It is widely assumed that the use of the target language is one of the crucial variables in the successful acquisition of the target language – the more often students use or practice the second or foreign language, the more likely they are to learn it" (p. 257).

Nevertheless, we cannot affirm that all types of input would be of great benefit to foreign language students: input should be meaningful and comprehensible. Regarding the first factor, Selinker (1972) explains that psychologically relevant data in second language learning as well as relevant behavioral events lead to meaningful performance and therefore are relevant to second language learning. This same author further argues that given that second language information should be meaningful, then the "performance of drills in a second-language classroom is, by definition, not meaningful performance" (Selinker 1972, p. 210) and therefore it is of

minor interest. As we see, input should be meaningful, but given that drill exercises are not meaningful data to students, drill exercises are not a good approach to teaching a second or foreign language.

Regarding the second factor, comprehensible input, in 1980 Krashen proposed the input hypothesis, which is summarized by Gass and Madden (1985): "in order for acquisition to take place learners need to have comprehensible input. They further claim that this input must be at a stage slightly beyond the competence of the learner (i+1)" (p. 5). We see that without comprehensible input there is no acquisition; input drives the acquisition process. At the same time, given that one step over the students' level may not correspond to native speakers discourse the type of speech used by the teacher, as well as the other sources of input may will rather have to be simplified. This simplified speech used by the teacher receives different names, such as "baby talk", "motherese" and "caretaker speech" (Snow, 1972), but since these terms seem more appropriate for children, in this study I will use the term adopted by Ferguson (1971), "foreigner talk".

Gass and Madden (1985) explain, "Some of the salient characteristics of FT [foreigner talk] are slower rate of speech, louder speech, longer pauses, common vocabulary, few idioms, greater use of gestures, more repetition, more summaries preceding utterances, shorter utterances, and more deliberate articulation" (p. 4). With the use of foreigner talk students may understand simple speech without the teacher having to dictate the class in English and therefore use the target language.

B. Negotiation of Meaning

According to De la Fuente (2002) "Negotiation is usually defined as conversational modifications or adjustments that take place in communicative interactions between a native (NS) and nonnative (NNS) and also between nonnative speakers" (p. 82). At the same time Pica (1996) explains:

> Throughout the research which has been carried out on negotiation, it [negotiation of meaning] has been viewed as an activity through which L2 learners and interlocutors work together linguistically to repair or resolve impasses in communication and come to an understanding of each other's message meaning (p. 2).

Another reason why negotiation of meaning is important is because it not only enhances understanding, but also encourages L2 production, or in other words, output. As De la Fuente (2002) explains, "Negotiation can promote acquisition because it allows learners to understand words and structures beyond their present level of competence and, eventually, to incorporate them into their L2 production" (p. 83).

C. Output

Along with comprehensible input, there also needs to be comprehensible output. Swain's output hypothesis (1985, 1995) supports the idea that comprehensible input is not enough to promote language learning, but that comprehensible output is also

necessary. In other words, receiving comprehensible input and producing comprehensible output are essential to second language learning.

Comprehensible output implies "the delivery of a message that is not only conveyed, but that is conveyed precisely, coherently, and appropriately" (Swain 1986, p. 249). A necessary way of improving comprehensible output is by speaking. Therefore, there is a necessity of communicative oriented foreign and second language classrooms that encourage and push students to produce the L2 (Day, 1990; De la Fuente, 2002, Allen, Fröhlich and Spada, 1983). Regarding this issue, De la Fuente (2002) found in a study she carried out that "Some form of negotiation that incorporates pushed output may facilitate noticing" (p. 83). At the same time, there is also a metalinguistic function of output, which consists on making the students reflect on their L2 usage and eventually internalizing new L2 forms (De la Fuente, 2002; Swain, 1990).

As underlined by Pica (1996), "comprehension of unfamiliar L2 input and production of modified interlanguage output are what are needed if learners are to move beyond their current level of development (p. 2). As we see, noticing, awareness of one's gaps in communication and the metalinguistic function of reflection are important factors and reasons to push students into producing the target language, as researchers in the topic believe. This noticing and further reflection on one's gaps may be addressed through error correction, leading into focusing on the ill form, or error. A way of focusing into the error is focus on form, which is the next topic.

D. Focus on Form

The motivation for focus on form (FonF) arises from the fact that research on immersion and naturalistic acquisition suggest that when instruction is purely communicative and meaning oriented, without noticing mistakes or having awareness of errors, some linguistic factors are not acquired at target-like levels (Doughty and Williams, 1998; Harley, 1992; Harley and Swain, 1984). For this reason, focus on form may be necessary.

Focus on form takes meaning and communication into consideration before form. As Long (1991) explains: "focus on form … overtly draws students' attention to linguistic elements as they arise incidentally in lessons whose overriding focus is on meaning or communication" (pp. 45-46). Long and Robinson, (1998) explain that "during an otherwise meaning–focused classroom lesson, focus on form consists of an occasional shift of attention to linguistic code features – by the teacher and/or one or more students – triggered by perceived problems with comprehension or production" (Long and Robinson 1998, p 23).

There are two ways to put FonF into practice: proactive and reactive focus on form. Teachers may adopt a proactive stance by planning in advance the specific form that will take place in the classroom (Doughty and Williams, 1998). On the other hand, teachers may adopt a reactive stance by drawing attention to students' inaccuracies in the production of messages; a way that is more consistent with communicative language teaching (Doughty and Williams, 1998; Long, 1991; Long and Robinson, 1998; Williams, 1997). It is also worth noting that not all inaccuracies are attacked, but only the

ones that occur in a pervasive and systematic fashion and are considered to be remediable (Long, 1991).

FonF may be put into practice either by using an implicit or explicit technique. Doughty and Williams (1998) maintain that the difference between implicit and explicit FonF is that implicit is unobtrusive and mostly imperceptible; it is carried out by the use of examples and in an inductive fashion, namely by the student arriving at conclusions based on examples. The explicit technique, on the other hand, implies the use of rules, deductive approach, the provision of a definition and finally giving examples. The explicit way is more obtrusive and, therefore, noticed by the students. In implicit focus on form "The aim is to attract learner attention and to avoid metalinguistic discussion, always minimizing any interruption to the communication of meaning" (Doughty and Williams 1998, p. 232). In explicit teaching "The aim is to direct learner attention to explicit pedagogical grammar in this regard" (Doughty and Williams 1998, p. 232).

E. Beliefs

In order to study beliefs it is necessary to know what we understand by beliefs, a process which sometimes is complicated to carry out because beliefs "…travel in disguise and often under an alias – attitudes, values, judgments, axioms, opinions …" (Pajares 1992, p. 329), so that when people refer to one of the nouns mentioned here it may actually be that they are referring to beliefs. For our study we have adopted the definition proposed by Rokeach (1969), "Any simple proposition, conscious or unconscious, inferred from what a person says or does, capable of being preceded by the phrase 'I believe that …" (p. 113).

As evidenced in the definition, some beliefs may be hidden in the unconscious, because the individual is not aware of some of the beliefs he/she has. For that reason, "beliefs cannot be directly observed or measured but must be inferred from what people say, intend, and do …" (Pajares 1992, p. 314). Therefore, in order to study them it is necessary not only to ask teachers what their beliefs are, but also to observe their classroom practice several times, so that the conscious and unconscious parts of their belief system could be captured.

With respect to beliefs and second language teaching approaches, among foreign and second language researchers Chaudron (1988) explained that:

> …in the typical foreign language classroom, the common belief is that the fullest competence in the TL [target language] is achieved by means of the teacher providing a rich TL environment, in which not only instruction and drill are executed in the TL but also disciplinary and management operations (p. 121).

The training of new teachers in contemporary teaching procedures during their student teaching and first years of service is then very important in instilling in them appropriate approaches to teaching language that are known to provide better results than lesser effective ones.

It is important that beliefs be challenged from the beginning of the professional career because the earlier a belief is incorporated into the belief structure, the more difficult it is to change (Pajares, 1992; Nespor, 1987; Nisbett and Ross, 1980).

Purpose of the study and research questions

There are few previous studies done on the amount of L1 versus L2 discourse at the college level. Among those, Duff and Polio (1990) analyzed the amount of target language versus English in 13 foreign language classrooms in a large university in California. This study was continued in 1994 (Polio and Duff, 1994) further analyzing 6 of the 13 classes of the previous study, Polio and Duff (1994) arrived at the conclusion that "the more comprehensible TL [target language] input (and output) available to the classroom learners, the better, and we believe that teachers can in fact be taught techniques for using more TL" (p. 323). They also arrived at the conclusion that "conscious raising among teachers is important because they may not realize the extent to which they use English" (p. 323).

The purpose of the following paper is to measure and analyze the amount of Spanish and English language discourse in intermediate Spanish college level classes and to describe the functions for which each language is used. It is essentially a qualitative study, although it incorporates the measurement of the occurrence of Spanish versus English discourse. As Reckard and Cook (1979) explained, quantitative and qualitative research methodologies are mutually dependent.

This study tries to provide answers to a main research question: What are the differences in Spanish oral performance between groups taught by an explicit or implicit method of error correction? At the same time there are three sub questions: What is the ratio of L1-L2 spoken in class? For what functions is each language used? And, What is the relationship between teachers' espoused beliefs and classroom practices in regards to the use of L1 and L2?

METHODOLOGY

Participants

Participants were three college instructors and their students. There were two female professors, teaching two sections of an intermediate Spanish class at a small private college in the Northeast. The third instructor was a male part time instructor, teaching one section of the same level, at a large public university, also in the Northeast. The three instructors were chosen due to their willingness and availability to participate in this study. At the same time, data were obtained from these intermediate level Spanish classes because at this point students had experienced three years of instruction in the high school level, which was the requirement to be placed at this level in both institutions from which data was obtained for this project. All students entered this class directly from high school and were in their freshman year in college.

Data collection

This study consists of the measurement and analysis of the amount of L1 versus L2 in the teaching practices of three Spanish college instructors and beliefs the instructors hold regarding the amount of L1 and L2 that should take place in the classroom. The reason for using observation as an instrument coincides with Day's (1990) view that "the general goal of a qualitative approach is to provide rich, descriptive data about what happens in the second language classroom" (p. 44).

The data were collected through five fifty-minute class observations of each of the three sections, which included an interview with each of the instructors. The techniques for collecting the data were non-participant class observations, the use of field notes and the recording of classes. The class observations were performed by keeping a written record of the most relevant events that took place in the classroom, such as the students' way of conducting themselves during the activities, their responses to the teacher's input, the language used in the teacher's responses to the students, etc. Later, when classes were transcribed verbatim the observations were written in brackets.

During the observations the researcher assumed the role of a non-participant observer, which meant that there was "no involvement with the people or activities studied" (Spradley 1980, p. 59). All of the observed classes were tape recorded and later transcribed verbatim. The recordings were taped on a Wollensak 3M cassette system, which is a sensitive machine and provides the teacher and students' voices with fair clarity. This cassette system was placed on top of the instructor's desk at the beginning of the class and kept there until the end of the class.

The three instructors were interviewed after the second observed class. The reason for this timing was to be able to get initially acquainted with the teaching procedures of each instructor before having the interview. Also, to have a general idea of the instructors' beliefs regarding the use of L1 and L2 after the interview and, through the use of field notes to identify any discrepancies that might exist between expressed beliefs and teaching practice. The information obtained in the interview included the instructors' life history emphasizing their educational background, their experiences learning a second language and work experience, their beliefs regarding the use of target language versus mother tongue and the instructor's perceived reactions from students towards the amount of target language used.

Results on quantification of amount of Spanish and English

The quantification of the amount of each language was estimated by using a 5 second sound device, adding the times that each language was used every 5 seconds and determining percentages for the use of each language. In table 1 we see the percentage of time dedicated to English and to Spanish in each of the three sections.

Table 1: Percentages of the use of L1 and L2 in all three instructors

Percentages	English	Spanish	Silence
Dr. Cervantes	34%	55.6%	10.42%
Dr. Webster	18.12%	54.78%	27.1%
Mr. Valdez	6.56%	91%	2.44%
Average (Mean)	19.56%	67.1%	13.32%

We found that the target language was used more often during class than the mother tongue in every class observed, except for Dr. Cervantes' fifth class, as we see in table 2.

Table 2: Dr. Cervantes' fifth class. L1-L2 alternation

<table>
<tr><th colspan="3">L1 – ENGLISH</th><th colspan="2">L2 - SPANISH</th><th>Total</th><th>Total by Category</th></tr>
<tr><td>Teacher Initiates</td><td>16.8%</td><td rowspan="2">Total L1 Teacher

25.5%</td><td>11.7%</td><td rowspan="2">Total L2 Teacher

13.7%</td><td>28.5%</td><td rowspan="2">39.2%</td></tr>
<tr><td>Teacher Responds</td><td>8.7%</td><td>2%</td><td>10.7%</td></tr>
<tr><td>Student Initiates</td><td>0%</td><td rowspan="2">Total L1 Student 19.7%</td><td>2.5%</td><td rowspan="2">Total L2 Student 19.7%</td><td>2.5%</td><td rowspan="3">41.2%</td></tr>
<tr><td>Student Responds</td><td>19.7%</td><td>17.2%</td><td>36.9%</td></tr>
<tr><td>Choral</td><td colspan="2">0</td><td colspan="2">1.8%</td><td>1.8%</td></tr>
<tr><td>Silence</td><td colspan="4">19.6%</td><td rowspan="2">19.6%</td><td>19.6%</td></tr>
<tr><td>TOTAL</td><td colspan="2">45.2%</td><td colspan="2">35.2%</td><td>100%</td></tr>
</table>

During this fifth class, to which table 2 corresponds, 45.2% of the time English was spoken. Also, we take into account that 19.6% was silence, because of a quiz students took, we have that more than half the time the L1 was used in class. This fifth class observed also seems to show how much L1 and L2 actually took place in the class when there were no oral reports from the students, because the percentage of Spanish decreases significantly.

In general terms, in Dr. Cervantes' class, there was an average of 34% of use of L1, as opposed to 55.6% of use of target language, as we see in table 6, in which we can observe that over one third of the time English was spoken in class.

Table 3: Average of Dr. Cervantes' classes. L1-L2 alternation

L1 – ENGLISH			L2 – SPANISH		Total	Total by Category
Teacher Initiates	15.9%	Total L1 Teacher 21.24%	19.6%	Total L2 Teacher 24%	35.5%	45.39%
Teacher Responds	5.34%		4.4%		9.7%	
Student Initiates	3.1%	Total L1 Student 12.8%	2.32%	Total L2 Student 31.54%	5.42%	44.3%
Student Responds	8.8%		14.88%		23.7%	
Oral Reports	.86 %		13.44%		23.8%	
Choral	0.9%		.9%		14.34%	
Silence	10.4%				10.4%	10.4%
TOTAL	34%		55.6%			100%

In table 3 we can observe that over one third of the time English was spoken in class, as opposed to the target language, which if we take into account that 10.42% of the time there was silence we may find that there was actually not a high use of L2.

Dr. Webster, on the other hand, used only an average of 18.12% of English in class, as we can see in table 4, which summarizes the average of each language spoken during the five classes observed.

Table 4: Average of Dr. Webster's classes. L1-L2 alternation

L1 – ENGLISH			L2 - SPANISH		Total	Total by Category
Teacher Initiates	5.34%	Total L1 Teacher 8%	20.12%	Total L2 Teacher 25.76%	25.46%	33.76%
Teacher Responds	2.66%		5.64%		8.3%	
Student Initiates	4.46%	Total L1 Student 10.12%	2.62%	Total L2 Student 29.2%	7.08%	39.14%
Student Responds	5.46%		13.22%		18.68%	
Student Reports	0.2%		12.76%		12.96%	
Choral	0		0.42%		.42%	
Silence	27.1%				27.1%	27.1%
TOTAL	18.12%		54.78%			100%

We also see here in table 4 that 54.78% of the time Spanish was spoken, which is three times as much as Spanish as English.

On the other hand we find that during Dr. Webster's second class there was only 9.2% of English and 50.9% of Spanish. If we take into account that almost 40% of the time there was silence due to a quiz and a silent individual exercise students solved from the text, we see that the L2 was fare more often than the L1 in class, as exemplified in table 5.

Table 5: Dr. Webster's second class. L1-L2 alternation

L1 – ENGLISH			L2 – SPANISH		Total	Total by Category
Teacher Initiates	4.2%	Total L1 Teacher 4.7%	25%	Total L2 Teacher 27.6%	29.2%	32.3%
Teacher Responds	0.5%		2.6%		3.1%	
Student Initiates	1.5%	Total L2 Student 3.4%	2%	Total L2 Student 24.4%	1.5%	27.8%
Student Responds	3%		21.3%		26.3%	
Choral	0		0		0	
Silence	39.9%				39.9%	39.9%
TOTAL	9.2%		50.9%			100%

From the three instructors observed Mr. Valdez spoke Spanish more frequently than the other two. Mr. Valdez also spoke less English and the percentage of silence in his five classes was lower than those of Dr. Webster and Dr. Cervantes.

If we refer to table 6, we see that the total time spent by the instructor, Mr. Valdez, in speaking English was 6.56%.

Table 6: Average of Dr. Valdez classes. L1-L2 alternation

L1 – ENGLISH			L2 - SPANISH		Total	Total by Category
Teacher Initiates	1.4%	Total L1 Teacher 2.64%	46.94%	Total L2 Teacher 57.2%	48.08%	59.9%
Teacher Responds	1.5%		10.32%		11.82%	
Student Initiates	2.32%	Total L1 Student 3.9%	3.4%	Total L2 Student 33%	5.3%	37.66%
Student Responds	1.6%		29.6%		31.2%	
Choral	0		0.9%		0.9%	
Silence	2.44%				2.44%	2.44%
TOTAL	6.56%		91.04%			100%

Mr. Valdez has a very low amount of use of English. Therefore, communication and class instruction in Mr. Valdez' classes took place mainly in the target language, while Dr. Cervantes and Dr. Webster used a larger amount of L1.

Results of interviews on teachers' beliefs

Dr. Cervantes believes that "At this level teaching should be mostly in Spanish, but if students don't understand an important issue, then one can use English to clarify what was not clear." Regarding the amount of L1 and L2 she believes she uses on class she said: "Whenever possible I speak Spanish to teach grammar concepts, to practice and review them, once in a while, when it is a difficult point or when a test is coming up, like last week, I have to speak English to make sure that the students understand, because that's why I am in the classroom, to clarify things and to make sure they understand. But when it is a normal day I use Spanish almost all the time"

Dr. Cervantes used English approximately one third of the time, 34% and this amount of L1 does not match her belief of using mostly Spanish in class, as she mentioned during the interview. During the last class observed, there was a use of 45.2% of English and lower amount of the target language, 35.2%, as we saw in table 2.

This last class consisted of the instruction and review of grammar, since in the following class there was a chapter test. These results reflect an inconsistency with Dr. Cervantes' beliefs on the language used for grammar instruction. Dr. Cervantes indicated during the interview: "I think the best way to teach a language is by using it. I try to use Spanish in class almost all the time." In the case of this class, as represented in Table 2, there was almost twice the use of English from the part of the instructor, 25.5%, than Spanish, 13.7%. This also illustrates the issue that the amount of target language decreases when there are no oral report presentations. For these reasons, there seems to be a discrepancy between Dr. Cervantes' beliefs on language use and the actual practice.

Dr. Cervantes expressed that one of her goals for the class was o cover all necessary material for this course, s that when the student entered next level they would not be behind other students who did actually cover all necessary material.

In regards to Dr. Webster's beliefs regarding the use of L1 and L2 she expressed: "The percentage that I would like to use and the percentage that I use are two different things. I would say that I would like to use, say ninety percent Spanish and ten percent English. I think I end up doing more like maybe, maybe sixty-forty is what it ends up being, but every once in a while, as I said, I have a good day and the percentage goes, goes way up. Depends really on how I react to the way they react that day".

If we look at table 1, we find that the low percentage use of English and high frequent use of Spanish does not fulfill her belief that the ideal for a foreign language class should be evidence 10% of the students' native language in class, as expressed during the interview. There is also an awareness that what she tries to do and what actually happens in the classroom are two different things, therefore sometimes she

cannot accomplish her goal of teaching ten percent in English and ninety percent in Spanish and it becomes 60% L2 and 40% L1 of actual practice.

These findings support the idea that Dr. Webster's beliefs on the amount of L1 and L2 that she actually uses in the classroom, as opposed to what she wishes would use, are consistent with her practice, whereas Dr. Cervantes' beliefs on this same topic are not always consistent with her actual teaching.

At the same time, Dr. Webster expressed that her goal for the course was for students to develop all our skills: reading, writing, listening and speaking and be able to engage in a conversation in Spanish with native Spanish speakers without a gap in communication. Nevertheless, speaking seems to be the least emphasized part in her actual teaching practice, since students spoke only 7.08% as initiating discourse, as seen in table 4.

From that 7.08% of discourse initiation from the part of students, only 2.62 was in Spanish, while 4.46% took place in English.

In regards to Mr. Valdez, during the interview he expressed that he uses Spanish almost all the time in class. Mr. Valdez said:

> I would say that normally it's one hundred percent Spanish. I only use English once in a while to make sure that everyone has understood. For instance, when I am giving instructions about announcements or certain things I want to make sure, so I say that in Spanish and then I say, Ok. I want to make sure that we all understand and then what I have said is this. But of course, in all that is going on in the class, the discussions that we have, everything, is in Spanish.

Taking into account that Mr. Valdez considers his classes to be almost hundred percent in Spanish, we found that the actual average amount of L2 for his five classes was 91%, while the L1 was spoken 6.56% of the time. These results seem to indicate that Mr. Valdez is aware of the amount of L1 and L2 that take place in his classroom. The very high amount of target language use meets the requirement of continuous use of target language as an assumption of good foreign language teaching practice (Chaudron, 1988; Day, 1985; Krashen, 1982; Ellis, 1984).

Regarding Mr. Valdez teaching practice and the value he assigns to communication in the target language he expressed:

> … at all times I emphasize that [communication] and also, as the students speak and I realize that there is a problem immediately I take that opportunity to try to teach a little bit of grammar or whatever or remind them any particular point of grammar that they are not using properly. And that seems to me that it works well, because when you learn things in

> those circumstances that are not kind of formal, but that's what you find and you move along and work with the language that's very good.

In practice, in Mr. Valdez' classes there is much emphasis on grammar and error correction, but communication, in the sense of conversation, is only expected during the first few minutes of class. During the first minutes of class Mr. Valdez asks students a series of questions regarding what they did the previous days. These questions are usually display questions, which answer was already known by the students and did not require negotiation of meaning or effort from the part of the student to create meaning.

After these initial moments the classes centered on grammar, with the students having the option of choosing the topic, since they are expected to use a specific tense, but the choice of vocabulary relies on the students. In this sense, there seems to be a disparity between his beliefs on the emphasis he puts on communication and the actual practice, that centers on grammar. Further in the interview he ratifies his desire to motivate students to speak in class as a goal for the course:

> Normally, you know, I teach at this intermediate level and at this level the students have really gone though an experience in the language and building vocabulary and knowledge of the basic rules and my assumption, and I think it is quite right is that they haven't have up to this point enough opportunity to speak and they have probably not been challenged to speak because the emphasis has been, you know, to develop structure and vocabulary, probably in most of the cases instruction has been in English. So, at this level, intermediate level, I enter to challenge them and to use Spanish as the language of communication.

The last statement, using "Spanish as the language of communication" seems to be true, due to the high percentage of Spanish use and very low amount of use of L1. What Mr. Valdez seems to refer to is the fact that he allows students to choose the wording when giving examples using a specific tense and also the initial few minutes of class, in which the instructor asks students several questions regarding the past week-end or future plans for Spring break.

Outside this activity there were no other communicatively oriented activities, such as student dialogues or the creation of role play. The class rather assumes a focus on formS approach.

Results on teaching practices

The classes observed at the private college had strong adherence to the text. A typical class for Dr. Cervantes' consisted on starting the class by going directly to grammar material by completing grammar exercises. Also she proceeded to review the homework, read more pages in the text or announcing upcoming evaluations or assignments and then covering new material. The following is an example of Dr. Cervantes' initiation of class, corresponding to the first observed session, in which "T"

stands for teacher, “C” for choral speaking, “S” individual student and XXX for name o a student.

T: Buenos días, estudiantes. [Silence]. Hello! Buenos días! [Good morning, students. Hello! Good morning!]

C: Buenos días. [Good morning].

T: Ok. Lo que vamos a hacer hoy es que vamos a tener las presentaciones y luego les doy las evaluaciones. Yo voy a dar mis evaluaciones … pero quédate, para qué te vas. [Ok. What we are going to do is that were are going to have presentations and then I will give you the evaluations. I will give you my evaluations… but stay, why do you leave?] What’s your last name, señor? I cannot remember.

S: XXXX.

T: Ok. I’ll look for it while we have our presentations. Who’s going to go? [For oral presentations].

S: [Raises hand]

T: Ok. Perfecto. [Talking to a specific student]: Tenemos que hablar. [Talking to the group that is presenting] [We have to talk]. ¿Dos personas nada más? [Two persons, no more?]

S: Uh, third one isn’t here.

T: Whatever, right? Un momentito que me falta papel. Bien. [A little moment, that I am missing paper. Well].

S: Nosotros leímos el capítulo nueve sobre educación en, uh, los países…[We read chapter nine regarding education en, uh, countries...].

As we see in the preceding extract there is neither an introduction, nor a review of preceding information. Class starts by going straight to the topic without initiating any type of communication.

The rest of the class very much resembles this last excerpt, with the difference that instead of reviewing the test, the instructor solves the exercises contained in the text, most of them consisting of fill in the blank exercises. During those grammar exercises the instructor does not provide the answer, but allows students to say the specific word that fills in each blank, as in the next example, that took place during the fifth class:

T: Ok. Pretérito versus el imperfecto. Bien. “David es un nuevo papá. Cuando David… [Ok. Preterit versus imperfect. Well. “David is a new father. When David...”]

C: Era. [Was].

T: Era pequeño, right? [Silence] Hello! Los tiempos… [Was small, right? Hello! Times ...”]

C: Eran. [Were]

T: Eran diferentes. En aquella época los padres no…[Were different. At that time fathers did not...]

C: Cambiaban. [Change].
T: Cambiaban pañales y no… [Change diapers and did not...]
C: Lavaban. [Wash].
T: Lavaban los platos. El padre…[Wash dishes. The father...]
C: Demostraba. [Demonstrated]
T: Demostraba su amor manteniendo a la familia. [Demonstrated his love by supporting the family] Any questions up to here?

In this segment, as in most of the class, students only provided the specific word missing in the exercises and the class centered around the text, grammar and the instructor. Nevertheless, there were times when students carried out long speeches in Spanish; this took place when students presented their oral reports, which took between five and ten minutes and were almost exclusively in Spanish. These oral reports were prepared in advance; students signed up for these reports two weeks before the presenting day; it was a required assignment for the class. Students presented topics related to Spanish-speaking countries, topics that were generally covered in the readings of the book. Students were supposed to explain the topics without reading, but having the aid of notes. Nevertheless, the students brought written papers to class, from which they read aloud; most reports were taken from the text and were reread verbatim. The second part of the presentation was supposed to be based on questions from the instructors and the students. Nevertheless, during the five classes observed in each of the two sections at the private college, students did not raise questions, only the instructor did. There were oral reports during the first, second and fourth classes of Dr. Cervantes' teaching observation. As mentioned previously, oral presentations were almost exclusively in Spanish and provided a boost to the time spent speaking Spanish.

Dr. Webster, on the other hand, developed her lesson in a different way. She started by asking display questions to the students. An example from her second class follows:

T: Ok. Bien. Vamos a comenzar la clase de hoy. ¿Alguien me puede decir qué día es hoy? [Ok. Well. Let's start today's class. Someone can tell me what day is it today ?]

S: Miércoles. [Wednesday].

T: Bien, muy bien, Xx. ¿Y a cuántos estamos? [Well, very well, Xx. And what date is it?]
S: Diecisiete de marzo. [March seventeenth].
T: Sí, sí, ya estamos a diecisiete. ¿De qué año? [Yes, yes, it's already the seventeenth].
S: Dos mil y uno. [Two thousand and one]
T: Del año dos mil uno, muy bien. Bien, para qué vosotros estáis muy cansados. ¿Verdad? Debe ser que se fueron a acostar tarde. Xx, ¿A qué hora te acostaste anoche? [Silence] Dormir, anoche. ¿A qué hora te dormiste anoche? [Year two thousand one, very well. Well, you seem to be very tired.

Right? Must be that you went to sleep late. Xx. What time did you go to sleep last night?].

S: Uhh, yes, tres y mitad. [Uh, three and a half].

T: ¿A las tres y media de la mañana? Pues, ¿Qué pasó. ¿Fuiste a una fiesta el martes por la noche? [At three thirty in the morning? Well, what happened? Did you go to a party on Tuesday night?

The instructor asks open-ended questions, forcing students to try to express their own thoughts in Spanish, at least in a limited way. It is also obvious that in order not to cut communication the instructor allows mistakes without correcting them, as in the use of the present tense expressed by a student "hablo con mis amigos" [I speak with my friends], instead of "Hablaba con mis amigos" [I spoke with my friends], although this verb should be in the imperfect, which is the grammar topic of the chapter. That non-threatening environment of freedom for students to make mistakes without being interrupted and corrected seemed to have provided students with an encouraging communication moment, since students were not afraid to speak and even volunteered to speak. At the same time we see negotiation of meaning, when the instructor tries to convey the question using different, simplified words "dormir, anoche", which also constitutes foreigner talk, explained earlier in this paper.

The rest of the class also focused on grammar, but her way of approaching the exercises was slightly different from Dr. Cervantes, as we see from a part of Dr. Webster's second class:

S: Ten.. tenía [Other students said the answer]. Dos grandes pantallas.[It had two large screens].

T: Why is it imperfect?

S: Describing.

T: Muy bien. Xx. [Very good.Xx].

S: Todos los invitados, hmmm, mi, miraron a los novios. Los invitados est… estaban muy nerviosos. [All the guests, hmmmm, looked at the newly weds. The guests w... were very nervous].

T: Muy bien! Estaban. ¿Alguien me puede decir por qué es 'miraban' y luego 'estaban'? [Very good! They were. Anyone can tell me why is it 'miraban' and luego 'estaban'?]

S: Imperfect.

In this episode we see that students carry out the exercises and besides giving the answers they explain why they think their answer is right. In order for students to arrive at these answers they had a few minutes to find out the possible answers. Sometimes there was group work and sometimes students worked on their own. When students did the exercises by themselves there were periods of silence in the class, which are reflected in tables 1 through 10 under "silence".

If we refer to table 4we also see that 54.78% Spanish was spoken, which is three times as much Spanish as English. There is 27.1% of silence for her classes, mostly due to silent exercises carried out individually and also due to one quiz, taken during the second class. In other classes, such as Dr. Webster's first observed class the amount of silence was very low, as seen in table 7. In table 7 we see that only 6.5% of the time there was silence.

Table 7: Dr. Webster's first class. L1-L2 alternation

<table>
<tr><th colspan="3">L1 – ENGLISH</th><th colspan="2">L2 – SPANISH</th><th>Total</th><th>Total by Category</th></tr>
<tr><td>Teacher Initiates</td><td>7.2%</td><td rowspan="2">Total L1 Teacher

13.7%</td><td>25.6%</td><td rowspan="2">Total L2 Teacher

38.1%</td><td>32.8%</td><td rowspan="2">51.8%</td></tr>
<tr><td>Teacher Responds</td><td>6.5%</td><td>12.5%</td><td>19%</td></tr>
<tr><td>Student Initiates</td><td>1.3%</td><td rowspan="4">Total L1 Student

11.8%</td><td>1.6%</td><td rowspan="4">Total L2 Student

29.9%</td><td>2.9%</td><td rowspan="4">41.7%</td></tr>
<tr><td>Student Responds</td><td>10.5%</td><td>9.3%</td><td>19.8%</td></tr>
<tr><td>Stud. Oral reports</td><td>0%</td><td>19%</td><td>19%</td></tr>
<tr><td>Choral</td><td>0</td><td>0</td><td>0%</td></tr>
<tr><td>Silence</td><td colspan="4">6.5%</td><td rowspan="2">6.5%</td><td>6.5%</td></tr>
<tr><td>TOTAL</td><td colspan="2">25.5%</td><td colspan="2">68%</td><td>100%</td></tr>
</table>

Nevertheless, during the following class, Dr. Webster's second class, the amount of silence was much higher, as we note in table 5, where we see that a total of 39.9% of the time there was silence.

At the state university Mr. Valdez classes started in a more communicative way, except that he was the only person speaking sometimes. More or less the first five minutes of class Mr. Valdez spoke in Spanish and started with a greeting and genuine questions regarding either the upcoming week-end, Spring break or the last week-end. There was always unrestricted use of language in his speech when initiating class, vocabulary varied and although students did not reply verbally, they smiled or nodded. Here we have a small episode of the first class:

T: Buenos días. [Good morning].
C: Buenos días. [Good morning].
T: ¿Cómo están hoy? [Silence]. ¿Cómo están? ¿Están muy contentos de que el descanso de primavera viene muy pronto? ¿Sí? ¿Hay planes interesantes

para el descanso de primavera? ¿No? ¿No hay planes interesantes? ¿Te vas para Pavillion? ¿Nadie se va para eh, dónde es, Cancún, Panama City, Bahamas, esos lugares exóticos y un poco más calurosos que [name of the city]? ¿No? ¿Nadie? Bueno, muy bien, el viernes hablaremos de esos planes. Por hoy vamos a empezar tratando de hacer un poquito de ejercicio sobre este primer tema que nosotros trabajamos en la, el lunes pasado, la situación de pretérito, la situación de imperfecto y la situación de el contraste del pretérito e imperfecto. He escrito acá tres frases, todas relacionadas… [How are you today? How are you? Are you happy that Spring break is coming very soon? Yes? Are there interesting plans for spring break? No? There are no interesting plans? Are you going to Pavillion? Nobody is going to… where is that? Cancun, Panama City, Bahamas? Those exotic places and a little warmer than (name of the city). No? Nobody? Ok. Very well, Friday we are going to talk about those plans. For today we are going to start trying to do a little exercise about this first topic we worked on last Monday, the situation of the preterite, the situation of the imperfect and of the contrast of preterit and imperfect. Here I have written three sentences, all related…]

In this beginning of class there is plenty of speech from the part of the instructor and almost no participation from students, possibly due to the fact that it was the first day that classes were tape recorded.

Then, after the initial greeting, genuine questions and comments, there was a transition in topic towards the grammar aspect treated last class. Once the grammar topic to be covered was mentioned, Mr. Valdez proceeded to exemplify the aspect:

T: Descripción! Muy bien. Para describir. Es cuando nosotros decimos de las características de una persona o de varias personas o de cosas ¿No? Porque podemos describir un edificio, podemos describir un árbol, podemos describir un carro, cualquier cosa ¿No? Entonces, cuando estamos describiendo usamos también el verbo ser. A ver, demos ejemplos en el que describimos y usamos el verbo "ser". [Description! Very well. For describing. It's when we say the caracteristics of a person or several persons or things. Right? Because we can describe a building, we can describe a tree, we can describe a car, any thing. Right? Then, when we describe we use verb 'ser'. Let's see, let's give examples in which we describe and we use verb 'ser'].

S: Ellos son inteligentes. [They are smart].

T: Ellos son inteligentes, muy bien. Perfecto. Traten de usar dos o tres caractrísticas. [They are smart. Very well. Perfect. Try to use two or three characteristics].

S: Mi amiga es alta y delgada. [My friend is tall and thin].

T: Mi amiga es alta y delgada. Muy bien, otra. [My friend is tall and thin. Very well, another one].

S: Mi gato es gordo y perezozo. [My cat is fat and lazy].

This segment provides an example of how students and not the teacher chose the vocabulary, since students created the sentences and were not already written, with a blank space for the verb tense, as it was the case with the other two instructors. In this way, we see that although there is restriction of form there isn't restriction of meaning.

Conclusion

The Spanish classes observed in this study show an increasing focus on language forms, and almost exclusive adherence to the text in two of the three instructors. Grammar instruction rather than communication skills seem to be the emphasis for the two instructors at the private college. Having a focus on linguistic forms and, at the same time, teacher centered classrooms, is a combination that allows little possibility of interaction in the target language. This focus on language form and not in communication creates a restriction on the amount and linguistic forms of language produced by the students. Due to the findings in this research work it seems necessary that foreign language instructors should be trained in alternative approaches that allow more communication in the target language in the classroom. It would also be of great benefit that future foreign language teachers are video taped or tape recorded in order to rehearse activities and learn alternative approaches. As Antón (1999) suggested: "Teachers can engage learners in the negotiation of meaning, language forms, and classroom rules by using various discoursive moves, and in so doing can also promote leaner's active mental participation, which may have a role in L2 learning" (p. 305). It could also be recommendable to require future instructors to take classes in the department of education, since the two female instructors in this study seem to have the idea that covering the material required for the semester is an important goal. If trained into communicatively oriented methods, future teachers may adopt such approaches as their beliefs for language teaching. The third instructor, who comes from an education department, tries to emphasize communication and has the belief, although not always put into practice, that at this level students should be encouraged to speak and that communication should be emphasized. When the future teachers take alternative more communicative activities and find them to be satisfactory they could be adopted as regular practice, as expressed before by Guskey (1986) and, therefore, beliefs on amount and quality of the target language use would change into accomodating communicative oriented activities and making communication rather than form the focus of instruction. Given that input, output and negotiation of meaning are important issues for teaching a foreign language, the activities that take place in the classroom should be conducive to these three aspects of language learning. For this reason, communicatively oriented classes are necessary. Activities that are conducive to communicatively oriented classrooms, such as pair and group work, dictogloss, conversation and debates, force students to understand, negotiate and produce language with the help of peers, which provides a less intimidating way of communication, allowing students to interact with their classmates and ask for clarification.

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The Blonde and the Spaniard: Marilyn Monroe's Influence on Pedro Almodóvar

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1." PALEOPATHOLOGY AND OSTEOBIOGRAPHY OF THE ARCHAIC PERIOD PEOPLES OF GUANAQUEROS ",

2. ARCHAEOLOGY,

3. Paper Session,

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ABSTRACT

Chile'semiarid north is well known for its excellently preserved osteological collections that cover a period of at least 3,000 years and are elaborately documented through achaeology. Among these collections are those representing the Archaic period excavated in 1995 from Guanaqueros- a littoral site that has yielded exceptionally well preserved human skeletal remains. This has permitted documentation of paleopathological conditions, demography, and associated zooarchaeological evidence available in a database housed at the Museo de La Serena. The database is currently used as baseline information to understand biological and cultural adaptations of Archaic period peoples of Chile's littoral.

The sample is composed of a minimum of thirty-nine individuals, three sub-adults and thirty-six adults, with most adults dying in their fourth decade. There are twenty-one males, ten females, and six individuals of unknown sex. The long bone measurements indicate a stature range for females of 153-158 cm and for males of 162-1760 cm.. The stature and cranial traits indicate the population to fall within the ranges described for ancient Native Americans of various investigators. The analysis of the animal remains

indicates a maritime diet composed mostly of carangoid fishes (e.g., jurel), a variety of shellfish (e.g., *argopecten purpuratus*), and sea lion. The objectives of this study and communication are to: (a) describe the patterns of dental and skeletal disease (e.g., dental abscesses and caries, trauma to the long bones, osteoarthritis); (b) document animal remains as evidence for diet; (c) establish anthropometry for stature calculations; and (d) describe the conservation protocols applied to date to protect the remains.

Under Construction:
The Morality of Gender
In Contemporary Theatre

A Work-in-Progress Report in
Theatre, Education, and Feminist Studies

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Abstract:

This presentation is a work-in-progress report on theoretical research and the application of theory into creative practice undertaken in the areas of theatre, education and feminist studies. This two-part project explores the role of morality in theatre as both an instrument of maintaining the power of the status quo and as an agent of social change. The paper will evaluate this duality, as it surveys the use morality as a theatrical device in Greek and Roman drama and in medieval morality plays. This exploration poses the following questions: *How has morality served* as *an agent of control? How has it disguised itself? Is it an effective tool for social change? And what is the role of morality in post-modernist theater?*

The creative work – a play loosely based on the morality play *Everyman* – adopts the frame of the morality play only to question the very intention of moral teaching and indoctrinating in relation to the representation of identity in American immigrant/ intergenerational culture. In this story between a mother and daughter, the "moral" issue is choosing when and how to "represent" the truth, challenging what that truth is, and how to negotiate the boundaries between the personal and the political in American identity politics. In a simultaneously diversified and globalized world, this spotlight on morality raises questions about the relationship between values, choice, and human nature for every, and any, person who dares to be seen in America.

War, Heroism and Disability: Constructions of Masculinity in "Coming Home" and "Born on the 4th of July"

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That masculinity, like femininity, is a social construction rather than an essence has been asserted by theoreticians of gender studies, but has received less scholarly attention. Heterosexual masculinity, in particular, has been a neglected subject. The concept of disability as a social construction is by now familiar, at least within disability studies, ever since Rosemarie Garland-Thomson's theory of the disabled body as an "extraordinary body," not lacking, but different, and sometimes better than ordinary. In this paper, I intend to bring together the theories concerning the social constructions of masculinity and disability. These two films both intertwine the concept of heroism (regarding military roles) with what it means to be a man, and the changes in the characters' roles from traditional warriors to antiwar activists are played out through their bodies.

In the films "Coming Home" and "Born on the 4th of July," sexuality and masculinity are central issues. Both films feature male characters disabled by spinal cord injuries in the Vietnam War. Although the men start out as unquestioningly nationalistic, after returning to the U.S., they gradually realize the extent of the government's cynical mendacity in sending them to a war they were not supposed to win. In both films, the main character gradually revises his view not only of the government's cold war foreign policy, but also the nature of heroism and manhood.

In "Born on the 4th of July," which is based on the autobiography of Ron Kovic of Vietnam Veterans against the War, Heroism is based on the twin pillars of religious sacrifice and nationalistic sacrifice. They are almost indistinguishable, since the actions of America in the cold war against the advances of communism are assumed to be virtually a holy war. Toward the end of the film, when Kovic is able to recognize that Vietnam is a country with a "proud tradition of resistance," a parallel is drawn implicitly with his ability to recognize his own personal development of a different type of heroism based on resistance. As he once felt called to "stop communism" (his mother in the film even says, "it's God's will that you go. Communism has to be stopped!") Kovic in the end senses his calling as an antiwar leader: stopping American aggression in Indochina.

One of the problems with the film, however, is a pervasive "higher purpose" theology. The film seems to view Kovic's sacrifice, and therefore his disability, as serving a higher purpose. The idea that his spinal cord injury is part of a larger divine design remains uncritiqued within the film. His sexual issues remain problematic also, leaving the impression that his sexuality has been sacrificed for a higher spiritual calling. This theological construction positions the body, especially its sexual aspect, as inferior to the spirit, a seriously flawed dualism that has plagued Christianity almost since its inception, and which has been extensively critiqued within feminist discourses of the body.

"Coming Home" avoids the dualism of body and spirit while covering much of the same ground as "Born on the 4th of July." In "Coming Home," the Kovic-like main character, Luke Martin, undergoes the same metamorphosis from gung-ho marine to antiwar protest leader. His redefinition of heroism and manhood is more multidimensional, however. The

character evolves from self-centered "jock" to an alternative kind of earthy father-figure. As the film progresses, Luke begins to reach out and develop an ethic of care. He is constantly shown gently comforting and protecting the other characters, even those who choose to view him as an enemy. A symbol of his redefinition of masculinity appears near the end of the film when his rival for a woman's affections (her husband Bob Hyde) pulls out a gun with a bayonet, a blatant phallic symbol. As the man threatens Luke and the woman (Sally) with it, Luke gently wrests it from the man's fingers, empties the bullets and folds down the blade of the bayonet in favor of a verbal solution to the love triangle.

Luke's confidence as a man reclaiming his sexuality is also different in "Coming Home." Early in the film, Sally is shown in bed with her husband Bob, making love in the classic missionary position the night before his departure for Vietnam. She looks placid yet bored, and Bob, intent on his own satisfaction, seems entirely unaware of her demeanor. Later in the film, when Luke and Sally finally spend the night together, not coincidentally right after his first act of anti-war protest, she has her first orgasm through oral sex with Luke. The scene is passionate and tender at the same time. The juxtaposition of the two sex scenes calls to mind Rose Marie Thompson's concept of disabled bodies as "extraordinary bodies." Luke's way of making love is not just adaptive in its difference (although it is that too), but is shown to be superior, at least for Sally, who exclaims upon experiencing her first orgasm, "that has never happened to me before!" She is moved to tears. Her able-bodied husband gave her only ordinary sex, but Luke, with his "extraordinary body" was able to give her extraordinary sex.

Placing the sex scene right after his first political act as a protester combines his redefinition of masculinity with his redefinition of heroism. He becomes a different kind of hero through a genuine concern for others: chaining himself to a gate trying to keep others from going to Vietnam. His way of making love with Sally and his concern for her feelings is exactly the opposite of her husband's conventional (and self-oriented) masculinity. In contrast to the characterization of Kovic in "Born on the 4th of July," "Coming Home" never forces a "higher purpose" theology on its characters. Luke's reintegration of a meaningful sex life into his new life as an antiwar activist makes him a more complete human being without the dualism of body sacrificed for spirit. His spirit (and the "higher purpose" of his life) is expressed through his body, both in his passionate sexual relationship with Sally, and in his act of protest in chaining his disabled body, wheelchair and all, to a recruiting station gate. Therefore his alternative construction of masculinity is fully integrated with an alternative type of heroism and an alternative ethic of care which he extends outward toward every other character in the film.

Working Title:
The Performing Artist and the Light Within:
How the Science and Spirit of Light Come Together in Performance

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Abstract:
The author, Rhonda Rubinson, is both a working lighting designer and practicing Episcopal priest. The daily balancing of two vocations gives her the opportunity to deal with light on many different levels, both onstage and in the context of ministry. In an upcoming book, she examines the interconnections between the spiritual, physical, and artistic aspects of light.

The text combines modern scientific information on light and energy with analysis of published writings on the subject of light along with original biblical exegesis. Because Ms.Rubinson is trained in the Judeo-Christian tradition, the theological writings as well as artistic and performing arts examples are drawn from western tradition. Essays in the book are designed to introduce the complexity of the subject matter, and draw connections where the reader most likely has not seen them before, thereby promoting expanded awareness of the role of light in our lives and in performance.

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Title: Summer abroad: does it make a difference?
Area: Second Language Studies
Format: Paper

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Abstract
This paper studies the effects that a five-week summer program in Spain has on the language proficiency of a group of intermediate Spanish students from a US university. The study, still in progress, focuses on improvements on oral and writing proficiency, and compares the gains experienced by this group to those of a group of students from the same university who took a regular summer course at their home institution.
The author, an Oral Proficiency Interviewer certified by the American Council on the Teaching of Foreign Languages (ACTFL), developed two instruments to measure oral and writing language proficiency respectively. Both tests were designed following the ACTFL proficiency guidelines.
Using these testing instruments, both groups were assessed before and after their summer courses. Two independent raters evaluated the students' language proficiency following an ad hoc scale designed by the author in accordance with ACTFL guidelines and proficiency levels. The results were analyzed and compared (analysis is currently in progress).
The outcomes of this study will shed light on the controversy over the linguistic value of summer study abroad and will also serve the more practical purpose of informing institutional policies on the granting of credit for summer courses abroad.

THE END OF A SOLITARY LIFE AND THE END OF AN ERA: THE INTROSPECTIVE PIANO PIECES OF JOHANNES BRAHMS

MUSIC/PERFORMING ARTS

WORKSHOP – 90 minutes

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ABSTRACT

Johannes Brahms was one of the great late-nineteenth century composers, in many musicians' minds the greatest. Coming at the end of the Romantic era in music, his work is often viewed as the culmination of romantic compostion—work that could go no further in the personal expression of the individual. Ten years after his death in 1896, the musical world was already setting off into the myriad of compositional styles that would characterize the twentieth century. The personal expressiveness that characterized much of Brahms' work was never again to hold sway, particularly in the area of music composed for piano. Indeed, Brahms was viewed by many in his own lifetime as being an anachronism.

Brahms' personal life—while successful in terms of fame and income—was tragically lonely. He never married, had few really close friends, lived simply, and felt increasingly marginalized as his life progressed. In the late 1880s and early 1890s, Brahms' health took a turn for the worse. Although not yet sixty, Brahms did not expect to live much longer. During this period, he composed what turned out to be his final solo piano compositions—twenty short piano pieces (collected in his Op.116-119). Among these works are some of the most beautiful piano pieces ever composed—heartfelt yet not overly sentimental, works that affect with equal impact the simplest non-musician and the most sophisticated cognoscenti.

This presentation will consist of performances of approximately half of these twenty pieces. Performance time will be about 45 minutes. Commentary on Brahms' life, his deserved place in the musical pantheon, and special focus on his personal life will take another 45 minutes.

THE PIANO DUET PINNACLE—JOHANNES BRAHMS' HUNGARIAN DANCES

MUSIC/PERFORMING ARTS

WORKSHOP – 90 minutes

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ABSTRACT

From the 1770s until the present day, most of the great composers for piano have written music for piano duet. Most of this repertoire never reaches the same level of popularity as a given composer's major solo works for the instrument. One reason for this is that piano duets are, contrary to what one might think, quite difficult to play. They require tremendous amounts of collaborative practice by exceptional pianists who share a common goal. The actual musical content of the great composers' duets, however, is just as excellent as their works in the piano solo genre. It can be argued that the pinnacle of the piano duet can be heard in the two sets of Hungarian Dances by Johannes Brahms.

Brahms' popularity as a late Romantic composer, both with the concert-going public and as seen from a historic perspective, is derived from his work in many genres—symphony, large choral works, string quartets, works for solo piano, and many others. His Hungarian Dances for piano duet were transcribed by the composer himself for orchestra and are continual concert favorites. These duets are highly complex works to perform, yet most congenial for all listeners to hear.

Brahms was an extremely modest man, and he refused to assign these works an opus number. Because he had "borrowed" original gypsy tunes upon which to musically elaborate, he felt he had no right to claim them as original works. Yet the intricacy of their execution and their immediate audience appeal have made them, collectively, one of the gems of his entire creative output.

A hundred years after Brahms' death, piano duet concerts are something of a rarity. This program will feature performances of the most entertaining of the Brahms' Hungarian dances (approximately ten of them), interlaced with commentary about Brahms and the influence of gypsy music and gypsy dance upon him.

Tarkovsky' Thinking (*Ivan's Childhood*)

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Tarkovsky's Thinking (*Ivan' Childhood)*

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The purpose of this paper is to look into complex ideas expressed by Tarkovsky in his highly underestimated film *Ivan's Childhood*. Upon reviewing modern books in the philosophy of film I came to realization that this work of famous twentieth century director is given very little credit. Even in 1962 when this film had won the Golden Lion at the Venice Film Festival it was misunderstood and misinterpreted by the critics. J. P. Sartre's letter in defense of *Ivan's Childhood* bears witness to this unfortunate fact. Most of the present day works on the philosophy of film do not even mention *Ivan's Childhood*. I think that *Ivan's Childhood* is very important not only for understanding Tarkovsky's body of work but is a milestone for the development of cinematic thinking in the twentieth century.

Ivan's Childhood presents us with all the main topics which Tarkovsky explores in his later work. Here I want to mention just a few of them: St. Anthony's complex, human solitude, madness, the tragic nature of human history, human dignity, and care. Moreover, Tarkovsky, by the very way he presents Ivan's story, raises very important questions. What is art? Who is an artist and what is his calling? In the paper I intend to give a detailed analysis of these topics and questions.

In *Cinema 2* Deleuze writes "that Tarkovsky challenges the distinction between montage and shot when he defines cinema by the 'pressure of time' in the shot."[1] In *Ivan's Childhood* Tarkovsky abandons traditional representational approach to the cinematographic image in favor of making visible relationships of time. Thus through his own medium Tarkovsky expresses general tendency of modern philosophy to break with the reign of representational thinking.

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[1] Gilles Deleuze. *Cinema 2*. (Minneapolis: University of Minnesota Press, 1989, 12).

It seems to be an odd coincidence that both Russian authorities and Italian journalists blamed Tarkovsky for the same things. They referred to the film as unrealistic, and reproached the director for Ivan's dreams. In his book *Sculpting in Time* Tarkovsky writes, "Working on *Ivan's Childhood* we encountered protests from film authorities every time we tried to replace narrative causality with poetic articulations."[2] J. P. Sartre in his letter to the editor of *L'Unita* quotes Italian critics, "The dreams! We, in the occident; have long since stopped using dreams! Tarkovsky is slow: That used to be fine between the wars!"[3] But at a deeper look this is not a coincidence. Critics from both sides approached Tarkovsky's film with certain ideological presuppositions. The ideology of all ideologies is that there is something in the world and we can fully grasp it. It is either you are with us, or you are against, and, therefore, do not have the right to exist. To put it in Heideggerian terms, this is the approach of calculative thinking which turns everything that it casts its glance on into a standing reserve. Everything that cannot be used as a standing reserve is discarded as having no value. Tarkovsky was accused of betrayal of reality. By that the critics meant that Tarkovsky abandoned linear succession of events, merged dreams with reality, and replaced "narrative causality with poetic articulations." I want to address these accusations and show their inconsistency.

First of all I am going to describe a personal experience of a well-know Russian film critic Olga Surkova which she retells in her book *Tarkovsky and I*. In 1962, when *Ivan's Childhood* was released, Surkova was a 17 year old high school student aspiring to become a mathematician. But after watching *Ivan's Childhood* she underwent a spiritual transformation and made a decision to devote her life to the study of film. Surkova writes

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[2] Andrei Tarkovsky. *Sculpting in Time*. (Austin: University of Texas Press, 1987, 30).
[3] Jean Paul Sartre. "A letter addressed to Alicata, the editor of *L'Unita.* The French Letters, no 1009", *Nostalghia*, 1963, www.acs.ucalgary.ca/~tstronds/nostalghia.com/TheTopics/Sartre.html (24 Oct 2004).

that one shot from *Ivan's Childhood* changed her entire life. This was the shot of an apple in an out-stretched child's hand wet with drops of summer rain. In the context of this film the shot united in itself abundance of life and premonition of frightening and inescapable end, greatness of the world and fragility of our presence in it, heartbreaking love towards the world and nostalgic pain of its inevitable loss[4]. Surkova feels that you cannot measure harmony with algebra and changes her career plans. What more reality can you expect from a film? What reality is more real then a reality of encounter like this one? Surkova reacts to the film not as if it is a thing which has to be consumed by her, but as if it is a real person with whom she can have a dialogue. In this dialogue her true self is revealed. This is not the situation of calculative thinking in which everything is represented as a thing to be grasped and consumed. This is the situation of meditative thinking in which cinematic text fully realizes itself as a semiotic person. Russian philosopher Y. Lotman expressed this thought in the following way: "The structural parallelism of textual and personal semiotic characteristics allows us to term the text of any level as a semiotic person, and the person of any sociocultural level as a text."[5] In fact, every text of every level has a potential to be a semiotic person, only in the context of calculative thinking both the creator and the preserver of the text block this possibility by turning it into a standing reserve. Whenever the creator treats the audience as a mere means for making more money (not that there is anything bad in gaining profit from your work) or for enforcing of a particular ideology (needless to say that no work of art is completely free from the ideological aspect), the audience treats him back in the same way. You have to

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[4] Olga Surkova. *Tarkovsky and I*. (Moscow: Zebra E / Exmo / Decont +, 2002, 25).
(О. Суркова. *Тарковский и Я*. (Москва: Зебра Е / Эксмо / Деконт + , 2002, 25).
[5] Yuri Lotman. *Towards Building of the Theory of Interactions of Cultures*. Vol. 1 of *Selected Articles*. (Tallinn, Russia: "Alexandria", 1992) 116. (Ю. Лотман. *К Построению Теории Взаимодействия Культур*. Т. 1. *Избранные Статьи*. (Таллинн: «Александрия»., 1992), 116.

read certain books and to watch certain films in order to be acknowledged as a part of a particular sociocultural group, just as you have to follow an excepted dress code when you go to a particular social event. This is how *logos*, the law reveals itself in our lives. But life is not exhausted by the law (scientific, political or economic). Life, as A. Hitchcock articulated it in the title of his film, is "rich and strange." The question of relationship between the life and the law is probably as old as philosophy itself. Aristotle in *Nicomachean Ethics* gives a really deep insight in to this matter when he ponders over the equitable and the law. Aristotle writes "that all law is universal but about some things it is impossible to make a universal statement which will be correct… for the error is not in the law nor in the legislator but in the nature of the thing… the nature of the equitable, a correction of the law owing to its universality" (*NE* 1137b 12-27). The equitable speaks for everything that is not universal, for everything which is unique, concrete, and personal. It takes into account personal history. And personal history given in words (pictures, sounds, films) is *mythos*[6]. This is how *mythos* reveals itself in our lives. *Mythos*, as personal history, is not identical to a person but is inseparable from it. And as Russian philosopher A. Losev puts it, "The person is first and foremost self-consciousness and intelligibility."[7] Self-consciousness exists only when it is acknowledged by another self-consciousness[8] and therefore is social in its nature. Thus, personal history, as it is inseparable from a person, is social in its nature, too. *Mythos* is the ever stepping back horizon of *logos.*

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[6] Aleksei Losev. *Philosophy. Mythology. Culture*. (Moscow: Publishing House of Political Literature., 1991, 134). (А. Лосев. *Философия. Мифология. Культура*. (Москва: Издательство Политической Литературы., 1991, 134).

[7] Aleksei Losev. *Philosophy. Mythology. Culture*. (Moscow: Publishing House of Political Literature., 1991, 134). (А. Лосев. *Философия. Мифология. Культура*. (Москва: Издательство Политической Литературы., 1991, 74).

[8] Georg Wilhelm Friedrich Hegel. *Phenomenology of Spirit*. (Oxford: Oxford University Press, 1977, §178).

The fact that personal history is social in its nature is very important for Tarkovsky's cinematic thinking. In *Sculpting in Time* Tarkovsky points out, "I am firmly convinced of one thing (not that it can be analysed): that if an author is moved by a landscape chosen, if it brings back memories to him and suggests associations, even subjective ones, then this will in turn affect the audience with particular excitement."[9] The director also mentions that the landscapes that moved him in *Ivan's Childhood* include the birch wood, the one that appears in the background of the last dream, and the swamp in the forest. Let us take one of them and consider it more closely. The birch wood stands out for me because the director shows it in such a way that his art goes beyond its formal function of representation, beyond the visible. It creates a mood, an invisible aura that cannot be represented and grasped as a picture. The birch wood appears in the film several times. I want to look at the scene in which Captain Kholin takes Masha for a walk in the birch wood. This is a scene that is full of tension. On the one hand, we have Kholin's almost aggressive desire for Masha's affection, and on the other Masha's innocence and confusion. The birch wood is not a mere background in this scene; it is a character in its own right. The maze of identical trees produces hypnotizing and disorienting effect and the mechanical sound reminiscent of the woodpecker seems to be echoing the uneven beat of Masha's heart. At the same time the gathering of white, slender, innocent trunks amazes with its breathtaking beauty. When Masha runs in confusion after her first kiss every tree becomes an obstacle in her way. For Tarkovsky it was important to show not the realism of the outward objects but the realism of the invisible, of that which goes on inside a person.

[9] Andrei Tarkovsky. *Sculpting in Time*. (Austin: University of Texas Press, 1987, 28).

> It is crucial that *mise en scène*, rather than illustrating some idea, should follow life – the personalities of the characters and their psychological state. Its purpose must not be reduced to elaborating on the meaning of a conversation or an action. Its function is to startle us with the authenticity of the actions and the beauty and depths of the artistic images – not by obtrusive illustration of their meaning. As is so often the case, undue emphasis on ideas can only restrict the spectator's imagination, forming a kind of thought ceiling beyond which there yawns a vacuum. It doesn't safeguard the frontiers of thought, it simply makes it harder to penetrate into its depth.[10]

When the critics demanded realism from Tarkovsky they apparently reduced realism to the careful reproduction of the visual manifestations of real events. Tarkovsky understood realism in a very different manner. His vision of realism includes in itself very insights into the nature of the creative process. I intend to survey the most important of them. Although talent, skill and hard work are prerequisites for the creation of the work of art, Tarkovsky thinks they are useless if the artist is not honest in his work. "Even when the problems shown are most complex, the sequence of images, formal structure of the work most complicated – for the creator the fundamental problem will always be honesty."[11] If the creator is himself moved by that which he is trying to communicate to his audience, then he would be heard, if not by his contemporaries, then by later generations. If the creator is moved by a landscape, a story, an emotion then it becomes a part of his personal history. Personal history is social in its nature and therefore exists only in being acknowledged. Personal history is a fact and it does not become any less real if it does not quite fit into the conceptual framework of the moment. August Roden gained acceptance only when he was fifty; Van Gogh was understood only after his death. "It is very difficult to be both useful to the society and at the same time truthful, it is difficult to be convinced about uselessness of one's work if nobody needs it.

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[10] Andrei Tarkovsky. *Sculpting in Time*. (Austin: University of Texas Press, 1987, 25).
[11] The Jerzy Illg and Leonard Neuger. ""I'm interested in the problem of inner freedom...", *Tarkovsky Interview*, p.3, 1985, www.acs.ucalgary.ca/~tstronds/nostalghia.com/TheTopics/interview.html (24 Oct 2004)

Nevertheless, there is but one path: to do what seems proper."[12] The creator is always facing the St. Anthony's complex. "It is a conflict between spirit and matter. It is a conflict between the ideal and that which is possible, which is realistically possible."[13] The highest level of realism that can be achieved in the work of art is the realism of the creator's being true to himself. In fact the creator, just like Camus' Sisyphus, is ceaselessly rolling a rock to the top of the mountain in spite of the absurdity of the situation, and thus preserves his dignity and humanity.

The film *Ivan's Childhood* is based on Bogomolov's short story *Ivan*. In *Sculpting in Time* Tarkovsky admits that a personality of a twelve-year-old boy moved him to the bottom of his heart. "He immediately struck me as a character destroyed, shifted of its axis by the war. Something incalculable, indeed all the attributes of childhood, had gone irretrievably out of his life."[14] The personal history of the writer found its audience in the face of the filmmaker, was broken through the prism of his perception, and became his personal history, which yet had to find its audience. This is the logic of art. In science you can use a non-contradictory logical construction, demonstrate your discovery on an experiment, show its practical value, and thus convince your audience. In art this simply does not work. You can use the most beautiful idea, illustrate your idea with vivid imagery, ague for its practical value, and still fail if you leave your audience cold. This would mean one of the two things: either you yourself were not moved by that which you were trying to communicate or you failed to communicate it. But if you manage to move

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[12] The Jerzy Illg and Leonard Neuger. ""I'm interested in the problem of inner freedom...", *Tarkovsky Interview*, p.14, 1985, www.acs.ucalgary.ca/~tstronds/nostalghia.com/TheTopics/interview.html (24 Oct 2004)

[13] The Jerzy Illg and Leonard Neuger. ""I'm interested in the problem of inner freedom...", *Tarkovsky Interview*, p.23, 1985, www.acs.ucalgary.ca/~tstronds/nostalghia.com/TheTopics/interview.html (24 Oct 2004)

[14] Andrei Tarkovsky. *Sculpting in Time*. (Austin: University of Texas Press, 1987, 17).

your audience, then you achieve the highest realism possible in a work of art. Now we can see that Tarkovsky understood realism in a very different manner than his critics. Rethinking the making of *Ivan's Childhood*, Tarkovsky wrote, "The explanation is that the pattern of life is far more poetic than it is sometimes represented by the determined advocates of naturalism."[15] Limitations of coherent logic and schematism of linear sequentiality drain life from the work of art. Tarkovsky argues that art cannot be reduced to illustration of laws of conventional logic. Its realm is the realm of poetic reasoning. Coherent logic is always an abstraction. Poetic reasoning is the thought in act. Tarkovsky stresses that poetic reasoning and associative linking is the special virtue of cinema. And although reproduction of thought in act is not an end in itself it can infuse the work of art with life and provide a horizon for self-discovery and an attentive attitude towards the world. "Poetry is an awareness of the world, a particular way of relating to reality. So poetry becomes a philosophy to guide a man throughout his life."[16] It is amazing how close Tarkovsky's thinking comes to the ideas expressed by Heidegger about art. Both the philosopher and the director point out that all art is essentially poetic and poetry is the founding of truth, and they agree on the fact that the work of art comes into being through equal efforts of both creators and preservers. That is what Heidegger writes about it in *The Origin of the Work of Art*:

> Art, as the setting-into-work of truth, is poetry. Not only the creation of the work is poetic, but equally poetic, though in its own way, is the preserving of the work; for a work is an actual effect as a work only when we remove ourselves from our commonplace routine and move into what is disclosed by the work, so as to bring our own nature itself to take a stand in the truth of what is.[17]

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[15] Andrei Tarkovsky. *Sculpting in Time*. (Austin: University of Texas Press, 1987, 22).
[16] Andrei Tarkovsky. *Sculpting in Time*. (Austin: University of Texas Press, 1987, 21).
[17] Martin Heidegger. "The Origin of the Work of Art," in *Poetry, Language, Thought, 74-75*. New York: Harper & Row, Publishers., 1975.

Tarkovsky called *Ivan's Childhood* his qualifying examination. He thought that if he managed to move the audience with that by which he himself was moved in Ivan's story, then he would have the right to work in the cinema. The creation of this film became an ethical matter, a matter of artist's responsibility towards his audience.

The film tells a story of a twelve-year-old orphan boy-soldier and follows it up to his death. J. P. Sartre was deeply moved by this film. That is what he writes in a letter to Alicata:

> Ivan is mad, that is a monster; that is a little hero; in reality he is the most innocent and touching victim of the war: this boy, whom one cannot stop loving, has been forged by the violence he has internalised. The Nazis killed him when they killed his mother and massacred the inhabitants of his village. Yet, he lives. But somewhere else, in that irremediable moment when he saw his neighbour falling[18].

While following Ivan's story in the film, one cannot stop feeling uneasy, almost frightened. There is something truly deviant and abnormal when a lovable little boy is a perfect soldier with only one thing on his mind - revenge. Human history is not a happy march towards a perfect future, because there is Ivan. In the film Ivan appears from dark, dirty waters of the swamp and disappears into it. He comes having accomplished one war mission and goes away to die in another. He is just a ripple on the dark waters of history. Ivan is a little feather that falls into a deep well in his second dream. But can we forget him? Can we forget the eyes that were wide open with wonder and excitement in Ivan's first dream? Can we erase the memory of the pure joy of his run in the river in the last dream and not shiver from horror, upon realizing that that was a dream of a dead boy? Ivan is a real monster. He is horrible, abnormal and frightening. He frightens even his comrades in arms. What can be more frightening than a little boy who was forged by the war, lived for revenge and died in the war? Ivan is a monster, a warning. Tarkovsky

[18] Jean Paul Sartre. "A letter addressed to Alicata, the editor of *L'Unita.* The French Letters, no 1009", *Nostalghia*, 1963, www.acs.ucalgary.ca/~tstronds/nostalghia.com/TheTopics/Sartre.html (24 Oct 2004).

created one of the most powerful works of art that makes us aware of the madness of war, of its monstrous nature. "Madness? Reality? Both of them: in war, all soldiers are mad, this child monster is an objective testimony of their madness.. It is neither a question of expressionism nor that of symbolism, but a certain manner of narration demanded by the subject."[19] Tarkovsky skillfully immerses us into this mad reality by merging real events of the combat with boy's nightmares. Ivan is a monster but in a monstrous world. For him, just like for the star in his second dream, there is no difference between day and night. All soldiers that surround him are affected by the war. But they are "normal." That means after war they can return to a peaceful way of life. For Ivan this possibility is irrevocably lost. The only thing that connects him to life is his usefulness for revenge. Ivan has no place in the "normal" world. His death is inevitable and in fact he is already dead when we first meet him. In *Sculpting in Time* Tarkovsky writes, "It is with *Ivan*, that the *dénouement* is inherent in the conception and comes about through its own necessity."[20]

Ivan is not the only child that we meet in this film. There is his little sister who is dead and has reality only in Ivan's dreams. She is a beautiful, tender creature that was sucked in by the dark swamp of the war. In the last dream we see Ivan's playmates. Thoughts about them turn into question marks: did they perish with other inhabitants of his village or did they live? In the crypt there is a sign on the wall:

THERE ARE 8 OF US HERE

EACH OF US IS NO OLDER THAN 19

IN AN HOUR WE WILL BE KILLED

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[19] Jean Paul Sartre. "A letter addressed to Alicata, the editor of *L'Unita.* The French Letters, no 1009", *Nostalghia*, 1963, www.acs.ucalgary.ca/~tstronds/nostalghia.com/TheTopics/Sartre.html (24 Oct 2004).
[20] Andrei Tarkovsky. *Sculpting in Time*. (Austin: University of Texas Press, 1987, 16).

AVENGE US

In destroyed Berlin we see the images of dead children of the offices of the Third Reich. They were murdered by their own parents. That is the monstrosity of war in act. Ivan's last dream is happy. That is the only dream which is not a nightmare for Ivan, but it is the dream of a dead boy. So the audience lives through it as through its own real life nightmare. Ivan is a monster – that is a warning (*monere* - in Latin has a meaning "to warn"). He is that bell that he mounts in the crypt. Ivan is the bell that tells for us, for our consciousness.

Sartre is right. What Tarkovsky creates is not a symbolist or an expressionist representation of reality. It is a myth, the myth in a Barthean sense. Tarkovsky takes a little boy and shows him as a war hero in order to make us aware of monstrous nature of the war. Tarkovsky uses two languages: the language-object and metalanguage. If we abstract from the myth, created by the film, for the purpose of analysis we can say that the first sequence of *Ivan's Childhood* uses the language-object, and through a series of beautiful images presents us with that which means to be a little boy (curiosity, tenderness, playfulness, wonder, and excitement of sharing your discoveries). This meaning is sucked in by the form of the metalanguage. When it is joined with the concept "little war hero" we find ourselves in the realm of myth. In this particular case it is the myth of the monstrous nature of the war. Myth escapes representation due to the double nature of its form which is always and at the same time the meaning of the language-object. In other words, myth has an alibi for the representational thinking. In *Myth Today* Barthes writes:

> Myth is a *value*, truth is no guarantee for it; nothing prevents it from being a perpetual alibi: it is enough that its signifier has two sides for it always to have an "elsewhere" at its disposal. The meaning is always there to *present* the form; the form is always there to *outdistance* the meaning.

> And there never is any contradiction, conflict, or split between the meaning and the form: they are never at the same place. ..But the result of this alteration is constant… ..In mythical signifier: its form is empty but present, its meaning absent but full.[21]

In *Ivan's Childhood* the little boy is at the same time the absent full meaning and the present empty form. It is no wonder that an ambiguous nature of the subject demanded from the director specific means that would make the audience aware of this ambiguity. In *Sculpting in Time* Tarkovsky says that "art is a meta-language"[22] and "the image is not a certain *meaning*, expressed by the director, but an entire world reflected as in a drop of water."[23] Bearing this in mind we can see why Tarkovsky could not adopt Eisenstein's montage of attractions which is directed towards meaning, and is representational in its nature. In the montage of attractions, editing produces a structural organization that generates meaning and is subordinated to a particular idea. But myth is not an idea. It is ambiguous in its nature. The audience can be introduced into the realm of myth only through constancy of alteration of meaning and form. This means that structural organization gives way to rhythmical. Each shot is organized not according to the idea it is supposed to support in the whole of the film, but according to the rhythm that is demanded by the subject. In traditional montage time is linear. In Tarkovsky's rhythmical alteration time is non-linear and multi-faceted. In *Ivan's Childhood* this affect is achieved through constant alteration of dream and reality, so that the audience is no longer able to separate them and to impose a fixed chronological order on the events of the film. Thus the events of the film get their alibi and escape representation and the director achieves his goal of non-imposing a ready-cooked concept upon his audience, instead Tarkovsky turns his spectators into co-creators.

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[21] Roland Barthes. "Myth Today" in *A Barthes Reader, 109-100*. New York: Hill and Wang, 1996.
[22] Andrei Tarkovsky. *Sculpting in Time*. (Austin: University of Texas Press, 1987, 40).
[23] Andrei Tarkovsky. *Sculpting in Time*. (Austin: University of Texas Press, 1987, 110).

Ivan's Childhood was Tarkovsky's stepping stone. "After I had finished *Ivan's Childhood* I felt I was somewhere on the very edge of cinema. A miracle had happened – the film had worked. Now something else was being demanded of me: I had to understand what cinema is."[24] The six films that followed all grew up from the seeds that were planted in the production of *Ivan's Childhood* which made the director aware of the fact that the subject of the film is at the same time present and absent on the screen.

[24] Andrei Tarkovsky. *Sculpting in Time*. (Austin: University of Texas Press, 1987, 94).

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Bilingual Vernacular: A Case Study of Cultural and Geographic Specificity

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Abstract

This essay explores the intersection of two distinct vernacular archetypes manifested through the design of a parish church for Mexican immigrants in the agricultural landscape of the American Midwest. Central to this exploration is an inquiry into the relevance of vernacular traditions as a paradigm for contemporary architecture against the fluidity of ongoing cross-cultural migrations.

When referencing language, vernacular is understood to be a kind of grammar and syntax that evolves out of the environment of a particular region or country. However, the development of vernacular in spoken language is necessarily an evolutionary process that results from the continual importation of new terms, phrases, and meanings. Without transformation a regional vernacular would stagnate, become codified, and begin to adopt the characteristics of a cultured formalized language—in short, would cease to be vernacular. The same is true of vernacular architecture.

As Thomas Schumacher observed, the history of architecture in the Western Hemisphere exemplifies the synthesis of indigenous and imported form. Successive waves of explorers, conquerors, and colonists brought with them ideas and techniques of construction that were necessarily consolidated with the particulars of local climate, material, and geography. Out of this synthesis, new architectural form evolved, shedding the outward appearance of its indigenous and exotic origins yet maintaining characteristics of both. Such dynamic processes of cultural evolution and diffusion continue to occur and have accelerated with technological advances in transportation and communication. As immigrant populations in the United States undergo a process of social and cultural naturalization they face a dilemma to maintain cultural identity while embracing local geographic specificity. These seemingly contrary aspirations are often reflected through their architecture.

Using the models of Mexican domestic architecture and Pennsylvania German agriculture buildings, two vernacular traditions whose origins lie in Europe, the design of the Our Lady of Guadalupe Church attempts to reconcile indigenous and imported architectural ideas in a synthetic manifestation of those conflicting aspirations. This critical analysis will trace the European origins of these models, identify how they were initially transformed after their introduction in the New World, define the primary tectonic and spatial characteristics of each, and demonstrate how pertinent formal attributes were integrated with the symbolic content of the spiritual program. This design-based research will make a case for the viability of the vernacular to engender both cultural and geographic specificity in modern architecture.

Bilingual Vernacular: A Case Study of Cultural and Geographic Specificity

Russell Rudzinski

Introduction

This essay explores the intersection of two distinct vernacular archetypes manifested through the design of a parish church for Mexican immigrants in the agricultural landscape of the American Midwest. Central to this exploration is an inquiry into the relevance of vernacular traditions as a paradigm for contemporary architecture against the fluidity of ongoing cross-cultural migrations.

When referencing language, vernacular is understood to be a kind of grammar and syntax that evolves out of the environment of a particular region or country. However, the development of vernacular in spoken language is necessarily an evolutionary process that results from the continual importation of new terms, phrases, and meanings. Without transformation a regional vernacular would stagnate, become codified, and begin to adopt the characteristics of a cultured formalized language—in short, would cease to be vernacular. The same is true of vernacular architecture.

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Using the models of Mexican domestic architecture and Pennsylvania German agriculture buildings, two vernacular traditions whose origins lie in Europe, the design of the Our Lady of Guadalupe Church attempts to reconcile indigenous and imported architectural ideas in a synthetic manifestation of those conflicting aspirations. This critical analysis will trace the European origins of these models, identify how they were initially transformed after their introduction in the New World, define the primary tectonic and spatial characteristics of each, and demonstrate how pertinent formal attributes were integrated with the symbolic content of the spiritual program. This design-based research will make a case for the viability of the vernacular to engender both cultural and geographic specificity in modern architecture.

The Origin and Evolution of the Hacienda

> *"History teaches us about constructions where the purpose is representative. Simple architectural programs receive the influence of foreign models and are transformed in the search for a new interpretation."*[1]

Scattered throughout the central and northern plateaus of Mexico can be found one of the unique agrarian architectural typologies to have developed in the western hemisphere—the hacienda. Serving as the business and domestic center of large agrarian estates, the hacienda represented the culmination of the colonization of Meso-America that began with the arrival of the Spaniards in 1519. Due to the poor and erratic

enforcement of laws governing the distribution and sale of land during the Viceroyalty, Spanish landowners were able to rapidly consolidate extensive holdings, displacing and disenfranchising indigenous populations in the process. As the wealth of the Spaniards grew, the nearby populace (typically Mexican or mestizo) became increasingly dependent on the hacienda. Isolated as they were in the sparsely populated landscapes of the Mexican interior, this had the effect of transforming the hacienda beyond the domestic and agricultural imperatives of its inception, into a defacto city, providing an economic, residential, civic, and spiritual home for all those who fell under its influence.

George Kubler observed that the origins of the Mexican hacienda lay in the isolated rural estates of Andalusia known as cortijos. The cortijos were large olive-producing estates whose center, "with their high peripheral walls, immense courtyards, pretentious gateways, and innumerable dependencies,"[2] served as a nearly self-sufficient locus for the surrounding countryside and its populace. Like other Spanish architectural forms such as the urban palacio, the formal characteristics of the cortijo served as a paradigm for the earliest sixteenth century rural estates, although few significant examples remain.[3]

Francois Chevalier also believed that Andalusia prefigured the origins of the hacienda, but not so much in a formal sense as grounded in ideas of land and land ownership that originated in southern Spain prior to the sixteenth century:

> "In Andalusia, villages, towns, castles, and lands had been 'shared out' among the knights arriving from the north as alodiums to be held in perpetuity and with jurisdiction over the inhabitants…These encomiendas present striking similarities to the latter ones in New Spain; the resemblance is visible even in such details as the wording of the deeds of grant or the ceremonies of investiture."[4]

Encomiendas served as a trust awarded by Spain that granted conquistadors rights to a certain area of land (and exploitation of the native workforce) in exchange for assisting in the process of cultural transformation of the inhabitants who fell within that jurisdiction.

Thus from the very beginning of the colonization of New Spain, landowners in remote rural areas necessarily assumed certain civic responsibilities. As the great estates were amalgamated, the laws concerning land ownership stipulated acceptable separation distances between the agricultural centers based largely on the varying grazing areas required for specific kinds of livestock.[5] This separation exacerbated the relative isolation of each country house and helped the owner consolidate the economic and civic functions of the area in one location. The natural consequence was that the hacienda became a new type of "social organization"[6] that offered the native population work in exchange for protection and the basic elements of a small town. Through this intersection between the Andalusian cortijo prototype and laws that facilitated large estates, the hacienda was formed.

When seen from a distance the primary characteristic of the hacienda is that of a compound, situated within the vast environment, the hacienda appears as a figural element in the landscape. In fact, some of the earliest examples served as protected enclaves along the mining routes north of Mexico City.[7] The defensive appearance of many haciendas was achieved by concentrating the various buildings—main house, workers quarters, stables, storage, and chapel—within a walled perimeter. This defensive posture was a pressing issue for Mexican colonial architecture, beginning with the first permanent constructions in Mexico City:

> "At first these houses presented a formidable military appearance. In 1529 most of the conquistadores' dwellings were turreted, with artillery embrasures, arches, and crenellations. Other persons also built urban fortresses: in his own defense, Cortes explained that he permitted them for the protection of the colonists against hostile Indians."[8]

Since many of the first country houses were built for colonists who lived most of their time in Mexico City, it is not surprising that they would continue that strategy in the relatively unprotected rural areas. Thus the idea of the compound can be traced to the perceived sense of security that would be projected by the singular walled appearance of the isolated hacienda. Threats to safety were not, however, merely based on Spanish paranoia. According to Chevalier, "Most regions were threatened in one way or another: the northern provinces by nomad attacks, the coasts by pirate landings, and nearly all parts by skirmishes with cattle thieves or even highwaymen and bandits."[9] So, the use of the introverted compound served a very real purpose.

Within this compound the elements of the hacienda were organized around a series of open-air courtyards.[10] Each served a specific purpose based on the adjacent spaces, and each established hierarchy through their position relative to the primary functional volumes. The patio de campo served as the primary work yard and forecourt to the main house. Because of the patio's size and configuration it had the potential to accommodate a wide variety of activities, and thus often became the focus of life in the hacienda. The programmatic volumes that fronted it often defined the spatial configuration of the patio, or sometimes it would be enclosed with a freestanding wall. In areas where the issue of security was less insistent, a side of the patio would be left open toward the cultivated landscape, creating a more direct connection between the man-made and natural environments. Secondary courtyards were directly connected to the patio de campo and configured for specific uses: the stable yard, the workers quarters' yard, orchards, gardens, and the formal courtyard of the main house.

Due to their isolation, many haciendas incorporated a chapel that served as the spiritual center for both the landowner's family and the workers who lived in the compound. Almost without exception, the chapel volume provided a vertical counterpoint to the dominant horizontality of the composition.[11] If the patio de campo served as the formal linkage between the compound and the surrounding landscape, the vertical chapel affected a similar juncture between the hacienda and the sky—both spatially and symbolically.

These factors in conjunction with the typical hacienda's functional emphasis on livestock, semi-desert cultivation techniques, and the refinement of Mexican products such as pulque and mescal sufficiently distance the hacienda from its assumed European prototype, the cortijo. From Chevalier's perspective:

> "Colonial Mexico should not be regarded merely as a depository for archaisms that were passing out of existence in Europe—even in the northern provinces, where the absence of a stable Indian population made the civilization created by Creoles and mestizos resemble medieval Europe more closely than that of the rest of the country. The white man developed new customs and original social types; or, if the types may not be considered absolutely original, they were so thoroughly transformed by the American environment as to make their European origins unrecognizable." (Chevalier, p.313)

The European model of the cortijo was thus transformed by the particulars of the "American" environment into the spatial and formal order of the hacienda—a unique reflection of the social structure that it sheltered made possible only through the synthesis of the indigenous culture and imported form.

The Origin and Evolution of the Pennsylvania Barn

> *"The versatile and functional Pratigau forebay bank barn…came to America (from Switzerland), where its versatility and adaptability were ideally suited to the readily developing frontier agriculture. Its establishment in Pennsylvania as the log Sweitzer barn set the stage for continued evolution and diffusion across the United States and Canada."*[12]

The morphology of the American Midwest landscape begins and ends with the continental grid. Established by Congress in 1796, the Cartesian survey grid was superimposed on the land as a means of rendering the "wilderness" of the unexplored continent a known and quantifiable terrain. The experiential consequence of the ubiquitous grid is readily apparent when moving through the seemingly endless agricultural landscape of the Midwest along the orthogonal matrix. While the relentlessness of this system is at times beautiful, it is easy to forget that the survey grid was established for one purpose only: to encourage the ordered settlement of the fertile lands west of the Appalachians thus facilitating the creation of a vast agrarian nation.

The westward expansion toward the Mississippi was fueled in part by European immigrants who brought with them tools, techniques, and traditions of building that had evolved over centuries under very different environmental, geographic, and social conditions. Among these groups were immigrants from the eastern cantons of Switzerland, a region near the Austrian border. Many of these immigrants settled in southeastern Pennsylvania and began building a barn with two distinctive characteristics: a bottom level that engaged a hill (banked) on one side to provide access to the level above, and a cantilevered forebay that protruded out beyond the line of the foundation wall below. Once the original prototype of this "Pennsylvania barn" made its appearance in the United States, it was immediately subjected to rapid evolution as changes in agriculture, location, and available building materials warranted. As the Pennsylvania barn evolved, successive waves of Germanic-speaking immigrants pushed further into the American Midwest frontier, building variants on the basic typology as they went. More than any other built form, therefore, the cantilevered volume of the Pennsylvania barn and its many permutations significantly define the character of the Midwest agrarian landscape.

Robert Ensminger has conducted the most extensive research on the European origins of the Pennsylvania barn summarized here:

> Two distinct groups of mediaeval cultures, the nomadic Walsers from Southern Germany and the established Romansch in Eastern Switzerland, are the most probable sources of the forebay barn. The prototype emerged as a synthesis of the High Alpine log barns from the Walsers with the upper-level projected grain-drying rack of the Romansch. The next evolution occurred in the mid 13th century near the Pratigau and Schanfigg district of east Switzerland with the closure of the grain-drying rack—the first enclosed forebay. Finally, the relocation of the

> enclosed forebay to the eave side of a double crib completed the transformation.[13]

The migration and evolution of the Pennsylvania barn, as documented by Ensminger, can be traced from southeastern Pennsylvania along the early roads that carried settlers west. This path closely parallels the migration patterns of other German-speaking immigrants, particularly the Amish and the Mennonites.[14] One of the most concentrated settlements of these groups centers on Elkhart and LaGrange counties in northeast Indiana. Because of the high concentrations of these Germanic societies and the prodigious construction employed as their numbers increased, northeast Indiana ranks "as one of the most important Pennsylvania barn regions west of Ohio."[15]

As the Pennsylvania barn moved further west, it sustained two fundamental revisions: with the lack of topographic change in the level Midwestern terrain a constructed earthen ramp became a more common access to the upper level and the cantilevered forebay began to diminish in significance. Other changes were a consequence of available materials and advances in construction. As more settlement was occurring in areas that were once glaciated, fieldstone became the primary material for the first story foundation and the simplified H-bent structural frame increased construction efficiency.[16] These changes resulted in a particular type of barn that can be found across northern Indiana, consisting of a large relatively windowless wood volume above a rusticated fieldstone foundation story punctuated by numerous small windows. Access to the upper level was generally provided by the construction of an earth ramp.

When traveling through northern Indiana the idea of the agrarian society envisioned by the continental grid is manifested in the multitude of farms that serve as a regular cadence across the cultivated landscape.

> "Seen from the highway, the farm compounds are a collection of buildings that give a clear sense of precinct framed by the horizon and roads. Here the compound has a figural presence in the landscape. The collection of volumes read against the horizon and plain and in relation to another complex, perhaps a mile away, has an object like quality."[17]

The farms are generally composed of a house and various agricultural buildings—pump houses, storage bins, and other structures—grouped loosely around a work yard that serves as the center of activity and spatial counterpoint to the built forms. The dominant feature of these agrarian settlements is usually a subtle variation of the main barn described above—the product of a synthesis of the imported European form with the geographic specificity of the American Middle West.

Bi-lingual Vernacular: Our Lady of Guadalupe Parish Church

> *"With the rapid increase in the state's Hispanic population over the previous decade, Spanish speakers now outnumber all other non-English speakers in Indiana"*[18]

Elkhart and LaGrange counties in northern Indiana have long been regarded as the third-largest concentration of Amish in America—an estimated population of around 15,000. The area has even positioned itself as a tourist destination for people interested in Amish culture and handcrafts with slogans, advertising campaigns, and even an official "Amish Country" website. But like other areas of the United States, in the past decade the demographics have undergone a fundamental shift. In June of 2003, the

United States Census Bureau announced that the Hispanic population in the United States (38.8 million in July 2002) had become the largest minority population in the country. Waves of Latin-American immigrants (primarily from Mexico) are re-defining the social and cultural fabric of American society.

Many of these immigrants are establishing themselves in rural areas, and Elkhart County, Indiana is no exception. The 2003 state census estimate placed the county's Hispanic population at 20,228, third highest in the state.[19] So many Hispanics have moved into the area that Spanish is now the dominant non-English language spoken in the county, eclipsing the one-time exotic Germanic languages used by the indigenous Amish population. Like the Germanic people who moved into the area nearly two centuries before, this new immigrant population is led by the same kind of aspirations, and they face the same kind of dilemma of how to maintain their cultural identity while immersing themselves in the local cultural context.

In 1999, the Diocese of Fort Wayne-South Bend announced an international design competition a new catholic church to serve the growing Hispanic population around Milford, Indiana. The wooded site was situated amidst the rural Midwest agrarian landscape that stretched for miles in each direction. The program stipulated that the new church should serve a 500-person congregation, most of whom were immigrants from Latin America, and could possibly accommodate much larger crowds if necessary. The primary spiritual spaces of the program included the main sanctuary, the community hall, where the congregation would often gather immediately following the services, and a perpetually accessible devotional chapel for the Guadalupe icon. The design proposal synthesizes the imported form of the Mexican hacienda with the indigenous model of the local agricultural buildings in an attempt to reconcile the newly imported cultural identity with the established vernacular context. This synthetic process was achieved through three distinct strategies—figural, spatial, and tectonic.

For the figural strategy, the idea of the singular compound was identified as a characteristic common to both vernacular models. The hacienda and the Midwest farm each project an object-like quality when seen against the backdrop of the surrounding landscape. This idea of the figural compound was interpreted in the project by inscribing a clear geometric figure as a container for the program spaces. The base figure was manifested as an eighteen-foot high perimeter wall covering an area roughly 230 feet by 100 feet.

Unifying the program in this way allowed for a cognitive recognition of the building from afar as a clearly identifiable symbol of the community that it represented, and consolidating the plan figure reduced the site area required so that the maximum number of existing trees could remain. Because the large forested area was such a recognizable anomaly in the mechanized agrarian landscape, the plan figure was situated at the juncture between the remaining tree canopy and an open clearing to the south. In this way the identity of the compound from a distance would be strengthened by its integration with the larger figure of the remaining bosque.

For the spatial strategy, distinct characteristics from each of the vernacular models were critically evaluated to determine the relative hierarchy that could be accorded to them in the overall spatial composition. Through a comparative analysis of both vernacular models, it was possible to classify the primary spatial strategies particular to each. The analysis revealed an explicit contradiction in spatial hierarchy. Where the haciendas were organized around the primary spaces of the outdoor patios; the local farm buildings placed greater emphasis on large contained interior volumes. This contradiction was resolved in the project by adopting a both/and strategy.

Three patios were introduced into the base figure of the project in specific

functional relationship to the adjacent program spaces. The largest of these was the forecourt, which became analogous to the patio de campo of the hacienda model. This patio was inserted into the base figure of the project between the sanctuary and the parish hall, nearly bifurcating the plan and introducing a void as the central spatial volume for the entire compound—in plan as well as the primary elevation. Because of the forecourt's size and location it possessed the flexibility to accommodate a wide range of activity in tandem with the role of the patio de campo. An additional void space was inserted as a garden between the sanctuary volume and the perimeter wall. This space became a patio of contemplation, affording a controlled view of nature as the backdrop for the weekly services. Lastly, a small meditation courtyard was inserted next to the priest's private quarters.

As a sectional counterpoint to the horizontality of the patios, three elevated interior volumes were superimposed over the primary figure of the walled compound. These volumes were employed to emphasize the primary spiritual components of the program contained beneath. The largest cubic volume framed the vertical space of the sanctuary and the western face was opened to admit diffuse sunlight during the morning services. Identified in the program as a functional extension of the worship service the parish hall was delineated with a canted volume allowing a visual reference to the articulated western wall of the sanctuary volume. The third sectional deviation occurred above the perpetual shrine of the Guadalupe Icon, linking the program to the sanctuary through an articulated sectional dialogue, and opening up the shrine to the undisturbed trees on the site.

For the tectonic strategy, it was necessary to recognize the particulars of the geographic context within which the compound was situated. Since the program stipulated that volunteer members of the congregation would participate in the construction of the building using common materials that required little specialized skill, it became clear that locally-available materials presented the most direct opportunity to express geographic specificity. To that end, an either/or strategy was required. Sixteenth century Mexican construction systems were rejected as an incongruous intrusion the broader local context in favor of the simple palette of wood and stone. Fieldstone was selected as the material of the perimeter enclosure for the compound, in part because this surface communicated the memory of protection through its durability, but also because the compound figure was that part of the scheme that directly engaged the ground. In contrast, the elevated spatial volumes disengaged themselves from the earth, and required the lightness and textural tactility of wood to serve as adequate receptacles for light and sound. Finally, in the most direct reference to the immediate vernacular construction traditions, the structure was designed to be erected in the manner of a communal barn-raising. Such a process would provide the new immigrants a direct opportunity to draw connections with the immigrants of the past, to reconcile the imported form with the indigenous traditions, and to accept the necessity for cultural identity while embracing their role in advancing the specificity of place.

Conclusion

As a paradigm of bi-lingual architecture, the design proposal for Our Lady of Guadalupe Church recognizes the necessity of the vernacular to maintain evolution through the merging of local and imported form. While an architecture that results from the intersection of disparate historical models may never be seen as a truly original work, perhaps it is enough to regard it as an operative process, one step in the direction whereby each work is transformed to such an extent that it becomes detached from its own origins. Perhaps it is only at that moment of detachment when architecture regains

the capacity to assimilate new forms and new ideas. Perhaps it is only then, at that moment, that truly original work can emerge.

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[1] Daniel Nierman and Ernesto Fallejo, *The Hacienda in Mexico* (Austin: The University of Texas Press, 2003). p.16

[2] George Kubler, *Mexican Architecture of the Sixteenth Century* (New Haven: Yale University Press, 1948) p.202

[3] George Kubler, Ibid. p.199

[4] Francois Chevalier, *Land and Society in Colonial Mexico* (Los Angeles: Univeristy of California Press, 1963). p. 36.

[5] Francois Chevalier, Ibid. p.5: "The beneficiary would then have the right to prohibit any other livestock owner from establishing a new center for that purpose within one league roundabout for sheep or cows and a half a league for hogs." Author's note: A league is roughly 2.6 miles.

[6] Nierman and Vallejo, Ibid. p. 5.

[7] Nierman and Vallejo, Ibid. p.2

[8] George Kubler, Ibid. p. 198

[9] Francois Chevalier, Ibid. p.294

[10] Nierman and Vallejo, Ibid. p.29: "Like it (the patio de campo), other patios with smaller dimensions reproduce the organizing function of the buildings so clearly that we can consider 'the patio' as the theme inherent in this architecture. In the haciendas, one sees three scales used in patios, depending upon the activities pursued there. By far the largest one in terms of size is the patio de campo. In diminishing scale follow those corresponding to mule pens, stables, pigsties, or sometimes, workers' quarters, and lastly the principal patio of the big house, with its private patios that precede the orchards and gardens."

[11] Nierman and Vallejo, Ibid, p.30: "The horizontality of the big house, which is repeated at a lesser height in the workers' quarters, always contrasts with the verticality of the chapel, accentuated by towers, cupolas, and espadanas."

[12] Robert F. Ensminger, *The Pennsylvania Barn Second Edition* (Baltimore: The Johns Hopkins University Press, 2003) p.50.

[13] Robert F. Ensminger, Ibid. p.50

[14] Robert F. Ensminger, Ibid. p.151: "Maps, particularly of the Midwest, that show migration from Pennsylvania reveal that migration patterns correlate closely with the distribution of Pennsylvania barns. Even better correlations emerge if select groups of Pennsylvania Germans are examined. The settlements of the Amish, Mennonites, and Bretheren all seem to correlate with Pennsylvania barn locations in and beyond Pennsylvania…ethnic Germans who had come directly from the Old World settled along with the Pennsylvania Germans, obviously attracted by the similarity of culture and language."

[15] Robert F. Ensminger, Ibid. p.164

[16] Robert F. Ensminger, Ibid. p.117

[17] Bryan Shiles, "Some Words about the Ohio Landscape," *Dice Thrown* (New York: Princeton Architectural Press, 1989)

[18] http://www.incontext.indiana.edu/2002/july-aug02/news.html Accessed October 27, 2004.

[19] Davies, Tom. "Census: Hispanics, Asians Leading Indiana's Population Growth." Indianapolis Star, http://www.indystar.com/articles/7/182718-2437-127.html. Accessed October 25, 2004.

How did you find that out? Transparency of the newsgathering process and the meaning of news: a case study

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Abstract: *This article investigates the transparency of newsgathering method in New Zealand journalism practice. By examining media coverage of genetic engineering, this study reveals that: 1) reports lack explicit markers of place, time and means through which the information has been obtained 2) there is a link between use of sources and the precision of news and 3) the blurring between reporting and reported voices happens more often when the source of information is business rather than politics. This article identifies how the disappearance of newsgathering clarity alters knowledge about a subject, and concludes that ambiguity can affect the forum creating capacity of the press.*

Key Words: *Genetic Engineering, Journalism, Newsgathering, Transparency, Objectivity*

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Newsgathering, the method of assembling news, is rarely considered an exciting academic topic. 'Objectivity', 'attribution' or 'frame' have received reasonable attention and healthy concern; but 'newsgathering' is often defined as an accompanying technique (Bell 1991) or method meant to produce good, unprejudiced, evidence-based reporting (Van Dijk 1988, Holbert and Zubric 2000). Newsgathering as a journalism method is an expression of a practice that simultaneously reflects and constructs wider social contexts. The technique of obtaining information is decided and negotiated '[illegible] influenced by relatively stable journalism principles such as accura[illegible] and objectivity - principles widely discussed in the study of press, [illegible] (Schudson 2003).

This paper regards the news as a historically situated cultural fo[illegible] stored cultural meanings and patterns of discourse" (Schudson, 1[illegible] the premise that the news story is a social construction (Tuchm[illegible] newsgathering as a segment of journalism practice that repre[illegible] construct news events. Whether it is a face-to-face interview [illegible]n, question at the press conference or a simple selection and re-writing of a press release, newsgathering is a method that is related to journalistic values; in particular, the principle of objectivity and efficiency of the press as a forum for public debate.

The coverage of issues in the New Zealand press surrounding genetic engineering provides a case study for an analysis on newsgathering method as a tool for the social construction of reality. The topic of genetic engineering dominated the public arena for almost a year (2001-2002) and polarized New Zealand society more than any other issue at the time. Extensive and diverse media coverage offered a rich selection of material for examination of New Zealand journalism practice and its relation to the wider social context[1]. The journalistic practice of explaining or omitting descriptions of news assembling processes influences the clarity of newsgathering procedure. Giving the time, place and context of statements from a variety of sources, and sustaining the line between reporting and reported voices, defines the forum creating capacity of the press, gives a full context to a news story and alerts the public to issues in a way that encourages opinions and decision-making (Kovach & Rosenstiel, 2001).

Background and research questions

The New Zealand press became interested in stories of genetic engineering at the end of the 1990s. Although genetic engineering has been part of the country's bio-medical research for over a decade, it wasn't widely discussed in the public sphere until imported unlabeled genetically modified food was found in New Zealand shops in 1998. The pros and cons of GE became a subject of enormous public and political debate, and the issue was later used by some political parties (e.g. the Green Party, The Alliance and the Labour Party) to fuel their electoral campaign cards in the 1999 general elections.

Once it won the elections, the Labour Party, with the support of the Greens and the Alliance, established the Royal Commission on Genetic Modification with the aim of investigating 'strategic options available to New Zealand'[2]. The Commission organised

wide public debate: more than 10,000 individual submissions were received; public hearings lasted 13 weeks and involved nearly 300 witnesses; 15 public meetings were set up; a public opinion survey was ordered and background papers, workshops, scoping meetings etc., were requested. This extensive consultation raised 'environmental consciousness' (Allan 2000) and showed that 'while most were comfortable with genetic modification for medical purposes, many strongly opposed other uses'[3].

After a year, the Royal Commission released its findings in a report with the theme 'preserving opportunities' and the message 'proceed with caution'. The recommendations opened a new circle of polarizing and heated debate that lasted another year, from July 2001 (release of the Royal Commission's Report) until July 2002 (when new elections took place). This paper focuses on New Zealand media coverage of the GE issue during that time.

Press coverage of genetic engineering has taken various forms since the release of the Royal Commission's Report. The press initially framed the issue as political and the principle voices were from the Government and a range of political parties. Half a year later, newspapers started looking at GE as a business, environmental, health and science issue. A year from the release of the Report, the issue returned to being a political one. This study examines 647 articles in three major New Zealand newspapers. It focuses on the rapid and radical change of 'theme' and asks how journalism practices – especially description of the newsgathering process - contributed to changes in the presentation of genetic engineering.

Key research objectives of the case study are:

- to identify the journalistic practice of transparency by measuring the frequency of 'explained' and 'unexplained' newsgathering methods
- to discuss how newsgathering has an impact on the content of news
- to explore the relationship between newsgathering methods and the appearance of different news sources

Method

This study employs a combination of quantitative and qualitative research methods to test the following hypotheses:

- *There is a lack of transparency in newsgathering method in the New Zealand press*
- *The absence of clear explanation of the newsgathering process has an impact on the meaning of news*
- *The degree of explanation of newsgathering methods depends on whether news sources are political or business oriented*

The quantitative part of the study involves a systematic content analysis of press reports on the genetic engineering issue. The aim was to identify and describe the degree of transparency in identifying sources and explaining the details of journalism practice. The qualitative section centres on a discourse analysis of news stories to discuss and interpret the relationship between text, journalism practice and wider socio-cultural practice in New Zealand.

All the articles analysed were published in three New Zealand dailies - *The New Zealand Herald, The Press and The Dominion Post*[4], - from 31 July, 2001 to 27 July, 2002. They were obtained through the *LexisNexis* database by electronically selecting items that contained the term 'genetic engineering'. The *Hilighter* software for text analysis was used for the numerical part of the content analysis. The choice of newspapers was dictated by the fact they were metropolitan daily newspapers with the largest circulation figures in New Zealand.[5].

The monitoring period for analysis referred to a 'real period of time' between the release of the Royal Commission's Report on Genetic Modification in 2001[6] and Election Day 2002. The unit of analysis used to identify content qualities was the whole newspaper article containing the term 'genetic engineering' that was electronically selected by the *LexisNexis* search engine[7]. Two rounds of reading, selecting and deleting set the number of units for analysis at 674 articles.

The category of 'newsgathering' encompasses the process of how journalists obtain information for publishing from sources. Two values (codes) of newsgathering were established: *explained* and *unexplained*. All articles that fully described the input of sources behind their stories (interview, survey, press release, press conference, meeting…[8]) were categorized as articles that '*explained'* the newsgathering process (such as *"the Prime Minister said yesterday at a press conference in the Beehive that…"*.) Articles that only stated an opinion or gave quotes without description of how the news was assembled were categorized as '*unexplained'* (example: "*The Prime Minister says tha*t...").

Using Watson and Hill's (1993) definition of 'source' of information as a reference point, this study identifies a 'source' as "an individual, group or institution that originates a message" (Watson and Hill, 1993, pp.179). The 'message' can be stated as either direct or indirect speech. The sources named on the first day after the release of the Royal Commission's Report[9] were used for identifying the *'source*' list because they were 'primary definers' – those who had the initial privilege of announcing their version of the Royal Commission's recommendations on genetic engineering.

An aim of the study was to identify primary definers, check and compare their later presence, distinguish who the dominant sources were, and more generally, test out journalists' preferences for relying on official sources. As established in other studies (e.g., Schlesinger 1991; Anderson 1993; Miller and Williams 1993; Riechert and Miller 2000)[10] political sources, in this case the Government and the Green Party, had a dominant role in framing issues for public debate.

Disappearance of context

An analysis of articles published on genetic engineering in New Zealand showed that almost two-thirds did not indicate if the journalist attended a press conference, conducted an interview, used a press release or quoted another media institution. A significant majority of the articles did not state the means of obtaining information (Table 1).

Table 1

NEWSGATHERING	*The New Zealand Herald*	*The Press*	*The Dominion Post*	*Total*[11]
Explained	108	43	58	**209**
Not explained	147	86	118	**351**

The lack of explanation in regard to newsgathering method in the majority of articles may be seen as a simple reflection of poor journalism practice. It certainly indicates that the standard of journalism writing in New Zealand is far from ideal. However, the quantitative findings do not reveal the consequences of such reporting or possible reasons for the absence of clarity in news reports.

This study subjected two randomly selected articles to a thorough discourse analysis, following Krippendorf's (1980) model of using a discourse approach in news media research in addition to classical content analysis. The objective was to find how the explanation of newsgathering reflects on the clarity of news (consequences), and if it is related to the use of different news sources (possible causes).

Acknowledging that a significant amount of our social and political understanding comes from news reports, this study tries to identify the characteristics of knowledge gained about GE in news reports that did not clarify how information was acquired. The first example of a 'unexplained' newsgathering story is the article *Trade fears for GM labels,* published in the *The Dominion Post* (19/04/2002):

> The United States would aim to get rid of labelling of genetically modified food as part of any free-trade agreement with New Zealand, the Green Party said yesterday, citing negotiating objectives stated in proposed US legislation. However, the Government said US objectives would not necessarily be adopted in any deal.

The news article is 54-words long and consists of two sentences. It is a type of media text most readers are familiar with - short and succinct, where balance and 'objectivity' have been obtained by citing two sources with two different opinions.

This schema of news is not a New Zealand journalistic invention. Similar news is published every day all over the world. Kovach and Rosenstiel (2001, pp.75), who scrutinized American press, noted "…the modern press culture generally is weakening the methodology of verification journalists have developed". Kovach and Rosenstiel (2001) advocate Meyer's (1991, 2002) methodology of 'precision journalism' and advise

journalists never to mislead the audience and to be transparent about methods and motives.

The prevailing practice in the New Zealand press ('unexplained' newsgathering) lacks transparency when it comes to methods and motives. Absence of precision affects the meaning of news because the purpose of reporting changes. It transforms from finding as many facts about the topic as possible, to obtaining an equal number of quotes (evaluation of facts) from all interested parties.

How does it function in the news item *Trade fears for GM labels*? By using discourse analysis (Fairclough 1995), we will explore how issues are represented and reconceptualized, how identities are constructed and what relationships (between journalist and reader) are established.

The article *Trade fears for GM labels* starts with a declarative sentence-statement: '*The United States would aim to get rid of labelling of genetically modified food…'*. It *establishes* a relationship between the author and reader in the form of authority with the limited description – '*…the Green Party said yesterday, citing negotiating objectives stated in proposed US legislation'*. In the second sentence, the author of the article temporarily takes the authority from the Greens, using the sentence connecter '*however*', and delegates the authority to the second source '*…the Government* (which) *said US objectives would not necessarily be adopted in any deal'*.

The reader assumes – and this assumption is based on the reader's knowledge and experience gained through the practice of everyday consumption of news text - that the process of gaining information most likely takes this form: the Green Party comments on a new US legislation by issuing a press release; the press release is sent by fax/email to all news outlets in the country; the *Dominion Post* receives the press release; the journalist rings the Government's press office asking for a comment; the comment is provided by the spokesperson; the spokesperson, expecting further inquiries, issues a new press release.

The procedure of gaining opinions from political sources might take a slightly different route (the news could be a simple, passive compilation of two press releases without 'live' intervention of the journalist). This does not change the main point – the description of newsgathering process is considered irrelevant for news content and is omitted from the news as a result. Whatever the reason for absence of explanation, including possible space and time limits, this short published text has a simple interpretive frame: the emphasis is on a short evaluation of the legislation by two confronting sides of the story and not on the new U.S. regulations.

The practice of reducing topics into two opposing statements, 'journalism of assertion' (Kovach and Rosenstiel, 2001, pp.75), is a modern substitute for the old journalistic principle of 'obtaining all facts and viewpoints relevant for the news story'. The process of making news, as most journalists would confirm, is an almost unconscious set of decisions played by news makers in news manufacture. It is based on a relatively standardized routine, adopted by a vast majority of news outlets. The 'unconscious'

decision to reduce 54-words of news on two opposing political statements is a reflection of newsmakers' judgement about the most important aspects of the 'event'. The most newsworthy element in the news story *Trade fears on GE labels* is two opposing views on the power of objectives stated in the US document. In such a story, there is no place for explanation as to where, why and how those views were obtained.

Does the omission of an explanation of the newsgathering process influence the meaning of the story? If the answer is indeed 'yes', as we assume, does the lack of explanation reduce, enrich or have no influence on the readers' understanding of the topic (the policy aspects of limitations genetic engineering)?

One possible way of looking for an answer is to identify what is 'not said' in the story. What are the points that are not clarified in the news? This method is well known among journalism practitioners and is usually called 'prosecutorial' or 'sceptical' editing.

Let us explore some of the questions that this particular news story does not address: How did the Green Party find out about the document? Who is 'negotiating objectives' stated in the U.S. legislation? Where (and in what form) does the Green Party 'say' that the U.S. would get rid of labelling? Why did the Green Party quote the document? What else does the proposed legislation include? Why would the U.S. aim to get rid of labelling? What is the level of rejection from the New Zealand Government when it says that 'U.S. objectives would not necessarily be adopted'; was it a Minister of Finance who holds a pro-GE stance or a Minister with greater understanding of the anti-GE stance? Who was the source of information from the Green Party? Is it a Green MP whose 'exclusive' information turns out to be ungrounded? Or is it the most reliable MP in the Green Party? Why are objectives problematic and what is the future of the free-trade deal?

The list of questions is long, and if addressed, would not fit into 54-words of news. The argument here is not that all news stories should include every related detail to the story. This would not be possible. Rather, the frame of the story *Trade fears for GM labels* would be dramatically different with and without an explanation of the process of acquiring the news.

Let us look into two 'versions' of the news report under scrutiny. One version is the actual published report - with the newsgathering process 'unexplained' - and the other version is a simulated news report with the newsgathering process fully 'explained':

a) Newsgathering process '*unexplained'* (the article *Trade fears for GM labels* as published): the text indicates a relationship between GE (food labelling) and the free trade deal with the United States of America. The action that is a consequence of the relation between GE and free trade (attempt to remove labelling) can be described in two different, confronting ways. The Green Party says it is 'a certain act' and the Government says it is 'a negotiable act'.

b) Newsgathering process '*explained*' *(*the text *Trade fears for GM labels* as it is not). If we assume the already mentioned newsgathering scenario (the Green Party issued a press release, and the journalist asked the Government's spokesperson to comment), than the news could look like this (non-existing text is in italics and underlined):

> The United States would aim to get rid of labelling of genetically modified food as part of any free-trade agreement with New Zealand, the Green Party said yesterday in *a press release that cites part of the* negotiating objectives stated in proposed US legislation. However, *asked to comment on the Green Party's statement,* the Government said U.S. objectives would not necessarily be adopted in any deal.

Minimal correction to the news (even without moving the fore-grounded categorical statement *The United States would aim to get rid of labelling…)* distinguishes the positions of news sources. One sends a press statement and the other is asked to comment. It simultaneously re-establishes the voice of the press and clarifies transformation of the source text into the article.

The transformation of the source text (press release) into an article is complex because it articulates features of source and target discourses. The process that Fairclough (1995) calls 'articulation of official discourse with colloquial discourse' is a natural part of journalism practice, and is explained and defended by clear recognition of source identities and actions. The analysis of media coverage of genetic engineering indicates that the absence of explanation on how information has been obtained (in this case no 'where' and no 'why' in explaining sources' actions) leads to the disappearance of context in the story and loss of the journalist's place within that context. When the newsgathering process is explained, the reader can determine the value of information. In an interview, the journalist raises questions which the reader would ask. Unasked questions are a loss for the newspaper. In a press release, the reader 'knows' there are source interests attached to the story. Such factual certainty produces transparency and clarity of news and is relevant for public debates on important issues in society.

Further analysis indicates a link between the absence of newsgathering explanation and the type of knowledge generated for public debate. Knowledge on the GE issue – the link between labelling food and free trade in *Trade fears for GM labels* - is provided by the Government and the Green Party ('primary definers'). Their version of reality has not been used as a summary of facts where the facts are subject to verification (the Greens say there is a link, let's check the document and ask details from US administration). However, for a summary of evaluation of facts (there is a link) the evaluation is subject to verification (the Greens say that/what the Government thinks).

The facts (the United States proposes free-trade legislation, the document has 'negotiating objectives', one of objectives talks about labelling of GE food) are replaced with the Green Party's selection of facts. What we see in the news as indicator of verification is not the original document quoted, interpreted or analysed. It is the voice of the 'other side' (the Government) that provides a second statement which contradicts the

first. Reporting confrontation between authoritative sources could be seen as a reflection of a battle for dominant frame (Miller and Riechert 2000, pp.45). It could also be a comfortable mechanism for obtaining 'factuality' through several (non-verified) statements.

The test in *Trade fears for GM labels* presents itself as 'truthful' by contrasting two political judgments rather than testing those judgments against facts found in the original document. The truthfulness of news, however, includes both text and context. Journalists can accept factual contexts provided by news sources without breaking any journalistic principle (including objectivity). If the reader does not have a full and explicit reminder of what distinguishes facts from opinions, clarity of information is lost, and so is the transparency that reveals the stakes of those involved in public dialogue.

The power of sources

Providing a source of information is one of the most explicit reminders that news is a 'mediated reality'. In the article, *Scare stories bolster GE crusade*, published in *The New Zealand Herald* on 4 August, 2001, the journalist says:

> The Royal Commission on Genetic Modification believes New Zealand should adopt a "proceed with caution" approach to genetic science.
>
> But the term "caution" didn't go far enough for thousands of New Zealanders, who want genetic modification (GM) banned.
>
> The public's distrust of genetic science is partly due to a number of scare stories, covering anything from experiments gone wrong to potatoes spliced with toad genes.
>
> Here are some of the incidents which have inflamed the anti-GM movement.

The article continues with a detailed description of various incidents. An experienced reader could assume that the journalist looked at world media coverage of GE and used information in those press clippings to bolster her own story. Some might believe that the examples were drown from the New Zealand press, or were part of a random list of stories picked from Greenpeace documentation. Does it make a difference if 'the number of scare stories' was from the world press, the New Zealand press or the Greenpeace archive? Of course it does. If it was revealed as to how 'a number of scare stories' was found, readers could decide on the reasons for being scared. By using the 'voice of God' (*…the public distrust of genetic engineering is partly due to a number of scare stories…*), the journalist not only fails to provide a context for the information, but fails to report the information itself. Unanswered questions, such as who says there is public distrust; why is the distrust 'partly' (and not 'completely') due to a number of scare stories; what is the exact number of scare stories; who told them and where were they told - construct the major mystery of the article: what is the source of information that follows?

Articles like this indicate that a link exists between clarity of news (explanation of newsgathering method) and the input of sources. Detailed content analysis of 674 news items published on genetic engineering confirms numerous studies (Sigal 1973, Fishman 1980, Ericson et al. 1987, Cottle 1993, Deacon and Golding 1994) that show journalists heavily rely on authoritative, official sources (Table 2).

Table 2

SOURCE	***The New Zealand Herald***	***The Press***	***The Dominion Post***	**TOTAL**
Government	67	38	41	**146**
Green Party	62	40	42	**144**
Maori	12	1	9	**32**
Science	61	18	36	**115**
Business	31	15	16	**62**
Organic farmers	8	2	3	**13**
Federated Farmers	4	4	0	**8**
Environmental groups	19	16	11	**46**
Life Sciences Network	17	4	7	**28**
Royal Commission	8	5	3	**16**

The study shows that the Government and the Greens were almost equally visible across all three analysed newspapers. The third source, '*science',* appears almost as often as '*Government'* and '*Green Party'* in the major city (Auckland and Wellington) newspapers (*The New Zealand Herald* and *The Dominion Post).* The regional newspaper (*The Press*) openly published twice as many articles where '*Government'* or '*Green Party'* were quoted than where *'scienc*e' sources spoke on the issue. The regional newspaper also treated *business* and *science* as equally important sources for the GE story, while the major-centre newspapers favored *science* over *business*.

Journalists' reliance on the Government and the Green Party, and to a lesser extent, science and business sources, might be caused by the "combination of bureaucratic expediency and the professional journalistic subscription to ideas of 'objectivity'" as some academics explain (Cottle, 1993, pp.107). It could also be a consequence of the victory won by 'parajournalists' - public relations firms, public information officers, political spin doctors, and the publicity staffs of a wide variety of institutions, both corporate and nonprofit (Schudson, 2003, pp.3) - over news media journalists. The result is, nevertheless, the same: the Government and the Green Party stand as the nation's 'primary definers' on genetic engineering.

Sources as authority

The initial hypothesis for this study was that there exists a relationship between sources and transparency of newsgathering information. The more authoritative the sources were, the less newsgathering method would be explained. The presumption was that the least transparent and precise articles would be stories with the Government as the source of information. The data brought different results (Table 3).

Table 3

NEWSGATHERING	*'explained'*	*'unexplained'*	*Index**
Green Party	70	108	**1.54**
Government	62	127	**2.05**
Science	38	87	**2.28**
Business	15	56	**3.73**

* The index represents number of 'unexplained' newsgathering articles divided by number of 'explained' articles

The most precise explanations of newsgathering occurred in news where the Green Party was a source, while the least precise were articles based on information obtained from 'business' sources This demonstrates that the line between reporting and reported voices remained clearest (although still not absolutely precise) when the Greens' were quoted.

The 'political economy' perspective on news would use the connection between businesses behind the news and those behind genetic engineering to explain this trend. Some studies on public relations and the GE issue (Weaver & Motion, 2002) indicate that corporate public relations have been extremely successful in promoting businesses as 'environmentally responsible'. New Zealand's neo-liberal market economy provided the 'justification' for corporate and government public relations attempts to stifle public debate about environmental and health implications of genetic engineering research. This study also suggests that 'business' sources had less questionable access to the news than science and political sources.

A decade ago, some authors announced that organized journalism is dead because the minimal requirement for journalism – the thing, topic, entity or phenomenon that is independent of journalist – "…has changed as the journalistic criteria and perspectives on the world and events have now been adopted by the very sources (of events and activities) the journalists seek to report" (Altheide and Snow, 1991, pp.51). The analysis of GE articles in the New Zealand press suggests that sources have adopted a global approach to journalism (advance preparation of 'sound bite' statements), and journalists have begun to rely on the 'professionalism' of news sources to offer accurate and factual information. The tendency for journalists to favour 'written stories which are already prefabricated in an appropriate news style and therefore require the minimum of reworking' (Bell, 1991, pp.58) easily finds justification in the neo-liberal market environment: business sourced news is of interest to all of us and is aimed at the (material) well being of all citizens. Therefore, there is no need to identify the mediated reality's marker and 'waste' space explaining where and why the business source provided information for the story. The input is considered trustworthy because there is an assumption of a shared interest between sources, journalists and the public – that all are united in the finding and telling of truth.

News culture

The history of journalism has shown that the search for truth is a complex task. It is related, among other things, to a particular news culture. The story of the press and genetic engineering in New Zealand is one such example. Analysis of the media coverage of GE confirmed a lack of transparency of newsgathering method in the New Zealand press. It indicated that the absence of newsgathering explanation had an impact on news clarity, and therefore, affected the meaning of the news. It also linked the explanation of newsgathering method with news sources, either political or business. However, what this analysis does not unveil is whether this practice is simply a reflection of New Zealand (national) news culture or is it a part of a wider (global) change in journalism?

What we know from existing comparative studies is that news culture is always a result of an 'intervening variable between people (journalists, sources or public) and a given "objective" situation (cf. media events, organisations, infrastructures, and systems) through which citizens inform or are informed' (Deuze, 2002, pp.134).

When asked to define their own profession, journalists the world over say that 'explaining the news and getting the news out quickly' is their most important role (Donsbach and Klett , 1993). In that sense, the author of *Trade fears for GM labels* did what journalists always do: quickly run a newsworthy story on new American legislation, and believe that quoted opinions from the Greens and the Government explain the news.

The trick lies in the 'explanation', the heart of the old division between 'interpretative' and 'objective' journalism. The interpretative role of journalism is a characteristic of journalists in continental Europe. In Germany for instance, "the press was dominated by a strong belief in the superiority of opinion over news…and ideology that objective or even neutral accounts of reality are not possible" (Donsbach and Klett , 1993, pp.53). The 'objective' or 'neutral' journalism practice defines American journalism and has dominated its press for over a century. What are the main features of the two models? Donsbach and Klett's comparative survey of professional values of journalists in Germany, Italy, United Kingdom and United States of America, offered five qualities of news to choose from: 'no subjectivity', 'fair representation', 'fair scepticism, 'hard facts', and 'value judgement'. For American and British journalists, the first four items are equally important parts of quality news, while German journalists prefer 'hard facts' and Italians, an 'avoidance of subjectivity'.

The study revealed that American and German journalists are at opposite ends of the spectrum in regard to 'objectivity'. For the German journalists, the most favourable notion of objectivity is to go beyond statements and report the 'hard facts'. For American and British journalists, 'good news reporting expresses fairly the position of each side in a political dispute' and 'requires an equally thorough questioning of the position of each side in a political dispute.' The study concludes that American and British journalists stress "the news media's function to act as a common carrier between interest groups and the public while the continental-European journalists are … more related to investigating these interest groups' assertions and get to the hard and 'true' facts of the political scene".

The analysis of media coverage of genetic engineering confirms that New Zealand journalists share the values of Anglo-Saxon news culture. It indicates restricted understanding of 'objectivity' where the responsibility for providing news content is given to sources, and investigation is replaced by the rephrasing of arguments from contending sides.

Donsbach and Klett (1993) asked if a different understanding of objectivity would affect different audiences' perception of reality. They speculated that an average American citizen might receive a broader and more impartial picture of what the different interest groups have to say in each news medium. While in continental Europe, journalists "might go directly to what they might think of as analysis, interpretation or evaluation and skip the common carrier role of presenting fairly the arguments of all sides". A European audience "gets a deeper and more complex picture but also one which is affected by the communicator's or news medium's world view" (Donsback & Klett, 1993. pp.80). The authors speculated that Anglo-Saxon journalism better serves the public's understanding of news issues.[14]

This study poses an opposite argument: the Anglo-Saxon notion of 'expressing fairly the position of competing sides' is fine and necessary; but, left alone, it is not sufficient to depict the complexity of the modern world. What is missing in news stories that only rely on different accounts of reality is transparent evidence of interventions in news media text. *Trade fear GE labels* and *Scare stories bolster GE crusade* need supplements typical of interpretative journalism - description, analysis and evaluation. It would help the reader to understand the context of the story, and with the context, understand the sources' position. In this case, the position is on the issue of genetic engineering.

The pure application of having both sides of the story becomes inadequate when portraying the reality of GE. The clarity convention, as Kovach and Rosenstiel (2001) stress, has a main function of increasing the truth value of the information it conveys. Why is this so important? It is relevant because the social construction of reality no longer comes from simple interaction between sources and journalists. Rather, it occurs between 'journalists' and a new class that Schudson calls 'para-journalists' (Schudson 2003) - journalists in news media and journalists working as public relations and press officers in institutions, companies and organisations that are used as news sources.

When the newsgathering process is explained, readers easily recognize spin. The impact of news sources from campaigns and public relations, a profession that "occupies a central position in today's wider promotional culture" (Cottle, 2003, pp.6), could be better managed there if their communicative power is made clear in the beginning. Kovach and Rosenstiel (2001, pp. 80) warn:

> If journalists are truth seekers, it must follow that they be honest and truthful with their audiences, too – that they be truth presenters…The only way in practice to level with people about what you know is to reveal as much as possible about sources and methods. How do you know what you know? Who are your sources? How direct is their knowledge? What biases might they have? Call it the Rule of

> Transparency. We consider it the most important single element in creating a better discipline of verification.

Conclusion

The new media landscape, where news is not manufactured by interaction between agents of reality (sources) and agents of representation of reality (journalists), demands new rules. A good start would be an acknowledgement of the existence of middle-man (para-journalists) and indication of their intervention in reality. Clearly, no one expects all articles to provide a complete list of explanations regarding the newsgathering process. It would not only clash with the internal constraints of time and space, but it would bring an unnecessary and boring punctiliousness into news stories, which are, let us not forget, narratives.

Presentation of certain forms of public discourse, such as press releases, require sharper journalistic alertness. The higher a news source's stakes are, the more 'context' is needed in a story. The cultural practice of para-journalists differs from that of journalists. The first group is interested in 'favourable facts' while the other group operates with 'equal' treatment of facts and includes 'all viewpoints'. The 'unexplained' newsgathering process produces a hazardous equilibrium of facts and opinions. It blurs the line between news media journalist intervention and news source intervention.

The disappearance of clear markers of journalistic and para-journalistic intervention may be explained by the expansion of broadcast media style journalism. In an attempt to compete with the popularity of radio and television, newspapers have started to imitate them. Television journalists do not have to explain newsgathering processes because a picture tells the whole story. Television makes it visually clear when there is a press conference, if a person was interviewed after a press conference, if an interview was made in person or through the phone, or if an event was witnessed by a television crew. Even a picture of the press release is occasionally used to support the story in television news. Radio provides explanation by using sound. Newspapers do not have these audio-visual tools, but in their rush to compete with faster and more popular media, they behave as if they have. They simply omit 'the picture' and delete the description of how the information was found.

Altheide and Snow (1991, pp. 76) argue that the organisation and format of media – especially television – define all journalistic practice. Their statement that the parameters of journalism are set by formats - and not professional standards of reporting, fact gathering, careful analysis etc. - exaggerates the nature of journalism practice. However, it highlights the fact that television standards dominate news media practice. A full set of details that define the news story, newsgathering among them, is the equivalent of television footage or radio sound. Once the circumstances of obtaining information are explained, the sources become visible. With visibility comes credibility of claims and accountability of actions.

The analysis of media coverage of genetic engineering in New Zealand reveals the shift in everyday journalism practice and points towards what might be the quiet

disappearance of an explanation of newsgathering process. It might have an influence on the knowledge of subjects and the efficiency of the press in providing a forum for public debate. The problem with stories such as *Trade fears GE labels* is that they generate knowledge about the different standpoints among political agents while hiding facts that could help readers form their own opinions for debate. It opens the 'voting' but it closes the debate.

The difference between voting and debate in news text reflects the quality of exchange between sources and journalists. This exchange is 'a form of political action itself' (Schudson 1995, pp. 3) and as the study shows, demands clear, precise and transparent accounts from both sides. It is a process. If the ideals of early notions of objectivity were about removing journalists' emotional interventions in order to present factual information, modern journalism has the task of bringing intellect back. It needs to ask and answer the where, how and why .

Notes

[1] Along with newsgathering practice, the research project includes analysis of journalism forms, sources, attribution, and story telling frames

[2] Royal Commission's Report (2001, pp.6)

[3]Royal Commission's Report, Executive Summary (2001, pp.2)

[4] The similarities and differences between media coverage of GE in three dailies, in relation to their size and communities they are based in, are subject of the second part of the study

[5] *The New Zealand Herald* 211,117: *The Press* 91,024; *The Dom*inion 68,571 (circulation on 30.09.2001)

[6] The day when the first articles about the release of the Report were published in the press

[7] The *LexisNexis* data base search engine selected all articles where the phrase 'genetic engineering' appeared. The following were excluded from analysis:

- letters to the editor - they don't directly reflect journalistic practice, the subject of the content analysis
- news shorter than 50 words- they were mainly short announcements on the front page (briefs), none of which was relevant for the planning research.
- ads and advertising (paid) articles as the content belongs to commercial and not informative part of newspapers (the section that is the subject of this analysis).

[8] The study relies on Bell's (1999, pp.57) classification of the ways journalist assemble the news: interviews (face to face or by telephone); public addresses; press conferences; written text of spoken addresses; organizationally produced documents of many kinds; reports, surveys, letters, findings, agendas, minutes, proceedings, research papers, etc; press releases; prior stories on topic, either from own or other media; news agency copy; the journalist's notes from all the above inputs, especially the spoken ones.

[9] Sources have been identified by listing all individuals, groups and institutions that originated messages stated in the day when the Royal Commission's Report was reported in the press. The following sources were identified: *Greens; Government; Science;*

Business; Organic farmers; Federated Farmers; Environmental groups; Life Sciences Network, Maori.

[10] Riechert and Miller talk about 'competing stakeholder positions' where the term stakeholders refers to the multiple groups in the policy making process that stand to win or lose as a result of a policy decision (Miller and Riechert, 2000, pp.46)

[11] The total number of 674 articles include both news (510) and opinion pieces (164). Opinion pieces were excluded from analysis of newsgathering process. The total number of *'newsgathering'* category is higher than number of news because some articles had both sub-categories *'explained'* and not '*explained'* – part of the newsgathering process was clear, the other was not. In that case, both values were noted.

[12] Sigal 1973, Fishman 1980, Ericson et al. 1987, Cottle 1993, Deacon and Golding 1994

[13] The index represents number of 'not explained' newsgathering articles divided by number of 'explained' articles

[14] "U.S. citizen might receive in each news medium a broader and more impartial picture of what the different interest groups have to say…", while in continental Europe journalists "…might go directly to what they might think of as analysis, interpretation or evaluation and skip the common carrier role of presenting fairly the arguments of all sides" (Donsbach W and Klett B 1993, pp. 80)

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Mississippi To Mauao - Conversations Across Cultures in Contemporary Aotearoa.

Music

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This project examines the epistemological relationships between the roots of American Blues music and the music of contemporary popular music artists in Aotearoa (New Zealand). The research explores the appropriation of improvisational language, music and narrative styles of early Afro - American blues and exponents of Jazz and reggae demonstrating links to free styling and rhyming in post Marley Pacifica.

The hybridisation of these overtly disparate styles provides a new context for a re -examination of music as social text. Common lyrical themes of disenfranchisement, the politicising of music and the use of music as a vehicle for social change are embedded in the research outcomes.

The Mississippi To Mauao project is being realised as a recording project with principal researcher/producer Liam Ryan facilitating a partnership between blues scholar Midge Marsden and hip-hop and jazz artists from The Bay of Plenty, New Zealand (home of Mauao - the iconic mountain of the area).

The recordings commissioned by The Bay Of Plenty Polytechnic are a blend of live performance and machine based musics employing elements ranging from early blues field hollers and traditional instruments of the Pacific to beat boxing and rap.

Liam Ryan is presently engaged in music education and curriculum design at Bay of Plenty Polytechnic, Tauranga, New Zealand. He is an award winning songwriter and producer, inaugural member of the New Zealand Music Industry Commission and a practising musician most comfortable comping with his fusion band Torch Songs on piano and Hammond organ. He has recently toured as keyboardist with American blues luminaries Charlie Musselwhite and Robben Ford and appears regularly as a performer at Jazz and Arts Festivals in New Zealand..

TITLE: **Tragic Bertolt Brecht: A Study of *The Threepenny Opera***

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ABSTRACT:

Tragic Bertolt Brecht: A Study of *The Threepenny Opera*

Many twentieth-century writers, including Jean Cocteau, Eugene O'Neill, T. S. Eliot, Jean Giraudoux, and Lauro De Bosis, rewrote stories from ancient Greece, bringing old myths into the modern world. Bertolt Brecht does not ordinarily belong to this group of playwrights, many theater and literary critics have long considered Marxist influences to be prevalent in Brecht's plays. Nevertheless, the German playwright's theatrical works borrow a great deal from the tragedies, exploring the tragic aspects of life. In addition, Brecht's aims in theater are very similar to the aims of the playwrights of ancient Greece who wrote social plays with the goal of convincing their audiences of the need for social change. As in ancient Greece, where the tragedians played a prominent role as social and political critics, Brecht's works present German society with the same consciousness and reaction. This paper analyzes Brecht's *The Threepenny Opera* and its tragic characteristics as well as his tragic views of contemporary society.

LANGUAGE AND GENDER: A FEMINIST CRITIQUE OF THE USE OF PROVERBS IN SELECTED AFRICAN DRAMATIC TEXTS

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Abstract:

In African communities gender lore are commonplace. These are evident in conversations, riddles, proverbs, idioms, witty sayings etc. They are often used to give credence, add glamour and beauty etc to spoken words in any given circumstances. They have become so firmly embedded in our various languages that they have become accepted as normal. Language play a major role in the social construction of gender for it helps to reinforce it. According to Simone de Beavoir, women are made and not born, being made is a process of social construction where language, especially, proverbs takes front seat. Chinua Achebe, a famous Nigerian novelist has said that proverbs are the oil with which words are eaten. Proverb here is said to accelerate its 'smooth sail' through the 'throat'. It is as a result of these attributes that writers have endowed their creative works with proverbial sayings using them to enhance the expositions of the themes in of their plays. I n this way, they have indeed invested their works with a truly African sensibility and flavour. Most proverbs are not gender blind. They are gender specific, depicting the relationship between male and female. In this paper therefore, using the gender lenses, we would attempt a feminist critique of these proverbs and other expressions used in selected play texts by some African writers.

INTRODUCTION:

In recent times the issue of language and gender, and its implication in the feminist discourse have gained currency. The feminist are beginning to assess the ideology, gender identification and sexual difference at the theoretical level and at the political level, they are beginning to object to linguistic expressions that relegate women in all spheres. Dale Spender argues that men have intentionally:

> Formulated a semantic rule which posits them central and positive as the norm, and they have classified the world from that standpoint, constructing a symbolic system which represents patriarchal order (p.58)

This means that through their semantic construction; women are positioned as objects and are denied all sense of subjectivity. As an instrument of expression, language is seen to reflect the 'interest' of a given social group: man and woman. (Black and Coward:101). Society is seen as structured around two dominant classes with conflicting interest. These classes have different relations to language. While the women are denied of power, men define the language and women are incapable of influencing the linguistic process as men use it to perpetuate their authority and interests. Expatiating on this, Dale Spender explains that the dominance of the male 'semantic rule' is an effect of the male definitions of meaning and that men like the ruling class in Marxist arguments, have power to define reality, and the rule of language reflects men's meaning. (Black & Coward: 101).

For any group of people language is a significant aspect of their cultural life, according to Deborah Cameron, it encodes a culture's preoccupation and its values; it is a major avenue through which these are transmitted from generation to generation and others who have access to the community. (Cameron: 199). I t is in this vein that the representation of women and gender in language has become a major issue in the feminist discourse. The feminist have come to the conclusion that languages are sexist. The world is represented from a masculine point of view and in accordance with stereotyped notions about women, man and the relationship between them (Cameron: 9). Language is one of the most basic markers of patriarchy. It is often used as a manipulative tool.

In this paper my interest in the use of language is in the construction of the female identity using the media of proverbs. I am particularly interested in the skill with which African dramatist exploit new aesthetic opportunities by weaving traditional verbal art forms into their dramas in English. This in itself is a great stride towards the development of indigenous African literary culture in English. My focus is not limited to proverbs alone but to other forms of verbal expressions like figures of speech, idiomatic expressions, metaphoric expressions, stereotypes etc. Reference will be made to three plays; these are *Imaguero* by Evbinma Ogie, *Dance on his Grave* by Barclays Ayakoroma and *The Queen Sisters* by Irene Salami.

In literature, language is the main medium of expression. Without language, literature will be merely strings of ideas imagined in the brain. Even when ideas are expressed symbolically, their meanings are still expressed via language. Language therefore functions as a basic medium through which meaning is filtered, and also acts as a cultural and political system that has meaning in itself. The use of proverbs acts as a means for the enunciation of such system. In Africa, it is becoming common in post-colonial literature for traditional home grown images to be embellished in literary texts. Gilbert and Tompkins have rightly observed that:

> Many African playwrights resort to indigenous discursive patterns and turns of phrase to communicate in English, and to bring to English something of their own language and oral traditions. Local proverbs, in particular, communicate a resonant, poetic meaning that standard English expression does not normally allow. (p.182)

Africa is endowed with vast oral culture which represents a dominant view when they are about gender. Along with other forms of orature, the proverbs provide a strategy through which society reaffirms its traditional beliefs. Proverbs are important component of speech particularly in Africa. Among the Ibos, it is the palm oil with which words are eaten. To the Yorubas, it is the horse of conversation, for the Hausas, it is the beginning of words, the Tivs, says it is the spring from which conversation sprout. For the Binis, it is said that when instructions are to be passed, for a well bred child, it is given in proverb, but for a servant, it is in plain words. This goes to show the value of proverbs in African societies.

Although it is difficult to trace the origin of proverbs, Gilbert & Tompkin have defined it as 'short, easily- remembered pithy statements that are passed on from generation to generation. They sometimes recall oral forms of history and culture'. (p.182). In similar vein, Mineke Schipper defines it as 'short pithy sayings, indigenously embodying an admitted truth or a cherished belief'. (p.9) She identifies

four basic characteristics: its concise fixed artistic form, its evaluative and conservative function in society, its authoritative validity and anonymous origin. Its main features are that it exaggerates, idealize, simplify, stereotype, jest and joke. Ruth Finnegan observes that:

> In many African cultures a feeling for language, for imagery, and for the expression of abstract ideas through compressed and allusive phraseology comes out particularly clearly in proverbs… Indeed, this type of figurative expression is sometimes taken so far as to be almost a whole mode of speech in its own right. (cited in Ojoade:100)

In western cultures the genre of proverbs is gradually declining, most people hardly ever pay attention to it. However, in Africa, this is a significant genre even though they are the world's smallest literary genre. (Schipper:p.2) Their poetic power is most captivating and fascinating. Proverbs are regarded as been endowed with wisdom, its strength and impact is authenticated by the use of such strong references as: 'according to our people', 'our people say', 'our ancestors or our elders say'… When the elders, people, ancestors say, who can oppose the collective wisdom of the people? In societies, people who are very versed in or have a rich repertory of proverbs are well respected and regarded as eloquent speakers.

Patriarchy has played a major role in the formulation of many African proverbs. They are commonly used in Africa to construct feminine identities, perpetuating the subordination of women to men. 'Phallocentric' undertones are evident in these proverbs and they also attempt to position women as lower than men. The African belief that men are superior to women influences the construction of these proverbs. This obvious marginality of women is reflected in the projection of the African society as strictly patriarchal and obviously masculinist. There are many proverbs in Africa which presents us with rich collections of society's attitude towards women: their bodies, status, assigned roles etc, which invariably exhibits the way society perceive them and thus constructs their identities. Many proverbs are constructed presumably by men; women's voices are excluded. Schipper who has nearly 14,000 proverbs from across the world, has observed that:

> However, the preponderance of proverbs representing male perspectives, promoting male superiority and defending male interests and privileges, is indeed striking. If proverbs present a 'truth', it is of course always a truth hiding underlying interests. 'Truths' as seen from women's perspective are hard to come by…
>
> As much as they have been under-represented or excluded from the public arena and from public functions in most societies, women's views are significantly under-represented in proverbs I collected from oral sources, as well as from written source such as collections and dictionaries… (p.17)

Some of these proverbs portray misogyny, with an aim of perpetuating and legitimizing the patriarchal order. This assumption of the primacy of the male subject, the objectification of women; their identification with traditional roles; the portrayal

of female sexuality as dangerous and destructive (Stratton:1994:72) are all common features of African proverbs. In African culture the women are traditionally positioned as silent and passive as against man who wields the rod of authority and knowledge. Proverbs reveal such constructions. Proverbs about women have substantially helped to explain, how sexual differences have resulted in growing gender gap, a gap that has alienated:

> …men and women from sharing both public roles
> in life and responsibilities at home. Teaching and
> preaching the preservation of such a gendered gap,
> on the basis of relatively insignificant body differences
> proverbs have reinforced prevailing hierarchies and
> established rigid images of what it means not to be a man
> but a woman, thus legitimating accessory roles of life
> for both sexes. (Schipper: p. 7)

PROVERBS AND LITERATURE:

The use of proverbs in literature dates back to many generations. For instance proverbs where found in the odes of Pindar, the tragedies of Aeschylus, Sophocles and Euripides; and in the writings of Terence. Other Greek scholars like Socrates, Plato and Aristotle also made use of these compressed words of wisdom in their literary works. Similarly other English writers like Chaucer and Shakespeare also employed the use of proverbs.

In Africa, proverb has become a popular embellishment in the works of nearly all the post-colonial writers. From Soyinka, Achebe, Ngugi'w Thiongo to young writers as Adichie. However, for the purpose of this paper, we will restrict our texts to those by three Nigerian dramatists: Barclays Ayakoroma, Evbinma Ogie and Irene Salami.

In the opening page of *Imaguero* by Evbinma Ogie, we are confronted with excessively masculinist and misogynistic expressions by the author as he introduces the play:

> Imaguero is a story of romance,… It reveals man as a puppet toyed
> with by woman, making one wonder whether man really ever lives
> for himself, or if he thinks he does, is he caught in a web from which
> by reason of his very existence he cannot escape? One would like to
> believe that monarchs and highly –placed persons are, by virtue of
> their positions in life well placed to escape being made play things
> by women. Imaguero tells a story which makes this unlikely,
> confirms the historical assertion that woman has been the cause of many
> wars. (p.iii)

Discrediting the female object is Ogie's strategy in his assault on 'sexual power', a strategy he uses to demean womanhood. With the impression of women as 'evil beings' who subvert men's 'ideal' plans, he builds his play. In scene 1 we see Oba (king) Esigie warn his chiefs not to:

> And I will still warn you not to repose too much confidence
> in any woman. (p.4)

The above expression is commonly used to discredit women. Similar proverbs such as 'community secret can never reside in the house of woman,' 'a women can empty her womb for you, but not her heart'. This means that no matter how close a husband is to

a wife, he should not trust her. The equivalent in Congo is, 'to eat with a woman is to eat with a witch.'

In the same play, Oliha again stresses this point further in a proverb;

> Women are many but friends are few (p.12).

This trend is carried further when the King says again:

> The man who shares all his secret with a woman he thinks loves him is not a man. Such a man, no matter how much he boasts of his greatness, and capabilities is only a fool and a blind bat, a toy in the hand of a weak, frivolous, feminine creature called woman, whose shifting look that is called beauty, sends him doing her will, like one under the influence of wine obeys a beardless youth. Such a man is not a man, for God made man master of woman, not woman master of man. (p.15)

Eson in support of these misogynistic views also says:

> Well, sane husbands should not love their wives. (p. 15)

Ogie privileges the male voices in these proverbs and gives them power and authority. Oliha restate a stereotype when his wife confesses of being jealous of her co-wife:

> …You will not be a woman if you were not jealous. (p.37)

I n his lament over the plot of Oba Esigie to destabilize his home, he says of women:

> Womanhood is debase in my sight - mere article of sensual commence not fit to be called the image of God. Yet the Portuguese priests say a woman was the mother of God. perhaps they mean the God of Portugal, not my Osalobua; not my own. A woman couldn't have been the mother of my God. Never! (p.40)

Here we see stereotype which encode women as agent of moral corruption.

As he summons his wives, he says: 'Where are my bickering wives?' (p.42) This implies that women are quarrelsome and talkative.

Imaguero no doubt is a misogynistic play; its ideological function through the use of proverbs is aimed at legitimizing and reinforcing patriarchal ideology. The verbal expressions in this play expose the sexist bias of men in African tradition

This same trend is maintained in Barclays Ayakoroma's *Dance on his Grave,* in which the author examines the women's struggle for power, space and authority with the men. Chief Olotu the paramount ruler of Toru-Ama worried about the all-women's meeting spear-headed by his wife says:

> And what are they talking in the gathering of the hen (p.15)

An all-women meeting summoned by the Queen to plan a protest against the intended war with a neighbouring village is seen as a waste of energy and time that should have been spent doing domestic chores. They are likened to hens which are known for egg laying and expending energy, scratching the ground with its toes. In this same mood of masculinity, he says;

> Women want to put on the thinking cap too, eh?
> Well, they will all grow bald-headed too. (p.15)

In the play, the women try to possess public space from which they would challenge the patriarchal ideological stance. Spaces in public affairs are believed to be meant for men and men alone, so men regard women's attempt at trespassing as an abomination. They see bald-headedness as a consequence of managing public life. H e went on to say:

They want to act like men. The baby cobra is never free of venom. (p.15)

He further substantiates his point with a proverb by saying:

They say if you play with a puppy it shows your nakedness to the world.(p.18)

As he expresses his fear for the female insurgence he says:

My people, women are taking over the world. (p.19)

This is because he has been socialised to think that it is a man's world anyway. The women have no space in it. He goes on to say:

No! No! It cannot be! Two rams cannot drink from one pot at the same time…(p.19)

Alearo, the Queen by her action is perceived as flouting patriarchal authority.

Out of fear for what the women might do, the king say:

I know it is no bravery to fight with a woman. (p.19)

This perpetuates the notion that women are the weaker sex, a common trope which pervades African proverbs. This is an attempt to instil fear into his wife who has already mobilised the women in the village against the men in order to make them change their mind about waging war, which the women claim would make them loose their sons, he says:

You are my wife; that is why I paid bride price on your head. Once you have sold your fish at the market you can't expect to have them back and keep the money. (p.23).

Paying 'bride price on the head' is very significant in patriarchal ideology, it means bought over completely. By the use of the proverb King Olotu reminds his wife that she is completely sold out, and has no rights to question her 'buyer'. Here Olotu by this expression articulates a patriarchal ideology and celebrates masculinity. As the wife tries to challenge him, he reinforces his earlier statement, re-estabilising his authority as the one in control:

You are not here to reason woman! I didn't pay all that bride price on your head for you to come here and reason for me! I do all the reasoning for you and every other person in this house! No more of that rubbish in my palace! (p.25)

The above statement show how women are excluded from decision making even in their homes. It supports the notion that women are seen and not heard. They are perpetually excluded form the male domain of community power. As the men meet to reassess the threat of the women, they invoke the power of the ancestors to support themselves. They see the threat as a trespass into the male threshold.

Responding to this Apodi says:

This is unheard of ! Women wanting to put on thinking caps. (p.36)

Osima immediately reacts in support:

They think taking care of the affairs of this land is the same As haggling in Zarama market. (p.36)

In Africa, women are often associated with trading in the market, which is why we have the term 'market women' and never 'market men' even though some men trade in the market too.

The Queen, Alaere who has mobilized the women for the protest and boycott of domestic duties, reassemble the women to assess the effect of the boycott. She draws their attention to the vacuums created by reason of their refusal to perform domestic duties, in a proverb:

Our elders say, those who eat eggs forget that the
hen labours to lay it. (p.40)

They infer that men do not appreciate their input in terms of domestic services. Later Chief Olotu in continuation of his 'malignant' misogyny says:

…this tongue is good as far it does not belong to a woman.
The day Tamarua added women to our fold our trouble
began. (p.47).

In his attempt to continue to position men as active and women as passive, Apodi reacts violently to the women's request that their physical position in sexual relationship be altered. He says:

That small crab says if we start sleeping again, that I,
Chief Apodi, will lie down, then she will lie on top of me…(p.49)

As a warning to the women the King (Olotu) says:

These hens have to be told that it is the foolish woman
who goes under the rain when she is tying only one
wrapper. Yes! Only the elders of the land know the
boundaries of the land. (p.51).

A wrapper is a loose unsown cotton fabric tied by woman and with a blouse on top of it. It is assumed that when it rains this fabric sticks to the woman's body and shows all her contours. It may even fall off. For a married woman either of this is an abomination as no one apart from a husband is suppose to view that much. Here the women are warned not to be too zealous as they may be put to shame.

I n his address to the men of the town to use their authority as husbands in their homes to subdue their wives, the King says:

Husbands must be husbands; and wives must be wives.
For many market days now, the women of Toru-Ama
have been trying to dictate to us how we should run the
affairs of this land. Do we leave them to rule us? (p.52)

The men reply in unison: Never!

As he continues to address the men urging them to use their authority as men, he says:

A man must be a man. Yes! And a man must have
Some pride. When a man ceases to be a man, he develops
hunch back. We are going to tell our wives that we are men.
(p.54)

Here in his proverb, he implies that when a man refuses to usurp his position as the head of the family, he becomes a 'disabled' man. Later, heart broken because his wife in a heated argument denies his paternity of their only child he says:

When a man ceases to be a man, he pays homage to a
Woman (p.60)

For King Olotu, it is a thing of shame for a man to give in to a woman. This is because of the status they have carved out for women in their community.

In Irene Salami's play *The Queen Sisters, we* also find proverbs, figures of speech, and metaphoric expressions etc, spoken mainly from a male perspective to reaffirm their notions of women. Sometimes, women use some of these proverbs to voice their feelings about the way men perceive them. In the play, Salami seeks to undermine patriarchy by expressing the issues surrounding it. In the preface, Salami says that she

is using the voice of her characters to project the patriarchal tradition of her society. Her position is merely presenting the male perspective of the society.

She preoccupies herself with the task of exposing the subtleties of patriarchy, and the literary strategy she uses operate to undermine the institutional forms of exclusion. In the opening scene, as Princess Edeleyo is given in marriage to Chief Iyase, the prime minister of Benin Kingdom, Chief Oshodin the palace chief in charge of the king's harem prays for her that:

> She shall bear every child in her womb for you… She
> will submit to you in joy and in anger. Like a pigeon,
> you will be the only husband she will ever marry.
> Her heart shall continually long after you. (p.6).

The King gave the daughter to Chief Iyase, the Prime Minister, to cement his relationship with him as Iyase is his greatest contender. These prayers speak volumes. Princess Edeleyo is a new wife in the polygamous home of Iyase, yet no one prays for Iyase to be faithful and humane, because he is a man and a chief.

In his message to chief Ogieka, that he intends to marry his daughter, the Oba (king) says:

> Tell Ogieka that the Leopard wishes to dance with the
> Peacock. (p.8)

While the King refers to himself as the leopard, the symbol of Africa male strength, he equates Ubi, Ogieka's daughter, to a peacock, which is known for parading its beauty and pride around. As chief Ihama cautions that they are not too hasty in choosing Ubi as the new bride, Chief Osuma cuts in saying:

> Women are women. None of them is good. They are
> either gossips or quarrelsome, jealous or envious,
> malicious or aggressive. However, no matter how
> strong a stone is, it is sure to break when appropriate
> pressure is applied. (p.9)

In support of this Chief Ero respond saying:

> There is no woman that the list man cannot
> tame. Wild or calm, by the time she gets into the
> harem…and she visits the His Royal Highness'
> bedchamber, her body will tell the remaining story.
> This will control and make her calm. (p.9)

Here pregnancy and robbing a woman of her virginity are all seen as antidote for subduing an assertive woman and making her submit to a man no matter how undeserving he is. Ezomo reaffirm this with a proverb:

> That is why our people say that no matter how strong
> A log of wood is, it gives way to the axe. (p.9)

In the conversation that ensues, we find the other chiefs contributing to the masculinist views on women using proverbs to authenticate them. Iyase's response to Chief Ero's account of a woman's trespass of her matrimonial boundary using her husbands bathing facilities illustrates this:

> It is because the wall has fallen flat on the ground that
> the goat can climb on it anyhow. (p.10)

He concludes saying:

> Whoever says a man's manhood is not poisonous
> should look at what it has done to a pregnant woman. (p.10)

Here Iyase uses proverb as an allegory to valorise men's sexual prowess. He celebrates masculinity in all its glory. Talking about women wanting to assert themselves as men Esogban says:

> A dog that compares itself with a tiger will surely get
> lost in the bush. (p.10)

In agreement, Chief Oliha reiterate the fact that women are men's property and as such must be subject to their authority, whether they like or not.

I n scene 3, we are confronted with Enahen the Oba's (king) senior wife; she greets her husband genuflecting and calling him 'my lord, and the owner of my destiny'. This is a reflection of the Benin society where women still greet their husbands in similar manner. This empowers the husbands as the sole controller of her will, destiny, her choice etc and can do with her what ever he desires. When Enahen bring to the notice of the king that the other queens are unhappy about his desire to marry another wife, the King replies:

> Why do you pity the mouse on account of smoke?
> Was it not at the roof top that the mother and father
> had it? (p.15)

Women he implies do not need to be pitied. They are use to polygamy and other ramifications of patriarchy. Shunning Enahen's plea and taking pride in his gender and status, he says:

> Whistling is not a difficult task in the mouth of the parrot. (p.16)

Concluding his speech after the exit of Enahen, he says:

> A man's children are his assurance of a greater tomorrow.
> His wives provide these children. That is their use.

This indicates that a woman's identity is to be constructed around her child bearing role. In Africa tradition, only motherhood can confirm your identity as a woman. Motherhood gives cultural legitimacy to female power. These are parameters defined by patriarchal ideology and the wives have learnt to live with this male-define parameters for their survival.

As the play progresses, we see Chief Ogieka threatening his wife, Omoze, the mother of Ubi to ensure that Ubi agrees to marry the king. Ubi refuses to be married to the King, a man she knows nothing about. Her idea of marriage is totally different. She refuses to be a party to this 'charade'. In an attempt to secure her space in a polygamous marriage, Omoze pleads that her daughter consents. In desperation she says:

> The errands a mother sends her daughter does not harm
> her. (p.24)

As it becomes obvious that Ubi is not a woman to be subdued, Chief Oliha reassures the chiefs that:

> Anyway, there is nothing difficult in a groundnut, you
> knock it on both ends and the job is done. When a load is
> heavy, the ground receives it.(p.25)

Chief Oliha's concluding sentence summarises these proverbs: 'Ubi may be tough, but she will meet her match in the harem.' The harem life is meant to subdue 'tough' women. As the men conclude that women are a necessary evil, Chief Ezomo says:

> If pounded yam will not be eat for its own sake, at least
> it can be eaten because of the accompanying soup.(p.26)

To further allay their fears of any threat women like Ubi may pose, Chief Oliha says:

> The entire life of women is centred round us anyway. When she fights her mates, it is because she desire the attention of a man, when she dresses, it is because she wants to attract a man or please a man. When she laughs it is because her man has made her happy. When she trades, it is to assist a man. When she bears and raises children, it is for a man. When she marries, her name changes to that of a man. What else? They have no lives of their own; their lives rotates around us. (p.26)

With this the chiefs laugh, rejoicing for being the privileged 'super breed'. When the queens complain of their lack of access to the King's bedchamber, Queen Evbu says:

> Unless the barren woman gives birth the oracle will know no peace. (p.30)

This expresses the extent to which women go to perpetuate themselves in their matrimony in a patriarchal society, while the men sit around waiting to be sought after by a woman. Ubi's coming, has brought about changes in the harem, the women no longer take turns to sleep in the kings bedchamber as is the usual practice. Ubi who says she is in the harem for a mission refuses to share her husband (the king) with any other woman. Her mission to the harem is to embark on a radical dismantling of the patriarchal social structures in Bini tradition. Portraying Ubi as a subject of ethnic aspiration, Salami constructs an alternative form of subjectivity. She is infuriated by the way the other wives idle away doing nothing. She restricts their access to the king. While Ubi actively resist patriarchy, the other wives passively submit to it. In response to Ubi's 'insolence', Itohan employs the use of a proverb commonly used in the harem to caution 'overzealous' younger wives:

> A woman who finds a snail declares that the hunter of elephant cannot rival her.(p.33)

The complacency of women in a polygamous setup and the acceptance of their gender role within it is seen as Tirosa speaks:

> …We came here to warm Omo's (king) bosom and bear him children. (p.37)

Supporting this, Itohan laments:

> We have become more of men than women. (p.38)

This trend takes a new turn as Enahen encourages the women to be patient:

> …Charms may fail, but patience never fails. After all, the water that God has destined for one to drink in the river never flows away from one. (p.38).

As the other queens threaten to leave, Enahen resolves to remain and be patient saying:

> The snail will rather die in its shell than exhibits its poverty. (p.39)

The women are silent in the face of their oppression under the Bini polygamous set up, they complain but did not out rightly resist sexual oppression in the harem.
Concluding she says:

> The tree that the home leopard has climbed, who will dare climb it? (p.39)

This proverb enunciates a very pathetic aspect of the women or wives in the harem. The king is metaphorically referred to as the home leopard. When he rejects or divorces a wife, as a mark of respect, no citizen dare marry or have any affair with the

women. She is doomed to a life of loneliness. With this knowledge the women are forced to conform as this becomes a strategy for survival.
In celebration of motherhood, Tirosa expresses with reference to Ubi's refusal to bear children:

If urine is not easy to pass, why do chicken not urinate?
She must be barren. (p.41)

Ubi's pretence of infertility is a form of resistance to male domination. She is conscious of the fact that motherhood can interfere with her proposed mission to the harem. She refuses to find fulfilment in the traditional mode of ideal womanhood.
Itohan, in support of Enahen's plea for patience says:

Let's be patient my queens. The noise in the market
does not disrupt its activities. (p.42)

In most African marriages patience is the tool that society uses to subjugate women in either monogamous or polygamous marriages. When a marriage fails, it is always attributed to a woman's impatience. While it is natural for women to possess a heart filled to capacity with kindness, patience and love, the men are free to rule their homes in what ever manner they so desire, irrespective of the women's emotional needs. They are not accountable to anyone. Not even to the society. While the women are to be virtuous, the men are to display valour. This can be seen in a binary of woman of virtue/man of valour. I n the following scene, Chief Oliha builds on this virtue of patience by expressing in a proverb:

The young palm is never tired in its squatting
position. (p.43)

As the chiefs reason together on how to tame Ubi, Chief Osuma warn against returning her to her father by expressing in a proverb:

…can you complain to the one from whom you bought yams
that the beetle has eaten them up? (p.44)

As the leader of the chiefs who brought Ubi to the harem the chiefs confront Chief Osuma to find a solution to taming Ubi. This is evident in Chief Iyase's proverb:

I t is only the mother of the cripple child that knows
how to carry her child. (p.45)

The women frustrated by their lack of access to their husband's presence are frustrated; however, instead of directing their frustration at the king, two of them plan to harm Ubi. This plan is thwarted by Ubi. We see Evbu say:

A night watch man never narrates his dreams. (p.47)

This proverb is used often to refer to women and their matrimonial experiences, because a good wife is not suppose to express her ordeals in her matrimony to any one, not even her parents, thus perpetuating the culture of silence. Silence in a common trope in patriarchal ideology. The voicelessness of the African woman has been a become a topic issue in feminist discourse

Following the advice of Chiefs Osuma and Oshodin, a new wife is brought into the harem. She is Ewere, the sister of Ubi. She is expected to come in to torment Ubi. All expectations are that she is as strong willed as Ubi. However, it turned out that Ewere is the 'idea' African wife and as such not a match to Ubi. This amazes the other women but Irese cautions:

Well, let us be careful, for the smooth body of a thorn
has a sharp tip. (p.53)

This proverb is often used to warn a groom about his new beautiful bride. With this, he is supposed to keep her under close surveillance until he can ascertain that she is an

'idea' wife. An idea wife is passive, does not challenge her husband in any conversation, silent in matrimonial affairs, patient, 'wise' etc. Ubi though cast in this play as a change agent, the men try to assault and repress her, Salami's portrayal of her, is to define the experiences of women under patriarchy. Although Ewere's gentle character gains her robust moral advantage over Ubi, Ubi refuses to conform to the mode of an 'ideal' wife.

Traditionally, no woman sits in the palace with the chiefs and king unless when called in for interrogation, which she does on her kneels. By excluding women from political power, the men perpetuate themselves in public affairs. Ubi challenges the men by refusing to be passive and subservient, as the other women in the play. Here Salami, constructs patriarchy to include women's aspirations. In act 2, scene 4 she is seen seated with the chiefs as they deliberate on important state affairs, this in itself is an abominable act. Ubi transgresses the norm of sexual codes by sitting with the men. To make matters worse, she ask that state tribute be paid to her. Alarmed by this demand the king says,

> A drum is been sounded for the palm wine taper,
> yet his eyes are on top of the palm tree. (p.58)

This is used for wives whose husbands have plans to divorce them and have probably been given a last chance, rather than show a change in attitude, such wives continues to commit more 'atrocities.' In a similar vein, Ihama cautions that:

> …getting married to a native doctor is not the
> problem but divorcing him is where the problem
> lies. (p.60)

He is implying that getting married to a pretty 'stubborn' girl is not an issue but terminating the marriage is the problem. Referring to Ubi's beauty and lack of feminine virtue, Chief Oliha says:

> It is the red anal feather of the parrot that takes
> it to ceremonies. (p.66)

Chief Iyase who is desperate to send Ubi out of the harem says:

> The tree that harbours the monkey overnight
> knows no sleep. (p. 61)

This implies that Ubi has put all of them to task. I t is good to note here that Ubi's mission in the harem is to transform and change the status quo, she uses a whole set of tactics to challenge male domination and is determined to do this at all cost. However, she fails to enlighten and initiate the other wives into her plans, so this results in mistrust and clashes. The women who are satisfied with the way things are, see no reason for the change.

In the last scene on act 3, Oba Ewuare, the king in a soliloquy, feminizes emotional display:

> Well, love is not an experience for wise men. It is
> meant only for women. (p.85)

CONCLUSION:

From the preceding it is clear that sexism has operated in the language formation of proverbs. The three authors cited above have been able to convey the ethnic realities of their various communities through judicious selections of proverbs, idioms, metaphors, stereotypes and other verbal expressions. While it is obvious that there is an over valuation of masculine values, proverbs facilitate critical devaluation of

woman resulting in the emasculation of proverbs. Proverbs is seen to be used in perpetuating the exclusion of women from decision making process. Women andmen writers therefore should be engage in a radical dismantling of these male structured proverbs replacing them with proverbs that promote societal well-being and construct positive identities for women.

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Submission Title II: Multi-media Poetry/Photography/Cross-cultural Website…Translation of Japanese-American Poetry into Italian…An Experiment in Cross-Cultural Translation

Topic Areas of Submission: American Studies, Art, English, Ethnic Studies, Languages, Literature, Performing Arts, Second Language Studies, and Theatre.

Presentation Format: Paper session.

Keywords that describe the submission: The multi-media website is: www.thesacramentosessions.com You will want to access Session 2, 15 Songs for the Steel-String Guitar…the translations are under "Per le Traduzioni…15 Canzoni per la Chitarra di Aciaia…this website is a cross-cultural experiment whereas Japanese-American poetry was translated by me into Italian…to do so, the Japanese-American cultural concepts needed to be understood by me (an Italian-American) in order to translate them into Italian…in other words, translation was taken beyond the word itself to the realm of cultural concepts.

Joyce Valdes contends that culture learning, or understanding the new ways of another group (or even one's own), is very like looking into a shadowed mirror. The broad lines of the reflected images are clear enough, but the muted light obscures details and forces viewers/translators to fill in the gaps from their own experiences and cultural assumptions (Bassnett, 139). It is a fascinating dynamic indeed when the translator from another culture is able to translate the cultural concepts from another culture…my assumption is that there are common cultural mythological motifs that are universal, hence true understanding is able to cross cultural and linguistics boundaries.

The website translations were critiqued by Japanese-Americans, Italian-Americans, Italians, and the general population made-up of various ethnic groups and overall the poetry was judged to be as powerful in English as it was in Italian…

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Beyond Grass Skirts and Leis: Authenticity and Stereotypes in Hawaiian Sheet Music

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Beyond Grass Skirts and Leis: Authenticity and Stereotypes in Hawaiian Sheet Music

Abstract:

Hawaiian sheet music demonstrates an amalgamation of cultures in its musical styles, lyrics, and, especially, in the cover illustrations. Based upon the collection at the University of Colorado at Boulder, this paper will explore the various mixtures of cultures and stereotypes represented in sheet music published ca. 1900 through the 1940s. The music itself is mostly like the blues, rags, fox trots and movie and musical hits of Tin Pan Alley and other major mainland publishers. In fact, composers such as Irving Berlin, Gus Kahn and Al Jolson marketed "Hawaiian" hits. Hapa-Haole, or "half-white" music, is also represented as is traditional Hawaiian music and music composed by Hawaiians. The language of some of the Hapa-Haole, with titles and lyrics mimicking Hawaiian show a similar mixture or imitation. The sheet music illustrations show strong stereotypes of Hawaiian women, in particular, with ethnic imagery suggesting native Americans, Egyptians, gypsies, and other "exotic" peoples. These ethnic and gender stereotypes will be discussed as well as the subject of Hawaii as a desirable/exotic place. The music, lyrics, and images of this sheet music will be discussed in light of the historical and cultural contexts that inform them.

1. Title of submission: "Inmigración, catalanización y globalización: El amante bilingüe (1990) de Juan Marsé y La teta y la luna (1994) de Bigas Luna"

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6. Abstract: One of the key factors of globalization is immigration, which forces nations to revisit their very notions of identity. In Catalonia, for example, the greatest challenge for Catalonians when it comes to redefining their identity during the Spanish transition to democracy is, without a doubt, the cohabitance of the Catalonians with immigrants, either coming from other parts of Spain or from Africa. As a consequence of immigration, we find that the role of language is of particular interest in the redefining of the Catalonian identity, since if Catalan language had long been considered a key feature in Catalonian identity, now with the non-Catalan speaking immigrants the Catalan language competes with the Spanish one in this redefining of a new Catalonian identity.

This struggle between Catalonian or Catalan and Spanish or non-Catalan in the attempt to answer the question of what it means to be Catalonian today is a constant in Marsé's novel The Bilingual Lover (1990) and Bigas Luna's movie The Teat and the Moon (1994). Both author and director humorously mock such Catalonian nationalist topics as the Catalonian flag, land belonging, and use of the Catalan language in their proposition of a new Catalonian identity. This new Catalonian identity, like Lyotard, opposes the "grand recits" of the nationalist discourses, allowing multiplicity and pluralism instead of exclusivist narratives.

6. Full paper: below

INMIGRACIÓN, CATALANIZACIÓN Y GLOBALIZACIÓN: EL AMANTE BILINGÜE (1990) DE JUAN MARSÉ Y LA TETA Y LA LUNA (1994) DE BIGAS LUNA

Cristina Sánchez-Conejero

Uno de los factores consecuentes de la era global es la inmigración, que obliga al replanteamiento de identidades en numerosos casos. En Cataluña, por ejemplo, el mayor reto de los catalanes a la hora de redefinir su identidad en la transición es, sin lugar a dudas, la convivencia en Cataluña de los catalanes con los inmigrantes, procedentes, en su mayoría, de otras partes de la península. Las grandes oleadas migratorias de los años 50 y 60 obligaron a replantear en Cataluña la cuestión de la identidad catalana. De particular interés a la hora de redefinir esta identidad es el papel que juega la lengua, pues si durante siglos se ha considerado el catalán como rasgo definitorio de la identidad catalana, sucede que, con la llegada

de los inmigrantes españoles no catalanes, el español comienza a desempeñar un papel bastante importante en la conformación de la nueva identidad catalana.

En 1983 el Parlamento Catalán aprobó la Ley de Normalización Linguística con el objeto de promover el uso del catalán en Cataluña. Resulta, sin embargo, que la nueva identidad catalana no se encuentra marcada por una lengua específica –en este caso el catalán- como tampoco está marcada por la pertenencia del sujeto y su genealogía a un territorio en concreto. Tales circunstancias pueden apreciarse en la novela de Juan Marsé El amante bilingue (1990) y la película de Bigas Luna La teta y la luna (1994). Ambas son muestras ejemplares de la nueva identidad catalana que emerge en la era global. La propuesta de esta nueva identidad catalana no se muestra exenta de dificultades, siendo la mayor de ellas el conflicto que esta nueva identidad mantiene con la identidad catalana nacionalista y arraigada en tópicos de banderas, apego al territorio y al uso del catalán como rasgo distintivo de la identidad catalana. Veamos a continuación estos conflictos y las posibles soluciones para la proposición de esta nueva identidad.

1. Por lo que a El amante bilingüe de Juan Marsé se refiere, estos conflictos comienzan desde la propia lengua en que el autor decide escribir su obra. Es el español y no el catalán la lengua que el autor, aun siendo catalán, elige para escribir. Si Bernardo Atxaga apuntaba ya a una idea global de la literatura, escribiendo en euskera y traduciéndose él mismo al español (como es el caso de El hombre solo),

Juan Marsé defiende la libertad de escribir en la lengua que cada uno escoja. En una entrevista realizada por Ana Rodríguez-Fischer, el autor declara:

> Sencillamente me encontré escribiendo en castellano como consecuencia de una dinámica propia de todo aprendiz de escritor que cuando empieza intenta imitar aquello que lee, y yo lo recibía todo en castellano . . .
>
> Y cuando se me ha objetado que dónde queda entonces tanto batallar con el franquismo . . . a eso he respondido siempre que había sido precisamente para poder escribir en la lengua que a uno le diera la gana. (24-25)

En efecto, Marsé escribe en la lengua que le place al escoger el español como su lengua literaria, probando la deterritorialización de la lengua como uno de los fenómenos principales de la globalización. Es decir, que uno puede ser catalán y escribir en español en Cataluña. El hecho de residir en una nación específica –Cataluña en este caso- no obliga al escritor a usar una lengua en particular. La vinculación a un teritorio en concreto como seña de identidad es más propio de una identidad nacionalista que de una identidad global. Joan Nogué i Font define el concepto de territorio en Els nacionalismes i el territori como "un element clau a l'hora d'intentar entendre i explicar el fenomen nacionalista" (114). El propio Marsé rechaza incluso su pertenencia a escuelas con alguna vinculación territorial, tal como la de Barcelona a la que tanto se le ha asociado. A la pregunta de Ana Rodríguez-Fischer "¿Lo de la 'Escuela de Barcelona' te lo crees?", el autor

responde: “Mira, comprendo que vaya muy bien para los críticos, porque es una manera de poner en orden las cosas, pero poco tenemos en común Manolo Vázquez, Mendoza, los Goytisolo y yo”. En la era global, no sólo la lengua pierde su vinculación territorial, sino que además, deja de ser rasgo definitorio en la conformación de la nueva identidad.

Como señala Paik Nak-chung en “Nations and Literatures in the Age of Globalization”, “world literature . . . consists of a plurality of literatures and a great variety and multiplicity of literary productions” (224). Y ésto significa pluralidad de literaturas y de lenguas no sólo entre naciones diferentes, sino también dentro de éstas, como es el caso de España y de Cataluña. Ya lo dijo Axtaga: “falando de literatura e de cultura o único ámbito posible é o universal. Todo o demais é nacionalismo cultural, un horror”. Es decir, que en lugar de literaturas nacionales, se va apostando cada vez más por una literatura global. El propio Marsé se burla de cualquier intento de literatura nacional en El amante bilingue al mofarse de la catalanización que la Generalitat impone en sus ciudadanos, sobre todo los inmigrantes, que todavía no dominan el catalán. Veamos a continuación cómo a través de un proceso evolutivo inmigración-catalanización-globalización Marsé apunta en El amante bilingue a la conformación necesaria de una nueva identidad catalana.

La novela de Marsé -al igual que el film de Bigas Luna La teta y la luna- ilustra perfectamente el problema de la identidad mediante la simbiosis catalán/charnego que el protagonista sufre a lo largo de la obra. En pocas palabras,

el argumento de la novela se resume así: Juan Marés descubre a su mujer Norma con otro hombre, que resulta ser un inmigrante sureño al que denomina despectivamente "charnego". A partir de entonces se embarca en la empresa de reconquistar a su mujer a través de una metamorfosis de identidades mediante la lengua y el disfraz. Su mayor objetivo es llegar a ser un "charnego" para reconquistar a Norma. El resto de la novela se desenvuelve en torno a las peripericias e infortunios de Marés para alcanzar su propósito mediante su proceso de "charneguización".

Juan Marés es catalán, pero desde su infancia el padre de Norma no lo considera como tal, sino como "charnego" dada su apariencia física y sus amigos inmigrantes con los que jugaba. Como dice el propio Marés al mencionar un encuentro con el padre de Norma,

> él era catalán. Yo también, pero todos mis amigos de la calle, los chavales de la pandilla, eran charnegos –sobre todo Faneca, que era de un pueblo de Granada y hablaba con un acento andaluz tan cerrado que no se le entendía-, y con ellos yo siempre me entendía en su lengua. Mi cabeza rapada y mi aspecto desastrado, por otra parte, hicieron el resto: el señor elegante me tomó por un charneguillo de los muchos que entonces infectaban el barrio. (128)

El término "charnego" se utiliza en Cataluña de manera peyorativa para referirse a cualquier residente de la comunidad cuya lengua materna no sea el catalán. Se hace uso de él para designar, mayoritariamente, a los inmigrantes procedentes de otras comunidades autonómas –sobre todo del sur- en Cataluña desde las grandes oleadas migratorias de la década de los sesenta. Además, se califica de "charnego" a los hijos de estos inmigrantes nacidos en la comunidad catalana[1]. Se trata de la estratificación divisoria que durante muchos años ha conformado la identidad catalana. Sin embargo, en los tiempos globales y postmodernos en los que vivimos, esta clasificación identitaria carece de sentido, especialmente teniendo en cuenta que gran parte de la población catalana hoy está compuesta de inmigrantes[2]. En palabras de Kristeva en Strangers to Ourselves, "el extranjero no es ni una raza ni una nación . . . El extranjero se encuentra dentro de nosotros mismos: nosotros somos nuestros propios extranjeros; estamos divididos" (181, mi traducción).

El gran porcentaje de inmigrantes en Cataluña lleva a la Generalitat a promulgar una campaña de normalización lingüística. Es lo que se conoce como la Ley de Normalización Lingüística de 1983[3]. Es aquí donde entramos en el proceso de catalanización. Marsé refleja muy bien esta situación lingüística en El amante bilingüe: Norma es una sociolingüista que trabaja para la Generalitat apoyando la campaña de normalización y, Marés, bajo su identidad "charnega" de Faneca, llama constantemente por teléfono a Norma realizando consultas lingüísticas[4]. En numerosas ocasiones estas conversaciones resultan risibles, lo cual deja entrever la

opinión crítica de Marsé respecto a la normalización lingüística[5]. Ejemplos de estas conversaciones pueden encontrarse a lo largo de todo el capítulo cuarto de la primera parte:

> NORMA. Assessorament Lingüístic. Digui? . . .
>
> MARÉS. Llamo para una conzulta. Miruzté, tengo unos almacenes de prendas de vestir y ropa interior con rótulos en castellano para cada sección y quiero ponerlo to en catalán, por si acaso... Ya zabusté cómo las gastan esos malparidos de Terra Lliure . . . Yo necesito solamente que me diga uzté cómo se escribe en catalán el nombre de algunas prendas . . .
>
> MARÉS. Cinturones.
>
> NORMA. Corretges o cinyells
>
> MARÉS. ¡Coño, qué raro suena!
>
> NORMA. ¡Ah! ¡Qué quiere que le diga!
>
> MARÉS. Perdone, e uzté mu amable . . .
>
> MARÉS. Albornoz.
>
> NORMA. Barnús.
>
> MARÉS. Oiga, esto suena a insulto. (26-28)

Estos intentos de catalanización por parte de la Generalitat van dirigidos, en su mayor parte, hacia la llamada población "charnega" en Cataluña. Pero también

hacia los inmigrantes norteafricanos, que al igual que los "charnegos", es considerado grupo de segundo orden en Cataluña. En el segundo capítulo de la segunda parte de El amante bilingue, Marsé ofrece una pincelada de esta realidad de las calles catalanas: "No había mucha animación en la plaza, salvo los vagabundos y los camellos marroquíes y negros merodeando como de costumbre bajo los soportales" (121). Africanos, andaluces o murcianos, los inmigrantes en Cataluña representan una de las principales realidades de la globalización, ante la cual el gobierno catalán responde con un proyecto de catalanización. Este proyecto es considerado por Marsé como lo que Joan Ramón Resina denomina " a political scam in which reality is forever lost in simulacra", lo cual califica la novela, en palabras de Resina, de "a pastiche of political figures and institutions of the first post-Franco Catalan government" (100, 92). En esta línea, la reivindicación local ante la amenaza globalizadora desemboca en lo que Marsé, refiriéndose a Barcelona, denomina una "vida cultural . . . más provinciana. La cultura oficial que está en manos de la Generalitat, ya sabe lo que da de sí; da una televisión aburridísima, cutre, patriotera, que se mira el ombligo contínuamente"[6].

En el caso de la literatura, este proyecto de catalanizar a la población inmigrante mediante la Ley de Normalización resulta bastante paradójico si tenemos en cuenta que existen otros escritores catalanes aparte de Marsé (Eduardo Mendoza, Vázquez Montalbán, etc) que usan el español como su lengua para escribir. Es decir, desde el mismo fenómeno de las grandes oleadas de inmigrantes en Cataluña se hace patente ya la necesidad de formular una nueva identidad catalana. Una nueva

identidad mucho más flexible que la identidad tradicional y donde la lengua y el territorio no sean requisitos básicos para pertenecer a ella.

No es que Marsé esté en contra de la promulgación de la cultura catalana en la Cataluña postfranquista, sino que es el método usado para esta promoción cultural con el que el escritor catalán no comulga:

> de un lado, la normalización lingüística, es decir, el intento de levantar el catalán, de situarlo en un nivel de normalidad, no era o no es malo, lo malo es el procedimiento, la manera como lo han hecho, y estas pifias, que se remiten a antes de ayer mismo, perjudican muchísimo, y no sé si se dan cuenta, cada vez es un retroceso. En definitiva, es un problema de una lengua minoritaria en relación a una lengua mayoritaria, que siempre se sentirá invadida, reprimida ..., pero cualquier cosa que se haga en pro de la cultura catalana . . . está bien . . . cualquier cosa que este hecha con la cabeza, claro [7].

A esto hay que añadir la mitificación de una identidad catalana tradicional, tal y como lo habían hecho los gallegos nacionalistas al reivindicar su pasado celta. Curt Wittlin apunta en "Folklore and Politics in Catalonia" como "in Catalonia . . . plans for collecting oral traditions and rural artifacts were motivated by the desire to uncover the timeless unique Catalan character, the relics of a Catalan race" (105). Es decir, vendría a ser la Cataluña de la sardana, los *castells* y del *pa amb tomàquet*,

que además de en El amante bilingüe, aparece tipificada también en La teta y la luna de Bigas Luna. Al hablar de identidad catalana, se debe de empezar por el hecho de que, tradicionalmente, no ha existido una identidad catalana única, sino una pluralidad de identidades catalanas, algunas extremadamente nacionalistas, otras nacionalistas moderadas y otras, simplemente no nacionalistas. Todo esto sin olvidar el factor inmigración y los desafíos que los intentos de catalanización suponen para la población inmigrante. El intento de catalanización de la población emigrante en Cataluña originó, lo que Kristeva denomina en Strangers to Ourselves, una "split identity, kaleidoscope of identities", el dilema de "can we be a saga for ourselves without being considered mad or fake? Without dying of the foreigner's hatred or of hatred for the foreigner? " (14). Es decir, ¿se puede ser el "uno" y el "otro" al mismo tiempo? ¿Es posible la cohabitación de identidades o una identidad global?

Este conflicto es el centro en torno al cual gira la historia de Marés en El amante bilingue. Joan Marés es un ciudadano catalán que convive con una identidad doble: la suya catalana de nacimiento, y la del extranjero"charnego" que pretende ser para reconquista a su mujer Norma, que lo ha abandonado por un "charnego". El propio Marés confiesa que decide reconquistarla cambiando su identidad "catalanufa" por la de "charnego" murciano. "Confía en mí, catalanufo" (48), le dice su otro yo con acento andaluz que se propone reconquistar a Norma. Esta relación catalán-inmigrante no se presenta como una relación armónica ni desde el personaje de Norma ni del de Marés. La relación de ambos con la figura del "charnego" es,

usando el término de Kristeva, una relación "abyecta". Por un lado, Norma trabaja de sociolingüista promoviendo la Ley de Normalización Lingüística en Cataluña. Por otro, son precisamente los "charnegos" los que representan el objeto de sus preferencias sexuales. En cuanto a Marés se refiere, éste odia a los "charnegos" por ser objeto de deseo de su mujer, pero irónicamente, es en "charnego" que él decide convertirse para reconquistar a su mujer después de que ésta lo abandona. El autor describe la voz de Marés como "abyecta" cuando descarga "un rosario de obscenidades de calculado efecto" sobre su ex-mujer, que ahora mantiene un romance con el lingüista catalán Valls Verdú (32).

El autor de El amante bilingüe no sólo se burla de la política linguística de la normalización en su obra, sino que además, descarga una crítica demoledora contra los símbolos que tradicionalmente han definido la identidad en la España de las autonomías tanto en los discursos del nacionalismo español como en los de los nacionalismos periféricos: la lengua, trajes y bailes nacionales, etc. Es decir, que la nueva identidad catalana no debe encontrarse necesariamente marcada por la lengua, por un traje o baile tradicional. Por lo tanto, como Marsé muestra en su novela, se puede ser "charnego" y tocar sardanas, o se puede ser catalán e ir vestido en traje de luces y hablar con acento andaluz. En definitiva, se puede ser catalán y al mismo tiempo andaluz, murciano y español.

Juan Marsé cuestiona precisamente uno de los interrogantes más polémicos en el estado de las autonomías actual: ¿se puede ser catalán y "charnego" a la vez? Y además de catalán y "charnego", ¿se puede ser español al mismo tiempo? Los

carteles bilingues de Marés cuando toca el acordeón en la calle, su propio bilingüismo final en el que habla una mezcla de andaluz-catalán parecen sugerir una respuesta afirmativa. De hecho, el protagonista convive con las dos identidades, la del catalán Marés y la del "charnego" Faneca. La estampa final del pedigüeño con su disfraz de torero, vestido en traje de luces pero tocando sardanas con su acordeón representa la culminación total de la posibilidad de una identidad global.

Entiendo por identidad global una identidad incluyente, una identidad donde es posible una multiplicidad de identidades, porque, como Jaime Fierro señala en "Globalización e identidad nacional", "lo local y lo global no se excluyen mutuamente, pues lo local debe entenderse como un aspecto de lo global. La globalización supone un acercamiento y mutuo encuentro de las culturas locales, las que se redefinen mutuamente" (7). En este mestizaje de culturas que supone la nueva identidad global, nos encontramos con que Marés en El amante bilingüe representa la nueva identidad catalana, que aparte de catalana, es también "charnega" y a la vez española a través de la lengua. Así lo expresa el personaje protagonista en su lenguaje final medio español andaluz y medio catalán: "o zea que a mí me guta el mestizaje, zeñó, la barreja y el combinao, en fin, s'acabat l'explicació i el bròquil. . . ." (220).

Este mestizaje o hibridismo va incluso más allá de la identidad en la novela de Marsé. Como apunta Cécile Vilas en "*El amante bilingüe* de Juan Marsé: ¿una novela entre panfleto, parodia y falsa autobiografía?", esta novela "no deja de ser un texto genéricamente híbrido" (121)[8]. Según la autora,

> *El amante* no es una novela con caretas que corresponden a otros géneros, sino que, tanto la novela como el escrito autobiográfico y las distintas parodias o el panfleto son varias de las diferentes caras del texto. El carnaval –símbolo de la complejidad de la vida multicultural moderna- consiste en ir cambiando de cara, de identidad, y no meramente de careta. (131)

Por lo tanto, además de la identidad, la globalización se muestra a varios niveles en El amante bilingüe : la encontramos al nivel del género literario y, como ya señalé al principio de este estudio, al nivel lingüístico por la dicotomía catalán/español del propio Marsé. Esta dicotomía se observa no sólo en Marsé y otros escritores catalanes, sino también en cineastas catalanes como Bigas Luna. Al igual que Marsé, Bigas Luna escoge el español como su lengua de trabajo. Ejemplo de ello serían Lola (1985), Angustia (1986), Las edades de Lulú (1990) y su archiconocida trilogía ibérica compuesta por Jamón, jamón (1992), Huevos de oro (1993) y La teta y la luna (1994). Es en esta tercera película de la trilogía que voy a centrar mi análisis a continuación. Al igual que Marsé, Bigas Luna apunta hacia la necesidad de reformular la identidad catalana en esta película, aunque la identidad global de Bigas Luna cobra matices distintos de los de Marsé en El amante bilingüe. Veámoslo.

2. La principal diferencia entre El amante bilingüe de Marsé y La teta y la luna reside en matices diferenciadores en cuanto a la propuesta de una nueva identidad. Si bien Marsé se centra en el conflicto catalán/charnego en su novela, Bigas Luna añade, además, el componente europeo en La teta y la luna. Como apuntan Barry Jordan y Rikki Morgan-Tamosunas en Contemporary Spanish Cinema, "clearly indebted to Fellini and with dialogues in Catalan, French and English, the film appears to propose a much less-exclusivist, more 'Euro-friendly' attitude towards national identity" (174) . A ésto se debe añadir que además de los personajes "charnegos" Tete y Miguel, la película cuenta con un personaje principal portugués, Estrellita, y su esposo francés Maurice. El único personaje principal que aparece en la película como "catalán" en el sentido nacionalista de la palabra, es el padre de Tete, que precisamente es el personaje que resulta ridiculizado.

En pocas palabras, la película se resume así: Tete es un niño que se enamora de Estrellita, una bailarina portuguesa que llega a Cataluña con su marido francés Maurice para ofrecer un espectáculo. Además de Tete, existe otro personaje que también está enamorado de Estrellita: Miguel, electricista del camping donde se aloja Estrellita. El resto de la película muestra la competición entre Tete y Miguel por la joven, que desemboca en el triángulo amoroso Maurice-Estrellita-Miguel. El film se encuentra plagado de alusiones y símbolos referentes a lo catalán, lo "charnego", lo español y lo europeo, la mayoría de las ocasiones usados de forma irónica, lo cual deja ver el cuestionamiento de Bigas Luna acerca de la identidad catalana, el significado de ser catalán.

Además de la identidad personal, La teta y la luna toca la delicada cuestión de la identidad cultural. El qué es y el cómo se define el cine catalán de hoy. En su estudio "Catalán Cine-Lit: A Critical Overview", Jaume Martí-Olivella cita a Joan Minguet para señalar los factores requisitos que debe cumplir un cine específico para ser considerado referente de la identidad nacional:

> Joan M. Minguet . . . suggests three factors as the necessary ones for any cinematography to become a signifier of national identity: a) to define itself on the basis of specific filmic elements; b) to define itself by using the national language; c) to found itself on, or at least to refer itself to, the autonomous culture. (Minguet, 94). (150)

En el caso de La teta y la luna , más que de identidad nacional se debe hablar de identidad global. El film puede considerarse uno catalán, español y europeo porque en lugar de ceñirse a elementos fílmicos específicos, la película de Bigas Luna es bastante experimental en comparación con otras películas catalanas y poco, si nada, tiene que ver con otras películas catalanas como La Punyalada (1990) de Jordi Grau, Solitud (1991) de Romà Guardiet, Habanera 1820 (1993) de Antoni Verdaguer, o cualquiera de las adaptaciones cinematográficas de textos literarios llevadas a cabo por Vicente Aranda. Además, su director hace escaso uso de la lengua nacional, ya que la mayor parte de la película, debido a razones comerciales, está rodada en español. En su artículo titulado "Becoming Normal: Cultural

Production and Cultural Policy in Catalonia", Josep-Anton Fernández apunta al respecto:

> the presence of the Catalan language and of Catalan films in cinemas is minimal. This is due partly to the fact that watching films in Catalan has never become a habit, but specially to the attitude of the commercial distributors, who regard the Catalan language as a marketting handicap; there is also a generalized feeling that the Catalan film industry has not succeeded in attracting viewers' interest. (345)[9]

Por último, en cuanto a la cultura autónoma se refiere, los referentes hacia ella en La teta y la luna aparecen parodiados y con un claro tono irónico. Básicamente se parodia la identidad catalana nacionalista a través de una representación tópica de la misma: la Cataluña de los *castells* y del *pa amb tomàquet*. Existe, por tanto, un conflicto entre la identidad "catalana" que la Generalitat trata de imponer y el concepto de identidad que vemos representado en muchas producciones culturales catalanas. Ya lo hemos visto en El amante bilingüe de Marsé y ahora en La teta y la luna de Bigas Luna. El problema principal, como señala Josep-Anton Fernández, es que "the promotion of Catalan culture is inseparable both from the politics of 'linguistic normalization' undertaken by the authorities, and from the discourse of political nationalism" (343).

En este sentido, la identidad catalana debe ser redefinida. En lugar de cerrarse bajo límites nacionalistas, sus parámetros deben ampliarse teniendo en cuenta fénomenos de la globalización tan claves en Cataluña como es la inmigración. Es por esta razón que Bigas Luna desmitifica en clave de humor los típicos tópicos catalanes –y además "ibéricos" o españoles- en La teta y la luna. Para ello se vale de una simbología compuesta básicamente por elementos como los "cojones", el "toro", las "banderas" y el "flamenco". La película comienza con un plano picado de un *castell* o torre humana típicamente catalana del que Tete es *anxaneta*. Una de las primeras alusiones simbólicas del film es a los "cojones" que se debe de tener para ser un buen *anxaneta*. Tras el plano picado del *castell* observamos un plano medio de Tete escalando para subir a lo alto de esta torre humana. El padre lo anima y le da direcciones desde abajo: "Va Tete, ya tenías que estar arriba, coño. No te pares, vas muy bien. ¡Con dos cojones! ¡Con dos cojones!". Tete no consigue nunca subir hasta la cima del *castell* sin caerse, lo cual lleva a su padre a recriminarle repetidas veces que no tiene "cojones". Este leitmotif de los "cojones" no es original en La teta y la luna. Bigas Luna ya lo había explorado en Jamón, jamón (1992) y en Huevos de oro (1993). Curiosamente, Bigas Luna agrupó las tres películas bajo el nombre de "trilogía ibérica" cuando tanto en la primera como en la segunda película se parodian "los cojones" del macho ibérico, que no deja de ser un perdedor en ambos films. En una entrevista al director realizada por María Camí-Vela titulada "Las dos caras de Bigas Luna", el director catalán describe la ironía como "arma fundamental" en su trilogía ibérica al tiempo que

confiesa "una gran parte de mi obra es un manifiesto contra el macho" (250, 253). En definitiva, en esta trilogía Bigas Luna lleva a cabo un cuestionamiento claro de los parámetros que definen la masculinidad ibérica, comenzando por el título mismo de la trilogía, que no es tan "ibérica" como promete.

La teta y la luna no es una excepción a este cuestionamiento y a esta parodia, pues el padre de Tete le recuerda constantemente que no tiene "cojones" por no ser capaz de subirse a lo alto del *castell*. Pero además de esto, en esta película Bigas Luna añade el conflicto catalán/charnego que no aparece en las otras dos películas de la trilogía ibérica. Bigas Luna pone en tela de juicio la definición tradicional de masculinidad ibérica, ya que "tener cojones" en esta película no sólo significa ser un mujeriego, un macho ibérico en el sentido tradicional de la palabra, sino un macho catalán, capaz de subir a lo más alto del *castell*. Esta asociación masculinidad-nacionalismo aparece ejemplificada perfectamente en el padre de Tete, que le reprocha a su hijo que "un buen romano como es tu padre y como eres tú tiene que pensar antes en las obligaciones que en las mujeres y tú eres un *anxaneta*". Resulta, sin embargo, que ni Tete ni su rival Miguel se identifican con la identidad catalana que representa el padre de Tete. Ambos son producto del mestizaje de identidades que apunta hacia la nueva identidad catalana. Los dos han nacido en Cataluña, pero ambos son de padres andaluces (al menos uno de los dos padres es andaluz), si bien la influencia andaluza se encuentra más pronunciada en Miguel que en Tete[10]. Por lo tanto, la identidad de los dos se caracteriza por una multiplicidad significativa en cuanto que en ocasiones deciden adoptar una identidad catalana y en otras una

identidad "charnega" según la conveniencia del momento, tal y como lo había hecho Marés en El amante bilingüe. Y en cualquier caso, además, son europeos.

Los personajes de La teta y la luna se caracterizan irónicamente por un claro distanciamiento de lo" español" en el sentido nacionalista de la palabra, que en la película aparece identificado con lo "charnego"[11]. En su lugar, la identidad catalana resulta más relevante a los personajes, pero no una identidad catalana nacionalista, sino una identidad catalana más identificada con lo europeo. Por ejemplo, Tete alude contínuamente a las banderas en la película, a la catalana y la europea, obviando claramente la española. De hecho, las únicas alusiones que se hacen en el film a España proceden del francés Maurice, y se encuentran cargadas de connotaciones negativas: "¡El champú español de mierda!", "Mierda la pasión. Mierda el sol español. Mierda el sur o los toros o la feria. Mierda el flamenco. ¡Ahh! Este país me vuelve loco". Bigas Luna se propone ofrecer una imagen irónica de Cataluña como país diferente de España. La imagen de Tete vestido de astronauta clavando en la luna la bandera de Europa y de Cataluña juntas no podía ser más explícita. Se siente orgulloso de ser catalán, y habla de Cataluña como "mi país": "Me llamo Tete y soy *anxaneta*, que quiere decir que soy un niño que se sube a lo más alto de los *castells* que se hacen en mi país". Esta es la presentación inicial que Tete hace de sí mismo. Sin embargo, la ironía de esta identidad catalana reside en que Tete necesita recurrir a la identidad "charnega" para conquistar a Estrellita, al igual que Miguel, que se pasa la mayor parte de la película cantando flamenco para conquistar a la joven.

El flamenco aparece en el film como símbolo distintivo de lo "charnego". Bigas Luna nos muestra una escena con un grafito de trasfondo que le sirve para dar lugar al episodio "charnego" de su película. El título del grafito: "Camarón gitano". A partir de entonces se oye a Miguel cantando flamenco con el propósito de conquistar a Estrellita. Tete, que espía la escena, se dice a sí mismo: "Se puso a cantar en medio de la calle. Lo peor de todo es que a Estrellita le gustó. Bueno, si a ella le gustaba yo también aprendería a cantar". Más adelante, cuando la rivalidad entre ambos se hace aún más obvia, Tete piensa: "Miguel estaba atacando fuerte. Le robó las bragas. Si él le había robado las bragas yo me quedaría con su sostén". Estos pensamientos recuerdan claramente a los de Marés antes de convertirse en Faneca en El amante bilingüe. Si la Generalitat a través de la Ley de Normalización Lingüística trató sin éxito de catalanizar a Marés en la novela de Juan Marsé, en La teta y la luna los intentos del padre de Tete de catalanizar a su hijo resultan vanos, pues de entrada no es buen *anxaneta* y, además, se propone aprender a cantar flamenco para conquistar a Estrellita.

Esta admiración hacia Miguel como héroe conquistador por parte de Tete revela la misma relación abyecta que mostraban Norma y Marés hacia la figura del charnego en El amante bilingüe. Por un lado, Miguel representa para Tete su rival en la conquista de Estrellita, al que llama "charnego" de forma especialmente peyorativa: "¡Mierda! Este charnego entre lágrimas, el olor a pies y las canciones es capaz de reventarla", se dice Tete a sí mismo mientras espía a Miguel en pleno acto sexual con Estrellita[12]. Por otro, sin embargo, Miguel es la figura a imitar para Tete

en su empeño de conquistar a Estrellita. Para conseguir tal propósito debe aprender a cantar flamenco y a robarle el sostén a Estrellita. Nada que ver con la actitud de los "cojones" del macho catalán que el padre de Tete trata de imponerle.

La escena que cierra la película no deja de ser menos irónica. En ella aparece Tete subiendo al *castell*, esta vez llegando a la cima. Pero curiosamente, no son los ánimos del padre los que llevan a Tete a subir a lo más alto de la torre humana, no son los "cojones" del padre, sino el pecho que Estrellita le muestra desde un balcón. Es un símbolo femenino y no masculino lo que, paradójicamente, muestra al final de la película que Tete tiene "cojones". En palabras de su padre, ahora Tete "tiene unos cojones como un toro". El símbolo del toro, asociado igualmente a la masculinidad, también aparece tratado de manera irónica en Jamón, jamón, donde el personaje de Silvia, tras reprocharle a su novio José Luis que "lo que pasa es que tú nunca has tenido cojones para nada", recoge los restos de los testículos del toro de Osborne para cubrirse la cabeza de la lluvia en su camino hacia su otro amado Raúl. Huevos de oro cuestiona ya desde el título el mismo tópico de la masculinidad ibérica. Su personaje protagonista, Benito, está obsesionado con el sexo. Se casa con Marta, una niña rica, lo cual hace que Benito se crea el hombre más poderoso del mundo. Con ella tiene sexo, dinero y todo tipo de lujos. Pero ésta al final termina dejándolo tras sufrir él un accidente que lo deja medio paralítico. Irónicamente, ahora Benito no tiene ni "huevos" ni "oro".

En resumidas cuentas, ni los personajes masculinos de Jamón, jamón ni el de Huevos de oro representan la imagen cliché de la masculinidad ibérica. Del mismo

modo, en La teta y la luna Tete tampoco ejemplifica esta imagen tópica y, además, tampoco se adecua al paradigma del macho catalán de su padre. De este modo, Bigas Luna propone en este film una conciliación necesaria entre la identidad catalana y la española, que no deben ser excluyentes sino todo lo contrario como puede observarse en los conflictos identitarios de Tete y de Miguel. Se trata del "mestizaje", "la barreja" y "el combinao" al que Marés aludía en El amante bilingüe. En la misma línea, el propio Bigas Luna apunta en su entrevista con María Camí-Vela que el "concepto de mezcla me gusta mucho. El mestizaje me apasiona" (256).

Esta conciliacion necesaria de identidades es la misma que encontramos en la del propio Bigas Luna, que siendo catalán escoge el español como su lengua de trabajo, al igual que Juan Marsé. Hecho curioso si tenemos en cuenta que, como nos recuerda Manuel Castells en The Power of Identity, " Jordi Pujol . . . insists on the language as the foundation of Catalan identity. . . ." (47). Son muy escasas las intervenciones en catalán en La teta y la luna, en su mayoría provenientes del padre de Tete, que aparece ridiculizado en la película de la misma manera que Marsé había parodiado la política de la Normalización Lingüística en Cataluña en El amante bilingüe[13]. El cuestionamiento de los parámetros que definen la identidad se encuentra enlazado con el cuestionamiento del canon cultural tanto en el caso de la literatura como en el del cine. Literatura catalana hoy es también literatura española, europea y mundial. Lo mismo ocurre con el cine.

Recordemos que la globalización no supone la aniquilación de culturas locales, sino la integración de las mismas en el nuevo paradigma cultural. La referencia a Europa es una constante en La teta y la luna. En un momento de la película, se muestra un primer plano de Tete hablándole a la luna en los siguientes términos: "algún día te iré a ver. Te llevaré la bandera de Europa, que seguro que te gusta, porque tiene muchas estrellas, y la catalana, que es la de mi país, que es muy pequeño pero muy bonito. Seguro que la americana la tienes muy vieja y sucia". Acto seguido la cámara vuelve a mostrar un primer plano de Tete vestido de astronauta clavando en la luna las banderas de Europa y Cataluña. Este mensaje de la Cataluña europea no se contrapone, repito, a la cultura local catalana, ya que el nuevo paradigma cultural de la globalización va mucho más allá de las barreras nacionalistas y se basa en la integración y diálogo entre culturas. El propio Bigas Luna señala en su entrevista con María Camí-Vela que "el cine europeo sera un cine que hablará de historias locales, más que nunca. . . ."

Lo mismo ocurre con las referencias norteamericanas en La teta y la luna. Norteamérica se presenta en la película como un espacio idealizado y tópico. Cuando Miguel le dice a su mejor amigo Stallone que Estrellita le pasa electricidad cuando la toca, éste le responde: "Si tocando a una gabacha te pasa electricidad, el día que estemos en California con las tías vas a tener cortocircuitos. Allí hasta las nueces son mejores, y podremos hacer surfing. No como en el Mediterráneo, que es un mar para críos". Y Tete, al clavar las banderas catalana y europea en el globo lunar apunta a la necesidad de incluir la cultura catalana en la europea, y ésta a la

vez en la cultura global porque dicha cultura no puede reducirse exclusivamente a la cultura norteamericana. De ahí que Tete mencione que la luna, metáfora de lo global, debe tener la bandera americana "muy vieja y sucia".

Por tanto, se hace necesario la incorporación al canon cultural de banderas nuevas, como la catalana y la europea, para así lograr la consecución de la cultura global compuesta por identidades múltiples y por el mutuo diálogo y entendimiento de las mismas. La aceptación de una nueva identidad catalana que reconozca desde sus propios parámetros su componente inmigrante con las consecuencias linguísticas y territoriales que ello conlleva es un paso importante y necesario hacia esta idea de cultura global que, al mismo tiempo, debe complementarse mediante un diálogo con la cultura española. Sólo a través de este doble diálogo entre Cataluña consigo misma y España o nación-estado y Cataluña o periferia será posible la plena aceptación de la diversidad cultural de España, paso previo al reconocimiento de la cultura global.

Notas

[1] John Hooper menciona al respecto: "The attitudes and the behaviour of the 'Murcians' apalled the native Catalans who dubbed them *Xarnegos* (a word probably derived from *Xarnec*, a pejorative expression for someone who is half Catalan and half French) and accused them of 'coming to take the bread out of our mouths'".Véase The New Spaniards, 415.

[2] Según los datos de John Hooper, "the immigrants of the twenties arrived at a rate of between 25,000 and 30,000 a year" y "a quarter of a million in the forties, nearly half a million in the fifties and almost a million during the sixties". Véase The New Spaniards, 415-416.

[3] En palabras de Albert Bastardas-Boada en "Language Use Extension in Linguistic Normalizacion Process",

> we define as linguistic normalization –the descriptive term conceived by Lluís V. Aracil (1965)- those processes which certain linguistic communities, politically dominated over a long period of history, adopt in order to create the necessary conditions for ensuring in full their normality and stability as a human group with a distinct language of their own. (59)

[4] Varios críticos han subrayado ya la intencionalidad de Marsé al nombrar a este personaje Norma, en directa conexión con "normalización". Véase "Cultural Schizophrenia in El amante bilingüe" de Meriwynn Groethe o "The Double Coding

of Desire: Language Conflict, Nation Building, and Identity Crashing in Juan Marsé's El amante bilingüe" de Joan Ramón Resina.

[5] Recuérdese que en lugar de políticas normalizadoras, Marsé defiende la libertad del ciudadan catalán para expresarse en "la lengua que a uno le diera la gana".

[6] Véase entrevista a Juan Marsé (publicada originalmente en el diario ABC) en <www.xtec.es/~jducros/Juan%20Marse.html>.

[7] Refiérase a la nota 6.

[8] Véase Mestizaje y disolución de géneros en la literatura hispánica contemporánea 121.

[9] Véase Spanish Cultural Studies 345.

[10] No olvidemos las tendencias nacionalistas catalanas del padre de Tete, lo cual obviamente influyó en la educación de sus hijos.

[11] Nótese la crítica implícita de Bigas Luna hacia el concepto tópico de identidad española según el nacionalismo español, identidad que, como la catalana, necesita ser redefinida. Este concepto tópico de la España "charnega" y flamenca aparece muy bien retratado en otras películas del cine español. Piénsese en ¡Bienvenido, Mister Mashall! (1952) de Luis Berlanga o en Carmen (1983) de Carlos Saura.

[12] Nótese el paralelismo entre la descripción desdeñosa que hace Tete de la figura del "charnego" en La teta y la luna y la descripción que hace Marés de la misma figura inmigrante en El amante bilingue: "charnegos de todas clases. Taxistas, camareros, cantaores y tocaores de uñas largas y ojos felinos. Murcianos que huelen a sobaco, a sudor, a calcetín sucio y a vinazo" (11-12).

[13] No sólo a través de la lengua, sino también a través de símbolos como la bandera se ridiculiza al padre de Tete. Por ejemplo, hasta el hermano recién nacido de Tete debe llevar una pulsera con la bandera catalana en su mano. El plano de conjunto con el padre de Tete vestido de romano con su legión a mitad de la película no resulta menos risible.

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Hawaii International Conference of Arts & Humanities

A. TITLE

vernacular METROPOLIS 1

Podium-city [hong kong]: Intertwining Scalar Extremes in a 60-story Village

B. TOPIC AREA OF SUBMISSION

Architecture (urban design)

C. FORMAT OF PRESENTATION

Paper session

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Hawaii International Conference of Arts & Humanities

Abstract: architecture (urban design)

vernacular METROPOLIS 1

Podium-city [hong kong]: Intertwining Scalar Extremes in a 60-story Village

Studio Investigations from the **University of Florida School of Architecture**
Hong Kong/China Summer Program, 2004

The work of this studio began with an examination of Hong Kong extremes: the very small and the very large as manifest in the traditional ***little red street-shrine*** and the urban phenomenon of the ***podium*** - a big-box, multi-level housing base that incorporates every urban amenity imaginable. In the former we discover an art of the street, authentic in its spontaneity, moving in its utility, and powerful in its ubiquity. In the latter we see an unfinished project of urbanism and place making; monumental, overbearing, ambitious and unapologetic. By definition both are podia, plinths or pedestals, metaphorical bookends of a 60-story village.

As we explore the possibilities of such a scalar tension, we find ourselves interested in that which might reside between the very small and the very large, as its ultimately within this forgotten middle ground of the Asian mega-city that people make their place, conduct their lives.

The drawings, models, and photographs of Vernacular Metropolis 1 attempt to invert, unfold, unravel, and loosen the hermetic black hole of the podium, and to consciously, and conscientiously, construct joints, pockets, and portals to rituals of street-*life* as defined through the chora of street-*shrin***e**. Some drawings attempt to deliver deliberate mis-readings of the podium and shrine, intertwining them to invest the secular one with the spirituality of the other. Others speculate on an alternate existence to the realm of podium form, dreaming an alternate podium of liquid, effervescent, or delirious qualities. While aiming to amplify the promise of the podium as a dynamic and functional response to changing lifestyles, the work questions the disparities between a life conducted indoors in one developer's hyper-mall and a life conducted in the organic and free space of street and square.

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Hawaii International Conference of Arts & Humanities

A. TITLE

GLASS QUARRY IN A DESERT LANDSCAPE:
Second Year Design Studio from the University of Florida School of Architecture

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Hawaii International Conference of Arts & Humanities

Abstract: paper session

GLASS QUARRY IN A DESERT LANDSCAPE:
Second Year Design Studio from the University of Florida School of Architecture

This second year undergraduate design studio project elaborates on the subjects of cosmogony of place/space/site in a theoretical project for a desert laboratory.

Three texts support the theoretical positioning of the project in the contemporary place-displace discourse of the twentieth and twenty-first centuries: Christian Norberg-Schulz's discussions on place making in *Genius Loci: Towards a Phenomenology of Architecture*; Paul Virilio's post-modern counter-position on placelessness, in *Lost Dimension*, and Ignasi de Sola-Morales's account of the transition from one view to the other in *Differences: Topographies of Contemporary Architecture*, "Place: Permanence or Production

The desert was chosen as the place of work for two reasons: First it exemplifies the place-displace discourse, juxtaposing distinct individual character (myth and history) and physical/material/climatological qualities of intense presence and immediacy with an opposite, generic quality of uniformity, barrenness, and absence, demanding a rigorous interpretation on the student's part. Second, the desert is often misinterpreted and simplified in contemporary media imagery as an abstract site of oil reserves and international conflict. It is with a critical eye towards this strange media subjectification of 'place and culture' as 'oil and war' that we re-investigate and re-invigorate the desert as a physical place of mystery and history, myth and hope, imagination and making.

Phenomenologies of natural site were interrogated and then embodied in a project for conceptualizing, simultaneously, both a natural/accidental (producing a natural glass phenomena called a fulgurite) and an artificial/engineered siliceous vitrification event (producing glass fields) in a barren sandy landscape involving three devices for channeling the avatars of the desert:
a *lightning/conduction field*, a *well*, and a *theater of wind*.

Students were asked to negotiate between these discourses in a landscape of dual modes of inhabitation: quarry "keepers" dwell in a permanent and intimate way with the forces of the quarry, anchored by theories of place, genius loci, memory, and lineage; desert migrants dwell in a temporary way, suspended by concepts of displacement, periphery, transition, and discovery.

GLASS QUARRY IN A DESERT LANDSCAPE:
Second Year Design Studio from the University of Florida School of Architecture

Wind and water events facilitate and provide energy for quarrying vitrified minerals.The constructed events yielded an architecture of the ground that is shaped by the rampant tensions between aerial spindle (lightning rod) and earthen hollow (well); the complex dynamics of wind pattern and velocity existing between mountain or canyon and windswept plane; and the tension of form that arises out of the startling coexistence of natural lightning-induced glass fulgurites and organized, composed vitrified groundscapes.

Students began by mapping and modeling solar, electric, liquid, and aerodynamic forces from the known facts of GPS coordinates and other recorded geological and climatological site data; site plans and site section drawings describe the relationship between natural forces and constructed events; detailed horizontal and sectional models explore the discourse of place and dis-place in the constructed landscape; and “up-close” perspectives and rendered section drawings illuminate the phenomenal apparitions of desert forces within the intimate spaces of the dwellings and encampments.

Each of 17 students selected a different sandy desert from anywhere in the world with a mountain range or canyon feature (necessary for consistent wind velocity) and a high frequency of lightning strikes. The poster session presentation will highlight several of the desert projects and show a range of drawings and models produced in the studio.

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The Origins and Trends of American Tourism:
A Mirror of Politics, Opportunities, and Ideologies

Christina Sanders

Foreword

For the past two years I have developed a burgeoning interest in hospitality. In fact I am so interested that I am beginning to lay the foundation for a career in the hospitality industry. It is clear to me that opportunities for hospitality exist around places of tourism. What follows is my tale about my changing perceptions of tourism leading up to this paper:

When I initially thought of tourism, I thought of Hawai'i, a group of tropical islands where the income today largely comes from tourism. People on the islands depend on visitors taking surfing lessons on the beaches of Waikiki, spending money to watch an authentic luau, and they count on people waking up at 4am to be bussed to the top of Haliekala to watch the sun rise, and then bike ride down the volcano. That is how Hawai'i works, and to me, that was tourism.

Then one day this spring I found myself standing, against my will, amongst one hundred other people in the pouring rain waiting to get into George Washington's historic home, Mount Vernon. I was truly bewildered as to why we were standing there enduring great discomfort. For that matter, I wondered why anyone, let alone thousands of people a year, found an old home so interesting. I am fully aware that George Washington was our first president and one of the best leaders our nation has ever seen, but, in my eyes, I still didn't see what the hype was about his house. I didn't understand why some people traveled hundreds or thousands of miles just to look at an ex-president's home. And then I started to think about these people. They were tourists, too. They were drawn, not to the tropical beaches, but to an historical home that had been memorialized. In fact, I realized it was not just a home, it was an American symbol.

The idea for this paper was born at this moment. First I made a list of places that I knew tourists visited: beaches, museums, national parks, historic homes, malls, and cities. Then I wanted to better understand what lay behind tourism: How did places become tourist destinations? When did they become tourist destinations? What was the significance of a place becoming a tourist destination? This paper is my first attempt to understand the origins and trends of American tourism.

Introduction

By world standards, America is a relatively young country, and we have a short history by which we identify ourselves. However, at the same time, we have an important, active and rich history. It is the position of this paper that one way Americans define themselves is through their touristic activities, which have been built around or are the result of history. Those touristic opportunities have evolved and been formalized over the last 150 years through various lobbying efforts, politics, and commercial opportunities. While it is beyond the scope of this paper to explore the development, evolution, and duration of every type of touristic activity, the paper seeks to review broad trends of why and how these different venues came into being, resulting in an American identity. As trends in American tourism are reviewed, it is evident that tourism is deeply embedded in, and the result of, American politics, opportunities, and ideologies.

From Agrarian to Industrialization

In order to be tourists, people need time, money, and transportation. Therefore, to understand the evolution of tourism, it is useful to first briefly review two significant changes in American society: the change from an agrarian to an industrial society, and the evolution of transportation. In the Colonial period most people who arrived in this country arrived as indentured servants or as slaves. Upon arrival, most people farmed the land. When the majority of the country was farmers, people worked countless hours, for little to no pay, just for the necessities in life: food and shelter. The indentured servants also had great debts to pay off from their trip to America. When the country industrialized, doors were slowly opened and people did not need to work quite so long, or nearly as hard. Industrialization, along with the labor laws that were enforced,

shortened the workday. People consequently had time to indulge in privileges such as touristic activities.

It was also the evolution from an agrarian to an industrial society that has largely been responsible for the wealth we have today. Not everyone through history thought industrialization was positive. Thomas Jefferson predicted what would happen to class structure if America became industrialized and wealthy: "…an industrial class system would erode democracy and equality. [However,] the Jeffersonians lost this struggle to retain their vision in the face of industrialization" (www.kentlaw.edu 7). Today, nearly 33% of income is in the hand of the top 10% of the population, while 33% of income is in the bottom 50% of the population. While not everyone became wealthy through industrialization, it was this evolution from farming to industry that enabled many American's, instead of working to survive, to work to live comfortably and happily.

> As societies move from agriculture to manufacturing and services, income grows and people net more leisure time and money to consume nonessential items. In 1875, when more than 95% of Americans farmed, only 18% of income was spent on leisure. By 1995, leisure spending ballooned to 67.5%, with less than 3% of Americans engaged in farming. Over the same period, the percentages of income spent on food, clothing, and shelter fell dramatically (Living Large in the New Millennium).

A direct relationship of an increase in wealth to an increase in tourism is evident. Today, America is wealthier than it has ever been, and it shows. "We still work to eat, but today, it's for food we *desire*, not the minimum calories we need to survive…We still work for clothes, but not simply to cover our naked bodies. We want to wear the *right* clothes…Perhaps most importantly, we work to entertain ourselves when we're not working" (Living Large in the New Millennium). Wealth has altered what people concern themselves with; people begin to live for the experiences that become available

to them in life, instead of living to survive. "American's now spend more than a trillion dollars a year in their pursuit of leisure-far more than they spend on healthcare, or cars and trucks, or on housing" (Kammen xix). The wealth acquired from the change from farming to industry has brought freedom: "Freedom from hunger, from disease, from short lives, from illiteracy, from debilitating physical labor, from poor housing, from shabby clothing, and not unimportantly, from boredom" (Living Large in the New Millennium). It is this wealth—or freedom—for which many Americans now seem to strive.

Transportation

Industrialization not only generated time and money, but it altered modes of transportation. It was the emergence of the railroads in the first half of the 1800's and the first transcontinental railroad in 1869 which began to dramatically open up travel. While these innovations could get people farther, faster than they had ever imagined before, the routes were set in steel, and people did not have much freedom in how they got from point A to B. Then the automobile arrived on the scene. However, in the later part of the 19th century the car was primarily for the wealthy. In the 1920's it was Henry Ford's standardization of the automobile that accelerated production and made the car relatively inexpensive and affordable. Consequently, there were over 26.7 million cars registered in the United States by 1929 (Machine Powered Transportation 5). The construction of major super highways connected places that had not been so directly connected before. The car made everything easier to get to. Even today the ease of getting to places is used as a promotion for tourist sites: in a television commercial a few years back, Six Flags prided themselves in being just a "hop, skip, and a jump away".

The advent of the airplane resulted in another major leap in transportation. Orville Wright's fist human flight in 1903 was followed by forty years of attempts to improve aircraft and to make flying commercially viable. Planes could not travel great distances without having to stop and re-fuel often, the planes could only reach a certain altitude before the unsolved problem of pressurizing the cabins became an issue. Costs to fly were also outrageously expensive, because the planes could only hold a few passengers per flight. Then, in the 1950s, the advent of the commercial jet aircraft ushered in an age where airplanes could go longer without refueling and carry many, many more passengers making the cost per person less, and opening up distant places to more people (Machine Powered Transportation). In the 20th century, the increase in the number of modes of transportation facilitated accessibility to tourist sites. Additionally, more convenient transportation became available to people outside of the upper to middle classes, and consequently, the tourism industry diversified and grew rapidly in the 20th century. Advances in transportation have made tourist attractions accessible to people coming from thousands of miles away.

Early Evidence of Tourism: House Museums

While it is difficult to put a start date to American tourism, there is some evidence that it began to be recognized as an activity around the middle of the 1800's and that it was primarily focused around homes of significant people, especially the former home of George Washington, Mount Vernon. "An audience for house museums already existed by the middle of the 19th century; tourism was thriving" (West 3). "Mount Vernon had been the object of patriotic tourists for decades before its founding as a museum" (West 5). Thus, the movement to save Mount Vernon was launched because many people

thought that "…a new institution dedicated to the protection and display of a revered historic house would meet the recreational and inspirational needs of nineteenth-century tourists, while exerting a much-needed refining and uplifting influence" (West 3-4). To this day house museums serve these same purposes of education and inspiration, in addition to allowing visitors a glimpse into the very personal and private worlds of significant people. However, transforming homes into museums may sound simple or be something we take for granted, but the process of turning a home into a museum is not an easy one; it is deeply embedded in politics.

> [H]ouse museums are products as well as purveyors of history…Analyzing house museums in term of the various entanglements from which they were deduced reveals them to be agents of American cultural politics….[H]ouse museums are and always have been about politics (West xii).

The establishments of Mount Vernon and Monticello as museums are excellent examples of the politics and ideologies of the time.

Mount Vernon was preserved as the result of an antebellum movement initiated by the Mount Vernon Ladies Association (MVLA) of the Union in the 1850's.

> The significance of Mount Vernon to the early home movement cannot be overstated. It would be a prototype in several key respects: It was a public history museum conceived of by a women's organization. It was a recreated domestic environment in memorializing a mythological white male political figure, and its institutional persona was devised in response to the political context of its establishment (West 5).

The appeal to have Mount Vernon turned into a museum started out as a southern movement, thus fueling the rivalry between the north and south, but when Ann Pamela Cunningham's (the founder of the MVLA) appeal to the southern women did not bring enough money, she had to turn to the "money grubbing northerners" for help, leading her to say that "we neither desire nor intend sectionality." Before they knew it, the MVLA

found themselves, "wound into the tangled skein of antebellum politics" (West 14). As a result, all of the politics surrounding Mount Vernon were deeply surrounded by the politics between the north and south. When the war seemed increasingly real, one man, Edward Everett, a senator from Massachusetts, said in an address that he "hoped that a heightened reverence for such a shrine to Washington would inspire the kind of political moderation that could stave off civil war" (West 16). While we know in retrospect that the house was not a factor in staving off the Civil War, it was clear that arguments for its preservation were more about the politics of the time of preservation movement than about the political times of George Washington.

Likewise, the preservation of Monticello was caught in its own political times. The house was more than a home to Thomas Jefferson, it was an escape from the world; "After each tour of public service, Jefferson was eager to return to Monticello, making changes in the house, planting new crops…" (Gleason 144). However, "within a year of Jefferson's death on July 4, 1826, most of the furnishings and many of the slaves were auctioned off to satisfy debts. The great house stood vacant for a number of years…" (Gleason 144). Some people came to realize that a vacant future was not fit for Jefferson's beloved home, but that is what seemed to be in store for it. Efforts to preserve Monticello for a public museum began in the early 1900's by Maud Littleton and the efforts became entangled with the presiding political party. In 1914 it was believed that with Democrats in power, surely the preservation of the home of the greatest democrat would happen.

> …from its inception, the Monticello campaign was bound up with a Democratic Party struggling to employ the image of Jefferson to hold together factions: northern and southern, urban and rural, nativist and immigrant…Some Littleton

> supporters linked her cause directly to the struggle against the Republican Party" (West 103).

In the 1920s, when three Republican presidents were in office, the movement to preserve the home was stalled. The momentum changed in the 1930s with the arrival of Franklin Delano Roosevelt and his New Deal.

> For example, never one to forgo an innovation, the young FDR was involved from the start with the allied ventures of unifying the Democratic Party using Jefferson as a rallying point and converting Monticello into a patriotic 'shrine'. He….fulfilled her [Littleton's] vision by establishing on a grand scale the power of the government to claim privately owned historic sites for 'public use' (West 108-109).

While the preservation of Monticello was not a federal project, the government exerted enormous influence of the behalf of the preservation group, the Thomas Jefferson Memorial Foundation. It was a transition of "the house museum movement from an era led by unenfranchised though politically engaged women to one in which the viability of the house museum as a direct political agent was recognized by male leaders" (West 108). It should also be noted that historically, this period, the interwar period, was a time of focusing on truly American culture, or Americana. The involvement of the United States in WWI had come to a close and patriotism was at an all time high. "…the interwar years witnessed a parallel but perhaps equally lucrative phenomenon: the sale of 'history' as patriotic culture. Or, put differently and crudely, the American past got commodified during the 1920's and 30's" (West 67). While the homes of George Washington and Thomas Jefferson are but two examples in the preservation of homes, the pattern was for the preservation process to be politicized around the messages or image of the owner. In spite of this, we visit these homes because of the political significance of their former owners and to "touch" their private lives.

Villages: Places of Work and Living

If homes have become a touristic curiosity, so have the places where people have worked and lived. The village conveys a sense of daily life. Although very different in nature, three examples will be explored to gain a better understanding of the duration of and magnitude of this aspect of tourism: Williamsburg, Nantucket, and Lowell's Boot Mill. There is evidence that the "work" as a topic of tourism was the result of industrialization. "Wherever industrial society is transformed into modern society, *work* is simultaneously transformed into an object of tourist curiosity" (MacCannell 6). The restoration of Williamsburg, Virginia's colonial capital, was also a product of the very patriotic interwar years.

Reverend W.A.R. Goodwin and John D. Rockefeller Jr. began the restoration of Virginia's colonial Williamsburg. Unlike the women's associations or the federal government's influence, the restoration of Williamsburg represents the beginning of an appropriation of the American past by corporate sponsors (West p. 93-94). It was their idea to turn the historic town into an ideal town that had a strong representation of the past, but showed no signs of it being old or decaying: "Rockefeller created an Edenic microcosm in which a colonial elite governed an elegant and stable village" (West 96). By the time their project was completed (demolishing, restoring, and reconstructing Williamsburg), Rockefeller had spent seventy-nine million dollars for a pristine eighteenth century 'reproduction' village (West 98). Williamsburg

> …reflects the creator's particular conception of the relationship between America's past and future of the expanding capitalist economy… Meanwhile, Rockefeller's version of the colonial past grew more and more popular, frequently understood as a kind of 'model' colonial suburb. As Wallace explains, 'Intelligent and genteel patricians preside over it; respectable craftsmen run

> production paternalistically and harmoniously; ladies run well-ordered households with well-ordered families in homes filled with tasteful objects. The rest of the population—the 90 percent who create the wealth—are nowhere to be seen' (West 99).

In spite of, or maybe because of, the town being sanitized, Williamsburg does give the tourist a taste of southern colonial life. Williamsburg's very existence is due to the generosity of one man, John D Rockefeller Jr., and the enthusiasm of another, Reverend Goodwin.

Nantucket Island represents a less overt movement. It was a booming whaling port from 1830-1860 and its character today is mainly from that period. It is also a town that has the largest number of pre-Civil War homes in Massachusetts. This could be because when the whaling industry declined, Nantucket became isolated due to its distance from the mainland. (http://www.thegoldenbasket.com/nantucket_history.htm.). The inability for people to easily get to the island for over one hundred years turned out to be a type of preservation. There were no external forces working to change it. As a result much of the original charm of the island is visible today.

> Originally a booming whaling port, Nantucket has been named a National Historic District and has architecturally changed little since the 19th century, as seaside and old-fashioned lamps still line its streets (http://www.nantucketchamber.org/visitor/index.html).

The cobblestones that pave the Main Street of Nantucket were originally used as ballast on the empty returning ships that delivered whale oil to England and the Pacific. Like wise, the pineapple, is seen above doors today and is a symbol of welcome and hospitality. This dates back to whaling days when sea captains brought this tropical fruit home to Nantucket and displayed it to announce that they had returned and guests were welcome. It wasn't until the founding of the steamship authority in the 1940's when

people could more easily get to the island, that Nantucket began to grow as a tourist destination. Tourists flock to the charm and memory of history, but unless they enter into the whaling museum or the home of a sea captain, the history can be missed. It seems that people like the way the town looks and feels, without anyone necessarily telling about history.

The textile mills at Lowell were built about the same time Nantucket's whaling industry was booming. The founders of the Lowell experiment had radical ideas for the times. They were hoping to preserve the American agricultural base by employing rural women who would supplement the income on the farm (www.kentlaw.edu).

> The lure of Lowell had promised more than wider horizons, higher wages, bustling streets, and shop displays of imported finery. The mill girls and their employers shared another basic New England article of faith: self-improvement. Besides attending evening schools…girls…would pool pennies to engage a teacher of Germany, music, or even botany (Eisler 29).

However, "the experiment, failed and soon Jefferson's vision would be relegated to the history books" (www.kentlaw.edu). Most of the textile mills were demolished over the years, but one, called Boott Mill, which was a small mill and a place where the laborers lived, escaped demolition. The history of America's Industrial Revolution is commemorated in Lowell, Massachusetts (www.nps.gov). It has been a National Park since 1982 and represents the National Park's interest in preserving places of cultural, as well as scenic, significance. Each one of these villages of work and living discussed represents varying reasons for preservation as well as varying degrees of preservation. It seems that even today the American public wants to get close to the way people lived and worked in the past, in a place that looks nearly the way it did when it was active.

Cities

Cities are another major source of attraction for tourists, but this wasn't always the case. While it is impossible to discuss individual cities as part of this paper, it is important to recognize trends within cities. It was industrialization that was responsible for changing the face of cities. "The shift in population from rural to urban became more obvious with each passing decade. By 1900 almost 40 percent of Americans lived in towns or cities, and by 1920, for the first time, more Americans lived in urban communities than in rural areas." (Newman 361) This move from rural to urban America consequently had an impact on all areas of life from education to culture and to sports. Many major cultural institutions began to be constructed in the cities in the early decades of the 1900's, often with great benefactors, such as the Carnegies and Rockefellers. At first, the idea of leisure was difficult to accept. Recreation had to be educational by definition.

> The law creating the National Zoo in Washington, D.C., enacted by Congress in 1888-1889, rationalized its existence by emphasizing that it would be 'for the advancement of science and the instruction and recreation of the people.'...By 1901, the secretary acknowledged….that the new National; Zoo offered 'an admirable place for health, recreation and entertainment.' (Kammen p. 17)

Although the popularity of cities as centers of tourism has swung in and out of favor through the decades of the 1900's, in general, cities today still continue to build on their cultural facilities to make a place of great vitality for its residents, but also to attract tourists, and dollars to the economy.

Popular Culture: Amusement

In parallel with the growth of cities, another industry was being created. The development of world fairs and amusement parks is directly related to the development of transportation, especially transportation that was available to a broader cross section of classes, such as the subway and the car. The end of the 19th century marked a time where tourism began to widen its definition. It was not just something for the wealthy anymore, and certain types of touristic activities became available to the masses. The mixing of classes was handled carefully in the case of the Columbian Exhibition or the Chicago World's Fair of 1893.

> [Many people] have noted that popular as well as high culture programs and exhibitions occurred at the numerous world fairs that took place in the United States between 1876 and 1915. Entrepreneurs recognized the need for both and provided for them-but in carefully controlled ways and in noncontiguous locations. At Chicago's Columbian Exhibition in 1893, for example, Frederick Jackson Turner addressed the American Historical Association about the frontier within the pristine confines of the sparkling White City while Buffalo Bill and his philistine Wild West Show performed on the Midway Plaisance. Cultural segregation, plain and simple (Kammen p. 10-11).

Likewise, the mixing of classes at Coney Island was one element that led to its downfall. In the 1890s Coney Island was originally a spot for the rich to vacation year round. The wealthy would stay at the Manhattan Hotel on Coney's far eastern side; they could also go to the horse-racing tracks, which opened shortly after the hotels.

> Coney Island's three big luxury hotels, the Manhattan Beach, Oriental and Brighton Beach were the epitome of a gracious and leisurely age, a unique expression of their era… Coney Island's three race tracks were essential to the development of Coney Island because they drew to the seaside horse racing fans of all walks of life. The politicians, easy money men, Wall Street barons and Western railroad men, society leaders, actors and actresses, the parasites of the rich and a large group of middle class all visited Coney Island and needed places to sleep, eat and party. Crowds grew yearly…(naid.sppsr.ucla.edu/coney island.html).

Coney Island had *everything*, and consequently attracted *everyone*. "Pickpockets, confidence men, gamblers, strong-arm men, and rowdies began to mingle with the upper class who frequented the beach…despite its bad reputation, the big gamblers, politicians and their girlfriends continued to come, and in droves" (naid.sppsr.ucla.edu/coney island.html). And in droves they did indeed come. The popularity of Coney Island skyrocketed within a few short years. The increase in its popularity was directly in correlation to the growing accessibility of transportation to the island.

> The development of Coney Island's tourist facilities went hand in hand with the development of transportation route to the increasingly popular seaside resort. As transportation to the resort became both easier, faster and cheaper, tourist facilities were built for the increasing number of tourists (naid.sppsr.ucla.edu/coneyisland.html).

Then the subway was built which connected Coney Island to Manhattan and Brooklyn, and the face of the island changed for good. Prices were dropped and a subway ride to the island only cost 5 cents, the prices of the rides also fell drastically.

> Coney Island's visitor's tastes began to change during the first decade of the twentieth century. The exclusivity that the rich enjoyed at the big luxury hotels was being diluted by a large number of middle class visitors vacationing at the seashore. For the rich, spending the summer at the seashore began to become unfashionable, especially after the race tracks closed in 1910. The venerable wooden hotels began loosing money and were soon boarded up. (naid.sppsr.ucla.edu/coneyisland.html).

The amusement aspect of Coney Island still lives on today, and we see examples of similar and very popular amusement parks up and down the coasts. Despite the fallout with Coney Island, "…theme parks are the most American feature of the modern world…" (http;//dhr.dos.state.fl.us/flafacts/shorthis.html), and the world famous, Disney World, is no exception.

An interesting twist to amusement parks occurred with the appearance of Disneyland, the creation of Walt Disney, in Los Angeles in the 1950's. Not only did Disney build on a culture of fantasy, but people could get there easily because of the popularity of the car.

> Disney laid out a new kind of private space that sought to harness the popular appeal of amusement parks even while avoiding their less attractive, downmarket aspects…Disneyland came to be considered the national and then international yardstick for large entertainment complexes. (http;//dhr.dos.state.fl.us/flafacts/shorthis.html).

Unlike its predecessor, the amusement park, Disneyland was a theme park.

> Theme parks differ from earlier amusement parks such as Coney Island in many crucial ways, not least of which is that besides their themed areas each involves massive campuses that are not merely contained and clearly delineated, but deliberately exclude involvement with the outside world (http;//dhr.dos.state.fl.us/flafacts/shorthis.html).

A visitor can move in and out of exotic places and times but always land back on American soil. Furthermore, unlike Williamsburg, there is an almost corny sentimentality to the past. Main Street is a fabrication. It is a fantasy. While Disney has certainly made its mark on theme parks, the company's attempts to spread the Disney culture have been squashed for fear of "trashing" the past. Interestingly, other theme/amusement parks were developed in the 1960's and evolved into being largely about thrill seeking.

One of the amusement companies which has had a significant role in the amusement industry is Six Flags. Today it is the largest regional theme park company in the world. The Six Flags chain began in 1961 with Six Flags over Texas and featured a Native American village, a gondola ride, a railroad, some Wild West shows, a stagecoach ride, and a pirate themed attraction. There was also an excursion aboard "French" boats

through a wilderness of moving puppets. At this stage of development, it appears to be mimicking Disney themes. Over time, all of those attractions, except for the railroad, would be replaced by other attractions, such as roller coasters, swing rides, log flumes, and shoot-the-chute rides, as well as an observation tower (http://www.fact-index.com/s/si/six_flags.html).

As Disneyland was appearing on the scene and as Six Flags was beginning, another truly American phenomenon was starting, that of the shopping mall, where Americans could buy standardized products with name brand recognition, in safe clean and enclosed environments. In a way, the idea of Disneyland had been put under cover.

> Within a decade [1950-1960] the community marketplace shifted from city and town centers to privately owned suburban shopping centers. By The 1960's and 1970's the use of leisure time and the process and places of consumption were becoming inseparably intertwined." (Kammen p.59)

Probably the most famous mall of all, The Mall of America in Minnesota, is a major tourist stop for people from all over the world. It is accessible year round due to its enclosed environment. The mall experience has brought consumerism "to levels that could have embarrassed even Walt Disney. Is this shopping with entertainment or a theme park with massive purchasing opportunities?" (http://www.americansc.org.uk/online/disney.htm) The mall, while "public", is actually very private. From the World's Fairs to Coney Island to Disneyland to Six Flags to the mall, there is some evidence that for tourist sites to be successful, there seems to be a need for some control over who can come in. One such control is the cost of admission; the other is the interest level in what is being sold. Access to popular culture has been made possible because of transportation changes and the increase of wealth of Americans.

Conclusion

It is the position of this paper that one way Americans define themselves is through their touristic activities, which have been built around or are the result of history. Those touristic opportunities have evolved and been formalized over the last 150 years through various lobbying efforts, politics, and commercial opportunities. The purpose of this paper is to explore the influences and trends in tourism by Americans. It is my belief that tourism is not about shallow associations, but rather is a deeper reflection of American society and values.

Tourism is not simply about people just packing their bags and going to the beach. Regardless of the type of tourism, its roots are based in the politics of history. Tourism to one area is not static nor is it stable. It wavers greatly depending on opportunity, such as wealth and transportation. The most popular tourist spot, Disney World, may one day become a thing of the past, as Coney Island did. So far history has shown that the most stable attractions are those with the strong historical ties. There is no single factor in the creation of tourism. We see examples of influences from presidents to citizen groups to wealthy individuals to the climate to greed.

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6,Abstract

Kami and Vengeful Ghosts : The Changing Figure of Traditional Deities in Early Japan

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1. Two Causes of Illness

Almost one thousand years ago, in 1015, in the latter half of the Heian Period (9th–12th cents.) in Japan, a member of the country's ruling aristocracy, Ononomiya Sukehira, suddenly fell ill. In premodern societies, prior to the discovery of bacteria and viruses, it was generally believed that illness was caused by external forces beyond the power of humans to fully understand or control. Japan was no exception in this regard, and when illness struck, it was deemed essential first to determine the type of being that was causing

the illness in order to implement effective treatment. In Heian Japan the role of determining the cause of illness fell to a class of religious practitioners known as an *onmyooji*.

Sukehira's father enlisted the services of an *onmyooji* whose initial divination suggested that the cause of the illness was a type of evil spirit known as *mononoke*. The next day, however, the diagnosis changed, and he was told that the illness was caused by *ekiki*, or plague demons. For Sukehira's father, this presented a dilemma: if a *mononoke* were indeed the cause of illness, the appropriate treatment was to have *kaji* rites, consisting of various *mudras* and invocations, performed by Buddhist priests. But with infectious disease widespread in the country, there was a strong possibility that his son's illness was caused by plague demons, in which case such *kaji* rites were strictly to be avoided. This incident suggests the manner in which *mononoke* and *ekiki* were seen as principal causes of illness, and how each required an entirely separate and distinct response.

2. Possession by *Mononoke*

Here I would like to examine the characteristics of the two types of spiritual beings that were thought to cause illness, starting with the *mononoke*. The Heian Period was an era in which woman writers made many outstanding contributions to Japanese literature. The famous *Tale of Genji* is an example of the superb literature produced by the talented women serving in the Japanese Imperial Court. The *mononoke* are a regular feature in their literature.

When Murasakinoue, the wife of Hikaru Genji, the hero of *The Tale of Genji*, falls ill, Genji, convinced that this is the work of a *mononoke*, gathers together as many Buddhist priests as he can find, all renowned for their occult powers, and has them perform the *kaji* rituals. As soon as the prayers begin, the *mononoke* transfers to the medium (*yorimashi,*) positioned next to his wife and begins speaking. The *mononoke* reveals itself to be Genji's former lover, Rokujoo-miyasudokoro.

As this example indicates, *mononoke* were ghosts or evil spirits who had been filled with resentment and the desire for vengeance at the time they separated from their physical bodies. In most cases, *mononoke* were the spirits of the dead but they could also be the

spirits that had left the bodies of people while they were still alive. As was the case of the *mononoke* of Rokujoo-miyasudokoro, these malevolent spirits would take possession of the people who were the direct object of their ire, as well as those connected to them, causing physical suffering and mental anguish.

When it was determined that the cause of diseases was a *mononoke*, the proper treatment employed was to have *kaji* rites performed. These invoked the power of the Buddha to overwhelm and drive out the *mononoke* that had taken possession of the ailing person. Typically, when the *kaji* rites were performed, a *yorimashi* medium would be placed next to the ill person, into whose body the *mononoke* would be driven by the pressures exerted on it by the rituals.

3. Gods Who Cause Illness

In Heian Japan, the traditional deities or *kami* were also considered a potential cause of disease. In contrast with *mononoke*, which possess individuals and cause suffering to specific persons, the *kami* were thought to cause disasters that could involve large numbers of people, such as infectious diseases impacting an entire population. The *kami* that cause such diseases were often referred to as *ekishin* or plague gods. The illness suffered by Ononomiya Sukehira referred to at the beginning of this paper was caused by *ekiki*, or plague demons, which fall into this same general category of illness.

Because illnesses caused by *kami* have their origin in sacred beings, the power of the Buddhist or other religious systems could not be invoked to overpower them. The following example is taken from the 11th-century history *Eiga Monogatari* .

The year is 1025 C.E. As Kishi, the daughter of Fujiwara Michinaga, the most powerful man of his time, is preparing to give birth, she falls seriously ill. Efforts to divine the nature of the illness return an ambiguous result: the cause could be either a *mononoke* or *eikishin*. Anguished by his daughter's suffering, Michinaga decides to conduct *kaji* rites, on the assumption that the cause is a *mononoke*. Fearing the wrath of the *kami*, the priests whose aid he has enlisted are hesitant, and Michinaga goes ahead and performs the *kaji* rituals himself. Kishi, after giving birth to a son, dies and Michinaga is left regretting his decision.

This incident indicates the extent to which performing *kaji* prayers and rites in relation to the traditional deities was viewed as a blasphemous and risk-filled act. As my initial example indicated, people were strictly enjoined against performing *kaji* rites while there was any possibility that the cause of the illness was a *kami*.

In place of the *kaji* rites, standard practice was to venerate the god in question in order to placate its anger and to entreat it to retire to some distant place. Even when Buddhist ceremonies were conducted in connection to a traditional deity, it was not, as in the case of *kaji* rites, to overpower them. Rather, the idea was to soften the heart of the angry *kami* by making an offering of the precious teachings of the Buddha.

In the Heian Period, a strict distinction was drawn between the appropriate response and treatment for illnesses caused by *mononoke* and those caused by *kami*, and entirely different strategies were adopted in each case. Thus when illness struck, the services of the *onmyooji*, were sought to carefully determine the cause—*mononoke* (and if so, whose) or a *kami* (in which case, its divine name).

4. Illness as the Wrath of the *Kami*

While *mononoke* were considered the principal cause of illness in the Heian period, there is little reference made to them in the preceding Nara period (8th cent.). *Mononoke*, associated with the spirits of the dead, only make their appearance in the historical record in the Heian Period, as concern for the threat posed by such ghosts escalates.

What forces, then, were seen as a responsible for illness in pre-Heian Japan? This was exclusively the role of the traditional deities, the *kami* themselves, whose wrath would cause widespread illness and disaster. The following incident is recorded in the *Kojiki* ,Japan's earliest history, completed at the start of the 8th century.

During the reign of Emperor Sujin, epidemics occurred that threatened the entire population with extinction. When the emperor, filled with sorrow and grief, prayed to the *kami*, one of them, Oomononushinokami, appeared in a dream and explained that he was the cause of the plagues. If the emperor would cause a person called Ootataneko to worship him, the land would once more be peaceful and at ease. When Emperor Sujin did as instructed, the

epidemics ceased and people were once again able to return to a peaceful way of life.

The *kami* exercised a fearsome power that at times could wipe out the population of the entire land. This was known as *tatari*, the wrath or curse of the gods. What is important to note at this juncture is that the act of inflicting *tatari* was not limited to specific deities, but common to them all. The *Shoku nihongi*, completed in 782C.E., records a case in which all the *kami*, lead by Ameterasu Oomikami and angered at the inadequacy of the worship being offered them, inflict *tatari* which, if ignored, will rain disaster on the person of the emperor himself. Here, Ameterasu Oomikami, the protective divinity of the imperial household from whom the imperial line is said to descend, is portrayed as prepared to inflict direct harm on the emperor.

The renowned folklorist Orikuchi Shinobu (1887–1953) points out that the usage of the word *tatari* to indicate disaster inflicted by the *kami* is predated by usage meaning the expression or revelation of divine will. When the *kami* had some demand to make of human beings, they would first inflict *tatari* as a means of attracting their attention. The original function of *tatari*, according to Origuchi, was thus to communicate divine will. In the Nara and earlier periods, there were no deities with a specialized function of inflicting *tatari* and disease. This was seen as an essential attribute of all *kami*.

5. The Appearance of *Mononoke*

As we have seen, in the Nara and earlier eras, all *kami* inflicted *tatari* and caused disease. Even Amaterasu Ookami, protective deity of the imperial line who stood at the top of the hierarchy of *kami*, would at times inflict severe *tatari*, causing great human suffering. In the Heian Period, in contrast, the threat posed by the rampancy of ghosts is seen as growing and *mononoke* came to be discussed in a wide variety of contexts. The advent of *mononoke* and other malevolent spirits as a cause of illness signaled a decisive transformation in people's concept of illness and the means to be employed treating it.

If a central function of *tatari* was to attract the attention of human beings, people had no choice but to attend faithfully to the message of the *kami* and unconditionally submit to the its will. Submission to the will of the *kami* was thought to be the only means of placating

divine anger and bringing the alleviation of illness.

If, on the other hand, the cause of illness was the workings of a malevolent ghost, there could be no question of obedience. A response to *mononoke* appropriate to the nature of these beings was sought and, once the true identity of the ghost was confirmed, a system of Buddhist or Taoist prayers and rituals was implemented to overcome it. Another distinguishing characteristic of the response to *mononoke*, as opposed to that considered appropriate for *kami*, was that it was considered a matter of the individual or private realm.

The *mononoke* were originally and typically the evil spirits of specific individuals. The objects of their malevolence were likewise limited to specific individuals—the person or persons against whom the grudge was borne. While the *tatari* of the *kami* could cause infectious disease impacting all the residents of a given region, in the case of *mononoke*, someone living under the same roof as the victim would remain unharmed—so long as they had not incurred the hatred of the *mononoke*.

For this reason, *mononoke* were not considered something that required a public, national response in the way that epidemics and natural disasters stemming from the *tatari* of the *kami* did. It was the responsibility of the individual possessed or tormented by the *mononoke* to resolve the issue. Thus, in the Heian period, as the activities of evil spirits were seen to become more rampant, there was a rapidly expanding demand for the services of priests with strong occult powers and for the *onmyooji* who could discern the nature of the illness.

In the Nara and earlier eras, private persons were prohibited from conducting large-scale prayer ceremonies; this changed during the Heian period as such personal prayers came to be conducted in a highly visible manner. Forming part of the background of this change was the freeing of religious rites from national control and an increasing emphasis on their individual and private aspects. This corresponds to the start of the harmful activities of the *mononoke*, which had escaped from the net of a centralized, national response, leaving individuals to deal with them.

6. Dividing the Pantheon

So far, I have discussed the manner in which *mononoke* came to be included among the beings that cause illness. The question remains, then, what changes, if any, were undergone by the *kami* themselves in the Heian and subsequent periods.

The conceptualization of the *kami* in the Heian period experienced a decisive transformation. The work of inflicting *tatari* in the form of disease or natural disaster came to be viewed as the exclusive work of a group of *kami* who were distinguished and separated from the other deities. These are the *ekishin*, or plague gods, I referred to earlier. In other words, whereas previously all the *kami* had been seen as potentially inflicting *tatari* and causing illness, there now came about a division between those who engaged in such activities and those who did not. In other words, a division was established between just and beneficial *kami* and the malevolent ones.

The Heian Period saw an increasing incidence of portraits, paintings and other representations of the *kami*. This also expresses a profound change. Before this, Japan's traditional deities had never appeared in visible form; rather they were thought to inhabit a mountain, large tree, boulder or other object. In the 9th century, for the first time, these *kami* were made visible in their divine forms.

The *ekishin* or plague gods were, true to their nature as evil beings that took delight in spreading disease and causing suffering, portrayed as having grotesque, demonic forms. In contrast, the benevolent *kami* were portrayed as resembling highly dignified court officials or priests. In the ancient past, the *kami* were thought of as existing in perfect unity with nature and natural phenomenon. Thus, any disruption of the ordering of the natural world was seen as expressing the anger—*tatari*—of the deities and it was this that caused disease. It was therefore believed that efforts to assuage and calm the anger of the *kami* would bring about a restoration of the natural order, and that this would cause epidemic disease to subside.

The visual representation of the *kami*, and their division into beneficial and malevolent deities, demonstrates an ongoing process by which *kami* were made distinct from nature and anthropomorphized. The establishment of these plague gods, with their highly individualized forms and capable of moving freely through world, represented a decisive change in the traditional understanding of the nature of *kami*. The plague gods, to the extent

that they inflicted curses and caused illness, were functionally similar to the *mononoke*. Their divine status as *kami*, however, clearly distinguished them from *mononoke* and for this reason they were never to be subjected to *kaji* rites or prayers.

7. From Cursing to Punishing Gods

In the Heian period, the *kami* who were not identified as disease-causing *ekishin* also underwent an important transformation in their character. As mentioned, in the Nara and earlier eras a key feature of the *kami* was that they always inflicted *tatari* unilaterally and in such a way that the human's affected by it could have no way of knowing beforehand its nature or the reason for it. The following incident, said to have taken place in the 14th year of the reign of Emperor Ingyoo, is recorded in the history, *Nihon shoki*. The emperor had gone on a hunting trip to Awaji Island but was unable to capture any game. Suspecting a *tatari*, the emperor had divination rites performed. He thereupon received an oracular communication from the *kami* of the island indicating that if the emperor wished to catch game he should make an offering of a pearl from the ocean floor at Akashi. The emperor did as instructed and his catch of game from that point on was plentiful.

As a means of expressing divine will, *tatari* was inflicted without warning or any means of predicting its occurrence. Nor could the demands of the *kami* be understood within any rational framework. There is no way of knowing why the *kami* of Awaji Island would desire such a pearl nor does it initially even reveal its name.

When the historical record is examined for evidence of the changes undergone by the *kami* in the Heian and subsequent eras, one notices that the *kami* identified as beneficent cease to inflict *tatari* and this becomes the exclusive function of the plague gods, or *ekishin*, and the *mononoke*. The decreasing incidence of *tatari* is matched by a corresponding increase in cases in which the term *bachi*, or punishment, is used to describe the actions of the *kami*. From the 12th century on, *bachi* almost fully supplants *tatari* in speaking of the deities and their operations.

Current historical theory identifies the 12th century as the time of transition from the early (*kodai*) to the medieval periods of Japanese history. The *kami* that have been seen as

inflicting curses or *tatari* since time immemorial are transformed into the medieval *kami* who mete out punishment or *bachi*. There is a question as to whether there is meaningful difference between *tatari* and *bachi*, or if these are simply different terms for essentially the same phenomenon. Was there, indeed, some fundamental change that took place in the nature and character of the *kami*?

As mentioned, *tatari* was a unilateral expression of the will of the *kami*, whose demands could not be foreseen, but could only be known following its infliction. In contrast, *bachi* often appears in medieval references to the *kami* in a compound phrase meaning "reward (praise) and punishment." This indicates that the *kami* not only exercised authority to mete out punishment, but also to confer praise and reward on humans, based on the strict application of standards for judging the merits of human action. Loyalty—to the *kami* themselves, and to the state or Buddhist Law which the *kami* were pledged to protect—was considered the foremost standard for judging merit and worthiness for either reward or punishment. While this was similar to *tatari* to the degree that the *kami* exerted their power over human affairs, the underlying structure is entirely different. In the case of *bachi*, the *kami* are strictly enforcing a standard of behavior that has been explicitly presented and made clear to humankind.

The transition described here is from deities who inflict curses to those who mete out just punishment; from mysterious *kami* embodying an unknowable will to *kami* who have taken on a more rational character and whose actions can be predicted on the basis of known standards. Here, I believe, is the central transformation from the *kami* of the early period of Japanese history to those of the medieval period.

8. The Need to Reexamine *Kami*-related Research

In the ancient period in Japanese history, illness was seen as something caused by *tatari* inflicted by *kami* as a means of communicating their will. For this reason, all *kami* were seen as inflicting *tatari*. The *kami* were seen as perfectly unified with nature; illness or epidemic arising from a disruption of the natural order was understood as expressing the *tatari* or wrath of the *kami*. It was thought that when the anger of the gods subsided,

nature's order would be restored to its normal functioning and illness would be eased.

The first change in this conceptualization of the *kami* occurred at the start of the Heian Period (9th cent.). The malevolent *mononoke*, which had as their background the concept of ghosts, became a principal cause of illness. At the same time, the *kami* whose exclusive task it was to cause illness were separated from the other *kami* and became known as *ekishin*, or plague gods. There was a progressive division of the pantheon of *kami* into the benevolent *kami* that offer their protection to society and the state, and the malevolent ones that bring disease and disaster.

Largely stripped of their function of inflicting *tatari*, starting in the 12th century the ancient gods came to be understood more as beings that inflict punishment (*bachi*). Whereas in the past the *kami* were seen as beings that imposed their will on humans in a unilateral, irrational and unfathomable manner, from this point on they came to be seen as strictly yet impartially meting out punishment and reward on the basis of standards that had already been made clear to humanity. This indicates the birth of medieval *kami* marked by a more rational character.

It is true that the rituals and systems for venerating the *kami* have undergone important changes in different historical eras and it is only natural that this should have been a central focus of research to date. On the other hand, there has been almost no attention paid to the question of the substantive nature of the changes undergone by the *kami* themselves. The two major changes in the conceptualization of *kami* that occurred at the start and end of the Heian period demonstrate the need to clarify concretely the transfiguration of the *kami* over different historical periods. This effort represents a fundamental challenge to traditional research that at times has treated the *kami* as an era-transcending form of religiosity unique to Japan, ahistorically bound up with the Japanese national identity and character.

Performing with onomatopoeia
-The creative writing of a “native anthropologist”-

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Performing with onomatopoeia

- The creative writing of a "native anthropologist" -

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Born an Ainu [an indigenous people of Northern Japan], the linguist and anthropologist Mashiho Chiri (1909-1961) devoted most of his work to the study and documentation of the Ainu language, oral narratives, and culture.

In my presentation I focus on his translations of oral narrative. In this context I explore the perspective of viewing Chiri as a performer.

The tradition of Ainu oral narrative always involved performative elements. The story teller improvised around a main story, responded to comments from the audience, and reference to current events.

Chiri noticed that the tradition of Ainu oral narrative made frequent use of onomatopoeia. Especially in the case of the narrative from called kamuy-yukar, which always has a refrain (sakehe). The act of story telling was also supported by gestures, intensive modulations of the voice, and rhythmic elements. The audience was not only hearing a story but also seeing a performance.

When these narratives are transcribed into written texts these performative elements would usually be lost. Based on the usage of onomatopoeia in Chiri's translations, I wish to show that yet Chiri was striving to continue this performative tradition.

Chiri used onomatopoeia extensively. These usually have repetitive forms such as "shyu-shyu-shyu" (fast, quiet running like a ninjya), "kyan-kyan" (barking), or "doki-doki" (heart-beat). In the translation of kamuy-yukar onomatopoeia are often used as the refrain. This repetition of sounds creates a poetic effect and brings a rhythm into the narrative. Furthermore, while other translators[1] of Ainu myth into Japanese used a formal literary language, Chiri insisted on the use of the colloquial language of his time.

Mashiho Chiri has received much attention for being anthropologist and informant at the same time. This contribution wants to explore the performing dimension of Chiri's work.

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[1] except for Mashiho Chiri's sister Yukie (1903-1922)

A proposal to theThird Annual
Hawaii International Conference on Arts and Humanities

Title: New and Improved : A Study on the Role of Visual and Verbal Literacy in Consumer Product Selection

Format of Presentation: Paper Presentation

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Topic Area of Submission: Visual Art

New and Improved : A Study on the Role of Visual and Verbal Literacy in Consumer Product Selection

Objectives: To examine how increasingly complex product information affects branding and consumer product selection, to identify ways to improve information design on consumer products and to increase consumer safety through better communication on product labels. This research will examine how factors such as age, cultural background, education, visual literacy, and language skills affect a person's ability to interpret visual and verbal information on consumer products.

Research Method: A consumer product study based on the Benton Visual Retention Test, a method for assessing visual perception, visual memory, and the ability to reconstruct a visual stimulus.

Preliminary Indication of Findings: Complex information about product features interferes with product distinctiveness, corporate branding, and appropriate consumer product selection. Preliminary findings suggest that this is a problem for all groups of people, but seems to have an even greater impact on non-native English speakers.

Abstract: How many times have you bought something at the store only to realize, too late, that it's not what you thought that you were buying? You're not alone. When selecting a product, we rely on both our emotions through brand recognition and through our use of reason in selecting products with specific features. This process worked pretty well for a long time, but then things changed. And changed. And changed.

Consider the soft drink industry. Since the early eighties, soft drink companies have been expanding their brand lines to include more and more features or variations based on their flagship product. In 1982, Coca Cola introduced Diet Coke. In 1983, they added Caffeine Free diet Coke and in 1986 they added Diet Cherry Coke. In 2001, they started another series of expansions on the diet Coke line with Diet Lemon Coke (2001), Diet Vanilla Coke (2002) and Diet Lime Coke (2004). Currently they have six variations on the Diet Coke product alone (http://www.dietcoke.com/inside_the_can.shtml). Similar expansions have occurred in other companies such as Pepsi, Mountain Dew, and Sprite.

In some cases, strong brand identification comes at the expense of distinguishing specific products within a brand. For example, Diet Coke may be strongly associated with the Coca-Cola product line but be difficult to distinguish from other products within the company such as Diet Cherry Coke or Caffeine-free Coke. While from a corporate standpoint this strong brand association may have a positive effect on product sales and corporate image, it may create problems for millions of consumers who are faced with making product selections based on strikingly similar graphics and slight variations in product features. Even greater problems occur when consumers are faced with competing, feature-laden products. This research found that consumer decision-making was compromised regardless of a person's age or background. Preliminary findings suggest that non-native English speakers are additionally hard hit in this area.

This paper examines the relationship between branding elements, product identifiers, product features and a consumers' ability to make accurate product selections based on a consumer product survey on soda pop packaging. It will discuss how various people interpret visual and verbal information in packaging design and examine the need for sensitivity to a diverse consumer population.

THE ROLE OF HEURISTIC INFERENCE IN RATIONALITY

3rd Annual Hawaii International Conference on Arts and Humanities
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ABSTRACT

In a previous paper[1] we rejected the traditional models of rationality that left no room for fallible logicality or no room for rigorous logical inference. We proposed a notion of inference that includes not only deductive methods but also heuristics and non-monotonic inferences. This notion of inference can help create a more comprehensive idea of logicality that in turn can fit better in a realistic model of rationality. We want to construct a generous notion of inference while maintaining logicality, rigor, and constraints. This notion takes into account both derivational procedures which can be deductive or not, and general cognitive parameters, (e.g., principles like economy, relevance and coherence, and heuristics which implement those principles.) Our model tries to take into account both the circumstances of an agent and the characteristics of the situation in which the agent operates. We expect our notion of inference to have both descriptive and normative value for any limited epistemic agent. The limitations of the agent will vary from humans to computers and animals. In this paper we develop an expanded notion of logical inference which we hope fits better that the traditional ones into a model of rationality. Specifically, we talk about basic inferences that can be expected from any rational agents and point to some consequences of this for a theory of logicality and rationality.

An expanded notion of inference

Inferences go in a continuum from the ones that guarantee truth-preservation to the ones that guarantee falsehood-preservation. On the first extreme we have deductive inferences, probably a priori, analytic or necessary in some sense. The operations these inferences define have Truth as a fixed point. On the other extreme we have systematic tendencies to err, biases that guarantee errors. The operations they define have Falsehood as a fixed point. In the middle

[1] "Rationality, Logic, and Heuristics". *Proceedings of the Special Session on Knowledge Representation and Reasoning at The 2002 International Conference on Artificial Intelligence (IC-AI'02)*, Las Vegas, June 24-27, 2002.

we have heuristics that tend to be better or worse, approaching complete biases on one end and perfect algorithms on the other.

Our notion of algorithm is that of a recipe that guarantees success if followed properly.[2] This sounds like the usual notion but there are three important differences. In the first place, what we call algorithms guarantee success only in the sense that whatever result they reach will be correct, but they do not guarantee that a result will be reached. In the second place, our notion of algorithm comprises more than algorithmic inference. Algorithms can be methods that guarantee success on non-inferential tasks like searching, planning, building or painting by numbers. In the third place, we do not require that algorithms be mechanical or mechanizable in any pertinent sense of these notions.

Since algorithms do not always involve algorithmic inference, we cannot conflate algorithms with deductive procedures. By the same token, our notion of heuristics does not correspond exactly to non-deductive inferences. On the other hand, we do not claim that all deductive relations can be captured algorithmically (not all of them are procedures), nor that all non-deductive inferences correspond to heuristics (sometimes there is no heuristic method in a non-deductive madness).

Cognitive Economy

Much of our inferential structure is based on pervasive psychological principles such as the principle of cognitive economy. This principle was proposed by Eleanor Rosch in relation to categorization. She suggests that "The task of category systems is to provide the maximum information with the least cognitive effort"[3]. This principle contains the common-sense notion that every organism wishes to gain a great deal of information about the environment while conserving its finite resources. The seeming advantage of having a large number of categories finely discriminated from each other is outweighed by the economy generated by a mechanism that differentiates one stimulus from others only when doing so is relevant to the organism's goals.

The way we understand and apply the concept, the principle of cognitive economy says that our brain is designed to cope with our needs, the world, and the limitations of our cognitive tools, by attempting to minimize cognitive work while accumulating needed information fast directly or by inference, often at the expense of accuracy. Since it is not rational to expect a finite being to employ only algorithms that would severely limit the information obtained in a given time frame, a theory of rationality must consider sometimes rational the use of economical inferences that lose precision in favor of quantity and speed. Inferential heuristics may be cognitively economical and logically acceptable, yet create a pragmatic failure given the contextual ends of the system. For instance, when considering "economy" alone, we may clutter our brains with easily obtained information, just like filling our houses with cumbersome useless bargains. Cognitive economy depends on several

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[2] Of course, the guarantee only holds if the procedure was followed to the letter. And, since success is a relation between goal and results, a method might be an algorithm for certain purposes and not an algorithm for others. A series of logically impeccable inferences might be rational in some circumstances and not others. For instance, the sieve of Erathostenes is an algorithm to generate prime numbers, but it is insufficient by itself for generating cryptographic seeds. For simplicity's sake, in this paper we will disregard this distinction and talk of algorithms as if each one had a unique standard goal that defines its success.

[3] "Principles of Categorization". In (ed.) Rosch E. and Lloyd B.: *Cognition and Categorization* 1978, Lawrence Erlbaum associates publishers, Hillsdale NJ, p.28.

effective and pragmatically sensible heuristics, such as a search mechanism that discriminates between degrees of the utility of certain information, and discards the data that is relevant but harmful to the general goals of the system, and heuristics that determine the rational allocation of mental resources.

By including the principle of cognitive economy into our model (and other principles like relevance and coherence), we can incorporate mechanisms such as the use of pet theories. Pet theories are collections of beliefs that form an explanatory construct for a certain kind of phenomena (thematically delimited) plus some procedures for generating beliefs and decisions. Pet theories are generated through experience with the help of heuristics. With respect to inference, limited agents need some pet theory of what follows from what (a kind of naïve logic) and probably also a pet theory of what are rational procedures for adopting beliefs (basic metacognition), and of how to choose actions in given circumstances (principles for practical reasoning).

The principle of economy in relation to inference controls the trade-off between amount of cognitive work and amount of valid inferences, and the associated heuristics that temper this principle help determine the input for the inference, processing, and application. The heuristics that support the effective application of cognitive economy can be supplemented by external contextual considerations such as relevance to subject and appropriateness to goals at the input level, and degree of familiarity that contributes to the expected "obvious inference" at the output level.

Cognitive economy and logic

Since survival often requires being able to process information fast, to withhold our inference until a complete description of the universe is available would be fatal. People continuously infer from information that might even be in principle incapable of completion. In such cases the unreasonable behavior might be not to infer. The reasonable path is to strike a balance between our openness to consider new evidence and seek it, and our need to have provisional conclusions and decisions. A mark of rationality is the ability to revise and bracket our provisional conclusions without stopping making them. So, we need models that incorporate the provisional status of our inferred beliefs.

We can even make the normative claim that for an agent with cognitive limitations to be rational, some of its conclusions must be retractable. A purely monotonic model, i.e., a model for rationality that does not countenance retractability, fails this norm.

The psychological notion of cognitive economy has correlates in logic. For a long time it was thought that this could not be the case because psychological notions are often vague and logical theory is not. But, even when heuristics are vague, a theory of them needs not be so; we can even aspire to its formalization. As a matter of fact, there have been for a long time formalisms that take into account the use of non deductive rules. Inductive, probabilistic, abductive and statistical logical systems often try to formalize key non-deductive notions, and do so by more than merely adding some domain specific axioms.

Formalization of non-deductive inference received a big boost in the second half of the XX century with Artificial Intelligence research and with the development of the so-called "Deductive Data Bases". To handle DB queries it was necessary to introduce non-deductive principles like the assumption that the data base had all the pertinent information to answer queries. This was called the Closed World Assumption. CWA works as an implicit convention

that the information locally available to the system is complete for inferences. CWA generates the inference rule: if p is not a logical consequence of a system, infer ~p (the logic programming rule of Negation as failure is generated by restricting p to be in the finite failure set of a program.

The CWA in Data Base management has a parallel in the human ability to jump to conclusions on the basis of insufficient information, treating it as if it was complete. Reasoning from ignorance is often a good strategy, because many facts are so salient that the absence of their report counts as evidence against their occurrence. E. g., you can be reasonably certain that there are no trains from Oahu to San Francisco due to the lack of evidence for their existence.

CWA is an example of non-monotonic inference and has been formalized since the 1970s. Its non-monotonicity allows the retraction of a conclusion upon addition of premises, without retracting premises. In some formulations it uses a modal operator M which tries to covey the idea that something is possible as far as the system knows. In Circumscription, an axiom is added to classical logic instead to produce the effect of Closed World Assumption. It limits the domain of a predicate, and creates minimal models.

In Default Logic, Reiter proposes that reasoning uses default rules, rules with exceptions which are assumed as valid unless they clash with the evidence. Examples include casual, fuzzy, ideal, inductive, prudential, probabilistic, statistical, prototypical, and pragmatic generalizations.[4] According to Reiter, normal defaults are rules to be read as "if A, and it's consistent to infer B, then infer B". For instance, Holland et al. propose that the rules that constitute a category do not provide a definition, but a set of expectations that are considered true as long as they do not contradict more specific information. In the absence of additional information, these expectations provide the best available sketch of the current situation.[5] So, for Reiter there are three kinds of inferential support: the premises are supported by available evidence or context; the inference is supported by context, evidence and a threshold; and the conclusion is supported by plausible rules and premises.

There are other formalizations like Autoepistemic Logic where self-reference is the basis of non-monotonic reasoning and belief revision. A rational agent believes all and only facts based on evidence, following the principle that if P were the case, the epistemic system would know about it. Additional information can block the application of the principle, leading to defeasible consequences.

The examination of such formal systems for non-deductive inference strongly suggests that even a non-deductive pattern of reasoning can be formal, rigorous, systematic and logical.

Possession of rules versus proficiency

Inferential rationality is composed both of the possession of certain inferential rules and the actual proficiency shown in context. We demand of rational agents to be able to draw at least "obvious" inferences. What is an obvious inference?

To judge the rationality of an inference we need to take into consideration factors about the agent and about the context of the inference. The context might produce too little or too

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[4] Reiter, Raymond, 1980, "A logic for default reasoning". *Artificial Intelligence*, vol. 13, no. 1-2, pp. 81-132, p. 124.

[5] See Minsky, Marvin Lee, 1974, *A framework for representing knowledge*. Artificial Intelligence Memo 306, MIT AI Lab, p.66.

much information. It can produce information open to interpretation, vague, ambigous, misleading. Sometimes this is due to characteristics in the agent (attention, experience, savvy), and sometimes to the context itself, independent of the agent (e.g., incomplete, disorganized or conflicting information, lack of clarity, or limited salience of relevant features).

Before passing judgment on the rationality of an inference we must take into consideration the limitations the agent had, like memory and computational capacity, top processing speed, ignorance of relevant facts, etc. But recognizing limitations does not excuse irrational behavior. We do not demand perfect rationality but we do demand a bare minimum.

Normally, the more familiar the subject matter, the more we demand from a rational agent in inferential terms. This demand coincides with some findings from experiments on reasoning conducted during the last 40 years. Wason's famous "selection task" shows to subjects four cards, each displaying a letter or a number, and a rule that states that if a card has a vowel on one side, it has an even number on the other side. The task was to select all and only those cards we need to turn in order to verify or falsify the rule. The experiment was designed to test people's acumen in applying the deductive rules of Modus Ponendo Ponens and Modus Tollendo Tollens, and in avoiding the associated fallacies of Affirming the Consequent and Denying the Antecedent. It was later widely read as confirmation of human irrationality: less than 10% of the subjects came up with the full correct answer. Most subjects used fallacious reasoning, and most failed to apply the valid rule of Modus Tollendo Tollens.

Subsequent experiments revealed that people's performance improves dramatically when the rule is not an arbitrary, unfamiliar conditional, but rather familiar and applicable to their lives, such as "if you drink beer legally, then you're at least 21 years old" (for American subjects), or conditionals that relate Italian postal rules or British train contingencies. When moved out of context (e.g., asking British subjects about Italian postal rules), the same experiment yielded results equivalent to those obtained in the original selection task. Such experiments, as well as daily observations by logic teachers, substantiate the general claim that people reason significantly better when the content of the premises and the conclusion is familiar to them.

Although familiarity sometimes can hinder logical ability, notably when the task calls for creativity, in most cases the recognition of the structure or the content of the inference promotes speed and accuracy. Familiarity can result from acquaintance with the content of the propositions involved in the inference or with the methods to be employed. One can expect a goal-directed agent to develop expertise in areas where that expertise is needed for the efficient attainment of major sub-goals. Therefore, it can be expected of a rational agent to acquire familiarity with some facts and procedures relevant to those areas. For instance, nowadays we expect a normal person to have a minimum knowledge of arithmetic, widely available technology, and interpersonal dynamics.

Of course, different tasks require more or less exposure and the scale from novice to expert does not increase linearly with number of exposures. All other things (e.g., cognitive complexity or attainability) equal, the more something is perceived as important, the less exposure it takes for content to become familiar. Burning your finger on a hot stove will make you an expert fast, while familiarity with modern art might require years.

So, except for cases that directly involve novelty and creativity, we can assume that more familiarity with the use and conditions of an inferential rule entails more proficiency for the same amount of rationality. If agent A has more experience with phenomenon P than agent B, then if this experience provides pertinent information to process information about P, then A

should be more able to process it than B, if both agents are equally rational. A is more rational than B if she can process even more that is to be expected from the relative differences in experience, other things equal, and she is less rational if the opposite is the case.

Let us talk now about basic logical rules that can be expected from a rational agent and about non-basic ones that nevertheless offer good evidence of the agent's rationality.

Basic and non-basic rules of inference

If you have a certain belief, either you have explicitly the beliefs that follow obviously, or you will acquire them when the situation calls for the inference to be made. Our model does not require a rational agent to immediately draw obvious inferences, but it does expects her to do so when the situation calls for it. Actually, before the need arises, cognitive economy dictates delaying the cognitive work associated with these inferences.[6]

Obvious inferences from explicit beliefs establish a dispositional behavior of treating something as true. For instance, a rational agent who believes explicitly A&B, might not believe explicitly A, yet she must be disposed to treat A as true if the occasion arises when she must treat A either as true or not treat it as true. An agent does not need to make a belief explicit (outwardly verbalized) in order to treat, consider or regard a "proposition" as true. (Questions about the sincerity of the agent's utterances, the noise surrounding the inference, etc., are apart from the question whether the agent treats something as true.)

Some inference rules are more obvious than other just as some inferences take more steps from the same given set of rules. Other things equal, the more people fail to make more obvious or shorter inferences, the more irrational they are. And there is a minimum threshold of rationality to be expected.

Obviousness comes in degrees but at the rock bottom for all agents we can expect to find rules like Simplification, Modus Ponendo Ponens, Hypothetical Syllogism, and Universal Instantiation. To this list we should add some non-deductive rules like simple cases of abduction, analogical reasoning and inductive generalization and, in general, heuristic rules. Heuristics often function like rules of derivation, and some of them can be acquired and enhanced thru familiarity. Beyond the core of basic heuristics, but valuable for rationality, we might have other rules such as the "atmosphere rule" which says that from negative (or particular) premises we derive negative (or particular) conclusions.[7] This rule is often helpful and gives correct answers, but it can also produce systematic errors.

A person must master Modus Ponens on pain of irrationality. For a minimum of rationality, the core rules have to be possessed to near perfection. For other rules this would be too much to demand but whatever proficiency the agent can show counts as good evidence towards her degree of rationality. Notice that mastery of these rules would not count as evidence if the threshold represented by the core rules is not reached. If an idiot savant cannot do a Hypothetical Syllogism, the fact that he can nevertheless multiply huge numbers is a week evidence of rationality.

To assess the role of inferential rules in rationality we must go beyond classifying them as deductive or non-deductive. In our model not all rules are created equal. Some rules are highly specialized or just plain unusual. For instance, since the 1960s some computers

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[6] In functional logic programming we would call this inference-on-demand a "lazy evaluation."

[7] This rule is stronger than the deductive rule that we cannot syllogistically conclude affirmative (or universal) conclusions when one of the premises is negative (or particular).

implement the Resolution inference rule, a rule expressly devised to facilitate computer information processing without trying to be intuitive to humans. Other rules are domain specific like the heuristics used in Chemistry to tell acids and bases apart. Sometimes they are handled better in the abstract like Modus Ponendo Ponens and sometimes they are handled better in familiar settings, like Modus Tollendo Tollens. All these differences are important when we ask what can be expected from the inferences of an agent who claims to be rational.

Unfortunately, inferential obviousness is not transitive. An obvious consequence of an obvious consequence very often is not obvious itself. So, all we demand from rational epistemic states is a disposition to "one-step" closure under obvious inference. The base set of explicit beliefs must generate a (proper or improper) superset of beliefs towards which we have a disposition to assent as one-step inferentially obvious conclusions from the base set. This superset will still be finite and therefore very far from a classical logical closure which is always infinite.

An expanded notion of logicality

The notion of rationality hinges not only in executing certain inferences in certain contexts but also in recognizing the obvious and the relevant inferences in that context. This recognition does not entail the ability to describe them, but it does entail the ability to execute them. We differ from the dictates of classical deductive logic where all inferences are on a par, and consistency and deductive closure are the normative rules of the system. Finding the pertinent and economic rules is part of the rationality of the system.

Other things equal, you are more logical (and therefore rational) the better you handle obvious inferences. Of course, "better" is a context-dependent evaluation. The better you execute obvious inferences the higher the degree of rationality. The more rules you master (without system degradation in speed or accuracy) and the better you apply them (in terms of pertinence, strategy, coherence with your goals, complexity of the premises, and economy), the more rational you are.[8]

We propose to expand the notion of logicality in at least three ways:

First, to allow for degrees of logicality and to be able to say that, other things equal, a certain inferential behavior or lack of it is more logical than another. We need to consider both properties of the context and the existence of cognitive limitations. We should consider the obviousness of the inferences in a given context and the familiarity with the form and/or the content of the inference.

Second, we expand the notion of logicality by incorporating heuristical inferences and, in general, non-deductive structures.

Third, we expand the notion of logicality to include non-inferential abilities. For instance, the skill to know when to apply the inferential rules, or the ability to recognize quickly logical truths. Also, abilities with respect to the actions of the agent.

This widening of the notion of logicality brings us closer to the historical use of the term "logic" till the mid XIX century, and provides a better basis for a theory of rationality.

An expanded notion of rationality

[8] The clause "other things equal" is all-important here since probably there will be times when the rationality of two agents will not be comparable. For instance, matters will be complicated by the fact that the inclusion of sets of rules possessed by the agents does not form a linear order.

An expanded notion of inference goes into an expanded notion of logicality which in turns finds its proper place inside an expanded notion of rationality. Inference is but a part of logicality which in turn is but a part of a composite rationality. No single property (for instance logicality) characterizes rationality. In our view, rationality is a vector of characteristics, each one a matter of degree, whose weights are context-dependent. Before judging the rationality of an agent we have to know what is her context. Because of this dependency on context, what is to be rationally expected of an educated monk in the Middle Ages is not what can be rationally expected from an uneducated peasant in Classical Greece.[9]

The theory of rationality cannot be exhausted in the study of logical inference, but must include the rationality of setting goals, decision making, cost/value considerations, and meta-cognition concerning rational allocation of cognitive resources. It must consider the processes of belief formation, the creation of value systems and the agent's behavior. Rationality goes beyond the cognitive sphere. For instance, a person is less rational the more she is driven by irrational fears.

Rationality is a collection of rationalities on many areas and, in each one of them, in many degrees. We can talk about rationality "of" behavior, thought, values, belief formation, inference, desires, etc. Each rationality belongs "in" certain domains, e.g., relationships, job, etc. And rationality is "up to" a certain degree. Rationality, just as intelligence, is a vectorial and multidimensional property, with multi-valued parameters.

Just as we saw with basic inference, there is a core of skills to be expected of any agent that wants to be considered rational, a necessary core of rationality that includes being able to focus attention, draw obvious consequences, engage in counterfactual reasoning, evaluate evidence and have coherent value systems for action. In a limited agent, rationality must also include capacity for learning (especially from previous experiences), discerning alternatives, making plans, discarding the irrelevant, arguing, negotiating and understanding arguments from different points of view.

It might be thought that all theories of rationality must be descriptive: objections to them would be limited to the critique of failed predictions, and could not contain normative claims. But the predicate "rational", even when used descriptively, is normatively laden. And this is as it should be. In Medicine, the term "healthy" has a normative connotation via the description of an ideal subject. This allows doctors to predict future developments of healthy systems. This prescription can now be cashed out in terms of what is reasonable to expect a finite agent to acquire and exercise as opposed to an unattainable ideal.

A theory of rationality can even have a predictive force, but we need to know not only what a rational person believes and wants in a given context, but also what inclinations it will have. A traffic light works because we predict (most of the time accurately) that rational agents will not only know if the light is red and will want to stop at such a moment, but also that they will be inclined to do so. Without an assumption of disposition for rational behavior society cannot function.

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[9] This dependency is reflected in the fact that different goals in different times have produced different notions of what counts as correct logical inference. In 2000 Raymundo Morado proposed that the notion of logical inference has changed according to perceived needs since Classical Greece. See "Nuevos paradigmas de la inferencia racional". In Carmen Trueba (ed.), *Racionalidad: Lenguaje, argumentación y acción*. UAM/Plaza y Valdés, pp. 89-99.

Our theory of rationality puts constraints on the future behavior of rational agents. Rational behavior must spring from rational decision making, whether or not the behavior is successful (in the sense that it attains the agents' goals or in the sense that it promotes her well-being). Without deliberation, a behavior is not rational, even if it is appropriate; to be rational it must be driven by reasons (premises, not causes). And rational decision-making must take into account relevant beliefs (including beliefs about the context of deliberation and possible action), and process them using rational inferences.

Conclusions

This paper has tried to clarify some relevant factors for judging rationality. This should help in the task of measuring the degree of rationality associated with a specific inferential act of an agent in a certain context.

Finally, accepting our model would have some consequences for the philosophy of logic. Some interesting characteristics of our model are the following:

(a) Refines notions such as "obvious inference", "heuristics", "biases", "cognitive principles", inference, logicality, and rationality.

(b) Helps to understand and classify inferential failures.

(c) Allows external considerations when evaluating rationality.

(d) Is neither psychological nor anthropocentric in its description of the epistemic agent, requiring only that it be cognitively limited.

(e) Contributes to create a realistic model of belief formation, attribution and revision because it allows for lack of consistency or logical closure.

(f) Incorporates more easily developments in modal, epistemic, doxastic, and dynamic logics.

(g) Shows a continuum from deductive to non-deductive logics, helping to explain both common features and differences.

Title: Dissemination of Disinformation: American Political Speak

Topic Area: English

Presentation Format: Panel Session

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Dissemination of Disinformation: American Political Speak

Quite often what we assume to be "facts"—what we assimilate simply by participating in modern culture—surprisingly are outright lies to advance certain agendas, select lies of omission to spare us less important details, misinformation passed on incidentally by such benign sources as our own textbooks to homogenize education, lazy or unprofessional investigation to satisfy deadlines, and downright disinformation to propagandize the American public. Simply put, many of our basic assumptions are as flawed as the language in which they are couched.

Television news programs proliferate on national, local, public, and cable stations, particularly during an election year; however, these media outlets seem to be functioning more as purveyors of disinformation than information. With the exception of the *McNeil/ Lehrer Report* on PBS and *The Daily Show* on Comedy Central, news programs appear to serve particular political candidates and/or agendas, rather than the American public in general. As examples from news programs will show, television journalism and journalists have become one of the major outlets for the dissemination of disinformation, rather than information. Consequently, disinformation becomes information—lies become truths—the misinformed become the informed. This transmogrification of one into the other creates an American public who cannot distinguish between the two. In particular, college students cannot distinguish between disinformation, lies, and misinformation, parading as information, truths, and accurate news reporting.

One of the rhetorical strategies employed by modern politicians is a careful reductionism, a judiciously calculated process that over simplifies complex issues into catchphrases in the hopes that the ill informed electorate will remember the gist of a given party's platform for voting. Not only does such simplification misinform the public at large but it also widens further the fundamental distrust between the candidate and the electorate, thus making our democracy dysfunctional, a mockery of demagoguery. While it takes advantage of our fragmented modern existence, such reduction in rhetoric robs language of meaning, especially since it was not even the politician who came up, in the first place, with such catchphrases; instead, it was the speech writer, a paid mouthpiece, who manipulates and reduces fact with clever analogies or crude metaphors. As soon as the speechwriter removes himself from the text, however, the meaning of the text starts to deteriorate and distance itself from the original intent.

In fighting the corruption of language, the ultimate goal is to restore clear thinking or, at the very least, to make it possible again. The fragmentation and variety of faulty constructions characteristic of the writing of the typical American freshman vividly demonstrate the necessity of teaching people to write well so that they will be able to think well—deeply, independently. For speakers of American English, democracy *depends* upon literacy. Without it, we will continue, albeit gradually, to lose our liberty.

To: Hawaii International Conference on Arts and Humanities

From: Howard Schmitt, USC School of Theatre

RE: Conference Proceedings submission

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JULIET'S NURSE IN PERFORMANCE

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ABSTRACT

Different characters arouse different audience response in different ages. A character that is prominent in one century may be heavily edited in another era. One generation may be greatly interested in a character that a previous generation found rather perfunctory. This paper will investigate the changing attitude toward the Nurse in productions and adaptations of ROMEO AND JULIET

from the late 17th Century to the present.

Although Restoration Theatre is notable for women actually playing the women's roles in Shakespeare, in Thomas Otway's late 17th century rewrite of

R & J, the nurse continued to be played by a male. This privileged the bawdy comedy and the repartee with Mercutio. All this is gone by the early 19th century after Thomas Bowdler expurgated passages in Shakespeare

deemed offensive. But both before and after Bowdler, operas had either transformed the nurse into a well-to-do confidante of Juliet, or eliminated her all together.

In 20th century cinema, the nurse is still quite bowdlerized in the films versions of George Cukor and Renato Castellani. But the dottering old lady or mindful school marm images of the nurse give way to the much younger, lusty and refreshingly lower class nurse in Franco Zeffirelli's award winning film.

Early in 2001, when Sir Peter Hall's was directing R & J at the Ahmanson, I got a call form a writer form the DAILY NEWS. He was writing about the many productions of R & J that were being done in the greater Los Angeles

area at the time. A production that I had designed was being revived at the the Thousand Oaks Civic Arts Plaza. Their artistic director had told the reporter that I developed and co-taught a course at USC that studied the performing arts using R & J in its various adaptations as a way of studying drama, comedy, opera, musical theatre, dance and cinema. (The idea behind the course is how do the changes made to the story and plot of R & J reflect the conventions of an art form.) The interview centered on how Zeffirelli's visualization, characterization and editing of the text had dominated most stage productions of R & J for a quarter of a century and suggested that one effect of Baz Luhrman's 1996 film was to open the door for reinterpretation of the text.

Before looking at Luhrman's treatment of the nurse, let's take a look at a post-modern vision of the nurse in Angelin Preljocoj's avant garde ballet [Lyon Opera Ballet]. In most previous interpretations of the ballet, the nurse receives a rather perfunctory treatment. She is a two dimensional character dominated more by her costume than her choreography.

Preljocoj's choreography breaks with this tradition and casts two dancers-moving in tandem-as the nurse. This doubling of the nurse as well as

the novel costume design and more advanced choreography shows a greater interest in the nurse and a re-examination of her thematic importance.

Luhrman's treatment of the nurse has set the stage for a current view of the nurse: looking at the nurse as a minority woman with a job. This paper will further investigate this approach to casting, as well as the question of the nurse being a contemporary audience's link with the story. It's interesting to note that Sir Peter Hall's stage production used the Miriam Margolyes as the nurse, she's the same actress who played the role in Luhrman's film.

Finally, another look at the nurse is examined in a recent French language musical adaptation of R & J. Here the nurse's songs display 3 enduring and equally endearing aspects of her character: her sense of humor, the vicarious excitement she gets from Juliet, & her devotion to Juliet.

Creativity in second language dialogues

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Creativity in second language dialogues

Abstract

The objective of the research project is to analyze the aspect of creativity during an online communicative exchange between second language learners and native speakers of the target language and culture. For this purpose an online second language course is developed and a large amount of data generated by students will be analyzed using a matrix founded in intercultural theory.

'Speaking cultures and second language acquisition' is developed and will be taught at the University of Victoria, Canada. Through new learning technologies working with WebCT (Web Course Tools) and Wimba (speaking software) second language speakers (students of German at the University of Victoria, Canada) will participate in a weekly dialogue with native speakers (students of English at the University of Kiel, Germany) following the tandem principle. The course provides students with an interactive and intercultural learning environment. This type of course calls for new criteria of assessment (Zarate 2003). The intercultural speakers becomes a mediator (Alred, Byram & Fleming 2003) and in the process of acquisition, enculturation and negotiation (Weber 2003) the focus is on negotiation.

Assessment criteria of choice (Byram 1997), navigation (Dodd 2001), questioning techniques (Byram 1997; Woodin 2001), initiative (Little 2001; Littlemore 2001) and transparency (Salumets, 1992) have been proposed in the literature on assessing intercultural communication. A matrix applying these criteria in the order of (1) choices, (2) selection/navigation, (3) expansion/initiative, (4) in depth argumentation/activity horizontally and vertically will be used to assess the dialogue that is generated by the students.

The paper gives a short overview of the course and presents and discusses the proposed matrix.

Creativity in second language dialogues

Introduction

The objective of the research project is to analyze aspects of creativity during an online communicative exchange between second language learners and native speakers of the target language and culture. For this purpose an online second language course is developed ('Speaking cultures and second language acquisition', University of Victoria, Canada) and a large amount of data generated by students will be analyzed using a matrix founded in intercultural theory.

The term 'creativity' is used following the example of Kramsch (1993, 1998, 2002, 2003) who identifies the learner as a creator of meaning. The meaning is expressed by the learner using semiotic resources available to him or her. Using resources challenges the leaner to be creative.

Intercultural Theory

The term intercultural communication escapes easy definition. There are many aspects of culture forming a network of subcultures who, when brought into contact with other cultures interact on many levels. The sociologist Geertz (1973) took this issue further in asking who constructs the beliefs that are considered to be representative of a culture. He argues that it is through human activity and behavior that different variations of one culture are constructed within a community. Consequently, the dynamic process of human interaction with its environment constantly changes these cultures. This view has been expanded by Gumperz (1993) and Kramsch (1993) who emphasize the significance of personal experience in that process. Gumperz holds that "culture is revealed in the way we react to, evaluate and talk about experience" (1993, p. 207). In the context of acquiring a second or foreign language, Kramsch

views culture as the difference between the native speaker's meaning and the foreign language students' "personal voice" (1993, p. 233). She argues that the creation of culture is a process in which the language learner acquires literacy in the L2 by "expressing personal meanings that may put in question those of the speech community. The language that is being learned can be used both to maintain traditional social practices, and to bring about change in the very practices that brought about this learning." (1993, p. 233). House (1997) stresses the importance of balance between language and culture in foreign language teaching. Her view of culture is that of the community in which the target language is spoken.

Being intercultural involves experiencing the conventions, beliefs, values and behaviours of other groups (Alred, Byram & Fleming 2003). Often learners perceive other individuals or groups in terms of assumptions and stereotypes (Byram, Nichols & Stevens 2001). An intercultural speaker is faced with the difficult task to differentiate between his or her conventions, beliefs, values and behaviours and those of the group he or she associates himself or herself with. It becomes a question of social identity. Tajfel (1978, 1981) points out two overlapping layers of membership. One, the relation of the self to the group, two, the relation of one group to another group. In second language intercultural communication a third layers is added: the relation of language and cultures expressed in language and culture specific lexical items. In other words, learning and speaking a second language means to investigate many forms of social identities, those of other groups as well as one’s own.

One of the main questions raised in the literature on intercultural communication is that of assessment. In particular new technologies applied to the second language classroom challenge the instructor to evaluate the students’ learning process. In second language online courses, students are engaged in a new learning environment. Consequently, their learning

process changes and has to be re-evaluated (Carey 1999, 2001). Zarate (2003) points out that in applying criteria of assessment a distinction has to be made between different learning situations. An online communicative exchange facilitates a cultural learning experience in its own right. The intercultural speaker becomes an intercultural mediator (Alred, Byram & Fleming 2003). Consequently, new criteria of assessment have to be applied to evaluate the student's performance. In the process of acquisition, enculturation and negotiation (Weber 2003) the focus is on negotiation.

Online second language course

An online second language course at an intermediate level of proficiency is developed at the University of Victoria, Canada: 'Speaking cultures and second language acquisition'. The design is that of an interactive, international course in Canadian German cultural comparisons analyzing theoretical texts, authentic video, audio and print material reflecting modern German and Canadian culture. The exchange is between the University of Victoria, Canada and the University of Kiel, Germany.

The innovative aspect of this course lies in its exchange component emphasizing student-student learning by means of a written and spoken exchange of second language learners. The course is WebCT based (Web Course Tools, a software program that is used at institutions of learning around the world) and integrates Wimba (a software program on speaking) into the interface of the course. These technologies are applied to second language instruction developing a course that allows students to develop their communication skills and promoting their understanding of cultures. Students of German at the University of Victoria, Canada (native language: English) will communicate in a written and spoken format with native speakers of

German at the University of Kiel, Germany (students of English). The languages of communication are German and English following the tandem principle. One of the aims of second language learning is to further the understanding of our own culture as well as that of other countries and regions of the world (Kramsch 1993, 1998, 2002). Intercultural exchange is one of the means of achieving this goal (Byram & Buttjes 1991; Byram 1997; Byram, Nichols & Stevens 2001; Alred, Byram & Fleming 2003).

The specific application of this course is at a third year level because students need about two years of previous second language instruction to engage in a meaningful and informative discussion with native speakers successfully. The themes of the course are 'Identity' and 'Nature' that provide many sources to engage in a dialogue understanding cultures associated with German speaking countries and cultures in Canada.

Matrix

Several criteria have emerged in the literature on intercultural communication regarding assessment. Byram (1997) stresses the importance of choices learners make. Dodd (2001) looks at methods of navigating through messages. Byram (1997) and Woodin (2001) review questioning techniques in their application to the development of an intercultural competence. Little (2001) and Littlemore (2001) emphasize taking initiative as a crucial step of learning in tandem courses. More than ten years ago, Salumets (1992) already wrote about the aspect of transparency in intercultural dialogue, that is the learner has to be able to explain his or her arguments.

Taking these criteria into account, an assessment of second language online intercultural communication looks at the following order:

1. choices

2. selection/navigation

3. expansion/initiative

4. in depth argumentation/activity

The overall question is in what time frame the learner achieves what kind of results through the direct exchange with other students. What does the student learn in this kind of language learning environment and what kind of evidence do we have?

The project analyses what learners of German do when creating a successful message in German participating in an exchange course. Messages are analyzed using a matrix that was developed by the author. The matrix is founded in intercultural theory. New types of courses that integrate a direct exchange between second language learners and/or native speakers call for new criteria of assessment (Zarate 2003).

Taking the criteria based on (1) choices; (2) selection/navigation; (3) expansion/initiative; (4) in depth argumentation/activity into account, the following matrix will be applied to analyze the data. It will use the term creativity since the four points mentioned challenge the learner to be creative (see Kramsch above):

Matrix

listen to argument	bring in new argument	examples	activity
statements / questions	in agreement / in disagreement	personal experience / material	five senses / mind
yes-no questions / w-questions	emotion / thought	familiar material / new material	within course / outside course
reaction / no reaction	successful / unsuccessful	variety / accountability	feasible / non practicable

The matrix will be applied to the messages students of the second language online intercultural exchange between the University of Victoria and the University of Kiel will create. It will focus on the aspect of negotiation. Within that aspect are four categories. Each category comprises four steps. The four points mentioned (choices; selection/navigation; expansion/initiative; in depth argumentation/activity) are applied horizontally and vertically to the categories and their steps. Overall, this network will analyze the many processes of the student's learning when engaging in an intercultural dialogue.

Outcomes

The literature on intercultural communication points out the difficulties of finding and applying criteria of assessment, in particular in the application to exchange courses, as well as the lack of supporting data. The proposed research will analyze data generated by students who participate in second language online courses in intercultural communication. It will introduce a

well defined matrix on aspects of creativity when assessing learners and provide evidence to that effect.

In addition to the matrix, it is also planned that students enrolled in the courses will be interviewed regarding their creativity. This will be part of their course assignments. They have to explain what they did when they constructed messages in German. This will provide additional information for the analysis.

Overall, the results can prove being helpful for instructors by providing them with a tool that allows them to evaluate students in online intercultural courses. Whereas the number of these courses, at secondary and post-secondary institutions, is increasing, questions of assessment have not been addressed. Meeting the demand of today's innovative classrooms creating new learning environments for students questions of assessment are an essential step for the continuation of an integrated approach to second language learning as well as for the transparency of student evaluation.

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Posttraumatic Stress Disorder Symptomatology in Community Dwelling Older Women of Diverse Ethnic Backgrounds

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Abstract

The purpose of this study is to test a new screener for Posttraumatic stress disorder (PTSD). The latter is a psychological condition that reflects the development of characteristic symptoms following exposure to high-magnitude life stressors [Diagnostic and Statistical Manual (DSM-IV), 4th edition; American Psychiatric Association, 1994]. The prevalence of PTSD in community dwelling older adults has been described as "virtually unknown" (Averill & Beck, 2000; Sheikh, 1992). Most studies involving the prevalence of PTSD in older populations have focused on war-related events and man-made or natural disasters (Falk et al., 1994). Furthermore, most available literature is only representative of veteran samples and is related to treatment of PTSD (Lipton & Schaffer, 1996). Previous research has demonstrated that women have a higher probability than men to develop PTSD. An estimated 7.8 percent of Americans will experience PTSD, with women (10.4%) twice as likely as men (5%) to develop PTSD symptomatology as a response to a traumatic event during their lifetime (Kulka et al., 1990). Women typically experience different types of stressors than men, the most common being: rape, sexual molestation, physical attack, being threatened with a weapon, and childhood physical abuse (Kulka et al., 1990). Many PTSD assessment tools are not sensitive to women because much of the research has recruited male veteran samples.

The Brief Distressing Event Questionnaire (BDEQ) tested herein is a new 5-item measure designed to screen for posttraumatic stress symptomatology due to an unspecified stressor. Its five items cover the current DSM-IV diagnostic criteria for PTSD; this measure is an abbreviated version of the Distressing Event Questionnaire (DEQ; Kubany et al., 2000). It is unique because existing tools for assessing PTSD have neglected community dwelling older adults as a representative sample. Other questionnaires have been too lengthy and increase the likelihood of fatigue. The proposed screener is ideal for use with older adults given its brevity. Conversely, an existing screener, the Self-Rating Inventory for Posttraumatic Stress Disorder (SRIP), includes older adults in its sample (age 55 - 90), but its length (22 items) may make it less likely to be used in primary care settings.

To establish preliminary reliability of the new PTSD screener (and its convergent validity with measures of perceived stress and depression), 94 community dwelling women (age 50-105, with $M = 70$) of diverse ethnic background were recruited. Demographic characteristics of the sample are reported in Table 1. Tables 2 through 5 depict the results of the data analyses. A standardized alpha of .86 demonstrated high internal consistency of the new tool. Additionally, the concurrent validity of the novel screener with a perceived stress questionnaire was significant ($r = .37$, $p<.01$). Concerning depression, the findings obtained demonstrated significant concurrent validity of the new tool with a well-established measure of depression ($r = .50$, $p<.01$). Implications of the findings are discussed.

Title: Time, Music and the Philosophy of Henri Bergson

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Abstract:
The zone of meaning surrounding Henri Bergson's philosophy presents us with some compelling philosophical methods by which a deeper understanding of temporal expression in music may be investigated. From an architectural standpoint, musical time exists in hierarchical levels (zones of temporal perception). These levels within the materiality of music interact with our external perceptions of clock/observed time to stratify and enrich the experience of time-in-music. Bergson's rather complex interpretation of *intuition*, *pure duration*, and *memory* (each of these are elevated to the status of philosophical investigations) provides us with some insight regarding how the mechanisms of perception function with respect to time in music. Such an investigation has direct relevance to composers, performers, and music scholars as it challenges received notions of how time is currently discussed in musical works. Analysis, primarily a tool of science, deals with symbols of things and not the things themselves. The investigative method proposed by Bergson's philosophy dispenses with symbolic representations of phenomena by an act of philosophical intuition and replaces this paradigm with an a-symbolic discourse of paralogies.

THE MYTH OF A GERMAN ARTIST: EMIL NOLDE, HIS WORKS AND HIS ROOTS

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The basis of this abstract and the paper it represents, is focused on the development and execution of the "Unpainted Pictures" (*ungemalte Bilder)* series of paintings done by Emil Nolde from 1937 to 1945. There are numerous gaps in the Nolde scholarly literature; I intend to contribute to this much-needed area of research in early twentieth century German art. The artist is alternatively portrayed as either a naïve simpleton or a cunning anti-Semite. This creates a myth around the artist that is sometimes hard to separate from fact. Few writings on Nolde have even considered that his motivations and inspirations may not be so simple. I will look at the development of Nolde's style and palette in regard to his previous stylistic tendencies and concerning the social/political climate in the art world of this time. Scholar William Bradley portrays Nolde as a sentimental dreamer. My work will question how this dreamer functioned and even flourished under the oppressive weight of the Nazi regime. This work will look at the how and why of Nolde's motivations and techniques.

In 1933, Nolde joined the Nationalist Socialist party, excited by their promise to revitalize Germany and the spirit of the German people. Nolde felt he could uplift the Germans with his art, which he felt was tied to the land. His work was initially heralded by the Nazis in the early days of the regime, but that approval was short lived. As the

Nazi art regime took hold, Nolde became a prime target for ridicule. During the now infamous "Degenerate Art" (*Entartete Kuns*t) exhibition of 1937, he had the dubious distinction of having the most works in the exhibition painted by a single artist (1,052 of his pieces were seized, sold or destroyed). The designers of the exhibition now labeled his work as sacrilegious, Bolshevik and decidedly un-German. Nolde's letters of protest to Goebbels, Director of the Reich Ministry of Propaganda, went unanswered.

Nolde lived in Utenwarf until 1926 when it became part of Denmark, then he moved south to the still German town of Seebüll. Despite his continued persecution in the late 1930s, Nolde remained sympathetic to the Nazi cause of a better Germany. Then, in 1941, he received a letter from the President of the *Reichkünstlerkammer*, Adolf Ziegler, expressly forbidding him to practice art. Nolde withdrew into his home in Seebüll and painted in spite of the threat. Though he was hurt financially by the decree, he admitted to close friends that he felt freed artistically. Inspired by the ban to create an art inseparable from his home, he painted in a semi-secret room in his home and hid paintings in the houses of his friends. These confidants would bring the artist paper to work on when they came to visit. Along the edges of many of these works, he wrote journal-like musings on his art and his situation, later named his "Marginal Notes". Often poetic and impassioned, his writings give verbal expression to the powerful watercolors he was creating.

Though there are some figurative works in this series, the most striking pieces, stylistically speaking, are his landscapes. His mature sense of color and technique are in full force. The skies and waterlines blur into each other in evocative and visceral expanses of color and light. What was the impetus of this new creative development?

What was it about this situation at this time that spurred a sensitive dreamer to this kind of brilliant outburst of artistic creativity? Nolde wrote a friend of his that his art was "rooted in [his] native soil." How did he reconcile his National Socialist political views with the abstract innovation in his painting? In addition, this work looks at Nolde in regards to the tradition of German Romantic landscape painters, such as Caspar David Friedrich. Friedrich was also a sensitive and emotional man, who felt that spirituality and art were inseparably connected to the natural scenes around him. This study will examine how Nolde stylistically connected to his artistic predecessors, and also at the cultural roots of Nolde's art in his devotion to the long-standing German attachment to *Heimat* and *Erde* (homeland and earth). An attachment he shared with his Romantic forerunners.

Though the myth of Nolde has been crafted by the selective praises or condemnations of scholars and critics, his story has influenced German writers as well. Siegfried Lenz's *The German Lesson* details the struggle of young Siggi Jepsen as he comes to terms with the "joys of duty" as they relate to his father, a German policeman, and to Max Ludwig Nansen, an Expressionist artist forbidden to paint by the Nazi regime. In a novel where the great, northern *Heimat* is itself a tangible character, the role of Nansen is a reflection of Emil Nolde and how his myth is perceived. This research will look at how the Nolde myth is exploited in this work and how Lenz uses it as an arch-type for the German condition.

1. After Keats: The Return of Joseph Severn to England in 1838

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6. Abstract.

The artist Joseph Severn is best known for his heroic service to the dying Keats. His fateful decision to accompany the poet to Italy on short notice and his unstinting kindness and loyalty to Keats in Rome are now legendary. Less well known are Severn's careers as an artist and later as a diplomat after Keats's death in 1821. In fact, literary history has stressed Severn's companionship with Keats at the expense of his artistic pursuits. The fifty-eight years he lived after the poet's death are typically represented as a long twilight in which Severn basked in the glow of Keats's steadily increasing fame.

My recent discovery of hundreds of unpublished letters to his wife Elizabeth written over a thirty-year period complicates the orthodox view of Severn as primarily "the friend of Keats." The new collection is highly valuable for many reasons, not the least of which is the various sequences of letters it contains, chronicling Severn's day-to-day life during his travels in Italy and the British Isles.

Above all, perhaps, the letters testify to the centrality of Severn's own career as a painter. Keats's legacy was not continually on his mind, as most commentators believe; rather, Severn was pursuing his own aims and ambitions, refining his talents as a painter

of frescoes and portraits, religious and historical scenes. He was showing his work regularly at the annual exhibitions of the Royal Academy and British Institution. He was lobbying for a more public function for art in lectures and articles, and he was working on designs he submitted to several national competitions for decorating Westminster Hall and the Houses of Parliament. We might expect his letters from the 1850s to show his attempts to capitalize on Keats's burgeoning reputation after the publication of Richard Monckton Milnes's biography in 1848. Instead they reveal his own efforts to find patrons for his religious art and to subsist as a portrait painter.

In this paper I discuss a complete sequence of sixteen unpublished letters Severn wrote to his wife Elizabeth during the summer and autumn of 1838. I have chosen this period not only because it represents a defining moment in Severn's career and because virtually nothing is known about it, but also because it sheds light on various aspects of his character that have long been obscured by the sentimental legend of his friendship with Keats. The paper will be accompanied by slides of selected paintings Severn exhibited and was working on at the time.

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Welding Art

ABSTRACT

Welding and various forms of metalworking have been used since the Sumerians during the Bronze Age. Hard soldering was used then to hammer swords together. Over the ages we have found many other ways in which to join metal. It wasn't until the mid 1800's that we used electro magnetism to create 'welding'. The industrial revolution inspired us to create easier ways to weld. Great progress was made during the late 1800's and into the early 1900's. The Lincoln Electric Co. invented the first welding machines in 1912. The war spurred our efforts to produce easier and more portable welding units. During the 1920's many types of electrodes were invented including one of the first mig (gas metal arc welding) welding machines. The 1930's through the 1950's were a blur of new technology; we now have portable welders in any type of process.

The twentieth century technology race yielded new metal joining processes. Artists (sometimes the metal workers themselves) used these developments to create art. Decorative fences with ornate gates from this era are very common; we are all familiar with wrought iron

products. Metallic architectural details were common during the modernist movement. Welding became a new artistic tool.

Welding Art

Most of the metals used in manufacturing today were discovered before 60 A.D. In fact, gold and silver were discovered around 3000 B.C. The ancient Sumerians used metal to make practical items such as swords and goblets. Some metals, such as gold, which were harder to find, took on a sentimental meaning and were considered precious. The Sumerians developed hard soldering, a method of pounding metal together in order to make it bond, similar to making piecrust. The Egyptians refined the process using heat to make the metal more malleable. This resulted in a smoother finish. Iron and bronze implements found in Egypt near the great pyramids appeared to have been forge welded.

During the 10th Century A.D. the lost wax process was invented in the Himalayas. This process allowed for large sculptural pieces to be created using metal. Most of the created statues were kept for local use but some were exported. The 2-step process involved making a sculpture out of wax then coating it with a thick layer of mud (today we use a plaster mix). The piece was heated in a kiln to melt the wax. This left a hollow impression of the sculpture inside. Molten metal was poured inside the plaster mold.

Accounts exist from 60 A.D. concerning the development of brazing techniques. The written records describe the elements and metallic salts that would melt easily to bond with metals. Oxides of various colors would appear with different mixtures. Between 300-400 A.D. the Chinese found a way to channel natural gas through a tube for the purpose of combustion. They originally used the apparatus to purify seawater through evaporation. Later the same tools were used in welding processes.

From the 1500's through the 1800's many elemental gases were discovered. Among them were Oxygen and Hydrogen. Alchemists during the middle ages recorded the properties of these gases. Some of them were used for welding.

Sir Humphrey Davy (1778-1829) of London demonstrated the arc created using a battery and two electrodes. During the 1800's there were many discoveries that would thereafter be helpful to the industrial revolution. In the 1830's welding experiments were conducted with rubber hoses and electricity. The tubes contained a regulated flow of the gas. Electricity provided the ignition. Blowpipes were commonly used for heating and melting metals for soldering and brazing. The really big break through was fusion welding.

Scientists in the late 1800's and early 1900's submitted many patents for new welding processes. One of these, GTAW (gas tungsten arc welding), delivered a molten metal filler to join two pieces of metal while the affected area was submerged under a protective gaseous flux. The first welding machines incorporated this filler and flux process. The English began to make decorative wrought iron fences and tanks.

The industrial revolution came into full swing as World War I erupted in Europe. The war required that the welding process be simplified so that women could assist in the factories. A stick of metal was coated with a mixture of salts. When heated, the salts formed the gaseous flux around the area of the weld. This became known as stick welding or SMAW.

Many artists were employed through the New Deal to create public art for our parks and government buildings. Outside sculptures were created out of metal in order to withstand the weather. Many bronze sculptures as well as galvanized steel sculptures were created and erected. New York's Central Park displays many of such public works.

Artists since the industrial revolution have tried to express their ideas through metal. Donald Judd created a steel box that is displayed at the Cincinnati Art Museum. Richard Deacon created pieces that over power the body and reach for the sky. Many of our park benches are made of metal. We enjoy the decorative trim on buildings inside and out. We notice ornate street lamps. We buy

artful and ornate metal furniture for our houses. Many acrylic statues are created to look bronzed, it enhances their value. How many people have bronzed baby shoes?

The malleability of metal amazes us. With metal, we can make three-dimensional paintings. Variations in technique create more organic sculptures. Beautiful patinas are achieved using fire alone. The weld itself can be very fluid and smooth. It can be hidden. Automated technologies permit us to set the feed rate of the filler and the density of the flux cover. We can allow a machine to do the work for us or we can choose to explore the artful and creative side of metal joining.

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SETTLEMENT AND ARCHITECTURE IN THE NILGIRI HILLS

ABSTRACT OF THE PAPER

Udagamandalam, 'The Queen of Hill Station', 'better known as 'Ooty' or 'Nilgiris' is the most popular hill station in South India. The Nilgiris, a district of Tamil Nadu is a hilly area situated between 11°8 and 11°5 N 72° 2 E. The area of plateau is 2,549 square kilometre and it raises 2,636 metre in height. The belt of the Nilgiri mountains, which under the name of the Western Ghats runs down the western side of the Peninsula, is formed from the river Tapti to Cape Comorin. The term mountain is called 'hills' by British.

The tribal settlements in the Nilgiris are extensively scattered and spread over more than 300 settlements in the six taluks under as, Udagamandalam, Kunnur, Kottagiri, Gudalur, Kunda and Pandalur. In these regions, the native tribes of Toda, Kotta, Irula, Alukurumba, Bettakurumba, Mullukurumba, Tenukurumba and Paniya are living.

The tribals of the Nilgiris have attracted massive ethnographic attention over 150 years. The Nilgiris is generally focusing on the inter-tribal world of the Toda, Irula, Kotta and Alukurumba on one hand, to that of the Mullukurumba, Bettakurumba, Tenukurumba (Kattunaicken) and Paniya on the other hand. But the tribal settlements are generally divided on the basis of their region and ranging wise setting. In the Nilgiris, the tribal settlement are divided into three divisions such as, (i) central, south, east, and southwestern regions of the Toda and Kotta settlements in 2000 to 2,400 metre range, (ii) south, east, southeast and north-eastern Alukurumba and Irula settlements in 1,200 to 2000 metre range, (iii).Western and northwestern Gudalur regions of the Bettakurumba, Mullukurumba, Tenukurumba and Paniya settlements ranging from 600 to 1,600 metre. The traditional settlements are named as tribal villages and called by their own traditional names as *mandu, kodal, motta, kombai, padi and kudi*.

In the Nilgiris, every tribal group has its constituent units, fostered especially by separate settlements and different vernacular houses. The important significance of the settlements is the three regional attributes such as, site, situation and location. The situation refers to the physical and cultural conditions of the local region and is perceived as the culturally bounded habitat of the people. The location is precise measurement and can be expressed in terms of latitude or longitude and direction from same established point.

The basic structure of the tribal settlements sited a distinct system of farming. Each tribal settlement is ethnic, indigenous and sited at particular places. The siting of the settlements are related to certain principles of culture, landmark and architectural elements.

Toda settlements are sited on Wenlock Downs on the central and east, south, western sides of the Nilgiri plateau of elevations ranging from 2,100 to 2,400 metre. Most of the settlements are found in Udagamandalam, Kottagiri and Kunnur in one. More then 103 *mandus* scatter around the Nilgiris. The Kotta settlements are ethnic from other tribal lands and highest zones of the central, south and eastern side of the Udagamandalam, Kunnur and Kottagiri taluks at elevations ranging from 1,200 to 2,200 metre. There are totally seven traditional settlements in this region such as Solurkokal, Kundakottagiri,Tiruccikkadi, Kollimalai, Kilkottagiri, Newkottagiri and Kokal.

Irula and Alukurmba settlements are sited on the steep slopes and glens of the southern, eastern, southeastern and north eastern ranges of middle and lower belts of the Kottagiri and Kunnur at elevations ranging from 600 to 1,600 metre. In these regions most of the settlements are multi-ethnic.

Mullukurumba, Bettakurumba, Tenukurumba (Kattunaicken) and Paniya settlements are sited at the western side of the Cerankodu area at the elevations ranging from 600 metre to 1000 metre. The siting of the settlements are as separated from other tribes in Nilgiris, by an uninhabited zone of the Nilgiris. Mullukurumba settlements are sited in one area of the western Cerambadi area of the Erumadu region. But the Bettakurumba, Tenukurumba and Paniya settlements are scattered through the Gudalur region including the Cerambadi area. Bettakurumba settlements are clustered in the Gudalur region of Benne, Teppakadu, Karkudi,

Chrankodu, Devarcola, Devala and Elamanna area of the Western region. Paniya settlements are sited at Gudalur taluk of Sreemadura, Cermulli, Padantorai, Mudumalai, Munarnadu, Erumadu and Cerambadi valley, the eastern border around Gudalur and the western Cerambadi area. Tenukurumbas share their settlements with other tribes of Mullukurumba, Bettakurumba and Paniya.

The traditional architectural pattern in Nilgiris is divided into three divisions such as (i). Western, northwestern and northeastern ranges of the Toda and Kota dwelling. (ii). South, east, southeast and southeastern ranges of the Irula and Alukurumba and (iii). Western and northwestern Gudalur ranges of the Bettakurumba, Mullukurumba, Thenukurumba and Paniya dwellings.

The tribal settlements reflect the traditional environment of the Nilgiris. The important aspects of the situation of the settlements are environmental features, ecological aspects and climate. The formation of the mountains and fast growing and encroaching forests continued to dominate the life of the people. It also determined their settlement pattern and played a vital role in shaping their distinctive cultures. The ecological aspect gives a picturesque to the settlements. However the settlements do not occupy good farmland but it has a good water supply and natural drainage. The traditional settlement of the site is related to the climate of plateau. The settlements found at the foot of the mountain provide a grove of trees for shade and firewood. Its temperature during the summer is maximum 25° C but relatively cool due to the shade of trees and cool winds that lower valley to the summit of the hill. The dense forests also protect from the sunrays because the trees are large and close, so it does not allow the mountain behind it.

The farming villages in Nilgiris are generally located at the foot of the mountain, sloping hill in mountain valleys or tablelands. The mountain is the dominant element of the landscape. The settlements are facing or around mountain, temperate grasslands or dense forests. The water courses are nearby, on the slopes or edges of the valleys. On a slope the settlements occupy dry fields for cultivation and the watercourse are rice paddies or tea and coffee plantations. In the central part of the settlement and their features are found. In the Nilgiris, most of the settlements are remotest one from modern systems. The settlements are sited and separated one from other places by the mountains or dense forests. Some others are

road side settlements and few are in hamletted, they are separated by the environmental landscape.

In Nilgiris, the traditional architecture plays central and vital role in the social, culture and economy of the society. Its also helps us to trace out the traditional changes and reciprocal influences between different socio-cultural units, complexes and the function of architecture within the social system.

The Nilgiris tribal traditional dwellings are not built according to the *sastras* but the might have followed certain principles to built a dwelling in a particular place. Another interesting feature is the material used for their construction of the houses. The materials are nothing but the product of the environment which the economy and occupation of the people.

Traditional dwelling are the built expression of a heritage and they continue to be transmitted from one generation to another. All types of normally vary according to the climatic conditions, nature of terrain, economic conditions and availability of materials.

Basically, the Nilgiris dwellings are divided into three such as, traditional huts, transitional houses and transformational houses. The difference between the traditional, transitional and transformational houses are, striking in its design, structure and using materials. While the traditional hut reflects an unique architectural style, shape and structure, the transitional house depicts the lack of aesthetic senses by the household members who belong to the later generation trying to make compromise between the traditional. The transformational houses mirroring the changing tradition of the tribes and is describe as the adaptation of the modern systems. It reflects how the socio-culture and socio-economic aspects influenced in traditional architecture. It also described the traditional architectural style, the systems of planning, layout and techniques adopted by tribal people which were modified by the influences of outer contacts.

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Title Page:

"*The Red Moon*: The Interconnections Between Theater and History, and the Black and Native Americanization Program at Hampton Institute"

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"*The Red Moon*: The Interconnections Between Theater and History and The Black and Native Americanization Program at Hampton Institute"

This paper examines the Broadway theatrical production *The Red Moon* (1908) by the African American musical theater team of Bob Cole, James Weldon Johnson and J. Rosamond Johnson and the interconnections between Black theater and history. Cole and Johnson communicated a politics of uplift and racial pride by offering heroic representations of Blacks in *The Red Moon* (1908) and showed how U.S. society might change, if Blacks secured full participation in it. They dramatized the role of Black industrial colleges such as Hampton Institute in the uplift and "Americanization" of Native Americans and imagined interracial solidarity between the two groups as a favored means for full African American access to the riches, rewards, and opportunities available to whites in the U.S. Cole and Johnson imagined alliances between Blacks and Native Americans as a possible antidote to the poison of white supremacy.

This work explores the actual project of biracial education at Hampton, the racial hierarchies established at the school and how Cole and Johnson re-imagined the Black and Native American educational program in *The Red Moon.*

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Paper Title:	The Women Writers of Philippine-Spanish Literature
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THE WOMEN WRITERS OF PHILIPPINE-SPANISH LITERATURE

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ABSTRACT

Philippine literature written by women traces its roots only to as far back as the English writers. However, minimal research had yet been done on the Filipino women writers in Spanish, which goes further back than the Philippine-English writers. Their voices had not been heard, nor their writings studied in our Philippine literature classes. Seldom, if ever, do we find their works included in Philippine literature anthologies. Unknown to many, these writers were literary-award winners, prolific, with numerous works published in the leading Spanish newspapers and magazines of their time, had their own books of poetry or short story collections, and were known abroad, specifically Spain. In fact, many of their works can actually be found in libraries abroad. Among their male contemporaries they were respected and admired, no small feat in a field still largely dominated by men then. The three women were, in fact, considered among the best writers of Philippine literature in Spanish. Thus, the anthology and results of this study is a significant contribution to the study of Philippine history, literature, and culture.

This research anthologized all available literary works of the three women writers from the period 1900-1960. Each work was closely read and the ensuing essay discussed each writer and her works in detail including, among others, thematic concerns and the influence of the social-political-economic milieu on each one. Who these writers were and what their contributions were to Philippine-Spanish literature is what this paper seeks to present at the 3rd Annual Hawaii International Conference on Arts & Humanities.

INTRODUCTION

Background of the Study

The advent of feminism in the Philippines has helped create a body of literature on and about women and its criticism, which has been relatively vast, in the last two decades. In the country today can be found: (1) individual collections of poetry, essays, and fiction by women, including the novel; (2) anthologies of women's writings; (3) critical reviews of women's writings; and recently, (4) the collections of women's works from the different regions and provinces. All these truly boast of an impressive and rich heritage of creative writing from the Filipina.

However, surprisingly, previous to known Filipina writers in English, Filipino, or the various vernacular languages, no research is found on the Filipina writers of Spanish. Although the society was decidedly more patriarchal then, it seems impossible that no works were written by our "foremothers." Lumbera (1977) posits a possible theory for this:

> **Women as literary artists doubtless existed prior to the 19th century. …In precolonial times, alongside the menfolk, women also invented riddles, proverbs, songs, and tales. When the printing press was introduced by the Spaniards and with it the custom of appending a by-line to a literary piece as a sign of ownership, mysteriously not a single poem or essay got attributed to a woman. Why? Researchers have not yet come up with a definitive reply. Perhaps writing for print carried with it a set of expectations that women, in the social setting of the times, were not given the opportunity to meet. The literary forms that Spanish colonial culture had introduced necessitated a certain amount of familiarity with rules of writing as these had been laid down in Spain and Europe, and the severely limited education made available to women did not give them access to such knowledge. Nonetheless, writing by women, though this did not see print, was going on…** (p. 45)

This study unearthed three of the foremost Filipina writers of Spanish, namely, Evangelina Guerrero-Zacarias, Nilda Guerrero-Barranco, and Adelina Monasterio Gurrea. They were considered important and major writers of their time yet they are not even included in the roster of women writers in Philippine literature classes and have, thus far, remained silent and unrecognized. Who were they? What did they write? Did their writing reflect the social, political, and moral issues and concerns of their time? Did their literature develop with the times and with the rest of their male counterparts? Their views and experiences, as gleaned from their writings, are surely just as meaningful and substantial as the other women writers. In learning about their life and thought through literature we can gain a better grasp of the Filipina's identity today.

Statement of the Problem

The main objective of this study was to gather all available works of the leading (published and/or awarded) Filipino women writers in Spanish from the period 1900-1969 and anthologize them. The said period is significant as it was during this time when Philippine literature in Spanish reached its Golden Age, specifically during the years 1900-1940 (CCP 90). Likewise, the study provided a literary history dealing with the thematic concerns of the writers, as well as biographical information on them.

Importance of the Study

No work/research has been done on Filipino women writers in Spanish. It seems that their very existence has been overlooked and unrecognized. The results of this study will provide much to the history, literature, and culture of the Philippines. The anthology will

be useful to scholars and teachers as a source for the study of Spanish literary texts written by Filipina writers. It may also be used in women's studies courses.

Scope and Limitation

This study focused on Filipino women writers in Spanish from the period 1900-1969. The three leading writers of the period were : Evangelina Guerrero-Zacarias, Nilda Guerrero Barranco, and Adelina Monasterio Gurrea. These women consistently wrote numerous works which were widely published in the leading Spanish journals and magazines of the time. They also won the leading literary contests then. This is not to say, however, that they were the **only** women writers of the time, but because the "minor" writers wrote sporadically and not enough to provide a thorough analysis of their works, the latter were not included in this study.

Research was conducted in the cities of Manila and Cebu - considered the centers of Spanish occupation then. In both areas, archival work predominantly took place in the cities' major libraries (National Library, Filipinas Heritage, Lopez Museum, San Carlos Library).

DISCUSSION

The Golden Age of Philippine Literature in Spanish

In order to understand the socio-political-economic milieu of the times, it is perhaps significant to briefly explain the literary and historical influence of Spain on the Philippines during the period of colonization. Other than Catholicism, Spain's second important legacy to the Philippines was written literature. However, during the most part of Spanish colonial rule the Filipinos remained largely "miseducated." Spanish rule in the country spanned 377 years and for most of that time the Filipinos were regarded as an "inferior race" with limited intelligence. Thus, the Spaniards maintained a barrier that separated the Spanish minority from the larger segment of "indios," and one tool used to keep this barrier was through education. It was their prejudiced notion that the Filipinos were "impossible to expose to curiosity and philosophical studies" (Agoncillo 117), justifications which they used to deprive the Filipinos of education and enlightenment. Thus, although an educational system was established by the Spanish friars, its policies and curriculum inclined toward religion, effectively allowing the colonial masters to control the natives. Although an educational reform decree was passed in 1863 providing free primary instruction and making the teaching of Spanish compulsory, the quality of instruction on the whole remained very poor and "most of the friars nullified at every opportunity the laws that required the teaching of Spanish" (Agoncillo 101-102). Since the education was controlled, it naturally followed that literature written by the Filipinos was very limited. Furthermore, the religious orders in the country had a monopoly of the printing presses, thereby effectively dictating what could or could not be printed. As a result, Philippine literature in Spanish did not make its appearance until the early years of

the 19th century (del Castillo 135) but when it finally did, the development was very rapid. This development was ”particularly due to certain definite causes, including the opening of the Suez Canal, the rise of the Filipino bourgeoisie, and the establishment of elementary and secondary schools… As the Filipinos amassed wealth and property and inevitably acquired a measure of influence, social position, and education, there arose within them a burning desire to demonstrate their intellectual equality with the Spaniards, and later, with the Americans. This compelling desire found its most lucid expression in literature” (del Castillo 135). Hence, the Golden Age of Philippine literature in Spanish, which found fruition in the years 1900-1940, was an interesting event in itself as it seemed to have occurred at a transition in Philippine history: the changing of the colonial master from Spain to America.

This period saw the phenomenal creation and publication of literary works, a flourishing of Philippine writing in Spanish (both in number and in quality) which scholars say remain unmatched to this day (del Castillo 135). Foremost in the development of the literary genres was the short story, poetry, and the essay. When the Americans replaced the Spaniards as the country’s new colonial masters, their arrival was met with strong resistance. In literature, this event ironically spurred “the defense, conservation, and promotion of the nation’s hispanic heritage, especially the Spanish language and Catholic religion” (CCP 89). The Filipinos discovered a newly-found nostalgia for the Spanish past and condemned the new Western morality invading their native and hispanic heritages. This resistance to Americanization was evident in the themes of *hispanidad* and *filipinidad* pervading the literature at the time. Thus, Philippine literature in Spanish was used as protest against the American colonizers. The poets’

patriotism was reflected in their works. Numerous poems exalted the country, their verses emphasizing the Philippines' "scenery, its golden traditions, its heroes, the virtues of the Malay race, and hispanic culture" (CCP 89). The cornucopia of Philippine poetry in Spanish was evident in the poems, columns, and verses published in the leading Spanish newspapers and magazines, and in the literary contests held during the first four decades of the 20th century.

However, scholars claim that it was the short story that inspired the most and best writers. The various literary contests encouraged the publication of short stories in book form, but especially in the literary sections of the foremost newspapers then like *La Vanguardia, El Debate, El Renacimiento, El Opinion,* and *La Nueva Era.* Evangelina Guerrero-Zacarias and Adelina Monasterio-Gurrea were considered among the best writers of the period. Both won the prestigious Premio Zobel Literary Award (Gurrea in 1956 and Guerrero-Zacarias in 1959).

Around this time, two new forms of the short story evolved: the **instantea/rafaga**, a brief anecdote or account of incidents; and the **prosa romantica/prosa lirica** (romantic prose/lyric prose), short anecdotes full of figures of speech and flowery phrases (CCP 91).

The content of the stories were as varied as the numerous writers, and portrayed the whole range of human experience. Some were religious and didactic, reminiscent of the earlier literature under the Spanish colonial regime, warning against vice and the temptations of the material world and extolling the Christian virtues. Others, in keeping with the theme of *hispanidad* and *filipinidad*, criticized American rule and sketched local color and provincial life (CCP 91). Other stories depicted the rich, the working class, or

the more sordid aspects of city life. Mostly, the stories concentrated on ordinary characters: office workers, teachers, prostitutes, etc. In short, the fiction of the period veered towards the realistic rather than romantic.

There were memorable stories about love and some, like Guerrero-Zacarias', were considered "lushly romantic." As a whole, however, the Philippine short stories in Spanish "belong to no classifiable school" (CCP 92). As realistic narratives they are "transcripts of experience directly observed by the writers… They strongly resemble the short stories of the French writers Alphonse Daudet, Guy de Maupassant, and Prosper Merimee in their concern for the middle and lower classes, their sympathy for their wretchedness, their attention to the immediate situation of the lives of the characters, and their emphasis on moral issues" (CCP 92). The common thread running through the stories emphasized the writers' moral concerns. Perhaps this was a response to the accelerating American morality which was beginning to blur the Hispanic traditional values.

Another favorite medium of expression for nationalist sentiments was the essay. As with the short story, *La Vanguardia, El Renacimiento, La Opinion,* and *El Debate* were the outlets for essayists. Subjects included folklore, *hispanidad*, literature, political issues (particularly the American colonization of the Islands), social and religious problems, and Philippine heroes. Likewise, scientific, technical, and philosophical essays were written. Of the younger writers, Nilda Guerrero-Barranco (Evangelina's younger sister) was considered among the promising young essayists. The nationalist consciousness produced editorials, columns, feature articles, letters, diaries, sermons, speeches, travelogues, **papeles volantes** (loose sheets), and **prosa poetica/prose lirica** (poetic prose/lyric

prose). Many memoirs in Spanish, "written early during the 20th century, showed a mistrust of American colonizers" (CCP 37). In fact, "the best essays in Spanish were those that exalted the virtues and heroism of the Filipino race, and defended the hispanic legacy" (CCP 96). Once more, the recurring themes of *filipinidad, hispanidad,* and antipathy towards the Americans are evident.

When English became the medium of instruction throughout Philippine schools, Spanish was seriously undermined. And by the end of the 1930s, English writing had overtaken Spanish writing. Although the latter tenaciously continued until halfway into the 20th century, it was obvious that *hispanidad* was on the decline. The death blows took two forms: World War II and the deaths of Recto and Bernabe. The former devastated Philippine literature in Spanish when several of the Spanish newspapers and magazines diminished in number and eventually shut down. Then, the passing of both Recto and Bernabe in 1960 formally marked the end of the Golden Age of Philippine literature in Spanish. When Martial Law was imposed in 1972, the last Spanish daily, *El Debate*, was closed. In the years following, "no work of literary merit would come out except for the essays and short stories of Nilda Guerrero-Barranco and the poems of Federico Licsi Espino" (CCP 97). The glorious years of *hispanidad* had come to a close.

Evangelina Guerrero-Zacarias

Evangelina Guerrero de Zacarias was born on May 29, 1904, in Quiapo, Manila. Her parents were Don Fernando Ma. Guerrero, renowned Filipino lyricist, and Doña Remedios de Entrala. She began her primary schooling at the Escuela Catolica de Nuestra Señora de Guia in Ermita and later enrolled at the Centro Escolar de Señoritas, one of the prestigious educational institutions then.

Upon finishing high school in 1923, Evangelina applied herself to studying the great writers, reading about them and their works in her father's vast library. This inspired her to become a writer herself. Under her father's tutelage she began writing stories, poems, and short essays, the latter commonly known then as lyric prose. Shortly after her father died in 1929, she married poet Antonio Zacarias who later became Philippine Secretary of the Senate.

In 1935, she won the prestigious Premio Zobel, the literary award given to a Filipino writer in Spanish. Her entry was a book entitled Kaleidoscopio Espiritual, which was a compilation of her poetry, stories, and lyric prose.

She contributed to various Spanish newspapers and magazines like *El Excelsior, La* Vanguardia*, El Debate,* and principally, *La Opinion*, whose weekly journal published the works of the young poetess.

In 1947, she was elected to the Academia Filipina, the first Filipina to be accorded such an honor.

Her father's death and the horrors of the war left her in fragile physical condition. Her brother's – Dr. Tristan Ma. Guerrero – mysterious disappearance during the massacre

following the liberation of Manila in 1945 further aggravated her health. On April 11, 1949, she passed away (at the Sto. Tomas Hospital). She was 45 years old.

Although recognized as a fictionist, she also wrote poetry. Her poetry may be classified under any one of four themes: (1) love for Spain, (2) religion or love for God, and (3) love. The first group of poems had a tone of nostalgia and were reminiscent of Spain's old glory. Gratitude was expressed to the "mother" for bringing Christianity to the islands. The poems also lamented the loss of Spanish influence and expressed yearning and sadness for this loss – apparently showing an awareness of American influence which was swiftly seeping into the Philippine way of life.

The religion poems showed Eva's Catholic upbringing and her close relationship to God. In these poems, the world and life on this earth was portrayed as a dismal existence and the only light, solace and inspiration stemmed from her solid belief and faith in God. The tone was always solemn and the subject matter spiritual, reminiscent of the religious poetry of the Spanish Colonial period, yet her poems were neither moralistic nor didactic.

The poems on love contained a serious tone and depicted a more sorrowful aspect. Most revealed the disillusionment that followed after love left, full of grief and pain, and sent the message that real love was illusory. The poems seemed to follow the conventions of the secular lyric poetry of the Spanish Colonial period, particularly the poems of courtly love which extolled the virtues of humility, fidelity, and selflessness. Her poems are also reminiscent of the literature of early writers like Jose de la Cruz (Huseng Sisiw) and Francisco Baltazar for her recurring theme of unrequited love.

The tone of the nature poems was more joyful and celebratory, although distinct references to local scenery were not apparent. Mostly, the poems described the blossoming of nature, which is universal, and told these with a meditative atmosphere.

For the short story, Eva tried her hand at **prosa lirica**. The content of her works were similar to poetry in that it described nature or natural phenomenon. She used vivid imagery and metaphor to paint clear pictures. In keeping with the conventions of the form, she conformed to the use of flowery phrases when describing her subject matter. Sentiments were also explored, like sadness, or the pieces became philosophical and used symbolism. Her style was poetic and idyllic.

The characters of Eva's short stories had ordinary people and her endings were never happy. Similar to the other short stories written at the time, the writer's characters were placed in situations where they were confronted by the social, moral, and religious codes of Philippine society. She tackled such issues as adultery, friendship lost and regained, misperception of a situation, loss of a loved one, loyalty, mysterious identities, to name a few. In her poetry and lyric prose, Eva wrote of themes that were universal and from an objective perspective.

Nilda Guerrero-Barranco

Nilda Guerrero-Barranco, Eva's younger sister by two years, was another gifted writer. Her literary works appeared in various Spanish newspapers like *La Opinion*, *Nueva Ruta*, *Semana*, *Voz de Manila*, and *El Debate*. She wrote short stories, poetry, biographical reviews of leading personages of her time, and **prose lirica**; the latter was

her forte. Of the young writers towards the end of Philippine literature in Spanish, she was considered among the promising.

Nilda's lyric prose centered on abstract concepts like love, death, life, and the meaning of man's existence. Others reminisced her childhood and her sister Eva. She also explored human experiences like grief, disillusionment, or rebirth. Her writing style allowed readers to vicariously experience the moment or the feeling for she used vivid imagery, figurative language, metaphors, similes, personification, apostrophe, and symbolism to get her points across. Reading her works, one could also sense her fine perception of the musical rhythm of the Spanish language. The lines, the manner by which she described something contained a musical quality which transports the reader from the present to the particular moment and time she was sharing.

The nature pieces painted an idyllic, serene picture; her prose on love explored the disillusionment that followed on the wake of loving. In some works, she would become philosophical as she pondered life's meaning, existence, and the universe.

The influence of both Spain and Catholicism were evident in some of her writings as she described the Christmases of her childhoood. The amalgamation of the practices, customs, and traditions of both the hispanic and native cultures provided insight into the richness of both races. In itself, these descriptions revealed the love and pride for *hispanidad* and *filipinidad.*

Three themes were apparent in Nilda's poetry: *hispanidad*, *filipinidad*, and the Catholic religion. The *hispanidad* poems spoke of the nostalgic longing for Spain, regret for its passing, and the gratefulness for the legacies of Spanish culture and language. Gratefulness was also expressed for Spain's success in replacing paganism with

Christianity in the country. The tone of pride was evident when some pieces recalled that the Filipinos were the only Christianized people in the East. But sadness was also sensed as an awareness of the decline of Spanish influence was revealed in some poems. Loyalty, though, to mother Spain was avowed.

The *filipinidad* poems described the Filipino customs, traditions, and virtues which were so closely intertwined with Spain's. The important role of religion in connection to these traditional practices was also underscored. Aside from the virtues of the Filipino race, the beauty of the country was exalted and celebrated, as with its people.

The religion poems had four further sub-themes, namely: (1) the deep belief and faith in God, (2) the need for guidance as one journey's through this material world full of temptations, (3) the search to understand Christ's great sacrifice for mankind and to emulate Him, and (4) the realization that God's love is the only thing that remains constant and eternal.

Nilda's short stories, like Eva's, had ordinary people as characters struggling to live a decent existence despite Fate's or life's trials and tribulations. The stories were rendered realistic as the characters were placed in real-life situations which usually did not result in a happy outcome. They encountered desolation, despair, disillusionment, and hopelessness. From her stories it would seem that Nilda wanted to portray life as cruel and unfair.

Adelina Monasterio Gurrea

A contemporary of Eva and considered by many critics and writers of her time as an important, if not the first, Filipino poet in Spanish, Adelina Monasterio Gurrea's talent

was obvious from as early as eleven years when her comedy was staged at St. Scholastica's College. She was the recipient of many first prizes given by literary award-giving bodies both here and abroad like the Concurso del Casino Español, the Union Latino de Paris, the Premio Zobel, and Editoria Doncel.

Adelina's poetry had three major themes: nature, love, and country. Her nature poems were paeans to the country's rural beauty. In describing the sights and sounds, Adelina used vivid imagery to paint a very colorful picture of the countryside. She also described at some length the tropical beauty of the Philippines. Her lines contained a gentle musicality that contributed to the over-all feeling of contentment evoked by the poems. The images created were idyllic and romantic.

Adelina's love poems explored the range of experiences of falling in love and its different facets. The content ranged from pieces that idealized love, described the euphoria of first love, the disillusionment and disappointment at losing it, to the conflict between the heart and mind, to the essence of true love.

Her love and pride of country was evident as her poetry paid tribute to the country's beauty, virtues, and glorious history. She, likewise, honored the Filipina, her values and womanly charms, which Rizal so admired in Maria Clara, the symbol of the esteemed Filipino woman.

The short stories of Adelina, compiled in Cuentos de Juana, were reminiscent of traditional literature with its elements of supernatural beings, the little people, legends, and the relationship between mortals and underworld creatures, all which comprised the rich heritage of Filipin folklore. In the course of the narration, our native culture, customs, traditions, people's character, and hispanic influence were also shown. The

confluence of two cultures – pagan and Christian – was very obvious. The stories were also reminiscent of early works of the Spanish Colonial period which Christianized the native oral literature.

Adelina wrote one play which allegorized the historical relations between the Philippines, America, and Spain. It, likewise, aptly captured the characteristics distinct to each culture's people in each representative character: Tio Sam, who was brusque, businesslike, frank, and punctual; España and Filipinas, who were latercomers, laid back, nonchalant, and took to life in a sedate manner. In the final analysis, despite the differences and shortcomings of America and Spain towards the Philippines, Adelina portrayed the latter as a conciliatory individual who willingly forgave and forgot the wrongs done to her and remained a true friend to both.

CONCLUSIONS AND RECOMMENDATIONS

Conclusions

It is an error to assume that there were no Filipino women writers in Philippine-Spanish literature. There **were** major women writers in Spanish and they were Evangelina Guerrero-Zacarias, Nilda Guerrero-Barranco, and Adelina Monasterio Gurrea. It may be said they were the forerunners of Filipino women writers in English, Tagalog, and the numerous vernacular languages today. Basically, these three women wrote poetry, but also explored writing in the other genres. Evangelina was better known as a fictionist, Nilda's talent was in writing lyric prose, and Adelina also wrote short stories and even an allegorical play. Each woman, through her works, reflected the social, political, and moral issues of the time. Like their male counterparts they voiced in the lines and passages of their poems and stories the love for Spain, the Philippines, and mistrust towards America, the new colonial masters at the time. Likewise, these writers extolled the virtues of the Filipino race and the Christian influence on their lives.

Evangelina Guerrero-Zacarias, Nilda Guerrero-Barranco, and Adelina Monasterio Gurrea all lived during the period of American Colonialism. But they were also important writers during the Golden Age of Philippine literature in Spanish. As such, their writings conformed to the literary conventions, themes, and development of their time. Their works were paeans to *hispanidad* and *filipinidad*; their deep faith in the Catholic religion was also evident.

Recommendations

Guerrero-Zacarias, Guerrero-Barranco, and Gurrea were not the only women writers in Spanish. But they were the leading ones of their time. Many more voices have

not been heard nor recognized and it is these to which other studies of Philippine literature in Spanish can turn. The challenge to unearth more "foremothers" still exists. Thus, a thorough literary history of women writers in Spanish is necessary to complete the circle.

Likewise, since these women wrote in a language that is not used nor studied in our society anymore, a project to translate each writer's works into English and Filipino will help today's students, scholars, and teachers understand what they wrote about.

There is also the issue of feminism. Although the analysis of the writers' works did not use a feminist approach, it would be an interesting study to do. In short, their writings may be investigated by using the different feminist theories. Other literary approaches could, likewise, be applied to the reading of the works so that they could be further appreciated from different views or perspectives.

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Proceedings Submission

1. **Title: Between East and West: Art History, Definitions and Contemporary Iraqi Art**

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6. **Abstract:**

Since the so called "fall of Baghdad" and since Iraq has become a permanent topic in our daily news, I have come across few articles in the print media about contemporary Iraqi art and artists. Optimistically, I consider this a progress. It is about time that "Third World" countries are allowed a contemporary self-expression. Nevertheless, it is still too little. While the entire world rightly and fervently protested the looting of the Iraqi National Museum and the destruction of its content of ancient heritage, there was no mention in the media and very little discussion else where about Markaz Saddam lil-Funun, the Iraqi Museum of Modern Art, and its horrid fate. In fact, in these few articles I mentioned, there is a genuine element of surprise and confusion about how to define or evaluate this contemporary Iraqi art production.

Is it simply a problem of classification and definition, or is it one that transcends beyond? One could argue that it is in fact symptomatic of a larger problem in relation to the status and meaning of the modern production of visual representations in the region as a whole. The problem stems from a general misunderstanding of the aesthetic transformation of the twentieth century and the role of visual iconography in transforming modern Arab cultures, and in this case modern Iraqi culture. Modern Arab art is a field surrounded by controversy for both its name and nature. There are those who question the existence of an Arab culture altogether, and consequently object to the term Arab art. What they are really questioning thus is the identity of Arab art. In general, however, it is a neglected field, and the majority of Western art historians tend to ignore its existence. Those few who notice it would nevertheless still consider modern and contemporary Arab art as nothing but a linear continuation of Islamic art.

This paper will explore the logic and various issues behind art history's disregard of Modern Arab art. It will debate questions of why art history books end their discussion of Islamic art around the 17th century, and what happened in the 3 centuries that followed? With Iraq as the case in hand, it will examine possible related socio-political issues to the exclusion of its art, such as orientalism, colonialism, identity and Western hegemony. National identity of Iraq, in light of current debates of its validity as a nation-state becomes pivotal. Finally, through discussion of a number of examples, it will outline the aesthetic transformation during the 20th century, and will attempt to define modern Iraqi art.

Submission:

3rd Annual Hawaii International Conference on Arts and Humanities

Title: Dialectics of Physics and Religion: String Theory and Religious Faith

Topic area: Cross-disciplinary (science and religion)

Presentation format: Paper Sessions

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Submission for Paper Sessions

Dialectics of Theoretical Physics and Religion: String Theory and Religious Faith

Abstract:

In *The Fabric of the Cosmos* physicist Brian Greene makes the following striking observation about physics and its efforts to understand the reality of the universe: "It's hard to imagine a more mind-stretching experience than learning, as we have over the last century, that the reality we experience is but a glimmer of the reality that is."

For the rest of the book Greene does more than to explain and defend superstring theory to the non-specialist reader. In the process of mapping out the work of cutting edge theoretical physics, he in effect bridges the span between science and religion—*implicitly* if not explicitly. His focus is physics, not religion. But his elucidation reveals a bizarre area where the physical and the metaphysical overlap; where reality confounds experiential perception; where mathematical computations suggest that there may be eleven dimensions. In short: that reality may not be at all what we think it is.

Greene reiterates this from the first chapter where he reviews the evolution from classical Newtonian physics to Einstein's relativity to quantum mechanics on up to String theory. In an explicit reference that links string theory to the religious experience he notes that " . . . those who hold to religious principles that speak to a reality beyond human experience have. . . long since arrived at a similar conclusion" (Greene 5).

Those with a religious sensibility cannot help but take heart at such a concession. If the secularists of the Age of Enlightenment polarized science and religion, it is fascinating to observe how the work of some contemporary secularists bridges the great

chasm—however incidental that may seem to their own project. Research on photonics, for example, only reinforces the religious perspective that links God and light.

However, as religious scholar Huston Smith is quick to point out, science can never prove the existence of God, "as God lies outside its province." But he notes just as emphatically that what theoretical physics *can* teach us about light as a metaphor for God is quite "dazzling."

My paper explores the dialectics between metaphysical conceptions of God as light, and theoretical conceptions of light in string theory. It draws together Ernst Mach, Edward Whitten, Brian Greene, and other theorists in physics with St. Augustine, the hesychasts or Russian Orthodoxy, Huston Smith and a range of other Judeo-Christian writers. Ultimately they all share two traits: a willing suspension of disbelief, and the overriding conviction that "the reality we experience is [indeed] but a glimmer of the reality that is."

(1) title of submission: " **C. R. Mackintosh and His Influences upon the Arts in Early 20th-Century Vienna"**

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C. R. Mackintosh and His Influences upon the Arts in Early 20th-Century Vienna: U. Hawaii Humanities Conference Paper—January 2005

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Sometime in the late 1890's, two leading members of the Viennese art scene--Joseph Hoffmann (1780-1956) and Koloman Moser (1868-18)--made contact with Charles Rennie Mackintosh at the Glasgow School of Art. One reason could be explained by the adage "Seeing is believing." Mackintosh's monumental architectural achievement had caused a sensation in Glasgow as well as upon the Continent. Indeed, this interest in Mackintosh's masterpiece was not the first time that Vienna had registered interest in "things British." This interest by Hoffmann and Moser was, in fact, one in a continuum of interest which progressively minded Viennese in the art world had shown from the 1860's onward through the rest of the 19th Century.

One of the earliest visitors from Vienna was the artist Rudolf von Eitelberger (1817-1885), who had attended the Second International Exhibition of 1862 and, while he was there, the new South Kensington Museum, where he came into contact, not just with the ideas of the Arts and Crafts Movement, but with their practical application, especially through William Morris's new decorative arts-manufacturing firm, which had exhibited in the Exhibition a group of "medieval" painted furniture.

No documentation has surfaced to prove that Eitelberger had visited Red House at Bexley Heath in Kent, near London; but surely he at least had heard about it, then one of the hottest topics in architecture and decorative arts. Red House, built by Philip Webb for his friend William Morris and his new wife, Jane Burden Morris and decorated by William Morris himself (1834-1896) and his artist/artist-craftsmen friends, such as Dante Gabriel Rossetti (1828-82) had marked an important milestone for architecture and the decorative arts. This house demonstrated famously the principles of the new Arts and Crafts Movement in the production of a home for the middle class, designed as a coherent whole, inside and outside, and decorated with furnishings that were beautiful and practical and made with a high degree of craftsmanship according to processes and techniques used in the Middle Ages.

As for the South Kensington Museum, Eitelberger saw a national museum which celebrated Britain's national decorative arts--both man-made and machine-made. Eitelberger could not escape the effects of Morris's " new philosophy," which held that the artist/craftsman should enjoy the same kind of respect traditionally given only to "fine arts" practitioners; in the products of the Arts and Crafts adherents, Eitelberger saw that the museum gave the decorative artists a chance to be seen and the best among them prized.

Eitelberger returned to Wien and persuaded the militarily-minded Kaiser Franz Josef I (1830-1916) that the Habsburg Empire needed such an institution. Before the

decade closed, Eitelberger saw the completion, not only of his wished-for museum but also of the school that accompanied it. The architect was none other than one of the important Ringstrasse architects, Viennese-born Heinrich Ferstel (1828-1888). This building was one of three prominent education institutions to sit directly on or just off the prestigious Ringstrasse itself, the other two being the following: (1) the *Akademie der bildenden Kűnste* (1872-77) of the Danish-born architect, Theophil Hansen (1811-1891)—bastion of the fine arts on the Glacis just off the Ring, but visible from it; and (2) the *Universität* (1873-84), also by Heinrich Ferstel, directly on the Ring at Schottentor.

Following William Morris's ideas, Eitelberger announced a two-fold objective for his institution. First, it would be a teaching institution in which the students would learn about materials and construction techniques from original models. Second, for these models, he would draw from traditional models from the cultures within the Habsburg Empire, just as Morris had drawn upon native British traditions and models.

Eitelberger's school followed the arts and crafts development in Britain through other visitors, one of whom was the German Gottfried Semper (1803-1879), friend of Prince Albert, advisor to the Prince Consort in the planning of the South Kensington Museum, and later the co-architect, with the Viennese Carl Hasenauer (1833-1894) of the twin "*Hofmusee*n"(1871-91)--one for fine arts, the other for natural history--of the *Neue Burg* wing (begun 1879)of the Hofburg --the court's winter palace--, and for the new *Burgtheater* (1874-88) : all of the buildings on the prestigious Ringstrasse. Semper carried news of England with him to Wien.

From the 1880's onward, the Viennese learned of William Morris and the Arts and Crafts Movement through art journals, some associated specifically with specific arts and crafts organizations of the so-called "second generation" of the Arts and Crafts Movement. One of the most important journals was the <u>Hobby Horse</u>, printed according to high craft standards, and established in 1888 by Arthur Heygate Mackmurdo (1851-1962) for his Century Guild, which he had founded in 1882. Another extremely influential publication known all over Western Europe was <u>The Studio</u>, founded in London by Charles Holme in 1893 and edited by Gleeson White. This journal gave coverage to the established artists, such as Morris and Edward Burne-Jones as well as to previously unknown artists, such as Charles Rennie Mackintosh and the "Glasgow Four."

<u>The Studio's</u> first issue set the tone, carrying news about Morris & Co. and Edward Burne-Jones (1833--1898), who had done the cartoon for the "Star of Bethlehem" tapestry produced by Morris's firm; an article by Joseph Pennell praising "A New Illustrator: Aubrey Beardsley"; an article on gesso work by Walter Crane; and an article about "The New Glasgow School." Three years later, <u>The Studio</u> added a feature "Studio Talk" to increase its foreign circulation. <u>The Studio's</u> foreign

correspondents contributed from their respective posts in the major European capitals, including Vienna. Through *The Studio,* Josef Hoffmann, Otto Wagner, and Koloman Moser would have followed news about "The Glasgow Four"--Margaret and Frances Macdonald, Herbert McNair, and Charles Rennie Mackintosh (1868-1928) as well as Mackintosh in his solo flights, such as the Glasgow School of Art.

At the time that Mackintosh was building the Glasgow School of Art, a crisis was building in Wien at the *Künstlerhaus,* the society of Viennese artists, who owned and controlled the only large exhibition space in Vienna. A group of 19 young artists led by Gustav Klimt (1862-1918)--numbering among them Josef Olbrich (1867-1908), Josef Hoffmann (1870-1956), and Koloman Moser (1868-1918)-- wished to have exhibitions which would invite artists from outside the Habsburg Empire to join them. The well-entrenched, conservative, inward-looking element--some fearing that the competition might show them up or create "new tastes"—refused. So strong was the *Künstlerhaus*'s hold on the Viennese world of art that, as Thomas Howarth observes correctly: "the public was generally unaware of contemporary developments in the west" (Howarth, Charles Rennie Mackintosh and the Modern Movement. London/NY: Routledge, 1977, p. 150).

The *Künstlerhaus* had briefly relented in the spring of 1894 when they allowed an exhibition of British artists, among whom numbered: the Glaswegians D.Y. Cameron, Reid Murray, and Macaulay Stevenson; and the Londoners Alma-Tadema, Herkomer, and Leighton. This exhibition proved a catalyst for the younger artists, who pushed for more contacts with "the outside." In December 1894, the younger group unhinged the arch-conservatives by mustering enough votes to override them and to invite the revolutionary--and hence ostracized--*Münchener Secession* artists to exhibit in the *Künstlerhaus.*

The breach widened. On 3 April 1897, Klimt's group made a daring break from the *Küstlerhaus* and followed the inspiration of a similar group which had already established itself in 1892 in München as the "*Münchener Sezession*." Having no exhibition area of their own just yet, the *Wiener Secession*, with Gustav Klimt as President-in-effect and the veteran watercolorist Rudolf von Alt as Honorary President, made their debut at the Jubilee Arts and Crafts Exhibition during the spring of 1898 in the building of the *Gartenbaugesellschaft* on the Ringstrasse. In the meantime, through some extraordinarily good luck, the Secessionists were given what would become a prime location on the Glacis, that broad band of land which had lain just outside the old city walls--the same strip upon which the *Künstlerhaus* had been built in the 1860's. There, on the Glacis just west from and within sight of the *Künstlerhaus*, Josef Maria Olbrich (1867-1908) built the Secessionists' white cube topped with a cupola of gilded bronze laurel leaves--a revolutionary building in which they held their society's second exhibition a year later in November, 1898.

True to their principles, the Secessionists included foreign artists' works side-by side

their own from the very first. Walter Crane, Edward Arthur Walton (brother of (Georg), John Singer Sargent, Frank Brangwyn, and James Abbott MacNeill Whistler were invited to exhibit in the First Secession. Crane and several of these other artists would also appear in further exhibitions of the Secession. Successive exhibitions followed steadily.

Within the same time frame, Josef Hoffmann and Koloman Moser were to have travelled to Glasgow to visit the Glasgow School of Art and to plan for the Eighth Secession, according to Niklaus Pevsner, although he does not supply documentation of this visit in his article "Links with Britain," part of the Vienna Secession Exhibition Catalog. (London: The Royal Academy, 1971). The School's first section, including the entrance hall, had been constructed between year's-end 1897 and December 1899. Thomas Howarth speculates, instead, that Hoffmann might have met Mackintosh in München when Mackintosh was designing a dining room for H. Brückmann, editor of the influential periodical *Dekorativ Kunst*, if Mackintosh had gone to München during 1898, or thereabouts, to supervise the work (Charles Rennie Mackintosh and the Modern Movement, 2nd ed. London and NY: Routledge, 1977, p. 269). Certainly correspondence exists among Hoffmann, Mackintosh, and Moser; but exactly when the Austrians first met Mackintosh must remain, for now, as conjecture.

Mackintosh had already made architectural history through his widely publicized building commissions in Glasgow: the Martys' Public S chool (1895) with its small mullioned windows projecting in a bay down the entire front expanse of a half tower; the original door treatments of the Glasgow School of Art (1898-9) phase; competition won in 1896, plans published; construction in 1897-1909) featuring in this steel- and- concrete construction the Mackintosh rose and the geometrical forms that appear as identical sets of squares and rectangles of colored tiles that appear on each half landing of the east and west stairs; the Queen's Cross Church (1897), which featured the high-back pulpit, the design of which resembled the high-back chair designs that would appear in the chairs for Mackintosh's rooms that he would bring to the Eighth Secession and which would become a famous feature in Miss Cranston's Tea Rooms.

For their Eighth Exhibition, the Secessionists planned to showcase foreign artists, with a particular emphasis upon the Britons. The Glasgow Arts and Crafts Movement had its special place--the "Scottish Room," sometimes wrongly called "The Charles Rennie Mackintosh Room." Mackintosh certainly had a hand in its design; but the decorations and a number of the furnishings were the work of Margaret Macdonald Mackintosh, Frances Macdonald MacNair, and Herbert MacNair: "The Four," as they had become known in Glasgow. The "Scottish Room"—as the Viennese called it-- was painted entirely white and contained pieces of all-white furniture from the "honeymoon flat" of Charles and Margaret, which they had occupied at 120 Mains Street in Glasgow. Charles Rennie Mackintosh and Margaret Macdonald (1865-1933) had married on 22 August 1900. Some of the furniture

included in the Viennese exhibit were the large white cheval mirror, the large oak cabinets with leaded glass panels and metalwork, and two large gesso panels, which would decorate Miss Kate Cranston's Ingram Street Tea Room (after 1900): *The Wassail* by Mackintosh and *The May Queen* by Margaret. Frances and Herbert MacNair contributed watercolors, decorative beaten-metal pieces, a clock, framed book illustrations, and a wall cabinet. " The Four" also included pieces borrowed from friends. The February 1901 issue of Bruckmann's rt periodical *Die Kunst* contains a full pictorial account of this room.

The MacNairs remained in Liverpool, but the Mackintoshes went to Vienna to supervise the installation of their exhibit in the fall of 1900—something of an extended honeymoon. The art critic of the *Vienna Rundshau* praised the room for its "strength, purity, simplicity" and its reflection of a "vital expression of an idea." He saw "a Christlike mood in this interior" and praised a chair so notable in its simplicity that it "might have belonged to a Francis of Assisi" (cited in Howarth, *op. cit.* p.153). In *Altkunst-Neukunst* (1903; published Wien, 1909), The Viennese art critic) Ludwig Hevesi hailed the "Scottish Room" as "*ganz anders und eher mit dem Begriff des Sensationellen zu bezeichnen….Hier herrscht in der Tat die merkwürdigste Vermischung einer puritanisch strengen Gebrauchtsform…mit einer geradezu lyrischen Verflüchtigung jedes Gebrauchswertes….[in einer] ganz unenglishischer Phantasterei dort abgewiesen."*

From the very first, entries at the Secession exhibitions always proved controversial because of their radical departure in philosophy and content from what the Viennese public saw at the *Künstlerhaus* and heard from a number of their instructors at the *Akademie*, although assuredly not from all of them. Adding to the electricity surrounding the Eighth Secession exhibition was the personal appearance of Charles Rennie and Margaret Macdonald Mackintosh. Contemporary accounts describe their arrival at the *Westbahnhof* –the western rail station-- and their triumphal entry into Vienna, orchestrated by Secessionist artists and their students.

During the 40 years previous to the visit of the Mackintoshes in 1900, Vienna had undergone a radical transformation from a wall-locked capital city--the smallest area of that of any major capital city of Europe-- to a rapidly expanding metropolis, which not only had trebled its municipal jurisdiction but had radically altered its image. Before 1857, it had been essentially a medieval town with some significant baroque buildings crammed within its walls as space would permit-- such as the extensions to the Imperial winter residence itself, the Hofburg and those opulent town palaces of the Liechtensteins, the Esterhazys, and of the great general, Prince Eugene of Savoy. After the Imperial decree of 20 December 1857 ordering the demolition of the city's fortifications, Wien saw a building frenzy unlike that seen in any of the other major European capitals during this time.

When the Mackintoshes arrived, this building and expansion was continuing. They

could hardly miss the fruits of the "first stage," the official buildings on the Ringstrasse, behind which lay the new Secession building. Visible from the Secession, the Mackintoshes would have seen the first-stage Glacis buildings of the 1860's, the *Künstlerhaus* from which the Secessionists had resigned and next to it, Theophil Hansen's beautiful *Musikverein* (1869). To see the Arts and Crafts center of Wien, they would have traveled on the Ring to Heinrich Ferstel's 1869 building for the *Museum der Angewandte Kunst* and its school, the center for the applied arts and crafts in Wien. This is the institution the Rudolf von Eitelberger had insisted the Habsburg Empire should have after he had seen the Second International Exhibition-- as well as the new South Kensington Museum, and the work of William Morris and his decorative arts firm, Morris, Marshall, and Faulkner. Travelling toward the *Staatsoper a*nd just past it on the right, the Mackintoshes would have seen the new statue of Goethe by Edmund Hellmer which the *Goethe-Verein* had just installed in 1900 on the Ring outside of the Burggarten, facing the 1876 statue of Schiller set back from the Ring and directly in front of the *Akademie der bildenden Kunst* by the Danish architect Theophil Hansen (1876), another of the Glacis buildings opposite, in its rear, from the Secession.

Continuing in the same direction around the Ring, the Mackintoshes would then have seen the newly extended Hofburg—the *Neue Burg* wing-- under construction and opposite it the "twin museums" of the German Gottfried Semper and his Viennese partner, Carl Hasenauer: the *Kunsthistorisches Museum* and the *Naturhistorisches Museum*., the Mackintoshes would have encountered another *tour de force,* the newly installed new *Pallas-Athene/Parlament Brunnen* (1898-1900), designed by Hansen and sculptured by Karl Kundmann with assistance from Oswald Haerdtl in front of Hansen's *Parlament* of 1871-83. Following the Ring down to the *Donaukana*l, the Mackintoshes would have seen the construction under way for the last segment of Otto Wagner's rail system, which would see its completion along the *Donaukana*l to Heiligenstadt after only seven years of the construction of the entire system under the direction since 1894 of its chief artistic adviser and engineer, the brilliant, by-now-famous, Otto Wagner. In fact, it is highly unlikely that they would have missed a chance to walk along Wagner's elegant new *Kai*, finished in 1898 for the Kaiser's Golden Jubilee celebration and named--hardly surprisingly-- for Kaiser Franz Josef I.

To see what Wagner had already done on this remarkable and remarkably beautiful system, the Mackintoshes could have boarded a train on the *Wiental-lin*ie, which Wagner had already joined to the *Donaukanal-lini*e. They might have boarded the train the magnificent Karlsplatz stations directly in front of the *Künstlerhaus*. close to, and then clearly visible from, the *Secession*, In addition, the Mackintoshes might have walked along the *Naschmarkt* located across from the *Secession* on the newly covered-over River Wien and the rail tracks beside it to Otto Wagner's beautiful new station at *Kettenbrückengasse* on the *Wiental-linie* segment of the system finished, with the *Kai*, in time for the Emperor's 50th Jubilee.

Across the *Linke Wienzeile* from the *Kettenbrückengasse* Station finished in 1897, Charles and Margaret Mackintosh would have looked in amazement at three of Otto Wagner's revolutionary, brand new trio of apartment houses finished within the year of the completion of the station--the famous *Linke Wienziele* #40, the so-called "Majolica House" because of its ceramic-tile cladding and #38, the gold laurel decorations of which complement the laurel decorations of the Secession, only minutes down the street. The third apartment building around the corner on the short side street that intersects with the *Linke Wienzeile*. at *Köstlergasse* #3--less famous but no less important--joins #38, which has a second address, *Köstlergasse #1*. Otto Wagner had continued the laurel decoration on this building in the elegant wrought iron door guard, complementing the laurel decoration on #1 and aligning himself with the Secessionists. Wagner, in fact, had walked through that door many times; he had lived in *Köstlergasse* #3 and had his atelier there during his residence I the building.

Wien had never seen the likes of these colorful, flat-surfaced structures before. As could be expected, their colorful presence in the drab Wien-scene occasioned a cry of indignation. Furthermore, their building surfaces hardly resembled the baroque of "the time of good Maria Theresia," the stylistic norm against which the Viennese generally judged any new architecture . The Mackintoshes, I would speculate, would have loved these three apartment buildings and the new, elegant, modern gleaming white rail stations.

Boarding the train at *Kettenbrückengasse,* the Mackintoshes could have ridden to another showpiece on the line, just completed at Hietzing in 1899--the *Hofpavillon*, also called the "*Kaiser Pavillon*." This structure served as the rail station for the Kaiser and those of his guests coming to the summer residence across the road at *Schloss Schönbrunn*. Otto Wagner had designed this showpiece with the collaboration of the chief of his 70-man drafting office, Josef Maria Olbrich, architect of the Secession, before Olbrich left Wien for Darmstadt in 1899. This building made part of an ensemble of three structures: itself, the Hietzing rail station and the *Kaiser Franz-Josef-Brücke*. Contributing to the building and decoration of this building--like the *Secession* building, a simple cube topped by a cupola--were more than 30 Austrian firms, most of them located in Wien. It was one of Wagner's *Gesamtkunstwerke*--just like all of his structures---whether for public or private use-- in which everything was planned proportionately to harmonize. Inside and outside, Wagner related all parts related to the whole ensemble.

As in all of his other buildings, Wagner used new building materials such as iron; but he also turned structural materials, such as pillars and carriageways, into the building's decoration. Here, the Mackintoshes could see the elegant lamp standards and the iron carriageway, for which Wagner had not covered the structural material with cladding. This touch continued Wagner's practice at *Karlsplatz*, dating from the

previous year, for whose stations Wagner had allowed the structure's skeleton to form part of the finished building. For these exterior decorations, Wagner's by-words were "function" and "beauty," never one without the other.

The Mackintoshes could have continued up the *Wientallinie* route to *Hütteldor*f and then switched to the *Vorortelinie*, stopping along the way to admire some of the beautiful two-storey stations along this route, such as the stations of *Gersthof*, *Ottakring,* and *Hernals*--the only ones that now remain. From *Heiligenstadt,* the Mackintoshes would have had only a ten-minute walk to another of Wagner's showpieces, the stunning *Nussdorfer-Weir (* dam) intended as a ceremonial gateway as well as a thoroughly functioning flood-control site consisting of administration building, bridge, and maintenance building. The dam's operations were also inaugurated during the Kaiser's 50th Jubilee year. The *Nussdorf* complex was the first of the two flood-control projects on the *Donaukanal* and the most important for the control of the water so that the rail line planned to run next to the canal could be built without fear that the rail beds would be flooded.

So in the fall of 1900, Charles Rennie and Margaret Mackintosh added their own excitement to the excitement already around them in the city. Exactly when they met Otto Wagner, no one has yet to provide a document; however, given the fact that Wagner himself had resigned from the *Künstlerhaus* and had joined the Secession in 1899 and, given his personal and professional connections with Hoffmann, Moser, and Olbrich at the Secession and in their Viennese style café-culture meetings, it is highly unlikely that the Mackintoshes, given their mutual acquaintance with Moser, Olbrich, and Hoffmann, would not have at least met the genial, hospitable Otto Wagner, who was also a close follower of the Arts and Crafts scene in Britain.

For example, as a prelude to the Mackintoshes' arrival, Wagner would surely have seen an article on "Scottish Artists," published as an anonymous article by Alexander Koch in the November 1898 issue of *Dekorativ Kunst*. This publication was widely read in the Germanic art circles and available in Wien. Now, during the preparations for the Eighth Secession Exhibition, Wagner would have had first-hand contact with two of the major exponents--an opportunity I think he would certainly not have passed by.

The Eighth Secession weighed in as a huge success. Utterly predictably, the *Künstlerhau*s-connected segments of the popular press were all too ready to play down the influence of the foreigners. Some subsequent commentators also assert that the Mackintoshes left not much of a lasting impact upon the Viennese. Others see the Mackintoshes as adding little to the art world in Wien from what was already there or in progress. In contrast to the super-florid lines of *Jugendsti*l/ Art Nouveau in works of such artists as the Belgian Victor Horta, Koloman Moser and Josef Hoffmann both had exhibited furniture having geometric shapes and decoration in the *Münchener Secession* Exhibition of 1899. In that same year, Otto Wagner's

***Hofpavillon* and all of his white-interiored/exteriored rail stations had demonstrated again Wagner's concern for the William Morris-connected *Gesamtkunstwerk* principle. The Mackintoshes' all-white interior at the Eighth *Secession,* in which all furniture and fixtures were designed for the total impact, might have been different to look at; but the idea of total harmony was not new. Still, the Mackintoshes' room underscored new principles in interior decoration already manifest in Wien, including Wagner's all-white, flat-surfaced rail stations. All the same, Charles Rennie Mackintosh's simple, flat-white furniture was certainly not common. In fact, it contrasted markedly with the heavy, dark Biedermeier interiors so prevalent and favored in Wien and with the dark-wood furniture that Otto Wagner had designed for hisrail stations and his houses date, such as the furniture for his residence in *Köstlergasse* 3 (1898). Mackintosh's simple, geometric designs had already been anticipated on Austrian soil by Josef Hoffmann, who had taken some of his cues from the furniture of William Morris, C. F. A. Voysey, and the English Arts and Crafts Movement; however, Mackintosh's use of them called this idea to a fresh attention.**

Prominent Mackintosh touches, such as the use of the square, soon transferred into the vocabulary of Viennese architecture and decorative arts. Not that the geomentric forms had not already appeared in Viennese architecture. They had, as a look at some of the geometric motifs on the exterior of Olbrich's revolutionay *Secession* building reveals. Here, too, though, judging by similar motifs on the side of the *Secession* building. one can wonder whether Olbrich may have been somewhat influenced by the widely published designs (1896) of Charles Rennie Mackintosh's Glasgow School of Art, which had shown the use of the elevated, ,colored ceramic rectangle and square tiles.. However, beyond doubt, Mackintosh had certainly left his mark on Vienna after the Eighth Secession, and the geometric forms had found at least kindred spirits in Vienna, indeed enthusiastic exponents. Soon after Mackintosh's departure, for example, Josef Hoffmann began to make the square-- so much a part of Mackintosh's various designs for interiors, exteriors, and furniture-- a part of his own identity as a designer:, so much, in fact, that he soon earned the name "*Quadrat Hoffmann*."

Detractors are also quick to point out the fact that Viennese furniture-makers did not copy Mackintosh pieces for the market after the Eighth *Secession* and that while in Wien, Mackintosh had not gained a prodigious number of commissions--prestigious or otherwise--from the Austrians. The commissions were admittedly few--the famous commission for the Music Room of Fritz Wärndorfer's villa in *Höhe Warte* being the most significant. Besides the pieces that Hoffmann and a few others had bought, Mackintosh did not sell many of the pieces which had decorated his exhibition space., either In fact, the Mackintoshes packed most of the "Scottish Room" shown at the Eighth Secession and returned with it to Scotland. Whether or not furniture sales and commissions were forthcoming, however, the influence of ideas not only by direct contact but also through publications, is certainly not to be

discounted. Negative criticism notwithstanding, the Mackintosh influence was nonetheless important to the world of decorative arts in Vienna.

With respect to the art journal publications and the Eighth Secession exhibition of 1900, the elongated figures of the Macdonald sisters' posters for the Glasgow School of Art exhibitions and for The Scottish Musical Review published in The Studio and elsewhere from 1896 onwards had already become famous. They appeared in person in Vienna in Margaret Macdonald's gesso panel " The May Queen" exhibited at the Eighth Secession. This attenuated- lady type found its way into posters by Koloman Moser and Josef Hoffmann for other Secession exhibitions, such as Moser's poster for the 13th Secession. Moser had also decorated the inside of some of his cabinets—one in 1900, another in 1902--with "Spook School" female figures. The "Spook School"- ladies type, with the elongated, trailing bodies, also began to appear increasingly in works by Gustav Klimt, such as the swimming, elongated female figures in the background of Klimt's *1902 Beethoven Frieze.*

Further, even though Moser and Hoffmann had both begun to use geometric forms, notably quadratic forms as a reaction against the "tendril style" of the French and the Belgians--before Charles Rennie Mackintosh exhibited at the Secession--, one might question the assertion that the geometric-tendency phenomena had occurred almost as a "simultaneous invention, " maintaining that when Mackintosh exhibited, his plain style reinforced the directions already taken by Hoffmann and Moser at both the Secession and at the *Kunstgewerbeschule*, where they were teaching, thanks to Felician Myrbach.

The fact that these geometric forms appeared in Josef Olbrich's *Secession* building certainly demonstrated the fact that the Viennese artists were already connected to a style that was *avant garde*--a new direction that was no longer inward-looking as had been the *Künstlerhaus* philosophy, but outward-looking and connected with a world that lay outside of the Habsburg Empire. That factor might just have owed something to the power of the image through the widely known art publications such as The Studio in which the Viennese would have seen Mackintosh's revolutionary and prominent use of quadratic forms.

Within five years of the Eighth Secession Exhibition, through the achievements of Secession artists--notably those associated with Gustav Klimt, Josef Hoffmann, and Koloman Moser--, Wien went from being a provincial "back water," whose artists were scarcely known outside of the Habsburg Empire, to a recognized European leader in the decorative arts, whose artists were known throughout western Europe, not only through Secession exhibitions but through the newly established *Wiener Werkstätte,* founded in 1903 by Josef Hoffmann, Koloman Moser, and the financier Fritz Wärndorfer on the inspiration both of William Morris' Arts and Crafts Movement and Morris's operations not only at Queen's Square and Merton Abbey, but at Kelmscott House, plus C. R. Ashbee's Arts and Crafts operation, which both

Hoffmann and Wärndorfer visited in the East End of London in the 1890's. Within the first two decades of the 20th Century, the *Wiener Werkstätte* products became known not only in Vienna, but in parts of Europe and in the United States as well as throughout the Habsburg Empire.

Even after the Mackintoshes left Wien at the end of the year 1900, they continued contact for awhile with Josef Olbrich, Kolo Moser, and Josef Hoffmann. Mackintosh had a particularly friendly relationship with Olbrich, continuing after Olbrich left Vienna for Darmstadt in 1899. Although Charles Rennie Mackintosh was a prophet not honored well within his lifetime by either Scotland—until very recently-- or England, artistic centers in Europe--particularly Germanic ones-- held him in high esteem. For the Secessionists and for Myrbach's new directions at and for the *Kunstgewerbeschule,* Margaret Macdonald and Charles Rennie Mackintosh--arriving in Wien with their panache and the manifestations of their considerable talents in the field of decorative art-- had come at exactly the right time.

Although they returned to Scotland never again to return to Vienna, the Mackintoshes' influence continued. The painted and stenciled quadrats and punched-quadrats using both positive and negative space which Mackintosh used on buildings, on furniture and in the Glasgow School of Art library lamps began to appear in *Wiener Werkstätte* silver, particularly in designs by Josef Hoffmann, calling very much to mind the C. R. Mackintosh square grids of the windows and the wall stencilling at the well-publicized Hill House (1902), in the designs for the *Haus eines Kunstfreunds* (1901) published by Alexander Koch—the publisher of the widely read and highly influential periodical *Deutsche Kunst--* in *Zeitschrift fur Innendekoration* in 1902, on Mackintosh furniture exhibited at the Eighth Secession, on the famous hostess's chair of the Willow Street Tea Rooms and the window grids of these tea rooms (1903)—all well publicized. The grid would also appear on the lower storey of Otto Wagner's *Schützenhaus* (1908), the control house for the second-stage flood-control project on the Donaukanal. In fact, this door and its wings resembles one of Mackintosh's winged cabinets. Although some might argue that this idea was one that the Viennese could have adopted from Japanese art and design as had Mackintosh, Mackintosh had made these ideas vehicles of his own, and his adoption of these ideas were concretely realized and tangible not only in the Secession exhibition but through the photos and drawings published in British and Continental art journals. The connections between subsequent Viennese productions and those of Mackintosh are too close simply to assign a common Japanese origin as the sole inspiration for the Viennese architects and designers.

The punched square-metal decoration would adorn the lamps marking either side of the main entry at the *Zentralfriedhof-Kirche* Mackintosh's geometric grid designs, punched and painted in metal and wood, especially in black and white, became popular in Vienna especially through Hoffmann and Moser, in both punched metal and wood and in checkerboard designs—and then among Wiener Werkstätte

artist/craftsmen, that they virtually became a hallmark design of this organization's products as much as they had already become associated with Charles Rennie Mackintosh, to a point that the "outside world" seems to have forgotten about Mackintosh. Among many examples would be Moser's white chair with the black-and-white checkerboard seat designed for Hoffmann's *Purkersdorf Sanatorium* (1903), a wooden checkerboard-decorated plant stand of the same year and a punched-silver *jardinière* (1904) . Also in 1904, Hoffmann would produce a white, square-punched metal plant stand. Another example would be Hoffmann's own prominent use of the squares and squares-within-a grid at the *Purkersdorf Sanitorium*. The punched-metal flower vase of Otto Prutscher (1880 -1949), which resembled some of Hoffmann's own punched-metal silver items as do his quadrat-decorated glasses of 1905-07, provide still other examples as does the checkerboard design on a red glass vase of 1905 by Jutta Sika (1877-1964), following the idea on some of Hoffmann's glassware. Obviously the patrons in Vienna and elsewhere liked what they saw because the *Wiener Werkstätte* continued to produce objects with these designs. Then, too, these items became the new rage in decorating, so "everyone" had to have some.

The raised-square decorations of Mackintosh's first-phase Glasgow School of Art (1896-7) and then shortly thereafter at the Scotland Street School (1903-1906—again, well-publicized) appeared prominently as a decorative motiv on the towers and dome of Otto Wagner's *Kirche-am-Steinhof* (1903-1907: plans-to-execution of the exterior and much of the interior) and the showcase, "copy-cat church" dedicated to St. Carlo Borromeo by Max Hegele and situated prominently at the head of the principal a*lleé* leading from the main gate to the showpiece center of the *Zentral friedhof (1907-9*). They also appear on the balustrades of the rear staircase to the *Kassenaal zur Effektenverkehr* of the *Dominikanerbaste*i-stage (1910-12) of Otto Wagner's *Postsparkasse (* Postal Savings Bank—" PSK").

The rectangles-as-outlining decorations became principally associated with Josef Hoffmann in Vienna, but the patterns had also been a well-publicized feature of Mackintosh before Hoffmann began to use them in abundance. They were also apparent in Mackintosh's work exhibited at the Eighth Secession and in the widely publicized Willow Street Tea Rooms (1903). These features were not just in the works of Hoffmann but apparent in those of Otto Wagner as well. In Hoffmann, the blue geometric outlines are an inherent feature of the exterior of Hoffmann's famous *Pürkersdorf Sanatorium*. They are also a prominent feature of two of Otto Wagner's last apartment blocks in Vienna at *Döblergasse 4* (1911-12) and its adjoining *Neustiftgasse* 40 (1909-10), the surfaces of which Wagner punctuated with rectangles of blue *(Döblergasse* 4) and black (*Neustiftgass*e) glass. Wagner also outlines the flat surfaces of the N*eustiftgasse* building with squares of black. In the same time period of these apartment blocks, Wagner used similar decorative elements on and in the *Lupus Pavillon* (1910-13) at the *Wilhelminenspital* (hospital) that he designed. Blue glass rectangles and squares decorate the flat, white surface of the exterior. On

the white pillars and walls inside the lobby appear more blue outlines, some quadratic outlines and some elongated forms adapted from geometric figures. In addition, similar kinds of blue geometric motifs decorate the white surface of Wagner's second villa in *Hütteldor*f (1912). They also appear at the top of the central gable the Wagner's *Schützenhaus;* **and, in a less accessible place, they decorate the upper level of the rear of the first segment of Wagner's PSK (1903-06).**

The quadratic windows so much a staple of Hill House, the Glasgow School of Art and the subsequent plans for the *Haus eines Kunstfreundes*, the Willow Street Tearooms, and the Scotland Street School would become a prominent feature at Hoffman's *P ürkersdorf Sanatorium*, both for door and window treatment. Mackintosh's quadratic-grid windows notably the bayed grid-pane windows would show up in the middle of Vienna in the prestigious *Kohlmark*t on the *Artaria Haus* ((1900-2), built by of one of Otto Wagner's prize students, Max Fabiani (1865-1962), and on the even more prestigious Michaelerplatz, directly across *from the Hofburg—the* Imperial winter residence—on Adolf Loos's *Goldman and Salatsch* building of 1909-10. Loos (1870-1933), architect and writer on the arts, championed openly and enthusiastically of things British in his writing, Mackintosh not excluded.

Quadratic decorations also appear on the exterior of Hoffmann's Moser-Moll villa at *Steinfeldgasse* 4 (1900-1). Another a notable decorative motiv of Mackintosh is that of the units of squares grouped within a square, as seen in Mackintosh's Hill House wall stencils, fireplace mosaics, and furniture, and the colored ceramic-square groupings on the walls of the Glasgow School of Art and the Scotland Street School. In Vienna, Otto Wagner adapts this idea of the quadrats-within-a-quadrat to the decoration prominently on the walls of the entry to and the interior of the *PSK*'s *Kassensaal zur Effeksverkehr* . Mackintosh's famous black-and-white clockfaces for the Glasgow School of Art and Hill House, especially the one for the Willow Street Tea Rooms, might have provided Otto Wagner an idea for his famous clock in the same *Kassensaal* of the *PSK.*

As something of a return favor, Mackintosh seems to have adapted Otto Wagner's famous door of his *Wagner Villa II* to the door of his remodeled 78 Derngate (1916). The inset jamb, graduated-step structural feature of Wagner's door might have even have owed something to the western-entry stage (1907-09) of Mackintosh's Glasgow School of Art, which exhibits such a prominent feature. Pages from Owen Jones' <u>Grammar of Ornament</u> might have had a part in the decorative elements of this door. However, prominent elements, such as the decoration of contrasting inverted triangles designed by Wagner in collaboration with Leopold Förster and the *Wiener Mosaic-werkstätte* seems to me too close for mere coincidence, for these and other motifs of Wagner's door—including the blue-and—white color scheme appear so similarly on the 1916 door of Mackintosh's 78 Derngate. Mackintosh also used the inverted-triangle design motifs for tiles decorating the staircase in this same building.

In addition to the quadrats in various media and formations, another famous Mackintosh motif began to grow in Vienna : the "Mackintosh Rose." This design was prominent in the Mackintoshs' furniture and decorative panels that they had brought to the Eighth Secesson to Vienna, reinforced by Mackintosh's drawings for furniture and decoration for the *Haus des Kunstfreundes*, furniture for Mackintosh's "Windy Hill" house at Kilmacolm (1901) and " Hill House." So popular did this design become in Vienna that it also began to appear on up-to-the-minute-of-fashion mass-produced tombstones in highly prestigious cemeteries such as *Maurer Friedhof* and those not so prominent but that would follow high fashion, such as the *Kagraner Friedhof*, in all areas of the city. It was an especially striking combination when carved and painted gold on expensive traditional stele or obelisks in black marble.

One can hardly find Otto Wagner, Kolomon Moser, Gustav Klimt, Josef Hoffmann, Max Fabiani, or Josef Olbrich wanting in artistic abilities or inventiveness. However, just as Michelangelo drew upon the works of earlier masters such as Donatello and contemporaries such as Verrocchio, and Domenico Ghirlandaio, so also did these Viennese decorative artists and architects draw upon ideas around them, including those in their midst in person through highly influential publications such as The Studio and *Dekorativ Kunst* and exhibitions at the Secession and the contacts with foreign artists such as Charles Rennie Mackintosh and colleagues of "The Glasgow Four. Charles Rennie Mackintosh's use of geometric decoration, particularly the square, of punched and stenciled geometric forms and color accents on flat surfaces—particularly black and white--, struck a chord with the turn-of-the-century Viennese. In " In Memory of W. B. Yeats," W. H. Auden observed in this elegy that the poetry of Yeats would continue its influence after Yeats' death, not only as itself but also " modified in the guts of the living.." So it was with the revolutionary ideas of Charles Rennie Mackintosh in the fields of architecture and interior decoration as they became modified by the respective creative geniuses of the revolutionary art scene of the *Jahrhundertwende* at the Secession and into the early 20th-Century in Vienna, especially through the various projects realized by Gustav Klimt, Adolf.Loos, Otto Wagner, and the artist/craftsmen of the *Wiener Werkstätte*

Hawaii International Conference on the Arts and Humanities
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Proceedings Submission

1. Title of Submission: *The Woman Warrior*: Walking the Tight Rope of Cultural Identity
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6. Abstract of Paper:

Critics have charged Maxine Hong Kingston with catering to a Western audience by Orientalizing (through the narrative device of Othering) her ethnic-Chinese characters in *The Woman Warrior*. I argue against these critics' claims citing several other Saidian narrative devices which are crucial to Orientalizing and missing from her text. Additionally, I show that Kingston uses these same narrative devices to negatively portray Westerners (Occidentalism) and suggest that the theory of Occidentalism warrants further exploration. I conclude that Kingston's treatment of both Asians and Westerners are crucial to a fuller understanding of the text as a record of her struggle between the binaries of norm and Other, and that *The Woman Warrior* offers the reader an alternative to these destructive dialectics.

Why Is Grammar A Dirty Word?

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Why Is Grammar A Dirty Word?

1. What is Standard English?

The dialect of the educated middle class (Ebbitt and Ebbitt 254)

A "prestige variety" of the language that has been codified (Graddol, Leith and Swann 25).

It is not more logical, consistent or unchanging than any other dialect. The dialect someone speaks can be a source of ridicule and shame. No wonder grammar is a dirty word.

2. It has not always been so.

English was standardized only a few hundred years ago as part of socioeconomic changes. It became a marker for class (McCrum, Cran and MacNeil 272).

3. What is really correct and where can I find it? Linguistic studies over the past fifty years have shown that traditional grammar is deficient because many of the "rules" are based on Latin and English is not a Latin-based language (Williams 51-52).

Traditional grammar prescribes what is "correct," what people "should" use.

Descriptive grammar encourages us to describe to our students what is accepted as Standard.

Rhetorical grammar instruction "emphasizes grammar as a tool for articulating and expressing relationships among ideas" (Micciche 720). Understanding rhetorical grammar means understanding the grammatical choices available to you when you write and the rhetorical effects those choices will have on your reader (Kolln 3).

4. Studies about grammar instruction and writing improvement show no correlation between the two (Williams 45-47) (Noguchi 2-4).

5. The <u>absence</u> of grammar instruction has not produced better student writing either so some are calling for a "grammar revival" (Micciche 717).

6. Grammar should be taught in the context of student writing. Selecting the "errors" that are most common and identifying the needs of students can help us focus grammar instruction on writing and help students become better editors of their own writing (NCTE Guideline) (Weaver 3).

7. Understanding the socioeconomic and linguistics realities behind grammar's power leads us to teach students how to use that power for their benefit not their demise. Grammar doesn't have to be a dirty word!

Why Is Grammar A Dirty Word?

What is Standard English?

Even for English majors, the G-word is intimidating, difficult to define and a mystery to explain. Very few of my students can define Standard English. To explain it, I describe this scenario. Imagine you come to class next time and there is no one else here except for two students you have never seen before. You wait until 15 min. after class is supposed to start and still no one else comes. You turn to one of the others and say, "Where's the teacher?" The student says, "Teacher gone but she be back soon." You look at the other one and she shrugs and says, "It don't make me no dif'ernts." What thoughts are going through your mind?

Some one usually laughs and says, "I'm thinking I'm in the wrong class." I ask "Why are you laughing? Did you make a judgment about these students' background, intellect and possibly even value based on the language they were using? Are those valid judgments?" I want my students to learn two things: 1. It is an invalid judgment to measure someone's value based on the dialect they speak. 2. We all must defend ourselves because the world will judge us on that very criteria.

I then explain to them that the first student in the scenario was my lame attempt at Black English. The second one was my roommate from the Texas panhandle who was a university student and often misjudged because of her dialect. We all speak a dialect or a variety of a language. Standard English is the dialect of the educated middle class. Because they have the money and power to do so, it is labeled as the "correct" or standard choice (Ebbitt and Ebbitt 164). That is the only reason it is labeled as such because it is not more logical, consistent or unchanging than any other dialect. English is particularly inconsistent because its history includes influence from so many different languages and forces. It is important that students understand these linguistic realities.

According to Gaddol, Leigh and Swann, Standard English has been described as a "prestige variety" of the language, "a variety with agreed norms and conventions that can be used as a model for education and for public use" (25). To be accepted into the educated class, one must be able to speak and write Standard English. Language is used to mock, stereotype and deride. That is not something that I personally agree with but it is a reality of the world. That's one reason for some people to feel that grammar is a dirty word.

It has not always been so.

Linguists now know that the standardization of English occurred only several hundred years ago. In Shakespeare's time many different dialects and accents were accepted without judgment. There were no rules governing what was standard. Spelling was creative and diverse. Shakespeare himself spelled his own name several different ways. With the Industrial Revolution and upward socio-economic mobility, people looked for ways to distinguish themselves from a lower class status. Birth was no longer the key to status. Language was mysteriously and over time chosen as the marker for class. The dialect spoken in the Royal Court was chosen as the "correct" or Queen's English. People rising in socioeconomic class created a market for dictionaries and grammar texts. The first such texts were the source of traditional grammar that some still subscribe to today. They were based on Latin grammar but English is not a Latin-based

language. It is Teutonic (Graddol, Leith and Swann 164).

Latin-based grammar has been the source of numerous "rules" such as "never end a sentence with a preposition." That is a valid rule for Latin but has no application for English (Williams 51-52). Because traditional grammar does not explain all the intricacies of Standard English, numerous other grammars have been suggested, such as phrase-structure grammar, transformational generative grammar, and cognitive grammar. However, each of these has been criticized for failings as well (Williams 225).

What is really correct and where can I find it? Linguistic studies over the past fifty years have shown that traditional grammar is deficient (Williams51-52).

For some time I used the analogy of a blueprint to define grammar and I told students that it shows us the structure of the language. However, I have realized that this is a false analogy because a blueprint is usually drafted before the building is constructed and the building usually matches the blueprint with some degree of exactness. In contrast, language is a naturally occurring phenomenon. No one is in charge of the seemingly random changes and numerous contradictions to "rules." As students of language, we attempt to classify the parts and functions of this natural force. A better analogy would probably be the scientific classification system used by biologists to classify all living organisms. The rich diversity of the biosphere is also complex and a challenge to categorize. Linnaean Taxonomy is continually being modified and reconsidered, especially in light of Darwinian principles and new insights into the study of DNA. Biologists try to classify all organisms into kingdoms, phylum's, species, etc. Grammar is a system we attempt to use to explain language and how it functions. Just as scientific classification has certain organisms that are difficult to fit into a group, such as viruses, we struggle to find a grammar that actually explains the language and reflects new linguistic insights..

There is no one magic text to tell us what is "correct." As Ebbitt and Ebbitt tell us, "In fact, there's disagreement, in dictionaries, English texts and books on language etiquette, about a good many usages" (254). In addition, what is considered standard is constantly changing. The only language that doesn't change is a dead language. Instead of insisting on prescribing what language should be we can describe **what is accepted** as standard (Williams 53-54).

Over the past fifty years, linguists have proposed various other grammars. We know their names and many have died in infamy: phrase structure grammar, transformational generative grammar, cognitive grammar, etc. A rhetorical approach to grammar can help students make sense of this crazy language. Consider audience and purpose when making grammatical choices. Knowing the choices and their effect on a particular audience can help students to choose what is appropriate and communicate more effectively (Kolln 3).

Studies about grammar instruction and writing improvement show no correlation between the two. Noguchi cites ten studies with these same results and quotes Braddock as stating:

> In view of the widespread agreement of research studies based upon many types of students and teachers, the conclusion can be stated in strong and unqualified terms: the teaching of formal grammar has a negligible or,

> because it usually displaces some instruction and practice in actual composition, even a harmful effect on the improvement of writing (2).

Williams agrees, "Such studies make it clear that grammar instruction has no demonstrated positive effect on the quality of students' writing" (47).

The absence of grammar instruction has not produced better student writing either so some are calling for a "grammar revival." As Micciche points out, "The absence of a sustained contemporary conversation about grammar instruction at the college level does not eclipse the practical reality that nearly every writing teacher struggles with at one time or another: how to teach students to communicate effectively" (717). Educators and employers still cry for better writers. Researchers at the University of Nebraska report, "For five consecutive years (1998-2002) employers and college professors remained broadly dissatisfied with the English language skills of young people entering jobs and higher education (the 2003 survey results are not available yet). Some three out of four said that today's high school graduates have just fair or poor skills in grammar, spelling and the ability to write clearly (qtd. in Anderson and Sashadri).

Grammar should be taught in the context of student writing. Selecting the "errors" that are most common and identifying the needs of students can help us focus grammar instruction on writing and help students become better editors of their own writing. Noguchi, Weaver and the NCTE Guidelines all agree that the grammar instruction should be focused and integrated into editing students' own writing. From the NCTE Guidelines we find two suggestions:
"The first is to be selective, to the extent that you can. Students benefit much more from learning a few grammar keys thoroughly than from trying to remember many terms and rules. . . . The second suggestion is that whatever approach you take to grammar, show students how to apply it not only to their writing but also to their reading and to their other language arts activities."

Understanding the socioeconomic and linguistic realities behind grammar's power leads us to teach students how to use that power for their benefit, not their demise. Our goal as teachers can be to help students make language choices that are appropriate for a given audience and purpose. Kiel clarifies our role as teachers, "Language is learned when we are exposed to, and engaged with, meaningful language, not because we are taught. So, as Frank Smith (1994) and many others have said, maybe we should spend more instructional time not on instruction, but on giving the students a chance to interact with language in a meaningful way: though reading and writing for an audience. It is through such contact that true language learning takes place" (15).

It is also my goal to encourage students to use the power of language as moral and socially responsible human beings, avoiding prejudice and ridicule against other people's language choices. The idea of "deficit linguistics" or to believe that some dialects are inherently inferior to others is just as reprehensible as to believe a certain class of people is inherently inferior. This understanding, not just correct grammar, can be the mark of a truly educated person. Grammar doesn't have to be a dirty word.

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"Becoming What Your Already Are" or "Becoming What You Can Be"
Laozi and Aristotle on the Cultivation of Virtue

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Both the *Daodejing* of Laozi and the Aristotle's *Nicomachean Ethics* have exerted tremendous influence on the ethical and cultural traditions of the East and the West yet with respect to the issue of living well as a human being by becoming virtuous these two classical works apparently present two radically different views. For Laozi a human being becomes virtuous by realizing what he or she *already is* by nature whereas for Aristotle a human being becomes virtuous by becoming what he or she *can be* by nature. In this paper I will examine and compare the notion of nature (*ziran* and *phusis*) in the *Daodejing* and the *Nicomachean Ethics* to show how the differing views of nature ground both the obvious differences and the surprising similarities in their authors' understanding how we human beings can become good.

a. **The effect of taking distance and position of camera on emotion in photographs**

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ABSTRACT

In portrait photography, people can deliver certain emotion by choosing a taking position. To investigate the variation of emotion depending on vertical and horizontal of camera and distance between camera and subject, an experimental study was performed. The stimuli were taken in standard setting using three techniques: (a) distance; short, middle, long, (b) vertical position; high, central, low, (c) horizontal position; right, front, left. Observing the photographs, people rated their emotion on positive-negative, static-dynamic, light-heavy dimensions with 7-point scales. The results show that long distance tends to occur light feeling, high camera position makes positive feeling, and frontal view shift the feeling static.

Submission for the 3rd Annual Hawaii International Conference on Arts and Humanities

Title: The Metaphor of Indra & the Significance of the Prologue in August Strindberg's *A Dream Play*

Area: Theatre

Format: Paper Session

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The Metaphor of Indra and the Significance of the Prologue in August Strindberg's *A Dream Play*

Scholars have often dismissed the entire prologue to *A Dream Play* as a whimsical and inconsistent afterthought by the playwright. Consequently, Indra, the Indic deity introduced in the prologue, has become an elusive and marginal concept compared to the other Hindu references such as Agni and Maya explored in the larger framework of the play. But even when the prologue is retained, Indra is hardly discussed beyond his mere anthropomorphic attributes that identify him as the Indic deity. As such, in most cases he has been viewed as the ruler of heavens, the giver of rain and specifically the quasi God to whom the Daughter will deliver the human lamentations as invoked by the poet.

An obvious reason why Indra's character has hardly been discussed at all by commentators of *A Dream Play* is that he never really appears in his physical manifestation in the play. The only reference given to his actual presence is his guiding voice, which serves to identify the purpose of his daughter's journey on earth: He says to her, "descend and see, listen and return." Yet, even in his absence, Indra is frequently invoked by his daughter, who in her own bodily manifestation onto earth is later named Agnes. Thus, even though having added the prologue five years after he had written the play, Strindberg was able to integrate it with the religious imagery in the main body of the text. (1:35)

To begin with a cursory reading of the Prologue to *A Dream Play*, Strindberg's generous use of Hindu symbols can be identified in the exchange between Indra and his

daughter. First Indra mentions the Sukra star. This is the planet Venus as defined in Vedic cosmology; its presence is auspicious for all inhabitants of the universe. Sukra is also related to the idea purity and resplendence. In the prologue, as Indra's daughter descends in her cloud, she experiences a difference in the atmosphere and difficulty in breathing, here Indra warns her that she is breaking away from the pure and divine realm: or the 'second world', far from the influence of 'Sukra.' Strindberg then evokes the Vedic concept of Bhurloka, when Indra refers to the earth as the 'third world'. Bhur is defined as the physical plane or the home of the mortal beings and completes the concept of Triloka or the three hierarchical worlds of existence. Finally, in the Prologue, while Indra identifies Brahma as the divine creator of the Universe he refers also to the creation myth as described in the *Rg Veda.* Indra recalls the pristine beauty of the world prior to the birth of humankind and describes this as a consequence of, "an act of disobedience followed by crimes, which had to be suppressed."

Very likely Strindberg is here referring to the forbidden act of Brahma who, assuming the form of a deer, pursued his own daughter and through incest created the various forms of life on earth. The *Rg Veda* describes how the Gods unanimously condemned this act by having Brahma pierced by an arrow, shot by the skilled archer Rudra.

Although Strindberg creates a substantial backdrop for the introduction of Indra with very specific references to the *Rg Veda* in *A Dream Play*[1], the personality traits of

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[1] Strindberg owned a German translation of the *RgVeda by* H. Grassmann. (See Hans Lindstrom, Strindberg och bokerna [Uppsala: svenska litteratursallskapet, 1977], p. 103

Indra he has chosen to reveal in the prologue emerge from his own knowledge of another volume of philosophical texts known as the *Upanishads*.

Originally written in Sanskrit circa 600 B.C. these texts[2], like the *Rg Veda* deal extensively with the character of Indra.[3] However, they are philosophical treatises. Where the *Rg Veda* is devoted entirely to the ritualistic worship of Indra, the *Upanishads* were literally developed out of the discursive sessions of early thinkers in their endeavor to understand the meaning of the universe and the individual's place within it. In a series of texts, concepts such as 'knowledge' and 'awareness', 'being' and 'self' are presented.

Translated into English in 1879 by Max Müeller[4], one of the prominent scholars of Sanskrit during colonial India, the *Upanishads* apparently were familiar to Strindberg[5]. His main interest in the Hindu religion seems to have rested on this and the *Rg Veda.* The prologue demonstrates his knowledge of the Hindu religion and its pantheon of over 330 million Gods and Goddesses.

It was not simply a fascination with these Indic deities and their multiple avatars that urged Strindberg to create the character of Indra. He astutely used the prologue to

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[2] Thirteen of the original texts exist in total. (See *The Thirteen Principal Upanishads*. Trans. Robert Ernest Hume. Madras: Oxford UP, 1949).

[3] In the *Rg Veda* shares the text only with one other deity, Agni, while the entire *Chandogya Upanishad* deals with Indra tutelage under Pippalãda.

[4] The first English translation was published in 1832 by Indian scholar and reformer, Raja Ram Mohan Roy

[5] He owned a copy of *Kathaka – Upanishad* translated from the Sanskrit by Andrea Butenschon. (See Hans Lindstrom, Strindberg och bokerna [Uppsala: svenska litteratursallskapet, 1977], p.100) The *Rigveda* also contains within it as a section, the *Chandogya Upanishad*. (See Lanman, Charles et al. Eds., *Harvard Oriental Series*, vol.25, *Rigveda Brahamanas*1920.)

articulate the nature of the Daughter's journey and tie it closely to the philosophical context of the *Upanishads* and, specifically, to Indra's role within these texts.

While describing Indra's own tutelage under his teacher, Prajapati, the *Upanishads*, reveal an important similarity to the didactic nature of the Daughter's quest to understand why "humans beings are to be pitied." It is this fundamental question that converges the journey of the Daughter now called Agnes, with that of her Vedic father's as described in the *Upanishads*.

Indra, the deity who is invoked in almost the entirety of *Rg Veda* and primarily referred to as the 'Great One' and the warrior God, now remains subordinate to the transcendental trinity of Brahma (the creator), Vishnu (the preserver) and Shiva (the destroyer) in the *Upanishads*.What makes him a lesser God is that he is often perplexed by the human condition and persistently questions the nature of the self. For example, in the Seventh chapter of the Eighth Prapãthaka[6] of the *Chãndogya*[7] *Upanishad,* Indra receives instruction upon the nature of the true Self by his teacher Prajapati, who declares: "He who moves about happy in a dream - he is the Self (Atman), …that is the immortal, the fearless." Indra, however is dissatisfied by this pithy explanation and responds to his teacher's lesson by a question, inquiring that how with the knowledge of mortality can one be free? As such, Indra is endowed with the ability to experience the suffering of the human condition. This quality at once makes him an intermediary between the divine and the human world.

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[6] The literal translation of this word is 'section'. (See Pathak, R.C. ed., *Standard Illustrated Dictionary of the Hindi Language*. Varanasi: Bhargava Bushan Press, 2000

[7] This section is included in the *Rg Veda*

In *A Dream Play,* Strindberg symbolically allows Indra's daughter to function as a reincarnation of the original Indra from the *Upanishads.* Endowed with the curiosity and the empathic nature similar to that of the Indra just discussed, she occupies the same position of witness and intermediary as her Vedic 'father'. Being a compassionate observer of life in the 'third world' is a quality that is missing from other Hindu deities who are only too quick to judge their human subjects often punishing them severely. Although Indra is evoked with fear and reverence in the *Rg Veda*, in keeping with Indra's more tolerant attitude in the *Upanishads*, Strindberg has him tell his daughter in *A Dream Play* that he will not slander the "Creator's children". He then urges her to:

> Descend and see, listen and return
>
> Tell me then if they have cause and reason
>
> For complaints and lamentations, …. (Five Plays, 208)

In serving as a link between the divine and the earthly, Indra's daughter, now referred to as Agnes, witnesses and experiences the pitiful human condition in order to understand it. The first situation where Agnes confronts the Officer is reminiscent of the notion of liberation of the individual through consciousness as discussed in the *Upanishads*. In one of the sessions, as Indra questions Prajãpati about the problems of mortality, he also expresses the inevitability of human bondage in a material world, i.e. the Self trapped in the cycle of pleasure and pain; he thus concludes about the human condition: "I see nothing enjoyable in this" (Hume 273). In *A Dream Play,* the Daughter too finds herself sinking into the sorrows of human suffering, reiterating her anguish throughout the play in her recurring line "these poor people, I pity them." (Five Plays, 222)

This recurring motif in the play is encapsulated by Agnes' question, "…Why this eternal complaining? Has life no joy to offer?" (Five Plays, 225) Yet, every situation the Daughter is placed in – her attempt to liberate the Officer, her marriage to the Lawyer, and her concluding encounter with the Poet -- leaves her with no tangible answer to her question. However, like Indra, the embodiment of compassion in the *Upanishads*, she does not condemn human beings but expresses her own regard for their plight: "Farewell, you child of man" she says, " you who understands best how to live" (Five Plays, 263)

In the *Upanishads,* Indra's quest is to find the state of a true Self, free from evil, sorrow, hunger and death. Prajãpati criticizes him for his hasty misconception of having understood the nature of the Self: "they go without having comprehended, without having found the Self (Ãtman)" (The Thirteen Principle Upanishads, 269), but Indra realizes his folly and returns to the subject, more and more bewildered. Bewilderment is also the key trait in the Daughter's life on earth. Often puzzled at the manner with which humans resolve their matters, she exclaims: "What a strange world!" (Five Plays, 253)

In the Vedic texts Indra likens his spiritual quest to a dream state. In *Prasna Upanishad*, six pupils along with Indra appear. In an attempt to understand the concept of Brahma[8] their pose a series of questions to their teacher Pippalãda concerning the origins and nature of humanity. In the fourth Prasna or question, Pippalãda addresses the idea of 'the universal mind, the beholder of dreams', where he describes the mind as dwelling in a dream state:

Whatever object has been seen, he sees again; whatever has

[8] Here Brahma does not mean the personification of the deity as the 'Creator' of the supreme trinity among the Hindu gods. These students seek an understanding into the idea of Brahma as a life energy that is present in everything.

> been heard, he hears again. That which has been severally experienced in different places and regions, he severally experiences again and again. Both what has been seen and what has not been seen, both what has been heard and not been heard, both what has been experienced and not been experienced, both real *(sat)* and unreal *(a-sat)* —he sees all. (The Thirteen Principle Upanishads, 386)

The eerie and repetitious nature of a dream state is embodied in the character of the Officer in *A Dream Play* and his repeated calls for Victoria, and in his endless exposure to the same lessons in his life. It is also expressed towards the end of the Daughter's journey in an exchange with the Poet, where the déjà-vu experience is specifically related to the dream state evoked in the *Upanishads*

Apart from integrating this in the main body of the text using the Upanishads, Strindberg's famous preface to *A Dream Play* relates its dramaturgy to a dream also, recognizing the presence of an uncanny, dual existence that is at once, both familiar and unfamiliar. Strindberg's description of the tortuous, yet compassionate quality of a dream, liberating the dreamer only by awakening from sleep, resembles closely the idea of the ultimate bliss of the dreamless sleeper in the *Upanishads*, as illustrated by the idea, "The brilliant happiness of dreamless sleep" (The Thirteen Principle Upanishads, 386).

The first dialogue between Indra and his daughter in the prologue, not only initiates the journey for the daughter, but also suggests the manner in which she will face her quest: through the same question and answer procedure that the mythological Indra experienced under Prajapati's tutorship. This manner of advancing with answers from

one level to the next makes the Daughter's quest similar to the elaborate systematic exchange between disciple and mentor in the *Upanishads*, where it is demonstrated through Indra's own quest. Again, Indra's daughter in *A Dream Play* seems to be presented as a female reincarnation of the Vedic deity, both sharing a genuine confusion in understanding humanity.

The Daughter has come to set the Officer free and this theme remains constant in the play; in fact, her goal is nothing less than to 'set mankind free' (Five Plays, 244). In her endeavor to do so, the Daughter resonates Indra's own learning in the *Upanishads.* For example, when the daughter approaches the officer saying that she is there to set him free of his material bondage, she warns him that, "the castle is strong, with seven walls". These 'seven walls,' which are concrete manifestations of the Daughter's obstacles in setting humans free, have a corresponding image in the *Katha Upanishads*[9] where seven shackles[10] dwell in any being and must be undone in order for the individual to actualize the highest self (Ãtman). Liberation from sorrow and pain and consequently, enlightenment, can be attained by ceasing the five senses (*indriya*) along with the mind (*manas)* and the intellect (*buddhi*). Towards the end of the daughter's journey, the poet asks her the crucial question, "…what did you suffer most from here?" (Five Plays, 262) To this the daughter encapsulates in a few lines what Indra realizes in his lesson with Pippalãda, mainly the will to live through a painful existence and the seven keys to

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[9] (See Hans Lindstrom, Strindberg och bokerna [Uppsala: svenska litteratursallskapet, 1977], p. 100)

[10] Liberation is discussed in the third Valli of the *Katha Upanishad* with reference to "The Universal and Individual soul". (See *The Thirteen Principal Upanishads*. Trans. Robert Ernest Hume, 1949.)

liberation already discussed. To the poet she replies that she suffered, "From just- being alive: from sensing, my vision dimmed by my eyes, my hearing muffled by my ears, and my thoughts, my bright airy thoughts trapped in that labyrinth of fatty coils in my brain." (Five plays, 262). She clearly refers to the 'seven walls' as described in the Vedic texts also.

When viewed within the dramaturgical context of the *Upanishads* and the *Rg Veda,* the prologue to *A Dream Play* does in fact clarify Agnes' role in the main part of the dramatic text.

With such essential symbolism, the philosophical ideas emerging from that brief exchange between Indra and his daughter in the prologue, any production of *A Dream Play,* which changes the order of the prologue or omits it, is an artistic choice that completely manipulates the philosophical significance of Strindberg's play. Yet the most significant productions of *A Dream Play*[11], have omitted this crucial piece of the puzzle. The prologue is part of the play regardless of it being added later or contradicting the idea that the mythic Indra did not really have a daughter. For Strindberg reincarnates Indra in the Daughter by having her serve as her father's stand-in in a philosophical journey that parallels his own spiritual quest in the original *Upanishads*. And just as it is up to the individual reader of the *Upanishads* to find an answer, it is not for the Daughter to be absolutely enlightened through the course of her journey, but for the audience to ponder upon her questions, observing their own selves at every juncture of her undertaking. Thus her final parting message is an address not only to the Poet and the theatricalized human

[11] Antonin Artaud's production in 1928 and Robert Wilson's production with the Stockholm Stadsteater, both staged *A Dream Play* without the prologue.

world on the stage but extends itself to the human world that patiently awaits the answer from behind the fourth wall:

> "Farewell, Tell my brothers and sisters I shall remember them
> where I now go, and their lament
> I shall bear in your name to the throne.
> Farewell! (Five Plays, 264)

Hawaii International Conference of Arts and Humanities
Nana Shineflug/Columbia College Chicago

1. **TITLE OF SUBMISSION:**
The Conscious Body – A synthesis of Eastern and Western Body Knowledge

2. **NAMES**
Nana Shineflug M.A. (Interdisciplinary Arts) Graduate Certificate in Laban Analysis

3. **DEPARTMENT(S) AND AFFILIATION(S)**
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6. **ABSTRACT**
THE CONSCIOUS BODY – A SYNTHESIS OF EASTERN AND WESTERN BODY KNOWLEDGE: will present, in a hands on manner, the possibilities of the intersection of the Eastern and Western Physical Body. It will offer conference participants the opportunity to do physical movement, while obtaining kinesthetically new information about human body potential. In my 68 years, I have studied dance and improvisation as well as many forms of physicality (Qi Gong, Kundilini Yoga, Hatha Yoga, Psychocalisthenics, The Gurdjieff Movements). I also have a Graduate Certificate in Laban Movement Analysis. My initial discipline is Mathematics and I have analyzed both Eastern and Western Physicality and understand how these different approaches to the body blend together to form and aesthetically conscious body that can live vitally into old age.

The workshop is accessible to all, including those without great physical skills. Everyone can work at their own comfort level, including just observing.

Outline of Workshop:
The Energy Body (Chi, Ki, Prana):
How to form the Mind-Body connection to access the Energy Body with the mind.
How to build the Chi (Ki, Pranic) structures of the inner body so that the body is connected to the Universe and has geometric grid strength.
The Yang and Yin aspects of the Energy Body.
The Physical Body:

Teaching the animal designed to operate on four legs to work successfully on two.
Use of the abdominals, back torso, leg and arm muscles.
The use of weight and attachment to gravity.

Moving Through Space.

Applying concepts from the above when moving consciously through space in both Axial (stationary) and Locomotor (in floor patterns) - simple exercises including walking and shaping that can be done by anyone (even those wishing to do the exercises in chairs are welcome)

I am a teacher who likes to create a good time for all; and I use sound and laughter to energize the body.

Third Annual Hawaii International Conference on Arts & Humanities

Proceedings Submission

Title: The Study of "Yogacara-Madhyamaka" Reconsidered
Topic Area: Religion
Presentation Format: Paper Sessions
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Abstract

The doxographies (*grub mtha'*) in Tibetan Buddhism have a profound influence on our understanding of the various philosophical systems in Indian Buddhism. Modern scholars have drawn extensively from such celebrated works as the eighteenth-century dKon mchog 'jigs med dbang po's *Grub mtha'i rnam bzhag rin chen phreng ba* as well as other Tsong Kha pa's works in order to delineate the systematic philosophical subtleties of the various Buddhist schools; including the well known Svatantrika-Prasangika distinction within the Madhyamaka tradition. The Yogacara-Madhyamaka tradition, developed in India in the eighth century, is often treated as a subdivision of Svatantrika-Madhyamaka, and hence the name "Yogacara-Svatantrika-Madhyamaka" has been accepted along side with "Sautrantika-Svatantrika-Madhyamaka." The present paper demonstrates that such a treatment of Yogacara-Madhyamaka is merely a product of the dGe lugs pa doctrinal formulation. Powerful though it may be as a pedagogical tool toward the understanding and realization of the ultimate truth of emptiness in the Prasangika setting, it should not be accepted as reflecting the true identity of Yogacara-Madhyamaka in India.

While there have been many recent publications that reveal the Tibetan understanding of the Svatantrika-Prasangika this distinction does not reflect the history of Indian Madhyamaka development. A thorough re-examination of the Yogacara-Madhyamaka in Indian Buddhism has been largely neglected. Through my examination of eighth-century works such as Ye she sde's *lTa ba'i khyad par*, I offer a reconsideration of the identity of Yogacara-Madhyamaka in Indian Buddhism, as well as its relation with Madhyamaka and Yogacara traditions and the *tathagatagarbha* theory.

Paper Proposal: 3rd Annual Hawaii International Conference on Arts and Humanities

August 29, 2004

"The Emergence of Self and Illusion: Reinterpreting Music of the English Renaissance"
by Clayton Shotwell, Ph.D., Augusta State University

Textual analysis of song lyrics for literary and historical meaning has long been a tool of analysis in both literary and musical studies of the past. For example, there is a melancholic sadness or loneliness inherent in the solo airs and madrigals of many composers of the Elizabethan Era in England, often interpreted as the search for romantic love. This paper examines the Buddhist perspective of "lack" ("separate from God") as a metaphor for reinterpreting the study of music, social behavior and its potential for reinterpreting historical evidence. Through analysis of lyrics of several Renaissance songs of the Elizabethan era, I will show how individuals of this era attempted to make up for personal lack by substituting other things (i.e. romantic love, fame, wealth, and freedom) as replacements for "lack" in an attempt to grasp toward a hoped for "objective reality" of feeling "real" as individuals. Buddhism has traditionally interpreted this concept as subject-object dualism: the illusion of a separate self from the Universal One.

The history of freedom in the modern West has been strongly associated with the development of the individual or self (i.e. The Age of Reason, The Renaissance).
One of the ways we have accomplished this in the West has been through the emergence of the Western ideal of freedom and the emergent development of the individual as most important. Western scholarship traces this search for individuation back to the Eighteenth century, and some scholarship traces the seeds of this development back to the Renaissance. The abilities of the Renaissance Man to create, discover, explore, and rationalize appear to connect all the dots in historical evidence.
This paper will focus on the music and social customs of the Elizabethan era
in Fifteenth century England.

In fairness, I cannot address "lack" as a historically documented fact, nor as an e official perspective found in specific historical Buddhist writings or teachings. This analysis is offered as a means for understanding human behavior and social consciousness in the West from a different point of view: a Buddhist perspective.

Our Western understanding of the word freedom requires several stages or steps toward completion. The notion of "freedom from" requires both differentiation and separation of one objective state or condition from another. For example, the movement toward revolution and independence of the United States of America from Great Britain required a collective sense of a need for differentiation and separation of the Thirteen Colonies from rule by Great Britain.
In the West, we can trace the earliest stages of this collective progress of the Christian view of sin and how to resolve it back to the Papal Reform movement (circa 1050-1122C.E.) in Europe. Not only was the Roman Catholic Papacy changed or reformed, the uniquely Western notions of "sacred" and "secular" were defined, if not created by the actions of this early period in Europe. As David Loy so aptly puts it, "

> "The development of canon law lead to a new view of sin, before understood simply as a condition of alienation from God. Sin came to be defined in legalistic terms, as specific acts and thoughts, for which painful penalties must be paid either in this life or in the next. This was an important shift in the meaning of penance-acts of contrition symbolizing a turning away from sin back to God and neighbor-into amore objectified sense of sin as an entity that, as the Church soon discovered, could be commodified."

Render Unto Caesar

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Abstract: The first amendment to the U.S. Constitution sets forth a principle commonly known as "separation of church and state." As obvious as the principle may seem to those who have grown up in its shadow, it is not without critics. There are many, for example, who regard the separation as not only impractical and ill-conceived, but contrary to their fundamental religious precepts. This paper explores the basis of the principle, the merits of the approach, and the concerns of those who fear that something is lost in the process.

Render Unto Caesar

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Abstract. The first amendment to the U.S. Constitution sets forth a principle commonly known as "separation of church and state." As obvious as the principle may seem to those who have grown up in its shadow, it is not without critics. There are many, for example, who regard the separation as not only impractical and ill-conceived, but contrary to their fundamental religious precepts. This paper explores the basis of the principle, the merits of the approach, and the concerns of those who fear that something is lost in the process.

Separation of Church and State

The first amendment to the U.S. Constitution states:

> Congress shall make no law respecting an establishment of religion, or prohibiting the free exercise thereof; or abridging the freedom of speech, or of the press; or the right of the people peaceably to assemble, and to petition the Government for a redress of grievances.

Partially because the language is so terse, the amendment has been interpreted in various and sundry ways. Although the vast majority of citizens are Christians, there is no official state religion. When the system works in the way in which it is envisioned by many of its proponents, people are free to worship as they please (or not): without having to meet in secrecy, without intrusive regulation or control, and without fear of repercussions or reprisals from the powers that be. By the same token, the first amendment is generally read in such a way as to prohibit governmental action or policy that would provide preferential treatment for individuals or groups of individuals on the basis of religious conviction or affiliation. In short, the amendment drives a legislative wedge between secular and sacred, between holy and profane, and between piety and politics.

As obvious and innocuous as the principle may seem to some, it is not without critics: even in the United States. Many belong to religious groups who regard the separation as not only impractical, but contrary to their fundamental religious precepts.

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[1] AUTHOR'S NOTE: This is an evolving draft of a work-in-progress. Earlier versions have been presented at the International Society for the Comparative Study of Civilizations Conference in St. Petersburg, Russia (September 2003: "St. Petersburg in the Dialogue of Civilizations and Cultures of East and West") and at the EWC/EWCA International Conference in Tokyo, Japan (August 2004: "New Challenges for Building an Asia Pacific Community"). This draft has been prepared for publication in the proceedings of the Third Annual Hawaii International Conference on Arts and Humanities (January 2005: Honolulu, Hawaii). Any other use, copying, or distribution is expressly forbidden without the written consent of the author. Copyright October 2004 by Douglas W. Shrader, Jr. All rights reserved. Comments, corrections, and suggestions are welcome.

Render unto Caesar

Jesus was asked whether he and his fellow Jews, living under a forced and oppressive Roman occupation, should pay taxes to Rome. It was a trick question, but an instructive one nonetheless. If he answered that they should not pay taxes, his reply would constitute treason against Rome. If he answered that they should pay, his reply could be taken as an endorsement of the Roman rule and thus infidelity to Israel. Sensing the trap, Jesus asked whose image was engraved on the coins. The answer, as he well knew, was that of Caesar. Thus the stage was set for his oft-quoted proclamation:

> Render therefore unto Caesar the things which are Caesar's; and unto God the things that are God's. (Matthew 22:21, KJV; cf. Mark 12:17 and Luke 20:25)

Although sometimes ironically misinterpreted as an endorsement of the principle of separation of church and state, Jesus' response is better seen as a clever and insightful way of returning the question – along with responsibility for an answer – to the ones who would have ensnared him in this crown of thorns.

Two thousand years later, people are still asking much the same question. How do I balance civic responsibilities, professional responsibilities, social commitments, and secular interests on the one hand, with sacred duties, religious convictions, and spiritual practices on the other? Which things properly belong to Caesar and which to God? Where should we draw the line between church and state? It may seem to some as though Jesus dodged this difficult and controversial question, leaving his disciples and billions of Christians to come without clear guidance or direction. Such, however, is a short-sighted assessment. We do not have to look far to find Jesus' answer. An individual described variously in the gospels as a scribe or lawyer asked him which is the greatest of all commandments. Jesus replied:

> The first of all the commandments is, Hear, O Israel; The Lord our God is one Lord: Thou shalt love the Lord thy God with all thy heart, and with all thy soul, and with all thy mind, and with all thy strength: this is the first commandment. (Mark 12:29-30, KJV; cf. Matthew 22:37, Luke 10:27, Deuteronomy 6:5, 10:12, 11:13, 13:3, 30:6, Joshua 22:5, and 1 Kings 11:2)

With God in the picture, there is not much room for Caesar. As if to emphasize the point, Jesus cautioned his disciples that:

> No man can serve two masters: for either he will hate the one, and love the other; or else he will hold to the one, and despise the other. Ye cannot serve God and mammon. (Matthew 6:24, KJV; cf. Luke 16:13)

The Fall of Rome[2]

In 410 A.D., Alaric and his band of Goths accomplished what no other Roman adversary ever had: they breeched the walls of Rome itself, sacking the city, raping the women, taking whatever they wanted and setting fire to the rest. The Roman citizens were

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[2] Portions of this section are indebted to Ronald H. Nash (ed.), *Ideas of History, Vol. I* (NY: E.P. Dutton, 1969).

dismayed, disheartened, and bewildered. How could this have happened? How could people they regarded as uncivilized barbarians defeat what had once been the greatest military force of its era? There were many who pointed the finger of blame at Christianity. What had once been a small persecuted sect within Judaism had been elevated to the status of a state religion. Under the Emperor Constantine, who ruled from 306 to 337, a Roman who wished to hold office – indeed, even one who wished to serve in the military – had to become, at least in name, a Christian. Rome, they charged, had become too soft: turning the other cheek when they should have been thrusting the other spear. Worse, they argued, Rome had abandoned its traditional gods and goddesses. Was it any wonder that those divinities had failed to protect the city from the marauders?

The individual known to history as St. Augustine penned his monumental treatise, *The City of God*, as a complex rejoinder to those who blamed Christianity for the fall of Rome. Written over a period of time between 413 and 426, the treatise begins with direct responses to the charges leveled by those who favored a return to the gods and goddesses of old. Rome, Augustine pointed out, had been subject to various catastrophes while supposedly under their protection. Moreover, as was abundantly clear from the catalogue of vices that he complied, Rome had not exactly become a poster child for Christian piety or virtue. The problem, he argued, was not that Rome had become too Christian, but rather that it had not become Christian enough. As the work progressed and Augustine continued to reflect not only on the history of Rome, but on the history of the human race in general, he developed a theory of time, a theory of history, a theory of human nature, a theory of social organization, and a theory concerning the proper relationship between church and state. Rather than focusing on the merits of one social, political, or economic system vs. another (e.g. Rome vs. Israel or the United States vs. Iraq), Augustine chose to mark a distinction between two basic options: what he called the *City of God* vs. the *City of Man*. In Book XIV he explained:

> Two cities have been formed by two loves, the earthly by the love of self, even to the contempt of God; the heavenly by the love of God, even to the contempt of self. (XIV, 28)

Whether Goths or Romans, we must each declare our true allegiance. We must choose on a daily basis – through thought, word, and deed – whether we wish to be citizens of a celestial city (the City of God) or residents of a terrestrial one (the City of Man). For Augustine, as for Jesus, there was no middle ground. Trying to straddle the divide, with one foot in one city and one in the other, was not a viable option. The promise of his God was a take-it-or-leave-it proposition. His service was an all or nothing affair.

Back to the Present

Given the background described in the preceding paragraphs, it is no wonder that a sizeable number of contemporary Christians, including ones in the United States, regard any legislation that would keep religion (meaning *their* religion, of course) out of government – or out of programs such as public schools that depend on taxes collected in coins bearing the likenesses of modern-day Caesars – as un-Christian, un-Godly, and unholy. In an intriguing application of first amendment principles, they argue that a forced separation between church and state violates their religious freedom. While most

objections of this sort have come from right wing Christian groups, many religions would agree with the general structure of the argument, provided of course that one substitutes their teachings for those of Christianity. Confronted by the obvious impasse, looking down the barrel of an argument that threatened to undo the religious freedom principle on which it is based, most Americans have agreed to an uneasy truce. It is, to be sure, a form of religious tolerance, but tolerance of only the most base and basic kind: we agree to live and let live, not because we find value in alternative religious traditions or spiritual practices, but because we fear the imposition of other "foreign" traditions and practices more than we object to the fact that our own beliefs and values have not been adopted by the entire society.

One Nation under God?

A second group of critics charge that the American system is a sham and that the Christians who object to a supposed separation of church and state simply have not taken a cold, hard, honest look at the political and social realities. Our currency, while bearing the portraits of Washington, Lincoln, and other political leaders, is emblazoned with the phrase "In God we trust". The words "one nation, under God" were added to the pledge of allegiance during the Cold War to distinguish the righteous citizens of America from the godless infidels of Russia and China. Repeated objections have been raised by those who do not believe in God, as well as by those who believe that God works at a more individual or universal level, conferring no special status on the citizens of one country rather than those of another.

Even so, millions of schoolchildren repeat the phrase on a daily basis, generally oblivious to both controversy and content. The federal district court for California and neighboring states ruled that requiring public school students to recite the pledge in its current form violates first amendment freedoms. It could have been a landmark case, but when it reached the Supreme Court last year, substantive issues took a back seat to formal jurisprudence and election year politics. Because the lawyer who challenged the practice on behalf of his daughter did not have full or sole custody, the court ruled that he did not have the requisite legal standing to file suit (thereby invalidating all previous rulings in the matter).

Public school calendars incorporate Christian and sometimes Jewish holidays, but typically ignore those of Islam and other less prevalent traditions. Student in a school choir may be taught Christian hymns or carols for their annual Christmas concert, even in districts where the administration chooses to bill the event as a Holiday or Winter Concert. In short, the second group of critics charge, America is a Judeo-Christian nation in secular dress: the so-called principle of separation of church and state serves only to keep others out and enforce the monolithic thinking (including the religious and social values) of those who already wield the power.

What are we teaching our children?

A third group of critics demands a hearing as well. While they may or may not champion one particular religious tradition as more desirable than that of another, what these critics

share in common is a concern that the first amendment – interpreted as an impermeable barrier between church and state – leads to a society that lacks a unifying or common narrative. When religion is exorcised from the public schools, we raise generation after generation of citizens with no clear sense concerning the foundations of moral values, ethical behavior, or interpersonal conduct. As a result, many Americans struggle with issues of worth and identity, lacking a clear sense of either self or community.

Elementary Education majors in my Philosophy of Religion class last summer unanimously agreed that they would try to teach their future charges to treat others as they themselves wish to be treated (the so-called Golden Rule of Christianity).[3] They were somewhat surprised, extremely interested, and perhaps even gratified at a personal level to learn that similar principles had been developed in pre-Christian Judaism, Buddhism, Confucianism, and other traditions. Learning the religious, contextual, and cultural bases of the principle, however, did not change their mind about one fundamental tenet: as public school teachers it would be manifestly inappropriate for them to share any of the information they had learned in my class with any of their students (even in response to direct questions). If a child noticed a similarity between their rules of classroom behavior and a Sunday School lesson, for example, they indicated that they might simply smile and move on, saying nothing rather than becoming entangled in what they perceived to be a sticky wicket. While some suggested that they might tell the child the topic is one that would be better discussed with his or her parents, other students were quick to advise against that strategy. All you will get, they counseled, is a headache and a student who will not take "No" for an answer, incessantly asking "Why? Why? Why?" or "Why not? Why not? Why not?"

Rather than encouraging dialogue and open discussion, these teachers-to-be had been taught to shut down any line of inquiry that might be construed as a breach of the principle of separation of church and state. Is it any wonder that our children are misguided, confused, frustrated, or cynical? Over time, they learn to simply play the game: they learn not to ask, not to question, and not to think. The responsibility for spiritually-based moral instruction falls to the parents who may or may not take the child to religious services once or twice a week. It is better than nothing, but we delude ourselves if we believe those Sunday School or Sabbath lessons carry the same weight with our children as the things they are – or are not – taught in their "real" school.

I still remember my daughter's first day of Kindergarten. She tugged on my sleeve so that I might bend down to let her whisper in my ear. I could tell by the gleam in her eye that it was a matter of some importance: an insight or revelation that would forever define this rite of passage for both father and daughter. I am not sure what I expected from my precocious five-year-old, but what I heard was this heart-stopping assessment: "Now that I have a *real* teacher, Daddy, I won't need you or Mommy to teach me anything ever again." Fortunately, as she matured, my daughter learned that many of the most valuable lessons life has to offer do not occur within the confines of a classroom.

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[3] Matthew 22:39, Mark 12:31, Luke 10:27.

Where do we go from here?

Elsewhere I have argued that the principle of separation of church and state, as exemplified and practiced by the United States, is but one of three approaches that have been developed to promote religious tolerance and pluralism. Each, I have argued, has something to teach us, but none comes with a trouble-free guarantee. If we are to meet the spiritual needs of a complex global society, we will have to draw upon and learn lessons from all three models, paying careful attention to weaknesses and vulnerabilities as well as strengths and insights.

Criticisms of the preceding pages not withstanding, from the United States we learn that politics and religion are poor bedfellows. There is no room in a global society for preferential treatment or consideration of one religion *vs.* others. This does not mean that a global society should be blind toward (or ignore) religion. In fact, quite to the contrary, it may take concerted effort to create a global environment in which all religions may flourish. Perhaps less intuitively obvious, and potentially more controversial, these same expectations must be applied to global economic relations. No culture, and by extension, no set of religious or spiritual practices, should be forced into extinction by economic practice or policy that places that culture at a *de facto* disadvantage.

As the history of the United States demonstrates, we will have to be on our guard to insure that the pluralism of a global community does not marginalize religious and spiritual values, that morality is not reduced to the lowest common economic denominator, and that people do not exchange their sense of self and community for the unquestioning silence of an inauthentic existence.

Fortunately, if I am right, there are lessons to be learned from India, China, and Japan that may serve to blunt the deadening effects/consequences to which a principle of separation of church and state, taken by itself, seems inevitably to lead. Our best hope for a healthy and harmonious Global society will be a set of policies and attitudes that draws liberally from each of these societies, and perhaps others as well. If we can resist the temptation, characteristic of the Western Philosophical enterprise, to believe that we must choose one candidate over the others – if we can cultivate a global dialogue in which proponents of more than one tradition have a voice – then we will also stand a good chance of creating a global community in which adherents of different religious and spiritual backgrounds can live peacefully with one another, listening to and learning from people whose heritage, beliefs, and practices differ radically from their own.

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"Born to Run"[1]

An Inquiry into the Nature and Origins of Human Migration

by

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In recent years, humanists and social scientists from many disciplines have often interpreted and explained various phenomena using the concept of "social construction."[2] According to this way of perceiving the world, society and social institutions do not exist as independent realities without reference to the individuals who populate them. Rather, individuals actively and regularly reconstruct society and re-interpret its meanings. Society is constantly being re-established; it is being socially constructed. Society has no objective definition, and people regularly re-interpret it and develop new perspectives on it.

The application of "social construction" as a way of understanding society, and developing new perspectives has affected the way we interpret many social phenomena and changed the way we think about them. In *The Blank Slate,* Steven Pinker explains that "some categories really are social [rather than objective] realities … [and they] exist only because people tacitly agree to act as

[1] I have borrowed this phrase from Robert Lee Holz, "In Evolutionary Race, Humans Went the Extra Mile, Study Says,' *Los Angeles Times,* November 18, 2004.
[2] Peter L. Berger and Thomas Luckmann, *The Social Construction of Reality; a Treatise in the Sociology of Knowledge* (Garden City, NY: Doubleday, 1966) was the first book to use the term in its title.

if they exist." As examples, he cites among others money, citizenship, academic tenure, decorations for bravery, and the presidency of the United States.[3]

Other humanists and social scientists have broadened the list of categories that they say are social constructions. In 1999, the philosopher Ian Hacking assembled an inventory of nearly forty categories that have been socially constructed. The roll includes such disparate items as AIDS, choice (the outcome of pregnancy), danger, and dementia, as well as gender, race, and inequality.[4] In a particularly unexpected example drawn from the sport of baseball, the noted literary and legal scholar Stanley Fish has claimed that an umpire's call of "ball" or "strike" is socially constructed. Even though the rulebook clearly explains "ball" and "strike," the umpire redefines them every time he stands behind the plate.[5]

Not surprisingly, this kind of analysis can be applied to other social institutions and behaviors. And yet, despite the wide acceptance of social construction, some customs and activities have not been seen in this way. One of them is "immigration." All of us are familiar with the concept of "immigration." But, just so that all of us are on the same page, let me quote a typical and widely accepted definition of "immigrate," this one taken from *Webster's Seventh New Collegiate Dictionary*, but it could have come from any recent dictionary. According to this dictionary, to "immigrate" is "to come into a country of which one is not a native for permanent residence." An "immigrant" is someone "who

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[3] Steven Pinker, *The Blank Slate; the Modern Denial of Human Nature* (New York: Viking, 2002), 202.
[4] Ian Hacking, *The Social Construction of What?* (Boston, Mass.: Harvard University Press, 1999).
[5] Stanley Fish, "Professor Sokal's Bad Joke," New York *Times*, Op-Ed, (May 21, 1996); Nick Paumgarten, "Dept of Super Slo-Mo, No Flag on the Play," *The NewYorker* (January 20, 2003).

comes to a country for the purpose of permanent residence," and immigration is the process involved in coming to a new country.[6]

This seems straightforward, and surely we would all accept these definitions without question. But, reflection and analysis reveal several unexpected complexities. First, remember that the words "immigrate," "immigrant," and "immigration" are close cognates of two other sets of words, one based on the word "emigrate" -- including "emigrant" and "emigration" -- and the other based on the word "migrate" -- including "migrant" and "migration." All three sets of words contain three terms; and each set includes a verb that describes the action, a noun identifying the person taking the action, and a noun denoting the action itself.

Each triplet of words, (immigrate, emigrate, migrate; immigrant, emigrant, migrant; immigration, emigration, migration) is similar in spelling and vocalization, but even more alike in meaning. In fact, their meanings are so similar that they are more than mere synonyms, if that is possible. Again referring to Merriam-Webster's *Collegiate Dictionary*, to immigrate is "to come into a country of which one is not a native for permanent residence," and to "emigrate" is "to leave a place of abode or a country for residence elsewhere." An "immigrant" is "one who immigrates," and an "emigrant is "one who emigrates."[7]

But close attention to the definition of "emigrant" discloses an additional piece of critical information. The definition states that the words "emigrant" and

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[6] [G. & C. Merriam Company], *Webster's Seventh New Collegiate Dictionary* (Springfield, Mass.: G. & C. Merriam Company, 1965), 417.
[7] Ibid., 271, 417.

“immigrant” are synonymous. They refer to the same person, “one who leaves his country to settle in another.”[8]

The resemblance is undeniable. One cannot be an immigrant without also being an emigrant; one cannot have a destination and go somewhere without having an origin. Nor can one be an emigrant without immediately becoming an immigrant; one cannot have an origin and be from somewhere else without also having had a destination. As I said, the dictionary goes so far as to say explicitly that “emigrant” and “immigrant” are synonymous. “Both refer to the same person, EMIGRANT as leaving his country, and IMMIGRANT as entering and settling in another country.”[9] Of all the words in the three triplets, only “immigration” and “emigration” have any substantive meaning, the first referring to the entire group of people moving into a country and the second to the entire group of people leaving a country.

One wonders why the English language contains this set of almost congruent synonyms. Of course, reasons can be found for the existence of thousands of synonyms in English. But rarely do the physical forms and the sounds of the words correspond to each other as closely as these. This is one complex issue that hinders our understanding of the words immigrate, emigrate, migrate, and their derivatives.

Another complication results from alleging that to “immigrate” is to take a “permanent” action, i.e., “to come into a country of which one is not a native for

[8] Ibid.
[9] Ibid.

permanent residence."[10] The definition of "emigrate" also clearly implies permanence. If, as the dictionary undeniably says, in so many words, an immigrant and an emigrant are the same, then the two possess more than one or two identical characteristics. And so, if an immigrant moves permanently, then so must an emigrant. The only conceivable exception is a person who leaves one country (therefore becoming an emigrant) but dies before reaching the destination. That person has emigrated but not yet immigrated (and, therefore, is not an immigrant).

This sameness of the two words also exposes the problem of building "permanent" into their definitions. Permanence is difficult to determine. In fact, the permanence of a move cannot be correctly determined until after a person has died. People might stay in their new homes for the remainder of their lives; but if permanence is a condition of that word they can truly be called immigrants only after death. At any time before death, people can leave their new homes, perhaps going back to their places of origin or perhaps moving on to other new destinations. If they take either of these actions, they are not "immigrants" as that word is defined because they did not remain permanently. Certainly, it is possible to guess whether a living person will stay in a place or leave, but the only time a person can conclusively be called an "immigrant," according to the definition, is after that person's death.

Still another obstacle created by the definitions of "emigrate" and "immigrate" as given by the dictionary, as used popularly, and as used in the scholarly literature results from describing a person's place of origin or

[10] Ibid.

destination as a “country.” Immigration and emigration somehow seem to be associated with crossing international borders and boundaries; both terms strongly imply movement across international political lines. And yet, the association of immigration and crossing international boundaries can be questioned easily. Is it more of an “immigration” to cross the Rio Grande River and move from Texas to Mexico, a matter of perhaps a few hundred feet, or to fly from New York City and settle in Honolulu, a matter of thousands of miles? According to standard usage of words, the first would be an example of immigration and emigration, the second would not. The words are making an implicit statement about the relative importance of distance and political position when discussing immigration.

And, here, the third set of words – migrate, migrant, and migration – becomes significant. To “migrate” is defined as “to move from one country, place or locality to another,” and a “migrant” is defined as “a person who moves in order to find work esp[ecially] in harvesting crops.”[11] In general usage, then, the word “migrate” and its derivatives clearly have a broader meaning than “immigrate,” “emigrate,” and their derivatives.” The word family “migrate” contains no specification of permanence -- although a migration could be permanent – nor is there any necessity of crossing international borders. Someone who migrates could be moving away from a country, but could also be moving away from a “range” or “location,” two more inclusive terms.

Finally, one additional difference between “migrate” and its derivatives (“emigrate” and “immigrate”) concerns purpose. The definitions of both

"immigrant" and "emigrant" specify that the purpose is to change residence. While the purpose of a migrant could be to change residence, migrants are said to move "esp[ecially] to harvest crops."[12]

The intricacy of these definitions draws attention to the social construction of immigration and underlines the importance of recognizing that social construction. Two fundamental elements of that social construction are the duration and purpose of a person's relocation. The centrality of purpose and length of time can be seen by looking at the plethora of English words used to describe different sorts of people who make journeys. Such an examination produces a list that includes traveling salesman and businessman, tourist and wanderer, pilgrim and hadji, sailor and soldier, pilot and navigator, helmsman and driver. As Peter Mark Roget pointed out in the "Synopsis of Categories" that he placed at the beginning of his *Thesaurus*,[13] words can be grouped into families that represent related ideas. In the current instance relating to immigration/emigration/migration, Roget's wprd "family" begins with the order "Space" (Class Two), followed by "Motion" (Section IV of "Space"), "Motion in General" (Subdivision 1 of "Motion in Space"), and then various subsidiary classifications numbered 266 ("Travel"), 267 ("Navigation"), 267a

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[11] Ibid., 537.
[12] Ibid.
[13] [Thomas Y. Crowell Company], *Roget's International Thesaurus* (New York: Thomas Y. Crowell, Company), 1946. Roget's Thesaurus has been reprinted many times and expanded many times to include new words and phrases. Each new edition contains more words than the previous, but those new words are always located with respect to Roget's original "Synopsis of Categories" which is included in each new edition.

("Aeronautics"),[14] 268 ("Traveler"), 269 ("Mariner"), 269a (Aeronaut"), 271 ("Carrier"), 272 ("Vehicle"), 273 ("Ship"), and 273a ("Aircraft").[15]

Given his familiarity with words, and the effort that he spent classifying them, Roget understood that all these words have different meanings even though they are related. This is obvious just from the great care that Roget must have taken to devise his "scheme of classification" and to detect every conceivable distinction among words. And, his *Thesaurus* is most often used as Roget seems to have planned, from the "top down," identifying finer and finer distinctions among words. However, the scheme can also be used from the "bottom up," to identify similarities and common characteristics of words and to see how different groups of words can be arranged into broader and broader families of words. Looking at Roget's *Thesaurus* in this backwards or upside-down way allows noticing not the differences but the similarities among words, terms, and objects.

When examined in this way, the *Thesaurus* and its "scheme" enable the discovery not just of distinctions but also of resemblances among the different kinds of people who move. Two crucial differences that I mentioned seem to stand out frequently, the purpose of a person's journey and the length of time allotted for it. Each one of the multitude of terms available to classify a person in motion specifies its own purpose. For example, an "aeronaut" and an "airplane pilot" seem to have no great differences between them, and the terms seem interchangeable. The same can be said about "truck driver" and "trucker" which

[14] This is obviously one of those categories that did not exist at the time of Roget's original work and has been inserted in the appropriate place with a new appropriate numbering.

seem to have no difference. And, in each case it is possible to explain clearly what the term or word means. The person mentioned is going to pilot a certain kind of vehicle on a certain route for a fixed length of time and then return to the starting point, but the two sets of words are not the same despite the great similarities – they are driving different kinds of vehicles, one an airplane to one place and the other a truck to another place – but they are both driving vehicles.

In other cases, intent is more obscure. Why, for example, are we gathered here today? Certainly, we are here to attend this conference, and that is how most of us would answer the question, "Why are you in Honolulu?" But, I doubt that this answer is complete for many of us. I am reluctant to say that any of us has come to Hawaii only because this conference is meeting here, but I do feel quite confident in saying that far fewer of us would be at this conference if it were meeting in Lubbock, Texas or Kingman, Arizona. Motives are rarely clear.

The words immigrant/emigrant/migrant [which Roget placed in Group 267 of Sub-category 1 (Motion in General) of Section IV (Motion) of Class 2 (Space)] support the idea that the purpose of a journey can be unclear, if not downright murky. According to the dictionary definitions that I gave earlier, the purpose of immigration/emigration/migration is changing one's place of residence, probably by crossing an international border. But this definition is, at best, cloudy. Exactly what do "home" and "residence" mean? How precise is the word "home" and to what does it refer? Does it mean one's specific address or the city in which one lives or even the country of one's residence? Does it mean a person's current location or that person's "permanent" address? Does it signify a person's place of

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[15] Ibid., xvi.

origin or where that person currently sleeps? And, whose definition is being applied, that of a specific individual, that of the government of the original place of living, that of the government of the destined place of living, or that of other people? These can all differ greatly from each other, and they, too, are socially constructed. To take it a step farther, is home more a matter of emotional well-being or of physical location? These meanings of home also differ from each other, and they, too, are socially constructed.

The other significant difference among all the words that specify a person in moiton is the length of the journey being undertaken. All the words other than emigrant/immigrant/migrant, whether they refer to soldiers, pilots, pilgrims, or tourists, imply a pre-determined length of absence followed by a return to the place of origin. “Migrant,” too, could have an implication about time, but emigrant/immigrant definitely do not. The definitions of those two words clearly state that the length of absence is unlimited and will continue indefinitely. None of the definitions of the other words denoting movement contains any indication of how long an absence will continue, but that can be estimated with some degree of accuracy using such devices as timetables, work schedules, travel tickets, and other similar tools. Making this determination has become easier and more accurate in recent decades when improved methods of transportation have increased our ability to gauge and predict time more accurately. This is true even if the implication about the length of an absence is as vague as short, medium, or long. Even so, at any given time, an immigrant/emigrant is generally expected to

be gone permanently while each of the other kinds of travelers is expected to return unless something unexpected occurs.[16]

Thus, the words "emigrant" and "immigrant" seem to have no particular reason to exist; as a pair, they possess no special characteristics that give them a unique identity justifying their place in our vocabulary. More than that, they mean the same thing. And that throws us back to using the word "migrant" to characterize anyone who would, in the past, have been described as either an emigrant or an immigrant.

The word "migrant" has a clearer definition than either of these words. According to *Webster's New Collegiate Dictionary* once again, to "migrate" has two somewhat distinct meanings. The first refers to human migration and defines to "migrate" as "to move from one country or place of abode to another, with a view to residence." This definition does not equate "migration" with either "emigration" or "immigration," and it does not contain the notion of permanence. Although it mentions residence as a reason for migrating, the significance of that purpose is diminished and made less absolute by the phrase "with a view to," clearly implying intent and not actuality.[17]

The other definition of "migrate" is more intriguing. The dictionary defines the word as "to pass periodically from one region or climate to another for feeding or breeding, as various birds and animals."[18] This definition is attention-grabbing for several reasons. It suggests the normality of circular or return migration; the

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[16] Shortcomings in the transportation system made return much more difficult in the past. In *Round-trip to America; the Immigrants Return to Europe, 1880-1930* (Ithaca, NY: 1993), Mark Wyman shows how increases in the rate of return migration from the United States in the nineteenth century can be related to improved trans-Atlantic travel.

word “periodically” implies a **repeated** movement from **the same origin** [my emphasis] to a new location on more than one occasion. That clearly indicates a return to the starting point and a subsequent move. Second, the definition also mentions a purpose, but in this case the purpose is biological, “feeding or breeding,” rather than any social purpose (even granting that eating and reproducing have social as well as physiological aspects).

Perhaps the most intriguing element of this biological definition is the statement that it applies esp[ecially] to “various birds and animals.”[19] This latter qualification of the definition takes us to a biological definition given in *The Cambridge Illustrated Dictionary of Natural History*. In it, “migration” is defined as “periodic or seasonal movement, typically of long distance, from one habitat or climate to another; any movement that affects the range or distribution of a population or individual.” Once again, the notion of circular or return migration is emphasized, but this defintion also mentions, in conjunction with periodic movement, the idea of a change in either range or distribution. It is also interesting to note that this *Dictionary of Natural History* contains no entry for either the word *“*immigrate*”* and its derivatives or the word “emigrate” and its derivatives. [20]

The definition of “migrate,” and the absence of definitions for “emigrate” and “immigrate” are intriguing for several reasons. First, there is no notion of “permanence.” Rather, there is an explicit expectation of return contained in the

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[17] [Merriam-Webster], *Collegiate Dictionary,* 537.
[18] Ibid.
[19] Ibid.

words “periodic” and “seasonal.” Second, this definition includes any movement that affects the “range” of a population or an individual. Thus, migration is said to include any movement **outside the usual and customary area** [my emphasis] within which an organism travels. This latter qualification is important because it eliminates from the category of “migration” everyday, regular movement within a predefined area, or range.

In fact, migration based on this definition is one of the central behaviors that biologists have examined and can be said to be a focus of their work. Some biologists have considered what are often called the "lower forms of life" (although that term might not be politically correct).[21] But other biologists have studied forms of life far more elaborate than bacteria or protozoa, especially insects, including spiders, bees and wasps, ants, and butterflies, but also birds and fish. Although their specific studies are probably not known to all of us, we are probably all aware (even though we might not necessarily realize it) of avian and piscine migration. Although we might not appreciate the fact that biologists consider salmon to be migrants, most of us know that these fish are born in continental waterways, swim downstream to the ocean, and then return to their very places of birth to spawn and die. Or, we may have heard of those wandering swallows that return to Capistrano in California annually on the same day, every year, year after year. Biologists consider both of these journeys migrations and have shown them to have a biological origin.

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[20] R. J. Lincoln and G. A. Boxshall, *The Cambridge Illustrated Dictionary of Natural History* (Cambridge and New York: Cambridge University Press, 1987), 237.

[21] The fastest and most efficient way to get a sense of the wide range of studies made by sociobiologists is to examine the Tables of Contents of the semi-monthly journal *Behavioral Ecology and Sociobiology,* the

Biologists' investigations of animal migration have not been limited to studies of birds and fish. They have also studied migration by reptiles and mammals. Although we might sometimes have aversions to creatures that slither or crawl on the ground, it should come as no surprise that biologists have studied the migration of reptiles. After all, according to current theory, birds evolved from reptiles; therefore, if birds migrate, then well might reptiles. And in fact, biologists have studied the migration of many kinds of reptiles, including snakes, lizards, and salamanders.

Even more relevant to human migration are studies of mammals. Some of us non-experts know, at least in cursory fashion, what biologists have determined. Just from the whale-watching trips that many of us take, we know that these giant mammals migrate between the waters of the Arctic and the Equator. Whales winter in the north where food is plentiful and then go south to give birth. The current explanation for this back-and-forth movement is that krill, the whales' basic foodstuff, is abundant in the Arctic, but that newborn whales, with their relatively thin layer of heat-insulating blubber, are better able to survive in the warmer waters farther south.[22]

Of course, one could argue that even though whales are classed as mammals, they are not "real" mammals. They live in the ocean rather than on land like "real" mammals, so they are irrelevant to the study of human migration. But there are so many examples of land-based, migrating mammals that this

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leading journal in the field that has been published since 1976. Examples concerning all the species I mention (and many, many others) can be found there.

[22] Hugh Dingle, *Migration: the Biology of Life on the Move* (New York: Oxford University Press, 1996), 243-44.

argument loses any legitimacy. Biologists have studied, among the other mammals that migrate, seals, sea lions, deer, macaques, lemurs, and baboons. The depth and detail of their studies into mammalian migration can be illustrated by looking quickly at their investigations of one mammal, the wildebeest, a four-legged ungulate native to the Serengeti Plains in southern Africa. Biologists have discovered that the wildebeest actually migrate several times during the year among three separate regions in and around the Serengeti. In the wet months between December and April, they stay in the southeastern plains where the green grass is high in nutrients and where calving takes place. In May and June, when this area dries out, the wildebeest move northwest to the wetter lands near Lake Victoria. And, as the dry season comes to an end along with summer, they move northeast where they remain until the rains return at which time the herds go back to their calving grounds.[23]

The study of non-human migration, with its clearer definition of that behavior, raises the question of whether the study of human migration would be advanced by using the biological definition. Most human migration in recorded history does fit easily within the definition given in the *Cambridge Dictionary of Natural History*. The great migrations that populated North America, South America, and Australia unquestionably "affect[ed] the range or distribution of a population or individual." Whether we consider the movement of people either as individuals or as parts of larger groups, they traveled long distances from one habitat or climate to another. Moreover, many migrants to the United States, and I assume to other countries, although I cannot be absolutely certain, made

[23] Ibid., 52-3.

periodic or seasonal movements. In the academic and scholarly literature, and in the literature concerning public policy, these people are sometimes called "circular migrants" or "return migrants" or "birds of passage." It is estimated that during the last years of the nineteenth century and early decades of the twentieth century, at least one-third of all so-called "immigrants" to the United States returned to their places of origin.[24] Simply on the basis of that number alone, millions of people fit the biological category of "migrant" better than the usual categories of "emigrant" or "immigrant."

However, this biological definition contains an unforeseen implication when it is applied to human migration. The definition states that migration has a physiologic or genetic origin to its purpose. It says that individual organisms or groups of individuals move either to find food or to bear offspring. With few exceptions, to biologists migration is a biological rather than a social or cultural behavior. To be consistent, then, and to apply the biological definitions of migration consistently to humans, it is necessary to argue either that human migration is at least in part a biological behavior or to argue that animal migration is at least partly a social or cultural behavior.

Both of these are possible. At least one well known biologist, R. Robin Baker, has argued vigorously that bird migration is social in nature.[25] And even while Baker contends that birds have the ability to think and make choices, one of which is migration, another group of biologists, known as socio-biologists,

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[24] Richmond Mayo-Smith, "Immigration and the Foreign Born Population," *Publications of the American Statistical Association*, III (1892-93), 304-320; Simon Kuznets and Ernest Rubin, *Immigraition and the Foreign Born* (New York: National Bureau of Economic Research, Inc., 1954).

claim that human behavior cannot be understood without understanding its biological and genetic origins. Perhaps the most prominent of them, Edward O. Wilson, maintains that **ALL** behavior has a genetic origin.[26] This is not the proper place to debate the validity of socio-biology. Let it simply be said that a large group of biologists now agree that all human behavior is genetic in its origin.

How then can we resolve the seeming contradiction between socio-biologists who insist that migration is a biological, genetically-based behavior and historians, sociologists, and other social scientists who believe human migration results from social, cultural, and economic conditions? The answer to this question may lie in research recently reported in the journal *Nature*. There, two biologists, Dennis M. Bramble of Utah State University and Daniel E. Lieberman of Harvard University, gave details about their analysis of the human fossil record. Their research indicated that

> judged by several criteria, humans perform remarkably well at distance running, thanks to a diverse array of features, many of which leave diverse traces in the skeleton. The fossil evidence of these features suggests that endurance running is a derived capability of the genus *Homo*, originating about 2 million years ago, and may have been instrumental in the evolution of the human body form.[27]

Bramble and Lieberman depart from the commonly held view that the modern human body shape evolved "for improved walking performance in more

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[25] Robin Baker, *The Evolutionary Ecology of Animal Migration* (London: Hodder and Stoughton, 1978); Robin Baker, *Migration: Paths through Time and Space* (London: Hodder and Stoughton, 1982).
[26] Edward O. Wilson, *Sociobiology: the New Synthesis* (Cambridge, Mass.: Harvard University Press, 1975).
[27] Dennis M. Bramble and Daniel E. Lieberman, "Endurance Running and the Evolution of *Homo*," *Nature*, 432:17 (November 18, 2004), 345-52.

open habitats."[28] Rather, they are arguing that many human physical characteristics evolved because of their benefits to humans who wanted to run long distances. They argue that while other mammals can exceed the human pace for short distances, almost no other mammals can run the same great distances as humans routinely do when they jog or run marathons. In their article, Bramble and Lieberman maintain that the earliest evidence of the enlarged posterior and anterior semicircular canals typical of human form contributed to the head and body stabilization needed for endurance running.[29] The more balanced head and the nuchal ligament of humans also contributed to head stabilization. Their decoupled head and pectoral girdle; low, wide shoulders; shortened forearms; narrowed thorax; narrow, tall waist between the iliac and the ribcage; and their narrow pelvis are all part of the reason humans have greater counter-rotation of the head and trunk than do other primates. The long human Achilles tendon and the passively stabilized plantar arch provide the shock absorption and storage of energy required in running.[30]

According to Bramble and Lieberman, all of these human physiological characteristics are valuable only in running and not in walking. But, in addition, they have identified another group of characteristics more valuable in running but also aiding in walking. These include the expanded venous circulation of the neurocranium which provides thermoregulation; the short snout that contributes to head stabilization and the tall, narrow body form that assists in

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[28] Ibid., 345.
[29] All of the following comparisons are between the form of modern human beings and that of other current or pre-human primates.
[30] Bramble and Lieberman, "Endurance Running," *Nature*, 348

thermoregulation; the narow pelvis, expanded lumbar centra surface area, and the expanded iliac pillar that assist in reducing stress on bones and joints when people run; the close-packed calcaneocuboid joint, permanently adducted hallux, and short toes that provide stability during plantarflexion, among other attributes of human, but not other, primate skeletons including early ancestors of modern humans such as the Australopithecines.[31]

Bramble and Lieberman convincingly make the case that the ability to run long distances is perhaps the central reason for the upright position of human beings and for many other human skeletal characteristics. If they are correct, and their research and their findings do seem to have been favorably treated in and by the scientific community,[32] then it logically follows that movement of people over long distances, or what is generally called immigration or emigration, is a fundamental, genetically evolved, behavioral trait of human beings.

And, if that is so, then it follows that different kinds of movement and travel – for whatever reasons and for whatever lengths of time – whether to migrate, to make a pilgrimage to a shrine, to fly across the country to a wedding, or to go to Hawaii on business -- have more in common than has generally been recognized. Roget's close grouping of travelers, migrants, airplane pilots, and pilgrims makes a great deal of sense. They are all people who migrate, that is to say, who move from place to place. And, if we are to understand the ways in which this movement affects individuals and affects societies, we need to

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[31] Ibid.
[32] See, e.g., John Noble Wilford, "Running Extra Mile Sets Humans Apart in Primates' World," *New York Times*, November 18, 2004; Holz, "In Evolutionary Race," *Los Angeles Times,* November 18, 2004.

consider all of these various kinds of people as a single group. This is not to say that migration, travel, and other kinds of movement in space are nothing more than genetic predispositions of human beings and that they are all the same. No one can doubt that there are manifold social, political, cultural, and economic reasons explaining why people move from one place to another. It is to say, however, that understanding the ability and the urge to run, or to move long distances, is basic to understanding *Homo* and requires that we think about movement and not just specific kinds of movement. Finally, this way of thinking about movement brings us into one of those crossroads where biologically determined behavior and socio-culturally determined behavior come together.

Chthonic Baba Yaga: Examining Influences of the Tabooed Female Elder.

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Imagine the old woman as the quintessential two-million-year-old woman. This ancient being is also called by some, "woman outside time." Clarissa Pincola Estés

A particular type of neuroses associated with fear of old age is becoming increasingly obvious in modern culture. The abundance of beauty magazines and recipes on "how to keep a perfect shape" and the idealized images of eternal youth and wrinkle-free faces in popular art only prove the fact that the fear underlying this quest of stopping the aging is substantial. Just as there is an identifiable prevalence of interest in the female body as a fetish of this quest (as opposed to limited expressions of the masculine eternal beauty and youth), there is a profound taboo of the female body in old age. This taboo is hardly new to humanity. Quite to the contrary, one can distinguish a deep-rooted tradition of first neglecting and then transposing female sexuality in old age into the ritualistic veneration of an old wise hag. Such an old hag is a modulation of a mother figure, the only difference being the biological transformations in her body that put an end to child-bearing abilities. A woman past her reproductive phase, therefore, loses some part of what makes her identifiable as a *woman* (as Judith Butler would say, in a heterosexual patriarchal matrix[1]). Consequently, such a woman becomes something else, something *other* than a *woman*; something new, unidentifiable, unexplained and *uncanny*. I would argue that the fear and uncanniness experienced when confronted with such a mother-figure explain the prevalence of the portrayal in contemporary culture of the old woman as a monster. Furthermore, it is my conviction that with the sharp tool of Freud's

psychoanalytic theory, both sides of this phenomenon [prevalence/absence of a monstrous old hag and the uncanniness and fear associated with her] can be presented in a new light, revealing some of its undiscussed facets, especially those associated with our dark and narcissistic inclinations. In applying psychoanalysis to the study of an old-hag as both present in modern culture and reminiscent of the literary and oral traditions of the past, I will distinguish four characteristic feelings this mother-figure arouses: respect (as mother), happiness (as resulting from self-fulfillment or achievement of guidance, etc.), uncanniness (associated with her inability to bear children and her unmatched wisdom) and fear (derived from the omnipotence of her knowledge and observance of incest taboo/Oedipus complex). All of these feelings are being constantly mixed with each other, which emphasizes a crucial point in Freud's theory: All these feelings are reaction-formations to our narcissistic desire to regain our oneness through the interaction with the mother-figure. Yet since such interaction that would lead to the state of reunion with the mother in the most desired way (i.e. becoming a child inside her womb) is a direct impossibility, our desires must be, and *are,* repressed. Thus all of our attempts, conscious or not, are the manifestations of the return of these repressed instinctual desires. It is these feelings and (repressed) desires that I will be looking for in the analysis of an old-hag archetype in Russian culture [Baba Yaga] as a means of exploring the contemporary phenomenon of the denial of old age in women. For Baba Yaga, as numerous scholars have argued, represents one of the most enduring, multifaceted and influential of all mother-figures in Russian culture. In her book *Mother Russia*, Joan Hubbs describes Baba Yaga as an embodiment of the cycles and force of life:

"Baba Yaga dominates the story-telling tradition: Her mastery over nature and humanity is expressed more vividly in the *persona* of the wise old woman, good or evil according to the manner in which she was approached. Like the old women of the village, from whom the population of witches is largely drawn, she displays knowledge of nature and society that appears to exceed that of the young virgins, eternal daughters, the *rusalki* [sirens], who merely *embody* the force of life... She is the expression of realized potential, the fulfillment of the cycle of life associated with woman. She has known all things: virginity (she has no consort), motherhood (her children in plant and animal form are legion), and old age (she gathers all things in to her abode to die). In her the cycles of feminine life are brought to completion, and yet she contains them all." (37)

Hubbs brings in an important connection of the figure of Baba Yaga with women's societal task of observing virginity before marriage and bearing children afterwards, on the one hand, and her intimate relation to witches, as based on an entire sweep of knowledge of nature (healing) and experience of laws governing society accumulated during her life. Baba Yaga's profound role in Russian culture is unquestionable, her influences over the [de]construction of the female roles in the societal gender distinctions is unabated. For when encountering Baba Yaga, the heroes' knowledge of cultural conventions and traditional roles is being put to a profound test. Yet Baba Yaga is also an embodiment of the travesty of all possible constraints imposed by the society. In Freudian terms, she assumes a role of messenger or mediator between the conscious, the societal law of "NO," and the unconscious, our repressed desires to

free ourselves from the traumatic experiences imposed by this law. In conventional discourse, Baba Yaga is combining the good and the evil in her syncretic self:

"Although Baba Yaga may appear as a wise old woman, a lovely maiden, or three sisters, she is just as frequently seen in her role as the evil one. Feminine power, which she personifies, is regarded with fear. Indeed, the widowed old women of the village, alone like the mateless Yaga, suggest the dispensability of the male in their world and make apparent the greater longevity of the female, regarded as a magical quality. Women are seen as potential witches, and Baba Yaga is their patron goddess. She represents the epiphany of the female elder." (Hubbs, 39-40)

Joanna Hubbs argues that the denigration of Baba Yaga as a guardian of female elders and witches has been caused by the advent of patriarchal society and its fear of the omnipotent old mother goddess. In our case, however, the psychoanalytical factors underlying such denigrations will be of greater importance. For if Baba Yaga, as "epiphany of female elder" proves the male dispensable, she exercises the power of symbolic castration. In doing so, she becomes hazardous to the unchallenged patriarchal order. That is why Hubbs also calls Baba Yaga "the castrating mother:"

"Yaga is a mother, but a cannibal mother…The double function of Baba Yaga as genetrix and cannibal witch expresses the fundamental paradox of nature. At no time is

that contradiction clearer than during the period from childhood to adolescence or adulthood when the child must break with mother who both clings to it and wishes for her child to grow as an individual. All the stories of witch figures contending with youths or maidens are in essence tales and rituals of initiation…The cannibal witch is also the castrating mother who tries to gnaw down the tree where he [*Ivashko*, a hero from a fairy tale discussed] hides." (Ibid, 39, 47)

Here, Hubbs describes Baba Yaga's cannibalistic (and castrating) nature, which in Freud's terms could be read as a manifestation of a repressed fantasy of obtaining narcissistic oneness with the mother. The dream-thoughts are necessarily distorted by the censoring apparatus of consciousness[2], thus the mother – a primary libidinal object-cathexis – must become a repulsive, life-threatening figure of cannibalistic Baba Yaga for instance. To this list of functions we could also add the manifestation of neuroses, in as much as Baba Yaga reinforces anxiety contiguous with our knowledge that an old woman is *other* than a woman defined by the need of the patriarchal society (that is a woman who is useful as a reproductive being). In fairy tales she is inflicting nightmares and diseases causing the heroes to transgress their weaknesses and mature:

"Each of the meanings of the name Baba (the once "goddess" and now "hag") Yaga is reflected in the image and actions of the mistress of witches. As the protean goddess, she is interchangeable with the serpent and is associated with it in folktales. As the cannibal witch, she is also the wolf goddess who eats all who try to enter her sphere.

Her association with nightmares and illness reflects her role as the goddess of the underworld and the guide to intuition – for illness and dreams are most frequently linked with initiatory rituals." (Ibid, 41)

An old crone, Baba Yaga, has no more child-bearing services to offer, and consequently turns out to be marginalized and alienated by the mainstream culture. As a figure, she evolves into a shadow of a mother, deprived of the ability to change into a mother again, yet still mothering for everyone in her abode. She also grows into a convenient locum for transposing the fear and anxiety associated with the incest taboo by being traditionally portrayed as a monster. "She whose children are many – from her forty mare-daughters to the tangle reptiles and animals and astral bodies which inhabit her abode – is also the hungry one who devours them," concludes Hubbs (Ibid, 39). Baba Yaga, thus, through the threat of her cannibalistic nature belongs to the worlds of Life and Death at the same time. She is the one who gives life, as a mother-figure; and she is the one who takes it at will. She also personifies the fear of being punished by the mother (this facet is also part of the primary trauma of being separated from the breast). For it is unusually difficult for a child to combine the images of a loving and punishing mother in one persona. This dichotomy is particularly visible in fairy tales of step-mothers and grandmothers, where the two facets of one figure are taken apart to assist the child's transition and to alleviate the pain associated with its traumatic experience. As Bettelheim argues, the sudden transformation of a loving Grandma into a voracious wolf can only be indicative of the relation underlying the two figures on a deeper level:

"Unable to see any congruence between the different manifestations, the child truly experiences Grandma as two separate entities – the loving and the threatening. She is indeed the Grandma *and* the wolf. By dividing her up, so to speak, the child is able to preserve his image of the good mother" (Bettelheim, 67). In the case of adults, the need to preserve the good mother no longer exists; contrarily, there is a pressing need for matricide (literal or symbolic) to be satisfied in order for one to become a fully developed and self-sufficient individual. In her discussion of the rites of passage, Mulvey repeats after Jean-Joseph Goux that "the female monsters stand for 'monstrous maternal,' whose murder is essential for the rite of passage to take place."[3] In terms of contemporary civilized societies this murder can only be symbolic (in the presence of law and morality restrictions), and manifest in spatial separation of a child and a mother.

Yet the presence of demonized monstrous elderly women in contemporary culture is unquestionable. As Mulvey points in her analysis of the popular cinema, the " 'monstrous maternal' persists into contemporary popular culture" (Mulvey, 140). Her figure is reenacted in literature and visual art through the transition from a robust maiden to a shaking old crone made possible in the uncertainty of the age corridor of the figure of *witch*. Two things about the "monstrous mother/old hag" are most interesting: first is the longevity of this figure in mythology, folklore and popular culture; and second is the sum of fears and taboos that frames her monstrosity, building on the sublimation and repression of the sexual instincts underlying it. In this light, the study of the archetypal Baba Yaga as a monstrous mother-figure in Russian cultural tradition promises to be especially revelatory. Hubbs quotes Briffault (*The Mothers*): "The power of the witchcraft belongs particularly to old women. For it is a common notion that such a power is counteracted by childbearing, so that a mother is not so dangerous as a woman

past child-bearing age or a young unmarried woman" (Hubbs, 40). Hubbs indicates that the relationship between witches and old women in Russia has always been particularly intimate. This explains how the figure of Baba Yaga as both an old woman and witch forces the connotation of evil onto contemporary elderly women, and is perpetuated by elderly females in general:

"Among the Russians, witches are usually, if not always, in the guise of old women and thought to be immortal… Linked to wolves and vampires, they performed their chief mischief in midsummer, at the very time when the good wise women of the village wandered into the fields and forests at night to pick medicinal plants which would protect the community. Unlike the male sorcerers, the *kolduny*, successors surely to Slavic shamans, the *volkhvy*, witches hid their secrets; and no man could be initiated into their knowledge unless he was linked to them by blood." (Ibid, 40)

However, Baba Yaga is by far more complex then any of the sorceresses, witches or maiden-spirits in nature [*ruslaki*]. Baba Yaga is an echo of an ancient Mother-Creator-trope. She is also a shadow of the warrious huntress-divinity. Some epistemological evidence traces her back to the Variangian warriors.[4] In Russian fairy tale tradition her figure is rooted in the observance of respect and fear associated with unsurpassed wisdom and magical power. Additionally, it stores a cascade of cultural conventions and taboos, which, if read with Freud's theory of repressed desires, makes it possible to see through

the repulsive cannibalistic mother-monster; and thus makes visible the social and unconscious codification of the representation of an elderly woman.

Another factor adding to the value of Baba Yaga as an object of psycho-analysis is an unusual span of mythic references to all spheres of *being*: cosmological, human, animal and spiritual encompassed in a single figure. She is the bridge between the living and the dead. She is also the one who activates the cyclical nature of existence. Estés points out: "The gifts of Old Mother Death are to be found in the character of Baba Yaga, the old Wild Hag" (Estés, 19). In Freudian terms, this dwelling upon death as its major constituent makes Baba Yaga an embodiment of the primordial fear of death incorporated in the self-preservation instinct.[5] It is important, therefore, to recognize the trope of this figure in a more ancient, all-comprising image of an old woman:

"In the symbolic lexicon of the psyche, the symbol of the Old Woman is one of the most widespread archetypal personifications in the world… The wild essence that inhabits nature has been called by many names and crisscrosses all nations down through the centuries. These are some of the old names for her: *The Mother of Days* is the Mother-Creator-God of all beings and doings, including the sky and earth; *Mother Nyx* has dominion over all things from mud and dark; *Durga* controls the skies and winds and the thoughts of humans from which all reality spreads; *Coatlicue* gives birth to the infant universe which is rascally and hard to control, but like a wolf mother, she bites her child's ear to contain it; *Hekate*, the old seer who "knows her people" and has about her the smell of humus and the breath of God. And there are many, many more." (Ibid, 24, 25)

The relation of Baba Yaga to the Mother-Creator-God is certain, in that she is the mother and a creator of Life in general. She is capable of combining the socially defined characteristics of an ideal nurturer with dark and base instinctual nature of an animal. She lives on the border between the human, animal and divine worlds. The petrifying imagery of skulls, dead people's entrails, human limbs' ingredients in her food, unalloyed from Baba Yaga's evil side imply, following Freud, a deeply ingrained fear of punishment ("social anxiety"), or to be more exact, a fear of losing parental love. This fear is displayed by the heroes the moment they see Baba Yaga, or even anticipate encountering her. That is why the instantaneous division and interfusion of the functions of tutelage and punishment in a single persona, as we have already seen earlier in the example of Grandma and wolf, is fundamental in the figure of Baba-Yaga. This paradoxical nature opens the way for the desires of the unconscious on the one hand and make the heroes' transgression of the "NO- line" impossible. However, there is one more characteristic to the evil imagery, surrounding Baba Yaga – it is overtly sexual. In the following description of Baba Yaga's yard, Hubbs mentions several attributes which can be identified as sexual references:

"Baba Yaga, the old one, has lived in both spheres. Though like the divine virgins she dwells in the forest far from human life, she does so, as a "social" being, in a hut… Standing in a clearing in the middle of a dark forest and away from the nearest village. The picket fence which surrounds it strikes horror in all who approach: Made of human

bones rather than wooden posts, each "spike" is crowned with a human skull whose eyes flash in the dark. The house itself appears to be composed of parts of the human body, with legs for doorposts, hands for bolts, and a mouth with sharp teeth as a lock… The hut is filled with animal servants and cleaned by the virgin. In short, Yaga's house confounds human, animal, and plant life. Its fire creates and consumes. The living and the dead commingle; the moon and the sun, the evening and morning star, begin and end their heavenly course from her abode." (Hubbs, 37-38)

These images frame the concept of Baba Yaga: beginning with the spears-phalluses that serve the function of protecting her house (which in Freudian terms could mean both the desire for phallus and the power/fear of castration), as do human bones.[6]

In these the intermingling of the masculine and the feminine takes place. The overall appearance of Baba Yaga suggests of the same mixture: she is tall, boney-legged, her face is twisted, wrinkled and covered with warts; her breasts and mouth are iron. In a word, there is nothing beautiful or truly feminine (in as much as she is not a "beauty" in a traditional sense) about her. The iron breasts and mouth could also be read as representative of the masculine, for it is historically men who had to have an "iron" chest at war, or be capable of producing a strong commanding word to rule the country or the fellow tribesmen (iron mouth). In her unmatched self-sufficiency, Baba Yaga appears even more masculine (in terms of the gender paradigms of our civilization) than feminine. She lives alone in a hut in the middle of the dark forest, surrounded by wild

beasts and vicious spirits. The tools of her household, by the same token, are both masculine and feminine. As Hubbs putts it:

"The spindle, mortar and pestle from the world of women carry a "feminine" metaphysic. But Yaga also appropriates from the world of men. She has a magical transforming wand. She rules over the masculine generative organ and directs it. She is a horse goddess and has a fire-breathing flying horse, which she gives to those youths who please her. She has a self cutting sword, whose power she awards to the warrior. And she keeps a self-playing musical instrument *gusli,* used in ancient Rus' by male wandering minstrels, who appear to gain their powers from her. She confers these instruments of the male world as gifts which hinder or help the progress of youths who seek her out." (Ibid, 39)

All these attributes of her attire and characteristic lifestyle (to use a contemporary jargon) assume the function of reinforcing and de-centering the socially constructed gender paradigms. Baba Yaga besieges anyone she meets with her hyperbolical motherliness, her blood-freezing fierceness of the non-mother monster, or with her hypnotic relation to the dirt and filth and animal (which in Freudian terms is also an indicator of the lowliness of Baba Yaga as potential object of libidinal instincts, but more on that later). As to her looks, in psychoanalytical terms, the iron breast and mouth can signify the primal trauma experienced by the child when the breast is no longer "coming." It becomes forbidden in order for the child to develop self-sufficiency and independence. It is also a manifestation of the incest taboo. The iron mouth is trimmed with iron teeth which threaten to devour at any time. This mouth, therefore, represents the

mother-figure's threat of castration, transforming her into the mother-monster, and in doing so, strengthening the incest taboo. Thus, the body of the mother-figure (mother-monster) itself becomes a taboo, appropriating the emblems of the societal law of "NO" into her looks. Her body mutates from the body of an old woman to the horrifying body of a monster-Frankenstein. This body is being constantly dismembered, emphasizing the abstruse irruption and consequent distortion of her womanliness. She is coded with the symbolism of disgust and danger, and yet she also retains her mother aspect (by the very fact that this aspect is being continuously subjected to denial and taboo).

The image of the iron (castrating) mouth reoccurs in a lock on Baba Yaga's house. The lock-mouth is also armed with sharp teeth, suggesting a threatening (with castration) and bloodthirsty vagina.[7] The lock, however, brings in the implication of law which prohibits sexual contact with the mother (incest taboo):

"..Her house is sometimes represented as standing on a spindle. The thread is made of the bones and entrails of the dead as the hut turns round and round on its bird feet. It is both the universal egg, the womb of all creation, and the hen, or mother bird which carries it. The spinner and cook who inhabits it is a skinny hag with a withered face and wild tangle of hair – a characteristic power she shares with *rusalki* – which crowns her head like the serpent locks of the Medusa. Her nose and her breasts are iron, and her mouth is a cavelike horror of iron teeth: She is vampiric; human fingers float in her food. She freezes the blood of those who behold her. On the other hand, she can be a kindly woman whose hair looks like a rye, or a luxuriant garden… She can be both good and evil in her aspects, beautiful as hideous, young as well as old. She can be one, and

she can also appear as a triune goddess. Above all, she is alone, surrounded by a number of magical implements through which she works her transformational powers." (Ibid, 38)

Conventionally, Baba Yaga presents a unique case of being positioned in the space between the permissible (and required, in some cases, for the rite of passage to take place) and forbidden (incest taboo/taboo of an old woman). This position allows her to dwell in several worlds at the same time, joining the polar opposites, such as Life and Death.[8] This peculiar ability empowers her to account for the societal codifications of laws and orders aimed at restraining and sublimating human sexuality. Such unprecedented capabilities should serve as distinctive markers of a variety of "social anxieties," to use Freud's words, which could all ultimately be simplified to the fear of being punished/losing parental love we have already discussed. For it is these anxieties (which are being routinely repressed in the cycle of repressing the desires underlying them) that transform Baba Yaga into this manifestation of the tabooed elder. Yet because of her continuous presence in culture, it turns out to be extraordinarily difficult, if not impossible, to decode this projection of societal taboos on her old self; even more so in implementing her figure for illustrating the glaring absence of aged bodies in contemporary art and popular culture. This complex process, I would argue, which an old woman must undergo in order to first disappear, and then reappear in the shape of mother-monster figure like Baba Yaga, is invisible and inaccessible because it is part of the repressed instincts of desire for mother and a self-preservation instinct overlapping one another; and what is more, this complex process is hidden from our sight because it can not go past the well-guarded conscious "NO." However, this process remains in the

unconscious. Estés points to the same problem in her depiction of the worlds in between which the old hag is exercising her patronship. This territory under her rule tends to disappear when our attention is turned to it:

"This old woman stands between the worlds of rationality and mythos. She is the knucklebone on which these two worlds run. This land between the worlds is that inexplicable place we all recognize once we experience it, but its nuances slip away and shape-change if one tries to pin them down, except when we use poetry, music, dance or story." (Ibid, 26)

In Freud's terms this inaccessibility implies residence in the realms of the unconscious. The worlds Baba Yaga traverses in Russian fairy tales are inaccessible. One never knows where she goes when she leaves her hut; and no human is allowed to even ask her about it. Hubbs gives an acute description of the taboo of Baba Yaga's knowledge and whereabouts, which is reminiscent of the taboo associated with the veil hiding the wisdom of the Egyptian high priestess-goddess Isis:

"The tree hides her passage from the view of the mortal. No human must break through the veil of her mysterious activities. She punishes the overcurious who would learn the secret of her paradoxical nature." (Hubbs, 39)

On the superficial level this secrecy, characteristic of an old hag, marks her as a bearer of carnal knowledge on the one hand, and marginalized and alienated by the society as a non-woman (a non child-bearing woman) on the other. Thus the worlds she dwells in are, if not divine, then human, animal and spiritual; all of which coalesce into a single universe of what Freud would call "narcissistic oneness." An old hag becomes a crazy hermit, tabooed by the society because of her ability to transgress the borders of the forbidden animal world, to freely indulge in her omnipotence of travesty and transformation. If she is a Baba Yaga, no human or animal form is inaccessible to her. If she is a creator-goddess, no life or death can escape her grasp. If she is a seer, her gaze pierces any creature or thing. No wonder, she – an eternal elder – is banned from societal ideals. In her omnipotence, fierceness and uncanniness, she denotes the tabooed realms of the unconscious. That is why the worlds of her abode, her body and, by the same token, the body of an elderly female, are taboo.

Yet Baba Yaga, an eternal old hag, continues her travels, which means she continues transporting something from one world to another; and it is this role of mediator that keeps her present in the modern culture too. The *object*(s) of her transportation, therefore, become(s) particularly important in explaining this presence. Of all *transportable* objects, the knowledge of the world seems to be the most significant. Baba Yaga carries knowledge of not single world, but of all the worlds she traverses. She renders the forbidden animal instincts visible. She herself is an animal in part: Immortal, like a Sphinx, she is one with and a guardian of the entire animal world. Also, Baba Yaga transports the knowledge of self-sufficiency through the symbols of her forbidden iron breasts and mouth. She lives in the middle of the dark underworld, or an untamed wild

forest, which requires unabashed bravery and determination to enter. The heroes of fairy tales must learn their way to self-sufficiency in order for the rite of passage to take place, for their individuality to be formed. By teaching self-sufficiency, she also mediates the social constraints of law and order in her punishing and prohibiting nature:

"But if she appears in her forbidding aspects as Hekate, the mother of the dead, the underground aspect of Artemis the hunting goddess, Yaga is also the horse-headed Demeter, the self-sufficient mother without a mate, and her hut is the hut of plenty." (Hubbs, 38)

Here, Hubbs points out that Baba Yaga is a mateless mother, at whose house the presence of man (or any other creature, for that matter) is unneeded. Following Freud, such self-sufficiency, especially if demonstrated by women, represents a powerful lure to the man. As we have already noted, Baba Yaga is a syncretic character with the ability to transform herself into any human or animal form. In fairy tales she is often seen as a young maiden whose task is to lure the wanderers into her house to a) test them, b) teach them (if they pass the test), c) give them magical gifts (which they need to survive and complete their quest for the bride/groom), and d) eat them (in case they do not pass the tests or behave rudely towards her). Baba Yaga, even when disguised as a young maiden, is but a messenger, a mediator of certain knowledge, a performer of concrete functions that are needed for the heroes to succeed on their quest. As Propp notes, "functions of characters [dramatis personae] serve as stable, constant elements in a tale, independent of how and by whom they are fulfilled. They constitute the fundamental components of the

tale"[9] (Propp, 21). If Baba Yaga appears as a young woman, she presents a double test, a double twist of the fantasies returning from the underground of the repressed. In this, she manifests the self-sufficient young woman, perfectly fitting in the societal conceptualization of a woman (as capable of child-bearing) on the one hand, and the testing agency for such "ideal" women and seeking them men, on the other. It is useful to consider the following passage from Freud's essay *On Narcissism*, in order to fully understand the implications of this function of Baba Yaga:

"Women, especially if they grow up with good looks, develop a certain self-contentment which compensates them for the social restrictions that are imposed upon them in their choice of object. Strictly speaking, it is only themselves that such women love with the intensity comparable to that of man's love for them… The importance of this type of woman for the erotic life of mankind is to be rated very high. Such women have the greatest fascination for men, not only for aesthetic reasons, since as a rule they are the most beautiful, but also because of a combination of interesting psychological factors." (Freud, 88-89)

The role of Baba Yaga, therefore, becomes that of testing the narcissism of both women and men. She puts to test the sexual and egotistic desires of the travelers on their quest, who either fall victim to her seduction and end up devoured by the eternal elder, or are being reinstituted in their firm intent to sublimate the sexual instincts in order to achieve the ego-pleasing goals of their quest.

Freud also adds that narcissistic women evoke "a large part of the lover's dissatisfaction," which in our case explains why the two pairs of facets of Baba Yaga [young/old and sexually attractive/repulsive] function at the same time. The "good" facets of youth and sexual appeal aligned with self-sufficiency are there to arouse the deep-seated desires (as well as, in some cases, to test the hero), and the "evil" facets of the repugnant, aged hag are there to help sublimate the libidinal drive and divert the hero's attention in the direction of following his egotistic drives instead. In his essay on *Prevalent Form of Degradation*, Freud notes:

"This very incapacity in the sexual instinct to yield full satisfaction as soon as it submits to the first demands of culture becomes the source, however, of the greatest cultural achievements, which are brought to birth by ever greater sublimation of the components of the sexual instinct…It seems, therefore, that the irreconcilable antagonism between the demands of the two instincts – sexual and the egotistic – have made man capable of ever greater achievements, though, it is true, under continual menace of danger, such as that of the neuroses to which at present time the weaker are succumbing." (Freud, 186)

In our case, however, the "continual menace of danger" is the real danger of either being eaten by Baba Yaga or castrated in psycho-analytical terms.

Another paradoxical feature of the essence of Baba Yaga is that visiting her is absolutely required in order for the rite of passage to take place. She is the one who is banned from the society and has to live in isolation; yet the heroes must necessarily go through the encounter with this mother-monster in order to become a fully-grown individuals who are no longer dependent on the presence of mother in their life. Seemingly obvious, for she is the mother-figure, these visits are to provide the inexperienced seekers with desired guidance and magical gifts (nurture and protection). Yet these visits also have a different side to them: since Baba Yaga is also a non-mother (because of her being past child-bearing age) she is a witch and, by the same token, a *low* woman in terms of societal definitions of an ideal of a woman. She is a tabooed (non)mother, an elder and a *low* woman at the same time. Freud sees *low* women as absolutely seminal for the satisfaction of male libidinal instincts. He argues that the incest-barrier strongly influences man's ability to become sexually aroused by a woman he respects, of which the mother (or mother figure) would be the most inhibiting:

"The principal means of protection used by men against this complaint [an attempt to avoid their repressed object cathexis] consists in lowering the sexual object in their own estimation, while reserving for the incestuous object and for those who represent it the overestimation normally felt for the sexual object. As soon as the sexual object fulfills the condition of being degraded, sensual feeling can have free play, considerable sexual capacity and high degree of pleasure can be developed… The man almost always feels his sexual activity hampered by his respect for the woman and only develops full sexual potency when he finds himself in the presence of a lower type of sexual object; and this again is partly conditioned by the circumstance that his sexual

aims include those of perverse sexual components, which he does not like to gratify with a woman he respects…The necessary condition of forbiddenness in the erotic life of women holds the same place as the man's need to lower his sexual object... restrictions imposed by cultural education upon erotic life involve a general lowering of the sexual object…" (Ibid, 178 -183)

Thus, the full satisfaction is impossible when a man is dealing with a woman who arouses respect and the "high" feelings that could be associated with the feelings aroused by the mother. For the appearance of libidinal desires to take place, the object of these desires, following Freud, must necessarily be lower then that of the mother. This need for a lower mother-figure (harlot or Madonna-harlot in Freud) is the reverse of the mother-complex (which is constitutive of primary love object-choice). It is a derivation from and an opposition to the libidinal drive directed toward choosing a "loose"/ lower object instead of the more respectable one. As Freud points out in his other essay, *A Special Type of Object-Choice*, "the grown man's conscious mind likes to regard the mother as a personification of impeccable moral purity, and few suggestions from without are so insulting, or from within so painful, as those which cast doubt on the mother's character in this respect" (Freud, 168). Freud draws a conclusion that this relation "of sharpest possible contrast" between the 'mother' and the 'harlot' unravels a close connection between them, mainly, that the two opposites of the consciousness are parts of the one unity in the unconscious. These two opposites are perfectly fused, as we have already seen, in the figure of Baba Yaga.

Finally, the most profound feeling associated with Baba Yaga (or, characteristic of the figure) is uncanniness. This feeling is, perhaps, most revelatory of the complex hidden processes underlying the codification of the old hag archetype as tabooed elder. Here, the fear of Death could count as a starting point. An old woman, by definition, is closer to death than a young woman. Her looks, her lack of regard towards the social constraints also instill fear. Baba Yaga, as a conglomerate of the incest taboo, repressed desires (for mother), castration complex, and life-threat (which clashes against the basic self-preservation instinct) equals the sum of fears and anxieties. As a shadowy character she personifies Death and exercises it. An old woman – no longer a mother – therefore becomes a residue of the feeling of uncanniness, or as Freud uses it, "un-homey-ness."[10] Among the phenomena that in Freud trigger the uneasy sense of uncanniness are the following: an intellectual uncertainty (when encountering something new and unexplained), an encounter/fear of encountering a double (doppelganger in the original text), fear of death, superstitions (which turn out to be true by accident), omnipotence of thoughts (psychic insights and revelations, etc.), magic, animism and sorcery. All of the above fit perfectly in the nomenclature of an old hag archetype – Baba Yaga. The heroes of fairy tales experience intellectual uncertainty when faced with the looks and behavior of Baba Yaga. As we have seen earlier, her ways go far beyond the acceptable societal norms. She is half-human, half-animal, half-wooden (or boney, in the case of her leg), half-iron (breasts and mouth). She arouses fear and hypnotizes with her magic. As Freud concludes in his essay on the *Uncanny*, the fears and anxieties that form the foundation of the feeling of uncanniness stem from the repressed infantile complexes (from repetition of the castration complex, womb fantasies, [11] etc.).

These repressed infantile complexes frame the type of the uncanniness experienced when confronted with an old woman. Since the figure of a mother-monster, Baba Yaga, appears to touch on virtually all of the aspects of the repressed instincts, her proclivity to cause uncanniness should be of no surprise. She stands at the crossroads of civilization and the primitive world of nature. She embodies the required repressions of primitive desires, as a substitute-formation of a repulsive, life-threatening old crone. She teaches the heroes in fairy tales, and by the same token humanity, that primitive drives – of which the sexual drive, according to Freud, is the strongest – must be sublimated or "diverted" in order for human civilization to achieve higher goals. As a feeling aroused by confronting an eternal elder (female elder), uncanniness, instilled by Baba Yaga, points in the direction of social codification of the female elder as a taboo. Through the profound influences of the imagery of Baba Yaga in Russian Culture, one could trace the process of transposition of the taboos associated with these forbidden and repressed desires. The repulsive female facet of Baba Yaga, therefore, ends up denigrating the general perception of the female elder. This is an explanation of why the aged female body is overtly absent from the contemporary popular culture.

Notes

1. The original quote is a "ruling heterosexual paradigm." Butler agrees with Wittig's understanding of the place of gender/sex paradigm in social reality: "masculine/feminine exists only within the heterosexual matrix." Cf. Butler, p.141.
2. See Further Freud, *On Narcissism*, pp. 97-99.
3. In this discussion Mulvey is primarily concerned with the sources of her visual fetish of a monster: "Thus the heroes' victory represents an act of matricide that is necessarily proceeds their ascension to kinship and marriage. The male initiate celebrates his separation from the archaic and overpowering mother. The monstrous mother is archaic in that she belongs to earlier epoch, both in terms of the psychological development of child/subject and the social development of patriarchy. She is also literally monstrous, part animal, part bird, part human, belonging to an ancient realm of myth that would predate the humanoid appearance of the Olympian gods and goddesses." See Mulvey, p. 140.
4. Some of the further references of the name Baba Yaga provided in Hubbs' *Mother Russia*: "The name Yaga gives the hint of divine anger. Though some linguists and folklorists have traced its etymology to the Sanskrit for "snake" and the Russian word *est'*, "to eat," other derivations emphasize her resentful nature: Related to the Polish name for Yaga, Jezda, signifying an association with nightmares, the Slavic word *enga* means "grudge;" and the term for "brawling" is *iagat'*. This sense of denigration may be reinforced by her epithet *baba.* All married women are referred to by this derogatory name. Yet the word was originally associated with the Hittite goddess Kubaba, who evolved into the All-Mother Cybele of the Phygians. See further Hubbs, pp. 40-41.
5. Freud makes an interesting parallel between the self-preservation instinct and the erotic instinct in "superiority complex," where libido functions as both protection and a procreation impulse in the face of threat to life. Both of these notions could be found at work in a figure of the Baba Yaga, precisely because of the threat she poses to those who encounter her; as well as a test of an incest taboo, in as much as she is completely devoid of sexuality, and could not arouse any sexual interest a priori. See further Freud, *One of the difficulties of psycho-analysis*, pp. 1- 2.
6. In discussing the symbolism of attributes surrounding Baba Yaga, mortar and pestle stand out as particularly suggestive of human sexual organs. In her description of these symbols, Hubbs argues the meaning they imply is not simple: "With her golden spindle, Baba Yaga is often seen in her triune form as the three Fates to whom the hero or heroine turns in order to determine his or her destiny. She rides a mortar and pushes herself with a pestle, sweeping her tracks with a birch broom. The symbolism of the mortar and pestle is both complex and deceptively simple: It is used not only to grind grain but also to prepare the flax which women use in spinning cloth. Mortar and pestle are the instruments of destruction and of nurture and protection (clothing). In their symbolic form, they represent the human sexual organs, womb and phallus. Birth, generation, nurture and death are all conjoined here. As she sweeps through the skies, seated in her womb-mortar, propelling herself with the pestle –phallus, the old witch creates life; and with the inverted birch tree, the Tree of Life, she destroys." Yet in our case it is but another reinforcement of the syncretic character of Baba Yaga as a trope. See further Hubbs, p. 39)

7. Freud indicates that in the course of development of culture and civilization the coprophilic and sadistic elements had to be abandoned and removed. Yet some of these elements remained unchanged: "The fundamental processes which promote erotic excitation remain always the same. Excremental things are all too intimately and inseparably bound up with sexual things; the position of the genital organs – *inter urinas et faeces* – remains the decisive and unchangeable factor…The genitals themselves have not undergone the development of the rest of the human form in the direction of beauty; they have retained their animal cast; and so even to-day love, too, is in essence as animal as it ever was. The erotic instincts are hard to mould; training of them achieves now too much, now too little. What culture tries to make out of them seems attainable only at the cost of a sensible loss of pleasure; the persistence of the impulses that are not enrolled in adult sexual activity makes itself felt in an absence of satisfaction." (Freud, *The most Prevalent Form of Degradation in Erotic Life*, p.185)
8. Clarissa Estés argues that this ability of an old hag (archetypal old woman) to fuse the opposite forces of Life and Death are overtly expressed in the symbolism of objects and attributes of her abode, such as seeds and bones: "The symbols of seed and bone are very similar. If one has the root stock, the basis, the original part, if one has the seed corn, the havoc can be repaired, the devastations can be resewn, fields can be rested, hard seed can be soaked to soften it, to help it break open and thrive. To have the seed means to have the key to life. To be within the cycles of the seed means to dance with life, dance with death, dance unto life again. This embodies the Life and Death Mother in her most ancient and principled form. Because she turns in these constant cycles, I call her Life/Death/Life Mother." (Estés, p. 30)
9. Propp gives a more detailed definition of the function of the Donor in his book *Morphology of the Folktale*: "Now a new character enters the tale: this personage might be termed the *donor*, or more precisely, the provider. Usually he is encountered accidentally – in the forest, along the roadway, etc. It is from him that the hero obtains some agent (usually magical) which permits the eventual liquidation of misfortune. But before receipt of the magical agent takes place, the hero is subjected to a number of quite diverse actions which, however, all lead to the result that a magical agent comes into his hands." Baba Yaga, of course is a pure form of such function. See further Propp, p. 39.
10. Freud plays on the meanings of the related words in German to derive the reference he is using in his essay: "The German word "*unheimlich"* is obviously the opposite of "*heimlich"* ["homely"], "*heimisch"* ["native"] – the opposite of what is familiar; and we are tempted to conclude that what is "uncanny" is frightening precisely because it is *not* known and familiar. Naturally not everything that is new and unfamiliar is frightening, however; the relation is not capable of inversion. We can only say that what is novel can easily become frightening and uncanny; some new things are frightening but by not any means all. Something has to be added to what is novel and unfamiliar in order to make it uncanny." (Freud, 195-225)
11. See further Freud, *The Uncanny*, p. 219.

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Music and Service: A Beginning

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Music and Service: A Beginning

Although "Service-Learning" has become a buzzword in higher education for the 21st century, the concept of Service Learning can be traced back to the ideals of John Dewey and Jane Addams (Buchanan, Baldwin, and Rudisill 2002). Dewey's focus on pragmatism, progressivism, and experiential learning in the 1930's was a foreshadowing of today's integration of academic objectives with service to the community. According to the Wingspread Conference (Giles, Honnet, and Migliore 1991, 7), "service-learning reflects the belief that education must be linked to social responsibility and that the most effective learning is active and connected to experience in some meaningful way." In 1999, Governor [redacted] of [redacted] called for a community service requirement for all students in higher education. While that measure failed, there is another proposal by Governor [redacted] and the [redacted] Performance Review to require community service for all students in college. [redacted] is the only university in the [redacted] system that currently requires Service-Learning for graduation, four units in General Education and four units in the chosen major. While service may not be a graduation requirement yet, it is not unusual among today's college students. Currently, approximately 45% of more than 400,000 [redacted] students perform some type of volunteer work (Slater 2004). These trends toward community involvement are also evident on the national level. The highest levels of the federal government have expressed support for Service-Learning (Allen 2003), which has also been reflected in increased budget proposals by President Bush for AmeriCorps Grants and the National Service Trust (Eisner 2004).

Community service has also become common at the high school level. In a survey of entering college freshmen in 2003 conducted by UCLA, 83% reported doing some type of volunteer work in their senior year of high school, and a third of their schools included some form of community service as a graduation requirement (Engle 2004). A school in Burnsville, MN began a new program for high school seniors requiring community involvement which took several directions: design of an advertising campaign for a transit authority, volunteering at a shelter for abused women, and creative musical and literary performances (DeWitt and Joyce 2001).

There are three critical components required for a successful Service-Learning course: 1) experiential learning tied to the key concepts of the course, 2) service provided to a non-profit agency, and 3) allowance made for structured reflections to connect the learning of concepts with the service project (McCarthy and Tucker 2002). Because Service-Learning relates to academic study, volunteerism is not the ultimate, solitary goal. Allen (2003) sees four benefits to a successful Service Learning situation: 1) academic growth, 2) civic responsibility, 3) personal and social development, and 4) opportunities for career exploration. Students hopefully become more involved in their own academic and career objectives, and have a sense of the needs of the larger community beyond the university campus (Battistoni 2002). Barnes (2002) stated that a collaboration of school and community could meet the needs of both constituencies, linking newly acquired skills to real-life situations.

Connection to the community should have an impact on the professor as well as the student. It is important for the professor to become personally involved at the Service-Learning site (Clark 2002-2003), as both an expert in the subject matter and a

novice in meeting the self-defined needs of the community (Cushman 2002). Incorporating a service learning component into an academic course can also be a way for faculty to combine and address the typical University expectations for teaching, scholarly research, and service. Faculty service becomes tangible and is documented as it relates to student learning. Students may become involved in a research project and witness firsthand the scholarship of discovery and problem solving. They will be encouraged to apply and integrate classroom topics with the collaboration of the professor.

Many service learning programs or courses require a reflective writing component for the students who are participating, before, during, and after the experience. Opportunities to reflect (think, write, converse) are intended to connect the academic goals and objectives with an awareness of the needs of others, and possibly encourage a commitment to altruism. Dewey, a proponent of experiential learning back in 1933, outlined reflective activity in five phases: "1) suggestion, 2) intellectualization, 3) hypothesis, 4) reasoning, and 5) testing the hypothesis" (Dewey 1933, 107). Kolb (1984) simplifies the process of reflection into three steps: 1) consider the experience, 2) derive meaning from the events, 3) apply to further events and actions. The reflections, intended to establish connections between the service experience and the academic curriculum, should be ongoing, challenging the student to think and connect with the content in new ways (Eyler, Giles, and Schmiede 1996).

Music and Service-Learning

The connection between music education and Service-Learning seems to be a natural one. In a philosophical article by Yob (2000, 76), she states that " … service to

others provides a context for exploring the meaning and emotional effect of music, while, reciprocally, specific emotions can be focused by the service." In the area of music education, the needs of one party (future teachers lacking practical field experience) become the resource for the other (after-school recreation programs and schools without music specialists) and vice versa (Barnes 2002). Service Learning can prepare future music teachers and performers for the world of work, and may contribute to a sense of self-confidence. For musicians, these service activities could include free concerts, volunteer lessons, and service projects involving song leading and musical games. Service Learning includes music for non-musical purposes as well as musical purposes. For example, a community service choir has both musical goals (developing musical skills and an appreciation for the art) and non-musical goals (a positive attitude toward volunteerism) (McAnally 2002). Reynolds (2004) also observed the impact of future music teachers in a Service-Learning project on the classroom teachers with which they came in contact. The classroom teachers noted the improved music skills of their own students and were encouraged to further integrate music into their ongoing curriculum.

After attending a Service Learning in-service seminar at [redacted], I was intrigued by the possibilities and encouraged to incorporate some real-life applications to the general music methods class (MU 333-Music and Child Development) that I teach.

Music and Child Development, Fall 2003

In the fall of 2003, MU 333 (Music and Child Development) was comprised of a combination of music education majors (n=5) and students who were preparing to be elementary classroom teachers (n=10). In addition to the usual in-class activities such as soprano recorder practice, song-leading, movement lessons, lessons with classroom

pitched and unpitched percussion instruments, lesson planning and curriculum frameworks, students were required to participate in a Service Learning project at an off-campus site for 20% of their total grade. Several possible sites at non-profit agencies in [redacted]County were provided through the Center for Community Service-Learning at [redacted], or students could make their own arrangements at a school, daycare, preschool, or after-school program. By week three of the semester, university students were required to confirm their service-learning site, and by week five they were to have observed once at the site.

As stated earlier in the required Service Learning components, several reflective writing assignments were included in the course syllabus. In Reflection One, after the initial site visit and observation, the future teachers were asked to describe the physical setting and the children they would be working with. Most sites were in school buildings or recreation centers. The children at the off-campus sites ranged in age from five to nine, were ethnically diverse, primarily lower middle class, and in groups from approximately ten to twenty students. The service-learners were also to describe any concerns they had in preparing to teach a music lesson at the site. The primary issues they were initially concerned about were: being able to keep the attention of the group of youngsters, having an interesting lesson planned, and remembering the sequence of their lesson plan. During the subsequent MU 333 class meetings, students prepared and rehearsed the lessons that they planned to do at the community sites, and were given feedback by their peers and the instructor.

In Reflection Two, after their first music lesson on site, the future teachers were asked to describe their feelings as they prepared for the initial presentation with the

children. The dominant feeling was nervousness at the unknown (how will the children react? how will the other staff react?), but also some measure of confidence at having prepared and rehearsed the lesson in class. They were then asked to describe, "How did the students respond to your presentation?" Many described the energy, enthusiasm and eagerness of the children. There were a few instances of children that were "bored," "off-task," "restless," and "silly, hard to handle." The novice teachers were reassured that such reactions were not unusual in similar situations, and possible coping strategies were discussed. The last question to consider in Reflection Two was "What went well? Is there anything you would have done differently?" Most felt good about being able to follow their lesson plan and having clear directives, recognizing that the children were able to participate and they had learned something new (a song or musical game). Things they would like to improve included: better cuing, bringing a handout of the words for the children to take with them, adding props that would actively engage the children, using nametags to better communicate with individual students, and to raise their own expectations for the quality of musical performance.

In week ten of the fifteen-week course, Reflection Three was due. Future teachers were asked to compare a second teaching experience with the first lesson presentation. The responses were mixed. For some the second time was easier and more comfortable, while others had more difficulty with the second lesson, which involved movement. For some, unfortunately, the groups of children were also different.[1] Others were less nervous and used nametags to call on individual children. They were often

[1] While the intent was for the pre-service teachers to work with the same group of children throughout the semester, in a few cases schedules did not allow for continuity and consistency. The university students displayed considerable flexibility and resilience in dealing with less than ideal situations.

able to incorporate their self-assessment goals from the first music teaching experience. The university students were then asked to compare teaching children with teaching their peers in class. They described the children as more blunt, having a shorter attention span, more enthusiastic, unpredictable, needing more specific feedback, less critical, and more appreciative than their university classmates. Finally, the future teachers were asked to consider how they were able to apply the concepts and strategies we had discussed in class. Helpful strategies they mentioned included: adapting to the responses of the children, using individual student names and giving specific feedback, keeping students engaged by not talking too much, monitoring and assessing students throughout the lesson, doing vocal warm-ups and cuing, giving directives rather than asking questions, breaking down the task into manageable pieces, and choosing age appropriate songs and materials.

The last reflective assignment came after a third teaching presentation. In Reflection Four, the university students were asked to focus on what skills with long-term applications they were able to reinforce in these few music lessons. Several of the university students commented on the apparent joy of music in their young charges, and hoped that the children would continue to participate in some music activities. The future teachers also mentioned singing skill, self-esteem and confidence, movement to the beat, self-expression, appreciation of cultural diversity, and social skills such as cooperation and respect. They felt they had made a contribution to these young lives. They were then asked if their feelings about teaching had changed due to this hands-on experience. Several indicated their continued passion for teaching with an increase of confidence. Others acknowledged an awareness of classroom management issues and students “with

attitude." They had been confronted with the reality of the classroom. Because the majority was going to be classroom teachers of multiple subjects, the final question of Reflection Four dealt with the possibilities of integrating music into the academic curriculum. The future teachers were able to apply principles learned in the music methods class to other academic areas, such as: seasonal thematic units, age-appropriate activities and materials, interpersonal skills taught through music, principles of lesson planning, assessment, and specific feedback.

Closing Reflections

The Service-Learning experience provided challenges for the college students, professor, and site supervisors involved. The students were at the beginning stages of their teaching careers with minimal experiences working with children. They were now faced with planning activities that would engage children, dealing with classroom management and behavior issues, and often interfacing with some bureaucracy or administrative system. As "guest instructors" the pre-service teachers were at the mercy of the program director (coordinator, head teacher), and were forced to be flexible and accommodating. These are real-life lessons to be prepared for and learned from. Many were also dealing with a lack of background in their own music experience. As novice teachers, they were able to assess their strengths and weaknesses through the field experience, and apply the strategies, techniques, and skills presented and practiced in class.

The professor was challenged to provide appropriate sites, prepare the student teachers in content and presentation techniques, and to encourage success, acknowledge difficulties, and to facilitate solutions. In this particular situation, the professor also had

a diverse group of future teachers with disparate experiences in regard to the elements and skills of music. Regardless of their skill level, all were prepared to organize a lesson, to give specific directives and feedback, and to monitor and assess student performance.

The site supervisors were dealing with an unknown commodity, taking the strong and competent along with the uncertain and overwhelmed. When the professor is unfamiliar with the sites, he/she is dependent on the self-reports of the student teachers or evaluations by the site supervisors as to the quality of the presentations. There is an element of trust required from all involved.

This was a trial experiment to be learned from and further developed. The combination of hands-on applications of material and concepts learned in class, the reality of classroom management, and self-assessment through reflection appeared to be valuable tools in teacher preparation. While the young participants at the schools and after-school programs did not have the availability of an "expert" music pedagogue, they were presented with a change in their typical routine. From the anecdotal observations of the student teachers, they were often greeted with enthusiasm and a desire to please and connect. The responses and attitudes of the children, and possible long-term effects on future music involvement following this short-term venture is another topic worth exploring. While Service Learning may be a trend of the current academic and political climate, its principles and applications may prove to be worthwhile and meaningful for many generations.

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13 Music and Service

Female Sexualities Revised in "Buffy the Vampire Slayer" and the Anita Blake Series: A Third Wave Feminist Intertext

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Abstract:

This presentation seeks to bring to light intertextual connections constituting a defense of female sexual dominance that appear within specific pop cultural products that arose out of the ongoing vampire craze that began with Ann Rice's 1976 Interview with the Vampire and has been fed by the Goth subculture now entering its third decade. The focus will be on the evolution of Laurel K. Hamilton's Anita Blake Vampire Hunter series from its debut narrative of a rather prim religious girl disturbed by her necromantic powers to its current cult status as unabashed eroticism for women in which the now sexually dominant heroine learns the utility of her deviant desires. How Hamilton took the series from its initial representation of values associated with mainstreamed feminism

of the second wave to a defiantly third wave position on sadomasochism is also a story of the intertextual dialogue between Hamilton's work and the fan cult that grew for seven seasons around TV's Buffy the Vampire Slayer.

Second wave feminist literary criticism and theory developed out of consideration of intertextuality, as academics traced influences and established female traditions in order to create a women's canon. But the concept of sisterly affiliation in solidarity against patriarchy that structured this newly revised canon was exploded by the millennial "sex wars" from which feminism's third wave emerged as a movement defining itself largely in contrast to the feminism that had previously gained cultural legitimacy. Second wave feminists often dismissed popular erotic texts created by and for women because they considered them in complicity with sexist exploitation. One well-known reaction to the denigration of their pleasures by women caught up in the production and consumption of pop eroticism is opposition to feminist politics, but another reaction, which has so far received little academic attention, is a sort of revisionary response not unlike the kind that second wave feminist theorists described connecting nineteenth-century women writers' works. In these current intertexts we can also find "anxiety of authorship" resulting in deliberate building on the work of precursors, but the gender of authors seems no longer as important as the visions of possible female sexualities the texts open up. Thus we can read Laurel K. Hamilton's Anita Blake Vampire Hunter series as a response, revisionary in the same mode as fan's "slash" fiction, of Joss Whedon's Buffy the Vampire Slayer series, in which the ability to imagine female sexual dominance as anything other than pathology or evil breathtakingly refreshes old concepts of gendered sexuality.

LANGUAGE REVITALIZATION AND ORTHOGRAPHIES: THE CASE OF SOUTHERN AFRICA

Topic Area: Languages and Linguistics

Presentation Format: Paper session

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Abstract
The vast majority of indigenous languages in sub-Saharan Africa are currently in steep decline and quite a few of them are either extinct or on the verge of extinction. At the same time Africa itself remains under the firm grip of underdevelopment, illiteracy, disease, and grinding poverty. Yet, it seems, very few people are willing to establish the possible link between the adverse socio-economic conditions facing the African people and the decline in the fortunes of the languages which the vast majority of these people speak. It is unlikely that African socio-economic problems will be solved if there is continued (over)reliance on ex-colonial languages for education, mass communication, and technology; because these languages alienate the vast majority of the populations by denying them the opportunity to meaningfully participate in the socio-economic development of their countries. This paper examines the impact of ex-colonial orthographies on the development of indigenous languages in Southern Africa. It will be argued that the multiplicity of orthographies has perpetuated and reinforced the myth of the 'Tower of Babel' in Africa, thereby making indigenous languages the dispreferred choice for education, mass communication, and development. The paper also evaluates the efforts made, over the last four years, by the Centre for Advanced Studies of African Society in harmonizing the orthographies of languages in Southern Africa – work which, it is argued, lays the groundwork for revitalizing the indigenous languages and bringing the majority of the populations into the mainstream of mass communication.

VIRGIN MUSIC
or
EMANCIPATION AND BACH

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Abstract

- The presentation has two main, but unequal, parts.
- 1. Slides Ia and Ib: General reflections on *postmodernism* as being essentially a promise of *liberation* or *emancipation* from inherited categories, and above all as being an emancipation from the dominance of *history* over *thought*.
- 2. Slides II to XI: Detailed analysis and critique of the inherited system of music in the Western Tradition, from *J.S. Bach* onwards. The analysis and critique turn on the question of tuning and on the *tempered scale* (first made popular by Bach), and on the deleterious or at any rate narrowing effects on music composition and appreciation of this scale. Pre- and Non-Western musics escaped this narrowing (though at the expense of the gains, such as they are, of the tempered scale) and were richer in *musical experimentation* and *expression* as well as in *moral* and *cosmological significance*. The latter point is emphasised and a plea is entered for a more tolerant, wide-ranging, and *emancipated* approach to music.

Emancipation and Bach: Musics in the Plural

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Ia. Modernism and Postmodernism

- Modernism is the dominance of history over man, or the thesis that: ***history or time precedes and determines human thought and action***
- This idea is common to ***enlightenment rationalism*** (Bacon, Descartes, Hobbes), to ***French Romanticism*** (Rousseau), and ***German idealism and materialism*** (Kant, Hegel, Marx)
- Modernism also asserts that all times and places where the idea that history does not determine thought are ***benighted*** and that the thought of such times and places is ***not to be taken seriously***
- Modernism therefore systematically destroys everything except modernism.

Ib. Modernism and Postmodernism

- ***Postmodernism***, by contrast, promises us an ***emancipation*** from the ***tyranny*** of modernism
- It emancipates us from the tyranny of having to think that time determines thought, and leaves us free to think the opposite, or that some thought is not determined by time
- So, in particular, it frees us to think and take seriously any thought of any time, for it declares that ***no place is out of bounds and no time is out of date***
- It allows us to treat all thinkers and philosophies as ***contemporaries*** and as all equally present and available ***now***

II Postmodernism and Music

- What is true of thought and philosophy is also true of music
- The music that dominates contemporary culture (from Bach to the Beatles) is another Western modernist phenomenon
- It presents itself as the only music or as providing the only true measure for all music. It too tyrannizes over other music and fashions the appreciation and understanding of other music according to its own mould.

III. An ancient musical tale with a modern moral

- Indian story about Hanuman, the king of the apes.
- In the jungles there dwelt a noble musician who caused the Seven Notes to become embodied in seven lovely nymphs. Rama took Hanuman to the musician, and Hanuman, wanting to show off his skill in music, took up the vina and began to play. Just then the seven lovely nymphs or notes passed by. Hearing the music, one stopped, swayed and fell dead. Hanuman had sung that note incorrectly. The sister notes were comfortless and moaned and lamented her death; the musician, seeing all this, smiled, took up the vina and struck the notes loudly. As soon as the dead note was played correctly it revived and gaily rejoined its sister notes. Hanuman, thoroughly ashamed of himself, hung his head and performed penance for his silly vanities.
  - (From Curt Sachs, *The Rise of Music in the Ancient World*).

IV. Bach—the slayer of the lovely nymphs

- If the nymphs were to hear Bach's Goldberg variations, they would ***all*** now be ***dead***
- Why? Because of the ***modern well-tempered scale*** (note: Bach's 48 Preludes and Fugues are called *The* *Well-Tempered* *Clavier*)
- In such a scale, none of the intervals, with the exception of the octave are ***pure***
- What is meant by purity here?

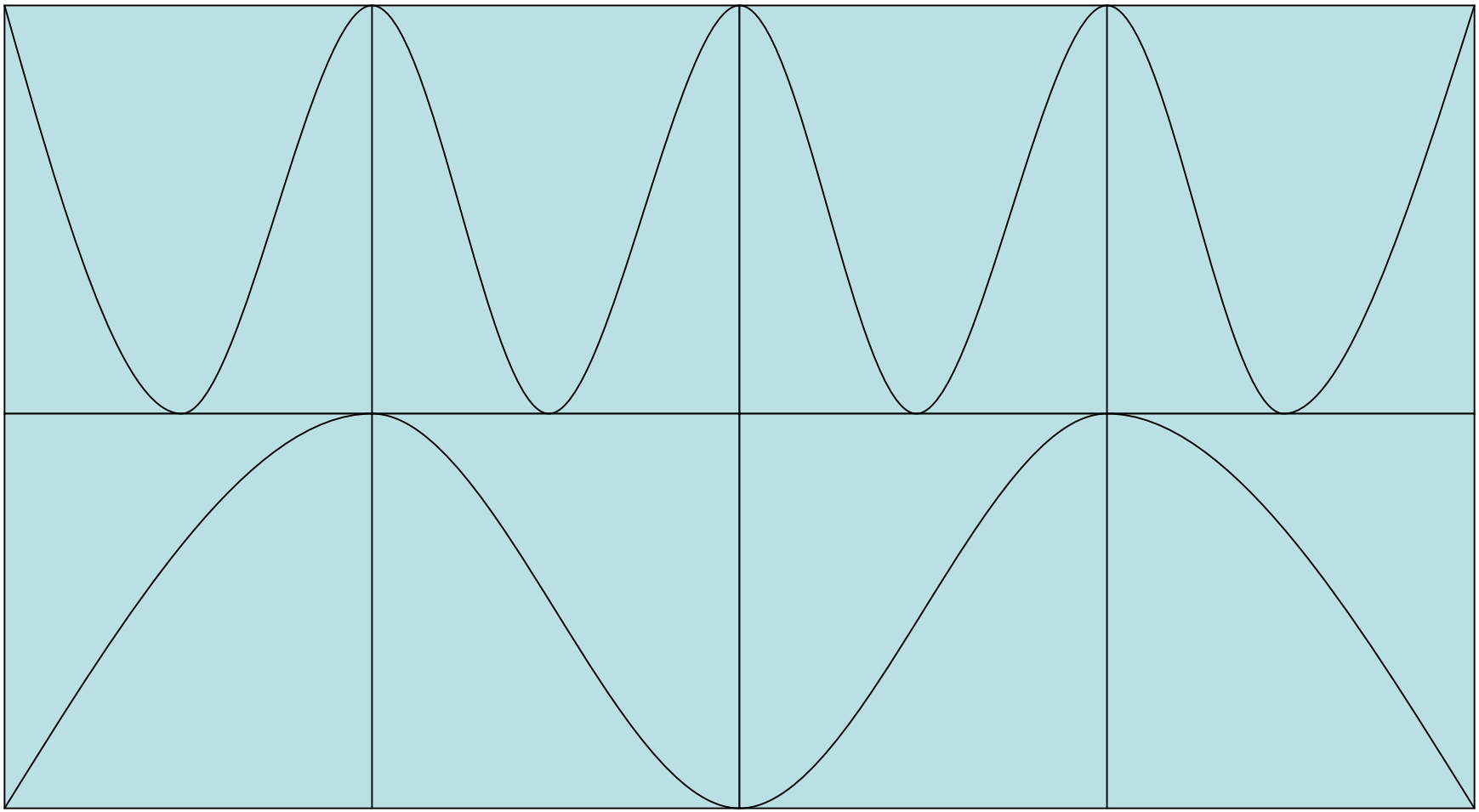
Va. Purity of Consonance

- Purity of interval means purity of consonance (="sounding together) or what sounds ***harmoniously*** to the ear
- The best way to appreciate the idea of purity of interval is by means of the ***mechanics of sound***, where one models the sound of a musical note in terms of sound ***waves***
- Consonant or harmonious intervals are those where the sound waves of the notes forming the interval fall into a pure ***mathematical ratio***

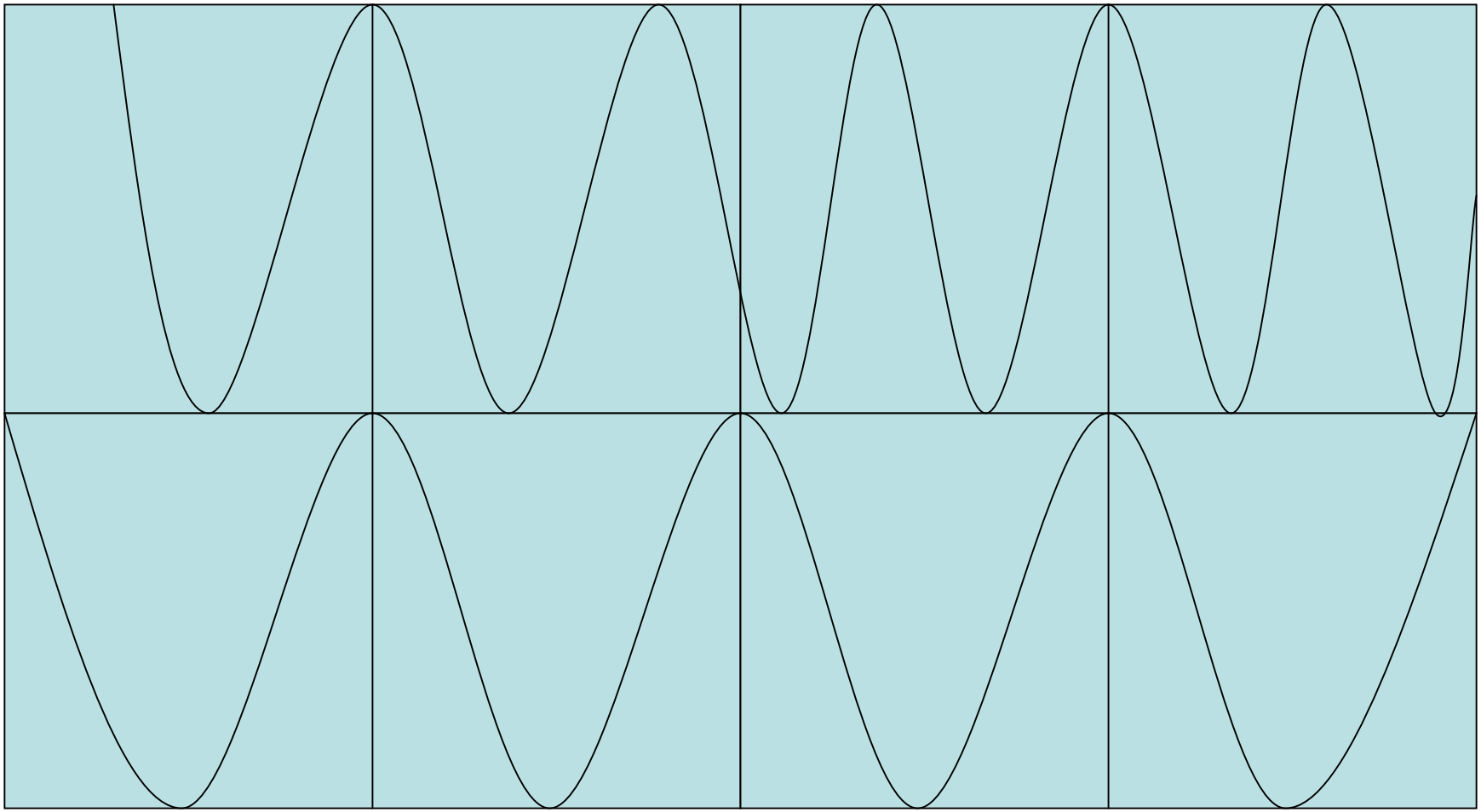
Vb. Purity of Consonance

- The consonant or harmonious interval of the octave resonates at a ratio of 2:1; of the fifth at a ratio of 3:2; of the fourth at a ratio of 4:3; of the major and minor third at ratios of 5:4 and 6:5 respectively
- In other words, the higher note of an octave is resonating twice to every once of the lower note; the higher note of fifth is resonating thrice to every twice of the lower note; the higher note of the fourth is resonating four times to every thrice of the lower note; and so on
- In terms of sound waves, this means that in an octave every second peak of sound wave of the higher note coincides with every peak of the lower note; in a fifth every third peak of sound wave of the higher note coincides with every second peak of the lower note; etc

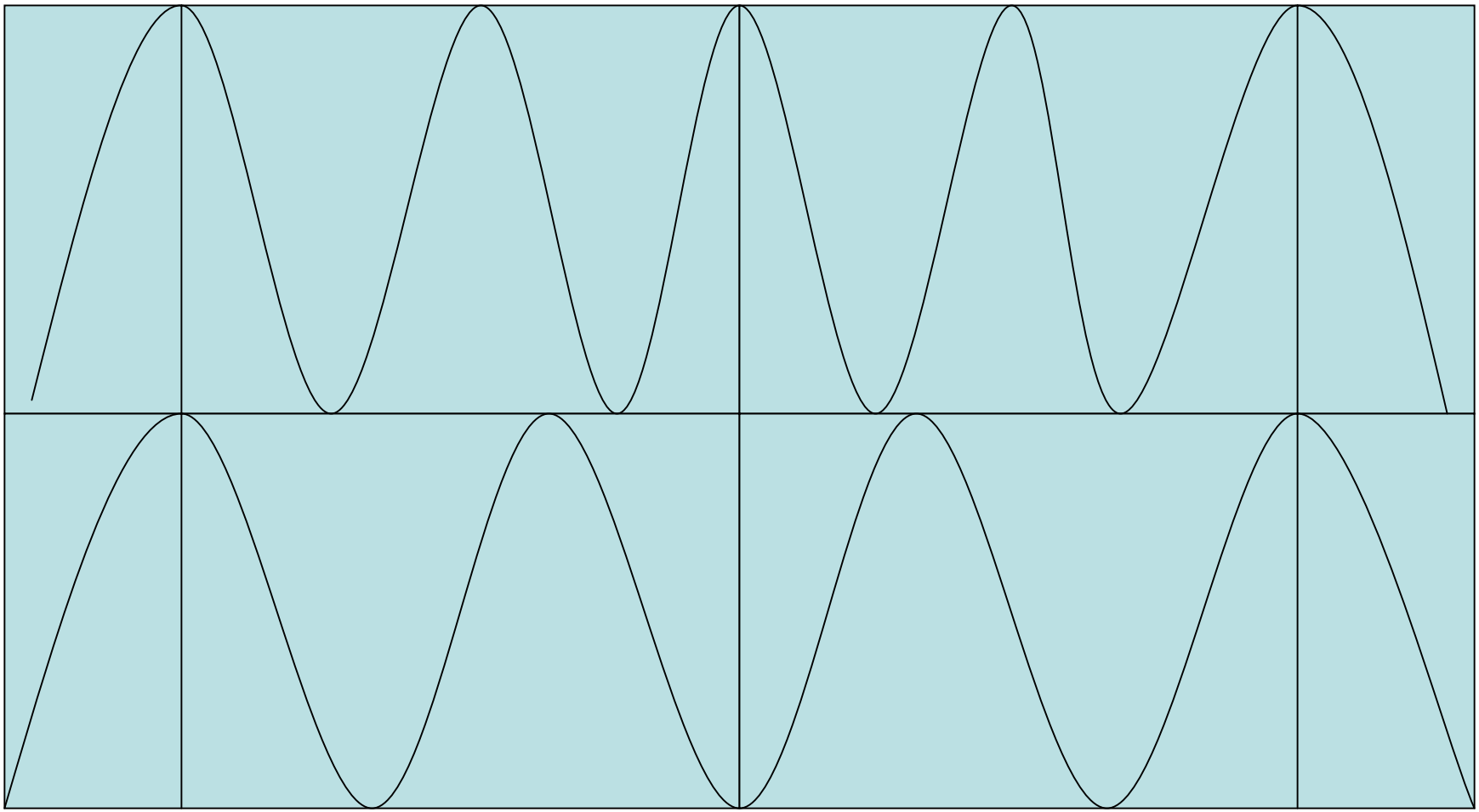
VIa. Pure Octave—2:1



VIb. Pure Fifth—3:2



VIc. Pure Fourth—4:3



VII Calculating in Cents

- For ease of calculation, modern musicians have devised a way to measure musical sound waves and intervals in terms of ***cents***
- The basic idea is to take the modern twelve semitones in an octave (say from C to C including sharps) and divide the total interval into 1200 units, or cents = hundredths, for in the modern scale there are, by convention, 100 cents to every semitone
- In this way it is possible to visualize the differences between intervals in the modern tempered scale and the pure intervals of natural consonance
- A standard and ancient way to construct a scale of natural intervals, or to tune an instrument, is the ***up and down method***: start from any given note and move up the pure interval of a fifth, down the pure interval of the fourth, up another pure interval of a fifth, down another pure interval of the fourth, and so on until one has all the notes one needs for the piece of music one wants to play
- Note, therefore, the following differences between a tempered and natural scale

VIII. Tempered and Pure Intervals as Measured in Cents

- Tempered intervals (from C to C):

C	#	D	#	E	F	#	G	#	A	#	B	C
000	100	200	300	400	500	600	700	800	900	1000	1100	1200

- Pure intervals (by 5th up and 4th down method):

C	#	D	#	E	F	#	G	#	A	#	B	C
000	114	204	318	408	522	612	702	816	906	1020	1110	1224

- Tempered intervals an octave higher

C	#	D	#	E	F	#	G	#	A	#	B	C
1200	1300	1400	1500	1600	1700	1800	1900	2000	2100	2200	2300	2400

- Pure intervals an octave higher

C	#	D	#	E	F	#	G	#	A	#	B	C
1224	1338	1428	1542	1632	1746	1836	1926	2040	2130	2244	2334	2448

IXa. Back to Bach

- Notice that in the tempered scale which is common to all modern Western music—baroque, classical, romantic, jazz, pop, rock, rap—***no intervals are pure*** (except the octave, and even that is not the octave one would get by the up and down method)
- But why this change from the intervals used by everyone always everywhere until the time of Bach?

IXb. Back to Bach

- 1) The desire to have a multiplicity and a variety of notes all sounding together, for ***chords*** and chordal ***progressions*** (cf. ***counterpoint***). Impossible to have tolerably harmonious piling up of notes without a tempered scale. The purer one's notes the more one must play single or few notes within one octave
- 2) The desire to have many sounds coming from many instruments: the ***modern orchestra***. How to get many instruments playing many notes in harmony at the same time? Make all instruments conform to some ***common measure*** or standard.
- Note: Most instruments, as wind and stringed instruments, have no or few ***fixed intervals***. A violin string can be stopped at any point and notes can be played at any interval. The fixing of common notes and intervals is met by having an instrument with fixed notes at fixed intervals from which all other instruments take their cue.
- This common instrument is the keyboard or ***piano*** (the ***guitar***, the instrument of choice in pop music, has the same character because of its frets). Hence the dominance of the piano and guitar in Western music comes with the dominance of the well-tempered scale, and the ***five bar staff*** for writing music

IXc. Back to Bach

- All these changes are related to and required by the desire for ***variety*** and ***multiplicity*** and ***novelty*** of sounds and styles
- Hence the ***rapid*** development (200 years) of modern music from Baroque to Pop
- Hence also the desire to ***shock*** (cf. Stravinsky's *Rite of Spring*, Heavy Rock, and Rap Music)—until the novelty and shock wear off
- Yet all this novelty and variety arises and takes place against the background of an ***abiding and unchanging sameness***
- The sameness of the tempered scale and the fixed notes and intervals characteristic of the keyboard (and the guitar).
- Appearance of ***simplicity*** and ***dullness*** beneath the ever changing ***surface*** of Western music, for instance…
- An Eskimo singer who, upon hearing a recording of a modern Western song, said, "Many, many notes, but no better music"
- Albanian folk musician taken to hear a performance of Beethoven's *Ninth Symphony*, who said afterwards, "Fine, but very, very plain"
- The educated Chinese lady who, after hearing Mozart's *Requiem*, acknowledged its beauty but thought little of its "superficiality" (Curt Sachs, *The Wellsprings of Music*)

Xa. Back to pre-Bach

- Listen to traditional Indian or Chinese or Japanese music, or European Music of the Ancient and Medieval Worlds—Buddhist or Christian chants, Indian Ragas
- These have all the opposite characteristics
  - not based on or tied to the keyboard
  - not marked by a multitude of notes or by chords and chordal progressions
  - spare and unadorned
  - lacking in (obvious) novelty and variety
  - what is thus lacking in obvious or immediate impressions, they make up for in depth and penetration.
- Dimensions to music that modern Western music tends to obscure, but which in other musics come to the fore. I mean: the ***cosmic***, the ***psychic***, and the ***ethical*** dimensions of music.
- Cf. Schopenhauer (one of the few modern philosophers to treat music with philosophical seriousness): "music expresses in a perfectly universal language, in a homogeneous material, mere tones, and with the greatest determinateness and truth, the inner nature, the in-itself of the world" (*The World as Will and Idea*)

Xb. Back to pre-Bach

- Pythagorean idea of the ***harmony of the spheres***, that as the spheres revolved according to perfect ratios, so they sounded in perfect intervals, and thus gave voice to the inner order of the cosmos.
- Orpheus tamed animals and made the trees and rocks move at the sound of his singing.
- Similar ideas found in the Bible, in India, and especially among the ***Chinese***. So:
- "the ***four seasons*** were separated from one another, not only by definite amounts of time but also by musical intervals: there was a fifth from autumn to spring, a fourth back to winter and a fifth to summer."
- "in music man took the heavy responsibility for either strengthening or imperiling ***the equilibrium of the world***. And his responsibility included the world's truest images, the dynasty and the country; the ***welfare of the empire*** depended on the ***correctness of pitches and scales***. As a consequence, the readjustment of music was one of the new emperor's first acts; for would the preceding dynasty have been eliminated unless its music was out of harmony with the universe?" (Curt Sachs, *The Rise of Music in the Ancient World*).
- Plato on the ***decline of Athens*** because of ***a failure to keep to the ancient music***.
- In India the different ragas worked on and belonged to certain ***hours of the day and seasons of the year***, e.g. a certain musician sang one of the night ragas at midday: "the powers of his music were such that it instantly became night, and the darkness extended in a circle round the palace as far as the sound of his voice could be heard"

Xc. Back to pre-Bach

- Myth and Superstition? Perhaps, but if music does have such powers, then…
- Modern Western music probably deficient in cosmic, psychic, and ethical power
- Other musics probably rich in such power, since "each note is an entity in itself, calculated to evoke in the mind of the hearer a special reaction...The impression made by one note is followed by another, still another. There is thus a compelling, inevitable suggestion of a mood, an atmosphere...“
- Also the power of other musics hard to appreciate. Not everyone can appreciate every music, but some music is fit only for the ***wise*** and the ***virtuous***, while other music is fit only for the ***vulgar***, the ***crude***, and the ***uneducated*** (Cf. Aristotle, Confucius)
- These things ***affront*** modern prejudices. But the promise of postmodernism requires us to try to understand and even embrace them.
- If such music, or all music including Western music, does have the powers attributed to it, and if our lives and the cosmos are affected, for better or worse, by the kind of music we enjoy. Can we as modern cultures remain complacent in our preference for Western music?

XI. Coda: A Plea and a Proposal

- Our life is a product of our ***art***. Life is ***artificial*** life.
- Music is an ***art of life*** applied to sounds and reflects what we are doing with the rest of our life and to express the same ***attitudes*** and embody the same ***expectations*** and ***drives***.
- A fevered pursuit of obvious and common ***pleasures*** seems to characterize the life we make for ourselves within modern culture
- Western music has the same character—the love of many and varied sounds together is a love of obvious and common pleasures. The ***subtler*** and ***purer*** pleasures of non-Bachian musics require time and meditation to appreciate.
- Common and obvious pleasures have their place. We moderns seem to have an ***abundance*** of these and a ***dearth*** of the subtle ones.
- The artifice in our lives is ***limited*** and ***one-sided***
- We should learn from ***other cultures*** use their artifice to balance our own.
- That is a promise of postmodernism for us moderns
- Do not presume on ***our own art*** to make our lives but open ourselves to ***other art and artifice***

Finis

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Title:

Street Furniture Design for Pedestrian Precincts: A Balanced Approach

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Abstract

In order to improve the leisure time of residents and to attract tourists, many cities have developed pedestrian precincts in busy urban areas. Since 2003, a research and design project on street furniture for pedestrian precincts has been conducted in Hong Kong. The project includes intensive field observations; direct, in-depth interviews; and proposals for design concepts. Using the project as an example, this paper argues that the principle of "balance" in design is very important. That is, a balance should be maintained between (a) economic benefit and improvement to quality of life, (b) international perspectives and local cultural characteristics, (c) the interests of tourists and local residents, and (d) management and flexibility of use.

Street Furniture Design for Pedestrian Precincts: A Balanced Approach

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Introduction

In order to improve the leisure time of residents and to attract tourists, many cities have developed pedestrian precincts in busy urban areas. In recent years, Hong Kong has also started to turn more streets into pedestrian precincts. Since 2001, site visits have been conducted in these precincts. We have studied the quality of the design of these precincts, in particular the street furniture found there. Since 2003, in further collaboration with the government departments and related organizations, a research and design project on street furniture for pedestrian precincts has been conducted in Hong Kong. Based on the findings and experience of the project, the following paragraphs argue that "balance" is the keyword for a good quality design.

Street Furniture Design and Quality of Public Space

Street furniture design is very important for improving the quality of the public space. As mentioned by the *Creators* of the Roppongi Hills regarding the designs of streetscape and street furniture there: "Design has the potential to improve people's lives that is why I became a designer" (*Roppongi Hills Handbook*, 2003, p. 17). As also identified by the *Creators*, good designs attract people (that is, residents and visitors) and provide them with good experiences.

In fact, in recent years, there have been increasingly attractive examples of new street furniture designs in foreign cities. These designs not only provide a high quality of leisure environment to local residents, but also attract thousands of visitors. The above-mentioned street furniture in the Roppongi Hills is a good example (Figure 1). After the Roppongi Hills redevelopment project was completed in spring 2003, many tourist agents in Japanese cities and other countries began touting the street environment and furniture of key tourist spots as a key selling point of trips and tours. Today, thousands of visitors stay, explore and enjoy shopping in such districts (see Note 1).

Figure 1. The street furniture in Roppongi Hills, Tokyo, attracts millions of people to visit the place (photo taken by the author).

However, this does not imply that these *attractive* examples are successful in all ways and satisfy all city users. Some urban researchers and designers question whether these kinds of designs can improve the quality of live of the public, for example, providing a higher quality of public space as well as daily life for local residents.

Some also query whether a successful model (designs) of streetscape and street furniture can be applied to other places, especially without considering local needs: cultural, social and environmental. The case of Chicago is a good example. In 1999, the street furniture "Cows on Parade" (that is, creative street decoration/products) was successfully implemented in Chicago. Residents and visitors liked it quite a lot. After that, other cities in the United States and Canada tried to copy the model and installed similar products in their streets. The final outcomes were not satisfactory.

As another example, the traditional Chinese pattern appearing on the streetscape and street furniture in some old and historical cities of the Chinese mainland seems quite acceptable. This kind of pattern in general matches the overall environment and lifestyle. However, while this kind of traditional pattern is directly copied in many modern Chinese cities or some modern Chinese towns without careful consideration of the *local* cultures or the *already transformed*

cultures, much of this kind of so-called Chinese style and traditions has become arbitrary and outdated.

Pedestrian Precincts (and Street Furniture) in Hong Kong

In recent years, the Hong Kong government has developed pedestrian precincts in busy urban areas, such as Causeway Bay, Central, Wanchai, Mong Kok and Tsim Sha Tsui (Environmental, Transport and Work Bureau, 2004; Tourism Commission, Economic Services Bureau, 2000) (Figure 2) (see Note 2). The government claims that these precinct projects are to improve the quality of public space: the streetscape and its facilities.

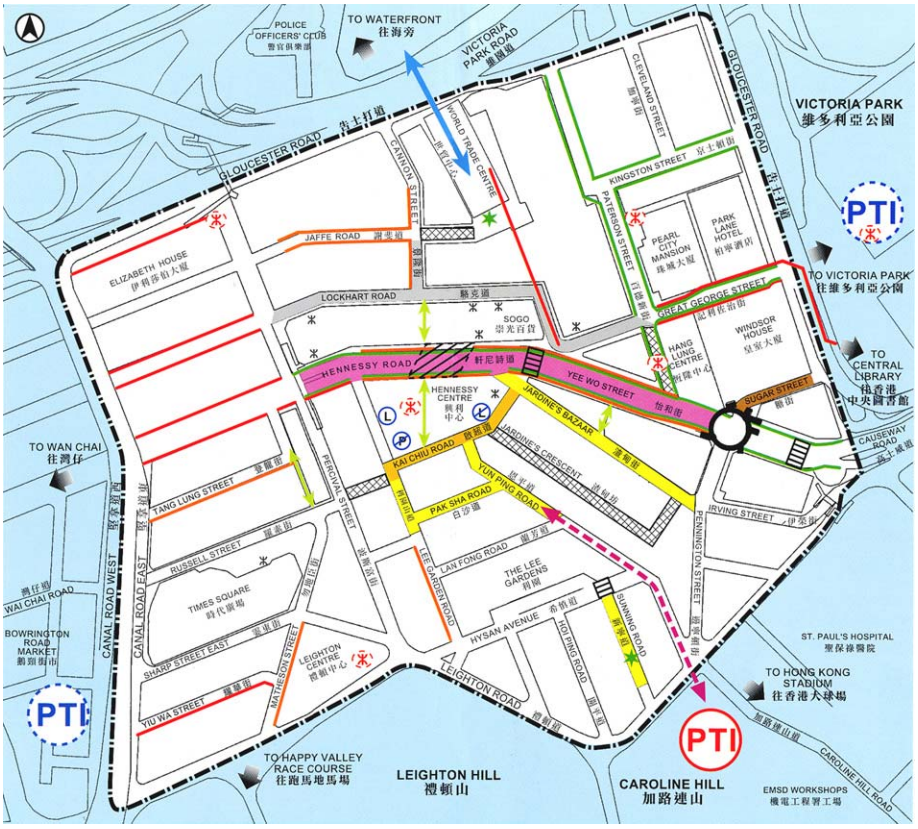

Figure 2. Pedestrian plan for Causeway Bay in Hong Kong (proposal by the Hong Kong Government)

It is clear that these pedestrian precincts successfully *attract* thousands of Hong Kong residents and tourists, not only on holidays but also on weekdays. In fact, this "attraction" more or less reflects the government's as well as the developers' intention in constructing these kinds of pedestrian precincts: to attract people to go, stay, and consume there. However, according to the complaints of many urban researchers and designers when they see current

street developments, these kinds of "street" are no different from shopping malls (or theme parks) (Anderson, 1978; Appleyard, 1981; Jacobs, 1993; Mourdon, 1987; Southworth & Ben-Joseph, 1997). The possible difference may be that this kind of precinct is more exposed to the outdoor environment, which enables it to attract more people and offer a better package of greater *publicness* and *openness* (Siu, 2003).

Nevertheless, when reviewing the designs of these pedestrian precincts, it is not difficult to notice that the government has done little to improve the design of these public spaces and the street furniture there. What the government has done is simply to pave the road with specific bricks (to separate it from normal roads), provide simple street lights, and set up barriers and signs. Although some new street furniture has been installed in some pedestrian precincts, there has been little in-depth planning and design of this furniture: for example, how it relates to Hong Kong people's daily lives and reflects the local culture. In short, there is a lack of serious consideration of what is a better quality of design of the streetscapes and street furniture. The so-called good quality of design seems only to be equivalent to a better packaging of streets, enhancing and motivating consumption.

Research and Design Projects in Street Furniture

To promote street furniture design and improve the quality of pedestrian precincts, since 2003, in collaboration with the Urban Renewal Authority and other related departments, a research and design project has been conducted in several locations in Hong Kong. The role of the Urban Renewal Authority is to identify the sites that are under redevelopment with the design team, and give advice related to the project. Other related departments, such as the Highways Department, the District Councils and the Food and Environmental Hygiene Department, have been contacted for information. The design team is responsible for carrying out research and proposing design concepts. The research activities include intensive field observations, direct and in-depth interviews. With close discussions with the related departments, design concepts have been proposed to the Urban Renewal Authority for comments and considerations.

Balance: A Better Quality of Design

According to the findings and experience of the project, to have a better quality of design for pedestrian precincts as well as the street furniture there, we suggest that the principle of "balance" in design is very important:

(A) Economic benefit and improvement to quality of life

- As indicated in the *Hong Kong Policy Addresses* as well as by Chinese leaders on many

occasions, economic development is and should be Hong Kong's major concern (see *The 1998 – 2003 Policy Addresses*, 1998-2003). This leads the Hong Kong government to consider urban matters always from the economical perspective. Thus, the development of pedestrian precincts is intended mainly to promote the consumption of local residents and visitors. It is also the reason why the government claims that this kind of precinct is a good way to promote Hong Kong's image in business and tourist industry. However, economic benefits are not necessarily equivalent to improvements in the quality of life of residents. On the contrary, sometimes there are contradictions between the two.

- There are functions and performances organized in these precincts. Some of them may not be directly related to the promotion of consumption. However, most of these activities do not make (and are not intended to make) any significant improvement to the quality of Hong Kong people's leisure time. In fact, as pointed out by many urban sociologists, these activities are mostly organized for the sole purpose of creating an atmosphere that attracts more people to visit this kind of place of consumption, and ultimately are expected to induce consumption.

- The most important point is that this kind of consumption- and carnival-oriented environment and activity does not motivate and stimulate in-depth and meaningful human interactions, that is, community and neighborhood communications (Davies & Herbert, 1993; Kato, 1993).

- As pointed out by Lefebvre (1996), people should have a "right to the city". However, the fact is that the grassroots class gains little benefit from this kind of pedestrian precinct (Siu, 2003). It is meaningless to them whether more or less consumption takes place, though they can still take part in window shopping in these areas. More accurately, people without consumption power seem to be implicitly excluded from this kind of consumption-oriented precinct.

- According to our analysis, taken together with the experience in foreign countries (Anderson, 1978; Jacobs, 1993; Mourdon, 1987), one of the important questions in promoting quality of life for Hong Kong people is how to make the best use of such kinds of streets and street furniture, to provide an opportunity and to attract people to stay and take part in community and neighborhood communications. As indicated by some urban sociologists (Davies & Herbert, 1993), simple wandering without an assigned purpose and program, and only meeting friends for casual chats, enjoying the local culture,

appreciating the community way of life and particular architecture, and taking a break and relaxing from busy daily urban lives are enough to nurture and upgrade people's quality of life.

(B) International perspectives and local cultural characteristics

- The Chief Executive of Hong Kong SAR announced that, to upgrade people's quality of life, Hong Kong needed to work towards becoming a cosmopolitan city in Asia and achieving a status comparable to that of New York and London (*The 1999 Policy Address*, 1999, para. 43-44). This philosophy has in fact directed the major thinking of policymakers and the development of urban affairs. Having an international perspective and "rush, Asia and a world of trends" have always been the major and sometimes the only "vision" of Hong Kong. Thus, when planning and constructing pedestrian precincts, meeting international standards and promoting the "attractiveness" of the city generally dictate the design details. In contrast, local cultural characteristics always become relatively less important or just a gimmicky decoration. For example, a very expensive sculpture produced by a well-known sculptor and at a very expensive price may be installed in a pedestrian precinct. However, whether this sculpture is meaningful to Hong Kong people is questionable.

- Reviewing new plans and constructions in Hong Kong's public space, it can be noticed that policymakers, planners and designers always like to adapt foreign designs to Hong Kong's environment and situation. This kind of thinking and mentality is easily reflected in the proposed Fisherman's Market, the coming Disney Land and the recently opened Star Boulevard. One may argue that most of these kinds of proposals and designs are not copied directly from other places. However, if we inspect these projects carefully, we notice that the slight modifications are always only due to the physical (that is, spatial) constraints. There is little reflecting and matching local characteristics or promoting local cultures.

- On the other hand, cultural or traditional elements have sometimes been incorporated in the design of these pedestrian precincts and their facilities. However, as discussed above, most of these "decorations" are superficial. They are unable to enrich the social and cultural life of residents and promote local characteristics to visitors.

(C) Interests of tourists and local residents

- It is a fact that many tourists expect to have a good shopping experience in Hong Kong –

a shopping paradise. According to our observations in these pedestrian precincts, it is clear that many tourists enjoy shopping in these consumption places. In addition, it is also true that not only tourists, but also local residents like to carry out different kinds of consumption in these places that are full of "attractions" and "decorations".

- However, as discussed above, while this kind of pedestrian precinct aims at attracting consumption, many people (especially from the deprived groups) seem to be excluded from these places.

- Sennet (1988) points out that people's movement inside public space must be controlled because uncontrolled activity should not be included in the flowing and consuming activities. This message exactly illustrates the plan and design of the current pedestrian precincts in Hong Kong, as well as the street furniture there. In order to prevent people from staying in one place (that is, engaging in social interaction), which is not advantageous to consumption, space for people to roam freely (without consumption) is very limited in pedestrian precincts. Any street furniture not directly or indirectly related to consumption is also not recommended. For example, sitting devices encouraging people to stay (affecting circulation) are not encouraged.

- Nevertheless, not all tourists enjoy these places of consumption. As Ooi (2002) and Walle (1998) pointed out, many travelers (see Note 3) expect to feel and experience local cultures and characteristics when they visit other places.

- Further, the goals of consumption-oriented tourism and economic development mostly contradict local residents' original lives. Foreign and local experience tells us that many redeveloped areas, like pedestrian precincts, will ultimately exclude the original residents of the district. Times Square in Causeway Bay, where deprived groups once gathered, is a good example. After the construction of the shopping mall and pedestrian precincts (shopping arcades), the living standards as well as the rent have increased. In turn, many original residents have been forced to move to other districts far away from the urban areas.

(D) Management and flexibility of use.

- Lynch and Carr (1990) emphasized the importance of freedom and control in public space: that is, open to choice, open to active use and manipulation, open to view and understanding, open to access, open to new perceptions and experiences.

- However, Lynch and Carr (1990) also agreed that it is very difficult to balance management (control) and flexibility of use (freedom): a dilemma (Lynch, 1981, p. 152). The government, planners, designers and in particular the department responsible for the management of pedestrian precincts should agree that the need to face different users with diverse needs and expectations creates a dilemma.

- To design and maintain good street furniture in pedestrian precincts, which are often the most congested places, is also difficult. For example, even an apparently simple issue such as whether a bench should be designed in such a way as to allow people to sleep on it is a difficult decision in design and also a difficult action in policy execution.

- To solve these difficulties, the Hong Kong government usually takes the most conservative and *safe* decision; that is, more control and less freedom and flexibility. This is also the reason why some barriers have been attached to the middle of benches, and so little street furniture appears in pedestrian precincts. Sometimes "none" is the best word for management. For example, as mentioned by an officer responsible for the management of a pedestrian precinct, fewer facilities on the street would result in less trouble and fewer problems.

- As also mentioned by some officers and designers, the one-off cost of installing more street furniture (even the so-called high quality furniture) on streets is not so significant when compared with the whole urban redevelopment and street beautification process. Theoretically, there should not be any significant difficulty involved in designing or purchasing street furniture that is more flexible in its use. However, the long-term cost of its management (and maintenance) is the crucial consideration.

Conclusions

Street furniture design is important for improving people's everyday life as well as promoting economic development. How and what is a good quality of design is important. It is apparent and indeed true that there is no perfect design. A good design depends on whether it meets the diverse needs and expectations of the user.

According to the research and design experience we have obtained from real projects on pedestrian precincts, the current approach to designing public space and street furniture is too biased towards certain aspects, such as economic benefit, international perspective,

standardization, control and management. In turn, there is little emphasis put on the considerations of diversity, local culture, everyday-life experience, community and neighborhood interaction and communication, etc. Therefore, we suggest/propose that a "balance" approach to design should be adopted. To achieve a balance, we suggest having more and continuous investigations. Design should also be considered as a collaborative work among different sectors and the collective result of the participation of different users, rather than only the imagination of the designers.

Notes

[1] See the tourist information websites: www.peacetour.com.tw/, hk.news.lycosasia.com/arts/hksh/1001417.html, hk.travel.yahoo.com/030817/87/tsxh.html

[2] Some of these streets function as pedestrian precincts only on Sundays and holidays. On weekdays, these streets still allow a certain degree of vehicular circulation.

[3] Some critics like to distinguish tourists and travelers according to their intentions and the activities they conduct in the places they visit. The tourist can be considered as a seeker who only traces *tourist-markers*, while the traveler can be understood to be an adventurer who explores *authentic* local lives.

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THE COLOR PURPLE: AN INTERDISCIPLINARY APPROACH

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Introduction

The following paper explores a number of ways to approach Spielberg's film adaptation of The Color Purple in order to stimulate students to participate in interdisciplinary readings and discussions of Alice Walker's novel The Color Purple. Cues from the postmodern notion of intertextuality open discussions of race, gender, and the body. The disciplines of folklore and anthropology offer inroads to understanding some differences between oral-based and literature-based cultures. Finally, musical cues and postcolonial perspectives offer sites of cultural production within an alternate or local U.S. culture. Showing the film to a classroom of students who have read the novel can help those students unfamiliar with African-American social and cultural ways to become familiarized with the notion of oral tradition. In societies based in oral tradition, the printed word, or literature, is not the basis of cultural conveyance. Rather, the basis of oral tradition resides in modes of communication—rituals, the spoken word, and performance—that engage multiple senses on the part of both audience and presenter,. The antiphonal, or call-and-response, emphasis is quite different from western cultures' privileging of the printed word, which communicates in one direction, from the text to the reader.

The African-American oral tradition includes music, language, folklore, dance, ritual, and other customs derived from the first groups of African-Americans who were brought to this country in the 17th and 18th centuries. The language, performance, and music of the film adaptation of The Color Purple may be regarded as representations of a larger cultural content: that of African-Americans in the U.S. South during the early part of the twentieth century. I call

such cultural content a cultural text, one whose boundaries include but are larger than the printed words in the pages of a novel—any novel. My definition of text is adapted from Mikhail Bakhtin's in Problems of Dostoevsky's Poetics. An interdisciplinary approach to teaching the novel The Color Purple can effortlessly employ the film adaptation as a tool for addressing the larger cultural text of the novel—early twentieth century African-American life—with the goal of inspiring complex, nuanced readings of the text, both the printed pages and the implicit text. Thus, I employ the film as a supplementary audio-visual tool that addresses music, performance protocols, storytelling methods, and social politics referenced, but obviously not audio-visually realized in the pages of the novel.

The Politics of Race, Gender, and Sex: An Intertextual Approach

In the case of The Color Purple, both novel and film are colored by issues of sexual and racial politics. The story of The Color Purple is not a new one. In many ways it is a familiar one. The novel The Color Purple is an epistolary novel, meaning that it is a series of letters from beginning to end. The central character Celie by age 14 has borne two babies by a man she believes to be her father. She believes her father killed her first born and sold the second infant to a couple in town. In response to her father's warning to tell no one but God about these atrocities, she writes a series of letters to God over a period of years. Her father offers her to the brutal, widowed farmer whom she refers to as simply Mister___. Mister, whom we later discover is named Albert, marries Celie to get free housekeeping, child care for his children from a previous marriage, and regular sex. Celie helplessly and joylessly tolerates the sex he initiates. Her sister Nettie avoids her father's sexual advances by running away from home to join Celie and Albert in theirs. Once Nettie is thrown out of her new home for rejecting Albert, however, she joins a missionary family headed for Africa.

The novel from which the film The Color Purple was adapted is a confluence of European, American, and African culture, although we can situate it in an existing tradition of Black women writers, a tradition from which I will draw a bit later. An epistolary novel from the British tradition that predates, and in some ways anticipates, the 1982 novel The Color Purple is Samuel Richardson's 1740 best-selling novel Pamela; or Virtue Rewarded. In addition to the epistolary format, the two novels The Color Purple and Pamela have motifs in common, including sexual molestation, domestic servitude, and marriage. The titular character of Pamela is a housemaid in the home of a British squire. She suffers abduction, deception, and several instances of molestation and near-rape by her pursuer, the British squire. Pamela's mistreatment is closely tied to her class and position as a domestic. Both novels handle names for the male antagonists in strikingly similar ways. The male antagonist of Pamela is never called by his full name. The titular character Pamela calls him either "Mr B." or "my master." Similarly, Celie in The Color Purple calls her husband Mr. __ rather than by name until the last pages of the novel. We can learn much about the role of novels as social commentators if we read The Color Purple from a perspective of intertextuality. Mikhail Bakhtin defines intertextuality as commentary on past texts and by later texts. From such a perspective, and with the definition of text as a larger entity than a physical book, we could say that The Color Purple comments on Samuel Richardson's Pamela, keeping in mind that intertextuality is not necessarily commentary directly from one novel to a previous one, but is commentary from one text about another.

Again, from the perspective of intertextuality, The Color Purple could be said to speak to the text of the 1859 African-American woman's novel Our Nig, particularly in regard to Our Nig's suppression of scenes of sexual molestation. In the novel, a young, beautiful, mixed-race female child of seven named Frado has been abandoned by her mother, who has deposited her in

a household from hell. Frado is the "Our Nig" of the title. The author Harriet Wilson's self-identification as the central character is one of several attributes informing readers that this novel may be read as if it were a slave narrative. The title page reads: Our Nig; or, Sketches from the Life of a Free Black, in A Two-Story White House, North. Showing That Slavery's Shadows Fall Even There. By "Our Nig." Following punishment, young Frado usually receives comfort from a male of the family in her little attic bedroom, while both sit on her bed. Frado's bedroom is accessible only through a long, dark, unlit passageway. The bed and dark passageway can be read as metaphors for sexual exploitation. The bed is the only seat in the room, an indication of the complicity of the entire household in the physical and sexual exploitation of Frado. Yet the novel narrates Frado's many violations as non-sexual—physical beatings, torture, and other brutalities, but never sexual violation. According to Cynthia J. Davis, Frado's "body in pain" is a metonym for the sexualized black body. Our Nig uses physical beatings and torture rather than sexual abuse, a form of abuse that the nineteenth-century public frequently misread as black female seductiveness rather than rape by the white male aggressor. During the nineteenth century, the blame for sexual victimization of black women reverted to the victims. All black women, slaves and free, were regarded as lascivious and seductive. Therefore, Our Nig's emphasis on pain eliminated damaging sexual connotations and provided a space for a black woman's "cries for help [to be] heard" (398). One-hundred-twenty years later, The Color Purple voices on behalf of black women—in a way that Our Nig could not—the physical and sexual vulnerability of the domestic—whether wife or servant—as well as the notion that domesticity is a form of servitude or slavery.

Whereas Our Nig is a sentimental autobiographical novel that uses some of the language and conventions of the slave narrative, Harriet Jacob's 1861 Incidents in the Life of a Slave Girl

is a slave narrative that uses the language and conventions of the nineteenth-century sentimental novel. The title page reads "Written by Herself. Linda Brent." The narrative recounts the bondage, the seven-year confinement in an attic prior to escape, and the flight from slavery of a handsome mulatto slave woman in the nineteenth century. Addressed to the "Women of the North," it examines the special instance of a domestic female slave who from the age of 14 is steadfastly sexually harassed by her master, until, in an attempt to retain some sense of autonomy, she finally initiates a sexual liaison with a white man of her own choosing. Incidents bears striking resemblances to Color Purple. For example, Linda's brother Benjamin is jailed and shackled for both resisting the physical abuse of his master and attempting to escape (Jacobs 355-57). Similarly, but depicting a black woman's rather than a black man's legal victimization, The Color Purple's Sofia is beaten and imprisoned for fighting back when struck by the Mayor and for refusing an unsolicited job offer from the Mayor's wife. For Sofia, a job as housemaid to Mrs. Mayor is not merely domestic servitude, but enslavement. In another similarity, the protagonist of Incidents, after losing her mother at an early age, has to work in a household in which the master subjects her to sexual harassment and implicit sexual abuse. Like the Color Purple's young Celie, Jacobs a hundred years earlier writes that Linda Brent has "becom[e] prematurely knowing in evil things" (361).

But what is the political outcome of this intertextual exploration? In the instance of Pamela, Walker's text gives several opportunities to modern readers who have been lulled into believing that slavery is over: The Color Purple provides an opportunity to see domesticity—marriage, childrearing, conjugality, housekeeping—as versions of servitude; it provides an opportunity to see modern female domesticity as a form of servitude that is synonymous with slavery; and it provides an opportunity to see the irony of eighteenth century England kidnapping

and violating African women—even as Richardson was writing and the British public was applauding the kidnapped and violated English domestic servant Pamela, whose virtue and resistance to her master are "rewarded" by marriage to her former molester and master. The irony of "rewarded" would not have been as obvious in Richardson's day. Walker's text also offers an alternate reading of events in Incidents in the Life of a Slave Girl that the author Harriet Jacobs admitted "fall far short of the facts" (335). Jacobs—though not her fictional self Linda—suffered not only verbal harassment but actual rape. From an intertextual perspective, Walker's novel can be said to fill gaps in Wilson's and Jacobs's texts, gaps concerning sexual exploitation that Wilson and Jacobs wisely decided to leave unfilled. As to an African-American cultural text, The Color Purple interrogates the valorization of domesticity and patriarchy in the African-American community.

Oral Storytelling Performance in The Color Purple: A Folkloric Approach

Though a literary work, the novel The Color Purple is situated in African-American oral tradition. In addition to oral characteristics like Celie's regionalized English and descriptions of the blues performances of the singer Shug, the novel uses several components of oral storytelling. For example, the novel uses an engaging manner of informing readers about southern African American society in the first part of the twentieth century. The engaging manner of informing, that is, through a medium of entertainment is indirect didacticism, an important component of the black oral tradition. As folklorist Harold Scheub has observed, oral storytelling is the means whereby the wisdom of the past is communicated to the present. The storytelling audience's engagement in the story ensures the transmission of ancestral ideals (16).

Film is not in and of itself a European mode of storytelling. Nevertheless, film easily accommodates oral storytelling performance's indirect didacticism, discussed above, and its

metanarrational devices, defined as storytelling techniques which avoid linear, chronological, one-way narrative. An example of a metanarrational device that is accommodated by the film medium is abrupt narrative shifts. What more effective tool for time shifts than the flashbacks and camera cuts of film? For example, in the film adaptation, we do not see Celie's growing up process; rather, the film shifts abruptly from the fourteen-year-old newlywed Celie to the adult Celie. The camera *cut*, which is an abrupt shift without transition from one scene to another, mimics the shifts that mark oral storytelling performance. For example, a storyteller produces a shift in time by backing up to an earlier place in the narrative to recall an important detail. She produces shifts in voice and perspective when she changes her voice to speak as a different character. Barbara Babcock explains that such shifts are metanarrational devices common to oral storytelling (71). A remarkable example of metanarrational shifts possible in film narrative occurs soon after Celie discovers Nettie's letters from Africa that Albert has hidden for 25 years. The camera foregrounds Celie on her porch in rural Georgia during a wide shot of a running elephant in Africa, then cuts to the Olinkes in Africa. Then the camera shifts back and forth between a scarification ceremony, represented by a huge knife moving toward the cheek of a young boy, and back again to Celie, who at this point holds a straight-edged razor in ambiguous preparation for shaving or wounding Albert. In this complex scene, Celie is reading a letter in the present time frame. Yet the camera shows events recorded in a letter produced years ago as if these events are occurring in the present. These camera cuts, or metanarrational shifts, show the workings of what Bonnie Barthold calls black, or African, time, wherein past, present, and future coexist within the same plane.

There are other ways the film adaptation of The Color Purple can be used to examine the narrative style of oral storytelling performance. First, the film's narrative is not merely verbal,

but is visual, auditory, and kinesic, or in motion, as is oral storytelling performance. The film medium permits us to hear words and sounds and to see acted out what Nettie's letters describe in the novel. This acting out of verbal descriptions in the pages of the novel bears strikes equivalent to an oral storyteller's acting out parts of a story. Second, the film, like the novel, is indirectly didactic. Indirect didacticism, according to Gayl Jones in Liberating Voices, is a characteristic of African-American oral storytelling, whose aims include not only entertainment, but also teaching of mores, history, and social values. Third, the film audience, like the audience of an oral storytelling performance, actually contributes to the telling. The film audience is not asked to respond by clapping or making sounds with their hands or by singing the chorus of familiar songs, as a traditional oral storytelling audience is. However, the film audience does participate in the telling of the film's narrative by being required to fill in any gaps in the narrative that have been created by the many visual and narrative shifts. Perhaps the following example will illustrate what I mean by the film audience's involvement in the telling. In the film, the narrating voice sometimes shifts between Celie and Nettie, getting the audience involved. Viewers must determine whether the events they are witnessing are Nettie's or Celie's version of Nettie's story. A similar audience involvement occurs with the abrupt cut from the newly wed fourteen-year-old Celie to the adult Celie. Viewers are responsible for imagining what events transpired to contribute to the self-confidence of the adult Celie.

The manner of storytelling in the Steven Spielberg film actually complements the orality latent in the epistolary form. What is literary in the novel—the letters—is complemented by the oral quality of this film. While the language in Celie's and Nettie's letters does have many of the oral qualities of speech, the film offers an opportunity to experience the orality of Celie's language first-hand, to *hear* transformations in the sisters' voices over the passage of time, and to

hear the voices and sounds of the Olinkes. This film adaptation depicts orality where the novel by its very literary nature cannot. The film adaptation in effect transforms letters, which are a literary format, into storytelling and performance and in this way is a complement to the novel's cultural text.

The Music in The Color Purple: An Ethnic Studies Approach

The novel describes black musical forms of the 1920s and 30s. Even before the opening credits, viewers witness African oral tradition: African songs and lyrics, and African hand games, accompanied by a Quincey Jones score that blends African and African-American rhythms and harmonies. Some of the words in the children's songs have African origins. Later in the film, Nettie places a ritualistic curse on Mister that is suggestive of voudon, a traditional African religion. Scenes of the juke joint that Harpo builds for the community's musical entertainment and of the church that Shug's father pastors provide another opportunity for the film to display African-American sacred and secular music from the early twentieth century and before, as well as social dances from that era. We also hear an African-Americanized version of the African poetic form, the praisesong, in the blues that Shug composes for Celie. In addition, in the film Nettie's letters have the quality of call-and-response, an African-American musical and sermonic antiphonal structure retained from West Africa. The best example of this is the reading of one of Nettie's letters to Celie, which takes the form of a duet. Like a jazz duet, whose performance begins with instruments playing first in unison, then solo, with a return to unison, the reading of Nettie's letters from Africa moves from Celie's solo voice to a chorus of Celie's and Nettie's voices to a solo, and back to chorus. !!! The sounds, sights, and movements of Africa and the Olinke people accompany this duet in visual, auditory, and kinesic sites of African oral tradition: scarification rites, dance rites, and communal farming. Using indirect

didacticism, the film illustrates traditional communal values both in a Southern African-American community and in a west African community, in scenes of the entire Olinke community sharing in labor, in the Olinke rite-of-passage scarification ceremony, and in Olinke rituals of death and burial. Likewise, in Georgia, juke joint customers converge on a worship service, bringing saints and sinners together in a celebration of communal religious values.

Social and gender issues, racial politics, aesthetics, and orality of both fictional text and cultural text may change drastically on the journey from novel to film. Nevertheless, I maintain that the transformation of the novel The Color Purple into film results in a complementary commentary on and response to the novel. The film ably enriches a story first told on a printed page by adding appropriate sound, movement, and performance within a traditional oral storytelling paradigm.

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NY AV Map – A video mapping of New York City

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NY AV Map

A Video Mapping of New York City

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From south to north, sunrise to sunset, over a seven-day cycle along the entire length of Broadway Street in Manhattan, a cross-section of physical conditions and activities through the city is collected using a digital video camera. In this *section*, the city is sampled, measured, and represented.

Section – as a trajectory

A *cross-section* samples, and as a drawing convention, it reveals spatial relationships along a chosen line. Here, the ubiquitous Broadway Street, the only street deviating from the grid while traversing the entire island, is this line – the *section-cut*. The line that locates the section is already drawn, bisecting the city from south to north; it exists as an inscription on this territory, a path made, a line drawn by the movement of the inhabitants of this island. Broadway Street, which extended north beyond the occupied area of the island ahead of the rest of the city in the 1600's as a pathway to then faraway farms, delineates the directionality of the development of the city and in this case becomes our section-cut, an imaginary vertical plane that bisects the city to allow the investigator to sample the city along this length on this line. Instead of looking into the cut perpendicular to its length as one would on a conventional section-cut drawing, we inhabit and travel this line. In collecting the footage, we follow the historical trajectory of the city north, as if within a sliver of space in the city.

Zoom – a slow document

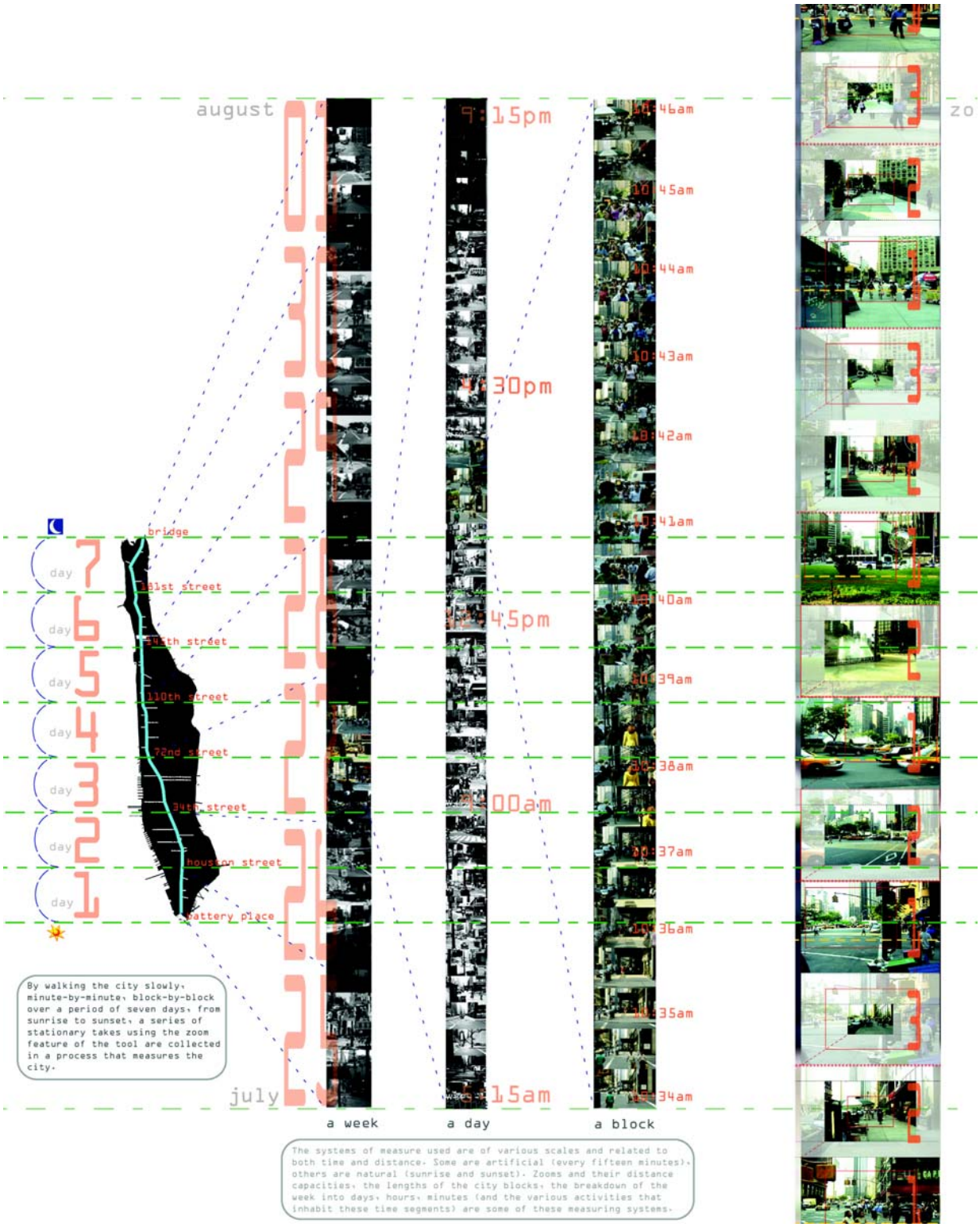
In this document the zoom feature of the camera is exploited as a filtering device, a measuring device, and as an idea for traversing the city – zoom as zooming through (passing quickly), zoom as detail (getting very close). While zooming suggests great speeds and moments that merge into each other quickly as the individual takes overlap, the process of collecting the footage is quite slow, slower than the moments captured – a state of being *zoomed in*. Between each shot there is a fifteen-minute wait that involves the walk north (one third of a city's block length) and the set up of the next shot. By walking the city slowly, minute-by-minute, block-by-block over a period of seven days one is consumed in a process that closely observes – a process that discovers the city. The slowness of this process, like that of working on a drawing over a long period of time, allows one to engage – feel, experience, understand this place. The process of collecting the footage takes seven days. Each day, the investigator, through the viewfinder, is entranced by a different story, by a different place, as the various personalities of the city are experienced. Like Italo Calvino's recount of Venice in *Invisible Cities* (1), each day along this line, as we travel the city, is as if a different place – as if a different story has taken place. In this trajectory, in seven days, we inhabit seven places yet one place.

Section - as a measuring system

The idea of section can be transposed and read at many scales within the investigation of this city. As already mentioned, the section-cut is a street -- Broadway Street. Moving from south to north on this line allows us to sample the city along its length. Day by day, we inhabit and experience the various districts of the island as if side-by-side yet marked and separated by days and streets. Therefore, *section* is also referring to the segments of the city as broken down (measured, located) by days – the days of a week, and also by the infrastructure of the city, its grid. The individual districts that we inhabit each day in the trajectory are each marked, bounded and located, by the sunrise and sunset of each day and by the streets that coincide with these time segments. Section is also each individual moment when the camera records. Two-hundredth and thirty-six video shots are taken. As if CAT scans of the city, these numerous section-cuts allow us to get inside, to understand the interiority of the city in both physical (visible, tangible) and ephemeral (fleeting, passing) ways. The assemblage of these individual irreplaceable moments allows us to get inside, to understand the city in its entirety as a physical entity that lives, throbs, and changes.

Scale – as defined by speed

In this mapping, what is collected can only happen once, yet it reveals patterns about the city at many scales that are repeated in time. Like a thumbprint, each zoom is unique, yet at the same time, each zoom is repeated again and again in the trajectory. At a larger scale, the entire document, which is connected into one seemingly continuous zoom in post-production editing, studies and represents one week in the history of this city. Already three years have passed since the collection of this footage, and those activities – the daily interactions of this place, are happening and have happened again and again, day-by-day in the routine of the city. As Allen Lightman writes in one of his fictional theories of time in his novel *Einstein's Dreams*, "And just as all things will be repeated in the future, all things now happening happened a million times before." (2) Each interaction is the same yet it is unique. In the film *Smoke*, (3) the character Auggie photographs his corner cigar store at exactly 8:00 a.m. every day. A friend flipping through the thousands of photographs remarks that they are all the same. Auggie, corrects him, pointing out that each is completely unique. This contradiction embodies the two distinct scales that can be revealed in two different speeds. By speeding up the footage, we are able to see and understand the patterns both physical and ephemeral of the


august
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a day
a block
By walking the city slowly, minute-by-minute, block-by-block over a period of seven days, from sunrise to sunset, a series of stationary takes using the zoom feature of the tool are collected in a process that measures the city.
The systems of measure used are of various scales and related to both time and distance. Some are artificial (every fifteen minutes), others are natural (sunrise and sunset). Zooms and their distance capacities, the lengths of the city blocks, the breakdown of the week into days, hours, minutes (and the various activities that inhabit these time segments) are some of these measuring systems.

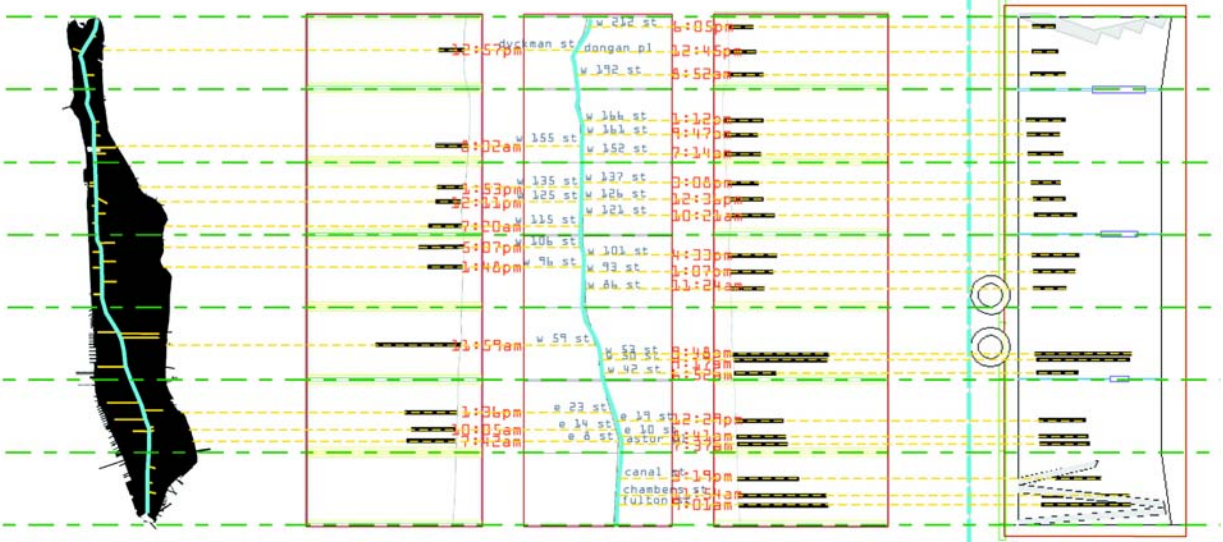
zoom

N

broadway st

In this mapping, what is collected can only happen once, yet it reveals patterns about the city at many scales that are repeated in time. Like a thumbprint, each zoom is unique, yet at the same time, each zoom is repeated again and again in the trajectory. At a larger scale, the entire document, which is connected into one seemingly continuous zoom in post-production editing, studies and represents one week in the history of this city. Already three years have passed since the collection of this footage, and those activities - interactions in those places - are happening and have happened again and again, day-by-day in the routine of the city.

The document within will play the collected footage at three speeds. These various time formats together and individually will allow different conditions of the city to be read and juxtaposed within the space of the city. Their assemblage in the container as related to the city will constitute another map, a three-dimensional, inhabitable document, on and moving on Broadway from South to North to reveal both the physical and the ephemeral rhythms of the city to the city.



west facade ground/ceiling east facade

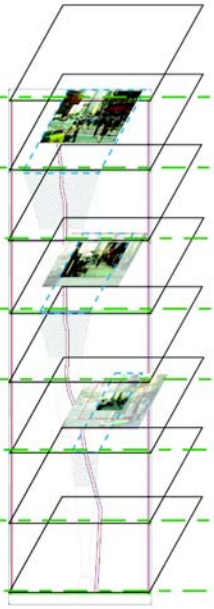
surfaces

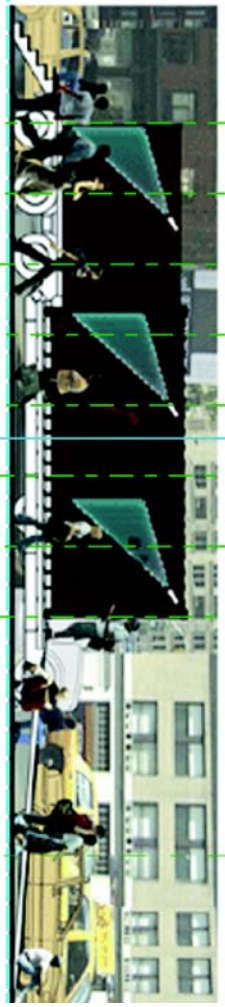
section

container

These collected and assembled physical conditions and everyday events captured in audio and video are amplified as a sliver of time to be played within a container. Topographical and planometric information about this city as documented along this chosen line is transferred to the surfaces that make up the container and used as a framework for the organization of the structure and components that make up this container.

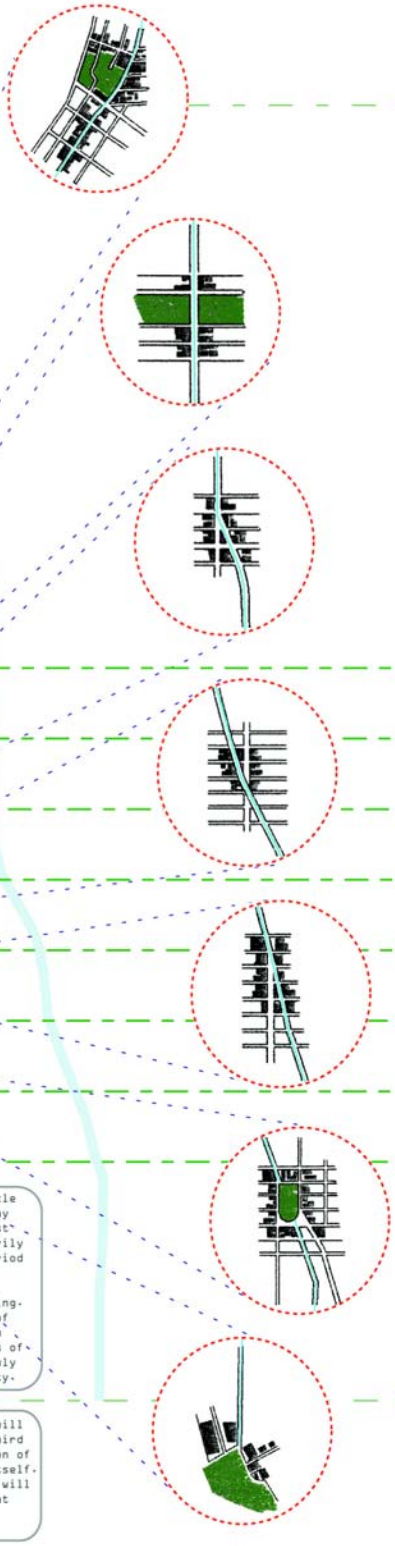
The same public that has been documented, the same public that constitutes the map may also physically inhabit this document in passing and in going about their respective daily activities. The same activity, the same light, the same streets and buildings will play their rituals against the rituals of three years past.





The container attached to a vehicle will travel the length of Broadway over seven days with specific rest moments that will ground momentarily the container (for a measured period of time) yet mark the locations where Broadway is crossed by an avenue, also measuring and locating. This marks the unique condition of interstitial parks that occurs on the city from the residual spaces of these crossings as this line slowly diverges from the grid of the city.

This three-dimensional document will be cycled and presented at the third year anniversary of the collection of the footage on Broadway Street itself. The activity of three years past will be overlapped on the activity that loops the city block-by-block, day-by-day three years later.



city – the transformations of the configuration of the street, the way the light moves through the city, the topographical changes, the movements of people and cars … Slowing down the footage or better yet collecting the footage - seven days entranced by what is framed within the viewfinder, allows us to become absorbed with the irreplaceable details of each take, the particular activities, the various populations, what they are wearing, saying, looking at, their expressions and attitudes, the individual interactions that are taking place at each moment collected. These are as Sigfried Kracauer states in *Theory of Film,* "movements of so transitory nature that they would be imperceptible were it not for two cinematic techniques: accelerated-motion, which condenses extremely slow and, hence, unobservable developments…and slow motion, which expands movements too fast to be registered." (4) Changing speeds like changing scales allow for different information to be articulated. These two extremes of speed is a duality similar to that which is evident in the two perceptions of Auggie's photographs.

While this document exists as a repetitive fragment within a larger cycle of history that plays itself over and over again, it also exists as one unique moment in time. The systems of measure used in this study of the city are of various scales and related to both time and distance. Some are artificial (every fifteen minutes); others are natural (sunrise and sunset). Zooms and their distance capacities, the lengths of the city blocks, the breakdown of the week into days, hours, minutes (and the various activities that inhabit these time segments) are some of these measuring systems.

Perspective – historical narrative/ point of view

As we collect the footage, in looking through the viewfinder, we are guided by vanishing lines that vanish both forward and backwards, disappearing both into the distance ahead north and also beyond the foreground of the picture frame. As we collect the footage, we are guided by lines (the sidewalk edges) that converge into one vanishing point ahead of us, our consistent and guiding point that helps us to accurately place the individual two-hundredth and thirty-six shots on our chosen axis – the line. These lines also vanish backwards as we traverse picture planes zooming with each take forward as we traverse the city. In its technicality, the procedure of collecting and organizing the footage is a coordination of picture planes and vanishing lines, as one would construct a perspective drawing. Could we then also compare this video investigation to perspective drawing? Does it relate to perspective in a way similar to how Stan Allen describes it?

> "as a concept of time: ordering, surveying and re-creating the past from the privileged viewpoint of the present…Space is read in depth-locating the spectator in front and in the present, from which distance and the past are entered and traversed. Perspective establishes a temporal field, from which supports narrative history." (5)

In this audio/video mapping, this idea for traversing the city could be considered a perspective in that we pass through the city's historical sequence following its evolution as we move forward north zooming through it – a one point perspective in motion. While we are following time and trying to keep up with it (in our complex choreography for collecting the footage), we are also retracing time.

Scale – as defined by time

These collected and assembled physical conditions and everyday events captured in audio and video will be amplified as a sliver of time to be cycled and presented at the fourth year anniversary of the collection of the footage on Broadway Street itself. The activity of four years past will be overlapped on the activity that loops the city block-by-block, day-by-day four years later. A container has been built to the measurements collected and inscribed with information about the city. Attached to a vehicle, this container will travel the length of Broadway over seven days with specific rest moments that will ground it momentarily (for a measured period of time) yet mark the locations where Broadway is crossed by an avenue, also measuring and locating. This marks the unique condition of interstitial parks that occurs on the city from the residual spaces of these crossings as this line slowly diverges from the grid of the city. The same public that has been documented, the same public that constitutes the map may also physically inhabit this document in passing and in going about their respective daily activities. The same activity, the same light, the same streets and buildings will play their rituals against the rituals of three years past.

Speed - as scale

The document within will play the collected footage at three speeds: slowed down to occupy the length of seven days, sped up to occupy the space of seven minutes and at normal speed. These various time formats together and individually will allow different conditions of the city to be read and juxtaposed within the space of the city. The extreme slow motion exposes the subtleties of what may be considered banal everyday interactions. Slowing down reveals the gestures that would usually remain unseen at normal speed. Like Bill Viola's video/sound installation, *The Greeting* (6), which takes the real-time forty-five second

encounter of two women and stretches into a slow-motion encounter of ten minutes, this document is in a *zoomed in state*, achieving a kind of possession of time. It is a moment so slow that it is "arrested, rendered, stretched, and compressed, in short articulated, we can state that we have possession of it, that we are approaching a new vocabulary of space-time" (7), as stated by L. Moholy-Nagy in *Vision in Motion.* Again, when we refer to speed, as argued on this paper, we are also referring to scale. This extreme slowness is like a close-up in the language of the moving image, like a detail in the language of drawing – and yet these terms are interchangeable and have the same or similar meanings and outcomes.

The zooming by quickly, the fast version, is also "arresting" but in a different way. A study has been done by the *NY AV Map* team in which the various speeds are presented and viewed side by side, and every time, the viewers are consumed by the fast pace version, ignoring or not being able to engage with the slower speed version, even if consciously trying. The observer is pulled in by the speed of the vanishing lines, and funneled through the picture plane into the vanishing point beyond. We, the viewers stay there. Unable to pull away, we are in fact arrested by speed. A reversal occurs here. It is us who are captive. It is the movement that attains us. Sigfried Kracauer states that we, like animals after their prey, are drawn to movement. It is innate and thus our fascination with the moving image. (8)

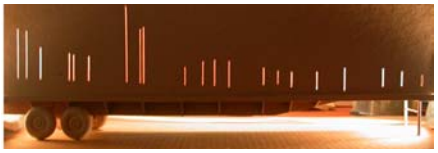
Inhabitable Document

The assemblage of these various speeds and the information that they each expose as related to the city will constitute another map. This document like the making of a drawing is developed by the pushing and pulling of information, like the manipulation of lines on a drawing surface, this document, in its making is adjusted as needed to conceal and reveal information, achieving depth. A layering of relationships exists together in a transparency that allows a multiplicity of conditions to be understood by the various readers of the map. This assemblage of speeds, of scales, will constitute another map, a map within the container, a three-dimensional, inhabitable document, on and moving on Broadway to reveal both the physical and the ephemeral rhythms of the city to the city. This involves a complexity of interactions and thus of readings.

Container – a moving document

What is contained is the city. The container encapsulates the information collected as inscriptions, projections, sounds, movements, pauses… The container as a map contains and organizes the information collected and also presents and distributes it. It is an orienting device that moves and traces that which it maps. While it is marked by traces that reveal information about the city, it also marks the city with its own movement and specific rest points. This container is occupied by the city yet it occupies the city.

The container presents the collected information in its various scales and proper orientation, facing north and moving north on Broadway. The structure of this container is divided into seven bays that define the physical structure of its construction yet also mark the seven days of the trajectory – the structure of the document, a segment of time. Plywood panels that are inserted within these bays are articulated by markings that bring light into the container while revealing information about the city - major streets that intersect Broadway from east and from west, their location in relationship to the trajectory in time and in relationship to their topography. The section-cut (Broadway) is clearly marked as a sliver of light, an implied vertical plane defined by a gap. On it and at certain intersections within the structure are the three screens in their respective sizes, in their respective heights and playing the footage at their respective speeds. A stair and a ramp bring in and through this encapsulated moment of the city's history, the activity of the city on that week, minute-by-minute, day by day. Another scale is introduced as the real time activity, of the inhabitants of the city who enter, is overlapped onto the other speeds of activity previously collected. While history is in the midst of its motion, another cycle yet begins.



Notes

1 See Calvino, Italo. *Invisible Cities.* Trans. by William Weaver. San Diego, New York London Harcourt Brace Jovanovich, Publishers.

2Lightman, Alan. *Einstein's Dreams*. New York: Pantheon Books, 1993, p.11

3 See *Smoke* by Wayne Wang 1995

4 Kracauer, Sigfried, *Theory of Film: The Redemption of Physical Reality* Oxford University Press, 1965, p. 52

5 Allen, Stan. "On Projection," The Harvard Architectural Review 9 (1993) p. 130

6 See Viola, Bill. *Bill Viola.* Whitney Museum of American Art, New York 2000, p. 122- 123

7 Moholy-Nagy, Laszlo. *Vision in Motion.* Chicago: Institute of Design, 1947, p. 247

8 Kracauer, Sigfried, *Theory of Film: The Redemption of Physical Reality* Oxford University Press, 1965, p. 158

Project credits

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The University of Michigan students: Huey-Ru Chang, J.T. Krisnamurti Lumenta, Christopher Christian, David Rhose, Jule Tsai, Kathryn Dobija, Neil Meredith, Koonseo Ahn

Footage Editing

Clemson University students: Daniel Culberston, Matthew Warner

Research and Design

Clemson University Students:
Daniel Culberston, Julie Garst, Steven Grogan, Elizabeth Sumner

Construction of Container

Clemson University Students: Chris Altman, John Babcock, Matthew Belt, Eric Bennett, Robert Brown, Tiffany Cain, Katrina Cobb, Yeul Ho Choi, Lisa Davenport, Aidan Doyle, Craig Fleming, Julie Garst, Steven Grogan, Brandon Gerhke, Hunter Hanahan, Sabrena Jeter, Trey Lee, Gerald Mackey, Clinton Menefee, Sean Murphy, Danielle Nemec, Heather Ramsey, Ashley Shelton, Kenton Simon, Hal Shute, Elizabeth Sumner, Glenn Timmons, Cleveland Walker. Steelwork: Carlos Skinner

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Communications Center- Clemson University
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VOCAL CARE AND DEVELOPMENT OF THE SPEAKING VOICE THROUGH THE APPLICATION OF SINGING TECHNIQUE

(Cross-disciplinary topics—Music, Performing Arts, Theater, Speech-Communication)

(Workshop Format)

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VOCAL CARE AND DEVELOPMENT OF THE SPEAKING VOICE THROUGH THE APPLICATION OF SINGING TECHNIQUE

Nadia Smelser, M.F.A., Voice
Adjunct Professor of Voice, Fullerton College, Orange Coast College; CA
Member of the National Association of Teachers of Singing

I. Introduction

A. My professional background and education (bio & business card handout)
B. What will be covered in the workshop (seminar outline handout)

II. Overview of Critical Elements of Healthy Speech Production

A. Explanation of vocal production – the "assembly line" of speech (handout)
B. Detailed breakdown of individual elements:
    1. Posture
    2. Breathing
    3. Laryngeal position
    4. Tongue position
    5. Soft palate position
    6. Open throat (disengaging the "gag" reflex)
    7. Placement/Resonance
    8. Diction

III. Physical Warm-up

A. Excercises (handout)

IV. Alignment of Correct Posture for Speech (handout)

V. Vocal Development and Realignment Excercises (handout)

A. Importance of regular practice, warm-up and cool-down
B. Breathing excercises
C. Exercises to relax the larynx
D. Exercises to relax the back of the tongue
E. Exercises for strengthening and lifting the soft palate
F. Techniques for opening the back of the throat
G. Excercises to determine vocal tone placement and build free resonance
H. Excercises to develop clear and unencumbered diction

VI. Application to the Speaking Voice (handout)

A. Breath flow when speaking
B. Avoidance of glottal stops
C. Correct Placement
D. Correct pitch
E. Dynamics

VII. Care of the Speaking Voice (handout)

A. Your daily routine
B. Disorders and diseases of the vocal cords and vocal tract
C. ENTS, Laryngologists, Speech Therapists and Voice Teachers—
who they are, what to do, and when to see one

VIII. Question and Answer Period and Conclusion

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Nadia Smelser

Varying Doubles:
Methods of Precedence in the Barcelona Pavilion [and the Barcelona Pavilion]

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Abstract

Not unlike law or medicine, the profession of architecture draws heavily upon precedent studies. The so-called "icons" of Modern and Classical architecture are scrutinized intensely by architecture students and scholars. These icons— the Chrysler Building, the Parthenon, the Robie House, etc.—in addition to their proliferation in the popular media, are often replicated in drawings and models generated by students, and often deconstructed and reconstituted by architects in the design of new works.

Mies van der Rohe's German Pavilion in Barcelona (the Barcelona Pavilion) is a unique example for examining the role of precedence in architecture. Embodied in the pair of works (the 1929 Barcelona Pavilion and the 1986 Barcelona Pavilion) are a series of duplicities about originality/facsimile, similarity/difference, and the subtle variations between doubles, duplicities also embodied in precedent study at large. Architectural criticism and education have, historically, focused on compositional (visual) critiques; consequently, the methods of precedent studies—the analysis, transformation, and re-assembly of architectural works—have been primarily geometric and image-based as well.

This paper and the corresponding material investigations question the role of precedent study in architecture by exploring the varying doubles embedded in the Barcelona Pavilion (and the Barcelona Pavilion). The material studies contained herein collapse the space between a "precedent" and its variation (double); simultaneously, the work posits a new form of precedent study rooted in tactile and analogue sampling techniques rather than geometric and diagrammatic means. What results is the possibility for a new method of "precedence."

Varying Doubles:
Methods of Precedence in the Barcelona Pavilion [and the Barcelona Pavilion]

INTRODUCTION: QUESTIONING THE ROLE OF PRECEDENCE IN ARCHITECTURE

> The works of the past always influence us, whether or not we care to admit it, or to structure an understanding of how that influence occurs. The past is not just that which we know, it is that which we use, in a variety of ways, in the making of new work.[1]

Not unlike law or medicine, the profession and education of architecture draws heavily from precedent studies. The so-called "icons" of Modern and Classical architecture are scrutinized intensely by architecture students and scholars, alike. These icons— the Chrysler Building, the Parthenon, the Robie House, etc—in addition to their proliferation in the popular media, are often replicated in drawings and models generated by students, and often deconstructed and reconstituted by architects in the design of new works.

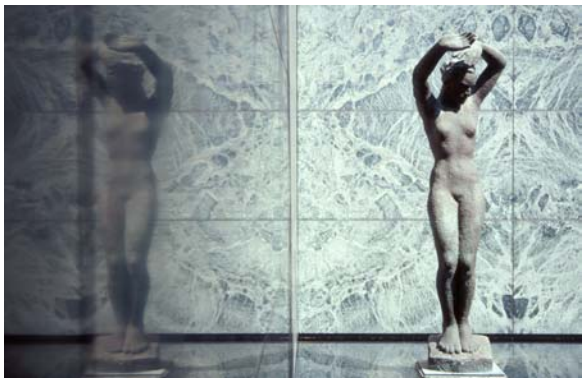


Figure 1: Barcelona Pavilion Sculpture and Reflection, 2003, author's photograph

Figure 2: Barcelona Pavilion Sculpture and Reflection, *Surfaces of the Barcelona Pavilion* Series, 2004, hydrocal

Mies van der Rohe's German Pavilion in Barcelona (the Barcelona Pavilion) is a unique example for examining the role of precedence in architecture. It is conspicuous for two reasons: 1) the work was constructed 1928-29, demolished one year later, and reconstructed 1981-86 in the same location with ostensibly the same materials and dimensions, and 2) despite the razing of the project in 1930, the Barcelona Pavilion became one of the foremost idols of the Modern Movement and the International Style. A small number of black & white photographs and a handful of design drawings remained, for more than 50 years, the only means for accessing or studying the work. This parallels the fact that architectural criticism and education have, historically, focused on compositional (visual) critiques; consequently, the methods of precedent study—the analysis, transformation, and re-assembly of architectural works—have been primarily geometric as well. Students, professors, and practitioners of architectural design often investigate the underlying geometric and compositional principles of significant works—e.g. the Villa Rotunda or Le Corbusier's Villa Stein at Garches—through analytical diagrams. Similarly, as in the Villa Garches, architects have designed works, according to Karsten Harries, as an 'art object.' Harries criticizes this design ideology.

> Such insistence on the integrity and unity of the work of art demands of the spectator that he keep his distance from it: Don't touch! The complete work of art leaves nothing for us to do…A building has to be more than an object for aesthetic contemplation… The difficulty with such total environments, and especially so when they are the work of great architects, is that they discourage creative appropriation…[2]

This is not to suggest that the use of analytical geometry is irrelevant to the study of architecture, especially when works such as the Villa Garches or Villa Rotunda were designed through geometric means. The 'diagrammatic method' of precedent study does, however, contain limitations, exploring one side of the form-function duality (form), as Harries suggests. This paper and the corresponding material investigations question the role of precedent study in architecture and pose new methods of architectural design and education grounded in precedent transmutations. The work herein investigates two simultaneous but opposing characteristics latent in precedent study as a design methodology: 1) the replication of forms or ideas, the similarities between precedent and descendent, and 2) the variation between precedent and descendent, original and facsimile. These two characteristics are explored in both a discourse of the 'varying doubles' embedded in the Barcelona Pavilion (and the Barcelona Pavilion) and in transformational material studies of this renowned architectural work.

DESCRIBING THE DOUBLES

Embodied in the pair of works (the 1929 Barcelona Pavilion and the 1986 Barcelona Pavilion) are a series of duplicities about originality/facsimile, similarity/difference, and the subtle variations between doubles, duplicities also embodied in precedent study at large. For the Barcelona Pavilion, the notion of the double is further amplified by the material language of the work(s): the local symmetries and mirror-like reflections of book-matched marble, the ghostly transparencies of and reflections in expanses of glass, and the continuity of space.

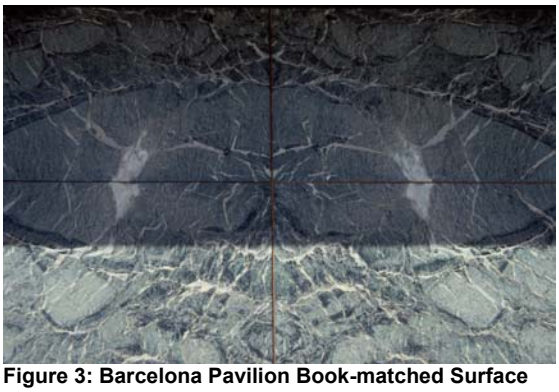


Figure 3: Barcelona Pavilion Book-matched Surface Detail, 2003, author's photograph

Figure 4: Barcelona Pavilion Exterior, 2003, author's photograph

Numerous examples exist of architectural works that are designed and 'unbuilt,' constructed and demolished, or constructed and renovated, but seldom in architectural design is a work constructed, demolished, and then re-constructed in its 'original form,' as if the demolition never occurred. The Barcelona Pavilion was reconstructed largely due to the extensive scholarship and discourse on the work and the accolades it received in the time of its inexistence 1930-1986. The extensive recognition and the decision to rebuild the pavilion is further pronounced by the fact that the work stood in its place for less than a year.

> The pavilion's existence had been brief—only six months—and it had received modest coverage by the press; yet, more than a quarter of a century after being dismantled, it was raised to the status of masterpiece—mostly by critics who had never seen it.[3]

The Barcelona Pavilion is a dual precedent. It is a subject of contemplation for historians, critics, designers, and students of architecture throughout the world. Additionally, it was (is) a precedent for Mies's later work—Lake Shore apartments, the Farnsworth house, Crown Hall, etc—each containing aspects of the Barcelona Pavilion.

The reconstruction of the pavilion begs several questions about reproduction: issues of authenticity, replication, variation, etc. Reproduction is nothing foreign to the fields of art or manufacturing. Photography and printmaking, rapid prototyping and mass production, respectively, are such examples. In architecture, however, reproduction is relegated to discourses on the relationship between drawing and construction[4] or to the manufacturing of building components, not to the building as a whole. Walter Benjamin explored the implications of this in his well-known work on "The Work of Art in the Age of Mechanical Reproduction."

> In principle a work of art has always been reproducible. Manmade artifacts could always be imitated by men. Replicas were made by pupils in practice of their craft, by masters for diffusing their works, and finally, by third parties in the pursuit of gain.[5]

By extending Benjamin's comments, parallels may be made to "pupils" of *architecture* "in practice of their craft." Throughout the brief history of architectural education, professors have developed student learning through replication, through the re-drawing or re-making of prominent buildings. It is an attempt to construct, within the student, an internalized (memorized) library of works, an intuition of design from which students may draw (literally and conceptually) to design their own works. Concurrently, architectural critics have attempted to reproduce built works through text and photography. This is a significant aspect in the experience and understanding of the Barcelona Pavilion. The pavilion has existed for a longer time in textual and photographic form than in built form. Similarly, more analytical interpretation—critiques and counter-critiques—and thus more evolution, has occurred in text than in material. In other words, the 1986 Barcelona Pavilion has weathered for less than twenty years; the 1929 pavilion has weathered, in text form, for more than seventy years. Again, this parallels Benjamin's discussion on reproduction in art.

> Even the most perfect reproduction of a work of art is lacking in one element: its presence in time and space, its unique existence at the place where it happens to be. This unique existence of the work of art determined the history to which it was subject throughout the time of its existence. This includes the changes which it may have suffered in physical condition over the years…[6]

The social and historical climate of the world in 1929, especially for Germany and Europe, was remarkably different than that of 1986. In addition, the immediate physical context of the pavilion has changed throughout the past 75 years, once a site for the 1929 International Exposition and, for a time, within the district of the 1992 Olympics. The 1929 pavilion was only briefly, though fatally, subject to the forces of the cultural, economic, and physical climate of the time. It may be inferred, then, that the ephemeral changes—the changes that occur throughout the day—are more relevant to the understanding of the pavilion than its long-term weathering: shadows are more significant than form; surface reflections are more significant than corrosion.

In the pavilion—as the sky, weather, and light of the day changes—reflections come and go. They become alternately clear and obscure. They are real and tactile at times and virtual and ghostly at others; the reflections are ephemeral, changing. Temporality is not foreign to other architectural experiences, but is heightened in the Barcelona Pavilion because of such a strong presence of reflections superimposed on the high contrast, high color surfaces of the marble. This superimposition exaggerates the polarization of images which simultaneously float above the marbling and penetrate deep into it. The viewer is drawn deep into the fissures of the surface at the same time he/she is bounced off the surface. The reflectivity of the pavilion's surfaces also generates a duality of symmetry-asymmetry. In plan, the

structure is asymmetrical; wall planes, columns, and spaces slide away from one another, but not equally. Large-scale asymmetry is counterposed by local symmetries, modular units such as the book-matched onyx. Yet further scrutiny reveals a counterpoint to this. In most cases Mies does not reveal the full width of one side of the book-matched pieces; one side of the symmetry is often truncated by a corner or an opening. As such, up-down symmetries undercut lateral, left-right symmetries. As Evans states, the line of symmetry is the horizon line, which is counter to classical expressions of bilateral symmetry. In addition, Evans perceptively describes that the lateral asymmetry of the pavilion (i.e. the composition of the plan) is made symmetrical through the pavilion's reflections of itself into parallel planar surfaces;[7] and thus, the Barcelona Pavilion propagates an endless series of contradictory asymmetries and symmetries.

Figure 5: Ghost Column

But the symmetries that result from reflection are equal only upon first glance. Embedded in the similarities between an object and its reflection are distortions and disparities. This is where the notion of the varying double enters. The phrase 'varying doubles' is used to describe two objects or ideas that are highly similar in structure yet contain subtle disparities.[8] In 'varying doubles' there is greater similitude than difference, and differences are rooted in the structure (logic or form) that is common to both. As a result, it is the doppelganger effect that projects and recedes from the surface of perception, not merely an image. The viewer reads Kolbe's statue and its double alternately as separate characters and as one Siamese body [fig.1]. The same occurs for other forms, surfaces, and structures. Among the most potent reflections is the ghostly twin column that appears in the glass enclosure of the main space of the pavilion [fig.5].

Eight cruciform columns structure the roof of the main space. Because of the vertical slicing of the column (which results from the extruded cruciform) and due to the chrome sheathing, the columns appear all too slender to sustain the physical and visual weight of the roof planes. But, as Evans states, the walls read, at times, to bear the weight of the roof. The interjection of the walls, in addition to the pulled-taffy-like form of the columns, obfuscates the structural role of the columns. Evans describes the column not only as a compressive member holding up the roof, but also as a tensile member holding the roof and floor together, "clamping the walls tightly between."[9] Again, the reading of column as compression member or tensile member vacillates as one moves throughout the complex. In a few moments, where the columns float along glass enclosures on the exterior spaces of the pavilion, the column appears as a compressive element, but precariously so. The column seems too thin, too divided, too long to bear its own weight, let alone the burdens of the roof. Then, just as the observer's gravitational vertigo reaches a climax, the ghost appears: a second ethereal column on the interior of the glass partition at an equal distance from the glass as the exterior column; and the second column assists its counterpart in structuring the roof, visually, if nothing else. It is here that Mies's realization that structure and enclosure can be autonomous is most apparent, and the works of Mies that followed—Federal Plaza, Lake Shore apartments, Crown Hall, and the Seagram Building—and the countless works by other architects, shockingly appear.

REINTERPRETING THE DOUBLES

What follows is an explanation of two parallel series of works that explore the aforementioned doubles of the Barcelona Pavilion. The material studies are reinterpretations of the pavilion, a search for a new method of precedent study. The material studies contained herein collapse the space between a "precedent" and its variation (double); simultaneously, the work posits a new form of precedent study rooted in tactile and analogue sampling techniques rather than geometric and diagrammatic means. It is a search for a new method of "precedence." The investigation explores three decisive characteristics of the Barcelona Pavilion: 1) continuity of space, 2) reflection and replication, and 3) variation.

Much Western architecture, throughout the last 100 years, has pursued an erasure of delineating edges, the ambiguity of enclosure. As such, there has been a deliquescence of the boundaries between interiority and exteriority; the spatial precincts of architecture and landscape architecture have crossed margins. Wright—in his search for an "organic" architecture—initially described this erasure as a "plasticity" of space. Wright later rephrased this description, calling for a "continuity" of both interior/exterior space and the defining elements of space.

> We have no longer an outside and an inside as two separate things. Now the outside may come inside, and the inside may and does go outside.[10]
>
> …let walls, ceilings, floors become seen as component parts of each other, their surfaces flowing into each other…Have no posts, no columns, no pilasters, cornices or moldings…no divisions of the sort…Let walls, ceilings, floors now become not only party to each other but *part of each other…*[11]

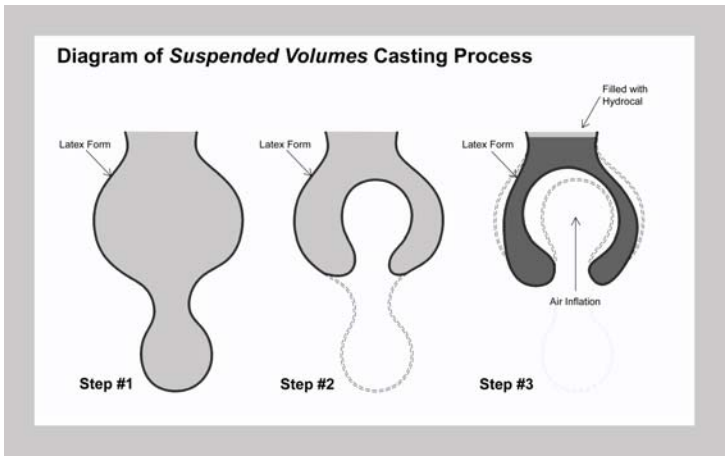
Continuity of space is a central principle in the Barcelona Pavilion, achieved by the slipping of the wall and roof planes, the projected reflections, and the transparent enclosures. Josep Quetglas describes this continuity of interior and exterior in the Barcelona Pavilion, and the perpetual inversion of the two (interior and exterior). According to Quetglas this results from the shifting and "eroding" centers of space, the bouncing of reflections, and the alternating duality of openness and closure.[12] Transparency between interior and exterior is prevalent in Wright's work, but continuity, plasticity, was achieved through other means, the ribbon-like quality of the moldings in the Robie House or the Unity Temple, for example. More recently—in various forms, materials, and means—designers have engaged pursuits of "plasticity" or "continuity": Neil Denari's erasure of the seam between floor and wall, Greg Lynn's "Embriologic"[13] forms, or the converging and merging figures produced by *Asymptote*. In these examples, the plasticity of form has been facilitated (and exacerbated) by digital media. Form has become not only plastic, but liquid. For the most part, however, it has remained within digital space and media. These *digital-liquids* explore the fluidity of space and form, but disengage Wright's discussion of materiality: continuity as a result of "modern materials." As Wright stated, "continuity is made possible by the tenuity of steel [and concrete]."[14] Similarly, Mies's recognition of material properties resulted in the separation of wall and structure in the Barcelona Pavilion.

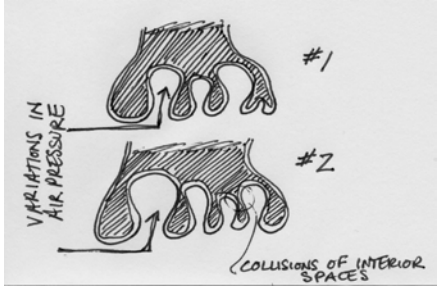
The production of visually continuous forms—usually cast forms—has been thoroughly investigated (e.g. Gaudi, LeCorbusier, Kahn, Hadid, Calatrava, etc.). However, explorations in form-work itself as an unbroken armature have been minimal. Formworks are often rigid, fragmented, and faceted, not without division. Continuity is not engaged throughout the process of the design, but results at the conclusion of design construction. As previously stated, the use of precedence in architecture is most often form- or shape-based, not procedural. The first set of works that follows takes an alternate stance. These are explorations in the processes of form-making not simply the results. They are attempts to

engage Wright's and Mies's notions of continuity by developing and designing a material procedure rather than a physical form; form is a result of the trajectory of the procedure. The process is described below.

The *Suspended Volumes* Series

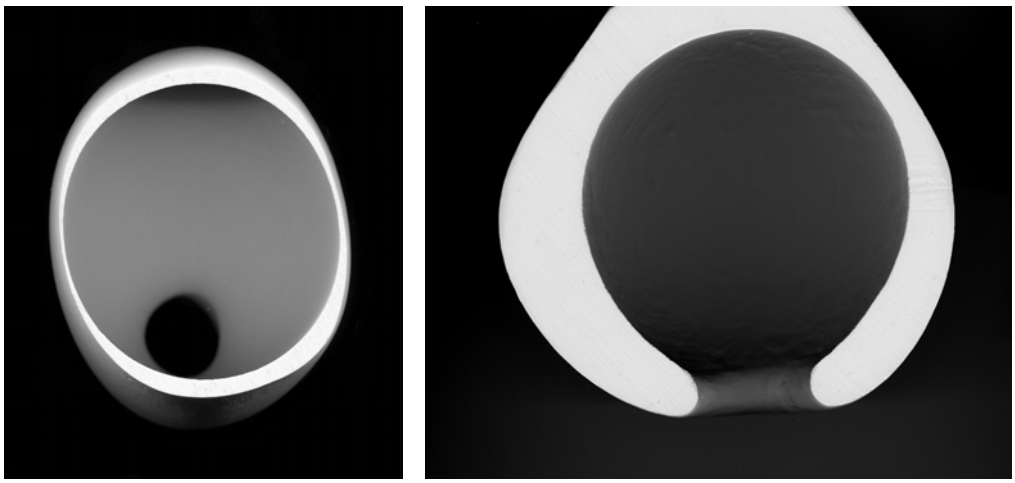
The *Suspended Volumes* series explores the liquidity and continuity of form, surface, and space. A single surface wooden form was created, composed of two masses of differing size linked by a narrow isthmus. This wooden form was then coated with several layers of latex. Once dried and set, the latex skin was removed from the wooden form and suspended [see step #1 in fig. 6]. The small volume of the skin was then inverted through the isthmus to occupy space within the large volume [see step #2]. Simultaneously, the suspended large volume was filled with liquid hydrocal while the small volume was filled with air [see step #3]. This resulted in a dual suspension—the large volume hung from above, the air-filled small volume floating upward from below. Within several minutes the liquid had solidified and the latex skin was removed, leaving a single surface thick-shell of hydrocal, a single surface that defines both interior space and exterior form. Numerous casts were produced. Figure 8 shows several iterations of this process, while figures 9 and 10 show two casts that were cut in half after the casts were fully cured. A single latex form was used to generate all casts; yet, because variation is inherent to the process—changing the hydrocal mix, changing the air pressure of the interior volume, or changing the orientation to gravity, for example—divergent forms result. Studies are currently underway that explore this process at a larger scale and with multiple interior volumes—a single-surface, multi-space cast [fig. 7].





Figures 6 & 7: Latex form casting process (left); sketch of multi-space form (right)

Figure 8: *Suspended Volumes*, nos. 8-10, 2004, hydrocal

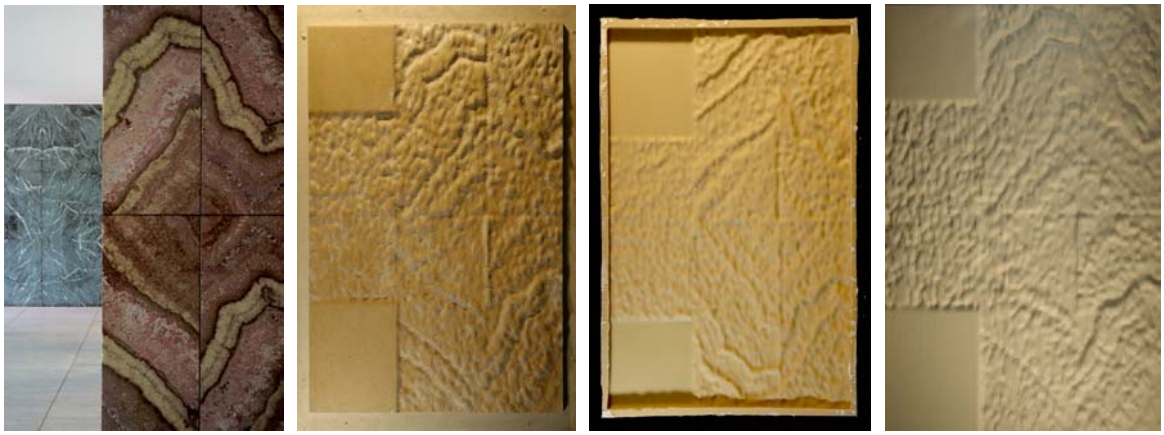


Figures 9 & 10: *Suspended Volumes*, nos. 1 & 6, 2004, hydrocal

The *Surfaces of the Barcelona Pavilion* Series

As already discussed, reflectivity, symmetry, and asymmetry bounce throughout the Barcelona Pavilion. The second set of casts (below) study these moments, reinterpreting the surfaces and spaces of the pavilion. The process is described below.

Four images of the Barcelona Pavilion were chosen that exemplify four characteristics of space, surface, reflection, and symmetry/asymmetry [figs. 1, 3, 4, & 11]. These surfaces were then scanned and sent through a re-imaging process. Four new surfaces, correspondent to each of the four images, were manufactured through a CNC (computer numerically controlled) milling process. Figure 12 is an example of one of these surfaces. An inversion of each of these surfaces was then cast in polyurethane rubber [fig. 13] so that, similar to the *Suspended Volumes* series, multiples and variations could be cast in hydrocal [figs. 2 & 14]. The graining of the marble surfaces of the Barcelona Pavilion are transformed from visual to tactile surfaces; visual striations become tactile striations. This is undoubtedly a process of reproduction, not unlike the techniques being used by sculpture galleries to replicate significant works so that they may be 'touched' by visitors, especially the visually impaired;[15] but it is also a process rooted in transformation, an appropriation and reconstitution of what is pre-existing.



Figures 11-14: Barcelona Pavilion Perspective, 2003, author's photograph; milled wooden surface; polyurethane rubber form; Barcelona Pavilion Perspective, *Surfaces of the Barcelona Pavilion Series*, 2004, hydrocal

CONCLUSION: REDEFINING THE ROLE OF PRECEDENCE

Harries states that architecture often prohibits appropriation; it "resists change and thus life."[16] Harries goes on to state that:

> Because they invite such appropriation many rather nondescript houses offer more successful solutions to the problem of dwelling than architect-designed masterpieces. For although we can bring works of art into a house, we cannot live in a work of art.[17]

Historically, architectural criticism and education have focused more on compositional critiques than performance critiques, considering architecture foremost as a visual art rather than a performative, sensual construct. In conjunction, designers have not critically considered the *processes* of precedent transformation and their implications. There is a physical, cultural, and theoretical space between iterations (variations)—precedent and descendent—that has been ignored. The preceding work is, by no means, a full explication on role of precedent methodology; the work is intended to be anecdotal, a speculation on what precedence might become. Here, precedent methods are viewed as direct, an appropriation and modulation of the (so-called) 'original.' The space between the original and facsimile is collapsed. In the *Suspended Volumes*, for example, there is greater similarity than difference between the casts, and the series is more important than a single *Suspended Volumes* form; the process of doubling is more significant than the double itself. In the *Suspended Volumes* series, the system of precedent study is transmutational; it does not simply generate transformation. Transformation implies something that has already changed, and is, in itself, frozen, static. Transmutation connotes something that is still moving, a moving (trans) change (mutation). Critics and academics often view the great works of architecture as petrified—stuck in drawings, frozen in photographs, frozen in texts—isolated, not from the context in which it was built, but separated from the *trajectories* of time and space. Thus, the *space between* a form and its double, between the Barcelona Pavilion and the Barcelona Pavilion, is most significant, not the form of one or the other.

Notes

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[7] Evans, 263.
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[11] Wright, Frank Lloyd. "Continuity." Edgar Kaufmann, Editor. *An American Architecture.* (NY: Horizon, 1955), 205-210.
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[14] Wright, Frank Lloyd. *Frank Lloyd Wright: An Autobiography*. (NY: Duell, Sloan & Pearce, 1943), 341.
[15] See, for example: Jansson, Gunnar, Massimo Bergamasco, and Antonio Frisoli. "A New Option for the Visually Impaired to Experience 3D Art at Museums: Manual Exploration of Virtual Copies." *Visual Impairment Research*. 5(1), 2003, 1-12.
[16] Harries, 42.
[17] Harries, 43.

a. Title:

EXPLORATIONS IN DIVERSE CULTURES:
FROM NORTH GEORGIA TO THE RIO GRANDE VALLEY,
A REPORT ON ISSUES RELATED TO TEACHING

b. Reports on Issues Related to Teaching

c. Paper Session: 20 – 30 minutes

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Abstract:

EXPLORATIONS IN DIVERSE CULTURES:
FROM NORTH GEORGIA TO THE RIO GRANDE VALLEY,
A REPORT ON ISSUES RELATED TO TEACHING

In recent years, there has been a large influx of Hispanic immigrants into Northern Georgia from the American Southwest. With this immigration has come the need for a greater understanding of the cultural differences (and similarities) between the increasing public school population of Hispanic children and the school environments that they now populate.

I am a music professor at Berry College, Georgia, a small liberal arts college in Northwest Georgia. As part of my teaching duties, I am in charge of student teachers in music education. Because of the backgrounds and upbringing of our students, I have found that nearly all have had little or no experience interacting with persons of Hispanic cultures. As future educators of the growing student population of Hispanics in Georgia, my colleagues and I realized the need for greater focus upon multicultural awareness amongst our student population.

As a means to further understand the backgrounds and cultural identities of this "new" group of public school students, I devised a college course which allowed students to travel to the Rio Grande Valley of South Texas/Northern Mexico and experience firsthand the rich, bicultural heritage of the people, their educational systems, and their unique philosophies of life. This course has been a success for the past three years.

Students gained insight into a culture significantly different from their own through interaction socially and professionally with inhabitants of the Lower Rio Grande Valley region of the United States and the northern states of Mexico (Tamaulipas and Nuevo Leon).

Course objectives and expected outcomes included personal interaction and observation, which led to:

1. a higher level of understanding concerning the similarities and differences between educational systems in place in the lower Rio Grande Valley and their own systems in Georgia and the Southeastern United States;

2. Expansion of their awareness of Hispanic culture in Northern Mexico and South Texas;

3. Experiences within the unique bicultural society along the Texas / Mexico border;

4. Increased awareness of the diverse flora and fauna of the region;

5. a greater empathy for the people and culture of the region;

6. recording their thoughts, impressions in a journal of a reflective nature;

7. conducting interviews with members of the educational community;

8. increasing their knowledge of the history of the region by visits to area museums;

9. experiencing the culture through art by attending concerts, visiting galleries, and markets frequented by artisans and craftsmen.

As a result, the experience has been overwhelmingly positive for all concerned, and has led to much better prepared graduates in arts education. My report will focus on these points and will provide insights gained "along the way" that may help other arts educators with their own endeavors in this regard.

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6. **Full paper:**

PRESS, POLITICS AND CULTURE

The press is playing an ever-increasing part in the making or breaking of politicians. The ambivalence of the media towards politicians is more often than not represented in sociolinguistic terms and not in direct approval or disapproval.

This paper will investigate the sociolinguistic features that throw a light on the attitude of a selection of Dutch and Flemish (the Dutch speaking part of Belgium) quality papers towards the phenomenon Pim Fortuyn. It will concentrate on in how far linguistic features in the Flemish press differ from those in Dutch broadsheets when dealing with Fortuyn. I shall base myself on Reah's theories (2002), and, taking Pim Fortuyn's homosexuality into account, on the framework devised by Harvey (2000). Taking into consideration the abundance of media attention for Fortuyn in the low countries I had to limit myself to two papers for my analysis: De Volkskrant for the Netherlands, De Morgen for Flanders. Both papers have roughly the same political bias, i.e. middle-of-the-road, with a slight inclination to the left.

It is apt that a comparison should be made between Dutch and Flemish papers. Indeed, whereas the Dutch traditionally have a strong aversion to the extreme right, ever since Black Sunday (Nov 1991) the extreme right has become increasingly popular in Flanders, even if traditional parties have so far shunned any cooperation with Vlaams Blok by imposing a cordon sanitaire. As a result, Flemish broadsheets have developed a specific approach to the trend, which is reflected in the language they use to comment on it.

Background

Pim Fortuyn, a former sociology professor and populist, right-wing gay politician, rose to prominence after winning the Rotterdam by-election by a landslide with a new party "Livable Rotterdam". The high-profile Fortuyn was associated with the likes of Haider, Mussolini and Mussert (leader of the Dutch Nazi party during WW II) in the press. He promoted a stricter, right-of-centre policy towards education and healthcare, and, to combat inner-city decay he was in favour of taking a tougher stand against immigration and substance abuse than hitherto considered possible in the tolerant Netherlands. After the elections, controversy arose within the party, compelling Fortuyn to go to the general elections with a new list, LPF (Lijst Pim Fortuyn), of which he was the most prominent member. On May 6th, 2002, a week prior to the Dutch general elections, Pim Fortuyn was murdered by a left-wing environmental activist. Dutch public opinion was so shaken at the first assassination in the Netherlands in modern history that riots broke out in The Hague. Because of the biased way it had reported on Fortuyn, part of the blame for the murder was put on the press. The epilogue: LPF won 26 seats in parliament and became the second most important party in the country.

The articles I opted for are situated between January and May 14, 2002. I found such a large amount of interesting material that a selection imposed itself. Therefore I shall concentrate only on the headlines which are linguistically most interesting, rather than on the complete articles.

In the first part of the paper linguistic features that influence meaning, or distort it, as the case may be, will be analysed. Reah (2002) states that journalists have a number of linguistic devices at their disposal to create headlines which will appeal to the reader and which may manipulate her / him at the same time. She mentions lexical, syntactic and graphological features respectively (Reah. 2002:13-33). I shall concentrate mainly on lexical features and – to a lesser extent – on syntactic and graphological ones, because the latter are less prominently present in the material I analysed. The discussion of ambiguity and camp as described by Harvey (2000) will make up the second part of this paper.

Linguistic features: lexical choice

Naming strategies are an important element in lexical choice. In headlines they often give the reader a first impression of the attitude that the journalist takes towards his subject:

Consider the following examples:

1. *Pim* took advantage of us. Broos Schnetz. De Volkskrant. March 23, 2002. (italics mine)
2. *Pim's* Populism deserves Principled Battling. Frans Becker and Paul Kalma. De Volkskrant. March 23, 2002. (italics mine)
3. *"Pim* is no hype at all. This doggie bites and hard too." Raoul Du Pré and Bert Wagendorp. De Volkskrant. March 22, 2002. (italics mine)
4. *Fortuyn* conducts campaign from his own home. Where's *Pim* hanging out these days? All party leaders are travelling the country in search of floating voters. And *Professor Pim*? De Volkskrant. May 3, 2002. (italics mine)
5. "Ridiculing *Fortuyn* was a stupid mistake" Koen Vidal. De Morgen. March 9, 2002. (italics mine)
6. *Pim Fortuyn*: Lifestyle to power. Hugo Camps. De Morgen. March 13 2002. (italics mine)
7. When political The Hague was still lining up for *Pim Fortuyn.* Bart Willems. De Morgen. April 15, 2002. (italics mine)

We notice that the Dutch paper frequently makes use of Fortuyn's Christian name, whereas De Morgen adheres to either his full name or his surname. This creates an impression of formality. Using Fortuyn's first name, in fact it is his nickname, in De Volkskrant comes across as imposed informality, perhaps even lack of respect. Indeed, for quite some time, Fortuyn was an object of ridicule in the Dutch press, which was reflected in the naming strategies in the newspaper headlines. The gradation in the last example from the Volkskrant (headline 4) makes this clear: the surname is used first, then the Christian name, lastly the mock-title "Professor Pim". Combining a university title with a Christian name, a nickname at that, clearly suggests ridicule and lack of respect. There is an evolution from neutral/serious to mockery in this headline. The alliteration in headline 2: "Pim's populism deserves principled battling" creates the same aura of disdain. Also note the capitalisation of key words. The main reason for the informal naming strategies in the Dutch press is due to the fact that the Dutch tend to be less formal in lexical choice than the Flemings. It is striking, however, that in the selected papers neither the current PM nor his predecessor are/were called by their Christian names or their nicknames, nor, in the case of the current PM, Balkenende, by their academic title. It is clear then that Fortuyn was singled out for special treatment by the journalists. The Flemish press, on the other hand, may have more regard for foreign politicians than for local ones, which explains the formal way they are treated.

However, other naming strategies are introduced as well:

1. The new Duce. Jan Blokker. De Volkskrant. Jan 30, 2002.
2. "It hurts when they call me the Dutch Haider". Sue Somers. De Morgen. March 15, 2002.

Both De Morgen and De Volkskrant use metaphors to denote Pim Fortuyn, linking him with Mussolini and Haider respectively. The second example, however, is considerably weaker in that it is immediately obvious that the headline is a quote from Fortuyn himself. The journalist does not emphatically link Fortuyn with the extreme right-wing politician, but the choice of this specific quote as a headline by the journalist shows what he means to infer: that Fortuyn belongs to the extreme right. It is an implicit way to influence the reader. "The new Duce" indicates a new identity for Fortuyn, he is not just like Mussolini, he is a kind of reincarnation of Mussolini. Note in this respect that the author uses the definite article. Using the indefinite article, *A new Duce*, would have left some room for interpretation, this is impossible in the present headline, and there is no doubt: Fortuyn is *the* new Mussolini, with all the negative connotations inferred.

Choice of register, too, has a derogatory effect:

1. Pim Fortuyn: Lifestyle to Power. Hugo Camps. De Morgen. March 13, 2002.
2. A Poseur from the Polder. De Morgen. May 4, 2002.

In both headlines the emphasis is put on just one of Fortuyn's characteristics: Fortuyn as an aesthete or, for the second headline, rather a would-be aesthete. The headline of the first article, written by a friendly colleague columnist from *Elseviers Weekblad*, characterises Pim Fortuyn as a man about town, a kind of style guru, focusing on just one feature in his character. Note that none of Fortuyn's intellectual qualities or accomplishments is referred to. The second headline is both more direct and more negative. The use of the word "Poseur" carries a negative load and reduces Fortuyn's complex personality to just one element: he is not authentic and merely puts up a show. Poseur in combination with Polder adds an extra dimension. The polders are the lowlands bordering the North Sea and the IJsselmeer in Belgium and the Netherlands. This agricultural area is sparsely populated, mainly by farmers. The inhabitants are stereotyped as slightly slow and browbeaten. The combination of the two disparate concepts "Poseur" and "Polder" creates the impression of a wannabe country bumpkin with society ambitions, a ludicrous mix. It makes Fortuyn the object of ridicule, which is heightened by the alliteration in Poseur and Polder. It is obvious that the two words were chosen for effect.

3. Shortly after 6 pm Pim Fortuyn was gunned down in cold blood on a parking lot of a Hilversum radio station. A murder that, just because it is so theatrical, perfectly fits the narcissistic-theatrical character of the victim. Pim himself couldn't have made it up any better. MOTHER'S CHIC LITTLE PRINCE. Bart Willems. De Morgen. May 7, 2002.

This article appeared on the morning after the murder on Fortuyn. Note the graphological features: the last part is in larger typeface and thus a lot more conspicuous and apparently more important than the rest of the headline (5mm vs.15mm)

Note that the three first parts of the headline do not look like headlines at all, they are more like full sentences from the first paragraph of a text. No headline-writing strategies such as specific word choice, ellipsis, and stylistic or syntactic elements are used here. The headline starts out objectively and seriously. The first part gives a composed, cool and detailed account of the assassination: we know about the what, who, how, where and when. In the second part, however, the emphasis shifts. The reader's attention is led away from the seriousness of the

crime to other aspects, usually not associated with murders in the world outside the theatre: the assassination is described as theatrical, the victim branded "narcissistic" and "melodramatic", labelling which is not called for in this context. The third part starts with the victim's nickname, Pim. This informality robs Fortuyn of his dignity, the more so that the rest of the sentence intimates that the victim's life was marked and inspired by theatricality, and his death even more so. The crescendo comes in the final part of the headline, also from a graphological point of view. This phrase is what the author wants us to focus on. It is in large typeface. The initial topic of the article, the murder, has completely disappeared.

Ambiguity and camp

We cannot discuss the last part of this headline without referring to the framework that Keith Harvey devised to illuminate camp talk in English and French fiction. Harvey's framework is composed of four categories. According to Harvey, camp is "a critical interrogation by homosexuals of disjunctures between surface and identity in the gendered, straight world" (2000:241). Harvey's categories: Paradox, Inversion, Ludicrism and Parody are, as he says "orientations to language use that allow speakers to manipulate the potential of language systems and discourse contexts" (2000:245)

I shall briefly go into the description of the four categories and then determine in how far they are applicable to the selected headlines on Fortuyn.

Paradox: 'incongruities of register', e.g. a disjuncture between the topic (high or low) and the expectation of choice of register to represent it. There may be abrupt changes and juxtapositions of register within a passage of discourse. (2000:245).
Inversion: "is predicated on the reversal of an expected order of or relation between signs" (2000:245). e.g. the reversal of gendered proper names or grammatical gender markers. The effect may be to confirm the usual prejudice of femininity of gay men and thus references the prevailing conventional value system.
Ludicrism: "linguistic features that are all determined by a playful attitude to language form and meaning" (2000:246), e.g. camp nicknames which can be particularly theatrical or ironic, and may allude to sexual behavior or be a play on the subject's physical characteristics. There may also be punning and word play, or the use of double-entendre in which the speaker intends something with a sexual meaning as well as, or other than, the face value of the utterance. The effect does not depend in punning or homophony, but on multiple meanings of words and phrases.
Parody: may involve the imputation of mannerisms. In Harvey's work French or aristocratic mannerisms are associated with camp. Also hyperbole, exaggeration and exclamation may be used. Innuendo – unlike double-entendre - does not inevitably have a sexual meaning. Instead its force comes from the coded delivery of a deprecatory comment about an addressee. Using politeness theory, Harvey notes that innuendo "can be classified as a threat to the addressee's positive face-wants through an off-record strategy" (2000:253).

1. Shortly after 6 pm Pim Fortuyn was gunned down in cold blood on a parking lot of a Hilversum radio station. A murder that, just because it is so theatrical, perfectly fits the narcissistic-theatrical character of the victim. Pim himself couldn't have made it up any better. MOTHER'S CHIC LITTLE PRINCE. Bart Willems. De Morgen. May 7, 2002.
2. Fortuyn was not just purple, he was shocking mauve. De Morgen. Marc Rengebrink. May 14, 2002.
3. When political the Hague was still lining up for Pim Fortuyn. Trouble monger, Miss Vain, fundamentalist know-it-all. In the approach to the Dutch election of May 5 Pim Fortuyn is tarred and feathered. But not so long ago the same politicians were angling for Fortuyn's services. De Morgen. Bart Willems. April 2, 2002.

Headline 1 is a clear example of paradox the way Harvey describes it. There is a strong contrast between the first part – the description of the murder – and the last part: "Mother's Chic Little Prince". The victim, dubbed "Mother's chic little prince", is trivialised and ridiculed. The use of the diminutive "little prince" for a grown man is denigrating. The word "chic" refers to only one component in Fortuyn's character: that of the bonvivant, given to hedonism and narcissism. The French word "chic", rather than the plain "posh", is representative of aristocratic mannerisms. This, according to Harvey, is a parody, associating Fortuyn's self-indulgent preferences with camp. The epithet "chic", combined with the genitive case "mother's" is a clear parody on Fortuyn's homosexuality. Indeed, according to the stereotype, homosexuals have a special relationship with their mothers. The whole line is made to sound deprecating and gives Fortuyn an effeminate aura. Fortuyn did have a close bond with his mother, nevertheless, the journalist's choice of this specific aspect in Fortuyn's character and his decision to put it in final position in the headline and in large typeface, causes the reader to focus on Fortuyn's gayness only.

Ludicrism and parody are demonstrated in the next headline. "Purple" has a double meaning here. First of all it refers to the then ruling Dutch – purple -- cabinet, a coalition between PVDA (socialist – red) and the VVD and D66 (liberal – blue), a cabinet heavily criticised by Fortuyn. At first sight it does not makes sense to link Fortuyn with this political constellation. However, "Purple" reflects Fortuyn's political ambiguity: he may have had right-wing sympathies, but he flaunted his homosexuality, a lifestyle not exactly approved of in right wing circles. The choice of "mauve" reinforces "purple" and clearly refers to Fortuyn's gayness. Indeed, according to Lakoff (1973) "mauve" is a colour identified as the provenance of women or gay men. It is also the colour used emblematically by gays and lesbians. The fact that the author amplifies the concept "mauve"—shocking mauve -- indicates double-entendre and word play at the same time. Thus it can be categorised as ludicrism in Harvey's terms.

We find the same double-entendre referring to (homo)sexual acts in headline 3. "The Hague was *lining up* for Fortuyn" (italics mine) as if he were a sought-after rent boy. The same goes for "(…) politicians were *angling for Fortuyn's services*" (italics mine). These are examples of ludicrism in Harvey's framework, since the sexual

connotation of the words “lining up”, “angling” and “services” is implied. In both cases, Fortuyn is represented as a kind of high-class coquette. “Miss Vain”, on the other hand, is exemplary of Harvey’s inversion theory. Using the word “miss” for a male serves to confirm the femininity of gay men.

It is important to note that there are no camp references in the Dutch headlines. Again, this may be due to the fact that Dutch society is more tolerant towards homosexuality – or more tolerant in general -- than the predominantly catholic Belgian society.

In comparison to the paper that Liz Morrish wrote about the British gay politician Peter Mandelson, we can say that there are relatively few, and rather mild references to Fortuyn’s homosexuality in papers in the Low Countries compared to political comments on homosexuals in the British press. This may be due to the fact that British dailies, especially tabloids, have a different, more direct way of dealing with politicians. However, this would require closer examination and goes beyond the scope of this paper.

Conclusion

To conclude we can say that, even if Flanders and the Netherlands are culturally quite comparable, there are some differences in the linguistic treatment of Fortuyn in the Flemish and the Dutch headlines. A good amount of cultural differences determines the linguistic make up of both newspapers. In many respects, Dutch society is less formal than its Flemish counterpart, which is also reflected in headline writing.

Firstly, the naming strategies are less formal and have a demeaning effect in the Dutch paper, more so than in the Flemish one. A belittling treatment of Fortuyn’s personality through the choice of register, on the other hand, is more prominently present in the Flemish paper. Next, the comparison of Fortuyn to right-wing politicians occurs in both papers, be it to a lesser extent than I anticipated. As expected, the way this was done, was slightly stronger in the Dutch paper, taking into account the aversion of the Dutch to the extreme right and their inexperience with extreme right-wing parties since WW II. Lastly, it is not surprising that camp references occur only in the Flemish broadsheet, considering the more liberal attitude the Dutch take towards homosexuality.

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Fortuyn conducts campaign from his own home. Where's Pim hanging out these days? All party leaders are travelling the country in search of floating voters. And Professor Pim? De Volkskrant. May 3 2002.

A Poseur from the Polder. De Morgen. May 4 2002.

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Let's Talk About Sex: Sia Figiel's *Where We Once Belonged*, Sex, Language and Post-Coloniality in Western Samoa

The field of Pacific Islander literature is still in its infancy compared to its more established compatriots in the canon such as Asian American or Chicano/a literatures. Sia Figiel's book, "Where We Once Belonged" (1996) is the first book published in America by a Samoan woman writer, however, its importance does not rest on its status as simply the latest inclusion in the field of minority literature. Instead, Figiel consciously writes for a mainstream (does one call this mainstream white? First world? Other?) audience from a distinctly post-colonial viewpoint. Figiel's use of language both lets her reader into her world while simultaneously reminding us that we are outsiders who will never fully understand all that goes on.

American colonization of Samoa is not simply confined to the fields of the economic and military, instead it is a colonization accomplished through language, anthropology, sexuality, and a pervasive Western consumer culture. Figiel utilizes a traditional form of Samoan story-telling, *su'ifefiloi* (linked vignettes) and mixes in narrative, myth, and poetry in English and Samoan to create this hybridized novel. A very short glossary is given at the end of the book but it is by no means complete, which often leads to readerly confusion. Figiel writes of a different sort of coming of age in Samoa, one that is self-aware of the history of colonization and co-optation of her peoples and while Figiel laments the changes that Western invasions have wrought upon Samoan life, especially in the value of the individual over the community, she does not long for some mythical edenic past, nor is her book a wholesale condemnation of all things Western. Instead Figiel urges memory as the means to accept and integrate change in a meaningful and useful way.

I argue that Figiel's post-colonial sensibility and her use of language resists some of the ways that colonization has impacted life in the Pacific Islands especially through the exoticization and sexualization of native women. I utilize theories regarding the touristic gaze and the disciplining of sexuality as a means to uncover the accommodation and resistance to (de)formations in identity caused by an invasion of American desires from Margaret Mead to *Charlie's Angels*.

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EMOTIONAL EXPEREINCE AND ARCHITECTURAL DESIGN: A RELATIONSHIP

Architecture

Work-in-Progress

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"Both of our girls started talking very early. So, I got to listen to a lot of things before they figured the way things work. Just listening... And it's amazing to see the way they see things the first time. And you kind of get this perspective on things and it reminds you – wow! I forgot about that... Actually, it teaches you to look at things differently, not in the kind of way you've been trained to look at them in the past thirty-some years, but to look at them in this kind of a fresh light, that there is more to it than what you learned along the way" (name of the speaker here is confidential). Having children changes who we are, but do they make any difference in architecture we design? The answer to this question is yes, they do - through us and our experiences.

It may sound tautological, but everyone would probably agree that experiences can only be experienced and embodied. Our perception of memorable experiences, however, changes with time and under the influence of new experiences. Altogether, those countless realistic and unrealistic, imaginary and abstract, affective and intellectual experiences compose our memory (Savitzky, 2001). Embodied memory is not static storage, on the contrary it is very plastic, constantly adjusting "the program created by learning, by facilitating neuronal schemata" (Savitzky 2001, p. 211). There are different ways of breaking down those memories into various categories or domains. As discovered by neurologists, some of the most important memories are emotional (LeDoux, 1992, 1996). In general, present and past emotions greatly influence how we perceive reality and what or how we remember events. Frances Downing (2000), in her research into memories of architectural designers, discovered that it was memories of past place-experience – the formal (for example, the Parthenon) and informal (for example, grandmother's kitchen) - that are most often used by architects in their creative process. For the most part, remembered places are emotionally loaded and many memorable images come from childhood experiences, in addition to more formal architectural imagery.

The design process can be defined as "the planned cognitive reordering of elements toward a desired end" (Voelker, 1985, p.6). Brain research has shown that the left brain hemisphere stores factual knowledge. It is "responsible" for linguistic, analytical, and categorical abilities, but is not effective in sensing new directions (Voelker, 1985; Eby, 2002). Spatial ability, intuition, symbolic thinking, imagination, and emotion are the domains of the right hemisphere. Obviously, in everyday life and during the design process humans utilize both hemispheres. It has been, so far, impossible to pin down the location of operation of the higher cognitive functions of the brain like the design process. It would be, therefore, appropriate to construct a general picture of the process of designing and what kind of mental functioning it involves.

What human capacity does an architect use when he/she designs? Surely it is cognitive thought, but what is thinking? Metaphysicians have tried for centuries to model or explain how humans think, and for the most part have been lost in the battle of the subject/object problem. From the point of view of current brain research, thinking is nothing but "the stuff" of working memory. Working memory depends upon our experiences from the past and what we know. In common sense terms, working memory is the cooking device that, when asked for a meal to be made, takes embodied memory, current sensations, moods and occurrences, mixes them, kneads them together and gives us the desired dish. This kind of working memory system is necessary for a wide range of tasks, such as performing mental arithmetic, reading, problem-solving and reasoning in general (LeDoux, 1996). The design process, then, can be seen as the imaginative transformation and translation of an architect's memories into new meaningful content (Downing, 2000, Solovyova 2002).

The design process as thought process can be described in terms of both serial and parallel functions. "Consciousness seems to do things serially, more or less one at a time, whereas the unconscious mind, being composed of many different systems, seems to work more or less parallel" (LeDoux, 1996, p. 280). Consciousness involves components of emotional feelings, reasoning and thought. The experience, imagery and memory are qualitatively equal experiences in our consciousness (Pallasmaa, 2001) and "Architecture frames human existence in specific ways and defines a basic horizon of understanding. We know and remember who we are and where we belong fundamentally through our cities and buildings" (Pallasmaa, 2001). Emotional response to the experience of cities and buildings, as to the everyday events make memories of places and events stronger, and sometimes we only remember events because of these emotional responses. Our selves are embodied in places, and sometimes these places, formal or informal, permanently remain with us as memorable experiences. These embodied memories are critical to the working mind because to begin a new design task we seek to order that task in some known configuration that may have significance or "logical form" (Langer, 1980).

Emotional feelings involve more brain systems than do thoughts. It has been assessed by various studies that the arousal of emotion can facilitate the memory of certain events (LeDoux, 1992; Nilsson and Archer, 1992; Conway, 1990; Christianson, 1992; Christianson and Safer, 1996). Classical learning theory argues that learning occurs (i.e., memories are established) when stimuli and/or behaviors are followed by biologically significant stimuli. Stimuli that have reinforcing properties also embody emotional or hedonic properties.

Many learning theorists assume that the capacity of a stimulus to serve as reinforcement is directly related to its hedonic properties. In this sense, memories that are "dependent on the reinforcement mechanisms may also be dependent on the arousal of emotion" (LeDoux, 1992, pp.

269-270). The more we learn about human information processing, the more evident becomes the connection between emotion and reason, as well as emotion and memory—a kind of triangulation of necessity. Learning does not really take place unless there is an emotional arousal (Weiss, 2000). When we learn, or simply when an event occurs, the emotion is inseparably coded with the content and context of our experience, and how or what we remember is partially dependent upon how we feel about the event at the time of its occurrence. "It [emotion] becomes the measured weight to all of our thoughts, biases, ideas, and arguments. It is, in fact, an emotional flavor that animates us, not a logical one" (Jensen, in Weiss, 2000). Emotion activates attention and motivation, and speeds up and alters decision-making, learning and memory.

According to LeDoux (1992, 1996) emotion itself can be a memory. Such emotions as memory or an emotional memory can be explained through brain wiring: memories of the affective significance of experiences are mediated by different brain circuits than memories of the event itself (LeDoux, 1992, 1996). Emotional (also called affective) memories can be but are not necessarily memories in the sense of conscious recollections. Nevertheless, they are memories in the sense that they represent information storage in the nervous system, and in the sense that they have influences on future information processing and behavior. In other words, emotion is to be treated as a memory process rather than as a process that simply influences memory.

Emotional experiences can be conscious or unconscious; both types of experiences produce emotional memories. Conscious emotional experiences are the end products of more basic unconscious emotional mechanisms that process the emotional significance of those experiences that people encounter (LeDoux, 1992; Tulving and Lepage, 2000).

Intertwined with memories and emotions are beliefs. Just as memories and emotional responses are shaped by beliefs, so too are beliefs shaped by memories of past and present experiences. The most simple example is a phenomenon known as the 'illusory truth effect', when mere repetition of a

statement can lead to an increases in the strength of one's belief that the statement is true (Schacter and Scarry, 2000). A correlation between emotion and confidence in the accuracy of a memory grows significantly higher with age and experience (Johnson and Raye, 2000). In other words, the older and more experienced we become, the more we rely on the 'this feels right' principle. In everyday life, we tend to call such decisions intuitive, and intuition is nothing more but the expression of decisions based on the efficient use of partial information (Cytowic, 1993).

In summary, we live our lives and "store" all our embodied experiences in memory. One very important and distinct kind of memory is emotion. Emotional memory is processed differently by the brain, and greatly influences our perception, cognition and memory. It is also intertwined with belief, and contributes to the construction of what we call the 'self'. We will not discuss any of the problem-solving studies here, but they show that emotion is a strong factor in the problem solving and decision making, our imagination and imagery. As research into place memories have indicated (Downing, 2000; Israel, 2003; Lawson, 1994; others), memories comprise the image-bank of designers ("life banks" in more generic terms (Hoberman and Mailick, 1994)). Most memories, then, are emotionally charged. Because other research into design process and research into design psychology show similar results (Israel, 2003; Lawson, 1994), we need to investigate more into the effect of emotion on the design process. This knowledge would greatly contribute to the education and practice of architecture. In this paper I would like to hypothesize that the embodied experiences of architectural designers and their emotional memories (as part of those experiences), in many ways influence the process of architectural design and help shape the design product.

It is usually difficult for designers to express or explain why memories are meaningful to the design life and how the recollection of, for instance, the smell of ginger cookies could act as legitimate conjecture for a design task. Memories sometimes come when we call them for a unique design task, and sometimes they unconsciously surprise the designer when he or she needs their

content, meaning, or presence to reach a conjecture or a successful solution. Memories usually come under the guise of 'what I know' and 'how I feel about it', but sometime they wear no mask. Sometimes they are completely imperceptible. Lives of designers are populated with memories of experiences that are mostly peculiar to their own lives. In deep ways these experiences present the essence of moments, events, places, or people who define the joys, disappointments and conundrums of human experience.

Everyone retains memories of experiences, of their emotional significance. For all architectural designers, the memories of places and events in our lives provide a dynamic form of insight; memorable experiences present to the conscious self the experiential, emotional and intellectual content of life that is usually only directly known and felt (Downing, 2000). Construction of meaning relates to the designer's cognition of the world, a personal system of logic (Solomon, 1980) and his or her ability to systematically formulate experience into varying domains whose value is crucial to the design process. Our sense of the world involves not only intellectual and social experience but emotional dynamics as well (Israel, 2003); personal summaries and emotions are necessary features of memory, since we cannot remember eidetically (to produce an objective record). An understanding of those domains that individual designers identify is shared across groups of designers at all levels of professional development. Frances Downing (2000) identified nine major place memorable place memory domains commonly used by the designers during the process of place-making. Lived (existential) place is structured on the basis of meanings and values reflected upon it by an individual; it is unique experience interpreted through the memory and experience of the individual (Pallasmaa, 2001). Memorable place-domains are not static, nor are the places they represent. It is simply where they "hang" an embodied memory for the exploration of its contents. These domains evolve as the environmental autobiography of a person who grows and changes. Toby Israel (2003) also found that environmental autobiographies make the connection

between the past, present and future sense of places. Almost all of those place memories have one thing in common – there is an emotional content that accompanies the memories.

There are various ways architects use their memorable experiences during the design process. One way is the preferred choice of elements (style, geometry, materials, etc.) that is mainly based on personal preference and belief. Significantly related to that is what Jane Dark (1978) calls a primary generator, or an expression of what is valued by the designer - a concept or objective that helps to generate a solution, (Darke 1978), which is a component of the designer's cognitive structure. Such a primary generator allows the designer to limit an ill-defined, vague and very broad scope of the design task to the smaller and more manageable set of factors that begin to the process of designing. In other words, the design process begins with a belief or belief-like cognition. Both the primary generator and the gathering of relevant information prior to any design attempt, are shaped by beliefs and past experiences. We devote ourselves to what we believe (Rugg, 1963; Carlson ,1995), and any conscious effort to solve an immediate task will be greatly influenced by our beliefs and past experiences. Past experiences of any kind – knowledge, emotional memory, aesthetic experiences and autobiographical experiences form an information bank, a body of ideas that can be tapped for imagery creation and problem-solving. Creative outcomes are simply a recombination of existing elements (Ward, Smith and Finke 1999, Harnad 2001) and the designer's imagination in the light of a new task. It is important to be able to draw upon all pieces, and it is here that past experience is critical.

Architectural quality does not derive from formal diversion; it arises from experiences and an authentic sense of life (Pallasmaa, 2001). One way of transforming personal experience into a new experience of a designed place that architects often use is metaphor. Metaphor is the mapping of one thing onto another in a different domain. Most of the time, when we think of a metaphor we think of linguistic expressions, but metaphors are, in fact, part of our conceptual system (Lakoff and

Johnson, 1980). There is an experiential basis to a metaphor without which no metaphor can be comprehended. Neurologically, every time we make a metaphoric connection, neurons make new synaptic connections (Lakoff and Johnson, 1999). In other words, when we make a metaphorical connection in addition to an intellectual or intuitive mental leap, this connection becomes physiologically wired. Not only architectural design, but life in general is metaphorical in nature; metaphor is pervasive in both language and thought, comprising a conceptual system of biological categorization (Lakoff and Johnson, 1980). Our mental worlds, where the material and the mental are experienced, remembered and imagined, all fuse together (Pallasmaa, 2001) to allow us to discover and understand new ideas and to create new concepts.

The re-creation of "significant form" (Langer, 1953) is what allows designers to transcend their own unique experiences and create a new place that is in its own right filled with significant form. While it is the domains that are distilled from past experience as significant or logical forms, the act of remembering exposes designer's intentions to the remembered place. Designers display three intentional states: emotional, experiential and intellectual (Downing, 2000). Emotional intention is composed of constructions of personal references in any sense when feeling or emotion toward the construction is involved. This intention may be unconscious - for example when your current mood evokes certain parallel memories that lead to the project initiated. Meaning is evoked from the individual and presents an emotional response to memory. Experiential intention involves more active body-memory constructions, event experience, and a significance attached to sensate experience. Experiential intention involves emotional memories as well, just by the nature of those memories. When we remember events, we never recollect them as completely objective or intellectual – they are always good or bad. There is always an emotional and attitudinal judgment attached to them. The same with sensate experiences – they are affect-dependent (Savitzky, 2001). Objective intention reflects a more abstract, intellectual, and external response (knowledge-based) to

the significance of places (for example, a Fibonacci series). Very little emotive response is associated with these constructs.

Just as each memory can be recalled through different domains, each domain can be realized through an emotive, experiential or objective intention. Each image could, like a chameleon, adjust to the designer's intentions, depending upon the individual and the task at hand. Anything in the design, design situation or its surroundings can spark conscious or unconscious emotive responses and memories of past experiences.

Like all other people, architects function through analogical and metaphorical thinking. Whether conscious or not, designers constantly refer to their memories and feelings in order to understand their intentions towards the design task, the task itself and the forms of domains appropriate to its solution. Innovation in design is intimately tied with mental imagery. "...Were it not for emotion, our mentation would be predictable and unimaginative. The ability to pluck qualitatively salient information from the passing stream and to act efficiently on fragmentary information is what leads to imagination and an aesthetic capacity" (Cytowic, 1993, p. 191).

In this paper I am not trying to convince anyone that emotions and memories are important – this that would be an obvious understatement. I am instead trying to re-draw attention to the subject, and show how architects do/might use those emotions and memories in the design process, and the importance of environmental autobiographies for architectural design. Professional skills and knowledge of codes alone are insufficient for producing a meaningful and creative design. The rich and diverse autobiographical experiences of a designer are just as (if not more) important, and this aspect has been overlooked by the architectural profession and education system for many years.

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Correlates of Mood Functioning in a Sample of Ethnically Diverse Older Women

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Abstract

Women comprise the majority of the elderly population, as they outlive men considerably (Belsky, 1999); this holds true within many ethnic minorities (Monthly Vital Statistics Report, 1995). Although women live on average longer than men (National Center for Health Statistics, 1996), they usually report worse health status and experience more illnesses than their counterparts (Centers for Disease Control and Prevention, 1997). Concerning psychological functioning, lower levels of distress are usually reported as people age; however, factors such as socio-economic status and education influence distress even among older adults (Kubzansky, Berkman, & Seeman, 2000). In this regard, studies suggest that both higher income and education levels result in higher personal functioning following bereavement (Sanders, 1993; Lopata, 1993). As women age, they experience much higher rates of depression and anxiety-related disorders than men do (Belsky, 1997). Furthermore, elderly women living alone have a higher incidence of depression, loneliness, social isolation, and use of formal support services, such as home health care agencies or long-term residential care (Mui & Burnette, 1994). In particular, widowed women exhibit more signs of depression than do widowers, more fatalism and vulnerability, as well as less self-efficacy and ability to carry plans to completion (Arbuckle & deVries, 1995). Based on such findings, it is critical to investigate quality of life issues concerning older women in particular, such as risk and protective factors related to their depression. Findings on this topic could provide important information applicable to needed health-related service provisions targeting this neglected population.

To fill a gap in the limited multicultural literature on depression among elderly women, and based on an extensive literature review, we hypothesized that lower income, as well as widowed status, would be significantly related to depression among older women. Additionally, for exploratory purposes, we included in our data analyses participants' ethnic background (to identify sub-groups of elderly women particularly at risk for depression) and a measure of their cognitive difficulties to study whether the latter are significantly related to their depression. To our knowledge, no prior studies on depression have looked at our selection of independent variables within a primarily non-Caucasian sample of elderly women.

Research participants were recruited as volunteers at churches, libraries and senior centers within Los Angeles County. Our sample comprised a total of 216 non-institutionalized, older women without dementia (median age = 71). Since these women did not reside in assisted care settings, many of them constituted a sort of invisible minority, often living at or below poverty levels, having few social contacts, and rarely being recruited in research endeavors. We engaged our research participants in one-on-one administration of a demographic questionnaire, with the option to refuse to answer any of its questions (to reduce the possibility of making them uncomfortable). Furthermore, we utilized two standardized assessment tools. One of them is the SELFCARE - D (Bird, MacDonald, Mann, & Philpot, 1987; Gurland, Kuriansky, & Sharpe, 1977) a valid and reliable tool (Bird et al., 1987) designed to measure depression among older adults. In addition, we used the Cognitive Failures Questionnaire (Broadbent, Cooper, FitzGerald, & Parkes, 1982) to assess participants' failures in perception, memory and motor function. Reliability and validity for this scale have been demonstrated (Broadbent et al., 1982). It should be pointed out that, when investigating mental health variables among the elderly or ethnic groups such as Hispanic-Americans, conditions like depression may be underdiagnosed, as they tend to be manifested only in exaggerated physical complaints or memory problems (Blazer, Hughes, & George, 1987; Ruiz, 1985). The utilization of an assessment tool to measure depression that is not confounded with physical illness and symptoms (such as the one used in the present study) allows researchers to be sensitive to the fact that elderly women of an ethnic minority status may be more willing to admit to the presence of physical symptoms than to emotional distress.

The demographic characteristics of our sample are illustrated in Table 1. A full regression model was employed; as shown in Table 2, the overall multiple regression model was statistically significant [$F(9, 206) = 8.997$, $p < .0001$]. As hypothesized, depression scores were significantly greater among elderly women who reported a lower annual income ($p < .05$). Widowed status did not have a significant relationship with depression; a discussion relative to this finding is included. Moreover, experiencing cognitive difficulties was significantly related to higher depression ($p < .0001$) and to being of Middle Eastern ($p < .0001$) or American-Indian ($p < .005$) background. The small cell size for American-Indian ethnic background calls for caution in interpreting the last finding; future studies should investigate whether this ethnic background is indeed a risk factor for depression in this population. The multiple implications of our findings are discussed within a power and gender role framework.

Predictors of Marital Adjustment among Ethnically Diverse Older Women

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Abstract

Limited attention has been paid to the perception of marital adjustment among older women of ethnically diverse backgrounds. Studies of the trajectory of the marital relationship have traditionally focused on marriages in their first decade where the average ages of the couples ranged from the mid-twenties through the thirties (Bradbury et al., 1995; Coleman and Miller, 1975; Davila et al., 2003; Fincham & Bradbury, 1993; Fincham et al., 1997; Koren et al., 1980; Kurdek, 1998; Whisman & Bruce, 1999). When the race or ethnicity of the participants was reported in the aforementioned literature, the majority of the participants were identified as White (Davila et al., 1997, Fincham & Bradbury, 1993; 2003; Kurdek, 1998; Whisman & Bruce, 1999).

Given the gap in the literature on the later stages of marriage, this pilot study investigated possible predictors of marital adjustment in a sample of 91 older women. The ethnicities represented by the sample consisted of African American: 6 (6.6%), Asian: 8 (8.8%), European American: 41 (45%), Latina: 23 (25.3%), Middle Eastern: 8 (8.8%), and Native American: 5 (5.5%). Predictors of marital adjustment included ethnicity and self-reports of depression and physical health. Marital adjustment was assessed by the Marital Adjustment Test (Locke & Wallace, 1959). Depression was assessed by the Selfcare - D (Bird et al., 1987), with scores over 6 indicating the presence of clinical depression. Physical health was measured on a five point scale as follows: 1 = Poor; 2 = Fair; 3 = Good; 4 = Very Good; 5 = Excellent. The authors tested three hypotheses: 1) the stressors created by belonging to a non-dominant group would adversely impact the marriage, thus predicting lower levels of marital adjustment, 2) in accordance with the results of previous research on the association between depression and marital adjustment, depression would correlate negatively with marital adjustment, and 3) low levels of physical health would predict low levels of marital adjustment. Hypotheses regarding ethnicity and depression were supported; however, physical health failed to show a significant association with marital adjustment. Ethnic status as Latina or Middle Eastern correlated significantly with lower levels of marital adjustment. The implications of these findings are discussed.

Title:

WHO BLEW OUT THE FLAME?
REDISCOVERING THE GREAT MILDRED BAILEY SONGBOOK

Topic Areas:

MUSIC, WOMEN'S STUDIES

Keywords:

JAZZ, AMERICAN POPULAR MUSIC

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Paper Proposal for 3rd Annual Hawaii International Conference on Arts and Humanities

WHO BLEW OUT THE FLAME?
REDISCOVERING THE GREAT MILDRED BAILEY SONGBOOK

The brilliant and neglected artist Mildred Bailey (1903-1951) was the first female big band soloist. Hired by Paul Whiteman in 1929, she was known to millions in the 1930s and 40s when she collaborated with jazz immortals on over 200 recordings. The "subtle swing" of Bailey and her husband, xylophone virtuoso Red Norvo, was widely admired. But her star never blazed fully, and it fell far. This paper traces Bailey's career, with emphasis on her interest in classical music, and details recent attention to her work.

Part Coeur d'Alene, Bailey was influenced by tribal song, vaudeville, and blues. She sang in speakeasies until introduced to Whiteman by her brother Al Rinker (one of the Rhythm Boys) and his friend Bing Crosby.

Bailey and Norvo toured with their own band 1936-38. His delicate mallet work complemented her light, head-based tone and her refined phrasing, pitch, and diction. They worked with arranger Eddie Sauter, trained at Julliard, and Hoagy Carmichael, Johnny Mercer, and Alec Wilder. The Bailey-Norvo partnership resonated widely: in 1933 they took producer John Hammond to Harlem to hear an unknown singer—he christened her Billie Holiday—and in 1935 the Goodman Trio was formed at the Norvo house in Queens.

A few Bailey recordings never left the mainstream: *Ghost of a Chance* and *Darn That Dream* (both 1939), and Carmichael's *Rockin' Chair* which to her chagrin became her virtual theme song. Bailey was a large woman in an image-conscious business. Emotional and physical problems led to premature death at the dawn of the LP era which might have kept her art before the public. In 1963 critic Whitney Balliett dismissed her as "fat and plain…every vocal sounds the same."

This view has been increasingly challenged. Crosby, Sinatra, Clooney, and Bennett cited her influence. The year 2000 brought two major articles and the release of a ten-CD compilation of her work for Columbia. In the notes Will Friedwald calls her "one of the essential missing links of American music."

Mildred Bailey belongs in our textbooks, surveys, and Women in Music courses.

Title:

IRISH MUSIC AND CELTIC MYTH; A CROSS-DISCIPLINARY EXPERIENCE

Topic Area:

INNOVATIVE INSTRUCTION TECHNIQUES IN ARTS AND HUMANITIES (MUSIC AND LITERATURE)

Keywords:

CROSS-DISCIPLINARY TEACHING
IRISH MUSIC AND FOLKLORE

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Proposal for the 3rd Annual Hawaii International Conference
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Irish Music and Celtic Myth: A Cross-Disciplinary Adventure

This paper reports one of the best experiences I've had in fourteen years of undergraduate teaching: a recently developed interdisciplinary class—music and literature—titled "Irish Music and Celtic Myth", exploring Irish culture through the oral traditions of music and folklore. I came to the enterprise through contact with the work of pioneering Irish-American folklorist and recording artist Mick Moloney.

Innovative course proposals are encouraged on my liberal arts campus, and the Dean supported me with a grant for travel with Moloney in Ireland. The following fall our twelve-three "split semester" allowed the class to debut in a three-week intensive format when students could give it their full attention. We immersed ourselves in Irish history from the Stone Age through the Celtic Tiger, pausing to consider influences on American popular culture after the great emigration. Themes linking the verbal arts of song and literature included nature, celebration, heroes and heroines, war, patriotism and nostalgia.

Texts included a study of Celtic mythology, a concise survey of traditional music in historical context, and a richly illustrated collection of myths and legends. I asked students to write daily essays on a topic of choice (musical, literary, historical); these were shared with keen interest each morning. We had several guests: a historian speaking about St. Patrick; a specialist in Irish literature who led us in a play reading; and a professional duo of *seanachie* (storyteller) and ballad singer from the Cleveland Irish-American community. I demonstrated several instruments and led the group several times in song and social dancing.

The most rewarding aspect of the course was the variety and quality of student presentations (later turned in as research papers). They worked singly or in groups. The more academic ranged from Irish art to Celtic women and Bing Crosby to the Pogues. Hands-on projects included learning new instruments, teaching the Irish language, and writing a script and presenting a staged version of the tale of Oisin and Niamh. We had a pub lunch on the last day, entertaining diners with *The Faerie Round*.

Several students were moved to research their Irish heritage during the term. Evaluation comments were overwhelmingly positive and, prompted by students, I am developing a Study Aboard proposal to offer the class in Ireland. I urge others to consider similar cross-disciplinary ventures in their area of interest.

The Second World War and Gender Identity: Images of Women in *Chatelaine* Magazine, 1928 - 1956
By Emily Spencer

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The Second World War and Gender Identity: Images of Women in *Chatelaine* Magazine, 1928 -1956

Emily Spencer

Abstract

Within the historiography of women, war and society, there are three main schools of thought on how women's roles during the Second World War affected social attitudes about their place in society and what priorities they should have in the postwar period. According to a number of commentators, women's contributions to both the labour force and the military during the war taught women independence and led to a reconstruction of male-female roles in the postwar period that favoured more liberal attitudes regarding women. Alternatively, historians have argued that women were pushed, or ran back to the home with renewed vigour following the war. A third school of thought argues that attitudes about women did not change in the immediate postwar period and in fact had remained constant throughout the 1940s.

In order to add to the debate on women, war and society this paper provides a preliminary examination of every fourth year of *Chatelaine* Magazine from its inception in 1928 until 1956. *Chatelaine* was one of two popular English Canadian women's magazines during the depression, WWII, and into the postwar years. The articles, advertisements and editorials that appeared in *Chatelaine* during the period under examination support the hypothesis that the Second World War paralleled the dissemination of more 'traditional' images of women in the magazine. Indeed, throughout the 1940s and into the early 1950s the magazine overwhelmingly depicted women as wives, mothers and homemakers above all else, and often to the exclusion of anything else. These findings support the conclusions of M. Susan Bland in her study of images of women in advertising in *Maclean's* Magazine from 1939 to 1950. Paradoxically, however, this was also the period when women entered the labour force in unprecedented numbers and, because of war shortages, held jobs previously under the purview of their male counterparts. Moreover, the conservative images of women projected in the 1940s represent a noticeable change from the independent and diverse women that were featured in *Chatelaine* during the previous decade. By 1956 the magazine was returning to its liberal roots. Indeed, Valerie J. Korinek suggests in her book, *Roughing it in the Suburbs*, that there was an undercurrent of feminist thought in *Chatelaine* in the fifties and sixties.

By examining equally both the pre- and postwar periods this paper establishes a firm base upon which to analyse the effects of World War Two on the images of women in Canadian society – a foundation that is often lacking in analyses of only the war and postwar periods. Furthermore, this work places Korinek's thesis in a larger context and challenges the novelty of the liberal images of women that appeared in *Chatelaine* in the 1950s.

1) Title: Journey into the Grotesque: An Exploration of the Mechanics of Williams's Hidden World

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6) Abstract Proposal:

It is no secret that the plays of Tennessee Williams inhabit two dimensions: the more readily apparent realistic dimension, and the grotesque dimension, which is frequently hidden, and suggested, rather than articulated. How does Williams so skillfully and seamlessly weave these two worlds into an integrated whole? How does he get away with writing about the body, sexual deviancy, cannibalism, and excrement, in a way that the reader will not only find the experience palatable, but also uplifting and cathartic?

Hawaii International Conference on Arts and Humanities Jan 13-16 2005

Apollinaire's *Bestiary*: A Dialogue between Ancient and Moerrn, East and West, Words and Pictures.

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A product of the 20th Century avant-garde, Apollinaire's *Bestiary*, illustrated by Dufy, is both a parody of, and homage to the medieval bestiary, in the widest sense of the term "bestiary", a genre whose known texts ranged from religious ranting to amorous raving. Whilst essentially modern in its outlook and presentation, this collaborative work is also a parody of the humanist tradition it emulates, in that it pokes fun at itself and at Renaissance erudition _ whose long arm of rediscovered knowledge it nevertheless shows as reaching back to Roman and Greek mythologies ... and further stretches to extend beyond to older cultures still. This bestiary's play on words and pictorial puns suggest that Apollinaire links the genre to the very cradle of Western civilisation. For, by implicitly retracing the bestiary's roots back to ancient cultures in the Middle East through playful allusions to Egyptian, Jewish, Assyrian and Babylonian cultures, this *Bestiary* is both parody of the bestiary as genre, and a bestiary of all bestiaries.

Mosaics, Minarets & Multimedia Design:
Reflections on Western-style Design Education in the Middle East

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The New Digiverse

Despite the hyperbole espoused over the past decade regarding the Information Superhighway, one thing is clear: traditional University-centered education, normally slow to accept change, has merged unbelievably quickly with communication technologies of the 21st Century. National and cultural boundaries are melting in the face of increasingly inexpensive technology, broader bandwidth and a desire everywhere for top tier educational opportunities.

Worldwide, students and faculty are facing new opportunities as well as new challenges in the way instructional programs are presented and received, and perhaps nowhere is this phenomenon more evident than in the field of design education. Since the early days of dial-up bulletin board communication, there has

been a strong sense of community on the Internet among artists and designers. The Internet, consisting of email, Web, file transfer, instant chat and messaging protocols, allows for a certain leveling of the pedagogical playing field among students who are differently-abled. Many students with disabilities see those handicaps reduced or gone entirely in an online world where there are no steps to hinder wheelchair access and no interpreter needed for hearing impairment. Even sexism happily suffers at the hands of what often becomes gender-neutral communication.

For many traditional-age students, the Internet is a second home. It's how they communicate not only with teachers and classmates, but also with friends and family near and far via email and instant messaging; how they promote themselves with Web sites, and increasingly how research is done (sometimes to the chagrin of traditional brick-and-mortar librarians). It can also be argued that Web-enabled classes empower students to participate in a broader, global dialog, while furthering local educational goals.

Instant worldwide communication has made design studies as a field more accessible to students worldwide. For many students abroad looking for Western-style educational opportunities, Internet searches are where they learn of the possibilities in the design field. The Internet is a natural place to study computer graphics as well. Long before most educators in the humanities became aware of the possibilities of Web-enabled courses, and before administrators began to appreciate the value-to-cost ratios of "virtual classrooms, visual communication and multimedia design curricula have been structured with Web enhancements in mind since the late 1980's, often by a stream of guerrilla-style design and graphics educators/Web masters, working under the radar of bottom line-obsessed academic administrators who are often wary to the point of phobia of "new ideas" from faculty. Today many academicians would likely say practically without argument that higher education without Internet augmentation would be far less valuable as a tool for bridging cultural gaps.

Vehicles for Design

In many Middle Eastern countries too often thought of in the West as Third World and politically repressive, especially in the Persian Gulf region, petrochemical prosperity and a virtually obsessive commitment to obtaining bleeding-edge technologies have spurred on the development of the most up-to-date communications infrastructures and top tier higher education institutions. Now, despite (or perhaps because of) ongoing tensions in the region, essential lines of colloquy are being opened as new and established Middle Eastern universities collaborate with Western educators, particularly in the field of design education.

Design students in the Middle East are voracious for the best the West has to offer, yet misunderstandings between our cultures seem to increase as students struggle to reconcile their reverence for and revulsion of images in Western media, while remaining eager to retain and even enhance the traditional values they sincerely cherish.

Questions both obvious and subtle arise almost daily when Western faculty endeavor in such an environment. Should design educators in the Middle East strive to ensure that students comprehend the political power of visual communication and are given the insight to use these skills in progressive and ethical ways, or should design be taught as pure theory and technique, distinct from the stain of global politics and cultural misoneism? Is there a balance between cultural hegemony on the one hand and universal truths on the other that bare telling in a design context? Can this even be done without fear of being misunderstood? Does cultural contamination occur simply by the presence of Western faculty, or does the influence of mature design study transcend the differences of religion, language and dress?

The division/separation of these aspects is an artifice as they all relate to and share with each other in the given situation. Typically identified aspects in design are named as: shape, meaning, intent, color, integration, potential, texture, etc. There are hundreds of possible vehicles for design depending on how they are combined, considered, and how this is communicated (evidenced). Evidence is a necessary ingredient to indicate intent. It eliminates the accidental and/or incidental that are not compatible with the consciousness of consideration. (Designing the accidental is an interesting condition). Consideration is applied in quantity and quality, to as many aspects as can be found in a given situation. Any prevailing group of aspects will combine to become the aesthetic: of function, of brevity, of emotional response, of accuracy, of generosity, etc.

The beginner design student wants to deal with the aesthetic directly and immediately. Usually engaging symbolically or generically pleasing elements does this, which is decoration. It is a first step in design in that the given situation has been considered, found wanting and acted upon. The desire to improve is at the heart of the designing process.

Design is the “intended” and therefore the non-natural. Though elements of inspiration may come from the natural, it is acquired. Religion separates design from the cosmic, natural intent that we witness. The increase of value through the process of design communicates on individual, social and cultural levels. An understanding of these three levels is necessary for the recognition of intent. Research into the most effective cross-cultural design learning methodologies continues and may soon become essential for global stability, given that information is dynamic and perishable and what is portrayed today as truth may as likely tomorrow be proved a fiction.

The American University of Sharjah

A useful case study for the symbiosis created (or repelled) in design studies as Middle East meets (or re-meets) West is the new co-educational American University of Sharjah in the United Arab Emirates. Students there hail mostly from progressive families of the Middle East. They are the sons and daughters and nieces and nephews of the rulers and leading citizens of the U.A.E., Saudi Arabia, Qatar, Bahrain, Kuwait, Oman, Lebanon, Jordan and Pakistan.

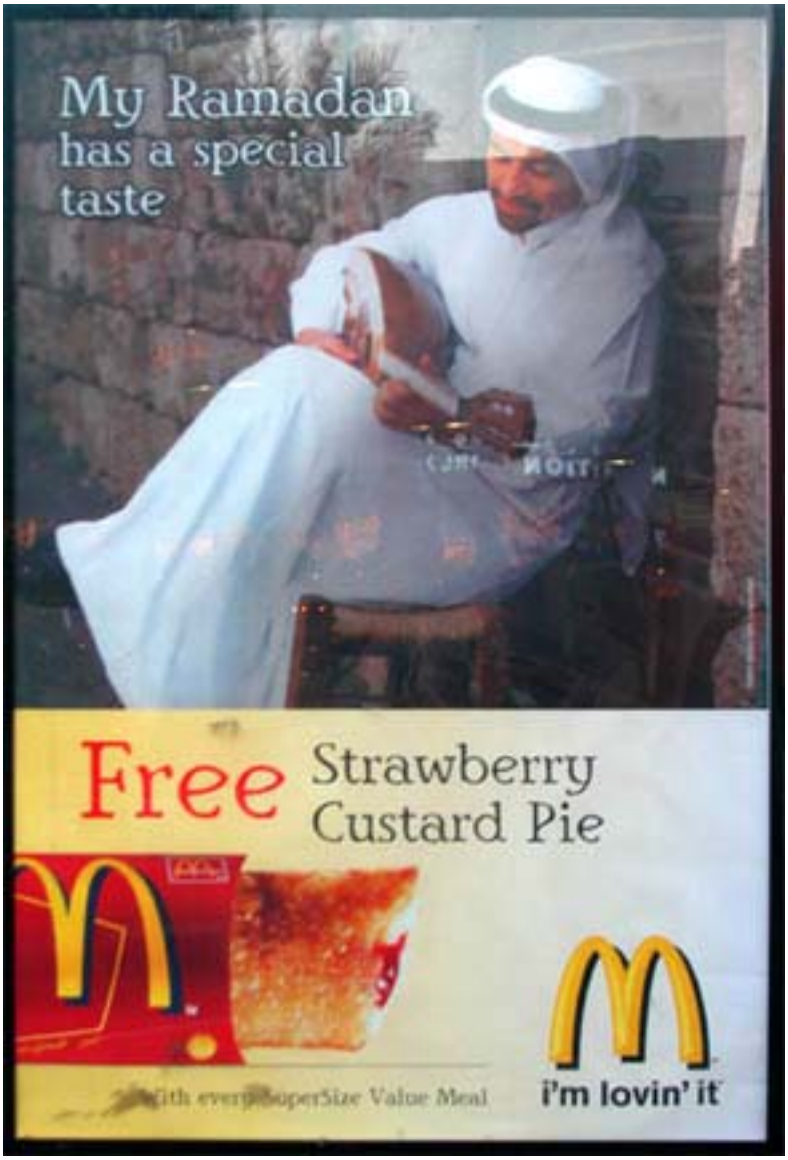
After several years of advanced design and liberal arts study, as well as a constant and lively exchange of ideas, students with majors in the Design Department of the A.U.S. will internship at exciting centers like Dubai Media City. Created by the Dubai Technology, E-Commerce and Media Free Zone Authority, Dubai Media City is a regional hub for media businesses throughout the region. The City's strategic position at the crossroads of the Middle East, Africa and South Asia gives businesses an unrivalled access to a nearly two billion-person market. Its state of the art infrastructure and an environment that promotes creativity and productivity provide an exceptional opportunity for media businesses to embrace the challenge of the future.

The goal behind the support for Dubai Media City's is to create a comprehensive, self-supported, interdependent media community with an emphasis on diversity. A unique combination of diverse services and industry-leading technology gives every facet of the multi-dimensional media world the scope for unconfined growth, whether the growth area is broadcasting, publishing, advertising, public relations, research, music, or post-production. Both freelancers and independent producers are welcome and women and non-Arab minorities are full participants – often rare in media studios on the Arabian Peninsula.

Dubai Media City's progressive policies are designed to allow talent to perform to its true potential and scale new heights. The rules and regulations are being designed to allow media businesses the freedom of expression while maintaining a sensitivity to prevailing social and cultural values in the region. Similar policies can be found in other major centers supported by the government of the state of Dubai, including Dubai Internet City and the Jebel Ali Free Trade Zones.

War of Opinion

Graduates of the Design Department at the American University of Sharjah often later work for (or run) companies like Al Jazeera Television, Saatchi & Saatchi Middle East, Arabiya Television, Middle East Broadcasting, CNN Mid-East, Abu Dhabi Television, Al Khalej Times, Gulf News, and more. These are the companies most likely to exert a persuasive influence on their audience, for good or ill, purposefully or incidentally, in the world of news, information, advertising and the arts, and many would consider these to be lynch-pin industries in the war of opinion over the hearts and minds of the people of the Arab “street”.

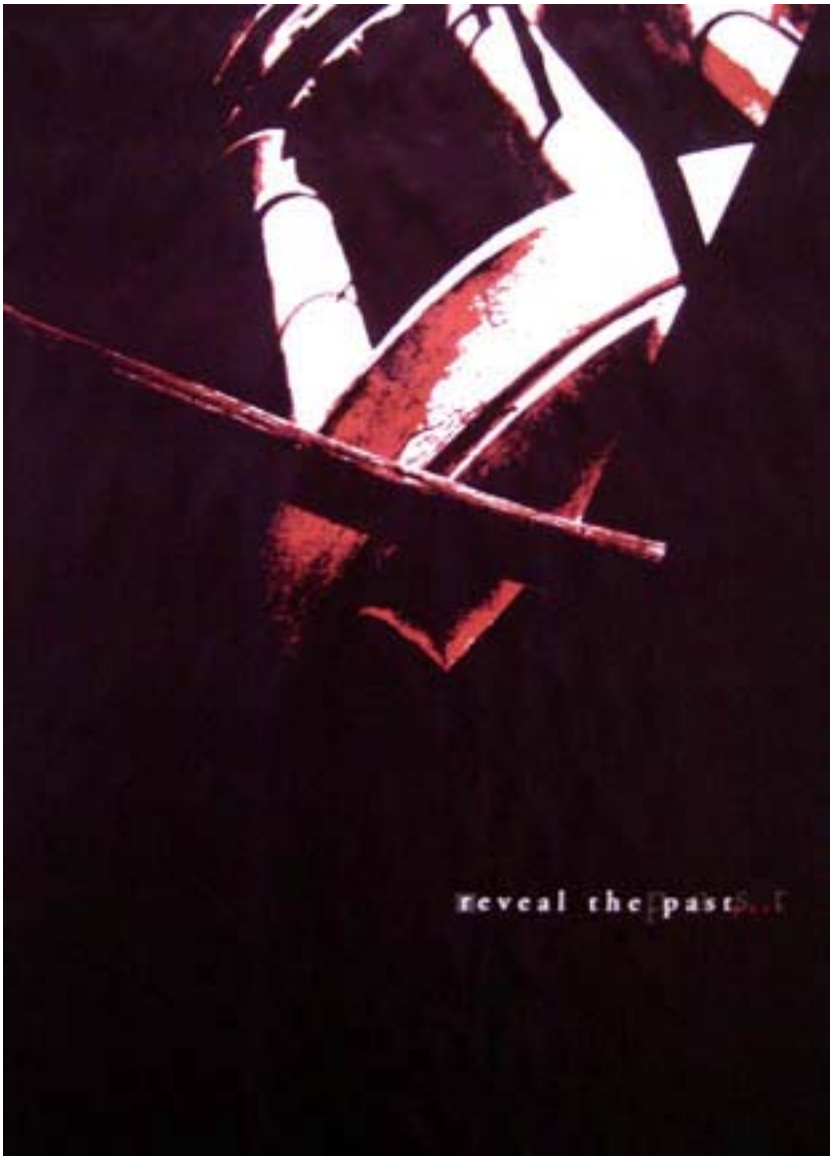


These earnest young people will become their generation's leaders in fine and applied art, publication and Web design, film and video production, broadcast news, photojournalism, public relations and mass communications. Those who succeed in the field will most likely be those who help mold their cultures using the skills of visual persuasion taught to them in the Western style using advanced technologies of mass media. So the argument can be made: Who among tomorrow's promise in the Middle East but these designers of the persuasive arts are more important for close attention? It is common for some critics in the Middle East to categorize all Western education as immediately suspect. But while reasoning observers may worry about hypothetically unworthy motives and methods, most agree that collaboration is inevitable and that fruitful communication between Middle Eastern and Western design educators is essential.

The School of Architecture and Design grounds its curriculum in the conviction that good design results from a combination of three major elements: a deep understanding of culture, guided by an ethical engagement in society, buttressed by an abiding respect for the creative skills needed to build sustainable material

culture. Against this background, the school is committed to the primary objective of providing its students with relevant, contemporary professional instruction in the fields of architecture, interior design, visual communication, multimedia, heritage management and design management. The school is dedicated to inquiry and to the development of hands-on technical skills and competence in digital and other advanced media; to the pursuit of aesthetic investigations; to fostering in its students a regional and cultural awareness and the responsibility for creating humane environments. The school seeks to contribute to the development of professional standards and innovation in architecture and design.

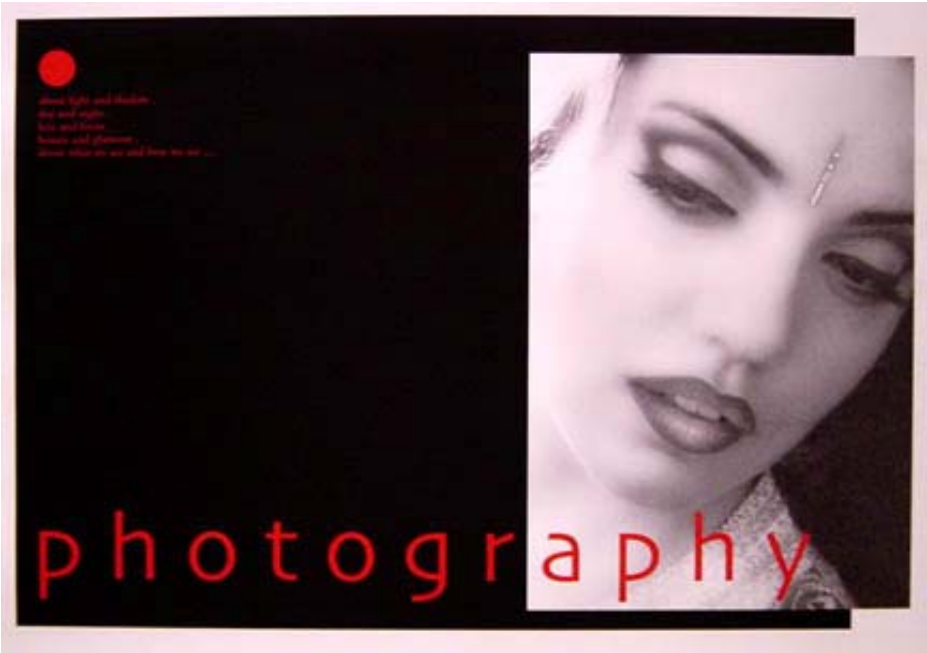
Further, the Department of Design meets its objectives through an environment, which encourages achievement and personal growth, guided by a faculty of professionals who balance continuing scholarship and creative work with their desire for true excellence in teaching. A comprehensive advisement and student counseling system that tracks student development and progress compliments a general education curriculum that offers a solid foundation. A clear, consistent philosophy that is evident throughout the sequence of studio courses guides the variety of new and existing courses that are continually updated to reflect rapidly changing design practices and the growing role of digital communication technologies, while respecting limits imposed by feasibility, culture, traditions and the needs of society.



Specific goals have been developed to offer a curriculum that prepares graduates with the conceptual and analytical skills that will allow them in a creative way to pursue successful careers in the field, and to develop a global approach to communication design that will make students competitive in world markets which have become increasingly unified through technology and social change. Enhanced student creativity appears to arise through the application of concept and techniques in a variety of practical experiences, while examining which concepts and techniques are applicable and/or adaptable to Gulf Region markets. This helps provide an understanding, or at least a context, of the ethical dimensions of the decisions involved in the communication design process.

To cultivate strong corporate ties in the professional community in the entire Middle East region advanced technologies in the teaching and learning of communication design principles must include cutting-edge computer simulations, multimedia lecture presentations, World Wide Web resources, computer-based models and real-world video case studies. The integration of faculty research and consulting experiences into curriculum development and

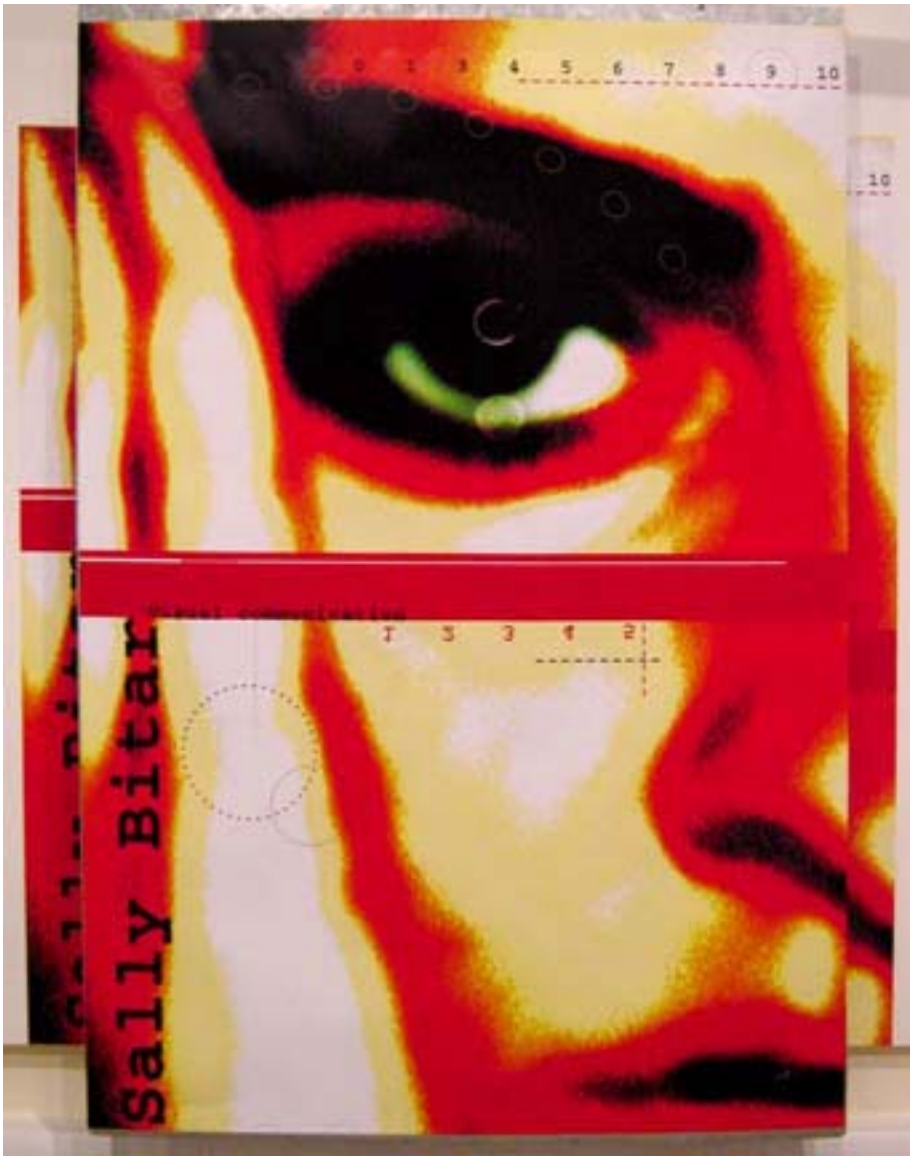
course delivery is essential to allow the department to serve as a community resource and become accepted as an integral part of the culture.



Design Management

Central to this dialog must be the question of what design professionals actually do, including the burgeoning new field of design management. Design Management as a discipline integrates visual design and business studies. This major is especially well suited to students who have a keen interest in Design, but not in the hands-on creative applications, and is a comfortable fit in the Middle East where Design as a field alone has little intrinsic value. Design is considered a part of the engineering process, and as such design fees are considered suspect.

The ability to communicate design needs, track progress and outcomes, effectively budget costs, identify the requirements of design projects and coordinate with clients as well as with professional teams in the field of Design both inside and outside of creative departments are essential elements of design management. The program provides broad insights into the foundations, theory and application of design and business studies. A solid foundation in visual design prepares students to understand the language and complexities involved in the efforts of the creative teams who work in the fields of graphic design, photography, illustration, video production, Web design, animation and interactive authoring, as well as to speak fluently the “language” of design. Additionally, complementary coursework in the disciplines of business and management trains students to recruit clients, pitch projects, conduct focus groups, write copy for print, television and radio, master accounting and budgeting skills, and become well versed with time management issues.



Typical professional positions in the fast growing field of Design Management include administrative and managerial careers in media and service industries, advertising agency principals, project managers and team leaders, advertising campaign planning, client services specialists, advertising buyers, account and sales representatives, communications specialists, public relations professionals, gallery managers, fine arts and cultural arts administrators, film, television and radio producers, market-research analysts, and more. Design management professionals engage in a variety of decision-making activities focused on communicating customer value and enhancing customer satisfaction in both a domestic and global context.

Taking a leading role in this field are those positions in media planning, including media planner, media director and media manager. Media planning involves applying statistical models to audience, circulation, and cost figures to minimize media cost and maximize media effectiveness. It also requires managing the purchase and control of large blocks of media time/space, whether in print or broadcast and recommending and allocating this space among clients according to campaign requirements. In addition, media planners negotiate favorable billing

terms for large, repeat, and/or guaranteed space purchases, which translates into more cost-effectiveness for clients and agency.

Art direction requires knowledge of advertising trends and strong visual communication skills; developing and recommending artistic strategy and rendition for client campaigns, and often presenting several for client approval; generating creative content for both print and broadcast; working with copywriter as a team member to brainstorm visual and verbal content; and, overseeing progression of campaigns from rough sketches through final production. Positions in production include layout worker, graphic artist and production manager. Production artists and layout workers create visual impact by selecting photographs, drawing illustrations, choosing print size and type, and sketching scenes for commercials to go with the copy design packages and create logos, trademarks and symbols. The production manager oversees the actual printing of ads, filming of commercials, or recording of radio spots.

The Design Management Program in the Design Department at the American University of Sharjah provides students with the opportunity to engage in a design-based program with an entrepreneurial component. The Design Management curriculum is specifically designed to educate students in a wide range of areas such as material culture, history, archiving, communication, marketing, administration, and management. This program does not prepare students for professional design practice, but rather provides sound education in history of material culture, digital tools and technologies for design, social and behavioral sciences, applied sciences, business and management. In addition to courses in design, students also take a significant number of courses in the School of Business and Management.

During the first year, Design Management students complete the foundation studies with all other majors in the School of Architecture and Design. The first year program provides students a broad base for later education in Design Management. Students gain a sound understanding of the main tracks of the school: studio experience, methods of design practice, criticism and history of material culture. The second and third years of the program serve as a period of development within the design management major. The final year is a period of integration and advanced studies within this interdisciplinary major.

All of this leaves students in the Design Management major predisposed to succeed as intermediaries between clients and creative teams. Creative development begins in a rigorous and well-crafted foundation year, and blossoms in an upper class educational environment in the Visual Communication and Multimedia Design majors in the A.U.S. Design Department.

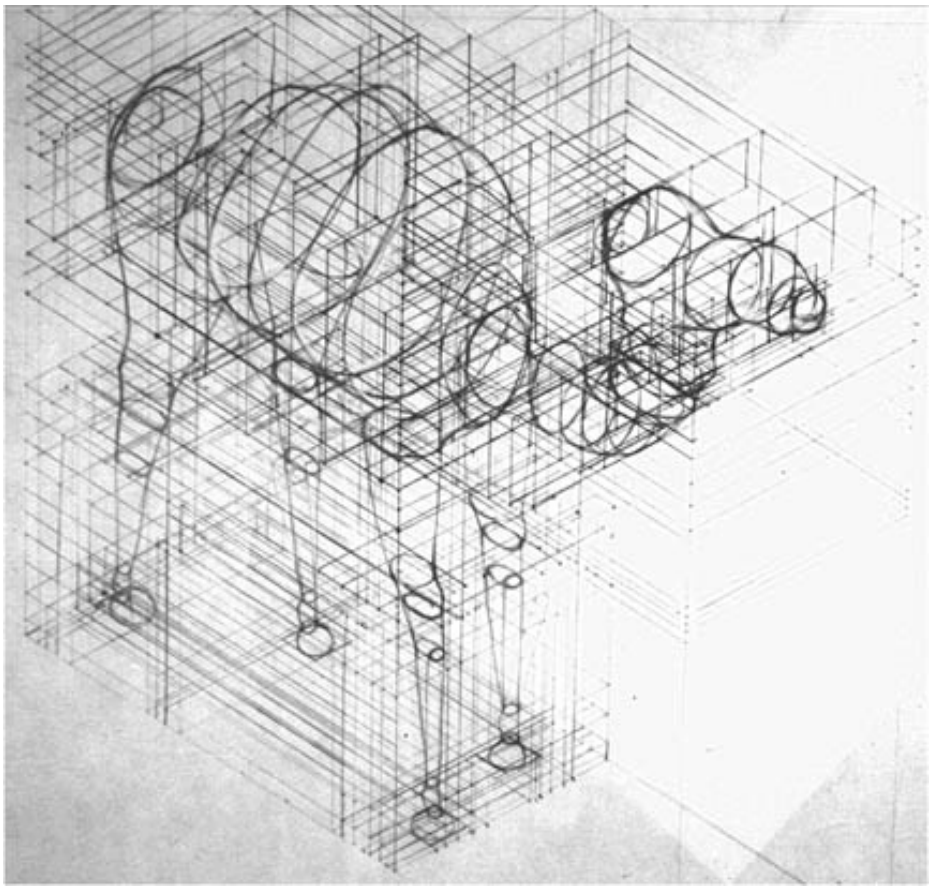
Foundation Year

The Foundations year is an autonomous one-year program that supports the common educational requirements for all fields of study within the School of Architecture and Design. As such, the program provides the basic design education that will enable students to function on appropriate practical, theoretical and critical levels in their sophomore (second) year. Graphics software is the "new tools" of artists and designers today, yet it only enhances traditional techniques and methodologies, it doesn't replace them. A solid background in drawing, design and color, history and theory are essential to succeed not just in architecture, engineering and graphic art but also in all of communication design. The concept unfamiliar to most incoming freshmen before their Foundations year is that the computer and the software run on it do not design. The designer designs. The computer is but another tool.

All students in the School of Architecture and Design are required to successfully complete this first year to be considered for advancement to the second year of their chosen major. The foundations year aims to achieve three instructional objectives, First, students will demonstrate competence in the fundamental skills and concepts of design analysis, representation and presentation through studio-based exercises and projects. Second, students will develop familiarity with the historical implications and chronology of design conventions through in-class lectures and written assignments. And lastly, students will demonstrate a basic proficiency in computer-aided design technology through exercises and project work in an information technology lab setting.

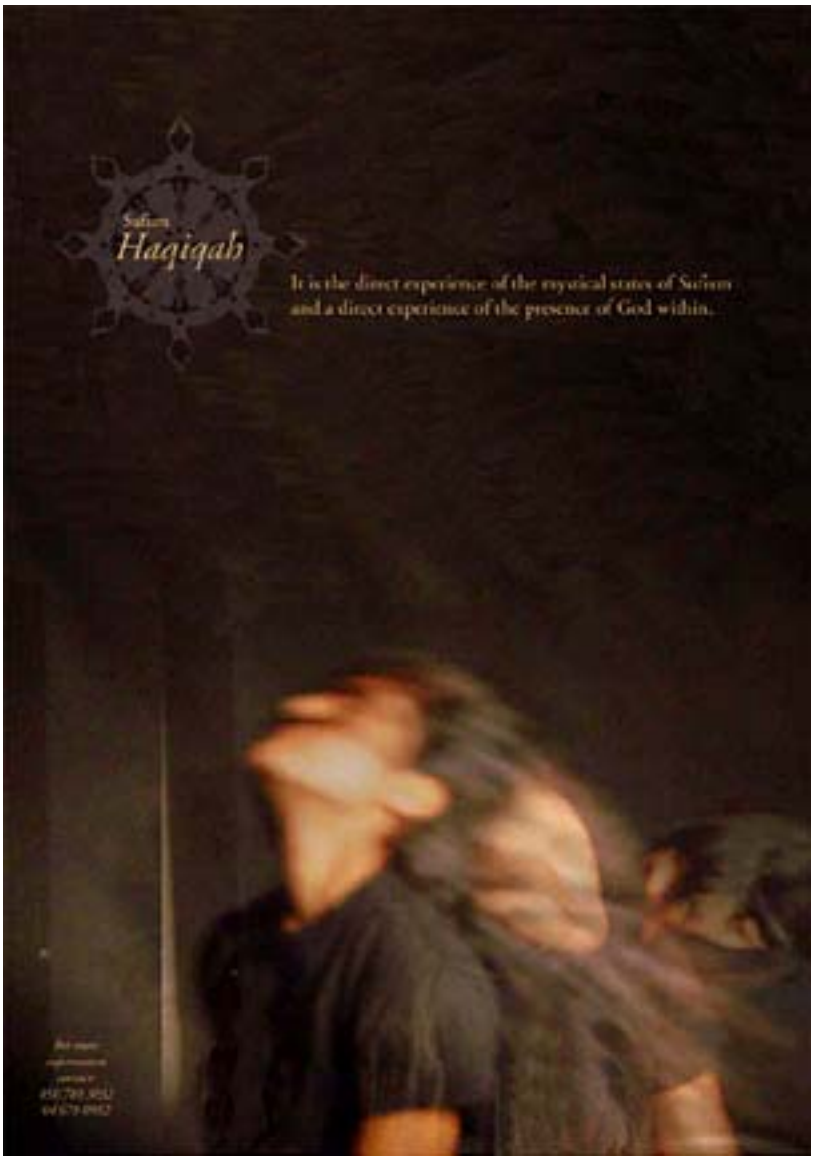
The Foundations year utilizes three distinct teaching formats in order to provide a broad and inclusive introduction to design methods and practice.
Studio courses, which form the core of the Foundations Program, encourage one-on-one student/professor interaction and allow the student to develop individual and creative responses to design problem solving.

History courses are taught in a lecture context where information and ideas are disseminated in a classroom setting using visual images to support academic discourse.



Digital courses are taught using a combination of class lectures and information technology. Professors interact with students on various levels through the use of traditional lectures, digital projectors, network software and digital storage systems. Within the foundations year, students are encouraged to develop a basic practical and critical understanding of design principles. Experimentation and exploration with materials, tools and techniques are fostered in the realization of two and three dimensional concepts and ideas.

Although some faculty specialize as foundations professors, professors from various majors including architecture, interior design, multimedia design, and visual communication share the majority of the teaching load in foundations. This professional collaboration between disciplines at the foundations level initiates early student dialogue with senior level faculty and provides the program with a healthy influx of cross-disciplinary expertise and discourse. It is this important aspect of the Foundations Program that ensures a balanced response to the needs of the various degree programs it supports.



Communication Design

Multimedia Design studies span a number of disciplines, including technology, communications, the arts, writing, photography, video, advertising and design. This major engages students with broad-ranging interests in graphic and 3-D design, digital technology and time-based media. To meet the challenges of this rapidly changing field, A.U.S. offers the Bachelor of Science in Multimedia Design degree.

The creation, manipulation and production of visual images and text are at the core of Visual communication, a major are of study that is influenced to a large degree by lightning-fast changes in the worldwide development of technologies. Apart from broad technical, computer and artistic training, visual communication experts require an understanding of human nature, ethical boundaries and societal needs. Visual communicators aim to inform, persuade and influence behavior. To meet those and related objectives, A.U.S. offers the Bachelor of Science in Visual Communication degree.

Not surprisingly, yet perhaps ironically, students flock to these programs in large measure because they know so little about them. Other than the often ill-used buzzwords of "multimedia" and "computer graphics," matriculating freshmen are generally devoid of any graphics skills, which are eschewed in traditional Arab *wahabis*, and lack a coherent grasp of any design theory or principles. These students get most of their knowledge of the communication design field from often erroneous conclusions reached by their daily encounters with popular Western media: television (particularly commercials), films, music and electronic games, all of which is readily available.

The number of seats in the multimedia design and visual communication programs is quite limited, especially in the freshman and sophomore years; due to it overwhelming popularity and the limited number of seats predetermined by finite numbers of cutting-edge workstations and other faculty and facilities resources considerations. Admission to the program is therefore very competitive and only the most highly qualified foundations students are accepted into middle years. While on the surface this process may seem to create a frighteningly high attrition rate, it actually ensures a top quality graduating class.

Students surviving to their junior and senior years in such a rigorous and exclusive program understand early on the hard work they must apply to their studies; and the countless hours they must put into projects and assignments given by faculty who push the limits of what these students are capable of accomplishing. Still the students remain loyal in the face of the growing pains that come with a developing curriculum and rapidly increasing or changing faculty presence.

The American University of Sharjah has graduated just four cohorts since it's inception in 1997. Although sometimes it was hard for them, and occasionally they may have felt that they were beneficiaries more of chaos and confusion than solid disciplinary curricula as they saw computer labs installed and "de-bugged,"

buildings go up and labs and studios moved and moved again, it is certain that the first graduating classes from the Design Department at the A.U.S. achieved a remarkable level of depth in their understanding of the elements and principles of visual communication and multimedia design, and how to apply the knowledge in the context of their lives and cultures.

But in spite of (or perhaps in some measure because of) the obstacles they had to overcome as the first classes, their work also is first class. Faculty of the Department of Design were remarkably consistent in their positive and enthusiastic praise of the work of these fine young adults, both as mentors and, often, as admirers. The synergy brought throughout the design process, from conceptualization to production, was in quality and quantity, more than most Western institutions demand of their students. The world of commerce and industry will be better off for having these exciting new designers hard at work leading in the fields of graphic design, illustration, photography, printmaking, sound and video, web design and interactive authoring.

Design Synergy

Anecdotal findings so far indicate that reasoned discourse and practical application are the ingredients that lead to success in applying Western-style design education in the Middle East, and the results are a celebration of design synergy. By providing rigorous design foundation studies to open students' eyes, critical thinking in a liberal arts venue to open students' minds and respect for cultural diversity in an open dialog to open students' hearts, it can be argued that success becomes a pre-disposition of planning, not an accident of experimentation.

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Inge Mueller: Poetry as History

Inge Müller is not a well-known figure in either German literature or history. Yet, her contribution to literature is quite remarkable as the many volumes in her archive in Berlin, Germany attest. The focus of this paper is to credit Müller as not only an accomplished writer of her time but, more specifically, as a woman who allows us to view history through much of her poetry that was written during and after World War II.

Inge Müller, like so many others of the World War II generation, did not receive the formal training that a writer under ordinary circumstances might have been exposed to. Nevertheless, Müller wrote frequently and filled pages with her ideas on a variety of topics in many different genres; poetry, plays, stories, and children's literature. Many fragments exist from stories and novellas that were never completed.

If Inge Müller is remembered today at all then, it is only because of her marriage to the prominent East German playwright, Heiner Müller. Ironically, however, Inge was more famous than her playwright husband at the time of her death in 1966.[1] Inge Müller was an established playwright in East Germany and had many of her plays produced on radio and children's stories published in newspapers and magazines. Periodically, she also wrote a review for the Friedrichstadt Palast.[2] Her husband first received notoriety when they produced a political play together in 1956 entitled, *Der Lohndrücker* (The Scab). The two authors received the Heinrich Mann Prize for this play in 1959[3]

Yet it was not Inge Müller's poetry that brought her fame nor was any of it ever published in Germany until long after her death. Her poetry explores numerous topics and this paper examines several themes that bring the reader closer to Müller's very own personal tragedy as a young German woman who encountered the death and destruction all around her during World War II. To date, little research has been dedicated to Inge Müller, and this paper strives to offer the poet and scholarly circles, the exposure she so decidedly deserves.

There is neither time nor space in this paper to argue who of the literary duo of Inge Müller and Heiner Müller was the more talented. Most certainly they became close confidants in their literary and love relationship which began in early 1953 when they met at a writers' group for young East German authors.[4] It is difficult to say precisely how each would have contributed to the East German literary scene without the other. Inge was writing children's literature for which he chided her and he made it clear to her that it was a genre he did not take seriously.[5] Perhaps this forced to her to move and experiment with other genres. She on the other hand, read and contributed greatly to his works. Jan-Christoph Hauschild in his biography about Heiner Müller claimed that Müller often allowed the deadlines to run out and found it difficult to finish a piece and it was Inge that continued to probe and question the work until it was completed.[6] They had discussions that continued long into the night. Her life was also eclipsed by the tragedy of the traumatization of the war years. One can still witness her influence on Heiner Müller's works today by reading the volumes of her writings in the Berlin archive. Therefore, one must disagree completely with Jan-Christoph Hauschild and others who claim that of the two writers, Heiner had the greater potential.[7] However, I am not sure we can justly, in fact, examine one author without the other.

This paper addresses specific poems of Inge Müller that deal with politics, war, military service, as well as national and personal tragedy and loss. Each poem reflects Inge Müller as a *Berlinerin,* or as a "woman from Berlin" and it is her thoughts and reaction to these themes that are analyzed. One can only reflect on the times in which one is born and be grateful to have lived in times where one's nation is not physically in the midst of war and all of the violence and destruction which is associated with it.

The poem *UNTERM KAISER WARN ALLE DUMM* illustrates that she is disgusted with the politics and leadership of Germany during the twentieth century. Kaiser Wilhelm's politics and the military's influence prior to 1914 was a disaster for Germany. It would leave Germany with huge war reparations and the loss of its colonies at the end of World War I. Not long after Adolph Hitler, would rise from the ashes criticizing the Treaty of Versailles for the harsh and unfair treatment of Germany at the end of World War I. Consequently, Hitler would sway the Germans to follow him obediently down the path to another pointless war. Inge's generation and the one prior to

it, who had experienced the Great War, knew first hand the destruction and violence that war visited unnecessarily upon its citizens. There is a great scene in the movie *All Quiet on the Western Front* when the German soldiers have a short break from their fighting on the front. In a discussion, they look at each other, and the leader comments "What are we all fighting about anyway?" Müller's *Unterm Kaiser*, expresses a similar sentiment but with a much stronger tone.

UNTERM KAISER WARN ALLE DUMM
Unter Hitler warn alle stumm
Wenn man sie fragt. Ich frag: Und heute?
Die Bombe ist für alle Leute.
Wir machen Bomben und drehn um
Das Riesenrad furs Publikum.
Für wen, frag ich
Und: heute?
Wer ist der Jäger, wer die Beute?[8]

It is especially interesting that such poems come from the pen of a woman who was raised, with a sign on the wall of her house, which read *"Über alles die Pflicht"* or "Duty above everything else."[9] Again, the frame of mind is especially noteworthy, because one needs to remember the kind of schooling that Inge Müller would have received as a young girl. When Hitler came to power in 1933, she was only eight years old. By 1936, she was eleven and all school children were expected not only to recite quotations from Hitler's book *Mein Kampf* but be well-versed in the Nazi dogma professed by the government in that all German boys and girls belonged to the master race and Jews were not accepted.

It is also important to note that by 1936, it was obligatory for teenage boys to join the *Hitler Jugend* (Hitler Youth) and girls were to join the *Bund Deutscher Mädel* (German Girls League). They were trained that their duty was to the *Führer* and encouraged to inform on citizens who were not supporting Hitler's politics, including their parents, if need be. Teenagers belonging to the Nazi youth groups were required to attend all functions such as political meetings, camping events, and vacations arranged by their leaders. By 1939, many of the German schools were closed and teachers were called to serve in the *Wehrmacht* (military). But because Müller's father worked at Ullstein

Verlag, a publishing house in Berlin, she received English lessons.[10] And more than likely, she had some access to books due her father's affiliation with a publishing house.

At the beginning of the war, the *Reichsarbeitdienst* (military service) for women was voluntary. However, after 1939 young women were called to serve as *Arbeitsmädchen.* After the *Anschluss* of Austria with the German Reich, Inge Müller was sent to Austria to work on a farm. She had to swear allegiance to *der Führer* and the leader of the *Lager* (farm)[11] She wore the uniform of the *Arbeitsmädchen* which was a red scarf and blue dress. Girls were forbidden to leave the farm and the day's routine was highly regimented. The Nazi indoctrination for the youth continued at such places since the girls had to listen to Hitler's speeches on the radio and sing songs of loyalty to the state. By 1940, 100,000 German women were serving in the *Reicharbeitsdienst.* In 1943, many more women were called up to join the *Kriegshilfsdienstlerinnen* and Inge was transferred back to Berlin.[12]

The poems *FEURERPROBE* and BRIEF EINER WEHRMACHTSHELFERIN are of particular interest because they describe her activities at the end of the war. It was a time when more women were called into the German military or as in Inge Müller's case, since she was already in the service, her duty was extended for six months. Inge Müller does not display any of the patriotic feelings of a people at war. If anything, the poems portray her thoughts of doubt, disgust, and the disdain with war and everything it encompasses. For anyone that is familiar with Hitler and how he had his propaganda minister portray the typical "deutsche Frau," Inge Mueller is anything but the model German woman. She is figuratively and literally weighted down by her gun, gas mask, and the loss of her acquaintances that are killed in combat daily.

FEURERPROBE
Führerbefehl: Die deutsche Frau raucht nicht.
(Die Rote Armee stand vor Danzig.)
In der Zeitung stand: weibliche Ehrenpflicht
Einberufen, Jahrgang fünfundzwangzig.

Der Propagandaminister spie
Sechzehn Zeilen den Mädchen zum Lobe.
Vor Berlin im Rauch einer Flakbatterie
Fielen bei der Feuerprobe:

Hanna Preuss, 20, Soldatenfrau.

Sie hatte ihren Soldaten vier Wochen.
Dem Stahlhelm, vorm Altar in Feldgrau
Hat sie Treue bis zum Tod versprochen.

Elvira, Geschützwart, einziges Kind
Des Kohlengrosshändlers Krause
Achtzehn schrieb sie, als sie Heimlich
Zur Musterung ging
Siebzehn Jahre steht auf dem Denkstein zu Hause

Anna Simon, die vorm Sterben schrie:
Wer hat uns verraten?
Ich wollte keine Flakbatterie
Ich wollt nicht die Soldaten.

Vier tote Mädchen, eins ohne Gesicht
Legten die Soldaten dazu.
Und einer nahm als Erinnrung mit
Den blutigen Frauenschuh.[13]

BRIEF EINER WEHRMACHTSHELFERIN is an excellent account of Müller's displeasure of her experience in the military as is the poem FRAGE. The expected sense of "duty" and obedience to the state is not for her. Clearly a soldier's life is not something she had envisioned for herself. She disdains the soldier songs and realizes that each time she is sent out to fetch something for her unit, she understands it could be her last. She must shoot the anti-aircraft gun and forget about everything else. Death is everywhere; on the street, a soldier hangs from a lamp post for disobeying orders from commanders of the fatherland. But more importantly, she poses a critical question to the reader; how does one learn "to hate"?

BRIEF EINER WEHRMACHTSHELFERIN
Heute bin ich Soldat
Soll alles vergessen und schiessen
Gestern sassen wir vor der toten Stadt
Du und ich dir zu Füssen,

Mein Kleid bringt die Post zurück
Ich komme vielleicht nicht wieder
Pflicht und Soldatenglück
Ich hasse Soldatenlieder.

Die Uniform auf mir und ein Gewehr

Eine Gasmaske und zwei Decken
Ich sehe mich im Spiegel nicht mehr
Vorm Tod kann man sich nicht verstecken.

Jetzt weiss ich mehr von dir
Weiss wie uns die Männer verlassen
Blind vom Sieg oder vom Bier
Tot unterm Befehl: Hassen.

Ich lerne wie du im Gleichschritt gehn
Kann man Hassen lernen?
Soldaten sah ich an Laternen stehn
Soldaten hingen an den Laternen.[14]

Inge Müller was stationed in and around Berlin at the end of the war. She was actually transferred from a position just five days before the Russians advanced on the eastern outskirts of the city. By the end of the war, Inge has turned twenty years old. She has grown up under Hitler's regime, her schooling interrupted, her early life and memories formed largely by a country at war. The only solace she found in this madness around her was to write and play her accordion. Toward the end of the war, in 1945, once she was back in the city she attempted to desert from the *Luftwaffenhelferin* to which she had been assigned. Inge was apprehended and placed in a prison in Brandenburg for a few days then sentenced to a *Flakbatterie* 253 (anti-aircraft division), where she had to operate the anti-aircraft guns. Clearly she was assigned to this unit because of the shortage of manpower at the end of the war. Women in the *Wehrmacht*, who were supposedly just helpers earlier in the war, were now expected to "help" by defending the nation at all costs. Among her many other jobs in Berlin she assisted the wounded, and fetched ammunition, water and food for her unit. Those who did not help, primarily the men, were either shot or hung.[15] But in April 1945, the chaos had begun in Berlin with the advancing Russian troops and the constant bombing of the city. She now lived in a city filled with smoke, explosions, constant air raids, and death all around her.[16]

FRAGE
Ich hab auch im Zuchthaus gesessen Drei Tage im Keller
Wegen Wehrkaraftzersetzung
Ich wollte das Eiserne Kreuz nicht nehmen
Für Selbstverständlichkeit
Blutende und Sterbende nicht so

Krepieren lassen
Ich wollte das Kreuz nicht
An dem Keller trag ich noch immer
Schwer.
Schreiben wollt ich
Farbe finden
Worte verstehn
Lieben
Sehn
Weitergehn.
Wer
Ist hinter mir hier?[17]

Inge Müller's wrote three poems entitled *Unterm Schutt I, II, III,* (Under the Rubble I, II, and III). Only II and III will be included here. Clearly the poems are autobiographical because shortly before the end of the war, Inge went out to fetch water for her anti-aircraft division and was buried alive for three days with a dog.[18] This incident occurred on or around April 29/30 and she was discovered on May 2, 1945.[19]

UNTERM SCHUTT II
Und dann fiel auf einmal der Himmel um
Ich lachte und war blind
Und war wieder ein Kind
Im Mutterleib wild und stumm
Mit Armen und Beinen die ungeübt stiessen
Und griffen und liefen.
Bilder ringsum
Kein Boden kein Dach
Was ist- verschwunden
Ich bin eh ich war
Ein Atemzug Stunden
Die andern – ein Augenblick wie im Meer
Da klopft einer –
Den globus her!
Dass ich mich halte
Brücken und Pole
Millionen Hände braucht ich
Mich trägst du nicht, Tod, ich mach mich schwer
Bis sie kommen und graben
Bis sie mich haben
Du gehst leer.[20]

UNTERM SCHUTT III
Als ich Wasser holte fiel ein Haus auf mich

Wir haben das getragen
Der Hund und ich
Fragt mich nicht wie
Ich erinnere mich nicht
Fragt den Hund wie[21].

In a separate incident, the building where her parents lived was actually bombed by German planes defending the city against the Russia invasion. She searched for her parents and pulled their remains from the bombed out building by herself.[22] The wedding ring of her mother could not be taken off the ring finger, probably due to the swelling of body parts after death. When she arranged to take the bodies of her parents to a mass grave reserved for socialists, she discovered that someone had cut off the ring finger of her mother, obviously for the gold ring.[23]

DER SCHWARZE WAGEN
Da kommt der Schwarze Wagen
Das Pferd, das geht im Schritt
Und wer allein nicht laufen kann
Den nimmt der Wagen mit.[24]

The days following the end of World War II in Germany were traumatic for all involved. There were many dead to bury and entire cities to rebuild. Inge Müller would be one of the 22,000 women in Berlin who became *Trummerfrauen* (women who cleared the debris or rubble) after the war. She, with countless others, gathered together to rebuild, brick by brick, a broken nation. However, the scenes from the dead, dying, and her own experience of being buried alive as well as losing her parents would haunt her much of her life. Inge Müller finally took her own life in 1966 but what she left us is a remarkable legacy through her poetry quite unlike anything we have from female writers of that period.

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[1] Inge Müller, Wenn ich schon sterben muss, ed. Richard Pietrass (Berlin: Aufbau Verlag, 1997) 126.
[2] Jan-Christoph Hauschild, Heiner Müller oder das Prinzip Zweifel (Berlin: Aufbau Verlag, 2001) 127.
[3] Jan-Christoph Hauschild, Heiner Müller, (Berlin: Rowohlt Verlag, 2000) 60.
[4] Hauschild, Heiner Müller oder das Prinzip Zweifel. 126.
[5] Hauschild 146.
[6] Hauschild, 134.
[7] Hauschild, Heiner Müller. 56.
[8] Inge Müller, 88.
[9] Ines Geipel, Dann fiel auf einmal der Himmel um: Inge Müller die Biografie, 25
[10] Geipel, 39.

[11] Geipel, 45.
[12] Geipel, 41.
[13] Inge Müller, 16.
[14] Inge Müller, 17.
[15] Geipel, 72.
[16] Geipel, 76.
[17] Müller, 41.
[18] Geipel, 79-80.
[19] Geipel, 78-79.
[20] Inge Müller, 22.
[21] Inge Müller, 23.
[22] Hauschild, Heiner Müller oder das Prinzip Zweifel 126-127.
[23] Inge Müller, 123-124.
[24] Inge Müller, 24.

Into the Light: A Methodology for Teaching Architectural Lighting

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Abstract
Using an analogy between light and music as a pedagogical point of departure, this paper describes a teaching methodology for an experimental architectural lighting design seminar and studio for upper division architecture students. Students explore the expressive nature as well as the science of light through a sequence of design exercises. The exercises progress from the very exploratory to the more practical, while at the same time introducing different lighting media (electric and natural). The teaching method is designed such that students approach the design challenge in a manner atypical to most architectural practice, where program is often the dominant design determinant. The goal is to entice students to think about architectural lighting design as a composition that can be simultaneously artful and functional, and that the lighting design in all buildings can be approached with the same spirit.

Preface: An Inspirational Analogy
Draw an analogy between music and light. The musical chord has texture and dimension. Composed of a particular combination of notes, the chord is also defined by tone, intensity, duration, direction, and expression. Each individual's experience, mood, culture, and physiology tempers his understanding of a chord or sequence of chords.....Similarly, light comprises many attributes: color, intensity, duration, view, contrast, direction, etc.... Too often, lighting design relies on designing the intensity component rather than the whole chord. Even the popular call for "quality design" in lighting is often reduced to components such as glare, contrast ratios, equivalent sphere illumination, and color rendition.(1)

Architectural lighting is essential to our experience inside and outside of buildings. In this area of architectural design, renewed interest in energy efficiency has rekindled interest in daylighting design. At the same time, energy codes are calling for increasingly energy efficient, integrated lighting solutions. In both of these areas, the aim is often performance rather than quality. However, delightful architectural spaces are those that balance pleasure and performance, appealing to the senses while simultaneously supporting a specific task or function.

Aided by funding from an applied research grant, the teaching methods used in an experimental architectural lighting design studio + seminar is the subject of this paper. Students who participate in the coursework are third year architecture students in a five year professional architectural program. A preponderance of the University's graduates go on to practice architecture.

The pedagogical aim of the coursework is to encourage students to think holistically about lighting design, in the manner suggested by the musical analogy. Students explore the expressive nature as well as the science of light through a sequence of design exercises, exploring both the technical and poetic potentials of the sources. The sequence of exercises described in the paper progress from the very exploratory to the more practical, while at the same time introducing different lighting media (electric and natural). The teaching methods include both research (about sources and precedents) as well as application (applying the research to design exercises as a means to a qualitatively defined end).

The teaching method is designed such that students approach the design challenge in a manner atypical to most architectural practice, where program is often the dominant design determinant. In the exploratory exercises, rather than simply

square footage and function, students are given a cubic volume and a mood, for example. The content within the assignments sequentially adds layers of essential architectural needs to the design challenges (site, program, functionality, and so on) on top of a desired lighting quality. The goal is to entice students to think about architectural lighting design as a composition that can be simultaneously artful and functional, and that the lighting design in all buildings can be approached with the same spirit.

Stage One: Immersion

Beauty must be seen; this requires light. (2)

To initiate the quarter-long immersion into light-driven design, students are challenged with a "light charrette." To relate this to the musical analogy, these exercises are akin to simple warm-up, long tone, chord exercises. The motivation of these exercises is to initially de-emphasize architectural space and to instead accentuate the use of material and form to create an expression of light. The primary challenge is to create three defined qualities of light. The light source is prescribed and remains constant across all three fixtures. The assigned qualities vary per quarter; two variations are described below.

I. Ambient Luminescence; Focal Glow; Play of Brilliants
Using the late lighting designer Richard Kelly's descriptions of three dominant light qualities (ambient luminescence, focal glow, play of brilliants), students are challenged to design one mixed media fixture for each of the qualities:

....<u>ambient luminescence</u>; it is a snowy morning in open country...twilight haze on a mountain top or a cloudy day at the ocean....the light in a white tent at noon....moonlight coming through the fog...Ambient luminescence is shadowless illumination.

....<u>focal glow</u>...the campfire of all time, the glowing embers around which stories are told, or the football rally bonfire. Focal glow is the

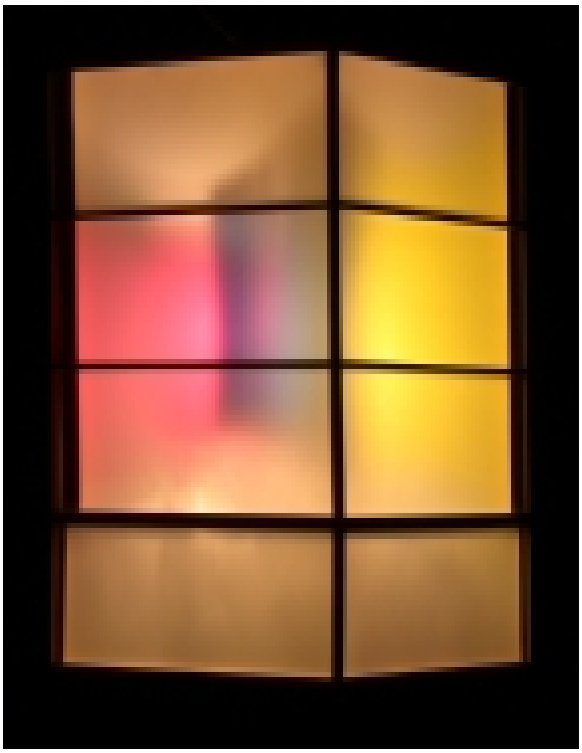

Fig. 1. Sean Walton

limelight, the follow spot on the stage, and an aircraft beacon.... Focal glow is the end of the rainbow; it commands attention, creates interest, fixes the gaze, and tells people what to look at.

.....<u>play of brilliants</u> ....a ballroom of crystal chandeliers. Play of brilliants is Times Square at night...sunlight on a tumbling brook...the heaven full of stars... Play of brilliants excites the optic nerves...stimulates the body and spirit and charms the senses. It creates of feeling of aliveness, alerts the mind, awakens curiosity, and sharpens the wits. (3)

In this short, week long charrette, students are encouraged to experiment with light (emission, reflection, diffusion, refraction, and so on) as it interacts with materials (opacity, translucency, transparency, texture, color, and so on). Use of found objects or unusual materials is encouraged, with the ultimate aim of producing the desired light quality. Students design, construct, photograph, delineate, and conduct photometric analyses of each fixture.

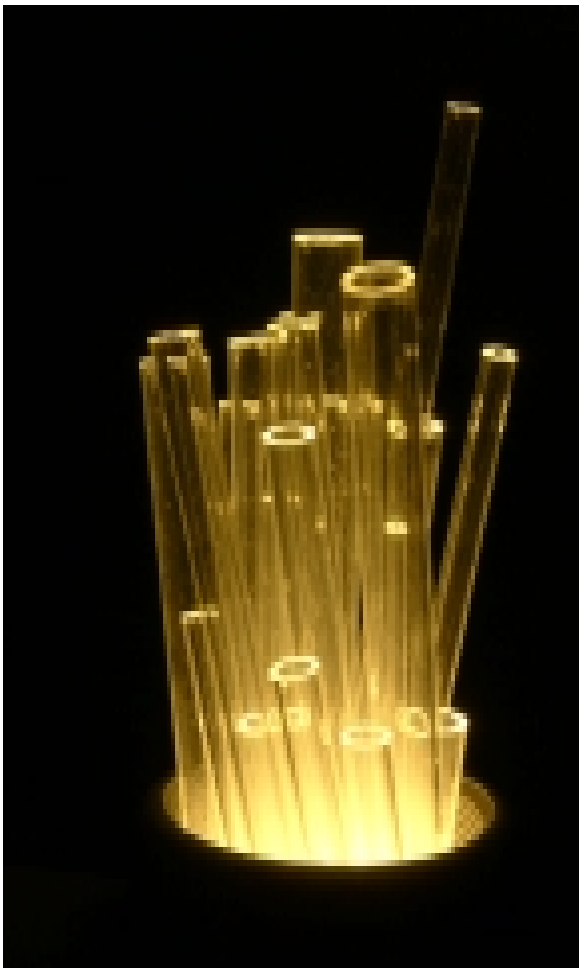

Fig. 2. Stacey Westenberger

Fig. 3. Dylan Chappell

Without the constraints of program, students are free to experiment with light. The intent behind initiating the course in this way is to establish an experimental mode of design thinking (with light at the core) that is emphasized throughout the quarter even as the architectural challenges become increasingly complex. The aim is to encourage a proactive design with light in order to create a rich, spatial experience as opposed to a reactive use of light as an afterthought to form, view, code requirements, or task support.

II. Light + Music Charrette
As a variation on the theme, students are similarly challenged with the design and construction of three mixed-media fixtures, in this case creating light qualities responding to three chosen musical styles (jazz, classical, and world music). Using music as a starting point was somewhat challenging for students, requiring an artistic translation from an ethereal, auditory media to a material, visual media.

Stage Two: Exploration
Wall, floor, and ceiling each intercept the light, and their existence is revealed, as they simultaneously bounce back and forth among them reflected light initiating complex relationships. Space is born. Yet, with each increment of change in the angle of light's penetration, the being of things, and their relationships, are recreated. (4)

The earth is rotating; the sun is moving; trees are growing; flowers are opening and closing; clouds are merging, dissolving, coming and going; light and shadow are hunting each other in an indefatigable play; forms are appearing and disappearing; and man, who is experiencing all this, is himself subject to all kinetic change. (5)

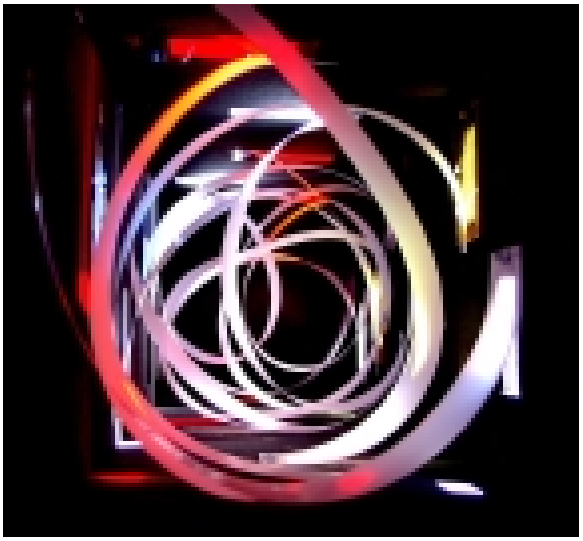

Fig. 4. Kelly Jarrell

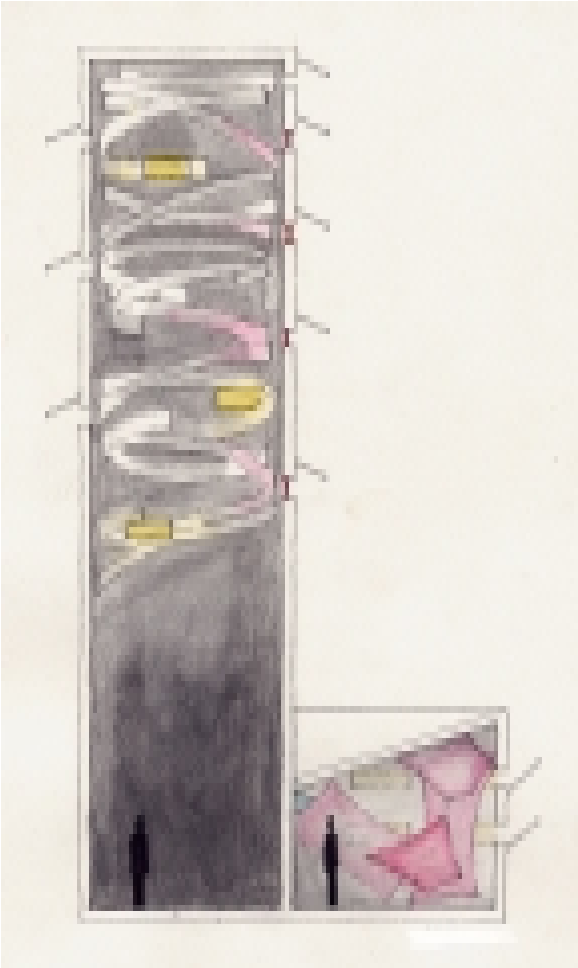

Fig 5. Kelly Jarrell

In a deliberate layering of complexity, students are next challenged to conceive of a small architectural volume that interprets time, focusing the visitor's attention on the diurnal and seasonal movement of the sun. To continue the music analogy, their challenge is similar to creating very short compositions with limited instrumentation and yet rich chordal structure. The focus of the assignment is to explore the dramatic interplay between light, shadow, and architectural space. Students manipulate three dimensional space in order to explore the changing opacities, hues, and qualities of seasonal daylight as well as to create a contemplative mood. It is an intriguing challenge for students as they explore a dynamic medium (the sun) as it interacts with a predominantly static receiver (architectural space). The programmatic and site requirements are few; instead the emphasis is on the creation of experiential space.

The assignment of *volume* is also deliberate, in this case 15,000 cubic feet. In traditional design studios, students become accustomed to thinking in terms of square footages. However, with light as a design determinant, volumetric design thinking is essential. Thus, right from the beginning, students are required to think of this as a three-dimensional challenge.

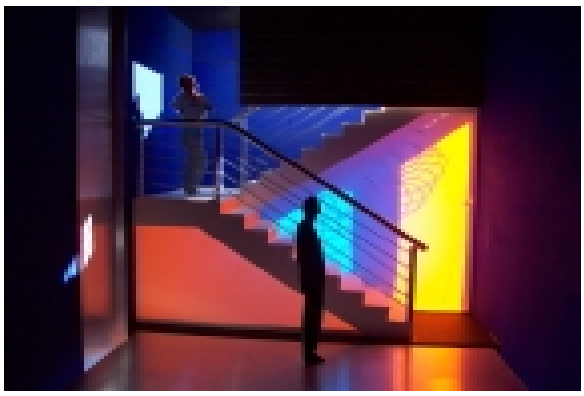

Fig 6. Rob Hawthorne

Students explore their design ideas through a series of large scale physical models, using photographic analyses to capture the changing light qualities. [Alternatively, some students use digital models; some students utilize both tools simultaneously]. Photometric analyses of their spaces (daylight sections demonstrating measured daylight factor) remind students that despite the emphasis on creating a qualitative experience, scientific measurements reveal the biologic consequences of their designs (ie, visual and thermal comfort, task support, and so on).

Stage Three: Integration

In modern times, architecture has liberated windows from structural limitation, allowing them to be freely constructed in any size. But instead of resulting in the liberation of light in architecture, the vitality of light has now been allowed to scatter ineffectually, and be lost. (6)

One of the things in architecture is that, generally, people are making forms and not spaces. People make space by making forms and then stick the lights in. That doesn't get you the working of light into space and often the openings – the way light is let into a space

– are completely arbitrary or oriented toward a view or the amount of light to come in. It is rarely done in the way that light activates the space and makes it alive – so that you get space filled with atmosphere. (7)

For a myriad of reasons, light in architecture is often taken for granted. As highlighted in the quotes above, lighting design is often ill-considered or designed as an afterthought, with very little thought given to creating a rich experience. To again return to the musical analogy, it is as if individual musical parts are written without an understanding of a compositional whole.

Creating sound, functional architecture that is also delightful is often a complex task. The aim of the "capstone" assignment of the course is to challenge students with a specified architectural program and site while continuing to emphasize the creation of a memorable luminous experience. The programmatic vehicle for these explorations varies with each course offering; each new assignment is conceived to reinforce an experiential use of architectural light. The goal is to sustain the inventive spirit solicited in the first two assignments and to incorporate the creative use of light in conjunction with more complex programmatic challenges.

I. Residential Scale
House Inspired by a Light Artist
Students began by researching artists and architects renowned for their artistic explorations with light (James Turrell, Robert Irwin, Dan Flavin, Tadao Ando, Steven Holl, and so on). They were then asked to design a small house inspired by the work of one of these artists.

Fig 7. Nick Ladd

II. Commercial Scale
Center for New Media
Working with the general theme of "light + motion," students began their research by reviewing historic and contemporary films, in particular looking at the use of chiaroscuro and the drama of light/shadow. With this context established, students were then asked to create an educational complex dedicated to the study of new media.

Passenger Ferry Terminal
Working with a water site, students were asked to design a new passenger ferry berth for anticipated ferry expansion in San Francisco. In this context, students were asked to create an "experiential passage" series of luminous experiences in conjunction with the necessary programmatic and structural needs of the ferry berth.

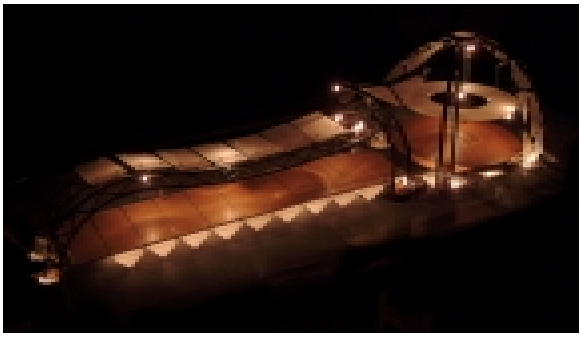

Fig 8. Rico Casillero

Conclusions
Space remains in oblivion without light. Light's shadow and shade, its different sources, its opacity, transparency, translucency, and conditions of reflection and refraction intertwine to define or redefine space. (8)

The coursework described here emphasizes a holistic, compositional approach towards architectural lighting design. By accentuating light (and particularly experiential light), this method encourages students to create more than merely functional responses but rather delightful spatial experiences with light. At the same time, it is certainly germaine to the deliberations about "sustainability" to consider

lighting quality, particularly as it relates not only to energy efficiency but also to health and well-being. As energy codes become increasingly stringent, it becomes more challenging to create delightfully lit architectural spaces. With adept manipulation of all available and appropriate resources (daylight, energy efficient sources, and related controls), students that are trained to think creatively can rise to this challenge and design simultaneously fulfilling as well as functional luminous environments. Thus, we can encourage our students to create "green" lighting design solutions.....and red, and yellow, and blue.....

Acknowledgements
Support for current work on this experimental studio/seminar comes from a four year Nuckolls Fund for Lighting Education grant.

Notes

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2. Harries, Karsten, *The Broken Frame: Three Lectures* (Washington, D.C., The Catholic University of America Press, 1990), p. 4.
3. Kelly, Richard, as quoted in Gary Gordon and James Nuckolls, *Interior Lighting for Designers* (New York: John Wiley and Sons, Inc., 1995), p. 12 and 14.
4. Ando, Tadao, *Complete Works* [Francesco Dal Co, Ed.], (London: Phaidon Press Limited, 1995), p. 471.
5. Kepes, Gyorgy, *Language of Vision* (New York: Dover Publications, Inc., 1995), p. 170.
6. Ando, Tadao, *Op. Cit*., p. 470.
7. James Turrell, quoted in Cantz, Hatje, *James Turrell: The Other Horizon* (Vienna, MAK, 2002), p. 195.
8. Holl, Steven*, Anchoring* (Princeton Architectural Press, 1989).

1**. Title**: From *Carole Refrain* to Polyphonic *Rondeau*: The Evolving and Often Bewildering Taxonomy of Literary and Musical Genres in Late Medieval France.

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6**. Abstract**

The *carole*, a type of dance accompanied by song, was immensely popular in France from the twelfth and into the fourteenth century. Evidence of the *carole's* popularity is copious, with references in contemporary chronicles and other literary sources including narrative genres such as the romance and also in lyric genres such as the trouvère *chanson* and *lai.* Sometimes the references are direct, in the form of quotations borrowed from the oral repertory of *caroles*. These quotations are thought to range from being *carole* fragments (*refrains*) to complete *carole* forms (known as *rondets de caroles* because the *carole,* in general, was considered a circular refrain form). The same quotation frequently can be found in several different manuscript sources, shared among different genres, and a significant number of these *refrains* and *rondets* are set to music.

In the medieval manuscripts, references to a *refrain* can include terms such as *reffrez, motet*, *pastourele*, *sonet*, and *chanconnette*. However, as early as Jean Renart's *Roman de la Rose* (written around 1210), the term "rondeau" was used to describe a *rondet de carole*. This source is without musical notation and though the refrain of the *rondet* is apparent, it is impossible to determine its complete formal relationship to the fixed form rondeau of the fourteenth century *Ars nova*. Near the end of thirteenth century, Adam de la Halle set sixteen *rondets de caroles* in three-part polyphony which appear in MS Paris BN fr. 25566 under the heading "rondeaux et motets" and in MS Cambrai, Bibl. Mun. 1328 as "motets." Most of these make reference to *refrains* cited in other compositions and most represent some stage of the formal evolution toward the *Ars nova* rondeau. However, two of the pieces cannot be reconciled with the rondeau form and others deviate to a lesser degree. Adam also composed several French motets of which three borrow from the same *refrains* as the rondeau. These works show remarkable similarity in their musical treatment. Thus, it would seem that the generic differences between polyphonic rondeau and motet were not fully determined at that time. This may also account for the Cambrai MS designation of the rondeau pieces as "motets." Comparison of the poetic and musical structures within the rondeaux and motets and between those sharing the same borrowed *refrain* reveals fresh insights into the formal plans and aural experiences of these works.

Nearly contemporary with Adam's polyphonic rondeaux, are ten monophonic "rondeaux" by Guillaume d'Amiens and thirty-five anonymous rondeaux, without music but ruled for three-part polyphony in MS BN fr. 12786. Both of these groups of works borrow *refrains*. With Guillaume's pieces, the formal plan of the melodies is compared to the poetic structure, and for the unnotated pieces of fr. 12786, a musical format is proposed in those instances where a musically notated *refrain* is available.

TITLE: Joan Miró y el espiritu van guardista en Vidas contra su espejo de Carmen Conde

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ABSTRACT:

The essay studies the analogies of topics, composition and language between the poetic narrative of Carmen Conde and the art of Joan Miró. The purpose of such study is to reveal, through the visual, the essence of the Spanish vanguard in Conde's novel, her aesthetics and her connection with philosophical and historical reality of the XX century. There are three basic points of contact between the two oeuvres. At the ideological level, Miró, as well as Conde, professes hedonism and intellectual fascination with the common and the simple. Aesthetically, the passivity of the novel, its maritime landscapes, the immobility of the night, find equivalent in the monochromatic empty spaces in Miró. Finally, at the biographical level, Miró's words confirm the mutual transgression between the two arts: "I have always evaluated the poetic content according to its plastic possibilities".

The Photographic Icon as Emblem of Power and Truth in Recent Film Noir

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Abstract:

Recent noir films typically code photographs semiotically as women objectified, the gaze owned and truth revealed. Some films like Twelve Monkeys and Love Crimes question the photograph as manifest masculine truth. With female detective/protagonists, these films code photographs to suggest both masculine truth of feared betrayal, but also multi/duplicity of the image's proof, which portrays something different in the world of feminine desire than it does in one of masculine law.

The Photographic Icon as Emblem of Power and Truth in Recent Film Noir

Wendy Sterba

Ever since the photograph relieved the painting of the necessity to portray reality by offering a more expedient and accurate alternative for portraiture and documentation, it has modified what it means to set things down in black and white. It is therefore no surprise that across the history of film, the photograph has become an icon for the expression of reality. We see this in everything from the depictions of character's spouses and childhood pasts as seen on sideboards and shelves, to photomontages used to replace narrative structures in Hollywood films. It is even less surprising that detective films have found the photograph useful in documenting the horrors of crimes, as well as in the form of rap sheets, drivers license identifications, snapshots of missing people etc. We find this in searches for lost people as well as to indicate the loss suffered by main characters of their wives, family members and loved ones. In short, the photograph is closely tied to the problem of the detective seeking the truth and is generally emblematic of the truth that the detective protagonist seeks and must prove. Ultimately, the photo becomes an icon for the truth that is made object of the detective's penetrating gaze.

The heyday of the detective film particularly as film noir, was World War Two and the post war period in which we fought for what was "right" against wrongs cast as straight forward and evil. Yet, the world after the Second World War tended not to be as straight-forward and upright as at first envisioned. These doubts surface in the detective films of the period. Film Noir of the late forties and fifties tends traditionally to be

defined in terms of place, having urban, California settings, occurring mostly at night, and in involving a main character, who finds himself torn between a corrupt world of the underworld versus an equally corrupt world of law enforcement. The heroes' dilemma was generally depicted in a dark, high-contrast style. He frequently encountered a beautiful, but devilish woman, who tried to ensnare him in a web of crime or deception and rarely did he emerge from his experiences unscathed. In fact, he often died. The hero's position was always marginal, as were his scruples, and yet he had a propensity to be somehow far more upright and principled than the characters determined to use and corrupt him. The goal of his efforts (in which he almost always succeeded) was to discover the truth in a murky, unpredictable world.[1] Generally he would see the reality before dying at the end, proving a certain power in his logical ability to piece things together and to penetrate visually to the depths of the secret.

In the postmodern world of fragmentation and uncertainty, the murkiness of film noir has been no less appreciated, but it might seem that patriarchal authority as represented by the gaze would be rendered tentative and ineffectual. Still, repeatedly we see the recurrence of this particular cinema style replete with its images of men striving to uncover and look at the truth. Of course part of the challenge of film noir has traditionally been that the men, seek to enforce law and order in a world where the puzzle

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[1] Definitions of Film Noir are to be found in numerous volumes, but here I rely primarily on Michael Welles' "Introduction," to The Book of Film Noir, edited by Ian Cameron, NY: Continuum, 1993, 8, and Raymond Borde and Etienne Chaumeton, A Panorama of American Film Noir 1941-1935, San Francisco: City Lights Books, 2002, 27-9 and the excellent discussion by Frank Krutnik, in In a Lonely Street: Film Noir, Genre and Masculinity, London and New York: Routledge, 1991.

is based on what can best be described under the Lacanian rubric of feminine jouissance.[2] The goal thus becomes one of investigating the feminine, the other "already possesing the 'privilege' of satisfying needs," and thus an act of e self distancing from the seduction of pleasure.[3] Women are objectified in this process and frequently provide unwanted diversion from the search for "truth". Consequently, photographs in these older films, frequently serve a double function. In The Big Sleep, Carmen's photos represent both her objectification as sexy, bad egg, but also lead to the explanation of why the infamous handyman Sean Regan has disappeared. Here we see that typical double function of returning the detective to his proper search as well as serving as a means of distancing the feminine through objectification.

Amazingly, even with greater concern over sexual equality, we still see the photograph coded as semiotic signal of woman objectified, the gaze owned and truth revealed, much as it was used in the first 40 years of the genre's existence. It is interesting therefore to regard the changes in noir that accompany the relaxation of stereotypical masculinities and the greater acceptance of female equality. The contemporary configuration of the noir film obsesses about discovering some scrap of truth within a postmodern world fragmented by competing ideologies. Remarkably, in an age when the computer makes photographs infinitely manipulable, contemporary films noirs still often settle on the photograph as visual icon of the protagonist's last hope of discovering what is really going on. In films like Kiss the Girls, Disclosure, and Body Heat, filmic image has been structured as a proof of reality or key to a masculine

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[2] Jacques Lacan, Ecrits: A Selection, trans. A. Sheridan, London, Tavistock Press, 1977. 286, 292-324,
[3] Ibid. 286.

discovery of the highly sought, but equally unwanted truth about the feminine/other evil corrupting the hero's otherwise more or less ordered world. In more recent films, like The Bone Collector, Taking Lives, Vanilla Sky and Minority Report, the captured image becomes a means of revealing a non-feminine, but nonetheless feminized villain and of course the truth about the betrayal of our hero. Even the recent, more adventurous though hardly noir film, One Hour Photo, while altering typical gender roles, still uses consistent semiotic codings of truth and betrayal revealed by photos to maintain the integrity of the patriarchal system.

There are a few films, however, which overtly question the interpretation of photographic image as manifest truth. Films such as Twelve Monkeys, The Ring, The Governess and Love Crimes, all of which have female protagonists, use photographs in an entirely different fashion semiotically to suggest not only the visible proof, vestige, or trace of the feared masculine betrayal, but also concurrently, for the female protagonists, to demonstrate the multiplicity or better said, duplicity (in both senses of the word) of the proof that such images provide. The introduction of the photograph produces a revelation to the character and the viewer that such images depict something wholly different in the world of the heroine's feminine desire than they do in the world of the opposing masculine law.

While this phenomenon is pertinent to a whole variety of films from the earliest in Antonioni's Blow Up through, Twelve Monkeys and The Ring, I would like to focus initially on a little known independent film called Love Crimes, directed and written by problematic film maker Lizzie Borden. What makes this particular film so intriguing, is the way Borden plays with traditional gender roles and interrogates the concept of male

gaze, by building a story with a female noir protagonist representing the law and a male photographer representing, well, …something else. The bulk of this paper is concerned with the way that Borden defines the threatening polarities of the law and sexuality and the way her other-gendered protagonist/outsider attempts to negotiate an atypical path between these traditional oppositions and will establish the trope found in a majority of recent detective films with female protagonists who utilize photos as arbiter of truth.

Borden foregrounds the issue of truth in terms of gender from the very beginning of the film. The main character, Dana Greenway, is used by Borden to investigate the extent to which gaze and power roles naturally entail patterns of dominance and submission. Greenway is clearly presented as a woman who desires the gaze with all its associated power and who rejects feminine roles of subservience to the patriarchy. The two worlds of the noir film are set up with the masculine world of the law replete with "good old boys" and corrupt cops taking advantage of the most down and out types represented by (female) streetwalkers.

While Greenway is defined as a woman who wants to play with the big boys and get ahead by playing their game, she is a decidedly masculinized figure at the beginning of the film. She wears boxy suits and a short boy-cut hairstyle and goes out on dangerous busts because she gets more convictions by doing so. This is set up as a clear transgression of masculine territory. Like her film noir predecessors, Greenway is caught between her own desire (in this case a highly repressed sexuality depicted in her extreme control and her need to investigate) and her own inability to follow/represent the letter of the law. Interestingly, in her participation in the aforementioned busts, she does not actually see the crimes that are committed. She listens in on them with the aid of

technological listening devices.[4] Her documentation is through tape recordings and not through the traditional means of the photograph. She does not possess the gaze, nor its concomitant power.

Gender is strongly emphasized even in the opening sequence. The film has a frame, which depicts an internal affairs investigation by two establishment-type white men in suits into the story of the film, which then unfolds in flashback. The contrast of the Black policewoman, Maria Johnson, with these privileged white men, who outnumber and visually overpower her, exposes a power structure endemic in the film. These are men who cannot understand what could possibly motivate a character like Dana Greenway. As Johnson points out, "If Dana were a man, you guys would be lining up to giver her medals." Their reply underlining the power gap, "Yeah, but she's not a man, and she's certainly not a cop." This difference is emphasized by the way she is treated within the system. The actual District Attorney, Stanton Gray, (with whom she is sleeping for political reasons) walks in on Dana while she is bathing, showing no deference or respect for her privacy. Gray is a superior, who has the right to gaze. His standing position on the right side of the screen clearly marks his power in comparison to her subordinate position lower on the left. The viewer sees the scene over the shoulder from Dana's point of view perhaps showing her resistance to the power that the gaze purportedly holds, but also aligning the audience with her transgressed position.

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[4] Interestingly the voice is frequently juxtaposed to the gaze as feminine counterpart to the gaze, but as instrument of power that is rarely honored especially when pitted against the masculine use of sight. See Kaja Silverman, The Acoustic Mirror: The Female Voice in Psychoanalysis and Cinema, Bloomington: Indiana University Press, 1988.

FIRST BATH TUB IMAGE IN BORDEN'S LOVE CRIMES

In the second scene of the film, we see, nonetheless, that despite Greenway's resistance to the gaze through her masculinized dress and the reluctance to yield the gaze, she is still not the possessor of the masculine implement of power. Her assistant is depicted as an effeminate young man in contrast with whom she appears strong and efficient. Regardless of this, her efforts to arrest the police officers are overturned by her superiors and her strength within the system is thereby called into question.

Dana's preoccupation with looking is visibly grounded in an event early in her life. In blue-toned flashbacks, a young Dana views a primal scene of her mother and father playing rather distasteful sex games. The man is shown placing cards on his lover's breasts and genitals. The viewer is repeatedly shown shots of a wide-eyed Dana child with a doll whose hand conveniently covers her mouth as if in an expression of fear or silencing. Her look is decidedly one of helplessness and not a gaze of empowerment. Albeit a bit clumsily, the film thereby grounds Greenway's motivation to possess the gaze and redress the power inequity and degradation of her mother by turning to the law.

YOUNG DANA VIEWING THE PRIMAL SCENE IN BORDON'S LOVE CRIMES

Borden repeatedly underscores the difference between this female looking evinced by both the child and adult Dana and male (empowered) gaze by stressing the difference in readings of reality between the women and the men as evidenced by Hanover's photography. Assistant District Attorney Greenway is trying to prosecute a criminal, who falls into what is described in the film as "a gray area" of the law. Focusing on the paradox of photographic image, Borden introduces the case of a man, who manipulates women by impersonating a famous fashion photographer named David Hanover. This man seems to transgress against women sexually, but the women are reluctant to press charges, because their understanding of the crime is not consistent with the naming and nature of the charges that the Assistant District Attorney, representing the law, wishes to press.

The women's sense of the crime is personally rather than legally defined in terms of the impersonation of the famed photographer, for they realize that while they would not have slept with just any old photographer, they would not feel taken advantage of if

the man in question had been the "real" Vogue photographer he claimed to be. For the district attorney, this is a crime of rape and assault, while for the women who have been photographed by the faux Hanover, it is a crime of misused intimacy. This oppositional viewpoint is especially well portrayed in a scene when D.A Greenway seeks to find someone to press charges. The masculinized Greenway is shown at her desk intercut with shots of the various women abused by the Hanover pretender. Multiple interrogations are collapsed into a single filmic montage by intercutting the responses by several woman "victims" of the photographer. The continuous dialogue offers a frustrated Greenway begging "File a complaint." "File assault charges, so we can prosecute …" But the women's replies indicate their different perception of the incidents." He picked me right away,' "He kept telling me how beautiful I was." For the female characters, who, true to the noir tradition, stand on the side of sexuality and desire, the (fashion) photograph represents a sign of their desirability and thus worth in a world that values women as spectacle. For the district attorney and police these same photos represent the proof of a sexual crime that should be prosecuted.

The vestigial product of his sessions with the women, the photos, thus becomes in Lacanian terms, an icon of a (black and white, so to speak) polar veracity, a dualistic symbol of the different structurings of reality by men and women. For the masculine law, they represent the premise of Hanover's sexual assault, a transgression of the "law of the father" (here the judicial system), while for the women pictured, they represent deception with regard to desire or put more bluntly, the betrayal of intimacy through masculine lies preceding sexual relations. Greenway, by way of her role as (female) gendered outsider to this law, finds it impossible to prosecute this man either by being subject (objective

collector of evidence) or as object (subjective experiencer of the crime) because the masculine law demands objectivity in proving guilt while the nature of the crime (and thus the proof thereof) is only subjectively experienced by the women. As is the case in other films, such as House of Games, the rape crime is one of gaining sex under false pretenses. "You lied to me," accuses Maggie of House of Games when she confronts the con man she will ultimately shoot down in cold blood. It is the sexual deception and not really the theft, battery or assault as defined by the law that disturbs these women. An example of this multivalence occurs in Love Crimes when a woman whose car is stolen, will not press charges of auto theft because she gave Hanover the keys to her car, ostensibly to pick up some champagne. The District Attorney in her role as the film's investigator, just like the male hero in film noir necessarily must find out exactly what is going on in Hanover's photographs.

Borden makes the case even more complicated by making the women complicit in their own degradation before the law, because these photos additionally represent the making public of the women's highly private sexual fantasies that they agree to enact before the photographer, but of which they feel they should be ashamed. In one scene that never fails to thoroughly disturb any class to which I show the film, a middle-aged equestrienne romps around topless while imagining she is the horse being ridden and not the rider. Dana's friend Lieutenant Johnson also notes that there is more to the photos than simply a set-up for sexual predation. The women are "get something" from the sessions. While Greenway views it from the side of the law, Hanover is a man, in Dana's own words, who "knows exactly who (sic) to pick: Women who won't fight back." Lieutenant Johnson, sees the events from a different vantage point. To Dana she remarks

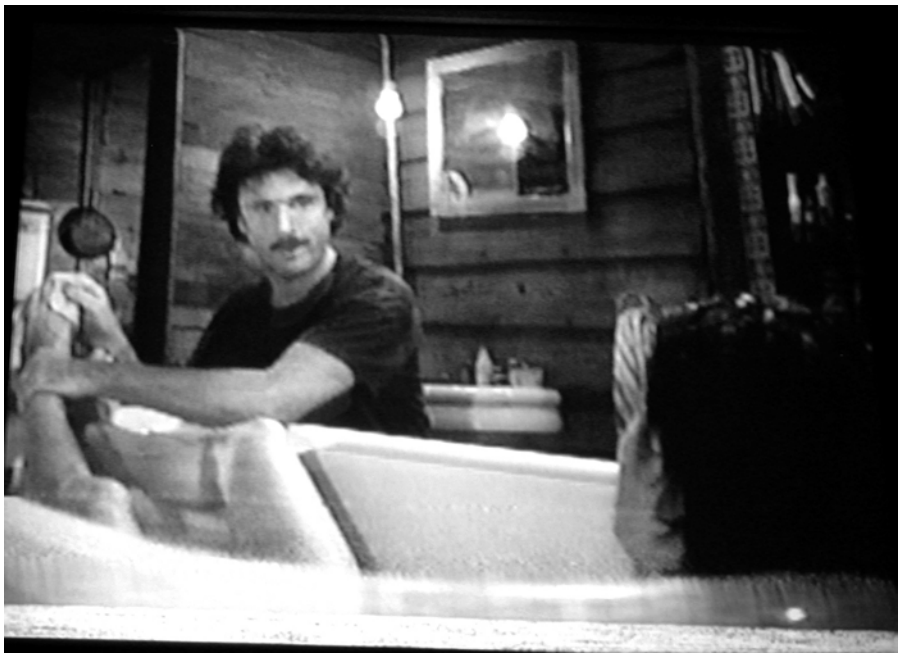
that there is something else going on. Her first comment recognizes the lack of glamour one might expect in the work of a fashion photographer. “This joker's shit compared to the real guy,” she says, but then notices the faces of the women, “No, I mean it. Look at the women. They're enjoying the hell out of themselves...Some kind of mutual fantasy. Can't you see it? Damn straight you can see it! He's damned sure got something going on with these women.” This scene highlights the fact that the photos can represent two different views of the reality of Hanover’s actions.

Greenway is thus cast in the traditional role of the male noir hero investigating female pleasure. We find out later in a scene cut from the original release but restored in the video version, that Greenway is frigid, or rather that although she's sleeping with her married boss, she does not enjoy sex. Female jouissance is thus as alien to her as it is to the usual film noir Joes. Like Kyle MacLachlan's youth Jeffrey in Blue Velvet or William Hurt's character in Body Heat, Dana must investigate the meaning of the feminine. The Hanover impostor, who never does admit his real name or identity, explains the nature of his pursuit to Greenway when she accuses him of taking advantage of women, a crime he adamantly denies. As he explains it to Greenway, "There's an emptiness in people...They carry a lot of pain. I reach out for that pain... and I take it ... even for a moment... And that's the moment I shoot." Indeed the unwillingness of the women to press charges and the earlier statement by Lieutenant Johnson suggests that although he may break the masculine law, he also provides a service in that parallel universe of desire that does not adhere solely to the objective perception of life.

Just as in the traditional noir drama, the detective's pursuit entails being caught by the quarry, the false Hanover discovers Greenway's pursuit and traps her in his out of the

way cabin in the Georgia woods. Part of the suspense of noir films in general pertains to the audience' tension about the extent to which the detective/investigator becomes involved with the dangerous love interest. Borden has already emphasized the gender disparity by showing the authorities' opinion of women involved in investigation and she must walk a fine line as feminist to avoid the pitfalls of the stereotypical over-emotional female protagonist victim. Nonetheless, to understand the nature of the crime, Greenway must comprehend female desire and to do this she must place herself in the role of the object. Her frigidity would seem at first to be the saving grace that protects her from becoming prey to the phony Hanover's game, and indeed despite being shut up by him in a closet and thus tormented in much the way she was as a child, Greenway initially shows no tendency to succumb to Hanover's game of seduction. It seems, like any regular Sam Spade, she has the strength and objectivity to avoid the trap of falling for the seductive but fatal love interest.

For this reason, the viewer is somewhat mystified when in a peaceful moment at the cabin, Hanover grabs his camera to take pictures of Greenway reclining lifelessly in the bathtub, a scene marked as a distinct contrast to the first bath scene of the film. In this second scene, Greenway reclines on the right hand side of the shot but is photographed straight on from Hanover's point of view. Here she is placed in the upper section of the frame with Hanover to her left. She is now in the more comfortable corner of the frame, fully reclined rather than in the upright seated position of the first scene. Masculine and feminine are reversed in position. The scene speaks to a reversal in the situation.



SECOND BATH TUB IMAGE IN LOVE CRIMES

Given his self-defined purpose of reaching out for pain, it seems an unusual moment for Hanover to begin snapping images. The irony here is that Greenway's release of pain is indeed visible in this picture, if the viewer knows how to read it, for Greenway is a reverse character to the everywoman that Hanover has photographed in the past. Having viewed the objectification of women through the gaze, Greenway, unlike the women she interviews, has no deep need to be objectified as beautiful and no understanding of female jouissance. In an early scene when she tries to dress the part of the vulnerable women that she believes Hanover targets, we see her don heavy glamour make-up only to smear it off in disgust. Ultimately she will make do with curled hair and a slightly more feminine skirt that allows her to play the role of frumpish school teacher, a role that is so artificial, that Hanover sees through it immediately, much to Greenway's dissatisfaction.

One of the women Greenway interviews about Hanover isolates the issue at the

heart of this film when she asks Greenway if she has ever had a secret fantasy. Greenway is a damaged individual we learn from those flashbacks, because of primal scene violence she witnessed as a child. Her fantasies are thus not typical of the women out in the regular world and the result is that her interaction with Hanover is of a different nature.

E. Ann Kaplan in her research on women's fantasies notes a prevalence of dominance models in the fantasies of typical women. Based on the work of Nancy Friday, Kaplan notes,

> We could say that in locating herself in fantasy in the erotic, the woman places herself as either passive recipient of male desire or at one remove, as watching a woman who is passive recipient of male desires and sexual actions..[5]

The woman that asks Dana whether she's had a secret fantasy also remarks, "Somehow he knew I wanted to be taken," thus reinforcing Friday's findings about "being'forced'" in typical female fantasy. Greenway's fantasies, however, because of her disrupted sexual development are not the wild stuff of romance novels, of being taken by pirates, or being seduced by masked riders on horseback. They are instead a longing for some form of normalcy, and of having a unilateral caring relationship. In the midst of the bathing scene, the viewer is allowed to see Greenway's fantasy of having intimate, caring intercourse with Hanover. The warm sepia-bathed footage shows a Greenway and Hanover enjoying the pleasure of each other's bodies with no significant imbalance of power. Greenway takes on the active role of titillating a passive Hanover, while a sexy saxophone music lolls in the background.

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[5] E. Ann Kaplan, Women in Film: Women on Both Sides of the Camera, New York and London: Methuen, 1983, 26.

FRAMING OF SECOND TUB SEQUENCE IN LOVE CRIMES

There is thus tremendous irony in the pictures Hanover takes in the bath. The pain that he reaches out for, is a pain of longing for a relationship that does not involve patterns of dominance and submission. Although she has not acted inappropriately with Hanover, the state would view these pictures of a naked Greenway as proof that she had become involved and had thus lost her (masculine) "objectivity". In Lacanian terms, it would seem Greenway had experienced jouissance, the position of the object, i.e. subjectivity and thus lost her "objective" power as subject/investigator.

Of course at this point Greenway is still unemotional and rational about the situation with Hanover. Only later when he stops short of enacting her fantasy because he feels "it is not right," does it truly become personal with her. She still remains more or less calculating and efficient until she hears that Hanover has been arrested. Only then can she doff her clothes to shower and cleanse herself of the experience (when of course it turns out she is in greater danger than at any other point in the film.) Hanover, we discover shortly, is still on the loose and in fact has already penetrated her apartment in

his own personal attempt to find closure.

Lieutenant Johnson quite rightly recognizes when she suppresses the evidence of the photographs, that the masculine establishment, if it knew of the existence of the pictures and any personal exchange between Greenway and Hanover would invalidate the "objectivity" of the arrest. The real irony is that there would be no arrest without the subjective knowledge gained by Greenway in her recognition of the experience of the object, for there would be no one to press charges. Since Hanover transgresses on the subjective level, he must also be caught in that realm.

In the penultimate sequence of the film, where Hanover attacks the Assitant District Attorney in her own apartment, gaze plays its final role in showing the impoverishment of Greenway's look. The faux photographer is able to take her gun and with the camera flash blitzing away in Hanover's hands, we recognize his empowered gaze while comprehending from inserted flashbacks the source o Greenway's pain from viewing her own mother's murder by her father when she was young. Greenway is literally blinded by the flash, which corresponds in the flashbacks with the firing of the gun, another instance of masculine power that reflects the absence of power in the child's female look. It is also probably no accident, that Greenway finally stops Hanover by hitting him over the head with a transparent glass bowl, since it underscores metaphorically both the shattering of transparency to sight and the destruction of female openness. In this scene, Greenway acknowledges the hopelessness of a female gaze, but finds other means for equalization. We have already learned that she has no intention of returning to her job as Assistant District Attorney and thus we perceive her as having broken free from the compulsive investigation of the "other" brought on by the view of her mother's death.

Unfortunately the film makes clear that this step comes about at the high personal cost of accepting an emotionally shattered subjective position.

The film ends by closing with the investigative frame of the men in suits with which the film opened. We are reassured along with Lieutenant Johnson, that despite the fact that Hanover wishes to sue for entrapment, he probably will get convicted of assault based on Greenway's statement, "provided," the internal affairs investigators add addressing Johnson, "you aren't hiding anything." As she denies the existence of other evidence, Borden cuts to a sequence of a catatonic Greenway burning the incriminating bath photographs. By this ending Borden demonstrates that in the larger world, truth qualities are determined by an ever-strong patriarchal legal system and that this is not a level playing field for women. Her response does not lie in encouraging women to try and utilize the same instruments of power as men. For Borden, there is no female gaze.

Instead, the solution is one of alternatives to games that depend on roles of dominance or submission. Borden's ending suggests, that evidence, in this case the photograph, will always align with the subject's "objective" viewpoint: That if a subject can not comprehend the subjective nature of truth, then the best solution is to suppress the so-called objective evidence and opt out. While Borden gives no indication of what direction there is to opt toward, she does give hope of female victory on her own terms, albeit at an immense personal cost to those who fight the system.

While most contemporary noir films do not present as complicated a construct as Love Crimes, it is interesting to note that they do tend to fall into two categories which align nicely along gender lines. Intriguingly, films with a male protagonist tend to follow the traditional masculine noir pattern with regard to the use of photographs. Films like

L.A. Confidential, The Bourne Identity, Seven, Silence of the Lambs, The Bone Collector, and Kiss the Girls use photographs as evidence that reveals truth, just as they were used in the classic films with Philip Marlowe and Sam Spade. This truth exhibits itself as mug shots, evidence of crime scenes, smutty pictures, or proof of attempted blackmail. In LA. Confidential, for example, Sid Hudgeon's tawdry scandal sheet reveals the sordid truth behind the glamour of Hollywood lives. Alex Cross in Along Came a Spider uses enhanced digital images on a computer cam to locate a perpetrator's name and address and the recognition that a photograph of Lindberg is missing in the classroom to pinpoint the villain's actual motivations for a kidnapping. Photos reveal the truth that the villain wittingly or unwittingly disguises.

When photos from films with male protagonists might reveal duplicity, this ambivalence almost always remains invisible to the male hero and only potentially significant to the viewer. Thus In The Spanish Prisoner a photograph on the beach bears importance only because the motives of the photographer are duplicitous. Both the photo and some video tapes at the hotel are reducible to potential proof of the con being perpetrated on main character, Joe Ross, and they ultimately lose any significance by the end of the film. In Disclosure the photo of Meredith is used to represent her presence in the database as she deletes precious files, while photos of the family are mere icons of the significance of family to the protagonist, Tom Sanders. Finally, it is downloaded videos of Meredith's visit, that document her knowledge of the unacceptable conditions at the Asian plant where defective computer drives have been produced. The photo of Mattie Walker in Body Heat lets our fallible protagonist, Ned Racine, know the truth behind her identity and thus her treachery. Rather than invite an understanding of the multiplicity of

life, this image reveals the singleness of truth, and ultimately the duplicity of women.

Such is also the case in films like Identity Report, in which photographs of the retinas become important in gaining access to a highly secure room. While this is based on the duplicitous possibilities of the photograph, it is the actual retinas that gain John Anderton access to the room and despite the fact that subjectivity is such an important issue in films like, LA Confidential, The Stickup, Primal Fear, Just Cause, and D.O.A. photos are simply evidence of crimes or additional clues to follow in pursuit of truth. They serve to clarify the actual make of automobile in Just Cause and to show Exley's vanity, the nature of smut, or the kinds of photos in Hudgeon's rag in l.A Confidential. They disclose the decayed relationship with the estranged wife in D.O.A.

A slightly more complicated, but still consistent use of the photo occurs in Primal Fear where, photographs initially serve simply as a reminder of the atrocity of the crime scene. They also highlight the vanity of the attorney Martin Vail in his enjoyment of publicity, as well as document the Priest's abuse via the moving image of videotape. Vail makes a nice noir protagonist caught between the corrupt legal system that strokes his vanity for winning notorious but dubious cases and the underworld he serves. It is his eager desire to do something "just" (and thus his failure to adhere to the logical masculine side) that Aaron Stampler is able to use to manipulate Vail into betraying his love relationship and thereby committing his greatest legal mistake. In an act of poetic justice, the most important photographic proof of all in this film is absent, because it is untrue. Dr. Arrington's video recorder runs out of tape just as Aaron's alter ego appears to surface. The fact that the defense has no taped evidence that Aaron Stampler has a second personality called Roy is indicative of the genuine truth that there is actually only

one personality, and that both Vail and Arrington have been misled by Roy's "textbook" presentation of multiple personality disorder.

Intriguingly, many films with a female protagonist or one that might be considered "other" tend to align with an entirely different presentation of truth. The type of structure found in Love Crimes, occurs in several contemporary detective films with female protagonists, revealing the duplicity of the world through the very photos that have tended to offer incontrovertible proof to the male detectives. Often the multivalence of truth is combined with a mystical or super-rational verity. Lara Mars' photos reveal a connection to another way of knowing about crime that is in some way supernatural. This is also the case in the recent noir horror film The Ring. The female protagonist, Rachel, seeks to investigate the true meaning of the video images and the strange photographs found in the little girl's hospital file and while she initiates an investigation just as a masculine detective might, trying to understand the young girl's desire, it is an alternative, super-natural truth that is eventually more significant after she thinks she has found the logical interpretation to the images. Similarly, in Twelve Monkeys, it is the photo of James Cole during World War One that reveals to psychologist, Kathryn Railly, that her "rational" world of science has insufficient or at least alternative explanations.

The character of Cole exemplifies yet another aspect of this phenomenon, in that, while some men may be faced with the evidence of this duplicity, even for men who are marginally "other", the proof is often invisible while being an open secret to the viewer. The audience repeatedly experiences the failure of the male character due to his inability to recognize the duplicity that has been made so clear to both the female protagonist and the viewer. Detective Nick Curran in the film Basic Instinct also falls into this category.

While photos reveal to both Catherine Tramell and the viewer the less than stellar performance of the detective hero, they are also used by the savvy Tramell to frame Curran's psychiatrist for the death of his best friend. While the film does not make it explicit that Tramell is to blame, the presence of Tramell's theme music and the final shot of the ice pick beneath the bed suggest her agency in Gus' murder. After Curran shoots his psychiatrist, Beth Garner, the filmmaker does not allow the viewer insight into Nick's opinion about the incriminating photos found by police in Garner's apartment. Thus while it is possible that Detective Curran, who is repeatedly feminized by being shown incapable of controlling his desires for alcohol, and sex, may have an inkling about the duplicity of the photographs, it is left to the viewer alone to draw the conclusion about the photographic "proof". Similarly in Brian De Palma's Femme Fatale, only the female main character Laure experiences the possible outcomes of the snapping of two significant photographs and is clever enough to alter her behavior based on the expected outcomes of the probable scenario. Such an option to understand and control fate is not possible to the unperceptive Cole in Twelve Monkeys.

In Femme Fatale, Laure's dream of what comes of a paparazzo's two shots of her, allows her to view an alternate truth and thereby choose to take an alternate life path. At the end of the film, her second but final choice has a benediction conferred upon it by inclusion of a heavenly beam of light that shines on her and becomes an instrument of her salvation. This mechanism is recognized and understood only by the viewer, despite the fact that the photographer is in the process of photographing the heroine at that very moment. Amazingly, he never knows the potential meaning either of his photograph, nor of the photo-mosaic mural he has been assembling from photos of one particular Paris

intersection over the years, The final images of the film are printed and inserted into his mural (which was produced from over 3200 snapshots) without overt comment primarily for the gloat factor it provides the viewing audience. Thus, the viewer and heroine alone recognize the alternative world of grace that is possible when a character behaves morally in an apparently amoral world.

Male characters who are not stellar examples of modern masculinity also still somehow align themselves at least to some extent with the "otherness" of truth's multivalence. Although characters like Lenny Nero in Strange Days and Rick Deckard in Blade Runner are wonderful examples of dubious heroes in a noir world of uncertainty, both ultimately hope for help from photos in solving the nature of reality. Lenny's VR clips (recordings of the cerebral cortex) are a sort of multi-sense video-recording, which should by definition therefore be fallible and thus only impressions of perceptions that people have. Instead, they are used in the film Strange Days, as recordings that are vital information about the true killer of Black musician Jericho One and about the man who is stalking ex-cop Lenny and his ex-girlfriend Faith. These clips become evidence used to convince not only female lead Mace, but also the powers that be of Lenny's innocence and the guilt of another cop gone bad. Deckard from Blade Runner is in a similar position, although in a much more complex world. The photos that are so important to the replicant, Leon, become references for Leon's genuinely experienced memories. They also serve as the means by which Deckard discovers Leon's whereabouts and hunts him down, as well as providing the way by which he convinces his female companion, Rachel, of her replicant origins.

This pattern of man interpreting truth from photos and imparting it to an eager

female mentee, is also a prevalent pattern in other contemporary films noirs. In the Alex Cross films, Kiss the Girls and Along Came a Spider, as well as in The Bone Collector, the set up is one of inexperienced female colleague being trained in the extraction of truth from crime scenes and photos thereof. In each scenario women, who are shown to be insecure, receive encouragement to trust their instincts but also to look logically and carefully at the scene of the crime. In The Bone Collector Amelia becomes the eyes and hands of Lincoln Rhymes only to falter emotionally at the command to cut off the hands of a badly scalded corpse handcuffed to a steam pipe. A paraplegic, Rhymes will ultimately have to save himself physically from the feminized villain through the use of his one finger and head in one of the most violent and bloody fight scenes shot with only two characters. In Kiss the Girls, Ashley Judd's physician, Kate Mctiernan, is strong and perceptive, but clearly coded as the rational scientist type who uses her kickboxing and determination to fend off the assaults of the serial killer who has christened himself Casanova. Nonetheless, it is the kindly, fatherly, Law Officer who must come to her rescue as in the final act, when she cowers in her kitchen handcuffed to a gas stove. Detective Cross' intellect and phallic power (in the guise of a gun) are used in combination to terminate the cowardly serial killer who is about to immolate them all in an emotional and vengeful act of igniting his cigarette lighter.

Some films with female protagonists carry on the male traditions of photographic truth without giving the woman detective alternative views of the crime. In a Canadian film called Taking Lives, main FBI agent Illeanna is introduced as an uncanny profiler, who is first seen lying in an open grave to experience the nature of a crime. While she seems at first to be preternaturally gifted, it turns out she is cold bloodedly logical and the

plot hinges once again as it did in Love Crimes, on the extent to which the detached detective will be seduced by the nervous artist she is hunting. This film repeatedly shows Illeana perusing photographs, while eating, while bathing and whenever she meets with the Montreal police and although she falls to subjectivity by sleeping with the man who will turn out to be the real killer after a suspect is caught and arrested, she repudiates the subjective stance before the film ends. By staging an emotional withdrawal from the world as the quintessential feminine object, the unwed mother, her behavior is finally disclosed as a rational pretense she has carried on for 7 months in order to trap the unsuspecting serial killer, whom she then takes out unemotionally in the films final sequence. The photos in Taking Lives are never anything but examples of evidence of the truth being sought and the detective, although female, is firmly entrenched on the side of forbearance, univocality and control through to the bloody end.

In certain films, the viewer may, however, recognize a duplicity that is not acknowledged by the characters themselves. Deckard's room is full of antique pictures that reference another historical time, but one with no clear relation to the character of Deckard. While the replicant, Leon's images reflect his life, those of the reputedly human Deckard reflect no connection to his own life whatsoever. Deckard, who in his voice-over narrative admits he has been described by his e-wife as Sushi (cold fish), has less sentimental connection to life than the cyborg replicants in the film. Rachel, too, shows attachment to a photo, but to a photo that raises a final issue I want to touch on in this paper. Rachel's photo, ostensibly of herself as a child, turns out to be a picture of her maker Tyrell's niece. The significance here is that it is not the photo that is any way faulty with regard to truth value, but the interpretation that is actually in question. As we

learn in Memento, photographs provide an interpretation, not a record.

This is a trope that was initiated by Michelangelo Antonioni in his ground breaking 1966 film Blow Up. This film, which some may feel shares little in common with traditional film noir, still offers a lead character caught between two distinct orders of truth. A fashion photographer, who aspires to something higher artistically, believes he has captured an innocent lover's tryst (assignation), which he later determines to have been an assassination instead. His blow-up of a blow-up becomes so fuzzy that it bears more resemblance to an abstract impressionist painting by his best friend than to the documentation of reality he seeks. The film begs the nature of truth, art and interpretation. It recognizes that one person's objectivity may be another person's subjective view.

Two recent films also play with the nature of subjectivity in masculine protagonists. Christopher Nolan's Memento and Mark Romanek's One Hour Photo. In both films, the photograph becomes crucial to the protagonist as a connection to a reality that turns out not to exist, and though One Hour Photo, can not be considered film noir, it is still highly interesting as a companion piece to Nolan's Memento. In a sense these two films are mirror images of each other, representing bookend options for the two primary characters. Both films involve flawed male protagonists who are incapable of dealing with their current reality and who resort to photos to solve their issues with their own respective worlds.

While Leonard Shelby in Memento uses photos help him hold on to a present in which he cannot make new memories, Sy Parrish from One Hour Photo uses them to build a present, so he does not have to remember his past. Lenny falls prey to the idea

that a photograph is truth, while forgetting that it is the interpretation of the photo that yields a truth and not the photo itself. His willful misinterpretation of the photo of Natalie, causes him to kill the wrong man in an attempt to avenge his murdered wife. Comparably, Sy builds a photomontage of his fantasy "family" that represents the alternative truth of his own desire to be a part of a loving family that barely knows him. It is the viewer and Black investigator, Detective James Van der Zee, alone, who are privy to the meanings and origins of this ambivalence and not the character himself, who remains locked in the fantasy he connects to the photo as "truth".

The "other" has been traditionally placed on the side of the feminine and often includes people who do not hold power in the patriarchy, gays, people of color and foreigners. One immediate question is to what extent the polar oppositions in which our discussion of film noirs have been grounded can be subverted by the introduction of other variables that tend to marginalize primary characters. Interestingly, for the most part, race seems to trump gender but not alter the structure of the system in the least. Of four films listed here with black men as investigators, all fit easily into the patriarchal structure espousing the superiority of Lacan's "Law of the Father". While Denzel Washington's Lincoln Rhymes is objectified and marginalized as a paraplegic "other", he is the ultimate brainy example of self control. He chastes his young protégée, Amelia, for touching or even molesting him while he sleeps and wins physically in arm to arm combat against the villain in the final sequence of the film. Both Morgan Freeman and Eriq La Salle play their detectives as concerned fatherly types, full of forbearance and discipline. In the Alex Cross films, Freeman as Cross hugs an emotionally battered Kate Mctiernan at the end of Kiss the Girls and sees through (by means of a family

photograph, of course) the betrayal by his "partner" at the end of Along Came a Spider. These newer films with their atypical protagonists offer no middle position to oppose the matrix of dominance and submission and instead adhere rigorously to the old lines of feminine and masculine tradition.

In looking at some 20 films from the last 20 years, the consistency of truth structures across gender lines is rather remarkable. While male heroes in contemporary noir tend to investigate the nature of truth despite being caught between corrupt sides, they inevitably try to preserve a sense of integrity in their pursuit of a universally acceptable although not necessarily happy solution. In films with women protagonists, the truth is inevitably more complex. Some films like Twelve Monkeys and Love Crimes question the photograph as manifest masculine truth and end up coding photographs to suggest both masculine truth of feared betrayal, but also a multi/duplicity of the image's proof. In these films we discover that photography portrays something different in the world of feminine desire and pleasure than it does in the one of masculine law. Even so, there is no possibility of a bridge between the gendered objective and subjective poles that necessarily play out in a pattern of dominance and submission. It is nonetheless clear that photographs can represent different things to protagonists of different genders and that detective films with women protagonists offer a much richer and complex portrayal of truth and desire. So although the photo may come down to a black and white interpretation under typical circumstances, Sy Parrish's comments in One Hour Photo apply beautifully to the nature of the photograph in many contemporary detective films, "Like most things," he remarks, "there's far more to it than meets the eye."

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Interdisciplinary Teaching: The Humanities in Science Classrooms

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Abstract: Education reform is in the air. For the first time in twenty-five years Harvard University is rethinking its basic science education, extending it across the curriculum, saying "We should no more accept the proposition that some of our students are incapable of learning science than believe that other students are unable to master subjects in the humanities and social sciences." Since the brain loves diversity, interdisciplinary teaching is a pedagogically sound approach to expanding knowledge and to keeping students' interest. It is also a method supported by the National Academy of Science that urges from high school science classes on up all students have an understanding of the integral relationship among science, technology, and society. That is, today's scientists need to have not only knowledge in science and technology but they must be socially aware and grounded in ethics, which immersion in literature can accomplish.

Case Study Example: To demonstrate the role the humanities have in science classrooms to help students understand bioethical principles and to think critically, I'll use the example set by the President's Council on Bioethics appointed to help advise the president on ethical issues arising from human embryonic stem-cell research. Its Chairman, Leon Kass, used Hawthorne's "The Birth-mark" to help Council members 1) understand science in a social context; 2) critically assess bioethical issues; and 3) connect knowledge and social responsibility. After summarizing the story, I'll show how its ethical principles differ from the mere exploration of the rights and wrongs of aesthetic surgery. In fact, they can be applied in depth to contemporary themes including the need to be wary of scientific skills applied in secrecy by those who seek perfection. Clues to amoral experiment ethics might be determined when asking these "hotspot questions":

- What is the nature of scientific hubris?
- What are beauty and the cost of perfection?
- What is the fatal flaw in humanity?
- When does science go too far in messing with Nature?

Clearly the genie has left the bottle—the Age of Cloning has begun. Now it is up to humanities educators to not only develop a sense of ethics in scientists but to make sure every student has a dual facility to understand the ethical issues arising from stem-cell research and cloning. The humanities, especially literature, put the human face on science, teaching about the human condition and giving a rich cultural perspective during the rapid advance of technology. And, it is more important than ever to educate ethically responsible

scientists and a citizenry that has the ability to make informed decisions through its elected representatives on how far we want technology to take us. In the end, we will all need to decide if, in principle, cloning human beings is justifiable.

Possible topics to discuss:

- Genetic engineering leading to "perfected" children who may become our athletes, composers, politicians, and even donors.
- Specific pieces of literature that reveal the human condition, which after all is the focus of science, and disclose the relationship of science to the culture, offering an opportunity to make critical bioethical judgments?
- The Hippocratic conundrum, as expressed in "The Oath": How "To be useful; but, first, to do no harm."
- Our decline in science skills and international prestige, which portends a decline of nation—after all doesn't science drive the economy, medicine, various technologies?
- How a diverse curriculum (e.g., science combined with literature) helps a student think?

Resources:

Harvard's New Curriculum Proposal: http://fas.harvard.edu/curriculum-review

The National Academy of Science (*National Science Education Standards* 1996): 93-7.

Stripling, Mahala Yates. *Bioethics and Medical Issues in Literature.* Westport, Connecticut: Greenwood Press, 2005.

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Paper Submission

Title: New Wine in Old Bottles: Parody in Modern Chinese Literature

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Abstract: In this paper, I examine Lu Xun's (? ? , 1881-1936) short story "Butian" (? ? ? ? , Mending Heaven, 1922) and Shi Zhecun's (? ? ? , b. 1905) short story "Shi Xiu" (? ? ? ? , 1931). Both stories are retellings of earlier, traditional tales, and it is this intertextual relationship linking present to past that is the focus of this paper. While both stories were eventually published in collections of historical fiction often treating more properly "historical" people and events, in the case of at least these two stories, both the original and their modern revisions are purely literary, which is to say mediated solely by the written word. Additionally, both stories perform their respective parodies not through mimicry and ridicule, as the usual understanding of the term *parody* in English might lead one to believe; rather, each attempts to update its original by supplementing a modern, and as it happens, Freudian perspective to the original story. Furthermore, both stories provide this updated version as a means of repudiating the traditional sources and the society they represent, but end up repeating in many ways the faults they criticize in their traditional sources.

New Wine in Old Bottles: Parody in Modern Chinese Literature

This paper is the first chapter of my dissertation which has a working title of Roots: Ties to the Past and Tradition in Modern Chinese Fiction. The dissertation considers traces of various pasts or traditions in modern and contemporary Chinese fiction. This paper examines what is commonly called historical fiction but which I will, instead, consider as examples of parody. In later Chapters the dissertation examines other modes of the persistence of a past in fiction, such as a lyrical narrative voice and memory. I also argue that the period from Liberation through the Cultural Revolution enacted a certain split between the present and the past that has proved especially difficult to bridge in the post-Mao era.

As with so much in modern Chinese literature, I will start with Lu Xun (? ? , 1881-1936), specifically his short story "Butian" (? ? ? ? , Mending Heaven, 1922). In addition I will also look at Shi Zhecun's (? ? ? , b. 1905) short story "Shi Xiu" (? ? ? ? , 1931). There are several aspects of these stories which make them especially interesting for the study of the uses of the past in modern Chinese literature. First, both stories are set in China's past. In this alone they stake a claim for the continued relevance of the past in their own modern society (even if only a negative relevance). Second, while both stories were eventually published in collections of historical fiction often treating more properly "historical" people and events, in the case of at least these two stories, both the original and their modern revisions are purely literary, which is to say mediated solely by the written word. And it is this intertextual relationship that will be the focus of this paper. Finally, both stories perform their respective parodies not through mimicry and ridicule, as the usual understanding of the term *parody* in English might lead one to

believe; rather, each attempts to update its original by supplementing a modern, and as it happens, Freudian perspective to the original story. I will return to these issues again below, but before turning to the stories themselves, I would first like to explore parody as a framework in which we can then place the two stories for examination.

PARODY

Definitions of parody frequently trace the word back to the Greek *parodia* which is alternatively glossed as a song sung in opposition or an imitative song.[1] While claims that appeals to a word's origins reveal the "true" meaning of the term are open to debate, it is interesting to note the ambiguity that such a definition creates. A song sung in opposition implicitly offers a critique of the thing opposed whereas an imitative song very easily could be adulatory (imitation is, after all, the finest form of flattery). At the same time, the potential for imitation to hold its object up for ridicule (what we could say is the common understanding of *parody* today) is by no means ruled out by such ambiguity. What is, at least, certain is that a parody is a work of art that is spurred into being by another precursor work of art.

At the same time, satire, a word which is imbricated with and in many contexts interchangeable with parody, works on more or less the same terms. The etymology of Satire traces the word back to the Latin *satura* which is generally accepted to signify a particular type of food made from a wide variety of ingredients. Its use to designate a genre of writing, then, is seen as a metaphor for a diverse, eclectic and rich literary form,

[1] Margaret A. Rose, *Parody//Meta-Fiction: An Analysis of Parody as a Critical Mirror to the Writing and Reception of Fiction* (London: Croom Helm, 1979): 18 and Linda Hutcheon, *A Theory of Parody: The Teachings of Twentieth-Century Art Forms* (New York: Methuen, 1985): 32 and Margaret A. Rose, *Parody: Ancient, Modern, and Post-Modern* (Cambridge ; New York, NY: Cambridge University Press, 1993): 6-19.

but which also could be taken, as Gay Sibley has suggested, as "a mixture of ingredients that were blended in such a way that only those with 'discriminating palates' could come close to knowing what it was they were tasting."[2] Again we run into an ambiguous and potentially self-contradictory definition: that is, a vibrant and inclusive form verses an esoteric form intended for the initiated.

To complicate matters, both satire and parody rely heavily on irony. Following Linda Hutcheon, at its most basic level, irony is nothing more than "the opposition between an intended and a stated meaning or, simply, … a marking of contrast" but she also goes on to add that, in a pragmatic sense, irony also judges.[3] Thus ironic texts (including both parody and satire) highlight difference and implicitly assign values to either side. This, of course, is the source of criticism found in ironic texts: the flow of relative values from one side of the divide to the other. Furthermore, we now realize we should understand irony, satire and parody each as a mode (or in Hutcheon's terms, an ethos) that transcends genre. Indeed, we could add other modes, such as travesty, pastiche, and burlesque among others, which interrelate with irony, satire, and parody and each other in such close and complex ways that precise distinctions are nearly impossible.[4]

Nevertheless, we should be wary of applying Western terms like *satire* and *parody* wholesale to Chinese texts. On the one hand, satire has long played a role in Chinese literature—from the Warring States period philosophical polemics (some passages of Zhuangzi in reference to Confucius come to mind) to the seventeenth century

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[2] Gay Sibley, "*Satura* from Quintilian to Joe Bob Briggs: A New Look at an Old World," *Theorizing Satire: Essays in Literary Criticism*, eds. Brian A. Connery and Kirk Combe (New York: St. Martin's Press, 1995): 58.
[3] Hutcheon, *A Theory of Parody: The Teachings of Twentieth-Century Art Forms*: 53.
[4] See Simon Dentith's definition which attempts to take all these modes as well as reader reception into consideration and as a result is so broad as to be almost meaningless; Simon Dentith, *Parody* (London ; New York: Routledge, 2000): 1-21.

novel *Rulin waishi* (« ? ? ? ? » , *The Scholars*), which was so influential to May Fourth writers—and as such its continued pertinence seems assured. The history of parody, on the other hand, as a category of classification, is much hazier, if it exists at all. This fact notwithstanding, I feel that, for at least the twentieth-century stories like "Butian" and "Shi Xiu" that update older tales, the Chinese saying *jiuping zhuang xinjiu* (? ? ? ? ?) which literally means pouring new wine into an old bottle may provide us with an indigenous view of parody. Certainly in the 1920s and 1930s, the import of Western concepts and styles was actively pursued and attempts were made to synchronize these Western imports with Chinese society analogously to pouring new wine into an old bottle. Freudian analysis, which both Lu Xun and Shi Zhecun employed in their revisions "Butian" and "Shi Xiu," is one example of such an import. Additionally, it must also be admitted that the phrase *jiuping zhuang xinjiu* in effect describes the essential action that parody takes, for parody takes new content and pours it into the old form of a previous text. This metaphor also preserves parody's dual action that we discussed above, namely imitation (here in preserving the shape of the original bottle) and opposition (here the new taste contained in that vessel). I suggest that we keep both understandings of *jiuping zhuang xinjiu* in mind as we consider not only the infusion of foreign theories (Freudian psychology) but also the use of a new (or at least unremarked) literary technique (parody).

Parody, however, for it to work at all, requires both imitation and variation, both proximity to and separation from the parodied text which it uses to produce an ironic difference between the two texts. Thus "one has to have a certain knowledge of the pre-text (even if it stems only from the parody itself) and to use it to perceive the alterations

of the parodied text in the parody."[5] Otherwise the parody fails as a parody. Furthermore, Andreas Böhn distinguishes between parody as genre and parody as technique. The latter is employed along with other literary modes and techniques to achieve an effect, such as might be found in more contemporary texts, for example the mainland writer Wang Shuo's (? ? , b. 1958) *Wan'rde jiushi xintiao* (« ? ? ? ? ? ? ? » , *Playing with Heartbeats*, 1989), the Taiwanese author Zhu Tianwen's (? ? ? , b. 1956) *Huangren shouji* (« ? ? ? ? » , *Notes of a Desolate Man*, 1994), and the Hong Kong author Xin Yuan's (? ?) *Kuangcheng luanma* (« ? ? ? ? » , *Crazy City, Wild Horse*, 1996). The former however, which he defines as "nearly identical repetition of the form of the pre-text with change to the content,"[6] seems to describe both "Butian" and "Shi Xiu" fairly well.

Before coming to the texts themselves, I would like to take a closer look at irony and especially its role as contrasting agent. Fredric Bogel has suggested that, "satire is not a response to a prior difference but an effort to *make* a difference, to create distance."[7] Bogel's point, since he does not clearly distinguish satire from parody or irony, is equally pertinent to our subject here. Irony, then, as it is used in satire or parody adds something extra to the topic at hand, generally in an attempt to exaggerate. Motives notwithstanding, the end result is that irony supplements a given scenario. *Supplement*, as Derrida reminds us, is an ambiguous word with two meanings: to supply something which is lacking and

[5] Andreas Böhn, "Parody and Quotation: A Case Study of E.T.A Hoffman's *Kater Murr*," *Parody: Dimensions and Perspectives*, ed. Beate Müller (Amsterdam ; Atlanta, GA: Rodopi, 1997): 48.
[6] Ibid. p. 52.
[7] Fredric V Bogel, "The Difference Satire Makes: Reading Swift's Poems," *Theorizing Satire: Essays in Literary Criticism*, eds. Brian A. Connery and Kirk Combe (New York: St. Martin's Press, 1995): 45.

to supply something additional.[8] We will see that "Shi Xiu," and "Butian" in fact do nothing more nor less than supplement the original on which they are based. And it is this extra something, which simultaneously fills a gap and is utterly superfluous, that marks the separation between the original and its parody, that differentiates, that makes them into two distinct, yet comparable, entities which when viewed in relation to each other (either directly or by implication) reveal value.

These stories, as I hope to show, could not have been written without such a technique of differentiation. This technique, furthermore, recalls another multivalent term which Derrida employs: *différance*. *Différance* means two things, to differ and to defer. It is that which enables thought, and yet is itself unthinkable. As Derrida himself says, "*Différance* is not only irreducible to any ontological or theological—ontotheological—reappropriation, but as the very opening of the space in which ontotheology—philosophy—produces its system and its history, it includes ontotheology, inscribing it and exceeding it without return."[9] This is because language and philosophy, to name only two, are systems based on mutual exclusion; one word in a language or one philosophical term means exactly what no other word or term in that language or philosophy means.

> Thus one could reconsider all the pairs of opposites on which philosophy is constructed and on which our discourse lives, not in order to see opposition erase itself but to see what indicates that each of the terms must appear as the *différance* of the other, as the other different and deferred in the economy of the same … And on the basis of this unfolding of the same as *différance*, we see announced the sameness of *différance* and repetition in the eternal return.[10]

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[8] Jacques Derrida, "Structure, Sign and Play in the Discourse of the Human Sciences," trans. Alan Bass, *Critical Theory since 1965*, eds. Hazard Adams and Leroy Searle (Tallahassee: Florida State University Press, 1986): 91. The resonance between *supplement*'s dual meaning and parody's dual action is, I think, not accidental.

[9] Jacques Derrida, "Différance," trans. Alan Bass, *Critical Theory since 1965*, eds. Hazard Adams and Leroy Searle (Tallahassee: Florida State University Press, 1986): 122.

[10] Ibid. p. 130.

Here is the rub; we are faced with the paradoxical conclusion that differentiation is (only) a deferred sameness. I would like to make one final note before turning to the texts themselves. Margaret Rose has called parody's action an "ambivalent renewal."[11] Admittedly, I have taken this phrase out of context, but I think that her description is suggestive and appropriate to what my readings will reveal about "Butian" and "Shi Xiu." I will return to this idea again below.

MENDING HEAVEN

Lu Xun, of course, was the writer who, with publication of "Kuangren riji" (? ? ? ? ? ? , 1918), first translated the iconoclasm and radical anti-traditionalism of *Xin qingnian* (« ? ? ? » , *New Youth*) into an artistically achieved short story. He continued this process in creative reworkings of the intellectual and cultural issues most important to the youth-centered New Culture or May Fourth Movement in the stories collected into *Nahan* (« ? ? » , *Outcry* or *Call to Arms*, 1923) and *Panghuang* (« ? ? » , *Hesitation* or *Wandering*, 1926). Early on Lu Xun had shown an understanding of the critical uses of parody. Most famously, the first chapter of "Ah Q zhengzhuan" (? ? Q ? ? ? , The True Story of Ah Q, 1921) serves up a brilliant parody (as technique in Böhn's terms) of traditional Chinese biographies.

However, after the publication of *Panghuang*, Lu Xun channeled his writing into various essay forms, all but giving up fiction altogether. In November and December, 1935, though, Lu Xun wrote four short stories, which he then collected together with four other stories (one written in 1934, the other three from his earlier period of fiction writing

[11] Rose, *Parody: Ancient, Modern, and Post-Modern* p. 25.

1922-1926) and published as *Gushi xinbian* (« ? ? ? ? » , *Old Tales Retold*) in January 1936, just months before his death.[12]

Gushi xinbian, as the title suggests, is a collection of updated versions of various legends and myths as well as stories about several of the most important early Chinese philosophers including Zhuangzi, Mozi, Laozi and Confucius. It has been difficult for many critics to place *Gushi xinbian* in Lu Xun's *oeuvre* because of the subject matter and because of the literary techniques Lu Xun employed in their narration, many of which do not fall in line with the mainstream May Fourth realist approach to literature.[13] In attempts to fit the collection in with other realist modes, most have categorized the stories as either historical fiction or political satire and highlighted aspects of the stories which support this position.[14] Neither of these classifications, though, is completely satisfactory, and more recently scholars have dropped them in favor of other more ad hoc terms.[15] In any case, very few seem to consider the book a success, with the possible exception of Marston Anderson who comes a long way in appreciating the complexities of the stories. Unlike these other critics, though, my analysis will focus on the intertextual relationship between "Butian" and the traditional sources for the story, with special emphasis on the supplement Lu Xun brings to the story.

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[12] See Qin Xianci, "Lu Xun nianbiao," *Lu Xun xiaoshuoji*, ed. Yang Ze (Taipei: Hongfan shudian, 1994): 489.

[13] As just one example, Leo Lee discusses the collection in his biographical and introductory section (called "Genesis of a Writer"), before moving on to the meatier matter of analyzing the bulk of Lu Xun's creative output (this section is called "Creative Writings") in his study of Lu Xun, Leo Ou-fan Lee, *Voices from the Iron House : A Study of Lu Xun* (Bloomington: Indiana University Press, 1987): 32-37.

[14] Respective examples include Wu Ying and Li Sangwu; see their studies in Meng Guanglai and Han Rixin, *Gushi xinbian yanjiu ziliao*, Di 1 ban. ed. (Jinan: Shandong wenyi chubanshe: Shandong sheng xinhua shudian faxing, 1984): 191-207, 208-219.

[15] See, for example, Marston Anderson, "Lu Xun's Facetious Muse: The Creative Imperative in Modern Chinese Fiction," *From May Fourth to June Fourth: Fiction and Film in Twentieth-Century China*, eds. Ellen Widmer and David Te-wei Wang (Cambridge, Mass.: Harvard University Press, 1993) and Liu Yukai, ""Youhua" de dingwei: Lu Xun *Gushi xinbian* yishu xinlun," *Social Science Front* 4 (1998).

The general opinion of the book's failure, in no small part, can be traced back to Lu Xun, himself, who in the preface to the collection bemoaned his frequent resort to facetiousness (? ? , *youhua*).[16] Marston Anderson directly links this facetiousness to Lu Xun's use of anachrony which "shock[s] the reader into recognizing both the deep penetration of the past into the present and the modern world's perpetual reinterpretation of the past in the light of its own concerns."[17] This mutual connection between past and present is, of course, a major concern of this dissertation. Although I will not treat anachrony as such since Anderson has already done so so well, it is certainly true that the irony (facetiousness) established in the repetition and differentiation of anachrony is a major component enabling this parody.

The first story in *Gushi xinbian*, "Butian," was also the first one written. It was finished in 1922 and included in the first edition of *Nahan* under the title "Buzhoushan" (? ? ? ? ? , The Broken Mount). However, because that story was singled out for praise by the Creation Society critic Cheng Fangwu, while the other stories in the collection were disparaged, Lu Xun removed it from all later editions of *Nahan*.[18] "Butian" tells the story of Nü Wa (? ?), the mythical creator of mankind as well as the one who repaired heaven with multi-colored stones when its supports were destroyed. The *locus classicus* for the Nü Wa story appears to be in chapter 6 (? ? ? , *Lanmingxun*) of the Han era *Huainanzi* (? ? ?). The relevant passage tells how Nü Wa repaired heaven after it split by fusing stones of the five colors and using the feet of a giant turtle as pillars to support heaven. For the story of how she created humans, the earliest source

[16] Lu Xun, "*Gushi xinbian* xuyan," *Lu Xun quanji*, Di 1 ban. ed., vol. 2 (Beijing: Renmin wenxue chubanshe, 1981): 341.
[17] Anderson, "Lu Xun's Facetious Muse: The Creative Imperative in Modern Chinese Fiction," p. 260.
[18] See Lu Xun, "*Gushi xinbian* xuyan."

is the *Fengsu tongyi* (? ? ? ?). Here, Nü Wa is said to have molded men from yellow earth.[19]

Lu Xun takes these fragmentary episodes and combines them into one narrative (reminiscent of Nü Wa's fusing of the heavens into one piece). In the first section of Lu Xun's retelling, Nü Wa simply "wakes suddenly" in a, one assumes, newly formed world. She feels "a lack, but also a surfeit of some kind,"[20] which leads her to form men out of the mud almost without intending to do so. As soon as they are created, though, the humans become alienated from their creator and begin to speak in a language Nü Wa finds unintelligible. In the second section, which makes up the bulk of the story, humans wage war upon one another, the fierceness of which punches a hole through heaven. Nü Wa, feeling responsible for her creations' actions, fills the crack in heaven with stones of many colors which she then fuses to heaven with fire from Mount Kunlun. After this she dies from exhaustion. In the third and final section, Nü Wa's story is passed on and warped in the memory of her creations, men.

The irony (facetiousness) of Lu Xun's version is expressed in many ways, but the most prominent is certainly in the juxtaposition of different registers of language, especially in conversations between Nü Wa and men. The following is one representative example.

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[19] See Andrew Plaks' thorough tracing of the Nü Wa myth in Andrew H. Plaks, *Archetype and allegory in the Dream of the red chamber* (Princeton, N.J.: Princeton University Press, 1976): 27-42. Also see Liu An, Huainanzi, Chinese Ancient Texts Centre, Available: http://www.chant.org/scripts/zj/scripts/frame.asp?t=b&id=000932, August 7 2004 and Ying Shao, Fengsu tongyi, Chinese Ancient Texts Centre, Available: http://www.chant.org/scripts/zj/scripts/frame.asp?t=b&id=000934, August 7 2004.

[20] Lu Xun, "Butian," *Lu Xun quanji*, Di 1 ban. ed., vol. 2 (Beijing: Renmin wenxue chubanshe, 1981): 345. Translations, unless otherwise noted are my own, but compare Lu Xun, *Old Tales Retold*, trans. Yang Xianyi and Gladys Yang, Di 1 ban. ed. (Beijing: Waiwen chubanshe, 2000). All further references will be given in parentheses in the body of the chapter.

> She glimpsed one of them staring at her stupidly with white eyes; it was mostly wrapped in strips of iron and it wore an expression of seeming hopelessness and fear.
>
> "What's going on?" she casually asked.
>
> "Alas, Heaven has collapsed and brought ruin," it said miserably and pitifully. "Duan Xiang was without virtue and rebelled against my lord [Kang Hui]. My lord personally saw to his righteous suppression and [they] battled in the wilderness. But Heaven does not support the virtuous, and verily my master fled …"
>
> "What?" She was very surprised because she had never heard anything like this before (349).

Nü Wa then turns to another human to see if she can get a clear answer, but is again disappointed by the following response:

> "No longer are the hearts of men like the ancients. Kang Hui verily had the heart of a swine, and held the heavenly throne through villainy. My lord [Duan Xiang] personally saw to his righteous suppression and [they] battled in the wilderness. Forsooth, Heaven supports the virtuous. My master's martial prowess is without equal and he put Kang Hui to the sword at Broken Mount" (350)

Unfortunately, my translations can only approximate the absurdities of these exchanges. Nü Wa's speech and the descriptions given in the narrative (which we take as Nü Wa's perceptions for the most part) are consistently given in a lucid modern vernacular (? ? , *baihua*); whereas, the dialogue of the humans she creates is, if not pure gibberish such as "Nga! Nga!" and "Akon, Agon!" (346, in Roman letters in the original) are delivered in tortured classical Chinese (? ? , *wenyan*) made even more difficult by the use of archaic and seldom used expressions.

To further exacerbate the difference marked here by linguistic register, we see that, in contrast to Nü Wa who to the best of her ability consistently (in her modern, realist vernacular) speaks what she truly wants to say and perceives and describes things as they truly appear to her, her human interlocutors mostly dissemble and rationalize. The examples above demonstrate this fact, both in the differing spins the two warring factions

put on the same events, but also most explicitly when using the exact same words, as in "My lord personally saw to his righteous suppression and [they] battled in the wilderness" (? ? ? ? ? ? , ? ? ?). Or the following phrase which is the same except the negative in one is changed to an affirmative in the other "But Heaven does not support the virtuous" and "Forsooth, Heaven supports the virtuous" (? ? ? ? and ? ? ? ?). The duplicity of the uses to which humans put language is here made explicit.

Clearly, we the readers are meant to identify with Nü Wa (and Lu Xun) and shake our head in disgust if not actually despise the buffoonery of these men and their self-righteousness. And this conclusion is no surprise when we remember that this story was first penned in 1922 when Lu Xun was at the height of his anti-traditional short story writing career. Nevertheless, a second consideration reveals that the process whereby Lu Xun created this story, taking the several episodes from traditional sources and changing emphases or details while leaving enough so that it is recognizable as the same story—that is to say, parody—and all of this for political/polemical reasons, nicely mirrors the tasks the self-righteous buffoons set for their answers to perform on their behalf. In other words, the parody of the Nü Wa myth as performed by Lu Xun, is but one spin on the story. Admittedly, this spin is one that levels a devastating critique against Chinese society, which here is held responsible for the destruction of heaven, and in the final section of the story is shown to be incapable of understanding Nü Wa's sacrifice on their behalf, instead indulging in superstitions as well as continuing their warlike ways. Nevertheless, Lu Xun's parody, by repeating the ancient story for different purposes, proves to be as equally self serving as the apologists for war had been.

Let us return for a moment to the beginning of the story where Nü Wa is said to feel "a lack, but also a surfeit of some kind." This, of course, is exactly the definition of *supplement* as we have been using it. And this supplement, a need for something more, created with the extra, leads to the creation of humans. The creative act is described in highly sexualized terms (note the Freudian influence) as in the passage below.

> "Ai, Ai. I've never been so bored before," she thought. Abruptly, she stood up, raised her arms which were full and round and brimming with vitality, and stretched and yawned towards heaven. Thereupon, heaven suddenly lost its color and took on a miraculous flesh red. For a moment, she could not tell where she was.
>
> She walked to the seaside under this flesh red sky. The lines and curves of her entire body dissolved in a rosy sea. It was only at her midriff that the water coalesced into a pure white. The waves marvelously undulated in rhythm, sprinkling her body. The pure white shadow fluttered in the water, as if scattering in all directions. But she herself did not notice; instead, unconsciously she knelt on one leg, reached out her hands, grasped the soft earth still dripping water, and rolled it about several times. Then there was a little something not unlike herself in her two hands (345-346).

Marston Anderson is right to note that the addition of Freudian theory marks Nü Wa as foreign: "Not wishing to bestow further prestige on a tradition he condemned as 'cannibalistic,' Lu Xun seems intent on reinventing traditional images as he borrows them."[21] Nevertheless, the dual action of parody, which allows Lu Xun to point to the foreign and its representative in the story, Nü Wa, as an alternative to Chinese civilization, simultaneously points back to Chinese civilization itself. That is, the story cannot represent a complete escape, at best it is partial for the old bottle of our metaphor cannot be done away with without destroying its contents. Thus, as in our examination of the linguistic irony performed in the story, we see again the ambiguous renewal of the original in its différance from the modern parody.

[21] Anderson, "Lu Xun's Facetious Muse: The Creative Imperative in Modern Chinese Fiction," p. 261.

SHI XIU

"Shi Xiu" was first published in the February, 1931 number of *Short Story Monthly* and then collected with three other stories of the historical fiction genre in *Jiangjun di tou* (« ? ? ? ? » , *The General's Head*, 1932).[22] In the early thirties, Shi Zhecun was still at the beginning of his most productive period. In the ten or so years prior to this point, Shi had published three volumes of fiction (the first at his own expense), which in retrospect Shi himself called juvenilia and imitative. *Shangyuandeng* (« ? ? ? » , *Festival Lantern*, 1929), by his own reckoning, marks the beginning of Shi Zhecun's mature period which lasted only until 1937 and the Anti-Japanese war. The disruptions of war and the new political dictates of communist China created an environment hostile to Shi's writing, and so he turned to scholarship (Shi Zhecun is a renowned scholar of Tang poetry).[23] In the years just before and after the publication of "Shi Xiu," though, Shi was editor of several literary magazines culminating in his editorship of *Xiandai* (« ? ? » , *Les Contemporains*, 1932-1935). Also at the same time, Shi, along with friends and colleagues such as Liu Na'ou (? ? ? , 1900-1939), Mu Shiying (? ? ? , 1912-1940), and Dai Wangshu (? ? ? , 1905-1950), was writing and translating more properly modernist fiction and poetry.[24] Thus, in this same period when Shi Zhecun was writing "Shi Xiu" and the other historical stories in *Jiangjun di tou*, he

[22] « ? ? ? ? » (*Short Story Monthly*) 22.2 (1931). See entries for February 10 and October 25, 1931 in Huang Dezhi and Xiao Xia, "Shi Zhecun nianbiao," *Journal of Huaiyin Teacher's College* 25.1 (2003): 28.
[23] See Shi Zhecun, "Yinyan," *Shinian chuangzuo ji*, Di 1 ban. ed. (Shanghai: Huadong shifan daxue chubanshe: Xinhua shudian Shanghai faxingsuo jingxiao, 1996).
[24] Shu-mei Shih, *The Lure of the Modern: Writing Modernism in Semicolonial China, 1917-1937*, Berkeley series in interdisciplinary studies of China ; 1 (Berkeley: University of California Press, 2001):241-253 and Leo Ou-fan Lee, *Shanghai Modern: The Flowering of a New Urban Culture in China, 1930-1945* (Cambridge, Mass.: Harvard University Press, 1999): 130-137.

was also writing his (perhaps) better known modernist stories such as “Modao” (? ? ? ? , Devil’s Way, 1931), “Zai Bali da xiyuan” (? ? ? ? ? ? ? ? , In the Paris Theater, 1931), and “Meiyu zhixi” (? ? ? ? ? ? , One Rainy Evening, 1929).

As “Butian” was a retelling of the Nü Wa story, “Shi Xiu” is a retelling of an episode (chapters 43-45) of the classic Chinese novel *Shuihuzhuan* (« ? ? ? » , ca. fourteenth century). The basic plot elements shared by both “Shi Xiu” and its predecessor are that Shi Xiu and Yang Xiong meet, become sworn brothers, and Shi Xiu begins to work in Yang Xiong’s family butcher shop; Pan Qiaoyun has an affair with the Buddhist monk Pei Ruhai, which Shi Xiu discovers; after telling Yang Xiong of his wife’s betrayal, Shi Xiu devises a plan to catch the lovers with their pants down; although Shi Xiu had warned him not to say anything to Pan Qiaoyun, Yang Xiong begins to berate his wife for her treachery, she then claims that Shi Xiu fabricated the story of her adultery because she had refused his advances; Yang Xiong and Shi Xiu have a falling out, but Shi Xiu understands that Pan Qiaoyun is behind it all and so holds no grudge; Shi Xiu kills Pei Ruhai outside of Yang Xiong’s home early one morning as he was leaving an assignation with Pan Qiaoyun and takes his clothes as proof; with this evidence, he and Yang Xiong are reconciled; Yang Xiong takes Pan Qiaoyun and Yinger (her maid who aided and abetted the affair) to Cuibingshan, a deserted mountain, and with Shi Xiu’s help exacts a brutal revenge for his damaged honor; the two then run off to join the group of bandits at Liangshanbo.

Shi Zhecun’s version of the story makes two significant changes to the narration: first it limits the point of view to Shi Xiu himself, and second it adds the suggestion of romantic love between Shi Xiu and Pan Qiaoyun. Traditional Chinese narrative

techniques tend to omniscient modes that yet seldom venture into individual character's minds. By focusing on Shi Xiu, Shi Zhecun in one way limits his story (especially as concerns Yang Xiong) but in another opens up a whole new facet to the story, that of Shi Xiu's inner thoughts and development. Not surprisingly, Freudian psychoanalysis can and does play a significant role in this inner development.[25] The conflict in Shi Xiu's heart between his duty to his sworn brother and the passion he conceives for his sworn brother's wife is the fuel that drives Shi Zhecun's story (and implicitly, Shi Zhecun would have us think, the original as well).

Shi Xiu, in this version then, encouraged by her, falls in love with Pan Qiaoyun, but represses his desire out of faith to Yang Xiong. As Andrew Jones says, "On a pathological level, Shi Xiu clearly comes to suffer from what Freud terms 'obsessional neurosis.' Shi Xiu's neurosis, of course, is occasioned by his psychical conflict between adherence to the code of brotherhood (Freud's 'ego instincts') and his sexual desires, his libido."[26] Pan then, since her attempts to seduce Shi Xiu come to nought, commences an affair with Pei Ruhai, the monk. Shi Xiu, whose passion, although frustrated, nonetheless burns as fiercely as ever, translates his sexual desire into a sadistic desire for women's blood: "…thus the pleasure of sleeping with a woman, in Shi Xiu's mind, absolutely could not compare with killing a woman."[27] In the end, Shi Xiu comes to fulfill both his duty to Yang and his lust for Pan through this act of sublimation.

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[25] In "Butian" Lu Xun had also limited the perspective to Nü Wa herself, except for the final section after her death. This access to the characters' interiority enables the supplement of Freudian psychology to the stories.

[26] Andrew Jones, "The Violence of the Text: Reading Yu Hua and Shi Zhicun," *Positions* 2.3 (1994): 579.

[27] Shi Zhecun, "Shi Xiu," *Shinian chuangzuo ji*, Di 1 ban. ed. (Shanghai: Huadong shifan daxue chubanshe: Xinhua shudian Shanghai faxingsuo jingxiao, 1996): 203 and Shi Zhecun, "Shi Xiu," *Shanghai de hubuwu: xinganjuepai xiaoshuo xuan*, ed. Leo Ou-fan Lee, Chu ban ed. (Taibei Shi: Yunchen wenhua shiye gufen youxian gongsi, 2001): 93. All further references will be given in parentheses in the body of the chapter, the first number will refer to the Shanghai edition and the second to the Taipei edition.

We would be remiss, however, if we did not examine the history of Shi Xiu's passion and its transformation into sadism. "Shi Xiu" begins almost a quarter of the way into the story (measuring by *Shuihuzhuan*, chapter 44) with a long monologue of Shi Xiu's thoughts on his first night living in Yang Xiong's home. His thoughts range from Shi Xiu's chance encounter with Yang Xiong, and refer to the bully who was harassing Yang Xiong and whom Shi Xiu drives off as well as to Shi Xiu's equally chance encounter with two of the Liangshan bandits who invite him to join them in their hideout. To the reader unfamiliar with the original, these brief references to Liangshanbo hardly register at all, but they are crucial because they are the first links establishing a parodic relationship between the two texts. From here Shi Xiu's musings progress to his introduction to Pan Qiaoyun and the source of his disquiet (he hardly sleeps at all), his desire for her which is already consciously present in Shi Xiu's mind. Shi Xiu ends his deliberations with a determination to "self control" for "Is it depraved to conceive a foolish love for a woman after just seeing her? Of course not. Yet it definitely is depraved to fall for my sworn brother's beautiful wife. This is because she already belongs to my sworn brother, is his possession, and to be his sworn brother means there is no hope for me" (177, 66).

It is worth noting that this first section, with the exception of a few phrases drawn from *Shuihuzhuan* and one or two lines of quoted (here in Shi Xiu's memory) dialogue which are lifted directly from the original, is entirely Shi Zhecun's addition to the story and is written in what Andrew Jones, following Dorrit Cohn, labels "psycho-narration": "the narrator's discourse about a character's consciousness."[28] A notable exception is the

[28] Jones, "The Violence of the Text: Reading Yu Hua and Shi Zhicun," p. 577.

opening phrase, *queshuo* (? ?), which translates to something like "as we were saying…." *Queshuo* is a standard opening in traditional Chinese narrative and in "Shi Xiu" immediately throws us the readers into the vein of traditional narrative style, even as Shi Zhecun immediately drops this style in favor of the modern psycho-narration. Thus we can already see the parodic relationship developing between these two texts for the connections between the texts are established, and at the same time distinct differences are immediately erected. That is, Shi Zhecun is adding exactly what the original in *Shuihuzhuan* lacks, a modern style as well as Shi Xiu's thoughts, fears, motivations and above all desires.

"Shi Xiu" then tells of the following morning, before he is employed in the butcher shop. This again is not found in the original in which Shi Xiu and Pan Gong, Yang Xiong's father-in-law, set the shop up directly. As soon as she hears him stirring, Yinger, the maid, comes into Shi Xiu's room to tidy up. Shi Xiu finds Yinger to be also extremely attractive and thinks, as the narrator relays to us

> Shi Xiu's consciousness was very clear, since he had already thought seriously about Pan Qiaoyun and made up his mind, then of course just the same he could not have any absurd hopes for Pan Qiaoyun's maid, because this also was disrespectful (? ? , *buyi*) to Yang Xiong. However, if we were to ask what kind of thoughts were in Shi Xiu's head at that moment, it couldn't be simpler to explain. To say that Shi Xiu, in the moment when he saw this beautiful maid's face, was dazzled is not as precise as to say he was terrified. Although he knew that Pan Qiaoyun was Pan Qiaoyun, and the maid was the maid, clearly two distinct people, with differences both in face and figure, Shi Xiu, still dimly felt that this maid was Pan Qiaoyun herself. Pan Qiaoyun was this maid, this maid was Pan Qiaoyun. No matter if she was this maid or if she was Pan Qiaoyun, in Shi Xiu's warped vision, she was equally seen as a venomous and terrifying element. Usually, people who quote sayings like "as poisonous as a woman's heart" are men who have already suffered disaster at a woman's hand, but Shi Xiu had hardly ever had any contact with women before and could not have formed an evil opinion of women. Can we say, though, that Shi Xiu saw the villainy in Pan Qiaoyun and this maid's faces? Of course

> not. The Pan Qiaoyun and maid that Shi Xiu saw are the same Pan Qiaoyun and maid that we see: two attractive women separated in age by eleven years the likes of which are not easy to find in Suzhou. Then how do I explain describing it thus, saying that Shi Xiu was terrified? We should look for the explanation in the two women's beauty. *It seems that Shi Xiu, in that moment, felt that all beauty was a terrifying steel blade flashing like snow, cold light piercing his eyes, this was beautiful, killing a man, blood splashing all around, this was beautiful, but at the same time also terrifying* (178-179, 68-69, emphasis added).

I have quoted at length here to illustrate both Shi Zhecun's use of and indeed reliance on "psycho-narration" as well as the first step that Shi Xiu takes in his transition from embarrassed young man to sadistic killer by describing beauty in terms of violence and blood. Intense repression of desires such as that described here, as any lay psychologist could tell you, will find release in some form or another. This early association of beauty and desire with violence and blood only increases the likelihood that this release will take a violent form.

One final note on this passage, besides showing the beginning of Shi Xiu's psychological evolution, it also explicitly states the *différance*, the sameness and difference, between Yinger and Pan Qiaoyun. In so doing, it also implicitly differentiates between Shi Xiu and the women. Women are that which supplements men, to be desired for the extra-male aspects they possess and to be feared for the implied lack in men that they fill. Feminists have long argued that "female nature [is] violently repressed and compromised by patriarchal and misogynistic societies that have prevented a woman from fully knowing herself, other women and womankind."[29] Discourses such as Freudian psychoanalysis which defines a woman by the fact that she "lacks" a penis, that is in terms of men, constitute this patriarchal and misogynistic society. The difference

[29] Maureen O'Harra, "Constructing Emancipatory Realities," *The Fontana Post-Modernism Reader*, ed. Walter Truett Anderson (London: Fontana Press, 1995): 148.

between men and women is then extrapolated to create a whole system of differences, or as Julia Kristeva says

> castration is, in sum, the imaginary construction of a radical operation which constitutes the symbolic field and all beings inscribed therein. This operation constitutes signs and syntax; that is, language, as a *separation* from a presumed state of nature, of pleasure fused with nature so that the introduction of an articulated network of differences, which refers to objects henceforth and only in this way separated from a subject, may constitute *meaning*.[30]

Women, of course, are the "casualties" of such a language; it is they who are made into different things into other creatures and assigned meaning through this difference.

Shi Xiu, in the passage above, performs just such an operation of differentiation. The logic expressed here is that the beauty of Pan Qiaoyun and of Yinger is so different from that of a man (that is that with which Shi Xiu could be expected to be familiar) that it is exotic and enticing, but at the same time, dangerous, like a mesmerizing cobra. Furthermore this beauty is generalized to the beauty of all women: "No matter if she was this maid or if she was Pan Qiaoyun, in Shi Xiu's warped vision, she was equally seen as a venomous and terrifying element." The story, here and elsewhere, continues to unquestioningly engage this language of difference, for as we have seen, parody cannot exist without such separation. This is only the first example of symmetry between the story's misogyny and its parodic activities. Here in the early portions, the misogyny of the text is only implied, but by the end it becomes extremely violent and explicit.

Returning to the text, Yang Xiong, before he goes to work, directs his wife to give Shi Xiu a change of clothes (this fact is also found in the original). When she does, the two meet and have a conversation (which is not in the original). The result of this

[30] Julia Kristeva, "Women's Time," *Critical Theory since 1965*, eds. Hazard Adams and Leroy Searle (Tallahassee: Florida State University Press, 1986): 477.

conversation is to show us the readers that Pan Qiaoyun is flirting quite strongly with Shi Xiu as well as the fact that as far as women are concerned, Shi Xiu is all thumbs. The text reminds us frequently that heretofore, Shi Xiu had had no contact with women. And it shows. He does not know what is proper to say to women nor does he know how to act around women. At the end of this section, Pan asks him if he is married or not, and blushing and with shame in his eyes he answers no. This, of course, only furthers Shi Xiu's sense of threat from (and secret desire for) Pan Qiaoyun and women in general.

In the third section, Shi Xiu discovers that Pan Qiaoyun used to be a prostitute (while the original states that Pan had been married twice, there is no mention that she was a prostitute), and armed with this information he eventually works himself up to attempt a romantic encounter with Pan. Initially he meets with success, since Pan insists on continuing her leg massage (given by Yinger) which exposes some leg for him to see after Shi Xiu comes into the room. But in the end he is wracked by guilt and leaves abruptly, followed by the women's laughter.

In the fourth section, Pan Qiaoyun begins her affair with Pei Ruhai, the monk,, which attracts Shi Xiu's attention. He is ashamed that she would have an affair with a monk rather than a young, strong man like himself, ashamed for his sworn brother's cuckoldry (of course without admitting his own—potential—role as adulterer). To ease his broken heart, but also in the hopes that Pan Qiaoyun will find out and be jealous, Shi Xiu goes to a brothel for the first time in his life. There, while peeling a plum, his chosen prostitute cuts her finger:

> On that white, fine, bright and clean skin flowed a thread of beautiful and delicate scarlet blood. The wound was on her left index finger, and the crimson ribbon slowly trickled until it extended about half an inch. As it passed over the fingernail, it was like a transparent ruby, or a shooting star

> in the summer racing through the sky and then gone. It flashed in the dim lamp's light and dropped to the floor in the table's shadow (195, 85).

Shi Xiu is transfixed by the sight of her bleeding hand, and indeed it is the turning point of the story. Here we see the final step that Shi Xiu takes in his psychological evolution. And just as in the earlier passage quoted above, beauty is again equated with violence and blood, only this time instead of describing beauty in terms of blood, blood is described with these beautiful and fabulous metaphors of a crimson ribbon, a ruby and a shooting star.

That this moment is the turning point in Shi Xiu's career manifests itself in several ways, one of which is Shi Xiu himself. Not only does the night in the brothel mark the beginning of Shi Xiu's fixation on blood, and especially women's blood, but it also marks the end of his awkwardness and indecision and the beginning of a new, self-confident, and sure Shi Xiu. Certainly it is no accident that this change comes at the moment of sexual initiation. Indeed, in this sense, spilled blood marking the loss of virginity (despite the fact that we are talking about Shi Xiu's virginity and not the prostitute's) effectively tags the later scenes of blood as sexual encounters. Moreover, this change in Shi Xiu's character is clearly reflected in the language used to describe Shi Xiu. Over and over the word *dai* (? , dull, stupid) and others of similar import are used to describe Shi Xiu (for example ? ? , *daizuo*, to sit staring into space), or alternatively in conversation with Pan Qiaoyun, the phrase *dabushanglai* (? ? ? ? , unable to answer, speechless) or some variation is used. After the night in the brothel these linguistic markers attach themselves to Yang Xiong and not Shi Xiu, a point which I will take up again below.

One other important way in which the brothel scene marks a clear division in the story is that in the first four sections, Shi Zhecun makes only the slimmest of references to the original text, instead adding his own modern and Freudian take on the story. On the other hand, the fifth and final section of the story, which is also the longest, in which Shi Xiu gets concrete proof of the affair and orchestrates the final denouement on Cuibingshan, follows the original text so closely that perhaps as much as half of the section is quoted directly from *Shuihuzhuan*. This quoted material, moreover, is primarily dialogue, though not exclusively so. Indeed, the closer to the end the story gets the more of this quoted material finds it way into the story, until by the last several pages (205-211, 95-102) the spoken dialogue is, almost in its entirety, taken directly from *Shuihuzhuan*, the few exceptions to this being a word or short phrase added (and in a few cases, deleted) to make these sentences slightly clearer to a modern reader. The dialogue, then, is divided by sections of "psycho-narration" which describes Shi Xiu's reaction to the action and dialogue of the text. For example, there is the scene in which Shi Xiu and Yang Xiong are reconciled and plan how to deal with Pan Qiaoyun.

> *"Brother please take no offense, tonight I will destroy this wretch* [Pan Qiaoyun] *and ease my aching heart."*
> Shi Xiu had a hearty laugh to himself that there was such a rash person in the world, simply crying out for me to manage the situation. He laughed to himself for a moment, and when he had decided what to say said,
> *"Elder Brother, if you do as I say, I'll make a man out of you."*
> Gullibly, Yang Xiong said,
> *"Brother, how will you teach me to be a man?"*… (205, 96, italics indicate quotations from *Shuihuzhuan*).

I believe that such deliberate and sustained quotation from the original on which "Shi Xiu" is based can only be understood as a statement Shi Zhecun makes that he as author of "Shi Xiu" is simply fleshing out the original story. In other words, the motivations, the

emotional states he describes in his story are already present in *Shuihuzhuan*; all it takes to see it there is to read between the lines as Shi Zhecun has done. I agree with Andrew Jones that

> The forced insertion of Freudian psychoanalytic theory into a vernacular text also serves as an act of pointed cultural and literary critique. The central operative principle of *Outlaws of the Marsh* [*Shuihuzhuan*] is the strict code of brotherhood [? , *yi*] to which each of the outlaws must adhere, under penalty of death. … If *yi* is the primal (and distinctly patriarchal) *totem* of the bandit community at Liangshan, sexuality is its attendant *taboo*. As is made abundantly clear by the culmination of the original "Shi Xiu" episode, the Liangshan brotherhood is founded upon the violent repression and sublimation of heterosexual desire. This interpretation is reinforced by the fact that it is only after the brutal removal of the threat posed by Pan Qiaoyun that Shi Xiu and Yang Xiong take up residence at Liangshan. The insight becomes even more striking when we realize that this kind of violence against women is by no means isolated to this particular episode within the text as a whole.[31]

Furthermore, this point can only be felt all the more forcefully by the reader who reads the two texts together and realizes just how much of it is already there in the original. That is, when the story becomes violent, our attention is drawn to the fact that this is the original (or if you will, the *real*) story, that this is what the story has displayed from the very beginning. The rest is simply signage pointing the way, clues left for the reader to come to a clear and true understanding of what has been there all along: Chinese culture, as exemplified by the classic novel *Shuihuzhuan*, is depraved, brutal and above all sick.

It will be said, of course, that after all there really isn't anything out of the ordinary here, that this kind of critique of Chinese culture was standard fare for literature by the 1930s. In fact cultural criticism of this sort had begun several decades before and had led to a debate in which to be progressive meant to be Western in all things and

[31] Jones, "The Violence of the Text: Reading Yu Hua and Shi Zhicun," p. 580. The last statement in this passage leads to the extremely interesting, though ultimately unanswerable, question: why did Shi Zhecun choose to parody this episode from *Shuihuzhuan* and not the much more famous episode of Wu Song (? ?) which follows more or less the same story of adultery and revenge?

which brooked not even the slightest defense of traditional Chinese culture.[32] However Shi Zhecun, as Andrew Jones reminds us, by inserting the new wine of modern, Western, Freudian analysis into *Shuihuzhuan*'s old bottle in order to diagnose and expel the demons of tradition "unwittingly recapitulates the violence of China's encounter with the modern West."[33] Indeed, Andrew Jones' analysis of the violence in "Shi Xiu" nicely reveals several interrelated and yet distinct levels of violence inherent in the text and also in the reader's reception of the text. However his analysis fails, in my opinion, to fully emphasize the gendered nature of that violence.

I have already touched on this above, but here I would like to focus on the violence in "Shi Xiu" especially as it relates to gender. Although it seems to infuse the entire story, actually there is no violence (physical at least) in "Shi Xiu" until the final section. Immediately following the brothel scene, however, Shi Xiu begins to fantasize about how he would handle Pan Qiaoyun, always, of course rationalizing his actions as on Yang Xiong's behalf: "he and Yang Xiong, in the end, would not be able to bear this woman's sight. It serves her right. Although it was none of his business, yet for brother Yang Xiong to be betrayed by her hand. Ai! For a warrior, a hero to be less than a Buddhist monk in a woman's eye is shameful;" and "At that time, because I wanted to preserve Yang Xiong's good name, I didn't dare touch that woman. But she went ahead and destroyed Brother Yang Xiong's reputation on her own. This woman cannot be forgiven" (196 and 197, 86 and 87). Here, of course, we see threats of implied violence to Pan Qiaoyun because of damage she has caused to Yang Xiong and Shi Xiu's sexuality

[32] See Wang Xiaoming, "Yifen zazhi he yige "shetuan"—chongping wusi wenxue chuantong," *Piping kongjian de kaichuang: ershi shiji Zhongguo wenxue yanjiu*, ed. Wang Xiaoming, Di 1 ban ed. (Shanghai: Dongfang chuban zhongxin, 1998) and Theodore Huters, *Bringing the World Home: Appropriating the West in Late Qing and Early Republican China* (forthcoming) ch. 8.
[33] Jones, "The Violence of the Text: Reading Yu Hua and Shi Zhicun," p. 594.

(or more specifically control over her sexuality). That is, in the castration language of difference, Pan Qiaoyun has taken up the position of subject rather than object, both in actively flirting with Shi Xiu and in her affair with Pei Ruhai. It is this role reversal that frightens (and also entices) Shi Xiu and elicits his violent response.

When it comes time to actually engage in violence, the gender differences only broaden. Shi Xiu, of course, kills the monk, Pei Ruhai, and his assistant before he kills the two women. Although the text does say, "He had no idea the first time killing a man would be this easy, this straightforward" (201, 92) when Shi Xiu kills the assistant, the description of the man's death, beyond saying the man fell over without a sound, is rather bland and to the point. At the same time, although the description of Pei Ruhai's death is somewhat more lively than the earlier one, it is so only so far as Pei Ruhai is associated with Pan Qiaoyun:

> Shi Xiu suddenly felt a moment's desire. Not long ago, this was together with that beautiful Pan Qiaoyun's body, it was as if it was her own body, and Shi Xiu couldn't bear to *draw the blade at his bent knee* and strike down. But then he thought of Pan Qiaoyun's venom, how she was divided from his own and Yang Xiong's feelings … he also thought of her coldness towards him… (202, 92-93, again *italics* indicate material from *Shuihuzhuan*).

Then Shi Xiu stabs him three or four times and comes to the conclusion that "of everything in the world, killing people is absolutely the most pleasurable" (203, 93). But he immediately moves on to fantasies of killing Pan Qiaoyun, rationalized with statements such as "Because I love her, I want to kill her" and "the pleasure of sleeping with a woman, in Shi Xiu's mind, absolutely could not compare with killing a woman" (203, 93). Thus we see here that rhetorically the violence enacted on women (either imagined or by association) is clearly privileged over that of violence enacted on men

because it provides greater enjoyment for the perpetrator. And it is more pleasurable because of the sexual connotation spilled blood carries in this text. Moreover, when compared with the linguistic flourishes and vividness with which the murders of Yinger and Pan Qiaoyun are described, which will be discussed below, the gendered nature of this violence seems irrefutable.

As we progress towards the conclusion, the degree to which one feels this gendered separation of violence only increases. In the passage quoted above, in their planning stages Shi Xiu tells Yang Xiong that he will make a man of him (by showing Yang Xiong how to kill Pan Qiaoyun). As I mentioned earlier, the verbal marker *dai* among others at this point becomes associated with Yang Xiong. He becomes the one who does not know how to handle women whereas Shi Xiu, who "recently had come to understand a woman's heart/mind (? ? , *xinli*) very well" (199, 90) does know what to do and how. From this point on, although Yang Xiong is the one actually wielding the knife, Shi Xiu is clearly the puppet master directing his actions. From the devising of the plan to its carrying out Yang Xiong (the virgin) continually looks to Shi Xiu (as the one with experience, the one who understands the true situation and how to deal with it) for the next move, so much so in fact that Yang Xiong cannot even tell if they are finished or not without Shi Xiu's verification. In this way, then, we take it that Yang Xiong is initiated into the mysteries of the other sex.

Finally, on Cuibingshan, both Yinger and Pan Qiaoyun are made to confess in turn, and as I said above, although ostensibly their inquisitor is Yang Xiong, in truth he is Shi Xiu. After their confessions are torn from them (analogously, Andrew Jones reminds

us, to the way that Shi Xiu's consciousness is bared for us the readers by Shi Zhecun), Shi Xiu says,

> "*Today we have all explained the situation clearly. Now it is up to Brother to decide what to do.*" Shi Xiu chose his words carefully.
> Yang Xiong fell into a deep silence, finally he ground his teeth and said,
> "*Brother, take this wretch by the head for me and strip her. Then I will come and serve her myself.*"
> Shi Xiu had been hoping for just such an order and immediately stepped forward… (209, 100, again *italics* indicate language drawn from *Shuihuzhuan*).

Shi Zhecun then describes in detail how Shi Xiu strips her naked, first her hairpins and then her clothes which he is pointedly said to take off gently, lovingly. Then the same for Yinger, who is killed first. "It was just as Shi Xiu had imagined it would be, her brilliant white skin was covered with fresh, red blood, her arms and legs twitching on their own. Shi Xiu trembled slightly, and thereafter felt exceptionally at ease" (209-210, 101). It should not surprise us that Shi Xiu's reaction is thus described in terms that easily could also refer to orgasm since we have noted the link between sex and blood from the beginning. The description of Pan Qiaoyun's death too is described play-by-play, following the original in every detail: first her tongue is cut out, then she is disemboweled in words taken directly from *Shuihuzhuan*, and finally her breasts and her limbs are cut off.

Like Andrew Jones, I am wary of the reader's complicity in such violence, especially because of its gendered nature. In other words, Shi Zhecun's retelling of the story provides a psychological profile of Shi Xiu that offers a possible explanation of the motives behind his actions, that gives him the author and us the readers a "pleasure [derived] from our mastery of the text, from the reassuring

knowledge that we can know the truth of, and thus dominate, the world around us."[34] "Shi Xiu" as a case study, that is, allows an easy and reassuring knowledge and mastery of, a feeling of superiority over, the past/tradition, insanity, and most of all women.

The text tells us that "Shi Xiu recently had come to understand a woman's heart/mind (? ? , *xinli*) very well" (199, 90); "Shi Xiu reckoned he was thoroughly able to comprehend a woman's heart/mind (? ? , *xinli*)" (190, 79). Not surprisingly *xinli* is the same word used to translate the Western term *psychology* into Chinese. Our own understanding of Shi Xiu's psychology works on exactly the same premises as his understanding of a woman's psychology does. Furthermore, it is Shi Xiu's understanding of women that gives him mastery over their bodies and control of their sexuality, that gives him the power to script their death and dismemberment. I must mention again the standard feminist critiques of Freudian analysis which claim that Freud's "explanation" of women authorizes a certain—unwarranted—control over judgments about what constitutes "normal" or "abnormal" female sexuality; as Hélène Cixous says "beware, my friend, of the signifier that would take you back to the authority of a signified! Beware of diagnoses that would reduce your generative powers."[35]

In the exact same way, it is Shi Zhecun's understanding of the original text that gives him mastery of its body and the power to disembowel it before our eyes and for our pleasure, for the sense of control this scene gives us over this

[34] Ibid.: p. 589.
[35] Hélène Cixous, "The Laugh of the Medusa," *Critical Theory since 1965*, eds. Hazard Adams and Leroy Searle (Tallahassee: Florida State University Press, 1986): 319.

traditional novel (and all that it represents). It need hardly be said that this mastery and power derives from the parodic techniques of supplementing and differentiating the original. Thus the seamless splice in the final section of original text together with its parody reinforces and exaggerates the violence of the text. I suggest that, per Cixous' warning, we should question the motives behind such manipulation of *Shuihuzhuan*. In other words, it seems that in many ways, "Shi Xiu," rather than revealing any truth about its predecessor, tells us much more about the fears and hopes Shi Zhecun (and it probably is safe to generalize to contemporary intellectuals) had for his society vis-à-vis traditional Chinese society.

Indeed, it is the ironic separation of and at the same time connection between parody and parodied text, new wine and old bottle, that creates a value differential which in turn allows Shi Zhecun the power to dissect *Shuihuzhuan* the way he does. To be done effectively, "Shi Xiu" needs to walk that fine line between proximity and distance which is created by the weaving together of quotation from *Shuihuzhuan* and "psycho-narration." And it is the same process of ironic separation, in the sense of marking of contrast which Julia Kristeva called the language of castration, that allows Shi Xiu power over Pan Qiaoyun. Thus I hold that the symmetrical techniques of the authorial methods employed in revising the text of *Shuihuzhuan* and the misogyny Shi Xiu practices precludes any effective critique of that misogyny arising from within the text and indeed can only lead to a certain enjoyment of it as Andrew Jones has said. That is, the parody "Shi Xiu," while it seems clear Shi Zhecun intended it to be a song in opposition, became, through the very action of *différance* that enables it in the first place but returns in the end

to a sameness which is only deferred, a song of imitation. The diagnosis that Shi Xiu suffers from an obsessional neurosis can in no way be adduced from *Shuihuzhuan*, unless one *supplements* the reading with Freudian psychology. It would be a mistake, though it clearly is what Shi Zhecun would have us do, to believe that this supplement simply fills a hole left empty by the original. New wine, in the end, can't actually change the old bottle, the coloring may shift, but the bottle in itself is the same. That is, the potential for parody to provide new insights about the parodied text exists equally as much as its potential to distort it, and in fact, I would say parody usually does both. Ultimately, "Shi Xiu" airs what very well may be a valid critique of *Shuihuzhuan* but at the same time manages to recapitulate and give new voice to the brutality and above all to the misogyny that it wanted to expose.

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Title: I see your voice #@!
A Case Study of Multiple Intelligences in Two Typography Courses

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Abstract: Every individual has a unique combination of abilities, ways of knowing and communicating. Some people feel more comfortable learning and expressing concepts verbally; others may prefer musical, visual or kinesthetic means.

In the mid-80s, about the same time that Apple introduced a more personal style of computing (giving voice to the individual user), Howard Gardner, Hobbs Professor of Cognition and Education at Harvard, introduced his revolutionary theory of Multiple Intelligences. Gardner defines intelligence as "the biophysical potential to process information that can be activated in a cultural setting to solve problems or create products that are of value in a culture."

We develop and use various kinds of societal and personal symbol systems to communicate meaning. Alphabets, musical notation and body language, for example, communicate ideas in the form of informational messages. The syntax of the symbols contained in a message is an expression of their "voice," the process and product of a particular combination of an individual's intelligences. A transmitted message is interpreted by a viewer and given layers of meaning, based on the syntax and physical context of the message itself and the personal context of the individual receiving it.

Typographic designers are concerned with the syntax and semantics of visual symbols in a message – creating physical context in a process of bringing meaningful visual form to communication. By processing and activating visual information, the designer's voice (an independent combination of intelligences) adds value to our culture and the communication process, potentially clarifying the message and enhancing the viewers' understanding.

Communication devices or messages are rapidly evolving from static visual artifacts into dynamic multisensory experiences (interactive multimedia) that represent complex information on multiple layers, promoting multiple meanings in multicultural environments. Geographic maps and music notation are examples of applied symbol systems and visualizing information from another realm of intelligence – typography is a visual representation of our spoken language. As typographic designers improve their understanding of relationships between intelligences, they enhance their ability to articulate information with their own personal voice – creating messages with additional layers of meaning.

Frank Armstrong's Typography 1 course explores the visualization of sound and music by creating a typographic map of acoustic space – interpreting a musical voice. Students develop an awareness of musical and linguistic intelligences and an ability to activate information with their own personal voice.

Barbara Sudick's Typography 2 course further explores multiple intelligences (particularly kinesthetic and interpersonal intelligences) and the emotional and sensual qualities in a voice. Using theatre as a model, students examine the visual language of performance through gesture, personal and cultural context. They discover the expressive qualities of type (character, emotion and tone) and the structure of voice – the relationship between words and the senses.

Title: Code Switching in Contemporary Indonesian Novels

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Abstract:

This study examines the code switching (CS) to English in three contemporary Indonesian novels: *Saman, Larung* and *Supernova.* Data analysis using three frameworks (Gibbon's (1984) Setting and mode of interaction; Myer-Scotton's (1992) formal factors and Gumperz's (1984) functional factors) reveals that the instances of CS in the three novels follow the categories in the frameworks. In terms of literary critique, the instances of CS in the novels, following Keller's (1984) three functions of CS in literary works, show that CS is used, first, to stress the novel's theme or message, and the authors' ideology, – the values they hold such as being liberal (Utami and Lestari), pro-democracy and pro-activists (Utami) and pro-technology and science (Lestari). Secondly, CS is used for characterization to show how the characters in the novels would naturally and realistically speak in their everyday life. Thirdly, CS in the novels is used for stylistic reasons to describe the characters of the novels, make cross-cultural comparisons and suggest cultural identity mixing as well as the authors' efforts to describe the novel's setting and content as realistically as possible. Finally, another function that should be proposed is that CS functions as a reflection of authors' linguistic preference for certain lexicalized expressions to capture a concept or situation which is alien to Indonesian culture.

Title: Literary Elements in McBain's and Hillerman's Detective Fiction

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Abstract for 3rd Annual Hawaii International Conference
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Literary Elements in the Detective Fiction
of McBain and Hillerman

Catching and holding readers' attention is always a primary consideration of any instructor. Detective, mystery, or crime fiction furnishes the instructor with an inherent headstart in securing the focused concentration of readers because of the three distinct, major differences from canonical fiction: first, the principal concern is a crime puzzle; second, the work is developed according to traditional formulas of originators like Edgar Allan Poe and Sir Arthur Conan Doyle; and third, this fiction allows a special relationship among the reader, the writer, and the detective. While standard fiction most often occasions readers' emotional identification with the protagonist, mystery fiction not only impels reader identification but also reader participation. The reader engages in the actual ***modus operandi*** of solving the crime so that the reader's experience transcends the emotional to include intellectual, moral, ethical involvement as many crime novels approach Greek tragedy's catharsis.

At the heart of mystery fiction is the thesis that the universe is basically ethical and ordered; thus, whether the work analyzes several seemingly unconnected murders against the backdrop of an American city as in McBain's Ice or a murder perpetrated against the background of an American Indian reservation as in Tony Hillerman's The Dark Wind, the reader is permitted to share in the sleuth's ratiocination and in his colloquies with the individual(s) who is(are) a permutation of Doyle's Dr. Watson. The reader is actively engaged in the detecting: the reader must recognize and evaluate the genuine and false clues and distinguish among the many contradictory ***dicta*** to unravel the puzzle and to determine which among the often many seemingly possible solutions is the bona fide one.

Contemporary writers such as Ed McBain and Tony Hillerman have evolved the contemporary detective one stage further than earlier authors: their detectives' personalities and the artistry of the discourse accompanying their plots strengthens the bonds of the triangular relationship of writer, reader, detective initiated by Edgar

Allan Poe. This paper will discuss the evolution of the contemporary detective personality and the artistic discourse of McBain's Ice and Hillerman's The Dark Wind.

Catching and holding reader's attention is always a primary consideration of any author. Crime fiction furnishes the author with an inherent headstart in securing the focused concentration of the reader because of its three distinct differences from canonical fiction: first, the principal concern is a crime puzzle; second, the work is developed according to traditional formulas of originators like Edgar Allan Poe and Sir Arthur Conan Doyle; and third, this fiction develops a special relationship among the reader, the writer, and the detective. While standard fiction most often occasions readers' emotional identification with the protagonist, mystery fiction also impels reader participation. The reader engages in the actual modus operandi of solving the crime; thus the reader's experience transcends the emotional to include intellectual, moral, ethical involvement as many crime novels approach Greek tragedy's catharsis. At the heart of mystery fiction is the thesis that the universe is basically ethical and ordered; thus, whether the work analyzes a famous murder with an historical setting as in Tey's Daughter of Time or a murder perpetrated against the background of American Indian culture as in Hillerman's The Dark Wind, the reader shares in the sleuth's ratiocination and in his colloquies with the individual who is a permutation of Doyle's Dr. Watson. The reader actively engages in the detecting: attempting to recognize and evaluate the genuine and false clues, to distinguish among the many contradictory dicta to unravel the puzzle, and to determine which of the possible solutions is the bona fide one. The reader experiences the satisfaction of vicarious participation in the restoration of order.

The reader involvement generated by crime fiction encourages appreciation of the essential literary elements- characterization, theme, setting, plot- as well as literary techniques- imagery, irony, allusion, foreshadowing- that authors employ in creating a distinctive writing style. The novels Ice and The Dark Wind evidence the art of detective fiction and reveal its ability to attract and maintain reader interest

because of the respective detective's characterization, the use of imagery to enhance and unify plot elements and to highlight theme, and in the validation of the genre's uniquely pervasive feature: the presentation of the central question. This key query is universal; to what extent is the solving of a crime a metaphor for gaining understanding of the harrowing, enigmatic penchants for murder, brutality and violence which mar the human condition? This question imbues the triangular relationship of writer, detective, reader with a singular, sustaining interest. Detective fiction "… tends to create situations in which images of reality are in conflict or with that reality dictated by a killer whose particular madness is thrust upon the world. The resulting story provides a way of knowing or understanding or of achieving retribution"("Introduction," Dimensions of Detective Fiction 1,2). Seeking answers to this central question is a compelling reason for canonizing crime fiction: this literature attempts to answer a question posed since mankind's beginning; perhaps its most poignant expression is Othello's: "Will you, I pray, demand that demi-devil/Why he hath thus ensnared my soul and body?"(Bevington 5.2. 309,310). Detective fiction's writers also attempt to reveal the false bravado of Iago's response: "Demand me nothing. What you know, you know./From this time forth, I never will speak word."(5.2. 311-312). Since this fiction's primary focus is on expounding the nature of disorder or evil through discovering what occurred, plot is emphasized. "Narrotology is grounded on a fundamental discrimination between two discrete planes of narrative, usually labeled 'story' and 'discourse.' Story is the basic material of narrative, a series of actions or events, the 'what' of narrative, its content; discourse is the presentation of those actions and events; the 'how' of a narrative, its way of expression"(Hodgson 321). Detective fiction allows for clear, vivid distinction between story and discourse. It is the story of detective fiction, the searching out and reconstructing of events constituting plot and the concomitant puzzlement, interpreting, suspense, matching of wits among writer, detective, criminal and reader that initially draws audiences to this genre. Story generates the triangular gamesmanship and allows for the solution to the crime. Discourse makes possible another type of discovery: one or more insightful answers to Othello's query and Iago's inscrutability.

Ed McBain's police procedurals exemplify skillful treatment of story and discourse; the novel Ice, one in the 87th Precinct series, demonstrates expert creation of story and artful discourse. McBain, a writer in the tradition of Poe, Collins, Gaboriau and Doyle, depicts the mayhem and tragedy occurring in an unnamed megalopolis, a realistic composite of several American cities. Within one snowy, ice-filled week in February, Detective Steve Carella and his partner Meyer Meyer, in concert with other detectives piece together events that relate three murders which initially seem to have no connection but the same weapon. In addition to this main storyline, there are engrossing, minor storylines in Ice.

Carella, like his forebears- Dupin, Sergeant Cuff, Holmes- employs ratiocination, discovers and separates false from genuine clues, holds "skull sessions" with his partner and other colleagues, attends reviews with Lt. Pete Byrnes. These various meetings wherein clues and strategy are analyzed replace the periodic and final explanations earlier detective figures like Dupin shared with less cerebral partners. These sessions keep the reader- writer- detective association alive. Carella also exhibits the dogged pertinacity of Lecoq and the resourceful intuitiveness of G.K. Chesterton's Father Brown. Like his predecessors, Carella is not an extremely round character, but he is sufficiently three dimensional to engage the reader's belief, interest and respect: he lies awake worrying not only about the insufficient manpower in a case with 114 suspects but also about his seriously depressed former partner; he is too honest to accept complementary tickets to a hit musical; he is a responsible father and a loving spouse to his deaf and mute wife; he rages at the frigid winter weather; and he berates himself for not buying his wife's Valentine gift before being given a seemingly insoluble case on February 13th. Carella is a man of integrity who sees himself and his colleagues as constantly engaged in combating evil. To Carella, "… a police department is like a small army, and a homicide is like a big battle in a continuing war"(Ice 33).

This mindset is kept in the forefront of the reader's consciousness by McBain's power as a wordsmith: his omniscient narration, his imagery, and his realistic characterizations. The ubiquitous nature of crime and its effects are conveyed by McBain's use of ice and snow as a dominant image pattern

throughout the novel: "The snow, and the sleet, and the freezing rain, and the ice just kept coming … till you were ready to throw up your hands in surrender. But you hung in there somehow until the spring thaw came and everything seemed all right again- till *next* winter"(180). Despite this omnipresent struggle, Carella is neither bitter nor despairing; he can still celebrate Valentine's Day on February 14th and be mindful of the day's intrinsic meaning on the other 364 days in the year. Carella respects the basic humanity of even the snitch Danny Gimp; "He would shake hands with Danny Gimp even if the Commissioner were watching"(Ice 181). Carella, private individual and public official, is a hero; but a hero deprived of widespread recognition. This heroic stature entices reader interest, "Contemporary fictional detectives are surrogate heroes whose styles relate not only to the conventions of the genre, but perhaps more significantly to representative ways of perceiving reality through contrived deceptions"("Introduction" Dimensions of Detective Fiction 4).

McBain's title is a pun revealing the novel's principal story components: ice is street slang for murder; it is the slang name for diamonds; ice is an illegal but immensely profitable, common practice of reselling a theater's house tickets. Ice through its association with snow affords yet another meaning: cocaine; this drug's many names include snow, sleigh ride, flake, white lady. His title also introduces the novel's thematic statement concerning the ultimate effect of evil upon the criminal's humanity: transformation into a static, hard, cold being impervious to human suffering or death. Each of Ice's criminals- Anderson, Moore, Edelman, Brother Anthony, Emma Forbes, Carter- isolates him or herself from normal, ordered relationships and is increasingly consumed with self-aggrandizement while simultaneously is decreasingly unable to empathize with others; each becomes a personification of ice. McBain's interrelating of image, setting and characterization evokes Dante's Inferno and Cocytus, the last circle of Hell comprised of the frozen ice imprisoning humanity's arch traitors. McBain's criminals are traitorous to their own human nature and to their fellow man; they are like Dante's characters "… frigid, livid shades … stuck in ice"(XXXII. 34).

The first disordered character the reader encounters is dancer Sally Anderson of the hugely successful musical Fatback; Sally sells cocaine to fellow performers, conspires with producer Allan to realize huge monetary gain, ice, in reselling tickets; and she betrays and blackmails her lover, medical student Timothy Moore. McBain's omniscient narration opens the novel with Sally's murder and provides the first valid clue to the reader, not to the detective, that the murderer is masculine: "Her head was still ducked against the blinding snow; at first she only sensed his presence"(Ice 12). Synaesthetic imagery conveys the end result of Sally's treachery: "The girl lay wet and gray and red against the white snow"(12). A ballistics report establishes a significant clue concerning the slugs retrieved from the corpse of Lopez, a known drug dealer: "They match the ones that iced the girl"(29). This fact determines the 87th Precinct's jurisdiction; Carella is assigned to solve the double murder. He begins the investigation with an interrogation of Allan Carter. On the drive to Carter's luxury apartment, McBain's imagery and use of allusion heighten and intensify the physical and metaphysical function of the setting: "… the streets had not been plowed entirely clear of snow…. If the forecast for more snow tomorrow was accurate, the sanitmen were laboring somewhat like Hercules in the Augean stables…. The snow had hardened and was difficult to move"(74). The imagery continues suggesting Carter's characterization and foreshadowing his criminal involvement: "As the detectives approached Carter's building, a uniformed doorman was trying to break away the ice that formed in front of the doorway …."(74). The emotional and moral state of Carter's personal life is inferred by the view his livingroom provides: "The naked branches of the trees beyond were laden with snow"(75).

When Marvin Edelman, a diamond merchant, is murdered and discovered to be a victim of the same 38 caliber gun as Lopez and Anderson, McBain's imagery discloses the shared disordered nature of the three. Edelman's widow bemoans the fact that her husband was so obsessed with becoming a multimillionaire that he refused to accompany her on a week's vacation. The windows in the Edelman livingroom afford a view of the river below and a metaphorical insight into the loveless condition imposed

upon the Edelman's marriage by Marvin. "The sky beyond was intensely blue, the light less golden than it might have been in that it was partially reflected from the icebound water below"(169).

On the same Monday morning, February 15th, that is the day of Edelman's funeral, Judite Quadrado, Lopez's former lover is found murdered. After Lopez's murder, Quadrado hoped to inherit his drug trade. Brother Anthony and his lover Emma Forbes who inhabit Lopez's neighborhood also covet Lopez's business. Brother Anthony, a wife murderer and a vicious bully, prowls the streets garbed in a brown woolen monastic robe with his head tonsured as a monk's and wearing army combat boots. His characterization is ironic: he spouts "Dominus vobiscum" with no idea of the words' meaning and then makes the Sign of the Cross; he knows and cares only that the words and action add to his crafted image. McBain introduces Anthony into the story, as he is mercilessly continuing an attack that has already rendered his victim unconscious; he is using his boots "… to stomp the little Puerto Rican pool hustler into the icy sidewalk"(52). Emma, too, is a murderess: 5'6" tall and weighing 170 pounds, she carries a razor in her shoulder bag which she unhesitatingly wields to mutilate and kill. The area in which this horrific couple lives and preys upon others is a "… neighborhood, where somehow it always seemed colder than anyplace else in the city"(53).

During one of his forays Anthony learns of Quadrado's relationship to Lopez and ascertains her address. At 1:00am on February 15th, he and Emma inveigle their way into Quadrado's apartment by showing and promising her a wad of cash they claim comes from the dead Lopez. The violence that Anthony and Emma inflict on Quadrado is foreshadowed by the imagery describing her kitchen window: "The window was closed and rimed with ice"(143). Initially, Quadrado's desire to acquire Lopez's cocaine profits is stronger than her fear of Anthony and Emma; only after Emma cuts the nipples off Quadrado's breasts does she divulge the name of Lopez's customers and ounce dealer. The early Monday morning hours of Quadrado's ordeal become a daylight suffused with "The threatening blue glare of ice"(156). Quadrado is discovered outside her tenement "… on the icebound sidewalk…. Naked … a great bleeding

cross on the woman's belly. The woman had no nose"(157).

Again ice imagery appears when Carella and Meyer go to the Diamondback area of the city to investigate what is a false clue in the Edelman murder. Diamondback's "… sidewalks were cluttered with the loose debris of urban waste, much of it frozen into the icy pavement"(195). The false lead takes the detectives to the squalid two room apartment of Andrew Fleet, a young Black who had robbed Edelman the previous August. The interrogation occurs in the kitchen: "A single ice-rimed window opened into the brick wall of the tenement opposite"(197). A brief dialogue discloses that Fleet and his teenaged hooker companion, Corinne, are both drug addicts. Corinne's response is defiant: "Her eyes had turned to ice as opaque as that on the window"(201). The detectives' evaluation of the couple is that they are clean, but the detectives are affected by the ruination of two young lives; Detective Brown says, "It's a goddam crying shame,"(203). Ice or metaphorical evil appears to cover and to congeal the city and its residents with a deadly constriction.

On Wednesday, February 17th, a break in the case occurs when Moore volunteers that Sally was involved in theatre ice, and when Quadrado's cousin informs Carella that Anderson supplied Lopez with cocaine. These major clues enable Carella to connect Lopez, Anderson, Carter, and Quadrado. On that day, "… the snow and ice were melting"(237). On this same day, another detective determines that Edelman's gem business was a cover for his more lucrative one of acquiring unreported gems and real estate abroad; the gems were resold at a huge profit allowing Edelman to continue his purchases in Europe thereby making millions of dollars. "The sky was clear and the temperature was surprisingly mild on that Wednesday…."(237). Imagery melds story, setting and theme to sharpen suspense and to focus reader interest.

What McBain's omniscient narration reveals to the reader but not the detectives is that Anthony also learns from Quadrado that Sally Anderson was Lopez's ounce dealer. Anthony's search of Anderson's

apartment yields a letter from Moore to Anderson identifying Moore as the source of the cocaine. The ensuing encounter between Moore and Anthony results in Moore's killing Anthony with the 38 caliber gun that killed Lopez, Anderson, and Edelman. As Moore is defrosting his ice trays to retrieve Edelman's diamonds, he is surprised by Carella who has pieced the crime puzzle together. Moore is released on bail; as he attempts to flee the country, Emma is waiting for him in his apartment vestibule where she slits his throat ear to ear. The detectives never learn that Brother Anthony murdered Quadrado nor do they learn of Emma's murder of Moore thus further adding to the pervasive realism of Ice. McBain's discourse includes verisimilitude, irony, allusions, spoonerisms, similes, conceits and humor, but it is the dominant, unifying image of ice in the major and minor storylines that qualifies this novel for canonization and one most appropriate for appreciating the elements of literary artistry. With a novel such as Ice readers experience the triangular relationship of writer, detective, and reader on two levels: on one level they are joining with the writer and the detective to ferret out the pieces of the story; on another level, readers engage in literary sleuthing: they learn to recognize and appreciate the writer's individual style and use of literary techniques to create a seamless composite of story and discourse which provides a universal insight into human nature articulated by the writer through his detective persona. McBain's main theme finds its most succinct expression in the Bible in I Timothy 6:10: Radix malorum est cupiditas. Ice is a contemporary response to Othello's oft repeated query and diminishes Iago's attempt at inscrutibility.

Despite Tony Hillerman's self-deprecating comment, "It seems to me I am writing what Graham Greene called 'entertainments.'"(Talking Mysteries 39), Hillerman also engages readers on two levels of the writer, detective, reader triangle. His stories and characters are often based upon his twenty-two years experience as a journalist, and his fiction is recognized for its realism, complex plotting, and elucidation of American Indian cultures. Hillerman like Sir Arthur Conan Doyle, P.D. James, and Ruth Rendell immerses the reader into a fully realized world peopled by complex, engaging individuals. Sergeant Jim Chee, is a Dupin-type ratiocinator with a keen understanding of Nature and a comprehensive knowledge of the environs of the joint use reservation lands in Four Corners- the bordering states of Colorado, New Mexico, Arizona and Utah. The Dark Wind is a police procedural delineating police professionals' work. Chee of the

Navajo Tribal Police is assigned to an area larger than the American Northeast where there is widespread poverty and the formerly peaceful Navajos and Hopis are experiencing bitter friction over the Federal Government's ongoing removal of Navajos from land partitioned in the nineteenth century between Navajos and Hopis.

> The results have been tragic. The largest group of civilians moved since the Japanese-Americans in World War II, the relocated Navajos suffer astounding alcoholism, suicide and unemployment rates- far higher than other Navajos…. As the Hopis and Navajos were thrust into the non-Indian world of borders and land ownership, something also developed- the tribes who had lived together … for centuries before the white man, became enemies (News-Times [Danbury] Dec. 15, 1997 A7).

Into this troubled locale Hillerman introduces a sabotaged drug deal, multiple murders, corrupt Federal agents, and both Indian and white men seduced by the money to be gained in the cocaine trade. Hillerman thematically illustrates that white or Indian crime has a common source: imbalance within the individual. For the Hopi, this disorder is a result of neglecting religious duties and "… going after money … quarreling … forgetting the way of the Road of Life"(The Dark Wind 195); for the Navajo, wrongdoing is departing from hozro, the harmony found in Nature which the Navajo seeks to incorporate into daily life(228). "The wind did not move, the leaf did not fall, the bird did not cry without a reason…. All was part of a universal pattern…. "All is order' … 'Look for the pattern'"(229). When Chee articulates the meaning of the novel's title, he also shares seminal insight into Navajo culture and its determination of this novel's story and discourse. Chee reflects that "Someone who violated basic rules of behavior and harmed you was, by Navajo definition, 'out of control.' The 'dark wind' has entered him and destroyed his judgment. One avoided such persons, and worried about them, and was pleased if they were cured of this temporary insanity and returned again to hozro"(289).

Chee, studying to become a Yataalii(Medicine Man), lives by his Navajo beliefs. Newly assigned to Four Corners, Chee is resposible for investigating two crimes: the murder of a mutilated male and the vandalizing of a windmill on Hopi land. While conducting night surveillancce of the inoperable windmill,

Chee hears a plane crash. The wreakage reveals two murders and evidence of cocaine dealing; thus, the Federal Government has jurisdiction in this case. Despite warnings from his superior officer and the Drug Enforcement Agents, Chee pursues the valid and false clues that he discovers as he attempts to solve the mutilation murder and identify the vandal. Clues indicate that the mutilation murder and the plane crash are related. One of the false clues associated with Chee's mutilation murder case points to an Indian perpetrator: the victim's hands and feet have been skinned. A Navajo conversant with his people's "old ways" knows that such skinning or flaying has one purpose: "That's what the witch uses to make corpse powder … skin that has the individual's soul stamped into it"(251). With Cowboy Dashee as his Watson, Chee relates the plane crash to his flayed murder victim, ascertains the motivations, and literally unearths the stolen cocaine. The investigation is arduous and suspenseful; the Federal Agents consider Chee a prime suspect, and his boss forbids Chee's involvement and orders him to go on a vacation away from the crime scene.

By joining Chee in his detection the reader experiences Hillerman's discourse: he discovers the Navajo's harmony with nature, observation and rational thinking powers, and superior tracking skills- all of which enable Chee to elicit motives and find evidence. The setting's stark beauty and rugged topography while familiar to Chee provide the criminals with means, opportunity and concealment. Darkness and wind imagery prevail in all the scenes of criminal action. The literal dark winds of night impede Chee's investigation as effectively as the dark winds or promptings of greed and revenge direct the lawbreakers who attempt to mislead and murder Chee. This imagery functions thematically as in the Inferno's Second Circle of Hell where Dante first views the damned and their punishment: "no light shone at all … wind propels the evil spirits … it drives them … (Inferno V. 28, 42-43). Chee, like Dante, perceives the state of "… those who make reason slave to appetite;(V. 39). Chee's investigation is primarily a solitary quest to expose and to halt disorder. The corrupt Federal Agents, the cocaine dealing attorney, the vengeful Jake West, the avaricious Tom West and the mutilated Navajo murder victim Joe Musket have all permitted

passion's wind to subjugate reason. Just as dramatically as the year long drought and the "blighted dust"(30) endanger life in Four Corners so do the criminals' actions despoil society. The novel concludes with life-giving, cleansing rain descending as the felons are brought to justice. The final image of darkness describes Chee's throwing seventy pounds of cocaine into the flood waters of the Polacca Wash; this imagery affirms the writer, the detective, and the reader's realization that evil or disorder has been temporarily stopped: "It floated briefly … it had already been lost in darkness"(382). Hillerman's discourse- the synaesthetic, dominant image of the dark wind, extensive knowledge of Southwestern United States' geography, and understanding of the Indian cultures- melded with his story communicates the universality of the human condition and offers another response to Othello and Everyman's recurring question and renders Iago's answer less enigmatic. Chee's detecting is not career limited; it is an extension of his value system, and it is his approach to life. Chee as all detectives in the triangular relationship of writer, detective, reader "… simplifies life, makes sense out of it and gives it meaning. His strength is real, unlike the criminal's pseudo-strength, for it is based not just on externals but on intuition and a sense of community with the right things in the universe"(Aydelotte 80).

Through the detective fiction writer's stress on story and crafting of discourse, the triangular relationship of writer, detective, reader is born. This relationship distinguishes detective fiction from other fiction, and it is a relationship that is eternal in the sense that Othello's question will be asked, investigated, and answered for as long as humankind endures. The universality of the detective's experience, the detective's hero status, the writer's reflection of his, the detective's and the reader's society virtually saturate this literature with high interest appeal for all readers. Chaucer's incisive description of the Clerk in The Canterbury Tales aptly applies to both author and detective of detective fiction: "..."gladly wolde he lerne and gladly teche"(Prologue 308).

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One literary technique affording the literary artist and his audience a shared vision of the human condition is the author's ability to draw his audience into the emotional and intellectual experience of his creation thus gaining readers' or viewers' "willingness to suspend doubt," and concomitantly securing "temporary acceptance of an author's imaginative world" (Holman and Harmon 464). William Shakespeare consistently reveals this ability in his sonnets, plays, and non–dramatic works. Long before Samuel Coleridge's "Biographia Literaria" in 1817 identified "… willing suspension of disbelief … which constitutes poetic faith," Shakespeare's imagery was claiming the minds and hearts of audiences as they ventured into the world of Shakespeare's canon. So completely did one military officer engage in a performance of Othello that he unsuccessfully attempted to shoot the actor playing Othello in Desdemona's death scene (5,2).

As a wordsmith or maker of images, Shakespeare's imagery empowers language to verify dramatic action and plotline, to delineate character, to enhance thematic elements, to reveal universality, and to involve the playgoers in the creative process of the dramatist. Shakespeare's unique skill in choosing and arranging words to create immediate pictorial representations in the mind's eye, instantaneous intellectual polaroids, so to speak, which are often accompanied by simultaneous intellectual

apprehension of auditory, tactile and olfactory sensations, allows the dramatist to capture reading and viewing audiences of all descriptions – educated and uneducated, young or old, male or female, Elizabethan or contemporary. Caroline Spurgeon in the Preface to her 1934 critical *tour de force* Shakespeare's Imagery, simply yet eloquently identifies the impelling motivation of her work: "… the images … mirror the richest experience and the most profound and soaring imagination known to man"(xi). Shakespeare's choice of words and word patterns makes possible not only the audience's sharing in this "richest" of experiences and "most profound and soaring of imaginations" but also the individual's active partnership with the playwright through the exercising and joining of one's own imaginative efforts with Shakespeare's. Analysis of selected examples of imagery in King Richard the Second, King Henry the Fifth, Othello, King Lear, and Hamlet delineates the multifaceted functions and power of Shakespeare's imagery as the cornerstone of his art, his purpose, and his achievement.

As a wordsmith or maker of images, Shakespeare's imagery empowers language to verify dramatic action and plotline, to delineate character, to enhance thematic elements, to reveal universality, and to involve the playgoers in the creative process of the dramatist. Shakespeare's unique skill in choosing and arranging words to create immediate pictorial representations in the mind's eye, instantaneous intellectual polaroids, so to speak, which are often accompanied by simultaneous intellectual apprehension of auditory, tactile and olfactory sensations, allow the dramatist to capture reading and viewing audiences of all descriptions – educated and uneducated, young or old, male or female, Elizabethan or contemporary. Caroline Spurgeon in the Preface to her critical *tour de force* Shakespeare's Imagery, simply yet eloquently identifies the impelling motivation of her work: "… the images … mirror the richest experience and the most profound and soaring imagination known to man"(xi). Shakespeare's choice of words and word patterns makes possible not only the audience's sharing in this "richest" of experiences and "most profound and soaring of imaginations" but also the individual's active partnership with the playwright through the exercising and joining of one's own imaginative efforts with Shakespeare's.

The Bard does not merely invite; he explicitly enjoins his viewers and readers to participate in creative partnership. Perhaps the most outstanding examples occur in the History Play The Life of King Henry V. In the Prologue to Act I, the Chorus tells the audience to:

> Suppose within the girdle of these walls
> Are now confined two mighty monarchies …
> Piece out our imperfections with your thoughts….
> And make imaginary puissance.
> Think, when we talk of horses, that you see them
> Printing their proud hoofs' th' receiving earth.
> For 'tis your thoughts that now must deck our Kings,
> Carry them here and there, jumping o'er times,
> Turning the accomplishments of many years
> Into an hour glass (19–31).

Again, in the Prologue to Act III the Chorus instructs the audience to "Suppose that you have seen/The well–appointed King at Hampton pier" (3–4), and the Chorus continues with a series of directives: "Play with your fancies," (7) "Hear the shrill whistle," (9), "O, do but think/you stand upon the rivage and behold/A city on th' inconstant billows dancing;" (13–15), "Grapple your minds to sternage of this navy,/And leave your England as dead midnight still," (18–19), "Behold the ordinance on their carriages," (26), "And eke out our performance with your mind" (35).

The Chorus's introduction to Act IV issues orders to the audience: "Now entertain conjecture of a time/When creeping murmur and the poring dark/Fills the wide vessel of the universe. (1–3) …. Yet sit and see,/Minding true things by what their mockeries be." (52–3). The principal dramatic concerns in Act V are Henry V's wooing of Katherine and his attention to the spoils of his French victory. In this act, Shakespeare refrains from depicting intervening events between Agincourt and the imminent marriage of Henry V and Katherine. Thus, the Chorus to Act V fulfills a threefold function: to present a dramatic apology for dramatic limitations; to identify chronologically and briefly the omitted events, and to summon the audience's

imaginations to compensate for the omissions and the interval of five years of time between Act III, the Battle of Agincourt, and Act IV, the Treaty of Troyes. The Chorus begins:

> I humbly pray them to admit th' excesse
> Of time, of numbers, and due course of things,
> Which cannot in their huge and proper life
> Be here presented. (3–6).

Precise cues are presented to the audience for actively imaging Henry V's journey to Calais, "Heave him away upon your winged thoughts/Athwart the sea." (8–9). Next, the Chorus prompts the audience to envision Henry V's welcome to London, "But now behold,/In the quick forge and working house of thought,/How London doth pour out her citizens!" (22–4); lastly, the Chorus charges theatergoers to envisage Henry V's return to the French court, "Then brook abridgement, and your eyes advance,/After your thoughts, straight back to France." (44–5).

In addition to the imaginative involvement of the audience, Shakespeare's imagery communicates the universality of human nature and the pervasive presence of evil in the human condition. Othello begins in the darkness of night with the exposition of the anger and the dark side of Iago's character. Iago's personal fury at being denied the lieutenancy despite his long service, his experiential knowledge, and the Venetian system of promotion according to seniority is an inherent human emotion. In this late night conversation with his dupe Roderigo, Iago reveals what is perhaps the only genuine motive for his controlled rage that initiates the tragic action. Iago informs

Roderigo: "Preferment goes by letter (influence) and affection (favoritism),/And not by the old gradation, where each second stood heir to the first." (1,1,37–9). Darkness or blackness in this tragedy functions as a pejorative imagery foreshadowing death and revealing Iago's particular vices: his hatred of Othello, his ethnic prejudice toward the Moor, his jealousy of Othello's admirable character, and his envy of the General's blissful relationship with his bride. In his second soliloquy Iago acknowledges Othello's eminence: "The Moor, howbeit that I endure him not,/Is of a constant, loving, noble nature, …" (2,1,287–8); Iago identifies himself as a malefactor, his schemes malignant, and himself evil: a perpetrator who appropriates the appearance of goodness but who in actuality creates the reality of vice. Iago confesses:

> Divinity of Hell!
> When devils will the blackest sins put on,
> They do suggest at first with heavenly shows,
> As I do now. (2,3,344–7).

Continuing the blackness imagery, Iago expresses his diabolic intent: "So will I turn her virtue into pitch,/And out of her own goodness make the net/That shall enmesh them all." (2,3,354–6).

When Iago hears Othello's greeting "O my soul's joy!" (2,1,182) to Desdemona upon their reunion on Cypress followed by Othello's declaration, "My soul hath her content so absolute/That not another comfort like to this/Succeeds in unknown fate." (2,1,188– 90), Iago vows, "O, you are well–tun'd now!/But I'll set down the pegs that made this music," (2,1,199–200). His words become the actions that cause "the loss of noble love and noble life. He is also the divisive agent of another kind of separation,

probably a more tragic theme for the Elizabethans than for 21st century audiences – the divorce of friendship between two generous men.[Othello and Cassio]" (Spivack 86).

The literal and metaphorical darkness emphasizes the thematic elements as well as the characterizations. Iago, as analyzed by Bernard Spivack,

> … is wonderfully opposed to the theme of the play as its anti–theme, and is … the most astonishing product of the Shakespearian technique of contrast…. Creating in Othello and Desdemona romantic love's most splendid votaries, he creates in Iago its most derisive atheist. To the kind of love existing between hero and heroine, supplying the bright ideal of the play, the ancient is the dark counter–type, the adversary. (Spivack 88–9).

Emilia, not aware of the ironic truth of her explanation of the situation that imperils Othello and her mistress, incisively describes Iago and his behavior:

> I will be hang'd if some eternal villain,
> Some busy and insinuating rogue,
> Some cogging, cozening slave, to get some office,
> Have not devis'd this slander….
> The Moor's abus'd by some most villainous knave,….
> (4,2,132–5, 141).

In a phrase, Iago is the ironic personification of vice; "… without exception, every moral attribute applied to him by anyone in the play is an ironic finger pointing to the truth of its opposite." (Spivack 91). Iago is not honest, courageous, loyal, trustworthy, compassionate or loving; by the play's end, Iago's utterance "I hate the Moor!" (1,3,38) defines his attitude and behavior toward not only the Moor, but also toward Desdemona, Brabantio, Emilia, Cassio, Roderego; Iago hates humanity, but he is not able to destroy man's potential for virtue and love. While Iago represents hate, "the

mystery of iniquity" (Spivack 85) " … Desdemona represents … love or charity…. If we would know what love and charity are in their fullness, then our definition can only be the actions, the language, the emotions of the character Desdemona. She is Shakespeare's word for love. (Kernan 84).

Imagery consistently highlights plot events, enhances characterization and emphasizes theme in The Tragedy of Richard the Second. This first play in the second Henriad Tetralogy is in the *de casibus* genre of tragedy, a genre dramatizing "… the tragic fall from high place of a man who because of certain inherent weaknesses is unable to cope with a situation he himself has helped to bring about." (Kittredge 719). Richard is the poet king who is the author of his own deposition. Rising and falling images provide a dominant image pattern throughout this play. Henry Bolingbroke, who usurps his first cousin's throne, is associated with the rising imagery and Richard II with the falling imagery. This pervasive imagery accentuates the play's "double, complementary plot" (Hershel Baker Riverside Shakespeare 803), and intensifies this play's and the tetralogy's central theme of kingship, and this play's analysis of Richard's deficiencies. Richard exhibits a mindset and misbehaviors which prove him incapable of kingship. "… Shakespeare is at pains to underscore … [that] kingship is a sacred burden which one must earn the right to bear." (Baker 801).

Richard acts irresponsibly toward Bolingbroke and Mowbray but ruthlessly to Gloucester's murder; he acts defiantly to his uncles Gaunt and York and spurns their counsel; he acts cavalierly toward the nobility and commons; and he acts illegally

toward Bolingbroke in ignoring the Magna Carta on which is based his own title and the order of rule in England. This disordered behavior insures Richard's fall. King Richard's decision to come down from the raised seats at Coventry to embrace Bolingbroke is the first visual example of Richard's imprudent and rash judgment pictorially emphasized by imagery: Richard declares, "We will descend and fold him in our own arms." (1,3,54). As Mowbray and Bolingbroke are about to begin combat, the ordeal designed to discover the truthteller, Richard aborts the process with the command: "Stay, the king hath thrown his warder down." (1,3,118). After Richard neglects to meet or contact the Welsh army of 10,000, the Welsh captain catalogues significant natural portents and concludes: "These signs forerun the death or fall of kings." (2,4,15). Salisbury responds with "Ah, Richard …/I see thy glory like a shooting star/Fall to the base earth from the firmament." (2,4,18–20). When Salisbury and Scroop inform Richard of the results of his folly, his spirit and resolve give way to self–pity and despair; his word choices foreshadow his ultimate fall:

> Of comfort no man speak!
> Let's talk of graves, of worms, and epitaphs.
> (3,2,144–5).
> … for what can we bequeath
> Save our own deposed bodies to the ground?
> (3,2,149–50).
> For God's sake, let us sit upon the ground
> And tell sad stories of the death of kings!
> (3,2,155–6).

Upon Northumberland's invitation to Richard to descend to the "base court" at Flint castle to speak to Bolingbroke, Richard rather than rightfully refusing

Northumberland's request accedes; he thereby visually and vocally delineates his imminent deposition. Richard declaims:

> Down, down I come, like glist' ring Phaethon,
> Wanting the manage of unruly jades.
> In the base court? Base court, where kings grow base,
> To come at traitor calls and do them grace.
> In the base court? Come down? Down, court.
> Down, king! (3,3,178–82).

In surrendering his crown to York to give to Bolingbroke, Richard further accentuates his action with falling imagery:

> Now is this golden crown like a deep well
> That owes two buckets, filling one another,
> The emptier ever dancing in the air,
> The other down, unseen, and full of water.
> That bucket down and full of tears am I,
> Drinking my griefs, whilst you mount on high.
> (4,1,185–90).

Perhaps most emotional of all Richard's utterances is his verbal fantasizing of silent, passive annihilation of himself and his kingship: "O that I were a mockery king of snow,/Standing before the sun of Bolingbroke,/To melt myself away in water–drops!" (4,1,261–3). During Richard's subsequent confinement in the dungeon of Pomfret Castle, he gains self–knowledge achieving personal kingship of himself. In struggling with his murderer, Sir Piers Exton, Richard's words celebrate his personal, spiritual victory:

> Exton, thy fierce hand
> Hath with the king's blood stained the King's own land.
> Mount, mount my soul! Thy seat is up on high.
> Whilst my gross flesh sinks downward, here to die.
> (5,5,109–12).

Richard is comparable to King Lear in several aspects; Lear, too, has been irresponsible in his kingship: having been turned out into the storm by Goneril and Regan, Lear concedes through synaesthetic imagery, words appealing simultaneously to two or more senses, his myopia and negligence as a ruler:

> Poor naked wretches, whereso'er you are,
> That bade the pelting of this pitiless storm,
> How shall your houseless heads and unfed sides,
> Your loop'd and window'd ruggedness, defend you
> From seasons such as these? O, I have ta'en
> Too little care of this! Take physic, pomp, (3,3,28–33).

The universality of the physical and psychic hurt of the individual particularly the parent spurned is graphically expressed by Lear in synaesthetic imagery; first, Lear responds to Goneril's rejection: "Ingratitude, thou marble–hearted fiend,/More hideous when thou show'st thee in a child/Than the sea–monster!" (1,4,256–8). Later, when Lear's realizes the enormity of Regan and Goneril's actions, he further articulates the traumatization of his entire being, "How sharper that a serpent's tooth it is/To have a thankless child!" (1,4,285–6). Lear like Richard ultimately recognizes that inordinate pride impedes self–knowledge and blinds one to recognizing the frailty of the human condition. Gloucester attempts to kiss Lear's hand after both are exiled to the outdoors of Gloucestershire, and Lear responds, "Let me wipe it first; it smells of mortality." (4,6,133). Upon being reunited with Cordelia, Lear tells her: "I am a very foolish, fond old man,/Fourscore and upward, …" (4,7,62–3). Lear's "… anguish is akin to the anguish of Job, Prometheus, Oedipus, and other projections of spirits in agony, but it

retains its own peculiar quality." (Harbage "King Lear: an Introduction" 118). Lear is "not only archetypal King, Man, and Father but particular king, man and father." (Harbage 118) who demonstrates humankind's penchant for failing to discriminate between

> … the false and the true, and his cravings for visible displays, are not failings peculiar to him. 'How much do you love me?' – few parents suppress this bullying question, spoken or unspoken, however much they have felt its burden as children. It seems in the nature of some things that they always are learned too late, that as children we might have offered more, as parents demanded less. To punish a thankless child has the appearance of justice, to withdraw in one's age from the cares of state the appearance of wisdom, to dispose of one's goods by gift instead of testament the appearance of generosity. Plain men in their prime have been similarly deceived. Gloucester shakes his head sadly over Lear's injustice, folly, and selfishness as he duplicates his action. (Harbage 119).

Lear's growing apprehension of the truth pervades the storyline and is the central theme of the drama. "The movement of the play seems to be from conduct (and character) in which reason is governed by self–regard, to conduct (and character) in which reason is transformed by compassion" (Arthur Sewell "Character and Society in King Lear " 144), a compassion inherent in all human beings. After Cornwall has gouged out Gloucester's eyes, the third servant's imagery conveys this compassion as "a healing and medicinal balm" (Sewall 144): "I'll fetch some flax and whites of eggs/To apply to his bleeding face." (3,7,107–8). Cordelia's reasoned compassion is also expressed in synaesthetic imagery of "healing and medicinal balm:

> O my dear father! Restoration hang
> Thy medicine on my lips, and let this kiss

Repair those violent harms that my two sisters
Have in thy reverence made! (4,7,27–30).

Cordelia's character is the palpable embodiment of truth every time she appears on stage. Cordelia answers Pilate's question, "What is truth?" Cordelia's words and actions evidence that truth is courage, truth is knowledge, truth is loyalty, truth is love, truth is the sacrificing of oneself to the needs of others. Through Cordelia, Shakespeare defines truth as inextricably bound to all virtues. Knowing she will lose a portion of Lear's kingdom "more opulent" than her two sisters for failing to flatter Lear, she speaks the unwelcome truth to Lear: "Unhappy that I am, I cannot heave/My heart into my mouth. I love your majesty/According to my bond, no more nor less." (1,1 91–93). After Lear disowns Cordelia and her sisters are given all his lands, wealth, and military might, she proclaims their true nature for all present to hear:

I know you what you are,
And like a sister am most loath to call
Your faults as they are nam'd. Love well our father.
To your professed bosoms I commit him.
But yet, alas, stood I within his grace,
I would prefer him to a better place. (1,1,271–6).

Cordelia knows the reality of her sisters as the plotline horrifically reveals. Shakespeare often includes proverbs in his plays, and Cordelia's characterization illustrates the proverb, "Truth is the daughter of Time." By the play's end, she is the vehicle for Truth's supremacy over wealth, power, deceit. Cordelia's final words to Lear's court are, "Time shall unfold what plighted cunning hides, …" (1,1,282). Cordelia maintains correspondence with Kent who in disguise serves the outcast Lear; Cordelia comes to

Lear's aid with an army from France at the risk of her own life. Her love and loyalty to Lear are inviolate:

> Our preparation stands
> … O dear Father
> It is thy business that I go about;
> Therefore great France,
> My mourning and importun'd tears hath pitied.
> No blown ambition doth our arms incite,
> But love, dear love, and our ag'd father's right.
> (4,4,22–8).

Cordelia's words echo Christ's words to His mother and Joseph after his separation from them on their return from Jerusalem after the Passover. When the anxious Mary and Joseph find Jesus engaged in discussion with the rabbis and Mary questions her son, He replies: "Why did you seek me? Did you not know that I must be about My Father's business?" (Holy Bible Luke 2:49). Cordelia's sacrificial death identifies her actions as messianic, Christ–like, and emphasizes another theme, the ultimate victory of good over evil. The universality of humanity's potential for heroically virtuous action is amply portrayed in the imagery depicting Cordelia.

Shakespeare's imagery is equally compelling in delineating humanity's universal proclivity toward behavior that demeans, distorts, defiles human nature. Roderigo's sexual pursuit of Desdemona, displays universal behavior. Despite his financial loss, "I have wasted myself out of my means." (4,2,187–8); his intellectual realization of being duped, "I … begin to find myself fopp'd…." (4,2,195–6); his acknowledgment of moral turpitude, "… I will … repent my unlawful solicitation…." (4,2,200–1); he persists. At the slightest, least believable encouragement from Iago, Roderigo spurns ethics,

intellect, and reality to fulfill his disordered desire. He responds to Iago's final deceit with the ironic statement: "I will hear further reason for this." (4,2,245). Claudius, too, ultimately rejects what not only his intellect but also his emotions embrace as virtuous behavior in the "soul struggle scene" (3,3) of Hamlet .

Claudius knows how to resolve the conflict between his mind and will:

> What form of prayer
> Can serve my turn? 'Forgive me my foul murder?'
> That cannot be, since I am still possess'd
> Of those effects for which I did the murder,
> My crown, mine own ambition, and my queen.
> May one be pardone'd and retain th' offense?
> …
> O wretched state! O bosom black as death!
> (51–6, 67).

Claudius disregards his epiphany; ignoring right judgment and appeasing willful, emotional appetites, his words capture the essence of his character and the age old response to the universal reality of material seduction: "My words fly up, my thoughts remain below./Words without thoughts never to heaven go." (3,3,97–8).

Perhaps a most poignant response to the universal situation of recognizing one's own responsibility in losing all that makes human life precious can be found in the imagery of Macbeth. Immediately after his murder of King Duncan, Macbeth soliloquizes:

> Had I died an hour before the chance,
> I had liv'd a blessed time; for, from this instant,
> There's nothing serious in mortality;
> All is but toys. Renown and grace is dead;
> The wine of life is drawn, and the mere lees
> Is left this vault to brag of. (2,3,92–97).

When Ross informs Macduff that Macbeth has slaughtered everyone in Macduff's castle, Macduff speaks for all people of all times who are innocent victims of violence: "Did heaven look on,/And would not take their part?" (4,3,223–4).

Shakespeare apprehends the universal reality of evil and its influences upon human beings and "… views it with concern and pity as a foul, corrupt condition or growth produced by the world order, yet alien to it, as disease is to a body; which , if health is to be attained, must at all costs be expelled." (Spurgeon 207). In Hamlet disease and poison images are pervasive; Claudius functions much like a metaphorical, cancerous tumor causing sickness and death to himself and others. For Shakespeare, humanity's strongest defense against evil is love: "That which he [Shakespeare] prizes most in life is unselfish love…." (Spurgeon 207). Shakespeare's dramatic and non–dramatic poetry reveal that "What most rouses his anger is hypocrisy and injustice, what he values supremely is kindliness and mercy." (Spurgeon 207). His work further shows "… a very strong belief in the importance of the way it [life] is lived in relation to our fellows, so that we may gain the utmost from the ripening of processes of experience and love." (Spurgeon 207). For Shakespeare, "To befriend, to support, to help, to cheer and illuminate our fellow–men is the whole object of our being, and if we fail to do this, we … are as empty husks, hollow and meaningless." (Spurgeon 208). Shakespeare's own imagery best empowers this philosophy:

> Heaven doth with us as we with torches do,
> Not light them for themselves; for if our virtues
> Did not go forth of us, 'twere all alike

As if we had them not. Spirits are not finely touch'd
But to fine issues.'" (Measure for Measure (1,1,33–7).

The vocabulary choice of "finely touched" signifying the two meanings of "(a) minutely tested (b) excellently endowed" is Shakespeare's "metaphor taken from the 'touching' or 'testing' of gold coins before they were placed in circulation … that is your goodness must be allowed to permeate the rest of the world." (The Complete Works Kittredge 475).

Acquaintance with Shakespeare's works causes one to wonder about the circumstances that enabled this artist to give form to his inherent poetic genius during his particular time. From 1585, the year in which Shakespeare's twins Hamnet and Judith were baptized, until 1592 nothing specific is known about Shakespeare's activities. The first recorded mention of his presence in London appears in 1592 in a pamphlet written by Robert Greene and entitled Greene's Groats–worth of Wit Bought with a Million of Repentance. Greene refers to Shakespeare as "an upstart Crow, beautified with our feathers …[who] supposes he is well able to bombast out a blanke verse as the best of you: and beeing an absolute Johannes fac totem, is in his owne conceit the onely Shake–scene in a countrey." Obviously, Shakespeare's "success as a dramatist has led to an envious outburst from an older, disappointed rival." (Bevington Complete Works 49–50).

In 1589, an anonymous work The Arte of English Poesie was published; the author's references within his volume to "… his personal experiences, diplomatic service, and literary creations …" enabled his contemporaries to identify him as George

Puttenham (c 1520–90). This gentleman "… was related by blood and marriage to prominent and wealthy families … toward the end of his life Puttenham was warmly recommended to Queen Elizabeth for his faithful service and made one of her gentlemen pensioners. What is interesting about this author is that while he never attained status as a poet, his book … established solid principles for the artful deployment of rhetorical devices … defended English poetry rather optimistically (and somewhat prematurely) arguing that it could be as great as the poetry of any language, ancient or modern." (Pinciss and Lockyer 182). Puttenham also "… believed that decorum, … defined as the perfect blending of art and nature, was the ultimate criterion for art: 'nature herself suggests the figure in this or that form, but art aideth the judgment of his [the poet's] use and application." Puttenham regards art and nature's roles as "complementary" or in the words of Shakespeare's Polixenes in The Winter's Tale (1610): "the art itself is nature." (4,4,97). Now, what is fascinating about Puttenham and his work is that "Shakespeare's development as a playwright can be traced through his application of Puttenham's principle of decorum, of matching language to character on the stage." (Pinciss and Lockyer 183). What wonderful serendipity if the young Shakespeare, the neophyte playwright in his twenties read and was guided in his artistic creation by the work written in the last year of his life of a ninety year old courtier and literary critic. Shakespeare's imagery voiced by Hamlet expresses the wondrous concatenation of time, men, minds and art:

> What a piece of work is a
> man! How noble in reason, how infinite in faculties,

> in form and moving him express and admirable, in action how like an angel, in apprehension how like a god! The beauty of the world, the paragon of animals. (2,2, 304–8).

Shakespeare's imagery defines himself and all artists – musicians, writers, sculptors, painters – all who recreate God's eternal artistry.

In coming to an understanding and appreciation of Shakespeare's imagery can one also discern the answers to questions that arise from the enjoyment of Shakespeare's poetry?

> What does Shakespeare think of his own art? How does he understand dramatic poetry? What does he conceive to be its aim? its effects, its means? and its advantages? … (Michael Platt Shakespeare and His Art 231).

The answers to these questions can be found in The Tempest; Prospero is Shakespeare's characterization of the poetic dramatist. "The enchantment he [Prospero] casts in the vicinity of his isle is the enchantment of poetry" (Platt 240). In The Tempest, Shakespeare's final play, he joins his imagery to "masque, spectacle, music and event" … [to] "make poetry a visible power." (Platt 240) so that "the readers or beholders of the drama will be ruled and educated by the poetic wise man" (Platt 240). To borrow Robert Frost's words, "Poetry begins in delight and ends in wisdom."

In the miraculous romance The Tempest,

> Prospero began as a platonic philosopher, all wrapt in 'secret studies.' He only begins to become Shakespeare's wise man when he cares for the good that lies in human things in the person of his smiling daughter and later chooses to bring out that same good in others through poetic rule. His [Shakespeare's] poetry, he suggests, teaches us to find the good

> in human things. Only by caring for it as Prospero does do we become wise (Platt 241).

Prospero accomplishes his triple purpose of achieving mercy, reconciliation and renewal as does Shakespeare achieve the revelation of "the essential beauty and nobility of nature, which need only be brought under the control of a Prospero, the educated man … endowed by the grace of God." (The Complete Works Kittridge 1556). Shakespeare's imagery reveals his awareness that the culminating work has been written; Shakespeare uses Prospero's words to describe his art, his purpose, and his achievement:

> But this rough magic
> I here abjure, and, when I have requir'd
> Some heavenly magic, when even now I do
> To work mine and upon their senses that
> This airy charm is for, I'll break my staff,
> Bury it certain fathoms in the earth,
> And deeper than did ever plummet sound
> I'll drown my book. (5,1,50–7).

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Cultural Diversity: It's in Everyone's Best Interest

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Abstract: In Multicultural Citizenship, Will Kymlicka submits three arguments in favor of group-differentiated rights: The Equality Argument, The Argument Based upon Historical Agreements, and The Cultural Diversity Argument. Kymlicka believes that the first two arguments appeal to the duties of the dominant society and therefore are sufficient in justifying group-differentiated rights. The Cultural Diversity Argument, according to Kymlicka, imposes costs to some segments of the dominant society which makes the argument unable to justify group-differentiated rights without the support of the other two arguments. This paper seeks to enhance Kymlicka's Cultural Diversity Argument by drawing an analogy between cultural diversity and biological diversity. Once the analogy is drawn, it becomes apparent that the survivability of the species is improved by preserving the knowledge inherent within diverse cultures; in other words, it's in the best interest of everyone.

The Essential Indian: An Appeal for Sovereignty without Racism

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Abstract:

American Indians are the only minority in the United States required to carry documentation demonstrating their ethnic affiliation. This practice results from the special status afforded to each tribe recognized by the Federal Government. Throughout its history with the indigenous peoples of the United States, the Federal Government has relied upon various definitions for the term, "Indian." However, any definition created by the Federal Government, is problematic; most notably in its compatibility with the traditional meaning of sovereignty. This paper addresses the federal definition of "Indian," noting that the federal definition not only erodes tribal sovereignty, but that its legacy of racial purity has tainted tribal attempts at defining membership. In keeping with the spirit of the current era of Native American self-determination, I urge tribal governments to re-examine their membership criteria for racist elements, ensuring that a truly sovereign determination of membership rests solely with the tribes.

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The Cerebral Basis for Chinese Word Recognition and Mandarin Tone Identification

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The hemispheric specializations for human cognitive functions have attracted researchers' interest for decades. In this paper, we described the different hemispheric specializations between Chinese word recognition and Mandarin Tone Identification. The Chinese written system is considered logographic rather than phonographic such as alphabetic written systems (i.e., English). Therefore, Chinese characters carry relatively more semantic meanings and less phonological information than English words. In addition, Chinese languages are tonal languages but English is not. That is, segments with different tones carry different semantic meanings and in fact are different words. There are many different dialects of Chinese languages, within them Mandarin is the most popular one. There are four distinct tones in Mandarin Chinese: high level, high rising, low falling rising, and high falling. Speakers of Chinese need to identify the tones for each word in order to understand the meaning, particularly in a conversation. For instance, "fish" pronounced as [ju] plus a mid rising tone and "taro" pronounced as [ju] plus a high falling tone. A divided-visual-field paradigm was used to examine whether different information is processed for Chinese word recognition and Mandarin tone identification in terms of phonological access in reading. Thirty-seven participants were asked to identify if they know the Chinese characters presented on the computer screen or if the characters are indicative tones by pressing a "Yes" or "No" bottom. Reaction time results indicate a right-visual-field (left hemisphere) advantage for both word recognition and tone identification with different observed power: $p < .001$ for both tasks, observed power is 0.934 for word recognition and 0.671 for tone identification. This indicates a relatively stronger left hemispheric specialization for Chinese word recognition than for Mandarin tone identification. Moreover, a significant main effect of word tone was found for tone identification but not for word recognition, given that an equal number of characters (with four different tones) were used in both tasks. This further indicates different processes when participants saw the same types of stimuli but with different task requirements. Specifically, this indicates that phonological accessing (at least for tones) may be absent in Chinese word recognition but is observed in Mandarin tone identification. More over, the ability to process information differently based on the task requirements is consistent with the concept of brain plasticity. Finally, this paper proposed a color naming task and a color decision task for both native speakers and second language learners to further examine if phonological access is optional in reading depending on different task requirements and different developmental processes.

Key words: divided-visual field paradigm; Mandarin tones; hemispheric lateralization, brain plasticity

INTRODUCTION

Language is one of the unique cognitive functions of human mind. It is so unique that people think language ability distinguishes human beings and non-human animals. The number of languages currently spoken in the world is about 6533 (Crystal, 1998). The sounds of languages can be divided into consonants, vowels, and tones-the use of pitch to convey word meanings. Pitch is a perceptual term. That is, it is a hearer's perception of a certain signal (spoken sound in the utterance). For example, a hearer may perceive a certain signal as high in pitch or low in pitch. A hearer may also perceive the later portion of the signal as the same or different pitch as the previous portion of the signal. Pitch can actually be a property of both speech or non-speech signals. Examples of pitch for non-speech signals include music, a high-pitched scream, bird-call, and wind-blow. Pitch for speech signals is called tone. Therefore, tone is a linguistic term. It refers to a phonological category that distinguishes two words or utterances. Tone is a term relevant for language, and only for languages in which pitch plays a linguistic role such as conveying meaning (Yip, 2002). While using tone to convey word meanings may seem to be a rare case, it is actually not. As a matter of fact, 60% to 70% of languages spoken in the world are tone languages (Yip, 2002). If we ask how many human beings speak tone languages on this planet, the answer is much more than we may think – over two billion.

Mandarin Chinese and the Four Tones

Mandarin Chinese

The distinct regional variants of a language are called dialects. Mandarin Chinese is the most widely spoken dialect of the Chinese language. It belongs to an independent branch of the Sino-Tibetan language family. There are about 867 million first-language speakers of Mandarin Chinese and 1.052 billion speakers if we include second-language speakers. In fact, it is one of

the two most widely spoken languages in the world. The other one is English. For comparison, first language speakers of English are about 337 million. There are two billion speakers of English if we count those countries where English has special status as a medium of communication (second language) (Crystal, 1998, pp. 361).

Interestingly, one of those top two languages spoken in the world is a tonal language, the other is a non-tonal language. One of the major differences between a tonal and a non-tonal language is that tone is phonetic in a tonal language. That is, tone languages allow the meaning of a word to change by changing the pitch level at which it is spoken. The distinctive pitch levels are known as tonemes or tones. The number of distinctive tones in a language varies from two to seven. For instance, Zulu has two tones: high and low; Yoruba has three (high, mid, and low); Mandarin Chinese has four (high level, high rising, low falling rising, and high falling); Thai has five (low level, mid level, high falling, high rising, and low falling rising); Cantonese Chinese has six (high level, high rising, mid level, low falling, low rising, and low level); and Taiwanese has seven (high flat, falling, low falling, short low, rising, low flat, short high).

Four Tones of Mandarin Chinese

As described earlier, Mandarin Chinese is a tonal language. That is, tone is phonetic in Chinese. Since tones are used to convey meanings in Chinese, to mispronounce a tone of a Chinese character is analogous to mispronouncing a consonant or vowel in English. There are four major tones in Mandarin Chinese: the high level, the high rising, the low falling rising, and the high falling tone. Chao (1948) introduced a 5-point pitch range system to describe tones. In this system, a tone is described by indicating its beginning and ending pitch heights. In the case of tone 3, a tone has falling-rising contour, an intermediate point is use in addition to the beginning and ending points. The pitch heights represent the normal voice range of a speaker, and there are five pitch height points: 1 is the lowest point and 5 is the highest. In between 1 and 5, 3 is mid pitch, 2 is half-low, and 4 is half-high.

The four tones, their description, and examples are shown in Table 1.

Table 1: Tonal contrast in Mandarin Chinese (Ladefoged, 1993, pp.255)

Tone number	Description	Pitch	Example	Gloss	Chinese
1	high level	55	ma^1	mother	?
2	high rising	35	ma^2	hemp	?
3	low falling rising	214	ma^3	horse	?
4	high falling	51	ma^4	reproach	?

Differences for Neural Representation and Processing of English and Mandarin Chinese Written systems

Tan et. al (2001) indicates that there are different activation pattern for reading English and Chinese. The left middle frontal gyrus (BA9) was activated while participants read both English and Chinese for semantic (judging whether the two Chinese one-character-words were semantically related or not) and homophony (judging whether the two Chinese one-character-words were homophones or not) decisions. However, while reading Chinese, participants also showed activation in the left inferior frontal cortex. Furthermore, additional right hemisphere cortical regions such as BAs 47/45, 7, 40/39, and the right visual system were activated. They conclude that those additional activations are attributed to the "square" shape of Chinese graphemes, which requires an elaborated analysis of the spatial information and locations of various strokes comprising the logographic character word. Tan and his colleagues (2001) further suggest that the left middle frontal area (BA9) integrates and coordinates the intensive visual-spatial analysis demanded by the logographs' square configuration and the semantic or phonological analysis required by the semantic decision and the homophone decision tasks.

NEUROLOGICAL STUDIES FOR LEXICAL TONES

Neural representation and processing for Mandarin Tones

Klein et. al. (2001) compared tone perception in twelve native Mandarin Chinese speakers (who use tonal patterns to distinguish lexical meanings) with that of 12 native speakers of a non-tone language, English, via a positron emission tomography (PET) technigue. They scanned participants under two conditions: (1) a silent resting baseline and (2) a pitch pattern discrimination task in Mandarin tones. Both English and Mandarin Chinese speakers showed similar regions of cerebral blood fluid increase. Interestingly, only Mandarin Chinese speakers showed additional activation in frontal, parietal, and parieto-occipital regions of the left hemisphere. In addition, only English speakers showed neural activity in the right inferior frontal cortex. This is consistent with previous research finding a right hemispheric specialization in pitch perception, as discussed earlier. They claim that, based on their finding, language experience may influence circuitry networking in human brain in auditory cues processing.

Hemispheric Specialization and Difference of Language

Most mammalian brains, including humans, have two hemispheres. Why we need two hemispheres is an interesting question. At first people thought that maybe one hemisphere is used as a spare. Later research suggested that the two hemispheres control different functions. For example, the classic language area was originally thought to be in the left hemisphere. Broca (1865) and Wernick (1977, originally published in 1874) discovered that focal brain lesions in the left brain give rise to specific combinations of linguistic processing deficits, for example, aphasias. Broca (1861) described aphasia resulting from lesions of the left frontal lobe. Evidence from brain-damaged patients provides strong evidence that the language function module is located in the left hemisphere. In addition, Bellugi, Bihrle, and Corina (1991) claimed that the left hemisphere contributes to both spoken and sign language processing. Along with other

converging evidence (e.g., Damasio et al., 1986) the left hemisphere is regarded as the language hemisphere.

In addition to the language related functions observed in the left hemisphere, research suggests that the right hemisphere also plays a role in language function which is different than that in the left hemisphere. For instance, Jackson (1878) was the first to suggest that the right hemisphere contributes to speech. He proposed that the left hemisphere is responsible for propositional language, and the right hemisphere for emotional language. Also, right hemisphere damaged speakers of English appear to be able to produce phonemic and contrastive stress patterns successfully (Behrens, 1988), but exhibit disturbances in modulating some aspects of fundamental frequency (F0) contours at the sentence level (Behrens, 1989). Comparing to the perceptive term pitch and the linguistic term tone, the F0 is an acoustic term referring to the speech signal itself: how many pulses (where each pulse is produced by a single vibration of the vocal folds) per second does the signal contain (Yip, 2002). The frequency of these pulses is measured in Hertz (Hz) where one Hertz is one cycle per second. F0 is considered the principle acoustic carrier of lexical tones in speech (Gandour, et al., 1995). In addition, the right hemisphere plays a prominent role in certain paralinguistic tasks, especially in the perception and production of prosodic aspects of speech (i.e., Ivry & Lebby, 1998). Prosody is referred to as the "melody of speech", the variations with which words are uttered to convey contextual and affective information that clarifies the conceptual intent of the speaker. Prosody constitutes the third element of speech in addition to grammar and semantics (Monrad-Krohn, 1947a, 1947b). For example, "Have a great day." in spoken language may simply mean a friendly greeting in daily conversation or may mean a threat in a gang movie. Finally, it has been shown that right hemisphere-injured patients exhibit a deficit in manipulating different F0 across sentential domains (i.e., Gandour et al., 1995).

In general, converging evidence from dichotic listening tasks show that the left hemisphere appears to be better at recognizing linguistic stimuli, such as stop consonant (Shankweiler & Studdert-Kennedy, 1967), digits (Kimura, 1961), and nonsense syllables (Studdert-Kennedy & Shankweiler, 1970). In contrast, the right hemisphere appears to be better at recognizing linguistic sounds associated with affective meaning (Bryden et al., 1982), affective component of prosody (Ross & Mesulam, 1979; Tucker , Watson, & Heilman, 1977), non-affective prosody (Weintraub, Mesulam, and Kramer, 1981) and voice identity (Kreiman & Van Lancker, 1988), as well as nonlinguistic sounds such as nonverbal vocalization (Carmon & Nachshon, 1973), pitch (Sidtis, 1981), and melody (Kimura, 1964). Also, Van Lancker & Froomkin (1973) suggest that pitch discrimination is lateralized to the left hemisphere when the pitch differences are linguistically processed. Finally, the right hemisphere is referred to as mute, capable of some comprehension, but unable to convert this into a linguistic output (Beeman et al., 1994; Gazzaniga, 1987). Tone identification processing is very much like this: Chinese speakers do not need to explicitly speak out which tone they are referring to for each word, but they need to know the individual tone for each word to be able to understand the meaning. In addition, the tone identifying process in Chinese is very similar to a pitch identifying process. This yields an interesting question: does the brain have a "tone identifier" in the left hemisphere (hence language processing remains in the left hemisphere but is redundant), or does the right hemisphere take the responsibility in identifying the tone and send the information back to the left hemisphere to recognize a word (hence processing takes more time and is not parsimonious)? In the following section, I will discuss five hypotheses for the hemispheric specialization for lexical tones.

Two Competing Hypotheses about Hemispheric Specialization for Lexical Tones

One hemisphere: The left hemisphere hypothesis

One hemispheric Hypothesis suggests that one hemisphere (left hemisphere or "language" hemisphere in particular) contributes to all pitch processing including tone processing (Wong, 2002). For example, previous studies in Thai language (a tone language which includes mid, low, falling, high and rising tones) indicate tone identification has a left hemisphere advantage. For instance, Gandour and Dardarananda (1983) examine the LHD participants' ability to identify words that differed minimally in the five Thai lexical tones. Results indicate that Left Hemisphere Damaged (LHD) participants performed more poorly at identifying Thai tones compared to one Right Hemisphere Damaged (RHD) participant and one normal control participant. Gandour and his colleagues (1998) later also used phonemic identification tests to indicate that tone production was relatively spared in aphasic subjects with unilateral left hemisphere lesions. In addition, in a cross-linguistic study, Gandour and his colleagues (1998) found that when discriminating pitch patterns in Thai words, the Thai subjects showed activation in the left frontal operculum. Activation of this region near the classically defined Broca's area suggests that the brain recognizes functional properties, rather than simply acoustic properties, of complex auditory cues in accessing language-specific mechanisms in pitch perception. Other recent supporting evidence was from the studies that Wang, Jongman, and Sereno conducted in 2001. They used the dichotic-listening paradigm to present auditory stimuli of Chinese one-character-words with different tones to native Mandarin and English speakers and asked them to identify the tones of the stimuli. Their results show an Right Ear Advantage (REA) for native Mandarin speakers but not for native English speakers. Hence, their finding supports the left hemispheric specialization for Mandarin tone processing in an identification task.

Two hemispheres: the functional hypothesis

The functional hypothesis (Wong, 2002) suggests that pitch patterns are lateralized to different hemispheres of the brain depending on functions of pitch patterns. Based on this

hypothesis, pitch patterns used to convey word meanings such as Chinese lexical tones are lateralized to the left hemisphere. Pitch patterns carrying a different function such as intonation patterns signaling affective moods are lateralized in the right hemisphere. Studies discussed in an earlier section, *One hemisphere: the left hemisphere hypothesis* and *One Hemisphere: the acoustic hypothesis (the right hemisphere hypothesis)*, can be combined and be explained by the *functional hypothesis.*

For Mandarin tone processing, those two hypotheses in fact have same prediction in terms of hemispheric specialization: left hemisphere. Based on those studies, it seems reasonable to postulate that left hemisphere is dominantly (if not only) involved in Mandarin tone processing.

Table 2: Two competing hypotheses for hemispheric specialization for lexical tones

Hypothesis	**1**	**2**
Hemisphere(s) involved	One Hemisphere	Two Hemispheres
Hypotheses	The left hemisphere hypothesis	The functional Hypothesis
Description	The left hemisphere contributes to all pitch processing including tone processing.	Pitch patterns are lateralized to different hemispheres of the brain depending on their functions. pitch patterns used to convey word meanings such as Chinese lexical tones are lateralized to the left hemisphere. Pitch patterns carrying a different function such as intonation patterns signaling affective moods. are lateralized in the right hemisphere.
Supporting Evidences	Gandour & Dardarananda (1983);	See 1 & Jones, Longe & Vaz Pato

	Gandour et. al. (1998); Wang, Jongman, & Sereno 2001).	(1998); Bradvik et. al. (1990).

EXAMINE THE HEMISPHERIC SPECIALIZATION FOR CHINESE WORD RECOGNITION AND MANDARIN TONE IDENTIFICATION

Experiment 1a and 1b were designed to examine the hemispheric specialization of Chinese word recognition and Mandarin tone identification. A *divided-visual field paradigm* was adopted to measure the lateralization of Chinese word recognition and Mandarin tone identification. When participant visually fixate on the central point of the computer screen, the image shown (either a picture or a word) in the left visual field will project onto right hemisphere, and vice versa (Figure 1). Notice that the information eventually will be passed from one hemisphere to the other through the connection between two hemispheres, corpus callosum. Because the natural eye saccade speed is 180 milliseconds (Bryden, 1982), the presentation duration of the visual image shown in either visual field should be 180 milliseconds or less (178 msec in this experiment). In addition, the visual angle between the visual image (stimulus) and the fixation point should be between two and six degrees (Yang, M. J. and Cheng, C-M., 1989). The visual angle is experiment 1a and 1b is 2.4^{o}.

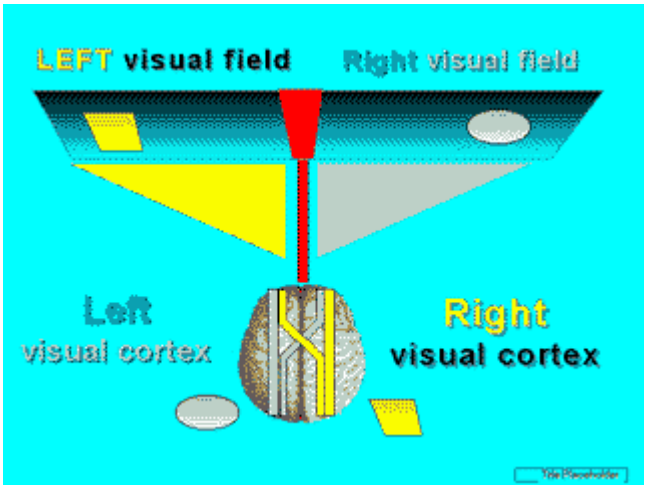


Figure 1. This diagram shows how the visual fields are divided between the hemispheres of the brain. Information from the left visual field (everything to the left of the central line as we look ahead, goes to the RIGHT visual cortex, while everything in the right visual field goes to the LEFT visual cortex. Each eye contributes information to both visual fields. Half that information remains on the same side of the brain, and half crosses over to the other side of the brain. http://intropsych.mcmaster.ca/intropsych/1a3/brain/lec4-1.htm

Same group of subjects participated in both experiment 1a and 1b. In experiment 1a (Chinese word recognition), participants were asked to decide if they know the word showing on the computer screen or not. In experiment 1b (Mandarin tone identification), participants were asked to decide if the word on the screen is an indicative tone or not (i.e., tone 1). Half of the participants were assigned to perform experiment 1a first, and the other half of the participants were assigned to perform experiment 1b first. In addition, half of the participants used their right hands to press the respond buttons on the right side of the keyboard, and the other half used their left hands to press the respond buttons on the left side of the keyboard.

The independent variables are participants' genders, word frequencies (high or low), different visual fields (right-visual field and left visual-field) and different tones (high level, high rising, low falling rising, and high falling tone). The dependent variable is subjects' response time.

Experiment 1a: Chinese Word Recognition

Methods

Participants:

Thirty-seven native Chinese Mandarin speakers who were 18 years old or older participated in this study. Ten were male, and twenty-seven were female (mean age = 26 year-old, mean year staying in Taiwan = 23.43). Except two females (were both-handed), they were right-handed undergraduate/graduate students at the University of Minnesota. None of them had head injury history.

Apparatus: A 486 PC with a 14 inches color monitor were used in this experiment. A chin-rest were also used to fix participants' head positions (Figure 2a and 2b).

Figure 2a. The computer (486 PC) and chin-rest used in this research.

Figure 2b. The experimenter was testing the program before the experiment.

Stimuli:

Eight hundred and sixteen (816) Chinese one-character words were used in experiment 1a. Those words were taken from the database of a local Newspaper company in Taiwan, Please

refer to Appendix 1 for the comprehensive lists of the stimuli. All words were presented in white on the black background. These 816 words included same amount of words from four different Mandarin tones. Also, half of them were high frequency words and the other half were low-frequency words. In addition, half (408) of there were the words that participants should know, half of them were super low frequency words that participants should not know. Among those 408 words that participants should know, half of them (204) were presented in the left-visual-field and half of them were presented in the right-visual-field. The same allocation for the super low frequency words (see Table 6).

Table 3: Numbers of words used in experiment 1a

	Right-visual-field	Left-visual-field	Sum
Words	204	204	408
Super low frequency words	204	204	408
Sum	408	408	816

Procedure:

Participants were asked to fill out the consent forms (written in English) and background questionnaires (written in Chinese). Then participants were asked to go through the following steps:

1. Sit in front of a computer screen.
2. Read instruction on the computer screen. In this phrase, the experimenter specially emphasized that participants must look at the center point of the screen because a word will be presented in either left or right side in a very short period of time. It is to participants' best interest to focus their attention on the center point to be able to finish this experiment.
3. Go through a 5-minute practice session before they start the experiment. Participants were asked to:

(a) Rest his/her chin on the chinrest and look at the center point of the computer screen.

(b) A "+" will be presented on the center of the screen for 500 milliseconds. A Chinese one-character word will then be presented to either the right or left side of the center point ("+" will still on the center, and participants were asked to look at the center fixation point all the time).

(c) Participants were asked to press a "Yes" key if they knew the word on the computer screen. Otherwise, they were introduced to press the "No" key.

Result

An alpha level of .01 was used for all statistical tests.

An analysis of variance (ANOVA) was done in response time with gender (male, female) as a between subjects factor, and word frequency (high, low), visual field (left-visual field, right-visual field), and tone (tone 1, 2, 3, 4) as within subjects factors. There was main effect on word frequency ($F(1,10489)=142.447$; $p<.001$; power=1.000) such that participants responded much faster to high frequency words than to low frequency words. In addition, the main effect on visual field ($F(1,10489)=12.028$; $p<.01$; power=.934) was found such that participants has much faster response time when words were presented in the right-visual field, indicating a reliable left hemispheric advantage effect. Also, there was main effect on gender ($F(1,10489)=45.279$; $p<.001$; power=1.000) was found such that female participants had much faster response time than male participants. No main effect on tone was found ($F(3,10489)=4.231$; $p=.826$; power=.108). A close-to-significant gender by visual field interaction was found ($F(1,10489)=9.198$; $p<01$; observed power is .858).

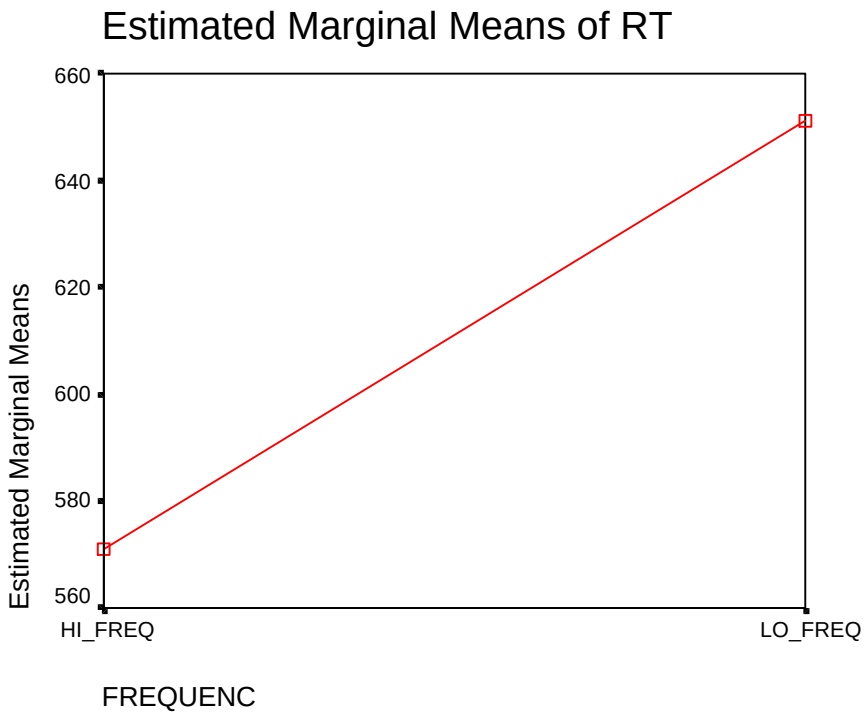


Figure 3a: Main effect on word frequency was found. Participants responded to high frequency words much faster than low frequency words.

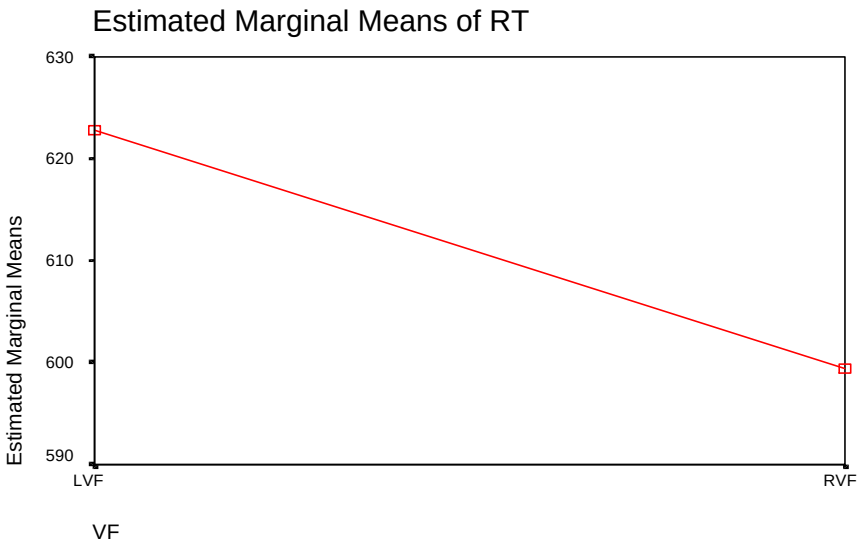


Figure 3b: Main effect on visual field (VF). Participants responded words shown in the right visual field (RVF) much faster than words shown in the left visual field (LVF), which indicates a left hemispheric advantage.

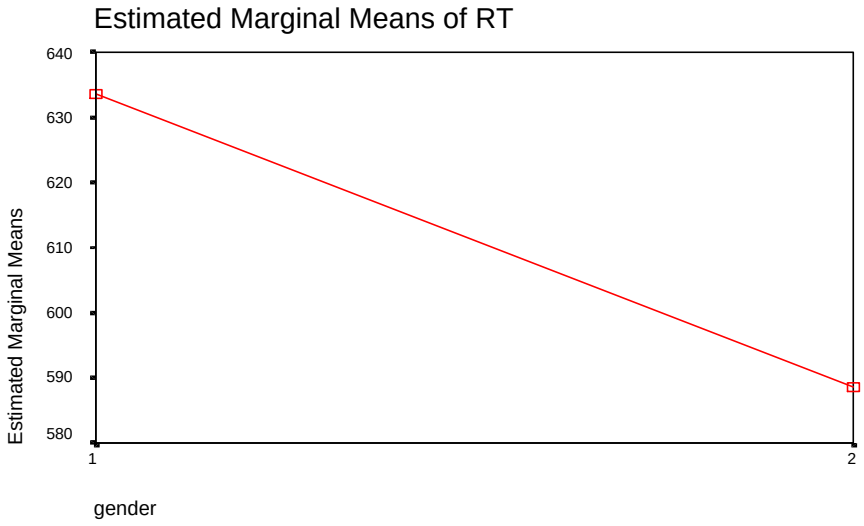


Figure 3c: Main effect on gender was found. Female participants had much faster response time than male participants.

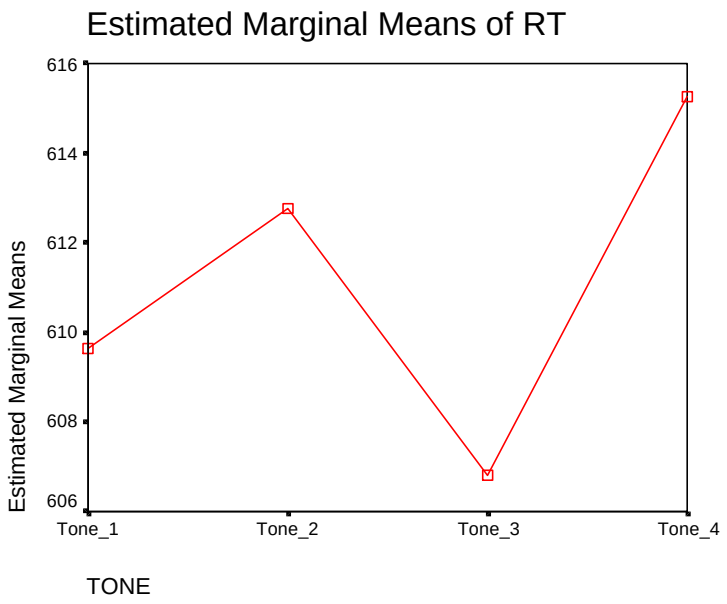


Figure 3d: No main effect found on word tone.

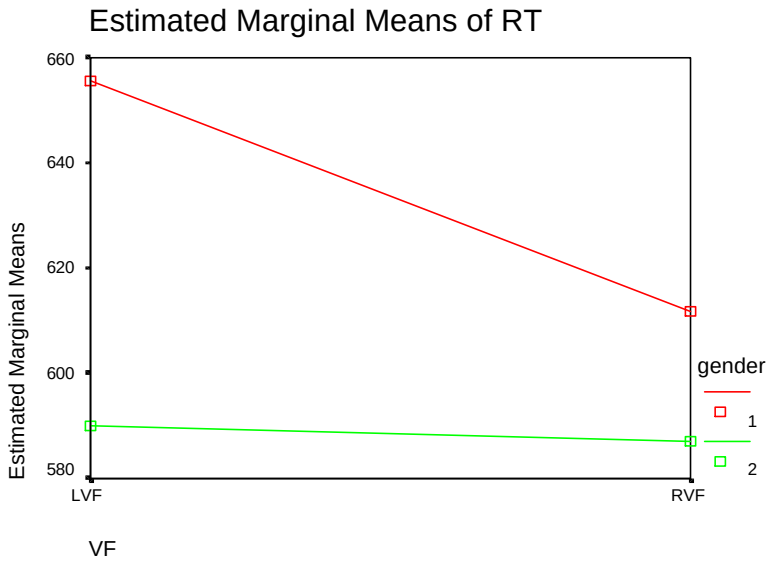


Figure 3e: A close-to-significant gender by visual field (VF) two-way interaction was found. This indicates an asymmetric hemispheric specialization for male and female participants.

Experiment 1b: Mandarin Tone Identification

Methods

Participants:

Same as in experiment 1a.

Apparatus:

Same as in experiment 1a.

Stimuli:

Another eight hundred and sixteen (816) Chinese one-character words were used in experiment 1b. None of them was used in experiment 1a. There were four sessions in experiment 1b. Each session included one forth of the total words (204). Half of the 204 (102) words were presented in the left-visual-field, and another half were presented in the right-visual-field. For both fields, half of the 102 words (51) were high flat tone (tone 1), another half were either high rising tone (tone 2), low falling rising (tone 3) or high falling (tone 4). The similar allocations were for session 2 (tone 2 was correct), session 3 (tone 3 was correct), and session 4 (tone 4 was correct).

Procedure:

Same as in experiment 1a, except participants were asked to press a "Yes" key if the word on the computer screen is an indicative tone (i.e, tone 1). Otherwise, they were introduced to press the "No" key.

After they finished both experiment 1a and 1b, participants were thanked for their participation and received $15 monetary reward.

Result

An ANOVA was done in response time with gender (male, female) as a between subjects factor, and word frequency (high, low), visual field (left-visual field, right-visual field), word tone (tone 1, 2, 3, 4), and target tone (1,2,3,4; which tone is the target) as within subjects factors. There was a main effect on word frequency ($F(1,21541)=76.565$; $p<.001$; power=1.000) such that participants responded much faster to high frequency words than to low frequency words. There was also main effects on both word tone ($F(3,21541)=15.179$;$p<.001$; power=1.000) and target tone ($F(3,21541)=20.745$; $p<.001$; power=1.000). In addition, there was main effects on gender ($F(1, 21541)=308.327$; $P<.001$; power=1.000) such that female participants had much faster response time than male. No main effect on visual field was found ($F(1,21541)=5.779$; $p=.016$; power=.671).

A frequency by word tone two -way interaction was found ($F(3,21541)=5.361$; $p<.01$; power=.935). In addition, a frequency by target tone two -way interaction was found ($F(3,21541)=49.795$; $p<.001$; observed power=1.000). Moreover, a word tone by target tone two -way interaction was found ($F(3,21541)=5.943$; $p<.001$; power=1.000). Also, a target tone by gender two-way interaction was found ($F(3,21541)=12.387$; $p<.001$; power=1.000). Finally, a frequency by word tone by target tone by visual field four-way interaction was found ($F(3,21541)=3.750$; $p=.001$; power=.965).

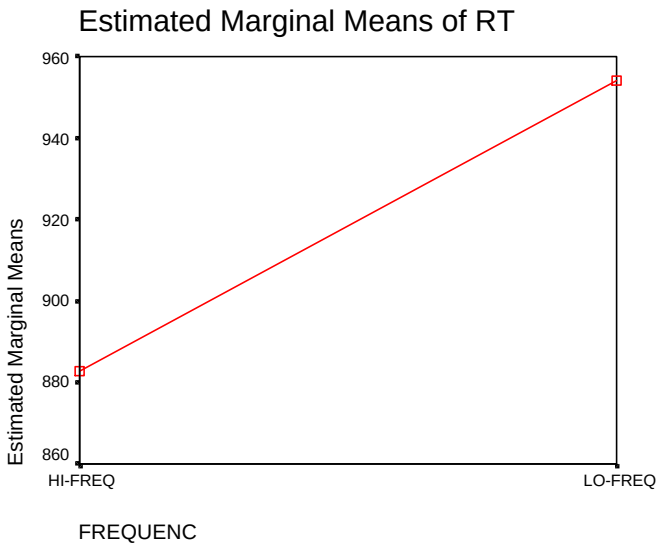


Figure 4a: Main effect on word frequency was found. Participants responded to high frequency words much faster than low frequency words.

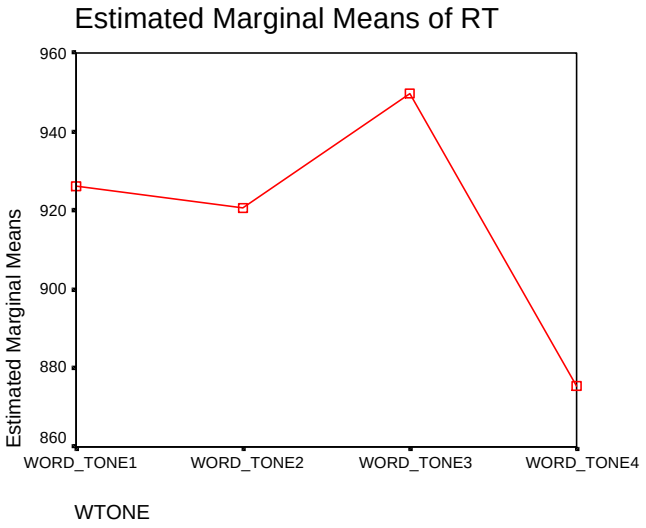


Figure 4b: Main effect on word tone was found. Participants responded much faster if the word is tone 4.

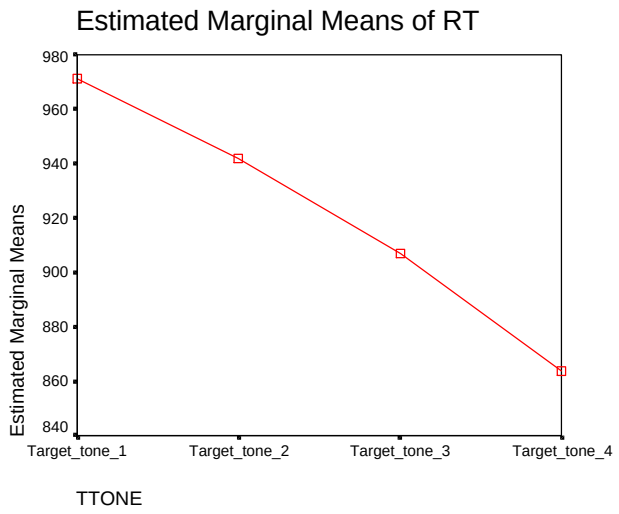


Figure 4c: Main effect on target tone was found.

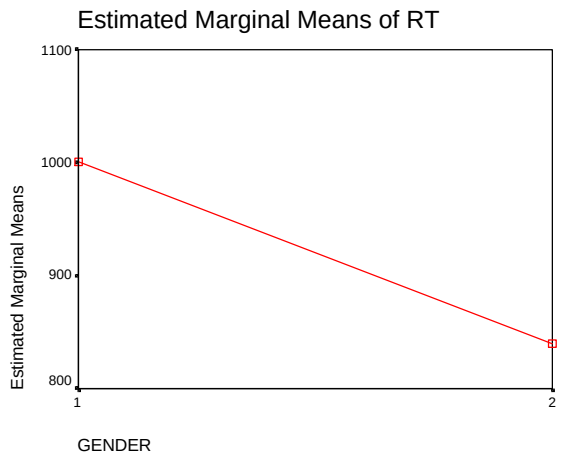


Figure 4d: Main effect on gender was found. Female participants (gender=2) had much faster response time than male participants (gender=1).

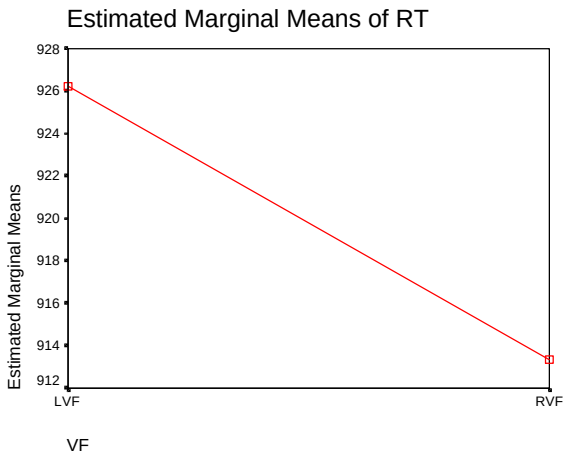


Figure 4e: No main effect found on visual field.

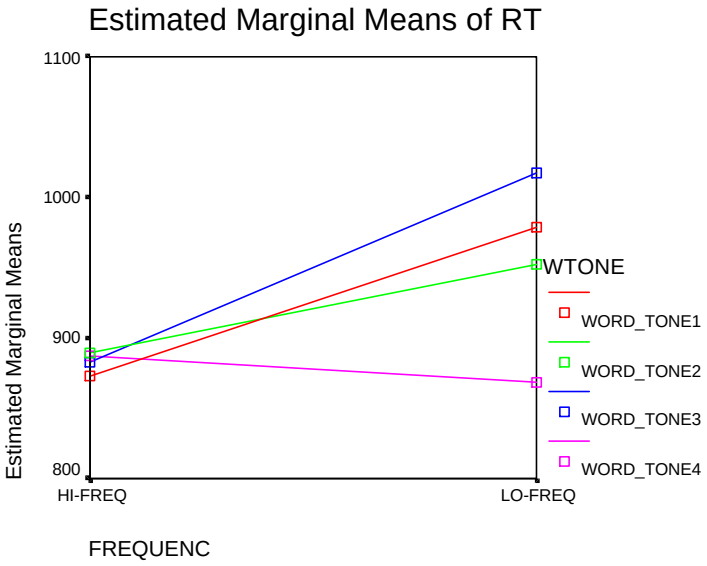


Figure 4f: A significant frequency by word tone two-way interaction was found.

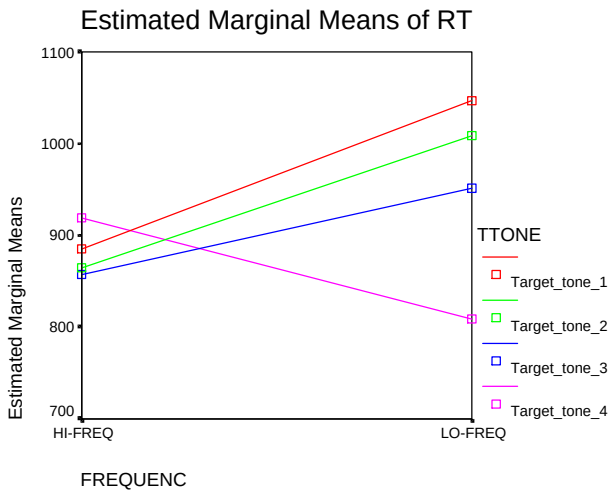


Figure 4g: A significant frequency by target tone two-way interaction was found.

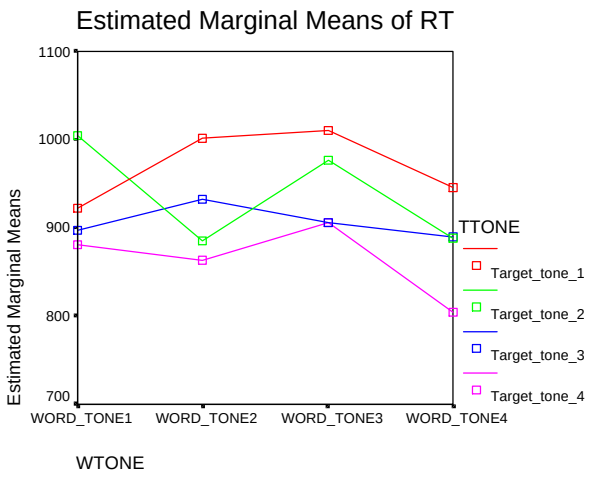


Figure 4h: A significant word tone by target tone two-way interaction was found.

Discussion and Future Research

The results indicated different hemispheric specialization patterns for Chinese word recognition and Mandarin tone identification. It shows that readers process similar sets of stimuli (Chinese characters) in different ways. The longer response time for Exp 1b further indicated that tone identification took more time than the word recognition. According to *Universal Phonological Principle* (Perfetti, 2003), it described the role of phonological processing in word recognition as the following: "phonological access is automatic and difficult to ignore, just like meaning access for a word is difficult to ignore." If so, the response time in experiment 1b should not be longer than experiment 1a, as tonal information is part of the phonological information in Chinese. It seems that the *Universal Phonological Principle* cannot explain the results observed here. At least the phonological activation in experiment 1a (if there is really a automatic phonological activating) is not enough for subject to complete the tone identification in experiment 1b. Therefore, additional information processing was needed for experiment 1b and increased the readers' response time. Notice that in experiment 1a and 1b, the fact that readers' ability to process information differently based on the task requirements is consistent with the concept of brain plasticity (Merzenich, 1998), the nature changes that occur in the brain as our brains learn, reactive existing connections, build up new connections, and adjust (such as assimilate and accommodate) the ways to process information.

To further examine if the phonological activation is induced by the task requirement, we proposed the following two experiments:

Experiment 2(a): Chinese Word Color Naming

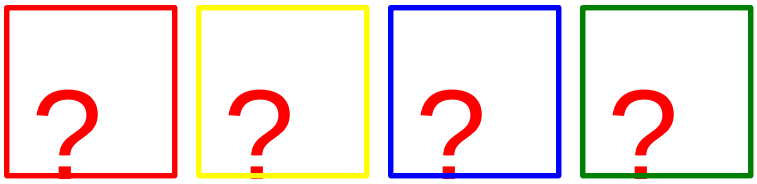
This study is basically a replicated study as in Spinks et. al. (2000), with two additional categories of stimuli (different on-set homophones and different coda homophones). A set of

stimuli (seven Chinese characters, their meanings, and their pronunciations) will be used in this study are shown below.

?	?	?	?	?	?	?
red	flood, big	boom	blood	pass through	child	bosom
/hong^{2}/	/hong^{2}/	/hong^{1}/	/xue^{3}/	/quan^{4}/	/tong^{2}/	/huai^{2}/

This set is called "congruent" group because the meaning of the first character is the same as the color. When it is presented is a different color, readers would name its color significantly slower (see Stroop effect, Stroop, 1953). This experiment 1a should replicate the results of Spinks et. al. (2000). That is, readers would not only name the color of the character "? " slower (because the color and meaning is incongruent), but also name the color of the character "? " slower (because it activate the pronunciation automatically, therefore activate the character "red" as well and make the response slower).

Experiment 2(b): Chinese Word Color Decision



The stimuli used here would be the same as in experiment 2a, except that we added a color frame to each character. The participants for experiment 2a and 2b will be both native Mandarin Chinese speakers and Chinese as second language learners. The second Readers will be asked to press a Yes/No bottom to show if the color of the character is/is not the same as the

color of the frame. Comparing the results for native and second language speaks would tell us if there is difference in terms of language development/acquisition processes. Comparing the results from experiment 2a and 2b would tell us if phonological processing is optional. Experiment 2b is a “color decision” task and does not need any verbal report form the readers, it may reduce the chance of phonological activation (if phonological activation is indeed optional). Specifically, if the phonological interference effect is observed in experiment 2a but not in experiment 2b, it would indicate the phonological activation may be optional and the *Universal Phonological Principle* would need to be modified.

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Title of paper:

Language, technology and the Law: Anti-plagiarism software and student academic writing

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Language, technology and the Law: Anti-plagiarism software and student academic writing

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Australia

Abstract

Plagiarism is of grave concern for academic institutions in the twenty-first century. Institutions utilise plagiarism policies, honour codes and regulations to ensure students develop a sense of educational integrity. Technology has recently afforded new methods for staff to detect plagiarism – through anti-plagiarism software. This paper explores perspectives of seven teachers across five faculties to Turnitin.com (an anti-plagiarism software package) at a large Australian university. The findings indicate that software such as Turnitin.com may assist in the quest to detect text-matching, and perhaps reduce plagiarism. It should not, however, be considered the panacea for plagiarism. Plagiarism policies should also reflect cognisance of the existence of a 'plagiarism continuum' (Sutherland-Smith, 2003) through the use of technology. This research highlights the broader need for institutions to reformulate plagiarism policies in light of cross-cultural perspectives of authorship and attribution of text.

Introduction

Most academic institutions have developed plagiarism policies, codes of honour or other forms of rules governing staff and student with respect to acknowledgement and attribution of text. Many institutions frame plagiarism

policies to include academic misconduct and penalise offenders. Such policies are largely framed by Western notions of authorship, which have historically arisen from the law (Sutherland-Smith, 2003).

Legal concepts of authorship

The emergence of plagiarism from developing legal notions of authorship in the mid fifteenth century. The 'Romantic' or 'traditional' view of authorship focussed on the author, who was conceived as an individual creator of an original work. As such, the author was considered to have legal rights over his creation. As concepts of possessive individualism were growing in society at the time – the environment nurtured ideals of individual ownership in the form of literary property rights. Indeed, the English Statute of Anne of 1709 [1] legalized an author's claim of proprietary rights over his literary work, as he was in the position of 'father' or 'begetter' of the work and the text itself was the 'child'. The belief that words could be kidnapped or misappropriated with legal recrimination, saw the legal birth of ownership or authorial rights over literary work and with it, the notion of taking the words of another person without attribution - plagiarism. Many of the policies from Western institutions display a legalistic view of authorship. For example:

Monash University (Australia)

Part VI of the Discipline Statute sets out Monash University's plagiarism policy. One interesting aspect of the policy is the clear delineation of degree of intention in the action of plagiarism. This university has made the element of intention a deciding factor in the degree of seriousness of the misdemeanour. The policy states:

Plagiarism means to take and use another person's ideas and or manner of expressing them and to pass them off as one's own by failing to give appropriate acknowledgement. If the passing off was:

done intentionally, the student has cheated;

not intentional, the only offence the student has committed is the academic misdemeanor of failing to reference a source correctly

(http://www.adm.monash.edu.au/unisec/academicpolicies/policy/plagiarism.html)

Simon Fraser University (Canada)

The policy at Simon Fraser University in Toronto, Canada, states:

Plagiarism is a form of academic dishonesty in which an individual submits or presents the work of another person as his or her own…Plagiarism also exists when there is inadequate recognition given to the author for phrases, sentences, or ideas of the author incorporated into an essay
(http://www.sfu.ca/policies/teaching/t10-02.htm.)

The University of Oregon (USA)

The University of Oregon, USA cites plagiarism as:

Plagiarism is the inclusion of someone else's product, words, ideas or data as one's own work. (http://www.libweb.uoregon.edu/guides/plagiarism/students)

The University of Auckland (New Zealand)

The University of Auckland, New Zealand indicates plagiarism is:

Plagiarism is the inclusion in your assignment of material copied or closely paraphrased from someone else's writings (including textbooks and assignments by other students) without an explicit indication of the source of the material.
(http://www.auckland.ac.nz).

The University indicates that it 'takes a serious view of plagiarism' and says it does not matter whether the student 'was intending to cheat, it is clear that submitting someone else's work or ideas is not evidence of your own understanding of the material and cannot earn you marks.

The University of Hawaii (Manoa)

The University of Hawaii (Manoa) embraces a student honour code. The policy states plagiarism is dishonest. Section.5 (15) (a) says:

Plagiarism includes but is not limited to, submitting to satisfy an academic requirement any document that has been copied in part or in whole from another, individual's' work without identifying that individual; neglecting to identify as a quotation a documented idea that has not been assimilated into the student's language and style; paraphrasing a passage so closely that the reader is misled as to the source, submitting the same written or oral material in more than one course without obtaining authorisation. (http:www.catalog.Hawaii.edu/03-04/567-571campuspolicies.pdf). Accessed October 28, 2004.

These policies use terms such as dishonest; cheating; penalty and breached. Most of the policies include regulations for punishment of offenders, ranging from warnings to expulsion from the university. Not surprisingly, academics and researchers in the field of Literary Theory and cross-cultural studies question traditional notions of the Romantic author.

Literary Theory challenges to traditional notions of authorship

Romantic notions of the author as individual creator are not favoured by many literary theory academics. They consider that with internationalisation of

curriculum, broader theories of authorship and a general tolerance of what Edward Said (1978) calls the voice of 'the Other', are warranted. Furthermore, they argue that adhering to traditional notions of authorship and its violation through plagiarism is outdated. Martha Woodmansee (1994) is one such academic and she writes:

> Teachers too often remain loyal to a reductively expressive model of composition, which defines their task as one of helping students 'find a voice' - articulate the authentic, originary selves that lie deep within, beneath the layers of cliché in which they write. This unrealistic model of composition places extraordinary demands on students. Everyone fails to measure up, but those young writers whose shortcomings are most visible are those- often students with non-Western backgrounds- who have not internalised basic lessons of intellectual property early in their educational careers, and who neglect to employ conventional means to mark the boundaries between 'original' and 'derivative' material (p.10).

Her views are supported by research in the area of plagiarism. Carolyn Matalene's (1985) research at Shanzi Daxue University in China argues that broader understandings of non-Western writing traditions are necessary. She asserts that 'ethnocentrism is a less and less appropriate response, we need to understand and appreciate rhetorical systems that are different from our own' (p 790). Similarly, Sharon Myers (1998:13) contends that traditional Western notions of plagiarism 'splinter on close examination…and a new order is needed'. This 'new order' includes non-Western writing traditions.

Alastair Pennycook (1996) agrees and considers that Western notions of plagiarism are not cross-culturally applicable. He argues that in cultures where rote learning and huge feats of memory are regarded as displaying intellectual superiority, and notions of Western citation styles are inapplicable or inappropriate. Pennycook (1996) observes that:

Given the emphasis on the creative individual as producer and owner of his or her thoughts, it seems that the borrowing of words is often discussed in terms of *stealing* (author's emphasis) of committing a crime against the author of a text. This particular connection presumably has its origins in the peculiarly Western conjunction between the growth of the notion of human rights and the stress on individual property, thus making the reuse of language already used by others a crime against the inalienable property rights of the individual (p.214).

Pennycook's (1996) view that Western notions of plagiarism are merely one way of viewing the issue has received support from academics who consider that plagiarism is not a simple matter of ascertaining whether text was copied or not by students without attribution (Angelil-Carter, 2000; Howard, 1995, 1999, 2000, 2002; Lunsford & Ede, 1994; Pennycook, 1996; Scollon, 1994; Woodmansee & Jaszi, 1995). There are deeper issues underlying such practices. In fact, Fan Shen (1989), when learning English in the USA and being instructed to 'write what you think and be yourself', states:

To be truly myself, which I knew was the key to my success in learning English composition, meant not to be my Chinese self at all. That is to say, when I write in English I have to wrestle with and abandon (at least temporarily) the whole system of ideology which previously defined me in myself…I had to put aside an ideology of collectivism and adopt the values of individualism (p.461).

Cross-cultural concepts of writing and notions of attribution are not often incorporated into plagiarism policies in our tertiary institutions. Additionally, researchers such as Ron Scollon (1994: 38) criticise academic institutions for encouraging the sustainability of these traditional methods of attribution. He claims that there is a shift away from the notion of an 'original, creative, rational and individualist authorial-self expected in English academic writing' and urges acknowledgement of the wider, authorial community, including cyber-authors. The focal point of the debate is whether the Romantic view of authorship is an appropriate tradition by which to measure the writing of students in different

writing environments. Indeed, the Romantic view of authorship as embodied in university plagiarism policies is also questioned in online classrooms.

Internet challenges to traditional notions of authorship

Traditional notions of authorship are not helpful for teachers or students in the digital age of the global classroom. As a great deal of online class work is collaborative, researchers argue that 'old laws of copyright are not adequate to deal with the exchanges of information possible on electronic networks and global conference networking' (Angelil-Carter, 2000:247). The argument is extended to suggest the boundaries 'essential to the survival of our modern fiction of the author as the sole creator of unique, original works' are being dissolved (Woodmansee, 1994: 25).

The Internet is a new space in which writing creation takes place and the law is having trouble recognising the problems and the different way in which we deal with Internet information (Bolter, 1991). Traditional legal notions can protect stable print texts, but in the hypertext environment, texts can change and move by the author as well as others (Kress, 1997, 2003). It is difficult to apply traditional notions of authorship to the Internet where a 'work' can be created as text, images or graphics in cyberspace, which itself is an intangible medium. Additional problems arise where the Internet provides for rapid and easy copying of sections or whole works (Gurak, 2001; Lankshear, Snyder, & Green, 2000; Larson, 2001; Lincoln, 2002; Litman, 2001). As the Romantic view of authorship has previously relied upon the idea that a work has specific boundaries, it becomes problematic to apply these views to an environment where, as Anne Fitzgerald (2000: 4) states 'the fences are too easily removed'. The fact that the Internet is a transnational and international means of communication, transcending national or nation-State legal boundaries is challenging traditional concepts of authorship. Furthermore, digitised information can be considered

intangible property which also creates tension for traditional notions of authorship. As Peter Jaszi (1994) warns:

> A battle is shaping over the future of the Internet. On the one side are those who see its potential as a threat to traditional notions of individual proprietorship in information, and who perceive the vigorous extension of traditional copyright principles as the solution. On the other side are those who argue that the network environment may become a new cultural "commons" which excessive or premature legal control may stifle … The ideology of Romantic "authorship" however, has greater potential to mislead than to guide the decision-makers (p.56).

The challenges from literary theory and technology to traditional notions of authorship and consequently to plagiarism as defined and promulgated in policy suggest new ways of conceiving plagiarism are needed. This may become of paramount importance where anti-plagiarism software is used to detect plagiarism.

The site: South-Coast University, Melbourne, Australia

South-Coast University (SCU), a large university in Melbourne, Australia was the site of this study. The university has a population of around 32,000 students in 2004 of whom 59% study on-campus at one of SCU's four campuses and 41% study off-campus. SCU has four campuses in Australia, all located in Victoria, a southern State of Australia. Central campus has 11,911 students and is located near the central business district in the city of Melbourne – the capital city of the State of Victoria. A second campus has 5,112 students and is located in Catswood, a satellite city 100 kilometres (62 miles) south-west of the city of Melbourne. A third campus, Hillside, is located in a rural community some 400 kilometres (248 miles) west of the city of Melbourne. Just over 1,077 students study at Hillside. Finally, around 3,298 students study at Riverside, a campus dedicated to post-graduate study, which is some 23 kilometres (14 miles) from

the centre of Melbourne. Participants in the trial were located on all four campuses of SCU and the seven teachers taught in undergraduate and post-graduate programs from five different faculties: Arts, Business, Law, Education and Science & Technology.

The study design and methodology

The aim of the study was to explore teacher perceptions of the usefulness and applicability of Turnitin.com, an anti-plagiarism software package developed by Dr. John Barrie of the University of Berkeley, California. Many universities in Australia, and indeed in 51 countries around the world, have purchased Turnitin.com software. SCU decided to trial the software during 2004 with 2000 students and seven teachers over its four Australian campuses. A qualitative study, using interviews and observation of staff was used. Three interviews with staff were designed: an initial interview to gauge teachers' conceptions of what the software would do; a medial interview after software training and a final interview in which teachers uploaded assignments to Turnitin.com and checked for text matches. Observation of teachers' use of the software and questioning about application and usability were undertaken at this stage. Observation notes were taken by a research assistant while the primary researcher asked questions. Interviews were transcribed and N*Vivo, a qualitative package useful for coding data, was used in order to organise data by theme.

Results and discussion

(i) Initial teacher perceptions

At initial interviews, which were conducted before teachers had undergone Turnitin.com training, most teachers expected the software would identify plagiarism. Their expectations were that in some way, the software would highlight passages of text and identify those passages as plagiarised. They expected they would need very little input in identification of plagiarism. Six teachers at initial interview favoured the introduction of the Turnitin.com software. The majority considered that the software would probably detect plagiarism more efficiently and consistently than they could. They also believed that the online detection tool would be quicker and could search more widely than each individual teacher. This, they considered, would save time, as at present they used a battery of search engines, such as Google, Yahoo and Coppernick. Their comments are encapsulated in the response of Glen, a psychology teacher from the Faculty of Arts who said:

> This is going to be great. It should save me hours because it will trawl through thousands of pages of material on the databases and find spots where text has been lifted. I hope it will be a quick and relatively thorough means of finding out where students plagiarise and highlight those spots for me. It takes me so long at the moment and even though I can spend a couple of hours checking suspect papers, I'm never really convinced that I've got everyone. This could be the answer. (Glen, interview, May, 2004).

Comments such as 'It'll be fantastic, the software will find where students' have plagiarised from and then they can be dealt with' (Will, Faculty of Law, interview June 2004) summarises the common perception of six of the seven teachers involved in the trial. One teacher from the Faculty of Education, however, expressed reservations about using the software. He was concerned about the way in which such a tool could be used to punish rather than help students overcome issues with plagiarism. Barry said:

You know, I'm worried about the application of this software. I hope we as a university don't invest in it. I think it makes it all too easy to rely on technology as empirical evidence of plagiarism and this will allow staff not to check out with students what's going on with their writing. It offers an easy solution to academics to point the finger at students and in a way there's an abrogation or our responsibility to teach the students not to plagiarise in the first place. I think it will be used as a stick rather than a carrot. (Barry, interview, April 2004).

Generally, staff perceptions were that the software would identify plagiarism and take that responsibility away from staff. Of course, this is a slightly naïve expectation, as the software can identify matching tracts of text but cannot, of course, make the decision whether the text-match constitutes plagiarism or not. This is because some of the text-matches that occur are correctly referenced, as the software does not distinguish between text that is referenced and text that is not. The software only identifies matching sets of text. The decision as to whether the text-match constitutes plagiarism or not must be made by individual teachers. It is assumed that when teachers decide a student has breached the plagiarism regulations of the institution, that the teachers have relied on those regulations as stipulated by the university.

(ii) Teacher perceptions after Turnitin. training

Medial interviews were conducted after teachers had been trained in the use of Turnitin.com's anti-plagiarism software. Of the seven teachers, six were a little disappointed that the software did not discount text that was correctly referenced. Comments are aptly summarised by Deb from the Faculty of Business and Law who said:

I had thought that the text-match would pick up text that was not correctly referenced. It hadn't occurred to me that ALL text that matched would be identified. Really, in terms of effort, I have to now go through and see whether the

text that has been identified as ‘match’ has been correctly cited or referenced by the student or not. If it has, then there’s no question of plagiarism. I didn’t expect this, as I said, so it will take a bit more time than I thought initially. Also, the lists of references are identified as ‘match’ because they’ve been used in the body of the assignment. Again, that’s fairly automatic checking but it’ll take time that I didn’t think I’d need to spend. Hopefully the software can be improved so that things like direct quotations can be recognised and discounted as potential plagiarism. (emphasis in the original, Deb, interview, August 2004).

On the other hand Will, from the same faculty, said he had expected this to be the case. He was not surprised that the software detected text-matches but did not distinguish between correctly referenced and non-referenced text. Will said he had used other anti-plagiarism software in the past and this was a common problem. The advantage of Turnitin.com software, as teachers perceived it, is that the degree of text match is identified by colour and highlighted in-text. Will thought this feature was highly desirable. He said:

This is of huge benefit. Generally, I’m only going to check the text that comes up anywhere from 100% match [red] to 33% match [yellow]. I don’t tend to worry about the blue and green as they’re so insignificant that there’s not likely to be a problem with that degree of match. The colours mean I can decide without opening individual documents, which ones I’m going to check more closely, just buy looking at the colour-coding percentage of match. It’s wonderful! (my insertions, Will, interview).

(ii) Teacher perceptions of the usability of Turnitin.com

At final interview, teachers were asked about the usefulness and usability of the software. Most teachers were reasonably happy with the usability of the software. They considered that instructions for use were clear and uploading documents to the Turnitin site was quite manageable. One teacher, Will, felt that the software needed to be more compatible with SCU’s internal software system. Will taught a

large number of off-campus classes where work, discussion and interaction took place online. Assessment tasks were also submitted and marked online. He considered it would be more useful to be able to take students' assignments from the WebCT platform that SCU uses and upload straight into Turnitin. This could not be done at the time of this trial. Will described that the number of steps needed to transfer the data from one place on the SCU system to Turnitinom.com as 'clunky', meaning it was laborious and time-consuming for the teacher. Apparently, at the time of writing this paper, iParadigms (the company which markets Turnitin.com software) is currently investigating the possibilities of such improvements.

Teachers expressed different reactions to Turnitin's speed of delivery of results. Some teachers considered the speed at which papers were returned (within minutes) to be most efficient. Others were not impressed as their papers took up to one hour to be returned. One teacher, Deb, from the Faculty of Business and Law, said that she had experienced problems with the system and several times had not been able to log on to check her students' work. From our project there appeared to be no pattern with speed of processing from the central server of Turnitin.com. There may, however, be an increased chance of delay with a greater number of papers being sent for checking. For example, Nola only sent two papers to Turnitin to be checked and they were returned within one minute and she was delighted with the efficiency of the service. Deb sent 68 papers and they were returned one hour later. She considered this to be a lengthy delay. Glen sent 168 papers to the site and they were returned in one and a half hours. He said this was quite acceptable. Therefore, it appears that degree of satisfaction with the speed of checking may depend on the individual teacher's expectation of software efficiency.

Overall teachers found the software useful to identify assignments where plagiarism was a problem. Teachers considered the colour-coding system of identifying text match by quantity, and presenting it as a total percentage of the whole work, assisted them deciding whether to check the assignment further. Most staff, after checking through some papers with the full range of colours, decided that checking only yellow, orange and red cases was worthwhile. They found that in most cases, where red coding indicated 100% text match existed (i.e. the entire assignment) that the assignment had been sent to the site twice. This means the assignments, when checked against each other, will be exactly the same, therefore red will appear as the coding for both pieces of work. A 100% match could be the result of human error, or in the case of one teacher – Craig – it was an assignment that contained an OECD report that had simply been 'cut and pasted' into the assignment answer. The student had only added a brief introduction. Craig said he was suspicious of the assignment initially when he had begun marking it and decided to send it to the Turnitin site for checking. He was most impressed with the results. The check came back within minutes and clearly identified the source of the OECD paper, the date and other information. Craig said:

> This is great because I intend to use this program to catch similar 'cheats'. How stupid do they think I am? Fancy just downloading a whole OECD report and expecting me to swallow that it's their own work. It was just cut and pasted from the OECD site…the whole thing! (Craig, Faculty of Business, interview 14 September, 2004).

Further issues:

A number of issues surfaced during this research project, which are listed but were not explored in depth during this trial. The issues are:

- Teachers can use the Turnitin.com software as a 'stick' not a carrot'. Where it is used as a punitive tool, the students don't learn about

plagiarism or how to avoid it. For students who are unsure as to why plagiarism is an academic offence this may be unfair, as students appear to be punished rather than educated.

- There is a possibility that different teachers regard instances of copying differently. Teachers don't always refer to the plagiarism policy- so it is likely that different teachers treat students differently, depending on their own understanding of plagiarism and the university policy. This may lead to inconsistency in dealing with plagiarism across an institution, faculty or department.

- Teachers react differently (as readers) to plagiarism. Often the decision to lodge a formal complaint with the faculty disciplinary committee results from such reaction. If 'angry' as Craig was, then they are likely to 'throw the book' at them. If the teacher feels that the student does not understand, then s/he is likely to let them off (Barry). Plagiarism is not uniformly decided in a standard manner by staff.

Conclusion

This study highlighted the benefits of using plagiarism detection software, such as Turnitin.com. The software was able to trawl online resources and provide relatively quick reports of cross-matching of text. The underlying issues of plagiarism, however, remain unresolved. The decision as to whether plagiarism has occurred, rests with individual teachers' notions of what constitutes plagiarism. Where there is disparity in such understanding and application of plagiarism policy, different decisions will result. If plagiarism policy or honour

codes are framed to ignore considerations of cultural and language background, other styles of learning and different perceptions of academic writing, inequity may result.

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[1] **Statute of Queen Anne 1709 (c. XIX) s.1.**

Caught Between *The Jungle* and *The Big Bad City*

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Evan Hunter, known worldwide as Ed McBain, is a popular writer *par excellence*. His bestselling 87th-Precinct cycle of police procedurals has won him unswerving loyalty of generations of readers, with sales to prove it: more than 100 million (and growing daily). Yet even the literary rearguard—all those whom Umberto Eco would describe as being of the apocalyptic persuasion—would find it hard to dismiss McBain as a generic crowd pleaser. Over half a century of writing what must be the longest running crime-fiction soap opera, his more than fifty-volume opus has routinely drawn extravagant praise from just about everyone, including the literary mavens. The *New York Times Book Review* has a hard time deciding whether his prose is dazzling or merely formidable, the normally reticent *Guardian* dubs him a virtuoso, and Jeff Zalesky sums up the consensus in *Publishers Weekly*: "McBain is so good he ought to be arrested" (54).

Police, murder, forensic and criminal investigations are central to every 87th Precinct novel. This is crime fiction, no mistake about it. But while McBain's heroes are the sparsely-drawn cops who, belying the formula, dis and dissect the American way of life as habitually as they process homicide scenes, his principal character is as unusual as the enigmatic ending of Hitchcock's *Birds* (for which he wrote the screenplay). It is not a person, even though he personifies "her" in every novel. It is a place, a metaphor and a state of mind. It is a habitat overrun by the human species living in North America today. It is, as in the eponymous title of his 1998 bestseller, The Big Bad City.

Although there are enough clues to recognize its real-life archetype, the author never identifies the city he so passionately describes. Leaving no doubt he is evoking the Big Bad Apple of New York, he precedes every novel with a formal disclaimer: "The city in these pages is imaginary. The people, the places are all fictitious. Only the police routine is based on established investigatory technique." Herein, perhaps, likes the key to McBain's success. With Dashiell Hammett's and James Cain's hardboiled act swept away by the post-war boom, with Raymond Chandler making over the tough-guy canon in his sentimental *The Long Goodbye* and self-consciously parodic *Playback*, the 1950 were fertile ground for a new brand of crime fiction. Mickey Spillane's anti-Communist luridness notwithstanding, gone were the days of a solitary sleuth with a Webley .455 for hire. Law-and-order business was now in the provenance of a plain-clothes professional, a career member of a civic

bureaucracy, a graduate of a police academy, and a specialized cog in a well-greased investigative machine. After the mafia syndication and the failure to federally regulate the drug industry, crime was too organized and rampant to leave it to a bunch of rumpled loners, no matter how lethal their side-of-the mouth drawl.

Enter the police procedural with its emphasis on the accuracy of the forensic technique, the detail of the investigative routine, and the nuance of mundane policework. Today, with ex-cops like Joseph Wambaugh or ex-criminal court reporters like John Katzenbach fusing first-hand experience and aesthetic appeal, the novelty of dishing out dollops of urban realism in quality fiction has largely worn off. But although it was the hardboiled masters who took crime out of a British drawing room and dumped it in the middle of the American backstreet, it was McBain who tossed it in the back of a city cruiser onto a jumble of tabloids, junk food wrappers, crack spoons, economic avarice, me-first mentality and racial prejudice. One of the first to put good, bad and ugly cops in narrative limelight, McBain went so far as to ride shotgun (though never packing heat) with the city blues, absorbing both the workaday MO of urban law enforcement and that curious Babel of bureaucratese, African American slang and underworld idiolect that makes up copspeak. With its brand-name veracity and perfect-pitch ear for street dialogue, his fiction gave inspiration to the producers of one of the most successful—because realistically low-key—TV police shows, *Hill Street Blues*.

The reasons are not hard to deduce. With contemporary New York as a chronotope, the 87th-Precinct cycle is an anatomy of the environmental niche overrun by more than 80% of all Americans: the City. Inhabited by millions, preyed upon by thousands, immortalized in prose from Tom Wolfe to Lawrence Sanders, McBain's city is a creature of beauty frequently described in lyrical terms echoing the opening sequence of Woody Allen's *Manhattan*. Even so, the gritty canons of the police procedural—the genre he created almost single-handedly in 1956 in the first 87th-Precinct story, *Cop Hater*—always lead back to the city morgue and to the rotting core of today's CNN Headline News America.

McBain is a master of dialogue of people in all walks of life and ethnic backgrounds. He is a master of description of his people's lives, rich and affluent, materially and culturally destitute, or driven and riven by crime. And behind them there are always busy city streets, where the narrator's eye passes from little Italian bakeries and coffee shops humming with chitchat, past theatres and modelling agencies, through slums and ghettos, to smoke-filled, cramped, reeking of coffee and urine confines of the 87th-Precinct station house. McBain's novels are a daily docket of its celebrity high-fliers and criminal lowlifes, blowing each other kisses while whisked away by the gravy train, or blowing each other away with high-calibre guns. Although elliptically set in New York, death and violence, political bigotry and ethnic strife, loneliness and lovelessness are facts of life in any American metropolis, turning the

Big Bad City into a symbol, an urban correlative and a metaphor. And, as befits the chronicles of the rugged and drugged myths of the twentieth-century metropolitan frontier, his novels invade the realm of the documentary, reproducing topographical maps, handwritten notes, advertising photos, airline schedules, business cards, traffic signs, autopsy reports, newspaper columns, headlines, fingerprint files, search warrants, scene-of-crime reports, and others daily detritus of life in a big crime-ridden urban shark tank.

This love-and-hate, night-and-day, Jekyll-and-Hyde personification of the urban and suburban sprawl is uniquely McBain. A genre writer—an urban procedural writer—he has the literary flair and sociological vision to belie critics for whom crime fiction belongs, in Harold Bloom's phrase, on the compost heap of popular literature. The influence of McBain's documentary aesthetics, designed to convey the feel of the complex societal machine even in typography, is hardly confined to America and Japan. Fans of Britain's Inspector Morse cycle—between 1987 and 2000 also an acclaimed TV series—will not miss how Colin Dexter, author of the Morse procedurals, peppers the pages with the same detritus of daily life that has come to define McBain: handwritten notes, news columns, obituaries, last will, poster, hotel receipt, *Police Gazette* puzzle, diploma, drawings, ME's forensic report, letter franking chops, wall plaque and even a car licence plate. The connoisseurs of the Martin Beck cycle of police procedurals from Sweden's Maj Sjöwall and Per Wahlöo—including their bestselling *The Laughing Policeman* (1969)—will not miss how McBain's Tweedledum-and-Tweedledee homicide dicks are incarnated as equally inseparable dim-bulb Stockholm patrolmen, both pairs priceless in their comic-relief cameos.

The connection with Sjöwall and Wahlöo is not accidental inasmuch as the Swedish authors harness the procedural for more than the cat-and-mouse game of cops and robbers. In the Martin Beck decalogue, for instance, they programmatically set out to "use the crime novel as a scalpel cutting open the belly of the ideological pauperized and morally debatable so-called welfare state of the bourgeois type." Can the police procedural, though, be relied upon as a reliable sociological and ideological barometer of urban America? For an answer I will turn again to Ed McBain who, delighting with each reenactment of cops and robbers (these days more likely narcs and dealers), delivers a ten-bucks-a-pop crash course in Big Bad City civics.

Artists who turn to fictional crime are, of course, as common as bread in a prison meatloaf. No better example than Akira Kurosawa whose *High and Low* (1963) is a scene-by-scene adaptation of McBain's 87th-Precinct classic, *King's Ransom* (1959), with Tokyo subbing as the urban jungle of New York City. Far from an escapist and violence gratifying mass-market product, McBain's urban procedural is a contemporary incarnation of the naturalistic legacy of American fiction, with Upton Sinclair's muckraking hit, *The Jungle*, at its apex. Far from post-modern suspicion of reality as a simulacrum and of narrative realism as

passé, genre fiction searches for the best means of meting out Conradian justice to problems that beset all city dwellers—four of every five of us. Long on self-deconstruction, Paul Auster's otherwise fine *New York Trilogy* is no match for McBain's trio of *Big Bad City, The Last Dance* and *Fat Ollie's Book* which, recording the quotidian rhythms of city life, refine the police story into the urban procedural.

Violent crime, urban blight, racial strife, chronic unemployment, street culture, lawless attitudes to the law, ghetto housing, snarled traffic, graft and corruption, dropout education—for readers who want to keep their hands on the pulse of the modern world and modern city, the police mystery is their best bet. And the fact that so many turn to it with a devotion that baffles pulp fiction critics is one more reason for according it scholarly attention. For, just like legal procedurals, even as they entertain, McBain's police procedurals inform—and in some cases perhaps even form—the perceptions and values of tens of millions of American readers.

Detective fiction has come a long way since 1905 when it received its own heading in *The Reader's Guide to Periodical Literature*. Dominating the literary world in terms of sales, its career is equally imposing at the creative end. With 11 mystery and detective titles listed in the US in 1952, at subsequent ten-year intervals *Bowker's Global Books in Print* puts the figure at 42, 164, 838, and 1971, with no less than 3207 titles in 2002. Why this popularity of what is, after all, a singularly dirty and thankless profession? Why heroic cops instead of heroic garbagemen or proctologists? The rise of homegrown crime fiction is often traced to a number of generalizations about American history, a heritage of violence, frontier mentality and vigilante justice salient among them. While all true, their role behind the emergence of the first modern detective story, Poe's "The Murders in the Rue Morgue" (1841), is arbitrary at best. Violence, frontier mindset and vigilantism have, after all, been part of the American way of life long before Poe without producing crime fiction in any proper sense. The more accurate—and less mythopoeic—truth is that the rise and, notably, the nature of American crime fiction parallels the rise of modern police forces.

Until mid-nineteenth century the means of upholding law and order in American cities remained essentially unchanged since the days of Shakespeare. Unpaid civilian watchmen patrolled select parishes or precincts at night, and court-appointed constables (with powers of arrest and occasional detective duties) oversaw daily city commerce. Although the 1731 Montgomerie Charter obliged all male citizens to serve, the middle class routinely relegated the duty to ill paid irregulars, even as cities and crime swelled beyond control. Exploding in size, urban centres bred poverty, vice, unpaved streets and sewage filled gutters—the price of progress from old-time homogenous municipal entities to modern jungles of Wall Streets, posh residential areas, shopping districts, industrial parks, slums, ghettos for blacks, Italians, East Europeans, and all others who did not fit the WASP mould. From students who robbed

graves to supply teaching hospitals with cadavers and regular Blacks vs Irish riots (following the latter's takeover of domestic service market), to a deluge of violent waterfront vice, New York was again the national pace-setter, though other cities did fare better. With national unemployment of 4-5 million during the 1893-1898 depression adding to the strife, Rudyard Kipling shuddered after visiting Chicago: "Having seen it... I desire urgently never to see it again. It is inhabited by savages."

All the same, when Britain founded its London Metropolitan police in 1829 (detective division 1842) among fears that it would become a standing army or an apparatus of political repression, in the US the fears were even greater. Combined with hostility to all regulation—especially among immigrants wary of restrictions routinely imposed in the old world—were a suspicion of a British import, lack of ingrained notion of social decorum, a legacy of vigilante justice, prejudice against standing armies, large itinerant population, decentralized legislative authority, and persistent ethnic and racial problems. Little wonder that, when the first police departments were created in New York (1845) and Chicago (1854), no heed was paid to the mental or physical alacrity of these uniformless cops, and funding was so scarce that in the city of 600,000, only nine men comprised the total of the Chicago day police. Ironically, the policemen were not even permitted to carry firearms: only in the 1880s did Philadelphia and Boston arm their men, while New York a decade later still. Exacerbated by political bosses running police departments as private fiefdoms, corruption and mismanagement rotted the system so quickly that, only twenty two years after the birth of NYPD, the State Legislature fired all of New York's cops, declaring the big bad city too corrupt to govern itself. It was no different with the first detective squads, created when beat police proved insufficient deterrent. Underpaid and overworked, police investigators from Boston (1846), New York (1857), Philadelphia (1859) to Chicago (1861) proved no more resilient to the abiding allure of the easy sleazy.

For no other reason, around that time America saw the appearance of first licensed private detectives, most of them ex-constables who lost work when cities began to set up police departments. The need for law-enforcement was so high that in St. Louis, Baltimore and Philadelphia private detective agencies sprang up even before police departments (in Chicago Allan Pinkerton opened his shop in 1851), reflecting the difficulty that cities faced with dealing with crimes, mainly because of the rank unprofessionalism of the regular police. In Chicago the Pinkerton Agency offered to take over municipal policing at two thirds of the price with a guarantee "that the citizens would actually be protected." In 1887 George Walling summed up his experience as a superintendent of the big bad city's finest: "in New York there is less liberty and protection of property, than in any city of Europe, Russian cities not excepted."

The rising tide of crime and poor policing were severe enough to move certain parts of society to attempt moral reform and create wholesome citizens by eradicate vice. Typical were the NY Society for the Suppression of Vice and the NY Society for the Prevention of Crime who aimed to do away with crime by bringing the social control of rural or small town America to the chaos of the modern metropolis. The vice societies sought to improve morals by, among others, suppressing and banning crime literature, citing examples of youths who allegedly ran afoul of the law after reading detective fiction in story papers and dime novels. In a campaign to abolish criminality by abolishing it from the printed page they even moved the Massachusetts legislature to prohibit sales to minors of books or magazines containing "criminal news, police reports, or accounts of criminal deeds." Notable as a harbinger of the Prohibition, the campaign even more significant as an index of the mounting popularity of crime fiction.

And all this time the city grew. Between 1880 and 1900 alone New York expanded from under two million to three and a half, most of it immigrants who, more often than not, settled in separate enclaves. Urban planners passed zoning laws that further segregated various ethnic groups from one another so that, virtually without police supervision, some 300,000 Italians formed, in effect, a city within a city managed by the increasingly organized crime in the Cosa Nostra mode. The turn-of-century Lexow Investigations laid bare the level of corruption in Tammany Hall, naming NYPD as one of the chief culprits. Cops were found to be involved in wholesale election fraud in return for sinecures from politicians. Patrolmen and officers routinely bought their promotions and, to recoup on expenses, were organized in a city-wide extortion racket from brothels, saloons and gambling houses. The situation was not unique to New York: in Denver the Police and Fire Board openly refused to enforce the law; when the governor tried to remove them, they refused to be fired, fighting pitched battles with the state militia until Grover Cleveland sent in federal troops to prevent further bloodshed.

It was around that time that the American detective story began to acquire its distinct character. The hard edge and penchant for topical realism stemmed from the fact that the majority of crime fiction writers were journalists or editors working for "slicks," a new type of general magazines, more often than not interested in the fruits of what we would call today investigative journalism. The differences from the British variety were mostly to be found in the contemporary tone, with a background of current events instead of an artificial isolation from them. For subject matter the American crime story would drift towards a recognizable backdrop of urban reality and its problems; politics, socio-economic themes, corruption and muckraking exposes replaced the timetables needed to crack the alibis of Colonel Mustard and Lady Buxom. Eschewing Victorian diction and decorum, the style was flat, understated, geared towards precision and economy of expression. The hero was no longer an armchair

deductor à la Mycroft Holmes but an active investigator with sleeves rolled up to his arms. The crime was not an isolated incident which could be investigated at leisure but an open-ended violation in a corrupt social system which required urgent and active response.

In fact, even the very titles often reveal parallels between what muckraking journalists like were up to in the real world and what investigators were up to in the world of crime fiction: Sinclair's *The Jungle*, Post's *The Powers that Prey*, Reeve's "The Campaign Grafter," or Adams "The One Best Bet" in which the detective goes after crooked politicians. The greatest difference between these early city procedurals and the modern genre? In a number of novels there lingers a tone of optimism: crime needn't be a threat to America for, no matter how dramatic, it is a temporary and localized aberration which obscures underneath a healthy society. One had to wait for Hammett's dog-eat-dog cynicism, Chandler's melancholy rhapsody to corruption, Wambaugh's black tragicomedies and McBain's urban grit to see the city in its true light.

All this is to say that American crime fiction did not come into its own until it came to terms with its social and urban geography. Instead of a static, homogenous, small town setting, it had to deal with a sprawling, dark, urban nightmare. Instead of ratiocinating a logical proof of crime, the detectives had to track and find criminals in the hostile city. The history of police and crime in America shapes the American crime story–in that sense it is an American genre. Unmasking corruption and hypocrisy in high places, tracking vice in the police force, more realistic crime and language, tension between the public and the very bureaucracy that is supposed to protect the public: not just a literary convention but a response to the way things were in twentieth-century American metropolis. Put simply, American crime writers did not have to invent the genre as such–they wrote about what they saw around them while cruising, as McBain did, the mean streets of the naked city.

This Mortal Earth:
Deep Ecology, Philosophy and Religion

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This Mortal Earth:
Deep Ecology, Philosophy and Religion

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ABSTRACT:

Over the past decade or so, a new environmental consciousness or "philosophy" has begun to emerge among a wide spectrum of thinkers and activists concerned with the state of our planet and with rethinking the relationship between human beings and the rest of Nature. This (re)turn to the self-subsistent spiritual "essence" of Nature, and so its intrinsic "worth," has become known as Deep Ecology.

This paper explores the relationship – the points of cohesion and of contradiction, of commonality and of difference – between this nascent environmental "world view" and that of several world religions, both East and West. Such an overview culminates in an examination of specific religious teachings (e.g., as found in the Huayan school of Mahayana Buddhism) in close proximity with the ethical phenomenology of Emmanuel Levinas (a radical re-positioning of Western thought from a key 20th Century thinker who is in other aspects very much an advocate of Judaic traditionalism).

The context of this cross-cultural encounter is provided by the Deep-Ecological insistence on participation and complicity with the natural world, while yet preserving and respecting its Otherness, so as to allow – and indeed demand – ethical responsibility towards it. In Levinas's written work, there is little room or enthusiasm for an ethical response to the non-human Face of Nature. What Levinas did see and insist upon, however, is that it is the mortality of the Other—as needy, as susceptible and as dying—that first and inescapably elicits and sustains the core response of ethical care and responsibility. What neither Levinas nor the world's religious traditions could recognize or foresee, however, is the fragility of the web of life on this planet, and the devastation human techno-power is now wreaking upon it. We now see, belatedly, that Nature as we know it, on this small planet, is neither limitless nor impervious to injury; it too can die, and at our hands. But such is our complicity in Nature, both material and spiritual, that this matricide would also be suicide. In the end, this paper calls for a re-visioning of ethical philosophy and religious compassion in an "eco-centric" direction – before it is too late.

I

It has by now become a commonplace to speak of the "environmental crisis." What marks a crisis is that one does not know the outcome – everything hangs in the balance. A common response to a critical situation is feverish action, high-tech intervention, taking control, through confident expertise, to achieve the outcome of our choosing. What a crisis may also elicit, though more rarely, is taking up the Socratic response to what is truly thought-provoking: examining oneself and one's life, questioning the most basic orienting beliefs and assumptions that one brings to reality, and looking anew at one's values, one's "world view."

This may be particularly important when, as is the case in the environmental crisis we now face, the wilful assertion of scientific knowledge through technological intervention is very much at the core of the problem. The explosion in knowledge about nature came about through a profound shift in the basic perspective according to which it was approached, into what we shall speak of as the Modernist paradigm—which, it is important to see, in turn invoked a specific set of metaphysical assumptions and values, depicting humans as wholly distinct and isolated from nature, and nature itself mechanistically, as a useful system of resources without intrinsic value. Just "as in a watch, or some such small engine, the matter, figure, and motion of the wheels cannot well be known except it be taken asunder and viewed in parts,"[1] as Hobbes wrote, so too with nature, on the mechanistic model of Modernity. The impulse in short was to dissect this living "machine," to lay out its inner workings under the scalpel of enquiry and the bright light of human reason. Joseph Glanvill makes this most plain, as he enjoins "the eviscerating of nature, and disclosure of the springs of its motion," so that "nature being known, it may be mastered, managed, and used in the services of humane life."[2]

In the Modern world view, what matters the most is power: and knowledge is the means to achieving it. As Descartes wrote, we must acquire knowledge, in particular, concerning "those sciences conducive to the conveniences of life," namely the "conservation of […] health and the invention of all the arts," so that we can become at last the "masters and possessors of nature."[3] Cartesian science sees as real only what can be described mathematically. It reduces what is to abstract relations—which in our own day, have become the algorithms and equations of computer code and statistical models. Nature is seen as linearly deterministic, as predictable as a clockwork, devoid of life and thought and meaning, and wholly cut of

from the isolated *ego cogito*. Hence, the core beliefs of the Modernist paradigm: the separation, and superiority, of human beings from and over nature, the consignment of nature to a purely extrinsic or instrumental value, and a materialist metaphysics that not only ”disenchants” nature, but helps define success for human existence in terms of continual expansion of population, consumption and material wealth.

The rise of modernity, we must recall, represented a profound shift in what Carolyn Merchant has called the "controlling imagery" of our thinking.[4] Nature was no longer experienced as alive, as rich with meaning and intrinsic value. As Seyyed Hossein Nasr has written, “It must never be forgotten that for non-modern man —whether he be ancient or contemporary—the very stuff of the Universe has a sacred aspect. The cosmos speaks to man and all of its phenomena contain meaning. They are symbols of a higher degree of reality which the cosmic domain at once veils and reveals.”[5] Nasr, like many others, finds the roots in the Modernist revolution to lie largely (though of course not exclusively) in specific features of European Christianity.[6] For many, what is needed now is another shift, of such depth that it touches not just on philosophy, but religion as well.

Of all the competing environmental movements that have emerged in the past few decades, the one that seems to go furthest towards directly confronting the dominant Modernist paradigm, and offers a profoundly challenging alternative, is Deep Ecology. As a movement, it takes its name and inspiration from a 1972 article by Norwegian thinker Arne Naess.[7] It arose, as the name suggests, from descriptive ecology, that science which aims to understand the relations among organisms and their environments. Deep Ecology takes this enquiry to new levels of values and meaning, to the broadest possible questions of ethics, metaphysics and spirituality, with the aim of restoring the balance, inner as well as outer, of human existence. In brief, Deep Ecology insists on the intrinsic value of the natural world, and the intimacy and complicity of humans with this world; it is holistic, relational, egalitarian and process-oriented. Above all, it aims to be a “bio-centric” world view, in which all life forms and ecosystems have a basic right to thrive and evolve, and to demand ethical recognition and respect.

A bio-centric orientation represents a striking departure from, and challenge to, virtually all other philosophical and religious world views, East and West. Even among environmentalists, the dominant view has been an “informed” anthropocentrism –or better, perhaps, Prudent Egoism. On such a view, nature is important, worthy of preservation and care, to the extent, and only to the extent, that it serves or supports human interests and

concerns; it is in our long-term self-interest to care for it, since our very survival (and certainly our 'lifestyles') is at stake. On this view, nature has only extrinsic value; it is good insofar as it is useful to us.[8] Perhaps the clearest expression of this view is John Passmore's, from 1974:

> It is one thing to suggest that Western societies must learn to be more prudent in their attitude to technological innovations, less wasteful of natural resources, more conscious of their dependence on the biosphere. It is quite another thing to suggest that they can solve their ecological problems only if they abandon the analytical, critical approach which has been their peculiar glory and go in search of a new ethics, a new metaphysics, a new religion.[9]

Deep Ecology presents itself as just this "quite another thing" which Passmore so readily dismisses. It isn't just an environmental crisis that we face, Deep Ecologists (among others) argue, but a spiritual crisis, which requires a spiritual response—one which will demand a radical re-examination of how we see the Earth, ourselves, our place in nature and our relation to the divine.

What is needed in short is not just a renewed ecological conscience, but a new ecological consciousness—and hence, yes, quite possibly a new religiosity, a new metaphysical orientation, and a new ethics.

II

The need for a new ethics is I believe especially pressing – though, as I hope will be made clear in our discussions here, it cannot be separated from matters metaphysical and religious. But "ethical egoism" is a misnomer, if not in fact an oxymoron, and prudence, the clever manipulation of circumstances to secure "one's own greatest well-being" and advantage, is but egoism at its most reasonable and far-sighted.[10] What Kant called "counsels of prudence" aim at the contingent good of one's own happiness, but, as he insisted, the categorical imperative is alone the principle of morality, for it enjoins that I will and do, not what is in my interest, but what is right.

But can one really conceive, let alone develop in detail, a bio-centric ethics? It can easily be argued that it is prudent to preserve wilderness areas and biodiversity, but do we have a duty "to nature itself" to do so? Could we, for example, put the rights of animals on a level approaching our own? While the first question invokes a "corporate" life-form, as in Lovelock's Gaia Hypothesis,[11] the latter refers to individual animals as, putatively, moral subjects. Let's look briefly at the latter issue first.

Since animals cannot determine their own wills according to the principles of reason—the categorical imperative—they cannot be moral subjects on a Kantian perspective, and thus are not due "moral respect," and so (unlike humans) are not "ends in themselves" and can be used "as means only" (to other, human, ends or purposes). More simply: animals are not free to choose, and cannot reciprocate moral recognition. Thus, as Kant argued, the duties we have regarding animals, such as not being cruel to them, are indirect, derived from our duties to humans, who alone possess moral status. (Cruelty fosters unsavoury character traits, for example, which will ultimately affect other people.)[12]

This is the view of many religious traditions as well. It is said of the Buddha, for example, that he once directed *metta* or loving-kindness towards an enraged elephant, calming it—but he did so only to spare human life.[13] And in Islam, there is a remarkable medieval text entitled *The Case of the Animals versus Man*, by the Brethren of Purity.[14] Here, the Ginn, who are hearing the complaints made by animals against humans, in the end decide that the animals must accept their subordinate position, since they have no rational soul, no sense of moral responsibility, and cannot choose between good and evil—hence, again, are not moral agents. Nonetheless, historically, the impact of the text was considerable: it helped establish, within the Islamic world, a recognition that animals do feel pain and can suffer, and that cruelty and unreasonable exploitation is not morally acceptable. And yet, as DeGrazia has written, in his well-argued treatise on animal rights, "the only viable account of cruelty acknowledges the moral status of its victims."[15]

For many people, there is no clearer instance of the failure of the Modernist paradigm than its implication that animals are mere machines or resources, to be used or consumed as we see fit. And yet, finding a basis from religious or philosophical traditions for arguing that they are beings with genuine moral status, whose interests should "matter" to us, is extremely difficult.

The other alternative, as we saw above, is to say that it is not individual animals (or plants) that have moral value, but Nature as such, and as a whole. This view, too, has a degree of support from some of the world's religions, as many writing within the broad field of "religion and the environment," particularly those who emphasize Deep Ecology, have tried to show. But it is always to some degree problematic, as a couple of brief examples will here, I hope, suffice to indicate.

One of the alternatives to Prudent Egoism is to see the human role vis-à-vis nature not that of being charged to "subdue and dominate" it for our

own purposes (Genesis 1, 28), but rather that of stewardship. Within Islam, for example, it is held that humankind has been given the role of *khalifa* (trustee): it is written in the Qur'an that God said to the angels, "I am setting on the Earth a vice regent (*khilafa*)" (Q.2:30, see also Q6:165le). The key concept of *Tawhid* stresses the all-inclusive unity of the created world, which includes humans (though they are reserved a special status in their relation to God); and within this bond to nature, there is a responsibility to care for it as something that "belongs" ultimately to God, not man. This entails moral responsibilities to preserve and "better" nature, tasks which must be discharged wisely and with full awareness of human accountability to God: "And the earth We have spread out like a carpet; set thereon mountains firm and immobile; and produced therein all kinds of things in due balance" (Q.15:19); "Do no mischief on the earth after it hath been set to order, but call on him with fear and longing in your hearts" (Q.7:56). While clearly not bio-centric, Islam does then seem to recognize an intrinsic moral worth to nature and living things, as fellow "creatures of God." Some have found in *Tawhid* and in Medieval philosopher Ibn 'Arabi's notion of *wahdat al-wujud* (unity of Being) – for which he found support in the Qur'anic verse, "Whichever way you turn, there is the Face of God" (Q2:115)—a basis for finding even greater affinities between Islam and Deep Ecology. But most resist any such direction, on the grounds that it leads unacceptably close to pantheism. The dominant view, instead, is that put forward by Nawal Ammar: "the *Tawhid* perspective views the various components of nature as engaged in an order of interdependence for the final objective of glorification of God;" a sense of ecological responsibility arises out of "mutual respect among the elements in nature, not because nature is sacred or because nature should be respected by itself, but because of its link to the One God, creator of all."[16]

Since many Deep Ecologists have explicitly drawn inspiration from Eastern thought, and in particular Buddhism, one might well expect to find support and guidance for an "environmentalist" and perhaps even bio-centric ethics here. But here also one finds, alongside those who claim that a particular religion has always been "eco-friendly," palpable resistance to such readings among traditionalist scholars. Ian Harris, for example, has argued strenuously that its origins as a "world-weary" religion in which the material realm is renounced as a source of suffering and depicted generally as but another insubstantial, meaningless moment in the endless cycle of *samsara*, make an environmental stance within Buddhism highly problematic.[17]

As a general issue, it is doubtless true that one will not often find unambiguous "environmentalism" among the basic texts and teachings of the world's religions. This is hardly surprising; most religions are quite ancient, while the history of the awareness of issues such as climate change, ozone depletion and even the "limits to growth" must be measured in decades, not centuries. Hence, to paraphrase Buddhist Rita Gross, what matters is not so much what world religions have said on the environment, as what they may have to say; there is a process of appropriation going on, which is healthy for all concerned, as it can help revitalize traditional perspectives and as it can help provide rootedness and the longer view to nascent "new paradigm" thinking.

To return to Buddhism: While there are a number of divergent Buddhist traditions around the world, all stress that desire or addiction is the cause of suffering, and all share basic commitments to non-violence and compassion towards life in all its forms, affirming that sentient beings are united in the universal process of birth, old age, suffering and death. This entails an emphasis on the mutuality and dependent co-arising of things, rather than the more atomistic and competitive attitudes dominant in the West. Finally, a basic principle of Buddhism is that right thought leads to right action; from this, many have concluded that Buddhism entails, in today's world, that we change the way in which we look at the earth, and find a simpler, more harmonious way of inhabiting it—one that might allow the layers of materialism and illusion that clog and misdirect our lives to fall away.

In addition, Buddhists have begun to respond much more specifically to today's environmental crises. In Thailand, for example, there have been two very different responses from well-respected Buddhist monks to these issues, as Donald Swearer has shown in detail.[18] Phra Prayudh (Dhammapitaka), for example, finds nature a key value at least instrumentally, in terms of spiritual realization. Buddhists have long sought the woods, for example, to meditate, and in general nature is seen to be a teacher of both mind and spirit. According to Phra Prayudh, the basic Buddhist values, such as loving kindness (*metta*) happiness (*sukha*) and gratitude (*katannu*), can form the basis of an environmental philosophy; he quotes, for example, from one of the minor dialogues, the *Khuddaka Nikaya*, as follows: "A person who sits or sleeps in the shade of a tree should not cut off a tree branch. One who injures such a friend is evil." But for all its sincerity and simplicity, this ethics remains anthropocentric. Buddhadasa, another Thai monk, goes much further in the direction of a bio-centric view of nature as dhamma, a manifestation of ultimate reality. As Swearer writes,

here "listening to nature and caring for nature are both form of dhammic self-forgetting, not merely instrumental to human flourishing."

III

Deep Ecology, too, seems to advocate a kind of self-forgetting, through identification and communion with the whole of Nature. While an important strain in all mystical traditions, this notion does raise some specific problems in the context of the ethical issues we have been considering. On one level, it might be argued that Deep Ecology does not really address the question about the moral status of nature at all; rather, it takes it for granted. What is needed, therefore, is an account that helps us understand the axiological status we ascribe to non-human life forms and ecological "webs," as entities of intrinsic, non-anthropomorphic value. Secondly, and more deeply, it is hard to see how ethical recognition and respect can be extended to an object which is fundamentally non-objective, not separate, and so not "Other than I." Deep Ecology thus faces the danger of becoming not a new ethical awakening but a collapse into what Hegel termed the empty tautology of the I am I; an egology, in other words, a celebration of the (vastly enlarged, universal) self. Eco-feminists in particular have taken up this critique, sensing that the "greater self" celebrated by Deep Ecology remains masculine, and too often patriarchal;[19] again, identity and differences, including gender difference, may too easily get lost in this "new paradigm." Can one speak of a relationship to the Other within the sort of sweeping holism suggested by Deep Ecology, or does it rather effect, as Plumwood has suggested, the "obliteration of all distinction"?

As a contribution towards addressing these issues, I would like to first briefly examine how the teachings of the Huayan school of Buddhism may bear on this question of identity and difference, and secondly how the philosophy of Emmanuel Levinas may help elucidate the possibilities of a Ecological Ethics.

Indra's Net is the classic image used in Huayan (a school of Chinese Mahayana Buddhism) to capture the profound interrelationships among existent things, and the manner in which they can participate in wholeness and unity without sacrificing their distinct being and identities. As described in the *Gandavyuha Sutra*, this image depicts the universe as a web of jewels, each of which acts as a multi-sided mirror, such that each reflects all the others. In the same way, Huayan suggests, each thing in the web of existence "includes" the others, while also retaining and affirming its own existence.

Thus, as Huayan master Tu Shun has written, each thing, remaining what it is, embraces the whole.[20] This thus allows for interpenetration and integration, without a loss of individuality and so, also, of the possibilities of ethical relatedness and respect for differences.

IV

While Emmanuel Levinas explicitly denies any sort of "participation," he too, speaking from out of a specific religious tradition (in this case, Judaism), offers radical and original ideas that can contribute to formulating a Deep Ecological ethics.

Levinas, a French thinker of roughly the same generation as Sartre and Merleau-Ponty – and like them, greatly influenced by Husserl and Heidegger – insists that ethics, not metaphysics or epistemology, must be recognized as "first philosophy." That is, before the advent of the ego and the world of determinate "things" laid before it, and revealed within consciousness by its own light as possible "objects of knowledge,"[21] there is the encounter with the Other. Like Descartes, Levinas holds that philosophical reflection leads inevitably to solipsism until it chances on the Infinite that, ineluctably and from the beginning, exceeds the grasp of the *ego cogito* and points to a reality utterly beyond itself, which is seen to be foundational. But where Levinas departs from Descartes is in maintaining that this Other is not only God, or "the idea of God," but the face of the human Other, the stranger who comes to me in his neediness, entreating me for help, demanding my response and my responsibility. It is this encounter which shatters the illusion of solipsism, and the ego's sovereign hold on what is. Hence, Levinas' thought leads to a basic re-examination of the self and its place in the world, just as Deep Ecology does. But the pressing question which, in this context, we will want to put to Levinas' thought is this: can this Other be, also, nature?

The face of nature is not a human face, of course – but this, I would suggest, only heightens and highlights its radical Otherness. But nature too is near to us, for all we cover it over with our building and the work of our dwelling-places. Nature too challenges us, exceeds our grasp, and calls forth in us a sense of compassion and responsibility. And, given that, for Levinas, the most basic vulnerability and neediness of the Other is his or her mortality—far more powerful and basic, Levinas holds, than even my own "being-unto-death"—it is important to emphasize the profound, and quite recent, human recognition of the finitude and fragility of the Earth.

Before trying to develop this argument further, however, an admission: Levinas was himself no Deep Ecologist, and in fact, one finds real opposition to any suggestion of extending the ethical relationship to nature. Martin Buber, to whom Levinas' thought is deeply indebted, had no such hesitation about including nature in his own account of the I-Thou relationship, holding that the I can and must rediscover "its original community with the totality of being." In an essay on Buber, Levinas disapprovingly relates that "the allegiance of the primitive mind to the law of participation, according to Buber, testifies to the original nature of the relation and the primacy of the I-Thou,"[22] and overtly criticizes the move, as in his earlier work where he had complained that "the I-Thou relation in Buber retains a formal character: it can unite man to things as much as man to man."[23] Levinas, firmly within the ambit of theism, cannot accept Buber's openness to the "more than human" world. As Levinas has insisted on many occasions, it is "only man" that can be the stranger, the apparition, the face of the Other. The very possibility of finding a face in nature, then, seems to be ruled out from the first.

For Levinas, there is a sharp and even absolute break or discontinuity between spirituality in the broad sense, including mystical union with "what is" (an embrace of the value of nature that to him smacks of pantheism), and revealed religion mediated by sacred texts. Ideas such as "participation"—even with another human, let alone with nature—function only at the "primitive" level of mythology, Levinas argues. "Transcendence is to be distinguished from a union with the transcendent by participation," he writes; "the idea of infinity, the metaphysical relation, is the dawn of a humanity without myths." But for the world and faith to be "purged of myths," accomplished in and by monotheist religion in Levinas's view, requires not participation but separation, which Levinas terms "metaphysical atheism." Since, as he explains, in order to "welcome revelation" (for him, a species of discourse, not mystic insight), "a being apt for this role of interlocutor, a separated being, is required," it follows that atheism is a necessary moment; "atheism," Levinas continues, "conditions a veritable relationship with a true God."[24] In mystical participation, on the other hand, the other as such is not maintained but subsumed under the *same* in an over-arching "oneness." The "*private* existence of each term," Levinas writes in *Existence and Existents*, is lost as each "returns to an undifferentiated background." He continues,

> We recognize here the *there is*. The impersonality of the sacred in primitive religions, which for Durkheim is the "still" impersonal God from which will issue one day the God of

> advanced religions, on the contrary describes a world where nothing prepares for the apparition of a God. Rather than to a God, the notion of the *there is* leads us to the absence of God, the absence of any being. Primitive men live before all Revelation, before the light comes.[25]

This discussion of key issues such as the *there is* and the "elemental," and the movement from the mythical participation of enjoyment to the encounter with the Other and the birth of ethics, would require a much more detailed treatment than is possible here. Still, they point towards a fundamental task, at which we can at least make a beginning, namely: the outlines of a possible environmental ethics *after* Levinas.

Levinas staunchly opposes what he has called the "decadence of the sacred" to the properly ethical realm of the Holy.[26] But this talk of "advanced religions" and "primitive man" is unsettling, to say the least. Monotheism may not be the sole or even the primary cause of our current environmental catastrophe, despite what many have argued, but it certainly did contribute to forming the philosophical or ideological attitudes towards nature and the human place within it—or over against it—that have led us to the present crisis. But is environmentalism to be then, in fact, a new religion?

The gravest fear among traditional religions concerning Deep Ecology is that in fact it constitutes pantheism, the idea that the universe itself is God, and God is nothing other than material existence. In allaying these fears, while preserving the intuition concerning the place of the sacred in our experience of nature, I believe a brief reference to the thought of Heidegger may be helpful. The mistake being made here, I believe, is in thinking that matter is sacred. Instead, we need to see that the mystery which lights up in things is not their matter but their "mattering," their coming forward as weighty with significance, their standing out for us as given, as gift, from we know not where or what. It is not the universe of beings but their Being that resonates with the sacred – the event of Being in which we ourselves are implicated, in our own bodily being, as we breathe in the air and stand upon the earth. The earth is not a dead thing; it is our very flesh. We have to let things be, we have to take up our place as what Heidegger calls the "there" of being, opening the clearing in which things can come forward as what they are. We have to open ourselves to the world, with its myriad life-forms and possibilities; we have to let the earth matter.

For Levinas, Heidegger's thought remains trapped within subjectivity, and not yet open to the originary advent of the ethical encounter with the

Other. And yet, in my view, Levinas' radical ethics needs to be more radical – it needs to extend its horizons to embrace even the non-human Other, and the more-than-human world. And one does find in Levinas a recognition that nature itself, and specifically what he speaks of as its elemental ground, resists our appropriations—and can be "other."[27] This bare rustle of being, the light and air and materiality of things prior to determinate objects – this for Levinas speaks of the basic strangeness of the "there is," always just out of reach. But today the elements too are defaced and over-written by our activities and consumerist addictions, drawn into equations of exchange and substitution like bits of codes, like numeric values and quanta of energy and exchange. And yet, beneath this virtualization of reality, the "face of the earth" remains, so close to us that we cannot see it. In order to break us out of our species-ist solipsism, a radical "stepping out," and back, was needed. This science and technology provided, through the opportunity of the Apollo missions to the moon. Here, for the first time, the Earth as a whole could be seen. It took such a step out, and the famous photographs that resulted, for humankind to at last see the vulnerability and awesome, fragile beauty, of this planet.

Like the stranger, the earth calls to me in its need. This is a reality that Levinas did not see. In fact, for most of human history it was impossible to conceive, on a practical level, that there might be limits to nature, to the world. There were always new frontiers, new lands and new resources to exploit—particularly once Europe began its expansion into the "New World." The world was terrifying in its immensity, beyond our power to grasp or even to imagine; it was looked upon in fear and trembling - as awesome, as source of disaster, as foe. But now this has all changed. Nature – our earth – we now recognize to be finite, fragile – and very possibly, dying. And we have to wake up to the realization that it is we ourselves who wield the weapons.

The death of the Other, Levinas tells us, disrupts the subject as such, in its solitude; it fractures in particular the mastery by which it "subjects" all that is, making everything "the same" within the purview of the ego's gaze. How much greater, then, the realization of the mortality of this Other the earth, our Mother? Further, it is not hard to see that the death of nature in some sense really is my own death, or the death of my "fecundity," of the time beyond my time;[28] for this reason alone, nature's mortality stares us in the face, as real and as pressing as that of my son's. The finitude of nature manifests the end of all generations.

As Aristotle taught us, philosophy begins in wonder. It is nature, more than anything else, which gives birth to this wonderment: the canopy of stars, a mountain vista, the dawn witnessed within a budding grove. What environmental ethics, and in particular Deep Ecology, insists upon is that there is a moral dimension to this awe. We have obligations to nature, and – after Levinas – I believe we need to see that we cannot gaze upon its non-human face and remain unmoved by the obligations we have towards it, as by the light that dawns upon it and the life that emerges from its depths. Thus here too one can move towards a philosophy of deep mutual involvement and co-arising, while maintaining the difference vital to Otherness and moral respect. What we need to recognize, Levinas' thought leads us to see, is the moral authority, and the mortal need, that shines forth so commandingly from the face of the Earth, of Nature itself.

Nature calls for a response – it is the destitute, yet demanding face of the Other, that beckons to us, even from behind the mask of instrumentality and stockpiled "resources" that our science has painted over it. It speaks in the light of the sacred that illuminates all things – and the demand it makes on us is distinctly ethical, beyond the human-centeredness of our everyday concerns. The earth is needy, and it is mortal. It is high time we took up the call and responded – before it is to late.

Endnotes

1 Thomas Hobbes, "De Cive," in *English Works*, (Aalen, Germany: Scientia, 1966), vol. 2, p. xiv.

2. Joseph Glanvill, *Plus Ultra*, (Gainesville, Fl.: Scholar's Facsimile Reprints, 1958), pp. 9, 13.

3. Renee Descartes, "Rules for the Regulation of the Mind;" "Principles of Philosophy;" and "Discourse on Method;" all in Haldane and Ross, trans., *The Philosophical Works of Descartes*, (New York: Dover, 1955), vol. 1, pp. 2, 203 and 119, respectively.

4. Carolyn Merchant, *The Death of Nature: Women, Ecology and the Scientific Revolution*, (New York: Harper, 1983).

5 Sayyed Hossein Nasr, *Man and Nature: The Spiritual Crisis in Modern Man*, (Chicago: Kerzi, 1997), p. 20.

6 Among the first to make this claim, along with Nasr, was Lynn White Jr, in "The Historical Roots of our Ecologic Crisis," *Science* 155, no. 3767 (March 10, 1967), 1203-1207.

[7] Arne Naess, "The Shallow and the Deep, Long-Range Ecology Movement: A Summary," *Inquiry* 16 (1973), 95-100. Important early examinations of the philosophical issues involved can also be found in Richard Routley, "Is There a Need for a New, an Environmental Ethic?", *Proceedings of the XVth World Congress of Philosophy*, vol. 1 (Sofia, 1973), 205-10; and Holmes Rolston III, "Is There an 'Ecological Ethic'?" *Ethics* 85 (1975), 93-109. The classic elaboration, of course, is Bill Devall and George Session, *Deep Ecology: Living As If Nature Mattered*, (Salt Lake City: Perigrine Smith Books, 1985).

[8] Clearly, this view complements what we have been referring to as the Modernist paradigm: machines are for use (and are not moral subjects)—and, if they break, the correct response is to fix them. Hence the still-common view that science and technology alone will provide us a way out of our environmental and resource predicaments, without any need to alter our habits of consumption, curtail population growth, or in any other way re-examine who we are and how we view the world we inhabit. Perhaps the best known presentation of such a view is that of physicist Alvin Wienberg in his 1966 article, "Can Technology Replace Social Engineering?" *University of Chicago Magazine*, LIX (October 1966), 6-10. The article has been widely reprinted, including in Albert H. Teich, ed *Technology and the Future*, 7th ed., (New York: St. Martin's Press, 1997), pp. 55-64. It is Weinberg, in this article, who coined the phrase "quick technological fixes"—although his actual suggestions along these lines, including developing "breeder" nuclear reactors to slake our endless thirst for energy, have been neither quick nor effective, to say the least.

[9] John Passmore, *Man's Responsibility for Nature: Ecological Problems and Western Traditions*, (London, Duckworth, 1974), p. 6.

[10] Immanuel Kant, *Groundwork of the Metaphysics of Morals*, H. J. Paton, trans. (New York, Harper, 1964), p. 83. Kant's discussion of "counsels of prudence" and the categorical imperative is on this and the following pages.

[11] James Lovelock, *Gaia: A New Look at Life on Earth.* (New York: Oxford University Press, 1979).

[12] Immanuel Kant, *Lectures on Ethics*, Louis Infield, trans., (New York: Harper and Row, 1963), p. 239.

[13] Recounted in Ian Harris, "Buddhism," in Jean Holm and John Bowker, eds., *Attitudes to Nature*, (London: Pinter Publishers, 1994), pp. 8-26.

[14] Lenn E, Goodman, *The Case of the Animals versus Man* (Boston: Twain, 1978).

[15] David De Grazia, *Taking Animals Seriously: Mental Life and Moral Status*. (Cambridge: Cambridge University Press, 1996), p. 41.

[16] Nawal Ammar, "Islam and Deep Ecology," in *Deep Ecology and World Religions: New Essays on Sacred Ground*, David L. Barnhill and Roger S. Gottlieb, eds., (Albany: State University of New York Press, 2002), p. 197.

[17] In addition to the Harris article cited above, see: Ian Harris, "How Environmentalist Is Buddhism?" *Religion* 21 (April 1991), 101-14; "Buddhist Environmental Ethics and Detraditionalization: The Case of EcoBuddhism," *Religion* 25, no. 3 (July 1995), 199-211; "Causation and 'Telos': The Problem of Buddhist Environmental Ethics," *Journal of Buddhist Ethics* I (1994), 45-57; "Getting to Grips with Buddhist Environmentalism: A Provisional Typology," *Journal of Buddhist Ethics* 2 (1995), 173-90.

[18] Donald K. Swearer, "The Hermeneutics of Buddhist Ecology in Contemporary Thailand: Buddhadasa and Dhammapitaka," in *Buddhism and Ecology: The Interconnection of Dharma and Deeds*, Mary Evelyn Tucker and Duncan Ryuken Williams, eds., (Cambridge, Mass.: Harvard University Press, 1997), pp. 21-44.

[19] See, for example, Val Plumwood, "Nature, Self, and Gender," in *Environmental Philosophy: From Animal Rights to Radical Ecology*, 2nd ed., Michael E. Zimmerman, et al., eds., (Upper Saddle River, NJ: Prentice-Hall, 1998), pp. 299-300, and Ariel Kay Salleh, "Deeper than Deep Ecology: The Eco-femminist Connection," *Environmental Ethics* 6, No 4 (Winter 1984), 340-5.

[20] David Landis Barnhill, "Relational Holism: Huayan Buddhism and Deep Ecology" in *Deep Ecology and World Religions: New Essays on Sacred Ground*, David L. Barnhill and Roger S. Gottlieb, eds. (Albany: State University of New York Press, 2002), pp. 77-107.

[21] As Levinas writes, "the light that permits encountering something other than the self, makes it encountered as if this thing came from the ego," and thus as he continues, "knowledge never encounters anything truly other in the world." Emmanuel Levinas, *Time and the Other*, Richard A. Cohen, trans., (Pittsburgh, Duqesne University Press, 1987), p. 68.

[22] Emmanuel Levinas, "Martin Buber and the Theory of Knowledge," in *The Levinas Reader*, Sean Hand, ed., (London: Blackwell, 1990), p. 64.

[23] Levinas, *Totality and Infinity: An Essay on Exteriority*. Alphonso Lingis, trans., (Pittsburgh: Duquesne University Press, 1969), p. 68.

[24] Levinas, *Ibid*, p. 77

[25] Levinas, *Existence and Existents*, A. Lingis, trans., (The Hague: Martinus Nijhoff, 1978), p 61.

[26] Levinas, *Nine Talmudic Readings*, Annette Aronowicz, trans., (Indianapolis: Indiana University Press, 1990), p. 136f.

[27] For a more detailed discussion of the "elemental" and its relation to environmentalism, see Robert Switzer, "Redeeming the Elemental: Levinas on Nature." *Proceedings of the 8th International Interdisciplinary Conference on the Environment*, Kevin L. Hickey and Demetri Kantarelis, eds. (Worcester, Mass., 2003), pp. 23-35.

[28] Levinas, *Time and the Other*, p. 349 *et passim*.

HAWAII INTERNATIONAL CONFERENCE ON ARTS AND HUMANITIES

PAPER TITLE:

HELPING STUDENTS DEVELOP THEIR VIEWS ON WRITING AND THE WRITING PROCESS BY ANALYZING THE METAPHORS THEY USE FOR WRITING AND CONSIDERING ALTERNATIVE ANALOGIES

TOPIC AREA:
ENGLISH AND SPEECH/COMMUNICATION; ALSO INTERDISCIPLINARY

FORMAT:
REPORT ON ISSUES RELATED TO TEACHING – PAPER SESSION

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Background/Rationalle:

Research has indicated that novice writers differ from expert writers in a number of ways, and that expert-like students resemble the experts not so much in terms of the final written products the students produce, but rather in the approach they take and what they are trying to accomplish, that is their process (Scardamalia, 2003). However, student views about writing are often difficult to change. As instructors we stress the writing process, but often students just sit down and write their draft in one sitting anyway or view revision as having to re-do something that was wrong the first time.

Given Lakoff and Johnson's (1980) premise that metaphors shape not only how we talk about certain concepts, but also what we believe about them and how we act, then it is an interesting enterprise to examine the metaphors that student writers use to describe their writing process. Such an activity would shed some light on students' understandings of the writing process, including affective dimensions of writing. Students might grow as writers by analyzing the metaphors they use, especially noting the associations and limits of these metaphors, ideas students were not originally of.

After considering alternatives and reading some selections by expert writers, students could compare metaphors and perhaps adjust their initial perceptions of writing and what is involved in the process. This should result in their growth as a writer. Tomlinson (1984, 1988) has researched the metaphors that professional writers discuss in conjunction with their writing process, but student writers have not been addressed.

Methods:

In an introductory college composition class which already focuses on metaphor as a theme, students write a five-six paragraph essay discussing a metaphor they use for talking about their writing and writing process. Then students share these pieces.

The assignment is structured in such a way that the students have to address various issues related to analyzing the metaphor. Paragraph one introduces the metaphor with expressions that follow from it. Paragraph two addresses issues of the comparison, ie. What are the parts of the metaphor and how do these correspond to aspects of writing. Paragraph three addresses other issues of the metaphor, ie. locus of control, emotions associated with the metaphor, what discipline(s) it comes from., etc. Paragraph four discusses strengths of the metaphor and what it highlights and how it helps the writer. Paragraph five concludes by discussing limits of the metaphor. What does it hide about writing. How does it hinder the writer? Alternative metaphors are suggested.

Throughout the term, students read essays about writing and note the metaphors. Some of these metaphors are from student essays, and others are from professional writers. Students analyze these metaphors in paragraphs they write after completing the readings. Some of this is done in groups. At the end of the term, students write another essay about their new metaphor for writing, contrasting it with their original metaphor, and discussing reasons for the change.

Results

This presentation will show the range of metaphors students selected initially to discuss their writing process and how they analyzed their metaphors. Exerpts from student responses to the professional pieces they read will also be shown. Finally, how students changed their views due to alternative metaphors will be shown. Finally, what students had to say about the whole shift in their thinking regarding writing will be presented, based on final reflective pieces.

Title: Accent and Fluency Correlation: A Native Speaker's Perception of Non-native Speech

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Abstract

Individually, accent and fluency have been subjects of numerous studies in applied linguistics, but not so many have looked at the correlation between these two areas especially when it comes to how non-native speech is perceived by native speakers of English. This study investigates whether or not there is a correlation between accent and fluency in non-native speech as perceived by native speakers of English. Simply put, when a native speaker says that a speech is accented, what kind of judgment would he or she make as to the fluency of the same speech?

This study entailed an accent and fluency judgment rating task. In a scale of 1 to 5, 1 being accented and non-fluent respectively (although in the fluency rating task, the raters were allowed to put zero if they perceive the speech as non-accented), a group of thirty-four native speakers of English was asked to rate previously recorded speech samples of international graduate students whose first language is Mandarin Chinese. As control, a recording of three native English speakers was mixed in and played for the raters as well.

Intuitively, a prediction could be made that someone who has no background or training in linguistics may be inclined to judge an accented speech as non-fluent. The results in this study bear out this prediction. Monolingual English speakers rate accented speech as non-fluent. Bilingual raters, although more tolerant of the accented speech, also rate accented speech as non-fluent. However, studies have shown that accent alone does not define or determine fluent speech. A speech could be accented and still be fluent. In varying degrees, four possible scenarios resulted from the rating task: accented-fluent,

not accented-fluent, accented-non-fluent, and not accented-non-fluent. In the case of accented-non-fluent the question that needs to be addressed is whether or not intelligibility played a role in the ratings; and in view of this possibility, to what extent or degree could a person's speech be accented and still be considered fluent. Needless to say, this result also begs the question on how native speakers perceive or understand fluency.

Title: Using the 'Mirroring Technique' in helping non-native speakers English learn and acquire intonation

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Introduction

The lack of comprehensibility of some nonnative speakers of English is due to the aspects of their language production that differ from those of native speakers, i.e. their accents interfere with comprehensibility. Therefore, accent reduction has been assumed to improve comprehensibility. Munro and Derwing (1999) found that although there is a correlation between intelligibility and a strong foreign accent, a strong accent does not always compromise intelligibility. In addition, they report that there is some evidence that prosodic errors interfere with comprehensibility more than segmental errors.

While Derwing, et al. (1998) found that both segmental and prosodic instruction benefited the comprehensibility of nonnative speakers of English, Wennerstrom (2001) found that nonnative speakers of English who were rated as being fluent had acquired the intonation system of English. In addition, Munro and Derwing (1999) found, in a study where nonnative speech was both transcribed and rated as to degree of accent, that the strength of foreign accent assigned to an utterance did not predict intelligibility. They suggest that the strength of accent might reflect the amount of time or effort necessary to

process the utterance despite the fact that the utterance was intelligible enough to be transcribed.

According to Celce-Murcia, et al. (1996), prosodic errors can lead to more severe misunderstanding in communication attempts than segmental errors. Segmental errors lend themselves to contextual reinterpretation and tend to cause minor misunderstandings that can be easily repaired. On the other hand, suprasegmental errors contribute to social or cultural lack of understanding. One of the social functions of intonation is marking the appropriate places to interrupt in a turn-taking conversation (Wennerstrom, 2001), when nonnative speakers fail to indicate that they intend to continue talking they run the risk of being repeatedly interrupted, and being talked over. Nonnative speakers may also have prosodic faults which make them appear overbearing, uninterested or timid. Conveying attitude is the function of suprasegmentals (McNerney and Mendelsohn, 1992). Social miscommunication that results from prosodic errors made by nonnative speakers is more likely to be perceived as abrupt or rude which could then compromise the goodwill and cooperation of native speakers essential for effective communication.

In addition to social and interpersonal misunderstandings due to lack of correct intonation, nonnative speakers are also unlikely to use intonation to structure the flow of information. Wennerstrom (1998) suggests that the English system of intonation functions as a grammar of cohesion. Pitch accents are used by native speakers to establish the relationship between given and new information, mark contrasting elements, and show shifts of topics. Wennerstrom's study of the acquisition of English intonation by native speakers of Mandarin Chinese giving a ten minute lecture found that nonnative speakers who used more native like intonation were better understood.

According to Wennerstrom (2001), assigning equal pitch to all words produces a choppy effect that obscures the focus of the phrase. She found that those speakers, among her subjects, who were able to signal relationships between words and phrases with intonation were better understood. She concluded that the ability to speak in phrases instead of word-by-word led to a perception of fluency. Speaking phrasally included being able to focus on the main idea of each utterance using intonation.

Derwing, et al. (1999) found that instruction could improve comprehensibility, accent and fluency. Students instructed in rhythm, intonation, and stress were able to transfer their learning to spontaneous speech. In a study comparing a pronunciation teaching focus on segments as opposed to global pronunciation skills – prosodic features, the only improvement in comprehensibility during extemporaneous speech occurred in the group trained in the suprasegmentals. While learners instructed in rhythm, intonation and stress were able to transfer their learning to spontaneous speech, those who were instructed exclusively in segmental aspects of the language were not successful at transferring their learning to spontaneous speech. However, segmental training did improve the intelligibility of non-spontaneous speech.

Wennerstrom (1998) also found that intonation could be acquired along with other aspects of English. In particular, the subjects who used intonation at the discourse level to mark shifts in topics had the highest increases in their test scores. Not all learners in this study benefited from instruction in intonation. What factors determine whether a nonnative speaker acquires native like intonation patterns have not been identified. However, Wennerstrom observes that nonnative speakers at the same level of English proficiency use intonation differently. There also seems to be variation in the sequence in

which intonation aspects are acquired. This suggests that learners use different approaches to learning intonation, and Wennerstrom suggests that a holistic approach which included listening might be beneficial. Moreover, Botinis, et al. (2001) promotes the benefit of visual displays in addition to auditory instruction for a more effective intonation training.

Given the difficulties associated with faulty intonation in nonnative English outlined above, and the possible effectiveness on the overall communication skills of instructing learners on intonation the present authors developed an instructional method based on the "Mirroring Technique," as designed by Monk, Lindgren, and Meyers (2004). Bavelas (2000) suggests that visible acts that convey meaning when synchronized to speech such as facial expressions and hand gestures could be considered linguistic units, and that some discourses depend on nonverbal acts to supplement the verbal input, which would be inadequate without the nonverbal contribution. Therefore, in addition to intonation, this method also deals with gestures, and body and facial language.

Methodology

In summer 2004, twenty-two international graduate students from the two sections of the *Special Topics* course taught at the Academic Spoken English Program at the University of Florida were asked to participate in this study. The subjects were composed of the following: sixteen Chinese students, eleven of whom were male and five were female, five Korean students—four male and one female, and one Indian male student. The subjects are all graduate students from various departments at the University of Florida, and all have fulfilled the TOEFL requirement for admission to graduate school in the United States. Each one had either passed the pre-requisite course EAP 5835 or taken the SPEAK test and received a score of at least forty-five.

Given the fact that most of the subjects in this study were either Korean or Chinese, a brief description of their respective first languages might help put this report in perspective. Avery and Erhlich (1992) found that Chinese words generally consist of one syllable; therefore word stress is often a problem. Pitch functions differently in Chinese so Chinese speakers will have problem with English intonation. Chinese learners of English may have very choppy English as a result of a preference for making a series of syllables that fit a Chinese pattern.

The Korean language also uses pitch in a different manner than English so Koreans, too, have problems with English intonation. Korean speakers will also have difficulty with word stress, and the rhythm of the English as Korean is a syllable timed language.

Hindi speakers may appear rude to native English speakers due to the rising-falling intonation pattern used in place of rising intonation. In addition, Hindi speakers may sound choppy, as they do not easily make reductions.

With the Mirroring Technique designed by Monk, Lindgren, and Meyers (2002) in mind, the students were introduced to lessons on lexical stress, phrasal stress, thought groups, and intonation in the course of eight weeks. The students were given an eight-week schedule in which a detailed description of the weekly requirements and activities and their due dates were stipulated (see appendix for details). The students understood that on the eighth week they will have to mirror in class, as close to the original clip as possible, the performance of the actor in the movie they had chosen. They were informed that their performance would mainly be evaluated in terms of their language proficiency including but not limited to their pronunciation and intonation.

During the first week, alongside the lessons on lexical stress and phrasal stress in English, the 'Mirroring Technique' was introduced. Additionally, the students were apprised of the value of this pedagogical tool and its relevance to their acquisition of not only the segmental features of English, but also the suprasegmental features, particularly intonation. Further, the students were given a list of suggested movies and were instructed to pay attention to the criteria of a good movie clip to choose: mimic an actor of their own gender, pay attention to the rate of speech of the speaker—not too slow nor too fast—avoid regional accents, period movies, scenes in which actors mumble, etc.

They were then given detailed instructions as to what was expected of them: watch a movie, choose a clip, transcribe three to five minutes of the clip, and finally, mirror the performance of the actor in the movie clip. They were instructed to choose a movie or

scene in which the speaker uses an accent that is considered generic or one that may be characterized as 'standard' American speech. To elucidate the meaning of 'standard' American speech, the students were asked to observe how broadcast journalists speak on either television or radio. A clip of a newscast by one of the newscasters on CNN was shown in class. In numerous times, researchers have referred to broadcasters' speech as standard (Trudgill 1983).

In week two of the project, the students were given lessons on thought groups and intonation. This was also the week when their project proposal was due. Each proposal was perused and checked for appropriateness and for ascertaining that it met the minimum requirements outlined in the hand out. Thereafter, in application of the lessons on thought groups and intonation, in groups of three and with the help of three native-speaker assistants, the students were given some tasks and activities designed to further enhance their understanding of thought groups and English intonation. Ultimately, it was hoped that these practice exercises would help students improve their spoken English. It must be mentioned that in addition to the coaching and feedback the students received on thought groups and intonation, they received coaching and feedback on pronunciation as well.

During week three, a brief review of the lessons on lexical and phrasal stress, thought groups and intonation was given. This week, the students' first transcription was also due. In order to ensure the accuracy of their transcription, they were required to bring the video of the clip they had chosen for the project. With the help of the instructors and their group leaders, the students reviewed, proofread, and edited their transcription. After a thorough review of their transcriptions, the students were now ready for their first

reading. Initial coaching officially began at this point. Before the class ended in week three, the students were reminded of the following week's requirement, their *annotated transcription*. For this, they would have to mark their transcripts for thought groups, lexical and phrasal stress and intonation patterns. They were also reminded to start memorizing their scripts.

Week four was basically devoted to coaching and rehearsal. In addition, the students reviewed their annotated transcription for errors with the assistance of their instructors and their group leaders. After coaching and rehearsal, the students were once again reminded to memorize their scripts.

In week five the students had their first videotaped performance. Everyone involved in this project, from the instructors to the student assistants and even the students themselves, were pleasantly surprised at how each student came complete with costumes and props necessary to execute a more realistic performance. One by one, each student performed their chosen movie clip and mirrored the performance of the actor in it.

Week six was analysis and feedback week. In groups of three, the students, their instructors and their group leaders together reviewed the videotaped performance from the preceding week. Although the analysis was mainly focused on pronunciation and intonation, the students also received feedback on non-verbal cues such as body language, eye contact, posture, voice volume and such other communication techniques relevant to the task at hand.

The following week, week seven, was coaching and rehearsal week. To help the students better identify the weakness in their first performance, and in effect help them

make some improvements for the next presentation, they were strongly encouraged to review their first video as often as necessary. The instructors and the group leaders gave the students intensive coaching and feedback on both pronunciation and intonation. For obvious reasons, the students were not coached on their acting skills at all. It must be pointed out, however, that notwithstanding the lack of coaching in the acting department, the students were quite a natural.

During the eighth and final week, the students gave their final performance. This was their last chance to demonstrate to the class the improvement each of them has made in the last eight weeks of coaching, rehearsal and feedback. Once again, one by one, the students mirrored the performance of the actor in the movie clip each of them had chosen. Their performances were outstanding.

Discussion and Recommendations

The students were able to mimic the actors in the video clip successfully. However, the instructors did not notice any transfer of the intonation they used in their presentation to the students' ordinary speech. Segmental problems continued to be a problem, and in some cases the correct intonation in the presentation did not make up for the faults in segmental production. Despite these observations, there are various positive outcomes to this method. The students developed skills in listening, and language analysis which they could then apply in future learning situations. They learned the value of mimicking and how to identify which aspects of speech to identify in terms of pauses, lexical and phrasal stress, and intonation. Moreover, in learning all these skills, the students developed self-confidence and became more aggressive in their language learning strategies. This method helped them realize their potential in acquiring a native-like intonation. This activity, without a doubt, had certainly demonstrated the affective dimensions of second language acquisition.

The results of this current study do not necessarily bear out previous findings by Wennerstrom (1998) or Derwing, et al. (1999) in terms of the long-term benefit this methodology could afford the students. But given more time, coaching, and rehearsal, this method holds promise in helping English as second language learners improve their intonation. In light of the foregoing, it is our recommendation that the activity be spread over a longer period of time—perhaps over the course of the whole semester. Each week the students would be exposed to one to two minute video clips of native speakers' verbal communication. More specifically, it is recommended to use video clips of specific speech act or event to help students learn how to successfully and

effectively communicate, behave, and respond when they find themselves in a similar situation. Keeping in mind the value of visual element in intonation instruction as Derwing, et al. (1999) and Botinis, et al. (2001) had intimated in their respective studies, it is further suggested that the use of computers be adopted in intonation instruction. This could be facilitated in a pronunciation or language laboratory where a speech analysis software could be readily available. A speech analysis software, like Praat, for example, would be a valuable tool in combining both audio and visual displays in teaching intonation. With the speech analysis software, students would be able to compare their own speech to the original audio not only auditorily but visually as well through spectrogram display.

The factors that determine the acquisition of native-like intonation by second language learners may not be clearly defined yet. Be that as it may, this report suggests that with the right amount of time, coaching, rehearsal and the right instructional methodology, like the Mirroring Technique, students are better able to mimic intonation patterns in their second language. The challenge now is to find ways to transfer these skills into their everyday speech.

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Appendix A

Mirroring Technique Project Schedule

Week of:

October 18……Introduction

October 25……Project Proposal Due

November 3……..First Transcription Due/Rehearsal

November 8……..Annotated Transcription Due/Rehearsal

November 15…….First Videotaped Performance/Analysis and Feedback

November 22…….Analysis/Feedback and Rehearsal

November 29…….Final Performance

Appendix B

Mirroring Technique Project Proposal

This project seeks to help you improve your spoken English. During the rest of the semester, you will:

- Choose a movie/video clip that is about 3 to 5 minutes long
- Listen to and analyze the language used in the clip
- Practice reproducing the language and non-verbal cues in the clip
- Reenact the scene as exactly as possible in class

Option # 1

Movie Title:……...

Description of Scene:…….
……
……
……

Name of Actor being imitated……

What attracted you to this scene……
……
……

Option # 2

Movie Title:……...

Description of Scene:…….
……
……
……

Name of Actor being imitated……

What attracted you to this scene……
……
……

Hawaii International Conference on Arts and Humanities

13-16 January 2005

Proposal

Electric Affinities in the Comic Unconscious: Kawahara Izumi's "Freud 1/2"

Cross-disciplinary, with emphasis on philosophy, literary and visual arts

[Abstract attached]

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Sayumi Takahashi
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Proposal Abstract

Electric Affinities in the Comic Unconscious: Kawahara Izumi's "Freud 1/2"

In 1989 (Heisei 1), on the 50th anniversary of Sigmund Freud's death, Japanese *manga* artist Kawahara Izumi published "Furoito 1/2" (Freud 1/2) in the widely-popular bi-weekly serial girls' comic magazine *Hana to Yume (Flower and Dream)*, issues 4 and 8. In this short comic work, Freud appears as an otherworldly but jovial traveling lantern salesman who sells two Japanese-style paper lamps to the main protagonists (an 8-year-old girl named Leo and a young man, the 18-year-old college freshman engineering major Yumihiko) who are initially strangers to each other. Freud had originally intended these magical dream lights to be sold together as a 2-piece set (i.e. designed for consumption by only one unconscious), but because he unexpectedly gets talked into selling them separately, he inadvertently causes his two customers to dream the same dreams at night, despite the vast differences in their daily waking lives. Their real-life paths do not meet again until ten years after this transaction, when Leo is hired to work part-time at the same video-game software development company where Yumihiko toils away as head engineer, founder and president.

This multi-media presentation explores Kawahara's "lighter" representation of the split subject of psychoanalysis and of Freud's theories of dreams and jokes as drawn from a late capitalist, East Asian visual culture at the time of the "Japanese economic miracle." My reading of the girls' comic "Furoito 1/2" with its leit(light)motif of lanterns, lamps and other electrical gadgets seeks 1) to enact a topsy-turvy questioning of the usual discourses about dark continents, gender and Japanology, and 2) to shed some light on the role of *Witz* in the interaction between the comic image in *manga* (literally, "pictures despite themselves") and the written word.

Autobiography or History Through the Eyes of an Early Feminist: The New Perspective in Mary Heaton Vorse's *A Footnote to Folly*

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When Mary Heaton Vorse, journalist, fiction writer, and labor commentator, finished reading the manuscript of her largely autobiographical work, *A Footnote to History,* in 1935, she gave it an eleventh-hour new title. Recognizing, she says, that "in spite of the fact that Europe came near wrecking the fabric of our civilization by war, [and that] we are rushing headlong into war again, I changed the title of this book from *A Footnote to History* to *A Footnote to Folly."* The book, she says, "is not a biography. It is a picture of the world as I saw it during an important moment in history. A record of what happened to the little people and their children in wartime and in peace; how they fought for their children, how they lived, and how they tore their lives apart" (402).

Vorse is quite right that the book is not an autobiography, not strictly speaking that is. Her primary purpose is not to provide an *etalage du moi.* The book is instead a memoir in which she presents herself only incidentally. Barrett J. Mandel has pointed out that because life does not always live up to one's expectations, the writing of memoirs is "one of the strategies human beings have developed to make life matter" (64). Yet Vorse's book is much more than that. It is a very carefully crafted work which demonstrates Vorse's skills both as a journalist/fiction writer and as a political

propagandist. It provides, moreover, an insight into the complex personality of Mary Heaton Vorse that was at once wife, mother, and feminist; aristocrat and labor organizer; freedom fighter and pacifist; patriot and revolutionary. Georges Gusdorf, in his seminal work, "Conditions and Limits of Autobiography," maintains that in a memoir, "The past that is recalled has lost its flesh and bone solidity, but it has won a new and more intimate relationship to the individual life that can thus, after being long dispersed and sought again throughout the course of time, be rediscovered and drawn together again beyond time." This, he suggests, is "the most secret purpose in every exercise in. . .memoirs," and it certainly may help us to understand the motivational force underlying Mary Heaton Vorse's *Footnote to Folly* (38-39).

Few had a better right than Mary Heaton Vorse to judge the folly of the history of her time. Indeed, few men in 1935 had the first-hand experience that she had. A review of her credentials is impressive. Vorse had begun her journalistic career as a war correspondent prior to World War I, and working variously for Hearst Papers and Federated Press, covered all of the wars and major strikes.

One of the early feminists, Vorse, in 1915, attended the Women's Peace Conference in the Netherlands as both reporter and delegate for the Suffrage Organization of New York State, which represented 150,000 women. She reported from France on the effect of war on civilians and wrote pamphlets on the rights of small nations such as Poland, Czechoslovakia and Yugoslavia for the Committee of Public Information. In 1919 she wrote on the condition of children under blockade in central Europe for the American Relief Association, and in 1933 she covered Hitler's early rise to power. As a labor journalist, always advocating the rights of the laborer, Vorse covered

the Gastonia strike, the Mesabi Range strike, the Youngstown Sheet and Tube strike, and the Republic Steel strike where, in her sixties, she was injured on a picket line when she fell and hit her head during sniper fire. And, at the age of seventy eight, Vorse investigated crime among the New York dock workers' unions, publishing a dazzling expose in *Harper's* in 1952, one of her last articles of major significance. Mary Heaton Vorse was, indeed, a rebel who had seen the conditions of the world firsthand, and despite the folly that she perceived, fought for human rights at every level on every front.

Vorse, however, was not born to this. She came from an aristocratic family in Amherst, Massachusetts, and was raised in the literary milieu of Amherst. In chapter two of *Footnote to Folly*, she remembers living in the conservative college town in the near presence of Emily Dickinson's family. "Austin Dickinson," she recalls, "with his red wig and his mole. . .was individual and pithy of speech, as were his sisters Emily and Lavinia." Henry James, too, was one of Vorse's early literary acquaintances in Amherst. "I remember standing with the Emerson children," she writes, "goggling at their cousin, Henry James, who was visiting them, having precociously read his novels and being surprised to see him already fat--gather up one of the younger Emersons saying, "Call me cousin Henry" (25).

Life in Amherst was quiet, intellectual, and middle-class. "We knew nothing," Vorse writes, "about the conditions under which cloth was woven or coal mined or steel made, yet it was in the quiet life of Amherst that my mind was prepared for thought."

> My early training taught me not to fear the pain of a new idea. It gave me the inclination toward a questioning and scientific attitude of mind. It taught me to value life and to hate injustice; to prefer warmth and simplicity in human relations to intellectual attainments (24).

Vorse's momentum increased in 1912 when she saw, for the first time, the conditions of the textile workers and their children in Lawrence, Massachusetts, where she and her second husband, Joe O'Brien, had been helping to feed and find housing for the strikers. Lawrence was for her, she says, "a definite turning point." Exchanging for a moment her role as *memorialiste* for that of autobiographer, she writes:

> Before Lawrence, I had known a good deal about labor, but I had not felt about it. I had not got angry. In Lawrence I got angry. I wanted to do something about it. I could not be an organizer or a labor leader. I was too impatient of results to work for a possibly perfect society. I could do one thing. I could write. I could try to make other people see what I had seen, feel what I had felt. I wanted to make others as angry as I was. I wanted to see wages go up and the babies' death rate go down. . . . I went away from Lawrence with a resolve that I would write about these things always (21).

And she did! Mary Heaton Vorse would be contained no longer. Her pen became the proverbial sword with which she fought for human rights on three major battlefronts: labor reform, women's rights and world peace, and it is these battles of this lifelong rebel that are the substance of her reminiscence in *A Footnote to Folly.*

Her battles on the labor front began in 1912 with the textile workers' strike in Lawrence where for the first time Vorse "saw things. . .[that] aroused in me an indignation whose fire has never gone out" (21). She saw the children of striking parents who could no longer support their families being put on trains and sent to New York and Philadelphia. She saw the Lawrence police stop one of the trains from leaving town. Skillfully combining the objective distance of a reporter with the compassion of a novelist, she records:

> There had been a riot at the railway station. Mothers had been clubbed and arrested. Children were actually separated from their parents and sent to the poorhouse. It was one of those senseless exhibitions of police violence common to the labor movement (4-5).

Vorse's pro-labor coverage of the Lawrence strike for *Harper's Weekly* was a smashing success. Although it was her first labor assignment ever, the article lost *Harper's* the advertisement of the American Woolen Company. Because the Lawrence strike was "a new kind of strike" (7), unlike any New England had seen before in terms of numbers and violence, it was, she says, "like a beacon light" (17). Writers from all over the country streamed in, many of whom became lifelong friends of Vorse, including Lincoln Steffens, Fremont Older, William Allen White, Richard Washburn Child, and Ray Stannard Baker. Vorse also became friends at this time with Elizabeth Gurley Flynn, Big Bill Haywood, Carlo Tresca and, of course, English professor Vida Scudder, who came from Wellesley to give her famous speech in which she said,

> I would rather never again wear a thread of woolen than know my garments had been woven at the cost of such misery as I have seen and known past the shadow of a doubt to have existed in this town. . . . If the wages are of necessity below the standard to maintain man and woman in decency and in health, then the woolen industry has not a present right to exist in Massachusetts (17).

Thus, Mary Heaton Vorse's career as a labor journalist was launched. In 1913 she covered the Paterson silk worker's strike for the *Globe*, again fighting with her mighty pen the intense police brutality. "The police systematically assaulted the picket lines," she writes, "clubbing men and women indiscriminately, and this bred a reciprocal bitterness in the strikers" (52). It was at the Paterson strike, she notes, that Jack Reed was first introduced to the labor movement, changing his life and making him a revolutionist.

By 1914 Vorse and her husband Joe O'Brien had become deeply involved in the labor movement, and their house at 13 West 11th Street in New York City became the meeting place for the IWW-led branch of the unemployment movement. Among the charter members of that group were Sam Lewisohn, Mabel Dodge, Amos Pinchot, Emma

Goldman, and Alexander Berkman. Vorse fought diligently for the unemployed, finding them shelter in settlements and churches, while her husband, who had been elected secretary of their Legal Defense Fund, fought for their rights. "We always kept a wash boiler of spaghetti on the stove," Vorse tells us, "and a boiled ham and a roast of beef for sandwiches for anyone who came in" (59).

When the Mesabi Range strike in Duluth, Minnesota, began in 1916, Vorse arrived on the scene a veteran labor journalist with assignments from *Outlook, Harper's Magazine,* the *Globe* and the *Masses,* but also found herself in a new role. Because many of the strike leaders were in jail and because Helen Gurley Flynn was shorthanded, Vorse found herself a "part of the movement," she writes, "a sort of assistant to the leaders. I went with the few leaders, I spoke from platforms. I was identified in the eyes of the community and in the eyes of the strikers. . . . Now suddenly and shockingly I found myself with the forces of society arrayed against me" (148).

Mary Heaton Vorse had come of age as a crusader for the labor movement, yet all of the strikes she had participated in were but a prelude to the Great Steel Strike of 1919. With the force of 365,000 men, the Great Steel Strike "was another long step in my education," Vorse says, "begun with such intensity at Lawrence."

> Here was not one town, but forty towns, thinking together, acting together. Through the steel strike I got at last a full and complete realization of what might is labor's. I got the complete feeling of what power there is in the mass strength of the workers. . . . Every day one would see its glow through individual acts of sacrifice and courage (286).

Vorse was there from the beginning, working for the National Committee for Organizing the Iron and Steel Workers as publicist and reporting on the strike in *The Call Magazine* and *Outlook.* Massive though it was, the strike was not successful, and to

Vorse, who writes more as a novelist than as a journalist at this point, it seemed ". . .that the strike bled to death like a living thing. Seep, seep, seep, the men sagged back to work. Each man, gutted of his self-respect, was a victory for the steel company. For strikes are broken" she continues, "by breaking men's courage and making them traitor to their own beliefs" (298). A year later she would write a complete account of the strike in her book *Men and Steel.*

As Vorse acquired a reputation as a labor organizer, she was called by strikers from all over the country to assist. Not only could she rally the workers, but she could write from a pro-labor perspective with deftness and compassion. In 1920 she was offered a job as publicist and organizer for the Amalgamated Clothing Workers Lockout in Pennsylvania, and in 1922 she reported for the United Mine Workers' Strike under the leadership of John L. Lewis. By 1926 she had become publicity director for the Passaic Textile strike, which became the subject of her book, *Passaic*, and in 1929 she covered the textile strike in Gastonia, North Carolina, for *Harper's Magazine.*

Vorse's biographer, Dee Garrison, notes that, "By the late 1930's Vorse was the acknowledged veteran of American labor journalism. . . for forty years after Lawrence, the byline of Mary Heaton Vorse would represent the work of one of the earliest and most renowned of the new labor reporters" (22-23). Her great success as a journalist was due, in part, to her compassionate portrayal of the plight of the laborer and his family for whom she fought all of her life. Later, at the age of eighty-eight, Vorse would be rewarded for her efforts with the United Auto Workers' Social Justice Award in 1962, presented to her along with Eleanor Roosevelt and Upton Sinclair, by Walter Reuther.

Vorse's second battlefront was women's rights, an issue she had begun to become aware of possibly as early as 1907, when her writing began to sell better than her husband's and her earning were the mainstay of the family. In 1911, she took part in the women's pure milk crusade against infant mortality in New York, but her formal induction into the women's movement, she recalls vividly, was in 1913 when she attended the International Woman Suffrage Convention in Budapest. Delegates from as diverse places as China, Iceland and South Africa gathered under the leadership of Mrs. Carrie Chapman Catt to deal with such issues as "the right to study in universitites, the right to enter a profession, [and] right of suffrage," issues which, Vorse points out, "were far from settled in those days" (50). The central plank of the meeting, however, was that "women were to 'war against war'" (50), and like the women of Aristophanes' *Lysistrata,* theirs was to be no passive resistance. At the time, though, "We didn't know it," Vorse notes, "but we were witnessing the end of an era. The question of suffrage was to be settled by the war against which women were to war." It was this convention in Budapest, according to Dee Garrison, that "determined [Vorse's] feminist vision" (19).

Two years later in the spring of 1915, Vorse observes despairingly albeit poetically, "The one small green leaf left on the withered tree of internationalism was the women's movement" (79). This was due, in part, to the impetus it had received in February of that year when Dutch suffragist, Dr. Aletta Jacobs, called an International Congress of Women in Holland. On the very same day, February 12, a peace meeting was held in Wahsington by the women of America. Urged on by her husband, Joe O'Brien, and armed with assignments from *McClure's, Century* and other magazines to cover the Congress, Vorse sailed for Holland. She was also going as a delegate for the

Suffrage Organization of New York State, representing 150,000 women. Other members of the American delegation led by Jane Addams were, Vorse recalls, Grace Abbot, Julia Lathrop, Sophonisba Breckinridge, Dr. Alice Hamilton, Mrs. W. I. Thomas, Fannie Fern Andrews, Mary Chamberlain and Marian Cothren. "Besides many of the most forward-looking women of America," Vorse colorfully editorializes,

> The group also included cranks, women with nostrums for ending war, and women who had come for the ride. New Thought cranks with Christian Science smiles and blue ribbons in their hair, hard-working Hull House women, little half-baked enthusiasts, [and] elderly war horses of peace, riding furious hobbies (81).

The significance of the Peace Conference was overwhelming to Vorse. She notes with awe that,

> For the first time in all the history of the world, women of warring nations and women of neutral nations had come together to lift up their voices in protest against war, through which the women and workers gain nothing and lose all. . . . But here the emotion was smothered, it found no easy outlet. There was something more powerful here than the will to protest. At last I understood what the inner meaning of this assembly was and what was the preoccupation of these women. What I saw was Grief and Fear (82).

Vorse was inspired but saddened at the close of the conference, which, she admits, "was only a gesture. It could be no more than that." The women of the world had united for a protest that was "as brave as it was futile" (87).

Yet war was, for Mary Heaton Vorse, an evil which she would fight against until the end of her life. Indeed *Footnote to Folly* is a valiant attempt in 1935 to warn against the second war. "Fascism, which deifies war, threatens to plunge the world into war again," Vorse prophetically cries in the conclusion of the book. Her plea is that if "all in those countries which still possess a democratic form of government, who hate war and believe in the hard-won dignities and liberties of man, will band themselves together, we

can still resist being plunged into this new war which will surely destroy us" (406). Her warning, however, along with the warnings of countless others went unheeded, and war did prevail. Though saddened that her prophecy of folly was not averted, Vorse never lost her fighting spirit. Long after the publication of *Footnote to Folly* in 1935, Vorse continued to fight for peace.

Thirty years later, in fact, Vorse began her last peace effort in Provincetown, where she had lived since 1907. There she offered what support she could to Fr. Ernest Vanderburgh, the vicar of St. Mary of the Harbor Episcopal Church, who had become an anti-war activist. At the age of ninety-one Vorse spent the last year of her life opposing the Vietnam War.

As a memoir, *Footnote to Folly* is in the grand tradition begun in the fifth century, exalted in the Renaissance, and perfected in the eighteenth century. As a history, however, it is perhaps faulty. Historiographers may chide Vorse for her lack of objectivity as well as for her compassion. Perhaps she herself realized its inadequacies as history when she changed the title from *A Footnote to History* to *A Footnote to Folly.* Be that as it may, it is a moving account of the injustices of labor and the futility of war as they affect the human condition. It is, after all, a memoir, and as Sidonie Smith has so ably pointed out in her book, *A Politics of Women's Autobiography,* a memoir becomes "both the process and the product of assigning meaning to a series of experiences after they have taken place, by means of emphasis, juxtaposition, commentary, [and] omission" (45). Harold E. Stearns in his review of *Footnote to Folly* for *The Nation* in 1936 proclaimed it "a bit of sculpture in prose done by Mary Vorse" (82).

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PROPOSAL TO THE 3rd ANNUAL HAWAII INTERNATIONAL CONFERENCE ON ARTS AND HUMANITIES

Title: Information Rehearsal and Arab Stereotypes
Topic Area: Speech/Communication
Presentation Format: Paper Session

Authors:

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Abstract

This study tests the hypothesis that rehearsal of positive information from a news story will lead to more positive stereotypes of Arabs among American college students compared to rehearsal of negative information. This hypothesis is based on cognitive and information processing theories of stereotypes which suggest that stereotypes are based on the accumulation of negative information about the target group, and that active processing and rehearsal of positive information can lead to less negative stereotypes.

We test our hypothesis in a randomized three group after only experimental design. Subjects are college freshmen and sophomores in a basic public speaking class. Three conditions were distributed randomly to students in class sections. Group 1 subjects were asked to read an article from the Los Angles Times comparing Christianity and Islam; they then were asked to list positive similarities between the two religions. After several buffer items, they were asked to rate Arabs, the Japanese and the Swiss on a stereotype scale consisting of ten pre-tested bi-polar semantic differential scales. They were also asked to rate the believability of the article, and how difficult it was to perform the task. Group 2 read the same article, and were asked to list differences between Christianity and Islam. (For ethical reasons, we did not ask out subjects to list negative differences; previous research suggests that differences would prompt listing of negative traits of the target group.) The same dependent variable measures were taken from Group 2 as in Group 1. Group 3 was the control group. Subjects did not read the article. They were asked to complete the stereotype measure. (Data has been collected but not yet analyzed.) We expect our hypothesis to be supported. Subjects in group 1 (rehearsed positive similarities) will have more positive (or less negative) stereotypes than subjects in Group 2 (rehearsed differences) and Group 3 (control.)

Theoretical and practical implications for the role of information rehearsal in stereotype change are discussed.

TO: Hawaii International Conference on Arts and Humanities

FROM: Tan Huaixiang/Unversity of Central Florida

DATE: 10-28-2004

SUBJECT: Abstract of Paper

TITLE OF THE SUBMISSION: THE MAGIC INDIAN CLOTH

NAME OF THE AUTHOR: TAN HUAIXIANG

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ABSTRACT OF PAPER: This presentation will be in the Poster Format. It will focus on Indian fashion, including fashion in the past and today, Indian textile, construction of the saris, sari pants, dhotis and turbans. Colored photographs and sketch illustrations will be used to demonstrate the steps of how the Indian garments are draped or wrapped on the body.

A Study of Similarities in Hong Kong Newspaper Financial Reports

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Abstract:

In light of Constructionlism theory, this paper presents results from a study of similarities in financial reports from various Hong Kong newspapers whose political reporting positions are quite different. The study was conducted via in-depth interviews with financial journalists, three-month participant observation at a major news organization, and content analysis of financial reports from three leading newspapers in Hong Kong. This paper further illustrates the rationales behind such scenario at individual, organizational, professional and social level. Also this paper concludes that the most significant factor to cause Hong Kong newspapers' lack of diversified opinions in financial field is that big corporations possess the superior power and are perceived more influential than local government in the selecting, reporting and framing process of financial news.

Title: Exploring the Grain: The Sound of the Voice in Performance

Author: Dr. Millie Taylor

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Topic Area: Performing Arts OR Cross Disciplinary Performance.

Also of interest to Music and Theatre

Presentation Format: I need a microphone with speakers at the back of the room.

Abstract

Exploring the Grain: The Sound of the Voice in Performance

The objective of this paper is to encourage awareness of the sound of the voice and the materiality of that sound as much as the content of any words in performance. This opens up possibilities for the creation of abstract voice work in performance.

The vocal and sound elements of performances are often composed and subsequently analysed by exploring the literary content of words, conducting semiotic analysis of music, visual image and performance context or identifying inter and intra-textual references. However, voice and sound can be theorised and potentially composed according to different structures and aesthetics. Sound envelopes and dynamics, timbres and pitch ranges are among the tools drawn from musicology that can offer alternative ways in which to describe, analyse or compose vocal-sound structures.

The impact of space, resonance and the bodily presence are explored in this performative paper.

Millie Taylor 18.10.04

What's behind them? Distance and Reflexivity in British Pantomime

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What's behind them? Distance and Reflexivity in British Pantomime

Abstract

This paper explores the performance frame in British pantomime, but the issue of reflexivity and play with distance can be applied to other popular forms.

Pantomime in Britain at the moment is a family entertainment with appeal for people of all ages, not just those taking children to the show. The story is a re-telling of a well known fairy or folk tale along pre-determined and familiar lines. The principal driver of the pantomime is the Dame, played by a man dressed as a woman but not in drag. The Dame functions as one of the principal instigators of the participation of the audience in the performance. She builds a relationship of complicity with the audience through comic interaction and asides that draw the audience into awareness of the frame of performance as well as involvement with the plot. The performance is repeatedly exposed as constructed, fantastic and silly, even as some scenes are played with heightened realism to draw the audience into identification with story, quest and hero. At the same time spectacular designs, complicated and energetic dance routines and slick physical comedy allow the audience to be amazed at the talent, craft and sheer hard work in the performance, so that even as the performers send up the genre, their ingenuity and talent are demonstrated. However, it is the artistry and wit in the play with distance as the pantomime is simultaneously played for real and deconstructed (or sent up) that is one of the most enjoyable features of the performance, and a defining feature of British Pantomime.

Millie Taylor 18.10.04

Proceedings Submission

1. Warming up to Bowing: Developing bowed tone production in the formative years

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6.

Abstract

Management of the bow to the point of achieving the most efficient physical interaction between the hair and strings is crucial to successful stringed instrument achievement and performance. Inferior tone production often restricts string students from achieving a totality of musically-acceptable performance skills.

A spectral analysis of open string bowing was performed with middle school and high school string players in grades 6-10. Visual graphs were produced from the digital analog recordings and indicate a decrease of amplitude across time in relation to management of the bow from frog to tip. The findings indicate that inferior tone production may be the result of inconsistency among young string players' ability to maintain an appropriate balance between weight and speed.

Most string professionals would agree, that mastering the variables of bow hold, bow placement, arm and wrist motion, and the distribution between weight and speed requires repetition over time. Several popular methods for teaching beginning strings often include a broad variety of skills regarding note reading, theory, left hand pitch manipulation, pizzicato and eventually bowing. Specifically, when producing tone, dynamics, phrasing, and expression on a string instrument, the bow arm is involved the majority of time. Therefore, warming up to the bow in the initial stages of string development may enhance (at a quicker pace) the quality of a bowed tone among beginning and intermediate string players. Further research is needed in order to determine the best approach/method for developing a quality bowed tone in the formative years.

Title:

Interpretive Landscapes: Expressing the Gabrielino/Tongva Culture through Landscape Design

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Abstract:

Interpretive Landscapes: Expressing the Gabrielino/Tongva Culture through Landscape Design

In the Los Angeles basin, evidence of indigenous cultures has been obliterated or at best obscured by extensive development. While descendents of the Gabrielino/Tongva still live in the Los Angeles area, their traditional village sites and cultural artifacts have been destroyed. Recently efforts have been made to educate and increase the public's awareness of the Gabrielino/Tongva through interpretive outdoor spaces and gardens.

Landscapes are often used to inform and enlighten. For landscape designers, creating interpretive landscapes is a challenging design proposition, especially when there is limited landscape space. This paper examines three outdoor spaces in the Los Angeles region where designers have created landscapes to educate visitors about the Gabrielino/Tongva. Located at a university, a ranger station, and a city park, these three landscapes interpret and communicate information through the medium of the outdoor environment. The various features and design methods used to express and depict the Gabrielino/Tongva culture are examined. These elements include plants, structures, symbols, signage, and murals.

This paper will assist artists and designers in creating outdoor environments for interpretation and expression.

Grant Wood’s Family Album
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Grant Wood's Family Album

by
Sue Taylor

Perhaps the most famous American painting--certainly the most parodied--Grant Wood's image of a midwestern couple before their homestead is widely recognized as an icon of American Regionalism of the 1930s. With its dedication to a disappearing agrarian way of life and steadfast puritan values, the painting captures the spirit of U.S. isolationism between the wars. There is another layer of meaning, however, heretofore unexamined: the role of this signature image in the emotional life of the artist. What does *American Gothic* (1930), created during the period in which Wood, in his own words, "really found [him]self," represent on the level of his individual subjectivity? He compared the stalwart couple to "tintypes from my old family album," yet the psychobiographical implications of this admission remain unanalyzed. I want to present an account of the picture that acknowledges its sources in Wood's own psychic experiences and development, an account that might also help explain the remarkable resonance of *American Gothic* among it massive audiences, even today.

The archetypal Midwesterners in the painting, while not portrait likenesses, recall the stern Francis Maryville Wood and gentle Hattie Weaver Wood, the artist's father and mother, as he remembered them from his youth. The remoteness of the couple in the picture parallels the temporal distance of this familial vision in 1930, for Wood senior had died in 1901, when Grant was only ten years old. The untimely loss meant that the child could luxuriate unrivaled in the company of his mother, whom he loved, a friend said, "excessively." Indeed from that time on, though the three siblings moved away, Wood lived with his mother, save for short periods of study or travel, until her death at age 77 in 1935. If he had inadvertently realized his infantile wish to take the place of his father in his mother's affections, Wood forever sealed this fateful arrangement in his grief over her loss: he refused to allow Hattie to be interred next to her husband and had her placed instead in the Weaver family plot in Riverside Cemetery, Anamosa. When Wood himself died in 1942, he was buried by her side.

Never successfully "oedipalized," Wood could neither detach himself from his mother nor identify with his father, an Iowa farmer and superintendent of the local Sunday school. Maryville was an austere man, who recommended the study of history to his children but opposed "graven and pictorial representation and fiction." Wood devoted his life to the very pursuits his father condemned. In addition to painting and interior decorating, moreover, he taught school--like his mother before him. He did not marry

until just a few weeks before Hattie died, and chose a white-haired bride five years his senior with a grown son and a grandson. Even then, the ill-starred marriage quickly dissolved. It was impossible for Wood to transfer his feelings for his mother to an appropriate love-object and his biographies are in fact peppered with admissions such as "I guess I'm just not interested in women."

The model for the woman in American Gothic was Wood's sister, Nan, a convenient surrogate for Hattie, whom he had tenderly portrayed in *Woman with Plants* of 1929. For the image of paternal authority, the artist convinced his dentist, Dr. B. H. McKeeby, to pose in a costume that would suggest "a farmer who [like Wood's father] could be a preacher on Sunday." The forbidding pitchfork, along with the man's direct gaze and humorless expression, adds a confrontational quality to his presence. This stern farmer embodies the threat of paternal punishment; he protects the woman, who stands behind him, and brandishes his pitchfork like a scepter against pretenders to his familial throne. Together the couple form a compact mass, looming close to the picture plane and sealing off entry into their world. But Wood manages to insert himself in the scene nonetheless: while he had signed *Woman with Plants* on the begonia next to his mother's hip, identifying with the objects of her nurturing care, here he inscribes his name, provocatively, on the man's overalls, below the waist, completing the oedipal triangle of relationships that underlay the genesis of this image.

Wood had succeeded in usurping his father's place, but not without an accompanying sense of unconscious guilt. Wood scholar Wanda Corn states that "until the end of his life . . . Wood wrestled with his father's psychological presence." On his deathbed, the artist expressed the desire to paint his father's portrait as a pendant to *Woman with Plants*, using his memories and family photographs to create an image of the man long dead. Wood himself died before he could carry out his plan, but I want to make the case that in *American Gothic* Wood had already realized his dying wish, albeit in partial form, disguised or distorted. Furthermore, if these parental imagoes register filial feelings of tenderness for the mother and dread of the father--common if not universal infantile experiences--we may explain something of the painting's peculiarly mocking reception: viewers may subliminally recognize the picture's psychosexual significance and cover over their unease with a discharge of harmless humor.

Title: Teaching Analogies: Creative and Analytical Uses in Reading, Writing, and Communication

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Abstract

Analogies have been recognized as powerful figures of thought. I'm using the term analogies as a broad and informal category to include rhetorical tropes such as simile, metaphor, and other conceptual comparisons and contrasts. Effective use of analogies makes reading, writing, and communicating appealing, lively, and memorable - as it aids understanding and can lead to discovery of new ideas and new ways of seeing things. From the 1970s there have been growing applications of analogies and analogy making for creative problem solving, scientific discovery and hypothesis building, executive training in private and public sectors, therapy and counseling, as well as teaching students communication and critical thinking skills.

Teaching about analogies and practicing the creation and use of analogies will be beneficial for our students' and our own reading, writing, and communicating. Teaching about and using analogies also fit in with the current pedagogy and practices of multi-genre writing. A variety of examples of analogies will be presented for discussion, and an opportunity to write a personal analogy will be modeled.

Suburban Communities: Isolation or Participation? A Documentary Film Investigation

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ABSTRACT

Sense of place is rapidly disappearing in America. Big box stores, sprawl pattern developments, and a lack of sustainable urban planning are creating a landscape of manufactured homogeneity. How do communities develop where there is little infrastructure support for them and designs tend to favor isolation?

Voluntary Isolation is a documentary film that follows the community building efforts of one working class neighborhood and contrasts it with other areas with little or no sense of community. It highlights the leadership and initiative required to sustain a high quality of life in a city suburb.

The film will attempt to define the problems that afflict newer neighborhoods while showing how one older community is transforming itself through its own initiative. It will provide examples of the challenges and rewards of successful community building. The film will also be a focal point for dialogue and conversation among communities across geographical and cultural boundaries.

Framing the New World: Jan van Kessel's Continent Series

Jessica Thomas

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Art History and Criticism

Framing that differentiates and contextualizes, allegorical predominance, establishment of direct painting-viewer and presentation-representation relationships, and evidence of humanist idealism transitioning into empirical pragmatism: these features all play a significant role in the art of the early modern period and are exceptionally displayed in the series of continent paintings by Jan van Kessel. Van Kessel's continent paintings can be viewed as small collections as well as paradigmatic examples of the imaginary kunstkammer, or cabinet of curiosities, making them exemplary of the seventeenth century practice and theory of collecting. This paper examines how the paintings fit so appropriately into the conceptual framework of the collection and the cabinet in order to illuminate the interplay between the presentational and representational implications of the paintings in Jan van Kessel's series.

My paper concentrates on two of the paintings in the series exclusively, *America* and *Europe*. The choice of the *America* composition, specifically, for this discussion is relative to the nature of the time period in question, that is, the early modern period, when America's fate had become a charged question for the Low Countries not only in terms of colonialism and political ambitions, but also in regard to European attitudes toward and conceptions of indigenous peoples, attitudes which were shaped by the new epistemic emerging at the time. In this way, the Dutch interaction with the New World sheds light on all such interactions with other countries of an "exotic" (i.e. non-European) nature during the early modern period.

Thus, the aims of this essay are, broadly speaking, two: (1) The examination of van Kessel's compositions in a more theoretically abstract, ahistorical light elaborating their exemplification of concepts such as framing, presentation, and representation as discussed by contemporary thinkers, and (2) the exploration of the compositions' historical context that provides concrete meaning for the otherwise empty brackets of the theoretical analysis's proposed framework.

TV. The Space of the Screen

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There is a need, it seems, for a mode of evaluating the viewer that does not presume ignorance or knowledge, which simply does not presume, but states what is being viewed, in what places, atmospheres, or social climates it is being viewed, and the extent of indifference or interest with which the viewer engages the viewed. For the purposes of this essay, what is being viewed is American network television evening news, i.e. CBS Evening News, NBC Nightly News, and ABC World News Tonight, in contrast to the 24-hour network news channels, e.g. CNN, FOX News, MSNBC, etc. More specifically, the focus is on the designs of these news broadcasts and the space or place that is conveyed by the evening news set or the hypertext of the crawl, the headline, the byline, and so on. The places that these broadcasts are viewed are innumerable; it is not just the living room anymore but also the airport terminal, the doctor's office waiting room, the local bar, the bank teller's line, the tanning parlor, the gym—the list is endless. The atmospheres or social climates that these places offer cannot be narrowed down to some single trait or purpose, an aspect of television in the present that Anna McCarthy discusses most thoroughly.

However, the purpose of this effort is not about the physical location of the television set but about the topos of the image on the screen. In other words, the focus is on the space of the screen image and in the way bodies-in-space (that is, the bodies-in-the-space-of-the-screen) are perceived as different from or the same as the body of the viewer. This includes how movement on the screen is experienced or seen (or neither or both) by the viewer, and how the viewer's own movement is affected by the moving body on the screen. *Presentation* focuses this otherwise formal discussion, which permits two conceptualizations for the project: (1) the formal aspects that present themselves on the screen, and (2) the presence of subjects on both sides of the screen. This seemingly fuzzy focus necessitates a number of tangential studies, including movement, time, types of space, perception and spectatorship—the list continues, but limits must be drawn.

HAWAII INTERNATIONAL CONFERENCE ON ARTS AND HUMANITIES

SUBMISSION TITLE PAGE

Title: The Black Beauty Shop: A Discourse On Ritual, Identity, and the Communicative Aspects of Black Hair

Topic Area: Ethnic Studies

Presentation Format: Panel Session (1st choice) Paper Session (2nd choice)

Author: Carmen P. Thompson

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Source: Masters thesis

My thesis provides a look into the discursive aspects of black female identity through the highly gendered space of the black beauty shop. Specifically, I describe the world of the black beauty shop and the role it has played in shaping black female identity through various hair grooming practices and the descriptive hair language that is articulated between the beautician and the client. Using participant observations, I aim to show how the unique aspect of black hair care is not only culturally distinct, but how it is ritualized within the black beauty shop. Further, I show how the ritualized nature of black hair care is transmitted as cultural knowledge from beauticians to black females. Moreover, I position the beautician as an enunciator of the cultural knowledge about black hair care and together with the black female she acts as a co-constructor of her cultural identity. It is my contention that the evolution of cultural knowledge about hair care develops into ritual practice when cultural tradition is transmitted into cultural memory and leads to hair care performances and a type of hair language that is oriented by a special context of interaction and communication for black women. By considering the unique and complex lexicon black women use to describe their hair, i.e., nappy, kitchen, good, or bad, we can begin to learn how cultural knowledge about black hair is imparted to black females. Additionally, the act of grooming black hair, i.e., pressing, braiding, locking, and twisting, are all hair care performances whose "stylizations" illustrate and express aspects of black women's personal, social, and political identity. My goal in this thesis is to show the development of a cultural knowledge through these modes of communication that leads to a learned exemplar of cultural practices that affect the ways black females come to identify "self" with their hair.

Also within this thesis I provide a context for viewing the black beauty shop and black hairstyles as sites of resistance to racism. I argue that the black beauty shop is a safe place for black women to articulate their personal and professional identities away from the racist gaze of the white community and the patriarchy of the black community. For centuries racist stereotyping by whites has historically led to a response by black women. Black hairstyles like the press and curl have facilitated black women's assimilation into the larger society with a well-groomed appearance. Similarly, the Afro hairstyle provided a means for black women to reject the European aesthetic and redefine black female beauty, all while symbolizing black women's solidarity in the movement towards racial equality.

The role of the black beauty shop in shaping and supporting black female identity and resisting racist appropriations is one that has been given only scant attention by scholars. My thesis has attempted to provide a broader framework for viewing the significance of this most important institution.

Information for Conference Proceedings
2005 Hawaii International Conference on Arts and Humanities

1. The Policies and Politics of Second Language Writing Instruction: A Case Study

2. Joshua Thoms

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6. Abstract

A myriad of studies within the fields of Second Language Acquisition (SLA) and Foreign Language (FL) Education have examined many of the processes of writing in a foreign language that occur inside the classroom and/or that directly affect the writing process itself. Some common research themes have included analyses such as the effects of revision on second language writing competency, first language interference in the development of second language writing skills, the effectiveness of explicit vs. implicit feedback provided by teachers on writing activities, etc. However, previous research has not adequately addressed how the institutional or departmental contexts outside the classroom shape instructional practices. In order to fill this gap, my study focuses on one specific context (The University of Iowa) and examines the institutional and departmental policies and politics outside the classroom among seven FL programs (Chinese, French, German, Italian, Japanese, Portuguese, and Spanish). It reports on how these directly or indirectly affect the way writing is taught inside intermediate-level FL classrooms.

Results from a survey distributed to general education program directors responsible for making decisions about what kinds of writing activities are included in course syllabi are analyzed. The data suggest that the wide variation, in 1) how decisions about writing are made, 2) the conditions under which students write, and 3) the manner in which their writing is evaluated, is influenced by institutional factors such as student enrollment and the textbooks used in FL departments.

Tuesday, October 26, 2004

1. Title of the Submission: Cultural Understanding and the Creative Mind

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6. Abstract

The paper examines selective works of Pearl S. Buck within the historical, cultural, social, and global context, with a focus on the relationship between cultural understanding, a compassionate mind, and "the creative instinct." A Nobel Laureate in Literature, a Pulitzer winner, and with elected seats in the National Academy and the Institute of Arts and Letters, Pearl was also a powerful humanitarian who contributed her talents and resources to promote understanding between China and America, the East and West, an activist who opposed war, racism, communism, and an advocate for peace, equality, civil rights, and women's rights. This paper analyzes several types of sources-- Pearl's fictional, autobiographical and biographical works, articles, essays, and correspondences -- compares and contrasts definitions of the compassionate mind and the creative mind from artistic and Buddhist perspectives, and asserts the role of literature and the creative mind/instinct in promoting cultural understanding.

Framing Memories: Three Poems of Cathy Song

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ABSTRACT
April Tiedt

Cathy Song, an Asian-American contemporary female poet, employs shifts in the narrative voice, variety of motifs, and photographic and cinematic techniques in her poetry. Using these strategies, she encourages readers to participate in the memories she creates, expanding each memory to a collaborative effort between poet, narrator, and reader. Using these strategies to frame the memories, the poet incorporates various photographic principles in order to have them read as one would view a photograph. In poems such as "Open Heart," "Picture Bride" and "The Vegetable Air," Song creates situations where a collaboration unites memory(ies) by supplanting different photographic and cinematic techniques.

My essay will argue that Song's three poems offer the reader insight into the creation of memories in the contemporary world. For instance, "Open Heart," a poem in Song's *School Figures* volume, illustrates Song's inclusion of photography. Song reveals the central character in the poem, Tina Chow, through twenty-two three-line stanzas, which situates her as a controlled, subservient wife. Through the poem, readers see Tina develop as flowers in its different stages of fragility. Song mentions photography in the poem, but also uses cinematic techniques such as the "confessional close-up" and montages to reveal images of Tina in her success and demise. Ultimately, "Open Heart" represents the memory of Tina as told through instances of her life, collected from a friend.

In "Picture Bride," the title poem of the winning Yale Series of Younger Poets collection *Picture Bride,* Song uses the photographic gaze and an unreliable narrator who establishes her identity by recreating a memory of her grandmother. Composed of several open-ended questions in the form of stanzas, the poem forces readers into participants who question with the granddaughter narrator. Readers also recreate the grandmother's journey to Waialua Sugar Mill in Hawaii by understanding the embedded answers within each question. These answers assure readers that the granddaughter's speculation has invited them to participate also in the autobiographical act of remembering. Song's details, her embedded "answers," remind the reader that these questions include the

narrator's speculations or what she might have been previously told. The camera-eye-like movement from detail to detail about the grandmother and the future grandfather shift the reader around, speculating on their motivations, happiness, marriage, and identity of the grandmother.

Likewise, "The Vegetable Air", in the collection *Frameless Windows, Squares of Light*, illustrates Song's concern with "scenario negation," a situation in postmodern fiction where one event is negated for another. In Nicoya, Costa Rica, an ailing man slowly dies while his friend, presumably a close friend shares intimate details of his friend's existence. While the healthy friend narrates the story about his ailing friend's longing for Paris, a sense of a "world within a world" permeates. This technique dominates the poem while a cinematic "voice-over" technique occurs as the friend recalls earlier dialogue. Song's narrator negates the ailing man's physical environment in lengthy "freeze frames" that serve again to remind the unnamed man of his deplorable condition and inability to recall memories without his friend's assistance.

Song uses these cinematic and photographic techniques in her work because she realizes these techniques are more realistic in terms of how people receive and interpret information. In their daily lives, people watch movies and view photographs, willingly participating through recalling and retelling information associated with the memories that were created. People understand the narrative nature associated with these activities; it is second nature for people to participate with these activities and simultaneously recreate memories with others. Accordingly, Song introduces us to her techniques through the use of photographs within her poems. "Picture Bride," along with many other poems that refer to specific photographs, encourages us to participate alongside as co-creators. After Song demonstrates her photographic techniques, she incorporates certain cinematic techniques in to her poems. Her use of these perspectives is important because her techniques match what many current postmodern writers, filmmakers, and photographers, are doing in their works—bringing the viewers or readers into the work of art. These purposes—conveying truths of her ideas more clearly, showing how readers can understand her worldview more readily, and interacting with the readers/viewers—allow Song's readers to experience poetry unlike perhaps how they have previously read poetry, but how they would experience other art forms.

Jazz: America's Social Thermometer
(The Impact of Social and Cultural Issues on the Creation of Jazz from 1920-1960)

A Research Paper

in

Music

for the
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by

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Jazz Historian James Lincoln Collier states in his work, "Jazz : The American Theme Song" (Oxford Press, 1993) that because of a unique set of social, economic, and intellectual factors, jazz could have happened only in America. Jazz was not an accident. It happened because of what had gone before, and it spread through the culture because the American people were prepared and, in fact, looking for it. Jazz is part of the social history of the United States and must be examined in that context.

Likewise, the social and cultural history of our country is incomplete without the inclusion of the music called jazz and the effects it had on the American populace. Jazz with its emphasis on creativity and individual expression represents the epitome of the American spirit. Just as the American population is comprised of a great diversity of ethnic groups and cultures, the word "jazz" encompasses a great many styles and types of jazz.

The history of jazz from its roots in New Orleans to the golden age of Dixieland in the 1920's and swing music of the 1930's to the free style jazz of the 1960's and the rock and fusion of the 1970's has been a microcosm of the musical and sociological history of the United States in the 20th century. To understand jazz is to understand the history of 20th century American culture. The influence of jazz on much of the artistic and popular music and culture of the 20th century solidifies its importance as a part of the fabric of American life. The breadth and contribution of jazz to American life has been recognized by the U.S. congress when they declared in 1993 that Jazz was "America's Classical Music" and was worthy of preservation, not only for the sake of the music, but also for the significance of its impact on the development of American culture.

In this treatise, I will explore the impact and the role that the social conditions of the time had on the style of music that was created in the idiom of jazz with special emphasis on the decades between 1920's and the 1950's. Likewise, I will investigate the role that the music played as commentary, reflective and expressive of the sociological mood of both the creators and consumers of this music during that time.

Introducing Multiculturalism Through Chamber Music

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Chamber music, its selection, preparation and performance, provides a multitude of possibilities for multicultural explorations. Further, chamber music presents opportunities for meaningful interchange between diverse constituencies of the community.

Angel in The Alley: Bettye Fitzpatrick and Houston's Alley Theatre, 1957-2004

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Bettye Fitzpatrick joined The Alley Theatre as an apprentice in 1957, as The Alley celebrated its tenth anniversary. Forty-seven years later, Fitzpatrick continues as a participating witness to The Alley Theatre's legacy. Interviews with Fitzpatrick aimed to illuminate the experiences of a professional actor committed to her craft. Evolving objectives included a firsthand history of The Alley as an institution in post-WWII Houston and personal assessment of theatre as community for the resident company and theatre as a vital constituent of its supporting community. Ultimately, research explored the interdependency of actor, institution, and city.

To document Fitzpatrick's history, video interviews were followed by audio interviews and personal communications to encourage greater detail in less intimidating settings. Secondary historical sources on acting, theatre, and Houston supplemented the interviews. Photographs augmented the documentation of Fitzpatrick's life in The Alley Theatre.

Bettye Fitzpatrick grew from an eager youth to a veteran performer at The Alley. She embraced her work as actor, set designer, stage manager, production manager, and intern mentor. Houston and The Alley came to enjoy national and international recognition, providing travel opportunities and professional acclaim for Fitzpatrick. Whenever Fitzpatrick considered a stage career in New York, she remembered Alley founder Nina Vance's philosophy that theatre transcended the individual and recalled her college mentor who taught Fitzpatrick that "theatre was church." Fitzpatrick's story invites the reader inside The Alley, noted for its resident company and community support, and reveals a Houston different from the city associated with hard-edged business and individualistic enterprise.

Proceedings Submission – Abstract Publication

A. Title: Correlates of Attitudes Toward a Smoking Ban in Vehicles

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F. Abstract

Background: Recognizing escalating evidence of adverse health effects of secondhand smoke, an increasing number of municipalities all over the United States have adopted comprehensive smoke-free ordinances that ban smoking in workplaces, bars, and restaurants despite a number of debates over passage of smoking bans. The State of California has further attempted multiple times to be the first state in the United States to ban smoking in vehicles when small children are inside.
Purpose: To examine the predictors of attitudes toward a smoking ban in vehicles among a representative sample of Indiana residents.
Methods: A computer-assisted telephone interview (CATI) was conducted for a representative sample of 529 adults ages 18 or older based upon random digit dialing method. The interview was conducted by professional telephone interviewers at the Center for Survey Research in Bloomington, IN, from October 16, 2003 to November 16, 2003 after two waves of pilot tests.
Results: Only 34% and 28% of the total respondents favored a smoking ban for car drivers and passengers, respectively, whereas 65% favored the smoking ban in public places. Of the smokers (n = 123), 6% and 5% favored a smoking ban for car drivers and passengers, respectively, whereas 29% favored the smoking ban in public places. Religiosity, education levels, age group, and employment status were significant predictors for attitudes toward a smoking ban for car drivers whereas gender, income group, and race/ethnicity were insignificant.

Okina Kyûin's Literary Aspirations During his Stay on the West Coast, 1907-1924

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ABSTRACT

This presentation will focus on several volumes of the collected works or *Zenshû* of Okina Kyûin, a Japanese immigrant who lived in the states of Washington, Oregon, and California between 1907 and 1924. During these years, Okina not only published hundreds of articles, essays, and novels in Japanese-American newspapers on the West Coast, but also became a prominent advocate for Japanese immigrant literature there. He was a founding member of the Seattle, Washington Immigrant Literary Circle and used his positions with publishing companies such as *Benri-sha*, the *Ôfu Nippô* (*The Sacramento Daily News),* and the *Nichibei Shimbun* (*The Japanese-American News*) to promote Japanese immigrant literature. He created special sections in the newspapers he worked for: *Konjiki no Sono* (*Garden of the Golden-Colored*) for the short story, literary reviews, and miscellaneous literary items, and *Ginsai no Mori* (*Silver-Colored Wood*) for poetry, *tanka,* and *haiku*. In 1924, Okina decided to return to Japan for family reasons and remained there until his death in 1973, at the age of 85.

After returning to Japan, he continued to write and publish essays and stories, such as *Cosumoporitan wa Kataru (A Cosmopolitan Talks)* and *Michi naki Michi* (*Road Without a Path*) in 1928 (Showa 3) and *America Runpen (An American Lumpen (Vagrant))* in 1931 (Showa 6), which were revisions of works published in the U.S. *Cosumoporitan wa Kataru* and *Michi naki Michi* marked his literary debut in Japan, and through them he finally created a name for himself.

Later, at the age of 48, Okina consulted with Yanagida Kunio, a well-known folklorist, and initiated *Koshibito* (*Persons with High Aspirations*) to promote the study of local culture in his native province of Toyama Prefecture. This journal began publication in January 1936 (Showa 11) and continued until his death; the last issue, number 39, appeared in 1974 (Showa 49).

In this presentation, I will focus, first, on how Okina became a writer. Second, I will discuss his early literary works: *Sôsaku*: *Aku no Hikage* (*Shadow of Evil*), in *Zenshû*, Volume V (I will not have time here to consider his later works). Okina's diary, essays, short stories, and novels are valuable because they shed new light on immigrant life on the West Coast. While most immigrants typically engaged in manual labor to make a living, Okina and many other ambitious young Japanese came to the U.S. with the dream of becoming successful. Okina, who had the talent and skills to write, the newspaper as a means of communication and created literary circles to communicate with other Japanese immigrants. He tried to show us what life was like not only for himself but also for other immigrants: how they lived, how they made a living, what they liked to do in their free time, and what they thought. This was a crucial time in the history of the West Coast Japanese community of immigrants, and personal literature of this type brings that period alive and gives a face to the statistics that fill the public records. Okina's *Zenshû* enable cultural historians like myself to understand the transformations that were occurring in his community.

Okina Kyûin's Literary Aspirations

During his Stay on the West Coast, 1907-1924

by

Dr. Ikuko Torimoto

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St. Norbert College

This paper is part of my ongoing research on the *Zenshû* (*Collected Works*) of Okina Kyûin, who lived on the West Coast between 1907and 1924. Like all autobiographical literature (which ranges from the diary and the journal to autobiography and memoirs), the *Zenshû* not only provide us with a personal reaction to important historical events, but also help us to understand the everyday life of Japanese Americans during this formative period in the history of the Japanese-American community on the West Coast.

Okina's life story is relatively unknown even in Japan, and so his *Zenshû* make fascinating reading for anyone interested in the early cultural history of Japanese immigrants to the West Coast. Moreover, his perspective is unique, remarkably focused, and poignantly human.

Volumes II and III of Okina's *Zenshû*, which include a portion of his diary (*Waga*

Isshô: Umi no Kanata [*My Life Across the Sea*] and *Konjiki no Sono* [*Garden of the Golden-Colored*]), and various works in volume V, *Sôsaku*: *Aku no Hikage* (*Shadow of Evil*), cover the period 1907-1924. The second volume of Okina's monumental *Zenshû* begins when he leaves Japan for Seattle in May 1907, at the age of nineteen. In 1924 his father became ill, Okina returned to Japan for good, and his American diary (*Zenshû,* Volumes II and III) ends; however, Okina was a prolific writer, and his *Zenshû* span his entire life, numbering ten volumes altogether. Also included in his *Zenshû* (Volumes V, VI, and VII) are the articles and short stories he published in Japanese-American newspapers on the West Coast and other works published in the literary journal (e.g. *Teikoku Bungaku*) in Japan. After returning to Japan, he revised some of his previously published stories and released them under new titles.

It was in 1907 that Okina decided to go to America. He obtained a student visa and bought a ticket for the long trip by ship and departed Toyama for Tokyo in the company of his mother. On the way, they stopped at Ise Shrine in Mie Prefecture to pray for a safe journey to the U.S. While in Tokyo, Okina stayed with his older brother and purchased novels and several books of classical Chinese poetry. This fact alone tells us something about Okina's educational background and hints at his future literary aspirations. On May 24, in the port of Yokohama, he boarded the steamship *Kagamaru* bound for America.

In my last presentation at the Hawaii conference, in 2003, I focused on Okina's daily life as a Japanese immigrant on the West Coast. In this paper, I will focus, first, on how he

became a writer. And second, I will focus on Volume V of his *Zenshû* and several of his published stories and articles. Further, I will follow his main publications, which appeared in various Japanese-American newspapers (since he often moved and changed employers) to show his contributions as a journalist and author of fiction.

After Okina arrived in Seattle, Washington, his friend from Toyama Daiichi Junior High School, Yoshiyama, helped him find a job through the Tôgôkatsuraan; he had to learn quickly to survive in immigrant society. His first job was picking strawberries; next he worked as a housekeeper in a Protestant minister's home. Now he had to learn how to clean, cook, and wash, as well as how to behave in so-called polite white American society. And, of course, he finally had to teach himself English well enough to be able to communicate with his employers. Like so many other young Japanese, Okina was also eager to go to school like and learn how to read and write English. However, in those early days, as can be expected, Okina was primarily concerned with making ends meet and had to sacrifice his education.

Okina enjoyed the company of other Japanese--they were five thousand strong in Seattle--though there were not many people from his native Toyama Prefecture. But he soon started to reflect on what it meant to be Japanese in America. He wanted desperately to get away from the Japanese side of the tracks and escape the prejudice that white Americans obviously had against Japanese, so that he could feel like a free man and not be a "Jap" anymore. "If there were not any Japanese beside me, nobody would be called Japanese. I am a

'Jap' because I am with them. If I left the Japanese, I would lose my identity as a 'Jap,' and I could find someone who does not see me as a 'Jap'" (*Zenshû*, Volume II, p. 84). His experiences as an immigrant are reflected in many of his writings, and Okina relied on them to develop what became his philosophy of life; he often described himself as a "cosmopolitan," that is, a person who has more than one nationality and considers himself a citizen of the world.

Okina's *Zenshû* are unique not only because they give us his point of view on his own life and on everyday life in the Japanese immigrant community, but also because, very simply, they exist. Few, if any, Japanese immigrants kept a diary or published stories, and this fact invites us to take a closer look at the biography of this unusual man. As one reads his *Zenshû,* it soon becomes clear that Okina was not an average immigrant. Whereas many Japanese came to the U.S. for economic reasons--to escape poverty in Japan and to earn money to support their families back home--Okina, at age nineteen, had his own very personal (romantic, we would say) reasons to leave Japan and come to this country. Okina goes over these reasons in exhaustive detail, and it is clear that he was driven by an equal measure of intellectual curiosity and romantic daydreaming.

Okina came to America primarily to find himself. It is unclear at what point he realized that he had a literary and historical vocation, but his decision to express himself through writing suggests an ambition to better understand the society that he was struggling to become a part of, and to share his exploration of it with others, even if his experience was

limited to the local Japanese community.

In 1908, Okina moved to Bremerton, a small town and navy base an hour by boat from Seattle. Moving to Bremerton would prove to be a turning point in his life. He found a domestic position, first with the Daytons, and then with the Andersons, a Scottish family. More importantly, it was in Bremerton that he decided to enter Union High School to perfect his English, which he had tried for some time to learn on his own. In Bremerton, Okina called himself "Rocky" (*Zenshû*, Volume II, p. 94) and had a totally different experience precisely because there were so few Japanese in town. There were so many foreigners all around him, yet no one seemed to distinguish him as Japanese. No one knew much, if anything at all, about Japan. And what little they knew left them amazed. Okina lived comfortably for a while and nurtured his literary aspirations. In Seattle, by contrast, Okina had felt nothing but discomfort. While living there, he had found that once he stepped into American society, into white America, he was nothing but a "Jap." We can understand the frustration and despair he had felt (*Zenshû*, Volume II, p. 91). But in Bremerton, as his diary suggests, he felt more accepted (*Zenshû*, Volume II, p. 91).

In my last presentation, I mentioned Okina's inspired idea of using Japanese-American newspapers as vehicles of communication. Now, one may wonder what motivated him to write not only his monumental diary but also the hundreds of articles, essays, and short stories that make up his *Zenshû*. Okina had a far-reaching vision for himself, I think;

he realized soon after coming to the U.S. that opportunities and resources were rather limited for Japanese immigrants and that Japanese-American newspapers provided a golden opportunity for Japanese to express themselves, exchange ideas, and experience a feeling of community with other Japanese. Here let me emphasize that Okina had received a good education in Japan and already knew how to read and write. This not only enabled him to find his own literary voice but also helped him overcome the sense of humiliation that he had experienced both in Japanese immigrant circles and, of course, in American society at large.

Okina decided to write a novel during his stay with the Daytons in Bremerton and did not waste any time starting it. Later, in 1908, Okina decided to enter a short story in a competition sponsored by the Japanese-American newspaper *Asahi Shimbun*. In volume II of his *Zenshû*, Okina often discusses literary naturalism, which characterized the work of many contemporary Japanese novelists such as Kunikida Doppo, Shimazaki Tôson, Tayama Katai, and Iwano Hômei. He notes with his usual self-deprecating humor that his own writing skills and experience were still too primitive for him to be able to describe the reality of immigrant life, even after a whole year in the U.S. So, instead of following the path of more established Japanese authors, Okina decided to write a story he remembered from his childhood, *The Story of Osato* (*Zenshû*, Volume II, pp. 91-93). He stayed up all night to finish what would become his first short story. Soon afterward, Okina met the challenge of creating a novella and wrote *Wakareta Aida* (*A Moment of Separation),* which appeared under the pseudonym Rokkei

Sennin in January 1909 (Meiji 42), in the New Year's special edition of the *Asahi Shimbun*. To his great surprise, he won second prize. He explains in his *Zenshû* that his pen name was given to him by Mr. Maru of Sunagoza (Sunagoza-no Maru-han) because he was from Rokurô-dani (Rokurô Valley) (*Zenshû*, Volume II, pp. 93-94). He then wrote a second novella, *Shika* (*Deer*), which he sent to the *Hokubei Jiji* (*The North American Times*) in 1909 (Meiji 42). Okina was now 21 years old. Before long, his short stories, novels, and essays appeared every day in newspapers such as the *Asahi Shimbun*, the *Taihoku Nippô* (*The Great Northern Daily News*, published in Seattle), and the *Ôfu Nippô* (*The Sacramento Daily News*). People in the Japanese-American community began to wonder who this strange person was and even came to visit him in Bremerton. He received letters of support and encouragement.

Okina took advantage of all the attention he was receiving to publish an essay in the *Hokubei Jiji* (*The North American Times*), calling for the creation of a literary association for Japanese immigrants; in fact, as early as 1909, Okina had advocated the formation of a literary circle in Seattle. The same year he helped create a Japanese Immigrants' Literary Society called *Bungaku-kai,* which served as a forum for Japanese writers, and he remained closely associated with its members for many years (*Zenshû*, Volume II, pp. 97-100). Between forty and fifty writers from all over California attended the founding ceremony, at which Okina gave a presentation entitled "Naturalism in the Literature and the Philosophy of Lao-tzŭ and Chuang-tzŭ" (*Zenshû*, Volume II, p. 100). This event also marked the beginning of Okina's

literary career, as several books dealing with the history of Japanese immigrants to the West Coast suggest, since they mention him. For example, the book entitled *Beikoku Hokuseibu Nihon Iminshi* (*A History of Japanese Immigrants in the Northwestern United States*), written by Takeuchi Kôjiro (specifically Chapter Thirteen: *Iminichi Bundan* [*Literary Circles of Immigrants*]), covers the creation of the Seattle Literary Circle and mentions that this was an exciting time for young Japanese people in Seattle who had the energy, intellectual curiosity, and enthusiasm necessary to become involved in society. Literary circles enhanced the cultural life of the Japanese community; as a result of the literary circles, Seattle suddenly became a prosperous Japanese community on the West Coast. Many of them gathered at Japanese-style restaurants in Japan town. They often visited *Maneki* (a restaurant by the same name still exists in Seattle) and *Yachiyo* naturally were attracted to the waitresses because even intellectuals sometimes feel lonely. If they had money (and time), they spent it on drinking and women. Not surprisingly, love affairs with waitresses at drinking Japanese-style restaurants constituted a popular literary theme, too, as is obvious from the novels of Hagikô, Amase, Rokkei (Okina himself), and Sasaki Shigetsu (*Beikoku Hokuseibu Nihon Iminshi,* p. 590).

Takeuchi dwells at some length on the importance of these energetic young Japanese people who played such a vital role in the literary circles of Seattle. The *Shakô-kai* was the name of a very popular circle for *haiku*; the *Bungaki-kai's* focus was literature in general, and the Coast-kai was the literary circle for *Tanka*. Many young people (including Okina)

belonged to and frequented more than one literary circle, leaving one and joining another seemingly at random. These young Japanese were usually between twenty-two and twenty-five years of age and had to do manual labor to make a living; therefore, these literary circles were usually short-lived. However, in their short lifespan they greatly enriched the intellectual life of Japanese immigrants (*Beikoku Hokuseibu Nihon Iminshi*, pp. 590-591).

Takeuchi further notes that the vigorous Pure Literature movement in Seattle gradually lost its youthful appeal when these young men grew older and moved out of town to look for jobs. The literary circles in Seattle eventually ended after the journalist Watanabe Usei died at an early age. Later, the literary circle was resuscitated again in California when Yamanaka Magae and Matsubara Kikô returned and became editors of the *Nichibei Shimbun (The Japanese American News)* and the *Shin Sekai* (*New World*). It was at the same time that Okina moved to Stockton and began to publish in serial form in the *Nichibei Shimbun.* However, after World War I, the literary movement was dissolved because enthusiasm for it faded (*Beikoku Hokuseibu Nihon Iminshi,* pp. 592-593). Takeuchi's observations on the Seattle Literary Circle also coincide with drastic changes in Okina's personal aspirations.

In 1910 (Meiji 43), Okina moved to Astoria, Oregon, and marked as a contract laborer in Portland. He continued to publish essays in newspapers. In the same year, Okina wrote a story in the *Asahi Shimbun* called *Hamako*, this story is about a woman whom Okina remembered meeting on the *Kagamaru* as it crossed the Pacific Ocean; when he met her, he

thought she was a strikingly cute girl as she played on the deck, but he found out that she was later mistreated by her father and ended up working as a waitress. Okina's story created a scandal in the Japanese-American community. In 1911, Okina's essays appeared frequently on page three or four of the *Taihoku Nippô* (*The Great Northern Daily News*) under another pen name, Okina Rokkei Sennin.

Okina mentions in his *Zenshû* that in 1912 (Meiji 45, Taishô 1), at the age of twenty-four, he was rewarded for his story on Japanese immigrants with an invitation to accompany a group of Japanese on a visit to Japan. This plan is also mentioned in Takeuchi's *Beikoku Hokuseibu Nihon Iminshi*. Okina naturally was very pleased because he had not been back to Japan since he had arrived in America, not even when his mother died in 1909. Among other things, he wanted to consult with his father about the direction of his life (Zenshû, Volume II, pp. 314-319). According to Okina, Nishizawa Takuma, Kamei Takeshi, and Kimura Shôzô announced in February their intention to organize a group of Japanese living abroad to visit their homeland, and asked Okina to edit a guidebook and accompany the group as a reporter (along with Nishikata Chôhei and Ôtani Toshisuke). The guidebook, entitled *Shiatoru Omiyage* (*Seattle Souvenir*), was published in August 1913 (Taishô 2), by the *Shiatoru Bokoku Hômondan* (A Group of Japanese Living in Seattle on a Visit to their Motherland); Okina used the pen name Rokkei. This researcher discovered the guidebook in the Toyama city library in the summer of 2004.

Kuwahara supplied a preface, in which he explained the purpose of organizing the *Shiatoru Bokoku Hômondan* and the reason for asking Okina Rokkei to write the guidebook**.** He described Okina as the star of the literary world of the West Coast, respected by the immigrant community and capable of writing, in Japanese, about American and Japanese immigrant society in Seattle, thereby enabling Japanese people to learn more about the sociology of Americans. He mentioned the inflamed situation of the immigrant community in the U.S., which he feels was exacerbated due to a lack of understanding on both sides, and urges Japanese everywhere to improve their understanding of the U.S. and of Americans. This improved knowledge might actually prevent Japanese senior diplomats from making mistakes in their negotiations with American government officials (for example, regarding immigration quotas) and, of course, might improve the quality of life of Japanese immigrants already in America. Kuwahara continued by saying that Seattle had been an important port for both Japan and the U.S. and that people there used to be friendlier to Japanese; in the future, however, Seattle might be changed and anti-Japanese feelings might arise, which everyone should do their best to prevent. This researcher notes that the guidebook is a valuable source of information that portrays the enthusiasm of young Japanese and life in immigrant society, showing that Okina took his responsibilities as a writer very seriously.

In Japan, Okina received a warm welcome by family and friends in Toyama, and, through his aunt, he met Kiyoko Ishiguro. Kiyoko's younger sister, Fusako, was married to a

Japanese man who had immigrated to America and now ran an orchard in Florin, near Sacramento. Kiyoko approached him, rather passionately, it seems (!), expressing her desire to return to America with him as his wife (*Zenshû*, Volume II, p. 361). He was married to Kiyoko Ishiguro in 1913 (Taishô 2).

During his stay in Japan (1913-1914), Okina sought acceptance into Japanese literary circles with the help of Yamada Toshikazu, by publishing short stories in the journal *Teikoku Bungaku* (*Imperial Literature*), which was founded by Takayama Chôgyu, such as *Oshino Onna* (*A Dumb Woman*) in June 1913, *Oka (Hill*) in August 1913 (Taishô 2), and *Ame no Oto (Sound of Rain*) in January 1914, and *Kobato no Yôna Onna* (*A Woman Like a Little Pigeon*) in May 1914 (Taishô 3). His ambition to join the Japanese literary circle; however, was fulfilled only at a later date, when he published his collection of essays, *Cosumoporitan wa Kataru* (*A Cosmopolitan Talks*) and a long short story, *Michi naki Michi* (*Road Without a Path*), which enabled him to make his literary debut in one of the Japanese literary circles in 1928 (Showa 3), four years after he had returned to Japan for good.

In February 1914 (Taishô 3) Okina left his new wife with his father in Japan and returned to the U.S. Surprisingly, Okina now made the decision to give up literature and become a businessman, working for the Furuya-shôten Trading Company in Seattle. He sent an article, *Fude o Hômuru Hi* (*The Day of No Longer Writing with a Brush*) to the *Asahi Shimbun*. None of his friends believed he was serious about changing his career to become a

businessman. However, this researcher suspects that this was partially due to the response to his works by the journal *Teikoku Bungaku*, though Okina does not go into any detail.

Working for Furuya-shôten, Okina tried hard to be a good employee. But one day a certain Saeki Takuzû, whom he had never met, visited him and presented him with a letter of introduction from Mokkô Matsubara of the *Shin Sekai* (*New World*), a Japanese-American newspaper company in San Francisco, inviting him to go to Stockton, California, to work for his company, *Benri-sha*, and edit the *Taiheiraku* (a magazine that published popular literature) and *Suigô* (a more sophisticated literary magazine). Okina accepted this offer without much hesitation and returned to the world of journalism and literature with no regrets.

The third volume of Okina's *Zenshû,* entitled *Konjiki no Sono* (*Garden of the Golden-Colored*), begins in November 1914, when he left Seattle to go to San Francisco by boat. His travelogue, entitled *From Seattle to San Francisco*, was published in the July 1914 issue of *Taiheiraku*. After arriving in San Francisco, he moved to Stockton and started working for *Benri-sha*. His wife Kiyoko joined him there in 1915.

Okina's years in Stockton (1914–1917) inspired his literary works on immigrants. Living in Stockton, he interacted with Japanese immigrants and had the chance to meet many influential people in the area, including leaders of the local *Nihonjin-kai* (Japanese Association). In his diary he wrote that the Stockton *Nihonjin-kai* included about 200 immigrants living in the Japanese district of the city and also several thousand Japanese who

lived down the river from Stockton (*Zenshû*, Volume III, p. 7). Among the important individuals whom he met through Saeki were Hayashi, who owned a farm on Oakwood Island, and Ishii, who owned a grape orchard and was one of the leaders of *Nihonjin-kai*. Okina also met Mizutani Bangoku, who was the president of the *Ôfu Nippô* (*The Sacramento Daily News)* and who was visiting Saeki to ask him to establish a branch office of the *Ôfu Nippô;* after speaking with Okina, Mizutani offered him a position as an editor in this new office (*Zenshû*, Volume III, pp. 10-11). Saeki welcomed the opportunity offered by Mizutani, because he could now run a newspaper office and could be on an equal footing with other newspapers such as the *Nichibei Shinbun* (*The Japanese-American News*), the *Shin Sekai* (*New World*), and *The Stockton Times*. Mizutani also invited Okina to visit him in Sacramento, which was one hour east by train from Stockton. The city of Florin, where the orchard of Fusako, Okina's sister-in-law, was located, was one third of the way to Sacramento (*Zenshû*, Volume III, p. 10); however, the area was also home to the infamous anti-Japanese mayor Johnson and was a center of anti-Japanese propaganda. Okina described his life and his involvement in the area as he became active in the community, an experience that had a profound influence on his writings. On June 5, 1914, Okina started writing articles in the *Ôfu Nippô* (*The Sacramento Daily News)* under the pen name Okina Rokkei. His articles and essays appeared almost daily on the front page of the newspaper. Some articles recounted his impressions of Sacramento and, more generally, of California: *Seinen no Imagoro* (*About This Time of the Youth*), *Kyonen*

no Imagoro (*About This Time of Last Year*), *Watashi no Aitai Onna* (*The Woman I Want to Meet*). In the following year, in 1915 (Taisho 4), Okina began writing criticism for the New Year's special editions of the nine Japanese-American newspapers on the West Coast, urging the establishment of a pure immigrant literature. Okina emphasized the importance of literature based on the everyday life of immigrants; otherwise, the life of immigrants would seem meaningless. As Takeuchi mentions in *Beikoku Hokuseibu Nihon Iminshi,* Okina also feared that one day literature might disappear from immigrant society**.**

In 1915, when Saeki's *Benri-sha* failed to expand circulation and moved to San Francisco, Okina resigned from the position as editor of the *Taiheiraku*. By 1915 (Taisho 4), Okina's literary works spanned virtually every genre. In March, he published his impressions on scenery and events including articles entitled *Haru no Nomen*: *His Impressios of the Scenery from the Window of a Train* and *Yoruno Hakurankai*: *Night at the World Exposition* of 1915 in San Francisco.

In addition to publishing articles and essays, Okina continued to write fiction and later comedy. As an advocate of literature about immigrants' experience, and with the support of Yamanaka Magae of the *Nichibei Shimbun*, he wrote a lengthy novel entitled *Aku no Hikage* (*Shadow of Evil*)*,* which appeared in the *Nichibei Shimbun* in 1915 (Taisho 4), in 99 installments (Zenshû, Volume III, p. 26-34). At twenty-seven years of age, Okina was building a career as an editor at the publishing company and the *Ôfu Nippô* (*The Sacramento Daily*

News), and serving as secretary of the Stockton *Nihonjin-kai*. He also enjoyed life with his wife Kiyoko, who had joined him in the U.S.

Aku no Hikage is about the lives of several young people: Ofumi (modeled on Ohide), Okuni (modeled on Oyuki), Kumagaya (modeled on Kametani Tekikotsu), Kôno (modeled on Tomita Ryokufû) Tajima, Tayama, and Tomura. He modeled two of the female characters (Ofumi and Okuni) on the waitresses he had befriended in the *Maneki* restaurant, four of the male characters (Kumagaya, Kôno, Tajima, Tayama) on his personal friends, and Tomura on himself. All four are young Japanese immigrants who happened to be schoolmates in the same junior high school in Japan and who arrived in Seattle in the same year and struggled to make it in their new country. Tajima and Tomura became schoolboys, and Tayama went to Alaska to work. The story begins when Tajima and Tomura visit the cemetery where Tayama is buried; he was killed four years before the story starts, after getting in trouble with a woman. Okina has very good powers of observation; he bases his story on some episodes that happened in the community and on some of his own experiences with women, as well as on actual drinking establishments, waitresses working at several Japanese restaurants, houses of prostitution, hotels, and streets, including their layout, which is why some characters and episodes in the novel are so realistic, as if parts of a documentary. One example is a love triangle set in a drinking house, *Maneki*, and *Yachiyo* in the Japanese quarter (*Zenshû*, Volume III, pp. 26-34). As the story progresses, it often becomes difficult for those people who know Okina well to

distinguish between his own life and the fictional actions of the character Tomura, especially when Tomura describes his feelings for various women. Those readers familiar with his *Zenshû* (Volumes II and III) are aware of the topics described in his diary and can easily relate them to Tomura's experiences with a white girl, who happened to be Okina's schoolmate in Union High School in Bremerton (Selma Pittack, who later became a silent film star). These readers also recognize his experiences with waitresses at the *Maneki* restaurant, the *Zabuton* (Japanese cushion) incident, the prostitutes in King Street, his visits to Tacoma with his friend and meetings with a lady who openly expresses her feelings toward Tomura. The story ends rather unexpectedly when Tomura suddenly loses his passion for her because he is disappointed by her rather rude behavior while she was drinking. She leaves town and disappears. Okina's novel was well received by critics and many fellow young people, who considered it the most vivid and realistic description of the life of immigrants that they had ever read. He received many critiques from his readers, most of whom were pleased with his story.

In addition, Okina wrote poetry, along with plays based on the experiences of Japanese immigrants in American society. He directed several of his plays: *Koi ka Shika* (*Love or Death*), *Haka o Horu Onna* (*A Woman Digging a Grave*), *Noppo no Hama* (*A Tall Person* Named *Hama*), *Kowareta Hai* (*A Broken Cup*), and the comedy *Happyaku-doru Mondai* (*A Matter of Eight Hundred Dollars*) (*Zenshû*, Volume III, pp. 41-45).

In 1916 (Taisho 5), his first daughter Michiko was born, but she died the very next

year. Okina and Kiyoko left Stockton and moved to Florin, near Sacramento, to live in a house on Fusako's grape orchard. Once there, Okina decided to work on his writing. In 1917, he wrote another rather lengthy novel entitled *Akakihi no Ato* (*Traces of a Crimson Day*), but it was not as popular as *Aku no Hikage*. He also published *Iminchi Bungei to Iminchi Seikatsu* (*Immigrants' Literature and Immigrants' Life*) in the *Nichibei Shimbun* and *Kôtoku Akisui Jiken* (*The Sneak Thief of Kôtoku*) in *The Rafu Shinpo*.

Despite living in Florin, he was able to continue as secretary of the *Nihonjin-kai* in Stockton. Later, Kawashima invited him to serve as executive secretary of the *Nihonjin-kai* in Oakland, so Okina and Kiyoko moved there in 1918**.** Okina was now thirty years old. He noted at this time that he wanted to become more involved in the lives of Japanese immigrants and was enthusiastic about the prospect of collecting information about them (*Zenshû*, Volume III, p. 171). The moves to Stockton and later to Oakland were turning points in Okina's literary career. Working as an editor at Saeki's publishing and newspaper company and as a leader of the *Nihonjin-kai*, he gained more confidence in his ability to write tellingly about the lives of local immigrants.

In 1918*,* the Oakland office of the *Nichibei Shimbun* hired Okina as chief editor. In the *Nichibei Shimbun*, he sought to promote immigrant literature by creating special sections: *Konjiki no Sono* (*Garden of the Golden-Colored*) for short stories, reviews, and miscellaneous literary items, and *Ginsaino Mori* (*Silver-Colored Wood*) for poetry, *tanka*, and *haiku*. For

these two sections, Okina invited works from the public. In 1919 (Taisho 8) he continued to write essays and also produced his long novel *Konjiki no Umi* (*Golden Sea*), which appeared on the second page of the *Nichibei Shimbun* in serial form, starting on May 17 and ending on July 9, 1920 (fifty installments in all). In the same year his son, Nobu, was born, but Okina also found time to work on two plays about Japanese immigrants: *Oyagoroshi* (*Kill the Parents*) in January 1921 and Act 1, Scene 3, of *Nihon-jin no Ko* (*A Child of Japanese*) in May 1922. In August, Okina wrote a series of essays entitled *Ningen towa Nanzoya* (*What Does It Mean To Be a Human Being?*), published in thirteen installments. In September 1922, *Mokuso to Danso* (*Meditation and Fragmentary Thoughts*) also appeared in thirteen installments. On July 2, 1923 (Taisho 12), he brought out an article entitled *Ishokujû ga Deta ("Ishokujû" Has Been Published*) in the newspaper and let the readers know that the book entitled *Ishokujû* (*Planting Trees*) was now available for purchase; it compiled the short stories he had written in the U.S. In 1924, his father became ill, and Okina returned to Japan for good; Volume III of his *Zenshû* ends with his return to Japan, which just happens to be the same year that the U.S. Congress passed the Immigration Exclusion Act. His daughter Itsumi Kumi told me that his wife conceived a daughter, Himi, who was born in Japan, and that they could not return to the U.S. and leave their newborn baby in Japan.

After returning to Japan, Okina worked for the *Asahi Shimbun*, a Japanese newspaper company, and he became an editor of the *Asahi Gurafu*. He continued to write and publish

essays. In September 1925, he revised *Akakihi no Ato* (*After the Crimson Day*), and he published a book entitled *Michi naki Michi* (*Road Without a Path*) in 1928 (Showa 3). He also published *Cosumoporitan wa Kataru* (*A Cosmopolitan Talks*) in 1930 (Showa 5), and in 1931 (Showa 6), he published *America Runpen (An American Lumpen (Vagrant))*, which was a revision of his works published in the U.S. With *Cosumoporitan wa Kataru* and *Michi naki Michi* Okina marked his literary debut in Japan, and through them he finally created a name for himself. At the age of 48, he consulted with Yanagida Kunio, a well-known folklorist, and initiated *Koshibito* (*Persons with High Aspirations*) to promote the study of local culture in his native province of Toyama Prefecture. This journal began publication in January 1936 (Showa 11) and continued until his death; the last issue, number 39, appeared in 1974 (Showa 49).

CONCLUSION

In conclusion, let me attempt to define the significance of Okina's life and work. Okina often used events that happened to him and to people in the Japanese community as material for his novels and stories. He believed that their experiences made up the essence of immigrant literature. However, although Okina had literary talents, he was not always able to create smooth transitions between scenes, characters, and themes. I believe that this happened because he was usually too rushed to meet a deadline, since he was writing for newspapers, and consequently had precious little time for revision. For example, when he tried to describe a

young man's passion for women, he often used women who were married or who worked as waitresses. Additional factors that limited Okina's literary creativity were his inexperience with women and his limited exposure to life outside the immigrant community.

Moreover, as I believe I have shown, Okina's work is important for historical reasons, because he helps us understand the lives of ordinary people in Japanese immigrant society. This is the personal journey of a young Japanese man who wanted to come to America, the land of his dreams, in order to experience success. In so doing, he became an advocate of immigrant literature, a new genre of writing by, for, and about immigrants.

In addition to the stories mentioned in this paper, Okina wrote hundreds of articles for Japanese-American newspapers, in which he discussed events on the West Coast; this researcher is trying to compile these articles into a collection of his cultural journalism. This researcher finds that they are very valuable resources and contain well-written information about the Japanese community on the West Coast. Although Okina tried to be a novelist, he was a far better and more talented essayist.

In August, this researcher paid a visit to Okina Kyûin's grave in Toyama, which his son Nobu Okina and two daughters, Himi Suda and Kumi Itsumi, had transformed into a memorial tomb. The researcher continues to work with Okina's daughter Itsumi Kumi and his nephew Suda Mitsuru to learn more about all of his published works.

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Voyeurtechture: events in non-place

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Voyeurtechture: events in non-place

Abstract of on-going research

The international airport is a vessel of departures and arrivals transitioning from node to node, an itinerary of an interrelated series removed from contextual surroundings, the space of the "in-between". It is within these nodes that the random chance events are able to define place, even for a temporary period of time. The in-between has a presence in the chance encounters occurring within transitions: two people sitting next to each other on a flight, between the airport and passengers, and people departing/greeting one another. All temporal exchanges are captured and re-formed into new transformations at those precise moments creating a sense of place.

The context-less-ness airport is never the ultimate destination and always the medium, upon which other destinations are attained. Tracing the entomology of the word *place* back to its Latin origin *planta:* "*sole of the foot"*, referring to the physical connection of the body to the earth, then *non-place* would be the disconnection or *un-grounding*. Places that exist only through the words that evoke them, imaginary places such as banal utopias and clichés, are in the sense non-places. Non-place creates neither singular identity nor relations; only solitude, and similitude. In the recent film The Terminal, the main character was "a citizen of nowhere" and relegated to living in the airport, a place of nowhere. He was able to create "place" through a series of encounters of everyday life events within the in-between. The space of the in-between is the point for social, cultural, and natural transformations: it is not simply a convenient space for movements and realignments but in fact is the only place, the place around identities, between identities within the transitory.

The beginning study was to discover these identities from two perspectives, one of the voyeuristic and that of the independent, exploring the contrasting qualities of public and private, through air travel. The view of the voyeur was always from a distance, always on the move with the use of video, while the independent was often the subject of the voyeur and recorded their own experiences through stills. Through the engagement of chance encounters, cameras were given out for the purpose of recording the individual's own experience though the airport, with instructions to send them back once finished with their travels. The video captures the placeless-

ness of the airport by juxtaposing four airports simultaneously, exposing the similar, non-characteristic identities that exist among them. The recording is able to qualify events that present themselves as the itinerary progresses from node to node. It is then that several of these "events" can be further examined, from both perspectives, and transformed into architectural program that explore the nature of creating place within the non-place.

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The works of the English author Henry Fielding are replete with references to music and musicians. This may seem unexpected to modern readers, who know him best for his comic novels *Joseph Andrews* and *Tom Jones.* However, his eighteenth-century contemporaries would not have been surprised. While his theatrical efforts are now largely forgotten, he actually wrote eleven musical plays and published 205 songs, some of them among the most popular of his age.

Fielding had a love of music, and he made that same love a hallmark of his most admirable characters. Indeed, their specific musical tastes serve as a touchstone of their worthiness. For example, his most favored characters show a marked fondness for Handel, whom he idolized, while the worst grow rapturous over Italian opera, a form that the nationalistic Fielding rejected as un-English and affected.

If he did take music so seriously, there was a reason for it: he had a firm belief in its capacity to move and ennoble. Time and again his works cite the myth of Orpheus, the legendary figure whose singing could charm the animals and even the rocks and trees. That for him was the defining metaphor for the power of music. In fact, so irresistible did he think it that he feared its misuse could lead the unwary astray. However, Fielding saw music ideally as loved by the good and leading to the good, and he reverenced its potential for soothing our spirits and lifting our souls.

Fielding and Music

The works of Henry Fielding are replete with references to music and musicians. Singing masters, fiddlers, opera singers, balladeers, even a contemporary conductor make their appearance in his pages while we learn the musical preferences of a number of major characters. In fact, so ever-present is the subject in the author's mind that it regularly surfaces in unexpected and often quite humorous ways. For example, in his autobiographical *Journal of a Voyage to Lisbon*, Fielding has the misfortune to sleep near the ship's captain, whose snoring he describes as "a wind-music, much more agreeable to the performers than to the hearers, especially such as have, as I had, the privilege of sitting in the orchestra" (238).

While the frequency of such references may surprise modern readers, his contemporaries would have expected them. Fielding may be remembered today primarily for his comic novels *Joseph Andrews* and *Tom Jones*, but he was also eighteenth-century England's most prolific writer of ballad operas. Popularized by John Gay's *The Beggar's Opera*, this form of musical drama borrowed established melodies, for which the dramatist would supply new lyrics; and during his short dramatic career, Fielding wrote eleven of them. Moreover, he published a total of 205 songs, with one, "The Roast Beef of Old England," becoming so popular that London audiences sang it for decades as a theatrical anthem at the start and finish of every new play.

If this suggests that Fielding had a gift for music, he had a deep love of it as well. A character of his christens it "one of the noblest Inventions of Men" (*Journey* 65), and an affinity for music is a hallmark of his novels' good characters. Indeed, in Fielding morality and music generally go hand in hand. Thus, the admirable Sophia Western from *Tom Jones* is "a perfect Mistress" of the harpsichord (169) while his last and most idealized heroine Amelia Booth is herself "a great Lover of Music" (*Amelia* 188).

If his favorite characters resemble him in that respect, they share his musical tastes in even more specific ways as well. Handel's career in London overlapped his own, and Fielding had the highest regard for "the enchanting Harmony" of "that great Man" (*Champion* 365). His most praiseworthy characters would concur in his opinion. For instance, Amelia is so fond of his music that she not only attends one of his concerts but "arrived full two Hours before [she] saw the Back of Mr. *Handel*" (189). Similarly, Sophia Western "would never willingly have played any" music but his (169) although such is not the case with her father.

To the contrary, the irrepressible Squire Western always objected "against the finest Compositions of Mr. *Handel*" (169), and that is a telling point. Western is in all respects a less refined individual than his daughter, and Fielding uses his attitude toward music as a gauge of his personality. As the novel informs us,

> it was Mr. *Western's* Custom every Afternoon, as soon as he was drunk, to hear his Daughter play on the Harpsichord…. He never relished any Music but what was light and airy; and indeed his most favourite tunes were *Old Sir* Simon *the King*, *St.* George *he was for* England, *Bobbing* Joan, and some others….
>
> This Evening…when the Gentleman was retired from his Bottle, she played all his Favourites three Times over…. This so pleased the

> good Squire, that he started from his Couch, gave his Daughter a Kiss, and swore her Hand was greatly improved. (169)

As this suggests, Fielding uses music as a touchstone of his characters' personalities, with the inebriated squire's lowbrow taste reflecting the man's simple and simplistic mind. Still, despite Western's lack of sophistication, he is nonetheless "a great Lover of Music" (169), and Fielding would give the squire credit on another score as well: the songs he prefers are entirely and traditionally English.

Fielding was British to the core and was particularly wary of "corrupting" influences from the continent. When he formed his own dramatic troupe, he named it the Great Mogul's Company of English Comedians, with the word "English" meant as an appeal to the public's nationalism. In fact, the lyrics of his most popular song, "The Roast Beef of Old England," in themselves attest to his jingoistic stance:

> When mighty roast beef was the Englishman's food,
> It ennobled our hearts, and enriched our blood,
> Our soldiers were brave, and our courtiers were good.
> Oh the roast beef of England,
> And old England's roast beef!
> But since we have learnt from all-conquering France,
> To eat their ragouts as well as to dance,
> Oh what a fine figure we make in romance!
> Oh the roast beef of England,
> And old England's roast beef! (*Grub-Street Opera* 54)

Consequently, while he might not place Western's ballads in the same musical league as Handel's oratorios, Fielding did have a certain respect for these traditional English songs. Indeed, in his ballad operas he himself borrowed the melodies to many of them, including the tune to one of the squire's especial favorites, "Bobbing Joan."

On the other hand, he had nothing but scorn for another musical form that he regarded as utterly un-English. Italian opera was all the rage in the London of his day, with Fielding complaining poetically, "English is now below this learned Town;/None but Italian Warblers will go down" (*Intriguing Chambermaid* 5). In his works he repeatedly mocks such "singing vermin" (*Author's Farce* 66) under names like Signior Quaverino, Signior Warblerini, and Squeekaronelly.

In one of his plays he even has a Signior Cantileno compete musically for the heroine's favor with the native-born champion Mr. Ballad. The latter says, or rather sings, to his rival,

> Be gone thou Shame of Human Race,
>
> The noble Roman Soil's Disgrace;
>
> Nor vainly with a Briton dare
>
> Attempt to win a British Fair.
>
> For manly Charms the British Dame
>
> Shall feel a fiercer nobler Flame;
>
> To manly Numbers lend her Ear,
>
> And scorn the soft enervate Air. (*Miss Lucy* 42)

It goes without saying that the Englishman triumphs and drives the foreigner from the field.

If a taste for Handel marks a Fielding character as praiseworthy, then a taste for foreign opera does exactly the opposite. Moreover, he depicts one type of person in particular as enraptured with the Italian import, and that is the dandy. Typical is the Europeanized beau Bellarmine in *Joseph Andrews* who moves about the room "in a Minuet Step" while humming "an Opera Tune." While he may be English by birth, Bellarmine explicitly condemns his own country, declaring, "I would see the dirty Island at the bottom of the Sea, rather than wear a single Rag of *English* [clothing]…. I positively assure you, at the first Opera I saw since I came over, I mistook the *English* Ladies for Chambermaids, he, he, he!" (112-113)

As this foppish love of opera suggests, however, Fielding's hostility involves more than simply the form's continental origin. Throughout his career one of his most consistent targets is affectation, and in his view fashionable London's ecstatic embrace of imported opera was nothing more than an "affected Fondness for foreign Musick" (*Intriguing Chambermaid* 2). In one of his plays, the worldly Mrs. Haycock explains this fact to a country girl, telling her that city ladies "go to Operas, without any Ear; and slight their Husbands without disliking them; and all because it is the Fashion" (*Miss Lucy* 7).

By contrast, for Fielding the best music involves not the affected, not the artificial, but the natural. In fact, he regularly depicts nature itself as filled with song. For example, when he introduces Sophia in *Tom Jones*, he beseeches the birds to mark her entrance: "you the feather'd Choristers of Nature, whose sweetest Notes not even *Handel* can excel, tune your melodious Throats, to celebrate her Appearance" (154-155). Perhaps not coincidentally, the adolescent

Tom Jones's first gift to Sophia is itself a singing bird, which Tom's villainous half-brother Blifil – who is artifice incarnate – releases out of pure spite.

Moreover, in Fielding, natural creatures not only create music; they respond to it as well. Thus, when Joseph Andrews is a boy in the country, his employer Sir Thomas Booby wants to use him in the fields as the human equivalent of a scarecrow, but unfortunately since his voice is "one of the most melodious that ever was heard" (154), it "rather allured the Birds than terrified them." Sir Thomas then transfers him to the dog kennel, but even there "the Sweetness of his Voice disqualified him: the Dogs preferring the Melody of his chiding to all the alluring Notes of the Huntsman" (21-22).

Significantly, if Joseph's voice can charm the animals, there is a precedent in classical mythology. According to a legend that Fielding cites time and again, Orpheus too could enchant wild beasts with his music. In fact, so beautiful were his songs that they caused the very rocks and trees to move as they tried to follow his sound. Indeed, when he descended to the underworld to plead for the restoration of his dead wife, his sweet music actually suspended the tortures of the damned and so captivated the King of Hades that he granted Orpheus's request.

Given the frequency with which he refers to it, it is clear that Fielding views the Orpheus myth as the defining metaphor for the power of music. He even went so far as to write an entire play about that man's journey to the underworld, in which Pluto responds to Orpheus's singing with the words, "I am conquered; by *Styx*, you shall have [your wife] back. Take my Wife too, take every thing; another Song, and take my Crown" (*Eurydice* 139).

It is interesting to note that this same stress on music's power to overwhelm is found in the work of his close friend James Harris, whose treatise on the subject Fielding had read in manuscript in advance of publication. Harris speaks of "the *genuine* Charm of Music, and the *Wonders* which it works…. A Power, which consists not in… the raising *Ideas*; but in the raising *Affections* …. to the Muses Friends it is a Force *irresistible*, and penetrates into the deepest Recesses of the Soul" (Harris 99-100).

Fielding shares Harris's view that music raises "affections" - that is, feelings - rather than "ideas," but therein lies a problem. If he often cites the Orpheus myth, Fielding repeatedly cites another myth as well, and that is the tale of the sirens. These legendary creatures used their songs to lure sailors to destruction, and in bypassing the mental faculties to appeal directly to the emotions, music for Fielding does have its dangers. It can wrongly lull its listeners' reservations and lower their guard. As he puts it in one of his lyrics,

> While thy sounds enchant the ear,
> Lovers think the nymph sincere,
> And projectors
> And directors
> Lose a while their fear. (*Author's Farce* 100)

In fact, music's siren song can lead the unwary to their doom, a point that Fielding makes comically in a poem dedicated "to the Favourite Cat of a Fiddling Miser":

> Thrice happy Cat, if in thy [miser's] House,
> Thou luckily shouldst find a half-starv'd Mouse.

The Mice, that only for his Musick stay,

Are Proofs that *Orpheus* did not better play.

Thou too, if Danger could alarm thy Fears,

Hast to this *Orpheus* strangely ty'd thy Ears:

For oh! the fatal Time will come, when he,

Prudent, will make his Fiddle-strings of thee.

("Cat and the Fiddle" 77)

Nonetheless, while music may have its dangers for the unsuspecting, Fielding saw it as on balance very much a force for the good. Indeed, if he cites the classical myths on the subject, he cites the ancient philosophers as well. Thus, he tells us of Pythogoras's opinion "that virtue, peace, health, and all other good things [were] nothing but harmony" and notes that Plato thought so highly of the art that "he imagined it given by the gods to men for… divine and noble purposes" (*True Patriot* 165-169).

Fielding's final and most perfect heroine Amelia provides the clearest example of the moral heights to which music can ideally raise us. As they listen to a concert together, this good woman turns to the clergyman by her side and comments, "I was just now lost in a Reverie, and fancied myself in those blissful Mansions which we hope to enjoy hereafter. The delicious Sweetness of the Place, the enchanting Charms of the Music, … carried my Soul almost to Heaven in its Ideas. I could not have, indeed, imagined there had been any thing like this in this World" (395). As this suggests, music at its best is loved by the good and leads to the good. It is no coincidence that Fielding flatly states, "the Devil was no Lover of Music" (*Journey* 66).

Given all this, it is not surprising that he refers repeatedly to the subject in his works. Fielding regards music as a force so moving as to be almost irresistible, capable of elevating and ennobling its hearers. True, in the wrong hands it can be cynically used to manipulate, but when used wisely, music has a unique power to soothe our spirits and lift our souls, a power that Fielding esteemed and reverenced.

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Selling Cyberspace: An Analysis of the Role of Print Advertising in Marketing the Internet to the American Public

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Abstract

Print advertisements were key to establishing a "need" for the Internet with an audience that might not have been aware of the "advantages" of the cyber-world otherwise. This study asks several questions to determine the nature of this print-based "persuasion":

1) *What did these advertisements look like?*

2) *What were their messages?*

3) *How did they attempt to convince the American public that the Internet was something that they should--that they must--have access to and use frequently to better their lives?*

In response to these three questions, I contend that the Internet was marketed primarily in three categorical ways:

1) *advertisements that appealed to the viewer's sense of wonder*; 2) *advertisements that played to the fears of the viewer*; 3) *advertisements that appealed to the viewer's sense of control*.

Using a superstructure developed by Gunther Kress and Theo van Leeuwen in their book, *Reading Images: The Grammar of Visual Design* (1996), I examine selected examples from *Time*, *Business Week*, and *Rolling Stone* over a six year period (1995-2000) to support my thesis.

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Selling Cyberspace: An Analysis of the Role of Print Advertising in Marketing the Internet to the American Public

The intent of advertising is to associate desire with commodities and services, and to cement feelings of positive affect to brands…recognizing and making sense of ad messages usually takes place at a non-reflexive level. The grammar of the ad remains unspoken—though not necessarily out of mind, it is out of sight.

From "The Semiotics of Advertising"[1]

The Internet. It is so common today that we barely give it a second thought. Nearly eighty-five percent of all Americans have convenient access to the Internet, while seventy-five percent of Americans use the web daily for any number of reasons including checking email, "chatting" on instant messenger services, browsing the Internet through the use of a search engine, accessing bank accounts online, etc.[2] The ubiquitous nature of "cyberspace" might lead some to take for granted its very recent history. In 1993, for instance, the general public had almost no access to the Internet and little knowledge that the World Wide Web even existed. Then, the "Information Superhighway" (as it was often called in the early 1990s) was primarily used in military and academic circles to

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[1] Excerpt from *Landscapes of Global Capital*, taken from the Lewis and Clark College website, <www.lclark.edu~goldman/global/pagesemiotics/menuframesem.html>.

[2] These numbers are taken directly from the "Internet Access and Usage and Online Service Usage" section of The Statistical Abstract of the United States 2003. In the final year of this study (2000), nearly 113 million American adults (age 18 and up) had access to the Internet at home or work. The 113 million who had access comprised approximately 57 percent of the adult American population. When those under the age of eighteen are factored in, the number climbs to over 65 percent. Moreover, according to the methodology used by the Statistical Abstract of the United States, these numbers do not account for less *formal* Internet access points, i.e., libraries, universities, etc.

transmit information quickly and cheaply.[3] Beginning in 1994, however, access and use of the Internet grew exponentially every year through 2001.[4] During this eight-year period, commerce rapidly began to take advantage of the Internet, recognizing its potential to reach customers, transact business quickly, cut down on paper costs, and provide (possibly) a myriad of other advantages over "traditional" business. Because of both the newness of the medium, the public, however, was largely unaware of the web. Therefore, in order to get the general American public (customers) to recognize these potential advantages, some persuasion was necessary.

Of course, hype about the Internet was not new. In the 1960's and 1970s, movies, television, and pulp fiction idealized a future that would be completely interconnected, and a "buzz" in the media had been circulating about the coming of the Internet as early as the late 1980s when the first browser, simply referred to as the WorldWideWeb (www), was created.[5] Movies such as *War Games* (1983) and television shows such as *Star Trek* (1966-1969) showed the dangers and promises of an interconnected world and universe. Pundits from Al Gore (*Access America: Reengineering Through Information Technology,* 1997) to Bill Gates (*The Road Ahead*, 1995) were letting us know that we were about to enter a brave new world. The "dotcom frenzy" of the mid to late 1990s, however, established a hallmark of sorts in terms of *advertisements* "pushing" the

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[3] Before the Internet became widespread and available to the public, the Internet (then known as ARPANET) was primarily used by the US military and the academic world. For a brief history of ARPANET, see the Internet Society's homepage at <www.isoc.org/internet/history>.
[4] Statistical Abstract of The United States (1994, 1995, 1996, 1997, 1998, 1999, 2000, 2001).
[5] Tim Berners-Lee first proposed the web in 1989 while developing ways to control computers remotely at CERN, the European nuclear research lab near Geneva. He never got the project formally approved, but his boss suggested he quietly tinker with it anyway. By Christmas Day 1990, he finished the first browser, called simply WorldWideWeb. Although his inventions have undergone rapid changes since then, the underlying technology is precisely the same. In April 2004, Berners-Lee won the 1st Millennium Technology Prize (euro 1 million in cash) for his invention.

Internet.[6] Beginning roughly in 1995, popular, nationally-circulated, print magazines were showing initial signs of Internet hype. For example, a quick glance through a collected sample of two of the three magazines used in this study (*Time* and *Business Week*)[7] indicates that advertisements touting the benefits of the Internet comprised between twenty and thirty percent of all advertisements printed in the year ending 1996. By 1999, nearly *every* advertisement printed in these two magazines had at least a dotcom address attached to it. From www.jcpenney.com to www.hanesherway.com., the promise of the Internet was being sold.

This fact alone--that these advertisements attempted to sell "something better"-- is not surprising or particularly interesting as a subject for research, for selling is precisely what advertisements are supposed to do. In hindsight, however, the success of print advertisements can be seen as nothing short of miraculous given that the Internet has permeated and *altered* our society at every level--from banking to education, from retail to entertainment, from libraries to dating services--in a span of time less than a decade long. Albeit, print advertisements certainly weren't the only way the Internet was marketed[8], but their function was key in establishing a "need" for the Internet with an audience that might not have been aware of the "advantages" of the cyberworld otherwise, especially since online access was just beginning to grow.

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[6] Side by side comparisons of print magazines from 1990-1994 to 1995-1999 give clear indication of a precipitous increase in advertisements promoting the Internet.

[7] Rationale for the magazines chosen for this study will be discussed in *Methodology: Source Selection* on page 5.

[8] In fact, some contend that it was word of mouth that "sold" the Internet. In the famous treatise, *Technopoly: The Surrender of Culture to Technology*, Neil Postman posits that new technologies sell themselves, "The United States now ranks as the only culture to have become a Technopoly." The technology does does not come about by design (advertising or propaganda), he says, rather it is the end-product of a system of beliefs predicated on science as a source of moral authority.

Several questions should therefore be asked to determine the nature of this print-based "persuasion":

1) What did these advertisements look like?

2) What were their messages?

3) How did they attempt to convince the American public that the Internet was something that they should--that they *must*--have access to and use frequently to better their lives?

In response to these three questions, I contend that the Internet was marketed primarily in three categorical ways:

1) *advertisements that appealed to the viewer's sense of wonder*; these advertisements promised to make a fantasy world (the Internet) a reality through t he specific company's products and services. A series of ads produced by AT&T (which figure prominently in this study) for the Spring 1995 Special Edition of *Time* exemplify this type of advertisement.[9] These ads capitalize on storybook, "nursery rhyme" themes that have been slightly altered to sell a product;

2) *advertisements that played to the fears of the viewer*; these advertisements set up an either/or fallacy in the mind of the viewer by creating a "keep up or be left behind" motif, i.e., one such ad (further examined in *Analysis of the Corpus* section) shows an office desk placed in the middle of a cemetery with the corresponding text stating, "Let's face it, managing your information isn't a matter of life or death—it's far more important than that" (*Business Week* 112-113);

[9] I will only refer briefly to the AT&T ads at this point. For an in-depth analysis, please see the section entitled, *Analysis of the Corpus.*

3) *advertisements that appealed to the viewer's sense of control*; this most diverse group of advertisements could be characterized as attempting to empower the viewers with a sense that they are in control of all aspects of their environment when they use the Internet, i.e., time, place, connectivity, productivity, etc., are all at their command. These advertisements seem to address the American ethos of individuality. An archetypal example[10] of this type of ad appeared in *Time* on March 1, 1999. This ad for Lotus Notes, a popular software program, shows a man relaxing in a bathrobe, coffee cup in hand, while reading the paper with the tag line, "Superman doesn't feel like commuting today" (26-27). His posture, situation and the corresponding text all exude an air of comfortable control—he takes charge of his environment; it doesn't limit him.

These three descriptive categories,[11] while not absolute, embody the majority of advertisements that appeared in the three magazines *(Time*, *Business Week*, and *Rolling Stone)* used in the study. The body of this study attempts to answer these three questions (What did these advertisements look like? What were their messages? How did they attempt to convince the American public that the Internet was something that they should--that they *must*--have access to and use frequently to better their lives?) in greater detail through an analysis of images and text used in three representative advertisements during the brief period of phenomenal Internet growth[12] from 1995 to 2000 using a superstructure developed by Gunther Kress and Theo van Leeuwen in their book,

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[10] Reproductions of the three representative samples used for this study appear in Appendix A.
[11] For a more in-depth review of these "categories" and the advertisements collected for this study, see the section titled, **Overview of the Corpus** beginning on page 10.
[12] "Growth" is gauged by the total number of websites hosted, the total number of online service subscribers, and by the total number individuals reporting on usage patterns at home and at work. The last two categories were compiled by the Statistical Abstract of the United States beginning in the year 1995.

Reading Images: The Grammar of Visual Design (1996). A brief discussion of the methodology used in this study follows this section.

Part II--Methodology

Source Selection

I have selected a cross-section of three relatively mainstream, weekly and bi-weekly magazines, each with a circulation of approximately one million or higher:[13] *Time*, *Business Week*, and *Rolling Stone*. These magazines were chosen to gauge how the Internet was marketed in three print media environments: general news, business and popular culture (music as a primary focus), respectively. Moreover, if *Time* is seen as the middle, *Business Week* as the right, and *Rolling Stone* as the left from a political viewpoint, then perhaps yet another demographic concern is addressed.[14] *Time* was also selected because it reaches one of the broadest, most diverse audiences in the United States. Demographics of subscribers indicate a broad range of age groups, income and ethnic backgrounds.[15] As a result, the selected advertisements from *Time* offer an

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[13] According to www.magazine.org (a non-profit industry reporting organization), in the year ending 1998, *Time* Magazine had an average circulation of approximately 4.1 million readers, *Business Week* had an average circulation of just under one million, and *Rolling Stone* had a circulation of 1.25 million. The next most popular national newsmagazine, *Newsweek*, had a circulation that was approximately one million less than its competitor *Time*, while *Spin*, *Rolling Stone'*s closest competition had just under a half million subscribers. *Money* (a competitor of *Business Week*) had a million more readers than *Business Week*; however, the fact that it is released monthly rather than weekly and is addressed to a general audience rather than a business audience may have played a role in these larger circulation numbers.

[14] I realize gauging the political bent of these particular magazines is a precarious endeavor at best. However, what is not disputable is that business considers politics as important as the other demographic factors when determining where to place an advertisement for their products as well as *how* to market the product, i.e., it is reasonably safe to assert that advertisements for guns probably wouldn't fair well in *Rolling Stone* as advertisements for "Buy Nothing Day" wouldn't fair well in *Business Week.*

[15] According to *Magazine Dimensions* 2004 (an online publication posted by Media Dynamics Incorporated), *Time* magazine subscribers are a diverse group of individuals, especially in terms of income type. Subscribers are neatly split into five distinct groups of income from $25,000 and below to $125,000 and above. In each of these categories, the number of subscribers was proportionally represented. <www.mediadynamicsinc.com/mdoutline.htm#MAGAZINE>.

indication of how the Internet was marketed to a general audience from across a wide background of ethnic, racial, socio-economic, gender and age differences.

Business Week was selected not because it reaches the largest number of business readers (*The Wall Street Journal* holds that distinction[16]), but rather because it is the *weekly* business magazine that reaches the largest number of subscribers. Moreover, using a newspaper for this study might affect accurate cross-comparisons among the three magazines which all share a basic magazine format.[17] Of key importance in choosing *Business Week* was the content of the magazine. *Business Week* is not a "light reading" magazine catered to a generalized audience with a broad-based interest in the world of business as are *Money* or *Fortune.* Rather *Business Week* is written for a *knowledgeable* audience that has skill in reading and interpreting complex financial data, e.g., balance sheets and statements of cash flow. The magazine is particularly popular among CEOs, and other high-level executives that would be in a position to make decisions regarding purchases of technology and implementation of technology in the workplace.

Finally, *Rolling Stone* was chosen because it is a highly recognized icon of popular culture that comes out bi-weekly. While many magazines (*Spin*, *Details*, *Entertainment Weekly*) discuss and analyze mixed categories of popular culture, *Rolling Stone* reaches the largest and most diverse number of readers.[18] This choice is perhaps the

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[16] As of May 1996, *The Wall Street Journal*, had the highest circulation (1,841,188) of any daily newspaper in the country. (As noted in "Dailies Hold Their Own As Circulation Stabilizes," *Advertising Age*, May 6, 1996, 52.)

[17] According to Northwestern University's Medill School of Journalism, most American magazines follow a familiar format. The format consists of 8.5 x 11, glossy pages that contain text interspersed with colorful visuals, including photographs. The average length is approximately 100 pages. <http://www.medill.nwu.edu/journalism/magazine/index.html>

[18] This is no longer true. According to *Advertising Age, Rolling Stone*'s numbers continue to fall. Jann Werner, the founder of the magazine, is currently attempting to turn the magazine around by changing the focus to more closely resemble popular men's magazine such as *Maxim, Details,* and *Stuff.* A senior media planner at Citron Haligman Bedecarre (a large advertising agency) also noted this: "You can reach all the

most problematic because of the sheer number of competitors in this field with relatively similar circulation figures but divergent subscriber demographics. The rationale for the selection of *Rolling Stone* was simply to attempt to gauge how the Internet was sold to a specific market niche, which in general terms could be loosely described as the "late youth culture" market segment: the combination of aging Baby Boomers and Generation Xers, both with a counter-cultural, socially conscious bent. Since popular culture is a generator of trends, fads, and copious amounts of *income*, the advertisements within the pages of *Rolling Stone* would likely attempt to influence this young and "hip" audience to adopt the latest technological innovations and spend their time surfing and buying online.

Selection of Time Period

Because 1995 is widely considered to be the year the Internet "broke" in terms of public awareness and significant public access, 1995 was chosen as a starting point from which to begin the study.[19] December 2000 was chosen as the ending point largely because statistics indicate that most Americans had public or private access to the Internet by early 2001.[20] To create a manageable and reliable corpus of evidence, I reviewed each magazine on a quarterly basis (March, June, September, and December)

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same people using some of the biggest publications, like *Wired*, *Rolling Stone*, *Spin*, and *Details*… They are not incredibly different from one another" (As noted in J. Burnett. *Marketing Communications: An Integrated Approach*, (1998), 487.

[19] There is some disagreement over this point. Albert and Sanders (2003) note, "[I]t was not until 1994 that it was publicly accessible… many recognize the year as the 'public Internet explosion" (12). In 1994, however, few Americans had access to, regularly used, or even knew about the Internet to qualify 1994 as "the" year. The astronomical leap in host computers on the Internet from the year ending 1994 (2 million) to the year ending 1995 (15 million) and the growth in the number of www sites (10,000 at the end of 1994 to 100,000 at the end of 1995), in addition to informal, unscientific gauges such as the appearance of mass marketing in print media in 1995, seems to indicate that 1995 was the year that a large percentage of Americans became aware of the Internet. Source: R.H. Zakon, *Hobbes' Internet Timeline,* <www.isoc.org/guest/zakon/Internet/History/HIT.html> (2003).

[20] From the Statistical Abstract of the United States (2001). As mentioned previously, after late 2000, the dotcom "hype" was largely over. Internet companies were filing bankruptcy in record numbers and the "mystique" of the web was gone. The Internet, in 2001, was now familiar to Americans.

beginning in March of 1995 and ending in December of 2000. For each quarter, all of the issues for that particular month were reviewed (2-5 magazines depending upon the month and the magazine). Special editions released during this time period were also considered, notably *Time* Magazine's Spring 1995, "Welcome to Cyberspace" Special Edition, which was especially useful for the purposes of this study.

Selection of Advertisements

The advertisements used in this study were selected on the basis of three criteria phrased as questions:

1) Does the advertisement explicitly mention the Internet as a *benefit* to the consumer, i.e., does the ad describe the Internet as a tool that could better serve the business/customer?

2) Does the advertisement mention technologies that require the Internet to realize the product's full potential, i.e., database management software, intranet programs, etc.?

3) Does the advertisement sell a product/service that in some way could benefit (indirectly or directly) from the use of the Internet?

If the advertisement met the first criteria and one of the second two of these three criteria, it was selected. For example, an advertisement[21] for AT&T that appeared in the Spring 1995 Special Edition of *Time* met all three of these criteria and was thus included. It specifically mentions the Internet:[22] "Some called it the Information Superhighway.

[21] All advertisements excerpted in this paper are included in Appendix A in the form of photocopies. The title of the magazine, the appropriate dates, and the page numbers are handwritten on the advertisements.
[22] The Internet was commonly referred to as the "information superhighway" and its realm, "cyberspace," in the early 1990s when it was being introduced to the general public.

Others called it Cyberspace" (2). The AT&T advertisement makes reference to a technology (their product) that directly depends upon the Internet. The user would not realize the technology's full potential without using the Internet, i.e., "AT&T WorldWorx Solutions… made possible by AT&T and their industry partners, [allowed them] to share opinions" (14). Finally, in the case of this AT&T advertisement, the answer to the second criteria question also answers the third criteria question in the sense that the programs and services that AT&T produces require the Internet to fulfill their full potential. The AT&T advertisement serves as a solid illustration of the type of advertisement selected for this study precisely because it does satisfy two out of the three criteria.

As a counterexample, many (hundreds) advertisements that mentioned the Internet directly appeared in these magazines, particularly in the last two years of the study (1999-2000), were not used. Most of these advertisements were traditional "bricks and mortar"[23] establishments selling clothing, cars, tobacco, alcohol, etc. The archetypal example of this type of advertisement is a company that does nothing more than add a dotcom web address to its advertisement or make a passing reference to the Internet. An example of this type of "ad" appeared in the March 5, 1998, edition of *Rolling Stone*. This ad for Winston Cigarettes shows a picture of a woman who is slightly overweight and apparently unattractive judging by the message printed: "On the Web she's blonde hair, blue eyes, 36-24-36" (20-21). In the lower right corner of the ad, the words "straight up" appear seeming to indicate that you get what you see with Winston Cigarettes, but not always on the web. The Winston Cigarettes advertisement does not mention any

[23] "Bricks and mortar" is a phrase of uncertain origin. Used often by such venerable institutions as *The Wall Street Journal*, the phrase simply refers to businesses that are primarily "physical" in nature, or location bound, i.e., Wal-Mart or a similar retailer. The opposite of a bricks and mortar establishment would be a business that is truly virtual, i.e., Amazon.com or a similar e-retailer. Cf., G. Saloner and M. Spence. *Creating and Capturing Value: Perspectives and Cases on Electronic Commerce,* (2002), 312-315.

benefit from using the web—it merely *refers* to the web. The Internet does not need to be accessed to realize the full potential of a cigarette nor does the advertisement imply that the cigarette will taste better if the user logs onto the web. While much discussion and analysis of gender issues and web identity could take place regarding this ad, for the purposes of this study, the passing reference to the Internet is not sufficient to qualify for the criteria. I will now turn to a discussion of the methodology used to "decode" these ads.

Selection of Semiotic Analysis—A Grammar of Visual Discourse

> *Signs never really tell the whole truth. They mediate reality for us, because they necessarily constitute convenient selections from the infinite realm of the knowable.*
>
> *Marcel Danesi*[24]

In order to decode or deconstruct the "meaning potential" of the images and texts contained in the selected advertisements, it is necessary to have a framework that has been tested. After careful review of scholarship in the field of visual communication, I chose to rely upon the approach defined in the Gunther Kress and Theo van Leeuwen's book, *Reading Images: The Grammar of Visual Design* (1996). Kress and Leeuwen put forward what is perhaps the most well-known and current approach to analyzing visual design--a so called "grammar of visual design" (33). This "grammar" is inherently Western and focuses on the "semiotic landscape" of visual communication (33). They note specifically that "images have the function of illustrating an argument carried by the written word, that is, of presenting ('translating') the contents of the written language in a different medium" (38). Moreover, they claim that visual communication has always

[24] Taken from Danesi's book, *Understanding Media Semiotics,* (2002), 17.

been "coded" and that it only seems transparent because we know the code inherently. Of particular interest to my analysis of print advertising images, is the "descriptive framework that can be used as a tool of visual analysis" (12). The Kress and van Leeuwen "framework" moves away from the traditional focus on the lexis of images (iconographical or denotative and iconological or connotative) of significance of people, objects and places in images. Their focus is upon the way elements combine to form a meaningful whole, i.e., the aforementioned "grammar" of images. This grammar incorporates social action and experience. It is a systemic-functional grammar in the tradition of Halliday.[25] Their methodology is structured around three metafunctions from Halliday which serve "all" communication requirements: 1) the *representational* (Halliday calls this ideational), 2) the *interpersonal*, or interactive, and 3) the *textual,* or compositional.

In the representational, the focus is on "participants" or the people, places and objects of the image. "Vectors," or lines of interaction between and among people, places and objects determine the process of interaction (Kress and Leeuwen 40). In this metafunction, the ability of a semiotic code to represent objects and their relations outside the representational system is examined. The authors see representation as a process where the creators of signs "seek to make a representation of some object or entity, whether physical or semiotic, and in which their interest in the object, at the point of making the representation, is a complex one, arising out of the social, cultural and psychological history of the sign-maker, and focused by the specific context in which the sign is produced" (6). The authors note that signs are never arbitrary and that the

[25] Halliday's systemic-functional grammar which incorporates experience and social action has greatly influenced Kress and Leeuwen. See Halliday's *Language as Social Semiotic* (1978) and *An Introduction to Functional Grammar* (1985) for further details.

"motivation" should be attributed both to the sign-maker and the context in which the sign is produced.

In the interpersonal (or *interactional*), the focus is upon how relations are projected between the producer and the viewer of the represented objects. A key distinction in the interpersonal is between the concepts of "demand" images and "offer" images, though these terms are relevant to all three overarching categories. A demand image looks directly at the viewer, connecting most often by eyelines. In a demand image, contact, even if imaginary, is established. Contrarily, offer images do not look directly at the viewer. With offer images, the viewer becomes the subject of the look rather than the object. Another key to understanding patterns of interaction, is the concept of *modality*. Modality is a term that comes from linguistics and refers to the credibility of statements about the world. Kress and Leeuwen are concerned specifically with modality "markers."[26]

The third metafunction in Kress and Leeuwen's system is textual or compositional. This metafunction focuses on how interpersonal and representational elements are made to relate to each other—how they are "integrated into a whole" (Kress and Leeuwen 181). In order to accomplish this complex integration, the compositional

[26] Modality, according to Kress and Leeuwen, is classified by one of eight markers: color saturation, color differentiation, color modulation, contextualization (background), representation, depth, illumination, and brightness 165-167. These markers determine "the status, authority and reliability of a message, to its ontological status, or to its value as truth or fact" (Kress 1988, 124). In making sense of a text, its interpreters make "modality judgments" about it, drawing on their knowledge of the world and of the medium. For instance, they assign it to fact or fiction, actuality or acting, live or recorded, and they assess the possibility or plausibility of the events depicted or the claims made in it.

metafunction relies heavily upon three concepts: informational value, salience and framing.[27]

It is important to note that none of these metafunctions (representational, interpersonal, or compositional) exists in isolation; they overlap and intersect. Certain terms such as participant, vector, demand image, offer image, and salience correspond to each of these metafunctions.

Though by Kress and Leeuwen's own admission, their approach to visual "language" is very broad and often relies upon generalizations, they offer a rare systematic methodology in a field that remains somewhat uncharted (264). Though other scholars have approached visual communication theory[28] in earnest, for the purpose of this study, Kress and van Leeuwen's previously described grammar of visual design is the methodological approach used to analyze the selected magazine advertisements. Their schematic allows for a systematic decoding of the images present in print advertisements. It is my hope that the grammar of visual design established by Kress and Leeuwen will help to illustrate how these advertisements were effective in transmitting their messages to their viewers and how they establish interpersonal connections between the product and the consumer. I will now turn to a brief discussion of the discourse analysis used in this study.

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[27] Kress and Leeuwen refer to *informational value* as the value that is assigned to elements in an image due to their placement within the *framework* of that image. Certain zones (left, center, right, etc.) "endow them (the elements) with specific informational value" (183). *Salience* (discussed in detail in footnote 21) addresses all physical attributes of an element in an image. The concept of *framing* simply addresses the devices used to connect or disconnect elements of an image.

[28] In addition to the scholars noted in the text of the study, cf., Goodman and Graddol, 1996 and Walker, 2001; see also, in general, the journals *Visual Communication* and *Visible Language.*

Discourse Analysis

The term discourse analysis is very ambiguous… roughly speaking, it refers to attempts to study the organization of language [in] larger linguistic units, such as conversational exchanges or written texts… It follows that discourse analysis is also concerned with language use in social contexts and in particular with interaction…

M. Stubbs[29]

Though the focus of this study is mostly on the images and their corresponding "meanings" or messages, it is also necessary to examine the textual elements of each of the advertisements. Since discourse analysis is largely a hybrid field of inquiry, there is a great deal of "cross-fertilization" of ideologies taking place. This mixing of ideas does not imply that these approaches to discourse analysis are mutually compatible, i.e., the narratological theories of A. Greimas, V. Propp, and G. Genette have little to do with the social theory espoused by Michel Foucault. Rather these approaches should be thought of as intermingling and building upon their predecessors. However, because I am largely concerned with the images of these ads, I will not devote time here to a literature review of the field of discourse analysis (for other obvious reasons as well), rather, I will attempt to justify my decision in selecting Gunther Kress's social perspective in the cross-cultural study of media texts.

For the purposes of this study, I felt it was important to choose an approach that reflected and complemented the visual grammar established by Kress and Leeuwen. Thus, it seemed logical to examine Kress's approach to critical discourse analysis. In "Critical Discourse Analysis" (1990), Kress argues that most critical discourse analysis has "an overtly political agenda" which "serves to set critical discourse analysis (CDA)

[29] Excerpted from B. Dellinger's "Critical Discourse Analysis" at <http://users.utu.fi/bredelli/cda.html>

off from the other kinds of discourse analysis" and textual linguistics as well as "pragmatics and sociolinguistics"[30] In general, Kress contends that CDA "aims to provide accounts of the production, internal structure, and overall organization of texts" (1). Kress is largely concerned with how CDA can be used to treat language as a type of social practice for representation and signification particularly for multimodal/multimedia forms such as visual images, music, gestures, etc (1). All linguistic forms must be considered in the context of their situation, he contends, or they have no meaning. Moreover, language must be examined closely in context with any corresponding visual element(s). Kress notes that language "can never appear by itself—it always appears as the representative of a system of linguistic terms, which themselves realize discursive and ideological systems" (2). All language that is a defined and delimited "set of statements" constitutes a discourse that is "expressive of and organized by a specific ideology" (2).

To illustrate Kress' approach to discourse, we examine the following juxtaposed statements:

- The chairman has advised me that…
- I have been advised by the chairman…

Kress notes that the first statement, the chairman is the position of authority because he is emphasized first, while in the second statement, the emphasis shifts to the "I", thus transferring control to the I. This, Kress argues, signals how the meaning and content of ideological choices are expressed through language.

[30] Excerpted from B. Dellinger's "Critical Discourse Analysis" at <http://users.utu.fi/bredelli/cda.html>

Kress's most poignant observations, in light of recent international events[31], are also those most relevant to this study. While watching newscasts in South Africa towards the end of apartheid, Kress notes that "transactive clauses" (in the active voice) are used to make a demonstration against an unjust system at a soccer match appear to be something else. A peaceful demonstration turned violent not by the actions of the demonstrators be rather by the *reactions* of the authorities is portrayed by the media as being the fault of those demonstrating. The report labels the demonstrators as "protestors" who "chanted slogans, …blew whistles" and attempted to "…disrupt the match" (2). In a separate incident, "the demonstrators stormed the fence" and "began tearing the fence down" (2). Kress makes it clear that in such a depiction of events, the decision of the journalist to use these words is not a matter of chance but rather a *matter of choice*. The journalist has a political agenda.

In a final example from a similar set of demonstrations against apartheid, Kress notes how nontransactive clauses are used by the journalist to adopt a particular ideological-discursive structure which ultimately exhibits the values of a specific discourse authority: 'Things began peacefully enough, police hurried to the back fence, violent clashes followed; more clashes…erupted, the confrontation was to last several hours; emotion subsided…'(2). In this case, as with the transactive clauses, Kress notes that…

> the mode in which an action is presented, either as transactive or as nontransactive, is not a matter of truth or of reality but rather a matter of the way in which that particular action is integrated into the ideological system of the

[31] The reader will note how relevant these observations are to the current claims by some of media bias, particularly as it pertains to support for or against the war in Iraq.

> speaker, and the manner in which such an action is therefore articulated in a specific discourse. (2)

What Kress makes clear, is that journalists do not simply report—they *interpret.* More importantly, as with the example of the report on the demonstration above, they cast many struggles in terms of sides: friend versus enemy. On one side the "protestors attempt to invade, storm…" while on the other the police as "protectors…guard the ground" (2). Casting the struggle in this way cloaks their interpretation and allows the audience to listen and watch a seemingly "neutral" report without suspicion of any interpretation or agenda on the part of the media.

While there is at least a presumption of objectivity in the world of journalism, there is no such belief when it comes to advertising. No one can dispute that the purpose of advertising is to sell. However, it would be dubious to say that advertising is completely transparent. Before using Kress' approach to critical discourse analysis to analyze three representative selections from the body of evidence, I will first turn my attention to the corpus as a whole to make some general observations.

Part III--Overview of the Corpus[32]

Categorization of General Characteristics of the Corpus

Though a comprehensive review of the corpus might prove too exhaustive for the purposes of this study, a brief overview of the advertisements collected is warranted. A total of 380 advertisements were collected from *Time*, *Business Week*, and *Rolling Stone*

[32] A truncated, unstructured sample of one hundred of these advertisements appears in Appendix B.

during a one month time span from April 10, 2004 through May 8, 2004.[33] The samples were collected from bound print editions on a quarterly basis (March, June, September, and December) beginning in March of 1995 and ending in December of 2000 and then photocopied. Once the representative sample was complete, a system of classification was then developed.

The advertisements are classified according to a simple schematic approach using six general categories: 1) the magazine where the advertisement originated; 2) the year of publication; 3) the total number of advertisements selected from a specific magazine in a given year; 4) the characterization of the *majority* of the advertisements according to my three classifications outlined on pages 3-4, i.e., *advertisements that appealed to the viewer's sense of wonder, advertisements that played to the fears of the viewer, and advertisements that appealed to the viewer's sense of control*, listed respectively as 1, 2, or 3; 5) a representative list of the products being sold, e.g., in 1998 in *Business Week*, the majority of the ads were for database management software; 6) some selected companies that were responsible for placing the advertisements. This straightforward system of classification is schematically arranged in Table 1 which appears below.

Table 1: Advertisement Classification[34]

Magazine	Year of Publication	Total Number of Advertise-ments Selected	Majority Categor-ization	Product(s) Being Sold--Representative Sample	Some Selected Companies
Time	1995	20	1	Network services; computer hardware and	AT&T; Microsoft;

[33] All advertisements used in this study were retrieved from the main periodical stacks and the popular culture stacks at Jerome Library on the campus of Bowling Green State University, Bowling Green, Ohio.
[34] I designed the chart so that the reader could view the information according to the year rather than chart the course of a specific magazine. I believe this system allows for a more interesting and revealing interpretation of the data.

				software	UPS
Business Week	1995	20	2	Network services; computer hardware and software; database management tools	Microsoft; Bell South; EMC
Rolling Stone	1995	3	1&3	Mail catalogue with online ordering options	BMG
Time	1996	26	1	Network services; computer hardware and software; online schools and classrooms	The University of Phoenix; IBM; Microsoft
Business Week	1996	32	2&3	Network services; computer hardware and software; database management tools	Sun Microsystems; EMC; Lotus Notes
Rolling Stone	1996	10	3	Mail catalogue with online ordering options	BMG
Time	1997	40	2	Network services; computer hardware and software; database management tools	Dell; IBM; AMD
Business Week	1997	28	2	Network services; computer hardware and software; database management tools; communication software	Silicon Graphics Computer Systems; McAfee Associates; Siemens
Rolling Stone	1997	15	3	Online dial-up services; Mail catalogue with online ordering options	AOL; BMG
Time	1998	19	1&2	Network services; computer hardware and software; Online retail enterprises	Barnes and Nobles.com; Lotus Notes; Dell
Business Week	1998	31	2	Database management software; Online security systems; Network security systems	EMC; McAfee Associates, Inc.; Symantec, Inc.
Rolling Stone	1998	19	2&3	Online dial-up services; Mail catalogue with online ordering options	AOL; BMG
Time	1999	25	2&3	Cell phone—Internet	ZDNet.com;

				interface; network software; online retailing	Motorola; Hewlett Packard
Business Week	1999	20	2	Computer conference; Global communication services; automated billing software	Pandesic; NTT; Telecom Interactive; Sybase
Rolling Stone	1999	19	2	Online "posting service"; online commercial free radio; online music search engine and store	MyWay.com; Wherehouse [sic] Music; 360live.com; mySimon.com
Time	2000	20	2	Non-specific Internet services; hardware; database management software	SAP; IBM; Intel
Business Week	2000	25	2	Online investing; online auctioneer; online personalized shopping	Schwab.com; uBid.com; e-centives
Rolling Stone	2000	8	3	Music retailers; internet streaming radio; online music search engine and store	Wherehouse [sic] Music; 360live.com; mySimon.com

Initial Findings

While little can be ascertained from this schematic with complete assurance, several generalizations about the corpus are fairly certain. One, there was a precipitous *decline* in the amount of ads selected for the final year of the study. This was not by choice but rather because the amount of advertisements meeting at least the first and the second or the third criteria decreased substantially. Two, the majority of the advertisements classified shifted away from the first characterization (*advertisements that appealed to the viewer's sense of wonder*) after the first two years of the study. Three, the majority of ads fell into the second characterization (*advertisements that played to the fears of the viewer*) after the second year in the study (1996) and dominated the study for

the remaining years. Four, in *Time* and *Business Week*, nearly all the ads included were for software products, whereas in *Rolling Stone*, the ads were primarily centered on online music retailers and services. Five, in *Time*, nearly all of the companies represented by the advertisements were from *recognizable* multi-national companies with prominent brand names, e.g., AT&T, Microsoft, IBM, Intel, etc., while in *Business Week* and *Rolling Stone*, the preponderance of ads were from relatively unknown, technology and Internet specific companies, e.g.., Live365.com, Silicon Graphics Computer Systems, CheckOut.com, mySimon.com etc. Six, there were few advertisements in *Rolling Stone* during the initial years of the Internet hype (1995-1996) and the number of ads after 1999 dropped sharply.

While other observations about the body of evidence are possible in general terms, these six characteristics stand out as the most prominent. In order to accurately decipher the messages of these advertisements, however, a clear, schematic and scholarly approach to the images and text contained within them must be utilized. Out of the 380 advertisements collected for this corpus, three examples and one counter-example (the previously mentioned Winston ad) were excerpted as representational of the corpus as a whole. In the *Analysis of the Corpus* section, these three advertisements will be closely scrutinized and in the *Conclusion* the results of that scrutiny will be extrapolated to the corpus as a whole.

Analysis of the Corpus

No matter how much they strive to make the decoding process an identical, but inverse, replica of the encoding process, advertisers can never achieve an absolute equivalence between the encoding and the decoding process.

From "The Semiotics of Advertising"[35]

As noted previously, I have compiled a body of hundreds (380) of advertisements from *Time*, *Business Week*, and *Rolling Stone* from March 1995—December 2000 on a quarterly basis throughout each year of the study. Because it is not possible to analyze all of these ads given the scope of this study, I have instead chosen to focus on three representative ads (one from each magazine) that I feel might best answer the most pertinent question of this study: how did they (the companies represented in the ads) attempt to convince the American public that the Internet was something that everyone should--that everyone *must*--have access to and use frequently to better their lives?

I begin my analysis with a lengthy advertisement for AT&T[36] that covered a total of twelve pages (I will examine the first two of the twelve pages) in the Spring 1995 Special Edition of *Time*. After the Special Edition of *Time*, the series was discontinued. The ad, for a product called WorldWorx, emphasized a fantasy theme. Approached first from a representational perspective (the participants and their corresponding vectors), the main participants in this twelve page ad are well-known fairy tale characters, i.e., Humpty-Dumpty, Hansel and Gretel and the Prince and the Frog. In the first two pages (2-3), the participants are a frog with a crown on its head and a hello badge with the words "Mr. Information Superhighway" printed on it on the left page (2). On page 3, the participants include a man standing, dressed as a wizard (a pointed hat with stars and

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[35] *Landscapes of Global Capital,* Id.

[36] Please consult Appendix A for the advertisements decoded in this study. They appear in Appendix A in the order in which they are discussed in this essay.

crescent moons sits atop his head and a long, pointed goatee graces his chin), two women kneeling by his side dressed in period clothing and a third woman standing. There is also a turtle by the left arm of the woman kneeling to the left of the wizard. The turtle could be labeled as an *accompaniment* as it has no vectoral relationship with other participants, and none of these participants is a *sayer*—meaning there are no dialogue balloons present (Kress and Leeuwen 75).

The background[37]of the advertisement is a partly cloudy sky that appears darker than an actual partly cloudy day. It is tinged with a purplish color. Other details in the landscape are blurred, preventing a clear recognition of their form. It is not self evident from the background where this is taking place, but it appears to be a fantasy realm in the context of the story, perhaps an enchanted pool. The place seems especially vague, perhaps to give a sense of mystery, perhaps to give the viewer a sense that this could be any place.

The frog faces the viewer or reader of the image with his head slightly turned to the viewer's left making it a demand image. The frog is not to scale. It appears larger than any of the human figures. The man dressed as a wizard, looks at the frog or into the pool (the angle of the vector is difficult to decipher). While the direction of the wizard's gaze is unclear, his gaze makes him the *actor*--the active participant from which the vector emanates--in the ad. He looks on with a slight smirk on his face, arms in a semi-relaxed state and an overall confident poise. According to Kress and Leeuwen, his downward gaze denotes a *superior* status.[38] The two women kneeling on either side of his legs gaze whimsically into the pool or at the frog—again, the vector is difficult to

[37] Kress and Leeuwen refer to this as the *setting*. See pg. 75 for more detail.
[38] Ibid, 121-124.

determine. The women could be construed as accompaniments like the turtle, but this cannot be clearly established because the direction of the vector is unclear. If they are in fact looking at the frog, they could also be labeled as actors.

From an interactive perspective (the relationship between the participants and the viewer), only the frog is a *demand* image. The human participants and the turtle, as accompaniment, are offer images. While the oversized frog, perhaps representing the enormity of the Internet, gazes impassively at the viewer, the human participants look at the frog. The message is clear. One needs to look past the physical surface of this giant frog to see what the prince it is about to come. But the viewer must acknowledge that the transformation of the frog requires a friendly wizard (AT&T) to convert it (the information superhighway) into a prince. Without the genius of the wizard, the Internet is simply a big frog. The offer image of the wizard indicates to the viewer through poised confidence that he knows the secret to unlocking the mysteries of the giant frog. The wizard is clearly the *actor* in this image. But according to the text, the traditional "frog to prince" story has been slightly altered. The frog (labeled in the text as technology) must "get together" with the wizard to make "magical new products and services that everyone could use" (3).

In terms of compositional meaning, Kress and Leeuwen focus on three primary distinctions: left (given) and right (new), top (ideal) and bottom (real), and center (see Figure 1).

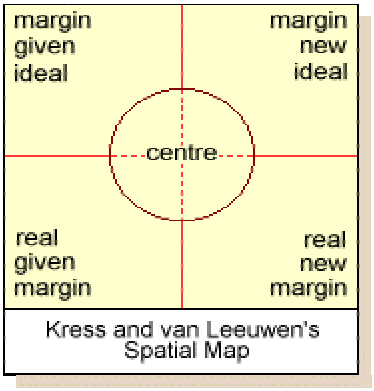

Figure 1

In the case of the AT&T image, the frog is on the left side of the image and the other participants are on the right. The given is the Internet—it is there hiding behind its guise. It looks like a frog, but it's really a prince. The top, or the ideal, is the promise of the wizard. The wizard understands that "this technology (the frog as the Internet) is not as it appeared" (3). The bottom or the real are the hopeless women gazing into the pool and the turtle, perhaps symbolizing the slowness of the old ways of doing things. The frog, also at the bottom left, is in a subordinate position that must rely upon the authority of the superior wizard to realize its potential. The center is the place of symmetry and the divine.[39] It might mediate what comes to the left and right and the top and bottom of it in an image. In the AT&T image, there is no true center. The wizard, the women, and the turtle are closer to the center than the frog, but they still lie to the right of center.

Nevertheless, even without a true center to this image, the wizard and the frog hold the most *salience*[40] of any of the images. The wizard stands erect while all other human characters kneel or sit. He is the largest and most distinctive of images (set apart by his tall pointy, and bright colored hat and unique pointed beard) on the right page of

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[39] In Chapter 6, "The Meaning of Composition" in *Reading Images: The Grammar of Visual Design,* Kress and Leeuwen discuss how the placement of objects in the center offer infers the ability to mediate or moderate. Arnheim also notes in his book, *The Power of the Center* (1982), "In the Byzantine churches the dominant image of the divine ruler holds the center of the apse. In portrait paintings, a pope or emperor is often presented in central position…. A sense of permanence goes with the central position" (73).

[40] Kress and Leeuwen discuss this concept in detail in Chapter 6 of *Reading Images*…. They refer to salience as "The elements are made to attract the viewer's attention to different degrees, as realized by such factors as placement in the foreground or background, relative size, contrasts in tonal value (or color), differences in sharpness, etc." (183).

the two page image. The frog, dominates the left page. His massive size in respect to the human characters in the image informs the viewer of his significance. The crown on his head alludes to a further importance and perhaps a future metamorphosis, i.e., the frog (the Internet) just may become a prince or King, but not without a "kiss" from the wizard.

When the corresponding text is examined, the message decoded above seems to become even more transparent:

> At first people didn't know what to make of it. And many were even confused by it. But there was a Wizard who understood this new technology was not as it appeared. He knew it was here to help people communicate in ways they never dreamed possible. So he got together with technology and created magical new products and services that everyone could use. *Life in the Kingdom became much easier. And much more enchanting* (emphasis mine). (3)

Here we see the promise of a wonderful new world clearly espoused. The possibility of an "easier" and "more enchanting" life is made manifest. The Internet, from AT&T's perspective is not to be feared. It may be "confus[ing]" to some, but the Wizard (AT&T) "understands" that the "new technology" is not "as it appeared." However, because the text alone cannot convey this message, a multimodal form of advertisement is necessary. Because we understand the metaphor of the frog becoming a prince, we "get" the message. The frog cannot become a prince without the assistance of the Wizard (WorldWorx software). Presumably, the sender of the message is relying upon the viewer's recognition of the Internet as "confusing" and "new" and understands the necessity of an intermediary to navigate the complexities of the web.

In the next line, the narrator of the passage again reassures the reader that the frog "was there to help" and that "he (the wizard) created magical new products" to assist. This further assuages any fear of the unknown in the mind of the reader/viewer. This transactive response also echoes the vectors in the image. The wizard keeps a watchful eye over the frog so that we don't have to be confused. While we may not understand his "magical new products," we don't have to because "everyone could use" them. Filtered through WorldWorx, this new world offers us a care-free marvel that we, as they imply, only need to understand in a cursory way; what they ultimately sell us is enchantment without danger.

As an archetypal example of category 1, AT&T has promised the viewer/reader a sense of wonder. The textual reinforcement of the image confirms the pledge to unravel the mystery behind the frog. Clearly, the goal here, as with many advertisements from the early public years of the Internet, is to alleviate fear, not contribute to it. The paradigm of appealing to the viewers' sense of wonder does not last long, however, as we see in the images classified as number 2 (*advertisements that played to the fears of the viewer)* in this study. In the second representative ad chosen for this study, we witness a pronounced shift to a message of fear and anxiousness.

Much like the advertisement(s) for AT&T that appeared in *Time*, the second advertisement chosen for this study was actually part of a larger series of ads (eight individual two page advertisements with a similar theme) that appeared in the same magazine, *Business Week*. These advertisements for Lotus Notes were placed in *Business Week* over the course of March, June, September, and December 1997. The ad selected for review originally appeared in *Business Week* on December 22, 1997.

One of the most interesting representational aspects of this ad for Lotus Notes is that there is no animate participant. The main "inanimate participant" is a large office desk with a vector turns towards the viewer directly. Accompanying the desk are a trash can to its left and a small light and laptop computer on its top. The chair behind the desk looks as if it has just been pushed or rolled out—as if someone had recently left her position at the desk. The desk is situated on top of a black carpet with beige frills at each end. The desk and its accompaniments, however, are not in a traditional office setting; rather they are located in the middle of a graveyard.

The background of the ad is truly an unexpected one. Around the desk in the graveyard are multiple above ground mausoleums, suggesting, perhaps, an area that floods frequently. Some trees can be seen in both the foreground and the background of the image, but none are prominent. The sky is mostly sunny, but it appears as if the sun is about to set perhaps creating an ominous sense of foreboding. The view of the background is slightly skewed and slanted from the use of a fisheye lens, further contributing to an apprehensive mood in the mind of the viewer.

While it is difficult to call the desk an actor since there are no true animate actors or vectors, it is clear that the desk serves in the capacity of an actor. From an interactive perspective, the desk is a demand image. The desk's accoutrements (the light, the laptop computer, and the trashcan) can loosely be referred to as accompaniments, but they are not true offer images as they face the viewer directly. The desk alone in the graveyard is an obvious symbolic nod—death to the company or individual who does not manage the Internet through Lotus Notes. The image of "personless" desk could also be said to "place" the viewer in the chair behind it. Moreover, the image also suggests that the

person responsible (either the viewer herself or the absent person who sat at the desk) for managing the information systems that rely on the Internet and the intranet are "out to lunch". This interaction is further enhanced by the unambiguous metaphor of the graves themselves, which is exacerbated by the setting sun as indicated by the fading sunlight in the image. It suggests to the viewer that the person once at the desk is not in control--that one who has not kept up with the new tools and speed of management is consigned to the graveyard.

The final detail that is easy to overlook by the viewer because it is not in the viewer's sightline and is not pronounced by any aspect of compositional significance is that the desk sits upon a fresh grave. This grave that has yet to be capped by its own mausoleum, potentially implying either that there is still time left to resuscitate the management team or that it is too late—the ineptitude of the information manager doomed the company or at least doomed himself. If the viewer glances downward at the grave, the interpersonal message between the desk and the viewer is reinforced. The desk doesn't merely sit in the graveyard; it has its own fresh grave. Depending, then, upon the viewer's interpretation of the demand image, the viewer is either consigned to the graveyard "himself," a victim of failing to keep up with change, or the viewer is in time to heed the message and change by taking over the empty seat at the desk and moving out of danger with the assistance of Lotus Notes.

From a compositional standpoint, the desk is situated in the dead center of the page. The image is therefore a balance of the given, the new, the ideal, and the real. A sense of permanence corresponds with a central position of an image. The desk, thus, symbolizes to the viewer a sense of the permanence of death on the surface, but also a

sense that change is a constant, i.e., just as the others in the graveyard were once alive and prosperous, so too was this "personless" desk before change relegated it to the cemetery. Moreover, the desk clearly holds the most salience for the viewer. It sits prominently in the center with minimal accompaniment to share or clutter its presence and message. The lack of accompaniments reinforces the feelings of isolation in the mind of the viewer—death is both final and experienced alone.

The images in the ad for Lotus Notes are further enforced by the introductory lines in the paragraph on the corresponding page, "The days of "I'll get back to you" are over. Dead. Gone. Finished. Goodbye. Your customers don't have the time. Your colleagues don't have the patience. Your bosses don't have the bandwidth" (113). The conspicuous use of the second person in this excerpt commands the reader's attention. The "you" also refers back to and reinforces the image that seems to offer the viewer a seat behind the desk. The "you" has been put on notice—ignore these new rules of information management at your own peril, the ad tells the reader in the active voice.

Further down in the text, however, the narrator attempts to temper this warning by offering an appeal to the reader on how to tackle this problem: "So how can you be certain you're putting the most up-to-the-minute information into people's hands, when your company is churning it out faster than you can say the word "helpdesk"? You bring in Lotus Notes" (113). As with the first ad, the advertisement is telling its audience that it can solve their problems, ease their confusion. The ad for Lotus Notes is, however, distinctly different in its approach. While AT&T appealed to the reader's sense of wonder through enticement (offering a world of ease and enchantment), Lotus Notes issues an ultimatum: "It's time to conquer that mountain of information, instead of getting buried

underneath it" (113). The viewer's options are therefore limited by an either/or fallacy: use Lotus Notes and manage your information, or don't, and wind up in a cemetery with the other managers that didn't adapt. The ideological agenda of Lotus Notes is not simply to sell the product, but rather to make the reader feel that there are limited options.

As a representative example, the Lotus Notes advertisement exemplifies an archetype of an ad that plays to the fear of the viewer. Using an inanimate participant that allows two simultaneously mutual interpretations, the ad either places the viewer in the image or it entices the viewer to see what happened to someone else who did not respond to a changing environment. Of all the 380 ads examined in this study, over half were similar appeals to the reader's sense of fear.

The third advertisement examined for this study appeared in *Rolling Stone* on March 30, 2000. The advertisement selected represented mySimon.com and was one of a series of mySimon.com ads that ran from late March 1998 through to the final month of the study—December 2000.

From a representational perspective, there is only one participant in this ad and it a clear vector—towards the viewer. The sole participant is, however, not a "real" person but rather a cartoon. The cartoon image represents a young man, white, presumably in his early 20's with a large toothy grin on his face and a set of headphones over his ears. His hair appears to be in dreadlocks and his eyes are only slightly open (slits). He wears a striped bowling shirt with his name written in cursive across his right shoulder. His gaze is to the viewers' right and is slightly askew. His left hand is raised with his palm open while his right hand rests on his right hip. The background of the advertisement is a light shade of red-orange with no other defining characteristics. The background gives little

indication of a specific location, which is perhaps appropriate to give the viewer the impression of anywhere, everywhere, and nowhere all at the same time.

As previously indicated, there are no accompaniments to the main actor in the image. Simon is not a sayer, and judging by the demand image, he needs no words, though the corresponding text speaks about him in the third person. From an interactive perspective, Simon is clearly a demand image. His friendly and confident posture and open gesture of his left hand beckon the viewer to take control of his services. His confidence leads to the viewer's convenience; his knowledge to the viewer's control. By raising the hand with an open palm and yet looking away from the viewer, however, he is establishing two different vectors with the viewer. His hand welcomes the viewer to join him, but it also seems to suggest that the viewer acknowledge his expertise. Since the image does not stare at the viewer directly but rather stares off to the viewer's right, mySimon's confidence is not as imposing as it might be if it were a "true" demand image. Nevertheless, mySimon seems to be declaring to his audience that he is the best at what he does (search for products and the lowest possible prices) and that he does it with a style and flair (his monogrammed bowling shirt, faux dreads, open hand gesture and toothy grin).

From a compositional perspective, the image of mySimon is slightly to the left of center and towards the bottom of the page. According to Kress and Leeuwen, this makes the image a real, given image. The placement of mySimon in this position is meant to assure the viewer of his credibility and reliability. He does not dominate the image as does the oversize "SIMON KNOWS MUSIC." that is at once both text and image (81). Its enormous "bubble letters" rise from off the page to declare an indisputable message.

The placement of the demand image with this corresponding text is intended to reinforce the confidence the viewer has in the product.

While the large font text seems to be both image and text at once, the corresponding text makes a concerted effort to reiterate the message of image and banner statement again:

> When it comes to finding music on the Web, Simon knows the score. From CDs to changers, artists to audio speakers, Simon helps you to compare prices, products and album reviews. Simon doesn't *sell* (emphasis mine) anything. He searches thousands of online stores and millions of products for the music and audio equipment you want to buy—all from one place. Simon is smart, free and totally plugged in. And, he can help you get connected too, at mySimon.com. (81)

Certain words stand out in the mind of the reader and refer back to the overall message: mySimon is a resource to be trusted. First, "Simon knows the score" uses a familiar, slang to relate to the audience a sense of "hipness". The list of abilities is designed to instill a sense of awe in the mind of the reader. The verbs in this paragraph also reinforce the image's vectors. Simon doesn't "sell"; he "knows" (81). The ad also places emphasis on *who* performs the action. It is not "you" the viewer; it is mySimon. For your convenience, mySimon "searches", "helps", "knows"—he takes the guesswork out of the web by doing it all for the viewer, so much so that the ad even proclaims that mySimon can "help you get connected too" (81). MySimon wants to make it through the verbs used that the Internet will not be difficult *if* you have a guide. As a representative sample, mySimon is indicative of a larger group of ads that promised the comfort of convenience without effort.

Conclusion

What seems to be clear from this study is that early in the "public"[41] life of the Internet, print advertisements in three national magazines (*Time*, *Business Week*, and *Rolling Stone*) covering a large and diverse circulation demographic played a key role in sending the message that the user's life would be considerably better if the customer capitalized on the service or product being promised in the advertisement. As noted before, this assertion in itself is not noteworthy. However, when analyzed through the framework of Kress and Leeuwen's *Grammar of Images*, it becomes clear that these highly symbolic representations, the wizard, the personless desk, the frog and mySimon, call forth a world of where fantasy becomes reality, where fear can only be eliminated through joining the crowd, and where one can have complete and comfortable control with minimal effort. Though the wonder and promise of a better life through the Internet gradually disappeared after the first two year of ads, the two other promises--comfortable control (convenience, perhaps) and fear ("keep up or be left behind")—grew in number and in the force of the message. For some reason, appeals to the viewer's sense of wonder quickly disappeared. The vast majority of the images and text in these advertisements attempted to place in the mind of the viewer/reader these two notions in diverse ways.

From the consumer's standpoint, a quick glance at the images and corresponding text in the ads reveals that everything from investing to buying books was *easier*, i.e., online. The Internet was clearly marketed to show the viewer how much more comfortable and convenient her life could be if she would only go online. From a

[41] Public, in this context, means post 1994 when the world began to get access to the Internet.

business' perspective, the same glance reveals something entirely different. While making business easier was in the subtext of many of these ads, the message at the forefront was usually fear, i.e., the long series of personless desk advertisements. Moreover, the difference in the message sent to general consumers as opposed to a business audience does not break down neatly according to magazine. While *Business Week* predictably had more ads that were directed to businesses rather than individuals, *Time* also had many ads that played to the fears of business.

The companies behind the ads may or may not have realized that they were part of a larger group of companies reinforcing a "do or die", hypercompetitive mentality that contributed to climate of fear and a promise of convenience, but this ideological approach clearly was a favorite among ad agencies. It cannot be determined with any certainty why these ad agencies and companies chose this approach or even if the approach was effective. We can be ascertained with reasonable certainty, however, is for a short period in time[42], when the Internet was still in its "public infancy," fear and convenience were used to alarm and entice the viewers and readers of these ads to go online.

[42] Especially in the years 1996-1999.

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Topic area: **Cross-disciplinary (History *and* English Literature); Report on issues related to teaching**

"Shakespeare's Worlds": Integrating History and Literature through Team-teaching

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Abstract:

Shakespeare's Worlds is a course inaugurated in 2002 that innovates and integrates the teaching of Shakespeare and the history of early modern England. The methodology of this team-taught course requires students to inform their reading of Shakespeare with the history, and to inform their reading of the history with Shakespeare. While each domain is treated as a separate discipline and taught as such, the course also emphasizes the points of connection between them to provide students with a truly integrated experience every day in the classroom. The thematic organization and presentation of the course material support and develop this methodology through team teaching and the students' cross-disciplinary readings, discussions, and written analyses.

We are presenting at the Hawaii International Conference on the Arts and Humanities an active and participatory workshop that demonstrates for conference attendees what we do with and for students in our course.

Teaching Methodologies:

A wide variety of learning formats are employed inside and outside the classroom. Classroom time includes lectures, whole group and small group discussions, various media presentations of Shakespeare's works, and student presentations. Outside the classroom, students are provided with enrichment opportunities through exposure to films, plays and concerts, experiences chosen to emphasize the interaction between historical context and artistic content.

Samples of Course Units **(from the five three-week units taught)**

Unit 3: Henry V

Historical content: the Tudor polity; the "Tudor revolution in government"; theory of paternalistic government; burgeoning English nationalism; monarchy's relationship with Parliament and the latter's rising importance; humanism / "the "New Learning"; the Elizabethan Settlement of the English Reformation; religious conflict's impact on all spheres of English life; escalation of economic change; social theories and realities; rise of gentry and merchant classes.

Week One

- Tudor government
- Henry's calculation
- Hero and king
- Shakespeare and audience

Themes: cult of the warrior; right order and chaos; medieval and Renaissance theories of kingship; monarch and subjects; parent and child; individual and community; autonomy and responsibility

Week Two

- England versus France, the English versus the French
- English social structures
- Shakespeare and history

Themes: English and "other"; legitimacy and illegitimacy; justification of power/ sovereignty; concord and discord; freedom and fate; wealth and power; social rank and status

Week Three

- Definitions of heroism
- Perilous peace
- Theater and propaganda

Themes: fate and freedom; tradition and innovation; parent and child; social rank and status; right order and chaos; individual and community; autonomy and responsibility

Possible sample assignment topics:

A. Hal's "I know you all" soliloquy from *Henry IV, Part 1* informs the audience that Hal can be a planner or even a calculating plotter. Select one of his major speeches from *Henry V* and analyze it, demonstrating how and in what ways the speech develops and elaborates on the concept of Hal as a planner or plotter who can manipulate others to serve his purposes. Be sure to cite and analyze appropriate dialogue and action from the play to support your argument. **[*ENG 363/Arts Study domain*]**

B. Using *Henry V* as your reference, write an essay that explores the justifications for the machinery of monarchy carefully crafted by the Tudors. Analyze the paternalistic theory of government and how it developed and matured in the rapidly changing political, social, economic and religious environments of sixteenth-century England. With those historical realities as a backdrop, identify how Henry V develops and matures in similar ways. Be sure to use specific material from the play, assigned primary documents, and *This Realm of England* to support your argument. **[*HST 308/Historical Study domain*]**

Unit 4: Julius Caesar

Historical content: monarchy and Parliament; rebellions / threats to the Crown; further development of English Renaissance; political, religious, social and economic unrest at the end of the Tudor era.

Week One

- Tudor politics and the strong ruler
- Ancient Roman and Elizabethan England
- First among equals, or first and only?

Themes: monarch and subjects; social rank and status; Great Chain of Being; individual and community; autonomy and responsibility

Week Two

- Political rhetoric, propaganda and the nature of the hero
- Rise and fall of the First Man in Rome
- Ambition and calculation

Themes: heroes and honor; justification of power/sovereignty; competing sources of sovereignty

Week Three

- Plot structure

- Key speeches
- "Elizabethan Romans": History in drama serving the political agenda

Themes: paternalistic government; monarch and subjects; right order and chaos; individual and community; autonomy and responsibility

Possible sample assignment topics:

A. The rhetoric employed by the main characters in *Julius Caesar* serves as a clear indicator of their positions and actions in the play. Select any one of the main characters and write an essay that describes, exemplifies, and analyzes their rhetoric as it relates to the central issue of power and the person who wields it. Be sure to cite and analyze appropriate dialogue and action from the play to support your argument. **[*ENG 363/Arts Study domain*]**

B. Taking the question "first among equals, or first and only?" as your starting point, analyze the position of the Tudor monarchy vis a vis "the people", and how the increasing centralization of the state and enhancement of the monarchy were perceived by the English. Which of Shakespeare's messages in *Julius Caesar* were intended for whom? Be sure to use specific material from the play, the assigned primary documents, and *This Realm of England* to support your argument. **[*HST 308/Historical Study domain*]**

Unit 5: Macbeth

Historical content: the new Stuart dynasty; unresolved Tudor issues versus Stuart agenda; paternalism versus divine absolutism.

Week One

- Equivocation
- Black and red
- Imagination
- Night

Themes: legitimacy and illegitimacy; monarch and subjects; justification of power/sovereignty; individual and community; autonomy and responsibility; faith and reason

Week Two

- Husband and wife
- Character, ritual and power politics
- The supernatural

Themes: male and female; personal and political spheres; class and culture; individual and community; autonomy and responsibility; faith and reason

Week Three

- Transition from Elizabeth to James and the fallout
- Power, absolutism and personal politics

Themes: paternal versus divine right monarchy; monarch and subjects; right order and chaos; familiar and alien / English and "other"; concord and discord; individual and community; autonomy and responsibility

Possible sample assignment topics:

A. Harold Bloom sees Macbeth's "proleptic imagination" as the key to his character and the central means whereby Shakespeare enables the audience to relate to and to be terrified by Macbeth. Select the key moments where that imagination is at work in *Macbeth* and write and essay that demonstrates the accuracy of Bloom's observation about the character. Be sure to cite and to analyze dialogue and action from the play to support your argument. **[*ENG 363/Arts Study domain*]**

B. The Tudors came to rule England on the eve of the sixteenth century, and the Stuarts replaced them just after its end. What accompanying political, social, economic, intellectual and religious shifts attended this latest dynastic change? How does Macbeth both demonstrate Shakespeare's awareness of all of the volatile currents in his world and display his ability to craft a work that is simultaneously great art, political propaganda and personal promotion? Be sure to use specific material from the play, the assigned primary documents, and *This Realm of England* to support your argument. **[*HST 308/Historical Study domain*]**

Texts and Supplementary Materials:

Materials selections may vary from semester to semester, but will typically include a Shakespeare reader and a history textbook, with these supplemented by a variety of primary and secondary texts. Typical choices can include, but are not limited to:

B. Blakeley and J. Collins. *Documents in British History*, volume I (1993).

M.C. Bradbrook. *The Artist and Society in Shakespeare's England* (1982).

J. Buxton. *Elizabethan Taste* (1964).

G.R. Elton. *England Under the Tudors* (1955).

_____. *The Tudor Revolution in Government* (1966).

A. Fletcher. *Tudor Rebellions*, third edition (1983).

C. Ginzburg. *No Island is an Island: Four Glances at English Literature from a World Perspective* (2000).

S. Greenblatt, *Representing the English Renaissance* (1988).

_____, et al. *The Norton Shakespeare* (1997).

J. Guy, ed. *The Tudor Monarchy* (1997).

_____. *Tudor England* (1988).

R. Halpern. *Shakespeare Among the Moderns* (1997).

D.S. Kastan. *Shakespeare After Theory* (1999).

J.N. King. *Tudor Royal Iconography: Literature and Art in an Age of Religious Crisis* (1989).

R. Levin. *New Readings vs. Old Plays: Recent Trends in the Reinterpretation of English Renaissance Drama* (1979).

A. Macfarlane. *The Origins of English Individualism: the Family, Property and Social Transition* (1978).

C.E. McEachern and D. Shuger. *Religion and Culture in Renaissance England* (1997).

P. Saccio. *Shakespeare's English Kings* (1977; 2000).

J. Singman. *Daily Life in Elizabethan England* (1995).

D.L. Smith, et al. *The Theatrical City: Culture, Theatre and Politics in London, 1576-1649* (1995).

L.B. Smith. *This Realm of England, 1399-1688*, ninth edition (2002).

R. Strong. *The Spirit of Britain* (1999).

E.M. Tillyard. *The Elizabethan World Picture* (1960).

R. Warnicke. *Women of the English Renaissance and Reformation* (1983).

Project Title: **A Cultural and Interdisciplinary Exchange for Faculty and Students in the Performing Arts and Education**

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Poster Proposal Abstract

Results of an education link global partnership program between Kennesaw State University and University of Ibadan, Nigeria aimed at improving international education programs in underrepresented disciplines and underrepresented geographic areas.

The education link program is designed to support joint research among faculty at the partner institutions as well as lay the groundwork for developing future study/teach abroad programs. The fields of interest that will be developed are the Performing Arts and Education. Both the Performing Arts and Education are characteristically underrepresented disciplines within the study abroad and exchange opportunities currently offered through the University System of Georgia.

Through this program, faculty and students will develop knowledge and appreciation of the diverse cultures represented within the national and regional cultures of Nigeria and the United States and will ultimately be strengthened as members of an ever-shrinking "global" community. This presentation provides results first year outcomes of this project.

Educators must be prepared to serve students from around the world and be enabled to teach across the global community. With the increasing number of immigrants into the United States there is a tremendous need for teachers to increase their understanding of the cultural views and practices of the children that they will have in their classrooms. This study presents results of teacher awareness in participating Cobb County Schools in Georgia. Results of shared research interests by collaborating faculty from participating institutions will be presented.

3rd Annual Hawaii International Conference on Arts and Humanities

A) **School Improvement Initiatives from Practicing Teachers in Cobb County Schools, Georgia, USA: Results of Action Research By Graduate Students**

B) **Other areas of Arts and Humanities**

C) **Poster Session**

D) **Ukeje, Ikechukwu., Ely, Jennifer., Coon, Stephanie., Smith, Rebecca., Dumbacher, Paula, Schaefer, Tara.**

E) **Department of Elementary and Early Childhood Education, Kennesaw State University**

F) **1000 Chastain Road., #0121. Kennesaw Hall, Bldg. # 1, Kennesaw Georgia 30144.**

G) **iukeje@aol.com or ukejes@aol.com**

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I) **Fax number: (678) 797-0689**

J) **Ukeje, Ikechukwu. Ed.D.**

ABSTRACT OF POSTER PRESENTAION

The Professional Teacher Education Unit at Kennesaw State University has as its conceptual framework, "Collaborative Development of Expertise in Teaching and Learning". Within this framework, graduate students are perceived as instructional leaders whose objective is to develop initiatives aimed at finding solutions to identified school improvement issues. Through a process of Action Research, graduate students conduct action research projects which focus on identified school improvement issues for K – 5 th grade classrooms. The results of these research studies are presented as a capstone project at the end of the students graduate program. The level of development of these projects and the analysis of the findings are clearly scholarly and need to be disseminated to other educators at a research meeting. All early childhood educators will benefit from the findings of these research studies.

Monochromatic Teaching In a Multi-Colored World

The Arts and Humanities as a Cross-Disciplinary Model

A Paper Presentation: Lecture/Dialogue Proposal

Submitted to

The Hawaii International Conference on Arts and Humanities

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Monochromatic Teaching In a Multi-Colored World

ABSTRACT

The structure of our Western academic training from earliest childhood to graduate school is predicated upon the concept of competitive specialization within distinct disciplines in a Eurocentric environment. This training (at the elementary, secondary and post-secondary levels) is inadequate preparation to survive and thrive in our global society.

The **arts and humanities** *can* and *should* provide a model for multi-disciplinary creative discovery and problem solving using a pan-cultural curriculum. Changing our educational system requires a candid presentation of the problem, collective discussion of the dilemma, and a radical reformation of our educational system at all levels.

This presentation in *lecture/discussion* format is intended to raise issues of concern and to provide a forum for offering creative solutions.

I. THE PROBLEM

A. The Structure of our Public School Teaching- Elementary through High School
   1. We value information rather than depth of knowledge and understanding
   2. We value regurgitation rather than critical thinking
   3. We value rote learning over creativity
   4. We emphasize the *end* rather than the *journey*
   5. We emphasize product over process and busywork over contemplation
   6. We teach confrontation vs. cooperation
   7. We emphasize competition vs. collaboration

B. The "Disconnect" between School and Life
   1. While we offer lip service to group problem-solving, we do not emphasize "community"
   2. An emphasis on SELF - "What can I get," versus "What can I offer?"
   3. In the academic community, disciplines remain distinct, while in the world they meld seamlessly
   4. The *Escape from Reality* begins early via television, movies, Internet, video games, and mind-altering drugs

C. The Structure of Our Collegiate Academic Training
   1. Undergraduate preparation – we require a major, which is a particular focused area of study
   2. Graduate preparation – we emphasize a very specific discipline and particular research area.
   3. We emphasize and value *specificity*! The more specificity, the more job potential. "No one wants a generalist"
   4. We now require public school teachers to complete a Masters degree (before teaching in New York) that assures them of specialized training.

5. College & University teachers are primarily very focused specialists who have minimum contact with reality.

D. The Structure of American Society
   1. Parochial
   2. Mono-cultural
   3. Eurocentric and patriarchal
   4. We emphasize and value Western culture to the exclusion of all others and any blending of cultures

E. The Structure of Classical Training in Music
   1. Hierarchical – we clearly place a higher value on the music of some peoples over others
   2. Esoteric canon – we teach a very small "slice of the pie"
   3. We emphasize and value the works of a few

The recent Master of Science in Music Education graduate and newly certified teacher:

I have learned my discipline well. I can successfully identify a German-augmented 6-4 chord in a split second. I know the structure of a classical symphony, the dates of all the major composers, and the characteristics of Baroque music. I have sung the music of the masters in my college choir and performed a senior recital of German lieder and opera arias. I can teach any instrument to a rudimentary level; I can conduct any meter and play a fugue on the piano.

I am now ready to teach!

II. THE (RESULTING) DILEMNA

1. We are multifaceted humans in a complex, changing global world
2. We require critical thinking and creative problem solving to survive and thrive
3. We are ill equipped to move amongst disciplines in an ever-changing workplace
   a. Once we have mastered the technology, it has changed
4. We treasure an academy that reflects rather than aspires
5. We have created a society of individual "low grade misery" and collective suffering
6. We ignore or remove the "spiritual" from the artistic. The very reason children are drawn to music and the arts is the liberating freedom of self-expression they offer. Yet we "desensitize" it and teach from a technical perspective that offers easy assessment.

III. THE SOLUTION

A. Teach from a global perspective
   1. All cultural contributions are equal in value
   2. Mixing of cultures is inevitable and invaluable

B. Teach integrated disciplines

1. To survive requires free movement from one area of study to another to another, back again, and the combination of many.
2. Recognize and place equal value on the works of *all* people- irrespective of training, style, medium or mode of expression.

   "We are all artists waiting to find our voice"
3. Value inclusion rather than exclusion
4. Emphasize creativity within the rigor of discipline
5. Emphasize the COMMON bonds (e.g. form, balance, symmetry) that exist within all the arts and all life
6. Teach that there is no one answer, but many solutions
7. Continually teach that the problem (and life) changes.
8. The solution/answer inevitably changes.
9. *Happiness is not the purpose of life. Happiness is the result of a life lived with purpose.*
10. Teach self-worth and self-discovery. Value purpose rather than function.

C. Teach the Whole Person.

1. Students are drawn to the arts and humanities because they find spiritual nourishment within
2. Students discover "meaning" and creative self-expression.
3. The arts and humanities offer the opportunity for multi-cultural, pan-disciplinary overlap of learning

IV. SUMMARY

If we offer our students, at *all* levels, a curriculum which values creative discovery, offers multidisciplinary learning (via team teaching), allows for collective problem-solving and an emphasis on the individual contribution towards building community; we may begin to establish an environment which prepares our students for life in the ever-changing world in which they live.

2005 Hawaii International Conference on Arts and Humanities
Paper Submission

Title: **Architecture, Complexity Science, and Schooling in the Early Years**

Topic Area: Architecture

Keywords: School architecture, early childhood education, complexity science, Dewey, arts-based learning

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Architecture, Complexity Science, and Schooling in the Early Years

Rena Upitis

Abstract:

Recent studies document the importance of well-designed facilities on the academic performance of students in language and mathematics, but there is very little research on how space dictates *what* is learned and *how* it is learned. What about learning that is not directly measurable by standardized test scores? How does architectural space affect what is learned in the "non-core" disciplines such as music, drama, dance, and the visual arts? How does the built environment affect the ways that teachers and students operate in what might be viewed as a learning collective? These are some of the central questions addressed in the present paper. These issues are first explored through a brief discussion of the main themes in school architecture research and discourse, followed by a description of how Froebel kindergartens, Reggio Emilia schools, and Waldorf schools have given attention to some of the physical elements that affect learning. Next, I explore engaging forms of adult learning and the perspectives of John Dewey. Then follows a discussion of the ways that classrooms and schools can be seen as collectives, using complexity science theory as a theoretical framework. Finally, the complexity science model is extended by including the actual physical spaces as important 'agents' in influencing a non-linear and dynamic system, and by drawing implications for school design based on the principles of complexity.

Architecture, Complexity Science, and Schooling in the Early Years

We shape our buildings, and afterwards our buildings shape us.
~ *Winston Churchill*

It seems self-evident that the kinds of buildings that children and their teachers inhabit will affect not only what they learn but also the ways in which they learn. It has been repeatedly observed that for nearly two centuries, public schools have been built largely as a reflection of the factory model for learning: put a homogeneous group of children in a confined space (called a classroom), process them for a year (fill them with knowledge), make sure they have learned the set and predictable curriculum (test them according to established standards), move them to the next processing container (another classroom), and continue the cycle until they have reached the age at which they are deemed ready to leave (and enter the workplace). A vast number of people—architects and educators alike—have called this model into question (Boss, 2001a; Bullock & Foster-Harrison, 1997; Davis, 2004; Day, 2000, 2001; Fiske, 1995; Gardner, 1999; Lamm, 1986; Nair, 2002; Papert, 1993).

Factory schools embody the transmission model of learning: the teacher has the knowledge, and in assembly line fashion transmits that knowledge to the students. Then students are tested as to whether they have retained the knowledge that has been presented to them. Despite the many new theories of learning that have been spawned over the past century—including Dewey's progressivist notions, to which I will soon return—factory schools and transmission teaching remain. Is it the case that teachers are not able to move away from the transmission model that they know so well and that governments continually reinforce through high-stakes testing and subsequent funding decisions? Or are there other reasons that teaching—at least in schools—remains indelibly marked by transmission methods? A central premise of this paper is that the buildings in which we house students and teachers play a large role in perpetuating the transmission model of teaching, despite the alternative models of teaching and learning that have been proposed and analyzed and discussed and modeled by educators, researchers, and psychologists for the past century.

Further, I would argue that the buildings we call schools not only perpetuate a transmission model of learning, but that they also favor the teaching of so-called "core" subjects—that is, subjects like mathematics and language—over subjects like music, art, dance, and gardening. It's not that the teachers don't want to do more with the arts or teach children more about the natural world: often they simply can't do so with the buildings and grounds at their disposal. In recent research that I conducted on teachers' views and practices in arts education, I was struck by how frequently teachers indicated that they would like to do more with the arts curricula but were unable to because it was difficult to find enough time to use the gym or multi-purpose rooms, or because appropriate studio or performance spaces were simply not available (Upitis, 2001; Patteson, Upitis, & Smithrim, 2002). Perhaps not coincidentally, it is also the case that these forms of learning—learning about the

natural world, learning in and through the arts—are not as amenable to being testing by standardized, paper-and-pencil methods.

School Architecture

There is nothing new about the idea that much of what children and teachers learn from the architecture of their schools—and other public buildings, for that matter—is a reflection of larger cultural values (Bingler, 1995; David & Weinstein, 1987). Indeed, Bradley (1998) argues that in the times before the printing press, buildings were a primary medium for communication, giving the example of the medieval cathedral as a "testament in stone and glass to the teachings of Christian thought." Bradley further states that "whether symbolically in the plan and elevation or iconagraphically in the sculpture and ornamentation, the building conveyed meaning that could be interpreted by the people." The same is true for school buildings. For example, the largely abandoned practice of separate "boys" and "girls" entrances in schools certainly had implications for enculturated gender roles. Taylor (1995) talks about the transmission of cultural values through architecture in more general terms, stating that "we expect schools to prepare children for living in a democratic society, yet we provide a learning environment that resembles a police state—hard, overly durable architecture, giant chain-link fences, locked gates, guards, and even guard dogs. Such architecture fails to encourage the sense of ownership, participation, or responsibility required for a democracy." (p. 69).

Other ways that learning is affected by architecture are more directly related to the formal curriculum. Researchers conclude, more often than not, that students who attend schools that are well maintained, meet safety standards, and are kept clean, are also more likely to demonstrate higher levels of academic performance than those students in schools with leaking roofs, broken windows, missing toilet stalls, and dark classrooms (Berner, 1992, 1995; Boss, 2001a; Kolleeny, 2003; Lezotte & Passalacqua, 1978; Peters, 2003). For decades, engineers, architects, psychologists, and educators have also examined the role that lighting and color, for instance, play in generating environments conducive to learning and to prosocial behaviors (Dudek, 2000; Grangaard, 1995; Hathaway, 1995; Kuller & Lindsten, 1992; Luckiesh & Moss, 1940; Muir, 2001; Rice, 1953; Rittner-Heir, 2002; Rittelmeyer, 1992; Romney, 1975; Sherman, 2001; Smith, 1980; Tanner, 2000). Some researchers and planners have demonstrated that the use of daylight in the context of a larger energy-efficient design is not only associated with higher levels of student performance, but can also be cost effective (Hathaway, 1995; Plympton, Conway, & Epstein, 2000; Reicher, 2000). Studies have also focused on the detrimental effects of too much noise in the learning environment (Boss, 2001a; Chan, 1979, 1980; Tanner & Langford, 2003), the importance of appropriate furniture (Bullock & Foster-Harrison, 1997), and the need for inviting outdoor spaces including green areas and play areas (Tanner, 2000). It is sobering to realize that many of these elements—including the importance

of good light and ventilation, proper furniture, and the need for green spaces—were recognized as crucial elements by the first American Commissioner of Education, Henry Barnard (1848), in his classic work on school architecture written over 150 years ago. These deficiencies are not new: what is now known, however, is that these deficiencies are directly related to health and learning.

Over the past decade, architects and school planners have turned their attention to the importance of involving a number of stakeholders in the design process (Bingler, 2001; Carey, 2001; Day, 2001; Hill, 1997; Hyer, 2001; Sanoff, 1994; Tanner, 2000; Taylor, 1995). This is a welcome trend, and one that I will return to later in the paper. But this trend towards broad consultation is not enough—the admirable attempt to consult fully, and early in the process, will fail to produce schools that are markedly different than the ones we now know unless we *also* acknowledge that our ways of viewing teaching and learning are incomplete.

Architecture and Arts-based Schooling in the Early Years

It is perhaps no accident that Rudolf Steiner, the founder of Waldorf Schools, was also an architect, and that for him, architectural principles shaped the development of his schools as much as pedagogical ones. Froebel, the originator of Froebel kindergartens, was a student of architecture as well, and echoes of the influences of his architectural thinking are still present in many contemporary kindergartens (Dudek, 2000). A third form of early childhood education, as reflected in the Reggio Emilia schools, also focuses on the physical space. I examine these three approaches, not necessarily to contrast them or to show similarities between them, but to illustrate that in early childhood, there is already a certain sensitivity to how architecture shapes and teaches the child—a sensitivity that is subsequently lost as the child progresses through the standard elementary, middle, and high school classrooms of most North American schools.

Teachers in the preprimary schools of Reggio Emilia focus explicitly on what school environments teach children. In most Reggio Emilia preprimary schools, there are two teachers, and it is common for educators to use the term “third educator” to describe the school building as teacher (Gandini, 1998; Tarr, 2001). Reggio Emilia environments are based, in part, on the schools’ embracing of Dewey’s educational philosophy, and as such, teachers believe that the best environments for children are rich and complex, support relationships between people and ideas, and have a strong aesthetic appeal for teachers and students alike (Borgia, 1991; Tarr, 2001). As a result, Reggio schools bring elements of the home into the school, what Tarr calls “beautiful objects in their own right”. Tarr claims that Reggio educators carefully consider the physical environment in light of its educational potential, both in terms of the objects in the environment and in terms of the kinds of spaces for inquiry, such as the atelier. Tarr writes:

> I was struck by the beautiful wooden table with a large bowl of flowers and wooden sideboard in one of the rooms in La Villetta School … Manufactured and natural materials available for

> art projects are carefully displayed in transparent containers, or objects are set on or before mirrors to provide multiple views and capture children's attention. The strong role of the arts in Italian culture is clearly evident in the place of the atelier (art studio), mini ateliers adjacent to each classroom and the role the atelierista (artist-teacher) plays in supporting children and teachers in their work. The typical North American classroom reflects notions of preparation for the future world of work, of an environment that isolates particular aspects of a culture, which simplifies visual forms, and protects children from the outside world. Its visual aesthetic reflects mass marketing and craft-store culture. It does not challenge children aesthetically to respond deeply to the natural world, their cultural heritage, or to their inner worlds.

Froebel's kindergartens also emphasized the exterior learning spaces (Herrington, 2001). Froebel himself grew up in a largely rural environment, and in addition to his studies in architecture, was also a student of biology, mathematics, and forestry. He emphasized the importance of play—both indoor and outdoor—as a mechanism for learning. Unity with nature was a central theme for Froebel (Dudek, 2000). As a result of Froebel's emphasis on play, the kindergartens contained specially designed materials to be used by the children as they learned to manipulate objects and create structures, materials referred to as "gifts and occupations" (Dudek, 2000). Among Froebel's gifts were various wooden forms for three-dimensional design work. The occupations involved more complex materials, such as clay modeling and paper folding. The influence of Froebel and his "gifts and occupations" have been widely attributed as foundational influences for Frank Lloyd Wright. Indeed, Dudek (2000) goes so far as to suggest that the 20th century view of modern architecture stemmed directly from the many hours Wright spent manipulating Froebel's gifts. Wright himself acknowledged this debt; he claimed that "the maple wood blocks [were] in his fingers" throughout his professional life (http://www.geocities.com/Athens/Forum/7905/web2000.html; retrieved on March 10, 2004). The relationship between Wright's early schooling and subsequent ideas about building design is explored at length by Rubin (2002). But what I find most interesting about the influences of Froebel's gifts on Wright's thinking is that it points to the natural affinity between the structures of architecture and the explorations of childhood.

Rudolf Steiner—known for architecture referred to as organic expressionism, where buildings were "liberated from the constraints of the right angle" (Dudek, 2000, p. 62)—established the first Waldorf schools. Waldorf education is now one of the fastest growing independent school movements in the world. For Steiner, every aspect of the school—the wooden furniture, pastel colors, natural lighting, and the presence of natural objects in the classrooms, as well as the outdoor spaces—had architectural and pedagogical significance (Oberman, 1997; Rudolf Steiner Farm School, 1979). Perhaps it is partly for these reasons—attention to color, furniture, and the natural world—that the Waldorf curriculum is quite different from the curriculum that one finds in public schools. Waldorf schools are often described as arts-based. Not only is there an emphasis on learning in the arts themselves (e.g., water color painting, beeswax modeling, playing musical instruments, singing), but the core subjects—like language and mathematics—are approached through artistically embodied means. These means include drawing, story, chant, and a choreographed series of body movements

known collectively as "eurythmy" (Oberman, 1997). Another feature of Waldorf schools is that they operate without a formal administrative structure—there are, for example, no school principals. Rather, decisions are made by the teaching faculty as a whole. As Oberman (1997) points out, there are "no directing mechanisms that meet the eye" (p. 3). This notion of decentralized control figures prominently in complexity science, a theoretical view that will be discussed later in the paper.

When No One is Watching: Adult Learning and Dewey

When adults are asked to think of something they love to do—a passion or a hobby—something that gives them both pleasure and moments of intense struggle, nearly everyone will identify a form of learning that is connected with the arts, the body, or the natural world (Upitis, 2003a). What do these three areas hold in common? Why is it that learning in the arts, learning that involves the body, and learning that involves intimate interactions with the natural world, are so important to our out-of-school learning? The learning that we do when no one is watching? I have come to believe that what playing the guitar, hiking in the mountains, and line dancing have in common is that they have the potential to fully engage the intellect, the emotions, the physical body, and that elusive part of us that some refer to as the spirit or soul of our being. These kinds of activities also connect us, in some fundamental way, with the earth and with what it means to be human. I think of this kind of learning as romantic—learning that is characterized by fear, ambiguity, excitement, flexibility, uncertainty, sensuality, struggle, exploration and surprise (Upitis, 2003b). The passion and seriousness with which people engage in the learning that they do when no one is watching (or testing) is precisely the passion that is required to nurture and sustain meaningful learning in schools. But do we have the kinds of schools that can sustain this kind of learning?

At the turn of the 20th century, Dewey claimed that four things were important to children: "conversation; … inquiry; … making things;… and artistic expression" (Dewey, 1900/1956, p. 47) Dewey described in detail how children's first impulses to learn are through play, through movement, through the imaginary worlds of "make-believe" (p. 44). He observed that the instinct for investigation or inquiry grew out of "constructive impulses," noting how there was "no distinction between experimental science for little children and the work done in the carpenter shop" (p. 44). He argued that, carefully channeled, these combined instincts, namely, to investigate and to make things, could lead to substantive and deeply embodied learning. Dewey spoke of the expressive or artistic impulse in children as being the full manifestation of the instincts to construct and communicate. He claimed that in situations where the artistic impulse was nurtured in "full, free, and flexible" ways, meaningful relationships and patterns were learned and artistic work was produced (1900/1956).

Dewey also had something to say about schools. In the early 1930s, he imagined what he called the "utopian" school. As Uline (1997) points out, Dewey began his discussion of schools "not with issues

of pedagogy or teacher method or administration, but with physical space." (Uline, 1997, p. 196). Dewey wrote about large grounds, gardens, and greenhouses. He described "open-air" interiors, the importance of having a variety of workspaces, easy access to books, and the feeling of a "well-furnished home". Dewey was "not shy about emphasizing beauty and comfort and excitement" (Uline, 1997, p. 196).

Bruce Jilk, a Minneapolis architect and former chair of the American Institute of Architects Committee on Architecture for Education has embraced the teachings of Dewey, and created a series of design principles to help create innovative learning environments, including the Minnesota School of Environmental Studies, located on the grounds of the Minnesota Zoological Gardens (Boss, 2001a; Bingler, 2002). In that school, 400 Grade 11 and 12 students pursue various interdisciplinary projects and tackle environmental issues with the kinds of inquiry that Dewey envisaged. In a similar vein, the Edible Schoolyard, a central feature of the once derelict Martin Luther King Middle School in Berkeley, California, offers students opportunities for conversation, inquiry, making and the culinary arts at their finest (Boss, 2001b). The idea of these schools—which include both built and natural environments—is not to teach children about zoology or horticulture *per se*, but to provide rich settings for exploration, and for discovering things that are unanticipated by student and teacher alike.

It is long past time for us to imagine education and curriculum that was driven by artistic expression, by making things, by inquiry, by conversation, and by being surrounded by beauty and by the natural world. One cannot help but believe that these are the very things that drive meaningful and romantic learning at all levels—from the early years through to the pursuits that adults engage in throughout their lives.

Complexity Science and Education

In the opening paragraphs of this paper, I claimed that the prevalent model for teaching and learning is that of transmission and that the design of schools is complicit in perpetuating this model. However, many of the other ways of learning and teaching have been discussed by philosophers, psychologists and educators over the past century move away from teacher-centered to more learner-centered ways of knowing. A more recent theory to account for learning—particularly learning in classrooms and other forms of learning communities—is offered by the field of complexity science. This is a theory of learning that has yet to reach the mainstream of educational discourse. But it has extraordinary promise—and implications for architecture that are profound. Bogle and Diamond (2004) claim that it is "time for last century's school facilities to evolve into buildings that incorporate changing educational philosophies". This is an educational philosophy that not only has resonance with scholars in diverse fields: as I will argue later, the implications for complexity science also resonate with contemporary design trends.

Complexity science first arose as a defined field of study in the latter part of the 20th century when various branches of physics, biology, and mathematics merged and evolved into new areas such as fractal geometry (Capra, 1996; Davis, 2004: Johnson, 2001; Maturana & Varela, 1998). It has since been applied to various phenomena in the social sciences. Complexity science is the study of adaptive and self-organizing systems (Davis, 2004). That is, complexity science seeks to understand phenomena that organize, in some way, in a bottom-up collective—collectives such as ant colonies, pigeon flocks, and trends in the stock market—collectives where there is no single agent or orchestrator in control of the whole (Davis, 2004; Johnson, 2001). Rather, complexity theory explains how such dynamic systems function when there are many 'agents' or members interacting in ways that are both predictable and random. These systems that are therefore capable of giving rise to new levels of order—that is, of learning. As Davis puts it, "Self-organized, self-maintaining forms can arise and evolve without goals, plans, or leaders." (p. 151).

Because complexity science theory seeks to explain how a system, as a whole, functions when there are multiple agents involved in some form of self-organization, educators have recently applied this orientation to describe and explain various learning collectives, including the collective that is known as the classroom. In thinking of learning systems, Davis argues that using the complexity science framework, the notion of "learner" goes beyond the individual to include also "social cliques and other clusters that arise in any student body, the classroom collective, the school, [and] the community" (p. 105). As Davis further adds, "Teachers commonly refer to classrooms of learners as coherent unities that have intentions, habits, and other personality traits." (p. 168).

Educators have now begun to use complexity theory to show how the relationships of individuals, collectives, ideas, and curriculum can be thought of as nested learning communities (Davis, 2004; Fleener, 2002). Further, by extending the notion of learner into these nested contexts, it means that both biological and cultural systems shape and are shaped by the learner(s) (Davis, 2004; Lakoff & Johnson, 1999; Tomasello, 2000). For millennia, the biological bases of knowing have been either ignored or suppressed within most Western discussions of knowledge and teaching: complexity science offers one way of bringing those influences back into the discourses of teaching and learning (Davis, 2004). It also means that such a theoretical framework might bring our understanding of learning closer to those romantic ways of knowing that we engage in of our own free will—and back to the importance of the natural world in educational settings as recognized by Froebel and Steiner.

Several key principles have been identified in explaining complex collectives, including neighbor interaction (Davis & Upitis, 2004; Johnson, 2001), redundancy among the agents (Davis, 2004), diversity in the system (Davis, 2004), pattern recognition (Johnson, 2001), feedback (Johnson, 2001)

liberating constraints (Davis, 2004), and indirect control (Johnson, 2001) or a distributed control structure (Davis, 2004). What do all of these principles mean in terms of learning environments?

To engage in meaningful joint activity, the learners (or agents) must have sufficient common ground or redundancy to be able to interact. If, for example, a group of students is to take part in an improvisational blues ensemble, there must be shared or redundant knowledge about harmonic and melodic structures, and a sufficient skill level to play the various instruments. There must also be a level of diversity in the blues ensemble. This diversity comes from the instruments themselves, of course, but more important, from the different solutions that each member of the ensemble might bring in creating a coherent piece. It is also the case that the collective requires some enabling constraints—or a structure that allows for emergence or complexity. The 12-bar blues structure is just that sort of enabling constraint: the harmonic sequence of I-I-I-I_7-IV_7-IV_7-I-I-V_7-IV_7-I-I chords has enabled musicians to compose a seemingly limitless number of blues tunes for decades. In this example, there is also pattern recognition—patterns associated with meter and harmony, for instance. There is feedback built into the system: if a particular note or sequence doesn't work, other members of the ensemble will compensate so that the whole remains coherent. The fact that other members compensate points to one of the most important notions around complex emergence, and that is the idea of indirect or decentralized control.

Decentralized control around a blues ensemble is one thing, but what would it mean to have decentralized control in schooling? As Davis claims, decentralized control is not meant to be a condemnation of the teacher-centered classroom (or factory/transmission model) nor as an endorsement of student-centered forms of learning that have enjoyed such prominence in the last few decades.

> Rather, it represents a critique of an assumption that is common to both those structures—namely, that the site of learning is the individual. As complexity science asserts, the capacity to learn is a defining quality of all complex unities. Thus one must be clear on the nature of the complex unities that are desired in the classroom. Such unities are concerned with the generation of knowledge and the development of understanding—meaning that the focus should not be on teacher or learners, but on collective possibilities for interpretation. (Davis, 2004, pp. 169-170).

This means that teaching is unpredictable. That it cannot be prescribed or orchestrated. That teaching—even with the framework of complex emergence—"cannot be managed into existence" (Davis, 2004, p. 170). It means, instead, that teaching must be conceived of as a form of engaged attentiveness and responsiveness to others who are involved in the collective—not unlike the blues ensemble described earlier. It also means that teachers must "establish a balance between sufficient organization to orient learners' actions and sufficient openness to allow for the varieties of experience, ability and interest represented in any classroom." (Davis, 2004, p. 182).

At the most recent Complexity Science and Educational Research Conference, held in October, 2004, (http://www.complexityandeducation.ca), one of the issues that continually emerged was that teaching and learning were about expanding the space of the possible, and in so doing, creating conditions for things that have not yet been learned nor imagined, for surprise, for evolution through the known to the unknown. In order for complexity to emerge, there must be redundancy and diversity, as mentioned previously, but there must be, also, "opportunity for diverse ideas to interact, to harmonize, and to amplify one another. History is rife with examples of ideas bumping against one another to give rise to new, more powerful interpretive possibilities … This sort of dynamic is present in every significant advance in human knowing." (Davis & Upitis, 2004, p. 126).

If this is teaching and learning, then what kinds of physical spaces would provide the right forms of enabling constraints for complexity to emerge? For children and teachers to play a part in advancing knowledge? It is to this issue that I now turn.

Complexity Science, Architecture, and Schooling

In the previous section, I argued that complexity science offers a theoretical frame for thinking about learning and teaching in ways that might more fully represent the 'romantic' learning that I believe schools should foster. This means fostering not only individual learning, but also, learning by collectives, such as classrooms or groups of people interested in particular ideas, and learning about curriculum structures or disciplinary knowledge—another form of collective.

What are the implications for designing schools if one is to include not only the people, ideas, and curriculum involved in learning, but also, the actual physical spaces, both built and natural, as important 'agents' in influencing a complex system? I now turn to a preliminary formulation of some of the architectural patterns that would need to be considered if learning was thought of in terms of complexity science, and if the buildings themselves were considered to be a part of the system. I also consider the mechanisms by which such patterns might be discussed and incorporated in building design, again as informed by considerations of complexity theory.

This discussion of architectural patterns is based partly on what has become both a popular and classic text on design patterns by Christopher Alexander and his colleagues (Alexander, Ishikawa, & Silverstein, 1977), and on the work of Tanner and his students, Andersen and Yarbrough, who have applied some of those patterns to school architecture (Andersen, 1999; Tanner, 2000; Tanner & Andersen, 2003; Yarbrough, 2001). Tanner's initial work involved an empirical study of 44 elementary schools with close to 23,000 students in 13 school districts in the State of Georgia. He developed a scale to measure school design based on Alexander's patterns. The instrument had 39 design patterns, including such items as green areas, quiet areas, promenades, play areas, flex zones, small

group areas, large group areas, wet areas for science and art, outdoor rooms, circulation patterns, acoustics, windows, technology, pathways, living views, and natural light. After taking into account various socioeconomic variables, Tanner concluded that the best predictors of achievement in language and mathematics were *pathways* (schools that had clearly defined areas for freedom of movement), *technology for teachers*, *positive outdoor spaces*, and *overall impression* (what he called "personality of place" indicating the presence of friendly student and teacher learning environments).

At this point, I should emphasize the supreme irony in using achievement measures on standardized tests as a measure for assessing the value of architectural patterns for schooling. While Tanner's scale for assessing schools might, in fact, be representative of features of design that are in keeping with complexity science, the use of achievement standards most definitely is not. This points to a whole area of research, begging to be carried out, where other indicators are used to talk about the complexity of students' learning experiences. As one principal, who was grappling with the palpable changes in his students who had moved to a non-traditional learning centre, said, "It's hard to say exactly what's happening … don't ask me to explain it." (Bingler, 1995, p. 30), possibly pointing to the deficiencies in ways of measuring student experience in these kinds of learning settings.

Perhaps it is partly for the reason that performance on standardized achievement tests is not the best measure of learning, and perhaps it is partly because, as Tanner suggests, very few schools actually embody some of the design patterns on his scale, that some of the patterns that Tanner thought might predict performance—such as planned quiet areas—didn't seem to have an effect. Tanner's overall conclusion was that schools that were "in harmony with nature tended to have students who earned high ITBS [Iowa Test of Basic Skills] scores" (p. 321).

Yarbrough (2001) applied a modified version of the Tanner's Design Appraisal Scale and assessed the importance of the patterns on students in the third and fifth grades. In the third grade, a number of patterns predicted academic performance, the most important of which were *circulation patterns* and *outdoor learning environments*, thus reinforcing the findings of Tanner (2000). In the fifth grade, Yarbrough (2001) found that the presence of large group meeting areas accounted for the greatest proportion of the variance.

Another version of the Design Appraisal Scale was applied to the study of 50 middle schools by Andersen (1999). In this research, Andersen found that 27 of the design factors were positively correlated with achievement on the ITBS tests, with some of the strongest predictors being *multifunctionality, play areas, activity pockets, green areas, exit doors to the outdoors,* and *overall impression*. Once again, architectural patterns dealing with the natural world were identified through the empirical findings.

How do Alexander's patterns and the findings of Tanner and his colleagues relate to complexity science? To the architectural and pedagogical notions embedded in some of the early childhood settings examined in a previous section of this paper? Some of the key features of complex systems are now revisited with these questions in mind.

Neighbor Interactions

The notion that freedom of movement within the school and between learning environments (pathways) was an important school feature (Tanner, 2000; Yarbrough, 2001) is completely in keeping with complexity science theory. In order for complex systems to thrive it is critical that the agents in the system come into contact with one another. In other words, neighbor interactions (Johnson, 2001) or multiple possibilities for ideas to "bump" against one another (Davis, 2004) are crucial for learning to occur. Almost the same phrase is used by Sara Snyder Crumpacker, an organizational consultant, who claims that "schools should be planned so that users '*bump into*' different choices on a daily basis" (1995, p. 35, emphasis added). In order to facilitate such interactions, Crumpacker (1995) suggests that buildings should be full of variety in terms of the kinds of spaces that are provided, including informal areas to congregate, areas that are "as comfortable as our own family rooms" (p. 40). This kind of space within a learning setting is not unlike the environments of the Reggio Emilia schools described earlier.

The bumping up of ideas is also fostered by schools that have access to technology embedded throughout the building. This is something advocated by Nair (2002), a school planning consultant, who suggests that along with easy access to technology, the presence of presentation spaces, "collaborative incubators", get away spaces and niches, and display spaces would serve as important features of schools that support deeper engagement in learning. Nair points out that with ubiquitous access to wireless laptops, students will come into contact not only with those people who share the same learning space, but also, with other "classmates" who share similar interests in other parts of the world. This notion of easy access to technology is noted by educators as well (Bullock & Foster-Harrison, 1997), and indeed, is a contemporary version of a feature of Dewey's utopian school where there would be "books everywhere" (Dewey, 1933/1989).

Teacher workrooms for research, collaborative work, and student meetings (Bullock & Foster-Harrison, 1997; Nair, 2002) also contribute to the possibility of neighbor interactions and the bumping of ideas. Other patterns in Tanner's scale to measure school design that did not emerge as significant predictors of achievement (but may have been important had other indicators besides achievement been used) can also foster neighbor interactions, such as promenades, circulation patterns, intimacy gradients, and paths with goals.

Redundancy

One of the features of complex learning environments identified by Johnson (2001) and Davis (2004) is that of redundancy. Crumpacker (1995) refers explicitly to redundancy in her suggestions regarding navigation, claiming that lighting effects, visual perspectives, dimensional differences and focal points should draw people into and through a building with ease. Even where architects imagine schools without traditional classrooms made up of students in the same grade, the idea of redundancy is still achieved through modified homogeneity, such as built spaces to accommodate grade-level teams rather than full classrooms (Day, 2000).

Redundancy is also a central feature of Waldorf schooling in the form of the highly ritualized practices and occasions. Many of these occasions are built around seasonal festivals, while others are more directly embedded in the curricular practices and materials (e.g., around water color painting). A good deal of the redundancy is also built into the architecture and physical objects (Oberman, 1997).

Diversity

If it is true that diversity is important for complexity to emerge, then the growing trend to have schools serve more than the student population is one that would support complexity. It is increasingly the case—partly because of budget cutbacks—that schools are serving a variety of groups, both during school and after school hours. These groups include parents, seniors, and special interest groups (Bogle & Diamond, 2004).

Creating built environments (including appropriate furniture) to support multiage groupings (Day, 2000; Nair, 2002) also introduce diversity into the learning environment. Another feature of built environments that encourages diversity, especially if one thinks of learning as resting not only with the individual or even the classroom collective, but as curricular or disciplinary, is the availability of spaces that encourage different kinds of learning, much as envisaged by Dewey where he called for a variety of equipment, workshops, and laboratories to support learning (Dewey, 1933). The project rooms, kivas, and atriums proposed by Nair (2002) would contribute to this kind of curricular diversity. Again, there is a similarity here to some of the early childhood structures, such as the atelier of the Reggio Emilia schools.

Pattern Recognition

Bradley (1998) claims that thoughtful school design incorporates rich patterns throughout. He emphasizes the importance of balance, order, symmetry, rhythm, form, space, volume, and scale in his discussion of pattern. One example he gives is that of a central corridor in an elementary school where a series of arches was used by the architects to “articulate the spine, creating a syncopated

rhythm that draws the occupant from one end of the building to the other" (Bradley, 1998). Some of these notions—such as balance and pattern—have been noted by others as well. For example, Rittelmeyer (1992) surveyed hundreds of German students and concluded that school buildings that displayed a sense of balance, warmth, and pattern were regarded as attractive and inviting.

Decentralized control

Several decades ago, architects in Scandinavia pointed to the need to change school design in two fundamental ways: to decentralize administration and teaching, and to create physical environments that allowed for teamwork and greater flexibility in learning and teaching interactions. The importance of opening the school to the larger community was also emphasized (Cold, 1986; Colven, 1990). In terms of complexity theory, this can be interpreted as including the community as one of the nested collectives involved in the generation of knowledge.

Decentralized administrative and guidance services are also espoused as important by architects with experience in non-traditional school design (Day, 2000). Earlier, I noted that the notion of decentralized control was a central feature of Waldorf schools. Perhaps not surprisingly, one of the central objectives of Waldorf schooling is to "create an environment in which the students can discover themselves" (Oberman, 1997, p. 4)—an objective that is in keeping with the theory of complexity science but distinctly out of kilter with a society that measures the success of schooling on the basis of performance on standardized tests.

Cognition as both Biological and Cultural

If the complexivists are correct in that our understanding of cognition and learning must be thought of in biological as well as cultural terms (Tomasello, 2000), then it stands to reason that the natural environment also plays a central role in learning. This we have already encountered in Froebel's kindergartens, in Steiner's schools, and in Dewey's formulations, as well as in the importance of the natural world in meaningful learning for adults. What are the implications for schools?

One obvious implication is that attention needs to be paid to natural spaces and what might be termed outdoor classrooms (Bingler, 1995). Some architects have emphasized particular forms of outdoor spaces, such as the interior courtyard (Muir, 2001). Others have simply suggested that what is important is a variety of outdoor spaces rather than distinct outdoor activity settings (Crumpacker, 1995).

To pay attention to the natural world means more than to provide outdoor spaces. It also implies attention to a larger aesthetic. As Dewey himself suggested, learning is enhanced when the aesthetic

elements are attended to, and indeed, that the aesthetic brings together a balance and order to daily life (Dewey, 1933/1989).

Cognition as Nested in Learning Collectives

I have stressed that complexity science demonstrates how collectives learn and know. This leads, quite naturally, to the claim that communities should be fully involved in the design process. The idea that participatory design is an important way to proceed with school architecture was suggested earlier in the paper. But it is critical that community involvement is truly participatory, and not merely participation after the fact. As Bingler (2002), President of Concordia Architects, and consultant to the US Department of Education blandly states:

> Communities have become skeptical of the public hearing process. They have attended too many meetings where they reviewed some concept, gave their opinion, and then were ignored. They're called in after all the decisions have been made and are told, "Here's where the school's going to be located and here's a beautiful picture of it. Hope you like it." At that point, who's going to stand up and say, "I think we need four small schools instead of this one big school"? So I believe this is an issue of public engagement, not one of public participation.

Carey (2001) puts it even more succinctly, "Don't try to fool the public by holding a hearing when decisions are already cast in concrete. I have attended hearings like that and don't blame parents for pointing out the truth—that they are involved only for a show of involvement."

Of course, if one is really serious about the community being involved in the design process, then that community should also include the teachers (Hubler, 1997) and the students themselves. Indeed, it would appear that there are many long term benefits to students who are involved in the design of learning spaces, including a sense of confidence and skill in utilizing built and natural environments in achieving one's goals (Hart, 1987; Killeen, Evans, & Danko, 2003).

Concluding Remarks

As Bradley (1998) has so forcefully stated,

> An impenetrable roof, solid walls, and an adequate mechanical system continue to be the standard even when designing new facilities. We are being presented with an opportunity to design the next generation of America's schools, and yet we have not given enough thought to how architecture could be used as an effective medium for enhancing teaching and learning.

Bradley goes so far as to suggest that educational reform cannot happen in the buildings that currently exist, and that it is the job of both architects and educators to come together to determine how the natural and built environments can change in concert with educational philosophy. I began this paper by strongly criticizing the transmission model of teaching and the standardized testing that goes with it, following with the claim that the kind of learning that we do when no one is watching, the

kind of learning that is involved in dynamic complex systems, the kind of learning that often happens in the early childhood settings of Reggio, Waldorf, and Froebel schools, is more in keeping with what it means to be human. Meek (1995) echoes those sentiments in her observation that

> [I]t's not easy for people to attach deep meaning—a sense of belonging, affection, and loyalty—to the index of leading economic indicators [or other standardized measures.] But it *is* easy, in fact, inevitable, to attach deep meaning to the school where you first trudged up the steps to make friends and meet teachers; where, perhaps, you lost your first tooth or your heart for the first time or made your first touchdown; learned the difference between the teacher's rules for the playground and the real rules; played in the band; tried out for the senior play; understood the beauty of algebra or the chemistry of cooking; or began to see the connections between the Elizabethan origins of the settlers of your state and the language of your family… for these reasons, the school as a place is a fertile ground for the creation of deep meaning and, therefore, of symbolic importance in the hearts and minds of people." (p. vi).

I cannot imagine a better time to re-think school architecture. We are in the middle of a new surge in school construction and renovation as schools built in the 1950s and 1960s to accommodate the baby boom are being retrofitted and new schools are being built to accommodate the baby boom echo. An often quoted statistic from the United States General Accounting Office (1995) suggests that billions upon billions of dollars still need to be spent to upgrade existing schools. Current estimates suggest that between 2000 and 2007, a further 5,000 schools will be or have been built in the United States alone (Plympton, Conway, & Epstein, 2000). Put another way, in the United States, on average, construction on two new school buildings begins every day. An extraordinary number of students and teachers will be affected by these new buildings, and these effects will continue for at least 50 years as most schools enjoy a half-century of occupancy (Honeyman, 1998). With inventive design strategies and careful use of resources, construction costs for schools designed to take into account the features of complexity, the best of early childhood practices, and Dewey's aesthetic criteria, need not be more than costs associated with conventional schools (Boss, 2001a; Hyer, 2001; Nair, 2002; Reicher, 2000). With apologies to Winston Churchill, it is time to heed, more seriously, the notion that first we shape our schools, and afterwards our schools shape us. Schools can and ought to shape learners and ideas in ways that are ever expanding, leading to unpredictable and imaginative encounters with people and ideas.

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Perceptions, Process, and Impacts of Decentralization in Indonesian Agricultural Extension: A case study from *Tomeka* District of Southeast Sulawesi.

There has been a significant shift in the structural arrangements of the Indonesian administrative system during the post-New Order era. These shifts have created pervasive changes in the ways of organizing governmental administrative institutions and household livelihood systems. As a worldwide phenomenon, decentralization is caused by and in turn affects a range of social and political factors such as organizational dynamics, gender structures, power structure, or other patterns of social organizations. This qualitative study examines the process and the impacts of decentralization in an agricultural extension institution in *Tomeka* District in terms of its organizational dynamics and its agents' individual experiences. Based on participation observation, interviews, and secondary documents such as government reports, this research attempts to describe and explain the process and impact of a global phenomenon, i.e. decentralization, at the individual and institutional level. Attention is paid to understanding how people (i.e. extension agents) perceive and respond to such forces. The research topic links to the national program in decentralizing agricultural extension system which has been initiated and managed by the Government of Indonesia since 1996 to 2004 and has been supported by an international funding agency.

Title: Sell-outs, Compradors, and Canon: The Colonial Position in Abraham Rodriguez's The Boy Without a Flag

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Abstract:

This paper will explore the issues of authenticity, colonialism and canon in Abraham Rodriguez's The Boy Without a Flag: Tales of the South Bronx. This collection of short stories tests the boundaries of canon; it can be taught as Puerto Rican Literature, American Literature, Chicano/a Literature, Latino/a Literature or Colonial Literature. Abraham Rodriguez's text problematizes such classifications, refusing to locate itself under any stringent idea of the authentic. This paper will argue that sell-out figures in Rodriguez's short stories and beleaguered child-narrators delineate and mark the particular expectations of authenticity within the marginalized space of the colonized in the short stories "The Boy Without a Flag," and "Birthday Boy." In the former story, the boy-narrator's father, Mr. Sepulveda and his teacher Miss Colon are portrayed as sell-out figures who compromise ideas of heritage and nation. In the latter story, the boy-narrator, Angel, becomes entrapped in a cycle of violence due to the unyielding authenticity of his father's menacing spoken threats and physical acts of violence. The anxiety over authenticity in these two stories creates these sell-out figures who betray adult-child relationships and reflect the difficulties that arise through classification under expectations of authenticity.

Sell-outs, Compradors, and Canon:
The Colonial Position in Abraham Rodriguez's The Boy Without a Flag

As diametric opposites, authenticity evokes truth and reality while inauthenticity evokes dissimulation and artifice. Anxiety over this issue can be especially evident in literature involving compradors, or sell-outs, leaving readers to wonder if what the read is authentic or inauthentic. For example, Vincent Cheng argues that nostalgia for a lost "authentic" culture leads to the "heritage industry" where people seek their cultural identity. In his text Inauthentic: The Anxiety Over Culture and Identity, Cheng demonstrates moments of "anxiety" where the authenticity of a text has been disrupted by the dissimulation of an author's ethnicity, citing as an example KKK leader David Duke's writing of a book about the African experience under the *nom de plum* Mohammad X (15). The root of anxiety over authenticity is to be tricked by the inauthentic. David Duke attempted to appropriate an ethnic identity to subvert the de-marginalizing of ethnic literature. As David Palumbo-Liu argues in his text The Ethnic Canon, politics and aesthetics do not and cannot occupy separate spheres. In other words, Ethnic Studies exists in part because of a political demand for it.

In Abraham Rodriguez's The Boy Without a Flag: Tales of the South Bronx, sell-out figures delineate and mark the particular expectations of authenticity within the marginalized space of the colonized. Rodriguez writes his stories from the perspective of youth, highlighting the strong mistrust in the adult-child relationship. The figure of the sell-out in Rodriguez's text is represented as a steward of children, as parents or teachers. In his stories, the unmet expectations of children reflect a failure to portray an authentic Puerto Rican identity, especially in the homonymous short story and "The Birthday Boy". The narrators in "The Boy Without a Flag" and "The Birthday Boy" define women as a kind of innate sell-out due to their sexual

agency. Thus the designation of sell-out in this text particularly circumscribes the representation of woman as whore/betrayer and mother/nation.

Turning this critique of authenticity to Rodriguez's work raises several questions. Does the fact that The Boy Without a Flag deals particularly with the trials of an impoverished community, evidenced through local language and the trials the children/narrators undergo, make this a more authentic text than a text by an author of a similar ethnic background who does not write particularly about identity or colonial effects? Are political aesthetics a criterion for ethnic literature? Even if Rodriguez's text meets a hypothetically imposed criteria, what do we classify it as? Is it Latino literature, Nuyorican literature, Chicano, Hispanic…etc?

This paper will explore issues of authenticity, colonialism and canon in The Boy Without a Flag. Since these Tales of the South Bronx deal with a Puerto Rican community within New York; it tests the boundaries of canon. The collection of short stories can be taught as Puerto Rican Literature, American Literature, Chicano/a Literature, Latino/a Literature or Colonial Literature or regional literature These multiple designations are evidence that authenticity both informs and clouds the identity of Rodriguez's characters. Just as the text has multiple designations we can consider the identity of the characters in different ways. These characters can be considered Puerto Ricans in exile from their homeland, a colonized community or Puerto Rican Americans. In defining or classifying a certain literature as ethnic, it begs the question if it is truly representative of that ethnicity.

Classifying ethnicity involves differentiating between Chicano, Latino, Hispanic…etc, or as Juan Flores puts it, "the disparity over nomenclature" (184). These classifications help bring marginalized literature to the fore. Differentiating and navigating classifications of ethnicity, however, run the risk of essencializing and limiting ethnic representations in literature.

Classification of a particular ethnicity creates access previously denied because of ethnic difference from the mainstream, at the same time classification also runs the risk of reinforcing those stereotypes of ethnic difference that prompted exclusion. This is the conundrum of defining difference. On the other hand, in defining unity, one can classify a particular ethnic group as an "imagined community." Benedict Anderson argues that in an "imagined community" members do not need to know each other in order to believe they are in the same community. For example, while there are no set criteria for identifying the diverse Latino community (Puerto Ricans, Mexicans, Cubans…etc.), the Latino community is nevertheless united under the designation "Latino." Juan Flores in Tropicalizations argues "unity and diversity" encompass the Latino community and any attempt to identify and designate an "imagined community" as Latino can only attempt to approach a Latino identity. Flores points out "demographic, analytical and imaginary approach[es] …are [all] necessary and complementary [to each other]" in the project of classifying ethnicity (184-5). The three approaches "…are really different emphases rather than discrete forms of explanation" to ethnic identity (184-5). It is then necessary to employ demographic, analytical and imaginary approaches to identify the particular Latino community in Rodriguez's work. The Boy Without a Flag concerns the Puerto Rican community in the Bronx. The size or demography of this particular group is reflective of the influx of Puerto Ricans into the United States since post-WWII "Operation Bootstrap" designed to draw Puerto Ricans to the U.S. as laborers. The dire straights the characters are under demonstrate their colonial position - the result of U.S. imperialism when the U.S. acquired Cuba, Puerto Rico and the Philippines after the Spanish-American War when viewed analytically. Furthermore, though Puerto Rico is neither a state nor a recognized nation by the U.S., it is an imaginary community all the same. This imagined

community recognized in Rodriguez's work encompasses not only those on the physical landmass of Puerto Rico, but its diaspora in New York as well.

Rodriguez's short story "The Boy Without a Flag" is the most overtly nationalistic in his short story collection of the same name. In it, the young protagonist narrator refuses to salute the U.S. flag, denying allegiance to the U.S. and thereby asserting his identity as a Puerto Rican. He is pressured by teachers, such as the character of Miss Colon and Mr. Rios, to obey the rules. Prompted by his father's nationalistic rhetoric in the home, he resists the school adminstration's pressures. However, his heroic ideals of his father, Mr. Sepulveda, are crushed when his father ultimately takes the side of the school administration and orders his son to follow the rules and refrain from making trouble. The boy-narrator feels betrayed after being exposed to his father's admonishments of ignorance regarding the colonial position of Puerto Rico. Stellar performances in school do not manage to turn his father's head, so the boy-narrator turns to books about nationalist heroes and an act of civic disobedience – refusing to salute the U.S. flag. In school the boy-narrator declares, "I ain't no American. And I'm not no Yankee flag-waver" (18). In this statement the narrator actualizes his father's subversive rhetoric better than his father does.

As the boy-narrator learns more about Puerto Rico from books and his father's lectures, he begins to look introspectively into his identity as a Puerto Rican.[1] Interestingly, he begins to envision himself as part of the Puerto Rican "imagined community" through his own imagination, in a flight of fancy. He describes,

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[1] Fernando Feliú in his article "Ésa no es mi bandera: La identidad puertorriqueña en 'The Boy Without a Flag' de Abraham Rodríguez Jr. 'El juramento' de René Marqués" offers a different argument. For Feliu, the dialogue between the school and the boy-narrator demonstrates the privileging of the language of assimilation and that this creates a barrier for any introspection on the boy-narrator's part. I do agree, however, with Feliú's assessment of militaristic language that reconstructs the "hostile environment of violence and intolerance in which the children live" (234).

> At night, alone in my bed, images attacked me. I saw Miss Marti and Mr. Rios debating Albizu Campos. I saw him in a wheelchair with a flag draped over his body like a holy robe. They would not do that to me. They were bound to break me the way Albizu was broken, not by young smiling American troops bearing chocolate bars, but by conniving, double-dealing, self-serving Puerto Rican landowners and their ilk, who dared say they were the future. They spoke of dignity and democracy while teaching Puerto Ricans how to cling to the great coat of that powerful northern neighbor. Puerto Rico, the shining star, the great lap dog of the Caribbean. I saw my father, the Nationalist hero, screaming from his podium, his great oration stirring everyone around him to acts of bravery. There was a shining arrogance in his eyes as he stared out over the sea of faces mouthing his name, a sparkling audacity that invited and incited. There didn't seem to be fear anywhere in him, only the urge to rush to the attack, with his arm band and revolutionary tunic. I stared up at him, transfixed. I stood by the podium, his personal adjutant, while his voice rang through the stadium. "We are not, nor will we ever be, Yankee flag-wavers!" The roar that followed drowned out the whole world (23).

Here Rodriguez employs flights of fancy to insert elaborate nationalist rhetoric into the boy's musings. The boy's father plays an integral role in this flight of fancy – his particular vision of Puerto Rican nationalist grandeur. The boy-narrator raises his father up to heroic heights, putting him in an imaginary pantheon of Puerto Rican heroes, while deriding "conniving, double-dealing, self-serving Puerto Ricans" who perpetuate the colonized position of Puerto Rico, guilty of making it "the great lap dog of the Caribbean" (ibid). The boy-narrator's dream sets up the diametric poles of authenticity: there are those with you and those against you. As we will see this kind of stringent classification sets his father up for failure.

Similarly, the narrator's teacher, Miss Colon, provides a foil with which to contrast the boy-narrator's loyalty to Puerto Rico. Miss Colon is circumscribed into the diametric opposition of whore/betrayer and mother/nation. Rumors generated by the children, especially the boy-narrator, render Miss Colon's body as a whore. She is perceived to be cheating on her husband with another teacher, Mr. Rios. Her perceived disloyalty to her husband is tied to and emblematic of her disloyalty to her heritage/nation. After the boy-narrator's disappointment

with his father, Miss Colon declares that she is on the boy's side to cheer him up. At the end of "The Boy Without a Flag," Miss Colon becomes a mothering comfort. Rodriguez portrays the Miss Colon simultaneously as the mothering protection of nation and as a sell-out who fails the nation.

Rodriguez's name choice for this supposedly adulterous teacher has several interesting implications. The title Miss is not only the common referential title with which children address their teacher, but it is also a clear negation of her married status. Also, her last name, Colon, is a reference to colonization. It is the same surname in Spanish of Christopher Columbus (Cristobal Colón), who was the first European to "discover" and colonize the Caribbean islands. Her name carries the implications of disloyalty to her husband and her heritage, and her name frames her as a slut, while the narrator himself describes her as one.

Through their comic book entitled "Slut At The Head Of The Class," the narrator and his friend Edwin disseminate the idea that Miss Colon is in an adulterous relationship with another teacher, Mr. Rios. The children are drawn to this conclusion by observing the two teachers together enjoying each other's company. The narrator describes the two teachers intimacy as proof:

> We knew, because on Fridays, during our free period when we'd get to play records and eat stale pretzel sticks, we would see her way in the back by the tall windows, sitting up on a radiator like a schoolgirl. There would be a strange pinkness on her high cheekbones, and there was Mr. Rios, sitting beside her, playing with her hand. Her face, so thin and girlish, would blush. From then on, her eyes, very close together like a cartoon rendition of a beaver's, would avoid us (13-4).

Blushing and her averted eyes, for the narrator, imply the teachers' misconduct. Miss Colon is described like a flirt, "sitting up on a radiator like a schoolgirl" (ibid). Miss Colon's physical actions present enough evidence to indict her of adultery in this boy-narrator's opinion. The

young narrator however, is involved in creating this "slut" persona through his comic book and his conversations with other classmates. These factors, including his youthful perception of adult relations, render him an unreliable narrator. The reader can only know the perception of Miss Colon's actions and character but not her true actions. We cannot be wholly sure that Miss Colon deserves to be labeled a slut. However, what does it mean when the naivety usually attributed to a child's perspective becomes a mistrustful gaze, in this case the mistrustful gaze of the narrator?

Rodriguez, however, provides the reader with "the girls" contrasting opinion of Miss Colon. The boy-narrator's female classmates defend Miss Colon not by denying she is having an affair but by defending Miss Colon's actions. One girl blurts out that Miss Colon "…married a bum and needs to find true love" indicating a consensus among the children that Miss Colon is indeed guilty of committing adultery. The girls only "soften" their attitude towards Miss Colon's perceived promiscuity because of the pity the recollection of her husband evokes. He is described as an "untidy" ex-radical that speaks to the children about "protest marches, the sixties, and the importance of an education" but then falls asleep in the coat closet (ibid). They sympathize with what they conceive of as a poor choice for love. In other words, he is a poor choice because he is unkempt; the filth associated with 60s radicals. He exemplifies *past* subversions to norms. He is a "bum" who falls asleep in a closet. This is evocative of the embarrassment and pity of an unsuccessful activist project. The girls imagine their teacher would have to move on in the face of failure. Whereas the boy's image of his father evokes the heroic fight against oppression, here the girls' image of Miss Colon implies resignation and acceptance. Therefore Miss Colon is figuratively a whore/betrayer to the nationalist cause. She is tied to resistance in the past but has "sold-out" when faced with failure – failed nationalism.

Her perceived disloyalty to her husband is part and parcel with the perception of disloyalty to her heritage/nation. The alleged act of adultery renders her body as part of the disloyal "imagined community" of Puerto Rico. The boy-narrator has then circumscribed her body as failed nationalism as well. She is presented as one of "the conniving, double-dealing, self-serving Puerto Rican[s]" the narrator describes in his dream about his father. The boy-narrator has made Miss Colon a foil to his loyalty to Puerto Rico. She is disloyal and therefore inauthentic. By pressuring him to follow the rules and salute the flag, she has been presented as a sell-out, a comprador who has conformed to the assimilationist immigrant narrative enforcing the colonial status quo.

Yet in this indictment of Miss Colon's character, the boy is revealed as an unreliable narrator. He admits after all to creating a fiction - the comic book - of his teacher's promiscuity. Her only authentic action was pressuring her student to salute the U.S. flag. Despite that it is the perceived menace of her female body that actually renders her a sell-out in this story. The boy-narrator invites the reader to question her loyalty throughout the story. However, the moment she tells him she's on his side he smiles at her, "warmth spreading through" him (29). Her declaration succeeds in calming the boy after his father failed to declare his loyalty. In a reversal, Miss Colon becomes circumscribed as loyal, casting more doubts on his speculations about her promiscuous character.

While the female body is enough to deem a woman as a sell-out, the expectations of loyalty are much higher with the boy's father. In the boy's imagination, his father was part of the pantheon of Puerto Rican heroes. The father shatters the boy's expectations of an authentic Puerto Rican hero when he sides with the school administration. Taking on the register of a mature voice, the narrator interprets his father's actions as protective and resigned. He states,

> I couldn't understand back then about a father's love and what a father might give to insure his son safe transit. He had already navigated treacherous waters and now couldn't have me rock the boat. I still had to learn that he had made peace with The Enemy, that The Enemy was already in us. Like the flag I must salute, we were inseparable, yet his compromise made me feel ashamed and defeated. Then I knew I had to find my own peace, away from the bondage of obedience. I had to accept that flag, and my father, someone I would love forever, even if at times to my young, feeble mind he seemed a little imperfect (30-1).

The mistrust in the boy-narrator is dismissed with the mature understanding of his adult incarnation. He recognizes his father's actions as protective, resulting from his years-long experience of fruitless challenges to hegemonic authority. It would seem the romance of nationalism in the boy's eyes is squashed under the resignation the adult characters. However, the narrator ends the story with conflicting aims, finding "his own peace away from the bondage of obedience" and accepting the flag. Although he recognizes "The Enemy" within, he still seeks existence away from his colonial subject position.

The other stories in Rodriguez's collection of short stories do not employ the nationalist rhetoric present in "The Boy Without a Flag". Instead, in the rest of the stories Rodriguez allows the poor living conditions of these narrator-children to speak for the colonial subject position. The narrator begins with the simple statement, "It's my birthday" (61) and then proceeds to narrate the uncelebratory nature of his life. In the story "The Birthday Boy," the narrator Angel describes his father as a genuine tough guy that no one should challenge or else s/he receives the penalty of a beating. By cuckholding him, Angel's mother is portrayed as provoking her husband. As the beatings increase, Angel's mother leaves the family and Angel is left alone to receive all of the beatings. As his father's beatings escalate into threats of murder, Angel escapes to the streets to find the streets no less dangerous than his life at home.

In the story "The Birthday Boy," Rodriguez reinvokes the trope of a child's mistrust of his parent once again. Yet, in place of nationalistic rhetoric to imply political expectations of

authenticity, Rodriguez employs a street vernacular to lend authenticity to the narrative. Angel's refusal to speak English becomes a marker of authenticity for the boy-narrator in "The Birthday Boy". Angel describes his father's speech to indicate how tough he is: "He's a big, bulky man. He speaks English with a hateful accent, the kind that says, 'I don spee no Englitch lie ju. *Soy hispano, puñeta*' " (62). The narrator conflates his father's tough exterior with tough speech. In this last sentence Angel's father gives an unequivocal pronouncement of his identity, "I am Hispanic," with an epithetic emphasis. The narrator describes this kind of culo emphasis as "boiler-room Spanish" that lets him know the severity of his father's threats. However, when Angel describes his father's accent, these are not actual words that come out of the father's mouth. Like the boy-narrator in "The Boy Without a Flag," Angel creates an imaginary statement to embody his father's character and this blunt statement carries implications of resistance to U.S. hegemony. Angel imagines his father's resistance to English language as a subversive act that resists assimilationist expectations and at the same time his statement carries the culpability of selling-out. The narrator does not specify who his father addresses in this imaginary statement. When his father pronounces that he doesn't speak English "lie ju," he could be addressing his son, English speakers at large in the United States or the reader. Whomever he may address, it is clear that language is used to differentiate a Hispanic identity from all others. Angel thus marks language as the measuring stick of authenticity in this imaginary statement. In this story, it is Angel's mother and not his father who fails to live up to this imaginary marker of authenticity. Angel sees signs that his mother is committing adultery but when he questions her about it she lies. Lying and patronizing are both speech acts that dissimulate and render words inauthentic. The narrator describes his indignance to his mother's response by declaring to uphold the authenticity of his word with his future children. He says,

> Man, you know? If I ever get a kid, I'm never lyin to it, no matter if the kid walks in an sees me smoking a jay or knifin a dude or screwin some *putita* cause his ma's on the rag. Kids always know when you lie. They feel it. An they don't forget (65).

He catalogues a number of extremely compromising situations in which he would not lie. No matter the extent of brutality of these hypothetical actions he holds truthfulness as an all important principle above all else. Like Miss Colon, Angel's mother is described as an adulterer betraying her husband, and by extension she betrays the child under her care. Angel identifies two moments that cause his family structure to collapse – when his father is cuckholded and when his mother abandons the family. While Angel's father does not fail his son's expectations of cultural authenticity, he does betray his son's trust through the hyper-authenticity of language proportionate to acts of physical violence. The frequency of abuse increases after the two moments that debilitate his family – his father's abuse ultimately driving him away. When Angel's father threatens to kill him, Angel knows to take him at his word. The stark truth, the authenticity of his father's language, reflects the severe union of tough speech and tough acts in his father.

In "Birthday Boy," the severe adherence to authenticity in speech traps Angel into a cycle of violence. For the boy-narrator in "The Boy Without a Flag," his father's failure to attain the authenticity of a Puerto Rican heroic identity leaves him with the feeling of betrayal. By emulating his father's rhetoric of authenticity in the attempt to win approval in his father's eyes, the boy-narrator predetermines his father's betrayal. In these two stories women have even less agency under the stringency of authenticity than the men. They are represented as innate sell-outs – sexual entities caught in the paradox of being a pure virginal representation of nation and

a sexually active producer of nation. Women, in this equation, are completely entrapped in the dichotomy of whore/betrayer of nation and a subjugated body/ a colonized community. The anxiety over authenticity creates these sell-out figures who betray adult-child relationships in The Boy Without a Flag and reflect the difficulties that arise through classification under expectations of authenticity. Abraham Rodriguez's collection of short stories problematizes such classifications, refusing to locate itself under any stringent idea of the authentic.

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Performance that Lives: Projecting the Soul of the Music in our Performance

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Abstract:

Performance that Lives: Projecting the Soul of the Music in our Performance

Why do so many performers, with their fine, even brilliant technique, often leave us impressed, but unmoved and uninspired? In this paper, I will discuss the futility of technically precise playing that fails to capture the spirit of the music. I will consider the thoughts of Aristotle and the danger of competition in the arts. I will cite concert pianists such as Alfred Brendel, Leon Fleisher, and Ivo Pogorelich regarding their struggles to find the meaning of the music, a meaning that goes beneath and beyond technical expertise or expression. Since the music originally received its life from the inspiration and imagination of the composer, I will consider the compositional inspirations of such prominent figures as Beethoven and Brahms. I will argue that comprehending the spirit that inspired a work, bringing our own hearts to that comprehension, and combining it with solid technique are the vital keys to a "performance that lives."

Art as a Mode of Knowing and a Model for Action[1]

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> Prior to all conceptual-scientific knowledge, the way in which we look upon the world, and upon our whole being-in-the-world, takes shape in art. (Gadamer, 1986: 164.)

Questioning art's cognitive significance has its roots in the *aesthesis* / *noaesis* dichotomy, introduced to Western thought by the Greeks and reinforced in many ways by post-Kantian philosophy. When this dichotomy, closely related to the Platonic distinction between *being* and *becoming*, is seen as a defining aspect of human experience, it imposes a sterile conception of art that excludes it from understanding or knowing. Such a conception is problematic in that it approaches art as - and consequently turns it into - just another product of the given conditions of the human situation with no significance beyond facilitating escape, stirring emotions, or purposelessly manipulating the intellect. Only by recognizing art's power to mediate our experience of the world and, consequently, inform our actions we will allow it to escape its status as a tool in the service of preformed ideas (propaganda), pathological needs (consumption), or elitist time-wasting (disinterested contemplation).

Plato's theory of *Forms* (Plato, 1981, *Phaedo*) is responsible for the dichotomy between *being* and *becoming* that is, I believe, at the basis of our long-lasting difficulty to appreciate the productive dimension of reference and the truth claims of art. It reflects a theoretical orientation akin to the *Eleatic* school of thought, represented by philosophers such as Parmenides (c. 515 BC), Zeno (c. 490 BC), and Embedocles (c. 490 BC). This orientation was favored by Plato and came to be identified with Greek thought, not only because of its institutionalization in 5th century BC Greece, but also through the wide dissemination of Platonic writings, by Plotinus (205-270 AD), the Cambridge school (17th century), and others. The *Eleatic* school outlines one aspect of Greek philosophical thought, developed alongside and against the lesser known

Pluralist school,[2] represented by philosophers such as Anaxagoras (c. 500 BC), Heraclitus (c. 540 BC), and Democritus (c. 460 BC).[3]

Anaxagoras considered the world as being in a state of constant flux, with man and nature continuously changing and adjusting to one another (Vlastos, 1993: 310.) This idea originated in Heraclitus's conception of nature (whether this is man's *nature* or what we commonly refer to as nature[4]) as consisting of a range of never fully exhausted possibilities while, at the same time, being self-sufficient (αυτάρκης) (Vlastos, 1993: 346). The term αυτάρκεια indicates power for self-maintenance and renewal rather than stasis or closedness. For Heraclitus, nature and nurture are closely related thanks to nurture's power to reshape nature in a never ending process of *becoming* (McKirahan, 1994: 339).

This line of thought culminated in Democritus's assertion that men and the world they inhabit are not only changeable but are who (what) they are in becoming so. Democritus followed the consequences of such an assertion in concluding that logic (λόγος) exists not for its own sake, as Plato would argue, but for the sake of action (έργον), echoing the Heraclitean conception of the world as the *work* of λόγος (McKirahan, 1994: 139). This belief is consistent with the Socratic renouncement of "knowledge" as a thing in itself, in favor of a "search for knowledge." Socrates's famous phrase "έν οίδα ότι ουδέν οίδα" (the one thing I know is that I know nothing; in Vlastos, 1995: 10) is a conscientious objection against the notion that the conclusion of

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[2] The use of the terms *Eleatic* and *Pluralist* follows Vlastos (1993) and refers to beliefs regarding potentiality of being and not (as the term appears in Aristotle, 1989: 2-83) origins of being. According to Aristotle, for example, Heraclitus would be a *monist* or *atomist*, title reflecting his belief that, even though *being* may have multiple futures, it has a single origin. At the same time, Embedocles would be a *pluralist*, title reflecting his belief that, although *being* can only have a single future, it may have multiple origins. Within the context of the present study, Pythagorians would belong to either the *Eleatic* or the *Pluralist* school.

[3] Aristotle was not sympathetic to the work of Democritus. Plato does not even mention the *Pluralists'* ideas (McKirahan, 1994: 342). The work of Aristotle reflects, in part, a struggle between the *Eleatic* and *Pluralist* orientations. His knowledge of both approaches is evident in the first book of *Metaphysics* (Aristotle, 1989: 2-83), while the tension between the two orientations is more prevalent in the ninth book (Aristotle, 1989: 428-473) where he discusses the tension between *potentiality* and *actuality*.

[4] This blurring of boundaries between man and nature is still present in expressions such as "he/she is of a such-and-such nature" that refer to a disposition based on both nature and cultivation.

any discussion is secure against further testing through further discussion. His renouncement of absolute knowledge is akin neither to Schopenhauer's pessimism nor to 19th century relativism. Rather, it draws attention to the belief that one's convictions should be open to reexamination in the company of any sincere person who would raise a sincere question and participate in sincere dialogue. The focus on sincerity highlights the fact that, in a dialogue, something will be at stake: the investigators' self-understanding, their subsequent actions and, consequently, the world they inhabit.

A second, even more striking byproduct of blurring the boundaries between *being* and *becoming* was Democritus's assertion that art represents soul's power to change itself and thus nature (understood as the world the soul inhabits). Informed by the Heraclitean understanding of man and nature, Democritus approached art as an invention that arose out of necessity, in order to provide man with his most powerful means of exploring his (and nature's) open possibilities, offering the "teaching that helps him make his own nature" (in Vlastos, 1993: 346). In other words, art was thought of as man's means to explore nature's power for self-maintenance and renewal; man's necessary response (αναγκαία απόκρισις) to nature's challenge. Understanding art as a necessary condition for *becoming* and *being* represents a significant speculative achievement that points towards art's cognitive significance. However, this understanding was, along with the rest of the *Pluralists'* speculations, not worked-out systematically and was abandoned by Plato along with the "insecure" view of the world it was putting forward. In its place, Plato's theory of *Forms* gave us a rigorous, complete, and in many ways comforting model of *being* that, arguably, became the basis of Western civilization's scientific method and world-view. Method, independence from the observer and his/her individual prejudices, objective verification and testing, and the search for universal laws/rules are constitutive of the *scientistic* outlook that has imposed itself on our culture as the most reliable, if not the only model of knowledge (Grondin, 1995: 128). The questions, however, to which Democritus' speculations were the answers, have continued to confront us, joined by the realization that Plato's "omnipotent" reason had an axiomatic and eventually non-comforting metaphysical basis.

From within the *aesthesis*/*noaesis* scheme, art is usually placed on the *aesthesis* side, with the commonplace view being that its value lays in the pleasure we get from it. However, what is commonly regarded as the finest in art is not a real source of pleasure, except to those who have been trained to enjoy it. At the same time, if art's value is based on pleasure, how can we explain the various distinctions that are made within and between forms and works of art or the sorts of evaluative distinctions made between art and non-art in the cultural and educational institutions of Western society? Freud's *pleasure principle* claims that man is essentially a bundle of conflicting needs and instincts that guide all his activities, including the creation and experience of art.[5] Such an understanding supports a social psychology of art which, in neither of its two extreme and opposed traditions (the study of individual *auteurs*, *e.g.* Holland, 1975, or the study of cultural obsessions, *e.g.* Jung; in Fordham, 1953) has given a satisfactory account of art's value. These approaches overlook art's power to at once effect both a distance from and a mediation of reality. Hoping to go *past* works of art to something solid behind them in the individual or in culture, they reduce them to little more than bearers of fantasies (Andrew, 1984: 138). However, although dreams may share with works of art the function of representing human hopes and fears, they cannot replace them. The essential asymmetry between art and fantasy consists in that one can go from the work to the fantasy but cannot find the work in the fantasy. As Ricoeur has argued (1979; in Andrew, 1984: 141), all Oedipal dreams, for example, are at a certain level interchangeable, each dream being a different version of the same story. None of these versions, however, can in a satisfactory way replace the version Sophocles dramatized in his *Oedipus*.

Replacing aesthetic pleasure with the post-Kantian disinterested contemplation of 'transcendental beauty' introduces an alternative only if one manages to avoid the psychologizing and relativist implications such an approach fosters, implications that

[5] In contrast to Freud and quite refreshingly, Democritus made a clear distinction between pleasure, which refers to short-lived enjoyment that needs to be mastered because it does not contribute to the development of human nature, and cheerfulness, which represents a general disposition, characteristic of 'good' life (McKirahan, 1994: 339).

were later exposed by Husserl and Heidegger in their call for a return to *the things themselves*. Kant's *Critique of Judgment* (in Hofstadter and Kuhns, 1976: 277-343) was based on the recognition that science in particular and logic in general has a metaphysical basis. He argued that for science to be construed as correct or true we have to believe in the transcendence of certain logical categories that do not exist in the field of experience. These categories, although scientifically unprovable, they seem to form the basis of all science as well as everyday common sense. Similar arguments were raised regarding the metaphysical nature of basic moral principles without which we couldn't properly speak of right and wrong actions, as well as of aesthetic experience which was consequently understood as being at the mercy of the random stimuli of the world and our subjective interpretation of them. At the same time, however, Kant maintained that, while most of our feelings and judgements are based on what Freud later termed *pleasure principle* and may therefore be explicable within the domain of psychology, our experience of the truly beautiful (as found in nature and art) has the power to momentarily place us outside all considerations of personal gain or pleasure. We confront an object or experience of beauty for itself and we feel it is justified in itself because it has "purposiveness without purpose."

> "There can be, then, purposiveness without purpose, so far as we do not place the causes of this form in a will, but yet can only make the explanation of its possibility intelligible to ourselves by deriving it from a will." (Kant, *Critique of Judgement* §10, in Hofstadter and Kuhns, 1976: 294.)

Works of art appear designed so that their individual parts work towards a whole, but we can only experience them as cut off from other objects and experiences, as we are cut off, during this experience, from the continuity of self-interest that comprises our daily life. According to Kant, we are "disinterested," that is, we do not intend on turning this object to use, while the object is "isolated," that is, held out against all other objects in the world. Both, our *self* and the work of art are free-floating during this experience, a state that, as it will be argued later, is a necessary condition for art to have cognitive significance or the power attributed to it by Democritus.

Kant's shift from metaphysics to hermeneutics can be traced in his Platonic, at the surface, distinction between things-in-themselves and appearances. Classical metaphysics, defined by Aristotle (1989: 147) as the science that pertains to *being as being*, claimed to possess knowledge about the nature of things in themselves. According to Kant, however, this claim disregards that the things we know are already schematized/conceptualized/mediated by our understanding of them. In this respect, Kant followed and perhaps radicalized Hume's idea that our mind is not acquiring knowledge passively; it is active to the point of imposing on nature mind's own laws of logic. Kant's *transcendental logic* offers the guiding principles of nature as it is "produced" or "required" by the categories of our thought. The idea that the world we know is based upon a conceptual projection of such categories was a revolutionary notion indicating that one does not have access to the things-in-themselves but only to interpretations produced based on our conceptual tools.[6] Kant's critique, contrary to neo-Kantian idealist beliefs, questioned reason as much as it did aesthetic and moral judgement, outlining a situation where appreciation of art's cognitive significance could have been a natural consequence. If our understanding of the world is based partly on our projections on it and if our ability to project is itself based on experience, art has as much, if not more, efficacy than reality when it comes to our world-making/projecting capacity. In a Kantian relativistic universe, experiencing reality must rely on imagination as much as experiencing art. Experiencing therefore a work of art, whether as literature, theater, painting, music, etc. should have no less of an impact on our horizon of possible worlds than experiencing "reality." The experience of art is as real and true, and even more emphatically so since the tension between "real" and "unreal" fostered by art makes possible the existence, communication, and therefore creation of yet un-encountered realities. Nevertheless, Kant's project was followed by an elevation of rational objective thinking to the status of religion, accompanied by a

[6] The general tension between subjectivism and objectivism is not new. It was present as far back as in Democritus's struggle with the idea that, while the sensor affects what is sensed causing sensation to be relative to the observer, sensation must have its basis on actual stimuli rather than fiction (McKirahan, 1994: 331).

subjectivization of aesthetics that abstracted aesthetic consciousness from any concern with knowing, denying art any claim to truth.

To avoid the relativism that looms over the Kantian rejection of any form of absolute idealism (such as Plato's supremacy of *Forms*, or Hegel's supremacy of the *Absolute Mind*), interpretation needs some basis beyond subjectivity. If our knowledge is to be more than a fictitious creation, it has to find some objective justification in the things-in-themselves, something that Kant's system prohibits. This problem is not peculiar to Kant's position. Even the realist is not immune to this difficulty, especially when s/he recognizes that our beliefs have an effect on our descriptions of observations. Jacobi resolved the contradiction in Kant's doctrine of the thing-in-itself by resorting to faith, understood as the intuition that permits us to immediately grasp essential truths through feelings that possess the clarity of concepts (di Giovanni, 2001). Schopenhauer saw the things-in-themselves as dominated by forces of *the will*, contributing, in a sense, to Nietzsche's universal perspectivism that viewed the world as the domain of the will to power, with all claims to truth being illusions supported by hidden power structures (in Hofstadter and Kuhns, 1976: 446-554). Schleiermacher argued that it is misunderstanding which proceeds naturally while understanding must be sought after and grounded in every step of interpretation (in Grondin, 1995: 6). From this premise, he deduced that human knowledge is necessarily dialectical, with dialectics understood in the Socratic sense, as the art of dialogue. This stress on the dialogical element of understanding is also found in Gadamer's dialogical conception of the hermeneutic experience as a fusion of horizons that changes the one who experiences, and will be addressed in more detail shortly. Schleiermacher's reply to the problem of the "universality of misunderstanding" was to devise a "universal method" (*Kunstlehre*). Heidegger dismissed Schleiermacher's methodological solution as belonging to the age of metaphysics. For Heidegger, metaphysics is not simply the type of thinking that aims at *a priori* knowledge beyond experience (as is the case with Kant), but a more basic urge to flee/negate our own finitude and ground *being* on something eternal (*e.g.*

reason or divinity),[7] based on an onto-theo-logical framework. Ontological in that it aims at a universal, totalizing grasp of *being*, beyond specifics. Theological in that it seeks to base this universality on a single general principle, whether divine, materialistic, or sensible. Logical in that it bases its search on the logic of propositional and syllogistical discourse (Heidegger, 1995; Grondin, 1995: 9-10). For Heidegger, however, *being*, as expressed in language, cannot be reduced to the logical content of our propositions, since there is more to what is being said than can be grasped from such an analysis. The essential dimension in language is not the logical/semantic content of our statements but the relation of *Dasein* (an emphatic understanding of *being*, not as universal and disinterested but as *being there*) to that which strives to be understood in language (Heidegger, 1962).

The hermeneutical understanding of the relationship between language and meaning was extended significantly by Gadamer (1989, part 3). Arguments by Augustine[8] and Plato[9] served as starting points for one of Gadamer's important theoretical achievements: showing that the logic of question and answer is at the basis of the hermeneutic moment of understanding.

> "No assertion is possible that cannot be understood as an answer to a question, and assertions can only be understood in this way." (Gadamer, 1976: 11.)

Out of this basic idea, Gadamer's principle of *effective history* arises to rehabilitate the concepts of prejudice and tradition, even our metaphysical tradition. *Effective history* exposes the basic temporal dimension of a *being* which can never 'escape' its own historicity since it *becomes* through it and is always *situated* in it. What is dismissed by Hegel or Nietzsche as *ideology* is shown by Gadamer to always be at work. Efforts to 'get rid of it' represent a utopia, while the belief that these efforts can be successful

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[7] This basic urge for a feeling of security was at the heart of the Platonic model's victory over an understanding of *being* that is in constant flux, advocated by Demoritus.

[8] Regarding the gap between the external word we utter (*λόγος προφορικός*) and the internal word of the soul (*λόγος ενδιάθετος*) which we can never adequately express.

[9] Regarding the functioning of words as *υπομνήματα* or reminders of the truths they try to express; *i.e.* what is to be understood is not what is or can be said in words but the whole of meaning words wish to convey.

represents a dangerous illusion. For Gadamer, *ideology* is not something imposed on the members of a society by some sinister political power. Rather, as Andrew argues (1984: 113), it produces reality for every subject in a culture, not so much by filling their minds with the objects and values that make up the culture but by shaping the very forms of organization through which each subject constructs his/her reality.

> "When a naïve faith in scientific method denies the existence of effective history, there can be an actual deformation of knowledge. We are familiar with this from the history of science, where it appears as the irrefutable proof of something that is obviously false. But on the whole, the power of effective history does not depend on its being recognized. This, precisely, is the power of history over finite human consciousness, namely that it prevails even where faith in method leads one to deny one's own historicity." (Gadamer, 1989: 301.)[10]

Becoming conscious of effective history leads to an awareness of our limits or, as Gadamer puts it, our *horizon*. Such awareness is a necessary condition to the possibility of our horizon's expansion. Consciousness of being affected by history "is an element in the act of understanding itself, (...) already effectual in the *finding the right questions to ask*." (Gadamer, 1989: 301.) Understanding and knowledge then represent less our command over a topic and more a participation in the creation of meaning and a constant search for knowledge, since the task of becoming conscious of effective history can never be completely fulfilled.

> "The illumination of [our] situation – reflection on effective history – can never be completely achieved [since the very idea of a *situation* means that we are not standing outside it and are therefore unable to have any objective knowledge of it]; yet the fact that it cannot be completed is due not to a deficiency in reflection but to the essence of the historical being that we are. To be historically means that knowledge of oneself can never be complete." (Gadamer, 1989: 301.

Gadamer's statements echo the Socratic concept of *σοφία* (wisdom), understood as the *consciousness of not knowing*, and inform postmodern conceptions of philosophy as a "vigilance which does not let us forget the source of all knowledge" (Merleau-Ponty, in Levin 1990: 208). The dialogue implied in Gadamer's logic of question and

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[10] Gadamer's understanding of history in terms of 'effective history' gives special meaning to Heidegger's assertion that "Art is history in the essential sense that it grounds history." (Heidegger, *The Origin of the Work of Art*, in Hofstadter and Kuhns, 1976: 699.)

answer, although akin to the Platonic understanding of thinking as the dialogue of the soul with itself, is essentially Socratic in nature, replacing Hegel's dialectic that aimed towards completion. The dialogical nature of all understanding consists of the fact that one can only understand if one also hears through the outside word the inner word that is present. The inner dimension of spoken, written, or thought discourse is not to be understood as something 'beyond the text.' On the contrary, it lies within it, calling for the right question to be asked. This can be illuminated through the Greek word *υπόνοια*, often used by Plato in the sense of (and as an ancestor of the word) *allegory*. It literally refers to what is thought *under*; to the thought at the root of what is said. And what is 'thought underneath' is not necessarily 'hidden.' It is rather what is *presupposed*; what precedes the actual word and makes it understandable (Grondin, 1995: 30-31).[11]

Husserl's and Heidegger's calls for a return to the *things themselves* are calls for a return from the text to the meaning that animates it. One understands a discourse only if one knows the question to which the discourse seeks to be an answer. To address such a question, however, means to introduce oneself into the dialogue from which the statement/text/work arises. This, for Husserl, demands putting into parentheses one's 'natural' attitude in a phenomenological *re-ductio*, or *redirection*. The idea of *re-ductio* underlines three important points. Firstly, that access to what is essential proceeds from a redirection of our view. Secondly, that there already is some existing direction (*i.e.* the horizon of our situation), whether we are conscious of it or not. And thirdly, that we always co-constitute meaning since we are always *there* (in the emphatic Heideggerian sense of *Dasein*[12]) when meaning occurs, with the intentions of the text meeting the intentions of the readers. The term 'intention' refers to the worlds of the text and the reader, understood in the Heraclitian sense as ranges of possibilities, or, better, in the

[11] The realization that every encounter with a 'text' requires rigorous interpretation dates back to Heraclitus's belief that, like reality, a correct account of reality needs to be interpreted. Accounts that are too straight-forward cannot capture reality's essential feature, which is that "it loves to hide" (in McKirahan, 1994: 134).

[12] Invoking Heidegger's *Dasein* refers to the temporary immersion in and surrendering to the text; to the true *being there* with the text that, along with the consciousness of our effective history, is required by Husserl's *re-direction* and is at the heart of any understanding.

Gadamerian sense as horizons. Understanding is therefore an *event* of meaning that creates a new world through a 'fusion of horizons' (Gadamer, 1989: 306-307) and outlines a new range of possibilities that retains the tension between the world of the reader and the world of the text.

> "With Collingwood, we can say that we understand only when we understand the question to which something is the answer, but the intention of what is understood in this way does not remain foregrounded against our own intention. Rather, reconstructing the question to which the meaning of a text is understood as an answer merges with our own questioning. For the text must be understood as an answer to a real [to us] question." (Gadamer, 1989: 374.)

Gadamer's ontology of works of art in terms of 'play' captures the very essence of the above discussion. For Gadamer, one of the most characteristic aspects of the phenomenon of playing is that the individual player is absorbed into the back-and-forth movement of the game. S/he is fully 'there,' immersed in the world defined by the procedures and rules of the game and outlining the possibilities explored by the player. Gadamer's player is a serious player, one that does not hold back in self-awareness as one who is *merely playing*. A serious player enters the world of the game willingly and actively, not as an uncritical subject or a disinterested spoil sport, but critical and alert since the temporary suspension of his own 'natural attitude' means that the world of the game becomes for a moment his/her world. This is a world in which the serious player invests interest and therefore a world in which things are at stake, as in the Socratic dialogue.[13] When it comes to understanding works of art and to the dialogue that this understanding entails, our critical judgment of a work and the potential of this work to give us a world that expands our understanding rely on us being absorbed into it, on *playing along* with it, or better, on *being played* by it.

> "[I]n playing, all those purposive relations that determine active and caring existence have not simply disappeared but are curiously suspended. (…) Seriousness is not merely something that calls us away from play; rather seriousness in playing is necessary to make the play wholly play. Someone who doesn't take the game seriously is a spoilsport. [102]

[13] Gadamer's recognition of the 'playfulness' involved in the dialogue that our encounter with works of art initiates, alleviates some of the 'anguish' involved in the Socratic project, without diminishing its seriousness or impact.

> [This seriousness is what makes] the game itself a risk for the player (…) [and this is why] all playing is a being played. (…) The real subject of the game (…) is not the player but instead the game itself [106] (…) [which] merely reaches presentation (…) through the players). [103]" (Gadamer, 1989.)

The analogy between playing a game and experiencing a work of art is directed as a critique on the abstraction inherent in the form of aesthetic consciousness outlined by Kant. For Gadamer, the 'subject' of play and of the experience of art is not the subjectivity of the person who plays or experiences (whether this is the creator, the performer, or the audience) but the play or the work itself. At the same time, as the discussion on effective history anticipates, the aesthetic attitude of the subject is not irrelevant. Rather, it is a part of the event of *being* that occurs in the *bringing to presentation* that the play is, and belongs essentially to play. Modernist works of art are explicitly created to disclose the play involved in the workings and unfolding logic of their essentially historical nature, by performing what they are while being their performance (Levin, 1990: 212).

The significance of the analogy between play and art to the truth claims of works of art can be revealed in two important and related steps. First, experiencing a work of art cannot be considered as different from any other experience, insofar as it contributes equally to 'reality'. Reality is understood here not as something fixed and given but as something that "always stands in the horizon of (…) still undecided future possibilities." (Gadamer, 1989: 112.) This understanding of reality, accompanied by an understanding of *being* not only as located *in* reality but also as being part of it, brings to fruition Heraclitus's understanding of our world and of our *being in the world* as closely related. In such a reality, truth is a matter of adequation determined in terms of what Helmholtz called *tact*. For Gadamer, *tact* is not simply a feeling or something in the unconscious, but a mode of knowing and a mode of being that belongs to *sensus communis* (common sense.) Gadamer's understanding of 'common sense' has little to do with its Kantian conception as the 'lowest common denominator' (Kant, *Critique of Judgement*, §40, in Hofstadter and Kuhns, 1976: 312). While Kant sees common sense as a prison from which only the *genius* can escape, Gadamer sees it as the support of the

genius potential in anyone who 'plays seriously.' For Gadamer, *tact* is acquired by means of *Bildung* (cultivation) that takes on a historical dimension, understood as the "properly human way of developing one's natural talents and capacities" (Gadamer, 1989: 10). In other words, being in the world is not something already given, or some skill one could learn once and for all. Rather it is a *sense* or direction that one attempts to cultivate. The notion of *Bildung* implies openness to what is other. "It embraces a sense of proportion and distance in relation to itself, and hence consists of rising above itself to universality" (Gadamer, 1989: 17). Universality, as an aim of knowledge, is something one achieves by broadening one's horizons, by going beyond the particularity of one's given nature, and by learning from others. Gadamer's understanding of universality strongly contrasts the scientistic one, which refers to the validity of a hypothesis for all occurrences of some general law. Within the concept of *Bildung*, universality refers to the unending task of overcoming one's particularity or 'situatedness' through learning. And although this learning does not result in mathematical laws, it represents a genuine mode of knowledge, one that is attuned to our need for self-improvement, and one that is not the property of genius but the duty of all. To draw an analogy from Bencivenga's distinction between what he calls *philosophy of necessity* and *philosophy of possibility* (1989: 41-42), the kind of being-in-the-world put forward by Gadamer is not a *being of necessity* but a *being of possibility*. The former tends to reduce the number of alternatives to be considered in a rational approach to the world, by showing the impossibility (*i.e.* irrationality) of certain alternatives and thereby establishing the necessity of the alternatives left. The later, on the other hand, tends to extend the number of alternatives to be considered, trying to explore coherent avenues of thought and action by articulating them in a plausible way. This approach highlights the importance to our being and acting in the world of the serious 'play with possibilities' that the experience of art arguably constitutes.

Second, for Gadamer, every new experience (or *Erfahrung*; *i.e.* an experience that changes those who experience it) always entails a negation of what we commonly refer to as experience (or *Erlebnis*; *i.e.* a series of memories). The temporary submission to

the *other* is a necessary condition for *Erfahrung*. It is through this temporary surrendering to the horizon of the world we encounter, through our engagement in a serious play (dialogue) with the world before us, that a fusion of horizons becomes a possibility. And through that fusion, the expansion of our own horizon and the continuation of our *becoming* (Bildung) also become a possibility. This is what Gadamer means when he calls every new experience "dialectical" (Gadamer, 1989: 353).

The idea that *negation* conditions every new experience is instrumental not only to the concept of play, but to models concerned with the creation of meaning, such as Ricoeur's theory of metaphor and the related concept of *epoché*, or his dialogical understanding of the relationship between *distanciation* and *appropriation*. The significance of the introduction of negation/distance as a condition for creation/renewal may be understood in relation to the Aristotelian understanding of *being* in terms of memory. In *Metaphysics* (Aristotle, 1989: 3), Aristotle lists memory (μνήμη) as the second most important characteristic of the intelligence that constitutes *being* as *being* [the first being experience (εμπειρία) and the third being sense perception (αίσθησις).] The fact that memory is listed second to experience indicates that the relationship of memory to *being* is not informed by Plato's transcendental 'super memory' that we all are supposed to be recollecting through knowledge (Plato, 1981, *Meno*), but by the Pluralists' conception of *being* as the memory of experiences that is constantly changing through new experiences. Although both approaches understand experience as instrumental to *being*, there is no place for productive 'forgetting' in Plato since memory is supposed to slowly be building towards something ideal. The Platonic conception seems to be behind the neo-Kantian, post-modern notion of art as recollection.

> "On a primary level, art is recollection: it appeals to a preconceptual experience and understanding which re-emerges in and against the context of the social functioning of experience and understanding - against instrumental reasoning and sensibility." (Marcuse, in Levin, 1990: 208.)

'Forgetting', on the other hand, is required by the Pluralists if memory and *being* are to continually surpass themselves in the process of *becoming*. Only through the temporary

negation of who we are (*i.e.* of our memories) we can consider with openness and sincerity what is foreign and allow it to become our own. It is in the surrendering to what is foreign that the foreign becomes appropriated, enlarging one's horizon. Ricoeur stresses this point in his discussion on appropriation as the dialectic counterpart to distanciation from *self* in order to permit its enlargement.

> "Relinquishment is a fundamental moment of appropriation and distinguishes it from any sort of 'taking possession.' Appropriation is also and primarily a 'letting-go.' (…) How can this 'letting-go' (…) be incorporated into appropriation? Essentially by linking appropriation to the revelatory power of the text which we have described as its referential dimension. It is in allowing itself to be carried off towards the reference of the text that the *ego* divests itself of itself." (Ricoeur, 1991: 95-96.)

To appreciate how art contributes to understanding, it is essential to see that works of art neither summarize experience (as in Aristotle, 1989: 5) nor awaken it (as in Plato's 'recollection'.) Rather, they take the form of imaginative creation that changes, as is the case with every *new experience* (Gadamer's *Erfahrung*), the one who experiences. From within an understanding of being-in-the-world and of this world's reality in terms of horizons of possibilities, art's cognitive significance can be illuminated by Kant's distinction between a *logical* possibility (*i.e.* simple absence of contradiction) and a *real* possibility (*i.e.* possibility of being experienced). The only way to convince ourselves that a possibility is *real* is by having an object presented to us. When this happens, both the possibility and the reality of the object are proven. *Real possibilities* ultimately coincide for us with reality. In experiencing a work of art, a logical possibility is brought to presentation, becomes an experience, and turns into a real possibility through the work of the imagination. Imagination plays an essential role in the formation of 'real' possibilities facilitated through art's play, and is what can account for the production of meaning in experiencing a work of art. Works of art are neither mere refuges from reality nor deliverers of truths unreachable through reason. There is a relationship between imagination and reason that allows us to extend our knowledge of and ability to express the world. It is in the imaginative dialogue of reason facilitated by works of art that possible realities are revealed and become actual realities, enlarging our world.

> "Imagination is 'productive' not only of unreal objects, but also of an expanded vision of reality. Imagination at work – in a work – produces itself as a world." (Ricoeur, 1991: 123.)

For Kant (*Critique of Judgement*, §49; in Hofstadter and Kuhns, 1976: 317-322), works of art give imagination "occasion to spread itself over a host of related representations" without being constrained by spatial and temporal expectations / intuitions. This host of representations concerns intuitions of the imagination as distinct from intuitions of reason. Aesthetic idea is described as "that representation of imagination which induces such a wealth of thought as would never admit comprehension in a definite concept." In his description, Kant disassociates imagination from thinking. The "free play" of imagination lies more in *apprehensio* than in *comprehensio aesthetica*, suggesting that the continuous play of imagination in art rests upon the discontinuity of aesthetic totality. For Kant, aesthetic imagination transcends experience, making possible a *synthesis* (*i.e.* an aesthetic gathering of intuitions), without the unity anticipated in a cognitive, logical judgement. According to his critique, however, the unity of rational though is also and illusion, meaning that his claim of imagination's disconnection with cognition does not pose a problem, at least not a bigger one than the one of cognition's disconnection with itself. The cognitive dimension of the free play of imagination in aesthetic experience is unrecoverable if aesthetic experience is segregated from experience in general, leading to the Kantian conflict between imagination and reason. This last problem is addressed in the hermeneutic *return to the things themselves*, a return that is at the basis of Gadamer's argument for the historical nature of being and experience. In Gadamer, the 'free play of imagination' transcends *Erlebnis*, and in transcending it, the synthetic moment (Heidegger's 'play of images') helps in the realization of *Erfahrung*, placing imagination at the heart of true experience and therefore cognition.

In the Sartrian sense, image is understood as a presence of an absence. This absence may be familiar or unfamiliar, known or unknown but through the work of imagination, underlining our confrontation with works of art, it becomes a presence and therefore a reality. Works of art grasp our interest by calling on, but not being limited by our knowledge of their referent. In fact, this presence of absence, which Gadamer

calls vividness (Gadamer, 1977: 157-170) does not refer to a specific image that could be reproduced in words. Instead, it refers to the flux of images that arise as intuitions, through the actual work involved in making sense of as well as finding sense in words; in the *being worked* by words and in the *seeing as* that the 'free play' of imagination essentially is.

> "It is this capacity of the 'art' of language to arouse intuitions in the imagination that establishes the linguistic work of art in its own right and makes of it a 'work' – like a kind of self-giving intuition – so that such discourse is capable of canceling or forgetting any reference to reality that discourse normally has." (Gadamer, 1976: 163.)

The negative moment (*i.e.* forgetting any reference to reality) that makes the play of imagination 'free' does not disconnect imagination from thinking. World and reality are bracketed, not escaped. Playing seriously does not mean escaping one's world into the world of the game as if these two worlds are and could remain independent from one another. In entering a game, one brings one's world along, *even if* willing to let it be played with; when exiting a game, one takes some of the world of the game along, *because* his world has been played with. The Gadamerian concept of *fusion of horizons* reveals that the free play of productive imagination is guided by the game and re-produces the player. It is *free* not in being haphazard but in being temporarily withdrawn from its preoccupation with the player's world; and it is *re-productive* not in reproducing the world of the game but in re-shaping the world of the player under the guidance of the play. How can this 'free' but 'guided' play of imagination account for a creation of meaning or the synthesis of 'images' that, prior to our encounter with a work, were neither included nor could have been anticipated by our experience (*Erlebnis*)? What does the work of imagination "at work in a work" entail? How is it related to what we conceive of as 'creativity?'

Attempts to account for productive imagination in terms of perception have been extensions of the realization that perception itself is a construction we rely upon based on verification by further encounters and reports from other observers. Empiricism used to hold that stimuli become percepts on the basis of earlier, recollected stimuli,

driven, even if unconsciously, by the Platonic idea of all knowledge as *recollection*. Theorists today argue that the formation of percepts involves categories of information that we utilize in different ways depending on context, rather than a mechanical replay of past experience or of timeless Gestalt patterns (Andrew, 1984: 33). Perception, in other words, consists of the interplay between supplied and constructed meaning and, as Goodman (1968) and Kuhn (1970) have shown, is governed by issues of adequacy, novelty, usefulness, and even rightness. To use Goodman's terminology, a representation is always a version of some world or other. And although it is not for us to insist on a real world against which all representations are pale copies, we are entitled to demand of a version to be better, richer, more instructive than an earlier version (Andrew, 1984: 51). It is this understanding of reality and truth in terms of adequation that Aristotle alludes to when he claims that "things probable though impossible should be preferred to the possible but implausible" (Aristotle, 1995: 122-125).[14] Representations, therefore, demand a work of interpretation during which we must adjust ourselves to the meaning that seems proposed but is not completed in the presentation. This interplay between supplied and constructed meaning puts the subject neither in control of the object (whether natural, human artifact, or art) as in realism, nor at the mercy of it as in semiotics, nor in a state of uncertainty before its infinite possibilities as in deconstruction. Subjects find themselves in a state of active "listening" to a world, which they anticipate it might take shape and which, through each particular object, does take a certain shape (Andrew, 1984: 55).

The current epistemological approach to creativity relies on Artificial Intelligence models of thinking that, as is the case with chaotic mathematics, are at once deterministic, generative, and unpredictable. Crucial to generative models is the mathematical modeling of concepts such as representation, analogy, conceptual space, and experience, in ways that permit the models' self-renewal. Boden's survey of the area concludes that, whatever 'imagination' may be it cannot be separate from reason (Boden, 1996: 289). Her review includes no equations, implying that there may be little

[14] The reference spreads over 4 pages because the sentence occurs at the change of a page, in an edition that includes both the Greek text and the English translation.

we can learn from mathematical models of creativity, even in cases where they have successfully produced original and interesting results. The examples addressed (*e.g.* Kekulé's discovery of the benzene ring, or Schoenberg's introduction of the 12-tone system) rely on conceptual rather than mathematical explanations of representational models, in an approach that is fundamentally phenomenological.

For a more rigorous phenomenological reflection on creative imagination one may turn to Ricoeur's theory of metaphor where the examination is shifted away from psychology and towards language. Gadamer pointed towards this direction at the end of his article on intuition (Gadamer, 1986: 169-170), where he essentially recognized that the metaphorical use of language provides an example of the creation of something truly original without the need for a genius (as in Kant), or a μανία (*i.e.* ecstatic possession by spirits, as in Plato). An 'image' that could have never been anticipated by Kant's reason, arises as a thought, through language. The power of language to bring experience to being rather than simply articulate it has already been recognized by Aristotle in his *Poetics*.

> "[T]he plot should be so structured that, even without seeing it performed, the person who hears the events that occur experiences horror and pity at what comes about." (Aristotle, 1995: 72-75.)

How is this possible? How can imagination create an experience through language?

> "Words acquire meaning *only* in sentences (…) [L]exical entities have merely potential meanings in virtue of their potential uses in typical contexts. [169]
> The decisive moment of the explanation of a text is the construction of a network of interactions that constitutes a context as actual and unique. (…) [What is meant by] interaction is the intersection of semantic fields that produces meaning in a semantic event. (…) [In metaphor,] it is the purposive creation of semantic discrepancy that leads from an apparent predicative impertinence to a new predicative pertinence. [172]
> [W]hen new metaphorical effects are drawn from lexical words, contextual action becomes a model for human action. [174]" (Ricoeur, 1981.)

For Ricoeur, metaphor is an explicit act of transgression in search for new meaning within a specific context, where it is the clash of semantic fields rather than the deviating use of isolated words that produces a predicative impertinence. While it

depends on a certain structure of nomination and predication, metaphor succeeds in creating meaning in a specific event of language. The emphasis is placed on the *event* of discourse rather than its structure, to indicate that a metaphor is reducible neither to its proper sense nor to some timeless process it exemplifies, because it has the ability to change the rules of the discursive game it helps initiate. Its meaning is neither simply substitutionary, nor irrecoverable in the unconscious. While it depends on rules, sense, and grammar, and while it rests on psychological preconditions, a metaphorical event in discourse expands the space of meaning and invites us to fill-in that space through interpretation (Andrew, 1984: 94, 166). The metaphorical process must be understood dialectically, since it is not a matter of a metaphor being drawn from the lexicon to respond to a certain psychic pressure but a matter of restructuring semantic fields in an event where imagination and language adjust to one another.

> "In order to respond to the challenge issued by the semantic clash, we produce a new predicative pertinence, which is the metaphor. In its turn, this new appropriateness, produced at the level of the entire sentence, creates, at the level of the isolated word, the extension of meaning by which classical rhetoric identified the metaphor. (…) [I]t is in the moment of the emergence of a new meaning from the ruins of literal predication that imagination offers its specific mediation." (Ricoeur, 1991: 124.)

The notion that imagination is 'at work' is illuminated when realizing that a metaphor is not just offered by the text or invented by the reader; it is the creative solution the reader offers to a problem posed by the text that requires the work of imagination. Metaphor is a way of restructuring a semantic field by taking up the challenge of explaining impertinence at the level of the sentence in order to restore pertinence at the level of the text; first by recognizing an 'improper' sign and then by 'seeing through it.' Pertinence is restored at the level of the entire text rather than of the sentence, because the work ultimately has to refer back to a world and a self, presenting them with an acceptable and useful alternative.

> "Why should we draw new meanings from our language if we have nothing new to say, no new world to project? The creations of language would be devoid of sense unless they served the general project of letting new worlds emerge by means of poetry." (Ricoeur, 1981: 181.)

Metaphorical statements issue their challenge through an intentional elimination in the text of the logical distance between previously remote semantic fields, inviting us to 'see' the similarity of signs through (and in spite of) their difference. The remoteness of semantic fields is not cancelled out in this process. On the contrary, each semantic field illuminates the other, revealing aspects of both that were previously inaccessible but now cooperate in the 'dialogue' between the text and the reader. Retaining the tension between predicative pertinence and predicative impertinence is crucial to the creative potential of both metaphor and art. It is this tension that puts imagination 'at work.' In the case of art, one such tension is present in terms of art's retreat from and return to the real. Habermas warns us of the dangers involved in not retaining this tension: art can become instrumentalized as propaganda (formalistic retreat from the real) or thoroughly commercialized (surrealist attempts to return art back to everyday life) (in Levin, 1990: 228).

The metaphorical process consists of *seeing* difference *as* likeness. The oscillation at the heart of all instances of *seeing as* is also at the heart of our fascination with works of art, which we alternately take as real (*i.e.* as introducing us to worlds we could inhabit) and unreal (*i.e.* as introducing us to worlds that we would not have even imagined had we not encountered them in art).

> "If one can speak of truth in relation to the work of art, it is to the extend that this designates the capacity of the work of art to break a path in the real by renewing the real *in accordance with the work itself*, so to speak. [173-174] For this [retreat from the real] to be possible, it [is] necessary that the signs [are] emptied of any external designation; only then [can] they enter into all sorts of imaginable relations with other signs; between them there is now a sort of infinite availability for incongruous associations. [176]" (Ricoeur, 1998.)

To paraphrase Andrew (1984:47), by taking our powers and aspirations for explanation, totality, and identification to the limit, works of art have the potential to effect the most drastic *epoché* or retreat from the real and reveal at once the value, work, and fragility of representation that establish art's cognitive and *real* relevance:

> "Let us not forget the twofold nature of the sign: retreat from *and* transfer back into the world. If art did not have, despite its retreat the capacity to come bursting into our midst, into our world, it would be completely innocuous; it would be struck with insignificance and reduced to sheer entertainment, it would

> be confined to a parenthesis in our concerns. (...) [T]he capacity to make a return into the world is carried to its greater intensity by the work of art, precisely because the retreat made here is infinitely more radical than in ordinary language." (Ricoeur, 1998: 175.)

As Heidegger argues,

> "What withdraws may concern and claim man more essentially than anything present that strikes and touches him. The event of withdrawal could be what is most present in all our present, and so infinitely exceeds the actuality of everything actual." (Heidegger, in Wurzer & Silverman, 1990: 180.)

It is the aspect of *work* in both, metaphors and works of art that supports the analogy between experiencing language and art. This analogy illuminates the workings of the productive imagination as well as the capacity of works of art to give us worlds, providing we accept their invitation to bring the worlds they propose to presentation. Bringing a work to presentation opens up a new space for exploration similar to that opened in language by metaphor. This is the crucial moment when we try out new ways of being, allowing them to become 'real' possibilities that change and enlarge our reality by embracing that of the work.

> "[A]ll art is concerned with coming into being, i.e. with contriving and considering how something may come into being which is capable of either being or not being . (Aristotle, *Nicomachean Ethics*, Book VII, in Hofstadterr and Kuhns, 1976: 83.)
> [T]his is why all arts, as productive forms of knowledge, are potencies (δυνάμεις); they are the originating sources of change in another or in the artist himself considered as other." (Aristotle, 1989: 432.)

We submit ourselves to art in order to listen to the analogies and resonances of the world, which the artist enclosed imaginatively within the structure of the work. Rather than being records of the world or collections of static structures, works of art are the expressions of the interplay among the worlds of the artist, the work, and the audience; the *structuring* that is guided by the structure of the work. Art creates worlds through the *work* this interplay entails.

> "[Art] does not consist in reproducing reality but in reconstructing the world of the reader in confronting him or her with the world of the work; and it is in this that the creativity of art consists, penetrating the world of everyday experience in order to rework it from the inside." (Ricoeur, 1998, p.173.)

This is precisely what Ricoeur's seemingly paradoxical idea of 'productive reference' (1991: 152), attempts to capture. Firstly, that art is *productive* of new experience in that it 'reworks' our horizons through the free play of imagination; that is, through bracketing the guidance of our effective history in favor of the guidance of the *play* that, brings a work of art to presentation. And secondly, that it is a *reference* in that it reworks experience 'from the inside,' based always on our particular situation (*effective history*) since, even though bracketed, this situation represents the basis from where horizons can be extended.

Each new experience owes its efficacy not simply in being new but in being relevant as well. The Greek term 'προαίρεσις' (Aristotle, 1979, *e.g.* Book VII) captures the productive tension between *freedom* and *situation/horizon* and reveals, I believe, this tension's strong ethical dimension. *Prohairesis* can mean *bias*, *intention* (*i.e.* situation), but also *option*, *choice* (*i.e.* freedom). The tension inherent in this term does not mean simply that our options (freedom) are bounded by our biases (situation.) More importantly, it means that our choices (freedom) are guided by our knowledge that they represent those options we are going to have to live with (our future situation.) It is a question of doing the right thing at the right time in the right way, making art a question that concerns the potential of humanity for excellence or *αρετή* (Watson, 1990: 97). Philosophical investigations on the world-making potential of works of art can only hope to show that this potential is a possibility. Whether we will act to make this a *real* possibility is a matter of choice, or rather duty since, regardless of what we believe, works of art will keep making worlds, but maybe not ones that we should be in.

> "Rationality is only one mode of understanding, constructing, and responding to reality. And if it castrates sexuality, philosophizes religion or sterilizes art, our lives are as impoverished as the world we inhabit and express." (Andrew, 1976: 244.)

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Kelli Vastelle Randall
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Title of Submission: Black Women Writers in the Age of Realism

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Abstract:

Black Women Writers in the Age of Realism

At present, there is no identifying tradition or literary movement in place for African American literary production during roughly 1890-1900. The nadir (1870-1900), a historical term used to refer to the lowest point of the post-Reconstruction era for African Americans, is the closest term, if any, that we have for African American literary production during this era. The nadir reflects a period of intense writing activity and productivity by black women writers Anna Julia Cooper, Frances E. W. Harper, Pauline E. Hopkins, Emma Dunham Kelley, Mrs. N. F. Mossell, Ida B. Wells-Barnett. This conference paper will explore the active influence that Harper, Hopkins, Dunham-Kelley's novels of the Black Woman's Era had upon American realism. All of these black women writers are not connected in terms of genre, tradition, focus, or even time; part of this project will be to explore the relationship between these women and the social, political, and cultural work they do as writers, feminist activists, and realists. Setting these black women's novels into conversation with the traditional realist texts

they have never been set in conversation with before written by William Dean Howells, Mark Twain, Henry James, Edith Wharton, and Kate Chopin, to name a few, changes the way we think about realist fiction and the American literary realist period in terms of its aesthetic value and institutional authority.

Harper, Hopkins, Dunham-Kelley were both aware of and accepted their important roles as agents of democracy and realism promoting social change and uplifting the race. Moreover, these women do an important cultural work relevant to the entire American nation: they speak and write out against the forms of oppression that have come to define the parameters of gender, race, sexism, and white patriarchal authority on the American scene. The implications of these black women's social constructions of the realities their works represent suggest that they do not necessarily position themselves as contributors to the tradition of American literary realism as we know it, but claim their cultural authority to own and disseminate "the real" or "reality" by taking their own public roles in the mass markets of literary production. Their texts, determined by the social conditions within which they were produced, also shaped American culture and the political struggles therein. While their works are cultural artifacts shaping the social conditions they enter, these black women's texts, tools and weapons of social change, did not just simply mirror, but aimed to change society. Understanding of their important role as creative, literary artists and agents of democracy, these black women knew that it was their responsibility to raise democratic consciousness and to press for movements of social change. If nothing else, these black women writers' texts show the direct relationship between realism and democracy. They understood their responsibility in uplifting the race through the potential social and

political works their writings could do. Furthermore, their textual discussions confront issues of democracy and equality and sexism and racism that traditional realist writers, in their discomfort and uneasiness, could only hint at, but never fully explore.

ABSTRACT: PAPER TO BE PRESENTED AT THE HAWAII CONFERNCE ON ARTS AND HUMANITIES, JANUARY 13-16, 2005.

TITLE: CELSO CESARE MORENO: RASCAL, REBEL, OR REFORMER?

Celso Cesare Moreno served as prime minister of Hawaii by appointment of King Kalakaua from August 14-18, 1870. A total of five days. This is but one improbable episode in Moreno's picaresque career. Born in Dogliani, Piedmont, in March 1836; he died March 12, 1901 in Washington, DC. Little is known about his antecedents, but he attended the naval academy of the Kingdom of Savoy, fought with a Piedmontese regiment in the Crimean War, was wounded, purchased a vessel with which he carried on trade between Genoa and Asia. He married the Sultan's daughter, instigated a rebellion against the Dutch, fled to the mainland of Asia and traveled widely which served as the basis for his small book, *America's* Interest *in Asia* (New York, 1869).

In 1868, he is in the United States and tries to sell an island in the East Indies of which he claims to be discoverer and owner. He fails to make the sale, but succeeds in establishing the Trans-Pacific Cable Company, with the assistance of such as Leland Stanford. The company is chartered by the Congress, to establish telegraphic communication between Shanghai, Honolulu, and San Francisco, but it comes to naught.

Moreno next proceeds to Hawaii seeking a subsidy for the enterprise, becomes a confidant of the king, and briefly prime minister. Commissioned by the king to oversee the education of three Hawaiian youths (including Robert Wilcox, who becomes an important figure in Hawaiian politics), they make a triumphal tour of Europe, being received by monarchs, writers, and other prominent personages.

Returning to the United States in 1880, he resumes his crusade against the "enslavement" of Italian immigrants In the preceding decade, he was instrumental in the passage of the Moreno Act 0f 1875, which prohibited the immigration of the "little slaves of the harp." He became a familiar figure at the Capital, lobbying for the restriction of immigrant contract labor and for a trans-Pacific telegraph cable. He testifies before Congressional committees, writes numerous letters to Italian and English-language newspapers, and is accepted, by some, as an authority on immigration, Asian affairs, particularly Hawaii, and other subjects. Congressmen introduce several bills conceived by Moreno. In his writings, Moreno accuses the Italian Ambassador and consuls of being accomplices of the *padroni*. In 1895, he is sued for

criminal libel, found guilty, and sentenced to ninety days in jail. Not to be silenced, the following year, he publishes *History of a Great Wrong. Italian Slavery in America* (New York 1896), a collection of his writings and other documents on the subject.

In my paper, I will elaborate on the various phases of Moreno's famous (or infamous) career, and confront the question posed by its title.

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November 16, 2004

Gender Neutrality and Gender Specificity: Do 'Queer,' 'Girl,' and 'Straight' Really Mean Something Else?

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Where else on television but on Bravo's "Queer Eye for the Straight Guy" would cell phones be viewed as a fashion accessory -- with a lisp? This paper does not answer that question, nor does it even attempt to reproduce the lisp. However, in the last hundred years, many homosexuals, some heterosexuals, some women and a lot of gender-benders -- among others -- have taken the word "girl" from its origins as a neutral noun and turned it into, you guessed it, a neutral noun. Based on the theories of Lakoff, Schultz and others, as well as on results of a survey assigning random words to gender categories, this paper takes those words from the ladies, lobs them to the gentlemen, and wonders what all the fuss is about.

Globalization and Religion: Some Implications

*Dr. R.B.S.Verma

The emergence of post-industrial society has brought myriad changes in all the domains of life and sub-systems of the society which can be noticed from the script of life to the organization of economy and discourse of politics, a vast restructuring is taking place (Bell: 1973;Block: 1987). Economic restructuring has led to the 'industrialization of America'; political restructuring has led to the breakdown of consensus regarding the welfare state and social democracy and has given rise to new forms of work arrangements. It has broken down the stability of individual life based on occupation and employment (Buchman: 1989; Giri: 1993).

Globalization

It has been argued that globalization is not a new phenomenon and that it has been occurring throughout history. Only its form has changed over different historical periods:

I. In the pre-modern period (pre 1500 C.E.), it was seen in inter-regional and inter-civilization encounters and political as well as military empires, world religions as well as migratory movements of nomadic groups, the steppe people and of farming societies. They were key agents of globalization.

II. In the early modern period (1500-1800 C.E.), rise of West, which included the historical process producing the emergence and development of the key institutions of European modernity, the acquisition of technologies and power resources that had exceeded to those available to any other civilization and the subsequent creation of European global empires was regarded as key agent of globalization.

III. In the modern period (Circa 1850-1945), global networks and flows accelerated tremendously in its earlier phase which provided enough opportunity to Western powers to exploit these innovations and establish Western global empires resulting into making globalization extensive, intensive and socially significant.

IV. In the contemporary period (from 1950 onwards), globalization was shaped profoundly by structural consequences of Second World War and emergence of a worldwide system of nation-states, overlaid by multi-lateral, regional and global systems of regulation and governance. This era also experienced extra-ordinary innovations in the infrastructure of transport and communication and unparalleled density of global governance and regulation (Held et. al 1999: 414-30).

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In the present era, globalization (including the globalization of the economy) is stated to be at the height of internationalization of human activities speeded up by technical instruments and it has transcended all barriers- territorial, ideological, economic, social, political, ethnic, racial and religious. It can be labeled as one sign, among others, of a changing civilization in the forms of modifying cultures and habits, reshuffling cards of power, intelligence and capacity for initiative and demanding the use of wholly new mental patterns, particularly ones that refer to social organization (Brunswick and Danzin: 1998:99).

The Concept of Globalization

The concept of globalization is being frequently used but most delineations of the concept very rarely offer its clear-cut meaning. However, the Balckwell Dictionary of Sociology (1995) described globalization as a 'process in which social life within societies is increasingly affected by international influences based on everything from political and trade ties to shared music, clothing styles and mass media'.

Different scholars tend to assign a wide variety of meanings to this concept. For instance, globalization refers to 'the intensification of worldwide social relations which links distant localities in such a way that local happenings are shaped by events occurring many miles away and vice-versa (Giddens: 1990); involve a situation in which peoples, cultures, societies and civilizations previously more or less isolated from one another are now in regular and almost unavoidable contact (Beyer: 1994); flow of technology, economy, knowledge, people, values, ideas across borders (Knight and De-wit: 1997:10); 'simply the intensification of global inter -connectedness which implies that goods, capital, social-institutional relationships, technological developments, ideas readily flowed across territorial boundaries' (McGrew quoted in Tomlinson: 1999:20); the transfer, adoption and development of values, knowledge, technology and behavioural norms across countries and societies in the different parts of world (Cheng: 2000:156); both to the comparison of the world and intensification of consciousness of the world as a whole (Robertson: 1998:8).

Summarizing multiplicity of meanings of globalization available in the literature, Asie Kacwicz (1999: 3) concluded that globalization is (i) the intensification of economic, political, social and cultural relations across the border; (ii) the historical period (or historical epoch) launched since the end of cold war; (iii) the transformation of world economy epitomized by anarchy (literally defined) of financial markets; (iv) the triumph of US values through the combined agenda of neo-liberalism in economic and political democracy; (v) an ideology and an orthodoxy about the logical and inevitable culmination of the powerful tendencies of market at work; (vi) a technology revolution with social implications; (vii) the inability of the nation-states to open with global problems that require global solutions such as demography, ecology human rights and nuclear proliferation.

Operationally, globalization in the present context refers to:

(a) International flow of goods, capital, labour, services and information;
(b) Globalized production, marketing, technological as well as information networks,
(c) Economic interdependence through mutual cooperation and collaboration between countries specially in the areas of trade, technology, labour and internal capital flows;
(d) Multi-cultural integration and use of international standards and benchmarks leading to universal homogenization of ideas, culture, values and even lifestyles; and
(e) de-territoriazation and villagization of the world.

Religion

Religion is one of the main support systems of society since attitude of man toward nature at large, establishment of ideals for the individual and communal lives as well as mutual human relationships are the concerns of religion. Religion tries to attain these ideals by exerting an educational influence on tradition and through the development and promulgation of certain easily accessible thoughts and narratives (epics and myths) that are apt to influence evaluation and action along the lines of accepted ideals.

In this way, religion is being considered as a system of belief and practices found in every culture, which mainly formulates the conception of relation with his environment. The various ceremonies, rituals and observances are used as a via media with the supernatural forces. This aspect brings the members of the groups closer to each other almost to a condition of solidarity. Further, from religion emanates authority since religion enables man to differentiate right from the wrong. However, the spiritual aspect of religion is related with intellect because it is argued that religion is a matter of faith and intellect, since faith sizes only that which is first grasped by the intellect. Religion is not wholly imperceptible or abstract but also visible and concrete in its manifestations. Thus, in practice, a religion is a particular system or a set of systems, in which doctrines, myths, rituals, sentiments, institutions and other similar elements are interconnected (Encyclopedia Britannica 15th Edition: 1997:509).

Broadly speaking, the functions of religion are:

(i) Serving directly to manage emotions of man such as fear, anger, awe uncertainty etc. as in Malinowski's theory that religion is 'great anxiety reliever' (1965:71). For instance, the prayer provides a feeling of security.

(ii) Helping to reduce anxiety over unjust situations as well as regulating the allocation of moral responsibility between self and others.

(iii) Expressing and maintaining the sentiments or values of society which makes social life possible because religion acts as a unified system of beliefs and practices relative to sacred things, that is to say things apart and forbidden – beliefs and practices which unite into one single moral community (Emile Durkheim: 1912, Trans. Swain, J.W.: 1915).

(iv) Explaining the unexplainable such as belief in witchcraft provides an explanation of misfortunes as well as belief in Evil Eye (essentially the belief in the power of the eye to harm) probably one of the oldest religions constructs which offers ready explanation for the causation of mental illness, disease, crisis, famine and death.

(v) Standing for the uplift of human character, for the sense of decency and shame, for righteous conduct, for the conceptions of duty, for the promotion of unity among people, for the feelings of peacefulness, for hope and joy and, last but not the least, it represents the voice of human conscience.

To conclude, it can be maintained that the nexus between religion and society has been very close with wide, complex, intricate and elaborate ramifications and the main function of religion is to celebrate and sustain the norms upon which the integration of society depends (Emile Durkheim endorsed by English Anthropologist Radcliff Brown: Geertz: 1968: 402).

Globalization and Religion: Interface

Religion has been one of the bases for social transformation both at the level of people's everyday lives and at the national level and it is as the most fundamental means of organizing human life. Consequently, the seeds of globalization could be found in religion itself and some scholars have suggested that the idea of globalization was put forward by the 'hyper-globalization' of some religions such as Catholic Church that supported the idea of the world as one place (Hopkins, et al: 2001: 1 and 4).

It may be further argued that Christianity and Islam, which were both derivatives of the Abrahamic faith, became universalizing religions and most effective globalizers because of their claims that the world was created by a single God and that humanity was a common force of existence in relation to that God (D'souza, Leela: 2003:64-65). Thus, it can be presumed that both the process of globalization and religion have affected each other. Because of the introduction of commercialization as well as capitalism a change in the nature of religion and

local custom and tradition has also affected nature of business of the Western corporations. The interface between globalization and religion has brought forward various kinds of debates in the social science literature.

Secularization of Societies: More or less

There is a debate on the issue whether societies became more secularized or less secularized due to the process of globalization. Explaining secularization, Jose Cosnova mentioned three of its aspects (i) secularization as differentiation which means that it takes place when non-religious spheres of life (such as the state and economy) become separate from and independent of religion; (ii) secularization as a decline of religious beliefs and practices which takes place when fewer individuals take part in religious activities or hold religious beliefs; and (iii) secularilization as privatization in which religion stops playing any part in public life and does not even try to influence how politicians make decisions or individuals in society in general choose to live their lives (Haradamlios and Holborn:2000:493).

Proponents of more secularilization of societies put forth the following arguments:

1. Secularization in the modern world meant that traditional religion was now primarily the concern of the individual and has, therefore, lost much of its public relevance (Parsons: 1966:139; Berger: 1973:133; Luckman: 1967:103; and Bellah: 1970:43).
2. The prime characteristics of modern societies are institutional differentiation and pluralistic individual identities. Secularization was the consequence of the relative independence of these initial sub-systems of society from religious norms, values and justifications i.e. religion now has a limited legitimizing role in a highly differentiated society (Beyer: 1999:373-374).
3. Global society is characterized by a clash between particularism involving an emphasis on distinctive characteristics of a particular group and universalism involving an emphasis on similarity between people or societies or values that result from their common humanity. Here, as sub-system of global society religion has no role to play since without global role, religion tends to be left merely to deal with personal questions.
4. The modern man with his vast scientific knowledge and control over physical nature tends to view religion as a matter of his personal beliefs about the relation with an unseen power or powers so as to guide his inner life spirit and mind. He shares with primitive man his psychological need for religion as a prop and source of strength in times of stress and strain and in moments of emotional crisis such as those of deaths and disaster. But his religion is not the basis of social or political organization. The sources of his laws are secular. His science, economics and aesthetics are controlled by factors outside the religion.

5. Disintegration of traditional social fabrics and shared norms resulting into altering of power relations including religion due to the rise of consumerism, cyber culture, new fangled religions, etc.
6. Unification of religions since free flow of trade under the process of globalization enhances religious tolerance.
7. The process of globalization speeded up migration of people from one place to another forcing them to take an adaptanist view towards the tradition and culture of host place.

Arguments in favour of less secularization or non-secularization of modern societies have been:

1. The sub-systems of globalization and modernity such as global economy, global science and global political system offer little in the way of identity for the individuals and groups resulting into the creation of some problems which can be solved with the help of religion since individuals and social groups can use religion to give them a central source of identity.
2. According to the thesis of Niklas Luhmann, globalization of society while structurally favouring privatization of religion, also provided fertile ground for the renewed public influence of religion i.e. religion not only retreated from important aspects of local life, it also developed an institutionally specialized system of its own. By public influence, he meant that one or more religions could become the source of collective commitment, and collective action in specific religious norms now became legitimate (Beyer: 1999:373).
3. Popular images of "globalization" stress its economic and political character, specially the global reach of transnational corporations that are shifting power away from states- and thus from citizens- and its efforts to control their own fates. In these images, religious organizations respond to globalization, sometimes by supporting anti-global movements (e.g. anti-WTO, neo-fundamentalism, etc.) (Jim Spickard: 2001).
4. Disintegration of various social support systems such as family, neighborhood, friend circle, etc. due to the fast changes introduced in the social fabric forced individuals to fall back upon for moral and social support of religious activities.

The Resurgence of Religion

The public insurgence of religion in most advanced societies has taken place in spite of the predictions of the prophets of modernity that with the march of time religion would lose its significance, and if at all it persists, it will only be as residue of individual lives, as an aspect of personal faith (Giri: 2004:323). Peter Beyer (1999) also concluded that globalization will not lead to the demise of religion. Samuel P. Huntington also sees greater role for religion in modern world. According to him, "the world is becoming a smaller place. The interactions

between peoples of different civilizations are increasing. These increasing interactions intensify civilization consciousness" (1993). In this theory, the groups are civilizations rather than nation-states or religions as such. However, there are often close relationships between religions and civilizations. Huntington believes that there will increasingly be clashes between civilizations because as people define their identity in ethnic and religious terms, they are, likely to see an "us" vs. "them" relation existing between themselves and people of different ethnicity or religion. Geographical closeness increases the likelihood of clashes to try to mobilize support. He declared that most of the conflict in the world could now be related to religious division rather than political ones.

Anthony Giddens, while expressing his view regarding high modernity and religious revival, felt that religious symbols and practices are not only residues from the past a revival of religion or more broadly, spiritual concerns seems fairly widespread in modern societies. Zygmunt Buamann also supported Giddens when he stated that there is increased inflexivity in the contemporary world and this poses problems for individuals. Furthermore, he argued that there is religious revival due to the problems faced by individuals in modern societies.

To sum up, it can be argued that globalization not only accelerated the process of emergence of new religious movements and the awareness that the religion could not be abolished, it also led to religion taking on a new character i.e. movements of both religious revival and religious activitism (Mondieta: 2001: 46).

The following arguments are given for the religious revival and religious activitism:

1. Enhancement in the significance of religion because developed countries have been using the major religions of the world as purveyors of their globalization agenda with unprecedented flow of funds, especially in developing countries (Radhakrishanan: 2004:1403).
2. Increase in migration of people which has religious implications in the forms of expansion and establishment of religious faiths from one place to another place leading to pluralization of religions and desire to maintain religious identity ignites this process because religious identity is being used as a protective shield against the onslaught of globalization, which was marked by entry of integrated market systems and which came along with a variety of commodities, values, beliefs and styles of being.
3. Alteration in traditional religions and belief systems in order to achieve global identity of religion.
4. Conversion of conventional religion into computerized religion in which philosophy and ideals of a particular religion can be expanded through internet, television, etc. and rituals can also be performed from far flung places with the help of internet.

5. Religious saints are being attracted for becoming global gurus (teachers)/preachers by involving themselves in conducting social service activities such as building homes for poor, establishing hospitals, and educational institutions, etc.
6. Augmenting wealth and resources of religious centres by providing an opportunity to expand their activities from local to national as well as international level i.e. beyond the place of local worship.
7. Increasing the number of people in the society who choose these religious centres for getting moral and social support in their day-to-day lives.
8. Transmigration of traditional religions and belief systems due to the process of globalization sometimes evokes religious protests against global movement resulting into extremism, fanaticism, fundamentalism and even terrorism.
9. Expansion of religious activities beyond the place of worship has resulted into mushroom growth of religious centres as well as self styled super god men, priests, saints, etc. making sacred religious activities as business and commercialized activities.
10. Introduction of information technology in the field of religious activities and opportunity to earn money from these activities have resulted into unhealthy competitions in terms of religious rivalry and conflict and giving an opportunity for exploitation of religions for implementing the global agenda by some countries.
11. Destabilizing governance especially in developing countries by spreading dissent and rebellion by flowing funds through religious channels.
12. Strengthening religion in the country, in that contact with businesses and entrepreneurs of different backgrounds and faiths can only help to loosen the country's restriction on practice of faith.

To conclude, it can be maintained that resurgence of religion is one of the forms (regionalism, linguistic and cultural assertion, tribal and ethnic loyalties, attachment to local community) of political response to economic globalization.

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Los Angeles Spanish Koine: Mexican and Salvadorian Contact

1. Introduction.

In this paper I discuss Los Angeles Spanish Koine. I will address its development, detail who speaks this variety and will provide an overview of general traits of two Spanish dialects. I will then evaluate the hypothesis posed by Parodi[1] (2001), based on the behavior of an individual who speaks this vernacular[2].

1.1 El Salvador

El Salvador, located to the south of Guatemala and to the north of Honduras, is a country in Central America that achieved independence from Spain in 1821 and from the Central American Federation in 1839. A 12-year civil war, which cost the lives of some 75,000 people, was brought to a close in 1992 when the government and leftist rebels signed a treaty that provided for military and political reforms. This civil war brought about heavy emigration--many of whom immigrated to the United States.

1.2 Mexico

Mexico, located to the south of the United States and to the north of Guatemala, is a country in North America which achieved independence from Spain in 1810. Immigration to the United States steadily increased from the 1960's to the present--where many citizens fled in search of better economic opportunities.

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[1] Natives and descendants from El Salvador will acquire the Los Angeles dialect, which is a leveling of various Mexican vernaculars, replacing typical Salvadorian phonological and lexical characteristics of their own speech with that of the Mexican idiom.

1.3 Language and Demographics

Spanish is the principal language of both El Salvador and Mexico. Additionally, both countries have several indigenous languages, Mayan and Nahuatl being the most prevalent for Mexico, and Nahua in El Salvador.

As stated above, both Mexicans and Salvadorians have immigrated to the United States in search of better economic opportunities. While Hispanics can be found throughout the United States, there are particularly heavy concentrations located in New York, Florida, Illinois, Texas and California. The following table, according to the 2000 census, shows the breakdown for the 32.8 million Hispanics living in the United States[3]:

origin	Number	percentage
Mexico	21,680,800	66.1%
South and Central America	4,756,000	14.5%
Puerto Rico	2,952,000	9%
Other	2,099,200	6.4%
Cuba	1,312,000	4%

The Ethnic Quilt provides the most current facts on the greater Los Angeles area [4] (Allen and Turner, 1997)

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[2] This paper stems from Claudia Parodi's ongoing research project that evaluates Spanish dialect contacts in greater Los Angeles.

[3] This information was taken from the website: http://www.census.gov/population/socdemo/hispanic/p20-535/p20-535.pdf

[4] Allen and Turner (1997) use figures from the 1990 census. In their later book (2002), which uses figures from the 2000 census, the breakdown is not as complete; hence I chose to use these figures which aptly demonstrate the ethnic breakdown in Southern California.

origin	Number	percentage
Mexico	3,751,278	83%
El Salvador	274,788	6%
Guatemala	139,650	3%
South America	122,850	2.73%
Other Central America	86,215	1.92%
Puerto Rico	62,008	1.37%
Cuba	57,864	1.28%

Results from the 2000 census reported that approximately 38.5% of the inhabitants of the Southern California Consolidated Metropolitan Statistical Area (CMSA)[5] are Hispanic or Latino—that is, roughly 4.5 million people.

2. Rationale.

2.1 Dialectal Variation

Since the majority of Spanish-speakers in Los Angeles are from Mexico, the Spanish spoken in Los Angeles has been influenced by the vernaculars of these individuals. However, although most speakers in Los Angeles come from Mexico, they come from diverse parts of Mexico and, therefore, have distinct dialects. Hence, Parodi and Santa Ana (2001) propose that Los Angeles Spanish is a koine, or a product of the leveling of the different dialects from Mexico to a variant distinct to this area.

2.2 Highland and Lowland Spanish

[5] The Southern California CMSA is comprised of LA, San Bernardino, Orange and Ventura counties.

Undeniably, the variety of Spanish spoken by Mexicans is distinct to that variety spoken by Salvadorians. However, one must take into account the amount of dialectal variation within a country as well. Nonetheless, many linguists have established that Spanish can be categorized into two varieties: Highland Spanish and Lowland Spanish[6] (Lipski, 1994).

Highland Spanish	Lowland Spanish
1) s → [s] very tense	1) s→ [h/Ø] / _____C or #
2) n→ [n] no change	2) n→[ŋ] /_____ #
3) x → [x^h]	3) x→ [h] (all contexts)
4) y→ [y/λ]	4) y→ [j] /V___V
5) Does not exist in this variety	5) Ø→ y / _____a día →díya This is also found in N. Mexico
6) bdg→ [β,d,γ] (weak fricatives) stops b, d, g are pronounced as fricatives intervocalically and before or after consonants (except nasals)	6) /b,d,g/→[b,d,g] /_____ C(h) stops b, d, g are pronounced after a consonant, especially before/after an aspiration
7) pt, bs, ps → pronounced as is	7) pt, bs, ps, [kt, ks] aksoluto, acekto
8) a, e, i ,o, u ($v_{-stress}$)→Ø/ ___S	8) o→ o(closed) / ____ #

For the purpose of this paper, Salvadorian Spanish will be classified as Lowland Spanish and Mexican Spanish as Highland Spanish. From the above information, one can ascertain that these two dialects are at different ends of the spectrum. In addition to the

[6] Lowland Spanish is the variety of Spanish that most closely corresponds to the Andalusian dialect. Highland Spanish is the variety of Spanish that most closely corresponds (but not *completely*) to the dialect

indicated phonological traits, Salvadorian Spanish has distinct lexical and morphological traits, which will be addressed below.

3. Hypothesis.

When Spanish-speaking individuals from other countries arrive in Los Angeles, they encounter a variety of Spanish that preserves significant aspects of Mexican Spanish which differ from that of other countries. El Salvador has characteristics that differ from Mexican Spanish. Salvadorian Spanish possesses traits associated with Lowland Spanish, while Mexican Spanish possesses traits associated with Highland Spanish. With the development and prevalence of the koine, other dialects, Salvadorian for example, have little or no impact on the vernacular of this region. Moreover, one could presume that other dialects would steadily adapt, through exposure and contact, their peculiarities to conform to the dominant form. This paper is a part of an on-going project that intends to observe the above said phenomenon and decide if the Salvadorian community has indeed adapted its dialect to the Los Angeles koine.

Los Angeles has its own dialect of Spanish, Los Angeles Spanish, which is a leveling of various Mexican vernaculars. Moreover, natives and descendants from El Salvador will acquire, over time and generations, this dialect, replacing typical Salvadorian phonological and lexical characteristics of their own speech with that of the Mexican idiom.

4. Methodology

4.1 Questionnaire

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of Castile. As indicated, Lowland Spanish Dialects share many of the same phonological traits, as do

The questionnaire used in this investigation was developed by Parodi in order to establish if Salvadorian informants have lost certain phonological and lexical dialectal traits--and consequently prove the above hypothesis correct. Certain sections of the interview illicit free responses, others educe controlled responses. The six-part interview was recorded/conducted in a controlled environment: a private office, the work place of both the interviewer and interviewee[7].

4.1.1 Demographic Questions.

In this section, I elicited personal information in order to establish my informant's socio-cultural and educational level, as well as her place of work and civil status. Additionally, I posed questions to find out if my informant had traveled to El Salvador.

M: ¿Y en que año naciste?
and in what year were-born-2sg

In what year were you born?

E: Nací en el 1974.
Was-born-1sg in the 1974.

I was born in 1974.

M: ¿Estás trabajando ahora?
Are-2sg working now

Are you currently working?

E: Sí, trabajo por, umm, *Childrens Hospital of Los Angeles*. Y
yes, work-1sg for umm Childrens Hospital of Los Angeles and

tengo ya tres años de estar trabajando allí.
have-1sg already three years of to be working there

Highland Spanish Dialects.

[7] Fortunately, at the time of the interview I had known the informant for nearly three years, so this facilitated the interview and made for a stress-free environment.

Yes, I work for, um, Childrens Hospital of Los Angeles. And it's already been three years that I've been working here.

4.1.2. Open-Ended Questions.

Open-ended questions were asked in order to have the informant conduct natural, free-flowing speech.

M: Háblame de tu niñez… ¿qué recuerdos tienes?
Talk to me about your childhood what memories have-2sg

[¿Fueron malos o buenos?]
[were-3pl bad or good]

Tell me about your childhood...what memories do you have? [Are they good or bad?]

E: Ok, let me see. Siempre vivía con mi mamá.
Ok, let me see. Always was living-1sg with my mom
Ok, let me see. I have always lived with my mom.

M: Y vivían allí en Hollywood? [¿Cómo fue tu barrio?]
and were living-3pl there in Hollywood. [how was your neighborhood]

And you lived in Hollywood? [What was your neighborhood like?]

E: Ok, vivía una cuadra…oeste? No. no es oeste, una cuadra sur
Ok, was living-1sg one block… west no no is west, one block south

de Hollywood Boulevard sobre el intermedio de la Gower y la
of Hollywood Boulevard on the in between of the Gower and the

Bronson. Y *um*…en un edificio… en esa cuadra yo viví por 17 años.
Bronson. and um…in a building…on that block I lived for 17 years

Y… conocí a todos que vivían allí en el edificio que
and…met-1sg prep all that were living-3pl there in the building that

yo vivía, vivía mi madrina y su hijo y mi
I was living-1sg was living-3sg my godmother and her son and my

tío *so* era como que yo tenía dos mamás.
uncle so was-3sg like that I had two moms

Ok, I lived one block…west? No. It's not west, one block south of Hollywood Boulevard about between Gower and Bronson. and um, in a building, in this, block, I lived for 17 years. And...I met everyone who lived there in the building where I lived, my godmother lived and her son and my uncle lived there so it was like I had two moms.

4.1.3. Word List.

This section uses drawings of everyday items and common adjectives in order to see if the respondent will reply with a Salvadorian term, or if s/he will provide the Standard Spanish or Mexican Spanish variety. If no Salvadorian word is elicited, the informant is given the Salvadorian variety at the end and asked if s/he is familiar with these terms. The purpose is to test an active, passive or any knowledge of the Salvadorian lexicon.

M: ¿Cómo se le llama a la persona que nunca
how reflexive –pron clitic calls-3sg prep the person that never

se baña y es vulgar en su manera de vestirse?
himself bathes-3sg and is vulgar in his/her way of to dress oneself

What do you call the person who never bathes and is vulgar in his/her way of dressing?

E: Un cochino.
a pig

A pig.

M: ¿Cómo se le llama a una persona cuando tiene
how reflexive –pron clitic calls-3sg prep a person when has-3sg

la piel muy blanca?
the skin very white

What do you call a person who has very white skin?

E: Un güero, chele.
a fair-haired, white-haired

A “light-skinned” person.

4.1.4 Hierarchy.

As mentioned above, Salvadorian Spanish boasts a morphological trait that is quite distinctive to that of Mexican Spanish: *'vos*[8]*'*. This second-person-singular pronoun is equivalent to the Standard Spanish pronoun *'tú'*. As was discovered in the course of this study, my informant does use 'vos', but only with other Salvadorians[9]. This issue will be addressed below.

M: ¿Cuándo lo dices tú?
when it say you

When do you say it (vos)?

E: Con mi novio yo le hablo, con todos mis amigos yo les
with my boyfriend I to him speak, with all my friends I to them

hablo de vos. Y con mi novio *hey* mira vos bicha *like* vos es
speak prep vos. and with my boyfriend hey look you snake like vos is

como tú.
like you.

With my boyfriend I use (it), with all my friends I, use vos.
And with my boyfriend,'Hey you, look you' Like "vos" is like "tu".

M: ¿Y hablas con Checho alguna vez?
and speak-2sg with Checho some time

And do you ever use it with Checho (a Mexican)?

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[8] As a rule, Mexican Spanish does not use this pronoun. All of Central America is to some degree *voseante* (Lipski, 1994), as is Argentina, Uruguay and Paraguay. *Voseo* is also widely used in the municipalities of Colombia, Venezuela, Ecuador and Bolivia.

E: Ummm, en veces le digo vos, pero no se me sale,
Ummm, at times to him say-1sg vos, but no reflex-pron to me goes out-3sg

like me sale más con mis amigos salvadoreños.
like to me goes out-3sg more with my friends Salvadorian

Uhhh, sometimes I call him 'vos' but it doesn't come out, like I use it more with my Salvadorian friends.

4.1.5 Pronouns and Possessives.

This section has the interviewee role-play, in order to elicit whether or not Salvadorians use resumptive pronouns. In addition, it tries to elicit the respondents' use of a typical Mexican Spanish dialectal trait of doubling possessives. These traits are not traditionally found in the Salvadorian dialect and hence, if used would further support the hypothesis that the Los Angeles koine dominates.

M: ...¿Qué palabras usa para decirle a Luis con mucho
what words use-3-sg for to say-to him prep Luis with much

detalle que los cubiertos azules son suyos y de nadie más.
detail that the covers blue are his and of no one more

...What words (would the mother) use to tell Luis with many details that the blue silverware is his and no one else's.

E: Ok. "Ok, Luis no puedes tocar los otros tenedores o cucharas
Ok. Ok, Luis no can-2-sg touch the others forks or spoons

porque vos estás enfermo y yo no quiero Zane y Nelson
because you are sick and I no want-1-sg Zane and Nelson

se vayan a enfermar. So por favor usa
themselves are going-3-pl prep to become sick so please use-3-sg

los tuyos aquí te los voy a poner en un esquinita,
the yours here to you them going-1-sg prep to put in a corner-dim

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[9] Lipski (1994) found that in El Salvador the pronoun *vos* implies *'confianza'* (confidence) and it is the pronoun of choice to demonstrate camaraderie.

y yo lo voy a lavar y cuando termines los
and I it going-1-sg prep to wash and when finish-2-sing them

vuelves a poner donde los encontrastes y no más usa
return-2-sg prep to put where them found-2-sg and no more use-2-sg

estos, los azules, los tuyos."
them, the blue, the yours"

Ok. "Ok, Luis you can't touch the other forks and spoons because you are sick and I don't want Zane and Nelson to become ill. So, please use yours here, I'm going to put them in the corner, and I'm going to wash them and when you finish, put them back where you found them and only uses these ones, the blue ones, yours."

Emilia did not use any resumptive pronouns nor did she double her possessives. She did, however use 'vos' when referring to the child in the role-play, thus reinforcing her earlier explanation of only using 'vos' with her Salvadorian friends and/or family.

4.1.6 Language Attitudes.

This section poses direct questions about the attitude of the dialects of Spanish that exist, or if the speaker is even aware of these differences.

M: ¿Hablan distinto los salvadoreños y los mexicanos?
speak-3-pl different the Salvadorians and the Mexicans

Do Salvadorians and Mexicans speak differently?

E: Sí. Tenemos diferentes palabras. *Like* ellos tienen diferente acento
yes. have-1-pl different words like they have different accent

diferente cantado, *like* la manera que ellos hablan.
different tone , like the way that they speak-1-pl

Yes. We have different words. Like they have a different accent, a different tone, like the way that they speak.

M: ¿Quién habla mejor?
who speaks-3-sg better

Who speaks better?

E: Hablamos diferente nadie creo que es mejor. Yo creo
speak-1-pl different noone believe-1-sg that is better. I believe

que es diferente no más.
that is different no more

We speak differently I don't believe that anyone is better. I believe it's only different.

5.0 Informant's Data

5.1 Overview

In the following sections I will discuss my informant's dialect, paying particular attention to her phonological traits, lexical choices, pronunciation of loan words, the different sociolinguistic registers, and use of '*voseo'*. I will end by discussing her linguistic attitudes about Los Angeles Spanish.

5.2 Biographical Information

Emilia Arcala[10] was born in 1974 in Hollywood, California. Both of her parents are originally from El Salvador; her mother was born in Santa Ana and her father was born in Sensuntepeque Cabañas. Emilia completed through the eleventh grade in high school, obtained her GED, and completed two years of college. Emilia has visited El Salvador three times: at 12, 16 and 18 years of age. Emilia grew up in Hollywood, mostly around other Salvadorians. Her boyfriend of four years is Salvadorian, and mostly speaks Spanish with him. Most of her friends are Salvadorian, however she does work with several Mexicans. Emilia is very comfortable with me and, having conducted interviews herself, had no problems answering any part of the questionnaire.

5.3.0 Pronunciation

[10] For the sake of privacy, I will call my informant Emilia Arcala.

In the following sections I will discuss specific phonological characteristics of my subject. Although Emilia Arcala sporadically utters traits that are atypical to the Los Angeles koine, her vernacular can be classified as Los Angeles Spanish. I believe this is due to the fact that even though the family members she grew up around were Salvadorians, their presence was not strong enough to counter balance the dominate dialect in the Los Angeles area. Her speech does not have the traits most characteristics of Salvadorian speech: aspiration of /s/ and /x/, velarization of /n/, weakening of /y/, epenthetic /y/, lack of pronunciation of the phonemes /b,d,g/, nor does she reduce the consonant clusters pt, bs, ps, kt or ks. Moreover, she does not eliminate unstressed vowels, all of which, as aforementioned, are highland traits.

5.3.1 Absence of the aspiration of /s/

Emilia neither aspirates nor loses /s/ in word-final position or at the end of a syllable, as the majority of Salvadorians: [ka'sas] → [ka'sah] or [ka'sa] for 'casas' (house). Although Emilia did aspirate one time during the hour and fifteen minute interview, aspiration does not typically characterize her speech and she consistently produced this sound in accordance with Mexican Spanish. For example:

Vendía **calcetines**… was selling-1sg socks	[kalseti'nes] not [kalseti'neh]

I sold socks…

...hace cuatro **años**. makes-3sg four years	[a'njos] not [a'njo]

It was four years ago.

5.3.2 Absence of the aspiration of /x/

The phoneme /x/ (orthographically "j", "ge" and "gi") does not aspirate in Chicano Spanish, but it does in the Salvadorian variety. Emilia pronounces this phoneme as [xh] as is typical of the Chicano variety and not [h] as in Salvadorian Spanish. The absence of this feature is demonstrated in the following examples:

¿Cuándo **dejé** la escuela?
when left-1sg the school [de xhe'] not [de he']

When I left school?

era mi primer **trabajo** [traba'xho] not [traba'ho]
was-3sg my first job

it was my first job

5.3.3 Non-velarization of /n/

Typical to Los Angeles Spanish, Emilia does not velarize /n/ at the end of words or in syllable final position. For example:

con	quien	también		
[kon]	[kien]	[tambien]	not	[koŋ'] [kieŋ'][tambieŋ']
with	who(m)	too		

5.3.4 Non-weakening of /y/ in Los Angeles Spanish

Emilia occasionally weakened or even completely eliminated /y/, but the occurrences were mostly the third person singular pronoun 'ella', pronounced [eia] or [ea]. This only occurred intervocalically, and elsewhere there was not a reduction. The following examples demonstrate this phenomenon:

español **callejero** [kayexhe'ro] not [kaexhe'ro]
Spanish street

street Spanish

para **ellos** [eos] not [eyos]
for them

5.3.5 Non-epenthetic /y/

My informant did not add an epenthetic /y/ between [e,i,a], which is a trait typical of Salvadorian Spanish. For example:

Vendía was selling-1sg	[bendi'a] not [bendi'ya]
fotografía photography	[fotografi'a] not [fotografi'ya]
judía Jewish	[xhudi'a] not [xhudi'ya]

5.3.6 Lack of pronunciation of the phonemes /b,d,g/ after a consonant

This trait, typical of Salvadorian Spanish, was not present in Emilia's speech. She consistently produced the stops as fricatives (see table in *2.2*):

es **brusco** is-3-sg brute he's a brute	[es ßrus'ko] not [es brus'ko]
es **de** Guatemala is-3-sg from Guatemala she's from Guatemala	[es δe gwatema'la] not [es de gwatema'la]

5.3.7 Non-reduction of consonant clusters pt, bs, ps, kt or ks

Typical of Los Angeles Spanish, Miss Arcala does not produce any acoustic weakening of the consonant clusters pt, bs, kt, or ks—which occurs regularly in Salvadorian Spanish. Below are two examples of her speech:

acepta accepts	[acep'ta] not [akcek'ta]
absolutamente absolutely	[absolutamen'te] not [aksolutamen'te]

5.3.8 Weakening and Loss of atonic vowels

The weakening and or loss of atonic vowels before /s/ is a characteristic of Central Mexican Spanish. My informant does not possess this characteristic:

antes before	[an'tes] not [an'təs]
casas houses	[ka'sas] not [ka'səs]

5.4 Vocabulary

In the following sections I will discuss the vocabulary of Emilia. The strong presence of Chicano words further proves her to be a speaker of Los Angeles Spanish.

5.4.1 Words of Salvadorian origin

When I asked my informant to identify the drawings (re: *4.1.3*) she sometimes produced lexical terms that are most common in Los Angeles Spanish—as opposed to Salvadorian words (given in parenthesis). For example,

calabaza (for ayote) squash	bananas (for guineo) bananas	tecolote (for cometa). kite

More often, Emilia would give both the Mexican and the Salvadorian term, respectively:

pastel de cumpleaños, keike birthday cake	güero, chele a fair-haired, white-haired
apretado, socado tight	cuchillo, corbo knife

Three times she produced a unique Salvadorian lexical term:

guacol sac	hiede smells bad	pacha bottle

Of the three above lexical items, only the latter term was said with ease and without trepidation; Miss Arcala seemed to have a bit of difficulty uttering the former two. Her knowledge of '*pacha'* could be attributed to her having a child. Overall, I would

conclude that her knowledge of these Salvadorian terms is more passive than active. Yet, it is important to note, which will be further demonstrated below, that she is indeed bi-dialectal—whether or not her vocabulary demonstrates this fact.

5.4.2 Words of popular or rural origin

There were two examples that further indicated the subject's exposure to the Los Angeles koine. Emilia used certain indicators that are characteristic of rural speech. Moreover, a large part of the immigrants to the Los Angeles area are from rural areas, and as is well known, language change is gradual in these areas, hence, archaic forms are more prevalent (cf. Parodi 1995 for Old Spanish). The following terms were used in the interview:

onde (for donde)	encontrastes (for encontraste)
where	you found

The above archaisms, which are evidence for the remnants of Old Spanish, are rather stigmatized among monolingual Spanish speakers. However, in Los Angeles Spanish, these traits are more widely accepted.

5.5 Borrowing and Code-switching

Throughout the interview Miss Arcala used loan words from English. Her pronunciation of these words varied, but most were pronounced in English. Sánchez differentiates between code-switching and borrowing: "the latter involves taking a term from another language and adapting it to one's own grammatical system, phonologically, morphologically, syntactically or semantically. Where the two systems are maintained as distinct entities but juxtaposed within the same discourse, we have a case of code-shifting" (140, 1983). The following sections further discuss borrowing, or angliscisms, and code-switching.

5.5.1 Borrowing

Sánchez states "maintenance of English phonological and morphological rules in shifts constitutes code-switching rather than borrowing" (140, 1983). Miss Arcala most often pronounced English loan words in English (noted in bold type below):

> …era trabajando en el **swap meet**…
> was-1sg working in the swap meet
>
> …I was working at the swap meet…

> En **high school**…
> in high school
>
> in high school…

> …me dice que quiere un perro chiquito, un **baby**
> to me says-3sg that wants-3sg a dog little-dimin a baby
>
> …he tells me that he wants a small dog, a baby

However, there were three examples of anglicisms pronounced with a Spanish accent present in my informant's speech:

bloque *cuadro*	[blo'ke]
marqueta *mercado*	[marke'ta]
tiquet *boleto*	[ti'ket]

Parodi (YEAR) affirms loan words, or anglicisms, are integral part of every day Chicano Spanish lexicon. The presence of these terms in Emilia's speech can be attributed to her possessing the Los Angeles Spanish koine.

5.5.2 Code-Switching

My informant, self admittedly, alternates between languages, or code-switches. She has no problem communicating in Spanish, but I believe her to be English dominant as

demonstrated by her use of conjunctions, adverbs and fillers (cf. *5.8*) Emilia switches between languages most often intra-oration or within the same sentence:

¡Trabajé en el *concessions stand* vendiendo *hot dogs*!
worked-1sg in the concessions stand selling hot dogs

I worked in the concessions stand selling hot dogs!

Yo creo que la gente de *Hollywood* es, *um* ¡*unique*!
I believe that the people of Hollywood is um unique

I think that the people of Hollywood are, um, unique!

However, when speaking hypothetically to her child she demonstrates inter-oration code switching, or alternates between sentences:

El niño está chiquito que le tenés que tener cuidado. *It's a little baby*.
the child is little-dimin that to-him have-2sg that to have care. It's a little baby.

The child is little and you have to be careful. It's a little baby.

This may be due to the fact that her child does speak Spanish. She indicates in the interview that whenever she speaks to him in Spanish, he says he doesn't understand and she has to repeat it in English.

Emilia seemed more often to code-switch when referring to certain circumstances (i.e. jobs responsibilities, food items). Nonetheless, she did make it clear that she communicated solely in Spanish with her boyfriend and his friends.

5.6 The Americanism 'habían'

Prescriptively speaking, there is never any agreement with the direct object with the impersonal verb '*haber'* in Spanish. However, examples of agreement can be found throughout Latin America Spanish—regardless of socio-economic level. Consequently,

Salvadorians, Mexicans and Chicanos use this in Los Angeles—as did my informant when she uttered:

Habían unos negritos que vivían…
were-3pl some blacks-dimin that were living-3pl

There were some black people who lived…

Habían unos maestros que hablaban Spanish.
were-3pl some teachers who were speaking Spanish

There were some teachers who spoke Spanish.

...en mi cuadra habían como diez mexicanos.
on my block were-3pl like ten Mexicans

…on my block there were about ten Mexicans.

5.7 Semantic extension

As discussed in Parodi (CITE) Semantic extension is quite popular in Los Angeles Spanish. This phenomenon occurs when one transfers the meaning of an English word and applies it to the Spanish word. My informant used an example of this only once:

Estoy muy excitada → Estoy muy emocionada
I'm very excited!

The transference of this term, however inadvertent, lays further evidence to the claim that Miss Arcala has adopted the Los Angeles koine.

5.8 Conjunctions, adverbs and fillers

Jacobson (1977) maintains "hesitation pauses are common among speakers of all languages as the individual grasps for the appropriate word or words to complete his utterance…The English-dominant bilingual usually uses the English-speaking monolingual's hesitation vowel "uh" [ə] whereas the Spanish-dominant person instinctively inserts the Spanish-speaking monolingual's "este" [este]" (196, 1977).

My informant's conjunctions of choice are *so* and *well*; she also commonly uses *you know*. Furthermore, Emilia uses the English fillers *uh* and *um* almost exclusively—she used the Spanish filler *este* only one time in the 75 minute interview. Based on this evidence and her code-switching conduct (cf. *5.5.2*) I believe my speaker to be an English-dominant bilingual. This comes as no surprise since she was born and went to school in Los Angeles, California.

5.9 Language style and register

Cotton and Sharp (1988) discuss the complexity of register among Latin American varieties of Spanish (cf. Lipski 1994 for *voseo* in Latin America Spanish). True to form, my informant uses different registers a variety of ways. The formal register 'usted' is not only used with older individuals, indicating a sign of respect, but also with children:

> Mire papito este Ud. todavía no es cumpleaños. Tiene que
> look-formal-imper dad-dimin filler you yet no is birthday have-3sg that
>
> esperar se va a cumplir años y va
> to wait 3sg-reflex-pron going-3sg prep to fulfill years and going-3sg
>
> a ser su turno!
> prep to be your turn
>
> Listen honey, it is not yet your birthday. You have to wait, your day will come soon and it'll be you your turn!

She uses the informal register 'tú' with co-workers:

> Le digo, " pero tú eres colombiano y yo soy salvadoreña."
> to him say-1sg but you are Colombian and I am Salvadorian
>
> I tell him "but you are Colombian and I'm Salvadorian."

Likewise, she uses 'vos' when speaking to children:

> Le digo 'hacé caso ya te dije!'
> to him say-1sg take notice already to you said-1sg

I tell him "pay attention I already told you!"

Emilia Arcala prefers using 'vos' with other Salvadorians with whom she feels comfortable. She is aware of the distinction between Ud. , *tú* and *vos* and readily says she would not use the latter with the mother of a friend.

5.10 Attitude about Spanish

My informant had a very open mind towards Spanish and language in general. She was aware of the different 'cantado' (intonation) that her Mexican and Guatemalan friends have, and also pointed out the differences in vocabulary. She didn't believe that any one variety was better the other. She was aware that certain individuals had a more "proper" Spanish and referred to her own dialect as being more of the "street" or slang. She also spoke quite frankly about her code switching, indicating that she and her father speak this way and even at home she speaks this way with her child and boyfriend. She did not seem to harbor any negative feelings about the subject.

She describes her '*voseo'* use as being unnatural with non-Salvadorians and prefers using '*tú'* with her Mexican or Colombian co-workers. She also indicated that a foreigner should not use '*vos'* when traveling to El Salvador since in her opinion, it is something that should be used with only intimate friends and family.

6 Conclusion

My informant has acquired the Los Angeles koine since she was born and raised in the Los Angeles area. Emilia is English dominant but has a strong command of the Spanish language. As demonstrated via the word list and use of voseo, Miss Arcala is bi-dialectal, however, contact with her family and fiancé is not strong enough to override the strong phonological evidence that classifies her variety as Los Angeles Spanish

vernacular. As manifested in the above sections, my informant seems to support Parodi's initial hypothesis: Los Angeles has its own dialect of Spanish. Natives and descendants from El Salvador acquire Los Angeles Spanish and replace typical Salvadorian phonological and lexical characteristics of their own speech with that of the Mexican idiom.

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A. Title of the submission:

Mapping the Morphological Growth of a North Indian City: *constructing and understanding the Social, Legal and Monetary frameworks that have shaped the physical realm of Jaipur*

B. Topic area of the submission:

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Paper Title: Mapping the Morphological Growth of a North Indian City: *constructing and understanding the Social, Legal and Monetary frameworks that have stimulated three tracks of urbanization in Jaipur*

Abstract:

This paper chronicles the various phases during which the city of Jaipur has been built. The phases of physical growth are juxtaposed with the concurrent social, legal and monetary frameworks in a matrix form. Further, key stakeholders in each of the phases are identified and their roles analyzed.

The paper argues that the built-reality of Jaipur city demonstrates the dynamic ‘‘interplay’’ among these stakeholders (or the lack of it) in the corresponding phases of its built form. This dynamic ‘‘interplay’’ is manifested in the built reality of the city by virtue of a coherent and cohesive architecture during the initial phases (when the number of stakeholders was less) and a more frenzied and seemingly confusing architecture during the recent years (when the number of stakeholders are more). Further, the paper identifies three distinct “tracks” of the urbanization processes that have been at work simultaneously in the creation of the city.

Finally the paper concludes that the ‘‘architecture’’ of the built city and its planning, during various phases, unswervingly reflects the local social identities and values on one hand and the legal and monetary settings in which it has been conceived and constructed on the other.

International Conference: Arts and Humanities: Hawaii, Jan. 2005.

(a) Paper Title: Dynamism in Architecture:
Calatrava's Wings over Milwaukee Art Museum.
(b) Architecture
(c) 20 minute slide illustrated paper
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Abstract:

Calatrava publicly provides the leading edge of dynamism in 21st Century architecture. His buildings in Europe and USA carry structural sense and spatial sensibility. The tension between these two characteristics defines his poetic and technical identity in architecture today.

His worldwide creativity - from Athens to New York - from Valencia to Berlin belongs in the tradition of the great constructors - Maillart, Nervi, Candela, Torraja and Gaudi. With Calatrava we also feel the presence of Viollet-le-Duc and the emergence of biomorphic invention.

Calatrava's Milwaukee Art Museum is an urban project which combines typology with geometry and movement. In the process, Calatrava raises the profile of Milwaukee by connecting his glass reception pavilion with a cable-stayed pedestrian bridge, which links downtown Milwaukee to Lake Michigan and the Museum. In making these connections Calatrava works as an urbanist, and as a creative place maker.

Calatrava's glass and steel reception hall is quite the most poetic building in the USA! As an elliptical volume it is without exaggeration a jewel in light with a peopled presence. Above this pavilion (which is linked to a 1957 Saarinen building) is a spectacular kinetic structure - a brise-soleil sun screen - which actually ***moves.*** Constructed from 72 steel fins, this roof opens and closes, like the spreading wings of an albatross. While these wings provide a measure of heat and light control, they also provide a visual ballet on the waterfront.

My paper will also deal with the technical joint which shows how these wings move - which is one of the marvels of this building. Both poetically and technically these wings extend their arms to the city as a dynamic invitation to visit the art museum. At the same time this is a building for people, carrying all the symbolism of a human welcome. From Calatrava we learn that architecture is no longer a fixed isolated identity. Today Calatrava matches the dynamism of the 21st Century.

Dynamism in Architecture:
Calatrava's Wings over Milwaukee Art Museum.

Santiago Calatrava is one of the most prolific designers in the world today. All his work celebrates the dynamism of movement. As an engineer-architect he occupies a strategic position in the design of pylon bridges and towers, airports and stations, roofs and canopies, exhibition and sports centers, art galleries and cultural places (1) He did the main stadium at the Athens Olympics. Here he used large tubular steel arches which soar over the main Olympic stadium. If anyone deserved a gold medal at Athens, it was certainly Calatrava.

Calatrava's creativity - from Athens to New York, from Valencia to Berlin can be placed within the tradition of the great constructors - Robert Maillart, Pier Luigi Nervi, Felix Candela and Antonio Gaudi. With Calatrava we also feel the presence of Viollet-le-Duc, the place-making metaphors of biomorphism (2), and the materiality in light of Le Corbusier (3).

Trained as an architect in Valencia, and as an engineer in Zurich, Calatrava is a disciplined professional who defines his poetic and technical identity in terms of levitating dynamism. He builds beautifully in steel, as he does in superfine concrete. His work in concrete at Milwaukee's Art Museum is a tremendous step forward in the use of form work in America. In one stroke Calatrava raised the standard of concrete work to the level found only in Switzerland or Japan. At Milwaukee Calatrava had to teach the local carpenters and construction managers how to achieve the superfine surfaces he required. He even invited the managers to Zurich to drive home his perfecting message (4)

Figure 1

But to appreciate the genius of Calatrava one must first compare him with the car-makers of America. People like Walter Chrysler were quick to spot the change of a pace in contemporary life, between the static and the dynamic condition. He bought a skyscraper on the corner of Lexington Ave and 42nd Street New York in 1927 (5), and he encouraged his architect to redesign the top in such a way that the spire would pierce the clouds like no other building (6). As a poignant symbol of "the roaring twenties" glorifying the accelerated movement of midtown Manhattan, his architect designed a chrome nickel spire for the Chrysler Building (fig 1).

This spire rises triumphantly in seven pulsating arcs - sparkling silver in the morning - glowing in late afternoon sunshine; or at night, when the triangular windows are lit up - it reaches skywards in a blaze of agitated energy. One moment it looks like a silvery gamefish - the next moment a strident metaphor of New York's sun-bursting optimism, totally defiant as the capital city of the 20th Century.

The stand alone reality of the Chrysler tower is such, that however much its skin soars in sheer exultation this structure is ***fixed*** by the inertness of its steel frame. Eighty years on, Calatrava's wings opened over the reception hall of the Milwaukee art Museum. But now Calatrava's brise-soleil actually ***moves.*** This is the first building in America to pose the reality of dynamism as a workable idea in architecture. In one stroke Calatrava put Milwaukee on the map.

Calatrava's complex is built off the side of an existing War Memorial by Eero Saarinen (1957). Working as an urbanist, Calatrava lined the central axis of his reception hall with Wisconsin Avenue, the main street of Milwaukee. Here he combined the beauty of the lakefront with the economic vitality of the downtown area of Milwaukee. With this socioeconomic connection in place - mindful of the fact that the museum needed extra exhibition space - Calatrava provided a low linkage unit between the Saarinen and his reception hall. Calatrava made this connection an essay in energized movement using central and lateral galleries which are top and side lit. In cross-section his form is tapered low at the edges, with a rising crown at its apex.

Calatrava's position grew out of his Zurich dissertation: *On the Foldability of Frames* (1981). His Ph.D thesis investigated how frames might fold. Modeling this movement and the collapsibility of their parts, was like studying an umbrella being folded into a tube. Designing things which move was not a simple task. First, there is a problem in the visualization of the transformed shape. Second, is the technical question of making the parts of the structure move from one position to another. And finally this complexity must then be made stable (7).

The incorporation of these lessons of process and transformation - is essentially what Milwaukee's brise-soleil is all about. From start to finish the building took a decade of development. It was opened - too much applause in October 2001. This was Calatrava's first American building, and it cost 125 million dollars (8). Milwaukee was a famous Harley Davidson town, and Calatrava extended its technical and cultural reputation (fig 2).

Figure 2

Born in Spain (1951) around the time Le Corbusier was revising his design for the Chapel of Ronchamp (9). Unfortunately neither the Catholic Church nor Nikolaus Pevsner accepted the curvaceous challenge of Ronchamp, but this building certainly did not pass unnoticed with Calatrava's generation. Spellbound Calatrava used his doctoral thesis to unlock the limitless opportunities provided by use of ruled surfaces, which preoccupied Le Corbusier's postwar plastic research in painting.

At Milwaukee Calatrava did not act like a one-man prima donna. He began with clear respect for his client, the street scape, and the people living in Milwaukee and alongside Lake Michigan. Like all good professionals he walked the city center and sought in his mind's eye how to correct some of the isolated and bleak weaknesses of Saarinen's War Memorial. The lakefront was clearly a fun-place, and Calatrava sought to build upon this landscaped fact and make it more coherent with downtown Milwaukee.

Lake Michigan sets the scene for the public and the water garden park In the history of Milwaukee this area has always been associated with symbolism - even if it was somewhat disconnected from the city. To begin to correct this separation Saarinen built a War Memorial on a plateau at the northen end of the site, overlooking Lake Michigan. Although this martyr's memorial commemorated the war dead of Wisconsin, it was not Saarinen's best building. Cruciform in a plan, rectangular in section, it was built nearly as heavy and as inhospitably as an Egyptian tomb. While Calatrava did not ignore Saarinen's building, he was determined to move away from its rigidity, moving toward something more flexible and dynamic in its configuration.

While Calatrava had to connect his exhibition galleries to Saarinen's building, he kept these volumes low enough for citizens to be able to see over the top of them. In cross-section they taper from eleven meters at the top to six at the side. These spaces rise over the museum's underground car park, and gather energy like a wave rolling in from the lake. Stretching 134 meters along the lake front, they include a lecture hall, a tourist shop, with temporary exhibition areas and lateral sculptural galleries. These spaces connect directionally with the reception hall, using bleached-boned portals to connect with the reception hall (fig 3).

Figure 3

This is a classic Calatravian device which he also used in his TGV Station at Satolas, outside Lyon. This movement sequence - moving from a low to a high volume - is like experiencing the terror of an uncorrupted harmony greeting a Greek dawn. As a revelation in light its classical logic cannot be faulted.

Figure 4

But of all the cathedral-like spaces, the reception hall of the Milwaukee art museum is Calatrava's *cause célèbre* (fig 4). Arguably this is surely the most poetic space in America. Built as an egg-shaped ellipsoidal volume, its aural identity can be compared to a sparkling Mozart piano sonata - played with brilliant, bell-like notes - without the use of the pedal. Most visitors access this stimulating experience from Wisconsin Avenue across Memorial Drive. They pause on the cable-stay pedestrian bridge which is supported by an inclined pylon which extends the span to 73 meters. Standing at an incline of 48 degrees, a geometric arrangement of anchorage cables enables the mast to carry the load while accentuating the directional movement toward the reception hall.

Visitors who position themselves on the footbridge at lunchtime see the opening and closing of the 110-ton sun-screen, whose cantilevered steel fins provide the crowning glory to the glass-enclosed ceiling of the reception hall. In a three and half a minute cycle, a 90-degree rotation of the wingspan (wider than the wings of a Boeing 747) describes beautiful curves in tension. It is this visual ballet which challenges the mentality of the static condition in architecture (fig 5)

Figure 5

Initially Calatrava wanted to build these fins in carbon-fiber but the cost and the technical connecting problems proved to be too difficult. Steel was substituted. The fins were prefabricated in Spain and flown to America. Each wing is made up of 36 fins of varying lengths connected by steel spacers. The fins were then welded to connection pieces which are then bolted to round donuts with high strength bolts. These donuts are then welded to eleven pairs of actuators tabs which contain rotating splines on bearings. Movement of the wings is done electronically by the computer. It tells the motor pump to activate the hydraulic fluid, then the pump pushes hydraulic fluid into the cylinder, and it acts like a piston pushing against the actuator tab, which rotates the spline and opens the wings (10). These wings' fins are bigger in section than they look - varying from 40 cms at the tip, too almost a meter deep at the hinged connection. By day Calatrava uses the wings to draw people to and fro from the gallery. By night they are even more dramatic, for floodlit they signal their pope-like presence to the city and the world.

To appreciate the genius of Calatrava as a structural engineer, the best place to start is in the basement. Arriving by car, one immediately begins to understand how he builds symmetrically. Fifteen arched beams support the ceiling deck of the garage, and at the middle of their cross section, the arches curve downwards to an anchorage foundation with steel pins.

Surrounding these portals are the containing concrete walls, all beautifully formed, shaped smooth and painted white. Set below the level of the lake, this basement has all the nuances of an underground cavernous bunker. From the garage one can take the stairs or the lift to the exhibition floor (fig 6).

Figure 6

Arriving by the staircase, the visitor gradually emerges into a cathedral of light and into the fragility of an institution who has had to pay hard cash for quality. The *piano nobile* floor is Italian marble, and it shimmers and shines in an endorsement of hospitality - and the "clickatee clacks" of high heels (fig 7)

Figure 7

The curving walls of the reception hall beckon one forward toward the prow which overlooks the lake Michigan Overhead the elliptical ring beam provided a supporting base for the glass roof, whose A-frame mullions converge in perspective. Light floods into this volume, with directional shadows on the walls and floor. This reception hall beautifully conceals the bones of its structural integrity. As a plastic delight for the eye, this airy heaven gives not the slightest hint of the global terror of our times. This building was opened a month after the attacks of 9/11, when the range of diplomatic and military reactions began to provoke a reassessment of the values and ideals of the enlightenment (11). In this violent uprooting of traditional ways of life, while America lost the capitalistic citadels in lower Manhattan, Milwaukee provided a threatened nation with a poetic experience of flag-waving patriotism - honed to a standard of finish that America had never seen before (fig 8).

Figure 8

Poetic architecture is never easy (12). But the essential joy of Calatrava's "Wings on the Waterfront' is that he reminds us again and again - in concept, form and detail - of the legacy of the sublime in architecture. Calatrava never runs with the crowd. Indeed in all his work one sense's energy, creativity, and the will to push architecture toward a wonderful levitating sense of the sublime.

Engineers and architects work in plan, section and elevation. Sculptors do not. Calatrava is fond of freehand sketching and model making. This gives his architecture a certain spontaneity and spatial freedom. As a sculptor Calatrava challenges the limits of a possibility - like Le Corbusier jousting at windmills. As a planner Calatrava tends toward the simplistic, but then one remembers his technical dexterity is the result of using symmetry as a device for organizing structure in light.

With Calatrava it is refreshing to find an architect so much on top of his technical detailing. The combination of form-making and technical capacity is rare in architecture. Calatrava's clients called for the grand gesture, and he responded in an affirmation of democracy with a radiant sense of dynamism. Calatrava recast the workings of the entire museum. He shifted the public spaces out of the old building giving the art gallery much needed exhibition space. He caters for the grand occasion, and delights in building next to water. As an image maker Calatrava uses nautical energy - sails, planks, prows, angled masts, soaring-bird-forms. Using this typology, Calatrava matches Le Corbusier in visual dexterity. All his details are purpose driven. His plans may be simple, but he glories in section and in the round - and this independence of belief - marks his modernity.

Calatrava reminds us that the 20th Century made major advances in technology and mobility. From the model T Ford to the Lunar Module, from the Spitfire to the Stealth fighter-bomber invisible to radar signals the technological advancement of the last century. In this learning curve Calatrava focuses on the future, as he takes architecture from the static to the dynamic. Without exaggeration Calatrava carries the spatial drama of movement way beyond anything attempted before. For this very reason Calatrava's individuality and capacity for autonmous action commands American attention. In the last analysis his Pavilion for People represents a new catalyst of pedestrian engagement in the city. At the same time, as a constructor his modernity moves us all, while extending the sustaining dreams and the rationalist tradition of visionary Europeans.

Notes:

(1) (Ed) Anthony Tischhäuser and Stanislaus von Moos, *Calatrava: Public Buildings,* Birhhäuser Verlag, Basel, Boston, Berlin, 1998; Alexander Tzonis, *Santiago Calatrava: The Poetics of Movement,* Thames and Hudson, London, 1999.

(2) Hugh Aldersey-Williams, *Zoomorphic: New Animal Architecture,* Lawrence King Publishing, London, 2003

(3) (Ed) Russell Walden, *The Open Hand, Essays on Le Corbusier,* The MIT Press, Cambridge, Massachusetts, 1977; William Curtis, *Le Corbusier, Ideas and Forms,* Phaidon Press Ltd, London, 1986; Kenneth Frampton, *Le Corbusier, Architect of the Twentieth Century,* Harry Abrams, New York, 2002.

(4) Julie Lovine, "Building a Bad Reputation: Sloppy American Construction" *Sunday Times,* New York, 8 August, 2004, pp.26-28.

(5) Neal Bascomb, *Higher: A Historic Race to the Sky and the Making of a city,* Doubleday, New York, 2003.

(6) (Ed) Alexander Tzonis, *Santiago Calatrava's Creative Process. Part 1, Fundamentals, Birkhäuser, Basel, 2001, pp 33-156*

(7) Russell Walden Interview with David Gordon, CEO Milwaukee Art Museum, IST July, 2004.

(8) Le Corbusier, *The Chapel At Ronchamp,* Architectural Press, London, 1957.

(9) Russell Walden "Gender, Mysticism and the New Plasticity" in *Triumphs of Change, Architecture Reconsidered,* (to be published)

(10) Russell Walden Interview with Erwin van Dyck, Service Engineer, Milwaukee Art Museum, 2nd July, 2004.

(11) Giovanna Borradori, *Philosophy in a Time of Terror: Dialogues with Jürgen Habernas and Jacques Derrida,* The University of Chicago Press, Chicago and London, 2003, p.1 and pp 25-30.

(12) Poetic Architecture has positive and negative spin-offs. While poetic architecture at Milwaukee glories in reflected light in the galleries and the reception hall, it also contains "a structural violence that, to a certain degree we have gotten used to, that is, unconscionable social inequalities, degrading discrimation, pauperization, and marginalization" See Habermas, " A dialogue with Jungen Habermas" Op.Cit., 2003, p.35.

(13) (Ed) Mirko Zardini, *Santiago Calatrava Secret Sketchbook,* The Monacelli Press, New York, 1996.

Lynching and the Right to Live: How White Americans' Racial Violence Fits into our Civil Rights History

History

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Lynching and the Right to Live: How White Americans' Racial Violence Fits into our Civil Rights History

In recent years Americans have experienced a surge of interest in lynching. In addition to numerous monographs, articles, and documentaries, a photographic exhibit of lynching images collected by James Allen has traveled from New York to Atlanta and Mississippi, attracting considerable attention and generating a coffee-table lynching book. Despite this outpouring of scholarship, information, and horrifying visual display, history textbooks still treat racial violence incidentally rather than fitting it into an overall historical structure. My project is to understand lynching as part of the larger American experience and as part of African Americans' struggle for civil rights. This work follows publication of my book *The Many Faces of Judge Lynch: Extralegal Violence and Punishment in America* in 2002.

My goal is to reshape both how we see lynching and how we see the opposition to civil rights after World War II. Most scholars writing before World War II understood mob violence as evidence of a basic flaw in the American constitutional system. Lynching was popular sovereignty run amok. After World War II, we typically reverse focus. After 1945, many Americans see the enemy of civil rights as states rights run amok. Perhaps the best example of this is the scholarly reception that greeted C. Vann Woodward's great book *The Strange Career of Jim Crow*. Many saw Woodward's work as arguing that state government actually created segregation. (Woodward denied this.)

Lynching (in all parts of the country, racial and nonracial) articulated neighborhood sovereignty. I will argue that white racism emerged from villages and communities, from the grassroots, and flourished in a system that celebrated white male individual rights against all government sovereignty, state and federal. The real enemy of civil rights was not, in fact, the state governments. Persisting racial violence documented how deep the problem of racial prejudice ran, right into the whites' communities and neighborhoods.

The paper is based on extensive research into available lynching records, but also archival data held by southern state governments. It touches many disciplines in the arts and humanities outside history. I look forward to interaction with academicians and professions from fields other than history.

Title of Submission: ***Scottish Freemasonry, 1725 – 1810: Hierarchy, Power and Politics***

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Paper Abstract

Modern Freemasonry emerged in Britain during the first half of the eighteenth-century, combining tradition with central cultural features of the age. As Freemasonry evolved and changed, it brought together earlier stonemason customs and methods of organization and the popular passion for clubs and societies. Although by no means unique in its ideology and constitution, Freemasonry established itself as a prominent fixture in British communal and social life.

Some mocked Masonic lodges and their rituals, but they were an accepted feature on the social scene and, given that they avoided political and religious discussion and swore loyalty to the existing regime, their position was uncontroversial. With the advent of the French Revolution, though, fears of subversion from societies of all sorts that had secrets and required oaths inevitably grew. As a result, legislation was passed which attempted to regulate the societies and eradicate any traces of secrecy. Despite its commitment to the establishment, Freemasonry came under suspicion.

This paper will discuss how Scotland's freemasons were affected by legislation against clubs and secret societies and how they reacted to it on an individual and national basis. Through the study of thirteen Masonic lodges across Scotland and England, including their histories, records, and minutes, I will examine how Scottish Freemasonry changed between the years 1725-1810. My research shows that lodge conflict, financial distress, and political issues were present within the lodges and increased in magnitude as the eighteenth and

nineteenth-centuries progressed. Central to lodge disturbances were the formation of the Grand Lodge of Scotland in 1736, the French Revolution, The Unlawful Oaths Act of 1797, the Unlawful Societies Act of 1799, the Maybole Masonic Lodge Trial for Sedition and Treason of 1800, and the Masonic Secession Hearings of 1808.

PROCEEDINGS SUBMISSION

HAWAII INTERNATIONAL CONFERENCE ON ARTS AND HUMANITIES

Title: "Portraying Liberation: Capoera and the Image of Slavery in Johann Moritz Rugendas's *Jogar Capoera* Lithograph"

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It is the first day of class. An eager new student of the art of capoeira approaches his master, the revered man who over the course of the next few months or years will teach him this almost balletic Brazilian martial art. The master offers his hand for a friendly handshake to welcome him to class; when the student reaches out to accept the gesture, the master unleashes the *bênção*, a fundamental capoeira kick that sends the student tumbling to the floor. Amid the laughter of his classmates, the student learns the first lesson of his study: never trust anyone's outward actions, even those of the master himself. The *Bênção*, or "blessing," is believed to hearken back to the origins of the art form in colonial Brazil, when black plantation slaves were expected to parade past the home of their white master each evening after a hard day of labor in the sugar or manioc fields to ask for his blessing, usually given.[1] The move highlights the hypocrisy of the slavery system, in which "the slaves were very aware that the master who was blessing them today could flog them tomorrow" (Lewis 1992, 31), and one had always to be constantly vigilant to avoid punishment. This oral tradition rests within a rather extensive popular mythology that has developed around capoeira, a highly popular practice that today involves elements of dance, martial art, song and musical accompaniment, narrative performance, and comic interaction between participants. It has been described as a "theater of liberation" (Lewis 1992, 13) and as "a delicate balance between domination and liberation" (Lewis 1992, 5). Most scholars and practitioners of the art today take for granted that it developed out of the complex social system that arose with the institution of slavery in colonial Brazil. The general theory, supported even by Gilberto Freyre, one of the seminal twentieth-century historians of early Brazil, argues that capoeira developed to help slaves rebel in order to

escape the absolute control of their masters—the slaves, purportedly only taking part in a harmless dance ritual, were in fact secretly training to fight. One oral tradition associates capoeira with the quilombo of Palmares, the most successful and largest community of escaped slaves established in Brazil. Supposedly Zumbi, the last 'king' of Palmares, was a capoeira master—positing an image of a vast army of men capable of incapacitating their enemies with their bare hands, and explaining the community's successful resistance. This particular theory is probably false, as no contemporary accounts mention capoeira-like activities when describing battle tactics, and Palmares rebels used guns when available[2]. Still, the association between capoeira and slavery is inextricably intertwined with modern practices: capoeira clubs and academies are named after terms derived from the life of slaves, the most commonly used uniform imitates the field hand slave attire of white pants with no shoes (Lewis 40-1), and song lyrics that accompany the performance often include allusions to slavery[3].

The lithograph *Jogar Capoera ou Danse de la Guerre*, published from a sketch by Johann Moritz Rugendas in 1835 (Fig. 1)[4], is one of only two surviving images depicting capoeira before the twentieth century, and it is the only work that specifically identifies it as such. Upon viewing this work within its context, a publication that describes life in Brazil particularly for the European viewer, a natural question developed for me: does the image have a level of meaning that upholds the modern construct of capoeira's history? That is, was the image intended by Rugendas or viewed by his audience as a statement of anti-slavery beliefs? Is the highly unusual depiction of the capoeira event significant here, in view of its rareness among the vast corpus of writings and art produced by the throngs of Europeans publishing travel accounts of Brazil in the nineteenth century? Or should *Jogar Capoera* be evaluated in terms of more typical art historical readings of Brazilian travel images, which emphasize interest in

exoticism and romantic orientalism; the documentary impulse of naturalism, to record inhabitants of foreign countries alongside of plants, animals, and landscapes; or an imperialistic "taking stock" of possessions by a colonial power? Additionally, how does this image fit within the oeuvre of Rugendas, his training, and his influential contacts in Parisian intellectual circles? I hope to explore these issues through an analysis of Rugendas' life, the program for his *Voyage Pittoresque* publication, comparisons with other images in the book, contemporary history of capoeira in Brazil, and visual interpretation of the *Jogar Capoera* image.

Johann Moritz Rugendas was born in 1802 into the Rugendas family in Augsburg, a famous artistic family stretching back four generations to the patriarch, Georg Philip Rugendas, a famous engraver and painter of battle scenes in the 1680s.[5] Johann Moritz began to study art early, when he was only four years old, and was encouraged by his father, who was also an artist known for his engravings of Napoleonic battle scenes. He studied painting in Munich first under the tutelage of the painter and friend of the family Albrecht Adam, and then at the Munich Academy from 1817. However, Rugendas was discontented by his experiences at the Academy, where teacher Johann Peter van Langer urged him towards classical painting as espoused by the Nazarene school. Instead, Rugendas was more interested in nature, and he often took time to wander the Alps, sketchbook in hand. In 1821, a golden opportunity offered itself that would change the course of Rugendas's life. It was in that year that the naturalist Baron Georg van Langsdorff arrived in Munich seeking artists for his Russian-sponsored expedition to record the botany and landscapes of Brazil.[6] The Langsdorff expedition was not the first of its kind, as Munich had possessed close relations with Brazil since 1817 when the princess Leopoldine von Hapsburg married Emperor Don Pedro of Brazil. There had already been an Austrian expedition involving Thomas Enders, whose drawings Rugendas saw in an exhibition in Vienna. Intrigued

by the proposition and his own interests in drawing from nature, Rugendas offered his services to the Baron von Langsdorff and was contracted as the expedition's artist. While serving with the Russian expedition in Brazil, Rugendas executed many drawings of local vegetation and stayed for several months at Langsdorff's plantation, Mandioc, where he was in close contact with his 200 slaves. In 1824, Rugendas abruptly broke away from the expedition due to personality conflicts with the Baron, taking with him several drawings he had created between 1821 and 1824, including, according to Langsdorff's journal, "a sketchbook of studies of day-to-day Brazilian life, containing, for example…Brazilian batuque dancing" (Monteiro and Kaz 1988, 43). This reference to drawings of dancing might indicate a possible date for Rugendas's *Jogar Capoera* image prior to 1824. After splitting from the expedition, Rugendas continued on his own in Brazil, traveling the provinces while making his home base at Rio de Janeiro until he was called home in 1825. He would later return to spend most of his life in South America, documenting Mexico, Chile, Peru, and Brazil.

On his way back to Augsburg in 1825, Rugendas traveled through Paris, where he encountered his highly influential mentor, Alexander von Humboldt. Humboldt was a naturalist with his own history of travel in Brazil who admired Rugendas' work. The two corresponded frequently, and Humboldt included sketches by Rugendas in a reprint of his work and introduced Rugendas into high intellectual circles.[7] It was during this period of his life, just after his return from Brazil and prior to publication of his lithographs, that Rugendas came into close and continual contact with leading French abolitionists. Humboldt himself was anti-slavery. In his 1825 *Voyage de Humboldt et de Bonpland*, he described slavery in Cuba as "the greatest of all the evils that have afflicted humanity" (Ades 1989, 302, n. 6), and he attended salons held by the duchesse de Duras, who wrote the French novel *Ourika* that espoused sentiments sympathetic to

blacks.[8] Additionally, while in Paris, Rugendas met Abbé Gregoire, a radical abolitionist who was active in the Société des Amis des Noirs and who held deep convictions that blacks had equal moral qualities (Richert 1959, 17; Honour 1989 bk. 2, 82). When in 1827 Humboldt finally managed to arrange a publisher for Rugendas's work at Engelmann, it was Benjamin Constant, a leading member of the Societe de la Morale Chretienne. This French abolitionist movement of the 1820s advocated black freedom but held to a more socially conservative worldview, advocating class harmony and never accepting the full equality of blacks with whites (Slenes 2002, 164). Therefore, while we have no specific evidence from his own writings of Rugendas' views on slavery, it is likely that the abolitionist views of his friends and particularly of his much-esteemed mentor, Humboldt, influenced his thinking on the subject. In addition, *Voyage Pittoresque* itself asserted that Brazil had at this time "the dishonorable privilege of being the only country in which, as a matter of fact, the slave trade continues without let or hindrance (Honour 1989 bk. 2, 144). Although the book's text was not written by Rugendas himself, it was commissioned from his close friend Huber, with whom Rugendas shared rooms and adventurous nights on the town while he lived in Paris. This close relationship also increases the possibility that the anti-slavery sentiments of the author were shared by the artist and carried over into his drawings.

Although the process of publication began in 1827, Rugendas' *Voyage Pittoresque* did not hit the market until 1835. The book consists of 100 lithographs divided into sections: 1) Brazilian landscape, 2) portraits and dress, 3) manners and customs of the Indians, 4) European life, and finally 5) manners and customs of the blacks. This final section is most significant for our current purposes, as it follows the progression of a slave's life in Brazil, including scenes of the middle passage, arrival of slaves, the slave market, domestic life, labor over coffee, manioc,

and sugar, domestic and public punishment, dancing and festivals, and completing the book with a slave funeral.[9] The book's text follows the images in sequence and offers commentary without explicitly referring the reader to the engraved plates at the back of the book. Several of these images have been interpreted in the past as anti-slavery. In his 2002 article, "African Abrahams, Lucretias and Men of Sorrows: Allegory and Allusion in the Brazilian Anti-slavery Lithographs (1827-1835) of Johann Moritz Rugendas," Robert W. Slenes suggests a program that envelops the first and last images (Figs. 2 and 3), suggesting that blacks, once Christianized, would inherit the new Canaan, Brazil. On the whole, I find his allegorical reading of the lithographs to be a bit of a stretch, particularly his determination that one female represented a Lucretia figure taken from a relatively obscure book that there is no evidence Rugendas ever saw. However, I am in accordance with Slenes concerning the general theory that the progression of Rugendas' lithographs represents an attempt to humanize slaves through images of Christianity and family. The first image, *Negres a Fond de Calle* (Fig. 2), displays the plight of the slave during the crossing from Africa to the new world, focusing on Africans as human figures with emotions ranging from despair to resignation, as can be seen in the two female figures at the far right who cover their faces in horror/despair or shrink away from the white men with their gruesome burden of a dead slave. Slenes points out the Christological associations present in this image, including the cross formed at the very center by the intersection of the mast and deck, along with the dead slave's particular resemblance to figures of the deposed Christ. Similar references to the Christianity of the slaves can be seen in the last image of the series, *Enterrement d'un Négre á Bahia*" (Fig. 3), where the slaves' moral conformity with the religion can be seen in the cross carried at the head of the funeral procession and the three black figures who prayerfully descend to their knees at the cortege's approach. Similarly, *Habitation de Négres* (Fig. 4) portrays the

domestic life of slaves in Brazil, showing the familial relations of which slaves are capable through the central couple and the baby who reaches for them with arms outstretched. It also dispels the presumption of slavery's defenders that blacks are lazy through depictions of obviously industrious slaves at work. Overall, Slenes reaches the conclusion that, while Rugendas does not make any radical political statements, he does display a mild abolitionism that attempted to position blacks as humans with moral capability in order to confound contemporary notions that they were an altogether different type of creature from whites.

How then are we to view Rugendas's *Jogar Capoera*? Should it be placed in context with his abolitionist connections and the anti-slavery emotional appeals present in the other images in this section of the book? The caption identifies the scene as "capoera play, or dance of war," significantly situating the image from the outset as both playful dance and some form of combat. But does it necessarily identify white slave owners as the target of the combat? As the title indicates, capoeira was and is an act that spans genres. Today it involves songs, chants, and berimbau music; however, although the evolution of the event is difficult to trace in detail, it appears that it was originally primarily accompanied by drums and handclapping (Fryer 2000, 27), as in Rugendas's image. The lithograph depicts two men surrounded by a gathering of slaves who cluster around and watch the central pair. At first glance these two men seem only to be fighting, but the righthand figure, singled out and highlighted by the positioning of his body against a background of white smoke, twists his torso and gracefully extends his foot, suggesting the possibility of dance. This is affirmed by the hatted figure on the left who raises his hands and shifts his legs and hips, dancing along. The stance of the combatants is consistent with capoeira. They couldn't reach each other with their fists, but they would be within range of capoeira's lunging and sweeping kicks. One man to the left raises his arm as if to cheer on his favorite,

while the two next to him seem to be assessing the performance, one with hand poised thoughtfully on his chin. Without doubt, the people in the composition are in fact slaves, particularly as they are depicted barefoot. During slavery, Brazilian slaves were prohibited from wearing shoes (Krueger 2002, 174). Although the unpopulated hills in the distance suggest that the setting is provincial, there's a possibility that it might be urban, on the outskirts of town, as the grouping takes place next to three structures in a row, as in a city, which are too well-kept and decorated to be slave quarters. A single building atop a hill in the background might be a church, lending the image Christian overtones consistent with Slenes's argument.

Before discussing the aspects of *Jogar Capoera* that argue for its positioning within an anti-slavery context, I would first like to examine it as part of the European tradition of travel art and writing. Are there elements of the image that situate it within the racial discourse surrounding this particular genre? Although in existence since the fifteenth century when explorers first began testing the boundaries of the known world, the urge to travel and record impressions peaked in the nineteenth century under the intellectual climate brought on by the European Enlightenment.[10] As the newfound desire to explain the world grew, the scientific revolution resulted in a desire for direct observation and rational analysis of nature, which led to the phenomenon of naturalism. Although such ways of thinking are foreign and repugnant to most of us today, this attitude was applied to people as well, and racial theorists attempted to categorize humans into scientific types. In 1791 Petrus Camper published a treatise on his theory of prognathism, which asserted that humans could be classified based on calculations of facial angles, gauging blacks in his hierarchy as closer to monkeys than to whites. Similarly, Johann Caspar Lavater (1775-78) utilized phrenology and Julien Joseph Virey (1824) utilized ideas of beauty to posit the inferiority of blacks (Honour 1989 bk. 1, 14-18). Visual manifestations of

these theories appeared in their own works and in the works of naturalists as images that present labeled 'types,' often shown in profile to emphasize cranial differences (Fig. 5), and often indirectly referenced these theories of European superiority and Negrophobia. Such 'type' images, inspired or required by his naturalist training, appear in the work of Rugendas as well, and are published in the same *Voyage Pittoresque*, although in the second part on portraits and dress rather than in the section specifically devoted to blacks. However, I would argue that close examination of these images (Figs. 6 and 7) indicates that while Rugendas was influenced by the categorizing tradition, he nevertheless stretched beyond it. Unlike the images of Lavater and Virey, Rugendas takes extreme care with each personage being portrayed, presenting the viewer with individualized frontal portraits rather than exaggerated caricatures done in profile. Furthermore, his subjects possess delicately modeled rather than emphasized features, and some are dressed in European clothes, indicating their level of civilization to the viewer instead of depicting naked savages. By labeling his figures with their specific cultural groups, rather than simply as 'blacks,' he also exhibits awareness that cultural differences existed between slaves in Brazil deriving from different regions of Africa.

Still, the possibility does exist for Rugendas's work to be inserted within the genre of travel art, which has been convincingly argued by such scholars as Mary Louise Pratt and Linda Nochlin as expressions of what Pratt calls the "imperial eye." In this phenomenon, the European author observes his subjects in a detached manner, acting as a controlling eye/I. As Leonard Bell summarizes, it is "an eye of surveillance and control that symbolically takes over or possesses that which it looks upon or over." In this fashion, Rugendas's lithographs *could* be interpreted as a kind of collection of people and events, much in the manner of a naturalist catalogue of local plantlife. As glancingly interpreted by John F. Scott in a survey of Latin American art,

Rugendas might be "no different from others in his search for the unusual, the dramatic, and the picturesque" (Scott 1999, 194). By depicting blacks as slaves, he might be reasserting European power over them. However, the "imperial eye" often works unconsciously and should not be used to absolutely exclude other interpretations of an image or set of images. Also, since Rugendas is asserting an anti-slavery message through the text and, as I argue, his images, any ascriptions of the "imperial eye" to his work can be muted as a secondary effect, rather than the prime mover behind the lithographs.

Nevertheless, it is impossible to free Rugendas from all associations with European romanticism and interest in the exotic.[11] When Napoleon threatened and Dom Joao fled Lisbon to Rio de Janeiro in the early nineteenth century, moving the Portuguese court to South America, Brazil was opened to outsiders for the first time, where previously entrance had been forbidden to protect gold and diamond mines. By the 1830s, a kind of "quasi-scientific, quasi-exotic documentation" was prominent in Brazil, designed to satisfy European curiosity about the west (Catlin 1966, 12). The 'uses and customs' iconographic genre quickly developed. As explained by Silvia Hunold Lara, this genre links places to paradigmatic human types, recognized by dress. Artists record differences to portray diversity to European viewers, while at the same time blunting those differences by emphasizing what people have in common. This *costumbrista* trend in illustration was known by some in South America as "el despotismo ilustrado," because artists tended to settle for stereotypes as 'documentation,' rather than accurately representing what was current. Although Rugendas's works can be acquitted of this accusation in his 'type' images because of close attention to individuality, he nevertheless succumbs to stereotype in other ways. *Jogar Capoera* includes a representation of a woman smoking a pipe with a basket of fruit balanced on her head. This is a longstanding stereotype in images of Brazil, used to

signify the general concepts of 'exotic' and 'Brazilian' to the European mind. It's apparent as early as Albert Eeckhout's 1641 *Negro Woman and Child* (Fig. 8), where a basket of fruit emphasizes her roundness and ripe sexuality, and the tradition continues even today in the Chiquita banana woman and Carmen Miranda. This woman with fruit is seen repeatedly even in Rugendas's own oeuvre, reappearing in *Venta a Reziffe* (Fig. 9) and *Negresses de Rio-Janeiro* (Fig. 10). Although by the 1860s black Brazilians had assumed this mode of representation as a choice way of representing themselves, as can be seen in its use for a woman's carte de visite (Fig. 11), it seems clear that Rugendas utilized it instead as an exotic, yet familiar way of illustrating Brazil. Similar references to the exotic nature of slaves appear elsewhere in *Jogar Capoera* as peculiar elements of clothing, ranging from the seated drummer's hat to his companion's feathered turban, and including the almost bared breasts of the woman kneeling at the rear of the grouping.

One could therefore compare Rugendas's image to a range of European depictions of slaves, including the late eighteenth-century *costumbrista* painting of Carlos Julião (Fig. 12). *Jogar Capoera*, however, shows much less interest in costume, instead emphasizing the various interactions taking place between the slaves. Another comparison might be to paintings and etchings of blacks fighting beasts, such as George Dawe's 1811 *A Negro Overpowering a Buffalo* (Fig. 21), or to those of black boxers (Fig. 22), both of which were chosen by artists so as to focus on the beauty of the black male body as strong and comparable to that of an animal.[12] However, *Jogar Capoera* focuses less on the naked male; only one man is partially unclothed, and he twists to the side and therefore hides much of his physique. Even the woman's breasts are not fully displayed. Since these types of comparisons, while yielding some similarities, fall short of being absolutely convincing, I'd like to continue the search for meaning. Could *Jogar*

Capoera be related to images of defiant slaves, such as Victor Van Hove's 1855 *La Vengeance* (Fig. 20)? Is it an image threatening black reprisal if slavery continues, thereby representing nineteenth-century evidence that capoeira was indeed a method of training to rebel against white oppression?

As I noted at the beginning, there are very, very few other such images of capoeira. Why? I argue that the rarity derives from the fact that picturing capoeira would have been viewed as highly radical at the time. The radical statement probably does not, however, derive from the conception that capoeira was a training ground for escaping; this view reads modern mythology back into the past, and there is no evidence that this was the case. Indeed, it is much more likely that capoeira was a way of 'hiding in the open,' much like many other festivals undertaken by slaves. A common modern view holds that slaves used European religious festivals and their own dance forms as a way of hiding meaning in the open or "controlled subversion" (Tribe 1996, 74).[13] Using this paradigm, capoeira can be interpreted as a silent rebellion, interjected with meanings unknown to masters, much like the earlier example of the "blessing." At the time, masters allowed dancing among their slaves, seeing it as an outlet for energies that might otherwise result in rebellion. A royal letter from Portugal to Brazil in 1780 stated that "the dances of the blacks, though hardly innocent, could be tolerated; hoping, through this lesser evil, to avoid other greater evils" (Lewis 1992, 34). White disdain for the inferiority and overt sexuality of slaves' music and dance allowed them to ignore any possible hidden meanings, as can be seen in a variety of traveling accounts describing slave dances. In 1856, for example, C.S. Stewart describes his encounter with such an event in orgiastic terminology, referring to its "revolting licentiousness" (Stewart 1856, 293-4). In another typically European view, Rugendas's own text describes dance as capable of alleviating the misery of the slaves,[14]

an opinion echoed in an 1833 cartoon, "The Wretched Slaves in the West Indies," that juxtaposed contented slaves with the misery of the British working class (Fig. 13).

So, since it is highly unlikely that European viewpoints on dance's purpose in slave life would allow for the interpretation that capoeira was controversial because of its hidden meanings or use as a training ground for escape, why is it never depicted? To answer this question, we must look to the records we *do* have concerning capoeira in the nineteenth century. In his enlightening article, "'A Healthy Terror': Police Repression of Capoeiras in Nineteenth-Century Rio de Janeiro," Thomas J. Holloway points out the long and involved history of capoeira within the context of nineteenth-century Rio de Janeiro. As more and more slaves, and later freed blacks, relocated to cities, they formed urban gangs that practiced capoeira. These gangs fought with daggers, razors, stones, and clubs, disturbing the peace and attacking shopowners and other citizens. Capoeira therefore came to be associated directly as the source of the trouble. The police considered the custom a scourge to the city, whereas for slaves and freed blacks it was a way of setting up their own space within urban life and obtaining a degree of control over their lives. Although capoeira charges grew geometrically in magnitude as the century progressed, they were still prominent in the early nineteenth century. Between 1810 and 1821, capoeira accounted for 438 of the 4,853 known reasons for arrest, second only to 751 arrests of escaped slaves. The punishment for any discovered practitioner of capoeira was whipping;[15] in March of 1820, a Mina slave, Bernardo, was given 300 lashes and three months in prison for his use of capoeira. A year later, in November of 1821, after a much-publicized fight involving six deaths and many injuries, an official order criticized the proliferation of capoeira in the city of Rio de Janeiro.[16] At this point, it is important to remember that Rugendas arrived in Rio de Janeiro with the Langsdorff expedition in 1821, and due to delays caused by Brazil's declaration of

independence was forced much to his dismay to remain with the expedition in Rio de Janeiro for several months rather than progressing directly to the interior.[17] Considering the political furor and rash of police activity surrounding the activity, it therefore seems highly likely that Rugendas would have known of the controversial nature of capoeira, not because of its use as rebellion against slavery, but rather because of the contemporary opinion that it was a dangerous, criminal activity. And while the threat of capoeira to white society was probably not as great as the slave communities like Palmares, it was still significant, well-known, and controversial, as it was an element of rebellion specifically *within* white society that could not be controlled despite ever stricter admonishments to police; it continued to rage for decades.

Therefore, I propose that Rugendas's image, *Jogar Capoera*, could be seen as radical simply for depicting such a controversial topic, particularly because of the lack of a white representative in the image. Throughout the course of the final section of *Voyage Pittoresque*, every lithograph contains a white figure somewhere in the composition. Every lithograph, that is, *except* the one portraying capoeira. Usually this figure is a single bearded white man wearing the same type of broad-brimmed hat who serves as a kind of silent sentinel, monitoring the activities of the blacks. Each of the three other images of group dances or celebrations, which immediately precede *Jogar Capoera* in the finished book, contain this man (Figs. 14, 15, 16). In *Danse Batuca* (Fig. 14) he has insinuated himself into the background, forming part of the encircling group; his hat is pulled low over his face, hiding his eyes and giving him an altogether ominous aspect. The two clapping figures to the right of the white sentinel, although clapping and ostensibly paying attention to the dance, roll their eyes towards the white man with looks of apprehension on their faces. One strains backwards, as if to shrink away from his presence. In *Danse Landu* (Fig. 15) he's there again, this time on horseback, silently watching the activity

without interacting. The final festival image, *Fète de St. Rosalie, Patrone des Nègres* (Fig. 16), finds two such figures on horseback near the left margin of the lithograph, again not interacting, but constantly vigilant, their heads turned unerringly towards the celebration. Other images in the final section of *Voyage Pittoresque* include similar white men, but allow for a confrontation of gazes, indicating the artist's awareness that a difficult and tense relationship existed between slave and master. For instance, in *Prèparation de la Racine de Mendiocca* (Fig. 17), a black female slave pauses in her work to meet the eyes of the bearded, hatted overseer, who languidly eyes her, perhaps drawn by her partially naked back and sagging sleeves, while she proudly looks back and leans her body away from him. The confrontation and subsequent tension between the white man and black woman dominate the image; still, her sexualization is nevertheless placed in context with other hardships of slavery, ranging from the man at the right who covers his face and arches back away from the dangerously steaming mandioc, to the child at the left who must accompany his mother to work and sit naked on the dirt floor. The white presence in these images symbolizes control and white overseeing power. The same type of languid, observing, yet detached figure can be seen in later paintings referencing slavery, as in the male plantation owner in the left grouping of Verdier's 1843 *Chatiment des Quatre Piquets dans les Colonies* (Fig. 18). He dispassionately watches the unfolding scene as in Rugendas's works and even wears the same type of hat.

Since the single white figure in every other lithograph signifies a reassuring kind of control over slaves, even during their private communal moments, the *lack* of white presence in *Jogar Capoera* instead signifies the opposite, the idea that here the blacks have some degree of control over their own behavior. These slaves are depicted as active, engaged in capoeira, one of the most controversial, threatening, and dangerous slave activities in Brazilian society. Such a

representation *could* be very threatening; I argue that here it is not. In this lithograph, *unwatched* slaves engage in a 'dangerous' activity, yet that explosive danger is defused. Instead, we see a scene where fun, dancing, and communal interaction take precedence. As the title of the image makes clear, we are seeing slaves engaged in "jogar," meaning "play." In the middle ground, the virtues of politeness and charity are enacted for our perusal, as the kneeling woman offers a bowl of the food she has been cooking to a man, possibly some sort of beggar, who politely doffs his hat in thanks. Additionally, the slaves wear clothes that display signs of wealth, incorporating European fashions and refinement, such as the dancing man's top hat, the incorporation of beaded necklaces, and the drummer's ruffled, collared shirt. At the far left of the image, a slave has a knife tucked into his belt, which significantly is sheathed, a signal that the image contains no active danger. As previously mentioned, the hilltop church in the background represents the fact that these slaves are Christians, possessing all of the entailed moral values. Taking these facts into account, in *Jogar Capoera* the inclusion of such a controversial subject reaffirms the idea that the integration of blacks into a moral society is possible. A threatening subject is portrayed as nonthreatening.

This point becomes especially apparent when one compares *Jogar Capoera* with the only other roughly contemporary image of capoeira that survives,[18] the English traveling artist August Earle's 1822 watercolor, *Negroes Fighting, Brazils* (Fig. 19). Earle traveled even more widely than Rugendas, accompanying voyages through Africa, the Mediteranean, South America, the South Atlantic, and India; he was even the official artist on the *H.M.S. Beagle* in 1831 opposite Charles Darwin as naturalist. Although Leonard Bell presents him as generally sympathetic towards native peoples, citing a seated white figure in a Brazilian flogging scene who holds up his hand as if to block out the horror, such sympathy is not apparent in this image. Here,

capoeira is shown as a much more dangerous activity, requiring the intervention of the police officer seen clambering over the fence to halt the proceedings, as opposed to Rugendas's image where no rebuke is entailed. In Earle's painting, both participants and onlookers are caricatured, with much more emphasis on prognathism through the exaggerated features. The combatants deliver ominous glares, and a seated figure behind the fighters holds up a hand in fear. Instead of showing healthy community interaction, the central pair is distinctly separated from the other slaves in the yard. This image is unabashedly threatening, depicting capoeira as "fight" rather than as "dance," and it makes the stereotyping in Rugendas's treatment of the same subject seem mild in comparison.

As we have seen *Jogar Capoera* does retain some aspects of the typical imperial travel art aimed at presenting pleasing views of the exotic. However, categorization of his work based on his attitude towards slavery and race is complicated because Rugendas's lithograph also documents a controversial subject, a potentially threatening event that is tempered through its location in a pleasant communal setting. In addition, the accompanying text places it in the context of other dances seen as diversions from the harsh life imposed by slavery and, while acknowledging its fierce nature, nevertheless labels it as a "game" involving "jesting."[19] This lithograph can be viewed as an attempt to continue the programmatic intent outlined by Slenes to represent slaves as capable of establishing and maintaining a communal life within a white society. Rugendas reverses the attitude towards capoeira seen in Earle's contemporary watercolor. While *Voyage Pittoresque* refrains from positing white and black equality and maintains stereotypes, it nevertheless conforms to the mild form of abolitionism contemporary in France with which Rugendas had fairly close ties.

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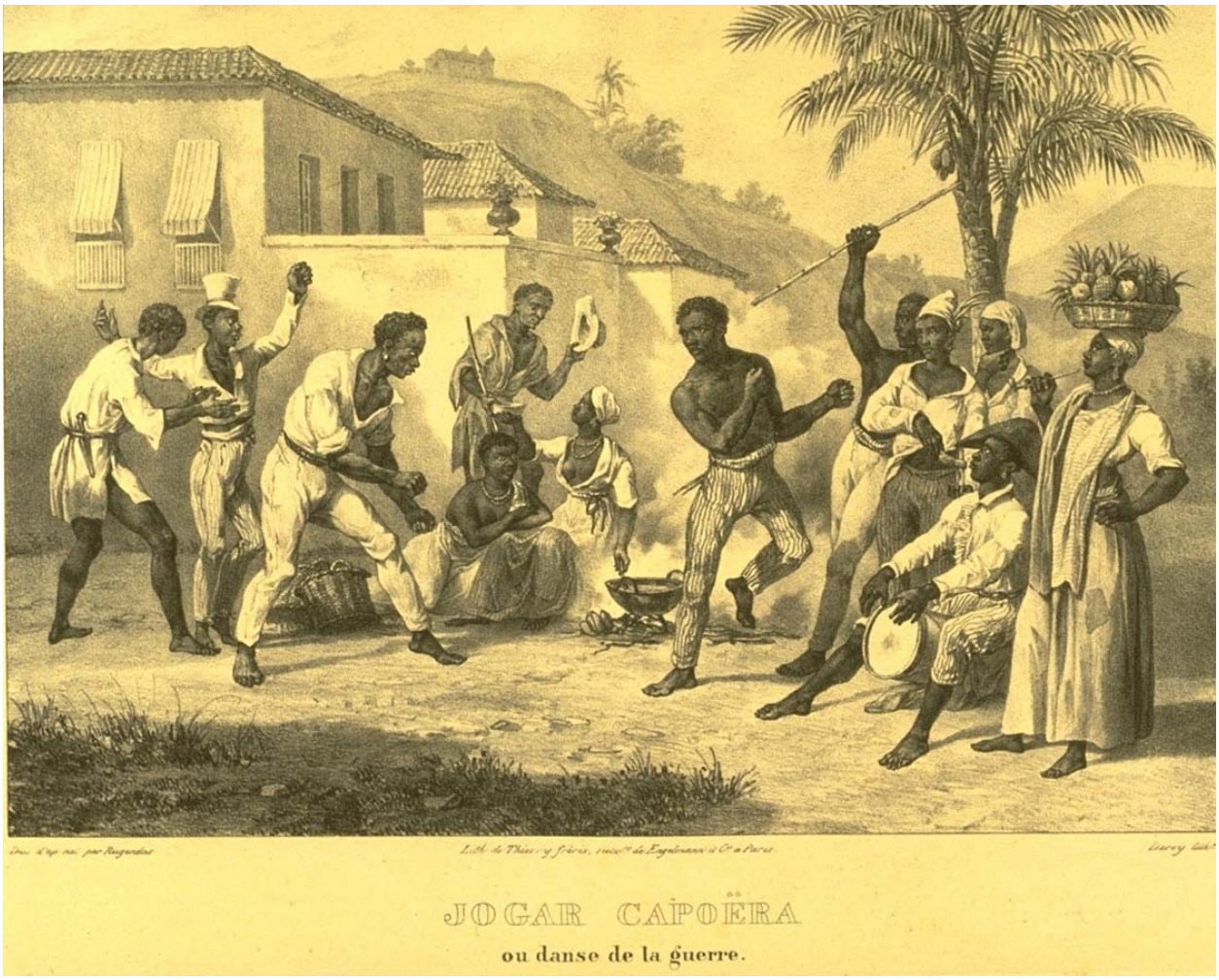
Figure 1. Johann Moritz Rugendas, *Jogar Capoera*, 1835; lithograph in *Voyage Pittoresque dans le Bresil*



[1] In 1856, Thomas Ewbank, an American visitor to Brazil, described the blessing: "Every night the bell on the portico, which awoke them [the slaves] to work and called them from it, summoned them to prayers, which, as surviving head of the family, she read. As soon as they were concluded, her children, grandchildren, and any other relatives present saluted her, and each slave, in passing out, asked and received her blessing for the night. She sometimes roused all, blacks and whites, to matins at two in the morning. One old Negro troubled her exceedingly: 'Work, work, work all day,' he would say, 'and pray, pray, pray all night—no negro stand that!'" Thomas Ewbank, *Life in Brazil; or, A Journal of a Visit to the Land of the Cocoa and the Palm* (New York: Harper & Brothers, Publishers, 1856), 75.

[2] J. Lowell Lewis, *Ring of Liberation: Deceptive Discourse in Brazilian Capoeira* (Chicago: The University of Chicago Press, 1992), 38.

[3] One such song is quoted by capoeira practitioner Bira Almeida, *Capoeira: A Brazilian Art Form; History, Philosophy, and Practice* (Berkeley: North Atlantic Books, 1986), and it includes the lines:

Now it is the time to fight
To help my brother
Now it is the time to fight
To finish the slavery.

[4] Maurice Rugendas, Voyage Pittoresque dans le Bresil, trans. M. de Golbery (Paris: Engelmann & Cie., 1835). As opposed to the large, expensive book of lithographs and accompanying text that was distributed in Europe, smaller, pocket editions were promulgated in Brazil and South America. One such version is Herculano Gomes Mathias, ed., *Rugendas e a Viagem Pitoresca Atraves do Brasil* (Rio de Janeiro: Tecnoprint Grafica, 1880).

[5] For biographical information on Rugendas and his family, see Gertrud Richert, *Johann Moritz Rugendas: Ein Deutscher Maler des XIX. Jahrhunderts* (Berlin: Rembrandt-Verlag, 1959); Stacey Sell, "Rugendas," *Print Quarterly* 19, no. 1 (2002): 85-86; and Ferdinand Anders, "Johann Moritz Rugendas (1802-1858): Der 'Humboldt des Zeichenstiftes' und Peru," *Alte und Moderne Kunst* 28, no. 188 (1983): 24-27.

[6] Excellent works on the life and goals of Baron van Langsdorff and Rugendas's place therein can be found in Roderick J. Barman, "The Forgotten Journey: Georg Heinrich Langsdorff and the Russian Imperial Scientific Expedition to Brazil, 1821-1829," *Terrae Incognitae: The Annals of the Society for the History of Discoveries* 3 (1971): 67-96; and Salvador Monteiro and Leonel Kaz, eds., *Expedição Langsdorff ao Brasil 1821-1829*, Vol. 1, *Aquarelas e desenhos de Rugendas* (Rio de Janeiro: Ediçoes Alumbramento Rio de Janeiro, 1988).

[7] On Rugendas' relationship with Humboldt, see Gertrud Richert, *Johann Moritz Rugendas: Ein Deutscher Maler des XIX. Jahrhunderts* (Berlin: Rembrandt-Verlag, 1959), 12-29.

[8] Hugh Honour, *The Image of the Black in Western Art*, Vol. 4, bk. 1, *From the American Revolution to World War I: Slaves and Liberators* (Cambridge: Harvard University Press, 1989), 132.

[9] Images of most of these scenes are very difficult to find outside of the rarely preserved copies of Rugendas's 1835 edition, but small versions can be seen in order of publication in Andrea Teuscher, *Die Künsterfamilie Rugendas: 1666-1858; Werkverzeichnis zur Druckgraphik* (Augsburg: Wiβner, 1998). In addition, larger versions of some are available on the Web site: Jerome S. Handler and Michael L. Tuite, Jr., "The Atlantic Slave Trade and Slave Life in the Americas: A Visual Record," The Virginia Foundation for the Humanities and The Digital Media Lab at the University of Virginia Library, http://hitchcock.itc.virginia.edu/Slavery/.

[10] For an exposition of the nineteenth-century tradition of traveler-reporter artists, see Dawn Ades, *Art in Latin America: The Modern Era, 1820-1980* (New Haven: Yale University Press, 1989).

[11] For the interpretation that Rugendas and other European travel artists were romantics seeking the exotic, cf. Michael Jacobs. *The Painted Voyage: Art, Travel, and Exploration 1564-1875* (London: British Museum Press, 1995), 13-17.

[12] For greater detail on this type of representation, see Hugh Honour, *The Image of the Black in Western Art*. Vol. 4, bk. 1, *From the American Revolution to World War I: Slaves and Liberators* (Cambridge: Harvard University Press, 1989), 21-31.

[13] For further examples of slaves' usage of European customs for their own agendas, see Fernando Ortiz, "The Afro-Cuban Festival 'Day of the Kings'," trans. Jean Stubbs, *Cuban Festivals: An Illustrated Anthology* (New York: Garland Publishing, 1993), 3-47; and Maria Lucia Montes, "African Cosmologies in Brazilian Culture and Society," in *Brazilian Body & Soul*, ed. Edward J. Sullivan (New York: Guggenheim Museum, 2001).

[14] Maurice Rugendas, *Voyage Pittoresque dans le Bresil*, trans. M. de Golbery (Paris: Engelmann & Cie., 1835). The reference occurs near the end of the final section of the (unpaginated) book: "On dirait qu'apres les travaux de

la journée les plaisirs les plus bruyans produisent sur le Negre le meme effet que le repos. Dans la soiree il est rare de voir plusierus esclaves assemblés sans que leurs groupes saniment par des chants et des danses; l'on a peine à croire qu'ils aient pendant toute la journée execuité les ouvrages les plus pénibles, et l'on ne peut se persuader que ce sont des esclaves qu'on a sous les yeux."

[15] Perhaps the use of whipping to punish capoeiras in particular provides us with another way of reading the abundance of flogging imagery in Brazilian representations of slavery. Could they be intended to warn blacks who contemplate capoeira and reassure whites of their safety, in combination with the more general assumption that they resulted from the danger of escape to rebel communities?

[16] For all statistics (p. 648), along with information on the much greater proliferation of capoeira as police-controlled activity in the later 1800s, see Thomas J. Holloway, "'A Healthy Terror': Police Repression of Capoeiras in Nineteenth-Century Rio de Janeiro," *The Hispanic American Historical Review* 69, no. 4 (1989): 637-676.

[17] Monteiro, Salvador, and Leonel Kaz, eds., *Expedição Langsdorff ao Brasil 1821-1829*, Vol. 1, *Aquarelas e desenhos de Rugendas* (Rio de Janeiro: Ediçoes Alumbramento Rio de Janeiro, 1988), 39.

[18] These are the only two nineteenth-century images of capoeira that I have found in my researches. It is of course possible that another work hides in a collection somewhere inaccessible to me, and I would welcome it for comparison.

[19] Maurice Rugendas, *Voyage Pittoresque dans le Bresil*, trans. M. de Golbery (Paris: Engelmann & Cie., 1835). The reference occurs near the end of the final section of the (unpaginated) book: "Les Negres ont encore un autre jeu guerrier, beaucoup plus violent, le Jogar coapoera: deux champions se précipitent l'un sur l'autre, et cherchent à frapper de leur tête la poitrine de l'adversaire qu'ils veulent renverser. C'est par des sauts de côté, ou par des parades egalement habiles qu'on échappe à l'attaque; mais en s'elencant l'un contre l'autre, à peu prés comme les boucs, ils se huertent quelquefois fort rudement la tete: aussi voit-on souvent la plaisanterie faire place à la colére, si bien que les coups et même les couteaux ensanglantent ce jeu."

1. Title: Artists of the Chinese Diaspora: The First Generation (Abstract)

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The artists of the 20th century Chinese diaspora most widely known in the West are those who left China in the post-1989 period. Forgotten in the rush to acknowledge the achievements in avant-garde expression of this generation is an earlier group of artists whose careers were shaped by similarly dramatic events – but at mid-century. The focus of this paper will be a select group of painters – what I am calling the "First Generation" artists of the Chinese diaspora. They are: C.C. Wang, Zao Wou-ki, Fang Zhaoling, and Tseng Yuho. Born, raised and educated in China, each of these distinguished artists was well-versed in Chinese painting traditions. Their lives, however, have been spent largely outside of China, while maintaining a close relationship with Chinese art and culture. Each responded in different ways to their situations, and for each, their lives afforded unique opportunities that informed their art-making. Their contributions to contemporary Chinese art laid the foundation upon which succeeding generations of artists have been able to build.

A Paper Submitted to
The International Conference on Humanities and Arts

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   A Golden Age to Come: Foreigness and Order as Spectacles in Jacobean Masques
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6. Abstract

Abstract

When the American Indian Pocahontas arrived in England in 1618, she was invited by James I to attend a performance of the Twelfth Night masque, Ben Jonson's *The Vision of Delight*. Both she and her counselor Utamatomakkin were "graciously used, and both she and her assistant well placed," (Chamberlain 1939,2:50) although her request to be received as a representative of Powhatan was not granted. She did not realize that her presence in the audience in itself represented an element of Spectacle, the major ingredient of the masque as a theatrical genre. She had become a vivid demonstration of the success of the Virginia Company and the virtues of English colonization in the new world (Robertson 553). During the age of exploration, foreign bodies on the stage, ranging from European to peoples from non-Christian lands, were widely taken as curiosities or oddities, and the interpretation they inspired comprised cultural anxieties, ethnographic designs, and political functions. These interpretations reveal that the representation of foreign bodies not only naturalizes "the difference between belongingness and otherness" (Hall, "New Ethnicities" 28), but also constructs national and ethnic identity while validating the concept of colonization.

The masque, as a powerful instrument in this process, developed in the pre-modern era as a theatrical genre associated with courtly celebrations and festivals. These extravagant and elaborate entertainments not only represented "the entanglement between culture and power," but also served to cement relations between the crown, its supporters, and the parliament as well as to commemorate the monarch's personal image as a wise ruler. Apart from the masque's basic elements—the masquing or disguised dances, the verse and drama, and the mise en scene—choreography, poetry, theatre, it was the Spectacle as such that symbolically represented the power of

authority.[1] In the early modern period, this visual replica of regal power was equivalent to the policy of aggrandizement. Through its display of royal splendor to the populace during great diplomatic occasions, spectacle buttressed and consolidated the power of the monarch. This influence of the spectacle was by no means confined to the domestic scene, but was utilized to proclaim throughout Europe every triumph of English diplomacy. When English policy became introverted during the Reformation, international spectacle gave way to religious propaganda, and when Reformation campaigning subsided, the king turned to military adventures and political propaganda. In the process, the spectacle as entertainment broadened to embrace international significance by means of tournaments, royal entries, and crown marriages. Participation was not limited to the true-born English, but often included foreign bodies such as Pocahantas. Spectacles embracing images of the foreign and the theme of an ordered realm satisfied imperial citizens' vision of themselves as dominators of the world and promoters of civilization and harmony, capable of bring prosperity to their home country and enlightenment to "what they depicted as England's dark colonial edges. The concept of foreignness in masques surely was represented in various spectacles of the masques. In this paper, I will discuss the **foreign** and the **strange** in the most representative masques of the seventeenth century. This paper will demonstrate the masque as a conscious international policy of utilizing grandeur, magnificence, and the display of power as symbols of the colonial desire to dominate and control but also the concern of an ordered society in the early modern era of England.

A Golden Age to Come:
Foreignness and Order as Spectacles in Jacobean Masques

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were depicted as colonial subjects eager to embrace domination regardless of whether they were Irish, Welsh, East Indian, North American, or Ethiopian. The spectacles with the foreign and the strange images, however, reinforce the expectation of an ordered realm and a golden age to come. This paper will discuss five most representative

The strategies employed to represent the imperial discourse through races emphasized differences between civility and barbarism, stereotyping characters and cultural settings. Contrasts between rude tongues and elegant language and between exotic or strange bodies and docile and gentle ones all affirmed the imperial capacities of control over contested territories in different parts of the world and suggested that cultural priorities could be construed as authorized by nature. According to Christopher Pye, the body and the state, the body of the ruler, and the power of the sovereign were conflated by the spectacle, which not only defined his or her uniqueness but also inspired terror and awe. Documents of the Privy Council describe the efforts used to regulate the theatre and censure theatrical discourse and testify to the political possibilities inherent in theatrical representation (4-5). Monarch through the emblems and icons representing their individual and collective identities were able to consolidate boundaries on a social and political level. The construction of the foreign body and people of different races as a spectacle became a tool symbolic of the "ineluctable magnetism by which kingly absolutism pulled its age's representational forms into its own orbit." (Butler 21)

Concepts of nationalism and colonialism were the two most powerful elements involved with the demonstration of the imperial power. In order to demonstrate Ben Jonson's *Prince Henry's Barriers*, for example, was a 1610 court entertainment celebrating the founding of England's first successful Virginia colony. Following *Barriers*, George Chapman's *Masque of the Middle Temple and Lincoln's Inn* (1613), also set in Virginia, was performed to celebrate the marriage of the Princess Elizabeth. *The Irish Masque at Court*, and *For the Honor of Wales* in 1618 represented the ideological formation of the British Empire and the concept of Englishness. Similar examples include *New from the New World Discoveries in the Moon* (1620), *The Gypsies Metamorphosed* (1621), *The Masque of Blackness* (1605), *The Masque of Beauty* (1608), *The Masque of Queens* (1609), and *Mr. Moore's Revels*. All these courtly masques not only embodied a racial discourse and a hierarchical and ordered view of the world, but also demonstrated an art, which aspired "to translate its participants into an ideal contemplative vision…intimately related to the flux of political reality" (Lindley 13). The strategies of royal display culminated in *Hymenaei*

(1606), *Oberon* (1611), *The Masque of Truth* (1613), and *The Golden Age Restored* (1615). An analysis of the political and iconographic context of these masques illuminate the connection between theatrical poetics and European politics during early decades of the seventeenth century.

The Masque of Blackness (1605) was the first courtly masque Ben Jonson conducted for Queen Anne. She specifically appointed Jonson to work out a performance in which she and her ladies would disguise as "blackamoores". The representation of the moors in this masque is through the twelve African nymphs, the daughters of the River Niger. Although the father figure Niger appreciated his daughters' beauty, he recognized and lamented his daughters' sense of inferiority, which was caused by their contact with a western poet. Although the father was assured of the beauty in blackness, the daughters would accept only white as true beauty as white. The Goddess Aethiopia then affirmed that if he were able to find a climate where the sun was temperate, it would help to beautify his daughters. Arriving on the shore of England, River Niger was told by Oceanus that the sun, in the personage of the King of Great Britain possessed the power, and the king "whose beams shine day and night, and are of force / To bleach Ethiops and revive a corse" (II. 224-5). *The Masque of Blackness*, however, was not the first entertainment representing moors for the English court; records show that Henry VIII himself had experimented with disguising as a moor. Essentially Jonson's masque dramatized the River Niger's search for a solution for the Moorish daughters. By juxtaposing the black and white as representing the grotesque waiting to be normalized, Jonson technically demonstrated a double concern—patriarchy and imperialism—at the Stuart court. The masque itself was a political and cultural symbol; and the racial differences it implied were also fundamentally cultural. As Kim F. Hall has indicated, "*The Masque of Blackness* inaugurated a new era in the English court which demonstrated a renewed fascination with racial and cultural differences and their entanglements with the evolving ideology of the state" (237). Imperialism and Expansionism developed as concomitants of nationalism. During the 1560s imperialism was still in its earliest stage of development, but 1580 has been regarded as the groundbreaking year for "Imperial Britain." As Bruce McLeod and Lesley Cormak show, it was during this era that people witnessed the creation of new geographies based on imperial signs[3]. Drake's circumnavigation and the founding of the Turkey/Levant Company in 1581 suggested that England had developed from cultural imagination to spatial expansion and empire building (McLeod 2). As in competing European countries, the relationship between literature and colonialism since then has embodied a trans-cultural exchange as scholarship and belles letters of

this period reassured the imperial sensibilities and national identity of the British Empire. The formation of empire reinforced the legitimacy of imperial authority over the colonized while emphasizing differences between English and the other cultures.

The dramatic elements of the masque reflect the self-consciousness of the expansionist who demands for grandeur and magnificent displays of power as expressions of his desire to dominate and control. The racial differences apparent in *The Masque of Blackness* are based on the ideology that to be black is to be other, and that those who are other remain black physically and spiritually. The spectacle created for this masque, with Queen Anne and her other eleven ladies' faces painted became the first recorded use of blackface pageantry in a court masque. The bleaching or transformation of the Ethiopian reinforced the "strange spectacle" of the other and at the same time signified the predominant role of the imperial monarch. That the nymph's beauty was subjected to the judgment of the male, furthermore, glorified the predominant role of the imperial monarch. That the nymph's beauty was subjected to the judgment of the male, furthermore, glorified the power of the patriarchal structure. In this way poetic effects defined the nationality of Britain.

> With that name Britannia, this blessed isle
> Hath won her ancient dignity and style,
> A World divided from the world, and tried
> The abstract of it in his general pride.
> Britannia, whose new name makes all his wealth a ring,
> Might be a diamond worthy to encase it. (50-56)

By praising that Britannia, "which the triple world admires" (II. 211-12), and by representing the bleaching process visually through spectacle, Jonson's masque proclaims James's peaceful rule over a united island. Invoking "honor and splendor" in order to glorify the court, Ben Jonson deploys conventional methodology—apostrophes to the sovereign, addresses to the audience, symbolic disguises and concluding revels—to make court policy an essential part of his production (Orgel 65). The specially designed spectacle exhibits Queen Anne and her ladies as Ethiopians perching on a huge seashell pulled by two sea monsters ridden by Oceanus and Niger. The audience then realizes that they are on their way to search a mythical land whose name ends in "…TANIA" (Aasand 272). The main reason for their pursuit of the land of light is their notion that white is beauty.

The recording of the customs and skin color of Ethiopians by the legendary

John Mandeville had already reached English readers in the fifteenth century (Liii), and Joannes Boemus's *Omnium gentium mores* mentioned the sparseness of costume in Ethiopia (Ciii). These descriptions became the models for images of newly discovered others and the pioneers for pseudo-ethnography. It is significant that the representation of Niger, the river god and father of the nymphs, carries negative implication. He came from "blackest nation in the world" (II. 15-6) and did not know what to do with the desires of his daughters to be bleached. The pathetic father figure, suffered along with his daughters as he witnessed their succumbing to a different notion of beauty. These dark nymphs yearned to come to Albion, the "white land", but they knew that they would be expelled because of their skin color. According to the masque, the skin color of the Ethiopians derives from the burning of the sun. therefore, the symbolic association between blackness and "despair" suggests emotional distress and imperfect nature of the Ethiopians. At this stage, the equation of blackness with unbridled sexuality was only implied.

In *The Masque of Blackness*, bleaching was the only solution to be accepted by the land of Albion. The metamorphosis of skin color required "thirteen full-moon lavings" (II. 323) toward which the river god Niger was not capable of offering any assistance to his daughters. His appearance, for the purpose of color-coded spectacle, suggests a distant world in which the father figure does not have power to regulate the daughters. Racial difference is a matter of skin tone (Barbour 144). The skin tone, however, not only exemplifies intercultural contact in the pre-modern world but also the challenge of empire (Parr 19). Jonson's Niger is more than a representative of Africa, for he is addressed as "the orient flood". According to Barbour, Niger's source is "an eastern dessert, or a lake, perhaps subterraneous currents of the Nile" (134). However, authenticity may not be the core of the matter. Niger's authenticity may not be the core of the matter. What really matters is Niger's symbolic function in the "service of Jacobean mythology as an element of English identity" (134). In *The Masque of Blackness*, the pathetic Niger becomes a grotesque object of fear and anxiety, his stupidity and ignorance reinforcing the dichotomy of civilized/barbarian. *The masque of Blackness* and its parallel *The Masque of Beauty* work together as an anti-masque and a masque (Orgel 119). These two productions, however, not only embodied the discourse of the black during the early modern world but also constructed Britannia as a unified empire. According to Kim F. Hall, the employment of black/white differences provided more meanings for whiteness, (133) since the blackface images constituted black people as the focus of the white political imagery (Lott 35). Jonson's masque, moreover, plays out vital contradictions in early Stuart Britain's sense of its relation to the wider world—an island at once confident of its

own culture and deeply threatened by the foreignness it desires to embrace (Barbour 145). Indeed, in a era when the imperial government of England built up trade connections in Levant, Calcutta, Moscow and other cities, the sovereign power demonstrated the need to define borders, to accelerate imperial expansion, and to solidify the scope of international trade. Early modern geographical imagination, depicting the exchange with England's cultural others, therefore, involved considerable anxiety. *The Masque of Blackness* anticipated *Mr. Moore's Revels*, in 1636 with its images of Africans operating according to imperialist concepts. This masque together with the later masque, *The Masque of Beauty*, *The Masque of Queens*, *The Gypsies Metamorphosed* and *News from the New World*, portray early modern colonial ambitions comprising the cross-global expansion of England's imperial power.

The Masque of Beauty by Ben Jonson is another masque demonstrating the foreign and the strange. Contrasting the dichotomy of the beautiful and the strange, Jonson elaborates the hope and expectation of an ordered England. When James I started to reign, England was still at war with the Catholic Spain. Political turmoil and religious anxiety that James faced initiate the construction of authority and the concept of Britain as center. That James was associated with sunlight was a recurrent theme in many masques such as *Oberon*, *The Masque of Blackness and the Irish Masque of the Court*. To highlight strangeness and foreignness to be subdued, Jonson had to devise a method or representing the Queen of England as well as her ladies of the court in blackface. On the other hand, he needed to represent the power of sovereignty and the allegorical meanings of transformation from blackness to fairness. Anthony Barthelemy refers to *The Masque of Blackness* as a play of salvation and *The Masque of Beauty* as a play of wish fulfillment. (26-7) The latter masque was based on the contest between blackness and beauty by the addition of four black sisters in addition to the twelve bleached whites. Both groups, however, accepted the definition of beauty verified by the sacred Muses's sons. But the four black sisters decided to seek a similar solution while they lamented the dark complexion of Ethiopian women. Since perfection can never exist in blackness, the episode climaxed with the abduction of the nymphs by the angry Night. This intrusion of Night into the wishes of the nymphs signified potential malignity. At this moment, Aethiopia, a symbol of Perfection and Beauty, broke the dark charms of Night and brought back true virtue and divinity. In the conventions of the courtly masque, light is always associated with the sovereign and the sovereign is always the source of light and beauty; blackness, however, involves imperfection.

Orgel considers *The Gypsies Metamorphos'd* as one of the most important masques demonstrating the power of sovereignty and racial discourse and as Ben Jonson's finest achievement in the genre. Other critics have suggested that the masque alluded to the relationships between James I and Buckingham as well as intricacies of the political complexities of the court. It is, nevertheless, obvious that the framework of *The Gypsies Metamorphs'd* concerns social relationships and the process of discipline in early modern England. As Rebecca Ann Bach has argues, the conceit of the courtiers as gypsies enables the masque to indicate the boundaries of English identity as well as providing a vehicle for exploring James's relations with his favorites (218). Consequently, "The masque showed first the appeal of a wilderness, visually denoted by a different skin color, and then the incorporation of the wildness into Englishness" (218).

During this period, social tensions always involved class issues and financial problems. Christopher Hill in *The World Upside Down*, extensively investigates concerns about a disordered society during the reign of Queen Elizabeth I, James I and up to the 1640s. "London…became the refuge of master-less men—the victims of enclosure, vagabonds, criminals—to an extent that alarmed contemporaries" (20). Rogues, vagabonds and beggars, whose population was expanding rapidly (40), roamed the countryside in search of employment along with unemployable rejects of a society in transformation (40). The gypsies who appeared on London streets were regarded as a force disturbing the order of the society and the security of the citizens. No historian is sure when gypsies first appeared in England. According to B.J. Randall, a group was driven out of France in 1504 and soon afterwards appeared in Scotland, where they "made a good impression" (48). The latter introduced themselves as Egyptians[4], but traditionally they were associated with roaming, fortune-telling, strange costumes and dancing. In 1562 and "Act for the Punishment of vagabonds, Calling themselves Egyptians" was decreed; in 1609, the parliament of Scotland passes a statute, proclaiming the banishment of vagabonds, common thieves and those who called themselves Egyptians. This statute required that "any gypsies who remained in the country and any who returned [should] be executed" (55). When the masque *Gypsies Metamorphs'd* was performed in 1621, the gypsies in Scotland were presumable already expelled and the imperial government oculd undertake further measures for colonial expansion. As a literary response to a social problem in the empire, *Gypsies Metamorphs'd* not only impressed the court with its spectacles symbolizing misrule, but its strategy, rendered court policy visible and imperial authority unchallenged. Although some critics interpret the work as an allegorical masque insinuating the follies and craftiness of Buckingham at the Stuart court, more

frequently it is considered as a commentary on the life style of gypsies, a major problem confronting several European governments. Researchers tend to agree that gypsies originated in India, and gradually migrated to the Near East, Egypt and Western Europe, reaching England during the Tudor period.[5] associated with professions such as hawking, peddling, street performances and fortune-telling, they combined with vagabonds from Ireland and Scotland. Symbols of disorder and disruptive power they became anathema to the English identity that the imperial government had attempted to create. As Linda Woodbridge has suggested public documents dealing with vagrancy reflect anxiety over unstable identity: "For many people, identity was no longer comfortably tethered to a village, a trade, a niche in a well established social hierarchy…the psychic disturbances occasioned by this instability were projected onto the most visibly untethered, vagrants" (1). In a sense, the mechanisms that regulated the vagabonds comprised a symbolic system for boundary maintenance. Gypsies categorized with Irish travelers became a part of sub-culture in pre-modern England. Under the provisions instituted by the statute of 1527, a vagabond was to be whipped and bored through the ear; a third offence merited death and many were hanged under the statute (Woodbridge 1). Although vagabonds were not necessarily gypsies, ideologies concerning domesticity prescribed strict boundaries for geographical mobility of any ethnic tribe. Throughout the entire masque, gypsies' tricks and dexterities combined with verse lines referring to their dark skin, marked potential threats to the English identity. This representation reinforced state efforts to "curb the supposed marauding hoards of beggars and vagabonds". According to Long, marking the beggar's body by branding letters on the skin and boring holes through the ear were part of the discipline system to differentiate the "sturdy" vagabonds from the legitimate: "Characterizing vagabonds as seditious or as an infected member of the body politic authorized states modes of social control" (2).

Gypsies Metamorphs'd, resembles *The Masque of the Irish*, in its depiction of the boundaries of English identity. Parallel with that in *The Masque of Blackness*, the concept of Englishness in *Gypsies Metamorphs'd* was doubly reinforced. Paradigms based on the self and the other, the tainted and the English were construed as incompatible mutually exclusive identities. Paul Gilroy interprets racial discourse as a play on difference in which "racial taxonomy appears has extra-discursive referents: At different time, economic, political, and cultural factors all play a determining role in shaping the concept of races. "Races are not simple expressions of either biological or cultural sameness. They are imagined—socially and politically constructed" (264). The spectacle of gypsies in the masque provides courtiers and the monarch with a

metaphor through which they can concretize their images of the other. In this masque, furthermore, there is inevitable association of the grotesque body and nature. The gypsies as the Other seem to exist beyond self-consciousness and morality. Their disrupting identities must be transformed by the governing codes of English civility and the power of sovereignty.

Gilroy contends that the emphasis on culture bring about the fusing of nation and race. In other words, nationalism and colonialism become so relevant that to speak of the nation is to speak automatically in racially exclusive terms (268). The emphasis on Englishness as opposed to characteristics of all others is especially prevalent in another Stuart masque, *The Vision of Delight* (1617). Unlike the masques so far discussed, all of which specified the identities of particular alien cultures, *The Vision of Delight*, has no specification. Adapting the framework of the philosophical dialects, this masque demonstrates the grotesque body and tremendous evil power of a She-monster. Like her counterpart in the Old English epic *Beowulf*, her grotesque body becomes not only a standardized conceptualization of the strangeness of the other but also an arena on which the politics of otherness is constructed. The ritual enactment of the masque requires the subordination or erasure of those who are different. Although no specific race is identified in this masque, the presence of Pocahontas as a special guest at its performance reinforces her identity as a colonized other and imposes upon the audience of courtiers the achievement of the Virginia Company in the New World (Robertson 556).

One of the most powerful demonstrations of British national consciousness is the relationship of Ireland to the empire as revealed in *The Irish Masque of Court* (1614). This ethnographic example of the paradoxical nature of the masque demonstrates both imperial fantasies as well as anxieties about the colonized territory. David Beers Quinn in his *The Elizabethans and Irish* argues persuasively that a similarity in strategy, method and attitude was involved in colonizing both Ireland and the New World (23-51). Nicholas Canny in his article, "The Ideology of English Colonization," also affirms,

> The attempts to reassure English authority over Ireland produced under Elizabeth I a pattern of conquest…which was contemporaneous with and parallel to the first effective contacts of Englishmen with North America, to plans for conquest and settlement, and to the earliest encounters with its Indian inhabitants. The Elizabethan conquest of Ireland should therefore be viewed in the wider context of European expansion. (575)

The conflict between England and Ireland has a long history. Henry VIII was claimed as the Lord of Ireland and after the surrender of Hugh O'Neill after Nine Years' war, when James VI succeeded to the English throne, Scotland, England and Wales were for the first time united under a single monarch. Because of Lord Mountjoy's victory over Hugh O'Neill, James acceded to the title of king of Ireland. The relationship between the Britain Empire and Ireland, however, has never achieved a genuine harmonious union. Many English travelers considered Irish people as barbarous. Their travel accounts combing learning, discovery and civility, demonstrated the emergent anxiety of the empire. As major strategies in the expansion of Englishness, they were designed to portray the Irish as embodiments of the radical alterity of colonial subjects. For the Elizabethan government, Ireland was perhaps its most complex and intractable problem and as such a most unwelcome inheritance from Henry VIII (McGurk 3). Although Elizabeth's policy toward Ireland proved to be a continuation of her father's, reform instead of military conquest, yet plantation, administrative planning and the conquest effectively reduced Ireland to colonial status.

In pre-modern England, Irish customs, legal systems, language, and even the demeanor of the people were taken as negative. The opinion that Irishness is equivalent to the tainted and Englishness equivalent to the elegant and as such mutually incompatible led many courtiers to pursue the process of bringing the Irish under the Crown's domination or to propose that their subversive power be eliminated. Jonson's *The Irish masque at Court*, first performed in 1613, represents these English concerns about Irish identity. As spectacle the masque portrayed a group of Irish people dressed in Irish mantles enchanted by Irish music of the harp. The 'liberties' in their demeanor manifested the "license of misrule" (Parry 50) and contrasted the elegant and disciplined English with the wanton and barbarous Irish. In the masque, the king was represented as the center of the universe, and the assimilation of the Irish was represented through various aspects of Irish culture. Their rude dancing was transformed into court dance, rough bagpipe music was made to give way to the solemn music of harps and Irish "mantles" were symbolically discarded by the dancers who thereupon assumed the so-called "masquing apparel" of English courtiers. The Irish in the masque bowed to James, willingly subjecting themselves to the rule of the Stuart king. He was no longer a militant emperor; but the source of the light, and a godly figure with miraculous powers capable of transforming that which was considered primitive and savage to the civilized and harmonious. Seamus Deane notes colonialism is a process of radical dispossession (10). The essence of the colonialist scheme consisted in the ruling [Irish] chieftains surrendering the lands of

their lordships to the king and receiving them back as a fief from the Crown"(33). In *The Irish Masque at Court*, this technique of radial dispossession was represented as a process of cleansing and redemption. Its demonstration of culturally accepted prejudices resembles the content of *The Masque of Blackness*, which encourages the colonization of the darker continent.

The themes of political domination and the collective imagination about extended boundaries permeate a number of less famous courtly masques. *Prince Henry's Barriers*, which celebrates the establishment of the Virginia colony, clearly envisions that the growth of empire might need military power and stringent measures of security. The masque portrays Prince Henry with six companions challenging his opponents to joust. Merlin and a stellified King Arthur as part of the spectacle prophesy glory and empire for Henry. The latter's symbolic commitment to the military not only declared England's empire already made, but also confirmed Ireland as within the scope of the empire: "Ireland that more in title, then in fact. Before was conquer'd in his lawrels act" (347-48). Another work set in Virginia Colony, George Chapman's *Masque of the Middle Temple and Lincoln's Inn* demonstrated the politics of differences by means of a group of aristocrats wearing white headdress who took the parts of "Virginia Princes". Frivolous playing with Indian identity in the masques cultivated a fashion that has been denounced as "lascivious, exorbitant and fantastique." (quoted from Kupperman 203). Both an optimistic attitude about the colonial mission to bring "together English and Indians", and "raise" the Indians to English levels (Quinn 227) and a contrary fear of native hostility toward assimilation policy and the possible self-degradation caused by cultural convergence were manifested in the spectacles of the court masque. The black nymphs in search of eternal light, the Irish natives willingly casting off mantles and magpies, and other races already subdued all reflect the idealized relations that the colonial policies were designed to produce. This condition known as ritual containment, although problematic (Barbour 131), remains a significant paradigm in the Stuart court masques.

The objectives of colonialism were buttressed through reaffirmation and other supporting gestures. Loyal courtiers who were veterans of the Irish wars and also prominent supporters of the emerging colonization of America danced in and attended James's masques (164). These displays of transcultural relations by means of patters of image transformation—from the identities of gypsies, Ethiopians or Irish to those of the refined images of the courtiers—symbolized the difficulties and hazards of social control during the process of imperialism. Benedict Anderson suggests that in

an imagined territory, cultural differences signal the need of enforced national uniformity lest unassimilated races conceive of the nation as an area of contestation or of one available for contamination. In other words, the imperial representative of the Elizabethan and the Stuart Courts could not tolerate challenges to their imperial identity by any unexpected threats or disruptions deriving from vagrants, master-less men, and counterfeit subjects. The center of the imperial identity was London and all non-English races were considered as belonging to the periphery of the empire. As R. R. Davis notes, the conquest of Wales and the conquest of Ireland might be related to the formation of an England-centered empire constructed by a king, who, however international his reputation and connections, deliberately cultivated a heightened sense of English nationhood and did so in the service of his wars in Wales and Scotland (14). A masque dealing with Wales, *For the Honor of Wales*, parallel to those concerning Ireland, demonstrates Wales as a free state served by the courtiers who are valiant, courteous, temperate and ingenious. The essence of the work is the display of Wales as a subjected country and declaration of the principle that any anti-colonial rebellion is to be eliminated. The spectacle that was constructed in the Jacobean masque heavily relies on the contrastive images as demonstrated in the masque and anti-masque, making England equivalent to whiteness and equating native otherness with darkness (175). "Strangeness", "vulgarity" and "incomprehensibility" of the other cultures are what the masque intends to denounce. With foreignness as the spectacle, [6] the masque entertains through a highly stylized visual art, enforcing the politics of difference through the representation of the manners, costumes, and the languages of a part of the different world. The features represented in the antimasque are not unlike the reports and the pseudo-reports of travelers since the fourteenth century. The messages of strange wonders, monsters and beasts in these "travelogues" eventually depict the function of the imperial center to the erasure of strangeness. In this sense the masques resemble colonial doctrines as deployed in other literary masterpieces. Shakespeare's colonial discourse in *Henry V*, for example, exemplifies the conquering of the rebellious forces from Ireland and the subjection of the Queen to the King of England in her language. Spenser's *A View of the Present State of Ireland* and Sidney's *Discourse on Irish Affairs* relentlessly testify to the development of a colonial mechanism. Any language that is not understandable is considered as "Babel" and people with any kind of ornament that is not regular in England are regarded as barbarous and must be naturalized. In several other genres in pre-modern English literature, the nature of strangeness and quality of "Englishness" are culturally constructed as incompatible and mutually exclusive identities (Gilroy 25). The colonial images that the Jacobean masques constructed—Virginia, Ireland, Wales, Scotland, Africa and the East—provided the imperial court a mirror for visualizing

and affirming Englishness. Homi Bhabha argues that the colonial subject is "constructed with an apparatus of power which contains…a knowledge that is arrested and fetishistic and circulates through colonial discourse as that limited form of Otherness…that I have called stereotype." (149) This sixteenth century mechanism of representing the alter ego of Englishness, through stereotypes and fetishes, helped concretize the conjectures of the other. Both Ania Loomba and Liah Greenfeld note that in pre-modern England "a whole new class of people emerged," and these people's main preoccupation was to do research and write—chronicles, treatises, poems, novels and plays—in English about England…Everything English became an object of attention and nourished a new feeling of national pride" (Greenfeld 67). Combined with a heightened awareness of geography and boundary distinctions, this national pride became an essential ingredient of imperialism. Concurrent with royalist ambitions and mercantile forces among the commons, English cultural boundaries were extended beyond London and the Isles. With London as the center of the pre-modern globe and conversion of territory in every part of the world as a common goal of the Jacobean court, the early-modern mercantile metropolitan empire came into being. Ben Jonson's court entertainment, *Prince Henry's Barriers*, proclaims the soaring identity of Britannia:

> …Whilst you sit high,
> And lead by them, behold your Britaine fly
> Beyond the line, when what the seas before
> Did bound, shall to the sky then stretch his shore.
> (*Prince Henry's Barriers* 435-38)

Other spectacles of entertainment exhibit England's colonial efforts in the formation of public imagination. According to Rebecca Ann Bach, these entertainments envisioned prosperous plantations along with the transformative power of Christian conversion (151-2). These visions demonstrated early Stuart Britain's sense of its relations to "the wider world—and island at once confident of its own culture and deeply threatened by the foreignness it desires to embrace." (Barbour 145). As Barbour has suggested, the expelling of the dark nymphs will be welcomed when they turn white but the reverse metamorphosis, the darkening of Albion, must be strongly rejected (145).

The construction of foreign bodies as a spectacle involving a conception of the microcosmic and divine body, symbolized the unity of political entities such as the church and the regal establishment. It demonstrated a new emphasis on marginal

regions and frontiers and the notion of difference. As Susanne Scholz has observed, the construction of boundaries, based on Renaissance notions of space, highlighted the contrast between interior and exterior because "inner space were imagined as in need of defense while outward spaces were represented as hostile and isolated" (83). The construction of imperial authority by means of the masque was based on the notion that order is to be maintained, and political relations are to be stabilized. As a country separated from the continent, but competing with the continent, the new Tudor empire had to remap its subjective boundaries and extend its power from the imperial center. Some masques conducted for James court provided the parameters with which the definition of "Englishness" was reinforced by simultaneous representation of the self and the other. In other words, we find English identities were constructed in the spaces of imperial alterity, as exemplified in the spectacles of the theatre. The alterity or the foreign bodies include those from Africa, the east and the new world.

Court spectacles, defined by Jerzy Limon, as "highly imaginative inventions", could be "treated as unique insights into not only court matters but into the nature of the universe, revealing the laws that govern it" (56). In most Jacobean masques we find the divine sphere represented as a "harmonious proportioned, geometric and infinite space," (67) which is supposed to bring symbolic meanings to the parallel human world. As Queen Elizabeth I was envisioned as Aestrea, James I seemed to enjoy identifying himself with the Old Testament King Solomon. By the adoption of the motto *Beati Pacific*, a statement of his political aspirations, James employed spectacles to establish himself as a peace maker of Europe, aligned to his office as a king by Divine Right. (Strong 646) In Stuart masques, we also find the monarch's desire to construct a unified Great Britain through the dynamics of centralized power. By representing different worlds and races, James's courtly masques not only demonstrated the reconstructions of physical and social settings for superiority of being English, but also confirmed the ubiquity of political concepts anticipating empire. In Simon Gikandi's words, every nation needs a myth to sustain its sense of antiquity (25).

Notes

[1]See Stephen Orgel, *The Jonsonian Masque*. (Cambridge: Harvard UP, 1967), 117.

[2]See Tokson Elliot H. *The Popular Image of the Blackmen in English Drama, 1550-1688*. (Boston: G. K. Hall, 1982); Shyllon Folarin Olawale, *Black People in Britain, 1553-1833*. (London: Institute of race relations, Oxford UP, 1977); Even Henry VIII disguised himself in an entertainment. See Marion Wynne-Daves's "The

Queen's Masque," *Gloriana's Face*. Eds. S. P. Cerasano and Marian Wynne-Davies (N.Y.: St. Martin, 1990), 38.

[3]See Lesley Cormack, "Good Fences Make Good Neighbors." *ISIS* 82 (1991): 639-661.

[4]William Harrison in his Description of Britain indicated some English rogues at a fairly early period did become counterfeit Egyptians. See *Jonson's Gypsies Unmasked: Background and Theme of the Gypsies Metamorphos'd* (Durham: Duke UP, 1975).

[5]Dale B. J. Randall has an extensive study on the symbolic and allegorical meanings of the gypsies. The complicated court matters involved with Buckingham were provided in his *Jonson's Gypsies Unmased*, 45-87.

[6]Foreignness as major motif is found in *The Masque of Venetians, The Masque of the Knights from India and China*. The text of the latter is missing.

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Abstract:

Cultural Policy and Community Music Education

Community music education is valued not only as offering as model of community, but also as a means of social education. However, this is currently an under researched area, and there has been comparatively little assessment of its aims, practice and effects upon educators and members of the community. In my work I will attempt to evaluate the role of community music education in a number of British regions. The current literature on community music education has demonstrated that there is an increasing demand for community music activities in the UK. However, from the result of this research, it seems that the most urgent problem within the current programmes of community music education is the lack the academic support to train local musicians and school music educators to meet community needs. It is also clear that there is a lack of academic work supporting the development of local community musicians, which needs to be developed with particular relevance to the formal education sector. Further, my analysis will also seek to link questions of community education to wider questions of cultural policy which are concerned with the reconciliation of issues of equality and diversity. Finally, I also aim to assess the impact of community education upon its participants and user groups. My research will therefore involve three separate strands, these involve:

1. How does community music education fit into the strategies persued by the Arts council and governmental agencies in determining the shape and character of British cultural policy?
2. What are the sources of training and development for local community musicians, and how can higher education institutions plan a supporting strategy for professional development of community musicians?
3. How might we assess the impact of community music education, and what are the benefits for those that participate in this process?

The results of this research will be key for the future direction of cultural policy and community music education. The fostering and development of community music education projects in the British and wider context would all benefit from my research.

Title: Cultural Policy and Community Music Education in the UK

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Title: Nineteenth-Century Chamber Music and the Bourgeoisie: Music as Reflection of Social Conservatism

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Abstract:

Chamber music, defined here as music for two or more instruments and suitable for performance in a small space, began flourishing as a 'carrier genre' of musical progress in the last quarter of the eighteenth century. However, from around 1830 to the turn of the twentieth century, it became associated with musical conservatism, as most composers in this period wrote their chamber music compositions using the musical language and forms established in the late-eighteenth and early-nineteenth centuries. One theory has it that Beethoven's difficult string quartets of 1824-26 were responsible for chamber music's halt of progress: the complexity of those pieces made further development of the genre seem improbable. Yet, considering that the symphony, which was not any less complicated than chamber music, never ceased progressing over the course of the nineteenth century, it appears that Beeth's halt of progress. A look into the genre's social functions and implications reveals that the conservatism of chamber music was linked to that of the educated bourgeoisie, whose members were the primary proponents of chamber music.

The conservative bourgeois elites likely saw many aspects of their social ideology manifested in chamber music. For example, they considered conversation to be a form of decent social bond, and several intellectuals, including Goethe, viewed chamber music as a musical manifestation of conversation. Adorno, going a step further, drew a link between chamber music playing and a sense of friendly contest, and saw the former as an innocuous copy of social labor. As one of the principal genres of instrumental music, which many nineteenth-century intellectuals considered to be akin to religion because it expressed a sense of infinity and was bestowed the power of moral representation, chamber music played a significant role in the bourgeois *Bildung.* From a musico-sociological perspective, chamber music was in several ways a musical manifestation of the ideal bourgeois social structure, especially because it made extensive use of the sonata form. In Adorno's reading, the musical motive in the sonata form, much like a bourgeois individual, goes out from itself to help organize the musical totality with its inner dynamics, and subsequently returns to itself in a state where individual freedom and social constraint are reconciled and synthesized. All of the aforementioned points help explain why chamber music remained a 'recalcitrant' genre in much of the nineteenth century.

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Nineteenth-Century Chamber Music and the Bourgeoisie: Music as Reflection of Social Conservatism

The development of chamber music between the late eighteenth and the early twentieth centuries is one of the most interesting chapters in music history.[1] In the first decades of this period chamber music was a "carrier genre" of musical progress.[2] Specifically, from Joseph Haydn's Op. 33 String Quartets of 1781 to the late string quartets of 1824-26 of Ludwig van Beethoven, chamber music was a genre through which numerous new compositional styles and techniques were introduced.[3] However, shortly after the death of Beethoven in 1827 chamber music became synonymous with musical conservatism until the turn of the twentieth century. While other important musical genres, such as the symphony and the opera, moved swiftly away from the elegant eighteenth-century classicism and advanced toward monumentality, chamber music, with the exception of a few works, quite stubbornly clung to the musical language and forms established by the First Viennese School until the death of Johannes Brahms in 1897.

It has been suggested that the progress of chamber music came to a halt partly because the complexity and profundity of Beethoven's last string quartets made further advancement on the genre seem difficult. From the fact that the few nineteenth-century

[1] Chamber music is defined here as music for two or more instruments and suitable for performance in a small space.

[2] The term "carrier genre" is borrowed from the article by John Daverio, "Fin de Siècle Chamber Music and the Critique of Modernism," in *Nineteenth-Century Chamber Music,* ed. Stephen E. Hefling (New York: Routledge, 2004), 348-382.

[3] For example, the *scherzo* movement was introduced as a replacement of the traditional *minuet* movement in Haydn's Op. 33, a substitution that was later made important by Beethoven and became widespread in the nineteenth century.

composers after Beethoven who contributed to the genre never attempted to produce works that would carry chamber music to a more sophisticated level, it seems reasonable to assume that the halt of progress was caused by the last quartets of Beethoven, which were evidently ahead of their time – even as great a musical mind as Frédéric Chopin confessed that he could not understand them.

Nevertheless, Beethoven's last symphonies, in particular the Ninth, is musically not any less advanced than the late string quartets, yet the symphony as a genre went through further development in the hands of subsequent composers. The symphony was, for example, transformed into the symphonic poem by Franz Liszt around mid-century, and Richard Wagner saw his operas as the next logical step after Beethoven's Ninth. Furthermore, even Johannes Brahms, who in the second half of the century was considered by his contemporaries to be the foremost composer of chamber music and who gave himself the task of carrying on the Beethovenian tradition, succeeded in many respects in furthering the progress of the symphony. Brahms's First Symphony of 1876 had in fact been tagged "Beethoven's Tenth" by the famed nineteenth-century conductor Hans von Bülow, and when it was pointed out to the composer that the theme of the last movement resembled the Ode of Joy in Beethoven's Ninth, he reportedly replied that "any jackass" could see that connection. This makes the conservatism of Brahms's chamber music all the more strange, for with his chamber music works, for which he was most famous, no apparent attempt was made to emulate the style of the late Beethoven quartets. Instead, he drew much of his inspiration from the classical style of Haydn, Mozart, the early and middle Beethoven, and Franz Schubert. In that sense, the development of chamber music between the death of Beethoven and that of Brahms is not

only anti-progressive but regressive. In order to better understand chamber music's persistent conservatism in this period it may be helpful to go beyond a strictly musical approach and look into the genre's social status, functions, and implications in the period under discussion.

In the late eighteenth and early nineteenth centuries chamber music, as a carrier genre of musical progress, was appreciated by the more educated individuals, most of whom were from the aristocracy. The music lexicographer Heinrich Christoph Koch wrote in 1802 that

> "chamber music, in the proper sense of the word, is that music which is only customary at court, and to which, since it is contrived solely for the private entertainment of sovereigns, no one is granted entrance as a listener without special permission."[4]

Indeed, until around the death of Beethoven many important chamber music works were commissioned and performed by amateurs from the aristocracy, but from time to time it was not uncommon, especially in France, for amateurs from the educated bourgeoisie to rub shoulders with those from the aristocracy in chamber music making, as reported by the noted French violinist Pierre Baillot (1771-1842).[5] Already, at this early stage of its development chamber music functioned as a means of sociability for the upper social stratum; it provided a space where lovers of serious music from different social groups and even classes could mingle together and temporarily forget their dissimilarities.

After a period of political and economic instability, the aristocracy lost much of its authority to the bourgeoisie in the first quarter of the nineteenth century. However, this shift of power had little impact on the elitist status of chamber music since it, still

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[4] Heinrich Christoph Koch, *Musikalisches Lexikon* (Frankfurt, 1802; facs. Ed., Hildesheim, 1964), s.v. "Kammermusik," quoted in Stephen E. Hefling, preface to *Nineteenth-Century Chamber Music*, vii.

[5] Joël-Marie Fauquet, "Chamber Music in France from Luigi Cherubini to Claude Debussy," trans. Stephen E. Hefling and Patricia Marley, in *Nineteenth-Century Chamber Music,* 287.

considered to be a highly learned form of art, was now appreciated by a reconstituted group of elites that comprised largely members of the educated bourgeoisie, who tried to distinguish themselves from the rest of the middle class by means of education and appreciation of the arts. Beginning in the 1830s there was the general addition of yet another social group to the participants of chamber music, namely, the "Bohemian" professional artists that included well known writers and painters.[6] Around this time the newly composed chamber music compositions, especially the late string quartets of Beethoven, required exceptionally high technical skills to execute and were simply beyond the capability of most amateur instrumentalists. As a result professional musicians were allowed into the group to perform, even though those who played for a fee were looked down upon by the social elites.[7] The letting in of professional artists made chamber music a mode of sociability for a small crowd more socially diverse than ever before. In fact, in the 1830s quite a number of chamber music concerts in both London and Paris were hosted by professional musicians in their homes.[8]

The addition of professional artists did not necessarily make chamber music concerts more public at this time, however. In London, for example, the two socially prominent concert organizations, the aristocratic Concerts of Ancient Music and the bourgeois Philharmonic Concerts, began losing their audiences in the 1830s. What then emerged were series of chamber music concerts, some of which were only accessible by

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[6] William Weber, *Music and the Middle Class* (London: Croom Helm Ltd., 1975), 68.

[7] The performer in the first half of the century had the odd option of either receiving payment for his performance, or he could refuse his fee and be accepted as a gentleman. It is known that the composer Felix Mendelssohn and the violinist Joseph Joachim at times chose the latter in order to be received as member of the Society. See Carl Dahlhaus, *Nineteenth Century Music* (Berkeley and Los Angeles: University of California Press, 1989), 43 and 49. What is even more peculiar, the London Philharmonic Society allowed its orchestra members to hire less capable players as their substitutes because performing was considered an ungentlemanly activity. See Weber, *Music and the Middle Class,* 59.

[8] Weber, *Music and the Middle Class,* 67 and 70.

invitation while others were advertised in the press, but the latter's high ticket prices meant only those interested in the program or who felt the need to affirm their high social status would attend. The small group of educated elites and professional artists interested in chamber music had been fittingly described as the "intellectual aristocracy."[9] The chamber music scene in Paris was similar to that in London, as the genre was of interest only to a small, cult-like group of social elites, and this situation lasted into the final quarter of the century. Around mid-century, chamber music performances in Berlin often took place in the homes of Jewish families, where writers, philosophers, and other intellectuals would gather for serious music and conversation.[10] Clearly, at this time most chamber music performances in the major European cities were social events for the elites and intellectuals, most of whom were members of the educated bourgeoisie.

Although most serious music composed between the 1780s and the late 1820s originated in Vienna, the city's audience paid virtually no attention to the classical repertory in the second quarter of the century. It was not until around 1850 that the Viennese audience began to elevate their taste in music and rediscovered the importance of "their" music in the classical tradition. The city's chamber music scene benefited greatly from the presence of Johannes Brahms, the German composer who arrived in the city in 1862 and made Vienna once again an important center for the development and composition of chamber music. Like in other major European cities, chamber music was appreciated in Vienna mostly by a small group of connoisseurs. It is known that Brahms, who wrote no fewer than twenty-four important chamber music compositions, preferred those works to be performed in small spaces instead of large concert halls such as the

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[9] Ibid., 67-68

[10] The New Grove Dictionary of Music and Musicians, 2nd ed., s.v. "Chamber Music."

newly-constructed large hall of the Musikverein building.[11] The small group of admirers of Brahms' chamber music consisted largely of members of the *haute bourgeoisie,* including eminent figures such as the famous surgeon and amateur violist Theodor Billroth, to whom Brahms dedicated his String Quartets, Op. 51.

From the above discussions, it wouldn't be far-fetched to suppose that the direction in which chamber music developed in the nineteenth century had a close tie with the attitude of the group of people that appreciated the genre, namely, the conservatism of the "intellectual aristocracy," the majority of which came from the educated bourgeoisie. In fact, in chamber music one sees clear reflections of aspects of the social ideology of this upper social stratum, the most apparent being the notion of conversation. Goethe famously said that chamber music playing was much like a conversation among reasonable [vernünftige] people, a discourse from which something could be gained for the listener.[12] It should be noted here that in the nineteenth century the distance between stage and audience in chamber music was negligible, since the players themselves were considered to be the ideal listeners; as the composer Robert Schumann put it, the players of chamber music, unlike members of an orchestra, "constituted their own public."[13] The social elites valued conversational eloquence for associated with it was a sense of decent social bond that was not to be broken. What arose from this well mannered musical conversation was mutual respect among the players, as

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[11] Margaret Ann Notley, "Brahms's Chamber-Music Summer of 1886: A Study of Opera 99, 100, 101, and 108" (Ph.D. diss., Yale University, 1992), 19.

[12] Quoted from *Der Briefwechsel zwischen Goethe und Zelter* (Leipzig, 1902), 193-4, trans. Nancy November and presented in her paper "Nineteenth-Century Visual Ideologies of the String Quartet" at the American Musicological Society meeting, Nov. 13-16, 2003, Houston, Texas.

[13] Quoted from *Zweite Quartettmorgen* [1838], *Gesammelte Schriften über Musik und Musiker,* 5th ed. by Martin Kreisig (Leipzig, 1914), 1:336, trans. John Daverio in endnote #39 in "Fin de Siècle Chamber Music and the Critique of Modernism" in *Nineteenth-Century Chamber Music,* 238.

egotism and showmanship had to be subjugated in order for the musical totality to emerge.

Theodor Adorno has drawn a link between chamber music playing and a sense of contest;[14] this sense must necessarily be a friendly one, since what the players compete for is musical support from other players instead of spotlight. While it is true that in most nineteenth-century chamber music compositions all participating voices are overall equal in status, it is often the case that at a given time only one voice serves as the "theme carrier"; thus, the participating voices take turns in being the "discussion leader" even though they contribute equally to the musical totality. Furthermore, a fruitful musical conversation is only possible when each participant has a thorough understanding of not only his own part but also the role his part plays in the total context in relation to other parts. Those aspects of musical decency can be clearly seen in the technically undemanding *quatuors concertants*, which were popular among French amateurs in the beginning of the nineteenth century. In those an emphasis is placed on thematic exchange, which resembles the exchange of ideas in conversation, and when one instrument has the theme, sometimes a rhetorical *solo,* the other instruments are often given a minimal role to enable the projection of the melodic part.[15]

Another issue concerning the relationship between chamber music and the social elites, in particular those from the bourgeoisie, is more elusive and involves the notion of the *Bildung.* The type of music that was most valued around the turn of the nineteenth century was instrumental music, which bore no text and thus had no relation to any verbal meaning. As the musicologist Carl Dahlhaus has pointed out, several nineteenth-century

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[14] Theodor W. Adorno, *Introduction to the Sociology of Music,* trans. E.B. Ashton (New York: The Continuum Publishing Company, 1989), 86.

[15] The New Grove, "Chamber Music."

intellectuals approached instrumental music as if it were some kind of religion, for instrumental music, through its lack of text, was for them capable of expressing a sense of infinity often associated with religion. For example, in his *Kalligone* of 1800, a metacritique of Immanuel Kant's *Critique of Reason*, Johann Gottfried Herder claims that *devotion* [emphasis mine] is the highest result of all music, including and especially instrumental music. Similarly, Wilhelm Heinrich Wackenroder uses a quasi-religious language in discussing instrumental music and argues that listening to music requires just as much attention and sincerity as praying.[16] The issue concerning the parallels between instrumental music and religion is too complex to be dealt with here, but it is quite likely that the relationship between the two is partially rooted in the late-eighteenth-century notion that morality is constituted of biologically internal impulses, and because music resembles internal motions of the body it mimics the sanctifying role of the Holy Spirit. Instrumental music, in the words of Johann Nikolaus Forkel, is thus bestowed the power of moral representation.[17] The relationship between music and morality is, again, an issue too complicated to be discussed in depth here, but without question the link between them made music an integral component of the *Bildung.* The learning and playing of music was thus thought to be helpful in instilling discipline, sharpening intellect, and shaping morality in young adults. Chamber music was one of the most accessible means for achieving such educational ends because of its economical makeup, as the inherently small instrumental force made performances easy and inexpensive to produce. It is also

[16] Carl Dahlhaus, *The Idea of Absolute Music,* trans. Roger Lustig (Chicago: The University of Chicago Press, 1989), 78-87.

[17] Daniel K.L. Chua, *Absolute Music and the Construction of Meaning* (Cambridge: Cambridge University Press, 1999), 114-15.

significant that the building of moral character through chamber music playing is a social and interactive process because it requires group effort.

From another musico-sociological perspective, chamber music playing offers a space for the thriving of sensuous subjectivity and provides a feeling of completeness rarely found in the capitalist society, the dominating force of which, according to Adorno, annihilates the expressive life of the individual.[18] Participants in chamber music playing can indulge themselves in this musical emulation of an ideal society, in which the totality can only exist when all of the players, while retaining their individuality and idiosyncrasies, contribute fully to it. Adorno's theory of the sonata form as a musical manifestation of the ideal bourgeois society can thus be best illustrated using nineteenth-century chamber music, early or late. Although the post-Beethoven monumental symphony also makes occasional use of the sonata form, its thriving toward monumentality results in a necessary fragmentation of sensuous subjectivity that is analogous to the division of labor. Furthermore, in a monumental orchestral work it is inconceivable to make all the parts equal in importance, and inevitably some instruments, because of their inherent lack of capability to be melodic and thus expressive, must always stay in a subordinate position and are forced to be silent for the most part.

Before delving into the Adornian theory of form and society it would be useful here to look briefly at the development of the sonata form, the most important musical form in the nineteenth century. When instrumental music began to be taken seriously in the late eighteen century there arose the necessity to provide it with coherent structures. Of the various forms the sonata form, perfected by composers of the First Viennese School, gave absolute music the most balanced order through a proportioned layout of

[18] Robert W. Witkin, *Adorno on Music* (New York: Routledge, 2000), 28-49.

symmetry, contrast, and continuity. As the musicologist Charles Rosen has argued convincingly, the sonata form is like a compendium of several fundamental forms, including the basic ternary and the rounded binary forms, both of which have a tripartite, essentially ABA structure. In describing the basic ternary form Rosen rightly characterizes its three sections as *exposition, contrast,* and *reexposition,* as the third section faithfully repeats the first section after the contrasting middle section. The more advanced rounded binary form, on the other hand, has a first section that begins in the main key area but often ends in a secondary key area; the key-related suspense posited in the first section remains unresolved until the third section, which, like that of the basic ternary form, is a restatement of the first section but its ending is in the main key area. The sonata form contains all of those characteristics of the two fundamental forms but its structure is much more complex. The three parts in the sonata form can be best characterized as *opposition, intensification,* and *resolution:* the opposition in the first section (conventionally called the "exposition") is posed by two contrasting key areas that often "host" the first and second themes, respectively; this tension is heightened and prolonged in the second section ("development"), in which distant key areas are explored and first-section thematic materials presented in "foreign" musical contexts; the section that follows ("recapitulation") then functions as a resolution and reconciliation of the harmonic tension posed in the first section and heightened in the second section.[19]

It was through the sonata form that much of absolute music imparted its sense of infinity in the nineteenth century, and chamber music served as the form's most important proponent after the death of Beethoven. What is socially significant about the

[19] See Charles Rosen, *Sonata Forms* (New York: W. W. Norton & Company Inc. 1988), 8-27. For the sake of clarity here I avoid using the plural "sonata *forms*" as proposed by Rosen.

sonata form is that its opposition-intensification-resolution structure can be read as a reflection of an ideal bourgeois social structure in which oppositions between social classes, after a period of intensification, can always come to a successful resolution and reconciliation without the loss of each class's own characteristics, although the characteristics may be given a different contextual meaning at the end. Significantly, in the sonata form it is customarily the material in the secondary key area in the exposition that is brought to the main key area in the recapitulation – the opposing group, in that sense, must always give in to the dominance of the main group.

The social implications in the sonata form can be read in many other ways. The music educationist August Otto Halm (1869-1929), one of the first to point out the parallel between the sonata form and society, says that the theme in the Classical sonata, like an individual,

> "…is not so much valued as a 'being for itself,' with its own rights and its own life. It is much more a case of it being used, indeed manipulated: its own achievement is circumscribed. It has its place and its function within the whole, and it is often only this function which lends or denies it life. It is at the same time defined and held together by the atmosphere of the total event."[20]

Halm also points out that there appears to be an increasing emphasis on the individual theme, its shaping of the musical totality, and its progress toward freedom, though he also brings up the issue that the theme that is to become "free" is in ways pre-configured in order to fit the musical totality.[21]

In Adorno's theory this notion of Halm's is developed further. In the Adornian reading the sonata form is a musical manifestation of the structure of society, in particular

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[20] August Halm, *Von zwei Kulturen der Musik,* (Munich: Georg Müller, 1913), 252, translated and quoted in Max Paddison, *Adorno's Aesthetics of Music* (Cambridge: Cambridge University Press, 1993), 74.

[21] Paddison, *Adorno's Aesthetics of Music,* 74.

the bourgeois society, and that the theme, the motive, or the instrumental part musically impersonates the bourgeois individual. This individual goes out from itself and helps organize the musical totality from its inner dynamics and subsequently returns, no matter how far it has traveled, to itself in a state where individual freedom and social constraint are reconciled and synthesized.[22] More specifically, the musical individual (like the bourgeois individual), after having been compelled by the sonata form (society) to detach itself from its original context (and in that sense to detach from itself), experiences tensions through interacting with the external, "objective" relations (social relations) in the development section, and subsequently returns in the recapitulation where it goes back to itself and arrives at a reconciliation between the individual and the totality. In other words, operating under the aegis of the sonata form, the musical individual, during the course of the movement, goes out from itself to interact with the generalizing world of object and is always able to return to itself without losing its identity; it is in this process that the musical individual experiences freedom in objective reality within a structured form. It is not without significance that Adorno sees the apex of the bourgeois effort to bring together and reconcile the opposing forces of part and whole best reflected in the sonata-allegro movements from Beethoven's middle-period compositions. After Beethoven's death those movements became a source of inspirations for many subsequent Romantic composers. In them the sonata form is vastly expanded but the musical individual condensed and often comprises nothing more than a succinct motive – the musical individual, now reduced to its bare bones, nonetheless functions as the building block of the entire movement and remains clearly identifiable, even in the most

[22] Rose Subotnik, "Adorno's Diagnosis of Beethoven's Late Style: Early Symptoms of a Fatal Condition," in *Journal of the American Musicological Society,* 1976, 248.

remote key areas or timbral contexts, throughout the entire movement. This may provide a partial answer to the question about chamber music's anti-progressive or even regressive tendency in the nineteenth century: the genre functioned as a means of preserving a perfected musical order in which aspects of an ideal social structure were reflected.

From the above discussions a case can be made that chamber music remained conservative and resistant to changes in much of the nineteenth century because its advocates, most of whom were from the conservative educated bourgeoisie, found the genre to be practical because of its economical makeup that enabled frequent and inexpensive performances, educational because of its various benefits in the upbringing of young adults, and ideologically sound because of its parallels to an ideal social structure. Seen in that light, chamber music remained a recalcitrant genre for socially legitimate reasons. Perhaps, after all, the influence of Beethoven did not cast as big a shadow on subsequent composers as most people believe.

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Title: *The Collection Of Chinese National Music* And The Course Resources of Chinese Music Education

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The Collection Of Chinese National Music And The Course Resources of Chinese Music Education

(Abstract)

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Course resources refer to the resources that help to form the courses and the necessary and direct conditions under which the courses are put into practice. They can be classified in different ways. According to their functions and characteristics, there are Material Resources and Conditional Resources, and *The Collection of Chinese National Music* belongs to the latter. According to their spatial distribution, there are On- and Beyond-Campus Course Resources, and *The Collection of Chinese National Music* belongs to both of them simultaneously.

The Collection of Chinese National Music, the on-going and forthcoming national music project, has by far produced five colossal volumes, namely, *The Collection of Chinese Folk Songs, The Collection of Chinese Quyi Music, The Collection of Chinese Opera Music, The Collection of Chinese Folk Instrumental Music* and *The Collection of Qinqu.* At present, much attention has been drawn to its application in music education courses so as to benefit schools at all levels and of all kinds. Therefore, I attempt to analyze this issue with respect to the aims, principles, categories and relations of course resources application.

I .Aims

a) It should be conducive to the realization of the ideals of education and the tenets of running a school, and reflect the demands and directions of social development and progress.

b) It should be consistent with students' internal learning conditions of students and traits of their physical and spiritual development, and satisfy their interests and tastes and demands of development.

c) It should be in line with the teaching competence of the teaching staff.

II . Principles

A. Priority principle. Sort out the major points from the many and varied

resources and set priorities.

B. Adaptability principle. Adapt to the similarities and differences of the individual students. The conditions of teaching staff should also be taken into consideration.

C. Gradation principle.

   a. Gradation of schools—kindergartens, primary schools, middle schools, colleges and universities, normal music schools and professional music schools

   b. Gradation of ages—infants, children, teenagers, youngsters, the middle-aged and the old.

   c. Gradation of feeling—sense and sensibility

   d. Aesthetic attitudes—enjoyment, appreciation and critical thinking

D. Practicality principle. Combining listening, singing, recitation and analysis.

E. Participation principle. Students personally take part in the activities of folk-customs, playing and singing and field research.

III. Categories

F. Direct courses: national folk music, music history, national music instrumental playing and ensemble.

G. Indirect courses: music composing, harmonization, polyphony, musical form, sight-singing, chorus and music theory.

IV. Relations

a) Proportional relationship between Chinese national music and Chinese professional creative music, foreign national music and foreign professional creative music.

b) Relationship among tastes, values and personal interests.

c) Relationship between teachers' familiarity with national music and the objective demands.

d) Relationship between "bilingual education"—"mother tongue" and "foreign language" music education.

Title: Interrupting the Conversation: A Poet Responds to Visual Art:
Poetry Reading by Laura Lee Washburn

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Interrupting the Conversation: A Poet Responds to Visual Art:
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Poetry Selections, Part I: Improvisation

The Pepper
after an Edward Weston photograph

He laid the pepper on the pine table
and adjusted the lights
so that a shadow curled under it.

In a year, you lost a breast.
So simple, just damage,
they cut it away. See that dark spot,
a mole marking the pepper's skin.

When you sliced off your hair,
I put my lips against your clean neck.
Sunlight caught the thin hairs
on your shoulders, the wet mark
of red lipstick. Your pain bit through its skin.

This table, too, is scarred in its grain,
but to notice you must look
under the curve of the pepper. See,
in the place where everything meets,

the wood's grain scraped white.
Obscene light burns against the inside
parts, against the white
core of this ripened damaged pepper.

After Enlightenment

from Perro Semihundido
by Francisco de Goya y Lucientes

When the master is larger than possible,
something that rises dark and looming
as shadows of sounds you once heard
when the strange voice came near your sleep,
mimicking dream and taunting, you're
torn between life and memory of a woman
you heard before. You'd know
enough about her to stay
your distance if you could remember
where her menacing voice entered the world.
You're left with wringing hands and mortal needs.
You'd have your mouth satisfied
with chew and suck, gurgle and taste.
You'd have your eyes turned inward
by the look of a master who sees soul
and your darkness, and dotes
in spite of that. You'd have the soft
warm bed of sleep and a hand to remind
you of morning. When the master looms
dark and large and distant, you can't be sure
enough to approach, so you stay,
as you must, like anyone wise enough,
hiding in the vacant earth, barely
keeping your head, your wide white eyes,
above the desperate ground.

Attachment

after Sir Edwin Henry Landseer

Every day we return to the precipice
only to find what's lost is lost
and there's no regaining purer times.
If it was dead yesterday, it's dead today.
If it no longer feeds us, we'd better roam
to hunt ourselves. What in previous days
sustained, has changed. It even stinks.
Still, we persist with the cold lump
broken by stone. Still, we wish our touch
would transform the truth. We breathe
out our lives, with hopes of waking
death. Sentimental past response, faithless
to the moving world, steadied only by
fixed routine, given a thousand reasons
for catastrophe from crushing stone to the bush's
broken branch, the foot misstepped, a whirl
of wind, a broken breath, we're stuck
in the last life, and every day return asking,
hoping, nudging it back, useless, into our domain.

Poetry Selections, Part II: Argument

Developing

in response to Man Ray

The woman's made over into a violin:
Her head wrapped in a scarf, tight
like a bowl. This instrument
makes no music. She is another art,
grains and shades of white on black.
These grains don't feed. They don't
mature, they are like small boys,
who all their lives suck mother
from women, wanting to be fed.
This woman is like the masked one,
and the one whose buttocks
are shown to resemble shellfish
or eggs--paled, fantastic, still.

On the new farms, milking machines
pull silver milk from rows of cows.
All boys understand this yanking.
This woman is what they want her to be,
overexposed. They learn about the hand
on the neck, and about pushing,
about an object's beauty. Their hands
pull the violin's white strings. Her head,
wrapped into a bowl, is unused.
Here, flour and yeast won't rise.
No lips, breasts, music, or bread,
only men closed in a red-lit room,
pictures on wet paper, white flesh,
imagination cold as concrete,
this woman stiff and still
and may as well be dead.

Poetry Selections, Part III: Reflection

Gaugin's Ham

Gaugin's ham would feed eight people,
but I can see he intends this cured wonder
for himself. He'll have one thick porter,
eight roasted cloves of garlic and the loaf
of bread he's bringing to the table now.
Most likely he'd share, if he weren't already
smashed on European superiority and the larger
part of a porter previously drunk. In any case,
I've long ago given up on flesh
and can't abide gluttony, or shops
of cheeses, where samples sate
the sated, while starving addicts
beg cash for drugs on crowded streets.
Madrid's Museo de Jamon hung ham
from floor to two story ceiling, in rows
that stretched three walls, served large
enough single bottles of wine at lunch.
We fought like wretches on the streets,
tired and sick of differences and language.
Gaugin turned to the body of a girl,
made older only by his view of primitive
as free, by that strange logic of chivalry
toward laborers. I'd eat ham steak
from blue-green pottery, with roasted cloves
and porter if I believed, just for that moment,
I'd be happy. Truth is, slaughtered pig,
most intelligent of human food, starving
children, dying addicts, give me the garlic
and the porter, crusty fresh-made bread,
I may as well find myself
this one night most ecstatic.

Riña de Gatos

Some days the sunshine world goes gray
with the promise of sleet. One minute
friends are garrulous solving problems
of the town, changing the world their own
and then a word slithers forth, a phrase,
a story that wounds, and now we understand
Goya, how as time wore on him, bright parasols
made no delight. He turned from the picnic
and the peasant to God devouring the child,
to the truth of a certain kind of world: meeting
on the ruined wall of another life, ears flatten,
teeth bare, eyes bulge, backs raise. You
can hear the meanness like a cat's fight cry.
One friend's loose tongue, the swipe of claws
at a cheek, as though like tearing away a bandage,
the quick strike hurt less. In Goya
we know better, time crazes the sky (Kansa*s*
sky in winter--*no, couldn't be, green vine leafing* . . .)
and one friend's shock is held, stupor for the ages.

No matter how loose and quick the injury,
we preserve that wound, a scandalous treasure,
no choice but to carry it, wound forever
in the pose of fear. The cat
inside myself keeps one eye dilated and ready,
certain vessels of the heart constricting, remembering
or expecting (sometimes there's no difference)
the sudden blow, wound that smashed through childhood,
that I can't help but keep like a painting framed.
Every day, ignore the gash to no avail, the world lights
pain from within, Hope diamond in the illuminated case.
Forgive, forgive, forgive,
who made this unwavering grief can never make amends.

Taste of Chicago

One man curls up against the large body
of the nude Botero woman. He leans in her arms,
his back against her breasts.
These round bodies call us to touch them
with all their circles, breasts and hips and bellies,
heads and shoulders. Everyone is large and round
and beautiful. We're on our way into a crowd
so huge the only object is to move toward food
and not be touched. But before we go there,

we visit these Botero people. The long line of them,
friendly giants. Some are naked and we stare
into their crotches, noticing that, by golly, yes,
the genitals, the penis, the slit, they exist there.
Large, brown inviting bodies, art stands out to meet us.
A bronze hug we can stand better than mothers
and fathers, the people we've known a long time.
These special humans hold us in their stiff embraces;
we're safer here by far than in the heat of living bodies.

Whistlejacket

George Stubbs, 1724-1806, British National Gallery

When a painting goes unfinished
does that mean an artist's death?

Here's a horse that lives centuries
refuses limitation, refuses stillness.

His belly glows with breath,
reared in air, he snorts, he poses,

left hoof stomp first, ears pricked,
his eyes catch your guilty lust

for the secrets of animal life.
You'd like to think of him as clever,

human masked by animal flesh
and power. That's the thing.

If he's as good as us at math and love
and brains, then we're clear losers,

with bodies less graceful, less beautiful
than this power stored in the haunch

and running leg, than lighting white
between his human eyes, and nostrils

wide enough to fuel fire. Well,
he doesn't die. He isn't mastered

by scenery, rider, or the single dimension
of the canvas. The artist couldn't paint

him back to beast. Whatever
happened, loss of commission, boredom,

the patron falling out of fashion,
when you walk through the halls of beauty,

truth, and grief today, beware, from several
rooms away, you'll see him breathe,

you'll think he lives this world and soon
will charge the halls. Say optical

illusion if you will, we know already
we're too weak to believe in visions
torn from out the ordinary world.

The following poems originally appeared in these books: "The Pepper," and "Developing" in *Watching the Contortionist: Poems by Laura Lee Washburn*, Palanquin Pr, 1997; and "Taste of Chicago" in *This Good Warm Place*, March Street Pr, 1998.

###

"Bigger Thomas Jefferson: Rage, Redemption, and Transformation in Ernest Gaines's *A Lesson Before Dying*"

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Abstract: In his 1949 essay, "Everybody's Protest Novel," James Baldwin, in comparing Richard Wright's *Native Son* to Harriet Beecher Stowe's *Uncle Tom's Cabin*, denounces Stowe's novel as "a catalogue of violence." Baldwin argues that Bigger Thomas—Wright's violent protagonist created to dismantle the stereotype of the pious, docile Uncle Tom—"is Uncle Tom's descendant." He concludes that "Bigger's tragedy is not that he is cold or black or hungry [but] . . . that he admits the possibility of his being sub-human . . . . " In a follow-up essay, "Many Thousands Gone," Baldwin contends that "the idea of Bigger's monstrosity can be presented without fear or contradiction, since no [white] American has the knowledge or authority to contest it and no Negro has the voice."

If Baldwin were alive today, he would undoubtedly agree that one "Negro"—Ernest Gaines—does have "the voice" (as well as the knowledge and authority) to contest "the idea of Bigger's monstrosity," an image that continues to pervade the media by portraying the young black male as a "Menace II Society." This paper explores *A Lesson Before Dying* as a counternarrative to *Native Son*. Specifically, it demonstrates that Jefferson—the protagonist of *A Lesson*—not only redeems and transforms Bigger Thomas; he also compels us to look beyond the Uncle Tom/Bigger Thomas dichotomy of black manhood by offering us an alternative vision of a young black man who rejects violence, reconnects with the black community, and refuses to admit "the possibility of his being sub-human."

Title of the submission

Visual Metaphor: Theory and Practices for Interactive Multimedia Design

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Abstract

Visual metaphors have become a familiar resource in user interface design since the Graphical User Interface (GUI) was invented. This paper describes concept of visual metaphor and its use in interactive multimedia design. There are advantages and disadvantages to communicating the functionality of a new system by invoking the visual attributes of related systems or images. Some design professionals state that interfaces should be based on idiomatic principles rather than metaphors, since metaphors, by definition, subtly convey hidden meanings. If successfully employed, however, visual metaphors can be used to reduce cognitive load and decrease time needed to learn a new system. To put a visual metaphor to practice this paper advocates drawing upon the six steps to selecting an effective metaphor, based on the research of J.L Alty et al. Two cases employing visual metaphor in multimedia are described.

Visual Metaphor: Theory and Practices for Interactive Multimedia Design

Latanya A. Washington

> "The greatest thing by far is to be a master of metaphor. It is the one thing that cannot be learned from others; it is also a sign of genius, since a good metaphor implies an eye for resemblance."
>
> - Aristotle, De Poetica, 322 B.C.

Visual metaphors have become a familiar resource in user interface design. Such an approach provides many benefits, including an increase in learn-ability of a system. Moreover, it is reported that visual metaphor usage in user interface design was initiated by the Graphical User Interface (GUI) concept. The GUI was developed at Xerox PARC in 1973 (PARC, 2003). Nowadays, people have become accustomed to using the "desktop" metaphor of the GUI. It is a metaphor that leads one to believe that manipulating a computer's operating system is as simple as shuffling papers on an actual desk in one's workspace. One has to bear in mind that the complexity of bytes, RAM and processors are concealed by tidy graphical representations.

In view of the fact that the "desktop" metaphor was effective in encouraging the general public to accept or buy personal computers, it may at this time be instructive to consider the manner in which the visual metaphor may assist the media designer in developing tools for interactive multimedia.

Admittedly, some critics might argue that visual metaphor is inappropriate for effective interface design.

In Alan Cooper's article, "Myth of Visual Metaphor," he makes the claim that the future of interface design will not be based upon discovering the so-called perfect metaphor, a position with which I disagree. Specifically in this paper I will explore the limits and usefulness of visual metaphor for interface design. Ultimately this paper will outline a theory and methodology for using visual metaphor in multimedia projects.

I. Metaphor Defined

A metaphor is a linguistic convention where a given word or phrase is employed in a certain context to shed light on the meaning of a state of affairs in another context, calling attention to the similarities of the seemingly dissimilarities. Metaphors are often used by poets or writers to convey the meaning of an elusive concept such as love, hope, destiny or tragedy. “All the world's a stage,” could have been intended by Shakespeare to call attention to the fluidity of life, indicating that significant moments of life, like actors in a play, come and go. The unknown author’s metaphor, “Overnight, a blanket of snow fell” could have been used to illustrate the comforting effects of looking at fresh snow. Yet, the dissimilarities are strikingly apparent. Snow does not provide physical warmth as does a cozy blanket.

This figure of speech is poetic device that is at once revealing and concealing. The similarities between the ideas are illuminated in the metaphorical phrase. However, the reader is left to his or her own understanding of the separate words and the composite phrases to understand was the author intended. Without a doubt, complex relationships between two disparate ideas can be expressed through metaphor.

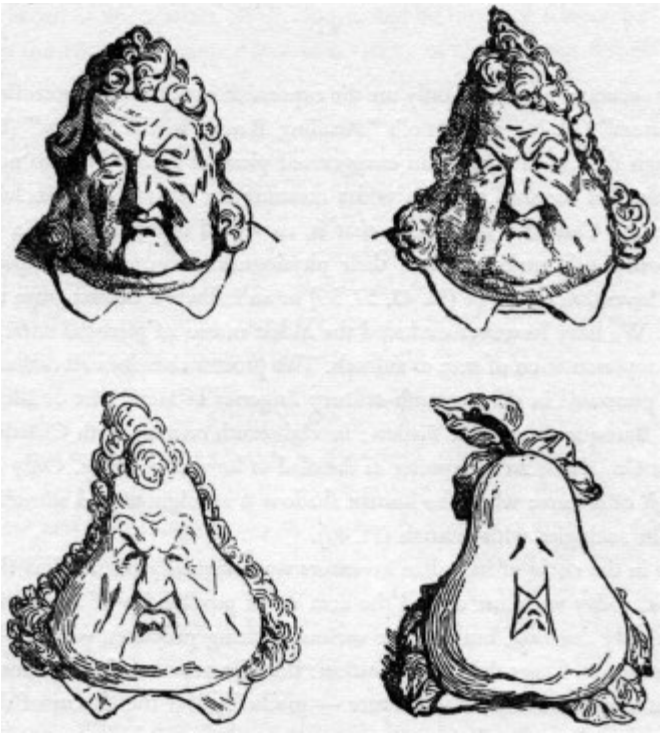
Visual Metaphor is defined as “representation of a new system by means of visual attributes corresponding to different systems, familiar to the user, that behave in a similar way” (Dürsteler, 2002). Art or illustration by its nature is a perfect medium to express depth and complexities inherent in metaphorical phrases.

Dake and Roberts (1995) explain the theory associated with visually metaphoric communication. First, the similarities in structure, shape and visual characteristics between the two objects are observed (p230). These characteristics comprise the physiognomic properties of the items. Next, observers blend, respective minds, the physiognomic properties of the two subjects, an event called bisociation. The term was coined by the author Arthur Koestler in his book "The Act of Creation."

> Koestler invented this term to distinguish the type of analogical thinking that leads to the acts of great creativity from the more pedestrian associative (purely logical) thinking, with which we are so familiar in our everyday lives." (Caldwell et al.)

Through this creative process of perceiving physiognomic properties and bisociation, visual metaphors can be communicated (Dake and Roberts, 1995).

Metaphors are pervasive in everyday communication or natural language (Lakoff, as cited in Dake and Roberts 1995). Because of this source of comparison in communication is prevalent, it is very possible to make analogous conventions in the visual sphere. It is easier to visualize the similarities in form and concept of images that are common or recognizable rather than images that are abstract or symbolic.



This is the example of physiognomic properties given in Dake article. Illustrator Charles Philipon draws comparison between King Louis Philippe and a common pear. drawn 1832, published in Charivari in 1834

[Fig. 1]

II. Usefulness of Visual Metaphor

The practice of taking one graphical idea to represent another system or concept in multimedia project can be beneficial in a number of ways. One advantage is that metaphor "reduces cognitive load"(Cates, as cited in Hsu et al. 2002) when trying to learn a new system. Mapping interface to something that is familiar to the user makes the system easier to learn. Also a visual metaphor convention can reduce the stress in learning a new system. As in the desktop example, a computer is not difficult to use because it is comparable to desk. Though a subjective concept, visual metaphors can add interest and amusement. Wastepaper basket for 'trashing files' can arguably be more interesting than the command line prompts in the literal non-GUI environment.

Multimedia is the presentation of text graphics and pictures to communicate information (Cawkell 1996). There are many activities that come under the heading of multimedia, ranging from hypertext, to image processing, to e-books, to compact disk media, among others. In interactive multimedia, the system reacts to the users input. This interactivity and response can be heightened through the use of visual metaphors. In multimedia environments visual metaphors may be employed in several forms:

- Web design: Using image maps for hyper-linking information
- Virtual Reality: E-commerce virtual "mall" with 3D navigation
- Interactive CD-ROM : Computer Based Learning program with a “city” metaphor
- Image Database Management: “Oak Tree” metaphor for image retrieval of files

III. Myth of the Metaphor

In the article, “Myth of the Metaphor,” Alan Cooper argues against the use of metaphor in user interface design. He says that the visual device is detrimental to design process because an effective metaphor is difficult to identify (Cooper, 1995). Cooper goes on to say that metaphors do not map well to computer processes (Cooper, 1995). Another problem is maintaining consistency or continuity among adopted metaphorical terms. Later in this paper, this problem will be explored more thoroughly.

Cooper criticizes use of metaphor because it does not provide for adding more features to the system, which may fall outside the realm of the visual theme. Indeed it is challenging to find a metaphor that is all encompassing or has broad application. At this stage in the development of the computer, it is the case that the ability of the user to recognize a metaphor could be problematic (Cooper, 1995). In light of element of creativity, along with the whimsical processes associated with it, the meaning of a given metaphor depends largely on one’s idiosyncrasies.

The “Myth of the Metaphor” outlines three paradigms for interface design; namely, the technical, the idiomatic and the metaphoric.

> **Technical paradigm**: Interface design from the engineer perspective, where the functions map directly to the buttons.
>
> **Idiomatic paradigm**: Clearly one must understand the meaning of the adage, “to beat around the bush,” before it can be used in speech. In the design paradigm, the user learns how to use Idiomatic Controls (Combo-boxes, scrollbars) a skill that is transferable to another system that employs a similar control.
>
> **Metaphor paradigm**: Design based on concepts of a familiar system mapped to a new system. Intuition based on past experiences is relied upon.

Cooper goes on to claim that idiomatic design is the future for interfaces. He states that certain idioms are easy to understand after one has grasped their meaning in a manner different from the way one intuits the meaning of metaphors. In the metaphor design, the user must rely on inferences seeking to determine its usage in a given context. Unlike metaphor modalities, idiom modalities could be transferable from one system to another as

evident by the prevalence of “dropdown” boxes on web forms. Metaphors do not offer the same direct transferability of graphical context.

IV. Framework for Constructing Design Based on Metaphor

A resolution to the problems identified by Cooper can be found in the research of J.L Alty et al. (2000). Their article “A Framework for Engineering Metaphor at the User Interface” provides a structure for the design and use of metaphor in the human-computer interface. The researchers give a set of objective techniques to select selecting a metaphor. The steps of their design process are as follows:

> **Step 1. Identify functionality of system:** This is the necessary first step which must proceed mapping connections between system and potential metaphors (Alty et al. 2000). The functionalities of the system are identified and labeled as *set S.*
>
> **Step 2. Generate potential metaphors:** The methods for achieving this step can include: brainstorming, extension of existing metaphors, market feedback and others. The researchers recommend ethnographic fieldwork to ascertain the metaphor properties that can be used in the design (tools, objects, behaviors etc.) These properties are confined to *set M.*
>
> **Step 3. Analyze pairing of metaphor and system:** In this phase the designer would compare *set S* with *set M*. The ratio of (S-M+) to (S+M+) determines the effectiveness of the metaphor. A large ratio means that the metaphor *concept* has much more features that are outside of the scope of the system functionalities
>
> **Step 4. Resolve implementation issues**: Some issues that arise are reconcilability, consistency, and appropriateness. The researchers state “it is vital that the user recognizes the metaphor immediately, as this is necessary step to understanding the system functionality it implies” (Alty et al. 2000). Also it is important to maintain uniformity within metaphor and between metaphors. Cultural connotations should be evaluated to determine the appropriateness of the visual devices.
>
> **Step 5. Evaluation of metaphor**: Testing the design construction in a working environment. Assessments should cover conceptual baggage, extensibility and realism.
>
> **Step 6. Feedback:** Data from the evaluation should be used in refinement of next phase of prototype design.

The framework described here was specific to the design of user interfaces in software, yet and easily be applied to interactive multimedia design. A considerable amount of preparation is needed (steps 1-3) before visual metaphor can be successfully incorporated into the design. The rewards should be evident in multimedia projects where ubiquitous graphical imagery melds together in cohesive visual metaphor.

Central to the techniques described is in the article is the analysis phase (step 3). This step is where metaphor is carefully selected. The framework gives an objective method - objectivity amidst the creative process of design.

V. Visual Metaphor Consistency - Interactive CD-ROM, Project Justice Bao

Computer Based Learning (CBL) programs is a genre of multimedia that benefit from the use of visual metaphor (Chen et al. 2002). The usage of metaphor is an easy way to map the conceptual model of the learning system (p252). Once the metaphor has been established, then the usability of the system can be increased (p252).

Chen et al. (2002) developed an interactive CD-ROM called *Project Justice Bao.* It is a CBL that was intended to stimulate students' interests in learning the Chinese language. The program relies on the metaphor of a "crime mystery set in ancient China." As the user navigates the "city" they encounter people of the town and engage in conversation. Questions and quizzes about Chinese language are integrated into the context of conversing with the citizens, as the user tries to solve the mystery. The researchers chose the crime metaphor to increase usability of program.

To effectively maintain consistency the *Project Justice Bao* designers created a bottomless navigation. Instead of using the typical button shapes, they used objects that were found in the scene such as bookshelves or doors. The problem arises when it is difficult to discern click-able areas from other contextual objects on the screen (Chen et al. 2002). This method for navigation is problematic and can possibly decrease learn-ability of other areas of the program. Users must navigate in the context of the metaphor and if the primary metaphor changes they must intuit variation in navigation. Adherence to consistency of metaphors can reduce this problem.

In another illustration of metaphor consistency within the CBL program centers around the learning activities. The developers designed the activities to be compatible with the primary metaphor of the scene. "It would not be logical for example, to place a question button on the 'ground'" (Chen et al. 2002). To avoid this inconsistency, problem solving events are incorporated into the scene rather than having separate quiz areas.

VI. Visual Metaphor in Web Design - Vivid Vision Project

The author was engaged in a web design project for a women's shelter called *Vivid Visions.* The organization used the icon of a house as its logo. During the early design phase for the project it was suggested that the house could be turned into an image map for navigation from the homepage of the site. As a result, several questions arose as how to effectively match the features of the site (services, volunteers, mission statement) with the regions featured on the house graphic. In light of this, it became evident that the usage of metaphor creates limitations in design.

The design convention of the house would metaphorically represent the mission of the organization: to house and protect the people who use the services. As discussed in techniques to selecting metaphor, the house motif incorporates more connotations beyond shelter activities.

While brainstorming ideas about using the house image map, it was proposed that the map be placed only on the home page and the popular left navigation buttons be placed on the inner pages of the site. This design direction immediately breaks with consistency conventions.

The image map was a novel idea that ultimately was not incorporated into the final design for the Vivid Visions project. Visual metaphor certainly has its place in other forms of multimedia design projects as discussed in the CD-ROM case. It is the techniques for selecting effective metaphor and maintaining consistency that determine if the design goals of usability are met.

VII. Future Directions

Alan Cooper claims that the future of interface design will be based on the idiom principle rather than metaphor principle. This approach asserts that easier to learn system once than ascertaining the concepts of the visual metaphor presented. Subsequent studies examining the difference between idiomatic interfaces and metaphorical ones may further support or counter the usefulness of visual metaphors.

The framework presented for metaphoric design involves a technical and objective process. It can be argued that such a framework subscribes too rigidly to the scientific method to be very advantageous for interactive multimedia design. The multimedia design process hinges much on artistic or aesthetic values rather than quantitative analysis. However, it can be argued that on large expensive endeavor, such as software design, employ such objective

methods for selecting metaphor can reduce development costs. As multimedia increases in technical capacity such scientific techniques for employing visual metaphor may become widespread.

In this paper v*isual metaphor* was defined as representation of new system by means of visual attributes corresponding to various systems. Questions of the usefulness of this convention have been debated among user interface professionals. This paper explored the effectiveness of visual metaphor convention in multimedia design. Six steps to selecting an effective metaphor were outlined. The methods posed in this paper can serve as a means to reduce some of the issues inherent in developing an intuitive multimedia design project.

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I. Hawaii International Conference on Arts and Humanities Submission on Issues Related to Teaching

A. Title of submission: The Pinocchio Project: A Multicultural/ Multi-Disciplinarian Approach Utilizing Puppetry and Storytelling to Teach Arts and Humanities

B. Topic Area: Cross Disciplinary

C. Presentation Format: Paper

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ADDITIONAL NOTES: Included with this paper are snap shots of the puppets (they are inserted onto a power point presentation). I mention it here because it adds much to the paper. Unfortunately, I cannot email the presentation because the file is too large. Thank you.

The Pinocchio Project: A Multicultural/ Multidisciplinarian Approach Utilizing Puppetry and Storytelling to Teach Arts and Humanities

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In the words of Jiminy Cricket, "When you wish upon a star, MAKES NO DIFFERENCE who you are." If only we would remember these words from our own childhoods, the dangerous world climate in which we live might be different. It is imperative that teachers bring students to a higher level of understanding about themselves through learning about other cultures. While important for society to celebrate the diversity of cultures, true understanding and compassion is found when students synthesize the concept of the basic human psyche, which is not diverse at all.

The Pinocchio Project began from the inspiration of the Broadway production of *The Lion King*, which led to a discussion about how to use an arts and humanities approach to teach multiculturalism. The idea was first to give students an opportunity to research storytelling and puppetry traditions in world cultures throughout time. Next, they would utilize visual arts, building techniques, and imagination to create their own production. Ultimately, our goal would culminate into a community service project in which the students would perform their final masterpiece.

Our classroom setting was unique; we taught at Kentucky's Governor's Scholars Program, a summer program consisting of high-achieving students, both rural and urban, who have just completed their junior year of high school. This setting provided an advantage in that we often had large blocks of time (2-3 hours) in which to work. However, the challenge was that we only had approximately four weeks of instructional time. In total, we had thirty-six students involved.

Pinocchio Goes to School: The Research Component

The research component served as the foundation of the Pinocchio Project. To develop an understanding of our world cultures, students chose one of twelve cultures to research. The suggestions provided were: Middle East, Japan, China, India, Appalachia, Hispanic countries, Africa, Australia, Ireland, Europe, Russia, and Native America. The students chose ten of these suggestions and formed groups of three to four students.

The guidelines for the research were to consider the following questions:

(1) Are there any social, political, historical, and/or religious implications?
(2) Are gender roles prevalent?
(3) What are the emerging story patterns, including themes and recurring characters?
(4) Are there similarities between the stories of the culture and stories of other cultures?

(5) How are technical elements (including music) traditionally implemented into the stories?
(6) Is there any training required of the puppeteers and/or storytellers of the culture?

For several days the students read puppet scripts, folktales, fairy tales, histories, etc. from their particular culture. The flexibility in the directions these students were allowed to take and the amount of choices given was appropriate for these high-achieving students. In a regular heterogeneously grouped classroom, the research assignment would perhaps need to be more deliberate in the directions and expectations.

One student chose to immerse himself in Japanese military history and thus took his portion of the research project in a different direction from his peers. However, his perspective and insight correlated well with the findings of the rest of the group, which discovered that heroism and selflessness seemed a prized value within the stories of Japan. Another student noted that most of the stories in the various cultures involved animals. He further explained to his classmates that these stories served as perfect examples of personification, synthesizing information he learned in a prior English class.

Once completed, the groups presented their findings to the class. At this point, much of our intentions and purposes became clear to the class. While there were differences within the puppetry and storytelling traditions, it was obvious that cultures share many of the same values, such as: honesty, courage, caution, loyalty, perseverance, etc. Additionally, after reading each story, the dominant value of each culture was clear. For example, the students noted within the Australian stories that respect for nature was prized. African stories use lots of animals thus emphasizing the value of nature. A conversation ensued about whether or not our stories reflected the value of nature. Sadly, although the original Native American stories did, our current culture does not.

Following this conversation, the class was asked to consider the stories they remembered from their childhoods and what these stories reflected. Next, small groups conferred regarding a script that the class as a whole would write reflecting values they themselves prized.

Prior to the class beginning, we, the teachers, had three possible directions we hoped the class would go with their script. Our ultimate hope was that the students would choose the most challenging route: to write their own script, which would incorporate aspects of all of the different cultures they studied. This was their choice.

As such, they chose the following values to promote: independence, courage, creativity, patience, modesty, loyalty, acceptance, and perseverance. Next, they integrated the various cultures by having their main character (a princess), travel throughout the world on a quest. She traveled to each continent, where a representative animal awaited her. The animals were: Bear (Europe), Lion (Africa), Wolf (North America), Penguin (Antarctica), Tortoise (South America), Kangaroo (Australia), and the Dragon (Asia). After the class settled on these premises, new groups were formed for: scenery construction, script writing, music, and puppet building groups.

Giuseppe's Son: The Creation Component

At this point, we presented the students with the challenge to make their proposed show a reality. Despite the giftedness of the students, it was obvious that they had stepped out of their comfort zones. Most of these students are on a college/ advanced placement track, or are from extremely rural areas. In both cases, the arts are either non-existent, or rare. This problem, combined with the fact that these students had rarely participated in activities in which they did not excel, allowed for a very slow start.
Our challenge as teachers was to teach them creativity by encouraging them to "think outside the box." We provided them with several books on costume design and puppetry. They began looking at ordinary items as possibilities for functions in our show such as: draping cloth over hula hoops for the dragon's body, tying newspaper strips into knots for the bear's head, and covering dryer hoses with fabric for the kangaroo's legs.

Another challenge we experienced was to resist the urge to tell the students how to make things. This proved the most difficult with our scenery group. Comprised primarily of males who wanted to build, this group did not know how to approach the idea of design. We chose to slowly provide them with various models, and transferred some of the more creative members of other groups to assist them, which proved very successful.

The puppets were amazing. They were life sized, often taking as many as two to three people to operate. They were also as colorful as they were large, creating an excellent culmination of visual arts.

Let Your Conscience Be Your Guide: The Writing Component

While the building was taking place, the script writing team began their work using the basic outline, which the class provided them.

After reading the first draft of the script, we realized that this provided us with a perfect opportunity to teach the concept of considering "audience" when writing. The students had inadvertently not considered that the script was intended for children. For example, their vocabulary was too advanced for our targeted 4-8 year old audience. Upon revision, the students added more action, more jokes, and more opportunities for audience participation. Also, they realized that their original subtlety in the theme needed to be more direct. They achieved this primarily by adding a conclusive statement by the princess, explaining to the dragon where she had been, whom she met, and what she learned on her journey. Also, to increase audience participation, the music group contributed many ideas.

Tinkerbell's Tinker: The Music Component

The music group began their task with more research, exploring the traditional music, sounds, and instruments of each continent. Next, they found auditory samples of each

type of music to be used during the show. For example, salsa music was used to represent South America. They also used recordings of waves and wind for various effects.

The music group also contributed to the script writing by providing appropriate sound effects and motions for the audience to make during the performance. Additionally, the music group created small colorful instruments for the children to use.

The Gypsy's Show: Production

Once the groups finalized their products, it was time once again to reconvene for the rehearsal process. Out of necessity, some of the actors were chosen within their puppet building groups due to their sizes. Other groups had grown so attached to their particular animal that they did not want to part with them. So in essence, the students themselves cast much of the show, which was a sign to us that they had truly begun to think both creatively and independently. It was also a sign that the student's were fully invested in the project.

Along the way, we taught several mini lessons on performance techniques, such as: projection, vocal expression, facial expression, and movement. Once our puppets were finished, our students applied this knowledge.

After several rehearsals, we were ready to take our show on the road. A local YMCA day care program, a United Way Agency, provided us with the perfect audience. We performed several shows for different age groups. Naturally, the performance was its own greatest reward. The students saw a finished product of their own, and its benefits to the community. The children in the audience were focused and enthused as reflected in their participation, which was a sign to our students of the production's success.

Trapped in the Whale: The Pinocchio Project Sequel

The success of The Pinocchio Project compelled us to teach the course again the following summer. We started the class in much the same way, but ended with an entirely different product. The students divided into groups and began researching the puppetry and storytelling techniques from the different cultures, and returned to disseminate their findings.

This time, however, the discussion centralized on the similarities the stories of the different cultures shared. The students were fascinated by the discovery that many of the cultures shared similar stories to ours. For example, almost every culture has its own flood story and creation myth. Cinderella also seemed to be a very universal one. This discovery led to the theme of our next production. The students went back to the library and took another look at their culture, this time searching for any fable, myth, legend or tale that seemed to have a strong similarity to a fairy tale with which they were familiar. As teachers, we were thrilled that we had a class of nearly forty students who practically ran to the library with enthusiasm for learning.

When the class returned, the students began discussing possibilities for the final production. They narrowed all of their selections down to four: A Chinese version of the Ugly Duckling, an Italian version of Rapunzel, an Appalachian version of Cinderella, and a Little Mermaid from Africa. Next, they broke into four groups and began constructing puppets for each story. Each group also wrote a script, modifying the story for performance. Again, the results were fascinating.

This time, in addition to the colorful life sized puppets, the class also constructed props and scenic pieces. For example, the Appalachian Cinderella group constructed a barn yard, and the Rapunzel group constructed a castle with a large window, out of which Rapunzel could let down her long hair.

There would be another change this year as well. Because the performance the previous year had been so successful, we decided to add another venue. In addition to going to the local YMCA and performing for the United way Agency, we also performed at the local public library. Admittedly, we, the teachers were a little apprehensive that there would be very few children in attendance. To our surprise, there were nearly 100 children in attendance, along with their parents and guardians.

The puppets changed, the script changed, and the performers changed, but the enthusiasm of our students and the children certainly had not. The Pinocchio Project was a success!

The Fairy Godmother Grants a Wish: Conclusion

The strengths of the Pinocchio Project far outnumbered the minimal challenges. It astounded us with regard to the wide spectrum of different disciplines learned. The skills and disciplines covered by the Pinocchio Project included:

- English: writing, revising, drafting, publishing, audience, voice, playwriting, literary analysis
- Drama: projection, facial expression, vocal expression, movement, creative dramatics, puppetry
- Visual arts: painting, designing, drawing, sculpting, art history
- Music: sound design, creating instruments, cultural/ international music
- History: cultural diversity, cultural similarities, political analysis, traditions and cultural practices
- Religion: traditions and their societal implications
- Engineering/ math: measurement, basic geometry, weight distribution
- Life skills: group communication and cooperation, sewing, construction and building techniques, community service, comfort and confidence in public speaking

We cannot possibly know ourselves until we understand both the diversity and similarities between ourselves and others. The Pinocchio Project allowed us to study other cultures by revisiting a joy from our childhoods: the joy of children's literature and puppetry. Student quotes attesting to the learning value of the project are listed below:

"During the course of five weeks, we have researched the history of storytelling and puppetry, written our own fairy tale, built our own puppets and performed our show for children at a local YMCA. When I first learned what we would be doing, I was a little hesitant. I am not talented in an artistic way, a dramatic way, or seemingly any other way this project would require. But as the days progressed, I enjoyed the class more and more. Researching the history of Celtic storytelling and all of its applications was extremely interesting. Building the puppets was a lot of hard work, but as it came together, it was a great feeling. And by far, the best part of the entire project was performing for the kids. Seeing how happy it made them, I realized that every inconvenience, every bump in the road was worth it, since we were able to make these kids happy." (Courtney McKenzie)

"I never considered myself as an artistic person. However, the project challenged me to open up and embrace the arts. The more I worked on the project, the more I got in touch with my artistic side. I discovered that my hands are not only good for working in a laboratory, but also for building, sculpting, painting and drawing. I'm proud to say that I have found my artistic side and can consider myself an artistic person. And I give all the credit to (the Pinocchio Project.)" (Nina Faghri)

"This class taught me many new things. I learned about other cultures' puppetry and folktales. It opened my eyes to a whole new world of culture to see how other countries had different folktales. It was an enjoyable experience to create the puppets. A lot of hard work and dedication went in to the making of these puppets. But it all paid off to see these children laughing and really enjoying the play. This class taught me to think outside of the box. It also taught me that these are many different ways to create something. Most importantly, this class taught me that helping people is a rewarding experience." (Matthew Cocanougher)

If we as teachers intend to create a future more compassionate than the one in which we currently live, then it is imperative that we continue to search for ways to creatively explore other cultures. It is our responsibility to plant the seeds of compassion in the minds of our future leaders and world community members. As teachers, we too must learn from Jiminy Cricket- and everyone's dream of world peace and understanding will come true, because "When you wish upon a star, your dreams come true."

PROPOSAL TO: 3 rd ANNUAL HAWAI'I INTERNATIONAL CONFERENCE ON THE ARTS AND HUMANITIES (Jan.13-16, 2005)

TITLE: "Linguistic Ideological Conflict in College Students from Working Class Backgrounds"

TOPIC AREA: Linguistics

FORMAT: 20-30min Paper

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ABSTRACT:
Demographic surveys indicate that a growing proportion of North American college students are coming from families which had not previously participated in post-secondary education. Many "new students," as they have been termed, continue their education for economic and personal reasons but, in doing so, may have to negotiate an internal conflict of values if they shift dialect from working class American English to a more standard English as a result of their education. This code shift differentiates their speech patterns from those of parents and community of origin, and it also may reinforce tensions regarding personal values.

Using conceptual frameworks developed for the field of *ideology of language*, this paper will discuss parameters of the language dilemma being faced by many new students, using interviews and surveys of traditional and older-adult students from Beaver County in Western Pennsylvania. Descriptions of specific kinds of linguistic change will be presented, along with discussion of their perceived social implications. The author will offer suggestions to faculty and administrators as they interact with the growing population of new students at their institutions.

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1. LOGIC, LANGUAGE, AND AESTHETICS: BRIDGING CULTURES AND DISCIPLINES

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The arts, in various manifestations, reflect cultural assumptions about order inherent in forms of logic, language, and philosophy. Aesthetics, derived from the Greek *aisth tikos* (sensory, sensitive), involves the ability to perceive, be sensitive to, "cosmic" (from the Greek *kosmos*, "order, harmony") patterns prior to processing them through human thought. If beauty is in the eye of the beholder, may it not equally be the case that logic is in the mind of the thinker? Thus aesthetic theories are infused with cultural conceptions of order, whether expressed as beauty, harmony, or goodness. The prominent role of Nature in Asian aesthetic principles must be especially recognized and appreciated. To open the minds of the students to the broad horizons of Asian philosophy, a cross-cultural, multi-media excursion encompassing alternative forms of architecture, garden design, musical composition and performance was provided. Japan's Katsura Imperial Villa was chosen as an extreme manifestation of the Zen aesthetic, while France's Palace of Versailles embodied an equally extremist view of "western" tastes. Although both were constructed in the seventeenth century, the pet projects of royalty, the results are strikingly different in terms of design and interaction with the natural environment.

LOGIC, LANGUAGE, AND AESTHETICS: BRIDGING CULTURES AND DISCIPLINES (1)

Sandra A. Wawrytko

Students often approach philosophy with a great sense of anticipatory anxiety, intimidated by the daunting specter of the abstract thinking required to grasp philosophical profundities. The challenge is to calm those anxieties by transforming alien territory into a comfort zone. The concrete forms of the arts can provide a bridge into philosophy's abstract domain so that, as Lin Yutang notes about Chinese culture, "the senses and the spirit come to live together in harmony."(2) Similar trepidation accompanies investigations of other cultures with their "exotic" ideas and values. Once again the arts can provide a beckoning gateway, luring students to explore the previously unapproachable.

These dual challenges of abstract thought and cross-cultural exploration confronted me when I designed a course initially entitled East Asian Philosophies: Logic and Language, focused on China, Korea, and Japan. A textbook of primary and secondary readings was compiled, to which I added an introduction and background materials. Subsequently both the course contents and the text were expanded to include India, Tibet, and Vietnam, as well as Mahayana Buddhism. The revised course title, Asian Philosophies: Logic, Language, & Aesthetics, reflects this expansion, which proved to be an ideal point of entry into the mystifying worlds of both Asia and philosophy for students with limited exposure to Asian culture

The key role played by the arts in Asia as the connecting link between logic and language became increasingly apparent as I taught the class. The arts, in various manifestations, reflect cultural assumptions about what constitutes order, as manifested in logics, languages, and philosophies. Accordingly, each chapter of the text provides a discussion of the aesthetics underlying the culture or topic addressed. A contemporary connection was forged through discussions of science, the primary arbiter of order in today's world, as well as scientists' obsession with beauty. (3)

Aesthetics, derived from the Greek *aisth tikos* (sensory, sensitive), involves the ability to perceive, be sensitive to, "cosmic" (from the Greek *kosmos*, "order, harmony") patterns prior to processing them through human thought. If beauty is in the eye of the beholder, may it not equally be the case that logic is in the mind of the thinker? Thus aesthetic theories are infused with cultural conceptions of order, whether expressed as beauty, harmony, or goodness. (See Diagram 1) The prominent role of Nature in Asian aesthetics must be especially recognized and appreciated.

I must hasten to add, however, that the following discussion in no way encourages or supports a simplistic and reductionistic reading of either Asian or non-Asian culture. It is not my intention to suggest that the artistic expressions dealt with here represent an encapsulation of aesthetics "East" and "West." Following the lead of Hajime Nakamura (*Ways of Thinking of Eastern Peoples*), I reject the stereotypical East/West dichotomy of values, as well as the assumption that any culture can be readily subsumed under a single principle.

To open the minds of the students to the broad horizons of Asian philosophy, a cross-cultural, multi-media excursion encompassing architecture, garden design, musical composition and performance was provided at the beginning of the course. Japan's

Katsura Imperial Villa was chosen as an extreme manifestation of the Zen aesthetic, while France's Palace of Versailles embodied an equally extremist view of "western" tastes. Although both were constructed in the seventeenth century, the pet projects of royalty, the results are strikingly different in terms of design and interaction with the natural environment. This difference reflects vastly diverse assumptions concerning aesthetics, logic, and order. Each stands as a unique testimony to a very specific conception and expression of aesthetics possessed by the equally unique personalities involved in their construction.

Students were given a vicarious experience of each of these sites by means of video tours, accompanied by famous seventeenth century musical pieces from the respective cultures. They then were asked to evaluate the conceptions evoked by maps of the sites as well as their perceptions of the videos and musical selections. After analyzing their experiences, they attempted to synthesize the defining principles of each site guided by the following questions:

how are the sites planned and ordered?
what is revealed about respective definitions of beauty and order?
how does the music mirror the physical environment?

The amorphous layout of Katsura (Figure 1) and the simple elegance of its buildings (Figure 2) contrasts sharply with the geometrical precision and intricacies of Versailles (Figure 3), characterized by grandiose multi-storied facades. Design with Nature is evident in the former site, while the latter demonstrates the imposition of rigorous control to "improve" Nature in line with human desires. The same disparities emerge in the musical compositions: the Japanese music undulates sensuously, punctuated by silences, while the French composition reflects the mathematical patterns beloved by Baroque tastes.

The comparative experience evoked a variety of responses. One student succinctly noted the incongruities between these contemporaneous art forms: from Versailles he concluded "one needs to be powerful to waste resources," while Katsura was viewed as being "without much detail." Similarly, After discussing student reactions, we began to delve into the specifics of each site, seeking to uncover the underlying cultural assumptions responsible for the huge artistic differences they had encountered. Points of comparison have been organized in summary form below--the what, who, how, why of architecture and garden design as well as musical composition and performance. Overviews of the respective ambiance and underlying aesthetic/philosophical/cultural principles of the designs also are included.

Again, it is important to emphasize that a multitude of styles are to be found among Asian cultures and within individual cultures over time. The symmetrical design principles characteristic of Versailles are not the exclusive choice of the ôWest.ö Sites in India (the Taj Mahal), China (the Forbidden City), Cambodia (Angkor Wat), and even Japan (Todai-ji) readily can be identified that reflect a preference for rigidly balanced, ostentatious, and extravagant designs. Similarly, an appreciation for naturalness and simplicity is not unknown in non-Asian cultures being evident, for example, in America□s Shaker communities. The same anti-stereotyping proviso applies to the musical expressions of each culture under consideration.

"EAST"-"WEST" AESTHETICS
ARCHITECTURE & GARDEN DESIGN
KATSURA IMPERIAL VILLA
& THE PALACE OF VERSAILLES

WHAT
cottage/tea house transformed
into imperial villa
Zen tea garden
16 acres (6.5 hectares)
wood bark roof, lack of sculptures or brightly colored paintings in interiors,
mainly single story structures
large meandering pond
five tea huts

hunting lodge transformed into
palatial principal residence
formal gardens
nearly 15,000 acres in original form surrounded by 27 miles of wall
endless corridors of extravagantly embellished rooms
grounds featuring pools, statues, fountains, groves, stables and flowerbeds
all meticulously maintained

WHO
father and son of the Hachij family
Prince Toshihito (1579-1629)
Prince Toshitada (1616-1662)

father and son
Louis XIII (1601-1643)
Louis the XIV (1638-1715) ("*L'etat, c'est moi"* [I am the state])

HOW
designed by the Hachij princes themselves lovingly constructed using the description of a garden in *The Tale of Genji*.
"The garden was designed not only to be viewed from the buildings, but was also a large-scale tea garden. Its pathway was deliberately designed to provide viewers with a variety

of views throughout the garden. Its pathway was particularly planned for the purpose of moon viewing and appreciation of the natural beauty of the four seasons." (4)
the princes' limited financial resources were carefully controlled to insure consummate craftsmanship

garden design, André Le Nôtre (1613-1700), educated in mathematics, geometry, architecture, painting, who "cared not for money but only for beauty. . . . [he] resolved to turn the 'disorder' of nature into order, harmony and reasonable, intelligible form." (5)
chief architect Jules Hardouin-Mansart (1646-1708), exponent of French Baroque classicism
an unlimited budget burdened the French people; the price has been compared to the current cost of a modern airport or an aircraft carrier, estimated by Will and Ariel Durant at $500,000,000

WHY
inspired by the Heian aesthetic and its primary literary product, Murasaki Shikibui's *Tale of Genji*,
a villa near the Katsura site inspired Murasaki's fictional estate for Genji
parallels between the respective political disappointments of the fictional Prince Genji and Prince Toshihito
Katsura, "a much desired yet unattainable goal" with recurring moon symbolism
(where the Katsura tree grows) and flower viewing (seasonal cycle) (6)
inspiration for poetic composition, tea ceremony, active participation in creativity
"the architecture and the garden become occasions for spiritual elevation. . . . the garden . . . is meant to be a place where the viewer can become aware of his existence as part of nature," leaving behind "political misfortunes." (7)
"it was built so that walkers may feel something of Zen." (8)

venue for glorifying the gods of Olympus and pagan revelries; lavish theatrical entertainments
reflecting the power and brilliance of the Sun King
(Apollonian motif reflected in East-West axis of the plan)
passive appreciation of grand spectacles
"The sequence of the development of the gardens at Versailles is intimately related to the emerging power of the King [Louis XIV], his concept of monarchy, and his love affairs." (9)
means to confine and control a restive and potentially bothersome aristocracy
"To keep all these lords and ladies from being bored into regicide,
artists of every kind were engaged to arrange amusements." (10)
Louis XIV admitted: "In my heart I prefer fame above all else, even life itself. . . .
Love of glory has the same subtleties as the most tender passions." (11)

AMBIENCE

Nature-oriented; shifting, muted shadows

"a completely isolated miracle in the civilized world" (12)

"Here spirit is tempered over matter, greatness of conception is expressed by utter simplicity,
the tangible by the intangible." (13)

"Nothingness is truly well expressed here. Also present is a genuine Naturalness,
for we feel nothing unnatural or artificial." (14)

human-centered; dazzling play of light, hydraulic wonders in sprouting fountains

"the form's vast claim to have been true forever as the law of a universe in which nothing appears to change and there was nothing before this except defects of Nature a waste of marshes a lake a chaos of birds and wild things a river making its undirected way" (15)

UNDERLYING AESTHETIC PRINCIPLES

aged appearance, rounded shapes:

asymmetry

austerity ("Lofty Dryness")

profound subtlety ("Deep Reserve")

simplicity

naturalness

non-attachment

tranquillity (16)

"here we feel in the presence of No Mind, of an unintentional quality that is artless and natural, the kind of Naturalness beyond mere naturalness, made by man but nevertheless truly natural and far from any element of exertion." (17)

innovative, angular:
severe symmetry
effusive fountains
ostentation
baroque convolutions
conscious contrivance
extravagant possessiveness
commanding attention, awe-inspiring
"[T]he most extraordinary example of man imposing himself on nature,
changing, shaping, adapting, altering the environment to his will, at whatever cost." (18)

MUSICAL COMPOSITION & PERFORMANCE
LATE ASHIKAGA-EARLY EDO
& LATE BAROQUE-EARLY ROCOCO

WHAT
Shika no Tone
"The Sound of Deer Calling to One Another"
only *shakuhachi* piece included in Japanese junior high school music education classes

"*Pièces à deux clavecins*"
"Pieces for two Harpsichords"
Concerts Royaux, Royal Concert Series

WHO
Kurosawa Kinko (1710-1771)
founder of the Kinko school
received a transmission from Buddhist priest Ikkeishi

François Couperin (1668-1733)
"organiste du Roi"
later "*ordinaire de la musique de la chambre du Roi"* to Louis XIV
heavily influenced by Italian style

HOW
most famous *shakuhachi* (vertical bamboo flute) piece
can be played as a solo but often is performed as a duet,
representing two deer calling to each other
technically demanding, but also allows for individual expression
five part piece:
1) "*Mura-Iki"* (octave rising) technique
2) development of four climactic melodies

3) intensification of emotion with reintroduction of original melody
4) serene continuation of melody
5) traditional "rushing to the end." (19)

two harpsichords engaged in a binary form of "question-and-answer"
allows for individualization, given requisite self-discipline
maximizes qualities of the instrument:
"plucked attack"
"transparency"
"contrast"
"vibrant richness"
"Tense dissonances and elaborate decorations suddenly give place to
moments of an apparent simplicity that hardly any other composer could match." (20)

WHY
in the seventeenth century the *shakuhachi* became associated with peripatetic *kumus*
or "straw-mat priests," referred to as "priests of nothingness" (21)
performing on the flute was considered a form of Zen practice

favorite pieces of Louis XIV featured at weekly Sunday performances
Couperin's music "dissipated the royal melancholy" (22) amid political and military challenges
(such as the fiercely fought War of Spanish Succession)

AMBIENCE
emotional, intense, surprising turns, pregnant pauses, calm ending;
evoking moods of loneliness and isolation
"Within its lonesomeness and liveliness, the music depicts
the world seikan or the serene contemplation." (23)
what begins as a description of a deer calling for its mate ends on a transcendent note: "it is as if, rather than viewing deer, the focus is changed to that of the scenery deep in the mountains where the leaves on the trees have turned red and yellow." (24)

lush and languorous notes flow mellifluously from the paired keyboards,
with a stately undertone carefully crafted pieces that do not disappointment
our expectations of rational order amid tonal complexity
"The voluptuous *Allemande à deux Clavecins* is the only one of Couperin's surviving works
in which each harpsichord plays independent left- and right-hand parts. The resulting sonority is impressively rich." (25)

UNDERLYING AESTHETIC PRINCIPLES
less is more
"No matter how large or small an ensemble may be, the tone color of the instruments combined is such that the sounds do not 'melt' into a single experience . . . . Another important feature of Japanese traditional music is the general lack of interest in the type of vertical sound units known in the West as chords or harmony. . . . there is a general goal of creating the maximum effect with a minimum of material. . . the artistry of 'less action--more meaning.'
The challenge is to the flexibility of the listener, not the composer or performer." (26)

everything in excess

Couperin's "art crystallizes the miniature world of the Rococo and the attributes of Gallic genius "wit, refinement, pointed rhythm and scintillating ornament, clarity, and precision. This music is 'French without tears.' Its goal . . . : to charm, to delight, to entertain. . . . Listening to these supremely civilized measures, one understands Debussy's remark: 'French music aims first of all to give pleasure. Couperin, Rameau-these are true Frenchmen.'" (27)

The above introductory glimpses into extreme aesthetic possibilities laid the ground for subsequent class discussions of Asian logic, language and aesthetics. We went on to explore eight themes/chapters outlining the richness of Asian thought and culture, beginning with India. This seemed a natural progression, given the link to European culture through shared membership in the Indo-European language family for many parts of the subcontinent (Sanskrit, Pali, Hindi, Punjabi, Nepali, etc.). There is indeed a family resemblance in some basic assumptions. Discussions of beauty (*rasa*) highlighting the roles of emotion and physicality were balanced by epistemological excursions into early Buddhism and the Ny ya logic of later Vedanta. These allowed for interesting comparisons with ancient Greek views of the same topics. We concluded this section with a provocative piece from twentieth century philosopher Krishnamurti, "What is Thinking?"

This prepared the way for the challenging presentations of Indian and Central Asian Mahayana Buddhism's *The Lioness Roar of Queen Srimala* expounding the seminal Tathagata concept, Nagarjuna's Madhyamika logic (Middle Path Between Affirming and Denying), and selections from the *Lotus Sutra*. Vajrayana Buddhism, the Diamond or Thunderbolt Vehicle, was explored within the Tibetan cultural context, including a sophisticated ritual symbolism steeped in the arts, while informed by Tibetan Buddhist psychology. These insights were supported by philosophical presentations contributed by both traditional philosophers, such as Milarepa, and contemporary proponents, Chogyam Trungpa and the current Dalai Lama.

Moving on to East Asia, individual chapters were devoted to China and Japan, as well as the less often explored contributions of Korea and Vietnam. Again a cultural context for their respective aesthetics was provided, then further expanded through philosophical discussions past and present. The Chinese worldview was introduced through the fundamental principles of the *Yi Jing*, then elaborated in the varying views of Xun Zi's Confucian logic, Zhuang Zi's Daoist logic and language, and contemporary Chan Master Sheng-yen. A discussion of the Korean cultural aesthetics of *mot* (utter naturalness) was followed by excerpts from Buddhist Masters Chinul and T'aego. Vietnamese poetry represented the confluence of aesthetics and Buddhist philosophy, also reflected in Thich Nhat Hanh's profound yet unassuming teaching on interdependence in "The Almond Tree in Your Front Yard." The primal "ah-ness" of Japan's *mono no aware* aesthetic provided the prelude to Kukai's philosophically-infused Tantric poetry and Dogen's Soto Zen, expressed both poetically and in the essay format of the *Shobo-genzo*.

The concluding chapter considered the connections between Asian logics and post-modern science, inclusive of Fuzzy Logic and Chaos Theory. Western scientists have

been at the forefront of research linking ancient Asian traditions with post-modern physics. The underlying insight here is that the mechanistic model of the universe assumed by Newtonian physics fails to account for the complexity of the workings of the universe, whether manifested in the formation of a distant galaxy or the rhythms of the human heart. The order sought by science in the past is in many ways deficient, an enforced Procrustean fit that fails to illuminate the full range of reality. In seeking philosophies conversant with the fact of change we find promising candidates in the Yin/Yang complementarities of the *Yi Jing*, or Buddhism's sophisticated analyzes of Interdependent Origination (Pratitya-samutpada). Provocative questions arose:

Is logic one or many?
Can a science be founded on chaos?
Does order exist merely in the mind of the beholder?
If so, can the same be said for chaos?
What are limits of both logic and science in the broadest possible, cross-cultural, senses?
What might be learned by opening our awareness to other voices, other languages, other logics?

Each art form, aesthetic theory, and philosophical expression contains its own logic, encapsulating the language of the culture from which it originated. By deconstructing stereotypes of Asian art through an initial comparison with European examples from the same time period (Katsura versus Versailles), students were able to "empty their teacups" *vis-à-vis* Asian culture. This fresh perspective made them more receptive to the task of judging Asian philosophers on their own cultural terms, while seeking philosophical wisdom that transcends all cultures.

NOTES

1. A version of this paper is in press for *Education About Asia*.

2. Lin Yutang, *The Importance of Living* (New York: John Day Company, 1937), p. 116.

3. Numerous examples of the linkage between science and aesthetics can be found in the words of scientists themselves. For example, scientists/philosopher Werner Heisenberg (1901-1976), winner of the 1932 Nobel Prize in Physics, quotes Johannes Kepler (1571-1630): "*Geometria est achetypus pulchritudinis mundi*," which he renders as "Mathematics is the archetype of the beauty of the world." Heisenberg then notes "in exact science, no less than in the arts, [beauty] . . . is the most important source of illumination and clarity"; "Science and Beauty," in *Quantum Questions: Mystical Writings of the World's Great Physicists*, ed. Ken Wilbur (Boston: Shambhala, 1985), 67, 68. Writing about physicist Andrew Strominger's String Theory, K. C. Cole observes: "many of the greatest minds in physics are convinced of its ultimate truth-in large part because of its mathematical beauty. In the history of science, beauty has proved itself a reliable guide to truth. . . . Mostly what guides Strominger is a sense of aesthetics"; "A Career Boldly Tied by Strings," *Los Angeles Times*, 4 February 1997, sec. A16.

See also David Gelernter, Professor of Computer Science at Yale University, *Machine Beauty: Elegance and the Heart of Technology* (New York: Basic Books, 1998), which includes a chapter on "The Aesthetics of Computer Science," and John D. Barrow, *The Universe and the Teacup: The Mathematics of Truth and Beauty* (New York: Harcourt Brace, 1998).

4. Seiko Goto, *The Japanese Garden: Gateway to the Human Spirit* (New York: Peter Lang, 2003), 130.

5. Will Durant and Ariel Durant, *The Story of Civilization: 8, The Age of Louis XIV A History of European Civilization in the Period of Pascal, Molière, Cromwell, Milton, Peter the Great, Newton, and Spinoza: 1648-1715* (New York: MJF Books, 1963), 92.

6. Lunar-oriented aspects include a moon-viewing platform, moon-shaped architectural motifs, "the Basin for the Floating Moon," "the Moon-Viewing Bridge," "the Moon Viewing Window," and "the Tower of the Moon Wave," and "walking moon" boat.

7. Goto, *Japanese Garden*, 134.

8. Shin'ichi Hisamatsu, *Zen and the Fine Arts*, trans. Gishin Tokiwa (Tokyo: Kodansha international Ltd., 1971), 83.

9. William Howard Adams, *The French Garden 1500-1800* (New York: George Braziller, 1979), 84.

10. Durant and Durant, *Story of Civilization*, 32.

11. Louis XIV, *Mémoires*, as quoted in *The New Encyclopaedia Britannica Macropaedia*, Vol. 11, 15th ed. (Chicago: Encyclopaedia Britannica, 1975), 122a.

12. Bruno Taut (1936) quoted by Peregrine Hodson, "Katsura," in *Living in a Dream: Great Residences of the World* (New York: Simon & Schuster, 1993), 151.

13. Walter Gropius quoted by Hodson, *Living in a Dream*, 151.

14. Hisamatsu, *Zen and the Fine Arts*, 89.

15. W. S. Merwin, "The Garden of Versailles: A poet reflects upon the crown jewel of French landscape art that André Le Nôtre devised for Louis XIV," *The New York Times Magazine*, 18 September, 1994.

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18. Roger Phillips and Nicky Foy, *A Photographic Garden History* (New York: Random House, 1995), 78.

19. John Singer, The International Shakuhachi Society-Shika no Tone (Kinko Ryu); available from http://www.komuso.com/pieces/Shika_no_Tone_(Kinko_Ryu).html, p. 1; accessed 26 October 2003.

20. Norman Lloyd, *The Golden Encyclopedia of Music* (New York: Golden Press, 1968), 127.

21. "Shakuhachi," *Japan: An Illustrated Encyclopedia*, vol. 2 (Tokyo: Kodansha Ltd., 1993), 1355.

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23. Katsuya Yokoyama, International Shakuhachi Society, 6.

24. John Singer, International Shakuhachi Society, 1.

25. Kenneth Slowik, notes to F. Couperin, *Concerts Royaux Pièces a deux clavecins*, Smithsonian Chamber Players, Deutsche Harmonia Mundi 05472 77327 2, 7.

26. "Music, traditional," *Japan: An Illustrated Encyclopedia*, vol. 2, 1023-24.

27. Joseph Machlis, *The Enjoyment of Music: An Introduction to Perceptive Listening*, rev. ed. (New York: W. W. Norton & Company, 1963), 460.

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A Rousseauvian Argument Against Economic Inequality

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6) Rousseau's claim that economic inequality is dangerous to the stability of an egalitarian state appears intuitively valid to many modern liberal westerners, but he gives no clear justification for this claim. In this paper I attempt to reconstruct from Rousseau's scattered remarks on the subject a coherent argument that justifies limits on economic inequalities and some state-imposed redistribution of wealth and goods.

"… as for wealth, no citizen be so very rich that he can buy another, and none so poor that he is compelled to sell himself: Which assumes, on the part of the great, moderation in goods and influence and, on the part of the lowly, moderation in avarice and covetousness." - Jean-Jacques Rousseau[1]

Both Rousseau, in *The Social Contract*, and Joshua Cohen, in "The Natural Goodness of Humanity" deem it necessary for an ideal Rousseauvian society to limit the degree to which economic inequality may exist in order for it to successfully function. Neither however, present a clear argument to justify their position. Cohen is content to presume that an over-large economic inequality would "… undercut the role of political institutions in affirming our equality, upholding our worth as equals, and so establishing the conditions of free association."[2] On the matter of how much economic inequality is too much, Cohen notes that Rousseau's remarks on the topic are scattered, and "do not add up to a sustained answer."[3] Typically Rousseau's comments on economic equality are along the lines of the one that opens this paper; seemingly straightforward assertions against the 'obvious' dangers of economic inequality. But is this all that Rousseau has to say in these statements, or can a stronger, more nuanced and justified argument be read?

One interpretation of his assertions is that unequal economic power will inevitably lead to a disparity in political power, and thus upset the source of the egalitarian conception of self-worth. Such interpretations are strengthened by appeal to Rousseau's call for moderation in influence by the rich, as above, or notes such as the following: "In fact the laws are always useful to those who possess something and harmful to those who have nothing: Whence it follows that the social state is advantageous for men only

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[1] *Of the Social Contract*, Bk. 2, Ch. 11
[2] "The Natural Goodness of Humanity", p.121
[3] *ibid.*, p.138

insofar as all have something and none has too much of anything."[4] In other words, laws are typically made by and for those with the money to protect their interests, so only by equalizing economic distribution can a fair political system be guaranteed. This is roughly the line which Cohen takes in interpreting Rousseau, and incorporates into his argument.

But this interpretation has two problems. First, it fails to account for the entirety of either of Rousseau's statements; it is unclear on this account why Rousseau would argue for moderation in covetousness by the poor, or that not only should none have too much, but all have something. Second, on this view, Rousseau's argument would only be valid if the separation of economic and political power were impossible. While it may actually be the case that such a separation is impossible, it is certainly not something which has been shown, nor do Cohen or Rousseau offer any evidence in favor of this view. Elections strictly limited to public financing and other structural limitations could make such a world possible, at least in theory. If it were possible to divorce the two, Rousseau's argument for limitation of economic inequality would be negated. In asserting the need for modification of the motives and desires of *all* individuals and not merely the rich, Rousseau's statements seem to indicate that his argument is instead based upon his claims regarding human nature and not simply remarks on the dangers of money in politics.

My task, is to show that an interpretation of Rousseau's writings can be given which generates an argument against vast economic disparities and which is clearly based on his fundamental beliefs regarding human nature, one that would apply even if economic and

[4] *Of the Social Contract*, Bk. 1, Ch. 9

political power could be entirely divorced one from the other, and which is therefore more effective. Simultaneously, by accounting more completely for the remarks by Rousseau on economic difference, this interpretation will provide a more accurate picture of his thought on the subject.

In order to show how this interpretation works, as opposed to Cohen's, let us postulate at the outset a society which adheres to and achieves the general political ideals as put forth by Rousseau in *The Social Contract*. The entire citizenry is politically empowered as equals to form a sovereign whose aim is toward the common good. However, the economic model in this state is as close as possible to one of laissez-faire capitalism. Basic individual protections of rights exist, even a social 'safety net', so that no one need starve or be homeless. But otherwise there are almost no economic restrictions - markets are unfettered, taxes are just enough to maintain national security and similar absolutely necessary public goods (and are not more progressively structured than absolutely necessary) and no attempts at large-scale redistributions of wealth are made. Individuals can be as rich as they can make themselves, with no government interference; simultaneously no matter how well off an individual citizen is, she cannot influence the political process any more than the poorest through strict controls on access to legislators, media outlets, etc.

It may seem obvious to say that in one sense, even if all individuals were politically equal in such a system, economic inequality would still create a non-egalitarian outcome; after all money equates to power in non-political spheres as well. Those with more money would be much more capable of engaging in those activities or getting those goods and services which they desire than others. The wealthiest would never have to

engage in any labor, could own giant yachts, even bathe in tubs filled with gold coins, should they so desire; whereas the poorest simply could not fulfill these desires, no matter how much they wished. Certain goods in the public sphere are limited in supply, and would be apportioned to those who could pay the most in return for them.

Is there any danger inherent in this system, simply because some can better fulfill their desires? If the desires of the wealthy are generated from an egalitarian point of view one might doubt that there would be any reason to worry that they would desire things requiring the subjugation of others[5] If, as presumed, the wealthy in this society are politically egalitarian, and part of the sovereign, what could cause them to desire things as means to demonstrating their greater worth and value instead of just desiring things for their own sake? There would need to be something about the differential in economic power and ability on its own that would generate amour propre in the rich, and political dissatisfaction among the poor. By comparison, great difference in physical abilities don't on their own pose a threat to egalitarianism, so why should a large economic disparity cause any greater problem?

In both economic and physical disparity the overarching penal power of the state may serve to prevent actual cases of abuse. But this is not question at hand. We are not asking why individuals do or do not carry out their particular desires, but why they are motivated to have the ones they have at all. It is the underlying sense of relative self-worth that informs individuals actions, and serves to shape and motivate them. The presence of an exceptional athlete does not pose any danger to the egalitarian self-

[5] When Rousseau limits rights of property to "as much of it as one needs to subsist" (Soc. Contract, Bk. 1, Ch. 9), he does so from his conception of the gain of one as automatically entailing a loss for others. However this is not necessarily true., and for the purposes of this argument, I am presuming that one individual can live in great wealth without endangering the ability of others to survive.

conception of someone who is clumsy or physically disabled, nor would those who are vastly superior physically have reason to feel superior in their role as citizens to those of lesser physical endowment. The key to the difference between the dangers posed to self-worth by economic disparities and those posed by physical disparities is the *source* of the differentiation itself; in the latter case it is natural, in the former, institutional.

In the second discourse, Rousseau notes that, to some degree, any differences of ability among individuals in a social order may lead to differences in esteem, and thence to vice; "Everyone began to look at everyone else and to wish to be looked at himself, and public esteem acquired a price. The … strongest, the most skillful, or the most eloquent came to be the most highly regarded, and this was the first step at once toward inequality and vice: from these first preferences arose vanity and contempt on the one hand, shame and envy on the other"[6]. But both Rousseau and Cohen would deny that natural differentiations and the desire for esteem lead inevitably to either amour propre or a loss of egalitarian self-worth, as this would eliminate even the possibility of an ideal Rousseauvian society's existence. Due to the socially constructed nature of political egalitarianism, its formation through the self-binding agreement of those both strong and weak, skilled and unskilled, the social contract has a far stronger role in shaping individual feelings of worth than the natural envy one might feel from recognizing the greater esteem given to, say, Michael Jordan.[7]

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[6] *Second Discourse*, Part 2, ¶.16

[7] Even though the difference in esteem in such a case depends upon many social constructs (the NBA, the national media, the game of basketball itself, etc.), the key difference is a natural one. It is unlikely that a reasonable person would feel that the esteem received by Michael Jordan is something he has not in some way earned via talents ungranted by society, or at the least, that it compromises anyone else's self-worth in the process.

But let us compare this to the individual who, in our Rousseauvian society, has become enormously wealthy[8]. What is it that justifies the existence of his ownership over such a vast quantity of assets? In *the Social Contract*, Rousseau distinguishes between the justifications of possession and property.[9] Possession is that which comes from the ability of an individual to hold and use land; it is roughly equivalent to the 'right' of the stronger, which is no true right at all. Property on the other hand is a right established by the social contract. The agreement of the sovereign grants those rights, protections and freedoms which allow individuals to lay claim to property, and to expect all others within that society to honor those claims without the need to defend it physically from usurpation.

Where rights of property are guaranteed by the state, the social contract is the source of justification, which is itself grounded in the united will of the people oriented toward the common good. Thus it is the will of the people themselves which serves as the fundamental justification for property, and any disparities in economic wealth are authorized by their public will.

We already have noted that differences among individuals may lead to shame and envy on the one hand, and vanity and contempt on the other. And the greater the difference, the stronger the feelings will naturally tend to be. However, in the case of economic inequality, as opposed to one of physical inequality, the very institutions which those envious individuals *themselves authorized* are the *source* of justification for the

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[8] The case is made stronger yet if the wealth is presumed to have come from inheritance, as it often does. Money tends to make money, and Rousseau himself , in the second discourse (¶ 25 and 28) notes that differences in wealth can accrete over time, and eventually lead to vast inheritances of property by individuals. Certainly many wealthy people have become so through talent, though often that talent is not noticeably greater than many others, except perhaps in the skill of making money itself.

[9] Book 1, Ch. 9

condition which creates this differential in esteem. In such a situation the poorer individuals would naturally feel (rightly or wrongly) that the state was not serving their interests equally, and was favoring that of others. The system which acts to counter-balance and mollify feelings of envy in cases of natural inequalities only serves to aggravate those same feelings in cases where the inequality is almost wholly dependent upon the social order.

Thus, even if all members of the society had enough to live comfortably, a gross disparity in wealth would still undermine individual belief in the ability of the sovereign to represent the common good, and so would damage the stability of the Rousseauvian state. This is why Rousseau admonishes that not only should all have something, but 'none have too much of anything'; why the lowly should observe 'moderation in avarice and covetousness'; excessive dissatisfaction with a socially authorized inequality leads to dissatisfaction with the social order itself.[10]

So far, this only explains the dangers of inequality as they affect the poorer, but the rich would also be negatively affected in a laissez-faire Rousseauvian state. An individual who is held in high esteem all of his life, who is the object of envy (and most probably deference) and has far greater (non-political) privileges and opportunities will come to think of them as natural to him.[11] And if at the same time this source of esteem is protected by those very individuals who desire and envy it through maintenance of the

[10] Of course, in a Rousseauvian society, the people could and would act to remedy this inequality, and so restore their faith in egalitarian values.

[11] Is such a differential in esteem preventable? If so, the problem of economic disparity is easily solved. But natural envy from the recognition of difference makes this difficult to prevent, more so when one considers that someone with greater access to economic power is likely to use it to satisfy desires that others cannot without that power.

social order upon which it depends; then that individual will be likely to believe that there is something about him personally that justifies this difference in esteem.

Cohen quotes Rousseau's *Emile* to show how without proper training and careful education, such a misunderstanding of worth and the sources of esteem lead to a lack of compassion by the rich; "Why are the rich so hard toward the poor? It is because they have no fear of becoming poor."[12] When an individual feels that the source of unequal esteem is greater personal worth, and not mere chance and the justificatory decisions of the sovereign, she will feel that she has the right to her wealth simply because of who she is. When this occurs, the inflated or 'bad' form of amour propre may form in the individual, upsetting the social balance further.

On this picture, unlike a non Rousseauvian society, the rich would not necessarily be those who have become rich in order to satisfy a desire for greater self-worth propagated by amour propre. Quite the reverse; those who have become rich, particularly those who have become so through chance or inheritance, will come to feel greater self-worth and become vain and overly self-aware *because* they are wealthy. This picture may also be a better overall explanation of how such differences emerged historically than Rousseau's. If economic differences appeared only after the beginning of socio-political order, the gradually widening disparities would have eventually led to the belief of the wealthier in their greater natural worth, and without the egalitarian political conception, those who were poor would have seen the acquiring of wealth as the way to esteem.

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[12] *Emile*, p.224

One possible concern a free-marketer might have with a Rousseauvian critique of economic disparities is the worry that what is required by an egalitarian state is a completely egalitarian economic system. The problem with a system that requires an entirely even distribution of wealth is threefold. First, from a practical standpoint, it would be an untenable burden on the state. Unlike political power, wealth is constantly in motion, accumulating and dissipating among individuals, companies, and the government. The sheer amount of work required to keep the total amount of financial worth of all individuals even roughly equal much of the time would likely consume a majority of the government's time and energy. Secondly, as a matter of economics, some individuals simply require more economic worth. While Michael Jordan doesn't need $10 million, the individual starting a new business or developing an affordable housing project might. Even Marx said "to each according to his needs", and our modern, complex, industrialized economy requires some such disparities in order to function. Surely a Rousseauvian system needn't require us to live an agrarian existence, must it? Lastly, there's a psychological concern as well. What, asks the capitalist, is the incentive to work harder, to risk one's time and energy on a new business idea, a new company, a new product, if the end result is no net financial gain? Without the economic incentive, so the argument goes, you get the same problems that plagued the Soviet Union – an unmotivated work force that does just enough to get by.

While I think this last concern in particular is misguided psychologically, it is unnecessary to respond directly to any of them, as a Rousseauvian system of egalitarian economic worth does not require this kind of equality. All these concerns are based upon the notion of equality as 'treating everyone identically', which is roughly the notion of

political equality Rousseau espouses. Enforcing this notion in other areas is not only difficult, but potentially dangerous and absurd. Kurt Vonnegut, in his short story *Harrison Bergeron* describes a society in which "everybody was finally equal. They weren't only equal before God and the law. They were equal every which way. Nobody was smarter than anybody else. Nobody was better looking than anybody else. Nobody was stronger or quicker than anybody else."[13] In this society, exceptionally attractive people are forced to wear masks, the athletic are burdened with unevenly distributed weights on their bodies, and the intelligent have to wear receivers in their ears "tuned to a government transmitter. Every twenty seconds or so, the transmitter would send out some sharp noise to keep people … from taking unfair advantage of their brains."

However, with regard to economic disparities, the critique put forth here requires only a weaker notion of equality, "treating equals equally, and unequals unequally". That is, those who have a greater demonstrated ability in creating and/or need for greater wealth may be permitted to own more wealth, within certain reasonable limits. The extent of these limits is perhaps impossible to set out objectively beforehand, without context. However, it is enough for the purposes of this paper to conclude that some limits would be required, while absolute equality is entirely unnecessary. Thus the society would be relieved of the burden of attempting complete redistributions of wealth on a continuous basis, when continual, generally progressive redistributions are sufficient.

Finally, I wish to consider whether a Rousseauvian system with vast economic inequality such as that we have supposed is inherently unworkable, or whether there could be a way of instilling the egalitarian sense of self-worth during the formative years

[13] *Harrison Bergeron*, Kurt Vonnegut, 1961

of all individuals so that amour propre would not be generated by those with greater wealth? Perhaps if all children of such a society were raised communally, without privileges of economic or other institutionalized difference, they would all become adults with a deep sense of egalitarian self-worth. But it is uncertain that such feelings could not change after the fact, when individuals had lived in great wealth and with great esteem for many years. Similarly, the problem of potential envy on the part of those who are not disproportionately wealthy would remain.

In a Rousseauvian social order a system such as Laissez-faire capitalism which leaves unregulated the levels of economic disparity between individuals would be quickly regulated out of existence. Alternatively, it would lead to a loss of faith in the system's ability to actualize the common good on the part of the poorer, and vanity and amour propre on the part of the rich. Similarly, *any* institutionalized source of esteem not based on personal merit, or grossly disproportionate in distribution would be hazardous to the general faith in the ability of the sovereign to protect the common good. Inherited forms of rank or privilege, for example, would be just as dangerous to Rousseau's social ideal as unchecked economic inequality. The only workable alternative for maintaining a stable social order and the overall common good in a Rousseauvian society, then, is a system that regulates wealth to prevent extreme economic disparities.

Rousseau, Blake, and Literacy

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ABSTRACT:

Questioning the assumed transmission of knowledge that early literacy training implies, William Blake found in Jean-Jacques Rousseau something of an ally. Indeed, as several scholars (including Zachary Leader and Heather Glen) point out, there is little doubt that Blake was familiar with Rousseau's work on education. But Rousseau's denunciation of the use of fables to teach children to read is more complicated than most scholars recognize. As Francis Ferguson argues in "Reading Morals: Locke and Rousseau on Education and Inequality" (*Representations* 6 [1984]: 76-78), Rousseau thought that children by reading fables are duped into a false sense of superiority because their understanding and pleasure are at odds, the latter subverting the former and making young readers identify with the authoritarian behavior of superiors. Taking into account these and related aspects of Rousseau's critique of literacy education, this paper seeks to interpret such songs by Blake as "The School Boy" and "The Little Black Boy" more appropriately and deeply than other scholars have. The expected outcome of this research paper is to show that in these and other songs the poet rejects the gap between pleasure and understanding that Rousseau emphasized. And in doing so Blake addresses the reproduction of dominant class values through literacy in order to destabilize it with voices challenging the monopoly of polite society on reading and its values. Along with the methodologies of historical, literary, and interpretive analysis, this paper deploys appropriate theories of Roland Barthes and Jacques Lacan on the pleasures of the text.

Abstract: The Concept of Dynamics in Ancient China

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Following Francois Jullien's recent work, *The Propensity of Things*, I hope here to introduce my research into the question how far the word **Shì,** in axial Chinese philosophy, can be equated with our word dynamic, which derives from the Greek for power and potential, *dynamis (dunamis)*. *Dynamis*, I contend, sharing with **Shì** the primary senses of **Force and Power**, is central to Aristotle's theory of causation, where it acquires the abstract sense of '**potential**'. I investigate the role of **Shì** in proto-scientific thinking. **Shì**, I demonstrate, can be a physical force of accumulation, gravity, flotation, and leverage, producing external conditions and affecting sensory perception and cognition. It encompasses human morale, energy and skill, as well as a transcendent **Power** of a divine Heaven or Nature.

I will illustrate **Shì**'s unique conceptualisation of **potentiality** in spatio-temporal theories of gradualism, Moments of change, advantage of Position, the Five Actions and technology. **Shì** will be considered under four categories: 1) military, 2) psychological, 3) political and 4) physical. Fresh interpretations of **Shì**, as '**Tactics**' in warfare, and '**Effect**' of influence on sensory perception, and '**Conditioning**' in cultivation of external circumstances and **Force** of Necessity in Mohist logic and mathematics, are presented. Finally, a generic translation of **Shì** as '**Dynamics**' is proposed.

Reference: Jullien, Francois: *The Propensity of Things*, *Toward a History of Efficacy in China*, translation from the French by Janet Lloyd, Zone Books, New York, 1995 [*La Propension des Choses* 1993].

Cf. Dàji, dàyòng (Chán Buddhism); Sòng Confucian Tî, yòng 'body and function' dichotomy.

A New Approach to Pronunciation in SLA

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Research Proposal

In my experience talking with non-native English speakers, and teaching English Language Acquisition, the area that seems to be of utmost import to the general population is native-like pronunciation, or at least speaking in such a way as to be understood. Often, non-native speakers struggle with the vowels and the consonants of the English language. I have seen this problem before, even with native English speakers. For a year, I taught children with various reading and pronunciation disabilities at a Reading Clinic using the LindaMood Bell LiPS program. This program teaches students to focus on the *feeling* of sounds in their mouths, where their tongue is, how their lips are shaped, how the air comes out of their mouths. In addition to this, the program used mostly nonsense words to teach the students phonemic awareness, how to recognize individual sounds within words, and how to identify sound changes. I saw children who could barely sound out one-syllable words improve over just a few months

to the point where they were sounding out multi-syllable words, using the rules and formulas that I had taught them from the LiPS program.

Seeing the remarkable changes that took place for these native English students, I propose that adapting and implementing the LiPS program into teaching English Language Acquisition will help to improve phonetic and phonemic awareness as well as native-like pronunciation. Although some aspects of the LiPS program use somewhat juvenile terminology (e.g. calling a bilabial stop a *lip popper*), the methods and ideas could easily be adapted to the adult classroom setting simply by employing use of the IPA, and standard phonetic terminology. For teaching English Language Acquisition to children, the LiPS program is already tailored to that target audience.

My research proposal, then, would involve collaboration with other professionals who are interested in determining the value of implementing the LindaMood Bell LiPS program into English Language Acquisition programs. I would teach them the LiPS program, and then together, we would set up an environment where these claims could be tested. There would need to be at least two experimental groups, those receiving the LiPS instruction, and those who are taught with a regular English Language Acquisition program. Also, we would need to determine how to evaluate their pronunciation, whether by using the Test of Spoken English, or a panel of native English speakers who would determine pronunciation improvement over time. Once the data has been gathered and analyzed, we would be in a position to determine whether or not the LindaMood Bell LiPS program, adapted into English Language Acquisition classes, significantly improves native-like pronunciation.

Submission for the 3rd Annual Hawaii International Conference on Arts and Humanities

1. The influence of cultural policy on the entrepreneurial orientation of performing arts companies in New Zealand.
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6. Abstract

This paper explores the influence of cultural policy on the entrepreneurial orientation of performing arts companies in New Zealand. What conditions – economic and political - foster an environment ripe for entrepreneurship? Does the State in New Zealand provide a supportive milieu conducive to innovation, risk taking and experimentation in the creative/cultural industries?

It has been common in cultural policy analysis to discuss whether the State is weak or strong and what the implications for cultural affairs may be - whether the State's role is marginal, moderate, or crucial (Bakke 2001). For cultural policy analysis, Cummings and Katz's (1989) typology, where governments play the role of either patron, marketing manipulator, regulator or impresario, is useful. Mulcahy (1998) refers to patterns of public support for the arts with reference to (a) governmental structures, (b) funding policies, and (c) cultural politics. Volkerling (2002) argues the need for the development of new policy paradigms exploring cultural holism.

Mechanisms of support are examined through various governmental funding and policy agencies, but with particular emphasis on Queen Elizabeth 11 Arts Council of New Zealand (now known as Creative New Zealand).

The influence of cultural policy is reflected in recent changing policy discourses, where a move away from 'culture' to the 'creative industries' has been a notable trend (Cunningham 2002). Only quite recently has there been an increased focus on encouraging and fostering entrepreneurship in the arts generally, on a governmental level from Creative New Zealand.

The outcome of the paper will be to ascertain the impact of these policy changes, and the manner by which economic and political forces have influenced the attitude performing arts companies have taken towards entrepreneurship - whether managers have become more entrepreneurial, work more readily with risk and cope positively and an increasingly competitive arts funding milieu.

The influence of cultural policy on the entrepreneurial orientation of performing arts companies in New Zealand.

Introduction

This paper explores the influence of cultural policy on the entrepreneurial orientation of performing arts companies in New Zealand. It ascertains the manner by which economic and political forces and conditions have affected the attitude performing arts companies have taken towards entrepreneurship - whether managers and marketers have become more entrepreneurial, work more readily with risk and cope positively and creatively with an increasingly competitive arts funding milieu.

It is argued that the success or failure of these creative enterprises, and their potential for growth and profitability are partly the result of the entrepreneurial orientation of their managers.

In the arts, entrepreneurial activity can be defined as that which encourages creative, imaginative and innovative thinking. In addition, it promotes confidence, initiative, responsibility, informed risk-taking and perseverance - key qualities of an entrepreneurial spirit. Within this framework, arts entrepreneurs are those individuals who create business opportunities.

Specifically, the paper focuses on the way the entrepreneurial orientation of performing arts companies is affected by cultural policy. For example, does the State in New Zealand provide a supportive economic setting condusive to innovation, risk taking and experimentation in the performing arts?

Performing arts companies can be seen serving three essential functions for New Zealand society: 1) they provide individuals with a source of entertainment, enrichment and fulfillment; 2) they are a means by which New Zealand culture is preserved and transmitted across time and geographic boundaries; and 3) they provide

a variety of instrumental benefits such as economic activity, a national identity, and diversity and pluralism at both the local and national levels (McCarthy, Brooks et al. 2001).

Of the three functions the third factor – economic activity - is the key to the survival of performing arts companies (Baumol and Bowen 1966). Performing arts companies in New Zealand have often struggled to survive within conditions of increased competition for funding (Werner 2003). The paper therefore concentrates on cultural economics as a central thread.

Many authors, such as Porter (1998a, 1998b, 1998c) have drawn attention to the importance of systemic environment and local milieus in fostering or hindering processes in organizations. Understanding the systems of inputs, interconnections, and linkages that go into producing a product is only the first step: "What is needed is to take into account the system through which products are produced and through which they are processed, distributed, and ultimately consumed" (Power 2002, p 10).

In the arts, this 'system' can be observed by the way the cultural sector is funded. The various cultural policy stances on funding and support taken by Government and its agencies has been highly instrumental to the way performing arts companies operate successfully financially (Radbourne 1998, Rentschler 1998). Hence the influence of cultural policy and the role of the State in arts funding in New Zealand is another central theme.

Mechanisms of support are examined through various governmental funding and policy agencies, but with particular emphasis on Creative New Zealand. The preponderant form of support for the arts in New Zealand is an appropriation by the government to a public cultural agency (national or regional) or directly to an arts organization (orchestras, opera companies or dance companies). The latter are often

governmental institutions (for example, The New Zealand Symphony Orchestra). All are subject to cultural policy, although as far as the artistic side of their operations is concerned, these institutions are autonomous.

The last section includes a discussion on recent changing policy discourses, where a move away from 'culture' to the 'creative industries' has been a notable trend (Cunningham 2002). Only quite recently has there been an increased focus from a governmental level on encouraging and fostering entrepreneurship in the arts.

Cultural economics, cultural policy and the role of the State

The arts play an important role in determining the quality of our lives. Tastes in music, drama, painting or literature may differ, but a world without arts would be a much less enjoyable one. But the arts also have an economic value, indicate Johnson and Thomas: "In the process of providing entertainment the arts sector generates significant business activity. It is also a recipient of substantial public funds. For these reasons it is not surprising that the arts have attracted attention from economists" (Johnson and Thomas 2001, p 412).

In terms of the New Zealand performing arts, organizations such as opera, orchestras and dance companies are both cultural institutions as well as enterprises. They simultaneously belong to the field of arts as well as the field of economics. As such they are exposed to artistic (that is, non – economic) and economic forces that mutually influence each other.

Given this duality, some definitions are necessary for the economic process, and how cultural economics operates. Economics per se can be defined as either the study of the principles governing the allocation of scarce means among competing ends, or the study of human activities in satisfying wants (Hillman-Chartrand 1990). Economics is usually divided into microeconomics and macroeconomics. Hillman-Chartrand

defines the two as "the former (being) the study of the economic behavior of consumers and the firm, the market and the industry. The latter involves a study of functioning of the economy as a whole, with special emphasis on national wealth or income, employment and capital and how these can be manipulated to achieve national economic policy objectives" (Hillman-Chartrand 1990, p 3).

This economic framework can be applied to the arts or cultural activity. Cultural economics is "the application of economics into the production, distribution and consumption of all cultural goods and services" (Towse 2003, p 1).

Most studies in cultural economics have involved microeconomics, and have tended to concern the direct and indirect expenditure and employment generated by artistic enterprise – in particular the creation of cultural goods. As Towse indicates, "The common element between all cultural goods and services is that they contain a creative or artistic element. Cultural goods can be tangible, such as an artwork or a book, or intangible, like a musical performance" (Towse 2003, p2).

Like all other goods and services cultural production utilizes resources of land, labour and capital, particularly human ingenuity and creativity. Hence cultural economics is "concerned with cultural production and with cultural policy" (Towse 2003, p 7).

Cultural production can be approached from different points of view. These are microeconomic price theory, welfare economics, macroeconomic growth theory, property rights economics, public choice and political economy (Towse 2003).

As will be seen, the most influential economic determinants in New Zealand cultural policy have been welfare economics, political economy and institutional economics. The first can be observed in the way the performing arts are funded from the public purse. The second emerges from the *choice* of funding policy - whether subsidies should be given by an arm's length body or by the public authority is a good example.

The third - institutional economics - can be seen by the complexity of the funding system itself.

All three economic determinants have been affected by political imperatives. The arts have never operated in isolation, and have always been political (Gray 2000). A nation's political structures and public policies reflect the historical experiences and the value systems that have characterized its societal development (Duelund 2001).

So what is meant by policy? In its simplest form, 'policy' is "what governments do: the decisions they take, the money they spend, and the services they fund and/or provide" (Shaw 2001, p 145). Policy generally is often thought of as a process which includes identification of policy issues, consideration of a range of policy options, decisions about a course of action, policy design, implementation and finally evaluation. Policies help organisations establish principles of action – they reflect the values and priorities of a particular time and are subject to change.

Cultural policies of governments usually outline both a political and ideological position and a strategy for what outcomes are to be achieved (Dixon-Ward and Atwell 1998). Such policy is normally constituted by those in positions of power and by interests among agents directly or indirectly engaged in the cultural field (Bourdieu 1993). In a real cultural democracy, public cultural policy should reflect the cognition, feelings, inspirations, and evaluations of its population (Duelund 2001). The ways in which societies view creative endeavors is reflected in how governments recognize and support creative work: "Cultural policy is therefore embodied in systematic, regulatory guides to action that are adopted by cultural organisations to achieve their goals" (Miller and Yudice 2002, p 1).

The formation of cultural policy has been always been the main mechanism whereby governments (whether of a capitalist or socialist political leaning) indicate their

preferred economic stance towards the arts. The overall aims, the mode of support, the principle of organization, the cultural forms and the aesthetic values promoted reflect a consensus about quality of life that can be manifested in cultural policy (Duelund 2001). Cultural policy implementation can be seen as an expression of the State's commitment to the production of culture, including the production of social relations and identities (Volkerling 1994).

Hence the role of the State – specifically the State's commitment to the production of culture and the reasons why governments support the arts - is of central concern. Cultural policy analysis can highlight whether the State is weak or strong, and what the implications for cultural affairs may be - whether the State's role is marginal, moderate, or crucial (Bakke 2001).

It is clear from the literature, however, that while talk of 'The State' is common, what a State is and does is elusive and highly contested. A State usually has the following characteristics: it has a territorially defined boundary, a monopoly on the means of coercion, it has the right to make laws, it includes a differentiated set of institutions and personnel, has some degree of legitimacy and has a role in maintaining cohesion in society (Goldfinch 2001).

For example, in New Zealand the Minister of Cultural Affairs and Heritage has the power to create legislation for the arts (such as the different Acts pertaining to the formation of Creative New Zealand) and is advised on cultural matters by institutions such as the Ministry of Cultural Affairs and Heritage, or State Owned Enterprises such as Trade New Zealand.

Before discussing the State's commitment to the production of culture in New Zealand, it is important to explore the reasons for why support is given to the arts in the first place. As Heliburn and Gray mention, "although history tells us that the arts

have been subsidized by Medici princes, Austrian emperors, Russian Tsars, English parliaments and French republics, the question, 'should the government support the arts?' is eminently worthy of debate" (Heilbrun and Gray 1993, p 199).

While much of artistic activity has historically depended on royal patronage and merchants for survival, this role was gradually taken over by governments in the world's wealthier economies (Baumol 2003). But why should products such as the services of opera or dance or orchestral performances be singled out for support, when the bulk of goods and services generated by the economy were left to their own devices to sink or swim in the marketplace?

The arguments for and against government subsidy of the arts have been presented for decades: "The most common argument for subvention is that the arts and cultural activity enrich a society and that all people deserve access and participation rights and benefits" (Radbourne 2001, p 490).

A major rationale for the State to support culture in New Zealand was provided in 1988 by the then Department of Internal Affairs: "Governments support culture through policies that strengthen national identity, promote community well-being, secure and enhance cultural heritage, and support creative individuals and groups" (Thomson 1988, p 33).

All arguments highlight the model of welfare economics and have at their core the notion of the "common good" as a way of constructing a solid foundation for public funding: "Elements such as equality of opportunity, the external benefits of education, the public-good properties of the product, the infant organization argument and investment for the future have all been used to justify public funding" (Baumol 2003, p 21 -22).

The case for public support of the arts has also to be made against a social and political background in New Zealand where it has been assumed that the majority of goods and services should be provided under competitive market conditions.

Apart from welfare economics, another important influence on cultural policy has been an emphasis on political economy – that is, concerned with "broad questions of the choice of policy" (Towse 2003, p 11). Whether subsidies should be given by an arm's length body or by the public authority is a good example.

A framework of analysing the influence of political economy on New Zealand cultural policy is Cummings and Katz's (1989) typology. Here the State can play the role of:

- A patron, by giving direct funding;
- Market manipulator, by providing subsidies;
- Regulator, by steering actions; and
- Impresario, or manager, by organizing performances.

Cultural policies propagated in New Zealand include a mixture of these types. In terms of acting as a "patron State" many cultural organisations in New Zealand receive annual appropriations directly from the Budget, and the Ministry of Culture and Heritage assists government in its provision and management of cultural resources. The State as "market manipulator" is also relevant, since regular funding allows performing arts companies keep ticket prices below the real costs as an incentive for attendance.

The State as "regulator" is indicated in laws mandating Territorial Authorities such as Auckland or Manukau Cities (in south Auckland)to provide public libraries. The State's role in this regard is also seen by government regulations that channel a certain

percentage of proceeds from the Lotteries Board to the cultural sector and by laws that prohibit owners (private and public) from demolishing or altering historic buildings. Finally the State as an 'impresario" can be seen through the direct funding of organisations such as The Royal New Zealand Ballet and The New Zealand Symphony Orchestra, who regularly tour throughout the country. The tour programmes of these organisations, however are decided independently by their own professional artistic staff with the State keeping a "hands off" approach.

The second major cultural economics influence on cultural policy thinking has been institutional economics – the institutional arrangements which are the outcome of political and economic choices by a society (Towse 2003).

Lorimer and Duxbury (1994) identify four models based on an institutional economic view that have been applied to cultural policy making in various countries in the world. These have also influenced New Zealand cultural policy:

Institutional economics models for cultural policy making

(adapted from De Santis (2002) citing Lorimer and Duxbury (1994))

Community development model:	**Cultural development model:**
Has it roots in British idealism and the philosophy that information and self-knowledge contributes to a society's ability to enhance its values. Cultural industries such as film, radio and TV are the media by which this information is shared and transmitted. Government supports and subsidises these media. Model found in Canada.	Aimed at making outstanding works of humanity accessible to the greatest number of citizens. Seeks to ensure that cultural goods, services, artefacts and heritage are available to a wide audience. Direct economic interventions through State planning and economic and social development are employed to ensure this goal. Model found in France.

Public service model:	**Market model:**
Reflects the values of a British-style public service and a class-based society. This is a more conservative model that arises from an antipathy to commerce in general and particularly to the marketplace as an arbiter of what goods and services should be available to society. The State provides opportunities for expression that would be otherwise not available in the market economy through publicly funded institutions, including museums, and orchestras, but also through publicly owned broadcasting services that allow for less commercial programming. Model found in Britain.	The State mostly removed from cultural industries (film, publishing, broadcasting) except for some cultural production support for the arts (National Endowment for the Arts) and limited subsidy for broadcasting. Model found in the United States

These models provide a framework that outlines distinct philosophical approaches that the State can undertake – to either intervene or stay out of the cultural economy. It is apparent that various governments in both Australia and New Zealand have moved from a *public service* model to a *market-driven* model.

Two examples from both Australia and New Zealand will suffice to explain how cultural policy has been determined by this move by governments concerned. In Australia during the 1990s government cultural policy priorities moved from funding the supply of the nation's arts products and the expansion of access for a wider audience base to follow a third, almost authoritarian dictate of "survive in a market economy" (Radbourne 1998).

The same process occurred in New Zealand from 1984 to 1990 as a result of a move to a neo-liberal economic philosophy. With its emphasis on deregulation - it has been said that deregulation was "the *idée fixe* of the market liberal cause" (Keane 1991, p 54) - this form of economic rationalism combined a belief in radical market liberalization and privatization, and the supposition that the private sector was more efficient in supplying most goods and services than the public sector (Volkerling 2002). As a result, State funding for the performing arts was held, and even decreased in the 1990s, and arts organizations were urged to attract sponsorship from private corporations and companies (Werner 2002).

Another way of looking at State subvention is to outline the two most common and dominant policy directions recently promoted by the New Zealand government. One is 'cultural policy for economic development' which is related to fostering the role of the creative industries.

The various cultural policy stances on support taken by governments has been highly instrumental to the way performing arts companies operate successfully financially. Of fundamental concern to arts organisations therefore is the ability to manage and control access to governmental support. The mechanisms of support and the way government agencies operate in New Zealand is therefore the theme of the next section.

Mechanisms of Funding Support in New Zealand

Most if not all arts organizations in New Zealand draw, with various degrees of success, from a limited pool of potential funding sources. Key questions therefore arise concerning the allocation and distribution of funding resources to the cultural sector in this country. The policies and criteria for funding become an important issue: who decides, who gets what, and how much?

Funding in New Zealand comes from six main sources: central government, local government, charitable trusts, the private sector, private 'patronage' and the entrepreneurial efforts of artists and those engaged in the creative industries themselves. Funding per se should be therefore seen as being outside other financial sources such as box office returns and similar income streams.

In essence, funding means financial support. Corporate sponsorship falls outside the boundaries of this discussion, since the relationship between an arts organisation and sponsor differs from a funding relationship. While there are many charitable trusts offering private sector funding, the focus here is on the public sector in the context of cultural policy change.

Hence this section concentrates on analyzing the funding provided by the governmental sector and how it currently relate to performing arts organizations. Within an international context, funding relationships highlight mainly two means of support – either indirect or direct (Frey and Pommerehne 1993). Indirect funding via tax relief to individuals and firms in return for contributions to non-profit-making institutions (which can include the arts) is common in the USA, but less so in New Zealand. Direct government financial aids include a fixed subsidy per person attending, or a public subsidy on total ticket revenue. In the majority of cases, governments grant a direct subsidy to established theatres, opera houses and orchestras. In comparison, new entrants like small arts companies have to divide the remaining part of public money for themselves, leaving very little for each. This is very much the situation in New Zealand (Werner 2003).

It is important to note that there are differences between the subsidized sector and what might be referred to as the commercial cultural sector. The former can be

defined as those independent arts organizations that routinely derive a significant part of their revenues from the public purse.

The commercial sector can be subdivided into two: one sector comprises of a range of organizations that share certain similarities with the subsidized sector but which operate primarily on commercial grounds – for instance commercial art galleries. The second are the creative industries (Feist 2001). Most performing arts organizations firmly place themselves in the subsidized sector, but are being encouraged by an increasingly competitive funding environment to move to operating more like the commercial sector and creative industries (Werner 2003).

Collectively, the relationship between funding agencies in New Zealand presents a confusing picture due to the number of different government departments involved. For example, some national arts organisations are funded directly from the Ministry for Culture and Heritage, (such as The Museum of New Zealand Te Papa, The New Zealand Symphony Orchestra and the Royal New Zealand Ballet) whilst others obtain grants through Creative New Zealand (such as the New Zealand Opera, the Auckland Philharmonia, or the Auckland Theatre Company). Other agencies like Trade and Enterprise NZ are responsible for promoting the creative industries, whilst the Ministry of Social Development, administers the PACE (Pathways to Arts and Cultural Employment) scheme.

Of all the government departments involved, The Ministry for Culture and Heritage, established in 1991, is the one with primary responsibility for the cultural sector, providing policy advice on culture and heritage matters. Acting on behalf of ministers, staff develop contracts stipulating the cultural and heritage services that are to be provided in return for public funding. The unit monitors the performance of the

organizations involved, reports regularly to ministers, and deals with a variety of associated issues as they arise (Ministry of Culture and Heritage 2004).

The Arts Council of New Zealand Toi Aotearoa (Creative New Zealand) is one of the statutory bodies funded through the Ministry. Creative New Zealand has a central role to play in arts funding and arts advocacy, indeed in cultural policy-making as a whole. It is therefore appropriate to explore the manner it distributes funds and the way funding policy has evolved, highly influenced by the changes in its administrative structure through time.

The role of Creative New Zealand

Creative New Zealand receives major funding from the New Zealand Lottery Grants Board and the Government through Vote, Arts, Culture and Heritage. In the 2004/2005 financial year, Creative New Zealand received $NZ18.5 million (excl. Government Services Tax) from the New Zealand Lottery Grants Board and $NZ14.9 million (excluding. Government Service Tax) from the Government through Vote Arts, Culture and Heritage.

Creative New Zealand is governed by an Arts Council with its funding decision-making bodies being the Arts Board, Te Waka Toi (Maori Arts Board) and the Pacific Arts Committee. The Minister for Arts, Culture and Heritage appoints members of these bodies for terms of one to three years. Funding programmes are managed by these boards - there are two project funding rounds a year and one funding round for recurrently funded organisations. It offered grants for total of $NZ12,908,260 to 38 professional arts organisations for their programmes of activity over the 2004-2005 calendar year.

Invariably in a limited budget some cultural activities are left out of the funding cycle. Usually arts organisations compete for each other in a complex contestable

environment, which can exacerbate self-interest and competition between individual organisations and sectors. Traditional arts funding is consumption-based and can breed a culture of entitlement (with in-built dissatisfaction when funds available fail to meet expectations) and a culture of dependency.

Even with consultation and peer assessment systems, arts funders such as Creative New Zealand can become judges and arbiters of quality with influence over content. As with sponsorship, this may also inhibit creative freedom and risk-taking.

In order to prioritise its functions and to provide transparency for its stakeholders, Creative NZ is required by the government to produce a strategic plan every three years. According to the plan for 2004 – 2007, the organisation sees itself being influenced by the following:

- Commitment to excellence
- Respect for cultural integrity
- Putting into action principles and organizational values
- Research and evaluation for quality policy and decision-making
- Entrepreneurial thinking and practice

(Creative NZ 2004)

The key words here are entrepreneurial thinking and practise, which marks a watershed in cultural policy compared to previous strategic plans.

Changes of government in 1997 in New Zealand and in the UK were a milestone in the development of new thinking in cultural policy. Social democratic Labour governments focused on 'Third way' economic strategies were elected in both countries. Their strategies were not state controlled, not free market, but promoted targeted support and intervention to facilitate growth and innovation. Cultural policy became a priority, with the shift away from primary production to knowledge-based

industries, technology, and creativity (Procter 2003). The shift in policy discourse to the creative industries and an emphasis on entrepreneurship is therefore the next focus of this paper.

Changing policy discourses: the move to the creative industries in New Zealand

Do cultural organisations essentially provide commercial activities and should therefore be viewed as commodities or should they be dealt with outside the marketplace, like the education, health or justice systems? These questions have been a crucial for policy makers in New Zealand. The debate between notions of 'cultural' and 'creative industries' highlights a recent paradigm shift reflected in current policy discourse, which has moved from viewing the arts as "culture" to the arts as "cultural industries".

Some definitions of the creative industries are useful. Towse provides the following: "Nowadays also called 'creative industries', cultural industries mass produce goods and services with sufficient artistic content to be considered creative and culturally significant. The essential features are industrial-scale production combined with cultural content. The cultural content mostly results from the employment of trained artists of one sort or another (creative artists, performers, craftspeople) in the production of goods in the cultural industries, but it may also arise from the social significance that attaches to the consumption of goods" (Towse 2003, p 170).

Others define the term as being the type of "cultural activities" taking place. For instance, according to Throsby, cultural activities a) "involve some form of creativity in their production", b) are "concerned with the generation and communication of symbolic meaning", and c) "their output embodies, at least potentially, some form of intellectual property" (Thorsby 2001, p 4-5 and Throsby 2003, p 167).

New Zealand has been highly influenced by the United Kingdom and policy makers here have adopted the definition of creative industries provided by the Blair government Creative Industries Task Force: "Those industries which have their origin in individual creativity, skill and talent and which have a potential for wealth and job creation through the generation and exploitation of intellectual property" (Creative Industries Task Force 2001, p 1). In the United Kingdom these include advertising, architecture, the art and antiques market, crafts, design, designer fashion, film and video, interactive leisure software, music, the performing arts, publishing, software and computer services, plus television and radio.

In New Zealand the term encompasses a slightly wider framework in that it includes those industries that generate copyright, patents, designs or trademarks. The government agency NZ Trade and Enterprise (2004) defines the creative industries as the following:

- Screen production
- Music (focusing on the recording industry and composers/creators of original musical material)
- Design (includes visual communication design as well as industrial and product design, set design, architectural design and designer fashion)
- Digital content (includes interactive games, animation, 3-D, virtual reality and electronic publishing)
- Publishing (books, magazines and newspapers)
- Visual arts
- Performing arts

It is clear that creativity does not simply reside in the arts, but it is a central input into all sectors where design forms the basis of competitive advantage (Flew 2002).

The idea creative industries embraces commercial cultural goods and emphasizes the role of arts and culture in promoting innovation and thus economic growth. There are actually two slants to this concept. The first argues that the creative sector is a rapidly growing part of the economy. The second version views creativity as vital to the economy more generally, (even outside the creative sector) and emphasizes the concept of the "creative worker" who are essential to the vitality of cities and regions and the economic health of the nation (Healy 2002).

Florida (2002) suggests that creative industries concept breaches long-held boundaries between art and industry. While 'the arts' are stereotypically viewed as economic beneficiaries, 'industry' is thought of as concerned solely with the generation of products and services - rich in money but poor in social/intellectual value and meaning. The emergence of the creative industries recognises both the increasing economic value of the arts, and the increasing role symbolic or brand value plays in the market economy (Florida 2002).

This viewpoint has been borne out in current New Zealand governmental policy, whereby the creative industries are viewed by the Labour government as central to the growth in the economy as a whole. In February 2002 it released the Growth and Innovation Framework, *Growing an Innovative New Zealand* (2002), which emphasises the potential that creative industries had to move the country on to a higher growth plane. According to the report, the creative industries not only underpin the effective branding and marketing of all New Zealand goods and services, but also can, through areas such as design, have a major impact on industrial output.

New Zealand Trade and Enterprise, the lead governmental agency for *Growing an Innovative New Zealand* (or *GIF* as it has become to be known) subsequently commissioned a report from the New Zealand Institute of Economic Research (2002)

on the economic contribution that the creative industries have had on the New Zealand economy.

The report indicated that the creative sector has been the largest growth area in the economy over the past 10 years. It accounted for 3.1 per cent of New Zealand's Gross Domestic Product in 2001. Cultural spending within the domestic market is also significant – over $NZ 2.2 billion was spent in 2000 and this is estimated to reach $NZ 2.6 billion in 2010.

In terms of the performing arts (defined in the report as live theatrical or musical presentations - concerts, opera, ballet or drama as well as sound recording studios), the report indicated that total annual revenue generated was estimated at about $NZ160 million, including revenue generated by the New Zealand Symphony Orchestra and regional orchestras, ballet, opera, and live theatre (Creative New Zealand 2002).

Only quite recently has policy taken entrepreneurship into account. This can be seen by the shift in agencies like Creative New Zealand from targeting support purely as funding to a move towards advocacy as well as facilitation and advice (Creative New Zealand 2004).

This shift has been empowering for performing arts organisations, especially when combined with an entrepreneurial approach.

The influence of cultural policy on entrepreneurship

Government agencies are well placed to support entrepreneurial initiatives in the creative sector, such as arts marketing agencies and shared resources (Procter 2003). However, this must be seen within an environment in New Zealand where there is constant competition for funding, where public subsidy is limited and the performing arts are expected to demonstrate a substantial degree of public approbation.

Within the performing arts in New Zealand, small and medium-sized companies are the norm. Typically, they operate a lot like small and medium-sized businesses in other sectors of the economy. Unlike these businesses, however, they do not fall neatly into either the "for profit" or "not-for-profit" parts of the economy. Professional arts organisations develop their programmes of activity across the voluntary, non-commercial and commercial sectors. Operating from a "mixed" funding base, they rely on a variety of interlinked mechanisms for income, including public funding sponsorship, philanthropy and earned revenue (Creative New Zealand 2002).

Like in the USA, performing arts companies here are expected to maintain a diversified revenue stream. And these institutions are increasingly market driven in their need for supplementary funds and a source of justification (Mulcahy 1998).

It was not until May 2000 with the incoming Labour Government that the financial plight of many of New Zealand performing arts companies were acknowledged. Up to then the portfolio of arts organizations recurrently funded by Creative New Zealand had endured a long period of financial deterioration. In 2000 Creative New Zealand was allocated one-off funding of $NZ 20 million (incl. GST) as a portion of the Government's Cultural Recovery Package. These funds were spread over three calendar and four financial years and were fully expended by December 2003.

Prior to the Cultural Recovery Package, Creative New Zealand was unable to increase funding levels to its recurrently funded organisations (i.e. professional arts organisations funded on an annual or three-year basis) and these organisations were struggling to keep their heads above water (Creative New Zealand 2003)

According to Helen Clark the Minister for Arts, Culture and Heritage there has been significantly more activity across the creative sector, with considerable economic

spin-offs from the investments made, all contributing to economic growth (Office of the Prime Minister 2004).

There has also been an emphasis on self-efficiency and independence. Arts managers are used to uncertainty and the continual balancing act between promoting established product and new and innovative programming (Crealey 2002).

Here, entrepreneurial activity can be defined as that which encourages creative, imaginative and innovative thinking. A common theme in entrepreneurship is that it includes initiative taking, the organizing and reorganising of social and economic mechanisms to turn resources and situations to practical application, and the acceptance of risk or failure – that is, readiness to risk (Carr 2000). Calculated risk-taking involves the willingness to commit significant resources to opportunities that have a reasonable chance of costly failure, but also creative attempts to mitigate, leverage or share the various risks (Morris, Schindehutte et al. 2002). It is argued that performing arts managers have increasingly have had to espouse an entrepreneurial approach in response to the wider economic and political environment.

However, harnessing a political agenda is risky for performing arts companies. Support through advice, facilitation, and actual funds for project initiatives could evaporate. Access to additional finance for the benefit of the sector might be aided by a dedicated source of venture capital to provide initial finance and re-invest net profits. Encouragement of support for innovation and experiment might be strengthened.

Increasingly, the performing arts are viewed within Government as both an opportunity and a solution to achieving social and economic goals. Indeed, this shift is providing new arguments for providing public funding to the arts as the arts sector is recognised as economically important in its own right, a primary asset for local,

regional and national development; and vital to the successful delivery of policies aimed at strengthening national identity (Creative NZ 2002).

As has been seen, here are many ways of implementing policy and constant conflicting forces. There are also changing discourses, from culture and arts to creative industries and enterprises. All of these changes in policy have had a direct affect on the entrepreneurial orientation of performing arts companies in New Zealand.

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Title: **SO CALLED: A Transnational Investigation of Naming and Identity in Communities of Mixed Race**

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ABSTRACT:
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"*Words are too awful an instrument for good and evil to be trifled with: they hold above all other external powers a dominion over thoughts.*"
Wordsworth

Mestizo, hapa, creole, mischling, half-caste, coloured, mulatto— words that evolved from distinct cultural and racial histories to describe a particular shared state—mixedness.

Although the mixing of races has long been a consequence of our diasporic/nomadic history, we have only recently found a place in our cultural imaginary for a fuller representation of these collective and individual identities and destinies. The emergence of post colonial studies and critical race studies as disciplines, the creation of a mixed race category on the US census, the reclamation of histories of miscegenation, literary and filmic treatments of racialized lives, all suggest an expanded space for the reception of ideas and issues concerning mixed race.

This paper presents ongoing research of those linguistic constructs that are used to name and, at times, delimit peoples of mixed race. Utilizing a transnational perspective, I explore the issue of those who have been "so called".

While words provide one axis for knowing, the visual can make uniquely "present" those particular experiences central to a fuller understanding of this complex state. Thus, my research utilizes both language-based and visual representations of race and specifically mixed race, i.e. multiple ethnicities as a means to make visible the place of multiple ethnicities within a global frame.

Race continues to be a social construct under construction. It remains a linguistic determinant attempting to capture a difference that as Stuart Hall remarks, "makes a difference". Our attempts to render race as an inoperative distinction resist extinction. We continue to utilize it as the grand explanation for not only physiognomy but for social conditions and economic outcomes.

In fact, the complication is the reality. Both ancient and modern diasporas have confounded any sense of an essentialist notion of race. It is the mixedness with which we are confronted that claims the center, rather than the imagined margins it once

occupied. When mixed race is viewed within a national context, polarities are evident in the reflection of national histories. And yet we struggle to find ways to say what we mean. It is in this linguistic effort to define that identity is validated.

A Chinese proverb states that the beginning of wisdom is to call things by their proper names This, however, begs the question of whether the name originates in the individual's sense of self or in the assignment from without. The giver of the name imposes its power on those named. Family names, tribal or national names become key coordinates on the map of our individual identities. What we call a person matters, and it is that attempt to self designate that is the answer to the hegemonic imposition of someone else's language. V.S. Naipaul observes that while " twenty million Africans made the middle passage, scarcely an African name remains in the New World."

Improvisation Techniques for the Teacher of English to Speakers of Other Languages

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ABSTRACT
Improvisation is a type of drama in which the performer is expected to be spontaneous, positive, open and connected. All these characteristics are important in language teaching.

This workshop will give participants opportunities to learn and practice ways to interact with English language learners which allow the students to maintain face, learn and produce language with ease, accept and deal with failure, and alleviate the universal fear of being stared at.

In this workshop, participants will first briefly review some general principles of good teaching. Then participants will learn some general principles of good improve.

Next participants will explore several improv games which will allow them to experience what their ESL students experience each class: learning something new, making mistakes, correcting those mistakes, and moving on. The focus will be on games for grammar and spoken English classes.

Building Community in the Composition Classroom: Projection and Service Learning

English Composition

Paper/Report on Issues Related to Teaching

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Conference Proposal/Abstract
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Building Community in the Composition Classroom

Increasing composition students' interest in their own classroom writing is a challenge that often necessitates multiple approaches to achieve motivational and meaningful connections. Efforts to expand the students' perspectives of the classroom assignments may often include reflection on the past and present; but it is the projection of the future that can often generate anticipation that sometimes causes students to take greater ownership of their work, and to see writing as a means rather than an end - and, in turn, to see their classroom writing as stepping stones to their projected educational and career goals.

Because composition courses also serve as a socializing agent of students into the academic community - both as a way of acculturation and as a way of the type of writing expected - new social relationships are necessarily developed both within the classroom and within the university via participation in the composition classroom. Activities such as peer review and group collaboration require that a level of familiarity, trust, and acceptance

of differences among individuals be established, while keeping the production, practice and refinement of writing as the ultimate goals. In addition, fostering greater awareness of services provided by the university libraries and writing center, as well as the co-curricular activities within the academic community, can also be achieved through assignments that guide students to these areas of the university as well as to the resources available in their respective departments where they intend to focus their academic-degree work.

Furthermore, involving students in service-learning activities in the greater community as a basis for academic writing strengthens the classroom community while integrating students into a wider community-at-large. Service learning is one way to inspire increased ownership by students of their writing, and expand their perspectives of the role of community, the diversity of people within a community, and the degree of student self-reflection crucial to articulating observations, thoughts and ideas expressed in academic writing.

Such increased connectivity can contribute to greater ownership by students of their own writing, increased socialization within the academic community, greater student retention within the academic community, more

focused reflection by students of the range of skills needed to be successful in their chosen professions, and a keener awareness of the world around them and their place in it.

This presentation will include a discussion of how the orientation of various classroom activities may increase the degree of student interest in writing assignments, in university activities, in the wider world of the academic community, in the surrounding community-at-large and the yet wider world of the students' intended professions and goals in life. Specific service-learning projects, their implementation and their outcomes will be explained in the context of building student-writing community in the composition classroom.

The Textual Varieties of *The Great Gatsby*

Literature/Textual Studies

Paper

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The Textual Varieties of *The Great Gatsby*

F. Scott Fitzgerald's novel The Great Gatsby is now considered to be one of the definitive literary works emerging from the 1920s, promulgating both the values and disillusions of what was an unprecedented era of material prosperity in the history of the United States. Published in 1925, the book has had a sequence of textual revisions before, during and after publication. Later editorial controversies concerning this specific text exemplify a difference in perspectives on critical editing —- a rift continuing into relatively recent times. It is therefore necessary to consider the history and progress of various versions of the text both pre- and post-publication to fully appreciate both the author's craft and possible intent, as well as of the effect and embodiment of various perspectives on editorial judgment.

In the article "Is There a Text in This Discipline? Textual Scholarship and American Literary Studies," Philip Cohen writes:

… different editorial and critical orientations

> would generate different narratives from which to hang the facts of the textual situation. Shifting from an emphasis on the solitary author to one on a production process involving authors, friends, and editors demands recasting the editor as collaborator rather than an enemy. In any case, studying the entire publication process of the texts of a literary work may actually tell us more about American culture and society than looking at either prepublication or published versions of the work alone." (736)

Although there are relatively extensive biographical and documentary records of Fitzgerald's work on The Great Gatsby, different interpretations of authorial intention persist.

Fitzgerald began planning what was to become The Great Gatsby in June 1922 in White Bear Lake, Minnesota, as evidenced in a letter to his editor at Scribner's, Maxwell Perkins. This would be Fitzgerald's sixth work published by Charles Scribner's Sons in New York. Previous works included This Side of Paradise (1920), Flappers and Philosophers (1920), The Beautiful and the Damned (1922), Tales of The Jazz Age (1922) and The Vegetable (1923). Fitzgerald wrote:

> When I send on this last bunch of stories (for Tales of the Jazz Age) I may start my novel and I may not. Its locale will be the middle west and New York of 1885 I think. It will concern less superlative beauties than I run to usually & will be centered on a smaller period of time. It will have a catholic element. I'm not quite sure whether I'm ready to start it quite yet or not

(Kuehl and Bryer 61).

In October 1922 Fitzgerald moved to Great Neck, Long Island, New York. Because he was then seeing Perkins periodically as well as corresponding with him, their letters of this era do not necessarily give a complete account of the early manuscript development of what was to become The Great Gatsby (Bruccoli xiii Facsimile). Fitzgerald did not complete a full manuscript of this early rendition, and only a couple of holograph leaves survive. From this phase he gleaned the short story "Absolution," published in a magazine in 1924, and later included in his collection All the Sad Young Men (West III Trimalchio xiv).

After writing and publishing several other short stories Fitzgerald returned to writing the novel in the spring of 1924. In a letter to Perkins, Fitzgerald stated:

> Much of what I wrote last summer was good but it was so interrupted that it was ragged & in approaching it from a new angle I've had to discard a lot of it -- in one case 18,000 words (referring to "Absolution") …" "So in my new novel I'm thrown directly on purely creative work -- not trashy imaginings as in my stories but the sincere imaginings of a sincere and radiant world. So I tread carefully & at times in considerable distress. This book will be a consciously artistic achievement & must depend on that as the 1st books did not (Kuehl and Bryer 61-62).

This "new angle" he referred to as it applied to plot and setting was apparently influenced by the Great Neck,

Long Island society of the time -- a place fashionable for show business people, promoters and parties (Bruccoli xv Facsimile). In another sense, the "new angle" likely referred to a switch in narrative frame: from an omniscient narrator to the first-person narrator in the character of Nick Carraway (Piper qtd. in Micklaus 21). The projected time-frame of the story had also shifted since Fitzgerald's conception of the work; it now took place in contemporary times.

Shortly afterward, Fitzgerald went to Paris and then the French Riviera, finished the reconceived draft in late summer 1924, revised the typescript from September to October 1924, and then sent the revised typescript to Perkins at Scribner's, which Fitzgerald apparently titled The Great Gatsby, although there is no remaining title page to prove it (West III xvii Trimalchio). In a letter to Perkins, Fitzgerald wrote "Under separate cover I'm sending you my third novel The Great Gatsby." Later in the same letter he mentioned Gold-hatted Gatsby as an alternative title (Kuehl and Bryer 80-81). In November Fitzgerald wrote that the book should instead be titled Trimalchio in West Egg but also considered Trimalchio, after a character in Petronius's Satyricon who was a former slave who later became fabulously wealthy and then hosted a lavish banquet

(West III 190 Trimalchio). However, at around the same time Fitzgerald also mentioned as other title possibilities The High-bouncing Lover and Among the Ash Heaps and Millionaires. (West III xvi Trimalchio)

It is relevant to note that Fitzgerald did not type, and had a secretary (or secretarial service) to produce typescripts. He revised the typescripts in pencil, working off of the ribbon copy and carbons, to achieve the printer's copy. He submitted both the printer's copy and carbon copy of this manuscript to Scribner's. However, other than later galley inserts, no typescript manuscript material survives for The Great Gatsby (Bruccoli xviii Facsimile). However, the original holograph manuscript does survive, housed at Princeton University Library, and a facsimile version of it was published in 1973.

Even before he received reactions from Perkins, Fitzgerald had already suggested some changes he thought he should make. "There are things in it I'm not satisfied with in the middle of the book -- Chapters 6&7. And I may write in a complete new scene in proof" (Kuehl and Bryer 81).

In November 1924, Perkins reacted to the typescript and made a few suggestions. "It is a marvelous fusion, into a unity of presentation, of the extraordinary incongruities of life today. And as for sheer writing, it's astonishing."

Perkins then suggested that Fitzgerald somehow make the character of Gatsby and his business affairs less vague, and break up Gatsby's biography in chapter 8 by bringing out smaller bits of information throughout the narrative. (Kuehl and Bryer 83).

At Scribner's editorial offices, Perkins immediately sent the manuscript to Scribner's Press at the same time he sent his suggestions to Fitzgerald. Rather than waiting until Fitzgerald had produced revised copytext, compositors started setting the type. Reasons for this may have included that Perkins did not expect extensive revisions, since Fitzgerald had done little revising in his previous five books published at Scribner's. In addition, Fitzgerald remained in Europe, communication was slow, and if the book was to be ready for the spring publishing season, a jumpstart on production was needed. Another important consideration is that Charles Scribner's Sons had its own printing plant located nearby, editors had control over printing operations, and quick completion could be expected. Moreover, the expenses of letterpress composition in those days were not what they are now. Perkins often had other contemporary authors' novels typeset before further editing work took place (West III xv-xvi Trimalchio).

Debate over the book title continued, and Fitzgerald

had reverted to The Great Gatsby in mid-December. Fitzgerald revised the galleys in Rome and Capri during January and February 1925. Not only did he incorporate his editor's suggestions, but also wrote "I have 1000 minor corrections which I will make on the proofs & several more large ones you didn't mention" (Kuehl and Bryer 85). Fitzgerald polished the prose considerably throughout, yet he both added and subtracted details from the original version of the novel. Fitzgerald's working set of the revised galleys, housed at Princeton University Library, were published in facsimile version in 1990 as the third volume of the F. Scott Fitzgerald Manuscripts series. The actual unrevised galleys, housed at Thomas Cooper Library, University of South Carolina, were published in facsimile version in 2000 and titled Trimalchio.

In later communications to Perkins, Fitzgerald continued to harbor uncertainty over the title, suggesting again Gold-hatted Gatsby and that "Trimalchio might have been the best of then all." (Kuehl and Bryer 96). Even three weeks before publication, Fitzgerald wired Perkins that he was "crazy about title Under the Red, White and Blue." However, by this time The Great Gatsby was the title supplied by the publisher to the trade publications, and Perkins wired Fitzgerald that changing the title at that

point would delay publication (Bruccoli 153 Correspondence).

Since Fitzgerald remained in Europe, there was no time for him to check the page proofs to make the publishing deadline, and Perkins had two readers check them separately, and then he checked them himself. The first edition of the revised novel titled The Great Gatsby was first published in April 1925 (West III xvii-xviii Trimalchio).

Early reactions to The Great Gatsby were mixed. One summary of the novel in a review by Conrad Aiken published in The New Criterion in 1926 declared:

> In The Great Gatsby, however, Mr. Fitzgerald has written a highly colored and brilliant little novel which, by grace of one cardinal virtue, quite escapes the company of most contemporary American fiction -- it has excellence of form. It is not great, it is not large, it is not strikingly subtle, but it is well-imagined and shaped, it moves swiftly and neatly, its scene is admirably seized and admirably matched with the theme, and its hard bright tone owes much to the influence of the cinema …" (Bruccoli and Bryer 364).

In a mixed review by H.L. Mencken appearing in the Baltimore Evening Sun, Fitzgerald's interest in contemporary life and his accuracy in depicting it are discussed:

> He [Fitzgerald] is unconcerned about the sweatings and sufferings of the nether herd; what engrosses him is the high carnival of those

> who have too much money on their hands and too much time for spending it. … it is worth any social historians' study, for its influence upon the rest of the country is immense and profound. What is vogue among the profiteers of Manhattan and their harlots today is imitated by the flappers of the Bible Belt country clubs weeks after next. The whole tone of American society, once so highly formalized and so suspicious of change, is now taken largely from frail ladies who were slinging hash a year ago. (Bruccoli and Bryer 349).

The Great Gatsby was not a financial success in its day; the first printing of 20,870 copies sold slowly. Another 3,000 copies were printed in August 1925, for which there were six single-word textual variants/plate changes (Bruccoli 62 Bibliography). At the time of Fitzgerald's death in 1940 there were still copies of this second printing languishing in the warehouse. Although it never went out of print, it merely stopped selling, and it brought Fitzgerald only about $6,700 in royalties (Scribner III, 203 Authorized Text).

During Fitzgerald's lifetime there were only two additional printings: a 1926 English printing by Chatto & Windus and the 1934 Modern Library printing. (Bruccoli xxi Facsimile). It is notable that the first English publication was not a new edition, but a separate printing in England from the plates of the American edition, and included the six emendations from the second Scribner's

printing. (Bruccoli 64 Bibliography).

Relevant here is a mention of Scribner's house style of that time. A quasi-British style of spelling and punctuation was imposed on most of the books it printed. This can be observed in facsimiles of the unrevised galley proofs. It was therefore unnecessary for British publishers to reset the type, and was a feature of international copyright law of the time (West III xx-xxi, Trimalchio).

A comparison of the facsimile of Fitzgerald's holograph manuscript and the unrevised galley proofs clearly illustrates that Fitzgerald used a far lighter style of punctuation. In the critical edition of Trimalchio published in 2000, the base text is the unmarked galley text -- the complete version of Fitzgerald's original manuscript after it was submitted to the publisher, yet before his pre-publication revisions, restores what was closer to Fitzgerald's original punctuation (since no copy text survives). Substantive emendations to the galley text are based on the holograph manuscript and corrects "obvious typos or transcription errors in the galleys" along with what appear to be Fitzgerald's own compositional norms" (West III xxi Trimalchio).

Of the comparison of the two versions West states: "The Great Gatsby is a better book than Trimalchio. But

Trimalchio is itself a remarkable achievement, and different enough from Gatsby to deserve publication on its own. It is now put into play, not only for comparison with The Great Gatsby but for interpretation as a separate and distinct work of art" (West III Trimalchio xix).

A summary of the similarities and differences in these two versions of Fitzgerald's work: Chapters One and Two are almost identical; Nick Carraway is a more dominating storyteller and perhaps less likable in the early version; Chapters Six and Seven are somewhat different, and include Trimalchio some descriptive passages not found in Gatsby. There are more details of the affair between Carraway and Jordan Baker; more description of Gatsby's currying favor with celebrities and of Tom and Daisy's aversion to them; and a less convincing defeat of Gatsby by Tom during their Plaza Hotel The most striking change is that of Gatsby's character development. In Trimalchio, most information about Gatsby is withheld until Chapter Eight; the later version has more information about Gatsby infused throughout the book (West III xviii).

In more recent editions of The Great Gatsby, there exists a disagreement among some scholars on constructing a critical text. The scholarly edition, edited by Matthew J.

Bruccoli, was published by Cambridge in 1991. Subsequently, Simon & Schuster published "The Authorized Text" of The Great Gatsby in 1992, based on the Cambridge edition. One critic states that these editions give "an imperfect text of the novel" based on matters of editorial practice (Hays 442-43).

Hays disagrees with both some of the choice of errors corrected and of the errors uncorrected. One such example of a corrected error in these later editions included the name of the hotel in Louisville where Buchanan entourage stayed for Tom and Daisy's wedding: Fitzgerald had written "Mulbach" Hotel, (likely a confusion the Muehlebach Hotel in Kansas City) instead of the actual Seelbach Hotel in Louisville. Bruccoli made this emendation in the recent editions. Hays argues that this particular error should not have been made since it is "distracting to only isolated readers," a claim that both more well-traveled people and people local to that venue would dispute. In addition, Hays takes issue with Bruccoli's restoration of the spelling of "Wolfshiem," corrected as "Wolfsheim" in earlier editions. Hay's claims that "Bruccoli calls attention to Fitzgerald's sloppy spelling, thereby undermining the author's authority" (443).

Another error Hays calls to task -- as did Bruccoli

himself -- is retained in these editions, namely, Fitzgerald's use of "retinas" instead of "irises" or "pupils" when describing the billboard of T.J. Eckleberg in the novel. In fact, the dispute over this and another point of New York city geography -- substituting Long Island City for the geographically correct Astoria -- led to Bruccoli's resignation as editor of the Fitzgerald Cambridge Series in 1994, after completing only two of a projected 12 volumes, citing "irreconcilable differences" with the trustees of the Fitzgerald estate (Heller 13).

James L. W. West III was appointed as the new editor of that series. It was reported in The Chronicle of Higher Education that the two editors each have a different perspective of scholarly editing and of Fitzgerald. Bruccoli has described Fitzgerald as an "impressionistic realist" writer and that the tangible details were essential. West sees Fitzgerald as "romantic fabulist writer" rather than a realist, and that his textual inconsistencies should not be tampered with. "I believe an editor should be invisible in a scholarly edition," said West (Heller 12-13).

Bruccoli wanted to make the changes because both are a physical impossibility: the retina is in the back of the eye and the entrance to the Queensboro Bridge is in Astoria

rather Long Island City, as portrayed in the novel. However, it was reported that the trustees wished to retain the original text and add an explanation in the footnotes. Bruccoli argued:

> The editor of a critical edition is not compelled to retain a factual error because it derives from an authoritative document, not even if it is present in the manuscript. An accurate transcription of a text is useful, and a facsimile is more useful, but a transcription does not serve the purpose of a critical edition: to provide an emended text that is as close to the published work the author intended as the evidence and the editor's abilities permit.
>
> The concept of intention (original intention? final intention?) causes more vexation than any other term in the editorial lexicon. Editorial decisions based on the attempt to fulfill authorial intention may partake of the psychic. The editor claims to know what the author really meant while writing something else. Or the editor claims to have recovered what the author wrote in a lost document. The emendation process always involves the judgment, knowledge, and experience of each editor. The editor who knows nothing about cars will not notice a wrong model or a wrong mechanical detail. (Bruccoli Getting It Right).

Although editors often leave errors in the manuscript and explain them in footnotes, it is said to be more complicated in a case like Fitzgerald's "whose works were heavily revised, spottily edited, and riddled with mistakes" (Heller 13). Further documentation of Fitzgerald's working habits -- at least later on in his career -- is seen in an excerpt from a 1941 obituary

editorial originally published in Esquire, a magazine that published a number of Fitzgerald's short stories:

> Here at Esquire he [Fitzgerald] was the seven-year despair of our proof room. Very seldom did we manage to get to press with any of his writing without receiving one to four revised versions after the original had been set in type. And every time he wrote a new Pat Hobby story he would want the order of appearance shuffled all over again on those awaiting publication. More than once we received versions of the Hobby stories either on or after the date of their actual appearance on the newsstands. Each time this happened he would act as if his whole career had been torpedoed without warning. Finally, we had to send him a sort of ultimatum laying down the deadlines for revision on the various stories in the series. (Bruccoli and Bryer 479).

It has been suggested that both Cambridge critical editions of The Great Gatsby and Trimalchio should be considered together as evidence of Fitzgerald's changing intentions. (Bucci 333). Another compatible perspective is that "different critical, disciplinary, institutional, and social constraints produce different editorial assumptions, procedures, and presentation" (Cohen 729-730). In view of the milieu surrounding the creation and perpetuation of The Great Gatsby, it is maintained that a careful review of a variety of textual versions of Fitzgerald's work, rather than one version, is essential for further scholarly study.

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Title: Playing on the "Darky": Blackface Minstrelsy, the Deconstruction of Race, and the Construction of Identity in Toni Morrison's *Paradise*

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Abstract of paper: In a *Washington Post* interview with David Streitfeld only days before the release of her seventh novel, *Paradise*, Toni Morrison contends that what she wanted to do with *Paradise* was not to erase race but to force "readers either to care about it or see if it disturbs them" that race can be so blurred that, without specific linguistic utterance, race can go unidentified. Inevitably invoking race, recent essays on the novel argue that *Paradise* is about the American experience, told from an African American perspective. Inherent in such a contention is the element of race, of course, since the goal of such essays is largely to show how race influences perspective and the subsequent making, telling, and retelling of American history. The flaw in such an argument, however, is that it suggests that race makes a difference in the construction of an American identity, when the novel clearly argues, by having Ruby's black Old Fathers act as piously and be as patriarchal as America's white Founding Fathers, that race actually does not matter. I contend, however, that rather than being specifically about "race" itself, *Paradise* is foremost an interrogation of racial categories, especially as they relate to identity construction, in both the literary imagination and in American reality. By confusing race, Morrison is able to critique both blackness and whiteness and to show how both are produced, not biological, categories. Secondarily, the novel's examination of racial categories inevitably leads to questions about class and gender, even if only peripherally. Notably, the American art form which makes similar investigations into racial, socio-economic, and gender categories; which produces similar results; and, arguably, which Morrison revises to structure *Paradise*, is blackface minstrelsy. In the sense that both the novel and minstrelsy make critical engagements with identity construction, particularly as it relates to race, class, and gender, the minstrel tradition is an ideal medium through which to read the novel. Thus, my reading of the novel here assumes three primary modes: first, an examination of the features and inquires of minstrelsy that appear in the novel; second, a subsequent examination of how uncovering minstrelsy's real concerns encourages the deconstruction of socially constructed racial categories; and finally, an examination of why identities which endure must be constructed through the assertion of the *self* rather than through the denial of an *other*.

Playing on the "Darky": Blackface Minstrelsy, the Deconstruction of Race, and the Construction of Identity in Toni Morrison's *Paradise*

In a *Washington Post* interview with David Streitfeld only days before the release of her seventh novel, *Paradise*, Toni Morrison contends that what she wanted to do with *Paradise* was not to erase race but to force "readers either to care about it or see if it disturbs them" that race can be so blurred that, without specific linguistic utterance, race can go unidentified. That the relationship between literature and race is of especial significance to Morrison is evidenced not only in this interview with Streitfeld but in countless other interviews, throughout her fiction, and, perhaps, most aggressively, in her collection of essays and lectures *Playing in the Dark: Whiteness and the Literary Imagination*. Lodged in the context of her investigation of how a non-black Africanist presence impacts classic American texts is Morrison's commentary on the role of the writer in articulating crucial moments in American history and in offering "truth" about society even when the literary critic will not. She writes:

> National literatures, like writers, get along the best way they can, and with what they can. Yet they do seem to end up describing and inscribing what is really on the national mind. For the most part, the literature of the United States has taken as its concern the architecture of a *new white man*. If I am disenchanted by the indifference of literary criticism toward examining the range of that concern, I do have a lasting resort: the writers themselves. (Morrison *Playing* 14-15)

Here, we are reminded that even when literary criticism, as it often does, ignores obvious relationships between the production of literature and race (which is also produced), we can still count on writers to highlight that relationship, even if they do so unconsciously.

Morrison's fictional response to *Playing in the Dark* then, one might think, would result in a novel about American (read white American) identity construction and the impact the Africanist presence has had on it. To write such a novel would certainly appease critics who, in their acceptance of Morrison as a great American author, frequently question whether she could or would ever write a novel about white people. In a 1989 television interview, Bill Moyers, in essence, asked this very question of Morrison as he inquired whether or not is was conceivable that she "could write a novel in which blacks are not at center stage." Her response was an unequivocal "absolutely." And in a sense, Morrison does write about white people in *Paradise*. The coal-black citizens of Ruby mirror white, American character so completely that my first reading of the text left me convinced that Morrison had written a novel critiquing American identity and exceptionalism whereby the men of Ruby were little more than white men in blackface. And since we are never privy with any absolute certainty to knowledge about which "girl" is the "white girl," all of the girls, too, could as easily be white as they are black.

Recent essays on the novel argue that *Paradise* is, in fact, about the American experience, told from an African American perspective.[1] Notably, inherent in such a contention still is the element of race since the goal of such essays is largely to show how race influences perspective and the subsequent making, telling, and retelling of American history. The flaw in such an argument, however, is that it suggests that race makes a difference in the construction of an American identity, when the novel clearly argues, by

having Ruby's black Old Fathers act as piously and as patriarchal as America's white Founding Fathers, that race actually does not matter. Still other critics like Peter Widdowson argue that the novel is as much about gender as it is about race. He points out that since we never know which girl is the white girl, the significant factor must be that she is a girl, not that she is white. What, then, is the novel about? Arguably, it is about race, gender, and so much more. But above all this, I contend, *Paradise* is foremost an interrogation of racial categories, especially as they relate to identity construction, in both the literary imagination and in American reality. By confusing race, Morrison is able to critique both blackness and whiteness and to show how both are produced, not biological, categories. Secondarily, the novel's examination of racial categories inevitably leads to questions about class and gender, even if only peripherally. Notably, the American art form which makes similar investigations into racial, socio-economic, and gender categories, which produces similar results, and, arguably, which Morrison revises to structure *Paradise* is blackface minstrelsy. In the sense that both the novel and minstrelsy make critical engagements with identity construction, particularly as it relates to race, class, and gender, the minstrel tradition is an ideal medium through which to read the novel. Thus, my reading of the novel here assumes three primary modes: first, an examination of the features and inquires of minstrelsy that appear in the novel; second, a subsequent examination of how uncovering minstrelsy's real concerns encourages the deconstruction of socially constructed racial categories; and finally, an examination of why identities which endure must be constructed through the assertion of the *self* rather than through the denial of an *other*.

The novel's opening line—*They shoot the white girl first*—puts the reader on guard that the author has purposefully obscured race and that the convention of "normality," where the character is white unless otherwise stated is about to be debunked. Morrison tells Streitfeld: "The tradition in writing is that if you don't mention a character's race, he's white. Any deviation from that, you have to say" (n. pag.). And so she does. She makes similar comments in *Playing in the Dark* about the reader in American literature being typically positioned as white, an assumption which leads her to ask key questions about race and literature, a number of which she attempts to answer through her approach to writing *Paradise*:

> I am interested to know what that assumption [that the reader of American fiction is typically positioned as white] has meant to the literary imagination. When does racial "unconsciousness" or awareness of race enrich interpretive language, and when does it impoverish it? [….] [H]ow is "literary whiteness" and "literary blackness" made, and what is the consequence of that construction? (Morrison *Playing* xii)

Arguably, minstrelsy invokes these same questions, particularly the latter—*how is "whiteness" and "blackness" made, and what is the consequence of that construction*?

Blackface Minstrelsy and Interrogations of Identity

A concise review of recent literature on early blackface minstrelsy, which began as a formally recognized art form around 1855, suggests that the tradition of white men using burned cork and grease paint to blacken their faces and to entertain their audience by exploiting slavery and plantation life was perhaps most consumed with constructing "whiteness" and, correspondingly, with (mis)appropriating "blackness." Thus,

contemporary re-examinations of America's first form of popular entertainment reveal that, more often than not, minstrelsy was not about plantation and black life but about the desires and expectations of white men.[2] As Thomas C. Holt notes in "Marking: Race, Race-making and the Writing of History,"

> Although neither its performers—mostly white men in black grease paint—nor its audiences—mostly white male foreign immigrants and native rural immigrants—had much direct knowledge of the southern plantation or of black life, the minstrel show's dominant feature was its portrayal, or rather its supposed portrayal, of black life during the slavery era [….]
>
> It is now clear, however, that […] complex political, economic, and social forces were at work in this "play." Studies of the content of minstrel shows, their music, and their social setting suggest that they served to assuage the cultural anxieties of both the new European immigrants uprooted from homelands and integrating into an alien society and political economy and the young rural native migrants to the city, many of whom were being incorporated into wage labor and the factory system for the first time. (15)

Onto the slave population, the exported Europeans-turned-Americans cast the anxiety of their fears—their

> fear of being outcast, of failing, of powerlessness, their fear of boundarylessness, of Nature unbridled and crouched for attack; thei fear of absence of so-called civilization; their fear of loneliness; of aggression

> both external and internal. In short, the terror of human freedom—the thing they [Americans] coveted most of all. (Morrison *Playing in the Dark* 37)

By projecting Americans' fears and sentiments about politics, class conflicts, labor, masculinity, and culture onto society's lowest caste—black men—minstrelsy achieved the effect of easing white male anxiety about his struggle with identity, allowing him to laugh at himself (outside himself) while he used racial discourse to fashion his identity. These same fears, which Morrison argues in *Playing in the Dark* drive American culture as revealed in its literature, drove the identity-less American immigrants and migrants of the minstrel tradition, and they also drive the migrated citizens of Haven and Ruby, Oklahoma who populate *Paradise*. Like the audiences that were so captivated by the tradition of minstrelsy, which allowed them to define themselves in terms of who they were not, *Paradise* begs the question of what it means to be or not to be an American who has reasonable access to power and who has full control of his individual freedom.

Rendered as the multi-vocal stories of women who flee their broken lives only to have their restructured ones destroyed again and as the tale of the "one all-black town worth the pain," *Paradise* is layered with complexity. Yet, in all of its complexities, including its rejection of a linear narrative and its many characters, as careful readers, we are still reasonably able to follow the logic of the narrative because of the forthright manner with which Morrison offers the characters' stories. Mavis, the first woman to arrive at the Convent, which is already occupied by the Indian-born orphan Consolata, or Connie, as she is most often called, is guilty of allowing her twins to suffocate in her Cadillac. She could have, perhaps, endured the misery of her mistake had it not been for

her other children, who she is convinced are trying to kill her. She escapes to her mother's for help, but when her mother informs her abusive husband of her whereabouts, she runs until she finds shelter at the Convent. Grace, who is also referred to as Gigi, is the second woman to arrive. Unable to establish a self-identity independent of her sexuality, Gigi finds herself stuck in Ruby after searching for "a man and a woman fucking forever" (63). She hears of this couple from her boyfriend, Mikey, who claims that she could find the black couple of Wish, Arizona outside of his hometown. Interestingly, his commentary about the community's response to the couple intimates minstrelsy's tendency to displace emotion onto another object:

> Mikey said the Methodists wanted to get rid of them [the fucking couple] but they [the Methodists] wanted them to be there too. That even a bunch of repressed rednecks, too scared to have wet dreams, knew they needed the couple. Even if they never went near them, he said, they needed to know they were out there. (Morrison *Paradise* 63)

Although they claim to reject the couple's freedom with their sexuality, the members of the community are no less fascinated by them and no less envious of their freedom.

Next, we encounter Seneca, a hitchhiker who finds her way to the Convent in an attempt to help Sweetie, one of the townswomen who is senile and wanders about the community. Abandoned by her father and then by her mother, Seneca cuts herself as a way of displacing emotion and, conversely, inducing physical pain. Then there is Pallas, who becomes Divine. Left at the Convent to be healed, Divine refuses to talk to anyone when she first arrives. Eventually, she tells Connie her story, and we learn that her boyfriend, Carlos, is having an affair with her artist mother. Ultimately, she develops an

eating disorder and begins to question her sexuality. Left, then, to heal them all is Connie, who, like the other women, has grave issues of her own. Before the other women arrive at the Convent, Connie devotes her life to Mary Magna, the nun who rescued her from the streets as a nine year old and who is now dying.

Just as we are left to piece these women's stories together as they are rendered in sections of their own name, we gather information about the town of Ruby piecemeal. In the novel's first section, titled *Ruby*, we learn what has already happened—they shoot the white girl first—before we are privy to why or how it has happened. Eventually, we are given the town's history, and we learn that the Disallowing, the single most important event in the lives of Ruby's citizens which tells of how the Old Fathers, as they were called, were rejected by the citizens of Fairly, Oklahoma, is passed down from generation to generation. Unable to find jobs, even after holding important political offices during Reconstruction, the Old Fathers head west to create new lives for themselves and their families. When they reach Fairly, which announces its plan to build an all-black town with the motto "Come Prepared or Not At All," and they are rejected because of their deep, abiding blackness, they "were no longer nine families and some more. They became a tight band of wayfarers bound by the enormity of what had happened to them" (189). Thus, their racial purity, which results in their characteristic blackness and which they had always taken great pride in, becomes the source of their rejection and, subsequently, the single most important factor in the construction of their new identities. When they realize that their heritage of being the descendants of ten generations of

> Blue-black people, tall and graceful [….] Descendants of those who had been in Louisiana Territory when it was French, when it was Spanish, when it was French again, when it was sold to Jefferson and when it became a state in 1812 [….] Descendants of those who, after the Civil War, had defied or hidden from whites doing all they could to force them to stay and work as sharecroppers in Louisiana. Descendants of those whose worthiness was so endemic it got three of their children elected to rule in state legislatures and county offices [….] (193)

is tainted by "the one and only feature that distinguished them from their Negro peers. Eight-rock," (193) the color of the "deep deep deep level in the coal mines," they become so obsessed with racial purity that they displace one act of discrimination with another.

Even so, *Paradise* is not a book about racist black people, according to Morrison (Streitfeld n. pag.). Instead, it is, among other things, an attempt to answer the question which, she tells A.J. Verdelle, started *Paradise*: "How do fierce, revolutionary, moral people lose it and become destructive, static, preformed—exactly what they were running from?" (78). At least one answer to this question has to do with their haphazard belief in racial purity and, subsequently, in binary constructions. In their quest to believe in the goodness of their blackness, they ultimately reject all things non-black. They also reject anything black which threatens their sacred purity. Pat Best, who is never fully accepted in the community because her mother was a fair-skinned outsider, comes to this realization but only after she has burned the papers (which she plans to use to compose a family tree) which reveal the falseness of their purity:

> The generations had to be not only racially untampered with but free of adultery too. "God bless the pure and holy" indeed. That was their purity. That was their holiness [….] Unadulterated and unadulteried 8-Rock blood held its magic as long as it resided in Ruby. That was their recipe. That was their deal. For Immortality [….] In that case […] everything that worries them must come from women. (217)

As Pat recognizes, the only way for them to guarantee their "pure" bloodlines is to control women—both black and white. And their need to control people to ensure false categories and constructed hierarchies turns them into the very people they claim to hate.

Notably, creating false categories and constructing hierarchies is central to blackface minstrelsy. In an article published in 1849, Frederick Douglass, according to Eric Lott, locates minstrelsy's function in "staging racial categories, boundaries, and types even when these possessed little that a black man could recognize as 'authentic'" (36). Another function of minstrelsy, as Lott notes in *Love and Theft: Blackface Minstrelsy and the American Working Class*, had to do with appropriating black life as inferior in order for immigrants and working class whites to position themselves as superior. In its attempt to work out crucial issues regarding national and personal identity, minstrelsy adopted a system of binaries whereby the only way white men could define themselves was by establishing a category of people who they were not. Such systematic racism had long-term consequences, for as Holt notes,

> The marking of racial otherness so indelibly into the American material and spiritual culture, into its everyday, meant that what blacks confronted was never simply insult and psychic injury, never some transient

> epiphenomenon, but a kind of national ambivalence about racial matters that still complicates our efforts to understand and combat it. (17)

This is certainly true of the citizens of Ruby, who suffer from the after-effects of racist institutions like slavery and minstrelsy. Like the separatist principle of *othering* which structured and sustained minstrelsy, "Ruby depends upon isolation and insulation in order to maintain its black utopia, and it is its obsession with exclusion and 'purity' that offers not liberation from colorism but complete submission to it" (Tally 84). In essence, Ruby becomes the new Fairly, Disallowing any and all who are unlike them.

Interestingly, it is a variation of minstrelsy that sets the formative diegesis of *Paradise* into motion. Through retrospective narration near the end of the novel, we learn that the Old Fathers' most respected elder and statesman, Zechariah Blackhorse, had a twin brother Ethan, whose name has been erased from the Blackhorse Bible. As Deacon, one of the New Fathers tells Rev. Misner after Deacon and the other men have killed the Convent women, few remembered that Zechariah had a twin brother and that they were first known as Coffee and Tea.

> When Coffee got the statehouse job, Tea seemed as pleased as everybody else. And when his brother was thrown out of office, he was equally affronted and humiliated. One day, years later, when he and his twin were walking near a saloon, some whitemen [sic], amused by the double faces, encouraged the brothers to dance. Since the encouragement took the form of a pistol, Tea, quite reasonably, accommodated the whites, even though he was a grown man, older than they were. Coffee took a bullet in his foot

> instead. From that moment they weren't brothers anymore. (Morrison *Paradise* 302)

Shortly thereafter, Zechariah, along with other former legislators whose dignity had been challenged by white men who knew their worth only in relation to denigrating others, abandoned the life that denied him his human freedom and sought to create a new life for himself. In short, he refused to participate in the minstrel tradition. Yet, throughout *Paradise*, the citizens of the "one all-black town worth the pain" mimic the very tradition they hated so much almost to perfection.

Both minstrelsy and *Paradise*, for instance, are heavily informed by the journey motif. As Alexander Saxton notes, "In minstrelsy's complex matrix of social content, the *journey* became the central theme. It stood in contrast to the celebration of urban opportunity and permissiveness as a lament for what had been left behind and lost" (173). "Blackface singers," according to Saxton, "were protagonists of Manifest Destiny" where westward movement was focal (172), and the journey as theme had less to do with slaves' movement than it did with white performers'. Again, onto the slave population, minstrels projected their own experiences, in this case, their experience of searching for a place where they could interrogate identity and assert their dominance. Similarly, in *Paradise*, the journey, first to Haven and then to Ruby, is central to the narrative, even as the community laments what has been lost and vows never to forget the life they were leaving behind.

According to Ruby legend, the journey to Haven was God-ordained since God had given the Old Fathers signs and dreams, directing their journey much as He had done for the wandering Israelites of biblical times. At some point in the Old Father's journey to

Haven, Zechariah, who at this point in the narrative is referred to as Big Papa, and his son Rector encounter a "walking man" who embodies the spirit of God. Three nights after the infamous Disallowing, Big Papa suddenly awakens Rector, and the two men go deep into the woods to pray. As Rector listens to his father hum a prayer, "he [feels] himself floating inches aboveground"; he hears thundering, direction-less footsteps; and, ultimately, he sees the silhouette of a small man "walking away from the palest part of the sky" (Morrison *Paradise* 97). Big Papa commands Rector to gather the people so that they might prepare to move, and they find new purpose in their journey. From time to time, the walking man reappears to Big Papa and sometimes to a child. Finally, twenty-nine days later, Rector sees the walking man again, and he and Big Papa watch him remove items from his satchel until his image begins to fade completely. When they discover a guinea fowl in an undisturbed trap and "plumage to beat the band," Zechariah declares the land *their place*. After negotiating for the land with a family of State Indians, the Old Fathers rejoice:

> To the Old Fathers it [the land] signaled luxury—an amplitude of soul and stature that was freedom without borders and without deep menacing woods where enemies could hide. Here freedom was not entertainment, like a carnival or a hoedown that you can count on once a year. Nor was it the table droppings from the entitled. Here freedom was a test administered by the natural world that a man had to take for himself every day. And if he passed enough tests long enough, he was king. (99)

But this freedom has limits because the community of Haven, like the minstrel tradition it mimics, is rooted in an ahistorical myth which can only be substantiated by freezing time.

Minstrelsy, as Saxton notes, is similarly ahistorical. Early minstrels "perceived slaves as *part* of nature—part of the South; and from this curiously ahistorical viewpoint undertook to 'delineate' the plantation culture of the South" (Saxton 173). They, therefore, duplicated the plantation myth, a myth that was "also ahistorical because its inspiration was to fix the black slave as an everlasting part of nature rather than as a figure in history" (173).

In addition to their mutual focus on the journey and their tendencies toward the ahistorical, both minstrelsy and Paradise are overtly concerned with establishing and maintaining authority, often at the expense of oppressing others. In Ruby, power is the issue; and the men know it. This is why they ultimately attack the women—because established power is threatened. And the only way to maintain it is to prove that theirs is stronger. At no point do they consider sharing it. To do so would leave them with no *other* to subject or to oppress or to use as a source of consolation about who they are not. The narrator explains:

> Wisdom Poole would be looking for a reason to explain why he had no control anymore over his brothers and sisters. To explain how it happened that those who used to worship him, listen to him, were now strays trying to be on their own [….] As for the Fleetwoods […] they'd been wanting to blame somebody for Sweetie's children for a long time […] and although Lone had delivered some of Jeff's sick children long before the first women arrived, they wouldn't let a little thing like that keep them from finding fault anywhere but in their own blood. (*Paradise* 277)

Instead of examining themselves, the men seek freedom from personal blame and responsibility by appropriating the women as the cause of their suffering and their disrupted lives. And when coupled with the fear created by the women's bold choice to function without men, in spite of men, the men of Ruby's need to cast the anxiety of their fear and feelings of inadequacy onto the Convent women makes destruction almost inevitable.

Again, the novel's commentary mirrors that of minstrelsy. Race, class, and gender are only minimally separable. Just as the men of the novel must kill to assert their power and masculine identity, minstrels often performed for similar reasons. Much in the same manner that minstrels, at times, donned blackness to investigate their identity in terms of class[3], at other times, if not simultaneously, they also assumed the façade of blackness to receive more flexibility of standards regarding sexuality than they were entitled to as white people. In short, minstrelsy was a playground for ideologies of manhood which, upon closer analysis, reveal that, more often than not, manhood or masculinity was *appropriated* rather than *authentic* and exists as a *real* category only in terms of binaries.

Deconstructing Binaries and Race

Significantly, Morrison avoids making this same mistake with the novel that minstrelsy and Ruby's community make with their ideology of *other*. When Streitfeld notes that "[i]t's possible to read *Paradise* as exploring several sharp conflicts: the religious town vs. the 'pagan' convent, those who worship money vs. those who don't, the Ruby men vs. the convent women" (n. pag.), he also quotes Morrison, who tells him that she does not have an agenda which pits male against female, good against bad:

> All I have are questions. Everything is very complicated. Yes, it could be that I could be understood as saying that patriarchy is bad and matriarchy is good. In fact, I don't believe any of those things. I don't deal in these binaries" (n. pag).

That she does not is significant in the sense that it helps teach the reader, who is encouraged if not compelled to participate in the text, to see the limitations of replacing one system of domination with another. While Widdowson misreads the novel's unwillingness to do this—he argues that "Ruby is both a chilling indictment of white America […] and a celebration of black resilience, independence and honor" (324)—Katrine Dalsgard makes the more accurate observation. She writes:

> […] *Paradise* represents a new take on both the tradition of American exceptionalism and the African American cultural tradition. In relation to the former, her deconstruction of the self-conscious perfection underpinning the exceptionalist tradition implies that, unlike other writers of the tradition, she doesn't reinscribe the national American dream theoretically. In relation to the latter, her deconstruction of Ruby's exceptionalism figures as a warning that the mechanisms of violence and marginalization are also at work in counter-discursive national historical narratives. (246)

Because the novel does not privilege a new way over an old way or a so-called "good" way over a "bad" way, Morrison avoids making the mistake most critical race studies theorists make when they attempt to talk about America in terms of blackness and whiteness. This is especially important for at least two reasons: because the dualism of

binary oppositions inevitably oversimplifies race and because the novel does make aggressive attempts to interrogate the complexity of race and to identify it as a cultural construct.

As AnnLouise Keating argues, "although theorists of 'whiteness' attempt to deconstruct 'race,' all too often they inadvertently reconstruct it by reinforcing fixed categories of racialized meanings" (910). In her brief critique of Andrew Hacker's *Two Nations: Black and White, Separate, Hostile, and Unequal*, for instance, she notes that Hacker does indeed describe race as "'a human creation,' not a fixed biological fact, and acknowledges that because people use the word in numerous ways, clear-cut definitions are impossible [….] Yet throughout the book he continually refers to the 'black race' and the 'white race' without complicating the terms" (914). Morrison, however, by blurring racial categories and by having her black characters act in a manner that reflects dominant white ideology and behavior, avoids reifying the racial categories the novel subversively seeks to undercut. At the same time, she mocks notions of racial purity. And here, again, we are reminded of recent re-examinations of minstrelsy which obviate notions of racial purity and the false racial distinctions minstrelsy fought so hard to create and purport and which, subsequently, invoke minstrelsy to reveal racial categories as man-made cultural constructions.

While minstrelsy's audiences were "interested in how racial differences and enslavement reinforced distinctions between black and white Americans" (Mahar 1), *Paradise* is interested in blurring these distinctions. Thus even as Morrison suggests that the novel is not overtly concerned with race, its opening line suggests otherwise. And this is our first clue as readers that race figures in complex ways throughout the novel,

that it is, at the same time, completely and insignificantly important. In an interview with Paul Gray, Morrison admits that she purposefully left the race of "the white girl" unrevealed:

> "I wanted the readers to wonder about the race of those girls until these readers understood that their race didn't matter. I want to dissuade people from reading literature that way [….] Race is the least reliable information you can have about someone. It's real information, but it tells you next to nothing." (4)

Similarly, in *Playing in the Dark*, she notes that the kind of work she always wanted to do required her "to learn how to maneuver ways to free up the language from its sometimes sinister, frequently lazy, almost always predictable employment of racially informed and determined chains" (xi). She makes her first attempt at this in "Recitatif," her only short story, which, ironically, is driven by a crucial significance in racial difference. For Twyla and Roberta, the two girls of the story who become known as "salt and pepper" in the orphanage where their mothers leave them, racial identities gain vast significance, first, when one mother snubs the other because of the girls' racial difference and, later, when they find themselves on opposite sides of a protest which debates the appropriateness of school busing. Although race is a crucial factor of the story, the reader is left to figure out which girl is black and which girl is white. Ultimately, because Morrison removes all racial codes which would definitively identify the girls as belonging to a specific race and then includes any number of racially ambiguous codes to confuse their racial identities further, the reader is encouraged to recognize race as a cultural construct and to see how "blackness" and "whiteness," without linguistic

utterance, are more alike than they are unlike and that they are in fact, at times, indistinguishable.

Morrison revisits this technique in *Paradise* and reinforces notions which conflate "whiteness" with invisibility. And even though the white norm is invisible more often than not, it still "seems to encompass an authoritative, hierarchical, restrictive mode of thought" (Keating 906). But with notions of normalcy which privilege whiteness disturbed, a feat the novel achieves by announcing the presence of a "white girl," whiteness becomes relatively visible (we never really *see* which girl is the white girl) only in the sense that it is announced. "By specifying the white girl," Linda Krumholz notes, "Morrison has reversed the accepted racial logic in which blackness is the exception and whiteness the norm. By calling her 'the white girl' Morrison makes whiteness the exception, and thus she constructs the invisible and 'universal' point of view as not-white" (28). When this is done, race becomes little more than a social construct, indeed, and it is less clear than ever. Connie, for instance, with her green eyes and tea-colored hair, could be mistaken for the white girl until the narration refers to her as a non-white urchin. We assume (and perhaps wrongly) that Mavis is black since no one reacts strangely to her presence and since she muses that she had not seen a single white person other than the gas station attendant. But at this point, only 45 pages into the novel, normalcy has been reversed, and all characters are assumed to be black unless otherwise indicated. As each character is introduced, we search for cultural clues (further substantiating the premise that race is constructed) that may indicate each girl's affinity with an ethnicity. But in this respect, too, Morrison is purposefully unclear. Gigi enters the town and is immediately the focus of male attention because of her body. She even

has an affair, which aligns her with the Sapphire and the loose-black woman stereotypes. Yet, we have to be astute enough to realize that the text does not deal in stereotypes. Seneca, who at one point is a sex toy for a white woman, has a large butt (again, typically associated with black women). But this is her only physical descriptive. And Pallas, the daughter of a wealthy father and an artiste mother (potentially suggestive of white culture), has cinnamon-colored legs. Purposefully, each cultural indicator is juxtaposed with a contrary marker. And the only way to come close to identifying who is white is to eliminate the characters who, through linguistic utterance, are identifiably black. In this sense, the novel reiterates the premise Morrison asserts in *Playing in the Dark*—that "whiteness" loses most, if not all, of its meaning without a non-white Africanist presence.

Keating makes a similar observation:

> Though we generally think of "white" and "black" as permanent, transhistorical racial markers indicating distinct groups of people, they are not. In fact, the Puritans and other early European colonizers didn't consider themselves "white"; they identified as "Christian," "English," or "free," for at that time the word "white" didn't represent a racial category [….] It was not until around 1680, with the racialization of slavery, that the term was used to describe a specific group of people. (912)

What this recognition highlights as much as anything is that "whiteness" evolved in response to "blackness." But in its attempt to avoid reproducing the "white man's laws" of superiority, *Paradise* does not privilege "blackness" over "whiteness" but, rather, attempts to transcend race to the point of humanness. No shadows of blackness or whiteness loom over the women after they disappear into the door or window of their

personal paradise. So although it clearly speaks to race, the novel is not about race at all. And the blurred distinctions of black and white, the displacement of characteristically white fears and anxieties onto black bodies, and the display of whiteness as a learned and identifiable social practice that can be replicated by any and all (and, hence, its obvious inauthenticity) prove that while race cannot be erased, it has no place in humanness.

Identity Construction

It is no coincidence then that Morrison focalizes the crux of the novel and its commentary on the fear that characterized Americans through an outsider who is not black or white enough to use racial discourse to fashion her identity and who, subsequently, seeks to fashion it through *truth* instead of *othering*. The town teacher, Patricia Best Cato has her class compose autobiographical compositions that shed light on their ancestry. What starts out as a history project that would be a gift to the citizens of Ruby, the collection of family trees detailing the genealogies of each of the founding families quickly becomes a source of discomfort for Ruby's older citizens. But it is through the dialogue surrounding the tree that the town's history is revealed. According to legend, there were nine families to make the journey from Louisiana-Mississippi territory to Oklahoma—the Blackhorses, Morgans, Pooles, Fleetwoods, Beauchamps, Catos, Floods, and two families of DuPres. The group of former legislators left their homes as a means of survival (and not choice as they later claim) and transformed themselves into a band of wayfarers who, as they now saw it, out of courage and hope, sought a better life. They, literally, rewrote their own past by forgetting that which was unattractive to them and created their new identity after being relegated as an *other* in Fairly. Though the town's myth is that the Old Fathers had chosen to strike out on their

own because they wanted something better for themselves, the truth was that they had little choice but to move if they wanted to save face and to survive. What their revised version of history omits is the fact that Zecahariah

> was subject to personal taunts as well as newspaper articles describing malfeasance in office. He was an embarrassment to Negroes and both a threat and a joke to whites. No one, black or white, could or would help him find other work. He was even passed up for a teaching job at a poor country primary school. (302)

Ultimately, he convinces other former legislators to move with him, but they leave that part of their history which shames them behind. Obviously, creating a new self-narrative is not in and of itself the problem. But adopting the ahistorical tendencies of minstrelsy which misappropriate history and exclude those who do not subscribe to the revised version is. And this is what the new generation of men do to the convent women, only their way of excluding the women is by killing them. The moment the men's freedom is challenged, the "authenticity" and self-definition characteristic of their 8-rock blackness becomes the parasitical and subjugating essence of blackface minstrelsy. And as Misner thinks in the moments before he is about to eulogize young Save-Marie, "[w]hether they be the first or the last, representing the oldest black families or the newest, the best of the tradition or the most pathetic, they […] ended up betraying it all. They think that they have out-foxed the white man when in fact they imitate him" (306). Their behavior (of imitating the white man) follows the history of minstrelsy literally, since black entertainers eventually began to imitate white minstrels and, later, took over the tradition.

In much the same manner that America, as the New World, claimed to be freeing itself from the Old World by guaranteeing the former's freedom, which, paradoxically, was achieved by denying the freedom of an underclass, the citizens of Ruby impose their minstrel-like fears of failing, of powerlessness, of "Nature unbridled," of the absence of "so-called civilization," and of external and internal aggression onto the Convent women. In the moments following the attack on the women, the narration muses:

> Bewildered, angry, sad, frightened people pile into cars, making their way back to children, livestock fields, household chores and uncertainty. How hard they had worked for this place; how far they once were from the terribleness they […] witnessed. How could so clean and blessed a mission devour itself and become the world they escaped? (292)

The novel's commentary about the citizens' belief in socially constructed categories as stable and authentic and their subsequent attempts to reinforce these categories suggests that it is, at least in part, because of their failure to create an identity for themselves which resists binary constructions and which accepts the truth of their past that the town does, indeed, become the world they sought to escape.

Interestingly, the Convent women, like Ruby's citizens, struggle with the conflict that arises when history and identity are appropriated too. But the women's response is quite different from Ruby's inhabitants. Instead of destruction of the Other, the women chose flight. Each woman has a history and an identity from which she seeks escape—Gigi abandons her imprisoned father and lover as well as her family in Alcorn, Mississippi; Mavis flees from the consequences she might face after accidentally killing her children; Seneca seeks to escape the loneliness and the memories of foster homes;

and Pallas is running from the betrayal of her mother with her lover. When the women's paths cross the citizens of Ruby—Connie has an affair with Deacon Morgan; Billie Delia loses a baby and causes strife between the Poole brothers; KD sleeps with Gigi; and Menus seeks solace in their presence—the citizens' much coveted human freedom is challenged, and the functionality of an identity based on who they are not ceases to exist when this inauthentic distinction becomes blurred. But in the final three sections of the novel, identity distinctions become clear again. Only this time, it is the women who seek to construct for themselves an identity, while the men of Ruby fight to the death to preserve theirs. But preservation is impossible since their identity is "defined only by the absence of the unsaved, the unworthy and the strange" (306)—in short, it is based on who they are not and, hence, is revealed as inauthentic or non-existent when an *other* ceases to be. Ultimately, the women emerge as the true survivors because they form their identities based solely on their own existence and, more importantly, without othering and without appropriating the past.

The reign of the women at the end of the novel fictionally speaks to the same truth Morrison proposes in *Playing in the Dark*—the achievement of freedom at the expense of the non-free or the oppressed is not freedom at all. It is, instead, an inhumane activity which offers only a temporary solution to a problem that will inevitably resurface when the oppressed acquires of sense of power and a sense of himself. By deconstructing the traditions of whiteness that the citizens of Ruby have adopted and made their own (particularly as they relate to human freedom and the construction of identity), *Paradise* suggests that the crisis of power indicative of Ruby (and white America) can be negotiated only when its citizens use their *human* and not *racial* imagination to

disconnect their difficulty from fear and past rejection(s) and reconnect it to the larger socio-political issues that created the crisis initially. And this is what Connie teaches the women and why they each return to some aspect of their past before they disappear—that they must define themselves with the past in mind but without fear and, consequently, without othering. Their healing demands "transcendent group interaction [where] they pass beyond the boundaries of individual and other [….] As they do so, they heal themselves, achieving individual harmony as they acquire communal harmony. They gain self and community (Page 642)Otherwise, the temporary power advantage they might gain exclusively as individuals would eventually transform itself into long-range instability since the problem that makes *othering* necessary is seldom resolved but, rather, displaced.

The only problem with this commentary is that it achieves its voice in a world that displaces reality. For the emergent women, the human world is replaced by a more mystical one. And the women's survival is uncertain, at best, to those to whom it speaks most passionately and upon whom it would have the greatest didactic effect. The question, then, becomes *is self-identity that is not hegemonic achievable in the real world or only in the imagination*? The behaviors and epistemologies of Pat Best Cato, Rev. Misner, Lone DuPres, and the other somewhat neutral citizens of Ruby seem to imply that a non-hegemonic existence is, indeed, possible in the real world when this existence is based on reality, as opposed to myths of racial purity and exceptionalism. The real issues that necessitate minstrel-like behavior must be unmasked and construction of one's identity must be devoid of *othering*.

The novel reinforces this position throughout as it critiques America's rejection of those she deemed impure and mocks her belief in exceptionalism. This idea of exceptionalism, as it manifests itself in American literature, perpetuates the myth of America's distinctiveness as morally superior and socially responsible. It emerged from the Puritans' belief that, in fleeing persecution in England, they were to establish the exemplary Christian community—a paradise of sorts. But as Morrison points out in commentary about the novel, there is an element of exclusion inherent in our human concept of paradise.[4] Since its inhabitants necessarily think of themselves as the chosen people, their job is to isolate themselves from other people. Accordingly, Morrison critiques the isolationist notions of paradise and American exceptionalism alike throughout the novel. Dovey feels so isolated she imagines that she has a mysterious visitor; the younger children feel the need to move away to Demby to create a real life for themselves; and, ultimately, Ruby fails in all of its attempts to be a successful paradise. And as Dalsgard points out,

> [b]y insisting on the inextricable connection between the exceptionalist striving for perfection and a repressive and ultimately violent isolationism, Morrison emphasizes the process of supplementarity at work in exceptionalist discourse. An apparent plentitude, the paradisiacal (African) American community is revealed by the imperfection outside and/or beyond its limits and against which it seeks to define itself, the women at the Convent, to lack this very imperfection and thus not be a plentitude after all. Because of the supplement's dual function, this lack is

> inhabited, and thus paradisiacal (African) American community is rendered unstable by its imperfect other. (241)

The citizens of Ruby can view themselves as superior only in the sense that they are separate from the world from which they have isolated themselves. Thus, Morrison's critique of American exceptionalism is not simply about America's failure to live up to its ideal of exceptionalism and to its promises (to Native and African Americans alike) but as much, if not more, about its misguided belief in the *idea* of exceptionalism, that such is even plausible. Similarly, the novel's critique of patriarchy is not simply about the Old Fathers' (both the actual and the fictional white founding fathers') failure to offer women, especially those who openly reject patriarchy, the same individual freedom they craved and fought for but also about the erroneous notion that someone else's freedom is theirs to give.

But the men of Ruby believe in offering and taking away freedom as wholeheartedly as they believe in their own freedom to decide who is exceptional and who is not. That they consider themselves "chosen" is evidenced not only in the myth of their journey to Haven, where God led them to "their place," but also in their yearly Christmas pageant where they integrate the Disallowing into the story of the birth of Christ. Even before the women at the Convent become an issue, the men exercise their right to co-opt history and sacred myth and to cast others aside at will. Attending the play for the first time, Rev. Misner:

> […] watched the children's movements with mild affection at first, then with growing interest. He had assumed it was in order to please as many children as possible that there were four innkeepers, seven Marys and

> Josephs. But perhaps there were other reasons. Seven holy families? (Morrison *Paradise* 211)

He taps Pat on the shoulder and remarks: "Who put this together? I thought you told me there were nine original families. Where are the other two? And why only one Wise Man? And why is he putting the gifts back in the satchel?" (211). When Pat's only response to Misner is that he must not know where he is, meaning in Ruby, where the only thing sacred is what they deem sacred, he replies: "'Well help me figure this place out. I know I'm an outsider, but I'm not an enemy'" (212). Without telling him that the wise man puts the gifts back in the bag to symbolize the Disallowing or that the numerous Marys and Josephs are supposed to represent the founding families, she quickly reminds him that in Ruby, *outsider* and *enemy* mean the same thing. And although the comment ends her conversation with Misner about the holy families, Pat eventually inquires about the change.

For years, there were nine holy families for which there was "no room," then eight, and now seven. Her father claims that it must be because there were not enough children to accommodate a more accurate re-enactment. But she quickly suggests that it is skin color and unstated resentment that decide how families are represented, if they are represented at all. After admitting to herself that hers was surely one of the families the townspeople had conveniently begun to omit and, hence, deemed "not good enough to be represented by eight-year olds on stage" (216), she becomes even more aware of the falsity of Ruby's creation myth, which, by sheer recognition of its flaws, interrupts it. By connecting Fairly's rejection of the Ruby ancestors to Mary and Joseph's rejection in Bethlehem and by, subsequently, likening the founding families, whom they rename

"holy families" each year at Christmas, to Mary, Joseph, and Jesus, the town's citizens display their willingness to write themselves into being, even as they are completely unwilling to allow the women to act similarly. As soon as the men begin to suspect that the women will make such an attempt, they plot to kill them. They rationalize their intent and, again, assert their likeness to God, this time as judge:

> Before those heifers came to town this was a peaceable kingdom. The others before them at least had some religion. These here sluts out there by themselves never step foot in church and I bet you a dollar to a fat nickel they ain't thinking about one either. They don't need men and they don't need God. Can't say they haven't been warned. Asked first and then warned. If they stayed to themselves, that'd be something. But they don't. They meddle. Drawing folks out there like flies to shit and everybody who goes near them is maimed somehow and the mess is seeping back into *our* homes, *our* families. We can't have it [….] Can't have it at all. (276)

The women's biggest crime, as Lone interprets, is that they dare to live peacefully without men, and they chose themselves for company. Connie's rituals, which, ironically, involve painting the *self*, encourages this choice.

> In the beginning the most important thing was the template [….] Consolata told each to undress and lie down [….] When each found the position she could tolerate on the cold uncompromising floor, Consolata walked around her and painted the body's silhouette. (263)

They stay within the confines of the templates until their loud-dreaming begins. Having achieved the power of voice, they tell their stories, and, eventually, they begin to step into each other's tales. By using their power as individuals to help each other as a community, their healing begins. They reject isolation, categories, and identities that have been constructed in terms of *other*. Instead, they step outside of the "self" (which they have recreated in the form of the template) to create new identities for themselves based largely on who they are and who they have been. Seneca's template reflects her scars, only now, when she has "the hunger to slice her inner thigh, she chose[s] instead to mark the open body lying on the cellar floor" (265). Gigi draws a heart locket around her template's neck to reflect the one her father had given her but which she had thrown away. And Pallas, who may or may not have been raped, places a baby in her template's womb. The women begin to experience true freedom for the first time because, finally, they were no longer haunted. So when Lone goes to warn them about the men's plan to attack them, they are so enamored with their newfound freedom that they are oblivious to their impending doom. They are convinced that they have found their paradise—a place where "white sidewalks met the sea and fish the color of plum swim alongside children [….] where gods and goddesses sat in the pews with the congregation" (263-64). But as the citizens of Ruby have learned the hard way, paradise simply cannot exist among the living—not even when it is constructed, painted, or blackened up.

When read through the analogy of blackface minstrelsy, *Paradise* reveals, among other things, that produced categories of race and identity are so unstable that, when threatened, they often collapse. Just as recent reexaminations of America's oldest art form reveal that minstrelsy was never simply about one specific thing but, rather, about

the intimate relationship of race, gender, and class, reading *Paradise* as a revision of blackface minstrelsy suggests that Morrison purposefully complicates the novel to reinvestigate these same issues. Like participants of minstrelsy (audience and performers alike), the town struggles to maintain its false definition of *self*. And when the women, even as they are isolated and still in the margins, threaten male power, the fear alone of potentially having to share or to relinquish some of their power causes the men to feel justified in their killing them. In a manner similar to the essence of blackface minstrelsy, Morrison thus develops her novel in a context where the presence, the transgression, and the containment of fear coexist one with another and where, in response to such fear, false identities are constructed and, ultimately, dissolved. In the sense that we never know for sure which girl is the white girl, the novel deconstructs whiteness. And, even with the Old Fathers' best efforts to maintain their racial purity, the 8-Rock blood is diluted, and blackness is similarly deconstructed. Few mediums allow the simultaneous presence of the conscious and unconscious fear that stems from the instability of one's identity and the denial of this instability to an extent greater than that of the minstrel tradition. But as a contemporary adaptation of blackface minstrelsy, *Paradise* moves beyond the traditional act of masking, as it, first, stages a marvelous performance, then, takes the reader behind the scenes to investigate its meaning, and, ultimately, reveals the truth that minstrelsy inadvertently discloses—all that is constructed can, as easily, be deconstructed; therefore, the only indelible and, arguably, significant identity is that of humanness. For in a world called *Paradise*, only that which is humanistic shall thrive.

Notes

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[1] See, for instance, Widdowson; "Racial Stock and 8-rocks: Communal Historiography in Toni Morrison's *Paradise*" by Rob Davidson; "Toni Morrison's *Paradise* and the Politics of Community" by Peter R. Kearly; "The One All-Black Town Worth the Pain: (African) American Exceptionalism, Historical Narration, and the Critique of Nationhood in Toni Morrison's *Paradise*" by Katrine Dalsgard, and "Furrowing All the Brows: Interpretation and the Transcendent in Toni Morrison's *Paradise*" by Philip Page.

[2] See Eric Lott's *Love and Theft: Blackface Minstrelsy and the American Working Class* (New York: Oxford UP, 1993); Alexander Saxton's "Blackface Minstrelsy" in *The Rise and Fall of the White Republic* (London: Verso, 1990); and David Wellman's "Minstrel Shows, Affirmative Action Talk, and Angry White Men: Marking Racial Otherness in the 1990s" in *Displacing Whiteness*, ed. Ruth Frankenburg (Durham: Duke UP, 1997) for further commentary on the issues that really drove minstrelsy.

[3] In terms of its mockery of class differences, minstrelsy varied from performance to performance. But its consistent act focused on the interaction between an interlocutor (frequently referred to a s Mr. Interlocutor) and two end men (frequently referred to as Mr. Bones and Mr. Tambo).[3] In order to achieve the goal of mocking the upper class European aristocracy and their desires for utopia, Mr. Bones and Mr. Tambo (the shabbily dressed comedians whose physical appearance represented the common man and whose physical positioning as end men symbolized their marginality) incessantly outwitted Mr. Interlocutor (the elegantly attired man of supposed intelligence whose physical appearance represented and aristocracy and whose physical positioning in the center symbolized his dominance). The men of the town become Mr. Interlocutor—the center of power whose status is gained and whose identity is realized primarily through the presence of the end men. Only in this case, the end men, Mr. Bones and Mr. Tambo, are women, women whose presence is tolerated until their newly created identities position them as much in the center as the townspeople and threaten their self-defined utopia.

[4] See "This Side of 'Paradise': Toni Morrison Defends Herself from Criticism of Her New Novel" by Anna Mulrine and "This Side of Paradise" by James Marcus.

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Super-Sizing Pop Culture: The Positive Appearance of Plus Size Women & Products in Popular Culture.

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Abstract

Proctor & Gamble recently unveiled a newer, more advanced feminine hygiene product. Using a plus size actress in its commercial, *Always* now offers a pantyliner that fits more than the average size six. Not to be outdone, the Hanes Corporation has always used plus size women in their *Just my Size* commercials. Inevitably, the emergence of plus size women in advertising has spilled over into the literary realm.

In this paper I discuss the plus size protagonist, Cannie Shapiro, in Jennifer Weiner's work *Good in Bed* and the uniquely positive way in which she confronts her eccentric, yet humorous life from the point of view of a plus size woman. Although her positive self-image is threatened when her former love interest publishes "Loving a larger woman," Cannie resists, throughout many trials, society's insistence that she conform to its accepted image and reaffirms the acceptance of her body, even composing a confidant rebuttal also titled, "Loving a larger woman."

Super-Sizing Popular Culture:

The Positive Appearance of Plus-Size Women in Popular Culture

Carrie Wills

What is a plus-size woman? Is she considered "fat?" Is she pleasantly plump? Is she curvy? Voluptuous? Obese? Disgusting? Overweight? Beautiful? These are all adjectives used to describe plus-size women. However, they are also opinions constructed by an apathetic culture, a culture that was once so obsessed with teen fashion model Twiggy, and her 31-22-32 inch measurements, that young women were dieting and dying to become just like her. But that was the late sixties; times have changed now,

right? Not so, a mere decade ago mannequins that resembled Grace Kelly's size 8 figure were replaced with waif supermodel Kate Moss' size 4 in the Saks Fifth Ave. storefronts, without a thought as to how changes like this one in the consumer fashion world would impact society's perception of those of us who are not a perfect size 4. This presentation will reflect upon the image of the plus-size female in this same society, it will define the term "plus-size," as it is a problematic phrase, and it will outline the emergence of new product lines, literatures, and films that seek to acknowledge – and validate – the plus size female in a more positive way.

Merely trying to define what our society sees as a "plus-sized individual" is difficult. In order to get at a clear understanding of the term "plus-size," we must first examine the opposite term "waif": The word "waif" was coined in 1991, and is defined by *Oxford's Twentieth Century Words* as "a fashionable young woman, with clothes and hair suggesting a ragged style, characterized by extreme thinness and apparent fragility. A look popularized in the 1990s by such supermodels as Kate Moss" (Ayto 603). Now, doesn't that sound sickly, not sexy? The usage example the dictionary gives for the word "waif" is "1994 New York: One of Stasi's main claims to fame is starting the controversy over the low body weight of superwaif Kate Moss" (Ayto 603). It should be noted that there were no words like "plus-size," "zaftig," or even "obese" in that dictionary; therefore, these words have either been popularized in the past two and a half years, or have been around more than a century. I'm guessing the latter.

We still need to define a plus-size woman and her measurements, especially now that we know what the opposite [size] measures. If we were to look at various plus-size catalogues, we would notice that the size charts range from beginning with a misses size

12 (36 ½ to 37 ½ - 28 ½ to 29 ½ - 38 ½ to 39 ½) and increasing to a woman's size 44 (68 to 69 ½ - 60 to 61 ½ - 70 to 71 ½)**;** that's quite a size range. It should be noted here that *most* plus-size catalogues begin with a size 14, not a twelve, and others consider a size twelve to be a "small" and available for purchase in some, if not all, fashions. According to the report entitled *The US Market for Plus-Size Apparel*, six out of ten women or 60% wear a size 12 or larger. One would think there wouldn't be such a negative association with being plus-sized if 60% of women in the United States fall into this category. Unfortunately, culture dictates otherwise.

Plus-size women face numerous problems in our world. One writer has deduced that plus-size women are discriminated against by society simply because of how our world has been designed. In the foreword to *Bountiful Women*, Carmen Berry states:

> If over half the female population wears a size 14 or larger, why is the most stylish clothing designed for size 12 or smaller? Why are armed chairs in restaurants and theaters designed for smaller rumps? Why aren't car and airline seat belts designed to accommodate wider waistlines?" The key word here is *design*. Larger women do not struggle simply because they are larger, but because, as a culture, we have designed our vehicles of transportation, our places of entertainment, and our work environments for the thinner half of society. Many of the problems bountiful women face each day could be alleviated by designing to include, rather than exclude larger people. We don't design for bountiful people, we discriminate against them. (Berry viii-ix)

These are basic problems that plus-size women deal with day to day: seat belts that do not stretch across their curves, armchairs that would be much more comfortable without arms, or at the very least, with a wider seat. Public arenas where concerts take place have seats that are tiny and do not offer enough leg room. Airplanes, along with most forms of public transportation, fail to provide an adequate seat, seat belt, and leg room. Even the

most basic problem of having sufficient coverage for their underwear during the menstrual cycle is a significant design flaw.

Other problems are not questions of design, but questions of individual character and of society's character. How important is the plus-size profile in advertising in catalogues, stores, and commercials? Are these women being cheated? The Hanes Corporation, owned by Sara Lee, has used plus-size models in their catalogues and commercials for their *Just My Size* line since it debuted in 1994. *Lane Bryant*, the catalogue, has not always used plus-size models; in fact, they still don't. Now, I don't know about you, but when I am thinking of purchasing something that I obviously cannot try on before purchase, I want to see the clothes on a figure that is somewhat like my own, not a size 10 model, at the largest. The clothes obviously hang on some models, and ruin the shape (if any) of the garment. How can a woman accurately choose a garment without trying it on, without seeing it on a real person or a dress form, and know that she is getting something that will look fabulous on her figure? She does not have the guarantee that it will fit, look right, or even flatter her figure. The *Jessica London* catalogues have the same problem as the Lane Bryant catalogues: inaccurate advertising. The brick and mortar Lane Bryant and the online store have plus-size mannequins and the option to create your own form in 3D, respectively. Unfortunately, the store mannequins are a size 14 at the largest, so we still have to stretch our mind a bit to see the actual garment. Kudos does go to Lane Bryant, the store, for their flyers; these women are plus-size, and they are modeling fashionable plus-size clothing. Every woman needs special occasion clothing for the holiday season, weddings, etc. Teachers, doctors, professional business women need good quality suits, with blazers and skirts, slacks, not stretchy

pants with oversized pullovers. Cannie Shapiro, plus-size protagonist in Jennifer Weiner's work, *Good in Bed*, remarks about plus-size fashion of yesterday:

> She was wearing one of those outfits I always thought of as fat-lady chic: leggings and a tunic top in a soft, periwinkle blue, with silk-screened daisies across her chest. A beautiful outfit, and not cheap, either, but play clothes. It's as if the fashion designers decided that once a woman hit a certain weight, she'd have no need for business suits, for skirts and blazers, for anything except glorified sweatsuits, and they tried to apologize for dressing us like overaged Teletubbies by silk-screening daisies on tops. (Weiner 37)

Obviously, plus-size women have a difficult time finding clothes that fit properly, clothes that aren't tent dresses or boxy. Plus-size women have curves and want to show them off with stylish clothes that accentuate their bodies.

Far worse than attempting to find stylish clothing and adequate sanitary products, plus-size women statistically have a harder time finding jobs because potential employers stereotype them as lazy workers who overindulge not only at lunch time, but throughout the work day. Further, family members of plus-size women are sometimes insensitive and assume their plus-size relatives have no lives, no dates, or are worthless, and they constantly barrage them with comments like, "You need to lose some weight," or "That outfit would look good if you lost about 10 pounds." These well-meaning relatives think they are helping when, in fact, they are only doing more harm to the already damaged self-esteem of a plus-size woman. In Jennifer Weiner's novel, *Good in Bed*, the main character's father, a plastic surgeon, openly disapproves of the way his daughter looks.

> "Cannie's very bright," I heard him tell one of his golf buddies. "She'll be able to take care of herself. Not a beauty," he said, "but smart." I stood there, hardly believing what I'd heard, and when I finally believed it, I crumpled inside, like a tin can under a car's wheels. I wasn't stupid, and I wasn't blind, and I knew that there were many ways in which I differed from Farrah Fawcett, from girls in movies, and on posters in boys'

> bedrooms. But I'd remembered his hand on my head, his beard tickling my cheek as he kissed me. Now he I was his daughter, his little girl. He was supposed to love me. thought I was ugly. Not a beauty…but what father doesn't think his little girl is beautiful? Except I wasn't little. And, I guessed, I wasn't his little girl anymore. (Weiner 105)

Although this is a work of fiction, the dialog and characters' emotions ring true; from early on, Cannie's character has been damaged by her father and by his livelihood which openly advocates perfection of appearance through tummy tucks, breast reductions, and liposuction. In *Learning Curves*, author Michele Weston shares one of the most hurtful comments she'd had directed toward her from her "most treasured acting coach."

> I just get angry when I look at you. I really want to say to you that you should not take acting studio again unless you do something about yourself. No amount of concentration is going to take away from that physical appearance, which destroys everything you do. (Weston 21)

Needless to say, she chose to sit in the back of the room for the rest of the semester and act out only the scenes where she wouldn't be "the young, pretty one" (Weston 21). A talented woman was humiliated and faced with her drama coach's or society's view (because they are the same) of plus-size women; they need to do something about the way they look. Examples abound. In Jane Green's novel, *Jemima J.*, we witness another instance of society ignoring plus-size women.

> I'm not sad. Miserable a lot of the time, yes, but those who bother to get under the layers of fat know that not only does there beat a heart of gold, I'm also a bloody good fun to be around, providing I'm in the right mood. But nobody really bothers to look for that, nobody really bothers to look beneath the surface appearance. (Green 10)

There is little difference between society's view of live plus-size women and fictional plus-size women. Some people are superficial and refuse to look past a heavy figure to see the person for who he/she really is. Some plus-size women also find it hard to see

past their own layers, perhaps because they have been told they are not worthy of being seen for the person they are, or because they feel like the world is better without their opinion, if the world would even listen. Perhaps Julia Roberts' *Pretty Woman* character stated it best: "when people put you down enough, you start to believe it." This line speaks volumes for plus-size women.

In any case, these and other problems have manifested in the initiation of a cultural movement designed both to improve the problems of the plus-size women with new publications and products designed just for them and to put forth a more positive image of the plus-size female in literature and film.

In terms of product lines, there have been a few women pioneers in the field of plus-size fashion. In 1979, Carole Shaw published the first magazine for plus-size women, titled *BBW: Big Beautiful Woman*. Liz Claiborne started her own line of plus-size clothes in the early eighties using Macy's, Bloomingdale's and Saks Fifth Avenue as her outlet. The Limited bought Lane Bryant in 1982, and sold it in 2001 to Charming Shoppes, Inc. for $335 million in cash and stocks because it didn't profit as much as other stores – Express and Victoria's Secret, for instance – in the chain. Although The Limited viewed Lane Bryant, the biggest brand name in plus-size clothes, as a failure, the overall market looks both profitable and successful. In 1982, the plus-size fashion industry was worth approximately $2 billion, in 1992, $10 billion, and in 2000, an estimated $31.6 billion dollars. The intimate apparel market alone is worth $6 billion dollars. Plus-size clothing comprises nearly 30% of the women's apparel market. Unfortunately for The Limited, Charming Shoppes Inc. may end up with the best store and magazine for plus-

size women. These statistics speak for themselves the plus-size woman is a consumer in our culture, and she is a demographic to be reckoned with.

Mode, a plus-size magazine founded in the 1990's, went bankrupt and Charming Shoppes, Inc. purchased it, updated it, and in the fall of 2003, released it as *figure*, a style magazine for plus-size women (with affordable prices). The new magazine *grace woman* is only in its second volume, but with its ingenious combination of plus-size flair and exciting aspects of such mainstream popular magazines as *Cosmopolitan*, *Glamour*, and *Marie Claire* – minus the cover lines like "Get Slim (by tonight!),"(Please don't insult our intelligence), "85 Hot Ways to Wow a Man, Beware #58 and Beyond are for Fearless Couples Only" (why reinvent the Kama Sutra?) and my personal favorite, "Discover the Smartest Thing You Can do as a Girlfriend," (what happened to "be yourself"?) – this magazine is sure to find a vast reading audience. *Figure* and *grace woman* are magazines for plus-size women; they star in the magazines with their problems, and they have an audience that eagerly hears them and understands them, because they are the same. Granted, *Cosmo* and its contemporaries throw in a section for plus-size women every now and again, partly to be politically correct, and partly to sell more newsstand magazines, but these magazines do not consider the plus-size woman the same way that *figure* and *grace woman* do. These magazines are better designed for plus-size women and their needs by providing accurate pictures and advertising, and articles that feature topics such as eating behaviors & disorders, and how to dress right for each body type. *Figure* and *grace woman* only include advertisements for plus-size women. Advertisements such as *Just My Size* bras and panties and the new Always feminine hygiene product are just a few examples.

Proctor & Gamble recently unveiled a newer, more advanced feminine hygiene product – Always Maximum Protection with Flexi-Wings. The slogan, "Most regular pads are designed to fit a size six. The truth is, we're not all a size six." A size six panty corresponds to a size 8 or 10 in slacks. More than 60% of women in the U.S. wear a size 10 or larger, and their panties were not being protected as well as they could have been, until now. This newer pad was only designed for plus-size women in the last year. The pad, specially designed for sizes 14+, is longer front to back with wider Flexi-Wings for 30% more coverage than leading regular pads. This milestone in feminine protection proves that society finally understands that plus-size women are consumers with specific needs, and society is now willing to produce products especially for those needs. Feminine protection and specialty magazines are only the beginning of the shift in the cultural movement toward the acceptance of plus-size women.

Inevitably, the emergence of plus-size women in advertising has spilled over into the literary realm. Helen Fielding, author of *Bridget Jones' Diary,* is a famous pioneer for the new literary genre known as, "chick lit." Chick literature is the contemporary genre with flawed (read: human) businesswomen looking for love in an imperfect world and trying to balance that love (once they find it) with their careers. Jennifer Weiner takes the "chick lit" genre by storm and creates the same independent female character with one crucial difference; she is a plus-size woman. In essence, she writes about a group of women who have never had a voice in the literary world, until now. In the past, most female protagonists were consumed with strenuous topics, such as sex, shopping and romance; Heaven forbid they have careers or resemble real women. Weiner's *Good in Bed* creates the new sensation that it is okay to be plus-sized and star in a magazine or

a novel, that the plus-size woman can "get the guy" without losing the weight. It is, shall we say, cool to be a plus-size protagonist, and even cooler to be the author of such a novel. As a matter of fact, *Good in Bed* has sold over 800,000 copies and was on the New York Times Bestseller list for almost a year. Home Box Office, more commonly known as HBO, has purchased the rights to the show. *Sex and the City* writer Jenny Bicks is in charge of developing the storyline. Weiner had this to say about the actress that portrays Cannie**:**

> One of the most important things to me was that, if Cannie's journey was going to be portrayed on the big or small screen, then the character would have to be genuinely "life-sized." I didn't want her to be played by Gwyneth Paltrow in a fat suit, or by Renee Zellweger with a few extra pounds. (www.Jenniferwieiner.com/hbo1.htm)

Cannie Shapiro is Jennifer Weiner's plus-size protagonist in *Good in Bed*. Although her positive self-image is threatened when her former love interest publishes an article entitled "Loving a Larger Woman," Cannie resists, throughout many trials, society's insistence that she conform to its accepted image.

For her first trials in life, Cannie had dealt with her parent's divorce, her father's subsequent disappearance from her life, her mother's decision to become a lesbian, and her plus-size figure before she read "Loving a Larger Woman," written by her former boyfriend and published in a national women's magazine. Although she was able to deal with the emotional scars left by her father, and other family dramas, the one thing that caused Cannie's self-esteem to plummet was the article that exposed her, the plus-size woman, to the world.

Cannie's parents divorced while she was in high school, and by the time she graduated college, her father had remarried and had more children. She, like her siblings,

became the "forgotten ones," the children who are left behind when a parent remarries and forgets he/she has other children. Dr. Shapiro remained in his daughter's life long enough to force her into going to Princeton, not Smith, as she had so desired. "I'm not sending you to some dyke school…you aren't a dyke are you?" "No dad, I actually prefer threesomes." "That's two more people than I'd have thought would be interested in seeing you naked"(Weiner108). Most young women would not be properly equipped to handle such a strained parental relationship, but Cannie manages, quite successfully, to absorb her father's comments about her body. She doesn't become anorexic to please her father, the plastic surgeon. She doesn't allow his skillful knife to slice away her fat. She continues her life, living in her protective plus-size shell. After all, her father, unlike Bruce, didn't expose her to the world – he just humiliated her in private.

The article Bruce wrote made Cannie feel violated enough to visit a weight loss clinic. There, she was confronted with the exact same article, except the women reading it thought it was sweet and that Bruce was a catch.

> There was a piece of paper in her hand. I was unsurprised to see that it was a Xeroxed copy of "Loving a Larger Woman" by Bruce Guberman. 'You see this?' she asked me. I nodded. 'This is great…this guy really gets it…Can you imagine the idiot who'd let someone like this get away?' (Weiner 45)

Cannie left the clinic and thought maybe she had been wrong to break up with Bruce. Maybe he was such a great guy and she'd just let him slip through her fingers. Bruce had not intentions of reconciliation. Later, when his father passed away, Cannie was there for him; that night, she became pregnant. When she found out, she had the courage to write him a letter and tell him the news, but he had a new girlfriend and failed to respond to the letter. Cannie even mustered up the courage to visit her father and question his

disappearance. His only answer for her is that sometimes life adds up to a big disappointment, and he cannot help her or her siblings. He has nothing to give for his children. Even though Cannie was devastated by her father's response, she knew she would always love and support her unborn child; she would be an excellent parent.

After an altercation with Bruce's new girlfriend, Cannie delivered her baby two months premature and had an emergency hysterectomy. She became filled with hatred as she watched her premature baby gasp for breath. Her waking moments were filled with watching her daughter, and plotting her revenge while walking around the city aimlessly. She ignored her family, her friends, everyone that had mattered to her before the delivery and subsequent hysterectomy. Cannie managed to lose all her excess weight and become a bitter person in the process:

> All that walking, all that plotting, my only food a snatched bit of bagel or banana and cup after cup of bitter black coffee, because the taste matched the way I felt inside. My refrigerator held bottles of breast milk and nothing else. I couldn't remember the last time I sat down and ate a meal. I could see the bones in my face, the jut of my hipbones. In profile, I was Jessica Rabbit: nonexistent butt, flat belly, improbable bosom, thanks to the milk. If you didn't get close enough to notice that my hair was dirty and matted, that I had giant black circles under my eyes and that, most likely, I smelled bad, I was an actual babe. The irony had not been lost on me: After a lifetime of obsession, of calorie counting, Weight Watching, and StairMastering, I'd found a way to shed those unwanted pounds forever! I should market this, I thought hysterically. The Placenta Abruptio Emergency Hysterectomy Premature and Possibly Brain-Damaged Baby Diet. I'd make a fortune. (Weiner 341)

Cannie realized, one day while walking, she needed help. She was lost. She had managed to walk so far and not even notice where she was going. Cannie took a bus to the weight loss clinic where her former doctor/potential significant other fed her, gave her a bath, and provided a shoulder for her to lean on. When her daughter was able to go

home, Cannie returned to her mother's house for support. While she was home, Cannie managed to regain most of her weight. Peter, her future husband and former doctor, remarked at how well she looked.

> And it was true. With three meals a day, plus snacks, I was quickly regaining my old prediet Anna Nichole Smith proportions. And I continued to welcome the changes. I could see it all differently now. My legs were sturdy and strong, not fat or ungainly. My breasts now had a purpose besides stretching out my sweaters and making it hard to find a non-beige bra. Even my waist and hips, riddled with silvery stretch marks, suggested strength, and told a story. I might be a big girl, I reasoned, but it wasn't the worst thing in the world. I was a safe harbor and a soft place to rest. Built for comfort, not for speed, I thought, and giggled at myself. (Weiner 359)

Cannie's newfound appreciation of her body led her to write her own confident rebuttal, also titled, "Loving a Larger Woman." As she had made her peace with her body, Cannie also made peace within her soul. She realized she wasn't mad at Bruce: "I knew…that my anger wasn't really for him. It was for my father, of course, the Original Abandoner, the author of all my insecurities and fears" (Weiner 305).

Cannie faced her fears; she went to see her absent father and confronted him with her anger, and most importantly, she made peace with her body. In her version of "Loving a Larger Woman," Cannie realized "I am valued, treasured, loved even if I am never going to be smaller than a size sixteen, even if my story doesn't have the Hollywood-perfect happy ending where I lose sixty pounds and Price Charming decides that he loves me after all" (Weiner 365). Cannie is a positive role model for plus-size women. She manages to conquer her self-esteem issues, her self-consciousness about her body, and she learns to become a better person. With strong literary characters like this, it is no wonder the novel is slated to become an HBO Original and then emerging into the homes, hearts and minds of America.

One woman has already won prestige for her movie, *Real Women Have Curves*. The director, Patricia Cardoso, had been trying to get this movie made for ten years. At the Sundance Festival, the movie won "Dramatic Audience Award," and actresses America Ferrera & Lupe Ontiveros won for their portrayal of Ana and Carmen, respectively. Although critics have said the movie is too intense in places, overall it is an excellent depiction of a mother hounding her daughter about her figure. It is Ana's responsibility to stand up for herself, which she does, in spite of her mother's bold comments.

Clearly, this is the beginning of the emergence of plus-size women in popular culture. Plus-size women have their own magazines that give them style pointers, inform them of the dangers of being overweight, and most importantly, make them feel special. Companies & corporations are coming around and noticing another breed of consumer, and they are beginning to cater to their needs by offering products specifically designed for plus-size women and their figures, from clothing to sanitary products. The plus-size woman is finally being acknowledged positively in literature and movies, and at the end of these works, she has not lost half of her body weight, but is still a plus-size woman and she is proud. I had the extreme pleasure of corresponding with Ms. Weiner, and when I asked for her thoughts on the emergence of plus-size women, she replied: "I'm delighted with the emergence of larger women in popular culture, although I sometimes roll my eyes at what is considered big. I think the more body types that are celebrated as happy and sexy and beautiful, the happier women, and our daughters will be." I couldn't agree more.

“Action! What is action?”: Social Change and African-American Critical Voices

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"Action! What is action?"[1]: Social Change and African-American Critical Voices

A perennial dilemma that continues to plague creative writers and literary critics centers on the question of whether art should devote itself primarily to impressive qualities or expressive qualities (Wilde 35); in other words, should literature's value consist in the experience of "art for its own sake" (Pater 841) or in its ability to promote social change? A number of African-American critics fall on opposing sides of this argument.[2] Houston A. Baker, for example, who initially trained as a British Victorian scholar,[3] reveals a tendency to approach art for art's sake when he defines his blues theory as "an invitation to inventive play" (14). Although Baker inserts a Marxist critique of American economics into his blues theory that would, on the surface, signal an appeal for social change, he addresses this critique only in terms of how it is useful for reinterpreting history.[4] The lack of intentionality regarding practical social change in Baker's approach appears consistent with Adolph Reed's assessment of "structuralist-Marxist academics" who respond to the overwhelming strength of capitalist structures "with melancholy and an almost sentimental pessimism" (*Class* xiv). This approach, Reed argues, is similar to the thinking of "left sectarians," who operate under the conviction "that it is not possible to change anything until everything is changed," and who fail to realize that "the course of history is dynamic and open-ended, that *people* actually do make history" (*Class* xiii).

Furthermore, Baker's blues theory attempts to elevate the "anonymous (nameless) voice" issuing from the whole of black experience, which apparently claims an ability to address a common "*Black Difference*" shared by all African-Americans, at least in a broad, historical sense (5, 154). This theory relies on an essentialist treatment of a mass black experience that Adolph Reed considers a "conveniently mute black reality" in his discussion of "the problem of speaking for the race" (90, 81). Baker's blues theory highlights single black voices that speak for the entire race on a grand historical scale that is distant from the mundane[5] realities of human

experience. Consequently, Baker's assumptions about collective black consciousness necessarily distances his theory from a true representation of current African American culture that is required when addressing practical means to promote social activism.

In contrast to Baker, John Edgar Wideman, while working as a critic in addition to and through his work as a novelist, deals with many of the same post-structuralist and Marxist issues that Baker deals with in his work; however, Wideman's approach to the possibility of social change seems much different from that of Baker. Although the indeterminacy built into the post-modern narrative style of John Edgar Wideman's novel, *Philadelphia Fire*, blurs much of the novel's relationship to social action, Wideman's aesthetic also eliminates any naïve notions of what Madhu Dubey describes as the myth of an organic community.[6] Because it portrays a complex and diverse plurality of discordant voices that resist totalizing statements of black difference, the novel avoids asserting a simplistic solidarity supposedly emanating from an arbitrary center of African-American experience. Such a realistic assessment of the nature of human communities allows Wideman's "man in the suit" and the "dreadlocked man" in the novel's closing scene to be "infused" with the possibility of effective social action (198). Furthermore, and in contrast to Baker's attention to rural, folk expressions of the past, Wideman's novel focuses on the mundane realities of a current, urban landscape that is immediately accessible to the experience of modern readers. Both Baker and Wideman devote intellectual energy toward redirecting the focus of American history in a way that illuminates tragic flaws within the structure of American economics, but Wideman's work extends beyond an abstract redefinition of history and provides a space for human action. Accordingly, when comparing the Marxist critiques and portrayals of black communities within Baker's blues theory and Wideman's *Philadelphia Fire*, Wideman's aesthetic is superior to Baker's theory in its ability to address the possibility of practical political engagement through social organization.

Before examining Baker's blues theory in closer detail, however, some consideration of the critical stream out of which Baker's ideas appear to flow is necessary. Winston Napier identifies an "Arnoldian spirit" (165) in Baker's statement that "If there is to be a transition from one universe of discourse to another, I would like to carry over the best that has been thought and said at earlier stages in the argument" (*Journey* xii). This goal recalls Matthew Arnold's Victorian dictate that the function of criticism is "the idea of a disinterested endeavor to learn and propagate the best of what is known and thought in the world, and thus to establish a current of fresh and true ideas" (439). Baker's attention to inclusiveness in his idea of a blues matrix (2) relates well Arnold's theory because in order to learn "what is known and thought *in the world*," critics must explore what is known and thought in the human communities that do not find expression in the so-called higher art forms. The vernacular expressions of American blues culture offers fertile ground for Baker to explore the knowledge and thought of groups historically excluded from representation in American culture at large.

Another similarity between Baker and Arnold lies in Baker's "ludic" exploration of vernacular blues expression, which he sees as an "invitation to inventive play" (11, 14). While intending to avoid establishing prescriptive criteria for works of art, Baker's "invitation to inventive play" reveals his commitment to theories that promote Arnold's concept of "free play of the mind" (428). Furthermore, Baker's background as a Victorian scholar and his affinity for Arnoldian concepts also closely link him to the work of Oscar Wilde who refers explicitly to Arnold by name in *The Critic as Artist* (41). Like Arnold, Wilde emphasizes the importance of the "critical faculty" that makes "artistic creation" possible (40), and he elevates the role of criticism to an extreme height by arguing, "to the critic the work of art is simply a suggestion for a new work of his own" (70). However, while functioning as an artist, the critic sheds little light on the substance of any "new message" and places emphasis on whether the critic "can do

beautiful work" (Wilde 137), which isolates the critical voice from social reality. Accordingly, if Baker falls within a critical stream that aligns him with the work of Victorian critics,[7] such as Oscar Wilde and Matthew Arnold, his critical approach places him at a distance from the practical concerns related to promoting social change.

Likewise, Baker's structuralist commitment to the literary traditions of the past may serve to stifle the possibility of action within such a system by focusing the critic as artist's gaze on abstract representations of beauty and history that are removed from the mundane details of daily existence. *The Critic as Artist*, for example, devotes much attention to the idea that modern artists are indebted to the work of the classical Greek critics who established the discipline of art criticism (27-40). Wilde's argument embraces the idea of a well-established tradition within the history of literary criticism from which modern critics should operate. Wilde's work also considers Walter Pater "the most perfect master of English prose now creating amongst us" (31). Pater is best known for his theory that promotes "the love of art for its own sake," and he avoids aligning art with any particular purpose besides the experience and "desire of beauty" (841). Accordingly, Baker's grounding in Victorian literature, his commitment to the "ludic" uses of his blues theory, and his intentions to embrace what "has been thought and said at earlier stages" reveal his commitment to a critical tradition that disengages from social action and embraces Wilde's assertion of the importance of both "doing nothing" and "discussing everything" (7, 77).

Baker's structuralist[8] intention to continue discussing the thought of critics who came before him also reveals a potential origin of his vernacular blues theory. Like the "existential declarations of lack" that Baker's blues speaker proclaims (5), Ralph Ellison writes that "the blues is an impulse to keep the painful details of a brutal experience alive in one's aching consciousness, to finger its jagged grain, and to transcend it" (129). Ellison's blues subject speaks into an existential dilemma and extends beyond the moment of lack, much like Baker's

blues subject transcends through "Translation at the Junction" (7). This comparable treatment of the blues by Baker and Ellison is further evident in Ellison's attention to that which has gone before when Ellison searches for a folk consciousness in several prominent writers: "Along with the themes, equivalent descriptions of milieu and the perspectives to be found in Joyce, Hehru, Dostoyevsky, George Moore and Rousseau, [Richard Wright's] *Black Boy* is filled with blues-tempered echoes of railroad trains" (Ellison 130). Baker's image of the train junction seems directly related to the "echoes of railroad trains" that Ellison finds in Wright's blues. Such a sustained commitment to a certain stream of ideas from the past and the scholars who produced them perhaps limits Baker's ability to contribute a "new message" (Wilde 137) in the discourse of practical engagement with current social realities.

Although conceding that "knowledge is incremental" and that "we build upon what has gone before" (88), JoAnne Cornwell-Giles criticizes Baker's indebtedness to the language of the French post-structuralists. In her comparison of the theoretical approaches of Baker and Barbara Christian, she praises Christian's avoidance of the "pitfalls of what she perceives as contemporary critical double speak, claiming that critical theory within the Afro-American tradition is housed within narrative form itself" (95). Cornwell-Giles prefers Christian's approach that elevates the "symbol-making process" rather than "theoretical constructs," and she argues that Baker is "unself-conscious about his borrowings" (94-95). Baker's open acknowledgement of his indebtedness to Hegel, Foucault, Derrida, Felstiner and others too numerous to mention, however, seems to belie this criticism (*Blues* 2, 205-07). Still, Cornwell-Giles views Baker's use of Eurocentric terminology as a weakness, and she prefers Christian's ability to resist "acceptance of the categories of the dominant culture" (96). Nevertheless, Baker's Eurocentric terminology remains an efficient and effective means to communicate his ideas and accomplish the goals of his study.

Before examining the Baker's Marxist critique, a brief consideration of the general framework of his blues theory is necessary. In *Blues, Ideology, and Afro-American Literature*, Baker searches for an inclusive theory of African-American art that resists the prevailing and exclusive discourse that has traditionally shaped discussions of American literary history. To challenge exclusionary theories that present a diachronic and, consequently, limited perspective of history, Baker identifies a "nonlinear, freely associative" art form in vernacular expressions within American blues culture. While presenting his materialist[9] concept of a "blues matrix," Baker highlights the blues speaking subject who inserts an "anonymous (nameless) voice issuing from the black (w)hole."[10] For Baker, the "black (w)hole," similar to the physical phenomena of black holes, represents an artistic "singularity" consisting of "an initiated, expressive black *community*" that renders a "concentrated, *mass* Afro-American identity" (154). Black artists, Baker argues, create singularity by establishing an "enduring *Black Difference*"[11] in their work (154), and one way in which texts establish *Black Difference* is by incorporating into narrative structures a commercial subtext that forms a critique of the economic structure of America.

Baker identifies this type of commercial subtext in the "traditional"[12] antebellum slave narratives. The focused attention to the "economics of slavery" within these narratives, coupled with an inclusive concern for the entire mass of the black (w)hole, reveals a populist, or Marxist, ideal within Baker's work. However, Baker is not an economist, and he does not intend simply to promote any single economic theory above another, nor does he intend to assert an "idealistically polemical black nationalism" (25).[13] Rather, the Marxist economic perspective within these narrative structures allows black writers to "fuel retreat" (154) and distance themselves from the ideology and economic structures formed by white America and, in so doing, create a space for new thought and new creativity within the realm of the black (w)hole. However, fueling "retreat" signals a disengagement from the possibility of action within the

social system of economic and political power. This move seems consistent with what Reed refers to as "the highly theorized retreat to a world-weary, sometimes agonizedly disappointed quietism that presumes the priviledge of secure, middle to upper-middle class employment with good benefits" (*Class* xiv).

Nevertheless, Baker begins his study by discussing Michel Foucault's theory of the "*governing statements*" that shape the discourses through which human understanding of culture and history is formed (18). While applying this theory to American experience, Baker argues that the governing statement that informs the prevailing view of American history is, Baker argues, that "God's divine plan is assumed to reveal (and, ultimately, to fulfill) itself only through the endeavors of religious, European men" (20). This perspective subordinates the literary accounts of African-Americans to a mere "shadow" (21) of the so-called higher art forms, which are exclusionist in nature. Following his Marxist perspective, Baker submits a new governing statement for use in approaching the slave narratives: "commercial deportation" (24). As will be illustrated below, "commercial deportation" refers to the "involuntary transport of *human beings*" (24) through which capital markets commoditize and exploit human labor and human bodies. By using this governing statement to guide his reading of the African-American slave narratives, Baker identifies within these accounts of American history a Marxist critique of the American experience. From this perspective, Baker argues, previously authoritative texts of American history become "subject to radical reinterpretation" (23). The slave narratives, under the governing statement of commercial deportation, "suggest a different America" from the one described in "traditional American history and literary history" (61).

In the slave narratives, Baker identifies a central focus in African-American art that reveals the "economic conditioning" of the black writer's speaking subject (*Blues* 50). The conditioning of a writer's speech necessarily suggests an intertextual[14] or a communal scenario

in which the writer inserts his or her own voice into a tradition or a social system of knowledge that requires engagement with the works of other writers. This scenario is consistent with Baker's introductory comments that disclose his commitment to certain ideas of Hegel (2), and in connection with his later argument about how self-consciousness or "genuine self-certainty consists in community" (147).[15] All knowledge and self-consciousness relies on a social context under this model. Baker's commitment to this idea is further evident in his statements about the social component of language:

> *Models of cognition are conceived in, articulated through, and transmitted by language*. And like other systems of culture, language *is* a 'social institution'[…] In fact, it is the attempt to understand the coextensiveness of language as a social system and literature as a system within it that constitutes a defining project of literary-theoretical study in our day. (100)

The emphasis on the systematic "institution" of language and thought in these lines constitutes a major part of Baker's alignment with structuralist principles. The approach allows him to argue for a common "social grounding" that exists within the slave narratives (38).

According to Baker, the "social grounding" that facilitates intertextual collaborations among African-American writers centers upon certain economic terms that Baker claims necessarily inform "any genuinely Afro-American narrative text" (38). The economic focus of the social grounding is what forms the "basic subtext" underlying these narratives (38). Baker asserts that,

> All Afro-American creativity is conditioned by (and constitutes a component of) a historical discourse which privileges certain economic terms. The creative individual (the *black subject*) must, therefore, whether he self-consciously wills it or not, come to terms with 'commercial deportation' and the 'economics of slavery.' (38-39)

"Commercial deportation" and the "economics of slavery" then become vehicles, or the governing statements, by which Baker discusses the subtexts underlying African-American slave narratives. These "already-said"[16] discourses, Baker argues, contain "unavoidable preconditions for the practice of Afro-American narrative" (39).

By establishing a set of "unavoidable preconditions," Baker moves into an essentialist discourse centered on prescriptive economic criteria. However, the focus of this move is not to emphasize a theory of economics but rather to demonstrate how the language of economic conditioning allows African-American writers to "fuel retreat" and clear a space for the narrative voice to speak from the perspective of the mass population of African-Americans. The goal of Baker's theory is to emphasize ways in which African-American narratives incorporate a "*Black Difference*" into their texts, which relies on equally essentialist assumptions about economic homogeneity within black communities. The massive "black (w)hole" is a theoretical center of black experience and the substance of that which ties the entire body of African-Americans together in a shared history that is different from the history asserted by the dominant culture.

The common history shared by Olaudah Equiano and Frederick Douglass, in their respective narratives, involves acquiring a mercantile language that marks the commoditization of their humanity. For example, Baker observes that after crossing the trans-Atlantic "middle passage"[17] into the Americas, and after Equiano discards the religious language associated with his conversion to Christianity, Equiano begins to evaluate himself solely in economic terms: "'I became very useful to my master, and saved him, as he used to acknowledge, above a hundred pounds a year.' [...] Thus begins a process of self-conscious, mercantile, self-evaluation—a meditation on the economics of African, or New World, black selfhood" (34). After obtaining freedom, Equiano saturates his language with monetary details as he enters into his first trading venture. At this point, Baker observes, "The pure product of trade (i.e., transportable 'property' or chattel) becomes a trader, turning from spiritual meditations to canny speculations on the increase of a well acquired and husbanded store!" (35). However, no other options are available to Equiano in the American economic system. Baker argues that "only the acquisition of property will enable [Equiano] to alter his designated status *as property*" (35). From this

perspective, Baker passes no moral judgment on individuals or classes that acquire property because unless they become property owners, they will retain the status of property. The focus in this analysis is not on the actions of certain people, but rather on the economic ideology that relegates certain human to the status of commoditized property.

Similar to Equiano's acquisition of mercantile language, Baker's highlights Frederick Douglass' account of transforming his labor into commodity: "'I was now some importance to my master. I was bringing him from six to seven dollars per week. I sometimes brought him nine dollars per week: my wages were a dollar and a half a day'" (Douglass 134). Baker addresses Douglass' labor in explicit Marxian terms when he presents the idea of "surplus value" and Marx's concept of "labor power" (44). The laborer contributes "surplus value" to owners who keep all of the surplus labor not returned to the worker in the form of wages. Baker then argues that Douglass arrives at a "fully commercial view of his situation" in which he enters into a business venture to obtain his freedom (48). The venture allows Douglass to "hire his own time," which allows him to steal "the fruit of his own labor" by fleeing from his master (48); consequently, Douglass transforms himself from the commoditized status of property into a free human being. However, Baker notes that Douglass eventually became a "*salaried* spokesman" after fleeing to England and engaging in "commercial traffic with slaveholders" by selling his narrative (49-50). Baker does not condemn this move, which he sees as "simply the logical (and 'traditionally' predictable) end of [Douglass'] negotiation of the economics of slavery" (50). For Douglass and the nineteenth-century slave, "*private* ownership of his voice person" can come in no other way (50).

Baker then extends his concept of surplus value to discuss how gender inserts a significant difference into the discussion of the economics of slavery and the commoditization of humanity. Through his analysis of *Incidents in the Life of a Slave Girl* by Harriett Brent Jacobs,

Baker argues from a Marxist perspective that the African-American slave woman's surplus is her womb and her children (51). Baker unites the slave woman's surplus value with his governing statement of "commercial deportation" by emphasizing that the slave woman's womb and her children are considered "transportable property" (51). Brent's account of Dr. Flint's sexual abuse and his attempts to further "the *patriarchal* institution" by the "*fathering* of 'stock' through Brent's enslaved body allow Baker to designate this reality as the "economics of rape" (54-55). Brent then retreats into a community of celibate women that collectively asserts its power over the patriarchal order by rejecting marriage and an individualistic, black identity that is subject to exploitation by the capitalist and patriarchal order (55).

Baker is careful not to overstate the economic content of the narratives, however, and he rejects the notion of a "determinant relationship between means of production and general cultural consciousness (i.e., commerce does not determine consciousness)" (39).[18] Rather, he argues that certain "discursive patterns suggest a unified economic grounding for Afro-American narratives" (39). This disciplined and balanced approach to the economic content of the slave narratives allows Baker to emphasize certain economic aspects of the writing while maintaining a clear vision of the artistic consequences of such an analysis. Baker is perhaps aware of Edmund Wilson's commentary in the essay "Marxism and Literature":

> Yet the man who tries to apply Marxist principles without real understanding of literature is liable to go horribly wrong. For one thing, it is usually true in works of the highest order that the purport is not a simple message, but a complex vision of things, which itself is not explicit but implicit; and the writer who does not grasp them artistically, but is looking for simple social morals, is certain to be hopelessly confused. (205).

Baker's presentation of the economic conditioning within the slave narratives remains at the level of an economic critique rather than using the economic content to fuel or promote "simple social morals." On the contrary, the space created by Baker's economic analysis encourages readers to consider "synchronic and metaphoric signs of unofficial histories" (62). Rather than

accepting the simplistic and diachronic version of history and literary history in mainstream America, Baker's study demands an increased level of complexity when approaching any literary or historical text. The question remains, however: does such a disconnection from social morality preclude Baker's aesthetic from addressing practical social action?

Baker concedes that alternative governing statements, other than those formed by the statements of commercial deportation and the economics of slavery, could be used that could suggest "an entirely different discursive structure" (60). Under his Arnoldian aesthetic, this concession is precisely a major strength of his theory because it encourages the application of additional statements that invite opportunity for new thought. In this respect, he encourages new speaking subjects in a way that Wideman mirrors after him. Furthermore, the speaker of the slave narrative, in Baker's blues matrix, creates a relationship with the reader in which the reader must "do more than merely hear, read, or see the blues. [He or she] must also play (with and on) them" (10). This idea recalls Jean Paul Sartre's theory that literature must be free enough to allow the reader to re-create the art form along with the writer while the reader experiences a text (1349). The purpose Baker sees in the blues process is that it allows the remodeling of "elements and events appearing in traditional, Anglo-American space time in ways that make them 'jump' several rings toward blackness" (10). However, the definition of "blackness" remains elusive when one speaker attempts to "project such singular perspectives as the 'standpoint of X' onto populations consisting of individuals who lives and social positions are not reducible to a single category" (Reed, *Class* xvii).

The ability of a blues voice to speak for an entire "race" may have been more possible when the near absolute whole of African-Americans were subjected to the horrors of slavery, but the increasing complexities of the late twentieth-century eliminates this possibility. With this

perspective in mind, we may now shift the focus of discussion to the present-day realities of the urban wasteland constructed by John Edgar Wideman in *Philadelphia Fire*.

Similarities abound between the content of Wideman's work and that of Baker. In his study, "Charles Chesnutt and the WPA Narratives: The Oral and Literate Roots of Afro-American Literature," Wideman reveals a concern with vernacular expression within slave narratives "recorded by Works Progress Administration workers during the 1930s" in a similar fashion to Baker's study of the vernacular blues idiom (61). In addition, Kathie Birat argues,

> Wideman is clearly aware of the various types of discourse which have been seen as constituting the subtexts of African-American history, giving the black man a discursive, as opposed to a real, existence. One of the most obvious of these, and the most often exploited in its relation to the functioning of language, is what Houston Baker calls 'the economics of slavery.' (26)

Consequently, the broad implication of Baker's theory that claims African-American writers must "come to terms" with the economics of slavery appears to hold true in Wideman's fiction, and Baker's theory is a useful tool for approaching Wideman's work.

Wideman's interest in the structure and content of the slave narratives is evident in his autobiographical work, *Brothers and Keepers*, which "variously parallels the thematic emphases of the slave narratives" (Fast 3). Although the characters in *Philadelphia Fire* live in a modern context that would seem removed from the era of legalized slavery, Wideman inserts the symbolism of an effectual slavery into his novel by naming his central character Cudjoe, which is a "common term for a slave" (Varsava 428). The narrative of the central character in *Philadelphia Fire* accordingly becomes the narrative of a slave. However, Wideman decenters the cohesiveness of Cudjoe's story throughout the novel by inserting a complex array of additional voices that also express a relationship to the economics of slavery in a way that mirrors Baker's reading of the antebellum slave narratives. The complexity of this collage of voices is evident in *Philadelphia Fire*'s presentation of the economic hardships experienced by

women, children, two academic professionals, and proletariat; the experiential diversity[19] among these individuals becomes even more complex when Wideman inserts alongside them the economic perspective of Cudjoe's successful friend, Timbo.

Wideman's presentation of Margaret Jones introduces readers to a sustained barrage of Marxist critiques of American economics peppered throughout the novel. Jones is an alienated, overworked single-mother who seeks refuge in the counter-cultural and naturalist organization known as MOVE, before its address on Osage Avenue was fire-bombed by a city government led by "Philadelphia's first black mayor, Wilson Goode"[20] (Morace 104-05). While investigating the incident with plans to write a book, Cudjoe listens to a recording of Jones' voice: "Running water inside my house and in the supermarket I can buy thirty kinds of soda pop, twelve different colors of toilet paper. But that ain't what I call progress. Do you?" (14). Jones' speech highlights the potential for excess within the American economic system that is obsessed with overproduction and overconsumption of goods and services but remains blind to the social and economic plight of millions of American people.

The novel's preoccupation with overproduction highlights the commoditization of objects and people offered for sale in the American economy. In Cudjoe's assessment of the city landscape, he includes the bodies of women in a list of commodities offered for sale: "Limousines out there. And sleek women in dresses slit up to their assholes. Everything bought and sold. You could buy day or buy night" (46). Wideman continues his portrayal of economics related to female bodies in Cudjoe's attempt to stage a performance of *The Tempest* that will boast "Black kids doing Shakespeare" (134). Here, in what seems a direct parallel to Baker's presentation of the "economics of rape," Wideman inserts into his text an economics of the womb when discussing Prospero's need to police the body of his daughter, Miranda: "Her father needs her corner of the future, her loins the highway, the bridge, sweet chariot to carry his claim

home. Her womb perpetuates his property" (141). Capitalist economics unites with patriarchy in this reading of Miranda's body in which, for Prospero, "it's just a matter of staying on top, holding on to what he's got. Power" (142).

Miranda's situation in *The Tempest*, however, is a fiction within a fiction, or actually a play within a play within a novel; the romantic utopia of her island setting, like Baker's reading of the slave narratives, remains far removed from present-day urban realities. Wideman's aesthetic nevertheless remains committed to social realities of the late twentieth-century when he presents the mundane reality of Margaret Jones's daily life before her temporary escape into the MOVE organization: "Got to my tired feet. Who I been all the days of my life? A poor fool climb on a bus in the morning, climb down at night. What I got to show for it but sore feet, feet bad as mama's when, God bless her weary soul, we laid her to rest after fifty years cleaning up after white folks' mess" (14). Margaret Jones' feet are the focus of this speech which creates a mundane and material context to the portrayal of the economics of slavery. Unlike the blues voices of the past in Baker's blues theory, Wideman's unfortunately sole, modern female blues voice speaks with vivid, sensory details from the perspective of modern urban banality.

Wideman continues his treatment of economic shortcomings by presenting the plight of American children. As Cudjoe approaches a group of "city kids" playing at a public water fountain, "shoes were what got to him. Piles of sneakers all colors, shapes, low-rent versions of adult styles, beat to shit the way kids' shoes always are, but these,[…] these were worse, gaping holes in the bottoms, shredded uppers, laces missing, shoes taped, patched, lined with cardboard" (46). In the abundant overproduction within American market, these "brown" bodies still lack the simple necessity of adequate footwear (46). The novel swiftly increases the complexity of this portrayal of children, however, through its treatment of the militant youth "gangsters" who increasingly terrorize Wideman's urban landscape (89). The novel's elusive narrator observes,

> Kids today are a bitch. Worst problem used to be gang warring. Maiming and killing each other like flies because they didn't have nothing better to do. Now they kill anybody. Anything.[…] these kids bolder than us. They don't want to be something else. They don't want to be white or shareholders or grown up. They want it all, everything adults have. (89)

One such gang of these "neophyte" killers calls itself MPT, short for *Money Power Things*" (89). These twelve-year-old gangsters implement a radical approach to their relationship with economics and use violence as a means of gaining power. Their presence is reminiscent of the separatist nationalist movement of the sixties to which Wideman may allude when he describes the object of MPT's desire as "the same shit we wanted back in the sixties" (89). This move creates complexity within Wideman's portrayal of African-American perspective because MPT's response marks a striking difference from those who would engage political action through more conventional and peaceful means. The message behind MPT's presence is clear, however, that in a culture placing excessive emphasis on the value of owning and consuming commodities, the children of such a culture become increasingly more demanding of these commodities to the point they are willing to kill in order to obtain material wealth. These kids reap the culture of greed that their parents have sown.

Greed explicitly enters the text near this scene in a way that introduces a context of social morality into the novel. Wideman's narrator observes that, "Greed's got the deepest pocket, cause see Greed scheming full-time to keep the pocket full. When you want something you go to Greed's pocket" (83). Social morality implies choice, responsibility, and action, and Wideman's discussion of Greed sharply contrasts Oscar Wilde's aesthetic that promotes "art treated not from the moral, but from the purely aesthetic point of view" (35). However, Wideman complicates his moral commentary in a way that avoids self-righteous piety when he writes, "Always, always yes. Yes, I'll take the money. Don't care how much blood's on it. Don't care if it's my blood. Yours. I wasn't the one responsible. I'd prefer clean money but till clean drops down from

heaven this will do. Yes, I'll take it. Somebody will take it. Mize well be me. Money's money. None of it's clean. (84). Everyone is guilty in this perspective of commerce, and no one can avoid embracing the desire for power and wealth when it is offered. The focus of commentary is on the weakness of the economic system, rather than a condemnation of specific individuals or groups that take advantage in such a system. Nevertheless, the act of naming a specific moral category (Greed) allows Wideman's aesthetic to create a limited space for the possibility of choice and response, even within such a deterministic environment.

One such individual with a history of responding in "service to the community" is the former professor at the University of Pennsylvania who enters the text at the point that the author begins to speak in the first person (112). This new narrator assumes the literary persona of John Edgar Wideman as he recounts a conversation between himself and his former colleague. These two academic professionals reunite when the author's friend phones to inform him that "The School of Social Work" at the University, which was "traditionally, a hands-on operation, pragmatic, problem-oriented, a direct link to city agencies and institutions" has been discontinued (111). The scene contributes to the diversity of Wideman's aesthetic because it presents the perspective of highly-educated black intellectuals alongside the other voices. Furthermore, the reason for the closing of the school appears in Marxist economic terms:

> A commission whose announced goals were academic but whose actual agendas were political and economic declared that the University's goals were international, not local,[…] research and publication were worthier measures of success than ministering to the immediate needs of the dispossessed urban proletariat surrounding the island of University. (112)

Creating a marketable, published product is paramount in the commission's ideology that neglects the practicalities of "local" and "immediate" needs. The economic system can only support those activities that produce goods and services that are marketable in profit-driven competition. In addition, Wideman describes the locals who live and work near the University

as "proletariat," which inserts an explicit Marxist context for interpreting their situation. These lines also clearly address a choice that argues the importance of "ministering" through social action. Accordingly, the dismissed professor remains committed to his activism, and suggests plans for future political organization: "Some of us ain't gonna let it die. You'll hear more and more. We are not going to let it die, John" (114).

A different kind of dream that has perhaps already died is the "black Camelot" about which Cudjoe and his friend Timbo dreamed in the 1960s (77).[21] The idea of a mass "*Black Difference*" becomes more elusive when these friends meet at an upscale restaurant to renew their friendship because Timbo is a successful "cultural attaché to the mayor" of Philadelphia in addition to being "one class dude" (72). Timbo is a member of the administration that enforced the firebombing of the MOVE organization, and his affluent lifestyle marks a significant change in perspective from that of Cudjoe and the characters previously discussed. During the meal, the narrator remarks, "Things have changed since [Cudjoe has] been away. Never used to be more than a few black faces in a five-star restaurant like this. Now every third chair occupied by a brother or sister dressed back. Make their white companions look like poor relatives from the country" (76). This portrait of the increasing success experienced by an ascendant class of African-Americans makes rigid approaches to economic policy and critique even more difficult. For example, black activists cannot embrace a revolutionary Marxist vision without attacking a growing number of black intellectuals and entrepreneurs who find themselves at the height of financial and professional success. Those who find opportunity to achieve have no alternative but to become successful and wealthy, which again targets criticism at the economic structure, not at wealthy individuals as a class.

However, only a few individuals have reached this plateau of financial stability. Although "black faces" now fill the five-star restaurant, Margaret Jones, James Brown (a

homeless man appearing late in the novel), and the proletariat of West Philadelphia still waste away. The economic system allows only a few to obtain unlimited wealth while others remain left behind. Reed's idea of structural-Marxist pessimism creeps back into play with Timbo's lament, "I wonder why we ever believed it was going to get better" (77). Soon thereafter, Timbo digresses to his memory of a tour of Rio de Janeiro in which he rode in a limousine through the middle of a "tent city" slum, full of abject poverty where most inhabitants were "just plain-ass living on the ground" (79). Timbo then translates that vision into a portrait of the urban wasteland of inner-city America: "Couldn't never get this bad back home in the land of opportunity and the bitch wit the torch. Not so sure now. Already people in this city live off garbage. And I'm not talking about just bums. I'm talking about families, about gangs of kids roving the streets, sleeping outdoors" (80). Timbo's voice fades out of the novel, however, as he continues to ramble through an intoxicating glaze of memories from past activist glories and nostalgia that remove him from the grim realities of the present (83). Nostalgic visions of the past may clear a space for useful "free play of the mind," but this process, as presented by Timbo, remains distant from the practical challenges of social change through political organization.

Before examining the novel's specific relation to the possibility of social action through political organization near the end of the novel, a reconsideration of Baker's work is necessary. Up to this point in my analysis, Baker's theory regarding the "economic conditioning" of African-American narrative subjects remains a useful tool for approaching Wideman's narrative voices. Even though the novel's black subjects perceive the economic realities of urban America from different vantage points, Wideman gives each of them a voice that addresses a specific Marxist perspective. Like Baker, however, Wideman is not primarily an economist, and he does not intend to turn his Marxist rhetoric into a "social religion" that quells his "social art" (Wilson

205); nor does he appear to advocate a Marxist revolution. Like Baker, Wideman avoids a "naïve" or "vulgar Marxism" (*Blues* 2-3), by using the Marxist discourse primarily to fuel a retreat from the dominant discourses of white America and create space for inventive play.[22]

Taken together, both Baker's theory and Wideman's aesthetic clear space for new thought and creativity through their presentation of the economics of slavery. However, Wideman's aesthetic extends beyond Baker's solitary blues speaker by collecting communal voices[23] that speak from personal, subjective experience while resisting totalizing statements of black difference. Although the novel's narrative subjects express similar economic critiques, they interpret the observations from different perspectives and respond to the problems in different ways. This realistic approach to human communities positions the novel to explore practical responses to the economic and political critiques presented in the novel. Wideman cannot speak for these groups as a whole or tell them how to react; he can only *organize* the voices in a narrative presentation that lacks an authoritative center (in contrast to Baker's blues speaker who speaks for a collective whole). The discordant black voices within the novel, such as the men who argue different interpretations of the fire on Osage Street after uniting on the basketball court (40-43), prevent Wideman from speaking *for* the race; rather, he speaks *into* the problem of social organization.

Furthermore, Wideman's aesthetic prevents his work from sliding into the realm of the protest novel. Baker claims that "the protest writer, according to Baldwin, is less a creator of cultural texts than a victim.[…] He never, in Baldwin's view, transcends the peculiar status of Caliban, whose response to language's largesse is always either passive compliance in the restrictive, linguistic terms meted out for his existence or a bitter curse" (*Blues* 141). Wideman does not speak to an audience of oppressors whom he intends to defy with a bitter curse or attempt to convince them to recognize the humanity of the ones whom they are oppressing.

Neither does he remove all possibility for action and social change. His cultural commentary makes keen observations about the economics of urban life and the isolation of individuals within urban centers and addresses the complexities related to these communities. Wideman's audience in this respect consists of those who are willing to embrace meaningful social action against the factors of oppression within the city.

Although the novel initially appears to embrace the posture of a cursing Caliban in Cudjoe's Shakespeare project, Cudjoe ultimately discards that project. The novel finally transcends the status of Caliban by addressing a realistically bleak, but still hopeful, possibility of practical activism in the mundane realities of every-day life. My reading of the novel's relation to political activism has been influenced largely by the work of Adolph Reed who argues that "popular politics" grows from "one-on-one interaction and with small groups of coworkers, neighbors, friends and other associates" (*Class* xxviii). Accordingly, Wideman's novel devotes much attention to one-on-one conversations between Cudjoe and Timbo, John Edgar Wideman and his former colleague, and Cudjoe and Margaret Jones. Interaction among individuals within small groups requires people to recognize and affirm the complexity of every group of individuals that organizes for a specific purpose.

Philadelphia Fire addresses the obstacles to popular organization by demonstrating the absence of community consciousness in America when only a few people walk up Market Street to attend a ceremony in remembrance of the eleven who died in the Osage Street fire (190). The emptiness of the square highlights the lack of organized resistance that can act against the economics of slavery and acts of terror committed by governing authorities. The absence is also a space of silence,[24] which recalls Baker's blues model that "is always free to invoke the X(ed) spot in the body's absence" (5). The reader, in this case, is challenged to explore new possibilities for organization within the freedom created by the silent space. The scene follows

immediately after Wideman's historical account of the 'black Philadelphians" who were "shooed and beaten from the square" during an 1805 Fourth of July rally (190). Only "a few stragglers" of these ghosts, "whose presence is a sign of greater absence," wander aimlessly after the white citizens disband the large gathering of blacks in Cudjoe's vision. Both the vision of these ghosts from the past and the present-day space of emptiness reflect Reed's lament, "there is no real popular political movement" (*Class* 4).

As Cudjoe continues, he observes the mundane quality of the city at the time of the ceremony: "He leads no parade back to the square. This is the ho-hum hour the city empties itself. Regular as a tide" (193). Furthermore, the text inserts a moral voice into the scene when the two dreadlocked men begin to chant a prophecy to the beat of their drums: "As you live. So you shall die. By fire fire fire. And those who kill by fire shall die by fire fire fire" (196). The prophecy reintroduces a sense of moral responsibility into the text at the scene of the City Hall gathering. Consequently, including the mundane details of the ceremony alongside a moral ethos serves to ground the novel in a realism that contrasts Oscar Wilde's rejection of such an aesthetic on the grounds that "one is always wounded when one approaches [life]" (87).

The realism continues as Wideman draws attentions to the balloons released at the ceremony which rise into the air and split into two groups. Significantly, the larger group of balloons rises up in the air but promptly explodes, "scattering in every direction" (197). The smaller group, consisting of three balloons tied together by a string, ascend more gradually and "stately" until they reach the "limitless" blue sky above them (197). This image of the three successfully rising balloons parallels the three individuals tied together in solidarity near the end of the novel, as represented by the two "Natty Dreads" and the "man in a gray suit" (196). The contrast between the respective risings among the balloons symbolizes both the potential of small groups of individuals to unite together across differences and achieve real progress through

intentional action and the futility of organizational policies or movements that attempt to unite huge groups of people based on an imagined essentialist community.[25]

Wideman further develops his complex presentation of a plurality of speaking subjects at the ceremony by the different appearances and reactions of an "elegantly brown man in a gray suit" and the two "Natty dreads[…] naked above the waist except for a crocheted tricolor vest" (196). The man in the suit elects to pray in response to the ceremony; however, in contrast to the clothing and the posture of prayer of the man in the suit, "the dreadlocked man promise[s] more fire next time" (198). Separately, these three individuals have entirely different approaches to dealing with an appropriate response at the ceremony. The man in the suit prefers to pray, while the dreadlocked man threatens a violent response. Any solidarity between these men will necessarily consist of a conscious and enduring choice. Nevertheless, the text reveals that "drums bound them, braided them, infused them with the possibility of moving, breathing, being heard" (198). The idea of "being heard" is a fitting reminder of the deliberate and organized activism promised by Wideman's colleague from the University who vowed, "You'll hear more and more" (114). In addition, the "binding," "pulling" "combinations" of the men in the last scene (198) is the only way they will avoid the isolation that prevents effective social change and makes people vulnerable to the "politics of forgetfulness" (Morace 106). Unlike Baker's attention to a "mass" consciousness related to his idea of the "black (w)hole, *Philadelphia Fire* offers no illusions of a simple solution to organizing. By focusing on two specific and radically different men at the ceremony, Wideman speaks into their complex diversity rather than erasing them in an essentialist generalization that never intends to initiate action. Accordingly, the novel seems to claim that the black intellectual must not only tackle the rigorous discipline of understanding the critical and historical theories of the past, but he or she must also embrace an effective and realistic means of shaping the history of the future.

Organization is a mundane task that requires a conscious choice by individuals who act in solidarity in the midst of complex differences. Organization has little to do with broad, sweeping generalizations about reinterpreting history. Organization involves moving in unison with a living person who breathes, has a unique voice, and, therefore, has an often-frustrating perspective. Any other approach to political movement that assumes a popular base of support on the grounds of an essential difference is unrealistic. Still, like the "man in the middle" from the slave narratives who is powerless to act against the pervasive oppression of the slave system (Baker, *Blues* 39-40), Cudjoe has no power to stimulate change in the system by himself. He and the people of Philadelphia need to organize for social change. Like the three balloons linked together by the string before they unite to soar, the only way Cudjoe can resist the "mob" that howls his name (199), the common term for a slave, is to organize with a practical, realistic "possibility of moving, breathing, being heard."

Notes

[1] See Wilde, 56.
[2] For a small sample of essays by African-American critics that reveal the historical tension on both sides of this dilemma, see DuBois, and Brown, and Gates.
[3] "Houston A. Baker," *Duke University Department of English* 12 December 2003 <http://fds.duke.edu/db/aas/English/faculty/bakerh>.
[4] Adolph Reed observes that the attempt to "decenter" the prevailing discourses of history to include the perspective of traditionally marginalized groups is consistent with the goals of "post-structuralism, deconstruction, and postmodernism;" these theories became attractive to "left-inclined scholars who wanted to overcome structuralism's denial of possibilities for transformative political reform" (*Class* xiv, xv).
[5] Reed argues that academics have recently become carried away by abstract concepts to the extent that they disconnect ideas of "difference" and "otherness" from the "mundane" concerns of everyday life; consequently, academic discourse tends to gravitate toward essentialist claims about black experience (*Class* xvi-xvii).
[6] Madhu Dubey argues that "*Philadelphia Fire* forcefully rejects organic notions of communities, and gropes instead for more complex ways of representing urban communities as 'concrete abstractions' rather than as self-contained units of social experience and value" (580).
[7] While preferring Barbara Christian's critical approaches that portray "the Afro-American artist as critic," JoAnne Cornwell-Giles criticizes what she sees as Baker's goal "to become creative in the same way fiction writers are creative, by virtue of his fluency in the Blues idiom," (94-95).
[8] Although Baker's blues theory embraces a post-structuralist approach that challenges the rigidity of dominant historical discourses, Baker's fundamentally structuralist aesthetic is evident in his comment that, "The search for structural relationships in any literary text, I think, entails a knowledge of the full cultural discourse that provides a context[…] No analyst can understand the black literary text who is not conscious of the semantic levels of the black culture" (*Journey* 163).

[9] Baker finds a "rocky" materialism in the blues form because vernacular blues expression is directly connect with the "lives" and "labor" of human experience (3). This type of expression is evident in sensory details, often in the form of onomatopoeia, related to the sounds of the railroad industry, such as "rattling gondolas, clattering flatbeds, quilling whistles, clanging bells, rumbling boxcars" (8). The mimetic representation of these sounds creates an immediate material context for expression of tangible human experience.
[10] For further discussion of Baker's concept of the black (w)hole, see *Blues* 144-57.
[11] For a recent discussion of "culturally specific" language, see Napier, 169-70.
[12] See *Blues*, 56; Ashraf H. A. Rushdy rejects what he calls the "fable" of literary traditions by arguing that "texts are not simply products of aesthetic imperatives, or embodiments of concerns defined by a tradition, but rather cultural products emerging from and contributing to a specific social condition, we cannot think of them as engaged with each other in an act of revisionism based on one author's influencing a later one or borrowing from an earlier one" (14). In promoting the social component of his concept of intertextuality over and above naïve notions of a tradition that asserts a "total separation of art from the world" (16), Rushdy claims that "to read intertextually is to discern how a given text creatively alludes to and possibly rewrites a predecessor text, evokes the political dynamic in the field of cultural production, and inscribes into that dialogue its concerns with the social relations in the field of power" (14). The term "traditional" above is used to identify a body of texts that forms a movement to authenticate the experience of individual ex-slaves through the narrative process.
[13] For a recent discussion of Baker's "post-nationalist appraisal of the Black Aesthetic," see Napier.
[14] For an additional recent discussion of Baker in connection to intertextuality or a "linguistic discourse," see Napier 166.
[15] In discussing the relationship between master and slave, Hegel presents the idea of self-consciousness by claiming that "self-consciousness exists in and for itself when, and by the fact that, it so exists for another." Individuals perceive identity in relationship as "they *recognize* themselves as *mutually recognizing* one another" so that the self-conscious master and slave "prove themselves and each other through a life and death struggle" (Hegel 111-14).
[16] For discussion of the concept of the "already-said" discourse, see Foucault, Michel, 25-26.
[17] For discussions of the concept of the trans-Atlantic "middle passage," see Spillers, Hortense J., 465-68 and Baker, *Blues* 24.
[18] For a discussion of "post-Marxist" theory that history and social reality are "overdetermined," rather than being determined by "the economy and the economic relations that structure it," see Varsava, 440.
[19] For an additional recent discussion of the diverse spectrum of experience in the novel, see Varsava, 425.
[20] For a recent discussion of the complex difficulties that plague "black urban regimes" ("black-led and black dominated administrations"), see Reed, *Stirrings*, 79-115.
[21] Rushdy observes that Wideman was "affected by the social and political developments of the late sixties" in a way that is similar to the interests of the writers who initiated the neo-slave narrative movement of the seventies and eighties (*Neo-slave* 545).
[22] Birat observes that "Wideman, like DuBois, seems to be concerned not only with exposing a flawed reading of American history, but with revealing the power of this very process to generate new stories.[…] For Wideman the very power of storytelling lies in its capacity to embrace the endless movement of language itself, 'writing,' if not necessarily 'righting,' the wrongs of an "upside-down" world" (640-41).
[23] Rushdy identifies what may be the origin of Wideman's preoccupation with a community of collected voices when he comments on a collection of interviews with Wideman: "He tells us how the return home to attend his grandmother's funeral was a transformative moment in his writing life. Sitting around with the family after the funeral, listening to the stories his great-aunts were telling about his grandmother, Wideman felt the power of a different kind of narrative technique and learned the necessity of dealing with his great sense of loss by developing a new literary voice that respected and tried to emulate that communal and oral storytelling spirit at the wake" ("Review" 545). See also, Wideman, "In Praise of Silence," 547.
[24] For a discussion of Wideman's own comments regarding spaces of silence within his work, see "In Praise of Silence."
[25] For a recent discussion of the idea of an imagined community as a "concrete abstraction," see Dubey, 580 and Harvey, 9.

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Hawaii International Conference on Arts and Humanities

Title of Submission: *Public Speaking goes Online: A hybrid Public Speaking Course enhances the classroom experience while reducing instructional costs*

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Abstract: *Public Speaking goes Online: A hybrid Public Speaking Course enhances the classroom experience while reducing instructional costs*

Combining the best features of online learning with active learning in the Public Speaking classroom creates a positive educational experience for a university core communication course that services 1500 students annually. Financial pressures prescribing very large Public Speaking classes led to development of a hybrid Public Speaking course designed to hold class enrollment at a traditional 25-27 students per section, retain sensitivity to student speech anxiety needs, protect student participation and classroom speaking time, and reduce instructional costs. This paper will describe the interactive, student friendly web site that we developed using our own online text coupled with available internet resources. We will report data collected over two semesters that compare hybrid Public Speaking sections with traditional Public Speaking control sections in terms of: 1) Teacher satisfaction with the course, 2) Student satisfaction with the course, 3) Student speech anxiety levels and 4) Student-Teacher interaction. Most of the findings show the hybrid course to be at least as effective, if not more effective, than the traditional course on the measures selected. This suggests that computer enhanced learning can be usefully employed in a Public Speaking course to achieve both instructional and institutional goals. .

Title: **Tongobriga: A Roman Town in Northern Portugal**

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Abstract:

Tongobriga:
A Roman Town in Northern Portugal
by
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A year ago Brown University entered a five-year renewable agreement with a branch of the Portuguese Ministry of Culture: IPPAR (Instituto Português do Património Arquitectónico) to excavate part of the Roman town of Tongobriga under the direction of Prof. Rolf Winkes. The summer of 2004 was the first season of a five-year collaboration to excavate the ruins of this Roman town. It is located in the north of Portugal, 55 km east of Porto. Over time the small village of Freixo was built on top of part of the town using *spolia* from Roman architecture. The site covers an area of ca. 70 acres. Over a period of 20 years 10% have been excavated to date. Prof. Lino Dias, the original excavator, is now the regional Director of IPPAR for the area of Porto and he is also the Portuguese partner of the project, A few years ago the excavation site was declared a National Monument by the Portuguese Parliament. Therefore, excavation activity can be seen all year around. A particular part is set aside for the Brown team that works here during the summers. The

presenter of this abstract conducted excavations in Greece for more than a dozen years and compares the problems and methods of excavations between a site in Greece and the site of Tongobriga at the time of the Roman Empire. The differences are quite remarkable, esp. in regard to the volume of artifacts, which creates different scholarly and logistical problems. In addition, not only the exploitation but also the particular usage of the site by local farmers contributed to the particular method of excavation at *Tongobriga*. At the site is also a School of Conservation and Preservation. This presence has also an influence on the excavation techniques and this is in this respect quite unusual. Major tools for the excavation are computers in the field that allow not only the entering of data, but also immediate comparison. They enable the excavators to make on the spot checks on data from the entire season and beyond. Debatable is whether this Roman town emerged out of an earlier Celtic settlement and developed thus gradually or whether it was a town "*ex novo*" Archaeological evidence does not permit at this point a full answer to this question. The houses of Freixo, the trenches that were dug during the summer of 2004 and images of other excavated parts of the Roman town serve to illustrate these points.

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1. Title Page

a. Complexity in the Experimental Audio/Visual Arts

b. Topic Area – cross-disciplinary area (music and visual arts)

c. Presentation Format – Paper session

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Abstract

This paper departs from the usual mode of presentation of scientific journal articles in that I address philosophical and conceptual issues related to nonlinearity and complexity as procedural determinants in art works rather than deal with statistical (or other) analyses of fine art works. I do not quantify, dissect, categorize, or otherwise rely on scientific methodology to prove or support the validity of anything I postulate in this writing; nor do I devote attention to those who are insensitive to the profound difference between art and science. The views presented herein represent my current thinking on the creation of multimedia art forms and are empirically unverifiable.

Complexity in the Experimental Audio/Visual Arts

"The establishing of truth in the (art) work is the bringing forth of a being such as never was before and will never come to be again."

"One essential way in which truth establishes itself in the beings it has opened up is truth setting itself into work."

"*All art*, as the letting happen of the advent of truth of beings, is as such, *in essence, poetry*." The essence of art, on which both the artwork and the artist depend, is the setting-itself-into-work of truth."

"By contrast, science is not an original happening of truth, but always the cultivation of a domain of truth already opened, specifically by apprehending and confirming that which shows itself to be possibly and necessarily correct within that field. When and insofar as a science passes beyond correctness and goes on to a truth, which means that it arrives at the essential disclosure of beings as such, it is philosophy."

"Art lets truth originate. Art, founding preserving, is the spring that leaps to the truth of beings in the work. To originate something by a leap, to bring something into being from out of its essential source in a founding leap – this is what the word 'origin' [*Ursprung*, literally, primal leap] means.

The origin of the work of art – that is the origin of both the creators and the preservers, which is to say of a people's historical existence – is art. That is so because art is in its essence an origin: a distinctive way in which truth comes into being, that it becomes historical."

Martin Heidegger, *The Origin of the Work of Art* [1]

Arts Escapes the Bonds of Linguistic Models

The encompassing organizational bias since the beginning of Western music was the linguistic model of human communication. It can be argued that all of our traditional Western music compositional devices reflect this conceptual bias, and that literary, dramatic, narrative concepts govern most of the salient features of our music from recorded history onward. For example, phrases, cadences, notions of melodic curve, and rhythmic principles all can be traced to the patterns of human speech, which in turn are conditioned by one undeniable human physical limitation: the need to draw breath periodically. In short, the logic and nature of human spoken languages provided all our models for articulating, shaping, and grouping sound events.

The liberation (circa 1950) of music from the linguistic paradigm led to a search by composers for new ways to model musical structures. The advent of electronic media and technology provided the tools for exploration of formative processes brought to light by contemporary physics and mathematics, as well as for the application of techniques current in the visual arts. After World War II, experimentation widened to encompass the mapping of stochastic, fractal, and other physical phenomena to musical events. This resulted in a de facto redefinition of music as Sound Art, a term which implies a shift from a predominantly subjective perspective to a relatively objective perspective in creating musical material.

Awareness grew among composers that the tyranny of language-derived methods had to be broken to provide access to new principles of sound organization. Experimental artists in a number of different fields forged an alliance. Painters, sculptors, poets, choreographers and musicians began intense explorations of new formal models for the organization of their art forms on the conceptual level. John Cage, Merce Cunningham, Robert Rauschenberg, Allen Kaprow, and poets experimenting with "concrete poetry" collaborated during the 1960's to experiment with the resources of the emerging technology. A new sense of freedom was in the air.

In music, the growth of electronic technology, exemplified by the audio frequency generator, the magnetic tape recorder, and the digital computer, brought about a shift of paradigm for the conceptual basis of the sound arts.

The first musical compositions that used the new technology were limited to rudimentary manipulative techniques that can best be described as tedious and primitive by current material-handling standards. Laborious operations applied to magnetic recording tape such as looping, direction-reversal, montage, hand-splicing and editing, etc., placed an unmistakable stamp on the possibilities and aesthetic content of these works. But, perhaps because of the severe limitations placed on the composer of tape music, a new set of values began to emerge governing the forms, processes, and materials of the new sound art. No longer were the familiar attributes of Western music - theme, development, classical form, and the attendant characteristics of the functional, tonal, harmonic system to be found by audiences. Instead, the processes inherent in the manipulation of magnetic tape and electronic signals rose to the surface and gave birth to a new, broader musical value system.

During the same period composers emerged who were willing to come to grips with the compositional and aesthetic problems posed by technology. Where did they turn for help in developing new ways to think about structure, form, and methodology? They looked to the possibilities of the new medium itself, to other contemporary art forms, to mathematics, and to science.

Because the new ways of working resembled visual as opposed to literary methods, some American composers took their inspiration from painters and sculptors who were developing novel approaches to their art forms. Tape music departed from the traditional composing litany of sitting at the piano or desk writing notes on paper for later performance by other people. It seemed more in line with the activities associated with painting or sculpture - the fashioning in real-time of an art object through direct, hands-on contact with the physical materials. Therefore, methods analogous to those used by visual artists cropped up in the working habits of many composers. For the first time in history, sounds could be directly auditioned, evaluated for usefulness, and incorporated into a tape montage for presentation to audiences. In the visual arts, action painting, found art, and randomness as a positive, controlled, process, became prominent as methods of freeing the imagination from the bonds of classical methods and biases. It was during these formative years - 1950 to 1960 - that the real revolution in 20th-century music occurred. The Electronic Age forced artists to free themselves from the tyrannical grip of an invisible, monumental conceptual bias: the dominance of the causal, linear-sequential, formal logic imposed by spoken human languages.

As the digital computer evolved and became widely available to composers, and experimentation was extended to the field now called Algorithmic Composition, which began during the 1950s through the efforts of musicians such as Lejaren Hiller [2] in the USA and Iannis Xenakis [3] in France. These composers used stochastic methods and other math-based procedures to compose all dimensions of the music score, from its pitch, dynamic, and rhythmic structure to its orchestration and overall form.

The new methods suggested by electronic genre made their mark as well upon compositional thinking for traditional musical ensembles. Orchestral scores began to exhibit characteristics derived from the world of tape music. Collages of abstract textures and organic formal structures unrelated to classical models appeared. Minimalism, the origin of which can be traced to the tape music experience of working with phase-shifting loops of prerecorded material, came forth as a kind of cultural synthesis of East and West in the heterophonic work of American composers such as Terry Riley and Lamonte Young.

Freed from the constraints of linear-sequential thinking, many artists abandoned the dramatic narrative formal structure followed for centuries and developed new conceptual models. Just as mathematics has been forever changed by fractal geometry, musical thinking has been changed by the new technology and the attendant expansion of awareness. Often cross-fertilized by the visual arts, composers metaphorically modeled sound structures using abstract data, natural and manmade processes, and mapping techniques. (A good analogy might be for a composer to use the principles governing flow dynamics in a waterfall to create musical structure as opposed to simply representing the waterfall through tone painting.)

Advances in technology not only fostered novel means for artists to manipulate and organize their material, but also began to alter human perception of the world and influence our ability to deal with nonlinear multiplicity and complexity. Media philosopher, Marshall McLuhan [4], has argued that the electronic revolution irrevocably altered the way human beings comprehend and deal with their environment. In particular, the older cause-effect, linear-sequential, model has been supplanted by a network model. That is, in reference to our attention processes and awareness patterns, human beings have become omni-attentive. Indeed, much of the music produced by art music composers during the latter half of the 20th century supports McLuhan's theory.

Of course, this presents a problem for most music listeners, who are accustomed to follow a piece of music much as they would read a book - from beginning to end in logical narrative sequence. The new musical time/space now demands much more mental interaction. It often more closely resembles a canvas or a sculptural mobile than it resembles a story. Moreover, it may not "move" the listener emotionally as might be expected. Rather than existing as an emotional outpouring of a composer sitting at the piano feverishly writing with pencil and paper, today's sound art often embodies objective thought models from the sciences and mathematics. It can explore and integrate the deep structure of events and natural phenomena, instead of simply mimicking the external, superficial characteristics of an object.

Many composers began to deal directly with attention processes, mnemonic processes and the alteration of perception as a central focus of their work. Pattern/process music, sometimes called Minimalism, is an example of the application of chaos-inducing recursive functions to stable, static sonic materials. It involves repetition of static melodic patterns subjected to subtle, gradual change over a long time period. Through the act of literally repeating many simultaneous melodic patterns of varied length and contour at unpredictable entry points, a shimmering texture is produced which seems random and spontaneous in terms of its immediate progression.

Composer Terry Riley's 1962 composition, *In C,* is a good example of pattern/process music. It can be performed by almost any available combination of musical instruments. The score consists of a single page containing 55 pulse-based musical fragments that are to be repeated, in order, an arbitrary number of times at the discretion of the individual performers. It is significant for the course of music history because it broke with the linguistic conceptual model that emphasized melodic curve, ebb and flow of loudness, harmonic motion, phrase structure, and cadential patterns in support of the dramatic narrative formal model. Moreover, this work effectively dissolved the barrier between Eastern and Western musical idioms through its use of pulse-based heterophonic textures that focused the listener's attention on the interior of the overall sound

rather than on the surface of the music.

Complexity in this work is achieved through slowly changing relationships among the shifting, overlapping, repeated melodic patterns as they contribute to the overall texture. The random entry of individual melodic fragments and random number of repetitions results in limited chaos on the local level. The texture slowly shifts from one alignment of periodic patterns to another, never exactly repeating itself with regard to internal details.

Other areas that have fascinated contemporary composers are nonlinear dynamics, fractal geometry, and iterated function systems. A wide variety of techniques have been employed in the mapping of graphical representations of fractal and other self-similar patterns to the sound domain. This is sometimes referred to as algorithmic congruence in that the two media are inextricably bound together through the application of a coordinated process.

The work I am currently doing springs from the fresh approaches to sound art composition that have evolved since World War II, and represents a further extension of the new structural concepts in the realm of experimental multimedia art.

My researches in the area of stochastic, aleatoric, and fractal algorithmic music composition also have been applied to the graphical domain to establish an audio/visual fusion of art forms that I think of as computer music video.

Complexity and Nonlinearity in my Computer Music Videos

I call my work Computer Music Video because, by education and inclination, I am primarily a musician, and secondarily a photographer. I have been passionately involved with visual media since 1968, when I began composing music that combined abstract photographic experiments with electro-acoustic music. At that time, the computer was only a crude instrument for the production of artworks; moreover it was usually available as a restricted-access, institutionally managed mainframe installation administered by technicians and scientific researchers. But, around 1982, the desktop PC began to emerge as a potential-rich platform for the exploration of previously unmanageable concepts. Fractals, Iterated Function Systems, and other mathematical modeling procedures became available to the uninitiated, at first haltingly, then later in profusion. Today, there are at least 10 highly sophisticated audio and graphical programs that I regularly use to generate and explore abstract, animated graphical imagery in conjunction with algorithmically congruent sound structuring techniques. Moreover, this software is powerful enough to allow high-quality, MPEG-2 video rendering, which is the standard for production of DVD-Video disks.

By 1984 the PC became a viable instrument for exploration of hypothetical concepts and processes for the formalization of sound structures, so I began to teach myself computer languages in order to explore musical ideas that had not been practical for performance by human performers. At about the same time, MIDI protocol was introduced, which made it possible to use the PC to algorithmically generate musical data for real-time transmission to electronic synthesizers.

My most recent work has been in the area of computer music video. The video imagery from the six works I have completed to date is based upon either transparent slides or paper proofs as the source for the video component of each composition. The still imagery was prepared using various benign chemicals, oils, and dyes placed on either glass plates or photographic enlarging paper and allowed to interact as I controlled the liquid flow patterns over a period of time. The process should probably be called “controlled aleatory”, because the details achieved were serendipitous, whereas the gestalt imagery was guided during the accretion process. Many of the images exhibit natural fractal patterns, the result of dynamical flow processes interacting with chance procedures.

Source Images Produced on Photographic Paper:

Here is my description of the “light painting” process I use to generate abstract, still images directly on standard silver halide photographic paper without recourse to either camera or optical printing equipment.

Light Painting Technique

It is problematical to find a classification for the images I call Light Paintings. There is no comfortable niche to conveniently categorize them, as is the case for landscape, portraiture, documentary, journalistic, or other types of photography, manifestations that are labeled in accordance with the nature of the subject matter recorded though the camera lens. Moreover, some may argue that light paintings shouldn't be considered photographs at all, because they are not representational images optically captured and projected onto printing paper. Others find it more logical to include them in the category sometimes referred to as mixed media. At various times, in response to viewers' uneasiness about accepting light paintings as photographic art, I have called them Solargrams or Chemigrams. In a strict sense, neither description is wholly accurate, but each provides its own peculiar "handle" for thinking about the processes involved. The ordinary application of the term *solargram* is to images developed by placing objects on special light sensitive paper which develops-out through prolonged exposure to sunlight. And, the term *chemigram* refers to the staining or pigmentation process that occurs through the commingling and application of a wide range of chromogenic chemicals. The technique of light painting bears resemblance to the processes that produce solargrams and chemigrams, but it really begins where the other methods leave off.

The factor distinguishing light paintings from the rest of photography is not the application of unusual, archaic, or esoteric processes in the production of photographic images; rather it is the absence of such techniques, accompanied by flagrant violation of the traditional darkroom image processing principles (which were devised to facilitate photography's role as a message-bearing medium).

The raw materials are inexpensive and standard - artificial light, black and white enlarging paper, and conventional developing chemistry (Dektol, acid stop bath, and Kodafix). The processing procedures are not. In fact, most of them are anathema to the artist who makes Fine Prints (the only exception being archival final processing). But this rule breaking doesn't mean that technique and sensitive control are not required to produce interesting light paintings. On the contrary, it has taken me many more hours to learn to control (within the medium's limits) the natural inclinations of free light, paper and chemistry than it has taken to gain a modest mastery of projection printing techniques.

Unlike latent images, recorded as negatives on photographic film through the camera lens, light paintings are direct positive tracings of flow processes and chemical/light interaction that take place over time - exposures (sometimes extended over numerous work sessions) that capture the intricacies of liquid dynamics. Sometimes they appear to resemble human, animal, or other representational forms; at other times they suggest surreal moonscapes/landscapes or nonfigurative abstract images.

Chemically induced corrosion is the means by which conventional silver prints work their magic. Light painting technique seeks to directly harness the natural inclinations of the materials, through control and augmentation of the process, retarding and accelerating the chemical interactions according to the intentions of the artist. The act of creating a light painting is very like the process of improvising a musical composition. Future decisions are made based on serendipity, awareness of the path that has been taken and potential paths to follow, and the desire to bring forth a striking image.

I perform each light painting using a range of material-control techniques. First I select the paper quality, grade, and brand; then I begin the performance. Manipulation of flow speed/pattern, dipping, dripping, pulling, spraying, heating, sponging, light flashing, masking via chemical build-up are a few of the methods I use. Sometimes I include exhausted chemical mixtures in addition to pure chemicals (four trays - the last with a fixer/developer mix). I don't try for specific abstract or representational results; I simply observe how materials are interacting and improvise moment-to-moment, making impromptu decisions as work progresses. Naturally, the editorial process is the most important, final stage - I discard many more images than I keep.

Here are some examples of Light Paintings used in my computer music video, *Flos Harmonicus VI*:

Light Painting No. 1 (10”x8”)

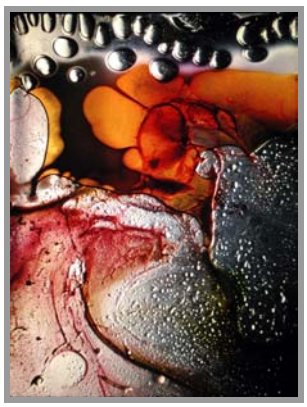
Light Painting No. 2 (10”x8”)

Source Images Produced on Glass Plates:

My music video, *Sky Gods of Tavarong,* began with hand-built, abstract, 2”x 2” glass slides. First, transparent inks, dyes, and liquid materials of high viscosity were applied via flow processes to individual plates. Next, they were sandwiched together and manipulated by hand until the drying process was relatively complete. Then, thirty-one slides were selected, photographed using a high-resolution digital (still) camera, and imported into video production software for further processing. Here are some cropped examples:

2”x2”Glass Slide No. 1

2”x2”Glass Slide No. 2



2”x2”Glass Slide No. 3

The structural frame of reference for the work was algorithmic congruence by inversion, whereby polar identity was established between processes independently applied to the audio and video material. Although the piece was conceived as a whole, individual computer algorithms that are conceptually

related, but dissimilar with respect to outcome, determined the placement of details within each medium.

The video compositional algorithm produced a texture consisting of multiple layers of still images. Subsequently, each layer was processed via standard video effects and transitions. The resultant video renderings were then "granulated" by application of an algorithm that selected minute clips from the video layers and redistributed them according to a probability distribution that produced a sense of textural dimensionality/directionality over the course of the video.

The music compositional algorithm was similar in concept, yet diametrically opposed in scale. Instead of granulating a long chunk of material into repositioned, transformed, overlapping shards, a short melodic cell was taken from a passage performed on a Chinese instrument; the sample was modified throughout the piece by time/pitch shifting transforms to generate the resulting monolithic tapestry. (The computer algorithm was devised to produce a nearly uniform textural montage from the pitch- and time-shifted audio samples.)

Here is a stepwise description of the audio/visual processing:

Video:

Step I. Controlled flow processes were applied to thirty-one, 2-inch square, glass plates using inks, dyes, and viscous fluids; the resulting images formed abstract patterns bearing a resemblance to stained glass windows.

Step II. Pairs of the abstract glass plates were sandwiched together, and then macroscopically photographed in digital form to extract segments of the individual images.

Step III. Computer video software was used to sequence the digital stills and render them as a two-layer (*cancrizans*) montage of moving images lasting three minutes.

Step IV. The resulting video was subsequently re-rendered and stored as a stream of single-frame bitmap images. Then, the 5400 images were grouped into separate collections of 4,5,6,7,and 8 contiguous frames, and were distributed according to a numerological schema. Two separate videos were again rendered and concurrently (20%-50) ramp-cross-dissolved over an 8'52" time period, a structure of increasing visual density that parallels the sound granulation directionality and formal shape.

Audio:

All of the sound sources for the music were drawn from audio samples I recorded of Chinese musical instruments - sona, sheng, kuchin, erhu, gongs, cymbals, and other small percussion.

Most of the samples were processed in a manner congruent with the video frames using sound granulation (fragmentation and reordering of sample segments) software to create drone-like data streams that were further transformed using digital audio plug-ins such as convolution, phase vocoding, time/pitch transposition, etc. A few of them were processed to preserve melodic or texture-character identities. (These appear as iconic references at several points in the audio score.) Subsequently, the results were sequenced and superimposed using standard audio multi-tracking software.

Here are two still images from the music video, *Sky Gods of Tavarong:*

Still Image No. 1

Still Image No. 2

My computer music video, *Sacred 100-Pace Snake*, was composed using algorithmic congruence procedures; that is, the video and computer music were generated using similar granulation and formal techniques on both the local and macro-dimensional levels. The piece bears a superficial resemblance to several other videos I have completed in that video granulation techniques were applied to the same set of thirty-two, 2x2-inch, (abstract) glass plates I used as the visual material for several other videos. However, the build-up of the initial, pre-granulation montage and the mode of final rendering differ in this case in several respects.

Step I. Controlled flow processes were applied to thirty-one, 2-inch square, glass plates using inks, dyes, and viscous fluids; the resulting images formed abstract patterns bearing a resemblance to stained glass windows.

Step II. Pairs of the abstract glass plates were sandwiched together, and then macroscopically photographed in digital form to extract segments of the individual images.

Step III. Computer video software was used to sequence the digital stills and render them as several multiple-layer montages of moving images, each of 2-3 minutes duration. (The montages were built using simple video transitions and effects such as cross-dissolve, image mirroring, etc.)

Step IV. The resulting video montages were re-rendered and stored as a stream of single-frame bitmap images. Next, the single-frame images were grouped into separate collections of contiguous frames, and then were distributed using a reordering algorithm that I wrote in the C programming language and rendered as a single video montage.

Step V. The final step in the video production was the placement of copies of the video montage in a 9-screen matrix within the overall 720 x 480 MPEG viewing screen. Identical copies of the montage were rendered at slightly different frame rates (as percentages of the original speed, and then each copy was assigned to a location in the 3 x 3 screen matrix as follows:

97%	**96%**	**95%**
98%	**99%**	**100%**
103%	**102%**	**101%**

Step VI. The audio was composed from a single soundfile using granulation and time-stretching techniques, and was multitracked to produce an overlapping montage made from multiple copies of the final soundfile (introduced at patterned entry points along the video timeline to produce a “phasing” effect similar to that of the video).

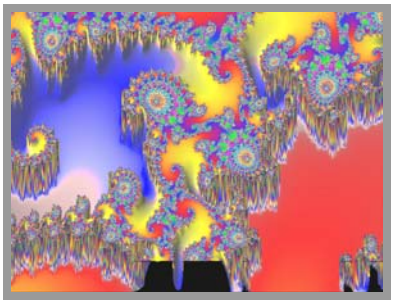
Here is a still image from the music video, *Sacred 100-Pace Snake:*

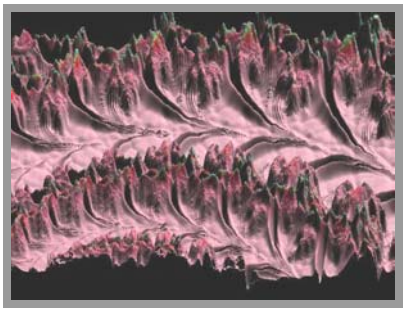
Still Image No. 3

Fractal Animation

Another area I experiment with falls within the general rubric of fractal imagery. Iterated Function Systems (IFS), Mandelbrot and Julia Sets, and more offbeat variants are among the procedures I explore. The basic concept is simple and well known: a special mathematical expression is computed, then the result is fed back into it and it is reiterated – ad infinitum (or until escape values are dictated by the program). Until recently, it took a supercomputer to evaluate and iterate expressions quickly enough to scan and explore fractal imagery in animated form. Presently, there are a number of available software packages that allow precise control over the location, magnification, translation and transformation of fractal imagery over a user-defined period of time in a variety of video formats, the most notable of which (MPEG2) is suitable for DVD-Video presentation. The program I use for exploring fractals in animated form is called "ChaosPro"[5]; it is available free of charge on the Internet.

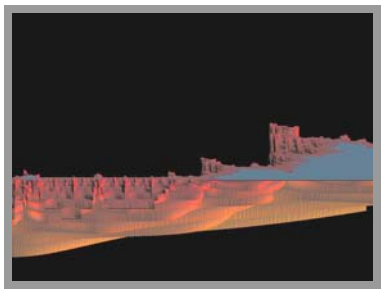
Here are a few of the fractal images from my computer music video, *il passaggio spaziale*:



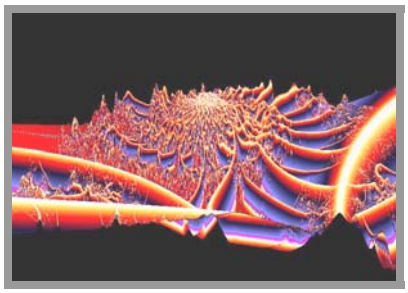


Still Image No. 4

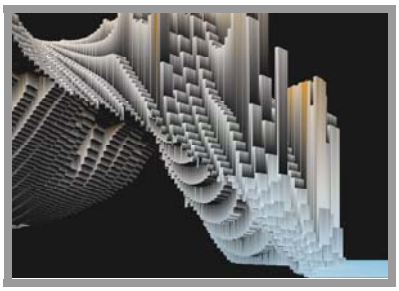
Still Image No. 5



Still Image No. 6



Still Image No. 7



Still Image No. 8

Still Image No. 9

Conclusion

Space limitations do not permit a thorough exposition of many of the algorithmic techniques I customarily apply to either audio or video materials. A more extensive look at the procedures for music composition can be found in the following books: *Automated Music Composition* [6], *Computer Music in C* [7], or *The Computer Composer's Toolbox* [8].

An extensive collection of my experimental photographic images, as well as short video clips of the works discussed in this paper, can be perused at http://www.opticmuse.com

The website, http://www.BuyIndies.com is the distributor of nine of my computer music videos on DVD or VHS tape. They are in the Educational Video category.

The groundbreaking book on film and video, *Expanded Cinema* [9], (G. Youngblood - 1970) still remains the most exhaustive conceptual study of experimental video and cinema to date. I recommend it as an antidote to movie industry conditioning.

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Time in a Time after Plague: Hearing Bach's *Wachet auf* through Heidegger

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(*Abstract is submitted on the following page.*)

Abstract

For Heidegger, it is being-toward-death that discloses the possibility of authentic being-in-the-world. One faces one's death alone; death is, in fact, the only certainty that each individual *owns* of existence. "Death is a possibility of being that Da-sein always has to take upon itself. With death, Da-sein stands before itself in its ownmost potentiality-of-being."[1] In facing the "limit" of one's possibility, the totality of "one's *ownmost*" being-in-the-world can be grasped.

But our being does not circumscribe its own impossibility. At most, death is encountered as a reflection of the death of other-beings. How might one enter oneself into being-toward-death?

Unlike the visual arts, which manifest a reflection of the visible world, music cannot be seen through the eyes of the other. The music listener is physically *filled with* musical sound. There is no reflection of other-being in music; the musical experience belongs to the individual as habitation. Thus the music listener is able to appropriate an authentic anticipation of death. Because music *inhabits*, the listener cannot confine death within the realm of the ontic (i.e. the muddied lens of other-beings): death as the possibility of the impossibility of being is anticipated by the listener for him or herself.

Let us move to a phenomenological investigation of music as anticipation of being-toward-death.

Bach's cantata BWV 140, *Wachet auf,* employs as its central structure a chorale written by Philipp Nicolai, the text of which Nicolai composed after himself having faced death: the plague of 1597. Nicolai survived, and, after the threat of pestilence had passed, composed a tripartite chorale in honor of a young boy who had perished. The theme of Nicolai's text is taken from Matthew 25:1-13, a parable on preparing for the Second Coming. Bach selected this chorale in composing his cantata for the 27th Sunday after Trinity (on November 25, 1731), a time marked in the Lutheran church by contemplation of the Last Judgment and anticipation of eternal life. Thus the function of the cantata can be described as looking-upon death.

How does musical form in *Wachet auf* disclose the possibility of authentic being-in-the-world through its anticipation of being-toward-death? Our interrogation commences in the exploration of the significance of the chiastic structure manifest in the cantata as a whole, then proceeds to consideration of individual movements employing Nicolai's chorale, and concludes with a detailed investigation of the melodic structures shaping the ritornello of the first movement. In that movement, three principal melodic figures unite into a fourth; succession resolves into simultaneity. This layering of musical figures throughout the ritornello engenders a musical time folded upon itself, building an expressive dimension through the simultaneity of musical figures. The melodic architecture thus reveals a vertical *depth* of temporality.

Our interpretation of *Wachet auf* through Heidegger reveals time, constituted through authentic being-in-the-world, as *depth*. Into this depth we place our hope.

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[1] Martin Heidegger, *Being and Time*, tr. Joan Stambaugh (Albany, New York: State University of New York Press, 1996), 232.

Interfaith Dialog in America's Heartland: A Progress Report of Peace Building Efforts Between Diverse Religious Groups in Muncie, Indiana

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Abstract

Muncie, Indiana, often referred to as “Middletown, USA,” has been the focus of a great deal of social science research since the mid-1920’s. In March of 2002, a controversy arose over the National Day of Prayer, during which an influential fundamentalist Christian pastor made public statements asserting he could not pray with Muslims and Jews because they "have other gods to pray to." This offended several groups within the city, including many mainstream Christians, and resulted in a great deal of animosity. The controversy received widespread publicity with articles and interviews appearing in the Chicago Tribune, the Los Angeles Times and other national newspapers.

Responding to this controversy was a small group of citizens known as the Muncie Interfaith Fellowship which meets on a monthly basis at the Center for Peace and Conflict Studies at Ball State University. This interfaith organization was comprised of members representing Christian, Jewish, Muslim, Hindu, Buddhist and Baha’i faith traditions. In response to the controversy, the Muncie Interfaith Fellowship accelerated its efforts to promote interfaith dialog, social gatherings and worship in the community. The result has been an example of successful peace building that continues to expand, with the last citywide event attracting about 180 people.

This paper is a progress report on this effort at peace building within a community in America’s heartland. Successful strategies for engagement will be discussed along with the consideration of inclusive interpretations of important passages from religious texts.

Gandhian Philosophy: Slaying the Enemy Within

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Abstract

Mahatma Gandhi is perhaps the greatest of all nonviolent activist/reformers. His influence on Rev. Dr. Martin Luther King Jr. is well known to most Americans. While many people are aware of Gandhi's use of nonviolent teachings attributed to Jesus, few Westerners actually understand the components of Gandhi's philosophy and their roots in Hindu thought and Indian Philosophy.

This presentation examines the central components of Gandhian philosophy, specifically the concepts of ahimsa, satyagraha, tapasya, and swaraj. Passages from Hindu scripture that helped shape Gandhi's view of nonviolence and his activist interpretation of the Christian teaching "Turn the other Cheek" are also explored. Finally, consideration is given to the application of the central components of Gandhian philosophy to present United States foreign policy.

BIO

George Wolfe is the Director of the Center for Peace and Conflict Studies at Ball State University where he oversees the Interdisciplinary Peace Studies minor and teaches the interdepartmental class *Introduction to Peace Studies and Conflict Resolution.* He also chairs the Muncie Interfaith Fellowship and was trained to conduct interfaith dialog and peace building through All Faiths Seminary International in New York City. Dr. Wolfe holds a Doctorate in Higher Education from Indiana University, has received mediator training, and serves on the advisory board of the Toda Institute for Peace, Policy and Global Research at the University of Hawaii. During the past year, he spoke at Elon University in North Carolina and at Anderson University in Indiana on the topic: *Gandhian Philosophy: Slaying the Enemy Within.* This past summer he taught a class at Chautauqua Institution in New York entitled *Christianity and the History of Nonviolence in America.* His two visits to India inspired two publications on the relationship between Hinduism and Christianity. His article *Inner Space as Sacred Space: the Temple as metaphor for the Mystica Experience,* was published in November 2002 in the New York journal, *Cross Currents.*

a.	Title	:	A Model of Conservation to Establish Cultural Significance – Case Study on a Victorian-Colonial Police Station
b.	Topic	:	Architecture
c.	Presentation	:	Paper session
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Abstract of paper

Keywords: Conservation, Burra Charter, Victorian – Colonial style

A Model of Conservation to Establish Cultural Significance – Case Study on a Victorian–Colonial Police Station

Victorian – colonial styled buildings have become important subjects of conservation in highly dense built environment. A case study was taken with the Former Marine Police Headquarters in Hong Kong, a building constructed in 1884, representing one of the finest example of colonial architecture of High Victorian period.

The Burra Charter (1999) (the Australian ICOMOS Charter for Places of Cultural Significance) was adopted for the conservation principles, process and practice of this building. The concept of cultural significance was looked upon through aesthetic value, historic value, scientific valve, social value and other aspects.

Special characteristics of this historic building, such as colonnaded courtyard, colonnaded verandah, arched-and-pillared arcade plus the general application of traditional materials were preserved at the exterior elevations and interior courtyard. The interior conservation follows the concept of adaptive use to allow fresh functions to be incorporated in the restored buildings, with minimum disturbance and additions of reversible installation.

This paper presents the general conservation method of the historical building, together with a brief assessment report on how cultural significance can be maintained, which is one of the pioneer conservation projects in a highly dense urban setting.

A Model of Conservation to Establish Cultural Significance – Case Study on a Victorian – Colonial Police Station

Conservation is a difficult task in the context of urbanization in the global scene. This is particular hardship in high-density environment of a modern city. Unless suitable legislation is enforced, the conservation of historical building sin such context will likely to give way for sheer economical considerations.

In the economical – driven environment of Hong Kong, the preservation of built heritage is a luxury. Until quite recently did the local government issued a consultation paper for review of the Built Heritage Conservation Policy. This was at early 2004 and at that time, not much significant heritage buildings were left in the city.

Victorian - Colonial styled buildings represent a particular physical evidence of the cultural and architectural history of Hong Kong. The building complex of Former Marine Police Headquarters at Tsim Sha Tsui provides an excellent example to record cultural significance.

Figure 1 A heritage building in Hong Kong dense environment

Conservation Background

In the conservation of this building, references have been made to well-established international principles, including the following Charters: -

1964 – Venice Charter (ICOMOS)

1992 – New Zealand Charter (ICOMOS)

1999 – Burra Charter (Australia ICOMOS)

1999 – Mexico (ICOMOS)

However, Burra Charter (1999), with particular emphasis on Cultural Significance, was quoted in this paper for the relevance of the topic discussed.

"*Place*" and "*cultural significance*" were mentioned in Article 1 of Burra Charter. The Central Police Station in Hong Kong Island was built in 1857, to represent order for the colony. In 1861, the peninsula of Kowloon was taken over by the Great Britain. The construction of the Marine Police Headquarters in 1884 represents the establishment of order for the expanded colony, mastering the control of Victoria Harbour as well.

The Main Building was erected in December 1884 and has since then been used almost exclusively as Marine Police Headquarters except during the Japanese Occupation. The building has been symmetrically planned around a colonnaded courtyard and has a main facade of duality: with arched-and-pillared verandah and colonnaded verandah. The paired columns at the first floor verandah are in Tuscan Order and are of local granite stones. The whole building appears to be the finest example of colonial architecture of High Victorian period.

Figure 2 The Main Building of Former Marine Police Headquarters in Hong Kong

The Signal Tower was also called "Round House" and located at the distant edge of the hill among trees and above the roof of which a time ball was used to be hoisted. It is a 2-storey structure with circular windows for the upper floor and arched windows and entrance door for the lower. The ornamental details of both the entrance door and the cornice seem to suggest flavours of the Renaissance Style.

Other Historic Buildings and structures include the Stable Block, the Former Fire Station and the Pylon. They were constructed in later period but altogether these structures and the Main Building form one of the best preserved architectural and heritage complexes in Hong Kong.

Conservation Principles

Under Article 2, "*Conservation and Management*",

"The aim of conservation is to retain the cultural significance of a place"

And, under Article 1,

"Cultural significance means aesthetic, historic, scientific, social or spiritual value for past, present or future generations."

As such, the conservation objectives of Former Marine Police Headquarters are set up as:

- to produce a restoration of a complete Victorian-Colonial complex to an international standard that will be acknowledged as one of the best of its kind in the Asia-Pacific region;
- to produce an exciting, economically viable reuse of the Place, while preserving the setting and the fabric of the Historic Buildings, in order to impress residents and visitors; and
- to make limited and controlled intervention to the Place and the Historic Buildings in order that their future heritage value are not diminished by inappropriate and non-Reversible alterations or additions.

Under Article 6, Burra Charter process,

"The cultural significance of a place and other issues affecting its future are best understood by a sequence of collecting and analyzing information before making decisions. Understanding cultural significance comes first, then development of policy and finally management of the place in accordance with the policy."

The analysis of the location and topograply of the Place showed that the heritage building was segregated from pedestrian flow by the being located on a small hill and historically was not open for public visitation. However, as the city developed, the 3-storey heritage building was dwarfed by the surrounding high-rise buildings. Its previously commanding view of the harbour is now totally concealed.

Thus, to restore the visual being of this heritage building, the site, as a small mount, has to be opened up and focus to be re-stated for this building.

To be compatible with the tourism-oriented context of the locality, shops were added to replace the previous mount, but at a building height generally below that of the ground floor level of the heritage building and to be designed as part of a cascading landscape context.

This is in accordance with Article 8 regarding "*Setting*",

"Conservation requires the retention of an appropriate visual setting and other relationships that contribute to the cultural significance of the place.

New construction, demolition, intrusions or other changes which would adversely affect the setting or relationships are not appropriate."

A network of tunnels, constructed at War times, was also found on site. As the structural conditions were not that safe, only part of the tunnel will be kept as a historical reminder on the site.

This follows Article 13 on "*Co-existence of cultural values*",

"Co-existence of cultural values should be recognized, respected and encouraged, especially in cases where they conflict."

Conservation Processes

The structures left behind are one of the best visual evidence of the Victorian-Colonial Style ever built in the territory of Hong Kong and the Asia-Pacific Region.

The proposed adaptive usage of the building complex together with new development will further focus on renaissance of the important architectural style, with the intention to create a unique historic place within the Metro area.

From Article 15 on "*Change*",

"Change may be necessary to retain cultural significance, but is undesirable where it reduces cultural significance. The amount of change to a place should be guided by the cultural significance of the place and its appropriate interpretation."

A range of options were explored before arriving at the present consideration of change, including the continued usage of the building as a Police Station, which is not viable in view of present operation and limited exposure to public.

Adaptive use is considered based on Article 21 on "*Adaptation*",

"Adaptation is acceptable only where the adaptation has minimal impact on the cultural significance of the place.

Adaptation should involve minimal change to significant fabric, achieved only after considering alternatives."

No.	Historic Buildings	Conservation		Colour Scheme	Adaptive Use
		External	Internal		
1	Marine Police Headquarter Main Building	Totally Preserved and restoration of original site setting	Controlled intervention with addition and alteration works	The marine blue colour to be restored to white to match wooden floorings and Hotel themes	Accommodation for Five Star Boutique Hotel
2	Stable Block	Totally Preserved and restoration of original site setting	Controlled intervention with addition and alteration works	The marine blue colour to be restored to white to match wooden floorings and Hotel themes	Facilities for the Five Star Boutique Hotel (Spa or Gym provision)
3	Signal Tower (Round House)	Totally Preserved	No additional work the internal flooring material to be replaced	The original colour is preserved	Souvenir Shop or Designer Cafe
5	Accommodation Block of the Former Fire Station	Totally Preserved	Restoration of original brick work for internal decoration of restaurant	The existing brickwork is preserved as major colour scheme	Restaurant or Wine Bar
6	Main Building of the Former Fire Station	Totally Preserved	Restoration of original brick work for internal decoration of restaurant	The existing brickwork is preserved as major colour scheme	Restaurant or Wine Bar

Figure 3: Conservation Intention for the Five Historic Buildings in the compound

The various sized rooms of the main building are to be renovated into 51 luxury rooms and service areas for Hong Kong's first heritage hotel. A preliminary assessment of the specified historic items in the Tender Notice, reveals that almost all items can be retained in-situ. Those not retained in-situ are to be relocated to the Hotel Lobby. The Stable Block will be renovated into a gym and spa for the exclusive use of hotel guests. The Signal Tower will be renovated as a souvenir shop or café. The Former Fire Station and its Accommodation Block will be reused as a themed restaurant.

The only addition to these historic buildings will be a structurally independent, transparent cover to be erected over the open courtyard within the main MPHQ building, to enable its adaptive use as the Lobby Lounge for hotel guests and visitors. This improvement is tolerable given:

1. The minor addition can be interpreted as an allowable intervention;

2. The cover is structurally independent of the historic building and reversible;
3. The cover will not affect appreciation of the internal façade;
4. The cover enables the inner courtyard to be utilized;
5. The significant historic items and internal finishes are protected from over-exposure to sunlight and humidity by a protected and climate-controlled environment.

The room interior will be renovated to Victorian period hotel rooms with the significant historic items being retained as room features. Additional planked flooring will be introduced over the existing floor and the furnishings will be demountable so as to minimize the possible impact to the building. With space above false ceiling and below planked flooring, the provision of necessary services such as Internet connection, television and ventilation will be in international standard.

This is also based on Article 22, "*New Work*",

"New work such as additions to the place may be acceptable where it does not distort or obscure the cultural significance of the place, or detract from its interpretation and appreciation."

"New work should be readily identifiable as such."

A significant feature of the Former Marine Police Headquarter is the external façade of the building, which is characterized by its fine proportion, the colonnade and its eaves and column-head details. The preservation strategy of the Main Building therefore not only focus on restoration of these features and adjacent gardens but also the presentation of a new foreground setting for public appreciation of the heritage building.

This is as per Article 17 on "*Preservation*",

"Preservation is appropriate where the existing fabric or its condition constitutes evidence of cultural significance, or where insufficient evidence is available to allow other conservation processes to be carried out."

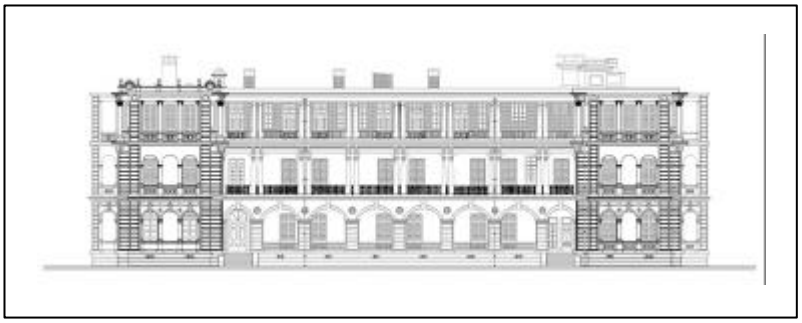

Figure 4: Measured Drawings of main façade of Former Marine Police Headquarters Main Building

Conservation Practice

The technical schedule provides a framework and basis of working procedure and reminder to ensure the best attainment of statutory and technical outcomes.

Degree of Intervention:
In broad term, any intervention to the historic building must be (1) minimum necessary, (2) reversible and (3) technically possible. The intervention may mean addition, alteration, excavation, demolition and finishing works. This will form the basis for the preparation of Addition and Alteration works in conservation plan.

Documentation:
Before the commencement of any building works, the site of historic building should be recorded and documented in full scale. All valuable historic evidence uncovered during construction works should be recorded in-situ.

This is with reference to Article 26 of Burra Charter,

"Work on a place should be preceded by studies to understand the place which should include analysis of physical, documentary, oral and other evidence, drawing on appropriate knowledge, skills and disciplines."

Figure 5: Site survey and documentation

Figure 6: Detail inspection

Addition and Alteration works:

Following the guideline from the Degree of Intervention, the additional and alteration works to the historic building will be made minimum and all reversible. The major additional work to the Main Building is the glazed pyramidal cover at the central courtyard. The structure of this cover will be totally independent of the original building with separate drainage system and foundation works so that the whole structure can be removed upon any reverse acts. the height of the cover will not exceed that of the original tiled gable roof so as to minimize impact to the original form of the building.

For other addition and alteration works such as partitioning and ceilings within the interior rooms, they will be constructed so as not to affect structural stability of the building. All painting system will be reversible and all signage will be applied so as to harmonize the style and historic appearance of the site and historic buildings.

This refers to Article 28,

"Investigation of a place which requires disturbance of the fabric, apart from that necessary to make decisions, may be appropriate provided that it is consistent with the policy for the place."

Statutory Requirement and Reporting:

As the subject site is declared a 'Monument' under the Ordinance and any building works at site are subject to control of the Ordinance, all statutory requirements will be addressed at the planning stage.

In particular, the following document and report has to be prepared and submitted to the Authority for Approval:

(i) Digital and hardcopy of survey report compiling the photographic and cartographic recordings of the Historic buildings.

(ii) Precautionary works including the structural monitoring system designed by Registered Structural Engineer to be submitted for Approval

(iii) The demarcation and recordings of historic granite stonework blocks for retaining wall along Canton Road. The detailed allocation and relocation of these blocks will be prepared.

(iv) Before demolition and removal of part of the disused tunnels within the Non-building Area, these tunnels will be excavated, exposed. A full photographic and cartographic record will be proceeded and submitted for retention.

(v) All articles of value and historic interest, antiquities and objects of geological, historical or archeological interest discovered within the site shall be delivered to Government for retention. Maximum precaution has to be taken to prevent any damage to the findings.

Historic Survey and Architectural report by Conservation Experts

?

On site Photographic and Cartographic survey and report to Authority.

Excavation and conduction of full scale survey of disused tunnels for Director of Lands

?

Architectural Plan, Conservation and alteration plan, landscape plans to be incorporated as overall site design and submitted for relevant Department for approval. Application of Permit before excavation in or adjacent the Historic Buildings.

?

Full monitoring by Structural, Geotechnical and conservation expert during construction.

Full documentation of its transformation process as part of site history

?

Management Team consists of management staff, conservation and landscape experts to monitor future development

Figure 7: Flow chart of key events for technical process of conservation

Method of Conservation:

Conservation is a complicated process. Depending on the subjects or objects to be preserved, the process may involve, in increasing extent of intervention: non-intervention, maintenance, stabilization, repair, restoration, reconstruction and adaption. The following methods are particularly applied to the conservation plan of Marine Police Headquarter Main Building and other Historic buildings:

Maintenance

A place of cultural heritage value should be maintained regularly and according to a plan, except in circumstances where it may be appropriate for places to remain without intervention. Areas of application include External façade of all historic buildings.

Stabilisation

Places of cultural heritage value should be protected from processes of decay, except where decay is appropriate to their value. Although deterioration cannot be totally prevented, the process could be slowed down by providing stabilization or support. Areas of application include Corridor at first floor and Northern Wing of Main Building.

Repair

Repair of material or of a site should be with original or similar materials. Repair of a technically higher standard than the original workmanship or materials may be justified where the life expectancy of the site or material is increased, the new material is compatible with the old and the cultural heritage value is not diminished. New material should be identifiable. Areas of application include Gas Lamp Post, Pylon, Metal and wooden handrail and rainwater hopper heads.

Restoration

Restoration should be based on respect for existing material and on the logical interpretation of all available evidence, so that the place is consistent with its earlier form and meaning. It should only be carried out if the cultural heritage value of the place is recovered or revealed by the process. Areas of application include objects of original details such as column capitals, ornate grills, all fireplaces, decorated ceiling beams and suspended ceiling grills.

Concluding Remarks

Up to date (November 2004) this project is still in progress and is expected to be completed by 2007. When completed, it is expected to show significant cultural impact and contribution to the locality as well as to the city

As quoted from Burra Charter for the final remarks,

"*Places of cultural significance enrich people's lives, often providing a deep and inspirational sense of connection to community and landscape, to the past and to lived experiences*."

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Abstract of paper

Keywords: four-fold dependent origination, entering into non-conceptuality, preparatory practices for surrendering attributes.

The practice of four-fold dependent origination for entering into non-conceptuality

Based on esoteric teachings of the Great Madhyamaka School, the explicition of the four-fold dependent origination by Nagarjuna can be traced back in "The Mulamadhyamaka-Karikas," "The Seventy Stanzas of Emptiness" and "In Praise of Dharmadhatu". A brief introduction of the structure of the four-fold dependent origination was presented by the author at the 2nd Annual Hawaii International Conference on Arts & Humanities, 2004.

Then the question is how to practice the "Four-fold dependent origination" and what the result of such practice will be. In the "Dharmadharmatavibhanga", practices based on Matreya Yogacara were expounded. The "Four Preparatory Practices for surrendering attributes" are a sequence of practices, each transcending the previous one. First, the dualistic conceptual view of characteristics are dismissed and gradually even terms and conceptions, such as emptiness, thusness, signlessness, absolute, dharmadhatu, etc., are not grasped as reality.

The result is non-conceptuality, which is the inner self-realization of the Buddha. From Chapter-one of the Lankavatara Sutra, "By tranquility is meant oneness (ekagra), and oneness gives birth to the highest samadhi, which is gained by entering into the womb of Tathagatahood, which is the realm of noble wisdom realized in one's in-most self." The inner self-realization wisdom of the Buddha will be discussed in this paper based on the "Dharani of Entering into Non-discrimination".

THE PRACTICE OF FOUR-FOLD DEPENDENT ORIGINATION FOR ENTERING INTO NON-CONCEPTUALITY

What is non-conceptuality ?

To understand non-conceptuality in Buddhism, we first look at how conceptualization is formed within the mind.

From the Exalted Dharani Named Approaching the Non conceptual,

"The bodhisattva-mahasattva hears the doctrine pertaining to nonconceptualization and, becoming mentally established in nonconceptualization, abandons all the marks of conceptualization".

In the objective world, phenomena manifest as just they are. But with a subjective mind, we just perceive phenomena as real on their appearance, whereby asserting a subject-object relationship in the perception of things. This is called duality or dualistic attachment.

The appearance or form of phenomena is associated with subsequent establishment of terms and concept, which further reinforces the apparent real appearance of phenomena. This is conceptualization in our mind.

From Mipham's Distinguishing Wisdom and Appearance,

"The traits of samsara itself, here called "phenomena," are defined as the realm of manifestation, which consists of appearances involving a duality of perceived and perceiver plus the assumption that anything appearing in such a way actually exists in that way; this is accompanied by formulation, which applies terminology."

An example quoted by Mipham is looking at a well-composed painting where a background and a foreground appear, though there is none. What is revealed can only be interpreted as a mistaken conceptual process. However, this is how the world is established from the view of ordinary people. This is our state of consciousness, as built up by conceptualization.

As mistaken conceptualization is in accordance with the state of consciousness in ordinary world, non-conceptuality is associated with the state of wisdom for Bodhisattvas and Buddhas.

The understanding of non-conceptual can be seen in the "Exalted Dharani Named Approaching the Nonconceptual",

"Why is the nonconceptual realm, known as "the nonconceptual"? It is because it is beyond all conceptualization proper to analysis, beyond all conceptualization proper to exemplifying and demonstrating, beyond all conceptualization as sensory faculties, beyond all conceptualization as an object, beyond all conceptualization as perceptual operation, and not the locus of all the obscuration to the knowable and that constitute all delusion – affliction".

"Beyond all conceptualization" is the state of wisdom. This is transcending "analysis". The foundation of view is not to be conceptualized, which is transcendence of "exemplifying and demonstrating". This means that even metaphors are taken as only mental activities on the state of consciousness. "Object" and "perceptual operation" are the basic facilities for the state of consciousness to enable the contact of internal consciousness with the external scene. From such sources, scene and consciousness, there is the arising of obscurations due to the "knowable" and the "delusion-affliction". The root of consciousness, external scene and the senses of consciousness abide by means of conceptualization. So do the two obscurations.

Thus, transcendence of the conceptualization abided by the 2 obscurations is non-conceptuality.

Now, liberation from confinement of "exemplifying and demonstrating" is the liberation from terminology or notations. Liberation from the 2 obscurations of "knowable" and "delusion-affliction" is the liberation from duality or dualistic attachments.

The root of consciousness, the external scene and the sense of consciousness belong to the state of consciousness, which corresponds to the state of wisdom. The dharmakaya (body) corresponds to the root of consciousness. The state of wisdom corresponds to consciousness. The dharmadhatu (realm) corresponds to the external scene. In the realm of non-conceptuality, the 3 divisions of body, wisdom and realm

are non-conceptual. This is the non-conceptual in the realm of non-conceptuality.

Non-conceptuality is the state of inner self realization wisdom of the Buddha, as referred to Chapter One of the Lankavatara Sutra,

"By tranquility is meant oneness (ekagra), and oneness gives birth to the highest samadhi, which is gained by entering into the womb of Tathagatahood, which is the realm of noble wisdom realized in one's in-most self."

How can one enter into non-conceptuality ?

From Maitreya's Distinguishing Phenomena and Pure Being, there are 4 attributes for conceptuality. Thus, the 4 Preparatory Practices for surrendering attributes form a sequence of practices to enter into Non-conceptuality.

From Mipham's commentary,

"The second, which treats of surrendering the attributes associated with a pretentious attitude, is also introduced by way of four points, since there are four such attributes to be surrendered, namely, the attribute of clinging to what is unfavorable, meaning such factors as desirous attachment and so on; the attribute of clinging to the remedies through which the former are relinquished, such as the idea of repulsiveness and so on; the attribute of clinging to the focal object, the suchness; as well as the attribute of clinging to the ten powers and other factors accompanying realization, such as clinging to there being someone realizing, a correct view resulting from the path, and so on."

The "attribute of clinging to what is unfavorable" is the characteristics of conceptualization from dualistic attachment.

From Dharani of Approaching the Non-conceptual,

"This [process of abandoning] starts as follows. Whatever object or subject, that is, all the marks of conceptualization with respect to self-nature, are abandoned."

As further mentioned in the Dharani, the marks or characteristics are the five appropriating aggregates of form, feeling, conceptual awareness, intentional motivation and consciousness.

Subsequently, on refutation of the dualistic attachment for "what is unfavorable", the attribute of clinging to "the remedies" needs to be refuted also.

From Dharani of Approaching the Non-conceptual,

"When he abandons in stages these marks of conceptualization with respect to self-nature [pertaining to negatively contaminated existent, the aggregates constituting psychophysical being], something other than that manifests, arising through the manner in which appear the marks of conceptualization proper to analysis concerned with the antidotes."

The remedies can be collectively understood to be the 6 paramitas : liberality, ethics and manners, patience, strenuous effort, meditative concentration and discriminating awareness (prajna).
Then subsequently, attribute clinging to "suchness" is the characteristics to be abandoned.

As mentioned in the Dharani,

"When he abandons these, something else manifests, arising through the manner in which appear the marks of conceptualization proper to analysis concerned with reality."

The terms further mentioned in the Dharani, such as, "emptiness", "thusness", "limit of the real", "marklessness", "ultimate" and "reality continuum" are the "categories of phenomena", which are different terms due to the various teachings or practices on the same state. The fundamental meaning is the pristine nature of the Buddha (Buddhatva), or nature of Tathagata.

However, if Buddhatva is grasped as a real entity, it will fall into conceptualization as conceptual characteristics which need to be abandoned.

Subsequently, the attribute of clinging to the factors accompanying "wisdom realization" has to be abandoned to actualize non-conceptual wisdom.

From the Dharani,

"When he has abandons these, something else manifests, arising through the manner in which there occurs appearance as the marks of conceptualization pertaining to the analytical concern with attainment, namely the marks of conceptualization pertaining to analytical concern with attainment of the first level up to the marks of conceptualization pertaining to analytical concern with the attainment of the tenth level, the marks of conceptualization pertaining to analytical concern with the attainment of the tenth level, the marks of conceptualization pertaining to analytical concern with the attainment of patient acceptance of the non arisen factors of reality, the marks of conceptualization pertaining to analytical concern with the attainment of a prophecy, the marks of conceptualization pertaining to analytical concern with the attainment of purified Buddha-fields, the marks of conceptualization pertaining to analytical concern with the attainment of the ripening of sentient being, and the marks of conceptualization pertaining to analytical concern with the attainment of dominion up to the marks of conceptualization pertaining to analytical concern with the attainment of omniscient."

This is what is explained by Mipham in Distinguishing Wisdom and Appearance,

"All of these conceptual patterns are unfavorable to actualizing original wisdom, and that is why it has been taught that surrendering them leads the way to the attainment of wisdom in its full purity."

The practice of dependent origination to abandon conceptuality

The Fourfold Dependent Origination of Nagarjuna can be realized at the "Middle Treatise", the "Seventy Stanzas of Emptiness" and the "Praise of Dharmadhatu". An insight can be found in the "Fourfold dependent origination profound prajna paramita" by Master Tam Shek-wing of the Nyingma Lineage. An article on "A Profound Insight into Nagarjuna's Mulamadhymaka-karika : the Interpretation of the Theory of Dependent Origination into its Fourfold Meanings" was presented by the Author in the 2004 Annual Hawaii International Conference and published in the Proceedings.

The fourfold dependent origination from teachings by Master Tam is stated as :-

1. Dependent origination in terms of Karma and Causality

This is a remedy for the ordinary beings, who grasp all appearing phenomena as real existence, with own inherent nature. In karma and causality, the cause of any phenomenon is karma. Together with the aggregation of suitable conditions, all phenomena arise.

Thus all phenomena have no inherent nature, but only the nature of dependent origination.

At this level of contemplation practise, the existence of inherent nature for all phenomena is refuted to actualize it as emptiness with no inherent nature. Simultaneously, existence from karma and causality is established.

Thus, when the characteristics of conceptualization due to the unfavourable are abandoned, the characteristics of conceptualization due to the remedy are established.

2. Dependent-origination in terms of Mutual Dependency

This is the discernment to refute the characteristics of conceptualization due to the remedy as formed by the existence of karma and causality.

Whether it is the subject or object of remedy, all characteristics of conceptuality are formed from mutual dependency of the internal consciousness and external scene.

The external scene changes according to the differences in internal consciousness. Not only there is no real inherent nature for the external scene, but even its individual characteristics is unattainable.

Then, the internal consciousness also relies on the external scene to make conceptualization, though this is the function of internal consciousness.

By such reasoning, all phenomena have no inherent nature and are conceptualized by only becoming mental activities. All mental activities are also without inherent nature to depend on external scene to establish activities of conceptualization. Thus,

mutual dependency is the nature of internal consciousness and external scene.
In this level of contemplation practice, the existence due to karma and causality is either mental activities or external characteristics and can be realized as emptiness without inherent nature, as now the established nature is mutual dependency.

On the actualization of emptiness for existence due to karma and causality is the simultaneous establishment for existence due to mutual dependency.

3. Dependent origination in terms of Relativity

This is the discernment to refute the characteristics of conceptualization due to suchness.

From the previous practice and actualization on emptiness of the remedies, the 6 paramitas, 37 aspects of awareness, 8 primary paths, etc. are without inherent nature. At such instance, the practitioner will grasp suchness as the real inherent nature, thus establishing the characteristics of conceptualization due to suchness.

However, "suchness" is also a remedy against previous practices. This can be categorized to say suchness as the state of wisdom and the 6 paramitas, etc, as the state of consciousness. This can be established as Tathagatagarbha and Alayavijnana in terms of relativity.

From the existence of relativity with Tathagatagarbha Alayavijnana, the emptiness of no inherent nature for existence due to mutual dependency is actualized.

Tathagatagarbha is the state of self inner realization wisdom for Buddha. Alaya vijnana is the state of consciousness for ordinary beings. However, the two are unseparable, as per Sri Mala Devi Sutra.

"This Dharmakaya of the Tathagata when not free from the store of defilement is referred to as the Tathagatagarbha."

Thus, all phenomena are established from relativity in Dharmadhatu. The state of wisdom and the state of consciousness form all phenomena, as nirvana and samsara, respectively.

On this level of contemplation practice, both internal consciousness and external

scene are established relative to the state of wisdom and not their mutual dependency. The existence due to mutual dependency is only the state of consciousness, not the state of wisdom. When the state of wisdom is reached, there is no establishment from mutual dependency. This is the actualization of the emptiness without inherent nature for existence due to mutual dependency.

From the same reasoning, the state of wisdom is relative to the state of consciousness. Thus, the body, wisdom and realm of the Buddha are relative to the root, consciousness and scene of the ordinary being. This is the actualization to abandon characteristics of conceptualization due to suchness.

4. Dependent origination in terms of Mutual Obstruction

The first level of secret meaning for mutual obstruction is the complete penetration of the 6 roots of consciousness.

The 6 roots are bounded by mutual obstruction, or limitation. Thus, only the eye can perceive forms and only the ear can hear sound. From contemplation practice, the obstructions can be abandoned, thus the Bodhisattva Availokitesvara can hear with his eyes.

The profound secret meaning of mutual obstruction is time and space.

Vitality is prevalent in Dharmadhatu. This vitality is the Great Compassion of Buddhas, which is the natural aspiration for Buddhas. This is also said to be the Great Bliss of all sentient beings. Thus, prevalent in all realms is Great Compassion or Great Bliss.

"All realms" here mean space-time of unlimited dimensions. The sentient and physical beings in any world are limited by the space-time of such world. This is called mutual obstruction. To be establish as being in such world, sentient or physical objects have to adapt to limitations. This is called "spontaneous accomplishment".

On this level of mutual obstruction, all phenomena spontaneously accomplish the existence due to mutual obstruction. Even the Dharmakaya of Buddha is spontaneously omnipresent. In this level of contemplation practice, the discernment is emptiness of inherent nature for existence due to relativity, as there is no

establishment from relativity. As such, all stages of Bodhisattvas abide onto their mutual obstruction, which is the state of wisdom realization on the corresponding stage of Bodhisattva.

At the 8th stage of Bodhisattva, the extremes of obstruction are abandoned. This is called "beheld the practice of profound perfection of wisdom" (prajna paramita).

This means that Bodhisattva at each stage has to abandon the mutual obstruction at the corresponding stage. This is the abandonment of characteristics of conceptualization for wisdom realization at the corresponding stage and the abandonment of characteristics of conceptualization for forceful intention to reach upper stages.

Non-refutation of the Remnant and the Middle Way

To further understand the practice of the four-fold dependent origination, the principle of "non-refutation of the Remnant" in Maitreya Yogacara has to be revealed.

From the Yogacarabhumi-sastra,

"What is called the skiful means to acquire emptiness ? The explanation is because of this, that is not existent. Thus because of that, it is correctly observed as emptiness. Again because of this, the other really exists. Thus because of the other, the existence is really known. So it is called discernment into emptiness."

Now substituting "existence from mutual dependency" and "existence from karma and causality" for "this" and "that" respectively, the aforesaid quotation becomes,

"What is called the skilful means to acquire emptiness ? The explanation is because of 'existence from mutual dependency', 'existence from karma and causality' is not existent. Thus because of 'existence from karma and causality', it is correctly observed as emptiness. Again because of 'existence from mutual dependency', 'mutual dependency' as the remnant really exists. Thus, because of 'mutual dependency' as the remnant, the existence is really known. So it is called discernment into emptiness."

So, what is the principle of contemplation practise in the fourfold dependent origination ?

On establishment of the dependent origination of a higher level, it is the simultaneous discernment into the emptiness of the dependent origination at a lower level. Thus, the sequence of practice is :

1. Establishment of "existence due to karma and causality" with simultaneous discernment into lack of inherent nature for all phenomena.

2. Establishment of "existence due to mutual dependency" with simultaneous discernment into lack of inherent nature for "existence due to karma and causality".

3. Establishment of "existence due to relativity" with simultaneous discernment into lack of inherent nature for "existence due to mutual dependency".

4. Establishment of "existence due to mutual obstruction" with simultaneous discernment into lack of inherent nature for "existence due to relativity".

In each level of contemplation practice, only when "this" is established, "that" can be directly observed as emptiness. "This" is the remnant of "that"". Thus, "this" will not be refuted as emptiness when "that" is said to be emptiness. This is the "coalescence of the ultimate and the conventional", when absolute and conventional are not on the same level.

From examination of the Four Noble Truths in Nagarjuna's Mula madhyamakakarika,

"Those who do not understand the distinctive characteristics drawn between these two truths do not understand the meaning of Buddha's profound truth."

An example of the "distinctive characteristics of the two truths" can be seen as the characteristics of dependent origination due to karma and causality as observed to be emptiness of the ultimate, and the characteristics of dependent origination due to mutual dependency as observed to be existence of the conventional.

From the Dharani,

"When he abandons in stages these marks of conceptualization with respect to self-nature, something other than that manifests, arising through the manner in which appear the marks of conceptualization proper to analysis concerned with the

antidotes".

What "manifests" is the "remnant" from abandonment of marks of conceptualization as the unfavorable. The "arising" is "through the manner" for the marks of conceptualization as the remedy.

The two truths for the ultimate and conventional, have to be established as emptiness and existence on different levels, otherwise the meaning of the Middle Way will be lost.

Thus, in Nagarjuna's "In Praise of Dharmadhatu",

"Using examples like rabbits' and oxen's horns, the Thus Gone One has proven that all phenomena are nothing other than the Middle Way."

Relative to the existence of horns for oxen, the rabbits are said to be without horns. This is the contemplation practice to actualize "existence due to relativity". "All phenomena are nothing other than the Middle Way".

To further contemplate on the non-existence of oxen's horns is another level of practice, which is on the dependent origination of mutual obstruction.

What are the signs of having entered into non-conceptuality ?

From the Dharani,

"Therefore the nonconceptual realm is known as "the nonconceptual." What, then, is that nonconceptual ? The nonconceptual is: unformed, not demonstrated, not based, not apparent, not perceptual operation, and not a locus. The bodhisattva-mahasattva, due to abiding in the nonconceptual realm, is one for whom [knowing] is not different from the knowable; through nonconceptual pristine awareness he perceives all the factors of reality in the sameness of the center of the sky. Though the awareness that obtains subsequently to that nonconceptual [pristine awareness] he sees all the factors of reality as being like magic illusions, mirages, dreams, Fata Morgana, echoes, reflection of the moon in water, and a phantom of the imagination. [Bodhisattvas, on entering the nonconceptual realm, will have:] the attainment of the vast one, the residing in great happiness, the attainment of the vast one, the great excellence of mind, the attainment of the vast ones, the fields of great

pristine awareness and wisdom, and the attainment of the vast one, the power with respect to great explication. Becoming able to carry out in all the times all forms of benefit for all sentient beings, [they will exemplify] the continuous and spontaneous actions of the Buddha."

The "unformed, not demonstrated", etc, mean the non-arising of characteristics of conceptualization in state of consciousness. In the non-conceptual realm, the non-conceptual wisdom (pristine awareness) is not different from the knowable realm. This is the non-difference with the inner self realization state of the Buddha. With this non-conceptual wisdom, all phenomena are without characteristics of conceptualization. This is the essence of non-conceptuality.

The 8 similes of delusion are metaphors in the actualization of all phenomena as manifestation of the state of wisdom as perceived in the state of consciousness. This is the vitality or Great Bliss in the state of wisdom.

As explained by Longchenpa, the 8 similes are the actualization of the fourfold dependent origination and can be compared with the 8 Negations within the Dedicatory Verses in Nagajuna's Mulamadhyamakakarika,

"Whatever is dependently arisen is
Unceasing, unborn,
Uuannihilated, not permanent,
Not coming, not going,
Without distinction, without identity,
And free from conceptual construction."

"Unceasing" is explained by "illusion". "Unborn" is explained by "dreaming". This is the refutation of the "dependent origination due to karma and causality" because cessation and arising depend on karma and causality.

"Not permanent" is explained by "echo". "Unannihilated" is explained by "reflection of the moon in water". This is the refutation of the "dependent origination due to mutual dependency" because the internal consciousness is seen as permanent and the external scene is seen as annihilated.

"Without identity" is explained by "phantoms". "Without distinction" is explained by "cloud land" (Fata Morgana). This is refutation of "dependent origination due to

relativity" because Tathagatagarbha is the identical one and state of consciousness can take distinctive forms.

"Not coming" is explained by "illusions". "Not going" is explained by "mirage". This is the refutation of "dependent origination due to mutual obstruction", as coming and going (the movement of space) is established by mutual obstruction.

With the non-conceptual wisdom, the Bodhisattva perceives all phenomena same as "the center of the sky", thus abandoning manifestation. However, simultaneously arising is the "subsequently acquired wisdom" which is the coalescence of state of wisdom and state of consciousness.

In the state of coalescence, all phenomena are observed as illusions (8 similes). As such is the actualization of the state of consciousness as the self-natural manifestation of the state of wisdom. However, the state of wisdom maintains its unchangeability and the state of consciousness retains its unseparateness with the state of wisdom.

Transcendence of the 8 negations is the transcendence of the four-fold dependent origination until non-conceptuality. This is the contemplation practice on non-conceptuality whereby the Bodhisattva abides onto "great happiness", "great excellence of mind" and "the fields of great pristine awareness and wisdom".

These, respectively, means vitality, essence of consciousness realization and essence of wisdom realization. This is the realm of non-conceptuality.

"The power with respect to great explication" arises naturally in the realm of non-conceptuality, thus giving "benefit for all sentient beings" which is "the continuous and spontaneous actions of the Buddha".

Concluding this paper with Nagarjuna's In Praise of Dharmadhatu,

"The mighty yogis and yoginis living on this place look with god-like eyes on worldly beings, inferior because of mental blindness, when suffering can frighten and distract. And having seen them, light rays from their bodies shine, without the slightest strain at all, and open up what gates there are for all, who wanders in their own confusion's dark."

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Preserving the Traditions –
Introduction to the Chinese Music Archive

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Introduction

The Chinese Music Archive was established in 1972. It is a unit under the Music Department of the Chinese University of Hong Kong. It can be said that it is the only institution in Hong Kong specialized in collecting and preserving Chinese music heritage. Through the past decades, the Chinese Music Archive has become one of the most significant archives of Chinese music in the world.

The Archive has been a closed system only opened to teaching staff and students in the Music Department. However, since the mid of 2002, the Archive has opened for public access by telephone booking. As the Archive's valuable collections have been continuously accumulating, its cultural significance has made it qualified to be a resources centre facing the public thus our collections can be well utilized to contribute to the society.

Mission and Vision

The Chinese Music Archive aims at collecting, preserving and documenting

Chinese music heritage. On academic level, it facilitates research and teaching. On public level, it helps to promote traditional music by presenting exhibitions, seminars and acting as an information centre for orchestras, performing groups, arts administrators, mass media and publishers for their data collection and research.

Our Prominent Collections

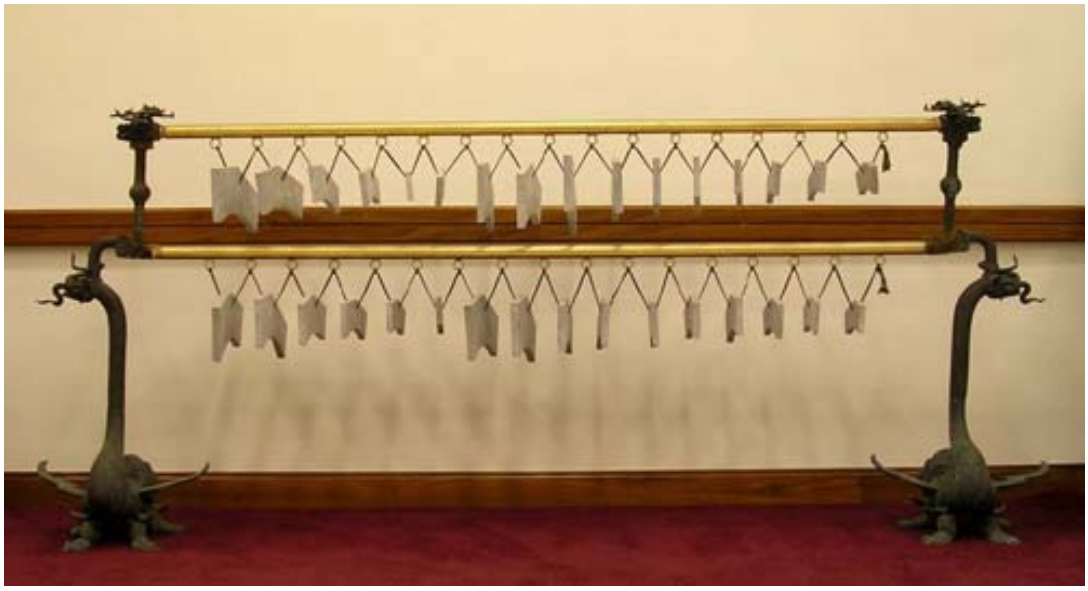
During the past 32 years, the Archive has been very fortunate to have acquired various significant collections, which made our present holdings unique and outstanding from the perspective of Hong Kong music culture and history and Chinese music in general. The more significant special collections are:

1. The Ran-Bai Collections: Ms. Ran Jian Hui and Ms. Bai Xue Xian are two very famous and prominent artists of Cantonese Opera. Cantonese Opera is one of the regional Chinese operas, popular in the southern part of China, like Guangzhou, Hong Kong and Macau. Ms. Bai Xue Xian donated a large amount of original manuscripts, libretti, house programs, books, stage photos and records to the Music Department and these have become important research information of Cantonese Opera.

2. Special Chinese musical instruments: Besides common Chinese musical instruments, the Archive has to manage many special kinds of musical instruments. For example, a replica of a bell-chimes (*bianzhong*) and a stone-chime *(bianqian*), in which the originals were owned by a noble (named *Zeng Hou Yi*) during the Spring-Autumn Period (B.C.770 – B.C.476), some replicas of musical instruments in Tang Dynasty (618-907A.D.), in which the originals are now stored in Shosoin, Japan. Also, the Archive has to manage some hand-made musical instruments which were specially made for and donated to the Music Department, such as a coco-nut shell bowed fiddle (*ye hu*).

Picture 1: Bell-chimes (*bianzhong*)

Picture 2: Stone-chime *(bianqian)*



3. The Archive has the whole collection of 78rpm records and open-reel tapes from a past radio station in Hong Kong, “the Rediffusion Hong Kong”. This radio station was closed in 1970s and many of its valuable recordings were then transferred to our Archive and became our “opening collection”. Most of these recordings were made before the Second World War. Our oldest 78rpm record is the one produced in 1903, by famous record manufacturer, Victor.

4. Collections of Mandarin popular songs during 1930s to 1960s: Mandarin popular songs during 1930s to 1960s formulate a special and independent musical genre. It is a mixture of Chinese traditional operas, folk songs, narrative music and the western pop music and is characterized by its beautiful melody and style. It was

a sign of fashion in 1930s in Shanghai. Its foundation moved from Shanghai to Hong Kong in 1950s and developed mutually with the Hong Kong movie industry. The Archive manages over two thousands items of records, CDs, books and photos (some with singers' autographs) of this kind of music.

5. Collection of blind *nanyin* singer Du Huan's recording: *Nanyin* is a kind of narrative singing in southern part of China (both in Guangdong and Fujian, but in different styles). During 1970s, a famous *nanyin* artist in Hong Kong, named *Du Huan*, frequently sang in a restaurant to make his living. A scholar recorded his singing in 28 rolls of open-reel tapes. Now these master tapes are stored in the Chinese Music Archive and have been converted to audio CD. Also, an 8mm video tape has recorded his singing and it has been converted to VCD.

Picture 3: Other manuscripts and music scores

Statistics of Our Collections

Books and scores	6,055
Journals	95
Records	11,429
CDs	1,384
Open-reel tapes	3,343
Cassette tapes	2,041
Micro-films	31
Video tapes	590
VCDs and LDs	125
Musical instruments	350
Concert house programmes/leaflets	700

Audiovisual Digitalization

Digitalization is just one of the Archive's core duties in the work of preservation. It is a mean of making digital copies for analog materials, has become the main trend of preserving audiovisual materials. Digitalizing the audiovisual materials in the Chinese Music Archive can help to: (1) preventing obsolescence of analog technology, (2) preservation of materials against temperature, humidity and fungus attack and (3) faster and easier retrieval.

Storage Formats

Audiovisual materials in the Archive are converted to digital hardcopies such as CDs and DVDs, rather than computer files stored on a harddisk. This is because: (1)

Data from these formats can be retrieved even without computers; (2) The audiovisual items are mostly used inside the archive and sometimes carried to the classrooms within Music Department. CDs and DVDs can be easily carried to different locations, such as in a classroom environment for teaching and demonstration.

Specifications of Audio Digitalization

Storage format: CD-R
Sample rate: 44.1k Hz
Channels: Stereo
Resolution: 16bit
Product: audio compact disc

Specifications of Video Digitalization

Storage format: DVD-R
Colour system: PAL / NTSC (depending on the system of sources)
Product: DVD video

Progress

Audiovisual digitalization has been started in the Chinese Music Archive since 1999. The collections which need to be digitalized are 78rpm records (about 8,000), audio cassette tapes (2,041), open-reel tapes (3,343) and video cassette tapes (VHS) (590).

Up to September 2004, 2,105 78rpm records and 620 cassette tapes have been converted to audio CD and a miscellaneous number of VHS have been converted to

DVD video. Clear progress is recorded.

Conclusion

The Chinese Music Archive strives for being acknowledged locally, nationally and internationally as a comprehensive Chinese music resources centre. Situated in Hong Kong, we have wider global eye-scope compared with other similar institutions in Chinese people society, which help us to serve musicians, students, scholars and interest parties in all kinds of disciplines around the world. The Archive tries its best to maintain professional level in both preservation and management. Overseas enquiries for advices and consultations are frequently received and welcomed.

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Title

"Anodyne Fictions of Antarctica Explored in Beryl Bainbridge's *The Birthday Boys"*

Topic Area

Literature (Travel; Nature; Narrative of Exploration; Postmodern British Novel; Historical Fiction)

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Abstract

"Anodyne Fictions of Antarctica Explored in Beryl Bainbridge's *The Birthday Boys"*

> "*I can only suppose that it's in man's nature, and mine in particular, to bury regrets and make the best of things once a decision has been made.*" (Dr. Edward Wilson)[1]

As forms of exploration reached greater scientific sophistication in the late twentieth century, narrative literature about explorations correspondingly increased in complexity and expression. Robert Foulk writes in *The Sea Voyage Narrative* that, "We embark on voyages not only to get somewhere but also to accomplish something and, in Western culture, often to discover more about the ways human beings can expect to fare in the world."[2] At the turn of the twentieth century, exploration of Antarctic regions would have been comparable to space exploration later that century. Land and regions unexplored and unknown tested the limits of human knowledge and compelled explorers to examine the mode and rationale for such knowledge. Exploration as one agency of knowledge justified the sometimes reckless means of getting to someplace new. Antarctica as one destination of sea voyages also anticipates the quest invoked by Foulk, that humans instinctively desire to fill their imaginations with "exploring the unknown, whether it be discovering strange new lands, finding out the truth about ourselves, or searching for more perfect worlds we call utopia."[3]

Indeed, such searches may entail reevaluating the manner by which such truths—or fictive truths—emerge in published accounts, as they fill narratives with their daring exploits.

If the published accounts of Antarctic exploration in the early part of the century were to remain extant and have continued meaning, so that subsequent generations of readers or explorers could sustain their scientific or humanitarian significance, a new form of literature had to emerge. If Antarctica was no longer the land left to be conquered, it could be the land as a subject of interpretation. If the embellished narratives by the male explorers themselves focused on masculine aspects such as heroism and the men's capability for disarming nature at her most inhabitable region, perhaps a kind of polar opposite of such narratives might balance the extreme emphasis on the mastery of conquest. One way to delineate such plausible texts might be to consider the female voices of Antarctica literature. Barred from leading scientific expeditions of their own in the early 20th century, women could cheer from the sidelines, rewrite the accounts upon hearing the returned explorer's story, or speculate upon such topics in decidedly imaginative forms such as the short story or novel. As women's presence increased in journalism, history, and literature, so too did their interest in subjects once in the province of men and male authors.

But, in order to proffer their own versions of Antarctica, women writers might resort to presenting these in the form of a fiction, since they had not themselves the means or purpose to set foot on the desolate continent.[4] Their accounts would not fit the biographical genre instituted by men, who offered records of their heroic achievements in order to engrave these in the public's imagination. Women's exclusion from Antarctic exploration, however, did not hinder their imaginative nor interpretive powers to consider these subjects. They extracted rich meaning from the same metaphors that moved male explorers: the possibilities of the blank, white spaces signified by the cold and dessicated continent, or the speculations derived from unknown physical terrain and its inhabitants of shore and land. From these subjects, their own powers of telling a story and presenting a meaning stemmed, but their exclusion from providing a journalistic record encouraged their exploration in fictional literature.

Why resuscitate knowledge of a key Antarctic expedition in the twenty-first century? What might the story about Sir Robert Falcon Scott and the subsequent interpretations teach readers of history and fiction?[5] What benefits might an author such as Beryl Bainbridge gain by polarizing anodyne fictions of Scott in Antarctica? How might inclusion of female presence in such fictions balance the perspectives of explorers and their historians? These queries return us to the implications of sea voyage narratives, particularly those of the twentieth century, and especially those that occurred in Antarctica at the beginning of that century. If the voyages to Antarctica were thought to incur objective knowledge for the nation and self knowledge for the individual, Bainbridge's fiction might cast light on how these two kinds of knowledge converge in her compelling account of the consciousness of the five explorers in Scott's last expedition.

Bainbridge's postmodern text, a novelization of Scott's fatal 1911 *Terra Nova* expedition, employs innovative narrative devices valuable for analyzing national purpose, historical commemoration, and individual ability to revise and restore an acceptable life history. In accord with presenting a palatable version of events, one that favors neither of the two extreme interpretations of Scott regarding polar exploration and imperial conquest,

Bainbridge provokes her readers to examine these issues through the unique form of fiction itself. If any given version of any event can never be absolutely whole or truthful, what is the point of offering another sliver of the story? In so doing, can fictional accounts merge with actual historical ones to become one unique version of truth about exploration?

By offering just such slivers and fragments in her segmented novel, Bainbridge employs the very fictional devices that she claims muddies historical accounts of Scott. By using a multi-voiced, multi-faceted point of view narration in an unabashed work *of fiction*—indeed, by exploiting, even subverting their possibilities for truth-telling—Bainbridge achieves a remarkable portrait of Scott that balances some of the extant accounts of the *Terra Nova* expedition. She focuses on an actual historical person, whose reputation is admittedly inflated then deflated according to the winds of national favor, who suffered the limits both of his sense of humanity, courage, and fear in the face of inviolate nature. Thus, she develops the physical events unfolding not in time alone, but she embeds the men's experience of them in congruence with their emotional states as well. She further questions the hagiographic elements of some prior accounts, but she does not diminish the importance of these so much as she accounts for the heroic worship aspects as accomplices to the denunciatory ones. Literally, she enfolds the multiple perspectives and casts her characters as complex, rather than simplistic or even noble. In these narrative acts, she achieves a rich portrait of each man's humanity against a necessary humility.

Endnotes

[1] Beryl Bainbridge, *The Birthday Boys* (Carroll & Graff, 1991), 51.
[2] Robert Foulk, *The Sea Voyage Narrative* (New York: Routledge, 2002), 10.
[3] Ibid, 10.
[4] One of these stories is Ursula K. Le Guin's "Sur," about a group of Peruvian women who embark on a secret voyage to Antarctica. Their attainment of the South Pole is never revealed. I briefly discuss this story in my essay.
[5] I highlight Scott's expedition in this essay, which forms a chapter of my book on early 20th century fictional and non-fictional narratives about British exploration to the Arctic and Antarctic. In this 1911-13 expedition, Scott and the four men that he selected for the final assault to the South Pole all perish on the return journey. I provide historical details in my essay, in order to examine how Bainbridge presents this remarkable event in her novel. Particularly, in a new historicist way, she expresses the different ways that Scott has been revered and vilified.

1. **Title of the submission:**

   "Creativity Regained: A New Reading of Christina Rossetti's Poetry"

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6. **Abstract of paper:**

"Goblin Market" is often considered as a poem rich in religious meanings. This paper discusses that Rossetti, instead of borrowing from the Bible in a straightforward manner, aestheticizes the religious context so as to reinforce the intensity of the psychological struggles of the characters and to demonstrate the richness and complexity of a piece of literary writing that is tapped into a Biblical and mythic labyrinth. This paper also investigates certain Biblical issues that act together as a palimpsest for "Goblin Market." Since there is power in words and confession, storytelling or literary creation in this poem is a redemptive act of thanksgiving and creative energy, which is seen in a closed ending implying a possible coherent re-reading of the Biblical principles through which Rossetti gained her voice and understanding as an individual and a poet.

"Creativity Regained: A New Reading of Christina Rossetti's Poetry"

Though Christina Rossetti (1830-1894) insisted that her poem "Goblin Market" be read as a fairy tale, the poem has invited diverse psychoanalytical, feminist, allegorical, Freudian and socio-cultural readings since its publication in 1862.[1] In this poem, the Victorian themes are set against one another in a dialectic manner. Rossetti uses this method to highlight and reflect the Victorianism in her on the one hand and to subvert it on the other hand. Through the success of "Goblin Market," June Cummins sees how Rossetti helped to promote "women's literature and children's literature [that] would burgeon in the twentieth century" (94). Cora Kaplan explains that "it signals women's difficulty in speaking their psychological conflicts through its rational discourse" (78). Therefore, the use of a fantastical and supernatural context reveals women writers' dilemma in negotiating in realistic and intellectual ways. This is particularly true of Rossetti because she often lived under the shadow of her brothers, one of whom was the pillar of the Pre-Raphaelite Movement, Dante Gabriel Rossetti (1828-1882), who, with William M. Rossetti (1829-1919), acted as her critics. Therefore, their opinions were foremost and immediate to her and represented their male preferences (Garlick 135).[2] Nevertheless, Victorian readers'

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[1] For more biographical information, critical and historical accounts about the Rossettis and the Victorian Age, see, for example, *The Culture of Christina Rossetti: Female Poetics and Victorian Contexts*, ed. Mary Arseneau, Antony H. Harrison, and Lorraine Janzen Kooistra (Athens: Ohio UP, 1999); Kathleen Jones, *Learning not to be First: The Life of Christina Rossetti* (Gloucestershire: Windrush, 1991); *The Pre-Raphaelites: Writings and Sources*, ed. Inga Bryden, 4 vols. (London: Routledge, 1998); Andrea Rose, *The Pre-Raphaelites* (Oxford: Phanton, 1981); and Christopher Wood, *Victorian Panorama: Paintings of Victorian Life* (London: Faber and Faber, 1976).

[2] Consult also *Re-framing the Pre-Raphaelites: Historical and Theoretical Essays*, ed. Ellen Harding (Aldershot: Scolar, 1996); and *Maude / Christina Rossetti. On Sisterhoods; A*

understanding of her was in some ways dependent on them, especially William who "played a pivotal role as editor, memorialist, and arbiter" (Peattie 71).

The passion in "Goblin Market" and its various interpretations often make readers wonder how paradoxical and multi-layered a seemingly simple poem can be. Of all the readings, the poem is also considered as one rich in religious meanings. Instead of borrowing from the Bible in a straightforward manner, the poet aestheticizes the religious context so as to reinforce the intensity of psychological struggles and to demonstrate the richness and complexity of a piece of literary writing that is tapped into a Biblical and mythic labyrinth. Rossetti seemed to say that to enter her heart, readers would need to go through a maze that comprised various figurative purposes and the Biblical basis which was the destination. In this paper, I propose to look at certain Biblical issues that act together as a palimpsest for "Goblin Market," which can hopefully contribute to a new reading of the poem. When a text is recognized as a palimpsest, it is essential to understand how it impinges on other writings. Palimpsest, in classical scholarship, denotes "a papyrus or parchment manuscript from which, mainly for reasons of economy, the original writing has been effaced to make room for a new text. Through this procedure, which could of course be repeated several times, the original text occasionally came to light again" (Uhlig 483). Palingenesis is a Greek word meaning rebirth or resurrection (Uhlig 483).[3] To follow Claus Uhlig's idea of the first text as a palimpsest for other writers, I shall discuss how Biblical principles are like invisible pillars that explain the passion, fervour and spirit in the poem. This concept also

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Woman's Thoughts about Women / Dinah Mulock Craik, ed. Elaine Showalter (London: W. Pickering, 1993).

[3] Besides referring to Uhlig's idea of a first text that underlies other texts, the present author is also inspired by Anthony Harrison's way of using a more historicist approach to analyze some Victorian poems. See his *Victorian Poets and Romantic Poems: Intertextuality and Ideology* (Charlottesville: UP of Virginia, 1990).

goes with June Cummins' idea of "intertextuality [which] encompasses the very notion of textual production," in her study of Rossetti's "Goblin Market" (87). Although the poem is generally considered as a Christian allegory, the specific basis of spiritual lessons needs noting so that the borrowing of Christian meanings and symbols has the effect of leading us back to the foundational text. Even if traces of Christian allusions in the characterization and the plot are detectable, the embedded layer needs more discovering. Rossetti also challenges and cautions readers by presenting a theme of counterfeit—what can be seen is temporal, deceiving and is subject to change.

However, I would like to start with a mythic way of looking at the poem, which foregrounds the poet's conception of self under various social contracts and also her tactics to assert her individuality amidst the communities of men. Winston Weathers considers "Goblin Market" as a "prototypal poem in Christina's myth of the self" (82). Specifically, Weathers refers to "Nietzschean terms as Apollonian and Dionysian," that help us understand better the themes of the poem (83).[4] This interpretation sets the stage for readers to comprehend the essential struggles between Lizzie and Laura, and between Lizzie and the goblins. The Nietzschean duality is interwoven with Rossetti's Victorian perception so that the literary and cultural climate of the Victorian Age may be examined critically. For a coherent and complete explanation of the meaning and outcome of where the destinies of the two sisters are concerned, I then propose a Biblical reading. The mythic reading, as paganistic as it sounds, is like a passage leading to a supernatural revelation which can in turn cover where the myth may fall short.

The Nietzschean interpretation is appropriately related to the idea of creativity, which

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[4] The present author is also inspired by the way Clifton Snider refers to the Nietzschean ideas in Weathers' article. See Clifton Snider, "'There is No Friend like a Sister': Psychic Integration in Christina Rossetti's *Goblin Market*," California State U, Long Beach, 30 March 2004, <http://www.csulb.edu/~csnider/c.rossetti.html>.

requires a cost and is one of the themes in "Goblin Market." In Greek mythology, Apollo is the sun god and Dionysus the wine god. They represent two different art impulses: Apollo is the man of culture, normality; Dionysus, the archetypal man of instincts, nature herself.[5] The Dionysian state defies and challenges the social laws and morality in a series of ecstasies, an "intoxicated reality, which likewise does not heed the single unit, even seeks to destroy individual and redeem him by a mystic feeling of oneness" (Nietzsche 38). It aspires to release the primordial being in every human being by disintegrating the self and then restructuring a whole new self. This is an apocalyptic death: the dying of divided states (Apollinian/Dionysian) paradoxically necessitates the fusion of conflicting impulses into a complete being. Dissolution has to come before restoration. The Apollinian is also the collective consciousness which comprises traditions, customs and any contracts set by a society. The Dionysian is the individual consciousness which embodies "highest and most intense emotions, wisdom from the very heart of nature," (Nietzsche 61) but "Apollo wants to grant repose to individual beings precisely by drawing boundaries between them and by again and again calling these to mind as the most sacred laws of the world" (Nietzsche 72). The role of Apollo is to scrutinize and keep check of any illicit desires or impulses which will pose threat to the prescribed social contracts.[6] In addition, this dichotomy implies the disparity between macro-values of society and micro-values of self, and that between form/structure and feeling/emotion.

The Dionysian frenzy is seen as a protest and struggle of an individual, who lets his

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[5] For the differences between Apollo and Dionysus, see Friedrich Nietzsche, *The Birth of Tragedy and The Case of Wagner*, trans. Walter Kaufmann (New York: Vintage, 1967) 33-38.

[6] This is similar to the well-known three aspects proposed by Sigmund Freud—superego who represents the higher law, id that is of pleasure and sensuality, and ego that stands in between. For more information, see Sigmund Freud, "The Ego and the Id," *The Essentials of Psycho-Analysis*, trans. James Strachey (London: Hogarth, 1986) 439-483.

deeply-embedded desire run its full course, against socio-political tyranny or any personal or cultural restraints. Applying this understanding to the narrative level of the poem, readers note that two communities of different orientations are created in "Goblin Market"—the community of sisters, Lizzie and Laura, who are to uphold the traditional and Apollinian ways and the community of brothers, who represent the tempting Dionysian pleasures. The goblins are "brother with queer brother / Signalling each other / Brother with sly brother" (Rossetti 7).[7] While these lines show the goblins' mischievous and mysterious nature, the mirror image that shows the youthful beauty, simplicity and innocence in Lizzie and Laura is shown as a contrast:

> Golden head by golden head,
> Like two pigeons in one nest
> Folded in each other's wings,
> Cheek to cheek and breast to breast
> Locked together in one nest. (Rossetti 10)

The theme of sisterhood is one of the common themes in paintings and literature of the Victorian Age, especially in Pre-Raphaelite paintings. This duality reveals that home, the female's proper domain, does not mix with the market, a male proper (Campbell 403). Victorians often considered home as a refuge from the commercial and industrialized world.[8] In fact, "for Victorian England, the domain of the home represented purity and virtue; its

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[7] All quotations from Christina Rossetti's poems are from *Christina Rossetti: The Complete Poems*, text by R. W. Crump; notes and introduction by Betty S. Flowers (London: Penguin, 2001); hereafter cited within the paper by the page numbers.

[8] For more information on city, home, space and individuality in nineteenth and twentieth centuries, see *The Feminist Reader: Essays in Gender and the Politics of Literary Criticism*, ed. Catherine Belsey and Jane Moore (Hong Kong: Macmillan, 1989); and *Postmodern Cities and Spaces*, ed. Sophie Watson and Katherine Gibson (Oxford: Blackwell, 1995).

symbol was the cage" (Shefer 57). Elaine Shefer in her study shows that in the West there was an artistic tradition that associated women with birds in cage.[9] By extending this metaphor from a cage to a nest, the poem engages in the vulnerability of women and feminine shelter. If the nest is a sanitized version of a cage or a prison, hidden threats and consequences are foreshadowed and even aestheticized in a paradoxical way. Lizzie and Laura are diligent and self-sufficient, living in a "domestic haven," which is not just a poetic and protective shelter for the two girls, but also a reflection of a Victorian ideal (Holt 53). This domesticated domain and the goblin market are mutually exclusive as they are operated on diverse systems (Holt 52-53), the differences of which are heightened in a dialectic approach as aforementioned. This contributes to one façade of the Apollinian contract—the economy and the laws are dominated by men, the goblin merchants. Moreover, in this irreconcilable state of sisters opposing brothers, another Victorian trope shown here is the juxtaposition of female figures alongside beasts.[10] This is not just a usual element of fairy tales in which people are cast in a supernatural setting but also one of the elements in "female Gothic," a popular genre among women writers such as Mary Shelley (1797-1851), Elizabeth Gaskell (1810-1865) and Ann Radcliffe (1764-1823) who expressed their marginalization and protested against social tyranny imposed upon women (Moers 105 and Kaplan 68).[11]

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[9] See her book, *Birds, Cages and Women in Victorian and Pre-Raphaelite Art* (New York: Peter Lang, 1990).

[10] For the discussion about this theme, see Ellen Moers, *Literary Women* (London: W. H. Allen, 1977). See also Barbara Garlick, "Christina Rossetti and the Gender Politics of Fantasy," *The Victorian Fantasists: Essays on Culture, Society and Belief in the Mythopoeic Fiction of the Victorian Age*, ed. Kath Filmer (Hong Kong: Macmillan, 1991) 133-152.

[11] For more information on the relationship between gender studies and gothic literature, consult Diana Basham, *The Trial of Women: Feminism and the Occult Sciences in Victorian Literature and Society* (Hong Kong: Macmillan, 1992); and *Victorian Gothic: Literary and*

Behind the pure and innocent nest, there lurks danger and seduction which is posed by the goblins who are always ready to tempt the girls to buy their fruits. The goblins claim that their exotic fruits are "sweet to tongue and sound to eye" (Rossetti 6) and "men sell not such in any town" (Rossetti 7). If readers look at this from the standpoint of a Christian allegory, as some critics have done so, the goblins, like the serpent in the Fall story, appeal to the human sensuous desires. "The authors [Christina Rossetti and Beatrice Potter] not only reflect but revise the biblical story," writes June Cummins, "[and] these authors' most well-known works are both deeply imbued with the story of Adam and Eve" (80). In a theological rendition, the fruits appeal to "the lust of the flesh, and the lust of the eyes, and the pride of life" (1 John 2:16, KJV). The goblins keep crying out to the young women: "Morning and evening / Maids heard the goblins cry: / 'Come buy our orchard fruits / Come buy, come buy'" (Rossetti 5). There is a sense of urgency in their cry, "come buy, come buy," which is repeated several times in the poem. The connotation of this verse points to destruction—the goblins invite the young women to step out of their domain (come) and it is costly because they have to pay (buy). The women overstep the boundaries of the female arena and do so at their own expense. Readers may notice that "come buy" rhymes conveniently with "come die," which foreshadows a disastrous ending when the fruit is eaten. In fact, the basis of their cry can be regarded as a secular version of Isaiah 55:1-2 (KJV) that read as follows:

> Ho, every one that thirsteth, come ye to the waters, and he that hath no money; come ye, buy, and eat; yea, come, buy wine and milk without money and without price. Wherefore do ye spend money for that which is not bread? And your labour for that which satisfieth not? Hearken diligently unto me, and eat ye that

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Cultural Manifestations in the Nineteenth Century, ed. Ruth Robbins and Julian Wolfreys (New York: Palgrave, 2000).

which is good, and let your soul delight itself in fatness.

What the goblins want is the complete opposite in these verses as those who have eaten their fruit deteriorate fast. The goblins counterfeit what is good: death for life, shame for dignity, and agony for peace. Though they do not ask for money for the fruit, their intention is demonic and demands a higher price than any monetary gain. They are like Mephastophilis who wants to have Faust's soul as the price for temporary pleasure. Because of the evil nature of the goblins, the fruit will do harm to the soul. Therefore Lizzie needs to save Laura who is a twin self. Rescuing Laura is like saving herself, or else, her soul has to suffer. Counterfeit, as mentioned, is a theme in this poem through which the poet alerts readers to the importance of having spiritual and moral discernment and to a heightened sense of spiritual reality that is of a higher value than what the goblins demand.

If the goblins are so clear of their gender-specific domain, why do they keep enticing the young women? Do the goblins enjoy such conquest and exploitation of them? This somehow reflects a Victorian phenomenon. Sexuality was regarded as a taboo in the Victorian Age but paradoxically it was promoted through fantasy literature and pornography.[12] Feminine beauty is highly celebrated in Victorian paintings and the Pre-Raphaelite paintings are no exception. In those paintings, female models are seen striking by their beauty but their individuality is mostly nullified.[13] The well-known yet

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[12] For more information on this subject, see Bram Dijkstra, *Idols of Perversity: Fantasies of Feminine Evil in Fin-de-Siècle Culture* (New York: Oxford UP, 1986); and Stephen Prickett, *Victorian Fantasy* (Indiana: Indiana UP, 1979).

[13] For more discussion about the Pre-Raphaelite artists, their models and the gendered politics, consult also Rachel Barnes, *The Pre-Raphaelites and Their World* (London: Tate Gallery, 1998); Tim Barringer, *Reading the Pre-Raphaelites* (New Haven: Yale UP, 1999); J.B. Bullen, *The Pre-Raphaelite Body: Fear and Desire in Painting, Poetry, and Criticism* (Oxford: Clarendon, 1998); Susan Casteras, *English Pre-Raphaelitism and Its Reception in America in the Nineteenth Century* (New Jersey: Associated UP, 1990); Jan Marsh,

miserable model Elizabeth Siddal (1829-1862) is a case in point and is "often depicted as the possessed object of the male gaze so devastatingly critiqued by Christina Rossetti's 'In an Artist's Studio'" (Latham 17). "The female body is demystified, but is at the same time specifically associated with the Other—of faery, of allegory," writes Barbara Garlick, "[and therefore] individuality is negated by fixing the feminine with a particular frame of reference" (138). For that reason, the way women think about themselves is dependent on how they are represented by other parties. Instead of being the subject, the woman or the model is only an object of the artist's desire and her sense of worth, uniqueness, and personality are thus suppressed by the artist's imagination.[14]

Rossetti, through Lizzie, expresses her Victorian modesty with needfulness of the normal and religious contracts which in turn contribute to the Apollinian consciousness in the poem. The poet's life was often characterised by her devotion to her Christian belief and her asceticism which was a mark of religious humility. This went well with the Victorian idea of womanhood—humble, timid and reserved. Lizzie, conscious of female propriety, is well aware of any possible temptation and thus always urges Laura to be careful: "you should not peep at goblin man" (Rossetti 6). Laura, another side of Rossetti's self, craves for the forbidden desires but fails to resist the temptation to look at the goblins and taste their

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Pre-Raphaelite Women: Images of Femininity in Pre-Raphaelite Art (London: Phoenix Illustrated, 1998); and Lynne Pearce, *Woman-Image-Text: Readings in Pre-Raphaelite Art and Literature* (New York: Harvester Wheatsheaf, 1991).

[14] For the interpretations of female figures in Pre-Raphaelite paintings, see, for example, Elaine Shefer, *Birds, Cages and Women in Victorian and Pre-Raphaelite Art* (New York: Peter Lang, 1990); Lothar Honnighausen, *The Symbolist Tradition in English Literature: A Study of Pre-Raphaelitism and Fin de Siècle*, trans. Gisela Honnighausen (New York: Cambridge UP, 1988); and Griselda Pollock, *Vision and Difference: Femininity, Feminism and Histories of Art* (New York: Routledge, 1988).

fruits—"Curious Laura chose to linger / Wondering at each merchant man" (Rossetti 7). Laura and Lizzie are the divided selves of the poet—Lizzie is the ascetic holding true to Victorian womanhood while Laura is the adventurous and non-conforming self. The poet's asceticism was reinforced by her brothers whose Pre-Raphaelite belief was to reject any socio-political activism (Stevenson 84). Margaret Mason in her article discusses that Rossetti's circle of acquaintance was known to be small but, surprisingly, it comprised some feminist activists such as the famous Florence Nightingale (1820- 1910), and Adelaide Proctor (1825-1864), one of the leading figures of ladies revolution in the 1850s.[15] Rossetti enjoyed reading Elizabeth Barret Browning (1806-1861) with Felicia Hemans (1793-1835) and Laetitia Landon (1802-1838) who were considered as "female Byrons" in her day (Jones 16). It is clear to us that Rossetti was not intellectually insulated from revolutionary concepts about women's rights and individuality. Amazingly, Rossetti's lifestyle bore no resemblance to that of any of the above radical female figures. It could be Christianity, however, that made her detached from any overt activist movement. William Rossetti also noted that religion was a strong driving force in her life (liv).

Angela Leighton remarks that "the very nature of womanhood is split by a mirror stage, mandated by man's law. Thus, the doubleness of the social order serves to match a doubleness within. The very nature of female subjectivity is founded and wrecked on this law of opposites" (123). The "doubleness" of Laura and Lizzie reflects the double standard adopted by the goblin market which penalizes sinful women (like Laura) and perpetuates social and sexual injustice by manipulating them. Readers are reminded of Guinevere's counter-accusation of such male machination. William Morris (1834-1896) begins her famous defence with this analogy: "One of these cloths is heaven, and one is hell, / Now

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[15] For more discussion about other feminist concerns in the Victorian Age, consult Margaret Mason, "Insignificant Objects of Desire," *Listener* 22 (July 1971): 105-107.

choose one cloth forever, which they be, / I will not tell you, you must somehow tell / Of your own strength and mightiness" ("The Defence of Guinevere" 81). When Guinevere chooses the blue one which appears to represent heaven, they say it is hell. She is asked to choose but is forced to bear the consequence all by herself. Her dignity and freedom are mocked and become a plaything of others. Laura decides to buy a goblin fruit after a similar innocent invitation extended by the goblins who sound "kind and full of loves / in the pleasant weather" (Rossetti 7) and whose tones are "as smooth as honey" (Rossetti 8). Like Guinevere, she is condemned for her transgression.

The goblin market, the Dionysian side, promises rare desires and delights which are prohibited and checked, as implied in another side of Laura's conscience, Lizzie. By longing for their fruits, Laura symbolically shows her desire for adventure and passion which are generally forbidden of women. There is "potential interchangeability between woman and creature," states Nina Auerbach, "[and] Laura's thirst for goblin fruit reveals her own potential to become a goblin" (65). Laura's surrender is a protest against social principle and a manifestation of her deeper yearning for more intense and instinctual release of her feelings and emotions. She is looking for fulfillment and realization, social and psychological. Her situation can in a way mirror Rossetti's struggle to be a woman and a poet in her own right. Though Rossetti sat for sketches for Dante Gabriel Rossetti and other Pre-Raphaelite painters, she was of a different model from other Pre-Raphaelite models (Codell 257). Besides sitting for some minor individual portraits, "she was a model for several important paintings which helped launch the Pre-Raphaelite Movement" (Wong 226).[16] This somehow conditioned the way people looked at her and what they expected of

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[16] For more discussion on the paintings in which Christina Rossetti modeled, consult also the present author's article, "'Weary Life, Weary Lent': The 'Lesser' Damozel in Christina Rossetti's 'The Convent Threshold'," *Hawaii International Conference on Arts and*

her. Her spirituality was taken so much as her blueprint that it overshadowed her individuality. It was a diminution of her true self, and her personal dreams and aspirations were then easily drowned. Kathleen Jones states that one of the reasons for the popularity of Rossetti as a great poet in the Victorian period was that she was always seen as a lady, which meant that she was not accused of trying to rival her male counterparts (231). In her poetry, however, we can detect a more human and amorous Rossetti—"[she] repressed it [interior violence], crushing it far down into her psyche and only occasionally does it well up into passionate, terrible poetry" (Jones 11). "Goblin Market" can be seen as one of the poems to do just that.

The disintegration of self comes in two stages, first in Laura and then in Lizzie. Laura eats a goblin fruit and experiences the Dionysian ecstasy, which intoxicates her immediately: "She sucked until her lips were sore; /. . ./ And knew not was it night or day" (Rossetti 8). Thereafter, Laura is plagued with desire: "[She] sat up in a passionate yearning, / And gnashed her teeth for bulked desire, and wept / As if her heart would break /. . ./ In sullen silence of exceeding pain. / She never caught again the goblin cry" (Rossetti 12). Rossetti does not explain why Laura cannot hear the goblins again after eating the fruit, but she seems to say that once Laura has stepped out of the female boundary, she becomes a fallen woman, a social outcast and is no longer even considered as being part of normal human community in which Lizzie is. The goblins hope to make the young women succumb to a fruit (temptation). When the temptation is effected, there is no need for the second one. David Morrill comments that Rossetti used a short story, "The Vampyre" (1819), written by her uncle John Polidori (1795-1821), as a source for her work.[17] He sees "suck" as the central

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[17] See his article, "'Twilight is not good for Maidens': Uncle Polidori and the

word in a vampire myth in which vampires constantly seek the blood of women (5). Similarly, to Ellen Moers, "suck" is the key word in the poem, which implies lust, pain and sexuality (102). Laura, when seen in this context, once victimized, is no longer tasteful and desirable to the goblins. Therefore, she languishes in vain for another goblin fruit.

Laura plants a kernel stone of the goblin fruit she has eaten but it never grows: "[Laura] dewed it with tears, hoped for a root, / Watched for a waxing shoot, / But there came none" (Rossetti 12). Fruitlessness was a social insult and disgrace to women in Victorian days when motherhood was considered as a calling and mission for women (Campbell 406). Laura is deprived of energy and burns all the more with a gnawing desire to taste the fruit again. The curse of eating the fruit is expressed outwardly by her physical deterioration: "Her hair grew thin and gray; / She dwindled, as the fair full moon doth turn / To swift decay and burn / Her fire away" (Rossetti 12). Lizzie observes her gradual collapse and remembers another young woman who was enticed by the goblins: "She thought of Jeanie in her grave, / Who should have been a bride; / But who for joys brides hope to have / Felt sick and died / In her gay prime" (Rossetti 13). To the understanding of Lizzie, Laura's premature death is impending and prevents her from living to the feminine maturity of being a wife and mother.

Laura's gradual decline is the progressive rise of Lizzie. In a Dionysian rendering, Laura has plunged into the abyss of her primordial being of desires and is left a troubled and suffered being. Lizzie witnesses her sister's deterioration, and as her counterpart, she is also witnessing in Laura her own possible decline (Campbell 406).[18] Lizzie's determination to save Laura paves the way for her searching for the goblins: "[she] for the first time in her life

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Psychodynamics of Vampiricism in *Goblin Market*," *Victorian Poetry* 28 (Spring 1990): 1-16.

[18] For more information on ageing, gender and deterioration, see also *Memory and Desire: Aging—Literature—Psychoanalysis*, ed. Kathleen Woodward and Murray M. Schwartz (Indiana: Indiana UP, 1986).

/ Began to listen and look" (Rossetti 13). The more ascetic she is, the more intense the confrontation will be. In other words, the stark contrast between the two impulses, the Apollinian and the Dionysian, will spark off a very dramatic rendezvous.

The goblins are annoyed at Lizzie's refusal to eat the fruit and begin to attack her: "They trod and hustled her, / Elbowed and jostled her, / Clawed with their nails, /. . ./ held her hands and squeezed their fruits / Against her mouth to make her eat" (Rossetti 15). Their attack does not intimidate or destroy Lizzie who is much more emboldened not to yield to them. Readers witness a transfiguration in Lizzie from a delicate and fragile woman to a tower of strength. "White and golden Lizzie stood," writes Rossetti, "like a royal virgin town / Topped with gilded dome and spire" (16). She does not fight back militantly but resists with her adamant silence: "Lizzie uttered not a word" (Rossetti 16). Showing unprecedented heroic strength in her refusal, Lizzie is wounded yet wins finally as the goblins are "worn out by her resistance" (Rossetti 16) and have to disappear. Psychologically, this is a catharsis for Lizzie, when she comes vis-à-vis her deepest primal being, represented by the goblins. The physical assault does not weaken her but paradoxically magnifies her self. The nightmarish encounter purges her of the fear of the goblin men, the male authority. The Apollinian world's macro-values are established by the rules made and maintained by men. These rules are internalized in Lizzie who further strengthens their content by her own micro-values (which are Christian by nature according to Rossetti). The goblins are both the Apollinian and the Dionysian and, as such, are Janus-faced. That is why there are two sides to their market values—they look fair but are destructive to women. Such a double identity is also the double standard in society. Moreover, Lizzie's encounter with the goblins has an inward implication—this is a personal encounter in the sense that she, as well as the poet, has to come to grips with her internal doubleness, not just the impulsive and nervous self but her puritanical self too.

That the goblins just "vanished in the distance" (Rossetti 16) encourage readers to rethink a

possible gap in a pure mythic reading which can then be sufficed by a Biblical interpretation that clarifies the nature of the ordeal faced by Lizzie. I therefore propose to refer to the well-known love letters in "Song of Solomon" in which love is celebrated, so as to understand a deeper yet hidden meaning Rossetti could have had in mind. The woman in "Song of Solomon," who has heard the call of her lover but missed him, goes out in the streets at night to find him. As it is understood that problematic women usually appear at night, the watchmen take that woman for one and chastise her through physical attack. Song of Solomon 5:7 reads, "The watchmen that went about the city found me [the woman], they smote me, they wounded me; the keepers of the walls took away my veil from me" (KJV). Lizzie's willingness to look for the goblins is already a taboo, though motivated by love. The attack she suffers is similar to that suffered by the woman. This Biblical subtext could well be the palimpsest on which the poet presented that it was one's responsibility to respond to love which should require a cost and that the trial could be a refiner's fire and by implication a tribulation.

Why is a young woman able to stand the goblins' horrendous attack? Why don't the goblins accept the coin from Lizzie? The verses in Song of Solomon 8:6-7 can further help readers understand love being the motivation for victory: "for love is strong as death; jealousy is cruel as the grave: the coals thereof are coals of fire, which hath a most vehement flame. Many waters cannot quench love, neither can the floods drown it: if a man would give all the substance of his house for love, it would utterly be contemned" (KJV). An intertextual comparison reveals how Rossetti is inspired to poeticize Lizzie's unusual strength:

White and golden Lizzie stood,
Like a lily in a flood,—
Like a rock of blue-veined stone
Lashed by tides obstreperously,—

Like a beacon left alone

In a hoary roaring sea,

Sending up a golden fire. (Rossetti 16)

The images of fire and flood inform the uncompromising and invincible nature of love. To refer back to Claus Uhlig's idea of a first text, Lizzie could be a reconstruction from the woman in "Song of Solomon" through whom Rossetti promoted a higher truth.

When Lizzie steps out of her "nest" (the female sphere) and goes to the goblin market (the male arena), she is stepping into the territory traditionally characterized and dominated by men. Therefore, her resistance to the goblins is a symbolic rebuke against the harassment of the community of men. Richard Menke comments, "the poem imagines that such renunciation may be a heroic and selfless act of resistance, not a passive withdrawal but a feat that creates a space outside the masculine and the mercantile, a locus for the domestic economies of sisterhood and motherhood" (130). Lizzie's refusal to make a statement is already a statement in itself because she is declaring her independence and uniqueness. According to Dolores Rosenblum, "this is a soul's primary strength: to rigidity into a statuesque pose, to endure rather than act, her freedom reduced to choosing to make an asset of her 'feebleness'" (87). The power is in the soul and Lizzie's victory is not so much physical as spiritual. Her silence in fact leads to conquest. The goblins do not just tempt with their fruits but also words. And their words are fatal. Readers remember that Laura is attracted to their delicious-looking fruits, their sweet voices and honeyed tones. In order not to gravitate toward the same linguistic trap, Lizzie's strategy of remaining silent is surely unpredictable and surprising to the goblins who apparently cannot handle silence and stillness. When Lizzie knows that she wins, she rejoices with "inward laughter" (Rossetti 17) which shows her unshakable assurance of Laura's salvation. Her laughter is well-earned, having outsmarted the goblins.

The scene considered as most challenging is the moment when Lizzie offers herself to

Laura:

> Hug me, kiss me, suck my juices
>
> Squeezed from goblin fruits for you,
>
> Goblin pulp and goblin dew.
>
> Eat me, drink me, love me;
>
> Laura, make much of me. (Rossetti 17)

This scene can be seen as the merging of the Apollinian and the Dionysian states. This is an ambiguous episode for dissolution and union are present at the same time (Nietzsche 65). "Dionysian wisdom, is an unnatural abomination," expounds Nietzsche, "that he who by means of his knowledge plunges nature into the abyss of destruction must also suffer the dissolution of nature in his own person" (69). Lizzie is a wounded healer who is broken but has the healing power. The Dionysian wisdom, attained from her standing firm amidst the goblins' humiliation, is the knowledge of using art (poetry) as a weapon to express the self. This knowledge has to be reconciled with the poet's wanton impulse (Laura) which is the acceptance of her own passions as part of her creativity, part of her whole being as a woman. In analyzing women's obstacles in writing, Catherine Maxwell writes: "Women poets need to develop different strategies to avoid being overpowered by male influence to the extent that they can no longer write poems of their own.…But Lizzie, like a woman poet who realizes she cannot simply buy into the male tradition, is resistant to the blandishments of the goblins, refusing to swallow their sales pitch" (84). This is the destructive sublime in which disintegration of self entails a restructuring of a new self.

Intoxication is a key concept in our understanding of the nature of the wine god Dionysus. When the sisters are forgetful about their selves and inner boundaries, they are able to unite into one metaphorically. In the words of Nietzsche, the artist is "sinking down in his Dionysian intoxication and mystical self-abnegation" (Nietzsche 38). When Rossetti the poet is willing to abandon herself to the primal instinct, she is reconciling the ascetic self with

the passionate self. But to stretch the meaning further for a deeper understanding, Lizzie's sacrifice points to a spiritual truth of first dying to the self. From the encounter to the attack, she demonstrates well that her decision to lay down herself and to embrace suffering pays off. Such an idea is shown in John 12:24-25—"Verily, verily, I say unto you, except a corn of wheat fall into the ground and die, it abideth alone: but if it die, it bringeth forth much fruit. He that loveth his life shall lose it; and he that hateth his life in this world shall keep it unto life eternal" (KJV). This is a Biblical subtext of the poem, reinforcing that death of the self brings forth another life and fruition. The seed dies so that it can grow into a plant or tree but it does not retain its original shape. By the same token, Lizzie's wounds and bruises are an outward sign of her symbolic death and sacrifice that will change herself and then Laura.

The scene in which Lizzie offers her body is often seen as a redemption episode (Leighton 119). It is charged with religious significance especially in the light of Christian allegory. Her sacrifice parallels the offer of Christ of His body and blood—the Eucharist (Marsh 242 and Maxwell 80). Laura, after partaking of that, is resurrected: "[she] awoke as from a dream, / Laughed in the innocent old way, /. . ./ Her gleaming locks showed not one thread of grey, / Her breath was sweet as May / And light danced in her eyes" (Rossetti 19). There is also a Blakean feeling about her regained innocence as shown in these lines. Though this positive note points to a typical ending in a fairy tale, life and innocence can be resurrected only because of a willing sacrifice.

After Laura's resurrection, the time frame at once shifts over years and years when the sisters now older and wiser have become wives and mothers, with Laura telling her own children the bravery of Lizzie. In psychoanalysis, the ordeal Laura and Lizzie go through is a qualifying test for their womanhood and passing it, which they have, imply that they are well-equipped to enter maturity. The epitome of such triumph, in a female context, is motherhood. Even if there is a long time lapse, the life force attained from the redemption scene is strengthened and extended to the maternal setting at the end. To be able to bear and

bring up children seems to be the final accomplishment in a woman's life. The ending of this story complies with the general expectation of a fairy tale and of women—the sisters live happily ever after as mothers. The love that motivates Lizzie to accomplish a heroic feat can surely be seen as sisterly love. Readers are also reminded of Christ's love as shown in John 15:13 that states "Greater love hath no man than this, that a man lay down his life for his friends [my emphasis]" (KJV). The poet could be responding to and taking ownership of this concept when penning "there is no friend [my emphasis] like a sister" (Rossetti 20) in the conclusion in "Goblin Market."

From a feminist point of view, the ending sounds quite ironic because the sisters do not turn out to be independent women (in the Shavian sense). They are going from one female mode (marriageable women) to another (mothers). The dénouement, however, serves as one of the many examples of the influence of Victorian morality over art—to avoid criticism it is safe to go with Victorian propriety. Women artists/writers in those days had to be particularly careful to avoid being labelled as rebels or "female Byrons," if they wanted to be seen as paragons of virtue in public and private. The celebration of motherhood is inevitable in this poem, since Rossetti was probably conscious of not violating any female decorum. Elizabeth Campbell comments that only in the realm of motherhood could Victorian women assert themselves and that raising up children was the proper domain for them (410). This could also reflect the poet's personal belief in strong family values in her household.

The conclusion of "Goblin Market" is the restoration of the self, once divided, now complete. Socially, Laura and Lizzie are fulfilling their Victorian ideal of womanhood. Psychologically, the creative potential of Rossetti the poet is recognized in the Apollinian/Dionysian fusion. The poet's encounter with the subconscious allows her to set sail on a journey to self-discovery. Lillian Feder suggests that the Dionysian state is used "always to express the complex manifestations of unconscious drives breaking through the

barriers of personal and social repression" (68). Rossetti's inward-looking personality made her come head on with her inner turmoils. It is illuminating to see how her life experiences and cultural milieu (Victorian) became integrated into her conscious and poetic reflections on her female self and the Victorian world. Rossetti was never militant about women's rights, as some feminists in her days were. She was never married but her religious devotion and filial piety marked her out as a godly woman whose outlook and lifestyle fitted well into the Victorian mould of womanhood. Even though in reality she went through some traumatic experiences, she resorted to poetry as a healing medium. Laura's storytelling exemplifies that the poetic and literary creativity can be a channel of power for a restorative and celebratory cause. Laura is not just fulfilling her maternal responsibility but also a more faithful duty as stated in Deuteronomy 32:7—"Remember the days of old, consider the years of many generations: ask thy father, and he will shew thee; thy elders, and they will tell thee" (KJV). By her ability to articulate for a good purpose, Laura is seen strengthened in the linguistic area in which she once fell by her willing interaction with the goblins. Indeed there is power in words and confession, as Hebrews 11:3 informs readers that God spoke the world into existence—"the worlds were framed by the word of God" (KJV). As such, in "Goblin Market," storytelling or literary creation is an act of thanksgiving, a sign of creative energy and a reminder of valuable lessons learned in the hard way. The poem begins with the goblins' words that ensnare but ends with protective and comforting words of the redeemed. Such a conclusion is a closure implying a possible coherent re-reading of the Biblical principles through which Rossetti gained her voice and understanding as an individual and a poet. Rossetti therefore formulated her own kind of feminism—reforms should come from the inside more than from the outside. That different discourses for "Goblin Market" exist point to the fact that the poet probably had gone through the phase of selection like Laura who cannot resist looking at the fruits. Regardless of choices in life, the palimpsest that the poet settled for would be the one close to her heart and life. Different

metaphoric umbrellas that accommodate different interpretations are like a basket full of colorful fruits. Though they are tempting and possibly ambiguous, the poet's writings still stand strong and testify to the unchanging truth in her life—there is still a layer that lies at the bottom of the basket. Rossetti could be declaring a religious statement—the different tastes in life (as in a Chinese rendering) would all pass away but the truth that had set her free would remain.

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Title:
"The Shaping Metaphors of Childhood and a Woman's Work: *Eva's Man* and Hannah Cullwick"

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"The Shaping Metaphors of Childhood and a Woman's Work: *Eva's Man* and Hannah Cullwick"

> *"…rather than renew or revise ideas about the female, these chapters perpetuate 'crazy whore'/ 'castrating bitch' images that long have defamed black women in our literature."*
> –June Jordan (*NY Times* Book Review, 1976)

When Gayle Jones's second novel, *Eva's Man*, emerged in 1976, its reception was not overwhelmingly optimistic. Actually, as June Jordan's *New York Times* review hints, the text was occasionally perceived as degenerative for the feminist movement. She accuses Jones of objectifying women and propagating the stereotype of black women as powerless nymphomaniacs. Although this stereotype is apparent in Jones's novel, I think Jordan misconstrues its function. Jones, as a black woman, is not speaking as a representative for *all* black women nor is she reinforcing the image of black women as enslaved by their sexuality. Instead, she is exploring and attempting to understand how and why a woman – any woman – would live sexually enslaved. This is an issue that arises in Anne McClintock's *Imperial Leather;* McClintock, much like Jones, deconstructs a controversial and anti-feminist situation of sexual enslavement to divulge the power within those perceived powerless. Hannah Cullwick, a Victorian white woman, and Eva, a 20th century poor black woman, are on the surface quite different. Yet, as I will argue, the two women find themselves in a life seemingly dominated by men and sex searching for personal recognition as a means of creating their selfhood.

The relationship of Hannah Cullwick and Arthur Joseph Munby has gained wide-attention from both American and European scholars over the last ten years. With this in mind, I will not offer a historical account of their relationship. I will, however, summarize by stating that the couple was secretly married but did not live together as man and wife due to class constrictions. They cohabitated as master and servant sharing a highly theatrical and Sado Masochistic sex life. Within this relationship Cullwick was expected to refer to her husband as

"Massa" and to produce daily and written accounts of her degradation as a servant. He was sexually excited by Cullwick's anti-middle class work in the dirt, and their sexual theatrics often involved Cullwick doing back-breaking work dressed as a slave while her husband watched.

Most historians and theorists look at the Cullwick – Munby marriage as enslavement and disempowering for Cullwick. McClintock, however, argues that Cullwick did not feel enslaved but perceived the situation as ceremonial and something from which she could retract. She believes it was social class that enslaved Cullwick, not her husband. American societal norms forced the couple to keep the marriage a secret, but under the protection of foreign ground Cullwick was allowed to dress and live the life of a lady. The marriage improved Cullwick's social rank when she was allowed to live publicly as Munby's wife, which most commonly occurred when the couple traveled to Europe. For her, marriage was more malleable than social class, but both were only ceremonial institutions. In neither sphere did she play only one character role, but transformed herself by altering her physical appearance in a society that asserted one's social rank was inherent in one's genes. To further displace the notion that high social class could be judged by one's appearance, Cullwick wore her slave band at all times. When she wore it during her work as a servant it represented the power of the upper class to enslave her and her mother, who was also a domestic servant. Yet, when she wore the band during her cross-dressing adventures, the band represented the upper class' self-induced societal enslavement.

"Sticks and Stones…": Constructing Self Hood

Both Cullwick and Eva struggle to find empowering and safe representations of womanhood. Cullwick looks to her mother, a domestic worker, as the embodiment of

womanhood. As a child she watched her mother serve the upper class with extreme humility, and through years of these conditioned encounters Cullwick began to associate self-worth with others' recognition of herself. As an adult, her work became an enjoyment, especially physically challenging work, because she believed that through her work her upper class employers were dependent upon her. Her presence helped to ensure the employer's social status – the cleanliness and number of one's servant(s) was representative of the amount of money and class a household had – and it made the family's daily life possible. Domestic labor in the Victorian era created social value by segregating dirt from hygiene. Cullwick was performing boundary maintenance between dirt/clean and private/public. When she was occasionally noticed by her mistresses, the recognition she received for the domestic acts became synonymous with the building of her self-worth. Much like Eva, Cullwick seems to lack a core identity. Her self-worth is dependent upon other people's view of her, primarily her female employers.

Eva, on the other hand, connects her self-worth with male reactions. She is socialized into thinking that her role as a woman is to give use of her body to others for their personal gratification. Although Cullwick offers her body to Munby for his sexual enjoyment, she does not connect her self worth with the sexual acts, but with the domestic acts that make up the sexual theatrics. Eva's association with her body as a commodity is implanted in part by Eva's mother, Mama, who offers images of womanhood as synonymous with passivity and one's body as an object to be used for male pleasure. Mama has her husband and Tyrone, a man ten years her junior, to satisfy. She prepares meals for both of the men, catering to which ever one is in the house when the meals are served.

Sex with Tyrone is always before Eva gets home from school, but sex between Eva's parents fills her ears at night: "I used to wonder what was going through her mind. Not his, but

hers" (29). She begins to connect Mama's role in life, and as a woman, as one of a sexual servant. Since Eva is absent during her mother's sexual encounters with Tyrone, she assumes the sexual relationship with him is the same as the passive encounters she has with Eva's father. After all, when Eva is present Mama treats Tyrone the same as she treats her father, serving him meals and catering to his happiness. In Eva's youth, she does not see her mother's relationship with Tyrone as a choice. She sees Tyrone as the aggressor of her mother just as he was with Eva, touching her without her permission. When her father confronts her mother's relationship with Tyrone, the resolution to the argument is aggressive sex with her father ranting, "Act like a whore, I'm gonna fuck you like a whore." Eva "didn't hear nothing from her [mother] the whole time" (37). Mama does not try to defend or explain herself; she simply follows her husband to the bedroom to offer herself to his pleasure. Her father's absence from the home, except to sexually engage with Eva's mother, only reinforces the image of a woman as sexual slave.

The queen bee offers a counter-example of Mama's view of womanhood. She is known for her promiscuity, not as sexual slave but as sexual partner, and her unnatural ability to kill men: "They call her the queen bee…cause every man she had end up dying" (17). Of all the women in Eva's childhood, the queen bee personifies the woman with the most agency. She seems to use her beauty and sexual vigor as a controlling force over men; Miss Billie argues that she causes her men unnatural deaths. Eva's mother expresses guarded sympathy for queen bee by stating "she would be more scared to be the queen bee than to be any of the men. 'Suppose you really loved somebody…You'd be scared to love him'" (41). Sitting in the living room, Eva must begin turning this over in her mind. To have control or partner with a man and to love him at the same time will result in his death. Therefore, the best women are the ones like her mother

who only offer their bodies as a tool of enjoyment for men, but refuse to accept or demand reciprocation.

"…May Break My Bones…": Men

McClintock's preliminary discussion of Munby paints the picture of a deviant but controlling husband with Cullwick as the low-class follower of social order, the view most congruent with popular discussion of the couple. However, McClintock refuses to agree to the accepted dynamics of Sado Masochistic relationships as set forth by Freud. She argues that the main purpose of S/M is not sexual or pain, but "a theatrical exercise of social contradiction" (143); the motivation for S/M behavior is the illusion of control, which is exactly what Cullwick offers Munby. By forcing her to use domestic tools (mops, dirt, rags, etc.) within the sexual escapades, Munby is convinced he is pushing the subordination associated with these props onto Cullwick. McClintock negates this theory by reminding the reader that it is Cullwick's presence that is necessary for Munby's gratification; he is actually placed within the act as the passive viewer.

When looking at Eva's relationships (and I use that term lightly) with men, they are most commonly characterized by the use of her body as a sexual object for male pleasure; she rarely enjoys or is aware of her own pleasure within the sexual acts until she meets Davis. To Alfonso, Eva becomes his sexual project. He is interested in her body in two ways: as a body in need of saving from virginity and as a body to serve as the focal point of his sexual energy. Before the two go out the first time he questions Eva's chastity. He seems surprised to find out she is still a virgin and declares, "You too old not to had the meat" (58). He makes her the passive recipient of the sex. It is not her duty to go out and take or share sex from/with someone, but her role is to

be available to be sexed; her body is no longer her own but a space that must be made available to those interested in it.

Alfonso sees her virginity as a problem and as a barrier: She is too old, at seventeen, to be unsexed and her chasteness stands in the way of her wanting to sleep with her cousin. He thinks it is necessary to save Eva from her virginity, and it just works out that he is an interested party. The reward for Alfonso would not be that Eva gives in and has sex; in fact it is the opposite. It is his taboo pursuit of her (notice Eva's passive role), a young woman who is perpetually playing hard to get that is satisfying. He uses Eva the virgin to make himself feel powerful and manly (since his wife has cheated on him, thus, insulting his masculinity) because Eva, being his cousin, is a safe focal point. She will never make him prove his abilities in bed, because she is not sexually interested in him, or anyone for that matter.

Throughout her narration, Eva tells her story through her encounters with men, such as the one with Alfonso. The reader doesn't know anything about Eva; one can only gather bits of her personality, not selfhood, in relation to her encounters and discussions of men. Her first sexual experience is an arrangement of Freddy Smoot's: "He said he wanted to do me first and then I could do him" (12-13). Eva is not given an option here; she is told when to go and probably what to do. In the telling of the story, Freddy 'does' her by invading her with a popsicle stick, but she is not allowed to 'do' him. "He *let* me squeeze him like a milkweed" (emphasis mine 13). She squeezes him, but Eva did not go looking for Freddy. It is as though she touches him in order to fulfill the agreement he set forth.

In another unwelcome sexual encounter, Tyrone takes charge of fulfilling what he sees as Eva's sexual advances. Much like Alfonso, he sees a sexualized young girl because it fulfills his desires, not because Eva makes sexual advances. As the two play jacks, she is caught looking at

Tyrone's crotch. He takes this as an advance and "all of a sudden he took my hand and put it on him" (30). Eva is sexualized at a young age by Freddy, Tyrone and Alfonso when she does not understand or want sex. These early encounters when she is forced into the passive role of doing as these men want to satisfy them, combined with the unconscious socialization of her mother, pushes Eva into the ideology that women are not meant to enjoy or direct sexual encounters.

"…But Words Will Never Hurt Me": Empowerment

During the Victorian era, the sight of domestic work ("woman's work") was taboo and shameful. Houses were meant to be clean and food was meant to be prepared but no one, especially men, was to know the work involved with such things. By always wearing the slave band, Cullwick refused to devalue her work and the dirt involved in serving others. The self-denial of servitude could be countered by the symbolism of the slave band. This was a crucial object within Cullwick's definition of self: "When Cullwick was a girl, her identity came into being through paradox. Through an obscure economy of social affirmation by self-negation and the edicts of class abasement, she learned very early that she would be rewarded only if she denied herself … she won affirmation only through negation of self [by curtsying, and bowing before the gentry]" (155-56).

Cullwick's primary source of self was as a worker, whereas Eva's primary source of self was as a sexual object. Both of these women needed an outlet for a lifetime of dependency and disempowerment. Munby comes into Cullwick's life as a feminized man who initiates domestic S/M as "a peculiar transposition of the desire for recognition" for Cullwick (155). Munby values Cullwick's work as a domestic; without it, she would be no use to him and since Cullwick closely links her selfhood to her work, she is empowered by the notion that Munby is valuing her

'self'. Finally, she exclaims, someone recognizes the importance of domestic work within an era when this recognition was one of the greatest of taboos. For her, calling Munby "Massa" and carrying out his sexual theatrics was only part of the job, words on the page; they had nothing to do with her disempowerment. It is through this situation that she finds someone to recognize her worth as a domestic in the most elaborate and taboo way.

Discovering personal empowerment is much different for Eva. She must become capable of sexual enjoyment; and in order to do so, she feels she must embrace the stereotypical image of "whore". She marries at eighteen to a man fifty-two who, like her father, was cheated on. When she marries, she does not know how to kiss a man properly: "I tell him I didn't know I was suppose to open my mouth" (136). Eva isn't kissed or given affection by a man until her marriage, because all the men in her life before her marriage victimize her; they use Eva and take whatever they want from her. Even when Eva knifes a guy, a seemingly empowered action, her silence about the situation serves to protect him and not herself. Although she is sexually naïve at eighteen, her husband quickly portrays her as a whore. He won't allow a phone in the house because "he said he didn't want my lovers calling me. I though he was joking at first…" (111). Later, when Eva has a male friend over, her husband beats her for the first time. The reader is not given further explanation of why the marriage ends, but the image of whore seems to stick with Eva. Even though her behavior was never promiscuous, she's been taught to passively accept the advances of men, so when her husband classifies her as a whore, she takes it. After all, her father – whom she loved – called her mother a whore too; to young Eva it is a shaping aspect of her sexual selfhood.

Eva, socialized at a young age to think and act upon sex for male gratification, identifies with the stereotype of whore without a choice. She isn't aware that she has a choice. Although

she isn't promiscuous, by not defending herself against such accusations she makes others believe in this image. Elvira says, "Some peoples thinks that what you was. A whore," but Eva does not respond to her with anything but a frown (4). Later, when the conversation reappears in her head she realizes that "Davis probably thought so too" (9). Although she emphasizes numerous times that she has not been with a man in a long time, Davis thinks it untrue and that she is saying this for his benefit. He states, "Most women who look like you do wear earrings." Eva's response is "What's that suppose to mean?" but he does not respond, and she does not pursue it (18). Why would she argue against an image that has given her a sexual identity within a man's mind that does not revolve around total submissiveness? Much like Cullwick connects her identity to domestic work, Eva gets a glimpse of an identity within this conversation with Davis – for this woman devoid of selfhood any identity will do.

Eva's connection to this stereotype is made possible through the early sexual exploitation by men, as well as the passive images she associates with womanhood. For Eva, she is not an adequate woman because she cannot please a man. Davis repeatedly asserts, "You frustrate a man" (97) during their time together. Before that, her husband is so dissatisfied with her that he still goes to the train station to wait for his ex-wife. Eva's old boss, who tried to buy her vote, was also unhappy with her performance and fired her. To Eva, being unable to fulfill a man sexually – which she's been taught is her main objective as a woman – must mean she is devoid of womanhood. By accepting the stereotype, however, she can convince others she is sufficient in her womanhood even though she does not believe it herself.

Living in the close quarters of Davis's hotel room, Eva becomes empowered by her new image. For the first time in her life, she enjoys sex and, more importantly, realizes her position as necessary for Davis to enjoy sex as well. As the final day of their relationship spirals down,

Eva's narration becomes riddled with her memories of queen bee. In Eva's mind there are two kinds of women: her mother, whose body is used to give sexual pleasure, and queen bee, whose body uses sex to gain pleasure. For the majority of her life, Eva lived the image of womanhood her mother unintentionally incited upon her. In the last few days of her affair with Davis, Eva took on the queen bee's image of womanhood, which would come with repercussions – "men had to die for loving her" (131). The queen bee's men always died unnatural deaths and, as McClintock so eloquently points out, the purpose of S/M sexual behavior is not to defy natural law, but to deny its existence. To kill Davis would defy written and natural law, but to remove his manhood would negate the disempowering notion that natural law even exists.

The key to her sexual empowerment, however, is recognition. Eva sexually de-services Davis, then "stuffed" his dead fingers inside her and moves on to molest him. Then she leaves to let him die, only to return later. Why? "They saw me go up and then they followed me up, and they were speaking in whispers, and then came in" (130). Without recognition, Eva's 'queen bee' power would go unnoticed. Later, when Eva is in jail she refuses to divulge all the details of her relationship with Davis. She does not tell her story to the psychiatrist or to Elvira because her story was the key to her selfhood; just as queen bee kept tight lips regarding her relationships with men, so did Eva. Revealing the details of the event to others would be like Cullwick taking off her slave band; she would be giving up a piece of her salvation and power.

It isn't a happy ending for either of these women though. Although Cullwick has a strong grip on her image of selfhood (domestic work), she does entertain moments of cross-dressing while in Europe with Munby. These moments negate her domestic identity but afford her social recognition, exploiting the status system that normally enslaves her. Eva, as well, negates her new-found selfhood at the end of Jones' text with her sexual encounter with Elvira. Eva's

relationship with Davis resulted in her ability to connect to the identity of a whore, a woman *not* sexually enslaved but one who takes an active role in sex, but her final sexual encounter with Elvira is one of passivity. Eva is physically enslaved in jail at this point with a woman who is constantly questioning and pursuing her. Several times in her narration, Eva tells the deceased Davis she doesn't know how long she can hold her off. Finally, just as Eva's life has conditioned her to do, she gives in and passively offers her body to Elvira. While the sexual act is one that could offer more sexual pleasure to Eva than to Elvira, Eva is not content because the act is threatening to her newfound selfhood. She has never been exposed to homosexual sex before, and therefore may not consider this a sexual act that could reinforce her identity as a whore rather than jeopardize it.

Eva is pushed into the stereotype of whore (queen bee) because it becomes a way for her to redirect her womanhood since she seems to fail at the image her mother offered her. Throughout the text, Jones is not striving to plague black women with this stereotype; she is using Eva's story to show how a woman could falsely see this stereotype as a form of salvation, a way to save her last shred of womanhood and identity. To revisit Jordan's commentary: "In this short work of bedeviled compulsion, there is sex or there isn't. There is absolute loneliness by one's self or there is the elliptical loneliness of brutal, mute coupling; accidents of exploitation that bespeak no history, no promise. . ." I could not say it better myself. Eva failed to see her other choices – to be a woman meant you must quietly give pleasure to a man without enjoying it or be like queen bee, causing men to die.

Cullwick was also presented with a life devoid of many choices – she was a domestic worker and in love with a man far outside her social class. Both of these women define themselves by their work; for Cullwick this was domestic work, for Eva it was sexual. Neither of

these women was given the opportunity for social promise or a life not defined by loneliness. Jones is not using Eva as an archetype for black women, but much like McClintock she is striving to ascertain a causal relationship between a woman's seemingly disempowered life to the society that makes this life not only possible but probable.

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TITLE

"From Divinity to Deviance: Official(Re)constructs of Insanity in Early Modern Japan"

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Abstract = Page 2

ABSTRACT:
"From Divinity to Deviance: Official(Re)constructs of Insanity in Early Modern Japan"
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Court records from both the over-arching government (*bakufu*) and individual domains (*han*) demonstrate that madness, particularly that of the criminally-insane, was recognized as a special social problem, one that could be used to the advantage of the State(s). By redefining what constituted and/or caused "insanity"; when a "crime by reason of insanity" had been committed; and what sentence/treatment was to be imposed on the perpetrator of such a crime, the Edo bakufu retained and often expanded its control over the general population--especially during times of crisis.

Besides serving as a tool of physical domination, the concept of "insanity" provided a vehicle for the dissemination of official ideologies, ideologies usually in conflict with the traditions of the nonelite. The proponents of Neo-Confucianism, in particular, availed themselves of this tool. This is evidenced by the fact that individuals who committed certain types of crimes were more often deemed "insane" than those who committed other, often more far-reaching, actions. An offender's social status (occupation), gender, and age appear to have been taken under consideration when authorities ruled on an offender's official categorization (i.e., rational or insane). These same factors determined both the official diagnosis as to an offender's type of insanity (e.g., insanity due to personal addictions vs. that caused by spiritual disorder) and the appropriate prescription (punishment/treatment) for that individual. Politically as well as medically, insanity ceased to be perceived as a sign of sanctity, but rather as a manifestation of imperfection.

Title:

"A Recipe for Disaster": ethnography and multimedia

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Abstract

The paper assesses the ethnographic value and potential to be found in artists' responses to humanitarian disasters concentrating on their use of multimedia. In such artworks, new information and communication technologies offer the possibility of the complex interlinking of sources and commentary in different media, adding a level of technical sophistication to ethnographic studies that makes analysis easier, richer, and more accessible to a broader audience. While mass media reporting of disasters has the potential to stir public opinion, ultimately prompting aid agencies and governments to respond to the problem, there is a marked tendency to categorise the victims of such tragedies as human types, whereby the selective nature of the visual image frequently objectifies them dismissing their historical, cultural and political circumstances. In contrast, visual artists challenge these conventions. Examples include, Eva Koch's *Villar* multimedia project relating to forced migration during the Spanish Civil War and Alfredo Jaar's *The Rwanda Project: 1994-1998*: an installation documenting survivors and locations of the 1994 Rwandan genocide. These attempts aim to portray the disaster through the personal experiences of those involved. The paper itself will be accompanied by a demonstration of a multimedia exploration space that examines these changing presentations of disaster victims.

From Spot to Dragon: Enemy Character Design in Computer Game

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Abstract

Since early days of computer gaming, there had been some special and well-defined characters in games. In general, character design is either art-driven design or story-driven. In art-driven design, the visual design of the enemies requires clear figure and distinct color to be recognized on the stage and by the players. In story-driven design, according to classic literary theory, several character archetypes will show some forms in most stories. In this paper, we propose an action-driven method to design enemies' characters in games, and explain the general rules of enemies' form and relative action when applying to character design. In action-driven method, the enemies' form and relative actions are classified into three categories: basic form/action, attribute form/action, and props form/action. We demonstrate that action-driven character design is suitable for creating the enemies in action games, and other types of games that contain action elements. This method of design can increase the diversity of enemy in games and allow game designers to think in a different way of design enemies in computer games.

Keyword: computer game, enemy character, action-driven design

1. Introduction

In earlier days of computer games, a player's connection with a game is that she/he controls the main character of the game. Although the earliest games, like Pong, there are just two white bars and one ball on the screen but no obvious characters appear in game, this is because the computer hardware was not good enough to show the pixels on screen. But with the improvement of computing hardware, some special characters were created in computer games. For examples: from a yellow pizza with one slice removed in the game Pac-Man becomes a well-known example of computer game; the two water pipe workers, Mario and Luigi brothers, in series games of Super Mario; and a famous heroine Lara Croft became a successful game star in the world.

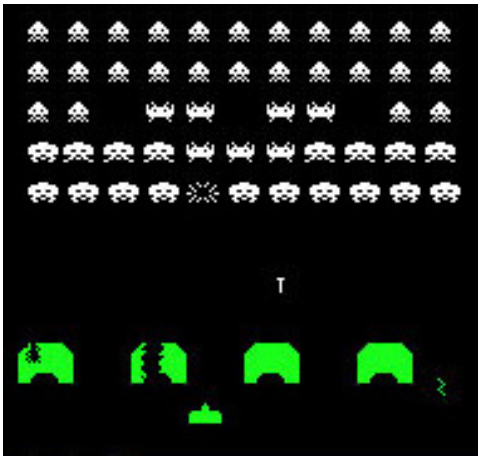
Meretzky (2001) analyzes some successful game characters and summarizes key considerations in the development of characters in computer games:

- Naming characters is an important step.
- Writing a Background paper for each character.
- The initial design of the concept art: to create the character's physical appearance.
- The second part of the concept art is the model sheets.
- The third phase of the concept art is storyboards.
- The character's moves in game.
- Dialogue.
- Voice Characterization.

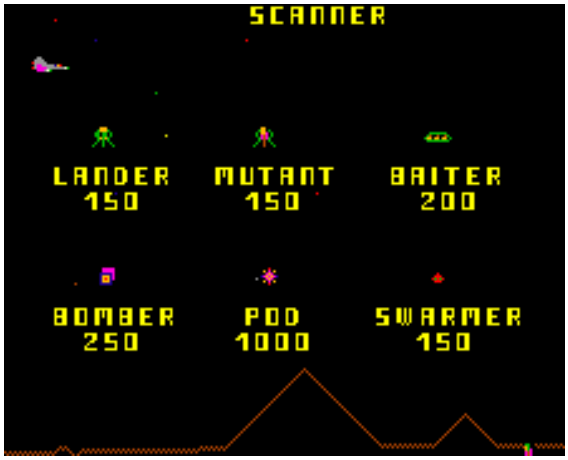
In a game, in addition to player-characters (PCs), there are many non-player-characters (NPCs) that are controlled by computer. In these NPCs of game, large parts are the enemy characters that fight with player-characters. When players start playing a game, they control PCs that may interact with many enemy characters through activities such as attacking, chasing, shooting and so forth. The importance of enemy characters in games is no less than main

character and game stages.

In different game genres, the enemy characters may have different appearances. In sport and racing game, the characters that compete with players are similar to players' characters. In the *Pac-Man*, there are four naughty ghosts chasing with Pac-Man. They are red ghost Shadow (Blinky), pink ghost Speedy (Pinky), blue ghost Bashful (Inky) and orange ghost Ponky (Clyde). In games like *Space Invaders* and *Defender*, the enemy characters were designed with the kinds of alien or space monster form to attack the player character (see Figure 1). They usually use different movement to get close to the player character, and shoot the player character with different missile or bomb.



Space Invaders



Defender

Figure 1. Alien-like enemy characters

Through the rising of the role-playing and adventure games, game players become fascinated with the medieval and the sword and magic world. In this type of games, the enemy character design always follows the story of *Dungeons & Dragons* or the famous fantasy literature *Lord of the Rings*. In these games, there are Zombie, Troll, Skeleton and many kinds of fantasy monsters (Figure 2). Dragon is the well-known enemy character in role-playing games (RPGs). According to the rules of *Dungeons & Dragons*, the game designers create all kinds of enemy characters in their RPG games, or arrange the basic concept to design new

characters and give them new concept art and form in game.

Troll

Dragon

Skeleton Warrior (Troll)

Lizard man

2. Art-Driven Character Design

Historically, art-driven design was the main force behind character design. It is because the computer hardware was so restricted that those games did not rely so much on story, the design focused on the visual presentation. For example, the game character in *Pac-Man* is a yellow pizza with one slice removed. In these early games, the enemy characters were

designed using the sets of pixels to represent the form (see Figure 3). The visual design of enemy character needs clear feature and color to make distinct from player character.

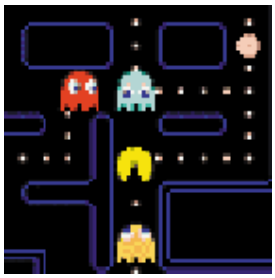


Figure 3

With the improvement of computer processing speed and graphics, the characters become more vivid and rich. The game characters also have improved appearance from 2D images to 3D models in games. For the appearances of game characters, certain features are exaggerated to attract players' attentions. For example, Lara Croft, in the *Tome Raider* series games, has breast size and leg length that are exaggerated by 33% than normal body proportion (Figure 4).

Figure 4 Lara Croft

In addition, game characters with cute appearances also have strong attraction to players.

Some game characters are supernaturally cute because the game designer wishes bring out the protective feelings of pet or baby. The characters of *Sonic* series game and the monkey character of *Super Monkey Ball are* good example for cute characters (Figure 5). The enemy characters in these series game also have cute appearances.

Figure 5 Cute characters

3. Story-Driven Character Design

Story-driven character design emphasizes on developing a complete story behind the character. In this way, designers can create more believable characters so that players may accept and enjoy the characters much easily. According to classic story and myth, a number of character archetypes appear in some forms in most stories. In the book *The Writer's Journey: Mythic Structure for Writers,* Christopher Vogler (1998) presented the archetype definitions. Some of these archetypes are suitable for enemy characters. They are Threshold Guardian, Trickster, and Shadow.

Threshold Guardian

The mission of threshold guardian in a game is to prevent the progress of the hero (the player character) by whatever means until the hero becomes strong enough to defeat it. The obvious examples are the monsters at the end of a game stage, where the hero must defeat them to enter the next stages. For example, in *Super Mario Bros 3*,these threshold guardians are the

Koopa Kids: Larry, Morton Jr, Wendy O, Iggy, Lemmy, Roy, and Ludwig Von (Figure 6). They are classic threshold guardian characters. Mario needs to defeat them to gain special abilities and enter a following stage.

Figure 6. Koopa Kids

Trickster

Tricksters are often the neutral character or enemy character in story, and make mischief for the hero. They can also give some comic relief to lighten the main storyline. There are many examples of trickster character. For example, in *Pokemon*, the well-known villain character Rocket Team is a trickster character in the game (Figure 7). Tricksters made lots of tricks for hero while the hero is engaged in some mission or practice but they usually fail to stop the hero.

Figure 7. Rocket Team

Shadow

The shadow is the second most important character after the hero. In some games, the shadow character is the ultimate evil. For example, in *Super Mario Brother*, King Bowser Koopa is the shadow character of game (Figure 8). He kidnaps Princess Peach, and that is why the hero Mario starts his trip for adventure, in order to rescue the princess.

Figure 8. King Bowser Koopa

4. Action-Driven Character Design and Generative Method

Besides of the above-mentioned design methods, designers can focus on the actions of enemy characters to design new enemy characters. The action-driven design can apply to the genres of games with action element. In these games, the features of enemy characters often correspond to their actions in games. For example, the enemy character turtles in *Super Mario Brother*s walk on the ground. A turtle with wings can walk and fly. The relationship of form

and action in enemy character is key to the action-driven design we are proposing. Let us use the enemy characters of *Super Mario Brother* to explain the method. Table 1 presents the classification of enemy forms. The form of an enemy character is composed of Basic Form, Attribute Form and Props Form. Each enemy character has a Basic Form but may or may not have Attribute Form and/or Props Form.

Table 1.

Classification	Explanation	Picture
Basic Form	The form belongs to creature itself, like mushroom form.	
Attribute Form	The form belongs to creature itself, and it has special attribute for itself, like the shell of turtle, or the wing of bird.	
Props Form	The form did not belong to creature itself, and is just a prop for itself, like the hammer in hand or hat on head.	

For each enemy character, each category of its form has a corresponding action. Table 2 shows the classification of enemy actions. When an enemy character has both Props Form and Attribute Form, it is also capable of Props Action and Attribute Action. The actual behavior of an enemy character is performed according to the priority of actions: Props Action, Attribute Action and Basic Action.

Designers can document the initial design of an enemy character with the design sheet. Table 3 illustrates an example of the design sheet of an enemy character Hammer Brother in *Super Mario Brother*. To create a new enemy character, a designer may consider a hybrid of Hammer Brother and Goonie to a new enemy character that is a Hammer Brother with wings. This new character inherits the ability of throwing hammers and flying.

Table 2. The classification of action of enemy

Classification	Explanation	Picture
Basic Action	The action belongs to creature itself, like legs can walk, fish can swim.	
Attribute Action	The action belongs to creature itself. It has special action for attribute, like the shell of turtle can protect, or the wing of bird can fly.	
Props Action	The action belongs to props itself, like with hammer in hand can hammer the hero, or gun in hand can shoot.	

Table 3. The design sheet of enemy

Hammer Brother	Basic Form		Basic Action	Jump up and down.
	Attribute Form)	N/A	Attribute Action	N/A
	(Props Form)		Props Action	Throw the hammer out.

With these definitions, computational mechanisms may be used to generate new enemy characters automatically. We propose an evolution-based computational mechanism to perform the automatic generation of new enemy characters. Figure 9 presents the procedure to generate new enemy characters.

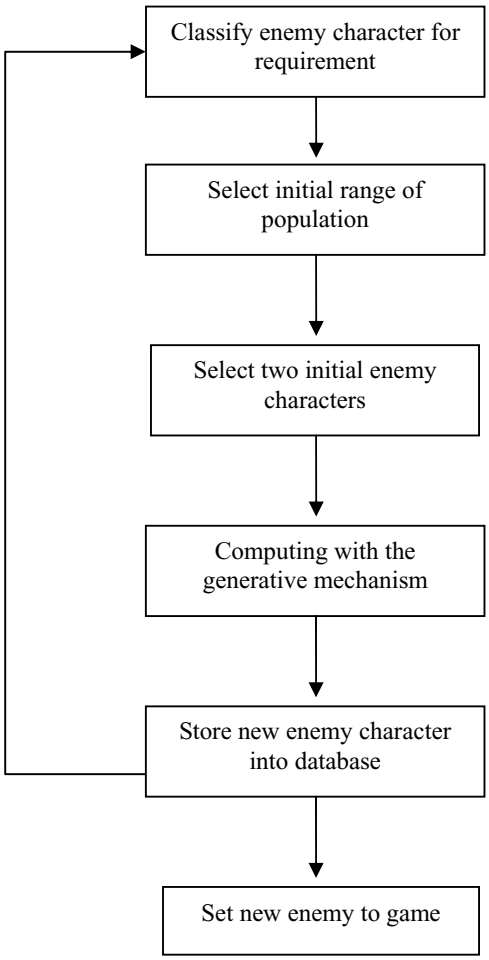


Figure 9. The procedure to generate new enemy characters

In evolution-based approach, the generative mechanism is the core engine to create new enemy characters. Let us elaborate in detail:

1. Select initial range of population:
   The designer defines the enemy population based on requirements of the game, such as stage level, and make appropriate form and action classifications. The generative system

randomly selects two different enemy characters from the enemy population. Of the two selected characters, one is the primary enemy and the other is the reference enemy.

2. Generate characters with evolutionary computation:
   The system employs three evolutionary computation rules:

Rule	Descriptions
Add	Add one enemy attribute into origin attribute.
Exchange	Exchange its attribute with the others attribute.
Delete	Delete one of attribute with itself.

3. Insert new characters into the game:
   The newly generated enemy characters are stored in the enemy database. The designer may instruct the system to continue several generations of enemy characters. When generation reaches the number specified by the designer, the system then selects the newest generation to insert into the game.

4. Conclusion

In this paper, we present three game character design methods. Art-driven design focuses on the appearances of characters. In story-driven character design, some archetypes, such as Threshold Guardian, Trickster, Shadow, are suitable for enemy characters. In addition to these methods, we propose an action-driven character design. It can take the advantage of computational mechanisms through generative rules and existing enemy characters to create new characters. This enables game designers to create a class of enemies quickly. These new enemies provide players with new challenges and new experience of the game.

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SMART MOVES:
MOVEMENT AND LEARNING

DANCE AND ELEMENTARY SCHOOL LITERATURE WORKSHOP

by

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At Cal State LA, I have created a dance education program that gives elementary school teachers the tools to work with creative movement to enhance and reinforce children's understanding of core curriculum: reading, language arts, history, social sciences, and math. By creating an environment of safety and freedom for exploration in movement, anyone can gain an understanding of how to effectively and confidently teach core elementary curriculum through movement, in a relatively short amount of time. Join me in a lively interactive movement/discussion session to see how movement can motivate children to learn, understand vocabulary and comprehend literature. My workshop goal is to encourage all educators to become courageous, bold, daring, risk-taking facilitators, eager to use dance as a tool in the learning process.

This movement method inspires children to focus, concentrate, listen, follow directions, remember, sequence, analyze, visualize, conceptualize, organize and create, all basic educational objectives. It **leads children from moving, feeling, thinking to knowing!**

" Nancy has been a consistent and positive force in the field of dance education. I have watched her develop a course of study that prepares her graduates to enter schools prepared to provide quality standards based dance instruction. Several of her students were amongst the first group of teachers I employed for the Los Angeles Unified School District Arts Prototype Program that provides dance instruction in 156 elementary schools throughout the metropolitan Los Angeles area. Her commitment to the field is remarkable and, on numerous occasions, she's organized the community at large to assist her in maintaining a dance department that speaks to the needs of the educational and artistic community in Los Angeles. She has worked tirelessly to develop partnerships that that provide her budding teachers with opportunities to observe veteran teachers and engage in student teaching assignments that are pertinent to dance and physical education. In fact, when I first became the dance adviser for LAUSD, Nancy was one of the first people to call to offer her assistance and support . She immediately made arrangements to visit one of the middle school dance programs to become more knowledgeable about dance education in LAUSD and I count her among the strongest advocates in the area. The Arts Prototype Program is only four years old and people like Nancy, who train teachers from many walks of life, ensure its success and growth. Nancy Kupka has made and continues to make a major impact by

listening to the needs of her students and the needs of the community in which we live." Leah Bass-Baylis, Dance Advisor, LAUSD

Smart Moves Workshop Outline

1. Moving and Focusing/Listening Skills

2. Moving and Sequencing – math skills

3. Moving and Expression - elements of dance

- **a Space/Shapes** - shown through 7 universal lines which make up the alphabet; every time you move ANY body part, you change your shape. Shapes help convey ideas, feelings, images from our minds
- **b Speed** - fast to slow to freeze!; rhythmically rich
- **c Energy** - muscle tension/exploring a curricular area

4. Moving and Vocabulary Readiness

5. Moving and Understanding Vocabulary

- In The Tall Tall Grass

6. Moving and Reading Comprehension

-The Great Kapok Tree, The River Ran Wild, The Very Hungry Catapillar

SMART MOVES: MOVEMENT AND LEARNING

DANCE AND ELEMENTARY SCHOOL LITERATURE WORKSHOP

by

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For the past 20 years, I have been pioneering a method of combining creativity, movement and education for elementary aged children. I would like to share this method at your conference in a workshop setting. Specifically, I would like to share how movement can motivate children to learn and understand vocabulary, and, to comprehend literature. It would be an interactive session, a lively movement laboratory/lecture format. Attached is the outline for the workshop and a copy of my textbook, ***Dancing Core Curriculum in the Elementary Classroom.***

Here at Cal State LA, I have created a dance education program that gives elementary school teachers the tools to work with creative movement to enhance and reinforce children's understanding of core curriculum: reading, language arts, history, social sciences, and math. By creating an environment of safety and freedom for exploration in movement, Cal State students gain the understanding, in a relatively short amount of time, of how to effectively and confidently teach core elementary curriculum through movement. My goal is to encourage all educators to become courageous, bold, daring, risk-taking facilitators, competent and eager to use dance as a tool in the learning process, to become teachers/human beings/models who inspire the same excitement and hunger for learning in all of their elementary students.

Teaching teachers to teach core elementary curriculum through movement is my passion. By teaching through dance/movement experiences, we can set up an engaging environment for children, one that provides the sensory input and perceptual awareness essential to the development of nonverbal and verbal communication, to self-discovery and expression, to learning and facilitating the development of problem-solving skills, and, to

learning core elementary curriculum! Without fail, at every "finals" visit to the schools, I see children achieving basic educational objectives: concentrating, listening, following directions, remembering, sequencing, analyzing, planning, visualizing, conceptualizing, reorganizing, presenting thoughtful culminating dances. My Cal State students successfully expose the children to new ways of seeing, thinking, inventing and communicating. I see the magic of my dance education method - **that of leading children from moving, feeling, thinking to knowing**! Children universally love to move. This magical match of movement and learning comes from the fact that it's the kinesthetic sense which is most strongly associated with the cerebellum. And, the cerebellum is the center of learning. Dance movement captivates, stimulates, motivates ALL learners; it's an amazing phenomena.

I am energized by brain-based research which points to **movement as a pivotal key in the learning** process. Within the brain, the **cerebellum** makes up only 10% of it's mass, yet **contains over half of all neurons,** which are responsible for conducting electrical messages. **And, the cerebellum's primary role is associated with movement!** Since learning is what the brain does, **and, since the cerebellum is a major player in learning, learning through movement is a powerful, optimal mode for all learners.** Hence, this brain-body-environment relationship can be used as the foundation to more effective teaching in the elementary grades.

Quotes from Colleagues and Community Members Re: Community Outreach

" Nancy has been a consistent and positive force in the field of dance education. I have watched her develop a course of study that prepares her graduates to enter schools prepared to provide quality standards based dance instruction. Several of her students were amongst the first group of teachers I employed for the Los Angeles Unified School District Arts Prototype Program that provides dance instruction in 156 elementary schools throughout the metropolitan Los Angeles area. Her commitment to the field is remarkable and, on numerous occasions, she's organized the community at large to assist her in maintaining a dance department that speaks to the needs of the educational and artistic community in Los Angeles. She has worked tirelessly to develop partnerships that that provide her budding teachers with opportunities to observe veteran teachers and engage in student teaching assignments that are pertinent to dance and physical education. In fact, when I first became the dance adviser for LAUSD, Nancy was one of the first people to call to offer her assistance and support . She immediately made arrangements to visit one of the middle school dance programs to become more knowledgeable about dance education in LAUSD and I count her among the strongest advocates in the area. The Arts Prototype Program is only four years old and people like Nancy, who train teachers from many walks of life, ensure its success and growth. Nancy Kupka has made and continues to make a major impact by listening to the needs of her students and the needs of the community in which we live."
Leah Bass-Baylis, Dance Advisor, LAUSD

" Nancy Kupka is a pioneer in the field of dance education. It is a great privilege to know and work with Nancy Kupka. Not only has she contributed to the development of her students at California State University Los Angeles, she has contributed to the world of dance and dance education, to teachers and future generations of teachers, and to the many children who benefit from her approach to education by creatively meeting the challenges of the future. California State University, Los Angeles is most fortunate to have this remarkable professor."
Roberta Wolin-Manker, Professor of Dance, California State University Los Angeles

Yours in Dance In Education,
Nancy Kupka
Professor of Dance

Department of Theatre Arts and Dance
California State University Los Angeles

Attachments:
Proposed Workshop Outline
Dancing Core Curriculum in the Elementary Classroom

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Professional Objectives
Dance Education Teacher Preparation Coursework in Creative and Multicultural Dance; Facilitating Arts Education Service Learning in CA Public Schools

Publications
2004 Dancing Core Curriculum in the Elementary Classroom. 2nd Edition LA,CA Legal Books, Inc

2004 Multicultural Approach to Dance. 2nd Edition,LA,CA Legal Books, Inc

2003 Dancing Core Curriculum in the Elementary Classroom. LA,CA Legal Books, Inc

2002 Multicultural Approach to Dance. LA,CA Legal Books, Inc

2001 Cross-Cultural Themes in Dance. 2nd Edition LA: Legal Books, Inc.
2001 Children Dance in the Elementary Classroom 2nd Edition LA,CA Legal Books, Inc

2000 Cross-Cultural Themes in Dance. LA: Legal Books, Inc.

2000 Children Dance in the Elementary Classroom. LA,CA Legal Books, Inc

1999 Developing Dance Arts Literacy LA,CA Legal Books, Inc

1999 Experiential Dance History LA,CA Legal Books, Inc

1997 Developing Dance Arts Literacy. Dubuque, Iowa, Kendall-Hunt Publ.

Papers for Lecture Presentations as an Authority on Dance Education
2004 **Glendale Unified School District-Dance Education Presenter for ArtsEducation Districtwide, K-12th grade,** Jan, Feb Mar '04

2003 LA Philharmonic Association - March 2003, **Co-Presenter: "Relationships Among the Arts: Dance, Music,Theatre and Visual Arts"**

2004 **Cal State LA, Charter College of Education Conference, Presenter: "Making Connections: Smart Moves-Children and Reading Readiness"**

2003 St John's Medical Center, Presenter- "Moving and Learning"

2003 Cal State LA, Charter College of Education Conference, Presenter: "Making Connections: Children and Literacy"

1998 East LA College, Presenter- Dance in Education

1997 UCLA Writing Project, Presenter "Words, Movement & Meaning"

1994 The California Arts Project-Dance Unit

1992 Teaching Elementary Curriculum Through Dance Movement-Alhambra USD

1991 Children's Creative Dance in the Classroom Introduction to Creative Dance CAHPERD

<u>Panels as an Authority on Dance Education</u>

2003- The Glendale Community College Advisory Committee,Family and Consumer Science

2003 LA Philharmonic Association -Education Division: Workshop for Elementary Educators on Dance in Relation to Music, Theatre and Visual Arts

2000-01 State Board of Education, Visual and Performing Arts Education Committee -Dance Standards Committee

2000-01 Dance Standards Assessment tools 2000-2001

1997-98 California Dept of Education-Instructional Resource Panelist – to select Visual/Performing Arts resources for CA schools for 2000-2005

1997 UCLA Writing Project-Movement and Writing

1993-95 The California Arts Project- TCAP Artists Develop/ Implement Materials for Prof Development Programs for Pre-K to Post-Secondary Ed

Professional Dance Experience

2001 **LA Philharmonic Association - Educational Division.** March 2003, **Dance Performance, "Now I Walk In Beauty"**

2001-02 **Mentored under Carole Valleskey - NDI - National Dance InstituteTraining**

2002 **Hosted "Arts Day" for LAUSD-Region H Elem Students at Cal State LA**

1992-96 "High Flight" Co-Director - Concerts,Lecture/ demonstrations,Classes

2/92 Adjucator: Dance Kaleidoscope

1983-91 "Moving Dance Images" Directed dance tours ICAP Funding - InterculturalAwareness Programs

1990 "L A'S BEST!" Mayor Bradley funded 8-week tour into low income LAUSD

1991

1985-89 CoMedia Dance Company" Co-Dir Concerts,Lec-Dem, Classes

1971-78 "Moving Company" West Coast professional dance company- NEA funded

1966-68 Ballet Russes de Monte Carlo - Monte Carlo

Awards and Grants

Outstanding Professor Award Nominee 2003, 2004
Wang Family Excellence Award Nominee 2002
Cal State LA Lottery Grant 1998, 1997, 1996,1995,1990
Cal State LA Innovative Teaching Award 1994
Cal State LA Grant-In-Aid $985. 1991
MPPA $5,000. 1985, 1986, 1987
Cal State LA Grant-In-Aid $1500. 1983,1984, 1985
UCLA Regents Fellowship 1976, 1977

Submission Title: An Intersystem Model for Analyzing International Migration: Considering Academic Professionals Emigration as a Case in Point

Topic Area: Social Science/Sociology/Migration
Presentation Format: Poster by a Research Student

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An Intersystem Model for Analyzing International Migration: Considering Academic Professionals Emigration as a Case in Point

Abstract

Population mobility is a central and active ingredient in the formulation and elaboration of any relationships inherent in the changing world order. The upsurge in migratory movements in the post-1945 period, and particularly in the 1980s and 1990s, indicates that international migration has become a crucial part of global transformation. In this sense it is said that the movement of professional, technical and kindred workers (PTK's) to developed countries is an integral component of international migration and the global restructuring process.

This paper develops an intersystem migration model based on Robert K. Merton's "Social Structure and Anomie Theory" by using a cognition model, which includes three descriptive, explanatory and functional dimensions, in order to explain both immigration and emigration in a society or among societies. In this way a large number of variables, which are introduced by relevant migration theories, and effect international migration process are integrated in this model in both in and out-system factors as well as needed conditions. This model is an applied model and can be tested by other researchers that use survey methods. It is noteworthy that the model also makes an effort to discuss the specific relationship between emigration with social change and social deviation. In conclusion, this research presents some relevant advantages of the model.

Keywords: emigration and international migration, professionals, anomie, social change and globalization, brain drain, social deviation, system and intersystem, structure

An Intersystem Model for Analyzing International Migration:
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Samad Yaghoubi Hargalan
University of Wollongong, CAPSTRANS, Australia

Abstract
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Keywords: emigration and international migration, professionals, anomie, social change and globalization, brain drain, social deviation, system and intersystem, structure

Introduction

Population mobility is a central and active ingredient in the formulation and elaboration of any relationships inherent in the changing world order (Gould and Findly, 1994: 248).The upsurge in migratory movements in the post-1945 period, and particularly in the 1980s and 1990s, indicates that international migration has become a crucial part of global transformation (Castles and Miller,1998:103). In this sense it is said that the movement of professional, technical and kindred workers (PTKs) to developed countries is an integral component of international migration and the global restructuring process (Cheng and Yang, 1998:626).

However, the importance of academics in both sending and receiving countries lays not only on their number but also on their central role in the development process. For this reason it is not overstatement to call academic professionals "the change and innovation agents" or "valuable human capital". Today, one form of professionals' emigration, which is commonly called the "brain drain", has attracted the attention of socio-economic planners in all societies

By using a cognition model, which includes three descriptive, explanatory and functional dimensions, this article develops an intersystem migration model based on Robert K. Merton's "Social Structure and Anomie Theory". In this way not only both immigration and emigration in a society or among societies can be explained but also a large number of variables, which have been introduced by relevant migration theories, are integrated in this model in both in and out-system factors as well as needed conditions. This applied model also considers the specific relationship between emigration with social change and social deviation.

The Relation of In-system and Out-system Changes with Migration and Social Deviation

One of the most important issues in studying of migration is the role of various changes in human societies. These changes are considered under two categories, that is in system and out system changes. In-system category constitutes only a part of in-system factors influencing emigration of professionals and out-system changes are introduced in this theoretical framework as one of the conditions that prepare the needed context for the factors to be more efficient .

Any kind of structural change in society such as socio-political and economic changes, modernization, increased immigration, population transition, industrial transition and the like could produce emigration phenomenon. In recent years, social

scientists have developed the notion of a 'migration transition'. Societies go through a number of fundamental changes in connection with economic development. The 'industrial transition' refers to the shift of economic activity and employment from agriculture to manufacturing, and then to services. The 'demographic transition' involves falls in both mortality and fertility, leading to slower population growth and ageing populations. The 'migration transition' is seen as a result of all preceding changes (Castles and Miller, 1998: 144). On the whole, it is said that international migration is a collective action which is in the context of societal and economic change and affect the whole society in both sending and receiving areas (Castles and Miller, 1998: 19; Castles1989: 104).

However there is a mutual relationship between social change and emigration process. In sending countries, without a doubt, lack of professional emigrants and human capital would affect developing process over time and in receiving countries, migrations can change demographic, economic and social structures, and bring a new cultural diversity, which often brings into question national identity (Castles and Miller, 1998: 4). Whereas officials in destination countries of the past saw immigration as necessary for industrialization and a vital part of nation building , today's political leaders view immigrants as a social and political problem to be managed (Massy and others, 1998: 6) .

In the form of *in-system change*, Emile Durkhiem's "anomie" theory and social disorganization theories could be useful. Durkheim used anomie to explain a specific type of suicide as a form of social deviation. According to Durkheim's anomie theory when society is disturbed by some painful crises or beneficent but abrupt transitions, it is momentarily incapable of exercising this influence; thence come the sudden rises in the curve of suicides (Durkheim, 1970: 252). He states that industrial and financial crises increase suicides because they are disturbances of the collective order (Durkheim, 1970: 246). However he points out that anomic suicide occurs in large number only at special points, where industrial and commercial activity are very great (Durkheim,1970: 358).

In the case of economic disasters, indeed, something like declassification occurs which suddenly casts certain individuals into a lower state than their previous one. Then they must reduce their requirements, restrain their needs, and learn greater self-control. All the advantages of social influence are lost so far as they are concerned; their moral education has to be recommenced. But society cannot adjust them

instantaneously to this new life and teach them to practice the increased self-repression to which they are unaccustomed. So they are not adjusted to the condition forced on them, and its very prospect is intolerable; hence the suffering which detaches them from a reduced existence even before they have made trail of it (Durkheim, 1970: 252).

It is the same if the source of the crisis is an abrupt growth of power and wealth. Then, truly, as the conditions of life are changed, the standard according to which needs were regulated can no longer remain the same; for it varies with social resources, since it largely determines the share of each class of producers. The scale is upset; but a new scale cannot be immediately improved Time is required for the public conscience to reclassify men and things. So long as the social forces thus freed have not regained equilibrium, their respective values are unknown between the possible and impossible, what is just and what is unjust, legitimate claims and hopes and those which are immoderate. Consequently, there is no restraint upon aspirations (Durkheim, 1970: 252-253).

Social disorganization theories state that in a society with rapid changes in various forms of industrialisation, urbanization, modernisation, and the like social disorganization is emerged and social deviant behaviors find suitable context to be appeared consequently. Any form of change that brings any measurable alteration in the routine of social life tends to break up habits; and in breaking up the habits upon which the existence social organisation rests, destroy the organisation itself. Every new device that effects social life and social routine is that extent a disorganization influence. Every new discovery, every new invention, every new idea, is disturbing. In association whit the view above social disorganization theorists clarified that with the growth of great cities, with the vast division of labor which has come in with machine industry, and with movement and change that have come about with the multiplication of the means of transportation and communication, the old forms of social controls represented by the family, the neighborhood, and the local community have undermined and their influence greatly diminished. Based on this fact they believe that delinquency is, in some sense the measure of the failure of community organisation function (Park et al., 1968: 106-107).

On the whole, by following rapid social changes in the various forms in a society and creating new conditions and new social norms and standards of behavior consequently, some nonconformist behaviors come into view. Based on this thought

and accepting this fact that in the case of professionals' emigration there are a range of effectual factors such as in-system changes which introduce professionals emigration, specially university lecturers' emigration as a kind of social deviation, the reason of using anomie and social disorganization in the present research is revealed.

With regard to this fact that a society has spent a huge amounts in educating and teaching its professionals who are actual capitals and constructive human powers of the society so, in the frame of a significant social value, it is socially expected that these professionals use their knowledge and professions in the way of developing their own society or give informational help to go on the existent development process progressively. It is obvious that professionals' emigration from this point of view is ignorance to a essential social value and hence it can be taken into account as a kind of social deviation which is considerable by this research.

With regards to *out-system changes* as *a kind of required condition* for emigration, as Sassen (1991; 1995) has referred, several authorities suggest that new forms of international migration are associated with globalization, i.e., the integration of the world capitalist system and specifically with growth of global cites (Burnley, 1997: 2). Globalization has led to the emergence of fierce international competition for skilled employees and many countries are competing for highly skilled temporary workers as well as for professional permanent migrants. Additionally, new pattern of work are providing opportunities for the creation of more mobile workforces. This is particularly the case in the information technology (IT) sector. Growing shortages in particular occupations in many countries, such as information technology and nursing, are providing rapidly expanding or new opportunities for mobility. The information revolution and the drive for new technologies and software have resulted in situation where most countries are short of IT professionals (Iredale, 2001: 11).

With reference to the world order as a phenomenon that has been emerging since before the end of the cold war it can be seen that there has been a renewed concern for international migration within the Third World that is systematically related to the new and changing global relationships and associated internal changes. The world order that is emerging seems to have, amongst other, three critical features for the third World:

1. Increasing economic differentiation between countries and regions of the Third World.
2. Increasing political instability between and within Third World states.

3. A more prominent and pro-active role in global management being taken by multilateral financial organizations to order economic policies of Third World countries (Gould and Findly, 1994: 198).

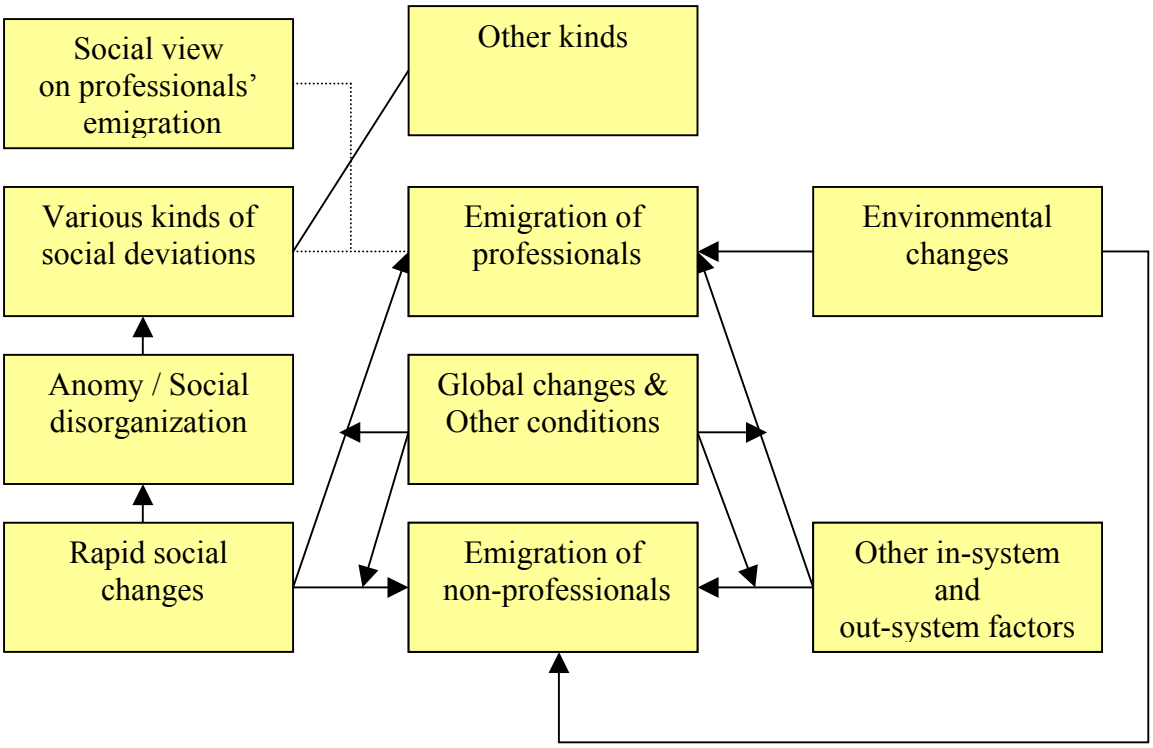
The three characteristic features -economic differentiation, political instability and structural adjustment- are associated with particular forms of population migration (Gould and Findly, 1994: 201).

The role of global media as a different efficient condition of emigration should not be overlooked. The global explosion in mass communications since the late 1980s, and in particular satellite television, made many people in the Third World more aware than before of the supposed affluent lifestyles in rich countries (Gould and Findly, 1994: 117). This role on the subject of professionals has been taken also by internet in recent years.

To sum up, migration is a process that from one hand may be lead to the specific form of social transformation (as impacts of emigration in both sending and receiving systems) and from the other hand can be produced by different forms of social change (in-system and out-system changes). However, both sides of this process are considered in the present paper. In this article, also, I attempt to show that emigration of professionals can be occurred in the presence of out and in-system factors as well as needed conditions. In-system changes are part of in-system factors and out-system changes acts as a part of needed conditions. Other in system factors will be extracted from relevant migration theories. This is true about out-systems factors too. As the model below shows in-system changes in the society along with the effects of out-system changes, which act as needed conditions for emigration, are added to both in and out-system factors and thus shape emigration of professionals process which could have some specific impacts in both migrant sending and receiving systems. This kind of emigration may be seen as a deviant social behavior in some societies. For example, emigration of professionals, especially academicians, in some developing countries, such as Iran, Turkey, Syria, Azerbaijan and so on, that are about to plan for development is likely taken into account as a kind of social deviation. The public expectation from professionals and highly trained personals in these societies is upon this fact that professionals should stay in their countries and lead development process in correct direction. However, the accuracy rate of this idea can be examined by a scientific research in sending societies.

In the figure 1, which gives you an idea about a preliminary model, the relations among emigration, in-system and out-system changes and social deviation can be seen clearly.

Figure 1: The relations among emigration, in-system and out-system changes and social deviation



As it was mentioned above, both in-system and out-system factors can be extracted from relevant propositions of the following migration theories:

- Neo-classical Economics and 'Push-pull' Theories (Castles and Miller, 1998: 20; Lewis, 1982: 100; Todaro and Maruszko, 1987; Massey and Espinosa: 1997: 247; Massey et al., 1998: 19-20);
- The new Economics of Migration Approach (Messy et al., 1998: 27-28; Stark and Levhari, 1982; Stark 1984);
- Segmented Labor Market Theory (Piore, 1979; Messy et al., 1998: 33-34; Messy and Espinosa, 1997: 954);
- Social Capital Theory (Thomas and Znaniecki, 1918-20; Gamio, 1930; Bourdieu and Wacquant, 1992: 119; Palloni et al., 2001: 1264; Messy et al., 1998:45);
- Cumulative Causation Theory (Myrdal, 1957; Messay, 1990; Messy et al., 1998:49-50);
- Historical-structural Theory (Massey et al., 1998: 34-35; Castles and Kosack, 1985; Cohen, 1987; Sassen, 1988);
- World System Theory (Fawcett and Arnold, 1987: 456; Nogle, 1994: 329, Massey et al., 1998: 41).

By extracting a large number of related variables and integrating them in three groups of influencing factors (in and out-system factors as well as needed conditions for emigration) two stage of preparing a final analytical model has been done. In next stage the form of building intersystem model and using this model as well as those three groups should be followed in an final analytical model.

Intersystem Model of International Migration

In order to achieve an intersystem model of international migration I have considered Robert K. Merton's "*social structure and anomie*" theory. His primary aim in that paper lay in discovering how some social structures exert a definite pressure upon certain persons in the society to engage in nonconformist rather than conformist conduct (Merton, 1938: 672). For answering this question he considers the elements of social and cultural structure of society and among them finds two elements important for his purpose. These elements are analytically separable although they merge imperceptibly in concrete situations. The first consist of culturally defined

goals, and interests. It comprises a frame of aspirational reference. The second phase of social structure defines regulations and controls the acceptable model of achieving these goals. Every social group invariably couples its scale of desired ends with moral or institutional regulation of permissible and required for attending these ends (Merton, 1938: 672-673).

The basic argument of Merton's paper is that the coupling of cultural goals and institutional means can be characterized either by a disproportionate emphasis on cultural goals at the expense of institutionalized means , or by an opposite emphasis on means at the expense of goals (Orru, 1987: 122). By considering the different states between culturally defined goals and institutional norms and means, Merton finds five logically possible alternative modes of adjustment or adaptation by individuals within cultural-bearing society or group. These are schematically presented in the figure 2, where (+) signifies "acceptance", (-) signifies "elimination" and (±) signifies "rejection and substitution of new goals and standards".

Figure 2: Merton's model of anomie

	Cultural Goals	*Institutionalised Means*
(1) *Conformity*	+	+
(2) Innovation	+	-
(3) Ritualism	-	+
(4) Retreatism	-	-
(5) Rebellion	±	±

Merton in clarification of five various adaptations writes that in every society, adaptation 1 (conformity to both cultural goals and means) is the most common and widely diffused. Were this not so, the stability and continuity of society could not be maintained. The mesh of expectances which constitute every social order is sustained by the modal behavior of its members falling within the first category.

He adds that where frustration derives from the inaccessibility of effective institutional means for attaining economic or any other type of highly valued "success", that adaptations 2, 3 and 5 (innovation, ritualism and rebellion) are also possible. The result will be determined by the particular personality, and thus, the particular cultural background, involved. Inadequate socialization will result in the innovation response whereby the conflict and frustration are eliminated by relinquishing the institutional means and retaining the success-aspiration; an extreme assimilation of institutional demands will lead to ritualism wherein the foal is dropped as beyond one's reach but conformity to the mores persists; and rebellion occurs when emancipation from the reigning standards, due to frustration or to marginalist perspectives, leads to the attempt to introduce a "new social order".

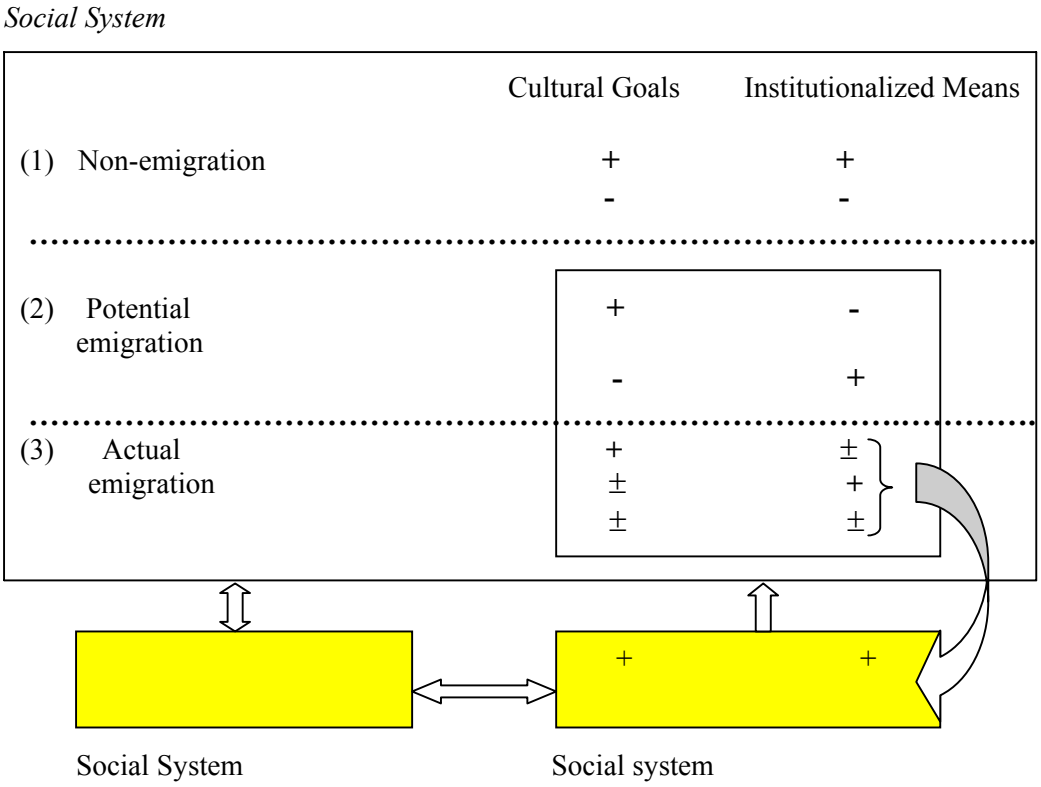
Regarding adaptation 4 (rejection goals and means) Merton believes that it is the least common. Persons who "adjust" (or maladjust) in this fashion are, strictly speaking, in the society but not of to. Sociologically, these constitute the true "aliens". Not sharing the common frame of orientation, they can be include within the societal population merely in a fictional sense. In this category are some of the activities of psychotics, psychoneurotics, chronic autists, pariahs, outcasts, vagrants, vagabonds, tramps, chronic drunkards and drug addicts (Merton, 1938: 676-678).

In fact, Merton by using the last four categories of adaptation modes between valuable cultural goals and socially accepted means intends to explain the deviant behaviors as a social problem which has roots in the structure of the society and appearances within four anomic conditions (innovation, ritualism, retreatism, and rebellion) .

Based on Merton's theory I would like to propose an intersystem model of international migration and show that the emigratory behavior of professionals, also, can be explained by inconsistency between cultural goals and institutional means in a social system. In every society having high educational and technological knowledge, living in desired economic, political and social systems is a valuable social goals which everybody tends to achieve them. However, when for example academic

professionals as members of the society could not access to the related means to attain them or when the whole or part of these goals and means are not suitable for professionals or not found in their society and they emphasis to find the relevant adjustment the emigration to other societies that contain the required consistency between goals and means is begun. According to this notion the model of Merton can be used in this research as the figure 3 in the three category with seven states to explain migration phenomenon among different societies.

Figure 3: Intersystem Model of International Migration



In the model of figure 3, (+) signifies acceptance or existence and (-) signifies rejection or nonexistence of cultural goals or institutionalized means. The combination of these signs (±) also indicates the rejection or nonexistence goals or means but trying to substitute by new goals or standards instead.

With regards to the model above, in both (+ , +) and (- , -) states there would be no emigration. However there is difference between them. In the first sate (+ , +) there is a full adjustment between cultural goals and institutional means in the structure of the social system. For example, being academician and scientific researcher are valuable social goals in the society and required relevant means such educational and research facilities or services as well as professionals desired living standards are provided. This example can be applied for other categories with necessary change. Thus, In the first state, the academician stays in his/her own society and gives professional services in the related field there but in the second state (- , -) the academic professional although finds no suitable goals and means or does not accept them, however does not show any action to substitute them by other ones that approves them. This kind of professionals who do not take into account the goals and means, typically do not show any tendency to emigration and sometimes cope with unrelated or unprofessional jobs in their own country.

In the category of potential emigration, as the model shows there is no consistency between cultural ends and socially accepted means in the structure of the social system. Nevertheless, one of the goals or means, which professional accept it, in both states(- , + or + ,-) of the structure of society can be seen. The example above can be true for the state of (+ , -) in which being academician and scientific researcher are social values but educational and research amenities or services as well as professionals desired living standards are not available as relevant means. One of the suitable example for the state of (- , +) could be bureaucracy in the society where the main purpose of it has been forgotten and there is no suitable or rational organized planning or functional order in institutions of society but the paper works strictly regulations prevail. In states of the second category it seems that the professional has consciousness toward the inconsistency and feels the need for consistent means or goals but does not do any practical action to find the suitable one elsewhere. In such a case, there is sufficient potential for emigration and it may be occurred in the future.

Finally, In the third category there will be three different states. When both or one of goals and means are not approved by academician (as it can be seen in the examples of the second categories) and he/she strongly intends to find adjustment between valuable cultural goals and relevant institutionalized means but could not find it possible in the system of his/her society, other systems are selected and emigration process is become unavoidable consequently. Religious societies can give good example for the state of (± , ±). This state can be seen in a society that the religion institution has been overcome to the other social institutions and every institution should follow religious laws. Consequently, there would be no political freedom (as a cultural goals) as well as free press or different parties activity (as relevant means). In this conditions academicians as a main part of intellectuals of society if seek political freedom and its relevant tools and could not access it in their own society the emigration actually will occurred.

Final Analytical Model of Problem

With reference to the intersystem model of international migration the analytical model to do research on academic professionals' emigration from sending systems to receiving societies has been constructed as the figure 4 following a three dimensional cognitive model.

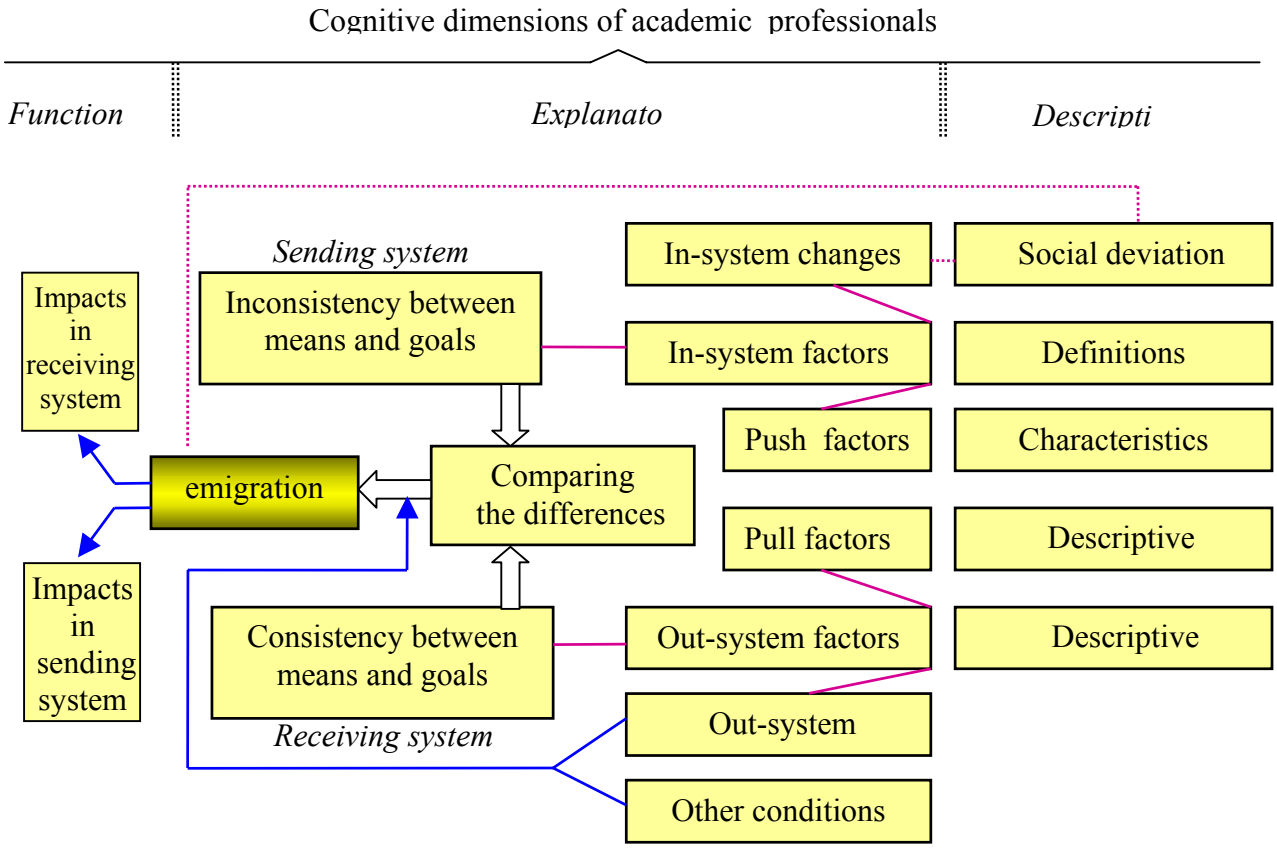
In descriptive dimension the basic and important concepts and variables are defined and the characteristics of three immigrants groups in Australia as background variables described. Moreover, some related descriptive statistics related to emigration from selective societies in the past ten years from 1991-2001 are considered. Finally, other descriptive variables (measuring the emigration of academic professionals as a kind of social deviation; the rate of importance of wage in migration decision; the trend of cultural and economic interactions between sending and receiving systems; the trend of academic professionals emigration to receiving society from sending societies; social transformation in the those societies; the role of academic professionals in preparing context for emigration of more emigrants) also can be considered.

In explanatory dimension the factors influencing emigration process as well as necessary conditions of emigration, which have been extracted from migration theories, are explained in a integrated causal relation form as follows:

- *In-system factors* including various forms of in-system changes (socio-political and economic changes, modernization, increasingly immigration, population transition and industrial transition and the like) and push factors (undesired economic system and work conditions; undesired social system; undesired political system; undesired population rate; undesired environmental system).
- *Out-system factors* including pull factors (desired economic system; desired social system; desired political system; desired environmental system; desired population rate) and global changes or various form of out-system changes as a part of needed *conditions* for emigration (globalisation; new world order pattern; new pattern of work; growing shortages in particular occupations; The interest and tendency of Australia to achieve part of its needed professionals from abroad by skilled immigration programs consequently; the information revolution; media and internet; and so on)
- Other conditions (the effect of political intervene of exploiter countries in the economy of emigrants' countries; the effect of educating in abroad ; the rate of need for capital for migration; the rate of risk acceptance of emigrant; the role of government policies regarding emigration; the role of family and household in emigration decision; Social networks);

In functional dimension as the model shows the important impacts of academicians' emigration in both receiving and sending societies could be considered.

Figure 4: Analytical model of academic professionals' emigration



The model of figure 4 clearly shows the mechanism of formation of emigration phenomenon. According to this model the comparison of inconsistency between cultural goals and institutionalized means in migrant sending system with consistency between goals and means in the receiving system in the presence of required conditions lead to appearance of emigration in sending society. In order to measure the rate of consistency between means and goals the satisfaction rate of the functions of main subsystems (political, economic, social, and educational systems) in both sending and receiving countries can be considered based on in and out-system factors. Following this measurement if the mean rate of consistency in sending society is low and in receiving society is high the emigration process would be possible.

Conclusion

Some important characteristics in this proposed intersystem model of international migration can be found as follows:

- By using this model not only both emigration and immigration among societies can be explained but also intermigration between two societies are not ignored.
- In a social system that there is no consistency between a specific cultural goal and mean it may be found between another goal and mean at the same time. In such a case a social system can be a sending system of migrant to other system that contains the necessary adjustment between that goal and mean but in its turn a receiving system of migrant from the same system which has the required consistency.
- This model not only is able to explain actual emigration in the sending countries but also can explain and predict the upcoming emigration by considering potential emigration.
- As it can be seen in the final analytical model of emigration below, the proposed intersystem model has integrated a large number of migration theories in itself by passing through two stages. In the first stage the extracted variables have been classified in two categories of out-system and in-system factors. It is important to note that in-system factors consist of push factors and in-system changes. In contrast, the out-system factors comprise out-system factors and pull factors. In the second stage in-system and out-system

factors have been considered as inconsistency between goals and means in sending system and consistency between goals and means in receiving system respectively. It should be mentioned that the out-system changes only consider as a part of required conditions for emigration rather than influencing factors.

- By using this model it can be understood that some of migration theories only can be taken into account as required condition instead of influencing factors of emigration.
- This model can be taken into account as a developed form of Merton's theory because of considering goals and means in two or several systems in different societies instead of one.
- As this model is based on Merton's theory and considers the consistency rate between cultural goals and socially accepted means, therefore it can be used as one of the methods for measuring this fact whether or not emigration behavior of professionals especially highly trained professionals can be taken into account as a deviant behavior.

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An Intersystem Model for Analyzing International Migration:

Considering Academic Professionals Emigration as a Case in Point

By:

Samad Yaghoubi Hargalan

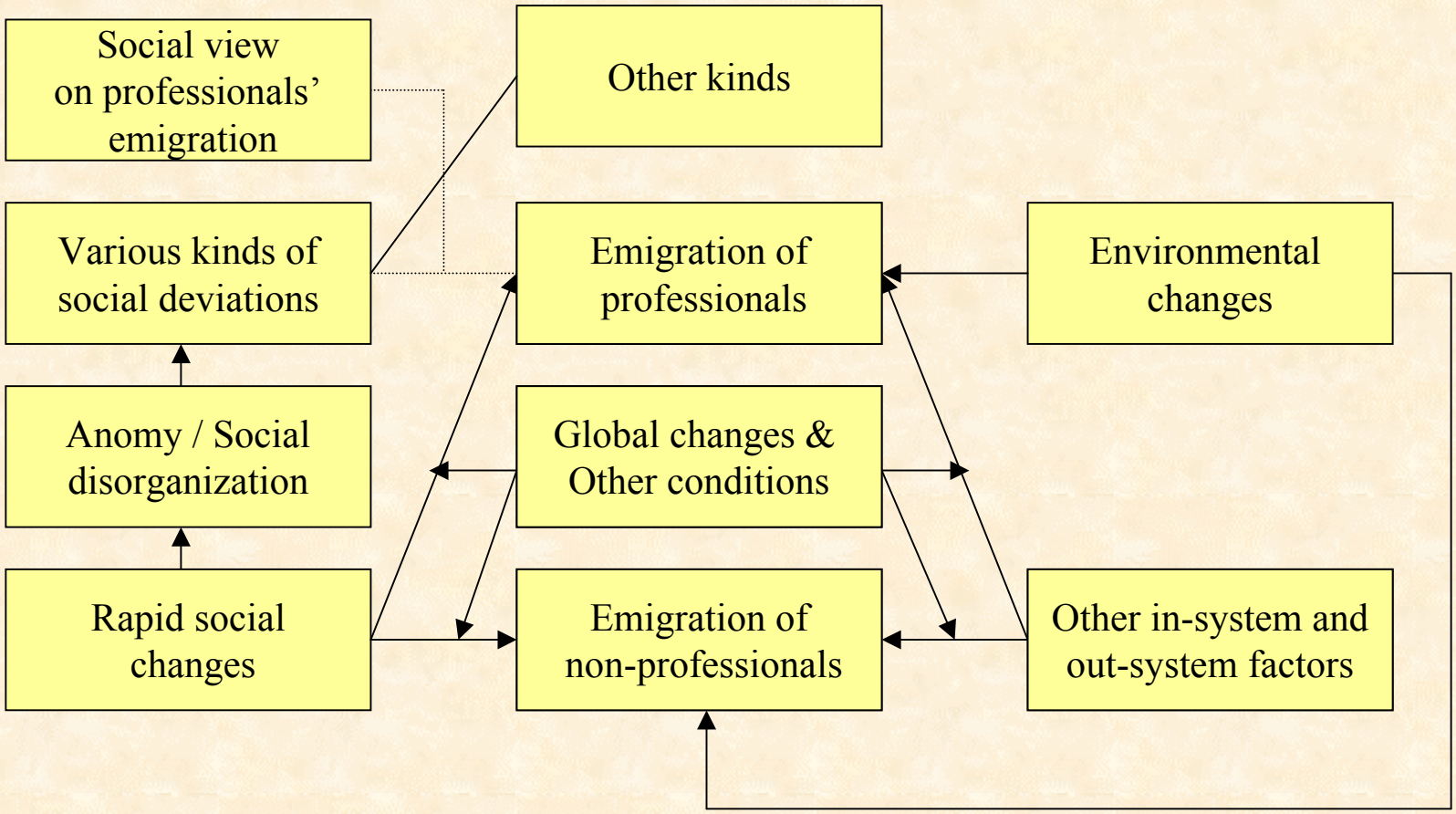
Supervisors:

Prof. Andrew Wells and Dr.George Matheson

Abstract

This poster presents work which attempts to prepare an intersystem migration model by developing Robert K. Merton's " Social Structure and Anomie Theory" in order to explain both immigration and emigration in a society or among societies. A large number of variables, which are introduced by relevant migration theories and which effect international migration process, are integrated in this model in the form of both in and out-system factors as well as needed conditions. This model is an applied model and can be tested by other researchers that use survey methods. It is noteworthy that the model also makes an effort to discuss the specific relationship between emigration with social change and social deviation. In conclusion, this research presents some relevant advantages of the model.

The relations among emigration, in-system and out-system changes and social deviation

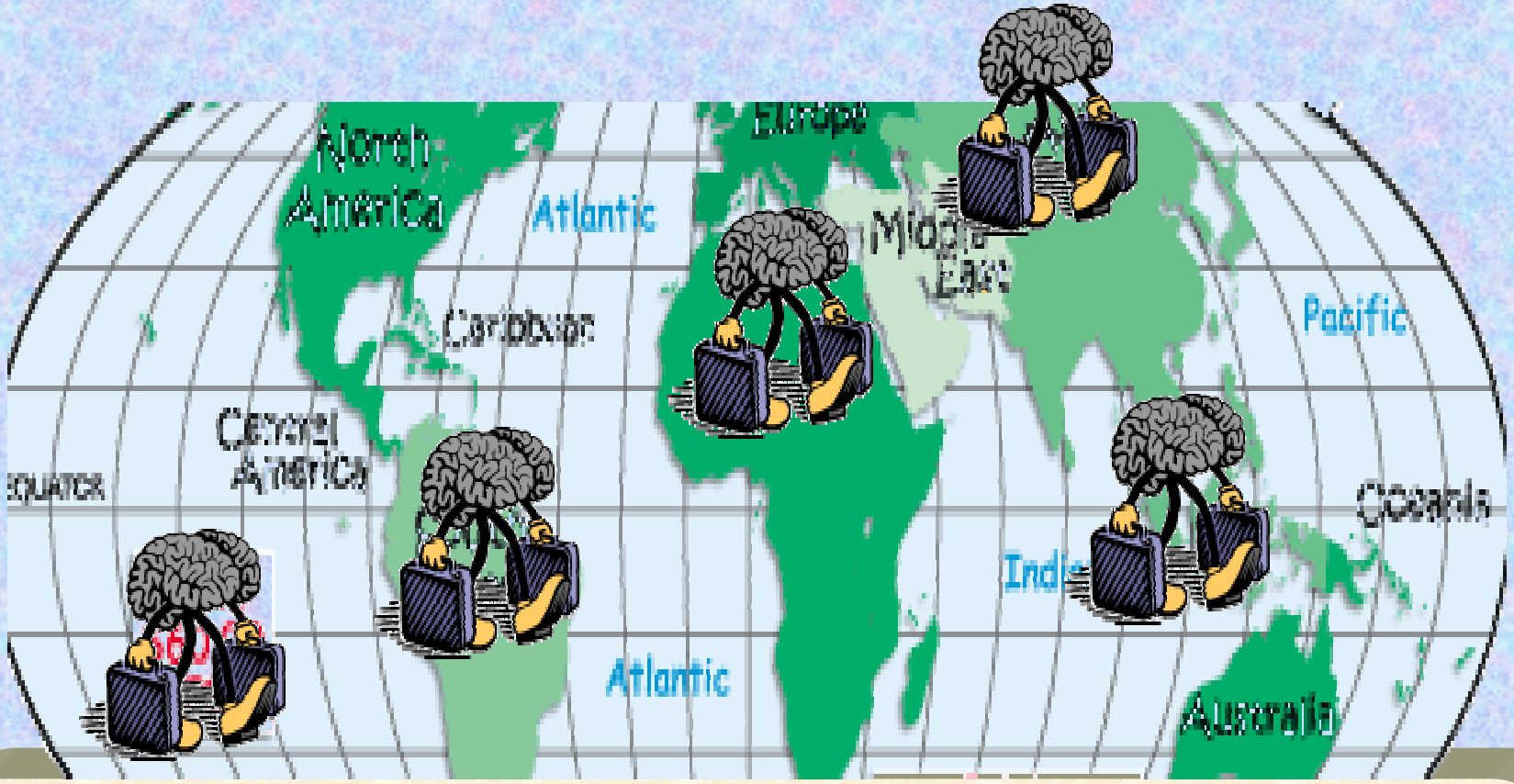


Merton's model of anomie

In order to achieve an intersystem model of international migration, Robert K. Merton's "*social structure and anomie*" theory has been considered .

		Cultural Goals	*Institutionalised Means*
(1)	Conformity	+	+
(2)	Innovation	+	-
(3)	Ritualism	-	+
(4)	Retreatism	-	-
(5)	Rebellion	∓	∓

(+) signifies acceptance or existence of cultural goals or institutionalized means
(-) signifies rejection or nonexistence
(∓) indicates the rejection or nonexistence goals or means but trying to substitute by new goals or standards instead.

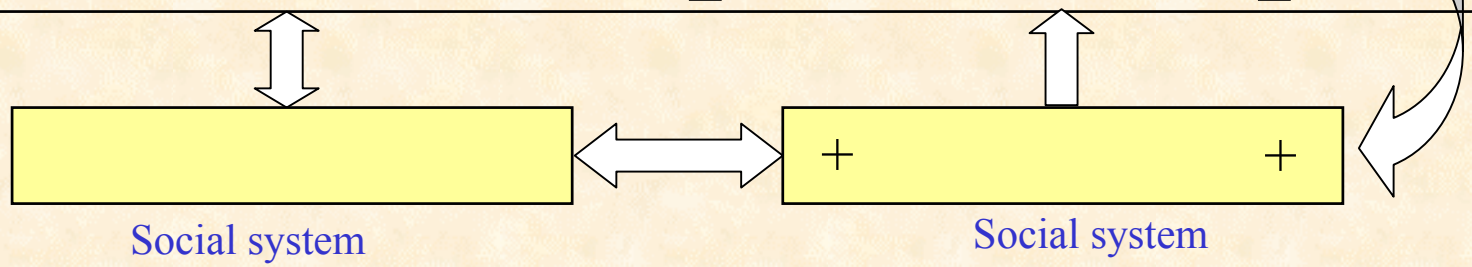


The intersystem model of international migration explains the Emigration of professionals by considering the inconsistency between cultural goals and institutional means.

Intersystem Model of International Migration

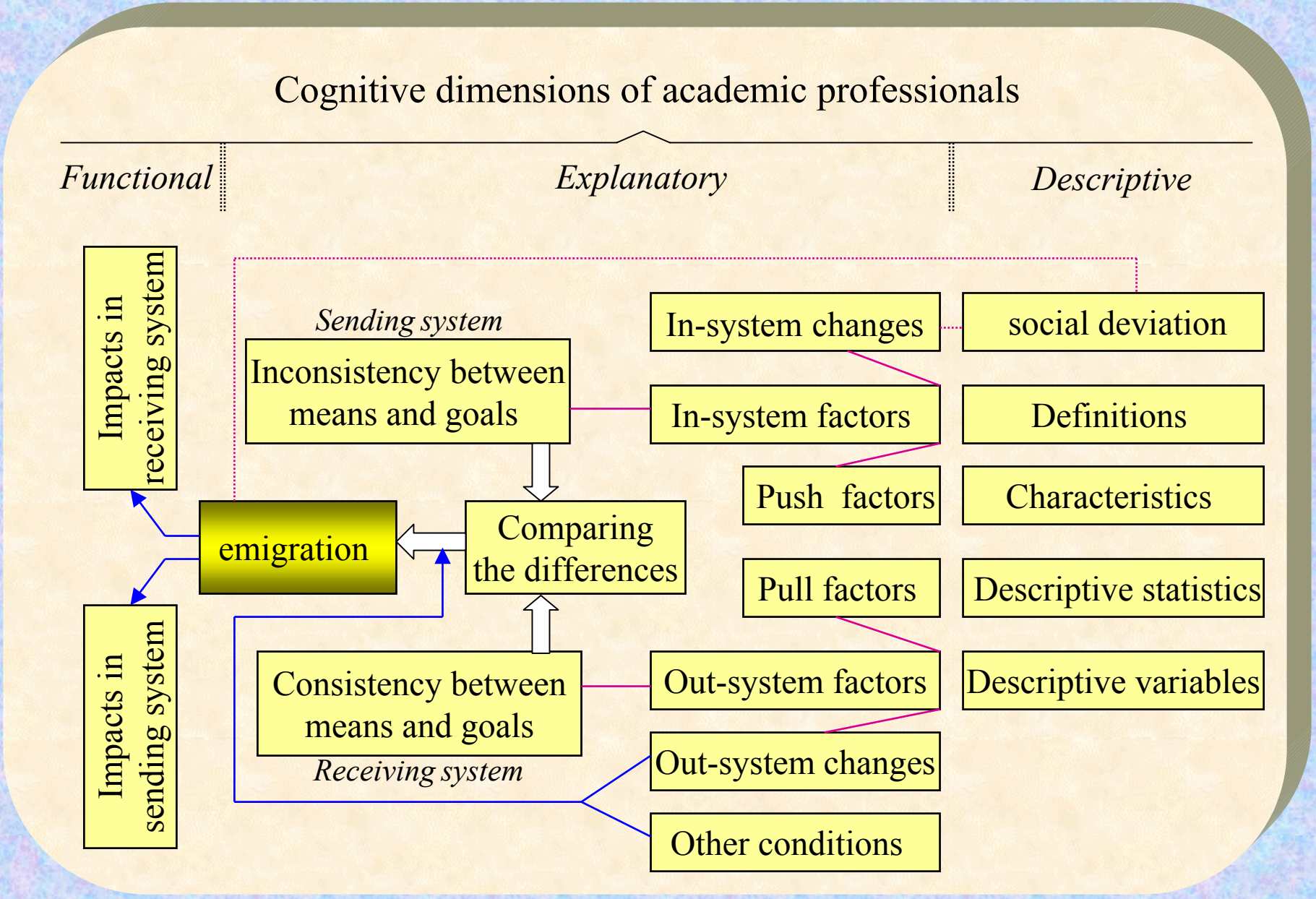
Social system

	Cultural Goals	Institutionalized Means
(1) Non-emigration	+	+
	−	−
(2) Potential emigration	+	−
	−	+
(3) Actual emigration	+	±
	±	+
	±	±



With reference to the intersystem model of international migration the analytical model of academic professionals' emigration from sending systems to receiving societies has been constructed as the model below following a **three dimensional cognitive model.**

Analytical model of academic professionals' emigration



Conclusion

Explanation of both potential and actual emigration

Understanding the required conditions of emigration

Explanation of both emigration and immigration among societies

Considering consistency between goals and means in more than one system

A method for measuring academic emigration as a kind of socially deviant behavior

TITLE PAGE FOR SUBMISSION

1. **SWAYING IN THE HEAT OF ISLAND – From Ambivalence to Dynamism in Caribbean LiteratureLiterature**
2. **Shin Yamamoto**
3. **Associate Professor, Department of Media Communication, Yokkaichi University**
4. **8-12, Takigawa, Yokkaichi, Japan 510-0034**
5. **yamamoto@yokkaichi-u.ac.jp**
6. **The climate of the Caribbean is hot and humid, and slaves and indentured workers in the colonial era would be swaying in the terrible heat of tropical sunshine. After abolition of slavery and independence of nations, although the climate had never changed, a new heat came up from the soil of islands and people were forced to "sway" between tradition and modernism, one culture and another, and locality and globalization, in the name of "ambivalence." The Caribbean literature has since been depicting these "sways" in the heat of social and psychological struggles and resultantly created a dynamic social attitude called "Caribbean dynamism." My paper will focus on three major Caribbean writers, Earl Lovelace, Olive Senior and Willi Chen to study how these writers incorporate those "sways" in their texts with the context of modernism, tradition, globalization, locality, race conflicts and so on. Also, I would like to put Edwidge Danticat in addition to focus on mental "sway" between the dead and the living, invisible and visible, or irrational and rational. The major aim of this study is to propose those "sways," which has been considered in a negative way, could quite possibly turn into a positive concept, not only for the Caribbean society but generally for the modern world because it creates the appropriately-balanced stance between modernism and tradition, local and global, own culture and other's, rational and irrational, and even beyond.**

Michael Vincent Yang
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The Journey to the West: A Sociopolitical Discourse

The author of The Journey to the West, one of the most popular novels in China, tells his reader through its hero Monkey that Confucianism, Daoism, and Buddhism are one: "Three religions are one."1 Needless to say, the novel itself incorporates various ideas from these three major schools of philosophy. Since the doctrines of these schools are often at variance with one another, a problem thus arises when a reader tries to sort out in the novel the inter-relationships among Confucianism, Daoism, and Buddhism and to integrate them into a coherent, if not harmonious, whole. In attaching value to each of these schools in the novel, some critics attempt to endow Buddhism with a preponderant significance that turns this novel into a Buddhist work of spiritual cultivation. The reigning theme of the novel, according to C. T. Hsia, is "anchored in the Buddhist doctrine of emptiness."2 "The supremacy of Buddhist wisdom," Anthony C. Yu also writes, "is never questioned in the narrative."3 True, Xiyou ji is based on a monk's pilgrimage to India. The Buddhist framework notwithstanding, many critics have pointed out, the author from time to time appears to hold Buddhist figures in contempt, a telling example of which is Monkey's "relieving nature" in a Buddha's palm. Should one dismiss such disparagement as merely crude jokes, as these critics tend to do? Some critics evidently disagree. Zheng Zhenduo, for example, maintains that the author knew little about Buddhism: "From the absurd book list of Buddhist literature that Wu compiled in Chapter Ninety-eight in keeping with the three categories of sutra, law, and commentary, we know that he had a superficial knowledge of Buddhism."4 This view has found support in a good number of critics in China even to this date.5 To such critics, the novel's ruling theme may be anything but Buddhism.

Recent scholarship in America turns away from Buddhism to Neo-Confucianism for the novel's theme. Accepting the earlier critics' assertion of the

importance of spiritual cultivation but modifying their pro-Buddhist stance, Professor Andrew Plaks, strives to read into this novel as its ruling theme the Neo-Confucian concept of the cultivation of the mind, "a psychomachia of the process of the cultivation of the mind."6 Is Xiyou ji a spiritual discourse? Hardly so. Making ample and liberal use of both Daoist and Buddhist cliches, this novel is in essence a satire, a sociopolitical discourse, undercutting social ills of various kinds and providing artistic entertainment. Only peripherally is the novel a philosophical discourse; essentially, it is a sociopolitical discourse, depicting as it does at its core, not spiritual cultivation, but the crookedness and depravity of Chinese society in general and the society of the Ming dynasty in particular.7 In its exploration and presentation of social ills, jocularity more often than not coincides with seriousness. Indeed, the author's serious criticism often expresses itself in a satiric, jocular mode. This study thus explores the novel's artistic integration of these three different schools and two different discourses, focusing on its sociopolitical significance expressed through the teachings of Confucianism, Daoism, and Buddhism while taking both serious teaching and light-heartedness into account.8

The Outcry for Justice

The novel abounds in stories of injustice. The series of chapters from Thirty-seven through Thirty-nine serves as a pertinent starting point of illustration. These chapters concern, among others, the wrong which the King of Black Cock Kingdom has received from a Daoist priest, who later turns out to be a Bodhisattva's pet lion--an interplay among Confucianism, Daoism, and Buddhism. It begins late at night with the appearance before Tang Sanzang (Tripitaka), when he is by himself, of a ghost, the spirit of the king who has been murdered by a Daoist priest for three years. The night in which the ghost king appears most fittingly symbolizes the dark world of injustice he has encountered. During these three years since his murder, the king has sought justice in vain, and now in despair he turns to Tripitaka for the reparation of wrong. When Tripitaka asks him why he, grievously wronged, did not bring up his case with the

King of Death, the supposed upholder of justice in Hades, the ghost king's reply is socio-politically illuminating:

"The magician's power," he said, "is very great, and he is on close terms with the clerks and officers of Death. The Spirit of Wall and Moat is forever drinking with him; all the Dragon-kings of the Sea are his kinsmen. The God of the Eastern Peak is his good friend; the ten kings of Judgment are his cousins. I should be barred in every effort to lay my plaint before the King of Death."9 This discourse touches upon the moral fiber of Chinese politics at its weakest: Personal connection too often prevails over justice. The ghost king, blocked in his way to justice, has to turn from the King of Death to Tripitaka for the reparation of his wrong. This passage reinforces the theme introduced earlier in Chapters Ten and Eleven, where Emperor Tang Taizong faces his imminent death and prepares himself for it. Through the intervention of his minister, Wei Zheng, however, the Tang emperor, though doomed to die, succeeds in reclaiming his life--a most telling example of the influence of personal connection, which extends far and wide, even beyond the time and space of the human world. What Wei Zheng does is to exercise his personal influence with his friend in Hades, a judge named Cui Jue. The following is an illustration of his scheme:

"Let Your Majesty be relieved. Your subject knows something which will guarantee long life for Your Majesty." "My illness," said T'ai-tsung, "has reached the irremediable stage; my life is in danger. How can you preserve it?" "Your subject has a letter here," said Wei, "which I submit to Your Majesty to take with you to Hell and give to the Judge of the Underworld, Ts'ui Chueh." "Who is Ts'ui Chueh," asked T'ai-tsung. "Ts'ui Chueh," said Wei, "was the subject of the deceased emperor, your father; at first he was the district magistrate of Tzu-chou, and subsequently he was promoted to vice-president of the Board of Rites. When he was alive, he was an intimate friend and sworn brother of your subject. Now that he is dead, he has become a judge in the capital of the Underworld, having in his charge the chronicle of life in the region of darkness. He meets with me frequently, however, in my dreams. If you go there presently and hand this

letter to him, he will certainly remember his obligation toward your lowly subject and allow Your Majesty to return here. Surely your soul will return to the human world, and your royal countenance will once more grace the capital."10
As planned, Taizong presents the letter to Judge Cui in Hades, who upon receipt of the letter assures the emperor of his safety and then stealthily alters the entry in the Book of Life and Death, thereby granting him twenty more years of life than the life span originally prescribed by the Book.11 Evidently, the theme of injustice reflects on the novel's author, who lacked influential personal connection to exalt him to an adequate position in the government.12 The author Wu Cheng'en (1505-1580), though a brilliant figure, failed repeatedly the Civil Service Examinations and could not obtain a position with the government until he reached the age of sixty-three.13 Even after he passed these examinations, for the next year and a half he remained an inconspicuous county clerk and as such he finally ended his career. Worse still, during his short-lived career he was slandered and accordingly jailed. Despite his impressive talent, he had been forced to stay low on the totem pole, as he did throughout his whole life, and eventually died in dire poverty.

Weak Rulers

Aside from personal connnection, weak rulers in China often account for the absence of justice. As the leader of the pilgrimage, Tripitaka, in view of his great deeds history has recorded, is expected to be an exemplary figure of strength and virtue. In the novel, however, weakness marks his character.14 For example, the revelation of the identity of the King as a ghost terrified Tripitaka: "The Tang monk, having heard that he is a ghost, was scared. His body became soft, his strength was gone, and hair stood on end" (37: 457). This timid image of Tripitaka is in keeping with the overall negative portrait of the monk--weak, whiny, irascible, and unfair.15 As many critics have pointed out, the fictional image of the monk is the opposite of the conventional image of the historical figure by that name.16 Viewed as a spiritual discourse, the pejorative description of the monk, to be sure, undercuts the validity of the Buddhist doctrines represented by

Tripitaka. The author's taunting and sneering in his novel of this widely respected historical figure, who gave his life for the cause of Buddhism, surely indicates his critical stance against the Buddhist belief. Any Chinese who has a sympathy with Buddhism, in my view, will find it hard to harden his heart for poking fun at this devoted, pious monk, let alone vilifying him and casting him in a contemptible, albeit fictional, mode. Nevertheless, earlier in the novel the author has taunted the historical Buddha, and it should come as no surprise that he also holds the great Tang monk in contempt. His artistic transformation of Tripitaka not only gives him a negative Buddhist implication but also and above all endows him with a socio-political significance. Through this unpalatable image, the author endeavors to show the weakness and unworthiness of various historical rulers in general and the Ming rulers in particular. It may not be wholly irrelevant that the founding emperor of the Ming dynasty, Zhu Yuanzhang (1328-1398), had originally been a Buddhist monk before he rose to power.17 As a leader of the group of pilgrimage, Tripitaka, who rules Monkey with an iron hand, wears a countenance of socio-political significance and symbolizes in microcosmic terms rulers in general in Chinese history--weak, foolish, cruel, and unjust.

Tripitaka, of course, is not the only weak ruler in the novel. The negative image of a ruler appears at the outset of the novel in the Jade Emperor, the ruler of the whole universe. After Monkey acquired magic powers, subdued a kingdom on earth, triumphed over a kingdom of a dragon in water, and overcame Hades, he was summoned to heaven and received from the Jade Emperor for all his power and valiance, if not heroic feats, Bima wen, a position of low worth. In fact, the position is so low that it is not even listed in the official register in heaven. The novel describes this position in explosive terms:

"What class of appointment is it?" Monkey asked. "It doesn't come in any class," they said. "I suppose it's too high to count as being in any class?" said Monkey. "On the contrary," they said, "it's too low." "Too low!" exclaimed Monkey. "What do you mean?" When an officer doesn't manage to get classed, they put him to mind the horses. There's no salary attached. The most you'll get

for fattening up the horses as you've done since you were here, is a casual 'Not bad!' But if any of them had gone a bit lame or out of condition, you'd have caught it hot. And if any of them had come to real harm, you'd have been prosecuted and fined.

Flames leapt up in Monkey's heart when he heard this. He ground his teeth and said in a great rage, "So that's what they think of me! Don't they know that on the Mountain of Flowers and Fruit I was king and patriarch?18

No doubt, Monkey's capabilities surpass that of a king. What is more, Monkey, as the plot evolves, can take on just about the whole heavenly host. His monkey followers rightly call him "The Great Sage, Equal of Heaven" But for all his surpassing capabilities, he has received a most humiliating position from the Jade Emperor,19 an absurd appointment that shows but the foolishness, shallow-mindedness, and unfairness of the Emperor. The foregoing passage is clearly a socio-political discourse, rather than a spiritual discourse, directed against the blatant flaws and blemishes of the Chinese society and government, in which men of high worth more often than not receive no proper recognition for their talents. This is a perennial theme in Chinese culture, which also finds its way into the greatest classical Chinese novel, Honglou meng.20 When Monkey comments on the flaw of the Jade Emperor, he speaks in actuality for the author himself: "The Jade Emperor does not know how to use talent" (Yu 4: 123). The Jade Emperor has the opportunity to redeem himself when the army he first dispatched to fetch Monkey was hopelessly crushed. Yet he did not relent. The Jade Emperor simply accedes to a minister's counsel that the title "The Great Sage, Equal of Heaven" be officially given to Monkey without bestowing any privilege on him or endowing him with any authority. This time Monkey is asked to tend elixir peach trees. The slight the Jade Emperor shows for Monkey finds support in the Lady Queen Mother's refusal to invite him to a peach party, to which "gods and devas, great and small" (Yu 5: 138) are all invited. His violation of the heavenly decree in consuming elixir peaches in this context serves as, among other things, a symbolic protest to the outrageous injustice meted out to

him.

After Monkey flees from the heavenly court and returns to the Mountain of Flowers and Fruit, the Jade Emperor tries again to force him into submission. This time he sends almost his entire heavenly host just to fetch this single figure.

The Jade Emperor then commanded the Kings of the Four Quarters and Vaisravana and his son to marshal the twenty-eight Lunar Mansions, the Nine Planets, the Twelve Hours and all the Stars, together with a hundred thousand heavenly soldiers, and draw a cordon round the Mountain of Flowers and Fruit, so that Monkey should have no escape. (Waley 5: 57) 21

The catalog device which the author employed in describing the awesome makeup of this heavenly army shows chiefly Monkey's surpassing power. Even such a mighty army Monkey can easily fight to a standstill. It takes, in addition to the heavenly host, the teamwork of Bodhisattva Guanyin nd Lao Zi to subdue Monkey.

Although in bondage, Monkey manages to escape and regain his freedom. This time the Jade Emperor has to ask for Buddha Sakyamuni's help. Small wonder, after the havoc he has inflicted on heaven, Monkey wants to challenge the reign of the highly incompetent Jade Emperor: "Why should heaven's halls have always one master? / In earthly dynasties king succeeds king. / The strong to the stronger must yield precedence and place, / Hero is he alone who vies with powers supreme" (Waley 7: 79). The statement that only the strong qualify for the throne states the author's mind. The two emperors, Wuzong (1505-1521) and Shizong (1521-1566), under whom he lived in the prime of his life while composing the novel, were without exception weak rulers: "foolish, stupid, and with no sense of justice."22 The author directs his vituperation against the corrupt traditional socio-political system, which shows no proper regard for talented people.23 The Buddha's reply to Monkey renders him not much wiser than the Jade Emperor: "How dare you be so presumptuous as to want to seize the honored throne of the Exalted Jade Emperor? He began practicing religion when he was very young, and he has gone through the bitter experience of one

thousand, seven hundred and fifty kalpas, with each kalpa lasting a hundred and twenty-nine thousand, six hundred years. Figure out yourself how many years it took him to rise to the enjoyment of his great and limitless position!" (Yu 7: 172)
In a decayed Confucian society, senority takes precedence over talent. The citing of the number of years for the justification of a ruler's sovereignty turns the Buddha into a cohort of the Emperor and a defender of the current socio-political system. This accounts for the contempt which the author displays for this fictional Buddha when he makes Monkey urinate on the former's palm--a symbolic act, though comic, bordering on blasphemy.

If the mediocrity of the Jade Emperor is still not clear enough in the foregoing examples, the case of Sandy, an intermediary figure among the pilgrims,24 should suffice. When Bodhisattva Guanyin first encounters Sandy, the reader learns from the latter that he was originally a heavenly marshal but condemned to the earth for a minor offense. The following is his confession:

I am not the monster that I seem, but was a marshal of the hosts of Heaven, charged to wait upon the Jade Emperor when he rode in his Phoenix Chariot. But at a [peach] banquet I had the misfortune to break a crystal dish. By the Emperor's orders I received 800 lashes, and was banished to the world below, transformed into my present hideous shape. He sends flying swords that stab my breast and sides one day in every seven. I get nothing to eat, and every few days hunger drives me to come out and look for some traveller, on whose flesh I feed.25

The exceedingly severe punishment Sandy receives is simply out of proportion to the offense he committed, if an offense at all. For accidentally breaking a crystal dish, he was punished with eight hundred lashes, banishment from court, transformation into a hideous shape, and endless stabbings of his body by flying swords.26 What a sentence! The severe punishment is understandably a reflection of the oppressive tyranny of Chinese rulers in general and the Ming emperors in particular. A modern historian, appalled by the abusive punishment imposed by Emperor Shizong of the Ming dynasty, writes: "A very, very minor

error, which can be verbally corrected by a reprimand, is punished with lashing."27 Such lashing, in fact, "often resulted in death."28 Like the Buddha, however, the Bodhisattva defends the Emperor. In the context of a sociopolitical discourse, these Buddhist figures are just some other leading sociopolitical figures sharing power with the Jade Emperor.

The above interpretation makes it clear why I must take exception to Professor Plaks' reading. His statement that "it is Sun Wu-k'ung's discontent that leads to the inevitable destruction of the initial paradise at the Mountain of Flowers and Fruit" (272) misses the poignant sociopolitical point the author endeavors to make. How can this hero be content when, after proving his superior strength as he does, he was absurdly shunted aside into the menial position of a horse herder? The reader needs only to think of Qu Yuan (343-290 B.C.), the author of Lisao (Encountering Sorrow), who is still warmly and faithfully remembered by the Chinese people at the Dragon Boat festival more than two millenia after his death.29 His was a classic example of a great talent misused, if not abused, by his king. Should one need a longer list of names, Confucius (551-479 B.C.) and Mencius (372-289 B.C.), the two greatest and most influential orthodox thinkers in China, never, after wandering from state to state, found an opportunity to put their talents to use. Sima Qian (145?-86 B.C.), the greatest historian, was castrated and faded away.30 Li Bai (701-762) and Du Fu (712-770), the two greatest classical poets by common consent, died in frustration with their careers.31 Last, but not least of all, Hua Tuo, a medical doctor whose name has been equated with a divinity in China, was executed.32 Such is the tragic fate of great talents in China. To the author of Monkey as well as to numerous other writers throughout Chinese history, Chinese society tends to be signally marked by its failure to recognize talents and put them to great use.

China, however, does not stand alone in her rejection of upright talents. This feature of Chinese culture compares well with the Jewish tradition. In the book of Jeremiah, when God warned the Israelites about the imminent fall of the house of Judah, He characterized them as a people who had a long history of rejecting

Him and His prophets: "From the time your forefathers left Egypt until now, day after day, again and again, I sent you my servants the prophets. But you did not listen to me or pay attention. They were stiff-necked and did more evil than their forefathers" (7: 25-26, NIV).33 "No prophet," Jesus tells us, "is accepted in his hometown. I assure you, there were many widows in Israel in Elijah's time, when the sky was shut for three and a half years and there was a severe famine, yet Elijah was not sent to any of them but to a widow in Zarephath in the region of Sidon" (Luke 4: 24-26). Elijah, one of the greatest prophets that Israel ever witnessed, had to seek shelter from a Gentile woman rather than from his own fellow Israelites (1 Kings 17: 16). Isaiah, another great prophet, was said to have been sawed in two inside a hollow log. Jeremiah was beaten, jailed, and nearly killed by his own people for delivering the message from God (Jer 20: 1-2; 37: 11-18). Even Jesus himself--the single most influential being that ever lived in the Western world--was crucified by his own fellow Israelites with the consent of the Roman governor Pontius Pilate. The Apostle Peter, who himself was also martyred after Jesus, gave his testimony as follows:

Men of Israel, listen to this: Jesus of Nazareth was a man accredited by God to you by miracles, wonders and signs, which God did among you through him, as you yourselves know. This man was handed over to you by God's set purpose and foreknowledge; and you, with the help of wicked men, put him to death by nailing him to the cross. But God raised him from the dead, freeing him from the agony of death, because it was impossible for death to keep its hold on him.

(Acts 2: 22-24)

C.T. Hsia was right when he compared Tripitaka to a Pharisee (126). It was the Pharisees whom Christ excoriated as hypocrites: "Woe to you, teachers of the law and Pharisees, you hypocrites!" (Matt 23: 13) It was also the Pharisees who led the Israelites in the crucification of Jesus Christ. The abusive and ruthless punishment Tripitaka inflicts on Monkey in the name of justice, as we shall see shortly, fares no better than the hypocrisy of a Pharisee. Viewed in this light, the persecution of the righteous is actually not unique of Chinese culture but rises

above the geographical and cultural boundaries to become a hallmark of humankind living under the bondage of sin.

Ruthless Tyranny

In the absence of excellence, mediocrity reigns. Numerous critics have posed the question why Monkey cannot bring back the Buddhist sutras himself: "Even more troubling are the doubts cast over the necessity of the entire journey. More than once the question is raised as to why the cloud-soaring monkey cannot simply somersault over the Himalayas and fetch the long-sought scriptures without further trials on the part of his earthbound master" (Plaks 243). Such is precisely the point the novel's author endeavors to make. Talented as he is, Monkey is subject to the incompetent leadership of the Jade Emperor in heaven and the monk on earth. He rebelled against the Emperor, but to no avail. The whole journey is meant, among other things, to be a punishment for him. He has no other choice but to accompany the monk to India. He is forced into the monk's journey and consequently must play the monk's game, not on his terms, but on his master's terms. This is his fate.34 Monkey knows it: "You and I are only his protective companions, guarding his body and life, but we cannot exempt him from these woes, nor can we obtain the scriptures all by ourselves. Even if we had the ability to go and see Buddha first, he would not bestow the scriptures on you and me" (Yu 22: 436). Sandy also knows it, as he addresses the fake Monkey: "We three were liberated so that we might become his guardians. If Elder Brother does not wish to accompany the T'ang monk in his quest, which Buddhist Patriarch would be willing to impart to you the scriptures?" (Yu 57: 114)

The reader should bear in mind that throughout almost the whole journey Monkey is tyrannically controlled by a magic headband, one of the most ingenious and eloquent symbols of brain control--a supreme form of tyranny--a fiction writer has ever created in world literature. Whenever Tripitaka pleases, he chants with ruthlessness the magic words, and the headband will tighten accordingly, thereby throwing Monkey into insufferable, excruciating pain. The pressure of the band is such that it may even literally "squeeze out his brains" (8:

88). The ingenuity of Wu's use of this symbol warrants a close look at the following passage:

When Tripitaka saw that he had put on the cap, he stopped eating the dried goods and began to recite the Tight-Fillet Spell silently. "Oh, my head!" cried Pilgrim. "It hurts! It hurts!" The master went through the recitation several times without ceasing, and the pain was so intense that Pilgrim was rolling on the ground, his hands gripping the flower cap inlaid with gold. Fearing that he might break the gold fillet, Tripitaka stopped reciting and the pain ceased. Pilgrim touched his head with his hand and felt that it was tightly bound by a thin metal band; it could be neither pulled off nor ripped apart, for it had, as it were, taken root on his head. Taking the needle out of his ear, he rammed it inside the fillet and started prying madly. Afraid that he might break the fillet with his prying, Tripitaka started his recitation again, and Pilgrim's head began to hurt once more. It was so painful that he did cartwheels and somersaults; his face and even his ears turned red; his eyes bulged; and his body grew weak. When the master saw his appearance, he was moved to break off his recitation, and the pain stopped as before. (Yu 14: 313)

The agony which the headband inflicts upon Monkey is such that even the executioner balks at the sight of his suffering. When giving this device to Bodhisattva Guanyin, Buddha Sakyamuni dwells on its ruthless effect:

If you encounter on the way any monster who possesses great magic powers, you must persuade him to learn to be good and to follow the scripture pilgrim as his disciple. If he is disobedient, this fillet may be put on his head, and it will strike root the moment it comes into contact with flesh. Recite the particular spell which belongs to the fillet and it will cause the head to swell and ache and make the brains burst. That will persuade him to come within our fold. (Yu 8: 186)35

What a sinister tool! The main point Wu Cheng'en endeavors to convey through these passages is that the magic headband is a symbol of frightful tyranny and oppression--physical and mental--that serves the ruling master's whims for

crushing any form of resistance and reducing freedom to servitude. The dynasty, in which the author had lived, is described by historians as "a reign of terror."36 Under this reign of terror, people had no freedom to even decline public service and those who chose indeed not to serve were subject to severe punishment.37 Thus, Monkey falls under servile control.

Hypocrisy

This brilliant metaphor for oppressive tyranny brings us to another important theme in this novel. Who presents this frightful device? Ironically, it is Bodhisattva Guanyin, the so-called goddess of mercy in the Mahayana Buddhist tradition, who carries this horrifying device from the Buddha to Tripitaka. This is one of the biting ironies that the author excels at in the art of fiction. That a divine figure whose fame rests on mercy and philanthropy should have become a tool in dispensing such a wicked device is all but astonishing.38 However, the author has long prepared the reader for this revelation since the symbolic presentation of Monkey's act of blasphemy against the Buddha. Although exalted by all the other buddhas, Buddha Tathagata's conduct is not beyond criticism. In Chapter Eight, where he boasts his feat of subduing Monkey, his comment on Monkey's character is disconcertingly bloated, if not untrue: "His wickedness was beyond all bounds and defied description" (Yu 8: 181). What, after all, is this indescribable wickedness of Monkey's? The Buddha's criticism becomes all the more odd when he praises the high morality of Monkey's home continent: "Those living on the East Purvavideha revere Heaven and Earth, and they are straightforward and peaceful" (Yu 8: 184). Monkey is nothing if not straigtforward. The contradiction between Monkey's so-called ineffable "wickedness" and the high morality of his home continent reflects a flaw on the fictional Buddha's character. This flaw is to develop at the close of the novel into a major blot in him in the form of greed. After many chapters, in Chapter Fifty-seven, the Bodhisattva reveals to Monkey that the headband is actually the Buddha's treasure (Yu 715). Now by this irony, Wu Cheng'en is wielding his double-edged sword to undercut on the one hand the shady practice of the corrupt Buddhists who claim to believe

in spirituality yet lives a life of sensuality. On the other hand, and above all, it exposes the hypocrisy especially of the ruling class in the Chinese community, in both the official and private sectors, who uphold a moralistic form of teaching, be it Buddhism, Daoism, or Neo-Confucianism, for self-serving purposes and worse still, for the subjugation and oppression of others. Later, this ironical device is to find its way into Honglou meng (Dream of the Red Chamber). When Phoenix, a powerful woman who runs the Jia household which consists of thousands of figures, out of malice and jealousy plots a dastard, cold-blooded murder of a beautiful and innocent woman You Erjie, the maid who carries out her mistress' wicked scheme is given the thought-provoking, ironic name "Sister Benevolence." Evidently, in their penetrating studies of Chinese society, the authors of both Xiyou ji and Honglou meng had observed the profoundly disturbing trademark of the ruling class and their faithful yet brutal and ruthless executioners.39

To bring home the theme of deception to his readers, the author devoted passages to the deceiving schemes of the Goddess of Mercy and the good-hearted Monk. When Monkey has left in fury the nagging Tripitaka, who fails to see the true nature of the six robbers whom Monkey has just annihilated, Bodhisattva comes to the Monk in the disguise of an old woman. She fabricates a story when she gives him the magic headband: "I have here a silk shirt and a flower cap inlaid with gold, which used to belong to my son. He had been a monk for only three days when unfortunately he died. I have just finished mourning him at the temple, where I was given these things by his master to be kept in his memory" (Yu 14: 309). After informing the Monk of the power of this headband, Guanyin left in a shaft of golden light. Tripitak is quick to learn. The Bodhisattva's disguise teaches Tripitaka that he, too, can and should concoct a story to lure Monkey into the loop of wearing the headband. The following episode illustrates the point at issue:

He then saw light glowing from a silk shirt and a flower cap inlaid with gold. "Did you bring this garment and cap from the Land of the East?" he asked. "I

wore these in my childhood," said Tripitaka unthinkingly. "If you wear the hat, you'll know how to recite scriptures without having to learn them; if you put on the garment, you'll know how to perform ceremonies without having to practice them." "Dear Master," said Pilgrim, "Let me put them on." They may not fit you," said Tripitaka, "but if they do, you may wear them." Pilgrim thereupon took off his old shirt made of white cloth and put on the silk shirt, which seemed to have been made especially for him. Then he put on the cap as well. (Yu 14: 313) Monkey's trusing--if not gullible--nature contrasts in a stark manner with the Monk's scheme. With no hesitation, he took the bait.

Equally ironic is the timing of the magic headband. It is given to Monkey right after he annhilates the six robbers, Eye, Ear, Nose, Tongue, Body, and Idea, the six senses which Buddhism describes as mortal foes of an individual blocking one's way to salvation. This is an example of spiritual discourse subtly transformed into sociopolitical discourse. Instead of awarding Monkey for annhilating the senses, the Monk takes him to severe account, accusing him of brutality and senseless killing. False accusation is not all that Tripitaka does. Under the orchestration of Bodhisattva Guanyin, he rewards the good that Monkey has done with the treacherous, tormenting bondage of the headband. Examples of the righteous ill-treated and even punished for their righteous deeds abound in Chinese history, including, of course, the Ming dynasty. Yue Fei (1103-1142), whose story nearly every Chinese can recount, falls into this category.40 A great warrior of the Song dynasty, he crushed the invading Jerchens in the decisive battle at Zhuxianzhen and yet was executed mainly for his ambition to defeat the whole army of the Jerchens, for his devotion to the cause of his nation, and for his zeal to restore the Song empire to glory. The weak Emperor Gaozong (1107-1187), who wanted to retain his throne only, needed no heroism of this kind. So off fell Yue Fei's head. In a similar fashion, instead of a laurel wreath, Monkey receives a maddening headband.

A note must be made here in regard to Professor Anthony Yu's bizarre justification of the use of the torturing headband. He writes:

The six robbers represent, of course, the six cauras, the Buddhist metaphor for the six sense organs which impede enlightenment. And Monkey's execution of them is intended to portray in an allegorical fashion his greater detachment from the human senses, a freedom of which his master and his fellow pilgrim Chu Pa- chieh have little knowledge....

It is also true, however, that this action of Monkey leads directly to the bestowal of the golden fillet to Tripitaka by the Bodhisattva Kuan-yin, an instrument which, once Wu-k'ung is deceived into wearing it on his head, becomes the ineluctable means of discipline.... it means to bridle the Monkey of the Mind and the Horse of the Will. (Yu 59)

This device, which is wantonly abused by Monkey's master, is justified as "ineluctable." This reading necessarily invokes a host of questions. If this device is indeed an ineluctable means of discipline, as Professor Yu claims, why does Monkey alone receive it? Why does not the Horse of Will, which he mentions in the same breath as Monkey, also receive it? More important, why does not the Monk, Sandy, or Pigsy receive it? Surely, they all need discipline, especially Pigsy, much more than Monkey does. If it indeed were a metaphor of ineluctable discipline, why does the Bodhisattva dispense it with deception? Worse still, why does the Monk also exercise deception and tricks Monkey into wearing the band and later repeatedly misused or abused the headband of "discipline" by wantonly inflicting excruciating pain on Monkey for the latter's righteous deeds? In fact, throughout the novel the headband appears consistently as an oppressive tool of abuse rather than a device of reasonable, commendable discipline. Tripitaka's first experiment with it lays bare his cruelty. Later, out of the four occasions on which the Monk recites the headband spell, three (27: 331, 336; 38: 480) directly result from Pigsy's slander, thereby clearly showing Tripitaka in the wrong: "Believing the slanderous suasion of our Idiot, he made the magic sign with his hand and recited the spell" (Yu 27: 24). One occasion occurs as a result of Monkey's eagerness to eliminate the evil brigands who tried to take his life (56: 710-713)--an eagerness which is reminiscent of the determination of Yue Fei to

eliminate the Jerchen troops.41 To force his reading on the text,42 Professor Yu evidently embraces deception as "the ineluctable means" to achieve an end. Such a reading, I believe, runs counter to the symbolic meaning of the magic band. His embrace of deception in the name of discipline is not only a disturbingly problematic approach to the novel but also, I fear, to life itself.

Having been deceived into wearing the headband and having suffered tremendous pain, Monkey understandably endeavors to shake off this bondage. So he strikes. Although weak and incompetent, Tripitaka is nevertheless quick to defend himself: "He aimed it at the T'ang monk and was about to slam it down on him. The priest was so startled that he went through the recitation two or three more times. Falling to the ground, the monkey threw away the iron rod and could not even raise his hands" (Yu 14: 313). Is it not odd that Monkey, powerful as he is, fails to strike down such a weakling as the Monk? Surely, Monkey, who has taken on the whole heavenly host before, can, if he so desires, remove his master with ease. But this is not what Monkey's heart desires. Earlier, when Monkey left Tripitaka in fury, he paid a visit to the Dragon-King of the Eastern Ocean, where he saw a picture of the famed Han minister Zhang Liang (? - 189), and learned therefrom an important lesson of patience, humility, and loyalty. According to the Shi ji, Zhang Liang once met an old man on a bridge. Upon seeing him, this old man, intending to test Zhang's patience, dropped his shoes under the bridge and asked him to bring them back to him. Feeling outraged, Zhang wanted to beat him, but the age of the old man kept him from doing so. Instead of beating him, he, after swallowing his humiliation, went under the bridge and brought up the shoes. Then the old man asked Zhang to the latter's further surprise to put the shoes back on him, which Zhang did accordingly. Rather pleased with Zhang's patience and humility, the old man told Zhang that he saw a teachable spirit in him and asked him to return to the bridge at dawn five days later. When Zhang went back at dawn five days later, he found that the old man was there already. Angry with his tardiness, the old man sent Zhang away, asking him to return in another five days and warning him not to be late

again. Five days later, as soon as a rooster crowed, Zhang went but found once more the old man there, waiting. The old man, in anger, brushed him away the second time, asking him to come back in another five days. This time, before the night was half spent, Zhang went, and in a short while, the old man also arrived. Delighted that Zhang had arrived before him, the old man then presented him a book on military strategy, saying, "If you read this, you will become the teacher of a king."43 This story from Shi ji (Historical Records) reveals the sociopolitical significance of Monkey's mission. This is how the Dragon-King views Monkey's task, which he likens to the support for the founding emperor of the Han dynasty: "Since Chang Liang did not display the slightest sign of pride or impatience, he won the affection of shih-kung, who imparted to him that night a Heavenly book and told him to support the house of Han" (Yu 14: 311). The Dragon-King's explanation of the significance of the picture evidently illuminates Monkey; consequently, this time out of his own free will, Monkey decides to join Tripitaka as a faithful subject, assist him, and complete the whole journey of pilgrimage.

That Bodhisattva gives Monkey the headband after he is dertermined to give himself to a right cause shows the grave limitation of Guanyin. Although traditionally described as a divine figure with one thousand eyes and ears, in this case she has eyes but cannot see. She is purblind. To stress her short-sightedness, the author presents shortly after the foregoing episode of deception an incident in which Monkey works together with the Bodhisattva in the annhilation of a thief to display Monkey's spiritual superiority to Bodhisattva:

As they were walking, they saw a Taoist coming down the mountain slope, holding a glass tray on which there were two magic pills. Pilgrim ran right into him, whipped out his rod, and brought it down squarely on his head, with one blow causing the brains to burst and blood to shoot out from the neck. Completely stunned, the Boddhisattva said, "Monkey, you are still so reckless! He didn't steal your cassock; he neither knew nor wronged you. Why did you kill him with one blow?" "Bodhisattva," said Pilgrim, "you may not recognize him but he is a friend of the Black Bear Spirit... " "If that's how it is, all right," said the

Bodhisattva. Pilgrim then went to pick up the Taoist and discovered that he was a gray wolf. (Yu 17: 162)

While the Bodhisattva fails to detect this disguised monster, Monkey perceives his beastly nature and strikes him down. To expose the false fascade of the Bodhisattva, Monkey ironically compels her to transform into the shape of the Daoist priest he just annihilated. The true nature of Guanyin is susceptible to doubt, when Monkey advances the ambiguous comment on the Bodhisattva's transformation into a Daoist: "Marvelous, Marvelous! Is the monster the Bodhisattva, or is the Bodhisattva the monster?" (Yu 17: 363) When Guanyin replies in a similarly ambiguous fashion that "the Bodhisattva and monster both come from a person's thought," keen perception can indeed efface the distinction between the Bodhisattva and monster, pointing out the limitation of the Bodhisattva in the fiction.

The failture of the Bodhisattva to recognize the virtues of Monkey persists in the novel. In Chapter Forty-two, in which Monkey tries to borrow the immaculate vase from her to put out Red Child's magic fire, the Bodhisattva comments: "I fear that you are not a person of kindly disposition. All you know is how to hoodwink people. When you see how beautiful my Dragon Girl is, and what a treasure is my immaculate vase, you will try to steal it... You better leave something behind as a pledge" (Yu 47: 273). Perhaps because the Bodhisattva has hoodwinked Monkey before, she is afraid that Monkey will take revenge and also deceive her. But Monkey rises above the situation, when he replies: "How pitiful!... Bodhisattva, you are so suspicious! Since your disciple followed the way of righteousness, he has never indulged in such activities" (Yu 47: 527). For all her magic powers, the fictional Bodhisattva is nevertheless susceptible to the traits of a weak ruler, suspicious and short-sighted.

Mediocrity Reigns

The earlier discussion has shown that mediocrity reigns in heaven and on earth at the highest plane as represented by the Jade Emperor and Tripitaka. It also reigns at a lower level. While in the socio-political discourse Monkey stands

among the pilgrims for an ill-used talent, Pigsy portrays a well-indulged figure of mediocrity and sensuality. Although considerably limited alike in his physical and spiritual strength, Pigsy nearly always has the private ear of Tripitaka. Indulgence breeds insult. Thus his attitude toward their master is unequivocally rude. Pigsy's reply to the monk, when the latter tries to inform the former of his encounter with the ghost king, clearly tells the tale:

As he faced the dim, flickering lamp in fear, he cried repeatedly, "Disciples! disciples!" "What's all this hollering for the local spirit?" mumbled Pa-chieh, beginning to stir. "I used to be a man of might dedicated to passing my days by devouring humans, and I loved the taste of blood and meat. What enjoyment! You have to leave the family and ask us to protect you on a journey. I thought I was to be a monk, but in fact I'm a slave! During the day I have to pole the luggage and lead the horse, while at night, I have to carry the night pot and smell someone's stinky feet by sharing his bed. And even at this hour, you are not asleep! What are you calling disciples for?" (Yu 37: 185)

Pigsy speaks here in this passage as though he were the Monk's master, rather than the other way around. While Tripitaka treats Monkey with unusual severity and harshness, with excessive pampering and indulgence he receives Pigsy. Even when Monkey confronts Tripitaka on his favoritism, the monk makes no effort to deny it. In fact, he admits it with no compunction. Consider the following passages:

The elder at this time actually was not yet asleep, but knowing that Pilgrim could be rather restless and frenetic, he pretended that he was and did not respond. Pilgrim caught hold of his bald head and started to shake it violently, crying, "Master, how is it that you are already asleep?" "You rascal!" said the T'ang monk, growing angry. "You aren't going to sleep at this hour? What are you clamoring for?"...

With a chuckle, Pilgrim said, "The plan of old Monkey is already made, but one obstacle I have to face right now is that you, Dear Sir, have a tendency to dote on people." "What do you mean?" said the T'ang monk. Pilgrim said, "pa-

chieh is rather stupid, but you are somewhat partial to him." "How am I partial to him?" said the T'ang monk. "If you are not," said Pilgrim, "then you should try to be more courageous and stay here with Sha Monk. Let old Monkey and Pa-chieh take this opportunity now to go into the Black Rooster Kingdom first and find the imperial garden... Secretly pleased by what he heard, the T'ang monk said nevertheless, "My only fear is that Pa-chieh is unwilling to go with you." "You see!" said Pilgrim, laughing. "I told you that you doted on him! How did you know that he would be unwilling to go? Perhaps you think that he'll be like you when I called you just now, and after half an hour, I would give up. But watch me! If you let me go near him, I'll use only my healthy, three-inch tongue to persuade him. (Yu 38: 201-203)

As Pigsy insults the monk, so the monk insults Monkey. The foregoing dialog makes it clear that Tripitaka is anything but benevolent toward the Monkey. Informed by his pro-Buddhist stance, Professor Yu, in translating Monkey's accusation against Tripitaka, has left out the important word, "duan," which literally means "short," and by extension "a drawback or deficiency." Waley fared even worse when he translated the phrase into the opposite of the original meaning: "You have a preference for him because he is so strong." (185) Although more than four centuries after its appearance, the phrase Monkey uses in the original text, "hu duan (to shield a shortcoming or fault)," is still a common expression in Chinese, referring to the act of anyone who favors, pampers, and protects a person with blemishes, to whom he takes a fancy. Monkey's accusation bluntly points at another drawback of Tripitaka's character. Sure enough, after Monkey presents his plans, Tripitaka, instead of encouraging Pigsy to work with Monkey as a team, first offers an excuse in behalf of Pigsy, trying to extricate him from the task that lies ahead. It is not without effort that Monkey has finally secured the Monk's agreement in letting him persuade Pigsy.

That Pigsy has control over Tripitaka is clear from the ease with which he is able to persuade the monk to recite the headband spell and thereby inflict excruciating pain on Monkey. When Pigsy realizes that he has been tricked by

Monkey into the salvage trip, he decides upon his return to the temple to exercise his influence with the Monk by first lying to his master that Monkey could bring the dead king back to life and then by goading him to punish Monkey if Monkey shows any hesitation. Monkey's remonstration proves of no avail:

Master, how could you believe the nonsense of this Idiot! When a man dies, he

can pass through the periods of three times seven or five times seven; at most, he may wait for seven hundred days, when after having suffered for all the sins committed in the World of Light, he will proceed then to the next incarnation. This man here died three years ago. How could I save him?" When Tripitaka heard these words, he said, "Oh, all right!" Still bitterly resentful, however, Pa-chieh said, "Master, don't believe him. He's a little sick in his brain! Just recite that little something of yours, and you are certain to get a living man." The T'ang monk indeed began to recite the Tight-Fillet Spell, and the monkey had such a headache that his eyes bulged. (Yu 38: 212)

One sees no discipline here in the monk's use of the headband. As mentioned earlier, the monk often uses it to wantonly inflict unbearable pain on Monkey as his whim dictates. Rather than discipline, the headband in this episode has become a tool for retaliation which Pigsy, who resents the payless trip to the Black Cock Kingdom, wields most deftly through his pampering master: "I'm going to persuade Master to insist on restoring the king back to life. If that monkey can't do it, I'll make Master recite that Tight-Fillet Spell until this monkey's brains burst. That will give me some relief!" (Yu 38: 210-211)

Eventually, under the repeated threat of the Monk, Monkey has to travel to the Thirty-third Heaven to borrow from Lao Zi a pellet of the Soul-Restoring Elixir. Although far superior in wisdom, magic powers, and spiritual strength to Pigsy, Monkey is subject to his abuse. Such is the tragic fate of a strong character in a corrupt community.

Tripitaka's indulgence of Pigsy has its parallel in heaven. At the outset of the novel, when Monkey's fame first caught the Jade Emperor's attention, it was the

Gold Star amidst the galaxy of deities who offers the palatable counsel to the Jade Emperor. When Monkey has left his position as horse-herder in fury, it is the same Gold Star who offers the Emperor the ill-advised counsel, which results in war. The Gold Star stands out among the deities not because of his superior magic powers or spiritual strength, since the opening remark of the fourth chapter makes it clear that, compared with Monkey, he is after all a mediocre character: "The Gold Star of Venus left the depths of the cave dwelling with Handsome Monkey King, and together they rose by mounting the clouds. But the cloud-somersault of Wu-k'ung, you see, is no common magic; its speed is tremendous. Soon he left the Gold Star far behind and arrived first at the South Heavenly Gate" (Yu 4: 117). As Pigsy is to the Monk, so is the Gold Star to the Jade Emperor. It is only in despair that the Jade Emperor turns to the Buddha for advice and assistance. Mediocrity reigns at all levels in heaven and on earth.

Cannibalism

Lu Xun (1881-1936) in his short story "Diary of a Madman" describes the oppressive Chinese society as cannibalistic.44 The use of cannibalism in fiction, however, did not begin with him. Although Lu Xun failed to detect similar socio-political criticism in the novel, Xiyou ji abounds in this metaphor. This metaphor of cannibalism can be traced to Zhuang Zi, in which Gengsang Chu, supposedly a student of Lao Zi, tells his disciples how covetousness can turn people against one another: "People seek profit avidly to the extent that a son would kill his father, a minister would kill his king, robbery would take place in broad daylight, and a break-in would occur at noon. I tell you, the root of disorder surely has come from Yao and Shun, and its aftermath will extend to a thousand generations later. A thousand generations later, people will eat people."45 The actual occurrence of people eating people in Chinese history especially in times of famine and war must also have induced the author to present the theme of cannibalism in the novel. In Chapter Eight, after Pigsy and Sandy were cast down from heaven to earth, they both became cannibals, gorging themselves not on beasts but on human flesh. Sandy confesses to Bodhisattva Guanyin: "I have

devoured countless human beings at this place. There have even been a number of scripture pilgrims here, and I ate all of them" (Yu 8: 190). Pigsy tells the Bodhisattva a similar story: "I have spent many days and years at this place, but I know no means of supporting myself and I pass the time eating people" (Yu 8: 192). A graphic, grotesque description much later in Chapter Seventy-two of monsters butchering men can even repulse some readers: "Four of the girls, however, rolled up their sleeves and dashed into the kitchen, where they added fire and scrubbed the pans. What did they prepare, you ask. Human flesh sauteed and fried in human lard until black enough that it could pass for pieces of fried wheat gluten. They also pan-fried some freshly gouged human brains which they then cut up to look like pieces of bean curd" (Yu 72: 362). One would like to think that powerful as Sandy and Pigsy are, they should have no difficulty in finding enough wild animals in the wilderness to satisfy their hunger. Why should they live on human flesh only? Throughout his journey, the Tang monk is exposed from time to time to the danger of being eaten by his own kind. Even Monkey himself is not immune to such threats. Indeed, he, an immortal monkey, is the one who often delights in offering his body to different monsters for the purpose of overcoming evil. Long before Lu Xun, Wu Cheng'en has already used cannibalism as a metaphor to characterize the evil of oppression in Chinese society.

Earlier in the same chapter, in which the theme of cannibalism is introduced, Buddha Sakyamuni is actually preparing the reader for this practice, when he launches a tirade on the crookedness and depravity of China: "Those who reside in the South Jambudvipa, however, are prone to practice lechery and delight in evildoing, indulging in much slaughter and strife. Indeed, they are all caught in the treacherous field of tongue and mouth, in the wicked sea of slander and malice" (Yu 8: 184). The fall of Sandy and Pigsy demonstrates his point. When Bodhisattva advises Pigsy to renounce his practice of cannibalism, he demurs, citing a Chinese proverb, which sheds considerable light on the dark human world he lives in: "The proverb says, 'If you follow the law of the court, you'll be

beaten to death; if you follow the law of Buddha, you'll be starved to death!' Let me go! Let me go! I would much prefer catching a few travelers and munching on the plump and juicy lady of the family" (Yu 8: 193). The Buddha's criticism of the evil of Chinese society and Pigsy's proverb find immediate reinforcement in the following chapter in the presentation of Tang society. As soon as Tang society comes on the scene in Chapter Ten, the murder of the Tang monk's father and his servants, the rape of the Tang monk's mother, the lust, deception, treachery and hypocrisy of the two boatmen strike, pound, and impact the reader in rapid and breathless succession with an earth-shaking effect. As the novel closes, the Buddha's sweeping comment becomes even more critical, caustic, and severe in Chapter Ninety-eight, which we shall discuss soon. Such is the author's rueful perception of China.

The Change of Tripitaka

As the novel draws to a close, a marked change comes over Tripitaka's attitude to Pigsy. Having traveled long and far and having been saved by Monkey numerous times, Tripitaka begins to lean more on Monkey. This does not happen until toward the end of the novel, in Chapter Ninety-two. When Monkey tries to execute the Monk's order to leave early without their hosts' knowledge, Pigsy as usual refuses to comply:

....Pilgrim carried out his master's instructions one by one.

By the hour of the fifth watch next morning he was already up, and at once asked Pa-chieh to prepare the horse. Having enjoyed his food and drink in great comfort, our Idiot slept so soundly that he was still half- dazed when he said, "Why prepare the horse so early in the morning?"

"Master tells us to get moving!" snapped Pilgrim.

Rubbing his face, Idiot said, "That elder should behave himself! All two hundred and forty of those big households have sent us invitations, but we've managed to enjoy a full meal barely thirty times. Why does he want to make old Hog endure hunger so soon?"

On hearing this, the elder scolded him, saying, "Overstuffed coolie! Stop

babbling! Get up quickly! If you keep up this ruckus, I'll ask Wu-k'ung to knock out your teeth with his golden-hooped rod!"

When Idiot heard that, he became completely flustered, "This time Master has changed!" he cried. "Usually he cares for me, loves me, and knowing that I am stupid, protects me. Whenever Elder Brother wants to hit me, he pleads for me. Why should he turn so vicious today as to want to beat me?"

"Because Master's offended by your gluttony," said Pilgrim, "which has delayed our journey. Hurry up! Pack the luggage and get the horse ready. You'll be spared a beating!" (Yu 92: 292-93)

Characteristically, Pigsy wants to stay where they are and refuses to leave so as to, in this case, relish the food provided by the local people. But to his dismay, he found that Tripitaka has changed. This time the Monk refuses to comply with his wish and is ready to enforce discipline on him, even with the threat of punishment. Professor Hsia evidently ignores this positive change in Tripitaka, when he writes: "Tripitaka shows no sign of spiritual improvement during his journey through the calamities. If anything, he gets more peevish and ill-tempered as his journey progresses" (126). The journey, as the above shows, has refined the Monk and molded him into a better character.46

This episode gives the reader a temporary glimmer of hope that the author might have conceived a vision of redemption for Chinese society. This is, however, not the case. Although symbolic in many ways of rulers in general, Tripitaka is after all a minor ruler in this novel. Above him tower various Bodhisattvas, Buddhas, and especially the Jade Emperor. Have they undergone similar changes? The answer to this question leads us to the concluding episode of the novel.

Buddha's Demand for a Bribe

To bring home the themes of deception, hypocrisy, and depravity, the author closes his narrative with a highly disconcerting episode about the Buddha and his disciples. After the Monk and his disciples arrive in India and prepare to receive the scriptures, to their disbelief Ananda and Kasyapa, the two favorite

disciples of the Buddha demanded a bribe or commission: "Sage Monk, having come all this distance from the Land of the East, what sort of small gifts have you brought for us? Take them out quickly! We'll be pleased to hand over the scriptures to you" (Yu 98: 390). The greediness of these two "saintly" disciples parallels that of Pigsy's. The refusal to offer a bribe brought the pilgrims only unwanted complications. The Monk and his disciples, thinking that they had received the expected scriptures, left only to find that they have been deceived and that blank pages have been handed to them. Enraged, they return to the Buddha for the scriptures and, above all, justice. When confronted by Monkey, the Buddha is similarly indulgent toward his own disciples' greediness. To Monkey who clamors for justice, the Buddha replies:

"Stop shouting!" said the Buddhist Patriarch with a chuckle. "I knew already that the two of them would ask you for a little present. After all, the holy scriptures are not to be given lightly, nor are they to be received gratis. Some time ago, in fact, a few of our sage priests went down the mountain and recited these scriptures in the house of one Elder Chao in the Kingdom of Sravasti, so that the living in his family would all be protected from harm and the deceased redeemed from perdition. For all that service they managed to charge him only three pecks and three pints of rice. I told them that they had made far to [sic] cheap a sale and that their posterity would have no money to spend. Since you people came with empty hands to acquire scriptures, blank texts were handed over to you. But these blank texts are actually true, wordless scriptures, and they are just as good as those with words. (Yu 98: 393)

The Buddha not only defends his disciples' ignominious conduct but goes even further to justify such a practice, claiming that they sometimes demand too little. Here again, as in the episode of the Black Cock Kingdom, Monkey shows his gullibility in accepting Buddha's explanation without making further ado about the bribery and deception. The Buddha's spurious justification, though convincing to the pilgrims, is disagreeable and distasteful to his own servants, for they all hold the two disciples who take the bribe in contempt:

With a gentle smile, Ananda took the alms bowl. All those vira who guarded the precious towers, the kitchen helpers in charge of sacrifices and incense, and the Honored Ones who worked in the treasure loft began to clap one another on the back and tickle one another on the face. Snapping their fingers and curling their lips, every one of them said, "How shameless! How shameless! Asking the scripture seeker for a present!"

After a while, the two Honored Ones became rather embarrassed, though

Ananda continued to clutch firmly at the alms bowl. (Yu 98: 394)

The disciples' shameless demand for and the Buddha's brash endorsement of a commission remind one of the Ming Emperor Wuzong's lust for pearls.47 Many censors, who spoke against this practice, were ruthlessly condemned. His greediness, which Wu Cheng'en must have known, indeed differs little from the greediness of the Buddha and his disciples in the concluding episode.

Apart from greed, hypocrisy appears to mark the Buddha in the novel. Before giving them the sutras, he treats Tripitaka to a harangue, scathingly flaying China for all her wicked practices. This harangue hearkens back to his denunciation of China at the beginning of the novel, which we have examined in detail:

To express the compassion of his heart, Tathagata opened his mouth of mercy and said to Tripitaka, "Your Land of the East belongs to the South Jambudvipa Continent. Because of your size and your fertile land, your prosperity and population, there is a great deal of greed and killing, lust and lying, oppression and deceit. People neither honor the teachings of Buddha nor cultivate virtuous karma: they neither revere the three lights nor respect the five grains. They are disloyal and unfilial, unrighteous and unkind, unscrupulous and self- deceiving. Through all manners of injustice and taking of lives, they have committed boundless transgressions. The fullness of their iniquities therefore has brought on them the ordeal of hell and sent them into eternal darkness and perdition to suffer the pains of pounding and grinding and of being transformed into beasts. (Yu 98: 387-388)

Although mouthed by the Buddha, this somber, ugly, and loathsome image of China represents the author's low opinion of his own homeland. Here, the author speaks his own mind--how he bemoaned the wicked practices of his own people! Ironically, a number of the major sins cited above--greed, hypocrisy, and deception--also apply to the Buddha. These sins only render his solemn harangue above, "his mouth of mercy," all the more hypocritical. Here, the religious and socio-political discourses blend at the expense of the religious segment. The Buddha whom they count on for justice can render them no justice. This lack of justice in the Buddha and his disciples casts a serious doubt on their spiritual character and religious practice to such an effect that a firm and deep belief in Buddhism is undoubtedly called into question. The fiction evokes the spiritual dimension, which is part of the socio-political tradition the author explores, mainly as a disguised vehicle to illustrate his conception of China in particular and humankind in general. Thus viewed, the novel with its religious framework stands primarily as a study of the Chinese sociopolitical tradition, exposing, undercutting, and satirizing existing social, political, and religious ills in an entertaining yet penetrating and profound fashion.

Ascending the Daoist Throne

Except for some passing remarks, this study has hitherto focused on Buddhism. Does Daoism fare better than Buddhism in the fiction? Hardly. The four chapters from Forty-four through Forty-seven, which focus on Daoism, describe three Daoist monsters hoodwinking and usurping the power of the King of the Cart-Slow Kingdom. This episode may have found its origin in the real life of Emperor Shizong of the Ming dynasty, who was so infatuated with the Daoist religion that he had Daoist altars built even in court.48 He observed Daoist rituals fanatically and sought immortality through elixirs. His desire to become a Daoist immortal was perforce exploited by many Daoist priests, who filled his court, thrived on his vanity, and eventually shortened his life. To promote Daoism, he oppressed Buddhism and destroyed some Buddhist temples in the palace and the capital.49 Historians generally describe him as a ruler "who served ghosts

rather than men all his life."50

Similarly, the King of the Cart-Slow Kingdom surrounds himself with Daoist priests under the leadership of three monsters: Tiger, Deer, and Ram. The Daoist priests enjoy such power in the kingdom that even Buddhists are subjugated to them as their slaves. Because of the back-breaking labor they were forced to undertake, many Buddhists have died. The five hundred survivors have long awaited the arrival of Monkey, who is revealed to them as their savior:

They try to comfort us in our dreams, telling us not to seek death but to endure our suffering for a while until the arrival of the holy monk from the Great T'ang in the Land of the East, the arhat who is journeying to the Western Heaven to acquire scriptures. Under him, we are told, there is a disciple who is the Great Sage, Equal to Heaven, and who has vast magic powers. He is, moreover, a person of rectitude and kindness, one who will avenge the injustices of the world, assist those who are needy and oppressed, and comfort the orphans and the widows. We are told to wait for his arrival, for he will reveal his power and destroy the Taoists, so that the teaching of Zen and complete poverty will be honored once more. (Yu 44: 307- 308)

As elsewhere, Monkey never fails to meet the expectations of the oppressed. He, after learning of their sufferings, leads Pigsy and Sandy right into the Daoist temple, where the three supreme Daoist deities are worshiped, trashing their idols and ridiculing the priests. The following passage describes their story in comic terms:

Our Pilgrim leading Pa-chieh and Sha Monk lowered the clouds and dashed up to the Three Pure Ones Hall. Without bothering to find out whether it was raw or cooked, Idiot grabbed one of the cakes and gave it a fierce bite. Pilgrim whipped out the iron rod and tried to give his hand a whack. Hastily withdrawing his hand to dodge the blow, Pa-chieh said, "I haven't even found out the taste yet, and you're trying to hit me already?" "Don't be so rude," said Pilgrim, "Let's sit down with proper manners and then we may treat ourselves." "Aren't you embarrassed?" said Pa-chieh. "You are stealing food, you know, and you still

want proper manners! If you were invited here, what would you do then?" Pilgrim said, "Who are these bodhisattvas?" Chuckled Pa-chieh. "Can't you recognize the Three Pure Ones?" "Which Three Pure Ones?" said Pilgrim. "The one in the middle," said Pa-chieh, "is the Honorable Divine of the Origin; the one on the left is the Enlightened Lord of Spiritual Treasures; and the one on the right is Lao Tzu." Pilgrim said, "We have to take on their appearances. Only then can we eat safely and comfortably." When they caught hold of the delicious fragrance coming from the offerings, Idiot could wait no longer. Climbing up onto the tall platform, he gave the figure of Lao Tzu a shove with his snout and pushed it to the floor, saying, "Old fellow, you have sat here long enough! Now let old Hog take your place for a while!" So Pa-chieh changed himself into Lao Tzu, while Pilgrim took on the appearance of the Honorable Divine of the Origin and Sha Monk became the Enlightened Lord of Spiritual Treasures. All the original images were pushed down to the floor. (Yu 44: 314-315)

A number of things deserve attention here. First, Monkey, who fails to recognize the supreme Daoist deities, appears to have little knowledge of Daoism. It is actually Pigsy who helps him identify these Daoist figures. Yet shortly afterwards, in Chapter Forty-seven, it is Monkey who espouses the theory of "Three Religions Are One." This shows, on the one hand, the limitation of Monkey's advancement of such an orthodox theory, and on the other, his espousal of this belief from a pragmatic point of view. Evidently, Monkey promotes the unity of these three major schools of thought not from a philosophical perspective, for he knows little about Daoism. Rather, he does it from a socio-political perspective for the unifying strength of the empire, as he counsels the king: "I hope that you will honor the unity of the Three Religions: revere the monks, revere also the Daoists, and take care to nurture the talented. Your kingdom, I assure you, will be secure forever" (Yu 47: 354). Besides all this, the author endeavors to alert the reader to the questionable validity of such an orthodox theory. His implicit contempt for and blasphemy against Daoism and Buddhism undercuts the validity of this traditional concept.

Equally important is the theme of Monkey's rise to the top of the echelon. The Three Pure Ones, the supreme Daoist deities, are symbolically dethroned and replaced by Monkey and his companions. The reason for the replacement is given by Pigsy: "Old fellow, you have sat here long enough!" Time is at issue here. Seniority should not be held as a prime principle at the expense of talents in the political arena, and young lives of vitality must be duly reckoned with and given the proper recognition. The author evidently believes that an unusually long reign tends to breed corruption. After all, every talented individual should be given an opportunity to serve--an idea anticipating the spirit of modern democracy. This theme hearkens back to the argument Monkey has advanced before Buddha Sakyamuni toward the beginning of the novel, in Chapter Seven, where the former challenges the Jade Emperor, asking him to step down: "He should not be allowed to remain here long. The proverb says, 'Many are the turns of kingship, and next year the turn will be mine!' Tell him to move out at once and hand over the Celestial Palace to me. That'll be the end of the matter" (Yu 7: 172). Now in a symbolic fashion, Monkey has given effect to his idea.

To stress the importance of the healthy metabolism of a ruling regime, the author employed another crude yet ingenious metaphor, "a Bureau of Five-Grain Transmigration" (Yu 44: 315), a euphemism for a latrine. Monkey not only ascends the Daoist throne but condemns the Daoist idols to this foul place. The dumping, undertaken by Pigsy, is described continuously in comic terms:

Idiot, in truth, was rather good at crude labor! He leaped down, threw the three images over his shoulder, and carried them out of the hall. When he kicked open the door, he found a huge privy inside. Chuckling to himself he said, "This pi-ma- wen truly has a way with words! He even bestows on a privy a sacred title! The Bureau of Five-Grain Transmigration, what a name!" Still hauling the images on his shoulders, Idiot began to mumble this prayer to them:

... ...
You've sat too long,
Now go to the privy.

In times past you've enjoyed countless good things
By being pure and clean Taoists.
Today you can't avoid facing something dirty
When you become Honorable Divines Most Smelly!

After he had made his supplication, he threw them inside with a splash and half of his robe was soiled by the muck. (Yu 44: 316)

What is "pure and clean" will in due course of time become "Honorable Divines Most Smelly"--a natural, healthy, and inexorable process of metabolism. Although presented comically, the metaphor is nevertheless a serious, vital, and powerful expression of the necessity to replace the old with the young, and mediocrity with excellence.

To continue his metaphor, the author subjects the three Daoist monsters, after the three idols, to humiliation. When they beg Monkey for holy water for the purpose of lengthening their life spans, Monkey, Pigsy, and Sandy fool them by offering them, after relieving themselves, urine to drink--a metaphor reminiscent of Monkey's relieving himself on the Buddha's palm at the outset of the novel. Unwittingly, they drink it with rapture. Although comical, this body language of blasphemy hearkens back to the beginning of the novel, showing the author's contempt for both Buddhism and Daoism. The symbolic attainment of the supreme Daoist divine status presages the close of the novel, where Monkey attains the supreme status of a Buddha.

Attaining a Buddha's Stature

In conformity with the historical event, the pilgrimage ends on a happy note. After numerous risks and adventures, the group has safely arrived in India and successfully obtained and delivered the scriptures to China. All except Pigsy have received the stature of a Buddha. Further probing, however, discloses an open ending. The pilgrims, after traveling thousands of miles at the risk of their lives, arrive in India, the kingdom of the historical Buddha, only to find the disconcerting fact that both the Buddha and his disciples are extortionate in their

lust for wealth. Should this disconcerting episode be viewed as the concluding part of a spiritual or religious discourse, the reader cannot but arrive at the conclusion that Buddism amounts to nothing, for even Buddha, supposedly the perfect figure of Buddhism transcending space and time, is after all not free from the sins of hypocrisy, deception, and greed. It makes sense, however, in a sociopolitical context. Viewed from a sociopolitical perspective, a Buddha, like any other divine figure in the fiction, receives orders from the Jade Emperor, upholding his reign and sharing his political power. This accounts for his fear of involvement earlier in the middle of the novel, in Chapter Fifty-two, when Monkey approaches him for assistance to subdue a monster. The following describes the Buddha's scruple in a highly subtle and suggestive manner:

After Tathagata heard this, he trained his eyes of wisdom to peer into the distance and immediately he had knowledge of the whole affair. "Though I've learned the identity of that fiendish creature," he said to Pilgrim, "I can't reveal it to you because you have such a loose apish tongue. If somehow you pass on the fact that it was I who disclosed his identity, he would not fight with you but he would start a quarrel up here in Spirit Mountain. That would cause me a lot of trouble. Let me give you the assistance of my dharma power instead to help you capture him. (Yu 52: 28-29)

Surely, the Buddha, who possesses supreme magic powers in the novel, cannot be afraid of a monster bull. Rather, he is mindful of his sociopolitical relations to the monster's master, Lao Zi, one of the three supreme Daoist deities, another powerful lord in this novel. A Chinese cliche may very well account for the Buddha's scruples: "Before you strike a dog, find out who its master is." To avoid any possible resentment from and entanglement with Lao Zi, the Buddha uses his scrupulous "eyes of wisdom" to keep the matter secret so as to stay out of trouble. The author has repeatedly prepared the reader for the limitation of the fictional Buddha.

Despite the harsh terms and the accompanying ordeals, Monkey finally fulfills his obligation, becomes a widely-acclaimed hero upholding justice

everywhere he goes, and earns in the fiction an enduring place in the heaven above and on the earth beneath. The valor, prowess, and especially keen sense of justice, after repeated testing and unfailing demonstrations, deservedly brought Monkey the title of Buddha, a supreme lordship in the fiction. Even with this accomplishment, he remains nevertheless part of the socio-political system, subject in the novel to the reign of the Jade Emperor. The headband imposed by the Buddha is broken in the end. Monkey at this point supposedly could enjoy the privilege of withdrawing from the political arena and live in seclusion, as some renowned historical figures in China had chosen to do. But he could also choose to remain in the political realm, in which case a life-menacing headband would assuredly come from the Jade Emperor. After all, as the early part of the novel shows, even Buddha Sakyamuni has to take orders from the Jade Emperor. The author did not decide for Monkey; instead, he left it to the reader to make this fateful, often fatal, decision.

In addition, the scandalous practice of Buddha Sakyamuni and his disciples in the fiction combines with the bestowing of the title of Buddha on Monkey to signify not only the worth of the paramount hero, whose heroic feats of accomplishment based on justice turn him into a Buddha in a broad sense, but also and especially that Monkey, who upholds justice everywhere he goes, may be the true Buddha. As this essay has shown much earlier on, in Chapter Forty-four, the symbolic ascending by Monkey to the throne of The Honorable Divine of the Origin has already presaged the final attainment of his Buddha stature. The addition of the title of Buddha now completes the symbolic union in Monkey, "Three Religions Are One." The paramount hero, "The Great Sage, Equal of Heaven," is also the Honorable Divine of the Origin and the Buddha.

Conclusion

The above study demonstrates that Xiyou ji is a spiritual pilgrimage subtly transformed into a sociopolitical discourse. The author not only aims at a

penetrating study of Ming society but endeavors to capture the essence of Chinese society throughout history. In transforming the spiritual pilgrimage into a sociopolitical study, the author displays contempt for both Daoism and Buddhism, satirizes the evil of tyrannical bureaucracy, flails at hypocrisy, especially that of foolish and brutal rulers. His critical exploration of Chinese society, marked at times by buffoonery and blasphemy sets the author apart from the orthodox stream of Neo-Confucianism. On the surface, the novel, like the poem, appears to be a spiritual discourse; in essence, it is not. The Tang monk, leader of the pilgrimage, represents in a microcosmic fashion Chinese rulers in general--weak, incompetent, self-indulging, and above all tyrannical. His relenting toward the end of the novel only leads us to find the true greedy nature of the fictional Buddha, a supreme lord as the novel presents him. Pigsy is an embodiment of mediocrity and sensuality and Sandy the one who often rides with the tide with no strong conviction one way or the other. In spite of his limitation, Monkey, himself a victim of the tyrannical bureaucracy, fervently follows Confucian teaching, defending the cause of the oppressed, lifting up those who are bowed down, and upholding justice wherever he goes, and finally wins him the seat of the Daoist supreme deity and the title of Buddha. He is a Confucian sage, a Daoist deity, and a Buddha, in whom the three religions blend and find a powerful, vivacious, and enduring expression.

Notes

1 Wu Cheng'en, Xiyou ji (Taipei: Guiguan Bookstore, 1988) 47: 590. Unless otherwise indicated, all translations in this essay are mine.
2 C.T. Hsia, The Classic Chinese Novel: A Critical Introduction (New York: Columbia UP, 1968), p. 147.
3 "Introduction" in The Journey to the West (Chicago: The University of Chicago P, 1977), translated by Anthony C. Yu, p. 60. The reading of Xiyou ji as a Buddhist novel is, of course, nothing new. It was a traditional reading rejected by nearly all the leading Chinese critics in this century.

4 Zheng Zhenduo, Xidi shuhua (Beijing: Xinhua shudian, 1983), P. 67.
5 Contemporaneous with Zheng, Lu Xun also held this view in his Zhongguo xiaoshuo shi lue (Lu Xun quanji, 16 vols [Beijing: Renmin, 1982] 9: 166). Later, Liu Dajie inherited this view in his influential book, Zhongguo wenxue fada shi (Taipei: Zhonghua Bookstore 1967, p. 956). Most recently, this view finds proponents in Zhang Chengjian, "Lue shuo Xiyou Ji yu Daojiao," Ming Qing xiaoshuo yanjiu, (1998) 48: 77-85, and Xiao Xiangqi, "Xiyou ji zongjiao wenhua de suiyi xing," in Mingqing xiaoshuo yanjiu (1999) 54: 159-169.
6 Andrew H. Plaks, The Four Masterworks of the Ming Novel (Princeton: Princeton UP, 1987), p. 258. In reading Neo-Confucianism into the novel, Professor Plaks is not unaware of its pitfall: "Unfortunately, the task remaining before us--that of working out this allegorical interpretation in detail--is by no means an easy one. The allegorical framework is not necessarily fully articulated or even consistent. In fact, even our intrepid guides among the traditional commentators on occasion admit their own frustration in attempting to crack the author's allegorical code... But since I cannot claim to have reached the level of Ch'en Shih-pin's insight, I also need not give up without a struggle" (p. 240). Admirable as his endeavor is, I think his interpretation has failed, as my essay shows, to take the socio-political dimension into proper account. As he himself admits, his approach cannot explain, among others, why Monkey has to undertake the trip to India as he does in the fiction.
7 Professor Hsia disregarded the socio-political significance of the novel for the reason that the author could muster no courage to criticize his government: "The... approach, however, presupposes a political novelist deliberately scoring the evils of his time. But, under the autocratic rule of the Ming, it is very unlikely that Wu would have dared to make political remarks or concoct political fables in the Swiftian manner even if he had felt the urge to do so" (138). This is no argument at all. First of all, it is imprudent, if not wrong, to charge a person with cowardice without presenting a shred of evidence. Second, history shows that during the time while the novel was composed, many ministers in the Ming court

risked their lives to speak against the corrupt practices of the emperors (Meng Sen, Mingdai shi [Beijing: Huashi, 1975], pp. 220-262). Thus, under the Ming regime, not everyone was a coward. Third, the author of this novel had remained anonymous until the turn of this century, and even after Hu Shi assigned the authorship to Wu Cheng'en, critics still disagree, and the issue of authorship is anything but settled to this day. The author may have chosen to be anonymous likely because, among other reasons, he was aware that his unpalatable sociopolitical view might bring persecution upon himself. Notwithstanding this awareness of danger, he nevertheless dared the risk. All in all, as my essay shows, the stories of the novel reflect closely not only on contemporary socio-political events but also on Chinese traditions as a whole.

8 For the studies of the sources and editions of the Xiyou ji, an area which lies outside the scope of my essay, see Hsia, pp. 116-125; Yu, pp. 1-21; Plaks, pp. 184-199; and Liu Yongqiang Xiyou ji lunyao (Taipei: Wenjin, 1991), pp. 5-33.

9 Monkey, tr. by Arthur Waley (New York, Grove Widenfeld, 1958) 37: 45; hereafter referred to as Waley.

10 The Journey to the West, tr. by Anthony C. Yu, 4 vols. (The University of Chicago P, 1977) 10: 235; hereafter referred to as Yu.

11 Cf. Wei Chongxin, Zhongguo wenxue shihua (Jilin: Jilin renmin chubanshe, 1998), p. 222.

12 Cf. Liu Dajie, Zhongguo wenxue fada shi, p. 957.

13 See Zhu Xing, Wu Cheng'en zhuan (Taipei: Guoji wenhua shiye, 1984), pp 115-152; and Qi Yukun, Mingdai xiaoshuo shi (Zhejiang: Guji chubanshe, 1997), p. 233. A number of critics including Zhang Jinger (Xiyou ji renwu yanjiu [Taipei: Xuesheng Bookstore] 1984, pp. 11-17), Plaks and Wei Chongxin (Zhongguo wenxue shihua, p. 216) that Wu Cheng'en may or may not be the novel's author: "the accepted attribution of the novel to Wu Ch'eng-en is itself far from certain....Given the wide acceptance of the prevailing theory of authorship, there is no reason for me to deny that Wu Ch'eng-en had some role in the development of the novel" (pp. 188-193). Before the academic world can settle

on the issue of authorship with absolute certainty, I shall use Wu's name merely as a likely author of the book.

14 Numerous critics have noticed this, including C. T. Hsia who describes the monk as follows: "Peevish and humorless, he also shows little perception as a bad leader partial to the most indolent of his group and little true faith as a strict Pharisee in his ostentatious attempt to keep to his vegetarian diet and avoid compromising female company" (p. 126). Cf. also Yu 1: 44; and Zhang Jing'er, Xiyou ji renwu yanjiu, p. 119.

15 Xiyou ji, pp. 180, 246, 390, 444, 457, 496, 536, 549, 591, 605, 702, 704, 707, 747, 844, 910, 927, 932, 949, 956, 988, 992, 1001, 1003, 1029, 1094, 1143, 1163, 1215.

16 C. T. Hsia, p. 126 and Zhang Jing'er, p. 119.

17 See Zhang Tingyu Ming Shi, 28 vols. (Beijing: Zhonghua Bookstore, 1974), 2: 212; Ding Yong'an, Ming Taizu pingji (Taipei: Jinri jianshe, 1985), p. 1; and Chen Jiexian, Ming Qing shi (Taipei: Sanmin Bookstore, 1990), p. 9.

18 Waley 4: 45-46.

19 Cf. He Xizhang, Wu Cheng'en hua xiyou (Taipei: Yatai tushu chubanshe, 1995), p. 74 and Wei Chongxin, Zhongguo renmin wenxue shihua, p. 222.

20 See Michael V. Yang's "Naming in Honglou meng" in Chinese Literature: Essays, Articles, and Reviews 18 (December 1996), pp. 71, 91.

21 I cite Waley's translation because the use of the Sanskrit term "Devarajas" in Yu's translation obscures rather than illuminates the meanings for an English reader who has no knowledge of Sanskrit.

22 See Meng Sen, Mingdai shi (Beijing: Huashi, 1975), p. 208.

23 Liu Yongqiang believed that the author had directed his criticism at Emperor Shizong.

24 Zhang Jing'er sees him as a figure of reconciliation between the pilgrims (pp. 175-194).

25 Waley 8: 80. Professor Yu translated the expression "shishou," which means "to lose grip," into "carelessly" (p. 189), attributing the fault to Sandy. Waley's free

translation in this regard, "had the misfortune," is more in line with the meaning of the original text.

26 Professor Yu defends the harsh terms of this punishment, arguing that Sandy breaks "crystals during a solemn banquet" (p. 55). In the first place, the original text, which indicates no number, most likely speaks of one crystal. In the second place, in light of the list of figures invited to the banquet, which includes nearly every notable character in heaven, the peach banquet may just be a mirthful party rather than "a solemn banquet." Even for a solemn banquet, the punishment inflicted by the Emperor is simply too harsh, bordering on absurdity.

27 See Meng Seng, Mingdai shi, p. 252.

28 Chen Jiexian, Ming Qing shi, p. 26.

29 See Guo Moruo, Guo Muruo gudian wenxue lunwen ji (Shanghai: Guji chubanshe, 1985), pp. 124-348.

30 See Nie Shiqiao, Sima Qian lungao (Beijing: Beijing Normal U, 1987).

31 See Ouyang Xiu, Xin Tangshu, 20 vols. (Beijing: Zhonghua Bookstore, 1975) 18: 5736-38, 5762-63; Wang Yao, Li Bai (Shanghai: Renmin chubanshe, 1954); Chen Yixin, Du Fu pingzhuan (Shanghia: Guji chubanshe, 1982).

32 Fan Ye, Hou Hanshu, 12 vols (Beijing: Zhonghua Bookstore, 1965) 10: 2736-41.

33 Cf. Exodus 32: 9-10; Judges 2: 10-15; 1 Samuel 8: 6-8; Ezekiel 2: 3-4; and Jeremiah 11: 7-8.

34 The claim that Ye Qingquan, Jiang Songyuan, and Tan Banghe make that Monkey "appears in the role of a militant one who masters and conquers his fate" (Mingqing xiaoshuo de yishu shijie (Taipei: Hongye wenhua shiye chubanshe, 1995) is a groundless speculation based on a misunderstanding of the traditional Chinese concept of fate. Fate, in the teaching of Confucianism, Daoism, and Buddhism, is something to submit to, not to master or conquer.

35 Professor Yu's translation reads: "I will cause the head to swell and ache so painfully that he will think his brains are bursting." The original text contains no such expression as "he will think." Professor Yu's espousal of the Buddhist

theory in the novel leads him to tone down the power of the magic band in favor of the fictional Buddha. The original statement clearly indicates that the magic band can literally squeeze out one's brains.

36 See Chen Jiexian, Ming Qing shi, pp. 25-27.

37 Jiang Gongtao, Ming Qing shi (Taipei: Changqiao chubanshe, 1979), pp. 24-27.

38 Cf. He Xizhang, Wu Cheng'en hua xiyou, pp. 25-31 and Wei Chongxin, Zhongguo wenxue shihua, p. 223.

39 Incidentally, the Empress Dowager (1835-1908) of the Qing dynasty, liked, for all her wicked deeds, posing for photographers as the benevolent Bodhisattva Guanyin. She is remembered for, among others, mudering her co-regent Cian, usurping the power of Emperor Guangxu, diverting 33 million taels from the naval budget for the construction of the extravagant Yihe Garden, leading China to a crushing defeat in the Sino-Japanese war, provoking the eight superpowers in the world to another disastrous war, plunged China into a dark abyss of agony, and the day before her death, murdering the emperor--these memories bite deeply into the Chinese soul even to this day (see Xiao Yishan, Qingdai tongshi, 5 vols [Taipei: Shangwu, 1967] 3: 905-1295; Immanuel C. Y. Hsu, The Rise of Modern China [Oxford: Oxford UP, 2000], pp. 261-416). The photos of her dressed as the bodhisattva appear in a number of history books and are on permanent display at the Forbidden City.

40 See Tuo Tuo, Song Shi, 40 vols., (Beijing: Zhonghua Bookstore, 1977) 33: 11375-11397; Li An, Jingzhong Yue Fei zhuan (Taipei: Dadong Bookstore, 1980).

41 Aside from reciting the spell, Tripitaka threatens to use it on Monkey in Chapter Forty because of the former's failure to see evil. His threat forces Monkey into silence and in consequence brings another disaster upon the whole group, especially upon himself (pp. 497-500).

42 Out of all the cases where the headband spell is invoked, Professor Yu cites only Monkey's killing of the brigands as the ground for his interpretation. Even

here Monkey does no wrong. Bodhisattva Guanyin, speaking in favor of Tripitaka, only maintains that Monkey is a bit harsh in meting out the punishment, a view which Monkey refuses to embrace whole-heartedly (57: 714-715). The fact that Tripitaka, after doggedly driving Monkey away, falls into a disaster and stands in need of Monkey's help indicates that Tripitaka is in the wrong again.

43 Sima Qian, Shi Ji, 10 vols (Beijing: Zhonghua Bookstore, 1973) 6: 2035.

44 See Michael V. Yang, "A Stylistic Study of 'The Diary of a Madman' and 'The Story of Ah Q,'" American Journal of Chinese Studies 1 (April 1992), pp. 65-82.

45 Zhuang Zi, annotated by Guo Xiang (Taipei: Yiwen Bookstore, 1983) 23: 424). See also "Xu Wugui" 24: 458.

46 After completing this essay, I found that Zhang Jing'er in his book Xiyou ji renwu yanjiu (p. 119) has similarly noted Tripitaka's change and the error Professor Xia made thereof.

47 See Meng Seng, Mingdai shi, 262 and Chen Jiexian, Ming Qing shi, p. 72.

48 Cf. Liu Yongqiang, Xiyou ji lunyao, p. 70.

49 Inshun, Fojiao shidi kaolun (Taizhong: Guangyi, 1973), p. 85.

50 See Meng Sen, Mingdai shi, 251; Chen Jiexian, Ming Qing shi, 95; and Zhang Tingyu Ming Shi, 2: 250.

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Naturshchik Against Nature? Lev Kuleshov's Theory of Film Acting and the Production of 'New Soviet Man'[1]

Central to Bolshevik visions of the good life was the creation of "New Soviet Man" and "New Soviet Woman"— rational, disciplined, altruistic, and possessing the skills needed to build and operate the mechanized economy of socialist plenty. For some enthusiasts of the 1920s, particularly the devotees of American efficiency expert Frederick Winslow Taylor, efforts to inculcate socialist values meant the adoption of efficient ways of conducting life both inside and outside the workplace that were inspired by a "machine ethic."[2] This cult of the machine was popular in avant-garde as well as politically vanguard circles, and it was not uncommon for artists and party members to be involved in projects that expressed their mutual interests.[3]

Such blurring of boundaries between artistic and political spheres (if not yet the dictatorship of the latter over the former) characterized the first decade of the new regime. Coupled with the self-consciousness with which the didactic projects of the adherents of each were pursued, this artistic-political conjunction calls attention to what might be termed a "performative" dimension operative in the creation of subjectivity in the early Soviet period. The projected transformations of economy, society, and personality were to be carried out not only under the scrutiny of a skeptical world abroad, but also under that of a puzzled public at home. With the Russian people thus playing the role of both performer and audience, socialist identities would be created by the adoption of behavioral models scripted by Bolshevik theorists and their supporters in a process akin to acting. Richard Stites has caught this phenomenon in his characterization of theater critic turned Proletkul't[4] theorist and Taylorist Platon M. Kerzhentsev, who

"wanted to theatricalize life." Behind his short-lived League of Time's attempt to "teach all Soviet citizens 'spontaneous self-discipline,'" was "the esthetic impulse to stage everything, to develop acting skills among the population, to join audience and cast in a great social 'performance' of his utopian real- life play."[5]

How implicated were early Soviet artists in the attempt to manipulate this performative dimension of individual identity? How might their efforts be related to the machine ethic that intrigued so many of them? This paper explores these questions through a consideration of the acting theories of pioneer Soviet director Lev Kuleshov. Kuleshov was not, as far as I could determine, a formal member of any Soviet Taylorist organization. Nevertheless, his descriptions of the training of the *naturshchik*, or actor-model, by the repetition of precise movements presumed to be easily understood on the silent screen, are part and parcel of what Stites has termed the "new gestural culture" associated with Taylorism, which would use the machine as a model to teach the Soviet people to live efficiently, and hence happily, in the fast approaching socialist future.[6]

Scholarship on Kuleshov's program for the training of actors has detailed its connections to European aesthetic and intellectual history, and its contributions to western cinematic practices in the silent era and beyond. In the 1970s, Ronald Levaco, the English translator of Kuleshov's works, emphasized Kuleshov's inclinations toward structural analysis, and considered his theory of the *naturshchik* as a pioneer attempt to establish a foundation for a semiology of film acting. Noting some of his borrowing from the teachings of the Swiss J. Dalcroze and the Frenchman F. A. Delsarte on movement aesthetics and physiognomy, Levaco credited Kuleshov in turn with an anticipation of techniques developed by the likes of Bresson, Antonioni, and Resnais.[7]

More recently Denise Youngblood has documented the central place occupied by Kuleshov's theories in debates of the 1920s over the "acted" vs. the "non-acted film," which was linked to efforts to establish a Soviet cinema that eschewed "bourgeois" art forms and ideological message. In the early twenties, the cult of the movie star was critiqued as a sign of decadence, and alternatives ranged from Dziga Vertov's total rejection of the use of actors, to Eisenstein's mixing professional actors and non professional "types," to Kuleshov's concept of actor-model, which Youngblood interpreted as being "somewhere in between," presumably because the professionally-trained *naturshchik* was taught *not* to indulge in the emotive excesses said to characterize capitalist theatrical and cinematic traditions.[8] These debates raised philosophical questions for some about the autonomy of the individual, as members of the young cinema industry competed for access to scarce resources, and for respect for their contributions to Soviet cultural development. Noting that Kuleshov's approach was critiqued at the time for "denigrating the actor,"[9] and his actor-model termed a "director's robot," [10] Youngblood portrays his program in a somewhat more benign light, arguing that its origins "lay not so much in the director's desire to gain control over the actor as it did in the mania for rationalization characteristic of early Soviet Society."[11] She cites the opinion of the "excellent critic" (and Taylorist) Ippolit Sokolov, who thought Kuleshov's system "trained the actor to be a real artist," and points out some of the inconsistencies in the assessments made of it by Kuleshov's critics.[12]

Currently, the most extensive work on Kuleshov's *naturshchik* is by Mikhail Yampolsky, who sees Kuleshov's cinematographic theory as an exemplar of a "new anthropology of the actor" developed in the pre-Revolutionary era, and premised on the

correlation of the rhythm of montage sequences with the rhythm of the movements of various parts of the body.[13] He emphasized the linkage of the Soviet director's ideas not only to European movement aesthetics, but also to western psychological theories, and found them illustrative of some of the more disturbing trends in the relation of human and machine that developed in the modern era. Kuleshov's "theoretical research," he says, "reminds us. . . of the fact that for thousands of years the human body has served as a model for the universe. . . . [which] evolved from the intact body of the Middle Ages to the dismembered corpse of the nineteenth century. The idea of montage as the specific basis of a new art, cinema, is an important link in the long history of this evolution."[14]

To Yampolsky, Kuleshov's approach to photographing faces exemplified the implications of this cultural (and ultimately literal) fragmentation of the body. Kuleshov described his actor-model as a special kind of "Futuristic monster," who would essay either a "machine face" or a "mask face."[15] Split up into autonomous parts, each of which learned to perform "facial calisthenics," the "machine face" was keyed by the exercises prescribed for the eyes, which create a smooth trajectory that mimics the camera, but renders the see-er sightless by preventing the eyes from resting on anything in particular. The "mask face," characterized by immobile, glassy eyes, was essentially a blank screen which reflected what was going on around it. In both cases, then, the eyes, "the hallmarks of subjectivity," are cut off from subjectivity: they neither portray an inner state, nor link the personality in a conscious way to the outside world.[16]

Yampolsky compared Kuleshov's actor-models to the hypnotized female hysterics manipulated by the nineteenth century French psychiatrist J. M. Charcot, and to Daniel Schreber, a paranoiac analyzed by Freud, among others, during the 1910s, who

complained of being controlled by an "influencing machine." This led him to link the *naturshchik,* exemplar of the "constructivist actor," to "new Soviet man" himself. While it is true that the latter "was a hyper-rational being capable of total conscious control over his behavior, whereas the hysteric is . . . an unconscious automaton," such connections can be made because "the hyper-rationalization of the Constructivist man is accomplished through the elimination of the dark psychic entity called 'the soul.'. . . . The new man of the Soviet utopia. . . is expected to control himself as if he were another person, and in doing so, transforms his body into the puppet of his intellect. . . . [The Kuleshovian] actor seems to combine both the will of the doctor and the body of the patient," since both his intellect and his body "are the intellect and body of the other."[17]

Yampolsky remarked that the vision of the actor as machine-like "monster," which was shared by many in the teens and twenties "only partially affected" Kuleshov's "real, living students and colleagues," but his recognition of the power this approach conveys on the director, and his equation of the *naturshchik* with the new "soulless" Soviet man implies that he saw Kuleshov's training program as illustrative of larger processes that threatened to dehumanize all Soviet citizens. Indeed, Yampolsky's concerns about the subordination of subjectivity to externally prescribed rationality, and assertion that a denial of a "connection with nature and chaos," was required of Kuleshov's army of "monsters"[18] are strongly reminiscent of the critique of the programming of the citizens of United State in Evgenii Zamiatin's anti-Taylorist satire *We*.[19] They also resonate with charges made by Kuleshov's contemporary rivals such as Valentin Turkin who said he made his actors into automatons.

While it is not unusual for historians to incline to one side or the other in recounting contentious issues from the past, the degree to which Yampolsky and Youngblood (albeit to a much lesser extent) seem involved in this particular issue is striking. How could something as seemingly innocuous as a training program for actors be connected with the dehumanization of twentieth century man, not only by Kuleshov's rivals during the culture wars of the 1920s, but also by an historian writing seventy years after the fact? Why would another historian feel the need to absolve the Soviet director from the charge of turning his actors into robots? I note this not to dispute these scholars' conclusions or minimize these concerns, but to explore the implications of the fact that unease about what was happening to the *naturshchiki* could have continued from the NEP era into the present.

The affiliation of Kuleshov's theories with several nineteenth-early twentieth century western discourses about the relationship of humans and machines suggests to me that they may be fruitfully analyzed through the prism of two later theoretical perspectives: a Foucauldian analysis of "discipline," supplemented with the analysis of "organized mimesis" proposed by Max Horkeimer and Theodore Adorno.[20]

Foucault implied that the autonomy as rational actor, assumed for the juridical subject of liberal political economy, is undermined by her subjection to disciplinary mechanisms in factory, school, hospital, army, and prison, which have been derived from military training procedures, ascetic religious practices, and from the analytical categories of the new human sciences of the eighteenth-nineteenth centuries.[21] These disciplinary techniques take as their starting point the body of the individual as given by "nature," and render it docile and efficient.[22] Each act which the subject must perform to accomplish a

task is scientifically analyzed, and then broken down into simple elements, be they physical or mental. The position of the body, the articulation of the limbs, for example, are noted, and each gesture or behavior is assigned a duration and a value.[23] Crucial to the functioning of a disciplinary regime is surveillance. Exercises that constitute a kind of human dressage are performed under the watchful eye of the drill instructor, warden, teacher, or monitor, and there is a constant interplay of glances within the system, as observers in their turn become the observed.[24] Thus, inserted into a network which runs ideally with the precision of a machine, the individual ultimately regulates herself in a society whose quintessential model is Jeremy Bentham's proposed penal institution, the Panopticon, wherein perpetual supervision by an invisible and anonymous power assures compliance. As Foucault put it: "It is the fact of being constantly seen, of being able always to be seen, that maintains the disciplined individual in his subjection."[25] Equally crucial to this regime is the mimetic quality of actions within the disciplinary system. Mistakes are corrected by repetition of the desired behavior, and success in performing an exercise is rewarded by promotion to a more demanding one.[26] Thus, although it is not named as such, rationally structured, i.e. "organized mimesis" operationalizes discipline in the panoptic society.

Horkheimer and Adorno implied that in the earlier stages of human development, mimetic activities were a kind of spontaneous expression of people's connections to each other and to their natural surroundings. This sort of mimesis was restricted as civilization advanced, particularly from the Enlightenment onward, when the rational structuring of human behavior came increasingly to be prized. Thus controlled and repressed, mimetic behavior returned with a vengeance during the post-World War I era, orchestrated by

totalitarian fascist states. Fascist politicians were able to carry out genocide by manipulating the anti-Semite's desire to mimic the threatening behavior attributed to the Jews.[27] What the juxtaposition of such insights with Foucault's suggests is that, although working from differing philosophical and political premises, these theorists were discussing the same phenomenon---the eighteenth-nineteenth century "mechanization" of man, and its terrifying consequences in the twentieth.[28]

The watchwords of Kuleshov's art are organization, economy, and precision. Cinema, he pointed out, provides "the opportunity for an exceptionally exact perception" of material reality, but one which will be successfully realized only if what is put on the screen is both authentic and ordered.[29] Painted scenery, fake beards, and exaggerated emoting will appear unconvincing, while merely reproducing a complex reality *au naturel* will either confuse or fail to engage the spectator.[30] Montage, the paramount creative principle of the cinema, is thus "a method of organizing the given material."[31] The director plans each shot as a visual unit of signification[32] whose maximum expressiveness is attained by exploiting the "plane of the screen with optimal economy. . . . Every tiny piece, every quadrate. . . must not only be put to work, but put to organized work in simple, clear, expressive forms."[33]

To function as an element in Kuleshov's exacting signification system, actors must in the first instance be "'actor-models (*naturshchiki*) . . . people who, in themselves, as they were born, present some kind of interest for cinematic treatment."[34]And then they must be rigorously trained to exploit whatever distinctiveness they possess. "They [these actor-models] must play their roles in their finest, most organized method. Everything they do, all their working processes, must be precise, clear, and plain, convincing and

optimally organized."[35]

Like the disciplinary techniques Foucault described, Kuleshov's program for his *naturshchiki* was grounded in the science of his day. As noted by Yampolsky, the Delsartean and Dalcrozian ideas which Kuleshov utilized were derived from medical and psychological notions of the nineteenth-early twentieth century—Delsarte's precise lexicon of gesture was linked to the teachings of physiognomy, and Dalcroze's rhythmic gymnastics, to analogies of the body workings with those of a machine, and to conceptualizations of a synaesthetic communication of meaning, via rhythmic movement.[36]

Noting that what happens on the screen is "somehow" absorbed into the spectator's consciousness, Kuleshov argued that it is "possible to establish laws" by which one can construct cinematic images easily readable by the viewer.[37] These "laws" turn out to be observations that straight lines of action that are situated perpendicular to or parallel to the rectangle of the screen are most quickly perceived, and that slight deviations from these right-angle movements are more difficult to read than larger, more distinct ones (i.e. 45 degrees). When the two-dimensional space on the screen is extended to encompass the three dimensional space in which the filming takes place, ending at the lens of the camera, a pyramid-shaped "metrical spatial web" is created. Within this cubic space, the actor's movement is graphed along three axes (horizontal, vertical, and transverse) which together can account for all possible body articulations.[38] Thus the viewer's perceptual capacities and the actor's kinesthetic capabilities are both envisaged in terms of infinitely dividable quadrangles and, although it is not said explicitly, the implication is that communication between performer and spectator is facilitated by some

sort of mathematical correspondence of these characteristics of the "human mechanism."

What is prescribed for the actor's "mechanism" is a series of physical exercises that will construct his work as "the sum of organized movement," with "'reliving' (i.e. using an internal psychological state to motivate the action) held to a minimum."[39] At the elementary level, these exercises break down a particular activity into detailed components and, by repetition, teach the novice to perform each precisely. "A person enters a room—the first point of the problem. . . . . Which hand holds the handle of the door? How best to hold the hand itself? Which leg enters the room first?"[40] Next the actor becomes familiar with the time element in his work by doing exercises focused on meter and rhythm. "The metronome counts metrical units while the actor performs each movement according to a prearranged plan, in required tempo."[41] After this his rhythmical training is advanced by learning to read and execute movements expressed in musical notation. "First measure: hand with glass moves right [half note with dot]. Second measure: hand puts down glass [eighth note]. . . . . In the first measure, the movement of the hand occurs in three-quarter time; in the second, one eighth (of a four-part measure)."[42]

To illustrate the development of disciplinary techniques relating to the "temporal elaboration" of a given act, Foucault quoted from a 1766 French marching ordinance: "'The length of the short step will be a foot, that of the ordinary step, . . . will be two feet. . . ; as for the duration, that of . . . the ordinary step will last one second, during which two double steps will be performed; . . . . [It] will be executed forwards, holding the head up high and the body erect, holding oneself in balance successively on a single leg, and bringing the other forwards, the ham taut, the point of the foot a little turned outwards

and low. . . .'"[43] Clearly comparable to a meticulously choreographed dance, Kuleshov's prescriptions for the training of his budding actors are also remarkably close to this eighteenth century military drill. His twentieth century refinement—timing via the metronome---will render the movements all the more precise.

The Extraordinary Adventures of Mr. West in the Land of the Bolsheviks was the first feature-length effort of the independent production ensemble that Kuleshov formed with co-workers and students who left the The State Cinema Technicum (GTK) with him in 1922.[44] A good natured satire of American stereotypes of Russians, as well as a skillful implementation of the shooting and editing techniques of what was then termed "American" montage, *Mr. West* was one of Kuleshov's more popular efforts, and effectively showcased the talents of his company.[45] Kuleshov proudly described the fortitude and inventiveness displayed by his actors in overcoming the various obstacles that stood in their way, from a winter shoot in an unheated and ill-equipped building, to the opposition of studio bigwigs to the "wastefulness" of his detailed pre-shoot rehearsals. One player allowed heavy scenery to fall on his head without missing a beat, another broke windowpanes with his bare hands, and still another who came down with the measles, went on shooting for five days despite a high fever.[46] To mark such accomplishments, he reported, "we introduced into the collective a particular system of rewards. For first-class disciplined work we handed out a brown button, which was worn in a buttonhole. For work in which life was risked, we gave out a red button."[47] Kuleshov noted that B. Sveshnikov and V. Fogel "were absolutely festooned with red buttons," and complimented Fogel in particular for a technically brilliant death-defying climb across a rope suspended between the top floors of two buildings, made possible not only

by courage and athleticism, but also by a full two weeks of preparatory training.[48]

Meant to praise the discipline shown by his actors in the service of their art, Kuleshov's comments remind us of aspects of "discipline" in the Foucauldian sense. Rather than simply punishing the transgressor (brutally but erratically) for the commission of a prohibited act, as was done under the *ancienne regime*, disciplinary penality operates in a double system of gratification-punishment that distributes individuals on a continuum of good/bad behavior constantly visible to everyone. In addition to being chastised by being made to repeat a task until it is done satisfactorily, people are induce[49]d to conform to the norm by the granting or withdrawing of petty privileges, ranks or rewards. Thus behavior is easily quantifiable---acceptable acts and transgressions can be assigned values, privilege points in effect, which can be exchanged for one another, and individuals are corrected and trained in the most efficient manner.[50] Kuleshov of course, seemed to show only one side of this coin—he did not punish his actors, by depriving them of their colored buttons, but, as noted above, he did exercise them, and lauded those who trained most assiduously. And, like the ranks used as rewards in a disciplinary system,[51] Kuleshov's buttons signaled "first-class disciplined" work in a way known to the entire group, and so promoted competition within it. Moreover, his methods implied a rather striking degree of surveillance not only of actors, but of the entire production crew.

Already the outlines of this control are visible in what Kuleshov calls an "interesting semi-rehearsal method" that was developed in working on *Mr. West*. Various co-directors and assistants rehearsed their assigned scene or part of a scene to its "minutest detail," while Kuleshov went from one set to another, acting as "the chief

observer."[52]

The final version of the "rehearsal method" was elaborated in terms of a proposed "special *experimental rehearsal film-theater*," a building designed by Kuleshov, Eisenstein, and architects from the State Institute of Cinematography (GIK),[53] that was to improve film quality by promoting an efficient and organized work process. The structure would house three stages connected at right angles to one-another to form three sides of a quadrilateral. Actors would perform on the main stage on a rotating disc, "so that the action *would not be seen from a single point of view*,"[54] while the central auditorium between the three stages would be similarly be equipped with a rotating disc for viewers. A bridge that could be moved from the main stage into the spectator's space would permit the viewing of close-up action highlighted by a spotlight; spectators and actors could exchange places, with certain scenes being staged on the auditorium's rotating disc, and the spectators viewing the action from the main stage. Finally, for the sake of simplicity, the spectators' disc could be done away with in its entirety, and replaced by a "rotating armchair of the 'American variety,'" which would allow the director fully to control the vantage point from which he viewed the action.[55] Kuleshov pointed out that with the rehearsal method, at least two, and later, four or five films could be produced simultaneously with the same personnel, as scenes could be planned and shot in shifts on the three stages, with all work closely supervised by the director and his assistants, who (and here we have an additional economy) could be directorial students learning on the job.[56]

These descriptions of the planned experimental theater and its operation call to mind Jeremy Bentham's Panopticon, which as Foucault points out, was envisioned as a

penitentiary institution, but one whose mechanism of producing knowledge about inmates and correcting their behavior could be applied to workplaces, hospitals, and schools.[57] In Bentham's structure an observation tower is ringed by a series of cells enclosed on three sides, with the open side facing the center. The cells on the periphery of the tower "are like so many cages, so many small theaters, in which each actor is alone, perfectly individualized and constantly visible. The panoptic mechanism arranges spatial unities that make it possible to see constantly and to recognize immediately. . . . . Each individual . . . . is seen but does not see; he is the object of information, never a subject of communication."[58]

The Panopticon makes the operation of power anonymous and automatic. Because he never knows when he is being watched, the individual must always act as if he is.[59] Thanks to these mechanisms of observation, "it gains in efficiency and in the ability to penetrate into men's behavior; knowledge follows the advances of power, discovering new objects of knowledge over all the surfaces on which power is exercised."[60] The number of observers needed is reduced, while the number of those who can be observed increases, making possible the perpetual supervision not only of inmates, but of their warders, and of the chief warder himself. Anyone can enter the tower and instantly see everything he wishes in the peripheric ring.[61]

The important thing about the panopticon is not the specific apparatus that Bentham planned, but the fact that it embodies "a figure of political technology" that could be "detached from any specific use" to spread disciplinary techniques by assuring an absolutely efficient way to impose them.[62] Arguably Kuleshov's experimental rehearsal film-theater employs the central feature of the panoptic arrangement (being

seen without being able to see) found in Bentham's "little theatres," and he hoped to use it for remarkably similar, albeit less sinister, ends. True, Kuleshov's actors are not partitioned off from each other, but their collective movement (as well as their individual behavior, essentially choreographed in advance by Kuleshov's adaptations of Delsarte and Dalcroze) is determined by an external power operating the rotating disc on which they performed, which also moves around to see them from any angle desired, thus increasing their visibility. Moreover, Kuleshov claimed for the rehearsal method, as realized in his arrangement of stages, auditorium, and rotating discs, an ability to obliterate

"bustle, yelling, hysteria at the studio.. . . . [With it] completely new, hitherto unknown forms of responsibility emerge. Previously one could never find the guilty party in 'mix-ups. . . . ."

[However]"the rehearsal method completely, exactly, and precisely distributes the function of each worker, . . . the opportunity for precise and daily checking of work completion [emerges]. . . . The director. . . can determine, as never before, the profile of production work of his production unit, his nearest co-workers. . . . [H]e knows what each person can do best. This produces the possibility to exploit maximally each member of the unit."[63]

Such characterizations of the benefits of the "rehearsal method" clearly capture the individualizing and controlling creativity of the panoptic mechanism Bentham envisioned: perpetually accountable workers are created, whose strengths, contributions, and shortcomings are readily put to use. Written in 1934, Kuleshov's comments may evoke in the reader some of the chilling effects of the descriptions of transparent living

arrangements imagined earlier in Zamiatin's *We*, and they clearly partake of the atmosphere of the Stalinist 1930s, when draconian surveillance was in fact practiced in many areas of life and work.[64] Nevertheless, Kuleshov insisted that while "dilettantes" in cinema acting, might "give the impression of jerking marionettes,"[65] *his* methods produced not subservience to the director but a liberating self-mastery.[66] So, who is correct: Kuleshov or his critics?

Foucault contended that what is new about disciplinary techniques is that they assure that an increase in aptitude means not an increase in agency but an increase in subjection. The same mechanism that increases one increases the other, because, as noted above, this mechanism is meticulous, punishes and rewards by mandating repetition of the desired behavior, and operates constantly via panoptic surveillance which the individual internalizes.[67] We have, however, no evidence that "Kuleshovian discipline" affected his actors in this way. It did not seem to reach beyond their professional lives, and we may infer from the compelling performances of members of his workshop in films such as *Mr. West* and *By the Law*, that Kuleshov's training did help to make them very effective silent screen actors.[68] In other words, his techniques would seem principally to have empowered rather than oppressed these people.[69] Moreover, despite an unmistakeable intent to enhance directorial control of the aesthetic product, Kuleshov affirmed that the latter was a collaborative effort,[70] and he included not only himself, his lifelong companion Khoklova and the renowned Pudovkin in the company of those who aspired to the kind of technical virtuosity he required,[71] but also "first-rate actors" such as Chaplin, Chaney, Menjou, and Pickford,[72] artists whom few would view as mere directors' robots. On the other hand, as this paper has demonstrated, Kuleshov's approach

to acting did embody the four "great techniques" which Foucault found operated to create disciplinary individuals: It 1) drew up tables; 2) prescribed movements 3) imposed exercises, and 4) arranged tactics. Kuleshov's outlines of the relationship of body axes, gestures, and emotions conveyed within his pyramidal spatial web may be considered exemplary of nos. 1-3. As for the fourth technique, "tactics," in Foucauldian parlance, this meant "the art of constructing, with located bodies, coded activities and trained aptitudes," and he judged such mechanisms "in which the product of the various forces is increased by their calculated combination" as "no doubt the highest form of disciplinary practice."[73] Shooting a film according to the Kuleshovian "rehearsal method" certainly involves a calculated locating of bodies, and the codification of their activities, all in the interest of increasing the quality of the overall product—in this case, the finished film. Thus, in conjunction with his subsequent editing process, it may be said that we have a case wherein an exemplar of the "highest form of disciplinary practice" has been made to serve the "high art" of our pioneer *auteur*.

Kuleshov's methods produced neither puppets nor fully independent artists; rather they helped to form individuals with the compromised (yet real) agency Foucault implies characterizes modern subjectivity.[74] His characterizations of the relationship of the *natursh*chiki to "nature" are illuminating in this regard. Kuleshov emphasized that the actor-model is a "natural, real, person"[75] who is "able to control himself completely," so that he can replace "chaos" with "expressive clarity."[76] The sufficiently practiced *natursh*chik, like an experienced motorist driving a car, will perform all necessary operations without having to think about them consciously.[77] Having absorbed his schooling into his "flesh and blood,"[78] he would "work gently, calmly—most important

of all, freely."[79] Ironically such comments about the ways in which his *naturshchiki* become free also testify to the ways in which they are not. The undisciplined natural raw material with which the actor works—his own body—must be consciously mastered so he can "operate" it most effectively along his axes, to express a "natural" simplicity of movement that has become unconscious. His freedom consists of an enhanced aptitude to perform exercises about which he no longer has to think. This does not mean that the *naturshchik's* body, like the body of New Soviet Man as Yampolsky saw him, has become the puppet of his intellect.[80] Rather, something nearer the reverse could be claimed to be the case. His freedom consists in the freedom *from* the effort of thought, the freedom of habit only, and who or what is really in control in such a case, is unclear. What is certain is that it is Kuleshov who has initiated and structured the actions in question.

We are brought again to what I think ought to be viewed as a fifth operational principle of discipline----the idea of "organized mimesis." Horkheimer and Adorno believed that a healthy link of humans to the Other (the natural world, their fellow human beings) had been progressively destroyed by the advance of civilization.[81] First organized by magic, and then by "rational practice, by work," mimesis comes to express alienation from, not connection to the Other.[82] Uncontrolled mimetic acts, such as carnival, are outlawed,[83] and repressed mimesis surfaces in distorted form. As Horkheimer and Adorno put it, modern anti-Semitism, and by extension, other forms of hostility to a debased Other,[84] is based on false projection and " is probably the morbid expression of repressed mimesis. . . . . For mimesis the outside world is a model which the inner world must try to conform to: the alien must become familiar; but false projection confuses the

inner and outer world and defines the most intimate experiences as hostile. Impulses which the subject will not admit as his own even though they are most assuredly so are attributed to the object—the prospective victim."[85] Primitively violent acts which the anti-Semite wishes to perpetrate against the Jew are authorized in mimetic Fascist rituals that present themselves as a self-defense against an Other falsely construed as primitive.[86] Just as for this kind of morbid mimesis, "nature" is the enemy (in the sense of representing our pre-civilized, animal prehistory), so too it is in Kuleshov's acting theory, where unregulated "nature" is "chaos," and "the natural" is benign only when it is organized. Placed in Horkheimer and Adorno's framework, his attitude and practice, however, would be reflective of a pre-totalitarian phase wherein the rational control of nature to increase productivity is the main concern, not in the phase marked by the irrational excesses of Nazis or Stalinists.

Further, the realization that "discipline," which, if Foucault is correct, has spread throughout modern western societies, and "organized mimesis" are so intimately related (discipline operates by mimesis; mimesis is organized by discipline) may mean that it is best viewed less as a return of what has been repressed, than as an ordinary aspect of all modern life. The organization of mimetic behavior Horkheimer and Adorno saw manifested in spectacular acts associated with torchlight parades, ritual adoration of the dictator, and the assembly line murder of the death camp can be found, in other words, in Kuleshov's (and of course Stalin's) modernizing Russia, Hitler's Germany, Foucault's France, or, for that matter, in Henry Ford's America. And the chief problem underlying these societies may not be, as Horkheimer and Adorno's analysis implies, that they confuse an external goodness (a benign or at least neutral nature; a blameless Jew), with

an internal evil (hostility to and fear of the Other; a remnant of our animal pre-history distorted by repression). Rather, a Foucauldian perspective would argue that they confuse an external power that is creative, constitutive, and not merely repressive, with its internalized effect which they incorrectly assumed to originate in the self (i.e. in our animal or human natures).

"The soul is the prison of the body," Foucault asserted dramatically in *Discipline and Punish*,[87] meaning that what we view as our essence, our animating principle in modern society is actually a surface phenomenon, a web of discursive practices that discipline the body and inscribe in the psyche an originally external appraisal of the meaning of our behavior, needs, or impulses. Recalling Judith Butler's Foucault-inspired contentions that gender and sexuality are a matter of "performance," keyed by externally prescribed norms, rather than the expression of innate desires,[88] I suggest that Kuleshov's program for creating disciplined performances by his actors, makes manifest such a "performative" dimension of modern identity formation. It may be that his approach to acting closely replicates some of the disciplinary processes by which our everyday subjectivity is created, and that this, at least in part, explains why his views have been troubling not only to colleagues in the 1920s, but also to American and Russian scholars analyzing them in the present.

Of all the avant-garde Soviet directors, Kuleshov is the one whose work most closely links the West (particularly the United States) and Russia. He was the avatar of "Americanism," in the 1920s, openly urging his colleagues to imitate American shooting and montage practices, in order to remedy the boredom of the typical Soviet film.[89] His mechanized movement aesthetics were adaptations of the ideas of two European

theorists, Dalcroze and Delsarte, and his model for a panoptic director's chair for his "experimental theater" came, apparently, from Hollywood. Moreover, the close reading of Kuleshov's major statements on his approach to acting done in the present work clearly suggests that it is an example of the invasion of a practice by disciplinary techniques found in both the USSR and the West, aimed at rationally and hence productively structuring the "chaos" of nature.[90] His enthusiasm for a mechanistic model of human capabilities is something shared with Taylorists in his own country and in America, where these practices originated, and with artists and scientists enamored of the cult of the machine in both places ever since. While it would be unfair and unseemly to identify the "dictatorship" of Kuleshov the director with the totalitarian dictatorship of Hitler or Stalin, or the "dictatorship" of a capitalist factory with the efficient organization of Aushchwitz, it would not be inappropriate, given the findings of this paper about Kuleshovian discipline, to acknowledge that such phenomena bear some family resemblances to each other.

Perhaps no profession better illustrates an identity constituted by mimetic behavior under an omniscient gaze than does movie acting, and, arguably, there have been few modern cultural phenomena as wide-spread as movie watching. Studying the ways the camera (as operated by Kuleshov but not only by him) helps to create subjectivity for the actors who perform before it, as well as for the spectators who are influenced by the images it produces, could be a path to an awareness of the ways that all of our "performances" may be tailored to suit human needs, rather than to augment powers (whatever their origin) that have been loosed in the "Age of Mechanical Reproduction."

[1] I thank Sandra S. Smith for her helpful comments on the preparatory and penultimate drafts of this article.

[2]Richard Stites, *Revolutionary Dreams: Utopian Vision and Experimental Life in the Russian Revolution* (New York and Oxford: Oxford University Press, 1989) 147, 150, 153-158, 161-162, 164.

[3] The board of one of the chief Soviet Taylorist organizations, Platon Kerzhentsev's League of Time included not only the legendary theatrical director Vsevolod Meyerhold,

but also boasted Lenin and Trotsky as honorary officers.(Stites, *Revolutionary Dreams*, 156.)

[4] "Proletkul't" is the acronym for "Proletarski kul'turno-preosvetitel'skie organizatsii" (Proletarian Cultural and Educational Organizations), an umbrella term for a movement begun in 1917 to create an authentically proletarian culture untainted by the formerly hegemonic culture of the pre-Revolutionary era. Proletkult's aims were undermined by a leadership composed of Marxist intellectuals of non-proletarian origin, and by the absence of large cohorts of proletarians in its rank and file, and it was viewed by Lenin as a haven for fuzzy idealists and doubtful Bolsheviks. (Shiela Fitzpatrick, The Cultural Front: Power and Culture in Revolutionary Russia, [Ithaca and London: Cornell University Press, 1992] 21-22). Nevertheless, it operated as a genuine mass movement during the Civil War, and was a player in the culture wars of the 1920s, notable for the innovative use of machine technology and the workplace as artistic motifs that it inspired. (Stites, Revolutionary Dreams, 71-72).

[5]Stites, *Revolutionary Dreams*, 158-159.

[6] Stites, *Revolutionary Dreams*, 164, cf..161-2.

[7] Introduction to Ronald Levaco, ed. and trans., *Kuleshov on Film: Writings by Lev Kuleshov* (Berkeley, Los Angeles, London: University of California Press, 1974) 6-11.

[8] Denise J. Youngblood, *Soviet Cinema in the Silent Era 1918-1935* (Austin, TX: University of Texas Press, 1991. Rpt. of 1985 edition), 73-75.

[9] Ibid.,73.

[10] Ibid.,78.

[11]Ibid., 75.

[12] Ibid., 75, 78.

[13] "Kuleshov's Experiments and the New Anthropology of the Actor," in *Inside the Film Factory: New Approaches to Russian and Soviet Cinema*, Richard Taylor and Ian Christie, eds. (London and New York: Routledge, 1994; first published in 1991), 37, 41-42, 49-50.

[14] Ibid., 50.

[15] "Mask Face and Machine Face. (Film Theories of Lev Kuleshov)" Larry Joseph, trans., *TDR* 38 (Fall 1994 no. 3): 60 (15). Infotrac Searchbank. Article A15845028. Full Text: Copyright New York University & Massachusetts Institute of Technology 1994. All citations are from the printout of this Infotrak copy. The passage referred to above appears on p. 8.

[16] Ibid., 2-4, 5, 8.

[17] Ibid., 10.

[18] Ibid., 8.

[19] The critique of excesses committed in the name of reason and efficiency runs throughout Zamiatian's novel. For specific references to Taylorism as the inspiration of these phenomena, see Evgenii Zamiatin, *We*, Clarence Brown trans. and intro., (New York: Penguin Books, 1993), 12-13, 34, 172. On Zamiatin, see also Stites, *Revolutionary Dreams*, 187-188. Cf. 155, 174-5.

[20] Max Horkheimer and Theodore Adorno, *Dialectic of Enlightenment* (New York: Herder and Herder, 1972) 176-186. My reading of these passages is indebted to Michael Taussig, *Mimesis and Alterity: A Particular History of the Senses* (New York and London: Routledge, 1993) 45-47.

[21] Michel Foucault, *Discipline and Punish: The Birth of Prison* (New York: Vintage Books, A Division of Random House, Inc., 1995) 135-136.

[22] Ibid., 136-137, 155, 179.

[23]Ibid., 152.

[24]Ibid., 177.

[25]Ibid.,187.

[26]Ibid., 180-181.

[27] Horkheimer and Adorno, *Dialectic of Enlightenment*, 183-186.

[28]Cf. Horkheimer and Adorno, *Dialectic of Enlightenment*, 29-31. Cf. Paul Rabinow's brief comparison of the views of these thinkers on the dangers of increasing

rationalization (Introduction to *The Foucault Reader*, Paul Rabinow, ed. {New York: Pantheon Books, 1984} 13.)

[29] Kuleshov, "Art of the Cinema," *Kuleshov on Film*, 60-61 (Original published 1929).

[30] Ibid., 56, 61, 63, 64.

[31] Ibid., 50, cf. p., 52 and also p. 58: "The material of cinema must be extremely simple and organized. . . . In order that everything filmed be seen, perceived, and understood in a brief given space of time, one must show the content of each piece in extremely concrete and highly organized ways."

[32] Kuleshov, "Art of the Cinema," 61-62.

[33] Ibid., 63.

[34] Lev Kuleshov, Iskusstvo Kino: Moi opyt (Moscow: Tea-Kino Pechat', 1929) 46; cf. Kuleshov, "Art of the Cinema," 63-64.

[35]Kuleshov, *Iskusstvo Kino*, 49; cf. Kuleshov, "Art of the Cinema," 65.

[36] Yampolsky, "New Anthropology," 31-35.

[37] Kuleshov, "Art of the Cinema," 109.

[38] Ibid., 109-111. See Fig. 1 (From *Art of the Cinema*, 112.) for a listing of body movements on the three axes, along with the emotions thought to correspond to them.

[39] Kuleshov, "Art of the Cinema," 100.

[40] Ibid., 101.

[41]Ibid., 104.

[42] Ibid., 106.

[43]Foucault, *Discipline and Punish*, 151 (cites 'Ordonnance du I[er] janvier 1766, pour regler l'exercise de l'infanterie.'). Relatedly, to illustrate "the correlation of body and gesture" Foucault referred to the section on handwriting in an eighteenth century French pedagogical manual:"Good handwriting. . . presupposes a gymnastics – a whole routine whose rigorous code invests the body in its entirety. . . . The pupils must always 'hold their bodies erect, somewhat turned and free on the left side, slightly inclined so that, with the elbow placed on the table, the chin can be rested upon the hand. . . .The right arm must be at a distance from the body of about three fingers and be about five fingers from the table, on which it must rest lightly.'" (p.152. cites J. -B.La Salle, de *Conduite des ecoles chretiennes*, B.N.MS.11759, 63-4.)

[44]"Neobychainye prikliucheniia mistera Vesta v strane bolshevikov," (Goskino, 1924); Kuleshov, "Our First Experiences," *Kuleshov on Film*, 168 (Original published 1934). The 1922 date was inferred from Vance Kepley, "Mr. Kuleshov in the Land of the Modernists," Anna Lawton, ed., *The Red Screen*, (London and New York: Routledge, 1992), 135 and Yampolsky, "New Anthropology," 37, 46. The State Cinema Technicum (GTK) was founded in 1919 as a training school for film professionals. Kuleshov who had been one of its original organizers, taught there for a number of years. (Youngblood, *Soviet Cinema*, 7, 25).

[45] Author, "*Mr. West* Mimicking 'Mr. West': America in the Mirror of the 'Russian Other.'" (Original version was a paper delivered at the Conference of British Association of Slavonic and East European Studies, Fitzwilliam College, Cambridge, UK, 4/1/00); Youngblood, *Soviet Cinema*, 32-33.; Idem., *Movies for the Masses: Popular Cinema and Soviet Society in the 1920s*, (New York: Cambridge University Press, 1992) 59; Levaco, Introduction to *Kuleshov on Film*, 11-12.

[46]Kuleshov, "Our First Experiences," 170- 171.

[47] Ibid., 171.

[48]Ibid., 172-173.

[49]

[50] Foucault, *Discipline and Punish*, 180-182.

[51]Ibid., 181.

[52] Kuleshov, "Our First Experiences," 170.

[53] The state Institute of Cinematography, later renamed the "All-Union State Insitute of Cinematography" (VGIK), was the descendant of the State Cinema Technicum (GTK), which Kuleshov had helped found. (See Note 43 above and Levaco, Introduction to Kuleshov on Film, 221).

[54]Kuleshov, "The Rehearsal Method," *Kuleshov on Film*, 147 (Original published 1934). All italics in original. See Fig. 2 (From "The Rehearsal Method," 148) for a drawing of the theater.

[55] Kuleshov, "The Rehearsal Method," 149-150.

[56] Ibid., 151-157.

[57] Foucault, *Discipline and Punish*, 203, 205-207.

[58] Ibid., 200.

[59] Ibid., 202.

[60]Ibid., 204.

[61]Ibid., 204-206.

[62] Ibid., 209.

[63] Kuleshov, "The Rehearsal Method," 152.

[64] "We get to use the blinds only on Sex Day. Otherwise we live in broad daylight inside these walls that seem to have been fashioned out of bright air, always on view. We have nothing to hide from one another. Besides, this makes it easier for the Guardians to carry out their burdensome, noble task." (Zamiatin, *We*, 19).

[65]Kuleshov, "Art of the Cinema," 113.

[66]Kuleshov, “On the Red Front,” *Kuleshov on Film*, 209 (Original published 1968): “The ‘actor-mannequin’ is not an obedient mannequin in the hands of the film director . . . . [He is] a natural, real person, as in life, but one who is able to do anything.”

[67]Foucault, *Discipline and Punish*, 136-138. The exertions of the Stakhanovites immediately come to mind.

[68] *By the Law* (“Po zakonu”) (Goskino 1926). Dir. Lev Kuleshov. Co-scenarist: with Viktor Shklovksii.

[69] Additionally, Kuleshov affirmed the agency of aspiring directors who, learning by rehearsal method, will “become independent, major creative individuals.”(“The Rehearsal Method,” 151).

[70]Kuleshov, “Art of the Cinema,” 118: “The director and the actor determine the general character of the scene, indicating all movements;” cf 102-103 on devising actor training etudes. See also Idem, “Our First Experiences,” 168-172 for descriptions of the contributions of members of Kuleshov’s group to varied aspects of the production of *Mr. West.*

[71] Kuleshov, “Our First Experiences,” 168-170; Idem, “On the Red Front,” 210.

[72] Kuleshov, “Art of the Cinema,” 115.

[73]Foucault, *Discipline and Punish*, 167.

[74]Foucault understood power not as an apriori capacity, but as a type of relationship between people, "a mode of action on the actions of others." To him, such a relationship existed only when possibilities for various behaviors existed for both parties. Thus he thought human power relationships implied freedom, and distinguished them from situations wherein the determining factors saturate the relationship. In a Foucauldian sense, there is no power relation between master and slave, for example, when one person is in chains. In this case, it is "a physical relationship of constraint." (Michel Foucault, "The Subject and Power," in *Michel Foucault: Beyond Structuralism and Hermeneutics,* 2nd ed., by Hubert L. Dreyfus, Paul Rabinow, "Afterword" [Chicago: The University of Chicago Press, 1983] 221). In other words, Foucault by no means thought we are entirely determined by disciplinary power now dispersed throughout modern state and society. What exercised him, was the docility and self-deception induced in modern subjects, which prevent them from recognizing the ways they are produced by normalizing disciplinary mechanisms, and hence from ascertaining how to change what they have been made into. (Ibid., 216; Author, "'Russianism?' Images of the 'Cold War Russian Other' in American Historiography," 16. Original version entitled, "How American historians of Russia might overcome their methodological 'backwardness'," [paper presented at the Annual Meeting of the New England Slavic Association, Tufts University, Medford, MA, March 27, 1998]).

[75]Kuleshov, "On the Red Front," 209.

[76]Kuleshov,"Art of the Cinema," 115.

[77] Ibid., 67.

[78] Ibid., 113.

[79]Ibid., 115.

[80] "Mask Face and Machine Face." 10 .

[81] *Dialectic of Enlightenment*, 180.

[82] Cf. Ibid., 184-185.

[83] *Dialectic of Enlightenment*, 180.

[84] Ibid., 183-184.

[85] Ibid., 187.

[86] Ibid., 185-186: As the dominant are "progressively alienated from nature, . . . [they revert] to mere nature. The Jews. . . are accused of participating in forbidden magic and bloody ritual. Disguised as accusation, the subconscious desire of the aboriginal inhabitants [of the nation] to return to the mimetic practice of sacrifice finds conscious fulfillment." Contradictorily , though, anti-semitism also casts the Jew as decadently sophisticated, too "clever," etc. Just as patriarchies have viewed women as both virgins and whores, so Jews are stereotyped as both clever and stupid. (Cf.. Ibid., 186). For a brilliant historical analysis of the persistent western tendency to identify mimetic behavior with the primitive, undeveloped, and non-western, see Taussig, *Mimesis and Alterity*.

[87] Foucault, *Discipline and Punish*, 30.

[88] *Gender Trouble: Feminism and the Subversion of Identity*, (New York and London: Routledge, 1990) 134-136.

[89] Uncritical borrowing from Americans was a sin that Kuleshov had to recant in the 1930s, and which caused him difficulties even before the Stalinist crackdown. For Kuleshov's early statement about the needs of Russian cinema to adopt American cinematography, see his "Americanitis," *Kuleshov on Film*, 127-130 (Original published 1922). For analyses of his attitude to American cinema, see Kepley, "Mr. Kuleshov in the Land of the Modernists;" Youngblood, *Movies for the Masses*, 50-51, 59; and Author, "*Mr. West* Mimicking 'Mr. West.'"

[90] Kuleshov, "Art of the Cinema," 61, 115.

Body Part	*Axis No. 1*	*Axis No. 2*	*Axis No. 3*
1. Eyes	Right, left	Upward, downward	None, there is a combination of No. 1 and No. 2, a rotating movement
2. Head	Right, left	Upward, downward	None
3. Neck	Negation	Affirmation	Doubt
4. Clavicle (collar bone)	Movement of the shoulder forward and backward	None	Upward, downward
5. Shoulder (the arm from shoulder to hand)	Rotation of entire arm	Forward (in front of oneself), backward (away from oneself)	At the side, away from the side
6. Elbow (the arm from elbow to hand)	Rotation (turning a key in a lock)	Toward oneself	At the side, away from the side
7. Hand	None	Toward oneself	To the side
8. Waist	Turning of the body	Tilting the body forward and backward	Tilting the body to the side
9. Hip	Turning the entire leg (rotation)	Jeté (great leap) forward, backward	Jeté (great leap) to the side
10. Knee	Rotation	Forward, backward	None
11. Foot	Turned inward, outward	Extended and gathered, raising	Foot turned under (as if ankle twisted), inward outward

auditorium, there is a large rotating disc on which seats for spectators are distributed. When necessary, the spectator on this disc rotates either to the right or left side stage; that is, we will be able by montage to rotate the viewer to face either the one stage, the other, or the third.

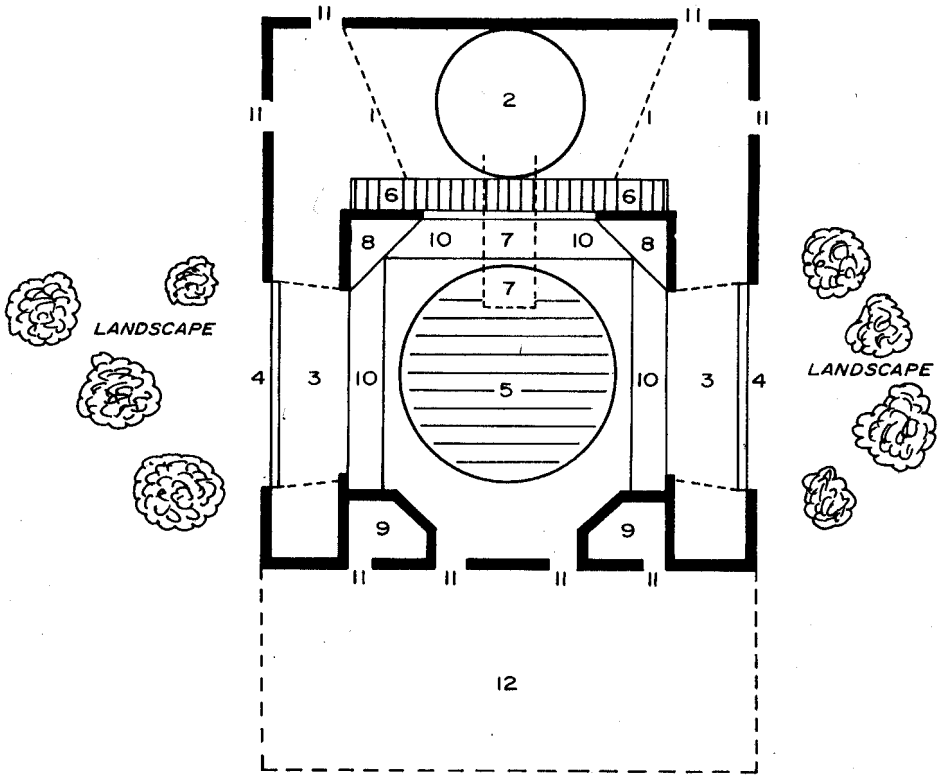

FIGURE 1. An approximate design for a film rehearsal theater, proposed by Sergei Eisenstein and Lev Kuleshov.

1. Main stage. 2. Disc for scene changes. 3. Two side stages. 4. Sliding doors opening onto landscape. 5. Central rotating disc with seats for spectators. 6. Moving sidewalk for main stage. 7. Portable minibridge for "long shots." 8. Two screens for projection. 9. Two projection booths. 10. Orchestra space. 11. Doors (also serving the audience). 12. Theater foyer. A director's booth can be located on the central disc. Apart from the three stages the action can also take place on the central disc, when the chairs for the audience are moved onto the stage (1).

Paper proposal for The Third Annual Hawaii International Conference on Arts and Humanities.

TITLE: **The Mercury Theatre of the Classroom:**
Orson Welles, Roger Hill, and the Mercury Text Shakespeare series

TOPIC AREAS: Cross-disciplinary paper with interest in English, Literature, Performing Arts, Speech/Communication, Theatre, Media studies, Education, and American culture.
PRESENTATION FORMAT: 20-30 minute Paper Session
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PAPER ABSTRACT

"But I can't understand Shakespeare," says the high-school boy. "It takes a gray-bearded professor to know what he is talking about." You are wrong, Johnny. It's the gray beard that you can't understand. He has asked you to read Shakespeare with a pair of glasses smoked to a dull and dingy gray. Take them off. It was written for you, for the groundlings, for the unscholarly Globe patrons who walked in from the cockfight on the street. Only those folks whose blood courses hot through their veins can understand these tingling lines. Shakespeare said everything – brain to belly, every mood and minute of a man's season. His language is starlight and fireflies and the sun and moon. He wrote it with tears and blood, and beer, and his words march like heartbeats.

- Orson Welles "On the Teaching of Shakespeare and Other Great Literature" 1938

Orson Welles' landmark adaptations of Shakespeare for film, radio, and theater are quite famous, but his interests as a teacher of Shakespeare are less well known. They are hardly less ambitious. In 1938, Welles and his progressive headmaster from the Todd School for Boys, Roger Hill, developed a series of multimedia textbooks to revolutionize the way Shakespeare should be taught in American high schools and universities. My paper traces the development and reception of these Shakespearean primers. Begun in 1934, the original Everybody's Shakespeare consisted of full-play editions of three classroom standards, Julius Caesar, Twelfth Night, and The Merchant of Venice. Owing to the notoriety of Welles' Mercury Theatre, the series was expanded, renamed The Mercury Shakespeare, and published by Harper and Sons well into the 1940s. With the addition of Macbeth, Welles and Hill's four-volume set brought "a living, vibrant Shakespeare into 5,000 classrooms throughout the nation" (Hill 2). Well over "100,000 copies were eventually sold by the mid-1940s," but the general impact of these interdisciplinary texts has been sorely neglected by both Shakespeare scholars and Welles experts (Gormick 4).

My completed paper offers the first exhaustive examination of the design, marketing, and reception of both the Everybody's Shakespeare and Mercury Text Shakespeare series. Through a close analysis of the prefatory materials, phonograph recordings, and illustrations that accompany both series, I explore how Welles and Hill created a uniquely accessible and empowering mode of Shakespearean entertainment. The Mercury Text Shakespeare was especially daring in its use of intertextuality and multimedia. Each book in the series features two complete sets of stage directions and

several hundred set designs, costume sketches, and comic strips by Welles himself. Institutional editions of The Mercury Text Shakespeare were also accompanied by full-cast phonograph recordings of each play that employed the Mercury Theatre company, including Welles, in multiple roles. These hefty 12-disc 78 rpm collections not only assisted the classroom appreciation of Shakespearean performance, they also constitute the first full-length productions of Shakespeare planned specifically for recording. As daring alternatives to traditional forms of performance and instruction, The Mercury Text Shakespeare productions are as radical as Welles' more infamous media experiments like Citizen Kane or War of the Worlds.

The Mercury series have received some attention in Welles scholarship, but no one has adequately addressed their importance as multimedia texts that redefined the uses of Shakespeare in American homes and classrooms. Like the educational apparatus surrounding NBC's Great Plays broadcasts or the student-focused Radio Theater Parties developed by Elizabeth Carney, The Mercury Text Shakespeare blends recorded performances and instructional texts to facilitate the user's general appreciation of Shakespeare as a "a living, vibrant entity" whose "tingling lines" could provoke passionate thrills (Welles and Hill 467). I will close my paper with a critical analysis of a short scene from the Mercury edition of Twelfth Night. Through close readings of Hill's editorial decisions, Welles' cartoon illustrations, and the phonographic drama as staged by the Mercury Theatre of the Air, I will explore how Welles and Hill pioneered a remediated, or media-driven Shakespeare that embraces and amplifies the engaging qualities of the original poetry.

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Abstract: THE GREAT TRANSFORMATION: FROM THE TRADITIONAL LANNA DWELLING TO THE CONTEMPORARY THAI TRACT HOME

In form, construction, visual appearance, and social organization the contemporary Thai tract homes found rising in small suburban clusters around Chiang Mai pose a different world from the traditional Lanna houses of the late nineteenth and early twentieth centuries. The transformation though great has not resulted in a North American or European house [a purely Western house], but in an interesting hybrid with its roots in the Lanna past but its appearance in a westernized modernity.

The transformation can be viewed at multiple levels of spatial and visual organization. At the level of the traditional village vs. suburban development, the sacred landscape, clustered houses and main road is replaced by a land parcel divided into commodified lots. The traditional, property which served as both a workplace and residence, is replaced by a residence surrounded by strangers. The typical upper class twin house with the kalae atop the gables gives way to a neo-colonial house form with a Euro-American appearance, and the house plan tended to attach rooms to a large main space. A decorative garden surrounds the tract house, not a working farmstead. The water pavilion disappears and the wall protects the property. Even materials change as the wooden house with a relatively short lifespan, gives way to a reinforced concrete house that must be maintained as a financial asset. More fundamentally the expression of the matriarchal extended family house is gone.

1. Title of the submission: What does *the last decade* mean, "the 90s" or "from 1995 to 2005"?

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6. Abstract of paper:

Temporal nouns such as *week, month,* and *year* have two meanings: one, from Monday to Sunday, from 1st to 30th/31st, and from Jan. to Dec, respectively; two, any period of seven days, 30/31 days, and 12 months, respectively. The former will be referred to as "even units" and the latter "arbitrary periods." The presence of *the* disambiguates the meanings of these temporal nouns when they are preceded by *last/next*: for instance, *last year* means "from Jan. to Dec.," as in *I went to Boston last year*, and *the last year* "12 months," as in *I've been in Boston for the last year*. *Decade* and *century* can also refer to either even units or arbitrary periods; however, they do not combine with ∅ *last/next*. As a result, *decade* and *century* do not lend themselves well to clear interpretation when preceded by *the last/next*: for example, in 1996, *the last decade* could refer to "the 1980's" or "the past 10 years."

A thorough examination of the 206 tokens of *the last/next decade* and the 231 tokens of *the last/next century* from the Brown Corpus and the 1996 LA Times and New York Times Corpus reveals that there are five factors in interpreting the meanings of

those phrases: (a) prepositions, (b) tense, (c) contextual clues, (d) pragmatic world knowledge, and (e) relevance to the utterance time.

Moreover, questionnaires filled out by 30 native speakers of North American English reveal (a) that *over* and *within* almost always induce the "arbitrary period" interpretation, (b) that native speakers do not agree on which preposition to use, and (c) that tense plays an important role in interpreting *the last decade/century*, but not *the next decade/century*.

1. Title of the submission: Comparison of Definite Article Usage before *Last/Next Time* between Spoken and Written Genres: A Corpus Study

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Unlike any other nouns in English, *time* can combine with either ∅ *last/next* or *the last/next* and maintain the same reference, e.g. *(The) last time I saw her, she was still in grad school*. That is, nontemporal nouns cannot combine with ∅ *last/next*, e.g. **last chair*, while temporal nouns such as *week, month,* and *year* have different meanings when they combine with ∅ *last/next*—e.g. *last year* meaning "from January to December," as in *I came to Cambridge last year*—and with *the last/next*—e.g. *the last year* meaning "the past 12 months," as in *I've been in Cambridge for the last year*.

A careful examination of 319 tokens of *(the) last time* and 139 tokens of *(the) next time* from five spoken corpora, including the Corpus of Spoken Professional American English and the Switchboard Corpus, and 230 tokens of *(the) last time* and 103 tokens of *(the) next time* from the 1996 LA Times Corpus reveals the following: ∅ *last/next time* cannot be used (a) after *be* in a question, e.g. ***When was the last time*** *you saw a truck that didn't belch?*; (b) as a subject complement, e.g. ***It may be the last time*** *I can drive one for a long time*; (c) as the object of a verb, e.g. ***Tell me the last time*** *you went for a boat ride*; and (d) when the post-modifying clause

contains the relative pronoun *that* or the relative adverb *when*, e.g. *I can bring it* ***the next time that*** *we meet*.

Although *next time* (57%) is more likely to combine with the null article than is *last time* (42%), they exhibit similar tendencies toward when they combine with the definite article or the null article, which are summarized as follows (percentages in the parentheses are ordered to represent *last time* followed by *next time*):

1. *Last/next time* is more likely to combine with the definite article (a) when it is post-modified (82% and 79%); (b) when it functions as a subject before *be* (81% and 100%);[16] and (c) when it functions as a noun phrase (80% and 57%).

2. *Last/next time* is more likely to combine with the null article (a) when it is not post-modified (78% and 81%) and (b) when it functions as an adverbial phrase (55% and 59%).

The written data from the 1996 Latwp Corpus show tendencies surprisingly similar to the ones shown above by the spoken data, revealing that the use of $\varnothing_2$ *last/next time* is also well-established in written English. As with the spoken data, *next time* (50%) is more likely to combine with the null article than is *last time* (22%). Both spoken and written data contain more tokens of *the last time* than those of $\varnothing_2$ *last time* but more tokens of $\varnothing_2$ *next time* than those of *the next time*, suggesting that *last*—with the possible meaning of "final," which requires *the*—is more of a ranking adjective than is *next*. Written English, however, favors *the* more than does spoken English, resulting in a larger gap between the tokens of *the last time* and $\varnothing_2$ *last time*—while the spoken data contain only slightly more tokens of *the last time* (170 of 304 tokens, 56%), the written data contain much more tokens of *the last time* (180 of 230 tokens, 78%)—but virtually eliminating the gap between those of $\varnothing_2$ *next time* and *the next time*—the spoken data contain 21 more tokens of $\varnothing_2$ *next time* (58%) than those of *the next time*, while the written data contain only one more token of $\varnothing_2$ *next time* (50%).

A few notable differences between the two genres are (a) using a demonstrative, *this* or *that*, before *last/next time* is strictly oral; (b) relative clauses modifying *(the) last/next time* rarely contain the relative pronoun *that* or the relative adverb *when* in written English; (c) *last time* functioning as an adverbial phrase is more likely to combine with the null article in spoken English (55%) but with the definite article in written English (66%).

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Abstract

Kamro-do: Buddhist Negotiation and Compromise with the Chosun Dynasty

Haeyoung Youn

This paper will deal with a style of Buddhist painting, Kamro-do, in Korea. The Kamro-do has been used as a ritual painting for dead people, hung inside a temple. Its origin was the middle Chosun dynasty, the end of the sixteenth century. Since Buddhism in Korea was imported from China around the fourth century, most Korean Buddhist art has followed orthodox styles. However, Kamro-do shows a unique composition: it is divided into three stages: at the top there are Buddhas and Bodhisattvas; in the middle there is a scene of memorial service, performed by Buddhist monks, heavenly beings, a king and peers, monks and nuns; and at the bottom, a Hungry Ghost, diverse forms of human lives, the world of Hell, and the world of beasts. Most Buddhist scholars have agreed that its style is found only in the Chosun dynasty, and it further demonstrates a peculiar Buddhist painting of Korea.

This paper will argue that the value of Komro-do should be examined based on the political and economic situations of Chosun's Buddhism, especially its mid and later period. Beyond its artistic values, this paper suggests three questions. What is the relationship between Kamro-do and Chosun's Buddhism? Why did Kamro-do appear in the middle of Chosun's dynasty? Why does the scene of the Sisik and the Hungry Ghost take a large part in Kamro-do? To develop the point of the argument, this paper will introduce the unique composition and iconography of each stage of Kamro-do, and then, explain how the Chosun Buddhism compromised with reality under the repression. Finally, agreeing with the stylistic originality of Kamro-do, this paper highlights Kamro-do as a product of this oppressive time, which the middle

Chosun's Buddhism faced.

Kamro-do: Buddhist Negotiation and Compromise with the Chosun Dynasty

I. Introduction

This paper will deal with a style of Buddhist painting, Kamro-do, which originated in Korea. The Kamro-do has been used as a ritual painting done for dead people, hung inside a temple (see fig. 1). Its origin was the middle Chosun dynasty at the end of the sixteenth century.[1] Since Buddhism in Korea had been imported from China around the fourth century, Korean Buddhist paintings had generally functioned as background and supplements to Buddhist statues to imbue the statues with a majestic aura (Kang 97). However, Kamro-do, being independent from Buddhist statues, shows unique icons and composition. At the top there are Buddhas and Bodhisattvas; in the middle there is a scene of memorial service, which is called Sisik, performed by Buddhist monks, heavenly beings, a king and peers, monks and nuns; and at the bottom, a Hungry Ghost, diverse forms of human lives, the world of Hell, and the world of beasts. Most Buddhist scholars[2] have agreed that its style is found only in the Chosun dynasty, and it further demonstrates a peculiar Buddhist painting of Korea.

This previous research, however, seems to deal with the pictorial style of Kamro-do. Beyond its artistic values, this paper suggests three questions. What is the relationship between Kamro-do and Chosun's Buddhism? Why did Kamro-do appear in the middle of Chosun's dynasty? Why does the scene of the Sisik take a large part in Kamro-do? Developing these viewpoints, this paper will argue that the value of Komro-do should be examined based on the political and economic situations of Chosun's Buddhism, especially its mid and later period.

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[1] Based on its date, Yaksan-sa's Kamro-do (1589) in Japan is estimated as the earliest Kamro-do.

[2] Lee, kyounghwa. 'The research of customs scenes in Kamrodo'(Seoul: Hongik Universty), p 3. The earliest research was introduced by Japanese scholar Koan Yoojung

To advance this argument, this paper will introduce the unique composition and iconography of each stage of Kamro-do, and then, explain how Chosun Buddhism compromised reality under oppression. Finally, agreeing with the stylistic originality of Kamro-do, this paper highlights Kamro-do as a product of this oppressive time, which middle Chosun's Buddhism faced.

II. The composition of Kamro-do

The three sections of Kamro-do describe the process of emancipation of mankind from the bottom to the Buddha and Bodhisattvas at the top through the Sisik in the middle, which can extinguish people's karma.

1. The lower part

The lower part of Kamro-do expresses the Wheel of the Six Realms[3] through the diverse lives of humans. In this level, humans can continuously suffer or can be born in the Western paradise according to their karma. Most images in the lower part describe a human being's suffering life or their death; for instance, fighting and war, committing a suicide by hanging, falling from a tree, being chased or eaten by a tiger or snake, being killed by a collapse of a house or punishment, drinking poison, or being surrounded with a wave or a flame (see fig. 2). The characteristic of the lower part expresses ghosts, which wander in the Six Realms as the commoner's figure. It shows that the middle of Chosun's Buddhism was closely connected with the commoners. Thus, by expressing the suffering scenes through their lives, it can be easy to make the commoners get involved with the Buddhist ritual. In other words, the dead soul was an object which should be rescued through Sisik, whose charity makes Buddha sympathize (Kim

[3] Lee, kyounghwa. 'The research of customs scenes in Kamrodo'(Seoul: Hongik Universty), p 6.
According to one's karama, one was believed to repeat the cycle of rebirth in the six possible paths – as a hell dweller, a Hungry Ghost, an animal, an asura, a human on earth, or a god in the heavens.

33-34).

The most important image in the lower part is the Hungry Ghost (see fig. 3). Since it is a real object which receives the mercy of Kamro, the Hungry Ghost is a substantial element in Kamro-do. In Sanskrit, the Hungry Ghost is Preta. If translated, it means 'ghost', and China has called the departed soul of a dead person a ghost (Kim 38). The ghost became an object of Sisik for the dead or ancestors. In this context, the Hungry Ghost became a departed soul of the dead person, in other words, an ancestor's ghost. This is connected with the worship of ancestors and became an important medium in leading the Sisik ritual effectively. In addition, the Hungry Ghost is one part of the Six Realms, and before deciding Buddhist Samsara, the middle stage is called the Hungry Ghost. Thus, in the stage of the Hungry Ghost, a funeral ritual is held, praying for the soul to go to the Western paradise (*ibid*).

Based on the sutra *Ugagipouguanandaran*, the Hungry Ghost's figure is described as a very skinny body, a neck as narrow as a needle, a mouth belching out flame, and a swollen belly (Kang 222). In the early Kamro-do, generally a Hungry Ghost appears, whereas in the later, it tends to be changed into twin ghosts (see fig. 4). However, the latter Hungry Ghost's figure simplifies the detailed original form. For instance, as kamro-do at Youngju-sa (see fig. 5) shows, the flame gone, and instead, clouds surround the Hungry Ghost. The Hungry Ghost is a necessary image in Kamro-do which expresses the pain of the restraint of the karma of the Six Realms as a condensed form (Kim 41). Thus, its grotesque and horrible figure could warn believers who participate in the ritual and exalt the mood.

2. The middle part

The function of the middle part prays for a dead person's happiness in the other world through a ritual called Sisik. To the left of an altar in the center of Kamro-do, there are several

groups of Buddhist monks who lead the Sisik, read Sutras, and perform a Buddhist dance (see fig. 6). In fact, the meaning of "Kamro" is the "sweet dew," and in Buddhism it is analogous to the teachings of Buddha in saving mankind. It is called "amrta •amirita" in Sanskrit and is interpreted to mean "immortality, eternal life, or the other world." When it designates food, it becomes "Kamromi of immortality." If it is tasted, the suffering person is released and reaches emancipation, the highest stage in Buddhism (Kim 4). To give kamromi to humans, who are restricted to their karma, Sisik is needed. Thus, Kamro-do means that by giving Kamromi, which has Buddha's power to mankind, they can be born in the Western paradise.

3. The top part

The top part shows a soul that is born in the western paradise under the protection of Amitabha, seven Buddhas, Inrowang Bodhisattva, Ksitigarbha, and Avalokitesvara (see fig. 7). The seven Buddhas, displayed in the middle of the top part are called when the Sisik ritual is held. Each Buddha has a name and a role. Compared to the lower part, the iconography of the top part rarely changes. Emphasizing Amitabha and the accompanying Buddhas, which contrasts to realistic sufferings of the lower part, seems to accelerate the commoners' wish to be born in the Western paradise.

Comparing with other Bodhisattvas, Inrowang Bodhisattva is distinct in his role and is located at the top of the left part. His body turns toward the seven Buddhas and his eyes look at mankind in the lower part who are the objects to be rescued. His role is to lead ghosts, suffering in the Karma of Six Realms to the seven Buddhas (Kim 50). Meeting Inrowang Bodhisattva is possible after recognizing the mercy of the Sisik ritual; thus, his role is very important in making a smooth ascension from the lower part to the top part. To go to the Western paradise, the dead person should be first selected by Inrowang Bodhisattva; thus, the real object of worship

becomes Inrowang Bodhisattva (Kim 52).

III. The situation of Choson's Buddhism

In contrast to the previous dynasty, Koryu, the new Chosun government decided to practice Confucianism and to repress Buddhism. However, the repression of the early Chosun's Buddhism began as ideological politics, not as a rejection of Buddhism's doctrine. For instance, the early Chosun dynasty held Buddhist services continuously and Confucian scholars helped to translate Buddhist Sutras into Korean.

It was from the middle Chosun dynasty that the oppression started on a full scale. Since Buddhism had been imported to Korea, this period of Buddhism was the most seriously oppressed and then, the social position of Buddhism declined. For instance, first, the Chosun dynasty closed the "Sungkwa" system, which was the highest level of examination for electing elite monks. This systemic prohibition resulted in a lack of talented monks and further, blocked the development of Buddhist thought. It is a direct reason why middle Chosun Buddhism could not produce any achievements of thought. The second oppressive step was a stop to the Docheopje system, a public route to becoming a Buddhist monk. Comparing the monk's social position in the period of Docheopge with the monk's after the stop of Docheopje, while the former monks were included in an officially legal social class, the latter monks were offenders. Thus, since the middle Chosun dynasty, the Buddhist monk had been treated contemptuously as a deviant. The third restriction was to prohibit Buddhist monks from coming into Hanyang, the capital city of Chosun. This prohibition seriously affected the decline of Buddhism. In contrast to China and Japan, Chosun kept centralism, politics, economics, culture, and thought gathered in Hanyang. Thus, the prohibition on coming into Hanyang meant that Buddhist monks were

isolated from all centralistic systems. These three situations helped not only to oppress Buddhism but also to root Confucian ideology stably into Chosun's society (Han 368-370).

To maintain Buddhism under the harsh oppressions, Chosun Buddhist monks began negotiating with Confucian scholars who led a Chosun's official political ideology. Confucian scholars harshly criticized the lack of filial piety or *Huo*, respecting one's parents as well as loyalty to a king in Buddhist doctrine, which are summarized as the essence of Confucianism (Han 372). To avoid this blame, the Buddhist monks frequently taught the Buddhist Sutras which emphasized *Huo*. In fact, the origin of Kamro-do was traced from the two Sutras, the Sutra of *Filial piety*, emphasizing respecting one's parents favor, and the *Ullambanapatra* Sutra, containing vivid and emotional descriptions of a son's attempts to save his mother in the ancestral hall. In Kamro-do, the ghost becomes the ancestor and needs nectar to go to the Western paradise. Through Sisik, the descendant can send the dead souls to the Western paradise by appealing to Buddha's power. Moreover, an addition of a king and his court officials in Sisik is relevant to show the Buddhist monks' loyalty. Since Sisik appeals to Buddha's mercy, Chosun Buddhism inserts a king and his court in the ritual symbolically to share the Buddha's power.

Next, the most interesting change in the middle Chosun Buddhism was the combination of Zen Buddhism and esoteric Buddhism. Since the preceding Koryo dynasty (918-1392), the mixture of Zen Buddhism and Doctrinal Buddhism had been attempted, and the external oppression during the period of the Chosun dynasty accelerated the flow of Doctrinal Buddhism into Zen Buddhism (Han 375). The mixture of Zen and esoteric Buddhism changed the Buddhist ceremony. Since the Dharani recitation of esoteric Buddhism was faster and surer than Zen meditation or the repetition of chants in achieving the commoners' supplications in this

world, esoteric Buddhism strongly absorbed the public. As a result, Dharani came into Zen temples, and the Buddhist ceremonies were developed, based on esoteric Buddhism. Additionally, there were many books of Dharani published, the most popular Dharani up to now, the Dharani of *Cheosu* was produced in the middle Choson dynasty (Hwang 156).

Since esoteric Buddhism had a mixed native magico-animism, it included many elements of folk belief. Thus, the esoteric rites in the Buddhist temple were established to suit the commoner's realistic demand, not the original Buddhist meanings (*ibid*). Therefore, the role of the monk was not a religious teacher such as a guide for confession or repentance but rather, a professional substitute holding a ceremony and praying for the believer's fortune (Hwang 154). Even though Chosun's Buddhism communicated well with the commoners through this kind of ritual, it was hard to say that they transmitted the essentials of Buddhism.

IV. The relation between Kamro-do and Chosun's Buddhism

A way to understand the characteristics of Kamro-do objectively is to look at it in realistic situations which Chosun Buddhism faced. It was from the middle Chosun dynasty that early Kamro-do was produced and Chosun's Buddhism established its peculiar characteristics. It is interesting to examine Kamro-do under the ideology and order of the changed Chosun's Buddhism and the relationship to other religions.

The scene of Sisik in the middle section of Kamro-do is related to a financial aspect of Buddhist temples. The characteristic of Buddhist orders had been changed to self-government since the middle Chosun dynasty. Kamro-do at Bongso-am (see fig. 6), dated at 1759 shows this in the middle section. In front of the Sisik there are two sutra tables: a volume of the *Lotus* Sutra lies on one, and a volume of ritual texts is on the other. This indicates that these texts were read

aloud on such ceremonial occasions (Kang 94). During the period of Koryo and the early Chosun dynasties, Buddhist administrations and major rites were managed by the nation. This situation suggests that the dynasties provided finances for the Buddhist temple's management, and Buddhist monks were able to devote themselves to study. However, after the invasion by Japan (1592-1598), with the pressure for money for the Chosun dynasty, the financial ground of Buddhist temples totally collapsed. As a result, Buddhist temples had to find their own way since the middle Chosun dynasty. In addition, as Buddhist festivals for peace and the future of the nation which were popular in the previous dynasty, disappeared, middle Chosun Buddhism depended on holding rites at an individual level, praying for their believers, and offerings (Hwang 134-42). Thus, the Rites of Forty-nine Days became a substantial financial source (Kang 90). The middle section of Kamro-do, which emphasizes the ceremony of Sisik and the ideology that the dead souls can go to the Western paradise through the Rite, are understood in this context.

In Komro-do, different religions co-exist. Another characteristic of the middle of Chosun's Buddhism is that it was assimilated into other religions because the power of Chosun's Buddhism became weak (Han 398). When it was a national religion in the previous dynasties, it did not need to negotiate with other religions. However, middle Chosun Buddhism should recognize other religions such as Confucianism, Daoism, native faith, and Sirhak philosophy which were popular with the public. This example is shown in Kwanyoung-sa kamro-do dated 1791 (see fig. 8). In the upper center, needle-leaf, blossoming peach trees, and city walls divide the upper and middle parts, and the Daoist figure of the Queen Mother of the West of the Peach Blossom Land is located at one side of the central Hungry Ghost. In addition, the scene of exorcism performed by a female shaman, stretching her arms and dancing, is displayed in the lower part (Kang 96).

After shaking the Confucian ideology in the latter part of the Chosun dynasty, a new philosophy, Sirhak, which stressed realistic and practical aspects and Koreanization, emerged and was reflected in Kamro-do. Compared to the figures' costumes in the early Kamro-do, the figures' costumes in Youngju-sa's Kamro-do (see fig. 9) show a partial change from Chinese to Korean traditional costumes. Even though most figures wear Chinese costumes, a few figures wandering at the bottom in front of the rock and the group watching the entertainers at the bottom left wear Chosun native costumes, *hanbok*: men wear *kats* and *durumagis*; women are dressed in *ch'imas* and *chogoris*. This change shows the first appearance of native Korean costumes in Kamro-do (Kang 94). In Kwangyoung-sa's Kamro-do (see fig. 8), most figures dress in hanbok. Thus, in contrast to orthodox Buddhist paintings, kamro-do developed its iconography, connecting to the surrounding influential religions and philosophies.

V. Conclusion

This paper has attempted to look at Kamro-do objectively beyond its unique pictorial style. As a method, focusing on the same period, the middle Chosun dynasty which produced early Kamro-dos and when Chosun's Buddhism was founded on its own characteristics, this paper examined the structure and iconography of Kamro-do in these Buddhist changes. As a result, Kamro-do reflects the realistic situations of the middle of Chosun's Buddhism. In the political aspect, under the strong domination of Confucianism, Buddhism was not able to avoid the blame for its lack of filial piety and royal loyalty to Confucian scholars. As a defense, the middle of Chosun's Buddhism widely published the Sutra of filial piety which originated from China and inserted the contents of this Sutra in Kamro-do. Thus, Kamro-do is closely related to the thought of filial piety and is hung inside main temple complexes for memorial services. In

addition, through inserting a king and his court in Sisik, the Buddhist monks showed their loyalty. Since the ritual appeals to Buddha's mercy, it showed symbolically the sharing of the Buddha's power with the king and his court.

Since the middle Chosun dynasty, Buddhist temples had to find finances by themselves, as they were disconnected from the financial support of the nation. Thus, Buddhist monks had to earn money to maintain their temples. As a financial source, the Buddhist temples, emphasizing the doctrine of exoteric Buddhism, depended on holding rites, praying for their believers and their offerings. Thus, the emphasis on the scene of Sisik was naturally required, and the doctrine that through the Sisik, the dead souls can enter the Western paradise, is understood in this context.

Finally, the middle of Chosun's Buddhism was so weak that it needed to negotiate with other religions which were popular to the public. Not only did a Buddhist temple include the elements of Daoism and native religions, but also kamro-do represented the flexible relationship with other religions and philosophies. In its structure, as an example of Daoism, the icon of the Queen Mother of the West of the Peach Blossom Land is shown, and the scene of a dancing female shaman is displayed as an exsample of a native religion. Above all, the figures in Chosun's dresses are understood under the influence of Sirhak. Therefore, beyond its artistic value, kamro-do is understood as a political and financial medium to solve the realistic problems which the middle of Chosun's Buddhism faced under the oppression of a Confucian society.

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Fig1) Scene of an offering ceremony at Bongun –sa, showing a Nectar Ritual painting above the altar table, on which there are ancestral tablets.

Fig. 2) Detail of Yaksan-sa's Nectar Ritual painting

Fig.3) Detail of Yaksan-sa's Nectar Ritual painting

Fig.4) Nectar Ritual painting, 1762 from Unhae-sa

Fig.5) Nectar Ritual Painting, 1790 from Youngju-sa

Fig. 6) Detail of Nectar Ritual Painting 1759, from Bongso-am

Fig.7) Nectar Ritual painting, 1701 from Namsang-sa

Fig. 8) Nectar Ritual Painting, 1791, from Kwangyoung-sa

Fig. 9) Detail of Nectar Ritual Painting, 1790 from Youngju-sa

Abstract
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Decoration by Design: Cultural Narrative in Ornamental Initial Caps

Ornamental (or decorative) initial caps, the large letterforms that are found at the beginning of a paragraph in some manuscripts, are not mere decoration. These letters do much more than call attention to the text they precede. They are reflections of the culture in which they are produced. The visual iconography is loaded with religious, social, and political implications that can be teased out through design analysis. In the first part of this essay I will examine such implications embedded within the formal aspects of several decorative initial caps in the Book of Kells, and in the decorative initial caps of Rococo type designer Pierre Fournier le Jeune. The visual narrative in these artifacts functions as direct communication as well as suggestive innuendo for the viewer.

Decoration as communication calls into question the modernist rejection of ornament. Modernist graphic designers claimed that ornament served no function, that is was purely formal and therefore unnecessary for functionality. I intend to show not only that ornament functions as a profound form of communication, but that it is impossible for any typographic design artifact, however stripped down, to be totally void of ornamental qualities.

In the second part of this essay I discuss four fonts I have designed based on the ideas discussed in the first part of the essay. In my design process, I play with a range of attributes to be incorporated into three typographic fonts and one font of whirlygigs (decorative symbols). While I designed, it was not clear which cultural hallmarks would ultimately be reflected in the fonts, but I was always attentive to the approach decided ahead of time for each typeface. All of these fonts were created by manipulating Helvetica type only, and by repeating one and only one letterform in each initial cap. For example, to create an “h,” I used only Helvetica letter “h’s.” The first font design is additive. I added letters to one original letter to create the final character. The second font is subtractive. I subtracted the negative shapes of letterforms from an original character. The third font is a hybrid of the first two fonts, and the fourth is a conglomeration of one letterform that is completely abstract and whimsical. This approach allowed me to inject the sorts of cultural qualities that I analyze in the first part of this essay without knowing what the outcome would be. Finally, I analyze the design of my fonts in the context of our culture and propose reasons that these designs—which turned out to be surprisingly Neo-Rococo—are relevant to our culture.

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   On the Go with Phoebe Snow

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Abstract

On the Go With Phoebe Snow

"…advertising is a communications activity through which social change is mediated – and wherein such change can be witnessed." – Leiss, Kline & Jhally, pp. 193.

BEHOLD the POWER of the AD

Says Phoebe Snow:
"The miners know
That to hard coal
My fame I owe.

For my delight
In wearing white
Is due alone to Anthracite."

This advertising jingle came from the pen of Ernest Elmo Calkins in the early part of the 19th century. Its goal was to sell passage on the Lackawanna Railroad by extolling the virtues of anthracite coal. Imitating the rhythm of a locomotive, the little rhymes also sold the century's new independent woman to a new generation of men and women in the lithe and aloof form of Phoebe Snow.

Lackawanna Railroad
THIS IS THE ROAD OF ANTHRACITE
This is the Maiden all in Lawn
Who boarded the train one early morn,
That runs on the Road of Anthracite
and when she left the train that night
she found to her surprised delight
hard Coal had kept her dress still bright

The comparison of scripts for doctor-patient interaction of Americans and immigrants from the former USSR

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The comparison of scripts for doctor-patient interaction of Americans and immigrants from the former USSR

Abstract

The present study was inspired by Ranney (1991), which proposed a new approach to research on the acquisition of sociocultural and pragmatic competence: "…focusing on a speech event rather than on speech act and drawing on the concept of scripts" (Ranney 25). Similarly to Ranney, the speech event I investigated was medical consultation, but the non-native speakers were immigrants from the former USSR. I wanted to find out how they perceive the norms for medical consultations in the United States and what expectations they have. Also, I was interested in comparing their perceptions with those of a group of Americans. An additional goal was to identify the pedagogical implications for teaching English and American culture to Russian immigrants. The present study is a partial replication of Ranney's study. I used the same instruments, but I made some minor changes to them so that they better fit my study.

Introduction

In order to successfully communicate in the new culture, non-native speakers have to acquire communicative competence, which consists of such elements as the ability to perform speech acts, ability to maintain appropriate register and politeness norms, etc. As Ranney states, various language researchers have studied the acquisition of particular speech act forms (Beebe 1988, Cohen and Olshtain 1981, Beebe, Takahashi, and Uliss-Weltz 1990). Nevertheless, Ranney emphasizes the importance of "broader cultural knowledge" (Ranney 25). Knowing language forms is not enough for effective interaction in a second language culture (C2) and the lack of sociopragmatic knowledge may result in cross-cultural miscommunication and in the creation of stigmatized stereotypes. Applying past knowledge to new experiences may not always be successful.

It is crucial for language educators to assess English learners' sociopragmatic needs, which may vary from culture to culture, in order to help them in developing communicative competence in the new culture.

Previous research on schema and second language acquisition

In recent decades Schema Theory has attracted the attention of second language researchers. Some findings indicate that the ability of second language learners to access their background knowledge may improve reading comprehension and listening skills. A recent study by Miyuki Sasaki (2000) showed that a group of Japanese learners of English as a foreign language performed better on a reading comprehension test than their peers because their text was culturally familiar to them whereas the second group was given a culturally unfamiliar version of the same text. The first group was aided by their schema or stored knowledge while the second group did not have this advantage. Thus, this study confirms that an ability to access one's background knowledge may improve reading comprehension skills. The concept of script is a subtype of schema. Schank and Abelson (1977) define script this way:

> "A script is a structure that describes appropriate sequences of events in a particular context. A script is made up of slots and requirements about what can fill those slots. …Scripts can handle stylized everyday situations. …Thus a script is a predetermined stereotyped sequence of actions that defines a well-known situation" (Schank and Abelson 41).

Schank and Abelson present some examples of common events that have scripts: riding a bus, eating in a restaurant, etc. Also they affirm that we have numerous scripts for various activities. Many language researchers (Bower, Black, and Turner 1979) have performed studies to analyze the psychological aspects of the concept of scripts. Mori points out that "later both Schank and Abelson changed their original view" and saw scripts more flexible and adjustable than before (Mori 1). Learning new scripts is crucial in the process of acculturation.

It is essential for language researchers to shift from looking at speech acts (production) to learners' expectations in order to better assess their sociopragmatic knowledge. This may help the researchers to determine what a learner needs to know in order to communicate successfully in a new culture. This new approach was proposed by

Ranney (1991). Ranney emphasizes that "speech events are like other types of script activities in that they are highly routinized, have well-defined roles for participants, and consist of a series of actions in a prescribed sequence" (Ranney 27). The script for speech events consists of verbal and non-verbal elements. A medical consultation is a speech event that may reveal "some sources of miscommunication between doctors and patients" (Ranney 28). Ranney discusses a number of reasons that may cause miscommunication in this context even if a patient and a doctor belong to the same culture: doctors and patients may have different beliefs regarding the cause of a problem, doctors may dominate the discourse and the patient may not like this, etc. These issues become more serious when doctors and patients have distinct linguistic and cultural backgrounds. In her study, Ranney used different methods to find the norms and expectations of Hmong patients for a medical consultation. Her methods included: script elicitation task, sequencing of language functions, interviews, and a discourse completion task. The study revealed some areas of difficulty for Hmong patients in the American health care system: discussing the diagnosis, asking questions, and negotiating treatment options. "Conflicting schemata may lead to distortions" (Ranney 26).

Another study on L2 scripts, conducted by an Australian researcher Michele de Courcy, reported on some cross-cultural conflicts in a Chinese immersion program. The teachers were using a traditional Chinese way of teaching and the students were trying to learn in a Western context. The scripts of the teachers and learners did not match, which created some difficulties for all. "One of the problems experienced by the learners and teachers was their differing perceptions of the students' habit of talking with one another during the lectures, in order to help their comprehension of what was going on" (Courcy 255). Another communication problem was disagreement on the appropriate level of politeness. Both the teachers and the students believed that their L1 behaviors were more appropriate.

An additional study on cultural schema and its impact on cross-cultural understanding in modern China was carried out by Kevin Smith. His study was focused on cross-cultural thinking related to marriage and divorce. He concludes that "there are times when a particular cultural schema may provide a distorted view of other cultures, and even visits to the target country may merely serve to consolidate the distorted view"

(Smith, 268). Cheng and Warren claim that a cultural schema is one of the factors that may affect "the levels of inexplicitness" of non-native speakers, and therefore may impede successful communication between native and non-native speakers (Cheng & Warren 313). According to Scheu and Sanchez, "asymmetrical cultural assumptions" may become an obstacle for successful cross-cultural communication.

Several studies have been conducted to investigate doctor-patient interaction where a patient is a non-native speaker of English (Stevens and Fletcher 1989, Quesada 1976). Cultural barriers may cause problems for successful doctor-patient interaction even if language is not a concern. In order to improve doctor-patient communication, it is very important to conduct research on the acquisition of sociocultural competence, and studies of speech events may shed light on this issue.

Research issues

In order to partially replicate Ranney's study, I have gathered some information about the Russian medical system and the attitudes of a few Russians about different issues related to medical context such as diagnosis, treatment, etc. My goal was to find answers to the following research questions:

- How does a group of Russian immigrants perceive the norms for medical consultation and what are their expectations?
- How do their perceptions compare to those of a group of Americans?

According to the information that I possess as a native Russian speaker about medical beliefs, experiences, and Soviet culture in general, my first hypothesis was that Russian subjects would provide and expect a lot of information in a medical setting. My second hypothesis was that they would perceive doctors as experts. Therefore, they would expect doctors to answer all their questions. Also I expected that Russian subjects would be overall more direct than American subjects, particularly in their requests and refusals related to serious issues, despite the fact that American interlocutors may perceive their directness as face threatening speech. This was my third hypothesis. Since all Russian participants had been living in the USA for at least 4 years, I assumed that they were somewhat familiar with the American Health Care System. Nevertheless, I thought that they might not know some details related to American medical settings (for

example, payment issues). This was my fourth hypothesis. I hoped that the instruments I used to collect data would elicit sufficient information to answer my research questions.

METHOD

Participants: informants and subjects

There were two groups of participants in this study. All of them were recruited through my personal contacts. The first group called "Informants" consisted of 6 Russian immigrants (two men and four women) who provided some cultural background information. Their age ranged between 37 and 69. Except for one female informant who is a computer programmer, all the informants are retired senior citizens. All of them had lived in the United States between 5 and 10 years. The second group called "Subjects" consisted of 10 subjects: 5 immigrants from the former USSR and 5 Americans. Their ages ranged from 35 to 45. There were four women and one man in each group. All the participants were professionals and had completed at least a four-year college. Some of them held advanced degrees. The Russian subjects were quite fluent in English and had lived in the United States between 4 and 8 years. The data collection took place at the University of Minnesota. In order to avoid bias, I asked the study participants not to include their names in the questionnaires. This way I did not connect data with names during the analysis.

Instruments and data collection procedures

To collect background information for this study, I conducted informal conversations with my informants about medical care and other issues associated with it (their beliefs, attitudes, expectations) in the former USSR and in the United States. I interviewed them in their homes. I asked the following questions:

- Tell me about medical practices and beliefs in the former Soviet Union.
- In your opinion, is the American Health Care system different from that of the former Soviet Union? If yes, what aspects are different? What is the most striking difference that you noticed (doctor/patient interaction, procedures, etc.)?
- What do you expect from a medical consultation?
- What do you like/do not like about medical care in the United States? Why?

During our conversations the informants freely expressed their opinions and allowed me to use this information in my study.

To gather data from the subjects I utilized instruments that were originally used by Ranney. However, I made some minor changes. The instruments included 4 tasks: *A free elicitation* (Task 1), a *cued elicitation* (Task 2), *an interview* (Task 3), and *speech act forms* (Task 4). The data were collected individually from each person. All the instruments are presented in the Appendix. In task 1, as in Ranney's study, subjects had to describe a typical conversation between a doctor and a patient during a medical visit. The purpose was to elicit a sequence of typical events (script). This task was performed in writing rather than orally in Ranney's study. In task 2 the subjects had to select typical events for doctor-patient interaction during a medical consultation. Then they had to put them in order of occurrence. For this task I had prepared 38 cards with possible script elements (1 per card). I presented the cards in random order to each participant. The subjects were asked to form 2 piles: typical events (T) and non-typical events (NT). After this the subjects ordered the selected typical events in the order in which they would expect them to occur. In the final part of the task all the results were recorded on the provided form. The purpose of task 2 was to elicit more detailed scripts than in task 1 since the subjects were given cues in task 2. In addition, I included 2 new items (#31 and 32) because I expected to find some evidence for a potential contrast.

The interview task (#3) consisted of 11 open-ended questions. The purpose of this task was to investigate patients' attitudes toward norms of speaking and other aspects of the appropriate interaction between doctors and patients. The questions enabled me to obtain data to analyze these aspects of the patients' scripts. In addition to Ranney's 9 questions, I added 2 more (#3 and #9) to see what expectations the subjects had regarding these aspects of doctor-patient interaction.

Task 4 was designed to gather samples of specific speech acts in a medical setting. I added an additional question (#6) to Ranney's questionnaire because I supposed that this particular situation could be problematic for the Russian subjects.

Data analysis procedures

The data were analyzed quantitatively and qualitatively. For the quantitative analysis I used the SPSS statistical package. I ran descriptive statistics to create histograms and scatterplots for tasks 1 and 2. Other programs in SPSS package may be used to analyze a larger sample size. In addition to SPSS analysis I performed a numeric data analysis similar to Ranney's (mostly for tasks 1 and 2 where such analysis was appropriate). Non-numeric data in all the tasks were analyzed qualitatively. All the collected data are included in charts and tables. I did not code the data because this way readers can see the entire picture, which may help them to better understand it.

RESULTS

Results from interviews with informants

Just like other groups of immigrants in the United States, Russians face challenges as they adapt to their new life. Many aspects of American culture and lifestyle are different from the ones that they are accustomed to and it takes time and effort to understand and to accept them.

The American health system is one of many institutions that significantly differ from the former Soviet health system. The majority of Russian immigrants were raised and educated under the Soviet regime, which did not favor spirituality and religious beliefs. For this reason, Russians value traditional medicine that offers scientific explanation and treatment.

According to my informants, Russians appreciate and enjoy many benefits that the American health system provides for them such as overall well organized service, and friendly and respectful personnel. Some informants indicated that they are not always given the opportunity to describe their symptoms in great detail and to ask the doctor all their questions. These informants said that they feel this way because many medical practices in the United States have several patients waiting in different rooms simultaneously for the same doctor. This custom gives some Russian patients the impression that the doctor is in a hurry and is not fully devoted to each patient.

Also, American doctors are often reluctant to diagnose patients before they see the test results. In some cases even if they suspect something, they prefer not to jump to conclusions ahead of time. Some Russian patients tend to interpret this as incompetence on the part of the doctor because they perceive doctors as experts who must determine the problem by observing the symptoms and by thorough examination of the patient. Nevertheless, they usually do not object to further tests.

Many Russian immigrants do not like signing various consent forms because they see this as a bureaucratic procedure and as a way of reduction or elimination of doctors' liability. Another obvious cultural difference is that Soviet doctors do not usually inform patients about terminal diagnoses in order not to shock them with bad news. They only tell the truth to the patient's family. In the United States patients are informed of terminal diagnoses. Perhaps this is because there is more hope even for very seriously ill people due to scientific and technological advance, and it is well known that in the United States human life is very valuable and doctors always do their best to save it. In addition, in the United States there is a network of support groups that provide moral support to the patients and their families and enables them to exchange information, experiences, etc. Nothing of this nature existed in the former Soviet Union where terminally ill patients and their families had no hope and were left alone to deal with their tragedy. Therefore, it was logical for Russian doctors not to reveal the truth to their patients in such cases, and it is also logical in the United States for doctors to always provide truthful diagnoses to their patients.

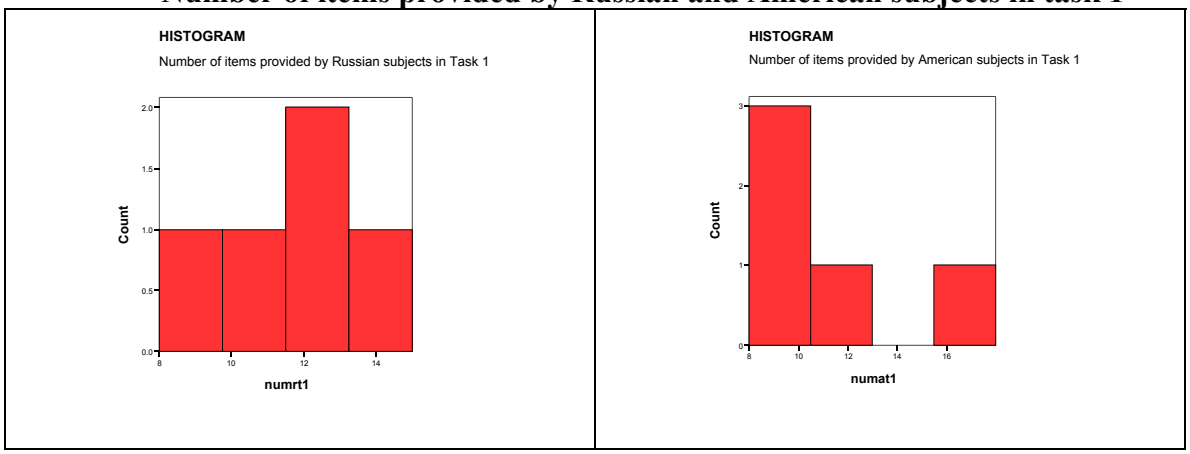
An interesting fact is that in the former Soviet Union, if patients had fever, infections and other serious diseases, doctors and nurses used to come to patients' homes to examine and to treat them. Some Russian informants indicated that they were surprised that this kind of service does not exist in the United States. Additionally, some Russian informants noted that health services in the former USSR were free, but not always of a good quality.

Results from interviews and questionnaires completed by subjects

Task 1 – Free elicitation of scripts

Comparing the two groups of subjects, I did not find a significant difference in the amount of items described by each group. The scripts ranged from 8 to 18 items for American subjects whereas for Russian subjects they ranged from 8 to 15 items (see Table 1 below).

Table 1
Number of items provided by Russian and American subjects in task 1



Although one might expect that the American subjects would create much more elaborated scripts than the Russian subjects because they were writing in their native language, this was not the case in the present study. The American subjects may have skipped some steps that may have seemed irrelevant to them, steps such as sending a patient to a specialist or ordering some tests because these are optional. Keeping in mind that the subjects were relatively young and healthy, it seems likely that their experience in medical consultations has not included these steps.

As in Ranney's study, the order of stages of a medical appointment was similar in all the scripts. However, not all the events within stages were included by everyone such as "interrogate" (stage 2) or "communication of the diagnosis" (stage 3). Table 2 summarizes the data for both groups (Russian and American). Due to the small size of the sample, I decided to include the actual numbers rather than coded items (capital letters, underlined words, etc.) as Ranney did.

Table 2
Group scripts – Task 1

Stage	Event	American group	Russian group
0 Preliminary	P Enter P Wait P Greet D knock D Enter D Greet	2 2 3 1 3 5	0 1 3 1 2 5
1 Elicitation of Problem	D Elicit P Answer	5 5	5 5
2 Investigation of the Problem	D Inter. Symp. D Inter.Pain D Inter. Time D Examine D Test D Inter.CurMed D Socialize	3 1 0 5 3 0 0	4 0 1 5 0 1 1
3 Communication of Diagnosis	D Sends Spec. D Diagn.Inform P Ask	2 1 2	0 1 1
4 Treatment	D Treat(presc. If necessary) D Present opts P Ask option P Ask cost	4 2 2 1	3 2 1 0
5 Leave-taking	D Follow up P Thank D Leave-taking P Leave-taking	2 1 3 3	1 2 2 2

As one can see, there is an overall agreement between the two groups. All the participants (10) mentioned “D Greet” (stage 0), “D Elicit”, “P Answer” (stage 1), “D Examine” (stage 2) in this order. This may indicate that the participants considered these

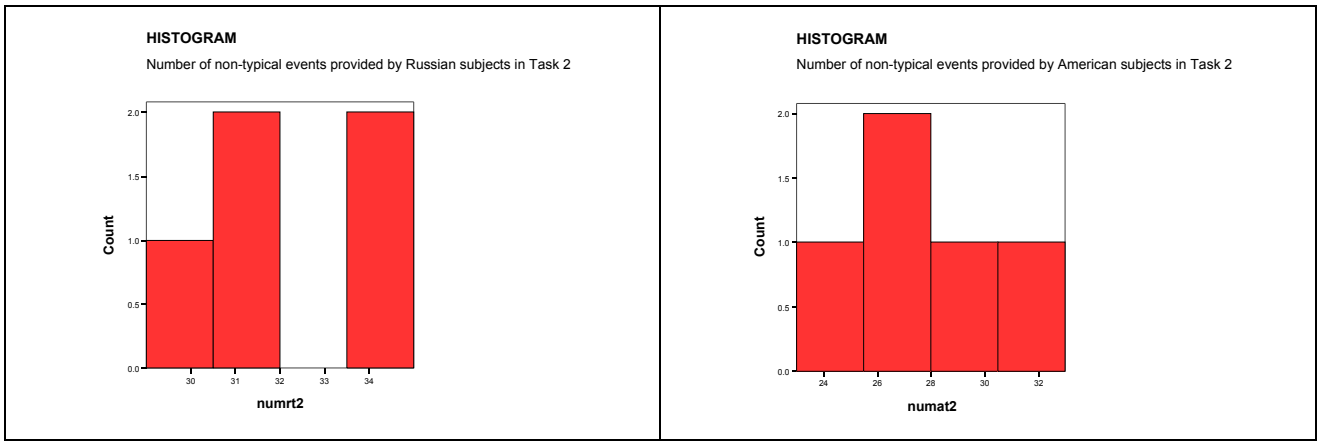
events the most important ones during the medical consultation. As shown in Table 2, in the Preliminary stage the Russian subjects provided a slightly greater number of items than the American subjects: two of the Russian subjects mentioned "P Enter" whereas none of the American subjects mentioned this event. Also more Russian subjects mentioned "P wait" and "D Enter" than the American subjects did. Interestingly enough, all the subjects in the present study indicated both "D Elicit" and "P Answer" in stage 1 – Elicitation of the Problem. In stage 2 – Investigation of the problem, the items "D Interrogate-time", "D Interrogate-current medication", and "D-socialize" did not appear in the scripts of the Russian subjects whereas "D Interrogate pain" and "D Test" were not mentioned by the American subjects. The disagreement between the two groups in stage 2 is minor except for "D Test": 3 Russian subjects mentioned this event while none of the American subjects did so.

No substantial difference between the two groups was found in stages 3,4, and 5 of the scripts, except for the event "P asks Cost": none of the Americans mentioned it whereas one Russian subject did. Overall, the results of task 1 do not demonstrate a considerable difference between the two groups in the present study.

Task 2 – Cued elicitation

The results indicate that all the participants found a similar order of events. Both groups found more items to be typical for a medical consultation in this task than they did in the *Free elicitation task.* This finding is not surprising because it is easier to choose from a given list of events than come up with one. The average of items selected by the American group was 28 and the average for the Russian group was 32. These averages are approximately 3 times higher than the averages in task 1 (11.2 and 11.8 respectively). The averages of the two groups in task 1 are very close whereas in task 2 they are quite different. In task 2, the answers of the Americans ranged from 23 to 33 while the answers of the Russians ranged from 29 to 35 (see table 3).

Table 3
The number of non-typical events provided by Russian and American subjects in task 2



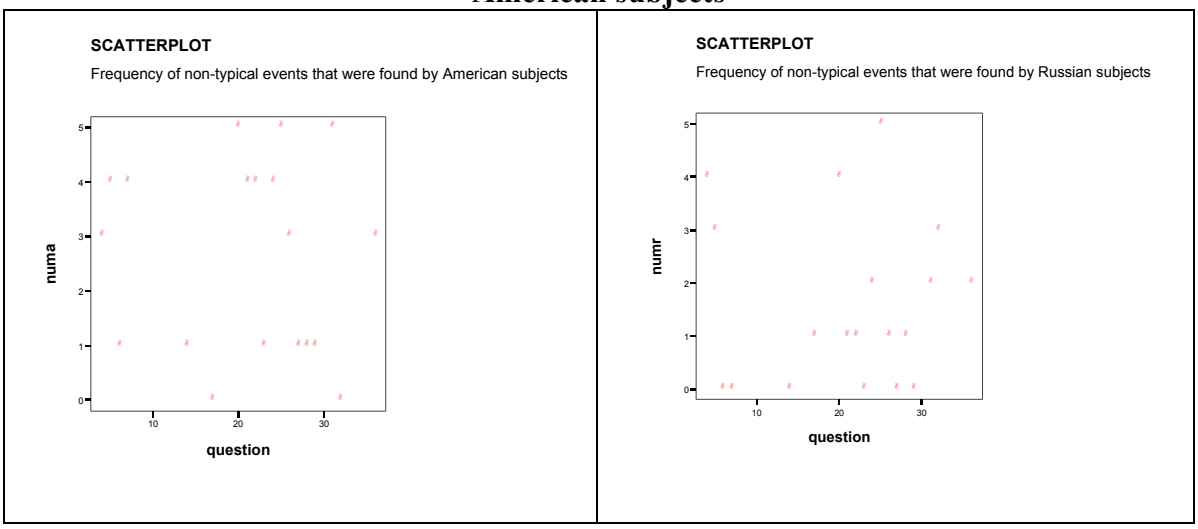
It is interesting to take a look at the events marked "non-typical"(NT) by the two groups in the present study. Evidently the number of NT events indicated by the American group seems to be greater than that of the Russian group (see table 4).

Table 4
Non-typical events

Question #	American group	Russian group
4	3	4
5	4	3
6	1	0
7	4	0
14	1	0
17	0	1
20	5	4
21	4	1
22	4	1
23	1	0
24	4	2
25	5	5
26	3	1
27	1	0
28	1	1
29	1	0
31	5	2
32	0	3
36	3	2
Total	50	30

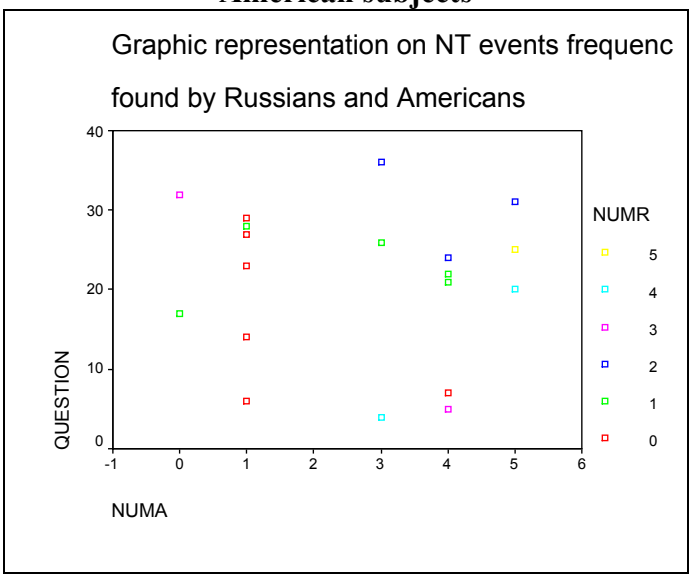
Overall, 19 items were considered NT by at least 1 participant (see Table 5 below).

Table 5
Scatterplots for frequency of non-typical events that were found by Russian and American subjects



For 10 NT items the agreement between the 2 groups is substantial. For example, all subjects strongly agreed on #20 (The doctor looks at the patient's face to see what is wrong with the patient) and #25 (The doctor tells the patient that s/he feels the same as the patient when ill). On the other hand, there is a strong disagreement on question # 7 (The doctor asks the patient what happened). Four out of five Americans decided that this question was a non-typical one while all the Russian subjects considered it to be typical. Another difference can be observed in questions 31-32 (see appendix). All the American participants agreed upon the necessity to inform the patient about a very serious illness while only 2 Russian participants said that the patient should be informed in this case. The graphic comparison of the NT events indicated by Russian and American subjects is shown in Table 6.

Table 6
Scatterplots for frequency of non-typical events that were found by Russian and American subjects



All the stages that are present in task 1 are present in task 2 in the scripts of both groups.

Table 7
Group scripts – Task 2

Stage	Event	American group	Russian group
0 Preliminary	D Greet	5/5	5/5
	P Greet	5/5	5/5
1 Elicitation of Problem	D Elicit	6/10	10/10
	P Ans. Illness	5/10	7/10
	P Quest. Gen	2/5	1/5
2 Investigation of the Problem	D Inter. Symp.	10/10	10/10
	P Answer Symp.	9/10	10/10
	D Inter.Cause	1/5	4/5
	P Answer Cause	1/5	4/5
	D Inter. Time	5/5	5/5
	P Answer Time	5/5	5/5
	D Inter. MedHis	5/5	5/5
	P Answer MedHis	5/5	5/5
	D Inter. Medic	5/5	5/5
	P Answer Medic	5/5	5/5
	D Examine	5/5	5/5
	D Test	4/5	5/5
	P Answer Gen	1/5	3/5

3 Communication of Diagnosis	P Ask Diagnosis D DiagnosisInfo P RequestExplan D Explain P Reassure	2/5 4/5 4/5 4/5 10/15	4/5 5/5 4/5 5/5 10/15
4 Treatment	D Treat Direct D Prescribe	5/5 5/5	5/5 5/5
5 Leave-taking	P Thank D Thank D Leave-taking P Leave-taking	5/5 2/5 5/5 5/5	5/5 3/5 5/5 5/5

As was mentioned earlier, in task 2 after dividing the events into typical and non-typical, the subjects were asked to put the typical events in chronological order and then to record them. The order of events found by Russian subjects is quite similar to the one proposed by Susan Ranney. One can see that only a few events were switched. For example, sequence (1,2) – (2,1) was found by 3 subjects and (37,38) – (38,37) was also found by 3 subjects. Other differences in the event order were found by only one subject in each case (not necessarily the same person): (7,6), (11,10,12), (33,34,32), (24,23), and (34,33). The only substantial difference was indicated by one subject, who proposed the following order: (10,22,23). Overall, the disagreement on the order of events within the Russian group is not considerable.

Some of the disagreements were found in the following sequences: (9,15,16,17,10), (34,23,35), (7,12,13,8), (9,5,10), (12,15,16,17,13), (27,30,31,28). However, since each of these sequences was found by only one person, overall there is almost no disagreement within the American group.

It is interesting to compare the choices of the participants on certain items to see where major differences between the groups are found. This comparison is shown in Table 8.

Table 8 - A comparison of choices on particular cue items in Task 2

Script cue element	Russian participants	Amer. participants
1. The doctor asks the patient what happened	5 include 0 reject	1 include 4 reject

2. The doctor asks what the patient did to cause the illness	4 include 1 reject	1 include 4 reject
3. The patient tells what s/he did to cause the illness	4 include 1 reject	1 include 4 reject
4. The patient tell the doctor about other medical problems s/he has that are not related to the present illness	3 include 2 reject	1 include 4 reject
5. The patient asks the doctor what the illness is	4 include 1 reject	2 include 3 reject
6. If the doctor suspects a very serious illness, s/he does not inform the patient about this	3 include 2 reject	0 include 5 reject
7. Even if the doctor suspects a very serious illness, s/he informs the patient about this	2 include 3 reject	5 include 0 reject

Task 3 – Interview

In this task there were 11 questions, which will be analyzed one by one. The subjects answered most of them. When they were asked to give advice to someone who is going to see a doctor, both groups in the present study provided similar answers: prepare questions, listen carefully, etc. Only one Russian subject mentioned a payment issue: "Be prepared to pay". Likewise in task 1, only 1 subject talked about the payment in this task. In fact, these were 2 different people.

One of the differences between the 2 groups was found in the answers for the question: "What kinds of talk or behavior are appropriate with the doctor? What is inappropriate?" Apparently the American and Russian subjects looked at it from 2 different perspectives: appropriate talk (topics) versus appropriate behavior respectively. Interestingly enough, all the American subjects, with no exception, discussed appropriate topics: medical history, reasons for visit, small talk, etc., while all the Russian subjects emphasized politeness and respectful behavior.

Another difference between the answers provided by the 2 groups is found in the question: "Who is responsible for choosing treatment?" Four Russian subjects answered

“Doctor” and one answered “Both” whereas none of the American subjects thought that the doctor is the only one who is responsible for choosing treatment. Three Americans said that the doctor and the patient both take part in decision-making, but the patient is the one who makes the final decision; in other words the doctor may recommend, but it is the patient who will choose. One American subject said “Mostly the doctor” and one said “Patients make the choice”.

In addition, I found a substantial disagreement between the two groups in the answers for the question: “Do doctors always ask for all the information they need?” Four Russian subjects said “Yes” and 1 said “Almost all the time” whereas 3 Americans said “Not always”, 1 said “Most of the time”, and 1 said “No”. The disagreement between the groups here is followed by an absolute agreement in the next 2 questions (#7 and 8 – see appendix). Three subjects in each group answered “Doctor” in the question “Who asks more questions? Why?” These subjects provided reasons to support their answers: “to elicit all info, to get the sense of the problem, to come up with the right decision”, etc. The other 2 subjects in each group said ”Patient” because they believe that “patients are interested in their own condition, they are concerned about their health, and they want to be in charge of own health”.

All 10 subjects said “Yes” in their response to the question “Is it appropriate for patients to ask questions? If so, when? If not, why not?” Overall, Russian subjects provided more explanations as to “When?”: “always, all the time”, etc.

I added an additional question “Are insurance/payment issues ever mentioned by doctors?” to see whether Russian immigrants know how this issue is handled in the American health system. According to their answers, my Russian subjects know that payment is usually not discussed with the doctor. Only 1 person said: “Never in my country. Always here”, which demonstrates that this person is aware of differences between the two health systems, but s/he is not familiar with the common script for doctor-patient interaction possibly due to the lack of such experience in the USA.

All the subjects agreed upon the main reasons for good communication between doctors and patients (#10 – see appendix): doctor’s attention, nice environment, doctor’s interest, enough time, use of adequate language, sympathy for the patient. Therefore, the

expectations for what makes good communication seem to be the same for Russian and American patients.

Three Russian subjects provided interesting comments for the question "Do you have any other comments on doctor-patient communication?" which confirmed the opinions of my informants regarding consent forms and visiting sick patients at their homes. Two of them complained about signing consent forms and one person expressed his/her preference for home visits.

Task 4 – Specific speech act forms

Task 4 generated similar strategies for questions 1,3,4, and 5 in both groups. In question 1 answers provided by both groups are analogous. Nevertheless, I observed that the answers of the Russian participants were somewhat more direct than those of the American participants. For example: What happened? What is the problem? Some of the subjects from both groups used idiomatic expressions such as "What brought you here today?" (R), "What are we seeing you for today?" (A). The collected data are presented in table 9.

Table 9
Speech act strategies and answers of all the participants (Task 4)

Item	Answers of the American subjects	Answers of the Russian subjects
1. The doctor walks into the room and wants to know what problems the patient has come to the clinic for. The doctor says:	▪ Can you tell me about your symptoms? ▪ Tell me how you are feeling ▪ Why are you here today? ▪ Can you tell me about what brought you here ▪ What are we seeing you for today?	▪ What happened? ▪ What seems to be the problem? ▪ What brought you here today? ▪ What is the problem? ▪ How do you feel?
2. The patient wants the doctor to prescribe medication which the doctor has not given. The	▪ I would like to try this medicine. ▪ Why are you not prescribing this medication? ▪ What do you think	▪ Can I get a prescription for this medicine, please? ▪ What do you think about this drug? Isn't it better?

patient says:	about this drug? ▪ I heard that medicine X is supposed to help. What do you think? ▪ Do you think this medicine could help me?	▪ Can you give me this medication? ▪ May I suggest this drug? ▪ Can you please prescribe this drug for me?
3. The doctor says the patient has a cataract and a patient does not understand that word. The patient says:	▪ What is that? ▪ Would you explain what the cataract is? ▪ Could you explain? ▪ What is that (term)? ▪ What is that?	▪ I do not understand this term. Please explain it in simpler terms. ▪ Could you explain it to me? ▪ Please explain. ▪ Would you please explain this to me? ▪ Can you please explain what this mean?
4. The doctor says the disease must be treated with surgery but the patient does not want to have surgery. The patient says:	▪ I would prefer not to have it ▪ I do not want surgery. Would you suggest some other ways but surgery to treat me? ▪ Is there any other type of treatment you know of? I don't want surgery? ▪ Are there any other options or treatments? I don't want surgery. ▪ Are there any other ways to treat this?	▪ I don't want surgery. Are there any alternative treatments? What are the consequences of not having it? ▪ I don't want to undergo the surgery. Is there any other method to treat it? ▪ I don't want surgery. Is there any alternative? ▪ Isn't there any other way to treat it? ▪ I am against surgery. I really need to think about it.
5. The doctor gives a quick explanation of the treatment but the patient has difficulty understanding it. The patient says:	▪ I don't understand ▪ Please explain the treatment to me again. ▪ Could you explain it again please? ▪ Can you say it	▪ Please give me more details about some steps of the treatment. I think I need more details. Could you tell me more?

	again? I am not sure I understand you. ▪ I am still not sure that I understand what you mean.	▪ Please explain this again because I did not understand it. ▪ Would you please explain it to me in non-technical terms? ▪ I did not understand everything. Please explain again.
6. The patient does not believe that the diagnosis is correct. S/he says:	▪ Are you sure? ▪ What led you to your diagnosis? ▪ Could you look at other possibilities? ▪ I might just say "Thanks" and get a second opinion. ▪ That seems a little hard to believe.	▪ I don't believe the diagnosis is correct. Is there a possibility to be something else? What tests can we do in addition? I would like to consult with other doctors. ▪ Are you sure? ▪ I'd like to get a second opinion. ▪ I was thinking I have something else. Are you sure? ▪ I would like a second opinion.

No major differences between the 2 groups were found in the answers provided for item 5. However, the Russian subjects tended to request more details about the treatment. This may be due to cultural differences: Russians usually provide and expect many details.

A substantial difference between the 2 groups was found in item 2. Three Russian subjects asked the doctor to prescribe a particular medication in a very direct manner: "Can you give me this medication?" Two other Russian subjects carefully suggested a medication and wanted to know the doctor's opinion about it. They used some modals, tag questions and mitigators: "may", "isn't it", etc. In the American group 2 subjects used the same strategy (suggesting a medication in a fairly polite manner) while 3 other American subjects showed even more respect and formulated their requests without any imposition at all: "I heard that medicine X is supposed to help. What do you think?"

These American subjects used a complete avoidance of confrontation with the doctor, which is not the case with three Russian subjects that were very direct. Overall, the American subjects favored a non-face threatening interaction. American doctors may perceive direct requests as rude and improper while directness may be due to cultural differences and/or language barrier.

In the present study a new item (#6) was added in task 4: *The patient does not believe that the diagnosis is correct. S/he says:….* The reasons for this addition were to find some evidence to support the claim that in general there is a tendency toward directness in the Russian culture and to compare this trait to American culture. In order to do this, I needed to see how Russians and Americans act in a very face-threatening situation. The findings are quite interesting. Overall, they confirm my initial claim about Russian directness. The American subjects employed modals and mitigators in order to express their disagreement with doctor's opinion. They were very respectful and not confrontational to the extent that one subject said: "I might just say 'Thanks' and get a second opinion". The most direct answer among American subjects was: "Are you sure?" Two Russian subjects also provided this answer, which is the least direct answer among Russians in the present study while the most direct answer is: "I don't believe the diagnosis is correct". Some Russian subjects asked for a second opinion. While expressing their disagreement very openly, a few Russians used mitigators and modals: "Would like" and "I was thinking". Nonetheless, the speech acts provided by some Russian participants may be perceived as rude and somewhat offensive.

Discussion

Overall, the results of the 4 tasks indicate that Russian subjects possessed a good knowledge of the discourse norms for doctor-patient interaction in the United States. The perceptual differences between native and non-native English speakers are minor. This conclusion is mainly based on the results of the first and second tasks, in which Russian subjects showed understanding of the structure and typical discourse patterns (language functions, for example) of a medical appointment in the United States. This observation seems to be logical because the structure of a medical consultation in the former Soviet Union had a similar sequence of events.

As was mentioned earlier, Russian immigrants have been accustomed to scientific explanation and treatment. Therefore, their script (schema) for a medical appointment may have been analogous to that of American subjects due to their previous life experiences. The freely elicited scripts provided by Russians were almost as detailed as those of Americans despite the fact that they wrote in a non-native language. This finding may demonstrate that one of the characteristics of Russian culture is a tendency to provide as much information as possible even if some of it is optional.

The first 2 tasks showed some areas where cultural differences between Russians and Americans were present. In addition to the Russian tendency to give many details, I found that Russian patients also expect a detailed explanation from doctors, which may not always be possible and therefore can cause cross-cultural miscommunication. Looking for a detailed explanation was also found in task 3 when Russian subjects said that it is always appropriate for patients to ask questions and in task 4 when they all asked for a clarifying explanation of the treatment.

I did not find any differences between the two groups in their objection to surgery, which did not meet my expectations. To refuse surgery, the subjects in both groups stated clearly their objection. “I don’t want surgery” was a very common reaction among all the subjects. I was not surprised by the reaction of the Russian participants, but I expected that Americans would be more indirect in their refusals. One may hypothesize that the directness of the American subjects in this context may be due to the fact that this was a written questionnaire. In a real situation when they face a doctor, they may not be as direct as they were on a paper because it is more challenging to confront someone in a face-to-face interaction. Nevertheless, this finding may be attributed to individual differences because the sample size is small.

In discussing appropriate behavior with a doctor, American subjects mentioned informality and small talk. Russian subjects stressed the importance of polite and respectful behavior. People familiar with Russian culture may agree that the absence of the item “D Socialize” in the Russian group is not accidental because it is not very common for a doctor to socialize during a medical consultation.

Another cultural difference that was confirmed in task 2 is communication of lethal diagnosis. The majority of the Russian subjects did not believe that patients should

be informed about such diagnosis. At first this may seem contradictory to the point made earlier that directness is a typical trend of Russian culture. Nonetheless, I believe that in this case it is rather an ethical rule that exists in Russian culture than a matter of directness. Lethal diagnoses are usually shared with the patient's family, but not with the patient in order not to disturb the patient. Task 2 also revealed some evidence to support my hypothesis about Russian directness, which was confirmed again in task 4 by the speech acts related to objection to surgery, disagreement with diagnosis, and asking for medication. Data from the interview task demonstrated that Russian and American patients had different views on doctor-patient roles in choosing treatment: all the Russian subjects said that the doctor is always responsible for choosing treatment whereas the majority of American subjects agreed that both are involved in decision-making process, but the patient makes the final decision. The fact that the majority of the Russian subjects said "Doctor" may be explained by their previous experiences: in the former USSR doctors imposed their opinions more than in the United States i.e. they would insist on a treatment that they believed was the best. In the USA the patient is more involved in a decision-making process. This cultural difference may be viewed by Russian patients as lack of confidence and/or responsibility avoidance on the part of American doctors. Such point of view (doctor is solely responsible) could result in a potential conflict: Russian patients may perceive the fact that American doctors expect patients to be involved in decision-making as a sign of incompetence on the doctors' part. Russians perceive doctors as experts who are thought to choose the best treatment. Viewing doctors as experts was also confirmed when all of the Russian subjects said that doctors always ask for information they need.

Conclusions

This study was carried out to investigate how Russian immigrants perceive norms for medical consultation in the United States and what expectations they have. Also I wanted to get a general idea of how their perceptions differ from/are similar to those of Americans. In addition, this study was aimed to reveal pedagogical implications for teaching English and American culture to Russian immigrants. Similarly to Ranney's

conclusion, the results of the present study are suggestive due to the small sample size. A larger sample size would provide more conclusive results.

Overall, most of my expectations were met: I expected that Russian subjects would provide and expect a lot of information in a medical setting (Hypothesis 1) and that they perceive doctors as experts who can answer all their questions (Hypothesis 2). Also I expected that Russian subjects would be more direct than American subjects, particularly in their requests and refusals (Hypothesis 3). The results confirmed this. It is interesting to comment on one unusual finding. American subjects were unexpectedly direct in their objection to surgery (task 4). Nevertheless, they were not as direct as Russians. Such unusual directness of the Americans may be explained by the fact that it is always easier to be direct (even to confront a person) in writing than in person. Also it may be caused by a given context: fear of surgery, which may seem life threatening. It is worth noticing that even in such extreme situation the majority of the Americans used hedges and modals: "I would prefer not to have it. I don't want surgery" or "Is there any type of treatment you know of? I don't want surgery". One last expectation was not met. I expected that Russian subjects would not know some details related to a medical setting such as payment issues (Hypothesis 4). Overall, the results indicate that they are quite familiar with the payment procedure.

I found a lot of similarities between the two groups as to their perceptions of norms and as to their expectations at a medical consultation. Nonetheless, the study revealed some differences that may be due to the cultural schema of Russian immigrants that is "transferred" to their new environment. As Mori states, cultural norms/elements just like linguistic forms may be transferred from one's native to his/her new culture. For instance, at times Russians were so direct in making requests and refusals that they could be perceived as quite rude individuals. Therefore, an important pedagogical implication of this study is the necessity to teach Russian immigrants the appropriate in the American culture norms and manners for making requests and for expressing their disagreement. The data clearly show that Russian subjects value polite behavior and do not mean to be disrespectful. I believe that it is crucial to teach Russian immigrants how to use mitigators and modals in their speech. Even though all the Russian subjects were very proficient in English, I found on several occasions that their speech acts lacked hedges

and modals, which is normal according to their scripts. Another pedagogical implication is that Russian immigrants have to be taught that signing a consent form in the American medical setting is a normal procedure and that they should not perceive it as a way of reduction or elimination of doctors' liability.

I strongly support Schank and Abelson's idea that scripts are flexible and therefore it is possible to adjust them to a new culture. Nevertheless, it may not be easy, but oftentimes such adjustment is absolutely necessary to enable language learners to successfully communicate in their new environment. Further studies may shed more light on this phenomenon.

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Appendix

<u>Instruments for this study were originally used in Ranney (1991) (minor changes have been made).</u>

***Task 1*: Instructions for the free elicitations of scripts.**
Describe a typical conversation between a doctor and a patient in a doctor's office. In doing this, you can think back to various times when you have visited a doctor and think about what usually happened. Then tell what types of things a doctor usually says and does and what a patient usually does. You do not need to reveal your personal medical history. Simply give what you consider to be a typical conversation between an average doctor and an average patient who has a common illness, such as flu. You do not need to give the exact words of the conversation. Just tell what kinds of things the doctor and patient do in the order you would expect them to occur. For example, a typical conversation between a patient and the doctor's receptionist could be describe this way:

The patient walks up to the receptionist's desk.
The receptionist says hello and asks if she can help the patient.
The patient says hello, gives his/her name, and tells the receptionist that he/she has an appointment with the doctor.
The receptionist looks at the appointment book, says ok, and asks the patient to wait in the waiting room.

Note that the sequence may be different in specific situations. There are no right or wrong answers. Please give what you would consider a typical conversation from the time the doctor and the patient meet in the doctor's examining room.

***Task 2:* Instructions and instrument for cued elicitation.**

This is like the first task, except that you will be given possible parts of the conversation between the doctor and the patient. Read them and decide if they are typical things that could be said or done in the doctor's office or if they are not typical, and write T (typical) and NT (not typical) next to them. Then put typical parts in the order in which you would expect them to occur (please number them).

Materials: Script elements will be presented in random order on index cards.

The doctor greets the patient

The patient greets the doctor

The doctor asks the patient how he or she is

The patient asks the doctor how he or she is

The patient tells the doctor what illness he or she has

The patient tells the doctor that he or she is not well

The doctor asks the patient what happened

The doctor asks the patient to describe the symptoms (how the patient feels)

The patient describes his or her symptoms

The doctor examines the part of the patient's body that is not well

The doctor asks about illnesses the patient had in the past

The patient tells about illnesses he or she had in the past

The doctor asks additional questions about how the patient feels

The patient gives many details about how he or she feels

The doctor asks the patient when he or she started feeling ill

The patient tells the doctor when he or she started feeling ill

The doctor notes what the patient says (Says mmhm, okay, etc.)

The doctor asks if the patient has taken medications

The patient describes what medication he or she has already taken

The doctor looks at the patient's face to see what is wrong with the patient

The doctor asks what the patient did to cause the illness

The patient tells what he or she did to cause the illness

The doctor orders laboratory tests

The patient tells the doctor about other medical problems he or she has that are not related to the present illness

The doctor tells the patient that he or she feels the same as the patient when ill

The patient asks the doctor what the illness is

The doctor tells the patient the medical term for the illness he or she has

The patient asks the doctor to explain a medical term the doctor used

The doctor explains the medical term

The doctor tells the patient if the illness is serious or not

If the doctor suspects a very serious illness, he or she does not inform the patient about this

Even if the doctor suspects a very serious illness, he or she informs the patient about this

The doctor explains how to take the medication

The doctor tells the patient how to treat the illness

The patient thanks the doctor

The doctor thanks the patient

The doctor says goodbye

The patient says goodbye

Task 3: **Instructions and requests for the interview.**

I will ask you some general questions and I would like you to express your opinions freely and raise any other relevant comments.

Questions:

1. Do you have any comments on what we have done so far?
2. What advice would you give to someone who is going to see a doctor?
3. What do you call the person in white?
4. What kinds of talk or behavior are appropriate with a doctor? What is inappropriate?
5. In medical situations, who is responsible for choosing treatment?
6. Do doctors always ask for all the information they need?

7. Who asks more questions? Why?

8. Is it appropriate for patients to ask questions of the doctor? If so, when? If not, why not?

9. Are insurance/payment issues ever mentioned by doctors?

10. What makes for good communication between doctors and patients? What makes it poor?

11. Do you have any other comments on doctor-patient communication?

***Task 4*: Specific speech act forms.**

Please tell the exact words you expect in the following situations.

Questions:

1. The doctor walks into the room and wants to know what problems the patient has come to this clinic for. The doctor says:

2. The patient wants the doctor to prescribe medication, which the doctor has not given. The patient says:

3. The doctor says the patient has a cataract and the patient does not understand that word. The patient says:

4. The doctor says the disease must be treated with surgery but the patient does not want to have surgery. The patient says:

5. The doctor gives a quick explanation of the treatment but the patient has difficulty understanding it. The patient says:

6. The patient does not believe that the diagnosis is correct.
   He or she says:

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Abstract

The Meaning Construction of Time Lacuna In and Out of Amelio's *Lamerica*

This paper is a survey of the three interrelated parts that are at work in the meaning construction of time lacuna within *Lamerica*—both the film proper and its production. By "time lacuna," I am referring to various forms of biological, psychological, and socio-cultural discrepancies associated with the sense of time. The three integral elements are the narrative (the Albanian emigration to Italy in the 1990's, which is intertwined with the Italian emigration to the Americas in the 1950's and 1960's, and the actual trajectory of the plot and the characters), the narrator (the collective and individual interpretation of these two massive social movements by Gianni Amelio and his crew), and the narration (the cinematic transposition of the story).

In a departure from the theories of William H. Sewell, Jr., Anne E. Kane, Margaret R. Somers, and David Carr, which involve the use of cultural models to construct meaning, this paper begins with my analysis of the narrative and the narrator of the film. In the course of developing the script, the narrator's apprehension of time lacuna changes from a merely physical response to a socio-cultural one. For Amelio and his crew, the time lacuna problem is first manifested in the physical discrepancy between two different

cultures on the same planet. They respond by reviving a national (Italian) cultural model, namely, the *topos* of emigration, to blur the physical time lacuna and to highlight the socio-cultural time lacuna. In so doing, Amelio manages to make sense of the recent history of a foreign country (Albania). I also analyze this process in the light of Sewell's theory of culture as both system and practice in relation to Amelio's combination of personal and collective interpretations of the emigration *topos*.

Changing my focus from the production of the film to the film itself (the narration), I delve deeper into the dynamics and the process of meaning construction of time lacuna. The tension between two very different protagonists allows Amelio to address the time lacuna problem fully. While Spiro (the only person in the film who seems to preserve the memory of Italian emigration) is the old Italian prisoner who pretends to be an Albanian and, in his madness, believes he is only twenty years old, Gino (the ultimate representative of the young generation's "amnesia" about the nation's history) is gradually "Albanized" and loses the sense of socio-cultural time lacuna. Influences from the narrative and the narrator on the narration are noted throughout the analysis.

Overall, I suggest in this paper that Amelio and his crew, in their effort to recount a recent and foreign history by way of reviving a "remote' and national history, construct the various layers of meaning of time lacuna.

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The Meaning Construction of Time Lacuna In and Out of Amelio's *Lamerica*

Lamerica (1994) won numerous international film awards, including the Felix for Best European Film of the Year. Its director Gianni Amelio once commented: "The real driving force of the film is memory, which is necessary in order to rediscover in others—in the 'different'—our own origins, our own past, ourselves, and, if possible, a future."[1] Amelio made it clear that although he told the story of a foreign country and the history of a recent past, if not the present time, his intentions nonetheless lay in retelling a national and "remote" history–namely, the massive Italian emigration to the Americas after WWII–in an effort to regain the lost self consciousness and prepare hopefully for a future. This ambitious project sets out to address past facts, present problems, and future hopes within the narrator's home country (Italy) by way of recounting the present events of a foreign country (Albania). One question that follows logically is what device Amelio employed to accomplish this task. In this essay, I contend that the meaning construction of time lacuna in and out of the film plays the critical role. By "time lacuna," I am referring to various forms of biological, psychological, and socio-cultural discrepancies associated with the sense of time.[2] After a brief theoretical summary of meaning construction, I shall concentrate on three correlated parts that are at work creating time lacuna within the confines of the film and its production. The three integral elements are the narrative (the Albanian emigration to Italy in the 1990's, which is intertwined with the Italian emigration to the Americas in the 1950's and 1960's, and the actual trajectory

of the plot and the characters), the narrator (the collective and individual interpretations of these massive social movements by Amelio and his crew), and the narration (the cinematic transposition of the story).

First and foremost, I wish to delineate the theoretical grounds from which my subsequent analysis departs. Like William H. Sewell, Jr., Anne E. Kane, Margaret R. Somers, and David Carr,[3] I see meaning construction as a process in which people use cultural models to make sense of new experience. The cultural models are substantiated by the interplay between culture as system and culture as practice, and are exemplified by the device of narrative. More specifically, I embrace the notion of culture as a dialectic between a system of symbols and meanings with a certain coherence and definition and a set of empirical practices. I also emphasize the role of narration in forming collective and individual interpretations of a certain cultural phenomenon.

The first two aspects of the meaning construction of time lacuna in *Lamerica* that I shall address are the narrative and the narrator. As the interaction between the narrative and the narrator is ongoing, it is advantageous to analyze them together. Why did the Albanian exodus interest Amelio at all? How did he manage or fail to cope with the difficulties posed by recounting a history in progress? What happened behind the scenes that influenced the trajectory of the plot and the characters? What specific angle did he choose to represent a foreign history without being patronizing? How did his personal contact with the emigration *topos* affect the narrative? How did he perceive the reactions of the collective narrators, i.e., the post-Communist Albanians and the young Italians of the nineties? How does the idea of time lacuna appear and disappear as the director reconstructs an overarching historical continuity that spans two nations and two eras? In

what way did Amelio and his crew construct the various layers of the meaning of time lacuna?

Recalling the exodus of ten thousand Albanians to the coast of Puglia in August 1991, Amelio asserts that what struck him most were not the official images of the atrocity in the stadium, for instance, pumping water to quench the thirst of the crowds, etc., but "the hidden news that nobody reported." He went on to explain: "The day after their arrival, several Albanians were killed, crushed by cars as they crossed the expressway. They were not familiar with the situation. They had never seen an expressway, with so many cars on it. They didn't even know how to protect themselves. I did not choose to leave for Albania in cold blood to shoot a film. I would never have made it if the Albanians had not come to me." Clearly, the director's original intention was to address the time lacuna the Albanians experienced when they were suddenly thrust into the "present" as defined by Western standards. The first shade of the meaning of time lacuna is thus constructed. It is a "physical" one, being restricted in the sense that even though Italians and Albanians lived in the same world, there was a great discrepancy between their cultures. Amelio's inveterate humanism, which is arguably at work in all of his films, accounts to a great extent for this level of meaning construction. The pathos buried in this difference is powerful enough to create the desire to tell their story. Amelio was straightforward in admitting this desire: "What can push an entire population to abandon its own country? What do they leave behind? I decided to go to their home myself. It was a journey without anxiety and preconceived ideas. Of course, I wanted to learn whether it was a possible source of material for a film; above all, however, I wanted to understand." Amelio's first trip to Albania was made possible after Christmas of 1992 by the Italian

army, which distributed food and other necessities to the local people. This experience resulted in a proposed film project that would have been a fictional reconstruction of the vicissitudes of that philanthropic mission. However, this story was never developed into a script.

Even with the first-hand experience derived from that and numerous subsequent trips to Albania, Amelio and his screenwriters Andrea Porporati and Alessandro Sermoneta were challenged by the task of coping with ever-changing history in the making. Obviously, their original storyline had already become the plot for a "period film." Cars were no longer a novelty in Albania. To the contrary, the traffic was so noisy that the troupe could not sleep when they stayed at the Tirana Hotel. Their original sympathetic concept of a backward country suddenly being confronted by the modern reality had lost its freshness and intensity. Amelio needed another approach to depict this dramatic event, a more convincing representation of the time lacuna. While Amelio and his crew were staying at the Hotel Adriatik in the spring of 1993, a casual encounter with some tourists captured his attention. Immediately after the fall of Communism, Albania admitted not only the Italian soldiers who came on humanitarian missions, but also wheeler-dealers who were eager to try their luck in the lucrative import and export business. Meanwhile, Amelio had the idea of adapting the true story of an old doctor who spent years in prison as a forced laborer. Thus the script began to take shape.

Admittedly, this "up-to-date" material injected new life into the old story, but the most fascinating feature of Amelio's approach to the depiction of history in the making lies in evoking a *topos* that is universal, so that the physical time lacuna can be blurred and the association of a nation's history (that of Italy) with a foreign and present reality (that of

Albania) can be realized. Amelio and his production company ultimately ended up reviving a national cultural model, namely, the *topos* of emigration, to make sense of the recent history of a foreign country.

On one occasion, Amelio observed, "emigration, as a painful sentiment, has such strong roots in our culture that it winds up being commonplace." To put it another way, in Amelio's view, while the emigration *topos* tends to lose its intensity among contemporary youth owing to a national amnesia in face of the presumably painful experience of emigration and the relative distance in time, the Albanian immigration can actually serve as an educational vehicle to remind Italians of something that once happened on a large scale in their nation and is still happening in other parts of the world today. By using this device, Amelio endeavored to avoid patronizing a foreign history. He made it clear that the foreign setting of the story does not automatically demand a representation of the actual geography or the actual time period in any way. In a sense, if the reconstruction of recent history through free association with a remote history is common practice in historical narrative, recounting a national history in a foreign setting is far more challenging. Therefore, it is fitting for the director to use the emigration *topos* that both cultural communities can recognize and identify with. However, Amelio's contribution to the meaning construction of time lacuna does not stop at this level. Amelio continued to say: "I wanted to give it [emigration] back a sense of adventure and the buoyant spirit of those who go to some unknown place with a sense of freedom, leaving behind the past without too many regrets. It is those who stay that suffer, not those who leave." Rather than perpetuating the widespread notion that emigration to a foreign land is a painful choice, Amelio raises the consoling possibility, which may even

be reality, that emigrants actually experience simple pleasures, such as the prospect of leaving their troubles behind and starting new lives. As a consequence, Amelio gave a twist to the emigration *topos* and let the socio-cultural dimension of the meaning of time lacuna emerge.

The mechanism of the disappearance of physical time lacuna and the emergence of socio-cultural time lacuna can be better understood in terms of culture as both system and practice. For William Sewell, Jr., culture as a system is defined as "a category or aspect of social life that must be abstracted out from the complex reality of human existence," while culture as a practice is "a concrete and bounded world of beliefs and practices."[4] On the one hand, the employment of the emigration *topos* can be expected to evoke resentment among the contemporary Italian population and, not surprisingly, also among their counterparts in Albania. This happened only because the symbol itself preserves more or less determinant meanings–for instance, the presumably painful immigrant experiences in a foreign land, the poverty and the political atmosphere that forced the people to emigrate, etc. In the spirit of this line of argument, the physical time lacuna is successfully blurred, because both cultures ackwoledge this aspect of the symbol. On the other hand, the cultural system would have no existence apart from the succession of practices that instantiate, reproduce, or transform it. Sewell goes on to explain that there is only a "thin coherence" of the cultural system, i.e., "the fact that members of a semiotic community recognize a given set of symbolic oppositions does not determine what sort of statements or actions they will construct on the basis of their semiotic competence. Nor does it mean that they form a community in any fuller sense. They need not agree in their moral or emotional evaluations of given symbol."[5] Amelio's practice transforms the

archetypical emigration *topos* by creating a happy image of emigrants. In the process, the widely accepted conception (or preconception) of a "lamentable" time lacuna, which ironically was central to the first idea of the film, is brought into question.

What links the cultural system that gives the emigration *topos* a constant meaning and the cultural practice that changes it is the narrative. In this instance, the narrative is closely connected to the narrator.

The director's father left his family for Argentina when he was only two years old. Amelio confided: "Spiro/Talarico[6] 'wants' to see New York and justifies the change of travel plans with the cruelest sentence in the film: 'Rosa has a fever and the baby is too little. They cannot leave.' This is the reason why my father never made an 'act of reca' in Argentina, that my mother suffered from rheumatic fever and I was two years old. I really didn't know how to solve this 'mutation' of Spiro, who first looks everywhere for his wife and his son, and then leaves, a little bit unconscious, for *Lamerica*. My father gave me the right cue." Another vivid example of the time lacuna found in real life and in the director-narrator is the cleverly crafted title. Amelio remembered that after he suggested taking the apostrophe off the original title, which was simply "L'America," to indicate the illiteracy of the emigrants,[7] he found that in Elsa Morante's novel *The History* there is a similar episode in which the character Useppe thinks of "L'America" as "La Lamerica" with the same trick. Amelio reflected: "I read *The History* a long time ago, so I really didn't remember this particular part. Or perhaps it is sediment in my unconsciousness and resurfaces with time without my realizing it. In fact, my point of reference was the many letters of emigrants that I happened to read in the course of a lifetime. They were uncertain of their spelling." Once again, Amelio is connecting his narrative (the

misspelling of L'America and the real life experience) to the larger narration of the illiteracy of emigrants of the time (in this case, it is a literary narration, Morante's novel).

By incorporating personal experience into a collective narrative, the time lacuna of two epochs is blurred, but not necessarily in a positive sense in the construction of the film. It is quite possible that the director-narrator is playing a double game with the audience at this point, in that by being "personal" he might either justify or deny this transformation from "I" to "we" in the narrative. He could justify the process by claiming that after all it is only from an individual's action and experience that a symbolic community comes into being. Conversely, he could also deny the process cynically by admitting his own limitations, thereby confining the film to a personal, or at most, a group rendering of the time lacuna. Whether or not this explanation of the meaning of time lacuna in the emigration *topos* can make its way into the larger narrative is historically contingent and beyond the scope of the current essay.

As David Carr writes, "narrative requires narration; and this activity is not just a recounting of events but a recounting informed by a certain kind of superior knowledge."[8] What distinguishes Amelio the narrator from Amelio the chronicler lies in "a certain kind of superior knowledge," more concretely, the "adoption of an anticipated future-retrospective point of view on the present," and, furthermore, the narratives as a constitutive part of human action.[9] This links directly to the opening quote of this essay, in which Amelio admitted his future-oriented purpose in recounting the Albanian emigration.[10] In addition, it also helps to explain Amelio's persistent use of cinematic transposition of personal encounters in Albania[11]: he attempts to demonstrate that his narrative does not arbitrarily impose on the events of the past, as many critics and

audience would contend in a simple transplantation of personal experience, but is itself part of the fabric of post-Communist Albanian life. I will illustrate this point with examples from the narration, that is, the film, especially in relation to the meaning construction of time lacuna.

The character of Spiro/Michele is derived from an Albanian doctor's account of his life in one of the former regime's prisons with common Italian prisoners and Fascist deserters. "The first idea was to recount the journey of the youth, who is called to Albania to take this old man home. This old man is his relative and has been released from the work camp after the fall of the regime. However, the relationship between the two sounds false and conventional, and in the end we decided that the old man would be sought for a purpose, namely, to cover the business of our two compatriot dealers. At this point, we asked ourselves what would a man be like after living through fascism, the War, loss, mourning, and forty years of imprisonment. Mad, he had to be mad. But we would love to imagine his illness as an ailment of the soul rather than the mind, a poetic one rather than a biological one. The old Italian, once out of the mine, forgets the suffering years and rejects them. For him, the present day is the end of the war. And he is still twenty years old. He is not old. He has all his life ahead of him. […] The old man completes for us a exemplary journey through the dictatorships, first Fascist then Communist, and incarnates the central statement of the film: 'We are all Albanians.'" When Amelio includes in the film the image of the old man showing his age by opening his ten fingers twice, he shows the tangibility of the old man's madness and the physical, psychological, and socio-cultural layers of time lacuna that he experiences after years of imprisonment. The narrative that Amelio gives Spiro thus suggests that his confusions have far more to

do with time than with age. This proves to be effective precisely because of the mixing of both the familiarity of the character and the distancing stance in analyzing the character.

First of all, while Gino[12] represents the person who lives "in the moment" and is fully aware of the socio-cultural time lacuna, to Spiro it actually does not exist. Biologically he ages, but mentally he remains the same person who left Italy at the end of the War. Secondly and in relation to the first point, it is in this sense that Fiore[13] arrogantly declares: "The Albanians are children. If an Italian says the sea is made of wine, they'd go and drink it." A parallel is drawn between the innocence of children and that of the old. The cyclical nature of human life is exploited to the fullest in the creation of the old man. Furthermore, Spiro has to be mad in order to live through fascism, the War, Communist dictatorship, imprisonment, and the fall of the regime. We can hardly decide whether the interpretative or the strategic aspect of action could be employed to explain his madness.[14] Is the madness a "typification" of the specific actions of a person that has undergone so many disasters, considering the great chance hidden in it? Or is the madness an "invention," considering that only through such behavior could one cope with all those changing social circumstances? Or is the madness a "strategy," considering the hypothesis that he is not mad at all but simply behaving as if he were to gain the greatest advantage–first to get out of the mine; then to get job by pretending to be a homeless Albanian; and again by deliberately blurring the time lacuna to justify his departure for America without his wife and his son.[15] Or is the madness a combination of interpretation and strategy, considering the possibility that in his madness he cannot even tell whether he realizes the time lacuna?[16] Lastly, Spiro extends the confusion beyond the realm of time to that of the place. While in reality the *Partizani*[17] heads to Italy, he

believes that they are going to America, or, better, *Lamerica*. This single thread knits together, geographically speaking, the national past and the foreign present.

Another male protagonist, Gino, is a good contrasting character to Spiro. Gino exists in the moment, living his life in an ever-changing *now,* and subjects himself to temporal sequence. One of the foremost points Amelio wants to address in his cinematic narration involves Gino. In his travels all over Albania, Gino serves not only as a witness to the chaos the country is experiencing, but also, and more significantly for the director, as one "in reverse," i.e., a witness "to the rediscovery of the sense of history."[18] The loss of memory that constitutes the madness of Spiro also occurs in Gino, who is ignorant of past national emigration and consequently not capable of comprehending Spiro's madness at first. The film, in this sense, can be construed as an educational journey that slowly strips the material aspects of being Italian from Gino to the point where he is no longer any different from an Albanian. It is not without difficulty that Amelio came to forge these characteristics into the character of Gino.

As the director has confessed on numerous occasions, he missed Antonio[19] so much that he felt an unusual urge to call Enrico Lo Verso nearly every day during the post-production of their first collaboration. Consequently, he originally wrote Enrico, named after the actor in the first draft of the script, as "another Antonio, the *carabiniere* who does not know and does not want to maintain a bureaucratic attitude toward the two children who are lost in their journey through Italy." However, Amelio would soon abandon this gambit: "I realized that if one had left Enrico in the center of the story without transforming him into Gino, there would have been no possibility of evolution in his relationship with Spiro. The young and the old, fundamentally similar, would really

have nothing to say to each other. And the film would have to rely on external and mechanical events to move forward." The present Gino—cynical, ignorant, arrogant, and intolerant—typifies the amnesia of the current generation of young Italians, which is in turn a personal interpretation of Amelio. What Amelio wanted to do was to reconstruct the tensions of the past and help to recover a sense of history. The first step is naturally to reduce Gino from an Italian of the nineties to an Albanian of the nineties and thus symbolically to an Italian of the fifties. The four tires of Gino's car are stolen; the bus that can take them to the port is sequestered; Fiore fires Gino because the whole scheme falls through; his passport is held by the local police. The moment that the audience sees Gino emerging from a scene on the crowed *Partizani*, pale, desolate, wandering aimlessly among the Albanians in search of a place to rest, we understand that the narrative is acquiring significance. The "Albanization" of Italians reaches a juncture at which the past and present converge and a future of hope lies ahead. The scene in which a little girl teaches a group of children Italian marks the climax of Gino's descent. The words "hand...bread...sea...boat..." take on new meaning for Gino, who unconsciously moves his lips to learn his mother tongue once more. Gino's symbolic descent to hell eventually prepares him for an ascent , i.e., he regains the sense of history. This signifies one of the central themes of the film—the enlightenment after becoming aware of "our 'Albanian' past" (Amelio's term).

The discrepancy between TV reality and the "real" reality of Italy allows the director to explore another major problem when narrating the time lacuna, namely, the mechanism deployed to create the time lacuna. Under the previous Communist regime, Albanians were forbidden to watch Italian TV programs, but nevertheless they managed

to do so. We learn from the film that times have really changed. Perhaps the most enduring image of this influence is the one in which a little girl dances in the style of Michael Jackson. The rock dancer's mother even encourages Gino to take her daughter to Italy to dance on Italian TV programs. Another interesting scene is the journey by truck during which several Albanians discuss with Gino the possibility of playing for famous soccer teams. Gino, who lives the "real" reality of Italy, responds reluctantly and, from time to time, spits out cynical remarks such as "Yeah, football players, football players . . . if you are lucky, in Italy, they let you wash the dishes. Already there are Moroccans, Poles, and all those Blacks . . . . Come . . . come . . . ." Here, Amelio employed the interplay between the actual and the virtual dimensions of TV to generate a sense of loss of time. Albania's isolation from Western culture is penetrated by Italian TV reality, which renders the time lacuna even more poignant. Amelio did not overindulge in this cliché, even though it is universally true; instead, he went one step farther in the same vein with Spiro's willingness to depart for America, suggesting that there indeed is a grain of truth in make-believe. After all, as one poor Albanian claims: "Better washing dishes in Italy than starving in Albania . . . ."

As an integral part of the art of film, images are sometimes better than words in conveying the meanings of time lacuna. This is particularly apparent in the depiction of space. Citing from Husserl, Carr suggests that "present and past function together in the perception of time somewhat as do foreground and background or focus and horizon in spatial perception. To see a thing is to see it against a spatial background which extends behind it and away from it and from which it stands out."[20] Amelio was frank in expressing his concern about the "innocence" that was bound to be lost in the making of

Lamerica, since obviously as he put it, "no matter how hard I tried, I would never be an Albanian. I would never be invisible, nor would I have their purity of gaze. In the last days of on-the-spot investigation, I thought that to fake the contrary would be cheating: I arrived in a place that I would not have been able to know or grasp to the bottom, and yet I invaded, with the entire substantial crew, a country where cinema is nearly nonexistent. What 'innocence' could it remain? It is for this that I wanted to use CinemaScope, an 'epic' format that has little reality and even less innocence." To be sure, CinemaScope enhances the time-space dimension of the narrative. During the journey by truck, the vast and quiet landscape contrasts dramatically with the narrow and noisy truck. This contrast could be translated into the harsh conflict between the tranquil eternity with the tormenting present. Perhaps the best illustration of this space-time metaphor is found in the last episode of the film. The *Partizani*, filled with emigrants, travels on the open sea. The present connects the past to the future. The image evokes not only the Italian emigrants who went to America by ship, but also the harsh reality of Albania, and the sweet hope of the future that the director eloquently captures with passing images of some Albanians' faces.

As Masoni and Vecchi correctly observe, "he [Amelio] needs to let himself down to comprehend and verify whether autobiography is translatable, and to secure a measure—nearly a harmony between what one has lived and what the work has lived—that in a fecund way will eventually rests in the film version."[21] Only through this dynamic exchange between his autobiography, consisting mostly of personal encounters in Albania and his memory of national history, and the narrative proper through the

temporal course of events did he managed to maintain a convincing balance regarding the meaning construction of time lacuna within the end product, the final narration, the film.

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[1] All English translations are mine. Interviews and memoirs of Gianni Amelio are excerpted from Pietra Detassis (ed.), *Lamerica, Film e storia del film.*
[2] In the subsequent analysis I assume that within the concept of "time lacuna" there are different types and degrees. Therefore, I refrained from using the plural form of the word, "time lacunae."
[3] See Sewell "The Concept(s) of Culture" in *Beyond the Cultural Turn*, ed. Bonnell and Hunt; Kane, "Theorizing Meaning Construction in Social Movement: Symbolic Structures and Interpretation during the Irish Land War, 1879-1882" in *Sociology Theory* 15: 3 November 1997; Somers, "The Privatization of Citizenship: How to Unthink a Knowledge Culture" in *Beyond the Cultural Turn*, ed. Bonnell and Hunt; Carr, *Time, Narrative, and History*
[4] See Sewell, p. 46
[5] Ibid., p. 47
[6] The old Italian man that is held prisoner in Albania. He is picked up by a wheeler-dealer to be head of a fake trade company. "Spiro" is his Albanian name while "Michele" is his true Italian name.
[7] In Italian, unlike in English, a definite article is always added before the name of a country. Italian definite articles have several forms that accomodate different linguistic situations. In this case, an apostrophe is required because "America" is a noun that begins with a vowel.
[8] See Carr, p. 59
[9] Ibid., p. 60-61
[10] A parallel is drawn between the future of Italy of the 1950's and the future of Albania of the 1990's.
[11] Amelio himself is not certain about this transplantation, as he expresses in these words: "It is the first time I chose to make a film outside Italy, outside a landscape and manners with which I'm familiar. I asked myself if also in Albania I would have chosen not to emphasize what I saw around me and the characters, as I did in *Stolen Children*, *Open Doors*, and *Blow to the Heart*. Or is it the fact that I was in a foreign, unknown, let's say, "exotic" country, would have pushed me to force the gaze?"
[12] The young Italian wheeler-dealer who is stuck with Spiro on their way back to Italy, after the fake trade business falls through.
[13] The middle-aged Italian wheeler-dealer who takes Spiro out of the prison and abandons Gino when the trade fails.
[14] I follow Jeffrey C. Alexander's micro empirical model of action that distinguishes between the "interpretive" dimension (which in turn divides into two parts: typification

and invention) and the "strategic" dimension of human actions. See J.C. Alexander, *Action and Its Environment*, p. 311-316

[15] I admit that this is not a very convincing hypothesis. Nevertheless, the likelihood is justified by the diverse cinematic and life experience of the audience.

[16] In the subsequent analysis, I always assume that Spiro's madness is real; that is to say, his madness is more an interpretive action of the environment.

[17] The ship that appears at the end of the film. It is loaded with Albanians and sails towards Italy.

[18] See Antonio Vitti, "*Albanitaliamerica: viaggio come sordo sogno in* Lamerica *di Gianni Amelio*," p.252, in *Italica*, Vol. 73, Num.2 (1996)

[19] Antonio is the *carabiniere* in *Stolen Children* (1992), portrayed by actor Enrico Lo Verso, who later took the role of Gino. *Carabiniere* is a member of the Italian national police force.

[20] See Carr, p. 21

[21] See Tullio Masoni and Paolo Vecchi, "Poetica del ritardo, Gianni Amelio nel cinema italiano," in T. Masoni and P. Vecchi (ed.), *Gianni Amelio: Le regole e il gioco*, p. 21

Shopping Center as an Immigrant Enclave:

The Construction of Ethnic Identity in Public Spaces in Singapore

Paper submitted to the panel of "Ethnic Studies"

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Shopping Center as an Immigrant Enclave:

The Construction of Ethnic Identity in Public Spaces in Singapore

ABSTRACT

The focus of this paper is to examine the role of public space as an immigrant enclave in the creation of ethnic identities. It also seeks to understand the different perceptions about the significance of place and the salience of ethnic identity held by people with the same ethnic origin. This paper highlights limitations that exist in the current paradigms of ethnic identities and immigrant enclaves, which focus on a monolithic interpretation of ethnic identities among immigrants regardless of other social identities and social standing. Using a case study in a Singaporean context, this paper underscores an alternative viewpoint in ethnic identity formation. By presenting the gradual transformation of a previously high-end shopping center to a "weekend immigrant enclave", this paper identifies three significant roles that the public space plays in the construction of ethnic identity. Firstly, it provides a setting for routine activities which helps to create and consolidate ethnic identities among immigrants. Secondly, it provides a stage for the presentation of an ideal identity in order for the immigrants to confront the generally-held stereotypes. Thirdly, the place itself transforms into a symbol representing a particular identity. However, the symbol is considered negative as it is often associated with the unskilled immigrants and the place is deliberately avoided by their professional counterparts as a consequence. In this sense, although the public space plays significant roles in the construction of ethnic identity, it is perceived and valued differently by people even with the same ethnic origin. For the low-skilled migrant workers, ethnic identity is more of an asset. The overt expression of ethnic identity in the public space is meaningful to them as they may secure basic personal/ group welfare despite their inferior social status. For the professionals, ethnic identity is of less salience. More often than not, the professionals choose to de-emphasize their ethnic origin and ethnic identity to avoid the "embarrassment" of being associated with their low-skilled counterparts. The public realm is not the professionals' territory to present identity. They are only occasional visitors to the enclave when they experience nostalgia.

INTRODUCTION

Orchard Road is Singapore's Main Street (Ho 1989; Yeung and Savage 1995), "a glitzy display of the biggest and the best" (The Strait Times, 21 November 2001). With its high density of hotels, nightclubs, shopping centers and dining outlets, the "Orchardscape"[1] lies true to its image as equivalent to New York's Fifth Avenue (Allentown Morning Call, 21 November 2001) and earns itself a reputation of being Singapore's premier shopping district (The Strait Times, 21 November 2001). Lucky Plaza, a shopping center situated in the heart of Orchard Road, is one big mismatch that crashes the image of Orchard being a symbol of class and modernity. It is a famous immigrant enclave that exclusively caters to Filipinos in Singapore. From the 1980s, Lucky Plaza had become well-known for being a "little Manila" on Sundays as it can be easily associated with "Baclaran" or "Divisoria", downtown shopping belts in Manila, by Filipino customers (Yeoh *et al.* 1998: 598). Step inside Lucky Plaza, there are no luxury commodities which can be easily found in other shopping centers along Orchard, the shops there are predominantly remittance centers, ethnic food outlets and small grocery stores selling Filipino products. On Sundays, boisterous conversation in Tagalog or other Philippine dialects take over the use of English. People lean against the handrails on each floor, while joyful laughter bursting out from time to time. Young Filipino seamen wearing white crisp uniforms walk down the escalators, complaining about the crowdedness. Remittance centers are overflowing with different kinds of noise and activities. While waiting in the queue to be served, women start to chatter, commenting on the food they just shared with each other, gossiping on someone's relationship, sharing experiences of coping with mean bosses and discussing the plots and twists of a soap show they watched the previous night. Restaurants usually have thriving business. Sipping a cup of icy *halo-halo* and relaxing from the whole week's tiring chores, Lucky Plaza is the most popular rendezvous among Filipinos on weekends.

[1] Yeung and Savage's term, it is used in "reference to Orchard Road and the network of minor roads in its vicinity". (1995:69)

Interestingly, however, Lucky Plaza was not designed to be an immigrant enclave when it was built in 1978. It used to be one of the "ultra-modern" and "high-end" shopping centers in the early 1980s when modern retailing patterns just started to develop in Singapore. It is located in the central area of Orchard Road and is proximate to the high-income residential areas of Tanglin and Cairnhill. Lucky Plaza used to be patronized by wealthy local shoppers as well as foreign tourists and it was famous for selling luxury products such as jewelry, antiques, handicrafts and branded watches (Sim 1984). However, Lucky Plaza's status of being high-end had diminished. This was partly because more recent and advanced departmental stores such as Takashimaya has lured away the customers, more importantly, Lucky Plaza was taken over by Filipino workers and the shops previously selling luxury goods had given way to Filipino products. Sarah, a Chinese shop owner at Lucky Plaza, commented that:

> *Lucky Plaza used to cater very much to the tourists, Japanese and ang mohs [Caucasians] used to frequent this place, doing tourist business especially in the early years, during the early 1980s. The [Filipina] maids started coming to buy luggage and big bags to put the things they want to send back to Philippines…before we really know it, 'Boom'! Over the years we see more and more shops selling things to them [Filipinos], especially on this top few levels, very popular with them.*[2]

Gradually, the shops in Lucky Plaza started to provide remittance services, delivery services to the Philippines. The Philippine National Bank also opened a branch in the second floor of Lucky Plaza to serve Filipino customers in the early 1990s. Authentic Filipino food and products have also dragged a huge crowd of Filipinos every Sunday. As the "hotchpotch of shops create a bazaar feel", in Lucky Plaza, "a new subculture has grown up around [Filipino] workers—remittance companies where the Filipinos can send money home, snack bars serving Filipino food and IDD card phones from which they can make regular calls home" (the Strait Times, 20 March 1989; 20 April 1995). Because Lucky Plaza's appearance of being a Filipino enclave has greatly contradicted the representation of Orchard being the heart and soul of the felicitous

[2] Quoted from Wong 1999, p.50

urban lifestyles that contemporary Singaporeans enjoy, it is widely considered as "already lost its class" (Business World, 6 Feb 1996) and "became a social nuisance" (Wong 1999: 61) by the locals.

This overt transformation of Lucky Plaza from a shopping center into an immigrant enclave has attracted the attention of both the local media[3] and the academics. Field addressed this phenomenon from a planner's perspective. The reason why Lucky Plaza became such a popular meeting place is that it enjoys an excellent relationship with the street and its surroundings which promote informal social interaction (Field 1992:111). Maybe the design of the shopping center does play an important role in determining the general popularity of particular spaces and in establishing their respective constituencies, but Field could not fully answer the question that was raised by himself: "What is it about these locations that promotes these exclusionary characteristics?" (Field 1992: 109). In Yeoh's study of gender and migration, she used Lucky Plaza as an example of showing how marginalized female workers "strategically" colonize a shopping center in order to negotiate and contest public domains where they are discriminated due to their inferior social status (Yeoh 1998). In this sense, this "weekend ethnic enclave" of Lucky Plaza has virtually become a contested "battlefield" for the foreign workers to confront the public rather than being a bonding place for a deprived minority. However, in either case, the workers' tacit strategy of claiming a prime public space does not help them to gain a certain degree of dignity and respect, rather, "the spatial constructions of the foreign worker as 'other' further entrench the excluded identity" (Yeoh *et al*. 1998: 594).

This paper will study the phenomenon from a different angle by connecting the roles that Lucky Plaza plays as an immigrant enclave with the construction of a particular identity. More specifically, this paper seeks to understand why Lucky Plaza has great significance to the Filipino workers and how it contributes to the

[3] See various issues in the Strait Times, Reuters News, Business Times Singapore, South China Morning Post, Business World from 1980 onwards.

construction of ethnic identity. While previous research often assumes a monolithic interpretation of ethnic identities among immigrants regardless of their social identities and social standing, this paper will present a patterned difference held by people with the same ethnic origin regarding the significance of the enclave and the salience of ethnic identity. I argue that there are three roles at work in the construction of ethnic identity in the public space as an immigrant enclave: Firstly, the enclave provides a setting for routine activities to take place which helps to create and consolidate a shared identity among immigrants. Secondly, it provides a stage for the presentation of an ideal identity in order for the immigrants to confront the generally-held stereotypes. Thirdly, the place itself transforms into a stigmatized symbol as it is often associated with the unskilled immigrants and inferior social status. Consequently, the place is deliberately avoided by their professional counterparts. In this sense, although this enclave plays significant a role in the construction of ethnic identity, it is perceived and valued differently by people even with the same ethnic origin. For the low-skilled migrant workers, ethnic identity is more of an asset. The overt expression of ethnic identity in the public space is meaningful to them as they may secure basic personal/ group welfare despite their inferior social status. For the professionals, ethnic identity is of less salience. More often than not, the professionals choose to de-emphasize their ethnic origin and ethnic identity to avoid the "embarrassment" of being associated with their low-skilled counterparts. The public realm is not the professionals' territory to present identity. They are only occasional visitors to the enclave when they experience nostalgia.

IMMIGRANT ENCLAVE AND ETHNIC IDENTITY

Singapore is a city-state comprising immigrants with diversified ethnic origins. Since the colonial era, it was already a society that was constituted by inhabitants along various ethnic lines which presented an image of itself as being socially and ethnically heterogeneous. Ethnic enclaves were gradually developed based on the residential segregation of different immigrants coming from East-, South- and

Southeast Asia. The enclaves were further regulated by the Raffles Town Plan of 1928. The government claimed the area immediately north of the river, while the expanding commercial sectors occupied the south area of the river. The European quarter took its site on the north side of the Singapore River, and the Arab quarter was around the Sultan's mosque. The Indian and Chinese trading communities were allocated along the Singapore River frontage near the former commercial core of the city. This plan greatly promoted ethnic separation and reinforced the ethnic residential concentration, which can still be traced until the present city landscape. The Chinese settlement was referred to as "Chinatown"; the Indian residence was named "Little India", whereas the Malays could be found around the Geylang Serai area, known as the "Malay Village" (Savage 1992; King 1995; Ackermann 1999). After Singapore's independence, with the implementation of the Public Housing Policy in order to pursue a multiethnic ideology, these former ethnic enclaves as residential spaces have greatly declined and what have remained are basically small-scale business. Chinatown and Little India are now even designated as preserved cultural heritages and mainly serve tourist purposes (Kowk *et al. 2000*).

Since the 1990s, Singapore has emerged as one of the largest importers of migrant workers in Asia. Both skilled and unskilled labor was imported intensively to this small island for a sustainable and stable employment growth. Professionals are considered as valuable human resources and they are encouraged to immigrate to Singapore in order to expand the talent pool and to make up for a brain drain (See: Chan 1995; Lai 2002; Tan *et al.* 2001; Chia et al. 2004; Yeo 1999; The Straits Times 24 Oct 2001; 17 Aug 2004). On the other hand, unskilled labor coming from developing countries such as the Philippines, Indonesia, Sri-Lanka, Thailand, India and Myanmar (Yeoh *at al.* 1998: 584) are treated with great difference as compared to the professionals. To most Singaporeans, these unskilled workers symbolize economic backwardness of their home country. Their appearance in Singapore has also been considered to have brought about some negative effects to the social,

political as well as economic aspects (Chua 1995:65; Yeo 1999:49-50).[4] Therefore, although the appearance of the unskilled workers has helped to boost the productivity of Singapore's economy in many aspects, they are still receiving unequal treatment as compared to the professionals and are labeled negatively. These unskilled workers are facing hostile situations in Singapore as they have to suffer from low-payment, long working hours without day-offs, heavy workload and so on (Yeoh *et al.* 1997: 107). The unskilled workers are not allowed to settle permanently in Singapore, nor can they bring their families along with them. Singapore's foreign labor policy restricts the entry of unskilled or low-skilled workers to only limited sectors and prohibits their settlement in Singapore and they are used only to meet the domestic labor shortage (Cabilao, 1998: 4-5). In her research on Filipino maids in Singapore, Yeoh described:

> *It is when this situational reality hits these Filipina workers that mild to severe depression sets in. Combined with the culture shock of living in a foreign country (hardly a day-off from work, the strange language, strange customs, strange diet, the sometimes unrealistic expectations of family back home for immediate dollar remittances), they sink deeper into depression. (Yeoh et al. 1997: 107)*

An immigrant enclave is always a harbor for the unskilled immigrants in the process of adaptation to a new society. It provides group membership as a form of a support system through familiarity of the people and ways available to the migrants (See Allodi 1978; Salvendy 1983). From an economic perspective, immigrant enclaves, usually accompanied by a distinct enclave business, cater exclusively to an ethnic clientele and thus contribute to the division of a segmented labor market. At the meantime, they provide platforms for the furthering of the immigrants' social and economic mobility. Politically, immigrant enclaves offer a location for a collective strategy of self-defense to take place in order to change, although in some ways it consolidates, the marginal status of the immigrants in the host society. Psychologically, immigrant enclaves assure the immigrants with a sense of identity and a sense of

[4] It has been reported that the Thai workers congregated Golden Mile Complex, one shopping center along Beach Road in Singapore, always initiated gang fights around the neighborhood and sometimes it led to bleeding and killing (the Strait Times, 27 July 1997). Filipino maids are usually portrayed as "sexually immoral" (Yeoh et al. 1998: 593-4) or even potential murderers (Hilsdon 2000).

belonging, and thus facilitate their adaptation to a new society by providing necessary orientations and erasing their insecurity and anxiety (Portes *et al*. 2001).

However, establishing an immigrant enclave in this Singaporean context is extremely difficult for the domestic workers because they must live in their employers' house and their activities are closely monitored and constrained by employers to prevent them from becoming criminals, getting pregnant or running away (Gonzalez 1998:108; Tolentino 1996: 59-60; Stasiulis 1996: 8-9). Consequently, the inability of the Filipino workers in Singapore to form a residential space following ethnic lines has led to the appearance of another form of immigrant enclave, an enclave transformed from a public shopping center—Lucky Plaza.

However, it is also important to identify a patterned difference between the Filipino professionals and the unskilled workers. Lucky Plaza as an immigrant enclave was created by the unskilled workers and does not possess the same significance for Filipino professionals. Portes pointed out that the professionals tend to 'disappear' in a cultural sense after their arrival in the new society because they acculturate in a more cosmopolitan fashion. Besides, they generally do not create spatially concentrated communities, but they are dispersed following different career paths (Portes *et al.* 2001). Facing this difference, immigrants from the same origin do not necessarily share the similar emotional attachment to the enclaves, nor will they perceive the enclaves with the same salience. Similar disparities between the unskilled and skilled labor can also be found in their consciousness about ethnic identities.

While the theories of ethnic identities have shifted from both "primordial" and "circumstantial" perspectives, a more recent approach has been focusing on the construction of ethnic identity. This new approach emphasizes that ethnicity is dual in nature, in a sense that it takes both primordial and circumstantial traits; both situational selected and imposed imperatives (Erikson 1993; Nagel 1994; Cornell 1996; Cornell *at al.* 1998; Spickard *et al.* 2000). This constructionist perspective recognizes the way in which ethnic identities are negotiated and mobilized in a

dynamic manner in reaction to political and economic incentives; at the same time, it addresses the indispensable role of ascriptive attachments in defining ethnic identities. While the whole body of literature of ethnic identity is rich and insightful, it sometimes assumes the homogeneity of ethnicity and that ethnic identity is monolithic. In other words, members of an ethnic group are believed to have a shared perception of their ethnic identity and this identity is of the same importance and relevance among people. From this perspective, members of an ethnic group value the communal cultural ties such as languages, customs and religions in a similar fashion; and the members will also respond to surrounding environments by over- or under-communicating their ethnic identities in a collective manner. This assumption of a holistic ethnic identity has a strong influence on the study of migration and immigrant identity as it suggests that immigrants as menial labor tend to congregate based on cultural ties or economic interests and react to circumstances in collective action. However, as we have noted before, the skilled labor must be distinguished from the unskilled labor because there are great differences that lie in the "periodicity, the number of dependants, the housing and social conditions" as well as "the disproportionately large economic significance and potential political consequences on the host communities" (Yeoh *et al.* 1998: 160). In the case of Lucky Plaza, a different perception can be easily identified regarding the significance of this enclave and the salience of ethnic identity held by people with the same ethnic origin. As I claimed before, Lucky Plaza has played three significant roles in the construction of ethnic identify for the unskilled Filipino workers. In the following section, I will illustrate these roles with greater details and also demonstrate the disparate perceptions held by the two parties of immigrants. In order to support my arguments, I will draw information from the filed work that has been carried out between February to August 2004. In-depth interviews were conducted with 10 Filipinos, including 8 domestic workers and 2 professionals. In addition, twenty life stories written by the domestic workers were collected. Participant observation at Lucky Plaza during Sundays and weekdays was also undertaken. Newspaper accounts (from 1985 onwards) relating to domestic workers in Singapore were also examined as

supplementary sources.

ACTIVITIES IN LUCKY PLAZA

Lucky Plaza becomes especially prominent on Sundays as they are the only off-days for the unskilled workers in Singapore. In the words of Anna, a Filipino domestic worker who frequents Lucky Plaza:

> *I have only Sundays off, sometimes only two Sundays in a month so of course I want to do so many things. Lucky Plaza is a good place to spend my time, so little time. I can do so many things there. I go as and when is convenient for me.*

Meeting friends and relatives have been the most frequently mentioned activity in the interviews I have conducted. It can also be considered as a starting point of Filipinos' Sunday activities.[5] As Ninfa told me that:

> *Usually we come here to meet our friends, and the only place we meet them is Lucky Plaza. Because this is the meeting place for Filipino here.*

After meeting with friends, the workers will move together to the remittance centers to send money back to the Philippines or to the grocery shops purchasing Filipino products for daily uses. Lucky Plaza is widely known as one of the places where workers can send money to another country at the lowest price and this is the only place for them to buy authentic Filipino products. Ninfa, a domestic worker who has lived in Singapore for eight years, is a loyal customer of Filipino products:

> *I need to buy personal thing, Filipino products. I never use a Singapore product; I am still using a Filipino product. It's not the price, it's the products.*

These products are basically groceries, snacks, pocket books printed in Filipino, local music and movies, and clothes (not necessarily made in the Philippines). Apart from these, cheap suitcases and luggage, phone cards, perfumes, watches, jewels are also welcomed by the customers. But the latter are not the main items for purchase for

[5] Some of the Filipino workers will meet up with each other first at churches on Sunday morning, and then go to Lucky Plaza together after their Sunday Masses.

most of the Filipinos, who just want to have a little comfort from their home country to heal bitter homesickness. Eating is very important amongst all the activities taking place in Lucky Plaza. Food is always a prominent ethnic marker. One's dining habit entails great geographical, cultural and religious differences, therefore it is often considered to be a key actor that delimits boundaries (See Lai 1995: 50; Chua *et al*. 2003). *Kabayan* Restaurant and *GP Asian* Restaurant are the most famous restaurants in Lucky Plaza, supported by both Filipinos and customers with different nationalities.

Chatting is another main activity through which the maids maintain relations with their friends and obtain and exchange information. At the same time, ethnic awareness is awakening through two channels: the use of Filipino languages as well as the story-telling and stereotype-building. Language is an indicative ethnic marker as it reflects more complex social, cultural and historical backgrounds. For a lot of times, different usage of language can be the first clash one suffers from a new environment. In Lucky Plaza on Sundays, the "official language" of English automatically switches into Philippine dialects unless the workers are talking to a non-Filipino. *"Because when we at home, we talk all in English, right? And we come down here, no English anymore!"* said Ninfa. This transformation of language contributes to the "exoticness" and "outside-ness" for most Singaporeans. Erikson argued that "linguistic retention enables a minority to remain distinctive, and simultaneously it prevents the group from achieving equality in a country with another official language" (1993:142). The workers' extensive use of Filipino in Lucky Plaza does distinguish them from the others, and at the same time delimits boundaries that are not so easy to cross.

Story-telling and stereotype-building are potent means in defining an ethnic group and building up a shared cognition of norms, morals and regulations among group members. The circulation of the stories and stereotypes that are generated also provide "recipes" for handling certain situations in order to attain certain results and

function as references or guidelines for one's behavior. The common stereotypes of the Filipino workers held toward outsiders are: Indians and Bangladeshis — undignified, low-standard, dangerous (hence they should keep away from them); Chinese (or Chinese Singaporean) — mean and strict; Muslim — very strict, less freedom (hence they should be careful working for Chinese or Muslim employers); expatriates (Caucasians) — generous, good boss (therefore in terms of finding an ideal employer, expats are always of the highest priority).[6] Certain life experiences and coping strategies are also circulating amongst the workers as one way of socialization.

The examples above illustrate how Lucky Plaza has provided a setting for routine activities to take place, which helps to create and consolidate ethnic identities among immigrants. These routine activities serve as a base where greater interethnic communications as well as crossethnic interaction take place. Lucky Plaza also functions to meet the basic living needs for the immigrants. Services like remittance, selling local products and food, ensure immigrants of an ethnic-based support system. These basic supportive assistances make sure that immigrants can have their basic needs satisfied, a primary network established and these also provide them with the necessary orientation of the host country and reassure them with a sense that even in this foreign country, one can still find "home".

THE PRESENTATION OF AN 'IDEAL' IDENTITY

Public spaces imply openness and also provide a stage for public life (See Goffman 1959; Whyte 1990; Zukin 1995; Chua 1992, 2003; Marcus *et al.* 1997; Low 1999). The presence of different groups in public spaces cultivates interaction and interconnection among them, and the livable settings also create a stage for public life,

[6] These common stereotypes are generalized from the interview transcripts and life stories that have been collected.

which promotes a sense of connection and a sense of identity. Lucky Plaza is such a public setting. In Yeoh's study, she argued that Lucky Plaza is more of a contest zone for the female migration labor to negotiate the public versus private domains in their daily lives (Yeoh 1998). Goffman (1959) stated that when an individual appears in the presence of others, the person always tries to convey an impression to others which it is in the person's interests to convey. Lucky Plaza is also such a "stage" where the female workers are able to present an idealized identity in order to "correct" the biased perceptions held by the locals and this intentional "correction" can be traced from the reason why Lucky Plaza is chosen to be the rendezvous.

When Ninfa was asked why the Filipinos like to spend weekends in Lucky Plaza, she gave me a rather insightful answer:

> *I want to tell you Filipino is not like Indonesian, or Indian and Bangladesh. Filipino is socialized because they choose to go to Lucky Plaza to stand by.*[7] *They chose this Lucky Plaza, Orchard. Orchard is the main city in Singapore, so Filipinos choose the main city in Singapore to stand by. Filipinos they are not low-standard, they are high-standard, so they go to lucky Plaza. Bangladesh is in Bukit Timah, and Indian is in the Beach Rd. So I know. And Indonesian is in Marina Square. The Filipino stand-by is in lucky Plaza.*

A key theme in her narrative is Filipinos being high-standard and sociable. They do not choose whatever location in Singapore as their gathering place, but only consider Lucky Plaza as the one. It is because of the shopping center's central location in Singapore. But more significantly, as I introduced before, it used to be one of the high-end, modern shopping centers that differentiates itself from other locations frequented by unskilled workers from other countries. The Filipino workers see themselves in an equal status compared to Singaporeans. In order to make this sense of "being equal" explicit to the public, Filipinos try to postulate a positive image of being modern, urban and civilized. In situations of being discriminated, many Filipinos will defend this equality and fight for their own rights. In the words of

[7] *Stand by* is a transliteration of a Filipino word "istambay" which means to hang out.

Merci:

> *If locals don't like seeing us and being near us, they can move away. They can don't come here [Orchard Road] on Sundays. Why should we not go there just because they think we are making ourselves a nuisance. We are not. Anyway, I will go where and when I like around Orchard. It's free for everyone. Or is it only for Singaporeans? Locals are just prejudice.*

Another indication of this public presentation of identity lies in the female workers' style of dressing on Sundays. The tacit dressing code they have to obey in their employers' house is no longer mandatory as they can remove their plain t-shirts and shorts and dress up with trendy outfits such as tight singlet, shiny jewelry, high heels and make-up. In the account of Polly, an employer:

> *I met her [the maid] and wah! She was really bedecked—gold earrings, you know, and she was dressed up and all that. And by the way she talks, she seemed like a very urban person…in the know of what's going on in Singapore, like where to go and so on.*[8]

For the female workers, dressing-up on Sundays is not merely an expression of self-respect. More importantly, it has symbolic connotations where the freedom of dressing up has asserted an equal status and the identity of being urbane women. However, Goffman clearly explained that "society establishes the means of categorizing persons and the complement of attributes felt to be ordinary and natural for members of each of these categories" (Goffman 1963 in Davis 1997, 203). Based on this taken-for-granted categorization, maids' dressing-up in public is considered inappropriate by many locals as it confronts their generally held idea that a worker should remain humble and stay low-profile. Moreover, dressing-up becomes a threat as it "close the gap if not invert the positions of ma'am and maid" and thus brings about "embarrassing situations when the maid, shorn of her workaday uniform and fashionably bedecked, is mistaken for the ma'am's sister or daughter" (Yeoh *et al.* 1998: 597). Many are also concerned that the workers may become materialistic and thus be "corrupted" or "contaminated" by "bad and unhealthy" influences. This situation echoes what Goffman has revealed that "he (the stigmatized individual) may

8 Quoted from Yeoh *et al.* 1998: 592

perceive…that whatever others profess, they do not really 'accept' him and are not ready to make contact with him on equal grounds" (Goffman 1963 in Davis 1997, 206). More often than not, the presentation of "an ideal self" in public as a defensive response conducted by the maids is considered as "a direct expression of his (in this case, her) defect, and then see both defect and response as just retribution for something he (she)…did, and hence a justification of the way we treat him (her)" (*ibid.* p.205).

LUCKY PLAZA AS A STIGMATIZED SYMBOL

Public settings are effective vehicles for identity formation and presentation, because the frequent use of a place encourages the "commonsense" perception that the users as a social group are natural, and therefore are legitimate and normal. Public spaces, in this sense, provide relative safety for the perpetuation of certain subcultures and more importantly, provide symbols around which particular identities are centered (Forest 1995:136-7). However, at the same time, public settings also provide "mixed social situations" that lead to "unanchored", sometimes "shaky", interaction among people (Goffman 1963 in Davis 1997, 213). In the case of Lucky Plaza, instead of being the place where an ideal image is projected as the maids wish to do initially, it has transformed into a stigmatized symbol that hinders the smooth interaction among people.

Stigma, according to Goffman (1963) and Coleman (1997), is more like a set of social relations rather than a static status that is attributed to people. It is sensitive to both contexts and subjectivities, as it usually conforms and reflects the value judgments of a dominant group within a particular context and it is often defined arbitrarily to some extend. As Coleman summarized that "stigma stems from differences; by focusing on differences we actively create stigmas because any attribute or difference is potentially stigmatizable" (Coleman 1997 in Davis 1997, 219), from this perspective, we are able to analyze two characteristics that are

generally associated with Lucky Plaza in greater depth.

Over-crowdedness

In Lucky Plaza and its vicinity, there are certain areas that are always flooded with waiting crowds and congested passages. The waiting crowd and the always packed corridors receive a lot of complaints from the locals. To them, Lucky Plaza on Sundays is "crazy with all the Filipino maids making movement impossible" and "causing jams". Shanti, a local, complained:

> *The kind of crowd, the Filipinas there, are comparable to the opening of new shopping centers when everyone flocks there. Difference in Lucky Plaza is that it happens every Sunday without fail…The Filipina crowd alone is enough to scare me out of Lucky Plaza. I feel so much like an outsider in what is supposedly 'ours'.*[9]

While Lucky Plaza still retains its nature as being public and accessible to all, with the huge influx of Filipinos on Sundays, the former minority group suddenly dominates this shopping center and thus makes it "alien" to many locals. Many Singaporeans thus avoid visiting Lucky Plaza on Sundays as a "resistance strategy" (Yeoh 1998; Yeo 1999; Wang 1999). One Singaporean also expressed similar complaints:

> *I didn't sort of like the feeling at [Lucky Plaza] because I felt that we were surrounded. The whole place was surrounded by them [Filipinos]. And it wasn't comfortable shopping because…it was too crowded in the first place and also [because] a lot of things [goods and services] were geared for them.*[10]

This crowdedness of Filipino greatly arouses antagonism amongst Singaporeans and is considered as a "social nuisance" (Wang 1999). Clara, a student, criticized:

> *The Filipino maids, I don't understand, why do they all flock to Orchard Road? Why can't they go elsewhere? They only create unwanted problems when they come to Orchard Road in such big numbers. Can not blame us for saying nasty things about them.*

Interestingly, however, some Singaporeans do acknowledge that they would not feel

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[9] Quoted from Wong 1999: 57
[10] Quoted from Yeoh *et al.* 1998: 593

uncomfortable in the situations that other shopping centers along Orchard Rd. are packed with locals, or they are "outnumbered" by Caucasians. In this sense, "over-crowdedness" itself is not too much a negative attribute, but when it is closely associated with Filipinos, it becomes unbearable to many Singaporeans.

Sexual Immorality

Due to the huge number of female workers gathered at Lucky Plaza, this place has been associated as a "pick-up point" for Filipinas. As I mentioned, the Filipino female workers use Lucky Plaza as a stage to present an ideal image of being urban, modern and sociable, in order to turn change the impression of being "naïve village girls" and to show that "we are no difference than you". However, their overt expression somehow goes to another extreme; instead of being modern and sociable, they are labeled as "liberal, loose and easy". Steven, one shop owner at Lucky Plaza, told me:

> *You see all the Indians and Filipinos standing around, look here and there. I know, they are looking for easy targets. When you see them move to talk to them [Filipinos], you know what lah.*

Indeed, illegal business such as prostitution does happen in Lucky Plaza, especially in the night clubs. A handful of domestic helpers work as maids in weekdays and as part-time prostitutes on weekends in order to earn extra money.[11] Although the illegal business is hidden and the number of women who participate is small, the fear and hostility of Lucky Plaza has been on the rise among locals. Merci, a domestic worker, said:

> *My ma'am is always telling me not to go to Lucky Plaza on my days-off because the place is not good for me. Too many people, easy to get into bad company. She even tell me that there are pickpockets there who try to pickpocket us when we go to remit money.*

Lucky Plaza, considered as a seedbed for crime and sexual immorality, reinforces "images of Third World immigrant women as promiscuous if not predatory" (Yeoh *et al.* 1998:594). The stereotypical impression of a foreign female worker as a "young

[11] This information is provided by one of my interviewees.

girl forced by economic conditions to seek employment overseas" (the Strait Times, 9 August 1984) has been replaced by an image of "stealing people's fathers and husbands"— the worst fear of local women, as indicated in the words of Salmiah:

> *I don't like [maid congregations]. A nuisance sometimes, especially these Filipinas go out with many old, Malay guys. You can see with your own eyes. They actually go out with them, date them, some even marry them you know…they [the maids] just try to get anyone [including] people's fathers [and] people's husbands.*[12]

SAME ETHNIC ORIGIN, DIFFERENT PERCEPTIONS

There is no doubt that Lucky Plaza has functioned well to serve both physical and psychological needs for the Philippine nationals, however, it should be noted that the importance of this place in the Filipinos' perceptions is not the same. In other words, for the low-skilled Filipino workers, ethnic identity is more decent than their occupational identity as being maids and therefore Lucky Plaza is of special significance where they may secure basic personal/ group welfare despite their lower social status. For the professionals, ethnic identity is less desirable as they have multiple social identities. They can choose to project a favorable image depending on the circumstance. In this case, many Filipino professionals prefer to disassociate themselves from the unskilled Filipino workers, because they do not want to feel embarrassed or even ashamed in such a stigmatized situation. Aguilar (1996b, 123) notes that the category "Filipino" is reshaped from "nationality" to "race" and is used disparagingly in stigmatizing all Filipinos as "maids" especially in Asian societies. Moreover, stigma is such a special social categorization that people are devalued categorically rather than individually, in other words, individual traits are reduced and people are judged as one collectivity. Under this circumstance, Filipino professionals suffer from the uncertainty as to how he/she will be received and respected in the society, in the words of Goffman, "in which category he will be placed in" (1963 in Davis 1997, 210).

[12] Quoted from Yeoh *et al.* 1998: 594

As I mentioned before, public settings provide "mixed social situations" where unanchored social interaction takes place. During these mixed contacts, "the stigmatized individual is likely to feel that he is 'on', having to be self-conscious and calculating about the impression he is making" (*ibid.* p. 211). This kind of alerted self-consciousness can be easily discovered through the narratives provided by Filipino professionals. Monette, a computer analyst told me:

> *The way locals stereotype us is so scary. It's like as long as you are Filipina and seen in Lucky Plaza on Sundays, you automatically become a maid. So even when we are not, we are seen as one.*

Andy, a PhD student said: find

> *When I receive the slur, the racial slur, I just say that the other person [who labels us] doesn't know better. In the tuition center where I work, some of the students have Filipino maids, so they said "Mr. Chua, are you Filipino? Really? My maid is also Filipino." So I said "yeah". And they said "can you also cook?" and I said "yeah". But these kids they don't know what they are talking about, right, so it's funny. I guess what I was just saying is that these kids were subconsciously looking down upon Filipinos, the idea of Filipinos being maids. I am not against that because this is the work they [Filipino maids] do, but am I self-conscious, perhaps I am.*

Nationality, such as skin colors or physical traits, is considered "very stigmatizing" because it is relatively a permanent condition and can not be changed easily (Coleman 1997 in Davis 1997, 218). Thus, the professionals tend to "escape" or at least de-emphasize their ethnic identity in order to avoid the discomfort of being associated with their low-status counterparts when receiving prejudice. Coleman also noted that "people irrationally feel that, by separating themselves from stigmatized individuals, they may reduce their own risk of acquiring the stigma" (*ibid.* p. 227). In line with this argument, Alma, a Filipino computer analyst, further explained:

> *The minute you step into Lucky Plaza, like it or not, you are stereotyped. You are a maid even if you are not. That's why I don't like going there. In Orchard Road, it's different. I don't feel it at all. I feel like I am treated more equally. Orchard on Sundays if fine but not Lucky Plaza.*

Andy extended this point more broadly, he said:

> *By nationality I am a Filipino, I was born a Filipino. But at the same time, personally, I've had different a set of experiences, I've lived in another countries and it has allowed me to be exposed to other kinds of cultures, which has also made me appreciate people who are non-Filipino, so in those aspects, my exposure to other cultures had made me non-Filipino. Actually, instead of saying non-Filipino, I would like to say cosmopolitan. Or maybe a better word to say is Catholic. Catholic also means universal and I seem to see myself in that way.*

Consequently, even though Lucky Plaza is pivotal in the construction and expression of Filipino identity, because it has been branded negatively, it is not, and will not be perceived and valued in a similar fashion by the Filipino professionals as compared to the unskilled workers.

CONCLUSION

By presenting the phenomenon of the Filipino congregation at one shopping center in Singapore, this paper seeks to understand the relations between locality and the construction of identity within that locality. In Singapore, Lucky Plaza as a Filipino immigrant enclave has great significance because it does not only provide a setting for the basic functional activities to take place on a regular basis; it also facilitates the formation of a shared identity along ethnic lines. Instead of assuming a communal ethnic identity that is shared by all the Filipino immigrants, this paper addresses the apparent differences regarding the perception of ethnic identities between the unskilled workers and the professionals. Lucky Plaza, as a stage, is used for the presentation of an idealized image of being urbane and fashionable, especially by the female workers who want to bridge the gap between them and the local Singaporean women. However, through this public presentation, the ideal identity that the unskilled immigrants try to present greatly challenges the existing perceptions held by the locals. Moreover, an explicit "us and them" boundary is marked and Lucky Plaza had turned into an indicative symbol reinforcing the differences and the marginal status of the unskilled labor. Instead of showing desired characteristics such as "urban, sociable and high-standard" among the Filipino domestic workers, Lucky

Plaza symbolizes disorder and sexual immorality. These labeled negative traits greatly "scare" away Filipino professionals as they strategically avoid Lucky Plaza on Sundays because they do not want to be associated with any negative stereotype. Consequently, Lucky Plaza is perceived and valued differently by Filipino nationals. Through this study, a patterned difference can be discerned regarding the awareness of ethnic identity and the significance attached to immigrant enclaves. A monolithic interpretation of ethnic identity among immigrants, without taking other social identities into consideration, is considered misleading. For the unskilled immigrant workers, their ethnic identity is especially important because it appears more decent than their menial labor identity. The workers tend to express overtly this more dignified identity in order to attain respect and equality. For the professionals, because of their higher social standing, they usually possess multiple social identities which they can choose from. In order to avoid the stigmatized ethnic identity that is linked to unskilled workers, they usually choose to de-emphasize their ethnic identity and feel content about being occasional visitors to the enclave unless necessary.

Beyond the study of Lucky Plaza as the Filipino immigrant enclave, further research maybe extended to the other immigrant enclaves associated with various communities of foreign labor in Singapore. Golden Mile Complex along Beach Road, Peninsula Plaza along North Bridge Road, for example, are prominent Thai and Burmese enclaves that worth studying. The appearance of these immigrant enclaves greatly enriches the multiethnic landscape of Singapore. Studies pertaining to these immigrant enclaves will further provide us more insights in understanding the dynamics and the spatial manifestation of the social polarization in the migrant labor force along various lines of ethnicity, class, gender and professions.

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Feng Xiaogang's Popular Cinema and Chinese Film Censorship

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Feng Xiaogang's Popular Cinema and Chinese Film Censorship

Despite being the most popular filmmaker in Chinese cinema of the late 1990s, Feng Xiaogang has thus far been neglected in Chinese film studies. His importance in Chinese cinema can be attributed to his innovation of the wildly popular "New Year" films, box-office champions that offer the promise of saving Chinese cinema from the Hollywood invasion, which also a by-product of his struggle with Chinese film censorship. This paper focuses on Feng's several encounters in the 1990s with the film censorship and the impacts it had on his filmmaking to examine the transformations that have occurred not only in Feng career, but also in Chinese cinema at the turn of the century.

The paper starts with Feng's early four works that did not fare well with the censorship board. Through an analysis of the subjects, adaptations, themes and cinematic languages of these banned works—two TV dramas *Behind the Moon* (Yueliang Beimian, 1993) and *A Miserable Life* (Yide Jimao, 1996), two films *Dad* (baba, 1999) and *Living A Poor Life* (guozhe liangbe bukan de shenghuo), the paper highlights what were at the center of the censor's attention that could be deemed as "unhealthy" and "inappropriate" for Chinese society and what were Feng's reaction. In the late 1990s, after these unpleasant experience with the censorship and in order

to avoid conflict with it, Feng starts to make *New Year Comedy* films, including *Part A, Part B* (Jiafang yifang, 1997), *To be there or to be Square* (Bujian busan, 1998) *Sorry, Baby! (*Meiwan meiliao, 1999) and *Sign* (yisheng tanxi, 2000). Comparing similarities and differences of cinematic language, subject and themes between these comedies and his early works, this paper demonstrates how Feng changed his style from one of "social consciousness," that is the highlighting of dark subjects such as social problems and injustice between classes, to a safer alternative—comedy, where he found other ways to deal with the issues he wanted to expose.

In conclusion, my research shows that Feng's experiences with the censorship, shared by many Chinese filmmakers, represents a changing climate in the Party policy after 1989, and his strategy of surviving under this system while maintaining his artistic integrity helps to highlight some of the changes that are under way in Chinese cinema in the 1990s. It is my central argument that the transformation of Chinese cinema since the middle of 1990s has been heavily influenced by Chinese filmmakers' confrontations and compromises with Chinese film censorship.

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Early Literary Tendencies in the Piano Music of Dame Ethel Smyth

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EARLY LITERARY TENDENCIES IN THE PIANO WORKS OF DAME ETHEL SMYTH

Dame Ethel Smyth was indisputably one of the most talented and successful composers that England has ever had. Yet her native critics largely ignored her, while those of her adopted homeland of Germany proclaimed her as a highly talented young composer. Smyth is primarily remembered for her operas, her *Mass in D minor*, and her *March of the Women,* as well as for her work with the suffragette movement in England. Yet her early years of study at the Conservatory in Leipzig with the conductor and composer Reinecke produced a number of works for solo piano, including three sonatas.

The scores themselves are not programmatic; fortunately, she was a meticulous letter-writer and she later wrote nine volumes of memoirs. She often referred to pieces that she was working on, as well as music concerts and social events that she attended, providing history with tremendous insight into her works. Research by such scholars as Elizabeth Wood and Liana Serbescu have examined the literary as well as the musical aspects of Smyth's life, especially as it pertains to her homosexuality. While her later operas such as The Wreckers and The Boatswain's Mate and her relationships with Emmaline Pankhurst and Virginia Woolf have achieved much attention, Smyth's piano works as autobiographical compositions are often mentioned as an interesting but insignificant contribution.

The Piano Sonata No. 2 in C-sharp minor, composed in the fall of 1877, should be an exception to this practice. New to Leipzig and her career as a composer, she quickly developed an admiration and an infatuation with an actress who played all the heroines Smyth had read about as a girl. Her name was Marie Geistinger, and she was known as much for her many affairs and string of husbands as for her work on the stage. In Smyth's letters and memoirs, she tells of

meeting the worldly older woman, and she also writes to her mother of the "Geistinger Sonata," a programmatic work by her own words.

This paper explores this largely unheard-of musical work according to Smyth's own writings: as a programmatic sonata based on her tale of her first encounter with Marie Geistinger. Her letters from 1877 are overflowing with enthusiasm for her new life in Germany and this fascinating woman who had captured her fancy. Exclamatory statements betray her youth. The sonata, carefully crafted, conveys this youthful energy as well as specifics of the story. A third dimension is added with her memoirs of the episode and the piece in 1921, forty-four years after the fact. Her later works with text are often considered to be autobiographical due to the strong character of the heroines and the fact that she usually wrote her own libretto. While these early pieces have no text or accompanying program, the corresponding letters demonstrate her inclination to make her music autobiographical, and are thus deserving of the same consideration. By examining the writings and the work together one discovers a work for piano that deserves more recognition.

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Manifest Destiny, Missionary Work,
And the True Culprit in Opium trade

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During the mid-nineteenth century, a number of American Protestants went to China as missionaries. Some of them wrote books on Chinese society, culture, and the people there. As opium was a prevalent issue in China at the time, quite a number of those books dealt with opium smoking, opium trade, and the Opium War. Although the writers share their religious belief and mission, their observations of and comments on the opium issue were not always the same. The observation of Reverend Justus Doolittle, an American missionary in Fuzhou for fourteen-years, for example, is drastically different from that of Mrs. Henrietta Hall Shuck, the first American female missionary to China. While Shuck sees the opium den as a dirty, shabby place with "no floor but the damp ground," and filled with "old couches" (149), Doolittle finds the opium shop a fairly comfortable place, for "[o]pium shops are always provided with platforms," a burning lamp, and other apparatus. (352)

The sharpest contrast, however, lies in the description of the opium smokers found respectively in Shuck's and Doolittle's books. In Shuck's book, the opium smokers are "clad in rags," or "of haggard countenance and tattered raiment" (150). Although there are quite a number of opium smokers in the den, none of them would even reply, or even know how to reply when spoken to, for they are all dumb and stupefied as a result of drug addiction. In Doolittle's book, however, the opium shop is often a desirable place for socializing. "Here two friends often meet, and reclining on these platforms, facing each other, with the burning lamp and apparatus between them and their head resting on

pillows, *treat each other*" (352, emphasis Doolittle's). As if this is not enough to show what an ideal place for socializing the opium den is, Doolittle inserts a picture of two people reclining on one of the "platforms" in the opium shop. Instead of in rags or "tattered raiment," the two opium smokers were in gowns, the kind of dress worn by men of noble status in 19th-century China. In the picture, one of the smokers is willingly serving the other, and the one been served has a happy, smiling face, an evidence that both are enjoying the intimacy and friendship between them (351).

Why is Doolittle's description of the opium den so drastically different from that of Shuck's? It probably has to do with Doolittle's argument that God is using opium as a means to destroy China. Once Doolittle asks a question "*Why [do] the Chinese continue the use of opium when they are fully aware of its evil effects on the habits, health, and wealth of its victims, and consequently on the social condition and welfare of the empire?*" (358, emphasis Doolittle's). An "intelligent [Chinese] literary man" answers, "THE MASTER AND GOVERNOR [i.e. God] MUST HAVE A MEANING IN CAUSING IT. HE MUST INTEND TO DESTROY THE NATION. THERE IS NO OTHER WAY OF ACCOUNTING FOR THE LOVE OF THE CHINESE FOR OPIUM. THEY KNOW ITS BANEFUL EFFECTS PERFECTLY WELL, BUT STILL ARE EXCEEDINGLY FOND OF SMOKING IT. HE MUST PURPOSE OUR NATIONAL DESTRUCTION" (2:358, higher case Doolittle's).

As we know, the nineteenth century was a time when Eastern and Western civilizations met, interacted, and conflicted in large scale in East Asia. In 1854, for example, Commodore Matthew Perry forced Japan to sign a treaty to open its door to commerce with the United States, and other Western powers followed suit. In the case of

China, the most prominent issue was the opium. It was in the nineteenth century that opium became a product of wide spread public consumption in China. Opium was the medium that triggered the first war between China and a Western power. As a result of that war, China was made to sign the first unequal treaty with a Western power, followed by a number of other treaties, each forcing China either to pay compensation and indemnity or to cede part of her territory, or both. The opium issue brought China into a very serious crisis, and Chinese culture and civilization was facing unprecedented challenges. When Doolittle's "intelligent literary man" proclaimed that God intended to destroy the nation of China, he probably did not mean the Chinese land in the geographical sense. Instead, he most likely meant Chinese culture and civilization. If God intend to destroy China's culture and civilization, He must replace it with a different one. What would be that culture and civilization that was supposed to replace the one existing in China? For Doolittle and other missionaries, it could be none other than Western Christian civilization.

This view of having Western civilization to replace a non-Christian one had its origin in the home country of Doolittle. That origin is what historians refer to as "Manifest Destiny." As we all know, the history of the United States in the nineteenth century, among other big events, was a history of fast development and territorial expansion. After the Louisiana Purchase from France by President Thomas Jefferson in 1803, the most significant land acquisition by the United States Government was what was called "Manifest Destiny," a phrase used by contemporaries and historians to describe and explain the continental expansion of the United States in the 1840s and 1850s. But the phrase "Manifest Destiny" is used not only to describe the continental

expansion per se, but also to express "the ideology which Americans used to justify the acquisition of Texas, California, the Southwest, and Oregon, and which beckoned others to 'all of Mexico,' Cuba, Central America, and beyond" (Young & Levy, v), though the latter part of the project did not materialize. As a national mood in antebellum America, manifest destiny "implied that the United States was destined by the will of Heaven to become a country of political and territorial eminence" (Graebner, xv).

The idea of manifest destiny was a natural product of the westward movement of settlements and the expansion of the country's territory, and many journalists, writers, philosophers, and politicians propagated this idea. John L. O'Sullivan, for example, a leading journalist at the time and the editor of both The United States Magazine and Democratic Review and the New York Morning News, ascertained that "we may confidently assume that our country is destined to be *the great nation* of futurity" (Democratic Review, VI, November, 1839, emphasis O'Sullivan's). Similarly, Ralph Waldo Emerson, the leading orator and the most prominent philosopher in nineteenth-century America, in his lecture delivered before the Mercantile Library Association of Boston on February 7, 1844, analyzed the elements of power and growth which gave profound promise to the future of the United States, and declared that "America is the country of the Future," and that "she should speak for the human race" (Graebner, 8). Both "a great nation of futurity" and "the country of the Future" mean, of course, a country with great potential to become powerful in many respects. But, in the historical context of antebellum America, their most direct reference was probably territorial vastness and potentiality. No wonder many prominent Americans wrote articles or made speeches on the issue of territorial expansion at that time. President John Tyler, for

example, in his message to Congress of April 22, 1844, emphasized the advantage of the annexation of Texas to the United States (Graebner, 58-63). The greatest American poet of all times, and the most enthusiastic advocate of democracy, Walt Whitman, in his editorial of September 23, 1847, on the Brooklyn Daily Eagle, his newspaper, calls for deployment of "30,000 disciplined troops at Mexico, and as many more on the lines of communication with Vera Cruz and the Rio Grande" to assure effective occupation of all Mexico for an indefinite period of time (Graebner, 206-9). Other leading Americans of the time, including James Buchanan, Lewis Cass, John Slidell, and Stephen Douglas, all advocated the expansion of American territory, whether it was with regard to the annexation of Texas, Oregon, the Southwest, California, Cuba, or Central America. James K. Polk, the eleventh President of the United States who declared that Mexico had "shed American blood upon American soil" (Merk, 88) and thus prompted Congress to declare war upon Mexico, was regarded as a strong president mainly because he was so committed to the idea of "Manifest Destiny."

It is true that the phrase "Manifest Destiny" most often refers to the territorial expansion in antebellum America. In actuality, however, it is more than a geographical concept. Even John L. O'Sullivan, the journalist who invented this phrase,[1] endowed it with a sense of mission. In his New York Morning News, O'Sullivan proclaimed that it had become "our manifest destiny to occupy and to possess the whole of the Continent which Providence has given us …" (Graebner, xxv-xxvi). Since it was prescribed by *Providence*, it had to be God's will for the United States to expand and to possess the whole continent, and turning God's will into reality can certainly be seen as a mission.

[1] See Julius W. Pratt. "The Origin of 'Manifest Destiny.'" The American Historical Review, Vol. 32, No. 4 (July 1927), 795-798. According to Pratt, John W. O'Sullivan first used the phrase of "manifest destiny" in the July-August 1845 issue of The United States Magazine and Democratic Review.

If O'Sullivan did not express the sense of mission plain enough, there were others who did. Senator James Buchanan, the Pennsylvania Democrat and later Secretary of State under the "strong" President James Polk, asserted in March 1844 that "Providence has given to the American people a great and important *mission*, and that *mission* they were destined to fulfill—to spread the blessings of *Christian* liberty and laws from one end to the other of this immense continent" (Graebner, xxi, emphasis mine). Obviously, in Buchanan's view, manifest destiny had a strong religious sense, and this idea represented the view of a large number of Americans, since Christianity was the "official religion of the United States and a key part of the political culture. Indeed, the sense of Christian mission was so strong, that Frederick Merk, a historian and an expert on manifest destiny, named his book on American expansionism in the mid-nineteenth century Manifest Destiny and Mission in American History.

As is the case with almost any issue in a democratic country, there were also critics of manifest destiny even when the large majority of the people in the United States were highly enthusiastic about American expansion. The opponents of manifest destiny were mainly Whigs, who condemned the Mexican War, or called manifest destiny "the robber's title."[2] One prominent American who criticized manifest destiny was Frederick Douglass. He calls the Mexican war "disgraceful, cruel, and iniquitous" in an editorial in his newspaper, The North Star, on January 21, 1848. In addition, Douglass severely criticizes the Christian clergy for keeping silent in such a situation, calling it not only a "great subversion of the great principles of Christian morality, but the most horrid blasphemy" (Graebner, 237-8). To Douglass, when Polk and his supporters were waging

[2] Charles Goodyear, House Representative of New York, for example, used the term "the robber's title" to describe manifest destiny. See Manifest Destiny. ed. Norman A. Graebner. Indianapolis & New York: The Bobbs-Merrill Company, Inc., 1968, pp.109-114.

an immoral and dishonest war against the Mexicans, the silence of the clergy "is the greatest sanction of the crime" (Graebner, 238).

As a matter of fact, even Douglass' criticism did not hit home the role which Christianity played in manifest destiny, for, instead of keeping silent, Christianity was doing much more. John Quincy Adams, the Secretary of State under James Monroe and the sixth President (1825-1829) of the United States, asserted forcefully a full claim to whole-of-Oregon. As the House Speaker in the Congress, in his address to the House of Representatives on February 9, 1846, the former president quoted the Bible to justify his claim. Early in the speech, he asked the clerk to read the 26th, 27th, and 28th verses of the first Chapter of Genesis, the verses that asserted man's "dominion over the fish of the sea, and over the fowl of the air, and over every living thing that moveth upon the earth." This passage in the Bible, according to Adams, "is the foundation not only of our title to the territory of Oregon, but the foundation of all human title to all human possessions" (Graebner, 104). Thus we see that the former President is using the Christian Bible not only as a weapon to defend manifest destiny, but also as the very foundation for American expansion.

In the same speech, House Speaker Adams continued to quote the Bible to support his argument, which was also extended to encompass more than just the Oregon issue that was being debated about in the House of Representatives. Once again, Adams asked a clerk to read from the Scripture. This time, he quoted the 6th, 7th, and the 8th verses of the second Psalm, with special emphasis on the last one to underscore his point. The 8th verse of the 2nd Psalm reads:

> "8. Ask of me, and I shall give thee the heathen for thine inheritance, and the uttermost parts of the earth for thy possession."

This verse, continued Adams, "together with another verse at the close of one of the gospels, … in which the Lord Jesus Christ, after rising from the dead, said to his disciples, (in substance,) 'go forth and preach to all nations my Gospel; and I will be with you to the end of the world'" (Graebner, 105). In Adams' view, "from these three several passages of the Scriptures," Christians and their nations were given "the power of going and subduing all barbarous nations, and subduing and conquering all territory, … for the purpose of converting them to Christianity" (Graebner, 105-6). Here we find the connection between manifest destiny and missionary work, because "conquering all territory" and "converting them to Christianity" are ultimately serving the same purpose. They are two sides of the same coin. While conquering territories are military and diplomatic maneuvers, converting the natives to Christians are on the spiritual and religious platform. The annexation of Texas, the claiming of Oregon, the Southwest, and California, were the actions to conquer territories, while the conversion of non-Christian people were efforts to change the minds, beliefs and cultural environments of the local people.

This "another verse" Adams refers to is, of course, the last two verses of the last chapter of the Book of Matthew. In the King James version of the Holy Bible, the actual words are: "Go ye therefore, and teach all nations, baptizing them in the name of the Father, and of the Son, and of the Holy Ghost: Teaching them to observe all things whatsoever I have commanded you: and, lo, I am with you alway, even unto the end of the world. Amen" (Matt. 28: 19-20). This verse, indeed, is the foundation upon which all Christian missionary work is based. Because the Lord Jesus Christ asked his disciples to preach his Gospel to people everywhere, in all nations, Christian missionaries have been

going to all parts of the world to spread the teachings of Jesus Christ. Since the Lord Jesus has asked Christians to do it, ordained Christian ministers and their wives who go abroad to spread Christianity regard it as a very important duty, indeed, a mission, which they are committed to for the rest of their lives. No wonder they are proud to be called missionaries. The author of Mrs. Shuck's Memoir, for example, when talking about Shuck's decision to do missionary work in China, refers specifically to these verses. "If the Bible is a revelation from God, it is supremely important that a knowledge of it should be spread among all nations. On this principle Christ, and his apostles acted. The last solemn command of the risen Saviour [sic] to his chosen disciples was, to proclaim the gospel, among all nations, and to every creature" (Jeter, 25). Mrs. Shuck herself also candidly states that she is obeying her Saviour in going to the Orient. In her parting letter to her most beloved father, she says, "Let us remember, dear parent, for whom we make this sacrifice – who bids thy daughter go. … Yes, 'its my Saviour I am obeying" (Jeter, 31). Her Savior, of course, is none other than the son of God who died for the atonement of the sins of Man, according to the New Testament. Toward the end of the same letter, Shuck makes this statement again, but in a more specific way. This time, she mentions her Savior directly by name. "'Tis in obedience to the command of my dying, but now risen Jesus, that I now leave you. Farewell! Farewell!" (Jeter, 32). By "the command of my dying … Jesus," Shuck is obviously referring to the last two verses in the Book of Matthew. Shuck's case is by no means unique. In fact, all the missionaries who leave their own native land in order to spread the teachings of Jesus Christ and to convert people of other religions to Christianity are obeying the last command of Jesus Christ, no matter whether they openly declare it or not.

Now let us come back to Doolittle's point. As he sees it, God was punishing China and the Chinese people by means of opium. According to Doolittle's "intelligent literary man," God's purpose of allowing the smuggling of opium and making so many Chinese people addicted to it is a step "TO DESTROY THE NATION." Why should China be destroyed? Why should Chinese culture be destroyed? Because it is bad and evil, of course, as Doolittle illustrates in the chapters of his book that dwell on Chinese religions and superstitions. In advocating American expansionism, O'Sullivan states that many "nations of the world" were "shut out from the life-giving light of truth," and America has been chosen "for this blessed mission" "to establish on earth the moral dignity and salvation of man" (Graebner, 21). If God want to destroy China, which is a center for Oriental culture, He must have in mind something to replace Chinese culture. In the eyes of Christian missionaries, this "something" has to be Western Christian culture. That is the very reason why God has sent so many missionaries to Oriental countries, including China. Shuck, Doolittle and many other missionaries were in China for exactly this purpose, and this is "Manifest Destiny" in the spiritual, rather than territorial, sense.

But spiritual expansion often goes hand in hand with territorial expansion, or even depends upon it, that is why many missionaries strongly support the stance of expansionism. As Josiah Strong, a Congregational pastor, tells the reader in his book, Expansion Under New World-Conditions in 1900, "A missionary from China recently said to me: 'You will find that all American missionaries are in favor of expansion'" (249). If the phrase "all American missionaries" is a little over-generalization, we can probably say that at least the majority of them do support the expansion of Western

cultures, especially the spread of Christian religion to Oriental countries. In this respect, Shuck again offers an illustrating example.

As we all know, the climax of the opium issue was the Opium War, which was caused by the conflict between Chinese Government's efforts to ban the opium trade and British Government's decision to "protect" her merchants and their properties in China.[3] As I said earlier in this chapter, Shuck indirectly condemned the Government of Great Britain for supporting her merchants to carry on the contraband opium trade in China when she was residing in Macao. In her book on China, she does not make the slightest mention of the Opium War, which is a little strange, because the war was going on when she wrote Scenes in China in the early 1840s. Nevertheless, in her letters and journals published in Jeter's Memoir of her, her attitude toward the Opium War and the side she took was made crystal clear.

Since the Shucks lived in China throughout the time of the Opium War, they at least experienced indirectly, if not directly, the impact of the War. Indeed, before the Opium War broke out, they did sense the tension between China and Great Britain, just as other missionaries in China did at that time. On the eve of the War, in a letter to her father written in April, 1840,[4] Shuck says, "We are in daily expectation of the arrival of the [English] fleet, and we trust that a better state of things will soon exist here" (Jeter, 157). Since "a better state of things" will ensue after English troops invaded China, Shuck was obviously looking forward to the arrival of the fleet, and, for that matter, to the war. If she does not specify what she means by "a better state of things," in this letter, she explains clearly in another one, written at the beginning of tensions between China

[3] I will give a fuller account of the Opium War in Chapter 3 of this dissertation.
[4] There is only month and year to indicate when this letter was written, but no specific date.

and Britain. In that letter, she tells her father about an incident in which an innocent Chinese was murdered in Hong Kong by some British sailors. Commissioner Lin Zexu, who was sent to Canton by the Chinese emperor to ban opium smuggling with unlimited power, demanded the murderer. But the British superintendent failed to do so, saying that the murderer could not be found (Jeter, 145; Williams, 2:519). Commissioner Lin then deprived the British of their servants, and forbid any Chinese to sell provisions to the English, though foreigners from other countries were not affected. The relationship between the English and the Chinese became very difficult. To the surprise of the reader, however, instead of worrying about the tense situation and the damage which the imminent war was about to bring to China and her people, Mrs. Shuck was overjoyed, as she tells her father, "How these difficulties do rejoice my heart" (Jeter, 145). The reader might be puzzled: why would this little, delicate missionary lady be joyful at tensions between Britain and a country where she was residing? Shuck herself answers the question, "[B]ecause I think the English government may be enraged, and God, in his power, may break down the barriers which prevent the gospel of Christ from entering China" (145-6). There! She was not just expecting the war, but also looking forward to it, and she has a good reason for doing so, too. Her reason is that the war will most likely help the missionary work in China. As she said in another letter to her father written on July 10, 1840, two weeks after the English fleet had arrived, "We hope these war-like times will all be overruled by the great Disposer of events, and that a firmer footing will be gained in the '*Celestial'* land by the heralds of the cross" (Jeter, 163). Here we see the clear connection between Western territorial invasion and missionary work. In the same letter, Shuck expresses the hope cherished by her and her husband. "It is our intention to

go directly to the first place taken by the English, (the Lord willing,) and there to teach the Chinese, and as we trust unmolestedly" (Jeter, 163). Half a year later, in a letter to Mrs. Keeling, Shuck expresses this hope more specifically. "There is every probability that some part of China will be thrown open, as a few days ago…the English…took possession of the Bogue Forts" (Jeter, 168). "Chusan [a place in China] is still held by the English," she continues, "and should it be the only spot open we expect to remove there in the course of a few months. It is thought by some that Canton will yet come under English authority; and should that be the case we hope to remove there" (Jeter, 168). Evidently, Shuck is looking forward with joy to the occupation of more Chinese lands and cities by British troops, because she believes British occupation would help her Christian mission. Therefore, territorial expansion and missionary work are not only connected, but have a cause-result relationship: military invasion and victory result in territorial occupation or expansion, and territorial expansion opens the way for missionary work. No wonder Shuck hopes that the British troops occupy more Chinese lands and cities. As she had hoped to move to Guangzhou (Canton), it is reasonable to believe that she would have been much happier if the major city of Guangzhou, instead of the little island of Hong Kong, were ceded to Great Britain by the Chinese Government as a result of the war.

The Opium War ended in 1842 with the Treaty of Nanking signed in August of that year. One of the results, as everyone knows, was that China ceded Hong Kong to Great Britain. Just as the Shucks had intended to "go directly to the first place taken by the English," they moved to Hong Kong almost immediately after the war ended, even before the Treaty of Nanking was signed.

The reason why the Shucks moved anxiously from Macao to Hong Kong was most probably that their missionary work in Macao was not particularly successful. Although a certain number of people listened to Mr. Shuck's preaching on Sundays, he was not able to baptize his first Chinese convert, named Ah Loo, until late January, 1837, (Jeter, 103) eleven months after the latter started to live in their house as cook and servant, and to listen to what Mr. and Mrs. Shuck had to say about Christianity. Fifteen months later, Ah Loo was brought to Bankok by another missionary, Mr. Deane , because in Bankok there were many Chinese who spoke the same dialect as Ah Loo did. Both Rev. Deane and the Shucks wanted him "to be the servant of Christ," and believed that he would be more useful in Bankok than in Macao. Less than three months later, however, news came that "Ah Loo had renounced his faith in Christ and had gone back to his idols" (Dunaway, 56). At this news, Mrs. Shuck told her missionary friend in Bankok, "[n]o death of which I have heard has made me grieve like it" (Jeter, 121). With Ah Loo's apostasy, the Shucks' missionary work in Macao had no tangible fruit by June, 1838. Moreover, in the years that followed, however hard they worked, not a single Chinese was baptized by either Mr. or Mrs. Shuck before they moved from Macao to Hong Kong on March 19, 1842. That is probably the reason why Mrs. Shuck complains to her step-mother in her last published letter written in Macao. In that letter, she says that the Chinese people in Macao "are told of heaven and of happiness—are instructed in those truths, so dear to us, which the word of God contains; *but, alas! the soil of their hearts is barren, and the seed sown will not even take root*" (Jeter, 177, emphasis mine). These words evidently express her frustration at the lack of result in their missionary work in Macao. After five and a half years of hard work there, no tangible fruit were the

Shucks able to reap. Most people, I believe, would think that their missionary work in Macao was little more than a failure. The virtual fruitlessness of their work in Macao might well be one of the reasons why the Foreign Mission Board of the Baptist Triennial Convention was not satisfied with the Shucks.[5] Lack of accomplishment in Macao was obviously the primary reason why the Shucks intended to move to "the first place taken by the English," and why they moved to Hong Kong as soon as they felt Britain's occupation of the island was secured.

After moving to Hong Kong, Mrs. Shuck was most happy, because it was a much more promising place for missionary work under the rule of the British. In her first published letter written in Hong Kong, she tells her father, "This place, which, you will recollect, was taken by the English two years ago, is fast rising to a city, affords facilities for missionary labor, and, withal, is considered a *healthy* spot" (Jeter, 179, Emphasis Shuck's). Shuck regards the Britain-occupied Hong Kong as a healthy spot not from the

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[5] The "grievous misunderstanding" between the Board and the Shucks began a little more than a year after they settled in Macao. In October, 1837, the Shucks received a letter from Mr. Lincoln, the treasurer of the Board. According to Dunaway, three factors contributed to the misunderstanding between the two sides. First of all, there was no agreement or clear understanding as to what salary the Shucks should receive. Secondly, no positive instructions were given as to the definite location of their mission. Thirdly, inadequate means of communication at the time caused misunderstanding between the Board and the Shucks (87-89). Although Mr. Shuck wrote numerous letters to the Board, the "misunderstanding" was not resolved. In a period of about ten years, Mr. Shuck wrote 135 letters to the Board, a large portion of them were devoted to the explanation of their expenses in Macao. Although the three reasons Dunaway offered were relevant, I believe there is another, more important reason. It is logical to believe that the apparent fruitlessness of the Shucks' missionary work in Macao might well have contributed to the dissatisfaction on the part of the Board. During the time they stayed in Macao, Mr. Shuck was able to baptize only one convert, Ah Loo, who later turned into an apostate. That is most likely the reason why the Board wanted the Shucks to change the location of missionary work and moved to Siam. In 1839, the Board sent another letter to the Shucks written in harsh and unsympathetic language. Among other things which the Board reprimand the Shucks for was that they were "poor missionaries, utterly unsatisfactory of their patrons" (Dunaway, 93). Who are those "patrons"? They must be those people who had donated money for their missionary work, and the Board presumed that it represents them. Obviously, the Board was not satisfied with their work in Macao. The so called "misunderstanding" between the Board and the Shucks did not resolve until March 1843, over a year after they moved to Hong Kong. Interestingly, Jeter's Memoir of Henrietta Shuck did not mention a word about this "misunderstanding," nor did he select any of the letters between the Shucks and the Board concerning this issue. (see Dunaway: pp. 87-106)

medical point of view, but from the viewpoint of a missionary. No wonder Shuck declares that "I much prefer my present residence [in Hong Kong] to Macao" (182).

As soon as they arrived in Hong Kong, the Shucks started their missionary work. But in Hong Kong, they did something which they had not done before. As English troops had occupied Hong Kong, Mr. Shuck preached regularly to English soldiers (Jeter, 181). Mrs. Shuck, on her part, often visited the soldiers' wives and children. As she herself said in a letter to her sister Susan, "I have a large and interesting field of labor before me amongst the soldiers' wives and children. I visit them frequently, give them books, and pray with the sick among them" (Jeter, 198). In another letter to Susan, written three months later, she told her sister again that she sometimes visit the soldiers' wives, "pray with the sick amongst them, and distribute bibles and tracts" (Jeter, 202). The soldiers Shuck refers to are evidently English soldiers, since the island of Hong Kong was occupied by English troops. The attitude of the Shucks toward the English soldiers and their spouses and children is another evidence to show which side the Shucks took at the time of the Opium War. As missionaries, they, of course, could not take up arms to fight on the battle field. But preaching to the soldiers and visiting their spouses were certainly a way of showing moral support. Evidently, with regard to the two sides of the Opium War, Mrs. Shuck's sympathy was with the invading British troops.

Another incident which Mrs. Shuck mentions in her journal of March 31, 1844, illustrates the relationship between missionaries and invading troops. In that journal, Shuck recalls that "a young gentleman, Lieut. in the army" visited her missionary school, and later sent $15 for its benefit. Previously, the "father of that young man, Major General D'Aguilar" had sent $20 to the Shucks and "begged Mr. S to use accordingly for

the good of the cause" (Jeter, 208). Both gentlemen who donated money to the Shucks were obviously officers in the British army who had come to China to fight the Opium War. This incident tells us a very significant fact: British soldiers not only opened the door for missionaries, but also contributed financially to the missionary cause.

After the Shucks moved to Hong Kong, their missionary work flourished greatly, as they had hoped. Less than two months after their relocation, they built two Baptist chapels, the "Queens-Road Baptist Chapel" and the "Bazaar Baptist Chapel," and Mr. Shuck "preaches three times on the sabbath [sic], twice to Chinese and once to English soldiers" (Jeter, 181). Soon after the chapels were built, the congregation of the two chapels began to grow. In a letter dated on April 23, 1843, thirteen months after they moved to Hong Kong, Mrs. Shuck tells Mrs. Keeling that "we believe the pleasure of the Lord to be prospering in our hands. The church, which numbered five members at its constitution, has now increased fourfold" (Jeter, 190). Similarly, Shuck's husband in a letter written about a year later expresses his confidence that "God is manifestly blessing our labors. I trust that Christianity has commenced her onward march in this great land of heathenism" (Jeter, 222).

The Shucks' confidence with regard to their missionary work in Hong Kong, was, of course, based on the satisfactory results they were able to accomplish. On the April 23, 1843, letter quoted above, Mrs. Shuck was very proud to inform Mrs. Keeling that that very morning, Mr. Shuck baptized a young English soldier, and about a month earlier, he had the pleasure of baptizing two other converts, a merchant and his wife, who were most probably Chinese. As time went by, the Shucks were able to reap more and more harvest in their missionary work. One Sunday in late August or early September of 1844, Mr.

Shuck "had the high privilege … of baptizing seven more interesting converts. Five had been followers of Confucius, and two had been Budhists" [sic] (Jeter, 226). On the same day, in the same place, Mr. Dean baptized three other Chinese converts (Jeter, 228). Compared with the result of the Shucks' work in Macao, where they had virtually no converts after five and half years of labor, these accomplishments were very significant indeed. Obviously, British occupied Hong Kong was a much more favorable place for their missionary work. No wonder they moved from Macao to Hong Kong as soon as they were able to.

The moving of the Shucks' to Hong Kong immediately after it was under British rule was by no means an isolated case. Even before the Opium War had officially ended, other missionaries also moved to British Hong Kong as soon as they felt that Britain was going to have solid control of that place. Mrs. Shuck was the first foreign female to reside in Hong Kong, and she was soon followed by a Mrs. Ramsay (Jeter, 182). Soon after they moved to Hong Kong, the Shucks got the news that other missionaries were coming over too, including Mr. Brown, Dr. Hobson, and Mr. Bridgman, the first American missionary to China. Although these other missionaries might not be of the same Baptist denomination as the Shucks were, they were all Protestant missionaries. By April 1843, two other missionaries, Messrs. Roberts and Dean also had their services at the Bazaar Baptist Chapel, one of the two chapels, you will remember, that was built by the Shucks soon after they arrived in Hong Kong. There were also other missionaries who went to the port cities which the Chinese government was forced to open by the British under the Treaty of Nanking. For example, as far as Mrs. Shuck could tell, at least one missionary had gone to Amoy, and several others were going there, too. After being defeated by a

Western power, as Mrs. Shuck hails, "China … is no longer what it was. Doors are flying open, and missionaries carrying with them the bread of life, are entering" (183). Therefore, the moving of the Shucks to the British colony in China was significant in that their action represented a trend among missionaries: moving to Oriental places and cities that had been forced to open to Westerner, or even had fallen under the control of Western powers. Evidently, the result of the Opium War, from which China suffered the most miserable defeat and a horrible destruction, and was thus the greatest humiliation to China and the Chinese people, was heartily welcomed by missionaries.

The reader will remember that Mrs. Shuck describes in detail what the East India Company did to force natives of India to grow opium, and to manipulate the monopoly of the opium trade. In doing so, she condemns strongly the immorality of the East India Company and Great Britain, calling the latter "a professedly Christian government" (Shuck, 148). Shuck also describes in detail the dreadful effect of the drug upon the victims as well as its destruction to Chinese economy. It seems she really hates the opium dealers and dislikes the government that supports such an immoral contraband business, and is very sympathetic with China and the Chinese people. But her attitude toward the Opium War shows otherwise. Even Shuck herself did not try to hide her satisfaction at the result of the war despite the disaster it had brought to China and her people. "The war," she says, "though it has been the means of much devastation, and many deaths, has also been the means of opening the eyes of these blind and ignorant people. … [I]t has been the means of opening the closed doors to the heralds of the cross" (183). Shuck knows what the Opium War means to China and her people: devastation and deaths. But as it opens the door for missionaries, she is more than happy with the result. From her

attitude toward the Opium War, we can see that Shuck looks at what happened to China only from a Western missionary's point of view. She condemns the East India Company not only because the opium production and trade was destructive to China and the Chinese people, but also because that company has been "violently opposed to missions," and has persecuted pioneer missionaries, especially her role model, Mrs. Judson. She welcomes the Opium War, though it did unprecedented destruction to China, the Chinese people and her economy, simply because it benefits missionary work. In looking at the Opium War or any other events in China, her point of departure was whether it was beneficial to the Christian mission, instead of whether it was good to the Chinese people.

In talking about the Opium War, it is also interesting to notice that Shuck never talks about the cause of the war. The only time she mentions the tension between the Chinese and the British is when a Chinese was murdered by some English sailors,[6] and Commission Lin demanded the British to hand over the murderer. Without other information, the reader would tend to believe this was the cause of the war. Living in Macao throughout that period, it is not possible for Shuck not to know that as a special Commissioner sent by the Chinese Emperor, Lin's responsibility was to terminate the opium smuggling that was rampant in Guangzhou (Canton). It is most likely that she also knew that Commissioner Lin confiscated over 20,000 chests of opium and burned all of them, an event which prompted the British Government to send a war fleet to China. But in all of her correspondences and journals about the Opium War, Shuck did not make the slightest mention of the opium traffic and the Chinese Government's efforts to ban it. Nor does she mention Commissioner Lin's confiscation and burning of over 20,000 chests of British-India opium. In fact, the word opium does not appear anywhere in her

[6] For this incident, see p.63.

correspondence or journal with regard to the war, as if the drug had nothing to do with the war. Why does she make such an effort to hide the inglorious cause of the war? I assume it has to do with the frustrating unfruitfulness of their missionary work in Macao, and their hope for more fruitful results in a Chinese place that is occupied by the British Government.

When she was expecting the arrival of the English fleet, Shuck said "*we* trust that a better state of things will soon exist here" (Jeter, 157, emphasis mine). Please notice the plural form of the first personal pronoun used here. This "we" could mean Mrs. Shuck and her husband, but it could also mean missionaries in China as a group, and the second interpretation seems more likely the case. Thus, Shuck is not speaking just for herself, but for all missionaries in China. After the English fleet has arrived, she tells her father, "It is our intention to go directly to the first place taken by the English, (the Lord willing,) and there to teach the Chinese, and as we trust unmolestedly" (p.163). Now we know why Shuck does not mention opium in her correspondence on the Opium War: the war opened the way for missionary work, but opium smuggling was the direct cause of the war. She does not want to acknowledge this cause-effect relationship between opium smuggling—Opium War—missionary work in China, though this relationship was an undeniable historical fact.

The fact that the Shucks prefer colonized Hong Kong to inland China was also not a unique instance. In Memoir of Mrs. Ann H. Judson, we find similar views. When Mrs. Judson's Memoir was published in 1829, parts of Burma were occupied by the British. At that time, "there is no [missionary] station within the territories actually under the sway of the Burman monarch; But there are millions of persons in the provinces ceded to the

English, to whom access may be obtained, without difficulty or danger" (Knowles, 317). It was in those areas which were ceded to the English as colonies that Christian missionaries were most active in spreading the Gospel of Jesus. Shuck, in welcoming the colonization of Hong Kong, demonstrates an attitude that was shared by most, if not all, Christian missionaries: they welcome Western colonization of Oriental cities, regions, and countries, because Western colonization paved the way for missionary work.

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East India Company, Opium, and American Protestant Missions

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Mrs. Henrietta Hall Shuck was the first female American Missionary to China. She went to China with her husband, J. Lewis Shuck, an ordained Baptist minister, in September, 1835, and died in Macao, China, in November, 1844. In her book, Scenes in China: or, Sketches of the Country, Religion, and Customs of the Chinese, she describes and makes comments upon various respects of Chinese culture, society, and the people there. As opium smoking was a wide-spread practice in China at the time, one chapter of her book was devoted to the issue of opium smoking and opium trade. With a friend of hers, she visited one of the opium dens in Macao, and gives a description of the opium smokers, all in rags with no expression on their faces. Apparently, they have all been made dumb by the narcotic drug. Related to opium smoking, Shuck also talks about the opium trade from British India to China. According to Shuck, the East India Company (EIC) was solely responsible for this contraband trade. It forced the natives of India to grow opium, exported this poisonous product to China, and made huge profits.

It is true that the British East India Company played an important role in the opium traffic. But Shuck's claim that the EIC was the only company that carried out this business is inaccurate. Her bias against the EIC betrayed her dislike for that company, and her dislike of the EIC is the result of an influence upon her by another American female missionary, Mrs. Ann Hasseltine Judson, who went to Burma with her husband in 1812, twenty-three years before Shuck left America for China. Mrs. Judson influenced Shuck not only because she was a precursor of American missionary work, but more specifically because Shuck knew the pioneer female missionary's experience very well,

having read her Memoir in her formative years. In fact, as she herself put it, "I decided to go to the heathen in March, 1834. Reading the memoirs of Mrs. Judson caused me first to think of the subject. A deep and abiding yearning for their soul and a conviction that God pointed me thither caused me to decide" (Dunaway, 13).

The influence of Mrs. Ann Hasseltine Judson, the first American female missionary to go abroad, upon Shuck is indeed multi-dimensional. But by far the most significant aspect in which Mrs. Judson influenced Shuck, as far as the opium issue is concerned, is her attitude toward the East India Company. As the first American woman missionary to the Orient, the country where Mrs. Judson worked and died was Burma. But when Mr. Judson first asked Ann Hasseltine to marry him and be his companion in missionary work in the Orient,[1] the destination in his mind was actually India. There are a number of documents that support this presumption. In her Journal dated October 28, 1810, for instance, Miss Hasseltine recorded that her mind had been agitated due to the proposal Mr. Judson had made to her. After she had made up her mind to spend her life as a missionary, she mentioned for the first time where her destination country would probably be. "But whether I spend my days in *India* or America, I desire to spend them in the service of God, and be prepared to spend an eternity in his presence" (Knowles, 39,

[1] It is interesting to notice that the most crucial factor that Miss Hasseltine considered whether to accept Mr. Judson's proposal for marriage was not whether she loved him that much or not, but whether or not she really wanted to be the first American female missionary abroad. As her journal tells us, Miss Hasseltine met Mr. Judson in June, 1810, and the latter proposed to her probably in early August of the same year. For over two months, her heart was filled neither with love for Mr. Judson, nor with the happiness of being loved by a sweetheart. Instead, her mind was "greatly agitated" as to whether to spend her days among the heathens. In late October, 1810, she came "to the conclusion, that if nothing in providence appears to prevent, I must spend my days in a heathen land." Having made this decision, she accepted Mr. Judson's proposal for marriage. Therefore, with regard to the priority between love and mission, Shuck is again similar to Mrs. Judson. But this similarity is probably a coincidence rather than an influence of Mrs. J. upon Mrs. S (See Knowles, 37-39).

emphasis mine). A little over a year later, in her journal dated November 23, 1811(?),[2] she reiterates her determination: "Yes, I think I should rather go to India, among the heathen, notwithstanding the almost insurmountable difficulties in the way, than to stay at home and enjoy the comforts and luxuries of life" (Knowles, 41). A more direct evidence, however, is found in Mr. Judson's letter to Miss Hasseltine's father, to ask his permission for marrying his daughter, and her consequent departure for the Orient. After telling the father that he had proposed to his daughter, and that she had "said something about consent of parents," he asked Mr. Hasseltine, among other great difficulties, "whether you can consent to her exposure to the dangers of the ocean; to the fatal influence of the southern climate of *India*" (Knowles, 42, emphasis mine). These three documents illustrate clearly that Mr. and Mrs. Judson initially intended to do missionary work in India, not Burma. Indeed, the Judsons not only had India in their mind as they left America for the Orient, but also had a city as their destination. This city was Calcutta. That is why they sailed with Mr. and Mrs. Newell, another missionary couple, directly from the United States to Calcutta on the 19th of February, 1812, and arrived at their destination a little less than four months later.[3]

As soon as their ship anchored in Calcutta harbor, Mr. Judson went on shore to obtain permission from the police station for the American missionaries to live in India. At that time a large part of India, including Calcutta, was ruled by the East India

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[2] The author of Mrs. Judson's Memoir, James D. Knowles, was not absolutely sure the year of this journal. He put "probably 1811" in parenthesis for a journal immediately before the Nov. 23 one dated "Oct. Sabbath." He probably based his judgment on the contents of the journals.

[3] In Edward Judson's Biography of his father, the missionaries arrived in Calcutta on June 17, 1812. The author of Mrs. Judson's Memoir, however, said that they landed at Calcutta on June 18. According to the events which Mrs. Judson described in a letter to her sister Abigail, however, their ship anchored in the Bay of Bengal on the night of June 16, 1812. They got a pilot the next day, and were able to sail up the Hoogly River, a branch of the Ganges on June 18. Their ship anchored in Calcutta harbor on June 19, when Mr. Judson went on shore. On June 20th, Mr. and Mrs. Judson and Mr. and Mrs. Newell all safely landed in Calcutta.

Company. Therefore, in actuality, what Mr. Judson was really trying to do was to get permission from the East India Company. He didn't return until pretty late that evening, and failed to gain the permission they had sought. Both male missionaries, Mr. Judson and Mr. Newell went ashore again the next day for the same purpose, but without any success, though they were all invited to spend the night at the house of Dr. William Carey, a British Baptist missionary who had lived in India since 1793, and who established the first missionary base in Serampore, fifteen miles from Calcutta, in 1800. Although they had a place to stay now, the American missionaries still did not know what was ahead of them. It was not until ten days later that Messrs. Judson and Newell were summoned to Calcutta, and "an order of the government was read to them, requiring them immediately to leave the country, and return to America" (Knowles, 59). No blow could be heavier than this for the pious and enthusiastic missionaries. They then tried every means to find passage to other parts of India to do missionary work, but with little success. They had stayed in Calcutta for at least 110 days when the East India Company would no longer tolerate their lingering in the country any more and issued a peremptory order, telling them that they would be sent to England in one of the Company's own ships. A petty officer accompanied Messrs. Judson and Rice[4] to their place of residence, and told them not to leave without permission. They even saw their names in a daily paper in a list of passengers of the ship in which they were ordered to sail (Wayland, 115). Utterly disappointed at the government run by the East India Company, they tried to escape from the company's control by boarding on another ship bound for the Isle of France. Two

[4] Mr. Rice was ordained as Congregational minister on the same day as Mr. Judson. He sailed with several other missionaries from Salem, Massachusetts, on February 18, 1812, for Calcutta, India, in the ship Harmony, which arrived in the destination six weeks after the Judsons did. Like the Judsons, Rev. Rice also changed his denomination from Congregational to Baptist after he arrived in Calcutta, and was baptized on the same day as the Judsons.

days later, however, a government dispatch caught up with them, "forbidding the ship to go any farther, as passengers were on board who had been ordered to England" (Knowles, 64). It was after suffering a lot of more difficulties from the East India Company that they finally arrived in the Isle of France. [5] From there they went to Rangoon, Burma, where Mrs. Judson spent the rest of her life doing missionary work and died.

On reading about such perplexing behavior of the East India Company toward the American missionaries, one question comes up naturally: Why did the East India Company treat the missionaries so unreasonably, as if they were enemies? Normally, one would expect the merchants of the East India Company to welcome those American missionaries, since both groups of people came from the same Western culture, spoke the same language, and were brought up in the same Christian environment. Mrs. Judson's own words points out directly the unreasonable behavior of the East India Company. "The East India Company are violently opposed to missions, and have barely given liberty to their own countrymen to settle here as preachers" (Knowles, 55). There! This is the reason why they did not allow the American missionaries to stay in Calcutta, or anywhere in India, and decided to send them out of the country. This is the reason why the company sent a dispatch to catch the missionaries even after they had left Calcutta!

Mrs. Judson's words told us that it was the policy of the East India Company to oppose Christian missionary work in the country and areas where they had administrative authority. But this policy of theirs seems very perplexing, especially since the merchants

[5] For a detailed description of the inconvenience and difficulties the Judsons and Mr. Rice suffered in Calcutta from the East India Company, please see James D. Knowles, Memoir of Mrs. Ann H. Judson, Late Missionary to Burmah, Boston: Lincoln & Edmands, 1829, pp.52-68.

themselves came from a Christian country. Mr. Judson's son, Edward Judson,[6] in his biography of his father, gives some explanations to the East India Company's policy of opposing Christian missions. The first reason Edward Judson gives is that Great Britain and the United States were not on good terms at the time. This is certainly true. As I stated earlier, the Judsons and their companions arrived in Calcutta in mid-June, 1812, about one week after the United States had declared war against Great Britain. Naturally, the British officials in the East India Company were angry at Americans, including American missionaries. But this is not a fundamental reason, since the EIC had been having pursuing a long-term anti-mission policy, but the two countries had not always been at war with each other. The real fundamental reason is probably what Edward Judson points out, "[t]he English feared that the natives of India, finding themselves beset by the missionaries of a foreign religion, and their own sacred institutions undermined, would rise against the whole English race, and a war ensue which would be rendered more intense by the spirit of religious fanaticism. The Oriental meekly submits to oppression, except where religious questions are involved; ... The English authorities feared, as once was stated in the House of Lords, 'That every missionary would have to be backed by a gunboat.' There might arise endless complications, and they determined to arrest the danger before it really began" (32). Whether Edward Judson is correct or not, he does report what the Directors of the EIC thought was true, and analysis sounds pretty reasonable, because religious conflicts often lead to large-scale social instability, and

[6] Mrs. Ann H. Judson gave birth to a son on September 11, 1815, but this boy died eight months later. Mrs. Ann H. Judson thus had no surviving child. Eight years after Mrs. Ann H. Judson died in Burmah, Mr. Judson married Mrs. Sarah H. Boardman in Burma on April 10, 1834. The second Mrs. Judson bore seven children with him, two of which died in infancy. The five surviving children included a daughter, Abby Ann, and four sons, Adoniram Brown, Elnathan, Henry, and Edward. Mrs. Sarah H. Judson died on the voyage back to the United States on August 1, 1845. On June 2, 1846, Mr. Judson married a third time, to Miss Emily Chubbuck, who embarked for Burma with him on July 11, 1846.

social instability would make the colony much more difficult to govern, a situation that the East India Company certainly wanted to prevent.

Now we can see one more reason, and perhaps the most fundamental reason why Henrietta Hall Shuck, as a Western missionary, disliked the East India Company so much: The Company created all kinds of difficulties for the pioneers of American Christian missionaries to the Orient, Mr. and Mrs. Judson and their colleagues, when they came to do missionary work in India, and persecuted them. When Shuck talks about British merchants' exportation of opium to China, she mentions only the East India Company, and pretty much puts all the blame for the increase of the importation of the narcotic drug onto that company alone. According to Shuck, "[t]he East India Company exercises the strictest monopoly over the cultivation and traffic in opium, throughout all their territories, a great extent of which is devoted to the growing of the plant" (147). It is undeniably true that the British East India Company played a very important role in exporting opium into China, and in the radical increase of China's importation of this drug. It is also true that the East India Company used to exercise monopoly in the opium trade between British India and China. But according to the study made by Timothy Brook and Bob Tadashi Wakabayashi, the East India Company lost its monopoly on the opium trade in India in 1813 (Brook, 6), more than a quarter of a century before Shuck wrote her book. After that, the gate for other British companies to do opium business from India to China was opened, and many other British merchants joined in the opium trade to harvest huge profits. So, once again, Mrs. Judson has given Shuck a particular (and by 1841, incorrect) way of seeing the opium trade. When Shuck wrote her book in the early 1840s, she used the simple present tense of the verbs "exercises" and "is" to

describe East India Company's monopoly of opium trade, indicating clearly that the company still enjoyed the monopoly at the time when she wrote the book, and therefore should still take sole responsibility for the huge amount of importation of opium in China as well as for the destruction of Chinese people's health and the damage to China's economy caused by the opium trade. Also, as I said earlier in this chapter, from 1789 to 1838, the importation of opium into China increased seventy-five times within fifty years. If, as Shuck puts it, the East India Company still enjoyed the monopoly of opium trade in the early 1840s, that company should be solely responsible for the incredible increase. But as the East India Company had actually lost the monopoly of the opium trade in 1813, it should not shoulder that responsibility alone, because throughout the second half of those fifty years, other British companies were also carrying out the drug business. I do not mean to prettify the East India Company, nor do I intend to lighten the East India Company's responsibility in the infamous opium trade, for the East India Company did indeed play a major role in that contraband business. My point here is that Shuck is not accurate in her book in terms of the opium trade from British India to China, though she claims in the proposed preface[7] that "[p]articular care has been taken to have the dates, statements, and every thing [sic] *correct*" (Jeter, 73, emphasis Shuck's), and the publisher also claimed in the self-advertisement of the book that the manuscript had been "carefully edited by a member of the Committee of Publication, who has been in China" (Shuck, 4).

From the early to the mid-nineteenth century, there was more than one source which announced the news that the East India Company lost the privilege of monopoly on opium trade from India to China. In her intended preface to Scenes in China, Shuck

[7] This preface was not printed when Shuck's Scenes in China was published in 1852, and has probably never been published in full. But J. B. Jeter quoted two sentences from it in the Memoir he wrote for Shuck. (See J. B. Jeter, p. 73)

listed the sources on which she based her book. They were "'the Chinese Repository,' Mr. Davis' recent work on 'The Chinese,'[8] 'The Indo Chinese Gleaner,'[9] and several other minor publications" (Jeter, 73). The first of these, The Chinese Repository, is a well-known journal published from 1833 to 1851 for missionaries and other Westerners living in China. I checked all the issues of this journal and found that in the column of "Journal of Occurrences" of the April 1834 issue, the very first item is a piece of news with the title "Termination of the hon. E. I. Company's[10] exclusive rights in China." The first sentences of the news read as follows:

> 'The exclusive right of trading with the dominions of the emperor of China, long enjoyed by the united Company of merchants of England,' ceased on the 22nd inst.; and henceforth (notwithstanding any provision, enactment, matter or thing made for the purpose of protecting the *exclusive rights* of trade, heretofore enjoyed by the said Company, contained in any act of the said Company or of the British parliament,) it shall be lawful for any of the subjects of his most excellent majesty, king William the Fourth, to carry on trade with any countries between the Cape of Good Hope and the Straits of Magellan" (574, emphasis by editor of the Journal).

The above quoted passage from "Journal of Occurrences" does not mention the item "opium." In fact, it does not mention any specific item included in the trade. Since it was a new law that included the trading of all the items between the Cape of Good Hope and the Straits of Magellan, it certainly included opium trade in China. Furthermore, as the East India Company's exclusive rights in the opium trade in China was already taken away in 1813, as Brook and

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[8] Although Davis talks a little about the opium trade by British merchants in his book, he does not mention specifically the East India Company by name.
[9] The Indo-Chinese Gleaner is not available at either Purdue or the University of Minnesota, and I have not been able to find it anywhere.
[10] The E. I. Company stands for the East India Company, as is often the case in other articles in various issues of The Chinese Repository.

Wakabayashi have shown, it was no longer necessary to mention the opium trade in particular.

In her intended preface to her book, Shuck put The Chinese Repository at the top of her list of "[t]he works consulted, and of which considerable use has been made" (Jeter, 73). The above quoted item "Journal of Occurrences" was published in the April 1834 issue of The Chinese Repository, six or seven years before Shuck wrote her sketches. Needless to say, it should be accessible to her when she wrote her book. Therefore, even if she had not known, for lack of resource or any other reason, that the East India Company had lost monopoly over the traffic in opium in 1813, she should have been able to find this piece of information in the "Journal of Occurrences," and should have known that the East India Company had ceased to enjoy the exclusive rights in the China trade six or seven years before. Knowing this fact, one could not help asking the question, "What made Mrs. Shuck ignore this fact?"

The reason why Shuck ignored the above fact was probably that she had prejudice against the East India Company, and this prejudice most likely first possessed her from her reading of the Memoir of Mrs. Ann H. Judson. As was demonstrated above, the East India Company was very hostile to Christian missions, and Mr. and Mrs. Judson had suffered a lot of difficulties and even persecutions from that company. As an admirer and follower of Mrs. Judson, Shuck would naturally be angry with the East India Company, and, as a result, she attacks that company in her book. Indeed, the East India Company's directors did have a history of hostility toward Christian missions, and this attitude and policy of the Company was well known not only to the Judsons and Mrs. Shuck, but also

among other missionaries in the Orient, including, of course, those in China. The December 1844 issue of The Chinese Repository, for instance, published an article on the Protestant Missions in China. After a brief review of the history of the topic being discussed, the author adds a mission statement. He encourages five effective means to spread the word of God and to convert ordinary Chinese people, and illustrates the results that have been accomplished thus far. Of greater significance to us here is what the author calls "the particular obstacles" that had made the Protestant missions in China so difficult. After stating the fact that China had been "closed against all efforts from without" until very recently,[11] the author proclaims that there was what he calls a "triple barrier" that "opposed our intercourse with the Chinese" (XIII: 12: 650). One of these barriers was "the influence of the English East India Company," because it was "unfavorable to missionary exertions" (XIII: 12: 650). The writer of the article also gives concrete examples to demonstrate the East India Company's hostility toward missionary work.

One of the most telling examples was the case of Robert Morrison, the first Protestant missionary to China. In 1807, when Morrison, a Congregational minister, wanted to go from Great Britain to China to do missionary work, the only ships sailing to China belonged to the East India Company, but it was that company's policy not to carry missionaries. As Morrison wrote to his brother Thomas Morrison on December 23, 1806, "You must understand that none of our missionaries can go out to India in any English vessel, without the express leave of the East India Company. … Our missionaries, who are in India, went out in foreign neutral vessels. Our society never asked their leave, but now think of doing it for me" (Morrison, 91). But as his biographer William Townsend

[11] The author probably meant until the end of the Opium War, when five Chinese sea port cities were open to foreign trade as well as to missionary work.

confirmed, "The permission, however, could not be obtained." (34). Morrison's widow explains in her memoir of him. "At this period 'strong prejudices existed in England, and in all parts of India where the British influence extended, against missionary exertions.'" In the early 1800s, who ruled "all parts of India where British influence extended?" It was none other than the East India Company. Thus, "[p]ermission to settle in those quarters could not be obtained; and it became necessary to convey the missionaries to their destination by an indirect course, while it remained a question whether, on their arrival, they would be allowed to remain" (Morrison, 93). Finding no English ship bound for China that would carry him, Morrison had to gain passage first to New York, and board a ship to China from there. This detour almost doubled the distance he had to cover, and, needless to say, the journey lasted much longer than a direct sail from England to China. Morrison set sail on January 31, 1807, but did not arrive in China until September 4 of the same year. Compared with the Judsons' less-than-four-month trip, Morrison spent nearly twice the time on the journey.[12]

Even after he had arrived in Canton, Morrison was not certain whether he would be allowed to stay, "for the Directors of the East India Company were but little disposed to encourage the labors of Protestant Missionaries within the sphere of their jurisdiction" (642). It was not until after Morrison had proved himself as a capable linguist and had been appointed translator to the Company in 1809 that he was able to gain "undisturbed residence in Canton" (642). While the East India Company derived "the greatest benefit from his talents and acquirements," apparently referring to his exceptional Chinese

[12] After arriving in New York on April 20, Morrison went to Philadelphia, where he manages to get a letter of introduction to Mr. Carrington, American Consul at Canton. He set sail from New York on May 12. After 113 days on the sea, he arrived in Macao on September 4. As Catholic Macao was antipathetic to Protestant missions, he left Macao for Canton on September 7.

language ability, the Directors of the E. I. Company "looked with a jealous eye on all his proceedings" (650). Due to the East India Company's objection to missionary efforts, The Chinese Repository's 1844 article continues,

> all the men sent by the English churches previous to the dissolution of their factory in China [in 1834], found it more advantageous to settle at a great distance from the field in which they sought to labor. Consequently the great mass of efforts, have until of late, been expended in fields of a most unpromising character, and more success has attended the efforts made in China within the last few years, than all those previously made beyond its borders (650).

Evidently, the author of the article is accusing the East India Company for the lack of success in English Protestant missionary work. Then how about the company's attitude toward American Protestant missions? Were they more tolerant? The answer, of course, is negative. In fact, they were even more hostile toward American missionary work, as was exemplified in the case of Mr. and Mrs. Judson and their companions. The author of The Chinese Repository article also specifies American missions. "The first missionaries of the American churches," the author writes, "were the Rev. Messrs E. C. Bridgman, and D. Abeel who arrived in 1830." They had been followed by other American missionaries, including, of course, Mrs. Shuck, our heroine of this chapter. "More missionaries have been sent to the Chinese since the dissolation [sic] of the E. I. Company's factory in 1834, than in all the years that preceded" (644). Apparently, the E. I. Company was a negative factor to American Protestant missions in the Orient. Fortunately, the E. I. Company's factories had been dissolved by the time Mrs. Shuck and her husband arrived in China. Otherwise, they might also have encountered difficulties with the Company. If that really happened, Shuck would have had more reason to hate the E. I. Company.

The suffering of the Judsons in the hands of the East India Company was by no means an isolated case. Instead, it represents the general attitude of the Directors of the East India Company toward American missionaries. Having read the Memoir of Mrs. Judson who shared the same Christian denomination with her, and having worked as a missionary in China for more than eight years, Mrs. Shuck certainly knew this hostile attitude of the East India Company, no wonder her attitude toward that company is very critical, and her criticism of the opium trade in which the East India Company played a major role is so severe.

From the article in The Chinese Repository, we know that Mrs. Shuck's criticism expresses not only her own attitude toward the East India Company and the opium trade, but also the attitude of the majority of the American Protestant missionaries working in China, India, and other Oriental countries and regions. Admittedly, American missionaries' criticism of the opium trade is ostensibly directed toward the demoralizing nature of the contraband drug business, but as the above analysis demonstrates, their grudge against the East India Company's hostile attitude and policy toward Protestant missions is certainly an important hidden factor for their criticism on the opium trade. Up to now, this factor has largely been overlooked. What we most often see is the moral platform upon which American missionaries attacked the notorious opium trade, because missionaries often use morality as the safest and most powerful weapon to attack the traders of the narcotic.

Shuck's dislike of the East India Company does not come from her reading of Mrs. Judson's Memoir alone, nor was her criticism of the opium trade attributed only to the demoralizing nature of the business. She had another reason to hate the opium trade.

Her own personal experience told her that the drug was an obstacle to her missionary work. In A Memoir of Mrs. Henrietta Shuck, Jeter mentions a specific incident to demonstrate how difficult the missionary work is. As we said earlier, Shuck concentrated her work on school, especially on girl's schools. But it was hard to have parents send their girls to her school. In an article which Mrs. Shuck wrote for the Mother's Journal, she talks about a girl whom she has succeeded in keeping for three years. That girl is very smart and quick-minded. Under Shuck's instruction, the girl has developed the ability to "read, write, and compose in English very well," and has also learned simple geography and history. What is most important to Shuck is that "[s]he also possessed a great amount of religious knowledge," which, of course, refers to the Bible and Christianity, "though her heart was too hard to bend to its holy influence" (210). But Shuck obviously had hoped to convert her sooner or later. This fourteen-year-old girl, however, was then taken from Shuck by her mother, "and is to be married soon to a wicked, illiterate youth, who, I am told, is already a desperate *opium smoker*" (210, emphasis Shuck's). In his biography of Shuck, Dunaway also mentions this story, but his source was not the Mother's Journal. Instead, he found the story in a letter which Mrs. Shuck wrote to Mrs. Devan on March 23, 1843(?).[13] Dunaway even gives the name of the girl. She is called Akae. The fact that this same story is told at least twice in Shuck's written documents, one of which was intended for publication, indicates that Mrs. Shuck was indeed most frustrated by this incident. In her letter, Mrs. Shuck regards the taking away of the intelligent Akae as one of the "sore and bitter trials … which missionaries often feel" (Dunaway, 125).

[13] Dunaway specifies the date and month, but not the year of the said letter. From the context in Dunaway's book, however, it is reasonable to believe it was written in 1843.

In her article in the Mother's Journal, Shuck characterizes the girl's future husband with two features: *wicked*, and *illiterate.* The second one, illiterate, not only tells the fact that the young man cannot read or write, but also indicates that he is uneducated and thus probably stupid. But the word "wicked" is even more significant. In The Oxford English Dictionary, "wicked" means "Bad in moral character, disposition, or conduct; inclined or addicted to willful wrong-doing; practising or disposed to practise evil; morally depraved. (A term of wide application, but always of strong reprobation, implying a high degree of evil quality.)" When referring to a person, "the Wicked One" simply means "the Devil, Satan." The dictionary offers examples of the word "wicked" used in this sense by various writers from 1275 to 1873. Thus a "wicked" person is one who hurts others intentionally. But from both the extract of Shuck's article in the Mother's Journal and her letter to Mrs. Devan, it seems Shuck hardly knows the young man to whom Akae is betrothed, let alone his moral behavior, his personality, or his character. The only important fact Shuck knows about this young man is that he smokes opium. From Shuck's point of view, it seems smoking opium makes a man wicked, and because this wicked man needs to marry, one of Shuck's most promising girls was taken away from her, causing a great setback to her missionary work. This personal experience made Shuck realize that opium is an obstacle to her missionary efforts. As a result, she hated opium and disliked opium traders all the more.

As a matter of fact, Shuck was far from the only missionary who regarded opium as an obstacle to missionary work. As opium was such a wide-spread practice in China in the mid-nineteenth century, it is not surprising that opium is also a topic in books written by other American Protestant missionaries at that time. Justus Doolittle, for example,

who published a book on China in two volumes in 1865, devoted a whole chapter to the issue of opium. Doolittle was a missionary for fourteen years in the southeastern province of Fujian in China, and his book, Social Life of the Chinese: With Some Account of Their Religious, Governmental, Educational, and Business Customs and Opinions, was widely read. Shortly after its publication, a book review in The Atlantic Monthly proclaimed that "there has scarcely appeared in English, until now, so exhaustive and so honest a picture of the external phenomena of Chinese life" (779).[14] The North American Review, another prestigious scholarly journal at the time, while pointing out the shortcomings of the book, also admits that Doolittle's volumes "contain a vast deal of miscellaneous information respecting the habits and manners of the Chinese, derived in the main from the authors' observations and personal inquiries" (574). The specific chapter I mentioned just now is titled "Opium and Opium-smoking," and this chapter corroborates Shuck's sketch on the opium issue. While Shuck learned from her own personal experience that opium was an obstacle to missionary work, Doolittle uses logic to present his view.

In the nineteenth century, most Chinese people knew very little about foreigners. What they did know, however, was that both missionaries and opium traders were foreigners from the West. In addition, in the eyes of most Chinese people, all Westerners looked alike, including missionaries and merchants. Moreover, both missionaries and merchants had similar, if not the same living habits, and both believed in the same religion – Christianity, and worshipped the same God. Thus most Chinese people in the

[14] This, of course, was just the opinion of the reviewer of The Atlantic Monthly. As a matter of fact, seventeen years before Doolittle published his book, S. Wells Williams published in 1848 The Middle Kingdom, which was much more exhaustive and comprehensive than Doolittle's Social Life of the Chinese. I will discuss in fairly great detail Williams' exposition of the opium issue in mid-nineteenth-century China in the third chapter of my dissertation.

nineteenth century regarded missionaries and opium traders as the same kind of people, without bothering to distinguish between them, the only exception being those who personally knew the missionaries and had close contact with them. Since opium smoking damaged so many Chinese people's health and ruined so many Chinese families, most Chinese people hated the opium traders who brought this narcotic into China and made huge profits at the expense of Chinese people's health and welfare. As many Chinese people did not distinguish between opium traders and missionaries, their hatred for the former was often extended or transferred to the latter. They also tended to place opium and the Bible in the same catalog, because both were articles introduced into China by Westerners. As Doolittle recorded, when missionaries condemned the evils of opium smoking, and tried to persuade people not to indulge in the vice of using it, they often heard this response, "You foreigners bring it to sell, and now you exhort us not to use it. If you do not wish us to smoke it, why did you import it? If you did not bring it to sell, we could not buy it, and therefore should not use it" (2:359). Since a large majority of Chinese people at that time held this view, they would not trust foreigners, no matter whether they were opium traders or missionaries. Seeing the damage of opium on their friends or family members, many Chinese would not even have anything to do with Westerners, if they had made up their mind not to become "opium-ghosts" themselves. If the average Chinese did not want to have anything to do with Westerners, Christian missionaries would have great difficulty getting in touch with the local people. Without direct contact with the local people, how would the missionaries be able to spread the Gospel among the Chinese? If the local people would not even hear what the Western missionaries had to say, how could the missionaries convince them that Jesus Christ was

their savior? And how could they be converted to Christianity? Even if some local people were less resistant to foreign missionaries and would allow themselves to talk to them, it would be much harder to convince them that Christianity was the only true religion, if the local people did not trust Westerners because of the damage done by opium to Chinese people and their families, a damage they saw with their own eyes. Consequently, it would be even harder for missionaries to convert any local people to Christianity because of opium smoking and opium trade. Thus, many missionaries regarded opium trade as an obstacle to the success of their mission. This result of opium trade is another reason for missionaries to condemn it. The bad image of the opium trader became the bad image of all Westerners in the mind of the Chinese people, and this confusion partly explains why many of the missionaries in China, including Shuck, strongly opposed the opium trade.

While Shuck learned that opium smoking is an obstacle to missionary work from her own experience, Doolittle looks at the large picture of Protestant mission in China and draws the same conclusion that he thinks applies to the whole mission. Like Shuck, Doolittle examines the issue from the moral and economic point of view. In his book on China published in 1865, a few years after opium trade in China had been legalized, he ascertains that "many American and English merchants have done much to demoralize and impoverish the Chinese people through the introduction and sale of opium" (2:435). Although the purpose of the merchants was not to demoralize and impoverish, but to harvest the greatest possible profits, these were indeed the results of their trade. Owing to the wide spread practice of opium-smoking in China, the missionary faces a much more difficult situation. As the Bible declares that no "drunkard shall enter the kingdom of heaven," the missionary feels that "the same principle must exclude those who become

and who die addicted to the vice of opium-smoking" (2:359). Thus missionaries must "specially endeavor to evangelize and save those who are not already hopelessly debauched by the drug" (2:436). What is most frustrating to the missionary, however, is that "[a] considerable proportion of those who profess an interest in the Gospel are ascertained sooner or later to be victims of the habit, for whose conversion experience shows it is almost hopeless to labor, unless they determinedly desist from the use of opium" (2:359). But the problem was that the missionary often did not know, among the people who were willing to listen to their preaching, who were opium-smokers. When they found out later, often after a long period of labor to teach them the Gospel, they had to "discipline or excommunicate" some of the members of the native churches "on account of their love for this drug" (2:359-60). Obviously, a lot of resources, time, and efforts had been wasted by the time they found out such and such "converts" were opium addicts. Therefore, in addition to common weaknesses in human nature, such as drunkenness, lying, lewdness and other vices and sins, and in addition to what Doolittle calls "ignorant superstition and learned heathenism, such as Confucianism, Buddhism, and Tauism," the missionary in China must overcome the "peculiar obstacles" which attend "the prevalence of the vice of opium-smoking" (2:360). As opium presents such additional obstacles to missionary work, it is little wonder that, as a group, missionaries in China in the mid-nineteenth century opposed opium trade and opium smoking.

In a certain sense, however, to say that missionaries "oppose" the opium trade is still an understatement. As a missionary, Doolittle argues that the only weapon to fight the evils of opium smoking and save the Chinese people is "the Gospel, the heaven-sent antidote and remedy for the vice of opium smoking, and for all the vices to which

depraved human nature is prone" (2:361-362). Therefore, in missionaries' view, opium traders and missionaries are like two sides at war: one side is destroying the Chinese, while the other is trying to save them. As the result of real wars is often decided by the relative economic power of the two sides, so, in Doolittle's view, is the war between opium traders and missionaries. Thus, Doolittle calls "Protestant Western Christians to be willing to spend as much money annually in the missionary work in China as is annually made by Protestant Western merchants in China from traffic in opium" (361). Unfortunately for Doolittle, though, the sum of money "*cleared*" by foreign importers and foreign dealers in opium trade in China is "immensely larger than is yearly expended by Christians residing in Great Britain and in the United States for the evangelization of the Chinese" (2:362). Since the opium dealers are harvesting a much larger sum of money than the missionaries in China have to spend, if we follow Doolittle's analysis, we would inevitably come to the conclusion that the missionary would lose the war on opium. If the Protestant missionary was indeed the only remedy for opium-smoking, the vice would become more and more wide-spread and eventually prevail throughout the nation. Fortunately, however, the outcome was otherwise. It is true that for a time, the opium problem did become extremely serious. But this vice was eventually checked, and the war against opium was finally won in China. It was not, however, checked or won by Christian missions. In 1906, the Qing Government in China launched a major campaign to eradicate this narcotic drug. Successive administrations of the Chinese Government also managed to persist in the campaign. In spite of the fact that both the international political stage and China's domestic political situation were by no means stable throughout the first half of the twentieth century, there was consensus both in China and

in the international society that the evils of this narcotic must be checked. With persistent efforts of successive governments, with wide-spread popular support, and with valuable international cooperation, the campaign against opium won a decisive victory. By 1949, when an aggressively highly centralized government assumed powerful control of Mainland China, it was able to take strong measures against the evils of this narcotic drug. As a result, the national evil and shame of opium as a symbol of China, especially as the typical image of the Chinese male, finally became history in the early 1950s.[15] In the end, the war against opium in China was won, but it was not won by preaching the Gospels.

As a matter of fact, missionaries were far from the only people who opposed the opium trade. Although many Chinese fell victim of this narcotic in the nineteenth century, a larger number of Chinese people, even at that time, looked at the drug with disgust. As Doolittle observes, "The Chinese seldom discuss the evils of opium-smoking … without manifesting apparently a very cordial and sincere hatred of the drug, frequently denouncing it in the most emphatic terms" (2:358). Of course, having daily seen with their own eyes vivid examples of the monstrous and evil effects of opium consumption, ordinary Chinese people knew better than anyone else the destructive power of this drug. Even so, however, a lot of Chinese people continued to smoke opium. Observing this strange social phenomenon, Doolittle asks a question. "*Why [do] the Chinese continue the use of opium when they are fully aware of its evil effects on the habits, health, and wealth of its victims, and consequently on the social condition and welfare of the empire?*" (358, emphasis Doolittle's). Actually, this question is not entirely valid, because those Chinese people who condemned opium-smoking were most likely those

[15] For a brief history of opium trade in East Asia and China's war against opium, please see Timothy Brook & Bob Tadashi Wakabayashi: Opium Regimes: China, Britain, and Japan, 1839-1952, pp. 5-19.

who did not smoke this drug. Anyway, to answer this presumed question, Doolittle quotes from what he calls "an intelligent [Chinese] literary man." According to that man, "THE MASTER AND GOVERNOR [i.e. God] MUST HAVE A MEANING IN CAUSING IT. HE MUST INTEND TO DESTROY THE NATION. THERE IS NO OTHER WAY OF ACCOUNTING FOR THE LOVE OF THE CHINESE FOR OPIUM. THEY KNOW ITS BANEFUL EFFECTS PERFECTLY WELL, BUT STILL ARE EXCEEDINGLY FOND OF SMOKING IT. HE MUST PURPOSE OUR NATIONAL DESTRUCTION" (2:358, higher case Doolittle's). By putting the whole argument in capital letters, Doolittle not only shows his own consent, but also wants to emphasize it. What is more, he supports this argument in his own words. In Doolittle's view, "Providence does indeed seem to be making use of this drug in humbling this proud nation," by *allowing* the Chinese natives to enjoy the vitiated taste, and by *allowing* foreigners to produce and import it in order to become rich, "not withstanding the miseries they are instrumental in producing" (358). Thus, as Doolittle sees it, it was God's will to use opium as a means to make China weak and humiliated in the presence of Western powers, and God's ultimate goal was to destroy China.

Unlike Shuck who finds the opium den a very disgusting place and condemns opium smoking vehemently, Doolittle regards opium as a useful means of socialization in Chinese society. "Friends," Doolittle writes, "often invite each other to smoke opium as preliminary to the discussion of business matters, or at intervals while engaged in ordinary conversation. It has become a popular way of '*treating*' among some." (2:351). Doolittle also compares the practice of "treating" friends to a smoke of opium among the higher classes in China to "the custom of inviting friends who called to drink wine, or

rum, or brandy, as a token of hospitality, attained in the United States some thirty or forty years ago" (2:351-352). According to Doolittle, "treating" a friend with opium also corresponds very much to the practice of offering wine or other alcoholic drinks to guests, a practice that was common among Englishmen and Americans in their foreign residents in the East (2:352). Unlike many other Americans at his time, Doolittle did not seem to find drinking wine or other forms of alcohol a harmful practice.[16] On the contrary, he even saw some positive aspects in opium smoking, for socialization and treating friends are certainly very positive functions in a civilized society.

Like Shuck, Doolittle also describes opium shops, but his description is again different from Shuck's. While the opium den in Shuck's book is dark, dirty, disgusting, and full of stupefied dumb opium addicts, Doolittle's description of the opium shop does not give any such negative impression upon the reader. He does not bother to describe the general environment or the dimness in the shops, nor does he describe the dirty earthen floor. Instead, he finds the opium shop a fairly friendly place. As Doolittle observes, "Opium-shops are always provided with platforms, which the buyers of the prepared drug may occupy while consuming the quantity purchased" (2:352). Instead of the disgusting atmosphere in the opium den in Shuck's book, the opium shops in Doolittle's book do not look bad at all, and the owner is providing something for the smokers. In addition to the "platform," opium shops are also furnished with opium pipes, burning opium lamps and other apparatuses. All these are provided for the convenience of the customer: the opium smoker. Such description gives the reader the impression that the opium shop is not

[16] A comparison between the detrimental effects of opium smoking in William Maxwell Wood's book and the disastrous consequences of alcohol addiction described in an American literary work will be discussed in the next chapter.

something condemnable. Instead, it is just another kind of business that meets the needs of its customers.

As opium was a means of socialization, opium shops were places for friends to spend time together. This was exactly the case in Doolittle's book. As the author puts it, in the opium shops, "two friends often meet, and, reclining on these platforms, facing each other, with the burning lamp and apparatus between them, and their heads resting on pillows" (2:352). Thus, unlike the dirty and disgusting opium den in Shuck's book, the opium shops in Doolittle's chapter are very comfortable. What is more important, the opium shop seems indeed a place for socializating, especially for two friends to spend some "quality time" together. As a matter of fact, Doolittle goes on to ascertain that in the opium shops, two friends often "*treat each other*, usually each preparing for the other to smoke the pipe which is furnished for their common use" (2:352, emphasis Doolittle's). In Shuck's book this was not the case, or at least, Shuck chooses not to describe similar scenes. You probably remember that in Shuck's opium den, the smokers were all dumb individuals who smoked alone. Although there were many smokers in the shop, there was definitely no communication between them. In Doolittle's opium shop: two friends not only smoke together, but also *treat* each other. They not only communicate, but also communicate in a very happy and pleasant way.

Still another interesting element in Doolittle's book is that each platform is furnished with ONE opium pipe for the "common use" of the two smokers (2:352). Therefore, the two friends not only smoke opium together, but also *share* the same opium pipe. This fact is important in that sharing the same pipe signifies the intimacy of the relationship. One would not share the same cigar or cigarette with a stranger, or even a

friend that is not intimate enough. Similarly, two opium smokers would not share the same pipe if they are not intimate enough with each other. Sharing the opium pipe means not only sharing the same pleasant experience, but also sharing the same risk, since everyone knew that smoking opium means risking ones health, and even life. After "treating each other" and sharing the same opium pipe, the relationship between the two smokers would be further strengthened.

In order to demonstrate how Chinese opium smokers treat each other and share their experience, Doolittle inserts an illustration of opium smoking in his book. (2:351) Indeed, the reader is met with the picture before he/she comes to the description of opium shops, for the picture is placed one page before the description. In this picture, two smokers are lying on an opium "platform," as Doolittle calls it, a "platform" that is really spacious and comfortable, apparently larger than a king-size bed. At the center of the platform, there is a little jar, which most likely contains opium. On the upper end of the platform, there are two pillows. Between the pillows there is a little opium lamp whose function is for the smokers to light the opium from. The lamp is lighted and has a little flame. The most important figures in the picture are, of course, the two opium smokers lying comfortably on the platform. The most striking difference between the two opium smokers in the picture and those described in Shuck's book is that these two do not look dumb or stupid at all. Neither are they in rags, as the old smoker in Shuck's book is. Instead, both smokers in Doolittle's picture are in gowns, which was decent clothing in mid-nineteenth-century China. Their clothing indicates that they do not belong to those who sell their physical labor for a living, nor are they poor at all. Rather, they are most likely members of the well-to-do or gentleman class. The facial expressions of the

smokers are also very telling. One smoker is concentrated on preparing the opium-pipe for his friend, in a fairly happy mood. The other is watching his friend serving him with a smiling face. The facial expressions of both opium smokers seem to be obvious evidence that they are happily enjoying the "pleasant" experience of smoking the drug. The position of the two opium smokers are also very telling: they are facing each other, and there is a sense of communication between them. Obviously, they are using the opium in the function as Doolittle said earlier: socialization. Thus the two smokers are enjoying not only the drug per se, but also the opportunity of spending "quality" time together.

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Title: Truman Capote's Cinematic Impulses

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Abstract:

In 1966, Truman Capote's In Cold Blood captured the reading public and transformed its author into a celebrity. One explanation for this phenomenon is that Capote's style, in part, reflected the influence of film on literature.

Capote was one of the first generation of writers who grew up with movies. Motion pictures were woven into the fabric of his life. As a young man, movies were an important part of his culture--even in rural Monroeville; as a writer, he crafted scripts for the big screen and worked with De Sica and Zavattini. Movie stars peppered his social circles; eventually, he would act in films and produce documentaries for television. Albert and David Maysles, founding filmmakers in the Direct Cinema movement, claim that In Cold Blood "is the closest thing to our own work we have come across."

The controversy over Capote's new concept of the nonfiction novel can be recast in terms of the inadequacy of language. In his search to find language adequate to capture the reality of the Clutter murders, Capote uses the grammar of film to point toward meaning. He reaches out to an audience whose visual appetite has been nurtured by Hollywood and television and who know how to read details. On the surface, his nonfiction novel may not have looked "new" to writers and critics, but his use of cinematic techniques provides a new rhetoric of documentary, one that the Maysles brothers understood.

The cinematic architecture of In Cold Blood would have appealed to a large, popular audience who, by 1960, was well trained in the visual language of films and television. Also, Capote's method of researching and writing In Cold Blood begs comparison to the documentary method of making films. In Cold Blood appealed to the visual literacy of his audience, an appeal that would extend his readership beyond a literary elite. Although some of his techniques had evolved from literary ones, his readers would be more familiar with them from film and television. Capote had learned well the power of the visual and put it to the service of literature.

Truman Capote's Cinematic Impulses

Albert and David Maysles, founding filmmakers in the Direct Cinema movement, claimed that In Cold Blood *"is the closest thing to our own work we have come across."*[1]

Truman Capote's book In Cold Blood, a recounting of the murder of four members of a Kansas family and the trial and execution of their murderers, rose meteorically to the top of the best-seller list when released in January 1966—where it remained for over a year. Capote asserted that he had created a text that combined "the credibility of fact, the immediacy of film, the depth and freedom of prose, and the precision of poetry."[2] His claim to have created a new genre, the nonfiction novel, however, was dismissed by critics who weren't convinced that what he had written was "new."

One overlooked explanation for the popularity of this nonfiction novel is that Capote's style was as much cinematic as it was literary. Clearly, In Cold Blood appealed to a popular audience, one that by 1966 had been nurtured visually by television and Hollywood. Capote, himself raised with film, was looking for a new language to capture reality at a moment when postmodernism was beginning to blur the distinctions between fact and fiction. In order to find this new language, he turned to film.

Critics had good reasons to overlook this connection to film. Capote's desire to wed reportage and fictional technique became part of a literary debate about New Journalism, a debate that overshadowed the possible influence of the cinema. Also, Capote's solid reputation as a fiction writer established him within an American literary tradition—not a journalistic or cinematic one. When George Plimpton asked Capote directly, "How conscious were you of film techniques in planning the book [In Cold Blood]?" the usually loquacious Capote remarked: "Consciously, not at all. Subconsciously, who knows?" However, he did admit that "most of the younger writers have learned and borrowed from the visual, structural side of movie technique. *I have.*" [3]

Film's influence on Capote began in his hometown of rural Monroeville, Alabama, where, in 1928 (when TC was 4) "with no television and limited radio reception, citizens looked forward to the opening of the new Strand Theatre, a motion picture house that would seat around 500 people."[4] Capote probably attended shows there or in the old Monroe Theater until he moved, with his mother, to New York City in 1939. At seventeen, when working as a clerk at The New Yorker, Capote read movie scripts on the side, and by the time he began researching In Cold Blood, in addition to building his reputation as a fiction writer, Capote had written two plays and worked on three movie scripts. Reviewers panned his plays. According to his biographer, Gerald Clarke, "Playwriting had not come naturally to Truman. Screenwriting did,

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[1] David Maysles qtd.in Richard Barsam, Nonfiction Film: A Critical History (New York: E.P.Dutton, 1973), 250.

[2] Truman Capote, Music for Chameleons (New York: Random House, 1980), xiv.

[3] George Plimpton, "The Story Behind the Nonfiction Novel," in Truman Capote: Conversations, ed. M. Thomas Inge (Jackson: University Press of Mississippi, 1987), 63.

[4] Reprinted in George Thomas Jones, Happenings in Old Monroeville (1999) and taken from photocopy by Ms. Alene Brooks, Genealogical Librarian at the Monroeville Public Library, Monroeville, Alabama, July 2000.

giving him the same opportunity as prose to paint visual images without the restrictions of a proscenium stage."[5]

The first film Capote worked on was Stazione Termini (a.k.a. Indiscretion of an American Wife, 1953) produced by Vittorio De Sica and David O. Selznick. Capote's work on Stazione Termini led Selznick to recommend him for a second film project. In 1952, while John Huston and Humphrey Bogart were in Italy to film Beat the Devil (1953), Selznick urged them "to consider calling in Capote" to rewrite a bad script: "His is, in my opinion, one of the freshest and *most original* and most exciting writing talents of our time--and what he would say through these characters, and how he would have them say it, would be so completely different from anything that has been heard from a motion-picture theater's sound box as to also give you something completely fresh."[6]

Capote worked on these two films while living in Italy where, according to William Styron, "Rome at that time was a kind of movie capital--Hollywood on the Tiber."[7] The importance for Capote was that in Italy he had the opportunity not only to practice structuring a film but also to work with De Sica and Zavattini, exposing him to the Italian Neorealist tradition--a tradition that blurred the lines between fiction and non-fiction.

The third film project that Capote worked on before the completion of In Cold Blood was an adaptation of Henry James's Turn of the Screw. The film, The Innocents, was released in 1961. Film critic Pauline Kael favorably reviewed the film: "The dialogue has, at times, the same beauty and ambiguity as the images. I assume that Truman Capote, who is one of the finest prose stylists--as distinguished from writers--this country has ever produced, is responsible."[8]

Thus, motion pictures were woven into the fabric of Capote's life. As a young man, movies were an important part of his culture--even in rural Monroeville. As a writer, he crafted scripts for the big screen, and movie stars peppered his social circles. He counted among his friends Errol Flynn, Charlie Chaplin, Marilyn Monroe, and Humphrey Bogart, to name a few. Eventually, he would even act in films (including an uncredited part in Annie Hall (1977) as a Truman Capote look-alike) and make television documentaries

Capote's method of researching and writing In Cold Blood begs comparison to a method of making documentary films. Capote spent over five years interviewing people and gathering facts: "I had to *live* it, day in and day out, for six years."[9] He even retraced the murderers' steps, traveling across the country from hotel to hotel. In the end, he accumulated over 6,000 pages of notes that he condensed into a riveting 350 pages--an editing ratio that would have made documentary filmmaker Frederick Wiseman proud.

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[5] Gerald Clarke, Capote: A Biography (New York: Simon and Schuster, 1988), 239. Clarke also discusses Capote's confusion at the time about the direction of his writing. His Random House editor was worried; would Capote choose "his first love, fiction, or continue his romance with stage and screen"? (244).

[6] David O. Selznick quoted in Clarke, 237.

[7] Plimpton, Truman Capote, 124.

[8] Pauline Kael quoted in Joseph J. Waldmeir and John C. Waldmeir, eds., The Critical Response to Truman Capote. (Westport, CT: Greenwood, 1999) 11.

[9] Eric Norden. "Playboy Interview: Truman Capote." In Truman Capote: Conversations edited by M. Thomas Inge, 110-163. (Jackson: University Press of Mississippi, 1987), 123.

Clearly, In Cold Blood reflects the influence of motion pictures on Capote; the opening is nothing less than cinematic.[10] He begins in typical film style. Scene one opens with an establishing "shot" of the town of Holcomb in "the high wheat plains of western Kansas," then gradually moves in to a closer shot, "an aimless congregation of buildings divided in the center by the main-line tracks of the Santa Fe Railroad." A short montage of close-ups of local landmarks, including Hartman's Café, the old bank building, and the new school, gives the flavor of a quiet, isolated, but prospering farming and ranching community--an ordinary town soon to be shattered by "four shotgun blasts that, all told, ended six human lives" (5).

Even the structure of the book reflects the structure of a film script. In Cold Blood first appeared in four installments in The New Yorker in 1965, and Capote retained the sections for the book version. The first section, "The Last to See Them Alive," gives details about Holcomb, introduces the Clutter family through their activities on the last day they were alive, and follows the murderers--Hickock and Smith--on their journey to Holcomb. Although the murders are committed in this section, Capote reveals little about the details of what happened that night. In the second section, "Persons Unknown," Capote focuses on the search by the Kansas Bureau of Investigation and other law enforcement agencies while at the same time following Perry Smith and Dick Hickock on their trip around the country and into Mexico after their murder spree. In the Third section, "Answer," Smith and Hickock are apprehended, and readers finally find out what actually happened the night of the murders. In the final section of the book, "The Corner," Capote traces the legal proceedings leading up to the execution of Smith and Hickock.

The book contains a total of eighty-six scenes, divided by white space on the page, among the four sections as follows: 22, 18, 24, 22. If the two middle sections are considered as one unit, dramatically, the division of sections can be compared to a typical, three-act Hollywood script format as described by Syd Field in his book Screenplay [See Illustration 1]**.** The first and third acts are equal in length, and each consumes about one-quarter of the total screen time. In Act I, the screenwriter sets up the conflict or problem and ends with a plot point that redirects and complicates the action. In Act II, the action builds to the climax, which takes place at the end of the act only after the protagonist has overcome several obstacles. The climax sets up Act III, the resolution.

This format fits Capote's plot structure. In the first section, Capote sets up the conflict between good and evil, first, between the Clutters and the murderers, then between the law enforcement officers and the murderers whom they must track down. The plot point that changes the direction of the story is the death of the hero, Herb Clutter, and his family. The murders provide the motivation for the next two sections--the investigation and arrest. With the authorities as heroes, particularly Police Captain Dewey, Capote narratively describes the obstacles they must face: lack of clues, dead ends, false leads. By combining sections two and three into a single, dramatic unit, the narrative movement then builds gradually to the climax--the confessions and the description of the murders in scene sixty-three. Thus scene sixty-three serves as the second plot point setting up the resolution, the trial and executions, in the final section.

On the surface, what appears to be a straight re-telling of actual events with a literary style is, in fact, a well planned, cinematic structure designed to psychologically unsettle the audience, especially when Capote chooses to delay revealing the details of the murders. The script-like format draws the audience into the reality of the story scene-by-scene, act-by-act.

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[10] Truman Capote, In Cold Blood (New York: Random House, 1965). All subsequent references are to this edition and will appear in the text in parentheses.

Capote also uses the film techniques of foreshadowing, audio matches, and parallel and accelerated montage to build drama. Throughout the first section of the book, Capote builds tension by the use of foreshadowing. Readers already know that six people will die before the characters are introduced. In both film and literature, suspense is created by delaying the audience's expectations, and Capote is master of this technique in In Cold Blood. For example, at the end of scene two, we learn that Herb Clutter is "headed for home and the day's work, unaware that it would be his last" (13). In scene sixteen, we learn that Nancy, being the last to go to bed each night had laid out her clothes for church the next morning, including "a red velveteen dress--her prettiest, which she herself had made. It was the dress in which she was to be buried" (56). While delaying the description of the murders, Capote heightens reader expectation through foreshadowing.

Although our introductions to the Clutters and the murderers exist in tandem, they are separated on the page. To provide continuity, the scenes in this opening section of the book are woven together by what are the equivalents of audio matches. For example, between the third and fourth scenes, Capote moves the reader easily between sections by sound. At the end of scene three, we are waiting impatiently with Perry Smith for Dick Hickock to pick him up. Then "[a] car horn honked. At last--Dick." Scene four opens with Nancy yelling, "Good grief, Kenyon! I *hear* you" (17). For a second, a reader might wonder if Nancy is overhearing the sound of the horn still so far away yet threatening.

Most overtly linked to cinema is the pattern of cross cutting that Capote sets up in the first section of the book between the lives of the Clutter family and the two ex-convicts who are on their way to Holcomb [See Table 1]. In the second scene, Capote introduces us to the Clutter family, and in the third scene, Smith and Hickock are introduced. This pattern of cross cutting that begins in scene two continues through scene seventeen when Capote shifts attention to the community.

As Capote moves the reader between the secure, mid-western town that the Clutters called home and the two young men intent on robbery and murder, he gradually decreases the duration of each scene. Each shift builds the suspense that tantalized readers around the world. This technique, which Capote uses in scenes two to thirteen, resembles the film technique called *accelerated montage* popularized by D. W. Griffith in the early 1900s. By gradually decreasing the number of lines in each scene of the parallel narratives, Capote increases the tension up to the murders. In the Clutters' sequence, the first scene has 292 lines, but scene twelve, their shortest scene, is only 49 lines long. Hickock and Smith's sequence begins with 113 lines in scene three and drops to 50 in scene thirteen. Thus, throughout this section and up to when the murders are committed, the scenes have gotten shorter, forcing the reader to switch back and forth more quickly, speeding up to the inevitability of the crime that has been so skillfully foreshadowed.

At the moment the narrative jumps to the Monday after the murders, the scenes--twelve and thirteen--are almost exactly the same lengths. Although Capote alternates between the Clutters and the ex-cons, overall he gives the Clutters more than twice as many lines as he does the murderers (approximately 1685 for the Clutters to 625 for Smith and Hickock). Capote takes his time developing the reader's relationship with each of the family members. By spending more time with the Clutters, he gives the readers a chance to develop a bond with the family thus making their senseless murders more heinous. If the Clutters had any advantage (in number of lines) over the murderers, it is eliminated by the time of the murders.

Steeped in a visual culture himself, Capote--consciously or not--crafts In Cold Blood with a cinematic style. In his search to find language adequate to capture the reality of the Clutter

murders, he uses the grammar of film to seduce an audience whose visual appetite had been nurtured by Hollywood and television and who knew how to read details. On the surface, his nonfiction novel may not have looked "new" to writers and critics, but his use of textual silences and cinematic techniques point to a new rhetoric of documentary. By using documentary film techniques and a cinematic architecture, he could not only offer up the who, what, when, and where of reportage but also suggest an interpretation, a why, even if he admitted not knowing all the answers. Although some of his techniques had evolved from literary ones, his readers would be more familiar with them from film and television. In Cold Blood would have appealed to their visual literacy, an appeal that would extend his readership beyond a literary elite.

The connection between filmmaking and Capote's style of writing In Cold Blood suggests that he, like other artists during the 1950s and 1960s, was responding to new ways of thinking about reality by experimenting with structure and style. The post WWII era brought about shifts, the consequences of which erupted in the 1960s: the loss of a shared reality, the awareness of the limitations of language, an explosion of technological inventions. Capote explores different ways to use language and evidence to re-present the world in a meaningful way, a way that reflects the changing nature of reality.

The logo of Capote's publisher, Random House, ironically suggests both the established Clutter house, emblematic of the American Dream of home and authorship, and the randomness of the acts of violence--a violence Capote was trying to understand through language. The subtitle signifies Capote's documentary contract with his readers, "A True Account of a Multiple Murder and Its Consequences," and suggests that Capote is making a claim about the connection between his shaping of the events and reality. The text they are about to enter will be about real people and real events, a contract similar to that between documentary filmmakers and their viewers. Yet his claim to write a "new" genre suggests he is struggling with how to best express this reality in language.

On the page opposite the title in the first edition are two pairs of eyes (Hickock and Smith's) in narrow boxes outlined with the same burnt orange ink in which the author's name is printed. The eyes suggest an emphasis on the visual, the power of which Capote had learned early. When he published his first novel, Other Voices, Other Rooms in 1948, the dust jacket photograph of him, lounging seductively, received almost more attention than the book itself. He gazes directly at the camera, knowingly.

Illustration 2: Capote Dust Jacket Photo

Illustration 1: Screenplay Structure from Syd Field, Screenplay (New York: Dell, 1984), 9.

Act I: Beginning Act II: Middle Act III: End

Setup, pp. 1-30 **Confrontation**, pp. 30-90 **Resolution**, pp. 90-120

Plot Point I pp. 25-27 **Plot Point II** pp. 85-90

Table 1: Section One Scene Analysis

Scene	Pages	Lines	Content	Comments
1	3-5	82	Introduction to Holcomb, desolate, melancholy, "out there"— but has money, comfortable, and large school.	Follows analytic editing by moving from Holcomb to close-up
2	5-13	292	Introduction to the entire Clutter family with emphasis on father and his conservatism. Eden/American Dream	Ends with foreshadowing
3	14-17	113	Introduction to Perry S. as he waits for Dick H. He is daydreaming about travel, buried treasure, adventure— looking forward to trip to Mexico	Begins with similarity between Mr. Clutter and Perry.
4	17-22	154	Focus on Nancy. She talks about father's objection to boyfriend, mother's instability, someone is smoking in the house	Nancy is a good daughter, wants to please father
5	22-24	64	Introduction to Dick. Comes from good family, is a mechanic, has been married twice, 3 sons; he reveals the lies they tell to get away for the night.	Dick talks about blasting "hair all over the wall." Calls Perry "honey."
6	24-30	169	Nancy finishes pie and leaves Jolene with Mrs. Clutter. More details about her mental instability. Comments that she's afraid she'll miss her children's best years. Ends with Bible passage that implies her end may be near.	Dick just finished his work on the car in 5; Nancy finishes baking pie, opening of 6.
7	30-32	66	Comparison of Perry and Dick. Both have physical deformity, both fastidious.	

Scene	Pages	Lines	Content	Comments
8	32-36	145	Further development of the Bible Belt communities which surround Holcomb and Mr. Clutter. 4-H meeting with Mrs. Ashida getting an award. Ends with two people in car.	Safe place to raise kids; conservative; Capote's voice noticeable
9	35-37	39	Begins with two people in car. Perry and Dick buying gloves, rope, stockings.	"No witnesses."
10	38-41	122	Focus on Kenyon: hope chest, raising livestock, good friend, in a world of his own; Mr. Helm talks with K. and Nancy. Mention of insurance man.	As K and N talk about the future, tension mounts—we know they have no future.
11	41-46	167	Get stockings for nun; nuns are bad luck; Perry's superstitions. Relationship with Willie-Jay in prison. Mention of Perry's "flaw"—explosive reaction. Perry drifting; tries to contact Willie-Jay. Dick sends him word about a "perfect score."	Reproduces Willie-Jay's farewell letter. Flashback establishes Perry's motive. First scene that is longer for the murderers than Cs.
12	46-48	49	Mr. Clutter's conversation with Mr. Johnson, the insurance agent. Mr. C. in good health. Gives Mr. J. the check for a $40,000 double indemnity policy.	We learn Mr. C. never keeps cash around. Does all business by check.
13	48-49	50	Perry singing hymn and thinking about taking a boat from Mexico to Japan. Dick wants a drink and sticks to the business at hand.	Short scene, same length as 12.
14	50-52	98.5	Skip to the Monday after the murders. Bobby Rupp describes his Saturday evening at the Clutters.	Skip over the deaths. Capote captures tone of young boy.
15	52-55	95	Perry and Dick on the road; stop for gas; Perry goes into bathroom—Dick thinks Perry a "natural killer." Perry claimed he had killed a man in Las Vegas.	
16	55-57	52.5	Description of Nancy's room and her journal with notation about her last night with Bobby.	Nancy characterized as maturing (handwriting).
17	57	9	"This is it, this is it . . . ." Perry and Dick arrive in Holcomb.	Very short.
18	58-60	96.5	Nancy Ewalt and father arrive to drop her off for church. No one answers. Go to Teacher age to Susan's apartment. Girls come out screaming.	Uses police statements for description of what happened.

Scene	Pages	Lines	Content	Comments
19	60-66	187.5	Teacher Larry Hendricks goes with Mr. Ewalt to meet police at Clutters. We accompany them as they discover the bodies. Still do not know exactly how the murders took place.	Direct quotations from the police records? Bonnie implicated
20	66-69	115.5	We meet Mother Truitt and her daughter Mrs. Myrtle Clare—both work with the mail. They find out about the deaths and speculate about who could have done the killing.	Beginning of general suspicions; Bonnie implicated
21	69-73	121	The word spreads through the town, rumors and suspicion begins. Mr. Ewalt stops to tell Bobby, who goes to the ranch, then Susan's, followed by his younger brother. Ends with Bobby crying.	Emotional high point when Bobby is told.
22	73-74	21.5	Perry asleep in Olathe hotel; Dick eating with his family then falls asleep during the game.	Normal activities by two men who had just committed cold-blooded murder.

Through scene 17[11]: Clutters, 1165 lines; Perry and Dick, 603 lines (@50%).
Entire Section: Clutters, 1685 lines; Perry and Dick, 625 lines (@37%)

[11] Based on 37 lines per page; shaded = Perry and Dick; white = Clutter Family.

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THIRD ANNUAL HAWAII
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ON ARTS & HUMANITIES
09.05.04

TITLE: A **VIRTUAL STUDIO** in HIGHER EDUCATION
Topic: Architecture.
Presentation: Paper Sessions (30 minutes).
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TEXASTUDIO
A
VIRTUAL STUDIO
IN HIGHER EDUCATION

The evolution of communication within western culture began with the oral tradition and led to the written word, to the invention of movable type, to the electronic media and currently to the integration of information technology into a 21st century cultural lifestyle. In the past, each Age has been defined and shaped by new concepts within art and technology from which man has then interpreted his environment.

Historically, Guttenberg's innovation of printing from movable type in the fifteenth century dramatically changed the ways of recording and disseminating knowledge. The printing press brought an end to the age of orally transmitted myths and legends and opened the doors to our modern civilization. Just as the early industrial age must have appeared confusing to those who first experienced its growth, so the current electronic and materials landscape is characterized by the overwhelming amounts of disorganized information and cultural chaos. The contemporary virtual world of the computer can be described as a new reality with information hyperlinks floating in space ready to be plucked at will. These forbidden fruits hold the promise of knowledge to be dispersed in a free society uninhibited by political agendas.

The radical changes we are currently witnessing in the infrastructure of the city can be seen in all facets of modern life, such as; retail (shopping on the internet), banking (accounting programs and ATM), education (long distance learning) and the office (a burgeoning home cottage industry). These new methods of interaction have forever changed the relationship of man to his environment and reestablished the bond between art and technology. The words "technology" and "art" both find their origins in the Greek word "techne", which was employed in earlier times to mean both engineering

and art. In modern times, technology and art have become divided into two separate areas of specialization, thus losing their dependence upon one another. This idea can be contrasted to the Renaissance when art and technology were inseparable and together contributed to the emergence of a rich humanitarian language in art and architecture.

Today, however, I believe computer simulations mark a sign post and represent a new interpretation of space and communication whose implications can far outreach the discovery of the perspective in the Renaissance. Contemporary society is in the throes of breaking free from the dichotomy of technology and art and has the potential to bring together a global diversity which ultimately, can transcend the barriers of culture and political systems.

Texastudio: In order to understand the direction of this exploration and the value of virtual reality in architectural education, it is important to analyze the teaching philosophy, the revolutionary process, and evaluation of the Texastudio. This academic position states the underpinnings of a new methodology of education and the potential of designing a new perception of space in an information age. In the past, the concept for the Texastudio was based on different ways of seeing space in a regional and universal context. However, in response to the explosion that is now occurring in technology, the Texastudio focuses on the concepts of cyberspace: which is an idea that is as radical today as the discovery of the perspective in the renaissance 500 years ago. The studio thus becomes a time of exploration where students can develop their own philosophy for the 21st century in response to the current innovative technologies offered and their potential as a new language of architecture.

ARC: Architectural research center (Texastudio)

The full impact of the digital industry has finally come to architecture. The industrial revolution has evolved into an electronic age that involves all phases of architecture including; design, presentation, working drawings, construction management, fabrication, and documentation. Academically the challenge to introduce the application of the computer into the field of architecture has accelerated to the degree that the exam to be licensed as an architect in the United States is now being administered and tested solely on the computer. The introduction of computers into the early stages of the architectural design process had been slow in coming to academia.

The concept of ARC has been to explore with upper level students the 3D / CADD programs, interactive animation techniques, and virtual reality to facilitate the early design processes of architecture. It is possible with digital images to communicate spaces and design solutions previously unknown in the field. ARC makes available the latest 3D computer programs using virtual reality and animation techniques. The final exhibition for the student's thesis explores the potential of the computer over two semesters to validate its merits and potential.

In previous semesters, the Texastudio allowed the students to respond to an architectural sense of scale. First, they designed a room, then a house, then a community. This methodology was a great teaching tool to discuss a variety of issues such as; the future role of the home office in a mobile society and the validity of public life in the city (in an age which is experiencing the increased privacy of television viewing within the home). Within the current digital virtual studio, the students are free to explore innumerable issues and interact with students and faculty from other schools through email and the internet. From this academic base the students have the tools to compete in a global economy with access to information and an ability to communicate their architectural ideas without limitations.

Currently most design studios teach with the traditional tools of architecture including; hand drawings, wood / cardboard models, and architectural rendering. These tools are used to help the students present their design projects. The weaknesses of the current design courses are such that each of these teaching techniques requires a lot of time and are therefore limited in their scope. If you consider that for developing a design, the students have to go through these processes five or six times, and as a result the time for exploration grows considerably shorter. By using a digital medium you not only gain speed, but an unlimited flexibility to change and explore the design using renderings, walk through, drawings, or animation. The technology is such that the machine can generate the images, while the students explore their design with greater depth. The computer does not take away from the creation process, however it does reduce the burden of doing production work. Furthermore, by using digital media, a 3D simulation lab (the cave), and sophisticated virtual reality programs one can investigate a building, walk though it at real scale, in real time, and be able to have the perception of spaces with a complete feeling of immersion in all the senses. This experience is not just a rendering technique or merely visual, since the student has the ability to make changes before the project actually starts being built. In the past, this interactive process of experiencing a building has never been possible.

By modifying the course to a virtual studio, the students were provided with the necessary skills to be successful in a global electronic age. The students were exposed to the use of innovative tools for communicating their design process, not merely just as a tool for production work. The computer inherently allows students to explore more information in an efficient manner than with the traditional tools of architecture, allowing them to develop their designs to levels of complexity not known in history. Today In order to get a job in the work force each student increasingly must be proficient on the computer and be able to work in a virtual environment.

THE VISION

The underpinnings of the Texastudio are based upon the concept of PATTERNS (the evolution of the landscape through time). The most dramatic series of patterns in the last 100 years has been the technological linkages that have created the construction of the trans-continental railroad, which was followed by the network of electric lights and telephone lines, the automobile interstate highway system, the fiber optic computer

highway and currently the trend to go wireless. It is my thesis that we have quickly evolved from the industrial age, to the electronic age, and within the foreseeable future – the SUPER AGE. This concept is a result of the recent discoveries of a Super Nova, the Supercollider, and Superconductivity (all within one year of each other). This hyper reality for me, represents a future pattern that is at the core of my academic philosophy, research, and curriculum. It is from this point of departure that the TEXASTUDIO begins.

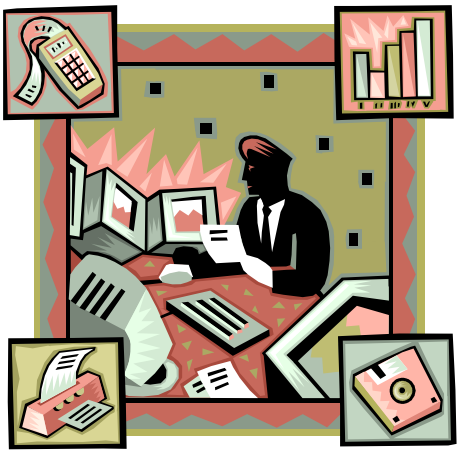
ACADEMIC METHODOLOGY

In order to facilitate the classroom of the 21st century, it is necessary to assemble the current "state of the art" technology to familiarize the students with this new working environment. Each student submitted their designs to the professor via email. The virtual studio thus responds to the future expectation that all work will be transmitted by computer. The professor critiques the work and the students grades will be based upon the amount and quality of work submitted for review. Periodic class lectures, field trips, and presentations were prearranged by email and a course syllabus.

CONCLUSION

It is the intent of the TEXASTUDIO to act as a catalyst, a seed that becomes both a means of applying and initiating research. The concept of an Experimental Class that tests both the products and its own process is an idea unique to the 21st century. The premise and methodology of education is currently floundering in a world torn by economics, a legal agenda, an information explosion, and the changing rules of the workplace. The TEXASTUDIO will attempt to chart a path that speaks to a new means of transmitting information in a non-biological way and responds to shifting demographics, and the optimism that Education is the source of hope for the future.

CONTEXTUAL ANALYSIS OF TECHNICAL COMMUNICATION TEXTBOOKS



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INTRODUCTION

Definition and Description

Whenever usable information is conveyed through paper-based forms, via email, or by phone to various people in various situations, the work of a technical communicator is performed, but what is technical communication? We do not consider technical communication to be a singular entity, but rather a multifaceted way of describing a certain genre of interaction that differs amongst varying discourse communities. The articles written by Carolyn Miller and Patrick Moore, as well as others, have tried to tackle the never-ending debate concerning the definition of technical communication. A combination of workplace practice, current theory and research, and classroom practice are all critical elements to teaching technical and professional communication, but a single totalizing pedagogy can be destructive.

Our description will be rooted in the textbooks that we analyze throughout this report and rely on the types of communication that are taught therein. Our notions of technical communications include, but are not limited to oral presentations, electronic presentations, written documents, and electronic communication. We are using these examples most explicitly because they are what the technical communication textbooks that we have analyzed most ardently tried to teach to students.

Textbooks

- Lannon, John H. *Technical Communication*. 9th ed. Addison Wesley Longman: New York, 2003.
- Burnett, Rebecca. *Technical Communication*. 5th ed. Thompson and Heinle: United States, 2001.

- Blicq, Ron and Lisa Moretto. *Technically- Write!* 6th ed. Pearson: New Jersey, 2004.

Purpose and Scope

The purpose of this report is to analyze the main technical communication textbooks suggested by our professor, Dr. Isabelle Thompson, and to see how they varied in their visuals, pedagogical slants, exercises, bibliographies, backgrounds of their authors, voices, and readability. These differences alter the targeted audiences of the books, be it professionals, a specific discourse community of students, or for a general introductory technical writing class with students from a wide array of academic disciplines. Each book will be treated as a cultural artifact, studied individually, and then compared with others based on content. Our inspection was focused on how three specific types of technical communication documents are presented/taught in these textbooks. They are as follows: memos, reports, and resumes. We feel that these are among the most prevalent types of documents in the workplace, making the time spent on each, their locations in the books, and how students are introduced to them of pivotal importance to the technical writing instructor.

In this report we will look at various technical communication textbooks that would be appropriate for the workplace as well as the classroom. This report will include a literature review, methodology of study, and contextual analysis of three of the five technical communication textbooks, results of analysis, discussion of our findings, and recommendations.

- Contextual Analysis of technical communication textbooks
    - Intended Audience
    - Theory versus Practice
    - Invention versus Templates

- Environment
    - General Introductory Course
    - Specific Discourse Community
    - Workplace

The purpose of this report is to take an depth look at the intended goals for instruction in a variety of technical communication textbooks and how those goals are implicitly or explicitly communicated through the use of assignments, theory and practice.

Intended Audience

The intended audience of our report includes the following:

- Professional technical communicators
- The composers of technical communication textbooks
- College-level instructors of technical writing
- Advanced graduate students who plan on teaching technical writing in the future

Instructors will benefit from this study by understanding that choosing the appropriate text is just as important as choosing the most appropriate tasks and assignments. The

composers and authors of technical communication textbooks will benefit from the examination of the intended purpose of the textbook and the actual interpretation of that purpose assumed by instructors and students. Students who might take these courses where these texts are used are not the primary audience because the likelihood of them reading a technical communication journal prior to the first course in the area is slim, and they may not be fluent enough in the pedagogical discussion to fully grasp our rationale or necessarily perceive the differences that we discuss. Students enrolled in technical communication courses can benefit from this study by using the research that we have done to take a more active role in becoming an efficient communicator in any professional setting.

Limitations of Study

Given the time constraints on this project, just under five weeks, and limited access to technical communication textbooks, we followed our instructor's advice and used books that she recommended. Since time was of the essence, we focused our inquiry to the particular aspects of the texts mentioned earlier that we felt all technical communication books should have and analyzed those specific areas in depth.

LITERATURE REVIEW

Many scholars, technical communicators, and professional scholars have tried to find an appropriate answer that will satisfy the discussion of the importance of the

influence of rhetoric and instrumental discourse in a technical communication course. The differences in the pedagogical theories and implicit or explicit goals of the instructor as well as the student alter the importance of specific topics as well as instruction. In this literature review we have chosen articles that represent the current discussion concerning the instruction of technical communication, only to demonstrate the varying foci of professional communication. We have chosen to section the literature on this topic into three categories: humanistic view, humane view, and professional view. Each of the categories have its own unique outlook of instruction for technical communication, but we feel that a combination of all three view points would best serve the general purpose of a technical communication classroom, be it introductory or specialized.

Humanistic View

One of the questions that we asked ourselves throughout this process is what role technical communication should play. This question has been problematic for us because we do not believe that there is a textbook definition to what technical communication is, rather, appropriate descriptions are supplied. We do believe that there are particular roles that the definition must consider, especially ethics. Having more classroom experience than professional in the world of technical communication has shaped our views, but as teachers, we feel that there are certain ethics that we are at least compelled to make our students aware of.

In Carolyn Miller's "A Humanistic Rationale for Technical Writing," she suggests that an "altered view of science, and of the relationship between science and rhetoric, can provide a basis for seeing technical writing as a more humanistic and less

coercive endeavor" (611). This statement has caused a controversy spanning twenty-five years, and we still do not have definitive answer as to whether her humanistic pedagogy is better or worse than Moore's humane one. For pedagogies of specific discourse communities, such as engineering, Miller's argument has a lot of merit and is supported by Natasha Artemeva, Susan Logie, and Jennie St-Martin in "From Page to Stage: How Theories of Genre Help Introduce Engineering Students to Discipline-Specific Communication," where they advocate teaching such students rhetoric so that they better understand their given subject material. Humanistic modes of pedagogy foster the search for knowledge because of its intrinsic value, but this too is often stereotyped as a typical mode of those in academia, which is an important factor in the construction of a technical communication book. If the audience is for people in the university setting, a humanistic discourse is likelier to be acceptable, but it will still have limits; and an audience of professionals, however, is not necessarily going to be as open to such a discourse and seek a more "nuts and bolts" instrumental discourse.

In Nancy Roundy Blyler's "Pedagogy and Social Action: A Role for Narrative in Professional Communication," she articulates that, "using a narrative framework in our professional communication courses will help us clarify for students both the workings of power and cultural reproduction and the nature of socially responsible communicative action" (293). A narrative framework is especially important when considering multiple technical communication textbooks that have different purposes; a book designed for entry-level professionals is going to be structured around a very different set of ethics than one designed for engineering students, or one for a broad-based introductory technical communication class. These frameworks become apparent in textbooks based

on whether they encourage instrumental learning through templates, how many templates they provide, whether the textbook encourages the student to merely revise templates of documents, or if they force students to construct documents from scratch.

Looking at books geared towards different audiences, we had the opportunity to observe different foci of education, for instance, the amount of time that each book spends on teaching students how to create particular types of documents. In turn, this causes people who use these books to learn how to write for specific types of audiences. Whether we personally agree with Blyler is irrelevant, but authors such as Rebecca Burnett, *Technical Communication*, and Paul Anderson, *Technical Communication: A Reader- Centered Approach*, have reified her belief by the extent to which they make ethics an explicit part of the pedagogies that their texts further. Some authors such as Ron Blicq and Lisa Moretto, "*Technically- Write*!," are more explicit about making sure that the readers, future technical communicators, know their place in that role; while others take a more liberal approach and encourage students to explore hegemonic frameworks for a deeper understanding and knowledge of how things work, rather than simply informing readers that they simply do (work).

Humane View

Carolyn Miller's 1979 article made such a significant stir that it was still being responded to in 1996 by technical communicators such as Patrick Moore. In "Instrumental Discourse is as Humanistic as Rhetoric," Moore argues that many scholars in Miller's camp are "…overemphasizing the rhetorical, literary, and creative aspects of technical communication [which] ignores what is socially useful and humane about the

instrumental aims of technical communication" (101). As discussed previously, different audiences have humanistic and humane needs. To a large extent, this could be considered an argument of competency versus creativity; instrumentalists, such as Moore, are concerned with teaching students a skill, while humanists, like Miller, want their students to be innovative rather than rely on templates. Most technical communicators will agree that certain documents have to contain specific types of information, but document design and presentation can be individualized to a large extent. The humane model tends to suggest creating automatons in the classroom, whereas the humanistic approach would ideally harbor students who were genuinely interested in gaining knowledge for more intrinsic reasons.

This is problematic and intricate to the discussion of the instructor and textbook author's obligation to the student and why it is that students take technical communication courses. For those in the workplace who need to learn technical communication on their own, a humanistic pedagogy is probably 150 extra pages of reading that is irrelevant to the skills which they wish to master. In Artemeva's engineering classroom, a humanistic approach to rhetoric as a means of teaching students to better understand language in their discipline functions a tool that helps engineering students become better engineers. In a more general technical communication class, where we have a wide variety of students (those getting ready to go out in the workforce, those required to take the class because of their major, and a few who are genuinely interested in the subject matter), we may have a problem because of the multitude of expectations of students. Based on conversations that we have had with instructors of such courses and having taken them, most students (whether they took the class of their

own volition or not), expect to leave the classroom with a marketable skill, as opposed to spiritual enlightenment.

Much of this ongoing dialog (which predominantly exists amongst instructors) is to what extent it is our responsibility to instill ethics into our students and how these ethics should be introduced into the curriculum. If the burden lies with the teacher, do academic books really even need to take this into consideration and should the authors/publishers rely on instructors to give students whatever dose of ethics that they feel is necessary? What of professionals who partake in self-education (buying a book and learning without any teacher-instruction)? Should authors explicitly catering to such audiences be more compelled to include ethics (regardless of whether readers think that they need it) because books and (eventual) practice are their only means of education?

John Hagge, in "Ethics, Words, and the World in Moore's and Miller's Accounts of Scientific Discourse," helps to make sense of the longstanding argument between Carolyn Miller and Patrick Moore when he articulates on "the relationship between the world and words" (461). Although Hagge sides with Moore in preference of instrumental discourse over rhetoric, his discussion is quite useful to our report because we are breaking down textbooks which are instrumental tools for teaching more so than they are necessarily rhetorical. Any textbook can contain rhetoric, but to effectively teach an introductory-level technical communication course (or write a book for one), examples, which serve as templates, must be provided for students to follow. Granted, Hagge may have read a bit too conservatively because even Moore acknowledges the need for rhetoric in the technical writing classroom in his "A Response to Miller and Kreth," stating that his complaint against Miller is her "totalizing rhetoric" (491). In our

research, we have found that the amount of rhetoric used in these textbooks is directly related to the type of audience that they are geared for—just as the extent to which ethics are discussed. There is a positive correlation between the use of ethics and rhetoric and goals of the intended audiences to be professional or for an explicit learning community.

Professional View

James Dubinsky provides a useful insight into the nature of technical and professional communication education that leans towards Miller's camp in "More than a Knack: *Techne* & Teaching Technical Communication" when, considering the backgrounds of instructors in technical communication classrooms, he asserts that having instructors who lack technical communication experience "can lead to formulaic, form-based pedagogy that hinders reflective practice and emphasizes a system-centered, as opposed to a user-centered, perspective" (Dubinsky 130). He grounds his argument in people with real experience having "know how" versus people assigned to the courses with only rhetoric or literature backgrounds being limited to "knowing 'how-to'" (131). Although, Dubinsky may be guilty of some oversimplification in this likening as literature and rhetoric instructors are often well versed in proposal writing, he overlooks the fact that technical communication is relative to the discourse community that is being addressed. His ideas about "know how" explicitly suggest experience on the part of the instructor, but, in contrasting this with "knowing 'how-to,'" Dubinsky argues against templates and possibly that people with more onsite contact are better equipped to improvise.

The extent to which this suggests creativity is debatable, but he makes the argument against a purely instrumental discourse. The "know how" part is also hard to find in a book. This makes the obvious contention that the textbook itself is less important if there is a good instructor on hand, and some of the authors of the textbooks that we examined may agree, accounting for their abbreviated discussions of certain topics. Yet, this raises the question of whether it is ethical for the author of a textbook to skimp in certain areas and rely on instructors' expertise, especially when there are many professionals, such as Dubinksy, who believe that instructors do not have enough to adequately educate technical and professional communication students.

Mike Markel's article," Using Design Principles to Teach Technical Communication," may be based on a series of five-session classes that he taught to industry professionals, but some of the pedagogical questions that he raises are as important to textbooks as they are to courses for adults that are taught onsite for companies. Markel questions whether technical communication pedagogy "fully exploits the union of visual and verbal rhetoric that characterizes effective technical communication" (208). For the purpose of textbooks, it may be necessary to replace "verbal" with "text," explicitly the more prose-oriented text. The books that we have studied in this project varied greatly in the numbers and examples of documents provided, if diagrams were used instead of prose to convey information, and whether authors used more technically oriented lists in lieu of blocked text, teaching students about technical communication through it.

This "union" is necessary; although, all instructors do not embrace his theory to the extent that he would like them to. The success of this union is the result of the ethics

of the author and his pedagogical leanings. For instance, an author that furnished the reader with five different types of experiential resumes may be more humanistic than the author who only furnishes one because the former is allowing room for creativity while the latter is instrumental and furnishing a basic template, only providing essentials. Surely page constraints play a factor in what an author chooses to include or leave out, but that is why our analysis looks at multiple facets of the book in order to see the larger picture about the author's intentions and how that shapes the likely audiences of the various books.

METHODS OF RESEARCH

The majority of the research was conducted in the following ways:

- Reading various technical communication textbooks
- Choosing textbooks that represented the three major categories of instruction:
    - Humanistic View
    - Human View
    - Professional View
- Analysis of textbooks
    - Intended audience
    - Purpose and goals of instruction
    - Placement and importance of technical documents, visuals and exercises
    - Readability

- Compiling the results from analysis
- Literature review of the various goals of technical communication

RESULTS

TECHNICALLY WRITE

- **Intended audience**
  - Designed most explicitly for people already in the workplace
- **Color Scheme**
  - Drab: black with two shades of gray
- **Readability**
  - ***Table of contents*** are highly accessible and can point readers to whatever subjects they may need
  - ***Index*** indicates that certain tasks are broken up and discussed in varying chapters, as opposed to getting all of a certain type of document done in one or consecutive chapters
  - ***Explanatory keys*** to reading documents are often difficult to read, especially when they are broken up over many pages, interspersed with examples, and the format for their location is inconsistent; there are explanatory notes in the margins as well
- **Memos**
  Chapter 3: Letters, Memos, and E-mails
  - Shares a chapter with e-mail
  - Length of discussion: 16 pages (49-65)
  - Examples from Chapter 3
    1. ***interoffice memo*** (49)
    2. ***fax cover letter*** (50)
    3. ***e-mail*** as memorandum (51-52, four examples, a conversation)

       NOTE: the author characterizes pages 49-65 as pertaining to memos in the index; I would really only consider pages 49-50 to do this because the remainder of the chapter is on e-mails.
  - Based on the assignments section, the way that letters and memos are grouped together, undifferentiated, the authors do not seem to see much difference between the two tasks except for their length (**see 57-65 for assignments)**
- **Reports**
  Chapter 4: Short Informal Reports
  Chapter 5: Longer Informal and Semiformal Reports
  Chapter 6: Formal Reports
  - Chapters broken down according to length and formality of reports

- Length of discussion: 129 pages (56-185)
- Examples from Chapter 4
  1. ***e-mail*** describing rationale for tense changes (68)
  2. ***incident report*** e-mail broken down into six sections in margins (69)
     - (70) includes key to the report's breakdown
  3. ***Inter-office memorandum*** broken down into four sections in margins (71)
  4. ***Sketch*** accompanying inter-office memorandum (72)
     - (72-3) includes key to the report's breakdown
  5. ***Trip report*** with notes in margin (75-6)
  6. ***Progress Report*** with notes in margin and explanation of organization on following page (78)
     - ***Interoffice memo*** functioning as a *progress report* (81) with total rhetorical breakdown on following pages
     - ***Personal Progress Report*** (85)
     - ***Project Completion Report*** (87) with rhetorical breakdown in margins
  7. Short informal ***inspection report*** (90) with keyed rhetorical breakdown in margin

  NOTE: Exercises give details on what to do, but require the student to write the report rather than revise.
- Examples from Ch. 5
  1. ***Memo investigation report*** (102-4) with keyed margins
     - Key for memo (101, 105)
  2. ***Investigation report*** (108) with explanatory notes in margins
  3. Cover letter preceding evaluation report (110)
  4. ***Evaluation report*** (112-117) with key in margin
     - Key (109, 111)
- Examples from Ch. 6
  1. ***Organizational template*** (125)
  2. ***Varying report templates*** (127)
  3. *Bibliography* (145) with keyed margin
     - Key (144, 146)
  5. Main parts of formal report (149)
  6. Birdseye view of report format (150)—traditional arrangement
     - ***Letter authorizing report*** (153) with explanatory note on bulleting
     - ***Cover letter*** accompanying formal report (154)
     - ***Formal Report*** (155-168) with explanatory notes in margins
  7. Birdseye view of formal report (171)—pyramidal arrangement

- ***Formal Report*** (172-176)

- **Resumes**
  Chapter 11: Communicating with Prospective Employers
  - Length of discussion: 19 pages (285-304)[1]
  - Examples from Chapter 11
    - Provides templates
      - ***Traditional resume*** (290)
        - key to traditional resume (289, 291-292)
      - ***Focused resume*** (295-296) with keyed and annotated margins
        - Key to focused resume (293-294)
      - ***Functional resume*** (298-299) with keyed margins
        - Key to functional resume (297, 300)
      - ***Electronic resume*** (303)
    - **EXERCISES:** Predominantly concerned with how well the student and can create their resume according to the varying templates. (321)

TECHINCAL COMMUNICATION (Lannon)

- **Intended audience**
  - Broad: can either be used by professionals in the workplace or students in an introductory service technical communication course designed to accommodate students from a broad range of disciplines
- **Color scheme**
  - Diverse: Multiple shade of blue, red, green, brown, black, grayscale, in addition to color photographs
- **Readability**
  - ***Table of contents*** are highly accessible and can point readers to whatever subjects they may need
  - ***Index*** directly guides students to the subject that they seek without referring them to any other keywords to look under
  - ***Explanatory keys*** limited to explanatory notes in margins
  - Some examples are hard to discern from text become in some places these visuals are presented with a birds eye view of the document while others are incorporated to the text in the chapter, which can make them more difficult to recognize
  - Topics disjointed and discussed in nonconsecutive chapters
- **Memos**
  Chapter 18: "Memo Reports and Electronic Mail"
  Chapter 19: "Letters and Employment Correspondence"
  - Located at the beginning of the Chapter 18 and at the opening of Chapter 19 with letters and employment correspondence
    - Chapter 19 refers back to letters for formatting of memos

[1] I am only looking at the resume section, not the entire job search.

- Length of discussion: 22 pages (397-403, 419-433)
- Examples from Chapter 18
  1. Elements of a ***Usable Memo*** (398)
  2. ***Recommendation Memo*** (400) with annotations in margins
  3. ***Justification Memo*** (402) with annotations in margins
- Examples from Chapter 19
  1. ***Business letter*** (420) with explanations of necessary contents one elements of a good letter following pages (421-422)
  2. ***Modified Block Letter*** (423)
     - Discusses interpersonal connections present in the composition of letters
       - Inquiry letter described
       - Request letter described
     - Compares telephones conversations and e-mail with letters
       - Claim letter described

- **Reports**
  Chapter 18: "Memo Reports and Electronic Mail"
  Chapter 25: "Analytical Reports"
  - Located at between memos and e-mail in Chapter 18 following memos and the entirety of Chapter 25
  - Length of discussion: 41 pages (403-409, 604-637)
  - Examples from Chapter 18
    1. ***Progress reports***
    - On the job (404) with annotations in margins
    - On a term Project (405-6)
    - Periodic activity report (406-7) with annotations in margins
    2. ***Survey Report*** (408) with annotations in margins
    3. ***Minutes of a meeting*** (409)
  - Examples from Chapter 25
    - Refers back to the recommendation reports discussed in Chapter 18
    - Defines analysis as "is a form of critical thinking in which we separate a whole into its parts, is essential to workplace problem solving" (605)
    - Elemental guidelines for report writing
      - ✓ Asking the right questions
      - ✓ Searching the best sources
      - ✓ Evaluating and interpreting findings
      - ✓ Drawing conclusions and making recommendations
    - Three main components of workplace problem solving
      - ✓ Casual analysis
      - ✓ Comparative analysis
      - ✓ Feasibility analysis
    1. General ***Model for Analytical Reports*** (612)
    2. ***Analytical Report*** (613-623)

- **Resumes**
  Chapter 19: "Letters and Employment Correspondence"
  - Located in the middle of the chapter, between memos and electronic job searches
  - Length of discussion: 15 pages (434-448)
  - Examples from Chapter 19
    - Begins with tips about effectively marketing skills and reworking their description to accommodate applications for multiple positions
    - Provides guidelines for assessing skills and aptitudes
    1. ***Most Commonly Used Job-Search Methods chart*** (435)
       - Informs on how to research the job market
    2. Resume for an Entry-Level **Candidate (*Reverse Chronological Arrangement*)** (441)
    3. Resume for a Summer Internship Candidate **(*Modified Functional Arrangement*)** (443)
       - Characterizes the resume as a summary of experience and qualifications
       - Reinforces that resumes are written to cater to a specific audience
       - Defines guidelines for necessary elements of a portfolio and discusses what should be included in a professional portfolio
       - Contains a section on creating hyperlinked resumes
    - **EXERCISES** include a collaborative project where group members compose a cover letter and resume for a specified position, individually, students are to complete a job-search for a position that interests them, but there is no assignment in the text that requires students to create their own "factual" resume

<u>TECHNICAL COMMUNICATION</u> (Burnett)

- **Intended Audience**
  - This book is designed for a discourse community of technical writing students, not for a class combining students of various disciplines, as well as for professionals seeking to improve their skills
  - The author includes "Ethics Sidebars" discussing the implications of choices that technical communicators make
- **Color Scheme**
  - Two shades of green, black and white
- **Readability**
  - Provides case studies on how to perform tasks, often furnishing these prose-style explanations rather than examples
  - ***Table of contents*** are highly accessible and can point readers to whatever subjects they may need

- ***Index*** directly guides students to the subject that they seek without referring them to any other keywords to look under
- ***Explanatory keys*** limited to explanatory notes in margins

- **Memos**

  Chapter 14: "Correspondence"
  - Located after letters in Chapter 14
  - Length if Discussion: 14 pages (500-3, 507-517)
  - Examples from Chapter 14
    - Memos are treated as abbreviated letters
    - Diagram illustrating the Domino Effect of Correspondence (495) and the chapter is explained through and document examples are furnished according to this paradigm, illustrating where on the diagram each piece falls

    1. ***Complaint letter*** (497)
    2. ***Response to Complaint letter*** (498, 502)
    3. ***Internal memos*** (501, 506, 507)
    4. ***Information letter***
    5. ***E-mail message*** (499, 500, 503, 504)
    6. ***Request for information***
    7. ***Letters for good customer relations*** (505)

    - Guidelines for composing effective correspondence
      - ✓ Analyze audience
      - ✓ Include a subject line
      - ✓ State objectives, ask questions
      - ✓ Explanatory material
      - ✓ Organize material according to anticipated response
      - ✓ Enumerate
      - ✓ Be specific
      - ✓ End cordially
    - Discussion of attitude and tone with regard to audience, advocating simple and direct language
    - Organization of information broken down into three main categories
      - ✓ Dissemination
      - ✓ Requests/inquiries
      - ✓ Responses

    8. ***Letter* formats**
       - ❖ ***Block letter*** (513)
       - ❖ ***Modified block letter*** (513)
       - ❖ ***Memo*** (513)
       - ❖ ***E-mail*** (513)

    - Format conventions used in correspondence (514)
    - **EXERCISES** furnish students with information and they are asked to perform tasks, such as writing letters, given the information provided.

- **Reports**

  Chapter 17: "Reports"
  - Spans the entire length of the chapter

- Length of discussion: 53 pages (604-656)
- Examples from Chapter 17
  - The author refers readers back to Chapter 14 which discusses the components of reports, but does not completely assemble them
  - The author also notes that unless someone's primary professional role is writing that the information contained in Chapter 14 on constructing memos (and memo reports) should suffice them (605)

  1. *Periodic activity report*s

  2. ***Recommendation Report*** (612-3) with annotated margins, (630-43)
  - Defines purpose and characteristics of reports

  3. Progress reports

  4. Meeting minutes
  - Discusses connections between writer, audience, and style

  5. ***Trip and conference reports*** (618-9)
  - Purpose and characteristics of reports
    - ✓ To report information
    - ✓ To analyze information
    - ✓ To persuade

  6. "To file" reports
  - Report planning
    - ✓ Identifying with the audience
    - ✓ Thinking critically
    - ✓ Be clear and state the purpose

  7. ***Transmittal Report*** (629) with annotated margins
  - **EXERCISES** encourage students to think about the issues and complex ethical situations and consider their goals as technical writers

- **Resumes**

  Chapter 19: "Addressing Career Concerns"
  - Follows job-searches and the cover letter; precedes portfolio construction and interviewing
  - Length of discussion: 15 pages (701-715)
  - Examples from Chapter 19
    - Preparing application letter

    1. Sample ***job posting*** (699)

    2. ***Letter of application*** (700) with annotated margins
    - Provides bulleted list of items that must be included in an application letter
    - ***Table of essential information to be included in a resume*** (703)
    - Furnishes an "Ethics Sidebar" on falsifying credentials
    - Design strategy for online resumes

    3. ***Resume emphasizing chronology and organization*** (713)

    4. ***Resume emphasizing organizations and positions*** (714)

    5. ***Resume emphasizing specialized coursework and group projects*** (715)
    - Provides tips on assembling portfolio

- **EXERCISES** require students to take information furnished to them and create a scannable resume, but students not have to create their own resume.

DISCUSSION OF FINDINGS

TECHNICALLY- WRITE!

This book is based solely on improving effective communication in the workplace. Blicq and Moretto present all aspects of technical communication that a technician, technologist, engineer, scientist, computer, or environmental specialist etc. that are likely to encounter in the workplace. The influence of workplace practice is a direct result of the experiences of both Ron Blicq and Lisa Moretto, acknowledging the overwhelming need for technology in the workplace. Both authors have had a substantial amount of experience as technical communicators as well as instructors of technical communication courses. The pedagogical slant of this book is instrumental being that the authors use the examples in the book as templates for creating technical communication documents. The rationale for this book is to teach professionals how to compose a particular technical document intermingled with teaching them how to write. This book is based upon the "pyramid" method of structuring information.

EXERCISES:

The exercises in this book are more based on promoting the reader to create documents than to revise them than other technical communication books that we came across. Blicq and Moretto do not leave room for creativity as there is usually only one or two templates/examples provided. The location of the resume is an indicator that this book is intended for people who are already in the workplace. Less importance or

indication that this is more strictly intended for use in the workplace than for those still in universities, learning how to do tasks done by the company an individual is employed with may be of greater relevance than creating a resume. The late appearance may suggest that once the other skills are gained that an individual possesses more marketable skills and will be able to "beef" up their resume with that information in mind.

LANNON'S *TECHNICAL COMMUNICATION*

This book combines the rhetorical and instrumental pedagogical theories of both Carolyn Miller and Patrick Moore by teaching students about document design through examples and suggesting that these are guidelines, not templates. In his discussion of audience, he teaches cultural awareness through the use of visuals and block text explanations. A majority of the visuals in the first 17 chapters are more about "how to" or designed to encourage the readers to think about contextual situations. Many of the technical documents are not of the practical sort, but charts and diagrams are used to teach foundational information for composing technical documents. He is teaching through the use of technical documents creating a picture, and the use of practical visuals becomes prevalent in chapter 18.

EXERCISES

There is a section at the end of each chapter containing "exercises," "collaborative project," and "service learning project." The exercises become more prolific, complex and time consuming as chapters progress. One of the clear indicators is made prevalent by the service learning projects infused at the end of each chapter, which reinforces the importance of ethics in technical communication that Lannon tries to instill in his

students by fostering a civic education. The types of documents that are taught become progressively more difficult as the book goes on. The book contains a handbook that would be very helpful for students as opposed to the Technically- Write! written for people already in the workplace.

BURNETT'S *TECHNICAL COMMUNICATON*

This book is designed for a discourse community of technical writing students, not for a class combining students of various disciplines, as well as, professionals seeking to improve their writing skills. Like Lannon, she uses technical documents to teach technical communication, but to a large extent replaces prose by creating diagrams to explain technical documents. Following Miller's theoretical approach, Burnett feels that the most important elements of technical communication are that it be "precise, detailed, functional, and focused" (xxi). The author also includes in every other chapter an "Ethical Sidebar" to discuss the implication of choices that technical communicators make.

EXERCISES

The exercises are a healthy dose of individual and collaborative assignments. The job search and resume do not appear until very late in the book suggesting that the author is more concerned with teaching the ethical implications of technical documents as opposed to teaching students the actual function of such technical documents. The exercises provide students with information and they are asked to perform tasks, such as writing letters with the information provided by the text.

DISCUSSION

Most people, when they hear "textbooks," think of books that they use for school, which are generally used in course instruction. Granted, in an English department, we might call *Jane Eyre* a text book, but does the fact that anyone in the world, whether they are in school or not, could pick it up and read it, affect that determination? We could argue that books read in courses are accompanied by teachers' instruction and class discussion, which would, ideally, harbor deeper thought and, hopefully, better comprehension of the text on the part of the students. In today's workplace, many employees are expected to possess or gain skills that they did have the benefit, time, or inclination to get as students, with technical communication skills in high demand and short supply. With this knowledge, how should the authors of textbooks compose them in response to the need for this skill? Should there be completely separate texts designed for people in the workplace, who independently try to gain these skills, than ones designed for institutional use at universities?

Obviously, there are certain types of documents that both groups of learners need to accrue, but if the teaching methods are vastly different, is one of the groups being shortchanged? The people already in the workplace know what it expected of them, so they would probably look for books that cater specifically to the tasks that their employers require of them. Traditional students, on the other hand, are coming into this more blindly because most have little to no work experience and often take these courses because they are required to by their universities, colleges, or departments. It would be to the benefit of college instructors to provide their students with as much knowledge about technical communication as they can, so that they can go out into the work world and get

the highest paying jobs and beating out professionals with workplace experience who do not possess the necessary communication skills to be competitive. Given this, instructors are likely to choose textbooks that are the most inclusive.

People in the workplace may not have the leisure that college students do of having the time to read books from cover to cover, although we are not saying that students actually *do* this, which may lead them to prefer more abridged tests. Realistically, students do not get to pick which technical communication book that they use in class, that is up to the instructor and relates back to why we do not think that undergraduates would be particularly apt to read our article, nor do we think that they would peruse through every technical communication book that was being used by the various instructors in a department until they found one that really spoke to them. The conundrum lays on whether the design of technical communication books that are geared toward professionals given their more specific needs, whether books of great breath and length are really of utility to people in the work force. Everyone likes to save time and money (on a shorter book), but it might not really be a bargain if it is not teaching as much as the longer, often more expensive and inclusive books designed more specifically for classroom education. If someone really wants to learn something from a textbook, they can buy one, read it, do the exercises, and improve their skills. They may still be at a disadvantage to someone who had an instructor in the classroom, but practice can help to make perfect, so a book that offers more and is not quite as concerned with the succinctness that they believe that their audience desires may actually serve their readers better.

The more distinct that technical communication books are for institutional and independent retraining use, the more that ones for the workplace will be limited to "how-to" books. As Dubinsky points out, there is a stark difference between having "know-how" and learning "how-to," which may mean that these shorter books designed more explicitly for professionals may be limiting their versatility. Sure, they are learning a new skill, but they may not learn hot to adapt and modify it, only being aware of basic templates, which will still be a disservice to them because young students fresh out of college will have been taught *how* through exposure to their instructors who had the "know how."

RECOMMENDATIONS

We are graduate teaching assistants, so we are somewhat biased about the benefits of education and classroom instruction. We are aware that there are some students who learn better on their own, but in our experience, we have found that the majority do not, that they learn better by listening to their instructors, conversing with their classmates, asking us questions individually during office hours, and some with the help of tutors. There are plenty of people in the world who have learned things on their own because they did not have the privilege of a formal secondary education or necessarily the desire and have subsequently become successful leaders in their fields, but many of these people have gone the extra distance to obtain the knowledge requisite to dominate their fields.

All of the books that we looked at have merits, they would not have been published if they did not, but some succeed in more areas than others. In our exploration

of these textbooks, we never saw what we would describe as "too much" information or time spent on any area of technical design because more attention translates into better enculturation of the subject matter for students, usually through more practice and exercises to master. We acknowledge that some of our students might get annoyed with too much background historical material on technical communication because we view the technical communication service courses that these texts were largely designed for to be classes the students come into with the purpose of gaining skills. Instructors can certainly accommodate books that are light in certain areas by adding their own supplemental materials and assignments, but in our exploration of these books one of the things that we kept in mind are the people in the workplace who have to self-teach themselves these materials and no access the background information and assignments that fill instructors' filing cabinets and hard drives.

The titling of the books may work against the purpose of the book. Those in the work place and who are unfamiliar with the jargon of technical communication may be less likely to choose this type of book because of the faulty title. If these books were entitled professional communication or effective communication, the public would be more likely to embrace them because, then, it would communicate to them that it serves a specific purpose. For instance, on the cover of *Technically- Write!*, it has fiber optic wire on the front, which makes it look more either engineering or science related. If someone in the business world was looking for a refresher course or wanted to improve their skills, the covers of the books would have a great impact on whether or not they looked twice at it.

Looking at Burnett's book, the front cover has nothing to do with technical communication. Like *Technically-Write!*, this book also has an engineering diagram and a Ferris wheel, which do not pertain to technical communication and would be dissuasive to non-engineers that are looking for a book whose cover conveys exactly what the books contain. *Technically Write!* seems to us to be the book that would be most prone to being picked up by someone already in the workplace because it teaches the same basic documents as the other books, but does so in the least number of pages and when you work "time is money." One of the toughest hurdles to clear, in terms of making all of these books more effective for people in the workplace, is to reinforce the importance of these exercises—that there is more to learning how to write a report than reading about one and attempting these exercises, as time consuming as they may be, that it is to their benefit and will hone their skills more than writing alone. The most plausible way of getting this across may be to mirror Burnett's approach to the introduction of her text; she has one introduction for instructors and another for students and both are available for both parties to read—making the one for students more specific to those in the academic setting and adding a third for professionals seeking independent retraining may be the most efficient means of doing this. We realize that this means eating up another two pages when there are already page constraints on authors, but we believe that publishers would probably go along with the idea if they thought that it could increase their market share.

Burnett and Lannon both spent a lot of time creating books that exploit their pedagogies, and we do not mean to employ "exploit" in a derogatory way. Burnett spends probably twenty pages on what she calls "Ethics Sidebars," which discuss the

ethics of some principle of technical communication as it pertains to the specific subject matter at hand in that chapter. She and Lannon both spend a considerable amount of time discussing the ethics behind tone, voice, and means of address, focusing on their implications and the various benefits that each affords to the writer and their audiences. Lannon also incorporates service-learning projects into his exercises, which reinforces civic responsibility. We are not going to venture to judge whether students will go out and perform service projects after they are done using this book for class, but we think that it makes them aware (and hope that it helps them remember) that audiences are very wide and to bear in mind that there may be costs to other people for their actions. The lack of an ethics discussion in Blicq and Moretto's book may be welcome to people in the business world because it is just one less thing that they have to read, but, oddly, this section may be more important for them because many have long since left the idealistic college campus and work in environments with a different set of values.

A lesser amount of rhetoric may be a very saleable commodity to people in the work place, but this lack may be a disservice because a strictly instrumental book will teach them templates and the first creative college graduate that comes along may knock them out of the water. The usage of rhetoric also forces writers to consider how they are communicating; this is often considered unattractive because rhetoric becomes a vehicle for incorporating ethics of, what in the case of academicians writing textbooks, texts with a farther pedagogically and politically left-leaning slant. Some readers may think that Burnett's "Ethics Sidebars" are an inclusion of too much of her politics, but it is merely a rhetorical move designed to make writers think about what it is that they are

communicating before their work makes any statements that may be potentially injurious to them, their employers, or their audience.

We are not going to say that brevity is always a bad thing, but it has a place. For the reader who has never written a technical document and is told on Thursday afternoon that he needs to have a 150-page report on his boss's desk by Monday morning, he cannot read Burnett's book from cover-to-cover with comprehension and get the report done in that timeframe. For this person in this situation, a book designed based on an instrumental pedagogy would be just fine, as would selectively reading a couple chapters out of Lannon or Burnett's book.

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THIRD ANNUAL
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TITLE PAGE

Title of Submission: Possessing the Secret of Joy: Alice Walker's Indictment of Tradition

Topic Areas of the Submission: English, Ethnic Studies, Literature and Women Studies

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ABSTRACT

Possessing the Secret of Joy: Alice Walker's Indictment of Tradition

This paper analyzes Alice Walker's novel, Possessing the Secret of Joy (1992) and her critique of female subjugation by publicly challenging ritual clitoridectomy. I argue that the novel also serves as a metaphor for the cyclical subjugation women inflict upon other women. Walker's fiction suggests that the mental and corporeal violence--a generational legacy-- in women's relationships with other women contribute to debilitating restrictions that rival and, in some instances, surpass the brutality of female circumcision. Furthermore, Walker's fiction asserts that while female circumcision remains culturally limited, woman-to-woman oppression occurs globally, yet suffers from blatant disregard.

MILITARISM IN

AMERICAN POPULAR CULTURE

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CHAPTER 1 – MILITARISM AND POPULAR CULTURE

At the start of the twenty-first century the United States has emerged as the greatest military power in history, an Empire possessing all the features of a mature warrior society: permanent war economy, expanded security state, vast armed presence around the world and in space, a militarized order unlike anything ever known. It is a system increasingly grounded in, more accurately addicted to, the deadly but profitable mobilization for warfare – a system that celebrates the spectacle, technology, great successes, and above all *power* that militarism brings to a political order bent on global domination. While such an order cherished and indeed fetishizes the ethos of armed power, its reproduction demands a far-reaching *culture* of militarism that enters into and transforms the daily life of a population willing (under definite conditions) to give its consent to imperial adventures. Militarism appears as a form of *ideology,* a rationality that deeply influences the structures and practices of the general society through storytelling, mythology, media images, political messages, academic discourses, and simple patriotic indoctrination. While the intimate connection between institutional and cultural modes of power, between the military and daily life, is scarcely new, it has taken on new dimensions with the dramatic growth of media culture (including film), over the past few decades. If the culture of militarism endows warfare agendas with a popular sense of meaning and purpose, it also represents the hegemonic façade behind which corporate and Pentagon domination can more or less freely assert itself, both domestically and worldwide. The decay of American economic, political, and social life

cannot be understood apart from this destructive cycle, bound to worsen owing to the frightful consequences of 9/11 and what is expected to be an endless U.S. war against terrorism that, in effect, amounts to a desperate struggle to maintain all the advantages of Empire.

The phenomenon of war and warmaking both reflects and gives further impetus to a developmental pattern associated with this deepening culture of militarism. Beneath the "civilized" or "enlightened" norms of democratic society and modernity it is possible to detect a legacy of domestic and global violence that brings out some of the darkest impulses and contradicts familiar expectations of human progress tied to industrial and technological development. This was the compelling message of Michael Moore's Oscar-winning 2002 documentary *Bowling for Columbine,* which established a close linkage between regularized outbreaks of violence in everyday American life and continuous U.S. armed interventions around the world since World War II. A long history of aggressive militarism – carried out in the name of grandiose ideals – has been made possible not only through the workings of the political system and economy but through the legitimating mechanisms of culture understood in the broadest sense. Here "culture" incorporates a syndrome of beliefs, attitudes, and myths running through the mass media, popular culture, education, the workplace, family, and community life. Militarism is integral to an ultrapatriotic, chauvinistic, Manicheistic view of reality in which the forces of light and goodness are destined to confront evildoers seen as lurking everywhere, with the U.S. (by definition) representing the forces of light and goodness on a global scale.

The evolution of a permanent war system reveals just how deeply-ingrained and multifaceted the military realm has become, involving the systems of production, consumption, work, communications, politics – and inevitably collective psychology. The Pentagon labyrinth has established firm roots in historical and cultural patterns going back to the first Indian wars of conquest. If the U.S. does not yet qualify as a "warrior society" at the level of Sparta, ancient Rome, Nazi Germany, or even contemporary Israel, its militarism is surely just as pervasive, likely even more so owing to the unique international scope of American power. While few Americans strongly identify with outright U.S. pursuit of armed conquest, invasion of foreign countries, and Empire, the vast majority do remain intensely patriotic, easily seduced by ideological justifications for continued U.S. military adventures abroad. Indeed for many decades the U.S. has been a kind of fortress order sustaining popular beliefs around expansionary goals: patriotism, ethnocentrism, rights of intervention and entitlement to resources, the use of massive armed violence in the service of political ends. Never in history has a culture and ideology of militarism been so far-reaching, so sophisticated and yet so illusory, dependent upon powerful myths.

Patriotism as Secular Religion

The second Gulf War demonstrated, like Desert Storm before it, the extent to which a rabid patriotic mobilization has be sustained by American mass psychology – in popular fears, needs, aspirations, and prejudices. The ordinary person encounters a seemingly monolithic wall of militaristic myths, lies, distortions, and celebrations that would be tempting to attribute to the propaganda apparatus alone, but which goes far

beyond the discrete functions of the media and political system in manufacturing consent, vital as that is. Spectacular celebrations of war, violence, conquest, and triumph have a profoundly cathartic, empowering dimension grounded in discourses of patriotism, American exceptionalism, and racism, in the midst of a society priding itself on its special enlightenment, its wondrous educational and technological achievements, its sophisticated civic culture. While systematically ignored throughout the intellectual and academic culture, militarism has in reality become fully integrated into the vast framework of ideological hegemony, crucial to the reproduction of corporate and imperial domination.

Patriotism as Secular Religion

The military web of institutions and belief-systems in American society demands a simple yet highly-romanticized image of the national interest and mission, a patriotic ideology strong enough to call forth heroism, conquest, and armed missions in faraway places. Seen in this light, probably no country in the world is more intensely patriotic than the U.S., where the mass media, educational system, culture, and politics converge to generate pervasive hegemonic ideals. As Mary Wertsch writes: ". . . in the theatrical world of the warrior society, where costumed actors rehearse their movements and their lines, patriotism is in the atmosphere of every set."[1] Doctrines of Manifest Destiny and The American Century were organically tied to such notions, justifying the early colonial push Westward and then (beginning around 1900) outward toward Asia and Latin America. Patriotism reached its zenith during the "good war" against Nazi Germany and Japan, but later sunk to its low point during and after the Vietnam war, followed by a

resurgence during the two Gulf Wars when national military pride become an all-encompassing media spectacle. By 2003 patriotic mobilization, while uneven across the population, seemed commensurate with a nation bent on uncontested global supremacy.

In upholding war and warmaking as a noble, heroic calling, patriotism serves to rationalize the horrors and irrationality of military action: death, destruction, uprooting of local populations, environmental chaos, the very threat of planetary extinction. The ideology of warfare justifies, even celebrates, moral atrocities such as the saturation bombing of civilian areas or use of terrible weapons that would ordinarily be met with scornful outrage. Pursuit of "national interest" is invoked to legitimate the atomic leveling of Hiroshima and Nagasaki, harsh economic sanctions and blockades directed at civilian populations, the torture of prisoners, scorched-earth policies, and occupation of distant nations. Patriotism furnishes a convenient framework defining common objectives, shared fears and dangers, agreed-upon enemies. Barbara Ehrenreich refers to the "sacralization of war" where patriotism takes on the character of a "civil religion" endowing large populations with a sense of loyalty, solidarity, commitment, and empowerment.[2] As both the ends and means of war become sacred, enemies are readily demonized while mass killing is all too often turned into an heroic obligation.

The national identity of Americans has been shaped by a long history of militarism sustained by a complex variety of experiences, attitudes, beliefs, and myths. From the outset patriotism converged with militarism, both having deep foundations in the early revolutionary and settler periods and continuing through the twentieth century. As Ward Churchill observes: "Racially oriented invasion, conquest, genocide and subsequent denial are all integral, constantly recurring and thus defining features of the

Euroamerican makeup from the instant the first boat load of self-ordained colonists set foot in the 'New World'."[3] The legacy of colonization tied to military conquest has been reproduced endlessly in literature, art, music, film, TV, and ultimately within the daily lives of ordinary citizens; this is no strictly elite phenomenon, but resides within the larger collective national psyche. Chris Hedges writes that this pattern of warmaking amounts to a powerful drug peddled not only by business leaders and politicians but by writers, journalists, filmmakers, and others within the popular culture: "It dominates culture, distorts memory, corrupts language, and infects everything around it . . ." [4] Tied to the twin legacies of patriotism and militarism, the idea of war has provided Americans with a large ensemble of impulses: sense of purpose, adventure, heroism, nobility, superiority. Warmaking permits, indeed encourages, depiction of other nations and cultures as alien, primitive, uncivilized, barbaric – eligible to be attacked, conquered, even exterminated – always framed by a self-conception that is noble and benevolent.

Patriotism is usually understood as a higher value, a source of unquestioned political truths, yet as a mass belief system it typically embellishes the worst of human behavior, legitimating ethnocentrism, racism, and violence while sanctioning any variety of atrocities and war crimes. It offers a simplistic, anti-intellectual, parochial view of a world reduced largely to "us" and "them", "friend" and "enemy", "allies" and "demons", liberators and terrorists. It lifts popular spirits, especially during war mobilizations, furnishing a sense of collective empowerment that, however, is neither genuinely *empowering* nor very durable. It inspires and glorifies warfare as a virtuous human activity, rationalizing conduct that, as Hedges writes, "breaks down long-established prohibitions against violence, destruction, and murder."[5] In the U.S. this syndrome has

become more pronounced over time, as patriotism serves to mobilize popular support for the Pentagon system, military priorities, and pursuit of global power. Here the Gulf wars represent a turning point, helping rekindle American patriotism linked to armed adventures, glorification of weapons technology, and celebration of war as media spectacle. War, and especially *triumphant* war, amounts to the ultimate national catharsis, a form of ideological hegemony appropriate to U.S. global domination.

The impact of the military on American political culture thus turns out to be just the opposite of its benign representation in high-school textbooks. Military action that stimulates mass xenophobia not only legitimates the war economy but protects elite governance by deflecting attention away from urgent domestic issues. This works most effectively where military campaigns are waged against a well-defined diabolical enemy with a demonized leader (Noriega, Milosevic, Hussein), are dramatically and quickly successful, and result in minimum (U.S.) casualties – as in the first Gulf war and the Balkans. We know that warfare by its nature requires mass subordination to norms of patriotism, loyalty, and obedience, but for the U.S., with its entrenched war system, the ideological consequences are more profound, more long-term than elsewhere, having transformed crucial elements of popular consciousness and culture. Hence the widespread jingoism (stirred up by the media), the ease with which a majority of Americans can be mobilized behind military ventures, the willingness of so many (up to 45 percent during Desert Storm) to consider use of nuclear weapons against the designated enemy, the often callous indifference toward foreign casualties, the public celebrations of armed violence. While such attitudes can be attributed to the power of media and governmental manipulation, in reality they have a strong resonance within the popular culture and

national psyche. Both Gulf wars, for example, revealed a virulent nativism embedded in a mass psychology that stereotypes and demonizes Arabs and Muslims. The conclusion of the first Gulf War brought Bush senior a resounding 91 percent approval rating, not quite reached by Bush junior in 2003, when military victory (short-lived) produced a 73 percent rating. It seems that the mass public was prepared to believe any lie or myth spun by politicians and the media, allowing warmakers greater flexibility.

American nationalism has always been informed by a messianic belief in national destiny merged with notions of historical progress – a sense that people could have mastery over the course of events, a certitude about national supremacy and its entitlements, a unique civilizing mission. Here we have an ideology, simultaneously elite and mass, embracing American exceptionalism, religious fervor, and racial supremacy mixed, inevitably, with the idea of attaining virtue through military action. No U.S. president epitomized these values more than Theodore Roosevelt, with his fervent belief in Manifest Destiny and its colonizing agenda. Bush II fits perfectly within this trajectory, holding to the idea of a uniquely American crusade to establish global hegemony, ostensibly to rid the world of evil. For Bush and small group of neoconservative fanatics, military power and imperial expansion become the centerpiece of renewed fundamentalist, messianic goals, a recycling of the "white man's burden" where theocratic and humanitarian ideals help crystallize and justify the struggle for domination. In January 2003 Bush said: "We'll do everything we can to remind people that we've never been a nation of conquerors; we're a nation of liberators." It follows that such "liberation", as experienced by the Indian tribes, the Vietnamese, Panamanians, or Iraqis, would have to be a matter of considerable death and destruction.

From all we can glean from Bush's personal background and outlook, what emerges is a fierce patriotism associated with Christian evangelical notions of "good" triumphing over "evil", U.S. global ambitions being endowed with the blessings of a higher power. Empire, though scarcely acknowledged as such, is the manifestation of God's will, justified as religious imperative. Where monstrous evils must be extirpated by any means, where biblically-inspired apocalyptic visions of the future are embellished with great fervor, then reliance on military force cannot be far from sight. For Bush and his circle, therefore, the U.S. possesses not only the right but the *obligation* to remake the world in its own image – a sentiment reflected in the president's bizarre contention (in early 2003) that it would be immoral for the U.S. *not* to attack Iraq. Herein lies a unique convergence of ideological tenets guiding U.S. foreign and military policy at the start of the twenty-first century: religious fundamentalism, ultrapatriotism, militarism. While it has been argued that a small nucleus of neoconservative "defense intellectuals" were able to "hijack" American politics after Bush II's ascension to power, in fact the values they represent and policies they advocate have strong resonance across U.S. history, shown in the strong bipartisan support for the illegal invasion of Iraq. The agenda is roughly the same – the main difference being how aggressive it is pursued. Here Bush has not really deviated from well-established imperial priorities, as can be seen from a reading of Bob Woodward's *Bush at War.*[6]

The two Gulf Wars galvanized patriotic feelings on a scale rarely seen in U.S. history, owing in part to the jingoistic influence of the mass media, in part to efforts to purge the Vietnam syndrome, in part to the spectacular appeals of technowar. Seemingly new departures in foreign policy made war fashionable again, indulging the popular

attraction to spectacles, games, heroic victories, and technological gimmickry. Outpourings of patriotism come with quick military conquests of weak yet easily demonized opponents. For a populace conditioned by media culture, war is easily reduced to seductive *images* of combat violence that saturate people's living rooms, where they remain at a safe, passive, sanitized distance from the immediate horrors of combat. Political and ethical concerns are readily jettisoned from view, leaving the "audience" in a state of catharsis linked to the miracles of military victory with its destruction of a hated enemy. As Hedges writes: "We dismantle our moral universe to serve the cause of war."[7] It is a world where media *representations* of armed intervention help aestheticize acts of human violence to an extent unknown throughout human history. The aftermath of war brings not horror, shame, and forgiveness but rather the *celebration* of war itself, now commodified and glamorized. Thus following the second Gulf War, vast merchandizing operations came to the fore to take advantage of the (destined to be temporary) triumphal euphoria: on Ebay alone it was possible to buy 3000 war-related items, including Iraqi coins and bills, Hussein condoms and puppets, wristwatches, terrorist body bags, wacky t-shirts, talking military dolls, Iraqi most-wanted playing cards, and special flavors of Iraqi ice cream.[8]

For the U.S. as unchallenged world hegemon, patriotism and militarism underwrite the increasingly overt struggle for world domination. The narrative of military adventure and conquest – usually denied or obscured in the official discourse – winds up fixated on a particular target (mostly Arabs and Muslims today) that can be defined as irrationally hostile to the West, modernity, and democracy. It follows that American patriotism is tightly interwoven with the presumed civilizing process itself, a

bulwark against brigands, criminals, outlaws, gangsters, and terrorists, indeed against the whole legacy of irrationality and barbarism. And the logic of this connection seems absolutely overpowering: the stronger the armed power of the state, the stronger must be the patriotism, which legitimates virtually any U.S. military intervention regardless of its distance from American shores. Such ultrapatriotism at the start of the twenty-first century is the belief-system of a chosen nation, to some degree internalized by the vast majority of the population, justifying its peculiar historical destiny that can only be realized by means of awesome global power.

Gun Culture and Civic Violence

Owing in great measure to its long history of imperialism and militarism, to its endless fascination with guns and combat, the U.S. had by the 1980s easily become the major hub of global violence: repeated armed interventions abroad found their domestic parallel in the world's largest prison system, an epidemic of civic violence, an out-of-control gun culture, home-bred terrorism, gang warfare, militias spread around the country, domestic violence, spontaneous outbursts of youth violence like that at Columbine High School in Colorado, a mass media saturated with images of violence and bloodshed. There is hardly anything new in all this – just its expanding scope and its increasingly transparent connection with the military-industrial complex. The tight linkage between military and civilian forms of violence is the outgrowth of the role the Pentagon has come to play in so many areas of politics, the economy, culture, media, and everyday life. If the governmental and military elites appear as regular purveyors of death and destruction worldwide, then a comparable ethos can be expected to develop

locally, within civil society, as ordinary people follow the lessons taught by the power structure. As a government-supported mode of violence, militarism brings with it a definite form of *legitimation* that, as one of its consequences, gives added impetus to individual and small-group violence. Such violence results not only from a militarized foreign policy but from a social order riven by social inequality, anomie, fragmentation, and powerlessness where "politics" has lost its capacity to inspire or mobilize people, to get them involved as civic participants.

At the turn of the new century the U.S. was already the most violent of nations even as its political leaders customarily stressed high-sounding themes: peace, human rights, civic culture, law and order. This shameful condition grew out of a strong convergence of trends – global and domestic, military and civilian, national and local. And a culture nurtured on violence, on the resort to weapons and guns in solving conflicts, seems to require increasingly heavier doses of the medicine, as the 2003 war on Iraq once again confirmed. It could be that this culture has in some fashion become "addicted to war", as the title of one book on U.S. militarism suggests.[9]

As Richard Rhodes argues, civic violence is typically rooted in human experiences that desensitize people to suffering, pain, and death – harsh economic realities, media images, personal encounters, prolonged exposure to war and/or civil insurrection. Foremost among personal encounters is military training and service, designed to induce transformative individual changes that make killing more psychologically and ethically permissible, while even romanticizing and glorifying it. Combat experience in particular tends to strip away social and moral constraints historically related to violence and killing.[10] Acts producing death and destruction need

not have any relationship to immediate combat, of course, especially in the age of technowar where the military is more likely to produce its deadly effects from a safe distance, its process more detached, impersonal, clinical. The point is that military training instills in recruits a preparedness to kill with few questions asked. This dynamic of psychological conversion, according to Rhodes, has shaped the lives of tens of millions of Americans whose return to the civilian world carries with it the fruits of that conversion. Those who served in Vietnam, Korea, and the two Gulf Wars were no doubt uniquely and permanently transformed by such brutalizing experience. One result is that the distance between combat violence and everyday criminality in the U.S. has been narrowed considerably, as the military ethos spills over into civic life in myriad ways.[11]

Rhodes speaks of "unmitigated violent phantom communities" that, to varying degrees, can support all manner of horrible actions or at least desensitize people to such actions. Indifference toward suffering and pain is a product of military socialization and is reinforced by harshly violent messages contained in the mass media and popular culture. Combat experiences, moreover, usually engender feelings of anger, revenge, frustration, and cruelty that reproduce codes of violent conflict elsewhere, including militias, cults, gangs, murders, domestic assaults, and terrorism. Many veterans of military life returned to the civilian world intoxicated by images of armed combat, as shown dramatically by the case of Oklahoma City bomber Timothy McVeigh. As a general statement it seems that the more violence the individual or group experiences, the more that individual or group is prepared to engage in further violent acts – a phenomenon that applies equally to those whose surface lives may appear quite normal, replete with comfortable jobs and homes, families, and strong religious ties.[12] Beneath

the surface of a militarized society can be found a wide range of dark impulses capable of producing the most terrible deeds which, though surely visible in any culture, have uniquely pervaded the American landscape.

A major phenomenon associated with civic violence is what might be called "reactionary populism", first noticeable on a large scale in the mid-1980s in the form of a bizarre variety of cults, sects, militias, and enclave groups. Attractive to the familiar "angry white male", its diffuse ideology embraces diverse impulses: the gun culture, xenophobia, conspiracy thinking, nativism, Christian fundamentalism, racism. It is fueled by many of the same conditions that gave rise to historical fascism, such as joblessness, intense fear of change, hostility to progressive social movements, and alienation from politics. With the decline of the two-party system and corporate stranglehold over government, many local groups came to view politicians and officials as corrupt, untrustworthy, incompetent, remote from immediate social problems and indifferent to the ordinary person's needs. Violent confrontations erupted between local groups and the state – the FBI assault at Ruby Ridge, the Waco standoff and massacre at the Branch Davidian compound, the Oklahoma City bombing, the lengthy holdout of the Montana Freemen, the Amtrak train derailment in Arizona, and hundreds of lesser episodes involving angry public encounters, shootouts, and bombings. Federal agents were frequent victims of threats, acts of intimidation, and verbal attacks. Reactionary populism of this sort went into decline by the late 1990s, hastened along by the impact of 9/11, but given its deep roots in U.S. history and persistence of conditions that foster such local mobilization, the eclipse could well be temporary.

The paramilitary groups carry forward a longstanding American tradition of disenfranchised people fighting for identity, recognition, and local control against distant, impersonal, elite interests. Most see themselves as bearers of renewed citizenship to be won with great difficulty in a harsh, threatening world. Their obsession with conspiracies, with mysterious schemes and plots, and their glorification of gun culture often draws them into a zone of domestic terrorism. The militias' hostility to state power, officaldom, and international agencies is visceral, going beyond the targeting of specific officeholders and politicians, beyond any simple hostility to bureaucracy. Their grassroots impulses are compromised, however, by a sometimes virulent racism, staunch social conservatism, intensely parochial defense of turf not too different from that of gang culture, and superpatriotism. They rarely energize people toward any postive, transformative ideals, dwelling instead on popular fear of disruption, material insecurity, and scapegoating of minorities, immigrants, gays, and others defined as "outsiders", often leading to a kind of Rambo syndrome – macho revolt against elites that draws on the frontier ethic of the outlaw hero and rugged individualism.

The importance for the militias of a weapons subculture, of preparation for armed combat, based on the idea of everyday people locked in struggle against mortal enemies, can hardly be stressed enough: they are simply taking to extremes the worship of guns and violence already embedded in postwar American social life. In the year 2000 there were an estimated 240 million guns in civilian hands across the country, including several million combat-grade weapons owned by people roaming freely across the rural and urban terrain. The hard-fought and well-financed lobbying campaigns and propaganda efforts of the National Rifle Association have done much to legitimate and solidify this

gun culture. Add the influence of a mass media and popular culture saturated with images of violence, along with a turbulent civil society that feeds into a multiplicity of angry, paranoid responses, and the resonance of messages predicting apocalyptic warfare involving ordinary citizens (as in Larry Pratt's *Armed People Victorious*) becomes fathomable.

As William Gibson observes in *Warrior Dreams,* guns and violence have become a distinctly male obsession in the U.S. at least since the Vietnam war.[13] The weapons fetish has spread rapidly across regional, class, and ethnic lines; more than five million assault rifles alone were purchased between 1980 and 2000. Expressions of male violence have been on the upswing since the 1960s, from street crime to domestic violence to serial murders and terrorism. Hollywood films devoting macabre attention to mass killings – and just regular everyday mayhem – like *Silence of the Lambs, Reservoir Dogs, Pulp Fiction, Natural Born Killers, Very Bad Things, XXX,* and the *Terminator* episodes have become objects of cult fascination. The immense popularity of TV coverage of the two Gulf Wars is well known. Reflecting on the origins of this trend, Gibson points to the emergence of a "new warrior hero" in American society that mirrors a shifting masculine ethos, focused not only on soldiers and cops but on an everyday warrior life where the disenfranchised take up arms, join quasi-military groups, and "prepare for heroic battle against the enemies of society."[14] So the modern male warrior, whether in the guise of the Montana Freemen, patriot organizations, gangs, skinheads, or even a hermetic figure like the Unabomber, becomes the archetype of the renegade hero who in earlier times tamed the frontier, robbed trains and banks, or simply took the law into his own hands to fight various alien intruders.

This search for a male warrior identity goes back to the Minutemen, f rontier settlers, and foreign adventurers like Teddy Roosevelt's Roughriders, which recruited men looking to conquer the world, or at least hoping to defend their own turf, through the medium of armed combat. It runs through the myths and rituals of the mafia and organized crime as well as urban street gangs. During the 1980s and 1990s it appealed more to young white men than to any other social category – to men feeling threatened by a heartless and encroaching urban world and often driven by feelings of racial superiority, sexism, male bonding, and ultrapatriotism. As Gibson notes: "American men -- lacking confidence in the government and the economy, troubled by changing relations between the sexes, uncertain of their identity or their future – began to dream, to fantasize about the powers and features of another kind of man who could retake and reorder the world."[15] Here we witness a convergence of trends at both the elite and mass levels of American society.

Paramilitary culture was shaped in part by a national mood of defeat and pessimism stemming from the failed Vietnam war – a mood seemingly ameliorated by the euphoria of the first Gulf War. The Indochina debacle was a great blow to the collective American psyche, the end to a long tradition of U.S. military victories; it eclipsed, at least momentarily, the national sense of manifest destiny, of "progress" achieved by means of armed intervention abroad. U.S. military power was fiercely challenged and defeated, in one geographical locale and for one historical moment, creating broad psychological disruptions leading to a "crisis of self-image" in the general culture most disorienting to those in and around the military subculture. During a period of rapid, far-reaching change, including the impact of feminism and erosion of traditional

gender roles, a large percentage of men felt driven to recapture the patriarchal ethos of an earlier time. Many sought out images of violent power, which they found validated in diverse arenas of popular culture: film, MTV, video games, comics, and so forth. But for such drives to make sense, to have real credibility, they would have to confront purported enemies: Communists, foreign terrorists, drug dealers, illegal aliens, nebulous conspirators, even the federal government itself. In this paranoid milieu the national predicament intersected with a variety of identity crises and material hardships that seemed to cry out for direct action.

As with cult organizations like the Branch Davidians, a conspiratorial siege mentality came to typify rightwing extremists who formed the backbone of rural groups such as the militias, survivalists, Aryan Nations, Christian Identity, The Order, and The Order-2, often based in far West areas like Idaho, Utah, Montana, and eastern Washington. Richard Butler, long a fixture in the white supremacist Aryan Nations, set up an enclave of 20 acres behind barbed-wire fences in northern Idaho where members could meet, practice target-shooting, and generally vent their rage at disparate aliens, enemies, and conspirators. Butler's goal: a "ten-percent solution" that would save one-tenth of the U.S. for a "white homeland" while letting the rest of the country rot in its corruption and decay. Funded partly by Silicon Valley high-tech money, Butler and his followers rejected the Klan and John Birch Society for being "too liberal"; by 2000 they had established close contacts with various neo-Nazi groups worldwide. Referring to the bible as a "book of separation", displaying photos of Hitler, and fascinated with both punk rock and German marching music, the Aryans envisioned a protracted "war of freedom" involving armed combat and insurgency. The Aryans and kindred groups

derive much of their inspiration from survivalism, looking for refuge in the wilderness made possible by tightly-knit, isolated communities intent on preserving conventional lifestyles. The term "survivalist" was first coined by Kurt Saxon in the early 1960s – referring to people bonded together in remote areas, prepared to outlive cataclysmic events such as nuclear war. By the 1990s survivalist ranks grew to tens of thousands, drawing mostly from marginalized, poorly-educated white males, and the groups took on increased organizational and ideological coherence. Their élan was boosted by the influence of neo-Nazi texts like William Pierce's *The Turner Diaries.*[16]

Already in the 1980s survivalists had merged with some militias and other rightwing populist forces, building upon a milieu that included tax resisters, Posse groups, religious fundamentalists, gun enthusiasts, and the ever-present cults. Within this increasingly violent subculture many adopted the veneer of military structures replete with uniforms, chains of command, ribbons and medals, large arms caches, shooting ranges, and the lingo of an armed outfit. Judging from their abundant literature and videotapes, some militia groups believed that "urban warfare" and "race war" were imminent, that American citizens were obligated to prepare for the coming Armageddon – an outlook shared by more than a few gangs and cults. At the same time, militia partisans liked to carve out an image of simple folks just out for fun and games in the woods or desert. While many groups had disbanded by the late 1990s, hundreds of others remained, often adopting a lower profile at a time when the war on terrorism began to limit their room for maneuver.

The culture of violence naturally extends to acts of domestic terrorism, which in the 1990s found fertile soil on the terrain of reactionary populism. Proto-fascist episodes

of violence directed at public targets were frequent, the work of seemingly ordinary people taking some very ordinary American ideas (freedom, rugged individualism, patriotism, right to bear arms) to fanatical excesses. Such actions have been, at least indirectly, encouraged by the gun lobby, mass media, urban gang subcultures, generally high rates of violent crimes, the revitalized war economy, and plentiful examples of U.S. military intervention abroad. Local incidents of terrorism proliferated throughout the 1990s: according to the AFT, in the peak year 1993 there were almost 2400 bombings across the nation, leading to 70 deaths and 1.375 injuries. Reportedly hundreds of other actions were intercepted by the FBI and police agencies. The heightened interest in bombs and guns, including sophisticated assault weapons, was fueled by mail-order companies that cater to paramilitary enthusiasts, not to mention what is available through the Internet, short-wave radio, fax systems, and talk radio programs hosted by militia sympathizers. Aided by the Internet and alarmed by perceived domestic and global threats, "hate" groups multiplied after the late 1990s. In 1998 observers from Klanwatch and the Militia Task Force documented an all-time high of 474 hate groups in the U.S., an increase of 20 percent from 1996. The targeting by many groups of Arabs, Muslims, and immigrants was sharpened in the aftermath of 9/11, and the number of crimes directed against those minorities also multiplied. This orbit includes biblical doomsayers, often inspired by violent rock and hip-hop lyrics; collectors of high-powered weapons; builders of chemical devices and bombs; architects of Internet web-sites that coordinate literally hundreds of reactionary groups.

Rightwing terrorism was responsible for the bombing of the Oklahoma City Federal Building in April 1994, but this bold attack was simply the tip of the iceberg;

politically-motivated violence became a durable element of the culture, though it virtually disappeared on the left after the 1970s. Recurrent assaults on women's health clinics took place, along with increasing attacks directed against minorities, gays, Arabs, and Muslims. The violent mood has been nourished by a mounting sense of powerlessness in American society resulting from several factors: economic globalization, growth of bureaucratic and corporate power, influence of media culture, and popular cynicism over the boring, meaningless character of normal politics. It is exacerbated by the spread of paranoid, conspiratorial beliefs that often comes with fear of nebulous intruders or some kind of imminent apocalypse.[17] Paranoid obsession with black helicopters, alien creatures, drug cartels, and secret military missions – all seen as possible elements of a tyrannical "New Order" – can be understood in this milieu. Such beliefs can produce a violent demonology which, when combined with genuine fears of terrorist attacks, furnish a convenient substitute for familiar Cold War images of the Communist devil.

Domestic terrorism is hardly synonymous with reactionary populism, but the ideological milieu established by the latter helped nourish the former. As noted above, thousands of politically-motivated acts of violence were carried out in the U.S. during the 1990s, with no doubt thousands more intercepted before they could be launched – figures dwarfing anything carried out by Al Qaeda – but this homegrown terrorism has received little media attention. At the time of the Oklahoma City bombing by Timothy McVeigh and his accomplices, militia groups were at their peak, with membership estimated as high as four million (including over 400,000 paramilitary activists). Just before the bombing former CIA director William Colby said: "I watched as the anti-war movement rendered it impossible for this country to conduct or win the Vietnam war . . . This

militia and patriot movement is far more significant and far more dangerous for Americans than the anti-war movement ever was . . . It is not because these people are armed that America need be concerned. They are dangerous because there are so many of them."[18]

According to standard reports, McVeigh was just a regular kid from a blue-collar family in upstate New York. He developed an intense love of guns at an early age, obtaining a .22 calibre rifle at 13 and a shotgun when he turned 16, at which time he began stockpiling food and large barrels of water in his basement. In 1986, upon graduating from high school, McVeigh and a friend bought several acres of property where they could camp out, wear army fatigues, build bombs, and carry out regular target practice. As Joel Dyer writes, during this period "McVeigh continued his survivalist behavior. He would camp out on the property at night and practice his shooting from sunup to sundown."[19] He joined the army in 1988, was quickly promoted to corporal and then sergeant, compiled an overall excellent record, and served in the first Gulf War where he received battlefield commendations. He became an avid reader of survivalist and gun-related magazines and was fanatical about the right to bear arms, at one point complaining that the NRA had not taken a strong enough stand against gun control. He read the Christian Identity newsletter, *Patriot Report,* filled with anti-government conspiracy theories, and then got hold of Pierce's *The Turner Diaries* which, by several accounts, transformed his life. For McVeigh, however, the Waco events in 1993 were the most traumatic: he saw the federal assault as a government-sponsored massacre, directed against the Second Amendment. He visited the Waco site on numerous occasions. Here McVeigh apparently turned to Pierce's novel, in which Earl Turner decides to fight back

after the government passes anti-gun legislation. Turner blew up a federal building that housed the FBI with a fertilizer and fuel-oil bomb concealed in a truck – almost identical to the Oklahoma City scenario.[20]

In his correspondence with Gore Vidal spanning three years, McVeigh justified his actions as a necessary moral and political response to an authoritarian, oppressive, and militarized government that was waging war at home and abroad. He writes: "For all intents and purposes, federal agents had become 'soldiers' (using military training, tactics, techniques, equipment, language, dress, organization, and mindset) and they were escalating their behavior. Therefore, this bombing was also meant as a preemptive (or pro-active) strike against those forces and their command and control centers within the federal building. When an aggressor force continually launches attacks from a particular base of operations, it is sound military strategy to take the fight to the enemy." He added: "Bombing the Murrah Federal Building was morally and strategically equivalent to the U.S. hitting a government building in Serbia, Iraq, or other nations. Based on observations of the policies of my own government, I viewed this action as an acceptable option. From this perspective what occurred in Oklahoma City was no different than what Americans rain on the heads of others all the time . . ."[21] Elsewhere in his correspondence McVeigh writes: "Our government is the potent, the omnipresent teacher. For good or ill it teaches the whole people by its example."[22] From this standpoint McVeigh's brand of terrorism can be seen as *doubly* the product of a militarized culture – the gun craze and a government/military that encourages violence through its own actions.

Violence within the paramilitary milieu has parallels in sectors of youth culture including gangs, skinheads, and various roving groups across urban, suburban, and rural landscapes. Often reactionary in ideology, the skinheads – in contrast to militias and cults – have been more closely linked to the urban (and suburban) gang subcultures. Their origins go back to the Teddy Boys, a youth subculture that spawned the rival Mods and Rockers in England during the early 1960s. They came together around dispersed gangs of young males alienated from social convention, feeling hopeless about the future, and looking for scapegoats to attack as the presumed source of their economic misery and social powerlessness. Their target was mainly immigrants and racial minorities, symbols for them of a corrupt, oppressive, and threatening world. Skinheads first established a presence in the U.S. during the late 1970s, when they were associated with punk rock, "screwdriver music", episodic acts of violence, and gestures toward white supremacy. While not overtly ideological, they adopted the rhetoric of a racist, sexist, xenophobic subculture bent on reproducing the division between initiates and outsiders, between (usually homogeneous) youth groups and stereotyped "others".[23] They frequently took on the symbolic paraphernalia of historical fascism, adorning themselves with swastiskas, German Eagle medals, and tattoos, listening to German marching music, celebrating Hitler's birthday, and so forth. Like many cults and militias, skinheads attracted youth from poor, marginalized, semi-educated sectors, above all young males without strong roots in family or work – although their influence eventually spilled over into the suburban middle class. In a context where few good jobs and careers seemed available to young people, where family life had deteriorated as a source of cohesions and identity, and with politics viewed as boring and meaningless, skinheads epitomized the anomie

and nihilism of youth in general. Much like cults and militias, violent youth groups furnish solidarity where it might otherwise be absent. By the end of the 1990s the skinheads (loosely-defined) numbered probably no more than 3000 across some 31 states, mainly in the West, but their social impact was no doubt greater than such numbers suggest.

On April 20, 1999, possibly in commemoration of Hitler's birthday, two students at Columbine High School in Littleton, Colorado went on a shooting rampage, killing 12 students and a teacher before committing suicide. Michael Moore's documentary, *Bowling for Columbine,* depicts the suburban, middle-class environment where the students – Eric Harris and Dylan Klebold – lived and presumably were socialized into their violent youth subculture, such as it was. Both became attached to neo-Nazi ideas and symbols, listening to heavy-metal music, playing video games that celebrate violence and guns, and watching movies like Oliver Stone's *Natural Born Killers.* Both were former Boy Scouts but then in high school formed the "Trenchcoat Mafia" which focused hatred on blacks, Latinos, Jews, and other minorities, and on the in-group of school elites. At a bowling class just before the killing spree, Klebold wore a t-shirt that read "Serial Killer", embellishing a symbol that would soon achieve its bloody realization. In the film Moore visits the nearby Lockheed-Martin plant which manufactures and sells a huge arsenal of high-powered missiles and other weapons of mass destruction, setting up a strong parallel between the two cultures of violence. Many students at Columbine High had parents working for Lockheed-Martin, carrying out their routine business in the midst of a seemingly peaceful suburban community.

If, as Rhodes argues, violence directed against human beings is in great measure rooted in people's exposure to certain brutalizing experiences and images, then we should hardly be surprised to find the U.S. – with the world's largest military machine and prison system, the most violence-saturated media, a fanatical gun cult, and a civil society permeated with criminal activity of all sorts – to be the global leader in mass murders and serial killings, among other violent crimes. The episodes seem endless, many perpetrated by individuals with military training and/or combat experience, or having done extensive jail time. Clearly war and preparation for war thrives on an ethos that extends to the civilian population; the quick readiness of elites to use military action, or threaten such action, inevitably leaves its psychological imprint on the general population. It is no coincidence that a dramatic upswing in violent crimes occurred in the 1970s, coming on the heels of protracted U.S. warfare in Indochina that destroyed three countries and killed at least three million people, including 58,000 American troops. Hundreds of thousands of veterans returned after exposure to the horrors of a brutal war, with predictable consequences for everyday life in families, workplaces, and communities. We have already noted how both the Oklahoma City bombing and the Columbine shooting spree bear some relationship, directly or indirectly, to the deepening culture of militarism. As for serial killings, they increased at a ten-fold rate in the 1970s alone and have shown no signs of abating since.

As Darrell Hamamoto has shown, the huge increase in mass murders and serial killings in the U.S. has much of its origins in a military apparatus that pervades virtually every sphere of American life.[24] We know that Night Stalker Richard Ramirez, who brutally killed at least 13 people in the Los Angeles area during 1985, was "coached" into

violence by an older cousin who served in Vietnam and boasted of freely slaughtering large numbers of "Vietcong". A dedicated war hero, the cousin took credit for 29 confirmed kills in Vietnam, inspiring in Ramirez a hatred of Asians while teaching him secrets of guerrilla warfare that he used for his nighttime attacks.[25] One of the most notorious serial murderers, Dr. Michael Swango, who relished poisoning dozens of patients under his care at several hospitals, had been a diehard Marine with a fancy for combat and guns. His father, Colonel John Virgil Swango, had been stationed in Vietnam, passing on his glorification of military life to his son. The younger Swango enjoyed being at the scene of gruesome disasters as a paramedic, was obsessed with firearms and kept a small arsenal at home, and dwelled on news reports of mass murder such as the July 1984 shooting spree at a McDonalds restaurant in San Ysidro, Calif. In his book on the Swango case, James B. Stewart writes: "Serial killers typically betray a fascination with the military and law enforcement, careers in which people are armed, and they often fantasize about violence and disasters in which they emerge as heroes."[26] Swango fit this profile almost perfectly. Stewart adds: "Swango spoke often of his absent father, glorifying Virgil's career in Vietnam [while] . . . his fascination with disasters, with killing, and with weapons echoed similar interests he perceived in his father, as when he learned that Virgil also kept scrapbooks of disasters."[27]

Yet another serial killer, Arthur Shawcross, rationalized his murder of 11 women between 1972 and 1989 by claiming it was a result of "post-traumatic stress disorder" following his duty in Vietnam. While in Vietnam he claimed to murder two girls, raping one while roasting and eating the severed leg of the other, setting him off on a pathological killing mission.[28] The man who came to be known as the "Genessee River

Killer" admitted to having killed at least 26 Vietnamese in cold blood. The famous Zodiac Killer, who went on a murder rampage in the San Francisco Bay area during the 1980s, was believed to have been on active military duty. More recently, John Allen Williams (Muhammed), the 2002 sniper killer in the Washington D.C. area, had been a Gulf War combat veteran. Just as U.S. military intervention around the globe has no historical precedents, just as government and military elites have been able to commit war crimes without impunity, so too can it be said that the hundreds of documented serial murder cases in the U.S. since the 1970s have no parallel elsewhere.

The militarization of culture permeates other areas of daily life in American society. In 1991 Operation Desert Storm set in motion a new craze for large, powerful, aggressive vehicles – Sports Utility Vehicles, manufactured by every automobile company, and the even more awesome Hummers originally designed for military use. AM General began making Hummers in 1992, the first vehicle going to the king of male-action films, Arnold Schwartzenegger. A major idea behind SUVs and Hummers was to give drivers a stronger command of the road, but the result was an increase in violent behavior behind the wheel including manifestations of road rage. As Sheldon Rampton and John Stauber observe, SUVs and Hummers "exploit fear while actually doing nothing to make people safer. They make their owners feel safe not by protecting them, but by feeding their aggressive impulses."[29] Not only do the huge luxury vehicles (costing up to $50,000) get far worse gas mileage than cars, they have a six percent higher death rate – so the feelings of command and intimidation turn out to be illusory. Throughout the 1990s SUV sales skyrocketed in the U.S., tied in part to fear-based marketing and a subliminal appeal to violent impulses that have no parallel in any other

society. After 9/11 SUV and Hummer sales further exploded, but then by 2004 Hummer sales began to drop significantly as gas prices increased.

If the widening ethos and practice of human violence against other humans (and indeed against nature) in the midst of a militarized culture is part of a transformed world, it takes place *within* modernity, not *against* it. There is much to suggest that barbarism is in many ways facilitated by the tools and modalities of advanced industrial society, in contrast to what is generally assumed. The main instruments of violence – high-tech military, WMD, bureaucratic structures, media culture – have become more refined and concentrated, more capable of bringing massive death and destruction across the globe. Horrendous acts of violence become more routine, connected with modern forms of planning, calculation, and technique that easily widen the distance between perpetrators and objects or victims of violence. The idea of a civilizing, pacifying Enlightenment ethos has turned out to be a cruel myth. As Zygmunt Bauman writes: "Contemporary mass murder is distinguished by a virtual absence of all spontaneity on the one hand and the prominence of rational, carefully calculated design on the other. It is marked by an almost complete elimination of contingency and chance, and independence from group emotions and personal motives."[30] Hence the militarized culture, reflected in its great reliance on aerial terrorism, the setting up of terrorist regimes and death squads, the domestic gun craze and serial killings, and celebrated media images of vast destruction occurring in real combat situations (the Gulf Wars) or in simulated warfare (*Star Wars, Black Hawk Down, Behind Enemy Lines*) is bolstered and legitimated by the very workings of modernity.

The refined practice of technowar, pushed to its routinized maximum in the U.S., could just as easily be carried out by computerized robots and pilotless drones like those replicated in sci-fi and action films, video games, and TV spectacles of the two Gulf Wars – all glorifying violence in a setting that separates actors from their victims, rendering the *object* of military action impersonal, detached, clinical, even invisible. Impediments to terrible acts of violence are stripped away as barbarism winds up integrated into the everyday structures and norms of modernity itself. In Bauman's words: "Reduced like all other objects of bureaucratic management to pure, quality-free measurements, human objects lose their distinctiveness. They are already dehumanized. . . ."[31] Here the institutionalization of violence within modern society readily places the human targets and victims outside of any ethical or social consideration. The triumph of U.S. military power over weak, defenseless "enemies" is approached with the same kind of moral detachment as a Superbowl contest. Rather than providing greater restraints and safeguards against the horrors of militarism, the technocratic ethos embedded in modernity erodes such restraints and safeguards, whether ethical, political, scientific, legal, or religious.

For the U.S. war machine, its power and scope unmatched in history, the notion that it would have to adhere to universal legal, political, and ethical precepts enshrined in the U.N. Charter and international law is considered preposterous, beyond the realm of discussion. Violence becomes a purely technical or strategic question, immune from normal countervailing pressures, just the way it is presented in the corporate media. Where the instruments of modernity are turned toward barbarism, the culture of militarism elicits less commentary and criticism, less outrage within the political system

and mass media. Mechanisms and relations of power are all that seem to matter to elites who manage the war economy. In this context proto-fascist tendencies within American society – militarism, authoritarianism, xenophobia, racism, the weapons cult – can be assimilated into a rationalized state capitalism which already possesses a vast concentration of economic, political, and military power. This kind of power structure hardly requires the familiar accoutrements of historical fascism like swastikas, medals, concentration camps, organized military processions, and dictatorial fuhrers. Geared to corporate domination and imperial expansion – and legitimated in part by the culture of militarism -- this system embodies many features of previous fascist states behind a liberal-democratic facade. The long association of modernity with progress and civilization represents a superficial veneer concealing the U.S. drive toward global supremacy through expanded military and economic power.

Warrior Culture and Patriarchy

With few exceptions the military has been a domain of patriarchal, masculinist traditions – social hierarchy, violence, conquest, sexism, homophobia, gun worship – and the U.S. has never been one of the exceptions. The warrior culture (from training to combat) has always been a repository of patriarchal values, from the early Minutemen to the frontier settlers, cavalry, and cowboys to the later uniformed participants in global wars and more recent gangs, cults, militias, terrorists, and weapons fetishists. It is within and around these historical activities and legacies that the predominantly male mythology of warfare has evolved, built upon the motif of fighting off demons and evildoers with maximum force, on imposing order by violent means in a chaotic Hobbesian world. This

is a milieu dominated by masculine action-heroes looking to make history, to achieve redemption by means of conquest and domination. Warfare has routinely provided an opportunity for men, as warrior protagonists, to rebuild psyches beset with some combination of anxiety, crisis, defeat, and impotence.

The Rambo phenomenon, dramatized in a series of 1980s Hollywood films starring Sylvester Stallone, was simply one example of male warrior heroes being endowed with iconic status in American popular culture, Arnold Schwartzenegger in his *Terminator* series being another. A superpatriot and gun cultist, Rambo embodied an heroic individualism won through protracted military action. Aligning strong masculinity with the power of the gun, the films constructed a larger-than-life mythic personality who relished violence as an instrument to rid the world of evil – a narrative falling within the tradition of Superman, the various *Star Wars* heroes, *Indiana Jones, Top Gun,* and literally hundreds of combat and Western films or TV shows. Wars giving visceral expression to patriotic valor, technological virtues, and masculine conquest fit this pattern. Within such a narrative the Vietnam war wound up frustratingly messy and confusing, while the two Gulf Wars easily fit into the desired historical pattern, reinvigorating the national psyche (deflated by the Vietnam syndrome) in a triumphal war over a demonized opponent (Iraq). The Gulf Wars furnished some of the most dramatic, compelling images of technowar replete with sophisticated gadgetry, flashy spectacles, graphic explosions, victory celebrations, and male expertise used to decode (and justify) the events witnessed by mass audiences. If Vietnam disintegrated into a terrible "morass", then the Gulf Wars could be understood as clean, neat, resolute, and

technically efficient, with obvious winners and losers, all packaged within the masculine philosophy of victorious military power standing for moral rectitude.

In her pathbreaking exploration of military life, Mary Edwards Wertsch analyzes a socialization process that is distinctly patriarchal, rooted in norms of discipline, order, and obedience in the service of a (masulinized) national ideal. She refers to a "fortress morality" known for its uncompromising rigidity, where easy acceptance of violence is combined with a "purity of vision" regarding duties and obligations.[32] An indelibly male vision saturates the military world, with women deemed valuable in nothing more than supporting, adorning roles. Thus: "Women are tolerated inside the fortress on one all-encompassing condition: in appearance, dress, speech, and behavior a woman must at all times reflect her complete acceptance of the ultimate patriarchy and its implications for women. By that rule any woman inside the fortress is automatically an accomplice in her own devaluation . . ."[33] Within such patriarchal culture – caricatured in the film *The Great Santini* -- women are expected to live out male expectations and fantasies. Wertsch's generalizations are based on dozens of interviews with members of military families conducted in the early 1990s. While more recent socialization patterns have been altered by increased entry of women into the armed forces, the change seems not to have fundamentally transformed gender relations in the U.S. military.

Wertsch observes that within military culture it is male authority figures who prevail in both professional work and everyday life, where virtues of duty, conformism, and hierarchy operate to keep women and children in line. The sense of powerlessness experienced by women, and above all wives, can be rather extreme in the military setting.[34] Moreover, all this is exacerbated by other dysfunctions permeating military

family life: rigid controls, alcoholism, frequent travel and separation, fear of intimacy resulting from constant loss of friendships, and so forth. It goes without saying that the traumas of war itself, with its emotional horrors, uncertainties, and exposure to violence, creates added tensions and conflicts that inevitably further marginalize the status of women and children with family relations commonly harmed by feelings of guilt, rage, and violence. The armed-services milieu gives rise to extremely high rates of domestic violence and child abuse insofar as the familiar dysfunctions of "normal" family life and gender relations are greatly aggravated. As Wertsch states: "One of the things characterizing life inside the fortress is the exaggerated difference between masculine behavior and feminine behavior, masculine values and feminine values. Macho maleness is at one end of the spectrum; passive receptive femininity at the other."[35] Conflict often turns out to be especially harsh and violent. The problems that arise within military families – domestic violence, child abuse, alcoholism and drug abuse, relationship breakdowns – are rarely if ever adequately handled by the military brass which itself remains trapped within the same "fortress". The capacity of women to confront marital distress is undermined by their already devalued role within military culture. In the end, the ongoing travails and miseries of military family life are concealed (not always effectively) by an elaborate social façade of order, harmony, duty, patriotism, and outward status. Everything takes on greater significance as the military comes to occupy an increasingly central place in American foreign policy and social life.

In the conjuncture of an expanding war economy, Empire, and recurrent U.S. armed interventions, one can detect a merger of corporate, bureaucratic, military, and patriarchal forms of domination, each overlapping with and reinforcing the other. The

stubborn fact is that military institutions continue to be ruled by men and pervaded by masculine norms; at the start of the twenty-first century men comprise more than 90 percent of U.S. armed-services personnel, and fully 100 percent of those entering direct combat. The historical impact of the feminist revolution on Pentagon culture has been limited. As Claire Snyder observes, militarism in American society reinforces a wide range of conventional social and sexual values, a tendency strengthened by anti-feminist backlash linked to official fears that a large-scale influx of women into the military will inevitably compromise training standards, weaken morale, create sexual tensions, and disrupt combat situations.[36] The dominant Pentagon thinking is that a kinder, gentler armed forces cannot win wars: it is best to rely upon the skills of men, with their supposedly innate drive toward aggression, violence, and martial exploits. Given tough leadership, military organizations can harness those masculine traits into forms of bonding, heroism and brute physical strength required for combat – although the shift from conventional ground warfare to new modes of technowar would seem to render such assumptions obsolete. In any event, the deeply-entrenched patriarchal values defining military life can easily shade into misogyny, as reflected in the canons of basic training where drill instructors often use woman-hating ridicule to shame recruits seen as lacking "manhood" and sexual potency. As depicted in films like *Full Metal Jacket,* femininity is repeatedly deprecated while the weapons of combat are identified with male genitalia; sexism becomes a medium to secure male bonding and preparation for killing. The U.S. military thrives on authoritarianism, conformism, cult of violence, and misogyny that, in civilian life, are generally regarded as signposts of fascist ideology.

As the military extends its presence throughout governing institutions and civil society, it further reproduces gender inequality and social hierarchy consonant with increased violence against women; militarism and patriarchy together generate an even more explosive culture of violence. The forms of sexist outlawry in wartime are well known: women routinely become victims of combat, atrocities are visited upon civilian populations, homes and neighborhoods are destroyed, people are dislocated, prostitution spreads along with sex-trafficking, rape, torture, and domestic violence.[37] Established social and moral restraints against extreme patriarchal violence usually disappear in warfare, giving women fewer protections and fewer safe havens as they often wind up the targets of ideologically and sexually-charged acts of violence. It might be argued that women actually suffered more grievously with the advent of modern technowar characterized by aerial bombardments, long-distance attacks, and destruction of civilian infrastructures.

Domestic violence seems to have become an enduring feature of military family life even in the absence of wartime experience. The hyper masculinity and misogynism that flourish in and around battlefield situations often enter directly and tragically into the household. Wertsch's interviews reveal dozens of such violent episodes. A more recent case in point is five highly publicized domestic killings at Fort Bragg, N.C. in summer 2002, three of which involved elite Special Operations troops. The murders grew out of extreme marital conflict resulting, in part, from harshly aggressive behavior that military men so regularly bring home from work, from their entire hypercharged milieu. In many instances common taboos against violence simply disappear as the warrior mentality gives men permission to behave as if they are above the law. Problems like marital

infidelity can be met with such extraordinary anger that they can, as at Fort Bragg, lead to brutal attacks and even murder. Those killings were no doubt the tip of the iceberg, made visible because they fell into a cluster of actions spanning a relatively short time span.[38] Marital conflict in the armed services is aggravated by regular (and sometimes lengthy) periods of separation and by the fact that men – themselves victims of suffocating hierarchy and discipline – have very little control over their lives, a power they can easily reassert with a vengeance in the household. In the tragic Fort Bragg episodes, marital conflict quickly got out of control, helped along by the army's own code of silence as well as a traditional devaluing of therapeutic solutions. Military culture serves to inhibit families from getting badly-needed help. The Pentagon brass, moreover, usually turn a deaf ear to reports of distress that might harm the image of the U.S. armed forces.

The predicament of women in the military academies reflects this pattern. At the Air Force Academy in Colorado Springs, for example, severalyears of reports by women claiming rape, stalking, and general harassment were ignored or downplayed by administrators and students steeped in patriarchal military values and the code of silence surrounding them. This history of charges came to light when a female student in the 2002 class, Andrea Presse, filed charges against a male classmate who was accused of stalking and harassing her for more than a year. In the end, her desperate complaints were turned against her by the Academy: she was charged with dishonesty and summarily expelled. Subsequent investigations discovered an educational milieu largely devoid of respect for women – a milieu actively fostered and defended by the male officers in authority. Officials found no less than 56 reports of rape and sexual assault that were not acted upon, perhaps hundreds more never reported to what had become an

unresponsive bureaucracy. As Presse's mother stated: "These boys just don't get it. They are being raised to have no respect for women, and the attitude is fostered by the male officers in charge. My daughter asked for help, and they ignored her all the way up the chain of command."[39] As in the case of Presse, who had spent four (wasted) years studying to become a pilot, charges brought forward by other women were frequently turned against them, as victims. After dozens of reports, in fact, not a single Air Force Cadet was court-martialed. The situation was reportedly no better at West Point or Annapolis, where an entrenched code of silence was maintained by patriarchal gatekeepers to avoid "scandals" detrimental to the upper eschelon of the armed services.

Many features of patriarchal militarism thus remain firmly embedded in American society, despite historic gains of feminism and increased entry of women into the different services. It is staunchly defended by such intellectual figures as Christina Hoff-Sommers, Robert Bok, Lionel Tiger, and Stephanie Gutmann, not to mention the vast majority of male politicians across the ideological spectrum. It continues to draw cultural strength from the male warrior mythology that serves the Pentagon's elitism so well. If women are valuable to the U.S. military, it is mainly in peripheral, subordinate, devalued roles consonant with the traditional sexual division of labor, exactly the pattern of gender relations that has been challenged (and to some extent overturned) within the larger society.

The Corporate Media: Reservoir of Militarism

If the familiar ideal of an open, diverse, accessible popular media is the *sine qua non* of a thriving democracy, prevailing tends at work in American society have for many

years been moving in just the opposite direction: corporate megamedia structures now colonize the political and cultural terrain, including TV, radio, film, cable TV, print journalism, and the Internet. Through giant multinational business empires like General Electric, Viacom, Disney/ABC, and News Corporation, elites have achieved greater capacity to influence the flow of ideas, information, and entertainment than at any time in the past, increasing the power to shape governmental decision-making and mass consciousness. The mainstream media have become an extension of corporate interests, not to mention government and military agendas, hardly a recipe for viable democratic politics based in active citizen participation.

The erosion of media culture in the U.S. can be attributed to multiple factors: corporate mergers and growing concentration of media power; commodification of the entire public sphere; continuous expansion of the war economy; globalization and the collapse of popular, democratic leverage over vital areas of decision-making. Add to this an a protracted rightwing crusade to transform the popular media into agencies of conservative ideology (a point we return to later). Today we have a communications system mostly designed to serve the needs of Wall Street and Madison Avenue, with any notion of the public interest jettisoned owing to increased privatization and deregulation of the entire media structure. The result is a narrowed, commercialized, increasingly undemocratic political culture that is thoroughly stifled by a profit-driven corporate media. American journalism at the start of the twenty-first century suffers mightily under the weight of these trends, unable to provide a genuine diversity of sources and outlets much less critical investigations into major news stories of the day. What is generally true, moreover, is even more telling when it comes to the critical issues of foreign and

military policy. As Robert McChesney writes in *Rich Media, Poor Democracy,* the "corruption of journalistic integrity is always bad, but it becomes obscene under conditions of extreme media concentration, as now exist." Such "obscenity" is now endemic to what has become a largely one-dimensional media culture, prompting McChesney to ask: "What types of important stories get almost no coverage in the commercial news media? The historical standard is that there is no coverage when the political and economic elites are in agreement."[40] The reference to "no coverage" might be amended to include the probability there will be "uniform" coverage in support of elite priorities where the news in question concerns international politics (and most emphatically where U.S. military action has been initiated).

As David Brock shows in *The Republican Noise Machine,* the mainstream media has been the focal point of an ideological shift engineered by rightwing partisans over the past three decades. This epochal shift is the product of a well-organized, lavishly-funded, sustained, politically-driven crusade to completely transform the contours of American public life. Brock speaks of "a deliberated, well-financed, expressly acknowledged communications and deregulatory plan that was pursued by the right wing for more than thirty years – in close coordination with Republican Party leaders – to subvert and subsume journalism and reshape the national consciousness through the media, with the intention of skewing American politics sharply to the right. The plan has succeeded spectacularly."[41] One outcome of this crusade is Republican control of all three branches of government for the first time since 1929. Meanwhile, "free market" myths associated with Reaganomics have become the prevailing wisdom, deregulation motifs have overtaken the political culture, the idea of U.S. global domination linked to exorbitant

military spending has gained elite currency – and "liberalism" (including the social contract inaugurated by the New Deal) has fallen into disrepute. By the 1990s Democrats, taking their cue from the transformed ideological terrain, moved to assimilate these conservative views, campaigning and governing essentially as moderate Republicans – witness the Presidency of Bill Clinton.

Rightwing efforts to colonize the popular media, as Brock argues, were inspired by a fierce sense of ideological *battle,* a form of cultural "guerrilla warfare", rooted in a patient, long-term strategy that, in effect, derided longstanding notions of media objectivity and genteel debating etiquette. The battle respected few ethical or political limits. The elaborate strategy was tied to a marketing of ideas, relying on the most sophisticated advertising and public-relations techniques, aimed at discrediting liberalism and capturing the political landscape for the right, now able to frame the terms of public discourse. It was a no-holds barred propaganda campaign pure and simple.[42] Supported by such wealthy scions and Adolph Coors and Richard Mellon Scaife, the mechanisms of this cultural revolution were many: rightwing think-tanks (American Enterprise, Hoover, Cato, Hudson, Heritage Foundation, etc.), book publishing, public relations firms, political-action committees and lobbies, talkradio, magazines like *Commentary, National Review,* and the *Weekly Standard,* the Internet, and a growing presence within the print and electronic media generally owing to the largesse of think tanks and the rise of TV giants like Fox.

Carried along by a "savage partisanship", rightwing objectives were sweeping and comprehensive: deregulation of corporate power, tax breaks to the rich, an assault on the welfare state, attacks on gains made by sixties and seventies' social movements

(including affirmative action), loosening of gun controls, revitalized law enforcement and intelligence, an aggressive foreign policy dependent upon vast increases in the Pentagon budget. While the new generation of conservatives, bolder and more ideologically-driven, loved to speak of reducing "big government", in fact they eagerly embraced vast increases in government bureaucracy when it came to the military, intelligence, and criminal justice system. They championed an expensive Star Wars program, agitated for a stronger worldwide U.S. military deployment, and pushed for new weapons programs as part of an overall technological restructuring of the armed forces. They were, and continue to be, champions of a greatly-expanded security state. This milieu provided the ideal breeding ground for the rise of a new stratum of neoconservative "defense intellectuals", themselves skilled at manipulating public opinion on foreign-policy issues, who came to shape the Bush-II global agenda, which gained new momentum in the wake of 9/11.[43] The lies, myths, and distortions used to advance the war on Iraq – indeed to justify the entire "Bush Doctrine" of preemptive attack – probably never would have triumphed had not this deepening militarization of the political culture laid the groundwork.

The vast majority of Americans receive the bulk of their "news" and its interpretations from TV and talkradio, hyper-commercialized venues that depend almost entirely upon advertising for their revenue. These outlets are not only emphatically conservative but generally (except for times of crisis or war) devote little actual coverage to foreign affairs. In global politics the focus turns toward images of chaos, corruption, and violence that are usually considered ordinary facts of life for other nations and cultures – especially those (like Russia, China, and the Middle East) seen as potentially

hostile or threatening to U.S. geopolitical interests. The larger consequences of media culture, both domestic and global, are depoliticizing where they are not conservatizing, the exception being those moments when warfare consumes public attention. As McChesney notes: "The commercial basis of U.S. media has negative implications for the exercise of political democracy: it encourages a weak political culture that makes depoliticization, apathy, and selfishness rational choices for the citizenry, and it permits the business and commercial interests that actually rule U.S. society to have inordinate influence over the media content.[44] At first blush this closing of the public sphere might seem to be contradicted by the national frenzy generated by round-the-clock coverage of war and its preparation; the outcome would seem to be greater collective political *intensity.* Such "intensity", however, is linked to media-inspired spectacles, an essentially manipulated process inducing an altogether different kind of involvement. Its overcoming of fragmentation and privatism, made possible by the glorification of military prowess and national triumph, is not only ephemeral but false, instilling a parochial zealotry hardly compatible with a progressive, engaged citizenry. In effect the media/war spectacle of the sort witnessed during the two Gulf Wars gives rise to a caricature of politics.

The American media offers the public an entirely mythological view of the world, one populated by foreign demons and evil monsters always to bring terrible harm to a benevolent, innocent, peace-loving country. While the existing order is celebrated as a beacon of democracy, prosperity, and enlightenment, the global terrain as seen through the lenses of Fox and Disney appears riven with Hobbesian chaos where corruption and violence rule, where dark "others" regularly violate human rights and norms of

democratic governance. This is a world, predictably enough, requiring U.S. economic and political involvement and (where that turns out to be inadequate) military intervention. These views are rather uniform across the mainstream media, a taken-for-granted representation allowing for only minimally divergent opinions. TV, radio, and print media are colonized by officials and "experts" drawn mostly from the corporate, government, and military sectors, meaning a severely limited range of voices usually falling within the patriotic consensus. On *Nightline* and similar news shows, foreign policy discussion is framed by distinctly U.S. interests, outlooks, and values, the rest amounting to a nebulous totality that vanishes into a Hobbesian nightmare where competing or dissenting viewpoints are routinely devalued.[45] If there is more than one side to any military discourse, the difference is usually reduced to matters of tactics and phrasing, especially once the U.S. is engaged in warfare. Media coverage has all the character of a propaganda spectacle.

In the case of military operations the spectacle becomes something akin to a sports extravaganza, with its epic contests, winners and losers, heroes, and huge crowds, all reflecting the extent to which media culture becomes subservient to the imperatives of power, relying on double standards, myths, and self-serving platitudes. Thus the label "terrorism" as commonly employed has relatively little informational or analytical value owing to the manner in which the concept is simply meant to describe the actions of designated "enemies"; more useful references to agencies that use violent methods toward political ends are strenuously avoided insofar as they would inevitably extend to *state* as well as substate terrorism, implicating military powers like the U.S. and Israel. Moreover, gruesome combat episodes are sanitized or aestheticized, transformed into

remote mediated experiences. In the electronic media age all the production values of TV advertising and digital imaging, notably useful in depicting warfare, are used to the fullest. This is imperative for, as Norman Solomon and Reese Erlich write: "No product requires more adroit marketing than one that squanders vast quantities of resources while slaughtering large numbers of people."[46] Combat operations carried out by a high-tech military turn out to be effective marketing with its staged events and exciting viewing for audiences already saturated with sports images, reality TV, and true-crime programs; in warfare, life and media seem to converge. Leading TV commentators like Bill O'Reilly and Brit Hume on Fox speak freely about bombing Afghanistan and Iraq to rubble, as if the carnage will mean little to viewers, especially *young* viewers weened on militaristic video games and action movies. If Iraq can be personified by a Hitler-like monster in Saddam Hussein, then when combat to destroy the monster is initiated all is rendered possible (bombing of civilian targets, raiding of peoples' homes and places of worship, massacres, torturing of prisoners) in a war made larger-then-life by the media embellishment of an epic moral crusade pitting good Americans against evil (foreign, terrorist) scoundrels. Referring to the prolonged media-charged buildup toward the second Gulf War, former U.N. weapons inspector Scott Ritter, disgusted with repeated lies by the Bush administration and the media, commented: "We made it impossible for anybody to talk about Iraq in responsible, substantive, factually-backed terms."[47]

Although the U.S. media has faithfully served patriotic ends and imperial agendas since at least the Spanish-American war, which marked the advent of Hearst's famous "yellow journalism", it reached a pinnacle during the first Gulf War – in great measure a TV war glorifying American high-tech military exploits through repetitive, graphic, live

depictions of modern warfare.[48] Crowning each victory as a great extravaganza, the media emerges as a powerful agency of war hysteria that swept the country, creating a milieu in which the dreaded "Vietnam Syndrome" of defeat, humiliation, and impotence could finally be put to an end. One result of this was a deepening militarization of American culture, already set in motion during the Cold War but having been practically reversed during the 1970s and 1980s owing to the Indochina debacle.[49] Never in U.S. history had media power turned so flagrantly propagandistic, so technologically seductive, so capable of molding popular consciousness. At the time of Desert Storm and throughout the 1990s the media succeeded in colonizing social life much along lines theorized much earlier by Marshall McLuhan and Guy Debord – a reality never achieved at the time they were writing. Following the Iraq invasion of Kuwait in 1990, the political consequences would be ominous, as Douglas Kellner points out: "And so, George Bush, the U.S. military, and the military-industrial complex were the immediate beneficiaries of the Gulf War. Bush was transformed from wimp to warrior and the U.S. military was able to overcome its humiliation in Vietnam and its past failures. The U.S. appeared to be the world's sole remaining superpower, a high-tech military colossus dominating Bush's New World Order."[50] It would be a remarkably short-lived, rather pyrrhic victory for both the senior Bush and U.S. global policy, as foreign and domestic problems (momentarily obscured by Desert Storm) would quickly reemerge, though the structure and ideology of militarism was not about to disappear from the U.S. landscape.

Since the first Gulf War, and particularly since 9/11, the American press has taken up its patriotic role and pushed it to new heights. Where foreign policy is concerned, an increasingly conservative media has dropped all pretense of journalistic objectivity and

fairness, embracing instead a one-dimensionality in which a (civilizing, democratic, peace-loving) U.S. if reluctantly compelled to face off against a wide array of demonic forces. Since its inception Fox TV has been especially shrill in its jingoism, although a similar pattern is readily visible at such outlets as CNN, NBC, ABC, and CBS, along with the bulk of newspapers, magazines, and talkradio. This fiercely intense partisanship means that the general historical *context* of events will never be addressed by an enterprising media. Events surrounding 9/11 offer a case in point: from the terrorist attacks onward the media did little to situate and interpret the news, investigate its circumstances, scrutinize Bush's mistakes, report egregious intelligence lapses, or question the efficacy of a singleminded military solution to terrorism – though matters would begin to change once the occupation of Iraq turned into a political quagmire for Bush. The effects of blowback – that is, the negative, counterproductive consequences of U.S. foreign policy – were never confronted, as if to do so was somehow "anti-American". Instead, the media chose the more simple path of superpatriotic celebration, focusing on wondrous American freedoms that people around the world so angrily resented.[51] The terrorist episodes were framed as the work of demonic Muslims lacking moral compass or political motive, a narrative willfully overlooking the clear ideological significance of the targets selected. Events were depicted so as to justify immediate military response, a pattern duplicated later as the media culture helped legitimate the mobilization toward war in Afghanstan and Iraq.

The patriotic media came fully into action as Bush's drive toward the invasion of Iraq picked up momentum by later summer 2002. It was an ideological campaign based upon a series of half-truths and lies that elites and pundits across the political spectrum

repeated ad nauseum: false statements about an imminent Iraqi military threat and possession of WMD, ridiculous claims about Hussein's collaboration with Al Qaeda, phony evidence brought forth to support the myth that Iraq was rapidly accumulating nuclear materials, shameful coercive methods (often futile) used to win U.N. members' support, disinformation about projected costs and consequences of war and occupation, and so forth. Few media outlets paid attention to these issues, dispensing with any watchdog or investigative role – long a journalistic stape – in favor of unabashed warmaking propaganda. The ostensibly liberal media derived its initiatives mainly from government and Pentagon sources, avoiding even mild dissent, which the guardians of public opinion considered particularly noisome as U.S. military operations got underway. As in the case of Desert Storm, TV now shifted to nearly round-the-clock coverage of U.S. military operations, dwelling on the Pentagon's initial "shock and awe" tactics which targeted Baghdad alone with more than 400 cruise missiles just during the first days of war. The campaign labeled "Plan Iraqi Freedom" was now uncritically packaged as the liberation of Iraq from despotism and its transformation into a political democracy. The media lens focused largely on the logistical and technical aspects of military action, with political and ethical questions pushed aside. Guests on TV news programs, interview shows, and talkfests were drawn from the familiar stable of rightwing pundits: Fred Barnes, George Will, Charles Krauthammer, Ben Wattenberg, William Kristol, Ann Coulter, Max Boot, Robert Kagan. Many pro-war intellectuals were anointed media stars at Fox and other networks. And the "defense experts", as on the occasions of Desert Storm and Yugoslavia, were omnipresent. The anti-war side of the debate was basically ignored until popular demonstrations in the U.S. and around the world became much too

large to ignore, at which they were grotesquely caricatured. As the Pentagon was getting ready to invade, spurred on by resource and geopolitical aims, the inevitably costly material, human, and global consequences of the U.S. imperial gambit were overlooked or downplayed.

In the period 2002-2003 the *Washington Post* ran a series of op-ed pieces, editorials, and news reports that, taken together, helped fuel the push toward the second Gulf War. The paper served as essentially a mouthpiece for government and Pentagon agendas, voiced by such writers as Jim Hoagland, Henry Kissinger, James Baker, Richard Holbrooke, and Robert Novack. The ensemble of pro-war articles and op-eds seemed moved by a sense of imperial arrogance, indifference toward the costs of war, and rigid intolerance of anyone dissenting from the decision to invade. A few critical voices making their way into the *Post* were concerned with mostly tactical issues of timing, logistics, and need to mobilize broader support. Most contributors were present or former Washington insiders, typically referred to as "experts" in world politics, terrorism, or the Middle East. Foreign viewpoints were extremely hard to locate.[52] The *Post* series established the prevailing trajectory for U.S. print journalism in the lead-up to war. The *Wall Street Journal* enthusiastically joined in the ideological mobilization for war, as did the *New York Times, Newsweek,* and *Time*, which devoted a number of special issues on the imminent threat of Iraq and the evils of Hussein's rule, while glorifying the blessings of U.S. military technology.

Diversity of opinion, long understood as fundamental to American democratic politics, now vanished from a public sphere increasingly saturated with outpourings of patriotism, militarism, and imperial arrogance. Opposition to Bush was smothered by

the patriotic onslaught, dismissed as outright propaganda or siding with the "enemy". Some media outlets felt a responsibility to cover official Iraqi statements, but of course anything coming from Baghdad was immediately discredited as the diabolic machinations of Hussein or Al Qaeda. In January 2003 CNN was preparing to cover a live press announcement from Baghdad where Iraqi officials wanted to refute Bush's warmongering statements and policies – the very statements and policies that were carried nonstop throughout the U.S. media. Soon after an Iraqi spokesperson began laying out the case against war, the network cut away to "breaking news" from the White House: Bush would be giving a preview of his "State of the Union" address. But there would never be any return to the Iraqi official, whose argument had been interrupted in midstream. Although Bush wound up saying little beyond what was generally known, the abrupt break gave CNN a plausible excuse for ignoring a strong, vocal counterpoint. There was also Dan Rather's famous interview with Hussein in late February 2003 – itself roundly condemned as an unpardonable indulgence of the "enemy". Giving his first extended foreign interview in several years, the Iraqi leader made a passionate appeal for peaceful solutions, for stepped-up diplomacy, even for friendly relations with the U.S. A nearly full-page report of the interview in the *Los Angeles Times* (February 27, 2003) began with the bizarre observation that Hussein's statements could not be regarded as newsworthy (they were just propaganda), then proceeded to totally ignore the text of what was said; the report strangely contained no quotes of Hussein's responses to specific questions. In their place came a lengthy series of attacks on Hussein, five in all, by hawkish supporters of Bush's policy, including White House spokesperson Ari Fleischer. Hussein's views, for better or worse, gained attention only by virtue of their negation –

an unconscionable journalistic practice, but one that would be all-too- familiar during the rush to war.

Even the slightest inclination toward media objectivity is abandoned once we enter the sacred "bipartisan" realm of U.S. foreign and military policy; official propaganda comes to the fore, transforming "news" into the modality off a sports contest and political discourse into expressions of patriotic conformism. Rival governments are vilified for exactly the same international behavior the U.S. carries out with much greater regularity, on a larger scale, and with impunity. Media coverage dwells on a long list of abuses in Russia, China, and Iraq, while more grotesque violations by the U.S. and its client states go unreported or, where reported, downplayed and "contextualized". Thus possession of WMD by other nations is treated as an unmitigated horror, a threat to human civilization, while the taken-for-granted and infinitely larger WMD arsenal of the U.S. fades into the natural terrain, scarcely worthy of notice. When embarrassing realities cannot simply be ignored – for example, the Gulf War Syndrome or the Abu Ghraib prison scandal – government spinning of events warrants more attention than basic fact-finding investigations. The very *idea* that U.S. leaders might be guilty of war crimes is, for the media, simply never contemplated. What occurred during the prewar situation in Iraq constitutes just one of many recent examples: U.S. military action, routine bombings, and harsh economic sanctions that took place for more than a decade, leading to hundreds of thousands of casualties, scarcely registered on the media radar scope.

Partly owing to an increasingly one-dimensional media, American political culture seems to have less space for genuinely open debates and diverse sources of

information: “terrorism”, for example, has become merely a shibboleth referring to an evil scourge, the work of foreign monsters addicted to hatred and violence, while supposedly good intentions underlying U.S. military actions remain a simple matter of faith. As Sardar and Davies observe, American public opinion is today shockingly provincial, reflecting a widespread lack of curiosity about how people around the world live, think, and act.[53] Despite unprecedented affluence, mobility, and access to information, despite huge enrollments at institutions of higher learning, Americans at the start of the twenty-first century turn out to be shockingly insular and ethnocentric, inclined toward superpatriotism. Surveys reveal a frightening ignorance of global affairs. It is easy to see how, with the end of the Cold War, the label “terrorist” could so routinely be fastened onto individuals, groups, and states deemed hostile to U.S. interests or policies, just as the “Communist” stigma was successfully invoked before it. The frequently asked question in the media, “Why do they hate us?”, says volumes about the political culture. While “they” now typically refers to Arabs, Muslims, and terrorists, the “us” part of the equation assumes a wounded innocence, a victim status appropriate to a nation surrounded by threatening enemies. If the focus shifts to the real policies and actions of an aggressive superpower, entirely different sets of questions would have to be posed, directed at issues of why and how the U.S. so routinely intervenes – economically, politically, and militarily – in matters outside its own borders, why it has been so quick to use ruthless military force on behalf of its geopolitical interests, and why it so often violates international laws and agreements.

In any truly balanced forum, such questions would inevitably enter into public discourse in a manner that would enhance the general political culture. One reasonable

point of view within such an open debate would be that "hatred" directed at U.S. leaders might be the understandable reaction of people who are the victims of destructive superpower interventions over which they have no control. That some people might want to channel their hostility in violent directions will not be surprising to any informed observer. Yet this very idea is dismissed as crazy, even treasonous, with the mainstream media. For those tens of millions of people in some way harmed by U.S. imperial power, the same "terrorism" is automatically taken as a justifiable (if not always efficacious) response to *state* terrorism. History is of course replete with instances of violent popular struggles against governmental oppression and violence: American and Irish independence movements against the British, Algerians against the French, anti-apartheid in South Africa, partisan battles against the Nazis in World War II, to name only a few. Within the U.S. corporate media it seems comforting to frame violence committed by others as nothing but random, unmitigated evil, devoid of human rationality or motive. Sardar and Davies point out that the well-worn media fixation on *foreign* evil ultimately serves as a useful cover for willful ignorance, xenophobia, and, in the end, military action against the designated malignancy.

In the weeks preceding the second Gulf War airwaves of the major TV networks were colonized by virulent pro-war voices, according to a well-known FAIR study of the American media. Of 397 total guest appearances during that period, fully 75 percent of U.S. sources were present or former government officials, often national-security and military people, all strongly behind Bush's decision to wage "preemptive" war on Iraq. Just *four* voices from what had become a massive, global antiwar movement were given even a limited forum. A few antiwar critics (just 20 in all) were chosen from largely

foreign sources, many of them Iraqi government officials – the implied message being that such views were not to be taken seriously. The bulk of TV broadcasts covered the quest for distinctly *military* solutions – "solutions" to a "crisis" that was, in the final analysis, clearly American-made. Official news releases and press conferences, many from the Pentagon, State Department, and White House, were routinely and uncritically passed along by the patriotic media, taken wholly at face value, as were Bush's endlessly repeated false pretexts for war.[54] Such intense media partisanship was visible at a time when opinion polls in the major industrial nations showed an average of 80 percent of the population opposing U.S. military intervention, with more than half of the *American* respondents also taking an antiwar stance. Given the historical trajectory of U.S. media culture, most of the public now receives "news" and information almost exclusively from mainstream outlets – their sources directly tied to government, the military, and rightwing think tanks along with a small circle of academics with hawkish military views. One problem here is that news organizations wanting ready access to the centers of power, especially vital during wartime, are forced to go along with the hegemonic limits set by those same centers of power. Pentagon influence on the corporate media has grown measurably, especially since 9/11, a trend reflected in the increased glorification of military power common at Fox, CNN, ABC, *Time* magazine, *The Wall Street Journal,* and most talkradio stations (the majority owned by rightwing Disney/ABC and Clearchannel) – not to mention the more frequent release of Hollywood combat movies dramatizing "good war" themes since the late 1990s, a theme we shall take up in the following chapters. The dominant media culture, organically tied to corporate power and

the war economy, has become more integral than ever to the legitimation of U.S. imperial and military agendas.

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NOTES

[1] Mary Edwards Wertsch, *Military Brats* (New York: Random House, 1991), 381.
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[3] Ward Churchill, *Fantasies of the Master Race* (San Francisco: City Lights, 1998), 25.
[4] Chris Hedges, *War is a Force That Gives Us Meaning,* 3.
[5] Ibid., 103.
[6] See Bob Woodward, *Bush at War* (New York: Simon and Schuster, 2002).
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[8] *Los Angeles Times* (April 19, 2003).
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[10] Richard Rhodes, *Why They* Kill (New York: Vintage, 1999), 290-93.
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[15] Ibid., 11.
[16] See William W. Zellner, *Countercultures* (New York: St. Martin's, 1995), 52.
[17] On the growth of paranoid images in American popular culture, see Ray Pratt, *Projecting Paranoia* (Lawrence: University of Kansas Press, 2001), chap. 1.
[18] Quoted in Gore Vidal, *Perpetual War for Perpetual Peace* (New York: Nation Books, 2001), 117.
[19] Joel Dyer, *Harvest of Rage* (Boulder: Westview Press, 1997), 216.
20 Ibid., 107.
[21] Vidal, *Perpetual War,* 109-10.
[22] Ibid., 107.
[23] See Zellner, *Countercultures,* chap. 1.
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[27] Ibid., 291.
[28] See Hamamoto, 286.
[29] Sheldon Rampton and John Stauber, *Weapons of Mass Deception* (New York: Tarcher, 2003), 139.
[30] Zygmunt Bauman, "The Uniqueness and Normality of the Holocaust", in Catherine Besteman, ed., *Violence: A Reader* (New York: New York University Press, 2002), 173.
[31] Ibid., 83.
[32] Mary Edwards Wertsch, *Military Brats* (New York: Fawcett Columbina, 1991), 375-76.
[33] Ibid., 94.
[34] Ibid., 119.
[35] Ibid., 196.
[36] R. Claire Snyder, "Patriarchal Militarism", in Boggs, *Masters of War,* 264-68.
[37] See Joshua Goldstein, *War and Gender* (New York: Cambridge University Press, 2001).
[38] Catherine Lutz and John Elliston, "Domestic Terror", *The Nation* (October 14, 2002).
[39] *Los Angeles Times* (March 15, 2003).

[40] Robert McChesney, *Rich Media, Poor Democracy* (New York: The New Press, 2000), xvii, xviii.
[41] David Brock, *The Republican Noise Machine* (New York: Crown Publishers, 2004), 11.
[42] Ibid., chap. 2/
[43] On the neoconservative influence on Bush's foreign policy, see Rahul Mahajan, *Full Spectrum Dominance* (New York: Seven Stories Press, 2003), chap. 2.
[44] See Robert McChesney, *Corporate Media and the Threat to Democracy* (New York: Seven Stories Press, 1997), 7.
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[47] Scott Ritter, quoted in *Extra!* (August 2002).
[48] Douglas Kellner, *The Persian Gulf TV War* (Boulder: Westview, 1992), esp. pp. 400-26.
[49] Ibid., 420-26.
[50] Ibid., 420.
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Title: The Chronotope of the Theater in David Henry Hwang's *M. Butterfly*

Abstract

In order to demonstrate Hwang's sexual and racial politics in *M. Butterfly*, this paper aims to study the play from Bakhtinian chronotope and carnivalesque mesalliance. Song's transvestite, though a grotesque body in carnival world, works powerfully in his theater of espionage where Gallimard moves from the crowning to the decrowning moment. Though Song's management of acting is flawless, his successful carnival disguise lies heavily on Gallimard's deep-rooted (mis)conception of Asian people. Though Gallimard takes pain to mimic Pinkerton's image of the "evil white man," he is actually a pinned butterfly controlled by Song. On the other hand, fully acknowledging what a "Perfect Woman" shall be like, Song not only betrays his gender bias, but also symbolizes an effeminized Asian man under western gaze. He is more than willing to resume his masculinity by walking out of the theater zone. However, Gallimard's ritual suicide at the end of the play provokes further discussion on (Asian) women's right to subjectivity.

Key words : chronotope, carnival, crossdressing,, transvestite, stereotype

The Chronotope of the Theater in David Henry Hwang's *M. Butterfly*

A parodic stylization of Puccini's *Madame Butterfly*, David Henry Hwang's *M. Butterfly*, the Tony Award-winning play from 1988, manipulatively transforms the true-life story of the French diplomat Bernard Bouriscot's twenty-year love affair with a Chinese spy/impersonator into the chronotope of the theater. A term coined by Bakhtin, chronotope is the time/space continuum that gives shape to a literary work, functioning as a form of setting that assists the author to create the plot as well as to provide a field for characters to perform the dialogic interaction.[1] Within the chronotope of the theater in *M. Butterfly*, Song is able to cross-dress in feminine clothes, adopting the disguising mask to perform Gallimard's "Perfect Woman" image, and thereby accomplishing his own international espionage for communist China. On the other hand, when the play unfolds, Gallimard, a prisoner in a Paris jail, is given a chance by Hwang to "replay" his illusionary love story with Song, rearranging the time and the space of representation in accordance with his theatrical intention. To put it simply, while Song decoys Gallimard into the chronotope of the theater whose rules and conventions are beyond the latter's comprehension, we are invited as members of Gallimard's "ideal audience" into the theater, following his stage directions to watch his absurd, laughable, but worldwide love story. Also, with the creation of *M. Butterfly*, Hwang tends to interpret the hidden messages behind Bouriscot's story. Similarly, with the study of Hwang's intertextual play, we as readers (or audience) are inspired to analyze the sexual and racial ideologies the playwright aims to illustrate in this deconstructive play.

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[1] In his *The Dialogic Imagination* (hereafter as *DI*), Bakhtin does not provide a clear and specific definition of chronotope. But in the chapter "Forms of Time and of the Chronotope in the Novel," he explains generally that chronotope "expresses the inseparability of space and time….In the literary artistic chronotope, spatial and temporal indicators are fused into one carefully thought-out, concrete whole" (84).

It is worth noting that through Hwang's deliberate control, the chronotope of the theater works on two equal levels. First, it advances the plot, demonstrating how Song plays the role of a male transvestite and contrives a subtle play to ensnare the western diplomat. Secondly, it transforms the theater into an embodiment of a carnival world, by which Hwang parodies predominant western ideologies about the stereotypical perceptions of Asian women's submissiveness and Asian men's effeminacy. This paper thus purposes to discuss the complex relationship between Song's transvestism and Gallimard's sexual/racial ideologies in the chronotope of the theater, concentrating on the carnival elements and the subversive discourses embedded in Hwang's *M. Butterfly*.

Translated by Bakhtin into an artistic manifestation, the carnival sense of the world demonstrates the conflicts and oppositions between "official culture" and "popular festivity." While the official culture is closely related to humorless and serious discourse, the popular culture is linked to "grotesque realism," aiming to fight against the official ideologies as well as to subvert the controlling consciousness in society. According to Bakhtin, "carnival" is a place where "the behavior, gesture, and discourse of a person are freed from the authority of all hierarchical positions."[2] The sense of utopian oneness breaks hierarchical barriers, providing a space to laugh at, parody, and invert the seriousness of official culture; what is more, it combines "the sacred with the profane, the lofty with the low, the great with the insignificant, the wise with the stupid."[3] In the reversed and topsy-turvy world, "the atmosphere of joyful relativity" generates parodic laughter, loosening the tension between classes, genders, and ideologies. Different social voices, accordingly, mix, compete, and

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[2] From Bakhtin's *Problems of Dostoevsky's Poetics* (hereafter as *PDP*), p123. In a carnival world, people have chances to cross the boundaries between classes and genders, and hence shorten the distance between hierarchies and ideologies.
[3]Bakhtin terms the contrast as "carnivalesque mesalliance."

interact with each other.

There can be no doubt that *M. Butterfly* consists of several carnival elements, in which the "grotesque body" is represented by Song's male transvestism, and carnivalistic mesalliances are interwoven with sexism and racism. Fully acknowledging the art of performance and the theatrical rules of Chinese Opera, Song has a thorough mastery of costumes, gestures, and voices while he is plotting against Gallimard. It is generally realized that clothes and hair function as signs of people's social, sexual, and racial statuses. Outer appearance, therefore, becomes a symbol for people to recognize each other's identities. Crossdressing, in this regard, signifies a desire to ridicule, break, or confuse the boundaries between classes, genders, and cultures. In the chronotope of the theater, crossdressing not only serves as a tool for Song to gain confidential documents and international information, but also highlights the limitation of clothes philosophy and the blind spot in western stereotypical perceptions of Asian people. As the person controlling the play of international conspiracy, Song can take off his female disguise at the end of the play, returning to reality and the normal world outside the theater zone. But Gallimard, deeply influenced by his western ideologies about submissive Asian women, fails to distinguish the difference between reality and the chronotope of the theater, let alone run away from the reversed world in the play of transvestism contrived by Song. As a consequence, he can merely choose to imitate what Puccini's Madame Butterfly does, ending his life, in the kimono, "for the love of unworthy foreign devil(s)" (91). Namely, while the espionage is investigated by the French government, Song, the controlling director marks a period to his play, but Gallimard, the controlled actor, sacrifices his own life on the stage, unable to distance himself from the fantastic world of the theater zone,.

Central to Song's male transvestism, the Peking Opera in which Song performs

different theatrical roles, doubtlessly, is a powerful representation of the chronotope of the theater. Here time, space, and language cease to exist in their normal forms, since they have to be altered in accordance with the plays on stage. Given the talent of performing art, Song expands the chronotope of the theater from the Peking Opera to the space outside, invading and infecting the spirit of theater and performance into his flat in Peking and, years later, into Gallimard's apartment in Paris. With his well-devised masquerade, Song brings out his linguistic capabilities, speaks in many different personas and plays various roles, aiming to enlarge Garmillard's fantasy about the east, and thereby entrap the theater-fool into his net of espionage.

Though clothes and gestures contribute much to Song's transvestism, yet Gallimard's erroneous fantasy about "the submissive Oriental woman and the cruel white man," as a matter of fact, occupies the crucial role in Song's successful carnival disguise. When Song acts in Asian submissiveness and femininity with Asian traditional dresses, Gallimard immediately recognizes her/him[4] as a "typical Asian woman" without a second thought. According to Bakhtinian theory, Gallimard can be viewed as a fool of "incomprehension," since he possesses "the very aspect of not grasping the conventions of society, not understanding lofty pathos-charged labels, things and events" (*DI*, 402).

As a diplomat, Gallimard is supposed to be a sophisticated and experienced officer who generally understands the cultural and historical background of the country he resides in. However, due to his misconception of Asian women, his eyes are blinded from seeing the conventional truth that female roles are always played by male figures in Chinese Opera at that time. What is more, hardly perceiving Song's

[4] In those paragraphs that discuss Song's relationship with Gallimard, I use s/he, her/him, and her/his to distinguish Song from Gallimard. In others where Song's and Gallimard's roles are discussed respectively, the pronouns, objects, and possessives I use are simply in accordance with normality.

cross-cultural dressing when they first meet,[5] Gallimard does not really grasp Song's ideological discourse about "the cultural difference and historical antagonism between China and Japan" (Chang, 739), nor does he recognize the implicative meaning in Song's gender/racial reversal story of Madame Butterfly.[6] As Song pinpoints straightforwardly, Gallimard finds Puccini's story beautiful only "because it's an Oriental who kills herself for a Westerner" (17). Though Gallimard replies Song with "I see your point," he in essence can hardly penetrate into her/his subtle linguistic attack on western imperialism. In a nutshell, regarding Song's performance of Madame Butterfly as an "utterly convincing" one, Gallimard displays his incapacity of distinguishing different races in Asia. He naively believes in exterior appearance, assuming that costumes fully explain gender, culture, and race. In seeing the limitation of Gallimard's clothes philosophy, on the other hand, Song the Chinese spy/actor uses clothes and makeup as masks to lure the diplomat into the chronotope of the theater, practicing his cross-gender dressing with dominating control.

What makes Gallimard a laughing-stock, in addition, is his long lasting innocence about Song's gender. When he is "crowned" by Song as a masculine and powerful king, Gallimard the fool naturally strengthens his own belief of western dominant masculinity. He lacks the wisdom to discern the fact that only in the chronotope of the theater can he be the master. Not until he is "decrowned" at the moment when Song removes her/his female clothing can Gallimard behold the difference between reality and fantasy,[7] and realize what kind of foolish role he has

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[5] A Chinese person appears in Japanese kimono on stage.

[6] In order to ridicule the absurdity and racism of Puccini's plot, Hwang makes Song his mouthpiece to reverse the story of Butterfly as "a blonde homecoming queen fell in love with a short Japanese businessman" (17).

[7] In the dualistic ambivalent ritual of crowning/decrowning, as Bakhtin suggests, "lies the core of the carnival sense of the world—the pathos of shifts and changes, of death and renewal. Carnival is the festival of all-annihilating and all-renewing time" (*PDP* 124).

been playing in Song's spy theater. Nevertheless, as Bakhtin reminds us, with the study of stupidity we can gain an understanding of the invalid codes, conventions, and social mores of the carnival. Hwang here employs the fool to illustrate his intention of satirizing western stereotypes of Asian women.

> The author needs the fool: by his very uncomprehending presence he makes strange the world of social conventionality. By representing stupidity, the novel teaches prose intelligence, prose wisdom. Regarding fools or regarding the world through the eyes of a fool, the novelist's eye is taught a sort of prose vision, the vision of a world confused by conventions of pathos and by falsity (*DI*, 404).

Bakhtinian fools not only appear in novels, but also correspond with Gallimard's role in this complicated play. On the surface, Gallimard is by no means qualified to be a diplomat or a courier, since he does not draw a clear demarcation between duty and desire. Without knowing Song's genuine occupation, Gallimard betrays confidential information to her/him while he is still a French officer. Without requiring his lover's intention and purpose of collecting international secrets, he takes advantage of his privileges as a courier, photographing sensitive documents and passing them to Song. Whether or not he is conscious or unconscious while he is committing the crime of treason, he is definitely responsible for his foolishness and carelessness, and hence deserves punishment by the French government. It is quite ironical that when he considers himself "a foreign devil" who has already obtained an Asian Butterfly to please himself, he is virtually a pathetic prey in Song's artifice, neglecting his own duty and responsibility in order to please his "little Butterfly."

Below the surface of Gallimard's ridiculous blunders, apart from Song's outstanding pretense and flawless transvestism, Gallimard also fools himself as he

firmly holds the male fantasies of power and authority. In his imaginary land, Gallimard is like most western men, believing that he deserves a completely submissive Asian Butterfly. Toward the end of the play, he translates his idolized image of Perfect woman into words.

> Gallimard: There is a vision of the Orient that I have. Of slender woman in chong sams and kimonos who die for the love of unworthy foreign devils. Who are born and raised to be the perfect women. Who take whatever punishment we give them, and bounce back, strengthened by love, unconditionally (91).

Gallimard closely follows the Pinkerton myth, desiring to shape himself as one of the white devils who possess rights and power to abuse and mistreat Asian women. According to his observation, Asian women are always willing to sacrifice for love, and to die for "the white devils." Above all, he considers Asian women to be a group of people who are content to be subordinate and controlled beings, with no conceptions of complaint or human rights, but only ideas about femininity, submissiveness, and quietness.

On the other hand, while feminist ideologies and sexual revolution rapidly develop their influences in the western world, western women tend to strive for their own voices, independence, and equal positions in family, society, and work. Under such conditions, Gallimard once reveals his uneasy reaction and feeling to Marc that, "My life in the West has been such a disappointment" (76). His frustration, actually, is akin to his fear that "masculine" western women would symbolically castrate his masculinity. In this regard, Gallimard generally classifies women into two kinds: eastern women = submissive and passive = feminine = the conquered; western women = radical and active = masculine = a threatening force to male masculine power. We would laugh at Gallimard's oversimplified stereotypical classification, but we

simultaneously come to understand the reason Gallimard is doomed to be a victim in Song's theater of espionage. Moreover, we are inspired by Hwang to ponder further questions about men's fear of being castrated. Specifically, because his masculinity is intimidated by the rise of "masculine" western women, Gallimard turns to seek his virility in controlling and abusing the Asian Butterfly. Reluctant to accept the reversed female role in the west, he tends to practice his male chauvinism in the east. As a consequence, since he eagerly intends to rebuild his male authority, he walks directly into the trap designed by Song. In other words, his strong stereotypical perceptions of Asian women inevitably lead him into his foolishness and catastrophe.

In order to demonstrate Gallimard's frustration with his physical impotence, Hwang provides him with chances to demonstrate his amusing sex experiences with two "masculine" women, Isabelle and Renee. As Kehde suggests in her discussion of western ideas of masculinity, "For Gallimard, masculinity has always been primarily associated with sexual dominance" (243). Indeed, as Gallimard is dominated and pinned down to the ground by Isabelle when they are having sex in adolescence, he gains nothing but fear and frustration. Their sexual position here embodies the carnival topsy-turvydom, which draws forth our laughter and underscores Gallimard's embarrassment and passivity. Expecting sex to be a way to display his masculinity, Gallimard is disappointed to realize that in his first experience, he is actually the one in the inferior position, the one who is taught, played, used, conquered, and effeminized. The sex experience with Renee, similarly, threatens Gallimard's masculinity and confidence in his male dominant power. Though Renee's open attitude toward sex and beautiful naked body remind Gallimard of the sexy pictures in pornographic magazines, her extraordinary frankness evokes his confusion, "…is it possible for a woman to be too uninhibited, too willing, so as to seem almost too…masculine?" Neither can he accept her offhanded remarks, which

combine war with man's anxiety about manhood.

> Renee: Like, I think the reason we fight wars is because we wear clothes. Because no one knows—between the men, I mean—who has the bigger…weenie…. I mean, you conquer the country, or whatever, but you're still wearing clothes, so there's no way to prove absolutely whose is bigger or smaller. And that's what we call a civilized society. The whole world run by a bunch of men with pricks the size of pins (55-6).

As Gallimard's first name, Rene, shares the same root with Renee, Hwang vividly paints a picture of androgyny in this episode, in which Rene is portrayed as a man with effeminate qualities, and Renee, a woman with masculine characteristics. The boundaries between genders are thereby transgressed in the carnival world. While the reverse signifies feminists' arising voices and awareness, it causes Gallimard, a man who yearns to lord over females, acute discomfort.

Generally speaking, Gallimard is not alone on the boat of male chauvinism, because both his colleagues from his embassy and his friend Marc judge one's ability and masculinity according to his sexual relations with women. In such a case, as Touloun, the boss, overhears Gallimard's frequent meetings with a Chinese girl, the former deems the latter a "new aggressive confident" person, and then announces the news of Gallimard's promotion. On the other side, as soon as Gallimard learns about the good news, he jumps directly into the conclusion that "God who creates Eve to serve Adam…God is a man. And he understands!…I was suddenly initiated into the way of the world" (38). From their perspective, the world Gallimard identifies with is a place in which man stands in the superior position, and the way of the world, therefore, is allied to man's masculine control over woman. His intimacy with an extramarital lover, ironically, turns to be proof of his working competence. Apart

from Song, Gallimard's relation with Renee lifts his name and fame up to the top of the embassy. On hearing the praise of Toulon, Gallimard bursts out with joy, saying, "Toulon knows! And he approves! I was learning the benefits of being a man" (46). However, it seems that marital faith and female dignity, in comparison with man's anxiety about virility, are merely worthless and unimportant "things."

In order to reaffirm his manhood, Gallimard designs to mimic Pinkerton's abandonment of Madame Butterfly, creating a chronotope of the theater in which he adopts silence and negligence as weapons to abuse his Asian Butterfly, Song. The intertexual waiting scene (Act I, Scene Eleven) in Hwang's play is by all means complicated. On the surface, since Gallimard is holding an idea that he is a white devil, he has the right to torture his woman. He reenacts Pinkerton's cruelty, carelessness, and unfaithfulness, in the hope of "avenging his cripple male ego" (Ma 293). From Song's letters, he easily perceives her/his frustration and heartache. When he reads Song's lines about his cruelty and her/his shame, Gallimard finally announces the successful outcome of his experiment to Mark, "She was turning on my needle" (36). He thinks that by enlarging the space between Song and him and by prolonging the interval of their meetings, he succeeds in abusing and entrapping her/his heart in the chronotope of the theater. Yet the authentic truth is just opposite, because below the surface, he is turning on Song's needle. As Remen suggests, "[Gallimard] thinks that, because he adopts the Western, white male position, he has the power. He doesn't understand that the power is not fixed, that the resistance is mobile, and that the rules can and do change" (394). Owing to her/his clear knowledge of power, Song wins the final victory despite her/his seemingly weaker role.

As an actor who thoroughly understands the spirit of Puccini's opera, Song enacts the role of Butterfly to the hilt. He widens the space of Puccini's love story

from the theater to the external world of real life; moreover, he re-fixes the time from 1904 to 1960-85.[8] That is to say, in the chronotope of the theater, he is both the leading female/male character and the stage director. As mentioned above, Song makes himself into a male transvestite, putting his ploys into practice in the device of sex-trap. In speaking of his crossdressing, we can hardly neglect Hwang's purpose of creating an Asian male figure to play the female lead. In the afterword of his script, Hwang claims that he hopes to lessen the "degree of misunderstanding between men and women and also between East and West" (98). He does this not only by following the original story of the French diplomat Bernard Bouriscot, but also by breaking the false myths between genders and cultures.

Sharing the same anxiety about emasculation, Song is a representative contrived by Hwang to imply that Asian men in general have been culturally castrated by western imperialism. The stereotypical images of man as the West and woman as the East, as a matter of fact, seriously affect eastern men's sense of male dignity. While western imperialism feminizes the colonized, eastern men thereby become synonymous with subordination, femininity, and inferiority. In the court scene Song articulates his definition of the western "rape mentality."

> The West thinks of itself as masculine—big guns, big industry, big money—so the East is feminine—weak, delicate, poor…but good at art, and full of inscrutable wisdom—the feminine mystique. Her mouth says no, but her eyes say yes. The West believes the East, deep down, wants to be dominated—because a woman can't think for herself (83).

Paralleled with Song's statement, Gallimard's discourses mirror the western cultural

[8] Puccini's Madame Butterfly is first produced at La Scala, Milan, in 1904. In Hwang's play, Song and Gallimard's first meeting takes place in 1960, and their love ends in the arrest in 1985.

bias against the eastern people. He asserts that "The Orientals simply want to be associated with whoever shows the most strength and power" (45). So does he assure the idea that "Orientals will always submit to a greater force" (46). Under the great influence of sexual imperialism, the West considers Asian men to be feminine people, and Asian women, "beings" physically weak and intellectually witless. As Song indicates to the Judge, "I am an Oriental. And being an Oriental, I could never be completely a man" (83). Because Asian men are generally recognized as feminine people without masculinity and manhood, Hwang has Song demonstrate the condition that Asian men encounter in their relation to the westerns; he also uses Song as his mouthpiece to voice his attack on western stereotypical views of the eastern world.

Within the chronotope of the theater, accordingly, Song adopts the traditional Asian feminine role to reflect his cultural castration. In this regard, Song's gender transformation toward the end of the play symbolizes Hwang's wish to subvert the stereotype of Asian men. To place Song naked on the stage is to make his penis a proof of Asian masculinity. That is to say, the play symbolically releases Asian man's anxiety about castration. Furthermore, walking into the chronotope of the theater, Song plays not merely the role of the female spy, but also the role of a culturally castrated Asian man. Walking out of the theater zone, Song successively takes off his female disguise and regains his male identity. The transition from "playing a woman" to "being a man" fulfills Song's wish to be recognized for his male dignity and subjectivity. The eccentricity united with his carnivalistic sexual inversion, then, is infused with a new cultural meaning.

Although the chronotope of the theater serves as a ruling factor in Song's completion of cultural transformation, it consists of several hidden dangers, in which Song might confuse or lose his own gender identity and masculine characteristics. It

is apparent that his ploy lasts for quite a long period. In other words, he hides his male ego deep inside and has femininity as his second skin for over twenty years. In order to assume the role in Gallimard's western fantasy as the submissive, sacrificial, and traditional Asian woman, Song inevitably needs to dig out all his feminine qualities for the purpose of convincing. In doing so, Song might get confused about the voices and discourses he utters every day. As he once tells Chin that "A Chinese baby with blond hair—[Gallimard] will be mine for life" (62), Song here seems to confuse his true gender and real social identity, hoping to live with Gallimard for the rest of his life as Gallimard's "little one." This kind of confusion, to a considerable extent, resembles the problems a person might encounter when he is living with influential expectations or stereotypical perceptions. The longer one is recognized as an image, the stronger he identifies himself with that image. Without having Song entirely and eternally fall into the whirlpool of confusion, Hwang invites Asian men to stand out courageously and fight against the false stereotypes, even though Asian men have been misread for a long time.

On the other hand, however, Gallimard the "white devil" does not share a happy ending with Song, but commits a Japanese suicide to fulfill his fantasy about Puccini's Butterfly. When the curtain is closed by Song, Gallimard is unable to return to reality, where he cannot find his "Perfect Woman." Unwilling to accept his folly and the unbearable truth, he chooses to free his spirit and love from his physical body. In addition to his death, it is noteworthy that his cross-gender and cross-culture dressing, on the one hand, deepens the metaphor of woman as the conquered; on the other hand, it reinforces the stereotype of Asian women as sacrificial females. Thus, the major ambiguity in the play resides in Gallimard's ritual suicide. On the first level, his death signals a punishment of his replacing reality with fantasy, misunderstanding of the East, and desires to be dominant over the weaker sex. Secondly, since Gallimard

dresses himself as Butterfly, he still sticks his belief to Puccini's Butterfly image. Finding himself unable to have an Asian Butterfly sacrifice herself for him, Gallimard himself plays the sacrificial role and mimic the death for the "cruel white devil." Yet, from a brighter viewpoint, the death of the Butterfly may suggest the end of stereotypical perceptions. What is questionable here is his monologue before death: "I could look in the mirror and see nothing but…a woman….My name is Rene Gallimard—also known as Madame Butterfly" (92-3). The two lines, ironically, demonstrate the conventional image of woman as the mistreated, misread, fooled, used, and controlled. According to traditional understanding, the inferior shall be a woman in terms of sexism, moreover, the weaker shall be the Oriental in terms of racism. Namely, the status of the Oriental woman is the lowest in general. To have Gallimard die as an Asian female, Hwang translates the pathetic condition of the Oriental woman into his drama. However, while Hwang enables Song to finalize the cultural transformation of regaining masculinity, he uses Gallimard's ritual death to imply the unfinalized[9] discourses of the play.

Precisely, neither inside nor outside the chronotope of the theater does Song reveal the ability of crossing the boundary between genders. Though he, in his masquerade, gives ample scope to Butterfly's femininity, he can hardly become the mouthpiece for females. Explaining his flawless disguise, Song tells the Judge that his success depends heavily on his understanding of women; here, Song unconsciously betrays his gender prejudice. His understanding does not shed any new light on female subjectivity, but reveals the way an ordinary man define the term "woman." As being a good actor and the son of a prostitute, Song finds no difficulties in imitating a woman by the help of costumes and gestures. "Only a

[9] As Bakhtin stresses in *Problems of Dostoevsky's Poetics*, the unfinalized qualities assist the author to make his work a polyphonic one, by which the dialogic interaction between characters, the author, and the reader will never end.

man" says Song, "knows how a woman is supposed to act" (63). The woman who can win men's hearts, according to his understanding, "is supposed" to be submissive, obedient, voiceless; and most importantly, she "is supposed" to please man, to exaggerate her man's superior position, and to enlarge his confidence in masculinity and his own sexual potency. In his confession Song admits that "Men always believe what they want to hear. So a girl can tell the most obnoxious lies and the guys will believe them every time" (82). Being a man, Song doubtlessly knows what a man expects to hear from his woman. Also, because he, like the other men, considers women inferior citizens, he is more than willing to leave the chronotope of the theater where he is practicing objectivity. Gallimard, on the other hand, is reluctant to leave, because his role lies in subjectivity. Since there is no one in the play who strives for Asian women's right to female subjectivity, *M. Butterfly* does not subvert the stereotypical perceptions of Asian women. Rather, by the consistency of Song and Gallimard's ideas of women, Hwang makes the unfinalized subject an invitation to invite more readers and audience members to participate in a dialogic debate.

In *M. Butterfly* David Henry Hwang introduces the chronotope of the theater primarily as an arena in which Song may engage in socially ambivalent transvestism. With Gallimard's fantasy about the Perfect Woman, Song largely expands the time and space of Puccini's *Madame Butterfly*, manipulatively employing the conventional weaker role of the female to accomplish his enterprise. He knows the topsy-turvydom in the carnival world will end when he closes the chronotope of the theater, so for him the masquerade does not erase his true gender, but gives him a shortcut to information collection. However, Gallimard does not recognize the essence of the chronotope of the theater. Although he intends to imitate Pinkerton's cruelty in the waiting scene, he can merely use silence, instead of a different language,

to fulfill his purpose of accumulating "male power." Despite this seeming power, Gallimard is actually under the control of Song, the "stage manager," in this chronotope of the theater. As a result, though he confesses that "I knew all the time somewhere that my happiness was temporary, my love a deception" (88), Gallimard does not have the courage to face the "decrowning" moment. He can only wait passively for the disillusionment, so can he only meet his Butterfly in the realm of fantasy. His ritual suicide speaks of his inability to face his disillusionment, and it also points out Asian women's lack of the right to female subjectivity. By juxtaposing the contrasted outcomes of male and female searches for subjectivity, Hwang in *M. Butterfly* apparently opens a larger space for interpretation and discussion.

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Title:
Tradition vs Innovation: An Architectural Intercultural Conflict

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Abstract for Proposed Research:
Tradition vs Innovation: An Architectural Intercultural Conflict

As developing nations rush to catch up with technology-driven industrialized nations, they find themselves abandoning indigenous cultural traditions for homogenized modern innovation. For example, native dress gives way to the mini-skirt, culinary traditions fall prey to the fast-food mentality, and the desire for air-conditioning creates sealed buildings that can be located anywhere; and therefore, have no contextual relationship to their environment. While cultural ties still exist for some of the arts, they are all but disappearing in others. As in the case of the above example, native dress and food remains customary for ceremonial events, but the élan with which historic buildings are being destroyed or altered is alarming. In short, we are fast approaching the homogenization of world culture and nowhere does it seem more evident than in architecture. Therefore, the objective of this paper is to initiate an architectural exploration into the intercultural conflict that exists when a culture wants to maintain traditional ties yet experience the technological innovations of the rest of the world.

The methodology for this investigation into architectural intercultural conflict will take the form of two case studies: one residential and one religious. By utilizing the literature, as well as personal experience and observation, the authors propose to graphically analyze two architectural examples that have roots in one culture but are physically located in, or are influenced by, another: the Vahakni Residential Community, and the American Islamic Mosque. The Vahakni Residential Community, located in Yerevan, Armenia, advertises the "sale/renting of American style private residences." The Islamic Mosques in the US are seen as being either literally transplanted from Islamic countries, or incorporate elements of American architecture, or are entirely architecturally innovative.

These two architectural typologies – the house and the church -- will be analyzed relative to form, material, context, and spatial organization. By way of this graphic analysis the authors aim to architecturally define the meaning of traditional and innovative residential and religious architecture, and in the process explore and address the following questions: What is the relationship between the form language of traditional historical architecture and the form language of innovative modern architecture? What is the role of materials in bridging the gap between traditional and innovative architecture? How important is context? Should the spatial organization of modern innovative architecture be the same as that of traditional historic architecture?

The authors of this proposed research are university professors interested in the role of architecture in developing national self-consciousness in a globalized world. In addition to teaching architectural design studios, the American author teaches a course on Housing while the Tajik author teaches History and Humanities courses. Therefore, as educators, the authors aim to use this research to help develop and enrich the architectural pedagogy in their home institutions by raising awareness of the architectural intercultural dilemma that exists in the world today.

As this research continues to evolve, each author proposes to develop lectures and studio-based projects that will enable architecture students to professionally address this issue in a more critical and thoughtful way. However, the ultimate goal is for the authors to use this paper as a basis for applying for externally funded research at their home institutions. For example, the American author aims to pursue grant funds to research the role of intercultural conflict in the evolution of the Armenian house while the Tajik author aims to pursue grant funds to research the role of architecture as a language of intercultural communication.

1. "Administration and Leadership"
   This is the third of three papers in the panel session, "Promoting arts and humanities in the daily lives of students (PK-12)"

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6.

Abstract

The pressure placed on administrators to improve standardized test scores and use allotted time for instruction in content knowledge has resulted in minimal emphasis on the arts and humanities in some schools. To build and maintain a school-wide emphasis on the arts and humanities, administrators and teaching professionals must use innovative techniques. Leadership skills and awareness of the importance of arts and humanities to all content areas must become a priority to gradually increase student achievement. Research lends evidence to the increase of brain development due to enriched environments. This growth begins before birth and continues through the school years. Involvement in the arts and humanities may have undiscovered potential for improving and encouraging excellence in education.

Full Text

Administration and Leadership

Strong leadership on all levels of education is considered one of the most important components of effective schools today (Daresh, 2001). Pressures and demands on administrators have resulted in a shortage of people who want to become school principals. Those who do choose to pursue leadership roles enter training programs where they are encouraged to develop critical leadership skills. The ASCD (1989), Steven Covey (1991), and Warren Bennis (Bennis & Nanus, 1985) outline what effective leaders should do. A common thread that weaves through the tapestry of leadership is the ability to effectively communicate what steps schools should take to benefit children.

John Maxwell (1999) notes that without effective communication from the leadership, every member of the faculty and staff travels alone. Because administration sets the vision, it is essential that teachers, students, parents and the community at large know and understand the vision and become eager participants. Emphasis on the arts and humanities must begin with a vision followed by a plan that integrates that vision through all curricula of the organization.

The arts and humanities have long been considered ornamental activities and sources of relief (Eisner, 2002), but there are definite and distinctive implications for education. The arts and the humanities need to be promoted throughout the school, becoming an integral part of the daily life of students, faculty, staff, and community. John Dewey (1980) acknowledged that the arts are learned best through integration in everyday events, doings and sufferings we call experience. Experiencing the arts can lead to better testing skills and engagement in higher level thinking skills over time. It is imperative that administrators realize the advantages and the challenges to the integration of the arts and humanities in both the explicit and implicit curriculum. What are the possibilities for the implementation of such a plan?

Explicit Curriculum

Explicit or formal curriculum can be defined as the subjects that are taught in school and the instructional approaches used to transmit knowledge (Ryan & Cooper, 2001). Assessment and evaluation of courses taught in the arts and humanities and the instructional approaches used will reveal strengths and weaknesses to be addressed. To improve the explicit curriculum in terms of promoting arts and humanities, there is a possibility that staff may need to be added, moved or given the opportunity for

enrichment if they have been in the field for a long time. Allocation of funds for workshops, conferences or retreats will provide both renewed vigor and fewer obstacles to participation. Textbooks may need supplementation and project ideas and innovative approaches garnered at meetings will require funding and administrative support. Scheduling of courses may be an obstacle to be addressed due to the present trend of block scheduling, state standards and graduation requirements. Administrators can make note of concerns and scheduling limitations observed during local and state level meetings. The base of those supporting the arts and humanities on the school level can strengthen and grow if support comes both financially and administratively.

Once the explicit core is firmly established, a curriculum committee composed of various staff members throughout the institution can plan and promote integration throughout all grade levels and content areas of the school. Recognition of activities, events and projects involving the arts may take the form of newspaper stories, television spots, fairs, exhibits and mention in civic speaking engagements by the administration. Outside funding may come in the form of grants, civic contributions and school fund raising organizations that are supportive of the arts. Allocating library funds to enrich resources through the purchase of such items as videos and books should be decided before the budgeting process.

Administrators who have the vision of integrating the arts and humanities into the formal curriculum should also plan for events and activities that involve the entire student body. Assembly programs are limited during the school year, so setting aside programs for the arts is a vital part of planning. Early scheduling will enhance the possibility of enlisting programs that will engage and inspire students through the many facets of art.

School and community cooperation lead to broader possibilities for participation and sponsorship of large scale events or performances.

Implicit Curriculum

Implicit curriculum is informal or hidden curriculum which comes from the learning environment but is not actually taught (Ryan & Cooper, 2001). A new trend in schools of all levels today is wall painting. Most paintings are limited to entrance areas, and have a message for all who see them. Again, allocation of funding provides expansion of this form of informal curriculum to all areas of the building. Students and staff can determine various portrayals to encompass all areas of the arts and humanities. History or factual information can be given weekly or more often during announcements. Quick facts can be used as attention grabbers at the beginning of a class or homeroom. Many have noted that teacher attitudes and dispositions toward various subjects indicate importance to students without verbally addressing the topic. The classroom environment reveals the teacher's value system to students and parents. Encouragement to integrate topics and projects that create upper level thinking skills in both classroom instruction and the classroom environment can easily involve the arts. The notion that more is caught than taught may apply here. The role of administrators involves encouragement and support of the integration of the arts and humanities into the atmosphere of the school as a whole. Presentations to staff during staff development as well as emphasis upon keeping the vision in the forefront are critical. The intense pace and responsibilities of leadership will tend to distract from the vision if there is not a firm commitment to the vision and plan of implementation.

Strong leadership in the arts and humanities begins with personal commitment. With so many responsibilities and pressures placed on administrators today, daring to make a plan and see it through requires motivation and superior people skills. Are the arts and humanities worth fighting for? As Michael Fullen (1997) stated, "The starting point for what's worth fighting for is not system change, not change in others around us, but change in ourselves." Enthusiasm is caught and quickly spreads if teachers, students and the community understand the vision and assume ownership of the plan. Forming committees and allocating funding signify commitment and dedication. Effective communication is a critical component of sharing a vision and implementing a plan of action. Assessment and evaluation of explicit and implicit curriculum form the basis for the challenge of change. Strong leadership and patience will build schools that indeed benefit children of all ages.

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Performing Ethnicity in Spoken Word and Spirituality

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Performance Studies is an interdisciplinary field that has been shaped by linguists and cultural analysts from fields such as communication studies, anthropology, folklore, theater, dance, and sociology. In our panel, we seek to deploy Performance Studies with Ethnic Studies to shed light on the interplay of ethic identity and politics as expressed in performance.

Our panel examines how performers enact—and interact with—their ethnic identities within their work. For all the performers, their ethnicities provide the foundational platform for their artistic/spiritual philosophies as well as the content of their performances. Consequently, we each examine how theories of ethnicity inform their lived practice, and how the breakdowns between theory/praxis illuminate areas of contradiction. These areas then provide opportunities for pushing the established, theoretical boundaries of race, ethnicity, and identity. Finally, all our performers/practitioners bring progressive politics and commitment to social change to their work. During an election year when so much is at stake, we scrutinize the aims of these performers against the urgent background of the current American political climate.

The performances we examine differ widely in form, content, and audience. Further, our communities include African Americans, Latino/as, and Asian Americans. As a panel session, we intend to put into dialogue theories of performance as well as definitions and negotiations of ethnicity and race (with attendant identity markers of class, gender, and sexuality).

Claudia J. Hernández explores the ways Chicana/Latinas enact ethnicity and femininity through a politically-charged spirituality based on theories of mestizaje and Third World feminism. Anoosh Jorjorian draws from corporeality, place and glocality, and performance theory to consider the ways that Filipinos situate themselves as "people of color" through spoken word by referencing African American models of politics and performance. Raquel Monroe conceptualizes gender as choreography and analyzes the staging of black female sexuality through the erotic performance poetry of the Oakland, CA-based Punany Poets, whose identities, she argues, are constructed by the failed interpellation of race and gender norms.

Submission for Proceedings

Title of Submission: Culture, Humanity and Creativity: Exploring Global Issues Through Film and Literature

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Abstract:

This workshop explores the paring of international feature-length films and literary selections in literature and writing courses for the purpose of enhancing global and cultural understanding. The ideas can be adapted to classes in history, sociology, anthropology, and political science. This approach is suitable for both secondary and college level students.

Film is not only an important form of literature and artistic expression but is an important vehicle for critical thinking and human understanding. In this workshop we will examine diverse cultural perspectives and analyze the inter-textuality between film and literature. Our discussion will deal with the basics of film making and the theoretical connections among film, literature and culture. We will provide examples from the specific course we team-developed and team-teach. We believe that by using feature-length films from around the world and pairing them with literary selections of varying genres, we can create an environment that encourages cross-cultural understanding and analysis. By discussing film and literature together our students will gain the intellectual tools to understand other cultures and the basics of film criticism and literary criticism.

Like literature, film is an expression grounded in the fields of history, politics, sociology, literature and fine arts. They both open the window of understanding of "the other," the local and the global. In our course we select 10 films that address global themes such as: colonization, immigration, racial and gender discrimination and economic prosperity. The films represent a range of geographic areas and multiple viewpoints. We challenge our students to examine their own culture and to critique their own world view. Our purpose is to prompt our students and ourselves to question our own ethnocentrism. We believe this will help us see the differences as well as the overriding commonalities among world cultures. By introducing the basics of film making technique and literary criticism we expect students to examine the cultural values expressed through film and literature. This offers students the opportunity to share their perspectives and to understand perspectives different from their own. We believe that we help our students to become aware of global issues, develop their ability to interpret and analyze multiple texts, and eventually become more critical in their reading and viewing.

Symbolic Impact of the Middle Passage on Texture and Plot in Toni Morrison's *Beloved*

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Abstract:
Beloved, Toni Morrison's finest and most provocative novel, has received high critical acclaim since it was published in 1987. No other literary work of fiction in modern times has enjoyed such widespread, sustained critical attention, and has elicited such a multiplicity of impressive and positive responses. *Beloved's* unparalleled appeal to critics in the academy and general readers within United States and abroad, results from the novel's challenging and paradoxical themes such as infanticide, motherhood, unbearable loss and absence, and the horrors of slavery, as well as the imaginative, visionary and poetic force with which the themes are defined and explored. "Beloved is a triumph of storytelling," observes Eusebio Rodrigues. "Toni Morrison fuses arts that belong to black oral folk tradition with strategies that are sophisticatedly modern in order to create the blues mode in fiction and tell a tale thick in texture and richly complex in meaning,"

To understand the obliterating effects of slavery on the lives of Africans and Black Americans, indeed, on us all, Morrison invites us to confront varied "unspeakable" horrors perpetuated by the slave traders /owners. Among the most hideous are the events of the Middle Passage which, according to the novel's epigram, destroyed 'sixty million and more,' and, along with them, our humanity. As significant as this tragic Middle Passage is to the plot, critics have paid only cursory attention to it, "the same way it has been treated in traditional Western cultural narratives," as Jean Wyatt points out. My aim in this paper is to argue that the events of the Middle Passage are an integral part of the plot of *Beloved*; they inform pivotal actions of the novel's major characters and heighten our apprehension of the horror and evil of slavery, which must be "remembered" in order for us to recapture our humanity.

Teaching Shakespeare's Othello to a Group of Multi-Racial Students

Literature/English
Paper session

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ABSTRACT

Teaching Shakespeare's *Othello*
To a Group of Multi-Racial Students

by

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In Shakespeare's England, the existence of a pervasive tradition of color prejudice, especially negative associations with the word "black," has been convincingly documented by historians and literary scholars. Eldred Jones points out that Englishmen saw the natives of Africa as barbarous, treacherous, libidinous, lascivious, evil, jealous, and bestial.[1] Also well documented is the presence of overt racist attitudes—the impulse to regard black men in set negative ways in Shakespeare's *Othello*[2].

Paradoxically, the existence of racial problems in *Othello*, as A.C. Bradley admits, affects "our idea of Othello and makes a difference to the action and catastrophe…"[3] Mark Orkin adds, "The absence or presence of racist attitude inevitably determines one's response to Othello…"[4]The interracial marriage between Othello, a 'cultured' black man in cultured white society, and Desdemona, a charming, high born white woman, evoked passionate negative responses in Shakespeare's England, as in contemporary society, because such marriage was—and still is—considered a mismatch. Samuel Taylor Coleridge's sentiments expressed in his degrading remarks about the marriage that "[I]t would be something monstrous to conceive this beautiful girl falling in love with a veritable negro. It would argue a disproportionateness, a want of balance, in Desdemona, which Shakespeare does not appear to have in the least

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[1] Jones, E. *Othello's Countrymen*, (London: Oxford University Press, 1965), 1-85. See also Jones's, *the Elizabethean, Image of Africa* (Charlottesville: University of Virginia Press, 1971.)
[2] Evans, K.W. "The Racial Factor in Othello" *Studies in Shakespeare* Vol 5 (1970), 124-40. See also G.K. Hunter, "Othello and Color Prejudice," *Proceedings of the British Academy LIII* (London: Oxford University Press 1970), 139-63. See also Ruth Cowhig, "Actors, Black and Tawny, in the Role of Othello and their Critics," *Theatre Research International* (Glasgow) 4 (1979), 136-46. See also Matthews, G.M., "Othello and the Dignity of Man" in David Craig, ed., *Marxists on Literature* (Harmondsworth, 1975) 110-33. See also Barthelemy, Anthony, *Black Face Maligned Race* (Baton Rouge: Louisiana State University Press, 1987).
[3] Bradley, A.C. *Shakespearean Tragedy* (London: Macmillan, 1971), 186-7.
[4] Orkin, M. "Othello and the Plain face of Racism" *Shakespeare Quarterly* 38 (1987 Summer), 166.

contemplated,"[5] is still shared by many in our society where negative racial stereotyping is pervasive. The fact is, although interracial marriages are no longer illegal, as Davidson points out, "The marriage of a middle-aged black man and a young white girl must, then and now, touch sensitive nerves in black and white."[6]

The essential problem, then, is how to teach the play to a group of multi-racial students, especially African-Americans, who bring into the classroom attitudes derived from their own innate responses to race, without irrevocably arousing their own latent prejudices, which would then interfere with their emotional and intellectual apprehension of the play. How does one lead students to the understanding, as Plaatje observed, that "Shakespeare's dramas…show that nobility and valor, like depravity and cowardice, are not the monopoly of any color"[7] or, as the Duke's final words to Brabantio indicate, the presence of virtue or vice in mind is not always indicated by appearances: "If virtue no delighted beauty lack/Your son-in-law is more fair than black." (Act I, iii, 284-285)

More to the point, how does one convince students to see *what is there, in the play*; as distinct from merely seeing a narcissistic mirror of their own experiences and social prejudices? How does one present the play to students without allowing their anger to overpower their imagination? A black student may well regard *Othello* as a play that further degrades his existence and assaults his humanity because of its overt racial insults, while a white student, in keeping with quotidian reality, may regard the play as an affirmation of the negativisms stereotypically associated with blacks.

Teaching *Othello* is difficult and challenging; the racial elements, an integral part of the plot, both draw many to the play and simultaneously alienate others from it. My aim here is to explore ways of successfully teaching *Othello* to a group of multi-racial and multi-ethnic students.

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[5] *Coleridge's Writing on Shakespeare*, ed. Terence Hawkes. (New York: Capricorn Books, 1959), 169.
[6] Davidson, P. *Othello* (New Jersey: Humanities Press International, Inc., 1988), 63.
[7] From Solomon T. Plaatje in *A Book of Homage to Shakespeare*. Ed. I. Gollancz (Oxford: Oxford University Press, 1916), 3e36-39, cited in *English in Africa*, 3 (1976), 8.

Title of submission: PRUDENT SHADES: SEX AND SAVVY IN THE POST-1857-REBELLION NOVEL OF FORMATION

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PRUDENT SHADES:
SEX AND SAVVY IN THE POST-1857-REBELLION NOVEL OF FORMATION

During the latter half of the nineteenth century, changing material pressures at home and abroad generated new demands for British imperial expansion. Globally, accelerating imperial competition with other European powers interacted with employment demands for burgeoning professional and maneagerial classes at home to "convince" Britons that not only new imperial conquests but the corresponding expansion and systemization of a professional bureaucracy to administer them would determine a nation's respect and success in the world. As Daniel Bivona's excellent chapter on writing and imperial self-perpetuation attests, while there was by no means a late Victorian nationwide consensus on the values of imperialism, "the engine of imperial expansion…would increasingly become the imperial administrative class itself" (Bivona 14).

In late-Victorian popular fiction, there is a broadly drawn parallel development of conceptions of manliness: from personal morality in the early nineteenth century to "machismo" at the end. Claudia Nelson's *Boys Will Be Girls* describes the translation of this ideal into the romance-adventure of boy's historical novels. G.A. Henty's turn-of-the-century romances, for example, "preach secular manliness with little interior life" (97). Introspection is unnecessary. Henty heroes don't worry about becoming better people; "within their limited type, they are born perfect" (Nelson 107-9). Henty's boys invariably choose military over civilian service. The hero of *With Clive In India* (1890), Charlie Marryat, is violently attacked, acquits himself well, and receives a "battlefield" commission from Clive the day he arrives to take up a safe clerkship in Madras. Henty's fiction takes up the call of Ruskin and Rhodes, Kidd and Fitzjames-Stephen: the destiny of Britons is to conquer.

By the end of the century then, the predominant ideology would accept the self-evidence of a technologically advanced military force as its own justification of the British right to rule India. But for now, new ideologies have to be created or old ones refurbished to make the transition from benevolent guidance to military might as a rationale for imperial rule in India. A temporary misrecognition of hostilities intrinsic to imperial relations of dominance and subordination as aberrations outside the normal operations of the imperial system provides this ideological transformation.

This ideological transformation is exemplified by its elaboration in "novels of development" on India that appeal to readers' nostalgia for a conservative neoclassical social thesis of the previous century. The ideological displacement of the conflicts inherent in the dynamics of British imperial dominance and Indian subordination onto feelings created by the imprudent exercise of British dominance by aberrant administrators was a general post-Rebellion mode of imperial rejustification. The "political unconscious"[1] of debates in Parliament and in print on administrative responsibility for the Rebellion is the powerfully reassuring anti-conquest assumption that relations of imperial dominance and subordination can be "managed," that is, that the cooperation of peoples of empire can be compelled without the necessity of resorting to force

Accusations of aberrant "irresponsible" individual administrative practices were personified in post-Rebellion debates over the renewal of the East India Company's charter in the character of Lord Dalhousie, Governor-General of India, 1848-1856. Dalhousie's "policy of aggression, spoliation, and confiscation," John Bruce Norton's 1857 critique of the East India Company's rule claims, had "done more to loosen our hold upon the respect of the Natives, than a century of previous efforts to rivet and enchain it" (Norton 64-65). Popular histories joined in the attack and in the ideological production of the ideal administration as a pacifying force. Henry Mead waxes poetic in his displacement of responsibility from the conflicts inherent in British imperial presence onto the previous Governor-General's self-interested neglect of public duty: "[Dalhousie's] heart was in the balance sheet of his administration. He cared more for results which were favourable to his personal reputation, than for strengthening the defences of the empire.....Let us have fair play for the energies of England, and the desert places of Hindostan shall flourish and blossom like the rose" (Mead 11-12). In other words, the East India Company's administration had not only been heartless, it had been inefficient; the Queen's administration could and would do better.

Once the Company had lost its charter and Parliament had officially taken over the administration of India, theories explaining the causes of Rebellion in terms of imprudent acts by individual administrators continued to ground debates over post-Rebellion governance. John Lawrence's[2] and Charles Wood's[3] long and competitive struggle to win the hearts and minds of British-Indian civil servants for (Lawrence) and

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[1] This is from Frederic Jameson's 1981 title.
[2] Lawrence served both on the Council of India in London (1859-1862) and as Governor-General of India (1864-69).
[3] Wood was the first Secretary of State for India after Parliament took over from the Company (1859-66).

against (Wood) government support for evangelism in schools provides a dramatic example of the enduring and pervasive nature of this ideological transformation. Annoyed with Lawrence's exhortative influence on evangelical pressure groups at home, Wood complains to Earl Canning that "the eager people here [in England]…are encouraged by J. Lawrence's authority to urge that there would be no difficulty if [missionary teaching were] discreetly carried out."[4]

Wood has pegged Lawrence's argument exactly: justifying his advocacy of government support for grant-in-aid funding for missionary schools, Lawrence insists in official correspondence with Herbert Edwardes, "Where the missionaries have acted in the real spirit of their calling, they have been generally respected, and even liked."[5] By the end of 1858, the underlying assumption -- that it is not the system but the abuse of power by aberrant individuals in the system which provokes resentment -- has become so widespread among Indian civil servants that Lawrence can use it in arguments in defense of post-Rebellion evangelism: "Why, one tyrannical, incapable or lazy man in power," Lawrence writes to Charles Trevelyan, Governor of Madras, "does more harm to our power and good name in India than the preaching of a dozen zealous, but *prudent* Missionaries will do" (my italics).[6] This mode exemplifies Slavoj Žižek's point about cynical ideological production: that "an ideology really succeeds when even the facts which at first sight contradict it start to function as arguments in its favour" (Object 49).

From his position of responsibility for the social order in British India, Wood believes that avoiding all appearance of religious interference should be the highest priority of his administrators. His official correspondence counsels caution to Sir Charles Trevelyan, the new and enthusiastic Governor of Madras, who seems to be acting outside the parameters of pragmatic wisdom:[7]

> Do pray be careful in what you do and don't be too much in a hurry. Whether a system which has subsisted for half a century is altered a week or two sooner or later or even a month or two does not much signify; but it does signify very much that the *prudence* and discretion of a governor should not be impeached and it signifies still more that the whole population should not be under the apprehension of having long enjoyed privileges or even indulgences taken away from them (my italics).

As expressed in these characteristic quotations, the operative word shared in Lawrence's and Wood's arguments for and against evangelism is "prudence." Both Lawrence's prudent missionaries and

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[4] Wood Papers, letter 7/26/59.
[5] Lawrence Papers, letter 10/14/57.
[6] Lawrence Papers, undated letter to Sir Charles Trevelyan, located in letterbook between letters dated December 17, 1858, and December 25, 1858.
[7] Wood Papers, April 26, 1860.

Wood's prudent administrators, that is, provoke respect, not resentment in these arguments. Though their diction through Derridian *différence* connotes reticence – prudent is defined against "tyrannical" in Lawrence and against "rash" in Wood -- in the polemics of both official positions, prudence is actually a call to action. Wood, for example, explains his notion of prudent administrative procedure to Beadon, a Calcutta functionary whose health management decisions he admonishes as potentially offensive to local religion: "the natives ought to be consulted, measures taken to reconcile them to such a departure from their ancient habits, and to point out the advantage to themselves. They ought to be made willing cooperators with you in what you propose to do."[8]

Two post-Rebellion novels of formation written by British Indian administrator-novelists define the potential Indian administrative bureaucracies by this ideal. These were the only novels of formation for each of two Old India hands – long-term civilian administrators and popular pre-Rebellion novelists whose romances had enjoyed success by applying this eighteenth-century social thesis to imperial rule. Yet their pre-Rebellion novels were either novels of manners or Indian adventure tales; their novels of formation were a post-Rebellion departure.[9] John Lang's *Will He Marry Her?* (1858) and Meadows Taylor's *Seeta* (1872)[10] follow the experiential education of protagonists who were younger sons of English landowners, a prominent social source for the British civil and military professional/managerial classes in India. The differences in generic convention between these novels of formation and Henty's later romance-adventure novels enable the former subgenre to take into account the Rebellion's evidence that "something" had gone wrong while maintaining it could be rectified within the British imperial administration. Henty's turn-of-the-century heroes, for example, enter perfectly qualified for the job; the failures of the Rebellion were a long time ago. The behavior of Lang's and Taylor's would-be administrators, however, is flawed; they

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[8] Wood to Beadon, April 26, 1864.

[9] John Lang and Philip Meadows Taylor each wrote popular pre-Rebellion romances: Taylor's most famous was *Confessions Of A Thug* (1839), a novel which had been suggested by Bulwer Lytton and was beloved by Queen Victoria. Lang wrote novels of manners that were set in British-Indian army society; his most popular pre-Rebellion novel was *Too Clever By Half* (1853). The one that seems to have endured the longest is *The Wetherbys* (1853).

[10] I omitted, for reasons of space, the female *Bildungsroman,* Jessie Ellen ("Mrs. H.M.") Cadell's *Ida Craven* (1876). Recent work on this genre points out major differences between the female *Bildungsroman* and the male – differences which merit more extensive discussion than the discussion in this essay makes space for.

must be formed by their experiences with India in order to take their place among British-India's prudent administrative classes.

This idealization of a ruling class legitimated by *prudentia* would have been recognized by classically educated Victorian writers and readers as one that harks back to an ancient Aristotelian political philosophy of rule of the many by the few. But it is available to London readers with or without direct experience with the classics indirectly in a modern neoclassical genre – the socially conservative Enlightenment novel of formation devised by Henry Fielding (Chapman 141-2).

Directly, for classically educated Victorians, Plato's *Republic*[11] systematized this notion into a plan for socialization of the guardian class: his speakers insist upon both of the qualities of *prudentia* that are later validated through the neo-classical *Bildungsroman* journey of experiential education: pragmatic wisdom and self-control.[12] J.G.A. Pocock traces this neo-classical ideal back to the ancient Roman ideal of *virtu* (26) a conception he describes as "the skill and courage by which men are enabled to dominate events and fortune" (92). The ethics of principle that comprises half of the conception of *prudentia* in the genre tradition is self-discipline or rational control of ones passions and desires. Both Greek and Roman social philosophies condemn self-indulgence not as a personal moral sin, though it may be described in those terms, but as the social evil of personal distraction from a ruler's public duty to exercise *virtu* – the public authority to maintain social stability. The classical concept has more to do with public effectiveness than private virtue. Tom Jones' undisciplined sexual appetites follow a long tradition of protagonists, as early as Homer's Odysseus or Plutarch's Marc Antony, whose sexual self-indulgences distract them from their attention to public duty – i.e., put them off their guard, or in the *Republic*, their "guardianship." The Indian Rebellion had been a shock to customary thinking about India and its administration. Self-discipline was necessary to prevent another, this nostalgic solution said, the English administrative classes needed to learn to exercise *virtu* against "accidental" events of "fortune" which pose threats to their rule. The

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[11] From the Augustan period, another precursor of the neoclassical *Bildungsroman*, Plutarch's *Lives*, also popular with Victorians in translation, praises prudence in Demetrius, who, though self-indulgent during times of leisure and prosperity, never neglected a chance for action, while condemning Mark Antony, who, disarmed and bewitched by Cleopatra, "let mighty enterprises and necessary campaigns slide for play with her."

[12] "[The rulers of the state] in their dealings either with enemies or with their own citizens, may be allowed to lie for the public good….In the next place….our youth must be temperate [observing] obedience to commanders and command of oneself in the pleasures of eating and drinking, and of sexual relations" (Book III).

complimentary ethics -- of consequences -- comprehended by prudence is pragmatic knowledge. We shall explore ways novels of development familiar to London audiences, the literary context for these two Post-Rebellion Anglo-Indian novels, perform this ideological transformation, as the protagonist's education in prudence both as practical wisdom and as self-discipline proceeds through encounters with untrustworthies on the road – thieves, poachers, Jacobites and…women.

A genre deriving from and reminiscent of a neoclassical ethos, in which the goal of personal learning is social conservation, is one capable of meeting post-Rebellion pressures on fiction to simultaneously disguise and promote aggression as the solution to attempts to overthrow the social order. The picaresque traditions informing Fielding's novels of formation can be traced back through Cervantes and others to Apuleius' and Petronius' Latin satires: the large remaining fragments of the Petronius' *Satyricon* (66 C.E.) and Apuleius *Metamorphosis* (160-180 C.E.) or *The Golden Ass*. In both, protagonists are transformed through their experiences with the temptations of *luxuria*. Instead of remaining Fate's passive victim, Lucius learns how to transform his character in order to regain his human form (79-80). Petronius' novel, which Fielding read among other writings by the same author (Battestin 354), could have been called *Metamorphosis* as well: the protagonists change not only physical appearance but social "figure" (Doody 124). Books four to ten of *Metamorphosis* and all of Petronius are lessons for developing the survival strategy of distinguishing appearance from reality.

To both conceal and reveal his conservative social thesis, Henry Fielding's dedication couches the goal of experiential education for Tom Jones in a moral discourse of "virtue" or personal goodness. His avowed purpose in writing the book is "convincing Men that their true Interest directs them to a Pursuit of [Virtue]" (8).[13] In his biographer's unskeptically anachronistic interpretation, prudence in *Tom Jones* becomes a private moral virtue – "the power to choose between good and evil and to determine the proper and effective means of achieving the one and avoiding the other" (820). Yet, if not Battestin, Fielding's own "classical reader," would understand a social function as well as a moral one by the word "prudence." With reference to Cicero, a contemporary of Fielding's calls it "the faculty by which emperors keep `the whole world in order' and by which in `lower life…all the affairs of human life are regulated and disposed, as they ought to be'" (Battestin 822). Prudence is the power to keep the "world in order;" by attentively

[13] The dedication is to a patron, George Lyttelton.

distinguishing the worthy from the unworthy and protecting the social order from incursions by the latter. Its two-pronged definition involves the neoclassical requirements for effective rulership of self-control and self-presentation.

While a Horatian humanist rhetoric [14] in *Tom Jones* then implies that virtue is within reach of all, the eventual revelations in the novel that those possessing virtue all have genteel births suggests a social thesis that is steeped in a belief in fundamental inequality.[15] Jones has the countenance, good nature and classical education of a gentleman. He is the embodiment of Fielding's definition of sincerity in "An Essay on the Knowledge of the Characters of Man:" "that sprightly look that is almost a certain token of understanding; that cheerful composed serenity, which always indicates good nature; and that fiery cast of the eyes, which is never unaccompanied with courage" (Dudden 422). Yet, Jones has one drawback for Fielding besides his illegitimate birth. Jones is too easy prey for those who would exploit him. He lacks the experience of the world that would teach him to approach life prudently rather than impulsively, to see through the hypocrisy of a Blifil or a Bellaston.

The prudence Jones learns then mediates not only between Squire Western's self indulgence and Blifil's self control but also between Squire Allworthy's gullibility and Blifil's affectations. Fielding's social thesis would correct the impotency of the squirarchy by limited innovation – reinvigorating and solidifying the ruling order with a transfusion of new blood. Squire Western is the embodiment of self-absorption; unrestrained passions and appetites distract him from his social responsibilities. Squire Allworthy represents socially responsible self-control. His character, however, remains a caricature of prudence. As his name suggests, Allworthy lacks social discrimination; he cannot discern the worthy from the unworthy and thus, like Jones at the beginning of his journey, is too easily deceived to act as a proper guardian of the social order. This prudential perspective expressed through one individual's[16] journey of formation, is so important that it overcomes the disadvantage of Jones' illegitimate birth. When he achieves it, he is ready to be a preserver of the social order. He becomes the Lord of the Manor, in spite of his humble beginnings.

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[14] Fielding quotes Horace nearly twenty-six times throughout the novel. (Juvenal gets only seven references.)
[15] I am grateful to David Simpson for pointing this out.
[16] Fielding's neo-classical readers expect protagonists to typify the best in good citizenry.

The plot of *Tom Jones* looks episodic, like a Greek romance's, but its pattern reveals a cause and effect correlation with Jones' acquisition of prudence. It is Fortune that rewards Jones for his prudence and punishes him for his impulsiveness.

Jones meets a beggar who asks him for Alms. Out of the "Charity in his Heart," Jones gives him a shilling. Encouraged, the beggar tries to sell Jones a pocketbook which turns out to be Sophia's. This twist of fate might be interpreted as Jones' reward for his good-natured, open-hearted charity to a stranger. Fortune is more probably rewarding Jones for his recent prudent vow of fidelity to Sophia than for his imprudent gesture toward the beggar. In fact, Jones' only reward for his charitable offer to buy the book for a guinea is being further pestered and importuned when the 100-pound note is discovered. He ends up departing "as fast as his Heels would carry him" (486). Jones learns to administer charity with prudence; when his individual acts of charity work for the preservation of the social order, i.e., to raise fallen gentility to their former positions, he is ready to become Lord of the Manor, and Fortune clarifies the issue of his birth.[17]

As for teaching him the responsibility of self-discipline, the turning point in Jones' formation is in his about-face at the nadir of his experiences – in prison, charged with murder, having, he thinks, slept with his mother. "`Sure…Fortune will never have done with me, till she hath driven me to Distraction. But why do I blame Fortune? I am myself the Cause of all my Misery. All the dreadful Mischiefs which have befallen me, are the Consequences only of my own Folly and Vice'" (812). As the reward for his last step, actually a quantum leap in self-awareness, Fortune frees Jones and discovers his true identity. He is ready to accept the responsibility of his role as guardian of the social order.

In Jacobite Rebellion novels of formation such as Sir Walter Scott's *Waverley* (1814) or William Makepeace Thackeray's *The History of Henry Esmond, Esquire* (1852), experience with the romantic attractions of Jacobitism provides occasion for the protagonists' accommodation to prudence as retreat from the neoclassical principle of civic duty. Waverley, as Scott puts it, "commit[s] himself to repose"

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[17] George Sherburn summarizes Fielding's five categories of "worthy poor" as he describes them in *The Champion* in ascending order of importance: (1) Gentlefolk reduced in circumstances through ill luck or extravagance. (2) Relatives of persons discredited because they opposed ministers of state in the cause of liberty. (3) Persons in "professions and occupations, who have, by misfortunes and unavoidable accidents, been reduced from an affluency to want." (4) Able followers of art or science who through envy or ill judgment of mankind suffer undeserved ill fortune and neglect. (5) "Lastly, and perhaps chiefly," those imprisoned for debt (4). Responsible charity restores the social order.

(257); Esmond emigrates. So Fortune in *Waverley* rather functions to excuse its protagonist from the responsibility for confronting the consequences of allying himself with "extreme romanticism." When the fog makes it impossible for Waverley – in his sole military foray in the Jacobite uniform – to kill English compatriots, Fortune protects Waverley from suffering the consequences of his "rebellious interlude" (Kiely 149-50). Fortune rescues rather than challenges Waverley; it keeps him a passive hero, not the model hero needed by the post-Rebellion *Bildungsroman*.

The post-Rebellion novels of formation return to Fielding's use of Fortune as teacher. At the same time, the neoclassical genre's goal is to provide the ruler with *virtu* to cope with the effects of *fortuna* – that is, to maintain social stability in the face of the unexpected. This is the cynical pleasure of the form for post-Rebellion administrators of empire: that Rebellion has taught the ruling classes how powerful their actions can be in provoking or postponing revolt.

Tom Jones' gradual transformation not only from self-indulgence to self-control but from unquestioning acceptance of appearances to perception of the reality behind them involves learning to make reason, not passion, dominate in his relations with the women he encounters in each section of the novel: in the country, Molly Seagrim; on the road, Jenny Waters; and in the city, Lady Bellaston. Jones seems to be entirely taken in by the "Design" of his first woman. The narrator tells us, "Molly so well played her Part, that Jones attributed the Conquest entirely to himself, and considered the young Woman as one who had yielded to the violent Attacks of his Passion" (132). In his mock-battle seduction scene with Mrs. Waters. Jones, though conquered in spite of another allegiance, begins to see the "Designs of the Enemy." His defense is token; he complies in his own defeat. Understanding the designs of others gives him more choice, at least. And he has no more illusions that he has initiated the attack, so he is less easily manipulated. Lady Bellaston is the most sophisticated in her attack, the most accomplished in deception. Yet Jones not only sees through the subtle sophistication, he has acquired enough intellectual distance from it to reason through to a strategic capitulation. With his understanding of the reality behind appearances, Jones can see what he must do to try to turn the situation to his advantage. He has learned the practical wisdom of speaking the language of deception himself. In his search for wisdom ("Sophia"), he has learned "prudence." It is Jones' return to a proper position of authority through the acquisition of *virtu* that satisfies the post-Rebellion ideological demands of a journey of encounters with women.

The protagonist's learning of prudence as both practical wisdom and self-control in post-Rebellion *Bildungsromane* on India is a prerequisite for success – even for survival – for imperial rulers of India – both military and civilian. But in these novels, the conception that must be learned is racial prudence – the savvy and the sexual continence necessary to ensure the racial separation which in these novels undergirds civil order in post-Rebellion India. The Indian or mixed-race female lover is the sign of this threat as well as the focal point of the experiential education for their protagonists. As the eighteenth-century, through Pope's and others' translations, morally revised what Homer presented as female captives' utter helplessness in the face of conquerors into deceitful choices in order to retain an image of Homer as the Father of Virtue (Williams 132, 139), so the mulatto and Indian women in fiction, faultless but for their desirability, become victims of a misogyny that can "never quite exonerate even the best-intentioned woman from the effects of their own desirability" (Williams 126). Here is another reason Fielding's is the post-Rebellion model of choice: its ancient epic convention presents women as always manipulative and aggressive (indeed, it is the antics of the "divine Sophia" – who is the first to feel the attraction – that put desire into Jones' head); in Ian Watt's terms, Fielding's women are "never unambiguously praiseworthy" (254). Genderized mistrust is exacerbated by the post-Rebellion attribution of these neoclassical qualities of "females" to races of the mutinous provinces. Mixed-race and Indian lovers, by variously "affecting" the white race, embody, as one line of explanation had it, the cunning of pre-Rebellion Indians who affected virtuous cooperation while they were conspiring against British authority. In India, proper administrators of empire must learn to choose more prudently.

This attitude toward mixed-race marriages had been developing since the early days when John Company had actually subsidized marriages of its soldiers with Indian women (Ward 13).[18] The fact that, in spite of the encouragement, Indian wives were far less numerous than Indian mistresses in Company cantonments suggests that, even before it fell out of fashion with officers in the 1800s, mixed marriage was a vexed choice on both sides; Indian women often had to be coerced into marital arrangements with sahibs

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[18] Kenneth Ballhatchet's *Race, Gender And Class During The Raj* traces a history of the changes in attitudes since the 1687 Court of Directors wrote to Madras officials that "the marriage of our soldiers to the Native women" should be encouraged with some financial and honorary incentives. "For the greater part of the eighteenth century Eurasian youths with influential fathers became civil servants or officers in the company's armies. But as British rule prospered these posts became more desirable, and….in 1791 they resolved that Eurasians could no longer be appointed" to the covenanted civil service or to commissions in the military or marine services (96).

(Ward 13). Children of these marriages were never well-identified in the various Anglo-Indian social formations: "creoles, mustees, Portuguese, Anglo-Asiatics, East-Indians, Indo-Britons, half-castes, tchi-tchi, eight-annas, four-annas" were among the more benign names for them (Hervey 77). Emily Metcalfe's diaries of the late eighteen-forties typically racialize the social stereotype described by Pierre Bourdieu – the natural social awkwardness of upstarts: "[The Reverend David Thompson] and his family were all very dark, having a great deal of native blood in their veins, and this accounted for their utter ignorance of English customs as regards dress" (Kaye 142). Also in the 1840s, Captain Albert Hervey observes, "in their own places and sphere the [Eurasian] men are as they should be; but the slightest encouragement added to their wealth and self-importance renders them overbearing, and in every way objectionable" (Hervey 77).

Susanne Howe's *Novels of Empire* (1949) makes a distinction between attitudes toward Eurasians in eighteenth- and in nineteenth-century fiction. In the earlier century, earthy romances about "Old India" and "nabobs" took mixed race for granted; with the rise of Evangelical and middle-class morality, attitudes changed, as, after a brief respite during the anti-slavery movement, William Brown Hockley's *The Widow of Calcutta* and *The Half-Caste Daughter And Other Sketches* demonstrated: "His daughter was a half-caste. However gifted by nature, -- by an education which wealth had spared no cost to perfect, -- by loveliness, or by intellect – still a half-caste subjected to all the strain and stigma under which that unhappy race withers, -- under which its very virtues become the instruments to render that stigma less tolerable."[19] Rudyard Kipling wrote an early sympathetic tale, *Without Benefit of Clergy*, but with only a tragic ending for ill-starred English officer and his "Mohammedan" lovely. Noting this, Howe concurs with others that his attitude later became less ambiguously dominated by "the Gospel of Empire" (60). In spite of his skills in dialects and disguise, the hero of *Kim* (1890) is explicitly coded white, his European biological mother carefully distinguished from his Indian foster mother.

The Rebellion threatened the rule of the many by the few, crystallizing a sense that "it was by doing things properly – more often at least than most Indians – that…so few ruled so many with so slight a use of overt force" (Allen 17). This may be one reason that Robert MacDonald finds nineteenth-century personal writings on empire reserve their most violent language to describe those thought to be the products

[19] Quoted in Howe 60.

of miscegenation (35). What was emphasized was the underlying danger of these women as distractions from duty rather than the lamentable state of their social prospects. One of James Grant's Rebellion romance-adventure *Fairer Than a Fairy's* lovely temptresses – a challenge by Fortune to the romantic hero Lance's fidelity – is a "Eurasian" woman characterized by *both* "sweetness and subtlety of manner." The association between Eurasian women and danger was strong enough that the residence of a Eurasian woman at Cawnpore in the 1830s was cited as an explanation of why the commander of the garrison in 1857 was gulled into placing the lives of women and children in the trust of Nana Sahib (Ward 15). While, theoretically, there was a wide range of contemporary positions on hybridity from *amalgamation* to *decomposition* (Young 18), in India, misgivings were about mistrust. The classical epic and neoclassical *Bildungsroman* presentation of women as always manipulative and aggressive in post-Rebellion Anglo-Indian novels was racialized by writing those qualities on the bodies of mixed-race and Indian women, experience with whom teaches successful rulers of empire prudence in their decisions for empire.

John Lang (1817?-64), who sometimes published under the pseudonym "The Moffusilite,"[20] was, incidentally, the first Australian author to publish fiction. He was born in New South Wales, but finished his education at Cambridge, England, in 1838, so his acquaintance with the classics is documented. Qualifying as a barrister, he left for India in 1842 and practiced law until he died there. From India he wrote stories and essays for *Household Words*, including a series of travel articles, *Wanderings In India*, published in the early 1860s (Sutherland 362). Howe numbers him with H.S. Cunningham among the "callously cynical about the equivocal position of the British in India"(80). Both Taylor and he were in India during the Rebellion.

Lang's novel of formation, *Will He Marry Her?* (1858), traces the social education of a British officer serving during the Sikh Wars a decade earlier; its respectful references to "Major (the late Sir Henry) Lawrence," who died in the defense of Lucknow in 1857, indicate, however, that it has been published in response to the Rebellion. This novel could be subtitled, *Tom Jones: Reversal of Fortune*: from its introductory comparison to Squire Western on page one to its protagonist's name, Augustus Reckless, referring both to the earlier novel's period and the Jonesian failings of its title character, Lang's book traces the anti-socialization of a protagonist who stubbornly refuses to learn prudence and whose

[20] Bengali for "provincial" or "local."

persistent impulsiveness and irrationality at the end of his journey merit the ultimate punishment by Fortune: an untimely death. Reckless, fourth son of Sir Charles Reckless, Bart., of Reckless Castle, begins in the same place, socially and developmentally as Jones – though the question of legitimation is absent: a fourth son of the squirarchy in the county of Kent, good-natured though always getting into scrapes, loved by all – tenants, ladies, elders. But Reckless, unlike Jones, remains faithful to the first woman he falls for. Rather than learning either self-control or pragmatic wisdom from this encounter, he pursues her to India, and in spite of her discovering to him her mixed-race heritage, brings her back to marry. Lang's other character names are ironically meaningful in drawing this contrast: The foil for Reckless's impulsiveness and irrationality is a good soldier named "West." This oppositional naming further racializes the difference between prudence and impulse by associating Reckless, in contrast with West, with the "East" and the tainted blood of his lovely Leonora. Fortune blatantly punishes this unworthy love: Leonora inexplicably dies immediately upon becoming a bride, her body symbolically turning black as she expires. Critics emphasize this ending, however, to the expense of Fortune's ultimate punishment of Reckless himself for refusing all the opportunities it has offered him to learn prudence: on his return to India, Reckless' luck deserts him as he is finally killed in one of his impulsive and irrational charge against the Sikhs.

The significant differences in the character of Leonora from that of the "instructive" women in Fielding's, Scott's and Thackeray's novels is that she is neither untrustworthy nor sexually aggressive as their "wrong" women are; in that sense, the only challenge she presents to Reckless' imprudence – either his self-indulgence or his social naïveté --is in her essential quality as woman and mixed race – her inability to control her own desirability or her "affectation" of racial quality. While it is her own faultless character and reason which exercise self-control and social responsibility by resisting the engagement, by refusing to allow any commitment until Reckless has seen her mixed-race status in India, where his career as an officer would be affected, desire and mistrust reside in her body.

In contrast, Meadows Taylor's later novel *Seeta* (1872) presents a protagonist who embodies, from the beginning, the *virtu* – or command of public authority – necessary to maintain order within a hierarchical social formation. Taylor had served for many years on special assignment from the Company to the Nawab of Hyderabad -- twelve of those years as Regent to the under-aged Rajah. His own successes seem to have prompted his novel's belief in the capabilities of a resourceful administrator to create respect,

not resentment. Witness the Indians' response to Cyril Brandon, magistrate in India and son of the English squirarchy:

> Perhaps Cyril's high birth and family, which were known to all soon after he arrived in the district, helped him considerably; for there is indeed no point on which natives of India are more curious, and none which, when joined with other qualities, so soon or so completely influences popular estimation, as gentle descent; and Cyril's justice and generosity, and the sweet charm of his manner, blending the real with their ideal, won all hearts (I, 145).

The agency becomes generalized in this paragraph, from "natives of India" to "popular estimation" and finally to "all hearts" – a subtle rhetorical move implying recognition of the natural superiority of the squirarchy as a universal trait. In accordance with neoclassical essentialism, Brandon's authority by birth is god-given. The narrator continues, "He did not know it, but many a dame, humble as she might be, repeated his name with that of her household gods each night, as she lighted the lamp before the simple shrine of her faith, and taught her children to say it" (I, 144-5). Indians "naturally" recognize Brandon's god-given authority in his prudential exercise of "justice" – or pragmatic wisdom, and of "generosity" – or attentiveness to public duty.

His marriage to an Indian woman changes neither of Brandon's prudent qualities, except in the sense that the marriage represents to the British-Indian community the appearance of self-indulgence and naïveté.[21] For her part, Seeta's behavior is as virtuous as Lady Bellaston's is vicious – forthright rather than deceptive, and sexually unaggressive, rather than manipulative. Initially shunned by the Englishwomen of the district, she does her best to fit in, following their interests, eventually even converting from Hinduism to Christianity. Yet, as critics have noted, she must die to allow Brandon to return to England, marry his English sweetheart, and take his older brother's place as lord of the manor when the brother succumbs to consumption. It is not Rebellion, which has nothing to teach the already worthy Brandon, but Fate's punishment of his marriage to Seeta that teaches social savvy to Taylor's protagonist, as it serves, à la *Tom Jones*, to reinvigorate the squirarchy back home. Because Brandon

[21] Historically, this marriage is a highly unlikely occurrence, and *Seeta,* a novel that features it, was regarded as "doubtful and dangerous" by the British-Indian community of Calcutta (Taylor Story xvii).

learns, i.e., returns home to make a more prudential choice of spouse that will allow him to become lord of the manor, he survives.

And yet, the political unconscious of the *Bildungsroman* in these post-Rebellion novels, is that the prophylaxis for Rebellion touted by both Parliamentarians and Indian Government officials is impossibly idealistic. The hypocrisy of self-criticism is exposed by the genre conventions of a British *Bildungsroman* whose dependence on individual development for social harmony was already an anachronism when Henry Fielding's novel had resorted to it a century earlier.

Indeed, the genre tradition relegates the connection between the individual's fate and his world to the "outside" of the narrative. As Mikhail Bakhtin describes this characteristic feature: "the individual changes and undergoes metamorphosis completely independent of the world; the world itself remains unchanged. Therefore metamorphosis has a merely personal and unproductive character" (119). The *Bildungsroman* genre privatizes the Rebellion by confining it to a personal history. The cynicism of *Tom Jones* is the cynicism of Lang's and Taylor's novels of formation: there is no indication of how multiplication of these private and isolated transformations will restore the social order. Fielding's narrator is most honest with his readers on the occasions he reminds them not to take his "comic epic poem in prose" too seriously.

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Rules Found in the Construction of the Field: A Proposal for the Initial Project of Drawing

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Rules Found in Construction of the Field:
A Proposal for the Initial Project of Drawing

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Abstract:
The decision to include or exclude a formally prescriptive class on drawing in the curriculum of a beginning design student entails a critical look at the nature of the roles of drawing as an act of thought. The pivot point of this debate is clear: does the act of drawing entail a transformative quality of thought through production, or does, as in the act of making itself, the activity of drawing develop a relational quality within an emerging document? A path to what may be a requirement of study within the act of drawing lies in the read relationship of line to a body of words.

"The Location of a Circle" from the project The Location of Geometric Figures (1974) by the artist Sol LeWitt is a drawn field ordered through the relationships of the word and the line. In regarding this set of figures and text, a geometric construction is either drawn onto a field by the reading of directive text, or the rigor of a geometric construction as made on a field is interpreted by writing as an explanation. As the line and the word exist as equals on the page, one may begin by considering either as primary. This project may be read as a proposition where the word is ordered by the line; while at the same time the line is ordered by the word. As the initial project of drawing, a complete body of text for a figure is given without the accompanying drawing. The student is asked to find the relationship of these words through lines they draw within a field of given dimension. In working through the iterations of this project, no one selection is correct as a solution. It is more important that the student of drawing find a way to read the significant relationships within the thing to be documented and understood in a drawing; and the subsequent relationships built within the drawing itself. As a way to conclude, the student is asked to mine the relations and operations in the set of drawings that exist and write them as rules.

This kinetic activity of drawing as reading and making involves questioning through tools of thought. To regard drawing as a form of reasoning allows the principles of logic to lend a framework within which to operate. In this forum, the act of drawing as speculation arises as a test or attempt of operations with rules that are both interior and exterior to the limits of the study. These limits of thinking through a thing under study dictate a framework which holds the necessary operation and the probable operation; allowing both categories to come forward in order to form rules of inference. At interest here is the building of the consequences of a line, not the representational function or role of a line. These relations may exist within the construct of a model where the document functions as a constructed lesson. In the formal relationship of the model, two things are always distinct from each other, and connections are built and measured by a question of form. Here, restrictions are developed in the investigation of a given frame, and involve the reason of a model and the possibilities of insight gained from the introduction of a new model.

Both the act of drawing and the use of logic operate as constructs that weigh and measure. The anatomy of a thought functions as a comparative relation, measuring the limits and bounds of a state of relatedness between a line and its impact as a proposal, an exhibition, or an explanation. A revealing of the possibility of presenting a thought or quality in a line is made through the investigation of the acts of drawing as the making of marks both speculative and fixed. The ordering of these relations as an effort to introduce drawing as a kinetic relation or record of thought, as opposed to drawing as the measure of a thought fixed to an object, begins with the reading of words that instigate lines.

The Field: As Framed

In the course of a critical inquiry into the origins and histories of thought and record found in theoretical analysis of perspective in painting; Hubert Damisch returns to his central question: "What does it mean for a painter to *think* ?" **1** His study centers on the perspective drawing as a document of "invention" tempered by regulations which accompany the concurrent development of both thought and artistic record. As such, the act of drawing acknowledges its own logic as a type of recording which carries the intellectual products of both the verity of explanation and the act of discovery. Locating the discussion within the realm of speculative thought as framed in the work of the artist, his primary interest in both the facts and the developmental theories which inform the acts of making set the question in motion. This comprehensive question demands an understanding similarly complete; both in the determination of its reach, and in the influence of its grasp. Such is the case with a provocatively simple question. It very clearly establishes its own domain while collecting and aligning at the edge those things which may be affected by its influence. It does not ask, in an attempt to verify the prior knowledge of the artist, "What does the painter know?". It does not ask, in an attempt to ground an accordance with historic patterns in stylistic representation, "Why does the painter paint (in this way)?". More importantly, it purposely, and with assurance, avoids the phrase: "How does the painter regard the act of painting?". That this initial question may itself be posing a beautiful repositioning of tense carries a distinctive character in its request. In seeking exhibited structures within the activity of making, a certain consciousness is given to the work in terms of the times of production and of reflection. As in a search for the functional reference of a model, the concern here is "What is the mode of thought for which painting is the stake?" **2** The nature of painting is at question, not the result. The demonstration of painting is at question, not that which it demonstrates. The activity of thought as a totality of action, and reflection upon action is to be addressed, not the result in program toward solution. These fixed points mark the boundaries of making as a play of tensions between action and response to action, not action and transformation from state to state. It is the recognition of these fixed points as relational operations that position drawing as an act both speculative and fixed in nature.

Construction: Equipment

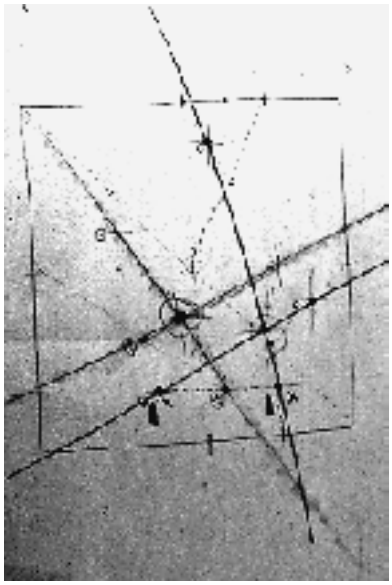
If the act of architectural production is understood as both the first mark on the page, and that which is brought forth by the first mark to the page; then the intellectual capacity of this mark as read becomes increasingly more complex. As the line is the most basic component of architectural thought, architectural production, and the conveyance of architectural thought, it exists at the scale of the world. In order to both find and manage, and construct and manipulate such basic components, a system of inquiry equally complex in structure and operation provides a reference for inquiry and departure. The role of the word as read and subsequently measured in drawing is assumed as a kind of given from which the condition of line may emerge. As an act of thought, reading refers to a system of structure dependent on the rules of grammar and the logic of comprehension. As a means of communication, the read word, when intended as a directive, registers the economy of information with the complexity of function. In the production of line, a relationship of means and measure transfers a degree of legibility to the field which receives the line. This legibility corresponds to the varying structures of words and bodies of words.

The character of distinctions in line to assess equalities or inequalities in terms of value or weight of import is an outcome of the relational production of drawing. It is imperative to note that this view is not based on an additive approach or outcome, but rather a simultaneously generative and reflective process. It should also be noted that the definition of the word "process" is understood as the behaviors and activities involved when one event succeeding another is based on something greater than chance. A distinction of this nature carries a critical view encompassing the coincidences of modes of activity and modes of thought . It is assumed that the registrations of these modes are of import, and not merely the fact that they both exist. This view does not include the word "process" to be partially defined as something synonymous with activity. This critical distinction of the drawing of lines as records of tension in active thought is not restricted to the depiction or construction of things which are pre-existing. As an apparatus, drawing can afford a complex of thought to marks as made and marks as understood. As the apparatus of ideas, lines exist as both a multiform of and a multiforum for events. It is this possibility for the line to be at once a carrier of form and a carrier of position that distinguish its dual functions of behavior and thought.

Equipment: Construction
The Initial Project of Drawing Material: newsprint paper / line
Instruments: soft graphite pencil / knife / sandpaper / a body of words

LeWitt text: <u>The Location of a Geometric Figures.</u> "The Location of a Circle"
"A circle whose radius is equal to half the distance between two points, the first point is found where two lines would cross if the first line were drawn from a point halfway between a point halfway between the center of the square and the upper right corner and the midpoint of the topside to a point halfway between a point halfway between the center of the square and the midpoint of the right side and a point halfway between the midpoint of the right side and the lower right corner, the second line of the first set is drawn from a point halfway between a point halfway between the center of the square and a point halfway between the midpoint of the left side and the upper left corner and the midpoint of the left side to a point halfway between a point halfway between a square and the upper right corner and a point halfway between the midpoint of the right side and the upper right corner; the second point is found where two lines would cross if the first line is drawn from a point halfway between a point halfway between the center of the square and the midpoint of the bottom side and a point halfway between the center of the square and the lower left corner to a point halfway between the end of the first line of the first set and the end of the second line of the first set, the second line of the second set is drawn from a point halfway between a point halfway between the point where the first two lines have crossed and a point halfway between the start of the first line of the first set and a point halfway between the midpoint of the left side and the upper left corner to a point halfway between the end the first line of the first line of the second set and the midpoint of the bottom side; and whose center is located equidistant to three points, the first of which is located at the center of the square, the second point is located at a point halfway between a point halfway between the center of the square and the upper left

corner, the third point is located halfway between the start of the first line of the first set and the end of the first line of the second set." **3**



In this project, the built consequence of a line is introduced as a concept of read relational measurement. A set of 10 sketches is initiated investigating ways in which a line can respond to a word, and a word can convey the proximity and correlation of a line. The usability of a drawn line exists apart from function in that the assignment doesn't contain the answer, as the answer is found in an alertness to the emerging condition of the lines as drawn. Through reading the text in any form or order, the student builds a drawing of lines where each line responds to its own force as an individual device, and as part of a total field. This response consists of the gravity and measure of the line: on the page, in the field, and to the words prior and those to follow. It is in this introduction through the known condition of the complex of words that the line is given as something that carries more than acts of representation. The line has the power to be exuberant. The line has the power to explore. The line has the power to think. The line has the power to contradict.

Line and The Word: Syntax as model

The artist and educator Josef Albers' investigations into the syntax of line were preceded by his comprehension of a line as a "tectonic" object. The existence of this object was beholden to the fact of its construction by mechanical means, and its possibility as an active form of research. **4** This research implicated both the making of a line and the studied effect of a line as things which were to be considered equally significant. His insistence on the line as a form of participation between the instrument, the material, and the thought, constructed a field where actions are simultaneously made, read, and re-read in relation to a total environment. The environment consists of that which may be

created by the controlled impact of the materials of line and paper. As the "inherently neutral straight line" **5** is drawn, its reference is repositioned and constantly in motion. This readjustment relies on the logic of an evaluative construct. Here the constant flux of activity and assessment requires states of redefinition as opposed to the additive layering of equal components.

Throughout the work of the artist Sol LeWitt, the role of line in the production of thought is constructed as an operational diagram. In particular, the word as a record for a line is framed as a rule-dominated structure which enables the association of combinations of alternatives and variations. The drawings are frequently realized on the surfaces of walls, and systematically mapped onto the non-neutral fields. For LeWitt, the association of the line and the word form a "visual grammar" where the work is systematically determined from a set of decisions made prior to the physical production of drawings. Thinking means logically exhausting possible combinations set in play by a procedure of thought. These decisions in turn lend a verification to the inherent relations of the active line.

LeWitt's work shares a precise terminology with Albers to the degree where each sees structures of drawing as the syntax of a simple system which can yield a complex field. To pose the initial question "what does it mean for a painter to *think* ?" would more clearly reveal their differences. For Albers, a value is placed on the phenomenon of vision as the vehicle to read lines. Words are used to explain the mechanics of construction and describe the effects of lines, planes, volumes, and solids. The rule as grounded in the constructions of geometry may be contradicted or augmented by acts of perception. In writing on the phenomenon of his work, Albers explains a particular occurrence of the parallelogram in this way, "This means they are 'factually' - which is geometrically - neither in front nor behind, neither above nor below each other, as they 'actually' - which is visually - make us believe." **6** In the work of LeWitt, the role of what is visual and what is verbal temporarily reverses. The word operates visually, and the line operates verbally. In a caption for a drawing in the a catalogue of his work, LeWitt writes, " Lines, points, figures, etc., are located in these spaces by the use of words. The words are the paths to understanding of the location of the points. The points are verified by the words." **7**

The line and the word become reflexive.

To study the frameworks of reason and insight involved in the works of line of these two artists demonstrates the significance of the readings of words as a theoretical model for the making of lines. The domain of a line is inscribed by the basic principles required as it is made, and the effects brought forth as it is read. These effects may be considered as local to the field of dominion of a line, and as universal to the rules it exhibits during construction. The repositioning and re-registration between lines and the fields they constitute affect a distinct relation between the making of a line and the consequence it carries. These readjustments rely on the logic of an evaluative construct. A resultant force brought by the line to the page is critical in the essential understanding of line as a result of an architect thinking. For an initial project of drawing, the relationship of the word as read to the character of a line as drawn illustrates the modes of thought for which a drawn line is the stake.

Rules Found in Construction of the Field: Toward a New Model

"The first thing mentioned (a circle) is the last thing made.
The square is the building block for the entire drawing.
The instructions must be broken up to be more comprehensive.
Measurements of length can mean everything or absolutely nothing.
Words are a strong limitation.
All four corners of the square are fixed.
The circle depends on lines.
The circle is described in lines.
'Directions' do not have to be followed in sequence.
Points, lines, and square used to arrive at a circle do not have to be labeled, their importance is temporary.
The lines intersect at a point relative to other points.
All points, areas, and shapes are proportionally equal, all colors on the field must also show this relationship.
The field is a square of any size and divided into 4 equal squares.
There are 4 lines that define the circle.
Points with the least restrictions should be placed first.
The square visually gives location for the circle.
The drawn square is a field within the paper.
The paper is the total field.
Lines can physically and imaginatively go out of the square.
Work within a square, using points on the square including the center points of the four corners, and the midpoints of the four sides, in order to find the radius and the center of a circle in relation to the square.
Use the center found and the measurement of the line equal to the radius for the radius and draw the circle.
Nowhere does it state that the circle must be in the same plane as the square.
Nowhere does it state that the circle is not the basis of a sphere, or the square of a cube.
Nowhere does it state the lines must be straight.
One color can be the result of a different shade of another color.
A circle is an infinite number of lines.
The radius is dependent upon the size of the square.
The first set of lines are dependent upon the first 11 or so lines.
Each point is equidistant to two or more other points of a line.
The eye is drawn to the upper right hand corner of the page.
The circle is dependent on the square.
Each point contains an invisible intersection.
The circle is either inside the square or the circle and the square overlap.
The square is the frame of the whole drawing.
The drawing relies on the square for its positions.
Without the points the lines would not have a rule of where to go.

Odd even odd even odd even.
Connections are made in numerical order.
The square is divided in three ways: horizontally, vertically, and diagonally.
The points are marked wherever 2 lines cross, giving 25 points.
The midpoint of any line is located in the middle of that line.
Without a first, there is no second.
The drawing is limited to the paper (the plane), but the creative plane (the imagination) has no boundaries.
Each distinguished point is located on a certain line.
All lines are drawn right to left.
Nothing is drawn outside the square.
The text limits the placement of the points and lines.
Every part depends on how another is created.
Changing the length of the sides of the square changes the length of lines, radius or curve, distances.
Changing the size of the points has no relevant effect.
Changing types or shapes of line helps identify boundaries, measurements, distances.
There is a square.
The square must surround the circle. It must also be a circle." 8

Here the relation may be read as a function of a resourceful act and the apprehension of that act.

Endnotes

1 Hubert Damisch, The Origin of Perspective (Cambridge, Massachusetts: The MIT Press, 1994). The scholarship of Damisch, as well as Roland Barthes, is reflected in the work of the critic and historian Yve-Alain Bois. See Yve-Alain Bois, Painting as Model (Cambridge, Massachusetts: The MIT Press, 1990). It includes as essay of the same name which reviews "Fenetre jaune cadmium, ou les dessous de la peinture", by Damisch, (Paris: Editions du Seuil, 1984). Here Bois returns to the question of his teacher who encouraged him to see the principle problems of painting as a theoretical demonstration of models.

2 Bois, p. 245.

3 Sol LeWitt, Graphik (Bern, Switzerland: Kunsthall Basel & Verlag Kornfeld und Cie), p.62. The catalog includes prints of the artists' work from 1970 - 1975. "The Location of Geometric Figures (set of 6) - 1975 includes six prints which locate independent drawings of a circle, a square, a triangle, a rectangle, a parallelogram, and a trapezoid in a field. The field is of a of given dimension with directive text stating the order of operations for the construction of relationships found between the geometric shape and the field.

4 Josef Albers, Despite Straight Lines (Cambridge, Massachusetts: The MIT Press, 1971), p. 10. Throughout the prints and statements of Albers, the element of a line is investigated as a carrier of activity, and the resultant construction of form is termed "graphic - tectonic". The act of drawing itself he frequently described as a form of research involving individual components of lines that had a relationship to syntactical structures. With this knowledge, Albers studied the straight line in relation to itself.

5 Albers, p. 24.

6 Albers, p. 46.

7 Bernice Rose, "Sol LeWitt and Drawing" in Sol LeWitt, (New York: The Museum of Modern Art, 1978), p.35. The catalog accompanies a major retrospective of the artist's work.

8 Rules as written from the exercise of drawing given the second day of class. First Year Studio.

1. TITLE

The ePortfolio as Learning Tool

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6. ABSTRACT OF PAPER

What are best practices for introduction of ePortfolios as a means of reflection, artifact gathering, and knowledge growth? This paper looks at ways of integrating ePortfolios into course work. It begins by reviewing how students themselves define ePortfolios. There are specific suggestions for introducing ePortfolios and generating student enthusiasm for their use.

The ePortfolio as Learning Tool

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In this day of increased digitalization students frequently feel assaulted through e-mail, course management systems, computer labs, and all the other trappings the modern university accumulates in its search for relevance. More than one student has confessed to a reluctance to read a professor's e-mails out of fear that there will be a new assignment lurking there. From the student's point of view, digitalization is not an unmitigated benefit. Students tend to regard any new digital tool as part of a conspiracy to find new ways of making them work harder. Some feel, not without justification, that a Course Management System also gives a professor the chance to do all the things she forgot or wasn't able to do in class.

So one risk in introducing ePortfolios it that they will be regarded as another IT imposition on student time. The first goal for a successful introduction should be to establish relevance. In the Fall of 2004 a group of Sacred Heart University students was asked to go online to research ePortfolio systems and form an opinion as to whether ePortfolios would be a good idea for the University. Typically these students had at least one year's experience at the University. Of the group 42 were either sophomores or juniors. Two were freshmen and one was a senior. Of those who had declared, all were either liberal arts or business majors. Although our expectations were that many students would be skeptical of the idea, they generally found it to be worth pursuing. Perhaps more important, most of the students actually understood what constitutes an ePortfolio.

What is an ePortfolio?

Here is a sample of descriptions students posted on the Discussion Board of the course Blackboard site. Neither grammar nor spelling has been corrected for these excerpts:

> "An ePortfolio is basically an online portfolio that demonstrates and presents what one has accomplished, learned, and achieved throughout their years in college. It is a great way to share your social and educational experiences with the ones you love, your colleagues, and possibly even a future employer."

> "...an electronic portfoilo is a personal system that lets students present their work over the years. It can be used during a job interview or to show anyone else what you have accomplished in college over the years."

> "An e-portfolio is a collection of work that demonstrates what an individual has done or learned over a period of time. Students can portray their comprehensive experiences in many different ways, ranging from a simple resume, to an interactive resume that links out to specific evidence or accomplishments, to an elaborate e-Portfolio that includes reflections related to these experiences."

> "Eportfolios can also contain writing samples, web-logs, papers,

presentations, videos, pictures, internships, jobs, resumes, etc”

“Basically an ePortfolio is set up for the student so they can create a web page to show all of their work. The site can contain course work, personal interests, or a resume. You can make changes to keep it current. Most students use them to express their interests or they have found them useful when applying for jobs. I don’t know of anyone who is using an ePortfolio at their colleges, but it seems like it might be useful”

“…Instead of keeping the materials on paper it is stored in a digitized form so students can work with one another on projects or work material throughout the semester. Instructors can also put input into the students projects and material.”

“ePortfolios seem to be the digital revolution of the resume. Almost everything today can be done online, the ePortfolio is the online resume. It not only enables you to hold your resume online, it also provides space for you to display papers that you have written and art you have created. This way if you were at a job interview, rather then handing the employer a folder full of artwork and term papers. These also prove to the employer that you are proficient with a computer.”

“An ePortfolio is a purposeful collection of student work that exhibits the student's efforts, progress, and achievements in one or more areas”

“They are records of learning, growth, and change that a student experiences and puts together. They tell a lot about each student and their abilities. One website stated that it is almost like a learning history of a student. You can see how they have progressed through out their learning.”

“…I also think that from a students point of view it does take education to a higher level, and it makes papers and other assignments easier to correct from both the student and professors point of views. In my research I also found that developers of ePortfolios are still trying to advance them so that they can accept "the full range of files." This includes text, graphics, video, audio, photos and even animation”

“…You can also journal your thoughts and reflections about a certain course or activity you were involved with”

“…It helps sort out class requirements for graduation and can

also be used to track their progress overtime through such things as journal entries and later reflections on past entries. Some people use their e-portfolio as a resume and also to prepare themselves for job opportunities in the work field."

"…Through this a student can look back and see what they have accomplishes so far. They can also see how they have grown and developed as a person and student…Eportfolios are like a college journal and sums up your educational experience. I feel that Eportfolios are a great new innovative idea."

"…I believe it should be a mandatory assignment assigned to all seniors graduating and intending to pursue a career or attend graduate schools. Today, we live in a technological superhighway where the internet becomes the necessity of everyones day. Computers play an imperative role in the way information is provided and stored. It is a huge advantage in that it saves time and money to retrieve and store data at your fingertips. Compatibility allows data to be accessed anywhere there is an internet connection."

Eight trends

Although the above list constitutes a selected sample of all postings, there are eight trends that emerge.

1. Students accept, and even seem to anticipate that ePortfolios make up part of the movement toward student-centered education. In this case, they eagerly embrace that trend and see it as an invitation to try a technological enhancement to their education.
2. Variety constitutes a desirable attribute. Rather than viewing ePortfolios as a technological conspiracy, students welcome the opportunity to learn what they view as a practical skill.
3. The fact that friends at other colleges don't use ePortfolios yet is viewed as a positive attribute. In a sense students like having a sense of one-upsmanship on their friends.
4. Practical values are important. Using ePortfolios to help in job interviews constitutes a favorite attribute. It is perhaps the single positive ePortfolio aspect that is mentioned most frequently.
5. Instructor participation is welcome. Students both want guidance and expect that the instructors will view their files and then comment on them.
6. There is a digital evolution taking place, and ePortfolios are part of that movement. In that sense this is just another skill to acquire.
7. There is some notion of education as growth and process. One goal most frequently cited by ePortfolio proponents is to help students reflect on their education. Surprisingly some postings mentioned the value of reflecting and journaling.
8. Students like being in the forefront of development. They see electronic journals and reflection as being new skills that are enabled by the

ePortfolio process. In this sense the ePortfolio creates a pride that they are being digital pioneers.

Many of the posts were closely, perhaps too closely, reflective of findings that popped up during search engine responses. These were evident because students used technologically sophisticated words that they probably did not understand or had not bothered to look up.

Recognizing the advantages

While the Discussion Board portion focused on understanding just what is an ePortfolio, the second asked students what possible benefit they could see in actually using one. Not surprisingly, the results focused on job searches. ePortfolios were almost universally seen as being an aid to landing a better job. Here are some sample postings:

> "…An ePortfolio could help a student go on an interview. It allows the employer to see what exactly the student did over their years in college."

> "I see them as most useful during an interview and that would probably be the only reason I would create one."

> "Benefits to having an e-portfolio is that they can help students model professionalism to help them get a job, enhance their info tech skills and help them get some educational recognition outside of traditional classroom work."

"…I think it would it make students look technologically advanced."

"it builds a nice strong block for the rising of a college graduate entering the real world"

"E-Portfolios are a great way to same time and money because it gets the job done. Especially if this is for working class people like graduate students and professionals. They are very, very convenient.

"i thinks its a great way for a job to find out more about you by just going on the web."

"An eportfolio is a good way for students to keep all their work organized."

"I think that an ePortfolio like that could get you almost any job you wanted"

"i think your right, going to a interview with a website all about you i think would give you a better chance of getting the job i never seen one with a video yet thats really cool that site you gave was a good one i learn alot from it"

“Many of the kids responded positivly and said it has helped them realize what they have done througout the year.

“I think that ePortfolios would be a great thing to establish in the Freshman Seminar class so every student here would have one, and they could just follow up with it through their college careers if they so desired. As of right now i dont know of anyone who uses the ePortfolio.”

“It is a great idea for Sacred Heart students because it gives them the opportunity to express themselves and show others their unique style and personality throughout their educational endeavors. I can't wait to start a portfolio to share with others my unique style.”

“Many students do not know how to put together a proper resume, including myself. So ePortfolios would help us to make a good resume since it has a step-by-step process that is not too hard to undrstand. As of right now none of my friends are using ePortfolios, but I'm sure they will become quite popular within the next year or two.”

> “The e-Portfolio development process encourages all students to become more actively involved in planning, and more responsible for achieving their own educational goals”

> “Many advantages that I found online for using them is active learning, motivation, you can receive feedback on your work, and they are very accessible. I do not know anyone who has an electronic portfolio but I am looking forward to making mine and being able to do it with all this new technology.”

> “On another note, it is also a lot easier to edit or change a portfolio on the computer rather than one that is a paper copy seeing as how computers have made a lot of things more efficient. I also feel that a future employer would be impressed by an e-portfolio rather than a standard portfolio, because the e-portfolio also shows proficiency with computers which a lot of employers seek.”

Six more trends

When students wrote these observations, they had not yet created their own ePortfolios. Rather they had gone to other schools’ sites online and checked out the ePortfolio concept. It was enough to form some strong, and in many cases enlightened opinions. There were six consistent themes:

1. An ePortfolio will help you get a job. There is a general impression that employers expect graduating students to be technologically savvy, and to have concrete demonstrations of this saviness. The ePortfolio provides that opportunity.
2. It is important to look technologically advanced, both in front of potential employers, but also for your general presentation to the outside world.
3. Having your documents on an computer is a lot easier than organizing papers. Convenience is an important factor.
4. Students are conscious of the upcoming transition to the real world. They view ePortfolios as one way of easing that transition.
5. Students, like their parents and mentors, are in a constant search for organization. ePortfolios provide one answer to that search.
6. Participating in the ePortfolio process is a way of gaining self knowledge.

Reservations and Questions

While the reaction to the initial investigation was generally positive, there were some reservations. Three of the four repeatedly mentioned questions centered around security.

1. There was a fear that others might steal students' ideas.
2. Generally some feared that the big brother educational system would be snooping in their work. This fear was expressed despite assurances that the ePortfolio was a private enterprise, and that a professor would only view what a student made available.
3. Female students were sometimes reluctant to post photos.

4. The fourth reservation was a reflection of youth. Students felt that, after all the work they put into building an ePortfolio, potential employers might not either have the time or the inclination to really spend time with their online work.

Generally, however, there were fewer reservations than one would might have suspected. Perhaps it is an indication of students' openness to technology. Whatever the reason, they seemed anxious to try ePortfolios and many found real value in the idea.

Best practices for a successful introduction

In a real sense the first pages of this paper define how to do a successful introduction: instead of explaining what an ePortfolio is, let the students do their own research and figure it out. This gives them some ownership of the idea. Also it allows them to define what how the concept will be relevant in their own lives and career preparation.

There are some parts of the process that might be bumpy. For most students this will be an entirely new experience. It requires reflection. It asks for constant scrap and rework. Here are some practical suggestions to make the process work.

1. **Let the students discover meaning themselves.** Presumably the worth of such new ideas as reflection, scrap and rework, and artifact collection will be established through a discussion board activity at the beginning. Encourage the discussion board. Grading the quality of postings seems to ensure participation.

2. **Collect practical examples.** Last spring a student from Boston received his investment company summer job offer because of a successful interview. When the interviewer asked if he could create an Excel spreadsheet, the student referred the interviewer to his ePortfolio, where he had already uploaded a fairly complex Excel assignment from class. Students who want to be teachers can show lesson plans and also can have digital movies of themselves in student teaching assignments.
3. **Stress craftsmanship.** If you explain that the ePortfolio is another manual pursuit of everyday life, it will not seem threatening. The student builds his portfolio by continuously working with it, revising, adding, and subtracting as part of the natural intellectual growth process that a good course entails. Emphasize that the final ePortfolio grade will be based on growth as much as actually content.
4. **Be specific.** Tell your students what terms items to include. Give them the tools to build these items. For example, check with your school's Audio Visual department. Then tell the students about this policy and encourage them to use the equipment.
5. **Explain the digital artifact.** Such an artifact might be as simple as a Microsoft Word document or as complex as a Flash movie with soundtrack and buttons for user playback. When assessing artiifact use, focus on selection and reflection, not quality. For example, let the student know that she does not need to be a Media Studies major to make a decent digital movie.

6. **Emphasize saving.** Show your students how to upload documents to the central ePortfolio server. Then demonstrate the download and editing process, always stressing the value of revision.
7. **Emphasize student-centered aspects.** Let the students know that ePortfolios involve a shift from course-centered learning toward student-centered learning. Explain how the ePortfolio experience gives them control. Skillful ePortfolio development presents academic experiences as a learning curve that leads to fulfillment of professional goals through a controlled, reflective academic experience.
8. **Lead by example.** Perhaps the most important example is your own ePortfolio. You should begin building it well before using the ePortfolio software in class.

What is the value?

Are ePortfolios another passing instructional technology fad? We think not. There is some real value here. It involves reflection. The simple process of creating and maintaining an ePortfolio almost forces the student to sit back and reflect. It also teaches ongoing revision as a necessary part of that reflective process. Through reflection and revision the student grows and takes more responsibility for the educational process.

The Solar Archetype and the Feminine Divine
Religion and Psychotherapy

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Abstract

I propose in this paper to review evidence for a sun goddess, in different religions and cultures. This will be discussed in the light of Jung's feminine archetypes and some current femininst thinking on the subject. I will discuss examples of sun goddess worship , using amongst others, Janet McCrickards "The Eclipse of the Sun", and by looking at examples of visual art which are relevant to my subject. The paper will present a picture of an ancient Babylonian sun goddess, of Amterasu, the ancient Japanese sun goddess, and a 12th century picture of a Virgin Mary and Jesus with the sun behind her representing the description from Revelations in the Bible.

It will consider certain influences on Jung, such as Plato's "The Republic", and Friedrick Nietzche's "Thus Spoke Zarathustra", that among other things led him to his teaching of the solar male divine archetype and the lunar feminine. It will look at Jung's aspiration late in his career to define a divine feminine for modern women. This paper hopes, by throwing light on the divine feminine, to alert people in general to the subtlety of its historical suppression, and to bring the divine feminine into the light, and thus to help women to strive towards individuation with equanimity.

Finally, it will look at recent feminine critiques of Jung with reference to these issues; at the work of Margaret Clark, Andre Duncan et al in "The Feminine Case", (published by Karnac Books in 2003). I conclude by arguing the need of a divine, solar like, feminine for the modern world. The aim of this paper is to bring the feminine divine out of the shadows and to walk in the sun for the good of all both men and women. Not to suppress men in any way but for both to be in the centre, together, striving for wholeness and healing.

1. "Promoting Arts and Humanities through Interdisciplinary Instruction"
   This is the second of three papers in the panel session, "Promoting arts and humanities in the daily lives of students (PK-12)"

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6.

Abstract

On the national, state, and local levels, educators within the PK-12 schools are guided by standards which specify what is to be taught and the outcomes of that instruction. Increasingly evident within these standards is the injunction for teachers of all levels to promote the arts and humanities within the daily lives of their students. No longer is it the sole responsibility of the one or two art teachers in the school, nor are the English teachers called upon to bear this burden alone.

While middle and secondary schools have traditionally been organized so that instruction is segregated by content areas, new trends in interdisciplinary instruction, team teaching, and inquiry learning are gradually eroding these artificial boundaries. Responding to society's increased expectations of high school graduates in terms of their literacy skills and a drop in student achievement in these areas, teacher education programs now commonly include courses in reading and writing across the curriculum. Secondary education candidates are discovering ways of integrating supplementary reading materials and writing projects into their content areas, and they are being encouraged to work across traditional disciplinary boundaries to develop units that will engage student interest and demonstrate the interconnections among the subjects being studied.

Full Text

Promoting Arts and Humanities through Interdisciplinary Instruction

Each year as an initial activity in my methods course, I ask the teachers in training to explain what it is we teach when we teach English. This attempt to define our curriculum helps my students formulate the goals they will have in their courses and at the same time makes them part of an on-going debate within the profession. Our

discussion also highlights the breadth of the discipline, which both excites and overwhelms those entering the field. Lawrence Baines, in offering "cosmos" as the alternative metaphor for the language arts, rather than the traditional "tripod" of language, literature, and composition, agrees: "a teacher of the twenty-first century will be expected to have considerably broader expertise than the teacher of only a decade ago" (25). After talking with teachers and administrators, and consulting a wide range of texts used in preparing English teachers, Lawrence posits that "the contemporary language arts curriculum encompasses the following eight areas: Literature, Language, Composition, Speech and Drama, Critical Thinking, Technology, Media Literacy, and Interdisciplinary studies" (25). As he maintains, and my students routinely discover, each of these areas is also expanding, with literature involving a whole range of texts, not just the classics; writing encompassing a variety of formats, purposes, and audiences; and critical thinking, technology, and media literacy, not to mention interdisciplinary studies, blurring the boundaries between English and the study of any other subject. Ben Nelms also notes the many faceted nature of English as he traces the growth of the discipline over the last one hundred years and identifies several approaches that "hold particular promise for the next century" (53). Of particular note are Patricia Stock's notion of the dialogic curriculum and Arthur Applebee's view of "curriculum as conversation," which "implies thoughtful deliberation and negotiation, the appropriation of ideas and forms from other sources, and the representation of one's own ideas and imaginings for an ever-expanding community" (57). Though Nelms refrains from specific predictions about the direction the discipline will take, he seems to advocate approaches which put those in English classes in dialogue

with the culture beyond the classroom and thus out of the confines of either literature or composition in the more narrow sense of either part of English studies.

The NCTE standards for the preparation of English Language Arts teachers reinforce the notion that English teachers have to possess far-ranging expertise. In addition to a wide repertoire of pedagogical skills, those preparing to teach in the English classroom must be "knowledgeable about language, literature, oral, visual, and written literacy, print and nonprint media, technology, and research theory and findings" (8). Under the category of attitudes, candidates must "help students develop lifelong habits of critical thinking and judgment," and also "promote the arts and humanities in the daily lives of students" (8). The latter injunction, to promote arts and humanities in the daily lives of students, prompted the title of this session, but the scope of our coverage of this topic goes beyond the English classroom.

While English teachers are entrusted with a leading role in promoting arts and humanities and the literacy skills that are integral to these pursuits, it has become apparent that they cannot and should not bear the burden alone. Beginning with the 1970's movement that maintained "every teacher is a teacher of reading," continuing with the Writing Across the Curriculum movement of the 1980s, and gaining momentum with the 1990's emphasis on integrated, inquiry-based learning (Ruddell 13-15), the trend in seeing all teachers as having a stake in improving the literacy skills of their students has resulted in most teacher preparation programs now including a required course in Reading and Writing in the Content Area for all secondary candidates. A quick look at the texts used in these courses shows that the trends evident in the English Language Arts curriculum are also being advocated across all the disciplines. Donna Alvermann and

Stephen Phelps admit that scheduling and subject matter specialization make interdisciplinary team teaching more difficult in high schools, but point to successful programs on both the middle and high school level, stressing their strengths: addressing issues that are relevant to youth and bringing in a variety of primary resources rather than relying solely on textbooks (119). Martha Ruddell believes that all teachers should maintain a classroom library; allow time for SSR, Sustained Silent Reading; and incorporate literature into the content area curriculum (448-57). Judy Richardson and Raymond Morgan argue that the communication arts foster thinking and learning in the content areas, suggesting that visual and technical literacy are also part of the package (22-27). Harvey Daniels and Steven Zemelman draw on reading research to suggest a broad mixture of texts be used as an aid to learning in all subject areas (248), and David Moore and his co-authors echo this view while also advocating interdisciplinary and inquiry units.

Part of the impetus for movements to emphasize reading and writing in the content areas comes from concern about the gap between the literacy skills required of active citizens and workers in the new millennium and the literacy skills of the students who populate secondary classrooms. As the dissemination of information in our culture has come to rely so heavily on the media, and the internet has become a primary resource for information for students, instruction in media analysis and in technology has also become more vital as part of the secondary curriculum, and has spread from specialized courses to find a place in many subject areas. As I prepare high school teachers of Art, Music, Spanish, English, Math, Social Studies, and Science, I stress the importance of fostering reading, writing, and media literacy skills as they engage their students in the

content curriculum. If they want their students to prepare adequately for class, to become independent, and to continue to explore their discipline beyond the walls of the classroom, then they have to help them develop the skills they will need to do so. By the end of the course in Content Area Reading and Writing, and especially following their field experience during which they witness the needs of students in these areas, most of my teaching candidates are convinced they need to include a variety of supplemental texts in their curriculum, not just the textbook, and that they need to help their students through each stage of the reading process. They also accept the role of writing in both the learning process and in assessment, and they are well-equipped to create effective, sequenced writing assignments and rubrics. In reflections on their final project, an interdisciplinary unit that features examples of most of the strategies covered during the semester, including web quests and activities to foster critical thinking and media literacy, most candidates show that they recognize the advantages of this type of instruction, while at the same time noting the huge demands on a teacher's time such planning entails.

This year, the units created by the thirty candidates in my Content Area Reading and Writing course were indicative of the range of possibilities that exist for integrating content area instruction. Those collaborating on lessons about the Civil War, World War II, and the Jazz Age reflected the more traditional link between the study of history and literature (or music in the last example), yet they were able to incorporate a wide array of visual and written texts and plan engaging activities. Spanish, Art, and Social Studies candidates found their link in the study of civilizations, with the Aztec, Incan, and Byzantine empires becoming the topics of their units. While some candidates planned

what is known as multidisciplinary units, specifying separate instruction in each content area, but focusing on a common topic, others found opportunities to bring the disciplines together at key moments of instruction. For instance, in the case of the group teaching about the Atom Bomb, the Social Studies candidate planned lessons on the deliberations about and the political ramifications of bombing Hiroshima during World War II; the Science candidate constructed lessons about nuclear fission and the physical effects of atomic fallout; and the Art candidate introduced the work of Richard Notkin and other artists who have employed the atomic image in their art to advocate peace. The units on Voting and Global Warming, in contrast, featured several direct links between the content areas of Social Studies and Math, in the first instance, and Social Studies and Science in the second. Students worked in both Math and History to research social issues, create surveys, poll voters, and then compile the statistics. In the second example, they researched both the environmental effects and political ramifications of Global Warming and both classes engaged in a mock UN debate about the topic. Representing the most thorough integration of disciplines were the units on Immigration and Hurricanes. In the first, immigration patterns and debates in History were linked with studies about the effect of immigration on culture in Sociology, and a study of World Music during the period provided the example of the blending of various cultures. One of the most interactive and innovative units had students in Math, Economics, and History examining the personal and social effects of hurricanes, planning their own evacuation routes, calculating the costs they would incur, and debating the government's role in helping those who are victims of natural disasters. Since the candidates are teaching in an area prone to hurricanes, this inquiry unit is bound to be successful since it not only actively

involves the students but appeals to their very real interests and concerns as residents of the coast of South Carolina.

The interdisciplinary projects created by this year's MAT candidates at Coastal Carolina University are examples of the kinds of lessons that can engage student interest; highlight the connections among disciplines; foster reading, writing, and literacy skills; and promote the arts and humanities. If students can see that visual and written texts, and their impact on society, are vital concerns of all content areas, including math and science, then perhaps they will be more prone to see the value in all their courses, whether their innate interest or their proficiency resides in the math and sciences or in the humanities.

One of the advocates of curriculum integration, Jeffrey Beane, talks about this movement not as representing simply a surface change in which lesson plans are aligned, but as "a way of thinking about what schools are for, about the sources of curriculum, and about the uses of knowledge" (616). With interdisciplinary lessons, students acquire knowledge of themselves and the world in an organic rather than an artificial way, Bean argues. He criticizes our conception of school-based subjects as disciplines when they are really "institutionally based representations of disciplines" dealing with a limited range of information from a given field of study. School subjects, he says, come to have more rigid boundaries than the disciplines that they are representing. The separate-subject approach also leads to a confusion of the ends and means of education, resulting in a restricted view of knowledge as a collection of facts rather than the application of learning to real purposes. The set of knowledge defined as important in school subjects has tended to be established and governed largely by those with a particular viewpoint

and position of power within society, thus establishing a kind of cultural capital that privileges some students over others, working against the goal of meeting the needs of a diversity student body and helping students see the relevance of what they are learning. This seeming lack of relevance has the effect of deadening the motivation of both teachers and students (616-623).

Beane does acknowledge the difficulty of countering the separate-subject approach, noting that it is protected by "four powerful factors." Those who have a vested interest in the status quo, teacher-educators, state and district level supervisors, text publishers, and subject area associations may want to defend their turf. Parents also may distrust what seems a different curriculum from the one they were taught. Teachers and their supervisors may see their own identities wrapped up in their subject-matter, and resist stepping into territory where they lack expertise. Finally, conservatives may link curriculum integration with progressive educational movements and resist such trends (616-623).

Most of the studies measuring the effects of interdisciplinary instruction have been conducted in middle schools, where reform programs have pushed for changes in the curriculum. Alexis Mitman and Vicki Lambert looked at seventeen California middle schools that had implemented one or more of the following instructional reforms: heterogeneous grouping, cooperative learning, active learning, and interdisciplinary instruction. The most difficult measure undertaken, by far, was interdisciplinary instruction, due to institutional obstacles such as a "lack of planning time, scarcity of materials, difficulties in the sequencing and timing of units…, problems in relating themes to more than two disciplines, and poor participation on the part of some

teachers/themes" (513). There were positive reactions to the initiative, such as one teacher's claim that she "'wouldn't go back to teaching independently ever again. Sure this is a lot of work, but it beats doing it alone. It gives my teaching a direction, a goal. We get a lot of support from one another when we work together, and it definitely is better for the kids'" (512). On the whole, though, there was mixed success in attaining true interdisciplinary teaching due to teachers having limited time, resources, and models to "plan significant new instructional *content*" that had to "reflect a level of disciplinary understanding that few, if any, teachers or principles had" (516).

Karen Miles and Linda Darling-Hammond agree that teachers need more time to plan these kinds of lessons, and they advocate a change in the allocation of teaching resources to do so, citing studies conducted in China and Japan as giving evidence that "teachers become more proficient from continually working on curriculum, demonstration lessons, and assessments together" (9).

Studies like Deborah Brown's have shown that teachers tend not to develop new lessons and new units and give "little consideration to interdisciplinary instruction during planning" (78-79), often planning on the basis of texts, school schedules, and curriculum guides rather than basing decisions on their own goals for instruction. The teachers in Brown's study also reported that they did little cooperative planning (83). For this reason, Brown calls for teacher preparation programs to lead pre-service teachers in developing plans that can be flexible enough to accommodate the often changing, day-to-day schedules within the secondary environment.

What are the rewards of interdisciplinary teaching? According to Marcy Gabella, "the role of the arts lies not only in their potency as expressions of human experience, but

also in the opportunity they create to engage in fundamental questions about the acts of inquiring into and rendering human lives and contexts" (29). In the curriculum she worked with, which integrated arts into the study of history, she noted the ability of the arts to "engage students' imaginations and to inspire a sense of empathy" (29), but she also recognized an additional advantage of the arts in calling attention to the interpretive nature of representation, particularly in terms of historical inquiry. She maintains that "a pedagogy of history in which the arts are central might offer the basis for helping students" consider such questions as "How are we to see the arts? As primary sources? As historical commentary?...To what extent do the forms we employ in representing the past shape what we say?...Given our situatedness in the present, what can we understand about the past?...How does our experience of historical relics compare with those who created or encountered them? After whose past ought (and does) history inquire? What kinds of relationships exist among history, power, and representation?" (29).

If we view education as introducing students to "the voices of poetry, of history, of science, of philosophy—indeed, of politics," as Richard Pring does, then we can see the advantage of liberal arts studies, of promoting the arts and humanities throughout the curriculum, in giving students "a certain political independence, the power to resist persuasions and propaganda of those with political power" (74). Pring calls for "an intellectually respectable exploration of the controversial issues which are central to political debate and resolution" so that schools become true learning communities "where such matters are subject to debate, argument and intellectual exploration" (75). To those who distrust the humanities curriculum and fear a liberal agenda on the part of teachers, Pring notes the contrary, for in this type of teaching, the "teacher's authority lies not in

knowing the right answer, but in knowing the intellectual and aesthetic resources upon which one might draw in reaching a defensible answer" (83). These resources, which form the basis of the humanities, are "essential to the development of political understanding and judgement" (83).

Successful promotion of the arts and humanities depends, to a great extent, on the ability of the teacher to draw connections to students' interests and concerns. Inquiry learning, particularly that which makes use of a wide range of supplemental texts and which is interdisciplinary in nature, promises this kind of engagement. Despite the drive toward accountability, which so often has reduced learning to the memorization of facts, which can then be measured through standardized tests, we who teach in the arts and humanities must trust instructional methods that help students develop the skills and the inquisitive minds that will lead them to learn the basic facts in the pursuit of what is far more important: understanding and true involvement in the learning process. That way, the arts and humanities will not disappear within the daily lives of our students once they have passed the last standardized exit exam at the conclusion of their senior year.

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1. "Preparing Early Childhood Candidates to Teach With and Through the Expressive Arts in Early Childhood Classrooms."

This is the first of three papers in the panel session, "Promoting arts and humanities in the daily lives of students (PK-12)"

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6.

Abstract

Even before children can talk, they move, gesture, vocalize, and react to all the sounds, colors, and rhythms in their environment. Their joy in the "hundred languages of children," an expression from the Reggio Emilia schools, shows the value of the arts and humanities in early childhood as children are encouraged to share their understandings through use of the expressive arts. Brain research provides additional support for the inclusion of experiences with art, music, language, etc. at an early age. Unfortunately, increasing pressure to account for early childhood methods and practices and to ensure that all young children succeed in an increasingly academic environment has caused some teachers to abandon the use of the arts as a mode for teaching and learning. The expressive arts are too often viewed as a frill, something to do after the "real work" has been completed. Candidates of early childhood programs must be able to articulate priorities for and provide children with high-quality, meaningful experiences within the field of arts and humanities.

Full Text

Preparing Early Childhood Candidates to Teach With and Through the Expressive Arts in Early Childhood Classrooms

What Early Childhood Candidates Need to Know

> Because of the mounting evidence linking the arts to basic learning, some researchers refer to the arts as the "fourth R."
>
> (Murfee, 1995, p.4)

The field of early childhood has long supported the use of the expressive arts in programs serving young children. New research from many disciplines, as well as brain

research, is fostering a new perspective on learning that supports the use of the expressive arts as effective instructional strategies. The arts are now being recognized for their potential to provide significant learning. Gardner's theory of multiple intelligences (1983) provides an expanded view of the possibilities of learning, beyond the traditional emphasis on the linguistic and logico-mathematical domains.

The National Association for the Education of Young Children (NAEYC), the professional organization of early childhood, emphasizes the importance of the expressive arts in the early childhood curriculum through two specific documents. Standards for preparing teachers of young children were first established in 1982. In 2001, NAEYC and the National Council for Accreditation of Teacher Education (NCATE) collaborated to update and publish standards for early childhood professional preparation. Standard 4. Teaching and Learning specifically addresses content that must be included in all early childhood teacher preparation programs. Substandard 4c. Understanding content knowledge in early education states:

> **The arts: Music, creative movement, dance, drama, and art.** Candidates are able to articulate priorities for high quality, meaningful arts experiences in early childhood, across a developmental continuum. Depending on children's ages and other characteristics, those experiences should help children to, for example:
>
> - Interact musically with others
> - Express and interpret understandings of their world through structured and informal musical play
> - Sing, play, and create music
> - Respond to expressive characteristics of music-rhythm, melody, form-through speaking, singing, moving, and playing simple instruments.
> - Use music to express emotions, conflicts, and needs
> - Move expressively to music of various tempos, meters, modes, genres, and cultures to express what they feel and hear
> - Understand and apply artistic media, techniques, and processes
> - Make connections between visual arts and other disciplines (pgs. 41-2)

All early childhood teacher education programs must provide ample evidence to demonstrate that candidates have the knowledge and skills required in the standards.

Specific recommendations for appropriate experiences for young children are outlined in NAEYC's *Developmentally Appropriate Practice in Early Childhood Programs* (Bredekamp & Copple, 1997). Specific beliefs about what constitutes appropriate experiences for children ages birth through 8 are presented. In the section entitled "Examples of Appropriate and Inappropriate Practices for 3- through 5-Year-Olds" under Constructing appropriate curriculum it states:

> Children have daily opportunities for aesthetic expression and appreciation through art and music. Children experiment and enjoy various forms of dramatic play, music and dance. A variety of art media, such as markers, crayons, paints and clay, are available for creative expression and representation of ideas and feelings. (p. 132)

The section "Developmentally Appropriate Practice for 6- through 8-Year-olds in the Primary Grades" also includes a recommendation for including the expressive arts for older children.

> **Art, music, drama, dance,** and other fine arts are the explicit focus of children's study at times. On other occasions when relevant, the fine arts are integrated in other areas of the curriculum, such as social studies or mathematics. Children are encouraged to express themselves physically and aesthetically, represent ideas and feelings, and acquire fundamental concepts and skills in the fine arts. Classroom teachers work with specialists in the arts to help children explore and experiment with various art media and music forms. The school demonstrates that all children's artistic creations are valued by displaying children's works of art, providing regular opportunities for performances, and developing children's appreciation for the arts. (p. 174)

Examples for Integrating the Expressive Arts

The candidates in the early childhood program at Costal Carolina University are provided numerous opportunities to participate in and understand the value for infusing music, dance and movement, drama, and other modes of expressive arts throughout the program. The standards and guidelines developed by NAEYC emphasize the fact that young children learn in an integrated manner through meaningful, real world experiences. Our program is designed to help our candidates develop the skills needed to teach with and through the expressive arts. Since many public schools view the arts as separate curriculum areas that require a specialized teacher, we focus on how the classroom teacher can use the expressive arts effectively throughout the day. Our goal is to help our candidates understand the integral role the arts play in integrating parts and wholes, and how literature, art, drama, dance, and music interact with science, mathematics, social studies, and the language arts and support learning about important life skills, concepts and themes.

In the Introduction to Early Childhood class, candidates are exposed to appropriate songs, dances and creative movement, and are encouraged to sing and dance in the college classroom. We have done the Hokey Pokey Dokey, the Humpty Dumpty Dance, and Rock 'n Roll Patty cake. Not only is there a lot of laughter associated with these experiences, but we also discuss what skills and concepts are being develop and reinforced through the songs. The candidates begin to develop the understanding from the first course that learning can be fun, and that music and dance can be an integral part of the classroom.

All of the methods courses include strategies for integrating the arts into all aspects of the curriculum. Art, music, drama, dance, and literature all draw on the common concepts of shape, motion, pattern, action, and rhythm and be used for their power to reveal these same aspects in other curricular areas. We strive to help our candidates understand that arts integration provides another avenue for more students to achieve academic success by using ways of knowing that are available only through the arts. A child may not be able to write about the steps of a life cycle, but can demonstrate understanding through drawings, a verse, or movement.

Examples

Reading & Language Arts

- use of songs with song charts to teach and reinforce skills such as
    - return sweep
    - left-to-right and top-to-bottom progression for reading and writing
    - introduction of new vocabulary
    - patterns
    - punctuation
    - phonemic awareness
- use of paintings and other works of art
    - use of descriptive words
    - writing of stories
- noticing curves and lines in letters and drawing them in the air or making letters with their bodies

Science

- Mixing colors "Is it art or science?"
- using songs and poems to reinforce skills and concepts related to weather, seasons, life cycles, etc
- communicating observations through drawings, songs, movement
- making salt dough and creating a volcano
- finding various ways to make the body move

Math

- finding patterns and shapes in paintings and nature
- classifying works of art, music, stories, poems
- parts and whole

Social Studies

- exposing children to art and music from various cultures and discussing likes and dislikes
- comparing works of 2 different artists
- discussing the use of the expressive arts as a way of recording history

Other

- lesson plans require inclusion of strategies focusing on the Multiple Intelligences
- completion of a Teacher Work Sample – development of an integrated unit. Candidates are required (in Early Childhood) to include strategies that include music, art, etc.

> A teacher who has never gone through the process of creating in a specific material may never understand the particular type of thinking that is necessary to work with clay, paint, or whatever. This means that the teacher must have been truly involved in creating with materials, not dealing with them in an abstract way by reading or mechanically carrying out some project. The material and the expression should be as one. (Lowenfeld and Brittain, 1987, p 62)

The philosophy of the early childhood program at Costal Carolina University emphasizes the development of the whole child (or adult), which includes creativity and the arts. Central to the development of creativity is a teacher who understands that creativity is not narrowly defined as the art or music program, but is much broader and should be nurtured in every area of learning. We provide our candidates with the opportunity to experience the actual activities they will be implementing in their classrooms. We strive to prepare teachers who truly understand the importance of creativity and the arts and design classrooms so these areas are an essential part of the environment, and are integrated across the curriculum. Interactions within a creative environment are powerful ways to foster creativity and the use of expressive arts in our public schools while meeting the expected standards at each grade level.

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ILLINOIS PRIMARY 2004--ELECTION 2004:
AN HISTORIAN LOOKS AT THE POLITICS OF THE PERSONAL FROM THE EYE OF THE STORM
ASKING, 'WHICH POLITICAL USE OF HISTORY WILL TRIUMPH?'

A HISTORY PAPER
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ILLINOIS PRIMARY 2004--ELECTION 2004: A HISTORIAN LOOKS AT THE POLITICS OF THE PERSONAL FROM THE EYE OF THE STORM ASKING, 'WHICH POLITICAL USE OF HISTORY WILL TRIUMPH?'

INTRODUCTION: THE FARMER AND THE WOODMAN

It is already likely enough that, rooted in the woods
of France and Norway, there were growing trees…
already marked by that Woodman, Fate, to come down
and be sawn into boards, to make a certain movable
framework [guillotine]… terrible in history.

It is likely enough
that in the rough outhouses of some tillers of the
heavy lands adjacent to Paris, there were sheltered from the
weather that very day, rude carts bespattered with rustic mud…
which the Farmer, Death, had already set apart to be his
tumbrils [sic] of the Revolution…

But that Woodman and that Farmer,
Though they worked unceasingly,
Work silently,
And no one heard them
As they went about with muffled tread…" 1

Illinois Election-Day, November 2, 2004 has come and gone; "Dubya" won--easily. On November 3rd, President/President-Elect George W. Bush in the wake of Senator John Kerry's concession, speech joyfully met the press, announcing his intent to cash in and enjoy 'spending his capital.'[2]

News analysts, journalists, academics, even neighborhood bartenders expounded, sometimes pontificated, on why Bush won, given the favorable Kerry exit polls.[3]

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1 Charles Dickens, *Tale of Two Cities,* in Works of Charles Dickens, New York: Avenel Books, Crown Publishers, 1978, 983

2 Bush press conference, November 3, 2004

3 The Zogby exit polls, especially, placed Kerry ahead by 40% in Ohio and Pennsylvania as late as 4:00 pm

I can't; I won't; I'm clueless. Illinois Election 2004 has come and gone, and all I have to show for it is yet another set of yard signs to recycle!

It's too early to dispassionately analyze Election 2004's results. Too many emotions, triumphs, hopes, and failed dreams, together with personal bias born of personal involvement, dreams make dispassionate analysis impossible. Besides, attempts at analysis within a month of most elections usually only results in rehashing the pundit's ramblings.

Therefore, this paper largely avoids the aftermath of Illinois Election 2004, concentrating instead on a largely ignored aspect of the process: the development of both national and local political campaign strategy in Illinois' 9th Congressional District from summer 2004 to Election-Day—"the eye of the storm."

Political campaigns often resemble hurricanes. Hurricanes strike violently, creating chaos in their wake; election campaigns strike with hoopla. Election campaigns with their announcements, attacks, platforms, and promises generate chaos. Hurricanes gather strength as they approach landfall. Political campaigns, as Election-Day nears, increasingly churn out speeches, attacks, and promises. And chaos feeds on chaos, gathering momentum. In fact descriptions of campaigns often use metaphors like thunderbolts and lightning strikes. Hard hitting political campaigns embody the hurricane's fury.

Hurricanes have a center of calm known as the "eye of the storm;" political campaigns possess a quiet center as well, three to five months before Election-Day. While political activists and campaign staffers continue to work behind the scenes, the public pays little attention, unless a candidate makes a local appearance. The political eye is usually spent regrouping—planning, sending out marketing signals, searching for the opponent's weaknesses.

Candidates, national and local are parrying, probing and seeking the issues that will resonate with the voter. Planning meetings abound. Yet all seems quiet on the political front.

But it's a deceptive quiet. For it was in the "eye" of the 9th Congressional District's political storm that the outlines of the battlefield and strategy used in Election 2004 emerged.

* * * * * *

Primary and Election 2002 were the houses that History built; Primary 2004 was the creation of the Hope and Fear Titans created by that history. But in Election 2004, History played an even greater role. History shaped both the battlefield the campaign stratagems, transforming both into visceral, emotional gut-wrenching causes.

This is the fifth in my series of papers concerning the role of History and the "politics of the personal" in Illinois' 9th Congressional District. One of the most diverse and populous Congressional districts in America, the 9th serves as a microcosm for political strategy and policy creation, regardless of party affiliation. [4]

The first two papers[5] in the series explored:

1. How the antipathy between Evanston and Niles Township framed the races in Illinois Primary 2002 in the Illinois 9th Congressional District.

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[4] The 9th Congressional District extends along Chicago's lakefront from the Edgewater area, East Rogers Park. It also includes West Rogers Park, moving west to the 41st Ward area and suburban Park Ridge. The district extends north through Evanston and Niles Township, west through Northfield and Western New Trier Township, ending in suburban Northbrook.

[5] Judith-Rae E. Ross, *Illinois Primary 2002: A Historian Looks at the Politics of the Personal,* Presented June 12, 2002, HICSS, 2002, Abstract published in *Proceedings*; Ross, *Illinois Primary 2002, A Historian Looks at the Politics of the Personal, A Look Back after the Dust Has Cleared*, Presented at the HICSS, June 12, 2003, *Proceedings*.

2. How the antipathy between Congresswoman Jan D. Schakowsky and Niles Township Committeeman Calvin R. Sutker enflamed the Primary races for the Democratic nomination for Governor, County Commissioner, Illinois State Representative, and State Central Committeeman.

3. How the win didn't end the rivalries, but pointed up the dangers of low voter turnout to Democracy itself.

The third paper[6] explored why Illinois Election 2002 enervated voters and workers alike, discussing:

1. The continuing role of History in Illinois Election 2002 in the Illinois 9th Congressional District.

2. The impact of the "fun factor" and what occurs when it isn't present.

3. Why Election 2002 left everyone disappointed, despite a Democratic landslide in Illinois.

The fourth paper[7] described:

1. The nature of the Hope and Fear Titans.

2. How the interplay between national, state and local campaigns drove Illinois Primary 2004 in the Illinois 9th Congressional District.

3. How History affected Illinois Primary 2004.

4. How the Politics of the Personal resulted in a hopeful dynamic, based on the History.

5. The triumph of the Hope Titan.

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[6] Judith-Rae E. Ross, *Illinois Election 2002: A Historian Looks at the Politics of the Personal, and asks "Why wasn't it Fun?"* Presented June 12, 2003, HICSS, *Proceedings*

[7] Judith-Rae E. Ross, *Illinois Primary 2004: A Historian Looks at the Politics of the Personal, and asks "What led to the clash of the Hope and Fear Titans?"* HICSS, 2003, *Proceedings*

6. How this might be the first step to a Democratic landslide in Illinois and the national Election 2004.

This paper departs radically from the format employed in the previous papers in the "Historian looks…" series. Rather than discussing history's role and the politics of the personal in the aftermath of Election 2004, this paper returns to another time and place, the French Restoration of 1815-1830. Focusing on this era sheds light on how history defined campaigning during Illinois Election 2004, with regard to:

- Strategic approaches
- Ideological Stands

During the Illinois Election 2004 campaign, history became more than an underlying issue; it became a campaign strategy. Images created by historical analogy defined and drove the following issues:

- The war in Iraq
- The war on Terrorism
- 9/11 and the aftermath
- The Patriot Act
- Perception abroad
- The economy
- Health insurance
- Veteran's benefits
- Social Security
- Tax cuts
- A woman's right to choose
- Gay marriage
- The role of religion in government
- Leadership and character
- Immigration rights

Use of historical analogy as a campaign tool resulted in emotional--even visceral—images which struck equally emotional—and visceral—chords in Illinois' 9th CD's voters. Thus use of History as a political tool actually took issues out of the intellectual realm straight into the voters' gut.

But this was not the first time History drove elections this way.

A startling, almost eerie, parallel exists between the use of history as a campaign strategy in Illinois Election 2004 in the 9th CD and the use of history as political tool in the French Restoration, 1815-1830. This paper will explore:

- How history was used to transform the French Revolution from a negative event to a positive one.
- How this transformation vindicated French liberals.
- How liberal vindication resulted in the end of Bourbon rule.

This paper concludes with:

- Comparing the use of History as a political tool in both eras.
- Discussing how history as a campaign tool affected three races:
  - The U.S. Presidency
  - The U.S. Senate
  - The 17 th Legislative district in Illinois
- Exploring how using History political campaign tool affected the interplay between:
  - The Democratic Party of Evanston
  - The 9th Congressional District (hereafter referred to as CD) Coordinated Campaign
  - The local Kerry and Obama campaigns
  - The rivalry between Governor Rod Blagojevich and Speaker of The Illinois House of Representatives, Michael Madigan

STRATEGY:

Campaigns and political party organizations strive to increase their voter base between primaries and the general election that follow. The period between Illinois Primary 2004 and Illinois Election 2004 was typical.

The Democratic Party of Evanston board (hereafter referred to as DPOE) had barely finished sweeping out party headquarters, and recycling old yard signs

and campaign brochures when *Operation Juggernaut,* the nickname for that party's voter registration drive, resumed.

Operation Juggernaut had generated over 3000 newly registered voters in Evanston Township before Primary 2004. As David Orr, the Clerk of Cook County noted "Evanston was off the charts"[8] in voter registration.

Evanston wasn't alone. Registering voters challenged baseball as the national pastime in Illinois' 9th CD.

The *Coordinated Campaign* [9]*,* led by Congresswoman Jan Schakowsky, concentrated heavily on voter registration from summer 2003 to Primary 2004. Schakowsky "made no little plans," [10] informing Coordinated Campaign Director Emily Pantera in no uncertain terms that she expected to see 60,000 newly registered 9th district voters added to the county voter rolls by Election 2004. Pantera had her work cut out for her, but by primary day 40,000 of the projected 60,000 newly registered voters were already on the Cook County rolls. The Coordinated Campaign's voter registration drive resumed shortly after the Primary in search of the remaining 20,000 voters.

Successful primary election candidates used voter registration as a campaign tool. Judge-Elect Jeanne Cleveland-Bernstein, successful candidate for circuit court judge in the 9th sub-circuit court district, advised Michelle Bromberg to always carry Motor/Voter Registration blanks [11] as an easy way to add supporters to the rolls. State Representative Louis Lang, facing what appeared to be a powerful primary opponent also used voter registration to strengthen his power base.

8Comment made February 12, 2004. Clerk Orr posed with me because he was pleased with DPOE's voter registration campaign.

9 The Coordinated Campaign, under the aegis of Congresswoman Jan Schakowsky worked to coordinate all the campaigns of the 9th CD to elect candidates. It also provided campaign school interns to assist the candidates.

10 Comment made by Daniel Burnham concerning the construction of the Chicago World's Fair in 1893.

11 Comment made Ms. Bromberg c. January 2004. Incredibly Bromberg replied she was told not to do that

Local branches of national political campaigns, such as the Niles Township supporters of Barack Obama, registered voters at local area festivals over the summer. *Evanstonians for Obama* held a rally to gather volunteers, many for voter registration.

The Evanston chapter of the NAACP, Operation PUSH, and the League of Women Voters also worked diligently to register voters. High school students made voter registration their vehicle for entering the political arena. [12]

Volunteers unaffiliated with political parties or organizations worked in all parts of the voter registration campaign. Evanston resident Richard Durning organized registration trips to Wisconsin. Suzy Crawford, using Dave's Italian Kitchen as a base, began registering voters throughout Evanston Township. She coordinated two voter registration "blitzes." By Election 2004, Crawford was in contact with each of the Evanston schools, and sent out material from her new email address: vote@newsnet.com.

What made voter registration this attractive? Obviously, it increased the voter base. But the voter registration drives in the 9th CD had additional benefits. Registering voters is a non-partisan activity, attracting some citizens who are put off by political parties or the political campaign process. This means voter registration campaigns are an excellent source for volunteers who are not normally attracted to politics.

Voter registration is quick, fun, important, and positive; a source of instant gratification. During Illinois Election 2002, most political campaigns were neither important nor positive, nor fun--a source of ulcers, not gratification.

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[12] For example, New Trier high school student Natalie Green, and Evanston high school student Matt Gettelman worked tirelessly registering voters prior to the primary.

Most political campaigns--like the army--run on their stomach. Even the policy wonks and paid campaign professionals get bogged down in endless meetings, rubber chicken lunches, and pointless phone conversations. As Election Day nears, tempers fray, meetings and phone conversations become increasingly hazardous to psychological health."[13] Sleep deprivation further heightens the angst.

Volunteers fare worse. They're usually the "stuff"[14] of the envelope stuffing brigade, or worse, the predictive dialer. They're the ones who go door to door in freezing weather to circulate nominating petitions or deliver literature. It's usually the volunteers who stand the street corner with campaign materials. They also pass out campaign materials at the commuter rail stops, while dodging angry commuters bent on breaking the last Olympic speed record in an attempt to catch the 7:02 Red Line to the Loop.

Worse yet, they often become the target of the professionals' ire. Like the professionals, volunteers suffer sleep deprivation as Election Day draws near, and often as not, Election Day lasts 22 hours. All of this for a "comp" ticket to a fundraiser, lots of stale pizza, and a thank you form letter from the candidate. Sooner or later most volunteers wonder if their work was worth it!

Voter registration, on the other hand, is always meaningful, easily done, and shifts usually last 2-3 hours. It's a goal driven project that never seems useless. Actually voter registration kicked all the 9th CD election campaigns "up a notch,"[15] beyond politics as usual onto an idealistic higher plane. Rather than a campaign tactic, voter registration fits well into a philosophical, even visionary mode: the tool that sustains Democracy.

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13 Paraphrase of government cigarette warnings.

14 "cf. "For we are the stuff as dreams are made on /and our little life is rounded with sleep." William Shakespeare, *The Tempest*, Prospero, Act IV, Scene 1

Why did Democracy, voting and campaigning become so closely intertwined during the "eye?" Because using voter registration drives as a campaign strategy hit a historical and cultural chord. Many voters in the 9th CD hate politics but adore almost worship the concept of Democracy. Why? It's a concept hard not to love.

American Democracy is founded on two words, none of which include "peace," "freedom," "justice" or "liberty," but rather "*I disagree*." It's a messy form of government. Democracy guarantees and protects arguments, debates, even food fights. And in a working democracy no one should have to worry about the 3 AM knock on the door.

Democracy guarantees the rights to think, create, build, start anew…to dream. Art, music, literature and theater usually flourish in a democracy. How much creative art came out of the Third Reich?[16] Why did so many creative people flee the former Soviet Union?[17] Democracy nurtures scientific thought. Think of what might have happened if Leonardo Da Vinci could have worked openly; if Galileo could have continued his studies in the open.

A true Democratic government also guarantees survival. Citizens who know how to think know how to be flexible, know how to move outside the box--and are not afraid to do so. In contrast, look at what has become of the largest society based on groupthink, the former Soviet Union.

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15 Comment of Chef Emmeril Lagasse, TV chef on the food channel.

16 Some of the population of the Third Reich after 1943 realized that they had brought into a nightmare. Wilhelm Furtwengler defended his decision to stay and conduct because German people needed music also. The 1944 Bayreuth performance of The Flying Dutchman illustrates this. This production had a stellar cast, singing its heart out for the Nazi command. Incredibly the recording survives. But the cast's desperation soars with the music. They were reaching back to the Germany before the Reich.

17 Joseph Novak's/Jerzy Kosinski's comments in "The Future is Ours Comrade" New York, 1961, chapter on Siberia. The released political prisoner comments, "We are good at turning people into animals. But we have not yet learned how to turn animals into people."; cf. Mikhail Zoshchenko, *Nervous People and other Satires*, Bloomington: University of Indiana Press, 1975.

Democracy guarantees freedom from the fear that inhibits thought. But Democracy also demands responsibility from each individual citizen. For example:

1. Democracy guarantees freedom from fear but demands all citizens be self-confident enough to think.

2. Democracy safeguards the right to speak and write, but demands that citizens speak out and tap out their thoughts on their word processors.

3. Most important, democracy guarantees the citizen the right to choose leaders, which in turn depends on the citizens exercising their right to vote.

The 9th CD's voter registration drives went beyond supporting candidates to protecting Democracy. Why? Democracy's survival depends on voting. One thing the ward heelers, the bureaucrats on the take, the followers of corrupt politicians have in common is their voting record: early, sometimes often. Voter registration and voting is the best antidote to the ward healer. It's the ultimate reform, the activist's solution. Even if the officeholder's soul is as pure as, "the freshly driven slush"4[18] most elected officials understand they're accountable to the electorate.

Voting is the check and balance, the arbiter of who stays and who leaves office. Election 2004 notwithstanding, History has shown heavy voting usually produces good elected officials. Heavy voter turnout plus a large percentage of voters showing up at the polls, relies on large voter registration.

The voters on more than one occasion have proved the pundits wrong by voting them out.

A few historical examples:

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[18]Comment made by actress Tallulah Bankhead

1. Harry Truman, one of the finest of all American, was written off by the pundits. The Chicago Tribune's headline the day after the election, but obviously written before the vote tallies were complete, read, "Dewey Wins." It turned out that the American electorate disagreed with the pundits, polls, pols and the Tribune, having elected Truman. The next day Truman got the last laugh, giving the Tribune hell by posing gleefully with their day-after edition.

2. In 1998, then State Representative Janice Schakowsky ran in the Democratic Congressional primary in Illinois' 9th CD. One of three candidates, she was the one with the least amount of money, the least amount of "insider" political support, and the least number of endorsements. But that didn't matter to the voters. Congresswoman Schakowsky just got re-elected to her fourth term.

3. Illinois Primary 2004 pitted seven candidates against each other in the race for the Democratic Senate nomination. The voters, not the Cook County Democratic Committee, selected Barack Obama.

But Democracy withers in the presence of widespread voter apathy. Voter apathy produces power voids. That's an open invitation for the dictator, demagogue or corrupt hack to step up to the podium, and take command.

At some level, perhaps a subconscious level, most Americans understand Democracy's importance. For the residents of the 9th CD, a diverse and progressive district, registering to vote as well as registering neighbors to vote became akin to an act of faith.

For politicians and volunteers alike the voter registration campaigns in the 9th CD preserved Democracy's vision as it enhanced individual candidate's chances for election. Voter registration drives became so popular in the 9th CD that the DPOE convened a meeting of most of the groups in Evanston, Niles, and New Trier Townships at Dave's Italian Kitchen in July to ascertain who was doing what, and who needed help. This meeting lessened turf war fears, while it cemented alliances between progressives.

These campaigns may well have had a halo effect. By October 5th, the last day to register all of Cook County was in the throes of a voter registration feeding frenzy. Cook County David Orr's offices were so packed with volunteers and last minute registrants turning in voter registration blanks, that it became newsworthy. TV cameras photographed volunteers and last minute registrants; CBS 2's reporter Sylvia Gomez for one interviewed them for that evening's local news.

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The politics of the personal merged with personal history during the voter registration drives. Because of the district's diverse population one family history definitely does not fit all. But many residents do in fact share history, and that brings them closer together.

Some have ancestors that came over prior to the Civil War; others were granted civil rights because of the Civil War. Many residents came from the 1881-1924[19] immigration; others during the Latin American migration of the 1970s-1980s.

Some residents of the 9th CD slipped out the back door as the Gestapo kicked down the front door; others tip toed through the killing fields; still others crossed borders at midnight.

In short, most families in the 9th CD remember how their ancestors arrived here in search of democracy and a better life. The voter registration drives resonated because it brought those long-dead memories to life, forging a living bond between past and present.

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[19] In 1881 Tsar Alexander II was assassinated. This touched off a series of pogroms and arrests of liberals. Many residents of the Romanov Empire fled to America; In 1924 the U.S. enacted the first set of laws to curtail massive immigration to America.

HISTORY AS A POLITICAL TOOL: THE USE OF HISTORY IN FORMULATING ISSUES IN ILLINOIS ELECTION 2004

The 9th CD voter registration drives did more than increase the voter rolls. They set the emotional and intellectual tone for the rest of the political campaigns.

Voter registration resonated on a gut emotional level; campaign issues bristled into articles of faith, causes C*elebes*, once history was added the mix. Comparisons between past and present transformed the issues in Illinois Election 2004 from intellectual talking points into heartfelt causes.

Whether *Operation Juggernaut* and the many other voter registration drives in the 9th CD intentionally inspired placing campaign issues in historical context or inadvertently set the tone for the campaign isn't important. The intensity history added to the campaign is what mattered.

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Illinois Election 2004 generally centered clearly defined issues.

These included:

- The war in Iraq
- The war on terrorism
- 9/11 and the aftermath
- The Patriot Act
- Perception abroad
- The economy
- Health insurance
- Veteran's benefits
- Social Security
- Tax cuts
- A woman's right to choose
- Gay marriage
- The role of religion in government
- Leadership and character

- Immigration rights
- Unemployment

Several issues were so intertwined that placing them in historical context was the simplest way to make sense of them. Each falls more or less into three general categories:

- Foreign policy
- Domestic policy
- Cultural norms

Each of these categories generated a larger historical perception, bordering on an image. These images emerged during the "eye," becoming so strong they defined the voters' stances and labeled them.

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The War in Iraq overshadowed the other issues. How 9th CD voters perceived this war colored their perceptions of each of the other issues.

By late spring 2004, most of the 9th CD's voters no longer supported the War in Iraq. Once it was clear that there were no weapons of mass destruction, and that Saddam Hussein was not a Bin Laden clone, reasons for fighting vanished.

Once this occurred, historical comparisons emerged. Voters in the 9th CD started viewing the war in Iraq through the historical lens of Vietnam. While this analogy gave the anti-war in Iraq movement more scholarly gravity, it also turned the war into a highly emotional polarizing issue recalling feelings and stances raised during the 1960s after the Kennedy assassination.
The historical parallels were frighteningly clear. Even the Bush administration's rhetoric had a familiar ring.

For example:

1. The Johnson administration stressed the "light at the end of the tunnel[20]; Bush bragged "Mission Accomplished"[21]—until the American death toll rose over 1000.

2. The Johnson administration either called the North Vietnamese "Communists" or "the enemy"; Bush calls those forces fighting American armed forces in Iraq "insurgents" or "terrorists." [22]

3. The Johnson administration claimed it was defending democracy [23]; Bush wants to bring democracy to the Middle East [24].

4. Johnson and his administration viewed North Vietnam as being supported by a Communist conspiracy [25]; Bush views Iraq as a front in the War on Terror. [26]

5. The Johnson administration impugned the patriotism of any American opposed to the war. News reporter Garrick Utley[27] went so far as to accuse war protesters of giving "aid and comfort to the enemy." Such polarizing rhetoric—such polarizing views—helped divide the country.

6. Bush doesn't go as far publicly as Utley. But the inference is clear. Those not supporting the war are supporting terrorism, and the thugs behind 9/11. That makes them suspects, not patriots.[28] "Loyal opposition" is an oxymoron.

In both cases disagreement connoted disloyalty[5] [29]

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[20] Johnson's metaphor for the end to Vietnam; the term was used ad nauseum from 1965-1968

[21] Bush's statement aboard the aircraft carrier Abraham Lincoln, March 2003

[22] Usual terms heard on newscasts and in the Presidential debates

[23] Robert McNamara, LBJ's Secretary of Defense repeatedly speech stressed Viet Nam was a fight for Democracy

[24] Since there were weapons of mass destruction, Bush has stressed how America must bring Iraq Democracy, one battle at a time.

[25] Viet Nam excesses were portrayed as a fight to keep Communism from our shores. My former fiancé once asked, "When will the red waves reach our shores?" We parted company shortly afterward.

[26] Presidential Debates #1, September 30, 2004.

[27] Garrick Utley on NBC news, 1972

[28] At the onset of the war in Iraq those who were against the war displayed automobile stickers, reading 'Against the was and a Patriot.'

[29] Helen Thomas, quoted as the Shriver dinner December 2, 2004

The perception of the War in Iraq as a major front in the War on Terror, and the perception justifying the Vietnam War as the front line in the struggle against international Communism, resulted in additional historical parallels becoming campaign issues in the 9th CD. For example:

1. Foreign policies justifying these views relied on international "fear factors."[30] The Bush administration pointed to need to protect Americans in the wake of 9/11; the Johnson administration viewed itself as the guardian against Communism: the Cold War fighters.

2. And the international fear factor behind the passage of the Patriot Act brought back memories of the famous "enemies list" [30] of the Nixon Administration.

3. International reaction to both wars was the same: The world looked on with "shock and awe."[31]

4. Using History as a campaign strategy raised anti-war sentiment in the 9th CD to a fever pitch. Like Vietnam, History turned the War in Iraq into a gut-wrenching event that bitterly divided Americans.

How was this possible? Viewing the war as a latter-day Vietnam personalized it, made it more than horrible screen images. Both wars were alive, well and tormenting the voters of the 9th CD with images of casualties, deprivations, and war crimes.

The 9th CD's age demographic also played an important role. This district routinely elects progressive/liberals, many of whom were alive during the 1960s and 1970s and against the Vietnam War. Some are Vietnam veterans.

Vietnamese refugees live in the part of the 9th on Chicago's north side lakefront, in the area surrounding Schakowsky's Chicago office. Refugees

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[30] President Nixon kept an "enemies list." Some very unlikely people were discovered on it, including actress Carol Channing and my brother, at the time a struggling physicist.

[31] Bush's comments upon announcement of the war

from other nations in S.E. Asia abound in this area; refugees from other countries empathize.

Northwestern and Loyola University are located in the 9th CD. The War in Iraq churned fears that the draft would be reinstated.[32]

The War in Iraq churned up memories of Vietnam, re-opening old wounds, resulting in a visceral repudiation of the war and personal hatred of this administration, and for all it stands in the 9th CD.[33]History thus brought the war to life--and to the streets of the 9th CD.

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How did the War in Iraq affect other campaign issues? It made it possible to raise other historical parallels because the war affected such issues as domestic policy.

When Bush took office in 2001 the budget treasury had a surplus. There was talk of paying off the national debt. Today there's a trillion dollar deficit. Only President Herbert Hoover at the onset of the Depression presided over an economy that sustained a larger net job loss.

The War in Iraq made it easy for Bush to channel funds that might have been designated for domestic programs to the military. The tax cuts further complicated the problem because decreased tax revenue meant reduced funds were available for Federal programs.

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32 Rumors of the Draft returning were so prevalent that Bush denied them in the 2nd Presidential debate
33Congresswoman Schakowsky's office borders a large Vietnamese neighborhood; Many of her constituents served in Viet Nam.

Some the deficit may have been unavoidable. Everything, including the economy changed for the worse in the wake of 9/11. The collapse of Enron, WorldCom and Tyco resulted from corporate greed.

But the Bush economic programs raise troubling questions, again bringing up issues thought long ago laid to rest.

For example:

1. Are the tax cuts welfare for millionaires, or a return to pre-Depression economics?

2. Is the government in the process of dismantling the New Deal and returning to the pre-New Deal policy attempted by Herbert Hoover?

3. Is the corporate tax cut policy either the way to stimulate the U.S. economy, in the "What's good for General Motors" mold, or part of the "big lie"?

4. Is the Federal Government actually returning to a pre-Depression model, a Fascist model?

Since 1933, Federal social service policy followed the model created by the New Deal, making the Federal government the font of social services. Though the NRA was declared unconstitutional in 1937[7][34]the War on Poverty continued the Federal government's preeminence as America's funder of social services.

The tax cuts flew in the face of New Deal/ community action policy. During the Election 2000 campaign, Bush stressed he wanted to put money back in the pockets of working people.[8][35]There was the inference that social services could be more efficiently used at the local level. But many saw it as

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[34] The NRA was declared unconstitutional as a result of the Schecter case which stipulated the Federal Government could not intervene in matters usually settled by the state.

[35] The largest number of tax cuts went to t hose Americans, making over $200,000

corporate welfare to millionaires, taken out of the programs for the less well off. How can diminished social services serve those who rely on them if cost-cutting and the war in Iraq continues?

All of this re-echoed Hoover's and Coolidge's policies. They also brought to mind Reagan's objection to federal regulatory agencies.

The Great Depression looks warm and fuzzy when seen in Busby Berkeley extravaganzas, or in holiday staples "The Man who came to Dinner," and "Annie." It wasn't.

Ernest Conlin, historian, noted the employment rate rose to 25% before the New Deal.[~~9~~36]For those 9th CD residents born between the years 1915-1935 the Depression remains a living memory. For the unemployed and those in danger of becoming unemployed the specter of the Depression, without New Deal style programs, has become a recurring nightmare.

The war in Iraq made matters worse. Precious funds that might have gone to domestic social programs were diverted to Baghdad as body armor or spare parts. As Germany's Chancellor Otto Von Bismarck, said in the early 1870s, "Guns before butter."[~~10~~ 37]

Bismarck affected American social policy significantly. In 1889 he created the original social security program. The Chancellor implemented this program, to stave off his fear of a revolution imperiling the German Empire.

Roosevelt based American Social Security on the Bismarckian model. Penniless old age is averted because the younger/working generation pays their parent's generation's Social Security pensions through payroll

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[36] Joseph R. Conlin, *The American Past*, Vol. II, The Learning Center, 2001..

[37]The German Chancellor believed it was necessary to prioritize needs. Guns and war came first.

deductions. When the children reach retirement, they'll be supported, in turn, by their own children. The Social Security model presupposes an ever-growing population.

But the "baby boom" ended in 1964, and the fate of Social Security has become an on-going campaign issue. With fewer children to support the aging baby boomers, many feared the Social Security fund would run dry. Presidential candidate Vice President Gore promised to place Social Security funds in a "lock box"; Bush suggested private investing of Social Security funds by the taxpayer to keep Social Security viable.[38] But Bush's solution siphons funds out of the Social Security pool, possibly leaving today's older generation with reduced retirement funds.

For the many senior citizens and middle aged workers in the IL 9th, this was all-too-reminiscent of the late 1920s. The decline in the stock market, mutual funds, and bond market further eroded many senior citizens' retirements.[39] For those who lived through the Depression this was a ghastly *déjà vu.* Such historic reminders worked in the Democrats' favor.

Strangely enough the Republican and Democratic views resembled each other; the major difference was the effect of the policy. Those supporting tax cuts and privatization pointed out these cuts put more money in the taxpayers' pockets, thereby stimulating demand for goods and services, in turn creating jobs and more money for social programs.

Their image of the economy harks back to a perception of more stable times, and a type of nationalism/patriotism exemplified in Thomas Jefferson's view that "the government that governs best governs least," or Stephen Decatur's comment, "my country, right or wrong." It's a stirring evocation of the

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[38] This comment showed up during the Election 2000 debates. It may well be some of the "political capital."

[39] I recently spent 17 days in an assisted living facility. Many of the seniors complained how the stock market had drained their retirement funds.

American past: a past of Fourth of July parades, brass bands, and Christmas carolers on the village square.

Jefferson believed the federal government has little place in local matters, and the economy flourishes when the citizenry controls the economy at the local level. The federal government should confine itself to foreign policy, coinage, and national transportation.

Love of country, as Decatur pointed out, is unconditional. Questioning only leads to instability. Excessive federal funds spent on social programs result in excessive waste.

A strong local economy, as touted by supporters of Bush's tax cuts, results in stronger local social services. Needs are pinpointed and directly addressed at the local level. All of this evoked images of the America portrayed in Thornton Wilder's "Our Town."[~~13~~40]

Part of the "Our Town" image also relies on faith based organizations, as often portrayed in movies produced between the 1930s and the 1950s. Kindly priests with Irish accents take in waifs; nuns teach children how to wield catchers' mitts; strong-minded ministers with hearts of gold help teens become responsible adults, knowledgeable in the pride of self sacrifice.

But absent from this picture are non-whites and non-Christians.

The image of History resulting from the Democrats' fears about the 2004 economy recalls how the New Deal eased Depression. New Deal-type social programs provide the economic basis for a future that envisions divergent cultures living peacefully, sharing and learning from each other. It's a future that "celebrates diversity"[~~14~~-41]because everyone within it has the necessities

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40 Thornton Wilder, *Our Town*: *A Play in Three Acts*, NY: Perennial Press, 1998
41 Comment made by Francis Cardinal George, DePaul University, 1998.

of life. The Democrats also base their image on Thomas Jefferson, "All men are endowed by their Creator with certain uninalienable rights, and among these rights are life liberty and the pursuit of happiness."[42]

Religious tenets may inspire civic duty and responsibilities but they don't dictate public policy. Federal and local governments work together to provide social services and opportunity for individual aspirations. Individual lifestyles are not a matter for public debate, as long as decisions on how to live are made by consenting adults.

The Democratic Party created a historical image fondly recalling the New Deal, while harking back to Thoreau's essay, *Walden*. [43]This form of nationalism envisioned America as the enhancer of individual aspirations, which may or may not appeal to the majority. As Thoreau said, "If a man does not keep pace with his companions it's because he steps to the beat of a different drummer. Let him step to the music that he hears, however it be distant and far away." Behold the American nationalism of the 1830s and 1840s!

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Two views of American history emerged underlying the concepts of nationalism, each evoking its characteristic view of the individual.

The people living in Thornton Wilder's *"Our Town"* didn't concern themselves with events outside of Grover's Corner. They solved local problems, remaining unconcerned with the larger national scene. They accepted tragedy, loss and death as inevitable, rarely giving vent to emotions, rarely questioning.

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42 The Declaration of Independence, Introduction

43 H.D. Thoreau, Walden, Walden, NY: Houghton Mifflin, 2004, First Published 1854

"Our Town's" characters have grit, stamina and pride. They're individuals but they don't question the church and they don't question the government. The largest social problem appears to be the choir director's alcoholism, and the poverty in "Polish Town." Individualism is confined within the local sphere; dissent is outside the realm of possibility.

In the first act of "Our Town" Emily wonders if she is pretty. Her mother answers she is "pretty enough for all moral purposes."[17] Would Emily's family support gay marriage or abortion?

While the hymn "Blessed be the bond that ties our hearts in Christian love" runs through "Our Town" as a leitmotif, the Poles are considered a separate group, a poorer group in Grover's Corners[18]. How "Our Town's" protagonists would have viewed immigration rights?

A "disconnect" exists between Grover's Corners and the federal government. It's assumed that the government works for the individual, and the individual's duty is to support the government. Patriotism implies *unquestioning* acceptance of the *status quo*, and a life outlined by the values of Puritan New England.

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But if the individual views American history from the Democrats' perspective, individualism means questioning the environment--including the federal government.

During the 1830s and 1840s, Americans literally binged on reforms. Women's rights, unionization, and care for the insane were just a few of the causes that became *causes Celebes*. If these reformers were transplanted to

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[17] Our Town, Act I
[18] Our Town, Act I

the 21st Century they would easily join campaigns for choice, gay marriage, equal education, and civil and immigrant rights.[19]

Civil disobedience as practiced by Emerson, Thoreau, and the Abolitionists transformed dissent into a moral imperative. Acceptance of slavery was tantamount to sin. Individual growth demanded questioning the *status quo*.

The Abolitionists viewed questioning and activism as articles of faith, as well as a patriotic duty. In the words of Julia Ward Howe, "Our God is marching on! Glory, glory hallelujah…"[20]

The Democrats' view of history resulted in images of nationalism that created the citizen gadfly. "Moral purposes" demanded speaking out for the public good.

In the words of the late folk singer and writer Phil Ochs:

"I won't say who's to praise and who's to blame
When I'm gone
So I guess I'd better do it
While I'm here"[21]

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[19] This was part of an international movement; In England the Bronte sisters and Harriet Taylor worked for women's rights; George Sand gained acclaim as a novelist, living openly with Frederic Chopin; the Princess de Lieven ran the Russian Embassy.

[20] Howe, the Battle Hymn of the Republic, composed c. 1861.

[21] Phil Ochs, "When I'm Gone" This song the concluding song on WFMT's midnight special was written in the 1960s, as a protest to Vietnam. Ochs committed suicide in 1970.

HISTORY AS POLITICAL TOOL: DÉJÀ VU![22]

Campaigns framed and driven by History seem to take on a new dimension, adding a new subject area to the study of campaigns and elections. But Election 2004 wasn't the first election to be driven by History.

Close to two centuries ago, the French used their nation's history to justify political action. The history of France and the French Revolution became the battleground between French Liberals and Conservatives during the French Restoration, 1815-1830. The Liberals won when they succeeded in proving to the public the French Revolution had roots in French history, serving as a precursor to creating a French constitutional monarchy.

While the French Restoration doesn't receive the attention reserved for the French Revolution, and is one of the less known eras in French History, that almost forgotten era serves as a model for how History functioned as a political campaign tool.
Why compare campaign tactics in Election 2004 with politics in a Bourbon monarchy? The resemblance between the use of history during the French Restoration and Election 2004 is eerie.

1. Both eras revered the documents that laid the foundation for their government: In America, the Constitution: In France, The Charter.

2. Both eras began under rule by forces outside the election process.

3. Both eras were led by executives who were not popular with large segments of the citizenry.

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22 There were other Historical and literary issues addressed during the French Restoration, each with the intent of bolstering the Liberal cause. For the purposes of both brevity and clarity I'm limiting this discussion to those most germane to Election 2004. My personal thanks to Professor Stanley Mellon one very rigorous, but fair, dissertation director. Thanks for the inspiration.

4. Both eras shared concerns about religion's role and relationship to the government.

5. Both eras shared concerns about the media's role in politics.

6. Both eras shared concerns regarding the citizenry's and the media's right to freedom to publish and criticize the government.

7. Both eras shared concerns about education.

8. Both eras' leaders believed society would survive only if everyone adhered to the same moral compass: their government's moral compass.

9. Both eras possessed leaders who clothed themselves in sanctimony, believing the right to lead a birthright because God granted them the right to lead, despite the electoral process.[23]

10. Both eras' leaders demonized liberals as immoral because the liberals didn't meet government supporter's standards.

"In short," as Charles Dickens pointed out while making a similar comparison between pre-Revolution France and Victorian England, "the period was so much like the present period, that some of its noisiest authorities insisted on its being received, for good or for evil, in the superlative degree of comparison only."[24]

The resemblances continued:

1. Conservatives held power in both eras.

2. Liberals used history as a tool to prove their views and cause were just.

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[23] Bush's first inaugural speech was replete with allusions to "reaping the whirlwind."

[24] Dickens, 983

3. Liberal use of history as a campaign tool redefined the individuals' responsibilities and role in national history.

4. Liberals used history to humanize the historical demons.

5. Liberals in both eras used history to regain and legitimize their use of power.

But both eras differed in how they used History. Republicans and Democrats alike in Election 2004 relied on historical analogies to make their arguments; French Liberals and Conservatives first used historical theory, and then employed analogies to prove their respective views of history.

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French Conservatives held the upper hand after Napoleon's defeat at Waterloo in 1815. With Napoleon safely in exile on St. Helena's island, and Louis XVIII safely reinstalled on the throne, thanks to Count Claus Metternich and the Concert of Vienna, the French Revolution's reputation sunk to low ebb.

The French Conservatives had plenty of ammunition, plenty of historical precedents. Ancient Greece provided the first. Socrates in 5th century Athens noted that all revolutions begin as reform movements, ultimately remove the sitting executive, and then descend into chaos and dictatorship. Stability returns only when the rightful descendents of the martyred executive are returned to power.[25]

Scottish philosopher David Hume provided additional anti-revolutionary rationale in *The Stuarts*[26], a history of the English Stuart dynasty, which

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[25] James Fahrenbach et. al., Rhetoric and Civilization, Vol. I, DePaul University, 1986, Chapter 1.

[26] David Hume, The Stuarts, Volumes VI-VII, The History of England, Oxford and London: D.A. Talboys & Wm Pickering, 1826

included an account of the English Civil War. Speaking of the latter, Hume postulated that all revolutions "sooner or later" fall under the rule of a dictator.[27] Echoing Socrates Hume believed peace is restored when the rightful dynasty is restored.

Further, Hume humanized the characters, painting Charles I as a "virtuous" king, a good father, and a fine man. Cromwell lacked these attributes.[28] In short, the history of the English Civil War was likened to "Gone with the Wind," and reduced to a battle between personalities: Charles I vs. Oliver Cromwell; Ashley Wilkes vs. William Tecumseh Sherman.[29]

Hume's interpretation of English history was popular in France, immediately after its publication in c.1750s. As early as 1789, pamphleteers were already worried about the fate of Louis XVI and Marie Antoinette. By 1791, Edmond Burke published his anti-Revolutionary comments, *Reflections on the French Revolution*.[30]

Even Maximillien Robespierre found it necessary to deny that Louis XVI was a latter-day Charles I.[31]

After Napoleon settled down to designing battlements at St. Helena, while eating a diet spiced with arsenic, French Conservatives finalized a model of Revolution loosely based on Hume's work.[32]

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[27] Hume, VII, 194; Lawrence Bongie, David Hume: Prophet of the Counter Revolution, Oxford at the Clarendon Press, 1965, xviii.

[28] Judith-Rae E. Ross, Anglo-French Encounters: Images of the English Civil War in France, 1789-1848, University of Illinois at Chicago, 1978, 36

[29] Note that Gone with the Wind refers to the Southerners as Cavaliers, the title of the Royalist forces in the English Civil War. My apologies to actor Trevor Howard who was anything but a dreamer. He died a hero serving Great Britain in World War II.

[30] Burke notes that the young Louis and Marie entranced the court at Versailles. He berates the age that could treat the royal couple so poorly.

[31] Robespierre as quoted in Ross, 24.

It was elegant in its simplicity. Conservatives defined Revolution as a cyclical event having no roots, no justification. Once it strikes, revolution interrupts History, bringing chaos, death and destruction in its wake. These abate only when the pre-Revolutionary structure is restored, the malcontents punished.[33] In short Revolution is history's version of the hurricane.

Accepting this theory meant:

1. Nothing achieved during the French Revolution had merit.

2. The French bourgeoisie and literati were responsible for all the death and destruction because of their calls for reform.

3. Napoleon was nothing more than a war criminal.

Further:

1. Individual rights were highly suspect.

2. Toleration was in jeopardy.

Yet everything wasn't lost. Upon returning to the throne Louis XVIII granted France the Charter, *La Charte,* giving France a written constitution. While the government monitored dissent, supported a state Church, and employed censorship,[34] French Liberals moved the battlefield to another venue: the classroom and the library. The pen proved mightier than the sword.

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[32] The Wall Street Journal in 1970 broke the story on the French finding traces of arsenic in Napoleon's hair. They were not amused!

[33] Ross, *Encounters*, 29

[34] Cf Stendhal, *the Red and the Black,* NY: Penguin, 2002

The French Liberals had three tasks:

1. Identify the role and justify the actions of the 3rd Estate, especially the bourgeoisie, in French history.

2. Find historic roots for the French Revolution.

3. Validate the French Revolution.

Each of these tasks intertwined with the others, yet each required detailed research in separate areas of history.

French historian, later turned politician, Francois Guizot played a pivotal role in accomplishing all three tasks. Born in Nimes in 1787 and a Protestant, Guizot became one of the most popular professors at the Sorbonne until 1822. His historical theories bolstered Liberal causes, and they played a significant role in shaping French history in the 19th Century.

Guizot viewed history as linear. Events resulted in further events, each a step on the way to a desired goal. This view of history had ancient precedents. Saint Augustine saw a similar progression in *City of God*.

But where Guizot differed from the Augustinians was his belief that the evolution of social and political movements could be traced through the study of history.

Guizot addressed the first of the three tasks in his series of lectures *The History of Representative Government in Europe.* These chart the growth and triumph of the middle-classes and representative government.

The bourgeoisie grew out of feudalism's collapse, just as the aristocracy grew out of the chaos engendered by the collapse of the Western Roman Empire.

As a new and urban class, the bourgeoisie represented largely commercial interests often allying itself with the monarch against the aristocracy. As urban and commercial interests grew the bourgeoisie demanded more decision making roles, hence the growth of representative government.

The French Revolution was the point at which the French bourgeoisie reached class dominance, triumphing over the French aristocracy in the process.

Guizot charted the growth of the bourgeoisie as an evolution culminating in class hegemony.[35] His theory of class dominance laid the foundation for Karl Marx' and Alexis DeTocqueville's historical theories. Marx saw the bourgeoisie's dominance giving way to the proletariat; Tocqueville saw French bourgeois supported constitutional monarchy--the July Monarchy--being eclipsed by American style democracy.

Further, since the French bourgeoisie, the newest class, continually fought for representation, they were the agents for representative government; ultimately displacing the aristocracy oligarchy. And by the beginning of the French Restoration the French aristocracy definitely had an image problem.

Memories of pre-revolution behavior still resonated. For example:

1. Charles Dickens related a chilling story in *Tale of Two Cities.* It concerned a French aristocrat who after running over and killing a peasant child, threw some gold coins at the grieving father and drove away without stopping. The Boz wasn't using poetic license. This tale was based on a real incident.[36]

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[35] Guizot contended that the middle-classes triumphed over the aristocracy in the wake of the French Revolution. Alexis DeTocqueville and Karl Marx took this a step further. Tocqueville believed that middle class constitutional monarchy would be superseded by a republic; Marx predicted a classless society.

[36] Dickens, *Tale,* 1021; The account surfaces in the memoirs of Alexis DeTocqueville's father, Count Herve DeTocqueville. Discussion Mellon and Ross, c 1979.

2. One noble faction, *Les Hobineaux,* wished to restore all feudal aristocratic rights, including First Night Rights.[37]

3. The pre-Estate General *Cahiers Des Deleances* repeatedly note that the peasantry resented the Nobility's dove coats. French law forbade the peasants killing the Seigneur's pigeons. But these pigeons often feasted on the peasants' grain, and starvation resulted.

4. Rumors abounded about the political prisoners kept permanently imprisoned in the Bastille.[38]

5. The sumptuous life at Versailles contrasted sharply with life in Paris' Faubourg Saint Antoine.

6. The affaire of the diamond necklace destroyed Marie Antoinette's reputation, and much of the aristocracy's in the process.

7. Little aristocratic snubs rankled. Aristocrats addressed non-aristocratic women as Mademoiselle, even if the lady was a grandmother.

Each of these points made it easy to understand why the vast majority of the French had little trouble viewing the bourgeoisie as defenders of French freedom. Guizot's work made it easy. It gave the bourgeoisie an honorable history, and with that history, roots and legitimacy.

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But discovering how the bourgeoisie and representative government played a legitimate role in French history failed to exonerate the French Revolution. That event still remained History's equivalent to Hurricane Andrew, leaving the ruins of bourgeois dominance and representative government in its wake.

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[37] Hobineaux means sparrow hawks, poor nobles with blue blood; first night rights mean the right to a peasant girl's virginity. She was returned, usually in shock to her husband the next morning.

[38] Dickens alludes to this in Tale; At the time of the Bastille's storming only 7 men were incarcerated in the Bastille. the accommodations were deluxe; Starvation wasn't a problem: That "big House' had the best pastry chef in Paris.

During the French Restoration, David Hume's account of the English Civil War in France evolved into an historical anti-Revolutionary model that crystallized into historical holy writ.[39] Justifying the French Revolution meant finding a new interpretation of the English Civil War to supersede the Hume model, while maintaining the analogy between that both events. What was required was a new model, taking the French Revolution out of the "Perfect Storm" category, returning it to the province of human history.

A daunting task to be sure, but nonetheless it was "mission accomplished" in nine years. Discovering how French historians reinterpreted the French Revolution through the lens of the English Civil War sheds light on how History functioned in Illinois Election 2004.

What follows is a detailed analysis of how this re-interpretation took place. It takes somewhat Hegelian form. Three individuals are involved:

- Thesis, one muse, Abel Francois
- Antithesis, one gadfly, Johann Peter Frederic Ancillon
- Synthesis, the historian who succeeded in creating a liberal model of the English Revolution, Francois Guizot

Guizot's history not only vindicated the French Revolution, but revolution in general. Let's leave the Illinois 9th CD and journey to another time and place, because the key to understanding Election 2004 may well lie in the French Restoration.

THE MUSE AND THE GADFLY

THE MUSE: ABEL FRANCOIS VILLEMAIN

[39] It should be noted that the model was based on *The Stuarts* as interpreted by French historians. The Scottish philosopher might well have been horrified at the lengths to which these Historians went. Ross, Encounters, Chapter 2, 22-47.

Abel Francois Villemain was a lawyer by training, a linguist and professor of literature at the Sorbonne during the early Restoration, 1816-1820.
In his nearly 80 years of life, Villemain would serve as minister of education, and the head of the French Academy. He attempted unsuccessfully to separate the French education system from the Church. This wouldn't occur until 1905

After Waterloo, Villemain taught literature at the Sorbonne. At that time new sources came to light on Oliver Cromwell, the man often likened to Napoleon: dictator in the Hume-inspired, anti-revolutionary model.

These sources piqued Villemain's curiosity. What was Dictator Cromwell like? Was he a human being, or a force of nature? How did Cromwell's personality develop during the English Revolution?

The Hume-based model viewed Cromwell as a force for evil. But what if Cromwell, the human being differed from Cromwell, force of nature? Villemain, who knew Napoleon, understood the Emperor's humanity. The Little Corporal was a charismatic human being, not the evil force of nature portrayed by the Hume model. For Villemain, the force of nature argument just didn't compute.

L'Histoire Cromwell portrayed the Lord Protector as human, the 19th Century equivalent of the novel, *What makes Sammy Run?*.[40] In effect Villemain's work started another process: the unraveling of the Hume-based model.

And how did that occur? Villemain inspired Guizot, in that process becoming Francois Guizot's muse.

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[40] Budd Schulberg, What makes Sammy run? NY: Vintage Reissue, 1993. First published in 1937.

THE MUSE'S INSPIRATION

In 1819, Abel Francois Villemain published *L'Histoire Cromwell.*. Since the biography never was translated into English, one modern historian, Jean Dominique Malvoie, claimed it was "quickly forgotten."[41]

Malvoie was wrong. *L'Histoire Cromwell* received good reviews in both France and England. Villemain's biography affected Cromwell studies in everything from History to theater to children's literature.[42] Further, it began the process that discredited the Hume model eventually led to legitimating revolution.

Villemain noted in Cromwell's introduction that new sources and interpretations had come to light that he wished to use in his biography. There are chapters in which discussions of sources are interspersed events in Cromwell's life.[43]

But what separates Villemain's work from other French biographies of the early 19th Century is Villemain's question: at what point does Cromwell become an "absolute ruler?"[44]

Villemain's question implies nothing was clear at the outset of hostilities of the English Civil War. In fact Villemain points out had Charles prosecuted the war differently he might have kept his head.[45] By introducing uncertainty

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[41] Jean Dominique Malvoie points out even Victor Hugo never mentions Villemain's work. But everybody else did.
[42] Ross, *Encounters,* 93-106
[43] Abel Francois Villemain, *L'Histoire Cromwell,* Paris: Chez Maradan, 1819, Introduction.
[44] Ross, *Encounters*, 90
[45] Villemain, *Cromwell*, I, 14-15.

into the revolutionary equation, Villemain delivered the poison pill to the Hume model. No formula/equation can tolerate uncertainty.

Asking at what point Cromwell became a despot reveals that:

1. Cromwell wasn't born a despot.

2. Cromwell wasn't a cog, a formulaic part of a process.

3. Events influence human action.

Villemain denied the usual maxim that Cromwell became a despot as a result of orchestrating Charles I execution. "Old Ironsides" believed Charles I's death to be God's will.

Instead, the Irish expedition in 1649/50 proved Cromwell's undoing. Describing how the Irish expedition afforded Cromwell "the first occasion for despotism…new glory… and booty," Villemain claimed Cromwell "returned…a foreign conqueror with all the passions and means of absolute power."[46]

This assertion resulted in yet more troubling questions:

1. What would have occurred if Cromwell hadn't led the Irish expedition?

2. How would Cromwell have been a different ruler had he not become a megalomaniac?

3. If Cromwell ruled differently, would the Stuarts have returned from exile?

And those questions started unraveling the Hume inspired model.

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[46] *Cromwe*ll I, 274-275; *Encounter,* 91.

French conservatives probably cringed: Villemain portrayed Oliver Cromwell as an empathetic, somewhat tragic figure. And if Cromwell wasn't the devil incarnate, what about Napoleon?

Worse, the revolution took on a life of its own. Villemain speaks of a process.[47] He's remains critical of the Lord Protector at the end of his life in terms reminiscent of David Hume's *Stuarts*.[48] But Villemain's view of revolution makes the Hume-inspired model appear simplistic by comparison.

The whole equation changed. Before the publication of *Cromwell* both the pre-revolutionary and anti-revolutionary factions accepted the conservative Hume model. Villemain reopened the question over the nature of revolution and humanity's relation to it, making it possible for the French to view the French Revolution to be the result of well intentioned reforms. The revolution failed not because of a pre-ordained formula but because of human foibles. Maybe it turned out to be the road to Hell, but that road was indeed paved with good intentions.

Once revolution became viewed as the interplay between events and humanity the French Revolution became an integral part of French History. It had roots in the events that occurred prior to 1789.

Oliver Cromwell, although destroyed by his conflicted nature, was seen by Villemain as a man who had wished to stabilize a nation but had struggled with forces beyond his control. With one biography, the Lord Protector went from being a cog to an empathetic, almost tragic character.

Villemain's biography signaled a shift from viewing revolution as a philosophy to viewing it as the interplay between humanity and circumstance. And from

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[47] Villemain, I, 233

[48] Villemain, II, 313; Hume, VII,250

this interplay it just might be possible to discover the limits of the human condition.

True, the Protector's reach exceeded his grasp, but the French took comfort in knowing that, like Cromwell, they had attempted to grapple with forces stronger and greater than themselves. Sometimes greatness comes by attempting the impossible. Humanity might not be totally powerless in the face of circumstance after all.[49]

Villemain's work on Cromwell was the first step of the unraveling process, but it neither showed the roots of the English Revolution nor placed it solidly within English history's mainstream.

It, however, accomplished:

- Turning Oliver Cromwell into a somewhat sympathetic human being.
- Portraying the revolutionary process as an interaction between human beings and forces beyond their control, thereby…
- Transforming revolution into a tragic process.
- Once revolution became tragedy it could be viewed in a sympathetic light, making it possible to…
- Empathize with the process.

GUIZOT'S RESPONSE

Francois Guizot continued Villemain's work. *L'Histoire Cromwell* not only provided both a clear-cut example of revolution's effect but also a glimpse into the revolutionary process. By revealing revolution's shape through its

[49] Ross, 93

effect, Villemain injected life, the human factor, into the revolutionary process.

Guizot continued humanizing the revolutionary process with the publication of *Collections des Memoirs Relatif de la Revolution D'Angleterre* (*Memoirs relating to the English Revolution*).[50] Publishing the first volumes in 1823, the complete collection encompassed 25 volumes by 1827.[51]

Fate also took a hand. On February 13, 1820, the heir to the French throne, the Duke de Berry, was assassinated. Grief-stricken, Louis XVIII dismissed his more liberal government officials, Guizot among them. Then, in 1822, the Inspector General of Education, Archbishop Fraysinous, deemed Guizot's teaching at the Sorbonne too liberal, and suspended his course.

Guizot hit the proverbial bottom. He had worked with the Bourbon government, hoping to further Liberal causes, all of which came to naught when the Duke de Berry died by an assassin's hands. But it may well be that out of these events Guizot found a new resolve, and a new mission: to understand and validate the French Revolution.

And how would he accomplish this? Unemployed and nearly broke, fearful that government's actions would spark yet another revolution, Guizot turned to the study of the English Civil War.[52]

Villemain revealed Cromwell's relationship to the English revolution; Guizot would show how the English Revolution affected other, lesser players in the English Revolutionary drama. The small illuminated the large. In each case, Guizot translated the writings of characters involved in the English Revolution

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[50] Francois Guizot, *Collections des Memoires Relatif de la Revolution D'Angleterre,* 27 V, Paris: Pichon-Bechet, 1827.
[51] Ross, 125
[52] Ross, 119

but provided an introduction, thereby giving Guizot the opportunity to provide perspective and clarify questions emerging from each memoir.

Showing revolution's shape through the eyes of individuals directly involved revealed the truth impartially but dramatically.[53] "There are," Guizot insisted, "ordinary men, obscure men, who must be known in order to know a time and a people. Truly public history is that of a people who have no history."[54]

Revolution's nature seemed incomprehensible during the early French Restoration, but understanding the immediate, the milieu, might lead to understanding the riddle that was revolution. Guizot sought to untie the Gordian knot one thread at a time.

One of the earliest volumes, a translation of Edmund Ludlow's memoirs, revealed the extent of Villemain's impact. Villemain asked "What transformed Cromwell into an absolute ruler?" Guizot asked "How could Ludlow, an honorable man, take part in the Regicide?"
The comparison continued. In reality, both sought the point at which their subjects encountered forces beyond their control.

Guizot explained how Ludlow became entranced by an ideal. He possessed "one of those narrow, stormy spirits which could scarcely admit to a single idea."[55]But once possessed, Ludlow followed his belief to his grave. His single-mindedness ultimately destroyed Ludlow's peace of mind.

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[53] Ross, 119
[54] Guizot, Hutchison Memoir, X, v.; It's truly startling how far ahead Guizot is of his time
[55] Guizot, Ludlow Memoir, VI, v-vi.

In concluding his introduction, Guizot discussed Ludlow's place in human history:

> I have shown as an example, among many others, the deplorable consequences of the spirit of faction and that impassioned obstinacy [implicit] within an *idée fixe* which credits neither laws, nor morals, nor past experience in its movement toward its goal. His fate was sad but not unjust.[56]

Edmund Ludlow preserved his integrity, sense of justice, and vision of liberty superior to most of his fellow Englishmen.[57] But Guizot also noted that Ludlow's life raised some troubling questions about ideals in a less-than-ideal society:

1. At what point does civilization clash with personal integrity?

2. Is the preservation of integrity possible within the confines of civilization?

3. Is exile the only fate for those who possess the high ideals of an Edmund Ludlow?

These questions raised a much more troubling question: Did the events of the English Revolution corrupt Ludlow or was the whole system innately corrupt? If the latter were true is not revolution the natural product of systemic corruption?

Guizot refused to follow his initial questions to their logical conclusions. Rather he continued to explore the effect of revolution on the characters involved.

In John Lilburne's case, the English Revolution had transformed Lilburne from a lover of justice who could exercise his right of dissent

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[56] Guizot, Ludlow, VI, xv.
[57] Ibid.

within society's confines to an idealist incapable of accepting the limits society imposes on all its members.[58] Lilburne and Ludlow, according to Guizot, exemplified what occurred when revolution corrupts ideals. The English Revolution made it impossible for either man to live within civilization's confines.

Guizot went beyond Villemain's exploration of the English Revolution's pivotal characters to explore people who played minor roles. The Hutchison memoirs allowed him to explore revolution's effect on the lesser lights of the age. "Here are not," he insisted, "the great events, but the men who appear [in lesser roles] the captains, the bourgeois, the doctors, the engineers, the clerks, their involvements, their intrigues."[59]

Guizot defined the human condition and actually used what would later be called psychoanalysis as a historical tool in this pre-Freudian appeared in his introductions to Archbishop Burnet's and Sir Thomas Fairfax' memoirs. In Burnet's introduction, Guizot noted, "revolutions begin fueled by fanaticism and end by leaving cynicism in their wake." Concluding, he laments, "the human condition is a sad one, faith blinds and experience corrupts it."[60]

Despite this gloomy critique, Guizot pointed out that the Archbishop survived the revolution with his ideals somewhat in tact. He attributed this to Archbishop Burnet always surrounding himself with honest, fair-minded people who may have helped him maintain his equilibrium.[61]

Revolutions tend to inspire some to become heroes, and in the introduction to his translation of the Fairfax memoirs, Guizot delved into the psyche of one of those men who emerged untainted by revolution's excesses.

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[58] Guizot, *Lilburne*, V, cclxxii.
[59] Ibid., V, v.
[60] Guizot, *Burnet*, XVIII, i.
[61] XVII, ii-iii.

He set the stage, commenting:

> In revolutionary movements there is more than one way to achieve power and glory. Some are raised because of their wisdom, foresight, sound judgment, audaciousness, fertile intellect, or force of character; others achieve prominence because they lack these qualities, because they are simpleminded, naïve, shortsighted, unable to understand and direct events, there are men uniquely suited to serve as revolution's instruments.[62]

Sir Thomas Fairfax fell into the second category, writing his memoirs to justify his collaboration in the very acts he wished to prevent. Guizot maintained that Fairfax:

…had been the fool and tool of faction, and yet the spirit of faction was totally alien to his nature; he sought no personal gain in either politics and war…When the war ended, the English had formed such a high opinion of his integrity and reputation that none of the acts committed in his name were imputed to him.[63]

Guizot also paid attention to those whom the English Revolution had thrust into prominence then, after the Restoration, returned to obscurity. Clarendon's works occasioned comments about the psyche of a man time forgot.[64]

The Earl of Clarendon played a large role during the exile of Charles II, but fell from power in 1667, his integrity sadly irrelevant in the English Restoration court. Guizot explained why Clarendon "recounted his life, not only because he had been great and wished to preserve the memory of his greatness, but to vindicate his judgments, actions and decisions."[65]

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[62] Guizot, *Fairfax Memoir*, V, ccxxxiii (1st quotation); ccxl (2nd quotation)

[63] cf note #54

[64] This may have been the forerunner of the "whatever became of.." column, popular in syndicated newspapers during the 1950s.

[65] Guizot, *First Earl of Clarendon Memoir*, XII, i-ii

Clarendon, like Ludlow, needed to explain his fall from grace. There's sadness in this memoir. Twice revolution cast Clarendon into exile—both occasions for love of his sovereign.

Guizot also wove into the introductions and translations essays on historical questions, including the precise point at which Cromwell decided on Charles I's death. When taken with the introductions to each memoir, *Collections* represented Guizot's statement concerning revolution's impact on humanity.

Villemain transformed Oliver Cromwell from an evil cog into a human being; Guizot likewise transformed many of the characters of the English Revolution into humans, and in that process further transformed the philosophical process into a movement viewed through human interaction.

Abel Francois Villemain inspired Guizot to view the English Revolution in human terms; the Duke de Berry's assassination provided Guizot with the motive and opportunity to proceed. But neither inspiration nor necessity was enough to justify revolution through history.

Guizot understood revolution's impact on humanity, but not revolution itself. And without a clear conception of the entity he strove to explain and defend, Guizot remained but a translator, not an historian. To become a historian would have required weaving all the insights gleaned from *L'Histoire Cromwell* and *Collections* into a cohesive interpretation that vindicated revolution. But while translating the memoirs, Guizot was, in reality grappling with the issues missing in the introductions.

Enter the gadfly! Guizot transformed from translator to historian because of anger, pure and simple. The object of that anger was Frederic Ancillon, author of *Tableaux des Revolutions*[66] *dans Europe* published in 1823.

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[66] Johann Peter Frederic Ancillon, Tableaux des Revolutions dans Europe, 4 Volumes, Paris: Anselin & Pochard, 1823, Volume III.

THE GADFLY: JOHANN PETER FREDERIC ANCILLON

Johann Peter Frederic Ancillon remains a shadowy historical presence. He appears to be the subject of only one scholarly work, published shortly after World War I. There was no mention of Ancillon in major history journal indexes from 1876-1978.[67] Frederic Ancillon's most recent appearance may have been in Charles Johnson's novel, *Middle Passage*.[68] The reference to Ancillon occurred when the demonic sea captain of an illegal slave ship lamented ironically that no one reads the works of Johann Peter Frederic Ancillon any more.

Although Ancillon is a prime candidate for the "Whatever became of…" column, his ultimate legacy may be the respect and admiration he elicited from all who knew him or his work. The Vicomte Chateaubriand praised Ancillon as "distinguished in every way."[69] Even Guizot praised Ancillon's "rare talent" and "high-minded intellect."[70] Strange praise for a gadfly!

Maybe Ancillon became Guizot's gadfly because he was Francois Guizot's mirror image. Both were Protestants. Ancillon, born in 1767, descended from a Huguenot family expelled from France in 1685. He studied theology at Geneva, and returned to Paris, becoming Pastor at the Church of Werder.

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[67] F. Hanke, "*J.P.F. Ancillon and Kronpriz Freidrich Wilhelm IV*" (Historische Bibliothek, Band 42 (Berlin & Munich, R Oldenbourg, 1919-1921.

[68] Charles Johnson, Middle Passage, NY: Scribner, 1990, 96. My thanks to the staff of the Skokie Public Library for the hours of work spent tracking down the page of this quote. My copy of Johnson disappeared; only the memory of the quotation remained. They searched and combed *Middle Passage* until the quotation was found. Thank you.

[69] Chateaubriand to Mme. de Duras 1-13-1821 in Louis Thomas (ed.), *Correspondence Generale de Chateaubriand* 5T (Paris: Honore and Eduard Champion, 1912), II, 106

[70] Francois Guizot (trans.), *Frederic Ancillon, De la Souverainte et des Formes du GouvernementsRoss* (Paris:1816), 11

Guizot, also of a Calvinist family, also went to Paris and played an active role in the French Calvinist church.

It appears Ancillon remained in France until the Napoleonic era when, under the protection of the King of Prussia, he went to Berlin to assume the post of tutor to Crown Prince, Friedrich Wilhelm IV. The fact that Ancillon required the protection of the Prussian king suggests he fled Paris. His decision to publish *Tableaux* in French despite being printed by a publisher in Berlin added to the impression that Ancillon had fled. Nonetheless, he loved France, regarding that nation as his ancestral homeland.

Ancillon returned to Paris in 1814 with the Crown Prince, Friedrich in tow. He continued to advise Prince Friedrich on foreign affairs, especially French foreign affairs, until the early 1830s. Ancillon died in 1837.[71]

The similarities between Ancillon and Guizot go beyond simply sharing the same religion. Calvinism colored both their scholarship and politics. Both viewed history as the discipline best able to give meaning to the past and provide guidance for the future; each developed an historical theory which they hoped would guide society along a safe and stable path; each believed in the power and the efficacy of the Christian religion as the moral basis for the future.[72] By explaining the past, Guizot and Ancillon sought to delineate those forces that would bring about a moral, stable society.[73] The past provided the bridge to the future.

Both men also believed that religion could not be separated from the rhythms of everyday life. The Calvinist, as one commentator on Calvin observed, was, "a more driven Christian, driven to live a life more in

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[71] Ross, 111

[72] Ross, 110; Thomas, II 25-26, 44

[73] Guizot to Barante 12-16-1823 in Mme De Witt (ed/), :Lettres de M Guizot (Paris: Librarie Hachett, 1884), 16; Ancillon, *Sovereignty Essay*, 11

harmony with stern biblical injunctions," and driven to create a society that enabled him to live in accordance with God's laws."[74] Ancillon's and Guizot's commitment to politics and their attempts to create stable "moral" societies may well have stemmed from their common religious beliefs.[75]

Each man possessed a detached outlook, held only by those who conceive themselves as sojourners in a strange land. Both men entered politics using their conceptions of history as the basis for their actions, and both men, ultimately, served their sovereigns as ministers of foreign affairs.

Yet neither felt comfortable in society; both were loners. The young Guizot kept a narrow circle of friends and, according to Stadler, was detached and condescending.[76] He would never win the love of his countrymen and his image remains one of an elitist, "the author of that unfortunate phrase *enrichissez-vous*."[77]

Ancillon suffered a similar fate. Pastor of a Calvinist church serving the German community in Paris, his nationality and religion separated him from French society at large.

Perhaps both men needed this distance. Those who gain full acceptance from their compatriots seldom feel the need to pose and answer questions about the meaning of life, humanity's relation to the universe, or the origins of particular political systems.

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[74] Ross, 113; Fred Graham, John Calvin: The Constructive Revolutionary, (Richmond: John Knox Press, 1961), 21-26

[75] Ross, 113

[76] Peter Stadler, "*Politik and Geschictschreibung in der Franzosichen Restauration, 1814-1830" Historiche Zeitschrift* 1955, 271; Stanley Mellon (ed.) Introduction, Francois Guizot: Historical Essays, in Leonard *Kreige*r (ed.) Nineteenth Century Historians, (Chicago: University of Chicago Press, 1971) xxii;

[77] Mellon, xxvii

Loneliness, in fact, may be the essential ingredient for all scholarship. The act of scholarship requires all scholars to sever ties and search, define, and delineate. Guizot and Ancillon conceived their thought systems while separated from society's mainstream.

The ideas of both men were firmly rooted in the present. Both loathed upheaval, and devised systems to ensure stability, and studied revolution in the hopes that their knowledge would prevent a second outbreak. Neither became mired in abstract theory.

One belief, one difference of opinion separated them, and that difference made *all* the difference. One tenet placed Ancillon squarely in the conservative camp; Guizot in the liberal.

- The Pastor of the Church of Werder wholeheartedly believed that humankind was evil, thereby causing him to see government as a necessary bulwark against humankind's baser instincts.

- Guizot, on the other hand, viewed humanity as capable of development under certain conditions, resulting in his of view government as a tool needed to facilitate human development.

The two men probably met after Ancillon returned to Paris in 1814. Guizot was already teaching at the Sorbonne and held a post in the government. As mentioned, Guizot respected Ancillon's intellect and scholarship, a respect revealed in Guizot's translation of Ancillon's *Essay on Sovereignty*[78] in 1816. According to Guizot, it was Ancillon's "rare talent" and "high intellect" that justified translation of this most conservative document.[79]

This translation also may have also been the gadfly's bite, sparking Guizot's interest in the history of the English Revolution. It may have also sparked

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[78] Ancillon, "Essay on Sovereignty" as translated by Francois Guizot, Paris, 1816 (no publisher given).
[79] Guizot, Ancillon, *SouveraigneGuizoty*, 11.

Guizot's career as an historian, employing history to accomplish political ends.

Prior to his appointment at the Sorbonne Guizot had been a literary critic and translator. One historian even suggested, "Guizot was named history professor before he became an historian."[80]

Guizot's *modus vivendi*: first translate primary sources or other's works, and then critique these works in an annotated introduction. The young professor was still developing methods of researching and writing history that suited him.

Guizot's translation also suggested that he lacked a clear-cut conception of how revolutionary process worked. Revolutions remained "visitations of providence"[81] beyond human understanding. For Guizot revolution remained the political equivalent of Hurricane Andrew. The best humankind could do was to discern revolution's causes, so as not to precipitate the revolutionary whirlwind.

But Guizot had gained an historian's perspective by translating Ancillon's essay. That perspective is reflected in two crucial insights. After this translation Guizot believed:

- Representative government to be a viable political form.
- English history provided a relevant example to the French.

Thus, Ancillon played a vital role in transforming Guizot, translator and literary critic, to Guizot, historian in 1816.

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[80] C.A. Pouthas, *Guizot pendant la Restauration*, (Paris: Librarie Plon, 1823, 8.
[81] Guizot, Ancillon, *Souverainte*, 5

Thanks to Ancillon, Guizot had discovered an historical topic valuable to the French nation, struggling to sort out it's identity in the wake of the French Revolution. By November, 1816 Guizot published a pamphlet presenting his own thoughts on representative government.[82]

Guizot asserted that British government emanated from a "fusion of power" centered in Parliament. The civil war and regicide occurred when the Stuarts expanded their prerogative, thereby creating an imbalance in the British government; that imbalance resulted in the bloodshed.[83] Guizot thrust his point home, by asserting that all revolutions occur when one branch of government attempts to usurp the functions and powers of the other branches.

But revolution itself still didn't interest Guizot. Rather, he concentrated on representative government's development as a deterrent to revolution.

Villemain's biography of Cromwell proved to Guizot that the English and French Revolutions were analogous. All revolutions possessed logic, and studying British history would help the French discover those elements that resulted in British stability. Like an earthquake, it revealed old layers of injustice, allowing the French to see their own past errors.[84]

Again, Guizot moved quickly. In 1820, he wrote lectures that brought to light representative government's historic struggle to regain its rightful place in European society.[85] He was in the process of devising a course directly comparing English and French governmental development when the Duke de

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[82] Guizot, "Sur le Gouvernements Representatif" in *Mélanges* (Paris: Michel Levy, 1864) 33
[83] Ibid., 48, 50-51
[84] Guizot, Ancillon, *Souverainte*, 8
[85] Ibid., 11

Berry was assassinated, and Archbishop Fraysinous suspended his teaching duties.[86]

At that point historian, Guizot, reverted to his earlier format: translating documents; writing detailed introductions that acted as a critique. He continued his research the English Revolution, by embarking on the publication of his series, *Memoires Revolution D'Angleterre.*

Guizot reverted from historian to translator and literary critic for excellent reasons. Translating the English Revolution primary sources:

- Provided Guizot with a living.
- Enabled Guizot to become well acquainted with characters involved in the English Revolution.
- Enhanced Guizot's reputation as an authority on the English Revolution.
- Kept Guizot out of Archbishop's Fraysinous' clutches.

What made Francois Guizot so angry with Ancillon's *Tableaux*? Johann Peter Frederic Ancillon viewed revolution and history in much the same way as Guizot, but used these same views to deny representative government's and revolution's validity.

As both men's ideas mirrored each other, Ancillon's work threatened Guizot's ideals and integrity. Everything he held dear was at stake. Guizot had to disprove Frederic Ancillon to save his own soul. In 'lingua soap opera,' Frederic Ancillon was Guizot's evil twin, and failure was not an option.

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[86] Pouthas, 260-265

So while Guizot, translator and critic continued publishing *Memoires,* Guizot the historian wrought his sources into his interpretation of the history of the English Revolution, *Revolution D'Angleterre* that refuted Ancillon's assertion… like the Farmer and the Woodman of Dickensonian fame, the translator and the critic worked silently and purposefully.

THE GADFLY'S BITE

Ancillon, although familiar with the Hume-inspired anti-revolutionary model, employed an argument that echoed Guizot. Like Guizot, Ancillon viewed revolution as a linear process, beginning with the *Magna Carta*. Guizot charted the growth of representative government; Ancillon revolution.

As Ancillon saw it, representative government or, as he termed it "mixed government," was revolutionary because it conflicted with the original (unwritten) British constitution. This revolutionary process grew, fueled by the monarch's encroachments on aristocratic privilege, reaching its apex when Edward III ceded the right to levy taxes to parliament in return for their support in the King's struggle against the aristocracy.[87]

Henry VII's victory at Bosworth Field in 1485 ended all movement toward mixed government, Ancillon contended. With the nobility crushed and the middle class quiescent, the Tudors reigned unchecked. Thanks to Elizabeth I's gift for ruling, Ancillon added, Good Queen Bess "chained the entire nation to the throne."[88] Elizabeth didn't recall Parliament after 1588; mixed government existed only in theory.

Mixed government, Ancillon believed, would have disappeared entirely had it not been for the rise of the middle class, which prospered under the Tudors

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[87] Friedrich Meinecke, J.E. Anderson (trans), *Historism*, London: Routledge Kegan Paul, 1971, 77
[88] Ancillon, Tableaux, III, 290-295

rule, often at the expense of the aristocracy. As the nobility's fortunes declined during Elizabeth's reign the middle classes grew stronger. By the time of Charles I ascension to the throne in 1624/25, the middle-classes invoked the theory of mixed government in their attempt to gain political power.[89]

This attempt clashed directly with Charles' use of his prerogative as defined in the unwritten English Constitution. Thus Ancillon contended that the English Revolution resulted from a waning tradition reinvigorated to support the pretensions of the middle class. Charles' heavy reliance on the royal prerogative, according to Ancillon, was justified because no limits on prerogative had ever been defined.[90]

Charles I's character posed problems for French Conservative and Liberal historians alike. While no one disputed either Charles' virtue or his courage on the scaffold—especially in an age still in mourning for Louis XVI—Charles' betrayal of the Earl of Strafford, his duplicitous conduct toward Parliament, and his attempt to flee the country made it incumbent on historians regardless of political persuasions to explain why that monarch lost his head in 1648/1649.[91]

Ancillon's characterization of Charles both resembles Guizot's format employed in *Memoires*, and eerily foreshadowed the politics of the personal. Charles, Ancillon maintained, was a virtuous man. His "virtues," however, "were those of a private person. [Unfortunately] Charles lived in an age when it was necessary to possess both that rare foresight to see a brewing crisis, and the fortitude to combat it successfully."[92]

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[89] Ibid., III 299
[90] Ibid., III, 296
[91] This is according to the old dating system. If using the modern calendar Charles died in 1649.
[92] Ibid., III, 300

King Charles lacked both traits. But Ancillon contended that Parliament, not Charles, must be blamed for the King's conduct. Parliament's treatment of the King brought out and exacerbated all the weaknesses in his character, thereby encouraging his "fatal tendency to take the advice of those who surrounded him."[93]

Worse yet, Charles' cold mien prevented him from communicating effectively with the rest of the country precisely at the time that good communication was crucial. Charles, Ancillon concluded, was "more obstinate than firm, stubborn in the small things and nasty in great, [and] neither [the king or queen] knew how to [neither] compromise with grace nor resist for a purpose. His courage cannot be disputed but it was a courage bred of patience rather than of action."[94]

Difficulties with Parliament led this vigorously honest king to employ equivocal language in his dealings with it, so as not to be misquoted or caught in a lie. And it was precisely this equivocal language that confused all parties in the civil War, contributing to the regicide. [95]

Then Ancillon drove his point home. The culprit was neither King Charles nor the Parliament but the revolutionary process. It corrupted everything it touched. Both King and Parliament both fell prey to a process that fostered dangerous beliefs about human potential and led, inevitably, to the destruction of the state.

Ancillon, in short, believed revolution to be the 17th Century version of Al Qaeda! And it's in these sections that he bares his soul. Ancillon insisted a structured society is essential to humanity because the rule of law, alone, separates humans from beast, guaranteeing humanity a dignified existence.

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[93] Ibid., 300-301
[94] Ibid.
[95] Ibid.

But the rule of law demands force to sustain it.[96] Ridiculing the idea that "human morality protects against man's worst excesses," Ancillon insisted that,

> "…it is the existence of public power which produces these good results. Needs are so pressing, passions so ardent, interests so opposed, and reason's sway so weak that public power alone guarantees the execution of the laws which present individuals from using force to gain those rights they assume are theirs."[97]

Revolutions, Ancillon claimed, attacked those restraints that checked humanity's baser traits, and therefore constituted the gravest threat of all to civilization, the threat of its collapse.[98] The events of the English Revolution proved this.

But Ancillon still had to explore several events that defied his view of revolution. Charles reigned arbitrarily without Parliament from 1629-1640. During this period the King meted out justice by fiat.[99] Yet it took over 11 years for public discontent to surface, and explain why the times were so prosperous.

Ancillon had the answer: Charles ruled wisely but the English were too stupid to enjoy the advantages of his reign. "They defied all the wise operations of government because it was supposed that Charles had a secret plan to deceive them."[100]

After a failed attempt to impose the Church of England's beliefs on Scotland the English were forced to reconvene Parliament. On November 13, 1640,

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[96] Ibid., *Reflexions*, III, 5

[97] Ibid., III, 6

[98] Ibid., III 4

[99] Charles' Reign was not as idyllic as it seems, i.e. the Ship-Money Case; Prynne's punishment, migration to the English colonies in North America; over reliance on the Court of the Star Chamber; the Court of High Commissions.

[100] Ibid., 322-323

the so-called Long Parliament assembled, eager to redress what it perceived as grievances. Ancillon left no doubt where his sympathies lay as he related how this body "destroyed the throne, sacrificed the King, and by breaking up the state and by breaking up the state and destroying the [unwritten] constitution, perished itself."[101]

This resulted in another thorny question for Ancillon: Why did Charles become so quiescent after Parliament convened? In tones resembling those Guizot used in *Memoires*, Ancillon explained:

> Charles did not act like himself. The cruel necessity which put him in Parliament's debt appeared to have taken from him the means and even the desire to resist. He felt that it would be impossible to dissolve this assembly as he had broken its predecessors and this awareness… led him to believe that there was no other alternative but to satisfy his enemies by means of calmness and compromise.[102]

Ancillon's interpretation enabled him to explain why Charles betrayed his minister, [the rough equivalent of Colin Powell with the popularity rating of Karl Rove], Thomas Wentworth, the Earl of Strafford. The King betrayed Strafford, by assenting to his death warrant, thereby allowing the Earl to be executed by Parliament for Treason.[103]

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[101] See note # Ibid., III 134

[102] Hume, VI, 297

[103] The Earl of Strafford, Sir Thomas Wentworth, one of the authors of the *Petition of Right*, abandoned the Parliamentary side to serve Charles I during the Reign without Parliament. During his trial he defended this action, stating that he served Charles only to save England from chaos. Had it not been for Commons passing a Bill of Attainder before Lords delivered their verdict, Strafford might well have been acquitted. Commons maintained the Attainder proved Strafford's guilt: No innocent man could have tainted blood. Lords, then, found Strafford guilty condemning him to death. Charles at first, refused to sign the warrant, but after much pleading he gave the royal assent over the warrant when it was placed in a stack of household bills. Strafford has another claim to fame. This rotund man who suffered terribly from gout became well known to all children read to sleep by "Mother Goose" rhymes:

Humpty Dumpty sat on a wall
Humpy Dumpty had a great fall
All the King's horses and
All the King's men
Couldn't put Humpty Dumpty
Together again

The revolutionary process had so sapped Charles' strength that the King lacked the will to save the throne's staunchest defender. Strafford's death encouraged Parliament's audacity. Ancillon asserted that Parliament having vanquished its most dangerous foe, "overstepped the boundaries of right and reason, encroached upon the prerogative, and become the usurper."[104]

War became inevitable after Parliament took possession of the arsenal at Hull, a move that left Charles between the proverbial rock and hard place: abdication of all royal rights or armed resistance. Parliament again forced Charles' hand.[105]

Ancillon, for the remainder of his account, related how revolution destroyed all who opposed it, at the same time robbing revolution's supporters of their humanity. Royalist, cavalier idealism proved no match for Parliamentary precision. Scotland's entrance into the war shifted the balance of power against the king, resulting in the Royalist army's crushing defeat at the Battle of Naseby.[106]

The revolution also fostered the growth of the Independents, which Ancillon portrayed as the logical result of the evil let loose by the revolutionary process. The Independents represented the most feared product of revolution—humanity devoid of civilization's graces--a species which flourishes when revolution has destroyed society's ability to combat extremism. The Independents, under Oliver Cromwell, wrested control of the army from the Parliament. Shortly thereafter, Parliament further weakened itself by excluding members unfriendly to the army.[107]

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[104] Ancillon, III, 334
[105] Ibid., III, 356
[106] Ibid., III, 359, 361, 180
[107] Ibid., III, 382, 384, 386

As for Oliver Cromwell, Ancillon also viewed the general from northern England as a product of revolution. He never forgot that Cromwell was a man, rather than a force. But humankind, Ancillon believed, had a great capacity for evil and, according to Pastor Ancillon, Oliver Cromwell was living proof of that capacity:

> Cold and hardhearted, he could pretend to be an enthusiast when it was useful to do so. Indifferent to pleasure, he was completely devoted to affairs; at any rate his transient enjoyments never distracted him for long. He had patience to wait on circumstance, and the talent to discern the proper moment…This active genius, malevolent, mysterious, was unknown when the war lit up; he subjugated some, frightened others, and astonished all by his presence.[108]

After Cromwell's rise to power, events moved swiftly toward regicide, the execution of King Charles I. Ancillon described that event dispassionately.

Regicide was more than Charles' tragedy for Ancillon. It marked revolution's destruction of the state. Representative government had culminated in the negation of the nation's rights; the many were enslaved by the few; faction triumphed over the general will.[109]

The republic and protectorate formed revolution's aftermath in Ancillon's account. War with Holland increased prosperity in the early 1650s, providing an outlet for whatever revolutionary energy remained. But once this energy dissipated, the English, too weary to resist, acquiesced to Cromwell's usurpation of power without a struggle.

The weariness soon led to a longing for a return to a structured society, as it was under Stuart rule. Under Cromwell's aegis, Britain had been divided into 12 sectors ruled by the Protestor's major generals. In addition imposing to military rule, the Protectorate banned Christmas celebrations and hunted

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[108] Ibid., III, 363-364
[109] Ibid., III, 390-91

witches. In order to bring about the type of stability that a significant number of English wanted required Cromwell either to gain the equivalent of royal power while remaining Lord Protector, or ascending the throne.

Again, Ancillon's interpretation resembled Guizot's introductory critiques in *Memoires*. To assume royal power, the Lord Protector had to remain without fear—an inhuman, impossible demand.

> "Cromwell," Ancillon observed, "had possessed an indifference to life and had often exposed his own during combat. But having attained the highest rank, he became faint-hearted and forgot that on a usurped throne, indifference to life is the only means of preserving it."[110]

The Lord Protector's failure to attain the crown, and his subsequent death, coincided with England's wish to restore its ancient constitution. The revolution produced a reaction which Ancillon termed "counter-revolution", restoring Charles I's son, Charles II to the throne.[111]

Ancillon, thus, created a model that defined revolution as a linear process; developing slowly over time. Charles Dickens' Woodman and Farmer came to life thanks to Johann Peter Frederic Ancillon.[112]

The Hume inspired model paid little attention to the relationship between revolution and the individual; Ancillon explored that relationship, coming to some highly disturbing conclusions.

Revolution destroyed society, withering the human spirit in the process. According to Ancillon, Charles suffered as much from the ravages of revolution as Cromwell, or those high-minded members of Parliament who challenged Charles' prerogative as early as 1625.

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[110] Ibid., III, 403, 406, 408, 414
[111] Ibid., III 427
[112] See note # 1, 1

An unspoken question underlay Ancillon's work and interpretations: Since humanity lacked the fortitude to withstand revolution's contagion, was it not better to submit to unjust ancient laws rather than risk the consequences of challenging them?[113]

GUIZOT'S RESPONSE

It took Francois Guizot three years to answer the anti-revolutionary arguments Ancillon published in *Tableaux*. The Prussian statesman's arguments flowed seamlessly one into the other.

Adding insult to injury Ancillon co-opted many of the very insights Guizot published in 1816 and 1820. Ironically, Guizot's insights on representative government may have actually inspired Ancillon's argument that "mixed government,"--not tyranny--lay at the root of the revolutionary process--in effect hoisting Guizot by his own petard. No wonder Ancillon so angered Guizot; this gadfly's sting hurt!

But Ancillon's argument all flowed from the supposition that representative government constituted a revolutionary tradition which affected humanity like a debilitating disease. This description of revolution as a long term process enabled Guizot to construct an opposing argument.

Seeing revolution as a gradual process enabled Guizot to treat it as yet another force in the development of civilization. No longer a dissident factor, revolution played a defined role in humanity's movement through history.

Like Ancillon, Guizot used his introduction to *L'Histoire de la Revolution D'Angleterre* to set down his beliefs, refuting Ancillon in that process.

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[113] Ibid., II I (preliminary essay) 1-2

Revolution, Guizot contended, was a positive process. Both the English and French revolutions were "victories in the same war and profited from the same cause."

An acid tone tinged the passages that followed:

> It is fashionable to believe that both these revolutions are unaccountable events, arising from unknown causes or unfathomable design, which befall a society that departs from its ancient, natural ways…It is time to escape such false and puerile rantings.[114]

Revolutions, Guizot claimed, possessed an old and honorable lineage:

> Far from having broken the natural course of events in Europe, neither the English revolution nor our own have said nothing, done nothing which had not been said, desired, done or felt a hundred times before their occurrence. [Revolutions] have proclaimed the illegitimacy of absolute power… and the church [itself] has often invoked the words of St. Isadore…'one is king who reigns justly over his people; if he does otherwise, he will not be king.'" [115]

Guizot viewed revolution as a positive, albeit violent, force that purged the French and English constitutions alike of ambiguities, enabling both countries to establish strong representative governments.[116] He vindicated and defended the middle classes' actions.

Monarchy, aristocracy, and clergy had each contributed to civilization's development. But by the 17th Century each ceased performing its allotted functions. On this Ancillon and Guizot agreed. Then:

> The aristocracy no longer defended public Liberties, not even its own; royalty no longer worked for the abolition of aristocratic privileges; it seemed that it even became favorable to the possessor of the privilege in return for aristocratic servility; the clergy [the] spiritual power

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[114] Francois Guizot, L'Histoire de la Revolution D'Angleterre, 2T. Brussels, A. Meline, 1850) I, 121-122
[115] Ibid., I, 122
[116] Ibid., I, 121

> feared the human spirit, and not knowing how to control it, challenged its progress.[117]

The public or nation, as represented by the middle class simply moved into the vacuum created by the other estates. But when, Guizot noted, "It reclaimed by turns liberty against the crown, equality against the aristocracy, intelligence of thought against the clergy, revolution burst forth."[118]

Then Guizot moved in for the kill, reinforcing Villemain's arguments concerning the similarities between the English and French revolutions, turning Ancillon's arguments upside down in the process. Representative government wasn't the villain. Every French citizen who lived through the French Revolution understood that well.

> Though differing in the particulars, the English and French revolutions were "brought about by the same causes… struggled for liberty against absolute power, for equality against privileges, for the public interest against class interests.[119]

After contending that living through the French Revolution imparted a special ability to understand its English counterpart; mentioning some hitherto unused sources; and acknowledging some friends--Villemain included among them--Guizot began his version of what occurred in England during the middle to late 17th Century.

Like Ancillon, Guizot believed that Charles was menaced by revolutionary currents from the onset of his reign in 1625, but where Ancillon pointed to representative government as the revolutionary villain, Guizot saw otherwise. Instead, Guizot described how during the later middle ages European royalty steadily increased its authority at the nobility's expense. The aristocracy, rather than resisting the monarchy, surrendered their rights and viewed the

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[117] Ibid., I , 126-127
[118] Ibid., I, 127
[119] Ibid., I, 129

throne as their protector while the middle class, too weak to contest the crown, concentrated instead on "enriching and enlightening themselves."[120]

Both Ancillon and Guizot described the effects of the Tudor reigns in much the same way. Like Ancillon, Guizot believed the War of the Roses destroyed the vestiges of aristocratic opposition to the throne, enabling Henry VII to turn the nobility into courtiers. Elizabeth completed the process, making "an unlimited devotion seem law for the gentleman and a duty for the Protestant and citizen."[121]

While the Tudors expanded their prerogatives at the nobility's expense, the middle classes, as in Ancillon's account, continued accumulating economic power, and by 1625 were poised to regain their ancient rights, as Guizot pointed out, set forth in the *Magna Carta.* He observed that,

> …it was asked if the prince had always possessed such prerogatives and if he must always possess them. Little by little the memory of the old liberty… [And] of the maxims which it consecrated returned to the mind of the people[122]

Agreeing with Ancillon's argument—but isolating absolutism, rather than representative government, as the root of the revolutionary process—allowed Guizot to counter Ancillon's portrayal of Charles I.

Ancillon contended that Charles held such high regard for the royal prerogative because he was "imbued with the principles of his father—principles in direct opposition of those beginning to circulate among his people."[123]

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[120] Ibid., I, 139; Guizot saw 'self help' as a middle class movement prior the Tudors' reign. This may be the source of the line Enrichez-vous, rather than Alistair Cook's mis-translation, "Get rich quick." Honore de Balzac, *Pere Goriot*, Masterpiece Theatre, c. 1975

[121] Ibid., I, c147

[122] Ibid., I, 145

[123] Ancillon, III, 300

Guizot agreed, but altered the emphasis. It's most likely that Guizot had Ancillon's passage in mind when he described Charles as "nourished from infancy in [the rights granted kings or prerogatives]. Upon reaching manhood Charles was more closely exposed to the prerogative's "contagion" through his marriage to Henrietta-Marie, daughter of Louis XIII.[124]

Both men cast Charles as victim of the revolutionary process. Ancillon contended Parliament exacerbated the revolutionary process by its espousal of the concept of mixed or representative government, whereas Guizot claimed the opposite.

Absolutism impaired Charles' judgment and this monarch's acts so frightened Parliament that it inhibited that body's ability to act rationally. Guizot lamented, "…princes inherit the faults of their ancestors, just as they do their thrones."[125]

Charles' effect on Parliament could be discerned in the King's activities between signing the Petition of Right and the beginning of the Reign without Parliament. Ancillon insisted that Charles' strict sense of honesty forced him to use equivocal language, concluding the King's virtue inhibited his ability to perform state duties.

Guizot disagreed. Absolutism had so infected Charles that he "could not entertain any criticism and, filled with a sincere arrogance, believed it his duty to honor and to reserve the rights and tone of tyranny and reclaim them from liberty."[126]

Agreeing with Ancillon that Charles was a virtuous man in private life, Guizot tweaked Ancillon's assertion, arguing private virtue had no effect on

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[124] Guizot, I, 141
[125] Ibid., I, 152
[126] Ibid., I, 163

statecraft. Therefore, Guizot maintained, Charles sustained absolutism by any means possible, freely resorting to equivocal language and intrigue in the process.[127]

The Reign without Parliament presented more of a challenge to Guizot than Ancillon.

1. Why was Charles' single rule so prosperous and peaceful?

2. Why had eleven year elapsed before the nation demanded a recall of Parliament?

3. What would have happened had the Scots not rebelled?

Guizot answered the first question in the beginning of his account of the reign: The court split into factions, one coterie gathering around the Queen and the other, the Earl of Strafford.[128] Charles vacillated between coteries, rendering the creation of a cohesive policy impossible.

As the coteries continued their intrigues, Guizot pointed out,

> The people devoted themselves to agriculture, to commerce, to study, [and] free from an active and ambitious tyrant…rapidly developed public prosperity. Order reigned among citizens and a well regulated state gave Charles' power the appearance of wisdom and made it appear that the nation had acquiesced to his rule.[129]

English acquiescence, then, was just as illusory as Charles' benign rule.

Ancillon had neglected the role of Puritanism in the development of English liberty. Guizot, like A. G. Dickens a century later, described how a grass-

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[127] Ibid., I, 173
[128] Ibid., I, 180-184
[129] Ibid., I, 183

roots movement toward a simpler form of Christianity clashed with the Anglican Church created by Henry VIII to sanction his marriage to Anne Boleyn.[130]

By the time of Elizabeth's death in 1603, the nation had begun to insist upon reform of a church which depended upon the state for its existence and, supported the throne in return for protection of its privileges. Having been successfully transformed into a mouthpiece for absolutism, any criticism of the church was, indirectly, criticism of the state. Guizot had no quarrel with Ancillon's belief that the Puritans cloaked political aspirations in religious garb. The Puritans had no choice; those questions concerning religious doctrine became the first sign of conflict between crown and nation.

By 1636, Puritan demands for a reformed church clashed with Archbishop Laud's pretensions. Guizot related how Laud "Believed all was well when power resided in pure hands, and always pursued his duty with passion and authority."[131]

The Archbishop resolved to end the proliferation of pamphlets by bringing to trial three pamphleteers, Burton, Bastwick and Prynne, as an example to others. All three men were tried and found guilty of sedition. Their punishment: branding, loss of their ears, flogging, life imprisonment, bankruptcy, and being pilloried every three months.

Ancillon had no objection to these actions, describing them as exceptions to Charles' normally 'benign" rule and defending the proceedings as necessary action against libelers.[132]

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[130]for the roots of the English Reformation, see, A.G. Dickens, The English Reformation, (NY: Schocken Books, 1964) esp. 325

[131] Guizot, I, 183

[132] Hume, *Stuarts*, VI, 249

Guizot refused to view these actions as exceptions to the rule of the "kinder, gentler" King. Incorporating the method he used while he translated the *Memoires*, Guizot recreated the trial and execution of the sentence.

As the executioner proceeded to mutilate his victims, Prynne shouted to the crowd, "Christians…if we had defended our personal liberty we would not be here now; it is for your liberty that we have compromised our own…and the square rang with solemn acclamations."[133]

The Ship-Money case worsened matters. Both Ancillon and Guizot observed that John Hampden's refusal to pay the Ship-Money tax touched off a reaction against Charles' one man rule.[134]

Again, Guizot brought history to life. After quoting extensively from the trial transcripts, he related how Hampden came to trial but"was condemned; only four judges voted in his favor." The King congratulated himself on his judicial victory. But that victory turned out to be pyrrhic.

The people, Guizot asserted, in losing hope had recovered their courage. The discontent, until then incoherent and sporadic, became unanimous; gentlemen, bourgeois, farmers, merchants, Presbyterians, sectaries, the entire nation felt this power. Hampden's name was on every lip, above all, it was pronounced with tenderness and praise; his destiny and conduct were viewed as the country's glory."[135]

At this point the Scots rebelled, and that was the proverbial last straw. The nation had forced Charles to recall Parliament. Discontent was at such a fever pitch that had the Scots remained at peace, something else would have

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[133] Guizot, I, 218
[134] Ancillon, III, c.336
[135] Guizot, I, 221

touched off massive resistance to the crown: Something else would have led to the recalling of Parliament.

Ancillon characterized the reign without Parliament as a prosperous time, presided over by a wise monarch; Guizot thought otherwise, describing Charles' reign as "chaotic", asserting that resistance grew until Charles had no choice but to reconvene Parliament. At that point Ancillon believed the revolution inevitable; Guizot never claimed that these moves made revolution inevitable. Charles had a chance to compromise during the convening of the so-called" Short Parliament" in 1639. But, like so many other missed moments, the King let this chance for peace slip between his fingers—yet more proof of Charles' stubborn nature.[136]

Ancillon pointed out that Charles' character changed as a result of his defeat. Guizot agreed. But, in the style of Villemain, he created an image of the defeated King, rather than simply commenting on Charles' changed manner:

> On a fixed day, the King opened Parliament…His speech was vague and possessed an embarrassed quality. The King promised to redress all grievances but persisted in calling the Scots rebels and demanding their expulsion from the realm. Commons listened with a cold respect. Never had their faces appeared so proud in the presence of their sovereign.[137]

Parliament reacted to Charles' speech by arresting the Earl of Strafford, accusing him of high treason.

Ancillon viewed Parliament's actions as proof that, corrupted by revolution, they set out to destroy the throne. Guizot, instead, reminded his rulers of Charles' provocation, pointing out "for twelve years the King and Church had proclaimed their endorsement of absolute sovereignty and divine right" and then had the audacity to demand "secours from this assembly without

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[136]Ibid., I, 238-239
[137] Ibid., I, 247

eradicating a principle, [or] exposing a falsehood."[138] Why wouldn't Parliament see itself as endangered and protect itself, even it its mode of protection seemed questionable?

Strafford's trial revealed the effects of corruption to both Ancillon and Guizot. Only the source of that corruption differed: Ancillon viewed Strafford's trial and execution as examples of revolution's corrosive nature; Guizot saw that trial as yet another example of extreme effects of absolutism.

But Guizot brought that corruption to life. By extensively quoting the trial transcripts, Guizot created a set of images that conveyed the drama, irony and heartbreak of the situation. Strafford himself, fearing this Parliament's session, had asked Charles to excuse him. But the King refused, assuring his minister that no one would " so much as harm a hair on his head."[139]

Famous last words! Lords first barred Strafford from the chamber, then, upon allowing him to enter, forced him to kneel at the bar while they accused him of high treason. Before Strafford could answer that charge, Lord sequestered him to the tower.[140] The Earl defended himself admirably against the weakly-constructed treason charge, but to no avail. Commons forced Lords to declare Strafford guilty by prematurely passing the Bill of Attainder.

Guizot described Charles' frantic attempts to save his minister, producing images of Charles pleading with Parliament. But Parliament remained deaf to Charles' pleas.

He then portrayed a tearful Queen Henrietta-Marie begging her husband to sign Strafford's death warrant, while the Bishops—Juxon being the only exception—patiently explaining that although Strafford's death warrant was

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[138] Ibid., I, 248
[139] Ibid., I, 250
[140] Ibid., I, 252

regrettable it was a political necessity. In these scenes, Guizot foreshadowed future Realpolitik scenarios. It was clear: Once Strafford was dead everyone could get back together.

Charles still vacillated. But when Strafford wrote the King, imploring him to "remove the obstacle which impedes a happy accord between you and your people," the King assented to the warrant.

Guizot left his readers with the final impression that of the hapless Earl stunned at his fate, muttering to himself the Biblical admonition against putting one's trust in Princes.[141]

Ancillon used Strafford's execution as occasion for yet another morality sermon. Guizot used the same scenes to reveal the limits to the human condition. Lack of sermon notwithstanding, Guizot showed his readers the essence of human tragedy.

Villemain, the muse, stood at Guizot's shoulder as historian Guizot recreated Strafford's last moments. When Strafford mounted the scaffold voicing his fears for the future, he actually addressed two audiences. Those in 1640, as the Duke of Warwick claimed[142], experienced some uneasiness; but those who stood at the scaffold's foot with the hindsight of two revolutions trembled.

Ancillon, the minister, described Strafford's death as an example of what occurs when humankind is corrupted by seditious thought; Guizot, the writer, and critic describes the same events in tones usually reserved for Edward R. Murrow or Daniel Schorr. Rather than trivializing what occurred by belaboring the obvious, Guizot reserves judgment, accentuating the tragedy

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[141] Ibid., I, 269, 274-275

[142] Warwick was Guizot's source for the execution, Guizot, I, 276-77

by revealing the irony in stunning terms. In so doing he reveals the limits of the human condition.

The minister who had worked to secure the prerogative angered so many that he contributed to the King's fall; the King who had sacrificed him in the hope the Parliament, which had sought to ensure the survival of representative government, trampled upon the very rights it endeavored to preserve. In Strafford's unhappy fate, Guizot found one example of how revolution moved beyond human control.[143]

As the revolution progressed, Ancillon's account grew more mechanistic. Revolution became an evil process which corrupted everything in its path. Again the image of a political hurricane comes to mind. Guizot also understood that revolution had some very evil effects. But rather than blame revolution on hapless humanity, the historian revealed these effects with sympathy and understanding. He catalogued the results of ideals gone berserk; a journey to Hell on the road of good intentions.

Guizot employed empathy as he described the descent, absolving his readers of responsibility for events out of control. More important, he gave his readers leave to grieve over good events gone wrong.

Like Villemain, Guizot viewed the movement of the process as uncertain, fueled by both fear and folly. This allowed the reader to move through the process, rather than be castigated by the author because of the results. A review of the descent into civil war reveals Guizot's thought process in action.

After the outbreak of the Irish rebellion, Parliament's reluctance to grant Charles' request for arms caused a shift in public sympathy toward that monarch. Seeking to exploit this newfound sympathy, Charles brought

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[143] Ross, 150

treason charges against Parliament's leaders, Pym, Holles, Hazelrig, Strode, and Lord Kimbolton, in direct violation of the statutes protecting all members of Parliament from such accusations when the house is in session. Once his enemies were removed, Charles reasoned, Parliament could be dissolved. Guizot noted how, with glee, Charles and Henrietta anticipated an end to their troubles and how these hopes were dashed by the outrage which greeted Charles' move.[144]

Ancillon criticized the monarch's action as impolitic, but played down the illegal aspects of the actions.[145] Guizot, on the other hand, stressed the irony of the human condition. Far from destroying Parliament, the treason charge had the opposite effect. It cost the King his public support, and united the nation and Parliament against him. One illegality led to another. Parliament frightened by Charles' move, demanded control of the army. But Charles viewed this request as proof that Parliament wished to destroy the monarchy, so he broke off negotiations and declared war.[146]

By showing the irony, Guizot made a strong statement about revolution. In some ways it remained a mysterious process, indeed, a dangerous storm. But it wasn't the result of intentional human evil, but rather the unwilling outcome of the human condition. Circumstances and misconceptions pushed both sides into a conflict that nobody wanted. Nobody was to blame for the declaration of war in 1642.[147]

Guizot even believed that revolution could yet have been avoided. But for this to have occurred Charles would have needed more flexibility than he possessed and the Parliament would have needed to exercise more restraint.

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[144] Guizot, I, 308-309

[145] Ancillon, III, 353

[146] Guizot, I, 312; Guizot gives his readers the image of Sir Benjamin Rudyard worrying over the future of the monarchy. Sir Benjamin was a Parliamentarian.

[147] Ibid.

Sadly, the revolutionary process made both monarch and parliament prisoners of their own fear.

There's sadness and tragedy in Guizot's account but even so the historian allowed the French to grieve for ideals gone wrong. Sigmund Freud may not have been a gleam in his father's eye when Guizot found answers to the human equation in the concept that eventually would be known as psychoanalysis, and enabled a nation to grieve and hope.

Guizot took revolution out of evil's realm, made it honorable, and gave absolution to those who believed in its ideals. Liberals could again hold their heads high. Just maybe they could learn from past mistakes.

The first volume of the 1826 edition ends with the Duke of Essex''' triumphal entrance into London.

Guizot, in his second volume published the next year, 1827, continued to point up the ironies of the human condition through use of image. Reading this volume is much akin to watching the 1950s TV series, "*You are there."*[148]

A few examples: Parliament lost its hold on the army when it passed the Self Denying Ordinance. Ancillon narrated the event, than explained its impact. Guizot, on the contrary, left his readers with the image of Essex sadly resigning his commission as the result of the Ordinance's passage the previous day.[149]

On another occasion Charles and Parliament nearly reached a settlement at Uxbridge, but after the final negotiating session, Charles received a letter from the Earl of Montrose describing his victory at Inverlachy, imploring his

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[148] Series placed viewer at an historical event. The series ran from 1947 through the 1950s..
[149] Guizot, II, c. 235

sovereign not to lose hope. Charles, heartened by Montrose's letter, refused to consent to the previously agreed upon arrangements, and the treaty collapsed.[150]

The King's capture also illustrated Guizot's use of dramatic description, shedding light on the irony and heartbreak of the revolution:

> Montrieul [the French Ambassador] had promised Charles a secure, if not agreeable, retreat in the Scottish camp. On May 5th, nine days after his departure from Oxford, Montrieul introduced the King to Kelhoun, quarter general of the Scots…Officers and soldiers treated the King with profound respect, but that evening, under the pretext of showing respect to the King, a heavy guard was placed at his door; and when, to ascertain his true status, Charles asked for the password Leven replied, 'Pardon Sire, I am an older soldier, and, if Your Majesty permits, I am charged with your care.'[151]

Guizot leaves the reader standing with Charles, sharing the King's shock at his captivity. At this point Guizot had a dilemma: Charles connived throughout his reign, but, like Strafford, died with dignity. Guizot's problem lay in describing Charles' last days sympathetically without leaving himself open to charges that he changed Charles' characterizations to suit his purposes.

To avoid these conflicts Guizot portrayed Charles as brave but uncomprehending of the forces that surrounded him. The King was in over his head.

> In their final attempt to reach an accord, Parliament sent a delegation to negotiate with the captive King. Guizot described the shock these commissioners felt when they saw how their sovereign's hair had whitened; an expression so sadness replaced his once proud gaze; his carriage, his voice, all of his mien revealed a soul still haughty yet conquered, incapable of struggling against his destiny or of

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[150] Ibid., II, 135-137

[151] Ibid., II, 286

> acquiescing to it; a touching, a singular mixture of grandeur without hope and force without presumption.[152]

The negotiations failed; events proceeded toward regicide. Guizot heightened the futility, revealing the trial of a King who could not understand what was happening. Quoting extensively from the state trial transcripts, both men discussed regicide's impact upon England. But Guizot did so while placing his readers in the midst of the fray:

> The coffin descended into the grave; all left the chapel; the governor closed the door. Commons showed the statement of expenses for those obsequies, and allowed £500 for the payment of them. The same day as the King's death…Commons published an ordinance which made it treason to declare 'Charles Stuart, his son, ruler of England… The sixth of February, after lengthy debate…Commons abolished the House of Lords…And a great seal was engraved carrying on the face the map of England and Ireland with the arms of these two countries; and on the reverse an image of the House of Commons in session, with the exergue proposed by Henry Martin, 'The First Year of our Restored Liberty by Grace of God, 1648.'[153]

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Guizot's history was hailed on both sides of the English Channel. But it remained unfinished until 1856. Current events intervened. In 1828, the ban against his teaching was lifted, and Guizot returned—in triumph—to the Sorbonne. Two years later the Bourbon monarchy collapsed. And historian Guizot traded his academic robes for the minister's attaché case.

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The Bourbon's demise occurred largely because Guizot's work changed the French nation's perception of itself. Once revolution entered into the flow of history, it could be seen as a crucible out of which stability emerged. Once

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[152] Ibid., II, 313
[153] Ibid., II, 366-367

humanity was added to the conservative revolutionary equation, the equation collapsed. Once the French liberals were allowed to grieve, and discover that revolutionary excess wasn't their fault, they could work in earnest for what they perceived to be a better future. A proud liberal image rose out of the French perception of British history, thanks to Francois Guizot's *L'Histoire Revolution D'Angleterre*.

The *Constitutionnel*, in 1830, printed an announcement of Guizot's two volume set which claimed these works had begun a "great new school of history."[154] There is much in Guizot's work that does herald a new era in historic thought. His use of imagery, description, sources, synthesis conform to Meinecke's use of description in Historicism, and led one modern commentator on Guizot to liken his treatment of the English Revolution to theatrical presentation.[155] But Guizot's use of history didn't result in a stable constitutional monarchy. Guizot's history, instead, formed the basis of a second model comparing the Revolution of 1830 to England's Glorious Revolution of 1688. But like the Hume and Ancillon models based on history, it could not survive the present. Unfortunately it led to some unforeseen results.

It was inevitable that the thrusts and emphasis of historical scholarship would change as the result of the 1830 revolution. History had accomplished its most important function, whereupon leading the way toward stable government and society, the urgency fueling the search for truth dissipated.

The analogy between 1688 and 1830 dulled the urge to inquire into humankind's place in the universe, subordinating it to the study of processes already perceived. The French continued to look to the study of English history but emphasis in these later histories was on the processes that

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[154] Le Constitutionnel, 2-19-1830, # 50, 3

[155] F. Meinecke, *Historism*, 492; Hayden White, *Metahistory*, (Baltimore and London: Johns Hopkins University Press, 1973,) esp. xxxiii & xxxviii.

resulted in representative constitutional monarchy, rather than illumination of the human condition.

The July Monarchy fell on February 24, 1848, and with it the dream of constitutional monarchy. The impact of these events can be measured by the responses of those who had desired them:

- Jules Michelet turned from historical scholarship to write about nature.
- Alexis De Tocqueville, so confident that the revolution signaled democracy's triumph, retired from public affairs to begin a history of the French Revolution in which he blamed his nation's woes on over-centralization and the loss of aristocratic privilege. Tocqueville only completed the first portion, *L'Ancien Regime,* clearly the work of a disillusioned man who had seen his conception of the world shattered.[156]
- Karl Marx, now living in London, rejoiced at the news of the monarchy's collapse, but by the next year had acknowledged that the monarchy's collapse did not herald the classless society.

Michelet's and Tocqueville's action, and Marx' reaction reflected a pervasive disillusionment in France during the 1850s.

This disillusionment suggests that 1848 not only ended more than a particular form of government but destroyed a dream. In 1826 Guizot likened the French and English Revolutions to "victories in the same war."[157] By 1850, Guizot had changed his mind.

> The English Revolution has succeeded twice. It's authors have founded a constitutional monarchy in England, and a Republic in America…I wish to discern those causes which have resulted in

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[156] Alexis De Tocqueville, "L'Ancien Regime et la Revolution Francaise" in *Oeuvres* IV (Paris: Michel Levy, 1864) IV, vii

[157] Guizot, *L'Histoir*e, I, 121

> constitutional monarchy in England and a stable republic in America, that success France and Europe have sought in vain.[158]

Guizot continued searching England's histories for solutions to France's problems. But he found none. Many of the same questions still resonate.

The sense of loss and shock which occurred after 1848 destroyed the 1830/1688 myth continues to leave its mark. Lack of a consensus concerning French history rears its head in times of crisis. France divided into two warring camps during the Dreyfus Affair, and the fall of the Third Republic.

I found that conflict to be alive and well and living in Paris when I completed the research for much of this comparison. At that time, I made the acquaintance of the manager of *L'Hotel du Quai Voltaire*, and became sufficiently friendly to dine with her.

We had finished dinner and were walking along the Rue de Bac when she asked me to describe my work. As soon as she heard the words "*La Revolution Francaise*" she interrupted me with disdain, "The French Revolution, the French Revolution," she exclaimed, "you Americans are always coming to France to study the French Revolution." A note of desperation crept into her voice as she turned away, "don't you know we are waiting for our second French Revolution?" She did not know it but her voice was that of Francois Guizot.[159]

'BACK TO THE PRESENT'

The desperation in that hotel manager's voice re-echoed loud and clear. Like Marx' spectre, it re-echoed in DPOE headquarters, in the Coordinated

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[158] Guizot, *Memoirs* 8T (Paris: Michel Levy, 1858) I, 320

[159] Ross, *Encounters*, 180

Campaign officers, in Michelle Bromberg's campaign headquarters just before the election.

We should have seen it coming! Winning campaigns acquire a quiet sense of purpose in the weeks just before the election, despite the fact everyone is over-worked, over-stressed and underpaid. Losing campaigns go through the same motions but get increasingly frenetic.[160]

Winning campaigns have quiet hope on Election-Day; losing campaigns work overtime to ignore the handwriting on the wall. And we were working overtime!

Comparing how history was used in Illinois Election 2004 and in 1826 France sheds some light on problems the Democrats faced:

- Guizot and Villemain went straight to the core issue in 1826: the vindication of the French Revolution. And this resulted in the fall of Bourbons in 1830.
- The Democrats in 2004, on the other hand, used History to vindicate stances on *particular* issues—getting bogged down in the in the details. Not standing up for core identity resulted in Democrats repeatedly being put on the defensive, their loyalty challenged. This sapped confidence, resulting in self-doubt. Self-doubt led to fear, and fear trampled hope.
- Too late, the Democrats remembered that when voters have to choose between "me" and "me too" they choose "me." By nitpicking around the larger issues the Democrats denied themselves, losing votes in the process.

The analysis immediately following Election 2004 boiled down to the same thing. All the pundits basically asked the same question: Where was the 21st Century Francois Guizot when we so sorely needed him? Why couldn't we emphasize the larger historical issues, rather than the details?

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[160] The Community Vision Party just prior the village elections in 2001 was completely on edge; on the eve of the 1998 primary candidate Schakowsky was calm.

A few examples:

- Robert Reich spoke of Democrats concentrating on policy, losing vision in the process.
- The New York Times berated liberals for not standing for core values in it's November 5th editorial.
- At Congresswoman's Jan Schakowsky's forum, 'Where do we go from here?' audience members stepped up to the microphone, lamenting "hypocrisy" while proposing platforms touting the Liberal agenda.

Lack of a cohesive historical structure demoralized voters, in effect allowing the Democrats to be "nibbled to death by ducks—Republican ducks."[161]

Another unintended effect of over analyzing detail at the expense of cohesion: There's no common bond holding campaigns together, resulting in inter-party rivalries, making politics *very* personal.

DETAILS AND THE POLITICS OF THE PERSONAL

YOU'VE GOT TO HAVE A DREAM…

Lack of the historical dream/goal reduced most political campaigning to "nuts and bolts" in the 9th CD. This made matters worse because there was no *esprit de corps*.

Illinois elections since 1996 follow an interesting rhythm. The most interesting campaigns take place during the primaries. These campaigns for party nomination are both issue and personality driven.

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[161] My thanks to Kathy Routliffe for this wonderfully descriptive phrase

But since Illinois is a Democratic state the general election campaign is far less interesting than the primary. And Election 2004 was no exception.

Many of the races that made the primary interesting were decided primary night. For example:

- State Senator Barack Obama won the Democratic nomination; Alan Keyes, his Republican opponent, was such a weak candidate that suspicion arose that Keyes was actually an Obama operative, paid to make State Senator Obama look good.

- Jeanne R. Cleveland-Bernstein won the six-way primary race for judge. There was no Republican opponent. Cleveland-Bernstein won her election the moment the first absentee was counted.

Conversely, the voters had no choice in two of the more important races in the 9th CD.

- Michelle Bromberg, candidate for State Representative in the 17th legislative district had no competition in the primary.

- Senator John Kerry had received so many votes prior to the Illinois primary that it didn't matter how each voter voted. Senator Kerry was the candidate.

All the fight went out of these campaigns by April. There was nothing to make these campaigns exciting, even working campaign in Chicago. This election campaign became even more lackluster because Illinois wasn't considered a contested state. Because of the distortion caused by the Electoral College, both Bush and Kerry campaigned largely in those states whose electoral votes were up for grabs.

Since Illinois was considered firmly in the Democrats' camp there was little campaign activity beyond the local level. For all intents and purposes Illinois remained in the eye of the storm throughout the entire campaign. We watched the action from the wings.

That demoralized many Illinois voters who felt like the proverbial spurned spouse, totally taken for granted. Because Illinois was considered so unimportant, the entire "fun factor" drained from the campaign. Campaign workers left Illinois, seeking both excitement and relevance:

- Chunks of the Obama campaign spent most of the weekends in Wisconsin, considered an Electoral College swing state, a battle-ground state.

- Volunteers led by employees in David Orr's office coordinated weekend trips to Missouri.

- Some younger voters wondered "Why bother?"

- Mayor Daley's campaign consultant Greg Goldner spent most of his time campaigning in Michigan, another swing state.

No wonder that on November 3, 2004 Chicago's Mayor Richard M. Daley complained bitterly that the national Democratic campaigns overlooked county and city campaign volunteers. Even the Mayor had been standing in the storm's eye watching from the wings.

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Lack of a cohesive goal brought the worst out of everyone. Election 2002 brought hopes to many Illinois Democrats that there would be

jobs in the new Blagojevich administration. The party faithful envisioned some sort of "great come and get it day."[162]

But Illinois' debt made it impossible to hire the minions. And scores of campaign workers found the only thing they got for the door bell ringing was tickets to the inaugural ball, and a thank you note. Many were deeply disappointed. The train left the proverbial station with only with a smattering of 1st class passengers

Finally, the 9th CD has its own personal history, its answer to the Hatfield's and the McCoy's. The feud between the Niles Twp. Committeeman Calvin Sutker and Congresswoman Schakowsky never healed. Team Cal and Team Jan have sparred their way through each election since Election 2000.

Further it was never clear why who hated whom with such intensity. Schakowsky attempted to make peace and endorse Sutker's candidates, but to no avail. This feud continued for 6 years; no one wanted to kiss and make up. None of the characters involved like each other's style. With no larger purpose in the campaign, each side continued to stew and dream of a rampage.

"*CAME THE SUNDOWN OF THE RING*"

Illinois Election 2004 paralleled Illinois Election 2002 in another frightening way: Inter-party squabbling. When everyone shares

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162 Song from E.Y. Harburg, Burton Lane, *Finnian's Rainbow,* 1947

common histories and goals the party prospers. When the Wharton Equation[163] applies, the party faithful scramble for crumbs.

As mentioned in both papers 3 & 4, of this series the less power above the more scrambling below. The differences between parties and campaigns blur.

Political parties do their work whether or not elections are imminent. Local political parties work on issues and community outreach between elections. They're the ones who hold forums, tea parties, discussions.

Campaigns hold enclaves. Their sole purpose is to elect candidates.

But when campaigns start performing the executive work of the party the people on the ground become angry. No one ends up feeling good, and it detracts from the campaign.

That's what occurred in Evanston. Obama campaign representatives oversaw DPOE field operations. Meetings were called on a moment's notice. A new system was implemented that made keeping track of voters difficult. No one trusted each other. And everyone was secretly relieved when the day after arrived.

ALL POLITICS IS ~~*LOCO*~~ I MEAN LOCAL!

The smaller feuds coalesced with larger feuds, making everyone uncomfortable. Again, had there been a sense of historical purpose this fight might not have been necessary.

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[163] See Footnotes 3 & 4

Illinois Governor Rod Blagojevich and Illinois Speaker of the House Michael Madigan are locked in battle for control of Illinois. Neither man likes the other. Their dislike manifested itself in the fight to pass the state budget. The fight grew so bitter that Committeeman Jeffrey Schoenberg warned the DPOE to stay out of the fray.

Cal Sutker took a beating in Illinois Primary 2004. He backed Assessor Dan Hines who received only 17% of Niles Township's vote. He supported Henry Singer for judge. While Singer won in Niles Township, Cleveland-Bernstein received an unexpectedly high vote in Skokie, and landslide totals in Evanston--rendering the Singer majority useless. The Committeeman needed allies. Governor Blagojevich wasn't interested in joining Sutker's cause, making it incumbent for Sutker to join forces with Madigan.

Both Sutker and State Representative Louis Land decided that Michelle Bromberg would make the perfect candidate because:

- She's an Orthodox Jewish female.
- She follows Sutker's lead on the Skokie village board.

Now in his 80s, Sutker could use a second ally in the state house. Madigan contributed massively to Bromberg's campaign funds, as well as demanding further contributions from other Democratic organizations, and it appeared that, given the Democratic landslide Bromberg would win, enjoying the advantage of being surrounded with faithful Orthodox Jews and devoted Democrats. This winning combination would enhance Sutker or Lang's chances of election/re-Election as Niles Township Democratic Committeeman.

Madigan, Lang and Sutker decided that Bromberg would campaign "hard," hitting opponent Coulson with ads depicting her as a Republican. Coulson would buckle under close scrutiny, Sutker and Lang would enhance their power base.

But the strategy backfired. The area newspapers, *Tribune* included, excoriated Bromberg for her tactics; moderate voters stayed away in droves. Bromberg lost by 3800 votes and has, since, decided to remain on the Skokie village board.

What's sad in this case is that Bromberg lost because she took bad advice. In plaintive tones she explained to well-wishers at Schakowsky's post-election forum that she simply followed the orders of more experience politicians. In, way beyond her depth, Bromberg was also victimized.

Both Land and Sutker remain nervous, recently looking over their shoulders. A rival has emerged. Richard Reeder, a community activist, with 25 years of political consulting experience, announced his candidacy for Niles Township Democratic Committeeman, and has been criss/crossing the district gaining support. An adept campaigner with an independent mien, Reeder has done the research and spends time campaigning with his "running mate," candidate for the 17th District State Representative's race, who is also a liberal Democrat with elective office experience, and a background in Community Action. Reeder and "running mate" continue moving, collecting votes, raising money. Stay tuned. Politics never takes a vacation in the Illinois 9th CD.

HISTORY AND THE HALO EFFECT

A chain reaction occurred: lack of an overall historical ideal led to fragmentation and squabbling in political ranks, in turn resulting in a demoralized and angry electorate.

During and after the national debates, campaign issues crystallized increasingly on the war on terror and the suspect loyalties of the Liberals. The economy and education took a back seat to fighting El Qaeda.

Strength implied standing fast with the administration; not asking pesky questions; showing backbone by complying with the macho image portrayed in 1950s movies and TV.

All of this split the electorate to the point that, by campaign's end, polarization was virtually complete. Democrats and Republicans barely spoke at all. Discussion became non-existent; tolerance hit "ground zero."

Each campaign generated images, rather than issues. In 1826 the populace knew how to read. Today few people enjoy the luxury of reading, unless it's done in transit while commuting. Our concept of time has changed drastically. The white rabbit of *Alice in Wonderland* fame would be considered a slow poke, considering the amount of work and stress carried by adults in the 21st Century. "Time's winged chariot" now runs on hydrogen and chases us down the expressway.[164]

Campaign 2004, instead, generated images, rather than lengthy arguments. A vote for Kerry meant a vote for the Great Society 1960s; a vote for Bush was a vote for the Ozzie and Harriet 1950s.

Of the two visions, Ozzie and Harriet provided the most stability. The later 1960s suggests long hair, dirty faces, pot on demand, free love, flowery Volkswagens, blank verse poetry, and folk music, all of which appears vaguely risqué and definitely un-American to many of the stressed out working class of the 21st century. Things became so bitter that comity went the way of the dinosaur.

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164 Cite Louis Carroll and Andrew Marvell

Two notable exceptions bare comment, both concern my son's wedding in October 2004:

- I got my haircut the day before we traveled to Washington DC. It's a small salon and the ladies in the other chairs and I struck up a conversation about Election-Day. We all agreed the campaign was awful; the media biased; the issues ridiculous; the candidates, Obama excepted, lackluster. Then we began to laugh about it all, as we wondered whatever happened to honest disagreement.

  The stylists joined in the conversation; the talk was great—and noteworthy. These types of "pick up" conversations don't seem to happen that much anymore. But what was so noteworthy? I'm a Kerry Liberal Democrat; the lady next to me a Bush Conservative Republican; the lady in the shampoo chair a PR agent with media ties. And we all shook hands and laughed together!

- The wedding took place the following Saturday. Everything looked lovely; everyone looked wonderful, even Bentley the canine, ironically a Royal Cavalier Charles spaniel. Bentley, the ring bearer, was very dapper as he wriggled around in his doggy-tuxedo.

  But the bride's parents are Bush Republicans and we're not. Early on we tacitly agreed to not talk politics, as we're family. The compromise worked beautifully because we all truly wanted to be family; liked each other; loved our children.

  In a quiet moment just before the reception began in earnest, the Bride's mother asked me to come outside. She wanted to show me something. I looked at the bar and there was an ice sculpture of an elephant with "Rep" on his saddle. Okay! But the Bride's mother kept looking down the bar, and I followed her gaze. On the other of the bar was an equal sized ice sculpture of a donkey with "Dem" carved on its saddle. And we both smiled. As the song goes, "We are family."

ELECTION DAY

As Election-Day approached even volunteers felt fractious. The polls were too close to mean anything and the fragmenting affected even the most

hard-bitten politicians among us, as the campaigns degenerated from image to name calling. Late afternoon, October 31st, the combined 9th CD campaigns held a training session and rally. The event began at 4 PM. By the time everyone spoke, including State Senator Obama, it was evening.

At the end of the rally each of us had some time to address the volunteers under our watch. I went over the rules, and then related our campaign to the battle of Agincourt: Henry V is my favorite Shakespearian play, and I love to read excerpts from the St. Crispin's Day oration. But there wasn't time for that, so I confined myself to reciting the last line:

> And gentlemen in England now a-bed
> Shall think themselves accurs'd that they were not here,
> And hold their manhoods cheap whiles any speak
> That fought with us upon Saint Crispin's Day[165]

And then exhorted the volunteers to remember they're patriots and hold their heads high.

That's when it hit home. The appeals to image had taken their toll, and then some. They, even the seniors, had been tarred with so many images of Vietnam that they were seeing themselves as subversive. None of them had been called patriots for a very long time.

Some looked up and smiled; others looked down, smiling quietly. Then all began to applaud. It wasn't my acting, but the realization that dissent does not a traitor make.

Actually, Election-Day was quite pleasant. There were some snags--bags delivered late, volunteers unable to find their contacts, lost runners lists. Yet on the whole things generally went smoothly. I was assisted by three lovely junior high school students, on leave from school because they wanted to

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[165] Henry V, Act IV, Scene III

study the election process in depth. Imbre, Summer and Sámi did such a fine job that their teachers said they learned about the process just listening to them.

Later, Marianne Meyer, Vice Consul for Commercial Affairs from the Royal Danish Consulate, joined me to observe the election and make a report to the Royal Danish Embassy in Washington DC. I was giving history and civics lessons all day, which for me was a lot of fun. Seeing elections through fresh eyes makes them all the more wonderful.

The polls were packed; over 5,000 citizens in Evanston Township cast their votes overwhelmingly for Democrats. The exit polls started to make me hope I'd been pessimistic. So I went to the party exuding confidence. But by the time I got there, things had started to turn.

It was a long day; I excused myself and slipped over to my doctor's condo, a block away. She opened her door, took one look at me, saying "You're hungry. How'd you like a nice English muffin, cottage cheese, fruit and tea?" I grunted yes and sat down to a cozy dinner, complete with sugar-free cookies. As one state after another declared for Bush, we talked quietly about just about everything.

By 11:00 PM I was awake enough to drive home, get to bed and make it to class the next morning.

By 1:00 PM the next day I was home finishing lunch when Senator Kerry conceded, and Election 2004 entered history--along with Cromwell, Strafford, Charles, Guizot, Villemain and Ancillon. *Sic transit Gloria mundi!*

CONCLUSIONS: IMPRESSIONS

It may be a while before we truly understand what led to Bush's election. Perhaps his campaign advisors just had better strategic plans. It may just be that simple.

My friends on the Ballot Integrity project point out that the election results may well have resulted from fraud. There's a suit pending. Who knows?

But by Wednesday afternoon November 5th one history lesson became painfully clear: Clio's like a great white shark. She never stops moving. A friend of mine said it best, "It's third down, 5 yards to go."[166]

We don't have time to cry: the municipal elections are less than 5 months away. It's back to work, to plan, to conceive and to dream.

Not all things are bleak. Jeanne R. Cleveland-Bernstein was sworn in as a Judge of the 9th sub-circuit on December 6th. It took three hard-fought elections to get her to the Thompson Center Auditorium. In fact I shed a tear as she took the oath, and the line out of the Jefferson's theme jumped into my head: "Took a whole lot of cryin' just to get up that hill."[167] But Jeannie made it all the same! And the Law just got stronger.

Another good memory: Barack Obama repeatedly pointed out humankind's basic goodness while campaigning, and he won by a landslide. There's hope here. Obama is an extraordinarily good human being, who repeatedly spoke about basic human goodness. We're not yet at the point in America where race doesn't matter. But with Obama's election we've taken a few steps along that road to glory. Dr. Martin Luther King jr. would have been proud.

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[166] Comment made by Yvette Bouteil.

[167] Lyrics from the opening song, *the Jefferson's,* a spin off TV show from *All in the Family.*

Yet there are things that still rankle, much like the plague bacillus in the hope chest.[168]

One more anecdote! The Shriver reception for Sergeant Shriver's poverty law center was held Thursday evening December 2nd. There were two extra places at the CEDA table, and my, husband Allan and I were asked to attend.

Allan and I were looking at the auction items when there she was: Helen Thomas, legendary journalist. Helen Thomas wrote the book on courage; proof positive that the pen can still be mightier than the sword. The Shriver center gave her an award for her work, and Ms Thomas was the dinner speaker. She's witty; kind; and interesting by turns.

Then Helen Thomas spoke about Democracy, pulling no punches. Her speech recalled Tocqueville and, though a petite woman, her voice filled the Palmer House ballroom. She assailed the current administration for the War in Iraq. Then she attacked the government for being so secretive. She pointed out that democracy requires asking hard questions, being thought of as less than gracious.

Helen Thomas cut to the chase, and I choked up as she did so. In part because she's impressive, but more because her speech reminded me that we could have done better during Election 2004. If only we had fought this battle to sustain Democracy with the real issue: using America's past to point the way to America's future, rather than arguing over a collection of details. Who knows?

She brought forth, evoked democracy in all its historic glory; credited liberalism as the best of humankind's ideas.

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[168] Albert Camus, *The Plague*, NY: Vintage, 1991, 320

For a few minutes she created the vision of America that moved so many to come here. It was achingly beautiful, by turns inspiring and heartbreaking.

For that vision, alas, is an endangered species. If we're all frightened into silence it will disappear, its epitaph "The saddest words of tongue and pen are the words it might have been."[169]

I, for one, will work, fight, and write to preserve Ms. Thomas' vision.

But from time to time I see two shadows moving in the background, and Charles Dickens, again, comes to mind. And I can't help thinking about:

> That Woodman and that Farmer,
> Though they worked unceasingly,
> Work silently,
> And no one heard them
> As they went about with muffled tread[170]

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[169] John Greenleaf Whittier.

[170] See note # 1

NOT JUST "BECAUSE IT'S THERE": MEDIEVAL HISTORY MEETS THE WARD BOSS

HISTORY: IT'S NOT JUST FOR WUS'ES ANYMORE!

MY JOURNEY INTO HISTORY'S USES: AN ESSAY

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NOT JUST "BECAUSE IT'S THERE": MEDIEVAL HISTORY MEETS THE WARD BOSS

INTRODUCTION: "DON'T KNOW MUCH ABOUT HISTORY"

Poor Clio, History's Muse! History has fallen from her status as key to understanding present and future to the step-child of the Humanities…and a rather useless one at that.

Why? Part of the answer lies in economics. Academic jobs in History dried up in the late 1960s: A Ph.D. in History is a one way ticket to the unemployment office. Neither art nor science, History became the useless and trivial study of facts and dates.

History won't run a computer, and it can't compete with Dr. Phil. It is only useful as background material for period movies, romance novels, and Oprah's view of post Civil War America. Henry Ford called History "bunk."[1] Sam Cook's popular rock song, "What a wonderful world it would be" begins, bragging, "Don't know much about History…"[2]

Even historical research has lost its luster. Synthesis is no longer in style. Historical work during the 1970s often followed *Annales* School precepts. Concentrate on a small parcel of the past; avoid making assumptions about the whole. But few historians chose to devote academic careers to the study of taxing practices in a southern French town in the late 18th century. Studying in such minute detail can drain research of relevance and meaning. One of the salient historical controversies of the 1990s concerned "deconstruction," which explored whether or not there was such a thing as a cohesive history.[3]

T'was not always the case! From the Enlightenment to World War I History was considered the key to understanding both present and future. Stanley Mellon, historian, revealed that history was the ideological battleground between French liberals and conservatives during the French Restoration.[4] Karl Marx and Alexis De Tocqueville both viewed the rise of the proletariat, the triumph of democracy and the

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[1] Henry Ford, "History is more or less bunk." As quoted in John Bartlett (Emily Morison Beck Ed), *Bartlett's Familiar Quotations*, 125th Anniversary Edition, Boston: Little Brown & Co., 1980.
[2] Sam Cooke, "Wonderful World" *Circa* 1962.
[3] Jonathan Culler, *On Deconstructionism: Theory and Criticism After Structionalism*, Ithaca: Cornell University Press, 1983; Jacques Derrida, Gayatie Chakravorty Spivak, *Of Grammatology*, Baltimore: Johns Hopkins University Press, 1998; Jacques Derrida, *Dissemination,* Chicago: University of Chicago Press, 1983; Gertrude Himmelfarb*, On Looking into the Abyss: Untimely Thoughts on Culture and Society*, New York: Vintage Books, 1995.
[4] Mellon, *The Political Uses of History*, Stanford: Stanford University Press, 1958.

fall of the *Ancien Regime* through History's lens.[5] Spanish philosopher George Santayana said it best," Those who cannot remember the past are bound to repeat it."[6]

History was so important that several schools of history emerged during the 19th Century: Whig history, Philosophic history and historicism each were touted as the means to use this most valuable tool.[7]

All this changed after World War II, with the advent of the Post-Modern trend. By the 1960s, history had gone into decline. "The torch had passed."[8] Attention to youth, rather than the study of past generations, became the norm. The Vietnam War not only bred distrust toward anyone over 30, it soured a generation, creating skepticism and disdain for any study of the past.[9]

ENTER "THE HISTORY OF THE PERSONAL"

I marched to a "different drummer" during the 1960s, majoring in Medieval History.[10] It fascinated me. But this "road less traveled"[11] caused no end of angst among my nearest and dearest. Family and friends didn't let up, constantly asking the same litany of questions:

- What will you do with a degree in Medieval History? (worried parents & grandmothers)
- What use is there in studying Medieval History? (very worried grandparents & cousins)
- Why don't you get a teaching degree? (skeptical friends & family members who happened to be in the teaching profession)
- Will you ever get married? (most often asked question by anxious relatives and friends of parents)
- *Why* are you studying Medieval History? (everyone, especially new friends of family upon introduction)

That question proved to be the last straw. My patience ran out ran out after one too many inquiries, and I snapped, "Because it's there." Point, set, match! End of argument! Family and friends resigned themselves to my fate. Yet all was not lost: my father smiled at my pluck! Maybe there was hope after all!

Forty years have passed since that exchange. My academic publishing field since has shifted to Historical Political Analysis. Researching the historical roots of

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[5] Cf, Karl Marx, *Communist Manifesto*; Alexis De Tocqueville, *Democracy in America*; *The Old Regime*.
[6] George Santayana, *The Life of Reason*, Volume I, *Reason in Common Sense*, as quoted in Bartlett's, 703.
[7] Thomas Babington Macaulay, "History of England" Volumes, I & 2, in Lady Trevelyn (Ed), *The Works of Thomas Babington Macaulay,* 5 Volumes, London: Longmans Green, 1879; Freidrich Meinecke, J. E. Anderson (Trans), *Historism: The Rise of a New Outlook*, London: Routledge Kegan Paul, 1972; Francois Guizot, *L'Histoire de la Revolution D'Angleterre*, Two Volumes, Brussels: A. Melines, 1850.
[8] CF. Kennedy, Inaugural Address, 1961, "The torch has passed."
[9] Judith-Rae E. Ross, *Illinois Election 2002: A Historian Looks at the Politics of the Personal: And Asks 'Why wasn't it fun?"* III, Proceedings, HICSS, 5; Ross, *Illinois Primary 2004: A Historian Looks at the Politics of the Personal, and asks, What led to the Clash of the Hope and Fear Titans*, Proceedings HICSS, 2004, 14-16.
[10] Henry David Thoreau, *Walden*, Chapter 18, originally published in 1854.
[11] Robert Frost, *The Road Not Taken*, 1962.

elections in Illinois' 9th Congressional District, I've discovered that modern politics and campaigns are the "house that history built."[12] Studying Medieval History, researching the Aaron of Lincoln's effect on the 12th Century English economy, faded into historical memory: largely colorful anecdotes, used to enhance first quarter civilization lectures.

Then fate intervened. Our department Medievalist went on leave, and I was assigned her course on medieval people. As the class progressed my love of medieval history returned, and I became as intrigued with the people and political forms as my students. It was both challenging and fun to draw lines between medieval Europe and the present. And the lines became clearer with every class.

My students listened intently to those lectures because many of them knew I wrote about politics and developed campaign strategies when I wasn't "working a room with a blackboard."[13]

We were in the process of analyzing some feudal relationships when I said something about how feudal loyalties still color politics today, adding "I would not have the grasp of today's local politics if I didn't understand Feudalism." There it was!

It took 40+ years, and a lot of angst. But I finally had the answer to that oft asked question, "Why study Medieval History." True, it's there. But those medieval relationships live on in modern Illinois politics. Perhaps I needed time to grow in order to understand what I studied.

This essay explores the relationship of medieval institutions and customs to:

- The structure of modern political parties and organizations
- Political loyalties
- Political "betrayals" and revenge
- Campaign practices
- Campaign pageantry
- Campaign money, credit and fundraising
- Scandals
- Religion
- Election-Day etiquette

And proposes…:

- 12th to 14th Century European Medieval institutions, e.g. Feudalism and Manorialism, significantly impact politics in the 20th and 21st centuries
- The Medieval road to military power parallels the way to modern political power
- Medieval ethics are alive and well in modern politics
- Medieval loyalties, for better or worse still permeate politics
- Medieval customs define political campaigning and activities

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[12] Ross, *The Illinois Primary 2002: A Historian Looks at the Politics of the Personal: A Look Back after the Dust has Cleared.*, II, Proceedings HICSS, 13.

[13] Tom Lehrer's comment. Before he became a satirist and comedian, Professor Lehrer taught at Harvard University.

Medieval History is more than either a romantic romp through a jousting tournament, or surviving fire eating dragons. Medieval History is the key to understanding modern politics…and our modern age.

"PRECURSERS" 20TH AND 21ST CENTURY STYLE

The late Milton Rakove called political machines "Urban Feudalism."[14] Rakove perceived loyalties, paralleling those found in medieval feudalism, noting the startling similarities between medieval loyalties between vassal and lord, and respect for one's "Rabbi" or "Chinaman," code words for a politician's political patron.

I expanded upon Rakove's comments in Bruce I. Newman's, *Handbook of Political Marketing,*[15] drawing a point by point comparison between the feudal structure and the nomenclature of the political machine. It was as if structural medieval feudalism was placed in Michael Crichton's or H.G. Well's[16] time machine and landed square in the middle of Paddy Bauler's 43rd ward.

Medieval History has also served as a model for warning of impending doom. Eileen Power wrote a moving essay describing the final decay of the Roman Empire and the slide into the Middle-Ages. But when she wrote eloquently of how lack of education and refusal to see reality resulted in the Roman Empire's collapse, she was actually warning the British of Fascism's imminent threat to 20th century civilization.

Professor Power used Medieval Historical material as a warning to an unseeing population; Barbara Tuchman in *A Distant Mirror*[17] contended that it's possible to discern the historical roots of the 20th century in 14th century France. Some of Tuchman's subjects show up in Michael Crichton's, science fiction novel, *Timeline*.[18]

Historians and political scientists, thus, have been joined by novelists, cum science fiction writers. Crichton pointed out similarities between 14th century France and late 20th Century America, describing how a team of historians and archeologists return to 14th Century Castelgaard to rescue the project's leader, Dr. Edward Johnston. [19]

Crichton used an adventure story to highlight the perils of manipulating and corrupting history for personal gain. He also painted a classic picture of megalomania in the late 20th century, drawing parallels between the 20th and 14th centuries. Those parallels converge when the 20th century corporate genius, Charles Doniger gets sent back to the 14th century to meet his fate.[20] Donald Trump beware!

How does Crichton accomplish this? Throughout *Timeline's* course, Crichton continually points out the similarities between the 14th century and the late 20th

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[14] Milton Rakove, *Don't Make No Waves, Don't Back no Losers*, Bloomington: University of Indiana Press, 1975, 106, 11, 112.
[15] Bruce I. Newman (ED), *Handbook of Political Marketing*, Thousand Oaks, CA: Sage Press, 1999, J. Ross, "the Machine was Alive and Well and Living in Skokie," in *Handbook*, chapter 28, 521-538.
[16] Eileen Power, "Precursors," *Medieval People*, NY: Dover, 2000. "Precursors" was written in 1939, just before the outbreak of World War II. .
[17] Barbara Tuchman, *That Distant Mirror: The Calamitous Fourteenth Century*, New York: Ballantine Books, 1978.
[18] Michael Crichton, *Timeline*, i.e. Arnaut, the evil French feudal lord..
[19] Michael Crichton, *Timeline,* New York: Ballantine Books, 1999.
[20] Michael Crichton, Timeline, Plague.

Century. During the introductory chapters, Crichton discusses feudalism, the birth of capitalism, and warfare. He also discusses history's importance. *Timeline* includes an extensive bibliography, suggesting that the creator of ER also possesses a doctoral level knowledge of medieval history. In fact *Timeline* makes an excellent reading assignment for civilization or beginning medieval history classes.[21]

But Crichton isn't the first to make literary hay of 20th/14th century parallels. Daphne DuMaurier melds 14th Century and 20th Century England together in *The House on the Strand.*[22] DuMaurier lacked Crichton's technological acumen. Her protagonist uses a mind altering drug to return to 14th century England. But the events evinced by that drug are all authenticated during the course of the novel. Characters appear to be reincarnations of themselves. Like *Timeline*, *House on the Strand* ends with the plague of 1348.

Use of Medieval History as a vehicle of describing society wasn't limited to the 20th Century. Earlier literature is also germane. William Shakespeare's *Henry* V sheds light on the psyche of a king perilously close to the edge. There is some indication that pirated versions of Shakespeare's work circulated in the 1580s and 1590s, giving succor to a nation threatened by Spain, and worried about who would succeed their aging Virgin Queen.[23]

Henry V also draws an excellent parallel to modern political campaign leader on the eve of a make-or-break election.[24] St. Crispin's Day closely resembles the Election-Day eve. Just substitute candidates, strategists, area chairs for Henry, Exeter, and Gloucester; precinct workers, runners, and checkers for troops.

Finally Josephine Tey's mystery *The Daughter of Time* [25]explored how public opinion and media even in the 16th Century influenced historical perception. Tey's work shows how propaganda, political marketing and public opinion predated *The Hidden Persuaders*.[26] Their roots go deep into the 14th and 15th centuries as well.

FEUDALISM: THEN, NOW: WHENEVER

ROOTS

What is Feudalism? It's a form of government or political system based on loyalty bonds. Loyalty bonds begin at the local level and extend from there to the region. Ultimately, these bonds extend to the king. But unless the monarch is very powerful, the national bonds are there in name only, and Feudalism remains a local form of government. Toward the end of the middle ages it became possible for one

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[21] Crichton, Timeline, 492-496; I've used this book to discuss medieval civilization in my early civilization classes. The students always get the reading completed, coming to class ready to discuss and fight about the book. Mr. Crichton makes students think.
[22] Daphne DuMaurier, *The House on the Strand,* University of Pennsylvania Press, O. Ed., 2000, originally published c. 1970.
[23] It appears that Henry V may have been known in the late 1590s before publication..
[24]William Shakespeare*, Henry V*, Act IV, Scene III.
[25] Josephine Tey, *Daughter of Time*, New York: Touchstone reprint, 1995.
[26] Vance Packard, *The Hidden Persuaders*, New York: McKay, 1957.

local lord to serve more than one regional or national lord. This led to a prioritizing of lordships. Every knight who took land from more than one lord had a Liege lord; the lord to whom first loyalties were given.

Feudalism takes root under certain specific conditions:

- Disconnect between local and central government
- Massive, unsettling shifts in the economic system

Necessity is the mother of invention; adversity the mother of feudalism.
There's an *ad hoc* quality to feudalism because feudal government usually occurs when the more stable forms of government fail. Because of its *ad hoc* nature—it relies on oral as well as written agreements--Feudalism relies heavily on ritual and religious sanction, rather than charter and contract. It's the government of the largely illiterate. Thus Feudalism is conservative in nature.

In addition to its military aspects, Feudalism governs relations between poor and rich; owners and renters. While weighted in the owners favor, the owners are obligated to protect the renters and landless. Implicit within Feudalism is the sense that everyone is in the same boat—some, however, don't have to row.

Feudalism probably began during the late Western Roman Empire, a time of declining economy, weak executive and shifting religious strife. Small farms merged into larger farms; farmers became tenants.

Feudalism declines when communications improve; national economies revive. Feudalism and advanced technology don't do well together. Once a new technology takes hold, Feudalism declines.

These points suggest that Feudalism should have been gone by the 16th Century, but the vestiges of Feudalism still remain. Those who are descended from aristocrats represent the last of the feudal system. Many of the rituals, such as the Queen's honors list are a throwback to feudal times.

URBAN FEUDALISM

The same elements present at the collapse of the Western Roman Empire were present in America at the close of the 19th Century. The U.S. Federal government largely ignored local social issues. Social Darwinism postulated that poverty was the fault of the poor. An industrious family will triumph over adversity. Government should not meddle.

Further, the growth of cities and industry altered the currency to the extent that it became a campaign issue in 1896. Presidential candidate William Jennings Bryan railed against the gold standard in Biblical terms, calling for America not to be crucified on a "cross of gold."

Millions of immigrants arrived at America's slums between the years 1881-1924. Since the Hapsburg, Hohenzollern and Romanoff empires weren't paragons of democracy new immigrants understood little about America's form of government.

But these immigrants understood the remaining feudal structures in the Central and Eastern European Empires. They acclimated easily into American cities with their political machines, often working with the precinct captains to get life's necessities. A significant number of immigrants used the political machines as their means of getting out of the slums. In part freedom meant the ability to function within the system, whether it was based on votes or personal loyalty. Who was going to insist of politics resembling the civics books when conditions paralleling those present as the Western Roman Empire withered away, were present in cities across late nineteenth century America.

Urban Feudalism co-opted American government in the political and governmental arena. While city government functioned by the letter of the local framework, feudalism actually drove the system. It's in the political structure, often not beholden to a written framework or constitution, that urban feudalism is best seen.

FEUDALISM & POLITICS

American cities at the close of the 19th Century bore little resemblance to the cities in the ancient world.[27] They were neither agricultural hubs nor marketing forums. With the exception of ancient Rome, American cities had more people than the ancients could ever conceive living in one place. More to the point, the cities in America had technologies undreamt of in Cicero's time.

They also had slums that would have shocked even Nero. In sheer frustration, the Emperor Nero probably would have set Chicago alight himself, had the fire storms of October 1871 not done so.[28] All of this raised questions never encountered in the *agora*:

- How do the elected officials keep the cities from slipping into chaos?
- How does the city take care of its poor?
- How does the government keep itself in power to accomplish these goals?

These conditions, variations of the same uncertainty present in the late Western Roman Empire, gave birth to that modern version of feudalism: the political machine.

How did the political machine get its name? Many late 19th Century cities relied heavily on manufacturing. Political machine's success depended on its ability to obtain large numbers of votes for the candidates it supports, hence the title political *machine*.[29]

Political machines transcend political party. Their success relies on organization, rather than political beliefs. Politicians of all political stripes have relied on political machines. The originators of Cook County's political machine were Republicans.[30]

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[27] CF, Ross, in Newman, Handbook of Political Marketing,

[28] It appears Mrs. O'Leary's cow did not kick the bucket. There were fire storms along lake Michigan in October 1871.

[29] Industrialization brought people in close contact. It defined lives, hence the term "Political Machine" Cf, my article in Bruce Newman's Handbook of Political Marketing. See note # 15.

[30] Thanks to Paul Plotnick for that insight.

Congresswoman Jan Schakowsky, shortly before Illinois Election 1998, spoke to one of my history classes, noting that, while she was an Independent Democrat, a political machine actually won the 1998 primary that secured her the Democratic candidacy for Congress, all but ensuring her victory in the general election. "But" Schakowsky laughed, "It was *my* machine!"

True, Chicago's residents elect their leaders. The mayor and his advisors run the executive branch; the City Council, the legislative. The court system is run by the county. The city is divided into 50 wards; the Alderman representing his/her ward in city council. The alderman, also takes responsibility for internal affairs in her/his ward.

But Feudalism defines the political machine's structure. It's a campaign structure that underlies the elective structure, often keeping officers in both places. Mayor Richard J. Daley ran both Chicago and the Cook County Central Committee. His son, Mayor Richard M. Daley has appointed over ½ of Chicago's city council.

The political machine mirrors Chicago's elective structure. It also defines the elective field because the Cook County Central Committee takes charge of all city and countywide slating. Those candidates endorsed by the Cook County Central Democratic Committee receive both campaign funds and volunteers, making it easier for the slated candidate to win the primary election. The same committee structure exists for the Republicans, but in Cook County the Republicans are a decided minority.

It's a shadowy structure. The Committeemen's actions rarely make news. Their role is seen as political, rather than governmental. They simply ensure the continuation of their party in office, or the election of their party in office. The slating process usually takes place behind closed doors; much of their slating is a foregone conclusion. While technically anyone may join the party, party members usually do so because they respect the committeeman and the other party members. Successful organizations thrive because they develop an *esprit des corps*. They're friends as well as colleagues.

The chair of the Cook County Central Committee oversees all political matters. Each ward and township in Cook County has a committeeman, who represents their political organization on the Cook County Central Committee. Committeeman possesses a weighted vote, based on the voter turnout favoring their political party during the primary election.

Each committeeman heads a separate political organization in their ward or township. This is where organizations take on their feudal flavor. Committeemen reward party members for their hard work. Rewards, such as jobs or political offices go to those members who earn the most votes or raise money for the party.

That's where the competition occurs. All wards are subdivided into precincts, modern day fiefs. Each precinct is awarded to a precinct captain who has shown the most ability to gather votes. Precinct captains are the knights of modern party politics. Their precincts are won, and, like knighthood, awarded.
Captains vie for the Committeeman's attention to gain greater recognition, possibly rewards. At the very least they'll accrue more power within the party.
That power can be parlayed into contacts, possibly contracts!

In order to achieve a well running precinct, the captain must be of service to the area's citizens. That means assisting with dealing with the bureaucracy, sometimes referring and shepherding constituent matters to the state representative or congressperson. In short the precinct captain is the equivalent of a local lord of the manor, answering to the committeeman, who in turn answers to the higher representatives of the party. The Cook County political structure parallels feudalism; precinct services are the modern equivalent of Manorialism.

This all sounds intricate. But for the new immigrants or for that matter the new family in town, the party provides an entrée into the social and political structure of the area. It answers the human need to belong to something larger. It puts a human face on politics.

HISTORY OF THE PERSONAL: A PRECINCT CAPTAIN'S TALE

My family moved back to Skokie, the largest suburb within Niles Township, in 1979. I had become involved in Niles Township Democratic Party politics during the first Carter campaign, and had already developed a good relationship with the Committeeman and party members, when we purchased our home in Skokie. The morning after we moved I went to village hall and registered to vote. The Committeeman informed me that was the last thing I needed to do to join the Niles Township Regular Democratic Organization.

Political work began immediately. Much of the summer was spent screening candidates for the now empty Congressional seat. Congressman Abner Mikva had resigned to become a judge.

The Congressional Election to replace Congressman Mikva would take place in late 1979. In preparation, I requested a precinct. The Niles Township Committeeman, Calvin Sutker hesitated. I asked if there was any reason I couldn't work a precinct. He said I could "massage" precinct 111.

What I didn't know was there were no precincts open, and my working a precinct would be seen as encroaching on someone else's turf. There was still much to learn about politics.

Nonetheless, armed with a briefcase full of pamphlets and a walk sheet, or listing of the names and addresses of registered voters, I started going door to door. It was painstaking work, but I was having a good time meeting my neighbors, playing with all the dogs on the precinct.

The next Thursday I got a call from the committeeman's office. Would I come in that evening the committeeman wished to see me? Sometimes this could be a bad omen. But I wasn't too worried. There weren't any really unpleasant experiences on the precinct. I showed up at 7, and got called into his "inner sanctum" at 8.

Here, too, medieval customs prevailed. No one simply walks into the committeeman's office. I was escorted into the office by the committeeman's brother. The committeeman's brother announced me, waited while we shook hands,

and hugged. The committeeman motioned me to sit, than nodded again and his brother left the room.

Once the door was closed the committeeman, after polite inquiries about my family, proceeded with the business at hand. I didn't know it but I had called on several Niles Township board members while walking the precinct over the weekend. They called the committeeman to tell him I did a good job. They were also impressed that I said I was a substitute captain, and didn't usurp authority.

The Committeeman continued that since the current captain had retired and spent winters in Florida he had decided to "kick him upstairs" by making him a party vice president. I was to become the precinct captain. I had won my spurs.

Looking back, it's possible those board members were alerted to my walk. They may well have waited for my visit, than evaluated my talk. I'll never know for sure.

But being a precinct captain placed me in line for a job and an office. I was slated to replace a township official who was moving almost exactly a year after we unpacked the last moving crate.

FEUDALISM AND THE LOYALTY COMPONENT "BREAKING THE FEUDAL BOND"

I also quickly learned there is no such thing as a free lunch, or a gift without strings. Knights of old went to war with their lords every year. They were expected to perform brilliantly, if they wished to keep their fiefs.

Precinct captains are expected to perform, no matter who is running. And not every candidate has as pure a heart as Sir Lancelot. Further, the Committeeman knows how much each captain can lose, and reminds him/her of it, usually prior to election. This adds stress to an all ready stressful situation.

Like Camelot, there's always intrigue. Case in point: during the early 1980s I mentioned that I was impressed with a certain candidate's performance. This candidate was not endorsed by the party, and one of the party faithful repeated it to the committeeman. The Committeeman had approached a mutual friend to ascertain if it was true, telling my friend that he would check into the matter. I was never consulted.

My friend, upon telling me, warned me to be very careful of everything I said. The walls have ears, and he suspected my walking partner of betraying my trust. So did my husband. I ultimately ended my walks.

Disloyalty is the cardinal, if not mortal sin in politics. Traitors are often referred to as Judas'. The disloyalty charge amounted to nothing less than treason. A knight doesn't betray his lord, and I wasn't asked to give my explanation. All I had done was state I liked a certain candidate's style.

Some time later I told my Committeeman I had only complimented a debating performance, but had actually worked preparing written analyses for his preferred

candidate. And what did the Committeemen reply? "Why didn't you come and tell me?" That raised a few flags. How was I to explain how I knew about the matter without betraying my friend? Was I guilty until proven innocent? If the Committeeman had a question, shouldn't he have called me?

Prior to the election, each captain sees the committeeman to make a preliminary report. I never said a word. The Committeeman kept asking questions about what I said on the precinct and asked me to put on a button. It made no difference; the preferred candidate lost.

Committeemen, like lords, also expect to be informed about any event of import in the family. In retrospect the following seems comical, but it wasn't at the time.

I didn't know it at the time but I had a slow growing non-malignant brain tumor. But by the summer of 1987 I was sick; my eyes dimming; teaching ability diminished; memory shot.

I was ill the night of the township meeting; going out to coffee afterwards was actually painful. So I was glad when I got home, undressed and ready for bed. I was combing my hair when my husband, Allan, walked in and asked me several times if I was all right. I dreamt I told him I was fine. Then realized it was a waking dream.

I couldn't answer. "How odd" I thought," this is aphasia." The next thing I remembered was being hustled into an ambulance by my husband and son. I had suffered a *grand mal* seizure.

Two days later my doctor informed me I had a brain tumor. Two weeks later it was removed in a 10 hour surgery. And while all of this was going on I was finalizing arrangements for my son Sol's Bar Mitzvah. I remember that event mostly through the pictures.

Once I recovered I learned my illness had displeased the Committeeman. Why hadn't I told him about the tumor? I visualized Allan holding up the ambulance, stopping the operation because the committeeman hadn't been notified. This was funny, sad and maddening all at the same time.

After I recovered I came to see him to make amends. He told me all would be well if I sold three tickets to his next fundraiser. It was three weeks after the surgery. Fortunately my mother and my lawyer purchased the tickets.

I recovered completely and resumed my precinct and elective duties. But somewhere in all of this that invaluable band of feudal trust had been broken. My political future in Niles Township was hanging by a thread.

That thread broke in 1998 when Congressman Sidney Yates retired. There was a three-way primary and when the dust settled, State Representative Jan Schakowsky had won election. I supported Schakowsky in direct opposition to the Committeeman's choice, and I walked into his office and told him so. Sometimes the demands of the moral compass outweigh the demands of the Committeeman. That race received nationwide coverage.

Shortly afterwards I wrote a guest essay for the local paper about how I felt about the race. No one at party headquarters was amused. I didn't know it then but the

day I informed him of my decision to support Schakowsky would be the last time I ever spoke to him.

The next year I worked on a park district election for three independent candidates. They won; I wrote another editorial, not mentioning any names, whatever. That ended all ties with Niles Township organizations.

I was given the modern equivalent of medieval interdict and banishment. And it hurt. It's never comfortable discovering that many of your old friends loathe you.

On the other hand, medieval religious doctrine is crystal clear: When the Spiritual and Temporal swords duel. The individual must take up the spiritual sword, lest his/her soul is compromised. Sooner or later everyone encounters a "make or break" decision. It's expedient to go along. But to ignore the conscience places the soul in jeopardy. It may not be easy, but personal peace depends on retaining integrity.

What I didn't know was that others noticed what happened to me for following my conscience. Further, the balance of power in the suburbs had shifted. Evanston Township's, party the Democratic Party of Evanston had a far higher weighted vote. Further, the congresswoman, committeeman of Evanston Township, and my state representative, neighboring Chicago alderman all had noted my work and loyalty to conscience. The Chicago alderman and committeeman of Evanston asked me to join their parties, and neither minded the other.

I told the Committeeman of Evanston I'd be happy to join if I could have right of conscience. The Committeeman laughed, "Of course! We're all alpha-type females here."

This knight had acquired new lords and a liege lord in one fell swoop. But it took time to re-earn my spurs. By Election 2000, I was tallying and assisting the ward coordinators; Primary 2002, assisting Evanston's challenger in taking the County Commissioner's seat away from my former committeeman. By election, 2002 I was co-coordinating an Evanston ward.

When the party gathered for the 2003 annual meeting they changed the bylaws so I could become a voting member.[31] My voice cracked as I voted for the first time in 4 years. Then I looked at the program and discovered I was listed as a certificate of merit winner. Life was getting better.

Finally the Committeeman walked over and whispered, "May I announce your appointment to the board?" This knight was a free-lance no longer.

[31] I live in the area of Skokie that sends its children to the Evanston schools. The bylaws committee decided that since our family pays 75% of its taxes to Evanston I should have a voting membership.

FEUDALISM AND CAMPAIGN ETTIQUETTE
THE ROAD TO ST. CRISPIN'S DAY

Campaign etiquette also follows feudal format. It's the equivalent to medieval war. Election campaigns often begin up to 2 years before the election. Who becomes a candidate?

Prospective candidates usually:

- Have previously distinguished themselves in campaigns, the modern equivalent to medieval warfare
- Possess a record in community service, the modern equivalent of administering manors well
- Live an honorable life, the modern equivalent of following the laws of chivalry

Modern campaign procedure follows medieval formulas. As late as the 16th century, all knights and courtiers only acted after informing their lords and liege lords.[32]

This translates into informing each of the committeemen in the candidate's district, local officials, party regulars, selected media, possible campaign committee members, political cause activists and fundraisers.

In the case of state offices and above, it involves informing the political heads on the state level, congress-people and senators. This process often takes up to three months.

The prospective candidate sometimes makes alliances with other candidates, thus increasing the campaign base and gathering additional strength. This parallels alliances between manors.

Like medieval generals, the prospective candidate also draws a campaign plan. This plan may be shared with the committeemen to show commitment and get advice and support.

Campaign preparation parallels medieval warfare in the development of issues. Candidates look at the issues that may well affect them. Will their opponents attack their experience, their record? Where are their opponent's weaknesses? Each of these is studied before the first press release is sent to the local paper.

Numbers also play an important role. In medieval warfare each side estimates the number of soldiers it will take to win. Each candidate estimates a "magic number" which is the number of votes required to ensure victory. This has to be done with care. Underestimating the number of votes subtracts from credibility, amounting to bad strategic planning. All of this needs to be drawn up prior to approaching the committeemen or fundraisers if the candidate is to garner support.

Once the candidate informs the committeemen, he/she opens a campaign account and begins raising money. While both can be informed at more or less the same time, fundraisers often ask how the committeemen or local leaders view the

[32] Philippa Gregory, *The Queen's Fool*, NY: Touchstone, 2004.

candidacy. All of this is the modern equivalent of raising the medieval army prior to the battle.

Attention must be paid to the timing of the candidacy announcement and filing. It's the equivalent of a declaration of war. Declare prematurely and the candidate loses momentum. Declare too late and another competing candidate may have materialized, or perhaps the candidate may not be taken seriously.

Campaign plans must be executed meticulously. Unorganized campaigns reflect disorganized candidates. Battles are won through good organization.

Image looms large in political campaigns. The candidate must appear stable with a flawless past. This corresponds to the officers appearing without blemish; knights without blemish. A good candidate appears with spouse as often as possible. A good knight always wore his lady's colors.

Modern candidates prosper if they exude some regard for religion. This sometimes gets confused with fanaticism. It need not. Medieval parallels suggest being courteous and showing up at a house of worship, especially before and after battle.

Regard for religion also reinforces the character issue. Like the knight who lived by the chivalric code of conduct, the candidate must have no serious skeletons in the closet; no scandalous financial dealings. But minor infractions are often overlooked. Henry V's carousing was overlooked once he assumed the throne.

President Clinton's non-inhaling of marijuana gave everyone a good laugh. But material in Jack Ryan's divorce file forced him to withdraw from the Illinois U.S. Senate race. Alan Keyes attempted to mount a campaign attack against Barack Obama based on the latter's lack of morals, resulting in Keyes looking like a petty idiot. The radio talk show host from Connecticut lost the election by over 30%. No one likes a sanctimonious candidate. Mr. Keyes has kept a low profile since the election.

Modern candidates must follow the rules of chivalry while campaigning. Snide and negative campaigning, like poor warfare, will only lose the battle. One candidate confused negative campaigning with hard hitting campaigning. After being excoriated in the press, the candidate lost, getting humiliated in the bargain.

Shortly after the election this candidate noted she listened to poor advice. Any good medieval general would have told her to take advice carefully and never violate chivalric law.

A candidate, like a general must be able to inspire the campaign workers. Here, too, Henry V comes to mind. On the eve of the Battle of Agincourt, Henry's troops were outnumbered, and out supplied. Worse yet the field was wet; the weather cold.

The British were fighting far from home and tired after a long march. The real Henry V may not have given the St. Crispin's Day oration; he may not have been that eloquent. But whatever he said, the English king rallied his troops, and they paid him back by winning against all odds.

Elections feel like the day before St. Crispin's day. On the eve of election, even the snappiest campaigns feel tired and frightened. Some campaigns never develop the proper *esprit des corps.* These campaigns lacked the "fun" factor.

I've been on some campaigns that have gotten bogged in details and petty rivalries. One of my duties has been to train volunteers in Election-Day intricacies, whatever the state of the campaign.

That's when the St. Crispin's Day oration has proved invaluable. Understanding Election-Day duties isn't all that difficult. But the work can be dreary, and the day itself worrisome.

I end my trainings with excerpts from Shakespeare's St. Crispin's day oration, and it never fails to inspire workers, no matter how tired. Medieval warriors understood the brutal nature of war. Politicians know that all campaigns get brutal as Election-Day nears.

Those lines:

We few, we happy few, we band of brothers;
For hi to-day that sheds his blood with me
Shall be my brother, be he ne'er so vile
This day shall gentle his condition:
And gentlemen in England now a-bed
Shall think themselves accurs'd they were not here,
And hold their manhood cheap whiles any speaks
That fought with us upon Crispin's day."[33]

Even the most jaded campaign worker cheers. Everyone, even the pamphlet passer, needs to believe their actions have a higher purpose.

Election-Day, like the battle has certain rules of conduct. Precinct workers should never intimidate the voters, or the other workers. It's not permissible to bully the election judges, or the voters.

These rules are analogous to medieval rules of war. Combat must be between equals on the battlefield. Non-combatants should never be attacked. Children must be spared.

Henry V again provides excellent examples. The French, sensing their loss, cut behind the lines, murdering the baggage boys. Henry bewails this act of barbarism, takes the body of one of the dead boys over his shoulder, an orders a *Te Deum*. As he marches across the battlefield at the head of the troops, he carries the child to the wagon for a proper burial.[34]

Medieval rules of chivalry apply to election's aftermath. Like the medieval general there are forms that must be followed. Winners, in true medieval style, must be gracious, and never gloat. Losing an election resembles losing a battle.

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[33] St. Crispin's Day oration, Act 4, Scene 3

[34] Lee Marvin does the same thing in the movie, The Big Red One. Marvin's outfit liberates a concentration camp. Marvin discovers a young Jewish boy who dies in his arms. Marvin picks up the dead child and trudges through the camp for hours.

A gracious loser will live to fight another day. A defeated candidate who handles loss with grace will run to win another day. Almost every successful candidate has gained seasoning from losing an election.

Finally, the tenor of elections follows a medieval format. If the election like medieval battle occurs in a somewhat centralized state, the battle will follow the rules of war. If there's a tie between central and local government, the election is usually civil. But if there's no sense of empowerment from above, the election degenerates into turf war. As Robert L. Wharton, President and CEO of CEDA pointed out, elections require a continuum of power and expectation of fairness to remain civil.[35]

The middle ages lacked computers, electricity, cars, heat and indoor plumbing. But the forms laid down at court and at war are still with us. Was that Henry V preparing nominating petitions behind the desk in headquarters?

THE RITUALS

Medieval history permeates modern political ritual. As in the middle-ages, ritual stabilizes everyday and political life.

Medieval monarchs, armies and VIPs traveled with standards. These announced the personage within the procession, allowing proper preparations to be made.

Posters and signs perform the same function in modern day politics. On several occasions I've marched with Congresswoman's Schakowsky's delegation. On occasion I've carried the standard. Those are always heady moments.

Just as nobles passed out coins and largesse, politicians pass out souvenirs. Congresswoman Schakowsky passes out small cardboard fans, stating, "I am a Jan fan!" Judge Jeanne Cleveland Bernstein passed out emery boards. Tokens show the official's and/or candidate's love of constituents…just as tokens revealed the nobles' affection.

Throughout the middle ages servants and guards wore suits with the insignias of their employers called liveries. Politicians pass out T-shirts and sweatshirts with their names and logos. Supporters wear these when accompanying their candidate on parade etc. Thus, the livery lives on.

The retinue came into being during the Middle Ages. Important people always traveled with a troop of servants to protect help feed and amuse them. These were called retainers, gentlemen or ladies in waiting. Political officials and candidate never travel alone. Each keeps a retinue with them to show their power.

I was a ward coordinator on Election-Day, having three delightful children in tow. They were preparing a report for their schools. They took some pleasure in following me, and tallying the precinct election results. I began introducing them as "my retinue." Everyone, children included, enjoyed the joke.

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[35] The Wharton Equation stipulates that less power at the national level results in local elections degenerating into turf wars.

During the middle-ages royalty and nobility used less important relatives and friends to represent them. Candidates use surrogates to represent them, most often on the campaign trail. Sometimes a candidate may have a schedule that doesn't require a huge retinue. When the candidate is escorted in that manner it's said he/she is traveling with an escort or lady in waiting.[36]

When a noble or royal personage entered a room, the court curtseyed. When the President enters, everyone stands. This courtesy is also afforded congresspersons and judges.

When lawyers, professionals and academics gathered during the middle-ages they always wore robes. Judges always ascend the bench in robes. Academics wear them on formal occasions. Office holders and lawyers usually conduct business wearing suits.

The taking of office, coronation etc. was always solemnized by a church ritual. Elected officials also take office with an oath, much solemnity.

SOME CONCLUDING THOUGHTS

There's more reason to study medieval history than simply because it's there. Like it or not, we still live in medieval times. Medieval history is still with us.

Our medieval legacy imparts grace to our poor tired post 9/11 world. It steadies us, and helps keep us sane. Medieval history sets logical limits and structures to areas that can grow deadly at the drop of a hat.

It's also defined our political system, making it workable. We may yet again fall into chaos. It's comforting to know that our medieval ancestors created systems and rituals that serve us in time of need.

Studying medieval history taught me courtesy, tact, kindness and wit. It also taught me how to view the complex, accept it, and make it workable.

Medieval History: It may well be our key to survival. It took 40+ years but now I have the answer. Survival depends on understanding the past and its' impact on present and future. Medieval history is always there, always the key. Thank you, Clio!

[36] Gentlemen in waiting were also employed.

DESPERATELY SEEKING ARTHUR HIRSCH OR WHAT HAPPENS WHEN WORLD HISTORY MOVES INTO THE NEIGHBORHOOD

By

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DESPERATELY SEEKING ARTHUR HIRSCH OR WHAT HAPPENS WHEN WORLD HISTORY MOVES INTO THE NEIGHBORHOOD

INTRODUCTION

This workshop results from my research into the life of Arthur Hirsch, and his involvement of the smuggling of Vladimir Lenin into Russia from Switzerland. Mr. Hirsch confided his knowledge of Germany's involvement with Lenin's entry into Russia to my husband, Allan in 1955. Allan, who had been employed as the delivery boy in Hirsch's dry cleaning business, shared his knowledge of the incident with me one Saturday morning over breakfast. Thus began my quest to find out more about "Operation Lenin trek", and more about Arthur Hirsch.

"Easier said than done" certainly applies here. For the next three months I had Hirsch on the brain 24/7. Somehow he entered every conversation, discussion and argument. One of my somewhat exasperated colleagues finally blurted, "Judith, just write the paper. Arthur Hirsch is turning you gray!"

Completing this paper didn't stop Hirsch from being in my thoughts. Students in one of my classes became curious about this paper, and asked for a summary. I summarized, asking for questions. Some asked about how I found various facts and dates. But the last student asked, "What did it take out of you, Doc, to write this paper?" My truthful answer was, "I'm speculating and I still don't know Arthur Hirsch."

The search continues…

RAISON D'ETRE FOR WORKSHOP

Arthur Hirsch isn't unique. Our neighborhoods are filled with people who like Arthur Hirsch, played roles in historical pivotal events. But they don't wear signs, much less talk about the parts they played, almost as actors. They played their role, spoke their lines, walked off the stage and went home.

But these people add a whole new dimension to history. Too often historic personages are characterized as cardboard, larger than life forms, rather than human beings. Understand them as human beings, get to know them, and it becomes possible to view historic events in sharper, more complex focus. Their presence lends depth to the historical canvas.

This workshop focuses on finding links to historical events in the neighborhood, rather than the research library. It encompasses such techniques as:

1. How to look for people with links to historical events

    - Volunteer at a senior center
    - Volunteer at a hospital
    - Visit with an older relative

2. How to ferret out clues

    - Listen
        - The Lady in the chair next to mine in the beauty shop
        - Ask an older relative about their youth
        - Share a recipe
        - Keep eyes open

3. How to conduct field research

    - Chamber of Commerce
    - Historical Society
    - Library
    - Look for friends
    - Think
    - Ask for help

4. How to link the neighborhood with the wider event.

    - Why did your subject come to this neighborhood?
    - What does this tell you about the culture?
    - What does this tell about the neighborhood?
    - What does this tell about people?

5. How to use this research as a class project.

    - Gather the group; define goals
    - Assign each a piece of the project
    - Have due dates
    - Be tolerant
    - Talk about what is found, and how it makes the group feel
    - Divide the presentation
    - Invite members of the neighborhood to socialize with the class

6. How to handle the emotions this work engenders.

    - Discuss the need to keep a distance
    - Have a buddy system
    - Grieve when necessary
    - Step away when reality blurs

PART I
20 MINUTES
THE HUNT FOR ARTHUR HIRSCH

Summary of Arthur Hirsch's life and tools employed to find out more about him.

These include:

- Friends.
- Recollections.
- Legal documents.
- Suggestions and brainstorming.

PART II
30 MINUTES
"WHO ARE THE PEOPLE IN YOUR NEIGBORHOOD?"

Discussion will center on:

1. How to find people or relatives of people who may have played some role in pivotal events.

2. How to find resources that will shed light on their lives.

3. How to expand the search to diverse cultures.

4. How to connect your neighbor to the historical event.

PART III
20 MINUTES
GROUP WORK
DESPERATELY SEEKING HISTORY

The workshop will be divided into groups. Each group will develop a project based on a possible person in their neighborhood.

Each group will determine:

1. How to find out details of this person's life.

2. Create a research plan.

3. Discuss why this person is important to today's events.

4. Explore making this project into a class project.

PART IV
CONCLUSION
GROUP REPORTS
NEXT STEPS

Groups report on their projects. Reports include:

1. Possible person.
2. Modes of research.
3. Objective of research.
4. Adaptability to class project.
5. Future work.

E-mail addresses will be exchanged to enable on-going communication and work towards discovering living links to history in the neighborhood.

In the meantime I'll continue my hunt for Arthur Hirsch.

1. Title of submission:
PSYCHOANALYSIS AND THE TRUTH FAIRY

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Abstract

PSYCHOANALYSIS AND THE TRUTH FAIRY

In this paper, which was originally written for a conference on "Scientism: Is Science the Standard," I wondered why some intellectuals—myself included—continue to stick up for psychoanalysis in the face of so many detractors. My intentionally provocative reply is: It's because the critics believe in the truth fairy and the advocates don't. Psychoanalysis isn't about discovering the truth about oneself because (a Kierkegaardian point here) the self is an achievement, not a discovery. Here is a defense of Freud's legacy that Freud himself surely would not like. Psychoanalysis isn't "true" and it doesn't "work." These ways of putting things misrepresent what "self-knowledge" is all about. Neither does psychoanalysis seek to "do" something, so it's muddled to press the question "what does it do?" I briefly review several radically differing psychoanalytic perspectives, all descendants of Freud, and argue that the diversity of potential psychoanalytic interpretations underscores the appropriately creative nature of psychoanalytic inquiry rather than undermining its credibility. After elaborating on this account of the psychoanalytic process, I compare it to a notion that parallels what the philosopher John Austin proposed about "performative utterances," in a middle ground between truth and fiction where, rather like what the umpire says in baseball, saying makes it so. (The entire paper is available at http://jmichaelrussell.org/Truth.htm)

The Enigma of Salvador Dali: A Freudian Perspective

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The Enigma of Salvador Dali: A Freudian Perspective

Starting at the turn of the century an overwhelming realization collectively grasped intellectuals creating a crisis in philosophy as well as several other fields. The catalyst to this paradigm shift was Sigmund Freud with his extraordinary work The Interpretation of Dreams. The concept which came out of the interpretation that held Europe in such a state of confusion was that of the unconscious. The idea that our own mind is something secret to our own comprehension seems to go against sense. However, Freud opened the possibility that not only does the unconscious exist, but that such mental activity can manifest itself in physical afflictions. In less severe cases, serving general pleasure principles, Freud came to understand dreams as the medium by which the unconscious finds gratification.

Specifically, the unconscious uses dreams as a articulation of its desires (Eagleton 136). The unconscious is primal and lacks adequate means by which to communicate thus must express itself visually. It was this work on symbolism which affected Salvador Dali so intimately. This notion of dreams as a visual expression of our unconscious lead him to pursue the artistic implications of this notion (Haftman 12). While Freud was a profound influence on Dali and his work, one must consider other issues that lead to the development of surrealism to gain full appreciation of the work accomplished. Starting with World War I the development of Dadaism created the idea of art as primitive, nihilistic, even ironic. It was a response to the particular horrors of the war and a general notion that this would be the war to end all wars. With the industrial age at its heels and the advent of scientific progress the world barely resembled the primacy from which it came. Suddenly the second reality of a world people had come to understand revealed a new set of questions that failed to follow old answers. War had itself brought the advent of twentieth century technology uncomfortably close to home.

The development of Dadaism came from the idea that the unconscious should be expressed through unbridled creativity. Previous art had been constrained by formalism, aiding people in filtering their unconscious expressions. Leaving out the constraints of acceptable society freed these artists to seek truth unfettered. Particularly, Dali's interestin Psychoanalysis and himself being swept up in the movement of Dadaism lead to surrealism. This movement also neglects the rules of logic and realism seeking to get at the truth of our experience, which means explicating the unconscious. Dali did not simply distort his images and manipulate things for mere novelty. In fact his reasons were of a loftier type. Not only is Dali a brilliant painter but wrote prolifically as well as had a passion for the study of natural life. "Dali regarded himself as 'swimming between two kinds of water, the cold water of art and the warm water of science (Ades, 11)'".

Amongst his studies in the sciences Dali became interested in psychoanalysis which served as an interesting catalyst to his own work. The mind contained, as Breton argued in the first Surrealist Manifesto, hidden forces manifested in such things as dreams, parapraxes and neuroses which are a no less real experience for the human subject than that of theexternal world (Ades, 12). Realism considers the world to be independent from human subjectivity. Phenomenologists beginning with Husserl took this to be a problem because it negates the importance of people in the world.
Dali understood the significance of people in relation to the world, and art. “[T]he painter's sensibility and mode of seeing has been compelled by inner necessity to

accommodate itself to this second reality, in order to do justice to these deeper and more complex experiences (Haftman 11).” The problem of realism for Dali lead him to realize that pressing realism into extreme detail confuses one's sense of reality (Hughes 7). This opened a whole field of visual play, two forms of which he exploited to confront these issues. Among his favorite optical illusion is that of the double image. This is done by making the picture so that it looks like two different things. For instance in his Invisible man 1929-32, there are figures of many people but they themselves are composed of different people or various objects. This application of different meanings may be understood by Freud as indicating something in relation to both images and connection that makes them in essence the same. For example, in The Metamorphosis of Narcissus 1937, initially one makes the connection of Freud's theory of neuroses including narcissism characterized by an inflated sense of self.
This comes from the Greek myth of Narcissus who was so enamored by his reflection that he drown in the pool where he looked at himself. "…the hand sprouting from the ground, holding an enormous egg – from whose cracked shell a narcissus sprouts – can be made to 'turn into' the figure of Narcissus in the background, gazing into the pool (Hughes 8)." The figure on the right being very light and optimistic looking makes the other figure seem so much darker, as if to make the point that that which is beautiful and full of life easily can be destroyed in the visage of its own being. To push the point further the figure which seems to evoke light and beauty is covered in ants while in its shadow a dog consumes meat, an ominous symbol.

The second illusion which fascinated Dali is anamorphosis. This is a way of distorting an image such that when it is viewed straight on it seems unrecognizable, however, viewing the image from a different angle reveals the image in its natural appearance. This experiment may have more to do with the advent of photography and the understanding of visual waves. In particular, visual indicators may be manipulated beyond recognition yet in some ways they are still cognizant through persistence.

To push the Freudian objective, the manipulation of the object's dimensions could translate to a manipulation of our ideas so they may escape the recognition of the preconscious and thus becoming fully conscious. For Freud the development of the personality begins in infancy. The child dawns on the advent of her sexuality beginning with her mother. Freud goes through a series of stages concerning the sexuality of the subject; oral and phallic are the important stages concerning this inquiry. The oral stage focuses on the incorporation of objects as a source of oral gratification. Freud believed that for the child breast feeding is an erotic encounter between the mother and child. The mother serving as the initial and most prominent object of desire for the child. Dali refers to this in his own work The Enigma of Desire – My Mother, My Mother, My Mother 1929. As well as Memory of the Child-Woman 1932 and Imperial Monument to the Child – Woman 1929. In each of the pictures a woman's bare chest is shown and each has its own sense of obscurity. In the Enigma the woman is cut, while the foreground is occupied by an odd figure where the words ma mere are scribbled on various parts. The Memory features the woman's bust fitted with a man's head. The Imperial Monument is a much stranger picture making references to wild animals and the analogy of them and leering men who look menacingly onto the woman below. Sex is a very common theme in his art. Generally Dali focuses on the nude female, where as references to men in this sphere touch on the issues of the phallic stage. In the phallic stage children begin to

understand their genitalia as a source of pleasure. This new pleasure is something young boys desire to share with their mother who is the initial object of their affection. This of course leads to what Freud called the Oedipus complex. Young boys desire their mother as a sexual partner whereas the father is seen as competition. Namely the father appears as the one who possesses the mother and the child fears that if his desires were known that the father would punish him. Boys perceiving that girls lack a penis are convinced that they will be castrated despite this threat never having been made (Eagleton 134). Dali exhibits the issues of this stage in his work Myself at the Age of Ten When I Was the Grasshopper Child – Castration Complex 1933. In this it appears as though the boy is kneeling by a table, the boy's head and the table stretching off into phallic shapes. The boy is recognizable only by his sailor collar. Dali's relationship to such desires had an effect on his personal life, his mother's death in 1921 was a significant event. His understanding of pleasure himself stemmed from his mother's womb, a place he wished to return. He spoke of it as two fried eggs without a pan, such imagery was made manifest some ten years after her death in Fried Egg on the Plate without the Plate 1932 and Fried Eggs on the Plate without the Plate 1932 (Schiebler 24, 27).

Dali himself experienced his own childhood to be very erotic, including an exploration of autoerotism. The Great Masturbator 1929 imbues the fear and eroticism that surrounds the subject. Schiebler specifically connects the subject of Dali's work to his passion in terms of Freud's concept of sublimation. What sort of libidinal energy is responsible for Dali's incredible amount of work? "On the one hand there was The Great Masturbator, a distanced and full thought-out representation of sexual experience which had come into being during a month of monastic solitude after his first meeting with Gala (Schiebler 32)." In fact the changes in Dali's life and much of his art revolved around Gala. In many ways she helped him to overcome issues of childhood sexuality. One work which he began when he first met Gala The Accomodations of Desires 1929, shows his beginning in his rebellion against the father. This particular work represents a reconciliation of Dali's pleasures and the reality principle. Gala for him was an outlet to his sexual desire and during his relationship with her she helped him to mature. As in The Accomodations, Dali seeks to expose the wild fear of desire and pleasure as something thin, malleable. The paper lion represents this new found attitude towards his pleasure, something that only appears frightening (Schiebler 44). Dali references his father more explicitly with his various depictions of William Tell. In his own consideration of father son relationships he refers to Tell by way of the endangerment of the son by the father. Tell puts his son at risk by shooting an apple off his head. Dali felt similar endangerment from his father who kicked him out of the house when he learned of his affair with Gala who was still married at the time. This translates into a form of the Oedipus complex for when Tell murders the tyrant he is in a way murdering his father for the tyrant is displaced into this role because he forced Tell to endanger his son. At the same time Tell is endangering his son he identifies with the authority figure of the tyrant whom he murders. The identification of the son with the father is one of Freud's conditions for a healthy move beyond the Oedipal stage. Dali in this way used Tell as the reference to his father, as in William Tell 1930, The Enigma of William Tell 1933, The Old Age of William Tell 1931, but he specifically identified with his father in William Tell and Gradiva 1931. Dali shows Gradiva as really being Gala and the father represented here as Tell alludes to his belief in his father's jealousy of Dali's relationship. In a way it is his

father taking what is his, but in so far as he had the relationship with Gala, she was beyond the father's grasp. Dali in this sense may be the father figure, making that identification with his father in a moment of his own dominance. Freud felt that the identification of the son to the father was in a way a realization that he will some day take that role himself.

Dali and Freud alike have been scorned for their explicit consideration of the profane. Freud was criticized for the sexual nature of his theories especially concerning children. Freud was not deterred by these remarks, however, because he understood sex to be a significant part of our lives. For Freud to avoid tough questions concerning sex and other perversities of human psychology would to be denial of the truth. Dali felt much the same way when confronted with the disturbing nature of his work. "Dali rightly pointed out that a censored dream was no dream at all, but a conscious construction; if his colleagues were interested in the marvelous workings of the unconscious, they must take them warts, dung, and all (Hughes 9)." It is absurd to scorn those whose studies reveal something vile, for their investigations have only revealed the truth. If we were to avoid all which makes us uncomfortable, confused, sad or angry there would be little progress indeed.

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Les défis de la Francophonie

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Les défis de la Francophonie

La Francophonie est un concept à la fois linguistique, politique, économique, culturel et artistique. A son acception traditionnelle, s'ajoutent de plus en plus des connotations qui rendent sa définition plus complexe tant au niveau théorique qu'à l'échelle pratique. De là aussi une nouvelle conception de la Francophonie dont résultent des situations du même ordre de complexité au sein même des pays francophones et dans le contexte mondial. De point de vue linguistique, le terme a subi une évolution certaine depuis qu'il a été forgé au 18e siècle. I a fallu invente le mot, certes, car des peuples autres que les Français ont commencé à parler français, conséquences directes de la colonisation française et sa politique d'assimilation, ou indirectes des effets de l'influence de la France sur les pays colonisés, même après l'indépendance. Cela nous ramène à la signification politique de la Francophonie, qui n'est pas sans lien avec sa portée économique laquelle s'affaiblit au fur et à mesure que l'aide économique apportée par la France aux anciennes colonies diminue, ainsi que par l'intégration de celle-ci dans l'Union européenne. De même, l'aspect culturel de la Francophonie s'étend en s'éloignant de plus en plus du centre hexagonal ; et l'aspect artistique aussi s'élargit et s'enrichit par des références culturelles et artistiques locales, propres a chaque pays membres de la Francophonie. Ce sont là de véritables défis que, dans cette communication, nous allons identifier, examiner et analyser. Aussi la Francophonie doit-elle faire face et surmonter ces nouveaux défis, condition essentielle de sa survie.

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Media-Polis-Violence Relationship as Sample of Turkey

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MEDIA-POLIS-VIOLENCE RELATIONSHIP AS SAMPLE OF TURKEY

People, living in any society, have basic needs such as living in descent and secure conditions. Furthermore, people need to keep themselves informed about what is happening in the world. In order to satisfy these needs, some institutions like police and media must be established.

Both the press and police organizations should do their best to carry out their mission. They have to know that they are the most important institutions for the people's welfare. Otherwise, many problems including high rates of violence, anger, and intolerance will occur.

Not only does violence refer to being physically attacked but it results in emotional and intellectual damages. If we consider violence from this view, violence is one of the ways of achieving any goal. There are many kinds of violence, but the important point is that what kinds of things cause violence. People learn violent behaviors through a number of channels. These can be their family, their friends, media and such.

Media has become the main way of establishing an information channel between the person and the outer world. It uses many resources for informing people almost all over the world. The world has become like a small village with this improvement. The written media has especially become one of the most effective ways to bring information to the people.

People have the liberty of learning information via the media. When they learn some new information from media, they also learn some delinquent and violent

behaviors that may influence them in bad ways to some degree. Police have to control or prevent the society from their behaviors to provide peace in the society.

There is a strong relationship among the media, violence, and the police.

One of the most important aspects is the media's effects upon its readers. Articles and broadcasts about violence may have more negative effects upon readers. This kind of news can affect the peace among the people in any society.

News, including that which focuses on violence, affects the police's ability to properly do their job and build the peace in the society.

In order to explore this question, in February 2003, a survey was administered to 976 police officers working in Istanbul. These officers, including 29,451 responders, were also read and watch violence news from television and press. That research was made upon 976 police officers working in different areas and different ranks in Istanbul in 2003.

Most of the sample says that they like their jobs very much. They are working in very hard working conditions, though they choose their jobs and like it. They read books and journals in their spare times. It shows that they have open minded upon the events happened in the city where they work and live.

The news including violence causes the violent behaviors. Some people have learned some violence motifs via reading the violence news from the presses. Than they use the same kinds of behaviors to the other people. This shows that the presses are one of the causes or sources of the violence behaviors in the society.

News of violence in the press causes the lack of trust on the people living in the society. As a result violent behaviors are increased and the ratio of criminal behaviors increases at the same time. They affect each other. At the end of this

situation a lack of peace in the society exists. Although, there are not enough personnel to work all these areas, police managers solve this problem with increasing the working hours of the police officers. All the police officers don't like this situation, but they have to work. This situation reduces the work performance of the police officers.

The media are mostly effective in Turkey to give information to the people and to construct public opinion. However, the press has to be neutral, and prepare the news objectively. If the press give the news including the events which police did that event even if only one police officer did as all police organization like those, these kinds of events and news affects the public opinion upon police made negative. On the other hand, these kinds of things cause the public to distrust the presses.

Both the media and police have similar missions, in that both aim to serve the public and both care the quality of their services. If one institution gives wrong information about the other it can cause negative effects to other public institutions. If the press gives all the bad news about police, the public will see the police as part of the crime but not part of crime prevention.

The negative effects of media on police officers are exacerbated by police managers who choose to remain silent for the news in media which negatively influence their personnel. Such behavior of the police managers deteriorates trust of police personnel to the mangers.

The news including violence at the presses affects negatively the police's motivation, family life and social life. These kinds of news make the police officers unhappy and pessimistic.

If the news, including violence at the presses control and they don't include all the things, it will cause the police behaviors' change from negative to positive. Again this will cause to change the police's opinion about the presses from negative to positive. With this positive atmosphere the quality of the institutes will increase. In the end, these kinds of things will cause the social welfare in the country.

For the quality of the police organizations in the society, I propose the following:

1- If somebody has some damages, we can not say there is a limitless liberty in that place. For the public safety the presses don't think only their circulation. They should give the news objectively, and without any violation of human being.

2- The police really want to be very helpful for the public, but the lack of the regular job hours doesn't let them do their best. They work overtime; because of this they become tired both physically and psychologically. To solve this problem, the work hours of police should be reviewed.

3- Education and training programs are the most important issues for all the institutes and also the every person. For this fact all the members of the police and the press should have to periodically attend education programs.

4- The presses should regularly give the good things police do. However the presses don't give these kinds of news. They prefer presenting information about bad events to the public about police.

5- Police managers need to control the information that they give to the journalists about the police's organizations. They should give enough information to the journalists, and they give that news to the public.

6- Police officers should behave professionally at their jobs. The managers should prepare some management models to prevent doing the job emotional.

7- The press should not exaggerate the news especially that which deals with violence. They give those kinds of news with a mere spit.

8- A department at the National Police should be established to make a speech after the events including police. This department gives information to the media, and with this media don't want to get information from any other resources to give that event to the readers.

9- A journalist should be deferential to the rights and the truth. She / he should try to give true news to the public.

10- A journalist should give the news directly, without giving his commentary. He should get the information, photos and documents about an event from the regular ways.

11- A journalist doesn't accept any illegal things to give information or prepare news. If a journalist begins to prepare news with Money, it means there is no journalism there, and there is only prostitution in that place. That journalist has to know that human

being is the most important than any news. That journalist doesn't forget that he/she is first a human being, than a journalist.

1. Books as Objects / Body as Art: Winnifred Eaton and the Performance of "Japanese" Identity in the Early 1900s
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6. Abstract:

In this paper, I propose to use Johanna Drucker's theories about illustrated books to examine the "Japanese" works of Winnifred Eaton, the first Asian-American novelist. With their lavish bindings and watermarked pages presenting scenes from Japanese life, Eaton's novels (published under the pseudonym Onoto Watanna) exemplify Drucker's theories about books-as-objects. This is important, as these illustrations move beyond mere complements to their texts: they participate in the performance of a "Japanese" identity that both Eaton (who was Chinese Canadian) and her multiracial heroines strived so hard to attain. Like the kimonos, obis and ornamental fans with which Eaton posed for official photographs in the early 1900s, the illustrations on each page of her text act out scenes from Japan that seek to reify her (false) identity as a Japanese-American novelist. This is in complete contrast to the works published by Winnifred's sister Edith (pen name Sui Sin Far), who not only embraced her Chinese heritage but sought to expose the prejudices that Chinese Americans faced in texts that were not illustrated - and which had a vastly smaller circulation. If Edith laid bare the difficulties of her life in books that presented themselves as books, not objects, Winnifred helped to objectify herself through the intricate presentation of her illustrated novels - and her body as art. In the end, she became like her heroine in *A Japanese Nightgale*, who was so performative that she ended up on stage in 1901 in a drama that competed for New York's attention with David Belasco's presentation of *Madame Butterfly* by John Luther Long. Meaning, Eaton herself became a work of art: her body was illustrated no differently than her texts, becoming in the process an imitation Japanese *objet d'art* at the height of the "Japan Craze" at the *fin de siècle*.

CORN MAN

~a vegetable fantastical play with music"

Written by Janice Fronczak **Music by Deanna Walker**

***Poster Design by Sara A. Weibye**

Public Reading with an international cast featuring UNK Student Scott Schneider as Corn Man.
Other cast members include: Suk-Young- Kim, Jill Carter, Dwayne Brenna, Jessica a. Burkey, Debra Hale

Plot:
A disgruntled ear of corn escapes the cornfield to go and "discover" himself. Stuck on page 16, Corn Man pulls the Playwright into his story. As the two plod along, Corn Man meets up with such fascinating and colorful characters as Potato Man and She-Corn Man. Trying to make sense of his meaningless life, Corn Man exchanges places with the Playwright only to learn that his rightful place in indeed, back in the corn field. Of course all the while, the characters sing as they ponder their existence.

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Morality, Mortality and Medieval Art:
John Ruskin's Readings on Art

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Morality, Mortailty and Medieval Art: John Ruskin's Readings of Art

Of the many philanthropic ventures sponsored by John Ruskin (1819-1900), **(Figure 1)** all of which were linked to his firm belief that through various educational enterprises he could reform and improve British Victorian society, one has survived into the early twenty-first century: The Guild of St. George Museum in Sheffield, England. Today it serves as a repository for a portion of the works Ruskin collected for his museum for the working men of Sheffield, and serves as a major research center of Ruskin studies. Ruskin's decision to fill his museum with art from the Middle Ages and the early Italian Renaissance deserves special attention. In the 1870s, in the heart of the industrialized Midlands, Ruskin established in Walkley, a suburb of Sheffield, a museum for workers. **(Figure 2)** It was to be an educational center, and the collections assembled by Ruskin were to be the tools to communicate Ruskin's passionate belief that the joint study of nature and art could better the minds and condition of men. "The teaching of Art, as I understand it, is the teaching of all things." (29:86) [1] Ruskin's decision to utilize medieval and early Italian Renaissance art as his didactic devices for the self-improvement of the workers was grounded in two of Ruskin's beliefs: namely, that the joint study of art and the natural sciences could reveal the truth of reality and that the art from these two

[1] All such citations refer to the Library Edition of *The Collected Works of John Ruskin*, eds E.T. Cook and A. Wedderburn, 39 vols. (London, 1903-12)

periods were free from the desire for personal fame and not subject to the self-indulgent virtuosity for its own sake he disliked in the art produced in the High Renaissance, Baroque artists of later periods, and his own Victorian culture. The purposes and programs of the Guild are best understood through reading the correspondence in the Rosenbach Museum and Library in Philadelphia, between the Ruskin and Henry Swan, his disciple
and the first curator of the museum. [2] Swan had been attracted to Ruskin after hearing one of Ruskin's well-attended public lectures before the Working Men's College in London in the 1850s. Swan was hired by Ruskin to oversee the museum at Walkley in 1879 and remained in place with his family in the cramped cottage quarters of the Guild of St. George Museum until 1889. **(Figure 3,4,5)**Ruskin had grandiose plans for a much larger structure, a marble lined interior designed in imitation of St. Marks in Venice with a skylight over its long gallery and the banishment of any illumination by "explosive oil" or gas. In the end, only a small addition was made to the modest Walkley building in 1884. Ruskin's participation in the project wavered as he suffered from increasing mental disorders. When Swan died in 1889 the town of Sheffield offered to assume responsibility for the collection. The site and modest character of the original museum building surprised many.

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[2] For a detailed discussion of the Ruskin/Swan relationship, see: Susan Casteras, "The Germ of a Museum: arranged First for 'Workers in Iron': John Ruskin's Museological Theories and the Curating of the St. George Museum," *John Ruskin and the Victorian Eye* (New York, 1993).

Edward Bradbury writing in *The Magazine of Art* in 1885 observed:

> It was odd for Mr. Ruskin to select sunless Sheffield as a casket for his delicate art treasures--admidst the noxious vapors, and trees that look like blackened skeletons in the slag and cinders of roaring foundries.[3]

There were those who appreciated the rare objects that Ruskin had assembled for the workmen to study. William C. Ward writing for *The Art Journal* in 1882 noted Ruskin's donation of the only Verrocchio painting known in England, important drawings by Andrea Mantegna, Hans Holbein, and a number of Dürer engravings and medieval illuminated manuscripts, some original and some copies made by female followers of Ruskin who were coached by Swan.[4]

Ruskin bombarded Swan with letters seeking news of how the workers were responding to the collection and his programs of study for self-improvement. Ruskin was committed to providing easy access to his Museum. He instituted Sunday opening hours; admission was free to students; the library with its books available to all was at the core of the Museum in a well-lit room with comfortable seating. Ruskin's idealism was tinged with common sense. He did not expect his workers to spend long periods of time in the Museum but imagined that they might visit the collections for intervals of about fifteen minutes. He sensibly noted that " the main difficulty we have to overcome is, not to form plans for a museum, but to find the men leisure time to muse." The occasional visit to the Guild's Museum

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[3] Edward Bradbury, " Mr. Ruskin's Museum at Sheffield," *The Magazine of Art*, 11, 1888, 346.
[4] William C. Ward, "St. George's Museum, Sheffield," *The Art Journal*, 1882, 242.

would provide a balance from "the daily toll of industrial labor and the restorative enjoyment of the beautiful." [5] But Ruskin expected a serious moral and aesthetic commitment from his visitors. The Museum and its collections were created to educate visitors through the study of objects to improve their minds and thereby bring about a reform in British society. For Ruskin, medieval art was best suited to this goal because it was created by a culture not driven by materialism and the machine but rather by an epoch of genuine faith, notable for its fine hand craftsmanship. Ruskin wrote to Swan in May of 1885: "Put everything away but what people can see easily, and keep the rest clear and comfortable.... (it is vital) to save the visitor the trouble of hunting for his field of study through the length of a labyrinth."

He wrote in his geological treatise, *Deucalion*, that "in all museums intended for popular teaching, there are two great evils to be avoided. The first is superabundance; the second is disorder." Ruskin's museum practices followed his advice. He displayed all the works of any single artist as a group, never mixing the works of artists, and created small units devoted to a single theme. For instance, the installation of the large watercolor he commissioned of the facade of San Marco by John W. Bunney **(Figure 6)** was placed in a niche surrounded by drawings, engravings, plaster casts of portions of the building, and photographs of the basilica

[5] Casteras, 199.

Ruskin had commissioned from his valet Hobbs. Ruskin's tenet, which has been accepted widely only in this century, was the display of objects in their original condition. He was violently opposed to the restoration of works of art by misguided hands which vanquished the original character of a work of art. Everything was aimed at legibility. The ideals of the museum were designed to reach beyond the walls of the Walkley building. In *Fors Clavigera* , a series of open letters to the working class of Britain, Ruskin proposed in 1875 to write a manual for art instruction for the Guild members, lists of books for recommended reading, works of art for self-improvement which could be borrowed from the museum and taken into the home, and a list of works of art that should be purchased by the great national museums in Britain and on the Continent for the improvement of the masses. Art and books to Ruskin came only after food and shelter as life-affirming sources for all mankind.

Copying art to Ruskin's way of thinking was a mode of learning. He wished his students to borrow drawings from the Museum's collection so they might study them closely at home and improve their eye and hand. In his Elements of Drawing published in 1857 Ruskin encouraged the practice of drawing to attain a knowledge of Truth. "The whole technical power of drawing depends upon on our recovery of what may be called *The Innocent Eye*----as a blind man would see if suddenly gifted with sight." Art for Ruskin was more than the mere transcription of physical reality. To him, it was the fullest expression of the relationship of humankind to nature and to God. All natural forms revealed the innate beauty and harmony of the universal creative power.

The arrangement of the objects in the museum visually confirmed Ruskin's way of seeing and thinking----his own sense of history . The Guild of St. George Museum was a learning laboratory where works of art were displayed side by side with geological specimens and exhibits of flora and fauna to foster an intellectual appreciation of the essential ties between the natural world and the visual arts. In surviving photographs and engravings of the Museum one can see the juxtaposition of objects from Ruskin's collection of natural science and casts of sculptures ---the world of art married to the natural sciences.

Sculpture as an artistic medium in Victorian England held a place far inferior to painting, but Ruskin, from his deep and abiding admiration of Gothic and early Italian Renaissance sculpture, saw sculpture as the foundation of all painting. Thus, in the Guild's Museum sculpture shared space equally with works on paper or canvas. The casts, and some original fragments collected by Ruskin on his first trip to the Continent with his parents, were largely taken from French and Italian Gothic buildings. Ruskin had these placed closest to the library in cabinets which allowed visitors to remove them for study at tables and compare them with works illustrated in books. His mineral collection was displayed to best advantage with gems and stones placed atop colored silks or with stones such as opals placed in containers of water to bring forth their color and beauty. Every attention was given to artful display of the objects within the museum.

Ruskin's critical judgments carried great weight with the reading public. He was distinct from other journalists and critics of the day in his ability to describe and interpret works of art in convincing and colorful language. As George Landow remarked, the incredible success of Ruskin's public lectures and his many published works was based on his adaptation of the combined techniques and vocabulary of sermon and biblical prophecy.[6] He was unique in his sweeping educational goals, which encompassed all segments of society, and in his notion of artistic responsibility. If often dictatorial and judgmental on artistic probity, his criticisms were not meant to be cruel but were motivated by his real desire to encourage artists to do their very best. Ruskin was ahead of his time in realizing that art in its widest context provides an indication of the cultural and moral vitality of a culture; conversely one can read the deterioration of a culture in the decay of its art and patronage.

Ruskin's travels assisted him in formulating his ideas on the critical value of medieval and renaissance art for his own sense of history and morals and provided the motivation for the collections he assembled for the working-class visitors to his own museum. Ruskin's name was made at an early age from the enormous success of the first volume of *Modern Painters* published in 1843 (when he was only 24). In this book he catalogued a whole series of disasters he encountered on his Continental sojourns. He was horrified by the wholesale destruction or the highly questionable

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[6] For discussions of Ruskin's prophetic rhetorical language see: George Landow, The *Aesthetic and Critical Theories of John Ruskin* (Princeton, New Jersey, 1971), *Elegant Jeremiahs: The Sage from Carlyle to Mailer* (Ithaca, New York, 1986) and "How to Read Ruskin: The Art Critic as Victorian Sage," *John Ruskin and the Victorian Eye*, New York, 1993, 52-79.

restoration of historic buildings being carried out as his contemporaries attempted to modernize their surroundings. His was the sole voice crying in the wilderness to save this art from destruction. Ruskin lamented in
The Stones of Venice::

> Nearly all that was historically of value in the great cities of Europe has been swept away by shopkeepers. The extent of ravage among works of historical interest may perhaps in some measure be estimated by the following facts:
>
> At Beauvais---the magnificent old houses at the corner of the marketplace, supported by columns of workmanship unique in the north of France, have recently been destroyed for the enlarging of some ironmongery and grocery warehouses. At Rouen--the last of the characteristic houses on the quay is now disappearing. When I was there I witnessed the destruction of the noble Gothic portal of the church of St. Nicholas, whose portion interfered with the courtyard of a new hotel. At Tours--one of the most interesting pieces of middle-aged domestic architecture in Europe, opposite the west front of the cathedral, is occupied by a cafe. At Geneva---the wooden loggias which were once the characteristic feature of the city have been entirely removed within the last ten years.
>
> At Pisa, the old Baptistery is at this present time in the process of being "restored", that is dashed to pieces; and common stone, painted black and varnished, substituted for its black marble. In the Campo Santo (the burial ground), the invaluable

> frescoes, which could be protected by merely glazing the arcades are left exposed to wind and weather. (4:37-41)

When first visiting the Campo Santo with his parents, Ruskin had proposed a subscription drive to provide glazing for the Gothic arches that surround the quadrangle**.** Ruskin continued:

> At Florence The Old Refectory of Santa Croce is used as a carpet manufactury. In order to see the frescoes I had to get on top of a loom. In June, 1846, I saw Gentile da Fabriano's *Adoration of the Magi* put face up in a shower of rain in an open cart; on my suggestion the possibility of the rain hurting it, an old piece of matting was thrown over its face and it was wheeled away. A large Perugino in the Academy whose divine distant landscape is now almost concealed by a mass of ultramarine painted over it, apparently with a common house-brush by the picture cleaner.--- At Padua the rain beats through the west window of the Arena chapel, and runs down *over* the frescos. In Venice in September 1846--I saw three buckets set in the Scuola di San Rocco to catch the rain which came through the canvases of Tintoretto from the roof. The marbles of St Mark, and carvings, are being *scraped down* to make them look bright; the lower arcade of the Doge's Palace has been brilliantly white-washed inside, splashing the capitals all over---breaking most of them; the entrance porch being restored, the operation having already proceeded as far as

> knocking off the heads of the old statues; an iron railing painted black and yellow has been put around the court.[7]

In this long list of crimes against the past it is interesting that Ruskin is concerned not only with the preservation of monumental religious and civic buildings but more modest domestic structures as well. Ruskin spent a good deal of his inherited fortune commissioning artists to produce drawings or photographs of works he felt were endangered. In 1879 he requested of Henry Roderick Newman, an American ex-patriot who had settled in Florence in 1869, views of several of the most threatened historic buildings. **(Figure 3, Henry Roderick Newman, *A View of Santa Maria Novella, Florence*, 1879, watercolor, Maier Museum of Art, Lynchburg, Virginia)** Newman skillfully rendered the façade of the venerable Dominican foundation in Florence, Sta. Maria Novella. This Gothic building whose geometric facade was completed by Leon Battista Alberti between 1458-70 was a great favorite of Ruskin. He had the drawing installed in the St. George Guild Museum for study. Beginning with his first solo trip to France, Germany, and Italy, Ruskin took advantage of the camera. He was perhaps the first scholar to create photo archives in order to record the appearance of historic works of art. During his ill-fated honeymoon in Venice, his wife Effie records

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[7]Certainly the most splendid late gothic palace in Venice is the Ca'd'Oro (1422-ca. 1440), whose elegant facade has been recently carefully restored. Writing to his father on September 23, 1845, Ruskin described in dismay an earlier restoration he was witnessing: " You cannot imagine what an unhappy day I spent yesterday before the Casa d'Oro---vainly attempting to draw it while the workmen were hammering it down before my face....but fancy trying to work while one sees the cursed plasterers hauling up beams and dashing the old walls and shattering the moldings, and pulling barges across your gondola bow and driving you here and there, up and down and cross; and all the while the sense that now one's art is not enough to be of the slightest service. " (8:243)

that he amused and confounded the Venetians with his mode of gaining an understanding of the nature of the construction and decoration of the basilica of San Marco and the Ducal Palace. **(Figure 4, Ruskin Photograph of "Vine Angle" of Doge's Palace.)** In his analyses of these buildings and for his *The Stones of Venice* Ruskin reproduced his photograph of the sculpture of Adam and Eve picking the forbidden fruit and his drawing of the "*The Fig-Tree Angle* of the Doge's Palace, **(Figure 5, John Ruskin, *The Fig-Tree Angle",* 1869, pencil)** reflecting his passion for the organic vitality he found in Gothic sculpture and architecture**.** Ruskin preferred this portion of the palace because of the combined effect of architecture and sculpture. Effie wrote to her mother-in-law:

> Nothing interrupts him and whether the Square is crowded or empty he is either seen with a black cloth over his head taking Daguerreotypes or climbing about the capitals covered with dust and cobwebs. [8]

In 1880 Ruskin hired Arthur Burgess to take a series of photographs of the exterior of the cathedral in Rouen. **(Figure 6, Arthur Burgess, North Portal, Rouen Cathedral)** The photographs were placed in the collection of the Guild of St. George but not before Ruskin executed a suite of drawings of the condition of the North Portal, before its "restoration." Ruskin's thoughts on the restoration of decaying works of art was totally original in the nineteenth century and has only found support in the late twentieth. In 1969 Britain's most respected architectural historian, Sir Nicholas Pevsner,

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[8] Mary Luytens, *Effie in Venice*, London, 1965, 69-70.

published an essay in which he drew parallels between the attitudes toward medieval architecture and restoration of Ruskin and of his French contemporary, Eugène Viollet-le-Duc. Both theorists argued that the virtue of the Gothic style was that it reflected the beliefs and aspirations of medieval society, an idea that seems to originate with Victor Hugo. Ruskin characterized medieval buildings as a sort of workman's breviary: "a Gothic building is the work of the whole race, while a picture or stature is the work of one only." The study of a Gothic building allows "the penetration of the culture, and the unrecorded life of the people through their works of art--the innocent and invisible people of whom historians take the smallest notice, except when they are robbed or slain." However, the practice of these two theorists on preservation of medieval art could not have been more different. In his highly influential *Dictionnaire raisonné de l'architecture française* (1854-68), which Ruskin read with enthusiasm, Viollet-le-duc defended his practice of radical restoration. He wrote " to restore a building is not just to preserve it, to repair it, and to remodel it, it is to re-instate it in a complete state such as it may never have been in at any given moment." Viollet-le-duc's work has been censured this century for his radical rebuilding of some of France's most revered medieval structures. His redesign of the pilgrimage church of St. Mary Magdalen at Velezlay is often criticized. He removed sculptures, most notably the tympanum decoration of the central portal, blocked up windows, introduced new windows, and altered the roof line. Ruskin, on the other hand, hired artists and photographers to record the state of ancient buildings and never endorsed any modern additions. Pevsner makes much of

Ruskin's comment that after reading Viollet-le-duc's, *Dictionnarie* he thought that Viollet-le-duc "for art 800-1200 is the best informed, most intelligent and most thoughtful of guides." But it must be noted that Ruskin never saw any of the Frenchman's radical re-making of Gothic. Nor did Ruskin approve replacing stone with iron for weakened supports as suggested by Viollet-le-Duc. Ruskin argued strenuously against any modern intrusions of taste or materials on older buildings or works of art. He experienced great difficulty in defining the Gothic style; there were so many differences not only between the English, French, and German interpretations of the style which he knew well, but also in the different character of the Gothic in the regions of central and Northern Italy. He wrote to his father from Venice:

> I have had great difficulty in defining Gothic---to define an architectural style is like defining a language---you have pure Latin and impure Latin in every form and stage till it becomes Italian and not Latin at all. But....the greatest distinctive character of the Gothic is in the workman's heart and mind." (10:180n)

Verona held a special place in Ruskin's affections. **(Figure 7, John Ruskin, *Griffin Bearing North Shaft of Entrance to Duomo*, *Verona*, 1869, watercolor, Ashmolean Museum, Oxford),** Ruskin made this sketch of one of the bestial supports for the portal to San Zeno Maggiore, the cathedral of Verona. He used it for a public lecture in London several years later along with photographs of the church he commissioned from his valet, Hobbs.

In *Val d'Arno,* his ten public lectures on Tuscan art, Ruskin discussed the inextricable ties that bind sculptural ornamentation and architecture into a unified whole:

> Perhaps you may most clearly understand the real connection between structure and decoration by considering all architecture as a kind of book, which must be properly bound, indeed, and in which the illumination of the pages has distinct reference in all its forms to the breadth of the margins and the length of its sentences. (23:415)

No city on the Continent received the attention Ruskin gave to Venice. Suffering from its recent re-conquest by Austria, it was a sad remnant of its former great maritime and cultural supremacy on the Italian peninsula. Ruskin over the years came to see this city as a visual metaphor for England as a maritime power. In the decay and decadence of Venice he saw a prophecy of Britain's collapse because of her obsession with materialism and the militarism associated with her imperial ambitions.

Ruskin discovered in his researches that the written records about Venetian architectural history were contradictory or non-existent. He took it upon himself to study the building materials and techniques of Venetian builders. By far the largest number of drawings of any location executed by Ruskin himself are set in Venice. Ruskin's laborious measurements, diagrams, and intensely written study of Venetian architecture, especially the Basilica of San Marco, resulted in what is perhaps his most important contribution to

the history of art, *The Stones of Venice,* published between 1851-1853. His exhaustive study of Venetian Gothic architecture persuaded him that Gothic architecture offered a paradigm of organic, functional architecture .

(Figure 8, John Ruskin's, *Exterior of Doge's Palace*, 1845 or 1852, pen and ink, Ashmolean Museum, Oxford)

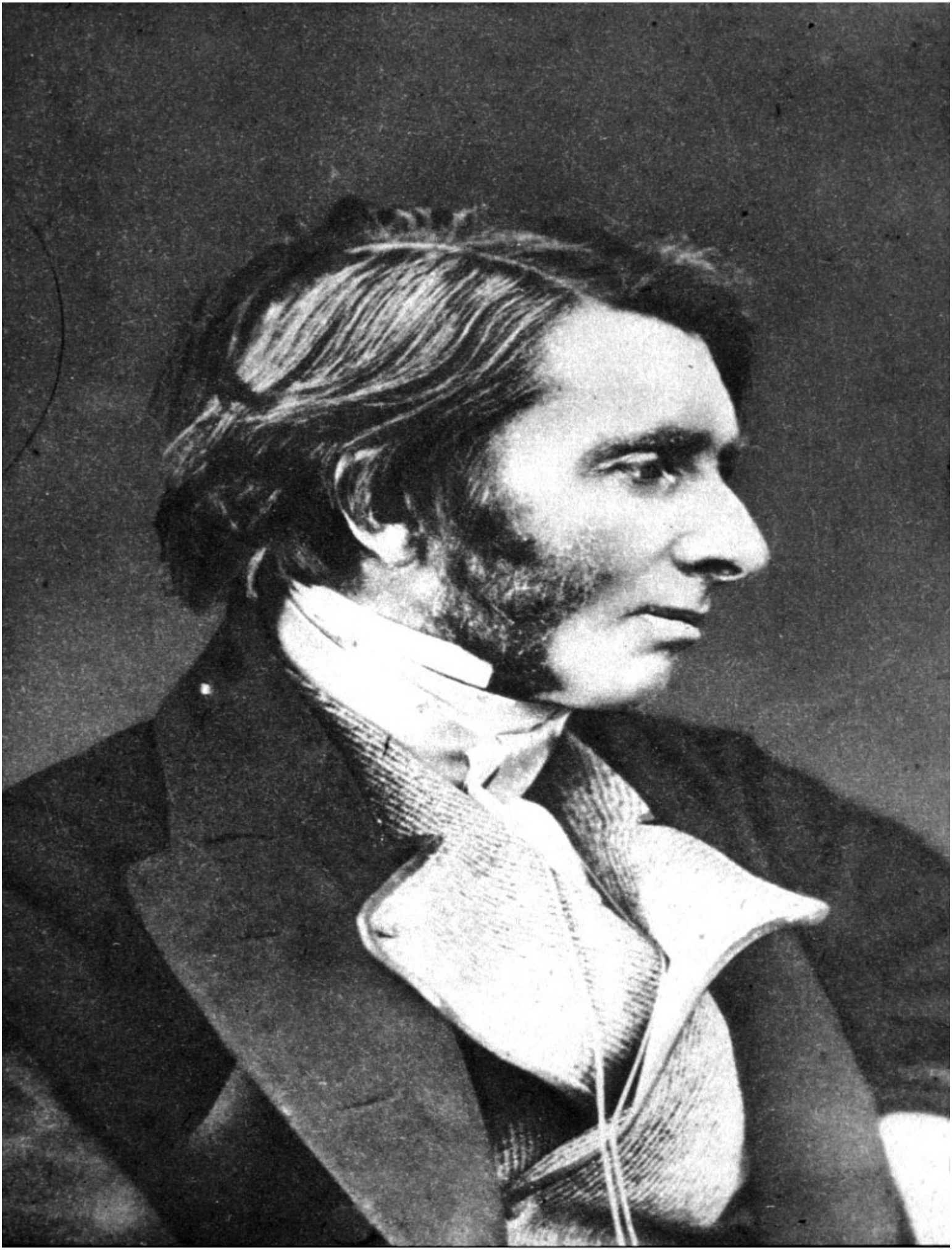
Ruskin's guide to Venice, *St. Mark's Rest* published in 1877, provides us with his key to understanding human history and progress:

> Great nations write their autobiographies in three manuscripts--The book of their deeds, the book of their words, and their book of art. Not one of these can be understood unless we read the two others; but of the three, the only quite trustworthy is the last. (10:179)

Ruskin's drawing of the Doge's Palace made in a gondola during his ill-fated honeymoon in 1852 suggests his fondness for the delicacy of Venetian Gothic. The incomplete nature of this drawing is typical. Ruskin used drawings to jog his memory and to stimulate ideas he wanted to commit to written text. His competent drawings were never designed for exhibition or sale. He did not see himself as an artist but as a guardian and guide to the art of the past. The medieval works which filled the Guild of St. George Museum were his means of rescuing his own time, awakening his contemporaries to the vital importance of sincerity in art, an art that springs from one soul to another.

Though Ruskin chose the patron saint of England, St. George, as his champion for his utopian museum program and saw himself as a virtuous knight doing battle against the forces of corruption,

injustice, and ignorance, he was, in the end , perhaps a bit closer to the Quixotic hero of Cervantes' novel, an idealist who romantically engaged the art of the past in his struggles with the culture and materialism of his day.



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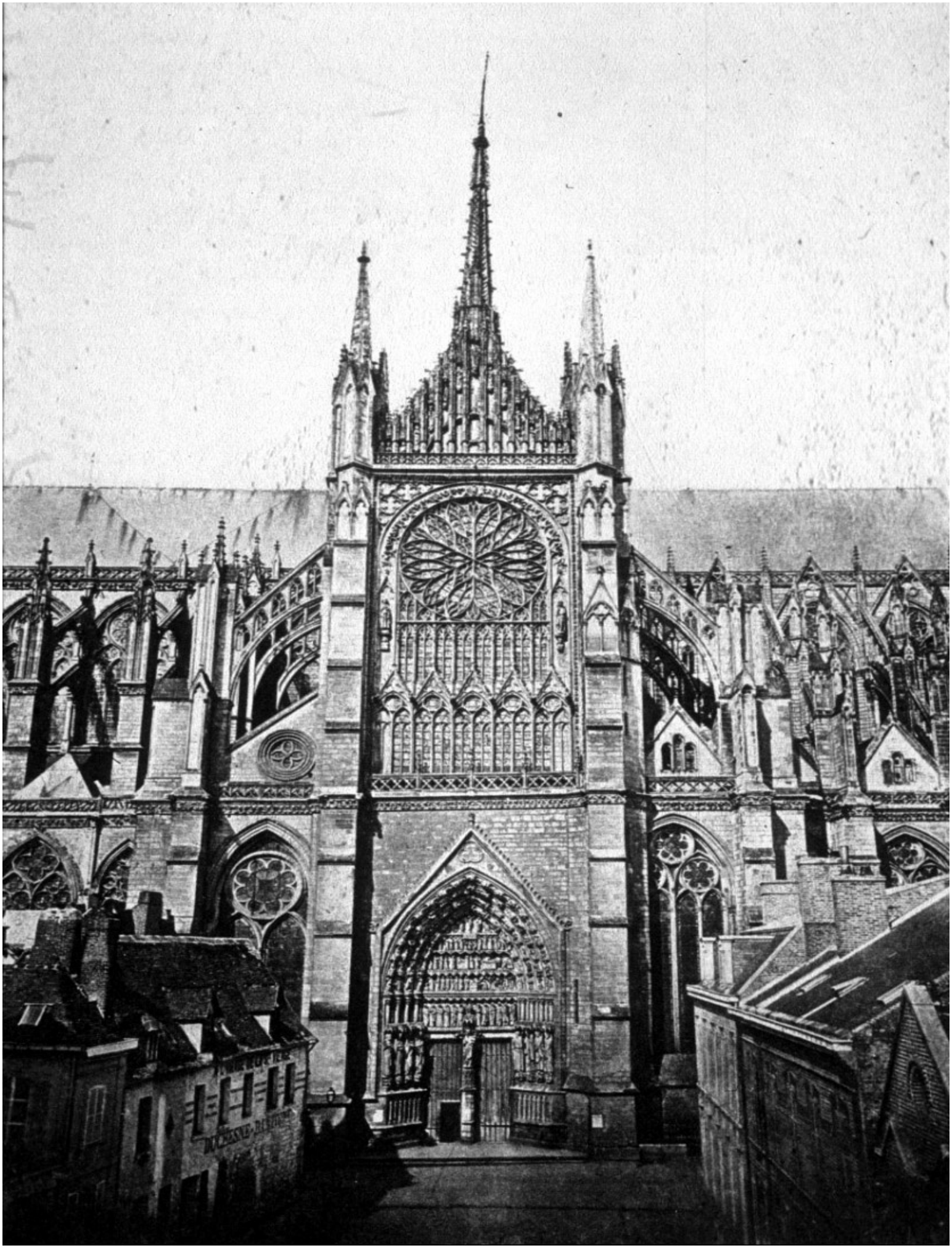

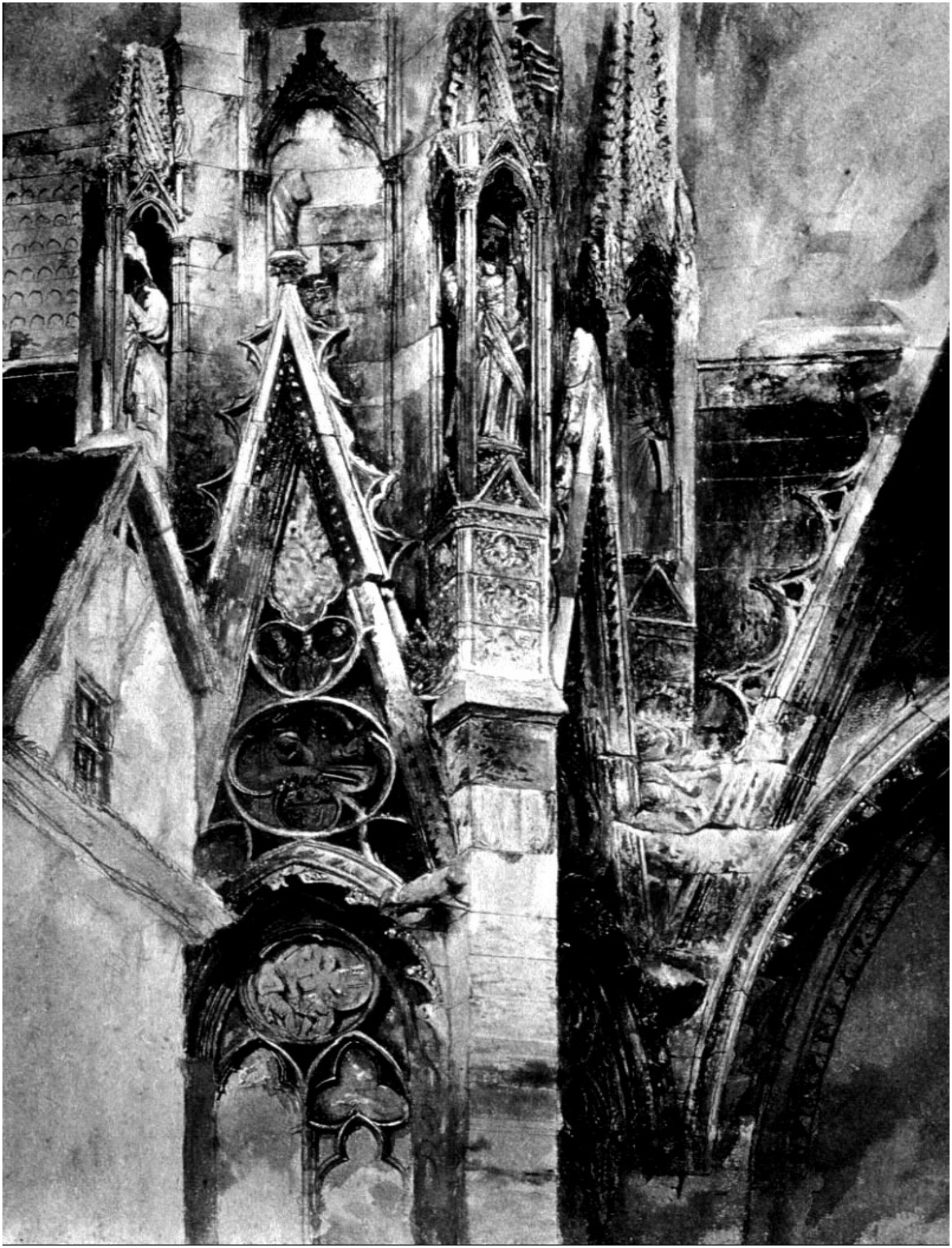

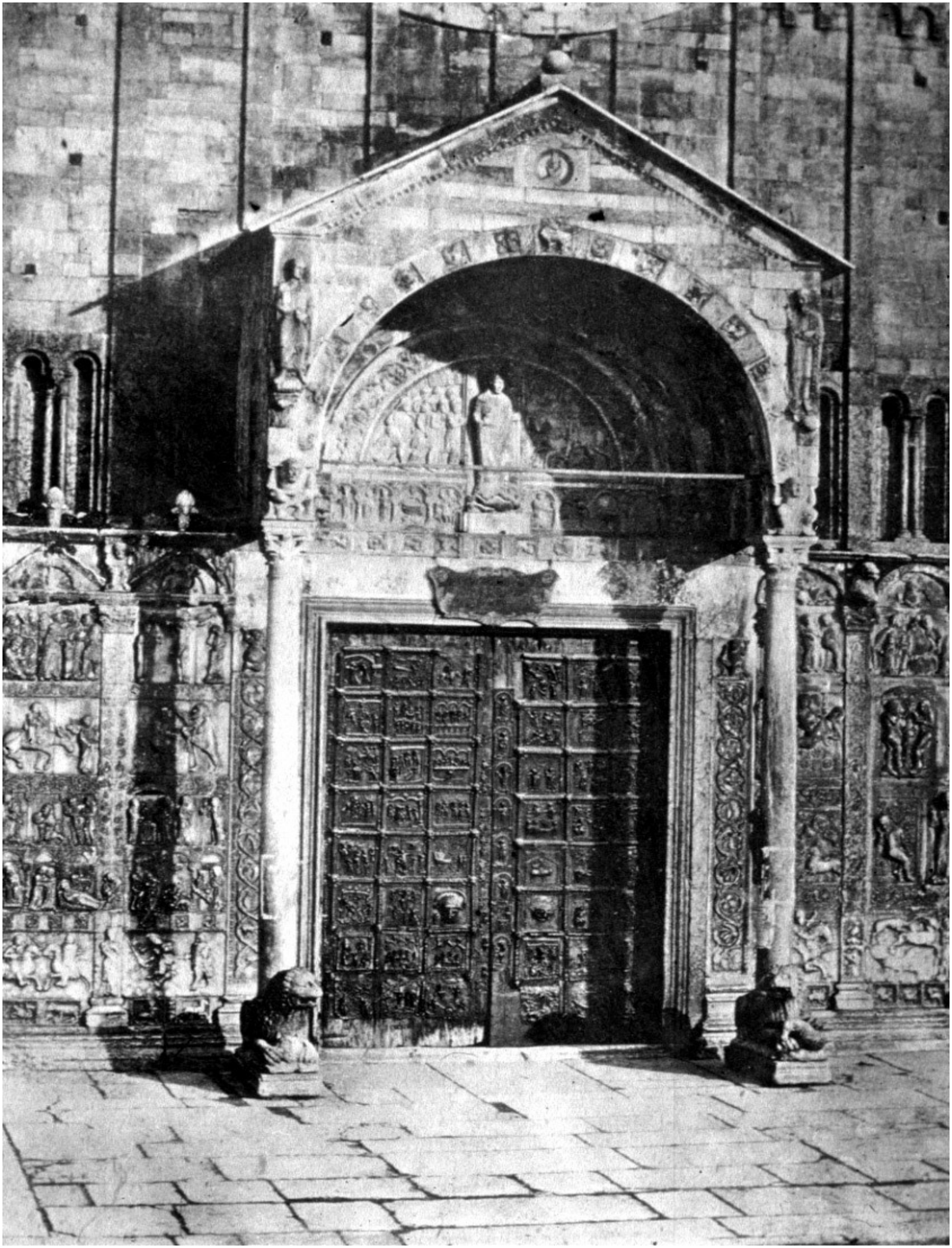

The Making of an Outlaw Hero: Jesse James, Folklore, and Late-Nineteenth Century Missouri Newspapers

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Abstract

This descriptive study notes the literary and folkloric rise of Jesse James, a Missourian, who robbed and killed, yet became an internationally known outlaw hero. Through the use of social construction of reality theories, this study places him and stories written about him as products of the crisis-filled, post-Civil War society in Missouri. An analysis of Missouri newspapers from 1866-1882 reveals stories infused with heroic motifs, insuring that James achieved hero fame during his life and in history.

The Making of an Outlaw Hero: Jesse James, Folklore, and Nineteenth Century Missouri Newspapers

Across the blood-soaked land that marked Civil War battle sites in Missouri were nineteenth-century people who remembered the horrors of battle. Out of the crucible of such suffering came Jesse James, a native Missourian, who robbed and killed for 16 years, yet managed to transcend his rural origins to become "the most famous outlaw in American history."[1] Sociologists and historians agree that crisis-filled communities, such as those existing during the Civil War and Reconstruction, use folklore and mass-mediated communication to reconstruct criminals as outlaw heroes, but few scholars have studied the role of newspapers in that transformation.

In that sociological light, this study notes the journalistic and folkloric rise of Jesse James to folk hero status, and seeks to place him; and the oral and print stories in crisis-filled, post-Civil War Missouri. The culling of such research seeks to answer the question: Did late nineteenth-century Missouri newspapers help make Jesse James a literary outlaw-hero through the use of folkloric motifs, legends, and themes?

This historical, descriptive study argues that societal crisis encouraged late-nineteenth century Missourians to formulate outlaw/folk heroic legends, which became narrative devices Missouri newspapers used to frame Jesse James as an outlaw/folk hero. Contemporary "news as narratives" research suggests that those newspapers borrowed formulaic narratives from readers.[2] Barkin notes that news values and storytelling are forged in the same cultural furnace.

> There must be villains and heroes in every paper, and the storylines must conform to the usage of suspense, conflict, ... and the triumph of good that have guided the good sense and artistry of past storytellers....[3]

In such a shared cultural environment, perhaps late-nineteenth century newspapers could successfully construct James as an outlaw-hero for readers, who embraced the images because they, too, used and understood the images.

This study also argues that late-nineteenth-century newspaper stories about Jesse James illustrate the historical, mythological role played by newspapers. Richard Slotkin in Gunfighter Nation suggests that the written legend of Jesse James is an excellent example of how the mass media of that era, which included dime novels and newspapers, used the centuries-old Frontier myth with its violent characteristics[4] and effectively diffused such myths throughout the nation.

Slotkin writes:

> After 1873 Jesse James was taken up by national media as the central figure in a mass-cultural myth of social banditry.... The case of Jesse James suggests that in modernizing or adapting the ideology of social banditry to capitalism, mass culture gradually replaces real historical deeds and political struggles with generic mythologies.[5]

This is an intriguing argument that could account for Jesse James' national appeal, but it does not consider that people use oral and written narratives for psychological and communal reasons that are divorced from economics.

Historical journalism research analyzing stories in late-nineteenth century newspapers for folkloric elements about James should do much to resolve such concerns. Kent L. Steckmesser, who examines how folklore transforms the historical reality of Robin-Hood-type outlaws, writes that newspapers often aided in that unhistorical process.[6] Folklorist Richard Dorson's arguments that the history of legends would be poorer without the mass media, also is a point relevant to this study. He explains: "The itinerant theatrical troupes and grassroots newspaper editors of pre-Civil War days often drew from and fed directly into folk tradition. When media so close to the people gave so much attention to these characters drawn from the people, we can be sure their antics and sayings traveled on many lips." [7] The oral and print legend of Jesse James is an excellent case study to test the theories offered by Dorson and Donald Allport Bird. Bird's arguments[8] suggest that mass media scholars need to realize that Harold Lasswell's third communication function to transmit "social heritage from one generation to the next,"[9] is

the same as one of William Bascom's folklore functions, which transmit culture norms from "generation to generation."[10] But prior to describing methodology and explicating if late-nineteenth century newspapers portrayed Jesse James as an outlaw-hero; the oral folklore nature of the outlaw, and the crisis-filled social context newspapers operated in must be described.

Jesse James and Post-Civil War Missouri

Jesse James came of age during the Civil War. He was born in 1845 near Kearney, Missouri in Clay County, which borders the "burnt district."[11] This area of four counties along the western Missouri border was demolished in 1863 during the Civil War by Unionist forces operating under the orders of Union Brigadier General Thomas E. Ewing.[12] It was just another bone of contention for Missourians, who fought prior to the Civil War in the Border War (1854) between their state and Kansas. The violent legacy engendered by Border War lasted through the end of Reconstruction in 1877.[13]

The Border War was just one of the things dividing Missourians during the war years. The state even had two separate legislatures, one Confederate, one Union. Although only a handful of organized battles between Union and Confederate troops were fought in Missouri, residents were victimized by undisciplined men on both sides, especially the guerrillas led by William "Bloody Bill" Anderson and William Quantrill.[14] According to William Settle, it was revenge that drove Jesse James to join Anderson's raiders at the age of seventeen.[15] Robert Dyer in Jesse James and the Civil War in Missouri writes that Jesse James joined the guerrillas after Union soldiers, who were searching for his older brother Frank, beat Jesse and abused his stepfather.[16] Folklorists postulate that outlaw-heroes need compelling reasons to step outside the law.

Henry Glassie suggests that to deal with the history of such horror, people preserve outlaw heroes like James in "deathless life."[17] Glassie argues that one purpose of regional-type folklore is to indicate the depth of feeling people have for the places they inhabit. And that sense of place, of one's history, of one's folklore "joins saint to rebel,

warrior to farmer, God to man,"[18] and perhaps reader to their newspapers, especially during times of crisis.

Timothy Tangherlini describes why legends are spawned during times of social upheaval. He writes that: "Legend addresses real psychological problems associated with the geographic and social environments, acting as a reflection of commonly felt pressures.... Much of folk narrative is the human fantasy engaging in wishful thinking.[19] To deal with social upheaval, Tangherlini suggests that society take real events and weave fantasies from them or hero narratives to escape from the problems indigenous to such periods -- economic, political, loss of social status, etc. And Sociologist Paul Kooistra writes that psychologically, hero narratives are soothing to those suffering from repression and who need to release rebellious feelings. Kooistra's contends that the heroic criminal is a socially constructed, "cultural product" and "political symbol," which emerges during crisis-filled periods when people feel the law is not working for them.[20]

Jesse James and Folklore

Sandra Dolby Stahl suggests that societal ills, which create shared cultural traditions, such as the oral and written legend of Jesse James, can unite people in local and regional social groups.[21] In such an environment, newspapers and their readers probably understood legends told about Jesse James, because they used motifs and stock plots familiar to both groups.[22] If the same motifs and stock plots appear in oral legend texts and newspaper stories, this suggests the presence of communal folklore.[23] Henry Glassie suggests that the role or function of oral and print legends is best explained when the storytellers' social and physical environments or locales are linked to their text.[24]

In the case of Jesse James, places sprinkle the legends to tell about sites he robbed: "It was on Wednesday night, the moon was shining bright. They robbed the Glendale train;"[25] or hid from the law:

> There's a cave down by Hermann, Missouri where he used to hide from the law. It's a cave that goes way back into the mountains.... He used

> to go into the cave and swim under the water to the other side.... The people in them hills used to help him to get through.[26]

Each narrator refers to someone known by them: "father," "grandfather," "neighbor," who either told the story or knows someone who did, which is essential to the legend. Jan Brunvand indicates that such referencing empowers belief and infuses the legend with reality anchored by memories.[27] Those memories, like legends, are flavored by motifs and stock plots that illustrate a communal past recreated in oral and newspaper narratives.

Whether news accounts fueled the ballads and oral legends or vice versa cannot be determined. However, the popular legend of Jesse James as it appeared in Missouri newspapers did contain many of the contemporary legends. For example, there is the "widow" legend, a widely circulated oral and popular story about Jesse James outwitting a rich banker to help a poor widow.[28] This legend mirrors Orrin Klapp's clever hero, who goes along his merry, criminal way performing deeds of wily, humorous deceit.[29] Although, Settle writes that there is no proof the incident ever happened,[30] newspapers included the story in articles written in the years following the death of James.[31] This is an excellent example of how oral stories told about James were used by nineteenth-century newspapers. The widow story is an authenticated piece of folklore.[32]

And the mode of James' death on April 3, 1882, secured his place in the pantheon of folk outlaw heroes, who always are betrayed by a close friend or acquaintance. James earned the Judas motif because he died when: "Robert Ford watched his eye, and shot him on the sly, Which laid Jesse James in his grave."[33]

Methodology

This interdisciplinary, cultural study uses folkloric; sociological; and historical arguments and theories; and qualitative methods. It explores the intersection of documented oral legends and mass-mediated information about Jesse James, who was accused of committing 27 crimes from 1866-1881. To trace the literary legend, the

research period covered by this study will be 1871-1882. This eleven-year span, covers 17 crimes attributed to James, the outlaw's most productive period, and his highly publicized death in 1882. Research by the author for a longer study,[34] shows that during these years newspapers became more interested in James as he continued his criminal life seemingly unimpeded by law officers, government officials, or the Pinkerton Detective Agency.[35] Newspapers housed in the State Historical Society of Missouri will be analyzed for outlaw-heroic motifs to determine the possible presence of oral folklore in nineteenth-century Missouri newspapers.[36] Contemporary studies will provide the motifs, because there are no existing collections from the late nineteenth-century.

Dorson points out that the substantial link between print, folklore, and history spawns the creation of the "popular legend." Print-based legends are literary, folk legends are oral, and at the juncture where each feeds the other is the popular legend.[37] Legends are embellished stories told about real people. Motifs are small elements embedded in legends, which are documented and compared by folklorists to trace and authenticate the oral tradition in narratives told about folk heroes.[38] Legends often contain identifiable oral, traditional motifs and descriptive characteristics that can account for why and how a person becomes a folk hero.

In this study, both the terms outlaw hero and folk hero are used. According to the Larousse Dictionary of World Folklore, an outlaw hero commits violent and daring deeds, but is morally redeemed by a treacherous death that insures him a "loyal, brave, and heroic" place in folk tradition. The popularity of the folk hero often reveals a lot about the folk group or region and their ideals and concerns.[39]

A qualitative analysis was conducted on 36 of the approximately 53 Missouri newspapers stored on microfilms at the Missouri Historical Society. Most of the selected newspapers were available in the historical society for dates most closely mirroring this study's research period. Others were chosen primarily because of their political affiliations to determine if coverage of James was split down party lines as Settle

contended.[40] For example, the Kansas City Journal was a leading Republican organ; and the Kansas City Times was a major Democratic paper.

Analysis was conducted on the following Missouri newspapers, included in parenthesis are extant dates of publication available at the Historical Society. Dailies were: Kansas City Journal (1878-94), Kansas City Times (1871-1990) St. Louis Globe-Democrat (1875-1986), St. Louis Missouri Republican (1865-88), St. Joseph Gazette (1872-94), and the Sedalia Daily Democrat (1871-85). Weeklies include the Clarksville Sentinel (1867-1950), Boonville Weekly Advertiser (1873-1964), Columbia Missouri Statesman (1843-89), Gallatin North Missourian (1872-78), Jefferson City Peoples' Tribune (1865-83), Lexington Register (1871-80), Lexington Caucasian (1870-75), Liberty Tribune (1846-1886), Neosho Times (1870-84), Richmond Conservator (1866-1944), Charleston Enterprise (1875-89), Savannah Reporter (1876-1925), Savannah Democrat (1880-88), Bates County (Butler) Record (1868-1918), Centralia Fireside Guard (1871-19__), Fulton Missouri Telegraph (1848-1956), Greenfield Vedette (1867-19__), Buffalo Reflex (1869-1979), Albany Ledger (1868-19__), Glasglow Journal (1868-89), Carthage Weekly Banner (1866-87), Edina Sentinel (1869-1925), Brookfield Gazette (1867-1927), Palmyra Spectator (1863-19__), Rolla Herald (1869-1953), Unionville Republican (1865-19__), Ralls County (New London) Record (1865-1975), Ste. Genevieve Fair Play (1872-1976), Saline County (Marshall) Progress (1868-1917), and Memphis Reveille (1865-1969).

Each newspaper was scanned cover to cover for a two-week period following each of the twenty crimes supposedly committed by James from 1871 to 1881. The entire month after his death on April 3, 1882 was perused for death stories. The dates scanned for stories corresponding to James' crimes, and the two-week time frame for analysis are:

- June 3-17, 1871; Orobock Brothers Bank, Corydon County, Iowa.
- April 29-May 13, 1872: Deposit Bank, Columbia, Kentucky.

- September 26-October 10, 1872: Kansas City Exposition, Kansas City, Missouri.
- May 27-June 10,1873: Savings Association, Ste. Genevieve, Missouri.
- July 21-August 4, 1873: Chicago, Rock Island and Pacific railroad, near Adair, Iowa.
- January 15-29, 1874: Stagecoach between Malvern and Hot Springs, Arkansas.
- January 31-February 14, 1874: St. Louis, Iron Mountain and Southern Railroad, Gads Hill, Missouri.
- March 10-24, 1874, murder of Pinkerton Detective John Whicher in Kearney, Missouri.
- April 7-21, 1874: Stagecoach between Austin and San Antonio, Texas.
- August 30-September 14, 1874: Two omnibuses, one between Waverly and Carollton, Missouri and the other across the Missouri River near Lexington.
- December 7-21, 1874: Tishimingo Savings Bank, Corinth, Mississippi.
- December 8-22, 1874: Kansas Pacific Railroad, Muncie, Kansas.
- January 26-February 9, 1875, bombing of his mother's home in Kearney, Missouri
- April 12-26, 1875: Daniel Askew killed in Kearney, Missouri.
- September 6-20, 1875: Bank at Huntington, West Virginia.
- July 7-21, 1876: Missouri Pacific train, Rocky Cut near Otterville, Missouri.
- September 7-21, 1876: First National Bank, Northfield, Minnesota.
- October 8-22, 1879: Chicago, Alton and St. Louis train, Glendale, Missouri.
- July 15-29, 1881: Chicago, Rock Island and Pacific train near Winston, Missouri.
- September 7-21, 1881: Chicago and Alton Railroad near Glendale, Missouri.

Also included is the bombing of James' mother's home by Pinkerton agents in 1875 to determine if newspaper coverage used the revenge motif, which is included in the twelve motifs of the outlaw hero outlined by Richard Meyer. Meyer's outlaw-hero motifs is the analytical tool for this study. Meyer, who uses excerpts from ballads and legends about Jesse James, writes that twelve factors must occur to transform the outlaw into a folk hero. The motifs are:

(1) The outlaw must be "a man of the people," someone the locals can identify and rally around because he fights against unjust laws and oppressive civic and economic systems (Native son). (2) He only embraces outlawry to revenge a personal injustice (Reasons). (3) The outlaw-hero only robs the rich who are the oppressors, and gives to the poor who are his allies (Robin Hood). (4) The outlaw-hero is kind-hearted, gay, and even-tempered, pious, never harming anyone until he is forced (Gentleman bandit). (5) He does daring and extraordinary feats (Derring-do). (6) He is Orrin Klapp's quintessential "clever hero," whose wit and trickster-like skills cannot be matched by the

lumbering agents of the law (Clever hero). (7) The people not only help the outlaw-hero, but he is the subject for their admiration (Beloved). (8) He successfully evades the law (Escape artist). (9) His death is caused through treachery by a friend or Judas-like character (Judas). (10) His death is mourned by the people (Grieving crowds). (11) The outlaw-hero is gone but not forgotten; he lives on in memory and often his doppelganger appears (Undead). (12) There must be a constituency who does not approve of the outlaw-hero's deeds (Dissension).[41]

Each newspaper was read thoroughly for any mention of Jesse James, and then analyzed for Meyer's twelve outlaw-hero motifs. Each time a passage or a word mirroring one of the twelve outlaw-hero motifs was found it was counted. The preceding motifs also bear a strong resemblance to contemporary and historical news values: Conflict, impact, proximity, unusualness, prominence, timeliness, and human interest.[42] For example, conflict is found in dissension, revenge, Robin Hood, Judas, and the native son motifs. Given that journalists use news values to determine what is newsworthy, folkloric motifs can serve the same purpose. Therefore, newspaper stories about Jesse James should be well stocked with outlaw-hero motifs.

Jesse James and Missouri Newspapers: Findings

In addition to the previous oral legends found in late-nineteenth century newspapers, each of Meyer's twelve motifs was found in Missouri newspapers. A qualitative analysis of the 36 newspapers revealed 501 full-length stories on his alleged crimes and 486 stories on his death. This does not include 134 editorials, short blurbs and full-length on his crimes, and 444 on his death.

Native Son

This motif was counted in stories that noted his fight against oppression and the Yankees, his rural, common man roots, his good family background, including his wife's, the birthplace or certain areas where he lived or was sighted (Missouri, Clay County, Cracker Neck region, Western Missouri, etc.); and any mention of James fighting in the

Civil War for the South.

The native son motif appeared 151 times, most notably when his mother's home was bombed, when Askew was killed for leading the Pinkerton detectives to his mother's home, and after he robbed trains. In 1881, an editorial in the Richmond Conservator suggested that the second Glendale train robbery was caused by Yankees, who were to blame for "the deeds of devilment done by the banditti on our border,' which was "a well-conceived scheme to give Missouri a bad name and thus turn the tide of emigration now pouring into this state elsewhere.... The Yankee at times works in a mysterious way his object to accomplish and it is said that one of the leaders in the late Blue cut robbery had the regular New England twang in his voice."[43] Such sentiments illustrated the Conservator's Southern bias against Northern interests, served to cast suspicion away from James, and helped fuel the native son motif that James was fighting against Yankee oppressors for the good of Missourians.

In death stories, the native son motif made 1,076 appearances, which includes 381 citing the region where he committed crimes and lived, 248 mentions of his good family background, 214 mentions of war/oppression, and 133 mentions of his rural roots. The St. Louis Globe-Democrat depicts the native son motif in this interview with B.A. Markham, an undertaker, who buried three members of the James' gang and knew Jesse James. Markham said he "first became acquainted with the James boys when they came to Independence to attend parties. The boys were well thought of then for the reason that their father was a Baptist minister and an honest man. They lived on their father's farm, near Kearney, until they joined Quantrell's guerrilla band, which was made up of men who hailed from Jackson, Ray and Clay counties."[44] The native son motif is well defined in this passage, which includes references to James' good family background, rural and regional background, and involvement in the Civil War.

Reasons

Meyer writes that there are reasons why the outlaw hero enters a life of crime.

Analysis revealed this motif in stories about revenge, the lingering effects stemming from James experiencing the violence of the Civil War and the guerrilla training he learned in the war; and a defeated legislative resolution for amnesty for his war crimes in 1875.[45] No immunity for his post-war crimes also is a reason for James' subsequent crimes and his inability to hang up his weapons and have a peaceful life. Appearing 89 times in crime stories, the reasons' motif was noted in stories about the bombing, the murdering of Askew, and amnesty attempts. The motif also was alluded to in stories about the hanging of his stepfather and James' beating by Union soldiers during the war years. In death stories, 464 reasons' motifs were used. The Civil War and Yankee oppression topped the reasons' list with 234 motifs followed by 145 no peace reasons. The following passage from the front page of the St. Joseph Daily Gazette contains the no-peace rationale; and native son, undead, grieving crowds, and beloved motifs: "The name of Jesse James will have no grave while Missouri's history is remembered, but under four feet of the loam of old Clay his body now is sleeping. It is the only peace his troubled life could find.... No obsequies in Clay were ever so attended; to none was there ever a greater popular interest given."[46]

The St. Louis Republican in a story headed "Biographical", also extolled the reasons (war/oppression, no-peace), and native son motifs.

> The manner of their (the James brothers) entry into guerrilla warfare was similar to that which prevailed at that day, in that section,... ...after the war the Quantrill crowd were restless as ever. They were hunted and called to answer for the deeds of the border. Some ... succeeded in settling down and becoming good citizens, but a large number either could or would find no rest. The result was they... became outlaws.[47]

Readers, who read such stories, probably sympathized with this outlaw hero who had gone wrong because he fought for the South. The lingering bitterness caused by the loss of the Civil War and the humiliation visited upon Missouri by Northerners and Radical Republicans during Reconstruction helped James become an outlaw hero, who would

avenge Missourians. In the process, he would rob the rich (Northern-owned banks and railroads) and give to his poor, fellow Missourians.

Robin Hood

Despite its integral role in the oral and popular legend of the outlaw hero, and its sociological place in the rise of the social bandit, this motif did not appear a great deal in late-nineteenth century Missouri newspapers. It made four appearances in crime stories; and ten in death stories. Meyer writes that "countless instances occur in legends and ballads dealing with American outlaws wherein their criminal efforts are consciously equated with ... the figure of Robin Hood, the medieval English prototype of the outlaw-hero." Meyer notes that it is mostly within "the context of the oral testimony" that parallels are drawn between outlaw heroes and Robin Hood.[48] In the case of the analyzed newspapers, this argument holds true. Among the few incidents of the motif appearing include this example in the Kansas City Times, which features an interview with Fred A. Mitchell, who was a prominent lawyer in Jackson County, and well-acquainted with James. Datelined Chicago, the story illustrates well the Robin Hood motif:

> He was impulsive and kind to a fault. Instances of his kindness to poor Missourians are absolutely innumerable. If he found a man that he had ever known so poor he could not put in his crop, his first inevitable act would be to put his hand into his pocket and give him the money he needed, though it be the last shot in his own locker.[49]

The outlaw hero of oral legend, who robbed the rich and gave to the poor, became a popular legend to rural Missourians, who saw him as a true native son.

Gentleman's Bandit

Appearing 809 times in death stories, this motif is characterized by mentions of his good nature; piety; his kindness, courteousness, and gentlemanly behavior towards women; the love his wife bore him (how could he be so bad if such a good woman loved him?); and his role as a good husband, devoted father of two, and beloved son to his

mother. Crime stories bore the gentleman bandit motif 85 times. There was no mention of his family and only one of his piousness when he was alive. His good-natured, kindness permeated the crime stories.

During the robbery of a Texas stagecoach between Austin and San Antonio on April 7, 1874, the Centralia Fireside Guard portrayed the gentleman bandit motif: "The robbers were very tender and gentlemanly in their bearing towards the passengers and particularly polite to the ladies of the party. They wished to avoid ruffling or frightening them.... It was a very neat, pleasant job of the kind.[50]

After his death, the St. Joseph Daily Gazette interviewed several of James' neighbors. One young lady, who engaged in snowball fights with James, alias Thomas Howard, said: "I would do so again if he were alive and I knew he was Jesse James. For no matter what is said of him, I am sure he would not have harmed a woman. Nothing in his appearance or his actions but was kind and gentlemanly. Indeed I never met a more perfect gentleman than Mr. Howard."[51]

James' kindness, good nature, and piousness appeared 166 times. Dr. W.H. Price of Kearney, who said he was a former schoolmate of James, told the Kansas City Times that "Jesse joined the Baptist church ... in 1866. I think he was baptized. He was liked by everyone who knew him." Pious, good, kind James rode through the pages of Missouri newspapers like a chivalrous knight in this editorial published in the Lexington Register after the 1874 robbery of the omnibus. The article pondered the whereabouts of those who once robbed with courtly skills:

> "Where are the accomplished and gentlemanly appropriators of travelers' cash and watches? Where the polite marauders who while sternly stripping the virile pilgrims did courteously spare the feminine -- sometimes rifling only a kiss,..? To this somewhat elaborate interrogatory we answer: "They are in Missouri." "The James Brothers"....[52]

Derring-do

Closely aligned to such favorable stories are the ones depicting the daring exploits

of James. This motif appeared 272 times in crimes stories and 219 times in death stories. Numerous headlines and stories attested to his daring. A death story, "Stilson Hutchins[53] on the Career of Jesse James", in the St. Louis Globe-Democrat that was reprinted from the Washington (D.C) Post, proclaimed James' derring-do: " There may have been more daring and desperate men in the olden time than Jesse James, the Missouri bandit, who was assassinated last Monday at St. Joseph, but it is not probable that for audacity, for cool, calculating courage and resources of skill and endurance, his equal has either been seen during the last twenty years or survives him."[54] This passage abounds with favorable motifs such as native son and beloved.

One nineteenth-century journalist, John Newman Edwards wrote many articles that helped to establish the popular legend of Jesse James. His first "heroic" article about James, which appeared after the 1872 robbery of the Kansas City Exposition, did not mention the outlaw by name, but hailed the "wild audacity ...courage ... and daring" of the person responsible. Edwards, then editor of the Kansas City Times, wrote:

> Whence they came or whither they went no one knows, but they came and went, and while they stayed they made a page in the criminal history of the country that will probably stand for many years single and singular for wild audacity, reckless courage, invincible nerve and utterly indescribable daring.[55]

Fellman writes that Edwards' honorable depiction of the guerrillas, which included Jesse James, "replace[d] realism with supernaturalism....by relating the guerrillas to the stock romantic dragon-slaying hero of popular literature."[56]

Other examples of "derring-do" were found in the Richmond Conservator, which reported that after the daring robbery of the Orobock Brothers' Bank in Corydon, James enlisted the aid of people in the area: "They seemed to know every inch of the ground, and to be familiar with the names of parties along the road."

Clever Hero

James' cunning avoidance of capture made him a clever hero. He not only

outwitted lawmen, but also provided amusing anecdotes for late-nineteenth century newspapers and comic relief for their readers. The clever hero motif made 553 appearances in death stories and 130 in crime stories. The stories hailed James' disguises, how he outsmarted posses, and sent alibi letters to newspapers.

After his death, anecdotes regaling James' wit and his disguises filled the newspapers. The Sedalia Democrat and the Kansas City Times reprinted "amusing incidents" from the St Joseph Gazette on James' visits to a local drugstore, where the owner Aust Brokaw sold him cigars. During his visits, Brokaw said James "represented himself to be railroad man in quest of work and would sit for half an hour almost every day chatting and smoking and telling funny stories."[57]

According to the Kansas City Times, James cleverly read newspapers to discern the locations of pursuing lawmen: James "...no doubt read about every party sent out to catch him, and all the while was laughing in his sleeve."[58] Apparently James also scanned the papers for alibi letters he sent to them. Two days after his death, the Missouri Republican reprinted three letters from James. For example, after Daniel Askew's murder, this letter, dated June 10, 1875, from Comanche, Texas, was printed: "I can prove I was in Texas, at Dallas ...when the killing was done.... Yours faithfully Jesse." [59]

Like the cleverness of his letters and telegrams, stories about James noted his extraordinary abilities to outwit posses. The Globe-Democrat reported that the James' brothers escaped Northfield, Minnesota lawmen when they "endeavored to conceal their tracks and spoil the trail ... -- by turning in their tracks, walking on their heels and then on their toes; and by jumping."[60] His talent for disguises also was illustrated by a death story, "Jesse's Ruse", in the Savannah Democrat: "...the most successful means of concealing identity used by the famous freebooter...was a kind of dye used... for the purpose of coloring..." James' hair and beard."[61]

Beloved

Stories that praised James' daring were akin to ones that lavished him with

flattering adjectives regarding his appearance in life and in death; his possession of excellent horseflesh and the latest weapons; and his skill at planning robberies and handling firearms, The beloved motif also includes passages and words describing the amnesty attempts, sympathy over his death, imitators of his crimes, revenge for his death, admirations for his wife; and how he was helped, hidden, and supported by Missourians, which also is evidenced by the alibis printed in newspapers that were purportedly from James and other defenders. Beloved motifs were counted 1,294 times in death stories, and 116 times in crime stories.

The Lexington Register published a front-page editorial after the 1979 robbery of the Chicago, Alton and St. Louis train at Glendale. Fully outlining the beloved motif, the Register reported: "first citizens' are proud to have it known that they are of sufficient importance to be recognized as friends by these 'bold knights of the pistol,' these heroes of the hour."[62]

James' death was a propitious time for newspapers to insert the beloved motif in stories. Although it is satirical, this death editorial from the Globe-Democrat includes not only the beloved motif, but also grieving crowds, political dissension and native son:

> The Democratic Saint James, whose earthly career was unexpectedly closed on Monday last, will live long in the hearts of the people of Clay, Cass and Jackson counties. Their grief at his demise is inconsolable ...When these Democratic patriots were asked of whom they were most proud, they pointed to the James boys -- Frank and Jesse.[63]

Beloved/admiring motifs sprinkle a death editorial in the Kansas City Times, which compared James to legendary outlaw heroes like Rob Roy of Scotland, and Robin Hood of England. The editorial invoked the tenets and theories of oral folklore, including comparative analysis, and the migratory nature of motifs. The editorial concluded with the Judas and escape motifs that further illustrated its beloved quality: "The law has ever been powerless to capture ... these outlaws, until treachery was involved to accomplish what the law failed to do."[64]

Escape Artist

Story after story noted that the treacherous manner of James' death resulted from the law's inability to capture the outlaw. The escape artist motif appeared 322 times in crimes stories, and emerged 1,145 times in death stories, many of which, especially in the daily newspapers, retold each of James' criminal misdeeds. In death stories, the escape artist motif appeared in phrases illustrating disbelief that James was dead; and in crime stories that noted the number of men forming unsuccessful posses, how James and his gang members eluded capture, and how awards for his capture rose after each crime.

However, the crime story that cemented James' superior abilities to escape lawmen was the 1876 attempted robbery of the First National Bank in Northfield, Minnesota. After James' death, the Globe-Democrat recapped the Northfield escape: "...the story of the chase abounds in incidents almost too marvellous for belief.... and though the scouting parties increased to a thousand, two days later the robbers had been completely lost." [65]Although they were hungry, coatless, horseless, cold and confused by unfamiliar country the James brothers traversed more than 500 miles back to Missouri. A decked head in the Globe-Democrat on September 14, proclaimed "A Thousand men in Pursuit of the Minnesota Bandits." The story reported:

> "It may look ridiculous for 1,000 men to hunt down six outlaws, one or two of whom are wounded. But the woods afford splendid opportunity for ambuscade; the people of the section where the robbers have been discovered are ignorant, superstitious Bohemians, who could readily be made the obedient tools of the men, who scruple at nothing."[66]

Once again, it was easy for James to escape lumbering, slow-witted posses to rob another day. An editorial in the Kansas City Times noted the uninterrupted 16-year span of James' criminal career and his unparalleled skills at escaping, as though he had "... the power of becoming invisible at will."[67]

The inept posses chasing James also were depicted in a Sedalia Daily Democrat story on the robbery of the Chicago, Alton and St. Louis train: "One 'old soldier' (a posse

member) had six cups and a coffeepot tied to the pommel of his saddle." As the posse got ready to leave, a man stopped them to tell them of a "suspicious gang of men" he thought to be the James boys. The man said the "suspicious gang" was "... riding terribly fractious horses. One of these backed into the gentleman's buggy and nearly ruined it. That made him think it was a robber's horse that had been trained to tip over a buggy by backing into it before they robbed the passengers. Another young man (in the same suspicious gang) had adopted a terrible disguise -- he had slid his saddle clear around under his horse's belly and was having a hard time to keep from sliding in the same direction himself." It was discovered that the "suspicious gang" was "only Captain Craig and his band of honest rangers on their way to capture the James boys."[68] Late-nineteenth century readers must have read such reports with glee, laughing at the antics of absurd lawmen on the trail of the Jesse James, a man, "with the cunning of a human … (and) ...all the viciousness of a tiger, combined with the extraordinary powers of a man to elude capture...."[69]

Judas

James' talents to escape led to the Judas motif. Treachery was the only way he could be captured. This motif, which only appeared in death stories, emerged 1,074 times in stories and decked headlines. The treachery aspect of James' death was noted in decked headlines in the Kansas City Times: "Bob Ford, a Mere Youth, Who Lived With Him and Watched His Opportunity Does the Deed", by "Stealing Behind Him, While He is Unconsciously at Work, He Puts A Bullet Through His Brain".

The Callaway Gazette in a reprinted editorial from the Cincinnati Times-Star utilized the Judas motif to depict its dissatisfaction with the way James was killed:

> In justice to the dead outlaw let it be said that never in all his career, was he guilty of a deed as cowardly and atrocious as that of the base wretches who shot him down when his back was turned. Human nature revolts at the cool, calculating, heartless villainy of men, who, in the guise of friends, plotted the murder of a comrade in crime ... and only dared

attempt it when he was utterly defenseless.[70]

The Callaway Gazette was among the Missouri newspapers that used the dissension motif to condemn the way James was killed. By dying at the hands of a trusted gang member, James secured his reputation as an escape artist unable to be captured or killed in a face-to-face confrontation. Jesse James could not be killed by ordinary means, because he was not an ordinary outlaw, nor would he be mourned like a common criminal.

Grieving Crowds

The crowds that attended James' funeral or wept at news of his death were noted 199 times by the newspapers. On April 9, the St. Joseph Daily Gazette reported from Kearney that on the day of his burial public schools were closed, and crowds contained "...friends true and warm, ...to the great outlaw, and among themselves many expressions of a regret..., were given tongue." In another story on the same day, the Gazette stated that the funeral procession was "...more than a mile in length. Already the church was filled -- and had been for hours -- while standing about it was a crowd of hundreds who had not even standing room within."[71] And the Kansas City Journal reported that April 6 was a day "...to be a remembered one, as the burial day of the CELEBRATED MISSOURI OUTLAW, Jesse James...."[72] Such passages illustrate Meyer's description of an event that binds "the stuff of outlaw folk tradition with verifiable history" of outlaw heroes like Pretty Boy Floyd and John Dillinger, whose funerals were attended by more than 20,000 people each.[73]

Undead

Because of its very definition, this motif only appeared four times in crime stories to note when someone claimed they had killed James. In death stories, 321 undead motifs were counted. Undead motifs were explicated from excerpts that noted attempts to immortalize him through purchasing of relics from his home; and selling his horses for dramatic plays, traveling circuses, and Wild West shows. The undead motif also was invoked by the writing of biographical books, holding séances to speak to James' ghost,

mentions of a doppelganger, and times when James was supposedly killed prior to and after his assassination. The idea that James was not dead is illustrated by this story in the Globe-Democrat that quoted an insurance man, who said:

> I, for one, am not convinced...Jesse James is dead.... In the James case isn't it probable that Jesse, getting tired of being hunted down like a wild beast, resolved to turn over a leaf and lead a new life? ...I believe that Jesse James found a person corresponding to his own description, and then induced his wife to inveigle him to their house,... he arranged to kill him, and thereby...earn the reward of $10,000 and mislead the people into believing him dead.... You say the body was identified. By the very men who are most interested in having his death an accomplished fact; by his wife and mother,... [74]

Like this story, there were other editorials and stories that either expressed doubt of his death or stated that he was playing a clever trick to get the reward money offered for him.

Other crime and death stories laid the groundwork for skepticism about James' death. In 1879, newspapers reported that George Sheppard shot and "killed" James. The Kansas City Times noted that the Sheppard hoax, which "was a put up job" to get the reward for James, made Missourians wary of any reports about James' death.[75] These stories illustrated Meyer's contentions that the outlaw hero fakes his death to collect reward money and live another day as another person.[76]

Newspapers also used satire to invoke the undead motif. The Richmond Conservator in an editorial taken from Bill Nye's Boomerang, noted that it was:

> ...once more pained to announce the death of Hon. Jesse James. We speak of him as Honorable Jesse James because it is possible he may not be dead yet,... The regular semiannual death of Jesse James has been a cause for national sorrow for some time. His obit has been written seven or eight times by the faltering hand that pens these lines, and we are still young.[77]

Whether he was dead or not, many sought to immortalize him. According to the Bates County Record a "preserving company" tried to give James' mother $10,000 to preserve the body and exhibit it nationwide.[78] After so much immortalizing, it was a small leap for some newspapers to report a séance where a medium spoke to the dead

outlaw's spirit. Meyer writes that the supernatural image of the outlaw hero is one of the ways that he never dies.[79] In a story, headlined "Jesse James Summoned from the Spirit Land," a Globe-Democrat reporter recited his anonymous visit to a spirit medium, which he paid to contact James' spirit. During the "interview" with James' spirit, the outlaw confessed to eight murders, said he suspected Robert Ford, and would have killed him.[80]

Such stories about an undead, immortalized James inspired several people to claim they were the dead outlaw.[81] Settle suggests that such claims were outgrowths of the massive publicity given the outlaw's death.[82] Dissension was an integral part of that publicity as Missouri newspapers and others throughout the nation either approved or disapproved of the manner of James' death.

Dissension

This motif appeared 242 times in crime stories. Dissension emerged in nine ways: Political, editorial, sectional; and condemnation or approval of crimes and the method of James' death, satire, moral warnings, and the disposal of his weapons and even his body. Editorial dissension is defined as a newspaper's overt literary attacks against another newspaper. Editorial strife also was caused by in-state regionalism. For example, some editorials in St. Louis displayed offense at stories/editorials written by Kansas City papers and vice versa. Sectional dissension was motivated by either negative images of the state or of James' crimes written in out-of-state newspapers.

Death stories and editorials contained 4,354 depictions of the dissension motif, including 1,841 condemnation references. Motifs in the death stories focused on condemnation or approval of how he was killed;, arguments over who was entitled to his body and his arms; satire; and moral warnings about his death and the way he lived. Dissension over James' crimes was illustrated by the use of satire poking fun at the outlaw. Newspapers used satire 175 times to indicate humorous disapproval of James' crimes and death. Such editorial satire was reprinted from papers both local and national.

The St. Louis Globe-Democrat used satire; and Judas, condemnation, and

political and editorial dissension motifs to state its approval of James' death: "Jesse was a born Democrat -- a Bourbon, in fact, who never learned much and seldom forgot anything until last Monday morning, when he forgot himself long enough to lay down his pistols and permit another Democrat to get behind him...."[83]

Other newspapers used a direct approach to approve or disapprove of the way James died, approvers included the Glasglow Journal: "Mad dogs, outlawed murderers,... and other vermin dangerous to life and safety are killed in the shortest way. The great point is to kill them quick enough and dead enough."[84] Among the detractors were the Kansas City Times: "While all are glad Jesse James is numbered among the dead, there is universal loathing for the manner of his taking off...." [85]

Editorial dissension, displayed in 377 motifs, became especially virulent after James' assassination as state newspapers excoriated each other. Other newspapers criticized Northern ones with sectional/dissension motifs. In 1874, three Pinkerton detectives were killed in Missouri, including John W. Whicher, killed by the James brothers. Afterwards, a Brookfield Gazette editorial noted that: "Missourians have no love for Chicago people at best,... They had *their* [italics not mine] time during the war.... if they have any more detectives up that way they had better keep them at home."[86] The Civil War was fought still by Missouri newspapers whose editorials and stories alluded to defense of James because he was a native son.

Conclusion

Late-nineteenth century newspaper coverage of James was not clear-cut; it was defined and shaped by historical, social, cultural, and political influences, especially those caused by the Civil War and Reconstruction. Yet, in the aftermath, the popular legend of James grew to exist over 100 years later in songs, plays, movies, books, and folk legends. Despite his notorious past, the heroic image of James persists, and the legendary outlaw[87] still fixates an audience.

In July 1995, the exhumation of James' corpse, conducted to determine

authenticity of the remains and to stop bickering among the several groups of descendants claiming James as their ancestor, was surrounded by media frenzy. Over 1,000 articles in newspapers local and nationwide referred to James,103 years after his death.[88] Reporters from around the nation and other countries attended the October 1995 reburial of James.[89] Blaine Harden of the Washington Post, wrote that Jesse James is : "...a quasi-fictional, quasi-admirable icon who's been sentenced to wander forever through our collective consciousness. His abiding undeadness owes less to achievement or villainy or verifiable fact than to accident.... Jesse James unintentionally sated a populist hunger for anti-heroes."[90]

In Missouri, populism spawned by a deep-seated anger and distrust of Northern industry connected local and regional history to the Jesse James legend and cemented its longevity and popularity for the state and the nation. Dorson writes that the "union between the historical and legendary narrative is firmest at the level of local history."[91] Legends told and written about Jesse James, was and is a part of Missouri's local history that tie residents to their traditional past. Dorson writes that history links to folklore through legends told about "strong men," and "local traditional events," such as robberies, murders, and fate's hand in the destiny of Missouri villages and cities.[92]

And newspaper journalists not only recognized the story for its news values of conflict, unusualness, timeliness, and proximity, but for the power of heroic motifs to soothe the societal angst of post-Civil War readers. Headline after headline and story after story displayed the "Judas", "grieving crowds", and "dissension" motifs, echoing Kooistra's and Steckmesser arguments that James became a folk hero and a popular legend because of crises-filled times. It certainly cannot be proven that such sociological theories engendered Missouri newspapers to use Meyer's twelve motifs, but this study is powerful evidence that their coverage cemented his destiny as an outlaw hero and a popular legend. Given the newspapers' propensity towards sectionalism and using journalistic opportunities to vilify those who opposed their ideological worldviews

regarding the war and Southern allegiance, it is clear that newspapers mirrored the sociological leanings of that time period. James appeared as a symbol of that allegiance in the interviews Missourians gave and the stories printed about his crimes and his death. The highly descriptive adjectives describing his exploits, even when couched in hostile outpourings were not the words used to portray an avowed enemy. In the state that harbored the places they called home, Missouri newspapers and folk groups used folklore and popular legends to unify a torn state after the Civil War. Jesse James eluding the slow-witted posses, merrily laughing as he waved a grain sack filled with Yankee bank and train loot, was depicted in newspapers as a unifying symbol.

Analysis proved that neither partisan nor vitriolic coverage of James was void of Meyer's twelve motifs, which appeared in both negative and positive stories. More motifs appeared in larger papers due to larger news holes, but rural weeklies did not falter in their output of motif-filled stories. In both weeklies and dailies, the beloved motif appeared with the condemnation/dissension motif; the Judas motif reared its head in negative and positive stories; and the gentleman bandit motif graced the same stories as the ones that condemned his crimes. He was the clever hero, the escape artist, the undead, great outlaw that the Callaway (Fulton) Gazette noted "...had gone from the sight of men...." but "his memory alone remained to mark his name among the living. Memory and a mound."[93] It was a great story by any century's definition, and late-nineteenth century newspapers recognized it for its economic and entertainment possibilities. That fact permeated this satirical editorial in the Kansas City Times printed three days after James' death:

> Poor Jesse is gone. With all his faults he was the newspaperman's best friend, for when news was dull and sensations flagged, a few good, readable, spicy columns of journalistic hyperbole concerning his latest death or freshest killing always came in handily, Palsied be the hand which struck him down at a time when the city election and lynching matinees were booming. Mr. FORD was, moreover, thoughtless enough to kill him in good time for the evening papers, hence the deep damnation of

his taking off.

Facetious humor aside, newspapers recognized James' crimes and death as good stories. As his crimes escalated in derring-do, so did the coverage moving from inside to front pages, which J. Cutler Andrews suggests gained importance as a place for news during the Civil War when Southerners became more interested in news. Prior to the war, ads covered the front pages.[94] In the case of James, the train robbery at Gads Hill propelled him to the front pages in 1874 and he never left until over a month after his death in 1882.

Print, especially newspapers of the nineteenth century, has meant survival for many oral legends, Dorson writes. In some cases, the oral to print process has spread the legend across the nation and caused an oral revival among people who read the stories and repeat them to others.[95] There is a link between late-nineteenth century newspapers, their word usage and popular legend making. And once that journalistic process is wed to folklore it becomes "an indicator of the culture of a people, their collective sense of place in the world, and of the meanings with which they imbue the landscape," history, and their lives.[96] Jesse James was linked to a sense of place for late nineteenth-century Missourians. Kent C. Ryden writes "the sense of place ends at that point on the ground where the long story of the past is no longer known, where the land and the stories on the other side belong to someone else."[97] The long story of Jesse James past did not end at Missouri's geographical borders. It spread and somehow became an American story.

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[1]Marley Brant, Jesse James: The Man and the Myth (New York: Berkley Books, 1998), 1.

[2]See S. Elizabeth Bird, For Enquiring Minds: A Cultural Study of Supermarket Tabloids (Knoxville: University of Tennessee Press, 1992), 3, 101. Bird and Robert W. Dardenne, who quoted John Cawelti in "Myth, Chronicle and Story: Exploring the Narrative Qualities of News," in Dan Berkowitz, Social Meanings of News (Thousand Oaks, Calif.: Sage Publications), 1997, 344.

[3]Steve M. Barkin, "The Journalist as Storyteller: An Interdisciplinary Perspective," American Journalism, 1/2 (1984), 30.

[4]Slotkin does not use the folkloric definition of myth. He argues that in cultural history, "myths are stories drawn from a society's history that have acquired through the persistent usage the power of symbolizing that society's ideology and of dramatizing its moral consciousness," Gunfighter Nation: The Myth of the Frontier in Twentieth-Century America (New York: HarperPerennial, 1993), 5, 128.

[5]Slotkin, Gunfighter Nation,128.

[6]Kent Ladd Steckmesser, "Robin Hood and the American Outlaw," Journal of American Folklore 79 (1966), 354.

[7]Richard M. Dorson, America in Legend: Folklore from the Colonial Period to the Present (New York: Pantheon Books, 1973), xiii-xv, 58, 61-63, 83-4, 247-8.

[8]Donald Allport Bird, "A Theory for Folklore in Mass Media: Traditional Patterns in the Mass Media," Southern Folklore Quarterly 40:3-4 (September/December 1976), 285.

[9]Harold Lasswell, "The Structure and Function of Communications in Society," in Mass Communication, Wilbur Schramm, ed. (Urbana: University of Illinois, 1960), 118.

[10]William R. Bascom, "Four Functions of Folklore," Journal of American Folklore 67 (1954), 297.

[11]The counties, located along the western border shared with Kansas, were the northern half of Vernon and all of Bates, Cass, and Jackson.

[12]Michael Fellman, Inside War: The Guerrilla Conflict in Missouri During the American Civil War (New York: Oxford University Press, 1989), 95-97.

[13]Fellman, Inside War, 90-91.

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[14]William A. Settle, Jr., Jesse James Was His Name: or Fact and Fiction Concerning the Careers of the Notorious James Brothers of Missouri (Lincoln: University of Nebraska Press, 1977), 6-17; Fellman, Inside War, 23-65, 207-209. William E. Parrish, Charles T. Jones, Jr., and Lawrence O. Christensen, Missouri: The Heart of the Nation, 2nd ed. (Arlington Heights, Ill.: Harlan Davidson Inc., 1992), 131-145, 175-186.

[15]Settle, Jesse James Was His Name, 26.

[16]In 1966, Settle wrote that no evidence existed to support this story, Jesse James Was His Name, 26. He attributed it origins to an oral tradition that was spread by the print media. However, Marley Brant, who quotes In the Shadow of Jesse James, a 1989 book written by Jesse James' daughter-in-law Stella Frances James, uses it as fact in her 1998 book Jesse James: The Man and the Myth, 27-8. The story also is mentioned by Croy, Jesse James Was My Neighbor, 27-29. In the MidAmerica Folklore Journal, 55, parts of the story appear in a legend text collected by George West in December 1977 from Emmett Ramsey of Green Forest, Arkansas. West's collection is maintained at the Arkansas College Folklore Archive, Batesville, where it is filed as 78-17, Tape 185.

[17]Henry Glassie, Passing the Time in Ballymenone: Culture and History of a Ulster Community (Philadelphia: University of Pennsylvania Press, 1982), 664-65.

[18]Glassie, Passing the Time in Ballymenone, 201.

[19]Timothy Tangherlini, " 'It Happened Not Too Far From Here...': A Survey of Legend Theory and Characterization," Western Folklore 49 (October 1990): 381.

[20]Paul Kooistra, Criminals as Heroes: Structure, Power & Identity (Bowling Green, Ohio: Bowling Green State University Popular Press, 1982), 12, 18-30.

[21]Sandra Dolby Stahl, Literary Folkloristics and the Personal Narrative (Bloomington and Indianapolis: Indiana University Press, 1989), 10-11.

[22]Stahl, Literary Folkoristics, 37.

[23]Stahl, Literary Folkoristics, 14, 20, 45.

[24]Henry Glassie, "Structure and Function: Folklore and the Artifact," Semiotica 7 (1973): 335.

[25]Henry Belden collected this ballad in 1906 from George Williams of Bollinger County, Missouri. It is listed in "Special Double Issue: The Folklore of Jesse James," MidAmerica Folklore 8:1-2 (Spring-Fall 1980),45.

[26]MidAmerica Folklore, 59. Mike Galvin collected this legend 84 years later from William Schmitt. The legend text is housed at Indiana University (67/100).

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[27]Jan Harold Brunvand, The Study of American Folklore: An Introduction, 3rd ed. (New York and London: W.W. Norton, 1986), 159.

[28]Settle, Jesse James Was His Name, 171-2, 227. Steckmesser, "Robin Hood and the American Outlaw," 351. "Legend Texts of Jesse James," MidAmerica Folklore: 64-66.

[29]Orrin E. Klapp, "The Clever Hero," Journal of American Folklore 67 (1954): 22.

[30]Settle, Jesse James Was His Name, 172.

[31]See the Kansas City Daily Journal, 4 April 1882.

[32]Richard M. Dorson, American Folklore and the Historian (Chicago and London: University of Chicago Press, 1959), 241-42. Richard and Judy Dockrey Young, eds., Outlaw Tales: Legends, Myths, and Folklore from America's Middle Border (Little Rock, Ark.: August House Publishers, Inc., 1992), 134-37.

[33]E. C. Peffow, "Songs and Rhymes From the South," Journal of American Folklore 25:95 (January-March 1912), 146. Collected from Mississippi; country whites; manuscript of Ben Bell, student; 1908.

[34]This research paper is part of Chapter 4 of the author's uncompleted dissertation: "The Making of an American Legend: Jesse James, Folklore, and the Nineteenth Century Press."

[35]This study is taken from Chapter 3 of the author's unfinished dissertation: "The Making of an American Legend: Jesse James, Folklore, and the Nineteenth Century Press".

[36]Newspapers selected for this study were those that were available in the state historical society and whose microfilmed dates corresponded most closely to this study's research years. Of the 53 newspapers mirroring the research years, 37 were selected.

[37]Dorson, American Folklore, 160-61.

[38]Definitions are taken from Brunvand, The Study of American Folklore, 158, 170-74.

[39]Alison Jones, Dictionary of World Folklore (New York: Larousse), 225.

[40]Settle, Jesse James Was His Name, 99.

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[41]Richard E. Meyer, "The Outlaw: A Distinctive American Folktype," Journal of the Folklore Institute 7:2-3 (May-December 1980): 94-111. The Jesse James' ballads Meyer uses are in authenticated collections such as John A. Lomax and Alan Lomax, eds., American Ballads and Folk Songs (New York: Macmillan Co., 1934); H.M. Belden, ed., Ballads and Songs Collected by the Missouri FolkLore Society (Columbia: University of Missouri Press, 1940. Legends were gleamed from Homer Croy's Jesse James Was My Neighbor, the Indiana University Folklore Archives, 67/100, Mike Galvin, "Collections of Folklore," and Settle's Jesse James Was His Name. The same lore and others that support Meyer's arguments are in the 1980 special, double issue of the MidAmerica Folklore, entitled "The Folklore of Jesse James," which contains legend texts, ballads, films, and recorded songs about the outlaw. The words in parenthesis are the author's abbreviations of the motifs, which will used to refer to the motifs.

[42]For historical news values, see Helen MacGill Hughes, News and The Human Interest Story and Hazel Dicken-Garcia, Journalistic Standards in Nineteenth Century America (Madison:University of Wisconsin Press, 1989). For contemporary news values, see Carole Rich in Writing and Reporting the News: A Coaching Method, 2nd ed., (Belmont, Calif.: Wadsworth Publishing Company, 1997), 23.

[43]Richmond Conservator, 16 September 1881.

[44]"Dead Outlaw," St. Louis Globe-Democrat, 5 April 1882, 8.

[45]Meyer, "The Outlaw," 99-101.

[46]"The Bandit's Burial," St. Joseph Daily Gazette, 9 April 1882; 1.

[47]"Biographical," St. Louis Republican, 4 April 1882.

[48]Meyer, "The Outlaw," 101.

[49]"A Talk with F.A. Mitchell," Kansas City Times, April 1882; 1.

[50]Centralia Fireside Guard, 18 April 1874.

[51]"His Home Life," St. Joseph Daily Gazette, 12 April 1882.

[52]"Missouri Cavaliers," Lexington Register, 24 September 1874. Editorial is reprinted from the New York Tribune.

[53]Hutchins, the founder of the Washington Post, was the principal owner of the St. Louis Globe-Democrat. James Settle wrote that in 1875, Hutchins, one of the most powerful Democrats in Missouri, initiated a legislative bid for amnesty for James. The defeated resolution would clear James of war crimes and secure him and his gang a fair trial for on post-war crimes. See Settle, Jesse James Was His Name, 78- 82.

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[54]"Stilson Hutchins on the Career of Jesse James," Globe-Democrat, 11 April 1882; 11.

[55]Kansas City Times, 27 September 1872.

[56]Fellman, Inside War, 251.

[57]Sedalia Daily Democrat, "Jesse," 9 April 1882.

[58]Kansas City Times, 4 April 1882.

[59]"Letters from Jesse James," St. Louis Missouri Republican, 5 April 1882.

[60]"Hunting the Bandits," Globe-Democrat, 18 September 1876; 5.

[61]"Jesse's Ruse,"Savannah Democrat, 14 April 1882; 1. Story is copied from the St. Joseph Gazette.

[62]Lexington Register, 23 October 1879.

[63]St. Louis Globe-Democrat, 9 April 1882, 4.

[64]Kansas City Times, 5 April 1882.

[65]"Biographical," St. Louis Missouri Republican, 4 April 1882; 1.

[66]"Hunting the Robbers," St. Louis Globe-Democrat, 14 September 1876; 2.

[67]Kansas City Times, 5 April 1882.

[68]"The Train Robbery," Sedalia Daily Democrat, 10 September 1881.

[69]"The Outlaw James," Globe-Democrat, 10 April 1882. This was an editorial reprinted from the Independence Sentinel.

[70]Callaway Gazette, 14 April 1882.

[71]"The Bandit's Burial," and "The Funeral," St. Joseph Daily Gazette, 9 April 1882; 1.

[72]"Finis," Kansas City Daily Journal, 7 April 1882; 1.

[73]Meyer, "The Outlaw," 110.

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[74]"Is Jesse James Dead," Globe-Democrat, 7 April 1882, 9.

[75]"Jesse James Body," Kansas City Times, 5 April 1882.

[76]Meyer, "The Outlaw," 110-11.

[77]"Death of Mr. James," Richmond Conservator, 7 April 1882.

[78]Bates County (Butler) Record, 15 April 1882.

[79]Meyer, "The Outlaw," 111.

[80]"Table Talk," Globe-Democrat, 16 April 1882; 6.

[81]Settle, Jesse James Was His Name, 170-71.

[82]Settle, 121.

[83]"The Lost Leader," St. Louis Globe-Democrat, 8 April 1882, 9. This editorial was taken from the Kansas City Journal.

[84] "Various Views of the Press," Glasglow Journal, 20 April 1882. Reprinted from the Marshall Progress.

[85]Kansas City Times, 7 April 1882, 1.

[86]"The 'Organ' on Missouri Bandits' Exploits," Brookfield Gazette, 24 December 1874; 2. Editorial reprinted from the St. Louis Dispatch.

[87]In terms of historical, legal accuracy, Jesse James was never convicted of any crimes, although arrest indictments for him were issued and he was named in a postmortem indictment (1882) for complicity in a robbery in Muscle Shoals, Alabama. See Settle, Jesse James was His Name, 2, 137.

[88]Lexis/Nexis news service, which listed approximately 200 newspapers, contained over 1,000 entries citing Jesse James' name in 1995.

[89]The Kansas City Star, 21 October 1995, 1.

[90]Blaine Harden, "Jesse James: Dead or Alive. Why America Won't Let Its Outlaw Celebrities Rest in Peace," The Washington Post Magazine, 19 Nov. 1995, 18(W).

[91]Dorson, American Folklore, 148.

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[92]Dorson, American Folklore, 154-55.

[93]"The Last of Jesse," Callaway Gazette, 14 April 1882.

[94]J. Cutler Andrews, The South Reports the Civil War (Pittsburgh: University of Pittsburg Press, 1985), 47-48.

[95]Dorson, American Folklore,173-75.

[96]Edmunds V. Bunkse, "Commoner Attitudes toward Landscape and Nature," Annals of the Association of American Geographers 68 (1978), 556.

[97]Kent C. Ryden, Mapping the Invisible Landscape: Folklore, Writing, and the Sense of Place, with a forward by Wayne Franklin (Iowa City: University of Iowa Press, 1993), 69

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Eros, Ecstasy, and Exile: Iraqi Maqām in the Twentieth Century

Al-maqām al-irāqī is an idiomatic genre of secular vocal art music cultivated mainly in the Iraqi cities of Baghdad, Mosul, and Kirkuk. While this virtuosic urban performance tradition has existed for centuries, passed from master to disciple, it was largely unknown outside of Iraq until its introduction at the Congress of Cairo in 1932 by the famous singer Muhammad Al-Qubanchi (1901–1989) and his ensemble. Similar in some respects to a performance of Hindustani *druphad* or Iranian *dastgāh*, Iraqi *maqām* is a type of musical suite in which the pitch materials of a given maqām or mode unfold in a highly expressive, individualistic, and improvisatory fashion within the context of rather strict standard rules that govern melody and rhythm. Using texts drawn primarily from classic Arabic poetry, Iraqi maqām most frequently explores themes of intense male erotic desire, alienation, and longing. This presentation, which presupposes no prior knowledge of Arabic music, introduces the typical components of Iraqi maqām, with regard to its forms and repertoire, texts, historical development, cultural significance, traditional performance context, notable performers, and the propensity of both performers and audience to seek the experience of *tarab*, an ecstatic state of non-ordinary reality induced by a successful performance. The presentation adduces maqām as an important index of Iraqi national and cultural identity, and investigates its struggle to survive in pre- and post-Saddam Iraq, its future prospects in the hands of both native and expatriate performers, and its use as a means of understanding the rich traditional culture of a people who continue to suffer under military occupation and political uncertainty.

Eros, Ecstasy, and Exile: Iraqi Maqām in the Twentieth Century

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Introduction

This article is intended as a general introduction to the art of *al-maqām al-irāqī* in the twentieth century, in terms of its history, formal and stylistic elements, repertoire, and representative artists. I have culled the essential characteristics of the genre from the extant English literature on the topic, and arranged them here in synoptic form. Many of the pertinent Arabic writings on Iraqi *maqām,* unfortunately, remain untranslated. The phrase "Iraqi *maqām*" should not be understood solely as the collection of Arabic *maqāmāt* used in Iraq. It also designates a vocal performance tradition of strictly Iraqi origins, practiced mainly in the cities of Baghdad, Mosul, and Kirkuk.[1] While the oldest components of this tradition have been transmitted orally for at least four centuries,[2] this practice was largely unknown outside of Iraq, even in the Arab world, until its introduction to scholars, musicians, and delegates by the famous singer Muhammad Al-Qubbanchi* and his ensemble of six accompanists at the Congress of Cairo in 1932.[3] Scheherazade Qassim Hassan identifies the *al-maqām al-irāqī* as "an important secular repertory of many semi improvisational compositions, linking classical and popular poetry and based on a sophisticated unwritten traditional theory."[4] It denotes a type of suite in which a *maqām* unfolds in an improvisatory fashion according to rather strict standard rules. As such, it is similar in some respects to Iranian *dastgah*, Uzbekistani and Turkish *maqām*, or the *mugam* in Azerbaijan.[5]

Neil van der Linden points out the close connection between the words "mode" and "mood" in English, and how the German word *Stimmung* and the Dutch *stemming*, as well as the related English words "temper," "tempered," and "temperament," refer to both emotional mood and the temperament of instruments. He reports further that "It is often said in Iraq that the *maqām* is not so much a musical structure or mode, but a 'mood,'" emphasizing the importance of emotional affect to the performance of Iraqi *maqām*.[6] Much of this emotional affect is due to the varying microtonal content of the different *maqāms.Al-maqām al-irāqī* shares many characteristics of Arab-Islamic music in general: the use of a system of numerous modes, the suite form, improvisation upon a composition transmitted orally and based on

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[1] Scheherazade Qassim Hassan, "Survey of Written Sources on the Iraqi Maqām," *Regionale maqam-Traditionen in Geschichte und Gegenwart: Materielen der 2. Arbeitstagung der Study Group "Maqaam" beim International Council for Traditional Music* (Berlin: Universität Humboldt, 1992), 252.

[2] Scheherazade Qassim Hassan, "Iraq [Republic of]," *The New Grove Dictionary of Music Online* [henceforth *NGDMO*], ed. L. Macy [Accessed 19 April, 2003], <http://www.grovemusic.com>.

* The transliteration of Arabic names and terms many sources consulted for this historical survey differ significantly. Due to my lack of facility with the Arabic language, I have not attempted to impose any definitive terminological uniformity upon the document. In many cases I have supplied variant spellings of names and terms.

[3] Yeheskel Kojaman, "Jewish Role in Iraqi Music," *The Scribe* (Online journal [Accessed 4 May, 2003], <http://dangoor.com/72page42.html>).

[4] Hassan, "Iraq [Republic of]," *NGDMO.*

[5] Farida & the Iraqi Maqām Ensemble, *Classical Music of Iraq* [Sound Recording; liner notes by Neil van der Linden], Samarkand Records SAM CD 9001(1998).

[6] Ibid.

conventional rules, alternation between free and fixed rhythms, the use of *contrafactura*, and the small ensemble.[7] However, Hassan points out that while it may share one or more of these characteristics with a great number of Arab-Islamic genres, "the very specific characteristic does not lie only in its original combination of different elements, but also in its stylistic order, which is particularly apparent during interpretation."[8] While Iraqi maqām bears many similarities to related practices throughout the Arabic world—especially Syrian, Turkish, and Persian musics—there are as many differences. Van der Linden describes the Iraqi maqām as "less melodious, more melismatic" than the music of Aleppo, and, emphasizing the importance of the "concept of the piece," provides the following analogy: "If Aleppo is Schubert, the master of melodies, Baghdad is Beethoven, master of structure… In combination with the slow tempo and sometimes the complete absence of rhythm, that is the presence of rhythmically free recitative-like melodic and ornamentation lines, the Iraqi music has a wailing, sobbing quality."[9]

Historical Development

The historical provenance of *al-maqām al-'irāqī* is problematic, and there is no general agreement among scholars as to its exact origins. Habib Hassan Touma asserts that *al-maqām al-'irāqī* "has been known for approximately four hundred years" in the Iraqi cities of Baghdad, Mosul, and Kirkuk.[10] The genre was especially cultivated in Baghdad. The current practice originated with Rahmallāh Shiltāgh (1799–1840), a singer and composer of Kurdish or Turkish extraction, himself a student of Mullā Hasan Bābūjidjī (ca. 1760–1840), one of the first known singers of Iraqi maqām.[11] Shiltāgh created a number of new maqāms, and helped codify the practice. Many of his compositions are still extant, having been preserved by an oral tradition of master-disciple transmission. Khalid Kishtainy writes that several scholars "take [*al-maqām al-'irāqī*] back to the days of the Babylonian King Nebuchadnezzar, who installed it in the Babylonian temple as religious hymns to which the citizens had to prostrate themselves on pain of death by burning."[12] Other scholars believe that *al-maqām al-'irāqī* arose and flourished during the "golden epoch" of the Abassid Caliphate (8th to13th centuries), when "the maqām was sung by such renowned musicians as Ibrahim al-Musoli and Ziriab in the presence of the Caliph."[13] The grounds given for such an assertion have to do with the alleged similarity between "the appellations of the Irakian maqām and those used for modes by the Abbasides"; however, the presence of Turkish and Persian elements in the repertoire would seem to contradict such a claim.[14] Al-Hadj Hashim al-Rajab, an accomplished Iraqi performer and scholar of maqām, contends that Iraqi maqām did not flourish until the fall of Baghdad in 1258, when

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[7] Scheherezade Qassim Hassan, "Some Islamic non-Arabic elements of influence on the repertory of al-maqām al-irāqī in Bagdad," *Maqām, Raga, Zweilenmelodik: Konzeptionen und Principien der Musikproduktion: Materielen der 1. Arbeitstagung der Study Group "Maqaam" beim International Council for Traditional Music* (Berlin: Nationalkomitee DDR des International Council for Traditional Music in Verbindung mit dem Sekretariat Internationale Nichtstaatliche Musikorganisationen, 1989), 153.

[8] Hassan, 1989, 153.

[9] Neil van der Linden, *"Maqām Singing" in Modern Iraq* (Web document [accessed 5 May, 2003], <http://www.aramusic.com/maqam>).

[10] Habib Hassan Touma, *The Music of the Arabs*, new expanded edition with CD, translated by Laurie Schwarts (Portland and Cambridge: Amadeus Press, 2003), 55.

[11] Ibid., 59.

[12] Khalid Kishtainy, "Deep Iraq," *Folk Roots* 234 (Dec. 2002), 32.

[13] Ibid.

[14] Hassan, 1989, 150.

the invading Moguls "brought this form of music from central Asia," after which it was influenced further by Persian and Turkish music and verse, creating what Kishtainy designates as a "truly pan-Asian" music.[15] Hassan also argues for the "multiple origins" of Iraqi maqām, and categorizes it as an "open" system that has gone through a lengthy process of maturation through the centuries:

> The Irakian maqāmāt are synthetic products of different Islamic civilizations which succeeded each other in the city of Bagdad. They result from the interaction of various cultures containing in different degrees local, Arabic elements with Islamic non-Arabic features. All have been moulded over centuries to form what we now conceive as Baġdādī.[16]

Many of the finest performers of *al-maqām al-'irāqī* in the early twentieth century were Iraqi Jews, as was much of the audience. Jews had lived in Iraq "long before the Arabs occupied the country," and, having "mastered the Arabic language," they were well integrated into Iraqi society.[17] While singers could be Muslims or Jews, the great majority of instrumentalists in the early twentieth century were in fact Jews. Al-Hadj Hashim al-Rajab remembers

> I'll tell you something extraordinary about maqām. In the old days, most of the performers of maqām were Jews. That's because there are some sects of Islam which prohibit music. Indeed, there were some parts of Baghdad where it wasn't safe for a Muslim to be seen carrying a violin or a lute. You could get beaten up. My own father when he first heard me singing on the radio didn't speak to me for two weeks. So the Jews saw it as their role to play maqām. My teachers were mostly Jews. But this is before they left Iraq in 1948 to go to Palestine.[18]

Liewise, Yesheskel Kojaman—himself an expatriate Iraqi Jew—reports that "Jewish musicians played a prominent part in the development and perfection of traditional Iraqi maqām." He has discovered that the resident ensemble of the Baghdad Reporting House was comprised of "five Jews and one Moslem," and that is was "a Jewish band headed by Hoogi Pataw" which accompanied Mohammed Al-Qubanchi to great fame at the Cairo Festival of Arabic music in 1932.[19] On the days of Jewish celebrations such as Yom Kippur and Tish'a 'be-Ab, when Jewish musicians could not play, there were no live broadcasts on Iraq radio. The role of Jews, thus, was crucial in the performance of Iraqi maqām. Indeed, after the mass emigration of Iraqi Jews to Palestine in 1948, it became difficult to stage performances, as most of the instrumentalists were gone. Kojaman writes that until a generation of Arab musicians could be trained as instrumentalists, "the problem was initially solved by using graduates of the Institute of Fine Arts and by borrowing musicians from other Arab countries."[20]

In terms of exposing *al-maqām al-'irāqī* to the world at large, the Congress of Arabic Music held in Cairo in 1932 proved to be a watershed. At least part of its previous obscurity was intentional. Farida Al-Haidar writes "For the first time this typically Iraqi genre was taken out of the cabal-like circles which had jealously guarded it from outsiders, and was made known to the Arab public at large."[21]

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[15] Kishtainy, 32.

[16] Hassan, 1989, 153.

[17] Yeheskel Kojaman, "Jewish Role in Iraqi Music," *The Scribe* (Online journal [Accessed 4 May, 2003], <http://dangoor.com/72page42.html>).

[18] Marco Werman, *Interview with Al-Rajab* (Web document [accessed 5 May, 2003], <http://www.theworld.org/globalhits/2003/03/19.html>).

[19] Kojaman, "Jewish Role in Iraqi Music," 2003.

[20] Ibid.

[21] Farida Abu-Haidar, "The Poetic Content of the Iraqi Maqām," *Journal of Arabic Literature* 19/2 (1988), 129.

Ensembles and Instruments

The art of *al-maqām al-'irāqī* is without a doubt the province of specialists. Many singers of Iraqi maqām—certainly the best among them—devote themselves exclusively to this genre (although it is true there have been notable part-time singers of Iraqi maqām [see "Artists," below]. The specialist singer is known as *qāri al-maqām* "qāri" means "narrator"). The singers for whom maqām only forms a part of their repertory are known as *mutrīb* or *mughannī*.[22] Aside from the singer whose training is detailed in "Singers," below), the quintessential maqām ensemble, the *al-chālghī al-baghdādī*, is comprised of the following instruments, each played by a single musician:

santūr: a trapezoidal hammered box zither with 23 strings.
jōza (*djoze*, *juza*): a spiked four-string fiddle with a body made out of half the shell of a coconut; it is held upright by the player.
percussion: ***tabla***: a 'vase drum," known elsewhere in the Arab world as 'dumbek,' 'dunbuk,'or 'darbuka'; ***riqq***, ***duff*** (*daff*), ***zinjārī***: tambourines of various sizes; and ***naqqāra***: metal shells beaten by metal sticks).

The *al-takht al-sharqī* is a Near Eastern (Egyptian and Levantine) ensemble that some Iraqi singers have preferred since the 1930s. Van der Linden states that this ensemble now rivals the *al-chālghī al-baghdādī* in popularity.[23] The *al-takht al-sharqī* is comprised of the following instruments, again, each typically played by a single player:

qānūn: plucked box zither.
nāy: oblique reed flute
oūd: short-necked Arabic lute
percussion: instrumentation similar to that of the *al-chālghī al-baghdādī* (see above).

Beginning in the middle of the twentieth century, some singers, in particular Al-Ghazali, also began performing maqām with large, Egyptian-style orchestras. It is the maqām singer who is foregrounded in *al-maqām al-'irāqī*; however, he is nothing without an expert ensemble of seasoned musicians. Hassan asserts that "no instrumental part stands on its own, either formally or melodically. In practice, however, many singers give the instrumentalists an opportunity to perform important solo improvisations and interludes."[24] The ensemble may perform several "compulsory melodic sections" during the course of a maqām performance; however, "unlike the vocal part [instrumental parts] have no preconceived frame."[25] Traditionally, instrumentalists came from families who both built instruments and played them. Kojaman reports that this remained the case until after the mass emigrations to Israel by Iraqi Jews in the 1950s, after which professional manufacturers of *chalgi* instruments appeared.[26] With the loss of so many musicians, the decade of the 1950s was a particularly difficult time for maqām performance in Iraq, as only two professional *chalgi* players had remained in Iraq.[27] Since the 1970s it has been possible for instrumentalists to train at conservatories and universities.

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[22] Hassan, "Iraq [Republic of]," *NGDMO*.
[23] Neil van der Linden, *"Maqām Singing" in Modern Iraq*.
[24] Scheherazade Qassim Hassan, "The Iraqi *Maqām* and Its Transmission," *The Garland Encyclopedia of World Music*, Vol. 6 (New York: Garland Publishers, 1998), 312.
[25] Ibid.
[26] Kojaman, 2001, 73.
[27] Ibid.

Singers

The prospective singer of Iraqi *maqām* undertakes a master/disciple relationship, but it is one that is most often of an oblique nature, especially in the beginning. The singer is largely self-taught. Hassan describes a two-part learning process wherein the student selects a master singer for emulation and imitation, most often entirely unbeknownst to the master. Before the advent of recordings, the student would accomplish his covert reconnaissance by following the master from performance to performance, and seeking to ingratiate himself within a circle of musical cognoscenti.[28] When the student feels ready to present himself to the musical public—which may be after years of secret imitation and self-learning—he "performs in front of a specialist audience or in front of a circle of masters and specialists," during the course of which the singer "reveals the identity of his master" and acknowledges his debt.[29] According to Hassan, this first public performance is "crucial" to the future success of the new singer, as he will, if his performance has been appreciated and he shows evidence of significant talent, be admitted to the community of *maqām* specialists as a protégé.

The master may or may not appreciate this attention upon the part of a complete stranger. However, if the student is talented enough, and if his sincerity and dedication to the art is deemed sufficient, "when the master receives the new performer's deep respect and gratitude, his attitude usually softens into acceptance, and he agrees to give support and advice."[30] This recognition, however, does not always result in formal instruction. The mentorship may remain more in the realm of what Hassan designates as the "moral," in the sense of respect for the tradition and gratitude toward those who impart advice, as well as actual material support of (if the need arises) and solidarity with the master's family. As the singer progresses in the mastery of his craft, he may also receive much valuable assistance from the experienced members of the *chalgi* ensemble.[31]

Institutionalized instruction in the art of Iraqi maqām appeared in the later twentieth century, at such schools as the Ma'had al-Funūn al-Jamīla (Institute of Fine Arts) and the Ma'Had al-irāsāt al-Naghamiyya (Institute of Melodic Studies). The object of such institutionalized instruction, wherein Iraqi maqām is taught as one component of a broad program of instruction that encompasses both Middle Eastern and Western music theory, practice, and history, is to produce "generations of learned musicians," rather than performers in the traditional sense, who, despite or in addition to any such formal training as they may receive, must still endeavor to learn from a master in the mimetic manner described above.[32] In the earlier part of the century, many fine instrumentalists in the maqām tradition were musically illiterate, and it is largely this situation that the institutions seek to redress.[33]

However the musician learns his craft, Iraqi maqām is a notoriously difficult and demanding art. Now an Arabic pop singer, Kazem Al-Sahir studied maqām as a youth at the Music Academy of Baghdad. He confesses that "the Iraqi maqām is one of the most difficult of the Arabic world… the *mawal* of Lebanon and Syria has more freedom to improvise.

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[28] Hassan, 1998, 314.
[29] Ibid.
[30] Ibid.
[31] Yeheskel Kojaman, *The Maqām Music Tradition in Iraq* (London: Author, 2001), 73.
[32] Hassan, 1998, 315.

But the Iraqi maqām is more regimented—here's where you begin, here's where you put in your flourish, and here's where you end."[34] In the section that follows are brief biographical sketches of some of the most notable and influential singers of *al-maqām al-'irāqī* in the twentieth century. There are, of course, many more than can be presented within the abbreviated confines of the present forum.

Mohammed Al-Gubantchī [Gubbenchi, Kubantchi, Qubanchi] (1901–1989):

Mohammed Abdul Razzaq Fattah Al-Gubantchī, who specialized in both the urban and classical repertory, is generally recognized as the seminal figure of twentieth-century al-maqām al-'irāqī. He was born and raised in Baghdad, where he studied with Qaddori Al Isha, Sayyiod Weli Hussein, Usta Mahmoud Al-Khayyat, as well as his father Abdul Razzaq.[35] He learned the art of Iraqi maqām by attending the frequent performances at coffeehouses, where he heard the old masters sing. He was not a musician by trade; born to a family of wealthy merchants, he maintained his amateur status throughout his life. Hassan believes that his non-professional status "gave him freedom to decide where and how he should perform."[36]

Al-Gubantchī was responsible for several significant contributions to the art. Al-Madfai and Nadhum enumerate his additions to the maqām repertory, including the use of "Naghmat Al-Ibraheemi" in maqām Al-Husseini, "Nahawend" in maqām "Bayat," and the "Qatar" in maqām "Al-Hakeemi."[37] Hassan enumerates Al-Gubantchī's achievements thusly:

> Al-Gubanshī was the first to reinstate the importance of the text and emphasize the importance of clear diction. In 1936 he ceased to use the accompaniment of the traditional *shalgī al-baghdādī* ensemble in favor of the new Middle Eastern *takht* ensemble […] Al-Gubanshī chose to perform the *pesta* songs which follow the *maqām* singing rather than leave their performance to the instrumentalists… he was the first nonconformist innovator of the *maqām* during the 20th century.[38]

As the head of the Iraqi delegation, Al-Gubantchī was also responsible for introducing al-maqām al-'irāqī to the world at the Cairo Congress for Arab Music in 1932, where he won the title of "Best Arabic Singer."[39] This much-beloved singer recorded extensively, appeared on Iraqi radio and television, and participated in religious rituals, including the *mawlid nabawī* and the Sufi *dhikr*. Al-Gubantchī may have been instrumental in preserving a distinctly Iraqi music, according to maqām singer Hamid Al-Saadi, who stated in an interview that "Al-Qubbanchi's records had the effect of retarding the drift of the young generation to Egyptian music."[40]

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[33] Kojaman, 2001, 65.

[34] Aaron Cohen, "Musician Bringing Iraqi Culture to U.S." (*Chicago Tribune*, 24 February, 2003. Web document [accessed 5 May, 2003], <http://new.blackvoices.com/news/chi-030224sahir,0,2871588.story?coll=bv-news-black-headlines>).

[35] Hasun Al-Madfai and Ahmed Nadhum, *Mohammed Al-Gubbenchi* (Web document [accessed 29 May, 2003], <http://iraqimusic.com/featured.html>).

[36] Scheherazade Qassim Hassan, "Al-Gubanshī, Mohammed," *The New Grove Dictionary of Music Online*, ed. L. Macy [Accessed 30 May, 2003], <http://www.grovemusic.com>.

[37] Madfai and Nadhum, *Mohammed Al-Gubbenchi.*

[38] Scheherazade Qassim Hassan, "Al-Gubanshī, Mohammed," *NGDMO.*

[39] Madfai and Nadhum, *Mohammed Al-Gubbenchi.*

[40] Kojaman, 2001, 38.

Rachid Al-Qundarchi [Kundarchi] (1887–1945):

The supposed heir to the great nineteenth-century maqām singer Ahmad al-Zaydān, Rachid Al-Qundarchi was a shoemaker by profession.[41] According to Van der Linden, Qundarchi's style "is centered on the musical lines and leaves ample opportunity [for] bel canto ornamentation," in contrast to the work of singers like Al-Qubanchi, wherein "the rendering of the text is the leading principle."[42] Abu-Haidar writes that, along with his younger contemporary Al-Gubbanchī, Al-Qundarchi was "among the last exponents of the traditional Iraqi maqām."[43]

Youssouf (Yusuf) Omar (1918–1987):

Omar was a student of Al-Qubanchi, and considered by many to be the one of the best singers of Iraqi maqām of all time, surpassed in this regard only by his teacher. Hassan writes that "Omar's musical tendency was naturally more conservative than his master's, and that led him to become a more traditional performer."[44] While his early performances were quite naturally influenced by his prodigious teacher, as he matured he developed his own idiosyncratic style, having encountered and learned from various other Iraqi maqām singers in the social circles of Baghdad. Mulla Mahdi Al-Hafudh was another important early influence.

Omar's performances were disseminated widely in Iraq via radio performances, recordings, and later, television, beginning in the late 1940s and early 1950s. His performances were often accompanied by explanations dedicated to introducing the general public to the intricacies of Iraqi maqām.[45] His vocal range was impressive (from a low *Qaraar* to a high *Jawaab*), and his delivery was smooth, perhaps redolent of the Western "crooners" (Bing Crosby, Frank Sinatra) then popular. His highly emotional performances with the traditional al-chālghī al-baghdādī ensemble "often moved both him and his audiences to tears."[46] According to Hasun Al-Madfai and Ahmed Nadhum, aside from being capable of singing the "whole of the Iraqi maqāms in both the classical method and the contemporary school," Omar also interpellated his own poems into his performances, alongside the vast array of poems in both classical Arabic and Iraqi spoken Arabic that he knew by heart."[47]

Hamid Al-Saadi (b.1955?):

Hamid Al-Saadi is one of the leading contemporary singers of Iraqi maqām. He was a student of Mohammed Al-Kubanchi, and mastered many maqāms at an early age.[48] Yousif Omar considered him to be the "ideal link" between the old and new generations of maqām singers, and having served as a teacher at the Maqām Academy in Baghdad, he is generally recognized as a leading authority on the art. Among his accomplishments are his singing in Arabic of two

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[41] Abu-Haidar, 129.

[42] Van der Linden, *"Maqām Singing" in Modern Iraq*.

[43] Farida Abu-Haidar, "The Poetic Content of the Iraqi Maqām," *Journal of Arabic Literature* 19/2 (1988), 129–130.

[44] Scheherazade Qassim Hassan, "Omar, Yusuf," *The New Grove Dictionary of Music Online*, ed. L. Macy [Accessed 29 May, 2003], <http://www.grovemusic.com>.

[45] Ibid.

[46] Ibid.

[47] Hasun Al-Madfai and Ahmed Nadhum, *Yousif Omar* (Web document [accessed 17 May, 2003], <http://iraqimusic.com/Yousif%Omar.html>).

Turkish maqāms in the repertoire. Now based in London, Hamid performs regularly outside of Iraq at European and international festivals.

Nazem Al-Ghazali (1920–1963):

Al-Ghazali was quite popular in the 1950s and 1960s, when he abandoned the traditional *al-chālghī al-baghdādī* for a large, Egyptian-style ensemble. While his subsequent music betrayed the influence of other Arabic styles, many of his songs were from the classical maqām repertoire.[49] Hassan notes that "although he is not considered a master of Iraqi maqāms, paradoxically it is to him that we owe some of the masterpieces in the interpretation of this repertoire… Al-Ghazali is the only singer who through his widespread interpretations and recordings in the Middle East, has succeeded in exporting the Iraqi maqām with its oriental accompaniment."[50] He considered himself to be a disciple of Al-Gubantchī, although he never actually studied with him. He maintained his reverence for Al-Gubantchī even after he had become a famous singer throughout the Arab world; indeed, as Hassan writes, "he was so respectful that at maqām evenings he never sang in Al-Gubantchī's presence, although it would not have been considered disrespectful for a well-known singer such as himself to do so."[51]

Salima [Selima] Pasha Murad (1900–1972):

Since the 1930s, Salima Pasha Murad, a Jewess, was one of Iraq's most beloved singers. She had to overcome considerable resistance in order to make music her career, because, as Yeheskel Kojaman points out, "it was considered shameful [at that time] for a woman to sing in public… no respectable family would allow their daughter to become a professional singer."[52] Female performers were associated in the public mind with prostitution, as many such singers and dancers had been recruited from brothels. Salima Pasha was not exclusively a singer of Iraqi maqām, but it formed a significant part of her repertoire. Galia Ben-Mordechai writes that Salima Pasha was instrumental in keeping the Iraqi musical style alive in Israel after the mass exodus of the 1950s.[53] She later married the famous singer Nazim Al-Ghazali, and her songs remain popular to date.

Farida Mohammed Ali and the Iraqi Maqām Ensemble:

Born in Kerbala, she is one of few Iraqi women to have taken up the art of Iraqi maqām exclusively. The late, famous Sadiqa Mulayya (1901–1968) had mastered just four to five maqāms. Maida Nazhat b. 1937), also a renowned singer, at one time practiced six maqāms, but since her emigration to the United States has stopped singing. Selima Murad see above) sang maqām only as a secondary practice, as did Munira Abdal Rahman al-Hawazwaz (1895–1955),

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[48] Record company bio (Web document [accessed 17 May, 2003], <http://www.aramusic.com/cgi-bin/new/config.pl?read=67>).

[49] "Iraq," *Microsoft Encarta Online Encyclopedia* ([Accessed 30 May, 2003], <http://www.nitle.org/arabworld/map.php?module_id=4&country_id=5>).

[50] Hassan, 1992, 267–268.

[51] Hassan, 1998, 314.

[52] Kojaman, "Jewish Role in Iraqi Music."

[53] Galia Ben-Mordechai, "The Musical Culture of Iraqi Jewry: Three Countries and Two Continents" (*Canadian Journal for Traditional Music* [Online journal, accessed 30 May, 2003], <http:cjtm.icaap.org/content/20/v20art3.html>).

and Zakiya Georges (1900–1961). There are some devotees and performers of Iraqi maqām who contend that women are not suited to the singing of maqām, because they are not able to embody the supposedly masculine characteristics of "bravery, manhood [and] enthusiasm."[54]

Farida was a student of Munir Bashir, who performed renditions of Iraqi maqām on the oud, and who encouraged her against the odds to become a singer of Iraqi maqām. She studied also with Sha'ub Ibrahim, Husein Al-Azhami, and Mohammed Gomar. She became a teacher at the Institute of Musiq in Baghdad. A graduate of the Institute in 1990, she was the first woman teacher in the field of maqām.[55] She has mastered nineteen maqāms to date. While this is already a considerable number of maqāms, she hopes to expand her repertoire to thirty maqāms.[56]

The Iraq Maqām Ensemble was founded in 1973 at the behest of famed Iraqi oudist Munir Bashir in order to keep the imperiled tradition of Iraqi maqām alive. The ensemble uses the instruments of the classical Ensemble al-chālghī al-baghdādī and performs maqām in the original style.

Form(s) and Repertory

Each maqām in the *al-maqām al-iraqi* repertory has its own *nagham*, a tone row that in other traditions of Arabic music would be identified as the maqām proper. The performance begins and concludes with the given *nagham*. It also serves as a point of tonal reference after modulatory sequences. The maqām takes the name of the nagham that defines it: Maqām Bayat, Maqām Rast, Maqām Saba, etc. However, Kojaman asserts that "only one maqām can have the name of the same nagham… there are no two maqāms that have the same name."[57] There are in practice often several maqāms based on the same nagham; these may be named after the composer, a place, or some adjective.

Form

The Iraqi maqām is comprised of several distinct sections that succeed one another in a regular yet variable sequence. Most typically, a maqām is comprised of a tripartite main section sandwiched between an opening and closing section. The ensemble typically opens the maqām with a short instrumental prelude known as the *muqadamma al-dulābī*.[58] The performance of the maqām proper begins with the *tahrīr*, a section without a prescribed text wherein the singer sings words in Arabic, Persian, or Turkish, in order to "warm up" the *maqām* (as well as the singer's voice). According to Tsuge, "a distinguishing trait in the [*tahrīr* section of the] Iraqi *maqām* is that each *maqām* has special vocables" particular to it.[59] Touma explains that "The *tahrīr* presents the nucleus of the *maqām* and establishes it its emotional content."[60] In this regard its function is somewhat similar to the *alāp* of Hindustani vocal music. After the introductory passages, both the singer and the instrumentalists improvise on the different components of the *maqām*, beginning with the beginning tone of the row. The instrumental responses in the *tahrīr* are called *muhāsiba*.[61] The

[54] Kojaman, 2001, 127.
[55] Farida & the Iraqi Maqām Ensemble. *Classical Music of Iraq*.
[56] Ibid.
[57] Kojaman, 2001, 183.
[58] Gen'ichi Tsuge, "A Note on the Iraqi Maqām," *Asian Music* 4/1 (1972), 63.
[59] Tsuge, 63.
[60] Touma, 55.
[61] Tsuge, 63.

rhythmically free passages gradually ascend through the tone row until the highest tone is attained, whereupon follows the *taslūm*, "a descending melodic passage that leads directly to the finalis of the *maqām* row."[62] Sometimes the maqām opens with *badwa* instead of *tahrīr*. Hassan writes that the *badwa* (beginning) section fulfills the same function as *tahrīr* but "differs in its very brief opening," and can be used interchangeably.[63] According to Kojaman, "the *badwa* is usually much shorter than the *tahrīr* but it is still sung with fixed words, which have no relation to the text of the maqām."[64] He also notes that on occasion, a maqām will begin directly with the text, having neither *tahrīr* not *badwa*.

After the opening section, the first part of the maqām sequence proper is usually the singing of the text, whether it is Arabic poetry in the *qasida* form, or vernacular Iraqi poetry (*zhairi* or *zheiri*). The singing of the text is itself sectional. The *jalsa* is "a descending cadence [that] marks the end of the first part of the maqām."[65] Kojaman reports that *jalsa* ("sitting") "settles on the tonic of the *Nagham*, in order to prepare for the *Mayāna*… the *Jalsa* is performed only before the first *Mayāna* of the Maqām."[66] There is a brief instrumental interlude after the *jalsa* in order to allow the singer to prepare for the *mayāna*.

The *mayāna* (*meyāna*) is also texted; Hassan identifies it as "the 'middle' formal melodic part in tripartite maqāms" which is typically sung in a higher register than the preceding section.[67] Iraqi singer Hamid Al-Saadi relates that there are maqāms that have no *mayāna*, featuring instead a section called *sayha*, that is in a high register of the *maqām* but lower than a *mayāna*.[68] Hassan characterizes the *sayha* as being "musically undeveloped."[69] If there is no *mayāna*, then, by definition, there is likewise no *jalsa*.

The third section of the tripartite maqām core is known as *Qita*' or *awsal* (*quta*' or *awsl*). These are comprised of small, pre-composed phrases that exist independent of the maqām, and may or may not belong to the nagham.[70] According to Hassan, these melodic pieces may occur in any part of the maqām, "serving as modulations or structural bridges to higher or lower registers, as aesthetically embellishing sections or as a means to change a prevailing mood. In general, their place is predetermined, but some are used freely."[71] These pre existing melodic phrases are all named and texted, and the composer of a new maqām is free to choose from all the extant *qita'* and *aswal*. Once the composer has selected them for his maqām, whoever sings that maqām is obliged by tradition to include them as well. Kojaman points out that in the best of maqām performance circumstances, such as a *chalgi* night, a coffeehouse performance, or a radio/television performance, the singer may sing all the *qita'* and *aswal* that the composer has specified, but the limitations of the older recording media, especially the 78 RPM record, compelled the singer to selectively truncate or omit these melodies.[72]

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[62] Touma, 56.
[63] Hassan, "Iraq [Republic of]," *NGDMO.*
[64] Kojaman, 2001, 186.
[65] Hassan, "Iraq [Republic of]," *NGDM*O, 2003.
[66] Kojaman, 2001, 186.
[67] Hassan, "Iraq [Republic of]," *NGDMO*, 2003.
[68] Hamid Al-Saadi, quoted in Kojaman, 2001, 187.
[69] Hassan, "Iraq [Republic of]," *NGDMO*, 2003.
[70] Kojaman, 2001, 187.
[71] Hassan, "Iraq [Republic of]," *NGDMO*, 2003.
[72] Kojaman, 2001, 187.

The maqām closes with the *taslim*. The closing *taslim* is similar to the opening *tahrīr* in that it is also sung in the principal nagham of the maqām, and it features fixed words and phrases, which are, however, different from those of the *tahrīr*.[73]

A classical maqām performance is comprised of a number of maqām realizations in a fixed sequence, named after the first maqām in the sequence. This cycle is called *faṣl* (plural, *fuṣūl*). The Arabian repertory of *al-maqām al-irāqī* consists of five *fuṣūl*: *bayāt*, *hijāz*, *rāst*, *nawā*, and *husaynī*.[74] The performance of a complete *fuṣūl* is a time-consuming affair, and such performances were much more common in the early twentieth century. As the average time required to perform an entire *faṣl* is 90 to 100 minutes, a typical *chalgi* night of five *fuṣūl* can last ten or more hours.[75] Touma declares that "the performance of a *faṣl* lasts three to four hours."[76] There are several maqāms that are not part of the *fuṣūl*; these, according to Hassan, "were sung outside the order of the secular [*fuṣūl*] cycle, either in religious cycles or as independent, important maqāms."[77]

Maqām→Pesteh

Each maqām is typically followed by a light, popular song called the *pesteh* (*peste*, *pessteh*, *pasta, bastah*) in the same nagham. The *pesteh* is a refrain song drawn from the familiar urban song repertory. The instrumentalists serve as a chorus in the pesteh, necessitating that they be skilled vocalists as well. The audience is also free to sing along. The function of the pesteh, says Kojaman, is that it "gives the audience an interval of light music during which they can clap, accompany the singer, and even dance, changing the atmosphere from the very serious attention which is demanded during the singing of the maqām."[78] Van der Linden cites the rise of the 45 RPM record in the first half of the twentieth century as one of the primary mechanisms by which the great popularity of these songs was established: "A full maqām was too long for the 45 RPM gramophone record and the pesteh was a suitable outlet."[79] Each singer of maqām normally has a variety of familiar pestehs at his disposal. Several notable singers, including Nazim Al-Ghazali, specialized in pestehs. Abu-Haidar writes that typically "[the singer] usually starts by singing the opening couplet of a *pasta*, or sometimes just the first few words, as a cue for the audience and the orchestra to take over."[80]

Texts

Maqām texts are drawn from one of the sixteen meters of classical Arabic poetry, both ancient and modern, as well as poetry (*zuhayrī*) in any one of several dialects of Iraqi vernacular.[81] Hassan identifies two type of poetry that is

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[73] Kojaman, 2001, 187.
[74] Touma, 57.
[75] Kojaman, 2001, 129.
[76] Touma, 59.
[77] Hassan, "Iraq [Republic of]," *NGDMO*.
[78] Yeheskel Kojaman, "Jewish Role in Iraqi Music"
[79] Neil van der Linden, *"Maqām Singing" in Modern Iraq*.
[80] Abu-Haidar, 137.
[81] Touma, 55. Abu-Haidar explains that "Most *mawwāls* are in uninflected language which is often a hybrid of rural and urban Iraqi Arabic… like most colloquial verse, most *mawwāls* have been handed down orally. Singers frequently take liberties with *mawwāls*, sometimes changing a word, at other times a whole line… Some *maqām* virtuosi, like al-Zaydān, were known to improvise *mawwāls* on the spot." Abu-Haidar, 135–136.

used in maqām: "the colloquial or hybrid *mawwāl*, also known as the *zheyrī* (named after one of its first composers, Mulla Jādir al-Zuhayri), which is composed of seven lines with the rhyme scheme a a a b b b a ; and the literary *qasīda*, a monorhyme ode based on the rules of classical Arabic prosody."[82] The former is a dialectical genre, and the latter is a classical, literary genre, the oldest known Arabic poetic form. The poetry may be contemporary or ancient, and features a range of themes, including many on the topic of lost or unrequited love. The singer may occasionally sing verses of his own composition in the traditional *qasīda* form. Most frequently, however, the singer "usually selects between five and seven lines from a monorhyme *qasīda* whose mood is compatible with that of the music."[83]

The texts of the pesteh usually are one of two principal types. The first is the *tawšīh*, an equisyllabic form that does not employ classical Arabic meter.[84] Abu-Haidar has noticed a certain similarity between the *tawšīh* and the Spanish *seguidilla*, in terms of rhyme and metric schemes. The second type of pesteh text is the *murabba*ᶜ, "a poem of four-hemistich stanzas" either in the pattern b b b a c c c a , or equisyllabic.[85] As both sorts of pesteh texts rely on measured and uniform rhyme schemes, they often do not bear the same sort of semantic meaning as the *qasīda* or vernacular texts. Several singers have taken to compose their own pestehs, something which, writes Abu-Haidar, that "their predecessors never would have done." Indeed, given the relentless assault of both Western and Arab pop music, he asserts that "one should come to accept the fact that it is the pasta nowadays which is keeping alive this typically Iraqi music."[86]

Kishtainy writes that Iraqi *maqām* "is a male art, sung by men to men about men," and hence, "there is a great deal of homosexual love poems in it."[87] Certainly, a poem such as Farida sings to Maqām Al-Bayat on her 1998 recording *Classical Music of Iraq*, if it were to be sung by a male singer, could easily be interpreted in that light:

> I am afflicted by a hard-hearted man who torments my soul.
> I am content to accept him as a master
> While he does not even want me even as his slave.
> Do not leave me yearning endlessly, dying for you,
> But take me as a slave for your slave's slave. [88]

The poetic texts are transmitted both orally and by writing. While much maqām music has not yet been transcribed a task that involves enormous difficulties), there do exist compendiums of maqām texts, both in manuscript and in printed editions.[89]

One of the qualities of an outstanding singer of maqām is their sensitivity to the text, as well as their ability to manipulate it in real time during a performance. Hassan asserts

> Minor performers usually repeat texts from existing compilations, but a good literate singer often chooses a poem, selects some of its verses, and rearranges them according to his own personal taste. Freedom to change the text of a maqām or use the

[82] Hassan, 1998, 313.
[83] Abu-Haidar, 132.
[84] Ibid., 137.
[85] Ibid., 139.
[86] Abu-Haidar, 141.
[87] Kishtainy, 33.
[88] Translation from the Arabic coordinated by Vera Ramer. Farida & the Iraqi Maqām Ensemble. *Classical Music of Iraq*, [Sound Recording; liner notes by Neil van der Linden], Samarkand Records SAM CD 9001(1998).
[89] Hassan, 1998, 313.

same text for different individual maqāmāt allows the singer to perform different versions of the same maqām and even of the same text. If a performer's poetic choice is met with approval, it may then be diffused widely among amateurs. A version of a maqām that achieves great popularity may come to be more generally associated with the performer than with the author of the text or the composer of the melody, if known. [90]

Maqām Repertory

There are fifty-three different distinct maqāms in Iraq, which all derive from twenty principal maqāms. Van der Linden states that if one "considers some subdivisions [of the maqāmāt] as separate forms," one can list over seventy maqāms.[91] The number and constituency of the maqām repertoire has been variable over the course of the twentieth century, and there is no agreement as to the exact number of extant maqāms, either by scholars or practitioners. Early twentieth-century theorists held that the maqām repertoire grows out of seven basic modes: *rāst*, *beyāt*, *segāh*, *ajam*, *nawā*, *hijāz*, and *sbā*, with all other maqāms being derivative.[92] As the century progressed, new maqāms entered the repertory even as others were altered or dropped altogether.

A singer typically specializes in just a few maqāms. No singer has mastered all of the extant maqāms.[93] The core vocal repertory of Iraqi maqām, writes Ruth avis, are comprised of "more-or-less fixed, non-metered melodic models."[94] While each of the maqāms has certain preconceived rhythmic, melodic, modal, and formal aspects, the performer, according to Hassan, "is expected to respect its traditional framework and to enhance its formal skeleton with personal improvisations, ornamentation and musical developments."[95] Davis cites the existence of thirty or so modulatory pieces among the fifty-three Iraqi *maqāmāt*, "which like the Azeri gushes, are transferable between *maqāmāt*. Like the Persian *dastgāh*, the modal-melodic features and overall feature of each maqām are pre-determined; the more complex *maqāms* ascend to a high register in a section called *al-meyāna*, comparable to the Persian *owj*."[96]

Rhythm

According to Kojaman, "the rhythm of each maqām is fixed and the maqām is always sung with it."[97] This is true even if the maqām opens with an improvisatory section in free rhythm. Certain maqāms may feature two rhythms. However, the maqām must by tradition retain the rhythmic character prescribed by its composer. Certain maqāmāt—Touma names *bāyāt* and *husaynī*—typically unfold without percussive accompaniment; conversely, certain other maqāmāt—especially *ibrāhīmī* and *nāwā*—are invariably presented with rhythmic accompaniment.[98]

Performance and Reception

Performance Context

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[90] Ibid.
[91] Neil van der Linden, *"Maqām Singing" in Modern Iraq*.
[92] Scheherazade Qassim Hassan, "Iraq [Republic of]," *NCDMO*.
[93] Farida & the Iraqi Maqām Ensemble, *Classical Music of Iraq*.
[94] Ruth Davis, "Mode §V, 2: Middle East and Asia: Maqām," *NGDMO,* ed. L. Macy (accessed 24 April 2003), <http://www.grovemusic.com>).
[95] Hassan, "Iraq [Republic of]," *NGDMO*.
[96] avis, "Mode §V, 2: Middle East and Asia: Maqām," *NGDMO*.
[97] Kojaman, 2001, 184.
[98] Touma, 56.

There are—or were—a number of variable performance contexts for the art of *al-maqām al-irāqī*. On the one hand, performances were often private, a secular entertainment for the wealthy and educated classes of urban Iraq, especially in Baghdad. A performance might take place in a bourgeois home on such occasion as a wedding or birthday, or frequently, during the *mawlid*, the celebration of the birth of the Prophet Mohammad.[99] Other occasions for a so-called "chalgi evening" might include the henna ceremony of the bride-to-be, circumcisions, recovery from serious illness, a festival, or the celebration of some personal achievement.[100]

Performances of Iraqi maqām also took place in public venues such as literary meeting, tea- and coffeehouses. Abu-Haidar writes that "Each singer used to frequent the same coffee-house where he would give a nightly recital to the customers, who were usually made up of regulars."[101] The legendary coffeehouse performances, which could go on for hours, were gradually replaced by radio broadcasts and recordings, and the last recorded coffeehouse performance took place during Ramadān 1357/1938.[102] Another such performance venue was the *Zurkhane*, a type of sport school run by the Sufis.[103] In the later twentieth century the appearance of tape cassettes enabled the widespread dissemination of maqām recordings. Many of the traditional performance venues have now disappeared, and the art has assumed an almost folkloric status. As in the case of other Middle Eastern countries with similar performance traditions, such as the Turkish *fusil*, the attention span of modern audiences has diminished considerably, and performers have been forced to truncate the length of their performances. Al-Hadj Hashim al-Rajab, an Iraqi maqām singer now eighty-two years old, reflects ruefully on the performances of the past:

> In the old days, there were no nightclubs and there was no cinema here in Baghdad. So just about the only entertainment available to anyone was going to a concert of maqām. And there were strict rules at concerts. People weren't allowed to cough or even whisper. They were expected to give their whole attention to the maqām. And the maqām singers always performed the pieces in the same proscribed [sic] order to stop the audience from shouting out for their favorite songs. I've seen fights break out at concerts because of this. [104]

Nowadays, however, Westernized and Arabic pop music claims the attention of the majority of younger listeners, and support for the genre is diminishing. Maqām is an art form that requires cultivated listeners, as well as performers, and the conditions for producing such listeners are currently less than favorable.

The singer is judged foremost by the ways in which he or she applies the rules of maqām, and the quality of his or her improvisation within this rule-governed context. While the singer is expected to perform the maqām as he learned it from his teacher, there is of course much latitude for personal expression. There are several parameters by which a performance is gauged. Tempo is one of them. Kojaman writes:

> The maqām tradition is not accustomed with the European conventions of tempo. The singer himself decides his singing tempo. He may sing his maqām faster or slower than his predecessor. This change may be intentional or unintentional… the speed might also be connected with the special situation in which the singer is performing.[105]

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[99] Neil van der Linden, *"Maqām Singing" in Modern Iraq*.
[100] Kojaman, 2001, 81.
[101] Abu-Haidar, 128.
[102] Ibid., 129.
[103] Neil van der Linden, *"Maqām Singing" in Modern Iraq*.
[104] Werman, *Interview with Al-Rajab*.
[105] Kojaman, 2001, 125.

If, for example, the performance context was that of a chalgi evening in a coffeehouse, or a live radio broadcast, the singer might be inclined to take as much time as he desired and sing slowly, whereas if he was recording a 78 RPM, he would attempt to pack the six minutes of recording time with as much of the maqām as possible.

Another area of differentiation between singers of maqām is vocal timbre. As most of the singers were untrained (in the classical sense), there was no uniformity of timbre. Singers were judged by the relative strength of their voices, and especially their ability to perform melismas and embellishments fluidly within the specific context of the particular maqām. As a singer aged, his performance of the same maqām would likely differ, a combined result both of the "deterioration" of his voice from age, and his greater understanding of the intricacies and subtleties of the maqām.[106] There is of course a wide range of stylistic differences among maqām singers, as well, in terms of the way a singer accents certain words and syllables, prolongs or contracts phrases, and how the singer conveys the emotional affect of the maqām. All of these differences are related to but not constitutive of improvisation proper, in which a singer varies or improvises new melodies for repetitions of the same texts or fragments thereof.

Contemporary Iraqi Maqām and Future Directions

Throughout the twentieth century, Iraqi maqām underwent continuous and dynamic evolution. Although the basic elements passed from master to student in oral transmission, the student was fully expected to build upon the traditional, classical foundation of what he had learned and take the art in new stylistic directions. In the present, however, the art of Iraqi maqām has largely entered a condition of stasis and inertia. Van der Linden assesses these developments in no uncertain terms:

> The role of the maqām as part of musical life has been marginalized on the one hand, because of the predominance of pop culture, and on the other hand has become an object of preservation and musicological museology, the actual development of the maqām culture has probably come to a standstill.[107]

The tremendous social upheavals experienced by the people of Iraq in the wake of two wars waged upon them in little more than a decade have also made it difficult for the traditional context of Iraqi maqām to flourish, and cast doubts upon the future of the art. The 1991 war claimed the life of notable Iraqi maqām scholar Shaoubi Ibrahim, and the desperate conditions that prevailed in the wake of that war and the harsh sanctions imposed upon the nation have certainly impacted scholarship and research for the worse.[108] Hassan, on the other hand, see hope for the genre: "today [1998] the popularity of the maqām repertoire is increasing, and maqām is rapidly becoming an emblem of contemporary Iraqi cultural identity."[109] The work of such expatriate maqām artists such as Hamid Al-Saadi and Farida Mohammed Ali help preserve the genre in its quintessential form, and expose it to new audiences, both at home and abroad. When the dust

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[106] Ibid, 125–126.
[107] Neil van der Linden, *"Maqām Singing" in Modern Iraq.*

[108] Hassan, 1992, 269.
[109] Hassan, 1998, 313.

settles on the tragic chaos that now currently defines the Iraqi nation, perhaps *al-maqām al-irāqī* may help to restore and regenerate a renascent Iraq.

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***Strike Up the Band*: War, Satire, Art, and Praxis**

Until recently, George Kaufman's and the Gershwin brothers' caustic 1927 antiwar musical *Strike Up the Band*! was little more than an anomalous footnote in the history of American musical theater. Giddy with the euphoria of pre-Depression prosperity and post-war optimism, America was in no mood for a musical polemic that savaged the military-industrial complex and mocked the ebullient patriotism of the war years. While the 1930 revision of the work went on to considerable success, with only five of the original songs remaining and much of the inflammatory dialogue excised, it was effectively neutered as critique. That the original production was a *commercial* failure, however, in no way militates against its success either as a work of art or as a vehicle of political critique. Indeed, the work's stubborn refusal to accommodate itself to the norms of musical theater and its pungent satire—at both the textual and musical levels—index strong resistance to bourgeois commodity culture, and allow it to retain relevance. Using newly-discovered materials, theater archivist Tommy Krasker reconstructed the original work in 1990. The reconstituted *Strike Up the Band*! functions brilliantly as political satire, making a trenchant case against war and imperialism with wit, musical sophistication, and savage irony. The work also affords a rare glimpse into the political tendencies of the Gershwins. By means of musical analysis, close reading of the text, and an investigation of the work's historical and social context, this paper explores the operation of satire as political critique, and situates *Strike Up the Band*! at a precarious midpoint within the contentious twentieth-century dialectic of art and politics delimited by the aesthetic positions of Brecht—who advocated overt, didactic political expression and estrangement—and Adorno, who maintained that resistance to domination could paradoxically only be effected by the sullen refusal of the art work to speak.

Strike Up the Band: War, Satire, Art, and Praxis

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The original 1927 production of George Kaufman's and George and Ira Gershwin's antiwar musical *Strike Up the Band*! was once little more than an anomalous footnote in the history of American musical theater. The critically-lauded show was without question a commercial failure. The production closed within two weeks of its Philadelphia opening with its cast in disarray, never making it to Broadway. Giddy with the euphoria of pre-Depression prosperity and optimism, it seems that the American musical theater-going public was in no mood for a caustic antiwar polemic; nor, apparently, did they take kindly to acerbic humor directed at the homeland. While the 1930 *revision* of the musical went on to considerable success, the original production vanished into a historical abyss until musical theater archivist Tommy Krasker, working with newly discovered materials, reconstructed the work in 1990. The original production had been largely eviscerated. Although the comic thrust of the 1927 musical—the sardonic lampooning of the irrationality and naked self-interest of the military/industrial complex—remained partially intact, the critical cutting edge was blunted considerably. Hailed both critically and popularly, the 1930 version was by no means the same show. With only five of the original songs remaining, and much of the inflammatory dialogue excised, the satirical effect was meliorated significantly.

That the original production was a commercial failure, however, in no way militates against its success as a work of art, nor as a vehicle of political critique. Indeed, its stubborn refusal to accommodate itself to the norms of American musical theater bespeaks its resistance to the bourgeois commodity culture from whence it originated. This paper explores the operation of satire as political critique, investigates the ways in which it informs the musical, and subjects the work to the larger question of whether or not political art functions as either. Argued from dialectically opposed positions, this latter issue has been a source of great contention throughout the twentieth century. While Marxist aesthetics originating with Lenin and Soviet social realism viewed art's political mission as paramount—whether in terms of realism, reflection or didactism—other modernist aesthetic positions—Theodor Adorno's chief among them—viewed "political art" essentially as an oxymoron, succeeding in terms of neither. The autonomous, avant-garde artwork expresses resistance by its intransigent refusal to be comprehended or assimilated; this alone, in Adorno's view, constitutes its political effect. *Strike Up the Band* does not participate in the project of modernity as envisaged by Adorno; there is but little doubt that he would have loathed the work as more effluvia emanating from the culture industry. While the work is both textually and musically innovative, it does not meet the modernist prerequisites of the artist working at the utmost extremes of form, material, and technique. It does, however, function brilliantly as political satire, making a trenchant case against war with wit, musical sophistication, and savage irony.

Aside from its overtly political content, the production was a milestone in the history of American musical theater. As a fully-integrated musical, it owns the distinction of being the first true "book" musical, followed in December of 1927 by Jerome Kern's *Showboat*, and the later book musicals by Rodgers and Hammerstein.[1] Indeed, *Strike Up the Band* exhibits closer affinities to the operetta genre as defined by Gilbert and Sullivan than it does to contemporaneous Broadway

[1] Edward Jablonski. *Gershwin: A Biography* (New York: Da Capo Press, 1998), 143.

musicals, most of which were formulaic and trite by comparison. Kaufmann's book allowed the Gershwins to escape the trite convention of hit songs sandwiched between meaningless filler material, and to craft a work that is essentially through-composed.

The work owes much of its satirical effect to George S. Kaufman's scathing libretto. Satire, as "irony or caustic wit used to attack or expose folly, vice, or stupidity" seeks to make a person or institution an object of ridicule.[2] Kaufman's caustic libretto savages the senseless stupidity of modern war and the corrupt, self-serving motivations of the military-industrial apparatus that calls it into being, even as it ridicules mercilessly the mindless, lemming-like patriotism of the masses that will happily sacrifice their children to the inferno of war. The power of the libretto notwithstanding, the musical is also a collaboration in the truest sense, involving the efforts of writer, lyricist, composer, arranger(s), and theatricians. The Gershwins' score animates the critique, amplifying the ironic and caustic wit of the libretto by ingenious musical and lyrical means. That the collaborators were able to employ the unashamedly light-hearted—if not outright corny—genre of musical theater to make a powerful political statement speaks to their considerable collective talent.

Why did the public receive the work so unfavorably? Gershwin biographer Edward Jablonski suggests that by 1927 "war as entertainment had worn thin […] by the mid-twenties the War to End Wars sentiment seemed old hat—and, in 1927, hardly an appropriate subject for a musical 'comedy.'"[3] John Mueller concurs: "its target—war—was an easy one in the 1920s."[4] In essence, he believes, Kaufman and the Gershwins were "preaching to the choir," in that by the 1920s, the cataclysmic horrors experienced by all sides in the First World War had finally dispelled long-cherished Western beliefs about the sanctity, necessity, and glory of war: "especially in Britain, France, and the United States, the notion was widely accepted that war—particularly war among the advanced countries—was an evil that ought to be expunged."[5]

If this notion was as widely held as he maintains, that is, if its bitter truth had been assimilated fully, one could reasonably ask why—less than ten years after the end of the most devastating war in history thus far—that audiences were *not* interested in a work that adumbrated the antiwar position so admirably. Joan Peyser asserts flatly, "the public was not ready for [*Strike Up the Band's*] cynical illumination of man's corrupt spirit and self-serving reasons for going to war."[6] The reasons that the public was "not ready" to receive such a work favorably bear inquiry. The work was bound to offend those Americans who had been swept up in the wave of near-hysterical patriotism and jingoism attendant on the First World War. Perhaps it touched a few raw nerves among some veterans as well. A Philadelphia critic who attended the trial run of the show in Long Branch, New Jersey, recognized that although the subject matter was sure to cause a furor, the show might founder commercially:

> … after the critics are through and the intelligentzia [sic] and curiosity is over, it may have difficulty pulling. Satirical musical shows have never been a success in America, though the time now may be ripe. Nor do Americans like to be laughed at on the stage—this seems to appeal only to the English […] The masses in general still believe in patriotism. People are going to be hurt and resentful at some of the things said, to say nothing of the American Legion and patriotic societies.[7]

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[2] *The American Heritage Dictionary*, 2nd College Edition (Boston: Houghton Mifflin, 1984).

[3] Jablonski, 143.

[4] John Mueller, "Preaching to the Masses: *Strike Up the Band* and War." In *Strike Up the Band*. By George and Ira Gershwin. Restored by Tommy Krasker [1990]. Conducted by John Mauceri. Elektra Nonesuch 79273–2 New York: Roxbury Recordings, 1991.

[5] Mueller, 1991.

[6] Joan Peyser, *The Memory of All That*. (New York and London: Simon and Schuster, 1993).

[7] Austin, "Plays Out of Town. Strike Up the Band." *Variety* 88/8 (5 September, 1927).

Whether or not war is an appropriate subject for musical comedy bears scrutiny, as does the question of whether comedy works to undermine the gravity of the subject. To understand the negative reception of *Strike Up the Band*, and to appreciate the many layers of satire, we must first attempt to position the work within its historical context, before considering the musical and textual elements of the work.

I

The response of the American public to the prospect of entering the war in 1917 was far from unified. In a sociological pattern that has since become commonplace, the country was divided into polarized camps of conservatives who viewed the war as the struggle for democracy itself, and liberals of various orientations who decried U. S. military intervention wherever and whenever it took place. Between them were the mostly indifferent masses, who could tolerate the idea of war so long as it did not impact their own lives significantly, and who were eminently susceptible to the machinations of the war-maker's propaganda machine. The military-industrial sector, which stood to profit greatly from the war in Europe, of course, found it in their interest to fan the flames of war. Indeed, before America's entrance into the war, the armaments industry had been turning a tidy profit by supplying both sides. The sinking of the *Lusitania* in 1915, an event that polarized American public opinion against Germany, was decried as a murderous attack on innocents; in reality, however, she was running arms for the British, with the unwitting passengers serving as a "human shield." Once again, it was industry and government that had put civilians in harm's way, and manipulated the truth to political advantage via their proxy media organs. Domestic opinions on the necessity of American intervention in the war diverged greatly. Irish-Americans, for example, having neither forgotten nor forgiven centuries of cruel injuries inflicted upon them by the British, largely supported Germany.

The idealism of the early modernists, which held out the promise of a better world, suffered a great blow during the war years. The New York writer John Reed (1887–1920), a Greenwich Village bohemian who built his career chronicling the Mexican and Russian revolutions, believed—as did many progressives and intellectuals of the time—that "the armament manufacturers and their allies in government had led Europe into the slaughter, aided by imperialists and nationalist parties." He traveled to Europe in 1914 to write about the war. According to Christine Stansell, "he had counted on discovering similar views among the soldiers and civilians he met and was badly disappointed […] Rather than human interest, Reed found dreary capitulation to jingoism and nationalistic fervor."[8] Ultimately, he was compelled to report that the war was "ghastly […] a gray and unenthusiastic struggle devoid of meaning." He was stymied in his attempt to share his grim insights by publishers who distanced themselves from writers expressing antiwar sentiments.

Reed was not alone in this predicament. In June of 1917 Congress passed the infamous "Espionage Act," which had little to do with espionage and everything to do with silencing domestic dissent. The Act authorized stiff penalties, including lengthy prison terms, for "Whoever, when the United States is at war, shall wilfully cause or attempt to cause insubordination, disloyalty, mutiny, or refusal of duty in the military or naval forces of the United States, or shall wilfully obstruct the recruiting or enlistment service of the U. S." While the Act ostensibly contained a clause permitting free speech and critique of the government, historian Howard Zinn writes that, far from apprehending spies, "the Espionage Act was

[8] Christine Stansell, *American Moderns: Bohemian New York and the Creation of a New Century.* (New York: Metropolitan Books. Henry Holt and Company, 2000), 194.

used to imprison Americans who spoke or wrote against the war."[9] Zinn cites the prosecution and punishment of two Socialists, Charles Schenck and Eugene Debs—neither of whom were actual spies—for uttering seditious statements against the war. Speaking to a large crowd gathered outside a prison wherein three fellow Socialists were incarcerated for opposing the draft, Debs proclaimed,

> They tell us that we live in a great free republic; that our institutions are democratic; that we are a free and self-governing people […] Wars throughout history have been waged for conquest and plunder […] The master class has always declared the wars; the subject class has always fought the battle […] in good time we are going to sweep into power in this nation and throughout the world. We are going to destroy all enslaving and degrading capitalist institutions and re-create them as free and humanizing institutions […] The sun of capitalism is setting; the sun of Socialism is rising.[10]

He was denounced as a traitor for these utterances and sentenced to ten years in prison. All in all, at least nine hundred people were incarcerated under the Espionage Act. The Espionage Act was followed by the even more draconian Sedition and Sabotage Acts of 1918, whose express purpose it was to quell all expression of dissenting opinion.[11]

At the same time as all meaningful dissent was being silenced by means of force, the propaganda machine of the military-industrial complex went into full gear. It was obvious that *something* had to be done to stir enthusiasm for the war and sell it to both to the American public and potential recruits, who were not as anxious to enlist as their European counterparts had been in 1914. Instead, it became necessary for Congress to impose a draft upon the reluctant warriors—many of whom understood implicitly that their real role was that of cannon fodder. Likewise, by means of intimidation and a massive public relations effort greased by all the resources of the wealthy industrialists and their paid representatives in government, the public was also induced to fall into line. Then, as now, the private sector and its government allies largely maintained absolute control over the organs of the media, and successfully coordinated a propaganda effort designed at extracting public support for their policies. This manufactured "unity" of national mood manifested itself outwardly via "military bands, flag waving, the mass buying of war bonds, the majority's acquiescence to the draft and the war."[12] Informing the propaganda campaign was President Woodrow Wilson's oxymoronic rhetoric that this was a "war to end all wars," a war that would make the world "safe for democracy." Many believed that the true purpose of the war had more to do with making the world safe for the absolute hegemony of corporate capitalism and American imperialism.

Various vigilante groups and patriotic leagues were formed in order to keep subversive activity in check; one, the so-called American Protective League—sponsored by the Department of Justice—allegedly uncovered some three million cases of wartime "disloyalty." Stansell reports that after the declaration of war in April 1917 "violence escalated against the antiwar opposition. People were beaten, tortured, threatened with death, even shot and hung by fellow citizens, police, soldiers, and various combinations thereof."[13] Naturally, not only antiwar activists, but labor leaders, immigrants, and Socialists as well all fell into the dragnet of surveillance and prosecution. The Attorney General himself was led to remark in 1918 that "It is safe to say that never in its history has this country been so thoroughly policed."[14] Kaufman would seize

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[9] Howard Zinn, *A People's History of the United States 1492–Present.* Twentieth Anniversary Edition (New York: HarperCollins Publishers, 1999), 365.

[10] Zinn, 367.

[11] Alan Brinkley, *The Unfinished Nation: A Concise History of the American People* (New York: McGraw-Hill, 1993), 617.

[12] Zinn, 368.

[13] Stansell, 313.

[14] Zinn, 369.

upon all of these elements in his satirical libretto to great effect, and we will explore presently how they inform the characters and plot of the 1927 *Strike Up the Band*.

That the musical *had* a coherent plot is itself remarkable. Most musicals of the 1920s had been little more than collections of songs stitched together by the barest suggestion of a plot, most of which involved boy-meets-girl scenarios or slapstick comedy. Many musicals were transparent vehicles for star performers, who desired hit songs. This was true of the Gershwin musicals up until this point. In September of 1926, the producer Edgar Selwyn approached the Gershwins with the idea of a satirical antiwar musical to be penned by the renowned Broadway playwright George S. Kaufman, a proposal to which the Gershwins readily agreed. This was to be the first of an eventual trilogy of three satiric, polemic musicals produced in collaboration with Kaufman, followed in 1931 by *Of Thee I Sing* and in 1933 by *Let 'Em Eat Cake*. It is important to note, as Deena Rosenberg has pointed out, that the libretti for all three works were penned by a "writer of straight plays, not musicals"; moreover, one who was not particularly fond of music.[15] It was clear from the beginning of the collaboration that *Strike Up the Band* was a foray into an altogether new and different type of musical.

The musical brought together a collection of formidable talent. George Simon Kaufman (1889–1961) was one of America's most successful playwrights; over a period of thirty-seven years, forty-five of his works were produced on Broadway, and twenty-seven of those were hits.[16] Wit and satire were his forte; his *Beggar on Horseback* [1932] was an "Expressionist satire on the inefficiency of efficiency," and *Merton of the Movies* [1921] was one of the first Hollywood satires.[17] In collaboration with Irving Berlin, he scored a great hit with the Marx Brothers farce *The Cocoanuts* (1925). *Of Thee I Sing* [1931], a later Gershwin/Kaufman collaboration—more a topical operetta than a musical—lambasted the fatuous corruption of American politics, the vapidity of mass culture, and the insincerity of contemporary relationships. This work won Kaufman and Ira Gershwin the Pulitzer Prize. In 1927 the Gershwin brothers were riding the crest of a successful string of musicals and hit songs, and after the phenomenal success of *Rhapsody in Blue* (1924), many musical cognoscenti regarded George Gershwin as a significant composer of American art music.

Although Rosenberg has described the Gershwins's politics as "distinctly liberal," it is difficult to determine exactly how politically engaged either Gershwin was, given that there is little written evidence of their thoughts on the matter. Both were life-long Democrats. George performed for President Roosevelt at the White House, while Ira supported the fledgling Spanish Republic and was one of the few entertainment business personalities to publicly oppose the activities of the House Un-American Activities Committee during the era of the McCarthy witch-hunts.[18] Neither the Gershwins nor Kaufman appears to have been significantly radicalized, as were their German contemporaries Berthold Brecht and Kurt Weill. All three were comfortably ensconced within the culture industry, and lived handsomely off of its products. None of the trio saw military service during the war. However, as part of the liberal New York circle of intelligentsia and artists of the 1920s, it is unconceivable that the Gershwins were unaware of the exigent social realities and political trends of the time. This

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[15] Deena Rosenberg, *Fascinating Rhythm: The Collaboration of George and Ira Gershwin*. (New York: Dutton Books, 1997), 198.

[16] Laurence Maslon, "George S. Kaufman: The Gloomy Dean of American Comedy," In *Strike Up the Band*. By George and Ira Gershwin. Restored by Tommy Krasker [1990]. Conducted by John Mauceri. Elektra Nonesuch 79273–2 New York: Roxbury Recordings, 1991.

[17] "Kaufman, George S(imon)" *Encyclopedia Brittanica Online*. <http://www.search.eb.com/bol/topic?eu=45913&sctn=1&pm=1> [accessed December 1, 2001].

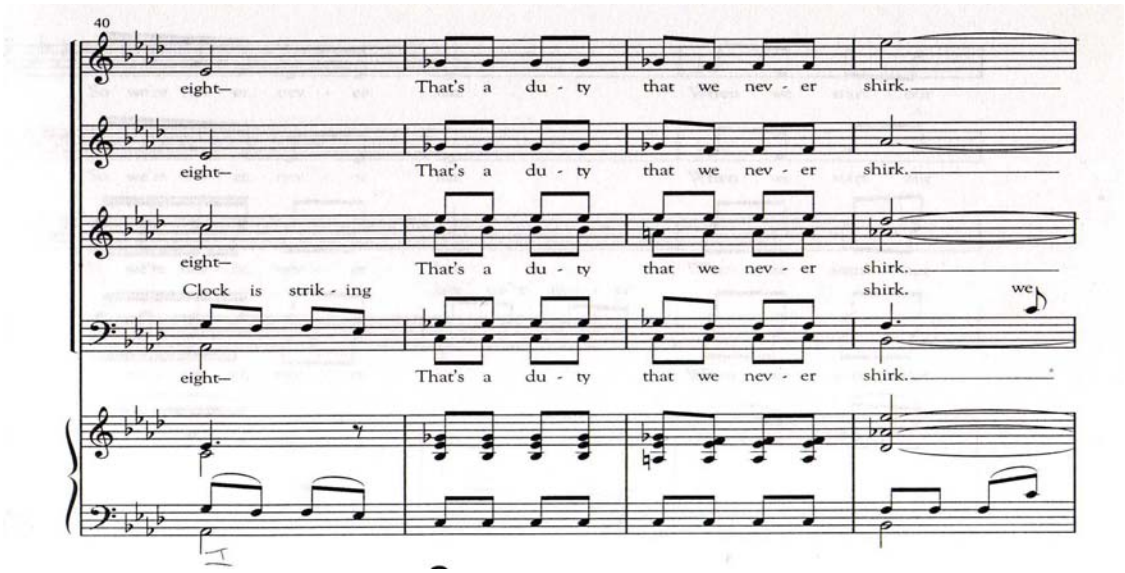
[18] Rosenberg, 203.

awareness is manifest in the their adroit musical setting of and sensitivity to the ideas espoused by Kaufman's libretto. As Rosenberg observes, "the fact that the Gershwins did the scores for the trilogy was a political statement in and of itself."[19]

II

With the historical context in mind, the events of the operetta begin to make more sense; indeed, they acquire dark connotations. As the 1927 version of *Strike Up the Band* is no doubt unfamiliar to many, I provide here a running synopsis/analysis with commentary, in order to illuminate the operation of satire within the work. All references to the score are to the piano/vocal reduction prepared by Steven D. Bowen from the 1990 restoration by Tommy Krasker.[20] The new overture by arranger Dick Hymen is a rollicking medley of the work's signature tunes, along with snippets of patriotic songs, such as "Over There." It is anomalous in the sense that the listener gets little hint of the scathing critique that is to emerge over the course of the work; in that sense, it works as a comic set-up. The satire and critique begins to emerge immediately in the first number proper, "Fletcher's American Cheese Choral Society." Set in the cheese factory at the beginning of the working day, it is an upbeat choral number wherein the happy workers at Fletcher's Cheese Factory celebrate their servile condition of alienated labor. The workers have no individual identities; in fact, they identify themselves totally with the corporation: "We are Fletcher's American Cheese Choral Society." Their herd mentality is obvious from the moment they enter in hymn-style close harmony, proclaiming how they sing each morning at eight o'clock in happy anticipation of a day at the factory. One characteristic of the chorus throughout the work is their robotic, lock-step chanting. The first instance of this is seen at m. 40, just five bars after the first choral entrance. In contrast to the bright A-flat major tonality of the entrance, with its I-IV-V progression, Gershwin sets the line "that's a duty that we never shirk" to a strange, dark sounding series of diminished-seventh chords that ultimately serve to set up the cadence at m. 44:

Example 1: "Fletcher's American Cheese Choral Society," mm. 41–44.



[19] Rosenberg, 203.

[20] Stephen D. Bowen (ed.), *Strike Up the Band*, by George and Ira Gershwin. Book by George S. Kaufman. Vocal score (New York: Music Theater International, 1998). All text excerpts and musical examples are drawn from this edition.

Obviously, there is a dark undercurrent informing this happy "worktopia" wherein the workers give body and soul to the company. The idea of "duty"—which of course also plays a role in state militarism—has been thoroughly inculcated in these workers. In service of the ideal of corporate efficiency, the workers are compelled to sing. They appear to happily accept their chains: "Happy, happy workers we, Singing, singing merrily…"

The figures of authority enter in order of their own position in the hierarchy, with the grand entrance being reserved for the owner. The foreman, Timothy Harper, greets his workers and tacitly declares the absence of dissent in the factory; from office boy to doorman, "everyone agrees." This is what management likes. He names the condition of alienated labor and the vanishing subject in so many words: "We've cows that are contented, working for Fletcher's Cheese." The workers, delighted to learn that the cows—in essence, themselves—are so content, express their joy en masse, as well befits their subjectless, subservient collectivity. Of course, the life of a dairy cow on a factory farm is a miserable one. Her babies ripped from her at birth and sent to cages where they will be raised as veal, the cow, by virtue of hormones and other chemicals, is maintained as an over-productive milk machine. When she can no longer produce her daily quota of milk, she is then ground without ceremony or gratitude into dog food. The parallel to the meaningless, joyless lives of industrial factory workers under a ruthless capitalist system is obvious.

A chorus of "Tra-la-las" from the workers greets the manager, C. Edgar Sloane. His dictum, delivered in a malevolent F-minor harmonic area, is simply: "Work, work, work—that's all I'm asking of you. Never shirk, shirk, shirk—But show me just what you can do." In other words, "Ask not what the corporation can do for you—ask what you can do for the corporation." In this world there is nothing to do but "work, work, work"; the contented cows have but one day off, on Sundays; for this, Sloane reminds them, they ought to be grateful. For the owner of this corporate enterprise, Horace J. Fletcher, is reserved genuflection of a quasi-religious nature. The workers call his name three times; the magical aspects of the triple incantation should be recognized immediately by any one familiar with occult practices (not to mention the Nazi "Sieg heil!" salute). Fletcher makes self-glorifying pronouncements regarding the nature of his products and his intention to "serve humanity" as the workers parrot back his words. Fletcher wants no deviation from the daily routine, no interruption to his "habitual program." He leads his workers in what amounts to a pledge of corporate allegiance that also makes clear the integration of commodity capitalism with America: "I firmly believe that Fletcher's American Cheese makes bigger and better citizens for the U.S.A.!

This pledge is recited over a series of devolving flat-five seventh chords that terminates on a glorious E-flat seventh chord on the word "U.S.A.," facilitating the modulation back into the home key of A-flat major. The number concludes with a gay dance as the workers move on to their dreary and repetitive daily tasks. In Russell Warner's 1990 new orchestration, the satire is brought out by sliding trombones that sound a bit *too* joyous, akin perhaps to one of Shostakovich's "gun-to-the-head" Stalinist marches.[21] Wood-block rhythms here are redolent of Wagnerian anvil music, calling to mind Shaw's interpretation of the Ring as a parable of a decrepit late capitalist society in decline.

Fletcher learns that this morning Congress has levied a prohibitive tariff on imported Swiss cheese, and he exults over

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[21] Rostropovich's deliberately ponderous reading of the Fifth Symphony, for example, underscores the unhappy "forced march" character built into the work).

the prospect of huge profits from the increased sales of American cheese. Although it is not mentioned, one suspects the machinations of a "pro-cheese" NGO. The arrival of Mrs. Draper and her daughter Anne disturbs his reverie. As they erroneously believe she has inherited great wealth in the form of bonds, Mrs. Draper—a notable society woman who has founded a "City Air Movement for Country Children"—will soon become the lust object of both Fletcher and Colonel Holmes. Timothy and Anne sing the first of the work's love duets, "Seventeen and Twenty-one." The duet is a tongue-in-cheek send-up of two absurdly young lovers who fear that they will grow old, wither and die before they have the opportunity to consummate their love. While the love duets in the work provide momentary respite from the political implications, they too reflect the operations of this Orwellian society, as interpersonal relationships remain completely subordinate to the functioning of The Machine. This is reinforced strongly at the end of the work, when the hero's proposal of reconciliation and marriage is rudely interrupted by the arrival of a telegram that initiates a brand-new cycle of war-mongering and mindless patriotism.

The first hint of trouble emerges when Sloane announces that Switzerland has sent the President an angry note protesting the tariff. Fletcher shows himself as geographically, geopolitically, and historically ignorant; he does not know what Switzerland is, and after he learns that it is only a small European country, he confidently asserts that the "George Monroe" doctrine will take care of matters. While he believes erroneously that said George Monroe is the greatest living statesman, he is astute enough to recognize the true function and raison d'être of the Monroe Doctrine: namely, to regard all of North, Central, and South America as virtual fiefdoms of the United States, whose right to exploit the labor and resources thereof will be protected by any means necessary, however brutal. They summon the Presidential adviser, Colonel Holmes, for advice. Fletcher's daughter Joan then arrives complaining of a unfavorable portrait of her in a recent newspaper article; followed shortly by the author of the article, James (Jim) Townsend, who is seeking a comment on the political situation. Fletcher is dismayed to learn that Jim has no aspirations to move up in the world and would be quite happy returning to the simple life of the dairyman he once led. The corporate mogul deems such lack of ambition un-American, and attempts to set the boy—a potential suitor of his daughter—straight with the scintillating tale of his own "rags-to-riches" story.

"A Typical Self-made American" pillories the sacred American fable of "from rags to riches" via determination and hard work. Fletcher reveals that his childhood was a cold one; in his reality there is no time for play or *jouissance*. The only thing that matters is the accumulation of capital. He defines himself by acquisition; moreover, his acquisition is only made possible by the expropriated labor of others, hence the great ironical effect. Knowing from an early age that he was predestined for wealth and power, all he had to do was to apply the tenets of the Protestant work ethic to overcome all adversity. The fiction of the "even playing field" is assumed *a priori*. Ira Gershwin's lyric wit shines forth in the couplet "Like the hero in an Alger novel, he was born and brought up in a hovel." Fletcher further adumbrates the characteristics of a good American: he upholds the Constitution; he respects law and order; he hates the Russian Revolution; he's a go-getter with his feet on the ground and his shoulder to the wheel who loves his mother, eats wheat cakes, corn flakes, and bran for breakfast; he's a Mason, an Elk and a Woodman with a devastating sense of humor. Just an average American, who reveals in mm. 15–21 that he *inherited* his wealth and privilege. Again, the chorus echoes his lines and affirms his status.

On his way out of Fletcher's office, Jim encounters an angry Joan, and assuages her with the revelation that his sniping article—in which he had described her as an elitist snob—was merely a ruse to get her attention and provide an opportunity

for him to talk to her. Given that it is a lovely spring evening, he takes the opportunity to serenade her. The comely ballad "Meadow Serenade" is also a satirical tour de force. While the lyrics remained, the original music was lost, and his long-time companion Kay Swift reconstructed the melody from memory after Gershwin's death. For the 1990 production the composer Burton Swift—who had collaborated with Ira Gershwin—supplied new music for the verse, including the addition of coloratura birdcalls, alluded to by contemporaneous reviews of the show. The satire is unexpected here, and thus is all the more effective. Jim begins the song, rhapsodizing on pastoral delights, extolling the beauty of bird song, and allegorically expressing his own desire to find a mate, ending each line with a "Hey nonny nonny, piminy miminy mo." There is a song-like, onomatopoeic quality to the words of the lyric themselves: oriole, bobolink, crickets, whippoorwill, hummingbirds and katydids populate the fields of trees and clover that Ira Gershwin describes. The catch is that he is essentially reminiscing about the meadowlands of his childhood—a mythic, vanished reality. In the repeat of the verse, Joan, quite matter-of-factly describes the currently reality of the meadow; that is, its erasure and defacement by commodity capitalism:

> In that meadow there now lodges a garage for Buick and Dodges—
> Hey! Nonny, nonny—piminy, miminy mo!
> You had Prince and Rover—what dogs! Now you'll find them there as hot dogs—
> Hey! nonny nonny—piminy, miminy mo!
> "Get your Coca-Cola!" "Buy a new Victrola!"
> Through the scene the bill-boards are displayed.
> You can fill your car there, even find a bar there;
> Give me back the meadow serenade!

Delivered as it is in perfect deadpan, it is difficult to deduce whether or not Joan—as the privileged daughter of the industrialist—sees these developments as a problem or an "improvement" upon nature. Corporate capitalism, of course, views nature not as a sublime aesthetic reality, but merely as raw material to be dominated and exploited. At any rate, it is stunning to discover such a sophisticated environmental critique operating within a 1927 musical.

An ebullient march accompanies the entrance of Colonel Holmes, who serves as military adviser to the President; in fact, the gathered workers accord him status as a "confidential sage" who happens to be the "unofficial wizard of the age." He is further lauded as a great man by virtue of his membership in numerous elite and secret societies. In his solo recitative he reveals at once the bourgeois hatred of sex—"When I was born into this universe (by a process which I do not care to mention)"—and the secret to his great success, namely, that as government spokesman he finds it auspicious to tell the public nothing at all. His characters augur the current crop of military spokesmen who emerge before a press conference, read listlessly from a banal script, and evade questions: "I find it helpful, very helpful—Just to keep 'em wondering." While he will not speak to the press, he is not averse to commerce, telling the public that if they wish to learn anything about him they are free to buy his book, which he proceeds to hawk on the spot. Fletcher tears him away from the adoring crowd for a confidential conference. The ensuing dialogue reveals much about Fletcher's underlying motivation, and the back-room collusion of industry and government in war-making.

> **HOLMES**: And here's one for you—an autographed copy. Oh no, no, no. Don't pay me—you can send me a check.
> **FLETCHER**: Thank you, Colonel. Now then—what I want to say is this: As a patriotic American I feel the United States *must* send an answer to Switzerland, refusing to repeal the Cheese Tariff.
> **HOLMES**: Ohhh… delicate situation!
> **FLETCHER**: It's a matter of honor!
> **HOLMES:** Might mean war!

FLETCHER: No! No! Don't say *that*! Please!
HOLMES: Got to say it: *Might mean war*!!

Fletcher disingenuously declares his aversion to war. The two magnates then proceed to trivialize the incredible suffering of the First World War, as if either of them were any where near the trenches:

FLETCHER: Terrible!
HOLMES: Can't eat sugar!
FLETCHER: Don't I know? Will you *ever* forget the last war? The suffering was awful!
HOLMES: And saluting all the time… I was a rag!
FLETCHER: But we can't think only of ourselves: there's America!
HOLMES: Where?
FLETCHER: She's entitled to the best, and Fletcher's American Cheese *is* the best, made from Grade-A milk. You *know* what Swiss cheese is?
HOLMES: Can't eat it!
FLETCHER: There you are!
HOLMES: Don't know about war, though… awful lot of trouble!

Echoing the absurd Wilsonian rhetoric of the war era, Fletcher declares that "But, this'll be the last one! A War to end War! No kidding!" Then, lowering his voice to the greasy timbre of the snake-oil salesman, he appeals to Holmes's self interest: "It means another book… a book about the war!" Holmes immediately abandons his reservations, and speculates that he could turn the war into a trilogy of books. Looking forward to the enterprise, he surveys the options and ruminates:

HOLMES: Cost a lot of money, war does… Whatta ya think we oughta have, a little war or a big one?
FLETCHER: Oh, well, if it's only going to be a little one I'd rather let the whole thing drop…

Fletcher then announces that he will underwrite the entire expense of the war, *and* give the government 25% of the profits, on the condition that the war be named after him: *The Horace J. Fletcher Memorial War*. The increasing proclivity to corporate self-aggrandizement, which has reached endemic proportion in our own time, with everything from baseball stadiums to university buildings being named after corporate donors is here clearly presaged. The Colonel concurs, and the matter is settled on the spot. Washington then sends the Swiss an absurd ultimatum (with postage due!), demanding an apology for everything (that's ever happened) as well as the delivery of two of the Swiss Alps in a week's time. In a grotesque instance of life imitating art, this sort of ultimatum has become official U.S. policy, used to great effect in Iraq (twice), Kosovo, and Afghanistan: you deliver "the enemy" an ultimatum that is either impossible to achieve, or one that leaves him no opportunity to save face, and when he declines, you have your justification for war.

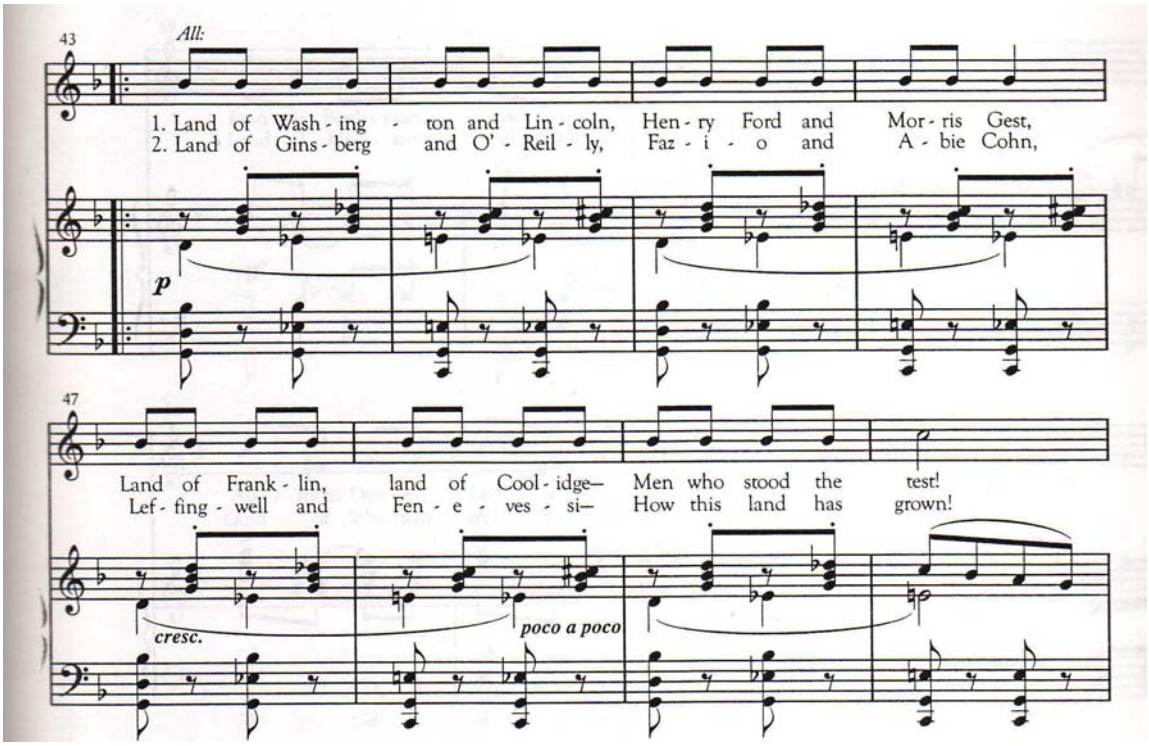
As the news of the decision spreads, a spontaneous patriotic rally ensues. Reprising the music of "Fletcher's American Cheese Choral Society," the "Fletcher's Get-Ready-For-War Choral Society" celebrates the revolting sort of instant patriotism, jingoism, and shallow fraternity that attends the outbreak of war (akin to that which accompanied both the 1991 Persian Gulf War, the "War on Terrorism", and the Iraq War):

"We're all here for a rally
So, patriots get pally—
Three cheers for the Union! *Siss* for the Swiss!
Oh isn't it exciting?
There'll be lots of fighting…"

The crowd device so prominent throughout the work appears powerfully here, as the chorus recites a litany of American

patriots in robotic unison:

Example No. 2. "Patriotic Rally", mm. 43–50



As the crowd disperses, Joan waxes excitedly to Jim—almost sexually—about how wonderful it is that "all over the country tonight people are waiting—millions of them—to hear that we've gone into it." It is as if she is speaking about the World Series or some other form of entertainment. She is shocked to learn that Jim has serious reservations about the war. He doubts whether it is prudent for him, as a peace-loving dairyman, to go to war "to make the world safe for Fletcher's Cheese." Jim is forced to admit that he doesn't even like cheese. He may be willing to fight for the sake of pie or even stewed rhubarbs, but never for cheese. Joan intimates strongly that she will withhold her affections—and by extension her sexual favors—to any man who isn't "proud to go." This is the set-up for the Gershwin standard "The Man I Love," a song purloined from the 1924 production of *Funny Face*.

The telephone repairman Spelvin leads the crowd in an ode to American cultural imperialism, "Yankee Doodle Rhythm." We learn, presciently, that America's "insidious rhythm" is "burning up the world today." Granted, some of the sarcasm may have been unintended here, but it acquires poignancy and relevance in light of how, during the past century, Western pop culture has invaded the entire world, displacing traditional cultures and rendering almost everything it encounters into a blasé and commodified repetition of itself: "Yankee Doodle Rhythm, they love it so—the Eskimo, the Greek, the Jap… everything else is passé." A sleazy encounter between Fletcher and Mrs. Draper, rife with drunken sexual innuendos, precedes a reprise of "17 & 21."

The newspaperman Jim, now in the role of muckraker, attempts to quell the war fever, and declares the war "a fake." Worse, he accuses Fletcher of using Grade-B milk in his products and foisting them off on an unsuspecting public, and

drumming up this war only to increase his profits: "He is a true profiteering American—He'll get us all into war if he works his plan." The patriotic crowd is in no mood to listen, while Fletcher and Sloane deflect the charge by calling Jim a Bolshevik and a spy, the penalty for which, of course, is death. The crowd takes on the aspect of a malevolent Greek chorus or a lynch mob: "He'll have to pay! He's in the way… We'll teach him soon the meaning of obedience! We're all crusading for a cause that's glorious, and who the hell is he to be censorious?" The industrial magnate Fletcher assumes martial authority and orders Jim's arrest. In a brand of rhetoric that should be chillingly familiar, Fletcher declares "*Things have changed now* [emphasis mine]. We're at war, and I'm placing him under arrest!" Apparently, the outbreak of war means that civil liberties are to be abrogated at will by the various plenipotentiaries of Homeland Security. In the new draconian reality decreed by the ruling elites, the mere fact that Jim owns a Swiss watch is enough to commend his incarceration and execution for espionage.

Fletcher, Mrs. Draper, Holmes, and Sloane oversee the organization of a Very Patriotic League, which is tasked with seeing that all citizens are, of course, very patriotic. They discuss the banning of books that refer to the enemy, such as *Swiss Family Robinson*, and *William Tell*. To a contemporary audience, all of this may seem quite ridiculous, but the satire becomes chilling when one considers the vigilante groups and patriotic societies formed in America during WWI that harassed, beat, tortured, and even killed people whom they deemed as not sufficiently patriotic. In the original stage production, the League is clothed in white robes quite clearly intended to reference the Ku Klux Klan, which during the war and the following decade, marched unmolested through the streets of American cities. The German language was dropped from the curriculum of many universities, performances of German music were boycotted, and sauerkraut was renamed as "Liberty Cabbage."

Various telegrams arrive, including from one from Iceland, who declares war on all sides and who "will find a reason later," and another from Switzerland, who wants the war to be held "Over There." They will of course accommodate the war by offering cheap lodgings and pleasant Alpine surroundings to potential war tourists. Fletcher agrees readily, speculating that he can accrue extra revenues by charging spectators admission to battles. Jim is condemned by the Very Patriotic League, and is reminded by Homes that "God is on their side." No one is willing to consider the evidence that Jim provides for his charges, because, now that the War machine has been set into motion, there is no stopping it, especially for matters so trivial as the truth. Timothy enlists the men and leads them off to war to the strains of the title tune, "Strike Up the Band," concluding the first act.

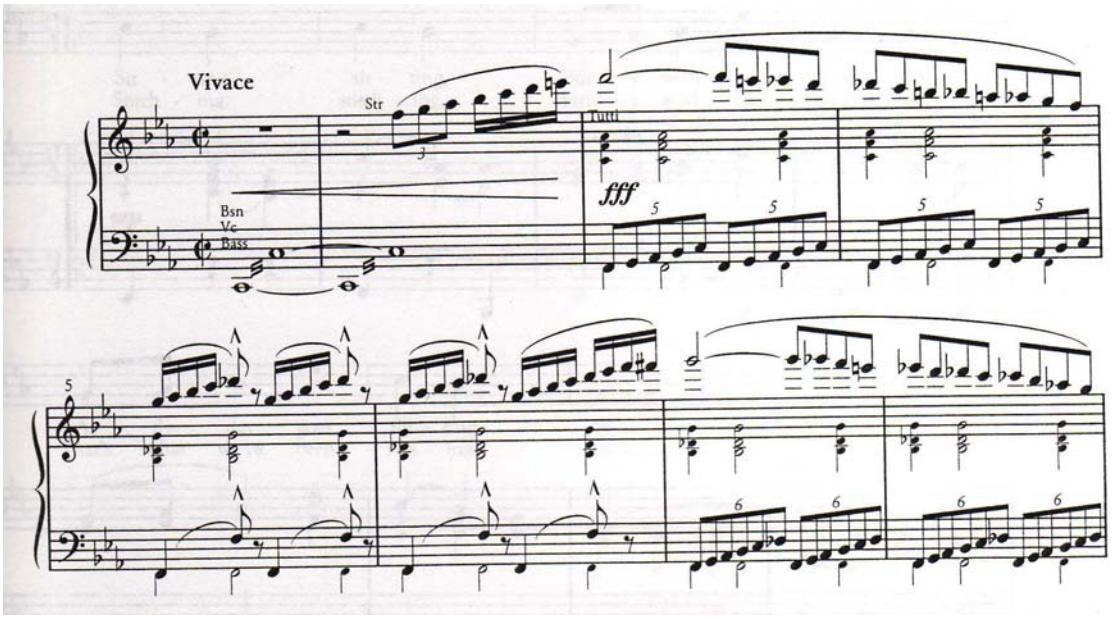
This number, which Gershwin reputedly wrestled with until coming up with the final version in his sleep, is a stunning indictment of war. Most people are familiar with the tune only outside the context of the 1927 production. In fact, many believe it to be a patriotic march, and employ it as such. There is no mistaking the sardonic thrust of the original lyric of the verse, set by Gershwin, oddly—for a military march—in a minor key:

> We fought in 1917, Rum ta ta rum, tum, tum!
> We drove the tyrant from the scene—Rum ta ta rum, tum, tum!
> We're in a bigger, better war for your patriotic pastime
> We don't know what we're fighting for—but we didn't know the last time
> So load the cannon! Draw the blade! Rum ta ta rum, tum, tum!
> Come on and join the Big Parade!

The parade of idiots, that is, the subjectless, alienated non-individuals who have surrendered the last shred of their autonomy to the impersonal military apparatus of the State. Follow the Leader, and "Strike Up the Band." We are not to ask questions; we are to respond non-reflectively. Strike up the war machine, and kill or arrest any one who gets in the way of the imperialist, nationalist agenda. Kaufman and Ira Gershwin have hit the nail on the head; being American, naturally this war is "bigger and better"; and for most, the patriotism is nothing but a pastime, a lusted-after diversion from the insufferable boredom of their sated, meaningless bourgeois lives. This sort of inauthentic patriotism does not spring from the heart; it emanates from fear and the mentality of the herd. The soldiers in this war don't know what they are fighting for, and they didn't know "the last time"—meaning World War One, which claimed the lives of some 14 million people. What's more, it doesn't seem to matter to them. One thinks of a more recent antiwar anthem from another war, one quite popular with the troops, Country Joe McDonald's *I Feel Like I'm Fixin' to Die Rag*: "And it's one two-three, what are we fightin' for? Don't ask me, I don't give a damn—the next stop is Vietnam." Vietnam or Afghanistan, the song remains the same, unless one buys the official rhetoric that "this is a different war."

Act II begins with a parody of grandiloquent Romantic battle music, which tended invariably toward onomatopoeia, with running scales, pounding kettle drums, and blaring brass. It is difficult to determine to what extent George Gershwin contributed to this music, as he did not arrange the work, but the present version was drawn from the original orchestral parts, no doubt created in consultation with the composer.

Example 3: Opening, Act II. "Oh, This is Such a Lovely War, " mm. 1–8.



The battle music yields to a pleasant waltz, as the curtain rises on American soldiers knitting sweaters for those "sad ones" back home, who are missing out on the delights of war. The unreality of "Oh, This is Such a Lovely War" underscores the fact that very few at home ever really know what horrors the front-line soldiers are suffering. It is pure sarcasm: "Comfy, cozy, Life is never prosy, Underneath such a rosy sky…", a lovely war that keeps the boys "out in the open air." The

dimmest historical understanding of the nature of trench warfare would be enough to enable one to comprehend the horrifying irony of these sentiments. The only "fly in the ointment," as it were, is that by virtue of their idyllic isolation the boys have no access to women. Thankfully, a bevy of Swiss beauties offer to remedy that lacuna, offering their fabled "Swiss hospitality"—for a price: "And if you're longing to kiss cuties, we can arrange it for you." Commodity capitalism extends, of course, to sexual procurement, traditionally a lucrative enterprise during wartime. The First World War was no exception in this regard. Scotch historian Niall Ferguson cites the astronomical rates of venereal disease among the Allied troops, as well as the memoirs of soldiers, as evidence of the widespread brutalization of women during the war.[22]

Trouble arises on the occasion of a visit by the war's Board of Directors, including Chairman Fletcher. They admire the surroundings, and are excited at the prospects of selling seats for the fighting:

MRS. DRAPER: What a lovely place for a war.
ANNE: What time's the next battle?
FLETCHER: I've promised the women that they can see a little action, if you can fix it up.
TIMOTHY: I'll try, sir.
HOLMES: Machine guns, if you can make it. Pretty fighting, machine guns.

This scene calls to mind the macabre scenarios during the American Civil War in which wealthy aristocratic Southerners would set up picnic tables and view the battles from a distance, as if war were just another manner of idle pastime for the rich. Naturally, the perspective from the killing floor was of a different order, and it is difficult to find compassion for the voyeuristic picnickers, upon whom the reality of war intruded rather rudely on several notable occasions. Timothy is forced to relate to the visitors that there hasn't been much progress with the war, on account of the fact that they are unable to find and engage the enemy. Also, the weather has been poor, and the boys don't want to go out in the rain and snow. The financial future of the war is at stake, what with all the lost revenues from war tourists: no battle, no income. Even Fletcher's vast resources have been stretched thin by this massive enterprise. To his chagrin, Holmes refuses him a loan (notwithstanding the war itself as security) and reveals further that the President himself is unaware of the war.

The bitter duet "Hoping That Someday You'd Care" between Joan and Jim—who, instead of being executed, has been drafted and is confined to interminable kitchen duty—relates their inability to understand the other's position and achieve a reconciliation. This momentary sojourn into the interpersonal realm is interrupted by the return of the chameleonic Fletcher's Choral Society, now dubbed the "Fletcher's Come-Look-At-The-War Choral Society": "We're here to see the fighting—That's what we adore! Oh, isn't it exciting visiting Fletcher's war!" Unfortunately, Fletcher's War does not deliver the goods. "Military Dancing Drill," sung by Timothy, is a response to Anne's query regarding military life, to which he replies, "What do you think we do here all the time, *fight*?" Meanwhile, having learned that Mrs. Draper is in possession of five million dollars in cheese bonds, Fletcher and Holmes compete for the widow's affections in "How About a Man?"

Jim devises a plan for yodeling the Swiss troops out into the open, where they can be captured. He relates his plan to Spelvin, now a general, who in turn reveals to him that Sloane has been stealing the buttons off of the soldier's winter coats. Spelvin puts Jim's plan into action, while Jim confronts Sloane. Once again, Jim is branded as a lunatic and traitor, and is about to be hauled off to the brig for court martial, when the sounds of battle—over which the women become *very* excited, as the big guns go off—interrupt the proceedings. General Spelvin returns with the entire Swiss Army in tow, and reveals

[22] Niall Ferguson, *The Pity Of War: Explaining World War I* (New York: Basic Books, 1999), 353.

that it was Jim who devised the plan. Jim is carried off on the shoulders of the soldiers to a reprise of "Strike Up the Band."

The closest that this work comes to revealing something directly—that is, without satire—about the existential situation of the soldier is the poignant "Homeward Bound/The Girl I Love." Sung by an anonymous soldier, the song, full of pathos and longing, relates his loneliness and his fond hopes that his girl will be waiting for him when he returns home. Whether or not his girl is waiting for him when he returns we are not privy to know; however, we do learn later from Kaufman's libretto that the soldier's stateside jobs no longer exist; they have been replaced by automation. Anticipating the return of their boyfriends, a chorus of girls revels in the "patriotic jag" and sings "The War That Ended War". The robotic chorus intones a naïve faith in the benevolence of corporate capitalism:

> Civilization is improving.
> This war ends all war.
> Higher and higher we are moving.
> This war ends all war.
> Fighting is through for Fletcher has said it!
> Fletcher deserves the credit!

Fletcher himself, as the proud owner of the war, awards Jim, now promoted to Major James "Tecumseh" Townsend, all manner of worthless decorations, including the Order of the Double Cross and a statuette made of American cheese. In his acceptance speech, Jim exposes Sloane as a double agent; he is really the notorious Hermann Edelweiss, the head of Switzerland's secret police, who, as it turns out, has been adulterating Fletcher's cheese products for years, and who stole the soldier's buttons in the hopes that they would catch pneumonia. Once more muckraker Jim has stunned the crowd. He promises to divulge the whole sordid affair unless an International League of Cheeses is formed in which all cheeses will be held as equals. He also decrees that there are to be no more wars, and no more books from Holmes. Jim also claims Fletcher's daughter Joan as his bride. Before she can accept, however, Spelvin rushes in with an urgent telegram for Holmes. It seems as though there is trouble brewing in Washington; now it is the Russians, who want the oppressive tariff on caviar repealed. Having just purchased one hundred thousand shares of stock in the American caviar industry, Fletcher is in no mood to accept this turn of events: "Men! Are we going to stand by and let a country like Russia tell us what we're gonna do?" He riles up the crowd and fires up the war machine for another go-round. The moral of the story: nothing has been learned.

III

Dripping with sarcasm, *Strike Up the Band* employs caricature, irony, and mockery to great comic and polemic effect. Both characters and situations are patently ridiculous; the protagonists are contemptible charlatans with whom no one would wish to identify. Even the naïve, idealistic hero is rather dubious. And yet, the characters and situations are not *so* distorted that one cannot recognize their origin in contemporary society. The project of satire is to name evil, to drag it out into the public space of the town square, to gather the community, and to neutralize it by ridicule and shame. When something feared is turned into an object of derisive scorn, it loses some—if not all—of its power to terrify. Jeffery Mason explains that

> Satire builds from a point of moral origin, a system of values or ethics that shapes the writer's vision of an ideal and guides his work. The subject of satire is folly—evil in the form of vice or human weakness, a target significant enough to inspire attention and regret, but not painful enough to preclude laughter […] As folly stands revealed, the leveling effect of laughter purges evil of fear and renders it impotent, the object of derision […] The satirist enjoys his sense of rectitude and moral indignation, and he does not

apologize for his virulence. [23]

It should be obvious from the foregoing discussion that *Strike Up the Band* succeeds admirably as satire. The larger question then becomes: does satire succeed as politically engaged art? And, does politically engaged art succeed *as* art? For the aestheticians of the Frankfurt school, writing in the 1930s and 40s—as for many artists and intellectuals of the earlier and later twentieth century—the issue of politically committed art was a crucial and contentious one. All concerned deplored the "administered world," the soulless, ruthless machine of technocratic capitalism, and most felt that art could be an agent of critique, resistance, and change; the crux of the matter was whether art's message (if it had one at all) should be overt or covert.

The school of "traditional" Marxist aesthetics associated with Lenin (via Zhadnov) and Soviet social realism "found merit only in those works displaying unabashed political partisanship."[24] Presumably, art's mimetic representation of the wretched reality of administered life would catalyze revolutionary resistance and change, or in post-revolutionary society would celebrate the merits of the socialist state. In other words, the aesthetic position of social realism is a *reflectionist* one, whose intent is to reproduce or reflect social reality. The historical aspect of reflectionism is implicit, standing in direct contrast to aesthetic formalism, wherein the artwork, although historically determinate, and in which history is "sedimented," is an autonomous aesthetic object that exists independently of its origins. Although Marx and Engels despised art that mystified social relations and concealed the relations of the forces of production, Marx "by no means crudely equated the aesthetically fine with the politically correct."[25] While art with political tendencies was desirable, the artist should avoid blatant partisanship; instead, "the political tendency must emerge unobtrusively from the dramatized situations; only in this indirect way could revolutionary fiction work effectively on the bourgeois consciousness of its readers."[26] Engels wrote that socialist art succeeds when,

> if by conscientiously describing the real mutual relations, breaking down conventional illusions about them, it shatters the optimism of the bourgeois, instills doubt as to the eternal character of the bourgeois world, although the author does not offer any definite solution or does not even line up openly on any particular side.[27]

The didactic plays of Berthold Brecht operate in a similar manner, seeking to alienate or estrange the viewer from the status quo by depicting the horrific actuality of life. Art should not attempt any false reconciliation nor smooth over the contradictions of bourgeois society; rather, it should expose these contradictions in the hopes that people will seek to remedy them. The difference is that Brecht attempts to *instruct*, and thereby to direct the response of the viewer. Of Brecht's epic theater Walter Benjamin writes "[The political tendency of artworks] is not enough… The best political tendency is wrong if it does not demonstrate the attitude with which it is to be followed."[28] In other words, unless political art inspires *action*, and becomes praxis, it is useless.

Theodor Adorno articulates a different position; namely, that political art, essentially, was neither. He declares:

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[23] Jeffery Mason, *Wisecracks: The Farces of George S. Kaufman* (Ann Arbor and London: UMI Research Press, 1988), 79.

[24] Martin Jay, *The Dialectical Imagination: A History of the Frankfurt School and the Institute of Social Research, 1923–1950* (Berkeley and Los Angeles: University of California Press, 1973), 173.

[25] Terry Eagleton, *Marxism and Literary Criticism* (Berkeley and Los Angeles: University of California Press, 1976), 45.

[26] Eagleton, 46.

[27] Frederick Engels, quoted in Eagleton , 46.

[28] Walter Benjamin, "The Author as Producer," *The Essential Frankfurt School Reader* (New York: Continuum, 1982), 267.

> The raw—the subjective nucleus of evil—is a priori negated by art, from which the ideal of being fully formed is indispensable: This, and not the pronouncement of moral theses or the striving after moral effects, is art's participation in the moral and makes it part of a more humanly worthy society […] the political positions deliberately adopted by artworks are epiphenomena and usually impinge upon the elaboration of works and thus, ultimately on their social truth content. Political opinions count for little. [29]

Instead of making overt political statements, art should resist domination and repression solely by means of its immanent structure. Any attempt by the artist to make the work of art comprehensible or palatable was to capitulate to the culture industry and the administered world. The power of the culture industry is in fact so pervasive that it is able co-opt, commodify, and neutralize even the most tendentious of political art. In Adorno's view, the art work should be *so* extreme, by means of its radical material and technique, that it resists *all* attempts at accommodation: "It is not the office of art to spotlight alternatives, but to resist by its form alone the course of the world, which permanently puts a pistol to men's heads."[30] It is, according to Adorno, exactly by "Abstaining from praxis [that] art becomes the schema of social praxis: Every authentic artwork is internally revolutionary," that is, by virtue of its immanent mastery of form.[31] Further:

> The element of objective praxis inherent in art is transformed into subjective intention when, as a result of society's objective tendency and of the critical reflection of art, art's antithesis to society becomes irreconcilable. The accepted term for this subjective intention is commitment […] Commitment aims at the transformation of the preconditions of situations, not at merely making recommendations; to this extent it inclines toward the aesthetic category of essence […] In all art that is still possible, social critique must be raised to the level of form, to the point that it wipes out all manifestly social content.[32]

The autonomous, avant-garde artwork should distance itself deliberately from attempts to reflect reality; as a hermetic cipher it should remain strange and inaccessible. Terry Eagleton explains:

> To fend off [its] reduction to commodity status, the modernist work brackets off the referent or real historical world, thickens its textures and deranges its forms to forestall instant consumability, and draws its own language protectively around it to become a mysteriously autotelic object, free of all contaminating truck with the real. Brooding self-reflexively on its own being, it distances itself through irony from the shame of being no more than a brute, self-identical thing.[33]

Paradoxically, in Adorno's view, art that seeks to resist must do so by avoiding any attempt at overt communication:

> The acute reason today for the social inefficacy of artworks—those that do not surrender to crude propaganda —is that in order to resist the all-powerful system of communication they must rid themselves of any communicative means that would perhaps make them accessible to the public. Artworks exercise a practical effect, if they do so at all, not by haranguing but by the scarcely apprehensible transformation of consciousness; in any case, agitative effects dissipate rapidly… [34]

All art with a "message" is suspect, because it is eminently susceptible to assimilation by the culture industry and the administered world that it serves. Adorno writes "The notion of a 'message' in art, even when politically radical, already contains an accommodation to the world: the stance of the lecturer conceals a clandestine entente with the listeners, who could only be rescued from deception by refusing it."[35] Adorno believes that the autonomous art work escapes this fate by refusing to communicate overtly; however, as Eagleton has pointed out, the modernist art work becomes fetishized in the very act of escaping its commodification, and falls ineluctably into a trap of its own making: "The autonomous, self-

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[29] Theodor W. Adorno, *Aesthetic Theory,* translated and edited by Robert Hullor-Kentor (Minneapolis: University of Minnesota Press, 1997), 232.

[30] Theodor Adorno, "Commitment." Translated by Francis McDonagh. In *The Essential Frankfurt School Reader* (New York: Continuum, 1982), 304.

[31] Adorno, *Aesthetic Theory*, 228.

[32] Adorno, *Aesthetic Theory*, 246–250.

[33] Terry Eagleton, "Capitalism, Modernism and Postmodernism," *New Left Review* 152 (1985), 60–73.

[34] Adorno, *Aesthetic Theory*, 243.

[35] Adorno, "Commitment," 317.

regarding, impenetrable modernist artifact, in all its isolated splendour, is the commodity as fetish resisting the commodity as exchange, its solution to reification part of that very problem."[36]

Adorno is wary of works that talk *at* the audience, and he is highly critical of Brecht's didactism, which, he claims, effaces its own power to transform by becoming akin to that which it seeks to change:

> Brecht's work […] which wanted to provoke social change, was probably socially powerless […] Its effect is captured by the English expression of *preaching to the saved*. His theater of alienation intended to motivate the viewer to think […] His didactic style, however, is intolerant of the ambiguity in which thought originates: It is authoritarian […] Brecht taught nothing that could not have been understood apart from his didactic plays, indeed, that could not have been understood more concisely through theory, or that was not already well known to his audience: That the rich are better off than the poor; that the way of the world is unjust; that repression persists within formal equality; that objective evil transforms private goodness into its opposite; that—admittedly a dubious wisdom—goodness requires the mask of evil. But the sententious vehemence with which he translates these hardly dew-fresh insights into scenic gestures lends his works their tone; the didacticism led him to his dramaturgical innovations, which overthrew the moribund theater of philosophy and intrigue […] Brecht's commitment does for the work what it gravitates to on its own: It undermines it. [37]

Herbert Marcuse seems to agree, claiming that: "The political potential of art lies only in its own aesthetic dimension […] The more immediately political the work of art, the more it reduces the power of estrangement and the radical, transcendent goals of change. In this sense there may be more subversive potential in the poetry of Baudelaire and Rimbaud than in the didactic plays of Brecht."[38]

Where, then, does the Gershwins and Kaufmann's *Strike Up the Band* fit within these contentious perspectives? Within its own genre it is atypical, an orphaned anomaly. There is no doubt that *Strike Up the Band* partakes of the culture industry from whence it originates. There is in fact precious little contemporary art that escapes the voracious jaws of the culture industry, which by its nature has the terrifying power commodifies and consume everything it touches—much less an artwork belonging to a genre that makes no pretense about its function as entertainment. This is true even of such works that critique the dominant society. Benjamin warns that "the bourgeois apparatus of production and publication can assimilate astonishing qualities of revolutionary themes, indeed, can propagate them without calling its own existence, and the existence of the class which owns it, seriously into question." And while the work expresses a basically Marxist/Leninist perspective on the forces and relations of production, there is little doubt that the work's authors would have been ecstatic had it achieved great commercial success. Although it appears that Kaufman and the Gershwins shared progressive liberal political tendencies, none of the trio was a committed activist. The question that underlies this work, as it does all political works, is whether or not political engagement in art is best expressed in praxis, or, as Adorno suggests, in its mastery of immanent form. Here, too, the work is anomalous; its effect does not reside in either position, although it partakes of both.

Strike Up the Band is not a modernist work as described by Adorno. Despite the many innovations, especially that of its textual coherence and structural integrity, the show does employ many of the conventions of musical theater: dance routines, patter songs, choruses, and showgirls. The music is tuneful and accessible. The songs utilize the very musical form that Adorno despised the most: the AABA refrain form of popular song, which he felt—and not without reason—was trite, formulaic, and completed appropriated by the culture industry. He mistrusted jazz because of what he perceived as a

[36] Eagleton, 1985.
[37] Adorno, *Aesthetic Theory*, 242–247.
[38] Herbert Marcuse, *The Aesthetic Dimension* (Boston: Beacon Press, 1978), xiii.

barely-disguised reliance upon and kinship with the military march, with all of its fascistic implications. In the show, however, the march exists as the supreme object of ridicule. Under the spell of Gershwin's infectious rhythms, one gladly marches along *until* one (hopefully) realizes the nature of the problematic that the tune is designed to reveal. At that point a certain nausea sets in: these fools are marching off to *war*; they are going to kill, die, inflict and endure suffering of a degree difficult for those who have not experienced it to understand. Neither does *Strike Up the Band* harangue the audience, or hit one over the head with partisan propaganda. It does not even articulate a particular solution, other than to attempt to make war appear as absurd—and horrifying in that absurdity—as it really is. It thereby fulfills Engel's criteria of "conscientiously describing the real mutual relations, breaking down conventional illusions about them," shattering bourgeois optimism, and causing them to question the nature of bourgeois society, while refraining from offering definitive solutions or taking sides. Having presented a reflection of social reality, the rest is left up to the individual.

The social reality that *Strike Up the Band* presents is deliberately preposterous. Yet does fighting for a monopoly on cheese differ essentially in principle from fighting to control the oil reserves of the world, or fighting to eliminate a tactic (terrorism)? The acerbity of the message is amplified by the absurdity. Herbert Marcuse writes

> As fictitious world, as illusion (Schein), [the art work] contains more truth than does everyday reality. For the latter is mystified in its institutions and relationships, which make necessity into choice, and alienation into self-realization. Only in the 'illusory world' do things appear as what they are and what they can be. By virtue of this truth (which art alone can express in sensuous representation) the world is inverted—it is the given reality, the ordinary world which now appears as untrue, as false, as deceptive reality.[39]

Thus, the absurdity of Fletcher's Cheese War reflects the larger reality within which it resides. It is by no means, however, a passive reflection that seeks to reproduce the reality mimetically. The reflection is a distorted one, like those encountered in a fun-house hall of mirrors, which transform the real into the grotesque; or rather, reveals the reality as the *grotesquerie* it actually is. If the absurdity inspires laughter, all the better. Its task is alienation. Of epic theater, and by extension, political art, Benjamin asserts that "it is less concerned with filling the public with feelings, even seditious ones, than with alienating it in an enduring manner, through thinking, from the conditions in which it lives. It may be noted by the way that there is no better start for thinking than laughter."[40]

At the same time, there is peril involved in using humor to attack the apparatus of the fascist/capitalist state: namely, that levity deflects the critique by mitigating and accommodating itself to the horror it wishes to vanquish. There is also the possibility that if the humor is *too* successful as humor, it may work inadvertently to trivialize the very evil it seeks to defuse. As Adorno reminds us,

> …the buffoonery of fascism, evoked by Chaplin as well, was at the same time its ultimate horror. If this is suppressed, and a few sorry exploiters of green grocers are mocked, where key positions of economic power are at issue, the attack misfires. *The Great Dictator* loses all satirical force, and becomes obscene, when a Jewish girl can bash a line of storm troopers on the head with a pan without being torn to pieces. For the sake of political commitment, political reality is trivialized: which then reduces the political effect. [41]

Does *Strike Up the Band* make light of the horrors of war? Does the image of soldiers knitting while awaiting their dancing lessons dishonor the memory of so many young men who endured the unspeakable horrors of trench warfare, only

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[39] Marcuse, 54.

[40] Benjamin, "The Author as Producer", 267.

to be ultimately slaughtered in vain? Whose horrible, lonely deaths served merely to enrich the coffers of profiteers and advance the careers of the aristocratic officer class? In order for the satire to be effective, it is necessary that one at least be nominally familiar with those grim historical realities. Only if one were to take Kaufman's mockery *literally*, or to mistake it as situation comedy (like the television show *M*A*S*H*, a situation comedy whose slapstick levity is rarely interrupted by the horrendous reality of grievously wounded and dying soldiers thrashing about) would his satire trivialize the suffering of war. One could reasonably conjecture that in 1927, many Americans would still be cognizant of the horrors of the war; surely, the veterans would be. However, with the prosperous optimism of the times belying the reality—many actually believed that WWI had "ended all wars," as Wilson proclaimed—for many the satire might prove elusive, especially for the majority of Americans for whom the war had been some sort of patriotic abstraction, something "over there," dimly understood, outside an immediate frame of reference. Certainly today one could not presuppose that an audience would be sufficiently historically aware to be able to grasp the subtle references upon which the satire is dependent. And in America, at least, there is a disturbing tendency toward the "short memory." Unpleasant events are best forgotten, especially if processing them in a meaningful way requires introspection and intellectual effort. The tendency toward ahistoricity, of course, benefits those who engineer the unpleasant events and profit from them. One laughs at *Strike Up the Band* because it is funny, but it is not idle laughter. Rather, it is the sort of laughter wherein the teeth are clenched, and the bile of rage is barely choked back. Satirical laughter is not benign, good-hearted laughter; it is *scorn* whose object is contemptible. While it is derisive, it is not the malicious laughter at the misfortunes of others—*Schadenfreude*—that the culture industry encourages with its situation comedies and animated cartoons. Although one laughs, the injuries are not forgotten; nor are they forgiven. It is cathartic laughter that seeks to disempower the object of its ridicule.

The authors of *Strike Up the Band* were not proletariat—they belonged to a privileged class of commercial artists charged with providing tasteful light entertainment for those who could afford the price of admission to the theater, or perhaps to those with access to a radio. Nor did they have any direct experience of war. Kaufman was deemed unfit for military service during the war; likewise, neither Gershwin volunteered, nor was either drafted. Obviously, Kaufman and the Gershwins were not aiming at an inflammatory work that would send the audience screaming out into the street, ready to smash the State. Perhaps they did hope to provide food for thought, if I may be permitted so mundane a cliché. The revolution transpires first within the mind—and Adorno, who scorned all overtly political art, would have been the first to recognize this. During the 1960s this dictum became "free the mind; the ass will follow." While vulgar, there is much truth to this maxim. Did the authors believe that their work would abolish war? Not likely—but, they may have hoped that audiences would reflect critically upon the realities satirized. As Marcuse writes, "Art cannot change the world, but it can contribute to changing the consciousness and drives of the men and women who could change the world."[42] In other words, *the masses*—exactly whom Kaufman and the Gershwins were attempting to reach, via the popularly accessible medium of the musical theater. Obviously, the wealthy industrialists and politicians who profit from war would have little interest in disrupting the status quo.

The pitfall for the authors lay in the fact that both the content and style of the work departed so significantly from the

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[41] Adorno, "Commitment", 304.

conventions of American musical theater that the audience was ill-disposed to receive the message. They came to revel in song and spectacle; they did not come to be hectored on the evils of capitalism and war, no matter how clever the vehicle was. The audience was taken aback; expecting a pleasant, harmless diversion, they were subjected instead to a harsh critique, albeit one manifested in hilarity. Musical theater of the 1920s was, generally speaking, a venue of passive escapism, allowing a few hours of counterfeit enjoyment, before returning the theatergoer as subjectless subject to a meaningless, disempowered life of slavery in the administered world. Smug in the false prosperity of the Coolidge administration and the hedonism of the Jazz Age, the public was not interested in such fare; besides, as Gershwin archivist Tommy Krasker points out, they had been told by their leaders that "there would be no more war."[43] Moreover, the audience was in denial of historical reality; *of course* it is terrifying to contemplate the utter disregard with which the ruling elites cast away millions of lives. It is much easier to conform, to believe that the machinery of State has your best interests at heart. Adorno reminds us, "It suffices to remember how many sorrows he is spared who no longer thinks too many thoughts, how much more 'in accordance with reality' a person behaves when he affirms that the real is right, how much more capacity to use the machinery falls to the person who integrates himself with it uncomplainingly…"[44] While ostensibly the purpose of the production was amusement—a regressive function—there is an obvious didactic element to the 1927 *Strike Up the Band*. The work achieves its estrangement—its *Verfremdungseffekt*—by refusing a false reconciliation. There is no happy ending; the cycle merely continues. Of all the tunes in the work, only "The Man I Love"—itself a wayward refugee from an earlier show—has achieved a life of its own, excepting the various bastardized and emasculated versions of the title song. The songs do not allow one to forget the matter at hand. While audiences may have left a performance of *Strike Up the Band* whistling one of Gershwin's infectious melodies, it would not be easy for them to forget or dismiss the critical context in which the tunes are situated. One cannot well sing "we don't know what we're fighting for, and we didn't know the last time" without reflecting upon it. Especially when "the last time" was a grisly reality—and a living memory—for a generation of young American men, 50,000 of whom lay cold and silent in their battlefield graves abroad.

Ironically, perhaps the production succeeded by failing. Did its disappearance from the stage actually aid in its preservation as an authentic work free from the sort of adulteration and diluting that probably would have occurred in an attempt to placate a fickle public? Perhaps, as more than one critic has suggested, "the time was not right." Certainly, it became an artifact, indeed, a mute artifact until Tommy Krasker's restoration. Is the time right now? One may argue that *Strike Up the Band* is pure 1920s kitsch, without contemporary relevance. Then again, one hard look at the current geopolitical situation should suffice to convince one otherwise. The origin of war still lies within the province of the military-industrial complex. Americans can still be whipped into a patriotic froth by a mass media that answers only to the interests of the ruling elites and commodity capitalism. Politicians still spew ridiculous, inflammatory rhetoric that a gullible, ahistorical public laps up uncritically. During war, it seems, there is little use for logic or reason, which is suspended indefinitely in deference to rabid nationalism and vaguely-defined war aims. While in theory modern war is packaged as "spreading freedom" and defeating "evildoers," in practice it always turn out to be the brutal appropriation and control of labor and

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[42] Marcuse, 32.
[43] Tommy Krasker, quoted in "Strike Up the Band Lights Up the Stage" by Ken Dickman. *Theater Week* 2/4 (1988), 34.
[44] Adorno, "Fetish Character in Music and Regression of Listening." *The Essential Frankfurt School Reader* (New York: Continuum, 1982).

resources, the suppression of dissent, and the enlargement of colonial empire, all achieved at the expense of the troops sent as sacrifices and the unfortunate victims of their aggression. Was the show merely a gross miscalculation upon the part of its producers, who were looking for a clever new angle to exploit? Or, is *Strike Up the Band* better construed as a Trojan horse, sneaking in its powerful critique via a "degenerate" product of the culture industry?

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ABSTRACT

"'Daring Women of the West': A Comparison of Women in Wild West Shows and the Real Frontier Women "

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The Progressive Era (1875 - 1910) in U. S. history was a time of reform, not only of society's ills such as prostitution, prohibition, and immorality, but it was also a time of new views and ideas, especially for the roles of the sexes. The Victorian standards, based on sentimentalism, as well as a religious morality prescribing "separate spheres" for the sexes, placed the "women's sphere" in a subservient position to men's: a position of different and unequal places in society, a common view in the American culture. Up until this point in history, the natural role and source of praise for all women was viewed as wives and mothers. Now the "new woman" of the Progressive movement was to be in the workplace, gain the right to vote, and fight actively for Progressive reforms, instead of merely being a passive decoration in a man's house.

It was during the latter years of the 19th century that Buffalo Bill Cody's Wild West show created "trembling excitement and fears" for audiences across the United States and Europe. He brought firsthand knowledge of the frontier life to audiences who had almost no understanding of the American West (Alter, 1997), but his own understanding was primarily of the male role on the frontier. His Wild West shows featured riding and shooting marvels (Buffalo Bill Cody was an expert marksman himself), Indians, and Plains animals. Cody, in fact, claimed that those in the Wild West show were not actors or performers "They simply appear just as they are; nothing more, nothing less" (Reddin, 1999). His show was more of a rough and rugged adventure that "captured the skill, courage, and individual excellence of the frontiersmen" (ibid).

The Buffalo Bill Wild West shows thus reflected the male accomplishments filling the need to romanticize this era -- the American dreams of the wilderness becoming civilized.
These programs were brought across America, appealing to the country's patriotism reassuring Americans of their unique nation, their glorious heritage, and wonderment of its people. His shows became demonstrations of "how we won the war," whether at home or abroad, and later representatives from colonial and quasi-colonial areas such as Hawaii, the Philippines, Mexico, Costa Rica and others "provided excellent publicity for a show promoting nationalism" (Reddin, 1999). The predominant thrust of the show was to portray male bravery in typical male roles, with women represented largely at the periphery, if at all, in a manner mainly consonant with the patriarchy.
Buffalo Bill himself was a product of these progressive times but was uncertain and ambivalent about the position of women in society. "Sometimes he praised the 'new women,'" while other times he has "praise for the 'cult of motherhood' and characteristic of the Victorian era" (Reddin, 1999).

Exceptional women, like Annie Oakley, were a well-known component to Cody's shows. It is however interesting that"while Annie Oakley enhanced Buffalo Bill's enterprise, her presence in the show did not result from a determination by the show's management to recognize the role of frontier women" (Reddin, 1999), and she was billed with surprising restraint on Cody's part (Russell, 1970). "Including a woman in the show, then, resulted from an unplanned hiring rather that a predisposition of Cody, or anyone else in the managerial ranks, to include white women in the show (Reddin, 1999). Perhaps because of Oakley's success, other women joined the show; however, even during the years of the early 20th century when more women performed in the show, "their presence in the troupe rarely exceeded ten percent" (Reddin, 1999).

While Cody's role in the Wild West show certainly measures up to the 19th century's idea of a hero, he provided an opportunity for "all" of the headliner women as well as other female performers to demonstrate their extraordinary feats such as shooting, bareback riding, bronco-riding, rough riding and performing as prairie or Western "girls". While these accomplishments were considered amazing and wonderful while conquering the wild west for either gender, it is far from clear that they had anything to do with what the frontier women were really doing. "Thus the Wild West show, contrary to its own claims of accuracy and authenticity, was highly selective in its representation of the West, as widely influential in shaping the public image of life on the Great Plains" (U. of IL Press, 1999). One is left to ask, if these frontier women were completing other amazing tasks in the wild west, why were these not considered noteworthy or romantic enough for Cody's performances?

Hawaii International Conference on Arts and Humanities --2005
Proceedings Submission
Dr. Sharon L. Reeves

1. "Naturalism Across the Pyrenees: Zola's Influence in Late Nineteenth-Century Spain: The Radical Ideology and Naturalistic Fiction of Eduardo López Bago"

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6. Abstract

This paper examines the Zolaesque character of "Radical Naturalism," Eduardo López Bago's (1853-1931) ideological and literary countercurrent that paralleled the development of traditional Spanish Naturalism. As Emile Zola's most avowed advocate in Spain, this prolific, popular, and highly controversial late nineteenth-century secondary writer distinguished himself for being, perhaps, the first, if not the most fervent, Spaniard to purposely endeavor to denounce the eclectic interpretation of Naturalism adopted by many of his contemporaries in favor of the complete acceptance of the very polemic doctrine of foreign origin.

The publication of López Bago's first naturalist novels in the mid-1880s brought him commercial success, severe criticism and censure. His depictions of the sordid and repugnant, and his provocatively erotic novels satisfied the literary tastes of certain sectors of the reading population, but offended the Establishment's sense of decency and good taste in literature. In the seventeen novels he published between 1884 and 1895, López Bago set out to expose and denounce the worst human vices: lust, greed, materialism, alcoholism, and abnormal sexuality. He found these and other abuses to be pervasive in: the aristocracy, the bourgeoisie, the Catholic Church, prostitution, and the penal system. Like Zola, López Bago was a social crusader, a sympathetic yet aggressive voice for the undefended and forgotten lower classes, and for the ostracized members of society.

López Bago's "Radical Naturalism" includes thirteen major tenets promulgated by Zola. My monograph examines the most salient aspects of the following five selected tenets: 1, Naturalism's moral and reformative mission; 2. hereditary and environmental determinism; 3. the scientific approach to observation and documentation of data drawn from a variety of milieux and human types; 4. bold treatment of human sexual behavior; and 5. challenging the established social order: attacks against the Spanish aristocracy.

FRANK GEHRY – THE MANY ARTISTS IN ONE ARCHITECT

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Abstract

Frank Gehry is probably one of the most famous and controversial architects of the end of 20th century. Bilbao Guggenheim Museum is already a symbol. Walt Disney Concert Hall is now completed and become a new famous building. These two buildings have similar expression but they are actually the latest production of such a collection of a collection of works and architecture that started over forty years ago. How were Gehry's buildings before the computer time? Even with computer, these buildings are so difficult to design. How can he works with such complex structures and shapes and provide such a feeling of freedom?

Gehry's building can be divided in four families: "Cheapscape buildings", "movement buildings", "perspectival space buildings" and "juxtaposed pavilions buildings". The two latest are not so famous but they are the earliest ways in which Gehry worked. These can help to see such a rich production, and such a large expression.
Since the shapes are special, the methodology of design should also be special. Gehry has both to control his own work and the construction. He manages to make the program efficient inside the building by making so many models of different types, such as programmatic models or real scale models in function of the step of the design. He also uses a high technology to get 3D scan of his hand made models to digital models. Therefore he almost never uses 2D drawings since the file of the models helps to program the construction of the real materials. The process of using computer from the early conception to the construction can make us think about the way architects use such powerful computer just for drawing plans and sections.
Gehry often introduces himself as the architect through the artists' world. His works in collaboration with such artists as Claes Oldenburg, or Richard Serra are well known. He has not much connection with architects, but his works often refers to painters or sculptors. For example, one of his design: Winton Guest House is compared a Morandi's composition in the way small elements are put next to each other. Another example can be Chiat Day Building in Los Angeles, where the entrance is a giant binocular. These two buildings are the more relevant of two kinds of sculptures; abstract sculptures and representative sculptures through architecture.

Gehry's way of design is interesting for the richness of his variety. But it is also an expression of freedom, and a open gate to future way of design where architects firms and workers are constantly linked to the same source of information to the building. This study looks for the connection between his art and several sculptors, whether they were source of inspiration for Gehry or not. The study tries to get an overview of the way artist and architects could work together.

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Frank Gehry is from Canada but works in Los Angeles. His work and his relationships are strongly linked to Californian sculpture and artists. Whereas Louis Sullivan used to say, « form follows function », Gehry's architecture seems very free from any rule. Especially his last works look very sculptural. This paper is about the way Gehry manages to develop a program within a sculptural building. Frank Owen Gehry and Partners' buildings have built over a forty years time period. They present a large diversity. What kind of similarity can we find through them? This paper will first deal about Gehry's main expression, and then ask two main questions. The first one is to know how Frank Owen Gehry and Partners can study and build architecture of such complex shapes. The other question is to know where these shapes come from, from architects or sculptors, or both?

Frank O. Gehry has been architect for over 40 years and has designed more than two hundreds buildings. Even if some of them cannot be connected to any other, they all bring something new to contemporary architecture. The critic Charles Jencks manages to see four categories: « Cheapscape, perspectival spaces, movement buildings, juxtaposed pavilions ». These groups represent the development of different ideas but they do not really match with any precise period. Even if they have a kind of chronological order, Gehry can work at the same time on projects of different concepts. For example, the two most famous juxtaposed pavilions, Chiat Day Mojo Building and Loyola Law School have been designed in 1991, whereas Walt Disney Concert Hall, one of the first « movement buildings », was already under study in 1987.

The so called "Cheapscape" concept goes over the rejection of rich materials that Louis I. Kahn or Le Corbusier may have proposed by using materials such as brick or rough concrete. To Gehry, any material can be used for architecture to make a new building. Even temporary materials on site construction can be used for permanent buildings. Materials used for industrial buildings could be used for housing in rich district of Los Angeles. The most famous example of this kind of building is Gehry's own house. It can be seen as a translation in architecture of the artistic movement Arte Povera.

It can also be connected to Kurt Schwitters' works. In the 20s he glued newspapers or tissues to build canvas. Besides being a part of art, Cheapscape

provides one more advantage; to be close to the client. Indeed, it is a cheap way of expression, with very low price particularly for furniture, and easy to build yourself. It is "Gehry's style", that is the closest to a large public. Still in this expression, Gehry has designed two furniture collections Easy Edge and Experimental Edge Collections. They appear to be furniture, which anybody could appropriate the idea and build himself. One of them is a very simple cheap board structure. This board is cut and stuck to make an armchair by successive layer.

Sources : personal picture

The "perspectival space" is a process of design that is less famous but still interesting. It works by making a deformed perspective. The composition of the building seems very simple. Ron Davis House is the only building of this type. It is made from a trapezoidal plan covered by a slopping roof. The main process of this building is that perspective makes the edges converting to horizon and that the plan makes the edges converting to the spectator. Any line of the plan converges to a single point of the garden, from which we get a central point of view. Over that point three sides of the house can be seen, which makes a very new feeling. Perspectival space house is one of the first searches of movement by Gehry. New technologies but also more architectural evolution helped him to design more animated buildings.

Movement buildings are the latest of Gehry's production. They made him really famous. The most famous of them is Guggenheim Museum in Bilbao. In this architecture, the shapes provide a strong expression of movement. The curve is emphasized and at the same time, the edge is denied, which provides a strong expression of a unique shell. This gives unity to whole composition made of a collection of small rooms, which could have been too disparate. Their complex shape is the direct expression of their study-model, made of bent iron sheets. Each of these buildings, often dedicated to culture, is clad of many very small tiles. Whatever is chosen, the color of the tile is in relationship with the site and the program. Brown titanium is used for Guggenheim Museum in Bilbao, in relationship to the industrial site. Bright colors are used for E.M.P. in Seattle, dedicated to Jimmy Hendrix. For Bilbao Museum, Gehry has looked for the good metal for one year before choosing titanium. This latest is the most famous movement building. The strong expression of the museum comes from the opposition of two expressions: a stone edged base and a metal curved shaped. Inside, special galleries have been designed so that special artists can build sculptures inside. For example, Richard Serra's sculpture is made of two height feet high iron sheets, curved, undulating walls, parallel one to each other. In this metal work artist and architect refers one to the other.

Walt Disney Concert Hall under construction (Los Angeles)
Sources : personal picture

Juxtaposed pavilions projects are basically the result of connections of single room objects. It is a collection of simple shaped elements, each one expressing its function on its own way, in opposition to a huge building, which could have been divided to complete a program. These buildings work as small towns, each building connected to its neighbor to provide outside spaces. The spaces between blocks are as much useful as the blocks themselves. The buildings studied here are built in California, where the climate is warm and dry, almost all year long. There is no need to connect these rooms by inside paths. Each of these blocks has a strong own expression, which separate it from the neighbors. Indeed, each house in the city in our common idea of the town is a single object, connected to the others, but with a strong identity. Gehry's pavilions are detached one from each other, by individual shapes, colors, materials and expressions. Moreover, most of the time, we can walk around them. They often have very simple shapes, referring to usual buildings, with different ways, such as emphasizing the chimney or the double slope of the roof.

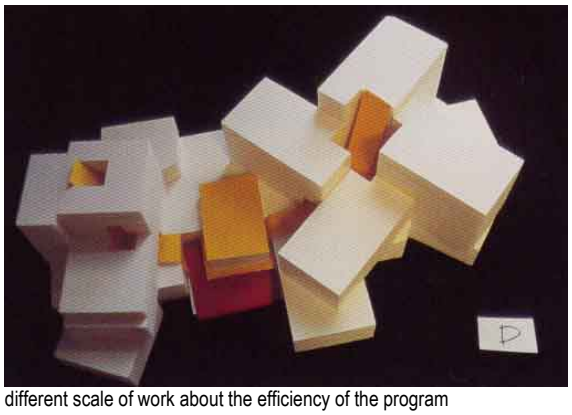
Each one of this four ways of expressions are linked with sculpture and art. Any of them can be linked with an artist. Anyway, Gehry's expression remains personal and complex. Therefore we can wonder how he manages to solve all the problems, keep so far his own expression and communicate it to other people.

Frank O. Gehry and Partners' office use top level and the latest aeronautical industry technologies. Gehry's buildings are famous throughout the world but his way of work is at least, as interesting as his buildings themselves. The different steps of research shown here, look like a step by step list to follow, but for each project, the team comes foreword or back to the previous or the next step in function of the difficulties they meet, coming to different type of documents. The team often comes back from computer file to real model. Gehry lead the study by keeping a large variety of document, always referring to the three dimensions. Except sketches, each single document shows all the building, expressing different ideas of what it actually is.

The first step of conception for a project is the site study. This help to get a good idea or feeling of what the site is. It is done through sketches sowing point of views referring to a small plan. During this work, the architect looks for the strong elements of the site, what defines the site, such as buildings referring to the program, or such as places, where there is a good point of view on the site. Gehry also looks for the deep nature of the site, to know what he should refer too, even if it is not directly connected to the building for the program. Therefore, in Bilbao's industrial area, Gehry uses titanium quoting rust and crane of the harbor. In Paris, he refers to the stone used for so many houses in the capital and builds his « American Center » using white stones.

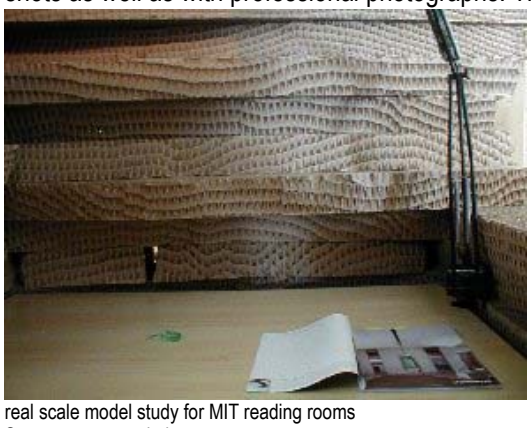
The next step is the start of the research with sketches. These are purposely very free to remain as rich of meaning and interpretations as possible. Gehry doesn't trust clean and seductive drawings, which look beautiful as drawing but hide what the building will really be. He looks for the expression of a building, not for the expression of a drawing. That is why his sketches are very free, full of different ideas, mixed together that he has to read afterwards. That is what provides inspiration. During the early sketches, he let his hand going on a free way, without really controlling what he does. It is almost automatic drawing. The unconscious expresses itself on a very free way. It is almost the same process as surrealists' automatic writing defined by Roland Barthes. Each sketch is a quick document and quite limited. It expresses one main idea of the building and a single point of view. The sketch is a short time document expressing a specific idea at a special time during the conception process. It can never realize a synthesis of he hole building. What the sketches express are an idea or more precisely a feeling, defining what the building will be when it will be designed. The primary feeling is what Gehry try to keep until the construction of the building is finished, through each step of the design. It is the only 2D document of the office, through the process. There can have a very large number of sketches, depending of the size and the complexity of the project. For Millenium Park Music Pavilion in Chicago, there had no drawings. Oral instructions have been enough for the project team to start designing a model. On the opposite, for Ray and Maria Stata Center, fifty sketches have been drawn before any construction of model. It depends of the project's size and complexity.

To solve all the programmatic questions and make the building efficient, a more synthetic tool as sketch is required. Even a collection of different plans cannot provide a synthetic idea since each of them just express some parts of the project. That is why Frank Gehry mostly uses models as a way of study. In case there is anything to change on the project, it is directly modified on the model; there is a single document to change and not a set of plans or sections. Since the study goes further, the model evolves in size, scale and complexity. The first model is purposely very abstract. It is made of cubes or parallelepipeds, each being proportional in size to one room or group of rooms. This let the architect control the rooms repartition and the functional questions of the building. Each part of the program is coded with its own color on the model. Gehry can see quickly and clearly how the building works. After this he can design the shape in a very free way. This programmatic model also helps him to check the shapes repartitions and harmony; within the different part of the building and in relationship to the site.



different scale of work about the efficiency of the program
Sources : GA Document n°68, Gehry, 13 projects after Bilbao p34, A.D.A EDITA, Tokyo

From the programmatic model, the building is covered with metallic sheets, to study directly what the building should express. Here, just the sculptural aspect is studied. That is when the building starts to get its own shape and its own expression. Before any final model can be made, many study models at very different scales have been made. Each of them shows a specific point of view of the project: a detail, a composition study, or the site relationship. The models are made with a large diversity of materials: paper, wood, melted plastic, plaster, metal or wax. The study is often made around a large model that can be turned in any direction to allow a variety of point of view within. It can be 60 square feet wide, as the final model for Ray and Maria Stata Center au MIT (Cambridge, Massachusetts). Besides this final model, there are also many other models, expressing a specific point of the building, like Los Angeles Walt Disney Concert Hall, or Bilbao Guggenheim Museum's atrium. In certain cases, some real scale models can be made to study some specific rooms or some size or light adjustments. Photographs are made of each model, with quick shots as well as with professional photographs. The aim is to keep a view of each step of the research, to allow any



real scale model study for MIT reading rooms
Sources : personal pictures

way back in case the project would be too far from anything that could be built or would not mean anything. This assurance encourages Gehry to explore any kind of expression and to push it as far as he can. Whatever happens, the office changes his kind of media as often as possible to remain close to what the building is and to avoid a kind of model or drawing attraction. The aim is not to make a beautiful model or a beautiful drawing. Each kind of document allows its own kind of expression of the project and is supposed to express the initial energy of the first sketch. Through any model is a try to catch this feeling. Despite all his efforts, it remains difficult to keep this primary sketch within each step of the process of design and construction. The number and difference of documents and people implied in the project and the time of research, study and construction could make this first sketch less and less visible.

Sources : GA Document n°68, Gehry, 13 projects after Bilbao p34, A.D.A EDITA, Tokyo

Once the model is done, the office uses high-tech technologies. They have to scan the final model in 3 dimensions to complete the study on a computer. Frank Gehry and Partners uses Dassault Industries software, CATIA, made to design fighting aircrafts. Frank Gehry and Partners is the only office working on buildings using this software. The change from aircraft design to building design is not so hard as what could be imagined. In both cases, the plight is to compute pressures and temperatures and to show 3d views. Because of CATIA, the connection of each step of the study is done with a single file. Both the architect, and the construction firms share this file, which allow a very good communication. This helps to build very specific pieces of the building, for these unique buildings. CATIA provides a digital model that provide the same quality as the real model; a globalization. The computer provides a file where everything can be read., plans and dimensions as well as structural or thermal questions. Within a structural analysis, CATIA shows fragile places that need to be reinforced.

This program helps to define precisely a connection between two complex curves and thus, to solve any imprecision that remain in a real model.

3D scan Sources : personal picture

During all the project research and the construction study, Frank Owen Gehry and Partners finally just have one central element to help the study; the model. Whether it is a real model or a digital model, there is no other kind of document to express the building. Anyway, for certain specific points, the office uses simpler programs for limited studies on very specific points.

They first have to solve the problem of representation and communication for a pergola program in Barcelona, for the Olympic City. They had to find a specific tool, to translate any kind of idea or shape on any kind of document that may be required to communicate or to build the project. Frank Owen Gehry and Partners already difficulties for the construction of Walt Disney Concert Hall, still under construction in Los Angeles. Jim Glymph, execution architect for Frank Gehry, finally found out a aeronautical design software: CATIA. They used a medical scanner in Los Angeles University of California, to scan Walt Disney Concert Hall model. The 3D model they get is then read by the software,

CATIA, is very interesting for construction since it provides an equation for each face and each volume of the plane or the drawing that is to be realized. Some softwares change complex curves to a collection of polygons and thus calculate much quicker but a let a large number of imprecision, that lead to troubles for the construction. On the opposite, CATIA provides real coordinates from real equations. For any point of any curve of the building, exact coordinates can be got to guide the machines building these shapes. There is absolutely no imprecision. Barcelona fish pergola was the first object designed on this way by Frank Gehry and Partners. For this construction six real scale models had to be designed but any of them broke down, until they first used CATIA software. The agency built the model once more and it was a success.

Frank Gehry's projects have very complex shapes that can make executive architects or engineers scared. To make his projects built, Gehry had to control as much as possible their final realization. In no case he could remain a plan provider, that someone else would have build for him. That is why he made his office and the construction firms sharing the same CATIA files. In Experience Music Project's case, in Seattle, there are twenty one thousand different tiles. None of them are similar; they have been made using digital plasma cutting. They have been placed under control of a laser system. In this way, Gehry could be compared to some Renaissance architects, who had a complete control of their projects, from plans to the most detailed part of the construction. He is the same kind, in a new time of multi-knowledge architect, as he both works on the most fancy artistic questions and solve the latest technical problems. On the building site, each firm shares Gehry and Partners' CATIA files. Using CATIA has really helped to study and build movement buildings.

The most relevant characteristic of Frank Gehry and Partners office is their using models as unique tool. For any project a very large number of study models are realized, digital files provide complete view with 3 dimensions. Besides the early sketches, the model is always studied in model, whether it is real or virtual. Frank Gehry is especially interested in the exchange process between these models and the way they express the richness of the primary sketch. For him, the process of study of a building is as interesting as the building itself.

Frank Gehry and Partners' way of design are heralding a new way of doing architecture. Because of this powerful control of construction via computer, Gehry can design buildings in relationship with artists very freely. He will never be limited by any descriptive or technological problem. He can express with no limit that architecture is sculpture and he can sculpt whatever he wants.

Most of Frank Gehry's professional relationship is made of sculptors and painters. Within them, can be found Claes Oldenburg and Richard Serra, with whom he has worked a lot. He is also friend with Rauschenberg. He met Warhol and Rosenquist. He described himself as an architect within sculptors. For him, architecture and sculpture are very close, since they are both expressions of 3 dimensions. Both get their expression is space and time and belong to esthetic area. Gehry's relationship, mostly with Los Angeles sculptors can be express whether within one-sided projects, from sculptor's inspiration or within team projects, where sculpture fits completely within architecture and gets a specific function. In this case, sculptures can be added to the building to provide spaces in relationship with the original inside space, just as with Serra's sculpture in Bilbao Guggenheim Museum great gallery. The other case is a sculpture completing the design of the building itself. Within this sculpture stands a specific part of the program. The most relevant example of this is Chiat Day Mojo Building, designed from Claes Oldenburg Binoculars. Within this huge sculpture, there is lecture room. Using or referring to a real object is an expression that can be linked to many 20th century works. There are relevant examples such as Schwitters, when he covered his canvas of old materials, rejected by all the other people. Picasso also placed some objects within his paintings, but they were single objects on a painted canvas: this would be closer to Gehry's work. The extreme case of using objects in a work is Duchamp's "Ready-Made" : a simple object is shown as an art work, without any transformation.
Some design team can be made of architects and landscape designers or engineers. Frank Gehry works also with

these people but he is more famous for working with artist and sculptors. He works a lot with sculptors as Claes Oldenburg and Richard Serra. In some cases, he just borrows some idea, or they complete his project, but other times, they really worked together on a team project, linking on the same level architect and sculptor, each one bringing his own feeling and his own knowledge to the design.

The Chiat Day Mojo Building Project is to express three different designs, referring to three different parts of the program. Frank Gehry has already designed the left side and the right side parts; they are already very sculptural in their expression. One is designed as a ship; the other one is inspired by a kind of jungle on a desert island. The central part is still missing, the most important since it is for the entry. During his research, Gehry just find an old model of binoculars, built a long time ago by Oldenburg and his wife Coosje Van Bruggen. They were on his desk, given a long time ago by the sculptor. This model comes from an old theater project in Venice (Italy). Gehry just puts the binoculars in front of his building and asks Oldenburg what he thinks about it. He simply answers it is perfect… Whereas the two other parts suggests some objects, the binoculars directly refer to real binoculars. It does not work as an allusion anymore but as a copy

In some other cases, as Lewis House extension, the project is directly studied in team, as the client required it, each one bringing his own specialization to the design. The program for this giant house was first to realize an extension from the original Philip Johnson's house. The program never stopped growing, from a 20 000 ft2 to a 40 000 ft2 until a museum. The biggest project for the house was as big as Bilbao Guggenheim, but ten times more expensive. Ordered in 1987 and still under project in 1993, the house has never been built but it was a kind of preparation for Gehry's following buildings. First, the third version of he house, in 1993, was designed with CATIA. Then, the free and curved expression of the house is in the same language as the "movement buildings" that will come later on. At least, millionaire Peter Lewis called up several artists with whom Gehry has worked: Claes Oldenburg, his wife Coosje van Bruggen, Frank Stella, Larry Bell. The study has been completed also with Philip Johnson. Frank Gehry worked after a new time with Claes Oldenburg, on the Chiat Day Building in 1991. He had also worked with him on Camp Good Time Project for Santa Monica Hills. Although it has not been built, the study for Lewis house's curved and sculptural shapes, has been a good preparation to get ideas and methods for next public projects such as Bilbao Guggenheim

Born in San Francisco in 1939, Richard Serra, one of Gehry's best artist friend, first works using Arte Povera expression, and became one of its most relevant member. He created his first own way of expression in the years 1968-70, with his large plumb sheets in fragile equilibrium, like card castle. His work of sculptor gets its own expression between 1968 and 1970, when he builds some equilibrium works made of large plumb sheets, put together as a house of cards. These sheets often seem to be in equilibrium just because of a single point. This equilibrium always looks very fragile. He also works on cutting materials and their spreading out on the ground. His works get bigger and bigger, and eventually the spectator can walk through them. Thus, the spectator feels an inside and an outside space, like in a building. His sculpted work has the specificity to be specially studied for its own exhibition space. This explains his interest in working with architects. These sheets are often put against a museum wall or angle to get their equilibrium. Serra's works look fragile but are solid and look heavy but are light.

For Bilbao Guggenheim Museum he is notably designed an internal way in Frank Gehry's great gallery. This is made of two undulating plumb sheets; the spectator walks between them. In this case, he is completely in the work that appears as a gallery itself. This work is long enough, around thirty feet long, and high enough, around ten feet high, to make the spectator feeling completely within the sculpture. This space breaks all the idea of equilibrium that you usually have since the plumb sheets are not vertical: they stand up because of their undulation on the ground, but the spectator keeps a feeling of equilibrium since there is no more an vertical line or plane. The slope of the sculpture changes all the way long.
Serra belongs to Minimalism's avant-garde and hates Pop Art. His works are in a strong relationship to the public space, since they are specially designed for the site. They hide some buildings to frame others. His sculptures are mostly in the street or in public parks. Even in a museum, they are designed for their exhibition space. They provide interaction between the spectator and the space. Serra's sculpture build spaces and Gehry's architecture is made of sculpture. They are both on the edge of their discipline and meet on some projects like Bilbao Guggenheim. In this

building, Gehry refers to Serra undulating sculpture within, by using titanium cladding. The titanium of the museum refers to the bronze of the sculpture. Both works are expressions of curve. Gehry's building and Serra's sculpture are closely linked? Did Gehry define his sinuous titanium building from Serra's special texture and shape?

Gehry's architectural work refers to both sculptors Serra and Oldenburg. This link can be seen in two buildings, very close in time but so different in their visual aspect: Bilbao Guggenheim Museum inaugurated in 1997 and Chiat Day Mojo Building in Venice (Los Angeles), built in 1991. Walt Disney Concert Hall, of the same generation as Guggenheim's started to be designed in 1987, before Chiat Day Building, although it is still under construction.

Both buildings share a common point: they have an unbelievable sculptural expression; actually, none of them really suggest a building. In their outside aspect, each of them refers to Gehry's friends. Guggenheim Museum, as an undulating abstract metallic shape refers to Serra's sculpture within the Museum itself. Serra's gallery is inside Gehry's one. They echo one to each other and provide to a different scale the same dynamism.
Regarding Chiat Day Building, it is made in relationship with Oldenburg. Even before Gehry borrows Oldenburg's binocular to design the entrance, the expression was already linked with the sculptor's. Each lateral part already referred to seaside elements: a steamer and a desert island's forest; the building is actually at five minutes walking from Pacific Ocean. These two elements make allusion to the objects they refer to, but do not represent them directly. They only work with suggestion. The binocular shaped entrance borrowed from a Oldenburg's theater's project, is a true larger copy of real binocular. Here is representation and no more suggestion as the two other blocks.
Bilbao's Guggenheim Museum refers to the site with its iron clad and his rust aspect; this is Serra's abstract expression. Chiat Day Building refers to its own site by representations from allusion to the direct copy; this is Oldenburg's large sculptures expression. In these two famous buildings, Gehry refers to his two friends using in his own architecture their sculptural expression. With each of these buildings, he makes a connection to the site by using one of his friend's style, each one matching directly with the site's own characteristics. Therefore, if these two buildings look different in their shapes, they are actually linked not only in their time, but also by their relationship to two expressions of sculpture: Pop-Art or Minimalism.

Are there any architects using so high-level technologies as Gehry? Is this way of work a first step in the future of the computerized architecture? Will building be completely built under computer control, pieces being realized under digital control?
Some people may say, that at the end of 20th century, Architecture seems to search for his future. At computer time, Gehry works with the highest-level programs. Since, he can get both a complete representation and a complete study of very complex shapes and structures that would be completely impossible to draw by hand. Since he has developed his own way of work, that allow to build any shape, how complex it may be, Gehry can develop his own language, without any limit. He is largely influenced by contemporary sculpture. This link with sculpture makes probably his strongest specificity in the contemporary architectural world. Gehry changes not only architecture's shapes but also, the very process of construction of a building, from its early study to its site construction management. While Modern Architects like Gropius or Le Corbusier tried to separate the construction of the building between different kinds of crafts, Gehry links all the people and the firms implied in the development of the project. Both constructor, decorator, landscape designer are linked to the architect sharing a common file Is this the future of building's construction?

Because of this control of the construction, any shape can be built. Gehry has shown a new way to be an architect. It provides a sculptural beauty to the buildings and brings the client in the middle of the design process. In opposition to modern concept claimed by Sullivan, Gehry could claim "form follows sculpture", although he does not pretend to create a new style or movement. Since he creates a strong unity between architecture and sculpture, could not we say that Gehry also made a revolution within art? Some artists have tried to work on space; some architects try to use sculptures. Frank Gehry's buildings are at the same time architecture and sculpture.

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Camp Good Time, Santa Monica

Chiat Day Mojo Building, Santa Monica

Frank Gehry & Partners office, 1520 B Cloverfield Boulevard, Santa Monica

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Paper by Christina Elizabeth Gessler

"If only I was strong enough to have so large a family": Mothers and Grown Daughters In Rural Nineteenth-Century New England

No one knows why an anonymous woman turned the old Pound-keeper's record book upside down and began a diary. She wrote in blank spaces, along the margins, and around the existing notations about escaped sheep, horses, and cattle.[1] She did not record her name, her age, or where she lived.

Perhaps she had her reasons for not writing her name inside the front cover of the book, as so many diarists did, and thus claiming ownership of it up front, but what those reasons are we do not know. [2] Instead, she wrote about her farm and housework, work performed by her husband, and the grown daughters who still lived and worked with her.

This diarist found "work" both hard to define and to delegate. For her, work was inseparable from the other aspects of her life and her identity. Compounding this were few clear distinctions between the roles of her daughters as laborers and as family members, blurred boundaries between her own roles as mother and manager, and indistinct areas for the multiple tasks of work and leisure constantly in progress within the farmhouse.

By using this anonymous diary, written in 1897, by a New England farmwife, this paper examines the murky borderlands between family member and laborer, the changing expectations of

technological proficiency, and the interrelationships and control of knowledge in the contested workspace of a small farmhouse kitchen.

Almost daily, this diarist encountered the ambiguities of work, for unlike male laborers or people who worked outside the home, this woman confronted one recurring challenge: was it more important to be a good manager or a good mother?

Perhaps there were few places in late nineteenth-century New England where work was as ambiguous as it was in farmhouses, and more specifically in the kitchens of those farmhouses. Just outside the kitchen door, the farmyard was divided into different spaces for different types of work. There was the coop for raising and care of poultry and salable eggs; the pastures for grazing and driving sheep and cattle; the fields for growing and harvesting crops; the barn for storing feed, milking, grooming and housing livestock, tending to sick animals, and assisting at birthings; the stalls for the horses, with perhaps storage space for wagons and saddles and other equipment; and a shop for tool and wagon repairs, tanning hides, and other tasks. Further out on some farms would be the sugar shack, for boiling and processing sap in the spring months, and perhaps an ice house or spring room.

However, unlike the apportioned farmyard, the farmhouse kitchen was often an open space for multiple simultaneous and yet unrelated tasks. Some farmhouses had divided spaces on the first floor: a front parlor usually used for formal occasions, a staircase, kitchen, a buttery, pantry, ell, hallway, perhaps a first-floor bedroom, a back porch or front piazza or enclosed porch, and an attached shed. However, for this farmwoman, there was only the kitchen and a small back workroom, normally usually used as a laundry area. Therefore, how work was managed within the confines of this particularly small

farmhouse was of significance and quickly became the focus of this anonymous woman's diary.

She began writing her diary a few days before Thanksgiving, when the wet paint on the kitchen floor threatened to make holiday socializing and cooking a challenge. The first entry, on November 19, 1897, begins:

> S– came home from west Auburn leaving Mattie at Ben's to help get ready to come home to Thanksgiving with the children. S– has bought Ben's cow and John will have to go to take it home the first of next week. We painted kitchen floor first coat. am sorry it could not been painted so as to got dry before now for we shall be in back a heap if they all get here before we can move into the kitchen.[3]

From this first section, we learn that S– is probably her husband, as his actions are listed first, and it is he who buys the cow. He is also able to delegate work, probably to a younger man, who in this case is John. She continues her entry by noting the complications the wet kitchen floor is creating for pre-holiday baking. Worse than that, if it continued to be slow in drying, the entire family could end up not eating and socializing in the kitchen, as was the custom, but instead be pushed into a new space: "in back a heap."[4]

Because the celebration of Thanksgiving hinged on two things–family togetherness and a special, large meal–the diarist felt that the entire holiday observance was threatened. She continued the entry,

> but the girls want me to "let things swing" and I am just going to and not drive myself when tired even if some go hungry for what they would like to have.
> Shall cook no pies at present.
> and L. & M. may make the Thanksgiving themselves.
> and I will take care of the babies.[5]

Other entries would reveal that letting "some go hungry for what they would like to have" was not typical of this diarist, nor was "let[ting] things swing."

That the diarist is concerned in this first entry about driving herself is telling. Whether or not to "drive" herself would become a recurring theme of her diary. She often felt tired, and at times seemed overwhelmed by the work she and her husband had to undertake in a given day. In this instance, the diarist resolved not to do the holiday cooking, knowing that the trade-off would be watching the children of the woman who cooked and baked and would thus "make the Thanksgiving." Historian Penne Restad notes that on Thanksgiving, "themes of reverence, family, and giving thanks often proved secondary to the main task of the day–eating." In this diary entry it is clear that there is no holiday without the proper homemade foods.[6]

The diary entries reveal quite a lot about the diarist, her life, her responsibilities, and her work.[7] In New England farm women's diaries the multiple identities of the worker surface quickly. From the clues in the patterns of this diary thus far, it is possible to know that this diarist was married, she was a mother. The earlier information about the new cow indicate that she was a farm woman, her ability to begin a diary that she had received some education, was literate, and could create enough leisure time in each day to write a diary entry.

From the brief records of work already emerging we already know that she was both a laborer and a manager: she ran a household, directed the work of others, produced goods and services, raised a family, and did both house and farm work. Because she was mistress of her own farmhouse in New England, she is probably white and protestant, and due to the ages of her children—one daughter is already married and has borne two children—in her fifties.[8]

This woman's diary provides a wonderful example of how to read a diary is to step into an

existing world, where the scene and actors are already set and known, but only to the diarist and her intimates or contemporaries. To everyone else, it is a world that must be located and mapped, and then ordered and defined by the diary's patterns. Perhaps the most consistent patterns in these diaries are the records of work.[9]

However, had this woman meant only to record work and the monies and goods received in exchange for it, she would have created an account book in the margins, not a diary.[10] In recording her work, but also recording information about her family life, she created something more detailed than an account book, and something much more personal. The diary records both the work *and* the life of the worker, facets of an intertwined identity this woman chose not to separate.[11]

Her decision to keep a diary would remain a mystery, however. However, clues the diarist left make it possible to trace her through the United States Census records. From these records it is possible to learn that her name was Laura Burrows, and that in November 1897 she was fifty-seven years old, her husband Samuel fifty-nine.[12]

With family relationships sorted out, and the identities of Laura and her family labor force restored, it is possible to return to the text of the diary to study the themes of work that it records.[13] The next entry following the previously discussed one for November 19th, was for November 20th.[14] In it, Laura records that son John put the second coat of paint on the kitchen floor. This presumably meant that the first coat had dried.

Five days later, the family celebrated Thanksgiving.[15] After dinner, Samuel read, Ben and John played dominoes, the babies made "lots of music," and Mattie and Louise cut out a dress together.

Laura's diary entry almost portrays an idyllic scene of a family companionably sharing an evening together.

She does not record the second stage of labor required after cooking and serving a large meal: clearing the table, washing and drying and putting away not only dishes and utensils but pots and pans, wrapping leftovers to store in the pantry, wiping down the table or shaking out the tablecloth, and then removing the extra chairs from the table and returning them to their assigned places.[16]

However, later in this entry Laura would reveal what would change her winter and her work. Daughters Mattie and Lisa worked and lived away from home.[17] Only son John was still living at home, but he worked as a traveling salesman and was not home regularly.[18] Nearing their sixties, Laura and Samuel were facing their first winter alone in the farmhouse. However, on Thanksgiving night Laura noted in her diary, "Ben is going back tomorrow leaving Louise and babies with us awhile then I shan't be alone when Mattie goes to her school Mon."[19]

The first challenge Laura faced in sharing the farmhouse with her grown daughter and two young granddaughters surfaces just days later. On November 29th, Louise did her washing and used the last of the "magnetic soap," which Laura did not discover until she tried to begin her own laundry the next morning.[20]

Samuel went for more soap, and Laura finally got started on the laundry in the late morning. She wrote, "got my clothes in soaking about 11 a.m." Soaking clothes was a normal part of the washing process, and many advice manuals recommended soaking the clothes overnight.[21] However, Laura didn't need to because her special "magnetic soap" promised to reduce the necessary soaking

time from overnight to just ten minutes.[22]

The Mccullough Soap Company's Magnetic Soap advertisements further proclaimed that this soap promised to make boiling clothes unnecessary, and "washboards useless," thereby eliminating tiring scrubbing. Indeed, this timesaving product meant "Washing done and kitchen cleared before the noon hour. Time, labor, fuel, back-ache, heart-ache, wear and tear of the clothes will all be saved," just from using Magnetic Soap. Laura, however, did not have her kitchen cleared in time to serve dinner. And she would not finish in the record time the soap company's pamphlet promised.[23]

Instead, Laura wrote in her diary that she worked on her sewing while the clothes soaked, "then got dinner."[24] After dinner, Laura was able to start washing. However, the late start coupled with the large pile of clothes made for a difficult day. Laura wrote, "Had a two weeks wash".[25] S– [Samuel] turned wringer which helped me so I was able by hurrying to get them out just at dusk."[26] While the soaking time required had been reduced by her special soap, the amount of time Laura spent washing meant that she was "so tired, went to bed at 7 p.m."[27] It had been an exhausting day.[28]

Most diaries, whether by farming women or urban women, indicate that wash day was the worst day of the week.[29] The work was hot, heavy, and time-consuming. Many women did their laundry with the help of other female family members, or hired help to do the wash. Laura, however, did not do her laundry with Louise: Louise washed for herself and her children one day, Laura washed for the rest of the household the next.[30]

This pattern would recur throughout the diary, and while it became the norm for these two women, it was atypical. Most of the New England farm women's diaries examined for this paper

record either hired girls, daughters, or husbands helping on wash day. Some of the women's diaries record washerwomen or hired girls to doing the wash in its entirety, thereby freeing the farm woman from doing any of the laundry herself.[31] Even advice manuals advised women to get help with the wash.[32]

However, while Laura's husband sometimes turned the wringer for her, she did the rest alone.[33] Her whole day could be devoted to washing, the following day devoted to ironing.[34] While she curiously did not avail herself of female help on laundry day, especially that of her now live-in daughter Louise, Laura's wringer washing machine was an advance on earlier washtubs. This technology presumably eased the task to some degree. However, because wringer washers had existed for more than twenty-five years before Laura wrote this diary entry, it is unlikely that her washing machine was new.[35]

In addition to laundry, Laura also helped care for the others in her household. The amount of work this generated for her depended on the number of people in her house on any given day, and the expectations of those people. A large part of Laura's work was to produce upon demand: tea or a light supper for visitors, special meals for any family members who were sick, regular meals for herself and husband, and food for whichever grown children currently lodged with her. In-between meals she might be asked to provide additional refreshments or beverages.

Three days later, the size of her household grew. With Louise at her parents' house, her husband Ben would be expected to make visits. However, on December 5th, Laura wrote, "Ben came last night quite unexpectedly."[36] He came again the next night.[37]

Laura did not record that she minded Ben's unexpected visits. On both occasions she wrote that Ben and the other grown children sang old hymns, which she pronounced "beautiful." On the 7th, she wrote in her diary that Ben even helped quiet the baby. "Ben took her and got her to sleep." Laura praised Ben, "He is so good and kind and helpful I love to have him here."[38] However, Laura found the number of people in her house troublesome. Her entry continued, "if only I was strong enough to have so large a family."

When John and Ben were both in the house, Laura found herself working doubly hard just to provide breakfast. On the 6th, she had written, "Baked bisquit [sic] and corn bread." The biscuits were traditional fare in the house, but Laura explained, now "John wants corn bread every a.m." On December 7th, she wrote "Made cocoa & coffee both for breakfast," because "John wants coffee and Ben don't like it."[39]

Ben soon left to sell spruce gum. It is not clear from the diary if he and John traveled together. However, even with Ben and John out selling, and Mattie at school teaching, the house was not empty or quiet.

Laura often complained in her diary about how disruptive the two babies were.[40] Laura wrote that they impacted both her productivity and efficiency. On December 22nd, she recorded, "I was too tired to write last night [in her diary] tho' I accomplished nothing but the regular house work." Laura wrote that this was because "Martha was so fussy the noise confused and tired me so that I could hardly hold my self to anything." Laura told her diary, "When they are allowed to get fretted in the a.m. it usually lasts all day."[41] The children fussed to demand extra care. Their noise tired and distracted

her, making her work harder; and even when they were good, having small children underfoot in the kitchen while Laura worked made her tasks more difficult.

On Christmas Day, Ben again came to see Louise. They went away together for the holiday, taking little Martha with them to Casco, to see Ben's father. This left Laura and Mattie to take "care of baby" Mona.

Nonetheless, the Burrows family had a proper Christmas. Laura wrote a list in her diary of the foods she prepared for the holiday dinner: "Today we had baked chicken with potatoes, onions squash, &c, baked veal, dressing, stuffing, hot cream biscuit apple pie, cheese, marmalade etc." It was a feast. Like Thanksgiving, the Christmas holiday centered on the special foods women traditionally prepared. However, Laura did not record if she cooked this large meal alone, or if Mattie helped her.[42]

While historians note that "many gauged Christmas by their dinner," Laura's Christmas diary entry contrasts with the one she wrote on Thanksgiving.[43] On Thanksgiving, Laura recorded that after dinner the family played games, sewed, read, and played with Louise's children. What did they do on Christmas day? Did work cease for leisure? Did they attend church, or a public Christmas program put on by local school-aged children? Did the family, who sang together on other occasions, sing carols this night? Laura does not say.[44]

Instead, in this entry about feasting and family, there is a seemingly unrelated notation. Laura notes that her visiting daughter Mattie receives a letter from Lilly Brown Peabody. Had the letter arrived in one of the fashionable Christmas cards people were exchanging?[45] She does not tell us, and she does not explain in her diary who Lilly Peabody is. Instead, she writes, "Mrs Peabody is on a farm.

Has a little son, is 'perfectly happy.'"[46] Laura's quotation "'perfectly happy'" is the only direct quotation from the letter to appear in her diary. In breaking her pattern to quote this phrase, she seems to be questioning Mrs. Peabody's ability to be or to stay perfectly happy.

Perhaps tired from the work of cooking and socializing while looking after a toddler, Laura remarked in the next sentence, "How very few can say that in the married life." Laura continued, "After two or three years experience I hope she may never be less so."[47] It is not clear from this unusual break in her normal entries to remark upon a letter her daughter received if Laura was truly concerned about Mrs. Peabody's new marriage, or if she was writing about her own discontent.[48]

Laura hinted at discontent in her marriage on several occasions. Just a few weeks before, on December 3, 1897, Laura wrote in her diary that she and Samuel were both working in the kitchen. He was sitting, sewing a horse blanket made from old bran sacks, she was moving around the room doing her housework. As she passed by Samuel, "he gave me one of his gentle (?) loving (?) looks. altho' I tried not to inconvenience him in the least. so I took no notice of look or manner no more that if I hadn't seen it. Have seen too many of them."[49]

Perhaps at first Laura's writings about happiness in married life seem a digression from the topic of work. But for American women in the nineteenth century, and particularly in the later part, building and maintaining relationships was an important aspect of women's work. Part of Laura's duties as wife and mother was to create and maintain her relationships with her children and her husband. Popular advice manuals and even magazine literature of the time indicated that these should be good, loving relationships. It is interesting, then, that the word loving was one of the two words Laura chose to both

use and question in the above entry. For Laura, the ambiguities in her work most often arose when she was faced with issues of how to work in her home environment while navigating this sea of family relationships.[50]

At times, the Burrows family relationships fared better than others. On Thanksgiving and Christmas, when the family gathered in the farmhouse in Otisfield, the tensions in these relationships were particularly apparent to Laura. Perhaps this was because the relationships contained not only an emotional component, but a spatial one as well, as the proximity of Laura and Samuel as they both worked in the kitchen indicates, as do other entries about trying to accommodate the needs of her family within the confines of the farmhouse. The family needed to be able to work together, to work separately in a shared space, to live together, to gather for special events such as holidays, to get along, and to provide companionship for one another. At times these were competing interests.

Wherever Laura went in the house, she encountered another member of her family. This was in part because, for some reason, they did not have full use of the house. Laura would partially explain this on February 1, 1898, by writing that they lived "in this small part. How much we need the whole house, but by the time we get it shan't need it, perhaps."[51]

The small farmhouse was a place for work, rest, and socializing. It was also the refuge for all of Laura's wayward grown children. In the previous entry from Christmas Day, in which Laura both wrote about the Christmas feast and questioned the ability of a farm wife to be perfectly happy, she concluded the entry by noting that Louise and Ben had returned, "& Ben popped corn in the eve." In combining notations about a variety of subjects, the diary entries themselves often demonstrated the blended

functions of family, work, and leisure the farmhouse Laura managed had to accommodate.

Laura's difficulties in doing all of this continued throughout that winter. On January 30, 1898, she wrote, "S– wants breakfast now at 6-30 a.m." This created problems for Laura. "I have always tried to plan the house work and meals to best accommodate his work," she told her diary. "But now Lou is here with two such little small chil[dren]."

As Laura explained in her diary just two weeks earlier, "Now John is gone he has everything to do and 8 cows to milk." It was too much for Samuel. Laura wrote, "I have wanted him to sell some [of the cows] as they came in [to their milk] so he wouldn't be left like this but he wouldn't and now we must wade though."[52]

With John out peddling, Laura and Samuel were the only full-time employees on the farm. Laura was occupied running the farmhouse, although when winter passed it would not be unusual to find her outside, driving the cows from the fields into the barn at night, helping in the fields if needed, picking berries, tending the chickens. However, now, in the winter, Samuel seemed to work outside alone.

He now had so much work that he needed to start earlier each morning, and wanted a hot breakfast before beginning his chores. Louise and her little girls were not ready for breakfast so early. The problem, Laura explained, what that "I can't accommodate both."[53]

In addition to cooking meals that day, Laura wrote that she "Gave Martha bath before breakfast." The work taking care of her granddaughters was as disruptive to Laura's normal work routine as Samuels's change in the milking schedule.

However, the entries about Samuel and the cows contained a deeper issue than just the

schedule change. In them, Laura reveals that because Samuel was now so busy he could not help her with heavier tasks, such as working the lard.[54] In her January 11th entry, she describes this as strenuous work, and she implies that like turning the wringer on her washer for her, this was something with which Samuel normally helped.[55] On this day, however, Samuel was busy picking over apples and looking after the cows, all without the help of the missing John. Laura wrote, "I finished the lard alone."

The number of tasks Laura records doing alone is significant, especially when her grown daughter Louise was now living in the farmhouse. Why Louise did not substitute for Samuel, as Laura's assistant, Laura does not explain. Instead, she described in her diary the time spent, "Straining and squeezing scraps. My hands are very painful."[56] She later took a hot soda bath and then packed her hands, arms, and shoulders in hot soap stones to relieve the pain.[57]

Theoretically, Laura's housework should have been getting easier: there were advances in household technology throughout the nineteenth century, and as a woman living at the end of the century, she should have had access to these labor-saving devices. However, evidence from the New England farm women's diaries indicates that rather than regularly replacing or updating items, most things were instead used and reused until they could no longer be repaired or recycled.[58] While texts about the history of housework include extensive information about advances in technology, New England farm women's diaries do not record their ability or desire to keep up with such advances. Indeed, on January 11, 1898, when Laura Burrows was especially tired from working the lard, she longed not for new technology or instruments to help her, but for "a wire strainer like mother had."[59]

As a result of Samuel's inability to find time to help her, and the work of taking care of her

granddaughters, Laura fell behind on her housework. On January 30th she would write in her diary, "I succeeded in getting pigs head & feet cleaned & on to boil yesterday." This project was long overdue. Laura noted that she only attended to these pig parts "after being around almost a month."[60]

Laura did not really have time to catch-up, however. Mattie's school closed at the end of January, and she came home. On February 1st, Lisa also came home. Laura told her diary, "Lisa has been unpacking, but there is no room for so much collateral." Then, on February 3rd, Ben arrived in a snow storm.[61]

On February 14th, after a visit lasting nearly two weeks, Ben left. However, Laura was sad to see him go. She wrote, "Ben has been gone only since a.m. but how we miss his cheery helpfulness."[62]

The next day she told her diary, "Lou. is sick. Thinks she took cold yesterday. She rode up a piece with Ben, then walked back". Louise had "also hauled Martha out, and went out with Lis. to hang clothes. Putting on but little extra clothing." Laura concluded, "She is so careless."[63]

Laura blamed Lou for getting sick, and for making extra work for Laura. Now Laura would have to help Lou get well. She would do so while taking care of Lou's two babies, and managing her regular housework.[64]

The next day, Laura was morose. Laura wrote in her diary, "Shall hope to have some liberty this summer to finish up work began and get ready to go home–my eternal home."[65] Laura was ready for Heaven. She thought she wanted to die, but first she had to get her earthly house in order.

However, a few days later the news that the warship the Maine had been blown up created a diversion from these musings. Laura's diary entries usually focused on family and work. However, on

this day she wrote, "Great excitement as to what was the cause of the explosion."[66]

Talking was a great diversion, and discussing news about the sinking of the ship near Havana, Cuba, would perhaps keep the family entertained during the snowstorm that began the next day. On Sunday, February 20th, Laura wrote, "S–, Mattie & I went to S.[unday] S.[chool] tho' it was snowing some." When they arrived, they found themselves alone. Laura wrote: "No minister." Laura volunteered as a Sunday School teacher, which may explain why she tried to go to church that day.[67] However, without the minister there was nothing to do but come home again.

Perhaps they should not have been surprised that the minister could not get to church. The snow had been disrupting things for several days. She continued her entry, "Mrs. Joseph Bracketts funeral was last Wednesday altho' it was so stormy and drifted but few could get there." Later in the day she noted, "Still snowing, and sounds like another North Easter."[68]

The noreaster did come. Laura wrote, "Still storming and we are literally 'shut in.'" Two days later, she noted, "Still storming and furiously just now. Trees are just loaded with snow, and every thing around looks like the Klondike."

The time shut in the house gave Laura and Louise time to talk about their working and living arrangements. Laura reported in her diary, "Lou. wants me to go to her home and take care of children next summer and let her go off with Ben." Laura refused. She told her diary, "If I felt strong enough I would gladly." For taking care of the two small girls and looking after Louise's house, Laura noted that Louise "Said she would give me 2.00 per week."[69]

A few weeks later, Ben would also approach Laura. Like Louise, Ben picked a bad day.

When Ben proposed his plan it was pouring rain and Samuel was sick. On March 13th, Laura wrote, "So rainy and bad no one went to church. Ben. wants to take Lou. to the Islands with him, and leave the children here."

While Louise offered to pay Laura, Ben did not. Ben wanted the children to stay in the house with Laura, as they were now, with Laura caring for them, bathing and feeding them, for free. Laura liked Ben but she refused.

Trying to navigate a family relationship while acknowledging the very real work involved, Laura wrote, was difficult. She told her diary, "I wish I felt <u>able</u> to have the care of them day & night." Laura's diary shows that she consistently felt more able to refuse additional work if she could prove to herself that it was bad for her health to work so hard. Her entry continued, "but no one knows how hard it has been for me to hold myself up through this winter."

Laura was worn out. At fifty-eight, her husband just turned sixty, Laura did not expect all of her grown children to crowd into her household, Louise bringing her husband and two children with her. She had not expected the amount of laundry, cleaning, baking, cooking, child care, noise and intricate family relationships she had dealt with that winter.

However, the next day Laura wrote, "<u>The</u> <u>clouds</u> <u>have</u> <u>cleared</u>." Speaking both metaphorically and of the weather, she wrote,

> I looked over before going to bed, in my little Day Book of "Strength for the Day" and among other good things it said "Trouble & perplexity drive us to prayer and prayer drives away trouble and perplexity so I found in a.m. for Ben had decided to go to Bridgeton taking brushes with gum. and the sun shone brightly and the air was clear. S– seems more cheerful . . . Lou washed but I told her to leave Ben's heavy clothes for me to wash in machine.[70]

For this first time, Laura wrote that she was glad to see Ben go, taking trouble and perplexity with him to Bridgeton, along with his brushes and spruce gum.

That night, Laura wrote in her diary, "The northern lights burn all over the heaven . . . a brilliant sight of real fire works."[71] Whether Laura's change in mood was due to her night of prayer is hard to ascertain. However, it was possible that Laura was more cheerful because she was anticipating a lightening of her workload. She had learned that Louise, Ben, and Mona would soon be moving out.

On March 19, Laura wrote in her diary, "They are planning to move back next Mon." Laura really wanted them to go. She wrote, "Hope it will clear & be a nice comfortable day Mon. for them to ride in."[72]

Ben and Louise left on schedule. Mattie and Lisa went, too.[73] Everyone was gone, except one. Laura wrote, "Martha was left with me." Twice Laura had told Louise and Ben that she did not want to assume full responsibility for their children, but they left her with Martha just the same, even though Martha was ill.

And so Laura, Samuel, and the baby were left in the farmhouse. Laura noted, "Only three of us in the great house where there has been so many and so much noise."[74] The house which all winter had seemed too small, now, suddenly, was not just larger, but "great."

The next day, taking care of little Martha did not go well. Laura wrote in her diary, "Martha's cold has made her more fractious and troublesome." Laura wrote that, "She kept me awake through the night quite a good deal." Laura was tired, and rested the next day, noting, "I lay down when she had her nap in p.m. and got some sleep."[75]

On the 24th, Laura wrote in her diary about why Martha had been left behind. Ben and Louise "Had painted their kitchen & sitting rooms, to have it done while Martha is away." They knew how hard it was to manage their work when Martha was underfoot.[76]

On the 26th Ben came and took little Martha home with him. Laura wrote, "It seems so good to be quiet again tho' I have enjoyed the children." Laura said she liked the children, she just did not feel able to care for them in addition to her usual daily work.[77] As she explained, "I have used up my nervous strength."[78]

By the next day, Laura was ill with a cold, perhaps catching it from little Martha.[79] Lisa returned, and she now seemed ill too. John came home from peddling on March 24th in what Laura called "a sudden appearance."[80] With Mattie away at Louise and Ben's house, and Lisa and Laura both ill, the men cooked for themselves. Laura wrote in her diary, "John and S– got their own dinner." Laura did not comment on their cooking, but did note "I didn't eat any."[81]

March turned to April and still Laura was not feeling well. On April 2nd, Laura wrote that "Lisa is in kitchen doing Saturdays baking. She will now have more of a realizing sense of what a house keeper has to go through with."[82] Lisa, who knew how to bake, did her own sewing, and helped her sisters with their wash perhaps had a greater understanding of housework than this entry would indicate. But it was not the housework that Laura wanted Lisa to learn about, it was the "house keeper." In the Burrows farmhouse, that housekeeper was Laura. Laura's believed that there was a difference between doing some of the chores, and being a housekeeper. Housekeeping is difficult, skilled work.[83]

However, while Laura was ill she only gave Lisa *some* of the housework to do, thus only

showing her part of "what a house keeper has to go through with."[84] On April 18, Laura tried to catch up on the laundry. She wrote,

> I washed. . .kept back a lot of clothes when Lis. washed when I was sick so had a tremendous wash. but got thro' it before 3 p.m. and lay down after dinner to rest before renewing attack on the heaping basketful of colared clothes. only 6 mens shirts besides winter night dress drawers & stocking unnumberable aprons petticoat for Mat. comfort cover. . .Lis wanted to wash white clothes by hand and let me take colored with machine but it would necessitate pumping lots more water and S– was gone so thought it best to go on as usual. She washed some of her bedding by hand.[85]

Lisa proposed a way for the two women to accomplish the heavy washing, but Laura refused. Instead, Laura did almost all of the wash herself, without Samuel to pump water or turn the wringer for her. Lisa washed just some the bedding.

This decision was typical of Laura's work patterns. She did not like to do communal work. She also did not like to delegate work. Because there were few occasions when she asked family members for help, most of the work was left for Laura. Why? Why did Laura believe that if she wanted something done right, she had to do it herself?[86]

The few examples in her diary of delegating work came when she was occupied with the wash, or was ill. For example, on December 7, 1897, she washed all day and the rest of the family had to pitch in to help with the other chores. She wrote, "I did the family wash today but S-- washed a.m. dishes for me and Louise got the dinner." On December 18, 1897, she wrote, "Got so very tired yesterday took things easy today. Mat washed dishes and Louise did cooking. I cut apples put beans in swept &c."[87]

On the occasions when she would turn housework over to her daughters, Laura only gave them

part of the work to do. Laura not only held some of the laundry back from Lisa while she was sick in April, she also did not assign her all of the baking. On April 2nd, Laura had written that Lisa was "doing Saturdays baking." However, on April 5th Laura went into the kitchen and made loaves of "yeast bread." Her explanation for this was, "Have wanted some so much."[88] She would not have wanted it "so much" if Lisa had just made some. It is possible that Laura had asked Lisa for the yeast bread, and Lisa did not make it for her, but it seems likely from the pattern of her entries that Laura did not ask.

Laura periodically complained in the pages of her diary about how her daughters did their housework. From Lisa's insufficient baking, to Louise using the last of the soap during her wash day or catching a cold while hanging out the wash without wearing warm clothing, to the noise the girls created when they did their housework and unpacked, Laura noted her daughters' shortcomings in her diary.

However, Laura's entries are about more than three young women whose work displeased her. She wrote in her diary that her daughters simply did not understand what it was like for her to be the housekeeper in a bustling household. They came and went, but none of them stayed long enough to establish work routines, and none of them were mistresses of their own households elsewhere. Louise had even asked Laura to come run her household, so she could go off with Ben.

While Laura was at times displeased with her daughters, she often praised Ben's housework. She wrote in her diary, "Ben. is as handy as a woman about house, and with the babies."[89] Once when he left, she wrote, "Ben has been gone only since a.m. but how we miss his cheery helpfulness."[90] She had not written similar laments when her daughters had left for their schools.[91]

Why she preferred Ben's helpfulness to her daughters', she did not record. It is possible that

the girls were good or at least competent at housework, but they simply did it differently than their mother. It is also possible that they did their work below their mother's standard so they would not have to do much work. Such stories may reveal what Susan Lasner has termed "the subversive use of incompetence": women who escaped domestic chores by becoming unable to perform them, either by refusing to learn the necessary skills, working unsatisfactorily, or by becoming physically unable to work.[92] Whether or not her daughters were competent in their housework is not clear in Laura's diary.

What is clear, however, is that Laura preferred not to work together with any of her daughters. On March 12, a foggy and rainy day, Laura had recorded in her diary that she had "Baked beans, brown bread, apple pies & custard pie." She also noted that she "Made yeast bread. 7 loaves," and that she "Mended all p.m." She did these tasks alone, and then "Mat. got dinner. Lou. got supper."[93]

When Louise had lived at home, Louise had done her own washing and ironing, usually the day before her mother's laundry day. And on April 18th, when Laura had so many loads of wash to do that she had to rest afterwards, she and daughter Lisa did wash separately. On July 5th, after a day spent picking, hulling and canning seven quarts of strawberries all by herself, she would explain this. "Am very tired," she told her diary, "but can work so much better alone."[94]

That Laura preferred to work alone undoubtedly increased her workload. Most farm women's diaries reveal that women worked together on such weekly chores as laundry, like Laura's daughter Louise. Louise also liked company while she worked, something Laura did not enjoy. On March 2nd, Laura had written in her diary that "Mrs. Atkinson came this a.m. also Lelia, called." The women not only called, they stayed. Laura wrote, "Mrs. A– stopped until 4 p.m." It was a busy day at the

Burrows house, but the housework continued around the visitors. Laura wrote, "Louise was washing, but with so many here she seemed to enjoy herself."

It was not Laura's laundry day. Laura wrote, "I went a piece with her [Mrs. Atkinson] on the crust." Perhaps the sudden visitors inspired Laura, for she decided to pay calls. "Called at Mrs. H– and at Mrs. Bretts," she wrote, "both were gone, of course."[95] Laura went home.

While Laura wrote that they were gone "of course," women often paid impromptu visits and found friends willing to welcome them. Laura's diary entry from March 2nd does not indicate that her guests were expected, but they were invited inside nonetheless.

Calling on other farm women was both social and practical. Farm women were an importance source of physical, financial, and emotional support for one-another.[96] For example, on December 16th, Laura had noted in her diary, "Took up some beets to Mrs. B-- She gave me 3 cabbages." While visiting Mrs. B., Laura may have learned new gossip, heard news about Mrs. B.'s family, and enjoyed the company of another woman. She was able to trade extra beets she did not need for cabbages.[97] Trading removed the responsibility for being self-sufficient, something which was so labor-intensive as to be impossible. On December 28th, Laura wrote in her diary that she traded at the store. She "Signed for a clothes horse at .60 to pay in apples."[98]

Trading and sharing had a social component, but also created the ties necessary for communal help. Communal help networks were activated in a crisis, when men and women in the community came together to offer free food, labor, and health care.[99]

Laura had written about the activation of a local neighborhood's communal help network in her

diary on February 18, 1898. Mr. Spiller told her "how the friends in the other neighborhood made him a donation." Laura explained in her diary that this was necessary because, "He has had a great deal of sickness in his family of late years & and is a hard working man." Laura wrote, "I am glad they helped him."[100] Donating goods and services to a needy person occurred outside the growing traditional cash economy of rural New England that scholars have documented.[101]

Farm people had other production and survival mechanisms which also occurred outside the cash economy. This was the process of recycling, remaking, or reusing materials to avoid the purchase of products. Certainly trading goods for goods allowed farm people to procure what they needed without expending cash. However, if new items could be produced by reusing existing items, no trade was required.

In Laura's diary, several items where created through this process. For example, on January 8, 1898, Laura had written in her diary, "Lou. has made me a nice waist out of the crepe dress Flora gave me long years ago which Lisa had made for Gorham school."[102] Years before, Flora had given her used dress to Laura, made it over and wore it, and then gave it to Lisa who made it over and wore it. She gave it back to Laura, who had Louise make it into a shirtwaist.

It was just one dress, altered three times, worn by three women before coming back to be worn by one of the women over again. In each incarnation, the dress had been slightly different. But when Lisa was done wearing it, Louise's sewing skills updated it to the new fashion. The material was still good and Louise was skilled enough to modify the dress one more time. That Laura recycled old clothing is not surprising: her diary was written in the margins of a previously used book. While she may

once have bartered with Flora to originally get the dress, now it cost nothing.[103]

It is difficult to assign a monetary value to the skill and time Louise used to remodel the dress for her mother. Laura does not record paying Louise for this work; and Laura had already given free childcare to Louise. Perhaps Louise offered to help with the dress because she wanted to repay Laura. Laura's diary entries indicate that she was a skilled seamstress, and could have worked on her own dress. However, reciprocal volunteer labor was a common work strategy women employed.

This is not Laura's only entry about remaking a dress. For example, on November 29, 1898, Laura had written, "I mended up my old waterproof for a working dress for one more winter." Samuel also remade and reused things, as an entry about him making a horse blanket from old bran sacks, discussed earlier in the chapter, indicates.

When material was too worn to be reused as clothing, it could be cut into pieces for quilting. Thoroughly faded or worn fabrics were torn into strips, and then woven into a rug. On February 2, 1898, Laura wrote, "Have been working a little on rug rags."

These examples in Laura's diary of her ability to rework and reuse materials, along with a communal help network activated to provide a donation party, and her notations about the trading networks, are all part of a previously unidentified economy, which for the purpose of this study is termed ***the hidden household economy***.[104]

The hidden household economy was the use of materials, skills, labor, or resourcefulness to provide needed objects or services without using cash to procure them.[105] Evidence of participation in this non-moneyed economy reoccurs throughout the farm women's diaries, and occurred alongside both

the existing barter economy as well as the growing moneyed economy, supplementing farmers' financial resources. Proficiency in this hidden household economy was an important part of farm women's work in maintaining their families.

That Laura worked on her own and recorded this in her diary allows the study of a variation in women's work patterns: Laura worked alone, her daughters worked together. While Laura's choice to work alone even when it increased her own household duties was unusual, Laura's daughters routinely did their chores together. Lisa and Mattie often helped Louise do her laundry, and hung out the wash together.[106]

When Mattie went away to school but Lisa was not finished making new clothes, Laura wrote to Mattie and "Told her she better come home and help Lis. about her sewing."[107] In urging her daughters to sew together, Laura was encouraging them to learn some of the skills of from hidden household economy. By working together to make clothing, the sisters avoided paying a seamstress to help make the clothes that would ready them for their new jobs.

The girls finished making their clothes and on May 9th, Laura wrote in her diary, "S– took girls to their schools. Started at 6-30 a.m. Got back at 10 a.m. Lis to South Otisfield and Mat. to Oak Hill."[108] They would board out during the week, while they taught, and return home on weekends.

With her daughters out of the house, Laura engaged a hired girl named Isabella. On May 25th she wrote of Isabella, "She is good help in the house cleaning and does her work well so far, and tries to do the work as I want her to do."[109] Laura and Isabella appeared to get along. On June 6th, Laura would write, "Isabella told me a great secret about herself. I appreciate her confidence, and hope she

will make no mistake. Gave her some potatoes and a hat."[110] Unlike most hired girls, Isabella did not live in but came when Laura needed extra help.[111]

With the arrival of Spring, and Isabella's help with the housework, Laura was able to work on her garden. On May 26th she wrote in her diary, "Put the dalias in the ground, also sowed seeds in flower garden."[112]

In the diaries of younger New England women, other outdoor work often including helping with field work, and raising chickens or other poultry. Work with livestock could include milking or driving cows, churning butter, and washing the pails and pans. Additionally, when young animals were rejected by their mothers, women's work could also include bottle feeding or otherwise caring for the animals to help assure their survival. [113] While Laura does not record helping with any of these farming activities, it is not clear from her diary if Mattie, Lisa, or Louise worked outside when they were home. When Mattie and Lisa returned home on the weekends, when they would have been able to aid Samuel with some of his tasks. Because son John was away peddling, it would not have been usual for the daughters to help out.[114]

Indeed, soon after Laura's daughters left to begin their new positions as school teachers, they returned home for the weekend. They were upstairs rearranging things. According to Laura, "The girls have been moving upstairs, also finishing the front chamber arrangements." However, Laura wrote, "oh I shall be so glad if I ever can get the whole house in order before I quit this mundane sphere. Disorder and confusion in anything tire me so."[115] When her daughters were home, they seemed to displease Laura just by being there, by adding to the "disorder and confusion." However, their work habits

irritated her, too. On June 4th, Laura wrote of Mattie in her diary, "She will insist upon sitting up to trim a bonnet. Shall not take half the pleasure in wearing it, as if she would go to bed in decent season."[116]

Laura was happiest when she when in the farmhouse alone. On May 9, 1898, after both Lisa and Mattie left home to begin teaching school again, Laura was particularly happy. Of the house that previously had been so small and noisy, she now wrote, "How pleasant the kitchen is now with clean plastering, paint and paper. How much little done adds to the comfort and pleasantness of things." Home alone again on June 23, she wrote "I am all alone in this great house but never lonely. The sun is shining on me while I write – the birds singing in the trees by the door and I am very happy in the new clean p[l]astering of the kitchen."[117]

A few days later she would learn that Lisa and Mattie had been offered their schools again for the fall. When a letter from Louise with pictures of little Martha and Mona arrived that week, Laura wrote, "was so pleased to see them I laughed right out."[118]

Laura would get part of her wish for solitude. In the 1900 Census, only twenty-five-year-old Mattie was still living at home with her parents.

Postscript

There is a term what is written in book margins: marginalia.[119] However, Laura's writings are not reactionary or supplemental commentary on the Poundkeeper's recordbook. Instead, her writings created a diary: a record of her life and her work. That she wrote her diary in a previously used book is

but one example of her ability to recycle objects, to create what she needed out of the objects she found around her. Her diary book itself is then an example of the hidden household economy in which she participated.

Laura Burrow's diary is, among other things, a record of a variety of types of women's work. The work of maintaining and caring about her family mandated involvement in family relationships, but it is also involved the physical work of providing for their daily needs. In her diary, Laura created a record of all of this. She wrote about cooking, baking, canning, mending, sewing, recycling, gardening, cleaning, washing, child care, and care of the sick, all of which demanded a variety of skills. In addition to daily tasks, she wrote about seasonal work such as how she and her daughters created holiday the feasts for the family which formed the basis for their celebrations and socializing. Laura referred to herself as a housekeeper, and she did not record any farm work outdoors besides gardening, but Laura was aware of what her husband did outdoors on the farm. She made notations in her diary about Samuel's work, and recorded current information about the cows and other livestock.

While all of this was accomplished on her farm or within her farmhouse, Laura also had work to do outside the home. She volunteered as a Sunday school teacher, participated in the Grange and the Women's Christian Temperance Union, attended church, and socialized with neighbors, thus building and maintaining necessary community ties. She traded surplus goods with other women and at the local store to procure things she needed in running her home and providing meals for her family.

She was, it is fair to say, a busy woman. She often wrote in her diary that she was tired. And yet she took pencil to paper nearly every night, and created a record of her life and her work. Why she

chose to do so seems puzzling in light of how many things she had to do each day. That Laura made the time to write, rather than that writing was an occupation to fill unused hours, is clear. This effort to make the time to keep a record is typical of all of the New England farm women's diaries consulted for this paper. All created records of hard work involving busy families and farms. Because of this, it is not surprising that their diaries can be described as records of activity.[120]

However, their writings were much more than that. They are they only extant first person records of nineteenth-century New England women's farm life. They are evidence of the expanding nature of and reasons for nineteenth-century diary-keeping. And by their blended records of work and family, these women's diaries challenge definitions of labor history and what has previously been known about work in the home.

Finally, farm women's diaries, such as this diary kept by Laura Burrows, provide clear evidence of another, previously undocumented economy: the hidden household economy. It was this economy of reuse, recycling, and remaking items that supplemented the barter and cash economies which appeared so crucial in the diaries. It is this economy which women's writings record and must be studied further by scholars not only to understand farm life but the full scope of the larger American nineteenth-century economy.

Perhaps the most obvious and yet overlooked aspect of the hidden household economy is all of the daily goods, skills, and services farm women like Laura Burrows routinely provided to their families, free of charge. These same skills, should farm women choose to market them in their neighborhoods, would bring in cash when provided in the form of work as seamstresses, washerwomen, or hired

help.[121] Because their own families did not have to pay them for rendering these same services, the farm families thus avoided expending scarce cash reserves. However, any skill a farm woman could not or would not render for her family had to be procured on the market.

While these things might be easily said of any region of rural America in earlier era, even into the late nineteenth-century in New England farmhouses were still workplaces. Farm wives instructed their young daughters and hired girls in housewifery, thus transferring knowledge.

Having more than one female per household who could manage tasks however, sometimes had the paradoxical effect that the household became less efficient, because when daughters were grown, it was more difficult for the farm wife to direct the daughters in their work. Grown daughters saw themselves as proficient, but also increasingly as separate people, independent of their mothers and the family unit, able to determine for themselves what hours to keep, and what standards to use in evaluating work. By mid-century, the rapid changes in even rural New England began to create a pronounced generation gap between mothers and their daughters, making the farm wife more like her own mother than her daughter in her technological proficiency and outlook.

When grown daughters lived at home well into adulthood, the mother-daughter, boss-worker, age-youth dynamics became contested in the space of the household, and more specifically the kitchen. Kitchens are key examples of environments where conflicts over knowledge embody identity issues of gender, family role, class, and age.

Endnotes

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1. Animal pounds were not unique to Maine. Most rural towns in New England had an animal Pound. The Pound-keeper was the person in charge of quartering escaped animals until they could be reclaimed by their owners. Loose animals could be taken to the Pound by a "field driver" or by persons finding loose animals on their property. If no owner came forward, a notice was placed in the local paper or public areas asking the owner to come forward. Unclaimed animals could be sold at auction. When an animal was claimed, the owner paid any damages the animal had done to the property of others, a fee for feed the animal consumed while in custody, and usually was assessed an additional fine based on the poundage of the animal. It was this fee based on the weight of the animal which gave the Pound its name. Further information about Hog Reeves, Field Drivers, and Pound-keepers can be found in Samuel Freeman, esquire, *The Town Officer Fourth Edition* (Boston: I. Thomas and E. T. Andrews, 1799), pages 166, 169, and 167 respectively. See also Benjamin Kingsbury, Junior, *The Maine Townsman, or Laws for the Regulation of Towns. . . Eighth edition* (Portland, Maine: Published by Sanborn & Carter, 1860), especially Title VIII, parts 1 through 6, explaining the regulations for the town pounds, pages 233-234. These books are in the collections of the Maine Historical Society.

2. Why this diarist chose this book of all books for her diary, and what the record book meant to her is not explained. While the diarist lived in Otisfield, the Pound-keeper's record book was from Minot. The book had been used by various Pound-keepers between 1855 and 1876. By the time she picked it up, and recorded her first diary entry, the book had not been written in for over twenty years. How then did she find the Pound-keeper's record book? Was it a place to hide her diary, among the margins of a discarded book, or was it a place to ensure that her diary would be found, when the record book was discovered missing and then reclaimed? The final Pound-keeper listed in the book was O. Robertson. It is possible that this person was related to the diarist, as we do not know her maiden name. In later entries, she notes receiving money from her father's estate. It is possible that this book was part of her inheritance from that estate.

3. As this diarist was unusual in creating much longer entries than the other diarists' work consulted for this study, some editing for space is necessary in the quotes. Deleted portions are represented by ellipses, appearing as ". . ." Deleted portions represent editing for space rather than content. An interlineations or parenthetical notes appearing within the quotations are by the diarist. Any editorial insertions by the author of this paper which appear within quoted matter appear in brackets, as [ ]. All diary quotes unless otherwise noted are from the anonymous diary in the Pound-keeper's recordbook, Otisfield, Maine. Diary quoted by permission of The Winterthur Library, Joseph Downs Collection of Manuscripts and Printed Ephemera. Please note that since informing Winterthur of the results of my work on this diary and my reclamation of this diarist's identity, the diary may now be accessed in the Winter catalog by the diarist's name. See later notations in the text regarding this.

4. November 19, 1897.

5. Ibid.

6. See chapter 7, "A Holiday for the Nation," which is primarily about Christmas, but also contrasts Christmas with Thanksgiving, in Penne Restad, *Christmas in America: A History* (New York: Oxford University Press, 1996, 1995), especially pages 94 and 98. Quote from 94. For a text on the history of Thanksgiving, see Paul Dickson, *The Book of Thanksgiving* (New York: A Perigee Book, 1995). For a text about the creation of America myths and ideals, see John R. Gillis, *A World of Their Own Making: Myth, Ritual, and the Quest for Family Values* (Cambridge: Harvard University Press, 1996), especially page 104, which discusses Thanksgiving.

7. For a broad study of all of rural and farm life in America, see Lee Benson's *Merchants, Farmers and Railroads* (Cambridge: Harvard University Press, 1955) and Paul Wallace Gates *The Farmer's Age: Agriculture 1815-1860* (New York: Holt, Rinehard and Winston, 1960) and Fred Shannon *The Farmer's Last Frontier: Agriculture 1860-1897* (New York: Toronto, Farrar, and Rinehart, 1945). Written before the women's movement of the 1960s, and before Women's history gained a foothold in the American historical profession, these works largely ignore women on farms. The few references to women in these texts are derogatory, viewing women as liabilities rather than assets to family farms. However, for the information they provide about changes in the economy, farming technology, and legislation which affected farms, these texts are useful. An excellent source which looks at rural women, men, and change over time, is Steven Hahn and Jonathan Pride, *The Countryside in the Age of Capitalist Transformation* (Chapel Hill: University of North Carolina Press, 1985).

8. Further entries reveal that the diarist lived in or near Otisfield, Maine, and that her husband S-- was named Samuel. John was both her only son and eldest child, "L. & M." her daughters Louise and Mattie. Ben would prove to be Louise's husband, the "babies" Louise's young daughters Mona and Martha. It was her son John, then, who would fetch the cow from his brother-in-law, Ben, for his father, Samuel. It was daughter Mattie who went to Ben's house to help her sister, Louise, ready that household and the two young children for the impending time away to celebrate Thanksgiving at the diarist's home. It was the diarist's daughters Louise and Mattie who would "make the Thanksgiving," while the diarist took care of her two very young grandchildren, Martha and Mona. Other than the visiting grandchildren, the diarist did not seem to have any young children living in her home. Her diary reveals that she recently relinquished the care of a young girl named Sybil. Her first entry continues, "I am so glad Sybil is gone. It has been such a relief to me since she went home. and I want to remember never to take care of another girl. I am too nearly worn out to have the burden and tax of a child to care for. clothing and all. especially a girl." These notations about Sybil reveal that the diarist felt herself too old or too far past the stage in life when she could adequately care for a child, and for some reason, perhaps because she had already raised several daughters, "especially a girl."

8. For information about decoding diaries through mapping, see Bettina Aptheker, *Tapestries of Life: Women's Work, Women's Consciousness, and the Meaning of Daily Experience* (Amherst:

University of Massachusetts Press, 1989).

10. The unpublished New England household and farm account books consulted for this study on work, created by both men and women, are listed in the Bibliography.

11. While diaries were often signed inside the front cover by the diarists, women did not typically sign other types of their handiwork. See Mira Bank, *Anonymous Was a Woman* (St. Martin's Press, 1979), which argues that women's art has been anonymous and has only recently been recognized as art. Much of women's art, such as cooking, has been eaten, or worn out, such as clothing or quilts. Because women's arts were taken for granted, Bank argues, they were unsigned and largely unpreserved. For an interesting example of signed folk art, see the quilt on the bed in the upper bedroom in the Cudner-Hyatt farmhouse, Scarsdale Historical Society, Scarsdale New York. This autograph quilt is signed in each quilted piece by each one of the quilters.

12. In the 1880 Census, Laura was the mother of four young children: John F., aged twelve; Hattie L., aged nine; Lucy C., aged seven; and Martha P., aged five. The 1890 Census burned, so it is not possible to find out who was living in Laura's home then, and perhaps clear up the mystery about daughters Lisa and Louise, who are not listed in the 1880 Census but appear in the diary. Perhaps Hattie L.'s middle name was Louise, which she used instead of her proper name. This would account for one of the daughters, especially since the diarist often mentions Louise but only mentions a "Hattie" once in the pages of her diary–this Hattie provided hired household help at the rate of ten cents an hour. Hattie Scribner provided paid cleaning services for the diarist on December 12 and 14, 1897. As Laura did not refer to her daughters with both first and last name (not even her married daughter Louise), and did not record paying them for their housework, it appears unlikely that this Hattie is the diarist's daughter. However, it is more of a stretch to assume that Lucy was the Lisa in the diary. While the diary mentions Lisa frequently, Lucy only appears once, suddenly, on March 20, 1898. The diarist wrote, "Mattie is upstairs & Lucy writing." The diarist did not mention Lucy specifically again. It is more likely that Lisa was another daughter born after Mattie, although she was probably the last child as Laura was already in her forties in 1880, when the census listed five year old Mattie as the youngest child in the house. Data from the 1900 and 1880 United States Census records for the family of Samuel Burrows [1880], and Samuel Burrow [1900]. Such irregularities in spelling are common in nineteenth-century census records; the ages and first names of the people correlate in both census records making a high probability that this was the exact same family and that the census takers simply misspelled the name during one of the years. In the 1880 census, Laura and her husband and children were living with Hiram Burrows, aged seventy-seven. It is probable that this person is Samuel's father. He was not directly mentioned in Laura's diary from 1897-1898. According to the census, he also was not living with them in 1900, which would be logical as Hiram would have ninety-seven in 1900, and was not likely to still be alive.

13. See entry for November 25, 1897. She did not mention that daughter Lucy was at the house, or

that she was absent. Lucy would not be mentioned in the description of the Christmas gathering at the household either, and would appear in only one entry much latter in the diary. Perhaps Lucy lived a great distance away and it was a given that she could not be there.

14. While this seems a logical assumption, not all New England farming [including men's, women's, and children's] diaries contained consecutive daily entries. Many had gaps or missing entries.

15. Based on the base ages provided by the 1880 census, which was taken in the summer, in November 1897, Laura and Samuel were in their late fifties. Other family member's ages would have been approximately: John, 29; Hattie Louise, 26; Lucy, 24; and Mattie, 22. Lisa, who would have been born after the 1880 census, but was old enough in 1897 to work as a school teacher, was probably between 16 and 18 years old. Mona was approximately eight months old, as she turned 1 on March 20, 1898. Martha appears to have been a toddler as entries discussed later in this chapter will reveal her cutting teeth and trying to learn her letters from alphabet blocks.

16. Details on the after-dinner activities from Laura's entry for Thanksgiving, November 25, 1897.

17. It seems probable that the elusive Lucy, who was only mentioned once, also did not live at home. On November 29, 1897, Laura wrote in her diary, "John took Mat. up to begin her third term on the Gore. (I hope she will enjoy it as well as last term)." For a first person account recalling the schools in Otisfield, and the Gore school in particular, see "Schooldays on Otisfield Gore," by Helen Brett Holt. Unpublished typescript dated 1984, S.C. Box 4, Collection 48, c.2., Otisfield Historical Society

18. She writes that son John had been living back at some since "a year ago last summer "in her entry of November 29, 1897. On December 7, 1897, she notes in her diary that he works as a traveling salesman selling brushes and spruce gum.

19. From entry for November 25, 1897.

20. This record of Laura's wash day is dated December 1, 1897. However, she begins the entry by writing, "Washed yesterday p.m." Therefore, the entry is about the previous day. For information about the history of soap for washing clothes, see chapter 6, entitled "Blue Monday," in Susan Strasser, *Never Done: A History of American Housework* (New York: Pantheon Books, 1982) especially page 117. Also see www.simplysoap.com/history. This site discuses the invention of some nineteenth-century soaps including famous soaps such as Ivory, as well as the founding of the Colgate company in New York in 1806, and the development of "dental creme" in 1877.

21. See chapter 6, in Susan Strasser, *Never Done*.

22. Laura seldom used adjectives in her diary. Therefore, that she specifically called the soap not just "soap" but "magnetic soap" was important; it likely referred to a brand name or particular kind of soap.

After sorting through a substantial list of finding aids in the Behring Center Archives, it seems probable that this company, who distributed their soap nationally, was the manufacturer of the magnetic soap Laura referred to in her diary. While many other companies made clothes-washing soaps, and multi-purpose soaps that could also be used for clothes, this was the only company I found for this time period who specifically called their soap "Magnetic Soap."

23. From an undated pamphlet issued by McCullough Soap Company, Milwaukee, Wisconsin. In box 6, folder 8, Warsaw Collection, Soap 1833-1953, National Museum of American History, Behring Center Archives.

24. Underlined portions appearing in quoted portions in the text were underlined by Laura in her diary. Dinner was the mid-day, rather than evening, meal.

25. She noted in this entry that she also had some of Sybil's clothes left to wash. Sybil moved out shortly before Laura began the diary on November 19, 1897. Why Laura still had clothing to wash for the girl, or when they were returned to her after the washing was completed, is not discussed in the diary.

26. According to page 1416 of *The Concise Oxford Dictionary* (Oxford: Clarendon Press, 1990), a wringer is "a device for wringing water from washed clothes." According to the History Channel's website [www.HistoryChannel.com, visited in 2002] , wringer-type washing machines were developed in 1861. This site also states that "many early washing machines cost less than $10." It also notes that "there have been more than 200 washing machine manufacturers in the United States," and that electric motors were added to washers for the first time in 1906; this means that none of the women in this paper would have had access to an electric-powered washer.

27. December 1, 1897.

28. Other New England farm women's diaries consulted for this paper note men helping with work, especially the wash. For some examples of this, see appendix 10, under the subheading "Men Helping Women with Work," in *Harvests of the Heart: Themes From the Diaries of Nineteenth-Century New England Farm Women*, by Christina Gessler, available in the American University Library archive, or through UMI.

29. For an excellent description of how women felt about and handled wash days, see Strasser, chapter six, in *Never Done*.

30. Examples of women's communal and cooperative work practices can be found in appendix 10, referenced above. See "Hired Girls," Helen Hedden's diary excerpt. Also see "Other Cases of Women Helping Women" [in the same appendix], specifically excerpts from the diaries of Maria Fifield, Ella Fisher, Sarah Forbes, Olive Davenport Leach, and Mrs. Smith.

31. Susan Strasser made similar findings in *Never Done*; see page 109.

32. According to Susan Strasser, "Nearly every writer of household advice made the same point: laundry should not be a one-woman job." *Never Done*, page 105.

33. Texts on the history of housework do not really discuss the mechanics of nineteenth-century washing machines, focusing instead on the experience of washing clothes. However, according to the website inventors.about.com [visited in 2002], the scrub board was invented in 1797, and in 1851 the first washing machine to use a drum was patented. Many washers were developed and patented in the nineteenth-century. However, the wringer washing machine was still made by the Maytag company until the 1940s. See the link on this website to the "Evolution of the Maytag Wringer Washer," from 1907-1940, including a time-line, descriptions of the machines, and photographs. Susan Strasser finds that the first washing machine to agitate the clothes was developed in England, and was first patented in the United States in 1846 (*Never Done*, page 116). However, she finds that the first such washing machines for home rather than commercial use appeared "after the Civil War" (page 116). The site laudrytoday.com [visited in 2002] has a link to archived editions of their laundry news. Volume four, edition 1 of the January 2000 edition newsletter states that powered washers were known prior to the creation of the electric washer, however those required animal [specifically donkey] power. It also notes that "by 1875 more than 2,000 washing machine patents had been issued, although many did not work."

34. See also Susan Strasser's similar discussion of this in *Never Done*, chapter 6, especially page 108.

35. According to Susan Strasser, "most models [of wringer washers], however, dispensed only with the rubbing; the few who owned them saved little time and not much labor." *Never Done*, 116.

36. See entry for December 5, 1897.

37. Laura, wrote, "Ben came back last night, and started for Auburn this a.m."

38. Laura provides this example of a man helping with child care. While this entry does not discuss the other kinds of help Ben provided, other New England farming diaries do show a variety of indoor tasks with which men occasionally helped. While communal work parties regularly brought both men and women together for work, such as apple or husking bees, men also helped women with some kinds of traditional women's work. See examples of this in appendix 10, referenced above. Also see *Life With Father: Parenthood and Masculinity in the Nineteenth-Century American North* (Baltimore: The Johns Hopkins University Press, 1998), in which Stephen M. Frank finds that men had a larger role as fathers than historians have previously assumed. He asserts that the emphasis historians have placed on the study of Victorian motherhood has muted men's roles.

39. She periodically notes that the children are fussy. For example, on December 3, 1897, she notes,

"The children kept Louise awake so she felt poorly." On December 13, 1897, she wrote, "Children have cried lots today." Breakfast information from December 6, and 7, 1897.

40. On November 25th, 1897 before Louise and the children had taken up residence, Laura had written, "the babies make lots of music, and are a great diversion to all of us." However, a few days later, the "music" had turned to noise. On November 29th, she wrote, "Martha whining all day." On December 3, 1897, she would write, "The children kept Louise awake so she felt poorly." That day, Laura offered extra help with the children, so Louise could rest. Laura wrote, "I got her to lie down while baby was having her nap. She felt better after getting up. I kept Martha in kitchen with me." Some of the fussing was due to teething. On December 7, 1897, she wrote, "Lou. discovered two new teeth Martha had just cut through. She has felt better." However, even after that, the crying continued. On December 13, 1897, Laura wrote, "Children have cried lots today." In that [December 13, 1897] entry she also noted that she had gotten the girls "a.b.c. blocks, pig & rattle", perhaps to both distract and entertain them, and so that Laura and her daughter could better attend to their work.

41. See entries for December 3, 7, 13, and 22, 1897. Also see March 22 and 23, 1898, for descriptions of little Martha's fussiness.

42. By the time Laura kept her diary, Christmas had become an established, respectable holiday in America. The early New England prohibitions against celebrating Christmas had gradually eased, as drunken revelry in the streets was replaced by tamer images of Santa Claus, Christmas trees, Christmas presents, and families gathered around the hearth. Christmas had not only been salvaged and turned into a holiday celebrated through-out the nation, but it had developed into an emotional, sentimental time. However, other than recounting what the family ate for dinner, Laura does not record how the family observed the Christmas holiday. For a discussion of nineteenth-century Christmases, see John Gillis, *A World of Their Own Making*. For information about both the preparation of and the importance of food in nineteenth-century New England, see Pauline Chase Harrell et all, *Arrowhead Farm: Three Hundred Years of New England Husbandry and Cooking* (Woodstock, Vermont: The Countryman Press, 1983). Also see Peter Benes, editor, *Foodways in the Northeast: The Dublin Seminar for New England Folklife Annual Proceedings for 1982* (Boston: Boston University, 1984); Charles Camp, *American Foodways: What, When, Why and How We Eat in America* (Little Rock: August House, 1989); and Sandra L. Oliver, *Saltwater Foodways: New Englanders and Their Food, at Sea and Ashore, in the Nineteenth Century* (Mystic, Connecticut: Mystic Seaport Museum, Incorporated, 1995).

43. Penne L. Restad, *Christmas in America: A History* (New York: Oxford University Press, 1996, 1995), 100.

44. For texts discussing the development of the Christmas holiday in nineteenth-century America, see John Baur, *Christmas on the American Frontier, 1800-1900* (Caldwell, Idaho: The Caxton Printers,

1961, 1993); Mark Connelly, *Christmas: A Social History* (London: I. B. Tauris Publishers, 1999); Sheryl Ann Karas, *The Solstice Evergreen: The History, Folklore and Origins of the Christmas Tree* (Boulder Creek, California: Aslan Publishing, 1991); Karal Ann Marling, *Merry Christmas: Celebrating America's Greatest Holiday* (Cambridge: Harvard University Press, 2000); John Matthews, *The Winter Solstice: The Sacred Tradition of Christmas* (Wheaton, Illinois: Quest Books, 1998); and Libbey Hodges Oliver and Mary Miley Theobald, *Williamsburg Christmas: The Story of Christmas in the Colonial Capital* (New York: Harry Abrams, Colonial Williamsburg Foundation, 1999).

45. See George Buday, *The History of the Christmas Card* (London: Spring Books, 1954).

46. As they progressed from courtship to marriage and/or motherhood, women's issues and concerns changed. Not all women were happy about or even resigned to the idea of marriage. As Lee Chambers-Schiller finds in *Liberty A Better Husband*, some women choose to remain single in this era, and society was becoming more tolerant of this choice. However, the majority of women married at some point in their lives, and with marriage came new responsibilities. For more on single women, see Karin Wulf, *Not All Wives* (Ithaca: Cornell University Press, 2000).

47. December 25, 1897.

48. Laura hinted in her diary about trouble in her marriage. On November 20, 1897, Laura had written about her disappointment when Samuel decided not to take her to a mock trial at the Grange after it had begun to snow. Although Laura was all dressed and ready to leave she did not disagree aloud about having to stay home. She wrote in her diary "but I said not a word and took [up] my sewing." Frustrated and disappointed, Laura wrote, "Such disappointments are so much easier to bear now than years ago. How many months and years there has been since I began housekeeping, that I've been <u>nowhere</u> but to church on Sundays." Perhaps that night it seemed true, but Laura's own diary records that she did get engage in leisure activities, doing things outside the farmhouse besides attend church. For example, on January 9, 1898, she would write in her diary, "We went to grange yesterday. brought Mattie home from her school Had a pleasant time. George Haskell & wife were out seat mates & at dinner. They are good company. Very rough sleighing." Laura proudly noted, "Mat's pupils gave the best part of the entertainment." In December, she intended to attend a meeting of the Women's Christian Temperance Union, but did not go not because of Samuel, but because at 4 degrees below zero, she found it too cold. Laura would go to the Grange on February 5, 1898, where they had "A supper of cake pie & coffee. . .Quite good entertainment." On March 9, 1898 she recorded that she joined the WCTU, paying fifty cents and taking the pledge. While this evidence indicates that she exaggerated the extent to which she was house-bound in her November 20, 1897 entry, her anger is clear. Anger would resurface on Thanksgiving night. Below the portrait of her family members engaged in reading, playing with Louise's babies, getting up a game of dominoes, and companionably sewing on a dress, Laura unexpectedly recorded a seemingly unrelated grievance with

Samuel. Laura's entry had continued, "I let S– have $100. of the money I had from fathers estate to turn in to Mrs. Lovell on his note. telling him he might give me his note and pay me the interest annually so I could have a little to clothe myself on. He agreed but has not said a word about writing me the note." It is not clear from this entry if Samuel borrowed the money from her that very day, or if the incident was simply on her mind. Directly after this notation, she wrote of another irritation, this time regarding the payment of a doctor's bill. She continued, "Dr Peables settled for $50. My money paid the whole bill. tho' my Drs. bill was only $34. and Lisa paid hers to her father long ago. I feel my sickness was caused wholly by what I was compelled to go through by others mismanagement for the year preceeding [sic] and I must suffer for it." That Laura received money from her father's estate is clear in this entry, and also that she hoped to retain control over it and possibly use it for herself to buy clothes, as she states, or for other purposes. When Samuel borrowed from this legacy, she was upset, but she did not press Samuel to write out the note. Instead, she turned to the pages of her diary. Did Laura hope Samuel would read this or other passages in her diary at some point, and realize how upset she was? Or did she tell the pages of her diary because she felt she had no one to listen? Why on Thanksgiving night was the doctor's bill troubling her? Was the holiday, a day for family-time and thankfulness for what one had, a depressing reminder to her of the problems in her marriage and what she was not thankful for? Women's personal writings about married life, as well as court cases, letters, and newspaper articles provide insight into a range of marital issues including love, childbirth, poverty, and abuse. For texts which deal with marital problems and discord in the nineteenth century, see A. James Hammerton, *Cruelty and Companionship: Conflict in Nineteenth-Century Married Life* (London: Routledge, 1992, 1995). Hammerton looks primarily at Britain. See also Dorothy Ayers Counts, et all, *To Have and To Hit: Cultural Perspectives on Wife Beating* (Urbana: University of Illinois Press, 1999), which examines violence between spouses in more than twelve societies. Also see Norma Basch, *Framing American Divorce: From the Revolutionary Generation to the Victorians* (Los Angeles: University of California Press, 1999). For a first person account of marital discord including incest, see Ann Taves, editor, *Religion and Domestic Violence in Early New England: The Memoirs of Abigail Abbot Bailey* (Bloomington: Indiana University Press, 1989). Like Burrows, Bailey occasionally uses religion in her personal writings to set up a dichotomy between herself as the pious but wronged individual and her husband as a person who does not faithfully follow God and the church. For an example of a diary entry when Laura Burrows does this, see Sunday March 20, 1898. In this entry she writes in part that Samuel, who in this entry she refers to as "--------," "has invited the devil in his heart and has sat down for a chat with him."

49. December 3, 1897.

50. For a sampling of nineteenth-century advice manuals consulted, see the bibliography of *Harvests of the Heart*, where family relationships and obligation are discussed in more detail in chapter 6. For a text bringing together a study of the family and the home, see Jane Nylander, *Our Own Snug Fireside: Images of New England Homes 1760-1860* (New York: Alfred A. Knopf, 1993). Also see Sally McMurry's study of what she calls progressive farm families, who continually changed their homes and

farming methods to meet the advice of prescriptive literature, and often generated their own prescriptive materials to inform less progressive families of the benefits of modernization, in *Families and Farmhouses in the 19th Century* (New York: Oxford University Press, 1988).

51. February 1, 1898.

52. Laura wrote about the milking situation on January 11, 1898. On January 23, 1898 she noted however that they had nine cows, writing with perhaps a touch of pride "It takes him just an hour to milk the nine cows alone." However, on March 10, 1898, she would write, "S– sold 3 heifers & 3 shoats this a.m. so now he has but 5 cows to milk. All he ever ought to have."

53. January 30, 1898.

54. On January 23, 1898, she wrote of Samuel "if he wouldn't pile on so much work as to keep himself tired all the time, would be very comfortable."

55. Several studies have been made about the history of housework in America, which in part has served as a challenge to professional historians who scoffed at the historical significance of housework and of housewives. For a comprehensive study of what nineteenth century housewives were told to do, and what they actually did do, see Susan Strasser, *Never Done: A History of Housework* (New York: Pantheon Books, 1982). For a study which covers a more expansive time-line and argues that technology has increased American women's time spent on housework rather than reduced it, see Ruth Schwartz Cowan *More Work For Mother: The Ironies of Household Technology from the Open Hearth to the Microwave* (New York: Basic Books, 1983). For a text which examines American women's attitudes about their housework, through a compilation of oral histories, see Eleanor Arnold, ed. *Voices of American Homemakers* (Bloomington: Indiana University Press, 1985).

56. January 11, 1898.

57. January 11, 1898.

58. For more examples of remaking, reusing, and recycling in nineteenth-century New England farming diaries, see appendix 8, in *Harvests of the Heart*.

59. Ibid.

60. January 30, 1898.

61. Laura wrote, "Ben walked in about 4 p.m. Left his horse at Dexter Andrews and walked on snow shoes from there. They had not got the road open altho' there were five men shoveling." In this entry, she noted that baby "Mona was really afraid of Ben. It has been some 5 weeks since he was here." February 3, 1898.

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62. February 14, 1898.

63. February 15, 1898.

64. However, just a few days before Laura had been sick, and then Lisa got sick, so it is possible that Louise caught something that had been going around the family. On February 7th, Laura had written, "my throat is sore." On February 8th, she noted that she was worse: now her "Throat is sore with head ache and fever." On that day she had also noted that "the girls" did all the housework because, as Laura wrote, "have no strength." On the 9th, she wrote, "Lisa had sick headache . . . She has been vomiting & is now on the lounge, feeling better." Similarly, when Lou got sick on February 15th, Laura wrote that she "Said her head ached all night and [is] sick to her stomach." February 7, 8, 9, and 15, 1898.

65. February 16, 1898.

66. Quote from entry for February 19, 1898. Like most New England farm women diarists, Laura did not often write about current or political events. Laura would write a follow-up entry on February 28, 1898, about the Maine: "Still great excitement about war with Spain. No official report as yet as to the cause of the explosion of the Maine, but the general opinion of the public is treachery." On April 28, 1898, after a break in her diary entries, she would write her final war entry: "haven't taken time to write in diary for have felt I must read war news." She was one of the female New England farming diarists to note political events in her diary. All of these entries were brief, shorter than entries about her housework or her disagreements with Samuel. However, this record of war news indicates that she, and possibly the other diarists, followed political events, even if they seldom pondered such things in their diaries. Laura's diary entry from February 19th, describing the "great excitement" over the initial news, coupled with her emphasis on *treachery*, indicate that she and her community members were discussing the situation with a level of interest her sporadic entries would belie.

67. Laura mentioned that she was a Sunday school teacher on February 6, 1898, writing, "S-- Mat. & I went to church. How much I enjoy my little S. S. class. They are all so interested and pay such good attention."

68. Sunday, February 20, 1898.

69. That Lou asked Laura to come for the summer is recorded on February 21, 1898; the Klondike quote is from February 24, 1898; Laura wrote that they were shut in on February 22, 1898.

70. March 14, 1898.

71. Notations about the weather and the temperature are common features of New England farming men's and women's diaries. However, notations like these about unusual things in nature, or the first

signs of the Spring, are also commonly found. While Laura might have found it useful to record the temperature or precipitation, she did not need to write about this aspect of the weather: the especially clear sky, the northern lights, the "brilliant" display. Such notations make an interesting contrast to the dense records of work created in most of the farming diaries, and particularly in Laura's. Her entry about the night sky reflects a change in her diary to a lighter tone than she had used all winter. From entry for March 15, 1898. "The girls" were most likely Mattie and Louise. However, on March 20 she also noted that Lucy was home. As she did not note Lucy arriving home, it is possible that Lucy and Lisa were two different names Laura used for the same daughter, that Lucy had arrived home but Laura did not note it in her diary, or that Lucy had been there for some time and while she was not named specifically was usually included under the category of "the girls."

72. March 19, 1898.

73. On March 21, Laura wrote, "Ben. Lou. Mona & Lisa started for West Auburn this a.m." Mattie also left the house, which Laura did not record in this entry. However, on March 22, 1898, she noted Mattie returning. It is not clear if Mattie went with her two sisters, or elsewhere.

74. March 21, 1898.

75. March 22, 1898.

76. March 24, 1898.

77. For example, on November 29, 1897, Laura writes of Mona, "It is a pleasure to hold her when she is so good."

78. March 26, 1898.

79. She discusses Martha's cold in her diary entry for March 22, 1898.

80. She writes of the sudden appearance on March 24th, 1898. She writes that she has a cold on March 27, 1898.

81. Quotes from diary entry for March 27, 1898. See other examples of men cooking for themselves in appendix 10, under "Men Helping Women with Work," in *Harvests of the Heart*.

82. April 2, 1898.

83. Indeed, historians now write that "housekeeping can be a complex task," and "that real skill and intelligence might be exercised in performing it." See the introduction to Laurel Thatcher Ulrich's "The Ways of Her Household," in Linda Kerber and Jane Sherron De Hart, editors, *Women's American, Fourth Edition: Refocusing the Past* (New York: Oxford University Press, 1995), page 37.

84. Ibid.

85. April 18, 1898.

86. December 7 and 18, 1897.

87. It is possible that she asked for help from the others more often than they gave it. However, as Laura recorded her disagreements with her husband, and on various occasions recorded her disapproval of some of her daughters' actions, it seems probable that she would have recorded in her diary if she wished her daughters would help out more around the house and farm.

88. Baking day recorded in April 2, 1898 entry; Laura's bread making entry April 5, 1898.

89. November 26, 1897.

90. February 14, 1898.

91. While she did not praise her daughters' housework the way she praised Ben's she did record a compliment Mattie had received for her work as a teacher. On January 28, 1898, she wrote, "Mr. Parker the Supervisor told her the school had made the most improvement and advancement thru' the year of any school in town. This term makes one year she has had this school. Mr. Staples the singing master asked her if she would like to go up to his town, Carthage, to teach."

92. In such cases, I find men forced to cook their own meals, or to do the laundry. In their detailed studies of women's dairying, neither Joan Jensen nor Nancy Osterud consider the women in the community who wouldn't work, and why. However, the reasons why women did not or would not work are sometimes fascinating. For a study on this, see "Burning Dinners: Feminist Subversions of Domesticity," in Joan Radner, editor, *Feminist Messages* (Urbana: The University of Illinois Press, 1993), page 36. For a longer discussion of common yet often overlooked forms of resistance such as complaining, incompetence, and laziness, see James Scott, *Weapons of the Weak: Everyday Forms of Peasant Resistance* (New Haven: Yale University Press, 1985).

93. March 12, 1898.

94. July 5, 1898.

95. March 2, 1898.

96. For an examination of the emotional nature of women's homosocial relationships, see Carol Smith-Rosenberg, "The Female World of Love and Ritual," in *Signs* 1 (Autumn 1975): 1-29; and Lillian Faderman, *Surpassing the Love of Men: Romantic Friendship and Love Between Women from the Renaissance to the Present* (New York: Triangle Classic Editions, 1981).

97. For further discussion of women's social interactions, see chapter 8, on neighborliness. Also see appendix 8, in *Harvests of the Heart*, which provides further examples of trading, along with other examples of the hidden household economy.

98. December 28, 1897.

99. Social historians have produced several interesting texts about the material culture of daily life. For information on and descriptions about the items used in daily life, see William Chauncy *Langdon Everyday Things in American Life 1776-1876* (New York: Charles Scribner's Sons, 1941). For a study about changes in everyday life in American history, see Jack Larkin, *The Reshaping of Everyday Life* (New York: Harper and Row, 1980) and Daniel Sutherland, *The Expansion of Everyday Life* (New York: Harper and Row, 1989). For more about the history of material goods in the nineteenth century, see Robert Blair St. George, *Material Life in America, 1600-1860* (Boston: Northeastern Press, 1988); and Susan Strasser, *Waste and Want: A Social History of Trash* (New York: Henry Holt and Company, 1999). For a study of material goods in the colonial era, see Laurel Thatcher Ulrich, *The Age of Homespun: Objects and Myths in the Creation of an American Myth* (New York: Alfred A. Knopf, 2001).

100. February 18, 1898.

101. For more on the growing market economy in New England, see Stephen Innes, *Creating the Commonwealth: The Economic Culture of Puritan New England* (New York: W. W. Norton and Company, 1995); Christopher Clark, *The Roots of Rural Capitalism:Western Massachusetts, 1780-1860* (Ithaca: Cornell University Press, 1990); and Steven Hahn and Jonathan Pride, editors, *The Countryside in the Age of Capitalist Transformation* (Chapel Hill: University of North Carolina Press, 1985).

102. January 8, 1898.

103. Flora may also just have given Laura the dress.

104. I created the term "hidden household economy." It is not derived from other scholars' studies of the rural economy.

105. The final sector of this economy appeared in the form of volunteer and communal unpaid labor. This occurred when farming men or women came together to communally pare apples, husk corn, make cider, and boil maple sap into sugar. These seasonal activities were followed by celebrations with food, dancing, and music which went late into the evening.

106. See for example February 15, 1898.

107. From entry for April 19, 1898. Another example of the daughters working together on their sewing, can be found in Laura's November 25, 1897 entry, when she wrote, "Mat. and Louise are cutting Mat's dress."

108. May 9, 1898.

109. May 25, 1898.

110. June 6, 1898.

111. For example, on June 13, 1898, Laura wrote, "Isabella cleaned house for me Friday." If Isabella lived in as a hired girl she would do work for Laura every day.

112. May 26, 1898.

113. In only recording her gardening, Laura's diary actually records less work outdoors than most of the other nineteenth-century New England farm women's diaries in this study. While Laura maintained a flower garden, other farm women recorded raising flowers and/or vegetables in their dooryards. Many women picked fruit, or went berrying. Women also aided the collection of maple sap by helping distribute, check, or wash sap buckets. For a description of the work involved in preparing fruit, such as apples, for drying, preserves, applesauce, or cider, see page 35 in Revered Benjamin F. Lawrence, *History of Jay, Franklin County, Maine*, (Camden, Maine: Picton Press, 1995).

114. For some examples of women's work outdoors, as recorded in other diaries, see appendix 9, and the introduction to chapter 1, *Harvests.*

115. May 27, 1898.

116. June 4, 1898.

117. From entry for June 23, 1898. In her June 23, 1898 entry she indicates that it was John who fixed up her kitchen. In this entry she notes that before he did so, "It was so depressing." For more about New England interiors, see Philip Zea, *Pursuing Refinement in Rural New England, 1750-1850* (Deerfield, Massachusetts: Historic Deerfield, Incorporated, 1998).

118. News about schools from entry for June 24; letter in entry for June 27, 1898.

119. For a text exploring the meanings and uses of commonly found marginalia in public and academic library books over three centuries, see H. J. Jackson's *Marginalia: Readers Writing in Books* (New Haven: Yale University Press, 2001). The text focuses on "original discursive notes that express a reaction to the text or an opinion about it" (page 14), which is traditionally what marginalia is expected to do. While she does not include in her study persons who used book margins for diary keeping, she

does mention finding one such case. In the margins of the text Plan of a Dictionary by Samuel Johnson, now housed at the University of Toronto, Samuel Maude created a diary in the eighteenth century. This is illustrated in a photocopy of a page from the book, on page 12 of Jackson's text.

120. See Laurel Thatcher Ulrich, *The Midwife's Tale*, especially the introduction.

123. The most common form of supplemental paid labor for farming households was provided by hired girls. Hired girls were typically young single women, as in the case of Laura's hired girl Isabella, but could be older women, such as widows. They were often provided both room and board and a small weekly salary in exchange for their services.

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Hawaii International Conference on Arts and Humanities

Title: "New Depths: Surface and Flatness in Architecture and Film: A Series of Convolutes"

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Abstract:

Architecture, a synchronic phenomenon, and film, a diachronic one, find mutual correspondences as a result of the experiential and the sensorial. Beginning as separate disciplines, and with specific notions of perception and space/ time based on their particular technologies, the two disciplines have grown increasingly together. Meanwhile, notions of "flatness" and "surface" have appeared, seemingly of recent origin, in contrast to the modernist notions of "depth" and "space". In architecture, this has become quite pronounced in recent years, with the advent of the computer, virtual reality simulations and the internet; even the architecture itself has become a language of screens. Likewise, in film the emergence of "virtual" characters as well as sets have appeared in recent films as surrogates for real characters and "real sets" -a kind of oxymoron. Consequently we observe that these phenomena are not only about the experiential and the sensorial, but also the emerging fascination with surface as a new kind of re-presentation.

In this paper I would like to briefly discuss some of the relationships that have existed historically, and how "surface" and "flatness" provide mechanisms of observation in comprehending the mutual correspondence of these seemingly disparate disciplines. In doing so, I would hope to address the uncertainty aspects that architecture has perceptively acquired, that are in fact, reflections of the existing *zeitgeist*.

My format is to follow Benjamin's unfinished work, the "Arcades Project" (*Passagenwerk*) in which he addressed several themes through what he called "convolutes."[1] Non-linear in construction, they often led him into new territories of thought. My intentions are similar and the conclusions, like the history of making *Casablanca*, still open.

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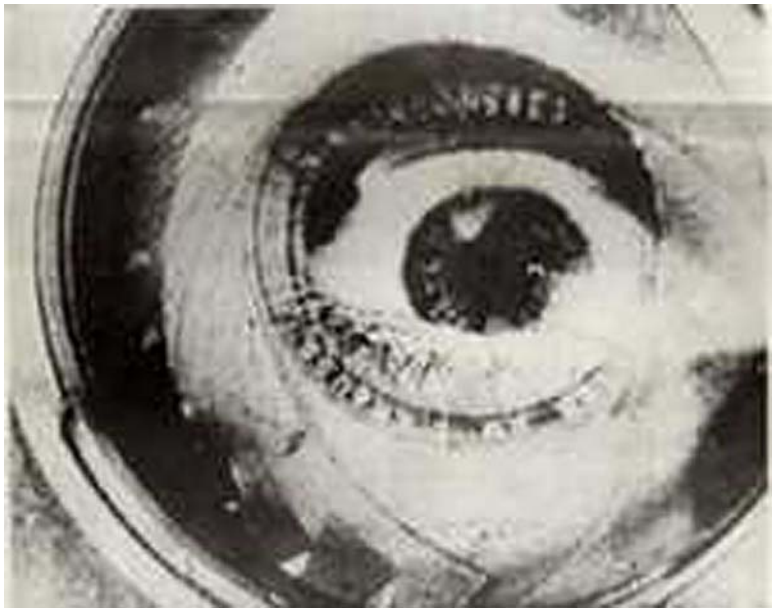
[1] Latin: *convolutes*: twist, coil; Convoluted: involved, intricate. *Webster's Ninth Collegiate Dictionary*, p. 287.

New depths: surface and flatness in architecture and film
A series of Convolutes

In the mirror, I see myself there where I am not, in an unreal, virtual space that opens up behind the surface. .. If this is the utopia of mirror, it is more importantly also heterotopia insofar as the mirror does not exist in reality where it exerts a sort of counteraction on the position that I occupy... from the standpoint of the mirror I discover my absence from the place where I am since I see myself over there. [1]

Beginning with the Enlightenment human endeavor has shifted from a philosophy based on what Mortimer Adler calls First Order questions[2] to that of the empirical sciences emerging as the dominant mode of inquiry. While Positivism emphasizes the sciences as the only knowledge of reality, other movements have emerged that challenge this authority, among them the movement known as Phenomenology. In contrast to the Positivist emphasis on pure objectivity, Phenomenology strives to address events that appeal directly to our consciousness, our sensorial reading of the world. In doing so it strides multiple disciplines and worlds.



Architecture, a synchronic phenomenon, and film, a diachronic one, find mutual correspondences as a result of the experiential and the sensorial. Beginning as separate disciplines, and with specific notions of perception and space/ time based on their particular technologies, the two disciplines have grown increasingly together. As Juhani Pallasmaa observes " These two art forms create and mediate comprehensive images of life. In the same way that buildings and cities create and preserve images of culture and a particular way of life, cinema illuminates the cultural archaeology of both the time of its making and the era that it depicts."[3]

Meanwhile, notions of "flatness" and "surface" have appeared, seemingly of recent origin, in contrast to the modernist notions of "depth" and "space". In architecture, this has become quite pronounced in recent years, with the advent of the computer, virtual reality simulations and the internet; even the architecture itself has become a language

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In her book *New Flatness*, Alicia Imperiale proposes the notion of slippery surfaces. In it she discusses a shift from an architectural (and cultural) focus on “depth” to that of “surface.” She states: "In the context of architecture, the issue of 'surface' is a recurring one... We see it most recently in the discussions over the aesthetics of the computer screen and other forms of digital image projection. In its very nature a surface is in an unstable condition. For where are its boundaries? What is its status?"[4] Although it may reflect current thought, the notion of surface, architecturally, has larger origins - namely, the late 19th and early 20th Centuries: the age of the panorama, the picture palace, Walter Benjamin's notions of "aura," and the nomadic *flâneur*. Moreover, these iterations can be seen as precursors that have shaped and continue to inform the present cultural condition.

While it may be observed that "since the late 1970's architecture has fervently sought connections with other fields of art;" and that there has been a "frantic interest in expanding the scope of architectural thought (that) clearly indicates that the art of architecture has become uncertain of its essence and future course"[5], I would argue that architecture has been informed by other disciplines in general, and film in particular, for quite some time - frantically or not. In this paper I would like to briefly discuss some of the relationships that have existed historically, and how "surface" and "flatness" provide mechanisms of observation in comprehending the mutual correspondence of these seemingly disparate disciplines. In doing so, I would hope to address the uncertainty aspects that architecture has perceptively acquired, that are in fact, reflections of the existing *zeitgeist*.

My format is to follow Benjamin's unfinished work, the "Arcades Project" (*Passagenwerk*) in which he addressed several themes through what he called "convolutes."[6] Non-linear in construction, they often led him into new territories of thought. My intentions are similar and the conclusions, like the history of making *Casablanca*, still open.

The "Aura": distraction and attentiveness

Walter Benjamin first identified the notion of "aura" in his famous essay "The Work of Art in the Age of Mechanical Reproduction."[7] The object itself, because of reproduction (photography and film, in particular; production, in general) no longer sustains its cultic, "auratic" presence, and thus emerges as a kind of commodity through mass production. Architecture itself, as a consequence of the same forces - the Industrial Revolution, together with the capitalist enterprise, also participates in the phenomenon.

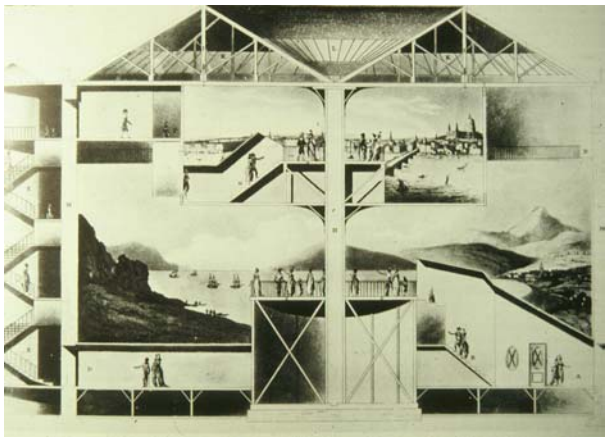
Both of these enterprises (film and architecture) also interest Benjamin in terms of how people perceive them. As cultural constructs they both imbue, for him, notions of distraction. As he states: "distraction and concentration form polar opposites: a man who concentrates before a work of art is absorbed by it. He enters into this work of art the way legend tells of the Chinese painter when he viewed his finished painting. In contrast, the distracted mass absorbs the work of art. This is most obvious with regard to buildings. Architecture has always represented the prototype of a work of art the reception of which is consummated by a collectivity in a state of distraction." Furthermore, " reception in a state of distraction, which is increasingly noticeable in all fields of art and is symptomatic of profound changes in apperception, finds in the film its true means of exercise. The film makes the cult value recede into the background... putting the public in the position of the critic... (that) requires no attention. The public is an examiner, but an absent-minded one."

Consequently, the constructs of architecture and film share a public's common position - namely that of absorbing the thing itself (the architectural space, the film) rather than being absorbed by it (the aura's original purpose regarding the object). Therefore, how do we enter into the thing itself if we can no longer define its limits - a consequence of distraction? Furthermore, are both disciplines being reduced to a series of "surfaces" - visitors standing before famous buildings to be photographed for posterity, as Benjamin himself observed, thus reduced to surfaces themselves as filmic images; or as film viewers absorbing distractedly, a series of surfaces - albeit moving ones, only imagining their participation.

The opposite of this of course, is attentiveness. In an essay based on the works of Manet and the 19th Century, Jonathan Crary observes:" It is through the frame of attentiveness...that the seeing body is deployed and made productive."[8] Body then, has a kind of focus, hence a depth of purpose - related here, to mass production. Paradoxically, as Deleuze observes, " a crises of perception (in the late 19th Century) coincides with the moment at which it is no longer possible to hold a certain position."[9] Moreover, "the cultural logic of capitalism demands that we accept as *natural* the rapid switching of our attention from one thing to another."[10] What we observe then, is the emergence of simultaneity: multiple attentions that are, at the same time a series of distractions. This suggests the overlapping of depth and space, as physically constructed elements, with surface elements in a kind of hybridization: attentiveness with distraction. This is manifested in the architecture itself, as a vehicle for the filmic experience.

Panoramas and the picture palace

The panoramas of Paris suggest one of the first attempts at representation of things that, for the Parisians, were both illusion and reality. As places of distraction, they furthered the distance between the thing itself (the "aura") and the observer, by means of the panorama surfaces themselves - a series of painted images perceived as reality. "In the case of the panorama, the picture itself is regarded as reality. It is not a copy of reality but an image completely equivalent to reality."[11] Furthermore, the spectator entered into the experience of the panorama by circulating along its continuous surface. This movement of images (albeit through the body's own movement) anticipated the moving picture. In addition, however, by entering into the work itself - what Benjamin discussed as the condition for being absorbed by the work of art, attentiveness (through engagement) was also established. Thus the panorama provided the Parisians the exhilarating experience of simultaneously being engaged, yet quite removed from "reality" since the surface was only an image of the "thing" itself.



With the emergence of film (moving pictures), the early picture palaces of European cities - particularly those of Berlin, engaged filmic experience as part of a larger enterprise - what today, we might refer to as total immersion. Here, the screen images moved, rather than the spectators of the panorama; but so also, the stage shows and production numbers that accompanied the moving, virtual images. "The picture palaces serve a crucial function; they satisfy the mass's need for entertainment and distraction. The interior... rivets the audience's attention to the peripheral. Stimuli rush by... All of this, though is mere surface; it is just show and razzledazzle... a kind of attention which has nothing to do with. contemplation."[12] The depth of focus - Crary's body as depth of purpose that was based on attentiveness now gives way to a kind of surface and flatness of experiences through the multiplicity of distractions. Ironically, the architecture itself, as an elaborate set piece, provides its own distractions, while on screen, the film stars of the Weimar era dance across an ersatz surface - the movie screen begging for our attention.

Fragments, the *flaneur* and the city

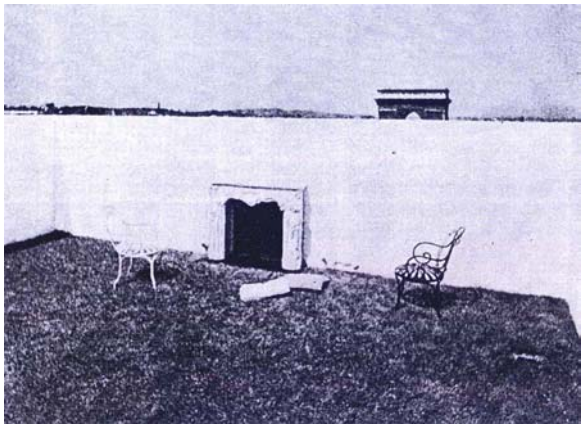
A part of the experience of contemporary life is very much based on the notion of the fragmentary (akin to the scanning lines on a TV screen, the 24 frames per second on the movie screen); multiple experiences that according to Georg Simmel, are "the intensification of the emotional life due to the swift and continuous shift of external and internal stimuli." Consequently, " the reaction of the metropolitan person... is moved to a sphere of mental activity which is least sensitive and which is furthest removed from the depths of the personality." [13] For Simmel, this resultant activity resided in the notion of the blasé person.

Detached from the multiple stimuli coming at them from all sides, the blasé can move about the city's fragments with complete composure, in much the same way as Baudelaire and Benjamin defined the *flaneur*, but at a price. "When the *flaneur* comes down into the street, he remains a contemplator who enters the world of action but cannot join it. The city becomes for him a 'paved solitude.'... a metaphor for the modern city with its busy thoroughfares... purposefulness..., while solitude .. refers both to the existential alienation and aloofness of the poet, and topographically to his homelessness and placelessness in the city."[14]

Film: *entré*

In his film *Playtime* director Jacques Tati provides us with a character, Monsieur Hulot, who acts as a kind of flaneur wandering in states of both attentiveness and distraction through the streets and boulevards of Paris. But it is a Paris that denies us any kind of familiarity with its nostalgic imagery. Rather, Tati provides a kind of modernist reading - a critique of sorts regarding architecture, cities, and the emerging postmodern condition. "He (Hulot) occupies his site (his story) as an itinerant local -belonging but never stopping to stake his claim. In this he is like the reflections of so many mythical monuments...trapped and lodged as fleeting indications on moving glass doors - apparitions found only upon reflection, other visions."[15] And, of course, Tati provides those fleeting images - the swinging doors that catch the momentary monuments, those few worthy elements LeCorbusier selected as "isolated architectural 'objets'... arranged with plastic wit rather than with historical consideration."[16]

And he uses surfaces to accomplish this... surfaces of glass - the paradoxical material that provides multiple readings of "reality": reflection, transparency, opacity, the mirror's ephemeralness - Foucault's heterotopia.



The film's fascination resides in its notion of artifice as a stratagem for construction - both filmic, and architectural. " Just as film calls forth a world that did not exist before... so too does architecture, delimiting unbounded space into inside and outside.... In film the medium of artifice is light projected through matter (celluloid). In architecture it is matter projected or 'thrown' into light."[17] It reminds us of Le Corbusier's famous dictum: architecture is the "exact, correct and magnificent play of volumes in light."

Here surface provides not only the stuff of the film's story, but as filmic material itself. We see surfaces on the screen - the simulations, as a kind of reality, acknowledging that we are

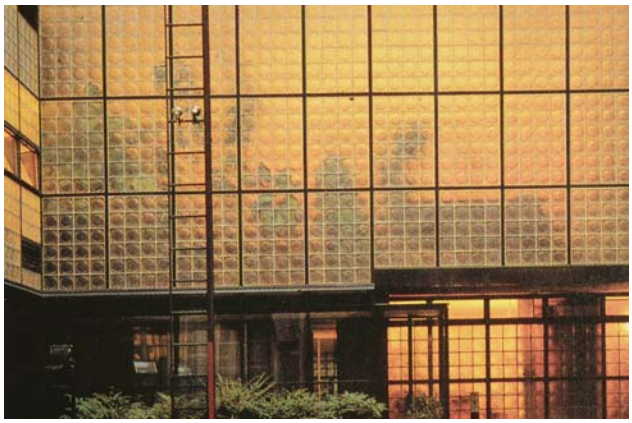
being seduced into believing (attentive, while at the same time being entertained- thus distracted). Furthermore, Tati allows his characters, including Hulot himself, to not only move about these simulacra surfaces as" places" within the fleeting Parisian landscape, but eventually to occupy them - in other words, to "dwell" (Heidegger's notion of dwelling). *Playtime* then is an accumulation of images and events providing a kind of hybridization: attention and distraction both for the viewers, as well as the filmic characters themselves - all within the context of the city as a series of fragmentary, surface experiences... like the enigmatic glass walls of Tati's "constructed" Paris.

Transparencies and Correspondence

What are the glass walls all about in Tati's film? What is the meaning of surface and flatness versus depth and space in an age of ambiguities? Gerhard Auer observes that "transparency no longer seeks to gratify the searching gaze, no longer turns the inner into the outer, no longer informs us about structural orders; instead, it has become proportionately more ambitious, more subtle... jaded by the Apollonian clarity of simple volumes in light, we yearn for uncertainties, for fuzziness and blurs, for Dionysian shadows;"[18] Le Corbusier's "magnificent play of volumes in light" is now reduced to a series of shadows, veils, and gazes.

There is an irony here. On one hand, transparency – *vis a vis* glass architecture is about a new subjectivity – "an austere surface incapable of leaving traces, or accumulating commodities."[19] For Benjamin, it was perhaps a metaphor – a new beginning – a cleansing akin, ominously, to war's effects on culture. But it also suggested, "living in a technological environment that had realized itself fully... transparently, its physiognomy no longer deformed to harboring secrets."[20]

Yet, on the other hand, the gaze, the veil, the shadow is all about harboring – if not concealing secrets. In the Maison de Verre by Pierre Chareau, the facade – the surface, reveals its interiority by subordinating its structural clarity. It is a veil that invites the gaze of the voyeur, while suggesting a "cinematographic sense of space."[21] What this suggests is a shifting of perceptions, from depth (and meaning) to surface (and visual sensation).



These shifting notions of depth and surface may also be observed cinematically. In Orson Welles' famous film *Citizen Kane*, we observe an overlaying of different time planes that move us deeper and with greater complexity into the world and character of the Kane persona. The reporter (Thompson) as a first time plane engages other time planes through the various interviews he has with the characters that once knew the man Kane. Furthermore, these planes, as spatial constructs evolve with each other through a multiplicity of shots, flashbacks, deep focus strategies, etc. that can no longer be separated. [22] As we move ever deeper, any understanding of Kane is further blurred and made less distinct. In many ways, we observe, like the veil, a gaze that is no longer about resolving the mysteries within the character Kane, nor for that matter , the Maison de Verre. Thus the question remains at the end of the film, what does "Rosebud" really mean? We are left with only surface elements - the sled, the jigsaw puzzles, and all the other artifacts including Xanadu itself.

The body itself may also be observed through notions of depth, surface, even the veil. In Ridley Scott's *Blade Runner,* often considered a kind of modern *film* noir – what Mike Davis referred to as a kind of urban gigantism that Fritz Lang celebrated in Metropolis, [23] suggests surface ambiguities and multiple realities. Ironically, it all centers on trusting the visual, the eye, through a series of tests that are performed to distinguish the human made replicants from their makers – the humans. The eye, an instrument that metaphorically, like the structural clarity of modernism's artifacts, reveals, yet paradoxically conceals what might be the larger truth that lays deep within the replicants – namely human emotion.

In many ways buildings can be seen as a series of replicants – that is they are, like the *Blade Runner* replicants, programmable: "Photo sensitive membranes that narrate, design and inform the spatial organization of the volumes and interpret their function: Information loaded walls that seduce."[24] There are paradoxes, however. Herzog and de Meuron's symbolically charged images transferred to a building's concrete and glass surfaces form a series of tattoos[25]- a kind of narrative: the skin as a story. Here the tattooed surfaces become the predominant message. While reflecting elements of history and even perhaps conveying (like the tattooed person) a certain character stance, they deny any acknowledgement of the spatial characteristics within. As Loos might have observed: a crime has been committed.[26] Surfaces, while programmable (electronically, or otherwise) retain ideological memories. Yet the notion of the body remains. Here correspondence (the relationship between elements at several levels of perception) denies the very notion of surface itself: modernisms notion of revealing certain "truths." Perhaps Ridley Scott's replicants conveying an authenticity that transcends the humans (the notion of having feelings) now exceeds architecture's own

iterations: tattooed surfaces that reveal metaphorical contents (and texts) rather than the spaces themselves. But, on the other hand, is this not also a statement regarding the current cultural condition – ambiguity, veiling… the seductive gaze?

The surface screen as a conveyor of information, like the narrative story, is also, however, about change. The Nasdaq screen in Times Square represents one iteration of a newly emerging information wall. Here however, information is only temporary – fleeting bits of 0's and 1's on the computer screen. Its relevancy is subverted by its very nature – to become out-of-date once it is consumed. Only through continuous change (the constant oscillation between attentiveness and distraction) can information – and the surface screen survive, reinforcing capitalism's consumption requirements. Consequently, what are the implications for an architecture that has been traditionally bound to its tectonic, tangible roots? Perhaps we need to consider how the discipline is also a reflection of the present culture – that is, it requires engaging further in the age of the spectacle.

The Spectacle

Debord observes: "This (the spectacle) is the principle of commodity fetishism… where the tangible world is replaced by a selection of images which exits above it, and which simultaneously impose themselves as the tangible *par exellence*."[27] The excesses of the spectacle are observable, architecturally, in enclaves of pleasure – i.e. Disneyland and

Las Vegas. Here surface and flatness inundate the senses – a lunar theatrical landscape demonstrating what Ada Louise Huxtable calls "the real, real fake at the highest."[28] But the fake has a purpose – to seduce most frequently, through the art of advertising. Even the sky becomes a billboard, in this case a huge space frame over Fremont Street that wraps the modern *flaneur* in a computer-generated sound and light show. It is "the extreme example of how material, outdoor locations for advertising have been dissolved into a new immaterial format that permits a single avatar-namely advertising as itself- as the "only architecture" of today."[29] Benjamin's commodification of culture found in the Parisian arcades reaches a new apex in the spectacle of Las Vegas. Furthermore, like the distractions of the Berlin Picture Palaces, our attention is drawn in a multiplicity of directions – an urban-as simulacrum experience. The street/sky itself becomes an enormous screen - programmable, like the replicants of "Blade Runner."

Apparent depth filled with surface and flatness – the changing fluctuations of a simulated sky interact with the hyper-reality of casino life - a convoluted *mimesis*. Egypt, New York, New York, Paris... they're all here, to be consumed, lived in perhaps, like Truman Burbank

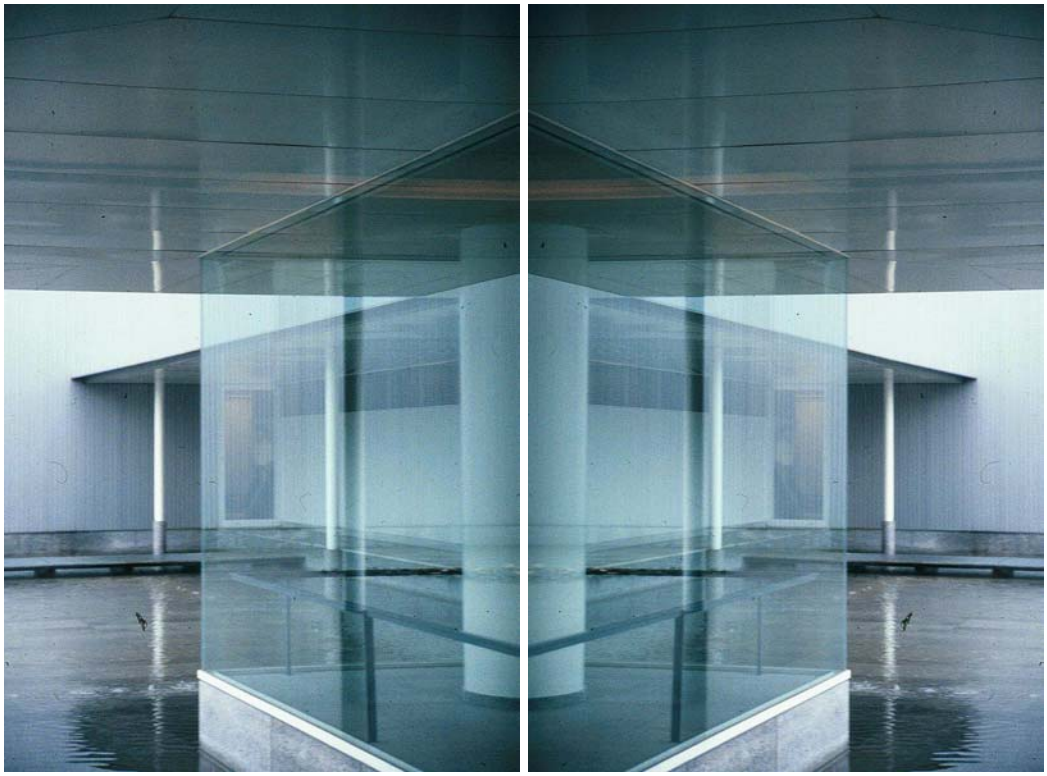
in *The Truman Show*, yet unaware of boundaries, the containment, ...the edgeness of things. Yet edgeness is what gives things definition. Perhaps therein lies the problem of surface. As Imperiale observes, its very slipperiness suggests that it *has* no edges.

As we move further into the realm of the virtual – the computer screen, the Internet, and yet to be defined "realities", what is the new meaning of surface? In *Jurassic Park* George Lucas's "Industrial Light and Magic" created a hybridized world in which human and prehistoric virtual creatures co-exist. Yet architecture, embedded in its tectonic, temporal world, even with its screens and spectator driven mechanisms cannot yet mitigate the distinctions between realities that find their problematic origins in the dialectic of surface and depth. Imperiale, at the conclusion of her essay notes: " What is at stake is the way in which all aspects of cognition, identity and biology are challenged,"[30] suggesting the necessity for an extensive, multi-disciplinary outlook and engagement.

Similarly, as Pallasmaa notes: "We do not live separately in material and mental worlds; these experiential dimensions are fully intertwined. Neither do we live in an objective

world. We live in mental worlds, in which the experienced, remembered and imagined, as well as the past, present and future are inseparably intermixed... The fact that images of architecture are eternalized in matter, whereas cinematic images are only an illusion projected onto the screen, has no decisive significance. Both art forms define frames of life, situations of human interaction and horizons of understanding the world."[31]
Yet, the surface condition remains.

Enigmatic Closures



Nietzsche once observed that as human beings, by nature we all enjoy surface, gliding over it envisioning forms rather than content. Likewise, "there is a greater truth in the meaninglessness of the origin and the ensuing importance of the tangible, superficial-yet-impenetrable world, than in searching for immaterial origins and metaphysical depth."[32] Benjamin's "aura", the origin, the seemingly authentic, appears to have been superseded by the surface.

Returning to Foucault's enigmatic mirror are we seduced then, through its surface and elusive in-depthness, only to be denied entrance? "If we try to look at the mirror-in-itself, we discover nothing but things. If we want to grasp things, then we end up arriving at nothing but the mirror again."[33]

[1] Latin: *convolutes*: twist, coil; Convoluted: involved, intricate. *Webster's Ninth Collegiate Dictionary*, p. 287.

[1] Foucault, Michael, 1985, " Of Other Space," in *Diacritics*, Vol. 16, no. 1, Baltimore: John Hopkins University Press, p. 22.

[2] Mortimer Adler, 1993, *The Four Dimensions of Philosophy*, New York, MacMillan Publishing Company, p. 20.

[3] Juhani Pallasmaa, 2001, *The Architecture of Image: Existential Space in Cinema*, Helsinki: Rakennustieto Oy, p. 13.

[4] Imperiale, Alicia, 2000, *New Flatness: Surface Tension in Digital Architecture*, Basel: Birkäuser, p. 5.

[5] Imperiale, *New Flatness*, p. 13.

[6] Latin: *convolutes*: twist, coil; Convoluted: involved, intricate. *Webster's Ninth Collegiate Dictionary*, p. 287.

[7] Benjamin, Walter, 1986, " The Work of Art in the Age of Mechanical Reproduction," in *Illuminations/ Walter Benjamin*; ed. with intro by Hannah Arendt, transl. Harry Zohn, New York: Schocken Books, p. 217-251.

[8] Crary, Jonathan, 1994, "Unbinding Vision," in *October 68*, Cambridge: MIT Press, p. 23.

[9] Deleuze, Gilles, 1986, *Cinema I: The Movement-Image*, transl. Hugh Tomlinson and Barbara Habberjam, New York: Schocken books, p. 217-251.

[10] Crary, "Unbinding Vision," p. 23.

[11] Maekawa, Osamu, 2000, "The Panorama and Its Subject" in *Aesthetics*, Number 9, March 2000, Tokyo: the Japanese Society for Aesthetics.

[12] Kracauer, Siegfried. 1995, "Cult of Distraction: On Berlin's Picture Palaces," in *The Mass Ornament: Weimar Essays*, ed. transl. Thomas Y. Levin, Cambridge: Harvard University Press, p. 326.

[13] Simmel, Georg, 1997, "The Metropolis and Mental Life" in *Rethinking Architecture*, New York: Routledge, p.70.

[14] Lahiji, Nadir, 1988, "The Flaneur in the Paved Solitude of the City," in *Re-presentation, VIA,* No. 9, New York: Rizzoli, p. 121.

[15] Kahn, Andrea, 1992, "Playtime with Architects," in *Design Book Review*, No. 12, Cambridge: MIT Press, p. 22-29.

[16] Von Moos, Stanislaus, 1979, *Le Corbusier: Elements of a Synthesis*, Cambridge, MA, MIT Press, p. 305-306.

[17] Ockman, Joan, 2000, "Architecture in a Mode of Distraction: Eight Takes on Jacques Tati's Playtime," in *Architecture and Film*, ed. Mark Lamster, New York: Princeton Architectural Press, p. 171-195.

[18] Auer, Gerhard, 1989, " The Desiring Gaze and the Ruses of the Veil," *Diadalos*, No. 33, Gütersloh: Bertelsmann Fachzeitschriften GmbH, p. 36-53.

[19] Detlef, Mertins, 1996 "The Enticing and Threatening Face of Prehistory: Walter Benjamin and the Utopia of Glass, in *Assemblage* 29, Cambridge: MIT Press, p. 7-23.

[20] Detlef, "The Enticing and Threatening Face of Prehistory," p. 7-23.

[21] Riley, Terrence, *Light Construction*, New York: The Museum of Modern Art, p. 27.

[22]Deleuze, *Cinema I*, p. 26. Delueuze also notes a similar evolution of depth in the history of sixteenth and seventeenth century painting. "... a superimposition of planes each of which is occupied by a specific scene and where characters meet side by side is replaced by a completely different vision of depth, where characters meet obliquely and summon each other from one place to the other...."

[23] Wollen, Peter, 2002, "*Blade Runner:* 'Ridleyville' and Los Angeles," in *The Hieroglyphics of Space: reading and experiencing the modern metropolis*, ed. Neil Leach, New York: Routledge, p. 236-243.
[24] Imperiale, *New Flatness*, p.23.
[25] Imperiale, *New Flatness*, p.22.
[26] Loos, Adolf, 1998, Ornament *and Crime/Selected essays/Adolf Loos*, intro. Adolf Open, transl. Michael Mitchell, Riverside: Ariadne Press, p. 167.
[27] Debord, Guy, 1994, Society *of the Spectacle*, New York; Zone books. ¶ 36.
[28] Huxtable, Ada Louise, 1997, "Living with the Fake and Liking It," in *The New York Times*, sec. 2, p. 1.
[29] Ward, Janet,2001, *Weimar Surfaces: Urban Visual Culture in 1920s Germany*, Berkeley, Los Angeles: University of California Press, p. 141.
[30] Imperiale, *New Flatness*, p.83.
[31] Pallasmaa, *The Architecture of Image*, p. 18.
[32] Imperiale, *New Flatness*, p. 24.
[33] Nietzsche, Friedrich,1967-77, *Sämtliche Werke: Kritische Studienausgable*, ed. Giorgio Colli and Mazzino Montinari, 15 vol., New York: de Gruyter, 9:309.

The Ritual Changes: Freeing Verse in the Classroom

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Challenge:
Writing is a ritual that changes. It changes the space of the page, and it changes the writer who connects with it in different ways in different times.
I would like to try writing a collaborative poem with the people in the conference room. It won't take long. A piece of paper with a broad topic at the top (perhaps even "A Gathering of Ideas") could be passed around the room as I give background information and read a few selected poems with brief introductions about how they came into being. The people in the room are to write at least one line that would connect in some way to the others. How are we connected in this room? What ideas do we share? It will be interesting to explore these thoughts with others and have a "gathering of ideas."

Brief Background (to present as the above challenge is taking place)**:**
Writing poems is one of my many rituals. Poetry is perhaps the oldest form of literature. It has its own life-blood in language that has a rhythm. Most of our language falls naturally into iambs--the simple, sustaining rhythm of a heartbeat. Everyone feels that rhythm. No matter what the field of interest, we are all human. That is why I think poetry belongs everywhere in the world—not just in the creative writing classroom. I have shared my poems with students of architecture and we have discussed the words in terms of foundations, columns, forms, frames, etc. I have shared my thoughts with students of forestry, and they find natural pathways into the language of poems—pathways that branch off and connect with others as intricately as root systems or canopies. Language is so much a part of life—no matter what the person does for a living. Some type of language—a way to communicate thoughts--is as essential to our survival as is water.

Poetry was originally an oral tradition--the words vibrating through space entering the minds and hearts of the listeners. Sounds making sense—sound sense, almost music. Many of our daily rituals are set to natural rhythms like the rhythm in poems. If you have an established morning ritual, for example, your whole day may be thrown off kilter if you are not able to follow the ritual through. Somewhere there is a poem about a woman brushing her hair that is written in the same rhythm as a woman brushing her hair. I have poems that have musical qualities that can not be paraphrased, but must be experienced, and lots of poems have been set to music.

Activities that Free Verse in the Classroom:
One fun activity I have used in teaching poetry is to have students exchange at least two lines of poetry—word groups or phrases they are comfortable parting with, and then each student takes those lines and builds a poem with them. This is a freeing exercise, because the writers can explore words that are put together in ways that they might not have ever been put together otherwise. I will read my poem "Dipped in Autumn," which is an example. The title is a give away line from a student, and the line "to behave or not to behave" was the other. I participate in the activities with the students to continue the learning journey with them. How could I take that last line without thinking of Shakespeare? What a question. What a challenge. I would have never done it without that class.

I usually also participate with the students in a collaborative effort I call Free Verse in the Classroom. Once a week I send around a blank sheet of paper, and each student contributes a line on the paper. I take the paper up and read our collaborative effort. It is amazing how well the lines usually fit together, and when they don't we talk about that. This kind of discussion centered around such an activity brings us together. We are really on the same page. At the end of the term I put together a collection of all our collaborative efforts and give this to the students as a parting gift. Here are two examples. I will read a couple of the collaborative poems.

I've been invited to talk about poetry in other classrooms, and I have had these students in various classrooms try writing poems together. I will read an example from a recent visit. If you are in the field of nursing, you might put the broad topic of "The importance of Hygiene" at the top of a page and pass it around the classroom, and see what thoughts your students have on the topic. This is a fun exercise that feels odd to the students at first—they say it is almost like they are passing notes in class. For the teacher, it can be more like an ungraded pop quiz. You just have a fun way to see what kinds of things the students know about a topic spontaneously.

FILM NOIR: FROM WEAPONS TO WOMEN BEATING THE ENEMY

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The screen personas of women in 1940s noir films evolved from the 'redeemer' victim and the hard-boiled femme fatale, to a more multifaceted working career woman as America entered World War II. As the war progressed, these wartime screen images eventually coincided with a number of women gaining greater power in creative and executive positions in Hollywood—and in many classic film noir productions. This paper explores the relationships between the portrayal of women and the propaganda needs during the Second World War and how these impacted Hollywood film noir. In particular, combat violence was redirected towards female stars in narrative misogynism and even promoted by studios in film publicity exploiting the censorable nature of these toxic gender relations which also tapped in to the return of war veterans.

Biographical Note

Sheri Chinen Biesen is assistant professor of Radio, Television and Film at Rowan University. Dr. Biesen received her Ph.D. at The University of Texas at Austin, MA at The University of Southern California School of Cinema-Television and has lectured on film at USC, University of California, University of Texas and in England. Professor Biesen has contributed to Film and History, Literature/Film Quarterly, Popular Culture Review, Quarterly Review of Film and Video, edited The Velvet Light Trap and is completing work on a book on Film Noir and World War II.

"Framing Andean Women"

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Framing Andean Women

Even though Andean women have been representing their rich culture and traditions there still is a great need to expose the concerns of modern Andean women to the global community. Andean women have been major sources of inspiration for artists and writers. Their native beauty and living images reflect the majesty of the Andes that have been captured and framed in time and space from the past to the present. But what is the role of Andean women in today's global society?

I would like to explore in this paper the role of Andean women, their changes from their historical roles, their identity, and the influence of globalization in the Andean region. The main focus of my presentation will be from a literary and social perspectives.

I want to draw some conclusions about the feminist spirit and the voices of Andean women as they address social and political issues in our century.

HEARING THE SOUTH POLE: VAUGHAN WILLIAMS'S *SCOTT OF THE ANTARCTIC* AND *SINFONIA ANTARTICA*

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HEARING THE SOUTH POLE: VAUGHAN WILLIAMS'S *SCOTT OF THE ANTARCTIC* AND *SINFONIA ANTARTICA*

by Aaron C. Keebaugh

> *Tuesday, March 29* [1912]. Since the 21st we have had a continuous gale from W. S. W. and S. W. We had fuel to make two cups of tea apiece and bare food for two days on the 20th. Every day we have been ready to start for our depôt *11 miles away,* but outside the door of the tent it remains a scene of whirling drift. I do not think we can hope for any better things now. We shall stick it out to the end, but we are getting weaker, of course, and the end cannot be far. It seems a pity, but I do not think I can write anymore. *Last entry.* For God's sake, look after our people.[1]

With these final words, Captain Robert Falcon Scott, British Navel officer and Polar explorer, reserved his place in immortality. Scott and his four companions, Captain L. E. G. Oates, Dr. E. A. Wilson, Petty Officer Taffy Evans, and Lieutenant H. R. Bowers died on their return journey from the South Pole, bringing an end to their 1911–1912 expedition to be the first men to set foot on Earth's final frontier. While they did in fact reach the Pole, they were beaten by the Norwegian explorer Roald Amundsen, who reached the Pole on December 11, 1911, approximately one month before Scott. In the ensuing decades, however, Scott's tragic demise earned him a hallowed place within the pages of British national history. Scott was now a hero, a stiff–upper–lip warrior who stood as an example for a nation at the doorstep of World War II. Scott's story encapsulated all virtues of late–Victorian Britain: pushing human bravery and courage to their limits, and testing the human condition against immense odds —in this case, cold and unforgiving nature. Yet, modern history has called this view of Scott into question, pointing out that this expedition, and for that matter all expeditions of Scott and his contemporaries, were disorganized.[2] They were hacks, and their deaths were ultimately a result

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[1] Captain Robert Falcon Scott's last journal entry. Quoted in Apsley Cherry–Garrard, *The Worst Journey in the World* (Washington, D. C.: National Geographic, 2002), 523.

[2] In particular see Ronald Huntford's *Scott and Amundsen* (New York: G. P. Putnam and Sons, 1980) and *The Last Place on Earth* (New York: Atheneum, 1985). Captain Scott and his contemporary Ernest Shackleton took the latest

of their own negligence. While the majority of Britain sympathized with the first, more noble vision of Scott, the second, more critical testimony gained fertile ground in the thoughts and work of the grand old man of English music, Ralph Vaughan Williams. His score to the film *Scott of the Antarctic* and subsequent *Sinfonia Antartica* are intimately based on Scott's tale and speak with a quiet ambiguity, testaments of the composer's personal struggle with the prevailing concept of 20th–century Britain's so–called hero.

It is instructive, therefore, to retrace the proverbial footsteps in the snow. In late June 1947, Ernest Irving, music director for Ealing Studios, asked Vaughan Williams to compose music for a new film, *Scott of the Antarctic*.[3] The composer, now 74 years old, was no stranger to the film scoring world. He previously scored six films, including *49th Parallel* (1940–41), *Coastal Command* (1942), *The People's Land* (1943), *The Story of A Flemish Farm* (1943), *Stricken Peninsula* (1944), and *The Loves of Joanna Godden* (1946). At first, Vaughan Williams was reluctant to commit so much time to composing another film score as he was busy preparing the final touches on his Sixth Symphony. Nevertheless, the composer agreed to the project. In a letter to Irving on 3 July, he states the following:

> As regards the Scott film, I think before finally deciding I should like to have a conference with you and the producer, or director, whichever it is—I never know which is which—and see whether your, his, and my ideas agree as to the sort of music required. I have very definite ideas and if they do not agree with his it might be rather difficult.[4]

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developments in Polar exploration technology, namely the gas powered motor sledges. Scott himself insisted on taking Siberian ponies to the Pole instead of dogs, which, reportedly, are better suited for cold climates. Both explorers took all the comforts of Victorian life to the ice as well.

[3] Ursula Vaughan Williams, *R.V.W.: A Biography of Ralph Vaughan Williams* (London, New York, and Toronto: Oxford University Press, 1964), 279.

[4] Michael Kennedy, *The Works of Ralph Vaughan Williams* (London: Oxford University Press, 1964), 297. This statement indicates Vaughan Williams's ideology of a gesamptkuntswerk approach to the film medium. He envisioned the music, photography, and filming to be in equilibrium and idealized that the composer, director, and producer should work together from the beginning. This dream never came to full fruition; however, as numerous scholars have noted, the score for *Scott of the Antarctic* was the closest he came to fulfilling it. His views on film music are outlined in his *National Music and Other Essays.* 2nd ed. (Oxford, New York: Oxford University Press, 1987).

Irving replied within one week, and offered the composer his cooperation:

> I would suggest that you insist on a definite agreement as to the points when music can be used in full volume without admixture, and if a contract is made that it should include a stipulation that alterations must receive your consent or mine, and that no third person should be brought in to amplify or replace your work. That is, of course, assuming you find me trustworthy in those respects.[5]

It is imperative to note that Vaughan Williams composed the score in its entirety without seeing any of the actual film; although, he occasionally visited the studio to see a few still photographs during the composition. The story of Scott's failure and the cold, desolate continent filled the composer's mind and fueled his lucrative imagination. The studio provided the book *The Worst Journey in the World* by Apsley Cherry–Garrard so that the composer could familiarize himself with the basic story line.[6] Pictures of the Scott expedition were also provided for visual stimulation. Ursula Vaughan Williams, the composer's second wife, recounts her husband's interest in the subject:

> Ralph became more and more upset as he read about the inefficiencies of the organization; he despised heroism that risked lives unnecessarily, and such things as allowing five to travel on rations of four filled him with fury. Apart from this he was excited by the demands which the setting of the film made on his invention, to find musical equivalents for the physical sensations of ice, of wind blowing over the great, uninhabited desolation, of stubborn and impassable ridges of black and ice–covered rock, and to suggest man's endeavor to overcome the rigors of this bleak land and to match mortal spirit against elements.[7]

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[5] The letter is dated 9 July 1947. Quoted in Kennedy, *Works*, 297.

[6] In his critical account *Vaughan Williams Symphonies* (Seattle, WA: University of Washington Press, 1972), Hugh Ottoway states that the studio also provided the script to the film. There is no solid evidence that this was the case; however, it is indeed likely.

[7] Ursula Vaughan Williams, *R.V.W.,* 279.

While it is essentially uncommon in the film industry for the music to be completed before the film, Vaughan Williams broke this mold more than once. His 1946 film score to *The Loves of Johanna Godden,* which was also a collaborative effort with Ealing Studios and Ernest Irving, was completed before the film. This must have been the first of such an occurrence for Irving. In a letter to the composer in December 1946, he exclaims his surprise:

> Your letter arrived on Saturday morning producing somewhat the same effect upon me as the lady's millstone must have done on Abimelech. Never in the history of Ealing, or for that matter of the world, has the score been finished before the film, and I am carefully concealing it from the directors, who must not be approached from windward.[8]

Johanna Godden must have fueled the composer's imagination in the same way the Scott story did. The depth and meaning of the subject matter, in either case, resulted in two of the most critically acclaimed of Vaughan Williams's film scores.[9]

By Christmas 1947 and into the new year, the composer delivered the complete score to *Scott of the Antarctic* to Ealing Studios. Vaughan Williams's correspondences with Irving, though, were far from over. Irving recorded the music at the studio and sent Vaughan Williams the tracks of the score–in–progress. The soundtrack was recorded in February 1948.

The film was directed by Charles Frend and written by Walter Meade, Ivor Montagu, and Mary Hayley Bell. The cast consists of John Mills as Captain Scott, Derek Bond as Captain Evans, Harold Warrender as Dr. Wilson, James Robert Justice as Petty Officer Taffy Evans, Barry Letts as Apsley Cherry–Garrard, Anne Firth as Oriana Wilson, Diana Churchill as Kathleen Scott, and the now–famous Christopher Lee as Bernard Day. Michael Balcon was the producer, the patriotic visionary who held fast to the idea that Scott was a national hero. Under

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[8] Letter from Ernest Irving to Vaughan Williams, December 1946. Quoted in Ursula Vaughan Williams, *R.V.W..,* 271.

[9] See Kennedy, *Works,* 298–9. Ernest Irving criticized Vaughan Williams's 1943 score to *Coastal Command* as "not quite up to his best standard, neither was it particularly good film music" in an article "Music in Films" *Musical and Letters* 24/4. However, when the music director par excellence worked with the composer in 1946 for *Johanna,* he changed his tune entirely. According to Kennedy, Vaughan Williams related that Irving "literally went down on his knees and apologized for his former structures." Kennedy purports that Irving also thought highly of the *Scott* score and that it was inspired by the subject matter rather than the illustrative aspects of the film itself.

Balcon's guise, *Scott of the Antarctic,* as well as numerous other films he produced at Ealing Studios, stood as monuments to Britain and British character. His ambition to present "Britain as a questing explorer and adventurer" resonates in his statement that "Clearly the need is for a projection of the true Briton to the rest of the world."[10]

Vaughan Williams's autograph score of the film music consists of 996 measures, 462 of which were used in the final cut.[11] Table 1 displays the composer's original numbers compared to Irving's editorial cuts. The unusual approach the composer took to writing the music enabled the work to flow together symphonically; the inspiration for the music came directly from the subject matter itself. The movie opens with the main titles. Vaughan Williams's theme for this section of the film is the most important in the entire score because it returns occasionally in the action of the film in various guises. For this reason, the theme is a sort of leitmotif standing for Scott and his party as well as the elusive heroism that is tested as the story unfolds. However, this music originated under the sole instruction that it was to last 84 seconds. In a letter to the composer, Irving stated that "I have often recounted my amazement on that the Main Title Music, written out of the blue exactly fit the glacier climb."[12] Any programmatic interpretation, therefore, is the direct result of the dramatic action in the foreground. Melodically and harmonically, this theme is auto–genetic in nature, growing and developing out of itself. This music is immediately followed by a Prologue depicting the Antarctic continent. The footage for this section consisted of various shots of the icy landscape, which in turn fit the music. In the

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[10] Quoted in Richard Young, "Vaughan Williams and the "Scott of the Antarctic" Film Music," *Journal of the Ralph Vaughan Williams Society* 20 (February 2001): 11. Between the years of 1938–1958, Ealing Studios contributed over 100 films to the British public. Each project, under Balcon's banner, sought to capture on film a picture of a strong and proud Britain and a noble British character in light of the home front disasters of World War II. During these times, the cinema was the most popular form of mass media after radio. To ensure popularity, films sought to capitalize on the prevailing patriotism of the public, and to tell the tale of heroic Britain beating the odds in times of struggle and hopelessness.

[11] Christopher Parker, "The Music for "Scott of The Antarctic"," *Journal of the Ralph Vaughan Williams Society* 21 (June 2001): 13.

[12] Quoted in Kennedy, *Works,* 319.

score, Vaughan Williams refers to this section as "the terror and fascination of the Pole."[13] This theme involves numerous metalophones to depict ice and a wordless female chorus to depict, paradoxically, the desolate and uninhabited continent. The use of the timbre of wordless voices was nothing new for the composer. He used a solo wordless soprano in the finale of his *Pastoral Symphony (*1921), a full chorus in his opera *Riders to the Sea* (1936) to represent a wailing Irish chant called the caoine,[14] and in his previous film score for Ealing Studios, *Johanna Godden,* in the drowning scene to symbolize desolation.[15] Ravel used wordless voices in *Daphnis et Chloé* and Vaughan Williams's longtime friend Gustav Holst used a the timbre in *Neptune: The Mystic* from his orchestral suite *The Planets*. This theme, like the Main Title music, returns frequently throughout the score. At first Irving was reluctant to allow the composer to use such a device for the film. He wrote to Vaughan Williams in verse concerning his dilemma:

> I very much regret to state
> Your scheme for treating No.8[16]
> Has pulled us up with quite a jerk
> Because we feel it will not work.
>
> Miss Mabel Ritchie's off–stage tune
> Besides annoying Miss Lejeune[17]
> Would cover, blur, confine, and fog
> Our most expensive dialogue.
>
> Failure they meet and ruin black
> Who mix two voices on one track.
> Choose then a horn or cello, which
> Have different timbres, weight, and pitch.

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[13] Michael Kennedy, *A Catalogue of the Works of Ralph Vaughan Williams* 2nd ed. (Oxford, New York: Oxford University Press, 1996), 184.

[14] Hubert Foss, *Ralph Vaughan Williams: A Study* (New York: Oxford University Press, 1950), 178.

[15] Frank Howes, *The Music of Ralph Vaughan Williams* (London, New York, and Toronto: Oxford University Press, 1954), 363.

[16] Apparently, No. 8 made use of the wordless voices; however, this number did not make the final cut.

[17] C. A. Lejeuene was film critic for *The Observer* at the time.

> Your programme would as you aver
> Astound and shock the chronicler
> But so, I must admit with pain
> Did Casca, Crippen, Cromwell, Cain….[18]

On 22 January 1948, Irving wrote again to Vaughan Williams on the matter:

> There is no objection *per se* to the use of a vocal theme; it is purely a technical difficulty which has been empirically found to be insoluble…We did have some singing, and very effective it was, in the Dungeness scene [*Johanna Godden*] but there was no conversational dialogue. You may be sure that we shall do our best to bring the thing off, and if it fails it will be for the same reason that Scott failed.[19]

The composer eventually won his point.

The remainder of the film score involves descriptive music for penguins, whales, and the sea voyage to Antarctica. When the explorers reach the continent and begin their quest, the Main Title music returns, but is frequently interrupted by descriptive music for ice, blizzards, and climbing the glacier to the plateau. Each of these elements will be discussed further in relation to *Sinfonia Antartica.* The ending of the film deserves particular mention. The Return Journey scene in the film initiates the beginning of the end for Scott and his companions. Their defeat at the Pole by Amundsen is duly noted by a dark, despairing fanfare theme. One by one, the members of the party die due to frostbite and the effects of scurvy. The Main Titles music returns each time as a reminder: even though the odds for survival are slim, the heroic ethos of the quest is still alive, albeit tarnished and weary from frostbite. However, things make a turn for the worse as the party is confronted by an enormous blizzard only 11 miles from food and safety. In the end, desolate nature wins, or does it? In the final scene, the music, paradoxically, reinstates the initial hope and aspirations of the explorers' journey. The theme is majestically transformed into complete diatonic harmony and melody—it appears as though Scott and the crew are heroes

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18 Quoted in Ursula Vaughan Williams, *R.V.W.,* 280.

19 Letter from Irving to Vaughan Williams 22 January 1948. Quoted in Kennedy, *Works,* 299–300.

after all, great noble men who tested their bravery in the face of the unknown. Even though they perished in the wilderness, they will live on forever in legend.

The film score was completed in April 1948 and the film was rough cut by June.[20] It was privately premiered at Empire Theater, Leicester Square, London on 29 November 1948 and publicly premiered one month later[21] at the Odeon Theater in Leicester Square. The film received warm reviews; although it was not destined to become a classic. The *Sunday Graphic* stated that "it is always an inspiring and noble film, and one that every man, woman, and child in the British empire must go and see."[22] The *Sunday Dispatch* declared:

> Such a film as *Scott* is welcome at a time when other races speak paragingly of our 'crumbling Empire' and our 'lack of spirit'. It [serves to] make those who have listened too closely to such talk believe that ours is the finest breed of men on this earth. And so it is.[23]

The film score received due praise. Ernest Irving honored it for its original and insightful conception. The score subsequently won first prize at the Prague Film Festival,[24] and at Marianske Lazne[25] in the Czech Republic in 1949.

The composer saw the film at the Odeon theater a few days after the public premiere. After only seeing a few stills and hearing bits and pieces of the score, the composer must have been anxious to see the finished project. Vaughan Williams apparently still felt the pangs of Scott's failure and lack of preparation. His wife recounted that "Ralph still fulminated against the

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[20] Kennedy, *Works,* 300.

[21] 30 December to be exact.

[22] Dated 5 December 1948. Quoted in Jeffery Richards, *Imperialism and Music: Britain 1876–1953.* (Manchester and New York: Manchester University Press, 2001), 318.

[23] Dated 5 December 1948. Quoted in Richards, *Imperialism,* 318.

[24] James Day, *Vaughan Williams* (London: J. M.. Dent and Sons, Ltd., 1961), 155.

[25] Ursula Vaughan Williams, *R.V.W.,* 293.

amateurish organization of the last stages of the expedition[,] but he was pleased with his score."[26] This deep–felt passion for the subject not only catapulted the composer to pursue work on a larger project involving the film music to *Scott,* but, as many scholars have noted[27] , influenced to a high degree all works he composed until his death.

According to the composer's biography[28] , ideas for an Antarctic symphony emerged as early as autumn of 1948, while his opera *Pilgrim's Progress* filled most of his working days.[29] In June of 1949, he wrote to Ernest Irving, clarifying his intentions for work on the project:

> I think it is about time I started thinking about the score of "Sinfonia Antarctica", so could I have the scores and any sketches that you have, to look over.[30]

However, the composer was unable to continue work on the new aptly named "Sinfonia", for he wrote to Irving again later that year that "I cannot get on at all with the Scott symphony so it will have to wait a bit I expect." [31] At this juncture, it is clear that Vaughan Williams envisioned a large–scale work as the mold for his Scott music. In all likelihood, he chose to do so for a variety of reasons; however, specific motives have never been fully identified. The powerful Scott story itself and its nationalistic implications are certainly a major factor. After all, Vaughan Williams did not make symphonies (or sinfonias) out of his other film scores; although, he has a history of transforming them into suites. One such case involves his score for the 1943 film *The Story of a Flemish Farm,* from which he made a concert suite. The work premiered on 31 July 1945 at a Promenade concert, with the composer, himself, conducting. The suite obtained a good

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[26] Ursula Vaughan Williams, *R.V.W.,* 287.

[27] In particular, see Hugh Ottoway, "Scott and After: the Final Phase," *The Musical Times* 113/ 1556 (October 1972): 959, 961–962.

[28] Ursula Vaughan Williams, *R.V.W.*

[29] The opera was completed in 1949, revised in 1951, and earned its premiere at Convent Garden on 26 April 1951.

[30] Letter to Ernest Irving, June 1949. Quoted in Ursula Vaughan Williams, *R.V.W.,* 293

[31] Letter to Ernest Irving, 3 September 1949. Quoted in Ursula Vaughan Williams, *R.V.W.,* 293.

reception, but only a few performances followed. The composer stated to his wife that "if you [call] anything a "suite", [you were] damning it to extinction."[32] This practicality, combined with his deep–seated feeling on the subject matter, may be a reason to pour his *Scott* music into an ice–solid, symphonic form. In doing so, his music, as well as his personal vision of Scott's journey, would perhaps freeze into existence like a glacier on the icy southern continent. However, as the temperatures of criticism rise, ice eventually melts.

Vaughan Williams worked on the piece throughout the year 1951,[33] and by December he wrote to Roy Douglas, a pianist, arranger, and composer who assisted Vaughan Williams in correcting and creating neat copies of his scores, that a rough sketch was complete.[34] After several play–throughs and subsequent reworking, Vaughan Williams sent the full score to Ernest Irving, to whom he dedicated the work. The composer even claimed that Irving composed a few measures of the score, an idea that Irving jokingly refuted.

> Your worry about "my" three bars is *pure moonshine.* They are just a kittiwake imitating Mabel Ritchie,[35] and you have not even stuck to my original.[36]

Vaughan Williams delivered the final version to John Barbirolli, conductor of the Hálle orchestra in Manchester in March 1952, inclining about the possibility for Barbirolli to program the new

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32 Quoted in Ursula Vaughan Williams, *R.V.W.*, 265.

33 Ursula Vaughn Williams, *R.V.W.,* 315.

34 Kennedy, *Works,* 319. Roy Douglas also provides his own account of the story in his monograph *Working With R.V.W.*. (London: Oxford University Press, 1972). Douglas played over the symphony in piano score format in January 1952 at the composer's residence in Dorking. Three weeks later, Douglas played through it again at the offices of Oxford University Press. The composers Arthur Bliss and Gerald Finzi; Edward Dent; Ernest Irving; Alan Frank, head of music at the Press; as well as Vaughan Williams and Ursula were all present for the read through. The work was played through again in March of 1952, this time in full score, by Hálle pianist Rayson Whalley in Manchester. Douglas worked closely with the composer from 1944 to 1958, and, according to his own account, these read throughs were extremely helpful for Vaughan Williams.

35 She sang the wordless solo part for the film soundtrack and premiere of the *Sinfonia Antartica.*

36 See Kennedy, *Works,* 319.

work in a future performance.[37] On 8 May 1952, Barbirolli lead the Hálle orchestra in a performance of Vaughan Williams's Sixth symphony, after which the *Sinfonia Antar©tica* was announced for performance the following year, on 14 January 1953.[38] The day of the concert involved the nervous composer being bombarded by the English paparazzi. His soon–to–be–wife[39] later recounted the following:

> When at last it was time to go to the Free Trade Hall Ralph was besieged by reporters and photographers, and Peter Scott, son of the explorer, and his wife shared their attention. Flashlights made green spots appear to be floating all over the hall during the interval, when Ralph was at his most nervous.[40]

At the last minute, it was discovered that the title was spelled incorrectly. Vaughan Williams opted for an Italianate title, *Sinfonia,* and the English, *Antarctica,* when he first conceived the work; however, it was pointed out that the two titles were not compatible, so the composer changed it to the full Italian spelling, *Sinfonia Antartica,* dropping the middle c.[41]
The symphony was safely launched and the audience got a taste of the composer's vision of the icy continent, encapsulated within the meticulous ink strokes of his score.

The *Sinfonia Antartica* is Vaughan Williams's most experimental, and, arguably, his most programmatic orchestral work,[42] calling for a large orchestral palette of strings, winds,

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[37] According to Kennedy in *Works,* 319, Barbirolli related that the composer "was loath to show it[*Sinfonia Antartica*] to me, for he feared I might not like it and wanted to spare me embarrassment of saying so." Although it was not essentially uncommon for Vaughan Williams to be a little uneasy about each new work before a formal premiere, this sort of ambivalence has drawn attention. Roy Douglas also claims to sense the composer's unease; he states that composer "was in a curiously ambivalent state of mind: on the one hand he had sufficient confidence in his new work to consider it worthy of being brought before the public, and on the other he was not entirely free from doubts as to its intrinsic value." See *Working With R.V.W.,* 24.

[38] Kennedy, *Works,* 319.

[39] Indeed, Vaughan Williams asked Ursula to marry him prior to the premiere of the work. They were married on 7 February 1953. See Ursula Vaughan Williams, *R.V.W.,* 328, 330.

[40] Ursula Vaughan Williams, *R.V.W.,* 329.

[41] See Kennedy, *Works,* 322. For full discourse on the subject, See Frank Howes, *The Music of Ralph Vaughan Williams* (London, New York, and Toronto: Oxford University Press, 1954), 68.

[42] Howes, *Music,* 67.

brass, piano, and optional organ. Most notable is the percussion section, which includes various metalophones: gong, bells, glockenspiel, xylophone, and vibraphone. The composer added a wind machine and a small, female chorus (SSA) to symbolize, paradoxically, the inhuman desolation and murmur of the Antarctic wind. Vaughan Williams cast the work into five movements, each appended with a literary inscription (See Table 2).[43]

The first movement, entitled "Prelude", is structured in a three–part form, through–composed form. The meat of the movement is the first part, based on the "Main Titles" and "Scott on the Glacier" music from the film score. The melody and harmony are both auto–genetic; the music seems to evolve out of itself. A preliminary characteristic of both the melody and harmony is an oscillating minor second, a trademark the composer may have intended to symbolize the cold continent and, metaphorically, immobile nature itself. This motive consistently interrupts the music's overall striving nature, like the wind and cold beating down on the Polar explorers as they trudge up the glacier. This music returns throughout the work in fragments and transformations, acting as a sort of leitmotif for Scott and his party as in the film score. The music of the second section derives from the "Prologue" of the film and features the wordless female chorus and wind machine. The overall effect is otherworldly, indicative of the desolate landscape. Metalophones and strings in planing octaves evoke shimmering ice and the minor–second motive comprises most of the "melodic" material in the upper strings and winds. The third section begins with a trumpet fanfare, heralding a brief return of material from the first section. Howes associates this figure with Man setting his foot onto the Antarctic continent. Motives from the two elements fuse together into a full orchestral climax similar to the heroic ending of the film. In a narrative format, the literary inscription, taken from P. B. Shelley's

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[43] These inscriptions are generally printed in the concert program; although, on a few isolated occasions, they have been read as a melologue. Jonathan Pearson points out in his essay "*Sinfonia Antartica*: Introduction and CD Review", *Journal of the Ralph Vaughan Williams Society* 21 (June 2001), 3–11 that the work cannot be performed in such a way due to the fact that there is no break between the third and fourth movements; logically, it could not be what the composer wanted. Furthermore, Vaughan Williams never indicated for the words to be read aloud during performance.

Prometheus Unbound, seems to fit the music appropriately.[44] The Prelude serves as a hopeful introduction to Scott's journey, embodying the sense of adventure one would feel before beginning a quest into the unknown.

The second movement is a scherzo, and, combined with the inscription from Psalm 104, could stand as the sea voyage towards the unknown region. Indeed, the opening has been attributed as "sea music" due to its similarities to the opening of the third movement to the composer's *Sea Symphony* (1903) and in his single–act opera *Riders to the Sea* (1936).[45] This "sea music" involves a quasi–fanfare motive in the french horns, followed by a wave of sixteenth–note runs in the clarinets and harp. This is followed by what the composer calls[46] a little wisp of theme in the upper woodwinds. Here like before, the composer continues his technique of musical scene painting. For example, the opening sixteenth notes portrayed by the clarinets, subsequently by the unison strings, create an aural impression of the sea, crashing and breaking under the ship. A leviathan is spotted in the score[47] — a low, descending motive is presented in the double reads and clarinets. Celesta, harp, piano, and ponticello strings accompany with oscillating diminished seventh and minor chords a minor second apart. In the film score, this music was used during the voyage to depict ice flows and whales swimming in the south seas. The trio of this movement derives from the jocular dotted–rhythm motive of the "Penguins" theme in the film. The motive, which outlines an augmented triad (G-flat, B-flat, and D), originates in a solo trumpet and gradually descends into the low brass and woodwinds. The "penguins" are answered by a series of descending triplet patterns that are set a beat apart in the woodwinds and strings. The movement closes with a soft, yet brief recapitulation of the opening sea music, which culminates on an indefinite chord, ethereally scored for muted brass, high

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[44] Kennedy notes that Vaughan Williams set these very lines to music as the fourth of his *Six Choral Songs to be sung in Time of War* (1940). See *A Catalogue of the Works of Ralph Vaughan Williams* 2nd ed. (Oxford, New York: Oxford University Press, 1996), 210 fn.

[45] Howes, *Music,* 73; and Foss, *A Study*, 178.

[46] Noted in the Vaughan Williams's programme to the work. Printed in Kennedy, *Catalogue,* 211–213.

[47] Vaughan Williams states that the theme could stand for whales in his programme. See Kennedy, *Catalogue,* 212.

strings, and harp. The programmatic implications for the movement are derivative of the literary script and the music's thematic relation to the film score. Moreover, the musical narrative extends beyond the prelude. In this case, the hope and aspirations of adventure become a reality as the crew sets off on the long–awaited voyage. Whales and penguins are sighted, offering a comical point of departure. The Antarctic shores are sighted at last, and the voyage has come to end.

The vast landscape of the icy continent itself is fully presented in the third movement, entitled "Landscape." The structural integrity of this movement relies heavily on orchestral effects and stands on its own as an atmospheric "rhapsody in ice blue."[48] It is with this movement that the 80–year–old Vaughan Williams breaks new ground,[49] expanding on impressionistic methods to capture musical symbolism for ice and impassable glaciers. The initial bars of the movement involve sparse orchestration for flutes, harp, timpani, and muted french horns. Most notable are the flutes, which "resolve" in contrary motion to major and, subsequently, minor seconds, symbolic, perhaps, of the vast inhabited wilderness. The brass later introduces a series of loud descending chords in canon, resembling the music for "Ice Flows" in the film. The most important "theme" of this movement involves an orchestral canon, in unison, between winds, strings, and brass. The melodic content comprises minor seconds nd tritones almost exclusively, the composer's musical motive of the Antarctic. This "theme" is presented twice: the first time is a subdued pianissimo, possibly reflective of a distant glacier; the second time is a full–blown forte. At the ends of each canon, a short fanfare passage emerges, first in the horns, then in the organ.[50] The simplicity of texture at this point is not to be underestimated; in fact, it is the climax of the movement, indicative of the sheer incapacity of Man's endeavor to

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[48] Kennedy, *Works,* 361. He refers to this movement as the masterpiece of the work as a whole.

[49] Howes, *Music,* 75.

[50] Vaughan Williams indicates that this part is to be used only if one is available and if it is at the right pitch. See Kennedy, *Catalogue,* 212. The score, itself, indicates that the organ is optional; full orchestral instrumentation is provided in case the instrument is absent.

climb the insurmountable heights of the glacier. In the film, this music was used when Scott and his party were climbing the icy heights. The close of the movement harkens back to the initial sparse orchestration, frozen in unresolved seconds. Just as the music is descriptive of the landscape, so to is Vaughan Williams's literary program for the movement, taken from S. T. Coleridge's *Hymn before Sunrise in the Vale of Calhoun*. This writing projects a visual stimulus, a mental picture onto Vaughan Williams's aural wilderness.

A brief selection from John Donne's *The Sun Rising* provides a departure from the explorer's quest in the fourth movement, which the composer appropriately titles "Intermezzo." The music provides substance to Donne's proverbial strains and involves two principle themes. The first, a folk–like melody in triple meter, is presented by the oboe and subsequently developed by the rest of the orchestra. In this section, Vaughan Williams's returns to the style he is best known for, a soaring, modal melody rooted in the folk music of his country. In fact, the influence of folk melodies becomes a developmental procedure in all of Vaughan Williams's symphonies; his own melodies grow out of literal songs. In this specific case, the oboe's longing melody bears close resemblance to the theme from his Sixth symphony and *Flos Campi.*[51] The second theme revolves around a short, syncopated fragment stated in the strings. Along with the alleged programme, there is ample room for a narrative element. The oboe melody derives literally from the film music for Dr. Wilson's wife Oriana.[52] The second theme was originally written for the "Sculpture scene" early in the film as Scott's wife, Kathleen, sculpts a bust of her husband out of clay. The music was present in the rough cut; however, it was removed entirely for the final version. Vaughan Williams's choice to use these themes in this slow movement was probably no accident. In light of the harsh climate presented in the Landscape movement, this music presents an escape for the explorers, a moment of reflection on their lives back in England as they rest in their tents in sub zero temperatures. Before the movement draws to close, the

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[51] See James Day, *Vaughan Williams* (London: J. M. Dent and Sons, Ltd., 1961): 75.

[52] Kennedy, *Works,* 361.

opening section from the Prelude returns, slightly altered in the upper woodwinds and strings. This is immediately followed by what Vaughan Williams calls a bell passage,[53] an ominous dirge connected to the death of Oates in the film.

Vaughan Williams's choice of title for the finale, "Epilogue," was nothing new. To the composer, an "Epilogue" was a coda to an entire work, intended not only to summarize the thematic and structural aspects of the work, but to provide emotional closure. Vaughan Williams provided such endings to his *London* (Second), Fourth, and Sixth symphonies. This Epilogue depicts the final stages of Scott's journey, the long, treacherous, and consequently fatal march back from the Pole. The opening theme becomes paramount in the finale and its full potential and purpose is finally realized in full. It is in this movement that Vaughan Williams provides a radical departure from the film's heroic portrayal of the Scott epic. In fact, it may be the composer's own personal view set to music. The movement opens with a fanfare in the trumpets, derived from the leitmotif. The fanfare becomes increasingly dramatic, building to full orchestral tension. This tension is finally released in a weathered and weary march, which is a melody perversion of the leitmotif. The march is frequently interrupted by a theme that derives from the "Blizzard" scene in the film; indeed, the music is descriptive, utilizing a dense blur of tutti triplet figures. The march grows increasingly dreary, losing its power and drive as the blizzard continues its punishment. The opening fanfare returns in a final frenzy and immediately dies down to nothing. Have Scott and his crew finally been beaten? At this point in the work, Vaughan Williams brings back the leitmotif, fully restored in its original grandeur, but in an entirely different context. What once was a symbol of the courage and aspiration is now a musical encomium for the human endeavor, the final gasp of heroic strife. The literary inscription seems to echo the overall sentiment presented here. Scott tried his damnedest and failed, and like a true Victorian gentleman, kept a stiff upper lip in the process. However, the symphony does not end here; in fact, Vaughan Williams probably never intended it to. In the

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[53] Noted in the composer's program. See Kennedy, *Catalogue,* 212.

original manuscript, the work concludes five bars after the final cord of the leitmotif is struck. The music gradually fades to rich G major chords, indicating a peaceful, if not legendary end to the epic. Furthermore, Vaughan Williams originally intended for a different literary programme, taken from Ecclesiasticus 44:14, to append the movement. The excerpt states as follows: "Their bodies are buried in peace, but their name liveth for evermore."[54] The composer abandoned this homage to Scott as defeated hero and chose to focus on the defeat itself. The closing bars bring back the wind machine and female chorus, symbolic of the wind hollowing over the frozen corpses of the explorers as they slowly sink into layer of ice and snow. In the end, cold hard nature had beaten them.

After the premiere, Vaughan Williams declared that this was his "first flawless first performance."[55] The work received good reviews, although there was (and still is) much debate about whether the work was indeed a symphony.[56] Richard Capell of the *Daily Telegraph* opined that "the composer was present, and when his tragic but uplifting music was over he received one of the great ovations of his long career."[57] Colin Mason reported the following review in *The Musical Times*:

> Programmatically it is right, because it corresponds to the final annihilation of Scott's party amid an unmoved desolation. And formally, far from destroying the already rounded–off form, it throws it into perspective by letting it recede from the listener, by projecting the the symphony, its heroic mood and the heroic venture that it has

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[54] Quoted in Kennedy, *Catalogue,* 213.

[55] Quoted in Kennedy, *Works,* 323.

[56] A few personal correspondence with Vaughan Williams, primarily from Irving, complained about the faulty sound of the wind machine during the premiere. Obtaining the best sound was a constant problem. At a performance in April 1953 conducted by Malcolm Sergeant, the wind machine was abandoned. The sound was produced by french hornists whistling through their instruments; however, this idea, though economical, failed. See Kennedy, *Works,* 324. In Hugh Ottaway and Alain Frogley. "Vaughan Williams, Ralph," in *The New Grove Dictionary of Music and Musicians.* 2nd ed. vol. 26, (London: Macmillan Publishers Limited, 2001): 345-362, this work receives criticism that the *Sinfonia Antartica* is neither sufficiently programmatic nor sufficiently symphonic for the guise that the music cannot stand on its own and lacks development.

[57] Quoted in Kennedy, *Works,* 322.

> portrayed, and restoring in the audience the emotion of observers of, not participants in, that heroism, an emotion mixed of admiration and gratuitous but inevitable pity.[58]

In *The Times,* Frank Howes declared that Vaughan Williams had "broken new ground, not in the fact that he uses a larger orchestra, but that he has found in sheer sonority devoid of thematic significance a means of conveying his vision and placing it within a symphonic scheme."[59] The symphony earned subsequent performance on the 15 January in Manchester and 21 January in London. The work even made an Antarctic premiere. In 1956, a recording was played on midwinter's day at the Royal Society Antarctic Expedition base at Hally Bay.[60]

What do these works tell us about Vaughan Williams's view of Scott's last expedition? For starters, the film portrays Scott as a hero and although it *can* stand alone on its own merits, the music provides the necessary catalyst for this belief. If we focus on the ending of the film, it is clear that hero justification is the goal, even if it seems contrived to our eyes and ears today. Recent research into Vaughan Williams's film score and *Sinfonia* reveals the idea that he was ambiguous about Scott, based on the premise that the respective endings of each are vastly different.[61] However, subsequent theories have come to light by English scholars[62] that the composer was dissatisfied with the film's final ending and that he wished the music to end on a more desolate note akin to the *Sinfonia Antartica*. Unfortunately, there is no solid evidence at hand to support this theory. But for argument's sake, assume that this theory is possible. Logically, the producer makes the final call on most aspects of a film–in–progress, including the

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[58] Colin Mason, "Vaughan Williams's 'Sinfonia Antartica,'" *The Musical Times* 94 (March 1953): 128.

[59] Frank Howes, *The Times.* Quoted in Kennedy, *Works,* 322.

[60] Kennedy, *Works,* 335.

[61] Michael Beckerman, "The Composer as Pole Seeker: Reading Vaughan Williams's *Sinfonia Antartica,*" *Current Musicology* 69 (Spring 2000): 42–67.

[62] Michael Kennedy, "The Film Music of Ralph Vaughan Williams (1872–1958)," liner notes to *The Film Music of Ralph Vaughan Williams* (Colchester, Essex, England: Chandos Records Ltd., 2001, CHAN 10007); Richard Young, "Vaughan Williams and the "Scott of the Antarctic" Film Music," *Journal of the Ralph Vaughan Williams Society* 20 (February 2001): 10–16; and Christopher Parker, "The Music for "Scott of the Antarctic"," *Journal of the Ralph Vaughan Williams Society* 21 (June 2001): 11–14.

handling of the musical score. As we have seen, Michael Balcon made it his professional goal to project his vision of a steadfast, unwavering Britain in the films he produced for Ealing Studios. As composer of the film score, Vaughan Williams's role was secondary at best. Assuming that he had ultimate control of his product is indeed a stretch of the imagination, and, as we have also seen, Irving was constantly uneasy about the numerous innovations that the great composer unleashed in his score. The fact that less than half of the composer's original score was used in film also indicates that other minds were active in shaping the film production. Vaughan Williams's need to express his view of the Scott story may have spurred him into a project where he made the final decisions. With this in mind and the desolate ending of the *Sinfonia* in our ears, Vaughan Williams's interpretation of Scott is not entirely ambiguous; in fact, the opposite may be true.

But while this remains merely conjecture, the film music to *Scott of the Antarctic* and the *Sinfonia Antartica* share a common thread: they are based on a specific interpretation of historical facts. In the case of the film score, this interpretation is intimately linked to the drama on screen. Any attempt to divorce the music from the context of the film dilutes the role it plays. Assuming that ultimate understanding of the music will reveal itself through theoretical analyses alone, the fiction of "the music itself," is like trying to find a depôt in a snow storm. The *Sinfonia Antartica,* either way one looks at it, is the composer's personal interpretation of the Scott story, a historical essay of the events in music. Vaughan Williams clearly realized a programmatic element to this work and the aspirations of Scott and his party, the adversary of nature, and the explorers' death are presented in a personalized musical narrative. Like any historical account, however, new interpretations arise to challenge the old ones, and how any one person "hears the South Pole," another is likely to construct a different understanding. Yet the quest for ultimate understanding remains at the zenith of all musical and scholarly endeavors— the search for meaning in life, in art, in the past, and even in the Antarctic.

APPENDIX

Table 1:

The film score remains unpublished and the four principal source manuscripts exist in the British Library, London: BL Add. MSS 50431 (sketches), 52289A (piano reduction), 52289B (copy full score) and 59537 (autograph full score). VW wrote more music than was included in the film, music existing in full score for the following scenes:

Key:-
* indicates a reworking of VW's music by another hand. [ ] brackets are editorial additions based on the apparent position of the music in the film.

Music for the film 'Scott of the Antarctic'

Movt. Title		Score Movt. No.	Film Scene No.
1. Titles, 'Heroism'.		1	1, 32b
2. Antarctic Prologue.		2	2, [44b]
3. Oriana (Wilson's wife).		3	
4. Doom (Oriana's first meeting with Scott).		4	
5. Sculpture Scene (Kathleen Scott and her husband, 'Kathleen I').		7	7
6. Kathleen II.		8	
7. Nansen.		11	11, 26
8. Scott and Oates.		12	
9. Office.		13	13
10. Departure of Ship.		16	[18c]
11. Amundsen.		17	22
12. Ice Floes.		18A	18a
13. Iceberg.	(Version I)	18B	
	(Version II*)	18C	18b
14. Penguins.		19	19
15. Ross Island.		21	
16. Aurora.		24	24
17. Pony March (Baltic Fleet).		25	25
18. Pony March and Parhelion.		27	[45b]
19. Pony March II.		28	28
20. Blizzard.		29	29, [46]
21. Distant Glacier.		30	30
22. Climbing Glacier.		31	31, 32, 32a, [41a]
23. Scott comes out.		33	33
24. Snowy Plain – Scott's Decision.		34	34
25. Kathleen [III].		35	
26. Polar party moves off.	(Version I)	36	36, [41b], [44a], [45a]
	(Version II*)	35A	
27. No. 101 March.		36A	
28. Amundsen III (Black Flag).		37	37
29. Base Camp.		38	
30. The Return.		39/40	39/40
31. Death of Evans.		42	42
32. Death of Oates.		44	44, [44c]
33. Aurora II.		45	45
34. Only Eleven Miles.		46	
35. End Music.		51/52	51/52

Source: Christopher Parker, "The Music for "Scott of the Antarctic,"" *Journal of the Ralph Vaughan Williams Society* 21 (June 2001): 12.

Table 2:

MOVEMENTS

PRELUDE: Andante Maestoso — PAGE 1

To suffer, woes which hope thinks infinite;
To forgive wrongs darker than death or night,
To defy power which seems omnipotent,
Neither to change, nor falter, nor repent:
This . . . is to be
Good, great and joyous, beautiful and free,
This is alone life, joy, empire and victory.

SHELLEY, *Prometheus Unbound*

SCHERZO: Moderato — PAGE 38

There go the ships
and there is that Leviathan
whom thou hast made to take his pastime therein.

PSALM 104

LANDSCAPE: Lento — PAGE 70

Ye ice falls! Ye that from the mountain's brow
Adown enormous crevices slept amain—
Torrents, methinks, that heard a mighty voice,
And stopped at once amid their maddest plunge!
Motionless torrents! Silent cataracts!

COLERIDGE: *Hymn before Sunrise, in the Vale of Chamouni*

INTERMEZZO: Andante sostenuto — PAGE 100

Love, all alike, no season knows, nor clime,
Nor hours, days, months, which are the rags of time.

DONNE: *The Sun Rising*

EPILOGUE: Alla marcia moderato (ma non troppo) — PAGE 110

I do not regret this journey, we took risks, we knew we took them, things have come out against us, therefore we have no claim for complaint.

CAPTAIN SCOTT'S LAST JOURNAL

Source: Ralph Vaughan Williams, *Sinfonia Antartica* (London: Oxford University Press, 1953).

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Abstract of a Work-in-Progress Report

Ethnic Stereotypes and Language Choice among Belushi Speakers of Oman

This study examines how ethnic stereotypes affect language choice among Belushi speakers of Oman. The Belushis are a linguistic and an ethnic minority who can also speak Arabic, the official language of the country. Through interviews and questionnaires, the study identifies the social contexts in which language choice is made, how ethnic stereotypes affect these choices and whether there are any generational differences in language choice. Issues such as solidarity and language attitude are also examined.

Title: Hyphenated Canadians: Celebrating Diversity

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Abstract:

A sample of 500 drawn from post-secondary students aged 18-25 attending Winnipeg's two universities were questioned about the ways in which they expressed their ethnic identity in the context of Canadian multiculturalism. While retention of ancestral language was perceived to be an important element of cultural identity, relatively few claimed fluency, maintaining a sense of ethnicity in other ways, e.g., through observance of ethnic holidays, adherence to their "ethnic church." While a high proportion claimed that awareness of their ancestry was an important element in their lives, a surprisingly high percentage indicated that neither religion nor ethnicity would have or have had a significant impact on their choice of friends or marriage partner. The results of this survey are analyzed and the implications for the development of Canadian national identity in the twenty-first century are considered.

Diogenes' Dilemma

Steven Bright-Jordan MS

Diogenes' Dilemma

The Ethos, Mythos, and Pathos of what we call Truth

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Truth: A Malleable Commodity

TRUTH. The most subjective of perspectives called by the most objective of names. The narrowest of viewpoints described as the broadest perceptions. The greatest falsehoods and most noble aspirations in the history of humankind have all been labeled TRUTH.

People have laid down their lives for what they believed was true. Human beings have slaughtered and maimed their fellows in the name of truth. Claims of truth have divided families, governments, nations, religions, cultures, races, armies, navies, and peoples.

If truth is objective, how can there be so many? If truth is truly subjective, why do people do so much damage in its name?

Here in I hope you will join me in an endeavor to explore the myth, the fact, the perception, the reality, and the lore of what we as human beings in the western world call truth. This work does not purport to be an answer, nor to be within itself a type of truth. It does not represent itself as any sort of final word on the matter. It does seek, however, the compel the reader to question that which is presented as truth, and to seek within each of us for some balance between that which is rhetoric, and that which is reason.

This is not a textbook purporting truth, but a tome whose purpose is to question "truth."

Prelude

Some years ago, while testifying before a state commission, I heard a colleague from another agency make several highly misleading statements. They were not, on their face, totally incorrect; but they failed to address all of the facts available and presented a far more positive picture of this individual's efforts than could be objectively supported.

When I asked this person how they justified such skewed testimony, the reply was (and I quote):

"...truth is a highly malleable commodity!"

This response made me more than a little uncomfortable. Not just in the context of these hearings, but in an examination of myself and the society in which I live. I would like to consider myself a truthful person; and would like to think that I know the difference between truth and falsehood. There in lies a very large question. Not only what is the difference, but is there a difference?

What is truth, and what is it not? Why does our language, our society, and our philosophy utilize so many different terms for what is ostensibly the same thing?

On September the 11th, 2001, we once again came face to face, in the most profound sense, with the issue of one person's truth in direct conflict with another's. The "truth" of the world situation as embraced by the radical fundamentalist Islamic Taliban versus the "truth" as embraced by the world's largest democratic experiment. Thousands died in New York City, at the Pentagon, and in rural Pennsylvania... all victims of that ideological conflict.

Truth, fact, veracity, reality, legitimacy, rightfulness, accuracy, actuality, fidelity, the list goes on and on. Why should there be so many terms for one idea; so many ways of identifying one concept? Why do we have so many different approaches to one thing?

Or is it one thing? Perhaps there is not just one truth; or perhaps the concept of truth has mutated into many separate truths. Perhaps truth is more perspective than purpose, more facet than fact.

Maybe language simply reflects the confusion of our society, accidental or purposeful, on what truth really is.

Diogenes, the legendary Greek Philosopher, always sought “truth”, and “truthful men”, but never quite succeeded in finding either. This is the enduring dilemma, and the purpose of this missive: To explore the fact and the fallacy of TRUTH.

I. Truth... in a word?

Webster defines TRUTH as " the state of being the case, fact, the body of real things, actuality." If this were so, then there would be only one truth, one religion, one philosophy, one perspective. There would be no need for an adversarial court system, or to chose between political candidates. There would be no need for scientific investigation, and no information would ever contradict the historical record. There would not even be need for discourse or discussion among people. There would be one body of data encompassing all knowledge, and no need for exploration, experimentation, dialogue, debate, investigation, interpretation, (or alliteration for that matter.) What would we talk about?

But that doesn't seem to be the "body of real things". That is not the "actuality" of our world. The dictionary definition is merely the way in which contemporary society wishes to define the usage of the word.

BUT, every time we turn on a news show, read a newspaper, hear a political speech, listen to a sermon, peruse a magazine, observe a trial, follow a debate, or participate in a discussion; someone is there jumping around like an organ grinder's monkey telling us WHAT THE TRUTH IS.

It would appear that we are a very confused species, speaking a very confused language about very confusing ideas.

However, the dictionary DOES give us some hope. It tells us that the word (and the word should be the embodiment of the concept) TRUTH comes from the Old English TREOWTH or Fidelity. This word is akin to the Old English TREOWE meaning Faithful. The usage and original definition of these words dates to a period before the 12th Century; and thus before the Renaissance. The word Faithful is not documented until the 14th Century, but it's root is in the Latin FIDERE, meaning "to trust". Keep the history of these words in mind, because (as many an old Navy Chief Petty Officer used to say to me as a young wet behind the ears Seaman) “we will see this material again!”

So, the origins of the word TRUE and TRUTH may not have been intended to denote fact but faithfulness to or trust in an idea or ideal. My country...er concept... right or wrong!? Well perhaps; after all, they did think the world was flat!

Language is, after all, just a set of symbols and combinations of symbols that attempt to make concrete that which is abstract in our heads. We all do not THINK in the same language, or appreciate the same cultural values. For that matter, we don't even think IN a language. Our electro-chemical brain operates on electrical impulses being transmitted from brain cell to brain cell. We learn to embody those nebulous ideas in the language of the society into which we are born, and learn to interpret and express the resulting thoughts in a particular set of culturally based symbols.

Some of us even learn other languages, and some of them go on to learn to appreciate the culture from which that language is derived. Others of us don't even bother to master our mother tongue, and fail to appreciate the rich culture of our native land; but that's a matter for a different debate.

These symbols are continually being revised, redefined, restructured, collected, collated, folded, spindled and mutated (perhaps even mutilated) into the contemporary language of common use.

In my lifetime, the common definitions and usage of words and phrases like cool (not as in cold), gay (happy?), bad (bad is good?), righteous (or not as the case may be), hip (absolutely not a part of the human anatomy), far-out, making love, party (noun or verb) and scores of other words or pieces of jargon have changed and evolved any number of times. Does anybody out there remember when we used to "hang out the wash"? Now we just "hang out." Add to this techno-speak (a term that I could not have dreamed of understanding in high school and an excellent example of the question at hand), diplomatic doublespeak, political obfuscation (where rarely is the meaning what you thought you heard), military jargon, sports parlance, industrial terminology, trans-cultural usage (combining words of other languages into the language of a primary culture…Oy Vay!), Pidgin (a form of trans-cultural or patois), regional slang, acronyms like PDQ, or GI (grabastically inorganized?); the need (ahem!) for the media to constantly coin new phrases, and the common malapropisms of an ever more fast paced and complex world; and you have a language structure that more closely resembles Babel than even the legend would allow.

This is not just an English Language phenomenon. A brief and very parochial perusal through some common foreign language dictionaries revealed that there are no less than 5 different terms in basic Russian for Truth, at least 5 in Japanese, 10 in Chinese, 8 in German, no less than 6 in French (all in contemporary usage), and at least 5 separate root terms in Latin.

Some of you will remember playing the game "telephone" as a child. A group of children (class size for example) gathers. A word or phrase is whispered into the ear of the first child, who whispers it to the second, and so on. When the message reaches the end of the group, it rarely even resembles the original.

This is the nature of much of human communication. This is also the nature of myth. The telling and retelling of a story lends itself to the embellishment, editing, recollection, and the shifting social, political, or personal priorities of the story-tellers. In the retelling, the story, it's "moral", and its facts, are corrupted. Each re-teller may well feel that he or she has contributed to the story's value by such editing; losing sight of the need for objective data in pursuit of transitory priorities.

Often the corruption so obscures the fact that it becomes regarded as myth in spite of itself. The ancient city of Troy was considered a mythical metaphor for almost 2 millennia until Heinrich Schleiman, an amateur archeologist, dispelled the myth and literally unearthed the fact.

Human communication is no less fallible than the humans who utilize it, nor any less egotistical. After all, we humans refer to things as being "universal" when we can barely comprehend our own small corner of the universe. We proclaim certain things as "perfect" with no real knowledge of what truly could comprise complete perfection. Ideas of "right" and "wrong" differ according to point of view. Someone's sacred ground is another's cheap real estate. You may call it flawless and your neighbor will pronounce it flawed. One man's "disaster" is another's "inconvenience". Is not beauty in the eye of the beholder?

By now there are those among you who are saying...

"This is just an exercise in semantics!"

Well, my bookish friend, consider:

Is the social confusion a result of confusing language, or is the confusing language a result of societal confusion? Not unlike the classic Abbott and Costello skit "Who's On First", the meaning of the word and

the reality of the term may be obfuscated not only by usage, but also by intent. The question then becomes; is this the result of some great conscious intent, a historical conspiracy, or the accumulation of small ethical contrivances, compromises, and coercion over the ages?

Who would want to confuse TRUTH; or rather, who would NOT?

II
Religious Truth

Fear, Fallacy, Pontification & Propaganda

One of the most, if not THE most obvious touch-points of the issue of Truth is in the realm of religion. Virtually every religion claims its own holy writ as the true word of the Deity and its own philosophy as the true enlightenment.

When asked the difference between France and America, the famous *chef de cuisine* Escoffier reportedly observed that "France is a country of two religions and a thousand sauces. America is a country of a thousand religions and two sauces".

What is “religion” anyway? Is it some sort of divine knowledge or deific insight? Hardly! It is simply a belief, or a system of belief. Right, wrong, or indifferent; logical or illogical; full or love or full of hate; based on fact or based on fiction; for public benefit or private gain, it is simply what someone or some group wishes or claims to believe.

For example: the Abrahamic religions; Judaism, Christianity, and Islam, all proclaim belief in a single "True God". It seems somewhat less than reasonable and rational that a single true Deity could result in so many different religious traditions and belief systems. The various and sundry forms and schools of Judaism, varying ideologies of Islam, the schisms of Catholicism, and the panoply of Protestant permutations boggle the mind. Their very existence disavows the central theme of a single inviolate truth.

However, if one is to accept that that the proponents of these various "schools of thought" or religious "belief systems" are fundamentally (and it is a risk, dear reader, to even use that term in this paragraph) in earnest, then one must embrace the concept that truth is a subjective and individual frame of reference rather than an objective thing.

If we fail to do so, we then are egotistically calling everyone who does not see things our way, a fool. Worse, we take on the mantle of megalomania and condemn them (subjectively of course… thank heavens!) to perdition; not that such things do not take place.

Perhaps different people simply view the same information in different ways. That not only is a rational thing, and perhaps is the way things should be among intelligent folk. HOWEVER, the cry of heresy, and the feared rejection of one person by another for his or her differing point of view, begs the question.

Over the last 100 years, we have been witness to many anthropological and archeological findings (and likewise many failures to find reputed objects) that draw certain tenets of belief into question. The finding of the "Dead Sea Scrolls" [1](especially such documents as the "War Scroll" or "War Rule" and the so-called “Copper Scroll”) are an excellent example. Other examples include the Mythros[2] paintings and alters found in the catacombs of Rome, the Potassium-Argon dating of the Dead Sea Scrolls, the philology of the writings, and the failure of noted Aramaic scholars[3] to agree on the translations.

Careful examination of these findings paints a differing picture of 1st Century historicity than was conventionally accepted. Paleontological findings by Leakey[4] and others undermine the scriptural proclamations of the origins of humankind.

For example, the historical “Jesus”, is variously argued as God, as Man, as legend, as allegory, or as metaphor. [5] A lack of corroborated physical anthropological data tends to bring doubt upon claims to provable existence. Inconsistencies in Biblical text seemingly reinforce those who claim that Christ is legend. Studies of other documents and texts of the period lend some modest credence to the theory that Jesus was a literary device which allowed the authors to combine the sayings and acts of people such as Josiah (a King of the tribe of Judah), Hillel (a first century Rabbi), and others into a scriptural Messiah to meet the projected cultural needs of succeeding generations.

Some very credible Biblical Scholars claim that many literary elements of the gospels point to a so-called “Q document”; a document from which critical elements of the gospels were “borrowed” or plagiarized by their authors in order to create a viable story. It is hard for some to believe that the “Son of God” would have been illiterate, or so short sighted as to fail to leave a written record of his thoughts and insights. [6]

Still other scholars see Jesus as a metaphor. They interpret the literary figure of Christ as a symbol of human aspiration and hope; something with which to identify. Religio-psychologists have logically argued that the human capacity to understand being limited in comparison to the Deific or Universal intellect requires that the human being construct an image of the Deity to whom or with whom they can relate. The social structure of our society and the socialization of its people have created the phenomenon in which this individual and personally held metaphors are amalgamated into commonly held metaphors and hence, organized religion.

Medical science has done its part to debunk many things held dear by traditional religion. Most historical claims of "demonic possession" are now known to be disease. Many demonstrations of the "wrath of God" are now known to be no more than the wrath of germs.

However, such expositive occurrences are hardly the sole property of the 20th and 21st Centuries. While the Church proclaimed the world flat, Columbus and Magellan proved otherwise. While the Church proclaimed Earth to be the center of the Universe, Copernicus and Gallileo demonstrated the fallacy of their position. As a result humans prospered and explored, and the Roman Catholic Church waited until the 20th Century to "forgive" their impertinence in being CORRECT!

The suppression of science, arts, and non-Roman Catholic learning from the fall of the Roman Empire until the dawn of the Renaissance demonstrates a recurring theme in most religious schools of thought: the fear of outside influence and the fear of having to rationally or logically defend their position. Could it be that the dark ages are still upon us in some measure?

The most common argument from the religious side of the aisle is "FAITH". They maintain that "faith" is the great arbiter of their rationale. One does not need "proof" if one has blind faith. Even in the face of objective evidence to the contrary, they will hold "faith" out as the bulwark of their position, their "truth". Often, what is left after the rhetorical dust has settled, is faith in a "truth" that has little or no objective factual basis or validity.

The truth of faith or the faith of truth?

In the first chapter, we explored the origins of the word “truth” coming from the ancient “treowth” meaning faithful; faithful to an ideal, a theory, a prejudice, a perception, a concept, a fact, or a misconception.

From that root word, and that root definition, came two distinct modern concepts; first, the mutation of faithfulness to an idea into the idea of an absolute; and secondly the reduction of faithfulness to an idea into “faith”, as an abject adherence to that idea of an absolute.

The original “treowth” simply indicated that an individual revered a particular idea and was faithful to that idea. There is no absolute attached, so there is no connotation that proscribes that faithfulness from changing and evolving.

Once again there may be some who will accuse me of playing semantic games here; but if we suspend for one moment our belief that our language and intellect has evolved rather than its having been manipulated, then we would be compelled to recognize that the earliest recorded definition was probably closer to an accurate understanding of the term and the concept that contemporary language.

While the attributes of faith and faithfulness may be noble traits, the theme of faith goes on, in many schools of religious thought, to maintain that ONLY faith is required for their definition of salvation. While one might see this as a personal commitment to an ideal; it can also be argued that since such "faith" provides MINIMAL or NO objective observable evidence (other than, possibly the use of some catch phrases and buzz words) of the individual's commitment to the tenets of the belief system or to being a positive and productive member of society. It would seem simply to be a device employed to "sell" salvation either to those whose conduct is in opposition to the tenets of the faith or to the common good.

Oh, did I say "sell"? Well, heavenly days, it IS a business, after all.

A great little sales device is to be had when the consumer does not have to alter his or her errant ways of greed and avarice, but only has to proclaim abstract "faith" to be "assured" of salvation. This brings to mind Jim Bakker and his Christian confidence game, Jimmy Swaggert and his happy hookers, Gambino crime family Wise Guys lining up for Confession, the Kingston Clan (Utah's polygamist pedophiles) and their Mormon-esque prophets (profits?), the Vatican's sickly symbiotic relationship with the Third Reich in WWII[7]; the religious wars dating from the Crusades through the Provisional IRA, the sacking of Alexandria to the destruction of the World Trade Center, etc. etc. ad nauseum.

In viewing this largely "faith based" approach to spirituality, one cannot escape the fact that most religions are big business. Organized religions are a multi-billion dollar industry in American alone. They are a capitalist's dream. The consumer is told that his or her immortal soul is in jeopardy. The price is based upon fear and guilt (in many denominations up to 10% of the individual's annual gross income), and the product is RHETORIC. While there is usually a church building and most often some relatively minor administrative expenses; the product is the most intangible of intangibles, it is a promise, just a promise; and one that no living person will ever see fulfilled. The result: $$$$$$$$$$$$$.

Fear? Yes, I did mention fear. In over 30 years of polling, asking, entreating, cajoling, and interviewing; I have discovered that the vast majority of "True Believers" that I have encountered adhere to the tenets of their chosen faith NOT because of great LOVE of the Deity, but (when being as honest as conscience and the promise of anonymity allow) because of a FEAR of threatened damnation by their "Deity" (as proclaimed in their theology) or being ostracized by their peers (as often required by their theological rhetoric). Great sales tool! Take careful notes here, dear reader, because you will see this material again.

The topic of FEAR is addressed in the seminal work <u>Groupthink</u> by Irving Janus [49] . In this work, Janus points out very concisely and in practical terms the group dynamic that he names "groupthink". The psychological symptoms of this malady are Self-Overestimation of the Group, Narrow-mindedness and Prejudice, and Conformity Pressure. These result in Poor Collection and Processing of Information, Incomplete Surveys of Alternatives, Failures to Review Old Decisions, and lack of Alternative Planning. The single most revealing aspect of the Groupthink mentality is the tacit fear of appearing to be outside of the group, to be a non-conformist, or to be branded heretical.

The mysticism of faith, the admonition that one must have blind faith in an unknown could be (and perhaps should be) regarded as intellectual slight of hand. A result is promised, some stagecraft is presented to support the claim, and the consumer is admonished to accept the premise and pay for the performance. It is a unique sales campaign indeed when one cannot see the product, and pays good money for the privilege of merely hearing the advertisement.

Couple this with the mysticism of "God's Will" (the fatalistic fascination with accepting everything as inevitable or beyond human control); and some sectarian rhetoric denies you the right to stand up for your

own future or destiny. This is also a great sales tool; they sell you on an idea, and if everything goes wrong, they have no liability...it was God's Will. What a warranty!

Then, in a marriage made in he**, well … not in heaven anyway, these pulpit pounding, bible banging, self promoting authorities on all things physical and metaphysical discovered that scientific marvel, the Radio Wave and its successor the Television Broadcast! Oddly, here was a bit of science that was embraced by the pompous promoters of faith and "holy writ"...apparently they hated Darwin but loved Marconi. Once they had discovered this little piece of magnetic magic, they were in “business”.

Along comes Father Charles Coughlin with his bigoted, anti-Semitic, hate filled Roman Catholic rhetoric; and a vast audience of like minded religious robots. Then, Aimee Semple McPherson and her sycophantic sing- alongs. Following in their wake, Billy Graham passing poor judgment, questionable advice, and that ever present bucket for cash; the Bakkers conning the gullible and crying crocodile tears; Swaggert swaggering in his perceived superiority, then shedding ersatz teardrops when caught with his pants down (literally). I always wondered if he and Tammy Faye got their mascara at the same store.

Then, of course, we cannot forget old Oral Roberts; who oftentimes appeared to “heal” the same group of folks every week, over and over. I guess it just didn't take with just one "healing". He said that all ills could be healed by faith, then built a medical facility to make money. When he got into a financial bind, he said that God was gonna kill him if he did not receive a million dollars in donations. Holy Extortion!

Well, if you're going to be blackmailed, why not get black-mailed by the BIG GUY? (hee hee hee hee hee !)

At last count, he hadn’t gotten the donation, and (egad) he’s still alive!

An interesting note: One of the most prominent manifestations of mental disease identified in clinical observation is religious mania (Pinchot 1988).[8] This may well impact the thinking person’s perceptions of those who claim religious wisdom by virtue of “revelation”. Is one person’s “revelation” another’s “hallucination”?

As we pointed out before, many of these are BIG BUSINESS. Look at Oral Roberts University, Heritage College, The 700 Club, The Arizona Baptist Foundation (yeah, the self-same that bilked millions out of unsuspecting "believers"), Bob Jones University, Kentucky Christian College (and their mysterious fire that destroyed "all" records), Billy Graham Crusades, the Bakkers (we all know about them), Robert (punch-out-a-flight-attendant-for-God) Schuller and his Crystal Cathedral, and the list goes on and on.

However, we cannot omit mention of the grand daddy of ALL religious corporations; whose palatial headquarters is it's own city-state, whose wealth is so great that they own their own international bank (which has had its own wealth of legal problems…no pun intended), and whose art collection is second to none in the world, The Roman Catholic Church.

Sort of adds a new dimension to the notion of a “Godfather” doesn’t it. Go ahead, make me an offer I can’t refuse!

Granted, some religious organizations provide some social services and some real (read non-propaganda) missionary work such as the work done by the Quakers, Jewish Community Services, and some others. Occasionally, we are even treated to a religious broadcast that has some basis in civility and sense, such as “Life is Worth Living” by the much revered Bishop Fulton Sheen, or “The Art of Living” by the equally revered Dr. Norman Vincent Peale. Nevertheless, for most religious efforts, these are a sideline, or too often little more than merchandising. Many others use the guise of "missionary work" as a cover for political action organizations. Look out (im)Moral Majority!

There are even a few (bless them) religious organizations that do not brand and banish the questioning mind as heretical. These are the minority... the "Moral Minority" perhaps?

One of the most cherished tenets of contemporary religions is St. Augustine's Principal[9]. Augustine, Bishop of Britain in the 6th Century Christian (read Roman Catholic) Church, found that getting instructions from and information to the ever more autocratic Rome was a very time consuming prospect. As a result, and with an eye to even further Church expansion, he devised a principal for operation that maintains that if mistakes are made and wrongs done, so long as they are made in the pursuit of the Higher or Greater Good, they will be forgiven. A pretty subjective criteria I would venture… whose "greater good" are we talking about here?

One cannot know what was in either Augustine's mind or heart when he devised this magnificent mystification, but it has been the stock excuse for excesses, misdeeds, avarice, greed, murder, theft, suppression, racism, war, disenfranchisement, rape, pillage, plunder, conquest, homicide, patricide, matricide, fratricide, infanticide, genocide, ethnicide, regicide, and the entire spectrum of selfish and self serving deeds inherent in humankind for the past 1500+ years; all done in the name of the Deity.

In 391, this was the basic rationale for burning down the Library of Alexandria, the greatest collection of knowledge the world had ever known. It was also the reason given for the slaughter of Jews and Muslims in Jerusalem in 1099. In 1208, the Papal Army at Beziers cited it as the grounds for the killing of 100,000 Cathares. Pope Gregory the IX invoked it as valid reason for instituting the Inquisition. His namesake, Pope Gregory XIII spoke likewise regarding the murder of 10,000 Protestants in France on St. Bartholomew's Day in 1572.[10]

Adolph Hitler intoned the sentiment when planning his "Final Solution", and we must not forget that Hitler considered himself to be a "good Christian" with Pope Pius XI holding special masses in his honor and Pope Pius XII largely ignoring the Nazi massacres of Jews, Gypsies, dissidents, and the disabled.[44] [45] Joseph Stalin also sited this imperative in laying the groundwork for his purges and pogroms, as did General Tojo in his strategy for the attack on Pearl Harbor, the systematic enslavement of prisoners of war, and the medical experimentation employed by both Imperial Japanese and Nazis. Again, we find it in the Fundamentalist Islamic rhetoric that seeks to justify the mass murder of innocents on Sept. 11th, 2001.

Southern Protestant Churches turned blind eyes to the KKK, Northern ones to child labor and abuse; and both to the iniquity of bigotry, "for the higher good". It has served as the raison d'être for war, slavery, witch- hunts, coups, blacklisting, mass murder, plunder, and assassination. Puritan "Pilgrims" sought a higher good and relief from religious persecution in coming to America; only to turn around and intone it again when they deprived those who allegedly practiced Wicca of their rights and their lives in the Salem Witch Trials. These are the religious practitioners who laid the groundwork for Protestant Christianity in the New World.

It is interesting to note that the Church Register of Salem Village Church (the self-same that notes the origins of the infamous witch-hunt) also notes in 1706 that Ann Putnum (the first and most vociferous of the accusers in the witch trials of 1692) recanted and confessed her wrongful accusations and allegations. The tome was later hidden in a barrel in the parsonage to prevent this fact from being made public. It now rests in the Danvers MA Archival Center [46]

Although we will address governance and lawmaking in another chapter, we cannot, in good conscience, omit the most unholy of alliances, the Theocracy. Here, religion (and its interpretation du jour) is the law of the land. From God-Kings to court Priests, from the Holy Roman Empire to Islamic Nationalism, from human sacrifice to the Religious Right, theocracy has proven itself the antithesis and antonym of Democracy.

The merger of religion and lawmaking, and the indulgence in quasi-philosophical hyperbole at the expense of the disenfranchised; these are the ways and means of the theocrat. It has been the emperor claiming (and every once in a while even believing) that he is the "son of heaven". It has been the mullah seeing heresies in every disagreement. It has been the king or queen availing him or herself of "divine

rights" at the expense of the poor and vulnerable. It is the religious leader perverting history and fact to gain power and control.

Western scholars of the Koran whom I have interviewed, have a difficult time in understanding the justifications used by the Islamic Fundamentalists currently governing many Middle Eastern countries (not to mention Bin Laden, Omar, and their Mujahadeen cum Taliban cum Al Queida thugs). Their "interpretation" of Islamic scripture appears a tad arcane to the learned eye of these erudite adepts in the West. [36] Now this conflict in understanding has taken on a most sinister face. Not just the face of the street terrorist with his car bomb or sniper's rifle, but the Trans-National Terrorist using commercial airliners as huge flying Molotov cocktails and attempting to hold an entire continent hostage to their particular brand of theology and theocracy. [11]

We all are more than aware of the manipulation and subjugation of the European population by the Roman Catholic Church for centuries from the fall of the Roman Empire until the Renaissance. Even as late as the 20th Century we watched the worshipful Japanese descend into war at the whim of their hallowed Emperor, the "son of heaven".

As we speak, Islamic Fundamentalists wage war on those they see as "infidels". Poor and poorly educated Arabs idolize criminals like Osama Bin Laden; who sends followers to their graves in attacks on innocent civilians. These "Religious Leaders" hide in caves, skulking around by night, afraid to show themselves except on videotape. They avoid personal risks, they use money and power to gain more money and more power; while hiding behind religious terms and scriptural hyperbole.

Had they been honest in the beginning, they would have simply run an ad in a newspaper:

WANTED, a country. Wish to establish a stone-age society based upon ignorance, fear and repression with small group of wealthy, poorly dressed misogynist despots in charge. Cash transaction only. No women need apply. Write to OBL, third cave from the left, Afghanistan.

These "Islamic Fundamentalists" or "Arab Nationalists", or whatever they are calling themselves as of the last newscast, preach purification of the faith and sanctity of the nation, while murdering unsuspecting innocents and leading their respective peoples into the 7th Century rather than the 21st; while in Eastern Europe, Christians murder Islamics in the name of "Racial Cleansing".

And even today, in 21st Century America, we watch the Religious Right manipulate information, re-write history, and attempt to seize power in what has thus far proven to be the greatest attempt at Democracy in History.

Ah... yes..., you in the back row pounding your little fist. You disagree? OK, let's check the facts.

EXAMPLE: Pat Robertson (you know, the television preacher who wants to be President of the US) distributed a calendar annotating not only the Birthday of George Washington, but the claim that he was "born again" as a "Christian".

FACT: Our first President, a self professed Deist and Humanist, did not subscribe to what he described as the "Christ Myth" and expressed himself so on a number of occasions. Read his own words for yourself in the Treaty of Tripoli (1797) Article Eleven; written by Washington, in which states categorically,

" the government of the United States is not in any sense founded upon the Christian Religion."

(You may also wish to refer to the Constitution concerning the binding nature of the words of this treaty upon the United States as a nation.)

Episcopal Minister James Ambercrombie criticized Washington from the pulpit for refusing to kneel to take communion. Washington called this practice "superstition" and never again attended services. [10]

EXAMPLE: The “Christian Right” (like all other religions in the USA) enjoys the privilege of expressing themselves and practicing their religion by virtue of the 1st Amendment to the Constitution. Various spokespersons of that persuasion have had the temerity to proclaim that right as being born of Christian Ideals.

FACT: The Bill of Rights was the brainchild of John Adams, who said,

"the doctrine of the divinity of Jesus has made a convenient cover for absurdity".

Adams too, was a Deist and Humanist. Also, he was greatly influenced by the likes of Washington, Franklin, and many other signers of both the Declaration of Independence and the Constitution, who were freethinkers and embraced the religious and philosophical tolerance of that philosophy. Apparently, no "born again Christians" could be located at that time, who believed strongly in freedom of speech or religion. [10]

EXAMPLE: The Christian Right frequently points to the swearing in ceremony of the US President (and its use of the Bible to swear upon and the phrase "so help me God") as an example of the Christian "nature" of the US.

FACT: The Presidential Oath of Office as detailed in the Constitution does NOT contain any reference to God or any requirement that the oath be taken or administered using a Bible, nor would a reference to God be uniquely “Christian”.

Some additional facts for your digestion (or indigestion as the case may be): The phrase "under God" was not inserted into the Pledge of Allegiance until 1954. "In God We Trust" did not appear on paper currency until 1956. Both occurred under stewardship of the conservative Republican Dwight Eisenhower (who reportedly did not even attend church regularly until becoming President; good PR you know!). While some may like them there (personally…I’m OK either way!), we must face up to the possibly cynical and certainly political motives for their inclusion. [12]

EXAMPLE: The ultra-conservative Republican contingent who number themselves among the Religious Right enlisted (among others) Journalist David Brock during the Clarence Thomas Confirmation Hearings to "report" on the character of Anita Hill.

FACT: David Brock, in his book Blinded by the Right, confesses that he "lost his soul" by printing allegations he KNEW to be LIES about Anita Hill. Defaming Ms. Hill was a convenient ploy by the Religious and Political Right to get their man confirmed despite his own history and actions. Apparently, “truth” and fairness are not doctrines of the Christian Right.

Ah yes, the issue of religious "TRUTH" once again.

EXAMPLE: Late 17th and early 18th Century clergyman, hell fire and brimstone preacher, and tireless self-promoter Cotton Mather assailed all who did not agree with his hyperbole, as " Satan possessed heretics, apostates, and non-believers"; and even boasted at having overseen the burning of some that he had unilaterally declared as “witches”.

FACT: "Cotton" Mather, whose own intellectual, academic, and ecclesiastical credentials are highly suspect, approved of Religious Freedom only in that it permitted him to exercise his religious beliefs, and profit very nicely from the exercise. He disapproved of ANY laws, customs, or practices that permitted

anyone to believe anything contrary to his view. Mather set the stage for, and is the acknowledged by many as the father of extreme right - fundamentalist Christian theology in the US.[13]

Many historians also credit Mather, with developing or elevating to an art, unique means of "detecting" a witch during inquisitions. Such detection methods included binding the alleged "witch" hand and foot, then tossing him or her into a pond. If the "witch" floated, it was because "God's water wouldn't accept" the witch, at which point they were taken from the water, and beheaded or burned. If the alleged miscreant did not float, they sank to the bottom and drowned. They were acquitted of the charge of witchcraft; but were dead all the same. Although the Meallus Malefacarum (the 15th Century religious handbook on witch hunting) called for burning the beheaded body of a witch (witches were considered to be willing albeit ignorant dupes of the "Devil" while heretics were willing purveyors of "unGodly" thought, Mather decided unilaterally that burning them alive at the stake was "more Godly". This was "Christian Justice", dispensed by those who fled England in search of "Religious Freedom", and their successors! [39] [40]

To add insult to injury, the principle accuser in the Salem Witch Trials, one Ann Putnum, later recanted and confessed that she wrongfully accused those who were tried and executed. This information was purloined and secreted for nearly 200 years at the behest of the "religious leaders" involved with this shameful chapter of "Christian" history, and their successors. Such hypocrisy seems to have become a tradition in American Religion. [12] [13] [15] [21] [46]

Note: Also See Nixon Tapes & Billy Graham

EXAMPLE: The Scopes Trial, in which the State of Tennessee prosecuted a teacher for introducing Darwin's Theory of Evolution into the classroom, although under what exact statute is unclear.

FACT: Few if any of the prosecution had ever read Darwin's Evolution of the Species , and the Judge (who also apparently had not read, or simply could not comprehend the text in question) permitted the prosecution to repeatedly misrepresent the nature of the text and the theory. This classic example of injustice, ignorance, close-mindedness, and use of government to promote a religious point of view, was so egregious as to become a cliché in modern social consciousness. The findings of the court were eventually overturned and (still despite some objections) evolution is taught in the Tennessee schools. H.L. Mencken, legendary journalist, author, and observer of the human condition coined the phrase "Redneck" in reference to those who prosecuted and opposed something of which they had NO understanding.[14]

Sixty years after that infamous embarrassment to the American Intellect, a resurgence in religio-political influence reintroduced "creationism" (fundamentalist, bible based, non-scientific, metaphorical quasi-explanations of the origins of humankind) into some less progressive school systems by seizing control of School Boards and local political structures.

(At least Charles Darwin had the good sense and good taste to identify his work as THEORY; as opposed to the fundamentalist oxymoronic claim of "biblical fact".)

This appears to be a sort of cross between Boss Tweed and Cotton Mather. Are church elders now the precinct bosses? Is Sunday School Attendance the new access to patronage jobs? Will your local maps to drawn up by the Flat Earth Society? Will the Health Department rely upon "faith healing" rather than medical science? Maybe we'll just pray for new roads instead of building them!

There are some communities in this country who still observe "blue laws"… laws which prohibit certain businesses from operating on one group's designated Sabbath. What does that do to our Constitutional Guarantees? What sort of Capitalism is it when the business of religion can dictate to its competitors when they will be permitted to operate?

EXAMPLE: George Herbert Walker Bush stated, while President,

"I do not consider atheists to be citizens of the United States"[41]

(Was that before or after he vomited on the Japanese Prime Minister?)

and

While speaking at the inauguration of George's son George W. Bush, Franklin Graham (Billy's son) "dedicated" the occasion to Jesus Christ. [21]

FACT: Millions of non-Christians, and those with other belief systems, have fought, bled, and died for this country to become what it is. Many millions more pay its taxes, work in its industries, and help to create the American Dream. The vast majority of them were not born into rich and influential families that were able to support their political aspirations, assist their avoidance of the draft, cover up their indiscretions, and finance their failures.

Should this "Presidential opinion" and "dedication" relieve them of any requirement to continue to pay taxes, to serve their country, or to continue to build a better tomorrow? The opinion of one recent President, and the inauguration of his son as President (assuming one accepts the questionable vote count and the Supreme Courts ill-advised intervention), have disenfranchised and insulted their belief systems. Should only the Religious Right have to serve and pay (as if they really *did* their part…hee hee hee)?

EXAMPLE: Rev. Billy Graham was a very close friend of and confidante to the Nixon Administration; and tried to appear as a benign spiritual advisor.

FACT: Billy Graham, while advising "Tricky" Dick Nixon (often called the "poster child for paranoia") portrayed the media as being in the "stranglehold of a Jewish conspiracy" (Nixon Tapes February 1972). He later "apologized" for this in 2002 when the tapes were released.[21] Note: See Cotton Mather

Bigoted, intolerant, self-serving, and self-righteous, Rev. Graham seemed to be far more tolerated BY the "Jewish controlled media" than he was OF them; American Jews who through hard work and intelligence, had become successful in the media and communications industry. After all, they broadcast his "crusades" didn't they?

Then, 30 years pass between this slanderous, racist, Jew-baiting characterization, and the "apology" that was only forthcoming when he got caught. Obviously, his conscience did not bother him, or he would have apologized sooner. Obviously, he saw no wrong in his bigoted words, otherwise he would not have said them. Are these the teachings of his "religion" and the values of his "Christian Faith"? It seems that his half-hearted "apology" is only uttered when the exposure of this might threaten the money-making machine of Billy Graham Crusades Inc.[15]

EXAMPLE: virtually all religions state categorically that there is an order to the universe, and that that order was created or brought into being by the Deity.

FACT: While this may or may not be true, we have nothing to compare the order of our universe to, in order to determine if it IS orderly. Maybe this IS chaos. How would we know the difference? Perhaps out of chaos comes order by some mechanism, of natural selection.

Perhaps this is the reason why the early church wanted to believe that the earth was the center of the universe; and why they fought so hard against any statements or information to the contrary. Perhaps this is why many religious belief systems today resist the idea that there may be life on other planets. Perhaps they fear that any other beings would undermine their definitions of the universe.

EXAMPLE: The Roman Catholic Church (since Roe V. Wade upheld a woman's right to privacy in reproductive matters) has increasingly sought to establish itself as the spiritual and moral arbiter of all matters sexual.[41] [21] [30]

FACT: During that self same period, the "Church" has not only suppressed information regarding the conduct of its own Priests in matters of serial pedophilia, rape and sexual abuse of children and women; but actively covered up the activities of such as Geoghan, Shanley, Paquin, and numerous others by hiding their acts, transferring them to safe harbors when the acts were exposed, further victimizing the victims to avoid exposure and liability, and apparently conspiring with the Vatican to conceal these heinous and odious acts and avoid culpability.[16]

As a friend of mine in college once observed: "here are a bunch of old men, cut off from the real world, living in an Italian palace, and wearing dresses all the time. What do they have to say about sex that I would want to hear?"

EXAMPLE: Many of the Religious Right have proclaimed that the "Dead Sea Scrolls" serve as "proof" of the veracity of their religious beliefs, (except of course for those that don't!).[1] [5] [6]

FACT: First, many very respected Aramaic scholars who have studied these scrolls have concluded that (without cheating, and using a modern biblical text as a questionable template) only one in approximately 8 characters can be accurately deciphered in the majority of the scrolls. [3]

Second: Pressure brought about by the major religious bodies has resulted in academic access to the scrolls to be limited in recent years to "approved" scholars. [36]

Third: Those proclaiming the scrolls to be "proof" tend to ignore another earlier finding in the desert in 1945. At the caves near Nag Hammidi in Egypt, an entire library of biblical texts was found. These texts (known as the Nag Hammidi Library), many clearer and more easily deciphered than the Dead Sea Scrolls, contained dozens of "gospels" portraying the characters of the New Testament in a vastly different light. Among these is the "Gospel of Thomas", portraying Christ as an itinerant Gnostic philosopher. [17]

One set of desert documents is embraced, although barely decipherable; while another set, with many more easily read, is ignored and quashed? The fact of their existence is indeed material fact. Only objective study and unbiased, dispassionate analysis will reveal the validity of either. It is in impartial understanding alone that lies the root of verity.

Now, this phenomenon is not limited to the American "Religious Right". Not by a long shot. It is, however, a tactic used by those who wish to "create" their own "truth".

EXAMPLE: The Palestinian Arabs, reinforced by their Mullahs, Sheiks, and various other Islamic "authority" proclaim Jerusalem and the "Temple Mount" to be one of the "3 holiest places" in and of Islam.[30]

FACT: As Arab-American Journalist Joseph Fahar of ***World Net Daily*** observed: As a "holy place" Jerusalem is not even mentioned in the Koran, nor is there any evidence in the Koran that the Prophet Muhammad ever visited the area.

No one in the Islamic world seemed very interested in Jerusalem until the State of Israel was created in 1948. Since then those calling themselves "Palestinians" (Palestine as a legally defined geo-political entity was created by international partition after WW1, less than 30 years before) have claimed, with little or no historical credence, the area as their historic homeland and "birthright". Again, history is re-written to attempt to "prove" a falsehood.

Not only does Jewish and Roman Empire history place the Jews in what is now called Israel at least 4 Centuries BCE, but Egyptian hieroglyphics found in the Valley of the Kings support this historic claim.[17]

What ever happened to Religious TRUTH? Did it fall victim to Augustine's little peccadillo? Is it really the malleable commodity that was referenced? Perhaps "religious" truth is somehow different from real or factual truth. Perhaps the religious can avoid showing good faith in truth in the same way that they avoid paying taxes on their businesses.

What ever happened to the First Amendment? Why is that which protects religious organizations, so often used by them to assault others?

It is a very telling commentary on all of this that the word "Propaganda" in our contemporary usage has become synonymous with questionable information, or misinformation, if not outright lies. This word was first coined by the Church, and means "to propagate (spread) the *faith*" (where have we seen that before?). Perhaps our contemporary usage, in this instance, is closer to the objective truth than we are aware.

Of course, there are those times when they just say things that are simply inane. On November 18th, 2002, an interview with Jimmy Swaggert was broadcast on NBC, during which "Reverend" Swaggert (sans prostitutes) expressed his view that Islamics in the US should be "sent back where the came from"; and that he and "Reverend" Jerry Falwell were justified in inflammatory rhetoric toward Islam because "they do the same thing".

First, he fails to recognize that many Islamics in the US were BORN here. Duh!

Second, "doing the same thing" doesn't appear to be taking the moral high road ostensibly required by Christian doctrine. Double Duh!!

Thirdly, If they in fact were erudite students of religious philosophy and history, they would realize that Islam is not the problem, it is the application of the philosophy. History records that more war has been waged in the name of Christianity than virtually any other religion or cause. Duh squared!!!

Fourth, if the "Reverends" Swaggert and Falwell are so hell bent to rid the world of such "evils" why don't they simply enlist in the Military and volunteer for service in the Middle East. Duh to da max!!!!!

Religious Truth:
A personal experience

In the early 1970's, I was studying at University , and taking a course in Comparative Religions. My project for this course was to complete an in-depth interview of a clergy-person for their insights on ecumenical ideologies.

My choice for this project was a Priest of the Old Catholic Church; who, because of what transpired, made me promise to only identify him only as Father Francis X. Doe.

During the course of several weeks of interviews, discussions, debates, and dialogs, Father Francis came to apparently trust in my circumspection. As such, one night, he asked me if I would accompany him to the house of a Parishioner. This Parishioner was an immigrant from Eastern Europe, and was believed to be "possessed".

I accompanied the aging, wizened, Priest through the snowy night to an apartment over a dry goods store. The young man thrashed about in bed, swore vile and "heretical" epithets, spat bile, and upon awakening, claimed to have no knowledge of the events.

This Priest's religious tradition believed strongly in the concept of possession and of Exorcism, but had shied away from the practice owing to Mr. Blatty's sensational book The Exorcist , and later the movie of the same name; hence, the Priest's desire that I not publish his name in connection with this event.

Standing by while the little Priest conducted the lengthy traditional Latin Rite of Exorcism, repeating the prayers and admonitions for hours. The young man eventually became calm, at length accepted the Rite of Communion, and seemed to divest himself of the symptoms of the "possession", or perhaps simply succumbed to exhaustion.

Upon departing the home around midnight, the diminutive Prelate and I discussed the experience all the way back to the rectory, and then until nearly daybreak. I posed psychological, physiological, and psychosocial scenarios that met the facts, and could explain the phenomenon. The Priest calmly, but with increasingly weakened conviction, countered with accepted theology.

Finally, taking the proverbial bull by the horns, I confronted the Priest by asking:

" Do you really believe that this young man was possessed by a demon, and that your Latin conjugations cast it out?"

to which he replied:

"It doesn't matter what I believe. It doesn't matter what you believe. What matters, in this case, is what he believes, and how that affects his life. Religion is a purely subjective endeavor, and spirituality is a purely personal thing."

A wise man, THAT little Priest.

Dis-organized Religion

OK, I admit it; I cannot resist a pun. I have often been accused of being *dis*respectful to organized religion, of “dis-ing” organized religion; so what else should I have called this segment?

Over the past 40 years, there have been a great many people who have sought out *alternative* ways of expressing and discovering their spirituality. Not that this is a new phenomenon, but there has been a very marked increase in it since the 1960’s. There are people who found no meaning in the organized religions of their parents or their social milieu, of their ethnic tradition, or that which demanded that they act in concert with others. They sought out more personal ways of experiencing their spiritual selves.

Some sought the eastern traditions of Hinduism, Buddhism, Jainism, and Yoga. Others adapted eclectic philosophies to their personal need. Some meditated, others chanted, some sought the spiritual values of those who worshipped earth and nature. What those I am speaking of have in common, however, is that they pursue their spiritual individuality as INDIVIDUALS. They do not seek the reinforcement of a group. They do not require a prescribed ritual or orthodoxy. They seek for themselves.

This does not for a moment mean that I would counsel against an individual seeking a spiritual path alongside those of a similar point of view. This does not mean that I do not recognize the value of fellowship.

What it DOES mean, is that I recognize that any organized religious, philosophical, theological, or ideological group that is not open to the tolerant, empathetic, intelligent, and civil discussion of ideas that are not within their school of thought; is an anathema to humanity.

If they are truly "organized" then they represent the body of their followers or adherents "organically". They are the organism of their philosophy. No complex organism can survive and grow in a healthy way if it does not absorb a wide range of nutrients. No organism can grow strong if it does not encounter that which is different from itself. No organism can develop if it cannot learn to adapt. No organism can live in a vacuum.

We see the sickness in organized religion in the strife that it engenders. Organized religions tacitly, passively or actively seek the destruction of other organized religions over petty differences in belief and conviction. The differences are petty because they are all based upon a very frail, very limited, and very human understanding of that which is so infinitely bigger than the human ability to conceive that we have barely an inkling of its nature.

People have died over the interpretation of scripture of which we have no valid documentation, no historical proof, and no logical right to proclaim correct or incorrect. People are killing others because "their" prophet or messiah was not another's prophet or messiah; based only upon what some unidentified writer cryptically said at some unspecified point in time, in a language that may not even be recognizable today.

At various points in history, it appears that some rather self- involved people decided what should be read as part of various "sacred" texts and what should be discarded. Other self- important folks seemed to have decided what philosophical points should be included in certain faiths, and what should not. Still others took it upon their own to decide how such revered ideas should be observed, and by what means.

When you strip away all of the posturing, all of the protocol, all of the rhetoric, and all of the ritual; you will probably find that each and every one of these religious schools of thought began with some very innocent, very primitive, and very scared people simply trying to understand why the sun rose in the morning and went down at night; why the seasons changed and the lightening made fire, why they were born and why they died. They sought their own innate spiritual answers to cosmic questions.

As they began to organize themselves into simple social units, in their simplicity they postulated, they theorized, they confabulated, and they created myths and mysteries. These myths and mysteries grew, mutated, were cobbled together, were transmogrified in the retelling; and became what we see today; a little fact, a lot of fiction, maybe a little love, a bit of avarice, a morsel of anger, a dash of hate, and more than a smidgen of fear.

The birth of religion is lost in the mists of a long ago time and place of myths, superstitions, legends, and lore. Democratic principals were born of reason and understanding. If for no other reason, church and state should and must remain separate and apart.

Believe what you will, if it makes you a more loving, productive, and caring member of society! However, don't feel that you have any corner on truth, because you don't even have a corner on fact!

When one decides to identify ones self with an established or defined group, sect, school of thought, ideology, corporation, political party, or any other cultural identity; one must accept the entire mantle of that group's history, actions, positives, negatives, rights, wrongs, goods and evils. If you join, you are part and parcel of that organization.

Popes, Prelates, Priests, Proselytizers, Pedophiles, Pulpit- Pounders and Propagandists

On of the worst kept secrets in my lifetime has been the abuse of children by sexual predators in Clerical collars. As a child I recall whispers among my Catholic friends (those who attended Catholic Schools) about priests who had "favorites", and enjoyed what was euphemistically called "special time" alone with these children.

Frequently these kids would begin to exhibit strange and aberrant behavior, and occasionally, the "Church" would intervene, providing funds, educational opportunities, job opportunities, relocation, special medical assistance, and other "special help" to the families; and the Priests would be reassigned or find themselves in need of "contemplation and reflection"; usually at a distant monastery.

Over the past 25 years, the reality previously covered up by this euphemism has emerged into the light of day. [30] [23] [21]

On April 29, 2002, I opened my morning paper to read that Cardinal Archbishop Bernard Law of the Archdiocese of Boston had, in response to the legal charges against the infamous pedophile priest Paul Shanley, asserted the legal defense that the "child (age 6) had been negligent" in allowing himself to be molested.

Even in Biblical and Scriptural text[18], a child of 6 years is held to be blameless. It becomes clear now, even though Law has since resigned, that the Roman Catholic Church is not above manipulating both secular and its own biblical law in trying to avoid their ethical and moral responsibilities in these matters. This following directly upon the heels of the private meeting between the Cardinal and the Pope, and the "historic" meeting of the American Cardinals with the Pope at the Vatican seems to indicate that the real purpose of those meetings was strategy, not moral reflection.

In August of 2004, world-wide news organs reported that Cardinal Law had accepted a "very public" role and position in Vatican Politics, further lending credence to the contention that he is being rewarded for years of obfuscation and duplicity in protecting the Church from its own bad habits.

To complicate and make this matter even more heinous, the errant clergy are using their own sacraments to obstruct justice. Priests who molest frequently confess their acts to another Priest. The "father confessor" is now bound by the "seal of the confessional", and to break this seal would mean expulsion from the church. Aside from any ecclesiastical implications, he would lose his livelihood, pension, etc.

Now. should the word get out by ANY means, the penitent priest could point an accusing finger at the priest to whom he confessed as having violated the "seal of the confessional", so the priest who heard the confession has only two alternatives: participate in the cover-up, or risk his very secure livelihood and generous pension.

Ostensibly, this portion of church law was designed to protect the penitent from the unfair treatment of corrupt civil authority, and the confessor from being used by corrupt officialdom; or perhaps not. While such an argument is a good one, perhaps this is the way it was always supposed to work; and we are simply realizing the historical FACT of the matter. (It is well to note that although less formalized in other religious organizations, many also apply a rule of "privilege and confidentiality" to that which is told to the clergy. The result is the same.)

60 years ago, the Catholic Church as an organization in Europe, turned a blind eye to the plight of Jews under Nazism, and in fact enjoyed a cordial relationship with the Third Reich.[7]

After the end of WWII, Pope John the XXIII tried very hard to reform the Church,[42] but fate cut short his efforts. Later Pope John Paul I voiced a similar comment, only to die a few days later. Perhaps there is some substance to the adage that the good die before their time. On the other hand, it does seem a bit ironic (seeing that I seriously doubt the probability of a coincidence) that the only two avowed reformers in the Vatican since WWII died so "precipitously" while trying to undertake those reforms.

In recent years over 250 Priests in North America have been arrested on molestation and abuse charges. Weekly we hear of more and more revelations such as those from the Massachusetts Archdiocese regarding Fr. Buntel, and his cocaine and boy-sex ring; Fr. Furry with his Cape Cod hideaway for a mistress and her son; and Fr. Miffen, who recruited young women to become nuns, and molested them as part of the "teaching process".[21] [36]

IF the Roman Catholic Church HAD managed in the last half century to build up any form of moral or ethical stature; it itself has destroyed it. It would appear that this bunch of old men wearing dresses and living tax free in an Italian castle are not only out of touch with the law, social propriety, ethical responsibility, societal needs, and moral obligations; but are willing to turn a blind eye to their own theology in order to save themselves and their power base.

An excellent example is the attempted cover-up of the death of Vatican Official, Enrico Sini Luci in Rome; who was found strangled in his apartment surrounded by his collection of Papal and Vatican medals, and his collection of gay pornography. Case "closed" by Vatican influence.[19]

"Black Collar" Crimes

In all fairness, it must be noted that sexual misconduct is not the sole province of the Roman Catholic clergy.[20] [30] [21] [23]

Televangelist William Wasmus of Columbus Ohio was convicted in 1994 of having sex with 5 underage children and videotaping the acts with church owned video equipment.

Pentecostal Evangelist Mario Leyva of Columbus Georgia was convicted in 1990 of sodomizing 100 underage females.

Evangelist Dom McCary of Chattanooga Tennessee was convicted in 1992 of sodomizing 4 underage females.

Presbyterian Minister Bruce Bridgen of Alva Oklahoma was convicted of molesting 11 young females, age 4 and up.

Mormon Sunday School Teacher John Midgett of California was convicted of molesting eight little girls age 5 and up.

Methodist Minister Carey Mavor of Arizona pleaded guilty to having sex with children under 14.

Lutheran Rev. James Holmgran of Minnesota was convicted of the sexual abuse of young boys.

Baptist clergyman Juan Wyley of Elgin Michigan, was convicted of sexual assault of a minor.

"Televangelist' Jimmy Swaggert was arrested in a compromising situation with a couple of (shall we say) "professional ladies".

"Religious Right" Evangelist Tony Alamo was convicted of Income Tax evasion; and during testimony it was discovered that he had "married" two 15 year old children and subsequently abused them.

Christian Fundamentalist school administrator Rev. Duane Smith of LaPorte Indiana was discovered in 1992 to have sexually molested children in his school.

Baptist Clergymen Keith Green (FL) and Jon Walker (CA) were convicted of child molestation.

Rev. Richard Jones of Family Life Church in Park Hills MO molested underage boys while teaching them that the Bible condoned it.

Rev. Lloyd David of 1st Christian Fellowship in Waukegan IL, was convicted of possession of child pornography and sexual abuse of young boys.

Lutheran Clergyman James Weller, Redwood City CA: multiple charges of sexual abuse of minors.

Rev. Earl Bierman (KY): 6 counts of sexual abuse of young boys.

The Kingstons, a Utah Mormon clan who were found to have arranged the marriage and molestation of multiple underage females.

Evangelist Jonathan Bell, indicted for child abuse in the US and elder abuse in Canada, is currently serving time in Federal Prison.

Wesleyan Church clergyman Jeffrey D. McKelvey of Iowa was arrested while soliciting sex with an undercover cop while dressed in drag.

Evangelical Reverend David Moore of LaQuinta CA, a quarter-of-a-million-dollar-a-year pulpit pounder with a proclivity for being photographed in the nude, and cooking the church books.

Arkansas Minister and popular Radio Evangelist Troy Snowden, who served 5 years in prison in the early 1990's for fraud and transporting a minor across state lines for sexual purposes; then established his "ministry" in Coral Gables, Florida; where he has been indicted on child pornography charges.

And it's not only sex:

Fr. William Ryan of Stockton CA, who embezzled $76,000 from his church.

A ring of Priests in Poland convicted of arranging for the theft and import (for sale) of foreign cars.

Jim Bakker, and his fraudulent "Christian Theme Park", into which gullible believers poured millions, virtually all of which disappeared into ole Jimmy's pockets; while he enjoyed the carnal pleasures of his secretary.

Arizona Baptist Foundation, a "Christian Investment firm" who ran a Ponzie scheme on thousands of the "faithful", costing them millions of their hard earned savings in a cynical con game.

Kentucky Christian University who enticed students (by using fraudulent credentials) to study for worthless degrees. When investigated they experienced a fire, which "burned up all of the records."

Catholic Healthcare West, a Catholic Church and Religious Order based HMO, was compelled by the courts to pay $9 million in fines and reimbursement for 9 years of Medicare Fraud.

Indianapolis Baptist Temple, closed down by the IRS for failure to either pay or withhold $6 Million in taxes from employees salaries; thus making the employee a party to the crime, or placing them in the unenviable position of having to pay their taxes in arrears to the IRS.

Evangelist Jim Whittington sentenced to 10 years in prison for mail fraud, money laundering, conspiracy, and interstate transport of stolen property.

Bernie Ebbers, grand guru of WorldCom and executive chef in charge of "cooking the books" is described by himself, his colleagues and friends as a "devout Mississippi Christian".

Evangelist WV Grant, found guilty of Tax Fraud.

Rev. Sung Yung Moon and his Unification Church. Moon and his "moonies" were very big on unification, unifying themselves with money that the government said wasn't theirs.

Televangelist Morris Cerullo was banned by British Television for broadcasting unsubstantiated testimonials.

Rev. Gerald Payne and his 4 henchmen were convicted of fraud in a pyramid scheme called the Double Your Blessings Ministry.

The Church of God (Anderson Indiana) reached a settlement with the Securities and Exchange Commission over the defrauding of contributors in a sum exceeding $81 million.

The Mormon influenced scandals of the 2002 Winter Olympics.

Sometimes it's about both…or worse…

Self-Styled Mormon Elder Tom Green found guilty of not only Welfare Fraud, but of raping one of his numerous wives when she was 13 years old.

Deacon Henry Meinholtz convicted of rape and murder of a 13-year-old girl in Kingston, MA in 1991.

Rabbi Fred Neulander of New Jersey, convicted of conspiracy in the murder of his wife.

Moreover, we must never forget the Reverend Jim Jones, and the Jonestown Massacre! Seeing himself as a latter day Moses, he established his own deadly "Holy Land" in Guyana. .Self-will ran riot, with his ego was placed above all else, the "Reverend" began to believe his own hyperbole, and many innocent people died. [21] [23] [30] [36]

The clergy, or the "religious", are a very small sector of the professional community. They are a profession, which vociferously espouses it's own morality, ethicality, and righteous philosophy. There are fewer clergy than there are most other professions. Would our society tolerate this level of criminal activity from such a large segment of any other profession without instituting some sort of supervision or governance?

A wise Chinese philosopher once observed that a fish rots from the head down.

How can and why does this happen? What is the "truth" behind the fact? The "truth" of these revolting episodes, if there is such a thing, is locked deep in the psyche of the perpetrators. However, there are some commonalties in all of these events that may shed light on what environments foster their occurrence.

The perpetrators were **part of organized religious movements** which decry "heresy, heterodoxy, or dissent" among its followers. They all "professed" **the proper doctrinal positions**, philosophical **leanings**, and **political positions.** They all mouthed the proper and appropriate words to obtain and maintain their positions of authority and power. Having done so, the organization sought to protect and foster their activities on behalf of the organization in order to maintain its veneer of orthodoxy and conformity. **They sought to protect the paradigm of Groupthink.**

Extensive FBI and Dept. of Justice studies have shown that rape and molestation are NOT crimes of "passion", but crimes of power and control using the sexual act as a tool to degrade and subjugate the victim. What does this say about the perpetrators, those who have protected them, and those who employed them? [22]

The more we observe and study, the more we can see a common thread through all of these abhorrent acts and events. All of these acts have a strong component of power and control. Power corrupts and absolute power corrupts absolutely. The more power we as society allow to be invested in any one person, any group, or any class of people, the more corrupt that group will potentially become unless public safeguards are in place. Power must always equal accountability and responsibility. Anyone wielding any modicum of power or authority; legal, "moral", financial, or social; must always be held strictly and publicly accountable and responsible for the use or abuse of that power.

Clergy who point to the "seal of the confessional", or to "privileged communication" as a convenient cover for not exposing a peer for their criminal acts are just as guilty as those who did the dirty deed in the beginning… the "original sin" as it were.

It appears in case after case after case that the need for the organization' members to appear in lock step on issues of polity was far more important than a critical ethical examination of its leadership. It can be argued that philosophical conformity was more important than conduct.

It then follows that the fundamental "truth" of each of these organizations, their policies, their leadership, and their reasons for being, may lie far more in their style than in substance. Ethics and conduct seem to be of lesser importance than words and posturing. Free thought is an anathema to them. Open minds cause them fear. They would rather risk the presence of predators, perverts, political opportunists, those who would pervert the law, pervert their own espoused standards of morality, and prey upon the defenseless; than to open their minds and ranks to others who do not use the cover of polity and policy for their own unethical, immoral, and illegal ends.

9-11-01 Day of Pain, of Infamy, and of Awakening.

It is essential at this juncture that we address the infamous and abominable acts occurred that may have forever changed the lives of all Americans.

Who could and would do such a horrendous thing to innocent people? Who could find it in their soul to commit such a heinous and reprehensible act of terrorism, barbarism, and savagery?

They were "True Believers", the "Groupthinkers". They were and are people who are so wrapped up in their own narrow vision and/or espousal of what is "TRUE" that they no longer feel themselves bound by common decency, and civilized principles. They are both the "religious leaders" and the ones who do not question the teachings of the Mullah, or the Cleric.

They are the ones who pronounce judgment on others couched in the words of holy writ. They are the ones who readily advise you that you cannot get to paradise except in THEIR way. They are the ones who cannot bring themselves to see anything from any viewpoint other than their own. They are the sanctimonious, the self-righteous, the unquestioning dedicated disciples; the ones who never seek another perspective, another explanation, an alternative answer.

A group of fanatical, theocratic, fundamentalist Muslims led by a wealthy manipulative coward, committed a deed that will go down in history as the very definition of abomination. It ranks with the Holocaust, the Children's Crusade, the Bataan Death March, and the Inquisition as examples of the worst of what humankind is capable.

A few days later, Jerry Falwell, American cleric and ultra-fundamentalist (and "True Believer"), was quoted as blaming the destruction wrought by these sociopaths on "feminists, homosexuals, abortion (see right to privacy and Roe V. Wade) advocates, liberals, and the ACLU". That is to say, upon everyone who doesn't see things his way. [23]

Sheesh…Say it ain't so, Jerry!

Conversely, church leaders (in the Lutheran Church – Missouri Synod) have censured the Reverend David Behn, for taking part in the Ground Zero inter-faith observance following the loss of life on 9-11. The hierarchy of his "faith" are displeased that there were non-Lutherans allowed to speak at this event, and that such people (described by the Lutheran hierarchy as "Pagans"), were an "affront" to the Deity as they perceive it; and that Rev. Behn owes "an apology to God and to all Christians" for taking part in such a loving, caring, supportive, and compassionate event.[21]

Such ignorant prattle, self-serving doggerel, inane opinionation, close mindedness, and mean spiritedness, are more like the perpetrators of this tragedy, than different from them.

Karen Armstrong, former Catholic Nun and author of the much-respected work **A History of God,** noted that fundamentalists are convinced that " secular…society wants to wipe out religion".

It would seem that someone removed the "mental" from "fundamental".

A school of thought or a philosophy cannot be "wiped out". Thoughts cannot be surgically removed from the human brain or the collective consciousness. Parts of society, may outgrow certain schools of thought by increased understanding or education. Some philosophies may prove themselves unworkable or contrary to the public good, but they are never "wiped out."

Ancient Native American Culture still flourishes because it meets the spiritual needs of its believers. Likewise, the philosophies of Wicca are still observed, and Animism is alive and well in many African cultures and societies. Pele is still revered by many Hawaiians.

Despite the horrors of WWII, we find that Nazism and Fascism still survive. A decade after the fall of the Berlin Wall, there are Leninist-Stalinist Communists still trying to retrieve power. Despite the advent of the democratic process and elected officialdom, there are still kings , queens and monarchs among us.

Although we can photograph it from space, fly around it in an aircraft, or sail around it is a ship, there are still those who cling to the notion that the earth is flat. Despite the mapping of the human Genome, and the study of its relationship to other living things, there are those who cling to quasi-metaphorical explanations for the origins of life on earth. (Don't forget, 97% of human DNA is identical to that of Apes).

Despite the huge body of evidence, and the media coverage witnessed by millions, there are still some who deny that American Astronauts visited the moon. They may have visions and religious experiences, but they cannot seem to believe their own eyes.

Scary, isn't it?

Those who want you to believe that which you cannot see, will not believe that which they can. Those who clamor for the right to worship as they please begrudge your right to the same opportunity if it differs from theirs. Those who speak the loudest about morality seem to be among those who demonstrate the least moral behavior. Those who are the first to judge the actions and words of others seem to be those who want their own judged last and least.

Schools of thought, religions, faiths, creeds, belief systems, these are not "wiped out" by some secular bogeyman or intellectual conspiracy. They survive because people (for whatever reason) want them to, or they die a natural death when they no longer fulfill a need. The fundamentalists tend toward conspiracy theories simply to attempt to justify their position.

They are really taking the "fun" out of fundamentalism.

With apologies to Ms. Gertrude Stein: " a fundamentalist is a fundamentalist is a fundamentalist."

~ ~

"Man is a dog's idea of what God must be." Holbrook Jackson

"**Did you ever notice that DOG is GOD spelled backwards? Author**

One man's cult is another man's holy order! Anonymous

Spirituality VS Religion

No, they aren't necessarily mutually exclusive, although there is a body of sentiment that perhaps they should be. It is very important, now, however, to make the distinction.

Humankind has been seeking to identify, comprehend, elucidate, and nurture that element of human nature that we identify with the spiritual for a period pre-dating history. By the estimations of many erudite and learned anthropologists and historians, this search even pre-dates human efforts at rudimentary socialization.

The duration, energy, and resources dedicated to this pursuit can leave us with the conclusion that the spiritual component is one that is naturally occurring in and a basic element of the human being and human experience.

Religion, on the other hand, seeks to relegate and conform that experience into a formal and defined dictum, or school of thought. This phenomenon has been with us, by some estimates, for only about 12,000 of our over 1,000,000 years walking around on this planet.

The pro-forma nature of religion and the transcendental consciousness of spirituality can exist quite well apart. Neither necessarily "requires" the other to perpetuate its goals and ends. Likewise, the two can co-exist and compliment each other by supporting the individual's spiritual search and providing safe haven for inquiry and counsel. However, religion as a social contrivance has limits that the human spirit does not. Religion requires structured definition, while spiritual exploration may require constant re-definition as it grows, flourishes, and finds new parameters.

The Language of Contemporary Religion

Contemporary religion has its own parlance. Just like the usage of the word "truth", discussed previously, it appears (at least to this observer) to obscure rather than elucidate, to confuse rather than clarify, and to deal subjectively rather than objectively with its own subject matter.

The religionists often claim to "serve God" when they are in fact serving the organizational church, political action committee, or corporate structure.

They implore both the believer and non-believer to "give money to God's work"; when said money in fact serves the organization, the politician, or the corporation. If God is all-powerful, why should He (or She, or It) need money?

They may ask if you are "born again" or "saved". There is no good answer to this, because the definitions are purely subjective and in the mind of the asker. No matter how you perceive yourself, the asker of this question will only deal with his or her own subjective definition and perception. Such is the nature of the cliché.

Likewise, the definition of the "good" Christian, the "good" Jew, the "good" Muslim, the "good" Hindu, etc. etc.; is purely rhetorical, purely divisive, and purely subjective. These terms are more often used for the purposes of argument than for definition.

A "martyr" was once defined as one who freely gave his or her life for a worthy cause; and now is used to identify a suicide/homicide perpetrator whose family profits financially from the act.[21]

Are these simply poor usage of the language by uneducated people, or are they purposeful obfuscation meant to serve the purposes of confusion, misunderstanding, divisiveness, conflict, and discord?

A peek into the traditional language of religion in America can also raise some uncomfortable questions.

For example, terms like King, Prince, and Lord seem to be at odds with a country founded on the principle of equality and disavowing the trappings of aristocracy. Religion in "Christendom" seems rife with references to monarchy, aristocracy, and royalty; as though terms like God, Deity, Savior, Holy, and Sacred were not enough.

This makes one wonder how committed those experiencing the freedom of religion that America provides, are to the principles of Democracy and Equality, and the ideals of which it was born.

The Power of the Pulpit.

We watch in sickened awe while Fundamentalist Muslims launch suicide attacks against innocent civilians. Our stomachs turn when we see bystanders near an Atlanta woman's clinic killed and injured by a bomb planted by a subscriber to the doctrine of the Religious Right. Nausea sweeps over us as we watch Protestant and Catholic murder each other in the streets of Belfast. We grow ill when Muslims and Hindus slay each other in Kashmir. Hatred is perpetuated from generation to generation. It is generated from person to person, group to group, cell to cell, congregation to congregation.

What do all of these have in common? They all attend their own religious observances led by their own religious leaders. He or she may be a product of an established Religious Order, a University School of Theology, a radical splinter group, or just self-appointed and self-anointed Brother Billy Joe Jim Bob leading the prayer service that night. Minister, Preacher, Cleric, Mullah, Rabbi, Imam, Priest, Guru, each has culpability and bears a responsibility.

The religions of the world could NOT perpetuate the level of hatred and violence that we see demonstrated without the complicity of the clergy. There are those who promote the intolerance, violence and hatred, those that tacitly condone it, those that blithely ignore it, and those caitiffs who fail to take a real stand against it; sins of both Commission and Omission.

The pulpit is a powerful place. People actually PAY (OK, "contribute") to come and listen to someone spew this week's rhetoric. This is a heady experience. One stands before a crowd of people, and this crowd hangs upon your every word.

Many of them actually believe that what you are saying holds some similarity to "Truth". They may even give your utterances some credence for their own lives. It is empowering. It is ego building. It is intoxicating. It is addictive. TV Preachers con the gullible public out of their hard-earned money. Pedophile Priests, Preachers, and Pulpit-pounders abuse little children in the Sacristy and Sanctuary. Ministers who promote themselves as paragons of virtue are paying (or slickly avoiding) child support for

illegitimate progeny. Mullahs hide in caves while exhorting impressionable youths to "martyr" themselves as suicide bombers, meanwhile amassing capitalist wealth and condemning western values.

Whether by commission or by omission, the clergy bear a tremendous responsibility in all of these horrendous events. Many learned historians have submitted that the Papacy covertly organized the "Children's Crusade" and sacrificed the lives of untold numbers of infants simply to prove its power and authority had not dwindled. It is a very valid argument that many Middle Eastern Clerics manipulate Islamic teachings to divert the attention of their followers away from the simple facts of their incompetence to govern. Like Hitler, they give the people an ersatz enemy to either conceal or explain away their own failures while continuing to gain wealth and consolidate power. [30]

Many Clerics frequently involve themselves in inflammatory rhetoric on political issues; especially those issues which lend themselves to violent actions. This is made even more heinous when they hide behind their clerical collars and while exhorting others to violence, unwilling to put themselves in harms way to support their own philosophies.

For millennia, the religious groups in our society have existed in a sort of separate reality from secular society. If *Associated Press* was correct in their reporting of April 24, 2002, Pope John Paul II ***finally acknowledged*** that sex abuse was a crime and a sin. Well…stop the presses! The Bakkers, Arizona Baptist Foundation, and other of their ilk were flabbergasted when told that their confidence games and Ponzie schemes were illegal. Wow! Palestinian terrorists and "martyrs-in-waiting", roll out their anti-Israeli rhetoric to justify their actions; but mentioning to them that Israeli actions may simply be a response to their own murderous exploits simply draw blank stares; they cannot even begin to comprehend anything but their own point of view. Jumpin' Jiminy; how can so many people live in such a small vacuum?

Any leader, follower, speaker, listener, reader, writer, teacher, student, activist, sideliner, or oxygen breathing *Homo Sapien* , who expresses, condones, or turns a blind eye to any act of intolerance in response to the privately held spiritual values of another, or uses their religious philosophy or position to disenfranchise, injure, or tacitly victimize another, is just as guilty as those who have perpetrated these unholy acts of terror and criminality.

Many contemporary Christian fundamentalists point toward the "liberalization" of 19th Century Christian Theology as an "evil" that their fundamentalist movement has sought to overcome. How many religious wars and acts of sectarian violence resulted from this "liberalization"? [10]

None. So…wherein lies the evil?

The Role of the Clergy in the 21st Century and beyond.

Throughout human history, we have elected, sanctioned, or tolerated that group of people to whom we have entrusted the administration of our organized religious worship. The clergy has long held a special position in our society. They have been variously referred to as "keepers of the mysteries" or the "traffic cops on the road to heaven". It was supposed by our society that they should set a moral example for us to follow, and ethical paradigm for our emulation.

History has proven that to not necessarily be the case. Ancient history shows us that they proved as often to be politically motivated fakirs as anything else. The history of the last 2 millennia have show the clergy, the priestly class, the "religious", to be a privileged and insular group who have led society into wars (both of their making and on behalf of political machinations); who have kept not only the "mysteries", but the political secrets, useful information, valid facts, and a great deal of wealth away from the people; and as "traffic cops on the road to heaven", have shown themselves to be often corrupt, self serving, and guilty of greater sins than they spoke against.

Recent history has been riddled with the personal, sexual, financial, ethical, moral, political, and criminal felonies and misdemeanors of the clergy; and more-so with their obvious inability to govern, police, and supervise their own.

For every paragon of virtue who has "taken the cloth", there are any number of individuals seeking an easy job, good money and benefits, power, control, and a little larceny on the side. For every Norman Vincent Peale, Fulton Sheen, or John XXIII, there are numerous Bakkers, and Swaggerts, and Shanleys and Jonses, and Pacquins, and Ryans, and Alamos , and Geoghans, and Kingstons, just waiting for the opportunity to indulge themselves for personal gain.

Of those who do NOT appear to break the law, and DO appear to abide by the rules of society; how many fail to fully and objectively provide factual information within the teaching of their particular theology? How many overlook substantiated historical fact to perpetuate accepted dogma? How many fall back on ignorant prejudice rather than seek enlightened answers? How many silently acquiesce to the perpetration of wrong in their midst? How many fail to show moral or ethical courage against intolerance, and stand silent while hatred is promulgated in their presence?

Society has allocated this profession a very unique place; and all too often, is not well served by those who occupy that place.

Many argue that a pluralist society, demanding a separation of Church and State, cannot show itself to be hypocritical and attempt to regulate the clergy. There is much to be said for this argument. Like the comments of the colleague I quoted at the beginning of this book, it is factual on the surface, but fails to objectively address the issue. Ah yes, the issue of Truth again!

So…what can be done? A workable answer may be found in a three-fold approach.

One: Society as a whole must always be kept aware that the clergy are merely human beings who sought a particular profession. They are not saints-in-waiting. When they transgress, they must not be coddled, or protected, or shielded; but held up to the light of day and to the swift and full prosecution of the law.

Two: Religious organizations and institutions are only paper palaces. They are companies and corporations. When they do objective good, they should be lauded. When they do ill, they must be treated like any organization that fails in its conduct, seeks to break the law, or protects the law-breaker. They must be responsible for swiftly making reparations, restitution, and amends.

Three: Society must be educated that they have a right to expect and must expect a certain level of professionalism and ethical conduct from the clergy; and not to invest them with more than their education and job performance deserves. The black collar or the ornate robe is simply career apparel, like the mechanic's overalls or the executive's striped tie.

The clergy, the religious, the church, occupy a special place in society ONLY at the sufferance of that society. Many have abused the privilege they have been afforded. Society may be well served in being less willing to afford such privilege, and to expect more in return.

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Getting Back To Basics?

For the sake of discussion, let us look at a religion and its most basic elements. It is the Theology of a Messiah (which in ancient Hebrew and Aramaic meant leader), with the following elements in place:

Virgin birth.
The Messiah had Twelve Followers.

The Messiah was killed, and later resurrected
The Messiah performed miracles
The Messiah taught lessons of morality
The Messiah was called "mankind's savior"
Also called the "Light of the World"
Birth is celebrated between December 25th and January 6th
Bread and Wine were used as communion elements representing the body and blood of the Messiah, as celebrated at a "Last Supper" by the Messiah and his followers.

…and the Religion came to be embraced in 1st Century Rome.

We are talking about Christianity, RIGHT? NO, we are talking about Mithraism, which pre-dates Christianity by nearly a millennium, was accepted and practiced in Rome during the "Apostolic" period, and which obviously **could** have been, **may** have been, and in some studies it is suggested **was,** a template for the lore elements of what came to known as Christianity.[43]

Once again, researched scientific (anthropological and archeological) fact versus religious "truth".

A Theology of Tolerance

Renowned German Theologian Paul Tillich postulated that the thing that was most important to the individual, WAS that individual's religion. This has often been interpreted as saying that an established religious school of thought was or should be the most important thing to an individual. However, if you look at the context of the postulation, it is easy to see it as being: that WHATEVER is most important to the individual BECOMES the individual's "religion". Hence, if the individual's highest aspiration in life is to be rich, then money is that person's religion. If power is their ultimate goal, then power becomes the article of faith. If getting home to a bottle of beer and the baseball game is some fellow's greatest aspiration… well you get the picture![24]

While one might hope for greater and more humane aspirations than those listed here, (and unfortunately such base and self serving mentalities do exist at all levels of society); the same thesis applies to differing views of the Deity, the universe, and the reason for being. This once again begs the question: is not tolerance the most essential element in the pursuit of spiritual enlightenment?

We are not all the same. We have not all experienced the same life experiences and been molded by the same environments. It logically follows then that we all have different and differing spiritual needs. Such differences, like laminations in wood, can and will make the whole stronger when bound together by tolerant respect.

"The important thing is to not stop questioning. Curiosity has its own reason for existing. Once cannot help but be in awe when he contemplates the mysteries of eternity, of life, of the marvelous structure of reality. It is enough if one tries to comprehend a little of this mystery every day. Never lose a holy curiosity." Albert Einsten

A Line in the Sand

Organized religion has shown itself prone to the same organizational failings as any unregulated and unsupervised corporate moneymaker. The Clergy, as a profession, have to date failed to uphold the same level of ethicality and morality that they preach. Having been thus failed by those social conventions; we as individuals and as a society must take a stand: a moral stand, an ethical stand, and a humane stand; not based upon some arcane philosophical school of thought, but upon the reality of a lot of people sharing a small planet.

The only thing of which we can justifiably be intolerant...is intolerance!

So long as society teaches that organized religion and personal spirituality are inexorably intertwined, and that the individual's spiritual value is not valid if not institutionalized; those that run those institutions will continue to enjoy an unhealthy and unholy influence over the hearts and minds of people. They will have power, and that power will corrupt.

A very worthy assessment of the individual human spirit lies simply in its ability to love, and to learn.

Where is the 'truth" in religion? Some say that there is not any; that the entire matter is built on a tissue of lies and inaccuracies. Many say that the truth is in "their" belief system to the exclusion of all others. Still more cling to philosophies that they really do not understand like some sort of mystical insurance policy against the fires of hell.

A finite group of human beings on a small planet look out at the infinite universe, and try to understand it in terms that their modest capacities allow. In each, there may well be a small raft of wisdom floating in a sea of ignorance. The only differences between them lie in their seamanship and humanity.

To quote Alfred, Lord Tennyson:
"The great good God looked down and smiled, upon each of these his loving child; for Monk and Brahmin, Turk and Jew, all loved Him through the gods they knew."
Had His Lordship glimpsed "the truth"?

"There are three great truths to be observed in contemporary religion. First, Jews do not recognize Christ as the Messiah. Second, Protestants do not recognize the Pope as the head of the Church. Third , Baptists do not recognize each other in the liquor store." Anonymous

III Historical Truth
"History is the lie to which we all agree" Voltaire

History is the written record of who we are. It comes in three forms. There is first, the history of myth and legend; unsubstantiated, without proof, a story with a "moral" and little else. Second there is the "official version", the history written at the behest of government authority or political expedience, often with limited factuality, and expanded propaganda value. The third is empirical history, experiential history, the history that we uncover, study, and research with open minds and unbiased attitudes.

The winners write official or "politically correct" history. The victors, in war, in economics, in social and technical advancement; these are the writers of such "history".

But how was that success gained? Through tyranny, abuse, victimization, war, treachery, bribery, genocide, or is all victory benign and noble? Even the most gullible among us would refute that all winners win fairly, or that all that govern do so justly.

How would the history of the Holocaust read if the Nazis had been victorious in WWII? How differently is the history of the Korean Conflict taught in North Korea as opposed to the United States? What do Japanese textbooks say about Pearl Harbor and the events of December 7th, 1941? Do the research, and you will be surprised.[25]

There are those who now claim that the Holocaust never happened; despite the newsreel footage, the 1st hand witnesses, the survivors, the bodies, the death camps, and the confessions. There is evidence that Pharaohs of Egypt were given to destroying all written record of certain predecessors in order to "re-write"

historical lineage and accomplishment. Roman Catholic Catechism and Church History classes tend to omit the events of February 3, 1377 when the Pope's forces slaughtered men, women and children in Cessna Italy. Lutheran schools rarely teach the facts about Lutheran Prelate Benedict Carpzov who boasted of personally seeing to the killing of 20,000 non-Christians in the 1500's. [10]

The Dead Sea Scrolls and the Nag Hamiddi Library give us more than one version of the events in 1st Century Judea. Archeological, anthropological and historical research has brought forth evidence of overlooked or nearly forgotten historical figures whose efforts had been largely ignored, such as the case of England's Henry III, Rome's Marcus Aurelius, Ancient Tuetonia's Arminius, and America's Kasimir Pulaski. Likewise, great names whose contributions may not have been so great as claimed have come into question through recent research; such as Constantine, Richard I, or Frederick the Great.

A mere 50 years ago, certainly within the life span of many of us, the principal view of Native Americans (by non-Native Americans) was framed by the "Noble Savage" concepts of the 19th Century. The view by those NOT of African decent of those OF African decent was influenced greatly by 17th, 18th, and 19th Century European expansionism and empire building rationale; the so-called "white man's burden". Understanding and education have brought at least some of us to realize the fallacies of these ideas. Our collective consciousness has evolved, at least in certain matters and in certain quarters.

Undoubtedly, the single greatest evolution in thought occurred, as it well might, with the Renaissance. Not only were we in the western world re-introduced to science and the arts; but also we learned HOW to think.

Most of the lore of antiquity is allegory and metaphor. It was born before the advent of effective communication and record keeping technique. Much of this lore grew into legend, and in some cases the legend took on the patina of fact without objective evidence or energetic challenge. [26]

The fall of the Roman Empire and the succeeding medieval centuries saw western thought controlled by the edicts of the Christian Church. Church energies in depriving the masses of education, seeking out "heresies", presentation of morality plays and grave homilies reflect in many ways the ancient legends.

The issue was adherence to the accepted philosophy, fear of and subservience to authority, and acceptance of the "moral" of the teachings without critical examination of their factuality.

Along comes the inevitable revolt against such fear and control in the Reformation, and to a much greater degree in the Renaissance. The awakening of western intelligence and imagination evolved into a new way and means of thought, based upon documented Fact.

People began to read, to gain possession of literature, and to examine that literature with an eye to discerning what was factual from what was not. They no longer had to take the word of the Priest as to the words of the biblical text, nor of the Landlord as to the words of the law. No longer were the select few who paid court to accepted ideology the only ones with access to information. Herr Guttenberg and his printing press set the aristocracy and ecclesiastics back on their collective heels, and planted the seed of social, cultural, and political revolution.

(However, we now know that the Chinese had movable type centuries before Guttenberg, but I digress).

One of the products of that seed was the American Revolution and the experiment in Democracy that it wrought. This brings us to TWO very interesting points regarding TRUTH. First, the American Revolution was, from its beginning as resentment of the British Colonial practices to its fruition with the US Constitution and Bill Of Rights, a remarkably well DOCUMENTED event for its time. History was being recorded as it was made, and by several different folks, not just a single chosen scribe. Second, within that Bill Of Rights we find some amazing items, the 1st and 5th Amendments.

The American founding fathers, in what is historically called the Age Of Reason, apparently had some of the same questions about the issue of truth that I have expressed here. As such, they rejected the idea of an

official religion, or any endorsement of a particular religious point of view. They must have recognized that the "truth" of the religious faction, sect, or body was not necessarily the truth of fact.

They also, apparently, realized that while truthfulness and factuality are certainly desirable, and failure to provide the same in legal proceedings should be held to be illegal; the individual on trial for his or her life or liberty cannot be reasonably expected to be absolutely factual and truthful about their own actions and motives; hence, the right of the individual NOT to self-incriminate.

While Washington, Jefferson, Franklin, Adams, and their contemporaries were probably a lot more fallible and human than my grade school history book admitted, their human insight as demonstrated here is certainly testimony to their intelligence.

Over the last two centuries, we have watched the big and little lies and truths of history in the making. This becomes even more critical with the advent and technological progress of mass media and especially electronic communication. (You WILL see this information again.)

We have seen a native people driven toward extermination; the avarice of the newcomer fueled by the stump speaker and penny newspaper, resulting in the Trail of Tears. We have seen the caricature of a minority in print used to justify bigotry- "Jim Crow", while a book and play about their plight led to the beginnings of justice - Uncle Tom's Cabin. We saw the perversion of purposes and their public airings lead to a civil war - *states rights vs slavery*. We watched the un-investigated tragedy of a ship's explosion (and its media value) used as a prelude to international war - remember the USS Maine.

We watched as short sighted politicians blocked this country's entry into WWII, that delay resulting in our being unprepared and unaware on December 7, 1941. We saw politicians as warriors and warriors as politicians create a strategic fiasco in Korea. We saw a difference in political theory that resulted in a 7 decade “cold war” that poised the US and its allies against the USSR and its allies.

Why did this particular animosity erupt? Was it simply because of the ideology of government and economics, as we have been led to believe? Was it simply the totalitarian against the freedom loving peoples? Maybe! But if we look carefully at some of the little known and suppressed facts of our history, we may find a somewhat different perspective.

The Bolshevik Revolution, and its resulting oppression was a reaction to the economic inequity and oppression in Czarist Russia in the early years of the 20th Century. The injudicious, repressive, and unfair Government of Imperial Russia was an ally of the US in WW1 and enjoyed very friendly diplomatic and trade relations with the US. The "great democratic experiment" was in bed with the "divine right of kings".

From 1918 until the mid-1920's, the US and some of its WW1 Allies (apparently as threatened by the idea of Socialism as George III was by Democracy) undertook to "quarantine" the newly formed USSR by placing armed troops along its European borders and restricting trade and emigration. [27]

How would any of us react as a newly emerging form of government and economy to being treated in this way rather than being welcomed as new members of the international community? American apologist - historians have explained away the animosity as "cultural paranoia" or "totalitarian avarice" on the part of the Soviets; but one has to wonder how much of that paranoia or avarice may have been a by-product of repression by the Western Allies. Could a helping hand rather than a clenched fist have provided an impetus for a more "open" Soviet System? Would friendly outside influences have prevented someone like Stalin from coming to power? Could countless lives have been saved if the USSR had received a not unfriendly greeting rather than being condemned without trial as an enemy? Any intelligent person must wonder!

Some historians point to the repression, the pogroms, purges, and the racism of the USSR as indicators of the "nature" this "Evil Empire". Let us look at our own treatment of Native Americans, Blacks and Immigrants. Let us examine the killing of unarmed British sympathizers during the American Revolution,

the Carpetbagger exploitation of the South after the Civil War, Riots victimizing German-Americans during WW1, the Internment of Japanese-Americans during WWII, the unfounded HUAC inspired "Blacklists", government sponsored Segregation, legally sanctioned Anti-Semitism, The Trail of Tears, the systematic disenfranchisement of the disabled, child labor, political corruption, war profiteering, economic manipulation, and the systematic denial of civil rights; just to name a few notable issues.

Far more money, time, resources, and man-power have been expended by judicial entities on investigations of students involved in anti-war protests, and those seeking only their civil rights, than on those who actively advocate the violent over-throw of the US Government, such as the American Nazi Party or the KKK. HUAC sought out few real, many alleged, and mostly imagined Communist sympathizers, but I cannot recall them bringing one Nazi or White Supremacist to account. What could be more un-American, in a nation founded by immigrants and dedicated to Democratic ideals, than being an avowed Nazi or Racist? [12]

Our failings do not make those of others any less atrocious, but people who live in glass houses really shouldn't throw rocks!

The Great Democratic Experiment

As we have examined, the United States is not really a democracy, although we like to refer to it as one. It is a Republic, based on (hopefully) and representing (even more hopefully) democratic principals.

There are some who hold that a “Democratic Republic” is an oxymoron. Their logic demonstrates that unless each individual has unfettered, direct, and objectively informed access to the decision and policy making process, then he or she is not and cannot be truly represented in that process. On the other side of the debate are those who logically argue that such access is logistically impossible, making representation by a select few unavoidable and necessary.

However, neither argument addresses the issue of corruption or the adulteration of the democratic principal. While we trust the legal system (or legal industry if you wish, and all of the baggage that such an industry carries with it) to address (or not address as the case may be) overt corrupt actions, we still have not approached the most insidious aspect of the problem.

When an individual attains high office, they are surrounded by temptations to profit from their influence. Such profiteering is illegal if done in an immediate fashion., such as selling votes for money or accepting bribes. BUT, the **deferred profiteering** of influence- peddling after one is out of office; engineering legislation (pork-barreling) to benefit an industry that will in turn profit you once you have “retired” from public life; or will profit others who will reward you at some future time or will reward others who will in turn benefit you indirectly ; these too defile the democratic principal, have polluted the process by which the public is impartially served, and has undermined the integrity of government.

Urban Lore, Social Legend

Out of the events of our history often comes a retelling of those events that not only distorts the fact, but recreates it is an idealized fashion that seeks to meet a perceived emotional need within the body politic rather than deal with its tangible needs.

For example, many seek to portray the 1950’s as a time of social and political innocence that the strife of the 1960’s destroyed. The facts, however, show that the discontent of minorities with segregation and discrimination, coupled with the unmet needs of many traumatized WWII and Korea veterans and the

anger of disenfranchised and marginalized citizens with the political machines that ran this country, gave rise to those issues which found popular voice a decade later.

This idealized concept of a homogenic, idyllic society living the "American Dream" may well have been designed by those whose business it is to perpetuate social fantasy, to meet a need of disillusioned Veterans of WWII, survivors of the Great Depression, women displaced form their well paid industrial positions after VJ day, suburban refugees from the gritty inner cities, a shrinking rural population, children of fathers lost in the conflict, single mothers trying to make due, and disaffected minorities. This may have been a conscious and concerted attempt to assuage their discontent and fears.

From Father Knows Best on TV to the Disneyland theme park, an image of American was perpetuated that was more fiction than fact; and made itself so much a part of the national consciousness that we collectively look back upon those times as "the good old days"; romanticizing them in literature, and rhapsodizing them in song.

Each generation seems to have done the same, conveniently forgetting the disease, social strife, financial disasters, political blunders, inequities, abuses, exploitation, and misfortune of those times past while decrying the current.

Perhaps this is a result of consensus between social leaders and those who profit from communications and entertainment, or perhaps it is an tacit societal self-medication to cope with the mental and emotional pain of an ever increasing pace of change and socio-political evolution.

Pre-Fabricated History

One intriguing phenomenon that puts our societal consciousness of history into perspective is that of the manufactured or made-up histories that are so often foisted upon society by those trying to create a pedigree for themselves or their organization or cause.

An excellent example of this can be found with the fraternity known as Freemasonry. These clubmen and middle aged fraternity boys like to extol the "history of Freemasonry going back to the building of Solomon's Temple" and the "murder of Hiram Abif, the first Grand Master of Masons".

Well, examination of ancient Hebrew, Aramaic, Samarian, and Judean texts do not support the claim. Further, examination of the documents housed at the Freemason's Hall in London gives much more credence to the explanation that a group of bureaucrats and merchant class Europeans in the 18th Century, envious of the privileges of the Titled Classes, created this fraternity out of the decaying husk of the stonecutters guilds in an effort to afford themselves arcadian titles, fancy dress parties, and a chance to network for financial gain.

They go on to claim many historical figures as members (hard to disclaim when you're dead and the organization is "secret"), and to claim great accomplishments in historical events of which there is no accurate record. In other cases, they tend to ignore their own history, such as members Nathan Bedford Forrest, known as the founder of the KKK. Another is Albert Pike, renown in their fraternity as the author of their "dogmas", he was also a Grand Wizard of the KKK.

Some of these gents even believe their own balderdash and folderol. Why bother to objectively study history when it can be made to order?

Many other organizations, individuals, governments, causes, and groups have done likewise. Some re-write history, some misinterpret it, some rely upon a lack of documentation to ostensibly support their position.

So, what is a Historical Truth?

Was it the "higher good" of Augustine that led to the lies and perversions, or was it the ambivalence of the term Truth? Was it uncertainty over the facts, or something a lot more basic and elemental to the human mind and soul?

Was it something that Jefferson, Adams, and Franklin knew was there all the time? A dark side to every human psyche? Perhaps, but perhaps something else. Perhaps it is the long history of our specie's reliance upon lore, and it's attendant license and larceny.

So what, in the final analysis is the "truth" of history? For that matter, what is "history". Is history only what some individual or groups think is important enough to write down? Their judgement has not necessarily stood the test of time.

Is it the accumulation of all that has gone before? Perhaps it is the effect that our individual efforts have on the future, documented or not! Perhaps a greater truth is to be found in the collective efforts of unnamed and unrecorded individuals who through their daily lives and life-long struggles for survival have perpetuated , each in his or her own small way, the continued survival or our species upon this planet; despite the efforts of governments and leaders and kings, and presidents, and monarchs, and messiahs.

Perhaps the greatest historical leader, the greatest hero, the greatest historical figure of all is, like that solitary sepulcher at Arlington, the unknown and unnamed hero who represents all who have not found their way into academic annals or tutorial tomes.

Could it have been the nameless person who, in the oppression of the middle ages, first expressed discontent at the Priest's pious homily; or possibly the unnamed and insolent serf who first openly bridled at the Landlord's injustice.

Few, if any, of those whose names occupy such hallowed places in our written history were actually the first to envision the changes in which they allegedly played so prominent a part. Most often they were simply the ones who caught the attention of whomever was writing about the event.

Once again, as it has so often and so eloquently been said:
History is written by the winners.
(and if I may add)
Or those who can get away with it!

IV. The Scientific Process
Not Belief but Disbelief.

Let me preface this by stating categorically that I have expended tremendous amounts of energy in the academic aspect of my life assiduously avoiding the "hard sciences" when at all possible. However, despite my machinations, best efforts, energies, and avoidance, I did have to sweat my way through those pre-requisites and compulsories that fall into that most fateful category. Later in professional life, I found that I actually had to use the knowledge gleaned from those grueling classes.

Although NOT a scientist in the pure sense, I did learn the fundamental process by which scientific data is derived: not just by proving a thesis but by constantly attempting to DISPROVE it. As Dr. David Shaw, a leading University of Washington Forest Biologist so very succinctly put it,

" In science, a fact is only what we believe today."

or, even more to the point:

“True science is the antithesis of groupthink!”

Logic follows two paths; inductive and deductive. The inductive path is that whereon a basic premise is proposed, and whatever supports it is added to the premise. Deductive logic is that path on which the basic premise is scrutinized and any element not supportive is "deducted", leaving only the barest "truth" or provable fact. Deduction is considered the "purest" logic, and the path to the most verifiable fact. Seeking to constantly disprove the thesis is deductive reasoning. True post-Renaissance thought!

To seek scientific "truth" is to seek provable fact. To be able to replicate the experiment under strictly scrutinized and controlled laboratory conditions is the proof of the validity of the thesis.

Has science been duped? Certainly, on many, many occasions. Some were slick and cynical attempts to profit others simply poor scientific process. From the tales of “reanimation”, to “cold fusion”, or Fujimora's artificial archeology, science has been duped; only to eventually expose the mistakes and perversions through its own process. [21]

Similarly, colleagues or a contemporary scientific community that was either too conservative, short sighted, or both have ridiculed many gifted scientists despite the soundness of their position. Einstein, Tesla, Edison, Curie, Pasteur, Lister, Roentgen, Fleming, the Wrights, Marconi, the list is legion of those who were ridiculed by their contemporaries until through the scientific process, they proved the validity of their thesis. While painful, this is a very healthy thing.

Science is the true child of the Renaissance. Despite its links to the ancient and arcane mysticism of Alchemy, science has grown in the light of reason, is nourished by logic, and lives in the pursuit of fact.

However, the argument is made that pure science is amoral; that the pursuit of scientific fact or "truth" knows no boundaries or constraints in human sensibility or wisdom. Art for Art's Sake, and Science for Science's Sake? This argument is not wholly without merit. Is the pursuit if scientific "Truth" always in keeping with the best interest of humankind?

Is there a greater "Truth" to be pursued? Can it be argued that there must be a rule to and for truth, a tempering of truth. Is truth ever an absolute? Does it ever stand alone, or must it always be viewed in a context? And if so, is that context not always open to debate? Such debate begs the question, is it then "truth"?

Or, should we always apply such a truth to the selfsame scientific process, continually deducting all that fails to stand the test of reason and common good. What is left then is viewed as truth, only to be subjected to the process again and again as our enlightenment, our knowledge, our experience, and our intellect as a people grows. Our wisdom evolves (you will see this material again). Truth then becomes the truth of a moment, truth of a particular time and place, a stepping stone to greater future understanding; a truth that it transitive, a tool, rather than an end in itself. To quote Emmanuel Kant: "the only right acts are the ones with good intentions".

V. Politics and Law
"The truth, the whole truth, and nothing; *but*..."

Arguably, one of the finest minds and sharpest wits to grace the 20th Century was that of Will Rodgers. On the subject at hand, old Will had a lot to say. Two quotes attributed to him, I think, cover the topics quite well.

On Politics: "All politics is horse-trading"

On Law: " Making a law is like making sausage. If you knew what went into it, you wouldn't want to eat it."

Far be it from me to take issue with such an incisive intellect.

We are a society of laws, governed by politicians. We hand to those politicians a great deal of power, and allow them to control much of our lives and destiny. We all know the axiom that power corrupts and that absolute power corrupts absolutely.

Despite this axiom, we continue to permit the status quo, not necessarily because it is good, but perhaps because it is not as bad as it could be. Compared to the despots of history (long past and recent) the western style democracies (as they like to be called) don't have it too awfully bad. Of course, you have to forgive the use of the term democracies, because they really are not; they are republics in which the body politic elect (sort of) representatives (with or without accurate information) to handle the matters of governance.

Such republics, by their very nature, pit one group represented by one individual against another for the available resources; be they money, land, or influence.

Ostensibly these republics are based upon democratic principals as envisioned by the founding fathers and laid out (in the good ole U S of A) in the Constitution and the Bill of Rights; a wise and enlightened document.

However, said document and philosophy are a work in progress. From time to time, we find it necessary to amend the Constitution, and to reinterpret the basic rights, which flow from it. The wisdom, it would seem, evolves. (Yep, you're seeing this material again).

Such evolution in thought, in wisdom, and in application is obvious from the flaws in the original philosophy. In the Declaration of Independence it states unequivocally:

" We hold these truths to be self evident that all men are created equal..."

Oops, they forgot about women, children, indentured servants, Native Americans and all those African slaves owned by the Framers of the Constitution. Noble words, but they originally only applied to white male landowners. And, again, we find that annoying word "truth(s)" in the text.

By the same token, the Framers of the Constitution DID add a process by which the document could be amended, reviewed, and updated. Again, they seem to have viewed the "truths" to be not carved in stone, but something, which could grow with the people, their society, and their evolving wisdom. Such evolution is often painful. Consider the Civil and Voting Rights Acts, and the Volsted Act. (One wag referred to these as "from the sublime to the ridiculous"). In some cases we learn from previous mistakes, in others, we simply make mistakes.

One of the functions of government is the enacting of, and enforcement of laws. In this, again, the origin of the laws and the basic philosophy of law-making are in a constant state of evolution. Laws and their applications are applied, appealed, re-applied, read, re-read, rejected, investigated, inspected, suspected; all with, hopefully, evolving wisdom. Finally, those issues that cannot find rest are laid before a supreme body of jurists who are placed in power by partisan politicians.

Sometimes some wisdom does not evolve, perhaps it just seeks the lesser of evils, or perhaps the way of greatest expedience.

In a previous section, we talked (well, OK... I talked and hopefully you listened) about the Right to Non Self Incrimination. A basic safeguard built into the Bill of Rights by the Founding Fathers in their understanding of human and organizational weakness.

If we, as citizens, have the right NOT to bear witness against ourselves, then why are we asked to swear to tell the truth? Is it just a matter of form or good manners? We can be found guilty of perjury for lying under oath, but the constitution protects us (if we chose to invoke it) from having to even talk about anything that might incriminate us.[28]

This brings to mind the image of children playing tag, with one finding the designated tree stump before being tagged, and shouting "safe".

Of course, the moment we invoke that protection, someone assumes us to be guilty. There are times when the congregate mentality and that of the individual find themselves at odds. Whose truth is the greater truth, whose need is the greater need?

We have already discussed, (OK, OK...I discussed, you read!) the historicity of political infidelity to the tenets of truth. It is important to note that the higher the level in our society or government from which the untruthfulness emanates, the more profound its affect on more people in more ways. As the un-truth ascends the socio-political ladder, its negative effects increase exponentially. Therefore, IF there is indeed a valid reason to not be truthful with the body politic, IF there is an overriding concern for a national security imperative, IF the argument for the Greater Good is employed to justify misinformation; WHO PAYS THE PRICE, AND WHEN WILL THE BILL COME DUE?

Not all untruths are created equal. It has been speculated (and to some extent even documented) that President Kennedy had extra-marital affairs. Did that in any tangible way detract from his handling of the Cuban Missile Crisis? No credible source has said so. President Clinton was less that truthful to a congressional investigator about his relationship with a female White House Intern.[12] Did that untruth threaten our national security? Probably not. When President Eisenhower was untruthful about the compromised U-2 flight over Russia,[12] did that threaten our National Security? Very possibly, even probably. Which got the greatest press coverage and political outcry? Yeah, you guessed it. The President's uncovered fly got more coverage than the President's cover-up of the flight. What does that say of our perceptions?

Now, we come, to that fateful day, September 11, 2001. We all saw with horror, disbelief, and the deepest sorrow that (in one day) coordinated terrorist attacks AGAINST INNOCENT CIVILIANS in the United States took a toll greater than the scurrilous attack on the military targets at Pearl Harbor. Then, following the trail of those who wrought this tragedy, we found that, once more to our horror, the " Mujahadeen, those valiant Afghan Rebels" to whom we had given arms and aid only a few years earlier, were now the "bloody Taliban regime" [21] that harbored and supported international terrorism; and that our own efforts to arm them against the "evil empire of the Soviet Union" foreshadowed an attack upon us. What then IS the truth of our involvement with them, our motivations in the past, and our own national policy?

So, let us examine the matter of truth in law and politics. Given the issues raised, is truth (in law and politics) an absolute as our social language would purport, an ideal to be pursued, or is it a pro-forma function that serves only to remind us of the INTENT of our democratic principals?

The Irony of Political Correctness

One of the most unique concepts to come out of late 20th and early 21st Century thought is that which has come to be called "Political Correctness".

However, dear reader, it is neither political nor is it correct. It is the art of mendacity.

In essence, this is the notion that **certain** matters and issues are not to be publicly addressed or documented, the foibles of **certain** groups are not to examined or analyzed, and the inconsistencies of **certain** philosophies are not to be challenged or examined, even in the most civil of ways. The reasoning for this is unclear, except to say that it seems to be applied to those groups or bodies of people whom those in power want to cultivate; and whom they do not wish to embarrass, even if the source of the embarrassment is that group's own actions.

For example; in a recent night's TV news broadcast, several people moving across a border from one Asian country to another, without benefit of lawful permission, were referred to "Illegal Immigrants," but those crossing the border into the USA without lawful permission were referred to as "Undocumented Aliens".

Is it against the law to do such a thing, or is it not? If you break the law, is what you are doing illegal or not?

This is an excellent illustration of the art of "spin". Skewing the logic, muddling the meaning, misdirecting the listener, and re-arranging the terminology, to curry political favor.

Another example: certain Middle Eastern Arab interests are using "Non-Governmental Organizations" as mouthpieces seeking to prod the international community into condemning Israel as "racist" in the Middle Eastern conflict; despite the fact that the Arab Nations (including Palestine) have publicly vowed and tried, for over 50 years, to destroy the nation of Israel and the Jewish race.[21]

Other examples; one can scarcely help but note that there are some social, and some ethnic groups who have a greater propensity toward spontaneous public demonstrations (or worse) of their political displeasure than others. If that group demonstrating is made up of "twenty-somethings", the press and the politicians are quick to point out their demographic make-up. If however, they demonstration is made up of certain ethnic, regional, or those with certain shared predilections, no such mention is made.

Other groups seem to be "over-represented" (a good politically correct word) on the police blotter; while still others magnate toward certain types of businesses, employment, entertainment, or recreation.

Some groups hold certain values, which are not necessarily in keeping with the common good of society. Still others involve themselves in organized (or sometimes highly dis-organized) crime in groups or assemblies that are almost exclusively made up of their ethnicity or social set.

Remember, it used to be "politically incorrect" to even whisper about an Italian or Sicilian Mafia. It was made to appear, in the spirit of political correctness, that Capone, Accardo, Luciano, Bonanno, Nitti, Gambino, Giancano. and their Mediterranean brethren were simply members of some Sicilian Singing Society. Even good ole J. Edgar Hoover and his FBI refuted the existence of this criminal organization.

(Certain insiders in this "glee club" gleefully enjoyed referring to the FBI as the Foreign Born Italians)

Then...horror of horrors... Guiseppi Valachi (a minor "Made Guy") spilled his guts on national TV; and despite the best efforts of the politicians, the spin-meisters, the social activists, and the Justice Department, we discovered that Yes, Virginia, there is a Mafia.[21]

There are religious groups whose intolerant, boisterous, and simplistic rituals earned them less than flattering monikers in less politically correct times; and though their current displays are no less loud and their theology no less insipid, political correctness dictates that such "eccentricities" be overlooked.

Likewise the extreme political perspective which in the past would have been called the "lunatic fringe", is now known by more conservative (oops, did I say that?) terms.

Look for a moment to the issue of HIV/AIDS. Yes it is a horrendous disease, and yes every attempt should be made to cure it as quickly as is humanly possible. That having been said, it has been common knowledge, since 1984, that the disease is PRIMARILY communicated through sexual contact, or by sharing illicit needles; BUT it is considered politically incorrect to point out that those, armed with this knowledge, who contracted it through illicit drug use, or by practicing unprotected sex are anything but innocent victims of capricious fate.

Likewise, let us look for a moment upon the issue of abortion. The decision in Roe V. Wade was a humane effort to protect women who had been victimized, from being further victimized by being deprived of their right to privacy. That having been said, what are we to make of those who, with all of the means of contraception available, repeatedly use abortion just as a belated means of birth control, or remedy for poor choices and a lack of self- discipline?

It would be a tremendous omission on my part, at this juncture, to fail to be politically incorrect about my own home state of Indiana. Yes, this is the state about which they have written so many songs, the state that gave us Ernie Pyle, George Rodgers Clark, Carole Lombard, James Dean, Herb Shriner, Benjamin Harrison, James Whitcomb Riley, Hoagy Carmichael, Cole Porter, John Dillinger, yours truly, and (ahem) J. Danforth "Potatoe" Quayle. This scion of an old Indiana Republican Family (in case anyone has forgotten) served as Vice President to Bush the elder. Basking in the glow of the Grand Old Party in Indiana, this favorite son ascended (with a good deal of money and influence) to the second highest office in the land.

However, speaking of the Grand Old Party in Indiana, one cannot ignore the well documented facts of the Ku Klux Klan's control of the Indiana Republican power base and administration for a good portion of the early 20th century.[29]

Their campaign of terror against Jews, Catholics, Blacks, Trade Unionists, Immigrants, Liberals, Democrats, as well as against anyone who happened to disagree with them, is infamous, opprobrious, and ignoble in its scope, its means, and its heinous intent. This calls into question how far back this "old Republican Family" goes in Indiana history. Of course, it is "politically incorrect" to ask!

One cannot help but to comment on the “politically incorrect” comment by political aspirant Arnold Schwartznegger on the TODAY Show on October 22, 2002; when he equated “being a Democrat” with a “sickness”. Likewise the comments of Republican Senator Trent Lott who expressed the sentiment that America would have been a better place if arch-conservative Strom Thurmond had won the Presidency in 1948 on a pro-segregation ticket, and wrote a brief as “friend of the court” supporting the Bob Jones University ban on interracial dating. He is also, not unlike Bernie Ebbers (the chief culprit at WoldCom,) a “devout Mississippi Christian.” Then again, this political incorrectness may have been, in fact, “politically correct” under the ethos of the George W. Bush administration.

Political correctness is no less than exactly what Voltaire said of history! It is the bastion of the "spin doctor”, the specialist in the almost fib, the mini-mendacity, the misdirection, the data-deferment.

Spin Doctor*: See Televangelist, Huckster, Used Car Salesman, Mob Attorney, Pimp, Tobacco Executive, Taliban Official ENRON Executive ,or Political Wannabe.*

In the world of the politically correct, those favored or curried by the power structure are protected from facing their own foibles, and those for whom the power structure has little current regard, find no such solace.

Political correctness may well be as flagrant a form of politically motivated misinformation as any employed in the history of human communication. It is either a most cynical effort to court those groups who can be politically useful (at least temporarily), a misguided attempt to create a false image of a homogenized society in which such differences do not exist, or an attempt to pit those "in favor" against those "out of favor". *Viva la difference?*

It does however, have its singular value. It serves as a political barometer. If the politically correct are not taking issue with what is being said about YOU, then you know how little value they place on you. If they ARE protective of you, then they must want something from you.

And...it is all subject to the whims of those with power and influence.

Can you afford to be politically correct?

National Pride?

Politicians regularly regale in proclaiming the greatness of the United States. Those seeking public office, public attention, public funding, or public focus engage our consideration by reminding us of our national accomplishments.

While such accomplishments are indeed worthy of consideration, and many worthy of great praise, it does not serve us well to be unmindful of our shortcomings and failings. Historical missteps not withstanding, we must be mindful now, at the threshold of the 21st Century, that ours may well not be the land of opportunity that once it was. We no longer can boast the highest literacy rate in the world, nor the lowest infant mortality rate. We cannot brag about having the most comprehensive social services infrastructure, or lifetime healthcare system, for our citizens. Education is not as accessible in the US as in many other countries, and corporate manipulation of the nation's financial system seems greater than in other industrialized nations. Crime (especially violent crime) is higher, per capita, than most other nations approaching our wealth, as well as a larger percentage of citizens living below the poverty line than in other comparable nations.

What does this say about the state of our nation? What statement does this make about our national identity? What is the truth about the greatness of America? [30][36][41][42]

Civility

What has happened to civility? Has our sense of social propriety sunk so low as to preclude civilized discussion of issues from different points of view? Has intolerance become so institutionalized that we are incapable, as a people, to engage in a civil, if not polite, exchange of differing views?

Talk show hosts regularly insult and seek to humiliate those who do not share their points of view. Politicians use invectives to refer to their opponents. Government leaders indulge in racial slurs.

Religious leaders engage in slanderous attacks on those who do not share their particular perspective. Business leaders blithely blame the blameless for their own shortcomings.

Parents swear at Little League Coaches; threaten umpires, and do bodily harm, psychological damage, and even commit murder over the outcome of a children's game. Sports fans riot over winning, or losing, or simply showing up. Some people take to rioting in the streets when they don't like a court verdict, or political decision; burning and looting their own neighbors. Many of these rioters do not even bother to vote on the very issues or serve on juries that decide what they use to excuse their violent actions

Children shoot each other on street corners over what "colors" another may be wearing. Others maim and kill innocent by-standers over some arcane notion of who may or may not be allowed to walk on

"their" PUBLIC street. Murder is planned and carried out because one person was "snubbed" by another. Wholesale destruction is wrought over metaphysical ideals or political theories.

From the intolerant personal slur, to the bloody hate crime scene, to the war zone; the march from simple incivility to wholesale carnage is a linear progression, and not a particularly long one.

While the 1st Amendment protects our right to expression, it does not preclude our ethical responsibility for the effect that such expression has on those around us, nor does it extend itself to acts which may do harm to others. It is a statement of a specific right, not a blanket panacea for reckless, willful, intolerant or ill-conceived behavior.

Intolerance of one person's personally held beliefs breeds intolerance of more people's beliefs. Hatred feeds off of the fetid corpse of hatred. Ignorance begets ignorance; and manifests itself in rude, mean, cruel, malicious, and despicable behavior. It's bad enough that we see this sort of behavior among those who identify themselves as disenfranchised; but we see among the highest in the land, the leaders of our religious, political, cultural, and business communities.

It grows, producing nothing, costing much, and destroying civility. Every time intolerance goes unanswered, unabated, uneducated, and unchecked, it consumes just that much more of the civilized principles society has attempted to develop since our ancestors first banded together for mutual safety and shelter from the storm.

Civility, civil discourse, a tolerant exchange of views, acceptance of the difference between peoples as a positive, has been the result of that age-old struggle for CIVILIZATION. To allow these civilized principles to wither in the glare of such monumental stupidity is to admit that we as a species are not nearly what we have come to believe ourselves to be. It is to admit that even the animal kingdom is more advanced than we. When was the last time one animal attacked another over a difference of opinion?

As human beings, "Cro-Magnon" ("big head" - may refer to either our cranial capacity or our egos), we have an impressive capacity to rationalize our prejudices, We call upon historical injustices, all too often distant, misunderstood, and poorly documented; to justify our intolerance. We selectively review the facts or rely upon unsubstantiated lore. We prey upon common fears, and rationalize the irrational. We avoid the objective in favor of that which allows us not to re-think our positions.

Our collective ego wants to believe that we are truly the most sophisticated species on earth; yet, we have difficulty agreeing to disagree over theory and conjecture. We want to believe that we are the most intelligent species on the planet, or perhaps in the universe; yet we maim and kill in the name of that which we choose to believe created that universe.

Talk, discussion, intellectual discourse, civil debate; they cost little and produce much.

"Right, as the world goes, is only in question between equals in power; while the powerful do what they wish and the powerless suffer what they must."

Thucydides

VI. Truth and Business

"Caveat Emptor" Cicero

In the era of the great western expansion in the US, the Robber Barons, and the explosion of

lassaize- faire capitalism, it was said that "The Business of America is Business". Almost 2000 years before, the Roman linguist, historian, and philosopher Cicero observed, of business: *Caveat Emptor*, "let the buyer beware".

Some sit smugly pointing to the demise of that arch demon Soviet Communism, hollering that capitalism represents (with apologies to the old Superman TV Show) “truth, justice, and the American way.” Over the past one hundred years, we have run the gamut from the early attempts by Teddy Roosevelt to bust the stranglehold of monopolies on free enterprise to the wanton damage to the environment by energy production and manufacturing byproducts.

We have watched business buy influence in politics from railroad monopolies to Savings & Loan scams, from Teapot Dome to Big Tobacco. Big business (that bastion of Americanism and Capitalistic Joy) has also raped the earth, poisoned water, polluted air, knowingly sold defective merchandise, killed consumers, knowingly placed innocent workers at risk, cheated investors, lied about their activities, and manipulated the very economy which fosters it. Such influence and manipulation were the direct cause of the Crash of '29, and the Great Depression.

Government has instituted regulation, in SOME cases, to attempt to protect the public from the avarice and greed of the unrestrained capitalist, while still singing the praises of the free market. Government has de-regulated industries while up to their hips in scandals stemming from the lack of regulation such as the infamous case of Lincoln Savings and Loan. Talk about closing the barn door after the horse has gotten out. [21]

If unregulated industry has taught us anything, it has taught us that the goals and truths of industry are NOT necessarily compatible with the common good. One seeks profits, and the other security and equity.

The duality of this, both in occurrence and perception were never better illustrated or epitomized than in the premier work of that giant of literature and social conscience, Charles Dickens' A Christmas Carol.

In this tome, Ebenezer Scrooge, when taken to task for his lack if charity, observes that there is nothing upon which society is more brutal than poverty, nor with which it is more contemptuous than wealth.

"Ah...", as Shakespeare would have it, "... there's the rub". (I hope that I'm not mixing my literary metaphors too badly!) Here in the novel about the one of the grimmest periods of the industrial revolution, the duality of which I speak raises its ugly head. Free Markets exist to allow unrestrained profits and growth. At the same moment, societal sensibilities decry unrestrained profiteering because there is always a victim of such exploitation.

In other words, there cannot be "Haves" if there are insufficient "Have Nots". Without the "Have Nots", there are no "Haves".

What makes business success? Is it ingenuity and energy? Yes! But it is also luck and timing. Thomas Edison was ingenious and industrious. So was Nicolai Tesla. His genius is only now being recognized, lo these may years after his death. There were a good many very satisfactory computer drive operational systems being fielded when Bill Gates' Microsoft System got the nod from certain influential computer manufacturers. We watch an electrical and electronic television because the electrical – mechanical television, which was also being developed, was not as fortunate in the marketing venue, and because Philo Farnsworth was not as well heeled or politically influential as RCA. Many brilliant and hard-fought ideas have gone by the boards due to under-capitalization. Many more because the public was just not ready for the new idea.

Similarly, many business successes have achieved their success through subterfuge, duplicity, deception, and illegality. Their illegality, and lack of ethics made them no less profitable. The Bonano crime family's various enterprises were very successful. The Mafia's Las Vegas developments helped pave the way for that city's vast success. Cocaine distribution is a capitalist's dream. Scarface Al Capone made millions off illegal booze, prostitution, gambling, protection, and murder for hire. After all that, the government was only able to get him on Tax Evasion.

Enron & WorldCom, with the help of Arthur Anderson & Co., cooked the books, and very successfully made their executive corps very wealthy.[21]

Names of "successful businessmen" like Michael Millikin and Ronald Rewald, , are synonymous with greed, and avarice. Love Canal, Times Beach, Three Mile Island, and the Exxon Valdez stand out in our national consciousness, as examples of corporate rape of the planet. Phillip Morris, Liggett & Meyers, Enron, WorldCom, Tyco, Global Crossing, and Adelphia, epitomize the amoral narcissism and exploitive nature of big business. [30]

After the horrendous events of Sept. 11 2001, MGM Corporation sited the event as reason to lay off 6000 employees. By April of the following year, newspapers reported that they had distributed hundreds of millions of dollars in "bonuses" to executives and upper management; undermining their claim of financial strife and their reason for the layoffs. Not only was the lay-off a sham, and manipulative; but their ethicality reached a new low in using this tragedy as a means to profit a select few. In 2000, California Edison reportedly transferred billions to their parent company just before spiking consumer utility rates, failing to pay their suppliers, and declaring bankruptcy. The "business community" considers this sort of activity just "good business".[21]

Unethical? Yes! In bad taste? Certainly! Counter-productive? You bet! In the best interest of society? No way! But, very often, it's legal!

From 1945 to 1960 the Medical Industry (and do not think for a moment that it is anything less than a well-oiled money machine) used experimental radiation "treatments" on children. These ranged from hyper-exposure to X-rays, to radioisotopes placed directly on the skin, to the use of Radium paste smeared on body parts. Politicians, receiving all sorts of financial benefits and contributions from both the medical and energy industries, turned a blind eye; despite knowing from the experience of Hiroshima and Nagasaki what the effects could be! Thousands died from cancer, leukemia, and organ failure. Of those children who were lucky enough to grow to adulthood, thousands experienced debilitating injuries and illness. [31]

This was no less than patent experimentation on human subjects for the purposes of product development. Shades of Dr. Mengele! Some, even still, have the radiation burns to prove it!

When the matter began getting "out of hand" (which in government-speak means that the politicians stopped getting what they felt was their share of the profits) the Department of Energy was formed. This move, and any subsequent investigation of these atrocities was sufficiently telegraphed and announced in advance to allow the miscreants to destroy the paper trail evidence. Now, dear reader, you understand why many states allow medical records to be destroyed after as little as a few years.

Today, these experiments are excused, by both the Government and the Medical Establishment, as "accepted therapies at that time".[32]

Between 1845 and 1900, thousands died on American railways, due to shoddy construction, cheap materials, unrealistic scheduling, and poor management. In 2001, thousands died from disease knowingly caused by the tobacco industry. Every year thousands are injured or killed on the job because big business does not see safety as "profitable". Despite the best efforts of some lawmakers and many watchdog groups, "business is business".

Millions are spent yearly to legally defend the ethically indefensible in product liability cases. More millions go to shield corporate decision-makers when workers are injured, customers are cheated, the innocent are victimized.

Then they all line up for tax breaks and corporate bailouts paid for by the victimized consumers; and call it "Good Business".

For the moment, at least, Americans are expressing some modest degree of outrage at the plundering of the American Business Community by self serving CEO's, blackguardly Boards of Directors, fraudulent Financial Officers, and arrogant Accountants. However, we have seen outrage before, only to go away when the public attention was distracted long enough for a new Potemkin Village of standards and regulations to be trotted out as a public panacea.

Perhaps that imminent business man, entrepreneur, and free-market genius P.T. Barnum was right, there IS a sucker born every minute… And He Is Us!

So what is the truth of our economic way of life? Whose truth should prevail? Are we free market capitalism, or are some so-called "socialistic" measures prudent and necessary? Is what is good for business also good for America, or only sometimes? Is there a socially acceptable level of "collateral damage" in pursuit of growth and profit? Should the "Have-Nots" simply accept their fate so that the "Haves" can thrive?

(Come to think of it, those are some of the very topics that gave birth to the Bolshevik Revolution. Hmmmmmmmm! Could it be? Naaaaahhh!)

There are a number of erudite literati and social observers who have advanced that Machiavelli's The Prince was written as a "morality play" about the ills and evils of greed and manipulation; but it appealed sufficiently to the avarice of those who embrace such pursuits to have become a blueprint for business tactics.

My special thanks for business and legal insights to the firm of Dewey, Cheatum, and Howe! (sniggle…snicker… giggle)

The Insular Organization

Business organizations tend to be insular. They are structured to serve the purpose of making money, propagating the currency of choice, and protecting people in power.

Sometimes the "currency of choice" is not necessarily corporate profit. It may be power, political access, or the personal profit of a select few.

Business, as we have demonstrated previously, may not be relegated to simple supply and demand sales of materials. Religions are big business, fraternal organizations are big business, non-profit organizations are big business. They may refer to "positive cash flow" rather than profit, they may deliver titles and

privileges rather than soap and steel, they may trade in rhetoric instead of real estate, but they are businesses all the same.

The insular organization is one of the definitions given by Irving Janus for Grouthinkers.

A very few do honestly seek to provide something for the public welfare, but in the mix one can usually find the favored ones. Their purpose, or at least a large portion of same, is to provide some form of profit for someone. Hence, they are created to serve insular needs.

Such insularity or parochial nature engenders that psychological phenomenon that confuses rights with privileges, and blurs the differences between entitlement and preference, among those favored few.

It is not all pandering prelates and mercenary ministers, nor is it all corrupt corporate CEOs and arrogant accountants. It may be the head of a non-profit seeking political appointment, or the chief of some fraternal organization looking to line his or her pockets while dispensing arcadian but meaningless titles and privileges. It may be a bureaucrat endeavoring to snag a spot at the corporate trough.

Like the proverbial smoke filled room, such organizations are rife with the venality, greed, and hubris that such insulation breeds. We have seen the public blunders of the American Red Cross, The United Way, the Tail Hook Association; the hypocrisies of the various fraternities that identify with the title of Freemasonry (as exemplified so well by highly esteemed fraternity member Trent Lott – mentioned previously), certain civil rights organizations, social clubs, political action committees, charities, etc., etc.

Without the light of public scrutiny, such organizations have no impetus to rectify the negative and redress the wrong. Without the requirement of accountability, there is no motivation to make amends.

Like their counterparts at Enron or Worldcom, like their doppelgangers in the Catholic and other Churches, they harbor in their midst those who are only in it for personal gain and aggrandizement.

Where there is smoke, you will very often find fire. Where there is secrecy, you will most often find secrets. If the public has no access, then the people must ask WHY something is being kept from them.

This is the antithesis of the democratic ideal, it serves to highlight a distinct paradox in our society. The truth of business, or the facts that are repeatedly established by such revelations, are that "business is business"; and that the interests of business, despite its advertising, are often far removed from the public interest.

To again quote the sage philosopher, historian, and linguist Cicero:

"Vox populi, Vox Dei".

The voice of the <u>People</u> IS the Voice of God.

The Illusion of Quantity

In his <u>14 Points</u>, the imminent Economist, Scholar, Innovator, and acknowledged father of Post-WWII Southeast Asian Industry, W. Edwards Deming, warns us to beware of relying upon quantification to determine excellence. Assigning arbitrary numbers to indicate production goals, numerically quantifying human effort to create a context for rating, or reducing the human effort to a digit in order to conveniently

categorize that effort diminishes the effort, demeans the worker, and serves only as a divisive device, not a productive tool.[33]

Why? Because strict numeric quantification can be misleading. By assigning arbitrary mathematical values to predictable human efforts, one can achieve a forgone conclusion, and by assigning or re-assigning values, always achieve the desired outcome to meet a pre-determined value or serve a hidden agenda. If you want to get rid of a department, you can always locate a numbers-cruncher who will give you the data you seek. It may or may not accurately depict what is going on, but the illusion is sustained by it being mathematically correct. Likewise, someone can always put together a set of numbers to make you look better than you are, whether their names are Ponzie, Rewald, Lincoln Savings and Loan, WorldCom, Enron, Qwest, ImClone, Global Crossing, or Arthur Anderson & Co.

Companies and corporations want, desire, and often seek to demand the loyalty of their employees. They are pyramid organizations with the power residing at the top shared by the fewest number of "executives" . Priority is placed upon the comfort of the executive class and the profit of the organization's controllers and stockholders. The same companies who stress "teamwork" most often practice the policy that:

"all team members are equal…but some are more equal than others".

When the numeric norm or mathematical arbiter (whether appropriately, inappropriately, logically, or illogically applied) dips below a given point, the "lesser" team members are laid off, transferred, fired, "furloughed", re-assigned, "reorganized," or their jobs are deemed "redundant". Of course, far more people at the bottom of the pyramid are far more adversely affected than those at the top, and the excuse is that doing so is in the "best interest of the *company*, or *stockholder*, or *both."*

Newsflash….these people ARE the company. They are the ones whose hard work, toil, blood, sweat, and tears make the company work. They are the ones who earn your profits, and are the least protected when someone upstairs deems it is time to bail out. Then big business has the temerity to complain about organized labor. If you looked out for the employee as well as for your executive class, there would never have been a need for workers to organize for self-protection.

We watched ENRON meltdown, the executive class looting the company while the rank and file lost jobs, retirement benefits, 401-k's, careers, and futures. We saw WorldCom implode, with $300 million outstanding in "loans" to its top executives. If these were anomalies, it would be bad enough, but they were not. It is business as usual.

Every day in this country, companies and corporations dissolve retirement funds, cut retirement benefits, lay off workers "just before" they are vested in the retirement system. They reorganize, voiding jobs and substituting almost vested workers with contract and temporary workers. They "restructure" to place middle aged workers in dead end positions where their experience can be called on to solve problems, but where they will never see a promotion. Ploys like these, and scores of others are used to protect the executive class and the stockholders (or in Enron's case, just the executive class and in Adelphia's, the family) from the normal ebb and flow of the marketplace, from poor strategies by the executive class, and from the panic caused the stock market *dilettante'* among the short-sighted profit mongers.

Where is the "teamwork" when only part of the team has to suffer the loss. If the company has done badly, then again heed the wisdom of Kung-Fu-Che who said:

" a fish rots from the head down".

If the company is a "team" then EVERYONE is a "team member"; the CEO, the policy wonks, the bean counters, the service deliverers, the production people, and the stockholder. If the production worker has to lose his job, shouldn't the executive experience a similar fate? Likewise, if the executive gets a golden parachute, shouldn't everyone? If someone has to be laid off, then why should the stockholder not also

experience a loss? If the stock goes up, then shouldn't everyone on the team experience a commensurate profit?

If a production worker or service provider fails to properly do their job, they are fired. If the strategies and policies of the company fail to prove profitable, has the executive not failed to do his job too? Then what is the fate of the executive? A golden parachute? A contract buy-out?

Where are the fairness, the equity, and the truth?

Deming stressed teamwork in the framework of a more equitable workplace, a team where the individual's effort is truly valued, burdens are shared, and benefits distributed equitably. He spoke of organizations running as functional families, with pride in effort and high morale.

Equitability…ah yes; in a country that decried the existence of an aristocracy, and was founded upon democratic principles, such high-mindedness seemed to have failed miserably to make the leap from dogma to dollars.

Ah..yes..you, my resident capitalist curmudgeon. I see you waving your un-calloused hand in the air. What's that? Does this concept work…well let's take a look.

The Japanese embraced it after the devastation of WWII and became a leading industrial power in a decade.

Ah…you do not want to hear about the Japanese. You want an American example. OK, try this.

You have organizations made up of both white collar and blue-collar folks. They are paid a lot less than big name actors and athletes and CEO's who plunder the marketplace; yet they produce virtual miracles of skill, productivity, and service provision in the most hostile of work environments. Their morale is high because they are led from the front, they are respected by their co-workers and supervisors, and the entire working team shares both the good and the bad equally.

What's that you say? You've never seen a company or organization like that here in the US?

You are wrong little man. Look around you. Look at the Firefighter, the Police Officer, and the Paramedic. Look at the Special Ops Soldier and Sailor and Airman and Marine. Look at the Coast Guardsman, and the scores of volunteers that seem to materialize out of thin air every time there is a disaster and they are needed. Look at the older fellow over there delivering meals to shut-in seniors. Look at the youngster helping to clean up the roadside or assisting at a day-care center. Look at the USO troupes who entertained GI's through three wars. Look at a bunch of Coal Miners in Somerset Pennsylvania on July 28, 2002, New York Emergency Personnel on September 11, 2001, or the Passengers of Flight 93!

They are not saints, and they're not perfect; they're just common folks with good hearts, a modicum of common sense, and a healthy ration of guts.

Our industry just looks in the wrong places for its role models.

Biting the Hand….

During the Christmas Season, Dateline NBC regularly checks large volume stores for the accuracy of their scanners and pricing policies. In December of 2002, the retail community bemoaned the lack of consumer confidence, spending, and outlay, due to the poor economy. A response to this (according to NBC) by Target Stores was to overcharge for certain popular toys. Although this was brought to their attention day after day, the stores still charged more at the check-out counter than the retail price marked

on the shelf for certain high profile toys. Rather than becoming more competitive, rather than attempting to enhance consumer confidence, the Target Stores chose to gouge the customer; even after they were caught doing so. [30]

The logical course of action would have been for the stores in question to correct the matter right away; after all, they were being photographed, recorded, and the matter being placed before the public in prime time. Instead, they balked. WalMart balked when it was exposed that certain of their stores forced employees to work "off the clock" in order to protect their jobs and increase the profit margin. California Healthcare West balked when Medicare began an investigation of billing practices, and continued to knowingly over-charge until legal action was taken. Ford continued to put faulty electrical components in their vehicles for years after the problem was discovered. Years after it was first made public, the Red Cross blood system still distributes tainted blood. The list goes on and on. This is the nature of the insular organization. This is the nature of the decision making of those who make decisions for and profit from such organizations, insulated from the effects of those decisions by the organization. [30]

The Dollar Dilemma

Many who have read portions of this manuscript prior to its release have asked me…

"What have you got against making money?"

Apparently, they seem to feel that my position on business portrays me as just a little bit crimson, socio-economically.

OK, I've spent a good portion of my life working in non-profit, and another large chunk volunteering for what I believe to be worthwhile endeavors, from the Military to VISTA. That does not mean that I am overtly socialistic, or anti-capitalist.

What it means is that I believe that we all, as individuals, as organizations, as companies, and as corporations owe something to society as a whole. Not necessarily because society deserves it, but because society needs it.

Our social values are, as I pointed out, upside down. We place far more value on the pretty person than the plain one; no matter what their inner power or what they have to contribute. Society pays far more homage to the media performer than to the person who actually does the hurting, and bleeding, and dying for our welfare and well- being. We pay millions to those who play games, and a mere pittance to those who save lives. Elections are not always won by the smartest or the most honest, but too often by the craftiest and best heeled.

Many of those espousing "spiritual" values are living very comfortable "corporal" existences on the contributions of those they council to humbly accept their own stations in life. The haves protect themselves at the expense of the have-nots. Those in power wield that power for their own benefit at the cost of the powerless.

These propensities of our society have grown over the ages, and will not be made equitable in my lifetime; but, individual contributions to social awareness can and will help to change outlooks, (as I've said before) one mind at a time.

As for business, we need only look at the state of our environment, the mountain of civil litigation, and the corporate scandals that scream at us from the headlines to see what Corporate America has been up to for the past 200 years. The legatees of the robber-barons, the land grabbers, the flesh peddlers, the money

changers, the sweat-shop owners, and the influence traffickers, owe a debt to the body politic for their machinations, greed, and cupidity. This debt is long past due.

There is no wrong in making money, so long as in the making, the betterment of society is part of the process and product. There is no wrong in making a profit, so long as the profit is fair and equitable. There is no wrong in revenues so long as no one is hurt in obtaining those revenues.

Business makes money off the people. The people deserve to be treated as what they are, the founders of the feast. Business employs people. The people deserve to be treated as what they are, the very energy and fuel upon which the engine of industry operates.

Power must equate responsibility, and authority must equate culpability, in order that there be equitability in business and society.

Making money is good, as long as you are also making the world a healthier, safer, fairer, and happier place.[34]

Truth as Commodity

That which has been called "truth" has been used and abused as commodity since the dawn of time. Claiming that one's words were absolute, unassailable, and perhaps even divine TRUTH made them a commodity, currency, having financial value.

If your prophesies, information, or insights were supported by fact, circumstance, coincidence, or born out by an interpretation of events; people would pay you for them. If they supported the prejudices of a certain group, that group would pay you for them. If they could damage a common enemy, then your allies would pay you for them. If they could confuse the public and play upon fears, those who would capitalize upon such confusion and fear would pay you for them. If they promised wealth to the poor, help to the downtrodden, and safety to the fearful; the fearful, downtrodden, and poor would pay you for them. If they promised Paradise, a lot of deserving and many undeserving people would pay you for them.

Adolph Hitler observed that the biggest lie is the easiest to sell.[35]

In today's information age, data equals dollars. Stock market boards flash up to the second information on the value of a stock. We believe in the technology, we believe in the history of the action, so we believe that the information is accurate and we invest. Now we find that even IF the information itself is accurate, it may be predicated on grossly inaccurate data. A $4 Billion "accounting error" by executives at Enron or WorldCom or Arthur Anderson can cost thousands their livelihoods, many more their savings, and the taxpayer a bundle.

The Senate sits in solemn session to judge a person worthy or not worthy of a seat upon the highest court in the land. Information is brought forth about his detractors and their testimony is dismissed; only to learn too late that the "negative information" brought forth about his detractors was manufactured at the request of his supporters. The result is the lifetime appointment of a Justice whose own sense of justice and ethicality are in question.

Life direction and spiritual advice issue forth from a person in a pulpit. The advice is often based upon a tradition that lacks historical credence. The purveyor of that advice may have been found to have violated, not the sanctity of his theology, but the sanctity of the innocence and health of young children. Others of his ilk can be found to be operating financial frauds, buying political favors, systematically demeaning minorities, and violating civil and human rights. Still others commit murder in the name of their Deity and belief system.

Here we have the triad of our society: Business, Government/Judiciary, and Religion. Our society has long looked to this triumvirate to act as check and balance for each other in order to insure our social well being. How can there be such a check and balance when none have clean hands?

Calling Dr. Deming, calling Dr. Nash

Two of the greatest business minds of this millennia may well have been those of John Forbes Nash Ph D and W. Edwards Deming Ph D; both recipients of the Nobel Prize.

Dr. Deming, the visionary who revived Japanese industry after WWII, created his 14 Points for Management based upon the idea that the workplace should be a cooperative effort, eliminate adversarial relationships, and institute positive and ethical leadership.[33]

The equally visionary Dr. Nash developed a theorem ("The Nash Equilibrium") that mathematically and logically illustrated the positive relationship between seeking the good of the whole in negotiations and bargaining as well as seeking individual or personal profit. [34]

In essence, the work of both of these individuals sought the same goal; creating a model for business ethos that accommodated both the individual need for gain and recognition; and the need for the marketplace and society, to be a fair and equitable arena for all.

While both have been employed successfully in international negotiations and development scenarios; they have not made their way to most American corporations. They have been resisted by the executive class, and by the large investor, afraid of losing even a modicum of control over the means of production. This selfish and self- serving attitude have managed to create the lack of ethicality we witness in today's business environment, and the disasters that such lack of ethicality have wrought.

Both systems of thought can be carried far beyond the factory floor or boardroom negotiation. They apply to human experience at large, in the operation of virtually all human enterprises and endeavors.

True teamwork, not the slogan variety; and true equilibrium, not the public relations hyperbole; can serve to create an open, ethical, cooperative, and productive environment for most if not all endeavors and undertakings.

These are not new ideas. We all heard them as children, when someone admonished us to…

Play fair!

Apparently, some either did not receive the admonition, did not heed it, or were too self involved and uncaring about their fellow beings to observe it.

Is it really so socialistic to expect that those who profit from our society re-invest in that society in a commesurate or like manner? Is it truly contrary to our way of life to demand that those who benefit the most from that way of life give back in kind?

VII.
The Press, The Media and Truth
That, that is, is! Or is it?

That brings us to that lovable bunch of rogues, those freebooters of facts, those pirates of the pen, the Fourth Estate. The News Media; noble protectors of the 1st Amendment, tireless seekers of the truth. Well……maybe!

In the film "Deadline USA", Humphrey Bogart portrays the idealistic and much put upon editor of a crusading newspaper.

OK, ok, it's just fiction.

Anyway…(to paraphrase), this editor is approached, on the eve of the demise of said newspaper, by a young man seeking a job.

"Are you a journalist or a reporter" asks the crusty editor.

"uh...er...what's the difference" replies the youngster.

" A journalist makes himself the hero of the piece, a reporter is just a witness!"

Well, so much for fiction.

In this age of 'round the clock cable news shows, tabloids, television magazines, live feed from Lower Jawbone, Alt Knucklesburg, Upper Slobovia, and Outer Space, we are up to our collective hips in journalists. We have radio journalists, television journalists, print journalists, photo journalists, sports journalists, business journalists, political journalists, crime journalists, human interest journalists (I suppose they only write about things of interest to humans), entertainment journalists, celebrity journalists (read paparazzi), media journalists (writers who write about writers), and investigative journalists. Heaven forbid that any writer would not investigate the facts before writing them down...chortle chortle snort guffaw hee hee hee.

As if that were not enough, we have those wunnerful, wunnerful guys down in OP-ED. That's the little smoke filled room behind the boiler in the basement where Opinions and Editorials are opined and editorialized.

Many years ago, a wise old Chief Petty Officer gave me a piece of advice that has served me well and truly. He told me

"Boot... opinions are like a**holes, everybody's got one"!

Scanning today's newspaper, I noted that it contained over 60% OPINION. When I had scratched out all of the opinion, conjecture, editorial, fluff, backslapping, glad handing, and repetitive drivel, my 4 section (excluding classified and comics) 60 page newspaper was reduced to less than 20 pages, INCLUDING PICTURES.

Likewise the nightly news. I live in a "market" where the nightly news begins at 4:00PM and continues until 6:30 PM, followed by 30 minutes of national and world news. What that means is that 30 minutes of local news was either reported 5 times; OR, less than 1% of planet generated 5 times the news of the other 99+%. Of that 30 minutes, 20 minutes was editorial, sports commentary, commercial advertisement, and patter by the talking heads. You know them, the 75-cent intellects with the $75.00 haircuts. At the end of each 30-minute segment, they gave me a "teaser"...

"during our 5:00 Newshour, hear the tragic story of..."

Well, the story was tragic, but the facts took less that 30 seconds to relate. This is just a cynical device to ATTEMPT to keep me from switching channels.

Hint..hint...hint: It doesn't work!!

Why should tragedies be "teasers" to persuade the listener to stay tuned, just to be inundated with more commercials, editorials, patter, and "stuff"? This hardly accords either the tragic event or its victim any modicum of respect.

It is said in the "news industry" that "if it bleeds, it leads"; or perhaps follows, or is purloined, or is dangled like bait to be used for ratings or commercial gain.

Let us take, as a prime example, the tragedy of the 1972 Munich Olympics. The Black September terrorists held the Israeli athletes hostage. The police and the German Counter-terrorist unit were setting up a rescue effort. A television camera - person (gotta be politically correct here) sees this, tapes it, and the television networks BROADCAST THE TAPE, showing the terrorists (who were watching the 11:00 news) what the police and military were up to. With that in hand, the terrorists responded by creating a no-win situation, and many innocent people died. I wonder how much soap, sanitary pads, deodorant, and beer it sold, and if the jerk "journalist" who ran the piece got a raise? [36]

Journalists like David Brock were hired to not only unjustly, but falsely smear Anita Hill during the Clarence Thomas confirmation hearings. Noted and prize winning "journalists" have "invented" victims, situations, war experiences, factoids, crimes, heroes, perpetrators, and scenarios in order to see their names on a by-line.

Some were caught, and wept great tears at having to give their awards back. Boo hoo hoo, so sad! Some didn't get caught, and new untruths were introduced into the lore of our society.

What have we here? News as entertainment or entertainment as news? High-speed car chases pre-empt all but the gravest of international incidents on the Nightly News. Why? Is it because we, in front of our TVs must know about these things in order to protect ourselves? Hardly! If you ARE watching the tube while driving on the Freeway, you're not going to profit from the news, you're going to BE the news.

Many political journalists took up the matter of the Viet Nam Conflict in the mid 1960's , in many instances as though it had just happened rather than acknowledging that we had been involved militarily since 1954 and covertly since 1947. When public sentiment swung away from supporting the military actions, the journalists jumped on the swing. They pointed out the violence, they headlined the perceived brutality of young Americans at war. They started out following the crowd against the war, and then began leading the charge.

Their concentration on the fighting man rather than the policy maker and profiteer resulted in the victimization of young men, who simply did their duty under the laws of their country. They were spat upon, denied jobs, called "baby killer", despised by their contemporaries, and shunned by their homeland. The media focused camera and caption on the cruelty that war engenders in its participants; but most often failed to fix their inquisitive gaze on those who manipulated political and strategic data to propel the cruelty. They seized the moment of savagery without asking who profited from and sought to prolong that savagery.

Their point of interest seemed to be the poor kid carrying out the order rather than those who had built influential and profitable careers giving the orders and creating the tactics. Often they portrayed the

American Soldier or Sailor, Airman or Marine, as an intruder creating pain and mayhem for its own sake; rather than acknowledging that they were simply a bunch of tired, scared bastards with no agenda other than trying to get home alive.

Twenty years later, those same "journalists" were the first to call someone a "draft dodger" for evading service in Viet Nam. The same writers who criticized the poor, bloodied GI for the way in which he handled himself under conditions they will never know, now criticized those with whom they found favor a generation earlier.

Let us take a leap backwards, to the days just before Pearl Harbor. American Merchant Mariners were manning unarmed transport ships in convoys laden with lend-lease arms and materials for England. These ships were sitting ducks for Nazi submarine "Wolf Packs", like the SS Rueben James, torpedoed in the icy North Atlantic. Most of those who were not killed in the explosion or machine gunned in the water either drowned or froze to death.

When the Merchant Marine Unions campaigned for hazardous duty pay, media “journalist” Walter Winchell branded them “communists and cowards.” Many of the newspapers that carried his column fell into mindless lock step. When America entered the war, old Walter spent as much energy developing excuses NOT to become a war correspondent (... coward ...did someone say the word coward...) as he did writing the daily pap that he tried to pass off as honest labor. Heaven forbid that this little typewriter-pecking popinjay should have to walk his talk.

In journalism, the "morgue" is where you store past editions and file information. Perhaps it is where they "bury" their words and hypocrisies.

Simple, accurate information covering the FACTS of the story are most often sufficient to provide what the public needs.

Just like the old Jack Webb TV character pointed out: " JUST THE FACTS MA'AM". Do not tell me what to believe, or who to believe. Stick to the facts, and leave conjecture to the kitchen table, the coffee klatch, and the water cooler. With the proliferation of information and misinformation, opinions, "perspectives", analysis, and editorial; the mere raising of an eyebrow, the inflection of a voice, the placement of the story in the line up CAN and DOES (positively or negatively) convey volumes to the viewer and listener.

Are the writers and on-air personnel "journalists", or "reporters"? Perhaps they are "celebrities" with their own issues. A celebrity championing a good faith cause can be a godsend to those benefiting from that cause, but likewise a celebrity fronting for that which is not in the public interest can be disastrous for us all. The media creates celebrities. Media and celebrities can manipulate the public.

And what of manipulation of the media by misinformation? Former Defense Secretary MacNamara has admitted that the information in his possession in the mid-1960's indicated that Viet Nam was a no-win conflict. However, the atmosphere in government (and perhaps among the generals...General Motors, General Electric, and General Dynamics) was not receptive to this information. So, the war dragged on for another decade, many young American men and some young American women, not to mention an unknown number of Vietnamese, died. An entire generation became distrustful and disaffected. [21]

Viet Nam Redux

What is even more appalling about this particular manipulation is that a quarter of a century after the fact, it still goes on. The truth of Viet Nam is still, by some accounts, being suppressed. Despite the public embarrassment, the collective feelings of loss and sometimes of failure, there have been theories advanced that do not reflect the public media memory of that time.

Some credible thinkers and analysts have advanced the theory that our protracted involvement in Viet Nam was designed not to out-fight the North Vietnamese and their "Soviet Masters", but to out-spend them; and to force the Soviets to spend more on this client-state war than they could afford. Some point to their expenses in fighting the Viet Nam conflict and supporting the Ho Chi Minh government as the beginning of the financial collapse which led to the demise of the Soviet system only 15 years after our withdrawal from Viet Nam. Perhaps it is cynical to think, and even damned by faint praise, but could it be that we actually won after all and nobody told us?

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In 1929, the US Government and the newly created Bureau of Narcotics undertook a campaign against the demon weed, marijuana. Ole Mary Jane had been around since the dawn of time, and was sold over the counter,(as "asthma relief") even during the moralistic chest thumping of Prohibition. Now, with the stock market crash brought on by big business, Pot became an issue. Bureau of Narcotics head honcho and political appointee Anslinger (aided by the amoral yellow-journalist, adulterer, and despot, William Randolph Hearst) spent big bucks making and distributing movies like "Reefer Madness" to try to scare the beejeezus out of Middle America. Marijuana (according to the script) would make you a frothing lunatic with just one puff.

However, Mayor Fiorello LaGuardia of New York, sought funding for and launched a 4-year medical study of marijuana users through the New York City Hospitals. The findings of this report differed greatly from the Official Bureau of Narcotics position (which had little or no medical basis). The Feds quashed the scientific report in favor of the media histrionics.[37]

Why, you ask? It has been argued that, with the coming of the depression, a "good reason" to deport Mexican Laborers had to be developed in order to decrease unemployment and satisfy certain conservative Southwestern politicians while making the deportation appear to be the fault of the Mexican Laborer. Big American farmers liked using the Mexican laborers, because they worked cheaper than American laborers. Unrestrained Capitalism at its best! Ah…so little has changed!

Many of these workers used marijuana (which had been legal, fairly cheap, and readily available) to assuage the pain and exhaustion of endless low paid hours of field labor. When the Mexican was found to have, or suspected of having, or associated with someone who had, or was reputed to have used marijuana; he, or she, and their whole family were deported as "morally corrupt" for using this "demon weed".

Today we continue to lose the "war on drugs", to some extent so that those in power do not have to admit the foolishness, fallacy and failures of the past. Is hypocrisy a tool for national policy?

This is not, by the way, an advocacy of the use of cannabis sativa or its biological relation. It IS an advocacy of scrutiny!

Recently, I watched an anti-drug ad, which depicts recreational drug users stating their complicity in terrorism because the drug trade reputedly helps finance terrorism. This may well be factual. HOWEVER, any American who paid their taxes while the US Government supported the Mujahadeen (later Taliban) ALSO contributed to terrorism, AGAINST THE UNITED STATES!

In the world of journalism, a technical absence of malice does not necessarily indicate an absence of avarice; nor equate a presence of good sense.

President Eisenhower, when exiting (not entering) the Presidency advised us to "beware the military-industrial complex". Perhaps his conscience was bothering him. Military is part of government and media is an industry. Perhaps he should have referred to it as the Governmental-Industrial Complex.
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Hypocrisy as a tool for social change?

We need only look back as far back as November 7, 2000 and the vote reporting fiasco. Speculation by a television network, correct or incorrect, led to other media entities jumping on the bandwagon, only to have the bandwagon overturn with all aboard. Red faces, recounts (accurate or not), charges and counter-charges, finger pointing and finger wagging resulted from the media acting as a power unto themselves. [30]

The media argues that it is merely human and therefore fallible. If that is the case, it would seem prudent, mature, and reasonable to be a great deal less pompous and a great deal more circumspect; more factual and less opinionated, more hard data and less hyperbole.

What is even worse? We, the People, let them get away with it.

Does the Fourth Estate, the "Free Press" preserve and protect the Constitutional guarantee of the 1st Amendment? Sometimes. Is it truly a "free" press? It appears to be free from overt governmental control; but what about the control by the political persuasion of the management or ownership? What of the influence of the advertiser? How does the matter of competition and ratings come into play in editorial decisions and policies? What about misinformation, and the rush to beat the competition to the public with sometimes spurious data?

Has the Fourth Estate ever lived up to its credo? There are numerous shining examples of the power of the pen being used in defense of democracy, in the public interest, and for the common good. In the earliest days of what would become this great democratic experiment, writers like Patrick Henry and Benjamin Franklin made the body politic aware of the alternatives to subservience to the Crown. This, at a time when they enjoyed NO civil rights, living, writing, and speaking in the knowledge that their doors could be broken in at any moment, and that they and their families could be killed without trial for sedition.

The writers who championed the abolitionist point of view against 18th and early 19th Century sentiment did so often at the risk of life and limb.

Just in the last 60 years, we have seen the courage of Edward R. Murrow; first reporting from London at the height of the Blitz, later from the Korean war-zone, then taking on Senator Joe McCarthy and the House Un-American Activities Committee (HUAC). We watched Walter Cronkite point out the (then politically dangerous) facts about the failures of the government's stated Viet Nam policy and the makers of that policy.

Dear old Ernie Pyle went to the WWII front lines to give Americans first hand information on the men and women who did the sweating, hurting, fighting, and dying. For that, he paid the ultimate price. Since then, many more brave correspondents have made the ultimate sacrifice in war zones and natural disasters so that we all might know the facts.

Woodward, Bernstein, and their editor Ben Bradley, defied "conventional wisdom" and pursued the unpopular trail of evidence in the Watergate break-in, exposing one of the most egregious abuses of power in 20th Century American Politics.

In the midst of a society and culture well and duly on their knees worshipping at the alter of youth, Tom Brokaw reminds us of the values, and valor of what he rightly calls The Greatest Generation , the generation that fought World War II, the generation that did no less that to save the world.

That brings us to 9-11-01; arguably the most horrendous single event to ever happen on American Soil. In the initial moments and early days (at least) of this tragedy, the media acted with intelligence, restraint, and maturity; urging the citizenry not to panic, showing deep empathy for the victims, and keeping the facts first. In the combat zone, Reporters and Journalists have acquitted themselves with not only

competence, but with bravery and valor. Unlike most of the “Talking Heads”, they have placed themselves in Harm’s Way, putting themselves on the line in pursuit of fact and information.

These are but a few examples of greatness in media, the best of the Fourth Estate. By their very existence, they put to shame so much of what passes for "News".

Editorial is a useful and dynamic tool of the journalistic trade; so long as it is not dressed up and turned out as fact. There must always be a stated, clear, and well-defined separation between that which is fact, and that which is opinion. We speak of the "absence of malice"'. What of the absence of avarice? Or, perhaps, it is the value system that maintains that you need not be bright to get the job…just pretty!

It is a very valid argument that the only FREE Press is one that is unfettered by the greed of profit making, the avarice of political agenda, and the foibles of celebrity. The pursuit of TRUTH, or perhaps more correctly the pursuit of FACT, must be conducted with clean hands and a clear conscience. Perhaps ole Bogie’s character wasn’t so wrong after all! There are two types; those who go into harms way to seek the facts, and those who merely mouth the words and sell the soap.

An open letter to the media.

Dear most glorious Grand Panjandrum of the press, electronic media maven, and talking head:

Your desk sign says Editor or maybe Channel 1 News. It DOES NOT say Mount Sinai, nor does it say Center of the Universe. You may make more money than I do (a really good likelihood), you may be handsomer than I am (no contest there), dress better than I do (sometimes) and have a better haircut than I do (except for your damned comb-over), but that only means that you are luckier than I am, NOT WISER.

There was a time when you MAY have had access to more information than I did; but the Internet, and Satellite Television are rapidly closing the gap. I appreciate your efforts to bring me NEWS, but only to bring me NEWS.

The other matters; those, which you have, in your most imperious wisdom divined or opined, should be clearly labeled as OPINION - NOTHING MORE. Perhaps the Surgeon General should require a warning label across your page, on your set, or repeated during your broadcast, stating :

WARNING: Disguised opinions and covert extraneous influences can be hazardous to your mental health !

Whenever you leave the domain of pure fact for even an instant, the listener, the viewer, the reader has a right to know. Whenever you SPECULATE, HYPOTHESIZE, INFER, CONJECT, SURMISE, THEORIZE or GUESS, the audience has a right to know that you have departed from reality and entered the realm of make-believe.

You may be an adult wearing a custom made Italian suit rather than a 5 year old with a towel for a cape pretending to fly while bouncing on a sofa, but you leave the sphere of reality just the same.

The gratuitous inflection, the raised eyebrow, the sarcastic tone, the momentary leer playing at the corner of your well made-up mouth; THESE ARE ALL OPINIONATION. If I want your opinion, as my Third Grade Teacher always said, I'll ask for it. If I DON'T want it, it is only fair and equitable that you give me sufficient warning that what you are about to say or print is JUST AN OPINION. I may want to watch, or listen, or read it; or I may want to go to the bathroom, get a snack, change channels, or wrap fish in it.

Which brings us to EDITORIAL POLICY. Should I wish to give some credence to the OPINION, which you are about to disgorge, it is only fair and equitable to advise me WHERE THIS OPINION CAME FROM. Is it the result of endless hours of rumination and soul searching by a peerlessly well qualified brain-trust of internationally recognized authorities in the field, or does it reflect the political position of an advertiser? Is the desired result, IN FACT, the betterment of humankind, or is it political influence peddling on the part of corporate ownership? Is the expected result an EPIPHANY for the social conscience of the nation, or a political quid-pro-quo for management? How much of your efforts equate social change and societal improvement; and how much simply equate revenues?

Tell me the facts, ALL of the facts! Only the facts are NEWS, all the rest is just quibbling.

I respect your obligation to protect a source that may be at personal risk in providing FACTS, but prove to me that the information from such a source are really FACTS. The unnamed source is the least credible and the one that must be most carefully scrutinized. Is that “high White House source” a real political operative or a tall civil service janitor?

Last, but not least, observe some modicum of propriety. Report the news, do not try to be the news. You are not the hero reporting about the war , the poor underpaid, mud sucking GI is the hero. The scared underpaid kid who doesn't want to be there but does his or her job anyway is the hero. You are not the hero

at the fire, nor at the scene of the crime; those are the province of the Cop and the Firefighter. In fact, you are only very rarely a hero at all, you are a witness.

Likewise, if you poke your camera or your microphone into someone's face, and get a poke in the snout in return, don't portray yourself as a victim. You are just a witness, perhaps an unlucky one, but still just a witness.

By the way...This is just my OPINION!!!

Sincerely,

A Reader.

The Foibles of Celebrity

Various things create celebrity. Sometimes, fate and circumstance conspire to create celebrity, sometime it is a media contrivance, sometimes individual energies. By whatever means, celebrities display a particular image to the public, in essence they play a role. The public identifies with that role or image, and it expands in the societal consciousness until it takes on a virtual life of its own; a life that is often unsupported by fact. For example:

American Hero and conservative icon John Wayne avoided the draft in WWII; afraid not only for his personal safety, but of interrupting his career and losing the financial momentum he was enjoying in Hollywood.

Author of the Declaration of Independence, and political icon Thomas Jefferson avoided putting himself at any personal risk during the War for Independence, advocated for the abolition of slavery while owning slaves and having children by slave Sally Hemming, and spent most of his later years in debt while splurging on European wine and personal comforts.

George Washington, “Father of his Country” apparently married his wife Martha (a wealthy widow) more out of opportunism and financial expedience than any deep-seated affection.

John Kennedy, the “youthful and robust” President of the US was afflicted by chronic illnesses all of his life.

Tough guy actor Humphrey Bogart was not a gritty street kid from Hell’s Kitchen, but the silver spoon son of Boston Socialites.

According to bartenders, stagehands, and co-stars, tippling crooner Dean Martin drank only apple juice on stage and in public.

Author of the Bill of Rights, and American President John Adams was referred to by his contemporaries as “obnoxious”.

Scientific Genius Albert Einstein often forgot to dress properly, carry his wallet, and other basic elements of his own personal care.

Russian composer Peter Tchaikovsky and British General “Chinese” Gordon shared a proclivity for the intimate company of pre-pubescent boys.

Aviator and American Hero Charles Lindbergh was an advocate of Nazism and Fascism, and expressed admiration of Adolph Hitler. [42]

Champion of Democracy and American Icon Benjamin Franklin resided in France during the American Revolution to avoid personal danger, and reportedly attending meetings of the infamous sex soiree, the "Hellfire Club".

These examples serve to illustrate that celebrity is often a role, dependent upon a particular facet of the individual, not upon the individual's entirety.

Celebrity visits itself upon the chosen few, who may have demonstrated a skill, ability, or quality that society values. This value may be contemporary to a time and place, or it may endure within the reason for being of that society.

It is a mistake to confuse happenstance with value. It can be a blunder to equate public image with fact.

Celebrity itself does not give rise to sainthood, nor does it necessarily engender genius. The act itself, the value of the specific accomplishment, the importance of the exploit, the eminence of the individual thought; these are the stuff of greatness.

It is the act, not the personality, that is great. It is the objective wisdom of the word, not the mouth that utters it, that deserves consideration. It is the merit of the achievement that deserves accolade.

VIII: Truth and Fairness
To equate, equivocate, rationalize, and search for equity.

In all probity, I must take some time to acknowledge that life is not fair. Nope, never has been, never will be. I have searched every square inch (and believe me that there are a LOT of square inches) of my poor bruised and bedraggled body and I have yet to find any sort of guarantee or warrantee. Nothing, zero, zilch, bupkis!

Life ain't fair. Society is not fair. Government is not fair. Laws and regulations are written in generalities and generalities are not fair to all. Just as history is written by the winners, so are laws written by the winners of political contests and are written for the advantage of the winning party. Likewise with all sorts of governmental regulations, organizational, or business policies. They are written by the people at the top for the benefit of the people at the top.

Even when written with the most evenhanded and balanced motivation; the administration of laws and regulations are left up to people, bureaucrats (loosely speaking these are people too), and politicians (well... the jury is still out on that). Speaking of juries, they are made up of people, as are committees, commissions, councils, clubs, armies, assemblies, associations, etc. etc. ad alliterum. Even impartial and critically logical computers are programmed by illogical, corruptible, and fallible people; each with his or her own frailties, prejudices, wants, fears, dreams, nightmares, and agendas.

Can these laws, regulations, and policies ever be fair? To an extent and by some accounts in a scarce majority of instances; yes. However, they cannot and do not address all situations, all conditions, or all instances. Neither can those administering them be expected to shrug off their humanness, their frailty, their ignorance, or their prejudice, and always administer them equitably.

So we MUST acknowledge that SOME untruths, some misinformation, some perversion of facts occur in possibly defensible situations. In fairness it must be said that truthfulness must be viewed, if it is viewed at all, in the widest of perspectives and the least parochial of definitions.

Could we expect a victim of the Holocaust to have been totally honest with his or her captors; or for someone brought before the Inquisition to not have skirt the truth a bit to avoid the rack, the whip, or worse?

All right my bookish little comrade, I see you jumping up and down in the back row like a 5-year-old who has to go to the bathroom. You want to know if I am somehow justifying the "higher good" of ole Augustine here.

The answer is... maybe! (How's that for equivocation?)

Augustine's "higher good" was an intangible, and the most public proclamations of higher good have always been intangible. God, Country, The Cause, the Church, all platitudes, and intangibles, and all used as the reason or justification for an action; truthful or not, factual or not.

Here we may be talking about a logically (and possibly morally-) defensible act, not necessarily a "higher" good. It is an act in the face of overwhelming fear or hostility. It is an act of TRUE self-preservation, not merely the preservation of goods, or wealth, or position. It is, if I may call it thus, a "higher good with a face on it." It is a higher good with a tangible result, a real, discernible, and humane result.

Historically, our society and social consciousness has resembled a pendulum. It swings from extreme to extreme, from left to right, from conservative to liberal. Sometimes the swing takes years, and sometimes it happens nearly overnight. The same country that espoused freedom of religion in the 18th century still fights the battle of religion in public schools in the 21st. Slavery was abolished in 1865, but the descendants of those slaves were not afforded free and full access to the vote until 1964. They sang "I didn't raise my son to be a soldier" in 1916, and "Johnny get your gun" in 1917. The “Draft dodger” was a coward in 1944, a champion of conscience in 1969, and a coward again in 1994. In 2001, he was resurrected and in 2004 enjoys lofty status in government while sending other people’s children to war.

This Nation’s administration devised a policy (or perhaps a non-policy) regarding Gays in the Military, euphemistically referred to as “don’t ask, don’t tell”. The loyal opposition decried the event. The President that presided over the development of this approach was labeled a “Draft Dodger” (due to his not serving in Viet Nam), by the opposition during his campaign. When the opposition won the next campaign, their candidate’s military service (or non-service) was questioned; but NEVER ANSWERED. Don’t ask – don’t tell was thus applied to another venue by those who criticized it to avoid criticism for what appears to be their own hypocrisy.

The country that fought against the political control of Nazism in 1944, allowed a political committee to blacklist and ostracize people for alleged political association in 1954. The society who pulled together so valiantly to survive the great depression and win WWII, almost pulled itself apart over political philosophies in the 1960's. In a single court decision, the rights of the accused and the convicted became more an issue to the justice system than the rights of the injured and the victimized.

Only a few years ago, the most important issue in our social consciousness was what was beneficial to the collective, to our society as a whole. As time passed, we have been beset by demands for personal rights, personal liberties, personal prerogatives. First, the group was most important, then the focus became the individual.

More recently, in the midst of our national proclivity for finger-pointing, and moralizing on the topic of civil liberties among other nations; we have seen our own sense of civil liberty and personal rights diminished ostensibly in response to the terrorist threats against our nation. The accepted excuse for this, is the crisis in which we find ourselves after 9/11/01. This may be a valid reason for increased vigilance, but consider:

During WW1 , authorities often turned blind eyes toward the victimization of and civil violence against Americans of German descent. During WWII, Americans of Japanese descent were placed in internment camps. Before our entry into that war, the information on the treatment of Jews in Germany was kept away from the American People. During the so-called “Cold War”, those who may have once embraced, even

fleetingly, the philosophies of Marx and Engels found themselves under suspicion, spied upon, and harassed. Many completely innocent people were accused and "blacklisted" to earn political currency and airtime for a few politicians. It was not until the mid 1960's, only a few decades ago, that citizens of color were given free and (not always) unfettered access to the vote. Veterans of each of our succeeding wars find themselves having to fight for the right to care for those new maladies each new war bestows upon them, and often for the right to jobs and equal consideration; owing to the relative popularity or unpopularity of that particular war.

Is national crisis the reason, or is it an excuse? Do we move from crisis to crisis, adjusting our national policies to address the crisis as we perceive it to be? If so, then how do we, in each of the instances cited, define the attendant crisis? If it is up to the few in power to define the crisis, is it not up to the powerful of other nations and societies to define their crisis and such reactions to them? If so, who then are we to judge? Even if we were to achieve an accurate national consensus on our sentiment, it would be based upon our parochial self interest. How then can we find fault with others doing the same? One must wonder!

Somewhere in the space between one viewpoint and its opponent, between the extremes of our rationales, between the needs of one group and the needs of another, we may find what is real, what is meaningful, what really works, what might begin to represent TRUTH.

Let's play with this idea for a moment. Maybe truth is not in fact a THING so much as a PROCESS. Perhaps it is a gauntlet through which we may pass information to separate fact from fiction, data from editorial, reality from fantasy.

Perhaps the PROCESS OF TRUTH is a testing ground for what we see and hear, tempering the input with wisdom and experience, weighing it against known fact, freeing it from rhetoric and bias, and forcing it through the sieve of credibility.
An interesting idea?

To quote **Sir Francis Bacon**, the renown English Philosopher, Statesman, and Author;

"Truth is not derived from authority. Knowledge is the fruit of experience"

IX
Honesty is the best policy…but insanity is a better defense.

We cannot escape the reality that no matter how well intentioned our value systems, how fair we strive to make our legal system, or how much latitude we are willing to give our fellow human beings, there are among them those who simply LIE. Even when not threatened, even when telling the truth would be simpler, there are those who prefer to LIE.

Psychiatrists call them Sociopathic personalities[38]. Perhaps there is some pathological element to that individual's mental make-up or some organic misfire in their mental machine that causes them to lie. Perhaps there are those who have found at some critical point in their life experience that telling a lie got them out of a jam, and now it seems to have become a habit. Perhaps, also, there are members of the psychiatric and psychological community who find it financially rewarding to have as many "diagnostic" criteria as possible to enhance their coffers. It goes without saying that to blame one's misdeeds upon a diagnosed malady beats having to be held accountable for them.

That having been said, these folks present a problem for us all. They occupy space and take up resources. Their needs are difficult to define, and their words cannot be trusted. Lying is only a crime in certain circumstances, and when it is a crime, our legal system is pledged to defend the rights of the accused as much as is possible.

To complicate the matter even further, we are faced with actual psychotic personalities who (in the absence of any concrete proof that they are an immediate threat to themselves or others) are allowed to roam the highways and byways of this country; often needy, frequently difficult, and all too often, troublesome.

They may dress in ragged clothes, and talk to themselves on street corners. However, we have seen them in three-piece suits and custom shoes in the halls of influence and power.

They have worn silly haircuts and Chaplinesque mustaches, and led the world into war.

They have worn the sacred robes of religious authority, and the hooded ones of hate mongers.

Their answers to life's questions are often simplistic, and seemingly easy to swallow. Their positions require no thought on the part of the listener, only blind acceptance. With that, they may even make some sort of warped sense.

Complex questions require complex thought. If the speaker asks you not to think, only to act…beware. Humanity has been down that road too many times.

X. Tinker, tailor, stoic, cynic.

Diogenes, the Greek philosopher, spent his entire adult life in the search for an honest man. Diogenes is often labeled history's greatest cynic; but perhaps he was in fact, it's greatest idealist. All he sought was truthfulness.

Here I have advanced the argument that perverting, redefining, or tempering truth or fact may be a by-product of the human psyche and an increasingly complex social environment and its effect on the human survival mechanism. That does not make it right, nor does this perspective argue for justification. It simply tries to understand the nature of truth, that malleable commodity, and how our society regards it.

We can ask individuals to swear upon the holy writ of their choice, we can trust the press to expose inaccuracy, we can hope that laws will act as an arbiter of the actual; but history shows us that such is not the case.

Shall we simply accept that truth is a fallacy, that untruthfulness abounds, and that no one is to be taken at their word? Shall we throw up our hands and surrender; resigning ourselves to the cynicism of distrust?

Yes and No! (Holy smokes, there's that equivocation again!)

Yes, untruthfulness, the twisting of the data, perverting facts, obfuscation, are all part of what we are and what we do. They are a part of life. We must accept that truth is an IDEAL, not a reality. One person's truth is another's fantasy. What is soup for the goose, may be sauce for the gander. We must accept the human dynamic of truth, and its subjective nature. BUT…

No, we need not surrender to cynicism. We must accept the responsibility in each of us to discern what is, for us, the truth.

When we rely solely upon the word of another as to the real nature of things, are we gullible, stupid, and mentally lazy? Probably! When we accept the view of others, their analysis of the facts, and their perspective on the reality, we do not only ourselves a disservice individually but collectively.

I can still hear my mother holler at me (upon learning that I planned to do something dangerous with a boyhood pal)... "if your friend Harry jumped off of a bridge, would you jump too?"

Good question then, good question now. Just because some politician, preacher, or purveyor of publicized pap says that it is so, should I not get the facts for myself? Just because the electronic conduit has been fed certain factoids not unlike the body's own alimentary canal, and spews same into my living room this evening, (get the picture?), should I accept this as (and I use the term in the broadest possible sense) gospel?

The fact that some political commentator says that something is fact, in fact, does not make it fact. Why should I take the word of the commentator, after all, would I not be better served by listening for the wisdom of the "uncommon 'tater"?

Oops…hehe…Sorry!

Once again, harkening back to those halcyon days of swabbing decks and chipping paint, I again recall the wisdom of another Chief Petty Officer who said, with a voice that would shame an airhorn,

"...kid, if you are either part of the SOLUTION, or you are part of the PROBLEM..."

What IS the problem? The problem is the lack of individual responsibility in decision making. The problem is the lack of willingness to participate in CIVIL societal dialogue, in COURTEOUS social debate, and in INTELLIGENTLY scrutinizing the status quo. The problem is that people do not take the time, either through laziness, apathy, stupidity, or fear, to exercise their intellect, their intuition, and their ability to objectively comprehend.

This is information, not baby food. If your diet is the strained peas of the commercial news, how can you be expected to chew on a tough issue and digest the data? If you relegate yourself to instant cereal from the pulpit and the platform, how can you expect to relish to sophisticated flavors of an intellectual feast?

Have I exhausted the food metaphor yet? Okay!

What does this say about our national or societal consciousness, our social values? Well, we do pay athletes from 5 to 20 times the salary of the President of the US, and if they make bad decisions, they only lose a game. We pay actors enough to pretend to be Police, Firefighters, Physicians, and Soldiers on the screen, to fund a real Police or Fire Department, a real hospital, or an entire Military Unit. When they screw up, they just do a retake. No lives are at risk, no real losses to be had. How, in the name of all that is

even remotely intelligent, did this ever happen? Why are our social values so rationally upside down? Is it because we have become a society of watchers instead of doers? Is it because we have become intellectually unable to cope with reality? Is it because we are so self-indulgent that we must be continuously entertained at any cost? What does it say about who and what we are?

Perhaps we should judge a person's worth by who they are and what they know, rather than by what they are and who they know!

XI. Is there a solution?

Perhaps! However, it is not an easy one; nor will it be quick. It may even be painful for many, but remember that a mind is a terrible thing to waste; just as a waist is a terrible thing to mind!

Excluding, of course those who are so psychologically dysfunctional or organically damaged as to be unable to account for their own care and actions; we each have a responsibility to fearlessly THINK and to courageously REASON!

In the interest of expedience, conformity, social pressures, mental laziness, and fearfulness, all too many of us have abdicated our right to REASON, capitulated our entitlement to QUESTION, and relinquished our birthright to THINK INDEPENDENTLY. We have allowed the institutions of our society to supplant our thought processes with their groupthink paradigm and their organizational false self-importance.

Not unlike the people of the Renaissance, we may have to re-learn HOW to think, and we must do it one person at a time. Real change is not brought about by diverting the attention of the masses momentarily, but by expanding the thought patterns of individuals, ONE AT A TIME.

These suggestions are garnered from the experiences of people whom I have come to respect for their wisdom, insight and tolerance.

1. Have objective and realistic expectations. If you really believe that the politician or power seeker is going to tell you the truth, the whole truth, and nothing but; then you need to get a life. Power seekers get power by making promises to groups of individuals with similar wants and needs. In return they get influence, or votes or currency (political, monetary, or both).. Those wants and needs are not necessarily your wants and needs, and more money buys more access. The power seeker is going to be just as truthful as he HAS to be to survive and just as manipulative with the truth as he CAN be to prosper.

Likewise, the religions leader or the businessman. FEW if any major religious leaders or captains of industry DO NOT live a luxury lifestyle. You pay, they play, and it is a simple formula.

Can you believe what is being said? What is the record of accomplishment of the speaker, or his/her profession, corporation, organization, etc.? What is their record on factuality and social consciousness? Be realistic.

2. Think For Yourself. Scrutinize, analyze, explore, investigate, and examine independently. Exercise your mind. Exercise your independence, and your individuality. Do not take someone else's word for or on important issues. Your brain deserves first hand information, and new ideas, not pre-owned concepts and regurgitated opinions.

3. Understand the mysticism of Celebrity. As a society, we worship celebrity. They become bigger than life. We give their words greater gravity than those of mere mortals. Just remember, being a celebrity, be it a media celebrity, or a religious celebrity, or a business celebrity, or political celebrity, is a job. The vast majority of celebrities do it only to make money and garner power. Often the only difference between the

motivational speech and the crass commercial is stage management. Some celebrities do give of their time, talent, and occasionally even MONEY to worthy and worthwhile causes. This is laudable; but their thought processes are no greater than those of us mere mortals. Remember...opinions are like... (yeah, you remember!)

(By the way, do the math. For example: if a $5 Million a year athlete giver $250,000 to charity, it is only 5% of his income. Most American families give a greater percentage than that to charity; and about 90% of all charitable giving comes from households earning $90,000 per year or less!)

4. Take responsibility for constantly and continually seeking that which is true and meaningful to YOU as an individual; not to your political party, or your social group, or to your religious congregation, or to your company; but to YOU; and not just for the short term, but for the long haul.

5. Play the Devil's Advocate. Argue in favor of something with which you do not agree. It can broaden your mind, sharpen your wits, increase your intellect, and (heaven forbid) you might even learn something new.

6. Read and study. Read books, many different books, (and if possible, some without pictures). Listen to many different points of view. Do not be afraid to thoroughly and honestly examine the validity of something that does not support your opinion.

7. If you find yourself at odds with another party over priorities, methods, means, or goals; try solving the other guy's problem. Just as an exercise, attempt to solve it from his (or her) point of view, and give it an honest and energetic try. You will be astounded at how creative, sharp and mentally independent you can become.

8. Understand your humanity and that of others. We all fail, we all fall short from time to time. Empathize, expect fairness, but don't expect total honesty in the face of adversity. Sometimes it is the avarice of the person in a position of authority or judgment that compels someone to feel threatened and be untruthful. There is an axiom variously attributed to Alexander the Great, Napoleon, Julius Caesar, George Patton, and others. It says that if you leave your opponent with nothing to lose, it makes him bold.

9. Think without fear. Do not be afraid to question, to scrutinize, to analyze and to doubt. Seek out the facts, and when you think you have them all, seek them out again. If you want to believe something, then prove it, if to no one else but yourself. Don't consider it a failure to change your mind when the facts indicate. It is not failure, it is growth. It is the learning process.

10. Remember that human communication is no better than the symbols it uses. Words change, meanings mutate, connotations corrode. It is all in a state of flux, as it has been since the first two hominids scratched symbols on the walls of a cave, and discovered that they didn't look the same.

And now, an "Eleventh Commandment", if I may be permitted the liberty. I cannot claim to have originated this piece of wisdom (although I wish that I had), but it speaks to the heart of this issue in concise and rational terms:

"Intelligent people can agree to disagree"

and by both deduction and inference, I am compelled to add...

"if you can't… then you aren't."

Don't confuse ideals with ideology and ideologues The first is a theory, the second a system of theoretic concepts, and the last, someone who cannot see reality beyond the theory.

XII
Who is smarter,
he who answers all questions or
he who questions all answers? Author

This simple question is the very crux of the matter. No, it is not cynical diatribe, nor is it a semantic game. It is a legitimate and justifiable inquiry. It goes to the heart of the question of TRUTH.

Truth, like beauty, may be in the eye of the beholder. Truth may be transient, a plateau of understanding while we wait for the next revelation. Truth may be a tool that we use to mark our place in the stream of reality while we try to absorb new ideas, compute new equations, and understand different points of view.

Truth may be a personal "safe harbor", where the individual psyche can go within itself to rest from the onslaught of information with which it is bombarded daily. Truth may be the aspiration of the first tier intellect, the hope of the second tier mind, and the scapegoat of the third tier brain.

Truth may be like a piece of stout oak: to be fashioned into a ladder to pursue more lofty goals; formed into a mantle upon which to rest one's mementos and trophies; or to be made into a club with which to beat ones opponents.

Truth may be a fact as we know it, an allegory as we perceive it, or a metaphor as we understand it. It may reveal itself as true only because of a particular place and time, and be untrue in any other.

Truth may be many things, and it may be many different things to many different people; but one thing it is not. It is not one thing to all people, it is not (with apologies to the book of Exodus) carved in stone.

Truth, as that colleague stated, may well be a highly malleable commodity. It is what we wish, or believe, or want to believe it to be, at any particular place and time; a private truth, a transitional truth, a personal truth, a momentary truth, a convenient truth, or perceived truth.

The only constant is that TRUTH is a red flag. It is a statement that invites more questions than it provides answers.

Patriotism, according to one writer, is the last refuge of the scoundrel. Truth, we may argue, may be the last refuge of the fearful. Fear of change may cause one to cling to and outmoded "truth". Fear of loss may cause one to swear to a spurious "truth".

In the third apparition to visit Ebenezer Scrooge in Dickens' A Christmas Carol ; Scrooge is shown, by the Ghost of Christmas Present, the twin manifestations of Want and Ignorance. He is admonished to beware them both; but most of all, to beware of ignorance. These twin manifestations mirror in a very real way the twin elements spoken of here.

Fear of loss can be compared very critically to Want, and fear of change to Ignorance. Although the Dickens tome shows want and ignorance in their most profound sense, they are relative measures. However, as relative measures of the human condition, they illustrate the contrast of their situation within the human experience. They give us a context of reference to understand what has happened, and why.

An understanding of why ignorance exists, or why want prevails in general terms can lead to an understanding of the nature of the fears of change and loss in particular circumstances. To begin to comprehend the fear of change that some people experience, is to understand that there are simply some people who by nature, genetics, or experience, are unable to grasp ideas that exceed certain parameters of cognition or require certain depths of analysis. Likewise, to comprehend the fear that some experience at

the prospect of loss is to understand the limits of their individual abilities to cope or adapt; and whether that inability is due to lack of survival skills, or a skewed sense of self.

Some may respond with these fears only at a particular juncture in their life experience, while others are constantly bracketed by these fears. Some individuals may find themselves temporarily at a loss to understand or to cope; while others face these issues repeatedly. In the lives of some folks, there are watershed moments and epiphanies that lead to greater understandings and resiliency. To others, life is a constant learning and adapting experience. Still others live in constant resistance to changing ideas and in fear of changing fortunes.

Society is a collection of individuals, each bringing with him or her, their own collection of anxieties, fears, weaknesses, strengths, and abilities. This amalgamation becomes our society and our societal consciousness. Despite a tendency to depersonalize "society" and to refer to it as the ever present and ever vague "they", society is each and every one of us, equally. We all bear equal potential blame its failures and weaknesses; and each has an equal stake in its successes.

Despite apocalyptic predictions, paranoid fantasies, the so-called Patriot Act, and conspiracy enthusiasts, the Thought Police are not out in force. They are not lurking behind every door, hiding under every bed, or eavesdropping on your private thoughts. Abbot Gui and his Inquisitors have long since shuffled off this mortal coil, and muttering a heresy will NOT get you dragged off to the torture chamber. Tailgunner Joe and his bosom pal J. Edgar are no longer hiding in the shadows or the closet.

So long as your actions put no one else's well being at risk or infringe on no one else's rights, your thoughts and utterances are your own. They are your constitutional right and your birthright However, they carry with them an OBLIGATION, to both respect the actions ad thoughts of others, and to protect yourself and the innocent from those actions that infringe upon the rights of others.

The French philosopher Rene Des Cartes postulated,

"cogito ergo sum"… I think, therefore I am.

When one thinks freely and independently, one IS free and independent. When a person understands the nature of how their thought processes occur, they begin to understand the very nature of themselves and their fellows. When you truly grasp this tool of cognition and communication, it is your greatest ally, defender, and creative device.

Ya gotta wanna!

If you do not want to, then you may well be your own worst enemy.

Shakespeare (a bloody insightful Brit whom we've mentioned before) wrote,

"To thine own self be true".

Upon examination, these six words take on a whole world of meaning. They reflect not only the admonition to be factual to one's self, and to keep honest counsel with one's self; but to be faithful (remember Treowth) to one's own sense of being; being faithful to your own independent and rational sense of what is the best that you can become and to which you can aspire. Not in some corporate sense, not within the context of some aggregate agenda, not following some pre-fabricated philosophy; but deciding for yourself, based upon all of the information available, what is your own TRUTH.

XIII

Thank you for sharing...

This little phrase, uttered in sarcasm, has become s social staple; a put down of those who speak the words that we do not wish to hear. Despite this, we have been handing down “truths” for millennia. These “truths” are opinions, old wives tales, proverbs, and advice; all subjective and all worthy of scrutiny.

When I mention scrutiny, there are several of you out there who immediately become defensive. You feel that "scrutiny" somehow dishonors, or shows disrespect to your idea, perspective, philosophy, or point of view. Scrutiny simply means to examine, investigate, and inquire. Once I look at the factuality, the implications, and the meaning, I (and any other sentient being of modest mental gifts) can make an intelligent and objective decision on embracing or rejecting that point of view, in part or in whole, conditionally or unconditionally.. Just because you believe it to be true does not mean that I must. Just because it works for you, doesn't mean it works for me.

To make it even more succinct: LIGHTEN UP! We are not all the same, our brains do not all work alike, nor have our life experiences been necessarily similar. To quote that sage, soothsayer, philosopher, and bon vivant Curly Howard (of Three Stooges fame)

"You can lead a horse to water, but you can't make him do the backstroke".

You may believe that your philosophy, your point of view, your perspective, is the one true and righteous path to enlightenment, nirvana, heaven, success, victory, wealth, power, world peace, social equality, utopia, a flat stomach, financial security, or a cure for flatulence.

OK! It’s your idea, enjoy it. However, of you want me to listen to you, don’t just tell me…prove it in civil discourse!

Show me and the world, in some concrete and provable way, that you are correct; either by objective and concrete proof of your claim, or by objective demonstration of the unbiased and beneficial application of your claim.

If you say that your hamburger tastes better than the competition, offer me a free sample, or a refund if I find differently. If you say that your insurance company is really concerned about my well being, make available all data on rejected claims and people I can contact to substantiate your assertion.

If you want my vote, and want me to believe that you are interested in my situation, prove to me that you are not in bed with special interests and that your life efforts are and have been worthy of my trust. Prove to me that you are NOT a hypocrite.

If you want me to believe that your medical procedure will cure me, charge me only if it is a success, and immediately compensate me if it fails!

If you want me to believe that your spiritual road is the best and most righteous, objectively prove to me what you have done to provide for your fellow humans in THIS life. Show me who you have clothed, fed, comforted, sheltered, and defended. Show me your tolerance, caring, and generosity, and how it will affect me in real terms.

If you want me to believe that you are reporting or printing the truth, show me the facts, distinct, substantiated, objective, and provable. I am not that impressed with style; I AM impressed by substance.

Ideals are thoughts, goals and visions. Ideology too often is the submersion of perspective, common sense and rational thought into a self-serving regimen dictated by perversion of thoughts, goals, and visions.

If you're gonna talk the talk, then you better walk the walk! Otherwise, do not expect me, or any other thinking person, to listen to you.

When you take upon yourself the mantle of identification with any group, agency, sect, movement, or effort, you take upon yourself the mantle of their history. Be it an industry, a political party, a religious body, a corporation, or social assembly; your identification with them makes you party to their history as well as their present. Few are without some fault, some misdeeds, some faux pas in their past.

It is NOT enough to simply "acknowledge" that a wrong was done in the past. It is NOT enough to simply "apologize" for it. These are just words. When spoken, they are so much wind, when even written down they are often barely worth the paper upon which they are inscribed.

Tangible AMENDS must be made for the apology to have any real validity. Those who were responsible, or those who have DIRECTLY BENEFITED from those actions have a duty to make amends to those injured or their heirs and issue. Similarly, fairness and equity would prohibit punishing the innocent for the crimes and misdeeds of those who went before if they have no tangible connection.

Ah, yes, back there in the last row. Yeah, you my previously talkative little friend. You who were so quick to seek fault with my logic, I see you looking down at your shoes. Why aren't you hopping around with your hand in the air to add your two cents worth? Could it be that your religious organization, corporate employer, political party, or other affiliation has a fleshless carcass in its cupboard? Could it be that you jumped on someone's bandwagon before ascertaining that all the instruments were in tune?

You mumbled something. What was it again? Oh, I am being too harsh, this is too heavy a price to pay for past mistakes.

Well, as another wise old Chief Petty Officer once told me:

" Most people only value what they pay for".

If no amends are made, then no lesson is learned. If no lesson is learned, then no changes occur. If no changes occur, then we are doomed to make the same mistake again.

If society allows any group, organization, association, corporation, or individual to knowingly do harm to another without exacting a tangible reparation, then not only is the victim wronged, but all of society is wronged. Without paying a sufficient price for their misdeed, they have no reason to NOT do it again.

When one person or group knowingly injures or impedes another for any purpose, they have made their purpose, their imperative, their "Truth" more important than the "Truth", the purpose, the well being, of their victim. Is this not the most subjective of judgments, the most egregious of egotistical acts? It is then that the ideal of truth, the hope for truth, and the pursuit of truth dies.

It may be on some Levantine desert, or in some Belfast alley, hanging from a tree in some Southern town, or on the floor of some Northern factory. It has been seen in the halls of Congress, watched in the Courts, read in the Newspapers, heard from the Pulpits, broadcast electronically, whispered behind hands, and gossiped over back fences.

What is it? **It is the BIG LIE, the GRAND PERVERSION, the GREAT PERVARICATION**. It is the root of untruth, the foundation and cause of social woe and human misery since the dawn of humankind.

It is the feeble idea that one person's, or one group's notion of "the truth" is somehow innately superior to that of another. It is the feckless concept that any truth without provable fact is above scrutiny. It is the irresponsible assumption that unsubstantiated opinions are anything other than idle

fantasy. It is the fancy that your opinion is any more valuable or valid than mine, or his, or hers, or even the one possessed by that little dunderhead in the back row who keeps interrupting.

Oops! Speak of the Devil and up he pops. Herr Dunderhead once again has his mitt in the air and is waiving it around like a flag. What was that you said? How are you expected to believe in ANYTHING, if you have to scrutinize EVERYTHING?

Again, I shall defer to the wisdom of an old sea dog, who shaped and molded my young adulthood, and visited upon me a great deal more wisdom than church, school, and parents combined. He said...

"...the more I know, the less I realize I know"

or as Shakespeare would have it :

" there are more things in heaven and earth, Horatio, than ever dreamt of in your philosophy"

“ But…”, Herr Dunderhead continues unabated, “ we live in an imperfect world. What can you expect?”

First, I can expect that we quit using terms like perfect. Of course, it is an imperfect world, it is a corrupt world, and it is a world full of woe. It is a world full of flawed human beings, trying very hard to convince themselves of their comparative and sometimes even their absolute superiority.

We humans are really rather full of ourselves. We imagine that we actually have an understanding of the universe, the Deity, and each other.

We have been up moving around, taking nourishment, and making noise for about a million years. Out of those million years, we didn't even begin cohesively documenting our own existence and history until about 10,000 years ago. Of that period of time, we have only sought provable fact as criteria for understanding for about the last 800 years.

If we were to see the natural history of our planet as a 24-hour clock, our species arrived on the scene at 2 minutes to midnight. Perhaps we give ourselves, and our species, a great deal more credit for understanding than we deserve. We imagine that we are the ultimate among the species of the earth, and perhaps of the universe. We are simply the ones on top RIGHT NOW, and then only on one small planet. Other species dominated before we came along, perhaps others will dominate at some future time.

So, what do we have to lose by being tolerant of each other? What harm can come from listening to the other guy’s point of view, and he yours? Share the data. If knowledge is power, you can use all that you can get from any source and any perspective. If knowledge is currency, why spend it foolishly? Invest it and reap the profits.

SO what is TRUTH? Truth is simply what each of us, in his or her own way, and to meet his or her own perceived needs, wants it to be. If that correlates with someone else’s perception, we are elated. If it runs counter to someone else’s perception, we feel defensive.

WHY? Because we are so very, very invested in ourselves and our egos.

If we were to try to balance the needs of others with our own needs, we just might see the entire issue differently.

The imminent 1st Century scholar Rabbi Hillel once said:

"If I am not for me, who will be; but if I am for only myself, what am I?"

XIV
The study of "Ethics"

However one wishes to define "ethics" in the vast number of cases, the study of "ethics" makes the presumption that there are basic rules and universal truths upon which to base a code of conduct.

If nothing else has been demonstrated here, it is that most of those "truths" are subjective, and divisive. Thus, virtually all codes of ethics thus based are "situational ethics"; codes of conduct contingent upon a situation or circumstance and by no means enduring or necessarily wide ranging.

Recent revelations in the religious community, the perpetual political propriety problems, a self serving industrial and business community, and conduct both public and private which is not in the most positive interest of the whole of society or the body politic, begs the question of a need to re-think not only our societal commitment to ethicality; but how we arrive at the code of ethics we are supposed to uphold.

Codes of conduct, based upon various scripture or religious text, may be reflective of an ethnic value that may not translate well to others, the poor editing of a long forgotten scribe, or may reflect superstitions that are no longer accepted in light of reason.

Codification of rules or standards itself reflects the time and place of the writing, the contemporary social standards of that time and place, and may not address new situations as they develop.

Needless to say, allowing any industry, business, or income generating mechanism to "police" itself and to recognize an internally created code of behavior or conduct is often rather like letting the fox guard the hen house.

While I would never presume to create any codified rule of conduct for anyone other than myself, nor would I represent myself as any paragon of virtue; I would like to submit, if I may, an idea for a "process".

I refer to it as a process, for I have concluded (and I believe demonstrated) that truth is a process rather than an absolute. Therefore, I present a process of 5 questions; if after sincere discussion, civil debate, and conscientious consensus, they can be answered in an affirmative, positive, and humane way, may provide a means of arriving at a workable and ethical conclusion.

1. Objectively, will my actions or the actions of those I represent, prove positive and beneficial for not only my/ourselves but for society at large, and not only abstractly but concretely?

2. Will my/our actions not victimize anyone, cause harm to the innocent who cannot be equitably and immediately compensated by an objective standard, or harm those who are powerless to obtain relief?

3. Can my actions reward people in a way that is equitable and fair, by impartial measure, for their effort, without favor or partiality?

4. Will these actions, both in principal and in practice, standing on their own merit, unbiased by any agenda; stand the test of time as a prudent, constructive, and aFffirmative action for not only my/ourselves, but for society as a whole?

5. Have I expended all possible efforts to find a solution, conclusion, or resolution to any conflict or problem; that is as fair, just, equitable, reasonable, and rational to all involved, as is humanly possible?

I like to call this a "transactional" process. It does not simply argue subjectively how or why a particular rule or code should or would be applied; but objectively opens the issue to exploration, civil debate, analysis, and a continuing review of the process itself.

With an analysis of this type, a polemic of process, the search for ethical conclusions becomes somewhat less situational, while at the same time being less arbitrary.

The cynical might call it unrealistic. Is this because they may be resistant themselves to a higher ethical standard than society enjoys presently?

Many will say that their scriptural standards are enough. A glance at today's newspaper tells me different.

Arbitrary and codified standards seem to invite circumvention, evasion, and the search for "loopholes"; as well as revision and redefinition as society's use of the language changes.

It can be argued, that a process as opposed to a set of rules will involve the individual in the means by which the result is obtained; rather than in an oppositional mindset to what he or she may perceive as being arbitrarily imposed.

"try it…what can it hurt?"

XV
Epilogue

Some of this humble missive has been written in firm and earnest way, other parts have been written to extol the ironic, some to highlight the hypocrisy, and even enjoy a laugh or three along the way. These varying approaches have made the effort no less sincere. It merely reflects the way my slightly offbeat brain works.

So, dear reader, we have talked of many things,

of saints and sinners and intellects,

of Democracies and Kings.

Is there truth? If there is, can it be shared , fairly, impartially, and inclusively? If there is not, then what can we believe?

Maybe there is, and maybe there is not. There is however one thing that we can and should believe, and that is this:

The more we learn and understand about the world and its people, the wiser we will become. The more we share, honestly, objectively, and peacefully what are OUR truths, and listen respectfully to THEIR truths, and seek the common ground between the two, the greater our mutual potential for

survival. Survival on this planet, survival as political and economic systems, survival as philosophical schools of thought, survival as cultures.

In these days of zero tolerance, sunshine laws, instant communication, television in the courts and halls of government, more codified law than the world has ever known, "investigative" journalists, business interests claiming that they can "police" their own industry, religious groups claiming a return to "fundamentals", politicians pleading for "family values", and collective finger-pointing brought to the realm of high art; our social institutions seem to be as racked with scandal, dishonor, humiliation, and shame as at any other time in history.

The aforementioned, while living in glass houses, still throw rocks. Politicians decry social decline while under indictment. Clergy criticize the public morality while robbing the parishioner and molesting the child. Business executives plead for deregulation while plundering the company fund and pillaging the public coffers. Hypocrisy has become a way of life…

…and each claims to represent the truth.

Do they believe their claim to truth? Perhaps! It may be clever rhetoric, self-delusion, or the psyche's last effort to survive it's own folly. It may be pure avarice or pure ignorance. It may be bravado or fear. Once in a great while, (it could be argued), it is simply sorely misguided good intentions. Whatever its genesis, however it comes about, whatever viewpoint it may represent, those who claim it will claim it to be the truth.

To understand the origins of "truth", its frangible nature, its subjectivity, its frailty; so easily used to bolster prejudice and bias; so quickly applied to any argument no matter how baseless or illogical; is to understand its malleability.

Truth is only a word; a word that many apply to give more weight to their words; a theory than humans can understand the universal; a dream that we can be more than we are, or a nightmare that we actually believe that we are more than we are.

Truth may not make us free, but mutual wisdom and understanding can make us less naïve and at the same time, more humane.

Truth is the excuse that we, as flawed beings, have employed to abdicate our own responsibility to think. It is the defense we offer when we are unsure, and the apology we offer when we are wrong.

So what is truth? Perhaps it is the journey…rather than the destination!

Do we as human beings need a "TRUTH"? Probably not. We have become so inured to our institutions claiming to possess the "truth" that we have inculcated that spurious rationale into our own individual thought patterns.

What do we need? Perhaps better than a spurious truth, an open mind; the judgement, intellect, maturity, and personal strength to look at all available perspectives on a topic and arrive at a fair, balanced, and (dare I say it?) logical conclusion.

Is there truth? If there is, it may well be more in our attempts than our accomplishments, more a part of our actions than our achievements, not part of our ideals so much as part of our intent. It is not so much a part of the product as part of the process. It is more realistically the journey, rather than the destination.

The most beautiful thing that one can experience is…the mysterious.
Albert Einstein

To Sum Up:

Your reality may not be mine, nor mine yours. Perhaps I am but a figment of your imagination, or you a character in my dream. That which is truth for one may well be folly for another. One person's fantasy may be another's fact.

Be kind, for we each and every one, must live with what we each in our frailty, and our humanness, can understand.

Author.

Appendix: Hail to the Chiefs

I've quoted a great many erudite folks in this humble missive; from Will Shakespeare to Will Rogers, from Voltaire to Cicero, from Dickens to Jack Webb to a 1st Century Rabbi. However, I have also quoted a great many Navy Chief Petty Officers whose names I cannot recall, but whose wisdom has guided me.

Why quote the Chiefs? They were not all erudite men. Many had not benefited from a wealth of formal education. Some were caring, hardworking, and loyal to those they led; others were political animals who cared for little more than their own careers.

But in a day when our military was a great deal less bureaucratic than today, when there were fewer officers and more enlisted personnel, Chiefs ran the Navy. They were a select fraternity whose oral tradition mandated that they pass on their hard-earned wisdom to coming generations of sailors.

In some cases, it may have been "do as I say and not as I do". In other cases, merely attempts to dazzle us with words of wisdom or to hear their own dulcet tones. In any case, much of what they imparted was truly worthwhile information; and it was presented by men who had experienced much of what life offers as true participants, not as mere spectators. They were, as Teddy Roosevelt so aptly put it, "the man in the arena.".

Therefore, in a small effort to honor that tradition, I have passed their quotations on to you, the reader. And (if I may be permitted the aside), to say to any old CPO's who might read this humble tome…

…Hey Chief, I really was listening! Thanks!

About the Author

Steven Bright-Jordan is a nationally recognized Social and Human Services Professional residing in Palm Springs California with his wife Marti. He was educated in the US and the UK.

He is a recipient of a US Congressional Tribute for his work in Social and Human Services, as well the Hawaii First Lady's Volunteer Award, Maui (Hawaii) Chamber of Commerce Award, American Red Cross Meritorious Leadership Award, Amherst Literary Society Award of Merit, Phi Theta Kappa Award, Sursum Corda (Belgium), and the Order of St. John (Malta).

He is an Honorably Discharged Veteran of the United States Navy, and was a member of the Commissioning Crew of the USS Ouellet (DE1077), He is a former VISTA Volunteer, a life member of Disabled American Veterans, a member of the English Speaking Union and the American Legion.

He has served as a college lecturer, community educator, social worker, disaster responder, environmental educator, health care administrator, writer, corporate trainer, consultant, archeologist and anthropologist; and is the author of The Document in Question.

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Alzar Vuelo (Taking Off) 10 min video

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Alzar Vuelo (Taking Off)

By Ximena (Jandy) Castillo-Galvez

Alzar Vuelo (Taking Off) is a 10 minute video that shows the story of a woman in her twenties, Mariluz. She studies the problems caused by the trafficking of young adolescents into the United States. Trafficking includes forced labor and prostitution of the youth. Mariluz's research is about the sexual objectification of women on a large scale. This is one of the causes of the metaphorical saying: "the slavery of the contemporary days." Furthermore, on a smaller scale, her housemate Ryan objectifies Mariluz. The lack of understanding in this situation makes her feel trapped in a space without an exit. In Mariluz's perspective the only way to get out of this trapped feeling is to make Ryan feel the objectification that he subjects others to, but this time he becomes the sexual object himself. In the moment that there is empathy between both and a better understanding of the problem itself, Mariluz finds a window as an exit, an exit that could be the beginning of the story itself.

I Act, Therefore, I am: Iranian Women in Search of Identity

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In Search of Identity

> Iranian women are expressing their individual and cultural identities through efforts they put forward as an action or a reaction in areas such as academic research, literature and art. Their works are a true and honest reflection of Iranian women's lives and the conditions they experience. They acknowledge their presence in the form of; I act, therefore, I, am. We should inquire into their reasons. We should recognize their reasons by writing about them. (Interview, 1998, translation is mine)

Especially during the past two decades, Iranian women have been active in poetry, novel and short story writing. By 1998, 140 women had publishing permits. Lahiji, the first woman to publish since the revolution, says that forty-five percent of these women are actively publishing (Interview, 1998).

The scholarship produced since 1990 in Iran offered a new reading of Iranian women's history, status, rights, roles, and their sociopolitical and economic contributions from prehistory until the contemporary times. One such example is *Shinakht-i Huviyyat Zan Irani dar Gustareh-yeh Pish Tarikh va Tarikh (*The Quest for Identity: The Image of Iranian Women in Prehistory and History) by Mehrangiz Kaar and Shahla Lahiji in 1998. In a society that supports the hegemony of Islamic identity over every other, the authors boldly take the initiative in searching for Iranian woman's identity in different social, historical, cultural and economic constructs. Kaar and Lahiji cover the period before Islam, not a period of much concern for government authorities. Nevertheless, in order to avoid possible persecution and being labeled as western feminists, they assert in their introduction that their quest did not aim to create a separation between men and women or to construct the superiority of women over men (p. 1).

Kaar and Lahiji seek out women's identity as expressed in everything from revelation to evolution, from archeological evidence to reported historical literature, from mythology to anthropology, and end their work with the constructed images of women as either good or evil. This book was the first of the three volumes planed to be published. At that time, according to the authors:

> If possibilities are provided and our lives are allowed to continue, we will submit the other two volumes to Iranian women. The second volume covers women from the Maad dynasty to the Sasanids. In volume three, we follow women's roles and contributions in movements for liberation and autonomy from the fall of the Sasanids through the Constitutional movement (p.10, translation is mine).

The manuscripts of the two last volumes have been impounded by the Iranian government. Both authors were detained, facing political charges. They were accused of making statements against the Islamic Republic and its policies. In 2001, with the help of Amnesty International, Kaar was released from detention on bond and went to North America in order to receive treatment for cancer. There is no doubt that the two unpublished volumes would have contributed to Iranian Women's studies. Notwithstanding, the first volume provides readers with a new knowledge, a unique in its field, as well as a critical perspective.

According to both authors, Iranian women need to reconstruct the existing identity imposed upon them and be informed about the important roles they played in shaping their country's history and their important contributions to all events in the twentieth century. During this process, they should also be educated about their rights.

Although Kaar's and Lahiji's efforts were stymied by the authorities in power, the quest was continued by women who wrote historical novels, such as Mansoureh Ettehadieh and Farkhundeh Hajizadeh. Ettehadieh is a historian and has been teaching the history of Iran for the past thirty-five years. Ettehadieh, in her book *Zendegi Bayad Kard* (We Have To Live) which is based on historical documents, details the lives and experiences of three generations of women (mother, daughter, grand-daughter) under the Pahlavis. The author herself is present throughout the book and, observes the characters and narrates their stories. She shows how the political, social and economic changes of that era shaped these women's identity and beliefs. Her characters go through forceful

unveiling decree of 1936 as well as the forceful veiling decree of 1979. The main characters in this book confront some problems after the unveiling decree, problems such as what to wear, what is the fashion, where to buy a hat, and so on. She narrates:

> Unveiling decree has brought excitement. They [women] have become fussy concerning their cloths. When they were wearing *chadur*, they did not fuss, since under that cover they could wear anything, old, new, fashionable, or unfashionable garments. However, nowadays, the uncovered women are very concerned with what they wear and what they eat. They are always on diet, determined to loose weight, and follow European fashion. (P.107, translation is mine)

Ettehadiyeh brings forth the critics of the opponent of the unveiling decree in a satire form. She, however, informs her reader through a conversation between her characters, about other policies undertaken by Reza Shah that helped to provide Iranian women with possibilities of education and employment. This conversation happens in a women's party, between Mehri and Zahra (the two main characters),and Firuzeh (one of the guests with bad hair-do, also an elementary teacher), and the narrator.

> Mehri Said: "That is wonderful! Women are now allowed to study and to work."
> Firouzeh, very loudly, in a way that everybody could hear her, said: "Are you aware that very soon the doors of universities will be opened to women as well? Think about it! If that happens, we women can have possibilities for higher education as well as men have."
> Zahra laughed: "I also heard the Shah's speech at the opening of Women's College for Higher Education. He encouraged women to continue their education. But who has the time or the patience?"
> Firuzeh said: "As a matter of fact, now that the possibility for progress is provided for women, they must put some effort, pull themselves up, so that they would not be lesser than men."
> Zahra was very pleased that the guests were talking about a serious issue; so she offered some baklava to every one of them. It was so interesting, no one said no to baklava, even those who were on diet. (Pp. 108-109, translation is mine)

The author ends her book with the fall of the Pahlavi's regime and her characters feeling nostalgia for the past. In leaving the fates of her characters after the revolution

unstated, Ettehadiyeh challenges Iranian women of today to form their own opinions. No doubt, every woman at that time experienced rapid political, social, economic, and cultural changes. Therefore, it would be up to every individual woman to analyze her life and construct her identity. The future will attest to the contribution of this work in helping women understand how the changes they went through after the Islamic Revolution of 1979 shaped their identities and hence their lives. This book was so popular; it was reprinted within two weeks (6600 copies).

Hajizadeh is on the other hand famous for her short stories.[1] During an interview in 1998, however, she said that her favorite among her works is a yet-to-be published historical novel telling of the life of a woman who has traveled through history. Her character witnesses the battle between Rustam and his son Suhrab, which ended with Suhrab being defeated, and thus killed by his father. She also sees how Nader Shah Afshar blinded his son, and how Agha Muhammad Shah Qajar tortured his wives in the *haram.* The woman then sleeps through the Islamic Revolution and when she wakes up; she finds out that her lover was killed for his political activities. She cries for months until her tear glands dry out. Doctors could do nothing for her, but one day when she hears the *O Iran*[2] anthem she starts crying again and tears cover her face. Unfortunately this work, which according to its author shows a woman's view of history and prominent historical characters has not been approved for publication by the authorities. When asked why, Hajizadeh smiled and replied: "Because, there are some problems." Although she was asked about the nature of the problems by the interviewer, she did not disclose any more details (interview, 1998, translation is mine).

Qudsi Qazinur (1992) was among the first who tried to encourage Iranian women to search for their identity and construct and define their own. She herself is the main character in her novel *Raaz* (Mystery), which is constructed of short stories depicting her quest and her experiences. While she never claims her experiences are common to all Iranian women; she nevertheless invites them to join in a mutual quest in search of their

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[1] Hajizadeh's short novel, *Contrary to Democracy* is translated by Mohammad Mehdi Khorami and Shouleh Vatanabadi in *A Feast in the Mirror: Stories by Contemporary Iranian Women* (2000, pp. 49-60).
[2] After the Islamic revolution, the national anthem was changed since the previous one promoted nationalism and loyalty to the Shah. The Islamic Republic's anthem on the other hand, promotes Islam and loyalty to Islam. Some Iranians, especially those in Diaspora, chose *O Iran*, which promotes nationalism and love for Iran as homeland, as their national anthem.

past, present, and future identity. Her stories are in the form of satire, which brings laughter and tears. For example, in the first story of the book *"Sib"* (Apple), she writes about Eve's initial *ma'rifat* (wisdom) that prompted her to pick up the apple from the tree and eat it, and become aware of the forbidden knowledge. Qazinur affirms that the social and economic responsibilities of the Iranian women are so large that today's Eve "makes jam with the apple, preserves them in large and small size jars, sells them, and buys clothes for Adam" (p. 12, translation is mine). Notwithstanding the consequences that a woman may face for "tasting the apple" (being expelled from the Garden and going through the hardship of life), if she hesitates to use her wisdom, Qazinur says, Adam will taste the apple first:

> That day, that sight, what a strange sight, Adam under the "apple tree", in the act of picking the apple! I said to myself, "what kind of Adam is he?" But *he* picked the apple, held it in front of me. I bit it, picked up my bag and homelessness began. (pp. 13-14, translation is mine)

In the last story in the book "*Yek Muzu'e va in Hameh T'arif"* (One Subject, so many interpretations), Qazinur criticizes the diverse male-made definitions on woman: "Why all these definitions about woman? When and how did they start? How come there is no definition of man? I reached the conclusion that those who had the pen were often men" (p.93). Qazinur ends her story by affirming that all given definitions of woman in fact barely represent women and that definitions should be provided by women themselves. She concludes with the following words: "How a man sees a woman , how he divides women, and why 'intellectuals' arm her with a rifle have nothing to do with me. I will play my own instrument" (p. 100, translation is mine).

In 1998 Nushin Ahmadi-Khurasani continued the search for women's identity in her novel *Zanan-i Bi Guzashteh* (Women with no Past). The characters in this short story are three women who are trying to find who they really are through inquiring about their pasts. Their links to their respective pasts and hence their identities is their mother's diary, which is buried in the old family house. Showing the women's family house in the process of being replaced by a museum destined to exhibit the works of prominent men is a metaphor for the suppression of women's identities and history by men (p. 33). Ahmadi-Khurasani challenges the relationship between women's identity and chastity through the name she chooses for the author of the diary, the mother, and the guardian of

the diary. Their common name is Tahereh, which literally means chaste. Finally, the author ends her story leaving the women's identities and pasts unrevealed, left to be revealed by a woman of a third generation, another Tahereh. She writes:

> Look, look, there is a car approaching. Tahmineh asked 'What color is it?' Light blue. 'It is my father's...hurry up.' 'What are we supposed to do now. If we leave the diary here, they will build a high-rise on it, and we will never be able to see it again. If we take it with us, for sure they will take it from us.' Tahmineh took the diary from Nazila and said: 'The best is to leave this diary in-trust with Tahereh [a 14 year old neighbor who is watching them from the fence]. "What do you say, Tahereh? Do you promise to take care of it until we come back? You can read it yourself too. Do not show it to anybody.' Tahereh was happy and excited and she immediately said: 'I promise. I will hide it in the same place I hide my diary.' (pp. 35,36, translation is mine)

In *Yek Sib, Yek Zan, Yek Shahr* (One Apple, One Woman, One City), Ahmadi-Khurasani brings the "events in the Garden" up to the present time. In this short story, a beautiful, blue-eyed woman gives an apple to a young married woman. After she eats the apple, she falls into a deep sleep for one week. When she wakes up, she has no memory of her past and her only memory is of her mother. She is a new woman who is disobedient and does not know "the important things women should always and under every circumstance remember" (p.42). The author questions the values, which have constructed Iranian women's identity through her character's repeated rejection of such values. Her character does not even know the meaning of being *mahjub* (modest, also covered) and a *ba-haya* (reserved, prudent) woman, characteristics that her husband claims she used to have. She finds the meaning of *ba-haya* in the encyclopedia, "Shame, prudence, to avoid actions for fear of being blamed" (p. 47). Although she now knows the meaning, she does not understand why she should be blamed for things she loves or even for expressing her opinions such as praising the beautiful hair of her husband's male friend (p. 47).

Ahmadi-Khurasani challenges the marriage tradition in Iran through the response her character gives to the husband of whom she has no memory. The husband tries to prove their marriage took place by showing the marriage certificate, which has their names and the date. The author writes:

> The woman said with a smile: "This piece of paper? The important thing is the fact that I do not know you. As long as I do not know somebody, how can I love him and marry him? *To love* can never be forgotten." (P. 45, translation is mine)

The apple of wisdom in Ahmadi-Khurasani's story in fact uncovers the inner desires of a woman and strips them bare. Her desire to be independent, to choose her future husband, to get a job, to read books, to lift the curtain and look through the window--even to do so little a thing as go out for a walk and breath fresh air-- are now denied her. She pays a high price for her thoughts: her book is burned by her husband (which sets the house on fire later), she is ordered to clean up the mess caused by the burned book, and is locked in the house. When the husband comes back from his walk—an initiation that he feels free to take when he is upset but does not recognize women's right to do the same-- he finds his house on fire and screams for help. A person in the crowd says: "Tonight, many houses are on fire in our city" (p.53). The woman's mother saw a shadow in the dark, which was quietly leaving the scene; the mother smiles and whispers, "The back door was not locked" (53).

Ahmadi-Khurasani's story is only fourteen pages in length; however, it covers issues that are of fundamental concern to critical feminism. Questioning existing self-identity, the reconstruction of the past through education, the need for a voice, and a future based on women's definitions and choices, are the main points in Ahmadi-Khurasani's work. Such an individual quest, however, according to the author, is not an isolated attempt and it may indeed include the whole society.

Summary

The Islamic Regime in Iran has affected women's education by segregation by sex and placing restrictions on women's entry into certain fields of education. School textbooks, in addition to being Islamized, present a dramatic change in the portrayal of women both in illustrations and in the texts themselves. Women are generally invisible but when they do appear, especially in elementary school textbooks, they are covered and depicted as mothers. Rarely are they shown as being employed, but when they are, it is usually as teachers and nurses.

Despite the fact that the Quran promotes education for both genders and considers it a major path to get closer to Allah, the Islamic Revolution, while recognizing the need for women's education, has simultaneously imposed certain boundaries and limits.

In this paper, I presented the efforts some Iranian women have undertaken in trying to conscientize women concerning their roles in history, their identity, if they are emancipated or oppressed, and the reasons behind their emancipation or oppression.

On a final note, I must again acknowledge that my research and more specifically this short paper has brought out the voices, the thoughts, the works, and the experiences of only some of these women. Yet, there remain many others who should be heard, and many whose works should be translated in order to secure recognition for women's quest for emancipation.

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Work In Progress: Part II

Language and Memory: The value of narrative inquiry in a Caribbean bilingual community.

Part II- Backward Glances.

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Language and Memory: the value of narrative inquiry in a Caribbean bilingual community. Part II- Backward Glances.

A few years ago a member of my research committee remarked during a consultation exercise that there was a dynamism in the work of early educators that we need to examine as we chart new ways forward. Since this sentiment seemed contrary to the tenets of his research and writing, I was taken aback and consequently revisited the final page of the text Ideology and Curriculum. The questions that he asked in that final page have since then haunted my consciousness and informed my approach to subsequent research. He asked:

> " Can we as educators honestly cope with the probability that certainty will not be forthcoming, that many of our answers and our actions will be situational and filled with ambiguity? With this in mind, how do we commit ourselves to action? " (Apple 1990: 166)

In response to his questions, he claimed that our work already served ideological interests and our supposedly "neutral" activity may not, in fact, be so. In that sense, he advocated the need for us to have a critical understanding of our work as well as the contexts of our work-related activities. In an attempt to acquire that critical understanding, my interest in curriculum theory, in vernaculars, in language and in language education have junctured at an investigation into the value of narrative as a heuristic, a methodological and a reflective tool.

This paper therefore reports on work in progress that uses narrative inquiry to explore life, culture and education in the earlier part of the last century, in a bilingual

rural community. It also aims to examine Narrative Inquiry as a useful tool in seeking answers to issues of language and education in a bilingual country.

This paper follows up on a proposal (2002) with the following aim and objectives:

Aim: To explore the use of narrative as a tool of inquiry into the historical and contemporary attitudes to French Creole and Standard English in a rural community in a bilingual Caribbean territory.

Objectives:

1. to examine the historical memory and language of the community
2. to elicit significant narratives in the lives of selected persons in the community with respect to language, culture and education
3. to select factors which may be important considerations in the planning of reform efforts in the community.

This paper specifically addresses objective two. It is informed primarily by perspectives on narratives and narrative inquiry. Listed below are definitions of narrative which resonate with my interests:

i. an ethic of care- understanding the narrative and contextual dimensions of human action can lead to new insights, compassionate judgement and the creation of shared knowledge and meanings that can inform professional practice Noddings & Witherell 1991.

ii. a new kind of academic inquiry, one that invited the interpretations of previously ignored informants Casey 1995.

iii. Narrative inquiry is a way of understanding experience. It is collaboration between researcher and participants, over time, in a place or series of places, and in social interaction with milieus. An inquirer enters this matrix in the midst of living and telling, reliving and retelling, the stories of the experiences that make up people's lives both individual and social. Connelly and Clandinin 2000: 20

iv….. *a compelling narrative, offering a storyteller's moral imagination vigourously at work, can enable any of us to learn by example, to take to heart what is, really, a gift of grace.* Coles 1989: 191

v. Good teaching, good helping and good leadership are in one sense, all about story telling and story –evoking. It is in the mutual exchange of stories that professionals and scholars are able to meet clients and students where they actually live their lives. It is in the mutual sharing of our personal stories, particularly in the willingness of professionals to listen to the stories of others that we make the deepest connection with those we are serving. …. Our stories are symbols for God, ethics, morality, justice, wisdom, truth, love, hope, trust, suffering, and most of all, what constitutes personal and professional meaning for all of us. Nash 2004: 2

Therefore narrative inquiry is viewed in the following ways: as the study of stories, of experience or of life generally, which enables a researcher to identify themes, issues, concerns, and problems of individuals or communities; as privileging the respondents by making audible their perspectives, as well as extracting potentially pertinent and invaluable information from their narratives; as an opportunity for researchers to enter the lives of the people with whom they interact and make decisions pertinent to their needs and circumstances, in fact, pertinent to their culture. Narrative type inquiry thus gathers events and happenings as data, and configures them into a temporal unity while narrative analytical procedures are used to produce explanatory themes (Polkinghorne1988).

The paper therefore reports on attempts to elicit information of significance to language education by examining historical and contemporary attitudes to French Creole and Standard English in a rural community in a bilingual Caribbean country. According to Polkinghorne, the researcher begins with pertinent questions and searches for pieces of information that provide an explanatory answer to the questions. The information can come from various sources: interviews, journals, public and personal documents, observations, personal diaries, letters. The information used as data in this paper comes primarily from interviews.

Methodology

Entry into the community was procured through the intervention of a colleague of a family member, and the selection of participants was made by two teachers from the community who were guided by the research objectives. The paper deals with the second

phase of the project and is based on interviews with 5 elderly persons. The selection of elderly persons at this stage is an attempt to capture the historical memory of the community. Seven persons, four men and three women were informed of the project, two expressed reservation and were, not surprisingly, unavailable for the first scheduled interview, consequently they were dropped from the project. Audio taped conversations guided by specific questions lasted approximately an hour and forty-five minutes each. These tapes were transcribed and this paper discusses only the issues related to language and education. Evidence from the transcripts suggests significant differences in perception to issues of language and education and provides a rich account of the memories of participants of these historical times. Moreover, the eagerness of participants to share these memories validates the need for them to be given voice and opportunities to tell their stories.

In the interview, questions in category A were asked of four elderly community members, all over 70 living in the rural district of Aux Lyons. Questions in category B were asked of a retired educator and former principal of the school in that area. She was also over 70 and came from a family of educators who had all served in different capacities in the community. Table one comprises a subset of questions from the interview schedule.

[A] Did you speak Kwéyòl in school? What do you think about the place of Kwéyòl now? *[B]. Older people in Aux Lyons tell me that they did not learn English until they went to school. How did you deal with the Language situation?* *Did you or other educators in the area try to stop the use of Kwéyòl in school or in the community?* *What do you think of the place of Creole in St. Lucian society today?*

Table I: questions related to the objectives of this paper

Sociolinguistic context

This section discusses the sociolinguistic context and the responses of the interviewees. The Caribbean island of St. Lucia, ceded to Britain in 1815 after alternate periods of French and British rule, is a bilingual nation in which the existing languages are French Creole (Kwéyòl), commonly referred to as the native or indigenous language and Standard English - the official language. Viewed as polar opposites, they also frame a linguistic spectrum that includes a variety of non-standard English forms. Like many former colonies, the European languages were privileged, while the indigenous language was denigrated. Unfortunately, the historical framework of dominant colonial power and subjugated African peoples continue to permeate, though to a lesser degree, through the relative respectability accorded to these languages and the attitudes of St. Lucians towards them.

For example, good academic performance suggests competence in Standard English and poor academic performance is blamed on poor competence in English and the influence of Kwéyòl. Consequently, efforts in education to combat this allegedly pervasive and negative influence of Kwéyòl span a range of pedagogical practices, some of which privilege use of the vernacular and are often contested by persons who customarily view Kwéyòl with denigration. However, there is a small community of educators and other professionals with active agency towards the preservation of the language and culture of the country[i]. Nonetheless, exploration of other reasons for low academic performance has been limited.

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Language and Education in the Caribbean have been the focus of research by several Caribbean linguists (Carrington 1969, 1976, Craig1999, Robertson 1996, Simmons-McDonald 1996). These writers are concerned with the challenges presented to education on account of the co-existence of the vernacular with an official language. That situation is compounded by the fact that in most instances, the vernacular shares the lexicon of the official language, although it is characterized by its own linguistic structure and idiomatic usage. In cases like St. Lucia, the vernacular, on account of the island's history, is a French- lexicon Creole, while the official language is English. An English- lexicon vernacular has emerged resulting in the use of at least three varieties in the country. (Garrett 1999).

This sociolinguistic situation creates a tremendous challenge to education planners and teachers primarily because efforts in the acquisition of Standard English have given

minimal attention to the native language of the student. The commodification of language, culture and authenticity (Heller 2003) in countries reliant on tourism as a source of revenue is resulting in consideration of the maintenance of indigenous languages and other aspects of culture. Economic survival in a global market forces choices that should redound to the benefit of education in the long term. Consequently, Kwéyòl has new value. However it is left to be seen how this value will be harnessed in education to facilitate learning of the official language and to encourage the development of pride in the indigenous language.

Solutions to problems of language and education depend on the manner in which the problems are defined. Mc Cleod 1994 observes, "theories to explain differential achievement, often conflict with each other because educational failure, like other aspects of human behaviour, are multiply determined" (p.10). She cites the varied factors that have been offered as explanations for low academic achievement in the American context:

- Inadequate language services
- Lack of access to standard curriculum
- Cultural discontinuity
- Outmoded instructional models
- Inappropriate assessment and evaluation
- Structural inequality
- Insufficient student ability and motivation

However, these factors are not peculiar to an American context; as such the corollary to such a statement would be that although these factors are present in Caribbean societies, approaches to alleviate or eliminate them must always be contextually applicable in order to be effective. In order to define problems of language and education and consequently to seek solutions to them, educational communities must be engaged in regular practices of evaluation at all levels of the education system, exploring systematically what works and what appears to be ineffective and even more importantly affording teachers opportunities to reflect critically on their practice and to offer solutions for improvement.

Earlier references were made to contested practices, two common ones are:
i. proscription; ii. vernacular education in the early grades. The authorities in education strongly proscribed the use of Kwéyòl in the school; students were sometimes punished for using the language in school. For example, Alleyne 1961 notes "the complete ignorance of Kwéyòl by Mico-trained Head Teachers made them reject it as an unintelligible gibberish and associated it with backwardness. English became a symbol of light and Kwéyòl – the symbol of darkness" (205). The traditional practice of proscribing the use of the vernacular still continues in more subtle forms. Initially proscription was advocated because the language was considered horrible, ugly and not worth the attention of serious scholarship (Breen 1844). Now, principals acknowledge that they proscribe the use of the vernacular so that school time may be spent improving competence in English. One principal explained that loud and aggressive behaviour is associated with the use of the vernacular, so students are encouraged to use English in order to keep them subdued. The control of behaviour through the suppression of

language must ultimately have deleterious effects on learning. The ambivalence, which is the characteristic sentiment expressed in regard to the use of Kwéyòl - especially in school and in the work of some writers (Walcott 1972) - is absent among the older persons interviewed.

Data and Discussion

The attitudes and approaches to the indigenous language among the older persons in the community in question contrasts starkly with contemporary positions. Arguably, this is understandable, given the differences in time and contexts. However, it is also evident that outside the authoritative discourses of educational management, international research, recommended pedagogies in training and the often-debilitating influence of inappropriate application of the tenets of these discourses, early educators addressed the realities of the contexts in which they lived and worked.

All the participants interviewed acknowledged the use of Kwéyòl in school as well as the more interesting and questionable fact that it was never prohibited in their time. In fact, they claim that this was the only language they knew since that was all that was used in the community. They claimed to have only heard English when they went to school.

1. We brought up with that language. Kwéyòl was our life. We learnt English at school. Before I went to school I did not know English. Is when I went to school I learn English. They have to tell you in patois and then in English. (Vero 76)

Despite these assertions some level of proscription appeared to have prevailed, as the following suggests:

2. If you are together you speak Kwéyòl but you do not let **them** hear you. That language is there from the time we were born; some old people cannot speak English up to now. (Vero 76 years)

3. Yo té ka di sa lontemp – pa palé Kwéyòl an lékòl mé lé ou pasa palé anglé… (Chloe 96 years)*[They used to say long ago do not speak Kwéyòl in school, but if you cannot speak English…..*] Chloe 96 years

4. Déla lé pou palé patwa sé lwen ou té ka alé, pas mèt lékòl la pa té vlé ou palé patwa Boj 74. *Sometimes when you needed to speak Kwéyòl, you went far away, because the head teacher did not want us to speak Kwéyòl.* Boj 74 years old.

5. Yes, when children couldn't speak English you had to make them understand a bit of English. Everything is English - recreation, catechism, games, everything English. They write it for you and you would learn it (Vero 76)

6. We encouraged them to speak English but we explained in Kwéyòl if we had something to say in English and the children did not understand.

My parents were teachers so we did not speak Kwéyòl at home. I learnt to speak Kwéyòl at school (Carmine retired educator 75 years)

The more popular and tested practice of early education in the vernacular, (Au 1981, Delpit 1995) - though practiced by individual teachers as deemed necessary- is contested as an official recommendation. Nonetheless, proposals by Simmons-McDonald 1996 to use Kwéyòl as well an English–lexicon vernacular as media of instruction in the early grades over limited periods of time are becoming acceptable in official circles. In fact, the results from pilot projects are quite encouraging.

There is no ideal blue print of a language programme for students learning English in bilingual contexts (McLeod 1994). Clearly, the reality of the situation made the use of Kwéyòl in schools an imperative. Through the use of the vernacular maintenance of the native language was achieved, this became an empowering factor in building self esteem and identity and finally served the pragmatic function of enabling learning.

A common factor which made acquisition of English difficult then, and still has influence now is irregular attendance. Three of the interviewees spoke in Kwéyòl because they claimed that they were unable to speak English. The reasons they gave were irregular or extremely poor attendance. In the words of 96-year-old interviewee Chloe and her husband Joe, the times were too difficult for daily attendance:

7. **Mwen pa a palé Anglé. [Mwen kité lékòl lé mwen té twèz an. Bagay ba té bèl ou ka alé an jou, dé jou, ou pa ka alé tou lé jou, délè maman**

mwen ka tjen nou dé jou, twa jou san alé lékòl. Lè ou pasé jodi yo moutwé an lison, lé ou pa la, ou pa sa sav ka fèt.

*I do not speak English. Things were not nice, you went (to school) one day, two days, you did not go everyday, sometimes our mother kept us at home two, th*ree days without school*. When you attend one day they teach a lesson, when you are not there you are unable to understand what is going on.*

Her husband had a similar story.

8. **Mamman mwne fé plisier iche, sé duvan té alé mè déyé pa alé lékòl. Mwen pa sa di anyen about Kwéyòl an lékòl pas mwen pa té alé lékòl. Dépi mwen lévé ti mamay sé Kwéyòl tou sel mwen ka palé.**

   My mother gave birth to several children, the older ones went to school, but those who came later did not. I cannot say anything about the use of Kwéyòl in school because I did not attend school. From childhood, this is the only language I have spoken.

9. **Mwen pa jemé alé lékòl. Papa mwen voyé mwen an hoté mwen alé an jadin, jwé an savan la, mé m'a pasé an jou lékòl** *I never attended school. My father sent me to the garden, I did gardening and I played in the field, I never spent a day in school…***Mwen pa ka kopwan Anglé mwen kopwan yon ti bagay.** *I do not understand English, I can understand some small things such as How Are you? How old are you?*

Where you living? **Non m'a jenmen apwan siyé *nonm mwen.*** *No, I never learnt to sign my name.* ***Mwen ni 87****. I am 87 years old.*

Iche mwen ka fé fig la. wi tout manye si mwen té sa apwan siyé nom mwen mwen té kay byen kontan, pis tout manyé si mwen ale an koté tan pou myen di mwen kay fé an kwa myen kay siyé nom mwen. *My daughter takes care of the bananas. I would be grateful if I could sign my name, because instead of making a cross I would sign my name.*

One can add irregular attendance to the list **of** factors which contribute to poor performance (McLeod 1994) although it can also be subsumed under any of those already listed. Inadequate competence in the official language is not necessarily the result of inappropriate pedagogy; in fact several factors are outside of the teacher's control.

The implications of these narratives for contemporary times must be considered against the context of the times in which these interviewees grew up. There are currently three varieties used in this rural district: Kwéyòl is still prevalent among the elderly, an English–lexicon vernacular is being used and the standard variety is being used among educators and the young educated in formal contexts. This is a very different sociolinguistic context from that of a monolingual rural community, where people never seemed self-conscious about their language. In fact the older persons assert that young people growing up in the area of necessity must have competence in Kwéyòl.

10. Dépi an manmay fèt Aux Lyons I konèt Kweyol, pas sé sa nou konèt

anlé a. *As long as a child is born in Aux Lyons he or she knows Kwéyòl because this is what we speak up here (Boj 74)*

This contradicts the commonly held view that the younger generation does not know the language because it has not been passed on. Subsequent work will seek to verify this statement (Isaac 2004).

McLeod 1994 notes that researchers offering new directions in language education assert that normally children are linguistically competent, that learning a second language is difficult and language learning involves socio-psychological as well as cognitive processes. The more academic support children receive in their native language as well as high quality instruction in English, the higher their overall achievement will be (McLeod 1994, Krashen 1996). The teaching of English as a foreign or second language based on the assumption that the vernacular is the first language of the community challenges teachers in communities where there is a post-Creole continuum or a range of varieties of English as it is difficult to ascertain the boundaries of these varieties (Bailey 1971, Christie 1993)

What kind of pedagogy was used in the past?

The retired educator spoke confidently about education in the area

9. In 1916 the first school was built. The older people never went to school before that. On the whole the children, when they came to school, a lot of them would speak patois [Kwéyòl], they did not know English. They came speaking patois by the time they left, they could speak proper English.

> They taught the children to say certain things- 'this is my head', 'these are my hands'. This is how they would teach the children English (Charmaine 76 years).

She expressed concern that, contrary to what obtained during her time as a teacher and principal in the area, children enter school now with some English, yet they were leaving school without competence in the vernacular or the official language - a strong indictment of what is happening in contemporary times. She asserted that when children who attended school regularly completed primary education, they were competent users of the official language and they had not lost their competence in the vernacular. Without the guidance of research, early education appears to have achieved what we struggle so desperately to attain - competence in the official language and maintenance of the indigenous language.

What have these narratives told about education and language?

The narratives were about education in a completely different time, the contexts were different - the vernacular was the communal language and education provided a different, new and unfamiliar language. There was no attempt to erase the existing language and culture. Perhaps what is most evident is the use of the reality of the situation to teach in a contextually appropriate manner. While the challenges of contemporary times are infinitely more complex, the underlying principle of a contextually relevant approach should inform pedagogical practice. Bartolomé 1994 observes that teachers working in bilingual contests

> "would be far more effective it they critically understood the complex relationship of sociocultural factors shaping the educational context with which they are expected to transition students. Teachers could develop pedagogies to enhance those native language skills necessary or application to English-language settings, otherwise those educators could easily fall into an 'entrapment pedagogy -'a pedagogy that requires of students what it does not give them'[ii]. An uncritical acceptance of the transitioning model could very well lead to such an entrapment." p 218

The availability of research and training makes this seemingly complex task manageable through the sharing of experiences through action research and reflection on the situations and approaches in applicable contexts, above all, in sharing what works in various contexts. "Strategies are not of themselves panaceas" (Bartolomé 1994: 210), it is the humanity with which they are used which makes a difference.

Perceptions of the use of Kwéyòl now

Maintenance of the language is usually largely undertaken by popular culture activists. The domains of usage encompass both formal and informal contexts, traditional and contemporary uses. For persons customarily using Kwéyòl in familial contexts, popular and formal use of the language creates avenues for the experience of new self-development, new self-esteem and greater understanding of local, regional and international events

11. Now they write in patois. Yes they should teach the language. They read in

patois and they translate when I lived in England I taught the white woman the patois Vero 76.

12. **Mwen konten li, lè mwen tan moun ka palé asou TV n'a konten tèlman. Yo ka palé Kwéyòl byen asou TV'a anglé a n'a kopwan adan. Mé Kwéyòl la tout sa yo di ou ka asisté `èk an gou, ou ka kopwan li byen .**

I love the Language, when I hear people on television speaking it, I become very happy…. When they speak English I do not understand what they are saying. Whatever they say in Kwéyòl I pay attention with joy. (Chloe 96 years)

Chloe's comment summarizes the sentiment of all the interviewees. For the elderly in that community, the demise of the language would alienate them from the rest of the country, from intertational as well as regional events; maintenance of the language is not only the preservation of a cultural artifact, but the sustenance of purposeful living. Such maintenance can only be achieved if the pedagogies to which the younger generation is exposed in the classroom allow them to develop that concern. I concede with Bartolomé that methods, teaching strategies and techniques are not panaceas. The answer lies not in methodology but in the humanity with which it is applied.

The question that remains at this point is that which considers the usefulness of narrative as a methodological tool? The narratives of these five persons have a corroborative function. Each echoed the sentiments of the previous interlocutor, or reiterated information that had already been given. Except for the couple Chloe and Joe, all

participants were interviewed individually on separate days in different places. The stories of their lives are archival memoirs of earlier times and their unbridled discourses provide humour and understanding.

> *Narrative inquiry is a way of understanding experience. It is a collaboration between researcher and participants, over time, in a place or series of places, and in social interaction with milieus. An inquirer enters this matrix in the midst of living and telling, reliving and retelling, the stories of the experiences that make up people's lives both individual and social.*

Conclusion

While this slice of education and language in Aux Lyons may seem narrow and may appear somewhat superficial in its interpretation, it offers strategies that worked on a contrasting canvas and invites definitions of the multiple canvasses which represent contemporary realities in language and education and concomitantly strategies which are applicable to these complex times. Once we begin to acknowledge the constancy of change in the varied contexts of education, the importance of our experiences, past and current as well as our understanding of the amorphous nature of the contexts of our environment must be critically examined to assist in charting new directions. This paper represents one small effort in that direction. Phase three of the paper will address interviews and observations with students and teachers actively involved in education in the area.

Lilia Bartolomé uses the words of the poet Antonio Machado in her discussion of language and literacy, a line, which I have used before in reference to educational

development (Isaac 1995). In developing countries we have to understand and appropriate that sentiment. "Caminante no hoy camino, se hace camino al andar." I think it is an apt closing at this point: "Traveler there are no roads, we make the road by walking" Machado 1943.

[ii] Macedo, D. Preface. In P. McLaren & C. Lankshear (Eds) Conscientization and Resistance. New York: Routledge.

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Travel and the Mythic Imagination

Cross-disciplinary

Paper sessions

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Journeying has been a part of the human imagination and human activity since the beginning of history. This study investigates travelers who seek to discover and understand the affective connection between psyche and world. It considers travelers as phenomenologists, who may set out with modest goals of touching and being touched by the physical presence of a city or landscape, but who suddenly find themselves in the imaginal space of a multidimensional world.

The traveler who is an explorer, a seeker, an "indigene of the imagination," searches always for the historical and cultural identity in the landscape, reflected in legends and folklore that map the cosmic order. Travel and reverie are modes of imagination that interweave the imaginal with the real, the novel with a sense of déjà vu, the mythic with the mundane. The world created through imagination and memory has a continuous terrain, a coalescence of diverse landscapes, cultures, and images we have experienced through art, literary works, and physical travel. It is a poetic world of, to borrow a phrase from French philosopher Gaston Bachelard, "a soul which is discovering its world, the world where it would like to live and where it deserves to live."

This paper weaves aesthetics, depth psychology, and phenomenology in a hermeneutical examination of the liminal space of travel, the popular mythologizing of place, and the psychological phenomenon of being at home in the world. Research sources include the travel literature of Herodutus, Freya Stark, Lawrence Durrell, and Mark Twain, and Eric Overmyer's *On the Verge*, a play about three Victorian women explorers who wander in time and space. Mythic imagination as revealed by the popularity of recent films, *Under the Tuscan Sun* and Jean-Pierre Jeunet's *Amelie*, is also discussed.

Travel and the Mythic Imagination

By Shirley Frances McNeil, PhD

This is a great moment, when you see,
however distant, the goal of your wandering.
The thing which has been living in your imagination
suddenly becomes a part of the tangible world.
-- Freya Stark, *Alexander's Path*

Myth is the history of the soul.
-- William Irwin Thompson, *The Time Falling Bodies Take to Light*

Preface

This paper is based on my dissertation in archetypal or imaginal psychology, titled *The Memory of an Emotion: Travel and Reverie*, which is an exploration of travel as a mode of imagination. I am a cultural mythologist, -- that is I examine popular culture for mythic themes and patterns. The word myth is often used as a negative term to mean falsehood or falsely held beliefs as in "urban myths." While myth is a multifaceted concept, for this paper, I define myth as an attempt to answer the great questions in life – questions that address the origins of our planet, our human heritage and our questions like "How shall we live?" In other words, what Joseph Campbell called, "Myths to live by."

Travel and Imagination

Imagination is always our travel companion. At times, imagination is our means of travel to another time, another place. We may read a novel like E. M. Forster's *Passage to India* or watch a popular film like *Under the Tuscan Sun*, and feel that we have traveled far from our home for a few hours.

Most of us at this conference have traveled several hours and perhaps thousands of miles to be here today. Beside the fact that at this time of year, a sunny locale is one criterion for choosing a conference in Hawaii rather than Chicago, many of us are drawn to the image of paradisiacal islands and welcoming hospitality. You may be surprised to know that Samuel Clemens, writing as Mark Twain, was largely responsible for the mythic image of Hawaii as an island paradise. A writer who was "tuned in" to a sense of place and adept at evoking the feel of it for his readers, Twain traveled around much of America and the world as a correspondent and lecturer, immortalizing places he visited in striking images. Pieces from his evocative articles and lectures on the kingdom of the Sandwich Islands, as the Hawaiian islands were known in the 19th century, have become a part of the local mythology of place and are still featured in Hawaiian tourism literature to lure visitors to the islands.

The most famous piece is a speech known as "The Prose Poem." It begins

> No alien land in all the world has any deep, strong charm for me but that one, no other land could so longingly and so beseechingly haunt me sleeping and waking, through half a lifetime, as that one has done. Other things leave me, but it abides; other things change, but it remains the same.

Twain goes on to paint the Edenic beauty of the islands in sensuous detail and ends with the memorable image, "in my nostrils still lives the breath of flowers that perished twenty years ago" (qtd. in Frear: 217).

This passage is irresistible for the traveler because of the feeling-tone in his description: the vibrant memory of his emotional response to the exotic landscape is so tangibly vivid that it still reverberates in his imagination some twenty-three years after his visit. Walter Frear made a detailed study of all correspondence, articles and journal entries related to Mark Twain and Hawaii. He found that Twain's Hawaiian experiences

became a renewing oasis for the famous author during many difficult periods of his life. A Hawaiian valley was the setting of a recurrent dream about his "Platonic Sweetheart," an *anima* or soul figure who represented comfort and peace for him, and whose familiar dream-voice encouraged him when he had misgivings about his abilities as a lecturer (480).

My interest in this topic originated during a twenty-year career in the travel industry. I listened to many a traveler's tale recounted with the same emotional intensity and immediacy as Twain's memories, signifying touchstone events in their lives.

Author Lawrence Durrell believes that writers (and I would add, all people), seem to have a "personal landscape of the heart which beckons them." When they find a place where their soul comes alive with inspiration, they have found their "correspondences," which may be his way of describing the isomorphism between patterns in nature and in the human psyche. So much does he believe in the isomorphic relationship between humans and landscape that he humorously suggests (as a longtime resident of France), that if the French people were wiped out and France resettled with "Tartars," within two generations they would have developed the same national characteristics (157). Perhaps this is why, when we are drawn to a particular landscape or location, we find that we easily fit into the lifestyle of the culture there.

Durrell has written extensively about the *genius loci*, the spirit of place. In fact, a "friendly" critic once commented that Durrell writes 'as if the landscape were more important than the characters,' to which the author replies that he sees characters "almost as functions of a landscape" (156). A place, he says, will "express" itself through the people and culture, just as much as it does through its flowers, and the task of the travel-

writer is to "isolate the germ in the people which is expressed by their landscape" (156). Durrell urges the traveler to take the time to look and listen; to breathe in the atmosphere; to quietly absorb the particulars of one's surroundings. Once you have gotten the "essential sense of landscape values, this "inner identification," you will get all the rest he suggests, for it is the key to the culture (158).

Poet Frances Mayes has a similar sense that the traveler's experience depends on her state of awareness. In *Under the Tuscan Sun*, she writes "Whatever a guidebook says, whether or not you leave somewhere with a sense of the place is entirely a matter of smell and instinct. There are places I've been which are lost to me" (143). "Once *in* a place, that journey to the far interior of the psyche begins or it doesn't. Something must make it yours, that ineffable *something* no book can capture" (145). Mayes is referring here to what I mean by "mythic imagination," the ability to connect with the underlying topographical and cultural patterns or Durrell's "correspondences."

The traveler

Who is the traveler addressed by Durrell and Mayes? What does the word *travel* or *traveler* mean to our postmodern consciousness? Open any newspaper or magazine and chances are there will be one or more articles about an exotic travel destination or a personal travel experience of a place, accompanied by a captivating image of a white sandy beach or a rustic village high on a hilltop. In recent years bookstore travel sections have continued to expand with titles promising "traveler's tales," "adventures," and "journeys." The immediate appeal of these stories appears to be escapism and fantasy, but closer examination of much travel literature has an almost redemptive tone throughout it, as if the narrator encountered an unexpected divinity on his or her path.

In *Sacred Journeys in a Modern World*, Roger Housden writes: "I am not an explorer or an intrepid adventurer [. . .] not a travel writer looking for subjects, nor can I lay claim to being a 'pilgrim' in the traditional sense of the word" (1). In an uncertain world where scientific, political, and religious worldviews have lost their authority, Housden periodically leaves his ordinary life "to go walkabout," to discover what has meaning for him (1).

Stepping over the boundary of our comfort zone allows us to experience the world in ways we never could at home, away from social roles and daily routine, with everyday sights and sounds so familiar we almost don't notice them. As Phil Cousineau writes, often the traveler goes "to remember the mysteries you forgot at home" (*The Art of Pilgrimage* 198). As customary structures loosen their grip on our consciousness, the unconscious becomes more active in participation with the *anima mundi*. Crossing the threshold, we become intersubjective participants in the world by way of the imagination.

An exploration of imagination is how Eric Overmyer regards his play, *On the Verge*. The title originated with a comment attributed to Andre Breton: "Perhaps the imagination is on the verge of recovering its rights."

Subtitled, "The Geography of Yearning," the play follows three Victorian women, proper in their ladylike expedition wear, to "darkest Africa," "highest Himalaya," and to Terra Incognita, a terrain of shifting time and place. Along the way the trio tell tales of intrepid past adventures as simultaneously they encounter characters, music, and gadgets in cultural glimpses of the future. Mary is the oldest and the leader, who picks up messages about Burma Shave, cream cheese, Red Chinese, and Teddy Roosevelt, and

relates them to her colleagues, though not understanding the meaning of the words. The audience is privy to her diary:

> I feel the rare air of Terra Incognita working its way upon me like acid on an old coin, the tarnish of the past dissolving in a solvent of iridescent light. I tingle. Objects shimmer on the horizon. At sunset, a tantalizing mist, a web, a membrane envelopes us. (Overmyer 22)

Travel in an unfamiliar place unfolds a new world; Mary's feeling of being enveloped in a timeless mist, of the tingling anticipation, resonates for the traveler who is moved to explore what lies beyond the horizon and desires the freedom to pursue it. What is the link between imagination and travel? The irreverent Overmyer supplies a tongue-in-cheek answer by his youngest character, Alexandra, as she reflects in her journal, after an evening of fireside stories about "natives": "Funny word, native. Native. Native. (She Kodaks an imaginary native.) Image. Native. Image-native. Imaginative. I am a native of the image. An indigene of the imagination" (27).

"An indigene of the imagination" seems particularly fitting for a traveler navigating through space and time, and we are all "indigenes of the imagination" when we tell stories of our own past journeys or read inspiring accounts of others' travels. The narrative of a trip remembered has been reflected upon, edited, and set into a pattern; our imagination has arranged it into a satisfying whole with a beginning, middle and end.

While we are traveling, however, the immediate impressions of the experiencing body are chaotic. Jet lag, a phenomenon unknown fifty years ago, disorients the body's circadian rhythm and heightens sensitivity to our surroundings. Contemporary travel writer Pico Iyer observes that nowadays "more and more of us spend days at a time in this altered state in which we're not quite dreaming but not really on the ground" ("The Magic of Flight"). Overlapping events, sounds, and aromas, the cadence of unfamiliar

languages, the bright light and vivid colors of a marketplace, all are captured in holographic fragments to be examined at leisure. The sensory elements combine to form a sense of place, and ultimately evoke our individual response to place. In our response to that "ineffable something" as Mayes suggests, resides the clue to our identity.

Indeed, Iyer notes that the words *travel* and *travail*, from the French word *travail*, to toil or to labor, are related ("Why Do We Travel?" 1). *Chamber's Dictionary of Etymology* suggests that the word *travel* may have referred to the hardships of early travel (1162), or undertaking a difficult journey such as a pilgrimage. The work of travel at times becomes qualitative as travelers discover forgotten parts of themselves. Iyer notes that on a deeper level, we may travel "to moods and states of mind and hidden inward passages that we'd otherwise seldom have cause to visit." (2)

The film *Under the Tuscan Sun*, a virtual mini-vacation in itself, is a romantic fantasy version of Mayes' more realistic memoir, which is subtitled "At home in Italy." Yet, the tagline for the film, "Life offers you a thousand chances ... all you have to do is take one," does capture the essence of her book. As Mayes contemplates the folly of buying a rundown 15th century Tuscan villa, she recalls the lines from a poem by W. S. Merwin:

> Send me out into another life
> lord because this one is growing faint
> I do not think it goes all the way (145).

Travel offers qualitative experiences of the world that frequently inspire visions of how life could be different. Both in her book and the film, the house's transformation parallels the shaping of a new life for Mayes, one she could not have predicted but may have imagined.

Like Iyer and Mayes, British travel writer Freya Stark values travel for shaping a life. Stark lived by her philosophy. She was so intrigued by Alexander and his vision of a united Hellenistic world, that early in the twentieth century she learned Arabic to travel through Iraq, Turkey and the Arabian Peninsula. She calls her traveler an explorer and distinguishes the explorer from the tourist:

> The explorer is not a person who, like the tourist, sets out with a set of ideas he is not anxious to alter; he goes out to collect raw material for his life--for something he is making which had not taken shape before. (Stark, *Zodiac Arch* 44)

The seeker, the explorer, the "indigene of the imagination" catches glimpses of the future as she travels, and the possibility of transformation.

The mythic imagination

Mythic imagination loves storytelling as a means of making sense of the world, of becoming at home in the world. Australian sociologist Peter Bishop remarks that a geographical site is transformed into a place when it takes on meaning for the traveler, when its contours are shaped by fantasies and stories (196). Thousands of potential travelers in America and in Europe heard Mark Twain's lectures on the paradisiacal Sandwich Islands, and many more read his dispatches from Hawaii to the Sacramento newspaper that employed him. Then, as now, Twain's stories sparked the imagination of his audience, inciting a desire to experience this extraordinary place themselves.

Writers have always provided guidance for travelers from the first travel writer, Herodotus, whose *Histories* contained as much of the fabulous as fact, to Isak Dinesen's popular *Out of Africa*. What these writers have in common is the ability to draw the reader into the places they describe; to travel with them via imagination.

Herodotus traveled widely for the fifth century B.C.E. and wrote popular narratives about his travels (Casson 96). Lionel Casson has an excellent definition of a

travel writer in his study of travel in the ancient world. He is not a compiler of facts like a Karl Baedeker:

> His role is to be the tourist's perfect companion: to be articulate, well-informed, a skilled ranconteur; to include in what he tells a fair share of the unusual with a dash of the exotic; to tell it all with infinite zest. (111)

Herodotus' *Histories* were not "history" as we understand it today, with verified facts and dates, but more like a memoir of his travels. *The Histories* combined personal observations about cultural customs, religious festivals, art and architectural sites with entertaining stories he may have heard from fellow travelers or from guides, porters or sailors on sea journeys (105). According to Casson, unlike other Greek writers of his day, Herodotus wrote not just to inform but to entertain. At times, even he admits doubt about the truth of a story he's been told. As Casson notes, "It is pure nonsense, he assures us--but tells it nonetheless" (111). For Herodotus, it does not matter whether the story is true or not, what matters is that it's a good story.

Charlene Spretnak writes, "Being good moderns that we are, we tend to see only fragmentation, disparate events, and distinct spheres of activity in the world." (6). Perhaps this is why we spend some much time and money trying to get organized with our palm pilots, blackberries and daytimers. To some degree, they organize our everyday events into a type of narrative outline, but a story is required to fill in the outline. In his book, *On Stories*, Richard Kearney addresses this point. He comments: "only when haphazard happenings are transformed into story, and thus made *memorable* over time," do we "become full agents of our history. . . . Without this transition from nature to narrative, from time suffered to time enacted and enunciated, it is debatable whether a merely biological life (*zoe*) could ever be considered a truly human one" (*bios*) (4). "In

this way," Kearney continues, "storytelling may be said to *humanise* time by transforming it from an internal passing of fragmented moments into a pattern, a plot, a *mythos*." (4)

When we travel, we enter a story. Like a story, a trip has a beginning, middle, and an end. With leisure travel, it may begin with a lecture like Twain's that sparks our imagination. Perhaps we have read a book or been so captivated by an advertisement or the setting of a film, that we may plan a vacation around exploring the locale. The French film, *Amelie*, has inspired thousands of people from around the world to visit the Montmartre locations in the film. To be sure, they come to see the city as envisioned by director Jean-Pierre Jeunet, who cheerfully admits that "This Paris exists, but only in my head . . . . <u>But this</u> is how I saw it the first time I was there, when I was 20." (<http://www.au-cinema.com/Amelie.htm>) (emphasis mine).

Would those travelers have been drawn to visit Montmartre from around the world without the inspiration of Jeunet's shamelessly romantic film and its beloved heroine's quirky adventures? They may have been, but it is *Amelie*'s warmly human story that has made it a meaningful place for many to visit, especially for a younger generation who have no previous associations with Monmartre, with Paris, or even with France. Jeunet's film is an exercise in mythic imagination; it is a golden memory of a place that does exist in the physical world, viewed, in this case literally, through a lens of marvelous possibilities.

Paris itself is a city that abounds in mythic significance for the Western imagination. In *Once and Future Myths*, Phil Cousineau writes about the myth of Paris, the city as imaginal place where artists, writers and intellectuals from around the world

gather to become inspired by the heady atmosphere of the cafes and street life. As a young man he was fascinated by Paris, where he could trace his French ancestors, and also his spiritual ancestors, luminaries like Ernest Hemingway, F. Scott Fitzgerald and Henry Miller (234). Stories of the mythic transformation of foreigners draw new generations who "hope that one's own dormant "genius" might awaken in Paris alongside the *genius loci*, the spirit of the place (234). Although Cousineau experienced the actual city in all its beauty and gritty reality, mythic Paris is his personal landscape of the heart, where he wondered if he "would ever be this happy again" (248). It was there, he says, that he learned "*l'entente de la vie*," the art of living that still informs his life (250).

Cousineau organized and led Bohemian tours of Paris for others who came for the same reasons. A decade after his sojourn in the city, having become an established author and filmmaker, Cousineau experiences a moment of déjà vu as he strolls through his old haunts with his family. He is startled to see himself seated at an outdoor café: same hat, a notebook, a cup of coffee to buy table time, a look of bemused concentration as he takes in the scene. Ruefully, he acknowledges that the young man in the café has made a pilgrimage to the Paris of famous writers, just as Cousineau himself had ten years before.

Time and history play major roles in the mythic imagination of the post-modern traveler. Spretnak comments, "Since the informing constellation of values and consequences called 'modernity' is future oriented, a sense of historical context has withered by neglect." (6) During his search for a resting place, self-exiled D. H. Lawrence realized the immense age of Italy and the relationship between human and place as he traveled to remote villages:

> Here since endless centuries man has tamed the impossible mountain side into terraces, he has quarried the rock, he had fed his sheep among thin woods, he has cut

> his boughs and burnt his charcoal [. . .]. Wherever one is in Italy, either one is conscious of the present, or of the medieval influences, or of the far mysterious gods of the early Mediterranean. Wherever one is the place has its conscious genus. Man has lived there and brought the place to consciousness, given it its expression, and really, finished it. (122)

Lawrence continues with a comment that alludes to what Swiss psychologist C. G. Jung called the collective unconscious:

> The land has been humanized [. . .] and we in our own tissued consciousness bear the results of this humanization. So that for us to go to Italy and to penetrate into Italy is like a most fascinating act of self discovery--back, back down the old ways of time. Strange and wonderful chords awaken in us, and vibrate again after many hundreds of years of complete forgetfulness. (122)

Frances Mayes is struck with a similar realization as she enviously contemplates the Italian ability to live in the moment, a quality she noticed already present in the images on an Etruscan tomb. "All the painted images [. . .] seemed charged with meaning, if we only had the clues to read it" (178). Although some of the images remind her of Greek myths, she says

> "the instinct that I have is that the tomb images—each came from further back, and those further back came from something even earlier. The archetypes keep appearing and we find in them what we can, for they speak to our oldest neurons and synapses" (178).

Conclusion

In retrospect, travelers may come to understand choices of specific destinations and incidental way stations as part of a pattern we are being woven into. In ancient times, we might have thought of this as the loom that weaves our destiny. Jung tells us, "The need for mythic statements is satisfied when we frame a view of the world which adequately explains the meaning of human existence in the cosmos" (*Memories, Dreams, Reflections* 340). Many indigenous people know their territory by their cosmology, which is mapped into the surrounding terrain where there are world navels, places of emergence, mountains where gods walk and boundaries where danger lurks. The

Australian aboriginal peoples navigate their terrain by the Songlines, following paths the gods walked as they created the material world.

As a post-Enlightenment culture, without a dynamic interactive relationship to our environment, individuals must create their own Songlines, find their own correspondences in resonant places and cultures that can lead to a new realization of their own depths. The world created through mythic imagination and memory has a continuous terrain, a coalescence of diverse landscapes, cultures, and images we have experienced through art, literary works, and physical travel.

Like Stark, I regard the travel experience as a way to collect the raw material for one's life, for shaping something new, "something [. . .] which had not taken shape before" (Stark 44), for a meaningful reconciliation of self and world. At the end of Overmyer's *On the Verge*, the two younger women, Alex and Fanny, have decided to settle in 1955, but Mary, the explorer, continues forward into the future, still seeking her place in the "geography of yearning," (81-82). By our individual map-making, either by actual travel or through others' accounts of their travels, through the imaginary landscape of Terra Incognita, we experience a psychic reshaping of our beliefs and values until our soul finds its reflection in the tangible world, and the world gains a voice through our stories.

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THE HOLLYWOOD WAR MACHINE AND IRAQ
The Hollywood War Machine

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The Hollywood War Machine

Films depicting military combat began to appear in the U.S. as early as the teens, with D.W. Griffith's *The Birth of a Nation* (1915) which depicts Civil War battle scenes, as the one war film from this period still remembered today. Soon thereafter, when the U.S. entered World War I, films appeared depicting that conflict, and thus the combat film industry was born. The combat film industry has historically provided a substantial proportion of Hollywood's films, accounting for as much as 50% of total production during World War II, the high point for combat films. Combat films may depict recent or even current conflicts, or they may depict earlier wars. The earliest American war depicted in films is, of course, the Revolutionary War, which still serves occasionally as a setting for combat films, the most recent being Roland Emmerich's *The Patriot* (2000). Some combat films are set in the distant past, like Ridley Scott's *Gladiator* (2000) and Peter Jackson's Lord of the Rings trilogy. Others, like George Lucas's Star Wars (1977) and the Star Trek series, depict future conflicts. Whether set in the past or future, however, combat films end up depicting current events, or at least providing a current slant on historical or hypothetical wars. Despite different costumes and sets, these films share many commonalities as representatives of the combat film genre.

Because of their close association with real wars, Hollywood combat films have enjoyed a privileged position in film genres. Dating from as far back as W.W.I., the military has forged alliances with filmmakers to help bring its message across. During W.W.I., the Army Signal Corps enjoyed a monopoly on war photographs and motion picture footage. Every W.W. I. film using actual photographs or film from the war needed the permission and support of the Army Signal Corps. This close alliance between military and filmmaker is what I refer to as the Hollywood War Machine, to mark a distinction between the combat film genre and other popular genres that do not enjoy governmental support. With the outbreak of W.W.II., the federal government established the Office of War Information, which intensified the already cozy relationship between filmmakers and military. At that point, with active military support that derived ultimately from F.D.R.'s goal of marshalling public opinion for U.S. intervention, the relationship between military and filmmaker cemented as never before. Hollywood became, as critic Thomas Doherty observed, "the preeminent transmitter of wartime policy and a lightning rod for public discourse."[1]

Connections between Hollywood and the military continue to exist, with the Pentagon supporting combat films that it deems worthy. These include films portraying the military as positive, courageous, honorable, and necessary. The support may entail access to military bases, warships, and warplanes. During wartime, it means providing access to combat zones and permission to take photographs and shoot motion picture footage. Of course, access to dramatic wartime footage and impressive warplanes, warships, and military bases can make or break filmmakers. Filmmakers lacking this support must make do with scale models, smaller numbers of actors, and less authentic footage.

Bad Wars

Within the war film genre appear various subgenres. Critic Mike Mayo identifies eight subgenres according to category (unit pictures, resistance movements, home front stories, action/adventure stressing heroics, anti-war films emphasizing wars' insanities, re-creations of actual battles, and military comedies).[2] Although these categories provide useful distinctions, I propose two just two categories:

Films depicting war as justified, honorable, and noble, as opposed to those depicting war as evil, banal, tragic, and senseless. These are the "good war" films versus the "bad war" films. Bad war films, those with anti-war themes, focus on war's tragedies, carnage, waste, and futility. One of the earliest to remain in public awareness is Louis Milestone's All Quiet on the Western Front (1930), which presents W.W.I realistically with its battlefield carnage. Alfred Hitchcock's Lifeboat (1944), Mike Nichols's Catch-22

(1970) and Terrance Mallick's The Thin Red Line (1998), all set during World War II, present that war in an unfavorable light. Michael Cimino's The Deer Hunter (1978), Francis Ford Coppola's Apocalypse Now (1979), and Oliver Stone's Platoon (1986) similarly depict the Vietnam War as a tragic, bloody, ultimately pointless affair. More recent conflicts have also stimulated bad war movies, including the Gulf War (David O. Russell's Three Kings (1999) about the first Gulf War and Ridley Scott's Black Hawk Down (2001) about the conflict in Somalia. These films all share the perspective that "war is hell."

The Good War

The U.S. entry into W.W.I. initially inspired patriotic "good war" films, including documentaries like Pershing's Crusaders (1918), America's Answer to the Hun (1918), and Under Four Flags (1918). These films, showing heroic U.S. troops defeating German belligerents, were photographed by members of the Army Signal Corps, who had exclusive permission from the military to photograph the war. Although each of these early films presented the conflict as a "good war," once hostilities ceased, and once the ill-fated Treaty of Versailles assured a future rematch between the belligerents, films began to appear showing the war in an unfavorable light, including Louis Milestone's All Quiet on the Western Front (1930). In fact, due to the horrendous casualties on both sides, and the controversial, excessively punitive peace treaty that ended the war, W.W.I never recovered the "good war" label, and filmmakers have been reluctant to make it their setting. The few films that have been made of WWI present it as a "bad war," including Stanley Kubrick's Paths of Glory (1957) and John Guillermen's The Blue Max (1966). "The Great War" turned out not to be effective in its stated purpose, to prevent future wars in Europe.

W.W. II, in which the U.S. was a victim of a surprise attack, ushered in a cycle of "good war" films, and this time, despite periodic slippage, the "War to Save Democracy" continues to inspire films depicting it as justified, heroic, glorious, and successful. These good war films include many classics, both those made during the conflict and those made long after the fighting was over. Films like David Miller's *Flying Tigers* (1941), John Farrow's *Wake Island* (1942), Howard Hawks's *Air Force* (1943), Delmer Davies's *Destination Tokyo* (1943), Melvyn Leroy's *Thirty Seconds Over Tokyo* (1944), and John Ford's *They Were Expendable* (1945) present W.W. II as justified from the Allies' perspective, inevitable, essential to halt the Axis powers' world hegemony, and absolutely vital to preserve "freedom" and "democracy." These films are filled with heroic battle scenes starring John Wayne, John Garfield, Robert Mitchum, Van Johnson, Walter Preston, Robert Montgomery, Cary Grant and many others popular actors courageously fighting battles, on land, air, and sea, against vicious, determined, fanatical enemies bent on destroying America and decimating Western civilization. The success of their missions in these films pointed to the ultimate defeat of the Axis powers and the preservation of sacred Western values of "freedom and democracy." These films presented war as nothing less than the ultimate struggle of good versus evil, with good, of course, being the monopoly of the Allies and evil being monopolized by Germany, Japan, and Italy. These films help define W.W. II as a good war, a war that continues to exert influence even today.

By W.W.II the government realized the influence Hollywood had over public opinion and intensified cooperation with the film industry. "Good war" films were used to help marshal public opinion favorable toward the war effort. War agencies like the Office of War Information became increasingly involved in promoting films depicting W.W. II as a "good war." Hollywood cooperated freely with the government to produce films that evoked patriotism and raised public morale. This unique cooperation ushered in a large crop of films presenting W.W. II as a glorious crusade. Thomas Doherty observed that the cooperation between Hollywood and the government during this time "generated not only new kinds of movies but a new attitude toward them," resulting in popular art and cultural meaning, mass communication and national politics being intimately aligned and commonly acknowledged in American culture.

Hollywood filmmakers agree on the criteria that make up a "good war." They are:

1. The war must be defensive, or at least it must appear that U.S. interests are threatened;
2. There must be clear, attainable goals and objectives;
3. The war must be fought according to high standards of behavior, especially regarding civilians and non-combatants.
4. There must not be major military blunders;
5. The war must come to a successful conclusion.

Naturally, there is often no consensus regarding the above criteria. Often, they engender a spirited public debate as to a particular war's status regarding these criteria. Sometimes, though, the facts appear obvious and consensus may occur. For example, W.W.II appeared initially to have been started by the Japanese attack on Pearl Harbor in 1941, so there was little debate about the war's defense nature. However, decades later as allegations appeared suggesting that F.D.R. had foreknowledge of the Pearl Harbor attack and allowed it to occur without U.S. opposition because of its effects on public opinion, creating overwhelming public support for the war effort. History may never provide the answer to the question of how much Roosevelt knew, but the discussion surrounding issue of the war's defensiveness is nothing less than a debate over whether or not the resulting world conflagration was a "good war" or not

Today, the Hollywood War Machine still seeks access to military bases, troops, and hardware. Ridley Scott failed to obtain military support for his *Black Hawk Down* (2001) that dramatized events surrounding the downing of a U.S. Black Hawk helicopter during the ill-fated humanitarian mission to Somalia during 1993.Without military assistance, Scott was forced to rely on his directorial skills in order to achieve realism.

The Cold War, Korea, Vietnam, the Gulf War

While W.W.II retails its good war label, making it only one of two wars to be so honored by Hollywood (the other is the Revolutionary War), the wars that followed have not been so fortunate. The Korean War initially generated some gritty classics like Sam Fuller's *The Steel Helmet* (1951) and Louis Milestone's *Pork Chop Hill* (1959). It was then followed by John Frankenheimer's chilling *The Manchurian Candidate* (1962), and Robert Atlman's satiric *MASH* (1970), none of which added to the war's luster. The Korean War resulted in a fragile stalemate between the U.S. and North Korea, and, as a result, has not gone down as a "good war," nor has it inspired many combat films. The message is that a war needs to be decisive and successful to be considered a good war. If not, it would be relegated to the "scrap pile history" as far as Hollywood is concerned.

The Vietnam War was neither successful, from the U.S. perspective, nor heroic, dominated by images of body-bagged U.S. soldiers being shipped home day after day alongside images of battlefield carnage. After the Tet Offensive of 1968, American public opinion turned against the war, and filmic depictions reflected its growing unpopularity. Despite John Wayne's *The Green Berets* (1968), Wayne's feeble attempt to glorify the Southeast Asian conflict, most films depicted this war as a lost mission with mistaken goals, including Michael Cimino's *The Deer Hunter* (1978), Francis Ford Coppola's *Apocalypse Now* (1979), Oliver Stone's *Platoon* (1986) and *Born on the Fourth of July* (1989), and Stanley Kubrick's *Full Metal Jacket* (1987). By Hollywood accounts, as these films suggest, the Vietnam War was bad to the bone.

Post 9/11 War Films

Since September 11, 2001, American combat films have been shaken up. In the aftermath of 9/11 Hollywood executives placed a moratorium on several combat films then in production, including John Woo's *Windwalkers* (2002), which returns to the good war, but focuses instead on violent battle scenes reminiscent of "war is hell." Additionally it brings to light internal struggles with American bigotry. Gregory Hoblit's *Hart's War* (2002), also in production before Sept. 11, does not depict W.W.II as a good war. In this film U.S. prisoners of war confront traditional Nazi concentration camp villainy, complete

with an aristocratic Nazi commandant after they are joined by two downed African-American pilots from Tuskegee University, the prisoners must confront an even more serious problem: racism. The issue of American racism was seldom raised in traditional good war films, but in the case of Hoblit's film, it assumes major proportions. Only by combating racism can the American prisoners escape from their Nazi captors.

Conclusion

The Good War, as it has unfolded in American history, is a code that categories wars according to certain criteria: The traditional criteria are:

The war must be defensive in nature, or at least repel threats to U.S. interests;

Civilians and other noncombatants must not be ill-treated;

The war must have clearly articulated goals;

Those goals must be achieved, and the war come to a successful conclusion.

These criteria emerged during and after the major twentieth century wars. Wars of the twenty first century, however, focus on new issues. Peter D. Fever and Christopher Gelpi observe in their new book, *Choosing Your Battles: American Civil-Military Relations and the Use of Force,* that combating terrorism, halting the proliferation of nuclear weapons, and spreading democracy have widespread appeal to the general public today.[4] The authors base their conclusions on recent public opinion data. To date, public opinion has supported the War on Terrorism and the War on Iraq, but approval for the Iraqi War has been waning as violence continues and the timetable for returning sovereignty to the Iraqi people recedes. Only time will tell if either of these wars will be remembered by filmmakers as "Good" or "Bad" wars.

Every war has its partisans and supporters during the heat of battle, but once the dust settles, and casualties, expenses, and blunders come to light, many wars go from being good wars to bad wars. The Civil War, has long ceased to inspire "good war" depictions. Even recent Civil War films, including *The Gangs of New York* (1999) and *Cold Mountain* (2003), depict it as a horrific, bloody, ignoble event.

World War I, billed as "The Great War," also most often fai8inspire "good war" depictions. Films like *All Quiet on the Western Front, Paths of Glory* and *The Blue Max* speak eloquently to the futility, banality, and venality of that war. Because of widespread public disillusionment with the war's horrific carnage, and after the ill-conceived Treaty of Versailles (1919), W.W.I has gone down as a failure, and for that reason is now rarely the subject of combat films.

The Korean War, too, often failed to achieve a "good war" label, no doubt because the U.S. involvement yielded not victory but, instead, a protracted armistice that threatened to dissolve at any moment and ignite an Asian land war. Films depicting the Korean War, including Sam Fuller's *The Steel Helmet,* Louis Milestone's Pork Chop Hill, and Mark Robson's The Bridges at Toko-Ri paint a grim disturbing portrait of a brutal and banal war. No clear-cut victory awaited the U.S., and no clean moral purpose has emerged that would serve to sanctify this conflict.

Thus there are only two remaining wars that fit the definition of "good war": The Revolutionary War and W.W.II. The Revolutionary War, the nation's first combat experience, has become too sacrosanct and exalted and mythologized to be regarded as anything but justified. Roland Emmerich's *The Patriot* (2000) reminds us of its secure good war status. Later conflicts, from Korea to Vietnam, have gone down as bad wars.

The Gulf War stimulated its own "bad war" films, including Edward Zwick's *Courage Under Fire* (1996) and David O. Russell's *Three Kings* (1999). John Moore's *Behind Enemy Lines* (2001) also depicts the War in Bosnia as a flawed, inglorious conflict. Ridley Scott's *Black Hawk Down* (2001), as was previously mentioned, condemns the U.S. military action in Somalia. That means that since W.W. II there have been no official "good wars."

Which brings us to the War in Iraq. How will it be judged??

This war, like all previous wars, will be judged by the traditional criteria:

- It should a defensive war;
- Civilians and noncombatant must not be ill-treated,
- There must be clearly-articulated goals,
- And, the war must come to a successful conclusion .

Currently, public opinion also endorses wars to stop proliferation of weapons of mass destruction as well as wars designed to bring to bring about democracy in a country. However, a war with these latter two objectives may prove illusory or transitory. In Iraq, some answers to our questions immediately emerge.

- It appears not to have been defensive in nature, despite the Bush administration's statements to the contrary.
- No connection has yet been found between Iraq and the 9/11 hijackers as alleged by the administration.]
- There have been no weapons of mass destruction uncovered in Iraq, again despite Bush administration assurances that they would be found.
- Only time will tell whether or not Iraq will become democratized.
- The only stated goal for the invasion of Iraq was to rid the country of weapons of mass destruction, which have not to date been found.

With these considerations, it appears unlikely that public opinion will judge the War in Iraq as a "Good War." Furthermore, the occupation has not yet resulted in the establishment of a viable democratic state. Instead of grateful citizens greeting U.S. forces with flowers and kisses, the Iraqis greet US soldiers with bombs, rockets, and grenades. While combat continues, and as long as the political situation in Iraq remains unsettled, there is little likelihood filmmakers will create films reflecting this film in a positive light. A more likely scenario is the appearance of anti-war films set during past conflicts but bearing hidden anti-Iraqi war messages. In fact, such films have already appeared, including *Cold Mountain* (The Civil War) and *Lost in Tr*anslation (The Vietnam War). These films contain anti-war elements and function as proxies for the current conflict in Iraq. If history is any guide, we should continue seeing anti-war films as long as the traditional good war criteria do not appear. Without these criteria, the war in Iraq will most likely go down in history as a bad war.

Endnotes

1. Thomas Doherty, Projections of War: Hollywood Culture and World War II (New York: Columbia University Press, 1993), 5
2. Mike Mayo, War Movies (Detroit, MI: Visible Ink Press), 1999, xvi.
3. Thomas Doherty, Projections of War, 5
4. Peter D. Fever and Christopher Gelpi, Choosing Your Battles: American Civil-Military Relations and the Use of Force (Princeton, New Jersey: Princeton University Press), 2004, 144

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Stealing the Nation, Three Cuban Women Writers in the U.S.:

Lourdes Casal, Dolores Prida, and Achy Obejas.

By stealing the nation I am making reference to Alicia Suskin Ostriker's book entitled Stealing the Language: The Emergence of Women's Poetry in America. Obviously, Ostriker's endeavor was never to condemn the women poets, nor to accuse them of thievery, so the mischievous title must imply that when it comes to language, stealing is no longer a criminal act. It also suggests that perhaps there is no other way, the emerging poet must take the language, and run with it.

Thus, when it comes to language, there is license to steal. "Power […] has always inscribed itself in language. […] And language is one of the most complex forms of subjugation, being at the same time the locus of power and unconscious servility." (Minh-ha 52) In the same way, stealing is a form of subjugation for it presumes, if not necessarily more power, at least a

momentary triumph over the other, whose grasp was not quick or strong enough.

Nation and language are so tightly intertwined that at times it is almost impossible to determine where one begins and the other ends. Just like language, nation may also be deemed a locus of power. Thus, there is a moment when emerging writers, in this case ethnic writers, could be called to steal the nation, this here nation, without even having to put memory and nostalgia totally aside.

Stealing. I chose, or stole, that particular verb in the present progressive because it is quick and roguish. This does not mean, however, that I am totally convinced that it is the right word, or the right act. It does, nonetheless, remain suspended, it calls for reflection, and that it precisely what gives it all the more depth and quality.

Under normal circumstances a thief usurps what is not rightfully his or hers. This means that somewhere out there, there is a rightful owner who will always remain the owner, no matter what, at least from a moral perspective. Such is not the case, indeed, when women steal the language. First of all, where or from whom do they steal it?

My first guess is that they steal it from men. Then there's the scene of the crime, a place, a country, a nation to which the language belongs or

belonged. Then again, Ostriker did not write this book to prove that men or the nation will always remain the rightful owners, or that the language the women stole will never rightfully be theirs.

If the women stole the language it was because they had no other choice. Up until the moment they stole it, either the men or the nation just wouldn't share, or, as Anne Bradstreet so rightfully puts it, "They'll say it's stolen, or else it was by chance." (Bradstreet 16) So why not just go ahead and steal it anyway?

In any case, what comes across here is not the crime, but the hubris and the audacity. As Ostriker puts it, "A major theme in feminist theory on both sides of the Atlantic has been the demand that women writers be, in Catherine Hermann's phrase, voleuses de langue, thieves of language, female Prometheuses." (Ostriker 211) In her endeavor to define and redefine what it means to be a woman poet, Ostriker then goes on to stress the adversarial quality of women's poetry before reminding us that all poetry is marginal. (Ostriker 239) The same goes for all writing. It is adversarial by nature, it has to be. By writing, however, the ethnic writers are asking to be heard, and this implies that they are reaching out for the nation, to steal it, if need be.

In this study, three Cuban-American women writers, Lourdes Casal, Dolores Prida, and Achy Obejas, go about stealing the nation, this here nation, call it los Estados Unidos, EE.UU, Norteamérica, or the USA., as well as constantly re-taking Cuba. Their being writers presupposes that they already stole a language, be it el inglés, or English, or Spanish. I do no write English in Spanish just to be cute. These three writers do not have the same relationship with the official language of the United States. It is probable that it always remained el inglés for Casal, that Prida loves to play with it as el inglés, but that it is English for Obejas. In fact, this relationship with the English language will have a direct effect upon the way these three writers choose to steal the nation, and at times even give it back.

Indeed, their stealing the nation is a requisite. For one, it was the theft of the nation that empowered them to be, or become, writers. The theft therefore becomes imperative and primal. But it is not just a one-time act and it does not only imply one nation. Beware, for a thief will not just steal once.

When language and nation are put side to side, languages suddenly appear more concrete. To steal a language is to take it away from someone else, it is to run with the words and this, in turn, means putting one's own words into

the language. But what does it mean to steal a nation? And what exactly is it that they are stealing?

The etymon is a good place to begin. The word nation contains in it the Latin root nat. From there, natal, native. Minh-ha would immediately want to know which native we mean when say the word. "Terming us the 'natives' focuses on our innate qualities and our belonging to a particular place by birth; terming them the 'natives', on their being born inferior and 'non-Europeans.' As homonyms, these two 'natives' sometimes claim to merge and other times hear nothing of each other." (Minh-ha 52) Whichever one it means, it is perhaps too much to steal. Us, them, a place, a requisition a winner, a loser, and which one? This one here? Or the one they did or did not leave behind?

According to Ernest Renan, "A nation is a soul, a spiritual principle." (Renan 19) This soul or moral conscience is constituted of two things, one that lies in the past and has to do with memory and legacy, and another that suggests a present as well as a future, or a desire to live together.

Seen in the light of a past, a present, and a future, each one of these three Cuban women writers can be situated in different moments of what Eliana Rivero describes as a transition, "[…] from émigré, exile, or immigrant/refugee categories to that of ethnic minority members." (Rivero

191) Rivero then explains that, "[…] this transition entails coming into a personal awareness of biculturalism, and takes for granted the reality of permanence in a society other than the one existing in the country of birth." (Ibid) According to Rivero, Casal was the first of the Cuban women writers to assume this double identity and to live alternately in two very different cultures and political systems.

Casal's search for an articulation of her identity, however, differs from Prida's and Obejas'. Perhaps this has very much to do with the date of Casal's birth, for she was born in 1938, which means that she was 21 at the time of the 1959 Revolution, and 24 when she left Cuba for the United States. As Casal herself realized, it was too late to fully leave Cuba behind, too late to fully embrace her new country, but also too late to go back without taking the New Yorker she had become along.

> […]
>
> y sin embargo, Nueva York es my casa.
>
> Soy ferozmente leal a esta adquirida patria chica.
>
> [...]
>
> Pero Nueva York no fue la ciudad de mi infancia,
>
> no fue aquí que adquirí las primeras certidumbres,
>
> no está aquí el rincón de mi primera caída,

[...]

Por eso siempre permaneceré al margen,

una extraña entre estas piedras,

aun bajo el sol amable de este día de verano

como ya para siempre permaneceré extranjera

aun cuando regrese a la ciudad de mi infancia.

Cargo esta marginalidad inmune a todos los retornos,

Demasiado habanera para ser neoyorkina,

Demasiado neoyorkina para ser,

-aun volver a ser-

cualquier otra cosa. (Casal Palabras 60-61)

And nevertheless New York is my home.

I am ferociously loyal to this small adopted fatherland.

Because of New York I will be a foreigner everywhere else,

[…]

But New York was not the city of my childhood,

This is not where I uncovered my first truths,

It is not on this ground that I fell for the first time,

[…]

This is why I will always remain an outsider,

a stranger among the stones,

a stranger in the gentle light of this summer day,

just as I will remain forever a foreigner,

even in the city of my childhood

I carry this marginality, an impossibility of return,

too habanera to be a New Yorker,

too much of a New Yorker to be

-- even to become again --

anything else (my translation)

This poem, entitled "For Ana Veldford," begins with the word nunca, never.

Never summer in Provincetown. And yet… (my translation)

The reader is caught in the middle of a thought, and suddenly there is a New York City bus, a glass pane, a gaze, a memory, another memory, a thought of snow in Vermont, then the stanza, nevertheless New York is home. This home is familiar, it has sensory power, this home comes in through the nose, the perfumes, marijuana, beer, urine… She is writing the city, and thus making it hers. She calls it a small fatherland. I am translating patria as fatherland. Etymologically, patria contains the word father, pater, whereas nation carries words such as native and natal.

Reading this poem in light of Renan's definition of a nation, the spiritual principle that presupposes a past does not appear to be in New York City, where the poet will always remain in the margins. Havana is the city of her childhood, of her past. However, the present, in this case New York, has somehow altered the past. I could easily have jumped to the conclusion that Cuba was the nation of the past and the United States that of the present and of the future had there not been the "just as" and the "even when" in this poem. Casal's state of being an exile has made Renan's definition of nation problematic. It suggests that as the present unfolds, so the past changes.

Under normal circumstances the nation is a gathering of people with a common past, willing to live together in the present, but here, there are no normal circumstances, there is a wrinkle in time that alters the past, the present and the future, for the present has now affected the past (just as the past affects the present) and has made Casal too much of a New Yorker to ever really belong to the city of her childhood again. What Casal is expressing here is that she can very well change countries and citizenship, but that from now on, or from the day she left Cuba in 1962, she became incapable of truly becoming a <u>national</u>, or of ever again being a <u>native</u>. "[…] her poetic persona functions in two different environments but fits completely in neither." (Rivero 192)

Casal's nostalgic poetic persona in the bus is oddly reminiscent of young Frank Lloyd Wright's experience in a Chicago cable car the moment he becomes intensely aware of the myriad of signs around him, signs that are everywhere, pulling him, pushing him, playing with him, perhaps even reading him. William Boelhower considers this particular experience of Wright's to be one of initiation. (Boelhower 23) As the signs liquefy and the words momentarily lose their meaning and their origin young Wright enters what Boelhower considers to be a new cultural order. In other words, by becoming fully one of the crowd and surrendering his personal sovereignty, Wright joins a multicultural "we." What Wright loses by surrendering this nostalgic self,

"[…] is the intimate relation of the self to itself, as belonging to an ethos […] It is this idiosyncratic self, with its specific genealogy, body, and memory, that becomes irrelevant to the city's major signifying activities […] Wright tries nostalgically to resuscitate this lost self. He tries by means of an extreme act of memory to return to what, for lack of a better term, we might call his ethnic self." (Boelhower 26)

It is precisely this ethnic self that Casal's poetic voice refuses to surrender in that New York City bus.

Casal's definition of hispanidad, nevertheless, is very close to Renan's definition of nation.

"La hispanidad es un estilo de vida. Es un modo de pensamiento. Es una tradición y es un futuro. [...] La hispanidad de esa América que mencionamos cuando hablamos de América Hispana es la hispanidad nuestra que se entrelaza con nuestra americanidad [...] Hispanidad es cultura. Es idioma. Es tradición. Es pasado y es futuro." (Casal Itinerario 15)

Hispanidad is a way of life. It is a mode of thinking. It is a tradition and a future. […] The Hispanic quality of the America we are referring to when we speak of a Hispanic America is our state of being Hispanic that is intertwined with our state of being American […] Hispanidad is culture. It is languages. It is tradition. It is a past and a future. (my translation)

Homi Bhabha would see this definition of Hispanidad, as well as Casal's relationship to the two cities, New York and Havana, as,

"[…] a form of living the locality of culture. This locality is more around temporality than about historicity: a form of living that is more complex than community; more hybrid in the articulation of cultural differences and identifications […] than can be represented in any hierarchical or binary structuring of social antagonism." (Bhabha 292)

Casal's self awareness of hybridism can also be seen in her 1973 "Love Story, Según Cyrano Prufrock." (Rivero 193) In the introduction, Casal speaks about the novel she would like to write, "[…] una novela realmente cachonda, aunque tú ni siquieras la podrías leer, con tu español subdesarrollado, insuficiente para lidiar con esta cotelera de castellanos que se me ha vuelto el habla después de demasiados años de exilio [...]" (Casal Itinerario 93) [...] a real amusing novel, even if you couldn't even read it with your underdeveloped Spanish, incapable of dealing with this coterie of Castilians that my language has become after too many years of exile […] (my translation)

The you being addressed in this long love letter is a woman named Beatriz who lives in New York City. Beatriz is the one with the underdeveloped Spanish, but so is the voice, the author whose language has become a hodgepodge of sorts. after too many years of exile. Even the language suffers in exile, as a matter of fact, it is the first to go, the first to lose its native muscle. The memories go last, as we can see in this double discourse about Havana and New York where the reader "[…] finds allusions to a complex quilt of readings, noticing an American cultural presence in which, nevertheless, Cuban/Hispanic elements are basic to an understanding of the totality of the text." (Rivero 193)

Havana never leaves Casal, it remains so present in her heart and her intellect that she always struggled to understand why she left Cuba. (Martínez 1) So much so that her experiences in the United States deeply politicized her. (Martínez 2)

It was in 1973 that Casal returned to post-revolutionary Cuba for the first time, after much soul searching, and ended up embracing Castro's revolution. After stealing this nation, she quietly gives it back, just to retake her original nation. As a result, "Casal's work is not included in anthologies of Cuban-American literature, which tend to define Cuban-American identity as a distinctly exile sensibility." (Martínez 2) Martínez then goes on to explain that these anthologies tend to limit themselves to Cuban-American authors who arrived in the United States as children, who write primarily in English from a "[…] decidedly uncomplicated anti-communist position with a peculiar arrested vision of history." (Ibid)

I am not certain to what extent other Cuban-American authors would enjoy being seen in that arrested light. It so happens that Prida's biography puts her in that ideal Cuban-American time frame. She left Cuba for the United States at a younger age than Casal, so a much greater part of her past is in New York City. "Prida belongs to a new generation of Latino women writing in North America a hybrid generation, born in the Caribbean,

Mexico or Latin America and raised in the United States; socially progressive yet still closely identified with their cultural roots." (Weiss 9)

Nonetheless, Prida also had to deal with the pressure from the right-wing Cuban exiles. Weiss alludes to Prida having been subjected to death threats for belonging to a group of Cuban intellectuals who wished to establish a dialogue with Cuba in 1979 (when Casal was still alive). "Because this has been part of Dolores Prida's personal experience it cannot be dismissed, even though it does not figure into these plays and Prida herself has continued to work professionally with artists and directors who are not sympathetic to the Cuban revolution." (Weiss12) The plays Weiss is referring to are the five included in the collection Beautiful Señoritas and Other Plays.

Just like Casal's poetic persona, Prida's characters consider New York home. However, the relationship to the place of birth is quite different. There is by far more ambivalence in Prida's sense of identity. On the one hand, there is the constant sense of never truly belonging. On the other, there is hardly a past. Or, the past is here, in Los Estados Unidos.

The original nation is there, ever present, but not as present as in Casal's writings. First of all, not all of Prida's characters were necessarily born outside of this nation. In this sense, the memories of the old country are

borrowed. This does not mean that these memories are weak, or unreal, they are nonetheless borrowed. Achy Obejas puts it very well when she writes,

"[…] and I often wonder how distinct my memories are. Sometimes I'm convinced they're someone else's recollections I've absorbed. I'm not talking about hooking into past lives […] It's just that sometimes other lives lived right alongside mine interrupt, barge in on my senses, and I no longer know if I really lived through an experience or just heard about it so many times[…] (Obejas Memory 9)

At this point in the transition, the memories are beginning to be handed down. As a result, the crossover or the transculturation seems more alive, more vivid. In a way, there are all the more memories. Since there is still a native land, somewhere back in space and time, so there is a need to maintain a memory of a place and a time that was never truly experience, a collective memory of sorts. It could very well be that it is this new type of memory that steals the nation. Once again, I am not suggesting that Casal lacks ambivalence, but the three authors are in slightly different historical moments. In some circumstances a handful of years can make a difference.

According to Weiss the ambiguity is a dominant theme of Prida's plays. So much so that Prida often sacrifices a crossover or a de-marginalization for the sake of this ambiguity. The fact that the play "Coser y Cantar" must

"NEVER be performed in just one language" (Prida 49) limits Prida's ability to be heard by a more general public. In other words, those who wish to read or to watch a performance of "Coser y Cantar" must either be bilingual or become so beforehand. This does not only mean that it limits her audience in the U.S., but in Spanish-speaking countries as well, for the play is one long monologue in English and in Spanish. In Prida's own words, "The two women are one and are playing a verbal, emotional game of ping pong." (Ibid)

The ELLA persona has to speak Spanish, whereas the SHE persona has to speak English. It clearly demonstrates how the duality is an essential component of the Latino psyche. We do not function without the two cultures, the two languages, the two psyches. Perhaps this is a new phenomenon. It used to be that in their desire to become 100% Americans, immigrants would shed their past and language totally. For some reason, this total crossover has become an impossibility as of late. In the final confrontation between ELLA and SHE, even the two languages cease to respect the ELLA-SHE border.

"SHE: But if it weren't for me you would not be the one you are now. No serías la que eres. I gave yourself back to you. If I had not opened some doors and some windows for you, you would still be sitting in the dark, with

your recuerdos, the idealized beaches of your childhood, and your rice and beans and the rest of your goddam obsolete memories! (For the first time they face each other, furiously.)

ELLA: Pero soy la más fuerte!

SHE: I am as strong as you are!

[…]

SHE: You wanted to be me once!

[…]

ELLA: ¡Alguien tiene que ganar!

SHE: No one shall win!" (Prida 66-67)

The crossing-over of the language points to the fact that the two characters are neither <u>this</u> nor <u>that</u>. Toward the end, SHE has no problems interlacing her English with Spanish, even in one sentence, particularly when she alludes to "your recuerdos". It is interesting that "memories" are first thrown at ELLA in Spanish. SHE uses the Spanish word for memories to sneer at ELLA for clinging on to that idealized nation, the beaches, the sun, the rice and beans. By retorting with "Pero" ELLA admits that these memories are perhaps as obsolete as SHE suggests, but ELLA insists that she is the strongest, ELLA insists in Spanish. SHE affirms that she is as strong as ELLA. What's more, there was a time when ELLA wanted to be SHE.

There are no easy solutions, and no one shall win. SHE has the last word. A question, nothing earth shattering this time, simply "Where's the map?" Why this need for a map? Suddenly the two characters seem frightened and this fear unites them. The source of this fear are the loud sounds of sirens and shots coming from outside. ELLA and SHE finally agree that it's time to get out of there. Out of where? Out of the neighborhood? Out of the country? Out of a state of mind? Away from the memories? Or away from this nation? Boelhower believes that urban poverty, random violence, and lack of solidarity have made it very difficult to believe in the promises of citizenship in our democratic country. (Boelhower 19) But that doesn't bridge the ELLA/SHE gap. Perhaps Prida should answer for herself.

"[…] most of my plays have been about the experience of being a Hispanic in the United States, about people trying to reconcile two cultures and two languages and two visions of the world into a particular whole: plays that aim to be a reflection of a particular time and space, of a here and now." (Prida Breaking Boundaries 182)

Slowly, we are approaching land. The shores of the nation that is being stolen are in sight. This is a particular time and place, a here and a now. "This is the place and this is the time." (Ibid 187) When Rivero affirms that

it is at the linguistic level that political consciousness is being expressed, she is defining Prida's nation. (Rivero 195)

If Prida's SHE and ELLA need a map, it is because there is a place and a time they are ready to leave behind. But if they are to leave a place behind, they also have to decide where it is that they are going. Prida states that she does not wish to be categorized just as a "Hispanic Playwright" or a "Woman Hispanic Playwright", but rather as a person who happens to be a woman and a Hispanic. This particular person finds that writing about characters who are not Hispanic can be just as rewarding as writing about Hispanic ones, so long as they are authentic characters. What is important is to write about what one knows best. "And what I know best are the ups and downs of being a Hispanic woman playwright living in New York City. And I am not contradicting myself." (Prida Breaking Boundaries 183) This expression of identity is reminiscent of Hegel's aufheben. By conserving and at the same time surpassing, the subject moves on, and this, in turn, implies forgetfulness. If it is in the baggage, there is no need to constantly think about it.

But we do not yet know why SHE and ELLA need a map. The shots and the sirens suggest that there is turmoil outside, perhaps a reflection of the turmoil going on inside. In any case, there is violence. The sirens and the

shots heard could very well be those often heard in New York City, especially since New York City is a constant presence in Prida's works. Violence means conflict, battle, life or death situations. At a given moment SHE and ELLA begin yelling at each other and throwing objects at each other. Immediately afterward, there are sirens and shots. It could very well be that the world is mirroring them. They feel they do not belong since they are divided, since they are two. They feel they need to choose. It's either choose or die, remembering or forgetting, or is it?

In Prida's "Botánica" Rubén finally asks what it means to be from here.

"Well, for me, to be from here is, well, mangoes and strawberries, alcapurrias and pretzels, Yemayá and the Yankees. What's the difference? What's the big deal? That's what we are, brunch and burundanga, quiche and rice and beans, Chase Manhattan and the numbers game. It all depends on how you pack your suitcase. But it's all part of your baggage." (Prida Puro Teatro 29)

Now the problem SHE and ELLA are facing is that they are desperately searching for the map before having dealt with their baggage. Prida chooses to leave the question wide open in "Coser and Cantar" and finds an answer in "Botánica." This does not mean, however, that the case is dismissed. Answers can be as fluid and as ambivalent and as ambiguous as nations.

What is important is to finally welcome this duality, if not from the very start, at least after much soul searching and analysis.

Homi Bhabha points out that there is a particular ambivalence that haunts the idea of the nation, as well as the language spoken in that nation, and the lives of those who live in that nation. "It is an ambivalence that emerges from a growing awareness that, despite the certainty with which historians speak of the origins of nation as a sign of the modernity of society, the cultural temporality of the nation inscribes a much more transitional social reality." (Bhabha 1)

This transitional social reality is clearly visible in these three Cuban-American writers. What's more, the more they become aware of it and the closer they come to assimilating it, the more powerful their writing. It is also interesting to note that when it comes to these three writers the two words constantly being applied to them are <u>ambivalent</u> and <u>ambiguity</u>. In trying to define the nation, the nation's coming into being, and the concept of narrating the nation, Homi Bhabha states that the most interesting accounts of the national idea, "[…] seem to concur on the ambivalent tension that defines the society of the nation." (Bhabha 2) It so happens that when it comes to narrating the nation there is no better place to find this ambivalent tension than in minor or, more specifically, ethnic literatures.

Deleuze and Guattari point out that everything takes on a collective value when it comes to minor literatures. This means that because talent is not abundant, "[…] what each author says individually already constitutes a common action, and what he or she says or does is necessarily political." (Deleuze and Guattari 17) Indeed, there is no better way to "read" Casal, Prida, and Obejas. Their discourse is essentially political, characters such as Prida's Millie is speaking collectively when she says, "I won't live here. I have my own plans. I want something different. I want to leave all this behind." (Prida Puro Teatro 15) The great responsibility then becomes avoiding what Weiss calls the "[…] watering down of one's political expression, social consciousness, and group identity." (Weiss 13)

This puts us back in a place we never left, ambivalence. It has to do with speaking collectively, pounding on the doors of the nation and of the established literary canon in order to be heard, struggling to come out from the margins, toward the center, because there is still some belief in a margin-center space, and yet, remaining minor and revolutionary. "[…] because collective or national consciousness is often inactive in external life and always in the process of breakdown, literature finds itself positively charged with the role and function of collective, and even revolutionary, enunciation." (Deleuze and Guattari 17)

It is with the conjunction "But" that Rivero makes the transition from Casal and Prida to Achy Obejas. "But the establishment of ethnic awareness/affirmation as a permanent literary presence for Cuban-American women comes in the mid-eighties with […] Achy Obejas." (Rivero 195)

It is not by chance that Alejandra, the main character in the novel Days of Awe, was born on New Year's Day 1959. Obejas did not pick this date out of a hat. On that day every radio in Havana was tuned to the news of the coup. The night before, President Batista had not shown up to his own New Year's Eve party, and had boarded a plane instead. The following morning news of Batista's flight in the middle of the night had spread, as well as that of Castro's victory.

Already, this date of birth places Obejas somewhere else. Although her character was born in Cuba, she already belonged to another Cuba. What's more, Alejandra's family escapes Cuba by boat the night of the invasion of Bay of Pigs, another historical coincidence. By age two, Alejandra was in Miami, then in Chicago. This could mean that Obejas' literary voice does not bring along as much Cuban baggage. This could mean that there is less conflict when it comes to nation, or that the idea of nation is less problematic. But it is not so.

Obejas seems to have as much baggage as the others, even if her memories are borrowed at times. As to her perspective when it comes to nation, it is just as problematic. Obejas' understanding of revolution makes her a child of the revolution. "Revolutions are, after all, for the moment. The minute they cease to be the outside challenge, the moment they become the power inside, they shift more than their balance. They demand another upheaval […]" (Obejas Days 1) It is interesting to note that the word revolution could be easily replaced by some other words, such as minor lietratures, and perhaps even nations, if we dare. The result of this audacious replacement would be thought provoking.

Throughout Obejas' writings there is a constant search for ways to express an identity, or two identities, the Cuban and the American. In spite of having left Cuba at a very early age, Obejas' main character Alejandra still remains profoundly Cuban. Much of this identity comes from her parents, particularly her father, who does not want her to forget. But these are not her own memories he does not want her to forget, it is a collective memory, or sense of identity. The father, however, lived through something similar. Where the daughter hesitates between the Cuban and the American identity, the father once hesitated between the Cuban and the Spanish identity, and

finally chose the Cuban identity when it came to searching for or defining his daughter's identity.

"Yet my father --- who wanted so much for me to be Cuban --- was always cautious about identifying himself as Cuban,[…] He admitted, always, to a Cuban birth, but what he celebrated, perversely enough, was his Spanish heritage.[…] What has taken me a lifetime to understand is that my father reached back for his spiritual inheritance to Spain, as if Cuba almost didn't exist, because Spain was scar tissue, whereas Cuba was a gaping historical wound." (Obejas Days 17-18)

This could very well mean that the nations have shifted. A writer such as Obejas could be reaching to Cuba for spiritual inheritance, because Cuba has become scar tissue, whereas this Nation is the new, gaping historical wound. In other words, perhaps nostalgia and memories are more comfortable dwelling places than those that demand a constant definition and articulation. "As a child, I held Havana out to myself like a secret hiding place, a trump card, the Zion where I'd be welcomed after all my endless, unplanned travels in the diaspora." (Obejas Days 55)

In this search for an identity (or of ways to express the identity), that is in fact a search for language and for nation, memory plays a very important role. It is forever present in the writings of these three Cuban-Americans.

Memory surprises Casal's poetic persona in a New York City bus, memory keeps Prida's SHE persona from becoming ELLA, and vice versa, and one of Achy Obejas' novels is entitled Memory Mambo. In a conversation with Ilán Stavans, Obejas expressed how in her opinion memory was crucial among Cuban exiles and that this has to do with the fact that the relationship with the homeland is ruptured. Later on in that same conversation, when Obejas analyses the differences between immigrants and exiles, she says that the immigrant, "[…] on some level, undertakes the possibility of a new identity with some willingness and transports herself emotionally to a new home. But for the exile, return to the native land – and the true self – is both essential and eventual. " (Obejas Days Readers Guide, no page numbering) The exile is therefore less willing to accept the new home or identity, and holds on desperately to what was left behind. "Native skills – including language, ritual, the way of tuning one's senses – can't ever be taken for granted or lost." (Ibid)

All this seems to contradict what America was all about at a given moment in time. The United States is in fact a nation of immigrants and exiles, most of whom embraced the new country with alacrity. Many gave up their rituals and their language. This "embracing" allowed the immigrants and the exiles to live together with other immigrants and exiles coming from elsewhere.

Precisely, the word melting pot comes from there. A melting pot is where all the flavors combine to form one flavor, whereas all the flavors maintain their individuality in a salad, the Boston lettuce will be buttery Boston lettuce, endives will be endives and radishes, radishes. Now, memory makes salads, and it could very well interfere with the making of a nation.

When Renan defines nation as a soul, a spiritual principle, he states that two things constituted this soul or spiritual principle, and that one of them lies in the past since it is "[…] the possession in common of a rich legacy of memories." (Renan 19) The part having to do with memories, however, does not constitute the whole nation since Renan also affirms, without contradicting himself, that, "Forgetting […] is a crucial factor in the creation of a nation, which is why progress in historical studies often constitutes a danger for the principle of nationality. […] Unity is always effected by means of brutality […]" (Ibid 11) Indeed, for the nation to be formed, the brutality, in other words the past, must be forgotten.

Now the question is: If there is to be a nation, or if a nation is to be narrated and/or stolen, should we privilege memory or forgetfulness? At first glance, there seems to be little room for forgetfulness in these three women writers and I could easily conclude that after having attempted to narrate or steal the nation, they are condemned to remain nation-less because of that

stubborn memory that just won't let go. Nonetheless, the United States, New York, Chicago, Miami, L.A., Jersey City, El Barrio, los many barrios, are precisely where this nostalgia happens, the same nostalgia that Casal is growing weary of when she writes,

"Carajo quería escribir un relato alegre pero siempre me azota esta cabrona nostalgia, la mierda de estar, ser, en la depressión. Me aburro de mí; debía haber tenido el coraje de templarte anoche." (Casal Itinerario 94) Damn it, I wanted to write something light but I am always bound and gagged by this goddam nostalgia, the shit of dwelling, being, in a depressed state. I'm tired of myself; I should have had the courage to make it with you last night. (My translation)

Just as Boelhower reminds us that the nation itself has an ethos and that Walt Whitman rarely expressed any nostalgia for what was forgotten or left behind (Boelhower 21), Casal is announcing something different in those lines from "Love Story Según Cyrano Prufrock." In fact, there could be no immediate need to choose between memory and forgetfulness for there to be nation or to narrate the nation, for one cannot be without the other, and the intense or hysterical will to remember could very well point to something having been forgotten and replaced by something else, a barrio, a nation.

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Title: WORLD PEACE ART INITIATIVES: Concepts and Collaborations through the Arts, Science and Technology

Topic Area: Art and Geography Cross Disciplinary

Presentation Format: Paper Session

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WORLD PEACE ART INITIATIVES:
Concepts and Collaborations through the Arts, Science and Technology

Past CLP research* regarding preparations necessary to move others to new ways of thinking, highlights the role of inspiration emanating from the use of scale or the use of objects of large scale as an essential factor in the creative process. As artists and scientists, the authors, therefore, centered on the fabrication of light- weight large-scale installations, i.e., helium lifted and air inflated forms and the use of light aesthetics and technology, i.e., computer generated laser and lumia imagery.

By the late 1990's as the millennium approached, the authors set as their goal to illuminate the shorelines of Michigan using low-tech light from hundreds of community campfires and laser beaming from selected Michigan Lighthouses. With two years of planning and funding support from the Michigan Council for the Arts and Cultural Affairs, the Michigan Technology Council and the Fetzer Institute, the Michigan Millennium Project became well known with support from Michigan Governors and State Senators. Time and funding allowed for the selection of only one county for rehearsal so with Global Positioning Systems directed by Dr. David Lemberg and Dr. Rolland Fraser, coordinates were plotted for Leelanau County shoreline in the northern part of Michigan. Hundreds of citizens formed community campfires 500' to 1 mile apart and by 9:00 p.m., October 2000 we could aerially document the illumination with considerable success (see figure 1).

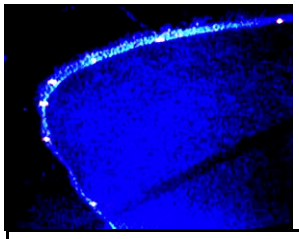


Figure 1
Michigan Millennium Project
Good Harbor Bay, Michigan

Photo Credit: Greg Gantner

The above collaborative process, where Art and Geography coordinated with successful outcomes, prompted the authors to consider large scale installations as sites where artists, educators, students, community leaders, scientists, musicians and dancers might collaborate harmoniously through peaceful relationships at international levels. With funding from Starr Commonwealth, the World Peace Art Initiative (WPAI) Residency met for one week in October 2000 to develop a white paper regarding how countries might develop WPAI installations. Representatives from Peoples Republic of China, Norway, Australia, Italy and USA proceeded to structure potential methods, which would become operational guides for interested nations.

Figure 2
World Peace Residency Hemiflora

Photo Credit - Sue Hardin

* Creative Learning Program, R. Cooper and L. Rizzolo, 1993

A “hemiflora” inflatable sculpture was created onsite at the Residency as a demonstration of the techniques (see figure 2).

In Beijing, China 2001 Professors Chang Zhang and Jiangue Xu and Jian Luo created the first *International Sculpture Symposium* where sculptors from around the world created on-site sculptures related to WPAI themes. In 2002, Norway opened the WPAI *Bjergsted Install 2002* (see figure 3) led by Sigbjorn Berven and Marc Rizzolo with large-scale sculptures and original

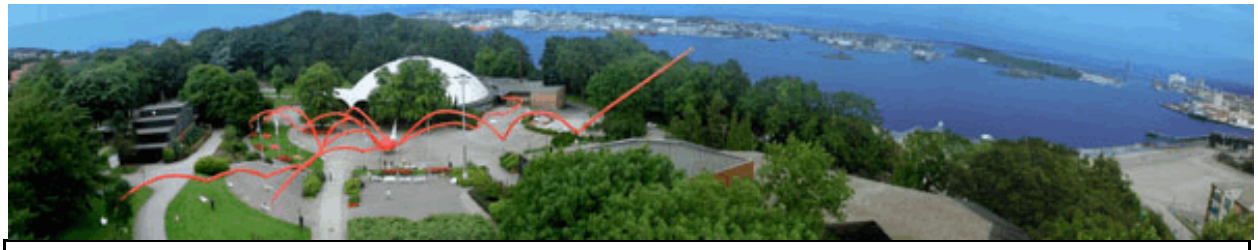


Figure 3
WPAI Bjergsted Install 2002

Photo Credit - Marc Rizzolo

musical works by Clifton Hyde of NYC. *Song of Peace*, the theme of WPAI, sung by a youth choir was integrated and the event was well received by the city of Stavanger, Norway.

Figure 4
Starr Earthwork 2002

Photo Credit - Marc Rizzolo

As these events unfolded, a nucleus of experts, co-facilitated by Nobel Schuler, began preparations in 2000 to develop a 37-acre WPAI crop planting with funding support from Starr Commonwealth through Starr Commonwealth President Arlin Ness and the W.K. Kellogg Foundation called *Starr Earthwork 2002* located in central Michigan at Albion, Michigan on the Starr Commonwealth Campus (see figure 4).

As *Starr Earthwork 2002* plans were unfolding, Harry Williscroft led the development of the 4th WPAI *Southern Cross* staged in March 2003 in Devonport, Tasmania, Australia (see figure 5). This large-scale installation designed with telephone poles and air force cable forming the Southern Cross constellation covered 20 acres where 1250 Peace Banners created by children from Tasmania and USA was on public display.

Figure 5
Southern Cross, Devonport, Tasmania, Australia

Photo Credit: Harry Williscroft

Figure 6
Albania Skye, designed for Tirana, Albania

Image Credits: Brikena Boci and Lou Rizzolo
Design Credits: Dave Lemberg and Marc Rizzolo

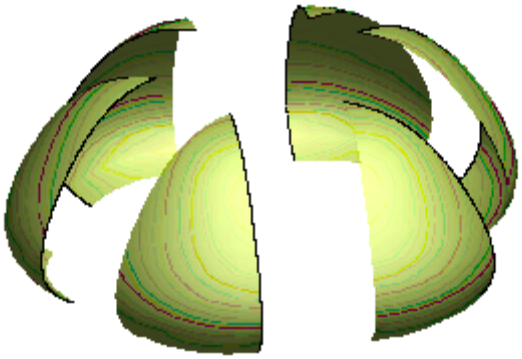


Figure 7
Kerala Dome, designed for Kerala India

Image Credit: Jerry Jacobs and Lou Rizzolo

Currently plans are being developed for a WPAI installation in Tirana, Albania *Albania Skye* (see figure 6) led by Zef Nikolla and Kerala, India (see figure 7) led by Al and Victor Panikulangara proposed for 2005/2006.

The story of how a group of Artists and Geographers is as instructive as the techniques developed as a result of that collaboration. The following is a description of how cross-disciplinary collaboration resulted in the development of a methodology used to create *Starr Earthwork 2002* at the Starr Commonwealth School in Albion, Michigan.

On a bright Spring afternoon in March of 1999, Dave Lemberg, a Regional Planner in the Geography Department got a phone call from Lou Rizzolo of our School of Art. Lou had a few questions on a large Landscape Art project he was conceiving called the *Michigan Millennium Project* (for more information, see http://www.worldpeaceart.org/mmp/index.html - Peter Middleton, Webmaster). The vision of the *Michigan Millennium Project* was to outline the State of Michigan with bonfires on the Great Lakes shorelines of Lake Superior, Lake Michigan, Lake Huron, as well as Lake St. Claire and the Detroit and St. Mary's Rivers. He wanted to know for future artistic planning, how this display could be photographed from space all in one instant, to capture its short-lived existence for prosperity. The short answer to the question was "not easily."

What followed was a short discussion on how the "Earth from Space" photographs that one sees are not really satellite photographs. Rather, they are really composites of multiple images of cloud-free shots from many passes of satellites. These mosaics are constructed over potentially a six-month period. Wanting to discuss it further, and to see if there were alternative methods to yield a Statewide image, we arranged a meeting the following week. Rolland Fraser, a Remote Sensing specialist, was brought into the discussion to add perspectives on technology and logistics to be considered.

Artists wishing to apply science and scientists learning to create art - this led to a very interesting discussion and exchange of ideas. The Artist learned much about satellite imaging and pixel resolution, map generalization, GIS, and GPS. The initial vision of a State lined with campfires at one-mile intervals, photographed by a passing satellite was found to be infeasible. The bonfire outline, of approximately 3,000 locations at first rough estimate, wasn't the hard part. The likelihood of the entire State of Michigan being cloud-free is very low at any time of year, and the tracks of the satellites aren't set to include the entire State in one pass. To get the entire State in one image, a sensor would need to be pointed at Michigan during the event, possibly from the Space Shuttle or the International Space Station. Of course getting a special photography session added to an astronaut's task list would be possible, but a quick phone and email inquiry, even with supportive endorsement from congresspersons, wouldn't establish such a project as high mission priority.

The initial vision of evenly spaced campfires was also modified. Campfires wouldn't be visible beside city lights at the resolution of a photo of Michigan from space, so the fires would only be needed (and visible) in unlighted rural coastlines. The fires wouldn't be evenly spaced, but rather spaced to outline the coastal features of the lakeshore. The location of the fires would be a technical map generalization problem to highlight the shape of Michigan at the scale of the aerial photography or satellite imagery. Also, in reality, some bonfire locations offered only limited,

even prohibitive accessibility to the shoreline features. The discussion made clear that locating the campfires was not a simple problem, and there were real advantages in using GIS for locating the campfires and visualizing the results.

The Geographers learned that Art isn't only in the images, but also in the experiences. After making clear that the initial vision of a Statewide space image wasn't feasible, the Geographers assumed that was the end of the discussion. In fact, that was just the beginning. They quickly learned that Art is more than simply a "big picture." Art can be in many visual perspectives, but Art is also in the experience of participation. If the event couldn't be done for the entire State of Michigan, it could be done for a stretch of coastline. If the event couldn't be photographed from space, it could be photographed from a plane, or from a hot air balloon, or from a hilltop, or from the ground, highlighting a variety of smaller portions of the project (and the people involved at each site). Making images is important, but equally important is to gather a group of participants to enjoy the experience of collectively making something of beauty for a purpose.

Both the Artist and the Geographers learned that Landscape Art is a complex spatial problem and can be enhanced by applying the tools and techniques from a reverse perspective of the sciences. Normally, science is used to interpret patterns and images to yield information of the land; here, we were tasked as a group to create an image that could be interpreted from air or space. It was agreed that much could be done by Geographers for the *Michigan Millennium Project*, mainly to support the logistics of the bonfire locations. The following year a demonstration project was planned in Leelanau County in the Northwestern Lower Peninsula of Michigan. ESRI's Arcview 3.3 GIS ™ was used to overlay the road network and shoreline characteristics. The resulting map showed a likely stretch of coastline at Good Harbor Bay at Sleeping Bear Dunes National Seashore. Bonfire sites were located to highlight the curve of the shoreline. The mapwork done, the Geographers assumed that the collaboration was complete, having added one more task to the list of odd applications of GIS (see figure 1).

Actually, this was only the start of the collaborative relationship. Lou called his new friends in Geography to ask if they might give a presentation to an international group of artists coming to Michigan in October of 2000, as part of the *World Peace Art Initiatives*. The World Peace Art Initiatives' mission is "to focus on promoting global peace through the collaborative, creative planning of large-scale outdoor artworks to be carried out subsequently at sites in five participating nations: China, Australia/Tasmania, Italy, Norway, and the United States." Further, "the project's teams and its co-facilitators (Lou Rizzolo and Nobel Schuler) believe that the human creative spirit is a common link among all culturally diverse peoples; that the creative process, realized through collaboration and intercultural connections, is a major factor in retaining and promoting a more peaceful, harmonious, and productive global society; that a creative, collaborative ethic can help bring order out of chaos; and that such concepts are transferable to other ways and conditions of life, and therefore contribute to a more qualitative way of life. They further believe that the arts are conduits to such learning and peaceful outcomes. Thus, the teams of international art leaders, carefully selected and professionally facilitated, can indeed arrive at appropriate plans for implementing strategies for world peace."

Lou wanted a presentation on how geographic tools could be used to plan and implement landscape art – using technical methods to help construct a pattern and process on the land (for more on the *World Peace Art Initiatives* and to see color images of the artworks, see: http://www.worldpeaceart.org/) .

We gathered at the Starr Commonwealth School (http://www.starr.org) facility near Albion, Michigan. It was the ultimate interdisciplinary professional workshop. All parties brought forward their best information to make the projects work, for Michigan and the other international sites. The geographic presentation included an introduction to spatial concepts (scale and map visualization) and spatial tools (GIS, remotely sensed images, and GPS). The core of the presentation was a five-step process for using GIS and GPS for design:

Step #1 - Get a base map into the GIS

- Can be a map or an airphoto
- May also be a 3-D projection (Digital Elevation Map)
- Must be projected so that distances on the screen translate into distance and location on the ground

Step #2 Lay out your design

- May use drawing tools or overlay shapes and images over the basemap
- Layering on a basemap will allow many alternatives and views
- With 3-D projections, one can visualize viewsheds from any perspective

Step #3 Derive locations of outline points

- May be any units (Latitude-Longitude, State Plane, UTM, etc.)
- Should number and label all points to create waypoints for endpoints, arcpoints, and vertices of lines, curves, and polygons

Step #4 Enter waypoints into the GPS

- Create table of point locations and coordinates
- Upload the table from the computer to the GPS unit

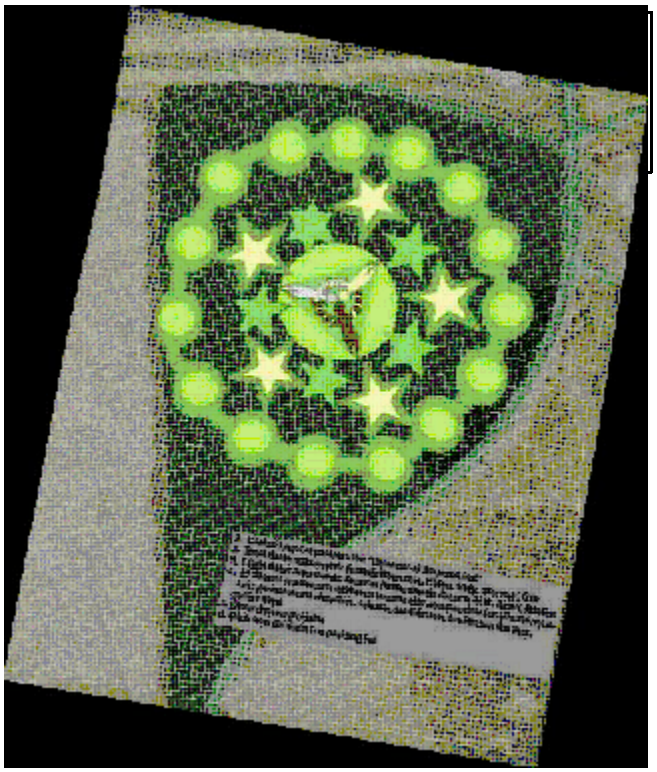
Step #5 Locate and mark waypoints

- Energize the GPS unit and wait for satellite acquisition
- Use the unit as a homing device to find each waypoint
- Mark each waypoint with a visible and stable marker
- Continue through the table of waypoints until all points are marked

A 37-acre corn and soybean field beside the Starr Commonwealth facility was to be the site of the next year's landscape art project, so the session included a field trial to demonstrate the five-step design and layout process. A georeferenced aerial orthophoto of the field was imported into the GIS. A figure of a "star" 500 feet in diameter was overlaid onto the image of the field. Vertices of this star were digitized and the coordinates were downloaded into a Trimble Pathfinder Pro GPS unit. The group then walked to the field where each vertice was located with the GPS unit and were physically marked with one of the participants so that the field was covered with a group of artists in a star formation (see figure 8).

Figure 8
World Peace Residency GIS Demonstration
Starr Commonwealth School, Albion, Michigan

Photo Credit: Lou Rizzolo



As a result of this demonstration, the Artists immediately saw the advantages of using Geographic tools in planning landscape art.

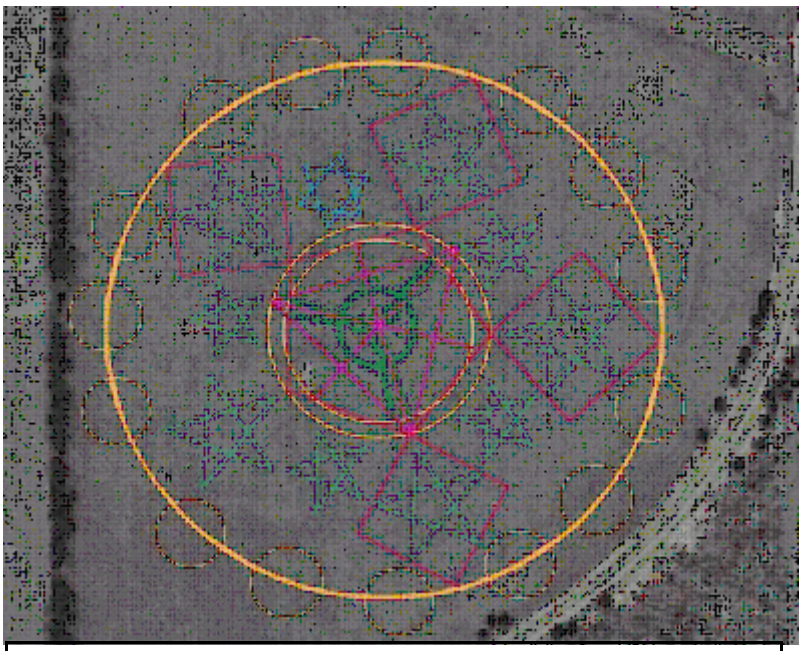


Figure 10
Field Layout in GIS

Design Credit: Dave Lemberg

Good deeds don't go unpunished, so the Geographers were recruited to assist in the design and layout of the World Peace Initiative U.S. earthwork at the Starr Commonwealth School in 2002. Lou Rizzolo and Nobel Schuler developed an artist's conception of the earthwork - a series of concentric rings with a central image of three human figures joined hands within a circle, within a ring of five large stars and five small stars (with one of the stars a Star of David), within a ring of circular "moons"in a circle (see figure 9). The geographer took this design and adapted it for the constraints of crop art, eliminating overlapping shapes,

inscribing the large stars in blocks of corn plantings, and the other shapes in ways that they might be easily placed and mowed in a ryefield matrix (see Figure 10).

The project was to be temporal – and temporary. The field is an active working farm production site, and one our goals was that impacts of the project would be erased in the next yearly cycle of field preparation and planting. To add more to the disciplinary mix, we sought input from the farmer, Mike Murphy, for logistics and a deeper understanding of what to expect from the crop plants we would use. At first, within the GIS framework, then carried into field practice, we arrived upon a sequence of preparation and planting to create the pattern. To meet constraints of the farm tractor and equipment, we began with a plan to plant squares of corn for the main segments of the pattern, and then mow the outline pattern of the stars. A pentagon was inscribed within the center circle, and the five large squares were anchored at each vertice (see the red squares in figure 10 above). Stars were then inscribed in each square and smaller stars placed between each square. The entire field was to be planted in rye except for the five squares of corn. The outer circle of "moons" was then drawn around the stars. All shapes would be mowed into the mature crops.

Coordinates (latitude and longitude) were obtained for the center point of each circle and the vertices of the stars and squares using the spatial reference tools in GIS. On May 10, 2002, the first GPS flagging session marked the center of the large circle and the vertices of the five corn squares. This allowed Mike Murphy to plant the five squares of corn and spread rye seed over the rest of the field. On June 20th, 2002, the second flagging session marked the vertices of each star and the centers of each "moon" in the sprouting grain. Each point was flagged with a bamboo stake topped with a colored flag to be easily seen as the corn and rye grew taller (see figure 11).

Figure 11
Staking in the Rye

Photo Credit: Kevin Hare

In August, the grain had grown tall enough for mowing. On August 16th, 2002, we marked the stars and circles for cutting. An athletic field marking machine was used to spraypaint lines to guide the mower. Lines were drawn between the vertices of each star. The corn outside of the lines in the large stars was cut off at the ground and removed. The smaller stars were inscribed using a lawn tractor, mowing along the lines between the vertices in the tall rye grass. For the circles, we used the same techniques as the British "crop circle" hoaxers - circumscribing the figure with a cord on a central pivot. Using the lines, the farmer mowed the figures into the field (see figure 12). As an amusing aside, there was much interest in the project from the media as a result of the release that summer of "Signs," the Mel Gibson - crop circle / alien invasion film while we were making large circles in a field.

Figure 12
Starr Earthwork, August 2002

Photo Credit: Marc Rizzolo

In September, the final field layout trip drew the central human figures using precalculated offsets to locate the heads, arms, and legs of the figures. From the center of the main circle, the centers of the heads were measured out at 120˚ intervals. The points for the neck, shoulders, and legs were located at symmetrical angles and offset distances from the centers of each head. The outline of the heads and the circle of the arms between the three figures was inscribed using the "crop circle" pivot technique. A ring around the figures was marked to be replowed to earth as a base for campfires. This completed the work of the Geography team on the project.

Figure 13
Starr Earthwork - October 5, 2002

Photo Credit: Marc Rizzolo

The Artists enhanced the basic earthwork with a central 300' illuminated inflatable sculpture, *Hemi Flora Peace Sculpture*, outlines of three figures using paper lanterns (symbolizing the peaceful integration of the races), and 300 9' by 9'peace banners designed by local adults and school children.

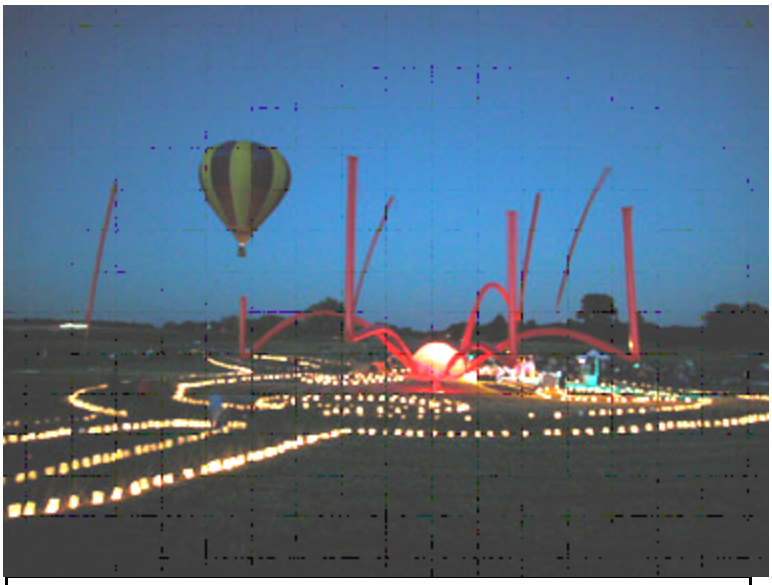


Figure 14
Starr Earthwork - Early Evening

Photo Credit: Marc Rizzolo

On October 5th, the earthwork was opened to the public and illuminated in the evening (see figures 13, 14, and 15). A small airplane was contracted to fly over the site, with a photographer recording different angles and perspectives throughout the day. All attendees became participants in the work as they stood in groups around the patterned acres in the shadowed late afternoon. Interpretive dance, music and multi-cultural sharing capped off the day, with events running into the late evening.

Figure 15
Starr Earthwork - Hemiflora

Photo Credit: Marc Rizzolo

Overall, this collaborative experience was both educational and enjoyable. The Geographers learned through this experience that scientists can be artistic, even when they previously believed that they had no artistic talents or training. The technical expertise that geographers normally apply to the analysis of spatial problems can legitimately be applied to artistic expression. Artists learned that artistic vision can also be perceived and interpreted as spatial problems. The scientific tools and techniques of the Geographer can be applied to artistic inspiration to better implement a design on a landscape-sized tableau.

Stories of the Heart: A Process Oriented Approach to Mentoring Students in Film-Making

Cross-discipline (Film, Philosophy, Dance)

Paper Presentation

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Introduction

Working across the disciplines to create a new generation of filmmakers, Dennis Packard, Raymond Robinson, and others at Brigham Young University coordinate and mentor students from a variety of departments as they write and film stories and novels.

Building on a foundation of process philosophy, all aspects of production are guided with the belief that every decision, every activity, and every present detail affects the players, the product, and the audience.

First, stories are identified and written by students in humanities courses. Then in a cross-listed course, students studying acting, dance, photography, film, instructional technology, graphic design, and philosophy collaborate as they use improvisational exercises to develop responsive awareness and generate blocking for actors and cameras. The finished pieces are produced as part of *Stories of the Heart*, an original series for BYUTV, airing via satellite worldwide.

Process

Lifesong Stories and Films, an interdisciplinary group at BYU, has been teaching students how to tell meaningful stories using religiously and philosophical grounded approaches. Terry Olson, of the Department of Marriage, Family, and Human Development, has brought to students his therapeutic understanding of moral stories. Dennis Packard, of the Philosophy Department, recently completed a second PhD in Theater and Film at BYU and, based on his dissertation, wrote a book for students on how short filmable stories and novels can be written and filmed. Each Fall, Terry Olson and Dennis Packard, sometimes with the help of Bruce Jorgensen of the English Department, teach a course on writing these stories and novels. Students are introduced to process philosophy and its ways of thinking about people and their problems.

Some of the stories produced in these writing courses are selected to be produced as short films. Packard and Robinson teach a course during the winter semester titled *Philosophy, Dance, and Film.* During this 14-week course, students read philosophical writings by Sartre, Dewey, Whitehead, Doris Humphries, Isadora Duncan, and others, developing a foundation of process-oriented approaches to creativity. In practice, the students develop improvisational approaches to generating both physical and vocal responsiveness in actors, and blocking for actors and cameras that has meaning in context of the film narrative.

Small groups of students are responsible for the production of each short piece. They hold auditions, rehearsals, and generate storyboards and rough video drafts, experimenting with different filming approaches. Each phase of production is discussed and critiqued by faculty and students. When the piece is

ready for final shooting, all students in the course join to form the film crew. Students involved in the course tend to come from three colleges on campus: Humanities, Fine Arts and communications, and helath and Human Performance. As the pieces move into post-production, students in recording and music majors create original scores for the films, and other students work on color and sound correction, titling, and credits. The short films produced so far will begin airing early this year on BYUTV, a satellite television station originating from campus, carried among others by the Dish Network.

Lifesong has recently agreed with Royalton Press in Boston to produce for publication six novels each year, and has begun pre-production work on its first feature-length film. This film will be produced using the same course as the short films, with groups of students reading, thinking about, and improvising for the entire novel, but specifically assigned to smaller portions of the whole project. By the end of the semester, students will shoot a rough draft version of the film and will have completed a production schedule and storyboards The final shooting, on high definition, will be during spring 2005.

A class of five principle actors and eleven students who have been filming short pieces for Lifesong for over six months will do all the preproduction work for filming this feature length film. Before the beginning of the semester, the actors are chosen and locations selected. During the semester, the actors will be thoroughly rehearsed, and the camera and actor movements thoroughly planned. Lighting and art direction will be carefully worked out. During the course of the semester, actors will perform a simple, live performance of the piece to an audience who will give feedback as plans for shooting the film crystallize. By the end of the semester, a rough draft will be filmed of the entire piece with a DV camera. Assuming the rough draft is engaging to audiences, the film will then be shot Spring term, for approximately $30,000 ($16,000 for student internships, $10,000 for food, and $4,000 for mentors), with a high definition camera and quality lights owned by Lifesong. All the students will fulfill creative roles, such as producers, directors, art directors, cinematographers, and acting coaches. Assuming that the high definition DVD is again engaging to audiences, Lifesong will approach distribution companies who have expressed interest in distributing their films to theaters.

The Lifesong website is designed to serve not only customers and financial supporters of the project, but also to engage aspiring filmmakers and storytellers in this process. Visitors are shown how to think about agency in the most moral films and the most moral moments in films. They are then assisted in exploring their own family histories and coming up with story material grounded in the best films about family life.

Conclusion

Funded by initial grant money, the directors of Lifesong anticipate that funds generated from the theatrical release of this first film, DVD sales of both the feature film and short films, sales of stories and novels, and continued donations of time and money from established industry professionals will make this organization entirely self-sustaining. By means of a process-orientation, it provides a unified opportunity for students across disciplines to see and participate together in practical projects using their discipline-unique skills and perspectives.

Processing of Spanish Future Tense

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Processing of Spanish Future Tense

Abstract

In this small-scale study I examined two hypotheses:

1. When language learners process input, they focus on lexical cues more than on grammatical items (i.e. verb inflection).
2. More proficient learners depend less on lexical cues and more on morphology.

The present study was inspired by Lee *et al.*'s 1994 study of the same phenomenon, and partially replicates it. I used the same materials and instruments: a passage with and without lexical items, and Free Recall and Tense Identification (multiple choice) tests to assess Spanish learners' perception of future tense. The results show that overall the group that listened to a passage with lexical cues performed better than the group that did not get lexical cues, and that proficiency level did not affect performance (contrary to my expectations).

Introduction

This study is a partial replication of Lee, Cadierno, Glass, and VanPatten's (1994) study, *The effects of lexical and grammatical cues on processing past temporal reference in second language input.* In their study Lee *et al.* examined the hypothesis that when second language (L2) learners process input for semantic information, they focus their attention on lexical items (for example, adverbs) as opposed to grammatical items (morphology). Lee *et al.* presented the analysis of the results of their investigation in which university students of Spanish assigned verbal tenses under 2 conditions: lexical cues plus verb inflection and verb inflection only. The researchers had subjects from 3 different proficiency levels in order to compare the results and to see whether there is a change in pattern related to language proficiency and whether the role of lexical cues changes with proficiency level. The study by Lee and colleagues did not orient subjects to certain features of input; rather it focused them to listen for meaning.

Various language researchers have studied L2 learners' processing of input for meaning. VanPatten (1985,1992,1996) has concluded that learners process input for meaning before they process it for form. According to Peters and Sharwood Smith, language learners' attention is directed toward meaning when processing input.
VanPatten believes that learners process content words before anything else in order to construct the meaning of sentences. Also he claims that language learners prefer processing lexical items rather than grammatical forms if they wish semantic information. The research studies show that learners typically mark time early in the acquisition of verb morphology through lexical items (*ayer, la semana pasada, anoche,* etc.) and only later start using verb inflection (Bardovi-Harlig, 1992 and 1986; Klein, 1994).

Having read the Lee *et al.* (1994) study, I decided to partially replicate it and compare the results. The original study focused on past temporal reference. The current study focuses on future temporal reference. Subjects from 2 proficiency levels participated in this study whereas Lee compared 3 proficiency levels. My goal was to find out answers to the following research questions:

1. What is the effect of lexical cues on perception of verbal tense in the listening comprehension of intermediate Spanish learners?
2. How is the perception of future tense affected by proficiency level?

The Sample

The subjects were 12 university undergraduate students enrolled in an intermediate Spanish course taught by me. All subjects were native English speakers and did not know any other foreign language according to self-report. There were 8 male and 4 female subjects. All of them previously had had at least 2 years of Spanish instruction in High school and at least one university level Spanish course. Although all the subjects were in the same class, their L2 proficiency varied. Therefore, I divided them into 2 sublevels: intermediate-high and intermediate-low. I based my judgment on my knowledge of the students' language skills. Stratified quasi-random sampling (selection not entirely by chance) was used to divide students into 2 groups for the purpose of administering the measures (see below) (3 intermediate-high (IH) and 3 intermediate-low (IL) level students in each group).

Instruments

I used the same instruments as Lee *et al.* did in their 1994 study. Since the current study was a replication of Lee *et al.* (1994), except for the focus on future instead of past temporality, the instruments were not piloted. I composed and recorded a passage with lexical cues for Group 1 and the same passage without lexical cues was used for Group 2. It called for having respondents listen to the content. They were told that their comprehension of the passage would be assessed after listening to it twice without taking notes. The first assessment task was free recall/reconstruction of content. This task called for having the respondents write down either in Spanish or English everything they could remember about the passage. The respondents were not required to preserve the chronological sequence nor to use complete sentences. The grammar focus was future tense. The second task called for multiple-choice tense identification. There were 10 questions on this test. Each item contained an infinitive form of a verb (to convey lexical meaning only) and specific information from the passage. The respondents were to indicate whether these events had happened (past), were happening then (present) or would happen afterwards (future). They were given these 3 choices of verbal tenses for each question. Three out of the 10 questions were used as destructors and I excluded

them from assessment. Therefore, 7 was the highest possible score. (Samples of the tasks are in appendices).

Data Collection Procedures

The participation in the study was absolutely voluntary and anonymous. All the subjects signed a consent form allowing me to use their test results for the study. In order not to increase the participants' attention/caution to certain forms, which could have influenced the results, they did not know what aspect of language acquisition was being investigated.

The entire activity for each group lasted for approximately 30 minutes. It was a part of the lesson because future tense was integrated into the program at this point in the course. Although the students had been familiar with future tense, prior to the experiment we had only implicitly reviewed it in class. Since the data collection took place right before the Spring break, we talked about students' plans for Spring break using future tense. The vocabulary used in the passage was very basic and all the verbs were regular in order not to impede students' comprehension of the content. The passage was about vacations, student life in general, and professional career. While I monitored one group, the other group was given a task and worked on it in another classroom. The experiment took place in a regular classroom where the class usually met.

Data Analysis Procedures

The data were analyzed using the SPSS statistical package. I ran 3 programs: descriptive statistics, cross-tabulations with chi-squared, and correlation using Spearman's rho. Chi-squared was conducted to determine whether the spread of the numbers in the crosss-tabulations was random (due to chance) or whether it had some pattern to it. According to Porte, "[T]he test is based on the chi-squared distribution, the most common use of which is to test differences between proportions. The greater the difference between observed and expected frequencies, the more likely the result is to be significant." Since I had a limited number of subjects (12) and the correlation was not linear, Spearman's rho was chosen to determine the significance of correlations. Porte

states, "…Spearman's rho may also be a better indicator that a relationship exists between the variables when that relationship is non-linear."

Results

My first research question was: What is the effect of lexical cues on perception of verbal tense in the listening comprehension of Intermediate level Spanish learners?
The Tense Identification (multiple-choice) task was far easier than the Free Recall task with mean of 5.7 out of 7 versus 3.2 out of 7 (see Table 1). Standard deviation for the Tense Identification task was 1.36, showing that the subjects' performance homogeneously high. The standard deviation for the Free Recall task was 2.01, showing that there was more dispersion around the mean.

Table 1

Descriptive Statistics for Tasks

	N	Range	Minimum	Maximum	Mean	Std.Deviation
Free Recall Task	12	6	1	7	3.25	2.01
Tense Identification (multiple- choice)	12	5	2	7	5.75	1.36

Further statistical analysis revealed a significant effect of lexical cues. Overall, respondents who listened to a passage with lexical cues did better than those who listened to the same passage without lexical cues. Spearman's rho correlation was used to test the effect of lexical cues on performance.

On the Free Recall test performance was not significantly better with the lexical cues, but there was a tendency in that direction (.45) (see Table 2). On the Tense identification task performance was significantly better with the lexical cues (.70). The total for the 2 tasks is (.64), which shows that performance with the lexical cues was significantly better for the two tasks combined.

Table 2

Performance on Spanish Future Tense with/without Lexical Cues using Spearman's rho

Free Recall Task	.45
Tense Identification Task	.70*
Total	.64*

$p < .05$

My second research question was: How is the perception of verbal tense affected by proficiency level? The findings indicate that the subjects' proficiency level was not important, that is to say that proficiency level did not affect the subjects' performance (see Tables 3 and 4). After analyzing the correlation of proficiency level and performance on both tasks (using Spearman's rho; see Table 5), I would conclude that more proficient students did not do better than less proficient students. Thus, my expectations were not met: I expected the intermediate-high proficiency level students to do well and intermediate-low proficiency level students to do poorly.

Table 3
Proficiency Level by Free Recall Task

Free Recall Task Scores

Number of correct answers	1	3	4	6	7	Total
Proficiency Level: IH	2	2	1		1	6
Proficiency Level: IL	2		3	1		6
Total	4	2	4	1	1	12

Table 4
Proficiency Level by Tense Identification Task

Tense Identification Task Scores

Number of correct answers	2	5	6	7	Total
Proficiency Level: IH	1		3	2	6
Proficiency Level: IL		2	3	1	6
Total	1	2	6	3	12

Table 5
Performance on Spanish Future Tense
by Proficiency Level
using Spearman's rho

Free Recall Task	-.12
Tense Identification Task	-.18
Total	.00

This statistical test showed no effects of proficiency on performance on either task.

Discussion and Conclusions

This study was carried out to look at the effects of lexical and grammatical cues on processing Spanish future tense. It was a partial replication of the Lee *et al.* (1994) study. Subjects listened to one of two versions of the input passage. One group heard a narrative with seven targeted future tense verbs encoded morphologically and with seven lexical cues to temporal references. The other group heard the same passage, but without lexical cues. After listening to the passage twice, the subjects had to reconstruct the content in order for me to determine what information they understood and stored as the tense of certain events in the passage. Then they had to identify the tense of some events

described in the passage. Subjects from two proficiency levels participated in this study so that I could observe whether any developmental pattern exists.

There were 2 major limitations of this study:

1. A limited number of subjects
2. The tasks were administered only once. Had there been multiple administrations of the tasks, the results may have been more definitive.

Some earlier studies (on discourse level processing) show that focus on form may result in loss of meaning (Bransdorfer, 1991; Hulstijn, 1989; VanPatten, 1990). According to these studies, however, if learners' attention is not oriented on form, they do not lose meaning. In their 1994 study, Lee *et al.* did not orient learners to any feature of the input, but rather asked them to concentrate on listening for meaning.

The analysis of the Free Recall task (reconstruction of content) indicated that those learners who listened to a passage with lexical cues understood and remembered (retained) more information than those who had grammatical cues only. These findings correspond to the results of Lee *et al.* (1994). I also observed the effect of lexical cues on the Tense Identification task. Therefore, the results of both post listening tasks reveal the effect of lexical cues on perception of verbal tense in the listening comprehension. Nevertheless, Lee *et al*. concluded that although lexical cues were important for content reconstruction, they did not significantly improve tense recognition. This difference may be due to a number of reasons: a possibility of guessing on the multiple-choice test and also the limited number of participants in this study, which impeded more profound data analysis. Overall, scores on the Tense Identification task (multiple-choice) were higher than those on the reconstruction of content. Perhaps this happened due to the fact "that prompted response tasks yield higher scores than more open-ended tasks" (Berne, 1992; Lee, 1987; Shohamy, 1984; Wolf, 1993).

Another important finding of the present study was that proficiency level did not affect the subjects' performance, whereas Lee *et al.* (1994) study demonstrated a consistent pattern of developmental differences: more advanced students performed better than their less advanced peers. Again, since in the present study there were only 12 participants, it is hard to dispute Lee *et al.*'s findings. In addition, we had one quite advanced student who surprisingly performed very poorly. His scores affected the total

score of the Intermediate high proficiency students. This fact may have influenced the results.

My expectations were not met: I expected that more proficient participants would outperform their less proficient peers. I am still not very convinced with this finding and not sure if it is credible because it seems logical that for more proficient language learners grammatical cues become important. Therefore, I believe that in the future it would be useful to conduct a similar study with a larger number of participants from a wider range of
proficiency levels. These conditions would be needed for such study to be conducted satisfactorily.

There is at least one pedagogical implication for this study. Since the current study demonstrates that lexical cues are helpful for tense recognition, it may be beneficial for students if teachers add more lexical items to the written texts, and to the listening and oral activities in order to improve comprehension (especially for the beginners).

More research is needed to determine how language learners' attention may be directed to the meaning of a message and at the same time to the formation of form-meaning connections or in other words to the attachment of meaning to form. Future studies may clarify this topic.

Acknowledgements

I would like to thank Professor Andrew Cohen for his guidance in conducting this study.

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Appendices

Post-listening activities

1. After hearing the narrative, please write down **in English or in Spanish** what you remember about the passage. You are encouraged to write down any information you can remember no matter how general or specific the information is. The organization does NOT matter. Full sentences are NOT required as long as you think that I would be able to understand your ideas.

2. **Tense Identification test**. The following phrases refer to events in the passage you just heard. Indicate whether the action occurs (present), occurred (past) or will occur (future).

1. **Ir** de vacaciones a México con Pablo

a. Present
b. Past
c. Future

2. **Llamarse** Carmela

a. Present
b. Past
c. Future

3. **Ir** a México sola

a. Present
b. Past
c. Future

4. **Regresar** a Minneapolis para terminar los estudios

a. Present
b. Past
c. Future

5. **Tener** examenes finales

a. Present
b. Past
c. Future

6. **Celebrar** la graduación con los amigos

a. Present
b. Past
c. Future

7. **Ganar** un premio en un concurso de cocina

a. Present
b. Past
c. Future

8. **Buscar** el trabajo en los hospitales de Minnesota

a. Present
b. Past
c. Future

9. **Empezar** la carrera profecional

a. Present
b. Past
c. Future

10. **Graduarse** de la universidad

a. Present
b. Past
c. Future

Narrative with lexical and grammatical cues

¡Hola! Me llamo Carmela. Quiero compartir con Ustedes mis planes para el futuro. *En una semana* mi novio Pablo y yo **iremos** de vacaciones a México. Allí vive mi familia, en la ciudad de Guadalajara. Me gusta pasar las vacaciones con mi familia. El año pasado también fui a México. *En dos semanas* **regresaré** a Minneapolis para terminar mis estudios. *En mayo* **tendré** muchos exámenes finales. *El 5 de junio* **me graduaré** de la universidad. *Después de la ceremonia* mis amigos y yo **celebraremos** mi graduación con una fiesta. Me encanta bailar y charlar con mis amigos. Soy muy sociable. También me gusta cocinar, sobre todo los platos mexicanos hasta que una vez gané un premio en el concurso de la cocina. Como soy enfermera, *el próximo verano* **buscaré** el trabajo en varios hospitales de Minnesota. *Al encontrar trabajo*, mi carrera profesional **empezará**.

Narrative without lexical cues

¡Hola! Me llamo Carmela. Quiero compartir con Ustedes mis planes para el futuro. Mi novio Pablo y yo **iremos** de vacaciones a México. Allí vive mi familia, en la ciudad de Guadalajara. Me gusta pasar las vacaciones con mi familia. Fui a México dos veces para pasar las vacaciones. **Regresaré** a Minneapolis para terminar mis estudios. **Tendré** muchos exámenes finales. **Me graduaré** de la universidad y mis amigos y yo **celebraremos** mi graduación con una fiesta. Me encanta bailar y charlar con mis amigos. Soy muy sociable. También me gusta cocinar, sobre todo los platos mexicanos hasta que una vez gané un premio en el concurso de la cocina. Como soy enfermera, **buscaré** el trabajo en varios hospitales de Minnesota. Mi carrera profesional **empezará**.

Title Page

Title of the Submission: Collaboration Studio: Bridging the Gap between Design Disciplines

Submission Category: Reports on Issues Related to Teaching/Paper
Topics: Architecture, Interior Design, & Landscape Architecture
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COLLABORATION STUDIO:
BRIDGING THE GAP BETWEEN DESIGN DISCIPLINES

CONTENT OUTLINE

- PROBLEM/ISSUE
- PURPOSE
- REVIEW OF PRECEDENT
- METHODOLOGY
- DISCUSSION/FINDINGS
- FURTHER RESEARCH
- REFERENCES

PROBLEM/ISSUE

The fact that design disciplines are advancing so quickly, as a repercussion of the digital era, poses a serious problem for not only design schools, but also for design firms: It is almost unrealistic to expect everyone to know and learn everything there is to know about design, design theories, as well as to know about each other discipline and their constant advancement and the peripherals that accompany each.

Likewise, in front of the growing trend toward multidisciplinary design firms, a substantive deficiency of collaboration is encountered between design disciplines—architecture, interior design, and landscape architecture. Concomitantly, the fact that design disciplines are advancing so quickly, as a repercussion of the digital era, poses a serious problem for not only design schools, but also for design firms: It is almost unrealistic to expect every discipline to know and learn everything there is to know about design, design theories, as well as to know about each other discipline and their constant advancement and the peripherals that accompany each.

Similarly, traditionally college professors have used the *passive lecture method*; in which students learn that the authority figure in the classroom is the professor and they must listen and retain the knowledge that is given to them. This has resulted on the one hand on the *elitist* approach (individualistic) where the designer is seen as the sole generator of the environment hence able to alter people's behavior (see Post Modernist approach and New York team 5). In addition, pedagogically, the passive method has yielded an unmotivated student population, lower exam scores and a growing problem of retention.

Nonetheless, the pedagogic exigencies to prepare students for the growing interdisciplinary world (pluralistic or collaborative approach), the need to increase students' motivation, higher exam scores, and retention compelled an alternative method, *active method* that is characterized by two aspects: a) the instructor is no more the sole communicator in the classroom, students' role is no more limited to listen and retain, instead students become active agents in the educational setting, and where b) the learning process is achieved and motivated through collaborative efforts between students and institutions.

PURPOSE

The purpose of this report is to explore the following aspects: 1) Analyze previous years of the collaborative studio experience that brought together students and faculty from three design disciplines—architecture, interior design, and landscape architecture at Texas Tech University. 2) Use of the Myers Briggs Type Indicator (MBTI) to establish successful teamwork and to test design outcomes pertaining to personality types, and 3) identify the consequences of the present collaborative effort.

REVIEW OF PRECEDENTS

The body of literature on pedagogic collaboration has grown rapidly over the last several years. More and more institutions and faculty are adopting collaborative learning into their curricula. Several reasons guide this increase in collaborative efforts. Design firms are becoming, more than ever before, diverse and interdisciplinary where business decisions are made by work teams rather than by individuals. One of the chief reasons for using collaborative learning is that

the growing complexity of our various work environments makes it much more difficult for one person to deal or research issues and make decisions alone.

Perhaps the early works on collaborative efforts go back to the social psychologist and proponent of the advent of environmental psychology, Kurt Lewin, (1951) who stressed the importance of group dynamics as way to understand the behavior of those involved in collaborative works. More recently, Astin (1993) did a study that involved 27,000 students at 309 colleges and universities. He found out that student-student interactions and student faculty interactions both essential components in team work, were the most important influences on academic success and satisfaction.

Cooper, Robinson, & McKinney (1990) emphasized on their research that *cooperative* learning is more effective than *traditional* learning in improving critical thinking, self-esteem, multicultural relations and positive social behaviors. Muir and Rance (1995) in the preface of *Collaborative Practice in the Built Environment* underscored that "the future effectiveness of the industry is dependent on a redefinition of professional roles" (p. xi). Instead of the traditional specialist demarcation, they advocated an interprofessional team approach in order to respond to the current challenges and to look forward to the next century.

Russ and Dickinson (1999) in an early study at the inception of the collaborative course at Texas Tech University concluded that students not only understood the importance of working in interdisciplinary design teams but also conceded the fact that the course when offered as a charette did not permit enough time for student-student and instructors-students interaction. Sten and Hurd (2000) suggest that collaboration help to socialize students, provide a setting for active participation, and create opportunities to offer and receive help. Collaborative works establish group loyalties that counteract the sense of anonymity students often feel in large classes.

Collaboration mediates between students' discipline and individual experiences, providing opportunities for shared reflections.

The necessity for collaboration between different educational disciplines is becoming a critically important for not only students' better preparation for their post-graduate careers, but also to bring educational institutions up to date with regard to the industry's emerging developments.

The challenge for educators, in the present pedagogic world, is not "should we use the collaborative aspect in design, or not; but "how should it be used or how can be more effective in the design collaborative endeavor?" Few design schools have already ventured toward the collaborative teaching, nonetheless most of their experiences and results remain unknown.

METHODOLOGY

The research design encompasses two approaches: 1) The Myers Briggs Type Indicator (MBTI)[1] a personality preference indicator that was administered the first week of class to increase self-awareness, but also to enhance understanding and appreciation of individual differences and ultimately used to test design outcomes according to personality types, 2) a qualitative investigation using a grounded theory[2] approach based on participant observation and design outcome analysis were utilized. 102 students (30 architects, 56 interior designers and 16 landscape architects) constituted the sample population that were split into ten groups, 8 groups

[1] The Myers-Briggs Type Indicator (MBTI) form G, self-scorable version, was used to assess personality type and consisted of 94 questions. Personality models included four basic scales with opposite poles. They are 1) Extraversion (E)/Introversion (I), 2) Sensate (S)/Intuition (I), 3) Thinking (T)/Feeling (F), and 4) Judgment (J)/Perception (P).

[2] A grounded theory is a qualitative research approach that is inductively derived from the study of the phenomenon it represents that is discovered, developed, and verified through systematic data collection and analysis of data pertaining to that phenomenon (Glasser & Strauss, 1990).

included ten students, and two groups of 11 students. An average of 5 interior designers, 3 architects and one to two landscape architects per group.

Data were analyzed using two approaches: 1) analysis of process and design outcome of the conceptual, schematic, preliminary, and final phases, and 2) open coding (Strauss & Corbin, 1990) which consisted of breaking down, conceptualizing, and reconstructing data in new ways.

DISCUSSION/FINDINGS

Preliminary findings suggest several readings that were gathered into two categories: pedagogic and organizational. Pedagogically, the Myers Briggs Type Indicator permitted the grouping of different personality types, reflecting real world team experience that engendered not only diverse composition of student preferences but also very rich design compositions. Nonetheless, the MBTI led sometimes to the grouping of weak teams, although their personality types were different. This may be understood by the fact that individual design skills were not used as a team composition criterion.

Similarly, at the beginning of the course students showed sings of reticence, difficulties communicating with one another, lack of understanding of other disciplines' terminology and services, at later phases of the course, students expressed openness and understanding of each others discipline and services.

In terms of organization, large group size posed major difficulties for both faculty and students. Large group size led to difficulties such as: the coordination of schedules for group work, fairness of involvement of all students in the group, and process of decision making. Similarly, time wise both the architecture program and landscape architecture require 11 hours

for studio courses, however the interior design program require 9 hours, which puts the later at a disadvantage.

FURTHER RESEARCH

This topic of study is worthy of further research for the following reasons: 1) made the necessary changes pertaining to group size and test the effectiveness of the Myers Briggs Type Indicator 2) include not only MBTI in the selection of the teams but also individual design skills, and 3) to approach the collaborative aspect from a psychometric approach i.e., quantitative. Further research could produce interesting answers to these questions, especially at this juncture, when the educational institutions are witnessing a major shift toward collaborative endeavors.

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INTERNALISM AND IRRATIONALITY

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1.) INTRODUCTION

In his "Externalist Theories of Empirical Knowledge" and his *The Structure of Empirical Knowledge*, Laurence BonJour offers a series of counterexamples to reliabilist theories of knowledge. BonJour claims that these counterexamples provide a conclusive objection to reliabilist theories of knowledgebecause they show that, according to reliabilism, a person could have a belief counting as knowledge, but which, nevertheless, seems (epistemically) irrational in light of person's own understanding of the evidence. BonJour's article and book have proven very influential. His counterexamples are arguable the most thorough treatment of this criticism of reliabilism in the philosophical literature and are often treated in the philosophical world as the final nails in the reliabilist's casket.

Interestingly, arguments like BonJour's counterexamples date back to the earliest statements of reliabilism (1976) and arguably do not refute the earliest and most influential version of reliabilism, Alvin Goldman's.[1] Alvin Goldman handles BonJour's counterexamples in his 1979 paper by adding a *no defeaters* clause to his definition of justification, and (in some cases) by interpreting the no defeaters clause to include defeaters that a person is *ex ante* justified in believing. (Goldman 1986, pp.109-113) A person is *ex ante* justified in believing beliefs that they do not have, but which are permissible given a set of right J-rules and what the person does believe.[2]

If BonJour's examples do not refute Goldman's theory, wherein, then, lies the strength of BonJour's objection? Why does Goldman return to these irrationality examples with each new

reformulation of this theory? (1976, 1979, 1986, 1991). I would suggest that the source of the strength of these counterexamples, and especially BonJour's counterexamples is twofold. First, BonJour's examples, as described by BonJour, look intuitively compelling. Second, the type of responses to BonJour offered by Goldman and others look *ad hoc*, and/or significantly out of step with reliabilism. Goldman's appeal to *ex ante* justification, for example, is made solely to deal with cases like those described by BonJour, and is never developed in Goldman's 1986 theory. The appeal to *ex ante* justification, therefore, looks *ad hoc*. Moreover, Goldman's appeal to a no defeaters clause evokes defeasability theory and not reliabilism to fend off these irrationality counterexamples.

In this paper, I discuss these irrationality examples at length, with an emphasis on BonJour. I claim that the intuitive pull of BonJour's examples (and these examples generally) results, not from a weakness in reliabilism, but from rhetorical elements, vagaries, and false psychological presuppositions in BonJour's and other's descriptions. A pure reliabilism like the one that I outline can handle these cases without recourse to the *ad hoc* moves and additional non-reliabilist clauses.

2.) OUTLINE FOR A RELIABILIST THEORY OF KNOWLEDGE

Anyone attempting to develop a reliabilist theory of knowledge must find solutions to three problems. I call these three problems *the problem of levels*, *the characterization problem*, and *the relevance class problem*.[3] The first problem, the problem of levels, concerns how (if?) and at what level one should set the minimum reliability of a process necessary for the process to generate knowledge. The characterization problem concerns how to characterize cognitive processes in order to assess their reliability. The relevance class problem concerns how to delimit the class of uses of a process (class of situations) relevant to determining the reliability of a process.

As regards the problem of levels, BonJour assumes that the reliabilities of the processes he

considers equal 1. While one might doubt that any or many real cognitive processes are perfectly reliable, such an assumption certainly does not beg the question against the reliabilist. I do not, therefore, consider solutions to the problem of levels in this paper. Rather, I claim that BonJour's examples, as he describes them, play upon vagaries and mischaracterizations as regards the characterization problem and the relevance class problem. Towards this end, I do outline a possible solution to both of the latter problems in some detail.

Before offering a sketch of my theory of knowledge, I wish to briefly present a basic outline of computational explanations in cognitive science. In order to fully understand my theory of knowledge, one must understand what I mean by a cognitive task and how the notion of a task figures in specifying a process and a task domain. The computational approach to cognitive science seeks to explain cognition in terms of three conceptual (though not necessarily temporally) distinct stages:

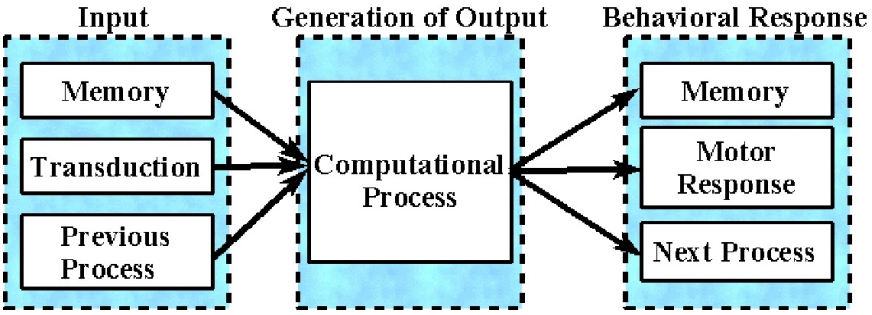

Figure 1: Three Stages

The first stage involves the input of representations, from other processes, from the transduction of physical parameters, from memory, or from some combination of the three. Transduction is thought of as the direct conversion of physical parameters in the environment into representations of those parameters. In the second stage, the system operates upon input, generating other representations as output. The model for this second stage is a computational model, though

the style of computation varies widely. The representations generated in the second stage guide the system's performance in the final stage involving some motor response, input to memory, and/or input to other processes. For example, in explaining how I successfully pick-up objects, the computational cognitive psychologist will talk of (at least) the reflected light input into my retina, the computational processes whereby I infer the nature and location of the object from retinal stimulations, and the motor response utilizing that object representation to perform the pick-up.

A well-specified task description includes the following three elements:[4] (1) A specification of input and output types in terms of an idealized target function that defines success conditions for performing the task. For instance, a planning program has requests and initial state descriptions as inputs and computes plans as outputs. A system computing the successor function has as input, representations of numbers for which one wants the successor, and as output, representations of successors. (2) A specification of the nomic correlations (including statistical correlations) that underlie the system's performance of a task. For instance, David Marr (1976) discusses what he calls the "underlying physical assumptions" of human vision. Marr's assumptions amount to nomic generalizations about the task domain, and include the existence of surfaces, spatial continuity, and so on. (*Vision* pp. 44-51) (3) A specification of the relevant process by reference to the system's laws of operation within the domain, viewing these operations as a strategy or set of strategies for generating outputs from inputs relying upon certain nomic correlations.

The appropriate processes characterization is the one that reflects the cognizer's dispositions across all and only the cases that fall under the task specification. As a result, the process a cognizer is seen to instantiate represents the strategy that it employs in performing the task. The task domain --the set of relevant alternative situations--is determined by the specifications of the nomic correlations that underlie the system's performance of the task. The task specification determines

what one understands to be the system's environment of habitual performance, which in turn determines the task domain. Note too, that the task, and hence the relevance class, will change should the system's environment undergo change or should the system come to inhabit different environments. One evaluates the effectiveness of the process (of the strategy) relative to one's best hypothesis as to the situations that the cognizer encounters in performing this new task.

My theory of knowledge provides one with unique process characterizations and task domain against the background of a well-specified task. However, formulations of task are based largely upon empirical investigation and argumentation as to, for instance, the system's laws of operation, the covering laws operant in the hypothesized domain, and the relative distribution of potential situations within the hypothesized domain. While one will not find widely disparate task descriptions, and hence one will not find widely disparate hypotheses about relevance classes and process characterizations, there remains the possibility of disputes among informed individuals as to the exact formulation of a task.

I am now in the position to outline my reliabilist definition of knowledge. Outputs of a cognitive process count as knowledge iff the outputs are produced from inputs that count as knowledge, by some process, P, in performing some task, T, and the task-specific characterization of the process that produced the outputs has a high reliability in the task-specific relevance class.

One important reason why the theory presented here serves only as an outline is that a complete theory would specify what counts as knowledge for an input. Such a specification is made in part by the recursive nature of the definition. Indeed, in the places where inputs matter, it will be obvious how the recursive nature of the definition can supply them. However, a complete theory should deal with the possibility of innate knowledge, transduced inputs, and memory. Such an account, though too complex to present and defend here, is given in my dissertation, *Representation,*

Knowledge, and Structure in Computational Explanations in Cognitive Science.

3.) RED BARNS

Before turning to BonJour's counterexamples, I wish to consider a different counterexample commonly forwarded against reliabilism. My purpose in considering this counterexample is to give the listener an example of how the above-outlined theory of knowledge applies to cases. It will also illustrate the importance of understanding the relevance class and characterization problems in discussing counterexamples to reliabilism.

The type of example that I want to consider is often attributed to Kripke as a criticism of Nozick based upon an example found in Goldman (1976), though Kripke has never published his version of the barn example. Such an objection might run as follows:[5]

Suppose that one is assigned the task of picking out barns from other building structures in the countryside. As a lifetime urbanite, you are not very reliable at distinguishing barns; but having seen many illustrations, you are very good at picking [out] red barns. It seems that in any given case one can know that there is a barn in the field by knowing that there is a red barn there, even though one's cognitive process is not generally reliable for the task at hand, i.e., even though it is not reliable for distinguishing barns from non-barns generally.

I think that the above description of the actual process of belief formation is psychologically inaccurate. Or, at least, one has a much more psychologically plausible model in Irving Biederman's theory of object recognition. I do not think that adopting Biederman's theory biases the case against the objector. Moreover, if Biederman's theory biases the case against such an objector, I am not sure why that would not further undermine the example. I will, therefore, introduce Biederman's theory and consider the as a example in light of that theory.

The theory I propose to use to frame the discussion, is a slightly modified version of Irving

Biederman's "Recognition By Components" theory of object recognition.[6] I will not expound upon the virtues of Biederman's theory, except to say that it is one of the best documented theories I have come across. Moreover, it has a connectionist model that can do object recognition in real time (about 100 msec). While Biederman's theory is not the final theory for object recognition, it does represent the way in which cognitive scientists think about object recognition, and of cognition in general.

Biederman's theory supposes that the striate cortex codes sufficient information to detect certain types of volumetric primitives, which he calls "geons," and certain primitive spatial relations like *above*. Geons have the desirable property of being recognizable in almost any orientation and in many cases of partial occlusion. By assuming that object representations are computed by first computing the geons and relations involved, Biederman's theory also has the nice feature that the number of detectable object/orientations is very large practically and infinite in the abstract.

Now, in the above example, one knows very little about country buildings. One does, however, know that large red buildings having a rectangular body and extended triangular roofs are barns. This last bit of knowledge proves important. In the terms of the Biederman-inspired object recognition system: One has a barn representation, S_b. One's barn representation gets tokened every time one sees a red building having a rectangular body and a triangular roof. Specifically, S_b gets tokened every time one's *rectangular* and extended *triangle* geons get tokened along with one's *red* and *above* (triangle above rectangle).

Having modified the above example in accordance with Biederman's theory, one should note that the example's task description is actually importantly ambiguous. One distinguishes barns from nonbarns. However, what is the final state (output) of the process? Does the process (task) end with each building that one judges? In other words, is one simply trying to identify buildings on a case

by case basis? Or, is one trying to keep a running total of barns seen?

One must answer these last questions before one can answer questions like? Does one's tokening of S_b constitute knowledge? If the *rectangle-triangle-red-above* to S_b connection is reliable, then does one know that the building in question is a barn? What about one's general unreliability at picking out barns?

Let us consider the first case: Suppose one's task is to identify country buildings. One goes out to the country, and one's *rectangle* and *triangle* geons get tokened along with one's *red* and *above*, resulting in the tokening of an S_b.

We are now in a better position to evaluate the belief. One's barn recognizing behavior is broken down into several independent subprocesses. The verdict of one subprocess does not effect the verdict of the other subprocesses. One of these subprocesses, subprocess_1, operates by taking the input of a *rectangle-triangle-red-above* to be a sufficient condition for recognizing a barn. Subprocess_1 reliably tokens an S_b when activated, and is activated only in those cases where the building is a red rectangular building with an extend triangle for a roof. Moreover, one can and does distinguish between cases where one uses subprocess_1 and other cases (though probably not under those descriptions).

The process characterization and relevance class must reflect one's disjoint strategy for identifying buildings. In other words, given the task description, the appropriate process characterization for the first case would take subprocess_1 as the process. The appropriate relevance class is the set of situations that activate subprocess_1. Since, subprocess_1 is reliable in all those cases where it is activated, one's tokening of S_b counts as knowledge. Given this task, the verdict of my approach coincides with the intuition that the example tries to cultivate.

Now, let us consider the second case. In the second case, the output is the number of barns.

In this case, suppose, the output of the object recognition system serves as input for a counting process that keeps track of the number of S_bs tokened. Since one is not generally reliable at distinguishing barns from other buildings, other of one's subprocesses must not be reliable. For instance, suppose that one's only other subprocess for distinguishing barns from other country buildings is one that tokens a S_b whenever the input is not *rectangle-triangle-red-above*. This represents an unreliable strategy for the cases not covered by subprocess_1. So, in those cases where one uses subprocess_2, one does not know that the building in question is not a barn. Assuming that the environment of one's habitual performance includes enough instances of barns not activating subprocess_1, one's strategy of using both processes to determine the total number of barns will prove unreliable. In other words, one cannot know how many barns one has encountered, even though one can know for some individual barns, that they are barns.

The difference in verdicts from the first case to the second case is explained by difference in our understanding of the processes and relevance classes associated with the two tasks. The original description of the example does not distinguish between cases. In fact, the original description contains elements of each task. On the one hand, it asserts that one is not very reliable at distinguishing barns from nonbarns. This assertion suggests that the relevance class associated with the process that one uses in the particular case should include all cases of barn recognition. On the other hand, it asserts that one uses the process only in certain situations and that one is aware of the difference between these situations and other cases of barn recognition. This second assertion suggests that the relevance class appropriate for evaluating the reliability of the process should include only the situations in which one uses that process. The moral here, I suggest, is that *task specifications, process characterizations, and relevance classes are everything in fairly evaluating reliabilism.*

4.) THE BONJOUR COUNTEREXAMPLES

As with many of the counterexamples to reliabilism, Bonjour takes himself to offer arguments against reliabilism in general, but considers only cases of reliabilism as a theory of justification. BonJour sets-out to confront "externalist radicals" (Armstrong, more specifically), his only weapon, his ability to illustrate

> the intuitive difficulty with externalism...[that] on the externalist view, a person may be ever so irrational and irresponsible in accepting a belief, when judged in light of his own subjective conception of the situation, and may still turn out to be epistemically justified,.... (BonJour 1980, p.59)

The two salient phrases in the above quotation are "intuitive difficulty" and "subjective conception." Indeed, though BonJour is thorough and conscientious in his writing, I think that BonJour's examples are only convincing in the context of BonJour's rhetoric-driven intuition pump. The order and description of BonJour's examples play a large role in how compelling one finds BonJour's suggested intuitions. In fact, BonJour's examples all involve mischaracterizations or underdetermined characterizations of the task. Once one clears away the rhetoric and obscurants, BonJour's examples fail, I suggest, to illicit any strong intuitions not had by the reader previous to the examples.

All of BonJour's examples deal with cases of clairvoyance. Most adults exhibit a healthy scepticism concerning clairvoyance, making it a nice process to use if one wants to bias a reader's intuitions about the epistemic status of the process' outputs. I propose to consider a generic process, P, as I have no desire to bias readers against my position. Moreover, since I claim that order plays an important role in pumping intuitions, I consider BonJour's last example first: (BonJour 1980, p.62)

NORM

Norm generates an output, B_p, using the perfectly reliable process, P. Norm

has no other data either for or against B_p in either its long-term or short-term memory.

Given the description of Norm's case, I take it to be contentious to claim either that Norm's tokening of B_p via P does or that it does not intuitively constitute his knowing that B_p. In fact, I think that BonJour agrees with me, as he immediately offers an argument that Norm does not know that B_p.[7] BonJour asks the reader to consider two distinct, but similar cases. In the first case Norm, actually has a prior belief that P is a reliable process, and this belief plays a role in the generation of B_p. So far, I would suggest, any intuitions one might have would tend towards attributing knowledge to Norm. But, BonJour interjects, suppose that Norm's belief about P lacks justification?

Since justification plays no role in my approach, I suggest altering BonJour's condition in a way consistent with his own take on knowledge. BonJour holds that knowledge is justified true belief: Suppose, then, that Norm's belief about P does not count as knowledge. According to my account, in this alternative Norm case, Norm's tokening of B_p does not count as knowledge. That is, my approach requires that the represented data that Norm uses in generating his output count as knowledge. So, to generate a counterexample to my account, BonJour must now argue convincingly that in the case as it now stands, Norm's tokening of B_p counts as knowledge. Unfortunately for BonJour, his intuitions side with my approach in the Norm case as it now stands.

In the second case, Norm ostensively has no beliefs about P. This case looks like the original Norm case. BonJour introduces a false equivocation at this point: Norm's having no beliefs about P turns into a case where from Norm's "...standpoint, there is apparently no way in which he *could* know the President's whereabouts." (BonJour 1980, p.62) Somehow, though Norm has no beliefs concerning P, he cognitively registers that P could not be sufficient for him to know that B_p. I do not know how Norm could accomplish this feat without further reflection (i.e., using yet another

process to evaluate P and/or B_p). Nor does BonJour offer any explanation of how Norm could have such a standpoint given that he has no beliefs about P or B_p.[8]

Barring further elaboration, then, I think it safe to assume that no one has any strong intuitions against my approach upon leaving the second alternative Norm case that they did not already have before considering the Norm case. I will now consider the examples that BonJour uses to prime his intuition pump: (BonJour 1980, p.61)

> MAUD
>
> Maud generates B_p using P, and B_p is veridical. P is reliable. Maud has a belief that P is reliable, and Maud's belief about P plays a role in her tokening B_p. However, Maud has no reason for her belief about P, and she maintains her belief about P despite massive counterevidence.

For BonJour, the key element of the Maud case lies in Maud's ignoring massive amounts of "cogent scientific evidence" against her belief that P is reliable.[8] Interestingly, BonJour never mentions whether the process, call it $P_{m,}$ that gives rise to her belief about P is reliable. One needs only a minimal faith in science to claim that any process that would regularly generate outputs contradicting massive amounts of cogent scientific evidence is not likely to be reliable. After all, that is the whole point of BonJour's specifying that the evidence is massive, cogent and scientific. If he said that Maud had generated her counter evidence by flipping a coin, the sting of the evidence would slacken considerably. Again, as with the second alterative Norm case, Maud's tokening of B_p fails to count as knowledge on my approach, as her belief about P (which fails to count as knowledge) plays a role in her generating B_p.

At this point, I would also assert that BonJour bases his description of the Maud case upon a false supposition about the nature of belief and one's subjective perspective. BonJour wishes to claim that Maud believes in the reliability of process P despite what appears to her from her own subjective perspective to be massive, cogent, and scientific evidence against P. If one accepts the

truism that one's belief in a proposition entails one's belief that it is true (hence the familiar example in philosophy of mind of a "belief box") and one has even minimal faith in human rationality, one must reject this example as psychologically impossible. That is, if one's believing a proposition involves one's cognitively registering its truth and one is aware of counter evidence one cannot subjectively view such counter evidence as showing the belief to be false. No one can plausibly claim "I believe the world is flat even though I clearly recognize that it is obviously not flat." Indeed, barring extreme psychological malfunction (even more extreme than schizophrenia), in such cases one invariably finds that the person has some reason to suppose that the counter evidence does not show the belief to be false. "I've seen it for myself," "someone I trust told me", etc. are examples of such views. Hence, this characterization of the case seems psychologically impossible. Certainly BonJour does little to convince us of its psychological possibility for sane individuals.

I skip BonJour's Casper case, as it has the same essential features of Maud's case. I turn now to the case of Sam: (BonJour 1980, pp.59-60)

> <u>SAM</u>
> Sam generates B_p using P, and B_p is veridical. P is reliable. Sam has a belief that P is reliable, though he lacks evidence either for or against her belief about P. Moreover, he is aware of massive cogent evidence against B_p.

As I see it there are three versions of Sam's case consistent with BonJour's description. In the first version, Sam uses his belief about P to generate B_p. BonJour again omits the origins of Sam's belief about P. BonJour's omission makes it difficult to evaluate the effect of Sam's belief about P upon B_p. However, as in the Maud case, the epistemically dubious origins of Sam's belief about the reliability of P do cast doubts upon B_p's claim to knowledge.

In the second version, Sam uses P and only P to generate B_p. He then uses some other process, P_u, to evaluate B_p in light of the massive amount of cogent evidence against it.[10] Again, it

seems uncontroversial that any process like P_u, that ignores massive amounts of cogent evidence against a proposition (having no supporting evidence) in evaluating that proposition, would prove unreliable. So, Sam's continued belief in B_p after the operation of P_u does not count as knowledge in the second version of Sam's case.

In the third version of Sam's case, BonJour might claim that Sam's process for belief revision, call it P_i, works in such a way that it *necessarily* accords the status of irrefutable or nearly irrefutable to beliefs generated by P. Such an additional stipulation, of course, undermines the intuition that BonJour wants to cultivate. If Sam's psychology is such that he *must* consider B_p irrefutable, it is difficult to accuse Sam of being "...irrational and irresponsible in accepting a belief, when judged in light of [her] own subjective conception of the situation,...." (BonJour 1980, p.59) Sam's continued belief might seem irrational or irresponsible from our perspective. However, I would suggest that we would be hard pressed to maintain that Sam is irrational once we discover that P is a perfectly reliable process for evaluating beliefs and weighing evidence and P_i necessitates his continuing to hold that B_p. Why would we declare anyone irrational who must hold true beliefs to be true? Would we not consider Sam fortunate to have P and P_i? Would we not consider ourselves irrational to doubt Sam once we know the truth about P and P_i?

Let us consider a concrete case: Most people seem to find many of the verdicts of the probability calculus unintuitive. For instance, people often judge the conjunction of two events to be more probable than either event alone. The probability calculus, of course, instructs one that the probability of two events occurring together can be no more probable than the least probable of the events occurring in isolation. Now, we would be hard pressed to argue that someone who naturally reasons according to the probability calculus was irrational. They might seem to err in their judgements given our own intuitions. However, the appearance of error is due to a mistake on our

part.

BonJour makes a similar move as the one just discussed in his second argument that Norm's tokening B_p in the original Norm case (where Norm generates B_p using only P) does not count as knowledge. BonJour asks the reader to consider a case where Norm also has a belief, B_a, for which he has large amounts of empirical evidence. Norm must choose between the beliefs based upon what he perceives to be their epistemic merit, knowing that a wrong choice would result in death. In this case, as with Sam, one can flush-out the case in two ways: In the first case, Norm uses P_u--the process that selects beliefs by ignoring massive amounts of cogent evidence--and chooses B_p. In such a case Norm looks very irrational. However, P_u looks very unreliable. So, BonJour's intuitions side with my account.

In the second case, Norm uses P_i, a process that necessarily selects B_p because P generated B_p. In this second case, Norm does not look irrational, as his psychology is such that he must consider B_p to have the greatest epistemic merit. Norm's choice might seem irrational or irresponsible from our perspective, but we would be hard pressed to maintain that Norm is irrational once we discover that P is perfectly reliable and P_i necessitates Norm's choice of B_p.

The final case I wish to consider is not mentioned by BonJour, but commonly offered by philosophers. Suppose that Norm drinks a potion that, unbeknownst to him, reorganizes his cognitive processes such that he can now visual see the number of objects in a given scene with absolute reliability even when there are huge numbers of these objects (this is sometimes called the rain man example). Upon quaffing the dregs of the cup he looks up at the bookcase and spontaneously forms the belief, “there are 200 books.” He looks at the television and forms the belief, “there are 200,000 pixels.” Surely, so the argument goes, Norm’s beliefs do not count at knowledge, even though they resulted from a reliable process. After all, Norm himself would find

these sudden beliefs mysterious, disturbing and without obvious epistemic merit.

Once again, the example confuses two processes: A visual process that generates the beliefs. This visual process is reliable. The process which sustains or undermines the beliefs in light of Norm's other beliefs (i.e., his beliefs that the beliefs are "mysterious, disturbing, and without obvious epistemic merit") is not the same process. If this second process is also reliable (as suggested by the example) and it undermines the belief (as is suggested by the very notion of belief), then the reliabilist is no more committed to calling the belief knowledge than the internalist. The internalist might object that the reliabilist must call the belief knowledge until the second process undermines the belief, while they (internalists) hold that it was never knowledge since Norm possessed defeaters to the belief even before forming it. However, I find this response, and all theories of justification based exclusively upon evidential relations, unintuitive and inadequate for reasons dating back to Goldman (1986). The theory-laden nature of this response undermines it's force as a counterexample. To be effective, the irrationality objection must show reliabilism inadequate because the objection presents beliefs that are generated by a reliable process, but which appear--even to the believer--to be epistmically inadequate in a non-question-begging manner (i.e., based upon the believer's subjective perspective). The relations between beliefs in the above response are not part of the believer's subjective perspective.

5.) CONCLUSION

At this point, I have reviewed all versions of the irrationality objection of which I am aware. BonJour and the internalists have, I think, failed to make their case. The intuitions to which BonJour appeals in his book and article have, I claim, disappeared in my article. The reliabilist theory outlined in this paper can handle all of the cases that BonJour presents without making appeals to additional *ad hoc* or non-reliabilist clauses.

It seems safe, therefore, to locate the failure with BonJour and the interalists, and not with reliabilism. BonJour's most consistent failing lies in his characterization of the process(es) operant in the various cases and an implausible psychological assumption about the nature of belief. His discussion of the process(es) operant in the cases he describes falsely biases the case against the reliabilist.

In concluding I would offer an explanation for why these examples have been so robust and influential in philosophy. Internalists falsely suppose that since externalist theories like reliabilism tie the epistemic merit of a belief to properties other than one's subject perspective (or potential subjective perspective) of evidential relations between the belief and one's other beliefs one can easily separate one's subjective perspective from the claimed source of the belief's epistemic merit. I claim that this is a false supposition for two reasons: First, the fact that one knows in virtue of believing places constraints upon the possible subjective perceptions of evidential relationships in ways which the counterexamples do not respect. One cannot believe something that one sees as obviously false. Second, subjective perceptions of evidential relationships are themselves a belief forming/belief sustaining process. These examples universally ignore this fact about perceptions of evidential relationships in order to create the illusion that the process that is stipulated to have perfect reliability is the process responsible for the belief's generation and/or continued existence in light of the subjective perception by the supposed believer of the damning evidential relationships.

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NOTES

1.) I only mention Goldman's theory in the text of this paper. However, Dretske's 1981 theory seems equally immune to BonJour's examples. Dretske's model for belief formation is that of a signal causing a belief. In order for a belief to count as knowledge, Dretske requires that the probability of the corresponding state of affairs given that type of signal *and what the system knows* equal 1. BonJour's most compelling cases require that the system know about massive amounts of cogent evidence against the belief or process, making it implausible that the probability of the state of affairs given the signal and what system knows will equal 1. Unfortunately, Dretske's approach has its own problems, which I comment upon in my dissertation.

2.) There are also independent worries about using *ex ante* justification to define knowledge. For instance, an imperfectly reliable set of rules, like a right set of J-rules, will permit some false beliefs. Do false beliefs counts as defeaters? Also, is *ex ante* justification recursive? If so, then false beliefs will justify more false *ex ante* beliefs, and so on. If *ex ante* justification is not recursive, why not?

3.) Feldman (1985) infleuntially points to the the characterization problem in criticizing reliabilism, though his discussion seems to conflate the characterization problem with the relevance class problem.

4.) (1) and (2) correspond to Marr's "Computational Theory" (1981, p.24-9). (3) corresponds to his "representation and Algorithm" and his "hardware Implementation" levels.

5.) The version of the red barn counterexample given here is based upon a version given by Alan Goldman in his comments on a paper I gave at the 1991 Pacific Division meeting of the *American Philosophical Association*.

6.) My account of Biederman's theory comes from his 1987 article. Biederman's theory does not include color primitives, though adding them does not seem to pose a problem for the theory. Also, Biederman's model assumes the solution to some problems of perception. For example, Biederman's model assumes a solution to the problem of distinguishing figures from background.

7.) BonJour has another argument to support his intuition in the Norm case. However, I postpone dealing with this example until the end of this section.

8.) Norm looks to be exploiting a second process to evaluate B_p in this case. I deal with such cases later in the paper.

9.) I should also note that BonJour's characterization of Maud's belief formation as involving other beliefs would seem to violate his characterization of the process as clairvoyance. Clairvoyance is neither an inference process nor a hypothesis evaluation process. It is the direct intuition of facts not present to the five senses.

10.) One can run a P_u version of Maud's belief about P. The verdict in such a case, however, again supports my approach.

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2005 Conference Proceedings

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